

# 2012 Catalog Of

# Federal Domestic Assistance



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



U.S. General Services  
Administration  
Washington, DC 20405

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# INTRODUCTION

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## Catalog of Federal Domestic Assistance

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

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

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

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

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

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

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

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

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

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

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

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

## Types Of Assistance

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

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

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

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

## Contents of the Catalog

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

Programs in the Catalog provide information on the:

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

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

- Agriculture

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

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

The Catalog does not include:

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

## Organization of the Catalog

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

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

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

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

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

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

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

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

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

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

Users should also consult the following listings:

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

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

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

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

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

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

Example: 93.259 Mental Health -- Children's Services

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

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

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

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

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

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

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

Example: Project Grants.

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

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

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

#### **ELIGIBILITY REQUIREMENTS:**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### **ASSISTANCE CONSIDERATIONS:**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### **FINANCIAL INFORMATION:**

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

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

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

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

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

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

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

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

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

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

Example: Interim guidelines available in application kits.

#### **INFORMATION CONTACTS:**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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



# AGENCY INDEX SUMMARY

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

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## DEPARTMENT OF AGRICULTURE (10.001-10.999)

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

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

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

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

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

### **Animal and Plant Health Inspection Service (10.025, 10.028, 10.030)**

Conducts regulatory and control programs to protect and improve animal and plant health for the benefit of man and the environment and to control or reduce damage caused by nuisance mammals and birds and those mammal and bird

species that are reservoirs for zoonotic diseases, except for urban rodent control.

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

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

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

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

### **Farm Service Agency (10.051, 10.053-10.056, 10.069, 10.080, 10.085, 10.087-10.093, 10.095, 10.099, 10.102, 10.141, 10.404, 10.406-10.407, 10.421, 10.435, 10.437, 10.449, 10.451)**

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

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

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

### **Food and Nutrition Service (10.551, 10.553, 10.555-10.561, 10.565-10.569, 10.572, 10.574-10.580, 10.582-10.589)**

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

### **Foreign Agricultural Service (10.600-10.606, 10.608-10.610, 10.612-10.614, 10.777, 10.960-10.962)**

# AGENCY INDEX SUMMARY

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

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

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

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

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

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

## **National Institute of Food and Agriculture (10.200, 10.202-10.203, 10.205-10.207, 10.210, 10.212, 10.215-10.217, 10.219-10.223, 10.225-10.228, 10.303-10.320, 10.322, 10.324-10.327)**

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

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

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

## **Risk Management Agency (10.450, 10.456, 10.458-10.460)**

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

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

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

## **Rural Business-Cooperative Service (10.350, 10.352, 10.767-10.769, 10.771, 10.773, 10.778, 10.854, 10.856, 10.865-10.868, 10.870, 10.874)**

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

## **Rural Housing Service (10.405, 10.410, 10.415, 10.417, 10.420, 10.427, 10.433, 10.438, 10.446-10.448, 10.766)**

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

## **Rural Utilities Service (10.759-10.763, 10.770, 10.781, 10.850-10.851, 10.855, 10.857-10.859, 10.861-10.864, 10.886)**

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

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

The Office of the Chief Economist (OCE) advises the Secretary on the economic implications of policies and programs affecting the U.S. food and fiber system and rural areas as well as coordinates, reviews, and approves the Department's

commodity and farm sector forecasts. OCE staff also coordinates USDA's Agricultural Outlook Forum, which has been hosted annually since 1923.

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

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

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

### **Minority Business Development Agency (11.804)**

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

### **National Oceanic and Atmospheric Administration (NOAA) (11.008, 11.011-11.012, 11.400, 11.407-11.408, 11.413, 11.415, 11.417, 11.419-11.420, 11.426-11.427, 11.429-11.441, 11.452, 11.454, 11.457, 11.459-11.460, 11.462-11.463, 11.467-11.469, 11.472-11.474, 11.478, 11.481-11.482)**

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

### **National Telecommunications and Information Administration (11.549-11.550, 11.555, 11.557-11.559)**

Exercises significant responsibility in the areas of communication security, privacy protection, and the application of public service satellites, public telecommunications facilities planning and construction; formulates policies to support the development, growth and regulation of telecommunications,

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information, and related industries; furthers the efficient development and use of telecommunications and information services; provides policy and management for the use of electromagnetic spectrum; provides telecommunications facilities grants to public service users.

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

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Principal advisor to the Under Secretary of Defense (Policy) and the Secretary of Defense on national security strategy and defense strategy and in the requirements, forces and contingency plans necessary to implement those strategies. Civil functions of the Department of the Army include the Civil Works Program, the administration of Arlington and Soldiers' Home National Cemeteries, and other related matters. The Army's Civil Works Program, a responsibility of the Corps of Engineers is the Nation's major Federal water resources development activity and involves engineering works such as major dams, reservoirs, levees, harbors, waterways, locks, and many other types of structures. These works provide flood protection for cities and major river valleys, reduce the cost of transportation, supply water for municipal and industrial use, generate hydroelectric power, provide recreational opportunities for vast numbers of people, regulate the rivers for many purposes including the improvement of water quality and the enhancement of fish and wildlife, protect the shores of the oceans and lakes, and provide still other types of benefits. Planning assistance is also provided to States and other nonfederal entities for the comprehensive management of water resources, including pollution abatement works. In addition, through the Civil Works Program the Federal government protects the navigable waters of the United States under legislation empowering the Secretary of the Army to prohibit activities which would reduce the value of such waters to the Nation. Includes two lead offices: the Office of Naval Research and the Office of Naval Technology. The Chief of Naval Research is responsible for the Department of Navy Research (6.1) and Exploratory Development (6.2) Programs. The Chief of Naval Research is responsible to the Secretary of the Navy through the Assistant Secretary (Research, Engineering and Systems) and is a principal adviser to the latter. The Chief of Naval Research is also responsible for providing leadership, management, and direction to the Department of Navy research and exploratory development programs and other research, development, technology, and equipment programs assigned to and conducted by the Office of the Chief of Naval Research; developing and formulating viable and responsive naval research and technology requirements based on current and projected Navy and Marine Corps long-range objectives and considerations of national security; and coordinating naval research and promoting cooperative research efforts within the Department of the Navy with other elements of the Department of Defense, National Science Foundation, National Aeronautics and Space Administration, Department of Energy, and other government research groups. The Office of Naval Research also conducts research in conjunction with the research and development conducted by other Department of Navy activities, coordinates the Naval Basic Research Program, and conducts a contract management program with educational institutions in support of all Federal agencies. The Office of Naval Technology, established in October 1980, manages the Department of Navy's Exploratory Development (6.2) Program, assessing, planning, programming, budgeting, directing, and monitoring the program, and manages the oversight activities in regard to the Industrial Independent Research and Development Program. The Secretary's responsibilities include matters pertaining to organization, training, logistical support, maintenance, welfare of personnel, administrative, recruiting, research and development, and other activities prescribed by the President or the Secretary of Defense. The principal assistant to the Secretary is the Under Secretary, who acts with the full authority of the Secretary on all affairs of the Department. The Air Force Materiel Command researches, develops, tests, acquires, delivers, and logistically supports every Air Force weapons system. It has responsibilities from inception of a weapons system through its operational life and final disposition. The Air Force Materiel Command operates major product centers, logistics centers, test centers, and laboratories. It was created in July 1992 through the integration of the Air Force Logistics Command and the Air Force Systems Command. The

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

### **Defense Intelligence Agency (12.598)**

No Description Provided

### **Department of the Air Force, Materiel Command (12.801)**

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

### **Department of the Army, Office of the Chief of Engineers (12.130)**

No Description Provided

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

No Description Provided

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

No Description Provided

### **Naval Medical Logistics Command (12.340)**

No Description Provided

### **Office of Economic Adjustment (12.610-12.611, 12.614)**

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

### **Office of the Secretary of Defense (12.579)**

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

## **DEPARTMENT OF HOUSING AND URBAN**

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## DEVELOPMENT (14.001-14.999)

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

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

## Office of Community Planning and Development (14.218, 14.225, 14.228, 14.231, 14.235, 14.238-14.239, 14.241, 14.247-14.249, 14.252, 14.259-14.262, 14.264, 14.266-14.268)

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

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

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

## Office of Housing-Federal Housing Commissioner (14.103, 14.108, 14.110, 14.117, 14.119, 14.122-14.123, 14.126-14.129, 14.133-14.135, 14.138-14.139, 14.142, 14.149, 14.151, 14.155, 14.157, 14.159, 14.162-14.163, 14.167, 14.169, 14.171-14.172, 14.175, 14.181, 14.183-14.184, 14.188-14.189, 14.191, 14.195, 14.198, 14.311, 14.313-14.314, 14.316, 14.321-14.324, 14.326-14.327)

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rental housing in areas with severe rental housing shortages. Grantees use the HUD funds to provide capital grants or loans, interest-reduction payments, rental subsidies, or other types of assistance to facilitate the construction or substantial rehabilitation of rental projects by private owners.

## **Office of Policy Development and Research (14.008, 14.523, 14.534)**

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

## **Office of Public and Indian Housing (14.850, 14.856, 14.862, 14.865-14.867, 14.869-14.874, 14.877-14.881, 14.889-14.892)**

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

## **Office of Sustainable Housing and Community (14.703-14.705)**

No Description Provided

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

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

## **Bureau of Indian Affairs (15.022, 15.024, 15.108, 15.133, 15.146)**

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

## **Bureau of Indian Education (15.026-15.028, 15.042-15.044, 15.046-15.047, 15.058-15.059, 15.114, 15.130, 15.149, 15.151)**

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

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

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

## **Bureau of Reclamation (15.504, 15.506-15.514, 15.516-15.522,**



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## **15.524-15.534, 15.537-15.561)**

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

## **Fish and Wildlife Service (15.605, 15.608, 15.611, 15.614-15.616, 15.619-15.623, 15.625-15.626, 15.628-15.631, 15.633-15.637, 15.639-15.645, 15.647-15.667)**

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

## **National Park Service (15.406-15.407, 15.904, 15.912, 15.914-15.916, 15.918, 15.921-15.923, 15.926-15.949, 15.954)**

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

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

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

## **Office of Natural Resources Revenue (15.427, 15.429-15.433, 15.436, 15.439)**

In May 2010, Interior Secretary Ken Salazar issued Secretarial Order No. 3299 separating the MMS responsibilities into three distinct organizations, one of which was ONRR. Issued in June 2010, Secretarial Order No. 3302 formally eliminated the former MMS and created the Bureau of Ocean Energy Management, Regulation and Enforcement (BOEMRE). Effective October 1, 2010, the functions of MRM officially transferred to ONRR, reporting to the Assistant Secretary for Policy, Management and Budget. The ONRR is responsible for the efficient, timely, and accurate collection and disbursement of all royalty payments, rentals, bonuses, fines, penalties, assessments, and other revenue due the Federal Government, American Indian Tribes and allottees, states and the American people from the leasing and production of natural

resources from Federal and Indian lands onshore and in the Outer Continental Shelf. ONRR is comprised of three program areas including Asset Management, Audit and Compliance Management, and Financial and Program Management. Each year, ONRR achieves optimal value by ensuring that all natural resources revenues are efficiently and accurately collected and disbursed to recipients in a timely manner. The ONRR collects and disburses annual revenues to the U.S. Treasury, five Federal agencies, 38 states, 41 American Indian Tribes, and about 30,000 individual Indian mineral owners.

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

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

## **The Bureau of Ocean Energy Management, Regulation, and Enforcement (15.421-15.424, 15.428, 15.441)**

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

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

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

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

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

## **Bureau of Justice Assistance (16.015, 16.571, 16.578, 16.585, 16.593, 16.596, 16.606-16.611, 16.614-16.616, 16.735, 16.738, 16.740, 16.745-16.746, 16.751-16.755, 16.812, 16.814-16.817)**

Administers programs designed to assist State and local governments with drug, crime, and violence control and prevention efforts, as well as criminal justice system improvements. The Edward Byrne Memorial State and Local Law Enforcement Assistance Program, which was established by the Anti-Drug Abuse Act of 1986, provides assistance to States to subgrant funds to locals in 26 broad purpose areas, as well as limited discretionary grant funds. The Public Safety Officers' Benefits Programs, the Regional Information Sharing Systems,

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the State Criminal Alien Assistance Program, and the Local Law Enforcement Block Grants Program are also part of BJA's portfolio. Through its programs, BJA serves as a partner with State and local criminal justice systems. Program innovations of State and locals from across the country are tested, translated into implementation strategies, and demonstrated. Training and technical assistance on program development, implementation, evaluation, and site specific problems are available to State and local agencies. Currently, BJA is providing broad assistance in the areas of community justice and strategic planning.

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

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

## **Civil Rights Division (16.100-16.101, 16.103-16.105, 16.109)**

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

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

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

alternatives for resolving difficulties short of coercion or litigation.

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

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

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

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

## **National Institute of Justice (16.560, 16.562, 16.741-16.742, 16.820)**

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

## **Office of Juvenile Justice and Delinquency Prevention (16.737)**

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

## **Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking (16.203, 16.750)**

The SMART Office was authorized in the Adam Walsh Child Protection and Safety Act of 2006, which was signed into law on July 27, 2006. The

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responsibilities of the SMART Office include providing jurisdictions with guidance regarding the implementation of the Adam Walsh Act, and providing technical assistance to the states, territories, Indian tribes, local governments, and to public and private organizations. The SMART Office also tracks important legislative and legal developments related to sex offenders and administers grant programs related to the registration, notification, and management of sex offenders.

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

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

## **Violence Against Women Office (16.013, 16.016-16.017, 16.524-16.525, 16.527-16.529, 16.589-16.590, 16.736, 16.888)**

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

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

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The Office of the Assistant Secretary for Veterans' Employment and Training (VETS) is responsible for the administration, formulating and implementation of policy and procedures affecting veterans as well as veteran's employment and training programs nationwide. VETS serves as a national leader on Veterans policy and procedure to the Department of Labor (DOL) and other Federal agencies. VETS fulfills a wide range of obligations prescribed by the Secretary of Labor regarding the employment and training needs of service-connected disabled veterans, Vietnam-era veterans, and veterans recently separated from military service. The VETS staff works closely with and provides technical assistance to State Employment Security Agencies and Job Training Partnership Act grant recipients to ensure that veterans are provided the priority services required by law. They also coordinate with employers, labor unions, veterans' service organizations, and community organizations through planned public information and outreach activities. Federal contractors are provided management assistance in complying with their veterans affirmative action and reporting obligations. Also administered by the Assistant Secretary through the Service is the Job Training Partnership Act, Title IV, Part C grant program designed to meet the employment and training needs of service-connected disabled veterans, Vietnam-era veterans, and veterans recently separated from military service. Job Training Partnership Act grants are awarded and monitored through the Services' national office and field staff. The Assistant Secretary also administers through the Service the Homeless Veterans Reintegration project grant program to provide employment, training, housing assistance, and supportive services to help homeless veterans reenter mainstream society. Homeless Veterans Reintegration Project grants are awarded and monitored through the Services' national office and field staff. Certain other Service staff also administer the veterans Uniformed Services Employment and Reemployment Rights Act program. They provide assistance to help restore job, seniority, and pension rights to veterans following absences from work for active

military service and to protect employment and retention rights of members of the Reserve or National Guard. Other staff provide assistance to preference eligible veterans to ensure that they are not denied their veterans' preference benefits (preference in Federal government hiring and preference retention in reduction in force (RIF), under the Veterans Employment Opportunities Act (VEOA)). The Office of Disability Employment Policy (ODEP) provides national leadership on disability employment policy to the Department of Labor (DOL) and other Federal agencies. ODEP was established to bring a heightened, permanent focus to address the significant employment obstacles faced by individuals with disabilities and to ensure coordination among Federal agencies on matters related to or affecting people with disabilities. ODEP's research provides new knowledge used to develop evidence-based disability employment policies and practices for dissemination to workforce systems and partners. ODEP works to achieve its mission through collaborating on inter- and intra-agency initiatives, commissions, councils, and workgroups; building partnerships with Federal, state, local, and non-governmental stakeholders; reviewing Federal legislation and policies; designing and conducting research studies; highlighting and promoting policies and practices that increase the employment of people with disabilities; and implementing education and outreach initiatives. ODEP's stakeholders include Federal, state, and local government agencies, private and public employers and their employees, educational and training institutions, individuals with disabilities and their families, and the disability community.

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

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

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

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

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and U.S. territories for the operation of the program. JTPA provides for a summer youth employment and training program and Job Corps as well as special activities which offer basic skills training, job training and support services for special targeted groups such as Native Americans, and seasonal and migrant farmworkers. Implementing regulations for JTPA issued by the Department of Labor are contained in Title 20 of the Code of Federal Regulations, Parts 626-638 and 675-684. Effective July 1, 2000, JTPA is repealed and replaced by the Workforce Investment Act (WIA). WIA establishes, with States and local communities, a revitalized workforce investment system that provides workers with the information, advice, job search assistance, and training they need to get and keep good jobs, and provides employers with skilled workers. WIA is administered through State and local Workforce Investment Boards and required partnerships of local One-Stop Career Centers. Funds are used for youth, adult and dislocated worker employment and training activities. The Act also authorizes a number of national programs and the Job Corps. The U.S. Employment Service (ES) seeks to match workers looking for employment with employers seeking workers, and is operated by the States. Programs such as Alien Labor Certification are also administered under the ES by State ES agencies through reimbursement agreements with the Department of Labor. The Senior Community Service Employment Program (SCSEP), or Older Worker Program is authorized by the Older Americans Act of 1965. It provides subsidized part-time community service work for unemployed low-income people ages 55 and over. The Assistant Secretary for Employment and Training is responsible for ensuring that programs funded through ETA are free from unlawful discrimination, fraud, and abuse. It is the policy of ETA to ensure full compliance with constitutional, statutory, and regulatory provisions and to promote equal opportunity, affirmative action, and fund integrity in programs to which ETA extends financial assistance.

## **Mine Safety and Health Administration (17.600-17.603)**

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

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

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

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

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

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

The Office of Workers' Compensation Programs administers four major disability compensation programs which provide wage replacement benefits,

medical treatment, vocational rehabilitation and other benefits to certain workers or their dependents who experience work-related injury or occupational disease.

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

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

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

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

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

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

## **Bureau of Counterterrorism (19.701)**

No Description Provided

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

No Description Provided

## **Bureau of Educational and Cultural Affairs (19.009-19.011, 19.015, 19.022, 19.400-19.402, 19.408, 19.415, 19.421, 19.432, 19.450)**

Conducts a wide variety of communication activities, from academic and cultural exchanges to press, radio, television, film, seminar, library, and cultural center programs, abroad in order to strengthen foreign understanding of

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American society, obtain greater support of U.S. policies, and increase understanding between the United States and other countries.

## **Bureau of International Security and Nonproliferation (19.033)**

No Description Provided

## **Bureau of Western Hemisphere Affairs (19.750)**

No Description Provided

## **Diplomatic Security (19.030-19.031)**

No Description Provided

## **International Narcotics and Law Enforcement Affairs (19.703-19.705)**

No Description Provided

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

No Description Provided

## **Office of the Coordinator of U.S. Assistance to Europe and Eurasia (19.900)**

No Description Provided

## **Office of the Secretary of State (19.301)**

No Description Provided

## **Secretary Office Representative to Muslim Communities (19.032)**

No Description Provided

## **Under Secretary for Public Diplomacy and Public Affairs (19.040)**

No Description Provided

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

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

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

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

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

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

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

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

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

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

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

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

## **Federal Transit Administration (FTA) (20.500, 20.505, 20.507, 20.509, 20.513-20.516, 20.518-20.524)**

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

## **Maritime Administration (MARAD) (20.802-20.803, 20.806-20.808, 20.812-20.814, 20.816-20.817)**

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

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

## **National Highway Traffic Safety Administration (NHTSA) (20.600-20.602, 20.607-20.614, 20.616)**

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

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

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

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

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

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

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

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

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

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

## **Community Development Financial Institutions Fund (21.010-21.012, 21.014, 21.020-21.021)**

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

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

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

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

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

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

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

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

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

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Collects and studies information on discrimination or denials of equal protection

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## **PEACE CORPS (45.400-45.499)**

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The mission of the Peace Corps is to promote world peace and friendship by placing Peace Corps Volunteers (PCVs) in over 70 countries to address and assist with community-based needs in the areas of education, community development, health, business, information technology, agriculture and the environment. From AIDS education to emerging technologies to environmental preservation to new market economies, Peace Corps Volunteers have helped people build better lives for themselves. Their work in villages, towns, and cities around the globe represents a legacy of service that has become a significant part of Americas history and positive image abroad.

The Peace Corps' mission has three simple goals:

1. Helping the people of interested countries in meeting their need for trained men and women.
2. Helping promote a better understanding of Americans on the part of the peoples served.
3. Helping promote a better understanding of other peoples on the part of Americans.

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

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

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

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

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

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

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

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

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

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

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

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

## **VA Health Administration Center (64.005, 64.026, 64.029, 64.033)**

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Provides hospital, nursing home and domiciliary care, and outpatient medical and dental care to eligible veterans of military service in the Armed Forces. Dependents of certain veterans are provided medical care supplied by non-VA

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institutions and physicians. The Department conducts both individual medical and health-care delivery research projects and multi-hospital research programs. It assists in the education of physicians and dentists and with training of many other health care professionals through affiliations with educational institutions and organizations.

## **Veterans Benefits Administration (64.027-64.028, 64.030-64.032, 64.036, 64.103, 64.116, 64.120, 64.128)**

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

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

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

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

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

## **Office of Air and Radiation (66.001, 66.032-66.034, 66.037-66.040, 66.042)**

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

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

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

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

Develops national strategies for the control of toxic substances; directing the pesticides and toxic substances enforcement activities; developing criteria for assessing chemical substances, standards for test protocols for chemicals, rules and procedures for industry reporting and regulations for the control of substances deemed to be hazardous to man or the environment; and evaluating and assessing the impact of existing chemicals, new chemicals, and chemicals with new uses to determine the hazard and, if needed, develop appropriate restrictions. Additional activities include control and regulation of pesticides

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and reduction in their use to ensure human safety and protection of environmental quality; establishment of tolerance levels for pesticides that occur in or on food; monitoring of pesticide residue levels in food, humans, and nontarget fish and wildlife and their environments; and investigation of pesticide accidents. It also coordinates activities under its statutory responsibilities with other agencies for assessment and control of toxic substances and pesticides.

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

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

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

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

OITA is comprised of a multi-disciplinary staff who respect and reflect the diversity of the global community. OITA's mission is to protect human health and environment while advancing U.S. national interests through international environmental collaboration.

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

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

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

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

## **Office of Water (66.035, 66.418-66.419, 66.424, 66.432-66.433,**

## **66.436-66.437, 66.439-66.440, 66.454, 66.456, 66.458, 66.460-66.463, 66.466-66.469, 66.471-66.472, 66.474-66.475, 66.478-66.481)**

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

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

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

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

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

## **Region 1 (66.110)**

No Description Provided

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

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

## **Region 4 (66.127-66.128)**

No Description Provided

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

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

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

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

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

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

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

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The National Gallery's collections embrace every major school of western European art from the 13th century to the present and of American art from

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

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

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

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

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

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

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

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

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DOE is major government enterprise. If included among the Nation's Fortune 500 firms, it would rank in the top 50. Its \$16.5 billion appropriation comprises close to 3 percent of total Federal discretionary spending DOE Funds the largest environmental cleanup in history, and research and development that supports the Nation's defense and its energy and economic security. DOE employs over 11,000 Federal employees and about 108,000 contract employees. DOE owns and manages over 50 major installations located on 2.4 million acres in 35 States and is the fourth largest Federal landowner in the United States. DOE is an energy policy, supply, and technology enterprise. It invests in developing a secure, clean, and sustainable energy system. It helps the Nation meet its environmental challenges by administering the largest pollution prevention and efficiency program in the world, with partners from every sector of the economy. It enhances the Nation's energy security by increasing the diversity of energy, and fuel choices and sources; bringing renewable energy sources into the market, strengthening domestic production of oil and gas, maintaining the U.S. nuclear energy option, and increasing the efficiency with which we use energy and generate electricity. The Department also maintains the Strategic Petroleum Reserve and operates five Power Marketing Administrations that sell and distribute over \$3 billion of electric power generated at Federal hydroelectric plants. DOE is a national security enterprise. It is a key player in the Administration's furtherance of the Comprehensive Test Ban Treaty and its overall goal of reducing the global danger from nuclear weapons. It ensures the safety and reliability of the U.S. nuclear weapons stockpile without underground testing. At the same time, it manages and safely dismantles excess nuclear

materials, and ensures the security of vital departmental nuclear assets. It provides policy and technical assistance to curb global proliferation of weapons of mass destruction, emphasizing U.S. nonproliferation, arms control, and nuclear safety objectives in the states of the former Soviet union and worldwide. Further, it develops and ensures the safety and reliability of nuclear reactor plants to power U.S. Navy warships. DOE is an environmental remediation enterprise. It cleans up the 50-year environmental legacy left at the industrial complexes where nuclear weapons were designed and manufactured. It manages the problems associated with the large quantities of various types of radioactive wastes, surplus nuclear materials, and spent nuclear fuels that remain at the sites of the Nation's nuclear weapons facilities and at nuclear energy research and development sites. In addition, it must address the growing inventory of spent nuclear fuel from commercial nuclear reactors that is awaiting disposal. These wastes must be dealt with responsibly to ensure the safety and health of the public. DOE is a science and technology enterprise. At the center of all we do are our 27 laboratories, our additional scientific user facilities, and our researchers at the Nation's universities. These form the backbone of U.S. scientific leadership by conducting and facilitating breakthrough research in energy sciences and technology, high energy physics, global climate change, genomics, superconducting materials, accelerator technologies, environmental sciences, and super-computing in support of DOE's mission. The laboratories, described as the crown jewels of the Nation's science establishment, and the Department's funding of research at universities have resulted in 66 Nobel prize winners, including three in 1996. The Department is also an investor in the Nation's most precious resource - its youth - by supporting science and mathematics education in our schools through grants, educational programs, and fellowships. DOE is global enterprise. The outcome of our work is the technology that stimulates the private market for the expansion of clean energy to meet national and global energy requirements of almost 500 quadrillion Btu's by the year 2010 - a staggering 36 percent increase over 1995. Overseas energy market needs include coal, nuclear power, oil and gas exploration, energy efficiency, and renewable energy technologies that are available for export now or that will soon be available for the international marketplace. DOE supports the export of U.S. energy services and technologies by assisting the nations in Asia, South America, Eastern Europe, an Africa, and the states of the former Soviet Union in developing private markets for environmentally responsible, sustainable energy. These alliances support U.S. competitiveness in a global economy of growing energy infrastructure requirements and create jobs in the U.S. at all skill levels.

## **DEPARTMENT OF EDUCATION (84.001-84.999)**

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Administers programs designed to fund activities that assist students with limited English proficiency and minority languages populations by providing support for programs, activities, and management initiatives meeting the special educational needs of those populations. Provides national leadership in expanding fundamental knowledge and improving education. The Office is responsible for conducting and supporting education-related research activities; monitoring the state of education through the collection and analysis of statistical data; promoting the use and application of research and development to improve instructional practices in the classroom; and disseminating these findings to States and local education entities. The Assistant Secretary for Elementary and Secondary Education formulates policy for, directs, and coordinates the activities relating to preschool, elementary, and secondary education. Included are programs of grants to State educational agencies and local school districts, postsecondary schools, and nonprofit organizations for State and local reform, compensatory, migrant, and Indian education; drug-free schools; other school improvement programs; and impact aid. The Assistant Secretary for Postsecondary Education formulates policy, directs, and coordinates programs for assistance to postsecondary educational institutions and students pursuing a postsecondary education. Programs include assistance for the improvement and expansion of American educational resources for international studies and services, grants to improve instruction in crucial academic subjects, and construction assistance for academic facilities. The Office is headed by the

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Department's Chief Operating Officer and is the Federal Government's first performance based organization. The Office directs and coordinates activities that provide financial assistance through grants and work and loan programs to students pursuing a postsecondary education. Federal student financial aid programs include Stafford Loans, Parent Loans for Undergraduate Students (PLUS), Supplemental Loans to Students (SLS), Federal Insured Student Loans (FISL), consolidated loans, Perkins Loans, income contingent loans, Pell Grants, College Work-Study, Supplemental Educational Opportunity Grants (SEOG), and State Student Incentives Grants (SSIG). The Office provides leadership and direction for the Department in meeting its goals of excellence in credit management and debt collection through the collection of defaulted loans under the Guaranteed Student Loan Program and the Law Enforcement Education Program, and the collection of overpayments in the Pell Grant Program and Supplemental Educational Opportunities Program. The Assistant Secretary for Vocational and Adult Education administers programs of grants, contracts, and technical assistance for vocational and technical education, and for adult education and literacy. The Office is also responsible for coordinating these programs with other Education Department and Federal programs supporting services and research for adult education, literacy, and occupational training. The Secretary of Education advises the President on education plans, policies, and programs of the Federal government. The Secretary directs Department staff in carrying out the approved programs and activities of the Department and promotes general public understanding of the Department's goals, programs, and objectives. The Secretary also carries out certain Federal responsibilities for four federally aided corporations: The American Printing House of the Blind, Gallaudet University, Howard University, and the National Technical Institute for the Deaf. Provides leadership to ensure that people with disabilities have services, resources, and equal opportunities to learn, work, and live as fully integrated, contributing members of society. The Office coordinates the activities of the Office of Special Education Programs, which works to help States provide quality educational opportunities and early intervention services to help students with disabilities achieve their goals. Through the Rehabilitation Services Administration, the Office supports State vocational rehabilitation programs that give disabled people the education, job training, and job placement services they need to gain meaningful employment. Programs include support for training of teachers and other professional personnel; grants for research; financial aid to help States initiate, expand, and improve their resources; and media services and captioned films for the deaf. Each regional office serves as a center for the dissemination of information and provides technical assistance to State and local educational agencies and other institutions and individuals interested in Federal education activities. At present, offices are located in 10 cities: Atlanta, Boston, Chicago, Dallas, Denver, Kansas City, New York, Philadelphia, San Francisco, and Seattle.

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

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

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

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

## **Office of Elementary and Secondary Education (84.004, 84.010-84.011, 84.013, 84.040-84.041, 84.060, 84.141, 84.144, 84.149, 84.184, 84.196, 84.256, 84.283, 84.299, 84.330, 84.356, 84.358, 84.360, 84.362, 84.365-84.369, 84.371, 84.374, 84.377, 84.403, 84.415-84.416)**

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

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

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

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

No Description Provided

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

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

## **Office of Postsecondary Education (84.015-84.018, 84.021-84.022, 84.031, 84.042, 84.044, 84.047, 84.066, 84.103, 84.116, 84.120, 84.153, 84.170, 84.200, 84.217, 84.220, 84.229, 84.269, 84.274, 84.334-84.335, 84.378, 84.382, 84.407, 84.414)**

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

## **Office of Special Education and Rehabilitative Services (84.027, 84.126, 84.128-84.129, 84.132-84.133, 84.160-84.161, 84.169, 84.173, 84.177, 84.181, 84.187, 84.224, 84.235, 84.240,**

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## **84.246, 84.250, 84.264-84.265, 84.275, 84.315, 84.323, 84.325-84.329, 84.343, 84.373, 84.380)**

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

## **Office of Student Financial Assistance Programs (84.007, 84.033, 84.063, 84.268)**

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

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

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

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

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

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

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

## **HARRY S TRUMAN SCHOLARSHIP FOUNDATION**

## **(85.1-85.99)**

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

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

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

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

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

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

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

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

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

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

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Established by Congress in 1968 to honor the legacy and ideals of Woodrow

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

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

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

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

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

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

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

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

Records Administration.

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

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The Broadcasting Board of Governors (BBG) encompasses all U.S. civilian international broadcasting, including the Voice of America (VOA), Radio Free Europe/Radio Liberty (RFE/RL), Radio Free Asia (RFA), Radio and TV Marti, and the Middle East Broadcasting Networks (MBN) -- Radio Sawa and Alhurra Television. BBG broadcasters distribute programming in 59 languages to an estimated weekly audience of 171 million people via radio, TV, the Internet and other news media. The BBG works to serve as an example of a free and professional press, reaching a worldwide audience with new, information, and relevant discussions.

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

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

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

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

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

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

## **NORTHERN BORDER REGIONAL COMMISSION (90.601-90.699)**

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The Northern Border Regional Commission is a Federal-State governmental agency concerned with the economic well-being of the citizens and businesses within a thirty-six (36) county region of Maine, New Hampshire, New York, and Vermont (12 counties in Maine; 4 counties in New Hampshire, 14 counties in New York, and 6 counties in Vermont). The region served by the Commission has had chronic and contiguous long-term economic distress. The mission of the



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Commission is to eliminate these conditions, concentrating its efforts to develop water, sewer, energy and telecommunications infrastructure; providing job skills and employment related education, as well as entrepreneurship, technology and business development; provide basic health care and other public services for those areas that are severely economically distressed and underdeveloped; and to promote resource conservation, tourism, recreation, and preservation of open spaces in a manner consistent with economic development goals; and finally, to promote the development of renewable and alternative energy sources.

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

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

[www.eac.gov](http://www.eac.gov).

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

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

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

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

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

**Administration for Children and Families (93.009-93.010, 93.060, 93.075-93.076, 93.086-93.087, 93.090-93.093, 93.235, 93.254, 93.508, 93.550-93.551, 93.556-93.558, 93.560, 93.563-93.564, 93.566-93.570, 93.575-93.576, 93.579, 93.581, 93.583-93.584, 93.586-93.587, 93.590-93.605, 93.612-93.613, 93.616-93.618, 93.623, 93.630-93.632, 93.643, 93.645, 93.647-93.648, 93.652, 93.658-93.659, 93.667, 93.669-93.671, 93.674, 93.676, 93.708-93.711, 93.713-93.714, 93.716)**

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

**Administration for Community Living (93.041-93.045, 93.047-93.048, 93.051-93.054, 93.071-93.072, 93.517-93.518, 93.706, 93.725, 93.734, 93.747)**

Works with States, localities, the nonprofit sector, businesses and families to help more seniors and people with disabilities have the option to live in their homes and fully participate in their communities. ACLs mission is to maximize health, well-being, and independence for older adults, for people with disabilities across their lifespan, and for their families and their caregivers, by advancing policies, services and supports so that these individuals can live with dignity, make their own choices, and participate fully in society.

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

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

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

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

**Centers for Disease Control and Prevention (93.055-93.056, 93.061-93.070, 93.073-93.074, 93.116, 93.118, 93.135-93.136, 93.184-93.185, 93.197, 93.262, 93.268-93.270, 93.283, 93.338-93.339, 93.507, 93.520-93.521, 93.523-93.524, 93.531, 93.533, 93.535, 93.538-93.542, 93.544, 93.548, 93.606-93.607, 93.712, 93.717, 93.723-93.724, 93.729-93.730, 93.733, 93.735-93.745, 93.749, 93.919, 93.938-93.947, 93.977, 93.988, 93.991)**

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

**Centers for Medicare and Medicaid Services (93.506, 93.511, 93.519, 93.525, 93.529, 93.536-93.537, 93.545-93.546, 93.609-93.611, 93.621, 93.624, 93.626-93.627, 93.720, 93.767-93.768, 93.770, 93.773-93.775, 93.777-93.780, 93.784, 93.789-93.791, 93.793, 93.796)**

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

**Food and Drug Administration (93.058, 93.103, 93.448-93.449)**

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

**Health Resources and Services Administration (93.011, 93.059, 93.107, 93.110, 93.117, 93.124, 93.127, 93.129-93.130, 93.134, 93.145, 93.153, 93.155-93.157, 93.162, 93.165, 93.178, 93.186, 93.191, 93.211-93.212, 93.223-93.224, 93.234, 93.236, 93.241, 93.247, 93.249-93.251, 93.253, 93.255-93.257, 93.259, 93.264-93.267, 93.288, 93.300-93.301, 93.303, 93.342, 93.358-93.359, 93.364-93.365, 93.400-93.412, 93.414-93.417, 93.420, 93.440, 93.501-93.505, 93.509-93.510, 93.512-93.516, 93.522, 93.526-93.528, 93.530, 93.547, 93.549, 93.615, 93.622, 93.700, 93.703, 93.732, 93.822, 93.824, 93.884, 93.887-93.888, 93.908, 93.912-93.914, 93.917-93.918, 93.923-93.926, 93.928, 93.932, 93.964-93.965, 93.969, 93.994)**

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

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

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

**National Institutes of Health (93.077, 93.113, 93.121, 93.140, 93.142-93.143, 93.172-93.173, 93.187, 93.209, 93.213, 93.220, 93.232-93.233, 93.242, 93.273, 93.279-93.282, 93.285-93.286, 93.307-93.308, 93.310, 93.313, 93.350-93.352, 93.361, 93.389, 93.393-93.399, 93.701-93.702, 93.704, 93.837-93.839, 93.846-93.847, 93.853, 93.855-93.856, 93.859, 93.865-93.867, 93.879, 93.936, 93.989)**

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

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

No Description Provided

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

No Description Provided

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

No Description Provided

## **Office of the Secretary (93.001, 93.007-93.008, 93.015-93.016, 93.018, 93.078, 93.088-93.089, 93.239, 93.290, 93.296-93.297, 93.360, 93.451-93.453, 93.500, 93.718-93.719, 93.721, 93.726-93.728, 93.731, 93.889)**

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

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

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

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

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

## **Substance Abuse and Mental Health Services Administration (93.003, 93.104, 93.138, 93.150, 93.243, 93.275-93.276, 93.748, 93.958-93.959, 93.975, 93.982)**

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

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

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The Corporation for National Service is a federal agency working in partnership with state and local governments and non-profit organizations. The Corporation administers the AmeriCorps national service program, which includes national and state grant programs, AmeriCorps\*VISTA and the AmeriCorps\*National Civilian Community Corps; the National Senior Service Corps (Foster Grandparents, Senior Companions and the Retired and Senior Volunteer Program); and the Learn and Serve America service-learning program. The

Corporation's mission is to engage Americans of all backgrounds in community-based service. This service addresses the nation's education, public safety, human and environmental needs to achieve direct and demonstrable results. In doing so, the Corporation fosters civic responsibility, encourages community teamwork, and provides educational opportunity for those who make a substantial commitment to service.

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

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

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

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

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

# AGENCY INDEX SUMMARY

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

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

# AGENCY PROGRAM INDEX

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

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

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

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.054	Emergency Conservation Program (C)	X
10.055	Direct and Counter-cyclical Payments Program (C)	X
10.056	Farm Storage Facility Loans (E)	X
10.069	Conservation Reserve Program (C)	X
10.080	Milk Income Loss Contract Program (D)	X
10.085	Tobacco Transition Payment Program (D)	X
10.087	Biomass Crop Assistance Program (D)	X
10.088	Livestock Indemnity Program (C)	X
10.089	Livestock Forage Disaster Program (C)	X
10.090	Supplemental Revenue Assistance Program (C)	X
10.091	Emergency Assistance for Livestock, Honeybees, and Farm-Raised Fish Program (C)	X
10.092	Tree Assistance Program (D)	X
10.093	Voluntary Public Access and Habitat Incentive Program (A)	X
10.095	Durum Wheat Quality Program (D)	X
10.099	Conservation Loans (E,F)	X
10.102	Emergency Forest Restoration Program (D)	X
10.141	Dairy Product Price Support Program (D)	X
10.404	Emergency Loans (E)	X
10.406	Farm Operating Loans (E,F)	X
10.407	Farm Ownership Loans (E,F)	X
10.421	Indian Tribes and Tribal Corporation Loans (E)	X
10.435	State Mediation Grants (B)	X
10.437	Interest Assistance Program (F)	X
10.449	Boll Weevil Eradication Loan Program (E)	X
10.451	Noninsured Assistance (D)	X
 <b>FOOD AND NUTRITION SERVICE</b>		
10.551	Supplemental Nutrition Assistance Program (C)	X
10.553	School Breakfast Program (A)	X
10.555	National School Lunch Program (A)	X
10.556	Special Milk Program for Children (A)	X
10.557	Special Supplemental Nutrition Program for Women, Infants, and Children (A)	X
10.558	Child and Adult Care Food Program (A)	X
10.559	Summer Food Service Program for Children (A)	X
10.560	State Administrative Expenses for Child Nutrition (A)	X
10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)	X
10.565	Commodity Supplemental Food Program (A,H)	X
10.566	Nutrition Assistance For Puerto Rico (C)	X
10.567	Food Distribution Program on Indian Reservations (B,H)	X
10.568	Emergency Food Assistance Program (Administrative Costs) (A)	X
10.569	Emergency Food Assistance Program (Food Commodities) (A)	X
10.572	WIC Farmers' Market Nutrition Program (FMNP) (A)	X
10.574	Team Nutrition Grants (B)	X
10.575	Farm to School Grant Program (B,L,M)	X
10.576	Senior Farmers Market Nutrition Program (B)	X
10.577	SNAP Partnership Grant (B)	X
10.578	WIC Grants To States (WGS) (B)	X
10.579	Child Nutrition Discretionary Grants Limited Availability (B)	X
10.580	Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)	X
10.582	Fresh Fruit and Vegetable Program (B)	X
10.583	Hunger Free Communities (B)	X
10.584	SNAP Research Grants (B)	X
10.585	FNS Food Safety Grants (B)	X
10.586	Special Supplemental Nutrition Program for Women, Infants and Children; Nutrition Education Innovations (B)	X
10.587	National Food Service Management Institute Administration and Staffing Grant (B)	X
10.588	Assessment of Alternatives to Face-to-Face Interviews in SNAP (B)	X
10.589	Child Nutrition Direct Certification Performance Awards (C)	X

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>FOOD SAFETY AND INSPECTION SERVICE</b>		
10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)	X	
10.477 Meat, Poultry, and Egg Products Inspection (J)		X
10.479 Food Safety Cooperative Agreements (B)	X	
<b>FOREIGN AGRICULTURAL SERVICE</b>		
10.600 Foreign Market Development Cooperator Program (C)	X	
10.601 Market Access Program (C)	X	
10.602 CCC's Dairy Export Incentive Program (C)	X	
10.603 Emerging Markets Program (C)	X	
10.604 Technical Assistance for Specialty Crops Program (C)	X	
10.605 Quality Samples Program (C)	X	
10.606 Food for Progress (H)		X
10.608 Food for Education (H)		X
10.609 Trade Adjustment Assistance (D)	X	
10.610 Export Guarantee Program (F)	X	
10.612 USDA Local and Regional Food Aid Procurement Pilot Project (B)	X	
10.613 Faculty Exchange Program (B,C)	X	
10.614 Scientific Cooperation Exchange Program with China (B,C)	X	
10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship (B,C)	X	
10.960 Technical Agricultural Assistance (B,C)	X	
10.961 Scientific Cooperation and Research (B,C)	X	
10.962 Cochran Fellowship Program-International Training-Foreign Participant (B,C)	X	
<b>FOREST SERVICE</b>		
10.652 Forestry Research (B)	X	
10.664 Cooperative Forestry Assistance (A,B)	X	
10.665 Schools and Roads - Grants to States (A)	X	
10.666 Schools and Roads - Grants to Counties (A)	X	
10.672 Rural Development, Forestry, and Communities (B)	X	
10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)	X	
10.675 Urban and Community Forestry Program (B)	X	
10.676 Forest Legacy Program (B)	X	
10.678 Forest Stewardship Program (B)	X	
10.679 Collaborative Forest Restoration (B)	X	
10.680 Forest Health Protection (A,B)	X	
10.681 Wood Education and Resource Center (WERC) (B)	X	
10.682 National Forest Foundation (C)	X	
10.683 National Fish and Wildlife Foundation (C)	X	
10.684 International Forestry Programs (B)	X	
10.685 Community Wood Energy Program (B)	X	
10.686 Forest Biomass for Energy (B)	X	
10.687 Recovery Act of 2009: Capital Improvement and Maintenance (B)	X	
10.688 Recovery Act of 2009: Wildland Fire Management (B)	X	
10.689 Community Forest and Open Space Conservation Program (CFP) (B)	X	
10.690 Lake Tahoe Erosion Control Grant Program (B)	X	
10.691 Good Neighbor Authority (B)	X	
10.693 Watershed Restoration and Enhancement Agreement Authority (B)	X	
10.694 Southwest Forest Health and Wildfire Prevention (C)	X	
<b>NATIONAL AGRICULTURAL STATISTICS SERVICE</b>		
10.950 Agricultural Statistics Reports (L)		X
<b>NATIONAL INSTITUTE OF FOOD AND AGRICULTURE</b>		
10.200 Grants for Agricultural Research, Special Research Grants (B)	X	
10.202 Cooperative Forestry Research (A)	X	
10.203 Payments to Agricultural Experiment Stations Under the Hatch Act (A)	X	
10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University (A)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.206 Grants for Agricultural Research_Competitive Research Grants (B)	X	
10.207 Animal Health and Disease Research (A)	X	
10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)	X	
10.212 Small Business Innovation Research (B)	X	
10.215 Sustainable Agriculture Research and Education (B)	X	
10.216 1890 Institution Capacity Building Grants (B)	X	
10.217 Higher Education Challenge Grants (B)	X	
10.219 Biotechnology Risk Assessment Research (B)	X	
10.220 Higher Education Multicultural Scholars Program (B)	X	
10.221 Tribal Colleges Education Equity Grants (B)	X	
10.222 Tribal Colleges Endowment Program (A)	X	
10.223 Hispanic Serving Institutions Education Grants (B)	X	
10.225 Community Food Projects (B)	X	
10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)	X	
10.227 1994 Institutions Research Program (B)	X	
10.228 Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)	X	
10.303 Integrated Programs (B)	X	
10.304 Homeland Security_Agricultural (B)	X	
10.305 International Science and Education Grants (B)	X	
10.306 Biodiesel (B)	X	
10.307 Organic Agriculture Research and Extension Initiative (B)	X	
10.308 Resident Instruction Grants for Insular Area Activities (B)	X	
10.309 Specialty Crop Research Initiative (B)	X	
10.310 Agriculture and Food Research Initiative (AFRI) (B)	X	
10.311 Beginning Farmer and Rancher Development Program (B)	X	
10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI) (B)	X	
10.313 Veterinary Medicine Loan Repayment Program (C)	X	
10.314 New ERA Rural Technology Competitive Grants Program (B)	X	
10.315 Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (B)	X	
10.316 Healthy Urban Food Enterprise Development Center (HUFED) (B)	X	
10.317 Food Aid Nutrition Enhancement Program (B)	X	
10.318 Women and Minorities in Science, Technology, Engineering, and (B)	X	
10.319 Farm Business Management and Benchmarking Competitive Grants Program (B)	X	
10.320 Sun Grant Program (B)	X	
10.322 Distance Education Grants for Institutions of Higher Education in Insular Areas (B)	X	
10.324 Afghanistan Agricultural Extension Project (AAEP) (B)	X	
10.325 Peoples Garden Grant Program (B)	X	
10.326 Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA) (B)	X	
10.327 Common Bean Productivity Research for Global Food Security Competitive Program (B)	X	
<b>NATURAL RESOURCES CONSERVATION SERVICE</b>		
10.072 Wetlands Reserve Program (C)	X	
10.901 Resource Conservation and Development (K)		X
10.902 Soil and Water Conservation (K)		X
10.903 Soil Survey (L)		X
10.904 Watershed Protection and Flood Prevention (K)		X
10.905 Plant Materials for Conservation (J)		X
10.907 Snow Survey and Water Supply Forecasting (L)		X
10.912 Environmental Quality Incentives Program (C)	X	
10.913 Farm and Ranch Lands Protection Program (C)	X	
10.914 Wildlife Habitat Incentive Program (C)	X	
10.916 Watershed Rehabilitation Program (K)		X
10.917 Agricultural Management Assistance (C)	X	
10.920 Grassland Reserve Program (C)	X	
10.921 Conservation Security Program (C)	X	
10.922 Healthy Forests Reserve Program (HFRP) (C)	X	
10.923 Emergency Watershed Protection Program (B)	X	
10.924 Conservation Stewardship Program (B)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.925 Agricultural Water Enhancement Program (C)	X	
10.926 Chesapeake Bay Watershed Program (C)	X	
<b>RISK MANAGEMENT AGENCY</b>		
10.450 Crop Insurance (G)	X	
10.456 Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)	X	
10.458 Crop Insurance Education in Targeted States (B)	X	
10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)	X	
10.460 Risk Management Education and Outreach Partnerships Program (B)	X	
<b>RURAL BUSINESS-COOPERATIVE SERVICE</b>		
10.350 Technical Assistance to Cooperatives (J,K,L,M)		X
10.352 Value-Added Producer Grants (B)	X	
10.767 Intermediary Relending Program (E)	X	
10.768 Business and Industry Loans (F)	X	
10.769 Rural Business Enterprise Grants (B)	X	
10.771 Rural Cooperative Development Grants (B)	X	
10.773 Rural Business Opportunity Grants (B)	X	
10.778 Research on the Economic Impact of Cooperatives (C)	X	
10.854 Rural Economic Development Loans and Grants (B,E)	X	
10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)	X	
10.865 Biorefinery Assistance (F)	X	
10.866 Repowering Assistance (C)	X	
10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (D)	X	
10.868 Rural Energy for America Program (F)	X	
10.870 Rural Microentrepreneur Assistance Program (B,E)	X	
10.874 Delta Health Care Services Grant Program (B)	X	
<b>RURAL HOUSING SERVICE</b>		
10.405 Farm Labor Housing Loans and Grants (B,F)	X	
10.410 Very Low to Moderate Income Housing Loans (E,F)	X	
10.415 Rural Rental Housing Loans (B,E)	X	
10.417 Very Low-Income Housing Repair Loans and Grants (B,E)	X	
10.420 Rural Self-Help Housing Technical Assistance (B)	X	
10.427 Rural Rental Assistance Payments (C)	X	
10.433 Rural Housing Preservation Grants (B)	X	
10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)	X	
10.446 Rural Community Development Initiative (B)	X	
10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)	X	
10.448 Rural Development Multi-Family Housing Rural Housing Voucher Demonstration Program (C)	X	
10.766 Community Facilities Loans and Grants (B,E,F)	X	
<b>RURAL UTILITIES SERVICE</b>		
10.759 Part 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH) (B)	X	
10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)	X	
10.761 Technical Assistance and Training Grants (B)	X	
10.762 Solid Waste Management Grants (B)	X	
10.763 Emergency Community Water Assistance Grants (B)	X	
10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)	X	
10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)	X	
10.850 Rural Electrification Loans and Loan Guarantees (E,F)	X	
10.851 Rural Telephone Loans and Loan Guarantees (E,F)	X	
10.855 Distance Learning and Telemedicine Loans and Grants (B,E)	X	
10.857 State Bulk Fuel Revolving Fund Grants (B)	X	
10.858 Denali Commission Grants and Loans (B)	X	
10.859 Assistance to High Energy Cost Rural Communities (B)	X	
10.861 Public Television Station Digital Transition Grant Program (B)	X	
10.862 Household Water Well System Grant Program (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
10.863 Community Connect Grant Program (B)	X	
10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)	X	
10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)	X	
<b>THE OFFICE OF THE CHIEF ECONOMIST</b>		
10.290 Agricultural Market and Economic Research (B)	X	
<b>DEPARTMENT OF COMMERCE</b>		
<b>ECONOMIC DEVELOPMENT ADMINISTRATION</b>		
11.300 Investments for Public Works and Economic Development Facilities (B)	X	
11.302 Economic Development_Support for Planning Organizations (B)	X	
11.303 Economic Development_Technical Assistance (B)	X	
11.307 Economic Adjustment Assistance (B)	X	
11.312 Research and Evaluation Program (B)	X	
11.313 Trade Adjustment Assistance for Firms (B)	X	
<b>MINORITY BUSINESS DEVELOPMENT AGENCY</b>		
11.804 MBDA Business Center - American Indian and Alaska Native (B)	X	
<b>NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)</b>		
11.008 NOAA Mission-Related Education Awards (B)	X	
11.011 Ocean Exploration (B)	X	
11.012 Integrated Ocean Observing System (IOOS) (B)	X	
11.400 Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)	X	
11.407 Interjurisdictional Fisheries Act of 1986 (A)	X	
11.408 Fishermen's Contingency Fund (D)	X	
11.413 Fishery Products Inspection and Certification (J)		X
11.415 Fisheries Finance Program (E)	X	
11.417 Sea Grant Support (B)	X	
11.419 Coastal Zone Management Administration Awards (A,B)	X	
11.420 Coastal Zone Management Estuarine Research Reserves (B)	X	
11.426 Financial Assistance for National Centers for Coastal Ocean Science (B)	X	
11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)	X	
11.429 Marine Sanctuary Program (B)	X	
11.430 Undersea Research (B)	X	
11.431 Climate and Atmospheric Research (B)	X	
11.432 National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (B)	X	
11.433 Marine Fisheries Initiative (B)	X	
11.434 Cooperative Fishery Statistics (B)	X	
11.435 Southeast Area Monitoring and Assessment Program (B)	X	
11.436 Columbia River Fisheries Development Program (B)	X	
11.437 Pacific Fisheries Data Program (B)	X	
11.438 Pacific Coast Salmon Recovery_Pacific Salmon Treaty Program (B)	X	
11.439 Marine Mammal Data Program (B)	X	
11.440 Environmental Sciences, Applications, Data, and Education (B)	X	
11.441 Regional Fishery Management Councils (B)	X	
11.452 Unallied Industry Projects (B)	X	
11.454 Unallied Management Projects (B)	X	
11.457 Chesapeake Bay Studies (B)	X	
11.459 Weather and Air Quality Research (B)	X	
11.460 Special Oceanic and Atmospheric Projects (B)	X	
11.462 Hydrologic Research (B)	X	
11.463 Habitat Conservation (B)	X	
11.467 Meteorologic and Hydrologic Modernization Development (B,D,L,M)	X	
11.468 Applied Meteorological Research (B)	X	
11.469 Congressionally Identified Awards and Projects (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
11.472 Unallied Science Program (B)	X	
11.473 Coastal Services Center (B)	X	
11.474 Atlantic Coastal Fisheries Cooperative Management Act (B)	X	
11.478 Center for Sponsored Coastal Ocean Research_Coastal Ocean Program (B)	X	
11.481 Educational Partnership Program (B)	X	
11.482 Coral Reef Conservation Program (B)	X	
<b>NATIONAL TELECOMMUNICATIONS AND INFORMATION ADMINISTRATION</b>		
11.549 State and Local Implementation Grant Program (B)	X	
11.550 Public Telecommunications Facilities Planning and Construction (B)	X	
11.555 Public Safety Interoperable Communications Grant Program (B)	X	
11.557 Broadband Technology Opportunities Program (BTOP) (B)	X	
11.558 State Broadband Data and Development Grant Program (B)	X	
11.559 Low-Power Television and Translator Upgrade Program (B)	X	
<b>DEPARTMENT OF DEFENSE</b>		
<b>DEFENSE INTELLIGENCE AGENCY</b>		
12.598 Centers for Academic Excellence (B)	X	
<b>DEPARTMENT OF THE AIR FORCE, MATERIEL COMMAND</b>		
12.801 Air Force Academy Athletic Programs (B)	X	
<b>DEPARTMENT OF THE ARMY, OFFICE OF THE CHIEF OF ENGINEERS</b>		
12.130 Estuary Habitat Restoration Program (B)	X	
<b>FEDERAL VOTING ASSISTANCE PROGRAM</b>		
12.217 Electronic Absentee Systems for Elections (B)	X	
<b>MARINE CORPS SYSTEMS COMMAND</b>		
12.369 Marine Corps Systems Command Federal Assistance Program (B)	X	
<b>NAVAL MEDICAL LOGISTICS COMMAND</b>		
12.340 Naval Medical Research and Development (B)	X	
<b>OFFICE OF ECONOMIC ADJUSTMENT</b>		
12.610 Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies (B)	X	
12.611 Community Economic Adjustment Assistance for Reductions in Defense Industry Employment (B)	X	
12.614 Community Economic Adjustment Assistance for Advance Planning and Economic Diversification (B)	X	
<b>OFFICE OF THE SECRETARY OF DEFENSE</b>		
12.579 Language Training Center (B)	X	
<b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>		
14.265 Rural Capacity Building for Community Development and Affordable Housing Grants (B)	X	
14.893 Office of Native American Programs Training and Technical Assistance for Indian Housing Block Grant Program (M)		X
14.894 Office of Native American Programs Training and Technical Assistance for Native Hawaiian Housing Block Grant Program (M)		X
<b>OFFICE OF COMMUNITY PLANNING AND DEVELOPMENT</b>		
14.218 Community Development Block Grants/Entitlement Grants (A)	X	
14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)	X	
14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)	X	
14.231 Emergency Solutions Grant Program (A)	X	
14.235 Supportive Housing Program (B,C)	X	
14.238 Shelter Plus Care (B)	X	
14.239 Home Investment Partnerships Program (A)	X	
14.241 Housing Opportunities for Persons with AIDS (A)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
14.247 Self-Help Homeownership Opportunity Program (B)	X	
14.248 Community Development Block Grants_Section 108 Loan Guarantees (F)	X	
14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)	X	
14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)	X	
14.259 CPD's Transformation Initiative Technical Assistance (B)	X	
14.260 Veterans Homelessness Prevention Demonstration Program (B)	X	
14.261 Homeless Management Information Systems Technical Assistance (B)	X	
14.262 Homeless Prevention and Rapid Re-Housing Program Technical Assistance (B)	X	
14.264 Neighborhood Stabilization Program (B)	X	
14.266 Border Community Capital Initiative (B)	X	
14.267 Continuum of Care Program (B,C)	X	
14.268 Rural Housing Stability Assistance Program (B,C)	X	
<b>OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY</b>		
14.400 Equal Opportunity in Housing (N)		X
14.401 Fair Housing Assistance Program_State and Local (B)	X	
14.408 Fair Housing Initiatives Program (B)	X	
14.416 Education and Outreach Initiatives (B)	X	
14.417 Fair Housing Organization Initiatives (B)	X	
14.418 Private Enforcement Initiatives (B)	X	
14.419 Section 3 Technical Assistance (B)	X	
14.420 Fair Housing Initiatives Program Enforcement Testing Technical Assistance (B)	X	
14.421 Limited English Proficiency Initiative (B)	X	
<b>OFFICE OF HOUSING-FEDERAL HOUSING COMMISSIONER</b>		
14.103 Interest Reduction Payments_Rental and Cooperative Housing for Lower Income Families (C,F)	X	
14.108 Rehabilitation Mortgage Insurance (F)	X	
14.110 Manufactured Home Loan Insurance_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)	X	
14.117 Mortgage Insurance_Homes (F)	X	
14.119 Mortgage Insurance_Homes for Disaster Victims (F)	X	
14.122 Mortgage Insurance_Homes in Urban Renewal Areas (F)	X	
14.123 Mortgage Insurance_Housing in Older, Declining Areas (F)	X	
14.126 Mortgage Insurance_Cooperative Projects (F)	X	
14.127 Mortgage Insurance_Manufactured Home Parks (F)	X	
14.128 Mortgage Insurance_Hospitals (F)	X	
14.129 Mortgage Insurance_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)	X	
14.133 Mortgage Insurance_Purchase of Units in Condominiums (F)	X	
14.134 Mortgage Insurance_Rental Housing (F)	X	
14.135 Mortgage Insurance_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)	X	
14.138 Mortgage Insurance_Rental Housing for the Elderly (F)	X	
14.139 Mortgage Insurance_Rental Housing in Urban Renewal Areas (F)	X	
14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)	X	
14.149 Rent Supplements_Rental Housing for Lower Income Families (C)	X	
14.151 Supplemental Loan Insurance_Multifamily Rental Housing (F)	X	
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)	X	
14.157 Supportive Housing for the Elderly (C)	X	
14.159 Section 245 Graduated Payment Mortgage Program (F)	X	
14.162 Mortgage Insurance_Combination and Manufactured Home Lot Loans (F)	X	
14.163 Mortgage Insurance_Single Family Cooperative Housing (F)	X	
14.167 Mortgage Insurance_Two Year Operating Loss Loans, Section 223(d) (F)	X	
14.169 Housing Counseling Assistance Program (B)	X	
14.171 Manufactured Home Dispute Resolution (J)		X
14.172 Mortgage Insurance_Growing Equity Mortgages (F)	X	
14.175 Adjustable Rate Mortgages (F)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
14.181 Supportive Housing for Persons with Disabilities (C)	X	
14.183 Home Equity Conversion Mortgages (F)	X	
14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)	X	
14.188 Housing Finance Agencies (HFA) Risk Sharing (F)	X	
14.189 Qualified Participating Entities (QPE) Risk Sharing (F)	X	
14.191 Multifamily Housing Service Coordinators (B)	X	
14.195 Section 8 Housing Assistance Payments Program (C)	X	
14.198 Good Neighbor Next Door Sales Program (H)		X
14.311 Single Family Property Disposition (H)		X
14.313 Dollar Home Sales (H)		X
14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)	X	
14.316 Housing Counseling Training Program (B)	X	
14.321 FHA Technical Assistance Training Transformation Initiative (M)		X
14.322 Tenant Resource Network Program (B)	X	
14.323 Emergency Homeowners Loan Program (E)	X	
14.324 FHA PowerSaver Home Energy Improvement Pilot Program (F)	X	
14.326 Project Rental Assistance Demonstration (PRA Demo) Program of Section 811 Supportive Housing for Persons with Disabilities (B)	X	
14.327 Performance Based Contract Administrator Program (C)	X	
<b>OFFICE OF POLICY DEVELOPMENT AND RESEARCH</b>		
14.008 Transformation Initiative: Choice Neighborhoods Demonstration Small Research Grant Program (B)	X	
14.523 Transformation Initiative Research Grants: Sustainable Community Research Grant Program (B)	X	
14.534 Strong Cities Strong Communities (SC2) National Resource Network (B)	X	
<b>OFFICE OF PUBLIC AND INDIAN HOUSING</b>		
14.850 Public and Indian Housing (C)	X	
14.856 Lower Income Housing Assistance Program_Section 8 Moderate Rehabilitation (C)	X	
14.862 Indian Community Development Block Grant Program (B)	X	
14.865 Public and Indian Housing_Indian Loan Guarantee Program (F)	X	
14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)	X	
14.867 Indian Housing Block Grants (A)	X	
14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)	X	
14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)	X	
14.871 Section 8 Housing Choice Vouchers (C)	X	
14.872 Public Housing Capital Fund (A)	X	
14.873 Native Hawaiian Housing Block Grants (B)	X	
14.874 Loan Guarantees for Native Hawaiian Housing (F)	X	
14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)	X	
14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)	X	
14.879 Mainstream Vouchers (C)	X	
14.880 Family Unification Program (FUP) (C)	X	
14.881 Moving to Work Demonstration Program (A)	X	
14.889 Choice Neighborhoods Implementation Grants (B)	X	
14.890 Capital Fund Education and Training Community Facilities (B)	X	
14.891 Public and Indian Housing Transformation Initiative (TI) Technical Assistance (TA) (J)		X
14.892 Choice Neighborhoods Planning Grants (B)	X	
<b>OFFICE OF SUSTAINABLE HOUSING AND COMMUNITY</b>		
14.703 Sustainable Communities Regional Planning Grant Program (B)	X	
14.704 Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (B)	X	
14.705 Capacity Building for Sustainable Communities (B)	X	
<b>DEPARTMENT OF THE INTERIOR</b>		
15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program (B)	X	
<b>BUREAU OF INDIAN AFFAIRS</b>		
15.022 Tribal Self-Governance (C)	X	

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Program Description	Financial	Non-Financial
15.024 Indian Self-Determination Contract Support (C)	X	
15.108 Indian Employment Assistance (C)	X	
15.133 Native American Business Development Institute (A)	X	
15.146 Ironworker Training Program (B)	X	
<b>BUREAU OF INDIAN EDUCATION</b>		
15.026 Indian Adult Education (C)	X	
15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)	X	
15.028 Tribally Controlled Community College Endowments (B)	X	
15.042 Indian School Equalization Program (C)	X	
15.043 Indian Child and Family Education (B,M)	X	
15.044 Indian Schools_Student Transportation (C)	X	
15.046 Administrative Cost Grants for Indian Schools (B)	X	
15.047 Indian Education Facilities, Operations, and Maintenance (C)	X	
15.058 Indian Post Secondary Schools (M)		X
15.059 Indian Graduate Student Scholarships (B)	X	
15.114 Indian Education_Higher Education Grant Program (B)	X	
15.130 Indian Education_Assistance to Schools (C)	X	
15.149 FOCUS on Student Achievement Project (B)	X	
15.151 Education Program Enhancements (B)	X	
<b>BUREAU OF LAND MANAGEMENT</b>		
15.214 Non-Sale Disposals of Mineral Material (H)		X
15.222 Cooperative Inspection Agreements with States and Tribes (B)	X	
15.224 Cultural Resource Management (B,I,J,K,L,M,N)	X	
15.225 Recreation Resource Management (B,I,J,K,L,M)	X	
15.227 Distribution of Receipts to State and Local Governments (C,D)	X	
15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)	X	
15.229 Wild Horse and Burro Resource Management (B,I,J,K,L,M)	X	
15.230 Invasive and Noxious Plant Management (B,K,M)	X	
15.231 Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)	X	
15.232 Wildland Fire Research and Studies Program (B)	X	
15.233 Forests and Woodlands Resource Management (B,K,M)	X	
15.234 Secure Rural Schools and Community Self-Determination (B)	X	
15.235 Southern Nevada Public Land Management (B)	X	
15.236 Environmental Quality and Protection Resource Management (B,K,L,M)	X	
15.237 Rangeland Resource Management (B,K,M)	X	
15.238 Challenge Cost Share (B,I,K,M)	X	
15.239 Management Initiatives (B,I,K,M)	X	
15.240 Helium Resource Management (B)	X	
15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (B,I,M)	X	
15.242 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	X	
<b>BUREAU OF RECLAMATION</b>		
15.504 Water Reclamation and Reuse Program (A)	X	
15.506 Water Desalination Research and Development Program (B)	X	
15.507 WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (B)	X	
15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (B,C)	X	
15.509 Colorado River Basin Salinity Control Program (B)	X	
15.510 Colorado Ute Indian Water Rights Settlement Act (B,C)	X	
15.511 Cultural Resources Management (B)	X	
15.512 Central Valley Project Improvement Act, Title XXXIV (B)	X	
15.513 Dutch John Federal Property and Disposition Assistance Act (B)	X	
15.514 Reclamation States Emergency Drought Relief (B,C,J,K)	X	
15.516 Fort Peck Reservation Rural Water System (B,C)	X	
15.517 Fish and Wildlife Coordination Act (B)	X	
15.518 Garrison Diversion Unit (B)	X	
15.519 Indian Tribal Water Resources Development, Management, and Protection (B,C)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
15.520 Lewis and Clark Rural Water System (B)	X	
15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)	X	
15.522 Mni Wiconi Rural Water Supply Project (B)	X	
15.524 Recreation Resources Management (B)	X	
15.525 Rocky Boy's/North Central Montana Regional Water System (B)	X	
15.526 San Gabriel Basin Restoration Project (B)	X	
15.527 San Luis Unit, Central Valley Project (B)	X	
15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B,C)	X	
15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)	X	
15.530 Water Conservation Field Services Program (WCFSP) (B)	X	
15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)	X	
15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)	X	
15.533 California Water Security and Environmental Enhancement (B)	X	
15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)	X	
15.537 Middle Rio Grande Endangered Species Collaborative Program (B)	X	
15.538 Lower Colorado River Multi-Species Conservation Program. (B)	X	
15.539 Equus Beds Division Aquifer Storage Recharge Project (B)	X	
15.540 Lake Mead/Las Vegas Wash Program (B)	X	
15.541 Colorado River Basin Projects Act of 1968 (B)	X	
15.542 Arizona Water Settlement Act of 2004 (B,C)	X	
15.543 Lake Tahoe Regional Wetlands Development Program (B)	X	
15.544 Platte River Recovery Implementation Program (B)	X	
15.545 Bunker Hill Groundwater Basin, Riverside-Corona Feeder Project (B)	X	
15.546 Youth Conservation Program (B)	X	
15.547 San Jacinto Basin Restoration Fund (B)	X	
15.548 Reclamation Rural Water Supply Program (B)	X	
15.549 Integrated Regional Water Plan for the Central Valley of California (B)	X	
15.550 Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children (B)	X	
15.551 Madera Water Supply Enhancement Project (B)	X	
15.552 NAVAJO-GALLUP WATER SUPPLY PROJECT (B)	X	
15.553 Eastern New Mexico Rural Water System Project (B)	X	
15.554 Cooperative Watershed Management Program (B)	X	
15.555 San Joaquin River Restoration Program (B)	X	
15.556 Crow Tribe Water Rights Settlement (C)	X	
15.557 Desert and Southern Rockies Landscape Conservation Cooperatives (B)	X	
15.558 White Mountain Apache Tribe Rural Water System (C)	X	
15.559 New Mexico Rio Grande Basin Pueblos Irrigation Infrastructure Project (B,C)	X	
15.560 SECURE Water Act Research Agreements (B)	X	
15.561 Savage Rapids Pumping Plant Project (B)	X	
<b>FISH AND WILDLIFE SERVICE</b>		
15.605 Sport Fish Restoration Program (A)	X	
15.608 Fish and Wildlife Management Assistance (B)	X	
15.611 Wildlife Restoration and Basic Hunter Education (A)	X	
15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)	X	
15.615 Cooperative Endangered Species Conservation Fund (B)	X	
15.616 Clean Vessel Act (B)	X	
15.619 Rhinoceros and Tiger Conservation Fund (B)	X	
15.620 African Elephant Conservation Fund (B)	X	
15.621 Asian Elephant Conservation Fund (B)	X	
15.622 Sportfishing and Boating Safety Act (B)	X	
15.623 North American Wetlands Conservation Fund (B)	X	
15.625 Wildlife Conservation and Restoration (A)	X	
15.626 Enhanced Hunter Education and Safety Program (A)	X	
15.628 Multistate Conservation Grant Program (B)	X	
15.629 Great Apes Conservation Fund (B)	X	
15.630 Coastal Program (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
15.631 Partners for Fish and Wildlife (B)	X	
15.633 Landowner Incentive Program (B)	X	
15.634 State Wildlife Grants (A,B)	X	
15.635 Neotropical Migratory Bird Conservation (B)	X	
15.636 Alaska Subsistence Management (B)	X	
15.637 Migratory Bird Joint Ventures (B)	X	
15.639 Tribal Wildlife Grants Program (B)	X	
15.640 Wildlife Without Borders- Latin America and the Caribbean (B)	X	
15.641 Wildlife Without Borders-Mexico (B)	X	
15.642 Challenge Cost Share (B)	X	
15.643 Alaska Migratory Bird Co-Management Council (B)	X	
15.644 Federal Junior Duck Stamp Conservation and Design (B)	X	
15.645 Marine Turtle Conservation Fund (B)	X	
15.647 Migratory Bird Conservation (B,C)	X	
15.648 Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)	X	
15.649 Service Training and Technical Assistance (Generic Training) (B)	X	
15.650 Research Grants (Generic) (B)	X	
15.651 Wildlife Without Borders-Africa Program (B)	X	
15.652 Undesirable/Noxious Plant Species (B)	X	
15.653 National Outreach and Communication Program (B)	X	
15.654 Visitor Facility Enhancements - Refuges and Wildlife (B)	X	
15.655 Migratory Bird Monitoring, Assessment and Conservation (B,C)	X	
15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (B)	X	
15.657 Endangered Species Conservation Recovery Implementation Funds (B)	X	
15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)	X	
15.659 National Wildlife Refuge Fund (D)	X	
15.660 Endangered Species - Candidate Conservation Action Funds (B)	X	
15.661 Lower Snake River Compensation Plan (B)	X	
15.662 Great Lakes Restoration (B)	X	
15.663 National Fish and Wildlife Foundation (B)	X	
15.664 Fish and Wildlife Coordination and Assistance Programs (B)	X	
15.665 National Wetlands Inventory (B)	X	
15.666 Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention (B)	X	
15.667 Highlands Conservation Program (B)	X	
<b>NATIONAL PARK SERVICE</b>		
15.406 National Park Service Centennial Challenge. (A)	X	
15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B,K)	X	
15.904 Historic Preservation Fund Grants-In-Aid (A,B)	X	
15.912 National Historic Landmark (K)		X
15.914 National Register of Historic Places (K)		X
15.915 Technical Preservation Services (J,K,L)		X
15.916 Outdoor Recreation_Acquisition, Development and Planning (B)	X	
15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (H)		X
15.921 Rivers, Trails and Conservation Assistance (K)		X
15.922 Native American Graves Protection and Repatriation Act (B)	X	
15.923 National Center for Preservation Technology and Training (B)	X	
15.926 American Battlefield Protection (B)	X	
15.927 Hydropower Recreation Assistance (K)		X
15.928 Civil War Battlefield Land Acquisition Grants (B)	X	
15.929 Save America's Treasures (B)	X	
15.930 Chesapeake Bay Gateways Network (B)	X	
15.931 Conservation Activities by Youth Service Organizations (B)	X	
15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B)	X	
15.933 Preservation of Japanese American Confinement Sites (B)	X	
15.934 Abandoned Mine Hazard Mitigation (B,C)	X	
15.935 National Trails System Projects (B)	X	



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Program Description	Financial	Non-Financial
15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (C)	X	
15.937 Redwood National Park Cooperative Management with the State of California (B,H,I,K,L,M)	X	
15.938 Boston African-American National Historic Site Cooperative Agreement with the Museum of African American History (B,H,I,K,L,M)	X	
15.939 National Heritage Area Federal Financial Assistance (C)	X	
15.940 New Bedford Whaling National Historic Park Cooperative Management (C)	X	
15.941 Mississippi National River and Recreation Area State and Local Assistance (B)	X	
15.942 Environmental Education and Conservation - North Cascades Bioregion (C,J)	X	
15.943 Challenge Cost Share (C)	X	
15.944 Natural Resource Stewardship (B,C)	X	
15.945 Cooperative Research and Training Programs Resources of the National Park System (B,C,I,L,M)	X	
15.946 Cultural Resources Management (B,C)	X	
15.947 Boston Harbor Islands Partnership (B)	X	
15.948 National Fire Plan-Wildland Urban Interface Community Fire Assistance (B,I,J,K,L)	X	
15.949 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)	X	
15.954 National Park Service Conservation, Protection, Outreach, and Education (B)	X	
<b>OFFICE OF INSULAR AFFAIRS</b>		
15.875 Economic, Social, and Political Development of the Territories (A,B,D)	X	
<b>OFFICE OF NATURAL RESOURCES REVENUE</b>		
15.427 Federal Oil and Gas Royalty Management (B)	X	
15.429 State Select (C)	X	
15.430 8(g) State Coastal Zone (C)	X	
15.431 Alaska State Select (D)	X	
15.432 California Refuge Account (D)	X	
15.433 Flood Control Act Lands (C)	X	
15.436 Late Disbursement Interest (D)	X	
15.439 National Petroleum Reserve - Alaska (C)	X	
<b>OFFICE OF SURFACE MINING</b>		
15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)	X	
15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)	X	
15.253 Not-for-Profit AMD Reclamation (B)	X	
15.254 Summer Intern and Year-Long OSM/VISTA Watershed Support (C)	X	
15.255 Science and Technology Projects Related to Coal Mining and Reclamation (B)	X	
<b>THE BUREAU OF OCEAN ENERGY MANAGEMENT, REGULATION, AND ENFORCEMENT</b>		
15.421 Alaska Coastal Marine Institute (B)	X	
15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)	X	
15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)	X	
15.424 Marine Minerals Activities (B)	X	
15.428 Marine Gas Hydrate Research Activities (B)	X	
15.441 Safety and Environmental Enforcement Research and Data Collection for Offshore Energy and Mineral Activities (B)	X	
<b>U.S. GEOLOGICAL SURVEY</b>		
15.805 Assistance to State Water Resources Research Institutes (A,B)	X	
15.807 Earthquake Hazards Reduction Program (B)	X	
15.808 U.S. Geological Survey_ Research and Data Collection (B)	X	
15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)	X	
15.810 National Cooperative Geologic Mapping Program (B)	X	
15.811 Gap Analysis Program (B)	X	
15.812 Cooperative Research Units Program (B)	X	
15.813 Cooperative Research Units Training Program (B)	X	
15.814 National Geological and Geophysical Data Preservation Program (B)	X	
15.815 National Land Remote Sensing_Education Outreach and Research (B)	X	
15.816 Minerals Resources External Research Program (B)	X	
15.817		

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Program Description	Financial	Non-Financial
National Geospatial Program: Building The National Map (B)		
15.818 Volcano Hazards Program Research and Monitoring. (B)	X	
15.819 Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B)	X	
15.820 National Climate Change and Wildlife Science Center (B)	X	
15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)	X	
<b>DEPARTMENT OF JUSTICE</b>		
16.818 Children Exposed to Violence (B)	X	
16.819 National Forum on Youth Violence Prevention (B)	X	
16.821 Juvenile Justice Reform and Reinvestment Demonstration Program (B)	X	
16.922 Equitable Sharing Program (C)	X	
<b>BUREAU OF JUSTICE ASSISTANCE</b>		
16.015 Missing Alzheimer's Disease Patient Assistance Program (B)	X	
16.571 Public Safety Officers' Benefits Program (D)	X	
16.578 Federal Surplus Property Transfer Program (H)		X
16.585 Drug Court Discretionary Grant Program (B)	X	
16.593 Residential Substance Abuse Treatment for State Prisoners (A)	X	
16.596 Correctional Grant Program for Indian Tribes (B)	X	
16.606 State Criminal Alien Assistance Program (C)	X	
16.607 Bulletproof Vest Partnership Program (C)	X	
16.608 Tribal Court Assistance Program (B)	X	
16.609 Project Safe Neighborhoods (B)	X	
16.610 Regional Information Sharing Systems (B)	X	
16.611 Closed-Circuit Televising of Child Victims of Abuse (B)	X	
16.614 State and Local Anti-Terrorism Training (K,L,M)		X
16.615 Public Safety Officers' Educational Assistance (D)	X	
16.616 Indian Country Alcohol and Drug Prevention (B)	X	
16.735 Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)	X	
16.738 Edward Byrne Memorial Justice Assistance Grant Program (A,B)	X	
16.740 Statewide Automated Victim Information Notification (SAVIN) Program (B)	X	
16.745 Criminal and Juvenile Justice and Mental Health Collaboration Program (B)	X	
16.746 Capital Case Litigation (B)	X	
16.751 Edward Byrne Memorial Competitive Grant Program (B)	X	
16.752 Economic High-Tech and Cyber Crime Prevention (B)	X	
16.753 Congressionally Recommended Awards (B)	X	
16.754 Harold Rogers Prescription Drug Monitoring Program (B)	X	
16.755 Southwest Border Prosecution Initiative Program (D)	X	
16.812 Second Chance Act Prisoner Reentry Initiative (B)	X	
16.814 Northern Border Prosecution Initiative Program (D)	X	
16.815 Tribal Civil and Criminal Legal Assistance Grants, Training and Technical Assistance (B)	X	
16.816 John R. Justice Prosecutors and Defenders Incentive Act (A)	X	
16.817 Byrne Criminal Justice Innovation Program (B)	X	
<b>BUREAU OF JUSTICE STATISTICS</b>		
16.550 State Justice Statistics Program for Statistical Analysis Centers (B)	X	
16.554 National Criminal History Improvement Program (NCHIP) (B)	X	
16.734 Special Data Collections and Statistical Studies (B)	X	
16.813 NICS Act Record Improvement Program (B)	X	
<b>CIVIL RIGHTS DIVISION</b>		
16.100 Desegregation of Public Education (J)		X
16.101 Equal Employment Opportunity (J)		X
16.103 Fair Housing and Equal Credit Opportunity (J)		X
16.104 Protection of Voting Rights (J)		X
16.105 Civil Rights of Institutionalized Persons (J)		X
16.109 Civil Rights Prosecution (B)	X	
	X	

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Program Description	Financial	Non-Financial
<b>COMMUNITY RELATIONS SERVICE</b>		
16.200 Community Relations Service (J)		X
<b>DRUG ENFORCEMENT ADMINISTRATION</b>		
16.001 Law Enforcement Assistance_Narcotics and Dangerous Drugs_Laboratory Analysis (J)		X
16.003 Law Enforcement Assistance_Narcotics and Dangerous Drugs Technical Laboratory Publications (L)		X
16.004 Law Enforcement Assistance_Narcotics and Dangerous Drugs Training (M)		X
<b>FEDERAL BUREAU OF INVESTIGATION</b>		
16.300 Law Enforcement Assistance_FBI Advanced Police Training (M)		X
16.301 Law Enforcement Assistance_FBI Crime Laboratory Support (J,M)		X
16.302 Law Enforcement Assistance_FBI Field Police Training (M)		X
16.303 Law Enforcement Assistance_FBI Fingerprint Identification (J)		X
16.304 Law Enforcement Assistance_National Crime Information Center (J)		X
16.305 Law Enforcement Assistance_Uniform Crime Reports (L)		X
16.307 Combined DNA Index System (B)	X	
16.308 Indian Country Investigations (M)		X
16.309 Law Enforcement Assistance_National Instant Criminal Background Check System (J)		X
<b>NATIONAL INSTITUTE OF JUSTICE</b>		
16.560 National Institute of Justice Research, Evaluation, and Development Project Grants (B,L)	X	
16.562 Criminal Justice Research and Development_Graduate Research Fellowships (B)	X	
16.741 DNA Backlog Reduction Program (A,B)	X	
16.742 Paul Coverdell Forensic Sciences Improvement Grant Program (A)	X	
16.820 Postconviction DNA Testing Program (B)	X	
<b>OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION</b>		
16.737 Gang Resistance Education and Training (B)	X	
<b>OFFICE OF SEX OFFENDER SENTENCING, MONITORING, APPREHENDING, REGISTERING, AND TRACKING</b>		
16.203 Promoting Evidence Integration in Sex Offender Management Discretionary Grant Program (B,M)	X	
16.750 Support for Adam Walsh Act Implementation Grant Program (B)	X	
<b>OFFICE OF VICTIMS OF CRIME</b>		
16.320 Services for Trafficking Victims (B,C)	X	
16.321 Antiterrorism Emergency Reserve (B)	X	
16.575 Crime Victim Assistance (A)	X	
16.582 Crime Victim Assistance/Discretionary Grants (B,C)	X	
16.583 Children's Justice Act Partnerships for Indian Communities (B,C)	X	
<b>VIOLENCE AGAINST WOMEN OFFICE</b>		
16.013 Violence Against Women Act Court Training and Improvement Grants (B)	X	
16.016 Culturally and Linguistically Specific Services Program (B)	X	
16.017 Sexual Assault Services Formula Program (A,B)	X	
16.524 Legal Assistance for Victims (B)	X	
16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)	X	
16.527 Supervised Visitation, Safe Havens for Children (B)	X	
16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)	X	
16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)	X	
16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)	X	
16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (B)	X	
16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)	X	
16.888 Consolidated And Technical Assistance Grant Program to Address Children and Youth Experiencing Domestic and Sexual Violence and Engage Men and Boys as Allies (B)	X	
<b>DEPARTMENT OF LABOR</b>		
<b>EMPLOYEE BENEFITS SECURITY ADMINISTRATION</b>		

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
17.150 Employee Benefits Security Administration (L)		X
<b>EMPLOYMENT TRAINING ADMINISTRATION</b>		
17.201 Registered Apprenticeship (B,L,M)	X	
17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)	X	
17.225 Unemployment Insurance (A,D)	X	
17.235 Senior Community Service Employment Program (A,B)	X	
17.245 Trade Adjustment Assistance (A)	X	
17.258 WIA Adult Program (A)	X	
17.259 WIA Youth Activities (A)	X	
17.260 WIA Dislocated Workers (A,B)	X	
17.261 WIA Pilots, Demonstrations, and Research Projects (B)	X	
17.264 National Farmworker Jobs Program (A)	X	
17.265 Native American Employment and Training (A)	X	
17.267 Incentive Grants - WIA Section 503 (B)	X	
17.268 H-1B Job Training Grants (B)	X	
17.270 Reintegration of Ex-Offenders (B)	X	
17.271 Work Opportunity Tax Credit Program (WOTC) (A)	X	
17.272 Permanent Labor Certification for Foreign Workers (J)		X
17.273 Temporary Labor Certification for Foreign Workers (A,J,O)	X	
17.274 Youthbuild (B)	X	
17.275 Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B)	X	
17.276 Health Care Tax Credit (HCTC) National Emergency Grants (NEGs) (B)	X	
17.277 Workforce Investment Act (WIA) National Emergency Grants (B)	X	
17.278 WIA Dislocated Worker Formula Grants (A)	X	
17.279 Green Jobs Innovation Fund Grants (B)	X	
17.280 Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (B)	X	
17.281 Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (B)	X	
17.282 Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants (B)	X	
17.283 Workforce Innovation Fund (B)	X	
<b>MINE SAFETY AND HEALTH ADMINISTRATION</b>		
17.600 Mine Health and Safety Grants (B)	X	
17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)		X
17.602 Mine Health and Safety Education and Training (M)		X
17.603 Brookwood-Sago Grant (B)	X	
<b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION</b>		
17.502 Occupational Safety and Health_Susan Harwood Training Grants (B)	X	
17.503 Occupational Safety and Health_State Program (B)	X	
17.504 Consultation Agreements (B)	X	
17.505 OSHA Data Initiative (B)	X	
<b>OFFICE OF LABOR-MANAGEMENT STANDARDS</b>		
17.309 Labor Organization Reports (K,L,N)		X
<b>OFFICE OF THE SECRETARY, WOMEN'S BUREAU</b>		
17.700 Women's Bureau (K)		X
<b>OFFICE OF WORKERS' COMPENSATION PROGRAMS</b>		
17.302 Longshore and Harbor Workers' Compensation (D)	X	
17.307 Coal Mine Workers' Compensation (D)	X	
17.310 Energy Employees Occupational Illness Compensation (D)	X	
<b>VETERAN'S EMPLOYMENT AND TRAINING SERVICE</b>		
17.801 Disabled Veterans' Outreach Program (DVOP) (A)	X	
17.802 Veterans' Employment Program (B)	X	
17.804 Local Veterans' Employment Representative Program (A)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
17.805 Homeless Veterans Reintegration Project (B)	X	
17.807 Transition Assistance Program (B)	X	
<b>U.S. DEPARTMENT OF STATE</b>		
<b>BUREAU OF COUNTERTERRORISM</b>		
19.701 Global Counterterrorism Programs (B)	X	
<b>BUREAU OF EAST ASIAN AND PACIFIC AFFAIRS</b>		
19.124 East Asia and Pacific Grants Program (B)	X	
<b>BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS</b>		
19.009 Academic Exchange Programs - Undergraduate Programs (B)	X	
19.010 Academic Exchange Programs - Hubert H. Humphrey Fellowship Program (B)	X	
19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)	X	
19.015 Cultural, Technical and Educational Centers (B)	X	
19.022 Educational and Cultural Exchange Programs Appropriation Overseas Grants (B)	X	
19.400 Academic Exchange Programs - Graduate Students (B)	X	
19.401 Academic Exchange Programs - Scholars (B)	X	
19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)	X	
19.408 Academic Exchange Programs - Teachers (B)	X	
19.415 Professional and Cultural Exchange Programs - Citizen Exchanges (B)	X	
19.421 Academic Exchange Programs - English Language Programs (B)	X	
19.432 Academic Exchange Programs - Educational Advising and Student Services (B)	X	
19.450 ECA Individual Grants (B)	X	
<b>BUREAU OF INTERNATIONAL SECURITY AND NONPROLIFERATION</b>		
19.033 Global Threat Reduction (B)	X	
<b>BUREAU OF WESTERN HEMISPHERE AFFAIRS</b>		
19.750 Bureau of Western Hemisphere Affairs (WHA) Grant Programs (including Energy and Climate Partnership for the Americas) (B)	X	
<b>DIPLOMATIC SECURITY</b>		
19.030 Antiterrorism Assistance Domestic Training Programs (B)	X	
19.031 Research and Development - Physical Security Programs (B)	X	
<b>INTERNATIONAL NARCOTICS AND LAW ENFORCEMENT AFFAIRS</b>		
19.703 CRIMINAL JUSTICE SYSTEMS (B)	X	
19.704 COUNTERNARCOTICS (B)	X	
19.705 TRANSNATIONAL CRIME (B)	X	
<b>OFFICE OF OVERSEAS SCHOOLS</b>		
19.023 Overseas Schools Program (B)	X	
<b>OFFICE OF THE COORDINATOR OF U.S. ASSISTANCE TO EUROPE AND EURASIA</b>		
19.900 AEECA PD Programs (B)	X	
<b>OFFICE OF THE SECRETARY OF STATE</b>		
19.301 The Secretary's Office of the Global Partnership Initiative (S/GPI) Grant Programs (B)	X	
<b>SECRETARY OFFICE REPRESENTATIVE TO MUSLIM COMMUNITIES</b>		
19.032 Global Engagement (B)	X	
<b>UNDER SECRETARY FOR PUBLIC DIPLOMACY AND PUBLIC AFFAIRS</b>		
19.040 Public Diplomacy Programs (B)	X	
<b>DEPARTMENT OF TRANSPORTATION</b>		
<b>FEDERAL AVIATION ADMINISTRATION (FAA)</b>		

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
20.106 Airport Improvement Program (B,K)	X	
20.108 Aviation Research Grants (B,I)	X	
20.109 Air Transportation Centers of Excellence (B,I,J)	X	
<b>FEDERAL HIGHWAY ADMINISTRATION (FHWA)</b>		
20.200 Highway Research and Development Program (B)	X	
20.205 Highway Planning and Construction (A,B)	X	
20.215 Highway Training and Education (B,M)	X	
20.219 Recreational Trails Program (A)	X	
20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)	X	
20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)	X	
<b>FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION (FMCSA)</b>		
20.218 National Motor Carrier Safety (A)	X	
20.231 Performance and Registration Information Systems Management (B)	X	
20.232 Commercial Driver's License Program Improvement Grant (B)	X	
20.233 Border Enforcement Grants (B)	X	
20.234 Safety Data Improvement Program (B)	X	
20.235 Commercial Motor Vehicle Operator Training Grants (B)	X	
20.237 Commercial Vehicle Information Systems and Networks (B)	X	
20.238 Commercial Drivers License Information System (CDLIS) Modernization Grant (B)	X	
20.239 Motor Carrier Research and Technology Programs (B)	X	
<b>FEDERAL RAILROAD ADMINISTRATION (FRA)</b>		
20.301 Railroad Safety (B)	X	
20.313 Railroad Research and Development (B)	X	
20.314 Railroad Development (B)	X	
20.315 National Railroad Passenger Corporation Grants (B)	X	
20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)	X	
20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)	X	
20.318 Maglev Project Selection Program - SAFETEA-LU (B)	X	
20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B)	X	
20.320 Rail Line Relocation and Improvement (B)	X	
20.321 RAILROAD SAFETY TECHNOLOGY GRANTS (B)	X	
<b>FEDERAL TRANSIT ADMINISTRATION (FTA)</b>		
20.500 Federal Transit_Capital Investment Grants (A,B)	X	
20.505 Metropolitan Transportation Planning (A)	X	
20.507 Federal Transit_Formula Grants (A)	X	
20.509 Formula Grants for Other Than Urbanized Areas (A)	X	
20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)	X	
20.514 Public Transportation Research (B,L,M)	X	
20.515 State Planning and Research (A)	X	
20.516 Job Access_Reverse Commute (B)	X	
20.518 Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)	X	
20.519 Clean Fuels (B)	X	
20.520 Paul S. Sarbanes Transit in the Parks (B)	X	
20.521 New Freedom Program (A)	X	
20.522 Alternatives Analysis (B)	X	
20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)	X	
20.524 Passenger Rail Investment and Improvement (PRIIA) Projects for Washington Metropolitan Area Transit Authority (WMATA) (B)	X	
<b>MARITIME ADMINISTRATION (MARAD)</b>		
20.802 Federal Ship Financing Guarantees (F)	X	
20.803 Maritime War Risk Insurance (G)	X	
20.806 State Maritime Schools (C,I)	X	
20.807 U.S. Merchant Marine Academy (M)		X

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
20.808 Capital Construction Fund (C)	X	
20.812 Construction Reserve Fund (C)	X	
20.813 Maritime Security Fleet Program (C)	X	
20.814 Assistance to Small Shipyards (C)	X	
20.816 Americas Marine Highway Grants (B)	X	
20.817 Air Emissions and Energy Initiative (B)	X	
<b>NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA)</b>		
20.600 State and Community Highway Safety (A)	X	
20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)	X	
20.602 Occupant Protection Incentive Grants (B)	X	
20.607 Alcohol Open Container Requirements (B)	X	
20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)	X	
20.609 Safety Belt Performance Grants (B)	X	
20.610 State Traffic Safety Information System Improvement Grants (B)	X	
20.611 Incentive Grant Program to Prohibit Racial Profiling (A)	X	
20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)	X	
20.613 Child Safety and Child Booster Seats Incentive Grants (B)	X	
20.614 National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (B)	X	
20.616 National Priority Safety Programs (A)	X	
<b>OFFICE OF THE SECRETARY (OST) ADMINISTRATION SECRETARIATE</b>		
20.900 Transportation_Consumer Affairs (N)		X
20.901 Payments for Essential Air Services (C)	X	
20.904 Bonding Assistance Program (M)		X
20.905 Disadvantaged Business Enterprises_Short Term Lending Program (F)	X	
20.907 Entrepreneurial Training and Technical Assistance Women and Girls Program (B)	X	
20.910 Assistance to small and disadvantaged businesses (B)	X	
20.930 Payments for Small Community Air Service Development (B)	X	
20.932 Surface Transportation _ Discretionary Grants for Capital Investment. (B)	X	
20.933 National Infrastructure Investments (B)	X	
<b>PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION</b>		
20.700 Pipeline Safety Program State Base Grant (A)	X	
20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)	X	
20.710 Technical Assistance Grants (B)	X	
20.720 State Damage Prevention Program Grants (B)	X	
20.721 PHMSA Pipeline Safety Program One Call Grant (B)	X	
20.723 PHMSA Pipeline Safety Research and Development Other Transaction Agreements (B)	X	
<b>RESEARCH AND INNOVATIVE TECHNOLOGY ADMINISTRATION</b>		
20.701 University Transportation Centers Program (B)	X	
20.761 Biobased Transportation Research (B)	X	
20.762 Research Grants (B)	X	
20.764 Hydrogen Storage Research and Development (B)	X	
20.931 Transportation Planning, Research and Education (B)	X	
<b>DEPARTMENT OF THE TREASURY</b>		
21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)	X	
<b>COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS FUND</b>		
21.010 Financial Education and Counseling Pilot Program (B)	X	
21.011 Capital Magnet Fund (B)	X	
21.012 Native Initiatives (B)	X	
21.014 Community Development Financial Institutions Bond Guarantee Program (F)	X	
21.020 Community Development Financial Institutions Program (B)	X	
21.021 Bank Enterprise Award Program (B)	X	
<b>INTERNAL REVENUE SERVICE (IRS)</b>		

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Program Description	Financial	Non-Financial
21.003 Taxpayer Service (K)		X
21.004 Exchange of Federal Tax Information With State Tax Agencies (J)		X
21.006 Tax Counseling for the Elderly (B)	X	
21.008 Low Income Taxpayer Clinics (B)	X	
<b>APPALACHIAN REGIONAL COMMISSION</b>		
23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)	X	
23.002 Appalachian Area Development (B)	X	
23.003 Appalachian Development Highway System (B)	X	
23.009 Appalachian Local Development District Assistance (B)	X	
23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)	X	
<b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</b>		
30.001 Employment Discrimination_Title VII of the Civil Rights Act of 1964 (K,N,O)		X
30.005 Employment Discrimination_Private Bar Program (J)		X
30.008 Employment Discrimination_Age Discrimination in Employment (K,N,O)		X
30.010 Employment Discrimination Equal Pay Act (K,N,O)		X
30.011 Employment Discrimination_Title I of The Americans with Disabilities Act (K,N,O)		X
30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008 (K,N,O)		X
<b>FEDERAL MARITIME COMMISSION</b>		
33.001 Shipping_Dispute Resolution and Investigation of Complaints (N)		
<b>GENERAL SERVICES ADMINISTRATION</b>		
39.002 Disposal of Federal Surplus Real Property (H)		X
39.003 Donation of Federal Surplus Personal Property (H)		X
39.007 Sale of Federal Surplus Personal Property (H)		X
<b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>		
45.201 Arts and Artifacts Indemnity (G)	X	
<b>NATIONAL ENDOWMENT FOR THE ARTS</b>		
45.024 Promotion of the Arts_Grants to Organizations and Individuals (B)	X	
45.025 Promotion of the Arts_Partnership Agreements (B,K)	X	
<b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>		
45.129 Promotion of the Humanities_Federal/State Partnership (A)	X	
45.130 Promotion of the Humanities_Challenge Grants (B)	X	
45.149 Promotion of the Humanities_Division of Preservation and Access (B)	X	
45.160 Promotion of the Humanities_Fellowships and Stipends (B)	X	
45.161 Promotion of the Humanities_Research (B)	X	
45.162 Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (B)	X	
45.163 Promotion of the Humanities_Professional Development (B)	X	
45.164 Promotion of the Humanities_Public Programs (B)	X	
45.169 Promotion of the Humanities_Office of Digital Humanities (B)	X	
<b>NATIONAL LABOR RELATIONS BOARD</b>		
46.001 Labor-Management Relations (J,N)		X
<b>NATIONAL SCIENCE FOUNDATION</b>		
47.041 Engineering Grants (B)	X	
47.049 Mathematical and Physical Sciences (B)	X	
47.050 Geosciences (B)	X	
47.070 Computer and Information Science and Engineering (B)	X	
47.074 Biological Sciences (B)	X	
47.075 Social, Behavioral, and Economic Sciences (B)	X	
47.076 Education and Human Resources (B)	X	
47.078 Polar Programs (B)	X	



# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
47.079 International Science and Engineering (OISE) (B)	X	
47.080 Office of Cyberinfrastructure (B)	X	
47.081 Office of Experimental Program to Stimulate Competitive Research (B)	X	
<b>RAILROAD RETIREMENT BOARD</b>		
57.001 Social Insurance for Railroad Workers (D)	X	
57.005 Economic Recovery Payments (D)	X	
<b>SMALL BUSINESS ADMINISTRATION</b>		
59.062 Intermediary Loan Program (E)	X	
<b>DEPARTMENT OF VETERANS AFFAIRS</b>		
64.035 Veterans Transportation Program (B)	X	
<b>VA HEALTH ADMINISTRATION CENTER</b>		
64.005 Grants to States for Construction of State Home Facilities (B)	X	
64.026 Veterans State Adult Day Health Care (A)	X	
64.029 Purchase Care Program (C)	X	
64.033 VA Supportive Services for Veteran Families Program (B)	X	
<b>VETERANS BENEFITS ADMINISTRATION</b>		
64.027 Post-9/11 Veterans Educational Assistance (C)	X	
64.028 Post-9/11 Veterans Educational Assistance (D)	X	
64.030 Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (G)	X	
64.031 Life Insurance for Veterans - Direct Payments for Insurance (G)	X	
64.032 Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program (D)	X	
64.036 Veterans Retraining Assistance Program (VRAP) (C)	X	
64.103 Life Insurance for Veterans (G)	X	
64.116 Vocational Rehabilitation for Disabled Veterans (D)	X	
64.120 Post-Vietnam Era Veterans' Educational Assistance (D)	X	
64.128 Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida or Other Covered Birth Defects (D)	X	
<b>ENVIRONMENTAL PROTECTION AGENCY</b>		
<b>OFFICE OF ADMINISTRATION AND RESOURCES MANAGEMENT</b>		
66.508 Senior Environmental Employment Program (B)	X	
66.518 State Senior Environmental Employment Program (B)	X	
<b>OFFICE OF AIR AND RADIATION</b>		
66.001 Air Pollution Control Program Support (B)	X	
66.032 State Indoor Radon Grants (B)	X	
66.033 Ozone Transport Commission (B)	X	
66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)	X	
66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)	X	
66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)	X	
66.039 National Clean Diesel Emissions Reduction Program (B)	X	
66.040 State Clean Diesel Grant Program (A)	X	
66.042 Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (B)	X	
<b>OFFICE OF CHEMICAL SAFETY AND POLLUTION PREVENTION</b>		
66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)	X	
66.708 Pollution Prevention Grants Program (B)	X	
66.714 Regional Agricultural IPM Grants (B)	X	
66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)	X	
66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
66.717 Source Reduction Assistance (B)	X	
66.718 National Community-Based Lead Outreach and Training Grant Program (B)	X	
<b>OFFICE OF ENFORCEMENT AND COMPLIANCE ASSURANCE</b>		
66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)	X	
66.309 Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (B)	X	
66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)	X	
66.313 International Compliance and Enforcement Projects (B)	X	
66.604 Environmental Justice Small Grant Program (B)	X	
66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)	X	
66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)	X	
<b>OFFICE OF ENVIRONMENTAL INFORMATION</b>		
66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)	X	
66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)	X	
<b>OFFICE OF INTERNATIONAL AND TRIBAL AFFAIRS</b>		
66.473 Direct Implementation Tribal Cooperative Agreements (B)	X	
66.926 Indian Environmental General Assistance Program (GAP) (B)	X	
66.931 International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (B)	X	
<b>OFFICE OF RESEARCH AND DEVELOPMENT (ORD)</b>		
66.509 Science To Achieve Results (STAR) Research Program (B)	X	
66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)	X	
66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)	X	
66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)	X	
66.514 Science To Achieve Results (STAR) Fellowship Program (B)	X	
66.516 P3 Award: National Student Design Competition for Sustainability (B)	X	
66.517 Regional Applied Research Efforts (RARE) (B)	X	
<b>OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE</b>		
66.801 Hazardous Waste Management State Program Support (A)	X	
66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)	X	
66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)	X	
66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)	X	
66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)	X	
66.808 Solid Waste Management Assistance Grants (B)	X	
66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)	X	
66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)	X	
66.812 Hazardous Waste Management Grant Program for Tribes (B)	X	
66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)	X	
66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)	X	
66.815 Environmental Workforce Development and Job Training Cooperative Agreements (B)	X	
66.816 Headquarters and Regional Underground Storage Tanks Program (B)	X	
66.817 State and Tribal Response Program Grants (A)	X	
66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)	X	
<b>OFFICE OF THE ADMINISTRATOR</b>		
66.605 Performance Partnership Grants (A,B)	X	
66.609 Protection of Children from Environmental Health Risks (B)	X	
66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)	X	
66.611 Environmental Policy and Innovation Grants (B)	X	
66.950 National Environmental Education Training Program (B)	X	
66.951 Environmental Education Grants (B)	X	
66.952 National Network for Environmental Management Studies Fellowship Program (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>OFFICE OF THE CHIEF FINANCIAL OFFICER</b>		
66.202 Congressionally Mandated Projects (B)	X	
66.203 Environmental Finance Center Grants (B)	X	
<b>OFFICE OF WATER</b>		
66.035 Community Action for a Renewed Environment (CARE) Program (B)	X	
66.418 Construction Grants for Wastewater Treatment Works (B)	X	
66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)	X	
66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)	X	
66.432 State Public Water System Supervision (A)	X	
66.433 State Underground Water Source Protection (A)	X	
66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)	X	
66.437 Long Island Sound Program (B)	X	
66.439 Targeted Watersheds Grants (B)	X	
66.440 Urban Waters Small Grants (B)	X	
66.454 Water Quality Management Planning (A)	X	
66.456 National Estuary Program (B)	X	
66.458 Capitalization Grants for Clean Water State Revolving Funds (A)	X	
66.460 Nonpoint Source Implementation Grants (A)	X	
66.461 Regional Wetland Program Development Grants (B)	X	
66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)	X	
66.463 Water Quality Cooperative Agreements (B)	X	
66.466 Chesapeake Bay Program (B)	X	
66.467 Wastewater Operator Training Grant Program (B)	X	
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)	X	
66.469 Great Lakes Program (B,I,L)	X	
66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)	X	
66.472 Beach Monitoring and Notification Program Implementation Grants (A)	X	
66.474 Water Protection Grants to the States (A)	X	
66.475 Gulf of Mexico Program (B)	X	
66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)	X	
66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)	X	
66.480 Assessment and Watershed Protection Program Grants (B)	X	
66.481 Lake Champlain Basin Program (B)	X	
<b>REGION 1</b>		
66.110 Healthy Communities Grant Program (B)	X	
<b>REGION 10</b>		
66.119 West Coast Estuaries Initiative (B)	X	
66.120 Puget Sound Watershed Management Assistance (B)	X	
66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)	X	
66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)	X	
66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)	X	
<b>REGION 3</b>		
66.050 Potomac Highlands Implementation Grants (B)	X	
66.113 Region 3 Environmental Priority Projects (B)	X	
<b>REGION 4</b>		
66.127 Southeastern U.S. Regional Targeted Watershed Initiative (B)	X	
66.128 Southeastern Multi-Media and Geographic Priority Projects (B)	X	
<b>REGION 6</b>		
66.124 Coastal Wetlands Planning Protection and Restoration Act (B)	X	
66.125 Lake Pontchartrain Basin Restoration Program (PRP) (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>REGION 9</b>		
66.126 The San Francisco Bay Water Quality Improvement Fund (B)	X	
66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (A)	X	
<b>NUCLEAR REGULATORY COMMISSION</b>		
77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)	X	
77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)	X	
<b>DEPARTMENT OF ENERGY</b>		
81.022 Laboratory Equipment Donation Program (B)	X	
81.036 Inventions and Innovations (B,K,L)	X	
81.041 State Energy Program (A,B,L)	X	
81.042 Weatherization Assistance for Low-Income Persons (A,B)	X	
81.064 Office of Scientific and Technical Information (L)		X
81.079 Regional Biomass Energy Programs (B)	X	
81.086 Conservation Research and Development (B)	X	
81.087 Renewable Energy Research and Development (B)	X	
81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)	X	
81.112 Stewardship Science Grant Program (B)	X	
81.113 Defense Nuclear Nonproliferation Research (B)	X	
81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)	X	
81.119 State Energy Program Special Projects (B)	X	
81.121 Nuclear Energy Research, Development and Demonstration (B)	X	
81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)	X	
81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)	X	
81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)	X	
81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)	X	
81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)	X	
81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)	X	
81.136 Long-Term Surveillance and Maintenance (B)	X	
81.137 Minority Economic Impact (B)	X	
81.138 State Heating Oil and Propane Program (B)	X	
81.214 Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis (B)	X	
<b>DEPARTMENT OF EDUCATION</b>		
84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)	X	
84.408 Postsecondary Education Scholarships for Veteran's Dependents (C)	X	
84.412 Race to the Top Early Learning Challenge (B)	X	
84.413 Race to the Top (B)	X	
84.417 Directed Grants and Awards (C)	X	
<b>INSTITUTE OF EDUCATION SCIENCES</b>		
84.305 Education Research, Development and Dissemination (B)	X	
84.324 Research in Special Education (B)	X	
84.372 Statewide Data Systems (B)	X	
<b>OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT</b>		
84.287 Twenty-First Century Community Learning Centers (A)	X	
<b>OFFICE OF ELEMENTARY AND SECONDARY EDUCATION</b>		
84.004 Civil Rights Training and Advisory Services (B)	X	
84.010 Title I Grants to Local Educational Agencies (A)	X	
84.011 Migrant Education_State Grant Program (A)	X	
84.013 Title I State Agency Program for Neglected and Delinquent Children and Youth (A)	X	
84.040 Impact Aid_Facilities Maintenance (B)	X	
84.041 Impact Aid (A,B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
84.060 Indian Education_Grants to Local Educational Agencies (A)	X	
84.141 Migrant Education_High School Equivalency Program (B)	X	
84.144 Migrant Education_Coordination Program (B)	X	
84.149 Migrant Education_College Assistance Migrant Program (B)	X	
84.184 Safe and Drug-Free Schools and Communities_National Programs (B)	X	
84.196 Education for Homeless Children and Youth (A)	X	
84.256 Territories and Freely Associated States Education Grant Program (B)	X	
84.283 Comprehensive Centers (B)	X	
84.299 Indian Education -- Special Programs for Indian Children (B)	X	
84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)	X	
84.356 Alaska Native Educational Programs (B)	X	
84.358 Rural Education (A)	X	
84.360 High School Graduation Initiative (B)	X	
84.362 Native Hawaiian Education (B)	X	
84.365 English Language Acquisition State Grants (A)	X	
84.366 Mathematics and Science Partnerships (A)	X	
84.367 Improving Teacher Quality State Grants (A)	X	
84.368 Grants for Enhanced Assessment Instruments (B)	X	
84.369 Grants for State Assessments and Related Activities (A)	X	
84.371 Striving Readers (A,B)	X	
84.374 Teacher Incentive Fund (B)	X	
84.377 School Improvement Grants (A)	X	
84.403 Consolidated Grant to the Outlying Areas (A)	X	
84.415 State Tribal Education Partnership (STEP) (B)	X	
84.416 Race to the Top - District Grants (B)	X	
<b>OFFICE OF ENGLISH LANGUAGE ACQUISITION</b>		
84.293 Foreign Language Assistance (B)	X	
<b>OFFICE OF HUMAN RESOURCES AND ADMINISTRATION</b>		
84.145 Federal Real Property Assistance Program (H)		X
<b>OFFICE OF INNOVATION AND IMPROVEMENT</b>		
84.165 Magnet Schools Assistance (B)	X	
84.215 Fund for the Improvement of Education (B)	X	
84.282 Charter Schools (B)	X	
84.295 Ready-To-Learn Television (B)	X	
84.336 Teacher Quality Partnership Grants (B)	X	
84.350 Transition to Teaching (B)	X	
84.351 Arts in Education (B)	X	
84.354 Credit Enhancement for Charter School Facilities (B)	X	
84.361 Voluntary Public School Choice (B)	X	
84.363 School Leadership (B)	X	
84.370 DC School Choice Incentive Program (B)	X	
84.411 Investing in Innovation (i3) Fund (B)	X	
<b>OFFICE OF POSTSECONDARY EDUCATION</b>		
84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)	X	
84.016 Undergraduate International Studies and Foreign Language Programs (B)	X	
84.017 International Research and Studies (B)	X	
84.018 Overseas Programs_Special Bilateral Projects (B)	X	
84.021 Overseas Programs - Group Projects Abroad (B)	X	
84.022 Overseas Programs - Doctoral Dissertation Research Abroad (B)	X	
84.031 Higher Education_Institutional Aid (B)	X	
84.042 TRIO_Student Support Services (B)	X	
84.044 TRIO_Talent Search (B)	X	
84.047 TRIO_Upward Bound (B)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
84.066 TRIO_Educational Opportunity Centers (B)	X	
84.103 TRIO Staff Training Program (B)	X	
84.116 Fund for the Improvement of Postsecondary Education (B)	X	
84.120 Minority Science and Engineering Improvement (B)	X	
84.153 Business and International Education Projects (B)	X	
84.170 Javits Fellowships (B)	X	
84.200 Graduate Assistance in Areas of National Need (B)	X	
84.217 TRIO_McNair Post-Baccalaureate Achievement (B)	X	
84.220 Centers for International Business Education (B)	X	
84.229 Language Resource Centers (B)	X	
84.269 Institute for International Public Policy (B)	X	
84.274 American Overseas Research Centers (B)	X	
84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)	X	
84.335 Child Care Access Means Parents in School (B)	X	
84.378 College Access Challenge Grant Program (A)	X	
84.382 Strengthening Minority-Serving Institutions (B)	X	
84.407 Transition Programs for Students with Intellectual Disabilities into Higher Education (B)	X	
84.414 Graduate Research Opportunities for Minority Students (Minorities and Retirement Security Program) (B)	X	
<b>OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES</b>		
84.027 Special Education_Grants to States (A)	X	
84.126 Rehabilitation Services_Vocational Rehabilitation Grants to States (A)	X	
84.128 Rehabilitation Services_Service Projects (B)	X	
84.129 Rehabilitation Long-Term Training (B)	X	
84.132 Centers for Independent Living (B)	X	
84.133 National Institute on Disability and Rehabilitation Research (B)	X	
84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)	X	
84.161 Rehabilitation Services_Client Assistance Program (A)	X	
84.169 Independent Living_State Grants (A)	X	
84.173 Special Education_Preschool Grants (A)	X	
84.177 Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B)	X	
84.181 Special Education-Grants for Infants and Families (A)	X	
84.187 Supported Employment Services for Individuals with the Most Significant Disabilities (A)	X	
84.224 Assistive Technology (A)	X	
84.235 Rehabilitation Services Demonstration and Training Programs (B)	X	
84.240 Program of Protection and Advocacy of Individual Rights (A)	X	
84.246 Rehabilitation Short-Term Training (B)	X	
84.250 Rehabilitation Services_American Indians with Disabilities (B)	X	
84.264 Rehabilitation Training_Continuing Education (B)	X	
84.265 Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)	X	
84.275 Rehabilitation Training_General Training (B)	X	
84.315 Capacity Building for Traditionally Underserved Populations (B)	X	
84.323 Special Education - State Personnel Development (B)	X	
84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)	X	
84.326 Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)	X	
84.327 Special Education_Technology and Media Services for Individuals with Disabilities (B)	X	
84.328 Special Education_Parent Information Centers (B)	X	
84.329 Special Education_Studies and Evaluations (B)	X	
84.343 Assistive Technology_State Grants for Protection and Advocacy (A)	X	
84.373 Special Education_Technical Assistance on State Data Collection (B)	X	
84.380 Special Education -- Olympic Education Programs (B)	X	
<b>OFFICE OF STUDENT FINANCIAL ASSISTANCE PROGRAMS</b>		
84.007 Federal Supplemental Educational Opportunity Grants (C)	X	
84.033 Federal Work-Study Program (C)	X	
84.063 Federal Pell Grant Program (C)	X	
84.268 Federal Direct Student Loans (E)	X	

# AGENCY PROGRAM INDEX

Program Description	Financial	Non-Financial
<b>OFFICE OF VOCATIONAL AND ADULT EDUCATION</b>		
84.002 Adult Education - Basic Grants to States (A)	X	
84.048 Career and Technical Education -- Basic Grants to States (A)	X	
84.051 Career and Technical Education -- National Programs (B)	X	
84.101 Career and Technical Education - Grants to Native Americans and Alaska Natives (B)	X	
84.191 Adult Education_National Leadership Activities (B,C)	X	
84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)	X	
84.259 Native Hawaiian Career and Technical Education (B)	X	
84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)	X	
<b>CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION</b>		
85.102 Christopher Columbus Awards (B)	X	
85.104 Life Sciences Awards (D)	X	
85.105 Agriscience Awards (D)	X	
<b>JAPAN U.S. FRIENDSHIP COMMISSION</b>		
90.300 Japan-U.S. Friendship Commission Grants (B)	X	
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>		
<b>ADMINISTRATION FOR CHILDREN AND FAMILIES</b>		
93.009 Compassion Capital Fund (B)	X	
93.010 Community-Based Abstinence Education (CBAE) (B)	X	
93.060 Competitive Abstinence Education (CAE) (B)	X	
93.075 Systems Interoperability_Health and Human Services (B)	X	
93.076 TANF Program Integrity Innovation Grants (B)	X	
93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)	X	
93.087 Enhance Safety of Children Affected by Substance Abuse (B)	X	
93.090 Guardianship Assistance (A)	X	
93.091 Social Services and Income Maintenance Benefits Enrollment Coordination Grants (B)	X	
93.092 Affordable Care Act (ACA) Personal Responsibility Education Program (A,B)	X	
93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants (B)	X	
93.235 Affordable Care Act (ACA) Abstinence Education Program (A)	X	
93.254 Infant Adoption Awareness Training (B)	X	
93.508 Affordable Care Act (ACA) Tribal Maternal, Infant, and Early Childhood Home Visiting Program (B)	X	
93.550 Transitional Living for Homeless Youth (B)	X	
93.551 Abandoned Infants (B)	X	
93.556 Promoting Safe and Stable Families (A,B)	X	
93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)	X	
93.558 Temporary Assistance for Needy Families (A)	X	
93.560 Family Support Payments to States_Assistance Payments (A)	X	
93.563 Child Support Enforcement (A)	X	
93.564 Child Support Enforcement Research (B)	X	
93.566 Refugee and Entrant Assistance_State Administered Programs (A)	X	
93.567 Refugee and Entrant Assistance_Voluntary Agency Programs (B)	X	
93.568 Low-Income Home Energy Assistance (A)	X	
93.569 Community Services Block Grant (A)	X	
93.570 Community Services Block Grant_Discretionary Awards (B)	X	
93.575 Child Care and Development Block Grant (A)	X	
93.576 Refugee and Entrant Assistance_Discretionary Grants (B)	X	
93.579 U.S. Repatriation (B)	X	
93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)	X	
93.583 Refugee and Entrant Assistance_Wilson/Fish Program (B)	X	
93.584 Refugee and Entrant Assistance_Targeted Assistance Grants (A)	X	
93.586 State Court Improvement Program (A)	X	
93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)	X	
93.590 Community-Based Child Abuse Prevention Grants (A)	X	
93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_Grants to State Domestic Violence	X	

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Program Description	Financial	Non-Financial
Coalitions (A)		
93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (B)	X	
93.593 Job Opportunities for Low-Income Individuals (B)	X	
93.594 Tribal Work Grants (A)	X	
93.595 Welfare Reform Research, Evaluations and National Studies (B)	X	
93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)	X	
93.597 Grants to States for Access and Visitation Programs (A)	X	
93.598 Services to Victims of a Severe Form of Trafficking (B)	X	
93.599 Chafee Education and Training Vouchers Program (ETV) (A)	X	
93.600 Head Start (B)	X	
93.601 Child Support Enforcement Demonstrations and Special Projects (B)	X	
93.602 Assets for Independence Demonstration Program (B)	X	
93.603 Adoption Incentive Payments (A)	X	
93.604 Assistance for Torture Victims (B)	X	
93.605 Family Connection Grants (B)	X	
93.612 Native American Programs (B)	X	
93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)		X
93.616 Mentoring Children of Prisoners (B)	X	
93.617 Voting Access for Individuals with Disabilities_Grants to States (A)	X	
93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)	X	
93.623 Basic Center Grant (B)	X	
93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)	X	
93.631 Developmental Disabilities Projects of National Significance (B)	X	
93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)	X	
93.643 Children's Justice Grants to States (A)	X	
93.645 Stephanie Tubbs Jones Child Welfare Services Program (A)	X	
93.647 Social Services Research and Demonstration (B)	X	
93.648 Child Welfare Research Training or Demonstration (B)	X	
93.652 Adoption Opportunities (B)	X	
93.658 Foster Care_Title IV-E (A,B)	X	
93.659 Adoption Assistance (A)	X	
93.667 Social Services Block Grant (A)	X	
93.669 Child Abuse and Neglect State Grants (A)	X	
93.670 Child Abuse and Neglect Discretionary Activities (B)	X	
93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)	X	
93.674 Chafee Foster Care Independence Program (A)	X	
93.676 Unaccompanied Alien Children Program (B)	X	
93.708 ARRA - Head Start (B)	X	
93.709 ARRA - Early Head Start (B)	X	
93.710 ARRA - Community Services Block Grant (A)	X	
93.711 ARRA Strengthening Communities Fund (B)	X	
93.713 ARRA Child Care and Development Block Grant (A)	X	
93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)	X	
93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)	X	
<b>ADMINISTRATION FOR COMMUNITY LIVING</b>		
93.041 Special Programs for the Aging_Title VII, Chapter 3_Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)	X	
93.042 Special Programs for the Aging_Title VII, Chapter 2_Long Term Care Ombudsman Services for Older Individuals (A)	X	
93.043 Special Programs for the Aging_Title III, Part D_Disease Prevention and Health Promotion Services (A)	X	
93.044 Special Programs for the Aging_Title III, Part B_Grants for Supportive Services and Senior Centers (A)	X	
93.045 Special Programs for the Aging_Title III, Part C_Nutrition Services (A)	X	
93.047 Special Programs for the Aging_Title VI, Part A, Grants to Indian Tribes_Part B, Grants to Native Hawaiians (B)	X	
93.048 Special Programs for the Aging_Title IV_and Title II_Discretionary Projects (B)	X	
93.051 Alzheimer's Disease Demonstration Grants to States (B)	X	
93.052 National Family Caregiver Support, Title III, Part E (A)	X	



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Program Description	Financial	Non-Financial
93.053 Nutrition Services Incentive Program (A)	X	
93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)	X	
93.071 Medicare Enrollment Assistance Program (A,B)	X	
93.072 Lifespan Respite Care Program (B)	X	
93.517 Affordable Care Act - Aging and Disability Resource Center (B)	X	
93.518 Affordable Care Act - Medicare Improvements for Patients and Providers (A,B)	X	
93.706 Aging Nutrition Services for Native Americans (B)	X	
93.725 ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (B)	X	
93.734 Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs financed by 2012 Prevention and Public Health Funds (PPHF-2012) (B)	X	
93.747 Elder Abuse Prevention Interventions Program (B)	X	
<b>AGENCY FOR HEALTHCARE RESEARCH AND QUALITY</b>		
93.225 National Research Service Awards_Health Services Research Training (B)	X	
93.226 Research on Healthcare Costs, Quality and Outcomes (B)	X	
93.715 Recovery Act Comparative Effectiveness Research - AHRQ (B)	X	
<b>AGENCY FOR TOXIC SUBSTANCES AND DISEASE REGISTRY</b>		
93.161 Health Program for Toxic Substances and Disease Registry (B)	X	
93.204 Surveillance of Hazardous Substance Emergency Events (B)	X	
93.240 State Capacity Building (B)	X	
93.534 Affordable Care Act Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards (B)	X	
<b>CENTERS FOR DISEASE CONTROL AND PREVENTION</b>		
93.055 PPHF 2012-Applied Leadership for Community Health Improvement (B)	X	
93.056 Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment (B)	X	
93.061 Innovations in Applied Public Health Research (B)	X	
93.062 Biomonitoring Programs for State Public Health Laboratories (B)	X	
93.063 Centers for Genomics and Public Health (B)	X	
93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)	X	
93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)	X	
93.066 State Vital Statistics Improvement Program (B)	X	
93.067 Global AIDS (B)	X	
93.068 Chronic Diseases: Research, Control, and Prevention (B)	X	
93.069 Public Health Emergency Preparedness (B)	X	
93.070 Environmental Public Health and Emergency Response (B)	X	
93.073 Birth Defects and Developmental Disabilities - Prevention and Surveillance (B)	X	
93.074 Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements (A)	X	
93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)	X	
93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)	X	
93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)	X	
93.136 Injury Prevention and Control Research and State and Community Based Programs (B)	X	
93.184 Disabilities Prevention (B)	X	
93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)	X	
93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)	X	
93.262 Occupational Safety and Health Program (B,M)	X	
93.268 Immunization Cooperative Agreements (B)	X	
93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)	X	
93.270 Adult Viral Hepatitis Prevention and Control (B)	X	
93.283 The Affordable Care Act: Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)	X	
93.338 Foreign Public Health Construction (B)	X	
93.339 Public Health Conference Support (B)	X	
93.507 PPHF 2012 National Public Health Improvement Initiative (B)	X	

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Program Description	Financial	Non-Financial
93.520 Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work (B)	X	
93.521 The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements;PPHF (B)	X	
93.523 The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities (B)	X	
93.524 The Affordable Care Act (ACA): Capacity Building Assistance to Strengthen Public Health Infrastructure and Performance (B)	X	
93.531 PPHF 2012: Community Transformation Grants and National Dissemination and Support for Community Transformation Grants - financed solely by 2012 Prevention and Public Health Funds (B)	X	
93.533 Prevention and Public Health Fund (Affordable Care Act): Enhanced Surveillance for New Vaccine Preventable Disease (B)	X	
93.535 Affordable Care Act (ACA) Childhood Obesity Research Demonstration (B)	X	
93.538 Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation (B)	X	
93.539 PPHF 2012 - Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by 2012 Prevention and Public Health Funds (B)	X	
93.540 Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability; and Prevention and Public Health Fund (B)	X	
93.541 The Patient Protection and Affordable Care Act of 2010 (ACA) (B)	X	
93.542 Health Promotion and Disease Prevention Research Centers: PPHF 2012 - Affordable Care Act Projects (B)	X	
93.544 The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Coordinated Chronic Disease prevention and Health Promotion Program (B)	X	
93.548 PPHF 2012: Nutrition, Physical Activity and Obesity Program - financed in part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)	X	
93.606 Affordable Care Act - Preparedness and Emergency Response Learning Centers (B)	X	
93.607 Affordable Care Act - Preparedness and Emergency Response Research Centers: A Public Health Systems Approach (B)	X	
93.712 ARRA - Immunization (B)	X	
93.717 ARRA - Preventing Healthcare-Associated Infections (B)	X	
93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands (B)	X	
93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (B)	X	
93.729 ARRA Health Information Technology and Public Health (B)	X	
93.730 ARRA Prevention Research Centers Comparative Effectiveness Research Program (B)	X	
93.733 Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by the Prevention and Public Health Fund (PPHF-2012) (B)	X	
93.735 State Public Health Approaches for Ensuring Quitline Capacity Funded in part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)	X	
93.736 Prevention Public Health Fund 2012: Viral Hepatitis Prevention (B)	X	
93.737 PPHF 2012: Community Transformation Grants -Small Communities Program financed solely by 2012 Public Prevention and Health Funds (B)	X	
93.738 PPHF 2012: Racial and Ethnic Approaches to Community Health Program financed solely by 2012 Public Prevention and Health Funds (B)	X	
93.739 PPHF2012: Chronic disease Innovation Grants - financed solely by 2012 Public Prevention Health Funds (B)	X	
93.740 Prevention Public Health Fund 2012: Viral Hepatitis Education (B)	X	
93.741 Breastfeeding Promotion and Support Improving Maternity Care Practices project financed solely by 2012 Public Prevention and Health Funds (B)	X	
93.742 PPHF 2012: Early Childcare and Education Obesity Prevention Program - Obesity Prevention in Young Children - financed solely by 2012 Public Prevention and Health Funds (B)	X	
93.743 Racial and Ethnic Approaches to Community Health: Obesity and Hypertension Demonstration Projects financed solely by 2012 Prevention and Public Health Funds (B)	X	
93.744 PPHF 2012: Breast and Cervical Cancer Screening Opportunities for States, Tribes and Territories solely financed by 2012 Prevention and Public Health Funds (B)	X	
93.745 PPHF-2012: Health Care Surveillance/Health Statistics Surveillance Program Announcement: Behavioral Risk Factor Surveillance System Financed in Part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)	X	
93.749 PPHF 2012 Public Health Laboratory Infrastructure financed solely by 2012 Prevention and Public Health Fund (B)	X	
93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)	X	
93.938 Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and		

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Program Description	Financial	Non-Financial
<b>Other Important Health Problems (B)</b>		
93.939 HIV Prevention Activities_Non-Governmental Organization Based (B)	X	
93.940 HIV Prevention Activities_Health Department Based (B)	X	
93.941 HIV Demonstration, Research, Public and Professional Education Projects (B)	X	
93.942 Research, Prevention, and Education Programs on Lyme Disease in the United States (B)	X	
93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B)	X	
93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)	X	
93.945 Assistance Programs for Chronic Disease Prevention and Control (B)	X	
93.946 Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)	X	
93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)	X	
93.977 Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)	X	
93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)	X	
93.991 Preventive Health and Health Services Block Grant (A)	X	
<b>CENTERS FOR MEDICARE AND MEDICAID SERVICES</b>		
93.506 ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (B)	X	
93.511 Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review (B)	X	
93.519 Affordable Care Act (ACA) Consumer Assistance Program Grants (B)	X	
93.525 State Planning and Establishment Grants for the Affordable Care Act (ACA)s Exchanges (B)	X	
93.529 Pre-existing Condition Insurance Program (PCIP) (C)	X	
93.536 The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project (B)	X	
93.537 Affordable Care Act Medicaid Emergency Psychiatric Demonstration (C)	X	
93.545 Consumer Operated and Oriented Plan [CO-OP] Program (E)	X	
93.546 Early Retiree Reinsurance Program (C)	X	
93.609 The Affordable Care Act Medicaid Adult Quality Grants (B)	X	
93.610 Health Care Innovation Awards (HCIA) (B)	X	
93.611 Strong Start for Mothers and Newborns (B)	X	
93.621 Affordable Care Act Initiative to Reduce Avoidable Hospitalizations among Nursing Facility Residents (B)	X	
93.624 ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance (B)	X	
93.626 Affordable Care Act State Health Insurance Assistance Program (SHIP) and Aging and Disability Resource Center (ADRC) Options Counseling for Medicare-Medicaid Individuals in States with Approved Financial Alignment Models (B)	X	
93.627 Affordable Care Act: Testing Experience and Functional Assessment Tools (B)	X	
93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (B)	X	
93.767 Children's Health Insurance Program (A)	X	
93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)	X	
93.770 Medicare_Prescription Drug Coverage (C)	X	
93.773 Medicare_Hospital Insurance (C)	X	
93.774 Medicare_Supplementary Medical Insurance (C)	X	
93.775 State Medicaid Fraud Control Units (A)	X	
93.777 State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare (A)	X	
93.778 Medical Assistance Program (A)	X	
93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)	X	
93.780 Grants to States for Operation of Qualified High-Risk Pools (A)	X	
93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)	X	
93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (B)	X	
93.790 Alternate Non-Emergency Service Providers or Networks (B)	X	
93.791 Money Follows the Person Rebalancing Demonstration (B)	X	
93.793 Medicaid Transformation Grants (B)	X	
93.796 State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (A)	X	
<b>FOOD AND DRUG ADMINISTRATION</b>		
93.058 Tobacco Regulation Awareness, Communication, and Education Program (B)	X	
93.103 Food and Drug Administration_Research (B)	X	
93.448 Food Safety and Security Monitoring Project (B)	X	

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Program Description	Financial	Non-Financial
93.449 Ruminant Feed Ban Support Project (B)	X	
<b>HEALTH RESOURCES AND SERVICES ADMINISTRATION</b>		
93.011 National Organizations of State and Local Officials (B)	X	
93.059 Training in General, Pediatric, and Public Health Dentistry (B)	X	
93.107 Area Health Education Centers Point of Service Maintenance and Enhancement Awards (B)	X	
93.110 Maternal and Child Health Federal Consolidated Programs (B)	X	
93.117 Preventive Medicine and Public Health Residency Training Program, Integrative Medicine Program, and National Coordinating Center for Integrative Medicine (B)	X	
93.124 Nurse Anesthetist Traineeships (A)	X	
93.127 Emergency Medical Services for Children (B)	X	
93.129 Technical and Non-Financial Assistance to Health Centers (B)	X	
93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)	X	
93.134 Grants to Increase Organ Donations (B)	X	
93.145 AIDS Education and Training Centers (B)	X	
93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)	X	
93.155 Rural Health Research Centers (B)	X	
93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B,M)	X	
93.157 Centers of Excellence (B)	X	
93.162 National Health Service Corps Loan Repayment Program (C)	X	
93.165 Grants to States for Loan Repayment Program (B,C)	X	
93.178 Nursing Workforce Diversity (B)	X	
93.186 National Research Service Award in Primary Care Medicine (B)	X	
93.191 Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program (B)	X	
93.211 Telehealth Programs (B)	X	
93.212 Chiropractic Demonstration Project Grants (B)	X	
93.223 Development and Coordination of Rural Health Services (B)	X	
93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)	X	
93.234 Traumatic Brain Injury State Demonstration Grant Program (B)	X	
93.236 Grants to States to Support Oral Health Workforce Activities (B)	X	
93.241 State Rural Hospital Flexibility Program (A,B)	X	
93.247 Advanced Nursing Education Grant Program (B)	X	
93.249 Public Health Training Centers Program (B)	X	
93.250 Geriatric Academic Career Awards (B)	X	
93.251 Universal Newborn Hearing Screening (B)	X	
93.253 Poison Center Support and Enhancement Grant Program (A,B)	X	
93.255 Children's Hospitals Graduate Medical Education Payment (A)	X	
93.256 State Health Access Program (B)	X	
93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)	X	
93.259 Rural Access to Emergency Devices Grant (B)	X	
93.264 Nurse Faculty Loan Program (NFLP) (A)	X	
93.265 Comprehensive Geriatric Education Program (CGEP) (B)	X	
93.266 Health Systems Strengthening and HIV/AIDS Prevention, Care and Treatment under the President's Emergency Plan for AIDS Relief (B)	X	
93.267 State Grants for Protection and Advocacy Services (A)	X	
93.288 National Health Service Corps Scholarship Program (C)	X	
93.300 National Center for Health Workforce Analysis (B)	X	
93.301 Small Rural Hospital Improvement Grant Program (B)	X	
93.303 Nursing Scholarship Program (C)	X	
93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (B)	X	
93.358 Advanced Education Nursing Traineeships (B)	X	
93.359 Nurse Education, Practice Quality and Retention Grants (B)	X	
93.364 Nursing Student Loans (E)	X	
93.365 Sickle Cell Treatment Demonstration Program (B)	X	
93.400 National Health Service Corps Scholarship Program (C)	X	
93.401 ARRA - National Health Service Corps Loan Repayment (C)	X	
93.402 ARRA - State Loan Repayment Program (B,C)	X	

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Program Description	Financial	Non-Financial
93.403	ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (B)	X
93.404	ARRA Dental Public Health Residency Training Grants (B)	X
93.405	ARRA - Public Health Traineeship Program (A)	X
93.406	Nursing Education Loan Repayment Program (NELRP) (C)	X
93.407	ARRA - Scholarships for Disadvantaged Students (B)	X
93.408	ARRA - Nurse Faculty Loan Program (B)	X
93.409	Faculty Loan Repayment Programs (C)	X
93.410	ARRA Licensure Portability Grant Program (B)	X
93.411	ARRA Equipment to Enhance Training for Health Professionals (B)	X
93.412	ARRA - Preventive Medicine Residency Program (B)	X
93.414	ARRA - State Primary Care Offices (B)	X
93.415	ARRA - Centers of Excellence (B)	X
93.416	ARRA - Health Careers Opportunity Program (B)	X
93.417	ARRA - Nursing Workforce Diversity (B)	X
93.420	ARRA - Community Health Applied Research Network (B,C)	X
93.440	National Project Management of the Healthcare Communities Knowledge Gateway (B)	X
93.501	Affordable Care Act (ACA) Grants for School-Based Health Center Capital Expenditures (B)	X
93.502	Affordable Care Act (ACA) Infrastructure to Expand Access to Care (B)	X
93.503	Affordable Care Act (ACA) Nursing Assistant and Home Health Aide Program (B)	X
93.504	Affordable Care Act (ACA) Family to Family Health Information Centers (B)	X
93.505	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (A,B)	X
93.509	Affordable Care Act (ACA) State Health Care Workforce Development Grants (B)	X
93.510	Affordable Care Act (ACA) Primary Care Residency Expansion Program (B)	X
93.512	Affordable Care Act (ACA) Personal and Home Care Aide State Training Program (PHCAST) (B)	X
93.513	Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative (B)	X
93.514	Affordable Care Act (ACA) Expansion of Physician Assistant Training Program (B)	X
93.515	Affordable Care Act (ACA) Nurse-Managed Health Clinics (B)	X
93.516	Affordable Care Act (ACA) Public Health Training Centers Program, Resources Development and Academic Support to the Public Health Training Centers Program and Public Health Infrastructure and Systems Support (B)	X
93.522	Affordable Care Act (ACA) Prevention Center for Healthy Weight (B)	X
93.526	Affordable Care Act (ACA) Grants for Capital Development in Health Centers (B)	X
93.527	Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (B)	X
93.528	National Forum for State and Territorial Chief Executives (B)	X
93.530	Affordable Care Act - Teaching Health Center Graduate Medical Education Payments Program (A)	X
93.547	Affordable Care Act National Health Service Corps (B,C)	X
93.549	Affordable Care Act (ACA) The Primary Care Services Resource Coordination and Development Program (B)	X
93.615	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Research Programs (B)	X
93.622	Affordable Care Act: Coordinating Center for Interprofessional Education and Collaborative Practice (B)	X
93.700	IMR and NCCIM Programs (B)	X
93.703	ARRA Grants to Health Center Programs (B)	X
93.732	PPHF-2012 Mental and Behavioral Health Education and Training Grants (B)	X
93.822	Health Careers Opportunity Program (B)	X
93.824	Area Health Education Centers Infrastructure Development Awards (B)	X
93.884	Grants for Primary Care Training and Enhancement (B)	X
93.887	Health Care and Other Facilities (B)	X
93.888	Specially Selected Health Projects (B)	X
93.908	Nursing Education Loan Repayment Program (C)	X
93.912	Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program (B)	X
93.913	Grants to States for Operation of Offices of Rural Health (B)	X
93.914	HIV Emergency Relief Project Grants (B)	X
93.917	HIV Care Formula Grants (A)	X
93.918	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)	X
93.923	Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)	X
93.924	Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants (B)	X
93.925	Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)	X
93.926	Healthy Start Initiative (B)	X

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Program Description	Financial	Non-Financial
93.928 Special Projects of National Significance (B)	X	
93.932 Native Hawaiian Health Systems (B)	X	
93.964 Prevention and Public Health Fund (PPHF) Public Health Traineeships (A)	X	
93.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)	X	
93.969 PPHF-2012 Geriatric Education Centers (B)	X	
93.994 Maternal and Child Health Services Block Grant to the States (A)	X	
<b>INDIAN HEALTH SERVICE</b>		
93.123 Health Professions Pregraduate Scholarship Program for Indians (M)		X
93.164 Indian Health Service Educational Loan Repayment (C)	X	
93.193 Urban Indian Health Services (B)	X	
93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (C)	X	
93.228 Indian Health Service_Health Management Development Program (B)	X	
93.231 Epidemiology Cooperative Agreements (B)	X	
93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)	X	
93.284 Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (B)	X	
93.441 Indian Self-Determination (C)	X	
93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)	X	
93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)	X	
93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)	X	
93.445 Indian Health Service Sanitation Facilities Construction Program (J)		X
93.722 ARRA - IHS Tribal Agreements (B)	X	
93.933 Demonstration Projects for Indian Health (B)	X	
93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)		X
93.970 Health Professions Recruitment Program for Indians (M)		X
93.971 Health Professions Preparatory Scholarship Program for Indians (M)		X
93.972 Health Professions Scholarship Program (M)		X
<b>NATIONAL INSTITUTES OF HEALTH</b>		
93.077 Family Smoking Prevention and Tobacco Control Act Regulatory Research (B,M)	X	
93.113 Environmental Health (B)	X	
93.121 Oral Diseases and Disorders Research (B)	X	
93.140 Intramural Research Training Award (B)	X	
93.142 NIEHS Hazardous Waste Worker Health and Safety Training (B)	X	
93.143 NIEHS Superfund Hazardous Substances_Basic Research and Education (B)	X	
93.172 Human Genome Research (B)	X	
93.173 Research Related to Deafness and Communication Disorders (B)	X	
93.187 Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (B)	X	
93.209 Contraception and Infertility Research Loan Repayment Program (C)	X	
93.213 Research and Training in Complementary and Alternative Medicine (B,M)	X	
93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (B)	X	
93.232 Loan Repayment Program for General Research (B)	X	
93.233 National Center on Sleep Disorders Research (B)	X	
93.242 Mental Health Research Grants (B)	X	
93.273 Alcohol Research Programs (B)	X	
93.279 Drug Abuse and Addiction Research Programs (B,M)	X	
93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)	X	
93.281 Mental Health Research Career/Scientist Development Awards (B)	X	
93.282 Mental Health National Research Service Awards for Research Training (M)		X
93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)	X	
93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)	X	
93.307 Minority Health and Health Disparities Research (B)	X	
93.308 National Institute on Minority Health and Health Disparities (NIMHD) Extramural Loan Repayment Programs (C)	X	
93.310 Trans-NIH Research Support (B,M)	X	
93.313 NIH Office of Research on Women's Health (B)	X	
93.350 National Center for Advancing Translational Sciences (B)	X	
93.351 Research Infrastructure Programs (B)	X	
93.352 Construction Support (B)	X	

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Program Description	Financial	Non-Financial
93.361 Nursing Research (B)	X	
93.389 National Center for Research Resources (B)	X	
93.393 Cancer Cause and Prevention Research (B)	X	
93.394 Cancer Detection and Diagnosis Research (B)	X	
93.395 Cancer Treatment Research (B)	X	
93.396 Cancer Biology Research (B)	X	
93.397 Cancer Centers Support Grants (B)	X	
93.398 Cancer Research Manpower (B)	X	
93.399 Cancer Control (B)	X	
93.701 Trans-NIH Recovery Act Research Support (B)	X	
93.702 National Center for Research Resources, Recovery Act Construction Support (B)	X	
93.704 Trans-NIH Recovery Act Loan Repayment Support (C)	X	
93.837 Cardiovascular Diseases Research (B)	X	
93.838 Lung Diseases Research (B)	X	
93.839 Blood Diseases and Resources Research (B)	X	
93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)	X	
93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)	X	
93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)	X	
93.855 Allergy, Immunology and Transplantation Research (B)	X	
93.856 Microbiology and Infectious Diseases Research (B)	X	
93.859 Biomedical Research and Research Training (B)	X	
93.865 Child Health and Human Development Extramural Research (B)	X	
93.866 Aging Research (B)	X	
93.867 Vision Research (B)	X	
93.879 Medical Library Assistance (B)	X	
93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)	X	
93.989 International Research and Research Training (B,M)	X	
<b>OFFICE OF DISEASE PREVENTION AND HEALTH PROMOTION</b>		
93.990 National Health Promotion (B)	X	
<b>OFFICE OF MINORITY HEALTH</b>		
93.004 Cooperative Agreements to Improve the Health Status of Minority Populations (B)	X	
93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (B)	X	
93.137 Community Programs to Improve Minority Health Grant Program (B)	X	
93.910 Family and Community Violence Prevention Program (B)	X	
<b>OFFICE OF POPULATION AFFAIRS</b>		
93.217 Family Planning Services (B)	X	
93.260 Family Planning Personnel Training (B)	X	
93.974 Family Planning Service Delivery Improvement Research Grants (B)	X	
93.995 Adolescent Family Life Demonstration Projects (B)	X	
<b>OFFICE OF THE SECRETARY</b>		
93.001 Civil Rights and Privacy Rule Compliance Activities (K,N)		X
93.007 Public Awareness Campaigns on Embryo Adoption (B)	X	
93.008 Medical Reserve Corps Small Grant Program (B)	X	
93.015 HIV Prevention Programs for Women (B)	X	
93.016 Postal Model for Medical Countermeasures Delivery and Distribution (B)	X	
93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (B)	X	
93.078 Strengthening Emergency Care Delivery in the United States Healthcare System through Health Information and Promotion (B)	X	
93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)	X	
93.089 Emergency System for Advance Registration of Volunteer Health Professionals (B)	X	
93.239 Policy Research and Evaluation Grants (B)	X	
93.290 National Community Centers of Excellence in Women's Health (B)	X	
93.296 State Partnership Grant Program to Improve Minority Health (B)	X	

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Program Description	Financial	Non-Financial
93.297 Teenage Pregnancy Prevention Program (B)	X	
93.360 Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development (B)	X	
93.451 The Linkage to Life Program: Rebuilding Broken Bridges for Minority Families Impacted by HIV/AIDS. (B)	X	
93.452 Health Improvement for Re-entering Ex-offenders Initiative (HIRE) HIV/AIDS (B)	X	
93.453 Coalition for a Healthier Community (B)	X	
93.500 Pregnancy Assistance Fund Program (B)	X	
93.718 Health Information Technology Regional Extension Centers Program (B)	X	
93.719 ARRA - State Grants to Promote Health Information Technology (B)	X	
93.721 ARRA - Health Information Technology Professionals in Health Care (B)	X	
93.726 ARRA Accelerating Adoption of Comparative Effectiveness Research (CER) (B)	X	
93.727 ARRA - Health Information Technology - Beacon Communities (B)	X	
93.728 ARRA - Strategic Health IT Advanced Research Projects (SHARP) (B)	X	
93.731 ARRA - Prevention and Wellness - Leveraging National Organizations (B)	X	
93.889 National Bioterrorism Hospital Preparedness Program (A)	X	
<b>PRESIDENT'S COUNCIL ON FITNESS, SPORTS, AND NUTRITION</b>		
93.289 President's Council on Fitness, Sports, and Nutrition (K)		X
<b>PROGRAM SUPPORT CENTER</b>		
93.291 Surplus Property Utilization (H)		X
<b>SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION</b>		
93.003 Public Health and Social Services Emergency Fund (B)	X	
93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)	X	
93.138 Protection and Advocacy for Individuals with Mental Illness (A)	X	
93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)	X	
93.243 Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)	X	
93.275 Substance Abuse and Mental Health Services-Access to Recovery (B)	X	
93.276 Drug-Free Communities Support Program Grants (B)	X	
93.748 PPHF-2012 Cooperative Agreements for Prescription Drug Monitoring Program Electronic Health Record (EHR) Integration and Interoperability Expansion (B)	X	
93.958 Block Grants for Community Mental Health Services (A)	X	
93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)	X	
93.975 National All Schedules Prescription Electronic Reporting Grant (A)	X	
93.982 Mental Health Disaster Assistance and Emergency Mental Health (B)	X	
<b>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</b>		
94.002 Retired and Senior Volunteer Program (B)	X	
94.007 Program Development and Innovation Grants (B)	X	
94.011 Foster Grandparent Program (B)	X	
94.013 Volunteers in Service to America (J)		X
94.016 Senior Companion Program (B)	X	
94.017 Senior Demonstration Program (B)	X	
94.019 Social Innovation Fund (B)	X	
94.022 Nonprofit Capacity Building (B)	X	
<b>EXECUTIVE OFFICE OF THE PRESIDENT</b>		
95.004 Anti-Doping Activities (B)	X	
95.005 Drug Court Training and Technical Assistance (B)	X	
<b>DEPARTMENT OF HOMELAND SECURITY</b>		
97.005 State and Local Homeland Security National Training Program (B)	X	
97.007 Homeland Security Preparedness Technical Assistance Program (B)	X	
97.008 Non-Profit Security Program (B)	X	
97.009 Cuban/Haitian Entrant Program (B)	X	
97.010 Citizenship Education and Training (B)	X	
97.012 Boating Safety Financial Assistance (A)	X	



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Program Description	Financial	Non-Financial
97.016	Reimbursement for Firefighting on Federal Property (C)	X
97.018	National Fire Academy Training Assistance (C)	X
97.022	Flood Insurance (G)	X
97.023	Community Assistance Program State Support Services Element (CAP-SSSE) (B)	X
97.024	Emergency Food and Shelter National Board Program (B)	X
97.025	National Urban Search and Rescue (US&R) Response System (B)	X
97.026	Emergency Management Institute_Training Assistance (C)	X
97.027	Emergency Management Institute (EMI)_Independent Study Program (M)	X
97.028	Emergency Management Institute (EMI)_Resident Educational Program (M)	X
97.029	Flood Mitigation Assistance (B)	X
97.030	Community Disaster Loans (E)	X
97.031	Cora Brown Fund (C)	X
97.032	Crisis Counseling (B)	X
97.033	Disaster Legal Services (C)	X
97.034	Disaster Unemployment Assistance (B)	X
97.036	Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)	X
97.039	Hazard Mitigation Grant (B)	X
97.040	Chemical Stockpile Emergency Preparedness Program (B)	X
97.041	National Dam Safety Program (B)	X
97.042	Emergency Management Performance Grants (A)	X
97.043	State Fire Training Systems Grants (B)	X
97.044	Assistance to Firefighters Grant (B)	X
97.045	Cooperating Technical Partners (B)	X
97.046	Fire Management Assistance Grant (B,J)	X
97.047	Pre-Disaster Mitigation (B)	X
97.048	Federal Disaster Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)	X
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97.050	Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)	X
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97.056	Port Security Grant Program (B)	X
97.057	Intercity Bus Security Grants (B)	X
97.059	Truck Security Program (B)	X
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97.062	Scientific Leadership Awards (B,C)	X
97.065	Homeland Security Advanced Research Projects Agency (B)	X
97.066	Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)	X
97.067	Homeland Security Grant Program (A)	X
97.069	Aviation Research Grants (B,I)	X
97.075	Rail and Transit Security Grant Program (B)	X
97.076	National Center for Missing and Exploited Children (NCMEC) (B)	X
97.077	Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B)	X
97.078	Buffer Zone Protection Program (BZPP) (B)	X
97.080	Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)	X
97.082	Earthquake Consortium (B)	X
97.083	Staffing for Adequate Fire and Emergency Response (SAFER) (B)	X
97.088	Disaster Assistance Projects (B)	X
97.089	Driver's License Security Grant Program (B)	X
97.091	Homeland Security Biowatch Program (B,I)	X
97.092	Repetitive Flood Claims (B)	X
97.101	National Fallen Firefighters Memorial (C)	X
97.103	Degrees at a Distance Program (B)	X
97.104	Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)	X
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97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)	X	
97.113 Rail and Transit Security Grant Program (ARRA) (B)	X	
97.114 Emergency Food and Shelter National Board Program (ARRA) (B)	X	
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97.123 Multi-State Information Sharing and Analysis Center (B)	X	
97.124 Interoperable Communications and Training Project (B)	X	
97.126 National Special Security Event (B)	X	
97.127 Cybersecurity Education and Training Assistance Program (CETAP) (B)	X	
97.128 National Cyber Security Awareness (B)	X	
97.129 Securing Critical Underground Infrastructure Pilot Program (B)	X	
97.130 National Nuclear Forensics Expertise Development Program (B)	X	
97.131 Emergency Management Baseline Assessments Grant (EMBAG) (C)	X	

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- 15.818 Volcano Hazards Program Research and Monitoring (B)
- 10.093 Voluntary Public Access and Habitat Incentive Program (A)
- 84.361 Voluntary Public School Choice (B)
- 21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)
- 94.013 Volunteers in Service to America (J)
- 93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)
- 93.617 Voting Access for Individuals with Disabilities\_Grants to States (A)

## W

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- 66.467 Wastewater Operator Training Grant Program (B)
- 10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)
- 10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)
- 10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)
- 15.530 Water Conservation Field Services Program (WCFSP) (B)
- 15.506 Water Desalination Research and Development Program (B)
- 66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)
- 66.474 Water Protection Grants to the States (A)
- 66.463 Water Quality Cooperative Agreements (B)
- 66.454 Water Quality Management Planning (A)

- 15.504 Water Reclamation and Reuse Program (A)
- 66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)
- 10.904 Watershed Protection and Flood Prevention (K)
- 10.916 Watershed Rehabilitation Program (K)
- 10.693 Watershed Restoration and Enhancement Agreement Authority (B)
- 15.507 WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (B)
- 11.459 Weather and Air Quality Research (B)
- 81.042 Weatherization Assistance for Low-Income Persons (A,B)
- 93.595 Welfare Reform Research, Evaluations and National Studies (B)
- 66.119 West Coast Estuaries Initiative (B)
- 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)
- 10.072 Wetlands Reserve Program (C)
- 15.558 White Mountain Apache Tribe Rural Water System (C)
- 10.164 Wholesale Farmers and Alternative Market Development (K,M)
- 17.258 WIA Adult Program (A)
- 17.260 WIA Dislocated Workers (A,B)
- 17.278 WIA Dislocated Worker Formula Grants (A)
- 17.261 WIA Pilots, Demonstrations, and Research Projects (B)
- 17.259 WIA Youth Activities (A)
- 10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)
- 10.578 WIC Grants To States (WGS) (B)
- 15.229 Wild Horse and Burro Resource Management (B,I,J,K,L,M)
- 15.232 Wildland Fire Research and Studies Program (B)
- 15.625 Wildlife Conservation and Restoration (A)
- 10.914 Wildlife Habitat Incentive Program (C)
- 15.611 Wildlife Restoration and Basic Hunter Education (A)
- 10.028 Wildlife Services (B)
- 15.640 Wildlife Without Borders- Latin America and the Caribbean (B)
- 15.651 Wildlife Without Borders-Africa Program (B)
- 15.641 Wildlife Without Borders-Mexico (B)
- 10.318 Women and Minorities in Science, Technology, Engineering, and (B)
- 17.700 Women's Bureau (K)
- 10.681 Wood Education and Resource Center (WERC) (B)
- 17.271 Work Opportunity Tax Credit Program (WOTC) (A)
- 17.283 Workforce Innovation Fund (B)
- 17.280 Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (B)
- 17.281 Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (B)
- 17.277 Workforce Investment Act (WIA) National Emergency Grants (B)

## Y

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- 15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)
- 15.546 Youth Conservation Program (B)
- 17.274 Youthbuild (B)



# APPLICANT ELIGIBILITY INDEX

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

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

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

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

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

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

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

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

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

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

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

# APPLICANT ELIGIBILITY INDEX

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



# APPLICANT ELIGIBILITY INDEX

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

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
10.449 Boll Weevil Eradication Loan Program (E)						
10.450 Crop Insurance (G)	X					
10.451 Noninsured Assistance (D)		X				
10.456 Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)		X		X		
10.458 Crop Insurance Education in Targeted States (B)			X	X		
10.459 Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)			X	X		
10.460 Risk Management Education and Outreach Partnerships Program (B)			X	X		X
10.465 Farmworker Training Grant Program (B)			X			
10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)				X		
10.477 Meat, Poultry, and Egg Products Inspection (J)	X					
10.479 Food Safety Cooperative Agreements (B)		X		X		
10.551 Supplemental Nutrition Assistance Program (C)				X	X	
10.553 School Breakfast Program (A)			X	X		
10.555 National School Lunch Program (A)			X	X		
10.556 Special Milk Program for Children (A)				X		
10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)		X	X	X		X
10.558 Child and Adult Care Food Program (A)			X	X		
10.559 Summer Food Service Program for Children (A)			X	X		
10.560 State Administrative Expenses for Child Nutrition (A)				X		
10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)						
10.565 Commodity Supplemental Food Program (A,H)				X		X
10.566 Nutrition Assistance For Puerto Rico (C)						
10.567 Food Distribution Program on Indian Reservations (B,H)						X
10.568 Emergency Food Assistance Program (Administrative Costs) (A)						
10.569 Emergency Food Assistance Program (Food Commodities) (A)						
10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)		X		X		
10.574 Team Nutrition Grants (B)				X		
10.575 Farm to School Grant Program (B,L,M)		X	X			X
10.576 Senior Farmers Market Nutrition Program (B)		X		X		
10.577 SNAP Partnership Grant (B)						
10.578 WIC Grants To States (WGS) (B)				X		
10.579 Child Nutrition Discretionary Grants Limited Availability (B)		X	X	X		X
10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)				X		
10.582 Fresh Fruit and Vegetable Program (B)				X		
10.583 Hunger Free Communities (B)		X	X	X		X
10.584 SNAP Research Grants (B)						
10.585 FNS Food Safety Grants (B)			X	X		
10.586 Special Supplemental Nutrition Program for Women, Infants and Children; Nutrition Education Innovations (B)		X	X	X	X	X
10.587 National Food Service Management Institute Administration and Staffing Grant (B)			X	X		
10.588 Assessment of Alternatives to Face-to-Face Interviews in SNAP (B)						
10.589 Child Nutrition Direct Certification Performance Awards (C)						
10.600 Foreign Market Development Cooperator Program (C)						
10.601 Market Access Program (C)						
10.602 CCC's Dairy Export Incentive Program (C)						
10.603 Emerging Markets Program (C)				X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
10.604 Technical Assistance for Specialty Crops Program (C)			X	X		
10.605 Quality Samples Program (C)			X			
10.606 Food for Progress (H)						
10.608 Food for Education (H)						
10.609 Trade Adjustment Assistance (D)	X	X	X	X	X	X
10.610 Export Guarantee Program (F)						
10.612 USDA Local and Regional Food Aid Procurement Pilot Project (B)			X			
10.613 Faculty Exchange Program (B,C)			X			
10.614 Scientific Cooperation Exchange Program with China (B,C)		X	X	X	X	X
10.652 Forestry Research (B)		X	X	X		
10.664 Cooperative Forestry Assistance (A,B)		X		X		
10.665 Schools and Roads - Grants to States (A)		X			X	
10.666 Schools and Roads - Grants to Counties (A)						
10.672 Rural Development, Forestry, and Communities (B)		X	X	X		X
10.674 Forest Products Lab: Technology Marketing Unit (TMU) (B)		X		X		
10.675 Urban and Community Forestry Program (B)		X	X	X		
10.676 Forest Legacy Program (B)		X				
10.678 Forest Stewardship Program (B)				X		
10.679 Collaborative Forest Restoration (B)		X	X			
10.680 Forest Health Protection (A,B)			X	X		
10.681 Wood Education and Resource Center (WERC) (B)		X	X	X		X
10.682 National Forest Foundation (C)						
10.683 National Fish and Wildlife Foundation (C)			X			
10.684 International Forestry Programs (B)			X	X		X
10.685 Community Wood Energy Program (B)		X		X		X
10.686 Forest Biomass for Energy (B)		X	X	X		X
10.687 Recovery Act of 2009: Capital Improvement and Maintenance (B)						
10.688 Recovery Act of 2009: Wildland Fire Management (B)						
10.689 Community Forest and Open Space Conservation Program (CFP) (B)		X	X			X
10.690 Lake Tahoe Erosion Control Grant Program (B)		X				
10.691 Good Neighbor Authority (B)				X		
10.693 Watershed Restoration and Enhancement Agreement Authority (B)	X	X				X
10.694 Southwest Forest Health and Wildfire Prevention (C)						
10.700 National Agricultural Library (L)	X	X	X	X		
10.759 Part 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH) (B)		X	X	X		
10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)		X	X			X
10.761 Technical Assistance and Training Grants (B)						
10.762 Solid Waste Management Grants (B)		X				
10.763 Emergency Community Water Assistance Grants (B)		X				
10.766 Community Facilities Loans and Grants (B,E,F)		X	X	X		X
10.767 Intermediary Relending Program (E)		X		X		X
10.768 Business and Industry Loans (F)	X	X				X
10.769 Rural Business Enterprise Grants (B)		X	X	X		X
10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)		X	X			X
10.771 Rural Cooperative Development Grants (B)			X			
10.773 Rural Business Opportunity Grants (B)	X	X	X	X	X	X
10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship (B,C)			X			
10.778 Research on the Economic Impact of Cooperatives (C)				X		
10.781 Water and Waste Disposal Systems for Rural Communities -						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
ARRA (B,E)						
10.850 Rural Electrification Loans and Loan Guarantees (E,F)		X			X	X
10.851 Rural Telephone Loans and Loan Guarantees (E,F)			X			
10.854 Rural Economic Development Loans and Grants (B,E)	X	X	X	X	X	X
10.855 Distance Learning and Telemedicine Loans and Grants (B,E)		X	X	X		
10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)				X		
10.857 State Bulk Fuel Revolving Fund Grants (B)		X			X	
10.858 Denali Commission Grants and Loans (B)						
10.859 Assistance to High Energy Cost Rural Communities (B)		X			X	
10.861 Public Television Station Digital Transition Grant Program (B)		X	X	X		
10.862 Household Water Well System Grant Program (B)						
10.863 Community Connect Grant Program (B)		X		X		
10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)						
10.865 Biorefinery Assistance (F)	X	X	X	X	X	X
10.866 Repowering Assistance (C)						
10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (D)	X					
10.868 Rural Energy for America Program (F)	X	X	X	X	X	X
10.870 Rural Microentrepreneur Assistance Program (B,E)			X			X
10.874 Delta Health Care Services Grant Program (B)						
10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)		X	X	X		
10.901 Resource Conservation and Development (K)		X	X	X		
10.902 Soil and Water Conservation (K)	X	X		X		
10.903 Soil Survey (L)	X	X	X	X	X	X
10.904 Watershed Protection and Flood Prevention (K)		X	X	X		
10.905 Plant Materials for Conservation (J)				X		
10.907 Snow Survey and Water Supply Forecasting (L)	X	X	X	X	X	X
10.912 Environmental Quality Incentives Program (C)	X	X	X	X	X	X
10.913 Farm and Ranch Lands Protection Program (C)		X		X		
10.914 Wildlife Habitat Incentive Program (C)	X	X	X	X	X	X
10.916 Watershed Rehabilitation Program (K)		X		X		
10.917 Agricultural Management Assistance (C)				X		
10.920 Grassland Reserve Program (C)	X	X	X	X	X	X
10.921 Conservation Security Program (C)	X	X	X	X	X	X
10.922 Healthy Forests Reserve Program (HFRP) (C)						
10.923 Emergency Watershed Protection Program (B)	X	X	X	X	X	X
10.924 Conservation Stewardship Program (B)	X	X		X	X	X
10.925 Agricultural Water Enhancement Program (C)	X	X		X		
10.926 Chesapeake Bay Watershed Program (C)	X	X	X	X	X	X
10.950 Agricultural Statistics Reports (L)	X	X	X	X	X	X
10.960 Technical Agricultural Assistance (B,C)			X	X		
10.961 Scientific Cooperation and Research (B,C)			X	X	X	X
10.962 Cochran Fellowship Program-International Training-Foreign Participant (B,C)			X			

## DEPARTMENT OF COMMERCE

11.008 NOAA Mission-Related Education Awards (B)	X	X	X	X	X	X
11.011 Ocean Exploration (B)	X	X	X	X	X	X
11.012 Integrated Ocean Observing System (IOOS) (B)	X	X	X	X		X
11.300 Investments for Public Works and Economic Development Facilities (B)		X	X	X	X	X
11.302 Economic Development_Support for Planning Organizations (B)		X	X	X	X	X
11.303 Economic Development_Technical Assistance (B)	X	X	X	X	X	X
11.307 Economic Adjustment Assistance (B)		X	X	X	X	X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
11.312 Research and Evaluation Program (B)	X		X			
11.313 Trade Adjustment Assistance for Firms (B)			X			
11.400 Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)		X		X		
11.407 Interjurisdictional Fisheries Act of 1986 (A)				X		
11.408 Fishermen's Contingency Fund (D)	X					
11.413 Fishery Products Inspection and Certification (J)	X	X		X		
11.415 Fisheries Finance Program (E)	X					
11.417 Sea Grant Support (B)	X	X	X	X	X	X
11.419 Coastal Zone Management Administration Awards (A,B)				X		
11.420 Coastal Zone Management Estuarine Research Reserves (B)				X		
11.426 Financial Assistance for National Centers for Coastal Ocean Science (B)	X	X	X	X		
11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)	X	X	X	X	X	X
11.429 Marine Sanctuary Program (B)			X	X		
11.430 Undersea Research (B)	X	X	X	X	X	X
11.431 Climate and Atmospheric Research (B)	X	X	X	X	X	X
11.432 National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (B)				X		
11.433 Marine Fisheries Initiative (B)	X	X	X	X	X	X
11.434 Cooperative Fishery Statistics (B)				X		
11.435 Southeast Area Monitoring and Assessment Program (B)				X		
11.436 Columbia River Fisheries Development Program (B)				X		
11.437 Pacific Fisheries Data Program (B)				X		
11.438 Pacific Coast Salmon Recovery_Pacific Salmon Treaty Program (B)				X		
11.439 Marine Mammal Data Program (B)				X		
11.440 Environmental Sciences, Applications, Data, and Education (B)			X	X		
11.441 Regional Fishery Management Councils (B)						
11.452 Unallied Industry Projects (B)	X	X		X		X
11.454 Unallied Management Projects (B)	X	X		X		X
11.457 Chesapeake Bay Studies (B)				X		
11.459 Weather and Air Quality Research (B)	X	X	X	X	X	X
11.460 Special Oceanic and Atmospheric Projects (B)		X	X	X		
11.462 Hydrologic Research (B)		X		X		
11.463 Habitat Conservation (B)	X	X	X	X	X	X
11.467 Meteorologic and Hydrologic Modernization Development (B,D,L,M)		X		X		
11.468 Applied Meteorological Research (B)	X	X	X	X	X	X
11.469 Congressionally Identified Awards and Projects (B)	X	X	X	X	X	X
11.472 Unallied Science Program (B)	X	X		X		X
11.473 Coastal Services Center (B)		X	X	X		X
11.474 Atlantic Coastal Fisheries Cooperative Management Act (B)				X		
11.478 Center for Sponsored Coastal Ocean Research_Coastal Ocean Program (B)	X	X	X	X		X
11.481 Educational Partnership Program (B)				X		
11.482 Coral Reef Conservation Program (B)	X	X	X	X	X	X
11.549 State and Local Implementation Grant Program (B)						
11.550 Public Telecommunications Facilities Planning and Construction (B)		X	X	X		X
11.555 Public Safety Interoperable Communications Grant Program (B)				X		
11.557 Broadband Technology Opportunities Program (BTOP) (B)		X	X	X		X
11.558 State Broadband Data and Development Grant Program (B)				X		
11.559 Low-Power Television and Translator Upgrade Program (B)						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
11.804 MBDA Business Center - American Indian and Alaska Native (B)		X	X	X		X
<b>DEPARTMENT OF DEFENSE</b>						
12.130 Estuary Habitat Restoration Program (B)		X	X			X
12.217 Electronic Absentee Systems for Elections (B)		X			X	
12.340 Naval Medical Research and Development (B)			X			
12.369 Marine Corps Systems Command Federal Assistance Program (B)			X			
12.579 Language Training Center (B)			X			
12.598 Centers for Academic Excellence (B)			X			
12.610 Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies (B)		X		X		
12.611 Community Economic Adjustment Assistance for Reductions in Defense Industry Employment (B)		X		X		X
12.614 Community Economic Adjustment Assistance for Advance Planning and Economic Diversification (B)		X		X		
12.801 Air Force Academy Athletic Programs (B)						
<b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>						
14.008 Transformation Initiative: Choice Neighborhoods Demonstration Small Research Grant Program (B)		X	X	X		
14.103 Interest Reduction Payments_Rental and Cooperative Housing for Lower Income Families (C,F)	X					
14.108 Rehabilitation Mortgage Insurance (F)	X					
14.110 Manufactured Home Loan Insurance_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)	X					
14.117 Mortgage Insurance_Homes (F)	X					
14.119 Mortgage Insurance_Homes for Disaster Victims (F)	X					
14.122 Mortgage Insurance_Homes in Urban Renewal Areas (F)	X	X	X	X	X	X
14.123 Mortgage Insurance_Housing in Older, Declining Areas (F)	X					
14.126 Mortgage Insurance_Cooperative Projects (F)			X			
14.127 Mortgage Insurance_Manufactured Home Parks (F)	X					
14.128 Mortgage Insurance_Hospitals (F)						
14.129 Mortgage Insurance_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)						
14.133 Mortgage Insurance_Purchase of Units in Condominiums (F)	X					
14.134 Mortgage Insurance_Rental Housing (F)	X					
14.135 Mortgage Insurance_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)	X		X			
14.138 Mortgage Insurance_Rental Housing for the Elderly (F)			X			
14.139 Mortgage Insurance_Rental Housing in Urban Renewal Areas (F)	X		X			
14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)	X					
14.149 Rent Supplements_Rental Housing for Lower Income Families (C)	X					
14.151 Supplemental Loan Insurance_Multifamily Rental Housing (F)	X		X			
14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)	X	X	X	X	X	X
14.157 Supportive Housing for the Elderly (C)						
14.159 Section 245 Graduated Payment Mortgage Program (F)	X	X	X	X	X	X
14.162 Mortgage Insurance_Combination and Manufactured Home Lot Loans (F)	X	X	X	X	X	X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
14.163 Mortgage Insurance_Single Family Cooperative Housing (F)	X					
14.167 Mortgage Insurance_Two Year Operating Loss Loans, Section 223(d) (F)	X					
14.169 Housing Counseling Assistance Program (B)		X	X	X		
14.171 Manufactured Home Dispute Resolution (J)	X					
14.172 Mortgage Insurance_Growing Equity Mortgages (F)	X	X	X	X	X	X
14.175 Adjustable Rate Mortgages (F)	X					
14.181 Supportive Housing for Persons with Disabilities (C)						
14.183 Home Equity Conversion Mortgages (F)						
14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)			X			
14.188 Housing Finance Agencies (HFA) Risk Sharing (F)	X	X	X	X	X	X
14.189 Qualified Participating Entities (QPE) Risk Sharing (F)	X	X	X	X	X	X
14.191 Multifamily Housing Service Coordinators (B)						
14.195 Section 8 Housing Assistance Payments Program (C)						
14.198 Good Neighbor Next Door Sales Program (H)						
14.218 Community Development Block Grants/Entitlement Grants (A)		X				
14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)						
14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)				X		
14.231 Emergency Solutions Grant Program (A)		X	X			
14.235 Supportive Housing Program (B,C)		X	X			
14.238 Shelter Plus Care (B)		X		X		X
14.239 Home Investment Partnerships Program (A)		X		X		X
14.241 Housing Opportunities for Persons with AIDS (A)		X		X		X
14.247 Self-Help Homeownership Opportunity Program (B)						
14.248 Community Development Block Grants_Section 108 Loan Guarantees (F)					X	
14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)						
14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)						
14.259 CPD's Transformation Initiative Technical Assistance (B)			X	X		
14.260 Veterans Homelessness Prevention Demonstration Program (B)						
14.261 Homeless Management Information Systems Technical Assistance (B)		X				
14.262 Homeless Prevention and Rapid Re-Housing Program Technical Assistance (B)		X				
14.264 Neighborhood Stabilization Program (B)		X	X			
14.265 Rural Capacity Building for Community Development and Affordable Housing Grants (B)						
14.266 Border Community Capital Initiative (B)						X
14.267 Continuum of Care Program (B,C)		X				
14.268 Rural Housing Stability Assistance Program (B,C)						
14.311 Single Family Property Disposition (H)	X	X	X	X	X	X
14.313 Dollar Home Sales (H)		X				
14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)			X			
14.316 Housing Counseling Training Program (B)			X			
14.321 FHA Technical Assistance Training Transformation Initiative (M)						
14.322 Tenant Resource Network Program (B)						
14.323 Emergency Homeowners Loan Program (E)	X					
14.324 FHA PowerSaver Home Energy Improvement Pilot Program (F)	X					

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
14.326 Project Rental Assistance Demonstration (PRA Demo) Program of Section 811 Supportive Housing for Persons with Disabilities (B)						
14.327 Performance Based Contract Administrator Program (C)						
14.400 Equal Opportunity in Housing (N)	X	X	X	X	X	X
14.401 Fair Housing Assistance Program_State and Local (B)						
14.408 Fair Housing Initiatives Program (B)		X		X		
14.416 Education and Outreach Initiatives (B)		X		X		
14.417 Fair Housing Organization Initiatives (B)						
14.418 Private Enforcement Initiatives (B)						
14.419 Section 3 Technical Assistance (B)		X		X		
14.420 Fair Housing Initiatives Program Enforcement Testing Technical Assistance (B)		X		X		
14.421 Limited English Proficiency Initiative (B)						
14.523 Transformation Initiative Research Grants: Sustainable Community Research Grant Program (B)		X	X	X		
14.534 Strong Cities Strong Communities (SC2) National Resource Network (B)			X			
14.703 Sustainable Communities Regional Planning Grant Program (B)		X	X	X	X	X
14.704 Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (B)		X			X	X
14.705 Capacity Building for Sustainable Communities (B)		X	X	X		X
14.850 Public and Indian Housing (C)		X				
14.856 Lower Income Housing Assistance Program_Section 8 Moderate Rehabilitation (C)						
14.862 Indian Community Development Block Grant Program (B)						X
14.865 Public and Indian Housing_Indian Loan Guarantee Program (F)		X				X
14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)						
14.867 Indian Housing Block Grants (A)						X
14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)						X
14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)			X			X
14.871 Section 8 Housing Choice Vouchers (C)			X	X		
14.872 Public Housing Capital Fund (A)		X		X		
14.873 Native Hawaiian Housing Block Grants (B)						
14.874 Loan Guarantees for Native Hawaiian Housing (F)						
14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)						X
14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)		X				
14.879 Mainstream Vouchers (C)			X	X		
14.880 Family Unification Program (FUP) (C)			X	X		
14.881 Moving to Work Demonstration Program (A)		X				
14.889 Choice Neighborhoods Implementation Grants (B)		X				
14.890 Capital Fund Education and Training Community Facilities (B)		X				
14.891 Public and Indian Housing Transformation Initiative (TI) Technical Assistance (TA) (J)						
14.892 Choice Neighborhoods Planning Grants (B)		X	X			
14.893 Office of Native American Programs Training and Technical Assistance for Indian Housing Block Grant Program (M)			X			X
14.894 Office of Native American Programs Training and Technical Assistance for Native Hawaiian Housing Block Grant Program (M)		X	X	X		



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
<b>DEPARTMENT OF THE INTERIOR</b>						
15.022 Tribal Self-Governance (C)						X
15.024 Indian Self-Determination Contract Support (C)						X
15.026 Indian Adult Education (C)						X
15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)						X
15.028 Tribally Controlled Community College Endowments (B)						X
15.042 Indian School Equalization Program (C)						X
15.043 Indian Child and Family Education (B,M)						X
15.044 Indian Schools_Student Transportation (C)						X
15.046 Administrative Cost Grants for Indian Schools (B)						X
15.047 Indian Education Facilities, Operations, and Maintenance (C)						X
15.058 Indian Post Secondary Schools (M)						
15.059 Indian Graduate Student Scholarships (B)						
15.108 Indian Employment Assistance (C)	X					X
15.114 Indian Education_Higher Education Grant Program (B)	X					X
15.130 Indian Education_Assistance to Schools (C)				X		X
15.133 Native American Business Development Institute (A)						X
15.146 Ironworker Training Program (B)						X
15.149 FOCUS on Student Achievement Project (B)						X
15.151 Education Program Enhancements (B)						X
15.214 Non-Sale Disposals of Mineral Material (H)			X	X		
15.222 Cooperative Inspection Agreements with States and Tribes (B)				X		X
15.224 Cultural Resource Management (B,I,J,K,L,M,N)	X	X	X	X	X	X
15.225 Recreation Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.227 Distribution of Receipts to State and Local Governments (C,D)		X		X		
15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)		X	X	X		
15.229 Wild Horse and Burro Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.230 Invasive and Noxious Plant Management (B,K,M)		X		X		
15.231 Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)	X	X	X	X	X	X
15.232 Wildland Fire Research and Studies Program (B)	X	X	X	X	X	X
15.233 Forests and Woodlands Resource Management (B,K,M)	X	X	X	X	X	X
15.234 Secure Rural Schools and Community Self-Determination (B)		X	X	X		
15.235 Southern Nevada Public Land Management (B)		X				
15.236 Environmental Quality and Protection Resource Management (B,K,L,M)	X	X	X	X	X	X
15.237 Rangeland Resource Management (B,K,M)	X	X	X	X	X	X
15.238 Challenge Cost Share (B,I,K,M)	X	X	X	X	X	X
15.239 Management Initiatives (B,I,K,M)	X	X	X	X	X	X
15.240 Helium Resource Management (B)			X			
15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (B,I,M)						X
15.242 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)		X		X		X
15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)				X		
15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)		X		X		X
15.253 Not-for-Profit AMD Reclamation (B)						
15.254 Summer Intern and Year-Long OSM/VISTA Watershed Support (C)			X			
15.255 Science and Technology Projects Related to Coal Mining and Reclamation (B)		X	X	X		X
15.406						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
National Park Service Centennial Challenge. (A)						
15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B,K)	X	X	X	X		
15.421 Alaska Coastal Marine Institute (B)				X		
15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)				X		
15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)				X		
15.424 Marine Minerals Activities (B)				X		
15.427 Federal Oil and Gas Royalty Management (B)				X		X
15.428 Marine Gas Hydrate Research Activities (B)			X	X		
15.429 State Select (C)						
15.430 8(g) State Coastal Zone (C)						
15.431 Alaska State Select (D)						
15.432 California Refuge Account (D)						
15.433 Flood Control Act Lands (C)						
15.436 Late Disbursement Interest (D)						
15.439 National Petroleum Reserve - Alaska (C)						
15.441 Safety and Environmental Enforcement Research and Data Collection for Offshore Energy and Mineral Activities (B)				X		
15.504 Water Reclamation and Reuse Program (A)		X		X		
15.506 Water Desalination Research and Development Program (B)		X	X	X		X
15.507 WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (B)				X		
15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (B,C)		X	X	X		X
15.509 Colorado River Basin Salinity Control Program (B)	X	X	X	X		X
15.510 Colorado Ute Indian Water Rights Settlement Act (B,C)		X		X		
15.511 Cultural Resources Management (B)		X	X	X		X
15.512 Central Valley Project Improvement Act, Title XXXIV (B)		X		X		
15.513 Dutch John Federal Property and Disposition Assistance Act (B)				X		
15.514 Reclamation States Emergency Drought Relief (B,C,J,K)						
15.516 Fort Peck Reservation Rural Water System (B,C)						X
15.517 Fish and Wildlife Coordination Act (B)		X	X	X		X
15.518 Garrison Diversion Unit (B)		X				X
15.519 Indian Tribal Water Resources Development, Management, and Protection (B,C)		X				X
15.520 Lewis and Clark Rural Water System (B)						
15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)				X		
15.522 Mni Wiconi Rural Water Supply Project (B)						X
15.524 Recreation Resources Management (B)		X		X		
15.525 Rocky Boy's/North Central Montana Regional Water System (B)						X
15.526 San Gabriel Basin Restoration Project (B)						
15.527 San Luis Unit, Central Valley Project (B)		X	X	X		X
15.528 St. Mary Storage Unit Facilities Rehabilitation Project (B,C)				X		X
15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)		X	X	X		X
15.530 Water Conservation Field Services Program (WCFSP) (B)		X	X	X		
15.531 Yakima River Basin Water Enhancement Project (YRBWEP) (B)		X		X		X
15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)		X	X	X		X
15.533 California Water Security and Environmental Enhancement (B)				X		
	X	X	X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
15.534 Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)						X
15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program (B)			X	X		X
15.537 Middle Rio Grande Endangered Species Collaborative Program (B)			X			X
15.538 Lower Colorado River Multi-Species Conservation Program. (B)	X	X	X	X	X	X
15.539 Equus Beds Division Acquirer Storage Recharge Project (B)		X		X		
15.540 Lake Mead/Las Vegas Wash Program (B)						
15.541 Colorado River Basin Projects Act of 1968 (B)		X				
15.542 Arizona Water Settlement Act of 2004 (B,C)		X				X
15.543 Lake Tahoe Regional Wetlands Development Program (B)		X	X	X		X
15.544 Platte River Recovery Implementation Program (B)						
15.545 Bunker Hill Groundwater Basin, Riverside-Corona Feeder Project (B)		X				
15.546 Youth Conservation Program (B)		X	X	X		X
15.547 San Jacinto Basin Restoration Fund (B)						
15.548 Reclamation Rural Water Supply Program (B)		X		X		X
15.549 Integrated Regional Water Plan for the Central Valley of California (B)						
15.550 Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children (B)	X					X
15.551 Madera Water Supply Enhancement Project (B)						
15.552 NAVAJO-GALLUP WATER SUPPLY PROJECT (B)		X				
15.553 Eastern New Mexico Rural Water System Project (B)		X				X
15.554 Cooperative Watershed Management Program (B)		X	X			X
15.555 San Joaquin River Restoration Program (B)	X	X	X	X	X	X
15.556 Crow Tribe Water Rights Settlement (C)						X
15.557 Desert and Southern Rockies Landscape Conservation Cooperatives (B)					X	X
15.558 White Mountain Apache Tribe Rural Water System (C)						X
15.559 New Mexico Rio Grande Basin Pueblos Irrigation Infrastructure Project (B,C)						X
15.560 SECURE Water Act Research Agreements (B)						
15.561 Savage Rapids Pumping Plant Project (B)		X				
15.605 Sport Fish Restoration Program (A)				X		
15.608 Fish and Wildlife Management Assistance (B)				X		X
15.611 Wildlife Restoration and Basic Hunter Education (A)				X		
15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)				X		
15.615 Cooperative Endangered Species Conservation Fund (B)				X		
15.616 Clean Vessel Act (B)				X		
15.619 Rhinoceros and Tiger Conservation Fund (B)		X	X	X		
15.620 African Elephant Conservation Fund (B)	X	X	X	X	X	X
15.621 Asian Elephant Conservation Fund (B)		X	X	X		
15.622 Sportfishing and Boating Safety Act (B)				X		
15.623 North American Wetlands Conservation Fund (B)				X		
15.625 Wildlife Conservation and Restoration (A)				X	X	
15.626 Enhanced Hunter Education and Safety Program (A)				X		
15.628 Multistate Conservation Grant Program (B)				X		
15.629 Great Apes Conservation Fund (B)		X	X	X		
15.630 Coastal Program (B)	X	X	X	X		X
15.631 Partners for Fish and Wildlife (B)						X
15.633 Landowner Incentive Program (B)				X	X	
15.634 State Wildlife Grants (A,B)				X		
15.635 Neotropical Migratory Bird Conservation (B)	X		X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
15.636 Alaska Subsistence Management (B)	X		X	X		X
15.637 Migratory Bird Joint Ventures (B)		X	X	X		X
15.639 Tribal Wildlife Grants Program (B)						X
15.640 Wildlife Without Borders- Latin America and the Caribbean (B)		X	X	X		
15.641 Wildlife Without Borders-Mexico (B)		X	X	X		
15.642 Challenge Cost Share (B)		X	X	X		
15.643 Alaska Migratory Bird Co-Management Council (B)		X	X			X
15.644 Federal Junior Duck Stamp Conservation and Design (B)	X	X	X			
15.645 Marine Turtle Conservation Fund (B)						
15.647 Migratory Bird Conservation (B,C)		X		X		X
15.648 Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)		X	X	X		
15.649 Service Training and Technical Assistance (Generic Training) (B)						
15.650 Research Grants (Generic) (B)						
15.651 Wildlife Without Borders-Africa Program (B)		X	X	X		
15.652 Undesirable/Noxious Plant Species (B)	X	X	X	X		
15.653 National Outreach and Communication Program (B)	X	X	X	X	X	X
15.654 Visitor Facility Enhancements - Refuges and Wildlife (B)	X	X	X	X		
15.655 Migratory Bird Monitoring, Assessment and Conservation (B,C)		X	X	X		X
15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (B)	X	X	X	X	X	X
15.657 Endangered Species Conservation Recovery Implementation Funds (B)		X	X	X		X
15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)	X	X	X	X	X	X
15.659 National Wildlife Refuge Fund (D)		X				
15.660 Endangered Species - Candidate Conservation Action Funds (B)	X	X	X	X	X	X
15.661 Lower Snake River Compensation Plan (B)				X		X
15.662 Great Lakes Restoration (B)						
15.663 National Fish and Wildlife Foundation (B)	X	X	X	X	X	X
15.664 Fish and Wildlife Coordination and Assistance Programs (B)						
15.665 National Wetlands Inventory (B)	X	X	X	X	X	X
15.666 Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention (B)						
15.667 Highlands Conservation Program (B)						
15.805 Assistance to State Water Resources Research Institutes (A,B)				X		
15.807 Earthquake Hazards Reduction Program (B)	X	X	X	X		
15.808 U.S. Geological Survey_ Research and Data Collection (B)		X	X	X		
15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)		X	X	X		X
15.810 National Cooperative Geologic Mapping Program (B)				X		
15.811 Gap Analysis Program (B)		X	X	X		
15.812 Cooperative Research Units Program (B)						
15.813 Cooperative Research Units Training Program (B)		X		X		
15.814 National Geological and Geophysical Data Preservation Program (B)				X		
15.815 National Land Remote Sensing_Education Outreach and Research (B)		X	X	X		
15.816 Minerals Resources External Research Program (B)		X	X	X		
15.817 National Geospatial Program: Building The National Map (B)		X	X	X	X	X
15.818 Volcano Hazards Program Research and Monitoring. (B)		X		X		
15.819 Energy Cooperatives to Support the National Coal Resources						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Data System (NCRDS) (B)						
15.820 National Climate Change and Wildlife Science Center (B)			X			
15.875 Economic, Social, and Political Development of the Territories (A,B,D)						
15.904 Historic Preservation Fund Grants-In-Aid (A,B)			X	X		
15.912 National Historic Landmark (K)	X	X	X	X	X	X
15.914 National Register of Historic Places (K)				X		
15.915 Technical Preservation Services (J,K,L)	X	X	X	X		
15.916 Outdoor Recreation_Acquisition, Development and Planning (B)		X		X		X
15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (H)		X		X	X	
15.921 Rivers, Trails and Conservation Assistance (K)		X		X		
15.922 Native American Graves Protection and Repatriation Act (B)		X		X		X
15.923 National Center for Preservation Technology and Training (B)		X	X	X		X
15.926 American Battlefield Protection (B)		X	X	X		X
15.927 Hydropower Recreation Assistance (K)				X		
15.928 Civil War Battlefield Land Acquisition Grants (B)		X				
15.929 Save America's Treasures (B)		X	X	X		X
15.930 Chesapeake Bay Gateways Network (B)	X	X	X	X	X	X
15.931 Conservation Activities by Youth Service Organizations (B)		X		X		
15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B)				X		
15.933 Preservation of Japanese American Confinement Sites (B)		X	X	X		X
15.934 Abandoned Mine Hazard Mitigation (B,C)	X	X	X	X	X	X
15.935 National Trails System Projects (B)	X	X		X		X
15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (C)						
15.937 Redwood National Park Cooperative Management with the State of California (B,H,I,K,L,M)						
15.938 Boston African-American National Historic Site Cooperative Agreement with the Museum of African American History (B,H,I,K,L,M)						
15.939 National Heritage Area Federal Financial Assistance (C)		X	X			
15.940 New Bedford Whaling National Historic Park Cooperative Management (C)		X				
15.941 Mississippi National River and Recreation Area State and Local Assistance (B)		X				
15.942 Environmental Education and Conservation - North Cascades Bioregion (C,J)						
15.943 Challenge Cost Share (C)	X	X	X	X		X
15.944 Natural Resource Stewardship (B,C)	X	X	X	X		
15.945 Cooperative Research and Training Programs Resources of the National Park System (B,C,I,L,M)	X	X	X			X
15.946 Cultural Resources Management (B,C)		X	X			X
15.947 Boston Harbor Islands Partnership (B)			X			
15.948 National Fire Plan-Wildland Urban Interface Community Fire Assistance (B,I,J,K,L)		X	X			
15.949 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)		X				X
15.954 National Park Service Conservation, Protection, Outreach, and Education (B)		X				X
15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)		X		X		

## DEPARTMENT OF JUSTICE

16.001 Law Enforcement Assistance_Narcotics and Dangerous Drugs_Laboratory Analysis (J)		X		X		
16.003 Law Enforcement Assistance_Narcotics and Dangerous			X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Drugs Technical Laboratory Publications (L)						
16.004 Law Enforcement Assistance_Narcotics and Dangerous Drugs Training (M)		X		X		
16.013 Violence Against Women Act Court Training and Improvement Grants (B)		X		X		X
16.015 Missing Alzheimer's Disease Patient Assistance Program (B)		X	X			X
16.016 Culturally and Linguistically Specific Services Program (B)		X				
16.017 Sexual Assault Services Formula Program (A,B)		X		X		
16.100 Desegregation of Public Education (J)	X					
16.101 Equal Employment Opportunity (J)	X	X	X	X	X	X
16.103 Fair Housing and Equal Credit Opportunity (J)	X	X	X	X	X	X
16.104 Protection of Voting Rights (J)	X	X	X	X	X	X
16.105 Civil Rights of Institutionalized Persons (J)	X	X	X	X	X	X
16.109 Civil Rights Prosecution (B)	X	X	X	X	X	X
16.200 Community Relations Service (J)	X	X	X	X	X	X
16.203 Promoting Evidence Integration in Sex Offender Management Discretionary Grant Program (B,M)		X		X	X	
16.300 Law Enforcement Assistance_FBI Advanced Police Training (M)	X	X		X		
16.301 Law Enforcement Assistance_FBI Crime Laboratory Support (J,M)		X		X		
16.302 Law Enforcement Assistance_FBI Field Police Training (M)		X		X		
16.303 Law Enforcement Assistance_FBI Fingerprint Identification (J)		X		X		
16.304 Law Enforcement Assistance_National Crime Information Center (J)				X		
16.305 Law Enforcement Assistance_Uniform Crime Reports (L)	X	X		X		
16.307 Combined DNA Index System (B)		X		X		
16.308 Indian Country Investigations (M)		X				
16.309 Law Enforcement Assistance_National Instant Criminal Background Check System (J)	X	X	X	X	X	X
16.320 Services for Trafficking Victims (B,C)		X		X		X
16.321 Antiterrorism Emergency Reserve (B)			X	X		
16.524 Legal Assistance for Victims (B)			X	X		
16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)				X		
16.527 Supervised Visitation, Safe Havens for Children (B)	X	X	X	X		X
16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)	X	X	X	X		X
16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)		X	X	X		X
16.550 State Justice Statistics Program for Statistical Analysis Centers (B)				X		
16.554 National Criminal History Improvement Program (NCHIP) (B)				X		
16.560 National Institute of Justice Research, Evaluation, and Development Project Grants (B,L)		X		X		
16.562 Criminal Justice Research and Development_Graduate Research Fellowships (B)			X	X		
16.571 Public Safety Officers' Benefits Program (D)	X					
16.575 Crime Victim Assistance (A)			X	X		
16.578 Federal Surplus Property Transfer Program (H)				X		
16.582 Crime Victim Assistance/Discretionary Grants (B,C)			X	X		
16.583 Children's Justice Act Partnerships for Indian Communities (B,C)		X				X
16.585 Drug Court Discretionary Grant Program (B)		X		X		
16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)	X	X	X	X		X
16.590 Grants to Encourage Arrest Policies and Enforcement of						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Protection Orders Program (B)						
16.593 Residential Substance Abuse Treatment for State Prisoners (A)		X		X		
16.596 Correctional Grant Program for Indian Tribes (B)						X
16.606 State Criminal Alien Assistance Program (C)		X		X		
16.607 Bulletproof Vest Partnership Program (C)				X	X	X
16.608 Tribal Court Assistance Program (B)						X
16.609 Project Safe Neighborhoods (B)		X		X		
16.610 Regional Information Sharing Systems (B)		X		X		
16.611 Closed-Circuit Televising of Child Victims of Abuse (B)		X		X		
16.614 State and Local Anti-Terrorism Training (K,L,M)		X		X		
16.615 Public Safety Officers' Educational Assistance (D)						
16.616 Indian Country Alcohol and Drug Prevention (B)						X
16.734 Special Data Collections and Statistical Studies (B)		X	X	X		X
16.735 Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)		X		X		X
16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)		X		X		X
16.737 Gang Resistance Education and Training (B)		X		X		
16.738 Edward Byrne Memorial Justice Assistance Grant Program (A,B)		X		X		
16.740 Statewide Automated Victim Information Notification (SAVIN) Program (B)				X		
16.741 DNA Backlog Reduction Program (A,B)				X	X	
16.742 Paul Coverdell Forensic Sciences Improvement Grant Program (A)		X		X		
16.745 Criminal and Juvenile Justice and Mental Health Collaboration Program (B)		X		X		X
16.746 Capital Case Litigation (B)			X	X		
16.750 Support for Adam Walsh Act Implementation Grant Program (B)	X	X		X	X	X
16.751 Edward Byrne Memorial Competitive Grant Program (B)		X	X	X		X
16.752 Economic High-Tech and Cyber Crime Prevention (B)		X	X	X		X
16.753 Congressionally Recommended Awards (B)		X	X	X		X
16.754 Harold Rogers Prescription Drug Monitoring Program (B)				X		X
16.755 Southwest Border Prosecution Initiative Program (D)		X				
16.812 Second Chance Act Prisoner Reentry Initiative (B)		X	X	X		X
16.813 NICS Act Record Improvement Program (B)				X		
16.814 Northern Border Prosecution Initiative Program (D)				X		
16.815 Tribal Civil and Criminal Legal Assistance Grants, Training and Technical Assistance (B)						X
16.816 John R. Justice Prosecutors and Defenders Incentive Act (A)						
16.817 Byrne Criminal Justice Innovation Program (B)		X	X	X		X
16.818 Children Exposed to Violence (B)		X	X			X
16.819 National Forum on Youth Violence Prevention (B)		X	X	X		X
16.820 Postconviction DNA Testing Program (B)				X	X	
16.821 Juvenile Justice Reform and Reinvestment Demonstration Program (B)		X	X	X	X	
16.888 Consolidated And Technical Assistance Grant Program to Address Children and Youth Experiencing Domestic and Sexual Violence and Engage Men and Boys as Allies (B)		X		X		X
16.922 Equitable Sharing Program (C)		X			X	X
<b>DEPARTMENT OF LABOR</b>						
17.150 Employee Benefits Security Administration (L)	X					
17.201 Registered Apprenticeship (B,L,M)	X					X
17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)		X	X	X	X	X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
17.225	Unemployment Insurance (A,D)					
17.235	Senior Community Service Employment Program (A,B)					
17.245	Trade Adjustment Assistance (A)					
17.258	WIA Adult Program (A)					
17.259	WIA Youth Activities (A)					
17.260	WIA Dislocated Workers (A,B)					
17.261	WIA Pilots, Demonstrations, and Research Projects (B)					
17.264	National Farmworker Jobs Program (A)					
17.265	Native American Employment and Training (A)					
17.267	Incentive Grants - WIA Section 503 (B)					
17.268	H-1B Job Training Grants (B)					
17.270	Reintegration of Ex-Offenders (B)					
17.271	Work Opportunity Tax Credit Program (WOTC) (A)					
17.272	Permanent Labor Certification for Foreign Workers (J)					
17.273	Temporary Labor Certification for Foreign Workers (A,J,O)					
17.274	Youthbuild (B)					
17.275	Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B)					
17.276	Health Care Tax Credit (HCTC) National Emergency Grants (NEGs) (B)					
17.277	Workforce Investment Act (WIA) National Emergency Grants (B)					
17.278	WIA Dislocated Worker Formula Grants (A)					
17.279	Green Jobs Innovation Fund Grants (B)					
17.280	Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (B)					
17.281	Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (B)					
17.282	Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants (B)					
17.283	Workforce Innovation Fund (B)					
17.302	Longshore and Harbor Workers' Compensation (D)					
17.307	Coal Mine Workers' Compensation (D)					
17.309	Labor Organization Reports (K,L,N)					
17.310	Energy Employees Occupational Illness Compensation (D)					
17.502	Occupational Safety and Health_Susan Harwood Training Grants (B)					
17.503	Occupational Safety and Health_State Program (B)					
17.504	Consultation Agreements (B)					
17.505	OSHA Data Initiative (B)					
17.600	Mine Health and Safety Grants (B)					
17.601	Mine Health and Safety Counseling and Technical Assistance (K,L)					
17.602	Mine Health and Safety Education and Training (M)					
17.603	Brookwood-Sago Grant (B)					
17.700	Women's Bureau (K)					
17.801	Disabled Veterans' Outreach Program (DVOP) (A)					
17.802	Veterans' Employment Program (B)					
17.804	Local Veterans' Employment Representative Program (A)					
17.805	Homeless Veterans Reintegration Project (B)					
17.807	Transition Assistance Program (B)					

## U.S. DEPARTMENT OF STATE

19.009	Academic Exchange Programs - Undergraduate Programs (B)					
19.010	Academic Exchange Programs - Hubert H. Humphrey Fellowship Program (B)					



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)			X			
19.015 Cultural, Technical and Educational Centers (B)			X			
19.022 Educational and Cultural Exchange Programs Appropriation Overseas Grants (B)	X		X			
19.023 Overseas Schools Program (B)						
19.030 Antiterrorism Assistance Domestic Training Programs (B)		X	X	X		
19.031 Research and Development - Physical Security Programs (B)		X	X	X		
19.032 Global Engagement (B)	X		X			
19.033 Global Threat Reduction (B)	X	X	X	X	X	X
19.040 Public Diplomacy Programs (B)	X		X			
19.124 East Asia and Pacific Grants Program (B)			X			
19.301 The Secretary's Office of the Global Partnership Initiative (S/GPI) Grant Programs (B)						
19.400 Academic Exchange Programs - Graduate Students (B)			X			
19.401 Academic Exchange Programs - Scholars (B)			X			
19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)			X			
19.408 Academic Exchange Programs - Teachers (B)			X			
19.415 Professional and Cultural Exchange Programs - Citizen Exchanges (B)		X	X	X		
19.421 Academic Exchange Programs - English Language Programs (B)			X			
19.432 Academic Exchange Programs - Educational Advising and Student Services (B)			X			
19.450 ECA Individual Grants (B)	X	X	X	X	X	X
19.701 Global Counterterrorism Programs (B)						
19.703 CRIMINAL JUSTICE SYSTEMS (B)	X	X	X	X	X	X
19.704 COUNTERNARCOTICS (B)	X	X	X	X	X	X
19.705 TRANSNATIONAL CRIME (B)	X	X	X	X	X	X
19.750 Bureau of Western Hemisphere Affairs (WHA) Grant Programs (including Energy and Climate Partnership for the Americas) (B)		X	X	X		
19.900 AEECA PD Programs (B)	X		X			

## DEPARTMENT OF TRANSPORTATION

20.106 Airport Improvement Program (B,K)					X	X
20.108 Aviation Research Grants (B,I)				X		
20.109 Air Transportation Centers of Excellence (B,I,J)						
20.200 Highway Research and Development Program (B)				X		
20.205 Highway Planning and Construction (A,B)				X		
20.215 Highway Training and Education (B,M)		X		X		
20.218 National Motor Carrier Safety (A)				X		
20.219 Recreational Trails Program (A)						
20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)		X		X		
20.231 Performance and Registration Information Systems Management (B)						
20.232 Commercial Driver's License Program Improvement Grant (B)	X	X	X	X	X	X
20.233 Border Enforcement Grants (B)				X		
20.234 Safety Data Improvement Program (B)						
20.235 Commercial Motor Vehicle Operator Training Grants (B)		X	X	X		
20.237 Commercial Vehicle Information Systems and Networks (B)						
20.238 Commercial Drivers License Information System (CDLIS) Modernization Grant (B)				X		
20.239 Motor Carrier Research and Technology Programs (B)	X			X		
20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)				X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
20.301 Railroad Safety (B)		X				
20.313 Railroad Research and Development (B)						
20.314 Railroad Development (B)		X		X		
20.315 National Railroad Passenger Corporation Grants (B)						
20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)				X		
20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)				X		
20.318 Maglev Project Selection Program - SAFETEA-LU (B)				X		
20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B)				X		
20.320 Rail Line Relocation and Improvement (B)						
20.321 RAILROAD SAFETY TECHNOLOGY GRANTS (B)						
20.500 Federal Transit_Capital Investment Grants (A,B)		X	X	X		X
20.505 Metropolitan Transportation Planning (A)						
20.507 Federal Transit_Formula Grants (A)		X		X		
20.509 Formula Grants for Other Than Urbanized Areas (A)		X	X	X		
20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)		X	X	X		
20.514 Public Transportation Research (B,L,M)		X	X	X		
20.515 State Planning and Research (A)						
20.516 Job Access_Reverse Commute (B)		X	X	X		
20.518 Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)						
20.519 Clean Fuels (B)		X		X		
20.520 Paul S. Sarbanes Transit in the Parks (B)		X		X		
20.521 New Freedom Program (A)		X		X		
20.522 Alternatives Analysis (B)		X				
20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)		X				X
20.524 Passenger Rail Investment and Improvement (PRIIA) Projects for Washington Metropolitan Area Transit Authority (WMATA) (B)						
20.600 State and Community Highway Safety (A)				X		X
20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)					X	
20.602 Occupant Protection Incentive Grants (B)				X	X	
20.607 Alcohol Open Container Requirements (B)				X		
20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)				X		
20.609 Safety Belt Performance Grants (B)				X		
20.610 State Traffic Safety Information System Improvement Grants (B)				X		
20.611 Incentive Grant Program to Prohibit Racial Profiling (A)					X	
20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)					X	
20.613 Child Safety and Child Booster Seats Incentive Grants (B)						
20.614 National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (B)				X		
20.616 National Priority Safety Programs (A)					X	
20.700 Pipeline Safety Program State Base Grant (A)						
20.701 University Transportation Centers Program (B)			X			
20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)					X	X
20.710 Technical Assistance Grants (B)						
20.720 State Damage Prevention Program Grants (B)				X		
20.721 PHMSA Pipeline Safety Program One Call Grant (B)						
20.723 PHMSA Pipeline Safety Research and Development Other Transaction Agreements (B)	X	X	X		X	X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
20.761 Biobased Transportation Research (B)			X			
20.762 Research Grants (B)			X			
20.764 Hydrogen Storage Research and Development (B)			X			
20.802 Federal Ship Financing Guarantees (F)	X					
20.803 Maritime War Risk Insurance (G)						
20.806 State Maritime Schools (C,I)				X		
20.807 U.S. Merchant Marine Academy (M)	X					
20.808 Capital Construction Fund (C)	X					
20.812 Construction Reserve Fund (C)	X	X	X	X	X	X
20.813 Maritime Security Fleet Program (C)						
20.814 Assistance to Small Shipyards (C)		X		X		
20.816 Americas Marine Highway Grants (B)		X	X	X		X
20.817 Air Emissions and Energy Initiative (B)						
20.900 Transportation_Consumer Affairs (N)	X	X	X	X	X	X
20.901 Payments for Essential Air Services (C)						
20.904 Bonding Assistance Program (M)						
20.905 Disadvantaged Business Enterprises_Short Term Lending Program (F)						
20.907 Entrepreneurial Training and Technical Assistance Women and Girls Program (B)			X			
20.910 Assistance to small and disadvantaged businesses (B)			X			
20.930 Payments for Small Community Air Service Development (B)		X				
20.931 Transportation Planning, Research and Education (B)				X		
20.932 Surface Transportation _ Discretionary Grants for Capital Investment. (B)		X			X	
20.933 National Infrastructure Investments (B)		X				
<b>DEPARTMENT OF THE TREASURY</b>						
21.003 Taxpayer Service (K)	X	X	X	X	X	X
21.004 Exchange of Federal Tax Information With State Tax Agencies (J)						
21.006 Tax Counseling for the Elderly (B)			X			
21.008 Low Income Taxpayer Clinics (B)						
21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)		X				X
21.010 Financial Education and Counseling Pilot Program (B)						
21.011 Capital Magnet Fund (B)						
21.012 Native Initiatives (B)						
21.014 Community Development Financial Institutions Bond Guarantee Program (F)			X			
21.020 Community Development Financial Institutions Program (B)						
21.021 Bank Enterprise Award Program (B)						
<b>APPALACHIAN REGIONAL COMMISSION</b>						
23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)			X			
23.002 Appalachian Area Development (B)		X		X		
23.003 Appalachian Development Highway System (B)				X		
23.009 Appalachian Local Development District Assistance (B)		X				
23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)	X	X	X	X	X	X
<b>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</b>						
30.001 Employment Discrimination_Title VII of the Civil Rights Act of 1964 (K,N,O)	X	X	X	X	X	X
30.005 Employment Discrimination_Private Bar Program (J)	X					
30.008 Employment Discrimination_Age Discrimination in						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
<b>Employment (K,N,O)</b>						
30.010 Employment Discrimination Equal Pay Act (K,N,O)	X	X	X	X	X	X
30.011 Employment Discrimination Title I of The Americans with Disabilities Act (K,N,O)	X	X	X	X	X	X
30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008 (K,N,O)	X	X	X	X	X	X
<b>FEDERAL MARITIME COMMISSION</b>						
33.001 Shipping_Dispute Resolution and Investigation of Complaints (N)	X	X	X	X	X	X
<b>GENERAL SERVICES ADMINISTRATION</b>						
39.002 Disposal of Federal Surplus Real Property (H)	X	X	X	X		
39.003 Donation of Federal Surplus Personal Property (H)		X	X	X		X
39.007 Sale of Federal Surplus Personal Property (H)	X	X	X	X	X	X
<b>FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES</b>						
45.201 Arts and Artifacts Indemnity (G)		X	X	X		
<b>NATIONAL ENDOWMENT FOR THE ARTS</b>						
45.024 Promotion of the Arts_Grants to Organizations and Individuals (B)	X	X	X	X		X
45.025 Promotion of the Arts_Partnership Agreements (B,K)				X		
<b>NATIONAL ENDOWMENT FOR THE HUMANITIES</b>						
45.129 Promotion of the Humanities_Federal/State Partnership (A)						
45.130 Promotion of the Humanities_Challenge Grants (B)			X			
45.149 Promotion of the Humanities_Division of Preservation and Access (B)			X			
45.160 Promotion of the Humanities_Fellowships and Stipends (B)	X					
45.161 Promotion of the Humanities_Research (B)			X			
45.162 Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (B)			X			
45.163 Promotion of the Humanities_Professional Development (B)			X			
45.164 Promotion of the Humanities_Public Programs (B)			X			
45.169 Promotion of the Humanities_Office of Digital Humanities (B)			X			
<b>NATIONAL LABOR RELATIONS BOARD</b>						
46.001 Labor-Management Relations (J,N)	X		X			
<b>NATIONAL SCIENCE FOUNDATION</b>						
47.041 Engineering Grants (B)		X	X	X		
47.049 Mathematical and Physical Sciences (B)	X	X	X			
47.050 Geosciences (B)	X	X	X	X		
47.070 Computer and Information Science and Engineering (B)			X	X		
47.074 Biological Sciences (B)		X	X			
47.075 Social, Behavioral, and Economic Sciences (B)		X	X			
47.076 Education and Human Resources (B)		X	X			
47.078 Polar Programs (B)		X				
47.079 International Science and Engineering (OISE) (B)		X	X			
47.080 Office of Cyberinfrastructure (B)		X	X			
47.081 Office of Experimental Program to Stimulate Competitive Research (B)		X	X			
<b>RAILROAD RETIREMENT BOARD</b>						
57.001 Social Insurance for Railroad Workers (D)	X X					

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
57.005 Economic Recovery Payments (D)						
<b>SMALL BUSINESS ADMINISTRATION</b>						
59.062 Intermediary Loan Program (E)						
<b>DEPARTMENT OF VETERANS AFFAIRS</b>						
64.005 Grants to States for Construction of State Home Facilities (B)				X		
64.026 Veterans State Adult Day Health Care (A)						
64.027 Post-9/11 Veterans Educational Assistance (C)						
64.028 Post-9/11 Veterans Educational Assistance (D)	X					
64.029 Purchase Care Program (C)	X	X	X	X	X	X
64.030 Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (G)	X	X	X	X	X	X
64.031 Life Insurance for Veterans - Direct Payments for Insurance (G)	X	X	X	X	X	X
64.032 Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program (D)	X					
64.033 VA Supportive Services for Veteran Families Program (B)						
64.035 Veterans Transportation Program (B)			X			
64.036 Veterans Retraining Assistance Program (VRAP) (C)	X	X	X	X	X	X
64.103 Life Insurance for Veterans (G)	X					
64.116 Vocational Rehabilitation for Disabled Veterans (D)	X					
64.120 Post-Vietnam Era Veterans' Educational Assistance (D)	X					
64.128 Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida or Other Covered Birth Defects (D)						
<b>ENVIRONMENTAL PROTECTION AGENCY</b>						
66.001 Air Pollution Control Program Support (B)		X		X		X
66.032 State Indoor Radon Grants (B)				X		X
66.033 Ozone Transport Commission (B)		X		X		
66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)		X	X	X		X
66.035 Community Action for a Renewed Environment (CARE) Program (B)		X	X	X		X
66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)		X	X	X		X
66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)						X
66.039 National Clean Diesel Emissions Reduction Program (B)		X	X	X		X
66.040 State Clean Diesel Grant Program (A)				X	X	
66.042 Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (B)	X	X	X	X		X
66.050 Potomac Highlands Implementation Grants (B)		X	X	X		
66.110 Healthy Communities Grant Program (B)		X	X	X		X
66.113 Region 3 Environmental Priority Projects (B)		X	X	X		
66.119 West Coast Estuaries Initiative (B)		X				X
66.120 Puget Sound Watershed Management Assistance (B)		X				X
66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)						X
66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)		X	X			X
66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)		X	X			X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
66.124 Coastal Wetlands Planning Protection and Restoration Act (B)		X		X		
66.125 Lake Pontchartrain Basin Restoration Program (PRP) (B)		X				
66.126 The San Francisco Bay Water Quality Improvement Fund (B)		X	X			
66.127 Southeastern U.S. Regional Targeted Watershed Initiative (B)		X	X	X		X
66.128 Southeastern Multi-Media and Geographic Priority Projects (B)		X	X	X		
66.202 Congressionally Mandated Projects (B)		X	X	X		X
66.203 Environmental Finance Center Grants (B)			X			
66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)			X	X		X
66.309 Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (B)			X	X		
66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)			X	X		X
66.313 International Compliance and Enforcement Projects (B)		X	X	X		X
66.418 Construction Grants for Wastewater Treatment Works (B)		X		X		X
66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)				X	X	X
66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)	X	X	X	X		X
66.432 State Public Water System Supervision (A)					X	X
66.433 State Underground Water Source Protection (A)				X		X
66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)	X	X	X	X		X
66.437 Long Island Sound Program (B)			X	X		
66.439 Targeted Watersheds Grants (B)		X	X	X		X
66.440 Urban Waters Small Grants (B)		X	X	X		X
66.454 Water Quality Management Planning (A)				X		
66.456 National Estuary Program (B)	X		X	X		
66.458 Capitalization Grants for Clean Water State Revolving Funds (A)				X		X
66.460 Nonpoint Source Implementation Grants (A)				X		X
66.461 Regional Wetland Program Development Grants (B)		X		X		X
66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)			X			X
66.463 Water Quality Cooperative Agreements (B)	X		X	X		X
66.466 Chesapeake Bay Program (B)		X	X	X		
66.467 Wastewater Operator Training Grant Program (B)			X	X		X
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)				X		X
66.469 Great Lakes Program (B,I,L)	X	X	X	X		X
66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)				X		
66.472 Beach Monitoring and Notification Program Implementation Grants (A)		X		X		X
66.473 Direct Implementation Tribal Cooperative Agreements (B)						X
66.474 Water Protection Grants to the States (A)				X		X
66.475 Gulf of Mexico Program (B)		X	X	X		X
66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)		X	X			
66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)				X		X
66.480 Assessment and Watershed Protection Program Grants (B)	X	X	X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
66.481 Lake Champlain Basin Program (B)			X	X		
66.508 Senior Environmental Employment Program (B)						
66.509 Science To Achieve Results (STAR) Research Program (B)		X	X	X		X
66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)	X	X	X	X		X
66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)	X	X	X	X		X
66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)	X	X	X	X	X	X
66.514 Science To Achieve Results (STAR) Fellowship Program (B)	X	X	X	X	X	X
66.516 P3 Award: National Student Design Competition for Sustainability (B)			X			
66.517 Regional Applied Research Efforts (RARE) (B)	X	X	X	X		X
66.518 State Senior Environmental Employment Program (B)						
66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (A)						
66.604 Environmental Justice Small Grant Program (B)			X			X
66.605 Performance Partnership Grants (A,B)					X	X
66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)				X	X	X
66.609 Protection of Children from Environmental Health Risks (B)			X	X		X
66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)			X	X		X
66.611 Environmental Policy and Innovation Grants (B)	X	X	X	X		X
66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)			X	X		X
66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)				X		X
66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)					X	X
66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)				X		X
66.708 Pollution Prevention Grants Program (B)				X		X
66.714 Regional Agricultural IPM Grants (B)				X		X
66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)						X
66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)	X	X	X	X		X
66.717 Source Reduction Assistance (B)		X	X	X		X
66.718 National Community-Based Lead Outreach and Training Grant Program (B)		X	X			
66.801 Hazardous Waste Management State Program Support (A)				X		
66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)				X		X
66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)				X		X
66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)				X		X
66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)			X			
66.808 Solid Waste Management Assistance Grants (B)		X	X	X		X
66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)				X		X
66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)		X		X		X
66.812 Hazardous Waste Management Grant Program for Tribes (B)						X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)	X		X	X		X
66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)		X	X	X		X
66.815 Environmental Workforce Development and Job Training Cooperative Agreements (B)		X	X	X	X	X
66.816 Headquarters and Regional Underground Storage Tanks Program (B)		X		X		X
66.817 State and Tribal Response Program Grants (A)						X
66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)		X	X	X		X
66.926 Indian Environmental General Assistance Program (GAP) (B)						X
66.931 International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (B)		X	X	X		X
66.950 National Environmental Education Training Program (B)			X			
66.951 Environmental Education Grants (B)			X	X		
66.952 National Network for Environmental Management Studies Fellowship Program (B)	X	X	X	X	X	X

## NUCLEAR REGULATORY COMMISSION

77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)			X			
77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)			X	X		

## DEPARTMENT OF ENERGY

81.022 Laboratory Equipment Donation Program (B)			X			
81.036 Inventions and Innovations (B,K,L)	X	X	X	X	X	X
81.041 State Energy Program (A,B,L)				X		
81.042 Weatherization Assistance for Low-Income Persons (A,B)		X	X	X		X
81.064 Office of Scientific and Technical Information (L)	X	X	X	X	X	X
81.079 Regional Biomass Energy Programs (B)			X	X		
81.086 Conservation Research and Development (B)		X		X		
81.087 Renewable Energy Research and Development (B)		X		X		
81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)				X		
81.112 Stewardship Science Grant Program (B)			X	X		
81.113 Defense Nuclear Nonproliferation Research (B)			X	X		
81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)			X			
81.119 State Energy Program Special Projects (B)				X		
81.121 Nuclear Energy Research, Development and Demonstration (B)		X	X	X		
81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)		X	X	X		
81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)			X	X		
81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)				X		
81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)				X		
81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)	X	X	X	X	X	X
81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)	X	X	X	X	X	X
81.136 Long-Term Surveillance and Maintenance (B)		X	X	X		X
81.137 Minority Economic Impact (B)		X	X			



# APPLICANT ELIGIBILITY INDEX

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

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
84.169 Independent Living_State Grants (A)				X		
84.170 Javits Fellowships (B)	X	X	X	X	X	X
84.173 Special Education_Preschool Grants (A)				X		
84.177 Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B)				X		
84.181 Special Education-Grants for Infants and Families (A)				X		
84.184 Safe and Drug-Free Schools and Communities_National Programs (B)		X	X	X		
84.187 Supported Employment Services for Individuals with the Most Significant Disabilities (A)				X		
84.191 Adult Education_National Leadership Activities (B,C)			X			
84.196 Education for Homeless Children and Youth (A)				X		
84.200 Graduate Assistance in Areas of National Need (B)			X	X		
84.215 Fund for the Improvement of Education (B)				X		X
84.217 TRIO_McNair Post-Baccalaureate Achievement (B)			X	X		
84.220 Centers for International Business Education (B)			X	X		X
84.224 Assistive Technology (A)		X		X		
84.229 Language Resource Centers (B)		X		X		
84.235 Rehabilitation Services Demonstration and Training Programs (B)			X	X		
84.240 Program of Protection and Advocacy of Individual Rights (A)		X	X			
84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)						X
84.246 Rehabilitation Short-Term Training (B)		X	X	X		
84.250 Rehabilitation Services_American Indians with Disabilities (B)		X				X
84.256 Territories and Freely Associated States Education Grant Program (B)						
84.259 Native Hawaiian Career and Technical Education (B)			X			
84.264 Rehabilitation Training_Continuing Education (B)		X	X	X		
84.265 Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)				X		
84.268 Federal Direct Student Loans (E)	X					
84.269 Institute for International Public Policy (B)			X			
84.274 American Overseas Research Centers (B)			X	X		
84.275 Rehabilitation Training_General Training (B)		X	X	X		
84.282 Charter Schools (B)		X	X	X		
84.283 Comprehensive Centers (B)			X			
84.287 Twenty-First Century Community Learning Centers (A)		X	X	X		
84.293 Foreign Language Assistance (B)		X		X		
84.295 Ready-To-Learn Television (B)						
84.299 Indian Education -- Special Programs for Indian Children (B)		X	X			
84.305 Education Research, Development and Dissemination (B)		X	X			
84.315 Capacity Building for Traditionally Underserved Populations (B)			X			
84.323 Special Education - State Personnel Development (B)				X		
84.324 Research in Special Education (B)		X	X	X		
84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)		X	X	X		
84.326 Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)		X	X	X		
84.327 Special Education_Technology and Media Services for Individuals with Disabilities (B)		X	X	X		
84.328 Special Education_Parent Information Centers (B)						
84.329 Special Education_Studies and Evaluations (B)		X	X	X		
84.330 Advanced Placement Program (Advanced Placement Test						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Fee; Advanced Placement Incentive Program Grants) (B)						
84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)				X		
84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)			X	X		
84.335 Child Care Access Means Parents in School (B)		X	X			
84.336 Teacher Quality Partnership Grants (B)		X				
84.343 Assistive Technology_State Grants for Protection and Advocacy (A)				X		
84.350 Transition to Teaching (B)		X	X	X		
84.351 Arts in Education (B)			X	X		
84.354 Credit Enhancement for Charter School Facilities (B)		X		X		
84.356 Alaska Native Educational Programs (B)						
84.358 Rural Education (A)		X				
84.360 High School Graduation Initiative (B)		X		X		
84.361 Voluntary Public School Choice (B)		X	X	X		
84.362 Native Hawaiian Education (B)		X	X	X		
84.363 School Leadership (B)			X	X		
84.365 English Language Acquisition State Grants (A)		X		X		
84.366 Mathematics and Science Partnerships (A)				X		
84.367 Improving Teacher Quality State Grants (A)				X		
84.368 Grants for Enhanced Assessment Instruments (B)						
84.369 Grants for State Assessments and Related Activities (A)				X		
84.370 DC School Choice Incentive Program (B)						
84.371 Striving Readers (A,B)		X				
84.372 Statewide Data Systems (B)				X		
84.373 Special Education_Technical Assistance on State Data Collection (B)				X		
84.374 Teacher Incentive Fund (B)		X		X		
84.377 School Improvement Grants (A)				X		
84.378 College Access Challenge Grant Program (A)		X		X		
84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)		X		X		
84.380 Special Education -- Olympic Education Programs (B)						
84.382 Strengthening Minority-Serving Institutions (B)		X				X
84.403 Consolidated Grant to the Outlying Areas (A)						
84.407 Transition Programs for Students with Intellectual Disabilities into Higher Education (B)			X	X		
84.408 Postsecondary Education Scholarships for Veteran's Dependents (C)	X		X			
84.411 Investing in Innovation (i3) Fund (B)		X				
84.412 Race to the Top Early Learning Challenge (B)						
84.413 Race to the Top (B)						
84.414 Graduate Research Opportunities for Minority Students (Minorities and Retirement Security Program) (B)						
84.415 State Tribal Education Partnership (STEP) (B)		X				
84.416 Race to the Top - District Grants (B)		X				
84.417 Directed Grants and Awards (C)			X			
<b>CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION</b>						
85.102 Christopher Columbus Awards (B)	X					
85.104 Life Sciences Awards (D)	X	X	X	X	X	X
85.105 Agriscience Awards (D)	X	X	X	X	X	X
<b>JAPAN U.S. FRIENDSHIP COMMISSION</b>						
90.300 Japan-U.S. Friendship Commission Grants (B)			X	X		
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>						
		X		X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.001 Civil Rights and Privacy Rule Compliance Activities (K,N)	X	X	X	X	X	X
93.003 Public Health and Social Services Emergency Fund (B)		X		X		
93.004 Cooperative Agreements to Improve the Health Status of Minority Populations (B)		X	X	X		X
93.006 State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (B)						
93.007 Public Awareness Campaigns on Embryo Adoption (B)			X			
93.008 Medical Reserve Corps Small Grant Program (B)						
93.009 Compassion Capital Fund (B)				X		X
93.010 Community-Based Abstinence Education (CBAE) (B)		X	X	X		X
93.011 National Organizations of State and Local Officials (B)			X			
93.015 HIV Prevention Programs for Women (B)		X	X	X		X
93.016 Postal Model for Medical Countermeasures Delivery and Distribution (B)		X	X	X		X
93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (B)						
93.041 Special Programs for the Aging Title VII, Chapter 3_Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)			X	X		
93.042 Special Programs for the Aging Title VII, Chapter 2_Long Term Care Ombudsman Services for Older Individuals (A)				X		
93.043 Special Programs for the Aging Title III, Part D_Disease Prevention and Health Promotion Services (A)				X		
93.044 Special Programs for the Aging Title III, Part B_Grants for Supportive Services and Senior Centers (A)				X		
93.045 Special Programs for the Aging Title III, Part C_Nutrition Services (A)				X		
93.047 Special Programs for the Aging Title VI, Part A, Grants to Indian Tribes_Part B, Grants to Native Hawaiians (B)		X				X
93.048 Special Programs for the Aging Title IV_and Title II_Discretionary Projects (B)			X			
93.051 Alzheimer's Disease Demonstration Grants to States (B)				X		
93.052 National Family Caregiver Support, Title III, Part E (A)		X		X	X	
93.053 Nutrition Services Incentive Program (A)				X	X	X
93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)						X
93.055 PPHF 2012-Applied Leadership for Community Health Improvement (B)		X		X	X	X
93.056 Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment (B)			X			
93.058 Tobacco Regulation Awareness, Communication, and Education Program (B)		X			X	X
93.059 Training in General, Pediatric, and Public Health Dentistry (B)		X	X	X		X
93.060 Competitive Abstinence Education (CAE) (B)		X	X	X		X
93.061 Innovations in Applied Public Health Research (B)			X			
93.062 Biomonitoring Programs for State Public Health Laboratories (B)				X		
93.063 Centers for Genomics and Public Health (B)			X	X	X	
93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)		X	X	X	X	
93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)				X		
93.066 State Vital Statistics Improvement Program (B)			X			
93.067 Global AIDS (B)						
93.068 Chronic Diseases: Research, Control, and Prevention (B)		X	X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.069 Public Health Emergency Preparedness (B)		X		X	X	
93.070 Environmental Public Health and Emergency Response (B)						X
93.071 Medicare Enrollment Assistance Program (A,B)						
93.072 Lifespan Respite Care Program (B)				X		
93.073 Birth Defects and Developmental Disabilities - Prevention and Surveillance (B)			X	X	X	X
93.074 Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements (A)		X		X	X	
93.075 Systems Interoperability_Health and Human Services (B)				X		
93.076 TANF Program Integrity Innovation Grants (B)				X		
93.077 Family Smoking Prevention and Tobacco Control Act Regulatory Research (B,M)			X			
93.078 Strengthening Emergency Care Delivery in the United States Healthcare System through Health Information and Promotion (B)			X	X		
93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)		X	X	X		X
93.087 Enhance Safety of Children Affected by Substance Abuse (B)		X	X	X		X
93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)		X	X	X		X
93.089 Emergency System for Advance Registration of Volunteer Health Professionals (B)			X	X		
93.090 Guardianship Assistance (A)				X		X
93.091 Social Services and Income Maintenance Benefits Enrollment Coordination Grants (B)						
93.092 Affordable Care Act (ACA) Personal Responsibility Education Program (A,B)		X	X	X		X
93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants (B)			X	X		X
93.103 Food and Drug Administration_Research (B)		X	X	X	X	X
93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)		X		X		
93.107 Area Health Education Centers Point of Service Maintenance and Enhancement Awards (B)			X	X		
93.110 Maternal and Child Health Federal Consolidated Programs (B)		X	X	X		X
93.113 Environmental Health (B)		X	X	X	X	
93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)		X		X		
93.117 Preventive Medicine and Public Health Residency Training Program, Integrative Medicine Program, and National Coordinating Center for Integrative Medicine (B)		X	X	X		X
93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)		X	X	X		
93.121 Oral Diseases and Disorders Research (B)			X			
93.123 Health Professions Pregraduate Scholarship Program for Indians (M)						
93.124 Nurse Anesthetist Traineeships (A)			X	X		
93.127 Emergency Medical Services for Children (B)			X	X		
93.129 Technical and Non-Financial Assistance to Health Centers (B)		X	X	X		X
93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)				X		
93.134 Grants to Increase Organ Donations (B)			X	X		X
93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)			X	X		
93.136 Injury Prevention and Control Research and State and Community Based Programs (B)		X	X	X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.137 Community Programs to Improve Minority Health Grant Program (B)		X	X	X		
93.138 Protection and Advocacy for Individuals with Mental Illness (A)				X		
93.140 Intramural Research Training Award (B)	X					
93.142 NIEHS Hazardous Waste Worker Health and Safety Training (B)		X	X	X		
93.143 NIEHS Superfund Hazardous Substances_Basic Research and Education (B)		X	X	X		
93.145 AIDS Education and Training Centers (B)		X	X	X		
93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)				X		
93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)		X	X	X	X	
93.155 Rural Health Research Centers (B)		X	X	X		X
93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B,M)			X	X		
93.157 Centers of Excellence (B)			X	X		
93.161 Health Program for Toxic Substances and Disease Registry (B)	X	X		X		
93.162 National Health Service Corps Loan Repayment Program (C)	X					
93.164 Indian Health Service Educational Loan Repayment (C)						
93.165 Grants to States for Loan Repayment Program (B,C)				X	X	
93.172 Human Genome Research (B)		X	X	X	X	X
93.173 Research Related to Deafness and Communication Disorders (B)			X			
93.178 Nursing Workforce Diversity (B)		X	X	X		X
93.184 Disabilities Prevention (B)		X	X	X		X
93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)		X	X	X	X	X
93.186 National Research Service Award in Primary Care Medicine (B)		X	X	X		
93.187 Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (B)	X	X	X	X	X	X
93.191 Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program (B)			X			
93.193 Urban Indian Health Services (B)						
93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)		X	X	X		X
93.204 Surveillance of Hazardous Substance Emergency Events (B)				X		X
93.209 Contraception and Infertility Research Loan Repayment Program (C)						
93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (C)						X
93.211 Telehealth Programs (B)		X	X	X		X
93.212 Chiropractic Demonstration Project Grants (B)			X	X		
93.213 Research and Training in Complementary and Alternative Medicine (B,M)	X	X	X	X		
93.217 Family Planning_Services (B)		X	X	X		
93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (B)				X	X	
93.223 Development and Coordination of Rural Health Services (B)		X	X	X		X
93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)		X	X	X		

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Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.225 National Research Service Awards_Health Services Research Training (B)		X	X	X		
93.226 Research on Healthcare Costs, Quality and Outcomes (B)		X	X	X		X
93.228 Indian Health Service_Health Management Development Program (B)						X
93.231 Epidemiology Cooperative Agreements (B)		X				X
93.232 Loan Repayment Program for General Research (B)	X			X	X	
93.233 National Center on Sleep Disorders Research (B)	X	X	X			
93.234 Traumatic Brain Injury State Demonstration Grant Program (B)						
93.235 Affordable Care Act (ACA) Abstinence Education Program (A)				X	X	
93.236 Grants to States to Support Oral Health Workforce Activities (B)			X	X	X	X
93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)		X				X
93.239 Policy Research and Evaluation Grants (B)		X	X	X		
93.240 State Capacity Building (B)		X		X		
93.241 State Rural Hospital Flexibility Program (A,B)				X		
93.242 Mental Health Research Grants (B)	X	X	X	X	X	X
93.243 Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)		X	X	X		X
93.247 Advanced Nursing Education Grant Program (B)			X			
93.249 Public Health Training Centers Program (B)			X			
93.250 Geriatric Academic Career Awards (B)	X		X			
93.251 Universal Newborn Hearing Screening (B)			X	X		
93.253 Poison Center Support and Enhancement Grant Program (A,B)		X	X	X	X	X
93.254 Infant Adoption Awareness Training (B)		X	X	X		
93.255 Children's Hospitals Graduate Medical Education Payment (A)			X	X		
93.256 State Health Access Program (B)					X	
93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)		X	X	X		
93.259 Rural Access to Emergency Devices Grant (B)		X		X		X
93.260 Family Planning_Personnel Training (B)		X	X	X		
93.262 Occupational Safety and Health Program (B,M)		X		X		
93.264 Nurse Faculty Loan Program (NFLP) (A)			X	X		
93.265 Comprehensive Geriatric Education Program(CGEP) (B)			X	X		
93.266 Health Systems Strengthening and HIV/AIDS Prevention, Care and Treatment under the President's Emergency Plan for AIDS Relief (B)			X			
93.267 State Grants for Protection and Advocacy Services (A)				X		
93.268 Immunization Cooperative Agreements (B)		X		X	X	
93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)			X	X		
93.270 Adult Viral Hepatitis Prevention and Control (B)	X	X	X	X	X	X
93.273 Alcohol Research Programs (B)	X	X	X	X	X	X
93.275 Substance Abuse and Mental Health Services-Access to Recovery (B)		X		X		X
93.276 Drug-Free Communities Support Program Grants (B)			X			X
93.279 Drug Abuse and Addiction Research Programs (B,M)	X	X	X	X		
93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)						
93.281 Mental Health Research Career/Scientist Development Awards (B)	X	X	X	X		
93.282 Mental Health National Research Service Awards for Research Training (M)	X		X			
93.283 The Affordable Care Act: Centers for Disease Control and						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Prevention_Investigations and Technical Assistance (B)						
93.284 Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (B)			X			X
93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)						
93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)			X			
93.288 National Health Service Corps Scholarship Program (C)	X					
93.289 President's Council on Fitness, Sports, and Nutrition (K)	X	X	X	X	X	X
93.290 National Community Centers of Excellence in Women's Health (B)			X	X		
93.291 Surplus Property Utilization (H)		X	X	X		
93.296 State Partnership Grant Program to Improve Minority Health (B)				X		
93.297 Teenage Pregnancy Prevention Program (B)			X			
93.300 National Center for Health Workforce Analysis (B)		X	X	X		
93.301 Small Rural Hospital Improvement Grant Program (B)		X	X	X		X
93.303 Nursing Scholarship Program (C)						
93.307 Minority Health and Health Disparities Research (B)		X	X	X	X	X
93.308 National Institute on Minority Health and Health Disparities (NIMHD) Extramural Loan Repayment Programs (C)						
93.310 Trans-NIH Research Support (B,M)		X	X	X		
93.313 NIH Office of Research on Women's Health (B)			X	X		
93.338 Foreign Public Health Construction (B)			X			
93.339 Public Health Conference Support (B)	X	X	X	X	X	X
93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (B)			X	X		
93.350 National Center for Advancing Translational Sciences (B)		X	X	X		
93.351 Research Infrastructure Programs (B)				X		
93.352 Construction Support (B)			X			
93.358 Advanced Education Nursing Traineeships (B)		X	X	X		X
93.359 Nurse Education, Practice Quality and Retention Grants (B)		X	X	X		
93.360 Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development (B)			X	X		X
93.361 Nursing Research (B)	X	X	X	X	X	X
93.364 Nursing Student Loans (E)			X			
93.365 Sickle Cell Treatment Demonstration Program (B)			X	X		
93.389 National Center for Research Resources (B)		X	X	X		
93.393 Cancer Cause and Prevention Research (B)		X	X	X		
93.394 Cancer Detection and Diagnosis Research (B)		X	X	X		
93.395 Cancer Treatment Research (B)		X	X	X		
93.396 Cancer Biology Research (B)		X	X	X		
93.397 Cancer Centers Support Grants (B)		X	X	X		
93.398 Cancer Research Manpower (B)			X			
93.399 Cancer Control (B)		X	X	X		
93.400 National Health Service Corps Scholarship Program (C)	X					
93.401 ARRA - National Health Service Corps Loan Repayment (C)						
93.402 ARRA - State Loan Repayment Program (B,C)					X	
93.403 ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (B)			X	X		
93.404 ARRA - Dental Public Health Residency Training Grants (B)			X	X		
93.405 ARRA - Public Health Traineeship Program (A)			X	X		
93.406 Nursing Education Loan Repayment Program (NELRP) (C)		X				
93.407 ARRA - Scholarships for Disadvantaged Students (B)			X	X		
93.408 ARRA - Nurse Faculty Loan Program (B)	X	X	X	X		



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.409 Faculty Loan Repayment Programs (C)						
93.410 ARRA Licensure Portability Grant Program (B)				X		
93.411 ARRA Equipment to Enhance Training for Health Professionals (B)			X	X		
93.412 ARRA - Preventive Medicine Residency Program (B)			X	X		
93.414 ARRA - State Primary Care Offices (B)			X	X		
93.415 ARRA - Centers of Excellence (B)			X	X		
93.416 ARRA - Health Careers Opportunity Program (B)			X			
93.417 ARRA - Nursing Workforce Diversity (B)						
93.420 ARRA - Community Health Applied Research Network (B,C)			X			
93.440 National Project Management of the Healthcare Communities Knowledge Gateway (B)			X			
93.441 Indian Self-Determination (C)		X				
93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)				X		X
93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)						X
93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)						X
93.445 Indian Health Service Sanitation Facilities Construction Program (J)						X
93.448 Food Safety and Security Monitoring Project (B)		X		X		X
93.449 Ruminant Feed Ban Support Project (B)		X		X	X	X
93.451 The Linkage to Life Program: Rebuilding Broken Bridges for Minority Families Impacted by HIV/AIDS. (B)						
93.452 Health Improvement for Re-entering Ex-offenders Initiative (HIRE) HIV/AIDS (B)			X			X
93.453 Coalition for a Healthier Community (B)		X	X	X		
93.500 Pregnancy Assistance Fund Program (B)		X		X		
93.501 Affordable Care Act (ACA) Grants for School-Based Health Center Capital Expenditures (B)		X	X	X		X
93.502 Affordable Care Act (ACA) Infrastructure to Expand Access to Care (B)			X	X		
93.503 Affordable Care Act (ACA) Nursing Assistant and Home Health Aide Program (B)			X	X		X
93.504 Affordable Care Act (ACA) Family to Family Health Information Centers (B)		X	X	X	X	X
93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (A,B)					X	
93.506 ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (B)					X	
93.507 PPHF 2012 National Public Health Improvement Initiative (B)		X			X	X
93.508 Affordable Care Act (ACA) Tribal Maternal, Infant, and Early Childhood Home Visiting Program (B)			X			X
93.509 Affordable Care Act (ACA) State Health Care Workforce Development Grants (B)						
93.510 Affordable Care Act (ACA) Primary Care Residency Expansion Program (B)			X			
93.511 Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review (B)						
93.512 Affordable Care Act (ACA) Personal and Home Care Aide State Training Program (PHCAST) (B)						X
93.513 Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative (B)		X	X	X	X	
93.514 Affordable Care Act (ACA) Expansion of Physician Assistant Training Program (B)		X	X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.515 Affordable Care Act (ACA) Nurse-Managed Health Clinics (B)			X			
93.516 Affordable Care Act (ACA) Public Health Training Centers Program, Resources Development and Academic Support to the Public Health Training Centers Program and Public Health Infrastructure and Systems Support (B)			X			
93.517 Affordable Care Act Aging and Disability Resource Center (B)						
93.518 Affordable Care Act - Medicare Improvements for Patients and Providers (A,B)						
93.519 Affordable Care Act (ACA) Consumer Assistance Program Grants (B)				X		
93.520 Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work (B)		X			X	X
93.521 The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements;PPHF (B)					X	
93.522 Affordable Care Act (ACA) Prevention Center for Healthy Weight (B)		X		X	X	X
93.523 The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities (B)		X		X	X	
93.524 The Affordable Care Act (ACA): Capacity Building Assistance to Strengthen Public Health Infrastructure and Performance (B)						
93.525 State Planning and Establishment Grants for the Affordable Care Act (ACA)s Exchanges (B)					X	
93.526 Affordable Care Act (ACA) Grants for Capital Development in Health Centers (B)		X	X	X		
93.527 Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (B)		X	X	X		
93.528 National Forum for State and Territorial Chief Executives (B)			X			
93.529 Pre-existing Condition Insurance Program (PCIP) (C)						
93.530 Affordable Care Act - Teaching Health Center Graduate Medical Education Payments Program (A)		X	X			
93.531 PPHF 2012: Community Transformation Grants and National Dissemination and Support for Community Transformation Grants - financed solely by 2012 Prevention and Public Health Funds (B)		X	X	X	X	X
93.533 Prevention and Public Health Fund (Affordable Care Act): Enhanced Surveillance for New Vaccine Preventable Disease (B)		X	X	X	X	X
93.534 Affordable Care Act Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards (B)			X	X		X
93.535 Affordable Care Act (ACA) Childhood Obesity Research Demonstration (B)		X	X	X	X	X
93.536 The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project (B)				X		
93.537 Affordable Care Act Medicaid Emergency Psychiatric Demonstration (C)				X		
93.538 Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation (B)		X		X		
93.539 PPHF 2012 - Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by 2012 Prevention and Public Health Funds						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
(B)						
93.540 Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability; and Prevention and Public Health Fund (B)			X			
93.541 The Patient Protection and Affordable Care Act of 2010 (ACA) (B)			X		X	X
93.542 Health Promotion and Disease Prevention Research Centers: PPHF 2012 - Affordable Care Act Projects (B)						
93.544 The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Coordinated Chronic Disease prevention and Health Promotion Program (B)					X	
93.545 Consumer Operated and Oriented Plan [CO-OP] Program (E)						
93.546 Early Retiree Reinsurance Program (C)			X			
93.547 Affordable Care Act National Health Service Corps (B,C)	X				X	
93.548 PPHF 2012: Nutrition, Physical Activity and Obesity Program - financed in part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)						
93.549 Affordable Care Act (ACA) The Primary Care Services Resource Coordination and Development Program (B)					X	
93.550 Transitional Living for Homeless Youth (B)		X	X	X		X
93.551 Abandoned Infants (B)		X	X	X		X
93.556 Promoting Safe and Stable Families (A,B)				X		X
93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)						
93.558 Temporary Assistance for Needy Families (A)					X	X
93.560 Family Support Payments to States_Assistance Payments (A)					X	
93.563 Child Support Enforcement (A)				X		
93.564 Child Support Enforcement Research (B)				X		
93.566 Refugee and Entrant Assistance_State Administered Programs (A)				X		
93.567 Refugee and Entrant Assistance_Voluntary Agency Programs (B)						
93.568 Low-Income Home Energy Assistance (A)			X	X		X
93.569 Community Services Block Grant (A)				X		X
93.570 Community Services Block Grant_Discretionary Awards (B)			X	X		
93.575 Child Care and Development Block Grant (A)					X	X
93.576 Refugee and Entrant Assistance_Discretionary Grants (B)		X		X		
93.579 U.S. Repatriation (B)						
93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)						X
93.583 Refugee and Entrant Assistance_Wilson/Fish Program (B)				X		
93.584 Refugee and Entrant Assistance_Targeted Assistance Grants (A)				X		
93.586 State Court Improvement Program (A)				X		
93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)		X	X			X
93.590 Community-Based Child Abuse Prevention Grants (A)				X		
93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_Grants to State Domestic Violence Coalitions (A)						
93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (B)		X	X			X
93.593 Job Opportunities for Low-Income Individuals (B)			X			
93.594 Tribal Work Grants (A)		X			X	X
93.595 Welfare Reform Research, Evaluations and National Studies (B)		X	X	X		
93.596 Child Care Mandatory and Matching Funds of the Child						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
Care and Development Fund (A)						
93.597 Grants to States for Access and Visitation Programs (A)					X	
93.598 Services to Victims of a Severe Form of Trafficking (B)		X	X	X		
93.599 Chafee Education and Training Vouchers Program (ETV) (A)				X		X
93.600 Head Start (B)		X	X			X
93.601 Child Support Enforcement Demonstrations and Special Projects (B)		X	X	X		
93.602 Assets for Independence Demonstration Program (B)		X	X	X		X
93.603 Adoption Incentive Payments (A)				X		
93.604 Assistance for Torture Victims (B)			X			
93.605 Family Connection Grants (B)		X	X	X		
93.606 Affordable Care Act - Preparedness and Emergency Response Learning Centers (B)			X			
93.607 Affordable Care Act - Preparedness and Emergency Response Research Centers: A Public Health Systems Approach (B)			X			
93.609 The Affordable Care Act Medicaid Adult Quality Grants (B)					X	
93.610 Health Care Innovation Awards (HCIA) (B)						
93.611 Strong Start for Mothers and Newborns (B)			X	X	X	
93.612 Native American Programs (B)		X	X			X
93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)	X	X	X	X	X	X
93.615 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Research Programs (B)			X		X	X
93.616 Mentoring Children of Prisoners (B)		X	X	X		X
93.617 Voting Access for Individuals with Disabilities_Grants to States (A)				X		
93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)				X		
93.621 Affordable Care Act Initiative to Reduce Avoidable Hospitalizations among Nursing Facility Residents (B)	X	X	X			X
93.622 Affordable Care Act: Coordinating Center for Interprofessional Education and Collaborative Practice (B)			X			
93.623 Basic Center Grant (B)		X	X	X		X
93.624 ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance (B)					X	
93.626 Affordable Care Act State Health Insurance Assistance Program (SHIP) and Aging and Disability Resource Center (ADRC) Options Counseling for Medicare-Medicaid Individuals in States with Approved Financial Alignment Models (B)					X	
93.627 Affordable Care Act: Testing Experience and Functional Assessment Tools (B)						
93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)				X		
93.631 Developmental Disabilities Projects of National Significance (B)		X		X		
93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)						
93.643 Children's Justice Grants to States (A)				X		
93.645 Stephanie Tubbs Jones Child Welfare Services Program (A)				X		X
93.647 Social Services Research and Demonstration (B)			X	X		X
93.648 Child Welfare Research Training or Demonstration (B)		X	X	X		X
93.652 Adoption Opportunities (B)		X	X	X		
93.658 Foster Care_Title IV-E (A,B)				X		X
93.659 Adoption Assistance (A)				X		X
93.667 Social Services Block Grant (A)				X		X

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.669 Child Abuse and Neglect State Grants (A)				X		
93.670 Child Abuse and Neglect Discretionary Activities (B)		X	X	X		
93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)					X	X
93.674 Chafee Foster Care Independence Program (A)				X		X
93.676 Unaccompanied Alien Children Program (B)		X		X		
93.700 IMR and NCCIM Programs (B)		X	X	X		
93.701 Trans-NIH Recovery Act Research Support (B)						
93.702 National Center for Research Resources, Recovery Act Construction Support (B)			X			
93.703 ARRA Grants to Health Center Programs (B)			X			
93.704 Trans-NIH Recovery Act Loan Repayment Support (C)						
93.706 Aging Nutrition Services for Native Americans (B)						X
93.708 ARRA - Head Start (B)		X	X	X		X
93.709 ARRA - Early Head Start (B)		X	X	X		X
93.710 ARRA - Community Services Block Grant (A)				X		X
93.711 ARRA Strengthening Communities Fund (B)						X
93.712 ARRA - Immunization (B)				X		
93.713 ARRA Child Care and Development Block Grant (A)					X	X
93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)					X	X
93.715 Recovery Act Comparative Effectiveness Research - AHRQ (B)		X	X	X		X
93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)						
93.717 ARRA - Preventing Healthcare-Associated Infections (B)				X		
93.718 Health Information Technology Regional Extension Centers Program (B)						
93.719 ARRA - State Grants to Promote Health Information Technology (B)				X		
93.720 ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (B)				X		
93.721 ARRA - Health Information Technology Professionals in Health Care (B)			X			
93.722 ARRA - IHS Tribal Agreements (B)						X
93.723 ARRA - Prevention and Wellness-State, Territories and Pacific Islands (B)						
93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (B)						
93.725 ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (B)					X	
93.726 ARRA Accelerating Adoption of Comparative Effectiveness Research (CER) (B)		X	X	X		X
93.727 ARRA - Health Information Technology - Beacon Communities (B)		X	X	X	X	X
93.728 ARRA - Strategic Health IT Advanced Research Projects (SHARP) (B)			X			
93.729 ARRA Health Information Technology and Public Health (B)				X	X	
93.730 ARRA Prevention Research Centers Comparative Effectiveness Research Program (B)						
93.731 ARRA - Prevention and Wellness - Leveraging National Organizations (B)			X			
93.732 PPHF-2012 Mental and Behavioral Health Education and Training Grants (B)			X	X		
93.733 Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
part by the Prevention and Public Health Fund (PPHF-2012) (B)						
93.734 Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs financed by 2012 Prevention and Public Health Funds (PPHF-2012) (B)					X	
93.735 State Public Health Approaches for Ensuring Quitline Capacity Funded in part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)				X	X	
93.736 Prevention Public Health Fund 2012: Viral Hepatitis Prevention (B)		X	X			X
93.737 PPHF 2012: Community Transformation Grants -Small Communities Program financed solely by 2012 Public Prevention and Health Funds (B)				X	X	X
93.738 PPHF 2012: Racial and Ethnic Approaches to Community Health Program financed solely by 2012 Public Prevention and Health Funds (B)			X	X	X	X
93.739 PPHF2012: Chronic disease Inovation Grants - financed soley by 2012 Public Prevention Health Funds (B)						X
93.740 Prevention Public Health Fund 2012: Viral Hepatitis Education (B)		X	X			X
93.741 Breastfeeding Promotion and Support Improving Maternity Care Practices project financed solely by 2012 Public Prevention and Health Funds (B)			X			
93.742 PPHF 2012: Early Childcare and Education Obesity Prevention Program - Obesity Prevention in Young Children - financed solely by 2012 Public Prevention and Health Funds (B)			X			X
93.743 Racial and Ethnic Approaches to Community Health: Obesity and Hypertension Demonstration Projects financed solely by 2012 Prevention and Public Health Funds (B)			X	X	X	X
93.744 PPHF 2012: Breast and Cervical Cancer Screening Opportunities for States, Tribes and Territories solely financed by 2012 Prevention and Public Health Funds (B)					X	
93.745 PPHF-2012: Health Care Surveillance/Health Statistics Surveillance Program Announcement: Behavioral Risk Factor Surveillance System Financed in Part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)					X	
93.747 Elder Abuse Prevention Interventions Program (B)						X
93.748 PPHF-2012 Cooperative Agreements for Prescription Drug Monitoring Program Electronic Health Record (EHR) Integration and Interoperability Expansion (B)					X	
93.749 PPHF 2012 Public Health Laboratory Infrastructure financed solely by 2012 Prevention and Public Health Fund (B)						
93.767 Children's Health Insurance Program (A)				X		
93.768 Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)				X		
93.770 Medicare_Prescription Drug Coverage (C)						
93.773 Medicare_Hospital Insurance (C)	X					
93.774 Medicare_Supplementary Medical Insurance (C)	X					
93.775 State Medicaid Fraud Control Units (A)						
93.777 State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare (A)				X		
93.778 Medical Assistance Program (A)		X		X		
93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)			X	X		
93.780 Grants to States for Operation of Qualified High-Risk Pools (A)				X		
93.784 Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)		X	X	X	X	

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.789 Alternatives to Psychiatric Residential Treatment Facilities for Children (B)				X		
93.790 Alternate Non-Emergency Service Providers or Networks (B)				X		
93.791 Money Follows the Person Rebalancing Demonstration (B)				X		
93.793 Medicaid Transformation Grants (B)				X		
93.796 State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (A)						
93.822 Health Careers Opportunity Program (B)		X	X	X		
93.824 Area Health Education Centers Infrastructure Development Awards (B)		X	X	X		
93.837 Cardiovascular Diseases Research (B)	X	X	X			
93.838 Lung Diseases Research (B)	X	X	X			
93.839 Blood Diseases and Resources Research (B)	X	X	X			
93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)	X	X	X	X		
93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)	X	X	X	X		
93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)	X	X	X	X	X	
93.855 Allergy, Immunology and Transplantation Research (B)	X	X	X	X		
93.856 Microbiology and Infectious Diseases Research (B)	X	X	X	X		
93.859 Biomedical Research and Research Training (B)	X	X	X	X		
93.865 Child Health and Human Development Extramural Research (B)	X	X	X	X		
93.866 Aging Research (B)	X	X	X	X	X	X
93.867 Vision Research (B)	X	X	X	X	X	X
93.879 Medical Library Assistance (B)		X	X	X		
93.884 Grants for Primary Care Training and Enhancement (B)		X	X	X		
93.887 Health Care and Other Facilities (B)			X	X		X
93.888 Specially Selected Health Projects (B)		X	X	X		X
93.889 National Bioterrorism Hospital Preparedness Program (A)		X		X		
93.908 Nursing Education Loan Repayment Program (C)	X					
93.910 Family and Community Violence Prevention Program (B)		X	X	X		X
93.912 Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program (B)		X	X	X		X
93.913 Grants to States for Operation of Offices of Rural Health (B)				X		
93.914 HIV Emergency Relief Project Grants (B)		X	X	X		X
93.917 HIV Care Formula Grants (A)				X		
93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)		X	X	X		X
93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)				X	X	X
93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)			X	X		
93.924 Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants (B)			X	X		
93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)		X	X	X		
93.926 Healthy Start Initiative (B)		X	X	X		X
93.928 Special Projects of National Significance (B)		X	X	X	X	X
93.932 Native Hawaiian Health Systems (B)			X			
93.933 Demonstration Projects for Indian Health (B)		X	X			X
93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)				X	X	
93.938 Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)			X	X		

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
93.939 HIV Prevention Activities_Non-Governmental Organization Based (B)			X			
93.940 HIV Prevention Activities_Health Department Based (B)		X		X		
93.941 HIV Demonstration, Research, Public and Professional Education Projects (B)		X	X	X		
93.942 Research, Prevention, and Education Programs on Lyme Disease in the United States (B)		X	X	X		
93.943 Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B)		X	X	X		
93.944 Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)		X		X		
93.945 Assistance Programs for Chronic Disease Prevention and Control (B)			X	X		
93.946 Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)				X		
93.947 Tuberculosis Demonstration, Research, Public and Professional Education (B)		X	X	X		
93.954 Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)						X
93.958 Block Grants for Community Mental Health Services (A)				X		
93.959 Block Grants for Prevention and Treatment of Substance Abuse (A)				X		X
93.964 Prevention and Public Health Fund (PPHF) Public Health Traineeships (A)			X	X		
93.965 Coal Miners Respiratory Impairment Treatment Clinics and Services (B)		X	X	X		X
93.969 PPHF-2012 Geriatric Education Centers (B)			X			
93.970 Health Professions Recruitment Program for Indians (M)		X	X			X
93.971 Health Professions Preparatory Scholarship Program for Indians (M)	X					
93.972 Health Professions Scholarship Program (M)	X					
93.974 Family Planning_Service Delivery Improvement Research Grants (B)			X	X		
93.975 National All Schedules Prescription Electronic Reporting Grant (A)				X		
93.977 Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)		X		X		
93.982 Mental Health Disaster Assistance and Emergency Mental Health (B)		X	X	X		
93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)					X	
93.989 International Research and Research Training (B,M)		X	X	X		X
93.990 National Health Promotion (B)			X			
93.991 Preventive Health and Health Services Block Grant (A)				X	X	X
93.994 Maternal and Child Health Services Block Grant to the States (A)				X		
93.995 Adolescent Family Life_Demonstration Projects (B)		X	X	X		

## CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

94.002 Retired and Senior Volunteer Program (B)		X	X	X		X
94.007 Program Development and Innovation Grants (B)		X	X	X		X
94.011 Foster Grandparent Program (B)		X	X	X		X
94.013 Volunteers in Service to America (J)		X	X	X	X	X
94.016 Senior Companion Program (B)		X	X	X		X
94.017 Senior Demonstration Program (B)		X	X	X		
94.019 Social Innovation Fund (B)		X	X	X	X	X
94.022 Nonprofit Capacity Building (B)						



# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
<b>EXECUTIVE OFFICE OF THE PRESIDENT</b>						
95.004 Anti-Doping Activities (B)						
95.005 Drug Court Training and Technical Assistance (B)			X			
<b>DEPARTMENT OF HOMELAND SECURITY</b>						
97.005 State and Local Homeland Security National Training Program (B)		X	X	X		X
97.007 Homeland Security Preparedness Technical Assistance Program (B)						
97.008 Non-Profit Security Program (B)		X				
97.009 Cuban/Haitian Entrant Program (B)	X		X			
97.010 Citizenship Education and Training (B)			X			
97.012 Boating Safety Financial Assistance (A)						
97.016 Reimbursement for Firefighting on Federal Property (C)				X		
97.018 National Fire Academy Training Assistance (C)			X			
97.022 Flood Insurance (G)		X				
97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)						
97.024 Emergency Food and Shelter National Board Program (B)			X			
97.025 National Urban Search and Rescue (US&R) Response System (B)						
97.026 Emergency Management Institute_Training Assistance (C)		X				
97.027 Emergency Management Institute (EMI)_Independent Study Program (M)		X				
97.028 Emergency Management Institute (EMI)_Resident Educational Program (M)		X		X		
97.029 Flood Mitigation Assistance (B)				X		X
97.030 Community Disaster Loans (E)		X				
97.031 Cora Brown Fund (C)	X					
97.032 Crisis Counseling (B)					X	X
97.033 Disaster Legal Services (C)						
97.034 Disaster Unemployment Assistance (B)						X
97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)		X		X		
97.039 Hazard Mitigation Grant (B)				X		X
97.040 Chemical Stockpile Emergency Preparedness Program (B)		X				
97.041 National Dam Safety Program (B)						
97.042 Emergency Management Performance Grants (A)				X		
97.043 State Fire Training Systems Grants (B)						
97.044 Assistance to Firefighters Grant (B)		X				
97.045 Cooperating Technical Partners (B)		X		X		X
97.046 Fire Management Assistance Grant (B,J)				X		X
97.047 Pre-Disaster Mitigation (B)				X		X
97.048 Federal Disaster Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)	X					
97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (C,J)	X					
97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)	X					
97.052 Emergency Operations Center (B)						
97.053 Citizens-Community Resilience Innovation Challenge (B)			X			
97.055 Interoperable Emergency Communications (B)		X				
97.056 Port Security Grant Program (B)						
97.057 Intercity Bus Security Grants (B)			X			
97.059 Truck Security Program (B)			X			
97.061 Centers for Homeland Security (B)			X			
97.062 Scientific Leadership Awards (B,C)						

# APPLICANT ELIGIBILITY INDEX

Program Description	Individual	Local	NonProfit	State	U.S. Territories	Federal Tribal Governments
97.065 Homeland Security Advanced Research Projects Agency (B)			X			
97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)						
97.067 Homeland Security Grant Program (A)		X		X		
97.069 Aviation Research Grants (B,I)			X			
97.075 Rail and Transit Security Grant Program (B)						
97.076 National Center for Missing and Exploited Children (NCMEC) (B)						
97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B)		X	X	X		
97.078 Buffer Zone Protection Program (BZPP) (B)		X		X		X
97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)		X	X	X		X
97.082 Earthquake Consortium (B)						
97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)		X				
97.088 Disaster Assistance Projects (B)	X	X	X	X		X
97.089 Driver's License Security Grant Program (B)				X		
97.091 Homeland Security Biowatch Program (B,I)		X		X		
97.092 Repetitive Flood Claims (B)				X		X
97.101 National Fallen Firefighters Memorial (C)			X			
97.103 Degrees at a Distance Program (B)			X			
97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)						
97.106 Securing the Cities (B,I,L)		X				
97.107 National Incident Management System (NIMS) (B)		X	X	X		X
97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)	X	X	X	X		X
97.109 Disaster Housing Assistance Grant (B)	X					
97.110 Severe Repetitive Loss Program (B)				X		X
97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)		X		X		
97.113 Rail and Transit Security Grant Program (ARRA) (B)						
97.114 Emergency Food and Shelter National Board Program (ARRA) (B)						
97.115 Assistance to Firefighters Grant (ARRA) (B)		X				
97.116 Port Security Grant Program (ARRA) (B)						
97.120 Border Interoperability Demonstration Project (B)						
97.121 Radiological/Nuclear Detection Pilot Evaluations Program (B,I,L)		X				
97.122 Bio-Preparedness Collaboratory (B)						
97.123 Multi-State Information Sharing and Analysis Center (B)						
97.124 Interoperable Communications and Training Project (B)			X			
97.126 National Special Security Event (B)		X			X	
97.127 Cybersecurity Education and Training Assistance Program (CETAP) (B)						
97.128 National Cyber Security Awareness (B)			X			
97.129 Securing Critical Underground Infrastructure Pilot Program (B)						
97.130 National Nuclear Forensics Expertise Development Program (B)			X			
97.131 Emergency Management Baseline Assessments Grant (EMBAG) (C)						

# DEADLINES INDEX

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

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## NOVEMBER 15, 2011

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

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

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## DECEMBER 05, 2011

93.396 Cancer Biology Research (B)

---

## DECEMBER 19, 2011

93.610 Health Care Innovation Awards (HCIA) (B)

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## DECEMBER 31, 2011

10.761 Technical Assistance and Training Grants (B)

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## JANUARY 01, 2012

64.103 Life Insurance for Veterans (G)

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## JANUARY 05, 2012

85.104 Life Sciences Awards (D)

85.105 Agriscience Awards (D)

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## JANUARY 27, 2012

93.610 Health Care Innovation Awards (HCIA) (B)

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## JANUARY 31, 2012

20.106 Airport Improvement Program (B,K)

93.187 Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (B)

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## FEBRUARY 06, 2012

85.102 Christopher Columbus Awards (B)

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## FEBRUARY 17, 2012

97.008 Non-Profit Security Program (B)

97.042 Emergency Management Performance Grants (A)

97.067 Homeland Security Grant Program (A)

97.075 Rail and Transit Security Grant Program (B)

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## FEBRUARY 20, 2012

20.933 National Infrastructure Investments (B)

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## MARCH 01, 2012

15.623 North American Wetlands Conservation Fund (B)

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

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## MARCH 13, 2012

85.105 Agriscience Awards (D)

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## MARCH 19, 2012

20.933 National Infrastructure Investments (B)

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## MARCH 27, 2012

85.104 Life Sciences Awards (D)

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## APRIL 01, 2012

15.427 Federal Oil and Gas Royalty Management (B)

15.645 Marine Turtle Conservation Fund (B)

20.215 Highway Training and Education (B,M)

20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)

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## APRIL 05, 2012

93.396 Cancer Biology Research (B)

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## APRIL 15, 2012

20.807 U.S. Merchant Marine Academy (M)

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## MAY 01, 2012

21.006 Tax Counseling for the Elderly (B)

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

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## MAY 04, 2012

97.008 Non-Profit Security Program (B)

97.042 Emergency Management Performance Grants (A)

97.056 Port Security Grant Program (B)

97.067 Homeland Security Grant Program (A)

97.075 Rail and Transit Security Grant Program (B)

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## MAY 11, 2012

20.930 Payments for Small Community Air Service Development (B)

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## MAY 15, 2012

81.138 State Heating Oil and Propane Program (B)

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## MAY 31, 2012

21.006 Tax Counseling for the Elderly (B)

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

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## JUNE 01, 2012

20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)

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## JUNE 11, 2012

20.930 Payments for Small Community Air Service Development (B)

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## JUNE 15, 2012

20.610 State Traffic Safety Information System Improvement Grants (B)

21.008 Low Income Taxpayer Clinics (B)

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## JUNE 21, 2012

93.066 State Vital Statistics Improvement Program (B)

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## JUNE 27, 2012

20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)

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## JUNE 28, 2012

93.748 PPHF-2012 Cooperative Agreements for Prescription Drug Monitoring Program Electronic Health Record (EHR) Integration and Interoperability Expansion (B)

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## JUNE 29, 2012

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

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## JULY 01, 2012

15.042 Indian School Equalization Program (C)

20.611 Incentive Grant Program to Prohibit Racial Profiling (A)

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

# DEADLINES INDEX

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

## **JULY 16, 2012**

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

## **JULY 19, 2012**

11.555 Public Safety Interoperable Communications Grant Program (B)

93.624 ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance (B)

## **JULY 27, 2012**

20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)

## **JULY 31, 2012**

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

93.748 PPHF-2012 Cooperative Agreements for Prescription Drug Monitoring Program Electronic Health Record (EHR) Integration and Interoperability Expansion (B)

## **AUGUST 01, 2012**

15.921 Rivers, Trails and Conservation Assistance (K)

20.218 National Motor Carrier Safety (A)

20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)

20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)

20.700 Pipeline Safety Program State Base Grant (A)

20.807 U.S. Merchant Marine Academy (M)

## **AUGUST 05, 2012**

93.396 Cancer Biology Research (B)

## **AUGUST 08, 2012**

93.778 Medical Assistance Program (A)

## **AUGUST 09, 2012**

84.415 State Tribal Education Partnership (STEP) (B)

## **AUGUST 15, 2012**

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

## **AUGUST 16, 2012**

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

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

## **AUGUST 22, 2012**

93.627 Affordable Care Act: Testing Experience and Functional Assessment Tools (B)

## **AUGUST 25, 2012**

93.621 Affordable Care Act Initiative to Reduce Avoidable Hospitalizations among Nursing Facility Residents (B)

## **AUGUST 30, 2012**

93.078 Strengthening Emergency Care Delivery in the United States Healthcare System through Health Information and Promotion (B)

## **SEPTEMBER 01, 2012**

15.810 National Cooperative Geologic Mapping Program (B)

15.923 National Center for Preservation Technology and Training (B)

20.600 State and Community Highway Safety (A)

93.209 Contraception and Infertility Research Loan Repayment Program (C)

93.568 Low-Income Home Energy Assistance (A)

93.570 Community Services Block Grant\_Discretionary Awards (B)

93.958 Block Grants for Community Mental Health Services (A)

## **SEPTEMBER 12, 2012**

93.627 Affordable Care Act: Testing Experience and Functional Assessment Tools (B)

## **SEPTEMBER 15, 2012**

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

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

## **SEPTEMBER 17, 2012**

93.624 ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance (B)

## **SEPTEMBER 30, 2012**

10.080 Milk Income Loss Contract Program (D)

20.106 Airport Improvement Program (B,K)

20.218 National Motor Carrier Safety (A)

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

20.700 Pipeline Safety Program State Base Grant (A)

## **OCTOBER 01, 2012**

11.307 Economic Adjustment Assistance (B)

15.628 Multistate Conservation Grant Program (B)

15.645 Marine Turtle Conservation Fund (B)

20.235 Commercial Motor Vehicle Operator Training Grants (B)

93.273 Alcohol Research Programs (B)

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

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

## **OCTOBER 15, 2012**

15.923 National Center for Preservation Technology and Training (B)

20.721 PHMSA Pipeline Safety Program One Call Grant (B)

## **OCTOBER 31, 2012**

10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (D)

## **NOVEMBER 01, 2012**

15.810 National Cooperative Geologic Mapping Program (B)

## **NOVEMBER 15, 2012**

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

10.576 Senior Farmers Market Nutrition Program (B)

14.218 Community Development Block Grants/Entitlement Grants (A)

14.239 Home Investment Partnerships Program (A)

20.215 Highway Training and Education (B,M)

93.209 Contraception and Infertility Research Loan Repayment Program (C)

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

93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)

## **NOVEMBER 21, 2012**

20.721 PHMSA Pipeline Safety Program One Call Grant (B)

## **DECEMBER 01, 2012**

# DEADLINES INDEX

15.651 Wildlife Without Borders-Africa Program (B)  
20.235 Commercial Motor Vehicle Operator Training Grants (B)

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## DECEMBER 03, 2012

15.424 Marine Minerals Activities (B)

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## DECEMBER 04, 2012

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

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## DECEMBER 06, 2012

45.161 Promotion of the Humanities\_Research (B)

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## DECEMBER 10, 2012

15.616 Clean Vessel Act (B)

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## DECEMBER 15, 2012

93.273 Alcohol Research Programs (B)

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## DECEMBER 31, 2012

10.053 Dairy Indemnity Program (D)

10.141 Dairy Product Price Support Program (D)

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## JANUARY 09, 2013

45.164 Promotion of the Humanities\_Public Programs (B)

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## JANUARY 15, 2013

15.926 American Battlefield Protection (B)

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

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## JANUARY 31, 2013

20.807 U.S. Merchant Marine Academy (M)

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## FEBRUARY 01, 2013

93.273 Alcohol Research Programs (B)

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## FEBRUARY 15, 2013

20.215 Highway Training and Education (B,M)

20.602 Occupant Protection Incentive Grants (B)

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## FEBRUARY 22, 2013

45.130 Promotion of the Humanities\_Challenge Grants (B)

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## MARCH 01, 2013

20.807 U.S. Merchant Marine Academy (M)

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## MARCH 04, 2013

45.163 Promotion of the Humanities\_Professional Development (B)

45.163 Promotion of the Humanities\_Professional Development (B)

45.163 Promotion of the Humanities\_Professional Development (B)

45.163 Promotion of the Humanities\_Professional Development (B)

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## MARCH 15, 2013

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

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## MARCH 30, 2013

84.048 Career and Technical Education -- Basic Grants to States (A)

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## APRIL 15, 2013

93.273 Alcohol Research Programs (B)

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## APRIL 16, 2013

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

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## MAY 01, 2013

45.130 Promotion of the Humanities\_Challenge Grants (B)

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

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

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

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## MAY 10, 2013

84.027 Special Education\_Grants to States (A)

84.173 Special Education\_Preschool Grants (A)

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## MAY 16, 2013

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

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## JUNE 01, 2013

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

93.273 Alcohol Research Programs (B)

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## JUNE 12, 2013

45.164 Promotion of the Humanities\_Public Programs (B)

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## JUNE 27, 2013

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

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## JUNE 30, 2013

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

93.645 Stephanie Tubbs Jones Child Welfare Services Program (A)

93.674 Chafee Foster Care Independence Program (A)

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## JULY 18, 2013

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

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## JULY 19, 2013

93.563 Child Support Enforcement (A)

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## AUGUST 05, 2013

93.172 Human Genome Research (B)

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## AUGUST 15, 2013

14.218 Community Development Block Grants/Entitlement Grants (A)

93.273 Alcohol Research Programs (B)

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

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## AUGUST 17, 2013

45.161 Promotion of the Humanities\_Research (B)

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## OCTOBER 01, 2013

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

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## AUGUST 16, 2014

14.239 Home Investment Partnerships Program (A)

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## JUNE 30, 2015

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

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## AUGUST 24, 2016

93.621 Affordable Care Act Initiative to Reduce Avoidable Hospitalizations among Nursing Facility Residents (B)

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## DECEMBER 31, 2019

20.108 Aviation Research Grants (B,I)



# FUNCTIONAL INDEX

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

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

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## AGRICULTURAL

### Resource Conservation and Development

- 10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)
- 10.028 Wildlife Services (B)
- 10.054 Emergency Conservation Program (C)
- 10.069 Conservation Reserve Program (C)
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98.006 Foreign Assistance to American Schools and Hospitals Abroad (ASHA) (B)



# ARCHIVED PROGRAMS

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

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## **DEPARTMENT OF AGRICULTURE**

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### **10.086 Aquaculture Grants Program (AGP)**

Archived on 04/05/12

### **10.103 2009 Aquaculture Grant Program**

Archived on 04/05/12

### **10.104 Poultry Loss Contract Grant Assistance Program**

Archived on 04/05/12

### **10.411 Rural Housing Site Loans and Self\_Help Housing Land Development Loans**

Archived on 05/30/12

### **10.444 Direct Housing\_Natural Disaster Loans and Grants**

Archived on 08/03/12

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

Archived on 08/03/12

### **10.780 Community Facilities Loans and Grants**

Archived on 05/30/12

### **10.783 Rural Business Enterprise Grants - ARRA**

Archived on 08/08/12

### **10.787 Broadband Initiatives Program**

Archived on 08/06/12

### **10.788 Very Low to Moderate Income Housing Loans - Direct**

Archived on 05/30/12

### **10.789 Very Low to Moderate Income Housing Loans - Guaranteed**

Archived on 05/30/12

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

Archived on 09/11/12

## **DEPARTMENT OF COMMERCE**

---

### **11.443 Short Term Climate Fluctuations**

Archived on 07/18/12

### **11.444 Hawaii Sustainable Fisheries Development (Aquaculture Program)**

Archived on 08/09/12

### **11.445 Hawaii Stock Management Program**

Archived on 08/09/12

### **11.449 Independent Education and Science Projects and Programs**

Archived on 07/18/12

### **11.450 Automated Flood Warning Systems (AFWS)**

Archived on 07/18/12

### **11.455 Cooperative Science and Education Program**

Archived on 07/18/12

### **11.477 Fisheries Disaster Relief**

Archived on 08/09/12

### **11.553 Special Projects**

Archived on 07/18/12

### **11.800 Minority Business Enterprise Centers**

Archived on 05/04/12

### **11.803 Minority Business Opportunity Center (MBOC)**

Archived on 05/04/12

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

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### **14.246 Community Development Block Grants/Brownfields Economic Development Initiative**

Archived on 07/30/12

### **14.251 Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants**

Archived on 07/30/12

### **14.263 Rural Innovation Fund**

Archived on 07/16/12

### **14.315 Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy**

Archived on 06/18/12

### **14.884 Public Housing Capital Fund Competitive (Recovery Act Funded)**

Archived on 07/12/12

### **14.886 Indian Community Development Block Grant Program (Recovery Act Funded)**

Archived on 07/12/12

## **DEPARTMENT OF THE INTERIOR**

---

### **15.523 Perkins County Rural Water System**

Archived on 03/22/12

### **15.536 Deschutes River Conservancy (DRC)**

Archived on 03/13/12

## **DEPARTMENT OF JUSTICE**

---

### **16.014 Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking**

Archived on 08/09/12

### **16.018 Services to Advocate for and Respond to Youth**

Archived on 08/09/12

### **16.020 Children and Youth Exposed**

Archived on 08/09/12

### **16.110 Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act**

Archived on 08/09/12

### **16.526 OVW Technical Assistance Initiative**

Archived on 08/09/12

### **16.556 State Domestic Violence and Sexual Assault Coalitions**

Archived on 08/09/12

### **16.557 Tribal Domestic Violence and Sexual Assault Coalitions Grant Program**

Archived on 08/09/12

### **16.579 Edward Byrne Memorial Formula Grant Program**

Archived on 08/20/12

### **16.580 Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program**

Archived on 08/20/12

### **16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments**

Archived on 08/09/12

### **16.588 Violence Against Women Formula Grants**

Archived on 08/09/12

### **16.684 Supporting Teens through Education and Protection Act of 2005**

# ARCHIVED PROGRAMS

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## **(STEP Act)**

Archived on 08/09/12

## **16.748 Convicted Offender and/or Arrestee DNA Backlog Reduction Program**

Archived on 07/30/12

## **16.749 Radiation Exposure Compensation Program**

Archived on 08/09/12

## **16.805 Recovery Act Transitional Housing**

Archived on 08/09/12

## **16.806 Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments**

Archived on 08/09/12

## **DEPARTMENT OF LABOR**

---

### **17.151 Employee Benefits Security Administration (EBSA)**

Archived on 09/18/12

### **17.311 Federal Transit Employee Protection Certifications: Office of Labor-Management Standards**

Archived on 09/24/12

## **DEPARTMENT OF THE TREASURY**

---

### **21.013 Qualifying Therapeutic Discovery Project Credit**

Archived on 01/27/12

## **ENVIRONMENTAL PROTECTION AGENCY**

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### **66.041 Climate Showcase Communities Grant Program**

Archived on 08/13/12

### **66.709 Multi-Media Capacity Building Grants for States and Tribes**

Archived on 08/13/12

### **66.940 Environmental Policy and State Sustainability Grants**

Archived on 08/13/12

### **66.953 Building Capacity to Implement EPA National Guidelines for School Environmental Health Programs**

Archived on 08/13/12

## **DEPARTMENT OF EDUCATION**

---

### **84.019 Overseas Programs - Faculty Research Abroad**

Archived on 08/28/12

### **84.032 Federal Family Education Loans**

Archived on 08/24/12

### **84.037 Perkins Loan Cancellations**

Archived on 08/24/12

### **84.069 Leveraging Educational Assistance Partnership**

Archived on 08/30/12

### **84.083 Women's Educational Equity Program**

Archived on 08/23/12

### **84.185 Byrd Honors Scholarships**

Archived on 08/28/12

### **84.186 Safe and Drug-Free Schools and Communities\_State Grants**

Archived on 08/23/12

### **84.206 Javits Gifted and Talented Students Education**

Archived on 08/30/12

### **84.213 Even Start\_State Educational Agencies**

Archived on 08/24/12

### **84.214 Even Start\_Migrant Education**

Archived on 08/24/12

### **84.234 Projects with Industry**

Archived on 08/30/12

### **84.243 Tech-Prep Education**

Archived on 08/23/12

### **84.258 Even Start\_Indian Tribes and Tribal Organizations**

Archived on 08/24/12

### **84.263 Rehabilitation Training\_Experimental and Innovative Training**

Archived on 08/24/12

### **84.286 Ready to Teach**

Archived on 08/28/12

### **84.304 Civic Education - We the People and the Cooperative Education Exchange Program**

Archived on 08/30/12

### **84.310 Parental Information and Resource Centers**

Archived on 08/24/12

### **84.318 Educational Technology State Grants**

Archived on 08/24/12

### **84.332 Comprehensive School Reform Demonstration**

Archived on 08/23/12

### **84.333 Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities**

Archived on 08/28/12

### **84.337 International Education\_Technological Innovation and Cooperation for Foreign Information Access**

Archived on 09/07/12

### **84.345 Underground Railroad Educational and Cultural Program**

Archived on 08/28/12

### **84.359 Early Reading First**

Archived on 08/24/12

### **84.364 Improving Literacy Through School Libraries**

Archived on 08/28/12

### **84.375 Academic Competitiveness Grants**

Archived on 08/24/12

### **84.376 National Science and Mathematics Access to Retain Talent (SMART) Grants**

Archived on 08/24/12

### **84.381 Baccalaureate Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages and Master's Degrees in Science, Technology, Engineering, Mathematics, and Critical Foreign Languages**

Archived on 08/30/12

### **84.383 Homeless Education Disaster Assistance Program**

Archived on 08/30/12

### **84.409 Civil Legal Assistance Attorney Student Loan Repayment Program**

Archived on 08/23/12

### **84.410 Education Jobs Fund**

Archived on 08/24/12

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

---

### **93.017 Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul**

Archived on 09/05/12

### **93.019 Technical Assistance and Provision for Foreign Hospitals and Health Organizations**

# ARCHIVED PROGRAMS

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Archived on 09/05/12

**93.105 Bilingual/Bicultural Service Demonstration Grants**

Archived on 09/05/12

**93.111 Adolescent Family Life Research Grants**

Archived on 09/05/12

**93.189 Health Education Training Centers Continuing Educational Support for Health Professionals Serving in Underserved Communities**

Archived on 08/23/12

**93.202 Capacity Building Among American Indian Tribes**

Archived on 08/23/12

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

Archived on 08/23/12

**93.295 Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program**

Archived on 09/10/12

**93.418 ARRA - Emergency Medical Services for Children**

Archived on 08/21/12

**93.419 ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program**

Archived on 08/23/12

**93.705 Aging Home-Delivered Nutrition Services for States**

Archived on 08/08/12

**93.707 Aging Congregate Nutrition Services for States**

Archived on 08/08/12

**93.978 Preventive Health Services\_Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants**

Archived on 07/30/12

**CORPORATION FOR NATIONAL AND COMMUNITY SERVICE**

---

**94.004 Learn and Serve America\_School and Community Based Programs**

Archived on 07/10/12

**94.005 Learn and Serve America\_Higher Education**

Archived on 07/10/12

**94.018 Learn and Serve America Innovative Community-Based Service-Learning Programs**

Archived on 07/10/12

**DEPARTMENT OF HOMELAND SECURITY**

---

**97.013 State Access to the Oil Spill Liability Trust Fund**

Archived on 06/18/12

**97.019 National Fire Academy Fellowship**

Archived on 09/04/12

**97.058 Operation Safe Commerce (OSC) Cooperative Agreement Program**

Archived on 09/04/12

**97.071 Metropolitan Medical Response System**

Archived on 09/04/12

**97.072 National Explosives Detection Canine Team Program**

Archived on 06/11/12

**97.073 State Homeland Security Program (SHSP)**

Archived on 09/04/12

**97.084 Hurricane Katrina Case Management Initiative Program**

Archived on 09/13/12

**97.086 Homeland Security Outreach, Education, and Technical Assistance**

Archived on 06/18/12

**97.090 Law Enforcement Officer Reimbursement Agreement Program**

Archived on 06/11/12

**97.093 Fire Service Hazardous Materials Preparedness and Response**

Archived on 09/04/12

**97.094 Prevention Advocacy Resources and Data Exchange Program**

Archived on 09/04/12

**97.095 Safe Kids Worldwide**

Archived on 09/04/12

**97.097 Training Resource and Data Exchange**

Archived on 09/04/12

**97.098 Disaster Donations Management Program**

Archived on 08/31/12

**97.099 Residential Fire Safety & Fire Sprinkler Initiatives**

Archived on 09/04/12

**97.105 Firefighter Health and Safety**

Archived on 09/04/12

**97.112 Border Infrastructure Improvement Projects**

Archived on 06/14/12

**97.117 TSA Airport Checked Baggage Inspection System Program (ARRA)**

Archived on 06/11/12

**97.118 Advanced Surveillance Program (ASP)**

Archived on 06/11/12

**97.119 2010 Olympics First Responder Training**

Archived on 09/04/12

**97.125 Virginia Operational Integration Cyber Center of Excellence**

Archived on 07/11/12



# ADDED PROGRAMS

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

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## DEPARTMENT OF AGRICULTURE

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### 10.030 Indemnity Program

Added on 03/16/12

### 10.102 Emergency Forest Restoration Program

Added on 05/03/12

### 10.141 Dairy Product Price Support Program

Added on 07/20/12

### 10.326 Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA)

Added on 01/15/12

### 10.327 Common Bean Productivity Research for Global Food Security Competitive Program

Added on 04/05/12

### 10.460 Risk Management Education and Outreach Partnerships Program

Added on 06/20/12

### 10.575 Farm to School Grant Program

Added on 04/01/12

### 10.577 SNAP Partnership Grant

Added on 11/12/11

### 10.584 SNAP Research Grants

Added on 08/01/12

### 10.587 National Food Service Management Institute Administration and Staffing Grant

Added on 08/01/12

### 10.589 Child Nutrition Direct Certification Performance Awards

Added on 07/18/12

### 10.602 CCC's Dairy Export Incentive Program

Added on 08/01/12

### 10.612 USDA Local and Regional Food Aid Procurement Pilot Project

Added on 08/02/12

## DEPARTMENT OF COMMERCE

---

### 11.549 State and Local Implementation Grant Program

Added on 07/26/12

### 11.804 MBDA Business Center - American Indian and Alaska Native

Added on 04/24/12

## DEPARTMENT OF DEFENSE

---

### 12.130 Estuary Habitat Restoration Program

Added on 10/03/12

### 12.340 Naval Medical Research and Development

Added on 12/14/11

### 12.579 Language Training Center

Added on 05/04/12

### 12.598 Centers for Academic Excellence

Added on 09/23/12

### 12.801 Air Force Academy Athletic Programs

Added on 05/12/12

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

---

### 14.326 Project Rental Assistance Demonstration (PRA Demo) Program of Section 811 Supportive Housing for Persons with Disabilities

Added on 11/13/11

### 14.327 Performance Based Contract Administrator Program

Added on 12/10/11

### 14.008 Transformation Initiative: Choice Neighborhoods Demonstration Small Research Grant Program

Added on 02/03/12

### 14.265 Rural Capacity Building for Community Development and Affordable Housing Grants

Added on 04/11/12

### 14.266 Border Community Capital Initiative

Added on 09/20/12

### 14.267 Continuum of Care Program

Added on 08/08/12

### 14.268 Rural Housing Stability Assistance Program

Added on 09/22/12

### 14.534 Strong Cities Strong Communities (SC2) National Resource Network

Added on 08/09/12

### 14.893 Office of Native American Programs Training and Technical Assistance for Indian Housing Block Grant Program

Added on 07/25/12

### 14.894 Office of Native American Programs Training and Technical Assistance for Native Hawaiian Housing Block Grant Program

Added on 07/25/12

## DEPARTMENT OF THE INTERIOR

---

### 15.441 Safety and Environmental Enforcement Research and Data Collection for Offshore Energy and Mineral Activities

Added on 08/30/12

### 15.552 NAVAJO-GALLUP WATER SUPPLY PROJECT

Added on 03/17/12

### 15.553 Eastern New Mexico Rural Water System Project

Added on 03/21/12

### 15.554 Cooperative Watershed Management Program

Added on 03/22/12

### 15.555 San Joaquin River Restoration Program

Added on 03/22/12

### 15.556 Crow Tribe Water Rights Settlement

Added on 03/22/12

### 15.557 Desert and Southern Rockies Landscape Conservation Cooperatives

Added on 03/22/12

### 15.558 White Mountain Apache Tribe Rural Water System

Added on 03/23/12

### 15.559 New Mexico Rio Grande Basin Pueblos Irrigation Infrastructure Project

Added on 03/23/12

### 15.560 SECURE Water Act Research Agreements

Added on 03/23/12

### 15.561 Savage Rapids Pumping Plant Project

Added on 03/23/12

### 15.954 National Park Service Conservation, Protection, Outreach, and Education

Added on 06/08/12

# ADDED PROGRAMS

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## DEPARTMENT OF JUSTICE

---

**16.817 Byrne Criminal Justice Innovation Program**

Added on 04/08/12

**16.818 Children Exposed to Violence**

Added on 04/15/12

**16.819 National Forum on Youth Violence Prevention**

Added on 05/02/12

**16.820 Postconviction DNA Testing Program**

Added on 05/03/12

**16.821 Juvenile Justice Reform and Reinvestment Demonstration Program**

Added on 07/19/12

**16.888 Consolidated And Technical Assistance Grant Program to Address Children and Youth Experiencing Domestic and Sexual Violence and Engage Men and Boys as Allies**

Added on 07/22/12

**16.922 Equitable Sharing Program**

Added on 04/19/12

## U.S. DEPARTMENT OF STATE

---

**19.030 Antiterrorism Assistance Domestic Training Programs**

Added on 01/27/12

**19.031 Research and Development - Physical Security Programs**

Added on 01/19/12

**19.032 Global Engagement**

Added on 01/20/12

**19.033 Global Threat Reduction**

Added on 07/25/12

**19.040 Public Diplomacy Programs**

Added on 12/09/11

**19.301 The Secretary's Office of the Global Partnership Initiative (S/GPI) Grant Programs**

Added on 09/26/12

**19.701 Global Counterterrorism Programs**

Added on 07/19/12

**19.703 CRIMINAL JUSTICE SYSTEMS**

Added on 11/16/11

**19.704 COUNTERNARCOTICS**

Added on 11/16/11

**19.705 TRANSNATIONAL CRIME**

Added on 11/16/11

**19.750 Bureau of Western Hemisphere Affairs (WHA) Grant Programs (including Energy and Climate Partnership for the Americas)**

Added on 11/17/11

**19.900 AEECA PD Programs**

Added on 01/18/12

## DEPARTMENT OF TRANSPORTATION

---

**20.524 Passenger Rail Investment and Improvement (PRIIA) Projects for Washington Metropolitan Area Transit Authority (WMATA)**

Added on 06/11/12

**20.616 National Priority Safety Programs**

Added on 09/15/12

**20.817 Air Emissions and Energy Initiative**

Added on 04/11/12

## DEPARTMENT OF THE TREASURY

---

**21.014 Community Development Financial Institutions Bond Guarantee Program**

Added on 07/21/12

## SMALL BUSINESS ADMINISTRATION

---

**59.062 Intermediary Loan Program**

Added on 11/13/11

## DEPARTMENT OF VETERANS AFFAIRS

---

**64.035 Veterans Transportation Program**

Added on 04/15/12

**64.036 Veterans Retraining Assistance Program (VRAP)**

Added on 04/15/12

## ENVIRONMENTAL PROTECTION AGENCY

---

**66.128 Southeastern Multi-Media and Geographic Priority Projects**

Added on 01/27/12

## DEPARTMENT OF ENERGY

---

**81.137 Minority Economic Impact**

Added on 06/14/12

**81.138 State Heating Oil and Propane Program**

Added on 06/21/12

## DEPARTMENT OF EDUCATION

---

**84.413 Race to the Top**

Added on 01/14/12

**84.414 Graduate Research Opportunities for Minority Students (Minorities and Retirement Security Program)**

Added on 04/26/12

**84.415 State Tribal Education Partnership (STEP)**

Added on 04/26/12

**84.416 Race to the Top - District Grants**

Added on 07/15/12

**84.417 Directed Grants and Awards**

Added on 08/31/12

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

---

**93.058 Tobacco Regulation Awareness, Communication, and Education Program**

Added on 03/14/12

**93.059 Training in General, Pediatric, and Public Health Dentistry**

Added on 12/15/11

**93.060 Competitive Abstinence Education (CAE)**

Added on 04/20/12

**93.075 Systems Interoperability\_Health and Human Services**

Added on 06/08/12

**93.076 TANF Program Integrity Innovation Grants**

Added on 06/08/12

**93.077 Family Smoking Prevention and Tobacco Control Act Regulatory Research**

Added on 06/16/12

**93.078 Strengthening Emergency Care Delivery in the United States Healthcare System through Health Information and Promotion**

Added on 06/24/12

**93.313 NIH Office of Research on Women's Health**

Added on 09/20/12

# ADDED PROGRAMS

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**93.350 National Center for Advancing Translational Sciences**

Added on 01/22/12

**93.351 Research Infrastructure Programs**

Added on 01/28/12

**93.352 Construction Support**

Added on 01/28/12

**93.609 The Affordable Care Act Medicaid Adult Quality Grants**

Added on 07/05/12

**93.610 Health Care Innovation Awards (HCIA)**

Added on 11/14/11

**93.611 Strong Start for Mothers and Newborns**

Added on 02/07/12

**93.615 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Research Programs**

Added on 01/04/12

**93.621 Affordable Care Act Initiative to Reduce Avoidable Hospitalizations among Nursing Facility Residents**

Added on 03/14/12

**93.622 Affordable Care Act: Coordinating Center for Interprofessional Education and Collaborative Practice**

Added on 05/26/12

**93.624 ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance**

Added on 07/18/12

**93.626 Affordable Care Act State Health Insurance Assistance Program (SHIP) and Aging and Disability Resource Center (ADRC) Options Counseling for Medicare-Medicaid Individuals in States with Approved Financial Alignment Models**

Added on 08/22/12

**93.627 Affordable Care Act: Testing Experience and Functional Assessment Tools**

Added on 08/22/12

**93.700 IMR and NCCIM Programs**

Added on 04/13/12

**93.732 PPHF-2012 Mental and Behavioral Health Education and Training Grants**

Added on 04/13/12

**93.733 Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by the Prevention and Public Health Fund (PPHF-2012)**

Added on 04/28/12

**93.734 Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs financed by 2012 Prevention and Public Health Funds (PPHF-2012)**

Added on 05/09/12

**93.735 State Public Health Approaches for Ensuring Quitline Capacity Funded in part by 2012 Prevention and Public Health Funds (PPHF-2012)**

Added on 04/23/12

**93.736 Prevention Public Health Fund 2012: Viral Hepatitis Prevention**

Added on 05/13/12

**93.737 PPHF 2012: Community Transformation Grants -Small Communities Program financed solely by 2012 Public Prevention and Health Funds**

Added on 05/18/12

**93.738 PPHF 2012: Racial and Ethnic Approaches to Community Health**

Program financed solely by 2012 Public Prevention and Health Funds

Added on 05/18/12

**93.739 PPHF2012: Chronic disease Innovation Grants - financed solely by 2012 Public Prevention Health Funds**

Added on 05/18/12

**93.740 Prevention Public Health Fund 2012: Viral Hepatitis Education**

Added on 05/15/12

**93.741 Breastfeeding Promotion and Support Improving Maternity Care Practices project financed solely by 2012 Public Prevention and Health Funds**

Added on 05/20/12

**93.742 PPHF 2012: Early Childcare and Education Obesity Prevention Program - Obesity Prevention in Young Children - financed solely by 2012 Public Prevention and Health Funds**

Added on 06/09/12

**93.743 Racial and Ethnic Approaches to Community Health: Obesity and Hypertension Demonstration Projects financed solely by 2012 Prevention and Public Health Funds**

Added on 06/09/12

**93.744 PPHF 2012: Breast and Cervical Cancer Screening Opportunities for States, Tribes and Territories solely financed by 2012 Prevention and Public Health Funds**

Added on 06/15/12

**93.745 PPHF-2012: Health Care Surveillance/Health Statistics Surveillance Program Announcement: Behavioral Risk Factor Surveillance System Financed in Part by 2012 Prevention and Public Health Funds (PPHF-2012)**

Added on 06/29/12

**93.747 Elder Abuse Prevention Interventions Program**

Added on 06/13/12

**93.748 PPHF-2012 Cooperative Agreements for Prescription Drug Monitoring Program Electronic Health Record (EHR) Integration and Interoperability Expansion**

Added on 06/28/12

**93.749 PPHF 2012 Public Health Laboratory Infrastructure financed solely by 2012 Prevention and Public Health Fund**

Added on 08/08/12

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**EXECUTIVE OFFICE OF THE PRESIDENT**

**95.004 Anti-Doping Activities**

Added on 02/25/12

**95.005 Drug Court Training and Technical Assistance**

Added on 08/31/12

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**DEPARTMENT OF HOMELAND SECURITY**

**97.130 National Nuclear Forensics Expertise Development Program**

Added on 01/10/12

**97.131 Emergency Management Baseline Assessments Grant (EMBAG)**

Added on 09/18/12





# CROSSWALK OF CHANGES TO PROGRAM NUMBERS AND TITLES

This index highlights those CFDA programs that had a program title or number change within the fiscal year. The historical crosswalk in Appendix VII reflects the full program change history.

## Title Changes

### **DEPARTMENT OF AGRICULTURE**

10.250 Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations

10.586 Special Supplemental Nutrition Program for Women, Infants and Children; Nutrition Education Innovations

### **DEPARTMENT OF DEFENSE**

12.610 Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies

12.611 Community Economic Adjustment Assistance for Reductions in Defense Industry Employment

12.614 Community Economic Adjustment Assistance for Advance Planning and Economic Diversification

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

14.231 Emergency Solutions Grant Program

### **DEPARTMENT OF THE INTERIOR**

15.255 Science and Technology Projects Related to Coal Mining and Reclamation

### **DEPARTMENT OF JUSTICE**

16.203 Promoting Evidence Integration in Sex Offender Management Discretionary Grant Program

16.741 DNA Backlog Reduction Program

### **DEPARTMENT OF LABOR**

17.201 Registered Apprenticeship

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

19.124 East Asia and Pacific Grants Program

### **DEPARTMENT OF TRANSPORTATION**

20.700 Pipeline Safety Program State Base Grant

### **DEPARTMENT OF EDUCATION**

84.365 English Language Acquisition State Grants

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

93.055 PPHF 2012-Applied Leadership for Community Health Improvement

93.087 Enhance Safety of Children Affected by Substance Abuse

93.117 Preventive Medicine and Public Health Residency Training Program, Integrative Medicine Program, and National Coordinating Center for Integrative Medicine

93.191 Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program

93.249 Public Health Training Centers Program

93.266 Health Systems Strengthening and HIV/AIDS Prevention, Care and Treatment under the President's Emergency Plan for AIDS Relief

93.268 Immunization Cooperative Agreements

93.283 The Affordable Care Act: Centers for Disease Control and Prevention Investigations and Technical Assistance

93.358 Advanced Education Nursing Traineeships

93.359 Nurse Education, Practice Quality and Retention Grants

93.503 Affordable Care Act (ACA) Nursing Assistant and Home Health Aide Program

93.507 PPHF 2012 National Public Health Improvement Initiative

93.516 Affordable Care Act (ACA) Public Health Training Centers Program, Resources Development and Academic Support to the Public Health Training Centers Program and Public Health Infrastructure and Systems Support

93.521 The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements; PPHF

93.531 PPHF 2012: Community Transformation Grants and National Dissemination and Support for Community Transformation Grants - financed solely by 2012 Prevention and Public Health Funds

93.539 PPHF 2012 - Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by 2012 Prevention and Public Health Funds

93.540 Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability; and Prevention and Public Health Fund

93.542 Health Promotion and Disease Prevention Research Centers: PPHF 2012 - Affordable Care Act Projects

93.548 PPHF 2012: Nutrition, Physical Activity and Obesity Program - financed in part by 2012 Prevention and Public Health Funds (PPHF-2012)

93.884 Grants for Primary Care Training and Enhancement

93.924 Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants

93.942 Research, Prevention, and Education Programs on Lyme Disease in the United States

93.964 Prevention and Public Health Fund (PPHF) Public Health Traineeships

93.969 PPHF-2012 Geriatric Education Centers

### **DEPARTMENT OF HOMELAND SECURITY**

97.053 Citizens-Community Resilience Innovation Challenge

## Number Changes

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

14.892 Choice Neighborhoods Planning Grants (Number changed from 14.005)



# PROGRAM DESCRIPTIONS

The following section provides the complete program text for each CFDA program as submitted by the administering agency.

## DEPARTMENT OF AGRICULTURE

### 10.001 AGRICULTURAL RESEARCH\_BASIC AND APPLIED RESEARCH

(Extramural Research)

**FEDERAL AGENCY:**

Agricultural Research Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Public Law 99-198, 7 U.S.C 427-427i, 1624.

**OBJECTIVES:**

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

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

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

**Applicant Eligibility:**

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

**Beneficiary Eligibility:**

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

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Letters should be submitted to the Agricultural Research Service, Department of Agriculture. Give name of applicants, location of facilities, and State of incorporation, if any.

**Award Procedure:**

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

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: None.

**Reports:**

Progress reports, final technical reports, financial statements, and inventions and subaward reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

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

**Account Identification:**

12-1400-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$22,290,591; FY 12 est \$22,000,000; and FY 13 est \$22,000,000

**Range and Average of Financial Assistance:**

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

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015 and 7 CFR 3019.

**Regional or Local Office:**

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

**Headquarters Office:**

Kathleen S. Townson, 5601 Sunnyside Ave, MS-5110, Betsville, Maryland 20705 Email: kathleen.townson@ars.usda.gov Phone: (301) 504-1702.

**Website Address:**

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

**RELATED PROGRAMS:**

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

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Peer review.

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

### **FEDERAL AGENCY:**

Animal and Plant Health Inspection Service, Department of Agriculture

### **AUTHORIZATION:**

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

### **OBJECTIVES:**

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

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

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

### **Applicant Eligibility:**

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

### **Beneficiary Eligibility:**

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

### **Credentials/Documentation:**

Curriculum vitae for principal investigator, except for State, local, and Territorial government cooperators. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

A letter from applicants seeking support or cooperation with the Animal and Plant Health Inspection Service. Applicants must indicate the nature and severity of the problem to be considered and explain how they will address the problem. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Comply with E.O. 12372, "Intergovernmental Review of Federal Programs," and submit a completed Standard Form 424.1, "Department of Agriculture, Application for Federal Assistance (Non-construction)" and project proposal (work plan), financial plan, curriculum vitae, and other required certifications to the appropriate APHIS area, regional, or Headquarters Office. See Regional and Local Office Address Listing.

### **Award Procedure:**

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

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

From 60 to 120 days.

### **Appeals:**

None.

### **Renewals:**

Based on program needs and availability of annual funding.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Recipients share some project or program costs. The cost-sharing arrangements are developed between USDA and the recipients in advance of the program unless otherwise stated by Congress.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Up to 1 year from the date of award. Funds are made available as required to cover expenditures. See the following for information on how assistance is awarded/released: Funds are provided to recipients when requests for advance or reimbursement are received and approved by the Agency.

### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Requirements are specifically indicated in the award documents and may vary for given programs; however, quarterly financial reports, annual progress reports, final financial and final summary progress reports are generally required. SF-425, Federal Financial Report. Narrative performance progress reports.

### **Audits:**

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

### **Records:**

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

### **Account Identification:**

12-9971-0-7-352; 12-1600-0-1-352.

### **Obligations:**

(Salaries) FY 11 \$242,715,995; FY 12 est \$213,386,553; and FY 13 est \$189,121,545 - APHIS has a difference between budget authority and obligations because there is carryover funding available from no year funding.

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Selected examples of progress: Brucellosis class free status States - 50 States and 3 Territories; Tuberculosis -success rate of tracking positive signal animals back to their herd of origin 95%. Fiscal Year 2012: Selected examples of progress: Brucellosis class free status States- 50 states and 3 territories; Tuberculosis-success rate of tracking positive signal animals back to their herd of origin 96%. Fiscal Year 2013: Selected examples of progress: Brucellosis class free status States - 50 States and 3 Territories; Tuberculosis -success rate of tracking positive signal animals back to their herd of origin 96%.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Federal Assistance Regulations , 7 CFR 3015; "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 7 CFR 3016; "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations", 7 CFR 3019; Nonprocurement Debarment and Suspension 2 CFR 417; Governmentwide Requirements for Drug-Free Workplace", 7 CFR 3021; "New Restrictions on Lobbying", 7 CFR 3018; and Office of Management and Budget regulations governing "Controlling Paperwork Burdens on the Public", 5 CFR 1320.

**Regional or Local Office:**

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

**Headquarters Office:**

Eileen M. Berke, 4700 River Road, Unit 55, Suite 3B06, Riverdale, Maryland 20737 Email: eileen.m.berke@aphis.usda.gov Phone: (301) 734-8330.

**Website Address:**

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

**RELATED PROGRAMS:**

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

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

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

Animal and Plant Health Inspection Service, Department of Agriculture

**AUTHORIZATION:**

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

**OBJECTIVES:**

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

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

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

**Applicant Eligibility:**

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

**Beneficiary Eligibility:**

States, local jurisdictions, U.S. Territorial government agencies, federally recognized Indian tribal governments, public and private institutions and organizations, farmers, ranchers, agricultural producers, and land/property owners benefit from Federal assistance in the control of nuisance mammals and birds and those mammal and bird species that are reservoirs for zoonotic diseases, except for urban rodent control. [COMMENT: PLEASE EXPLAIN WHAT IS MEANT BY "EXCEPT FOR RODENT CONTROL."].

**Credentials/Documentation:**

Curriculum vitae for principal investigator, except for State, local, and Territorial government cooperators. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

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

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Based on program needs and availability of annual funding.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to one year from the date of award. See the following for information on how assistance is awarded/released: Funds are provided to recipients when requests for advance or reimbursement are received and approved by the Agency.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

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

**Account Identification:**

12-1600-0-1-352.

**Obligations:**

(Salaries) FY 11 \$4,066,538; FY 12 est \$4,127,536; and FY 13 est \$4,150,034 - APHIS has a difference between budget authority and obligations because there is carryover funding available from no year funding.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Uniform Federal Assistance Regulations , 7 CFR 3015; "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 7 CFR 3016; and/or "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations", 7 CFR 3019; Nonprocurement Debarment and Suspension 2 CFR 417; Governmentwide Requirements for Drug-Free Workplace", 7 CFR 3021; "New Restrictions on

Lobbying", 7 CFR 3018; and Office of Management and Budget regulations governing "Controlling Paperwork Burdens on the Public", 5 CFR 1320.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Eileen M. Berke, 4700 River Road, Unit 55, Suite 3B06, Riverdale, Maryland 20737 Email: eileen.m.berke@aphis.usda.gov Phone: (301) 734-8330.

**Website Address:**

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

**RELATED PROGRAMS:**

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

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

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

**10.030 INDEMNITY PROGRAM**

**FEDERAL AGENCY:**

Animal and Plant Health Inspection Service, Department of Agriculture

**AUTHORIZATION:**

Plant Protection Act, Title IV, Section 415(e); 9 CFR parts 50-54.

**OBJECTIVES:**

Animal and Plant Health Inspection Service administers regulations at 9 CFR parts 50 to 54 that authorizes payment for indemnities. This authority covers a wide variety of indemnity situations ranging from large livestock depopulations to small fowl depopulations, and there are various indemnity calculations and processes for determining the indemnity value for each specific species. The Secretary of Agriculture offers an opinion that constitutes an emergency and threatens the U.S. animal population. Payment for the destroyed animals is based on fair market value. Also, under Section 415 (e) of the Plant Protection Act (Title IV of Public Law 106-224), under a declaration of extraordinary emergency because of the presence of a plant pest or noxious weed that is new to or not known to be widely prevalent in the United States, the Secretary may pay compensation for economic losses incurred by as a result of actions taken under the authorities in this section (415).

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

N/A.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Required documentation will be specified in the Declaration of Emergency issued by the Secretary of Agriculture. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. N/A

**Award Procedure:**

Required documentation will be specified in the Declaration of Emergency issued by the Secretary of Agriculture.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Time period of availability will be specified in the Declaration of Emergency issued by the Secretary of Agriculture. See the following for information on how assistance is awarded/released: Electronic Funds Transfer or paper check.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Record requirements will be specified in the Declaration of Emergency issued by the Secretary of Agriculture.

**Account Identification:**

12-1600-0-1-352.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$2,456,000; FY 12 est \$484,000; and FY 13 est \$234,000 - N/A.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Susan Murphy 4700 River Road  
Suite 3D04.15, Riverdale, Maryland 20737 Email:  
Susan.A.Murphy@aphis.usda.gov Phone: 301-851-2859

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.051 COMMODITY LOANS AND LOAN DEFICIENCY PAYMENTS**

(Price Supports)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Public Law 110-246.

**OBJECTIVES:**

To improve and stabilize farm income, to assist in bringing about a better balance between supply and demand of the commodities, and to assist farmers in the orderly marketing of their crops.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Loans and loan deficiency payments (LDP's) give farmers a means of promoting more orderly marketing. Loans to producers may be "nonrecourse" which means that producers have the option of forfeiting the collateral to CCC at loan maturity in full satisfaction of the loan obligation; or "recourse" for low quality grain, or non-ginned seed cotton, which means that producers must repay the loans by maturity." If market prices are above the support level producers may repay their loans at the original loan principal plus interest and market their commodities. When market prices are low, most nonrecourse commodity loan repayments are less than the original loan principal plus interest. Eligible commodities for loans are wheat, corn, grain sorghum, oats, barley, rice, peanuts, upland cotton, extra-long staple cotton, soybeans, crambe, canola, flaxseed, mustard seed, rapeseed, safflower, sunflower seed, sesame seed, dry peas, lentils, small and large chickpeas, graded and ungraded wool, mohair, honey, and sugar. LDP's are offered for wheat, corn, grain sorghum, oats, barley, upland cotton, rice, soybeans, crambe, canola, flaxseed, mustard seed, rapeseed, safflower, sunflower seed, sesame seed, peanuts, dry peas, lentils, small and large chickpeas, graded and ungraded wool, unshorn pelts, mohair, honey, hay, and silage. If the loan repayment rates for these commodities are less than the established loan levels, producers may, for most commodities that are eligible for a nonrecourse loan, agree to forego such loan and elect to receive an LDP. The LDP payment rate equals the amount by which the loan rate exceeds the loan repayment rate in effect at the time the LDP application is approved, or the delivery date, or date sold or date beneficial interest is lost, as applicable.

**Applicant Eligibility:**

Owner, landlord, tenant, or sharecropper on an eligible farm that has produced the eligible commodities or, in the case of sugar, a processor or refiner who meets program requirements as announced by the Secretary.

**Beneficiary Eligibility:**

Owner, landlord, tenant, or sharecropper on a farm that has produced the eligible commodities, meets program requirements as announced by the Secretary, and maintains beneficial interest in the commodity.

**Credentials/Documentation:**

Record of farming operation must be on file in the FSA county office and a complete acreage report to account for all cropland on the farm must be submitted for the applicable crop year. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In the case of warehouse-stored commodities, producer or Cooperative Marketing Association presents warehouse receipts to the FSA county office (warehouse-stored peanut loans may be made through Designated Marketing Associations). In the case of farm-stored commodities (including sugar), producer/processor or Cooperative Marketing Association requests a loan at the FSA county office.

**Award Procedure:**

Applications are approved by the FSA upon determination that applicant and commodity are eligible.

**Deadlines:**

Sep 30, 2009 Loans and LDP's are available for peanuts, graded and ungraded wool, mohair, and unshorn pelts (LDP ONLY) through January 31 of the year following the year in which the crop is normally harvested, shorn, or slaughtered. Loans and LDP's are available for wheat, barley, oats, canola, flaxseed, crambe, rapeseed, sesame seed, and honey through March 31 of the year following the year in which the crop is normally harvested. Loans and LDP's are available for rice, corn, grain sorghum, cotton, soybeans, safflower,

sunflower seed, mustard seed, small and large chickpeas, lentils, dry peas, and cotton through May 31 of the year following the year in which the crop is normally harvested. Loans are available for sugar through September 30.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Approximately 3 days.

**Appeals:**

From 60 to 90 days. Applications may be reviewed by county, State, or national offices.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is generally available for 9 months or less, and is normally disbursed on a lump-sum basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic and required spot checks of farm-stored grain will be made by the county FSA office. Recipients are subject to audit by Office of Inspector General, USDA.

**Records:**

Not applicable.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Loans) FY 11 \$7,103,319,000; FY 12 est \$7,331,689,000; and FY 13 est \$7,872,666,000. (Direct Payments with Unrestricted Use) FY 11 \$29,790,000; FY 12 est \$1,718,000; and FY 13 est \$4,601,000 - Loan Deficiency Payments.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations published in the Federal Register 7 CFR, Chapter XIV, Parts 1421, 1425, 1427, 1434, and 1435; announcements issued to news media and letters to producers; " FSA Commodity Fact Sheets, " no cost: The Price Support Program," ; Farm Service Agency, Department of Agriculture, STOP 0506, 1400 Independence Avenue S.W., Washington, DC 20250-0506.

**Regional or Local Office:**

None. Consult the local telephone directory for location of the FSA county office. If no listing, get in touch with appropriate FSA State office listed under the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

DeAnn Allen 1400 Independence Avenue, SW, Stop 0512, Washington, District of Columbia 20250-0512 Email: deann.allen@wdc.usda.gov Phone: (202) 720-9889 Fax: (202) 690-3307

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.053 DAIRY INDEMNITY PROGRAM****FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Act of August 13, 1968, 82 Stat. 750, 7 U.S.C 450j-450l, as amended by Food Conservation and Energy Act of 2008, 82 Stat. 750, 7 USC U.S.C 450J-450L.

**OBJECTIVES:**

To protect dairy farmers and manufacturers of dairy products who through no fault of their own, are directed to remove their milk or dairy products from commercial markets because of contamination from pesticides which have been approved for use by the Federal government. Dairy farmers can also be indemnified because of contamination with chemicals or toxic substances, nuclear radiation or fallout.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Fair market value for the milk is paid to the dairy farmer who is unable to market because of any of the violating substances, and the fair market value of the dairy product is paid to the manufacturer who is unable to market because of pesticide residue. No payment may be made to any dairy farmer or any manufacturer whose milk or dairy product was removed from the market as a result of his negligence or his willful failure to follow procedures prescribed by the Federal government.

**Applicant Eligibility:**

Dairy farmers whose milk has been removed from the market by a public agency because of residue of any violating substance in such milk. Manufacturers of dairy products whose product has been removed from the market by a public agency because of pesticide residue in such product. This program is also available in Puerto Rico.

**Beneficiary Eligibility:**

Dairy farmers whose milk has been removed from the market by a public agency because of residue of any violating substance in such milk. Manufacturers of dairy products whose product has been removed from the market by a public agency because of pesticide residue in such product. This program is available in Puerto Rico.

**Credentials/Documentation:**

In the case of a dairy farmer, the notice removing the milk from the market along with a record of past marketing records for milk to determine the quantity and value of the milk not marketed, the violating substance involved and the uses of such violating substances during the previous 24 months. In the case of the manufacturer of dairy products, the notice removing the product from the market and sufficient data to determine the value of the product. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Producers must file an application for payment on Form FSA-373 with the local county FSA office. Manufacturers must file information on the cause and amount of their loss with the local county FSA office.

**Award Procedure:**

Initial approval is made by the county FSA committee. Final approval is made by the Price Support Division in Washington, DC.

**Deadlines:**

May 13, 2008 to Dec 31, 2012 Claims must be filed by December 31 following the fiscal year in which the loss is incurred.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Applicants may appeal to the county Farm Service Agency Committee and to the FSA, Department of Agriculture, Appeals and Litigation Group, 1400 Independence Avenue, SW., Washington, DC 20250-0570.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payment is made by Commodity Credit Corporation (CCC) check after claim approval. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

The dairy farmer and the manufacturer of dairy products must keep any records in applying for a payment for 3 years following the year in which an application for payment was filed.

**Account Identification:**

12-3314-0-1-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$383,637; FY 12 est \$273,000; and FY 13 est \$300,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations were published in the Federal Register, 7 CFR, 760, and announced through the news media, Handbook 3-LD, Circulars and regulations issued by FSA.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the county FSA office. If no listing, contact the appropriate State FSA office listed under the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

Danielle Cooke 1400 Independence Avenue, SW, Washington, District of Columbia 20250-0512 Email: danielle.cooke@wdc.usda.gov Phone: (202) 720-1919

**Website Address:**

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

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.054 EMERGENCY CONSERVATION PROGRAM**

(ECP)

**FEDERAL AGENCY:**



Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Agricultural Credit Act of 1978, Public Law 95-334, 92 Stat. 420, 16 U.S.C 2201-2205.

**OBJECTIVES:**

To enable farmers to perform emergency conservation measures to control wind erosion on farmlands, to rehabilitate farmlands damaged by wind erosion, floods, hurricanes, or other natural disasters and to carry out emergency water conservation or water enhancing measures during periods of severe drought.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Following a natural disaster, the county FSA committee determines, with concurrence from the State FSA committee, to make the program available in the county. Emergency cost-sharing is limited to new conservation problems created by natural disasters which, if not treated will impair or endanger the land, materially affect the productive capacity of the land, represent damage that is unusual in character and, except for wind erosion, is not the type that would recur frequently in the same area and will be so costly to rehabilitate that Federal assistance is or will be required to return the land to productive agricultural use. Eligible drought situations for water enhancing measures must be determined by the Deputy Administrator for Farm Programs, FSA.

**Applicant Eligibility:**

Any agricultural producer who as owner, landlord, tenant, or sharecropper on a farm or ranch, including associated groups, and bears a part of the cost of an approved conservation practice in a disaster area, is eligible to apply for cost-share conservation assistance. This program is also available in American Samoa, Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, and the Virgin Islands.

**Beneficiary Eligibility:**

Any agricultural producer who as owner, landlord, tenant, or sharecropper on a farm or ranch, including associated groups, and bears a part of the cost of an approved conservation practice in a disaster area, is eligible to apply for cost-share conservation assistance. This program is also available in American Samoa, Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, and the Virgin Islands.

**Credentials/Documentation:**

Identification as an eligible person and proof of contribution to the cost of performing the conservation practice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible persons may submit an application on Form AD-245, for cost-sharing, at the county FSA office for the county in which the affected land is located. .

**Award Procedure:**

The county FSA committee reviews, prioritizes, and may approve applications in whole or in part. Approvals cannot exceed the county allocation of Federal funds for that purpose.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. From 2 to 3 weeks.

**Appeals:**

Participants may appeal to county FSA committee, State FSA committee, or National Appeals Division (NAD) on any determination. Matters that are generally applicable to all producers are not appealable.

**Renewals:**

Certain approvals may be extended by the FSA county committee, when necessary, with proper justification.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Practice cost-share approvals are given on a fiscal year basis. The approvals specify the time that the practice must be carried out. Payment is by check or electronic funds transfer following completion of the measure. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Maintained in the county FSA office and Federal record centers for a specified number of years.

**Account Identification:**

12-3316-0-1-453.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$64,318,000; FY 12 est \$114,804,000; and FY 13 est \$113,700,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations published in the Federal Register at 7 CFR, Part 701. Program is announced through the news media in the county area designated as a disaster area.

**Regional or Local Office:**

See Regional Agency Offices. Farmers are advised to contact their local county FSA office after a natural disaster has occurred to determine whether the program is available in the county and to determine eligibility for emergency cost-share assistance. Consult the local telephone directory for location of the county FSA office. If no listing, get in touch with the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog.

**Headquarters Office:**

Martin Bomar 1400 Independence Ave. SW, Washington, District of Columbia 20250 Email: Martin.Bomar@wdc.usda.gov Phone: 202-205-4537 Fax: 202-720-4619

**Website Address:**

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

**RELATED PROGRAMS:**

10.102 Emergency Forest Restoration Program ; 10.404 Emergency Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.055 DIRECT AND COUNTER-CYCLICAL PAYMENTS PROGRAM (DCP)**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To provide income support to eligible producers of covered commodities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

With respect to Fiscal Year 2002 payments, CCC will offer to enter into a contract with eligible producers of covered commodities on October 1, 2002 through the date announced by CCC. With respect to Fiscal Years 2003 through 2007, CCC shall offer to annually enter into a contract with an eligible producer on a farm having base acreage with respect to a covered commodity at the beginning of each such fiscal year 2003 through 2007 through the date announced by CCC for each such year.

**Applicant Eligibility:**

To be eligible for payments under DCP, owners, operators, landlords, tenants, or sharecroppers must (1) share in the risk of producing a crop on base acres on a farm enrolled in DCP, and be entitled to share in the crop available for marketing from the base acres, or would have shared had a crop been produced; (2) annually report the use of the farm's cropland acreage; (3) comply with conservation and wetland protection requirements on all of their land; (4) comply with planting flexibility requirements; (5) use the base acres for agricultural or related activities; and (5) protect all base acres from erosion, including providing sufficient cover as determined necessary by the county FSA committee, and control weeds.

**Beneficiary Eligibility:**

DCP provides payments to eligible producers on farms enrolled for the 2002 through 2007 crop years.

**Credentials/Documentation:**

As a condition of eligibility for direct and counter-cyclical payments, the operator or owner must submit a report of all cropland acreage on the farm. Reports of production evidence for all covered commodities shall be provided to the county committee of the county where the farm is administratively located, by farm and crop in such manner as required by CCC on a CCC-approved standard, uniform form designated by CCC. When disposition of production has been through commercial channels, CCC may require the producer to furnish documentary evidence in order to verify the information provided on the report of production. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The CCC-509 must be submitted. The following documents are required and applicable determinations must be made before the county committee can approve a producer's share on the CCC-509 for payment: (1) a farm operating plan (CCC-502 and related forms); (2) an average adjusted gross income certification (CCC-526); (3) a certification of compliance with highly erodible land and wetland conservation provisions (AD-1026). A certification of the acreage of all cropland on the farm (FSA-578) is needed before final payments can be issued.

**Award Procedure:**

Producers may elect to receive their direct payments in two installments per year: (1) the first payment, available in December of the fiscal year, is up to 50 percent of the total payment; (2) the balance of the total direct payment is available in October of the fiscal year after the fiscal year the payment is earned. Producers who do not elect to take the first direct payment will receive the entire direct payment at this time. Producers may elect to receive up to three counter-cyclical payments per year: (1) first partial payments are available in October of the calendar year in which the crop is harvested. These payments cannot exceed 35 percent of the total projected payment; (2) second partial payments, up to 70 percent of the projected payment, minus the amount of the first partial payment, are available the following February (the year after the crop is harvested); (3) final payments are made after the end of the marketing year for the crop. Producers who do not elect to take the first and second advance payments will receive the entire counter-cyclical payment at

this time.

**Deadlines:**

Dec 22, 2008 to Jun 01, 2009 Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Approval of payments depends on farmer compliance with conservation and wetland protection requirements on all of the producers' farms, planting flexibility requirements and other eligibility requirements mentioned above, and is fairly routine and prompt.

**Appeals:**

From 15 to 30 days. A producer may obtain reconsideration and review of any adverse determination made under this part in accordance with the appeal regulations found at parts 11 and 780 of Title 7 Agriculture.

**Renewals:**

Farm producers must apply for DCP on an annual basis and can opt out of participating in DCP for any year if they so choose.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The DCP payment schedule for 2002 and 2003 crop years is in the hyperlink provided below. The payment schedule for the 2004-2007 crop years parallels the schedule for the 2003 crop year, though the Deficit Reduction Act of 2005 reduced the advance direct payment rate to a maximum of 22 percent.

<http://www.fsa.usda.gov/pas/publications/facts/html/dcp03.htm>. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

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

**Records:**

An owner or any other individual or entity receiving assistance for DCP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which assistance was provided.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$123,959,000; FY 12 est \$10,183,000; and FY 13 est \$0 - Counter-Cyclical Payments. (Direct Payments with Unrestricted Use) FY 11 \$4,744,958,000; FY 12 est \$3,959,767,000; and FY 13 est \$4,958,209,000 - Direct Payments.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the counties. Regulations published in the Federal Register, 7 CFR Part 1412.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA

office listed in the Farm Service Agency section of Appendix IV of the Catalog or on the WEB at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Candace Thompson, 1400 Independence Avenue, SW, Stop 0517, Washington, District of Columbia 20250-0517 Email: [candy.thompson@wdc.usda.gov](mailto:candy.thompson@wdc.usda.gov) Phone: (202) 720-7641 Fax: (202) 690-2130.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.056 FARM STORAGE FACILITY LOANS**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Title 1, Part Subtitle 5, Section 1614.

**OBJECTIVES:**

To encourage the construction of on farm grain storage capacity and to help farmers adapt to identity preserved storage and handling requirements for genetically enhanced production.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loans are used to finance the purchase and construction of new storage structures, handling equipment and drying equipment, and to finance the remodeling of existing storage structures. The loan amount is limited to \$500,000 per storage facility for each loan. The following are security requirements for farm storage facility loans: All loans must be secured by a promissory note and security agreement, as well as a UCC-1 describing the storage facility and accompanying equipment; and Severance agreements from all lien holders on the real estate where the facility will be located or from owners of real estate when the loan applicant is not the landowner, except when CCC holds the first lien on the real estate. Severance agreements will not be required if the borrower increases the down payment from 15 percent to 20 percent. For loans that exceed \$50,000 or the borrower's aggregate outstanding loan balance exceeds \$50,000, the borrower must be able to provide at least one of the following: A first lien on the real estate on which the facility is located; Real estate owned by the borrower other than where the facility is located, provided the real estate offered is sufficient to secure the loan; or An irrevocable letter of credit from a financial institution in an amount sufficient to protect CCC's interest for each year the loan has an outstanding balance. Facility Loan Terms. The following are the terms for farm storage facility loans: A 15 percent cash down payment is required; thus, CCC's loan is limited to 85 percent of the net cost of the eligible storage facility and permanent drying and handling equipment (subject to the applicant's storage needs test). The down payment cannot include any trade-in, discount, rebate, deferred payment, or post-dated check. Loan terms available are seven (7) years, ten (10) years or twelve (12) years depending on the amount of the loan. Interest rate is fixed for the loan term based on the rate in effect during the month the loan is initially approved. The interest rate is equivalent to the rate of interest charged on Treasury Securities of comparable term and maturity. Loans are to be repaid in equal amortized annual installments. Loan will not be disbursed until the facility has been erected and inspected with the exception of one (1) qualifying partial disbursement, once 50 percent of the facility has been completed. Cost of Obtaining a Loan. Each applicant will be charged a nonrefundable \$100 application fee. CCC will pay all collateral lien searches and recording fees for filing Form UCC-1 and credit reports. Applicants pay all other fees, such as severance agreements, attorney fees, real estate lien search fees, and instrument filing fees. For loans over \$50,000, applicants will be required to pay the cost

of obtaining a title search/opinion or title insurance. Persons Required to Sign the Note. The following persons are required to sign the loan agreement: For sole proprietorships and joint ventures, all individuals, including spouses, if applicable. For general partnerships, any member unless the Articles of Partnership are more restrictive. For corporations and limited partnerships, an individual with signature authority on file with FSA. Where to File the Application

Loan applications should be filed in the administrative FSA Office that maintains the farm's records. More Information: For more information about FSA programs, contact your local FSA office or USDA Service Center, or visit the World Wide Web at [www.fsa.usda.gov](http://www.fsa.usda.gov). The Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, genetic information, political beliefs, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of Discrimination, write to USDA, Director, Office of Civil Rights, 1400 Independence Avenue, SW., Washington, DC 20250-9410, or call (800) 795-3272 (voice) or (202) 720-6382 (TDD). USDA is an equal opportunity provider and employer. Fact Sheets, News Releases, Emergency Designation News Releases, Spotlights, Fence Post,

Media Relations Contacts, Public Service Announcements, Meetings & Events,

County Committee Elections, Speeches and Presentations, Media Gallery, Subscriptions, RSS Feeds, eFOIA, FSA Widgets, View FSA Biographies, Email Updates, RSS Feeds, FSA Widgets, and Ask FSA. To view PDF files you must have Adobe Acrobat Reader installed on your computer. To view Flash files you must have Macromedia Flash Player installed on your computer.

**Applicant Eligibility:**

An eligible borrower is any person who, as landowner, landlord, operator, producer, tenant, leaseholder, or sharecropper: (1) Has a satisfactory credit history and demonstrates an ability to repay the debt arising under this program using a financial statement acceptable to CCC prepared within 90 days of the date of application; (2) has no delinquent Federal debt defined by the Debt Collection Improvement Act of 1996 at the time of loan disbursement; (3) is a producer of a facility loan commodity as defined by CCC; (4) demonstrates a need for storage capacity as defined by CCC; (5) provides proof of crop insurance offered under the Federal Crop Insurance Program for crops of economic significance on all farms operated by the borrower in the county where the storage facility is located; (6) is in compliance with USDA provisions for highly erodible land and wetlands provisions according to 7 CFR Part 12; (7) demonstrates compliance with any applicable local zoning, land use, and building codes for the applicable farm storage facility structures; (8) provides proof of flood insurance if CCC determines such insurance is necessary to protect the interests of CCC, and proof of all peril structural insurance, to CCC annually; (9) demonstrates compliance with the National Environmental Policy Act regulations at 40 CFR, Parts 1500- 1508; and (10) has not been convicted under Federal or State law of a controlled substance violation under 7 CFR Part 718.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria. Landowners, landlords, operators, producers, tenants, leaseholders, or sharecroppers are the beneficiaries.

**Credentials/Documentation:**

Applicants must establish that they have a need for the storage capacity. The applicant must establish that he has the ability to repay the loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Form CCC-185 provided by the Farm Service Agency must be presented, with supporting information, to the FSA county office serving the applicant's county. FSA personnel assist applicants in completing their application forms.

**Award Procedure:**

FSA State and County Committees are authorized to approve these loans after applicants are determined eligible.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approval process may take from 2 to 6 weeks.

**Appeals:**

Applicants for loans may appeal adverse actions taken against them. The applicant is given an opportunity to appeal the decision to the National Appeals Division.

**Renewals:**

The loan term is 7, 10, or 12 years. The term of the loan may not be extended. The loan is repaid in equal annual installments of principal and interest amortized over the loan term.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The estimated amount of the loan is determined before construction takes place. A 15 percent down payment is required. The loan is disbursed by direct deposit or check, if a direct deposit waiver is filed, as soon as the cost is determined, all loan documents have been prepared and all security documents have been filed. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Borrowers are required to annually submit proof of crop insurance, flood insurance (if applicable), hazard insurance, and property taxes.

**Account Identification:**

12-4158-0-3-351; 12-3301-0-1-351.

**Obligations:**

(Direct Loans) FY 11 \$250,000,000; FY 12 est \$302,500,000; and FY 13 est \$302,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(1) A fact sheet, press release, forms, and directives are available. Regulations at 7 CFR Part 1436 were published in the Federal Register under a final rule on August 18, 2009.

**Regional or Local Office:**

See Regional Agency Offices. Consult the appropriate FSA State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Toni D. Williams USDA-FSA-PSD, Stop 0512, 1400 Independence Ave., SW, Washington, District of Columbia 20250-0512 Email: toni.williams@wdc.usda.gov Phone: 2027202270 Fax: 2026903307

**Website Address:**

<http://www.fsa.usda.gov/FSA/webapp?area=home&subject=prsu&topic=flp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.069 CONSERVATION RESERVE PROGRAM**

(CRP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, as amended, Section 1231, 16 U.S.C 3831-3835a.

**OBJECTIVES:**

To protect the Nation's long-term capability to produce food and fiber; to reduce soil erosion and sedimentation, improve water quality, and create or enhance habitat for wildlife.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible owners or operators may place highly erodible or other environmentally sensitive land into a 10-15 year contract. The participant, in return for annual payments, agrees to implement a conservation plan approved by the local conservation district for converting highly erodible cropland or other environmentally sensitive land to a long-term resource conserving cover i.e., eligible land must be planted with a vegetative cover, such as, perennial grasses, legumes, fobs, shrubs, or trees. Financial and technical assistance are available to participants to assist in the establishment of a long-term resource conserving cover.

**Applicant Eligibility:**

An individual, partnership, association, Indian Tribal ventures corporation, estate, trust, other business enterprises or other legal entities and, whenever applicable, a State, a political subdivision of a State, or any agency thereof may submit an offer to enroll acreage.

**Beneficiary Eligibility:**

If their offer is accepted for enrollment, an individual, partnership, association, Indian Tribal ventures, corporation, estate, trust, other business enterprises or other legal entities and, whenever applicable, a State, political subdivision of State, or any agency thereof may earn benefits.

**Credentials/Documentation:**

The land must be owned or operated for not less than 12 months prior to the close of the signup period, unless the land was acquired by will or succession or FSA determines that ownership was not acquired for the purpose of placing the land in the CRP. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. FSA has three methods for enrolling acreage in the CRP. One method is a continuous signup process where acreage suitable for certain environmental priority practices, including but not limited to grass waterways, riparian buffers or filterstrips, and acreage within wellhead protection areas may be offered and accepted without going through a competitive offer process. The second method is similar to continuous signup and is available only in distinct geographic areas. These areas are targeted by FSA and State governments under partnership agreements.

The third method is to offer acreage during a general signup period where eligible offers to enroll highly erodible and other environmentally sensitive

acreage are submitted and ranked competitively based on an environmental benefits index. Regardless of the method of enrollment, the local FSA office that serves the area in which the farm or ranch is located will provide the maximum payment rate CCC will accept to enroll certain acreage in the program. Producers may submit a rental rate per acre offered that may be equal to or less than CCC's maximum payment rate.

**Award Procedure:**

FSA will notify persons whose offers are determined acceptable as soon as practicable after the close of the signup.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 7 to 120 days.

**Appeals:**

Producers may appeal any determination to county FSA committee, State committee, or National Appeals Division. Matters that are generally applicable to all producers are not appealable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual rental payments will be made for 10-15 years. If cost-share assistance to establish the appropriate cover was requested, a payment will be made after the practice is successfully established according to applicable guidelines. FSA may provide certain incentives for restoring wetlands or other lands. See the following for information on how assistance is awarded/released: Annually and based on performance.

**Reports:**

Not Applicable.

**Audits:**

No audits are required for this program.

**Records:**

Maintained in county FSA office and Federal Record centers for a specified number of years.

**Account Identification:**

12-4336-0-1-302; 12-3319-0-1-302.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$1,938,872,000; FY 12 est \$2,069,573,000; and FY 13 est \$2,201,694,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR Part 1410.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the county FSA office, under U.S. Government, Department of Agriculture. If no listing, contact the appropriate State FSA office listed in the FSA section of Appendix IV of the Catalog.

**Headquarters Office:**

Beverly Preston 1400 Independence Ave. SW, Washington, District of Columbia 20250 Email: Beverly.Preston@wdc.usda.gov Phone: 202-720-9563 Fax: 202-720-4619

**Website Address:**

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

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.072 Wetlands Reserve Program; 10.901 Resource Conservation and Development; 10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.072 WETLANDS RESERVE PROGRAM**

(WRP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Title XII, Part Subtitle D, Section 1237, Public Law 99-198, 99 Stat. 1504, 16 U.S.C 3831.

**OBJECTIVES:**

To assist landowners in restoring and protecting wetlands on eligible lands on which they agree to enter into a permanent or 30- yearlong-term easement (30-year contract for Indian tribes) , or a restoration cost-share agreement with the Secretary. The goal of WRP is to maximize wetland functions and values and wildlife benefits on every acre enrolled in the program. Total acreage enrollment limitation is 3,041,200,275,000 acres.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible landowners may offer farmed wetlands, prior converted wetlands, wetlands farmed under natural condition, former or degraded wetlands on lands that have been used or are currently being used for the production of food and fiber, including cropland, rangeland and forest production land, lands substantially altered by flooding, certain riparian areas, along with certain adjacent areas. The goal of the WRP is to achieve the greatest wetlands functions and values, along with optimum wildlife habitat on every acre enrolled in the program. At least 70 percent of the wetland and upland areas will be restored to the natural condition to the extent practicable; the remaining 30 percent of the project area may be restored to other than natural conditions. Enrollment options include permanent easements, 30-year easements, restoration cost-share agreements, and, for acreage owned by Indian Tribes, 30-year contracts. To be eligible for participation, land must be restorable and be suitable for wildlife benefits. Participating landowners must comply with the terms and conditions of their easement, agreement or contract for the duration of the document. For easement projects, landowners shall ensure the easement is superior to the rights of all others and shall agree to implement a wetland restoration plan designed to restore and maintain the easement area. Landowners must agree to a permanent retirement of crop acreage bases, allotments, and quotas to the extent that the sum of the crop acreage bases and allotments will not exceed the remaining cropland on the farm.

Participating landowners receive financial and technical assistance to install necessary restoration practices as follows.

Permanent easements: Easement duration is in perpetuity. Landowners receive an easement payment after the easement is filed. In addition NRCS shall share the cost of carrying out the establishment conservation measures and practices, and the protection of wetland functions and values including necessary maintenance activities to the extent that the Secretary determines that cost-sharing is appropriate and in the public interest.

30-year easements: Easement duration is 30 years. Landowners receive an easement payment after the easement is filed that is the equivalent of 75 percent of the value for a permanent easement and up to 75 percent of the eligible restoration costs.

Restoration cost-share agreements: Restoration cost-share agreements are made available to participating landowners as an alternative mechanism to

restore wetlands, without requiring the participant to sell an easement. Agreements are generally for a 10-year period, although longer agreement periods may be required for unique projects that are funded at a higher level. There is no easement payment; however, NRCS pays up to 75 percent of the eligible restoration costs.

30-year contracts: Acreage owned by Indian Tribes can be enrolled through the use of a 30-year contract which shall be equivalent in value to a 30-year easement.

For both permanent and 30-year easements, WRP pays for all the overhead costs associated with recording the easement in the local land records office including recording fees, charges for title abstracts, surveys, appraisal fees, records searches, and title insurance associated with acquiring an easement. These overhead costs are generally not paid to participants but are provided directly to the vendor performing the service. Therefore, payments appearing on USAspending.gov will be reflective of payments to participants and payments to vendors for services associated with restoration and management activities and administrative costs associated with recording an easement.

#### Under Credentials/Documentation

Eligible applicants must be in compliance with the highly erodible land and wetland conservation provisions in 7 CFR part 12 and the Adjusted Gross Income provisions in 7 CRP part 1400. They must be the landowner of the eligible land being offered for participation. For easement applications, the applicant must have owned the land for the 7-year period prior to the time the land is determined eligible for enrollment unless it is determined that the land was acquired by will or succession as a result of death of the previous owner; the ownership change occurred due to foreclosure and the owner of the land immediately before foreclosure exercises a right of redemption from the mortgage holder; or the land was acquired under circumstances that give adequate assurances, as determined by NRCS that such land was not acquired for the purposes of placing it in the program.

#### Applicant Eligibility:

An individual landowner, partnership, association, corporation, estate, trust, other business or other legal entities and, Indian tribe.

#### Beneficiary Eligibility:

An individual landowner, partnership, association, corporation, estate, trust, other business enterprises or other legal entities and, Indian tribe.

#### Credentials/Documentation:

The landowner must have owned the land offered for at least the preceding 12 months prior to the end of the period in which the intent to participate in an easement is declared unless the land was acquired by will or succession as a result of the death of the previous owner; or the Department determines that the new owner did not acquire such land for the purpose of placing it in the WRP. The 12-month requirement is not applicable to restoration agreement. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submit an application to enroll to the local NRCS office that serves the area in which the farm or ranch is located during the designated sign-up period.

#### Award Procedure:

The States will provide a list of potential acceptable offers and request for allocation of funds. The Department will allocate funding in a manner designed to achieve cost effectiveness and maximum wetland restoration based wildlife benefits. The States will notify the landowners of the status of their application. This process will be completed as soon as practical after funding becomes available. For all tentatively accepted applications, a determination of easement compensation value will be made according to the current procedures as prescribed by the Secretary.

#### Deadlines:

Not Applicable.

#### Range of Approval/Disapproval Time:

From 60 to 180 days after the application is filed with the NRCS. Landowner application may remain on sign-up list for subsequent funding consideration.

#### Appeals:

Landowner may appeal certain determinations to the National Appeals Division.

#### Renewals:

The land offered may be re-offered in a future sign-up unless land or landowner is ineligible.

#### Formula and Matching Requirements:

This program has no statutory formula.

Matching Requirements: Lump sum payments or no less than 5 nor more than 30 annual payments of equal or unequal value are made for easements.

Cost-share payments of 100 percent of the cost of implementing the Wetland Restoration Plan will be paid for a permanent easement with 75 percent of permanent easement amounts being paid for 30-year easements, 30-year contracts and restoration cost-share agreements.

MOE requirements are not applicable to this program.

#### Length and Time Phasing of Assistance:

Cash easement payments will be made in a lump sum amount, or in annual installments beginning at closing. Cost share payments for implementation of easement practices will be made when a specific practice has been implemented by either the landowner or contractor. See the following for information on how assistance is awarded/released: Cash easement payments will be made in a lump sum amount, or in annual installments beginning at closing. Cost share payments for implementation of easement practices will be made when a specific practice has been implemented by either the landowner or contractor.

#### Reports:

No reports are required.

#### Audits:

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

#### Records:

Records will be maintained in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement. The easement (deed restriction) and applicable documents will be filed in the local land records office for the duration of the easement. Agreements are filed with the Agency.

#### Account Identification:

12-1080-0-1-302; 12-4336-0-1-302; 12-1004-0-1-302.

#### Obligations:

(Salaries) FY 11 \$45,686,318; FY 12 est \$74,228,000; and FY 13 Estimate Not Available. (Project Grants (Discretionary)) FY 11 \$523,034,288; FY 12 est \$632,889,000; and FY 13 Estimate Not Available

#### Range and Average of Financial Assistance:

Not Applicable.

#### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

The program is announced through news media and in letters to agricultural landowners in the county. Regulations published in the Federal Register and 7 CFR XIV.

#### Regional or Local Office:

See Regional Agency Offices. Consult the local telephone directory for location of the NRCS office. If no listing, contact the appropriate State NRCS office listed in the NRCS Section of Appendix IV of the Catalog.

**Headquarters Office:**

Steve Parkin 14th and Independence Ave., SW.  
Room 6817-S  
, Washington, District of Columbia 20250 Email: Steve.Parkin@wdc.usda.gov  
Phone: 202-720-1854

**Website Address:**

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

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.904 Watershed Protection and Flood Prevention; 10.913 Farm and Ranch Lands Protection Program; 10.920 Grassland Reserve Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All offers are screened at both the local and State level to determine the acceptability of the application to ensure that offers will not be accepted in excess of the value as determined by the method prescribed by the Secretary. Offers will be evaluated based on the environmental benefits and government expenditures on restoration and easement purchase and the requirement that wildlife benefits be maximized.

**10.080 MILK INCOME LOSS CONTRACT PROGRAM**

(MILC)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food, Conservatn and Energy Act of 2008, Title 1, Part E, Section 1506, Public Law 110-246, 7 U.S.C 7981-7982.

**OBJECTIVES:**

To maintain and expand existing markets for dairy which are vital to the welfare of milk producers in the United States. Payments under this program will be limited to dairy operations that produced milk in the United States and commercially marketed milk during the period of October 1, 2007 through September 30, 2012.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Each fiscal year, eligible dairy operations can receive a monthly payment based on monthly milk marketing, up to a maximum of 2.4 million pounds per dairy operation, for fiscal year October 1, 2007 through September 30, 2008. Maximum eligible pounds increase to 2.985 million pounds from October 1, 2008 through August 31, 2012, except that the cap reduces back to 2.4 million pounds during the month of September, 2012. Dairy operations who make changes to their producer status or who reconstitute their farm operations on or after October 1, 2007 for the sole purpose of receiving additional payments will not be eligible for the benefits under the program implemented by this rule.

**Applicant Eligibility:**

To be eligible, dairy producers must: (1) have produced milk in the United States and commercially marketed the milk produced anytime during the period of October 1, 2007 through September 30, 2012; (2) enter into a MILC contract during the contract application period; (3) agree to all terms and conditions in the MILC contract and comply with instructions issued by the Commodity Credit Corporation; (4) provide proof of monthly milk production commercially marketed by all persons in the dairy operation during the contract period, to determine the total pounds of milk that will be converted to hundredweight (cwt.) used for payment; (5) submit timely production evidence according to Sec. 1430.209; (6) be actively engaged in the business of producing and marketing agricultural products at the time of signing the MIL contract; (7) certify compliance with highly erodible land and Wetland provisions; (8) be in compliance with average adjusted gross income limitations; and (9) comply with start month selection provisions.

**Beneficiary Eligibility:**

Eligible dairy producers are those who, beginning October 1, 2007 through

September 30, 2012: (1) commercially produce and market cow milk in the United States, or (2) produce milk in the United States and commercially market the milk outside the United States. In addition, dairy producers from a foreign country who are admitted to the United States and have a valid taxpayer identification number are eligible for MILC contract benefits.

**Credentials/Documentation:**

Before MILC contract payments are issued, all persons involved in a single dairy operation must provide evidence of eligible marketing. Verifiable production evidence can include: (1) milk marketing payment stubs, (2) tank records, (3) milk handler records, (4) daily milk marketing, and (5) copies of any payments received as compensation from other sources. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for the MILC program, dairy operation producers must submit form CCC-580, "Milk Income Loss Contract," to Farm Service Agency (FSA) county office where the dairy operation is located. The CCC-580 must show total pounds of all milk produced and marketed during each month for all persons receiving a share of the marketed milk. Monthly milk production may not be apportioned to circumvent the maximum payment quantity. All persons who share in the risk of a dairy operation's total production must certify information on the CCC-580. FSA will accept only one CCC-580 per operation. When applying for MILC, operators must also have on file: (1) form AD-1026, "Highly Erodible Land Conservation and Wetland Conservation Certification," used to certify understanding of the conservation compliance requirements under USDA programs; and (2) form SF-3881, "Direct Deposit Sign Up Form," used to sign up for the direct deposit of payments into the payee's account.

**Award Procedure:**

The Price Support Division (PSD) in Washington DC is responsible for the implementation of the MILC program in county offices. They will manage the contracts and determine the eligibility of monthly payments for each contract.

**Deadlines:**

Oct 01, 2007 to Sep 30, 2012 Please contact the program contact listed in the Information Contacts section below.

**Range of Approval/Disapproval Time:**

From 1 to 60 days.

**Appeals:**

Any producer who is dissatisfied with a determination may request reconsideration or appeal of such determination under Part 11 or 780 of 7 CFR Part 1430.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Chapter CFR, Part 1430, Subpart B, Public Law 110-246. Payments under this program may be made to dairy operations when the Boston Class 1 milk price is below \$16.94 per cwt., after adjustment for the cost of dairy feed rations. No payments will be made to dairy operations for marketing during the months that the Boston Class 1 milk price exceeds \$16.94. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Except as provided in Sections 1430.205 and 1430.206, contracts entered into by producers in a dairy operation shall cover eligible production marketed by producers during the period beginning with the first day of the month producers enter into contract and ending on September 30, 2012. If a dairy goes out of business during the contracted period, the MILC program will be terminated immediately, except as applicable to earned payments. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

Producers approved for benefits under this program must maintain accurate records and accounts in order to document that they meet all eligibility requirements specified herein, as may be requested by the Commodity Credit Corporation or the Farm Service Agency. Such records and accounts must be retained for 3 years after the date of payment to the dairy operation under this program. Destruction of the records 3 years after the date of payment shall be the risk of the party undertaking the destruction.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$566,000; FY 12 est \$450,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in the Federal Register, 7 CFR part 1430. MILC Fact Sheet may be located online at <http://www.fsa.usda.gov/pas/publications/facts/html/milc02.htm>.

**Regional or Local Office:**

None. Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the FSA section of Appendix IV of the Catalog, or on the Internet at <http://www.fsa.usda.gov/edso/>.

**Headquarters Office:**

Danielle Cooke Stop 0512, 1400 Independence Ave SW, Washington, District of Columbia 20250-0512 Email: [danielle.cooke@wdc.usda.gov](mailto:danielle.cooke@wdc.usda.gov) Phone: 202-720-1919 Fax: 202-690-3307

**Website Address:**

<http://www.fsa.usda.gov/daftp/psd/MILC.htm> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.085 TOBACCO TRANSITION PAYMENT PROGRAM**

(TTPP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Pl 108-357, Executive Order Fair and Equitable Tobacco Refrom Act of 2004, Title VI, Section 601--643, Public Law 108-357, 118 Stat. 1521-1536, 7 U.S.C 518.

**OBJECTIVES:**

The Fair and Equitable Tobacco Reform Act of 2004 repeals the federal tobacco price support/production control program, provides compensation

payments to tobacco quota owners for the elimination of their government-created asset (quota), and provides transition payments to active tobacco producers.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Eligible quota holder means only a person who, as of October 22, 2004, has either a fee simple interest or life estate interest in the farm for which FSA established a farm basic marketing quota for the 2004 marketing year. The wetlands and highly erodible land provisions of part 12 of Title 7, the controlled substance provisions of part 718 of Title 7, and the payment limitation provisions of part 1400 of Title 7 shall not be applicable to payments made under 7 CFR Part 1463 to an eligible quota holder. Eligible tobacco producer means an owner, operator, landlord, tenant, or sharecropper who shared in the risk of producing tobacco on a farm where tobacco was produced, or considered planted, pursuant to a tobacco poundage quota or acreage allotment assigned to the farm for the 2002, 2003, or 2004 marketing years. The wetlands and highly erodible land provisions of part 12 of Title 7 and the controlled substance provisions of part 718 of Title 7 shall be applicable to payments made under 7 CFR Part 1463 to an eligible tobacco producer. However, the payment limitation provisions of part 1400 of Title 7 shall not be applicable to payments made under this part to an eligible tobacco producer.

**Beneficiary Eligibility:**

Tobacco quota holders, tobacco producers, and eligible assignees.

**Credentials/Documentation:**

Eligible quota holder means only a person who, as of October 22, 2004, has either a fee simple interest or life estate interest in the farm for which FSA established a farm basic marketing quota for the 2004 marketing year. To be eligible for TTPP, quota holders are the owners of a farm with an established 2004 basic marketing quota on their farm as of October 22, 2004, the date the President signed the bill that ends the quota system. Eligible tobacco producer means an owner, operator, landlord, tenant, or sharecropper who shared in the risk of producing tobacco on a farm where tobacco was produced, or considered planted, pursuant to a tobacco poundage quota or acreage allotment assigned to the farm for the 2002, 2003, or 2004 marketing years. For purposes of determining if an eligible tobacco producer has shared in the risk of producing a crop in the 2002, 2003, or 2004 crop years, CCC will consider evidence presented by a producer that includes, but is not limited to: written leases; contracts for the purchase of tobacco; crop insurance documents; or receipts for the purchase of items used in the production of tobacco. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants contact their local county Farm Service Agency Office or U.S. Department of Agriculture Service Center for sign-up information.

**Award Procedure:**

CCC will make a payment to each eligible producer in an amount equal to 10 percent of the total amount due under a contract entered into except that in the case an application was filed after June 17, 2005, the applicant will receive only the TTPP payments that have not been made as of the date the contract is approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

1 to 60 days.

**Appeals:**



A person may obtain reconsideration and review of any adverse determinations in accordance with the appeal regulations found at parts 11 and 780 of Title 7.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Tobacco Transition Payment Program (TTPP) provides payments to tobacco quota holders and tobacco producers beginning in 2005 and ending in 2014. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Tobacco quota holders or any other individual or entity receiving payment for TTPP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which payment was received.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$953,253,000; FY 12 est \$960,000,000; and FY 13 est \$960,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the county. Regulations published in 7 CFR Part 1463, 2005, 2014 Tobacco Transition Program.

**Regional or Local Office:**

See Regional Agency Offices. Farm Service Agency state offices can inform applicants of county office locations where applicants may sign up.

**Headquarters Office:**

Kelly Hereth 1400 Independence Avenue, SW, Stop 0512, Washington, District of Columbia 20250-0512 Email: kelly.hereth@wdc.usda.gov Phone: 2027200448 Fax: 2026903307

**Website Address:**

[www.fsa.usda.gov/tobacco](http://www.fsa.usda.gov/tobacco) and

<http://www.fsa.usda.gov/pas/publications/facts/html/tpp05.htm> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.087 BIOMASS CROP ASSISTANCE PROGRAM**

(BCAP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation, and Energy Act of 2008, Title IX, Section 9001, Public Law 110-246; Supplemental Appropriations Act, 2010, Title 1, Part Chapter 1, Section 101, Public Law 111-212; The Farm Security and Rural

Investment Act of 2002, Title IX, 7 U.S.C 8101.

**OBJECTIVES:**

The purpose of BCAP is to encourage the production of biofuels. BCAP accomplishes this by providing funding for agricultural and forest land owners and operators to receive matching payments for certain eligible material sold to qualified biomass conversion facilities for conversion to heat, power, bio based products, or advanced biofuels. It also provides funding for producers of eligible crops of renewable biomass within specified project areas to receive establishment payments and annual payments.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

BCAP is intended to encourage the production of biofuels by assisting agricultural and forest land owners and operators with the establishment and production of eligible crops in selected project areas for conversion to bioenergy, and with the collection, harvest, storage, and transportation of eligible material for use in a biomass conversion facilities.

**Applicant Eligibility:**

To be eligible to enter into a BCAP contract for the purposes of receiving an annual payment or establishment payments, a person or legal entity must be an owner, operator, or tenant of eligible land within a project area. Eligible land must be agricultural land or nonindustrial private forest land. Eligible agricultural land includes cropland; grassland; pastureland, rangeland, hayland, and other land on which food fiber, or other agricultural products are produced or capable of being legally produced for which a valid conservation plan exists and is implemented. Ineligible land is as follows: (1) Federal lands; (2) State-owned, municipal, or other local government-owned lands; (3) Native sod; and (4) Land that is already enrolled in CCCs CRP, Wetlands Reserve Program, or Grassland Reserve Program. Eligible crops for annual and establishment payments are renewable plant materials such as feed grains, other agricultural commodities, or other plants and trees, and algae; waste materials including vegetative waste, materials, such as woods wastes and wood residues, animal waste and byproducts, such as fats, oils, greases, and manure, food waste, and yard waste. Ineligible crops are any crop eligible to receive payments under Title I of the Food, Conservation, and Energy Act of 2008 (See 8-LP, paragraph 126 and 7-CN for Title I commodities); and any plant that is invasive or noxious or has the potential to become invasive or noxious. Eligible materials for matching payments include various types of renewable biomass collected or harvested directly from the land in accordance with an approved conservation plan, forest stewardship plan, or an equivalent plan before transport and delivery to the biomass conversion facility. Materials will only be eligible if USDA determines that there is no higher value use for that material within a reasonable distance of the biomass conversion facility.

Matching payments are not available for the following products:

(1) Material that is whole grain from any crop that is eligible to receive; payments under Title I of the Food, Conservation, and Energy Act of 2008 or an amendment made by that title, including, but not limited to, barley, corn, grain sorghum, oats, rice, or wheat; honey; or material that is mohair; certain oilseeds such as canola, crambe, flaxseed, mustard seed, rapeseed, safflower seed, soybeans, sesame seed, and sunflower seeds; peanuts; pulse crops such as small chickpeas, lentils, and dry peas; dairy products; sugar; wool; and cotton boll fiber; (2) Animal waste and by-products of animal waste including fats, oils, greases, and manure; (3) Food waste and yard waste; and (4) Algae.

All eligible material must be harvested or collected directly from the land by the eligible material owner according to a conservation, forest stewardship, or equivalent plan and be separated from the higher value product before the point of delivery. Woody biomass harvested or collected outside of project area contracts is limited to eligible material resulting from preventative treatments to address fire fuel load reduction, insect or disease outbreaks, or restore ecosystem health. Woody biomass harvested or collected outside of project area contracts is limited to eligible materials that do not have an existing market for non-biomass use and cannot be co-mingled with higher product value materials. Eligible material owner, for purposes of the matching payment, means a person or entity having the right to collect or harvest eligible material, who has the risk of loss in the material that is delivered to an eligible facility

and who has directly or by agent delivered or intends to deliver the eligible material to a qualified biomass conversion facility, including: (1) For eligible material harvested or collected from private lands, including cropland, the owner of the land, the operator or producer conducting farming operations on the land, or any other person designated by the owner of the land; and (2) For eligible material harvested or collected from public lands, a person having the right to harvest or collect eligible material pursuant to a contract or permit with the US Forest Service or other appropriate Federal agency, such as a timber sale contract, stewardship contract or agreement, service contract or permit, or related applicable Federal land permit or contract, and who has submitted a copy of the permit or contract authorizing such collection to CCC. Eligible facilities are biomass conversion facilities that convert or propose to convert renewable biomass into heat, power, bio based products, or advanced biofuels and have been approved for the BCAP program by the CCC.

**Beneficiary Eligibility:**

Owners and operators of agricultural and non-industrial private forest land will receive the ultimate benefits because it will provide financial assistance to establish, produce, and deliver biomass feedstocks. Eligible material owners who are the person or entity having the right to collect or harvest eligible material, who has the risk of loss in the material that is delivered to an eligible facility and who has directly or by agent delivered or intends to deliver the eligible material to a qualified biomass conversion facility.

**Credentials/Documentation:**

In order to enroll land in BCAP, the participant must enter into a contract with the Commodity Credit Corporation (CCC). Acceptance or rejection will be at the sole discretion of CCC, and offers may be rejected for any reason as determined appropriate to accomplish the purposes of BCAP. Contracts will be for a term of up to five years for annual and non-woody perennial crops and 15 years for woody perennial crops; or time period may vary due to type of crop, agronomic conditions, and other factors. Eligible material owner who enter into a contract with CCC may receive matching payments up to a period of two-years following the first payment for the delivery of eligible material to a qualified biomass conversion facility. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

FSA prepared a Final Programmatic Environmental Impact Statement (PEIS) for BCAP and NOFA and was published in the Federal Register on June 25, 2010 (75 FR 36386). On September 15, 2011, FSA published the BCAP interim rule (76 FR 56949). The BCAP interim rule provided FSA with the authority to prioritize establishment and annual payments (BCAP project areas) and if sufficient funding remains, to consider applications for matching payments. The interim rule also enables prioritization among project area proposals if eligible requests exceed available funding. Future funding for BCAP could make such prioritizing unnecessary. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In order for a delivery of eligible materials to a biomass conversion facility to qualify for a BCAP payment, the receiving biomass conversion facility must be qualified for BCAP. To become qualified, the biomass conversion facility must enter into an agreement with CCC, through the FSA State office in the State where the facility is physically located. For any facility, whether or not yet in operation, the entity requesting that a facility become qualified must provide proof of all applicable Federal, State, local, and Tribal permits and licenses required for operation or proof of application completions or letters of renewal submissions from the applicable governmental entity. Applicable permits and licenses may include, but are not limited to, business licenses, air quality permits, water discharge permits, storm water permits, or Bureau of Alcohol, Tobacco, Firearms and Explosives registrations. Each biomass conversion facility must enter into a separate agreement with CCC regardless of whether a single owner has multiple facilities. CCC will issue a unique facility identification number to each qualifying biomass conversion facility. Eligible material owners must apply at an FSA county office and receive approval for that application before delivering the eligible material to the qualified biomass conversion facility. Applications must include the following based on

information obtained from contracts, agreements, or binding letters of intent: (1) An estimate of the total dry tons of eligible material expected to be sold to the qualified biomass conversion facility; (2) The type(s) of eligible material that is expected to be sold; (3) The name of the qualified biomass conversion facility that will purchase the eligible material; (4) The expected, fair market, per dry ton payment rate the owner plans to receive for the delivery of the eligible material; (5) The date or dates the eligible material is expected to be delivered to the qualified biomass conversion facility; (6) A new or amended conservation plan, forest stewardship plan, or equivalent plan. Eligible material owners who deliver eligible material to more than one qualified biomass conversion facility must submit separate applications for each facility to which eligible material will be delivered. In order to enroll land for Establishment and Annual payments, the participant must enter into a contract with CCC. Only the owners, operators, or tenants of eligible land within a project area that will actually perform the work specified in the contract are eligible to apply for the program. The contract is comprised of: (1) The terms and conditions for participation in BCAP; (2) The conservation plan, forest stewardship plan, or equivalent plan; and (3) Any other materials or agreements determined necessary by CCC.

**Award Procedure:**

Contract approval for matching payments is subject to availability of funds and to eligible material owners completion of required conservation plan, forest stewardship plan or equivalent plan; presentation of proof of material ownership; and compliance with all eligible material provisions. Eligible material owners accepted into the program will receive their matching payments after they provide CCC documentation of deliveries to qualified biomass conversion facilities. Establishment payments will be made based on a determination by CCC that an eligible practice or an identifiable portion exists. Eligible practices are practices specified in the conservation plan, forest stewardship plan, or equivalent plan that meet all standards need to cost-effectively establish annual crops, non-wood perennial crops, and wood perennial crops. Payments will not be more than 75 percent of the cost for establishing a perennial crop for seed and stock costs; planting costs, cost of site preparation for non-industrial forest land; could include but not limited to site preparation for non-tree planting and supplemental or temporary irrigation. Annual payments will be calculated on a per acre basis using market-based rental rates. Rental payment rates will be based on average soil rental rate for cropland and all other agricultural land; marginal pastureland; and for forest land. The first years' payments will be made as an advance in an amount equal to 50 percent with 30 days of contract approval, with the remaining 50 percent being paid within 30 days of the first-year contract anniversary date. Annual payments for subsequent years will be made within 30 days of the contract anniversary beginning with the second-year contract anniversary. If BCAP participants collect both annual and matching payments for their crops, they are subject to a reduction in their annual payment. The size of the reduction depends on the end use of the biomass being delivered to a biomass conversion facility. The annual payment will be reduced by: 1 percent if the eligible crop is delivered to a biomass conversion facility for conversion to cellulosic biofuels as defined by 40 CFR 80.1401; by 10 percent if the eligible crop is delivered to a biomass conversion facility for conversion to advanced biofuels; and by 25 percent if the eligible crop is delivered to a biomass conversion facility for conversion to heat, power, or biobased products.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Determinations may be appealed in accordance with the administrative appeal regulations at parts 11 and 780 of 7 CFR. Determinations by the Natural Resources Conservation Service may be appealed in accordance with procedures established under part 614 of 7 CFR.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Part 1450.

**Matching Requirements:** Matching payments may be available for the delivery of eligible material to qualified biomass conversion facilities by eligible material owners. Qualified biomass conversion facilities produce heat, power, biobased products, or advanced bio fuels from biomass feed stocks. Matching payments will be made at a rate of \$1 for each \$1 per dry ton paid by qualified biomass conversion facilities up to \$45 per dry ton. Payments are paid within 30 days after the request for payment by the eligible material owner is submitted at the FSA county office, including submission of sales invoice(s) issued by the qualified biomass conversion family. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions place on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Biomass Conversion Facilities agree to develop and maintain a BCAP Purchase List of all renewable biomass purchases and include purchases from both eligible material owner and sellers not participating in BCAP. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. BCAP is a program operated by the Commodity Credit Corporation (CCC), and therefore is included in the CCC annual audit. All CCC audit procedures apply to BCAP.

**Records:**

Producers enrolling in all types of BCAP contracts may be reviewed or audited by FSA as appropriate. Recipients shall retain records which include spreadsheet, books, papers, records, contracts, scale tickets, settlement sheets, invoices, written price quotations, or other documents related to BCAP. Records shall be maintained and retained for no less than three years from the date of payment for cultivation or renewable biomass purchases.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$76,731,000; FY 12 est \$17,000,000; and FY 13 est \$0 - This program is only authorized though Fiscal Year 2012.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1450

**Regional or Local Office:**

None. Persons with disabilities who require alternative means for communication (Braille, large print, audiotape, etc.) should contact the: USDA Target Center 202-720-2600.

**Headquarters Office:**

Kelly Novak USDA, FSA, Conservation & Environmental Programs (CEPD) 14th & Independence Ave SW , Room 4975, Washington, District of Columbia 20250 Email: kelly.novak@wdc.usda.gov Phone: 202-720-4053.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.088 LIVESTOCK INDEMNITY PROGRAM**

(LIP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation, and Energy Act of 2008; Public Law 110-246, Public Law 110-246.

**OBJECTIVES:**

The Livestock Indemnity Program (LIP) compensates producers for livestock death losses in excess of normal mortality due to adverse weather that occurred on or after January 1, 2008 and before October 1, 2011. No State, county or other trigger will be used to define an eligible LIP area. Sign up will begin when an eligible disaster is apparent.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The assistance will be used to provide relief to eligible producers due to adverse weather, as determined by the Secretary of Agriculture (henceforth the Secretary), during the calendar year. An eligible producer on a farm means an individual or entity that, as determined by the Secretary, assumes the production and market risks associated with the agricultural production of crops or livestock. An individual or entity is a citizen of the United States (U.S.); a resident alien; a partnership of citizens of the U.S.; or a corporation, limited liability corporation, or other farm organizational structure organized under State law. Eligible livestock is an adult/non-adult beef or dairy cattle, adult/non-adult buffalo/beefalo, equine maintained for commercial use as part of the farming operation, elk, reindeer, deer, sheep, alpacas, emus, swine, goats, llamas, and poultry. Eligible adverse weather events are wildfire (must be related to an adverse weather event), blizzard, tornado, lightning, ice storms, earthquakes, flooding, extreme cold or heat. If an eligible livestock dies due to a disease, it must be related to or exacerbated by an eligible adverse weather event to be an eligible cause of livestock deaths under LIP. Drought is not an eligible adverse weather event except when associated with anthrax, a condition that occurs because of drought and results in the death of eligible livestock.

**Applicant Eligibility:**

An eligible producer may use assistance for livestock death losses in excess of the normal mortality due to adverse weather.

**Beneficiary Eligibility:**

Beneficiary eligibility is extended to an eligible livestock producer who is an owner, cash share lessee, a contract grower of covered livestock that provides the pasture land or grazing land (including cash-leased pasture land or grazing land for the livestock) that is physically located in a county affected by drought. The term "eligible livestock producer" does not include an owner, ash or share lessee, or contract grower of livestock that rents or leases pasture land or grazing land owned by another person on a rate-of-gain basis. The eligible producer on a farm must have during the 60 calendar days before the beginning date of a qualifying drought or fire, owned, ashed or share leased, or been a contract grower of eligible covered livestock.

**Credentials/Documentation:**

Proof of death of livestock must be provided and may include but is not limited to, any or a combination of the following: rendering truck receipts or certificates; national guard receipts of carcass removal; veterinary records; tax assessor records; private insurance documents; a measurement service may be requested by the producer and completed by FSA. Documentation must provide sufficient data that identifies the kind/type/weight range of livestock and the number of livestock. A third party certification may be accepted only when participant certifies in writing that no other form of proof of death is available and includes the number and physical location of livestock in inventory at time death occurs. Documentation must also be provided to support the number of livestock in inventory at the time the death occurred. The third party providing the certification must be a reliable source in a position to have knowledge of the dead livestock and shall not be affiliated with the operation such as a hired hand or a family member, etc. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A notice of loss must be filed within 30 days of when the loss is apparent.

**Award Procedure:**

Indemnity payments to an eligible producer on a farm shall be made at a rate of 75 percent of the market value of the applicable livestock on the day before the date of death of the livestock, as determined by the Secretary for each specific livestock category; individual producers' eligible losses; and calculations will be performed separately by eligible livestock (by type, kind, and weight range) and producer type.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There are no restrictions place on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-5531-0-2-351.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$23,894,000; FY 12 est \$56,000,000; and FY 13 est \$0 - Supplemental Agricultural Disaster Assistance is only effective for losses incurred as the result of a disaster, adverse weather, or other environmental conditions that occurred on or before September 30, 2011.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lenior J. Simmons, FSA DAFO PECD, 1400 Independence Ave SW, Room 3640-S, Washington, District of Columbia 20250 Email: Lenior.Simmons@wdc.usda.gov Phone: (202) 720-9070.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.089 LIVESTOCK FORAGE DISASTER PROGRAM (LFP)**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food Conservation and Energy Act of 2008, Public Law 110-246.

**OBJECTIVES:**

The objective of LFP is to provide financial assistance from the Agricultural Disaster Relief Trust Fund (Trust Fund). The Secretary of Agriculture (henceforth the Secretary) has the authority to use sums from the Trust Fund to provide compensation to livestock producers who suffered grazing losses due to drought or fire. For drought, the losses must have occurred because of a qualifying drought during the normal grazing period for the county on land that is native or improved pastureland with permanent vegetative cover or is planted to a crop planted specifically for grazing covered livestock. For fire, LFP provides payments to eligible livestock producers that have suffered grazing losses on range land managed by a Federal agency if the eligible livestock producer is prohibited by the Federal agency from grazing the normal permitted livestock on the managed range land because of a qualifying fire. Eligible grazing losses must have occurred on or after January 1, 2008, and before October 1, 2011. The eligible grazing losses must occur within the same calendar year for which benefits are being requested.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The assistance can be used to provide financial assistance for grazing losses due to drought equal to one, two, or three times the monthly payment rate to eligible livestock producers if the eligible livestock producer owns or leases a grazing land or pastureland that is physically located in a county that is rated by the U.S. Drought Monitor as D2 Drought (severe drought) for at least eight consecutive weeks, D3 (extreme drought) at any time or for four weeks (not necessarily four consecutive weeks), or a D4 (exceptional drought at anytime) during the normal grazing period for the specific type of grazing land or pastureland for the county. Eligible livestock producers are eligible to receive assistance if grazing losses due to a fire on Federally managed land if the grazing loss is on range-land managed by a Federal agency such as the Forest Service, Bureau of Land Management, Bureau of Indian Affairs or Tribal government and the eligible producer is prohibited by the Federal agency from grazing the normal permitted livestock and/or normal permitted days. Livestock producers are eligible to receive assistance if grazing losses due to drought or fire occur on or after January 1, 2008 and before October 1, 2011.

**Applicant Eligibility:**

An eligible applicant or livestock producer may use assistance for grazing or fire losses for any specific purpose. Eligible covered livestock includes cattle (including dairy cattle); buffalo/beefalo/ alpacas, deer, elk, emu, equine, goats, llamas, poultry; reindeer, sheep; swine; and other livestock as determined by the Secretary.

**Beneficiary Eligibility:**

Beneficiary eligibility is extended to an eligible livestock producer who is an owner, cash share lessee, a contract grower of covered livestock that provides the pasture land or grazing land (including cash-leased pasture land or grazing land for the livestock) that is physically located in a county affected by drought. The term "eligible livestock producer" does not include an owner, cash or share lessee, or contract grower of livestock that rents or leases pasture land or grazing land owned by another person on a rate-of-gain basis. The eligible producer on a farm must have during the 60 calendar days before the beginning date of a qualifying drought or fire, owned, cashed or share leased, or been a contract grower of eligible covered livestock. An eligible livestock producer

must also be an individual or entity that is a citizen of the United States (U.S.); a resident alien; a partnership of citizens of the U.S.; or a corporation, limited liability corporation, or other farm organizational structure organized under State law. An eligible livestock producer shall only be eligible for assistance if the livestock producer meets the risk management purchase requirement by obtaining a policy or plan of insurance or filed the required paperwork and paid the administrative fee by the applicable State application closing deadline date for the Noninsured Crop Disaster Assistance Program (NAP) for the grazing land crop that incurred the loss for which assistance is being requested. For 2008 only, a waiver was authorized to allow producers to pay a buy-in fee or receive a waiver by September 16, 2008, for grazing land for which the producer did not obtain a policy or plan of insurance for 2008. The risk management purchase requirement will be waived for producers who are considered to be a socially disadvantaged farmer or rancher, limited resource farmer or rancher, or beginning farmer or rancher.

**Credentials/Documentation:**

A livestock producer must certify that they have a grazing loss due to drought or fire. There is no minimum loss percentage required by the producer. A livestock producer must provide an FSA-925 (LFP application for payment) in their administrative FSA county office along with required supporting documents.

Supporting Documentation includes:

- CCC-502 Farm Operating Plan for Payment Eligibility Review, applicable for 2008 calendar year
- CCC-901 Members Information 2009 and Subsequent Years, applicable for 2009 and subsequent years
- AD-1026 - Highly Erodible Land Conservation and Wetland Conservation Certification, applicable for 2008, 2009, 2010, and 2011
- CCC-526 Payment Eligibility Average Adjusted Gross Income Certification for 2008
- CCC-926 Average Adjusted Gross Income Statement for 2009 and Subsequent Years
- Copy of contract grower contract
- Report of acreage for the grazing land is owned or leased
- Evidence that grazing land is owned or leased
- Evidence of meeting risk management purchase requirement or an approved waiver. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Payment Eligibility for Losses Due To Drought  
An eligible livestock producer will be eligible to receive payments for grazing losses for qualifying drought equal to one, two, or three times the monthly payment rate. Total LFP payments to an eligible producer in a calendar year for grazing losses due to a qualifying drought will not exceed three monthly payments for the same livestock. To be eligible for a one month payment, the eligible livestock producer must own or lease grazing land or pastureland that is physically located in a county that is rated by the U.S. Drought Monitor as having at least a D2 severe drought (intensity) in any area of the county for at least 8 consecutive weeks during the normal grazing period for the specific type of grazing land or pastureland in the county. To be eligible for a two month payment, the eligible livestock producer must own or lease grazing land or pastureland that is physically located in a county that is rated by the U.S. Drought Monitor as having at least a D3 extreme drought (intensity) in any area of the county at any time during the normal grazing period for the specific type of grazing land or pastureland for the county. To be eligible for a three month payment, the eligible livestock producer must own or lease grazing land or pastureland that is physically located in a county that is rated by the U.S. Drought Monitor as having at least a D3 extreme drought (intensity) in any area of the county for at least four weeks during the normal grazing period for

the specific type of grazing land or pastureland for the county, or is rated as having a D4 exceptional drought (intensity) in any area of the county at any time during the normal grazing period for the specific type of grazing land or pastureland for the county. The monthly payment rate for grazing losses due to a qualifying drought for producers who suffer grazing losses on grazing lands located in a county due to drought will be equal to 60 percent of the lesser of the monthly feed cost for all covered livestock owned or leased by the eligible livestock producer or the monthly feed cost calculated using the normal carrying capacity of the eligible grazing land of the eligible livestock producer. If an eligible livestock producer sold or otherwise disposed of covered livestock due to a qualifying drought in one or both of the two production year immediately preceding the current production year, the payment rate is 80 percent of the monthly payment rate.

**Payment Eligibility For Losses Due To Fire**

Livestock producers who suffer grazing losses on grazing lands managed by a Federal agency due to a fire, will receive a payment equal to 50 percent of the monthly feed cost for the number of days the producer is prohibited from grazing the managed range-land because of the qualifying fire, not to exceed 180 calendar days. The payment begins on the first day the permitted livestock are prohibited from grazing the eligible range-land and ending on the earlier of the last day of the Federal lease of the eligible livestock producer or the day that would make the period a 180 calendar day period.

**Deadlines:**

Dec 10, 2009 To apply for LFP, producers that suffer eligible grazing losses during 2008 must file FSA-925 and required supporting documentation by no later than December 10, 2009. Producers that suffer eligible grazing losses during 2009 and later years must submit a completed FSA-925 and supporting documentation to the administrative FSA county office no later than 30 calendar days after the end of the calendar year in which the grazing loss occurs. Late filed applications will not be accepted.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions placed on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

12-5531-0-2-351.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$211,977,371; FY 12 est \$198,000,000; and FY 13 est \$0 - Supplemental Agricultural Disaster Assistance is only effective for losses incurred as the result of a disaster, adverse weather, or other environmental conditions that occurred on or before September 30, 2011.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Scotty Abbott LFP Program Manager  
USDA, FSA, Deputy Administrator for Farm Programs  
Production, Emergencies, & Compliance Division (PECD)  
1400 Independence Ave SW Stop 0517  
, Washington, District of Columbia 20250 Email: scotty.abbott@wdc.usda.gov  
Phone: 202-720-7997 Fax: 202-690-2130

**Website Address:**

http://www.fsa.usda.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.090 SUPPLEMENTAL REVENUE ASSISTANCE PROGRAM  
SURE****FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation, and Energy Act of 2008 (The Farm Bill), Title X11, Part B, Section 12033, Public Law 110-246, 7 U.S.C 1501; The Trade Act of 1974, Section 902, Public Law 93-618; The American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5; The Food, Conservation, and Energy Act of 2008, Title XV, Section 15101, Public Law 110-246.

**OBJECTIVES:**

The objective of the SURE program is to provide financial assistance for farm revenue losses due to natural disaster. Assistance is provided from the Agricultural Disaster Relief Trust Fund (Trust Fund) established under Public Law 110-246. The Secretary of Agriculture (henceforth the Secretary) has the authority to use the Trust Fund to make crop disaster assistance payments to eligible producers on farms in disaster counties whose actual production is less than 50 percent of their normal production. A disaster county means a county included in the geographic area covered by a qualifying natural disaster declaration by the Secretary. SURE is the 2008 Farm Bill's successor to the prior Crop Disaster Programs. SURE is legislated through fiscal year 2011.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

SURE assistance can provide benefit payments to eligible producers who have suffered eligible crop losses due to a natural disaster. To be eligible for crop loss assistance, a producer must show that the actual production on the farm for at least one crop of economic significance is reduced for at least 10 percent due to disaster, adverse weather, or disaster-related conditions. Payment limitations apply for SURE. For 2008, no person may receive more than \$100,000 total for the 2008 program year under the Emergency Assistance for Livestock, Honeybees, and Farm Raised Fish Program (ELAP), Livestock Forage Disaster Program (LFP), Livestock Indemnity Program (LIP), and SURE. For 2009 and subsequent program years, no person or legal entity, excluding joint ventures and general partnerships may receive, directly or indirectly, more than \$100,000 total per program year under ELAP, LFP, LIP and SURE. Producers or legal entities whose average adjusted gross income (AGI) exceeds \$2.5 million in crop year 2008 shall not be eligible for benefit payments unless 75 percent or more of the income is from agriculture. For 2009 and subsequent years, the average AGI income cap changes to \$500,000 of non-farm income, with no on-farm income cap. SURE assistance will be provided to an eligible producer

in the amount equal to 60 percent of the difference between the SURE Guarantee and the total farm revenue. The SURE guarantee for the farm cannot be greater than 90 percent of the total of the normal production of the farm. There are specific eligibility criteria a producer must meet before becoming eligible for assistance. To be eligible, a producer (for all of the farming operation's crops that are planted or intended nationwide) must have obtained a policy or plan of crop insurance such as Catastrophic Risk Protection (CAT) for all insurable crops and/or Non-insured Crop Disaster Assistance Program (NAP) coverage for non-insurable crops that are of economic significance. However, statute does not require coverage for grazed crops for the SURE program. Sales closing dates for insurance and application closing dates for NAP have passed for the 2008 crop year for all insurable and non-insurable crops. A waiver was authorized in Public Law 110-246 to allow producers to pay within 90 calendar days of the enactment, a buy-in-fee to be eligible for Supplemental Agricultural Disaster Assistance for crops for which the producer did not obtain crop insurance or NAP coverage for 2008. The administrative service fee is equal to the lesser of \$100 per crop per county, or \$300 per producer per county, not to exceed \$900 per multi-county producer. The final date for the buy-in fee was September 16, 2008. The American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5, authorized an additional waiver which allows producers another opportunity to pay a buy-in-fee for 2008 Supplemental Agricultural Disaster Assistance. The buy-in fee must be paid within 90 calendar days of the enactment of ARRA. The buy-in fee is \$100 per crop, but not more than \$300 per producer per administrative county, or \$900 total per producer for all counties less any previously paid fees for NAP relief and other buy-in. Producers must buy-in for all non-insurable and insurable crops that are not already covered by NAP, crop insurance, or meet the previous waivers. The fee is nonrefundable and due at the time a producer files FSA-752 and/or FSA-753. Crop insurance and NAP coverage are not a requirement if the producer is considered a Socially Disadvantaged, Limited Resource, or Beginning Farmer or Rancher.

**Applicant Eligibility:**

An eligible applicant or eligible "producer on a farm", is an individual or entity who assumes the production and market risks associated with the agricultural production of crops or livestock. An individual or entity is a citizen of the United States (U.S.), a resident alien, or a partnership of citizens of the U.S.

**Beneficiary Eligibility:**

The SURE program will provide financial assistance to an eligible producer on a farm who has insurable or noninsurable commodity or agricultural commodity (except livestock) for which the producer on a farm is eligible to obtain a policy or plan of insurance. Benefits are also extended to the Socially Disadvantaged Farmer or Rancher who has been subject to racial or ethnic prejudice because of his or her identity as members of a group without regard to their individual qualities; a beginning farmer or rancher who has not operated a farm or ranch for more than 10 years and materially and substantially participates in the operation; and limited resource producer with direct or indirect gross farm sales not more than \$100,000 in both of the previous two years, adjusted upwards for any general inflation since fiscal year 2004, and if the total household income is at or below the national poverty level for a family of four or less than 50 percent of county median household income in both of the previous two years.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An eligible producer must provide a total crop acreage report (FSA-578) including crops on cropland and non-cropland in all counties that the producer has interest. The total farm acreage report includes native and improved grass that will be hayed or grazed, all grazing land and uninsurable land by either crop insurance or NAP coverage and file an AD-1026.

**Award Procedure:**

The applicant will submit the required forms to applicants local FSA office. Applications will be reviewed and the award will be distributed based on 60 percent of the difference of the SURE guarantee and total farm revenue calculation. Total farm revenue include estimated crop value, crop insurance indemnities, NAP payments, Market Assistance Loan proceeds, other disaster payments, DCP payments (15% of direct payments, plus all Counter-Cyclical and ACRE payments). To assist farmers and ranches in evaluating their options with SURE, USDA has created a SURE calculator. To utilize the calculator, visit the website [www.fsa.usda.gov](http://www.fsa.usda.gov). The calculator and instructions linked on the FSA website are for informational purposes only. This calculator in no way binds FSA to potential payments under SURE and should not be relied on as the sole source of information to make final management decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

From 60 to 90 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

12-5591-0-2-351 - Recovery Act SURE; 12-5531-0-2-351.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$149,923,518; FY 12 est \$0; and FY 13 est \$0 - No Recovery Act SURE funding can be obligated beyond FY 2010, but there was an obligation adjustment in FY 2011. This is a new program, so there was no funding in FY 2008 and 2009. (Direct Payments for Specified Use) FY 11 \$760,730,071; FY 12 est \$985,095,000; and FY 13 est \$1,372,000,000 - Regular SURE Payments.

**Range and Average of Financial Assistance:**

This is a new program. Range and average of financial assistance can not be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Steve Peterson, USDA, Deputy Administrator for Farm Programs, Production, Emergencies, and Compliance Division, Disaster Assistance Branch, 14th and Independence Ave SW, Stop 0517, Washington, District of Columbia 20250  
Email: [Steve.Peterson@wdc.usda.gov](mailto:Steve.Peterson@wdc.usda.gov) Phone: (202) 720-5172 Fax: (202) 720-0051.

**Website Address:**

<http://www.fsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.091 EMERGENCY ASSISTANCE FOR LIVESTOCK, HONEYBEES, AND FARM-RAISED FISH PROGRAM**

(ELAP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Trade Act of 1974, Public Law 93-618, 19 U.S.C 2947a.

**OBJECTIVES:**

The objective of ELAP is to provide emergency assistance to eligible producers of livestock, honeybees, and farm-raised fish who have losses due to disease, adverse weather, or other conditions, including losses due to blizzards and wildfires, as determined by the Secretary of Agriculture (Secretary). Assistance is provided from the Trust Fund established under Public Law 110-246. ELAP assistance is for losses not covered under other Supplemental Agricultural Disaster Assistance Payment programs specifically Livestock Forage Program (LFP), Livestock Indemnity Program (LIP), and the Supplemental Assistance Program (SURE). ELAP is authorized for fiscal years 2008 through September 30, 2011.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

ELAP covers losses occurring on or after January 1, 2008 and before October 1, 2011. Public Law 110-246, Sections 12033 and 15101, authorized the Secretary to provide payments to producers of livestock, honeybees, and farm-raised fish to aid in the reduction of losses due to disease, adverse weather, or other conditions such as blizzards and wildfires. ELAP also covers some species, loss conditions, and losses that are not eligible for other disaster assistance programs, including colony collapse disorder and wildfires on non-Federal land. Assistance will be granted only to eligible livestock, honeybee, and farm-raised producers. ELAP benefits, compensation, or relief will be strictly used to compensate eligible losses. The Secretary has the authority to use up to \$50 million per year from the Trust Fund to provide emergency relief to eligible producers. For program year 2008, no person may receive more than \$100,000 total in payments under ELAP, LFP, LIP, SURE, combined. For 2009 and subsequent program years, no person or legal entity may receive directly or indirectly, more than \$100,000 total in payments under ELAP, LFP, LIP, and SURE combined.

**Applicant Eligibility:**

To be considered an eligible applicant, the participant must be a producer or contract grower of livestock, honeybee, or farm-raised fish that meet the requirements to receive ELAP payments.

**Beneficiary Eligibility:**

Eligible producers of livestock, honeybees, and farm-raised fish will receive the ultimate benefits from ELAP. An eligible producer of livestock is an owner that provides the pastureland or grazing land. An eligible producer of honey bee's mean all bees and beehives in all counties are intended to be harvested for a honey crop. An eligible producer of farm-raised fish means any aquatic species that is propagated and reared in a controlled environment.

**Credentials/Documentation:**

Risk Management Purchase Requirement (RMPR)

For every commodity on every farm in which the producer has an interest for the relevant program year, the producer must obtain catastrophic coverage (CAT) or better under a policy or plan of insurance administered under the Federal Crop Insurance Act (FCIA). In the case of non-insurable commodity, the producer must obtain the Noninsured Crop Disaster Assistance Program (NAP) coverage by filing the required paperwork and paying the administrative fee by the applicable state application closing date, except this requirement will

not include forage on grazing land.

Due to the lateness of P.L. 110-246, producers were allowed to "buy-in" to the ELAP for 2008 by paying fees equivalent to the NAP service fee or CAT fee by September 16, 2008. If a producer who is otherwise ineligible because of the purchase requirement and did not meet the buy-in deadline of September 16, 2008, still may be eligible for ELAP if the producer paid the applicable fee no later than May 18, 2009.

For 2009, the RMPR was waived for insurable crops where sales closing dates for crop insurance coverage occurred before August 14, 2008, if the buy-in fee was paid by January 12, 2009. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Producers are required to obtain CAT or NAP coverage prior to applying for ELAP benefits. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for ELAP, the participant that suffered eligible livestock, honeybee, or farm-raised fish losses must submit the FSA administrative county office that maintains the participant's farm records the following:

1. A Notice of Loss for calendar years 2008 and 2009 must be provided no later than May 5, 2010 and for subsequent year losses, the producer must provide a notice of loss to FSA the earlier of 30 calendar days of when the loss is apparent to the producer or 30 calendar days after the end of the calendar year in which the loss occurred.
2. A complete application for payment no later than May 5, 2010 for calendar years 2008 and 2009 and for subsequent crop years, January 30, after the year in which the loss occurred.

**Award Procedure:**

Livestock payment calculations will be based on losses for no more than 90 days during the calendar year. ELAP payments for feed losses will be based on 60 percent of the producers actual cost for livestock feed, that was purchased or mechanically harvested for forage or feedstuffs; the additional cost incurred for providing or transporting livestock feed or to purchase additional livestock feed above normal to maintain the eligible livestock due to an eligible adverse weather or eligible loss condition. Grazing losses will be calculated based on 60 percent of the lesser of the total value of the feed cost for all covered livestock based on the number of days grazing was lost, not to exceed 90 days of daily feed cost for all covered livestock or the total value of grazing lost for all eligible livestock based on the normal carrying capacity of the eligible grazing land. Livestock death losses will be calculated by multiplying the national payment rate for each livestock category times the number of eligible livestock that died in each category as a result of an eligible loss condition in excess of normal mortality.

ELAP payments for honeybee losses will be based on 60 percent of the actual cost of honeybee feed that was damaged or destroyed and intended as feed for an eligible honeybee colony. Payments for honeybee colony losses will be based on 60 percent of the average fair market value of the honey bee colonies in the year in which the loss occurred times the number of honey bee colonies that were damaged or destroyed. Payments for honeybee hive losses will be based on 60 percent of the average fair market value of the honey bee hives in the year in which the loss occurred, times the number of honey bee hives that were damaged or destroyed due to an eligible adverse weather or eligible loss condition.

ELAP payments for eligible farm-raised fish feed losses are based on 60 percent of the actual cost of purchased or harvested feed that was intended as feed for eligible farm-raised fish and was damaged because of an eligible adverse weather or loss condition in the calendar year in which the loss occurred. Payments for farm-raised fish death losses will be based on 60 percent of the State's average fair market value of the bait or game fish times the

number of bait or game fish lost due to an eligible adverse weather or loss condition.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeal regulations set forth at parts 11 and 780 of 7CFR.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions place on the time permitted to spend the money awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

The producer or any other legal entity or person who provides information enabling a producer to receive payments must maintain any books, records and accounts supporting the information for three years following the end of the year during which the request for payment was submitted and allow authorized representatives of USDA and the U.S. Government Accountability Office during regular business hours, to inspect, examine, and make copies of such books or records, and to enter the farm and to inspect and verify all applicable acreage in which the producer has an interest for the purpose of confirming the accuracy of information provided by or for the producer.

**Account Identification:**

12-5531-0-2-351.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$8,420,914; FY 12 est \$20,000,000; and FY 13 est \$0 - Supplemental Agricultural Disaster Assistance is only effective for losses incurred as the result of a disaster, adverse weather, or other environmental conditions that occurred on or before September 30, 2011.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7CFR Part 760

Federal Register Vol 74, No. 175, dated September 11, 2009

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Amy Mitchell, USDA, FSA, Production, Emergencies, & Compliance Division, 1400 Independence Ave SW Stop 0517, Washington, District of Columbia 20250 Email: Amy.Mitchell1@wdc.usda.gov Phone: (202) 720-8954 Fax: (202) 690-2130.

**Website Address:**

<http://www.fsa.gov>

**RELATED PROGRAMS:**

10.088 Livestock Indemnity Program; 10.089 Livestock Forage Disaster Program; 10.090 Supplemental Revenue Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**



Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **10.092 TREE ASSISTANCE PROGRAM**

(TAP)

##### **FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

##### **AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008 (2008 Farm Bill), Title XII, Part A, Section 12033 and 15101, Public Law 110-246, 7 U.S.C 1501; The American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5.

##### **OBJECTIVES:**

The Tree Assistance Program (TAP) provides financial assistance to qualifying orchardists and nursery tree growers to replant or rehabilitate eligible trees, bushes and vines affected by natural disasters and suffered mortality losses in excess of 15 percent, after adjustment for normal mortality occurring on or after January 1, 2008, and before October 1, 2011. TAP was authorized by the 2008 Farm Bill and is funded through the Agricultural Disaster Relief Trust Fund under Section 902 of the Trade Act of 1974.

##### **TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

##### **USES AND USE RESTRICTIONS:**

Assistance will be provided for eligible trees, bushes, and vines from which an annual crop is produced for commercial purposes. Nursery trees include ornamental, fruit, nut and Christmas trees produced for commercial sale. Trees used for pulp or timber are ineligible.

##### **Applicant Eligibility:**

An eligible applicant is an orchardist or a nursery tree grower who has planted trees for commercial purposes but lost the trees as a direct result of a natural disaster. The term "tree" includes a tree, bush, and vine. An eligible orchardist is a person who produces annual crops from trees for commercial use. An eligible nursery tree grower is a person who produces nursery, ornamental fruit, nut or Christmas trees for commercial sale.

##### **Beneficiary Eligibility:**

Beneficiary eligibility will be provided to an owner who has trees, bushes or vines lost by a natural disaster who suffer qualifying losses in excess of 15 percent (adjusted for normal mortality) from an eligible natural disaster for the individual stand; must have owned the eligible trees, bushes and vines when the natural disaster occurred; however, eligible growers are not required to own the land on which eligible trees, bushes and vines are planted; and must replace eligible trees, bushes and vines within 12 months from the date the application is approved.

##### **Credentials/Documentation:**

In general, orchardists and nursery tree growers must have obtained a policy or plan of insurance for all their insurable or NAP eligible crops through either Federal Crop Insurance Act or FSA's Non-insured Crop Disaster Assistance Program (NAP). Eligible producers who meet the definition of "Socially Disadvantaged", "Limited Resource", or "Beginning Farmer or Rancher" do not have to meet this requirement. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For 2009 through 2011 TAP payment limitations, no person or legal entity may receive, directly or indirectly, more than \$100,000 per program year. For 2008, payments are limited per "person" according to payment limitations rules in effect for 2008. For cumulative total quantity of acres planted to trees, bushes, or vines where a producer may receive TAP payments for losses occurring

between January 1, 2008 and September 30, 2011, cannot exceed 500 acres. The Adjusted Gross Income (AGI) limitations for 2009 and subsequent program years for producers or legal entities whose average non farm AGI exceeds \$500,000 are not eligible and for the 2008 program year, producers are not eligible if their average AGI is \$2.5 million or greater, unless 75% or more of their AGI is from agriculture.

In order for a participant to obtain a TAP payment, the eligible applicant must (1) File an application (FSA-899) at the FSA administrative county office that maintains the applicants farm records for the agricultural operation, within the applicable sign-up deadline. A complete application includes, a completed Form FSA-899; certification that Risk Management Purchase Requirement has been met on all crops on the farm; must have an acreage report for the farming operation; a written estimate of the number of trees, bushes, or vines lost or damaged is certified by the producer or a qualified expert, including the number of acres on which the loss occurred; and sufficient evidence of the loss to allow the county FSA committee to calculate whether an eligible loss occurred. (2) FSA staff will make a field visit and validate which practices are appropriate to address the losses. After verification, FSA will inform the producer of the approved eligible practices and estimated payment. Additional information may be requested to assist FSA representative in making its determination. (3) Applicant must complete the approved practices within 12 months of FSA approval. Payments will be made after all practices are completed on the stand. Producers that suffer multiple losses during the calendar year may file multiple applications for payment.

##### **Award Procedure:**

For tree, bush or vine replacement including replanting and the cost of seedlings, the payment calculation is the lesser of the following:

- 1) 70% of the actual cost of the practice, or
- 2) the amount calculated for each practice using the established rates.
- 3) For salvaging existing trees, bushes, or vines, including the cost of pruning, removal, or other costs, the payment calculation is the lesser of the following: 50% of the actual cost of the practice, or the amount calculated for each practice using the established rates.

##### **Deadlines:**

May 10, 2010 to Jul 06, 2010 orchardists and nursery tree growers may apply to receive TAP benefits at local FSA county offices beginning May 10, 2010. For losses suffered during calendar year 2008 and 2009 and for losses suffered January 01 2010 through May 7, 2010, applications and supporting documentation must be submitted by July 6, 2010. For those losses that occur after May 7, 2010, applications and supporting documentation must be submitted within 90 days from either the date of the disaster or when the disaster becomes apparent to the producer.

##### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

The orchardist or nursery tree grower must replace eligible trees, bushes and vines within 12 months from the date the application is approved. Payment is made by check or direct deposit after determining applicant eligibility. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

Not Applicable.

##### **Audits:**

No audits are required for this program.

**Records:**

Applicants receiving assistance for TAP shall maintain and retain financial books and records which will permit verification of all transactions for at least 3 years, following the end of the calendar year in which assistance was provided.

**Account Identification:**

12-5531-0-2-351 - The Agricultural Disaster Relief Trust Fund.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$12,979,842; FY 12 est \$5,000,000; and FY 13 est \$0 - Supplemental Agricultural Disaster Assistance is only effective for losses incurred as the result of a disaster, adverse weather, or other environmental conditions that occurred on or before September 30, 2011.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through press releases, news media, and newsletters.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lenior J. Simmons, USDA, DAFP, PECD, GRS, 1400 Independence Ave SW Stop 0517, Washington, District of Columbia 20250 Email: Lenior.Simmons@wdc.usda.gov Phone: (202) 720-9070.

**Website Address:**

www.fsa.usda.gov/tap

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.093 VOLUNTARY PUBLIC ACCESS AND HABITAT INCENTIVE PROGRAM**

(VPA-HIP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food Security Act of 1985, Public Law 99-198, 15 U.S.C 714b and 714c.

**OBJECTIVES:**

The primary objective of the VPA-HIP is to encourage owners and operators of privately-held farm, ranch, and forest land to voluntarily make that land available for access by the public for wildlife-dependent recreation, including hunting or fishing, under programs implemented by state or tribal governments.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The funding provided by the VPA-HIP will help states and tribal governments address many issues that can greatly increase access and recreational experiences. Grant recipients will be able to use the funding to provide higher rental payments, provide technical and conservation services to landowners, and increase acreage enrolled for public access. Twenty-six states have public access programs for hunting, fishing, and other related activities. These programs provide rental payments and other incentives, such as technical or conservation services to landowners who allow the public to hunt, fish, or otherwise appropriately recreate on their land. Section 726 of the Consolidated and Further Continuing Appropriations Act, 2012, effectively ended any new obligations, or modifications to existing obligations, under VPA-HIP. Only

states and tribal governments are eligible for VPA-HIP grant.

**Applicant Eligibility:**

Only States and Tribal governments are eligible for VPA-HIP. An eligible State government means any State or local government, including State, city, town, or county government. An eligible Tribal Government means any Federally-recognized Indian tribe, band, nation, or other organized group, or community, including pueblos, rancherias, colonies and any Alaska Native Village, or regional or village corporation as defined in or establish pursuant to the Alaska Native Claims Settlement Act (43 U.S.C 1601-1629H), which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**Beneficiary Eligibility:**

The beneficiary eligibility is extended to the public for the purposes of expanding existing public access programs or create new public access programs or provide incentives to improve habitat on enrolled program lands. Proposals for grant money should be submitted to the local State or Tribal governments by owners and operators of privately-held farm, ranch, and forest land. An eligible owner is one who has legal ownership of farmland. An eligible operator (individual, entity, or joint operation) who is determined by the FSA county committee to be in control of the farming operations on the farm. For the purposes of receiving grant money, an appropriate wildlife habitat should be suitable or proper, as determined by the applicable State or tribal government, to support fish and wildlife populations in the area. A eligible farmland or ranch land means the sum of the Direct and Counter-Cyclical (DCP) cropland, forest, acreage planted to an eligible crop acreage and other land on the farm. Eligible forest land is at least 120 feet wide and one acre in size with at least 10 percent cover (or equivalent stocking) by live trees of any size, including land that formerly had such tree cover and that will be naturally or artificially regenerated. Forest land includes transition zones, such as areas between forest and nonforest lands that have at least 10 percent cover (or equivalent stocking) with live trees and forest areas adjacent to urban and built-up lands. Roadside, streamside, and shelterbelt strips of trees must have a crown width of at least 120 feet and continuous length of at least 363 feet to qualify as forest land. Unimproved roads and trails, streams, and clearings in forest areas are classified as forest if they are less than 120 feet wide or an acre in size. Tree-covered areas in agricultural production settings, such as fruit orchards, or tree-covered areas in urban settings, such as city parks, are not considered forest land. Eligible privately-held land means farm, ranch, or forest land that is owned or operated by an individual or entity that is not an entity of any government unit or Tribe.

**Credentials/Documentation:**

Funding priority will be given to proposals that will use the grant money in a public access program to address these objectives:

- Maximize participation by landowners;
- Ensure that land enrolled in the program has appropriate wildlife habitat;
- Provide incentives to strengthen wildlife habitat improvement efforts on Conservation Reserve Enhancement Program (CREP) land;
- Supplement funding and services from other federal, state, tribal government

or private resource that is provided in the form of cash or in-kind services; and

Provide information to the public about the location of public access land. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. CCC will issue periodic Request for Applications (RFA) on the federal government grants portal www.grants.gov. Applicants must file an original and one hard copy of the required forms and an application. A State or tribal government must include all proposed activity under a single application per RFA review period. Multiple applications from an applicant during a single RFA period will not be considered. The applicant is the individual State or Tribe; any application form

any unit of the State or tribal government must be coordinated for a single submission of one application from the State or Tribe. Incomplete applications will not be considered for funding. However, incomplete applications may be returned, and may be resubmitted, if time permits. Data furnished by grant applicants will be used to determine eligibility for the VPA-HIP benefits. Furnishing the data is voluntary; however, the failure to provide data could result in program benefits being withheld or denied.

The following forms must be completed, signed, and submitted as part of the application; other forms may be required, as specified in the applicable RFA:

1. Application for Federal Assistance;
2. Budget Information-Non-Construction Programs; and
3. Assurances-Non-Construction Programs.

Each application must contain the following elements; additional required elements may be specified in the applicable RFA:

Title page;

Table of contents;

Executive summary, which includes activities which provide a summary of the application that briefly describes activities proposed to be funded under this grant; objectives, funding, performance which includes the tasks to be accomplished, the amount of funding requested, how the work will be performed, whether organizational staff, consultants or contractors will be used, and whether other resources will be used.

**Award Procedure:**

Grants will awarded through a competitive RFA process. Before receiving grant funding, the grantee will be required to sign an agreement similar in form and substance to the form of agreement published within or as an appendix to the RFA. The agreement will require the grantee to commit to do all the following:

1. Take all practicable steps to develop continuing sources of financial support from other Federal, State, tribal government, or private resources;
2. Make arrangements for the monitoring and evaluation of the activities related to implementation of the public access program of the owners or operators that enroll farm, ranch, and forest land; and
3. Provide an accounting for the money received by the grantee.

The grantee will be required to monitor funds or services as specified and must agree to that monitoring before grant funds are awarded. The grantee must also certify that the grant funds and services will not be used for ineligible purposes.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals will be handled according to 7 CFR parts 11 and 780.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Section 726 of the Consolidated and Further Continuing Appropriations Act, 2012, effectively ended any new obligations, or modifications to existing obligations, under VPA-HIP. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Grantees must provide to FSA a Financial Status Report listing expenditures according to agreed upon budget categories on a periodic basis as specified in the grant document. Annual performance reports that compare accomplishments to the objectives stated in the application that also

identify all tasks completed to date and provide documentation supporting the reported results, if the original schedule provided in the work plan is not being met, the report must discuss the problems or delays that may affect completion of the project, and list objectives for the next reporting period, and discuss compliance with any special conditions on the use of award funds. CCC will incorporate performance criteria in grant award documentation and will regularly evaluate the progress and performance of grant awardees. Final project performance reports are due within 90 days of the completion of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must comply with the audit requirements of 7 CFR part 3052.

**Records:**

No Data Available.

**Account Identification:**

12-4336-0-3-336.

**Obligations:**

(Project Grants) FY 11 \$17,833,000; FY 12 est \$0; and FY 13 est \$0 - Section 726 of the Consolidated and Further Continuing Appropriations Act, 2012, effectively ended any new obligations, or modifications to existing obligations, under VPA-HIP in Fiscal Year FY 2012- There is no authority for the program after FY 2012.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, Uniform Federal Assistance Regulations; 7 CFR Part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 7 CFR Part 3017, Government wide Debarment and Suspension (non procurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3052, Audits of States, Local Governments and Non-profit Organizations

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

David Hoge 1400 Independence Ave. SW, Washington, District of Columbia 20250 Email: David.Hoge@wdc.usda.gov Phone: 202-720-7674

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Incomplete applications will not be evaluated. All applications will be evaluated using the evaluation criteria and scored in accordance with the RFA. All eligible applicants will be ranked in order and a list will be provided to the FSA Deputy Administrator along with funding level recommendations.

**10.095 DURUM WHEAT QUALITY PROGRAM**

(DWQP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation, and Energy Act of 2008 (2008 Farm Bill), Title I, Part F, Section 1613, Public Law 110-246, 7 U.S.C 8788.

**OBJECTIVES:**

The Durum Wheat Quality Program (DWQP) compensates producers of durum wheat for up to 50 percent of the actual cost of fungicide applied to control Fusarium head blight (FHB), commonly known as wheat scab, for fiscal years (FY) 2009 through 2012, subject to availability of funding.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

The assistance will be used to compensate producers of durum wheat. Cost share assistance will be used to compensate producers for 50 percent of their share of both the purchase price of an eligible fungicide and the cost of applying the eligible fungicide to durum wheat acres.

**Applicant Eligibility:**

To be considered an eligible producer for DWQP, the producer must have a share in the treated durum wheat crop planted on eligible acres, have a share in the cost of either or both of purchasing an eligible fungicide or applying an eligible fungicide to eligible acres.

An eligible fungicide for DWQP must be registered with EPA, as required under the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), unless exempt from FIFRA requirements, compliant with pesticide regulations in the State in which benefits are being requested, and used specifically for one fungicide treatment in the applicable crop year, to control FHB on eligible acres.

An eligible acre for DWQP must be planted to durum wheat and treated with an eligible fungicide, to specifically control FHB and applied during the flowering stage, the period of time during the wheat growth stage after the head emergence has completed and before milk development in the kernel.

**Beneficiary Eligibility:**

Subject to available funding, eligible producers of durum wheat will be partially compensated for the cost of purchasing and applying fungicides to a crop of durum wheat to control Fusarium head blight on acres accurately certified as planted to durum wheat.

**Credentials/Documentation:**

Documentation for Payment

To apply for DWQP benefits, producers shall file the following forms in their administrative County Office:

CCC-551 Durum Wheat Quality Program Application

FSA-578 Report of Acreage

AD-1026 Highly Erodible Land Conservation and Wetland Conservation Certification

Documentation of Fungicide Purchasing Cost

To qualify for DWQP cost share assistance, the producer must provide verifiable documentation of the producer's actual fungicide cost, excluding application cost, for purchasing the eligible fungicide claimed on CCC-551 used to control FHB, for the applicable year. The following types of documentation are under consideration as acceptable proof of fungicide purchases:

- 1) original commercial sales and purchase receipts for an eligible fungicide
- 2) original invoices from licensed custom applicators that explicitly specify the cost of an eligible fungicide.

All supporting documentation must be completed by the participant and on file in the County Office before CCC-551 may be approved. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Farm Service Agency (FSA) County Office Committee (COC) must act on all completed and signed applications.

**Deadlines:**

Jul 21, 2010 to Sep 15, 2010 Signup periods for subsequent years will be announced as funding becomes available and will always end on September 15 of the applicable crop year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeal regulations set forth at parts 11 and 780 of 7CFR apply to determinations made under DWQP.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no restrictions placed on the time permitted to spend the money awarded. Payments will not be made for claims for a particular crop year until after the application deadline, which is September 15 of that crop year, for the crop for which payment for the fungicide application is sought and only if funds are made available through an appropriation. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

The producer or any other legal entity or person who provides information enabling a producer to receive payments must maintain any books, records and accounts supporting the information for three years following the end of the year during which the request for payment was submitted and allow authorized representatives of USDA and the U.S. Government Accountability Office during regular business hours, to inspect, examine, and make copies of such books or records, and to enter the farm and to inspect and verify all applicable acreage in which the producer has an interest for the purpose of confirming the accuracy of information provided by or for the producer.

**Account Identification:**

12-2701-0-1-351.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - New Program in FY 2010. The program is not funded in FY 2011, FY 2012, and FY 2013.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1413

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Amy Mitchell, USDA, FSA, Production, Emergencies, & Compliance Division, 1400 Independence Ave SW Stop 0517, Washington, District of Columbia 20250 Email: Amy.Mitchell1@wdc.usda.gov Phone: (202) 720-8954 Fax:

(202) 690-2130.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.099 CONSERVATION LOANS**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Consolidated Farm and Rural Development Act, Title XIV, Part A, Section 304, 7 U.S.C 1924.

**OBJECTIVES:**

Conservation Loan (CL) program is to provide access to credit for farmers who need and want to implement conservation measures on their land but do not have the up front funds available to implement these practices. Unlike FSAs traditional farm ownership and operating loan programs that are targeted toward smaller and less financially established farmers, eligibility requirements for the CL program are expanded to permit FSA to provide assistance to some applicants who may be large and financially strong.

**TYPES OF ASSISTANCE:**

Direct Loans; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

CL funds can be used to implement a conservation practice approved by the Natural Resources and Conservation Service (NRCS), such as reducing soil erosion, improving water quality, promoting sustainable and organic agricultural practices. Specific conservation practices include: installation of conservation structures, establishment of forest cover, installation of water conservation measures, establishment or improvement of permanent pastures, transitioning to organic production, manure management, including manure digestion systems, adaptation of other emerging or existing conservation practices, techniques or technologies.

**Applicant Eligibility:**

An applicant must (1) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on more than three occasions prior to April 4, 1996 to receive a guaranteed loan, and for a direct loan, must not have received debt forgiveness from the Agency on any direct or guaranteed loan; (2) be a U.S. citizen, non-citizen national or qualified alien; (3) possess the legal capacity to incur the obligations of the loan; (4) for a direct loan, have the necessary education and/or experience, training, and managerial ability to operate a farm; and (5) for a direct loan, fulfill the Agency's borrower training requirements. If the applicant is an entity, it must be controlled by farmers engaged primarily and directly in farming in the U.S., after the loan is made. Unlike other Agency loan programs, Conservation Loans are not limited to applicants who are unable to obtain sufficient credit from other sources at reasonable rates and terms or to those who are the owner or operator of a not larger than family size farm. However, the applicant's operation must realistically project the ability to repay the loan.

**Beneficiary Eligibility:**

Applicants are the direct beneficiaries and must meet the applicant eligibility requirements. Families, individual, and entities who are farmers are the beneficiaries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The following forms must be submitted by applicants:

For Direct Loans

FSA-2001 Request for Direct Loan Assistance

Must be submitted with supporting information at the applicant's local FSA county office.

For Loan Guarantees

FSA-2211 Application for Guarantee or FSA-2212 Preferred Lender

Application for Guarantee

Must be submitted with supporting information with the prospective lender

Applicants for direct and guaranteed loans must provide an approved NRCS conservation plan that includes the conservation measure for which loan funds are requested.

**Award Procedure:**

Certification as to eligibility is made by the authorized agency official and an approval determination is made by the authorized agency official based on loan feasibility, soundness, and adequate security.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The loan approval official approves or disapproves a completed application. The average approval time for direct loans is 30 days and 10 days for guaranteed loans.

**Appeals:**

Applicants for direct and guaranteed loans may appeal an adverse decision. The applicant is given an opportunity to appeal the decision to the National Appeals Division. The applicant may in the final step of the appeal process ask for a review of the decision by the Director of the National Appeals Division in Washington, DC.

**Renewals:**

Applicants may reapply at any time. Applicants denied assistance through the appeal process must establish that substantial change has occurred since the denial decision.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. The selected criteria identify essential elements considered necessary to compare the needs of the various States, and to make the best use of available program funds.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans are scheduled for repayment over periods up to 20 years depending on the type of security available. The interest rate for guaranteed loans is negotiated between the lender and borrower. The interest rate for direct loans is determined by the Secretary of Agriculture. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-4213-0-3-351 - Guaranteed Loans Financing Account; 12-1140-0-1-351;

12-4212-0-3-351 - Direct Loans Financing Account.

**Obligations:**

(Direct Loans) FY 11 \$11,146,000; FY 12 est \$0; and FY 13 est \$0 - Actual

Direct Conservation loans made in FY 2011 were 156 and totaling \$11,146,000.

FY 2012 Estimated funding for Direct Conservation loans \$00- None Appropriated.

FY 2013 None requested in the President's Budget. (Guaranteed/Insured Loans) FY 11 \$550,000; FY 12 est \$150,000,000; and FY 13 est \$150,000,000 - Actual Guaranteed Conservation loans made in FY 2011 were 2 and totaling \$550,000.

FY 2012 Estimated funding for Guaranteed Conservation loans \$150,000,000. FY 2013 Estimated funding for Guaranteed Conservation loans \$150,000,000.

**Range and Average of Financial Assistance:**

Maximum indebtedness for direct loans, combined; farm ownership, conservation, soil and water, and recreation \$300,000. Maximum indebtedness for guaranteed loans combined: farm ownership, conservation, and soil and water loan indebtedness of \$1,214,000 (for FY 2012, amount adjusted annually for inflation). Estimated range and average of financial assistance is non applicable for FY 2010. New Program being implemented beginning October 1, 2010.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 762 and 764  
FSA Handbooks 2-FLP and 3-FLP  
FSA Fact Sheets

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate FSA State Office listed in Appendix IV of the Catalog.  
(What catalog).

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
bob.bonnet@wdc.usda.gov Phone: (202) 720-1657 Fax: (202) 690-1117

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.102 EMERGENCY FOREST RESTORATION PROGRAM**

(EFRP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Title VIII, Section 8203, Public Law 110-246, 122 Stat. 2051, 16 U.S.C 2201-2206; Consolidated and Further Continuing Appropriations Act, 2012 Division A

, Title VII, Section 735, Public Law 112-55, 125 Stat. 588.

**OBJECTIVES:**

The object of EFRP is to make financial assistance available to eligible participants on eligible land for certain practices to restore nonindustrial private forest land that has been damaged by a natural disaster. The financial assistance will be cost share payments to assist an EFRP participant to

establish practices required to address qualifying damage suffered in connection with a qualifying disaster.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Subject to the availability of funds the Farm Service Agency (FSA) will provide cost share payments to owners of nonindustrial private forest land who carry out emergency measures to restore land damaged by a natural disaster on or after January 1, 201, as determined by FSA.

**Applicant Eligibility:**

To be eligible to participate in EFRP, a person or legal entity must be an owner of nonindustrial private forest land affected by a natural disaster, and must be liable for or have the expense that is the subject of the financial assistance. The owner must be a person or legal entity (including Indian tribes) with full decision-making authority over the land, as determined by FSA, or with such waivers as may be needed from lenders or others as may be required, to undertake program commitments. Federal agencies and States, including all agencies and political subdivisions of a State, are ineligible for EFRP. For land to be eligible, it must be nonindustrial private forest land and must, as determined by FSA. The land must have existing tree cover or have had tree cover immediately before the natural disaster and be suitable for growing trees, have damage to natural resources caused by a natural disaster, which occurred on or after January 1, 2010, that, if not treated, would impair or endanger the natural resources on the land and would materially affect future use of the land. The land must be physically located in a county in which EFRP has been implemented and is ineligible for EFRP if FSA determines that the land is owned or controlled by the United States, or owned or controlled by States, including State agencies or political subdivisions of a State. A qualifying natural disaster means wildfires, hurricanes or excessive winds, drought, ice storms or blizzards, floods, or other naturally-occurring resource impacting events as determined by FSA. For EFRP, a natural disaster also includes insect or disease infestations as determined by FSA in consultation with other Federal and State agencies as appropriate.

**Beneficiary Eligibility:**

The owners of nonindustrial private forest land will receive the ultimate benefit.

**Credentials/Documentation:**

After completion of the approved practice, the participant must certify completion and request payment by the payment request deadline. FSA will provide the participant with a form or another manner to be used to request payment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Participants who perform practices shall be responsible for obtaining the authorities, permits, rights, easements, or other approvals necessary to the performance and maintenance of the practices according to applicable laws and regulations. The EFRP participant shall be wholly responsible for any actions taken with respect to the project and shall, in addition, be responsible for returning and refunding any EFRP cost shares made, where the purpose of the project cannot be accomplished because of the applicants' lack of clearances or other problems.

Cost share assistance is dependent upon the availability of funds and the performance of the practice. An eligible applicant must certify and provide proof of completion of the practice. The eligible participant shall submit all information to their local FSA county office.

The enrollment period for submitting EFRP cost-share requests will be accepted after the announced enrollment period.

**Award Procedure:**

FSA will establish the minimum qualifying cost of restoration, which may vary by State or region. Participants are not eligible to receive funding under EFRP for land on which FSA determines that the participant has or will receive funding for the same or similar expenses under:

The Emergency Conservation Program  
 The Wetland Reserve Program  
 The Emergency Wetland Reserve Program  
 The Emergency Watershed Protection Program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

An on site inspection must be made before approval of any request for EFRP assistance.

The on site inspection may be waived by FSA, in its discretion only, where damage is so severe that an on site inspection is unnecessary as determined by FSA.

The time limits for submission of information shall be determined by the Deputy Administrator. The payment request deadline for each EFRP practice will be provided in the agreement after the application is approved. Time limits may be extended where failure to submit required information within the applicable time limits is due to reasons beyond the control of the participant.

**Appeals:**

Determinations may be appealed in accordance with the administrative appeal regulations at parts 11 and 780 of 7 CFR .

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
 Matching requirements are not applicable to this program.  
 MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

For the purposes of EFRP, no receipt, invoice, or other record is required to be retained by any agricultural producer as evidence tending to show performance of a practice needs to be retained by such producer more than two years following the close of the program year of the program.

**Account Identification:**

12-0171-0-1-453.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$2,225,787; FY 12 est \$40,174,000; and FY 13 est \$4,000,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 701 Provides the terms, conditions and requirements of EFRP.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

James Michaels 1400 Independence Ave. SW, Washington, District of Columbia 20250 Email: james.michaels@wdc.usda.gov Phone: 202-690-0794

Fax: 202-720-4619

**Website Address:**

http://www.fsa.gov

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.141 DAIRY PRODUCT PRICE SUPPORT PROGRAM**

DPPSP formerly known as the Milk Price Support Program (MPSP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation, and Energy Act of 2008, Title 1, Part E, Section 1501, Public Law 110-246, 7 U.S.C 8771.

**OBJECTIVES:**

The purpose of DPPSP is to establish minimum purchase prices to support the price of nonfat dry milk (NDM), butter, and cheddar cheese through purchases of such products made from cows milk produced in the United States (U.S.). The Secretary of Agriculture (Secretary) may increase the purchase prices when it is considered to be appropriate. However to avoid excess inventory the minimum purchase prices can only be temporarily adjusted downward as outline in P.L. 110-246. P.L. 110-246 reauthorized MPSP as DPPSP beginning January 1, 2008 through December 31, 2012.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

DPPSP provides a safety net for dairy producers.. When butter, NDM or Cheddar Cheese is offered to the Commodity Credit Corporation (CCC), it will purchase the dairy products as long as the products meet CCC's specifications. CCC is authorized to donate food commodities acquired through price support programs to domestic and foreign feeding programs as required by law.

**Applicant Eligibility:**

A potential applicant is an eligible offeror who is authorized to enter into a purchase agreement with CCC. A eligible offeror is a person, firm, cooperation, or other legal entity who is the manufacturer of the dairy product offered or a marketing cooperative for the manufacturer.

The eligible product must not have been sold before to another party and the eligible offeror must be the manufacturer of the dairy product offered or a marketing cooperative for the manufacturer. An eligible product:

- 1) must be manufactured from dairy cow's milk produced in the U.S.;
- 2) purchased only from an eligible offeror;
- 3) must be USDA inspected;
- 4) block cheddar cheese must be U.S. Grade A or higher
- 5) barrel cheese must be U.S. Extra Grade;
- 6) butter must be U.S. Grade A or higher;
- 7) NDM must be U.S. Extra Grade
- 8) CCC may require other terms and conditions of purchase as specified.

**Beneficiary Eligibility:**

Agricultural producers and the general public will receive the ultimate benefits from the program because it provides direct assistance and allows CCC to purchase and deliver commodities to the domestic and foreign feeding distribution programs.

**Credentials/Documentation:**

Vendors will notify the Agricultural Marketing Service (AMS) to check the grade and perform an analysis of the commodities. The eligible offeror submits an offer form (KC-327 Dairy 7A) to the Kansas City Administrative Office (KCAO), Domestic Procurement Division (DPD), Dairy and Multi-Food Branch (DMB) either by fax, mail, or e-mail. DPD shall verify the vendor code and the warehouse availability for eligible products. If the offer is approved,

DPD/DMB will prepare and enter contract transactions into the Web-Based Supply Chain Management (WBSCM) system. An acceptance wire is created and will be approved by the CCC Accepting Official. After approval, the acceptance wire is faxed to the applicable vendor. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Offers, modifications, withdrawals, and cancellations shall be submitted by:

- a) email with an electronic signature,
- b) Facsimile (FAX) to (816) 926-6381; or
- c) Express or regular mail, and/or hand delivered.

Please indicate in the subject line for email or fax "Offer under Purchase Announcement Dairy (applicable number) and the name of the commodity (butter, cheese, or NDM). If you are submitting by mail, please place the notation in the lower-left corner of the envelope.

A prospective offeror shall register in the Central Contractor Registration (CCR) at <http://www.ccr.gov>.

**Award Procedure:**

The date of the contract will be the date of an acceptance offer by CCC. The contract shall consist of the current version of the DPPSP, Purchase Announcement; an Offer; and CCC's acceptance of offer. The contract shall be forwarded to the Office of Budget and Finance (OBF), Financial Services Center, Funds and Commodity Management Office, Invoice Payment Group (Finance Office) in Kansas City. The Finance Office will review the Notice of Delivery (N/D) and other related product delivery information and forward the N/D to the vendor. The vendor will deliver the commodities in accordance to the N/D requirements and submit the invoice package to the Finance Office for payment. The completed invoice package shall include the grading certificate, bill of lading, and invoice or N/D. The Finance Office will enter the invoice into WBSCM. Vendor shall receive an electronic funds transfer (EFT) or paper check.

**Deadlines:**

Jan 01, 2008 to Dec 31, 2012 Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Chapter Agriculture, Part 1430.100, Subpart A-Dairy Product Price Support Program, Public Law 110-246. Not Applicable. Matching Requirements: CCC will offer to purchase products at the following prices for all regions of the United States:

- (1) cheddar cheese in blocks at not less than \$1.13 per pound; unless
- (i) net removals of cheese for a period of 12 consecutive months exceed 200,000,000 pounds, but do not exceed 400,000,000 pounds, then the CCC cheddar cheese in blocks purchase price is not less than \$1.03 per pound, during the immediately following month, or
- (ii) net removals of cheese for a period of 12 consecutive months exceed 400,000,000 pounds, then the CCC cheddar cheese in blocks purchase price is not less than \$0.93 per pound during the immediately following month;

(2) cheddar cheese in barrels at the cheddar cheese block price, less \$0.03 per pound;

(3) butter at not less than \$1.05 per pound; unless

- (i) net removals of butter for a period of 12 consecutive months exceed 450,000,000 pounds, but do not exceed 650,000,000 pounds, then the CCC butter purchase price is not less than \$0.95 per pound during the immediately following month, or
- (ii) net removals of butter for a period of 12 consecutive months exceed 650,000,000 pounds, then the CCC butter purchase price is not less than \$0.85 per pound during the immediately following month;

(4) nonfat dry milk at \$0.80 per pound, unless

- (i) net removals of nonfat dry milk for a period of 12 consecutive months exceed 600,000,000 pounds, but do not exceed 800,000,000 pounds, then the CCC nonfat dry milk purchase price is not less than \$0.75 per pound during the immediately following month, or,
  - (ii) net removals of nonfat dry milk for a period of 12 consecutive months exceed 800,000,000 pounds, then the CCC nonfat dry milk purchase price is not less than \$0.70 per pound during the immediately following month.
- MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Duration of agreement and order. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. CCC will randomly conduct domestic origin compliance reviews to determine if the product, containers, and packaging to CCC was produced and manufactured in the U.S. from materials produced and manufactured in the U.S. CCC may request the eligible to submit documentation to support compliance.

**Records:**

The eligible offer shall maintain records to verify that during the delivery period, at the point of packaging or, at the point of delivery to CCC, the product, containers, and packaging were in compliance with the requirements of the current DPPSP Purchase Announcement.

**Account Identification:**

12-4336-0-1-351.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$12,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No data available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Food, Conservation, and Energy Act of 2008, P.L. 110-246  
7 CFR 1430  
7 USC 8771

DPPSP Purchase Announcement Dairy 7 2010 and Subsequent Years  
FSA Notices and Fact Sheets

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

William A March 1400 Independence Ave SW, Washington, District of Columbia 20250 Email: William.March@wdc.usda.gov Phone: 202-720-4037

**Website Address:**

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

**RELATED PROGRAMS:**

10.080 Milk Income Loss Contract Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.



### 10.153 MARKET NEWS

#### FEDERAL AGENCY:

Agricultural Marketing Service, Department of Agriculture

#### AUTHORIZATION:

Cotton Statistics and Estimates Act, 7 U.S.C. 471- 473, 473b, 475-476; Tobacco Inspection Act, 7 U.S.C. 511h; Agricultural Marketing Act of 1946, 7 U.S.C. 1622k; Tobacco Statistics Act, 7 U.S.C. 501-508; Naval Stores Act, 7 U.S.C. 91-99; Cotton Futures Act, 7 U.S.C. 15b; Peanut Statistics Act, 7 U.S.C. 951-957; Food Security Act of 1985, as amended.

#### OBJECTIVES:

To provide timely and accurate information on prices, demand, movement, volume, and quality on all major U.S. agricultural commodities.

#### TYPES OF ASSISTANCE:

DISSEMINATION OF TECHNICAL INFORMATION

#### USES AND USE RESTRICTIONS:

The information can be used by anyone as a basis for judging prevailing commodity values. Market news information widely distributed through a variety of electronic sources as well as fax and paper copies.

#### Applicant Eligibility:

Any public or private organization, or individual, including those located in the U.S. Territories, may subscribe to existing market news reports or bulletins pertaining to specific agricultural commodities.

#### Beneficiary Eligibility:

Anyone availing themselves of this service.

#### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for Market News should be made to the appropriate commodity division of the AMS field office (see Appendix IV of the Catalog for listing of office locations).

#### Award Procedure:

None.

#### Deadlines:

Not Applicable.

#### Range of Approval/Disapproval Time:

Not Applicable.

#### Appeals:

Not Applicable.

#### Renewals:

Not Applicable.

#### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### Length and Time Phasing of Assistance:

As provided for in subscription. Method of awarding/releasing assistance: quarterly.

#### Reports:

No reports are required.

#### Audits:

No audits are required for this program.

#### Records:

None.

#### Account Identification:

12-2500-0-1-352.

#### Obligations:

(Salaries) FY 11 \$33,698,000; FY 12 est \$32,949,000; and FY 13 est \$32,949,000

#### Range and Average of Financial Assistance:

Not Applicable.

#### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

MB-40, "The Federal- State Market News Services;" MB-41, "Market News Service on Cotton;" MB-61, "The Market News Service on Fruits, Vegetables, Ornamental and Specialty Crops;" MB-44, "The Market News Service on Grain;" MB-63 "Market News Service on Dairy, MB-60 Market News Service and Poultry Products;" MB-43, "Market News Service for Tobacco and Naval Stores;" Annual Market Statistical Summaries are available for sale only through the AMS commodity divisions.

#### Regional or Local Office:

See Regional Agency Offices. AMS field offices are listed in Appendix IV of the Catalog.

#### Headquarters Office:

David Shipman, 1400 Independence Ave SW , Washington, District of Columbia 20250 Phone: (202) 720-4276.

#### Website Address:

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

#### RELATED PROGRAMS:

10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.700 National Agricultural Library; 10.950 Agricultural Statistics Reports; 11.001 Census Bureau Data Products; 11.110 Manufacturing and Services

#### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

#### CRITERIA FOR SELECTING PROPOSALS:

Not Applicable.

### 10.155 MARKETING AGREEMENTS AND ORDERS

#### FEDERAL AGENCY:

Agricultural Marketing Service, Department of Agriculture

#### AUTHORIZATION:

Agricultural Marketing Agreement Act of 1937, as amended, 7 U.S.C. 601, 602, 608a-e, 612, 614, 624, 671-674; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203, 7 U.S.C. 4501- 4513; Agriculture and Food Act of 1981, 7 U.S.C. 2242a.

#### OBJECTIVES:

Marketing Agreements and Orders are designed to stabilize market conditions and improve returns to producers through the establishment of minimum prices, regulating the quality and quantity of commodities sold through commercial channels, and providing market promotion.

#### TYPES OF ASSISTANCE:

ADVISORY SERVICES AND COUNSELING; PROVISION OF SPECIALIZED SERVICES

#### USES AND USE RESTRICTIONS:

The provisions of orders and agreements are designed specifically to meet the marketing and economic problems of the commodity or area covered. For dairy products, the orders establish orderly marketing conditions in the sale of milk by dairy farmers to handlers, whereas fruit, vegetable, nut, and grass seed, are established to regulate the quantity and quality of products sold in commercial channels.

#### Applicant Eligibility:

Marketing orders are issued by the Secretary of Agriculture only after a public hearing where milk, fruit and vegetable producers, marketers, and consumers

testify, and after farmers vote approval through a referendum. Growers of certain fruits, vegetables, and specialty crops (like nuts, raisins, olives, and hops). Dairy farmers are the primary applicants.

**Beneficiary Eligibility:**

The beneficiaries are producers of milk, fruit and vegetable products.

**Credentials/Documentation:**

Evidence (usually hearings) required indicating that agreement or order will assist in the orderly marketing of a commodity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter to the Secretary of Agriculture fully documenting the need for an agreement or order.

**Award Procedure:**

Decision to establish or not to establish an agreement and order is made by the Secretary of Agriculture after public hearings and referendums are conducted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Subject to time required to hold public hearings, investigations and to conduct a referendum. Approximately 1 year after start of public hearings.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration of agreement and order. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly and yearly financial and statistical reports are to be made to the applicable AMS commodity division by producers or handlers as provided for by each agreement and order. Quarterly and yearly financial and statistical reports are to be made to the applicable AMS commodity division by producers or handlers as provided for by each agreement and order. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Financial and program audits pertaining to marketing agreements and order transactions are made periodically.

**Records:**

Financial and statistical records relating to the operation of the agreement and order are to be maintained for 3 years.

**Account Identification:**

12-5209-0-2-605.

**Obligations:**

(Salaries) FY 11 \$20,056,000; FY 12 est \$20,056,000; and FY 13 est \$20,056,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

AH-421, Compilation of Agricultural Marketing Agreement Act; PA947, Can a Marketing Order Help?; PA-1095, Marketing Agreements and Orders for Fruits and Vegetables; AMS-565, Sources of Milk for Federal Order Markets by State and County; AMS-559, Questions and Answers on Federal Milk Marketing Orders; MB-27, The Federal Milk Marketing Order Program; SB-625, Federal Milk Order Market Statistics, Annual Summary; SB-624, Dairy Market Statistics, Annual Summary; MB-63, Market News Service on Dairy Products; How to Buy Dairy Products, HG-201; How to Buy Cheese, HG-193; How to Buy Butter, HG-148; Dairy Products Grading Services, MB-69; Judging and Scoring Milk and Cheese, FB-2259.

**Regional or Local Office:**

None.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

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

**RELATED PROGRAMS:**

10.051 Commodity Loans and Loan Deficiency Payments; 10.500 Cooperative Extension Service; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.156 FEDERAL-STATE MARKETING IMPROVEMENT PROGRAM**

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, Section 204b, 7 U.S.C. 1623(b).

**OBJECTIVES:**

To assist in exploring new market opportunities for U.S. food and agricultural products and to encourage research and innovation aimed at improving the efficiency and performance of the marketing system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Proposals may deal with barriers, challenges or opportunities manifesting at any stage of the marketing chain including direct, wholesale, and retail. Proposals may involve small, medium or large scale agricultural entities but should potentially benefit multiple producers. Proprietary proposals that benefit one business or individual will not be considered. Proposals that address issues of importance at the State, regional or national level are appropriate for FSMIP. FSMIP also seeks unique proposals on a smaller scale that may serve as pilot projects or case studies useful as a model for others. Of particular interest are proposals that reflect a collaborative approach between the States, academia, the farm sector and other appropriate entities and stakeholders.

**Applicant Eligibility:**

State Departments of Agriculture, State Agricultural Experiment Stations and other appropriate State agencies.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, and general public.

**Credentials/Documentation:**

A grant agreement is entered into between the administering Federal agency and the State agency that submits the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit forms SF-424 and SF-424A, a narrative description of the proposal, and a supplemental budget. Supporting documents such as letters of support may be submitted.

**Award Procedure:**

The requests are reviewed and approved or disapproved by the Agricultural Marketing Service in competition with other applications received. Grantees are notified of the amount awarded by allotment letter. Grant payments are made on a reimbursable basis.

**Deadlines:**

Feb 11, 2009 Mid-February.

**Range of Approval/Disapproval Time:**

> 180 Days. 4-5 months from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

> 180 Days. Awards are generally for one year. Additional time to complete the project may be requested.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments are made to the States on an as needed, reimbursable basis over the grant period. Advance payments may be requested. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

States must keep all records relating to the grant for 3 years.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Project Grants (for specified projects)) FY 11 \$1,331,000; FY 12 est \$1,198,000; and FY 13 est \$1,331,000

**Range and Average of Financial Assistance:**

\$21,000 to \$135,000. Average: \$51,385.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: During 2011, State agencies were encouraged to submit FSMIP proposals that reflect a collaborative approach between the States, academia, and the farm sector and which have regional or national significance. The program was appropriated \$1.3 million for competitive grants projects and these funds were allocated among 25 projects from 19 States. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A request for proposals is announced each fall via agency press release, Federal Register notice, a letter to state departments of agriculture, and the program web site. Additional information about the Federal-State Marketing Improvement Program as well as links to final project reports are available at the program web site.

**Regional or Local Office:**

None.

**Headquarters Office:**

Janise Zygmunt, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-8043.

**Website Address:**

<http://www.ams.usda.gov/tmd/fsmip.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Project selection is based on several factors: relative need or importance of the problem to be addressed; benefits likely to be derived in relation to the funds requested; level of state and other nonfederal support; potential impact on other states or issues of national importance; measures to be used in evaluating the impact of the project; and unique innovative features of the project.

**10.162 INSPECTION GRADING AND STANDARDIZATION**

(Agricultural Fair Practices Act)

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, 7 U.S.C. 1622a-J, 1-n; Cotton Statistics and Estimates Act, 7 U.S.C. 473d; Cotton Futures Act, 7 U.S.C. 15b; Cotton Standards Act, 7 U.S.C. 51-65; Naval Stores Act, 7 U.S.C. 91-99; Tobacco Inspection Act, 7 U.S.C. 511 i-q; Wool Standards Act, 7 U.S.C. 415b-d; Egg Products Inspection Act, Public Law 91-597, 21 U.S.C. 1031-1056; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 4501-4513; Tobacco Statistics Act, 7 U.S.C. 501-508; Food Security Act of 1985, as amended.

**OBJECTIVES:**

To develop and apply standards of quality and condition for agricultural commodities; to participate and assist in the development of international agricultural standards; and to conduct quarterly inspections of egg handlers and hatcheries.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

USDA grades are used by the owners of agricultural commodities and by dealers in these commodities to Hatcheries and shell egg handlers, except for producer-packers with an annual production from 3,000 hens or less packing for the retail consumer are required to be checked quarterly to determine the disposition of certain undergrade eggs.

**Applicant Eligibility:**

Any owner of or dealer in agricultural commodities who (a) has a financial interest in the commodity to be graded and (b) is located within the United States and its Territories. All hatcheries and shell egg handlers having an annual production from 3,000 or more hens who pack for the retail consumer and are located within the U.S. or its Territories.

**Beneficiary Eligibility:**

Buyers and sellers of agricultural commodities. Shell egg handlers having an annual production from 3,000 or more hens who pack for the retail consumer and are located in the U.S. or its Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Request for grading of a commodity must be submitted to local AMS grading office in writing. Eligible hatcheries apply for registration by contacting: Chief, Poultry Grading Branch, Agricultural Marketing Service, Department of Agriculture, Washington, DC 20250.

**Award Procedure:**

Eligible hatcheries and shell egg handlers must complete registration forms.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

In cases in which applicants do not agree with the grade given, they may appeal for a review of the grade to the local AMS office.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration of agreements. See the following for information on how assistance is awarded/released: N/A.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352; 12-8015-0-7-352.

**Obligations:**

(Salaries) FY 11 \$205,346,000; FY 12 est \$217,510,000; and FY 13 est \$218,896,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 26-32, 41-70, 160- 171, 205; AH-533, "USDA Standards for Food and Farm Products;" Marketing Bulletin No. 37, "The Story of Cotton;" "Annual Report on Tobacco Statistics, AH-566, The Classification of Cotton;" Misc. Pub. No. 867, "Tobacco in the U.S.;" quarterly report-- "Tobacco Stocks Reports as of Jan. 1, April 1, July 1, and October 1;" MS-82, "Cotton Testing Service;" AMS-180 MB-41, "Market News Service on Cotton;" MB-43, 7 CFR 2851, 2852, 2853, 2855, 2856, 2858, 2870, 28171; AH-341, "USDA Standards for Food and Farm Products." AH-31, "Poultry Grading Manual." AH-75, "Egg Grading Manual." Egg and Egg Products Inspection Regulations (7 CFR Part 2859); POB-FL-33, Tobacco Market Review for Flue-cured; POB-LA-34, Tobacco Market Review for Burley; POB-LA-33, Tobacco Market Review for Fire and Dark Air.

**Regional or Local Office:**

See Regional Agency Offices. Local Agricultural Marketing Service inspection, grading, and classing offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

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

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.163 MARKET PROTECTION AND PROMOTION  
FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946, 7 U.S.C. 1621-1627, 7 U.S.C. 2101-2119; Egg Research and Consumer Information Act, 7 U.S.C. 2701-2718; Export Apple and Pear Act, 7 U.S.C. 581-590; Export Grape and Plum Act, 7 U.S.C. 591-599; Federal Seed Act, 7 U.S.C. 1551-1611; National Wool Act of 1954, as amended, 7 U.S.C. 1787; Plant Variety Protection Act, 7 U.S.C. 2321-2331, 2351-2357, 2371-2372, 2401- 2404, 2421-2427, 2441-2443, 2461-2463, 2481-2486, 2501-2504, 2531-2532, 2541-2545, 2561-2569, 2581-2583; 7 U.S.C. 4301-4319; Cotton Research and Promotion Act, 7 U.S.C. 2101-2118; Dairy and Tobacco Adjustment Act of 1983, 7 U.S.C. 5111; Agricultural Fair Practices Act, 7 U.S.C. 2301-2306; Capper Volstead Act, 7 U.S.C. 291-292; Potato Research and Promotion Act, 7 U.S.C. 2611-2627; Beef Promotion and Research Act of 1985, 7 U.S.C. 2901-2911; Pork Promotion, Research, and Consumer Information Act of 1985, 7 U.S.C. 1612-1631; Dairy Research and Promotion Act, 7 U.S.C. 4501-4513, 4532; Watermelon Research and Promotion Act, 7 U.S.C. 4901-4916; Honey Research Promotion and Consumer Information Act, 7 U.S.C. 4601-4612; Soybean Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6301-6311; Mushroom Promotion, Research and Consumer Information Act of 1990, 7 U.S.C. 6101-6112; Fluid Milk Promotion Act of 1990, 7 U.S.C. 6401-6417; Organic Foods Production Act of 1990, 7 U.S.C. 6501-6522; Fresh Cut Flowers and Fresh Cut Greens Promotion and Information Act of 1993, 7 U.S.C. 6801- 6814; Popcorn Promotion Research, and Consumer Information Act, 7 U.S.C. 7481-7491; National Kiwifruit Research, Promotion, and Consumer Information Act, 7 U.S.C. 7461-7473.

**OBJECTIVES:**

The Federal Seed Program prevents mislabeled seed from moving in interstate commerce by providing for random sampling of seeds to insure accurate labeling of seed characteristics. The Plant Variety Protection Program offers legal protection to developers of new varieties of plants which reproduce by providing the equivalent of a patent to the plant's developer. The Research and Promotion Programs provide for the collection of an assessment for each commodity covered by statutes to enable the commodity industries to carry out research and promotion activities. It is the responsibility of the Agricultural Marketing Service to assure responsible use of these assessments in meeting the research and promotion objective. The Dairy and Tobacco Adjustment Act authorized the establishment of a National dairy promotion research and nutrition education program. To eliminate deceptive, unfair and fraudulent trade practices in the processing and marketing of food and agricultural products; provide assistance to those striving to achieve this objective. The Pesticide Data Program works with participating States to collect and analyze data on pesticide use and residue levels for selected commodities in the nation's food supply. This program provides statistically based data to Federal agencies for use in making policy decisions for regulatory and educational purposes.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided to assure fair and open marketing distribution system for agricultural products.

**Applicant Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service. State, trade associations, and universities may be eligible for cooperative agreements.

**Beneficiary Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service.

**Credentials/Documentation:**

As provided for in applicable Acts as referred to in the Authorization Section above. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Procedures vary as provided for in applicable Acts. Contact appropriate area offices as listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in applicable Acts.

**Renewals:**

As provided for in applicable Acts.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided in agreements. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

As provided for in applicable Acts.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Salaries) FY 11 \$39,410,000; FY 12 est \$35,867,000; and FY 13 est \$29,688,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PA-655 "Export Fruit Acts-Questions and Answers," AMS-592, Facts About Naming and Labeling Varieties of Seed," "The Plant Variety Protection Act," requirements under the Federal Seed Act for Labeling treated Seed," 7 CFR 33-35, 101- 151,201-202; PA-1005, "Farmers Rights Under the Agricultural Fair Practices Act."

**Regional or Local Office:**

See Regional Agency Offices. Regional and local offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

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

**RELATED PROGRAMS:**

10.155 Marketing Agreements and Orders; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.164 WHOLESALE FARMERS AND ALTERNATIVE MARKET DEVELOPMENT****FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Marketing Act of 1946.

**OBJECTIVES:**

To provide technical assistance to States and municipalities interested in creating or upgrading markets and marketing facilities.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided in cooperation with other government agencies and private industry to reduce marketing costs.

**Applicant Eligibility:**

Other government agencies and private industry. State, trade associations, universities, and other nonprofit organizations are eligible to apply for cooperative agreements.

**Beneficiary Eligibility:**

Producers, processors, marketing agencies, and general public.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, or OMB Circular No. A-21 for Educational Institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Contact Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, USDA. The standard application forms as furnished by the Federal agency must be used for this program.

**Award Procedure:**

As provided for in the Act.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in the Act.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided for in agreements. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

As provided for in the Agreement.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$2,618,000; FY 12 est \$2,839,000; and FY 13 est \$2,839,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Played a leading role in establishing the National Food Hub Collaboration. With cooperative research assistance from Michigan State University, improved the platform for interested market managers and organizers to submit their market information electronically. Completed numerous facilities design projects/studies; published articles, reports, and other publications; gave numerous marketing presentations, training, and webinars. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Robinson, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 690-1305.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.165 PERISHABLE AGRICULTURAL COMMODITIES ACT  
FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Perishable Agricultural Commodities Act of 1930, as amended, 7 U.S.C. 499a-4995; Produce Agency Act, 7 U.S.C. 491-497.

**OBJECTIVES:**

To reduce unfair and fraudulent practices in the marketing of perishable agricultural commodities in interstate and foreign commerce. To prevent the destruction or dumping, without good and sufficient cause of farm produce received in interstate commerce by commission merchants and others and to require them truly and correctly to account for all farm produce received by them.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Assistance provided to assure a fair and open marketing distribution system for agricultural products. No specific restrictions.

**Applicant Eligibility:**

Business and industry or individuals may apply for a PACA license.

**Beneficiary Eligibility:**

Business and industry or individuals may apply for a PACA license.

**Credentials/Documentation:**

As provided for in the Perishable Agricultural Commodities Act, 1930 as amended, 7 U.S.C. 499a-4995; Produce Agency Act, 7 U.S.C. 491-497. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact appropriate area offices listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As provided for in applicable Acts.

**Renewals:**

As provided for in applicable Acts.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: As provided for in applicable Acts.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. As provided for in applicable Acts.

**Records:**

As provided for in applicable Acts.

**Account Identification:**

12-5070-0-2-352.

**Obligations:**

(Investigation of Complaints) FY 11 \$10,354,000; FY 12 est \$10,710,000; and FY 13 est \$10,778,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Perishable Agricultural Commodities Act of 1930, and Regulations (other than rules of practice).

**Regional or Local Office:**

See Regional Agency Offices. Regional and local offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Shipman, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 720-4276.

**Website Address:**

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

**RELATED PROGRAMS:**

36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.167 TRANSPORTATION SERVICES****FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Adjustment Act of 1938, 7 U.S.C 1281 et seq.; Agricultural Trade and Assistance Act of 1954, 7 U.S.C 1427,1431,1691; Cooperative Marketing Act of 1926, 7 U.S.C 291-292; Rural Development Act of 1972, 7 U.S.C 2662-2663; Agricultural Marketing Act of 1946, 7 U.S.C 1621; International Carriage of Perishable Foodstuff Act of 1982.

**OBJECTIVES:**

The Transportation Services program develops and promotes efficient agriculture transportation systems to help improve farm income, expand exports and meet the needs of rural America. The program provides technical and administrative direction, coordination, and leadership in the development and execution of agricultural transportation policies. Transportation Services provides a basis for Federal-State decision-makers in regulatory, policy and legislative matters in order to assure the transportation needs of rural communities and agriculture.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; TRAINING

**USES AND USE RESTRICTIONS:**

Assistance provided where it is determined that there is a significant regional or policy issue with potentially broad implications.

**Applicant Eligibility:**

Any State government, public and private organization and institution, business and industry, or individual may apply for technical assistance or service. State, trade associations, universities, and nonprofit organizations may be eligible for cooperative agreements.

**Beneficiary Eligibility:**

Producers, processors, and general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. No formal application procedure specified; informal correspondence or personal contact is permissible. Contact Deputy Administrator, Transportation and Marketing Programs, Agricultural Marketing Service, USDA.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As provided for in agreements. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

12-2500-0-1-352.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$2,678,000; FY 12 est \$2,895,000; and FY 13 est \$2,895,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Robinson, 1400 Independence Ave SW, Washington, District of Columbia 20250 Phone: (202) 690-1305.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.168 FARMERS' MARKET PROMOTION PROGRAM****FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Section 5 of the Farmer-to-Consumer Direct Marketing Act of 1976, Public Law 94-463, as amended by Section 10605 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171.

**OBJECTIVES:**

To increase domestic consumption of agricultural commodities assisting in the improvement and expansion of domestic farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer market opportunities; and develop, or aid in the development of, new farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer infrastructures.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must improve and expand, or assist in the improvement and expansion of, domestic farmers markets, roadside stands, community-supported agriculture programs, and other direct producer-to-consumer market opportunities through innovative approaches to market operations and management, improving access to relevant marketing and financial information, and consumer-based education and market access. Eligible entities must apply for FMPP funds on behalf of direct marketing operations that include two or more farmers/farm vendors who produce and sell their own products through a common distribution channel. Use of funds are based on documented needs, excluding, however, routine operational expenses such as management salaries or other salaries associated with normal operation of farm markets/marketing entities, utility bills, and insurance premiums. FMPP grant funds cannot be used to pay for acquisition, repair, rehabilitation, or construction of a building or facility; acquisition of land; political or lobbying activities; or any activities prohibited by 7 CFR parts 3015 and 3019. Additional detail and justification must be provided for any purchase that is expected to exceed \$5,000.

**Applicant Eligibility:**

Agricultural cooperatives, local governments, nonprofit corporations, public benefit corporations, economic development corporations, regional farmers market authorities, and Tribal governments. Projects must be located within the 50 States or the District of Columbia.

**Beneficiary Eligibility:**

Direct marketing operations that include two or more farm vendors who produce and sell their own products through a common marketing channel, and consumers.

**Credentials/Documentation:**

Applicants must provide documentation as to how they meet the definition of an eligible entity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit forms SF-424, SF-424A, and SF-424B, an eligibility statement, a narrative description of the proposal including project title, executive summary, goals, background, workplan and resource requirements, and expected results, a supplemental budget summary, and any supporting documents such as letters of support.

**Award Procedure:**

Applications are reviewed and approved or disapproved by the Agricultural Marketing Service in competition with other applications received. Grantees are notified of the amount awarded by allotment letter. Grant payments are made on a reimbursable basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

120 to 180 days from the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are not to exceed 18 months. Grant payments are made on an as-needed basis over the grant period. Advance payments may be requested. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

No program reports are required. As provided for in agreements. Progress reports are required at the midpoint of projects approved for one year and at 6-month intervals for projects of longer duration. A final report of results and accomplishments and form SF 269A must be submitted no later than 90 days after the grant ends. As provided for in agreements. As provided for in agreements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, which implement OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Grantees and sub-grantees must keep all records relating to the grant for 3 years from the date the SF-269A is submitted to the Agricultural Marketing Service.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$9,926,000; FY 12 est \$10,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The maximum grant is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, FMPP provided \$9.2 million in competitive grants to nonprofit corporations, producer networks, producer associations, Tribal governments, local governments, and agricultural cooperatives to expand direct farmer-to-consumer sales. A total of 149 projects from 42 States and the District of Columbia were selected for funding out of the 397 proposals received from 49 States and the District of Columbia. The amount awarded included 17 new EBT projects, representing approximately 12.2 percent of total funding for 2011 (\$1.12 million). Synopses for the full portfolio of FMPP grant awards for 2011 can be viewed at <http://www.ams.usda.gov/AMSv1.0/getfile?dDocName=STELPRDC5094639&acct=fmpp>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for the Farmer Market Promotion Program are posted at <http://www.ams.usda.gov/tmd/MSB/index.htm> or may be obtained from the Farmers Market Promotion Program contact.



**Regional or Local Office:**

None.

**Headquarters Office:**

Errol Bragg, 1400 Independence Ave SW, Washington, District of Columbia  
20250 Phone: (202) 720-8317.

**Website Address:**

<http://www.ams.usda.gov/tmd/MSB/index.ht>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the following criteria: need for the project, direct benefit to farmers/vendors, project innovation, degree of collaboration/partnerships and farmer/producer participation, quantitative evaluation and measurement of the project's impact, long-term project sustainability, transferability of project outcomes, and reasonableness of the budget.

**10.170 SPECIALTY CROP BLOCK GRANT PROGRAM - FARM BILL FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

Specialty Crops Competitiveness Act of 2004, Section 101, 7 U.S.C. 1621 note; Food, Conservation, and Energy Act of 2008 (Public Law 110-246).

**OBJECTIVES:**

To increase fruit, vegetable, and nut consumption and improve the competitiveness of United States specialty crop producers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must enhance the competitiveness of specialty crops. Funds under this program may be used to support horticulture, including turfgrass sod and herbal crops; horticulture is not eligible under 10.169. Use of funds will be monitored to ensure that funds are promoting specialty crops as defined under the Specialty Crop Competitiveness Act of 2004.

**Applicant Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State. Guam, American Samoa, U.S. Virgin Islands, and Northern Mariana Islands are eligible to receive grants under this program; they are not eligible under 10.169.

**Beneficiary Eligibility:**

State department of agriculture, agency, commission, or department of a State government responsible for agriculture within the State.

**Credentials/Documentation:**

A grant agreement is entered into between the Agricultural Marketing Service and the State department of agriculture that submits the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State department of agriculture submits SF-424 and a State plan identifying the lead agency charged with the responsibility of carrying out the plan and indicating how the grant funds will be utilized to enhance the competitiveness of specialty crops. In developing their plans, States must take into consideration the views of beginners and socially disadvantaged farmers and ranchers, and take steps to perform outreach to these groups. State plans should be developed through a

competitive process in order to ensure maximum public input and benefit. The States should develop a transparent process of receiving and considering public comment. States are encouraged to submit grant plans that include multi-State and regional project proposals.

**Award Procedure:**

Applications are reviewed by the Agricultural Marketing Service. Grantees are notified of the amount awarded by allotment letter. Grant payments are made by the electronic transfer system.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 to 180 days from the application deadline.

**Appeals:**

No formal appeal procedure.

**Renewals:**

Awards are for 3 years. Additional time to complete the project may be requested.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are advanced in one lump sum. Applicants have up to 3 years to use the funds. See the following for information on how assistance is awarded/released: As provided for in agreements.

**Reports:**

No program reports are required. As provided for in agreements. Annual performance reports are required. A final performance report and financial report are required within 90 days after the expiration date of the grant period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The State is required to conduct an audit of the expenditures of specialty crop block grant funds. Not later than 30 days after completion of the audit, the State shall submit a copy of the audit results with an executive summary to the Agricultural Marketing Service.

**Records:**

The State shall retain financial and other records relating to the funds and these programs for a period of three years after expiration of the grant period or until final resolution of any audit findings or litigation claims relating to this program.

**Account Identification:**

12-2501-0-1-352.

**Obligations:**

(Formula Grants) FY 11 \$54,975,081; FY 12 est \$55,000,000; and FY 13 est \$0 - This program is funded through FY 2012 by the 2008 Farm Bill.

**Range and Average of Financial Assistance:**

As provided for in applicable statutes.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Trista Etzig 1400 Independence Ave. SW, Rm. 2077, Stop 0235, Washington, District of Columbia 20250 Email: trista.etzig@ams.usda.gov Phone: 2026904942

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.171 ORGANIC CERTIFICATION COST SHARE PROGRAMS**

(AMA, NOCCSP)

**FEDERAL AGENCY:**

Agricultural Marketing Service, Department of Agriculture

**AUTHORIZATION:**

The National Cost Share Program is authorized under 7 U.S.C. 6523, as amended by section 10301 of the Food, Conservation and Energy Act of 2008., Title 7, Part 94, Section 6523, 7 U.S.C 6523; The Agricultural Management Assistance Cost Share Program is authorized under Section 1524 of the Federal Crop Insurance Act (FCIA), as amended., Title 7, Part 36, Section 1501-1524, 7 U.S.C 1501-1524.

**OBJECTIVES:**

The objective of this program is to provide financial assistance to certified organic producers and handlers.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Organic Certification Cost Share Programs reimburse eligible producers and handlers for a portion of the costs of organic certification. Applicants may receive reimbursements of up to 75% of the costs of certification, with an annual maximum of \$750.

State agencies (typically Departments of Agriculture) work with the USDA to administer the program. After entering into a cooperative agreement, the state agencies process applications for cost share funds from certified organic producers and handlers, and the USDA reimburses them. Applicants typically submit a one-page application form, along with proof of certification and an itemized invoice, to their States department of agriculture. Funds may only be used to provide reimbursements to certified organic producers and handlers. A 10% indirect cost recovery is allowed.

**Applicant Eligibility:**

Not Applicable.

**Beneficiary Eligibility:**

See <a href="http://www.ams.usda.gov/NOPCostSharing">http://www.ams.usda.gov/NOPCostSharing</a> for more information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The USDA will coordinate with State governments to determine budgetary allocations. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The submission of a Standard Form 424 (Application for Federal Assistance) through Grants.Gov is required.

**Award Procedure:**

Allocations are awarded to State Departments of Agriculture or their equivalents based on the number of certified organic operations in the State, as

well as the history of participation in the cost share program by certified organic operations in that State.

**Deadlines:**

Sep 23, 2011

**Range of Approval/Disapproval Time:**

From 1 to 15 days.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative agreements last only one fiscal year in duration. Pending the availability of funds, States may sign a new cooperative agreement for the ensuing fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Chapter 94, Part 6523.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for one federal fiscal year. Participating States must disburse funds and finalize reports within 90 days after the end of the federal fiscal year. See the following for information on how assistance is awarded/released: Funds are disbursed upon request, utilizing Standard Form 270, "Request for Advance or Reimbursement."

**Reports:**

A final narrative report is required, which is to be no more than 2 pages. The report should cover:

1. Description of the outreach activities carried out by the State and/or subrecipients, including the methods used to identify potential applicants, means of contact with potential applicants, and outreach materials for distribution, i.e. publications, announcements press releases, etc.
2. Description of problems or obstacles related to reimbursement, program administration, outreach, etc. during the reporting period.
3. Explanation for any denial of requests for reimbursement. No cash reports are required. No progress reports are required. Quarterly and final reports are required, utilizing Standard Form 425, Federal Financial Report. No performance monitoring is required.

**Audits:**

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

**Records:**

The program requires record of applicant by name, applicants' certification expenses, and the reimbursement paid to the applicants. In accordance with 7 CFR 3016.42, grant recipients should retain all records relating to the grant for a period of three years after the final Federal Financial Report been submitted to the Federal Agency, or until final resolution of any audit finding or litigation, whichever is later. Electronic records retention is acceptable.

**Account Identification:**

74-7409-0-0-471.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 11 \$6,179,000; FY 12 est \$2,061,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

Awards range from \$5,000 - \$1,050,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Based on preliminary reports, over 8,000 certified organic operations received reimbursements during 2011. The National Organic Program expanded outreach efforts for these programs through site visits,

conference presentations, advertising in trade publications, direct mail, and email marketing. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations may be viewed at <http://www.ams.usda.gov/NOPCostShareLegislation>. Guidelines may be viewed at <http://www.ams.usda.gov/NOPCostSharing>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Betsy Rakola 1400 Independence Ave, SW  
Room 2640-S, Ag Stop 0268, Washington, District of Columbia 20250-0268  
Email: [betsy.rakola@ams.usda.gov](mailto:betsy.rakola@ams.usda.gov) Phone: 2027203252

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.200 GRANTS FOR AGRICULTURAL RESEARCH, SPECIAL RESEARCH GRANTS**

Special Research Grants (SRGP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 2 (c), Public Law 89-106, 7 U.S.C. 450i(c), as amended.

**OBJECTIVES:**

To carry out research, to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the nation and to facilitate or expand on-going State-Federal food and agricultural research programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Awards are generally limited to high priority problems of a regional or national scope. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Funds shall not be used for tuition remission.

Indirect Costs are generally not allowable for this program.

Generally, there are no matching requirements associated with Special Research Grant programs and matching resources will not be factored into the review process as evaluation criteria.

Please refer to RFA, Part IV.D. Applications Funding Restrictions for specific details.

Exceptions to the general rules, as related to Indirect Cost and matching requirements, are indicated below, as deemed appropriate and necessary.

The following programs are EXCEPTIONS to the general rules:

- (1) Critical Agricultural Materials (Pub. L. 95-592)
- (2) Federal Administration - Research
- (3) Pest Management Alternatives (aka PMAP)
- (4) Supplemental and Alternative Crops [ 7 U.S.C. 3319d (c)].
- (5) Policy Research Centers (Section 1419A of 7 U.S.C. 3155) and
- (6) Rangeland Research

For the above-referenced EXCEPTIONS to the general rule, [i.e. #'s (1) thru (5)], the following provisions are applicable:

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded.

**Special Note on Indirect Costs as in-kind matching contributions:**

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds, Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent.

**Exception # 6:**

For the Rangeland Research program the following provisions are applicable:

Per 7 CFR 3401.5, Indirect Cost is allowable if the award is made to a Federal lab.

Pursuant to Section 1480 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 as amended [7 USC 3333(b)(1)], applicants are required to provide 50 percent matching funds from non-federal sources for all proposed Federal funds sought in the application. Non-federal matching contributions, such as cash and third party in kind, are accepted under this program as qualified by 7 USC 3015 and 7 USC 3019. Foregone indirect costs cannot be used as part of the required match. Fully discretionary.

**Applicant Eligibility:**

Special Research Grants: State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations and individuals having a demonstrable capacity to conduct research activities to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Beneficiary Eligibility:**

For Special Research Grants: State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations and individuals having a demonstrable capacity to conduct research activities to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Prior to the award of a standard or continuation grant by NIFA, any proposed project shall have undergone a review arranged by the grantee as specified in Subpart C of 7 CFR 3400. For research projects, such review must be a scientific peer review conducted in accordance with 3400.21. For education and extension projects, such review must be a merit review conducted in accordance with 3400.22. A notice of completion of review shall be conveyed in writing to NIFA either as part of the submitted proposal or prior to the issuance of an award, at the option of NIFA. The written notice constitutes certification by the applicant that a review in compliance with these regulations has occurred. Applicants are not required to submit results of the review to NIFA; however, proper documentation of the review process and results should be retained by the applicant.

**SPECIAL NOTE:**

Also see CFDA Section 903: for further details. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Specific deadline dates are announced on the Agency's website:

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

Contact the headquarters, as appropriate, for application deadlines. See Section

: 152 for specific details.

Further, dates for specific deadlines are announced in the RFA each fiscal year.

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

Generally, NIFA does NOT require matching or cost sharing support for this program.

However, the Rangeland Research Program is an EXCEPTION to the general rule. The following represents pertinent information regarding the Rangeland Research Program [7 U.S.C. 3333(a)(1)]:

Pursuant to Section 1480 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 as amended [7 USC 3333(b)(1)], applicants are required to provide 50 percent matching funds from non-federal sources for all proposed Federal funds sought in the application. Non-federal matching contributions, such as cash and third party in kind, are accepted under this program as qualified by 7 USC 3015 and 7 USC 3019.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$24,205,295; FY 12 est \$28,868,388; and FY 13 est \$5,151,789 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

The funding levels for the various programs under CFDA Number 10.200 are the appropriated amounts for FY 2010 and FY 2011 and the President's Budget amounts for FY 2012 minus administrative costs. In addition, a program also may have carryover funds in FY 2010 and FY 2011 if it is no-year money.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: (A) Expert IPM Decision Support System:  
Pertinent details to be provided by Program at a future date.

(B) Global Change, UV-B Monitoring  
Pertinent details to be provided by Program at a future date.

(C) Integrated Pest Management & Biological Control  
Pertinent details to be provided by Program at a future date.

(D) Interregional Research Project # 4 - Minor Crop Pest Management (IR-4) Program

Environmental Protection Agency (EPA) approvals supported 382 potential new registrations; the Public Health Pesticide Program submitted the first regulatory package to EPA for expansion of registration for a new reduced-risk product for adult mosquitoes; continued to provide global leadership in the harmonization of Maximum Residue Levels for pesticides on specialty crops. Five proposals were submitted and 5 were funded at a total of ca. \$12.5 million.

(E) Pest Management Alternatives

Two bacterial leaf diseases have threatened turnip and mustard greens in South Carolina. Yearly losses have been as much as \$1.7 million. Bacterial blight caused by *Pseudomonas cannabina* pathovar *disalensis* and a *Xanthomonas* leaf blight caused by a unique strain of *Xanthomonis campestris* pathovar *campestris* form a bacterial disease complex on leafy brassica greens. *Pseudomonas* is present in the spring and late in the fall, while *Xanthomonas* predominates in the hot summer months. In this project, fertility, bactericides and host-plant resistance were tested to manage bacterial blights on turnip and mustard greens in field experiments on farms at the research center. Across all 12 cultivars and lines, there was a highly significant correlation between visual ratings of percentage diseased leaf area with percentage of healthy leaves

harvested. This lends confidence to our evaluations of the effects of treatments by rating disease symptoms. Incremental reductions in diseased leaf area also should increase marketable yields.

Using the new Grape Berry Moth (GBM) degree day model to time border-targeted applications of new insecticides provides effective control of GBM. At all five farms in our study, the per acre cost for insecticide was lower for vineyards treated with the IPM Program compared to the Standard Program.

Focusing control efforts on high-pressure areas, i.e., vineyard borders, is an effective way to manage GBM, both in terms of reducing damage and reducing insecticide costs. This approach has been adopted widely in Michigan due to the strong economic benefits for growers. SPLAT-GBM provided reduction of infestation at vineyards borders but is currently not a cost-effective means of controlling this pest in conventional vineyards. This project supported the further development of IPM programs for eastern U.S. vineyards, and the results have been shared with researchers, extension colleagues, growers and consultants. Adoption of the degree-day model and selective insecticides has increased because of this project, reducing the environmental footprint of Michigan viticulture, and contributing to the sustainability goals of National Grape Cooperative, Welchs, and the Michigan Grape and Wine Industry Council. For FY 2011, there were 63 applications with eight of them funded.

(F) Other (Potato Breeding Research in FY 2011)

For the FY 2011 award cycle, \$ 1,333,752 was available for this program.

A total of four applications, requesting a total of \$ 1,677,995, were received in this years competition. On May 12, 2011, a seven -member peer review panel evaluated these applications. The peer panel included scientists from U.S. land grant colleges and universities and private industry, the Canadian public sector, and a grower-group representative .

Funds were available to support a total of four awards.

The funding ratio for this program in FY11 was 100 %.

Funded projects should support potato (*Solanum tuberosum* L.) research programs that focus on varietal development and testing and potato varieties for commercial production. Aspects of evaluation, screening and testing must support variety development.

(G) Critical Agricultural Materials

The Critical Agricultural Materials competitive grants program supports product development, demonstration and validation of product performance under operational field conditions, specifically for paints, coatings, and adhesives for composites which are manufactured from domestically produced agricultural materials and are of strategic and industrial importance to benefit the economy, defense and general well-being of the Nation. Many such products replace petroleum-based products, and offer opportunities to create new businesses and new markets for agricultural materials.

Advances in polymer science have resulted in products with superior functional performance that also address environmental and human health concerns. For example, volatile organic compounds (VOCs) are considered to be a major human health issue and polymer products that can meet performance requirements with minimal or no use of VOCs are of interest to NIFA. Examples of products include: paints, protective industrial coatings, adhesives for wood-based composites, and such products that offer other human health and environmental benefits over petrochemical counterparts.

In FY 2011, the program was funded with \$1M, 13 applications were received and three awards were made:

1. The Development of New Coating and Adhesive Systems Derived from Novel Plant Oil-Based Polymers.
2. Development and Demonstration of a Low VOC Polyurethane Coating System Using Biopolyols Derived from Crude Glycerol
3. UV-Curable Biobased wood Flooring Coatings

#### (H) Aquaculture Centers

The program involves five distinct regional aquaculture centers that administer a competitive regional grant awards process with priority topics and problem statements identified by industry advisory committees. Some funded proposals are developed by regional work groups with open participation by qualified institutions. The programs have contributed to addressing high priority needs to advance sustainable aquaculture development in the Nation.

#### (I) Supplemental and Alternative Crops (aka Canola Research)

For the FY 2011 award cycle, \$729,081 was available for this program. Maximum award size is \$210,000.

A total of 6 applications requesting a total of \$1, 210,826 were received in this years competition. In July 2011, a four-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 5 awards.

The funding ratio for this program in FY11 was 83 %.

Funded projects should address research to develop canola as a viable supplemental and alternative crop in the United States; involve stakeholders in priority setting, project development and implementation; include multi-state cooperation; and complement research being conducted by the U. S. Department of Agriculture's Agricultural Research Service (ARS). Extension, education, and communication activities related to the research must be addressed.

#### (J) Policy Research Centers (aka Agriculture and Rural Policy Research)

Program was authorized in FY 2011. However, no projects were funded.

#### (K) Rangeland Research Program (aka Joe Skeen Institute for Rangeland Restoration)

For the FY 2011 award cycle, approximately \$940,000 was available from NIFA for project grant after subtracting administrative costs.

A total of 9 applications requesting a total of \$4.1 Million were received in this years competition. In August 2011, a 5-member peer review panel evaluated these applications virtually. The peer panel included research and extension faculty from EpSCOR, Hispanic Serving land grant universities. Panelists were geographically, culturally and gender diverse.

Funds were available to support a total of 2 awards (approximately \$450,000 each) in one of the following Project Priorities:

(1) Rangeland Restoration emphasis on evaluating the optimal combination of management methodologies and technologies that result in the establishment, after drastic disturbance, of functional plant communities providing the products and services desired from rangeland ecosystems. The focus should be placed on research integrated with outreach to restore degraded rangeland, enhance overall soil quality, increase biomass productivity, retain and enlarge wildlife habitat, and improve water and air quality.

(2) Management of Rotational Grazing identification and evaluation of the role of management on the effectiveness of rotational grazing. Management decisions can be informed by an understanding of the spatial variability of rangeland pastures, grazing activity, and use of information technology and spatial monitoring in livestock systems, among other contributions to elevate pasture utilization.

(3) Management of Co-grazing - investigate whether co-grazing can result in more efficient utilization of rangeland pastures. The experimental approach

should integrate effects of co-grazing on the animals (e.g., forage selectivity, animal behavior; health, average daily gain and other measures of animal performance) with impacts of co-grazing on the rangeland ecosystem (e.g., forage composition, diversity of plant species, soil quality, wildlife habitat).

The funding ratio for this program in FY11 was 22%. Fiscal Year 2012: A) Expert IPM Decision Support System:

Pertinent details must be provided by Program at a future date.

#### (B) Global Change, UV-B Monitoring

Pertinent details must be provided by Program at a future date.

#### (C) Integrated Pest Management & Biological Control

Pertinent details must be provided by Program at a future date.

#### (D) Interregional Research Project # 4 - Minor Crop Pest Management (IR-4) Program

IR-4s accomplishments for FY 2012 have not been reported yet, but are expected to be similar to FY 2011. Expectations are 5 applications with 5 funded

#### (E) Pest Management Alternatives

Funds available were similar to FY 2011, resulting in funding 7 projects out of 40 applications. The accomplishments by PMAP projects for FY 2012 are not readily available at this time.

#### (F) Other (Potato Breeding Research in FY 2011)

For the FY 2012 award cycle, \$1,238,000 was available for this program.

A total of four applications, requesting a total of \$1,642,995, were received in this years competition. On June 8, 2012, a five-member peer review panel evaluated these applications. The peer panel included faculty from land grant colleges and universities, and an ARS national program leader.

Funds were available to support a total of four awards.

The funding ratio for this program in FY12 was 100 %.

Funded projects should support potato (*Solanum tuberosum* L.) research programs that focus on varietal development and testing and potato varieties for commercial production. Aspects of evaluation, screening and testing must support variety development.

#### (G) Critical Agricultural Materials

RFA release July 2, 2012. NIFA anticipates receiving 10-15 applications and making two awards.

#### (H) Aquaculture Centers

There are few new projects approved for funding at this time that have not been completed to assess outputs, outcomes and accomplishments. It is anticipated that 80 pre-proposals will be received and 10 proposals will be funded in FY 2012.

#### (I) Supplemental and Alternative Crops (aka Canola Research)

For the FY 2012 award cycle, \$780,000 was available for this program. Maximum award size is \$210,000.

A total of 6 applications requesting a total of \$ 1, 203,229 were received in this years competition. In June 2012, a four-member peer review panel evaluated these applications. The peer panel included faculty and administrators from

land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 4 awards.

The funding ratio for this program in FY11 was 66 %.

Funded projects should address research to develop canola as a viable supplemental and alternative crop in the United States; involve stakeholders in priority setting, project development and implementation; include multi-state cooperation; and complement research being conducted by the U. S. Department of Agriculture's Agricultural Research Service (ARS). Extension, education, and communication activities related to the research must be addressed.

(J) Policy Research Centers (aka Agriculture and Rural Policy Research)

Available funds: \$3,840,000  
Total funds requested: \$23,998,415  
Total number of applications: 32  
Number of awards: 5  
Funding ration: 16%

For the FY 2012 award cycle, \$ 3,840,000 was available for project grant awards after subtracting administrative costs.

A total of 32 applications requesting a total of \$23,998,415 were received in this years competition. In February 2012, a 8-member peer review panel and panel evaluated these applications. The peer panel included faculty from land grant and colleges and universities, individuals from federal agencies and a practitioner from the agricultural policy community.

Funds were available to support a total of 5 awards for Policy Research Centers.

Purpose of centers:

Centers will include the development or enhancement of existing capacity to perform public policy analysis. Funds will support development of theoretical and empirical research methods and models to evaluate and quantify the economic impact of existing or proposed alternative policies and regulations on the agricultural sector, consumers, the environment and taxpayers, (as appropriate). Approaches may include econometric or large-scale simulation models which provide baseline and outlook projections of near- and long-term economic activity and policy impacts. Funding may also be used to collect, analyze, and disseminate data for policy makers, analysts, and individuals. Finally, centers should include training opportunities for developing public policy analytical skills for new analysts.

The funding ratio for this program in FY12 was 16%.

(K) Rangeland Research Program (aka Joe Skeen Institute for Rangeland Restoration)

For the FY 2012 funding cycle, approximately \$897,000 was available from NIFA.

We had a FY 2012 budget cut of \$50,000 in the Rangeland Research Program. A total of two awards of approximately \$440,000 each are anticipated for FY 2012. The RFA is currently open with a proposal due date of July 30, 2012. A competitive review panel composed of 5 panelists from land grant institutions and federal laboratories across the U.S. Once the panel has met (scheduled for mid-August 2012), awards will be processed and funded in FY2012. No other data or information is available. Fiscal Year 2013: A) Expert IPM Decision Support System:

Pertinent details to be provided by Program at a future date.

(B) Global/Global Change, UV-B Monitoring

Pertinent details to be provided by Program at a future date.

(C) Integrated Pest Management & Biological Control

Pertinent details to be provided by Program at a future date.

(D) Interregional Research Project # 4 - Minor Crop Pest Management (IR-4) Program

If funding is similar to 2011 it is anticipated that 5 applications will be received and 5 awards will be granted in fiscal year 2013.

(E) Pest Management Alternatives

Expectations are 35 to 45 applications with six to eight funded if the funds available are similar to FY 2011.

(F) Other (Potato Breeding Research in FY 2011)

Pertinent information to be provided by Program at a future date.

(G) Critical Agricultural Materials

FY 2013 Critical Agricultural Materials program is contingent upon the re-authorization of the Farm Bill.

(H) Aquaculture Centers

Continued regional aquaculture research, demonstration and extension education projects based on regional industry priorities and needs. It is anticipated that 80 pre-proposals will be received and 10 proposals will be funded in FY 2013.

(I) Supplemental and Alternative Crops (aka Canola Research)

Pertinent details to be provided by Program at a future date.

(J) Policy Research Centers (aka Agriculture and Rural Policy Research)

Funding for program is not anticipated for FY 2013.

(K) Rangeland Research Program (aka Joe Skeen Institute for Rangeland Restoration)

Pertinent details to be provided by Program at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Plant Systems-Protection, 1400 Independence Avenue, SW., STOP 2240, Telephone: (202) 401-4939, Fax: (202) 1782.

#### **ADDITIONAL CONTACT:**

USDA, NIFA, National Program Leader, Institute of Bioenergy, Climate, and Environment, Division of Bioenergy, 1400 Independence Avenue, SW., STOP

2210, Washington, District of Columbia, 20250-2210 , Telephone: (202) 401-5244, Fax: (202) 401-2653.

, Washington , District of Columbia 20250-2240 Phone: (202) 401-4939

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.215 Sustainable Agriculture Research and Education; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.303 Integrated Programs; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (A) Expert IPM Decision Support System:  
Pertinent details to be provided by Program at a future date.

(B) Global Change, UV-B Monitoring  
Pertinent details to be provided by Program at a future date.

(C) Integrated Pest Management & Biological Control  
Pertinent details to be provided by Program at a future date.

(D) Interregional Research Project # 4 - Minor Crop Pest Management (IR-4)  
Program  
IR-4 Minor Crop Pest Management

(E) Pest Management Alternatives  
Alternatives to organophosphate and organocarbamate insecticides in the Management of Thrips and Tomato Spotted Wilt Virus in Peanut by Srinivasan

(F) Other (Potato Breeding Research in FY 2011)  
Potato breeding and regional evaluation trials with seven states. From the trials, breeding stocks and advanced selections are shared with more than a dozen other states. Goals are developed based on stakeholder input. New cultivars and clonal selections are released or co-released with other institutions. These make up substantial and increasing portions of the regional potato acreage, important contributors to the economies of the states.

Regional potato breeding, genetics, and cultivar development , both collaborative and multidisciplinary. Multi-site evaluation conducted by teams of potato breeders and geneticists, agronomists, plant pathologists, entomologists, and biochemists from land grant universities and USDA/ARS. Focus is on market- limiting traits, e.g. in the processing sector, high specific gravity, low sugar content, long-term storability, bruise resistance, light color, tuber shape, and sugar-end resistance, combined with traits that provide durable host plant resistance to regionally important pathogens, insect pests, and environmental stresses, and provide enhanced plant physiological efficiencies resulting in improved nutritional attributes and more sustainable environmental quality, as prioritized by stakeholders. The project uses mainly traditional hybridizing techniques, but also includes marker-assisted selection and early generation screening techniques to enhance selection biotic and abiotic stresses.

(G) Critical Agricultural Materials  
DEVELOPMENT AND DEMONSTRATION OF A LOW VOC POLYURETHANE COATING SYSTEM USING BIOPOLYOLS DERIVED FROM CRUDE GLYCEROL \$418,965  
This proposed project aims to develop and demonstrate an innovative low VOC waterborne polyurethane (WPU) coating technology using biopolyols derived from crude glycerol, a low value byproduct of the biodiesel industry. The project goals and objectives will be fulfilled by the collaborative effort among The Ohio State University, Ohio Soybean Council, Ford Motor Company,

Sherwin-Williams, Kennedy Space Center, and PolyGreen Technologies LLC. The proposed technology provides a novel and environmentally preferable alternative to petroleum-based PU coating processes. The technology also contributes to the long term sustainability of US agriculture and biodiesel industries via value-added conversion of an agriculture-based low value biodiesel byproduct, i.e., crude glycerol, to commercially important products. UV-CURABLE BIOBASED WOOD FLOORING COATINGS \$300,419

This project leverages prior work in developing bio-based UV-cure coatings to demonstrate and validate a new UV-curable coating formulation for the wood flooring market having at least 30% bio-based content and 0-to-low volatile organic content (VOC). The project team will custom-formulate a novel, bio-based building block for use in wood flooring coatings and validate formulas in the lab against an industry-accepted battery of tests. At the successful completion of the program, the new bio-based, UV-curable coating will have been made to scale, applied on a commercial coating line, and validated against requirements accepted by the wood flooring industry.

**THE DEVELOPMENT OF NEW COATING AND ADHESIVE SYSTEMS DERIVED FROM NOVEL PLANT OIL-BASED POLYMERS**

Plant oils are important renewable raw materials for the chemical industry. Chemicals derived from plant oils have been used to produce surfactants, components for cosmetics, lubricants, polymers, coatings, and flooring materials. The proposal team recently developed a break-through technology involving the synthesis of novel plant oil-based vinyl ether monomers and the subsequent controlled polymerization of the monomers to produce high molecular weight polymers. The primary objective of the proposed project is to utilize copolymerization to tailor properties with primary emphasis being the enhancement of mechanical and thermomechanical properties to enable the replacement of a much larger fraction of petrochemical-based polymers and oligomers than can be accomplished with current plant oil-based technology. A Life Cycle Analysis will be conducted to demonstrate the environmental advantages of the most promising copolymer composition over a commercially available petrochemical analog.

**(H) Aquaculture Centers**

Development of baitfish, goldfish and ornamental fish hatchery methods;  
Economic forecasting and policy analysis models for catfish and trout;  
Improving reproductive efficiency of cultured finfish;

Use of global information systems for improved siting of commercial shellfish farms and shellfish farm management;  
Global analysis of eelgrass standing stock and yield;  
Cost-effective alternative protein for rainbow trout that supports growth, health and product quality;  
Optimizing dietary protein and energy utilization to improve production efficiency of tilapia;  
Economic analysis of aquaponic systems;  
Mitigating diseases of freshwater cultured fish species.

**(I) Supplemental and Alternative Crops (aka Canola Research)**

Identify high-yielding canola cultivars to increase supply and production of nutritious seed oil, renewable feedstock for bioenergy and quality animal feed; promote outreach through on-farm demonstration plots and extension materials on aspects of canola farming including planting, cultivation, harvest, and processing from seed to oil; and cultivate partnership between farmers and industries to sustain and support expansion of canola production.

Develop agronomic practices that will enhance canola production, develop better strategies for managing canola diseases, and develop canola varieties with higher oil content and yield.

**(J) Policy Research Centers (aka Agriculture and Rural Policy Research)**

No projects were funded in FY 2011.



(K) Rangeland Research Program (aka Joe Skeen Institute for Rangeland Restoration)

Using new knowledge on grazing behavior to control medusahead and promote rangeland restoration

Medusahead is an invasive weed, which impacts whole ecosystems, reducing habitat and biodiversity, commercial and recreational value. Grazing represents a sustainable, efficient, and low-cost alternative for its control. However, results about its applicability are not encouraging. Grazing approaches have not considered new knowledge on foraging behavior like the importance of positive experiences early in

life with the biochemical context (provided by the plant community or supplements) on preference for target feeds. Project Directors (PDs) are investigating a supplementation and fertilization program, to provide the appropriate nutritional context to enhance use of medusahead by sheep (Objective 1a), and favor soil conditions necessary to increase the competitive ability of perennials in the community (Objective 2a). Using this information, they plan to implement a supplementation and fertilization program to increase medusahead use by sheep (Objective 1b) and explore its impact on soils and on the plant community (Objective 2b). PDs are also testing the effects of an appropriate nutritional context experienced early in life with mother on use of medusahead later in life by sheep (Objective 1c). They will determine how social, cultural, economic, and/or institutional factors influence prospects for the control of medusahead infestations (Objective 3). Research is planned to be integrated with outreach (web, print, and presentations) to restore medusahead-infested rangeland (Objective 4). This research, designed with stakeholder input, is aimed at enhancing the restoration and sustainable integrity of rangelands providing stakeholders with new knowledge about medusahead. This NIFA-funded project addresses the priority area Rangeland Restoration for the FY2011 Rangeland Research Program.

A systems approach to seedling establishment on degraded rangeland: Managing ecological processes driving recruitment bottlenecks to improve rangeland restoration

Altered disturbance regimes are systematically destroying healthy rangeland and directly threatening U.S. agriculture, food security, and sustainability. While every major stakeholder group in the West has recognized that restoration is critical to stem the massive and continuous loss of rangeland, establishment of functional plant communities on arid rangeland following disturbance is difficult and failure rates are high. Although ecologists and managers have been aggressively working towards improving our ability to establish plant communities, work to date has largely been pursued as a series of unlinked, site-specific studies. Researchers lack a systems framework for developing general principles, identifying key knowledge gaps and directing future research and management. The broad goal of this project is to develop, validate and deploy a systems approach for improving seedling establishment in Wyoming big sagebrush ecosystems. The core of this projects framework uses life-cycle population models to link plant population dynamics to management. To address their goal they are: 1) Conducting demographic and 2) sensitivity analysis to determine which life stage transitions most limit seedling recruitment along major ecological gradients; 3) Identifying key ecological processes limiting demographic transitions; 4) Developing tools to manage ecological processes limiting these transitions; and 5) Integrating the findings into education and economic assessment programs aimed at enhancing adoption of ecologically-based restoration. Restoring functional plant communities on arid rangeland following disturbance is a long-standing, serious and complex problem. Developing and adopting a systems approach that can organize and direct seedling establishment research is essential if rangeland professionals are to make continuous and measured advancements in management. Fiscal Year 2012: A) Expert IPM Decision Support System: Pertinent details to be provided by Program at a future date.

(B) Global Change, UV-B Monitoring

Pertinent details to be provided by Program at a future date.

(C) Integrated Pest Management & Biological Control  
Pertinent details to be provided by Program at a future date.

(D) Interregional Research Project # 4 - Minor Crop Pest Management (IR-4) Program  
Inter-Regional Research Project No. 4: Minor Crop Pest Management for the North Central Region

(E) Pest Management Alternatives

An Integrated Multi-tactic Approach for Managing Native Weevil Pests of Multiple U.S. Fruit Crops by Cesar Rodriguez-Saona

(F) Other (Potato Breeding Research in FY 2011)  
Potato breeding and variety development for specific high-value specialty areas. Collaborative multi-site selection, evaluation, and variety development work among states and with USDA-ARS. The overall goal is to develop an array of attractive, highly productive, disease- and insect-resistant potato varieties that can be employed by small and large potato producers to enhance marketing opportunities, farm sustainability and grower profits. The project focuses on classical breeding techniques, but also includes marker-assisted selection for resistance to internal defects, diseases, and insect pests. A coordinated, team approach for helping to solve current and future problems encountered by the U.S. potato industry.

Release and commercialization of new potato varieties that will directly benefit all segments of the potato industry and all US producing regions. The strategy is to identify traits, make crosses, and apply selection pressures that will increase the probability of developing varieties that can be produced and utilized more efficiently than existing varieties. Goals include high yield, improved processing quality, genetic resistance to major pests and diseases, higher levels of resistance to stresses, increased nutrient use efficiency, improved human nutritional value, and high tuber quality, and reduced use of pesticides, water, and fertilizers. This is accompanied by myriad minor objectives involving germplasm enhancement, germplasm production, selection procedures, disease and stress screening, variety trial design and conduct, seed increases, management studies, and commercial evaluations.

(G) Critical Agricultural Materials  
Pertinent details to be provided by Program at a future date

(H) Aquaculture Centers  
At this time regional planning processes are underway to identify and recommend funding for new specific regional projects from FY 2012 funding. Numerous projects are funded for multiple fiscal years as well. Funded regional projects are anticipated to advance commercial aquaculture development by solving critical problems and bottlenecks for successful enterprises with new science-based knowledge, improved practices and tools and new technologies for a wide diversity of aquaculture species, production systems, marketing outlets, and aquatic environments in the Nation.

Few projects have been funded yet. A few examples involve environmental and endogenous factors affecting the egg quality and caviar yield in farmed sturgeon and genetic marker-assisted selection of Northeastern hard clams for critical disease resistance;

(I) Supplemental and Alternative Crops (aka Canola Research)

Identify superior cultivars; develop ensiling systems; investigate planting dates, potassium fertilizer, and residue decomposition; investigate spring canola systems for increasing interest and production; study ecology and environmental aspects/trade-offs while finding best management practices for growers; provide information for new canola growers; investigate and

investigate harvest efficiencies.

Address five clearly-identified barriers to continue expansion of canola acres including pest management (insects and diseases), no-till management, rotational systems, and extension resources.

Multidiscipline research on breeding, agronomics, herbicide management, and disease management. Increase diversity in cropping systems to reduce pests and disease carryover.

(J) Policy Research Centers (aka Agriculture and Rural Policy Research)

This was a new competitive grants program. Funded projects included:

Food Policy Research Center

National Agricultural and Rural Development Policy Center

A Policy Research Center Proposal: The Center for Agricultural and Rural Development

Center for Agricultural and Food Industrial Organization - Policy Research Group

OSU-UC Davis Partnership For Agricultural and Resource Policy Research

An example of a funded project is:

One Agricultural and Resource Policy Research

The design of socially responsible public policy requires a comprehensive, rigorous, and timely assessment of its economic, environmental and social impacts. This project will address this need by establishing a Partnership for Agricultural and Resource Policy Research. The mission of the Partnership will be to provide the highest quality, objective economic analysis of critical public policy issues on agriculture, natural resources, environment, food systems, nutrition, and technology. The Partnership represents an institutional innovation towards productive regional collaborations between Land Grant institutions.

The overarching goals are: to help policymakers and stakeholders understand how policies affect the economy, natural resources, the environment, and society; and to provide innovate research focusing on specialty crops, conservation and consumer issues, with an emphasis on the Western United States. The Partnership will cover the four emphasis areas specified in the NIFA

request. Our primary approach will be to conduct multi-disciplinary research rooted in economic theory and quantitative methods, capitalizing on the policy experience and expertise of faculty at the two institutions. In the first year, the team will use existing modeling capability to address current policy analysis; in the second year, models will be integrated into a more unified framework for policy analysis. An innovative, comprehensive education and dissemination program complements the policy research. Building on strong institutional support, this Partnership represents a long-term commitment to policy research and education. The Partnership will provide value to society by supporting informed decision making and reducing the uncertainties associated with future policies.

(K) Rangeland Research Program (aka Joe Skeen Institute for Rangeland Restoration)

Pertinent details to be provided by Program at a future date. Fiscal Year 2013:

A) Expert IPM Decision Support System:

Pertinent details to be provided by Program at a future date.

(B) Global Change, UV-B Monitoring

Pertinent details to be provided by Program at a future date.

(C) Integrated Pest Management & Biological Control

Pertinent details to be provided by Program at a future date.

(D) Interregional Research Project # 4 - Minor Crop Pest Management (IR-4) Program

Southern Region Program to Clear Pest Control Agents for Minor Uses

(E) Pest Management Alternatives

If funding is similar to FY 2011 it is anticipated that 35 to 45 applications will be received and 6 to 8 projects would be funded. The funded projects can focus on a wide variety of issues including pest management in plants, livestock and human health. Quite often pest problems in specialty/minor crops are the basis of many proposals.

(F) Other (Potato Breeding Research in FY 2011)

Pertinent details to be provided by Program at a future date.

(G) Critical Agricultural Materials

FY 2013 Critical Agricultural Materials program is contingent upon the re-authorization of the Farm Bill.

(H) Aquaculture Centers

Continued regional aquaculture research, demonstration and extension education projects based on regional industry priorities and needs. Funded regional projects are anticipated to advance commercial aquaculture development by solving critical problems and bottlenecks for successful enterprises with new science-based knowledge, improved practices and tools, and new technologies for a wide diversity of aquaculture species, production systems, marketing outlets, and aquatic environments in the Nation.

(I) Supplemental and Alternative Crops (aka Canola Research)

Pertinent details to be provided by Program at a future date

(J) Policy Research Centers (aka Agriculture and Rural Policy Research)

Funding is not anticipated for FY 2013.

(K) Rangeland Research Program (aka Joe Skeen Institute for Rangeland Restoration)

Pertinent details to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.202 COOPERATIVE FORESTRY RESEARCH**

McIntire-Stennis Cooperative Forestry Research Act (M/S) Program

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Executive Order Public Law 87-778 (76 Stat. 806, 16 U.S.C. 582a, et seq.) signed into law on October 10, 1962 is also known as the McIntire-Stennis Cooperative Forestry Research Act.

#### **OBJECTIVES:**

The purpose of this funding is to increase forestry research in the production, utilization, and protection of forestland; to train future forestry scientists; and to involve other disciplines in forestry research. Funding should also address the high priority issues described in the current M/S Strategic Plan: Sustaining Healthy and Productive Forests: An Investment in Americas Competitive Position in the Global Marketplace: (1) science of integration; (2) forest ecosystem services; (3) human attitudes and behaviors; (4) conflict, uncertainty, and decision-making; (5) technological advancements, productivity, and forest applications; and (6) urban ecosystems.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

The McIntire-Stennis Cooperative Forestry Research Act (M/S) grant is used to assist all states in carrying out a program of state forestry research at state forestry schools and colleges and developing a trained pool of forest scientists capable of conducting needed forestry research, which should include:

(1) ecological restoration;

- (2) catastrophe management;
- (3) valuing and trading ecological services;
- (4) energy conservation, biomass energy and bio-based materials development;
- (5) forest fragmentation;
- (6) carbon sequestration and climate change; and
- (7) ways of fostering healthy forests and a globally competitive forest resources sector.

Additionally, M/S funds should be allocated to the following high priority issues:

- (1) science of integration (ecosystem or landscape approaches including interdisciplinary multi-state projects);
- (2) forest ecosystem services;
- (3) human attitudes and behaviors;
- (4) conflict, uncertainty, and decision-making;
- (5) technological advancements (biotechnology, nanotechnology and geospatial technology), productivity, and forest applications; and
- (6) urban ecosystems.

Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors:

- (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land;
- (2) forty percent is allocated based upon the volume of timber cut annually from stock; and
- (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources.

Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. Applications may be submitted by State-certified Schools of Forestry as stipulated in accordance with Section 2 of Public Law 87-788, McIntire-Stennis Act. Section 7412 of the Food, Conservation, and Energy Act of 2008 amended Section 2 of the McIntire-Stennis Cooperative Forestry Act (16 U.S.C. 582a-1) to include the 1890 Land-grant Institutions and made this change effective October 1, 2008.

(1) Approved CSREES M/S Projects, CSREES will fund the M/S Program for authorized activities. Funds must be expended on approved M/S projects.

(2) Cost-Sharing and Matching funds are mandated in Section 4 of the McIntire-Stennis Act (16 U.S.C. 582a-3). 7 CFR 3015.50-56 prescribes the standards applicable to determining the allowability of cash and in-kind contributions for matching funds. Matching funds also must be expended on approved M/S projects. Formula grant recipients are to provide matching (as detailed in Part VIII.A.6 of the Formula Grant Opportunity (FGO)), either cash or in-kind, on a dollar-for-dollar basis (100 percent) on all Federal funds allotted. Eligible institutions located in insular areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) are not required to match amounts at or below \$100,000, if the allocation is below \$200,000.

(3) Waiver of Indirect Costs. Only applicable to Insular Areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) for amounts at or below \$200,000.

(4) Indirect Costs and Tuition Remission. In accordance with Section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as an M/S formula grant or matching expenditure. Fully discretionary.

#### **Applicant Eligibility:**

Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State-certified forestry schools and other groups concerned with forestry research. This program is also available to Guam, Puerto Rico, the Virgin Islands,

American Samoa, Northern Mariana Islands, and Micronesia.

#### **Beneficiary Eligibility:**

Funds are appropriated by Congress for distribution to State institutions certified as eligible by a State representative designated by the Governor of each State. Funds are apportioned among States by the Secretary of Agriculture after consultation with a National Advisory Council representing the State-certified forestry schools and other groups concerned with forestry research. This program is also available in Guam, Puerto Rico, the Virgin Islands, American Samoa, Northern Mariana, and Micronesia.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

NIFA Applications (R&R Other Project Information - Section 4.4) requires a response to the question regarding "Actual or Potential Impact on the Environment." For this program the response is "No.". Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

#### **Award Procedure:**

Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors: (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land; (2) forty percent is allocated based upon the volume of timber cut annually from stock; and (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. All individual MS projects, as well as the annual Programs of Research, are reviewed and approved by the National Program Leader (NPL). Funds are not released on a quarterly basis unless an annual Program of Research is approved by the NPL.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not applicable, each year of funding is awarded as a new grant.

#### **Formula and Matching Requirements:**

Statutory Formula: Public Law 87-778. 76 Stat. 806, 16 U.S.C. 582a, et seq. Matching Requirements: Percent: 100%. Funding is provided to the States through a formula-based allocation process which depends on several factors. First, a base amount (approximately \$25,000) is allocated to each State; however, this base amount is excluded from the formula. The balance of funding to each State is determined through a ranking process and dependent upon the following three factors: (1) forty percent of the remaining balance is allocated based on the area of non-Federal commercial forest land; (2) forty

percent is allocated based upon the volume of timber cut annually from stock; and (3) twenty percent is allocated based on the total expenditures for forestry research from non-Federal sources. Funds are then distributed to the eligible State-certified Institutions within the State as determined by the Governors designee. Formula grant recipients are to provide matching [as detailed in Part VIII.A.6 of the Formula Grant Opportunity (FGO)], either cash or in-kind, on a dollar-for-dollar basis (100 percent) on all Federal funds allotted. Eligible institutions located in insular areas (i.e., American Samoa, Guam, Micronesia, Northern Marianas, Puerto Rico, and the Virgin Islands) are not required to match amounts at or below \$100,000, if the allocation is below \$200,000. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

M/S funds are expected to be fully expended in the fiscal year (FY) of appropriation; however funds may be carried forward one (1) additional fiscal year (FY). These carryover funds must be fully expended by September 30 of the following year. No prior approval to carryover these funds is required from NIFA. Method of awarding/releasing assistance: quarterly.

**Reports:**

Institutions are expected to submit an annual Program of Research, a listing of all approved McIntire-Stennis projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; CSREES-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each M/S project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421, Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1, 2010 for the preceding calendar year. Reports from institutions reporting on a fiscal year shall be submitted by February 1, 2010 for the preceding fiscal year.

An Accomplishments Report, CRIS Form AD-421, shall be submitted to CSREES for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Financial and Staff Support Report, shall be submitted to CSREES annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and are to be submitted by February 1, 2010.

Institutions are required to submit the SF-425, Federal Financial Report, per Agency instructions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grant Branch  
Awards Management Division  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298  
Telephone: (202) 401-6520  
Fax: (202) 690-3002  
E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$31,110,110; FY 12 est \$31,077,985; and FY 13 est \$31,083,439 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$32,934,000 was appropriated by Congress for the McIntire-Stennis Cooperative Forestry Research Program. After deducting administrative costs and other assessments, the total amount going to States was \$31,110,110 with a corresponding match of \$30,833,716. All these funds supported a total of more than 700 projects of which 157 are new. Accomplishments include:

1. Low nutrient availability limits growth rates on many forest plantations in the southeastern United States. North Carolina State University's nutrition research on southern pine plantations including weed control and tillage has established prescriptive fertilization rates. Over 1.5 million acres of southern pine plantations are now fertilized annually. One year of fertilization results in the production of at least an additional 30 million tons of southern pine wood. Diagnostic tools, prescriptions, and response information are now available and play a key role in the adoption of and wise use of fertilizers as a silvicultural tool.
2. Currently used wood adhesives are predominately derived from non-renewable petrochemicals and may contain hazardous formaldehyde. Oregon State University has successfully developed an environmentally friendly wood adhesive from soybean flour. The adhesive is currently used in the commercial production of interiorly used plywood panels. One of the adhesives has been successfully commercialized for production of plywood and particleboard in a number of plants.

The emission of volatile organic compounds and hazardous air pollutants in each plant has been reduced by 90% by replacing the urea-formaldehyde resin with this new alternative adhesive. It is estimated that plywood plants adopting this technology consumed about 26,000,000 lbs of soy flour in one year and that particleboard plants will consume additional 15,000,000 lbs of soy flour per year after its full conversion.

3. Accidental or diffuse release of pollutants from urban and industrial areas, including those resulting from widespread application of agrochemicals, clearly

impinges on the quality of surface and ground water. Thus, it is important to develop cost-effective methods to cleanup contaminated water. The University of Massachusetts develops a novel and value-added avenue for forest thinnings and other wood wastes through basic understanding of their chemical and physical properties that promote the attenuation of pollutants (both organic and inorganic contaminants) from contaminated water. The results of this project suggest aromatic moieties and polarity of Aspen wood fibers play significant roles in polyaromatic hydrocarbons (PAHs) sorption and desorption. Aspen wood fibers are a potential sorbent for organic contaminants from waste water. Chemical modifications of the wood matrix can effectively increase its sorption and cleanup efficiency.

4. As systemic problems of declining environmental quality due to impacts of modern intensive row-crop agriculture continue to escalate from local to regional scales in the Midwestern U.S., there is a need to integrate more holistic, integrated and ecologically-based approaches to producing food, fiber, and fuel while sustaining communities and economies. Iowa State University research is demonstrating that diverse perennial vegetation (native prairie plantings, encroached and restored oak savannas) provide important ecological functions related to the uptake and cycling of water, nutrients, and carbon, and that their incorporation into annual cropping systems can reduce losses of key resources and enhance overall sustainability of agricultural landscapes.

These results are providing a scientific basis for strategically incorporating perennial plants into agricultural systems to achieve multiple environmental and societal benefits, thereby serving as a guideline for developing more effective agricultural policies that take into account the ecosystem services afforded by diverse, perennial-based agroecosystems.

5. Increasing dependency on fossil power is true in the forest products industry both in the field (harvest) and in the mill (product conversion). The University of Georgia, using Langdale Industries Inc. as the experimental site, examined the efficacy of economically chipping unmerchantable forest understory and logging slash for biomass conversion to fuel for co-generation facilities. Chipping unmerchantable understory and logging slash did not negatively impact round wood production, but provided a source of chips to the mill below average market prices for fuel chips. The energy balance for these chips had a ratio of 44:1 delivered to the mill, one of the best ratios for any feedstock. Using mill residues and these fuel chips, Langdales OSB mill is now fossil-fuel independent. Fiscal Year 2012: \$32,934,000 was appropriated by Congress for the Program for FY 2012. The net amount awarded to support the different programs was \$31,077,985. Each recipient of the grant is expected to match the grant amount 100%. For this year the actual amount is not yet available.

Accomplishments have not yet been reported. Fiscal Year 2013: 2013 Appropriations have not been approved but it is expected to be similar to 2012 appropriations based on Appropriations Committee deliberations.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the McIntire-Stennis Cooperative Forestry Research Program, (manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Bioenergy, Climate and Environment Division of Environmental Systems, 1400 Independence Avenue, SW., STOP 2210., Washington, District of Columbia 20250-2210  
Phone: (202) 720-5229 Fax: (202) 720-3945

#### **Website Address:**

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

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Quantifying Forest Ecosystem Structure and Functioning Related To Changes In Air Quality In The Southern United States: Ecosystem productivity is affected by many environmental factors. Stresses induced by changes in both the physical and chemical climate of the Earth may have a dramatic effect on the growth and function of southern forested ecosystems. The overall goal of this project is to determine the effects of changes in air quality on forested and associated ecosystems structure and function. Results will provide critically needed data on physiological and growth responses of mature trees and associated herbaceous species in the field under a range of ambient air pollution exposure regimes. To meet the overall goal three major objectives have been formulated:

1. Delineate the exposure-response relationship between selected air pollutants and growth of mature forest trees in the eastern United States.
2. Determine the effects of air pollutants on the structure and function of select native plant communities.
3. Estimation of carbon storage and air pollution removal by the urban forest and comparison among forest types in a small, expanding southern metropolis.

#### **Improving Profitability of Forest Operations in The Southern United States Through Incorporation of Ecosystem Services:**

This project focuses on examining the feasibility of providing ecosystem services by two Southern U.S. forestry stakeholder groups: non-industrial private forest landowners (NIPF) and primary forest products manufacturers. The study will examine willingness of NIPF landowners to provide ecosystem services such as game and non-game wildlife habitat, recreational leasing, wetland banking, and carbon sequestration. Also, it will determine capacity of primary forest products manufacturers to participate in biomass and carbon markets by utilizing logging residues for bioenergy production and reduction of carbon dioxide (CO<sub>2</sub>) emissions. Two mail surveys will be conducted at the beginning of the study to determine landowner willingness to provide ecosystem services and capacity of Southern mills to utilize logging residues and reduce CO<sub>2</sub> emissions. An additional mail survey will be conducted in the study mid-term to examine feasibility of incorporating utilization of woody residues into bioenergy clusters.

#### **New Systems For Controlling Transportation Costs in The Pacific Northwest's Bioenergy Supply Chain**

Forest residues, agricultural residues and urban waste have been identified as three of the large sources of raw material available for bioenergy conversion in the USA. Perlack et al. (2005) note that over a billion dry tons per year would be available from forest and agricultural sources and from recycled wood from urban waste. OREAP notes that, although investment in forest and other biomass conversion to energy will lead to multiple environmental, economic and social benefits, "the high cost of gathering and transporting [this raw material] to an energy conversion facility continues to be [a] barrier to economic biomass development." Oregon is not alone in having such concerns. The Roadmap identified "reducing the cost of harvesting, transportation, and storage" as a major barrier to overcome in biomass feedstock systems. The long-term goal of this project is to remove one of the barriers to economic biomass development by reducing biomass transportation costs. This will be achieved by adopting a systems. Fiscal Year 2012: Synthesis of Novel Biomass-Based Polymeric Materials For Composite Application: Abundant and renewable biomass provides a great potential for the discovery and development of novel materials and polymers. These sustainable materials can serve as important substitutes to replace petroleum-based chemicals and products. Chemical synthesis of carbohydrates-based biomaterials has attracted substantial amount of attention associated with energy production. Furan resin can be produced by polymerization of furans with phenol or urea. However, the production of furan through hydrolysis and dehydration of biomass is limited by low yield and lack of selectivity. We propose a "Synthesis of novel biomass-based polymeric materials for composite application" through one-pot innovative polymerization system with urea and hemicellulose stream, will

overcome this bottleneck and efficiently synthesize new polymer for potential composite application. The long term goal of this research is to discover and develop value added biomaterials and polymers from biomass that can be used as green adhesive and resin with non-emission of volatile organic compounds (VOCs) in composite application. The specific objective in this proposal is to investigate the condensation reaction among urea, furfural and xylose and to identify the mechanism of their polymerization. Our central hypothesis is that hemiacetal group on xylose and aldehyde group on furfural can act as functional groups to replace formaldehyde and react with urea for polymerization. One-pot polymerization of urea and hemicellulose stream is an innovative approach to advance the furan polymer synthesis that traditionally requires conversion of sugars to furfural. At the completion of this project, we expect new hemicellulose based polymeric materials will be developed with low VOCs emissions, and could replace the petroleum-based urea-formaldehyde polymer.

#### Factors Affecting the Durability of Engineered Wood Composites:

Increasing the durability of EWC offers real challenges and impacts not only companies which manufacture such products, but also the consumer who desires a long-lived product, especially in housing. Increasing the durability and better understanding the impacts of moisture, temperature, and biotic organisms on composite material will help us to create better demand for Mississippi's most economically important industrial feedstock, wood. The relationship between decay rate and strength loss in wood is a complex one hindered by our ability to accurately assess decay rate, especially using non-destructive evaluation (NDE) techniques. This proposal examines the factors affecting the durability of basic requirements and impact of environmental factors will be used in developing a model for composite durability.

#### Evaluation of Silvicultural Practices and Development of Growth and Yield Models To Enhance Value of Southern Pine Plantation Management:

Georgia had 24.2 million acres of timberland available for commercial use, which was 65% of the total land area of the state. Georgia's forest resources had a total economic annual impact of \$26 billion with an annual direct economic impact of \$16.1 billion. Forestry directly created over 67,000 jobs statewide and supported in excess of 150,000 total jobs Pine plantations constitute 27% or 6.5 million acres of the state's commercial forest land and will become increasingly important as a source or raw materials for the forest products industry and for other uses such as wildlife habitat, bio-energy production, recreation, and carbon sequestration. Knowledge of how pine plantations respond to different silvicultural treatments and regimes in regards to productivity, product distribution, and quality over a rotation period will aid in developing effective and efficient silvicultural prescriptions. This project will improve knowledge of silvicultural and genetic treatments impacts on loblolly and slash pine plantation performance by analysis of unique, large regional studies that test numerous combinations of silvicultural and genetic treatments over a range of sites. Fiscal Year 2013: To be provided by Program at a future date.

#### CRITERIA FOR SELECTING PROPOSALS:

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

#### 10.203 PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER THE HATCH ACT

Hatch Act and The Hatch Act of 1887 aka

PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER THE HATCH ACT:

(A) The Hatch Act of 1887 (Regular Research)

(B) The Hatch Act of 1887 (Multistate Research Fund)

#### FEDERAL AGENCY:

National Institute of Food and Agriculture, Department of Agriculture

#### AUTHORIZATION:

Hatch Act of 1887, as amended; Public Law 84-352, 7 U.S.C. 361a-361i; Education Amendments of 1972, Section 506, Public Law 92-318; Public Law 93-471; Public Law 95-113; Education Amendments of 1980, Section 1361, Public Law 96-374, 7 U.S.C. 301; Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185, Public Law 108-352, 7 U.S.C 361.

#### OBJECTIVES:

To support agricultural research at State Agricultural Experiment Stations. Its purpose is to promote efficient production, marketing, distribution, and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life. Up to 25 percent (25%) of funds to be used for integrated cooperative research and extension activities.

#### TWO (2) PROGRAMS ARE FUNDED UNDER CFDA 10.203. SPECIFIC OBJECTIVES ARE AS FOLLOWS:

(A) The Hatch Act of 1887 (Regular Research)

The Hatch Act of 1887 provides the basis for Federal funding for agricultural research activities at the State Agricultural Experiment Stations in the 50 States, the District of Columbia, and the Insular Areas.

State Agricultural Experiment Stations are eligible for funds appropriated under this Act according to the following formula: The previous years base plus the current year increase as follows:

Three percent (3%) for Federal Administration,

Twenty percent (20%) equally,

Twenty-six percent (26%) in an amount which bears the same ratio to the total amount to be allotted as the rural population of the State bears to the total rural population of all the States as determined by the last preceding decennial census;

Twenty-six percent (26%) in an amount which bears the same ratio to the total amount to be allotted as the farm population of the State bears to the total farm population of all the States as determined by the last preceding decennial census; and

Twenty-five percent (25%) for the Hatch Multistate Research Fund.

(B) The Hatch Act of 1887 (Multistate Research)

Not less than twenty-five percent (25%) of the total Hatch Act of 1887 funding is allotted to the States for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one (1) State. These funds are designated as the Multistate Research Fund, State Agricultural Experiment Stations. Funds are allocated on a prorata basis and allocations are adjusted to support national and regional projects. These projects and their associated budgets are reviewed and approved annually.

#### TYPES OF ASSISTANCE:

FORMULA GRANTS

#### USES AND USE RESTRICTIONS:

USES:

Money appropriated pursuant to this Act shall also be available, in addition to meeting expenses for research and investigations conducted under authority of Section 2, for printing and disseminating the results of such research, retirement of employees subject to the provisions of an Act approved March 4, 1940 (54 Stat. 39), administrative planning and direction, and for the purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting research. The State Agricultural Experiment Stations are authorized to plan and conduct any research authorized under Section 2 of this Act in cooperation with each other and such other agencies and individuals as may contribute to the solution of the agricultural problems involved, and moneys appropriated pursuant to this Act shall be available for paying the necessary expenses of planning, coordinating, and conducting such cooperative research. Up to twenty-five percent (25%) of funds to be used for integrated cooperative research and extension activities.

(A) The Hatch Act of 1887 (Regular Research)

This grant is used to support continuing agricultural research at institutions eligible to receive funds under the Act approved July 2, 1862 (12 Stat. 503, as amended) (1862 Land-Grant Institutions), as well as State agricultural experiment stations. Funds appropriated under this section shall be used to

conduct original and other researches, investigations, and experiments bearing directly on and contributing to the establishment and maintenance of a permanent and effective agricultural industry of the United States, including researches basic to the problems of agriculture in its broadest aspects, and such investigations as have for their purpose the development and improvement of the rural home and rural life and the maximum contribution by agriculture to the welfare of the consumer, as may be deemed advisable, having due regard to the varying conditions and needs of the respective States. Further, funds may be used printing and disseminating the results of such research, retirement of employees subject to the provisions of an Act approved March 4, 1940 (54 Stat. 39), administrative planning and direction, and for the purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting research.

**(B) The Hatch Act of 1887 (Multistate Research)**

In addition to the uses applicable to the Regular Research funds, Multistate Research funds must be used for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one (1) State.

These funds are known as the Hatch Multistate Research Fund (MRF).

**RESTRICTIONS:**

**(A) The Hatch Act of 1887 (Regular Research)**

**(1) Approved NIFA Hatch Projects**

Hatch Federal funding must be used on approved Hatch projects including Hatch Multistate Research Fund (MRF) projects.

**(2) Matching**

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for agricultural research and for the establishment and maintenance of facilities for the performance of the research. However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

NIFA may consider and approve matching waivers submitted by State Agricultural Experiment Stations in the Insular Areas and the District of Columbia.

**(3) Indirect Costs and Tuition Remission**

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Hatch formula grant expenditures.

**(B) The Hatch Act of 1887 (Multistate Research)**

**(1) Approved NIFA Hatch MRF Projects**

Hatch MRF Federal funding must be used on approved Hatch MRF projects.

**(2) Matching**

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with

regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for agricultural research and for the establishment and maintenance of facilities for the performance of the research. However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. ... The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

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NIFA may consider and approve matching waivers submitted by State Agricultural Experiment Stations in the Insular Areas and the District of Columbia.

**(3) Indirect Costs and Tuition Remission**

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Hatch MRF formula grant expenditures.

Section 3(d)(1) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(1)) states, with regard to institutions in the 50 states, no allotment shall be made to a State under subsection (b) or (c), and no payments from the allotment shall be made to a State, in excess of the amount that the State makes available out of non-Federal funds for agricultural research and for the establishment and maintenance of facilities for the performance of the research. However, section 3(d)(4) of the Hatch Act of 1887 (7 U.S.C. 361c(d)(4)) provides that Effective beginning for fiscal year (FY) 2003, in lieu of the matching funds requirement of paragraph (1), the insular areas of American Samoa, the Commonwealth of Puerto Rico, Guam, Micronesia, Northern Mariana Islands, and the Virgin Islands of the United States shall provide matching funds from non-Federal sources in an amount equal to not less than fifty percent (50%) of the formula funds distributed by the Secretary to each of the insular areas, respectively, under this section. ... The Secretary may waive the matching fund requirement [of fifty percent (50%)] for any fiscal year (FY) if the Secretary determines that the government of the insular area will be unlikely to meet the matching requirement for the fiscal year (FY).

Section 7403 of the Food, Conservation, and Energy Act of 2008 amended section 3(d)(4) of the Hatch Act to subject the District of Columbia to the same matching requirements as the insular 1862 Land-Grant Institutions upon enactment (May 22, 2008).

**Applicant Eligibility:**

**(A) The Hatch Act of 1887 (Regular Research)**

Hatch Act funds are provided for agricultural research on an annual basis to the State Agricultural Experiment Stations (SAESs) which were established under the direction of the college or university or agricultural departments of the college or university in each State in accordance with the act approved July 2, 1862 (7 U.S.C. 301 et seq.); or such other substantially equivalent arrangements as any State shall determine.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

**(B) The Hatch Act of 1887 (Multistate Research)**

Hatch Act funds are provided for agricultural research on an annual basis to the

State Agricultural Experiment Stations (SAESs) which were established under the direction of the college or university or agricultural departments of the college or university in each State in accordance with the act approved July 2, 1862 (7 U.S.C. 301 et seq.); or such other substantially equivalent arrangements as any State shall determine.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project.

**Beneficiary Eligibility:**

Funds under the Hatch Act are allocated in accordance with the statutory formula stated in the Act to the State agricultural experiment stations of the 50 States, the District of Columbia, Guam, Puerto Rico, the Virgin Islands, American Samoa, Micronesia, and Northern Mariana Islands. These institutions have been identified and declared eligible by their respective State legislatures.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372.

Pre-award form submissions must be submitted to the Hatch as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system and the Current Research Information System (CRIS), and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a 5-Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

Specific project details and pertinent information should be entered in the Current Research Information System (CRIS) as in prior years. CRIS is the U.S. Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part VI.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. State Five (5) year plans of work must be submitted to and approved by NIFA before funds are released. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

The Office of Planning and Accountability and CRIS Office will notify the OEP Financial Operations Branch regarding each institutions compliance with the Plan of Work reporting requirements [i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results]. If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Financial Operations Branch will notify the institutions when all requirements

have been met or approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Section :094 - Deadlines:

Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Title The Hatch Act of 1887, Public Law 084-352. 7 U.S.C. 361c(d)(1)

Formula: Payments to States for fiscal year (FY) 1955 was a fixed base and sums appropriated in excess of 1955 level use the following fund allocation statistical factors:

- (1) Twenty percent (20%) allotted equally to each State;
- (2) Not less than Fifty-two percent (52%) to States as follows: One-half (1/2) in an amount which bears the same ratio as the rural population of the State bears to the total rural population of all the States (and the source is the 1990 Decennial Census); and one-half (1/2) in an amount which bears the same ratio as the farm population of the State bears to the total farm population of all the States (and the source is the 1990 Decennial Census); and
- (3) At least Twenty-five percent (25%) to States for cooperative research in which two (2) or more State agricultural experiment stations are cooperating to solve problems of agriculture in more than one (1) State.

Matching Requirements: Percent: 100%. (A) The Hatch Act of 1887 (Regular Research) (B) The Hatch Act of 1887 (Multistate Research)

100 percent. However, the state agricultural experiment stations in the District of Columbia and the insular areas shall provide non-Federal matching funds equal to not less than 50% of the formula funds distributed by the Secretary of Agriculture. This requirement may be waived by the Secretary.

(B) The Hatch Act of 1887 (Multistate Research)

Required Multistate Match amounts are disclosed in FGO.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Hatch funds are expected to be fully expended in the fiscal year (FY) of appropriation; however, funds may be carried over for up to one (1) year after the end of the year for which they were appropriated. No prior approval is required to carry over funds for one (1) additional year; however, no additional carryover requests may be considered or approved, as no legislative authority to do so is provided. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Institutions are expected to submit an annual Program of Research, a listing of all approved Hatch projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each Hatch project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421,

Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1 for the preceding calendar year. Reports from institutions reporting on a fiscal year



(FY) shall be submitted by February 1 for the preceding fiscal year (FY).

An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Funding and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year (FY) basis and are to be submitted by February 1.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual

Report of Accomplishments and Results. Both reports were due by April 1. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grant Branch  
Awards Management Division  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298

1400 Independence Avenue, SW  
Washington, DC 20250-2298  
Telephone: (202) 401-6520

Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

#### **Audits:**

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

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### **Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Formula Grants (Apportionments)) FY 11 \$222,869,824; FY 12 est \$222,570,462; and FY 13 est \$221,780,357 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

Multi-state allocations represent 25% of all increases above the FY 1955 base year.

#### **Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO). See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A) The Hatch Act of 1887 (Regular Research):

For the FY 2011 award cycle, \$215,000,000 was appropriated for awards to the 51 1862 Land-grant universities and six land-grants in insular areas.

There are 7649 active Hatch research projects currently reporting in the Current Research Information System (CRIS). Those projects are described as plans of work for a five-year period and roughly 20% of the total number of projects are new each year. Projects are reviewed internally at the host institution and again by national program staff at NIFA. Projects report progress in the CRIS system.

Projects may span the spectrum of research affecting all aspects of agriculture, including soil and water conservation and use; plant and animal production, protection, and health; processing, distribution, safety, marketing, and utilization of food and agricultural products; forestry, including range management and range products; multiple use of forest rangelands, and urban forestry; aquaculture; home economics and family life; human nutrition; rural and community development; sustainable agriculture; molecular biology; and biotechnology. Research may be conducted on problems of local, State, regional, or national concern.

(B) The Hatch Act of 1887 (Multistate Research Fund):

The Hatch Act of 1887 provides Federal funding for agricultural research activities at the State Agricultural Experiment Stations in the 50 States, the District of Columbia, and the Insular Areas.

Not less than 25 percent of the total Hatch Act of 1887 funding is allotted to the States for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one State. These funds are designated as the Multistate Research Fund, State Agricultural Experiment Stations. Funds are allocated on a prorata basis and

allocations are adjusted to support national and regional projects. These projects and their associated budgets are reviewed and approved annually. A matching fund requirement exists for this Formula Grant Opportunity.

For the FY 2011 Formula Grant Opportunity, \$ 53,473,757 was available for project grant awards.

NIFA received a total of 57 applications requesting a total of \$53,473,757 in FY 2011.

The funding ratio for this program in FY11 was 100%.

Funded projects addressed multistate agricultural research projects. See Hatch Act research scope description in section 160. Fiscal Year 2012: (A) The Hatch Act of 1887 (Regular Research):

For the FY 2011 award cycle, \$239,334,000 was appropriated for awards to the 51 1862 Land-grant universities and six land-grants in insular areas.

There are 7649 active Hatch research projects currently reporting in the Current Research Information System (CRIS). Those projects are described as plans of work for a five-year period and roughly 20% of the total number of projects are new each year. Projects are reviewed internally at the host institution and again by national program staff at NIFA. Projects report progress in the CRIS system.

Projects may span the spectrum of research affecting all aspects of agriculture, including soil and water conservation and use; plant and animal production, protection, and health; processing, distribution, safety, marketing, and utilization of food and agricultural products; forestry, including range management and range products; multiple use of forest rangelands, and urban forestry; aquaculture; home economics and family life; human nutrition; rural and community development; sustainable agriculture; molecular biology; and biotechnology. Research may be conducted on problems of local, State, regional, or national concern.

(B) The Hatch Act of 1887 (Multistate Research Fund):

The Hatch Act of 1887 provides Federal funding for agricultural research activities at the State Agricultural Experiment Stations in the 50 States, the District of Columbia, and the Insular Areas.

Not less than 25 percent of the total Hatch Act of 1887 funding is allotted to the States for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one State. These funds are designated as the Multistate Research Fund, State Agricultural Experiment Stations. Funds are allocated on a prorata basis and allocations are adjusted to support national and regional projects. These projects and their associated budgets are reviewed and approved annually. A matching fund requirement exists for this Formula Grant Opportunity.

For the FY 2012 Formula Grant Opportunity, \$53,416,756 was available for project grant awards.

NIFA received a total of 57 applications requesting a total of \$53,416,756 in FY 2011.

The funding ratio for this program in FY12 was 100%.

Funded projects addressed multistate agricultural research projects. See Hatch Act research scope description in section 160. Fiscal Year 2013: (A) The Hatch Act of 1887 (Regular Research):

Specific details will be provided by Program Unit at a future date.

(B) The Hatch Act of 1887 (Multistate Research Fund):

The Hatch Act of 1887 provides Federal funding for agricultural research activities at the State Agricultural Experiment Stations in the 50 States, the District of Columbia, and the Insular Areas.

Not less than 25 percent of the total Hatch Act of 1887 funding is allotted to the States for cooperative research employing multidisciplinary approaches in which a State agricultural experiment station, working with another State agricultural experiment station, the Agricultural Research Service, or a college or university, cooperates to solve problems that concern more than one State. These funds are designated as the Multistate Research Fund, State Agricultural Experiment Stations. Funds are allocated on a prorata basis and allocations are adjusted to support national and regional projects. These projects and their associated budgets are reviewed and approved annually. A matching fund requirement exists for this Formula Grant Opportunity.

For the FY 2013 Formula Grant Opportunity, NIFA expects a similar level of funding and similar number of Formula Grant Opportunity proposals.

Funded projects should address multistate agricultural research projects. See Hatch Act research scope description funding in section 160.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the Hatch (Experiment Station) Act as amended, Agricultural Handbook No. 381 revised November 1980; Manual for Cooperative Regional Research, revised 1986; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Plant Systems-Protection, 1400 Independence Avenue, SW., STOP 2240, Washington, District of Columbia 20250-2240 Phone: (202) 401-4939 Fax: (202) 401-1782

#### **Website Address:**

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

#### **RELATED PROGRAMS:**

10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (A) The Hatch Act of 1887 (Regular Research)

Example 1. Enhancing dairy food safety by addressing bovine mastitis

Objectives:

- 1) Characterize host mechanisms associated with mastitis susceptibility and resistance.
- 2) Characterize and manipulate virulence factors of mastitis pathogens for enhancing host defense.
- 3) Assess and apply new technologies to advance mastitis control, milk quality and dairy food safety to improve animal well-being.

Staphylococcus aureus is a major cause of hospital-borne infections, food poisoning, skin abscesses and clinical mastitis. Increased antibiotic resistance has driven interest in new mechanisms to contain the pathogen. Studies have generated an in-vitro model for the study of immune evasion by intracellular S. aureus and that the immune response of the cow is different if the pathogen is outside the cell as opposed to intracellular infection.

A previously unidentified vulnerability for immunotherapy during *S. aureus* infections was identified. The researchers found that bacterial antigens in bovine dendritic cells regulates immune memory response and can improve protection by vaccines.

NSAID treatment during clinical mastitis may help improve animal well-being through pain mitigation and this is not currently a widely adopted protocol.

Example 2. Diversity of soilborne micro-organisms.

Objectives:

- 1) Examine various biocontrol agents as seed treatments, in-furrow treatments or potting mix amendments.
- 2) Examine cultural practices effect on soilborne pathogens and plant growth.
- 3) Examine genetic diversity in *Rhizoctonia solani* in natural and agricultural ecosystems.

*Rhizoctonia solani* is a common soilborne pathogen of seedling vegetables and other plant species. Biological control agents can be effective in suppressing *R. solani*, but the specific conditions for efficacy have been elusive. Annual plant losses, especially transplants, due to soilborne plant pathogens such as *Rhizoctonia*, can be as high as 10%. *Rhizoctonia* has a wide host range and can survive in soil for long periods on organic matter without crop plants, and plant genetic resistance is lacking.

This project is part of a multistate Hatch project that led to an invited book chapter.

Various cover crops residues incorporated into soil significantly impacted plant growth, *Rhizoctonia* disease rating of broccoli, and population *R. solani* in soil. Fallow soil with no crop residue had the lowest pathogen levels, followed by hairy vetch. Crimson clover was a better treatment than mustards which are often considered to be biofumigants.

Example 3: Organic and conventional pest control in western orchards

Objectives:

- 1) Enhance pheromones for mating disruption of key pests.
- 2) Improve the efficacy of artificial chemical signals delivery systems for orchard pests.
- 3) Speed the adoption and integration of new pesticides into comprehensive insect management programs for conventional and organic systems.
- 4) Optimizing natural enemies in and near orchards.
- 5) Development new monitoring methods and predictive models to reduce pesticide inputs in orchard systems.
- 6) Coordinate efforts with colleagues in the eastern U.S.
- 7) Develop educational programs to increase adoption of research discoveries.

Studies addressed Plum Curculio, Obliquebanded Leafroller, internal Lepidopterans, and Apple Maggot. Insect damage levels at harvest were up to similar in the treatment with mating disruption as opposed to the standard grower treatments, but less the cost of one fewer full block sprays for Plum Curculio management as a result of the "trap tree" method in the Advanced IPM blocks, saving a substantial cost for pesticide.

Example 4: Food safety compliance for retail self-service food bars

Training grocery store employees in hot/cold self-serve bars for food safety is extremely important since no training is currently available except SuperSafeMark and ServeSafe. These training standards do not address hot/cold self-serve bars. These bars are popular with consumers and the trend is growing. Online training will be developed for the need.

Objectives:

- 1) Assess the current state of food safety compliance and practices in self-serve hot/cold bars in grocery stores.
- 2) Develop training modules to improve food handling behavior and conduct onsite training for retail food managers.
- 3) Re-assess compliance following training and revise the training modules based on the assessment.
- 4) Develop online educational training materials specific for hot/cold self-serve bars and make this training available for all grocery stores and develop information for consumers, in the form of signs and pamphlets, which describe best practices for reducing risks at self-serve bars in grocery stores

Researchers conducted a third-party audit of the prepared foods area for cleanliness of the facility, equipment and food storage, incoming product handling, employees knowledge

Managers had a median score of 83.4% pre-training and 93.8% post training. Employees had a median score of 70.6% pre-training and 76.3% post-training. Scores of 74% or lower are not high enough to pass the SaveMark certification. Several questions were screened out as low performing. Despite improved knowledge, behavior did not improve. Behavioral changes were more closely related to the manager's knowledge and behavior. It also suggests that even though the knowledge was not being transferred, the managers' behaviors were being imitated.

(B) The Hatch Act of 1887 (Multistate Research Fund):

1) This project will integrate basic and applied strategies to develop and implement methods for control, elimination, and prevention of Porcine Reproductive and Respiratory Syndrome Virus (PRRS) at the local, regional, and national level. Results on mechanisms of airborne transmission of respiratory pathogens, especially PRRS virus, resulted in a change in knowledge regarding methods and approaches for prevention of PRRS disease in susceptible pigs, and impact or probable impact of various meteorological variables on the likelihood of transmission. Because of the knowledge that was generated, end users, namely veterinarians and producers, have change behaviors and actions to implement new measures of biosecurity that include air filtration that are demonstrated to help prevent disease transmission. The demonstration that PRRS disease can be prevented without use of vaccines provides new hope to the swine industry for control of this dreaded disease.

2) This project characterized insect-soybean interactions and their impact on plant growth, grain quality, and yield. The project also developed and validated tactics for management of key soybean insects. The introduction of resistant varieties will reduce grower inputs by protecting yield and reducing outputs for insecticides. As a further result of reducing insecticide use, resistant varieties will lessen human exposure and non-target impacts, and eliminate or slow the formation of insecticide resistance. Management of soybean aphid through the use of aphid-resistant varieties may also manage plant viruses through changes in aphid behavior. Further, host plant resistance is highly compatible with biological, cultural and chemical control of pests, and as such is a key component of soybean integrated pest management (IPM) programs.

3) This project: develops and evaluates blight resistant chestnut trees for food and fiber through traditional and molecular techniques that incorporate knowledge of the chestnut genome; evaluates biological approaches for controlling chestnut blight from the ecological to the molecular level by utilizing knowledge of the fungal and hypovirus genomes to investigate the mechanisms that regulate virulence and hypovirulence in *C. parasitica*; and investigates chestnut reestablishment in orchard and forest settings with special consideration of the current and historical knowledge of the species and its interaction with other pests and pathogens. Expected program outcomes include new chestnut cultivars that may increase regional production and development of marketable chestnut products.

4) This project is to improve the sustainability of livestock and poultry production in the U.S. This project: develops preliminary models of each animal industry that describe its cumulative ecological risk, energy flows or ecological footprint as a dynamic, nonlinear function of the stocks, flows and transformations of matter and energy comprising confined animal feeding operation (CAFO) systems; continues the development and performance evaluation of process-level strategies and tactics to reduce environmental pollution at the process level from confined animal feeding operations. This work will include

- 1) management tools, strategies and systems for land application of animal manures and effluents that optimize efficient, environmentally friendly utilization of nutrients and are compatible with sustained land and water quality;
- 2) physical, chemical and biological treatment processes in engineered and natural systems for management of manures and other wastes;
- 3) methodology, technology, and management practices to reduce odors, gases,

airborne microflora, particulate matter, and other airborne emissions from animal production systems; and 4) feeding systems for their potential to alter the excretion of environmentally-sensitive nutrients by livestock.

5) This project addresses the ecology and management of European Corn Borer and other lepidopteran pests of corn. The project investigates the relationship between transgenic maize and the agricultural environment; adapts integrated pest management (IPM) systems for the changing pest complexes in maize; and investigates ecology, evolution, genetics, and behavior of pest Lepidoptera. Fiscal Year 2012: (A) The Hatch Act of 1887 (Regular Research): Information is not yet available. The reporting period ends December 2012 reports are due within 90 days.

(B) The Hatch Act of 1887 (Multistate Research Fund):

1) This project will: assess the extent and nature of injury caused brown marmorated stink bug; develop monitoring methods for brown marmorated stink bug; determine the potential for biological control of the brown marmorated stink bug; determine the toxicity and field efficacy of selected insecticides for brown marmorated stink bug control in field crops, fruit, nursery and vegetable; develop best management practices for the brown marmorated stink bug; and deliver research based IPM recommendations to growers.

2) This project deals with biological control of arthropod pests and weeds. The project addresses the general goals of improving biological control through: conservation of existing natural enemies; augmentation programs involving repeated rearing and release; introduction of new natural enemies against invasive pests (Classical Biological Control); and evaluation and education.

3) This project addresses animal genome research. The project works to create shared genomic tools and reagents and sequence information to enhance the understanding and discovery of genetic mechanisms affecting traits of interest; facilitate the development and sharing of animal populations and the collection and analysis of new, unique and interesting phenotypes; and develop, integrate and implement bioinformatics resources to support the discovery of genetic mechanisms that underlie traits of interest. The project investigates the ecology and management of European Corn Borer and other lepidopteran pests of corn; investigates the relationship between transgenic maize and the agricultural environment; adapts IPM systems for the changing pest complexes in maize; investigates ecology, evolution, genetics, and behavior of pest Lepidoptera; and employs electronic delivery methods to disseminate information related to sustainable management of Lepidopteran pests.

5) This project covers sustainable solutions to problems affecting bee health. The project is: developing and recommending to beekeepers "best practices" for varroa mite control based on currently available methods and strategies for mite management; evaluating the role and causative mechanisms of parasitic mites and pathogens such as viruses, protozoa and bacteria in honey bee colony deaths; determining the effects of pesticides and other environmental chemicals on honey bee colony health; determining how environmental factors, including nutrition and management practices affect honey bee colony health; determining the effects of interactions among various factors affecting honey bee colony health; coordinating research and extension efforts related to bee colony health; facilitating, through research and extension activities, the development of industry-based honey bee stock selection, maintenance and production programs that demonstrably incorporate traits that confer resistance to pests, parasites and pathogens; and focusing on non-Apis bees, their conservation, pathology, susceptibility to pesticides, and their contribution to crop pollination including economic value. Fiscal Year 2013: (A) The Hatch Act of 1887 (Regular Research) Specific details will be provided by Program Unit at a future date.

(B) The Hatch Act of 1887 (Multistate Research Fund):

1) This project will research flies impacting livestock, poultry, and food safety. The research will: characterize dispersal and population biology of stable flies and house flies, and develop monitoring methods for use in indoor and outdoor environments; establish extent of fly-borne dispersal of human and animal pathogens; and improve management tactics for stable flies and house flies.

2) This project addresses the adaptation, quality, and management of sustainable cellulosic biofuel. The research will: compare cropping systems such as annual, perennial, cool-season, and warm-season cellulosic crops and combinations with oil seed crops for biofuel potential in representative environments of the western region; measure biomass feedstock production, energy conservation, and economics with various management treatments at diverse locations in the region; determine production and economic sustainability and carbon sequestration of dedicated biofuel feedstocks; develop regional based bioenergy and transitional grants to expand resources; and explore regional private-public partnerships with the emerging biorefinery industry.

3) This project focuses on integrated management of Russian wheat aphid and other cereal arthropod pests. The project will: develop integrated management strategies for cereal aphid and other arthropod pests in small grains to improve economic viability of small-grain cropping systems while maintaining environmental quality and facilitate research into improved integrated pest management approaches at the field and landscape level to manage cereal arthropod pests.

4) This project researches reproductive performance in domestic ruminants. The project will discover and translate molecular, metabolic, genomic, endocrine, and immunologic mechanisms that influence testicular and ovarian function, reproductive behavior, conception rate, embryo and fetal development, attainment of puberty, and effects of climate/season on reproductive patterns of domestic ruminants.

5) This project addresses the assessment of the carbon sequestration potential of common agricultural systems on benchmark soils. The project will: evaluate the effects of land use, crop rotation, tillage practice, soil texture, and ecosystem age/rotation duration on soil carbon concentration, content, and sequestration and related soil physical and chemical properties; quantify and understand the physical and chemical processes that relate to and control soil carbon sequestration; and investigate spatial variability issues associated with soil carbon content and sequestration.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

#### **10.205 PAYMENTS TO 1890 LAND-GRANT COLLEGES AND TUSKEGEE UNIVERSITY**

Evans-Allen Research and/or Agricultural Research at 1890 Land-Grant Institutions, Including Tuskegee University and West Virginia State University  
**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Section 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), enacted as Title XIV of Public Law 95113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977 is also known as the Evans-Allen Research Program. This law provides the basis for Federal funding for agricultural research activities at 1890 Land-Grant Institutions under the Act of August 30, 1890 (26 Stat. 417419, as amended; 7 U.S.C. 321326 and 328), including Tuskegee University and West Virginia State University. Amended by Public Law 95-547, Public Law 97-98, Public Law 99-198, Public Law 101-624, Public Law 104-127 and Public Law 105-185., 7 U.S.C 321-326 and 328.

#### **OBJECTIVES:**

To support continuing agricultural research at colleges eligible to receive funds under the Act of August 30, 1890 (26 Stat. 417-419), as amended; 7 U.S.C. 321-326 and 328), including Tuskegee University and West Virginia State University. Its purpose is to promote efficient production, marketing, distribution and utilization of products of the farm as essential to the health and welfare of people and to promote a sound prosperous agriculture and rural life.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

This grant is used to support continuing agricultural research at 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University. Funds appropriated under this section shall be used for expenses of conducting agricultural research, printing, disseminating the results of such research, contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 3940, as amended; 7 U.S.C. 331), administrative planning and direction, and purchase and rental of land and the construction, acquisition, alteration, or repair of buildings necessary for conducting agricultural research. The eligible institutions are authorized to plan and conduct agricultural research in cooperation with each other and such agencies, institutions and individuals as may contribute to the solution to the solution of agricultural problems, and funds appropriated pursuant to section 1445 shall be available for paying the necessary expenses of planning, coordinating and conducting such cooperative research. RESTRICTIONS:

(1) Approved NIFA Evans-Allen Research Projects

NIFA will fund the Evans-Allen Research Program for authorized activities. Funds may be used on approved Evans-Allen Research Program projects.

(2) Matching

NARETPA section 1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ... Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement.

7 CFR 3419.1 defines matching funds as funds from non-Federal sources made available by the State to the eligible institutions ... [for] programs or activities that fall within the purposes of agricultural research and cooperative extension under sections 1444 and 1445 of NARETPA ... or [for] qualifying educational activities. Matching funds means cash contributions and excludes in-kind matching contributions. It defines non-Federal sources as funds made available by the State to the eligible institution either through direct appropriation or under any authority (other than authority to charge tuition and fees paid by students) provided by a State to an eligible institution to raise revenue, such as gift acceptance authority or user fees. Finally, it defines qualifying educational activities as programs that address food and agricultural sciences components of an eligible institution.

7 CFR 3419.6 states that The required matching funds for the formula programs shall be used by an eligible institution for agricultural research and extension activities that have been approved in the plan of work required under sections 1444(d) and 1445(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977... or for .. qualifying education activities.

Please note that while Federal funds must be expended on agricultural research, the matching funds may be used for agricultural research, agricultural extension, or qualifying educational activities. NIFA may consider and approve matching waivers above the 50 percent level.

(3) Indirect Costs and Tuition Remission

In accordance with NARETPA section 1473 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as Evans-Allen Research Program formula grant expenditures. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by 1890 Land-Grant Universities, including Tuskegee University and West Virginia State University.

**Beneficiary Eligibility:**

Applications may be submitted by 1890 Land-Grant Universities, including Tuskegee University and West Virginia State University.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agency's

website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372.

Pre-award form submissions must be submitted to the Hatch as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages complement, rather than duplicate, the information collected via the Plan of Work (POW) system and the Current Research Information System (CRIS), and together satisfy all legislative and regulatory pre-award requirements.

Section 202 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Smith-Lever Act and the Hatch Act to require approved plans of work for agricultural extension and research activities at 1862 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1862 Land-Grant Institution must submit both a Five (5) Year Plan of Work Update (i.e., submitted each year as an update) and an Annual Report of Accomplishments and Results. Both reports were due by April 1.

Specific project details and pertinent information should be entered in the Current Research Information System (CRIS) as in prior years. CRIS is the U.S. Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part VI.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.Gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

**Award Procedure:**

The Office of Planning and Accountability and the OEP Formula Grants Section will be reviewing submitted documents to determine if all program, financial, and administrative requirements have been met and are current. To receive an annual allotment of funds, each eligible institution or State must first submit a plan of work to NIFA for approval. During the grant period, the Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institutions compliance with the Plan of Work reporting requirements (i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved. The Office of Planning and Accountability will notify the OEP Formula Grants Section and the institution regarding each institutions compliance with the Plan of Work reporting requirements (i.e., Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results). If all current program and administrative requirements have been met by the eligible institution, funding will continue to be released on a quarterly basis. The OEP Formula Grants Section will notify the institutions when all requirements have been met or approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Title Evans-Allen Research, Public Law 95-113. 7 U.S.C. 321326 and 328

The 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State University, are eligible for funds appropriated under this Act according to the following formula: Funds up to the total amount made available to all eligible institutions in the fiscal year ending September 30, 1978, under section 2 of the Act of August 4, 1965 (79 Stat.431; 7 U.S.C. 450i), shall be allocated among the eligible institutions in the same proportion as funds made available under section 2 of the Act of August 4, 1965, for the fiscal year ending September 30, 1978, are allocated among the eligible institutions. Of the funds in excess of that amount, 20 per cent shall be allotted among eligible institutions in equal proportions; 40 per cent shall be allotted among the eligible institutions in the proportion that the rural population of the State in which each eligible institution is located bears to the total rural population of all the States in which eligible institution are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated; and the balance shall be allotted among the eligible institutions in the proportion that the farm population of the State in which each eligible institution is located bears to the total farm population of all the States in which the eligible institutions are located, as determined by the last preceding decennial census current at the time each such additional sum is first appropriated. In computing the distribution of the allocated funds, the allotments to Tuskegee University and Alabama A&M University shall be determined as if each institution were in a separate State.

Matching Requirements: Percent: 100%. NARETPA section 1449 (7 U.S.C. 3222d) states that the State shall provide matching funds from non-Federal sources. Such matching funds shall be for an amount equal to not less than ... 100 percent of the formula [grant] funds to be distributed to the eligible institution for fiscal year 2007 and each fiscal year thereafter. ...

Notwithstanding [redistributing the funds], the Secretary may waive the matching funds requirement ... above the 50 percent level for any fiscal year for an eligible institution of a State if the Secretary determines that the State will be unlikely to satisfy the matching requirement..

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Evans-Allen Research Program funds are fiscal year appropriated and expected to be fully expended in the fiscal year of appropriation; however, funds may be carried over for up to one additional year. Please note there is no limitation on the amount of Federal funds that may be carried over for this one additional fiscal year. No prior approval from NIFA is required. Since this limitation is legislatively mandated, NIFA is not authorized to grant any carryover requests beyond this one additional year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address: <http://pow.NIFA.usda.gov>. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Listing through the Current Research Information System at the initiation of each Evans-Allen Research project. Each eligible institution shall submit a CRIS Form AD-421, Accomplishments Report, annually. Reports from institutions reporting on a calendar year should have been submitted by April 1, for the preceding calendar year. Reports from institutions reporting on a fiscal year should have been submitted by February 1, for the preceding fiscal year. An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports

shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project. A CRIS Form AD-419, Financial and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and should have been submitted by February 1. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address: <http://pow.NIFA.usda.gov>. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grant Branch

Awards Management Division

Office of Grants and Financial Management (OGFM)

National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture (USDA), STOP 2298

1400 Independence Avenue, SW, Washington, DC 20250-2298

Telephone: (202) 401-6520, Fax: (202) 690-3002, E-mail:

[formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Pre-award form submissions must be submitted to the Evans-Allen Research Program as a new application on the [www.grants.gov](http://www.grants.gov) website. As noted previously, these application packages

complement, rather than duplicate, the information collected via the Plan of Work (POW) and Current Research Information System (CRIS) systems, and together satisfy all legislative and regulatory pre-award requirements. The Plan of Work Update and Annual Report of Accomplishments and Results should have been submitted by April 1 online at the web address:

<http://pow.NIFA.usda.gov>. Section 225 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended NARETPA to require an approved Plan of Work for agricultural extension and research activities at 1890 Land-Grant Institutions in order to receive Federal funding. Therefore, each 1890 Land-Grant Institution, including Tuskegee University and West Virginia State University, must submit both a Five (5) Year Plan of Work Update and an Annual Report of Accomplishments and Results. Both reports are due April 1. Specific project details and pertinent information should be entered in CRIS as in prior years. CRIS is the Department of Agriculture's documentation and reporting system for ongoing agricultural, food and nutrition, and forestry research and education. CRIS contains over 30,000 descriptions of current, publicly-supported research and education activities. This work is sponsored or conducted by the USDA research agencies, the State agricultural experiment stations, the State Land-Grant Institutions and universities, State schools of forestry, cooperating schools of veterinary medicine, and USDA grant recipients. See Part IV.C. of the Formula Grant Opportunity (FGO) for specific CRIS requirements.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the

cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three (3) year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$48,018,903; FY 12 est \$47,977,052; and FY 13 est \$48,038,041 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

FY08: Financial assistance amounts ranged from 69,020 to 500,000. Average across 18 grants was \$350,185

See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocations.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$ 50,898,000 was appropriated for the Evans-Allen Program. After administrative costs and other assessments were deducted, a total of \$ 48,018,903 supported this program at each of the 1890 Land-Grant Institutions. Institutions are expected to match the award amounts, but waivers may be granted. Fiscal Year 2012: A total of \$ 50,898,000 was appropriated for the Evans-Allen Program. After administrative costs were deducted, a total of \$47,977,052 was available to support research projects that each of the 1890 Land-Grant Institutions. Based on a formula, funds were distributed in range from \$1,225,169 - \$4,874,894. There is a matching requirement under this program. However, institutions may request waivers if matching funds cannot be secured. Fiscal Year 2013: Pending appropriations; it is estimated the funding levels will be the same as FY 2012. Specific details will be provided by Program Unit at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for Evans-Allen Cooperative Agricultural Research, May 1982; (manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250 Phone: (202) 720-9278 Fax: (202) 720-9366

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.207 Animal Health and Disease Research; 10.219 Biotechnology

Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Evaluation Of The Nutritional And Medicinal Value Of Moringa Oleifera For Performance And Disease Control In Cows, Goats And Pigs -- Moringa oleifera is a tropical plant that contains a variety of phyto-chemicals that may have great potential as a source for non- antibiotic treatments for diseases like mastitis and as a growth and as a performance enhancing feed supplement for ruminants and other farm animals. The overall aim of this project is to further understand and characterize the nutritional and health benefits of Moringa -- specifically, inflammation/oxidant stress, immune modulation, and infectious disease.

Funds will support the study of structural, evolutionary and comparative genomics of reniform nematode (RN) and its interaction with plants by developing methodology to explore the nature of rDNA and any variation inherent in its structure of reniform nematode as well as genomic and transcriptome level composition of this devastating pest of cotton.

The funding for this project is intended to enhance a well-organized and research-based shellfish aquaculture program and outreach effort. The proposed project uses shellfish aquaculture techniques appropriate for prevailing conditions, establishes more organized oyster restoration efforts through aquaculture tools and determines water bodies suitable for continuous spawning grounds for oysters.

The research aim is to develop new processes that will contribute to providing a cheap source of nutritious foods and thus address the risks of food insecurity amongst the low income populace. Enzymatic hydrolysis is complex but cost effective methods of improving food nutritional quality. Therefore, the objective of this project is to use enzymatic hydrolysis to breakdown and converting some of the anti-nutritional factors in dry red kidney beans into valuable nutrients with health benefits when consumed. Fiscal Year 2012: The project will decode and profile the whole active genome of the whole plant of individual cultivated peanut groups, for the first time. Genes will be used for comparisons among peanut groups to identify absolute differences and similarities. Resulting genes common to all four peanut groups will be used to compare it to soybean and medicago genes, respectively, to determine and profile genes that are common to all these species and potentially to all or most of the legume species.

This project addresses program priority areas in Global Food Security and Hunger, and Climate Change. The specific knowledge areas include:

- (1) appraisal of soil resources,
- (2) soil, plant, water, nutrient relationships,
- (3) processes and transformation in soil, water and air,
- (4) weather and climate,
- (5) nutrient utilization,
- (6) economics of agricultural production and farm management,
- (7) management and agricultural sustainability,
- (8) pollution prevention and mitigation,
- (9) waste disposal, recycling and use,
- (10) communication, education and information delivery, and
- (11) domestic policy analysis.

Our overall goal is to assess soil microbial community dynamics in relation to nitrogen compositions, sequestration and biochemical processes in organic agriculture practices. This information will aid in the selection of organic agricultural systems/practices with enhanced or sustained biogeochemical process achieved when land is subsequently converted to organic agriculture practices.

It is proposed to develop and evaluate two systems of sustainable aquaculture to determine feasibility and merits for use by small farmers and limited-resource families to supplement their diets with home-grown animal protein and fresh vegetables. These systems will operate at two spatial/social scales: household, and small farm/community. The overriding goals for the research component of this project are to develop and evaluate several

aquaculture/gardening systems. Fiscal Year 2013: Pending appropriations, pertinent details will be provided at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

#### **10.206 GRANTS FOR AGRICULTURAL RESEARCH\_COMPETITIVE RESEARCH GRANTS**

NATIONAL RESEARCH INITIATIVE COMPETITIVE GRANTS PROGRAM (NRI)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Competitive, Special and Facilities Research Grant Act, Section 2(2)(b), [7 U.S.C. 450j] , 7 U.S.C 450i.

#### **OBJECTIVES:**

To support research, education and extension grants that address key problems of national, regional and multistate importance in sustaining all components of agriculture (farming, ranching, forestry, aquaculture, rural communities, human nutrition and obesity, food and fiber processing, etc.) Providing this support to US agriculture requires that the NRI advance fundamental. Building on these discoveries will necessitate new efforts in education and extension that deliver science-based knowledge to people, allowing them to make informed practical decisions. All grants were awarded on a competitive basis.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

NIFA Competitive Programs Unit administers the NRI. The purpose of the NRI Competitive Grants Program was to support research grants and integrated research, extension, and education grants that address key problems of National, regional, and multi-state importance in sustaining all components of agriculture (farming, ranching, forestry including urban and agroforestry, aquaculture, rural communities, human nutrition, processing, etc.). Providing this support requires that NRI advances fundamental sciences in support of agriculture and coordinates opportunities to build on these discoveries. Building on these discoveries will necessitate new efforts in education and extension that deliver science-based knowledge to people, allowing them to make informed practical decisions. Hence, the NRI accepted applications for fundamental research, mission-linked research, and integrated research, extension, and education projects. However, applicants should know that the NRI utilized no more than twenty-two percent (22%) of available funds to support integrated projects and that these funds were not distributed uniformly, but targeted to specific priorities. Targeted priorities for integrated projects were clearly identified within the detailed descriptions of program offerings [see Part II, E of the Fiscal Year (FY) 08 Request for Applications (RFAs)]. Funds may not be used for the renovation or refurbishment of research spaces (including energy retrofitting); purchase or installations of fixed equipment in such spaces; or planning, repair, rehabilitation, acquisition, or construction of buildings or facilities. Fully discretionary.

#### **Applicant Eligibility:**

For research projects, the eligibility requirements for the NRI were as follows: except where otherwise prohibited by law, State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals were eligible to apply for and to receive a competitive grant. The Agricultural Research Enhancement Awards (AREA) have some notable differences from these requirements. See Part II C, 2. of Fiscal Year (FY) 08 Requests for Applications (RFAs).

For integrated projects, the eligibility requirements for the NRI were as follows: except where otherwise prohibited by law, State agricultural experiment stations, all colleges and universities, research foundations maintained by colleges or universities, private research organizations with established and demonstrated capacities to perform research or technology transfer, Federal research agencies, and national laboratories were eligible to apply for and

receive a competitive grant. The bridge grants have some notable differences from these requirements. See Part II, C, 3(b) of Fiscal Year (FY) 08 RFAs for details.

Unsolicited applications were not considered and applications from scientists at non-United States organizations were not accepted. Award recipients may subcontract to organizations not eligible to apply provided such organizations were necessary for the conduct of the project.

#### **Beneficiary Eligibility:**

For research grants eligibility includes State Agricultural Experiment Stations, U.S. colleges/universities, other U.S. research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals. For integrated research, education and extension grants eligibility includes State Agricultural Experiment Stations, U.S. colleges/universities, research foundations maintained by colleges or universities, private research organizations with established and demonstrated capacities to perform research or technology transfer, Federal research agencies and national laboratories. Proposals from scientists at non-U.S. organizations will not be considered for support.

#### **Credentials/Documentation:**

A Data Universal Number System (DUNS) number must be obtained - A DUNS number is a unique number that identifies an organization. It has been adopted by the Federal government to help track how Federal grant money is distributed. If your organization does not have a DUNS number, call the special Dun & Bradstreet hotline at 1-866-705-5711 to receive one free of charge. You will receive a DUNS number within several days of your request. Please note, individual proprietorships (i.e. farmers, ranchers) can request and receive a DUNS number, but must register with Grants.gov as an organization, not as an individual.

Registration with Central Contractor Registry (CCR) is required - The CCR is the central government repository for organizations working with the Federal government. If your organization is not already registered, identify the primary contact who should register your organization. When your organization registers with CCR, it will be required to designate an e-Business Point of Contact (e-Business POC). The e-Business POC authorizes individuals to submit grant applications on behalf of the organization and creates a special password called a Marketing Partner ID Number (M-PIN) to verify individuals authorized to submit grant applications for the organization. Visit the CCR Web site at <http://www.ccr.gov> to begin this process. It may take several days to collect the information needed for your organizations registration. The CCR Assistance Center can be reached at 888-227-2423. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Applicants must furnish the information required in the RFAs. Successful applicants recommended for funding must furnish the information and assurances requested during the award documentation process. These include, but were not limited to the following:

Organizational Management Information - Specific management information relating to an applicant shall be submitted on a one (1) time basis, with updates on an as needed basis, as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another NIFA program. NIFA will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there were factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). This information collection is approved under OMB Circular Control No. 0524-0026, Assurance of Compliance with the Department of Agriculture Regulations Assuring Civil Rights, Compliance and Organization Information.. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**



All RFAs were published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

**Award Procedure:**

Applications were subjected to a system of peer and merit review in accordance with Section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who were specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications were judged most meritorious under the procedures set forth in the RFA. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs. Reviewers were selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

094 Deadlines:

Dates for specific deadlines were announced in the RFA each fiscal year (FY).

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal, were submitted at the announced deadline. Renewals were treated in competition with all other pending proposals. Authority has been repealed Repealed per Section 7406 of the Food, Conservation, and Energy Act of 2008 The Agriculture and Food Research Initiative (AFRI) was established to replace NRI. (See CFDA 10.310.).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Funds were awarded competitively. No formula grants were awarded under this authority.

For equipment grants Unless criteria was met to qualify for waiver by the Secretary, matching shall not exceed 50 percent of the cost of the special research equipment or other equipment acquired using funds from the grant.

For applied research if the grant was commodity-specific; and not of national scope, the grant recipient was required to match USDA funds awarded on a dollar-for-dollar basis from non-Federal sources with cash and/or in-kind contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Normally, competitive research projects were supported for periods of up to four (4) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees were required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees were required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees were required to submit annual and summary progress reports via NIFA Current Research Information System (CRIS). This reporting requirement was approved under OMB Control No. 0524-0042, NIFA Current Research Information System (CRIS). CRIS is an electronic, web-based inventory system that facilitates both grantee submission of project outcomes and public access to information on Federally-funded projects.

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

**Audits:**

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

year, except as noted in Circular No. A-133. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds were used for authorized purposes. Grant-related records were subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant were established by the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, Competitive Programs, 1400 Independence Avenue, SW., Washington, District of Columbia 20250-2240 Phone: (202) 401-1782.

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.207 ANIMAL HEALTH AND DISEASE RESEARCH**

ANIMAL HEALTH AND DISEASE RESEARCH (AHDR)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Executive Order National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1433, Public Law 95-113, as amended; Section 1429, Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185.  
, Public Law 95-113.

**OBJECTIVES:**

The purpose of this funding is to increase animal health and disease research activities at accredited State veterinary schools or colleges or agricultural experiment stations that conduct animal health and disease research.

To support animal health and disease research at eligible Schools and Colleges of Veterinary Medicine, and State Agricultural Experiment Stations whose purpose is to improve the health and productivity of food animals and horses through effective prevention, control or treatment of disease, reduction of losses from transportation and other hazards, and protect human health through control of animal diseases transmissible to people.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The National Institute of Food and Agriculture (NIFA) requests applications for the FY 2009 formula grants authorized under authorized under section 1433 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) for the Animal Health and Disease Research (AHDR) Program. These grants are used to assist all states in carrying out a program of research activities designed to:

- (1) to meet expenses of conducting animal health and disease research, publishing and disseminating the results of such research, and contributing to the retirement of employees subject to the provisions of the Act of March 4, 1940 (54 Stat. 3940, as amended; 7 U.S.C. 331);
- (2) for administrative planning and direction; and
- (3) to purchase equipment and supplies necessary for conducting such research.

States are eligible for funds appropriated under this Act according to the following formula: One half of the State allotment will be distributed among the States in the proportion that the value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in each State bears to the total value of and income to producers from domestic livestock, poultry, and commercial aquaculture species in all the States, based on the most current inventory of all cattle, sheep, swine, horses, poultry, and commercial aquaculture species published by the U.S. Department of Agriculture. The remainder of the State allotment will be distributed among the States in the proportion that the animal health and disease research capacity of the eligible institutions in each State bears to the total animal health and disease research capacity in all the States, as determined by NIFA.

Research on animal health and disease of food animals and horses conducted in eligible institutions under the following categories:

- (1) Infectious diseases;
- (2) internal and external parasites;
- (3) noninfectious diseases, toxins, poisons, transportation losses, predators and other hazards;
- (4) diseases and parasites of wildlife transmissible to food animals and horses; and
- (5) diseases and parasites of animals transmissible to people. (1) Approved NIFA AHDR Projects  
AHDR Federal funding must be used on AHDR approved projects.

- (2) Matching  
7 U.S.C. 3200 provides that No funds in excess of \$100,000 shall be paid by the Federal Government to any State under this subchapter during any fiscal year in excess of the amount from non-Federal sources made available to and budgeted for expenditure by eligible institutions in the State during the same fiscal year for animal health and disease research. The Secretary is authorized to make such payments in excess of \$100,000 on the certificate of the appropriate official of the eligible institution having charge of the animal health and disease research for which such payments are to be made. If any eligible institution certified for receipt of matching funds fails to make available and

budget for expenditure for animal health and disease research in any fiscal year sums at least equal to the amount for which it is certified, the difference between the Federal matching funds available and the funds made available to and budgeted for expenditure by the eligible institution shall be reapportioned by the Secretary among other eligible institutions of the same State, if there are any which qualify therefor, and, if there are none, the Secretary shall reapportion such difference among the other States.

### (3) Indirect Costs and Tuition Remission

In accordance with section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319), indirect costs and tuition remission are unallowable as AHDR formula grant expenditures. Fully discretionary.

#### **Applicant Eligibility:**

Eligibility is restricted to the following public nonprofit institutions having demonstrable capacity in animal disease research: (1) Schools and Colleges of Veterinary Medicine; and (2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible State institutions according to the statutory formula stated in the Act.

Applications may be submitted by accredited State veterinary schools or colleges or agricultural experiment stations that conduct animal health and disease research in accordance with NARETPA section 1433(c): Auburn University, Agricultural Experiment Station; Auburn University, School of Veterinary Medicine; Tuskegee University, School of Veterinary Medicine; University of Alaska, Agricultural Experiment Station; University of Arizona, Agricultural Experiment Station; University of Arkansas, Agricultural Experiment Station; University of California-Oakland, Agricultural Experiment Station; University of California-Davis, School of Veterinary Medicine; Colorado State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Connecticut-Storrs, Agricultural Experiment Station; University of Delaware, Agricultural Experiment Station; University of Florida, Agricultural Experiment Station; University of Florida, College of Veterinary Medicine; University of Georgia, Agricultural Experiment Station; University of Georgia, College of Veterinary Medicine; University of Hawaii, Agricultural Experiment Station; University of Idaho, Agricultural Experiment Station; University of Illinois, Agricultural Experiment Station and College of Veterinary Medicine; Purdue University, Agricultural Experiment Station and College of Veterinary Medicine; Iowa State University, Agricultural and Home Economics Experiment Station; Iowa State University, College of Veterinary Medicine; Kansas State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Kentucky, Agricultural Experiment Station; Louisiana State University, Agricultural Experiment Station; Louisiana State University, College of Veterinary Medicine; University of Maine, Agricultural Experiment Station; University of Maryland, Agricultural Experiment Station; University of Massachusetts, Agricultural Experiment Station; Tufts University, School of Veterinary Medicine; Michigan State University, Agricultural Experiment Station and College of Veterinary Medicine; University of Minnesota, Agricultural Experiment Station; University of Minnesota, College of Veterinary Medicine; Mississippi State University, Agricultural and Forestry Experiment Station and College of Veterinary Medicine; University of Missouri, Agricultural Experiment Station; University of Missouri, College of Veterinary Medicine; Montana State University, Agricultural Experiment Station; University of Nebraska, Agricultural Experiment Station; University of Nevada, Agricultural Experiment Station; University of New Hampshire, Agricultural Experiment Station; Rutgers University, Agricultural Experiment Station; New Mexico State University, Agricultural Experiment Station; Cornell University, Agricultural Experiment Station; Cornell University, College of Veterinary Medicine; North Carolina State University, Agricultural Experiment Station; North Carolina State University, College of Veterinary Medicine; North Dakota State University, Agricultural Experiment Station; Ohio State University, Ohio Agricultural Research & Development Center; Ohio State University, College of Veterinary Medicine; Oklahoma State University, Agricultural Experiment Station and College of Veterinary Medicine; Oregon State University, Agricultural Experiment Station; Pennsylvania State University, Agricultural Experiment Station; University of Pennsylvania, College of Veterinary Medicine; University of Puerto Rico,

Agricultural Experiment Station; University of Rhode Island, Agricultural Experiment Station; Clemson University, Agricultural Experiment Station; South Dakota State University, Agricultural Experiment Station; University of Tennessee, Agricultural Experiment Station; University of Tennessee, College of Veterinary Medicine; Texas A&M University, Agricultural Experiment Station and College of Veterinary Medicine; Utah State University, Agricultural Experiment Station; University of Vermont, Agricultural Experiment Station; Virginia Polytechnic Institute and State University, Agricultural Experiment Station and College of Veterinary Medicine; Washington State University, Agricultural Experiment Station and College of Veterinary Medicine; West Virginia University, Agricultural and Forestry Experiment Station; University of Wisconsin, Agricultural Experiment Station and College of Veterinary Medicine; and University of Wyoming, Agricultural Experiment Station.

Award recipients may subcontract to organizations not eligible to apply for funding provided that such arrangements are necessary to complete the project or activity.

#### **Beneficiary Eligibility:**

Eligibility is restricted to the following public nonprofit institutions having demonstrable capacity in animal disease research: (1) Schools and Colleges of Veterinary Medicine; and (2) State Agricultural Experiment Stations. Funds are appropriated by Congress for distribution to States and eligible State institutions according to the statutory formula stated in the Act.

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All Formula Grant Opportunities (FGOs) are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the FGO. Applications must follow the instructions provided per Grants.gov. Applicants are required to submit applications in response to both an interim FGO and a final FGO. The final FGO reflects the final formula allocations for the current fiscal year (FY).

#### **Award Procedure:**

Fund will be released on a quarterly basis to the institutions. See Appendix A of the Formula Grant Opportunity (FGO) for the specific allocation.

AHDR funds must be fully expended in the fiscal year of appropriation; no waiver requests may be considered and approved as no carryover authority is provided in the authorizing legislation.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the FGO each fiscal year (FY).

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not applicable, each year of funding is awarded as a new grant.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: 7 U.S.C. 3200 provides that No funds in excess of \$100,000 shall be paid by the Federal Government to any State under this subchapter during any fiscal year in excess of the amount from non-Federal sources made available to and budgeted for expenditure by eligible institutions in the State during the same fiscal year for animal health and disease research.

The Secretary is authorized to make such payments in excess of \$100,000 on the certificate of the appropriate official of the eligible institution having charge of the animal health and disease research for which such payments are to be made. If any eligible institution certified for receipt of matching funds fails to make available and budget for expenditure for animal health and disease research in any fiscal year sums at least equal to the amount for which it is certified, the difference between the Federal matching funds available and the funds made available to and budgeted for expenditure by the eligible institution shall be reapportioned by the Secretary among other eligible institutions of the same State, if there are any which qualify therefore, and, if there are none, the Secretary shall reapportion such difference among the other States..

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

AHDR funds must be fully expended in the fiscal year of appropriation; no waiver requests may be considered and approved as no carryover authority is provided in the authorizing legislation. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Institutions are expected to submit an annual Program of Research, a listing of all approved AHDR projects for said institution. Institutions must submit a Form AD-416, Work Unit Description; Form AD-417, Project Classification; NIFA-2008, Assurance Form; and Project Proposal through the Current Research Information System prior to the initiation of each AHDR project. The project must undergo a review process and be approved before it is incorporated into the Program of Research. Each institution shall submit a CRIS Form AD-421, Accomplishments Report, annually for each eligible project. Reports from institutions reporting on a calendar year shall be submitted by April 1, 2010 for the preceding calendar year.

Reports from institutions reporting on a fiscal year shall be submitted by February 1, 2010 for the preceding fiscal year.

An Accomplishments Report, CRIS Form AD-421, shall be submitted to NIFA for each completed or terminated project. Such reports shall be submitted at the same time as are progress reports on active projects and should include a brief summary of accomplishments for the entire life of the project.

A CRIS Form AD-419, Funding and Staff Support Report, shall be submitted to NIFA annually for all projects. CRIS Form AD-419 reports are also required for expenditures on all State projects that are to be included in the non-Federal funds and matching funds computation. Reports shall be made on a fiscal year basis and are to be submitted by February 1, 2010.

Financial reporting via the SF-269, Financial Status Report, for FY 2009 is due to the OEP Formula Grants Section on December 31, 2010. The SF-272, Federal Cash Transactions Report, or ST-425, Federal Financial Report for each calendar quarter is due online at the DHHS website ([www.dpm.psc.gov](http://www.dpm.psc.gov)) usually on the 15th day of November, February, May, and August for the preceding calendar quarter. DHHS may restrict payment requests from the grantees account if the SF-272 report is not submitted on time.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Institutions are required to submit the SF-425, Federal Financial Report per Agency instructions. The office listed below provides agency oversight of these

reports:

Formula Grant Branch  
Awards Management Division  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298

1400 Independence Avenue, SW  
Washington, DC 20250-2298  
Telephone: (202) 401-6520

Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53. (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$2,731,058; FY 12 est \$3,719,180; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding are established, these will be announced in the Initial and/or Final Formula Grant Opportunity (FGO).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Capacity block grants, in amounts determined by the applicable formula, were awarded to over 65 eligible State entities (Agricultural Experiment Stations and US Veterinary Colleges) . These funds were used at the discretion of authorized Deans and Directors to address local, regional or national agricultural animal health and disease research priorities of their respective states. Fiscal Year 2012: Capacity block grants, in amounts determined by the applicable formula, were awarded to over 65 eligible State entities (Agricultural Experiment Stations and US Veterinary Colleges) . These funds are being used at the discretion of authorized Deans and Directors to address local, regional or national agricultural animal health and disease research priorities of their respective states. Fiscal Year 2013: Capacity block grants, in amounts determined by the applicable formula, will be awarded to over 65 eligible State entities (Agricultural Experiment Stations and US Veterinary Colleges) . These funds will be used at the discretion of authorized Deans and Directors to address local, regional or national agricultural animal health and disease research priorities of their respective states.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Manual for the Continuing Animal Health and Disease Research Program, (dated March, 2000 - Manual is currently under review); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Animal Systems, 1400 Independence Avenue, SW., STOP 2240 , Washington , District of Columbia 20250-2240 Phone: (202) 401-4952 Fax: (202) 401-1602

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: As occurs each year under this program, several dozen smaller (\$1,000 to \$30,000 each) projects were funded during FY-2011. Because so many smaller studies are supported annually some aspect of each of the topic areas listed below are generally represented in one or more projects each program year. In accordance with the legal authority for this program, all of the following project topic areas relate directly to health and/or disease in agriculturally relevant animals: infectious disease, metabolic disease, genetic disease, infertility, toxicoses, host-pathogen interactions, Ecology and epidemiology of disease, pathophysiology/pathogenesis of disease, prevention, diagnosis, treatment and control of disease, genetic/genomic/proteomic mechanisms of disease, strategies and resources to enhance US animal agrosecurity capacities and capabilities against high consequence foreign and endemic animal disease. Fiscal Year 2012: As occurs each year under this program, several dozen smaller (\$1,000 to \$30,000 each) projects were funded during FY-2012. Because so many smaller studies are supported annually some aspect of each of the topic areas listed below are generally represented in one or more projects each program year. In accordance with the legal authority for this program, all of the following project topic areas relate directly to health and/or disease in agriculturally relevant animals: infectious disease, metabolic disease, genetic disease, infertility, toxicoses, host-pathogen interactions, Ecology and epidemiology of disease, pathophysiology/pathogenesis of disease, prevention, diagnosis, treatment and control of disease, genetic/genomic/proteomic mechanisms of disease, strategies and resources to enhance US animal agrosecurity capacities and capabilities against high consequence foreign and endemic animal disease. Fiscal Year 2013: As occurs each year under this program, it is anticipated that several dozen smaller (\$1,000 to \$30,000 each) projects will be funded during FY-2013. Because so many smaller studies are supported annually some aspect of each of the topic areas listed below are generally represented in one or more projects each program year. In accordance with the legal authority for this program, all of the following project topic areas relate directly to health and/or disease in agriculturally relevant animals: infectious disease, metabolic disease, genetic disease, infertility, toxicoses, host-pathogen interactions, Ecology and epidemiology of disease, pathophysiology/pathogenesis of disease, prevention, diagnosis, treatment and control of disease, genetic/genomic/proteomic mechanisms of disease, strategies and resources to enhance US animal agrosecurity capacities and capabilities against high consequence foreign and endemic animal disease.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Formula Grant Opportunity (FGO).

**10.210 FOOD AND AGRICULTURAL SCIENCES NATIONAL NEEDS GRADUATE FELLOWSHIP GRANTS**

National Needs Fellowship (NFF)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 7106 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246) amends the legislative authority for this program contained in Section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152) to include the University of the District of Columbia as an eligible applicant. , 7 U.S.C 3152.

**OBJECTIVES:**

The purpose of the NNF Grants Program is to train students for Masters and/or doctoral degrees and provide additional postdoctoral training for Fellows who have completed their doctoral degrees at colleges and universities that have demonstrable teaching and research competencies in the food and agricultural sciences. Fellowships and IRTA awards are specifically intended to support traineeship programs that encourage outstanding students to pursue and complete their degrees or obtain postdoctoral training in areas where there is a national need for the development of scientific and professional expertise in the food and agricultural sciences. Fellowships and IRTA awards invest in graduate training and relevant international experiential learning for a cadre of diverse individuals who demonstrate their potential to successfully complete graduate degree programs in disciplines relevant to the mission of the USDA.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Competitive annual grants providing for a limited number of graduate stipends are awarded to selected U.S. institutions of higher education so as to distribute support for graduate study to promising food and agricultural scientists and professionals. Individuals selected initially by the institution must enroll in a program leading to a graduate, master's or doctoral degree in one of the targeted national needs areas of the food and agricultural sciences. Such persons may not have been enrolled previously in the program at the same degree level. Current fellows are eligible to receive supplemental grants of \$3,000 to cover travel and living expenses for special international study or thesis/dissertation research experiences. Funding for the supplemental grants will be awarded on a competitive basis using no-year funds drawn from expired fellowship grants with unspent funds remaining as set forth in the annual program guidelines. No indirect cost allowed. Institutional allowance in lieu of indirect cost.

NNF stipend funds for fellowship must be used to:

- (1) support the same Fellow at the Masters degree level who maintains satisfactory progress and is eligible to receive grant support for a maximum of twenty-four (24) months during a thirty-month period, and/or
- (2) support the same Fellow at the doctoral degree level who maintains satisfactory progress and is eligible to receive grant support for a maximum of thirty-six (36) months within a forty-two-month period. Institutions must use a minimum stipend of \$18,500 per year for Masters Fellows and \$24,500 per year for Doctoral Fellows.

If funds remain as a result of USDA Fellows completing their studies early (less than twenty-four months for a Masters degree or less than thirty-six months for a doctoral degree) or Fellowships being terminated prematurely, such funds may be used, within the time remaining on the award, to support:

- (1) pursuit of a doctoral degree in a TESA in the food and agricultural sciences by a Masters degree level Fellow at the grantee institution, or
- (2) a Replacement Fellow.

The tenure of such a Replacement Fellow is limited to whatever time is remaining on the grant before it expires; however, an institution may not appoint a Replacement Fellow unless there is time for the student to complete at least one semester/quarter of study before the expiration date of the grant.

Replacement Fellows must meet all of the eligibility criteria and other requirements established for Fellow selection and are subject to the same provisions as other Fellows during their tenure in the program. Replacement

Fellows are entitled, during their tenure, to the same benefits that other Fellows receive from the grant award and National Needs Graduate and Postdoctoral Fellowship Grants Program. Institutions may, but are not required to, continue a Replacement Fellow's tuition and other benefits beyond the expiration date of the grant using institutional or other funds. A Fellow may not be simultaneously supported under multiple National Needs Graduate and Postdoctoral Fellowship Grants Program awards.

Remaining funds cannot be used to increase annual Fellowship stipends provided to existing Fellows. If less than one semester/quarter remains on the award, the grantee must refund unexpended monies to NIFA. Such funds cannot be used to increase the annual stipend amounts for current USDA Graduate Fellows.

Should a USDA Fellow require additional time beyond the grant period to complete his or her degree, it is expected that the grantee will consider alternatives to continue supporting the Fellow through other means.

Tuition and fees are the responsibility of the Fellow unless an institution elects to use its cost-of-education institutional allowance for this purpose or elects to pay such costs out of non-USDA monies. No dependency allowances are provided to any USDA Graduate Fellows.

Stipend payments and special international study or thesis/dissertation research travel allowances may be made to Fellows by the institution, in accordance with standard institutional procedures for graduate fellowships and assistantships.

When grants are for IRTAs that will be used by To-Be-Recruited Fellows: The IRTA funds for To-Be-Recruited fellows will be withheld until the Project Director has submitted, to the NNF Program Office, all of the required documentation for eligibility of the Graduate Fellow for the IRTA as well as the required specifics outlined in the RFA for the IRTA. The information must be submitted for approval, no less than 150 days prior to the use of the IRTA funds (see PART IV, B, 3, b, Section 1). This requirement will become a condition of the award. Fully discretionary.

**Applicant Eligibility:**

Proposals may be submitted by all U.S. colleges and universities that confer a master's or doctoral degree in at least one area of the food and agricultural sciences targeted for national needs fellowships. As defined in Section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3103), the terms "college" and "university" mean "an educational institution in any State which: (a) Admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (b) is legally authorized within such State to provide a program of education beyond secondary education; (c) provides an educational program for which a bachelor's degree or any other higher degree is awarded; (d) is a public or other nonprofit institution; and (e) is accredited by a nationally recognized accrediting agency or association." Eligibility also applies to research foundations maintained by eligible colleges or universities.

**Beneficiary Eligibility:**

Funds awarded in this program are used to support the training of graduate students to obtain either a master's or doctoral degree in one of the targeted specializations of the food and agricultural sciences.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

An Environmental Impact statement (EIS) (actual or potential) is not required for this program. However the NIFA Application (R&R Other Project Information Part 4.4) requires a statement to that effect. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants cover a five (5) year period, however, fellows are supported for three (3) years for a doctoral degree or two (2) years for a masters during that five (5) year period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$3,663,471; FY 12 est \$3,079,950; and FY 13 est \$3,556,642 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

Funding for the Food and Agricultural Sciences National Needs Graduate Fellowship Grants program is no-year money. The FY 2010 amount includes carryover funds.

In FY 2012, activities formerly supported under this program will be funded under AFRI. We do not know the amount of anticipated funding for the supported activities under AFRI.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual

program announcement or Request for Application (RFA).

This represents a "no-year" funds program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 67 applications were received for consideration. The success rate was 30%. Twenty proposals were funded, yielding a total of 20 masters-level fellowships, and 46 doctoral-level fellowships. Applications addressed the following Targeted Expertise Shortage Areas: Animal and Plant Production; Forest Resources; Agricultural Educators and Communicators; Agricultural Management and Economics; Food Science and Human Nutrition; Sciences for Agricultural Biosecurity; and Integrative Biosciences for Sustainable Food and Agricultural Systems. Fiscal Year 2012: The FY '12 RFA was just released. Approximately 70 applications, and 20 awards are anticipated. Fiscal Year 2013: It is anticipated that approximately 70 applications will be received, and 20 projects will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, , Washington , District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants; 10.220 Higher Education Multicultural Scholars Program; 10.310 Agriculture and Food Research Initiative (AFRI)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects were funded in the following Targeted Expertise Shortage Areas: Animal and Plant Production; Forest Resources; Agricultural Management and Economics; Food Science and Human Nutrition; Sciences for Agricultural Biosecurity; and Integrative Biosciences for Sustainable Food and Agricultural Systems. Supported projects contribute to the development of a strong STEM workforce, which is needed to keep this Nations competitiveness, through the research and academic training of graduate students. In addition, the awarded projects support the training of students at the Masters and doctoral levels, in order to fill the nationally identified expertise shortage areas in the food and agricultural sciences; encourage and recruit outstanding students, including those from traditionally underrepresented groups, to enter and complete graduate training in the food and agricultural sciences; and increase the quality and diversity of students completing graduate degrees in the food and agricultural sciences. Further information is available at <http://www.nifa.usda.gov/fo/nationalneedsgraduatefellowships.cfm>. Fiscal Year 2012: The FY '12 RFA was just released. Pertinent details will be provided by Program at a future date. Fiscal Year 2013: Pertinent details will be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

- (1) The degree to which the proposal clearly establishes that the proposed program of graduate training will result in the development of outstanding scientific/professional expertise related to the national need area and in a reasonable period of time;
- (2) the degree to which the proposed program of study reflects special features

such as a combination-disciplinary, approach (inter-disciplinary, multi-disciplinary or cross-disciplinary), a unique collateral specialization in a related discipline, experimental learning opportunities, a unique mentoring program, seminars, or a multi-university collaborative approach;

(3) the degree to which the proposal establishes that the institution's faculty, facilities and equipment, instructional support resources, and other attributes are excellent for providing outstanding graduate study and research at the forefront of science and technology related to the chosen area of national need;

(4) the degree to which the institution's plans and procedures for recruitment and selection of academically outstanding fellows and for monitoring and facilitating fellow's progress through a program of study reflect excellence as documented in the proposal;

(5) the degree to which supporting summary data substantiate program quality in the targeted national need area;

(6) the quality of the proposal as reflected by its substantive content, organization, clarity, and accuracy; and

(7) any additional evaluation criteria as cited in the annual program announcement published in the Federal Register.

## **10.212 SMALL BUSINESS INNOVATION RESEARCH**

(SBIR Program - Phase I and II)

### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

### **AUTHORIZATION:**

This program solicitation is issued pursuant to the Small Business Innovation Development Act of 1982, Public Law 97-219, as amended (15 U.S.C. 638) and Section 630 of the Act making appropriations for Agriculture, Rural Development and Related Agencies programs for fiscal year ending September 30, 1987, and for other purposes, as made applicable by Section 101(a) of Public Law 99-591, 100 Stat. 3341.

### **OBJECTIVES:**

To stimulate technological innovation in the private sector, strengthen the role of small businesses in meeting Federal research and development needs, increase private sector commercialization of innovations derived from USDA-supported research and development efforts, and foster and encourage participation, by women-owned and socially disadvantaged small business firms in technological innovation.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

The selected areas for research are Forests and Related Resources; Plant Production and Protection-Biology; Animal Production and Protection; Air, Water and Soils; Food Science and Nutrition; Rural and Community Development; Aquaculture; Biofuels and Biobased Products; Small and Mid-Size Farms, Plant Production and Protection-Engineering. The Small Business Innovation Research Program is carried out in three separate phases: Phase I projects are supported to determine the scientific or technical feasibility of ideas submitted by small business applicants on the selected research areas;

Phase II awards are made to firms with approaches that appear sufficiently promising as a result of Phase I studies. Only those small businesses previously receiving Phase I awards in either of the two preceding fiscal years are eligible to submit Phase II proposals.

Phase II projects are limited to \$450,000 for a period normally not to exceed 24 months; Phase III is to be conducted by the small business concern (including joint ventures and limited partnerships), and will be non-SBIR funded through the exercising of a follow-on funding commitment. The purpose of Phase III is to stimulate technological innovation and the national return on investment from research through the pursuit of commercialization objectives resulting from the USDA-supported work carried out in Phases I and II. Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences.

Fee:

A reasonable fee, not to exceed seven percent of total Federal funds awarded is permitted under this program, but applicants are encouraged to minimize fee requests due to the small amount of funds available. All fees are subject to negotiation with USDA.

### **Indirect Costs:**

If available, the current rate negotiated with the cognizant Federal negotiating agency should be used. Indirect costs may not exceed the negotiated rate.

If no rate has been negotiated, a reasonable dollar amount in lieu of indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if an application is recommended for funding, an indirect cost rate application must be submitted to support the amount of indirect costs requested. NIFA will request an indirect cost rate application and provide instructions, as necessary.

An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs.

Further detailed instructions are provided in the SBIR RFA (solicitation). Fully discretionary.

### **Applicant Eligibility:**

Applicant Eligibility (1) is organized for profit, with a place of business located in the United States, which operates primarily within the United States, or which makes a significant contribution to the United States economy through the payment of taxes or use of American products, materials or labor; (2) is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture, there can be no more than 49 percent participation by foreign business entities in the joint venture; (3) is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States, except in the case of a joint venture, where each entity in the venture must be 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in the United States; and (4) has, including its affiliates, not more than 500 employees. The term "affiliates" is defined in greater detail in 13 CFR 121.103. The term "number of employees" is defined in 13 CFR 121.106.

### **Beneficiary Eligibility:**

Small businesses.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with Section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into



account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/> <http://www.grants.gov> Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Phase I applications may be revised and resubmitted during a later funding cycle, provided the subject matter of the proposal is not changed, and the topic area under which the proposal was originally submitted is still listed in the solicitation. Phase I grantees may apply for a Phase II grant only once for each Phase I project funded.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under this authority. CSREES does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Phase I grants are normally limited to 8 months. Phase II grants are normally limited to 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Division, Office of Grants and Financial Management at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA),  
Department of Agriculture (USDA), STOP 2271,

1400 Independence Avenue, SW  
Washington, DC 20250-2271,

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's systems of financial management and internal control to meet the terms and conditions of grants and other agreements. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of the Federal Acquisition Regulations, 48 CFR Part 42, to ensure that funds have been applied efficiently, economically, and effectively.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$15,373,399; FY 12 est \$17,426,211; and FY 13 est \$17,632,584 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

NOTE: Some of these funds are "No Year."

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: SBIR Phase I:

Phase I proposals were solicited in 10 different topic areas: Forests and Related Resources; Plant Production and Protection Biology; Plant Production and Protection Engineering; Animal Production and Protection; Air, Water and Soils; Food Science and Nutrition; Rural Development; Aquaculture, Biofuels and Biobased Products; and Small and Mid-Size Farms. A total of 508 Phase I applications were submitted and 56 projects were funded for a success rate of 11%. A total of \$5,527,797 was spent on these projects.

SBIR Phase II:

Phase II proposals were submitted in 10 different topic areas: Forests and Related Resources; Plant Production and Protection Biology; Plant Production and Protection Engineering; Animal Production and Protection; Air, Water and Soils; Food Science and Nutrition; Rural Development; Aquaculture, Biofuels and Biobased Products; and Small and Mid-Size Farms. A total of 72 Phase I applications were submitted and 37 projects were funded for a success rate of 51%. A total of \$16,908,174 was spent on these projects. Fiscal Year 2012: SBIR Phase I:

Phase I proposals were solicited in 10 different topic areas: Forests and Related

Resources; Plant Production and Protection Biology; Plant Production and Protection Engineering; Animal Production and Protection; Air, Water and Soils; Food Science and Nutrition; Rural Development; Aquaculture, Biofuels and Biobased Products; and Small and Mid-Size Farms. A total of 451 Phase I applications were submitted and 63 projects were funded for a success rate of 14%. A total of \$6,234,159 was spent on these projects.

#### SBIR Phase II:

Phase II proposals were solicited in 10 different topic areas: Forests and Related Resources; Plant Production and Protection Biology; Plant Production and Protection Engineering; Animal Production and Protection; Air, Water and Soils; Food Science and Nutrition; Rural Development; Aquaculture, Biofuels and Biobased Products; and Small and Mid-Size Farms. A total of 50 Phase II applications were submitted and 25 projects have been recommended for funding for a success rate of 50%. A total of \$10,921,928 has been allocated to fund these 25 Phase II projects. Fiscal Year 2013: SBIR Phase I:

It is anticipated that between 400 and 500 applications will be submitted and that between 60 and 70 projects will be funded.

#### SBIR Phase II:

It is anticipated that 50-70 Phase II applications will be received and that approximately 50% of them will be funded.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Bioenergy, Climate and Environment Division of Environmental Systems, 1400 Independence Avenue, SW., STOP 2210, Washington, District of Columbia, 20250-2210, Telephone: (202) 720-5229, Fax: (202) 720-3945.

#### **ADDITIONAL CONTACT:**

USDA, NIFA, National Program Leader, Institute of Food Safety and Nutrition, Division of Food Safety, 1400 Independence Avenue, SW., STOP 2225, Washington, District of Columbia 20250-2225 Phone: (202) 401-1954, Fax (202) 401-4888.  
, Washington, District of Columbia 20250-2210 Phone: (202) 720-5229

#### **Website Address:**

<http://www.nifa.usda.gov/fo/sbir>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: SBIR Phase I:

Hydroponic and LED technologies will be used to determine the feasibility of producing high nutrient, high quality greens in small, urban high density, indoor farms. Test marketing will be done to verify the potential market in urban areas for premium priced, high nutrient greens.

Test the feasibility of Y-branched timbers as structural elements for new building construction. Procedures are being developed to use non-destructive

evaluation methods to determine the strength of the Y-branched timbers and to develop methods to grade the timbers.

Determine the feasibility of developing a distributed optical fiber sensor cable for monitoring levels of NH<sub>3</sub>, CO<sub>2</sub> and H<sub>2</sub>S in animal confinement structures. The air quality monitoring sensor will be coupled with intelligent signal processing technology to control ventilation in order to maintain a safe environment for both animals and people.

Develop an educational program with the aim of improving nutritional health and reducing childhood obesity. A digital and video streaming nutrition education curriculum, KickinKitchen.TV will be developed and will consist of two digital webisodes that will be used to teach nutrition concepts and food preparation skills to pre-teens.

Chemical grafting of poly(butylene succinate) (PBS) onto reinforced cellulose nanowhiskers (CNW) will create PBS-g-CNW. Polylactic acid (PLA) is a commercially available bioplastic that is biodegradable but too brittle. Incorporation of PBS-g-CNW into PLA is expected to dramatically improve the impact properties of the PLA without compromising other desirable properties.

#### SBIR Phase II:

Phosphate is an essential nutrient for plant productivity but also a major pollutant when it accumulates in surface waters. Affordable and practical phosphate test kits are being developed to permit on-the-spot testing for phosphate so that appropriate decisions can be made as to the proper level of phosphate fertilizer to apply to provide optimal plant growth without causing surface water pollution.

Surface contamination of eggs is an important food safety problem. Optical inspection of white eggs is well developed but not for brown and brown speckled eggs. A non-contact multispectral sensing and machine vision technology is being developed that reliable can inspect brown and brown speckled eggs for various contaminants at speeds up to 10,000 eggs/hour.

Interleukin-12 (IL-12) is a potent adjuvant of cell-mediated immunity that has been shown to enhance protection from influenza pathogens and enhance vaccine effectiveness in swine against swine flu. In an effort to develop a lower cost procedure for production of porcine IL-12, a plant system has been developed that can produce fully functional porcine IL-12 adjuvant in a transient tobacco expression system.

Red alder is an important hardwood species of the Pacific Northwest but it currently is in short supply. Efforts are underway to develop an alder genetic improvement program involving both red alder and white alder that will lead to the development of elite, well-adapted planting stock. A hybridization program involving red and white alder will also be undertaken for long range stock enhancement.

An effort is being made to develop a 10kW horizontal axis wind turbine that can produce significant energy even in areas with only Class 1 or Class 2 wind speeds and would be of an appropriate size for many small farms. Fiscal Year 2012: SBIR Phase I:

Control of the mountain pine beetle (MPB) is a critical problem. The SPLAT (Specialized Pheromone & Lure Application Technology) approach involves the incorporation of the MPB anti-aggregation semiochemical verbenone into a flowable substrate so that verbenone is released over a sustained period of time to control MPB attacks on pine trees.

Development of robotic selective harvesting technology will help to make the Florida citrus industry more productive. Modern citrus groves use high density semi-dwarf trees and open hydroponics with optimized nutrient and water availability to accelerate plant growth. To maximize the productivity of these new grove improved harvesting technology is needed.

Walleye is a highly valued foodfish and sportfish and efforts will be made to determine the feasibility of using hybridization together with intensive, in-tank

fry-fingerling culture to produce food size walleye in one growing season in recirculating aquaculture systems .

Production of green diesel or biodiesel from biomass has many environmental benefits. Many different types of biomass can be converted to pyrolysis oil and then catalytically ungraded to green diesel. The process does not produce sulfur-containing compounds or any other environmentally harmful by-products.

Rural student math and science solving skills is a priority in many rural elementary and middle schools where distance and lack of resources pose special problems. A web-based distance learning software product will be developed that is designed to train students in all of the problem types required by the Common Core Math Standards

SBIR Phase II:

No results will be available until September of 2012 when the FY 2012 Phase II projects will become official. Specific details will be provided by Program Unit at a future date. Fiscal Year 2013: SBIR Phase I:

Pertinent details will be provided by Program Unit at a future date.

SBIR Phase II:

Pertinent details will be provided by Program Unit at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

(a) The proposing firm must qualify as a small business concern as specified in the SBIR solicitation; (b) The proposal must meet the Proposal Content and Format requirements as described in subsection 3.3 of the SBIR solicitation; (c) Proposals must be limited to one research problem (see subsection 3.1 of the SBIR solicitation); (d) The proposed budget must be within the dollar limit identified in subsection 1.2 of the SBIR solicitation; (e) The proposed duration of Phase I projects should normally not exceed 8 months, except in special, justified circumstances, and the duration of Phase II projects should normally not exceed 24 months. Where a proposed research project requires more than 8 months to complete in Phase I, a longer grant period, not to exceed 20 months, may be considered. An applicant of a Phase I project with an anticipated duration beyond 8 months should specify and justify the length of duration in the proposal at the time of its submission to USDA in order for it to be considered; (f) Proposals must cover scientific research activities only (see subsection 3.1 of the SBIR solicitation); (g) The proposed Phase I research must fall within a solicited topic area; (h) A proposal must contain adequate scientific/technical information to state clearly the research plan and objectives. USDA reserves the right not to submit for review any proposal which it finds to have insufficient scientific/technical information; (i) A resubmitted proposal must address concerns of the previous review panel. USDA reserves the right not to submit for review any proposal found not to be responsive to the previous review; and (j) Is it clear that the project director will work a minimum of 51 percent of his/her time for the small business firm during the period of the grant and that the small business firm will conduct a minimum of two-thirds of the research effort?.

#### **10.215 SUSTAINABLE AGRICULTURE RESEARCH AND EDUCATION**

SARE

##### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

##### **AUTHORIZATION:**

Section 1619-1624 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACTA), Public Law 101-624 (7 U.S.C. 5801) , 7 U.S.C 5801; Section 1622 of FACTA (7 U.S.C. 5812), and for selected national projects, 7 U.S.C 5812.

##### **OBJECTIVES:**

The purpose of the Sustainable Agriculture Research and Education Program (SARE) program is to encourage research designed to increase our knowledge

concerning agricultural production systems that:

- (1) maintain and enhance the quality and productivity of the soil;
- (2) conserve soil, water, energy, natural resources, and fish and wildlife habitat;
- (3) maintain and enhance the quality of surface and ground water;
- (4) protect the health and safety of persons involved in the food and farm system;
- (5) promote the well being of animals; and
- (6) increase employment opportunities in agriculture (section 1619-1624 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACTA), Public Law 101-624 (7 U.S.C. 5801).

The request for applications (RFA) is for the regional SARE host institutions to apply for funds to carry out the regional SARE programs under the direction of the SARE Regional Administrative Councils (section 1622 of FACTA (7 U.S.C. 5812)), and for selected national projects.

Most SARE competitive grants are made by the SARE regions as subawards. Typically, approximately 85% of the award to a SARE regional host institution is used for subawards. Individuals and organizations interested in applying for SARE competitive grants should NOT respond to this funding opportunity; rather they should apply to the appropriate SARE regional program. (See <http://www.nifa.usda.gov/fo/sustainableagricultureresearchandeducation.cfm> ).

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

##### **USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents.

Funds shall not be used for tuition remission.

Funds shall not be used for fixed equipment.

Section 704 of the Consolidated and Further Continuing Appropriations Act, 2012 (P.L. 112-55) limits indirect costs to 10 percent of the total Federal funds provided under each cooperative agreements or similar arrangements. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 10 percent of total Federal funds awarded. Fully discretionary.

##### **Applicant Eligibility:**

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

##### **Beneficiary Eligibility:**

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

##### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage

under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Regional technical committees will review, rank and prioritize proposals received from public and private organizations and make recommendations for funding to the regional administrative councils. Regional administrative councils will approve proposals for funding and associated plans of work and submit them to USDA. Research and education subcommittee on sustainable agriculture will review plans of work and the Department will give final approval.

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e]. NIFA does not require matching or cost sharing support for this program.

Funds are awarded competitively. No formula grants are awarded under this authority.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$13,544,856; FY 12 est \$13,530,964; and FY 13 est \$13,517,072 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some

cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$ 13,544,856 was available after subtracting agency administrative costs and the SBIR assessment. Of this amount \$771,809 was used for communications, outreach and coordination activities at the national level and \$12, 589,385 was distributed equally among the four SARE Regions.

Each region uses these funds to support a several different types of competitive sub-awards. These include a total of 35 Research and Education grants, 137 Farmer- Rancher or Producer plus Professional Grants and 32 Graduate student grants. Fiscal Year 2012: For the FY 2012 award Cycle, \$ 13,530,964 was available after subtracting agency administrative costs and the SBIR assessment. Of this amount \$763,678 was used for communications, outreach and coordination activities at the national level and \$12, 577,923 was distributed equally among the four SARE Regions.

Each region uses these funds to support a several different types of competitive sub-awards. These include Research and Education grants, Farmer- Rancher or Producer plus Professional Grants and Graduate student grants. A comprehensive tabulation of the sub-awards by grant type is not yet available. Fiscal Year 2013: The FY 2013 Funding Levels have not been established by Congressional Appropriations. Pertinent details will be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Agricultural Systems, 1400 Independence Avenue, SW., STOP 2240, Washington , District of Columbia 20250-2240 Phone: (202) 401-0151 Fax: (202) 401-5179

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: One example of a Farmer-Rancher grant proposal in the west in 2011 is FW11-033: Navajo Crop Demonstration Project. An example of a Graduate Student grant in the North Central region is GNC12-160: Effects of Cover Crop combinations and Fertilizer Application Timing on Nitrogen Leaching. Fiscal Year 2012: One example of a Producer +Professional grant funded in 2012 is OS12-066: Native Bee Assessment in North Georgia Apple Orchards: Measuring Diversity and Devising Methods to Boost Abundance. An example of Research and Education project from the Northeast Region is

LNE12-321: Education and Decision support strategy for farm-level economic and environmental assessment of dairy best management practices. Fiscal Year 2013: Projects have yet been funded with FY 2013 funds. Pertinent details will be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.216 1890 INSTITUTION CAPACITY BUILDING GRANTS**

1890 Capacity

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Authority for this program is contained in section 1417 (b)(4) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA) [7 U.S.C. 3152(b)(4)] (b)(4)), 7 U.S.C 3152(b)(4).

**OBJECTIVES:**

To build the research and teaching capacities of the 1890 land-grant institutions and Tuskegee University through cooperative programs with Federal and nonfederal entities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For teaching grants, funds may be used in the following targeted areas:

- (1) Curricula design and materials development;
- (2) faculty preparation and enhancement for teaching;
- (3) instruction delivery systems;
- (4) scientific instrumentation for teaching;
- (5) student experiential learning; and
- (6) student recruitment and retention.

For research grants, funds may be used to address high- priority research initiatives in areas where there is a present or anticipated need for increased capabilities and in which it is feasible for applicants to develop programs recognized for their excellence.

Research areas include, but are not limited to:

- (1) Studies and experimentation in food and agricultural sciences;
- (2) centralized research support systems; and
- (3) technology delivery systems. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, or repairs are incidental to the major purpose for which a grant is issued.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award.

Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

The 1890 land-grant institutions and Tuskegee University. The 1890 land-Grant Institutions are: Alabama A&M University; Alcorn State University; University of Arkansas-Pine Bluff; Delaware State University; Florida A&M University; Fort Valley State University; Kentucky State University; Lincoln University (MO); Langston University; University of Maryland-Eastern Shore; North Carolina A&T State University; Prairie View A&M University; South Carolina State University; Southern University and

A&M College; Tennessee State University; Virginia State University; and West Virginia State College.

**Beneficiary Eligibility:**

The seventeen 1890 land-grant institutions and Tuskegee University, non-1890 academic institutions, private industry, and the Department of Agriculture.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with Section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a one (1) to three (3) year period and may receive no-cost extensions of time as appropriate up to maximum of five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to:

Awards Management Division  
Office of Grants and Financial Management  
at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$18,308,480; FY 12 est \$18,263,554; and FY 13 est

\$18,306,217 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program represents no-year funds.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For FY 2011, \$18,170,550 was available for grant awards. A total of 18 institutions representing 17 states submitted 187 applications (59 teaching, 97 research, and 31 extension) requesting a combined \$64,208,718.

In May 2011, three peer review panels were conducted. The panels included a total of 49 experts in various disciplines within the food and agricultural sciences and comprehensive knowledge of the 1890 university system. Panelists consisted of faculty and administrators from land grant and non-land grant colleges and universities as well as research scientists from government and private industry.

A total of 61 applications were funded, including 19 teaching awards, 29 research awards and 13 Extension awards.

Funded projects should build capacity at the host institution in the areas of research, education, and/or extension. The grants are intended to address key problems of national, regional, and multi-institutional importance in sustaining all components of agriculture, including farm efficiency and profitability, ranching, renewable energy, forestry (both urban and agroforestry), aquaculture, rural communities and entrepreneurship, human nutrition, food safety, family and consumer sciences, biotechnology, and conventional breeding. Also in 2011, all projects had to address one of five Priority Areas: Global Food Security and Hunger, Climate Change, Sustainable Energy, Childhood Obesity, and Food Safety. Fiscal Year 2012: For FY 2012, \$18,170,550 was available for grant awards. A total of 18 institutions representing 17 states submitted 188 applications (52 teaching, 92 research, and 44 extension).

In May and June 2012, two peer review panels were conducted. The panels included approximately 60 experts in various disciplines within the food and agricultural sciences and comprehensive knowledge of the 1890 university system. Panelists consisted of faculty and administrators from land grant and non-land grant colleges and universities as well as research scientists from government and private industry.

It is anticipated that approximately 60 applications will be funded in FY 2012. Fiscal Year 2013: Pertinent details to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250 Phone: (202) 720-2324 Fax: (202) 720-2030.

**Website Address:**

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

**RELATED PROGRAMS:**

10.200 Grants for Agricultural Research, Special Research Grants; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This research project that will improve understanding of the hydrologic controls on nutrient and herbicide transport in a claypan watershed. The project will build the university's capacity to develop water quality programs at watershed scales and strengthen collaborations with other research institutions. The proposed project will also improve the quality of teaching programs at the university by providing better class materials, experimental sites for field research experience, and excellent data for class projects.

This project is concerned with the development of a sustainable and biologically based strategy to control major invasive pests of honey bees, a critical issue in commercial beekeeping and agriculture. The project will develop an environmentally friendly control strategy for the major pests (Varroa and SHB). This project will transfer technology to stakeholders through extension programs and provide experiential learning for students in research and outreach.

A baccalaureate degree program in Agriculture, Food, and Environment (AFE) will be developed with options in Agricultural, Food, Environmental, and Aquaculture Systems using an interdisciplinary approach toward understanding relationships between agricultural systems and the environment. The key objectives include:

- 1) offer an undergraduate degree in AFE by developing 15 courses (including 8 online-courses);
- 2) develop recruiting tools including a website and printed materials; and
- 3) Involve undergraduate students in research determining effects of different fertigation regimes and row cover use on yield, safety and nutritional quality of fresh fruits and vegetables grown organically in high tunnels.

A multidisciplinary team of faculty, including a biologist, three chemists, a mechanical and an electrical engineer, a microbiologist, a molecular biologist, an electron microscopist, and an information technologist, will collaborate in a nanotechnology-related project that uses food safety concepts and applications in a number of ASTEM educational settings. The targets include undergraduate major and non-major chemistry courses, two upper level undergraduate chemistry and biochemistry laboratory courses and outreach activities for K-12 students. The goal is to inspire and encourage majors and non-majors to consider future career opportunities in the emerging multibillion dollar field of nanotechnology

The objectives of this Extension project are:

- 1) To develop and operationalize a 4-H Youth Development Project afterschool mentoring program to serve 100 at-risk youth ages 8-15 in grades 3 through 10;
- 2) To assist the families of program youth in maintaining and/or increasing parenting skills, autonomy, and integrity in meeting their child's needs;
- 3) To promote classroom service learning experiences for college students in family and consumer sciences and in food and agricultural sciences;
- 4) To plan for collaboration and networking; and
- 5) To coordinate a process and outcome evaluation of the project. The Project will serve as an extension enhancement by linking this extension program to teaching via development of a delivery system to enhance the needs of underserved at-risk youth on a 1890 college campus. Fiscal Year 2012: Pertinent details to be provided by Program at a future date. Fiscal Year 2013: Pertinent details to be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.217 HIGHER EDUCATION CHALLENGE GRANTS**

Challenge or HEC Grants

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1405, 7 U.S.C 3121,1417(b)(1); National Agricultural Research, Extension, and Teaching Policy Act of 1977, 7 U.S.C 3152(b)(1).

**OBJECTIVES:**

To increase institutional capacities to respond to State, regional, national, or international educational needs by strengthening college and university teaching programs in the food and agricultural sciences.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used only in targeted areas, e.g., curricula design and materials development, faculty preparation and enhancement for teaching, instruction delivery systems, scientific instrumentation for teaching, student experiential learning, and student recruitment and retention, as cited in the annual program announcement in the Federal Register. student tuition remission, room and board, fees or other financial assistance (scholarships, fellowships, etc.). Also, funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or to plan, repair, rehabilitate, acquire, or construct buildings or facilities (i.e., greenhouses, laboratories, or other structures). Promotional items (e.g., T-shirts and other give-a-ways) and food functions (e.g., cookouts or other social meal gatherings) are considered entertainment expenses, and are also not allowed under this grants program. Federal Cost Principles governing this grant program state that items not eligible for Federal funding may also not be used as an applicants contribution toward meeting matching requirements.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions:**

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds, Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent. Fully discretionary.

**Applicant Eligibility:**

All U.S. public and private nonprofit colleges and universities offering a baccalaureate or first professional degree in at least one discipline or area of the food and agricultural sciences.

**Beneficiary Eligibility:**

All U.S. colleges and universities having a demonstrable capacity to teach the food and agricultural sciences.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies

to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Formal proposals should be submitted to the Proposal Services Unit, NIFA, as outlined in the solicitation of applications. Application procedures are contained in the program regulations and required forms are contained in the Grant Application Kit. This program is subject to the regulatory provisions of USDA, 7 CFR Part 3015, et seq., and all successor regulations.

**Award Procedure:**

Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%. A grant recipient is required to match 25% of the USDA funds awarded. Matching funds must come from non-Federal sources, and are not required to come in any particular amount from any one source.

However, all matching funds pledged in the application must be accompanied by documentation.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a one (1) to three (3) year period and may receive no-cost extensions as appropriate up to a maximum of five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the



expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

#### **Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

#### **Account Identification:**

12-1500-0-1-352.

#### **Obligations:**

(Project Grants) FY 11 \$5,380,045; FY 12 est \$4,545,625; and FY 13 est \$5,417,280 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program represents no year funds.

#### **Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$ 5,313,334 was available for project grant awards after subtracting administrative costs.

A total of 89 applications requesting a total of \$22,824,563 were received in this years competition. In April 2011, a 28-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 24 awards in the following Project Types (3 Conference/Planning: \$ 84,020; 13 Regular: \$1,763,899; 5 Joint: \$1,369,678; and 3 Large-Scale Comprehensive Initiatives (LCI): \$2,101,805). Joint and LCI Project Proposals requiring partnerships and sharing of grant funds between two or more institutions.

The funding ratio for this program in FY11 was 27%.

Funded projects should address one or more of the following educational strategies: (a) Curriculum Development, Instructional Delivery Systems and Expanding Student Career Opportunities; (b) Increasing Faculty Teaching Competencies; and (c) Facilitating Interaction with Other Academic Institutions. Also in 2011, all projects had to address one of five Priority Areas: Global Food Security and Hunger, Climate Change, Sustainable Energy, Childhood Obesity, and Food Safety. Fiscal Year 2012: For the FY 2012 award cycle, \$ 4,514,934 was available for project grant awards after subtracting administrative costs.

A total of 88 applications requesting a total of \$26,170,178 were received in this years competition. In June 2012, a 24-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 14 awards in the following Project Types (1 Conference/Planning: \$ 28,505; 6 Regular: \$823,206; 3 Joint: \$808,059; and 4 Large-Scale Comprehensive Initiatives (LCI): \$2,855,164). Joint and LCI Project Proposals requiring partnerships and sharing of grant funds between two or more institutions.

The funding ratio for this program in FY12 was 16%.

Funded projects should address one or more of the following educational strategies: (a) Curriculum Development, Instructional Delivery Systems and Expanding Student Career Opportunities; (b) Increasing Faculty Teaching Competencies; and (c) Facilitating Interaction with Other Academic Institutions. Also in 2012, all projects had to address one of five Priority Areas: Global Food Security and Hunger, Climate Change, Sustainable Energy, Childhood Obesity, and Food Safety. Fiscal Year 2013: Pertinent details to be provided by Program at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR Part 3405, Higher Education Challenge Grants, Administrative Provisions, and Grant Application Kit.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education 1400 Independence Avenue, SW., STOP 2250, Washington , District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030.

#### **Website Address:**

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

#### **RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Create a model curriculum focused on urban agriculture with two parallel tracts of study: Environmental SciencesUrban Agriculture option, and an Environmental JusticeUrban Agriculture option. The two tracts will share a set of core courses oriented specifically around urban and global food systems.

Improve student understanding of complex agricultural systems by integrating the use of a systems modeling platform to adapt a modeling platform for teaching basic concepts in crops, soils, and agricultural meteorology, and through this process of introduction and refinement, develop the ability of students to apply modeling approaches for understanding complexity in agroecosystems. This project will improve the quality of food and agricultural skills by using modeling tools to improve student understanding and ability to solve complex problems related to agroecosystem management.

Present classroom instruction and material in a contextual manner that promotes experiential learning by students, and develops the ability of students to learn in team/group formats. Case-study teaching provides multiple approaches for effective teaching through real life examples. Specific products include:

- 1) collaborating with a nationally recognized expert in case study teaching in the development of 8 different cases,
- 2) implement these case studies in six different Universities/programs, and
- 3) assess the impact of this approach on student learning outcomes. Outcomes: These cases will be made available to teachers of food safety and microbiology nationally through hardcopy and electronic means. The outcome of this effort will be students that are better prepared to apply fundamental principles for assuring a safe food supply.

Address the urgent issue of global food security and hunger through development of a new masters degree-level curriculum in International Agriculture and Development which will allow students to combine their technical degree with an internationally focused program of study. This project includes restructuring existing courses, developing new courses in global knowledge, and providing a core overseas experience in key partner countries.

Assist students in understanding science and math concepts that frequently deter many from continuing within food and agricultural science-based majors. Based on a successful design model established with NSF funding, the team will create educational multimedia tools, including animations and mini-games, to supplement instruction and enhance science and math conceptual understanding. Multimedia products will be integrated into coursework, with empirical measures of test results compared to previous semesters and instructors recommendations on future use. Students exposed to the educational materials should have greater success with key STEM test items, feel greater confidence in their skills at the end of the semester, and feel more confident about the likelihood of entering science-intensive agricultural careers. Fiscal Year 2012: Pertinent details to be provided by Program at a future date. Fiscal Year 2013: Pertinent details to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.219 BIOTECHNOLOGY RISK ASSESSMENT RESEARCH**

Biotechnology Risk Assessment Research Grants Program (BRAG)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Section 7210 , Public Law 101-171 , 7 U.S.C 5921; Food, Agriculture, Conservation, and Trade Act of 1990, Section 1668 , 7 U.S.C 7901.

#### **OBJECTIVES:**

The purpose of the BRAG program is to assist Federal regulatory agencies in making science-based decisions about the effects of introducing into the environment genetically engineered organisms, including plants, microorganisms (including fungi, bacteria, and viruses), arthropods, fish, birds, mammals and other animals excluding humans. Investigations of effects on both managed and natural environments are relevant. The BRAG program accomplishes its purpose by providing Federal regulatory agencies with scientific information relevant to regulatory considerations derived from the risk assessment research that the program funds.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research objectives. Funds may not be used for purposes other than those approved in the grant award documents. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in the Office of Management and Budget (OMB) Circular No. A-21, (codified at 2 CFR 220), some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project. Grant funds may not be used for endowment investing.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded.

#### **\*\*Special Note on Indirect Costs as in-kind matching contributions:**

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds, Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent. Fully discretionary.

#### **Applicant Eligibility:**

Any public or private research or educational institution or organization.

#### **Beneficiary Eligibility:**

Any public or private research or educational institution or organization.

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized

Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53. (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$1,802,018; FY 12 est \$2,841,069; and FY 13 est \$1,165,620 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

Some of these funds are no year.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$ 4,408,350 was available for project grant awards after subtracting administrative costs.

A total of 58 applications requesting a total of \$27,521,608 were received in this years competition. In June 2011, a 12-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 8 awards in the following Project Types (1 priority: \$992,760; 7 standard: \$ 3,055,590).

The funding success rate for this program in FY11 was 14%.

Funded projects should address one or more of the following scientific priorities:

- (a) comparison between transformation-associated mutagenesis in plants and variation introduced using non-genetic engineering approaches;
- (b) studies of landscape level environmental impacts of (genetically engineered) GE crops;

- (c) pollen flow and best management practices for co-existence in alfalfa;
- (d) management practices to minimize environmental risk from deployment of a GE organism;
- (e) methods to monitor dispersal of GE organisms;
- (f) gene transfer to domesticated and wild relatives;
- (g) environmental impacts of GE relative to non-GE production systems;
- (h) comparative assessment of the effects of GE plants with either a single resistance gene vs. stacked/pyramided resistance genes or single resistance gene vs. multiple genes that confer broad resistance to insects and/or diseases;
- (i) biological and ecological studies associated with GE perennial species;
- (j) development of environmental risk assessment methodologies for GE organisms when there is little baseline data on the unmodified parent organism (e.g., *Panicum virgatum*, *Miscanthus*, *Populus* spp., *Eucalyptus* spp.); and
- (k) assessment of the potential for non-target effects of RNA interference transgenes. Fiscal Year 2012: For the FY 2012 award cycle, approximately \$ 4,323,167 was available for project grant awards after subtracting administrative costs.

A total of 53 applications requesting a total of \$25,623,126 were received in this years competition. In May 2012, a 12-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 11 awards in the following Project Types (2 conferences: \$42,500; 9 standard: \$ 4,280,667).

The funding success rate for this program in FY11 was 19%.

Funded projects should address one or more of the following scientific priorities:

- (a) comparison between transformation-associated mutagenesis in plants and variation introduced using non-genetic engineering approaches;
- (b) studies of landscape level environmental impacts of (genetically engineered) GE crops;
- (c) pollen flow and best management practices for co-existence;
- (d) management practices to minimize environmental risk from deployment of a GE organism;
- (e) methods to monitor dispersal of GE organisms;
- (f) gene transfer to domesticated and wild relatives;
- (g) environmental impacts of GE relative to non-GE production systems;
- (h) comparative assessment of the effects of GE plants with either a single resistance gene vs. stacked/pyramided resistance genes or single resistance gene vs. multiple genes that confer broad resistance to insects and/or diseases;
- (i) biological and ecological studies associated with GE perennial species;
- (j) development of environmental risk assessment methodologies for GE organisms when there is little baseline data on the unmodified parent organism (e.g., *Panicum virgatum*, *Miscanthus*, *Populus* spp., *Eucalyptus* spp.); and
- (k) assessment of the potential for non-target effects of RNA interference transgenes. Fiscal Year 2013: Pertinent details will be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Plant Systems-Production, 1400 Independence

Avenue, SW., STOP 2240, Washington , District of Columbia 20250-2240  
Phone: (202) 401-4202 Fax: (202) 401-1782

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.207 Animal Health and Disease Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1. Pollen aerobiology, biocontainment, and plant genetics of perennial grasses

2. Fostering coexistence: industry-driven field and landscape research on pollen-mediated gene flow in genetically engineered alfalfa

3. Development of molecular technologies for marker-free transgenic crops

4. Development of a framework for assessing the non-target effects of plant RNAi on insects and

5. Assessing the non-target effects of milk from transgenic goats that overproduce lysozyme. Fiscal Year 2012: Awards have not yet been finalized. Pertinent details will be provided by Program at a future date. Fiscal Year 2013: Pertinent details will be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.220 HIGHER EDUCATION MULTICULTURAL SCHOLARS PROGRAM**

Minority Scholars Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Legislative authority for this program is contained in section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152). USDA/NIFA administers this federal assistance grant program to support food and agricultural sciences baccalaureate and Doctor of Veterinary Medicine (D.V.M.) degree training of the next generation of scientists, policy makers, and educators in the Food and Agricultural Sciences. USDA initiated the Higher Education Multicultural Scholars Program in FY 1994. This program, functioning collaboratively with eligible higher education institutions, is developing intellectual capital to secure the preeminence of U.S. food and agricultural systems., 7 U.S.C 3152.

**OBJECTIVES:**

To increase the ethnic and cultural diversity of the food and agricultural scientific and professional work force, and to advance the educational achievement of minority Americans, by providing grants to colleges and universities that have a demonstrable capacity to attract, educate, and graduate minority students for careers as agriscience and agribusiness professionals, and have unique capabilities for achieving the objective of full representation of minority groups in the fields of agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agricultural system.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Competitive annual grants to selected U.S. institutions of higher education provide for a limited number of four-year undergraduate scholarships to support minority students pursuing baccalaureate degrees in the food and agricultural sciences. Institutions also receive an annual cost-of-education allowance for each scholar supported by a grant. The scholars are selected by the institutions

and students must apply for the scholarships through procedures established by the individual institutions.

No scholarship grants are made directly to students and students cannot apply directly to USDA for scholarships. Scholarship monies may be used for tuition, fees, room, board, and other educational expenses as announced in a Federal Register notice inviting applications for new awards.

The institutional cost-of-education allowance may be used by the selected institutions to defray program expenses including, but not limited to, travel and publications costs incurred for student recruitment, and salaries of project personnel. Indirect cost is not allowable. Pursuant to 7 U.S.C. 3152(b), no indirect costs may be recovered under the MSP Program. Funds are restricted to the clearly designated uses found within the RFA.

For Award Category No. 2 Proposals, the budget sharing criteria are: (i) no single institution may receive more than forty percent (40%) and (ii) any institution may not receive less than fifteen percent (15%) of the requested funding for the baccalaureate and/or D.V.M. degree level training project (see Part II, C of the RFA).

When grant is for SEL that will be used by To-Be-Recruited Scholars: The SEL funds for To-Be-Recruited Scholars will be withheld until the Project Director has submitted, to the MSP Grants Program Office, all of the required documentation for eligibility of the MSP/SEL Scholar(s) for the SEL as well as the required specifics outlined in the RFA for the SEL. The information must be submitted for approval, no less than 150 days prior to the use of the SEL funds (see Part IV, B., 3, b, Section 1 of the RFA). Fully discretionary.

**Applicant Eligibility:**

Proposals may be submitted by all U.S. colleges and universities with baccalaureate or higher degree programs in agriculture, natural resources, forestry, veterinary medicine, home economics, and disciplines closely allied to the food and agricultural system, including land-grant colleges and universities, colleges and universities having significant minority enrollments and a demonstrable capacity to carry out the teaching of food and agricultural sciences, and other colleges and universities having a demonstrable capacity to carry out the teaching of food and agricultural sciences.

**Beneficiary Eligibility:**

Funds awarded under this program are used to support full-time undergraduate students pursuing a baccalaureate degree in an area of the food and agricultural sciences or a closely allied field. Persons eligible to receive scholarships under this program are students who either are enrolled or have been accepted as full-time baccalaureate or DVM degree candidates, and who are members of groups traditionally under-represented in food and agricultural scientific and professional fields.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized

Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a five (5) year period, however, scholars are supported for four (4) years during that five (5) year period. One (1) year of the grant period is available for student recruitment and for short interruptions of a scholar's educational advancement due to personal circumstances or emergencies. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report

(SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$1,174,970; FY 12 est \$940,129; and FY 13 est \$1,157,325 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program represents no year funds.

Funding for the Multicultural Scholars program is no-year money. The FY 2010 amount includes carryover funds.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 33 applications were received for consideration. The success rate was 30%.

Ten proposals were funded, yielding a total of 58 scholarships and 40 special experiential learning opportunities for students.

Applications addressed the following Program Areas of Emphasis:  
Veterinary Medicine;  
Agricultural Sciences and Engineering;  
Natural Resource Sciences Training;  
Human Sciences Training;

Food Science and Human Nutrition Training;  
Agrosecurity Science Training; and  
Agricultural Education. Fiscal Year 2012: The FY '12 RFA is still pending. It is anticipated that approximately 35 applications will be submitted and 7 projects will be awarded. Fiscal Year 2013: It is anticipated that approximately 35 applications will be submitted and 7 projects will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects were funded in the following program areas of emphasis:

Agricultural Sciences and Engineering;  
Agricultural Education;  
Food Science and Human Nutrition Training;  
Human Sciences Training; and  
Natural Resource Sciences Training.

Supported projects advance national STEM education achievement by supporting students representing a multicultural pool of graduates entering the future food and agricultural scientific and professional workforce; support Americas academic competitiveness in STEM by supporting scholarships in D.V.M. and/or undergraduate degree level training grounded in curricula to advance food and agricultural sciences; increase the number of qualified students from traditionally underrepresented and underserved groups pursuing undergraduate/D.V.M. degrees in training programs that have the highest chance for success; and enhance workforce diversity in STEM fields by supporting experiential learning opportunities of MSP Scholars in the public and private sectors. Further information is available at <http://www.nifa.usda.gov/fo/multiculturalscholars.cfm>. Fiscal Year 2012: The FY '12 RFA is still pending. Pertinent details will be provided by Program at a future date. Fiscal Year 2013: Pertinent details will be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.221 TRIBAL COLLEGES EDUCATION EQUITY GRANTS**

Higher Education Native American Formula and/or Higher Education Native American Institutions

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Authority for the Tribal Colleges Education Equity Grants (TCEG) program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note) as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). Appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements., 7 U.S.C 301 note.

**OBJECTIVES:**

This grants program is designed to promote and strengthen higher education instruction in the food and agricultural sciences at the 33 Tribal Colleges designated as 1994 Land-Grant Institutions in the Equity in Educational Land-Grant Status Act of 1994, as amended. Plans of Work should focus on undergraduate and/or graduate studies in the food and agricultural sciences in one or more of the following areas: Curricula Design and Materials Development, Faculty Development and Preparation for Teaching, Instruction Delivery Systems, Student Experiential Learning, Equipment and Instrumentation for Teaching, or Student Recruitment and Retention.

The purpose of the TCEG Program is to provide funding to enhance educational opportunities for Native Americans in the food and agricultural sciences. The TCEG program is intended to strengthen institutional capacity to deliver relevant formal education opportunities. The TCEG is intended to be a component of the applicant 1994 institutions land grant roadmap or strategic planning process. To the extent practicable, priorities should reflect the following national critical needs areas:

1. Sustainable energy
2. Global food security and hunger
3. Climate change
4. Nutrition and preventing childhood obesity
5. Food safety
6. Sustainable rural economies

Awards are made upon approval of each institutions application for a grant that relate to an institutions long-range goals. As indicated in Part 1, C. of the RFA, an application may address one (1) or more of the following program areas:

- Curricula Design and Materials Development
- Faculty Development and Preparation for Teaching
- Instruction Delivery Systems
- Student Experiential Learning
- Equipment and Instrumentation for Teaching
- Student Recruitment and Retention

Recognizing that strengthening instructional programs is a long-term ongoing process, the TCEG program is interested in funding subsequent phases of previously funded projects in order to strengthen institutional capacity, and institutions are encouraged to build on a theme over several grant awards to reach institutional long-range goals.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Tribal College Equity Program (TCEG) provides funds to enhance educational opportunities for Native Americans by strengthening instructional programs in the food and agricultural sciences at the thirty four (34) tribal colleges designated as the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions).

Under this authority, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Funding Restrictions:

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30

percent of total Federal funds awarded.

Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded.

Indirect costs for the Equity program are not required and a 1994 institution may take less than the allowable amount or forego indirect costs altogether - adjust budgets accordingly.

Neither research nor extension projects are supported under the TCEG Program.

The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project.

Grant funds may not be used for endowment investing.

**Special Notices:**

1. NIFA will withhold all funds for a TCEG award to an applicant requesting indirect costs if the applicant has not negotiated an indirect cost rate with its cognizant federal agency.
2. If a grantee is in the process of negotiating an indirect cost rate with its federal agency, NIFA will withhold all funds from that grantee until the indirect cost rate has been established.
3. If an institutions indirect cost rate has expired or will expire in the near future, a clear statement on renegotiation efforts must be included in the application. (See Part IV, B.5. of the RFA - Budget Justification.)
4. It is incumbent on all applicants to have a current indirect cost rate or begin negotiations to establish an indirect cost rate prior to the TCEG submission deadline. Because it may take several months to obtain an indirect cost rate, applicants needing an indirect cost rate are encouraged to start work on establishing these rates well in advance of submitting a TCEG application.
5. In lieu of requesting indirect costs (if the applicant does not have a negotiated rate), an applicant may prepare a budget in which all charges in the budget are included as direct costs.

NIFA does not require matching support for this program. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by any of the Tribal colleges and universities designated as 1994 Land-Grant Institutions under the Educational Land-Grant Status Act of 1994, as amended. This Act, as amended in Section 533(a), requires that each 1994 Land-Grant Institution be accredited or making progress towards accreditation and be recognized as a legal entity. If accreditation is being sought, a college must demonstrate its progress towards accreditation by a letter from a nationally recognized accreditation agency affirming receipt of application for an accreditation site visit or other such documentation. An applicants failure to meet an eligibility criterion by the time of an application deadline will result in NIFA returning the application without review or, even though an application may be reviewed, will preclude NIFA from making an award.

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of project goals and objectives.

**Beneficiary Eligibility:**

The 1994 Institutions--Bay Mills Community College, Black feet Community College, Cankdeska Cikana Community College, Cheyenne River Community

College, Dine Community College, D-Q University, Dull knife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stone child Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crown point Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation; and Little Priest Tribal College.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All Requests for Applications (RFAs) are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications were subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who were specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications were judged most meritorious under the procedures set forth in the RFA. This information collection is approved under OMB Control No. 0524-0039, NIFA Application Kit for Research and Extension Programs.

Reviewers were selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website.

Respective links are provided below:

- <http://www.nifa.usda.gov/>
- <http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. There is no statutory formula for this program. However, appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Equity Funds for ineligible 1994 institutions or of those who fail to apply by the application submission date will be redistributed equally among the remaining eligible 1994 institutions.

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Under this RFA, only new applications for four-year continuation awards may be submitted to the TCEG Program. These are project applications not previously submitted to TCEG. All new applications will be reviewed by a review panel using the process and criteria described in Part V of the RFA Application Review Requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Annual Performance Report:**

Annual performance reports are due 30 days after the anniversary date of the award and should be submitted to Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of the reporting requirements are included in the award terms and conditions.1) a comparison of actual accomplishments with the goals established for the reporting period;  
2) if established goals were not met, the reasons  
3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project  
4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;  
5) any other indication of increased capacity for carrying out the land grant mission



#### Final Technical Report:

A final technical report must be submitted within 90 days to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of the reporting requirements are included in the award terms and conditions. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;
2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;
3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;
4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;
5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award; and,

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. NIFA uses SF-425, Federal Financial Report to monitor cash. Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Annual Performance Report:

Annual performance reports are due 30 days after the anniversary date of the award and should be submitted to the NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Annual performance reports must include the following information:

- 1) a comparison of actual accomplishments with the goals established for the reporting period;
- 2) if established goals were not met, the reasons
- 3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project
- 4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;
- 5) any other indication of increased capacity for carrying out the land grant

#### mission

#### Final Technical Report:

A final technical report must be submitted within 90 days after the expiration date of the project NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;
2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;
3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;
4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;
5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award; and,

Quarterly Reports of Federal Cash Transactions (SF-272) were required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and were submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

Are cash reports required?

&#8195;. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Branch  
Office of Extramural Programs  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Award Terms and Conditions:

Awards are accompanied by provisions including Terms and Conditions for the funded project. Grantees must stay informed and guided by the Terms and Conditions of the award regarding required reports, program/project data collection, program income, release of information, sharing of findings, data, and other project products, patents, inventions, copyrights, etc.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Annual Performance Report:**

Annual performance reports are due 30 days after the anniversary date of the award must include the following information:

- 1) a comparison of actual accomplishments with the goals established for the reporting period;
- 2) if established goals were not met, the reasons
- 3) documentation of outputs; i.e., significant activities, including dissemination activities, events, services or products that contribute toward achieving the goals and objectives of the project
- 4) outcomes/impacts; i.e., a change in knowledge, actions or conditions;
- 5) any other indication of increased capacity for carrying out the land grant mission

**Final Technical Report:**

A final technical report must be submitted 90 days after the expiration date of the project. The expiration date is specified in the award documents and modifications thereto, if any. Generally, the final technical report should be a summary of the completed project, including:

1. A review of project objectives and accomplishments;
2. A description of outcomes resulting from the project and activities undertaken to disseminate these outcomes;
3. An explanation of partnerships and collaborative ventures that resulted from the project, including future initiatives that are planned as a result of the project;
4. A description of the projects impact on the PD(s), the institution(s) involved, and the community;
5. Any pertinent data on project personnel and beneficiaries. The final technical report also must contain any other information specified in the terms and conditions of the award.

**Audits:**

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

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$3,335,316; FY 12 est \$3,335,000; and FY 13 est \$3,335,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

Appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements. Equity Funds for ineligible 1994 institutions or of those who fail

to apply by the application submission date will be redistributed equally among the remaining eligible 1994 institutions.

Under this RFA, only new applications for four-year continuation awards may be submitted to the TCEG Program. These are project applications not previously submitted to TCEG. All new applications will be reviewed by a review panel using the process and criteria described in Part V of the RFA Application Review Requirements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$ 3,335,000 was available for project grant awards after subtracting administrative costs.

A total of 31 applications requesting a total \$2,906,250 were received. The Equity grant program is in continuation, so no competition was held. Award funds are distributed equally among participating schools, per legislation. In 2011, one 1994 Land Grant did not participate in Equity funding. The remaining money was distributed among the participating schools. Thus each school received \$107,590.

Funds were available to support many types of projects. Often, the funding will cover many areas of study in combination to provide more students an opportunity for experiential learning. The most common subject areas were: Agricultural Social Sciences: 15 percent, Environmental Science Management: 12 percent; and conservation, human nutrition, and Family and Consumer Science at slightly over 10 percent.

The funding ratio for this program in FY11 was 100 percent of requests received in accordance with legislation.

Funded projects should address one or more of the following educational strategies: Curricula Design and Materials Development

Faculty Development and Teacher Preparation

Student Experiential Learning

Equipment and Instrumentation for Teaching

Student Recruitment and Retention. Fiscal Year 2012: This grant program is under a four-year continuation cycle. Therefore, the programs and the funding distribution will be similar to that of FY 2011. Fiscal Year 2013: This grant program will be in its final year of a four-year continuation cycle. Therefore, the programs and the funding distribution will be similar to that of FY 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250 Phone: (202) 720-2324 Fax: (202) 720-2030.

**Website Address:**

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

**RELATED PROGRAMS:**

10.222 Tribal Colleges Endowment Program; 10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The project director used Equity funding to move to a 4-year degree program in agricultural science. For the first time the Tribal College was

able to offer its students chemistry and trigonometry classes. Currently, college is transferring 3-5 students to a four-year program annually.

In 2011, there were two interns, funded through Equity, who worked on wild rice research.

In 2012 there will be upgrades to the classroom laboratory, such as instruments and tools for student and faculty research.

This is the third year of a four-year grant. The project director used her Equity funding to support recruitment and retention efforts, providing outreach to K-12 students, and a GED program. Through Equity funding the college offered physics for the first time in 2011. In addition, a teaching laboratory has been set up; this means the college no longer has to borrow research facilities to teach science classes. A full-time science instructor has been hired, who will be co-Project Director.

This equity program combines mathematics with agriculture and environmental sciences to engage students in learning. A new class, Environmental Measurements, drew students with its opportunities to use GIS and GPS technology while learning math. Students were given scholarships to make attending college possible. The project director took several of his students to the American Indian Science and Engineering Society where they learned about career opportunities and degree options at 4-year programs.

The project director used Equity money primarily for recruitment and retention. The college learning center services students and helps them succeed in the 10 classes in math and science offered by the college. Two camps were held summer science and science, technology, math and engineering.

The project director met with North Dakota State University faculty to create courses in plant sciences and natural resource management. The new courses will be included in the 2012 class schedule, and add more classes will be added annually to form degree and certification programs.

The project director used Equity money in an innovative fashion, expanding environmental science education across a student body of a school that is primarily arts-based. Students from every major were given the opportunity to participate in community gardens, recycling efforts and other conservation projects throughout the campus. This increased scientific literacy among the liberal art students and provided the science students innovative ideas on how to express scientific concepts to a lay audience. Fiscal Year 2012: This is an continuation, so the projects will not change significantly until 2014. Fiscal Year 2013: This is an continuation, so the projects will not change significantly until 2014.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.222 TRIBAL COLLEGES ENDOWMENT PROGRAM**

Tribal Colleges Endowment Program  
aka 1994 Institutions Endowment Program

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Title V, Part C of the Improving Americas Schools Act of 1994, Public law 103-382 (October 20, 1994), 7 U.S.C. 301 note, as amended; Public Law 105-185, cited as Equity in Educational Land-Grant Status Act of 1994, (hereafter referred to as the Act) provides that certain tribal colleges, designated as 1994 Land-Grant Institutions, (hereafter referred to as LGIs) receive various benefits., 7 U.S.C 301 note.

#### **OBJECTIVES:**

To enhance educational opportunities at the thirty-four (34) Land Grant Institutions by strengthening their teaching programs in the food and agricultural sciences in targeted need areas.

The legislation designates that the interest from the endowment funds benefit

the 1994 land-Grant institutions by supporting teaching programs in the food and agricultural sciences in the target areas of:

- 1) Curricula design and instructional materials
- 2) Faculty development and preparation for teaching
- 3) Instruction delivery systems
- 4) Student experiential learning
- 5) Equipment & instrumentation for teaching
- 6) Student recruitment and retention

Additionally, endowment funds released on or after October 1, 2001, also may be used for facility renovation, repair, construction and maintenance to support teaching programs in the food and agriculture sciences in addition to the above six (6) areas, to support the land-grant mission.

#### **TYPES OF ASSISTANCE:**

##### FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

The Tribal Colleges Endowment Fund benefits the 1994 land-grant institutions by promoting capacity development in teaching programs in the food and agricultural sciences. The Tribal Colleges Endowment Fund, as a teaching capacity development program, is a companion program of the Tribal Colleges Equity Grants Program. It differs primarily from the Equity Grants Program in two (2) respects, namely:

Endowment funds may be escrowed indefinitely and used for major obligations relating to the allowable activities.

As of October 1, 2001, Endowment funds also may be used for facility renovation, repair, construction, and maintenance in support of and in addition to the six (6) targeted areas of support listed below.

Interest distribution from an endowed corpus based on a formula specific to this legislation.

The legislation designates that the interest from the endowment funds benefit the 1994 land-Grant institutions by supporting teaching programs in the food and agricultural sciences in the target areas of:

- 1) Curricula design and instructional materials
- 2) Faculty development and preparation for teaching
- 3) Instruction delivery systems
- 4) Student experiential learning
- 5) Equipment & instrumentation for teaching
- 6) Student recruitment and retention

Additionally, endowment funds released on or after October 1, 2001, also may be used for facility renovation, repair, construction and maintenance to support teaching programs in the food and agriculture sciences in addition to the above six (6) areas, to support the land-grant mission. Interest distribution from an endowed corpus based on a formula specific to this legislation.

Distribution funds received prior to October, 2001 may not be used for new construction.

Institutions that intend to use their Endowment Funds for new construction should submit their plans to USDA, NIFA, National Program Leader, Multicultural Alliances for approval. Institutions that list plans for new construction in their Planning Document will be sent specific guidelines.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 534(a)(3) of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) to require that all eligible recipients of the 1994 Institutions Endowment Fund meet certain accreditation requirements in order to receive interest distributions from that fund. Those LGIs that do not meet these requirements will have their share of funds redistributed to those 1994 institutions which meet accreditation requirements.

#### **Applicant Eligibility:**

Eligibility is defined by legislation. An institution must be an accredited 1994 Land Grant Institution with current accreditation from a recognized accreditation organization.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) by adding at the end the following: (34) Ilisagvik College.

The complete listing of 1994 Land-Grant Institutions (LGIs) is as follows:

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Chief Dull Knife College, College of the Menominee Nation, D-Q University, Dine College, Fond du Lac Tribal and Community College, Fort Belknap College, Fort Berthold Community College, Fort Peck Community College, Haskell Indian Nations University, Ilisagvik College, Institute of American Indian Arts, Leech Lake Tribal College, Little Big Horn College, Little Priest Tribal College, Navajo Technical College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Saginaw Chippewa Tribal College, Salish Kootenai College, Si Tanka University, Sinte Gleska University, Sisseton Wahpeton College, Sitting Bull College, Southwestern Indian Polytechnic Institute, Stone Child College, Tohono Oodham Community College, Turtle Mountain Community College, United Tribes Technical College, Lac Courte Oreilles Ojibwa Community College, and White Earth Tribal and Community College.

**Beneficiary Eligibility:**

Eligibility is defined by legislation. An institution must be an accredited 1994 Land Grant Institution with current accreditation from a recognized accreditation organization.

Section 7402 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Pub. L. 110-246), amends Section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note: Public Law 103-382) by adding at the end the following: (34) Ilisagvik College.

The complete listing of 1994 Land-Grant Institutions (LGIs) is as follows:

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Chief Dull Knife College, College of the Menominee Nation, D-Q University, Dine College, Fond du Lac Tribal and Community College, Fort Belknap College, Fort Berthold Community College, Fort Peck Community College, Haskell Indian Nations University, Ilisagvik College, Institute of American Indian Arts, Leech Lake Tribal College, Little Big Horn College, Little Priest Tribal College, Navajo Technical College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Saginaw Chippewa Tribal College, Salish Kootenai College, Si Tanka University, Sinte Gleska University, Sisseton Wahpeton College, Sitting Bull College, Southwestern Indian Polytechnic Institute, Stone Child College, Tohono Oodham Community College, Turtle Mountain Community College, United Tribes Technical College, Lac Courte Oreilles Ojibwa Community College, and White Earth Tribal and Community College.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. There is no application process. Please refer to Section :093 for specific details regarding the Award Procedure.

**Award Procedure:**

On the termination of each fiscal year, the Secretary of Agriculture withdraws the earned interest from the Endowment fund and distributes it to the 1994s on a pro rata basis. The pro rata basis formula is as follows: 60 percent is based on the Indian student count for each institution; 40 percent is distributed in equal

shares.

Interest distributions are made on an annual basis.

The interest earned from the endowment corpus is distributed to each 1994 Institution based on a 60-40 percentage formula:

60 percent (60%) is based on the number of American Indian students enrolled (based on the annual Student Indian Count as defined in Section 390(3) of the Carl D. Perkins Vocational and Applied Technology Education Act) will be furnished to the agency by the American Indian Higher Education Consortium - AIHEC) and

40 percent (40%) on an equal base formula.

The computation is made by NIFA and a letter of notification is sent to each 1994 institution President.

The Endowment Interest distribution is available to the 1994 Institutions to be drawn down at their discretion through the electronic payment systems of either the Department of Health and Human Services (PMS) or through the Treasury ASAP system.

Upon notification of their annual distribution, 1994s are required to submit a Planning Document (subject to approval) on how their Endowment funds will be spent.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable, each year of funding is awarded as a new grant.

**Formula and Matching Requirements:**

Statutory Formula: Title Equity in Educational Land-Grant Status Act of 1994, Public Law 103-382. Title V, Part C of the Improving Americas Schools Act of 1994, Public law 103-382 (October 20, 1994), 7 U.S.C. 301 note, as amended; Public Law 105-185, cited as Equity in Educational Land-Grant Status Act of 1994, (hereafter referred to as the Act) provides that certain tribal colleges, designated as 1994 Land-Grant Institutions, (hereafter referred to as LGIs) receive various benefits.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Interest distributions are made on an annual basis.

The Endowment Interest distribution is no-year funds and can be used or held indefinitely. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds. Institutions are required to submit the SF-425, Federal Financial Report, per Agency instructions. The office listed below provides agency oversight of these reports:

Formula Grants Section (F/S)  
Financial Operations Branch (FOB)  
Office of Extramural Programs (OEP)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2298  
1400 Independence Avenue, SW  
Washington, DC 20250-2298

Telephone: (202) 401-6520  
Fax: (202) 690-3002

E-mail: [formulagrantsquestions@nifa.usda.gov](mailto:formulagrantsquestions@nifa.usda.gov). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

As part of its oversight and accountability responsibilities, NIFA requires that the following documents be submitted by September 30 of each year or within 90 days after having received the interest distribution notification:

Planning Document College intent to utilize the Endowment Funds (Institutions are encouraged to engage in long-range planning and the sharing of ideas within the Tribal College Community.)

Annual Technical/Progress Report How funds were spent over the past year and any impact of those funds.

Annual SF- 425, Federal Financial Report, per Agency instructions.

**SPECIAL NOTE:**

Specific and detailed guidance regarding the format and content of the Planning Document and Annual Technical/Progress Report accompany the annual Interest Distribution letters which are sent to the Presidents of each 1994 Land-Grant Institution.

Further, the reports are required to keep Congress informed of progress and accomplishments regarding the utilization of the Endowment funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$4,134,719; FY 12 est \$4,553,023; and FY 13 est \$4,843,200 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program represents no year funds.

**Range and Average of Financial Assistance:**

The Endowment Interest distribution increases each year in proportion to the Endowment Corpus and the interest earnings for each year; as well as the number of American Indians enrolled at each institution. The highest amount awarded was in 2009 was \$299,509 and the lowest amount was \$57,866. Three Institutions received amounts over \$200,000; 11 Institutions received amounts over \$100,000 and 18 Institutions received amounts under \$99,000.

NOTE: For Fiscal Year (FY) 2009, two (2) LGIs did not meet eligibility criteria for interest distribution.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Total distribution to 32 Tribal Colleges (1994 Land Grants) \$ 4,306,999 for FY '11. Fiscal Year 2012: Total distribution to 32 Tribal Colleges (1994 Land Grants) \$ 4,721,684 for FY '12. Fiscal Year 2013: Total FY '13 amount will be based on interest earned from Endowment fund and distribution formula. Pertinent data will be submitted by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 301 note; 7 CFR Part 3015, USDA Uniform Federal Assistance

Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030

**Website Address:**

[http://www.nifa.usda.gov/nea/education/in\\_focus/multicultural\\_if\\_1994\\_endowment.html](http://www.nifa.usda.gov/nea/education/in_focus/multicultural_if_1994_endowment.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funding is at the discretion of the 1994 Land Grant Presidents. Fiscal Year 2012: Funding is at the discretion of the 1994 Land Grant Presidents. Fiscal Year 2013: Funding is at the discretion of the 1994 Land Grant Presidents.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.223 HISPANIC SERVING INSTITUTIONS EDUCATION GRANTS**

HSI Grants

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

This program is administered under the provisions of section 1455 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA)

(7 U.S.C. 3241) pursuant to section 815 of Public Law 104-127 and Public Law 110-246. Section 1455 of NARETPA, as reauthorized by section 7128 of Public Law 110-246, provides the Secretary of Agriculture with the authority to make competitive grants (or grants without regard to any requirement for competition) to Hispanic-Serving Institutions for the purpose of promoting and strengthening the ability of Hispanic-Serving Institutions to carry out education, applied research, and related community development programs., 7 U.S.C 3241.

**OBJECTIVES:**

The objective of this program is to promote and strengthen the ability of Hispanic-Serving Institutions to carry out higher education programs in the food and agricultural sciences. These programs aim to attract outstanding students and produce graduates capable of enhancing the Nation's food and agricultural scientific and professional work force. Grants under this program will be awarded to:

- (1) support the activities of consortia of Hispanic-Serving Institutions to enhance educational equity for underrepresented students;
- (2) strengthen institutional educational capacities including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international educational needs in the food and agricultural sciences;
- (3) attract and support undergraduate and graduate students from underrepresented groups in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States, beginning with the mentoring of students at the high school level and continuing with the

provision of financial support for students through their attainment of a doctoral degree; and

(4) facilitate cooperative initiatives between two or more Hispanic-Serving Institutions, or between Hispanic-Serving Institutions and units of State government or the private sector, to maximize the development and use of resources, such as faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to support one or more of the following target areas or additional target areas as identified in the annual program announcement: Curricula design; materials development; library resources; faculty preparation and enhancement for teaching; instruction delivery systems; scientific instrumentation for teaching; student experiential learning; and student recruitment and retention. 1. Award Limitations  
For FY 2009, a lead institution may receive up to two awards. Institutions could serve as collaborators in many applications and awards.

2. Funding Limitations

Please see Part II, C.3., Award Size, for maximum budget requests for regular or collaboration project applications. For FY 2009, there is no limitation on the amount of funding a single awardee may receive either as a lead institution, a cooperating institution, a subawardee or any combination thereof. The lead institution on a Collaboration Project must retain at least 25 percent and no more than 75 percent of the funds awarded.

3. Use of Funds for Facilities

Under the Hispanic-Serving Institutions Education Grants Program, the use of grant funds to plan, acquire, or construct a building or facility is not allowed. With prior approval, in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are incidental to the major purpose for which a grant is issued.

4. Indirect Costs

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

Hispanic serving institutions are eligible to receive funds under this program. "Hispanic serving institutions" means an institution of higher education which, at the time of application, has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students, and which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such certificate;

- (2) is a public or other nonprofit institutions accredited by a nationally recognized accrediting body; and
- (3) is legally authorized to provide a program of education beyond the secondary level for which a 2-year associate, baccalaureate, or higher degree is awarded. Applications may be submitted by, and awards may only be made to, public or other non-profit Hispanic-Serving Institutions as defined in the definitions section of this solicitation. For the purposes of this program, the individual branches of a State university system or public system of higher education that are separately accredited as degree granting institutions are treated as separate institutions eligible for awards. Accreditation must be by an agency or association recognized by the Secretary, U.S. Department of Education. Institutions also must be legally authorized to offer at least a

two-year program of study creditable toward an associate's or bachelor's degree. Separate branches or campuses of a college or university that are not individually accredited as degree granting institutions are not treated as separate institutions. To be eligible for competitive consideration for an award under this program, a Hispanic-Serving Institution must at the time of application:

(1) certify that it has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students; and

(2) provide assurances that not less than 50 percent of the institution's Hispanic students are low-income individuals as defined in the definitions section of this solicitation.

**Beneficiary Eligibility:**

Hispanic serving institutions, as identified above, are eligible to receive funds under this program.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the

Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and

Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$8,816,480; FY 12 est \$8,824,690; and FY 13 est \$8,833,740 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Hispanic-Serving Institutions Education Grants Program promotes and strengthens the ability of Hispanic-serving institutions (HSIs) to carry out education programs that attract outstanding students and produce graduates capable of enhancing the nation's food and agricultural scientific and professional work force. Projects may involve individual institutions, consortia of HSIs, or cooperative initiatives between two or more HSIs or with other colleges and universities, units of government, or the private sector.

20 projects were awarded in 2011, representing 7 states and Puerto Rico

HSI led four webinars to HSI grantees to inform about opportunities for Hispanic and underrepresented students on internships and potential jobs within USDA. One webinar was conducted for HSIs to provide information about 2012 RFA and grant application process

The HSI Peer Review Panel was comprised of 28 individuals (2 Black males, 3 Asian Pacific Islander males, 8 Hispanic males, 3 Hispanic females, and 2 white females). Fiscal Year 2012: In Fiscal Year (FY) 2012, a total of \$ 9.2 million was available to support projects in the following areas of emphasis:

- (1) Faculty Preparation and Enhancement for Teaching;
- (2) Curricula Design, Materials Development, and Library Resources;
- (3) Instruction Delivery Systems;
- (4) Scientific Instrumentation for Teaching;
- (5) Student Experiential Learning; and
- (6) Student Recruitment and Retention (including financial assistance).

In April 2012, a twenty-one member peer review panel reviewed 83 proposals.

A total of 19 representing five (5) states and Puerto Rico (7 Continuation and 11 Regular) projects are in the process to be awarded the amount of \$8,804,505.

About 5 webinars have been conducted to provide HSIs with information about grants, jobs, and internship opportunities in NIFA and other USDA agencies. Four other webinars have been conducted specifically to help students apply for internships and summer opportunities in USDA.

Seven Conference calls have been conducted for HSI existing awardees and Collaboration-continuation projects.

Three more webinars are scheduled for the rest of the year to provide information to HSIs about the 2013 RFA, projects technical and financial reports and continuation project activities. Fiscal Year 2013: According to the NIFA FY13 budget, \$9.2 million will be available to support the HSI grants.

The FY13 HSIs RFA will be published in October 2012.

Funds for seven Collaboration-continuation awards will be provided.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.217 Higher Education Challenge Grants; 10.220 Higher Education Multicultural Scholars Program; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) One project is preparing students for career paths with the USDA Forest Service by linking student success with experiential learning opportunities. This proposal is a collaboration among 11 institutions. Our objectives center on mentoring cohorts of students to prepare them for careers in Natural Resource Management. Students will be provided experiential learning opportunities appropriate for their academic level that engage them in resource management. Projects highlights include FS and other internships, faculty mentorships, local and international field courses, a semester exchange program, high school field trips, and advising and tutoring. The project will result in improved recruitment, retention, academic performance and graduation rates, and more Hispanic American students moving directly to careers with USDA. Fifty (50) students (26 females and 24 males) are currently enrolled in our NM\_PR Career Tracks Program as follows: 43 BS, six MS and one Ph.D.

(2) Another project has established a Consortium for Agriculture Education and Hispanic Workforce Development (FCCA<sub>gE</sub>). More than 70 students (both grant-funded and unfunded), 60 percent of which are Hispanic Americans took advantage of the agroecology courses, internships, workshops, and travel opportunities offered by the FCCA<sub>gE</sub>. At least 100 more, including some high school students and teachers, attended the annual agroecology symposium. These scholarly activities, along with teaching resources such as the Campus Organic Garden, student Garden Club, and effective collaborations with area government and non-governmental agricultural institutions, including area organic farmers, have expanded the university's faculty expertise in offering training and advice to college and high students and teachers on issues related to local and national agriculture and environmental management. The project has created partnership with seven USDA agencies providing 33 internships. The total number of students served through this initiative where 50% female, 83% Hispanic, 12% Black, and 5% White.

(3) Another project is aimed at preparing underrepresented students for careers in the agricultural sciences. The two-year project will be conducted as a collaboration, focusing on biological suppression of exotic, invasive giant reed. Students will conduct independent research under supervision of ARS and other scientists while receiving intensive training in scientific methods and communication, through delivery of presentations and preparation of scientific manuscripts.

(4) A consortium has established an educational network that will increase the number of Hispanic students being employed by federal agencies such as USDA in areas related to Sustainable Energy. The goal of the consortium is to



create a collaborative network of researchers, educators, USDA agencies, and non-profit organizations to coordinate efforts, share resources, and increase educational, training and post-graduation opportunities for Hispanic students pursuing careers in the Sustainable Energy area.

Across the consortium, 92 students applied for USDA internships (75% Hispanic and 42.4% female students); 53 of those students are currently being supported under the project. A total of 18 students will be interns in the summer of 2012; 14 of those at USDA agencies and 4 of them at other agencies. Fifteen (15) student presentations have already been given at regional or national conferences. The consortium is also supporting through this award a total of 53 students (nine PhD, eight MS, and 36 undergraduates).

One HSI National Program Leader participated in various events and made four trips to participate in conference to promote and offer information on the HSI Grants program.

Another HSI National Program Leader engaged in activities to promote diversity in the HSI program and create professional networks. Fiscal Year 2012: (1) One project The Pima Innovative Nutrition Track (PINT) will address the problem of career opportunities for underrepresented populations by resolving a gap in available Nutrition classes for Hispanic students. The project will target 145 Hispanic students through a Nutrition Science curriculum, encouraging enrollment in a new transfer certificate in Nutrition. The program will include guest speakers, field trips, and other opportunities to open up career options to targeted students. The project will develop a new nutrition-based curriculum and negotiate an articulation agreement to create a transfer pipeline for students to achieve baccalaureate degrees in nutritional science.

(2) Another project currently enrolls more than 60 Natural Resources Management (NRM) majors; 75% are underrepresented minority (UM) students. We project 50% enrollment increases over the next 3 years. We plan focused advising, early academic intervention, and a Geographic Information System (GIS)-enhanced curriculum to increase the number of UM students graduating with NRM B.S. degrees and GIS skills. Graduates will have the competencies to collect, manage, manipulate, and share geospatial agricultural data as well as to contribute to the sustainment of rural agriculture and management of natural resources impacted by climatic changes.

(3) Another project is an interdisciplinary and collaborative effort between 5 Hispanic serving institutions, which will provide students from agriculture and related disciplines with graduate research assistantships, undergraduate research stipends and educational and training experiences. The scope also involves outreach activities and hands-on research experiences for talented K-12 students. All of education training activities are aimed at providing innovative, high impact research training and education experiences to students and faculty from underrepresented Hispanics groups. The project will establish and consolidate a pipeline attracting, recruiting, retaining and graduating talented individuals while supporting their actual placement in Agriculture-related positions.

(4) Another project brings added value to Latinos pursuing graduate education and employment in USDA occupations. It will identify, select, and cultivate Masters degree level students in food and agricultural sciences disciplines through an outstanding thesis award competition focused on USDA priority areas of Food Safety, Climate Change, Sustainable Energy and Childhood Obesity. Fifty fellows, including the award winners, will participate in a Career Preparation Institute networking with senior faculty researchers and USDA agency representatives and create a leadership plan focused on developing human capital relevant to meeting the USDA labor force needs. Fiscal Year 2013: 9.2 million for HSI program

HSI 2013 RFA will be published by October 2012

Seven Collaboration-Continuation projects will be funded

Three information webinars for HSIs are scheduled for 2013 in addition to four webinars about student internship opportunities through the USDA portal.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.225 COMMUNITY FOOD PROJECTS**

Community Food Project Program

##### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

##### **AUTHORIZATION:**

The Community Food Projects Competitive Grants Program (CFPCGP) legislative authority is located in Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Pub. L. 110-246), which authorizes a program of federal grants to establish and carry out Community Food Projects., 7 U.S.C 2034.

##### **OBJECTIVES:**

To support the development of community food projects designed to meet the food needs of low-income people; increase the self-reliance of communities in providing for their own needs; and promote comprehensive responses to local food, farm, and nutrition issues.

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

Community food projects are intended to take a comprehensive approach to developing long-term solutions that help to ensure food security in communities by linking the food sector to community development, economic opportunity, and environmental enhancement. Comprehensive solutions may include elements such as:

- (1) Improved access to high quality, affordable food among low-income households;
- (2) support for local food systems, from urban gardening to local farms that provide high quality fresh food, ideally with minimal adverse environmental impact; and
- (3) expanded economic opportunities for community residents through local business or other economic development, improved employment opportunities, job training, youth apprenticeship, school-to-work transition, and the like.

Any solution proposed must tie into community food needs.

Successful applicants must provide matching funds, either in cash or in-kind amounting to at least 50 percent of the total cost of the project during the term of the grant award. 1. Construction and Renovation:

With prior approval, and in accordance with applicable Federal cost principles, grant funds may be used to plan, acquire, or construct a building or facility, or to acquire land; and for improvements, alterations, renovations, or repairs to land or buildings, necessary to carry out a funded project under this program. However, requests to use grant funds for such purposes must demonstrate that such expenditures are essential to achieving the major purpose for which the grant request is made.

##### 2. Indirect Costs:

Full Negotiated Rate.

Special Note on Indirect Costs as in-kind matching contributions:

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds,

Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent.

**Applicant Eligibility:**

Proposals may be submitted by private nonprofit entities. Because projects must promote comprehensive responses to local food, farm, and nutrition issues, applicants are encouraged to seek and create partnership among public, private nonprofit and private for-profit organizations or firms. To be further eligible for a grant, a private nonprofit applicant must meet three mandatory requirements: 1. Have experience in the area of: (a) community food work, particularly concerning small and medium-sized farms, including the provision of food to people in low-income communities and the development of new markets in low-income communities for agricultural producers; or (b) job training and business development activities in low-income communities; 2. demonstrate competency to implement a project, provide fiscal accountability and oversight, collect data, and prepare reports and other appropriate documentation; and 3. demonstrate a willingness to share information with researchers, practitioners, and other interested parties.

**Beneficiary Eligibility:**

Low income people.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

OMB Circular No. A-122 applies to this program.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the

effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100%. Successful CFP applicants and PP award applicants MUST provide matching on a dollar-for-dollar basis (100%) for all federal funds awarded.

Matching funds are not required for T & TA grants.

The legislation establishing the FSLC requires that as a condition to receiving a grant from NIFA, the NGO must contribute in-kind resources toward implementing the grant. To comply with this provision, NIFA has determined that applicants must provide at least 25 percent of total project resources on an in-kind basis during the term of the grant award. The Federal share of FSLC costs can be no more than 75 percent of total project costs.

CFP, PP and FSCL grantees may provide matching funds through cash and/or in-kind contributions, including third-party in-kind contributions fairly evaluated, including facilities. The non-federal share of the funding may come from state government, local government, other non-profit entities, or private sources. Examples of qualifying matching contributions may include direct costs such as: rent for office space used exclusively for the funded project; duplication or postage costs; and staff time from an entity other than the applicant for job training or nutrition education.

**\*\*SPECIAL NOTES:**

(1) Use of Indirect Costs as In-Kind Matching Contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent.

(2) MATCHING FUNDS ARE NOT REQUIRED FOR TRAINING AND

TECHNICAL ASSISTANCE (T & TA) GRANTS.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Project Grants) FY 11 \$4,800,000; FY 12 est \$4,800,000; and FY 13 est \$4,800,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In a nation simultaneously challenged by both hunger and obesity, the importance of healthy food for all is evident. In FY2011, the active CFPs are estimated to have generated and handled 1.5 million pounds of food including fruits and vegetables, meats, dairy items, eggs and honey. The number of people and organizations involved in and affected by these Community Food Projects during FY 2011 was significant. Nearly 181,000 Americans were provided food as a result of the programs and about 54,000 were K-12 students or youth attending summer programs. Customers and food recipients varied in age, race and ethnicity and most resided in low-income areas. Nearly 9 in 10 CFP participants reported that they were healthier, provided healthier food for their families, and had increased their consumption of fruits and vegetables as a result of participating in the project. Significant increases in participant knowledge and attitudes related to healthful eating and local food systems were also found. Source: Community Food Projects: Indicators of Success Fiscal Year 2011, provided by the Community Food Security Coalition. Fiscal Year 2012: 176 Community Food Projects were reviewed.

Funded projects included:

2 Training and Capacity Building projects  
6 Planning Projects and

14 Community Food Projects. Fiscal Year 2013: Pertinent details to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Safety and Nutrition, Division of Nutrition, 1400 Independence Avenue, SW., STOP 2225, Washington, District of Columbia 20250-2225 Phone: (202) 401-2138 Fax: (202) 401-6488.

**Website Address:**

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

**RELATED PROGRAMS:**

10.572 WIC Farmers' Market Nutrition Program (FMNP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See the Food Security Learning Centers CFP Database hosted by WhyHunger at <http://www.whyhunger.org/cfp>. Fiscal Year 2012: Projects scheduled to be funded: Harvesting Wellbeing is a Community Food Project with four public and private partners-a health center, and economic development corporation, a local farm and a regional fresh food network. The partners will implement the initiative on the U.S. Mexico border in a rural, low-income community that is 95% Hispanic/Latino. The vision is to renew food traditions in the community so locally-grown food is enjoyed by all for better health.

In another project in the Hudson Valley, the project will improve access to affordable healthy food in what is a challenging food system in downtown Yonkers. The project includes major enhancements to its existing CSA, Farmers Market, and Community Garden Network, as well as entrepreneurial initiatives called the Youth Farm Team and a new 10,000 square ft. rooftop farm that will be operated as a social enterprise. The partnership involves a host of local farmers, a private developer, the City of Yonkers, local clergy, and community garden members. The cross-cutting nature of the program connects multiple sectors of the food system, involves social enterprise and job training,

builds stronger relationships between the profit and non-profit food sectors, and develops our long-term capacity to improve community outcomes around healthy food access and health.

Community FoodWorks was initiated by Earth Learning to comprehensively address community food security in low-income communities, local food infrastructure, farm production capacity, farmer development, and nutrition issues. Earth Learning, and its partners propose several key components for a community food project:

1) The Farm at Verde Gardens, a 22-acre organic urban polyculture farm/farm market, with a commercial kitchen being operated in tandem with a housing community of 145 formerly-homeless households;

2) A beginning farmer apprenticeship program centered around the farm enterprise; and

3) A Local Food Hub, in its pilot phase, which extends out into the food shed. Fiscal Year 2013: Pertinent details to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

1. The applicability and merit of the proposed project in regard to its ability to: Meet the food needs of low-income people in the proposed community for providing for its own food needs; and promote comprehensive responses to local food, farm, and nutrition needs;

2. the capacity to become self-sustaining once Federal funding ends; and

3. organizational and staff qualifications and experience; and 4. additional criteria will be considered relative to the extent the proposed project contributes to:

- (a) developing linkages between two or more sectors of the food system;
- (b) supporting the development of entrepreneurial projects;
- (c) developing innovative linkages between the for-profit and nonprofit food sectors;
- (d) encouraging long-term planning activities and multi-system, interagency approaches; and (e) incorporating linkages to one or more ongoing USDA themes or initiatives referred to in the program guidelines and/or annual proposal solicitation.

#### **10.226 SECONDARY AND TWO-YEAR POSTSECONDARY AGRICULTURE EDUCATION CHALLENGE GRANTS**

SPECA Grants Program

##### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

##### **AUTHORIZATION:**

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)), 7 U.S.C 3152 (j); Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S. Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture (USDA), who has delegated the authority to the Director of the National Institute of Food and Agriculture (NIFA), will award grants to: (a) promote and strengthen secondary and 2-year postsecondary agriscience and agribusiness education, and Agriculture in the K-12 Classroom,

in order to help ensure the existence in the United States of a qualified workforce to serve the food and agricultural sciences system; and (b) promote complementary and synergistic linkages among secondary, 2-year postsecondary, and higher education programs in the food and agricultural sciences in order to attain excellence in education and to encourage more young Americans to pursue and complete a baccalaureate or higher degree in the food and agricultural sciences., 7 U.S.C 3121.

#### **OBJECTIVES:**

The purpose of the Secondary Education, Two-Year Postsecondary Education, and Agriculture in the K-12 Classroom Challenge (SPECA) Grants Program is to: enhance curricula in agricultural education; increase faculty teaching competencies; interest young people in pursuing higher education in order to prepare for scientific and professional careers in the food and agricultural sciences; promote the incorporation of agriscience and agribusiness subject matter into other instructional programs, particularly classes in science, business, and consumer education; facilitate joint initiatives by the grant recipient with other secondary schools, institutions of higher education that award an associate's degree, institutions of higher education that award a bachelor's degree, and nonprofit organizations supporting agriscience and agribusiness education, to maximize the development and use of resources, such as faculty, facilities, and equipment, to improve agriscience and agribusiness education; support other initiatives designed to meet local, State, regional, or national needs related to promoting excellence in agriscience and agribusiness education; and support current Agriculture in the Classroom programs for grades K-12.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Funds may be used only in targeted areas, e.g., curricula design and materials development, promotion of teaching competencies, promotion of agriscience and agribusiness career information, instruction delivery systems, student experiential learning, and educational activities that increase the diversity of students pursuing degrees in agriscience and agribusiness. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Tuition remission not allowed.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions:**

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds, Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent. Fully discretionary.

**Applicant Eligibility:**

Public secondary schools or public or private nonprofit junior and community colleges.

**Beneficiary Eligibility:**

Public secondary schools or public or private nonprofit junior and community colleges.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:  
Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100%. A grant recipient is required to match the USDA funds awarded on a dollar-for-dollar (100%) basis from non-Federal sources. Matching funds are not required to come in any particular amount from any one source. However, all matching funds pledged in this application must be accompanied by documentation. See Part IV, B.5. SF 424 (R&R) Budget Fed and Non-Fed, Field K-Budget Justification, for additional details.

**\*\*Note #2 - Use of Indirect Costs as In-Kind Matching Contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$915,852; FY 12 est \$853,500; and FY 13 est \$928,535 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, a total of \$905,573 was available for project grant awards after subtracting administrative costs.

A total of 69 academic institutions submitted applications requesting \$7,634,963. In March 2011, a sixteen-member peer review panel evaluated these applications. The peer panel included faculty members from secondary schools, two-year postsecondary, land grant and non-land grant colleges and universities, and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 15 awards in the following Project Types : 2 Conference/Planning: \$ 45,728; 8 Regular: \$300,812; 5 Joint: \$559,033; and no Large-Scale Comprehensive Initiatives (LCI). Joint and LCI Project Proposals requiring partnerships and sharing of grant funds between two or more institutions.

The funding ratio for this program in FY11 was 22%.

Funded projects should address one or more of the following educational strategies: (a) Curriculum Development, Instructional Delivery Systems and Expanding Student Career Opportunities; (b) Increasing Faculty Teaching Competencies; and (c) Facilitating Interaction with Other Academic Institutions. Also in 2011, all projects had to address one of five Priority Areas: Global Food Security and Hunger, Climate Change, Sustainable Energy, Childhood Obesity, and Food Safety. Fiscal Year 2012: For the FY 2012 award cycle, a total of \$843,224 was available for project grant awards after subtracting administrative costs.

A total of 62 academic institutions submitted applications requesting \$6,794,068. In March 2012, an eighteen-member peer review panel evaluated these applications. The peer panel included faculty members from secondary schools, two-year postsecondary, land grant and non-land grant colleges and universities, and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 15 awards in the following Project Types :

3 FY '11 Continuation: \$164,147;

1 Conference/Planning: \$ 22,491;

3 Regular: \$133,047;

5 Joint: \$480,781; and

1 (partial) Large-Scale Comprehensive Initiatives (LCI): \$42,758 (balance of funds in FY13).

Joint and LCI Project Proposals requiring partnerships and sharing of grant funds between two or more institutions.

The funding ratio for this program in FY11 was 24%.

Funded projects should address one or more of the following educational strategies:

(a) Curriculum Development, Instructional Delivery Systems and Expanding Student Career Opportunities;

(b) Increasing Faculty Teaching Competencies; and

(c) Facilitating Interaction with Other Academic Institutions. Also in 2011, all projects had to address one of five Priority Areas: Global Food Security and Hunger, Climate Change, Sustainable Energy, Childhood Obesity, and Food Safety. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250 Phone: (202) 720-2324 Fax: (202) 720-2030.

**Website Address:**

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

**RELATED PROGRAMS:**

10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Develop a comprehensive, agriculture-themed, 6-8 grade focused curriculum unit on food safety for distribution to teachers nationwide, and specifically targeted to educators who lack STEM training. Modules will provide tools teachers need to begin incorporating STEM education into their state-mandated curriculum, ultimately resulting in more students exploring agriculture and food safety careers.

Create a professional development curriculum and certified training program for K-8 teachers to ensure teachers have access to high quality materials, curricula, and training to implement hands-on, field-based K-8 STEM education. Professional training will increase teacher competency and confidence in teaching the sciences through experiential learning modalities. Students will have access to educational programs that will increase their knowledge of food and agriculture education and of how to create sustainable community food systems and educators will be able to train other K-8 classroom teachers using a Train the Trainer model.

Produce a mobile lab to provide precision agriculture hands-on activities and demonstrations. The mobile lab will include an ATV modified with precision

agriculture technology to simulate commercial-scale systems, and a trailer with related technology and instructional equipment, to deliver course content to four regional high schools.

Curriculum materials will be developed and made available to secondary agriculture teachers throughout the U.S. focusing on food safety and security content and topics. The curriculum materials will be based upon content standards adopted at state and national levels. A food systems approach will provide the context for the content included in the curriculum materials to increase student awareness and knowledge of food safety and security that extend beyond the producer level. In addition, STEM content and concepts along with career opportunities in the food and agricultural sciences will be integrated into the curriculum. Fiscal Year 2012: Enhance teacher professional development activities through high-quality structured training in The Curriculum for Agricultural Science Education (CASE) and Delta training. The project will encourage high school teachers to work closely with university faculty to align curricula and to introduce new depth to sustainable energy and phytotechnology lesson plans. Anticipated results are for an increased number of students to be exposed to and develop knowledge of opportunities in agriculture, and for those students to be more adequately prepared to move seamlessly to a postsecondary institution and careers in agriculture-related industries.

Enable high school students to operate and manage a small-scale oyster nursery. This nursery will employ, on a smaller scale, the same equipment and techniques used by commercial aquaculturists, and will be the first of its kind in New York Harbor. Students will directly manage and operate the nursery and produce oysters for use in restoration projects.

Develop a sustainable agriculture certificate and associates degree program to allow students to further their education in agriculture and/or other STEM disciplines and create a pathway to the attainment of advanced degrees through transfer articulation agreements.

Increase faculty teaching competencies and develop curriculum and instructional delivery services for grade 10-14 high school and community college students and educators across the nation by developing a set of research-based instructional webinars. Content will include emerging technologies in sustainable and renewable agriculture, a web-based Introduction to Agriculture-based Sustainable and Renewable Energy course, and instructional activities available in a modular format that includes emerging research-based information and science and inquiry-based activities. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.227 1994 INSTITUTIONS RESEARCH PROGRAM**

Tribal Colleges Research Grants Program (TCRGP)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3121), designates the U. S. Department of Agriculture (USDA) as the lead Federal Agency for agricultural research, extension, and teaching in the food and agricultural sciences. Authority for this program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture may award competitive grants, as defined in section 536 of the Equity in Educational Land Grant Status Act of 1994 (7 U.S.C. 301 note), to assist the 1994 Land-Grant Institutions in conducting agricultural research that addresses high priority concerns of tribal, national or multi-state significance., 7 U.S.C 301 note.

#### **OBJECTIVES:**

The Tribal Colleges Research Grants Program (TCRGP) (aka 1994 Institutions

Research Program) is a competitive grants program supporting fundamental and/or applied agricultural research projects that address high priority concerns of tribal, national or multi-state significance. The program funds investigative and analytical studies and experimentation in the food and agricultural sciences (as defined in section 1404 of the NARETPA (7 U.S.C. 3103) and Part VIII, E. of this RFA). TCRGP seeks to advance the body of knowledge in the basic and applied natural and social sciences within the food and agricultural sciences.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

#### **USES AND USE RESTRICTIONS:**

This research grants program is authorized to conduct agricultural research that addresses high priority concerns of tribal, national or multi-State significance. NIFA has determined that grant funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Fully discretionary.

#### **Applicant Eligibility:**

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dullknife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Orielles Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stonechild Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crownpoint Institute of Technology, Haskell Indian National University, Leech Lake Tribal College, College of the Menominee Nation, and Little Priest Tribal College.

#### **Beneficiary Eligibility:**

Bay Mills Community College, Blackfeet Community College, Cankdeska Cikana Community College, Cheyenne River Community College, Dine Community College, D-Q University, Dullknife Memorial College, Fond Du Lac Community College, Fort Belknap Community College, Fort Berthold Community College, Fort Peck Community College, LacCourte Oriellese Ojibwa Community College, Little Big Horn Community College, Nebraska Indian Community College, Northwest Indian College, Oglala Lakota College, Salish Kootenai College, Sinte Gleska University, Sisseton Wahpeton Community College, Sitting Bull College, Stonechild Community College, Turtle Mountain Community College, United Tribes Technical College, Southwest Indian Polytechnic Institute, Institute of American Indian Arts, Crownpoint Institute of Technology, Haskell Indian Nations University, Leech Lake Tribal College, College of the Menominee Nation, and Little Priest Tribal College.

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e]. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$1,684,270; FY 12 est \$1,680,007; and FY 13 est \$1,681,278 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program represents no year funds.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$ 1,684,270 was available for



project grant awards after subtracting administrative costs.

A total of 11 applications requesting a total of \$2,161,984 were received in this years competition. In March 2011, a 9-member peer review panel evaluated these applications via an on-line conference. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Of the 11 applications, 7 were selected as high priority projects for full funding. These received \$1,400,000 in grants. The remaining \$284,270 was divided among the remaining applicants for much smaller micro-grants to develop demonstration projects or feasibility studies. This was done in to fulfill the programs mission of building capacity at 1994 Land Grant Institutions. The applicants who received these smaller grants were able to explore their ideas and plan improvements or try an entirely new project based on their findings.

The funding ratio for this program in FY '11 was 100 percent.

Funded projects should address one or more of the following research areas: Agricultural Social Sciences (Includes Agricultural Education, Agricultural Communications, and Rural Sociology)  
Human Nutrition Dietetics  
Environmental Sciences Management  
Conservation and Renewable Natural Resources (includes Forestry)  
Family and Consumer Sciences (includes Textiles and excludes Human Nutrition). Fiscal Year 2012: For the FY 2012 award cycle, \$1,681,948 was available for project grant awards after subtracting administrative costs.

For the first time in the programs history applicants had the option of applying for student-led or community-driven research projects. These projects were for smaller amounts of money, but let schools focus on building scientific capacity at their institutions rather than conduct research investigations that they didnt have the facilities to perform. The 1994 Land Grants that did have advanced research capacity maintained the option of applying for traditional grant funding.

The new RFA drew a record response of 24 applications requesting a total of \$3,167,261. In May, a 9-member peer review panel met via distance conferencing and evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 14 awards for a total of \$1,856,801. The additional \$174,853 was obtained from 2004 and 2005 money as these are no-year funds and do not return to Treasury.

The project breakdown was as follows:

4 - Student Projects - \$231,819  
3 - Community Projects - \$255,000 and  
7 - Research Projects - \$1,369,982.

The funding ratio for this program in FY '12 was 58 percent.

A majority Funded projects address one or more of the following research topics:

Agricultural Social Sciences - 23 %  
Animal Sciences - 21%  
Conservation - 17%  
Environmental Sciences Management - 13% and  
Human Nutrition Dietetics - 7%

Other prominent subject areas included agribusiness, bio-fuels, consumer science, food science technology, pest management, plant sciences and water sciences. Fiscal Year 2013: Pertinent data will be provided by Program at a future date.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant

Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030

#### **Website Address:**

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

#### **RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: For one project, two institutions are leading investigations of the aquatic invasive macrophyte flowering rush (*Butomus umbellatus*). The goal of this research is to gather basic information to assess how flowering rush expansion will impact native fish recovery. One lake has experienced non-native fish and macroinvertebrate introductions that alter food webs resulting in a fishery dominated by 80% non-natives, and culturally and ecologically important native westslope cutthroat and bull trout natives have declined to 15% of the fish assemblage.

One Tribe has maintained a Bison herd since the 1930s. In recent years the calving rate of the 800 head herd has been below 50 percent. One collaboration proposes to study the nutrition, behavior, and genetic integrity of the herd in order to better manage the herd's reproduction. The proposed study builds on a current research characterizing reproductive diseases in the herd and expands the Tribe's holistic approach to maintaining the herd's reproductive success. Fiscal Year 2012: One college proposes to develop BATS (Broadening Achievements Together in STEM) which will enrich STEM (Science, Technology, Engineering and Mathematics) research capacity, and allow us to recruit and retain Native American students, and produce high-quality graduates with a comprehensive understanding of research methodologies and experience working with a team of scientist.

New regional energy drilling has local residence worried about the water quality in the region and how intensive energy exploration will affect water for from a human health and ecological perspective. Students will gather baseline Total Petroleum Hydrocarbon (TPH) fingerprint data. TPH fingerprinting will be established on the Reservation during petroleum related activities (drilling and transport). The timing of this research is very important for the Reservation as petroleum development is in the initial year. The data collected using biological, chemical and physical parameters is crucial in establishing baseline data in pristine waterways on the Reservation.

Reports show the highest percent of students fail because of poor attendance, which is informally found to be related to many different reasons most often related to lack of planning and not having a clear goal. United Tribes Technical college researchers will explore how to assist students with adjusting to life on campus, setting career goals and planning for college and career success.

Succulent plants, such as Agave, Opuntia, and Yucca species, which were

important for generations, but whose use has declined over the years, offer opportunities to adapt food and energy needs in the face of a increasingly warmer and drier climate. Researchers hypothesize that certain Agave, Opuntia, and Yucca species will be suitable food and bio-energy crops for production in the extreme environmental conditions of the high desert. Students will evaluate several species in these genera to determine their survival and productivity under field conditions. Fiscal Year 2013: Pertinent data will be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.228 ALASKA NATIVE SERVING AND NATIVE HAWAIIAN SERVING INSTITUTIONS EDUCATION GRANTS**

ANNH Grants Program

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

This program is administered under the provisions of section 759 of Public Law 106-78 (7 U.S.C. 3242) which was amended and redesignated as section 1419B of the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) of 1977 (7 U.S.C. 3155). As legislatively reauthorized in the Public Law 110-246, the purpose of this program continues to promote and strengthen the ability of eligible Alaska Native-Serving Institutions and Native Hawaiian-Serving Institutions to carry out education, applied research, and related community development programs within a broadly defined area of food and agricultural sciences and related disciplines. In FY 2009, the Secretary will make competitive grant awards to individual eligible institutions or consortia of eligible institutions in Alaska and in Hawaii, with funds awarded equally to each of the states of Alaska and Hawaii., 7 U.S.C 3242.

#### **OBJECTIVES:**

The purpose of this program is to promote and strengthen the ability of Alaska Native-Serving Institutions and Native Hawaiian-Serving (ANNH) Institutions to carry out education, applied research, and related community development programs. NIFA intends this program to address educational needs, as determined by each institution, within a broadly defined area of food and agricultural sciences and related disciplines.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Funds may be used to enhance educational equity for under-represented students in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States; to strengthen institutional educational capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified educational needs in the food and agricultural sciences; and to facilitate activities and cooperative initiatives between AN/NH Serving Institutions, or between AN/NH Serving Institutions and units of State government or the private sector, to maximize the development and use of resources, faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs. The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program.

With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project.

Grant funds may not be used for endowment investing.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal

funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Fully discretionary.

#### **Applicant Eligibility:**

Individual public or private, non-profit Alaska Native-Serving and Native Hawaiian-Serving Institutions of higher education that meet the definitions of Alaska Native-Serving Institution or Native Hawaiian Serving Institution established in Title III, Part A of the Higher Education Act of 1965, as amended (20 U.S.C. 1059d.) are eligible institutions under this program.

#### **Beneficiary Eligibility:**

Alaska Native Serving Institutions and Native Hawaiian Serving Institutions.

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

#### **Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

Funds are awarded competitively. No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
Office of Extramural Programs  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$3,065,856; FY 12 est \$3,066,240; and FY 13 est \$3,066,240 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$3,057,488 was available for project grant awards after subtracting administrative costs.

A total of 6 applications requesting a total of \$3,975,102 were received in this years competition. In May 2011, a five-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funding provided via this grant shall be used:

- (1) To support the activities of consortia of Alaska Native-Serving or Native Hawaiian-Serving Institutions to enhance educational equity for under-represented students;
- (2) To strengthen institutional education capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international educational needs in the food and agriculture sciences;
- (3) To attract and support undergraduate and graduate students from under-represented groups in order to prepare them for careers related to the food, agricultural, and natural resource systems of the United States, beginning with the mentoring of students from K-12, and continuing with the provision of financial support for students through their attainment of a doctoral degree; and
- (4) To facilitate cooperative initiatives between at least two or more Alaska Native-Serving or Native Hawaiian-Serving Institutions, which may work in cooperation with one or more other entities including units of State government and private sector organizations, to maximize the development and use of resources, such as faculty, facilities, and equipment, to improve food and agricultural sciences teaching programs. Fiscal Year 2012: For the FY 2012 award cycle, \$3,057,491 was available for project grant awards after subtracting administrative costs.

A total of 5 applications requesting a total of \$2,534,699 were received in this years competition. In May 3, 2012, a five-member combined panel with the RIIA and ANNH programs evaluated the applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and federal employees. Fiscal Year 2013: Pertinent data will be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal

Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

10.217 Higher Education Challenge Grants; 10.220 Higher Education Multicultural Scholars Program; 10.223 Hispanic Serving Institutions Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Development of the local agricultural and food production workforce through education and training; and expanding local agricultural and food production through more productive agribusinesses. The Agribusiness, Education, Training and Incubator project supports the UH, Hawaii state, and federal goals of developing sustainable and economically viable food and agricultural enterprises.

Training Alaskans to work successfully in fisheries management and salmon hatchery settings or to continue on to another college degree in fisheries or biology. Many industry and agency sectors in Alaskan fisheries are projecting significant retirement and are concerned about being able to recruit Alaskans trained to enter these careers. This project will help ensure there are trained workers to assist in fisheries management and salmon production. Outcomes include new salmon culture training including 2-3 new classes and workshops and new delivery methods.

To increase retention and completion of four year science and technical degree program for students from coastal communities. Three programs are proposed for grades 7 to 14 in three programs. First, undergraduates will experience Alaska-specific foundational coursework as a group of peers in distance-delivered courses and workshops based upon a central unifying theme connecting marine and terrestrial pathways in the North Pacific. Second, advanced Alaska native high school students will learn to use molecular techniques to answer ecological questions on how changing climate impacts terrestrial and marine systems. Third, UAS will develop a partnership with Native Alaskan culture camps and the US Forest Service (USFS) for high and middle school students to visit USFS field sites to experience career pathways. Fiscal Year 2012: Pertinent data will be provided by Program at a future date. Fiscal Year 2013: Pertinent data will be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.250 AGRICULTURAL AND RURAL ECONOMIC RESEARCH, COOPERATIVE AGREEMENTS AND COLLABORATIONS**

**FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

FY 2012 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.  
7CFR 3019, 7CFR Part 3015, 7CFR Part 3016, 7USC 3318b.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; DISSEMINATION OF TECHNICAL INFORMATION; Project Grants

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for technical information may be made to the Chief, Publishing and Communications Branch, Economic Research Service (ERS), 1400 Independence Avenue SW, Mailstop 1800, Washington, DC 20520-1800.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements. none.

**Length and Time Phasing of Assistance:**

none. See the following for information on how assistance is awarded/released: none.

**Reports:**

Progress reports, financial reports, financial statements, and inventions and subawards reports. The frequency of reports is outlined in the terms of the agreement. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$3,800,000; FY 12 est \$3,293,000; and FY 13 est \$3,080,000. (Project Grants) FY 11 \$1,382,000; FY 12 est \$886,000; and FY 13 est \$886,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy A. Thomas 355 E Street SW, Room 7-174, Washington, District of Columbia 20024-3231 Email: NThomas@ers.usda.gov Phone: 2026945008 Fax: 2022455318

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.253 FOOD ASSISTANCE AND NUTRITION RESEARCH PROGRAMS (FANRP)**

**FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

FY 2012 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq. 7CFR 3019, 7CFR Part 3015, 7CFR Part 3016, 7USC 3318b.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision

making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for technical information may be made to the Chief, Publishing and Communications Branch, Economic Research Service (ERS), 1400 Independence Avenue SW, Washington, DC 20520-1800.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

other.

**Appeals:**

other.

**Renewals:**

other.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

other. See the following for information on how assistance is awarded/released: other.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

None.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$4,408,000; FY 12 est \$3,408,000; and FY 13 est \$3,408,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy A. Thomas 355 E Street SW, Room 7-174, Washington, District of Columbia 20024-3231 Email: NThomas@ers.usda.gov Phone: 2026945008 Fax: 2022454846

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.254 PROGRAM OF RESEARCH ON THE ECONOMIC OF INVASIVE SPECIES MANAGEMENT (PREISM)**

**FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

FY 2012 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.  
7CFR 3019, 7CFR Part 3015, 7CFR Part 3016, 7USC 3318b.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for technical information may be made to the Chief, Publishing and Communications Branch, Economic Research Service (ERS), 1400 Independence Avenue SW, Washington, DC 20520-1800.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: other.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

None.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$1,000,000; FY 12 est \$835,000; and FY 13 est \$835,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy A. Thomas 355 E Street SW, Room 7-174, Washington, District of Columbia 20024-3231 Email: NThomas@ers.usda.gov Phone: 2026945008 Fax: 2022455318

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.255 RESEARCH INNOVATION AND DEVELOPMENT GRANTS IN ECONOMIC (RIDGE)****FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

FY 2012 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq, 2251 et seq.

7CFR 3019, 7CFR Part 3015, 7CFR Part 3016, 7USC 3318b.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for technical information may be made to the Chief, Publishing and Communications Branch, Economic Research Service (ERS), 1400 Independence Avenue SW, Mail Stop 1800, Washington, DC 20520-1800.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

none.

**Appeals:**

none.

**Renewals:**

none.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. none.

This program does not have MOE requirements. none.

**Length and Time Phasing of Assistance:**

none. See the following for information on how assistance is awarded/released: none.

**Reports:**

Progress reports, final technical reports, financial statements, and inventions and subaward reports. The frequency of reports is outlined in the terms of the agreement. Cash reports are not applicable. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

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

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 11 \$500,000; FY 12 est \$500,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy A. Thomas 355 E Street SW, Room 7-174, Washington, District of Columbia 20024-3231 Email: NThomas@ers.usda.gov Phone: 2026945008 Fax: 2022455318

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.256 CONSUMER DATA AND INFORMATION PROGRAM****FEDERAL AGENCY:**

Economic Research Service, Department of Agriculture

**AUTHORIZATION:**

FY 2012 Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 109-97, 7 U.S.C. 292, 411, 427, 1441a, 1621-1627, 1704, 1761-68, 2201, 2202, 3103, 3291, 3311, 3504; 22 U.S.C. 3101; 42 U.S.C. 1891-93; 44 U.S.C. 3501-11; 50 U.S.C. 2061 et seq,

2251 et seq.  
7CFR 3019, 7CFR Part 3015, 7CFR Part 3016, 7USC 3318b.

**OBJECTIVES:**

To provide economic and other social science information and analysis for public and private decisions on agriculture, food, natural resources, and rural America. ERS produces such information for use by the general public and to help the executive and legislative branches develop, administer, and evaluate agricultural and rural policies and programs.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

ERS performs economic research and analyses related to U.S. and world agriculture that addresses a multitude of economic concerns and decision making needs of Federal, State, and local governments, farmers, farm organizations, farm suppliers, marketers, processors, and consumers. There are no restrictions on the use of ERS produced information.

**Applicant Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Beneficiary Eligibility:**

Any individual or organization in the U.S. and U.S. Territories is eligible to receive the popular or technical research publications that convey the research results, although there may be a fee.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for technical and additional information, contact: Chief, Publishing and Communications Branch, Economic Research Service (ERS), USDA, 1400 Independence Avenue SW, Mailstop 1800, Washington, DC 20520-1800.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

none. See the following for information on how assistance is awarded/released: none.

**Reports:**

No program reports are required. No cash reports are required. Progress reports, final technical reports, financial statements, and inventions and subawards reports. The frequency of reports is outlined in the terms and conditions of the agreement. Progress reports to ERS technical person or ADODR Authorized Departmental Organization Designated Representative. SF-269 report or SF-425 financial and expenditure report. Performance monitoring is not

applicable.

**Audits:**

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

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report or for awards that are renewed quarterly or annually, from the date of submission of the quarterly or annual financial report, as authorized by the Federal awarding agency.

**Account Identification:**

12-1701-6-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$3,500,000; FY 12 est \$3,500,000; and FY 13 est \$3,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy A. Thomas 355 E Street SW, Room 7-174, Washington, District of Columbia 20024-3231 Email: NThomas@ers.usda.gov Phone: 2026945008 Fax: 2022455318

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.290 AGRICULTURAL MARKET AND ECONOMIC RESEARCH  
FEDERAL AGENCY:**

The Office of the Chief Economist, Department of Agriculture

**AUTHORIZATION:**

7 U.S.C. Section 3318, 7 CFR Section 2.29.

**OBJECTIVES:**

To conduct cooperative economic research and analyses in support of the Office of the Chief Economist's responsibility to advise the Secretary of Agriculture on the economic implications of Department policies, programs, and proposed legislation. These research projects and analyses cover the nation's agricultural commodity markets; risk analyses and cost-benefit analyses related to international food and agriculture; sustainable development; energy issues related to the agricultural economy; agricultural labor; global climate change; and any other topics that support the Department's consideration or review of policies and programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Research is conducted that is in cooperation with the Office of the Chief



Economist's in-house research and analysis programs and projects. Limited discretionary funds are periodically made available.

**Applicant Eligibility:**

Applicants are usually nonprofit institutions of higher education or other nonprofit research organizations whose primary purpose is conducting economic research.

**Beneficiary Eligibility:**

Beneficiaries are usually non-profit institutions of higher education or other non-profit research organizations whose primary purpose is conducting scientific research.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Upon request of the Office of the Chief Economist, proposals should be submitted to the Office of the Chief Economist, Department of Agriculture.

**Award Procedure:**

The Office of the Chief Economist considers proposals received, evaluates the qualifications of the proposal with respect to the research issue, and, in consultation with the selected cooperator institution, establishes a funding level and the specific deliverables due at the conclusion of the agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Agreements are normally for a one year period but can be extended upon mutual agreement. See the following for information on how assistance is awarded/released: assistance is awarded based on agreement with cooperator.

**Reports:**

Reports are set at time of award between recipient and OCE. Cash reports are not applicable. A progress report is negotiated with the recipient at the time of award. An expenditure report is required if included in the initial agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final expenditure report.

**Account Identification:**

12-0705-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$790,251; FY 12 est \$500,000; and FY 13 est \$633,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief Economist 12th & Jefferson Drive, SW  
Whitten Building, Room 112  
, Washington, District of Columbia 20250 Phone: 202-720-4164

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.303 INTEGRATED PROGRAMS**

(Integrated Programs)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626), as reauthorized by Section 7306 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246), authorized the Secretary of Agriculture to establish a competitive grants program that provides funding for integrated, multifunctional agricultural research, extension, and education activities. Subject to the availability of appropriations to carry out this program, the Secretary may award grants to colleges and universities [as defined by section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3103)], as amended, on a competitive basis for projects that address priorities in United States agriculture and involve integrated research, education, and extension activities, as determined by the Secretary in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB). Section 7129 of the FCEA amended section 406(b) of AREERA (7 U.S.C. 7626(b)), adding Hispanic-serving agricultural colleges and universities (HSACUs) as eligible entities for competitive funds awarded under this authority (see Part III.B. of RFA for more information).  
, 7 U.S.C 7626; Section 2(c)(1)(B) of Public Law 89106, as amended.

, Public Law 89-106; Competitive, Special, and Facilities Research Grant Act, Public Law 89-106, 7 U.S.C 450i; Title V of the Rural Development Act of 1972, Public Law 92-419, 7 U.S.C 2204a.

**OBJECTIVES:**

**GENERAL:**

NIFA Integrated Programs provide support for integrated research, education, and extension activities. Integrated, multi-functional projects are particularly

effective in addressing important agricultural issues through the conduct of problem-focused research that is combined with education and extension of knowledge to those in need of solutions. These activities address critical national, regional, and multi-state agricultural issues, priorities, or problems. Integrated Programs hold the greatest potential to produce and disseminate knowledge and technology directly to end users while providing for educational opportunities to assure agricultural expertise in future generations. See individual program Requests for Applications for additional information about the topics.

**SEVERAL PROGRAMS ARE FUNDED UNDER CFDA 10.303. SPECIFIC OBJECTIVES ARE AS FOLLOWS:**

**(1) Integrated Research, Education, and Extension Competitive Grants Program: National Integrated Water Quality Program**

The goal of the National Integrated Water Quality Program is to improve the quality of our Nation's surface water and groundwater resources through research, education, and extension activities. Projects funded through this program will facilitate achieving this goal by advancing and disseminating the knowledge base available to agricultural and rural communities. Funded projects should lead to science-based decision-making and management practices that improve the quality of the Nation's surface water and groundwater resources in agricultural and rural watersheds. See RFA for priority areas.

**(2) Integrated Research, Education, and Extension Competitive Grants Program: National Integrated Food Safety Initiative**

The purpose of the National Integrated Food Safety Initiative is to support food safety projects that demonstrate an integrated approach to solving problems in applied food safety research, education, or extension. Various models for integration of applied research, education, and extension will be considered for funding. Applications describing multi-state, multi-institutional, multidisciplinary, and multifunctional activities (and combinations thereof) are encouraged. Applicants are strongly encouraged to address at least two of the three functional areas of research, education, and extension (i.e., research and extension, research and education, or extension and education).

**(3) Integrated Research, Education, And Extension Competitive Grants Program: Regional Integrated Pest Management Centers**

The goal of the Regional Integrated Pest Management Centers (IPM Centers) is to promote the development and implementation of IPM by facilitating collaboration across states, disciplines, and purposes. IPM Centers will establish and maintain information networks, build partnerships to address pest management challenges and opportunities, evaluate the impact of IPM implementation, communicate positive outcomes to key stakeholders, and manage funding resources effectively. Successful applicants to this program will demonstrate the capacity and commitment necessary to advance the goals of the National Roadmap for Integrated Pest Management ([www.ipmcenters.org/IPMRoadMap.pdf](http://www.ipmcenters.org/IPMRoadMap.pdf)), and evaluate the progress of this advancement. The IPM Roadmap addresses pest management needs for production agriculture, natural resources and recreational environments, and residential and public areas.

**(4) Integrated Pest Management: Crops at Risk Program**

The goal of the CAR program is to enhance the development and implementation of innovative, ecologically based sustainable IPM system(s). Preferably, this should involve a diversity of tactics and approaches for a single or specific food or fiber commodity in commercial production for pre- and/or post-harvest system(s). The program addresses either a major acreage or high value crop commodity such as key fruits and vegetables. The primary emphasis is on crop productivity and profitability, while addressing critical environmental quality and human health issues. The CAR program will fund integrated multifunctional/multidisciplinary research, education, and extension projects for crops with high priority IPM needs as identified by stakeholders.

**(5) Integrated Pest Management: Risk Avoidance and Mitigation Program**

The goal of the Risk Avoidance and Mitigation (RAMP) program is to enhance the development and implementation of innovative, ecologically based sustainable IPM strategies and system(s) for (a) multi-crop food and fiber production systems; (b) an area-wide or a landscape scale agroecosystem; or (c)

a documented pesticide impact on water, human or environmental health. RAMP applications may address major acreage agricultural production systems, high value crops such as key fruit and vegetable systems, or other agroecosystems. The primary emphasis of the application should be on productivity and profitability while addressing critical environmental quality and human health issues. The intent of RAMP is to fund medium-term projects that emphasize systems approaches.

**(6) Integrated Research, Education, and Extension Competitive Grants Program: Integrated Pest Management: Methyl Bromide Transitions Program**

The goal of the Methyl Bromide Transitions (MBT) program is to support the discovery and implementation of practical pest management alternatives to methyl bromide uses or minimize methyl bromide emissions for which the United States is requesting critical use exemptions. The program is focused on integrated commercial or field scale research that targets short- to medium-term solutions.

**(7) Integrated Organic Program**

The purpose of the Integrated Organic Program is to solve critical organic agriculture issues, priorities, or problems through the integration of research, education, and extension activities. The Organic Transitions Program (ORG) funds the development and implementation of research, extension, and higher education programs to improve the competitiveness of organic producers and producers who are adopting organic practices. Funding opportunities for the ORG Program is included in the same Request for Applications (RFA) as the Organic Research and Extension Initiative (OREI).

**PLEASE NOTE: THIS PROGRAM DOES NOT FUND START UP BUSINESSES.**

**(8) Regional Rural Development Centers (RRDCs):**

The RRDCs play a unique role in USDA's service to rural America. They link the research and educational outreach capacity of the nation's public universities with communities, local decision makers, entrepreneurs, families, and farmers and ranchers to help address a wide range of development issues. They collaborate on national issues that span regions-like e-commerce, the changing interface between rural, suburban, and urban places, and workforce quality and jobs creation. Each tailors programs to address particular needs in its region.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This research, education, and extension competitive grants program provides funding for integrated, multi-functional agricultural research, extension, and education activities which addresses priorities in United States agriculture.

Grant funds must be used for allowable costs necessary to conduct approved integrated research, extension and education objectives to address food and agricultural sciences, in the broadest sense. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Funds may not be used for any purposes other than those approved in the grant award documents.

Tuition remission is not allowable.

The following programs are authorized under (Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

- (1) Water Quality
- (2) Food Safety
- (3) Regional Pest Management Centers
- (4) Crops at Risk
- (5) Risk Mitigation Program
- (6) Methyl Bromide Transition Program and

(7) Organic Transition - Risk Assessment

Other Integrated Program(s):

(8) Regional Rural Development Centers (7 U.S.C. 450i and 7 U.S.C. 2204a)

Section 1473 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319) prohibits indirect costs. Hence, indirect costs are unallowable for this program. Fully discretionary.

**Applicant Eligibility:**

State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research and extension institutions and organizations, Federal agencies, private organizations or corporations, and individuals to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Beneficiary Eligibility:**

State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research and extension institutions and organizations, Federal agencies, private organizations or corporations, and individuals to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

(a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;

(b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;

(c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. GENERAL RULES:

(a) Funds are awarded competitively.

(b) No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

**SPECIFIC PROVISIONS:**

Regarding Critical Issues and Regional Rural Development Centers (Section 2(c)(1)(B) of Public Law 89-106, as amended):

NIFA does not require matching or cost sharing support for the above-referenced programs.

However, the provisions indicated below are applicable to the following programs which are authorized under Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

- (1) Water Quality
- (2) Food Safety
- (3) Regional Pest Management Centers
- (4) Crops at Risk
- (5) Risk Mitigation
- (6) Methyl Bromide Transition and
- (7) Organic Transition - Risk Assessment

Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

If a grant provides a particular benefit to a specific agricultural commodity, and not of national scope, the grant recipient is required to match the USDA funds awarded on a dollar-for-dollar basis from non-Federal sources with cash and/or in-kind contributions. (See Part IV, B., 6. of the RFA for details.)

NIFA may waive the matching funds requirement for a grant if NIFA determines that:

(1) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or

(2) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Regarding the Critical Issues and Regional Rural Development Centers (Section 2(c)(1)(B) of Public Law 89106, as amended) , normally, competitive research projects will be supported for periods of up to three (3) years.

However, for the other programs (under Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626):

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture(USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

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

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$29,037,413; FY 12 est \$14,699,323; and FY 13 est \$32,387,853 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: (A) Water Quality

Funded a major youth-water-education initiative at the University of Wisconsin. Funded four projects that will develop smartphone/tablet applications aimed at improving water resource management in rural, agricultural, and urbanizing watersheds. Partnered with USDA-FSA to fund three projects that explore the effectiveness of constructed wetlands to mitigate nutrient losses from agricultural fields.

(B) National Integrated Food Safety

The NIFSI program received 112 proposals and awarded 17 grants. This program had a 15% success rate in 2011.

(C) Integrated Pest Management Centers (Regional)

For the FY 2011 award cycle, \$2,848,144 was available for project grant awards after subtracting administrative costs.

NIFA received a total of 4 applications requesting a total of \$2,850,000 in the FY 2011 competition. In August 2011, a 5-member peer review panel evaluated these applications. The peer review panel included faculty and administrators from Land-Grant universities and a federal agency.

Funds were available to support a total of 4 awards.

The funding ratio for this program in FY 2011 was 100%

Funded projects established a Regional Integrated Pest Management (IPM) Center in each of USDA's four geographic regions: North Central, Northeastern, Southern, and Western. The overarching goals of the Regional IPM Centers program are to improve the cost benefit analysis of adapting IPM practices and to reduce the environmental and human health risks associated managing pests.

(D) Crops at Risk from FQPA Implementation

This program has not been recently funded.

(E) FQPA Risk Mitigation Program

This program has not been recently funded.

(F) Methyl bromide Transition Program

Ten proposals were received and five were funded in FY 2011.

For the FY 2011 award cycle, \$ 1,894,222 was available for project grant awards after subtracting administrative costs.

A total of 10 applications requesting a total of \$2,156,409 were received in this years competition. In August 2011, a 5-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant universities and USDA research and regulatory agencies.

The funding ratio for this program in FY11 was 50%.

Each funded project addressed at least one of the Critical Use Exemptions

(CUEs) approved for the United States including: food processing facilities, cured pork, strawberries, cucurbits, and tomatoes.

(G) Organic Transition - Risk Assessment

For the FY 2011 award cycle, \$3,783,245 was available for project grant awards after subtracting administrative costs.

A total of 19 applications requesting a total of \$13,589,204 were received in this years competition. In August 2011, a 6-member peer review panel evaluated these applications. The peer panel included faculty from land grant universities and one researcher from USDA Agricultural Research Service.

Funds were available to support a total of 5 new awards.

The funding ratio for this program in FY11 was 23%.

Funded projects seek to support the development and implementation of research, extension and higher education programs to improve the competitiveness of organic livestock and crop producers, as well as those who are adopting organic practices by studying and documenting environmental services provided by organic farming systems in the area of soil conservation and climate change mitigation, including greenhouse gases (GHG). All projects integrate research, education and extension activities.

(H) Regional Rural Development Centers

The Regional Rural Development Centers collaborate on national issues that span regionslike e-commerce, regional food systems, the changing interface between rural, suburban, and urban places, diversifying rural economies, and workforce quality and jobs creation. Each tailors programs to address particular needs in its region.

Partnering with USDA-Rural Development and a core group of land-grant institutions to advance new strategies for regional innovation and economic development, the Centers have spread the Stronger Economies Together (SET) program to 19 states and 39 regions which are ready to implement long-term plans and strategically build on the economic and social assets of these locations. The Centers received \$1.7 million from USDA Rural-Development for fiscal year 2011 to expand the SET program.

The Centers are also paving the way toward the educational backbone needed for broadband technology to be adopted and used effectively across the nation as a complement to President Obamas broadband infrastructure investments. The National e-Commerce Extension Initiative has produced 15 comprehensive web-based educational programs that promote broadband and e-commerce adoption by local governments, small businesses, farmers, entrepreneurs, artisans, and others. Many of these educational materials are being employed by land-grant Cooperative Extension Services.

Examples of other activities include the Consortium for Renewable Energy in the West (CREW); the Northeast's \$5 million AFRI grant to study the food security of underserved populations and how food supply can be enhanced through sustainable regional food systems; the South's partnership with the Kettering Foundation, Everyday Democracy, and the Farm Foundation to address persistent poverty via the nationally recognized Turning the Tide on Poverty program; and Triumph Over Tragedy and Ready Community Guide, two initiatives focused on disaster preparedness and support. Fiscal Year 2012:

(A) Water Quality

A total of 73 applications were received in three program areas. Anticipate funding a programmatic synthesis that will explore the effectiveness of projects funded throughout the 12-year history of the National Integrated Water Quality Program. Added a focus on consumer-based water resource management programs; projects will begin to develop tools that assist citizens to make improved water management decisions as consumers.

(B) National Integrated Food Safety  
No Programs were funded in FY 2012.

(C) Integrated Pest Management Centers (Regional)

For the FY 2012 award cycle, \$3,805,820 was available for project grant awards after subtracting administrative costs.

NIFA received a total of 4 applications requesting a total of \$3,805,520 in the FY 2012 competition. In August 2011, a 5-member peer review panel evaluated these applications. The peer review panel included faculty and administrators from Land-Grant universities and a federal agency.

Funds were available to support a total of 4 awards.

The funding ratio for this program in FY 2011 was 100%

Funded projects established a Regional Integrated Pest Management (IPM) Center in each of USDA's four geographic regions: North Central, Northeastern, Southern, and Western. The overarching goals of the Regional IPM Centers program are to improve the cost benefit analysis of adapting IPM practices and to reduce the environmental and human health risks associated managing pests.

(D) Crops at Risk from FQPA Implementation  
This program has not been recently funded.

(E) FQPA Risk Mitigation Program  
This program has not been recently funded.

(F) Methyl Bromide Transition Program

For the FY 2012 award cycle, approximately \$ 1,887,651 is available for project grant awards after subtracting administrative costs.

A total of 12 applications requesting a total of \$5,274,752 were received in this years competition and it is anticipated that five will be awarded. In August 2012, a 6-member peer review panel will evaluate these applications. The peer panel includes faculty and administrators from land grant universities and USDA research agencies.

The funding ratio for this program in FY12 is anticipated to be 42%.

(G) Organic Transition - Risk Assessment

For the FY 2012 award cycle, \$3,796,760 was available for project grant awards after subtracting administrative costs.

A total of 16 applications, requesting a total of \$10,678,804, were received in this years competition. In June 2012, a 6-member peer review panel evaluated these applications. The peer panel included faculty from land grant universities.

Funds were available to support a total of 6 new awards.

The funding ratio for this program in FY11 was 37%.

Funded projects seek to support the development and implementation of research, extension and higher education programs to improve the competitiveness of organic livestock and crop producers, as well as those who are adopting organic practices by studying and documenting environmental services provided by organic farming systems in the area of soil conservation and climate change mitigation, including greenhouse gases (GHG). All projects integrate research, education and extension activities.

(H) Regional Rural Development Centers

The regional rural development centers have continued their collaborations in programs including: SET-Stronger Economies Together, eCommerce, CREW-Renewable Energy in the West, Turning the Tide on Poverty, and Triumph Over Tragedy and Ready Community Guide. Additionally, the

Centers collaborated on a successful application to NIFAs Policy Research Centers Grant Program.

Solo and partner initiatives of the individual centers are reported below, with particular emphasis given to service to underserved populations.

#### North Center Regional Center for Rural Development (NCRCRD)

While most rural areas in the North Central Region are experiencing population decline, the number of Hispanics is increasing. Hispanics in the Upper Midwest is a work group supported by the North Central Center that studies this rapidly expanding demographic to determine the best ways to incorporate the newcomers into communities.

Cambio de Colores (Change of Colors) is an annual conference that, since 2002, brings together researchers, practitioners, decision-makers, and community members to discuss the issues that the Heartland states face as a result of the demographic changes reflected since the 2000 Census, which clearly showed large numbers of immigrants most of them Latino or Hispanic, but including significant numbers of migrants and refugees from Asia, Africa, and Europe settling in rural and urban areas of every state in the region. Cambio de Colores is a collaborative effort of the University of Missouri and Extension, other educational institutions in the North Central region, as well as government and private organizations.

The NCRCRD offered a number of webinars to benefit rural poor, inority, and/or underserved populations:

Banking Issues Among Entrepreneurs from Underserved Populations  
Great Lakes Land Grant Institutions Tribal Water Resources Summit

The NCRCRD partnered with NIFA to organize a two day small farm and rural development research conference prior to the Regional Science Association International meetings, attracting 61 researchers.

#### North East Regional Center for Rural Development (NERCRD)

The NERCRD has created an online resource on the Center website titled: Demographic Dimensions of Diversity Relevant for Extension Educators: What To Look For, Why, and Where To Find the Data on The Web. The site includes a briefing room on Race and Ethnicity in Rural America; Resources for Dealing with Hate Groups; and, Mapping Census 2000 the Geography of U.S. Diversity.

NERCRD Director Stephan Goetz was invited to speak at the Federal Reserve System Board of Governors conference in Washington, DC on the Role of Small Business and Entrepreneurship during an Economic. He also served on the Panel Strengthening Entrepreneurship Opportunities in Urban and Rural Communities.

#### Southern Regional Rural Development Center (SRRDC)

SERA-37 is a Southern Extension Research Activity on The New Hispanic South. As its name implies, its goal is strengthening the capacity to land grant institutions to respond to the New Hispanic South. Core activities focus on mobilizing land-grant faculty to work collaboratively to better understand the challenges and opportunities associated with the current and future growth of Hispanics in the rural South; strengthen the research and Extension outreach work being undertaken by our region's land-grant university system that addresses the growth of Hispanics in the South; and advance the capacity of the land-grant system to lend support to those rural communities that seek to respond to the needs of their growing Hispanic population in a positive and strategic manner.

Members of SERA-37, New Hispanic South, completed a domestic immersion Latino cultural competency program consisting of three phases: distance education, eight-day immersion experience in the North Carolina Latino community and an applied project in the home state. SERA-37 secretary Roberto Gallardo, SRDC research associate, reported individuals from 10 southern states, as well as 22 community partners, participated in this domestic immersion project. As a result of the immersion, preliminary project plans developed:

Mississippi Extension agents will conduct a needs assessment of farm workers and farmers.

Alabama Extension agents will offer a work readiness and health fair with Latino audiences.

Georgia Extension agents are establishing community gardens with Latino families through connections with a local faith community.

North Carolina Extension agents are involving Latino youth in 4-H, as well as engaging the Latino community as vendors and customers in the local farmers market through a multi-cultural day. They are also providing energy savings/personal budgeting classes for Latino families and are developing a safety and health promotion program.

The SRDCs Turning the Tide on Poverty initiative engages residents to improve their communities. Thanks to this SRDC initiative, rural counties across the South have opened the lines of communication, engaged residents who had not previously been involved, and achieved community and economic development goals. The Initiative was recognized by the National Association of Community Development Extension Professions for success in tackling poverty issues for economically-distressed rural communities and was honored with the Diversity Certificate by the National Extension Association of Family and Consumer Sciences.

#### Western Regional Rural Development Center (WRDC)

The WRDC hosted a Small Business Resources Workshop to provide a hands-on experience for Extension professionals seeking resources-tools, practices, and programs-to assist small business owners. Fiscal Year 2013: (A) Water Quality  
Pertinent data to be provided by Program at a future date.

(B) National Integrated Food Safety  
Funding is not anticipated for FY 2013..

(C) Integrated Pest Management Centers (Regional)  
Pertinent data to be provided by Program at a future date.

(D) Crops at Risk from FQPA Implementation  
This program has not been recently funded.

(E) FQPA Risk Mitigation Program  
This program has not been recently funded.

(F) Methyl bromide Transition Program  
It is unclear at this time whether funding will be available for this program in FY 2013.

(G) Organic Transition - Risk Assessment  
Pertinent data to be provided by Program at a future date.

(H) Regional Rural Development Centers

The Regional Rural Development Centers have been very successful leveraging their <\$1 million shared award. This has allowed them to more than triple their programming budgets. Consequently, we anticipate the same level of programming in FY 2013.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

#### Regional or Local Office:

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Bioenergy, Climate and Environment Division of Environmental Systems, 1400 Independence Avenue, SW., STOP 2210, Washington, District of Columbia, 20250-2210, Telephone: (202) 720-5229, Fax: (202) 720-3945.

**ADDITIONAL CONTACTS:**

USDA, NIFA, National Program Leader; Institute of Food Safety and Nutrition, Division of Food Safety 1400 Independence Avenue, SW., STOP 2225, Washington, DC 20250-2220; Telephone: (202) 401-1954; Fax: (202) 401-14888;

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Animal Systems, 1400 Independence Avenue, SW., STOP 2240, Washington, DC 20250-2220; Telephone: (202) 401-6134; fax: 202-401-1602;

**AND**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Family and Consumer Sciences 1400 Independence Avenue, SW., STOP 2250, Washington, DC 20250-2250; Telephone: (202) 720-4795; fax: 202-720-93662; , Washington , District of Columbia 20250-2210 Phone: (202) 720-5229 Fax: (202) 720-3945

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.212 Small Business Innovation Research; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.310 Agriculture and Food Research Initiative (AFRI) ; 10.311 Beginning Farmer and Rancher Development Program; 10.500 Cooperative Extension Service; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (A) Water Quality

Fresh water supply shortages are increasingly common in the Southeast US. The growing population in this region has been suggested as a key component contributing to this water stress as well as climate variability and change. A 2010 report indicated that by 2050 much of Florida is projected to be at high to extreme risk of water shortage while water shortage in Georgia is projected to range from moderate to extreme (Spencer and Altman, 2010). Irrigation has been shown to be a substantial user of fresh water supplies in the Southeast - both for agriculture and urban applications. Thus, irrigation provides one source of potential water savings if irrigation practices can be improved. With the growing price of fuel and potential restrictions on irrigation water, these apps will also be useful for increased sustainability by providing at-your-fingertips knowledge for improved irrigation (and water conservation) and potential financial savings through lower fuel costs (less pump time). We will develop models that require minimum input using real-time weather data to improve irrigation practices in citrus, cotton, strawberry, and urban lawn environments. These simple models will be converted into Smartphone apps to be used quickly and efficiently by stakeholders. The apps will include both real-time and forecasting components. Stakeholders will test the apps and further modifications will be made as needed to improve their performance before public release. We will also conduct train-the-trainer and train-the-stakeholder workshops to further disseminate these products. Our initial goal is to reach Florida and Georgia irrigators with future efforts expanding further into the Southeast region. All efforts will be coordinated through the Southeast Climate Consortium and linked with AgroClimate and the Florida Automated Weather

Network.

The "Water Equals National Education Campaign" builds on the "Mapping the Future" project in its strategy to implement and disseminate the Water Equals framework. The project is distinctive in its fundamental goal to shift young people's relationship with, and consciousness of, water. This goes beyond a focus on instruction to include engaging the hearts, minds, and bodies of youth in multidimensional ways. The project seeks to do this through a campaign, i.e., a connected series of operations designed to bring about a desired result. The first strategy is to attract young people's attention through means that are relevant and engaging to them, and to catalyze their thinking about water in creative, emotive, analytic, systemic, and interdisciplinary ways. The second is to provide fun and challenging educational experiences and resources for them to learn and engage in new ways related to water. The third strategy is to provide easy to use, high-quality activity guides and other resources to a range of adults engaged in youth water education—from parents to museum directors. The fourth is to bring those interested in youth water education together around a shared message and to disseminate the Water Equals framework in ways that are relevant to multiple stakeholders. Lastly, to employ continuous, robust evaluation to measure and understand the impact of this approach, as well as inform employment of the Water Equals framework. The proposed approach involves the creation and implementation of a multi-faceted educational campaign that seeks to reach young people in the real and virtual places they inhabit. These places, as best identified by the youth participants in "Mapping the Future," include their homes, their communities, and popular culture (including social media). The desired outcome of greater knowing, caring, and engagement is greater stewardship, which includes conservation and protection behaviors. Success will be measured in part by the degree to which young people demonstrate new or improved water stewardship. For more information on the "Mapping the Future" project, also see: [www.waterequals.org](http://www.waterequals.org).

(B) National Integrated Food Safety

Cost-Effective Pathogen Reduction Strategies and Food Safety Training for Small and Very Small Meat Processors ; Foodborne Pathogens Detection and Education to Support Sustainable Agriculture for Small Scale Producers

(C) Integrated Pest Management Centers (Regional)

Example 1.

Objectives: 1) Establish new and maintain existing information networks; 2) continue to build partnerships to address IPM challenges and opportunities; 3) develop signature global food security programs and foster their sustainability; 4) review and evaluate impacts of IPM implementation and communicate successes; and 5) manage funding resources effectively.

The IPM Center will serve as a catalyst for promoting and reporting IPM accomplishments achieved by our broad-based clientele to increase accountability. Our Center will actively respond to the goals of the National Roadmap for IPM the Global Food Security priority to ensure coordination of efforts and resources to enhance IPM development and adoption for production agriculture, natural resources and recreational environments, and residential and public areas in cooperation with the Federal IPM Coordinating Committee comprised of agency representatives from the Department of Agriculture (ARS, NIFA, NRCS, NASS, ERS, APHIS and the U.S. Forest Service), Department of Interior (National Park Service, Bureau of Land Management and Fish and Wildlife Service), Department of State (Agency for International Development), Department of Health and Human Services (CDC), Department of Housing and Urban Development (Office of Health Homes), Department of Defense, Environmental Protection Agency and the General Services Administration.

Signature programs include Tribal IPM programs, IPM education and outreach, IPM impact assessment, IPM issue-focused working groups and pest management strategic plans. These programs will engage broad representation of our regions stakeholders including our 1994 and 1890 sister institutions, as well as other underserved audiences.

Example 2.

To foster IPM development and adoption, the IPM Center will build on

successes and launch new projects. With broad-based stakeholder participation, we will prioritize issues, create a strategic plan, facilitate collaboration across states, disciplines, and regions, and continue our information networks (including a state-of-the-art website, robust listservs, and a grants database). We will build capacity with eXtension and share Pest Alerts and success stories. Our IPM Partnership Grants Program will focus on working groups and critical pests, encouraging project directors to address underserved audiences, food availability, and food accessibility. We will foster sustainability of regional food supplies by strengthening support for small farms and by joining with federal and private partners to sponsor a conference on "IPM, Organic, and Sustainable Ag to Bolster Food Security." We will lead outreach to the region on the invasive brown marmorated stink bug, working with scientists to share new knowledge via the StopBMSB website, curricula, and displays. We will strengthen underserved communities by leading and participating in IPM trainings and workshops for public housing authorities and tribal housing, enhancing the StopPests website, and offering our new "Guide to IPM in Public Housing" in print and online. We will network internationally by attending the OECD workshop and the International IPM Symposium. Overall, our Center will increase coordination of IPM research, education, and extension, and will enhance responsiveness to global food security challenges.

#### Example 3.

Our mission is to foster development and adoption of IPM, a science-based approach to managing pests in ways that generate economic, environmental and human health benefits. The Advisory Council (AC) comprising diverse stakeholders from across the region will provide guidance and the Steering Committee (SC) will set policy. We will utilize the strategic plan developed in the previous funding cycle. We will maintain a revised version of the Regulatory Information Network to proactively address regulatory issues, respond to queries from EPA and other regulatory agencies, and update at least 12 high-priority Crop Profiles. Stakeholders and partner institutions will be engaged to identify needs and establish priorities through the AC and SC structure, collaboration with regional technical committees, the Small Farms IPM Working Group to engage previously underserved groups, and support of existing working groups including the School IPM Working Group. Global Food Security Programs include the Regulatory Information Network, the Critical and Emerging Issues Grant Program; the Small Farms Working Group; continued financial management and support of ipmPIPE projects; collaboration with eXtension; and our IPM Impacts evaluation Initiative. The Impacts Evaluation Initiative will evaluate IPM projects from across the region to develop and distribute success stories that resonate with the general public. Our communications and outreach will continue the successful methods we have used to date including social networking techniques. We will also continue the Friends of IPM Program to highlight successful IPM professionals and promote IPM.

#### Example 4.

The Center will advance the National Institute of Food and Agriculture (NIFA) Global Food Security priority area. Center activities and programs will advance Global Food Security by leading and supporting programs that implement IPM solutions to enhance sustainable food systems and boost U.S. agricultural production. Roadmap goals will be advanced by Center activities that lead to improved economic benefits of IPM adoption and reduced potential risks to human health and the environment caused by pests and the use of pest management practices. The Centers work will address five objectives:

- 1) to develop signature Global Food Security programs and foster their sustainability,
- 2) to establish and maintain multistate information networks,
- 3) to build partnerships and address challenges and opportunities,
- 4) to review and evaluate outcomes and impacts of IPM implementation and communicate the successes and the value added by IPM programs, and
- 5) to manage funding resources effectively. All of these objectives will be carried out in the context of two overarching goals: 1) to improve the cost benefit analyses of adopting IPM practices and 2) to reduce the environmental and human health risks associated with managing pests. In carrying out these objectives and advancing these goals, the Center will provide regional leadership and coordination to facilitate integration of sustainable IPM activities across states, purposes, programs, and pest disciplines and among

individuals, institutions, and regions. By offering competitive grants, supporting communication networks, obtaining ongoing stakeholder input about IPM needs, and fostering collaborations and partnerships, the Center will provide a centralized regional platform for addressing critical IPM needs and integrating IPM research, extension, and education in the West. This approach also ensures the Center will be responding to food security challenges on a global scale. The leadership and funding opportunities provided by the Center will bring together the institutional and individual expertise needed to successfully address high-priority pest management issues confronting farmers, pest managers, the non-agricultural public, and others in the West

(D) Crops at Risk from FQPA Implementation  
This program has not been recently funded.

(E) FQPA Risk Mitigation Program  
This program has not been recently funded.

(F) Methyl bromide Transition Program

Phosphine fumigation will be conducted to determine the parameters that are effective at controlling mite infestations in simulated ham aging houses and implemented at individual, dry cured pork processing plants within the Southeastern United States. In addition, integrated pest management programs will be developed using Hazard Analysis Critical Control Points (HAACP) Principles applied to mite, insect and environmental monitoring, and it will be determined if food grade ingredients such as oils and propylene glycol can be used to prevent mite and beetle infestations without affecting the sensory quality of the hams. In addition, economic analyses will be conducted to determine if phosphine, integrated pest management, and other potential alternatives are economically feasible and cost effective when compared to methyl bromide and in light of the ban on methyl bromide.

Over the years we have assembled an inter-disciplinary and inter-state response and vision team of key private and public sector stakeholders that seeks to implement chemical and biological-based alternatives to methyl bromide. Significant progress has been achieved in vegetable and strawberry production issues. This proposal focuses on advancing strawberry production systems by developing and extending readily adaptable fumigant and biologically-based approaches. Three strategic levels of research and extension are identified to address critical use nominations for the strawberry fruit industry in the Southeast USA: 1) Tactic substitution - addressing short term needs of growers who seek non-ozone depleting fumigant alternatives. The primary component includes fine-tuning the use of novel mulches and technologies to enhance efficacy and/or mitigate emerging regulatory issues; 2) Tactic Diversification - focuses on advancing current research efforts to incorporate novel and registered fungicides, nematicides and herbicides using pest-driven combinations for targeted and efficacious management of these soilborne pests; 3) Tactic Development - focuses on readily adaptable and biologically-based systems including use of best management systems with cover crops and compost, anaerobic soil disinfestation, mustard seed meal applications and biased soil profiles that favor beneficial microbial communities. Finally, we will focus on extending outcomes through multi-tactic mechanisms including participatory on-farm-research, web-based information, extension agent training, field days, presentations at most fruit and vegetable meetings in the SE and along the eastern seaboard, scientific presentations at professional meetings, peer reviewed publications, and writings in extension articles and industry driven newsletters. Combined efforts are expected to result in technically and economical feasible assessments and implementation of alternatives, exploration of viable diversification and development of integrated pest management tactics, and a region-wide advanced understanding of the biology, ecology and management of key soilborne pests.

(G) Organic Transition - Risk Assessment

Profitable and environmentally sustainable re-integration of livestock into diversified organic dryland farming systems. An interdisciplinary team is developing a holistic sheep/organic crop production system that uses targeted sheep grazing to reduce tillage intensity, nitrogen leaching, greenhouse gas emission and improve soil fertility and soil carbon sequestration, while taking



advantage of weeds, cover crops and crop residues for fiber and meat production. It also assess the production, environmental, social, and economic challenges facing both transitioning as well as certified organic producers.

Reduced greenhouse gas (GHG) emissions and improved soil quality in long-term integrated and transitional reduced tillage organic systems. This work is generating information on the potential for diverse organic systems to improve soil quality and manage carbon and nitrogen. This will allow farmers to reduce GHGs and manage nutrient cycling to enhance soil fertility while providing ecosystem services.

Emissions data, coupled with carbon and nitrogen inputs, fossil fuel use, and emissions estimates from livestock will enhance GHG models for farming systems.

Identification of factors affecting carbon sequestration and nitrous oxide emission in three organic cropping systems. This project is improving the competitiveness of organic crop producers by evaluating cropping systems for effectiveness in increasing grain productivity, suppressing weeds and providing fertility while reducing negative impacts on water, air and soil quality. The work is documenting nitrous oxide emissions in grain crop rotations using conventional tillage vs. no-till with integration of cover crops. Project results will expand the expertise of Extension and NRCS personnel in the area of organic farming practices and create outreach programs for organic producers. An outcome of this research will be a recommendation for organic farmers on best management practices to simultaneously increase carbon sequestration and reduce nitrous oxide emissions.

(H) Regional Rural Development Centers

With one exception, the Regional Rural Development Centers do not administer regional competitive programs. NCRCD mini-grants will be reported in FY2012. Fiscal Year 2012: (A) Water Quality  
An Analysis and Synthesis of the USDA-NIFA Water Portfolio 2000-2012

(B) National Integrated Food Safety  
No Programs were funded in FY 2012.

(C) Integrated Pest Management Centers (Regional)  
Pertinent date will be provided by Program at a future date.

(D) Crops at Risk from FQPA Implementation  
This program has not been recently funded.

(E) FQPA Risk Mitigation Program  
This program has not been recently funded.

(F) Methyl bromide Transition Program  
Pertinent data to be provided by Program at a future date.

(G) Organic Transition - Risk Assessment  
Pertinent data to be provided by Program at a future date.

(H) Regional Rural Development Centers

The NCRCD provided a number of mini-grants to support poor, minority, and/or underserved populations:  
Improving Practice and Collaboration to Aid Distressed Rural Communities  
Helping Non-metro Communities and Underserved Entrepreneurs Grow Together  
Poverty & Other Socioeconomic Distress in the North Central Region:  
Assessing Trends & Determinants. Fiscal Year 2013: (A) Water Quality  
Pertinent data to be provided by Program at a future date.

(B) National Integrated Food Safety  
Funding is not anticipated for FY 2013.

(C) Integrated Pest Management Centers (Regional)  
Pertinent data to be provided by Program at a future date.

(D) Crops at Risk from FQPA Implementation  
This program has not been recently funded.

(E) FQPA Risk Mitigation Program  
This program has not been recently funded.

(F) Methyl bromide Transition Program  
Pertinent data to be provided by Program at a future date.

(G) Organic Transition - Risk Assessment  
Pertinent data to be provided by Program at a future date.

(H) Regional Rural Development Centers  
Pertinent data to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

#### **10.304 HOMELAND SECURITY\_AGRICULTURAL FOOD AND AGRICULTURE DEFENSE INITIATIVE (FADI) (aka Homeland Security Program)**

##### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

##### **AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), Section 1472, 7 U.S.C. 3318. , 7 U.S.C 3318.

##### **OBJECTIVES:**

To provide funding to protect the food supply and agricultural production. This is accomplished by providing federal assistance, through existing cooperative agreements, to four (4) national agricultural homeland security networks: the National Animal Health Laboratory Network (NAHLN), the National Plant Diagnostic Network (NPDN), the Extension Disaster Education Network (EDEN), and the Pest Information Platform for Education and Extension (ipmPIPE).

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

These funds are subject to the provisions of 31 U.S.C. 1301 requiring their use only for the purpose for which they were appropriated. Funding is limited to support for the four (4) aforementioned agrosecurity networks. Section 704 of the Consolidated and Further Continuing Appropriations Act, 2012 (P.L. 112-55) limits indirect costs to 10 percent of the total Federal funds provided under each cooperative agreements or similar arrangements. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 10 percent of total Federal funds awarded. Fully discretionary.

##### **Applicant Eligibility:**

In accordance with section 1472(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, (NARETPA) applicant may be: State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, individuals, and any other contractor or recipient, either foreign or domestic, to further research, extension, or teaching programs in the food and agricultural sciences of the Department of Agriculture.

##### **Beneficiary Eligibility:**

In accordance with section 1472(c) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, (NARETPA) applicant may be: State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, individuals, and any other contractor or recipient, either foreign or domestic, to further research, extension, or teaching programs in the food and agricultural sciences of the Department of Agriculture.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). The National Institute of Food and Agriculture (NIFA) solicits proposals to fund existing and new cooperative agreements through a request for application process. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

In Fiscal Year (FY) 2002, a panel of USDA scientists knowledgeable in the Nation's plant and animal disease diagnostic capability, recommended to the Secretary a plan of initiating a comprehensive national network of laboratories for the rapid detection and diagnosis of plant and animal diseases. The institutions selected by the panel for initial inclusion in the network were recommended using the following criteria:

- (1) Existing scientific capacity;
- (2) Existing laboratory capacity which could be modified to meet Biosafety Level 3 requirements;
- (3) Both animal and plant diagnostic capabilities;
- (4) Geographical location meeting one or more of the following requirements: located in an area with a high risk of disease/pest incursions; located in an area with high concentration of vulnerable agricultural activity; complements or supplements regional Federal laboratory activity or is in an area not effectively served by an existing Federal facility;
- (5) State-of-the-art communication and information technology systems. Must be capable of managing secure communications with other laboratories and central reporting unit; and
- (6) An effective outreach/extension system.

These recommendations were utilized to select the original cooperative agreement recipients and are annually evaluated by USDA/NIFA in network planning.

Proposals are subject to a merit review process conducted by NIFA staff members.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Dates for specific deadlines are announced in the RFA each fiscal year (FY).

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a Cooperative Agreement under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement. NIFA uses SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Grant terms and conditions will specify reporting requirements.

Additional reporting may be mutually negotiated and articulated in the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to

ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0115-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$5,735,000; FY 12 est \$5,735,940; and FY 13 est \$5,748,480 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

It is anticipated that awards will range from \$250,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: This program supported three multi-institutional homeland security networks via non-competitively awarded cooperative agreements: The National Plant Diagnostic Network, the National Animal Health Laboratory Network, and the Extension Disaster Education Network. The agency made 35 awards based on 35 existing cooperative agreements. Fiscal Year 2012: This program supported three multi-institutional homeland security networks via non-competitively awarded cooperative agreements: The National Plant Diagnostic Network, the National Animal Health Laboratory Network, and the Extension Disaster Education Network. Awards have not been finalized as of this writing. The agency expects to renew the 35 current cooperative agreements associated with these three networks. Fiscal Year 2013: This program supported three multi-institutional homeland security networks via non-competitively awarded cooperative agreements: The National Plant Diagnostic Network, the National Animal Health Laboratory Network, and the Extension Disaster Education Network. The agency expects to make 35 awards based on existing cooperative agreements.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-Formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Office of the Director, 1400 Independence Avenue, SW, STOP 2201, Washington , District of Columbia 20250-2201 Phone: (202) 401-1112 Fax: (202) 401-6156

**Website Address:**

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

**RELATED PROGRAMS:**

10.310 Agriculture and Food Research Initiative (AFRI) ; 10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The purpose of one project is to further integrate and expand Extension's educational role before, during and after a disaster, using the all-hazards approach adopted by the U.S. Department of Homeland Security. Furthermore, this project helped EDEN strategically provide guidance and support to NIFA, USDA, and member institutions in disaster education. Specifically, with this project, EDEN had continued use of its network and communication tools to distribute educational materials and information aimed

at reducing the impacts of disasters. This project made Extension a more effective partner in food and agricultural defense education by continuing maintenance and promotion and use of previously developed EDEN materials and the development of new materials.

One project addressed the coordination and collection of diagnostic information from land grant universities and state departments of agriculture in a standardized manner insuring the quality of information. The purpose of this project was to enable complex pattern analysis of diagnostic information collected in order to detect anomalies, thus allowing recognition of new outbreaks earlier than is currently possible.

Five different projects enabled regionally disparate institutions to host regional diagnostic centers for the National Plant Diagnostics Network (NPDN). The NPDN, working together with various federal and state agencies, has the overall goal of enhancing national agricultural security from bioterrorist attack through the protection of health and productivity of plants in agricultural and natural ecosystems in the U.S. The specific purpose of this network is to provide a functional nationwide network of public agricultural institutions with a cohesive, distributed system to quickly detect high consequence pests (here defined as arthropods and weeds) and biological pathogens (here defined as plant microbial disease agents and nematodes) that have been introduced intentionally or accidentally into agricultural and natural ecosystems, identify them, and immediately report them to appropriate responders and decision makers.

Twenty eight projects supported National Animal Health Laboratory Network (NAHLN) laboratories. The NAHLN has implemented national surveillance systems for highly pathogenic avian influenza, classical swine fever, bovine spongiform encephalopathy, and other important animal diseases. These surveillance programs have been used, among other things, to demonstrate freedom from disease in support of international trade, resulting in increased trade income. Fiscal Year 2012: Not all awards have been finalized. Pertinent data will be provided by Program at a future date. Fiscal Year 2013: Not all awards have been finalized. Pertinent data will be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

In Fiscal Year (FY) 2002, a panel of USDA scientists knowledgeable in the Nation's plant and animal disease diagnostic capability, recommended to the Secretary a plan of initiating a comprehensive national network of laboratories for the rapid detection and diagnosis of plant and animal diseases. The institutions selected by the panel for initial inclusion in the network were recommended using the following criteria:

- (1) Existing scientific capacity;
- (2) Existing laboratory capacity which could be modified to meet Biosafety Level 3 requirements;
- (3) Both animal and plant diagnostic capabilities;
- (4) Geographical location meeting one or more of the following requirements: located in are area with a high risk of disease/pest incursions; located in an area with high concentration of vulnerable agricultural activity; complements or supplements regional Federal laboratory activity or is in an area not effectively served by an existing Federal facility;
- (5) State-of-the-art communication and information technology systems. Must be capable of managing secure communications with other laboratories and central reporting unit; and
- (6) An effective outreach/extension system.

These recommendations were utilized to select the original cooperative agreement recipients and are annually evaluated by USDA/NIFA in network planning.

**10.305 INTERNATIONAL SCIENCE AND EDUCATION GRANTS**  
(INTERNATIONAL SCIENCE AND EDUCATION (ISE) COMPETITIVE GRANTS PROGRAM)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 229 of the Agricultural Research, Extension and Education Reform Act of 1998 (AREERA) amended Section 1459 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. Section 3292b) to authorize the Secretary of Agriculture to make competitive grants to colleges and universities in order to strengthen United States economic competitiveness and to promote international market development.

Section 7141 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8701 note) authorized the International Science and Education Competitive Grants Program (ISE).

, 7 U.S.C 3292b.

**OBJECTIVES:**

The purpose of ISE is to support the internationalization of food, agriculture and related programs at U.S. universities and colleges. It is intended that ISE will improve the ability of American students, business people, and community members to compete more effectively in the global world of agriculture. ISE projects are to strengthen the global competence and competitiveness of American colleges, universities and businesses in the food, agriculture, and related sectors. In addition, ISE projects must be directed to agricultural research, extension, and/or teaching activities that enhance the capabilities of American colleges and universities to conduct international collaborative research, extension and teaching. Our success in the global arena will increasingly require U.S. colleges and universities to produce graduates who can operate competently in domestic and international settings. Through their outreach efforts, universities and colleges also play a critical role in helping U.S. producers successfully operate in foreign markets.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funded projects will respond to specific needs and strengths of the university or college that will enable it to strengthen the global competence of students, faculty and staff in agriculture and related areas and enhance business performance in international agriculture and related sectors through extension, research and/or teaching programs. Each institution may submit no more than two proposals as the lead institution. No institution acting as the principal or lead institution will receive more than one grant during the current competition. Therefore, institutions are encouraged to establish on-campus quality control mechanisms to ensure that only the highest quality proposals are submitted for consideration.

Program funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities (i.e., greenhouses, laboratories, or other structures).

Section 7132 of the Food, Conservation, and Energy Act of 2008, amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310(a)), limiting indirect costs to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

\*\*Special Note on Indirect Costs as in-kind matching contributions. Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching

contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by colleges and universities and defined in section 1404 of NARETPA. The terms college and university mean an educational institution in any State which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate; (2) is legally authorized within such State to provide a program of education beyond secondary education; (3) provides an education program for which a bachelor's degree or any other higher degree is awarded; (4) is a public or other nonprofit institution; and (5) is accredited by a nationally recognized accrediting agency or association.

**Beneficiary Eligibility:**

Colleges and universities; public or other nonprofit institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

(a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;

(b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;

(c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

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

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$931,535; FY 12 est \$0; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

Effective Fiscal Year 2012, this program is no longer being funded.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$1,094,086 was available for project grant awards after subtracting administrative costs.

A total of 106 applications were received in this years competition. In April 2011, a 24-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities, U.S. government staff and individuals from the private sector with experience in international agricultural research, teaching and/or extension.

Funds were available to support a total of 8 awards. The funding ratio for this program in FY11 was 8%.

Funded projects should address one or more of the following educational strategies: (a) Curriculum Development, Instructional Delivery Systems and Expanding Student Career Opportunities; (b) Increasing Faculty Teaching Competencies; and (c) Facilitating Interaction with Other Academic Institutions. Also in 2011, all projects had to address one of five Priority Areas: Global Food Security and Hunger, Climate Change, Sustainable Energy, Childhood Obesity, and Food Safety. Fiscal Year 2012: Effective Fiscal Year 2012, this program is no longer being funded. Fiscal Year 2013: Program is not funded in Presidents FY13 budget.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Center for International Programs, 1400 Independence Avenue, SW., STOP 2203, Washington, District of Columbia 20250-2203 Phone: (202) 720-3801 Fax: (202) 690-2355

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.207 Animal Health and Disease Research; 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.219 Biotechnology Risk Assessment Research; 10.226 Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants; 10.250 Agricultural and Rural Economic Research; 10.652 Forestry Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Enhance student understanding of the global dimensions of climate change adaptation in agriculture, improve the capability of Rutgers graduate students and faculty to conduct collaborative research in China, and improve U.S. agricultural performance in response to future climate change.

The project aims to attain the following objectives: Education - Fortify the international content of existing Forestry undergraduate and graduate curriculum to incorporate complex dimensions of forest management, multifunctionality and opportunities for entrepreneurship based on forest resources into existing and new courses. Research - Solidify existing institutional cooperation to establish continuous collaborative research projects in NIFA's focus areas with scientists at CATIE and incorporate international experiences into formal Doctorial research experiences for underrepresented groups. Extension - Adopt lessons from outreach programs at EARTH University into existing University of Missouri and Lincoln University extension models to maximize benefits to forest-dependent communities, underserved groups and the forest industry by developing new courses and extension models.

The Global IQ Project will establish a trilateral collaboration between universities, non-profits and food processing industry in the US, Mozambique and South Africa with the overarching goal of enhancing the global intelligence quotient of U.S. students, and building the capacity of the U.S. universities and industry to participate in the growth potential that exists in the Southern African region. Project Objectives:

- 1) create awareness of challenges to food security and agricultural value-addition;
- 2) develop and transfer of appropriate technologies to small and medium scale enterprises; and
- 3) increase the competitiveness of U.S. agribusiness exports. Fiscal Year 2012: Effective Fiscal Year 2012, this program is no longer being funded. Fiscal Year 2013: N/A program is not in the Presidents FY 2013 budget.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.306 BIODIESEL**

(Biodiesel Fuel Education Program)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 9006 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-246), amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) to re-establish the Biodiesel Fuel Education Program which requires that the Secretary make competitive grants to eligible entities to educate governmental and private entities that operate vehicle fleets, other interested entities (as determined by the Secretary), and the public about the benefits of biodiesel fuel use. The Secretary delegated this authority to the Chief Economist, who in turn delegated this authority to the Director of the Office of Energy Policy and New Uses (OEPNU). OEPNU has joined with NIFA for assistance in administering Biodiesel Education under the authorities found in the Economy Act (31 U.S.C. 1535) and Section 1472 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3318). Specific Biodiesel Education administrative provisions are found in 7 CFR 2903., 7 U.S.C 3318.

**OBJECTIVES:**

The goals of the Biodiesel Fuel Education Program as originally established in Section 9004 of the Farm Security Investment Act of 2002 (7 U.S.C. 8104) were to stimulate biodiesel consumption and to stimulate the development of a biodiesel infrastructure. The information and outreach activities to raise awareness of the benefits of biodiesel fuel use complemented the incentives provided by the Energy Policy Act of 2005 (EPAct) (Public Law 109-58), and the Energy Independence and Security Act of 2007 (Public Law 110-140). As a result of increased awareness and consumption of biodiesel over the past 5 years, the FY 2008 Biodiesel Education program will focus on educational programs which will support advances in infrastructure, technology transfer, fuel quality, fuel safety and increasing feedstock production.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This funding is used for education and outreach activities. Program funds may not be used for renovation or refurbishment or research space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition or construction of buildings or facilities. Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds may not be used for any purposes other than those approved in the grant award documents.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded.

Funds made available under Biodiesel Education shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

**Applicant Eligibility:**

Eligibility is restricted to nonprofit organizations or institution of higher education (as defined in section 101 of the Higher Education Act of 1965 (20 U.S.C. 1001)).

**Beneficiary Eligibility:**

Nonprofit organizations or institutions of higher education (as defined in section 101 of the Higher Education Act of 1965 (20 U.S.C. 1001)).

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

(a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;

(b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;

(c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

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

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made as continuation grants, and subsequent annual funding is provided based on demonstrated progress.

Specific details are provided in the Request for Applications (RFA) each fiscal

year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years.

Same level of funding for five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least

three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$960,000; FY 12 est \$960,000; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: This competitive grant program made two awards in FY 2008. The awards were made as continuation grants through FY 2012 pending satisfactory annual progress as determined by an inter-agency oversight committee. The program is funded annually at \$1M.

This education and outreach program has increased consumer awareness from 27% in 2003 to 86% in 2012. Much progress has been made in garnering auto, engine and equipment manufacturers support for the use of biodiesel. Nearly 60% of U.S. engine manufacturers now support the use of biodiesel blends. Fiscal Year 2012: Proposals for the last year of continuation grants are pending. Fiscal Year 2013: Subject to authorization in the next Farm Bill, pertinent details to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Bioenergy, Climate, and Environment, Division of Bioenergy, 1400 Independence Avenue, SW., STOP 2210, Washington , District of Columbia 20250-2210 Phone: (202) 401-5244 Fax: (202) 401-2653.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Awards were made to the National Biodiesel Board and the current University. Education materials have been developed, including biodiesel technical reports to help users better understand the fuel properties of biodiesel, e.g., lower greenhouse gas emissions compared with petroleum biodiesel. The current grantees have become information clearing houses for biodiesel and have national reputations in providing expert guidance on producing biodiesel, maintaining fuel quality and ensuring fuel safety. Fiscal Year 2012: Awards to the National Biodiesel Board and the current University. Fiscal Year 2013: Subject to authorization in the next Farm Bill, pertinent details to be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.307 ORGANIC AGRICULTURE RESEARCH AND EXTENSION INITIATIVE**

ORGANIC AGRICULTURE RESEARCH AND EXTENSION INITIATIVE (OREI)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 7206 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended section 1672B of the Food, Agriculture, Conservation, and Trade (FACT) Act of 1990 (7 U.S.C. 5925b) amending and re-authorizing the Organic Agriculture Research and Extension Initiative (OREI). The FACT Act, as amended, authorizes the Secretary of Agriculture, in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB), to make competitive grants to support research and extension activities regarding organically grown and processed agricultural commodities for eight legislatively-defined goals. See RFA Part I.B. for further general information and specific details. , 7 U.S.C 5925b.

**OBJECTIVES:**

Facilitate the development of organic agriculture production, breeding, and processing methods. Functionally identify soil microbial communities and ways to manage microbial dynamics to enhance nutrient cycling and disease suppression; Develop systemic approaches to weed, insect and disease management; Prevent, control, and treat internal and external parasites in various livestock species; and Breed crops for disease and insect resistance, good yield in a biologically diverse system, compatibility with intercrops, good response to organic fertility sources, horizontal resistance (traits determined by multiple genes). Evaluate the potential economic benefits to producers and processors who use organic methods. Analyze potential economic costs, returns and risks of organic production systems; Use environmental valuation tools to quantify externalities of producing food, and compare externalities of producing organic and conventional food; - Analyze price and market structures, including ability of small, medium-, and large-scale growers to access different markets, in order to frame policies that minimize concentration within the industry; and Analyze marketing channels to document how organic food is distributed, what share of the organic food dollar is returned to the farmer, and the implications of large-scale manufacturers entering the organic market. Explore international trade opportunities for organically grown and processed agricultural commodities. Compare compatibility of certification standards used in different parts of the world, with the ultimate goal of harmonization and reciprocity; Undertake marketing studies of international consumer demand for U.S. produced organic goods; and Perform Welfare analyses (quantified gains and losses for producers and consumers) of trade policies affecting international competitiveness, including implementation of the National Organic Program, domestic support programs such as the Conservation Security Act, country of origin labeling, GMO labeling, etc. Determine desirable traits for organic commodities. Examine relationships between nutrients in the soil and nutrients in the food grown on that soil, including long-term soil nutrient and crop nutrient profiles under conventional and organic management; Perform comparisons of nutrient levels between organic and conventional crops and relationship, if any, between taste and nutrient profile; Investigate the role of post-harvest handling and treatment in the maintenance of quality in fresh market organic products; and Determine the reasons for consumer preferences for organic goods. Identify marketing and policy constraints on the expansion of organic agriculture. Analyze opportunities and constraints to organic agriculture resulting from provisions of the Farm Security and Rural Investment Act of 2002; Investigate specific barriers to markets, such as scale-based regulations that restrict family farm access to processors and/or markets; Study negative lender perception of organic farming and ways to change this; and Analyze regulatory barriers, such as lack of access to Federal farm programs, and developing solutions to these challenges. Conduct advanced on-farm research and development that emphasizes observation of, experimentation with, and innovation for working organic farms, including research relating to production and marketing and to socioeconomic conditions. (Note: Many topics from other goal areas can be conducted on working farms.) Develop rigorous on-farm systems research designs; and Conduct long-term, interdisciplinary systems research.

**TYPES OF ASSISTANCE:**



## Project Grants

### USES AND USE RESTRICTIONS:

The Integrated Organic Program is particularly interested in proposed projects that emphasize research and outreach that assist farmers and ranchers with whole farm planning and ecosystem integration. Projects should plan to deliver applied production information to producers. Fieldwork for both program areas must be done on certified organic land or on land in transition to organic certification, as appropriate to project goals and objectives. Refer to the USDA National Organic Program (<http://www.ams.usda.gov/nop>) for organic production standards. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 7132 of the Food, Conservation, and Energy Act amended section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310), increasing the limit on recovery of indirect costs from 19 percent to 22 percent of total Federal funds provided under the award. Therefore, the recovery of indirect costs on awards made by NIFA under this program area may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

**\*\*Special Note on Indirect Costs as in-kind matching contributions.** Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 22 percent pursuant to section 1462(a) of NARETPA (7 U.S.C. 3310(a)), the awardee may request 11 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 22 percent.

### Applicant Eligibility:

Applications may be submitted by State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals. For both ORG and OREL, all award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project.

### Beneficiary Eligibility:

State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, national laboratories, private organizations or corporations, and individuals.

### Credentials/Documentation:

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions

### Award Procedure:

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Section :094 - Deadlines: Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website.

Respective links are provided below:

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

<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time: From 30 to 180 days.

### Appeals:

Not Applicable.

### Renewals:

Specific details are provided in the Request for Applications (RFA) each fiscal year.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 100%. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

Cost Sharing or Matching:

#### (1) General Requirement

The Secretary shall require the recipient of a grant under this section to provide funds or in-kind support from non-Federal sources in an amount at least equal to the amount provided by the Federal Government.

See R&R Budget section regarding matching funds Part IV, B., 6. of this RFA for more details.

#### (2) Waiver

NIFA may waive the matching funds requirement specified in the above

paragraph for a grant if NIFA determines that:

(a) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or

(b) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$19,112,049; FY 12 est \$19,146,540; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$19,112,049 was available for project grant awards after subtracting administrative costs.

A total of 76 applications requesting a total of \$100,525,186 were received in this years competition. In May 2011, a 21-member peer review panel evaluated these applications. The peer panel included faculty from land grant universities, staff from non-profit organizations and organic producers.

Funds were available to support a total of 18 new awards.

The funding ratio for this program in FY11 was 23%.

Funded projects seek to solve critical organic agricultural issues, priorities, or problems through the integration of research and extension activities. They include high priority research and extension projects that will enhance the ability of producers and processors who have already adopted organic standards to grow and market high quality organic agricultural products. Priority concerns include biological, physical, and social sciences, including economics. Fiscal Year 2012: For the FY 2012 award cycle, \$19,146,540 was available for project grant awards after subtracting administrative costs.

A total of 97 applications, requesting a total of \$119,839,234, were received in this years competition. In June 2012, a 22-member peer review panel evaluated these applications. The peer panel included faculty from land grant universities and staff from non-profit organic organizations.

Funds were available to support a total of 8 new awards.

The funding ratio for this program in FY11 was 8.2%.

Funded projects seek to solve critical organic agricultural issues, priorities, or problems through the integration of research and extension activities. They include high priority research and extension projects that will enhance the ability of producers and processors who have already adopted organic standards to grow and market high quality organic agricultural products. Priority concerns include biological, physical, and social sciences, including economics. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Animal Systems, 1400 Independence Avenue, SW., STOP 2240 , Washington , District of Columbia 20250-2240 Phone: (202) 401-6134 Fax: (202) 401-1602

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: On-farm research to assist organic producers to meet the

demands of new and emerging milk markets, through partnership with 20 organic dairy producers across the Northeast. Investigate the utility of advanced pasture production strategies and flaxseed supplementation to enhance the grazing season while simultaneously enriching milk composition. With guidance provided by a Research and Extension Advisory Board, this project will enhance learning opportunities among other organic dairy producers, researchers, and educators via workshops, field days, fact-sheets, newsletters, and eOrganic webinars.

Carrot improvement for organic agriculture with added grower and consumer value, including development and release of carrot germplasm with improved disease and nematode resistance, weed competitiveness, marketable yield, nutritional value, flavor, and storage quality; improved understanding of cultivar responses to organic production systems and identification of additional desirable traits; informing growers and consumers about the positive environmental impact of organic production systems, and about carrot nutritional quality and flavor; demonstration of techniques and challenges associated with organic carrot seed production; and training undergraduate and graduate students and postdoctoral investigators in critical organic agricultural issues.

Adding value to organic wheat and specialty grain crops, substantially increasing their production and enhancing the diversity and sustainability of organic farms. A team of researchers from several states; the farmer organizations NOFANY, PASA, and NPSAS; the Greenmarket, and farmers, millers, bakers, and chefs are evaluating germplasm, crop management, grain handling methods, milling techniques, and strategies for accessing local and regional markets to improve the adaptability of wheat and specialty grain crops for organic systems and establish desirable grain and baking characteristics, including flavor and nutritional quality. Fiscal Year 2012: Pertinent data to be provided by Program at a future date. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

### **10.308 RESIDENT INSTRUCTION GRANTS FOR INSULAR AREA ACTIVITIES**

#### **RESIDENT INSTRUCTION GRANTS FOR INSULAR AREA ACTIVITIES**

##### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

##### **AUTHORIZATION:**

This program is administered under the provisions of the Farm Security and Rural Investment Act of 2002 (Section 7501 of Public Law 107-171) as reauthorized in Section 7143 of Public Law 110-246, which amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3101 et seq.) by providing for a program of resident instruction grants for insular areas (7 U.S.C. 3363). Funds are available for a program of competitive grants, with funds to be awarded to one or more individual, eligible institutions of higher education in Insular Areas (Insular Area Institutions) or consortia of such eligible institutions, to carry out teaching and education programs in the food and agricultural sciences., 7 U.S.C 3363.

##### **OBJECTIVES:**

In General. -The Secretary of Agriculture shall make competitive grants to eligible institutions to-

(1) strengthen institutional educational capacities, including libraries, curriculum, faculty, scientific instrumentation, instruction delivery systems, and student recruitment and retention, in order to respond to identified State, regional, national, or international education needs in the food and agricultural sciences;

(2) attract and support undergraduate and graduate students in order to educate them in identified areas of national need in the food and agriculture sciences;

(3) facilitate cooperative initiatives between two or more insular area eligible institutions, or between those institutions and units of State Government or organizations in the private sector, to maximize the development and use of

resources such as faculty, facilities, and equipment to improve food and agricultural sciences teaching programs; and

(4) conduct undergraduate scholarship programs to assist in meeting national needs for training food and agricultural scientists.

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

The purpose of the Resident Instruction Grants Program for Institutions of Higher Education in Insular Areas (RIIA) is to promote and strengthen the ability of Insular Area Institutions to carry out teaching and education programs within the broadly defined food and agricultural sciences-related disciplines. Food and agricultural sciences include programs in agriculture, food and fiber, renewable energy and natural resources, forestry, aquaculture, veterinary medicine, family and consumer sciences, home economics, nutrition and dietetics, rural human ecology, rural economic and community development, and other higher education activities and fields of study related to the production, processing, marketing, distribution, conservation, utilization, consumption, research, and development of food and agriculturally-related products and services. Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences.

Funds may not be used for any purposes other than those approved in the grant award documents.

The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project. Grant funds may not be used for endowment investing.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Fully discretionary.

##### **Applicant Eligibility:**

The Secretary of Agriculture shall ensure that each eligible institution, prior to receiving grant funds under subsection (a), shall have a significant demonstrable commitment to higher education programs in the food and agricultural sciences and to each specific subject area for which grant funds under this section are to be used. (2) The Secretary of Agriculture may require that any grant awarded under this section contain provisions that require funds to be targeted to meet the needs identified in section 1402.

##### **Beneficiary Eligibility:**

The Secretary of Agriculture shall ensure that each eligible institution, prior to receiving grant funds under subsection (a), shall have a significant demonstrable commitment to higher education programs in the food and agricultural sciences and to each specific subject area for which grant funds under this section are to be used. (2) The Secretary of Agriculture may require that any grant awarded under this section contain provisions that require funds to be targeted to meet the needs identified in section 1402.

##### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage

under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Section :095 - Range of Approval/Disapproval Time:  
From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Funds are awarded competitively.

No formula grants are awarded under Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 [7 U.S.C. 3319e].

NIFA does not require matching or cost sharing support for this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (SDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$861,232; FY 12 est \$862,875; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$861,233 was available for project grant awards after subtracting administrative costs.

Once application requested \$850,000 were received in this years competition. In May 2011, a seven-member peer review panel evaluated this application in a combined panel with the RIIA and ANNH programs. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Applications submitted to this grants program must state how the funded project will address the two RIIA Grant Program Goals:

1. To increase the number and diversity of students who will pursue and complete a 2- or 4-year postsecondary degree in the food and agricultural sciences, or other STEM fields closely related to the food and agricultural sciences, and for FY 2012, encourage study in areas that contribute to any of the five NIFA Priority Areas listed directly above in Part I, A; and

2. To enhance the quality of postsecondary instruction in order to help meet current and future national food and agricultural sciences workplace needs.

. Fiscal Year 2012: For the FY 2012 award cycle, \$861,079 was available for project grant awards after subtracting administrative costs.

One application requesting a total of \$850,000 was received in this years competition. In May 3, 2012, a five-member combined panel with the RIIA and ANNH programs evaluated the applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and federal employees. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: As a consortium of all of the Land-Grant Institutions in the Insular Areas of the Caribbean and the Pacific, funding was used to address the technological needs of each CariPac member institution as well as outreach activities to prospective students, acquisition of state of the art equipment, providing for faculty development trainings, activities and salary support, reviewing and updating curricular offerings, providing scholarships to agriculture and related science students, and offering hands-on research and study opportunities for undergraduates.

Collaboration between NIFA and a University to support of a longstanding national awards program including a series of regional teaching workshops.

These workshops have provided valuable opportunities for continuing education in teaching and learning and have been a source of professional renewal and development for faculty across all food and agricultural science disciplines. Fiscal Year 2012: Pertinent data to be provided by Program at a future date. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.309 SPECIALTY CROP RESEARCH INITIATIVE**

SCRI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

The Specialty Crop Research Initiative (SCRI) is authorized by Section 7311 of the Food, Conservation, and Energy Act of 2008, which added section 412 to the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA). Section 412 of AREERA establishes a specialty crop research and extension initiative to address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions. , Public Law 105-185.

**OBJECTIVES:**

The Specialty Crop Research Initiative (SCRI) was established to solve critical industry issues through research and extension activities. SCRI will give priority to projects that are multistate, multi-institutional, or trans-disciplinary; and include explicit mechanisms to communicate results to producers and the public. Projects must address at least one of five focus areas: research in plant breeding, genetics, and genomics to improve crop characteristics; efforts to identify and address threats from pests and diseases, including threats to specialty crop pollinators; efforts to improve production efficiency, productivity, and profitability over the long term; new innovations and technology, including improved mechanization and technologies that delay or inhibit ripening; and methods to prevent, detect, monitor, control, and respond to potential food safety hazards in the production and processing of specialty crops including fresh produce.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives.

Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents. INDIRECT COSTS:

Not to exceed 22% of Federal Funds awarded.

Applicants may use both the unrecovered indirect costs associated with the Federal Budget and the unrecovered indirect costs associated with the Non-Federal Budget to meet their matching requirements. Indirect costs may not be recovered on third-party matching contributions.

**Applicant Eligibility:**

Applications may be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State agricultural experiment stations, individuals, or groups consisting of two or more of these entities.

**Beneficiary Eligibility:**

Applications may be submitted by Federal agencies, national laboratories, colleges and universities, research institutions and organizations, private organizations or corporations, State agricultural experiment stations, individuals, or groups consisting of two or more of these entities.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Notice of Intent to Submit an Application: Prospective applicants are asked to email a notification of intent to submit an application. The notification of intent to submit is not required and does not enter into the review of a subsequent application. The information it contains will be used to help program staff plan the review and estimate the potential review workload. This email should include the following information:

Descriptive (draft) title of proposed research;  
Name of the Project Director and applicant name if applicable;  
Names of other potential co-Project Directors and their affiliations, if applicable;  
Focus area(s) addressed, (see Part I(B) for specific details);  
Likely type of proposal (Coordinated Agricultural Projects, Standard Research and Extension Projects, Regional Partnerships for Innovation Projects, eXtension Projects, and Research and Extension Planning Projects); and  
Subject line of email should read: SCRI Intent to Submit. Emails should be sent to [scri@csrees.usda.gov](mailto:scri@csrees.usda.gov). All RFAs are published on the Agency's website and [Grants.gov](http://www.grants.gov). Applicants must complete the [Grants.gov](http://www.grants.gov) registration process. Please see the following [Grants.gov](http://www.grants.gov) link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per [Grants.gov](http://www.Grants.gov) and in the Agency guide to submitting applications via [Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Section :094 - Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

Section :095 - Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal should be submitted at the announced deadline. Renewals are treated in competition with all other pending proposals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 100%. Applicants may use both the unrecovered indirect costs associated with the Federal Budget and the unrecovered indirect costs associated with the Non-Federal Budget to meet their matching requirements. Indirect costs may not be recovered on third-party matching contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed ten (10) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," and implemented in 7 CFR Part 3052, "Audits of States, Local Governments, and Nonprofit Organizations." This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1502-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$46,465,138; FY 12 est \$46,409,992; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$46,465,138 was available for project grant awards after subtracting administrative costs.

A total of 120 applications requesting a total of \$246,304,082 were received in this years competition. In March and April 2011, three peer review panels evaluated these applications. The peer panels included faculty from land grant and non-land grant colleges and universities, industry scientists, and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 26 new awards in the following Project Types (14 Standard Research & Extension Projects, \$19,781,327; 5 Planning Grants, \$248,786; and 7 Coordinated Agricultural Projects, \$20,941,145). In addition, 4 continuation awards were made to support projects that began in prior years, \$5,442,502.

The funding rate for this program in FY11 was 22% for new awards.

Funded projects should address one or more of the following legislatively mandated focus areas: (a) Research in plant breeding, genetics, and genomics to improve crop characteristics; (b) Efforts to identify and address threats from pests and diseases, including threats to specialty crop pollinators (c) Efforts to improve production efficiency, productivity, and profitability over the long term (including specialty crop policy and marketing); (d) New innovations and technology, including improved mechanization and technologies that delay or inhibit ripening; and (e) Methods to prevent, detect, monitor, control, and respond to potential food safety hazards in the production and processing of specialty crops, including fresh produce. Fiscal Year 2012: For the FY 2011 award cycle, approximately \$46,409,992 was available for project grant awards after subtracting administrative costs.

A total of 113 applications requesting a total of \$265,959,205 were received in this years competition. In April and May 2012, three peer-review panels evaluated these applications. The peer panels included faculty from land grant and non-land grant colleges and universities, industry scientists, and practitioners from the food and agricultural sciences community.

Funds were available to support a total of 14 new awards in the following Project Types (11 Standard Research & Extension Projects, \$18,243,582 (approximate); 1 Planning Grant, \$34,046; and 2 Coordinated Agricultural Projects, \$10,697,671). In addition, 8 continuation awards were made to support projects that began in prior years, \$17,434,693.

The funding rate for this program in FY11 was 12% for new awards.

Funded projects should address one or more of the following legislatively

mandated focus areas: (a) Research in plant breeding, genetics, and genomics to improve crop characteristics; (b) Efforts to identify and address threats from pests and diseases, including threats to specialty crop pollinators (c) Efforts to improve production efficiency, productivity, and profitability over the long term (including specialty crop policy and marketing); (d) New innovations and technology, including improved mechanization and technologies that delay or inhibit ripening; and (e) Methods to prevent, detect, monitor, control, and respond to potential food safety hazards in the production and processing of specialty crops, including fresh produce. Fiscal Year 2013: Program is subject to Farm Bill reauthorization in FY 2012. Based on current Congressional drafts, the agency anticipates \$25 million in available funds. Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement); 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader; Institute of Food Production and Sustainability, Division of Plant Systems-Production, 1400 Independence Avenue, SW., STOP 2240, Washington, District of Columbia 20250-2240 Phone: (202) 401-4202 Fax: (202) 401-1782

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The continuing outbreaks of food-borne diseases associated with fresh and fresh-cut produce have reduced consumer confidence in the microbiological safety of these products and has prompted calls for objective metrics that ensure that growers and processors are implementing good food safety practices. The long term goals of this grant are to: (a) provide scientific and technological knowledge and data needed by the produce industry and government agencies to develop/modify and validate scientifically supportable, consensus produce safety metrics that are applicable in a variety of growing regions and countries, (b) provide scientific and technological knowledge to develop other consensus metrics important to enhancing produce safety, and (c) identify improved approaches and techniques that allow the attainment of the metrics to be verified simply and cost effectively.

The brown marmorated stink bug (BMSB) is an invasive insect native to East Asia that has emerged as a pest of unprecedented importance to specialty crops in the United States. However, there is no established detection method, treatment threshold, or control strategy for BMSB in any cropping system. Therefore, this project aims to: (1) establish biology and phenology of BMSB in specialty crops; (2) develop monitoring and management tools for BMSB; (3) establish effective management programs for BMSB in specialty crops; and (4) integrate stakeholder input and research findings to form and deliver practical outcomes.

Ten years ago, acrylamide (a neuro-toxin) was discovered in carbohydrate rich foods processed at high temperatures, such as potato chips, French fries and other processed products, that together account for over half of US potato consumption. The highest priority of the US potato industry is the need to introduce new varieties that reduce the acrylamide content of processed products and minimize health concerns related to their consumption. Project objectives are structured so that research and extension specialists across the US work with commercial potato growers, processing companies and end-users

to address system-wide challenges related to new variety development and adoption. Areas of emphasis include research in potato breeding and genetics to improve potato quality, appearance, texture and taste to processor and end user specifications; identifying potato varieties that will reduce health concerns related to acrylamide in the production and processing of potatoes; and economic analysis focused on improving production efficiency, and profitability for growers and processors over the long term.

One of the most significant obstacles to sustainability in the container specialty crops industry is the nearly universal reliance of present systems on containers (pots) made from non-renewable petroleum-based plastics. Materials scientists and engineers will create prototypes of specialty crop containers for evaluation of container-crop performance, container storage stability, biodegradation rate, and environmental and economic impact. Evaluations will include prototypes constructed from all suitable emerging bioplastics and existing non-petroleum alternative containers. The bioplastic containers and practices developed and released through this project will provide viable alternatives for replacing non-sustainable petroleum-based container systems and will initiate a shift of resource revenue from foreign petroleum to domestic biorenewables while eliminating the harmful environmental effects of petroleum-based plastic containers.

Consumption of wholesome foods is increasing as more people recognize the need for a healthful lifestyle. For these reasons, a considerable amount of research has characterized the nutrients and bioactives found in almonds, which has given marketers a valuable tool to describe the healthfulness of this tree nut.

Consumers have taken note, resulting in increased sales of almonds and almond-containing products. Similar data are lacking for the benefits of pecans. Applying the most advanced techniques available to profile the phenolic constituents and to characterize the antioxidant, anti-inflammatory, and anti-glycation capacities of US pecan cultivars will take the research into an important direction where information is lacking, consumer interest is high, and potential impact (both from health and economic perspectives) is great. This project will provide consumers with a better understanding of the nutrients as well as the phytonutrients of US pecan cultivars. Data from this study will furnish stakeholders with scientific and economic information to allow the industry to increase per capita consumption of pecans through targeted marketing efforts. Fiscal Year 2012: Most fruit, nut, and vegetable crops require insect-mediated pollination for optimal yields. While honey bees provide the majority of crop pollination, they are at risk from colony collapse disorder, diseases, and mites. Unmanaged native bees are proposed as managed pollinators, thereby diversifying pollinator sources and improving long-term crop yields. This project will integrate entomology, pollination biology, sociology, economics, and extension approaches to develop region- and crop-specific Integrated Crop Pollination strategies for diversifying pollination sources for consistent crop yields. Field studies will be replicated across major U.S. production regions to compare the contribution of honey bees and native bees in fields receiving standard pollination practices and in fields augmented with bee habitat or alternative managed bees. This project will estimate the value of native bees and honey bees for U.S. specialty crops, identify farming practices that affect bee abundance and pollination levels, evaluate habitat management practices for enhancing bees and crop pollination, and test alternative species as managed pollinators. ICP approaches will be integrated into extension programs and regional and crop-specific recommendations will be distributed electronically. This project will support sustainability of U.S. agriculture by enhancing specialty crop producers ability to manage their farms for improved pollination and yield.

Lawns and grass areas define urban landscapes in the United States. The challenge is breeding cultivars that respond to market demands for viable specialty products, consumer demand for low-input products, and government leaders demand for effective and efficient vegetation that supports their mandate to protect the public good as well as new initiatives to create sustainable cities. This project supports the use of low-input fescue cultivars in sustainable landscapes. To achieve that end, it: (1) evaluates the motivations and barriers public land managers would have for converting to low-input fescue cultivars; (2) explores the role public officials could play in supporting resident conversion to low-input fescue; (3) evaluates homeowners assessment of diverse grass traits, their grass seed purchasing behaviors, and message

delivery technologies; and, (4) based on the preceding findings, develops new fescue cultivars that blend desired existing traits with enhanced potential to withstand wear, heat, and important turfgrass diseases, and designs effective outreach and message delivery technologies for consumers. The ultimate outcome of this project will be enhancement of long-term environmental, economic, and societal benefits resulting from reduced use of inputs such as water, fertilizer, pesticide, and labor.

Improved efficiency, productivity, and profitability for the vegetable production and processing industry require an improved understanding of the role of consumer markets. Movement toward this outcome will require addressing shorter-term objectives, beginning with an empirical demand assessment to identify specific attributes that resonate within a consumer market for sustainably labeled sweet corn and green beans. Next is the development of regionally-appropriate, whole-farm, and crop specific sustainability metrics, while also giving attention to potential barriers to grower adoption of these tools. On-farm trials and field research will test credibility for sustainability claims relative to environmental and economic impacts in several regions of the U.S. Traditional outreach techniques will be integrated with innovative media favored by growers and the processing industry. Examples include a grower workbook to accompany assessment tools, and a conference designed for growers and the vegetable processing industry to showcase and document lessons learned. We anticipate this project will serve as a model for other crops or production regions that want to pursue metric-driven sustainability, based on an increased understanding of the consumer market.

Dormant pruning is a vital practice in specialty crop production, but is also very costly. In addition, the continued availability of labor is uncertain, adding considerably to the risk of fruit production. Replacing the current labor-intensive pruning operations, which heavily rely on a large seasonal workforce, with more mechanized and automated techniques is critically needed for the U.S. specialty crop industry to remain competitive in the global market. This project will develop technologies to automate dormant pruning of specialty crops using modern sensors, computers, and robotic manipulators. Research will focus on automating dormant pruning of two major specialty crops: grape, and apple by carrying out four integrative project goals to: 1) formulate and evaluate rules that describe optimal pruning in terms of measurable physical attributes of canopy structure; 2) develop 3D imaging, decision system, and robot control technologies for automating dormant pruning operations; 3) determine social and economic impacts of the proposed autonomous pruning system; and 4) communicate results and involve growers and industry groups, so they can adopt these technologies and incorporate the knowledge gained into their orchards, vineyards, and businesses.

Developing alternative disease and pest control tactics away from the few remaining pesticides is critical to ensuring the mushroom industry's long-term economic viability. Similarly, understanding the role of substrate (compost) conditions in the development of fungal diseases and the flies that spread disease will help growers to better manage this pest/disease complex. Our objective is to transition the management of fungal pathogens and flies that vector these pathogens from short-term reliance on a dwindling number of pesticides to more sustainable strategies. Two major goals have been identified: (1) transition the management of fungal pathogens and flies beyond short-term reliance on pesticides by enhancing epidemiological and bio-rational tactics and (2) synergize information developed in this project with existing knowledge to provide the extension tools needed to encourage changes in grower practices. The primary outcomes are the identification of substrate characteristics that influence the incidence and severity of a major disease, Trichoderma Green Mold and the identification of alternative biopesticides that can be developed to help control fungal pathogens and insects. Fiscal Year 2013: Program is subject to Farm Bill reauthorization in FY 2012. Based on current Congressional drafts, the agency anticipates \$25 million in available funds. Pertinent data to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the request for applications.

#### **10.310 AGRICULTURE AND FOOD RESEARCH INITIATIVE (AFRI)**



AFRI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Competitive, Special and Facilities Research Grant Act, Section 2(2)(b), [7 U.S.C. 450i], 7 U.S.C 450i.

**OBJECTIVES:**

To establish a new competitive grant program to provide funding for fundamental and applied research, extension, and education to address food and agricultural sciences.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences. The competitive grants program shall address the following areas:

- A) Plant health and production and plant products;
- B) Animal health and production and animal products;
- C) Food safety, nutrition, and health;
- D) Renewable energy, natural resources, and environment;
- E) Agriculture systems and technology; and
- F) Agriculture economics and rural communities.

Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees). Funds may not be used for any purposes other than those approved in the grant award documents. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents.

Indirect cost is not allowable if awarded as an equipment, conference, or post-doc fellowship grant.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded.

**Special Note on Indirect Costs as in-kind matching contributions:**

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds, Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent. Fully discretionary.

**Applicant Eligibility:**

This initiative supports integrated and non-integrated programs. Please refer to Part III, A of the current Agriculture and Food Research Initiative Request for Applications for the complete eligibility requirements.

**Beneficiary Eligibility:**

This initiative supports integrated and non-integrated programs. Please refer to Part III, A of the current Agriculture and Food Research Initiative (AFRI) Request for Applications (RFA) for the complete eligibility requirements.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

(a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;

(b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;

(c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Funds are awarded competitively. No formula grants are awarded under this authority.

For equipment grants Unless criteria is met to qualify for waiver by the Secretary, matching shall not exceed 50 percent of the cost of the special research equipment or other equipment acquired using funds from the grant.

For applied research if the grant is commodity-specific; and not of national scope, the grant recipient is required to match USDA funds awarded on a dollar-for-dollar basis from non-Federal sources with cash and/or in-kind contributions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed ten (10) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Quarterly Reports of Federal Cash Transactions (SF-272) are required by the Department of Health and Human Services (DHHS) ([www.dpm.psc.gov](http://www.dpm.psc.gov)) and are submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or "Federal Financial Report" (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$244,109,220; FY 12 est \$244,022,058; and FY 13 est \$301,369,660 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program represents no year funds. Represents new 2012 funds only. Does not include carryover.

These funds are no-year.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: (A) Agricultural and Natural Resources Science for Climate Variability and Change:

For FY 2011, there was no Request for Applications published and no new awards were made. Funds totaling \$59,538,026 were provided by AFRI to fund continuation awards made in 2010. Of this total \$28,503,494 was provided by AFRI to fully fund all sustainable bioenergy standard research continuation awards; \$1,925,034 was provided by AFRI to fund the 2nd year of two education awards; and \$29,109,498 was provided by AFRI to fund the 2nd year of 6 sustainable bioenergy coordinated agriculture projects (CAPs), and one for the National Loblolly Pine Genome Sequencing CAP.

(B) Food Security:

N/A - No projects were awarded.

(C) Food Safety:

For the FY 2011 award cycle, \$31,438,128 was available for funding both continuation and standard grant awards in the AFRI Food Safety Challenge Area program. However, both FY2011 and FY2012 funds were used to fund these grants. Details on which FY funds were used are detailed below.

FY2010 Food Safety Challenge Area continuation awards were funded in FY2011 using FY2011 funds. The programs that were funded include: program codes: A4101 (1 award, total funds dispersed: \$4,999,638), A4141 (5 awards, total funds dispersed: \$5,203,271), A4111 (3 awards, total funds dispersed: \$4,373,514), A4131 (3 awards, total funds dispersed \$2,999,384), A4151 (1 award, total funds dispersed: \$1,963,436) and A4121 (1 award, total funds dispersed: \$4,992,558). A total of 14 continuation awards were funded for a total of \$24,538,881.

Two program areas were solicited in the FY2011 Food Safety Challenge Area RFA: 1) Addressing Critical and Emerging Food Safety Issues (Program Code A4141), and 2) Prevention and Control of Salmonella and Campylobacter in

Poultry Flocks and Poultry Products, including Eggs (Program Code A4161). Program A4141 awarded standard research grants and program A4161 awarded integrated continuation grants (up to 5 years of funds for up to \$500,000 per year; limit of \$2,500,000 per continuation award). FY2012 funds were used for the award of all grants in these two programs. A total of 17 awards were recommended for funding between these two programs for a total of \$6,899,247.

1) For program A4141, a total of 78 proposals were received in this years competition. In February 2012, a 16-member peer review panel evaluated these proposals for scientific merit, fit to the program priority, and importance to U.S. agriculture. The peer panel included faculty from land grant and non-land grant colleges and universities, including 1890 schools, and scientists from the federal government and industry.

Funds were available to support a total of 11 awards in the following Project Types: 9 research grants for a total of \$4,489,860 and 2 strengthening grants for a total of \$164,937. The overall amount requested for this program was \$4,654,797.00. The funding ratio for this program was 14%

2) For program A4161, a total of 33 proposals were received in this years competition. In February 2012, a 13 member peer review panel evaluated these proposals for scientific merit, fit to the program priority, and importance to U.S. agriculture. The peer panel included faculty from land grant and non-land grant colleges and universities, including 1890 schools, and scientists from the federal government and industry.

A total of 6 awards were recommended for funding based on the peer panel review and included the following project types: 4 integrated continuation grants for a total of \$1,945,579 and 2 strengthening grants for a total of \$298,873. The overall amount requested for this program was \$2,244,452. The funding ratio for this program was 9%.

#### (D) Sustainable Bioenergy:

For FY 2011, there was no Request for Applications published and no new awards were made. Funds totaling \$59,538,026 were provided by AFRI to fund continuation awards made in 2010. Of this total \$28,503,494 was provided by AFRI to fully fund all sustainable bioenergy standard research continuation awards; \$1,925,034 was provided by AFRI to fund the 2nd year of two education awards; and \$29,109,498 was provided by AFRI to fund the 2nd year of 6 sustainable bioenergy coordinated agriculture projects (CAPs), and one for the National Loblolly Pine Genome Sequencing CAP.

#### (E) NIFA Fellowship Grant Program:

NOTE: The FY 2011 competition and FY 2012 competition were combined in FY 2012.

#### (F) Childhood Obesity Prevention:

Number of Proposals 99

Number Recommended for Award 14 (including one conference)

Success rate 13% (not including conference grant)

Average Award Size - \$2.2M. Fiscal Year 2012: (A) Agricultural and Natural Resources Science for Climate Variability and Change:

For FY 2012, a Request for Applications (RFA) was published on September 21, 2011 with a proposal submission deadline of December 15, 2011. Funds totaling \$10,000,000 were provided by AFRI for new awards and \$2,000,000 for Interagency Programs. Delays in the release of the AFRI budget delayed the panel reviews and decisions. Decisions for awards are forthcoming and will include 21 standard research awards, 2 conference grants and one seed grant totaling \$8,000,000; one coordinated agricultural project totaling \$2,000,000; and two grants for the related interagency program, Plant Feedstock Genomics for Bioenergy. Funds totaling \$1,948,733 were provided by AFRI to fund the 3rd year of continuation for the 2010 Education Awards.

The AFRI Sustainable Bioenergy Program funded grants that target vital topical areas related to the development of regional systems for the sustainable production of bioenergy, biopower and biobased products. These programs will,

where appropriate, align with existing Regional Bioenergy Coordinated Agricultural Projects (CAP) to promote NIFAs goal and mission of economic, environmental, and rural community sustainability.

Demand for biomass continues to increase as additional targets for heat, transportation fuels, power, and biobased products are realized. Current policies are designed to provide agricultural support, rural enhancement, reduced dependence on foreign sources of energy, climate change mitigation/adaptation, and environmental sustainability. Policy developments often are identified as drivers of production decisions in the biofuels and bioenergy industries. New policies will need to take into full account associated risks/uncertainties and unintended consequences of feedstock production systems on natural resource and ecosystem service sustainability. Research is not well developed around the implications of current and alternative regulatory policies, fuel and portfolio standards, market distorting and other production subsidies, tax credits, and agricultural assistance programs on both bioenergy and agricultural markets and production decisions, which are subject to further evaluations of environmental and other indirect effects.

To meet these identified needs, the long-term outcome for this program is to implement regional systems that materially deliver liquid transportation biofuels to help meet the Energy Independence and Security Act (EISA) of 2007 goal of 36 billion gallons/year of biofuels by 2022 and reduce the National dependence on foreign oil and, as appropriate, produce biopower and biobased products. Projects are expected to employ a systems approach to address the stated Program Area Priorities which collectively contribute to the achievement of the following goals:

1. Deployment of superior genotypes of regionally-appropriate dedicated energy crops.
2. Refinement and implementation of sustainable regional feedstock production practice.
3. Seamless feedstock logistics.
4. Scalable, sustainable conversion technologies that can accept a diverse range of feedstocks.
5. Regional marketing and distribution systems.
6. Regional sustainability analyses, data collection and management, and tools to support decision-making.
7. A well trained workforce with the capacity to fill the cross-disciplinary needs of the biofuels industry.

In FY 2010, the NIFA solicitation resulted in the establishment of five Regional Bioenergy CAPs that focus on dedicated energy crops including energy cane, perennial grasses, sorghum, woody biomass, and oil crops (oilseeds and algae). These sustainable crops serve as feedstocks for the production of advanced non-ethanol, infrastructure-compatible fuels and biobased products through a systems-oriented approach that links feedstock development, production, logistics, conversion and markets. NIFA supports programs that are trans-disciplinary and integrate genetic crop development; sustainable agronomic and silvicultural practices; pest and beneficial species management; coordinated energy-efficient logistics; flexible and scaleable sustainable conversion and refining technologies; effective marketing and distribution systems; provide sustainable ecosystem services and rural community prosperity. In FY 2012, NIFA will support one additional Regional Bioenergy CAP that focuses on the production and delivery of Regionally Sustainable Biomass Feedstocks. While the focus will be on feedstocks, competitive proposals will present their feedstock development and production concepts in the context of a complete regional supply chain.

#### (B) Food Security:

For the FY 2012 award cycle, approximately \$1,500,000 was available for project grant awards.

Thirteen applications requesting a total of \$43,352,050 were received in this years competition. In April 2012, a 7-member peer review panel (plus one ad hoc reviewer) evaluated these applications. The peer panel included faculty from land grant and non-land grant colleges and universities and one retired NIFA NPL.

Funds were available to support research, education and extension efforts for two awards that addressed the management of arthropod- and nematode-vectored plant pathogens.

The funding ratio for this program in FY12 was 15.4%.

(C) Food Safety:

For the FY 2012 award cycle, \$5,000,000 is available for grant awards in three different program priorities. The three program priority areas are: Addressing Critical and Emerging Food Safety Issues (Program Code A4141), Effective Mitigation Strategies for Antimicrobial Resistance (Program Code A4171), and Improving the Safety of Fresh and Fresh-Cut Produce (Program Code A4181).

(D) Sustainable Bioenergy:

For FY 2012, a Request for Applications (RFA) was published on September 21, 2011 with a proposal submission deadline of December 15, 2011. Funds totaling \$10,000,000 were provided by AFRI for new awards and \$2,000,000 for Interagency Programs. Delays in the release of the AFRI budget delayed the panel reviews and decisions. Decisions for awards are forthcoming and will include 21 standard research awards, 2 conference grants and one seed grant totaling \$8,000,000; one coordinated agricultural project totaling \$2,000,000; and two grants for the related interagency program, Plant Feedstock Genomics for Bioenergy. Funds totaling \$1,948,733 were provided by AFRI to fund the 3rd year of continuation for the 2010 Education Awards.

The AFRI Sustainable Bioenergy Program funded grants that target vital topical areas related to the development of regional systems for the sustainable production of bioenergy, biopower and biobased products. These programs will, where appropriate, align with existing Regional Bioenergy Coordinated Agricultural Projects (CAP) to promote NIFAs goal and mission of economic, environmental, and rural community sustainability.

Demand for biomass continues to increase as additional targets for heat, transportation fuels, power, and biobased products are realized. Current policies are designed to provide agricultural support, rural enhancement, reduced dependence on foreign sources of energy, climate change mitigation/adaptation, and environmental sustainability. Policy developments often are identified as drivers of production decisions in the biofuels and bioenergy industries. New policies will need to take into full account associated risks/uncertainties and unintended consequences of feedstock production systems on natural resource and ecosystem service sustainability. Research is not well developed around the implications of current and alternative regulatory policies, fuel and portfolio standards, market distorting and other production subsidies, tax credits, and agricultural assistance programs on both bioenergy and agricultural markets and production decisions, which are subject to further evaluations of environmental and other indirect effects.

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In FY 2010, the NIFA solicitation resulted in the establishment of five Regional Bioenergy CAPs that focus on dedicated energy crops including energy cane, perennial grasses, sorghum, woody biomass, and oil crops (oilseeds and algae). These sustainable crops serve as feedstocks for the production of advanced non-ethanol, infrastructure-compatible fuels and biobased products through a systems-oriented approach that links feedstock development, production, logistics, conversion and markets. NIFA supports programs that are trans-disciplinary and integrate genetic crop development; sustainable agronomic and silvicultural practices; pest and beneficial species management; coordinated energy-efficient logistics; flexible and scaleable sustainable conversion and refining technologies; effective marketing and distribution systems; provide sustainable ecosystem services and rural community prosperity. In FY 2012, NIFA will support one additional Regional Bioenergy CAP that focuses on the production and delivery of Regionally Sustainable Biomass Feedstocks. While the focus will be on feedstocks, competitive proposals will present their feedstock development and production concepts in the context of a complete regional supply chain.

(E) NIFA Fellowship Grant Program:

In FY 2012, 103 applications were received for the Predoctoral Program. The success rate was 47%. Forty-eight proposals were funded. In addition, 168 proposals were received for the Postdoctoral Program. The success rate was 36%. Sixty proposals were funded. Applications addressed the development of technical and functional competence for predoctoral students, and the research independence and teaching credentials of postdoctoral scientists in the agriculture, forestry, and food sciences that are within NIFAs challenge and foundational program areas through well-developed and highly interactive mentoring and training activities.

(F) Childhood Obesity Prevention:

No Current Data Available Fiscal Year 2012. Pertinent data to be provided by Program at a future date. Fiscal Year 2013: (A) Agricultural and Natural Resources Science for Climate Variability and Change:

For FY 2013, a Request for Applications is under development. Funding for continuation awards, including 6 Sustainable Bioenergy, and the Loblolly Pine Genome Sequencing coordinated agricultural projects are anticipated to be awarded, totaling \$30,414,667.

(B) Food Security:

Pertinent data will be provided by Program at a future date.

(C) Food Safety:

Pertinent data will be provided by Program at a future date.

(D) Sustainable Bioenergy:

For FY2013, a Request for Applications is under development. Funding for continuation awards, including 6 Sustainable Bioenergy, and the Loblolly Pine Genome Sequencing coordinated agricultural projects are anticipated to be awarded, totaling \$30,414,667.

(E) NIFA Fellowship Grant Program:

RFA pending. Approximately 300 applications, and 50 awards are anticipated. Pertinent data to be provided by Program at a future date.

(F) Childhood Obesity Prevention:

No Current Data Available Fiscal Year 2013. Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant

Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Animal Systems, 1400 Independence Avenue, SW., STOP 2240, Telephone: (202) 401-6134; Fax: (202) 1602.

**ADDITIONAL CONTACTS:**

USDA, NIFA, National Program Leader, Institute of Bioenergy, Climate, and Environment, Division of Global Climate Change, 1400 Independence Avenue, SW., STOP 2210, Telephone: (202) 401-4926; Fax: (202) 401-1705;

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Plant Systems-Protection, 1400 Independence Avenue, SW., STOP 2240, Telephone: (202) 401-4939; Fax: (202) 401-1782;

USDA, NIFA, National Program Leader, Institute of Food Safety and Nutrition, Division of Food Safety, 1400 Independence Avenue, SW., STOP 2225, Telephone: (202) 401-1954; Fax: (202) 401-4888;

USDA, NIFA, National Program Leader, Institute of Bioenergy, Climate, and Environment, Division of Bioenergy, 1400 Independence Avenue, SW., STOP 2210, Telephone: (202) 401-5244; Fax: (202) 401-2653;

AND

USDA, NIFA, National Program Leader, Institute of Food Safety and Nutrition, Division of Nutrition, 1400 Independence Avenue, SW., STOP 2225, Telephone: (202) 401-2138; Fax: (202) 401-6488.

, Washington, District of Columbia 20250-2240 Phone: (202) 401-6134 Fax: (202) 401-1602

**Website Address:**

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

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry Research; 10.203 Payments to Agricultural Experiment Stations Under the Hatch Act; 10.205 Payments to 1890 Land-Grant Colleges and Tuskegee University; 10.210 Food and Agricultural Sciences National Needs Graduate Fellowship Grants; 10.216 1890 Institution Capacity Building Grants; 10.217 Higher Education Challenge Grants; 10.219 Biotechnology Risk Assessment Research; 10.250 Agricultural and Rural Economic Research; 10.500 Cooperative Extension Service; 10.652 Forestry Research; 93.535 Affordable Care Act (ACA) Childhood Obesity Research Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (A) Agricultural and Natural Resources Science for Climate Variability and Change:

A five-year Coordinate Agriculture Project is targeting preparing the Pacific Northwest (PNW) for a 2015 introduction of a 100% infrastructure compatible

biofuels industry that meets the region's pro-rata share of Renewable Fuels Standard (RFS2) targets using sustainably grown regionally appropriate woody energy crops, thereby helping to revitalize the region's agriculture/forestry sectors with establishment of a sustainable advanced biofuels industry that supports both large and small growers and brings jobs to rural communities in the region. We will complete a three prong integrated program of research, extension and education to achieve this goal. The desired actions (medium term outcomes) for the three project components are: RESEARCH - Mitigate technology risks along the entire supply chain so that a woody energy crop-based biofuels industry, which makes significant contributions towards RFS2 targets, can be built in the PNW. EXTENSION - Build a critical mass of competent small- and medium-size growers to provide the industry with timely supply of purpose-grown woody energy crops, and address the needs and concerns of stakeholders that will be impacted by an advanced biofuels industry in the PNW. EDUCATION - Build a critical mass of well-trained workers capable of filling the cross-disciplinary needs of the biofuels industry. Capstone activities for the project are: 1. GreenWood Resources, the Nation's largest grower of hybrid poplar, will establish and operate four 200-acre energy farms managed with low-input silviculture. 2. ZeaChem Inc., a leading biorefinery developer, will modify its 10 ton(dry)/day biorefinery in Boardman, OR to produce multiple 8,000 gallon truckloads of biobased gasoline and jet/diesel, which will be distributed to consumers on a test basis by Valero Energy Corporation. 3. Deployment of sustainability, extension and education programs by world-class regional institutions will lead to the establishment of a critical mass of well-trained growers and workers. Successful completion of these activities will lead to the desired actions of adequate risk reduction to allow the financing, construction, and operation of multiple biorefineries in the region.

An education project with the overarching goal to develop a model for supporting teachers and students learning of both sustainability and bioenergy concepts, and their understanding that these concepts can be explored, explained and applied during decision-making using multiple perspectives. This project builds cross-cultural collaborations and honors both tribal ways of knowing and learning together, and scientific ways of knowing to construct integrated perspectives on sustainability that can advance agricultural practices and promote energy solutions for the future. The project supports middle, high school, and undergraduate students and their teachers as well as science researchers to deepen their understanding of scientific processes and social, environmental and economic issues related to sustainable bioenergy development.

A research project focusing on multiple enhanced-value co-products from regionally important oilseed feedstock received the full funding for the project in 2011. This project addresses creating enhanced-value products from one feedstock of particular importance to the Pacific Northwest, oilseeds. Brassicaceae oilseed crops including rapeseed, mustard, and camelina exhibit rotational and environmental quality benefits making them excellent choices as rotational crops for the production of advanced liquid biofuel feedstocks, however unacceptable grower returns limit feedstock production. Value-added co-product development is the only avenue available for developing a liquid biofuels industry from oilseeds grown. The overall goal is to ensure economic viability of liquid biofuels production from rapeseed, mustard, and camelina by developing enhanced-value co-products from the seed meals remaining after oil expression and glycerol generated during biodiesel production.

A research project assessing the effects of conversion of marginal lands to perennial grass biofuel crops is underway in the Northeast US to provide accounting for the long-term sustainability of this approach received its 2nd year of funding in FY 2011. This project is characterizing key metrics that strongly affect the biofuel production system emissions footprint: 1) soil carbon (C) accumulation and sequestration, and 2) nitrous oxide (N2O) and methane (CH4) emissions. These impacts-along with crop yields-will be determined under current production practices on shallow, wetness-prone marginal soils for which little relevant research exists and which comprise the primary land base for these bioenergy crops in the NE. The overarching goal of the project is to develop an understanding of near-term (<5 year) and mid-term (5-10 year) soil C trends and potential N2O and CH4 emissions from perennial grass bioenergy feedstocks grown in the NE. Tradeoffs involving suitabilities and comparative

potential impacts of warm season vs. cool season perennial grass feedstocks and management choices will be better known and available to producers, planners and policymakers. These results - particularly yield which governs potential petroleum offsets and together with soil C sequestration comprises the primary C sinks, and N<sub>2</sub>O flux which represents the primary system emission - will provide the most important (and to date largely missing) data inputs for assessing perennial grass bioenergy system impacts in the NE, which will enable development of bioenergy systems with minimized adverse and maximized positive impacts for the region.

(B) Food Security:

N/A - No projects were awarded.

(C) Food Safety:

FY10 Program A4121: Human noroviruses are the most common cause of foodborne disease. This Coordinated Agriculture Project will use an integrated, multidisciplinary approach to develop improved tools, skills, and capacity to study foodborne viruses, identifying risk factors and developing management strategies for reducing contamination in pre- and post-harvest environments.

FY12 Program A4141: Low moisture foods such as chocolate and peanut products are under researched food vehicles that have been associated with illnesses and deaths. Survival of Salmonella on these foods is not well understood. This study aims to investigate the impact of water mobility and fat content on bacteria survival, with a view to determining appropriate strategies to destroy Salmonella in these foods.

FY12 Program A4161: Poultry products have been frequently implicated in reported cases of salmonellosis. The goal of this proposal is to develop and communicate a safe, effective and economical Salmonella control program for protecting the safety of the food supply and the health of consumers. To achieve this goal, the proposed studies will develop a novel Salmonella control strategy that promotes the establishment of an intestinal microbiota in chicken that prevents colonization by pathogenic bacteria and enhances the mucosal immune response to Salmonella vaccination and challenge.

(D) Sustainable Bioenergy:

A five-year Coordinate Agriculture Project is targeting preparing the Pacific Northwest (PNW) for a 2015 introduction of a 100% infrastructure compatible biofuels industry that meets the region's pro-rata share of Renewable Fuels Standard (RFS2) targets using sustainably grown regionally appropriate woody energy crops, thereby helping to revitalize the region's agriculture/forestry sectors with establishment of a sustainable advanced biofuels industry that supports both large and small growers and brings jobs to rural communities in the region. We will complete a three prong integrated program of research, extension and education to achieve this goal. The desired actions (medium term outcomes) for the three project components are: RESEARCH - Mitigate technology risks along the entire supply chain so that a woody energy crop-based biofuels industry, which makes significant contributions towards RFS2 targets, can be built in the PNW. EXTENSION - Build a critical mass of competent small- and medium-size growers to provide the industry with timely supply of purpose-grown woody energy crops, and address the needs and concerns of stakeholders that will be impacted by an advanced biofuels industry in the PNW. EDUCATION - Build a critical mass of well-trained workers capable of filling the cross-disciplinary needs of the biofuels industry. Capstone activities for the project are: 1. GreenWood Resources, the Nation's larger grower of hybrid poplar, will establish and operate four 200-acre energy farms managed with low-input silviculture. 2. ZeaChem Inc., a leading biorefinery developer, will modify its 10 ton(dry)/day biorefinery in Boardman, OR to produce multiple 8,000 gallon truckloads of biobased gasoline and jet/diesel, which will be distributed to consumers on a test basis by Valero Energy Corporation. 3. Deployment of sustainability, extension and education programs by world-class regional institutions will lead to the establishment of a critical mass of well-trained growers and workers. Successful completion of these activities will lead to the desired actions of adequate risk reduction to allow the financing, construction, and operation of multiple biorefineries in the region.

An education project with the overarching goal to develop a model for supporting teachers and students learning of both sustainability and bioenergy concepts, and their understanding that these concepts can be explored, explained and applied during decision-making using multiple perspectives. This project builds cross-cultural collaborations and honors both tribal ways of knowing and learning together, and scientific ways of knowing to construct integrated perspectives on sustainability that can advance agricultural practices and promote energy solutions for the future. The project supports middle, high school, and undergraduate students and their teachers as well as science researchers to deepen their understanding of scientific processes and social, environmental and economic issues related to sustainable bioenergy development.

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(E) NIFA Fellowship Grant Program:

NOTE: FY 2011 competition and FY 2012 competition were combined in FY 2012.

(F) Childhood Obesity Prevention:

Childhood overweight is of great concern to our population because this overweight tends to continue into adulthood and may greatly increase the risk of developing diseases such as type 2 diabetes, cardiovascular disease, and some cancers. Not only does this significantly burden the healthcare system, but it also decreases the quality of life of individuals suffering from these diseases. One potentially important time to intervene and change lifelong habits may be in early infancy. The reason for thinking this is that babies who grow rapidly tend to also be babies who become overweight children. Babies who are exclusively breastfed tend to be somewhat protected from this later risk. Though no one knows whether or not formula contributes directly to a rapid weight gain, it is possible that some babies who are formula fed can be overfed. Caregivers may or may not be aware that they are overfeeding their babies. For

example, if formula has too little water, the baby will be taking in a high-calorie bottle. If the formula has too much water, the baby may still feel hungry and cry and the caregiver may believe the baby needs more food. Another way a caregiver may overfeed a baby is to add infant cereal to the bottle. Depending on how much is added, this can add a large number of calories to the bottle of formula and also changes the proportion of carbohydrate, fat and protein. Formula is specifically designed to give these nutrients in the right proportion. Changes in these nutrients may change the growth of the baby. Research from this lab has indicated that ~25% of mothers are over-diluting infant formula, and that upwards of 90% of low-income women in East Tennessee are adding infant cereal to bottles of formula. It is critical that we demonstrate how these behaviors impact rate of weight gain and then develop strategies for reducing these behaviors. Fiscal Year 2012: (A) Agricultural and Natural Resources Science for Climate Variability and Change:  
No information available. Awards have not yet been made. Pertinent data will be provided by Program at a future date.

(B) Food Security:  
The goal of this project is to discover and use genome resources of tospoviruses, thrips vectors, and plants to mitigate crop losses due to thrips and tospoviruses, while educating new scientists with interdisciplinary perspectives on vector/virus/plant biology.

The goal of this project is to develop an accurate forecasting model that will address the mite-virus disease complex in wheat and improve the growers ability to anticipate and take action to improve sustainability of wheat production systems. The model also will be deployed through Extension and educational curricula.

(C) Food Safety:  
Pertinent data will be provided by Program at a future date.

(D) Sustainable Bioenergy:  
No information available. Awards have not yet been made. Pertinent data to be provided by Program at a future date.

(E) NIFA Fellowship Grant Program:

Projects were funded that will develop the next generation of leaders who will be actively engaged in agriculture, forestry, and food related research, education, and extension careers. Successful proposals focused on developing the next generation of scientists who will lead agriculture into the future by solving current and future challenges facing our society. The awarded projects also targeted talented, highly-motivated doctoral candidates and postdoctoral trainees that demonstrate remarkable promise and demonstrated the ability to increase the number of gifted agricultural scientists in the United States. Further information is available at <http://www.nifa.usda.gov/fo/fellowshipsgrantprogramafri.cfm>.

(F) Childhood Obesity Prevention:  
Pertinent data to be provided by Program at a future date. Fiscal Year 2013: (A) Agricultural and Natural Resources Science for Climate Variability and Change:

No information available. Request for Applications under development.  
Pertinent data to be provided by Program at a future date

(B) Food Security:  
Pertinent data to be provided by Program at a future date

(C) Food Safety:  
Pertinent data to be provided by Program at a future date

(D) Sustainable Bioenergy:  
No information available. Request for Applications under development.  
Pertinent data to be provided by Program at a future date.

(E) NIFA Fellowship Grant Program:

Pertinent data to be provided by Program at a future date.

(F) Childhood Obesity Prevention:  
Pertinent data to be provided by Program at a future date.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

#### **10.311 BEGINNING FARMER AND RANCHER DEVELOPMENT PROGRAM**

BFRDP

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f].

, Public Law 107-171, 7 U.S.C 3319f.

#### **OBJECTIVES:**

To support the nations beginning farmers and ranchers by making competitive grants to new and established local and regional training, education, outreach, and technical assistance initiatives that address the needs of beginning farmers and ranchers.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Competitive grants are made to support:

- (A) mentoring, apprenticeships, and internships;
- (B) resources and referral;
- (C) assisting beginning farmers or ranchers in acquiring land from retiring farmers and ranchers;
- (D) innovative farm and ranch transfer strategies;
- (E) entrepreneurship and business training;
- (F) model land leasing contracts;
- (G) financial management training;
- (H) whole farm planning;
- (I) conservation assistance;
- (J) risk management education;
- (K) diversification and marketing strategies;
- (L) curriculum development;
- (M) understanding the impact of concentration and globalization;
- (N) basic livestock and crop farming practices;
- (O) the acquisition and management of agricultural credit;
- (P) environmental compliance;
- (Q) information processing; and
- (R) other similar subject areas of use to beginning farmers or ranchers.

In addition, cooperative agreements may be awarded to establish Education Teams:

(1) In General:

In carrying out this section, the Secretary shall establish beginning farmer and rancher education teams to develop curricula and conduct educational programs and workshops for beginning farmers or ranchers in diverse geographical areas of the United States.

(2) Curriculum:

In promoting the development of curricula, the Secretary shall, to the maximum extent practicable, include modules tailored to specific audiences of beginning farmers or ranchers, based on crop or regional diversity.

(3) Composition:

In establishing an education team for a specific program or workshop, the Secretary shall, to the maximum extent practicable:  
(A) obtain the short-term services of specialists with knowledge and expertise in programs serving beginning farmers or ranchers; and

(B) use officers and employees of the Department with direct experience in

programs of the Department that may be taught as part of the curriculum for the program or workshop.

**(4) Cooperation:**

**(A) In General:**

In carrying out this subsection, the Secretary shall cooperate, to the maximum extent practicable, with:

- (i) State cooperative extension services;
- (ii) Federal and State agencies;
- (iii) community-based and nongovernmental organizations;
- (iv) colleges and universities (including an institution awarding an associates degree) or foundations maintained by a college or university; and
- (v) other appropriate partners, as determined by the Secretary.

**(B) Cooperative Agreement:**

Notwithstanding chapter 63 of title 31, United States Code, the Secretary may enter into a cooperative agreement to reflect the terms of any cooperation under subparagraph (A).

An award also may be made to establish a Curriculum and Training Clearinghouse.

The Secretary shall establish an online clearinghouse that makes available to beginning farmers or ranchers education curricula and training materials and programs, which may include online courses for direct use by beginning farmers or ranchers.

**Set-Aside:**

Not less than 25 percent of funds used to carry out this subsection for a fiscal year shall be used to support programs and services that address the needs of:

- (A) limited resource beginning farmers or ranchers (as defined by the Secretary);
- (B) socially disadvantaged beginning farmers or ranchers (as defined in section 355(e) of the Consolidated Farm and Rural Development Act (7 U.S.C. 2003(e)); and
- (C) farmworkers desiring to become farmers or ranchers. Set-Aside: Not less than 25 percent of funds used to carry out this subsection for a fiscal year shall be used to support programs and services that address the needs of:
  - (A) limited resource beginning farmers or ranchers (as defined by the Secretary);
  - (B) socially disadvantaged beginning farmers or ranchers (as defined in section 355(e) of the Consolidated Farm and Rural Development Act (7 U.S.C. 2003(e)); and
  - (C) farmworkers desiring to become farmers or ranchers.

**Prohibition:**

A grant made under this subsection may not be used for the planning, repair, rehabilitation, acquisition, or construction of a building or facility.

**Indirect Costs (Federal Budget):**

Grants: Not to exceed 22% of Federal Funds Awarded

Cooperative Agreements (if only CCC funding made available under section 7405 of the Farm Security and Rural Investment Act of 2002): Full Negotiated Rate.

Cooperative Agreements (if any discretionary funding made available in the annual appropriations): Not to exceed 10% of total direct cost of agreement if made to a nonprofit institution (including an educational institution)

Full Negotiated Rate if made to an entity other than a nonprofit institution

**Special Note on Indirect Costs as in-kind matching contributions:**

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed

indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardee's indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds, Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent.

**Applicant Eligibility:**

The recipient must be a collaborative, State, tribal, local, or regionally-based network or partnership of public or private entities, which may include: state cooperative extension service; community-based and nongovernmental organization; college or university (including institutions awarding associate degrees); or any other appropriate partner. Others may be eligible to apply. Please refer to Part III of the current BFRDP Request for Applications for complete eligibility requirements.

**Beneficiary Eligibility:**

The recipient must be a collaborative, State, tribal, local, or regionally-based network or partnership of public or private entities, which may include: state cooperative extension service; community-based and nongovernmental organization; college or university (including institutions awarding associate degrees); or any other appropriate partner. Others may be eligible to apply. Please refer to Part III of the current BFRDP Request for Applications for complete eligibility requirements.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, (or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the



applications to targeted audiences and to program needs;

(d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;

(e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and

(f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Evaluation Criteria:**

In making grants under this subsection, the Secretary shall evaluate:

(A) relevancy;

(B) technical merit;

(C) achievability;

(D) the expertise and track record of 1 or more applicants;

(E) the adequacy of plans for the participatory evaluation process, outcome-based reporting, and the communication of findings and results beyond the immediate target audience; and

(F) other appropriate factors, as determined by the Secretary.

**Regional Balance:**

In making grants under this subsection, the Secretary shall, to the maximum extent practicable, ensure geographical diversity.

**Priority:**

In making grants under this subsection, the Secretary shall give priority to partnerships and collaborations that are led by or include nongovernmental and community based organizations with expertise in new agricultural producer training and outreach.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Funds are awarded competitively. No formula grants are awarded under Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f].

To be eligible to receive a grant under this program, a recipient must provide a match

in the form of cash or in-kind contributions in an amount equal to 25 percent of the funds provided by the grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal

Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Quarterly Reports of Federal Cash Transactions (SF-272) are required by the Department of Health and Human Services (DHHS) (www.dpm.psc.gov) and are submitted online through the DHHS Payment Management System (PMS) website. If you become delinquent in these reports, you will not be able to access your funds.

A final Financial Status Report (SF-269) or "Federal Financial Report" (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$18,154,513; FY 12 est \$18,201,000; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program is authorized under the FY 2008 Farm Bill, which expires at the end of the FY 2012. To date no new legislation has been enacted.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA. However, the amount of the competitive grants shall not exceed \$ 250,000 for each year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$18.2 million was awarded to 34 standard grants and 2

Educational Enhancement Team projects. The accomplishment report for 2011 will be posted by October 2012 at:

<http://www.nifa.usda.gov/funding/bfrdp/bfrdp.html>. Fiscal Year 2012: Pertinent data to be provided by Program at a future date. Fiscal Year 2013: Funding for this program is set to expire with the 2008 Farm Bill.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Agricultural Systems, 1400 Independence Avenue, SW., STOP 2240, Washington, District of Columbia 20250-2240 Phone: (202) 401-0151 Fax: (202) 401-5179

**Website Address:**

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

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Workshops, conferences, apprenticeships, on-line resources and mentoring services geared especially towards beginning farmer needs, will provide intensive hands on training for more than 1200 farmers by 2014.

Based on IRCs current work with refugee and new immigrant food and farming entrepreneurs in City Heights, IRC San Diego will continue to develop innovative business and marketing models for urban farming and microenterprise in food and farming that can be adopted by many ethnic immigrant communities as well as lower-income residents in urban communities.

The project targeting the Southern region, will improve BFR training programs ability to provide financial education, enhancing the success of BFRs. The EET will accomplish its goals through a Community of Practice that links experienced business and financial literacy experts with BFR training staff. Fiscal Year 2012: Pertinent data to be provided by Program at a future date. Fiscal Year 2013: Funding for this program is set to expire with the 2008 Farm Bill.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.312 BIOMASS RESEARCH AND DEVELOPMENT INITIATIVE COMPETITIVE GRANTS PROGRAM (BRDI)**

BRDI

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Collaboration between Department of Energy (DOE) and Department of Agriculture (USDA) on a Biomass Research and Development Initiative is directed under various statutory authorities, primarily the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246) and the Energy Policy

Act of 2005 (EPAct 2005)(Public Law 109-58; Section 941). USDAs authorization appears in Section 9008 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246) which replaced section 9008 of the Farm Security, and Rural Investment Act of 2002 (FSRIA) (Public Law 107-171) [7 U.S.C. 8108]; thereby amending section 307 of the Biomass Research and Development Act of 2000 (BRDA) (7 U.S.C. 7624 note, and 7 U.S.C. 8101 note; Public Law 106224). Pursuant to Executive Order 13134, BRDA can be found at (7 U.S.C. 8601 et seq). BRDA authorizes the Biomass Research and Development. , Public Law 109-58, 7 U.S.C 8606.

**OBJECTIVES:**

To carry out research on and development and demonstration of (A) biofuels and biobased products; and (B) the methods, practices, and technologies, for the production of biofuels and biobased products.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents. Indirect costs may not exceed 22% of Federal Funds Awarded.

Special Note on Indirect Costs as in-kind matching contributions:

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds, Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent.

Matching Requirements:

20% for Research and Development Projects / 50% for Demonstration and Commercial Projects.

**Applicant Eligibility:**

Eligible entities include:

- (A) an institution of higher education;
- (B) a National Laboratory;
- (C) a Federal research agency;
- (D) a State research agency;
- (E) a private sector entity;
- (F) a nonprofit organization; or
- (G) a consortium of 2 or more entities described in subparagraphs (A) through (F).

**Beneficiary Eligibility:**

Eligible entities include:

- (A) an institution of higher education;
- (B) a National Laboratory;
- (C) a Federal research agency;
- (D) a State research agency;

- (E) a private sector entity;
- (F) a nonprofit organization; or
- (G) a consortium of 2 or more entities described in subparagraphs (A) through (F).

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov. This information collection is approved under OMB Control No. 0524-0039, CSREES Application Kit for Research and Extension Programs.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFAs for each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are announced in the RFAs for each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Funds are awarded competitively. No formula grants are awarded under this authority.

The minimum required recipient cost share must be at least 20% of the total allowable costs for Research and Development (R&D) projects and 50% of the total allowable costs for Demonstration projects.

Applicant cost share must come from non-Federal sources unless otherwise allowed by law.

No blending of R&D and Demonstration or associated cost share will be permitted.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of a competitive grant under this authority may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1003-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$28,456,422; FY 12 est \$38,315,000; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

This program represents no year funds.

This program is authorized under the FY 2008 Farm Bill, which expires at the end of the FY 2012. To date no new legislation has been enacted.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY 2011 Activities:

USDA-NIFA and DOE collaborated to make five to seven awards in FY2011 (NIFA is finalizing five awards and DOE is finalizing one to two). Collaboration between DOE and USDA on BRDI is directed under Section 9008(e)(1) of FSRIA, as amended, (7 U.S.C. 8108(e)(1)). DOE administers the Pre-Application process and USDA administers the Full Application process.

BRDI technology priorities are broad and are not prescriptive. The program solicits for technologies that are largely driven by trends in biomass-based energy and materials markets. The program affords the flexibility for the balance of investment to shift toward technical challenges of increasing importance in the market. The program objectives are defined in the Farm Bill section 9008(e)(2):

- a) Technologies and processes necessary for abundant commercial production of biofuels at prices competitive with fossil fuels;
- b) high-value bio-based products to enhance the economic viability of biofuels and biopower, to serve as substitutes for petroleum-based feedstocks and products, and to enhance the value of coproducts produced using the technologies and processes; and
- c) a diversity of economically sustainable domestic sources of renewable biomass for conversion to biofuels, bioenergy, and bio-based products. Fiscal Year 2012: NIFA and DOE are in the process of administering the FY 2012 competitive program. Fiscal Year 2013: FY 2013 BRDI program is contingent upon the re-authorization of the Farm Bill.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 2 CFR Part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (OMB Circular A-110); 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21); 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87); 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122); 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Bioenergy, Climate, and Environment, Division of Bioenergy, 1400 Independence Avenue, SW., STOP 2210, Washington, District of Columbia 20250-2210 Phone: (202) 401-5244 Fax: (202) 401-2653

**Website Address:**

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

**RELATED PROGRAMS:**

10.212 Small Business Innovation Research; 10.215 Sustainable Agriculture Research and Education; 10.320 Sun Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Project will retrofit an existing corn starch ethanol plant to add value to its byproducts, which will be marketed to the non-ruminant feed markets and to the biodiesel industry. This project enables creation of diverse product streams from this facility, opening new markets for the cooperative and contributing to the U.S. Environmental Protection Agency's goals for cellulosic ethanol production and use.

Project will optimize rapeseed/canola, mustard and camelina oilseed crops for oil quality and yield using recombinant inbred lines. Remote sensing and crop modeling will enhance production strategies to incorporate these crops into existing agricultural systems across four ecoregions in the Western United States. The oils will be hydrotreated to produce diesel and jet fuel.

Guayule is a hardwood perennial natural rubber-producing shrub grown in the semi-arid southwestern United States. This project will optimize production and quality of guayule rubber using genomic sequencing and development of molecular markers. The extracted rubber will be used in tire formulations, and the remaining plant residue will be evaluated for use in biopower and for conversion to jet fuel precursors.

Project will utilize dairy manure as a source of fiber and fertilizer. Fiber will be converted to ethanol, manure used for fertilizer, and oil from the crops will be converted to biodiesel used in farm equipment. The project goal is to develop closed-loop systems with new product streams that benefit the environment.

Project will optimize the production of grasses in Hawaii, including napier grass, energycane, sugarcane and sweet sorghum. Harvest and preprocessing will be optimized to be compatible with the biochemical conversion to jet fuel and diesel. Fiscal Year 2012: Work is in progress. Pertinent data to be provided by Program at a future date. Fiscal Year 2013: FY 2013 BRDI program is contingent upon the re-authorization of the Farm Bill.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.313 VETERINARY MEDICINE LOAN REPAYMENT PROGRAM**

VLMRP

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NAREPTA), Section 1415A [7 U.S.C. 3151a], Public Law 95-113, 7 U.S.C. 3151a.

**OBJECTIVES:**

The program responds to the current shortage of large animal veterinarians in rural areas by encouraging veterinarians, through loan repayment, to provide veterinary service in designated shortage areas.

To carry out a program of entering into agreements with veterinarians under which the Secretary shall pay specified amounts of the principal and interest of qualifying educational loans of the veterinarians.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

(1) SERVICE IN SHORTAGE SITUATIONS. The Secretary shall carry out a program of entering into agreements with veterinarians under which the veterinarians agree to provide, for a period of time as determined by the Secretary and specified in the agreement, veterinary services in veterinarian shortage situations. For each year of such service under an agreement under this paragraph, the Secretary shall pay an amount, as

determined by the Secretary and specified in the agreement, of the principal and interest of qualifying educational loans of the veterinarians.

## (2) SERVICE TO FEDERAL GOVERNMENT IN EMERGENCY SITUATIONS.

(A) **IN GENERAL.** The Secretary may enter into agreements of 1 year duration with veterinarians who have agreements pursuant to paragraph (1) for such veterinarians to provide services to the Federal Government in emergency situations, as determined by the Secretary, under terms and conditions specified in the agreement. Pursuant to an agreement under this paragraph, the Secretary shall pay an amount, in addition to the amount paid pursuant to the agreement in paragraph (1), as determined by the Secretary and specified in the agreement, of the principal and interest of qualifying educational loans of the veterinarians.

(B) **REQUIREMENTS.** Agreements entered into under this paragraph shall include the following:

- (i) A veterinarian shall not be required to serve more than 60 working days per year of the agreement.
- (ii) A veterinarian who provides service pursuant to the agreement shall receive a salary commensurate with the duties and shall be reimbursed for travel and per diem expenses as appropriate for the duration of the service.

None of the funds appropriated to the Secretary under subsection (f) may be used to carry out section 5379 of title 5, United States Code. None of the funds appropriated to the Secretary under subsection (f) may be used to carry out section 5379 of title 5, United States Code. Fully discretionary. Agreements with veterinarians under which the Secretary shall pay specified amounts of the principal and interest of qualifying educational loans of the veterinarians.

### **Applicant Eligibility:**

The Secretary may enter into agreements with veterinarians under which the veterinarians agree to provide, for a period of time as determined by the Secretary and specified in the agreement, veterinary services in veterinarian shortage situations.

### **Beneficiary Eligibility:**

The Secretary may enter into agreements with veterinarians under which the veterinarians agree to provide, for a period of time as determined by the Secretary and specified in the agreement, veterinary services in veterinarian shortage situations.

### **Credentials/Documentation:**

Applicants must furnish the information required in the request for applications (RFAs), which include: (1) a Loan Information Form for each loan to be considered for repayment; (2) an Intent of Employment form providing assurance that the applicant will be engaged in employment at a NIFA-designated veterinary shortage area for not less than three years from the anticipated effective date of the VMLRP contract between the individual and NIFA; and (3) a signed VMLRP Contract by which the applicant agrees to serve the obligated minimum period of three years providing veterinary service in a designated veterinary shortage area. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per the VMLRP website at [www.nifa.usda.gov/vmlrp](http://www.nifa.usda.gov/vmlrp). Qualified individuals interested in participating in the VMLRP should visit the VMLRP website for all application forms and requirements. The application will be evaluated by a peer review panel, convened for this purpose by the NIFA. In selecting applicants for participation in the VMLRP, the panel will consider eligibility status, quality of the applicant, and the applicants career plan focus. All selections are subject to final approval by the VMLRP manager. The NIFA will notify the State Animal Health Official and the applicant of the outcome of

the review.

Several Federal statutes and regulations apply to VMLRP applications considered for review and to service agreements awarded under this program. These include, but are not limited to:

7 CFR Part 1, subpart A USDA implementation of the Freedom of Information Act.

7 CFR Part 3 USDA implementation of OMB Circular No. A-129 regarding debt collection.

7 CFR Part 15, subpart A USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.

7 CFR Part 331 and 9 CFR Part 121 USDA implementation of the Agricultural Bioterrorism Protection Act of 2002.

7 CFR Part 3015 USDA Uniform Federal Assistance Regulations, implementing OMB directives (e.g., OMB Circular Nos. A-21 and A-122 (2 CFR Parts 220 and 230)), and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.

7 CFR Part 3017 USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement).

7 CFR Part 3018 USDA implementation of Restrictions on Lobbying.

Imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans.

7 CFR Part 3019 USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations (2 CFR Part 215).

7 CFR Part 3021 Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).

7 CFR Part 3052 USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations.

7 CFR Part 3407 NIFA procedures to implement the National Environmental Policy Act of 1969, as amended.

7 CFR Part 3431 Veterinary Medicine Loan Repayment Program 29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute) prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq. Bayh Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

### **Award Procedure:**

Once the applicant is selected to participate in the VMLRP, the applicant and the NIFA Director (or Secretary of Agriculture) will sign a written binding contract stating the terms and conditions for participating in the VMLRP. The effective date of the contract will be the date it is signed by the NIFA Director, or the date employment/service begins at an NIFA-designated veterinary shortage area, whichever is later.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Dates for specific deadlines are announced in the RFAs or guidelines for each fiscal year.

### **Appeals:**

Not Applicable.

### **Renewals:**

A VMLRP participant completing the initial 3-year period of qualified veterinary service has an option to extend the obligatory period of service on an annual basis.

### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The VMLRP will pay equal quarterly payments to the lenders. Each payment will be made shortly after the end of each full quarter of satisfactory service. Method of awarding/releasing assistance: quarterly.

**Reports:**

1) Quarterly Report: VMLRP recipients will be required to verify that the terms of the VMLRP contract are being met on a quarterly basis. Subsequent quarterly loan repayments will not be disbursed until this verification is provided. This report will be due ten business days after the end of each 3 month interval during the VMLRP contract for the previous 3 month period and must include the following information: (a) A listing of states, counties, and/or insular areas served (b) A listing of veterinary services and activities provided in the shortage situation (c) Percentage time (on a 40-hour week basis) providing service to veterinary shortage situation identified in the agreement. Program participants are responsible for notifying NIFA of any changes in the service being provided in the specified shortage situation during the 3-year period. It is strongly recommended that program participants advise NIFA of these changes at least 2 months in advance to allow sufficient processing time. Failure to provide the updated information may result in the termination of the VMLRP contract and the program participant may be subject to penalties as outlined in Section C, Paragraph 3 of the contract.

SPECIAL NOTES: See below for information regarding submission of the Termination Report. Please refer to 7 CFR Part 3431 and annual RFA for further details. Cash reports are not applicable. See above for information regarding submission of Quarterly Reports. See below for information regarding submission of the Termination Report.

SPECIAL NOTE: Please refer to 7 CFR Part 3431 and annual RFA for further details. Expenditure reports are not applicable. 2) Termination Report: At the end of the term of the agreement, the recipient and his/her supervisor will each prepare and submit to NIFA a Termination Report that addresses the following, as well as any other information the participants wish to share with NIFAs VMLRP leadership:

- a. A summary of the services provided toward mitigation of the original veterinary shortage situation, as well as other veterinary services provided to the local community, institution, or other employing entity,
- b. An assessment of the current state of veterinary services in the recipients service area and adjacent service areas, or specialty area, with emphasis on identification of ongoing shortage situations.
- c. An assessment of future veterinary service needs and trends in the recipients service (or specialty area) and, to the extent such information may be known, adjacent service areas, with emphasis on identification of ongoing shortage situations, either geographic or disciplinary.
- d. An appraisal of the overall effectiveness of the VMLRP in addressing the specific veterinary shortage situation served by the awardee, including the role of the

mentor (where applicable). The Termination Report must be submitted by email attachment to [vmrlp@nifa.usda.gov](mailto:vmrlp@nifa.usda.gov), preferably as an MS Word or WordPerfect document. The subject line and the first line of the body of the email should include, in the following order: Termination Report: <Last name of recipient>, <award number>, <shortage situation code>.

**SPECIAL NOTES:**

See above for specific details regarding submission of the Quarterly Reports. Please refer to 7 CFR Part 3431 and annual RFA for further details.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Please refer to 7 CFR Part 3431 for guidance.

**Records:**

Please refer to 7 CFR Part 3431 for guidance.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$4,230,157; FY 12 est \$4,270,000; and FY 13 est \$4,270,000 - The difference between the appropriation and obligation numbers reflects legislatively authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from

prior years.

This program represents no year funds.

**Range and Average of Financial Assistance:**

Minimum and maximum amounts of funding per grant are established by the annual program announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately 80 veterinarians received loan repayment awards in exchange for their commitment to provide professional food supply or public health-related veterinary services in designated US veterinary shortage situations for 3 years. Fiscal Year 2012: It is anticipated that 40 to 50 veterinarians will receive loan repayment awards in exchange for their commitment to provide professional food supply or public health-related veterinary services in designated US veterinary shortage situations for 3 years. Fiscal Year 2013: It is anticipated that 40 to 50 veterinarians will receive loan repayment awards in exchange for their commitment to provide professional food supply or public health-related veterinary services in designated US veterinary shortage situations for 3 years.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Final Rule for the VMLRP was published in the Federal Register on April 19, 2010, Document 2010-8628 [ FR Vol 75, No. 74 - (Pages 20239 - 20248).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Animal Systems, 1400 Independence Avenue, SW., STOP 2240, Washington, District of Columbia 20250-2240 Phone: (202) 401-6134 Fax: (202) 401-1602

**Website Address:**

<http://www.nifa.usda.gov/vmlrp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: N/A - (Awards under this program are loan repayments not projects; see veterinary shortage maps for 2011 at [www.nifa.usda.gov/vmlrp](http://www.nifa.usda.gov/vmlrp) to review the locations and types of veterinary service shortages that were filled.). Fiscal Year 2012: N/A - (Awards under this program are loan repayments not projects; see veterinary shortage maps for 2011 at [www.nifa.usda.gov/vmlrp](http://www.nifa.usda.gov/vmlrp) to review the locations and types of veterinary service shortages that were filled.). Fiscal Year 2013: N/A - (Awards under this program are loan repayments not projects; see veterinary shortage maps for 2011 at [www.nifa.usda.gov/vmlrp](http://www.nifa.usda.gov/vmlrp) to review the locations and types of veterinary service shortages that were filled.).

**CRITERIA FOR SELECTING PROPOSALS:**

In carrying out its review, the peer review panel will take into account the quality of match between an applicants professional training and experience and the circumstances and needs of the designated shortage situation the applicant proposes to fill. The following evaluation criteria will be considered in the context of the factors and circumstances necessary for 1) most effective mitigation of the specific veterinary shortage situation, 2) prioritizing the relatively more severe shortages and, 3) achieving the highest likelihood that awardees will realize employment satisfaction and professional success during and beyond the term of the VMLRP agreement. Additional guidelines are described in the RFAs.

**10.314 NEW ERA RURAL TECHNOLOGY COMPETITIVE GRANTS PROGRAM**

Rural Technology Program (RTP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, Public Law 110-246, 7 U.S.C 3319e; Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act

(NARETPA) of 1977, as amended (7 U.S.C. 3121), 7 U.S.C 3121.

**OBJECTIVES:**

To establish a competitive grants program to provide funding for technology development, applied research, and training to aid in the development of an agriculture-based renewable energy workforce.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants

**USES AND USE RESTRICTIONS:**

In General:

In carrying out this section, the Secretary shall establish a program to make grant funds available for approved technology development, applied research, and training to aid in the development of an agriculture-based renewable energy workforce. Grant funds must be used for allowable costs necessary to conduct the program. The initiative shall support the following fields:

- (A) bioenergy;
- (B) pulp and paper manufacturing; and
- (C) agriculture-based renewable energy resources.

Grant Priority:

In providing grants under this section, the Secretary shall give preference to eligible entities working in partnership

- (1) to improve information-sharing capacity; and
- (2) to maximize the ability to meet the following requirements for funding delineated in (A), (B) and (C) of Section :081 below. Pursuant to Section 7132 of the Food, Conservation, and Energy Act of 2008 (FCEA) (P.L. 110-246), indirect costs are limited to 22 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 22 percent of total Federal funds awarded.

Indirect costs for Conference/Planning grants are not allowed. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by either: (1) public or private nonprofit community colleges, or (2) advanced technological centers. Must see RFA (Part III.A) for specific eligibility requirements.

**Beneficiary Eligibility:**

Applications may be submitted by either: (1) public or private nonprofit community colleges, or (2) advanced technological centers. Must see RFA (Part III.A) for specific eligibility requirements.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. 091 Preapplication Coordination:

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information:  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

:092 Application Procedure:

Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform

Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

Priority: In providing grants under this section, the Secretary shall give preference to eligible entities: (1) to improve information-sharing capacity; and (2) to maximize the ability to meet the requirements as delineated in (A), (B) and (C) of Section :081 above.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$808,160; FY 12 est \$0; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislatively authorized set-asides deducted as appropriate, and in some cases the availability of obligation authority from prior years.

Effective Fiscal Year 2012, this program is no longer being funded.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$ 808,160 was available for project grant awards after subtracting administrative costs.

A total of 12 applications requesting a total of \$2,217,422 were received in this years competition. In June 2011, a six-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funded projects should address one or more of the following RTP Project Issues:

- (a) Bio-energy,
- (b) Pulp and paper manufacturing, or
- (c) Agriculture- based renewable energy.

A funded project must be aligned with one or more of the five NIFA Priority Areas:

- a. Global Food Security and Hunger
- b. Climate Change
- c. Sustainable Energy
- d. Childhood Obesity
- e. Food Safety

A funded project is also required to advance the two RTP Program Goals;  
a. To increase the number of students encouraged to pursue and complete a two (2) year postsecondary degree, or a certificate of completion, within an occupational focus of this grant program; and  
b. To assist rural communities to develop a viable workforce for bioenergy, pulp and paper manufacturing, or agriculture-based renewable energy by helping students achieve their career goals. Fiscal Year 2012: For the FY 2012 award cycle, no funds were available. Congress did not fund the grant program for this fiscal year. Fiscal Year 2013: Funding is not anticipated for FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations and 7 CFR Part 3021, Government wide Requirements for Drug-Free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: 202-720-2324 Fax: 202-720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

10.217 Higher Education Challenge Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Establish a consortium with First Quality of Anderson, SC, and Abitibi Bowater of Catawba, SC, to meet the growing demand for skilled workers, specifically in the pulp and paper industry, in their respective rural service areas. The consortium will accomplish this by developing innovative programs to meet the new technological requirements of a paper manufacturing workforce that will expand the global competitiveness of these two rural-based companies, contribute toward the economic development of the distressed region, and advance the quality of applied research in this area. Specifically, this collaboration will create customized pulp and paper manufacturing technology hybrid curriculum to a) support the creation of a highly skilled workforce for pulp and paper manufacturing and bio-energy and b) improve information-sharing capacity in this subject area, a NIFA priority for these rural communities; thus, advancing both the industry and the economy simultaneously.

The creation of a pulp and paper training program to address the apparent that gaps exist within an existing program and the expressed needs and priorities of the pulp and paper industries in the surrounding communities in the northeast region of Minnesota. The gap analysis speaks to the need for advancing the training and knowledge amongst current and future worker-learners with regards renewable energy and pulp and paper manufacturing. In addition, there is a need to advance the current curriculum delivery system for maximum access and capture the experience of a retiree workforce by training them as instructors. The project audience will be prospective traditional and non-traditional students for the pulp and paper technology program at a local community college, employers and incumbent workers for the pulp and paper industry, and retiree employees interesting in teaching the necessary skills required for this program.

Development of an associate degree and certificate program that can be replicated across those regions of the country where bioenergy technologies have been adopted by businesses and organizations, thus having an impact on local and state economies across the country. The primary audience for this initiative will include traditional students entering postsecondary education



upon high school graduation and/or non-traditional students who seek a change in career or occupation. Initially, emphasis will center on recruiting and enrolling a minimum of 40 individuals from the aforementioned populations into an associate degree or credit certificate program. To support the growth and expansion of the program over time, outreach materials will be developed to provide professional development opportunities targeted towards secondary educators. The curriculum development processes will include other institutions either with existing bioenergy educational programs or those who aspire to create such a program. A curriculum development ideation workshop will be conducted to involve relevant educational institutions and members of the bioenergy industry in better defining the needs of a robust educational program. Fiscal Year 2012: N/A Not funded by Congress. Fiscal Year 2013: Funding is not anticipated for FY 2013.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

#### **10.315 TRADE ADJUSTMENT ASSISTANCE FOR FARMERS TRAINING COORDINATION PROGRAM (TAAF)**

Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF)

#### **FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

#### **AUTHORIZATION:**

Subtitle C of Title 1 of the Trade Adjustment Assistance Reform Act of 2002 (Public Law 107-210), amended the Trade Act of 1974 (Public Law 93-618) establishing the Trade Adjustment Assistance for Farmers (TAAF) program. The American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) reauthorizes and amends the TAAF Program to provide both technical assistance and cash benefits to eligible producers of raw agricultural commodities and fishermen impacted by increased imports contributing to a specific decrease in the national average price, or quantity of production, or value of production of, or cash receipts for the agricultural commodity or fishery products compared to the average of the three (3) preceding marketing years. ARRA amendments to the TAAF program add certain classes of fisherman, increase the reporting requirements and overall transparency of the program, clarify eligibility determinations and associated processes, and clarify the roles and responsibilities of the applicants and the Federal partners., Public Law 107-210.

#### **OBJECTIVES:**

The purpose of the TAAF program is to provide U.S. agricultural producers whose commodities have been certified as affected by imports, and who have been approved through individual application, with the knowledge, skills and tools needed to make adjustments to their operations, business plans, marketing plans for their operations, with the goal of enhancing farm profitability and ability to adjust to imports. Producers of commodities certified by the USDA Foreign Agricultural Service (FAS) and who meet the eligibility requirements by USDA Farm Service Agency (FSA) are eligible for TAAF program participation.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

General Uses:

Through this RFA NIFA requests applications for the TAAF Training Coordination Program to establish a National TAAF Training Coordination Center responsible for the development and delivery of training and technical assistance to TAAF-eligible producers for business planning, diversification of enterprises, marketing, and other beneficial subjects as needed to aid producers in adjusting to the impact of imported commodities. The National TAAF Training Coordination Center will design and administer the training requirements of TAAF, develop communications regarding TAAF training and technical assistance, and comply with reporting requirements as described under Part I(B) and in Part VI(D). The successful National TAAF Training Coordination Program applicant will enter into a cooperative agreement with NIFA for establishment of the National TAAF Training Coordination Center to coordinate and implement the training and technical assistance component of

the TAAF program under section 296(b) of the Trade Act of 1974 (19 U.S.C. 2401e). Please be advised that the following components of the TAAF program will be administered by FAS/FSA: certification of agricultural commodities eligibility certifications, approval of applications for cash benefits, and payments to implement business plans.

FAS, NIFA, FSA, and the Agricultural Marketing Service (AMS) will all be involved in the TAAF outreach effort. FAS has established a website for TAAF which is now linked to USDA, FSA, NIFA, AMS websites and can be found at: <http://www.fas.usda.gov/ITP/TAA/taa.asp>. Implementing regulations governing the TAAF program (including specific requirements for the provision of training and technical assistance) are expected to be published shortly in the Federal Register (as a Final Rule).

Applicants to the National TAAF Training Coordination Program must show their capacity to provide TAAF program coordination and training as described below:

#### 1. Coordination of TAAF

Awardee will establish a National TAAF Training Coordination Center The National TAAF Training Coordination Center will:

- o Develop rapid response implementation procedures for TAAF training and associated reporting activities;
- o Contract with or make grants to state Cooperative Extension services or other qualified provider(s) to deliver TAAF training and technical assistance to TAAF-eligible producers;
- o Conduct regional training workshops for TAAF trainers on existing or emerging TAAF topics;
- o Develop a National and regional outreach and communication plan in concert with relevant agencies of the Department of Agriculture to promote the TAAF program;
- o Provide effective TAAF communication at intra- and inter-regional and National levels, including use of media outlets and the distribution of TAAF materials;
- o Provide a National one-stop source of TAAF information (National TAAF Training Coordination Center website).
- o Coordinate with and report to CSREES, and report training activities and performance measures into associated ARRA data management systems (as described in Part VI. (D));

#### 2. Training and Technical Assistance for TAAF

Provide Initial Technical Assistance Training that will:

- o Help TAAF-eligible producers improve their yield and marketing of certified agricultural commodities; and/or
- o Enhance the feasibility and desirability of initiating production of one or more alternative agricultural commodities in exchange for agricultural commodities certified as eligible for TAAF.

Provide Intensive Technical Assistance Training that includes:

- o A series of courses to further assist TAAF-eligible producers in improving their competitiveness producing certified agricultural commodities with respect to which the producer was certified under this chapter; or one or more alternative agricultural commodities;
- o Assistance to TAAF-eligible producers with developing an initial business plan based on the initial technical assistance training that can be approved in accordance with the requirements that will be set out in 7 CFR 1580.32. An approved plan must reflect the skills gained by the producer through the intensive technical assistance courses, and demonstrate how the producer will apply those skills to make adjustments to its business and marketing plans and operations with the goal of enhancing its farm profitability and ability to adjust to imports; and
- o Assistance in developing a long-term business adjustment plan that meets regulatory requirements and includes steps to materially contribute to the economic adjustment of producers to changing market conditions, while taking into consideration the interests of the workers employed by the producer and demonstrating that the producer will have sufficient resources to implement the business plan. Indirect costs may not exceed ten percent (10%) of the total

Federal funds provided under this award (TFFA).

The recovery of indirect costs on the cooperative agreement made by NIFA under this program, as well as subawards may not exceed the lesser of the institutions official negotiated indirect cost rate or the equivalent of 10 percent (10%) of total Federal funds awarded.

NIFA has determined that funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

**Applicant Eligibility:**

Applications may be submitted by organizations and institutions that are part of the Land Grant system and/or State Cooperative Extension services.

**Beneficiary Eligibility:**

Applications may be submitted by organizations and institutions that are part of the Land Grant system and/or State Cooperative Extension services.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program, and matching resources will not be factored into the review process as evaluation criteria.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Three (3) year project period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at:

<http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

Successful applicants will be responsible for reporting to NIFA, and reporting activities into associated ARRA data management systems.

NIFA Reports:

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

ARRA Reports:

Funds awarded pursuant to this RFA were made available by section 1887 of the American Recovery and Reinvestment Tax Act of 2009 (Div. B of ARRA). Specific reporting requirements under ARRA will be identified in the Terms and Conditions of the Award.

1. Award Level Transaction Data Feed Awardees are required to submit bimonthly reports to NIFA detailing funds distribution as technical training assistance is initiated (this information ultimately feeds to the [USA Spending.gov](http://USA Spending.gov)).

Report frequency is currently bimonthly, however the frequency of report transmissions may change to be required weekly within the terms of the award. Detailed information can be at the OMB website at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-15.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-15.pdf) or via the direct link for OMB Guidance: M-09-15).

PLEASE NOTE: These reports are made to NIFA by the awardee as agreed to in the Terms and Conditions of the award.

2. Funding Notifications This is a cumulative report that is to be completed immediately upon release of any type of public notification (local, regional, or National) including: press releases, significant web updates, public presentations that refer to TAAF, TAAF training opportunity announcements, and any other public sharing of information related to the use of ARRA funds. Detailed information can be at the OMB website at:

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Quarterly Recipient Reporting Beginning October 1, 2009, this reporting is mandated in 1512 of the ARRA. Detailed information can be at the OMB website at: [http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544) or via the direct link for OMB Guidance: M-09-21. A centralized reporting tool is being implemented to facilitate and ease the reporting process. Section 1512 reporting requirements were further elucidated by OMB Webinars presented during the week of July 20, 2009 (archived on the OMB Webinar website).

The initial report deadline is October 10, 2009 and will recur quarterly for the duration of the award. Data validation is performed by FAS. Any corrections will be returned to the awardee and must be addressed during the last week of the month in which they were returned. The final draft of each report will be moved to Recovery.gov on the last day of the report month.

PLEASE NOTE: These reports are made to [www.FederalReporting.Gov](http://www.FederalReporting.Gov) by the TAAF Training Coordination Program awardee as agreed to in the Terms and Conditions of the award.

### 3. Performance Measures:

The measures have been revised to enrich the performance metrics for Recovery targets. In some instances, targets will not be available until additional baseline data has been collected. Please refer to Performance Measures published on the Recovery.gov for the FAS TAAF Recovery Plan which are available via the direct link or at the following website:

TAAF Performance Measures or  
[http://www.recovery.gov/?q=content/program-plan&program\\_id=7544](http://www.recovery.gov/?q=content/program-plan&program_id=7544)

A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. NIFA uses the SF-425, Federal Financial Report to monitor cash. Funded projects will be expected to verify program accomplishments. Detailed information on the performance measures for TAAF can be found on the OMB website at: <http://www.whitehouse.gov/omb/expectmore/detail/10003023.2006.html#performanceMeasures>.

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Telephone: (202) 401-4986.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

### Records:

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

### Account Identification:

12-1408-0-1-352.

### Obligations:

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

### Range and Average of Financial Assistance:

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2011: The purpose of the Trade Adjustment Assistance for Farmers program is to provide eligible U.S. farmers, ranchers, fishers who have been adversely affected by imports with the knowledge, skills and tools needed to make adjustments to their operations, thereby enhancing their business profitability and resilience to import competition. Producers of commodities certified by the USDA Foreign Agricultural Service (FAS) and who meet the eligibility requirements in application to the USDA Farm Service Agency (FSA) are eligible for TAAF training and technical assistance, as well as a pro-rated cash benefit to implement short- and long-term business adjustment plans.

NIFA administers the competitive award which established the National TAAF Training Coordination Center (TAAF Center). This multiyear award went to the Center for Farm Financial Management at the University of Minnesota. The TAAF Center is responsible for the development and delivery of training and technical assistance to TAAF-eligible producers. NIFA also provides management oversight through the TAAF Center, the Extension Risk Management Education regional centers, and local Extension partners who provide all training and technical assistance, including business planning for production efficiency, enterprise diversification, and marketing, as well as other beneficial subjects as needed to aid producers in adjusting to the impact of imported commodities.

The TAAF Center employed a rapid response approach to program delivery by partnering with the four regional Extension Risk Management Education Centers and establishing a network of TAAF contacts in every state. This partnership and network mobilized to quickly deliver initial training and technical assistance in every state when commodities were approved. The TAAF Center developed the infrastructure and delivery procedures to effectively deliver all four phases of training and technical assistance, including the initial orientation, intensive technical assistance workshops, training on initial business plans, and individualized instruction and consultation for development of each producer's long-term business adjustment plan. The training has focused on improving yield and marketing of the impacted commodity; evaluating the feasibility of substituting the production of alternative commodities for the impacted commodity; and writing initial business plans and long-term business adjustment plans that document the steps the business will implement to adjust to import competitions. The TAAF Center also developed an online reporting database to track all activities and accomplishments of this training and technical assistance to fully comply with the reporting requirements of the ARRA. The TAAF Center has been integral to USDA efforts to promote the availability of TAAF to commodity organizations and producers.

Six commodities have been certified for TAA for Farmers eligibility: asparagus, catfish, and shrimp in the 2010 petition application year, and shrimp, lobster, and wild blueberries in the 2011 petition application year. The program received 4,289 producer applications in 2010 and 5,994 producer applications in 2011. Fiscal Year 2012: Nearly all program participants have completed the initial orientation, and most have completed the requisite 12 hours of specialized training and their initial business plans. Indeed, some participants have found the training so beneficial that they have taken 30 hours or more of training. Initial payments are now flowing from the Farm Service Agency so these farmers and fishers can implement their short-term business plan as they proceed to develop their long-range business plan with the assistance of a personally-assigned Business Planning Consultant. Many participants are now

in this final phase of the program, and a significant number have completed all program components and await their final FSA payment to implement their long-term business adjustment plans. Fiscal Year 2013: As of June, 2012, 5,732 participants had completed their Long-Term Business Adjustment Plans, while 4,108 participants are still engaged in the programs final phases. Of this 4,108, those yet to complete all 12 hours of intensive training number 1,719, those yet to complete their initial business plan number 167, and those currently working to complete their long-term business adjustment plan number 2,222.

Participants approved for the program in the first round of applications have until June 24, 2013, while those approved in the second round have until September 23, 2012 to complete all phases of the program in order to qualify their final FSA payment to implement their long-term business adjustment plans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug-Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Family and Consumer Sciences, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-4795 Fax: (202) 720-9366

**Website Address:**

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

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Not Applicable. CFDA 10.315 funded the National TAA for Farmers Training Coordination Center. This Center does not fund projects, but rather provides training and technical assistance through subcontracts with 4 Regional Risk Management Education Centers and Cooperative Extension, plus invoiced expenses from Business Planning Consultants. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.316 HEALTHY URBAN FOOD ENTERPRISE DEVELOPMENT CENTER (HUFED)**

HUFED

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 25 of the Food Stamp Act of 1977 (7 U.S.C. 2034), as amended by the Food and Nutrition Act of 2008 and Section 4402 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246), Section (h) (9) (A). , 7 U.S.C 2034.

**OBJECTIVES:**

To establish a competitive grants program to support a Healthy Urban Food Enterprise Development Center to increase access to healthy affordable foods, including locally produced agricultural products, to underserved communities. The purpose of the Center is to increase access to healthy affordable foods, including locally produced agricultural products, to underserved communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Secretary shall offer to provide a grant to a nonprofit organization to establish and support a healthy urban food enterprise development center to carry out the purpose described in Section :050 - Objectives.

Assistance will be provided to support a community food project. The term community food project means a community-based project that- (A) requires a 1-time contribution of Federal assistance to become self-sustaining; and H. R. 6124247

(B) is designed

- (i)(I) to meet the food needs of low-income individuals;
- (II) to increase the self-reliance of communities in providing for the food needs of the communities; and
- (III) to promote comprehensive responses to local food, farm, and nutrition issues; or
- (ii) to meet specific State, local, or neighborhood food and agricultural needs, including needs relating to
  - (I) infrastructure improvement and development;
  - (II) planning for long-term solutions; or
  - (III) the creation of innovative marketing activities that mutually benefit agricultural producers and low-income consumers.

The term Center means the healthy urban food enterprise development center established under Section :050 - Objectives.

The term underserved community means a community (including an urban or rural community or an Indian tribe) that, as determined by the Secretary, has (A) limited access to affordable, healthy foods, including fresh fruits and vegetables; (B) a high incidence of a diet-related disease (including obesity) as compared to the national average; (C) a high rate of hunger or food insecurity; or (D) severe or persistent poverty.

**ACTIVITIES**

**TECHNICAL ASSISTANCE AND INFORMATION:**

The Center shall collect, develop, and provide technical assistance and information to small and medium-sized agricultural producers, food wholesalers and retailers, schools, and other individuals and entities regarding best practices and the availability of assistance for aggregating, storing, H. R. 6124248 processing, and marketing locally produced agricultural products and increasing the availability of such products in underserved communities.

**AUTHORITY TO SUBGRANT:**

The Center may provide subgrants to eligible entities

- (i) to carry out feasibility studies to establish businesses for the purpose described in Section :050 - Objectives; and
- (ii) to establish and otherwise assist enterprises that process, distribute, aggregate, store, and market healthy affordable foods.

**Grant Priority:**

In providing technical assistance and grants under the Activities section above, the Center shall give priority to applications that include projects (A) to benefit underserved communities; and

(B) to develop market opportunities for small and mid-sized farm and ranch operations. **LIMITATION ON ADMINISTRATIVE EXPENSES.**

Not more than 10 percent of the total amount allocated for this subsection in a given fiscal year may be used for administrative expenses.

If available, the current rate negotiated with the cognizant Federal negotiating agency should be used. Indirect costs may not exceed the negotiated rate. If a negotiated rate is used, the percentage and base should be indicated. If no rate has been established the applicant may indicate "Nonewill negotiate" and a reasonable dollar amount for indirect costs may be requested, which will be subject to approval by USDA. In the latter case, if a proposal is recommended for funding, an indirect cost rate proposal must be submitted prior to award to support the amount of indirect costs requested. NIFA will request an indirect cost rate proposal and provide instructions, as necessary.

An applicant may elect not to charge indirect costs and, instead, use all grant funds for direct costs.

**Applicant Eligibility:**

Nonprofit organizations are eligible to apply for and receive awards under the HUFED Center authority (7 U.S.C. 2034 (h)(2)).

**Beneficiary Eligibility:**

Nonprofit organizations are eligible to apply for and receive awards under the HUFED Center authority (7 U.S.C. 2034 (h)(2)).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Priority:**

In providing technical assistance and grants under Section :070 - Activities, the Center shall give priority to applications that include projects (A) to benefit underserved communities; and (B) to develop market opportunities for small and mid-sized farm and ranch operations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

If applicable, information regarding renewals will be announced in the Request for Applications (RFA) each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed three (3) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

For each fiscal year for which the nonprofit organization described in Section :070 above receives funds, the organization shall submit to the Secretary a report describing the activities carried out in the preceding fiscal year, including (A) a description of technical assistance provided by the Center; (B) the total number and a description of the subgrants provided under Section :070 above; (C) a complete listing of cases in which the activities of the Center have resulted in increased access to healthy, affordable foods, such as fresh fruit and vegetables, particularly for school-aged children and individuals in low-income communities; and (D) a determination of whether the activities identified in subparagraph (C) (above) are sustained during the years following the initial provision of technical assistance and subgrants under this section. NIFA uses the SF-425, Federal Financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

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

Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$900,000; FY 12 est \$0; and FY 13 est \$0 - This program is no longer being funded.

**(A) IN GENERAL:**

Out of any funds in the Treasury not otherwise appropriated, the Secretary of the Treasury shall transfer to the Secretary to carry out this subsection \$1,000,000 for each of fiscal years 2009 through 2011.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or RFA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A project was awarded to develop and operate the HUFED Center in 2009.

The Center's goals are to develop socially and economically equitable access to healthy foods in communities with healthy food deficits; to support small- and mid-sized producers; to promote and support market-based enterprises with high likelihoods of addressing structural deficits in the food distribution system; and to document the strategies used to accomplish these results to enable communities nationwide to effectively adapt or replicate the strategies to meet similar needs. Fiscal Year 2012: The Consolidated and Further Continuing Appropriations Act, Public Law 112-55, did not provide funding for the HUFED program in FY 2012; therefore, NIFA did not offer the funding opportunity this fiscal year. (Per NIFAs website - <http://www.nifa.usda.gov/fo/healthyurbanfoodenterprisedevelopmentcenter.cfm> ). Fiscal Year 2013: HUFED is neither in NIFAs budget, nor the presidents budget for FY 13. Hence, future funding for this program is not anticipated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Grant Programs General Grant Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement); 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Safety and Nutrition, Division of Nutrition, 1400 Independence Avenue, SW., STOP 2225, Washington, District of Columbia 20250-2225 Phone: (202) 401-2138 Fax: (202) 401-6488

**Website Address:**

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

**RELATED PROGRAMS:**

10.225 Community Food Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: There is a sole awardee for the HUFED Center. The Center awards sub-grants, provides technical assistance and capacity building, and is growing a network designed to increase overall effectiveness and ensure sustainability. Fiscal Year 2012: The Consolidated and Further Continuing Appropriations Act, Public Law 112-55, did not provide funding for the HUFED program in FY 2012; therefore, NIFA did not offer the funding opportunity this fiscal year. (Per NIFAs website - <http://www.nifa.usda.gov/fo/healthyurbanfoodenterprisedevelopmentcenter.cfm> ). Fiscal Year 2013: HUFED is neither in NIFAs budget, nor the presidents budget for FY 13. Hence, future funding for this program is not anticipated.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.317 FOOD AID NUTRITION ENHANCEMENT PROGRAM**

FANEP

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Subtitle K of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3319e), 7 U.S.C 3319e.

**OBJECTIVES:**

To develop and field test new food products designed to improve the nutritional delivery of humanitarian food assistance provided through the McGovern Dole (section 3107 of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 1736o-1)) and the Food for Peace title II (7 U.S.C. 1691 et seq.) programs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The Secretary may award competitive grants for collaborative projects that are mutually beneficial to the United States and other countries and encourage private sector involvement. Fully discretionary.

**Applicant Eligibility:**

081 Applicant Eligibility: To receive funding under this section, an entity shall be

- 1) State agricultural experiment stations; (2) colleges and universities; (3) university research foundations; (4) other research institutions and organizations; (5) Federal agencies, (6) national laboratories; (7) private organizations or corporations; (8) individuals who are U.S. citizens or permanent residents; and (9) any group consisting of 2 or more entities identified in (1) through (8) (as defined in section 1472(c) of NARETPA). Eligible institutions do not include foreign and international organizations.

**Beneficiary Eligibility:**

081 Applicant Eligibility: To receive funding under this section, an entity shall be

- 1) State agricultural experiment stations; (2) colleges and universities; (3) university research foundations; (4) other research institutions and organizations; (5) Federal agencies, (6) national laboratories; (7) private organizations or corporations; (8) individuals who are U.S. citizens or permanent residents; and (9) any group consisting of 2 or more entities identified in (1) through (8) (as defined in section 1472(c) of NARETPA). Eligible institutions do not include foreign and international organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.



**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
  - (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
  - (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
  - (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
  - (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
  - (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.
- Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: lump sum.

**Reports:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. Cash reports are not applicable.

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)

Office of Grants and Financial Management (OGFM)

National Institute of Food and Agriculture (NIFA)

U.S. Department of Agriculture (USDA)

STOP 2271

1400 Independence Avenue, SW

Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)) grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-0-352.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Competitive Programs, 1400 Independence Avenue, SW, STOP 2251, Washington, District of Columbia 20024 Phone: (202) 720-1973.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.318 WOMEN AND MINORITIES IN SCIENCE, TECHNOLOGY, ENGINEERING, AND**

WAMS; Women and Minorities in Science, Technology, Engineering, and Mathematics Fields (STEM) program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 7204 of the Food Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246) amends section 1672 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACT) (7 U.S.C. 5925) to authorize the Secretary of Agriculture to make competitive grants to support research and extension activities. The Secretary shall make these grants in consultation with the National Agricultural Research, Extension, and Education, and Economics Advisory Board.

**OBJECTIVES:**

The Women and Minorities (WAMS) in Science, Technology, Engineering and Mathematics (STEM) Fields program was authorized to increase participation by women and underrepresented minorities from rural areas in the fields of science, technology, engineering and mathematics, with priority given to eligible institutions that carry out continuing programs funded by the Secretary. The goal of the WAMS program is to develop and implement robust partnerships to increase the representation, participation, and entrepreneurship of women in STEM careers, thereby contributing to national economic prosperity. The purpose of the grant program is to support projects that: Provide STEM knowledge, skills and competency to Women and Minorities from Rural Areas with successful placement (a) in the workforce in STEM fields, or (b) as innovators and entrepreneurs adding value to the STEM fields in areas that have relevancy to the USDA Secretarys priorities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research and extension grants to increase participation by women and underrepresented minorities from rural areas in the fields of science, technology, engineering and mathematics, with priority given to eligible institutions that carry out continuing programs funded by the Secretary. Program funds may only be used for research and extension activities in the training, outreach and mentoring of rural women and underrepresented minorities from rural areas in STEM fields relevant to USDA mission.

Funds may not be used for any purposes other than those approved in the grant award documents.

Funds made available for grants in this program shall not be used for scholarship or fellowship purposes, the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (P.L. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded.

Special Note on Indirect Costs as in-kind matching contributions:

Indirect costs may be claimed under the Federal portion of the award budget or, alternatively, indirect costs may be claimed as a matching contribution (if no indirect costs are requested under the Federal portion of the award budget). However, unless explicitly authorized in the RFA, indirect costs may not be

claimed on both the Federal portion of the award budget and as a matching contribution, unless the total claimed on both the Federal portion of the award budget and as a matching contribution does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. An awardee may split the allocation between the Federal and non-Federal portions of the budget only if the total amount of indirect costs charged to the project does not exceed the maximum allowed indirect costs or the institutions negotiated indirect cost rate, whichever is less. For example, if an awardees' indirect costs are capped at 30 percent pursuant to FY 2012 appropriated funds, Section 720 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012 (Division A of Pub. L. 112-55), the awardee may request 15 percent of the indirect costs on both the Federal portion of the award and as a matching contribution. Or, the awardee may request any similar percentage that, when combined, does not exceed the maximum indirect cost rate of 30 percent. Fully discretionary.

**Applicant Eligibility:**

State agricultural experiment stations; colleges and universities; university research foundations; other research institutions and organizations; Federal agencies; national laboratories; private organizations or corporations; individuals; or any group consisting of 2 or more of these entities.

**Beneficiary Eligibility:**

State agricultural experiment stations; colleges and universities; university research foundations; other research institutions and organizations; Federal agencies; national laboratories; private organizations or corporations; individuals; or any group consisting of 2 or more of these entities.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All RFAs are published on the Agencys website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the

Grants.gov website. Respective links are provided below:

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

<http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100%. Grant recipients are required to match the USDA funds awarded on dollar-for-dollar basis from non-Federal sources with cash and in-kind contributions.

NIFA may waive the matching funds requirement for a grant if NIFA determines that:

(a) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or

(b) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants under this program may not exceed 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

400 Independence Avenue, SW.  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

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

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$378,915; FY 12 est \$382,875; and FY 13 est \$381,700 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$378,915 was available for project grant awards after subtracting administrative costs.

A total of 11 applications requesting a total of \$1,968,106 were received in this years competition. In August 2011, a four-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Funded projects should address one or more of the following WAMS Grants Program Goals:

1. Develop successful academic recruitment and retention programs increasing the number of women and underrepresented minorities from rural areas who will pursue and complete a postsecondary degree in science, technology, engineering or mathematics (STEM) disciplines funded by the U.S Secretary of Agriculture, and for FY 2011, encourage projects focused on any of the five NIFA Challenge Areas listed in Part I, B;

2. Foster partnerships among academic institutions and employers that develop sustainable research or extension initiatives to increase the participation of women and underrepresented minorities from rural areas in experiential learning opportunities leading to STEM-related careers in disciplines funded by the U.S Secretary of Agriculture, and for FY 2011, encourage projects focused on any of the five NIFA Challenge Areas. Fiscal Year 2012: For the FY 2012 award cycle, \$382,875 was available for project grant awards after subtracting administrative costs.

A total of 14 applications requesting a total of \$696,668 were received in this years competition; however only four met the WAMS RFA requirements satisfactorily to be panel reviewed. In June 2012, a four-member peer review panel evaluated these applications. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace

(Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20024-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Increasing the successful placement of women and underrepresented minorities into higher education and the workforce in food and agriculture-related STEM fields; increase their involvement as innovators and entrepreneurs adding value to those fields in addressing modern challenges; and to contribute to the development of sustainable and renewable energy for the future of the State of Hawaii and the world. The project will engage the interest of secondary and post-secondary students in the real-world challenges of sustainable energy, current STEM-related career opportunities in food and agricultural sciences, and related education.

Creation of a mentored Transfer Student BRIDGE program for women and underrepresented minority students. This includes an opportunity to experience campus and work on research with faculty members before transferring into the College of Agriculture. It is a chance to participate in individualized and group e-mentoring programs throughout the remainder of their undergraduate program and to be successfully placed in the STEM workforce. Fiscal Year 2012: Pertinent data to be provided by Program at a future date. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.319 FARM BUSINESS MANAGEMENT AND BENCHMARKING COMPETITIVE GRANTS PROGRAM**

FBMB Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 1672D of the Food, Agriculture, Conservation and Trade Act of 1990 (7 U.S.C. 5925f).

**OBJECTIVES:**

To establish a competitive research and extension grants program for the purpose of: (1) improving the farm management knowledge and skills of agricultural producers; and (2) establishing and maintaining a national, publicly available farm financial management database to support improved farm management.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

In general:

The Secretary may make competitive research and extension grants for the purpose of:

(1) improving the farm management knowledge and skills of agricultural producers;

and

(2) establishing and maintaining a national, publicly available farm financial management database to support improved farm management.

Selection criteria:

In allocating funds made available to carry out this section, the Secretary may

give priority to grants that:

(1) demonstrate an ability to work directly with agricultural producers;

(2) collaborate with farm management and producer associations;

(3) address the farm management needs of a variety of crops and regions of the United

States; and

(4) use and support the national farm financial management database.

Administration:

Paragraphs (4), (7), (8), and (11)(B) of subsection (b) of section 450i of this title shall apply with respect to the making of grants under this section.

Authorization of appropriations:

There are authorized to be appropriated such sums as are necessary to carry out this section. NIFA has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

Applications may be submitted by qualified public and private entities.

Pursuant to 7 U.S.C. 450i(7), this includes:

(A) State agricultural experiment stations;

(B) colleges and universities;

(C) university research foundations;

(D) other research institutions and organizations;

(E) Federal agencies;

(F) national laboratories;

(G) private organizations or corporations;

(H) individuals; or

(I) any group consisting of 2 or more of the entities described in subparagraphs

(A) through (H).

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. An applicants failure to meet an eligibility criterion by the time of an application deadline may result in the application being excluded from consideration or, even though an application may be reviewed, will preclude NIFA from making an award.

**Beneficiary Eligibility:**

Applications may be submitted by qualified public and private entities.

Pursuant to 7 U.S.C. 450i(7), this includes:

(A) State agricultural experiment stations;

(B) colleges and universities;

(C) university research foundations;

(D) other research institutions and organizations;

(E) Federal agencies;

(F) national laboratories;

(G) private organizations or corporations;

(H) individuals; or

(I) any group consisting of 2 or more of the entities described in subparagraphs

(A) through (H).

Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project. An applicants failure to meet an eligibility criterion by the time of an application deadline may result in the application being excluded from consideration or, even though an application may be reviewed, will preclude NIFA from making

an award.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

:094 Deadlines:

Dates for specific deadlines are announced in the RFA each fiscal year.

Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>

<http://www.grants.gov>

:095 Range of Approval/Disapproval Time:

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching or cost sharing support for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. NIFA uses the SF-425, Federal financial Report to monitor cash. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$1,437,120; FY 12 est \$1,355,808; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

NOTE: Funding of this program is not anticipated beyond FY '12.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Review Background:

The amount available for support of this program in FY 2011 was approximately 1.4 million. After subtracting business cost an estimated amount of 1.398 million was awarded.

Twelve proposals were submitted. Six proposals were not accepted in GAC. All six were incomplete.

Six proposals were reviewed and ranked by six panel reviewers. Three programs received low scores and were not considered for funding. Three programs were considered for funding. Two programs needing minor changes and one program was recommended for funding as is. The Panel accepted two of these three programs to receive funding. Fiscal Year 2012: NIFA announced the availability of grant funds and requests applications for the Farm Business Management and Benchmarking (FBMB) Competitive Grants Program for fiscal year (FY) 2012 to improve the farm management knowledge and skills of agricultural producers; and maintain a national, publicly available farm financial management database to support improved farm management. The amount available for support of this program in FY 2012 is approximately \$1.3 million. Grant deadline was June 15, 2012. Eight proposals will be reviewed by reviewers of a panel in August 2012. Fiscal Year 2013: It is estimated that \$1.4 million will be available. Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Family and Consumer Sciences, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-4795 Fax: (202) 720-9366

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This project will maintain and expand the national, publicly available online farm financial database that any U.S. producer can use for

benchmarking and improving their farm management. It will improve the profitability and competitiveness of small and mid-sized U.S. farms and ranches by developing and providing benchmarking resources using high-quality farm financial management data. To develop and expand this database, increased collaboration between existing state-level farm management associations and farm and ranch business management education programs will be facilitated. Benchmarking is an important and growing tool used to improve producer's abilities to successfully manage the high risk and price volatility currently being experienced by farmers and ranchers throughout the U.S. This project will provide benchmarking capabilities to help producers manage risk, volatility and financial stress. Numerous researchers have indicated a desire to use the national farm financial benchmarking database to conduct research on cost of production, key determinants of farm profitability, and analyses of farm policy proposals. In conjunction with the national database, this project will develop a statistical tool that will allow researchers to conduct research without compromising the confidentiality of individual producer data. Benchmarking allows producers to compare their performance to farms and ranches of similar size that produce the same products. The benchmarking database helps producers identify their businesses strengths and weaknesses. The national database will be publicly available to all U.S. producers. Use of the database for benchmarking will improve producers' abilities to successfully manage risk and financial challenges and to become more globally competitive. Fiscal Year 2012: Pertinent data to be provided by Program at a future date. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.320 SUN GRANT PROGRAM**

Sun Grant Program

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

The Sun Grant Program, was originally established in section 778 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2004 (Public Law 108-199), which amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) adding section 9011, entitled the Sun Grant Research Initiative Act of 2003. Section 7526 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8114) establishes the Sun Grant Program, replacing the Sun Grant Research Initiative Act of 2003. Authority for the Sun Grant Program is delegated to the National Institute of Food and Agriculture in title 7 Part 2.66 subpart (a) section (153) of the Code of Federal Regulations.

**OBJECTIVES:**

This program responds to the need to enhance national energy security with biobased energy technology; promote diversification and environmental sustainability through biobased technology; promote economic diversification in the rural U.S. through biobased technology; and enhance the efficiency of biobased technology research and development (R&D) through collaborations among USDA; Department of Energy (DOE); and Land Grant Institutions.

Grants will be awarded to the sun grant centers and subcenter for the purposes of carrying out a competitive grants program and to conduct multi-institutional and multistate research, extension, and education programs on technology development; and integrated research, extension, and education programs on technology implementation.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Sun Grant Program was established to:

- (1) Enhance national energy security with biobased energy tech;
- (2) Promote diversification and environmental sustainability through biobased tech;
- (3) Promote economic diversification in the rural US through biobased technology; and

(4) Enhance the efficiency of biobased technology R&D through collaborations among the United States Department of Agriculture, Department of Energy, and Land Grant Institutions.

A Sun Grant Center or Subcenter shall use 75 percent of the funds to provide competitive grants to entities that are

(i) eligible to receive grants under subsection (b)(7) of the Competitive, Special, and Facilities Research Grant Act (7 U.S.C. 450i(b)(7)); and  
(ii) located in the region covered by the Sun Grant Center or Subcenter. Grant funds must be used for allowable costs necessary to conduct approved research and extension objectives. Funds shall not be used for the construction of a new building or facility or the acquisition, expansion, remodeling, or alteration of an existing building or facility (including site grading and improvement, and architect fees).

Funds may not be used for any purposes other than those approved in the grant award documents.

See FY '10 Request for Application (RFA) for specific details regarding indirect costs and matching requirements. Fully discretionary.

**Applicant Eligibility:**

Only the Sun Grant Centers and Subcenter as specifically designated in 7 U.S.C. 8114 are eligible to apply for funding under this program.

**Beneficiary Eligibility:**

Only the Sun Grant Centers and Subcenter as specifically designated in 7 U.S.C. 8114 are eligible to apply for funding under this program.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Preapplication coordination is not applicable.

**Award Procedure:**

All RFAs are published on the Agencies website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This program is excluded from coverage under E.O. 12372. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov. Proposals submitted by Sun Grant Centers or the Subcenter are reviewed by a panel of qualified NIFA scientists and appropriate persons in accordance with the provisions of 7 U.S.C. 8114. Proposals are funded to the extent permitted by available funds on the basis of merit and compliance with provisions found in applicable legislation and regulations. Competitive grant applications awarded by the Sun Grant Centers or the Subcenter are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or

forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the solicitation available from the Sun Grant Centers or the Subcenter.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Funds allocated for competitive grants must be matched in an amount of 20 percent from non-Federal sources by all subawardees. Matching requirements do not apply to fundamental research. Additionally, the Sun Grant Center or Subcenter may reduce or eliminate the requirement for non-Federal funds for applied research if the Sun Grant Center or Subcenter determines that the reduction is necessary and appropriate pursuant to specific guidance issued by NIFA. Specific matching provisions are announced in the request for applications or guidelines for each fiscal year. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of project grants and/or cooperative agreements under this program may not exceed 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Pursuant to 7 U.S.C. 8114, not later than 90 days after the end of each fiscal year, a Sun Grant Center or Subcenter receiving a grant shall submit to NIFA a report that describes the policies, priorities, and operations of the program carried out by the center or Subcenter during the fiscal year, including (1) the results of all peer and merit review procedures conducted in association with the 75 percent of funds designated for competitive grants in 7 U.S.C. 8114; and (2) a description of progress made in facilitating the priorities planned for addressing the bioenergy, biomass, and gasification research priorities of the Department of Agriculture and the Department of Energy at the State and regional levels. The plan must be jointly developed in cooperation with land-grant colleges and universities and private industry. NIFA uses the SF-425, Federal financial Report to monitor cash. These are required on a quarterly basis and due within 30 days after the close of each quarter. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Pursuant to 7 U.S.C. 8114, not later than 90 days after the end of each fiscal year, a Sun Grant Center or Subcenter receiving a grant shall submit to NIFA a report that describes the policies, priorities, and operations of the program

carried out by the center or Subcenter during the fiscal year, including (1) the results of all peer and merit review procedures conducted in association with the 75% of funds designated for competitive grants in 7 USC 8114; and (2) a description of progress made in facilitating the priorities planned for addressing the bioenergy, biomass, and gasification research priorities of the Department of Agriculture and the Department of Energy at the State and regional levels. The plan must be jointly developed in cooperation with land-grant colleges and universities and private industry. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

Pursuant to 7 U.S.C. 8114, not later than 90 days after the end of each fiscal year, a Sun Grant Center or Subcenter receiving a grant shall submit to NIFA a report that describes the policies, priorities, and operations of the program carried out by the center or Subcenter during the fiscal year, including (1) the results of all peer and merit review procedures conducted in association with the 75 percent of funds designated for competitive grants in 7 U.S.C. 8114; and (2) a description of progress made in facilitating the priorities planned for addressing the bioenergy, biomass, and gasification research priorities of the Department of Agriculture and the Department of Energy at the State and regional levels. The plan must be jointly developed in cooperation with land-grant colleges and universities and private industry.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$2,155,680; FY 12 est \$2,112,000; and FY 13 est \$0 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

**Range and Average of Financial Assistance:**

Of available funds there will be equal distribution among each of the Sun Grant Centers in compliance with 7 U.S.C. 8114 and with the Terms and Conditions of the award with a portion of the funds allocated to the western Sun Grant Center to be made available to the western insular Pacific sun grant Subcenter in an amount as determined appropriate by NIFA.

For competitive grants made by the Sun Grant Centers or the Subcenter, if minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Five Sun Grant Centers and one subcenter, as described in the 2008 Farm Bill, have identified priorities for their respective regions, and annual solicitations have been posted by the Centers. Projects supported by the Centers directly address regional issues for growing and processing biomass into energy and products. Fiscal Year 2012: FY 2012 accomplishments are the same as the accomplishments for FY 2011. Fiscal Year 2013: Funding is subject to authorization in the next Farm Bill. Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader; Institute of Bioenergy, Climate, and Environment, Division of Bioenergy, 1400 Independence Avenue, SW., STOP 2210, Washington, District of Columbia 20250-2210 Phone: (202) 401-5244 Fax: (202) 401-2653

**Website Address:**

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

**RELATED PROGRAMS:**

10.306 BIODIESEL; 10.310 Agriculture and Food Research Initiative (AFRI) ; 10.312 Biomass Research and Development Initiative Competitive Grants Program (BRDI)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Northeast Sun Grant Center focused on developing dedicated and sustainable woody biomass and perennial grasses, optimizing agronomics, optimizing harvesting transport and storage systems, and developing an industrial ecology framework.

The South Central Sun Grant Center focused on production of perennial grasses, energy cane, biomass sorghum, oil feedstocks, fast growth trees, CRP acres, feedstock logistics, and biochemical and thermochemical conversion technologies.

The Western Sun Grant Center initiated development of a crop suitability map server for regional feedstocks, an online agriculture operation energy assessment resource tool, and gathered preliminary data for a distributed biochar project.

The North Central Sun Grant Center focused on emerging feedstocks for the region that included alfalfa gene cloning and expression experiments, optimizing a cyanobacterium for increased CO2 fixation and fine chemical



production, and double and relay cropping systems for oil and biomass production.

The Southeastern Sun Grant Center supported projects that address basic research on chemical transformations of lignin and carbohydrates generated by a biorefinery, rapid manufacture of carbon fiber from organosolv lignins, and improving bioenergy sorghums. Fiscal Year 2012: Center solicitations have been announced and projects are pending or not yet selected. Pertinent data to be provided by Program at a future date. Fiscal Year 2013: Funding is subject to authorization in the next Farm Bill. Pertinent data to be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the request for applications in accordance with 7 U.S.C. 8114 and applicable Terms and Conditions of the award.

**10.322 DISTANCE EDUCATION GRANTS FOR INSTITUTIONS OF HIGHER EDUCATION IN INSULAR AREAS**

Distance Education Grant (DEG)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

7 U.S.C. 3362.

**OBJECTIVES:**

To strengthen the capacity of Institutions of Higher Education in Insular Areas to carry out resident instruction, curriculum, and teaching programs in the food and agricultural sciences through distance education technology.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The purpose of Distance Education Grants for Institutions of Higher Education in Insular Areas is to strengthen the capacity of Institutions of Higher Education in Insular Areas to carry out resident instruction, curriculum, and teaching programs in the food and agricultural sciences through distance education technology.

Grant funds must be used for allowable costs necessary to conduct approved fundamental and applied research, extension and education objectives to address food and agricultural sciences.

The use of grant funds to plan, acquire, or construct a building or facility is not allowed under this program. With prior approval, and in accordance with the cost principles set forth in OMB Circular No. A-21, some grant funds may be used for minor alterations, renovations, or repairs deemed necessary to retrofit existing teaching or research spaces in order to carry out a funded project. However, requests to use grant funds for such purposes must demonstrate that the alterations, renovations, or repairs are essential to achieving the major purpose of the project. Grant funds may not be used for endowment investing.

Section 720 of the Consolidated and Further Continuing Appropriations Act, 2012 (Pub.L. No. 112-55) limits indirect costs to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

Individual land-grant colleges and universities, and other institutions that have secured land-grant status through Federal legislation, and which are located in Insular Areas are automatically eligible for awards under the DEG grants program, either as direct applicants or as parties to a consortium agreement.

**Beneficiary Eligibility:**

Individual land-grant colleges and universities, and other institutions that have secured land-grant status through Federal legislation, and which are located in Insular Areas are automatically eligible for awards under the DEG grants program, either as direct applicants or as parties to a consortium agreement.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Specific details are provided in the Request for Applications (RFA) each fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of competitive project grants and/or cooperative agreements under this program may not exceed five (5) years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Financial Status Report (SF-269) or Federal Financial Report (SF-425) is due within 90 days of the

expiration date of the grant and should be submitted to the Awards Management Division, Office of Grants and Financial Management at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations). Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture (USDA)  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271

Telephone: (202) 401-4986. Grantees are to submit initial project information and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of the reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133 and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations (2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)) grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least 3 years. Records must be retained beyond the 3-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-1500-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$718,560; FY 12 est \$720,000; and FY 13 est \$1,584,000 - The difference between the appropriation and obligation numbers reflects legislative authorized set-asides deducted as appropriate, and in some cases the availability of obligational authority from prior years.

NOTE: The Fiscal Year 2013 budget combines the two insular area programs.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the annual program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY 2011 award cycle, \$718,560 was available for project grant awards after subtracting administrative costs.

A total of 6 applications requesting a total of \$2,217,422 were received in this years competition. In May 2011, a seven-member peer review panel evaluated these applications and three proposals were funded for \$716,566. The peer

panel included faculty and administrators from land grant and non-land grant colleges and universities and practitioners from the food and agricultural sciences community.

Applications submitted to this grants program must state how the funded project will address the two DEG Program Goals:

1. To increase the number and diversity of students who will pursue and complete a 2- or 4-year postsecondary degree in the food and agricultural sciences, or other STEM fields closely related to the food and agricultural sciences, and for FY 2012, encourage study in areas that contribute to any of the five NIFA Priority Areas listed directly above in Part I, A; and

2. To enhance the quality of postsecondary instruction in order to help meet current and future national food and agricultural sciences workplace needs. Fiscal Year 2012: For the FY 2012 award cycle, \$720,000 was available for project grant awards after subtracting administrative costs.

One application was received this years application requesting \$750,000. In May 3, 2012, a five-member combined panel with the RIIA and ANNH programs evaluated the application. The peer panel included faculty and administrators from land grant and non-land grant colleges and universities and federal employees. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, Division of Community and Education, 1400 Independence Avenue, SW., STOP 2250, Washington, District of Columbia 20250-2250  
Phone: (202) 720-2324 Fax: (202) 720-2030

**Website Address:**

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

**RELATED PROGRAMS:**

10.308 Resident Instruction Grants for Insular Area Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Providing students with alternate methods of learning to broaden their student experience and allow them to select the alternate method of learning that supports the evidence on learning styles theories. The outcomes of the project include increased satisfaction among students enrolled in the Program as a result of providing them with alternate methods of learning, as well as opportunities to reduce their time to complete the Program and become more proficient in the use of technology.

Addressing the lack of access of UPRU students and faculty, and of local high school science teachers and students, to centers of high scientific activity in STEM areas. The project seeks to achieve this goal by promoting the integration of distance education (DE) technologies in the academic instruction of life and agricultural sciences at the University of Puerto Rico-Utuado (UPRU) and high schools of central Puerto Rico. The project's target objectives are to: a) train UPRU faculty and science high school teachers in DE technologies; b) designate one classroom of UPRU's Agricultural Technology building to DE activities; c) promote the interaction of high school science teachers and UPRU faculty; d) develop a pilot seminar course that incorporates

DE technologies and agricultural science topics of global interest; and e) evaluate the effect of incorporating DE technologies in agricultural science classes in student performance and motivation. Fiscal Year 2012: Pertinent data to be provided by Program at a future date. Fiscal Year 2013: Pertinent data to be provided by Program at a future date.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the RFAs.

**10.324 AFGHANISTAN AGRICULTURAL EXTENSION PROJECT (AAEP)**

Afghanistan Agricultural Extension Project (AAEP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Section 632(a) of the Foreign Assistance Act of 1961 (22 U.S.C. 2151), 22 U.S.C 2151; Consolidated Appropriations Act, 2010 (P.L. 111-117), Public Law 111-117; Economy Act (31 U.S.C.1535) , 31 U.S.C 1535.

**OBJECTIVES:**

To provide professional development training for Afghanistans agricultural extension staff, designed to facilitate the delivery of a more effective, demand-driven extension service to producers and other rural clientele in selected areas of the country.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The purpose of the Afghanistan Agricultural Extension Project (AAEP) is to assist Afghanistan to:

- deliver a more effective, demand-driven extension service to producers and other rural clientele in selected areas of the country;
- focus on professional development training for extension staff in order to increase extensions ability to meet farmers needs and to ultimately build public confidence;
- develop a cadre of extension staff with the technical expertise and appropriate methodologies to effectively extend information and knowledge; increase public accessibility to, and use of, government extension services;
- develop extension training modules and educational materials based on high-priority needs;
- prepare future extension personnel;
- encourage a pluralistic approach to extension that responds to farmers needs for research-based technologies that is built upon the innovations of Afghanistan farmers; and
- promote coordination among the various entities providing extension-related services. Grant funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Grant funds may not be used to support the salaries of U.S. government employees.

The purchase of equipment is limited to that which is required for training, teaching, extension demonstration, and other relevant project activities.

**Indirect Costs:**

Consortiums submitting a project proposal shall limit indirect costs to ten percent (10%) of the total federal funds requested. Fully discretionary.

**Applicant Eligibility:**

Only land-grant institutions are eligible to receive AAEP awards. Eligible land-grant institutions include all 1862, 1890, and 1994 land-grant institutions. All consortia members must be land-grant institutions.

**Beneficiary Eligibility:**

Only land-grant institutions are eligible to receive AAEP awards. Eligible land-grant institutions include all 1862, 1890, and 1994 land-grant institutions. All consortia members must be land-grant institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
- (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
- (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
- (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
- (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
- (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

Evaluation Criteria will be delineated in the Request for Applications (RFA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines: Dates for specific deadlines are announced in the RFA. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. However, the lead and consortium institutions are encouraged to contribute resources to the accomplishment of

project objectives. Institutions are further encouraged to cost share the difference between their negotiated indirect cost rate agreement and the limited ten percent (10%) recoverable rate for this project. Funds are awarded competitively. No formula grants are awarded under this authority. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of competitive cooperative agreements under this program may not exceed three years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program Reports:

Grantees are to submit initial project information, quarterly, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions. No cash reports are required. Progress Reports:

Grantees are required to submit initial project information, quarterly, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions.

A Quarterly Performance Report must be submitted within 30 days after the end of each calendar quarter during the period of performance of this agreement. In general, the program report should include a summary of the overall progress toward project objectives, current problems, or unusual developments. In addition, projections for the upcoming quarters program activities, along with any other pertinent information may be included. The Federal Financial Report (SF-425) and a detailed line-item expenditures report should support the reported program activity.

An Annual Performance Report must be submitted within 90 days after the completion of the first year of the project, and annually thereafter during the life of the grant. Generally, the Annual Performance Reports should include a summary of the overall progress toward project objectives, current problems or unusual developments, the next year's activities, and any other information that is pertinent to the ongoing project or which may be specified in the terms and conditions of the award.

Given the high visibility of U.S. assistance projects in Afghanistan, there is a critical need to provide progress reports on a regular and frequent basis. Such reports should include activities and outcomes as they relate to achieving the overall objective of building capacity to deliver effective extension services. In addition to success stories, reports should include problems encountered and/or external factors that constrain progress towards planned objectives. Expenditure Reports:

Grantees are to submit initial project information, quarterly, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions.

A Quarterly Financial Report must be submitted within 30 days after the end of each calendar quarter during the period of performance of this agreement. The Federal Financial Report (SF-425) and a detailed line-item expenditures report should support the reported program activity.

A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)

STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

The details of these reporting requirements are included in the award terms and conditions. Performance Monitoring:

Grantees are required to submit initial project information, quarterly, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$14,019,135; FY 12 est \$0; and FY 13 est \$0 - Represents Amount per AD672 Reimbursement or Advance of Funds Agreement; (\$15,576,817) less 10% IPSC Indirect Program Support Cost (\$1,557,682) equals net amount available for awards (\$14,019,135).

NOTE: Funding for this program is not anticipated beyond Fiscal Year 2011. There are no funds anticipated for FY2012 for the Afghanistan Agricultural Extension Project. This was a one-time only funding project from USAID.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Award was made to a university consortium led by the University of California-Davis during the last weeks of FY 2011, therefore no program accomplishments to report this year. Fiscal Year 2012: U.S. university faculty were recruited, hired, and placed in 4 provinces in Afghanistan. They established offices and began training provincial and district-level extension staff. Train-the-trainer workshops on a wide range of technical issues were implemented in all four provinces. These included post-harvest storage of grains, conservation agriculture, mitigating & treating plant pests/diseases, efficient irrigation techniques, and improved horticultural practices. A special emphasis was placed on developing extension programs for Afghan women that focused on home gardening, small-scale poultry operations, nutrition, food safety, and food preservation. Much time and effort was also placed on ensuring that the Afghanistan Ministry of Agriculture was an active partner in all plans and implemented activities. Fiscal Year 2013: Training workshops will

continue and be expanded into new technical areas and geographic regions, although primary emphasis will remain on the four targeted provinces. More attention will be paid to monitoring and evaluating how Afghan extension personnel are using the AAEP training to change how they deliver information to rural clientele. More US university faculty will participate in the in-country training programs through short-term assignments to Afghanistan. The project will continue to collaborate with other agricultural organizations (US & foreign) to maximize program effectiveness and avoid duplication. AAEP will continue to emphasize building capacity of the Ministry of Agriculture extension staff at the national, provincial and district levels.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 2 CFR Part 220 Cost Principles for Educational Institutions; 7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance) and 7 CFR 3052 - Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Center for International Programs, 1400 Independence Avenue, SW., STOP 2203, Washington, District of Columbia 20250-2203 Phone: (202) 720-3801 Fax: (202) 690-2355

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.325 PEOPLES GARDEN GRANT PROGRAM**

Peoples Garden Grant Program (PGGP)

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act, Public Law 95-113, 7 U.S.C 3318 (b); National Agricultural Research, Extension, and Teaching Policy Act, Public Law 95-113, 7 U.S.C 3318 (c).

**OBJECTIVES:**

To facilitate the creation of produce, recreation, and/or wildlife gardens in urban and rural areas, which will provide opportunities for science-based non-formal education.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The purpose of the Peoples Garden Grant Program (PGGP) is to:

Create Peoples Gardens that will improve food access and serve as science-based educational sites for the community.

Establish new gardens, revitalize and repurpose moribund local community gardens.

Develop locally sponsored, self-sufficient gardens nationwide.

Meet the initial program implementation needs. NIFA has determined that PGGP award funds may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities. PGGP award funds may not be used to support the salaries of U.S. government employees. The purchase of equipment is limited to that which is required for training, teaching, extension demonstration, and other relevant project activities.

**Indirect Costs:**

The lead and consortium institutions are expected to contribute resources to the accomplishment of project objectives and are encouraged to cost share in order to maximize programmatic impact by limiting indirect cost to ten percent (10%) of total federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

Eligible applicants are State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, non-profit organizations, individuals, and any other contractor or recipient.

**Beneficiary Eligibility:**

Eligible applicants are State agricultural experiment stations, State cooperative extension services, all colleges and universities, other research or education institutions and organizations, Federal and private agencies and organizations, non-profit organizations, individuals, and any other contractor or recipient.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Each application will be evaluated in a 2-part process. First, each application will be screened to ensure that it meets the administrative requirements as set forth in this RFA. Second, applications that meet these requirements will be technically evaluated by a review panel. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Dates for specific deadlines are announced in the RFA. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:

<http://www.nifa.usda.gov/>  
<http://www.grants.gov>

Range of Approval/Disapproval Time: From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. However, the lead and consortium institutions are expected to contribute resources to the accomplishment of project objectives and are encouraged to cost share in order to maximize programmatic impact by limiting indirect cost to ten percent (10%) of total federal funds awarded. Funds are awarded competitively. No formula grants are awarded under this authority.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of competitive cooperative agreements under this program may not exceed two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information, summary, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions.

Grantees will also be expected to provide a mid-term and final narrative report, complete with photographs, suitable for posting on the National Extension Master Gardener Weblog at <http://blogs.extension.org/mastergardener>. No cash reports are required. Grantees are required to submit initial project information, summary, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions.

A Summary Performance Report shall be submitted when substantial progress towards goals and objectives have occurred during the period of performance of this agreement. In general, the program report should include a summary of the overall progress toward project objectives, current problems, or unusual developments. In addition, projections for the upcoming quarters program activities, along with any other pertinent information may be included. The Federal Financial Report (SF-425) and a detailed line-item expenditures report should support the reported program activity.

An Annual Performance Report must be submitted within 90 days after the completion of the first year of the project, and annually thereafter during the life of the grant. Generally, the Annual Performance Reports should include a summary of the overall progress toward project objectives, current problems or unusual developments, the next year's activities, and any other information that is pertinent to the ongoing project or which may be specified in the terms and conditions of the award.

Given the high visibility of the Peoples Garden Initiative and Grant Program, there is a critical need to provide progress reports on a regular and frequent basis. Such reports should include activities and outcomes as they relate to achieving the overall objectives of effective service delivery. In addition to success stories, reports should include problems encountered and/or external factors that constrain progress towards planned objectives. Grantees are to submit initial project information, summary, and annual reports to NIFA's

electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions.

For awards greater than one year, an Annual Financial Report must be submitted within 90 days of the initial start date of the period of performance of the award. The Federal Financial Report (SF-425) and a detailed line-item expenditures report should support the reported program activity.

A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Extramural Programs at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

The details of these reporting requirements are included in the award terms and conditions. Grantees are required to submit initial project information, summary, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects.

The details of these reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0502-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$725,000; FY 12 est \$725,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Represents a newly funded program. NIFA reviewed 662 applications and made 11 awards totaling \$750,000. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 2 CFR Part 220 Cost Principles for Educational Institutions; 7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Plant Systems-Production, 1400 Independence Avenue, SW., STOP 2240, Washington, District of Columbia 20250-2240 Phone: (202) 401 4202 Fax: (202) 401 1782

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: One project, in the amount of \$70,000, will work with communities in five metro mid-western counties to establish fourteen new, sustainable, produce-focused community gardens.

One project, in the amount of \$110,500 will foster a network of garden projects to empower West Hawaii's low income, high poverty, food desert, and at-risk populations to gain access to healthier foods they grow themselves.

One project, in the amount of \$150,000 will provide micro-subgrants to its network of member organizations for tree-plantings which shade or provide weather or line-of-sight screens for local community gardens, and for planting fruit and nut trees for local consumption and production.

Another project, in the amount of \$70,000 will establish up to 25 community gardens in poverty and low income areas creating locally sponsored and self-sufficient gardens supplying fresh produce to improve the access of healthy food for residents.

Another project, in the amount of \$70,000 will provide microgrants to establish new gardens to serve as community educational resources to residents of several municipalities. Fiscal Year 2012: Information is currently not available. The first progress reports are not due until December, 2012. Pertinent data to be provided by Program at a future date. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.326 CAPACITY BUILDING FOR NON-LAND GRANT COLLEGES OF AGRICULTURE (NLGCA)****FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Consolidated and Further Continuing Appropriations Act, 2012 (P.L. 112-55), Public Law 112-55; National Agricultural Research, Extension, and Teaching Policy Act (7 U.S.C. 3319i) as amended by section 7138 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) , Public Law 110-246, 7 U.S.C 3319i.

**OBJECTIVES:**

To assist the NLGCA Institutions in maintaining and expanding their capacity to conduct education, research, and outreach activities relating to agriculture, renewable resources, and other similar disciplines.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

To maintain and expand the capacity of the NLGCA Institution to: compete, successfully, for funds from Federal grants and other sources to carry out educational, research, and outreach activities that address priority concerns of national, regional, State, and local interest; disseminate information relating to priority concerns to interested members of the agriculture, renewable resources, and other relevant communities; the public; and any other interested entity; and encourage members of the agriculture, renewable resources, and other relevant communities to participate in priority education, research, and outreach activities by providing matching funding to leverage grant funds. This can be accomplished through the: purchase or other acquisition of equipment and other infrastructure; professional growth and development of the faculty of the NLGCA Institution; and development of graduate assistantships. Grant funds may not be used for the renovation or refurbishment of research, education, or extension space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

Grant funds may not be used to support the salaries of U.S. government employees. The purchase of equipment is limited to that which is required for training, teaching, extension demonstration, and other relevant project activities.

Pursuant to Section 720 of the General Provisions in Title VII of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Programs (HR 112-284), indirect costs are limited to 30 percent of the total Federal funds provided under each award. Therefore, when preparing budgets, applicants should limit their requests for recovery of indirect costs to the lesser of their institutions official negotiated indirect cost rate or the equivalent of 30 percent of total Federal funds awarded. Fully discretionary.

**Applicant Eligibility:**

Only a non-land-grant public college or university (NLGCA) offering a baccalaureate or higher degree in the study of agriculture or forestry. The terms "NLGCA Institution" and "non-land-grant college of agriculture" do not include - (i) Hispanic-serving agricultural colleges and universities; or (ii) any institution designated under - (I) the Act of July 2, 1862 (commonly known as the "First Morrill Act"; 7 U.S.C. 301 et seq.); (II) the Act of August 30, 1890 (commonly known as the "Second Morrill Act") (7 U.S.C. 321 et seq.); (III) the Equity in Educational Land-Grant Status Act of 1994 (Public Law 103-382; 7 U.S.C. 301 note); or (IV) Public Law 87-788 (commonly known as the "McIntire-Stennis Cooperative Forestry Act") (16 U.S.C. 582a et seq.).

**Beneficiary Eligibility:**

A non-land-grant public college or university offering a baccalaureate or higher degree in the study of agriculture or forestry, faculty of NLGCA, students engaged in the study of agriculture or forestry, the public, interested members of the agriculture, renewable resources, and other relevant and interested communities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All RFAs are published on the Agency's website and Grants.gov. Applicants must complete the Grants.gov registration process. Please see the following Grants.gov link for more information: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). This

program is excluded from coverage under E.O. 12372. Applications should be submitted as outlined in the RFA. Applications must follow the instructions provided per Grants.Gov and in the Agency guide to submitting applications via Grants.gov.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application. Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Dates for specific deadlines are announced in the RFA. Information is also available via our website and may be obtained via the Grants.gov website. Respective links are provided below:  
<http://www.nifa.usda.gov/>  
<http://www.grants.gov>  
Range of Approval/Disapproval Time: From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Specific details are provided in the Request for Applications (RFA).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. NIFA does not require matching support for this program and matching resources will not be factored into the review process as evaluation criteria. No formula grants are awarded under this authority.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of awards under this grant program may not exceed five (5) years.  
Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions. No cash reports are required. Grantees are required to submit initial project information, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions. An Annual Performance Report must be submitted within 90 days after the completion of the first year of the

project, and annually thereafter during the life of the grant. Generally, the Annual Performance Reports should include a summary of the overall progress toward project objectives, current problems or unusual developments, the next year's activities, and any other information that is pertinent to the ongoing project or which may be specified in the terms and conditions of the award. Grantees are to submit initial project information, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions. An annual Federal Financial Report (SF-425) must be submitted within 90 days after the completion of the first year of the project, and annually thereafter during the life of the grant to the Awards Management Branch, Office of Grants and Financial Management. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Branch, Office of Grants and Financial Management at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).  
Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture  
STOP 2271

1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

The details of these reporting requirements are included in the award terms and conditions. Grantees are required to submit initial project information, quarterly, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

In accordance with the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit Organizations [2 CFR 215, Subpart C, Section 215.53, (OMB Circular A-110)] grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records are subject to inspection during the life of the grant and must be retained at least three (3) years. Records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-0115-0-1-352.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$0; FY 12 est \$4,308,000; and FY 13 est \$0 - This program represents no year funds.

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant or cooperative agreement are established, these will be announced in the program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Represents newly authorized program; not funded until Fiscal Year 2012. Fiscal Year 2012: The deadline for the Request for Applications



(RFA) was July 6, 2012. Funds have not yet been awarded. Pertinent details to be provided by Program at a future date. Fiscal Year 2013: Pertinent details to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 2 CFR Part 220 Cost Principles for Educational Institutions; 7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Youth, Family, and Community, 1400 Independence Avenue, SW, STOP 2250 , Washington , District of Columbia 20250-2250 Phone: (202) 720-1973

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.327 COMMON BEAN PRODUCTIVITY RESEARCH FOR GLOBAL FOOD SECURITY COMPETITIVE PROGRAM**

Bean Productivity Research

**FEDERAL AGENCY:**

National Institute of Food and Agriculture, Department of Agriculture

**AUTHORIZATION:**

Economy Act (31 U.S.C.1535) , 31 U.S.C 1535; Consolidated Appropriations Act, 2010 (P.L. 111-117), Public Law 111-117; Section 632(a) of the Foreign Assistance Act of 1961 (22 U.S.C. 2151), 22 U.S.C 2151.

**OBJECTIVES:**

To develop approaches and/or methods that can address challenges to common bean production among small holder producers in food insecure countries.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

In collaboration with and using funding provided by the U.S. Agency for International Development, NIFA is seeking research proposals to develop approaches and/or methods to address challenges to common bean production among smallholder producers. Applications are being solicited for the BPR under the following areas:

- (1) Reducing Production Constraints from Soil Borne Pathogens: Soil borne pathogen pressure on common bean is a significant constraint to production. Such pathogens and associated root rots already reduce production in areas with high rainfall. As rainfall increases, as is expected around the equatorial zone in Africa, in particular East Africa, pathogen-related production constraints may become even more limiting.
- (2) Improving Transformation Technologies in Common Bean: Although success in transforming common bean has been limited to date, it is a promising strategy to address key production constraints. Developing and/or improving the methodologies and approaches necessary to efficiently transform this

recalcitrant species is necessary to removing roadblocks to transformation. Grant funds may not be used for the renovation or refurbishment of research, education, or extension space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

The applicant should use the current negotiated indirect cost rate established (i.e., approved) by its cognizant Federal agency. If the applicant does not have a current negotiated rate, the applicant should request a rate from the Federal agency from which the applicant receives the most funding. Fully discretionary.

**Applicant Eligibility:**

Eligible U.S. public or private research or educational institutions or organizations.

**Beneficiary Eligibility:**

U.S. organizations or organizations in Feed the Future countries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applications are subjected to a system of peer and merit review in accordance with section 103 of the Agricultural Research, Extension and Education Reform Act of 1998 (7 U.S.C. 1613) by a panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal. Within the limit of funds available for such purpose, the NIFA Authorized Departmental Officer (ADO) shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in the RFA. Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors:

- (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities;
  - (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields;
  - (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs;
  - (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations;
  - (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and
  - (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.
- Evaluation Criteria will be delineated in the RFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term under this grant program may not exceed five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are to submit initial project information, quarterly, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions. No cash reports are required. Grantees are to submit initial project information, quarterly, and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions. Grantees are to submit initial project information and annual reports to NIFA's electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions. An annual Federal Financial Report (SF-425) must be submitted within 90 days after the completion of the first year of the project, and annually thereafter during the life of the grant to the Awards Management Division, Office of Grants and Financial Management. A final Federal Financial Report (SF-425) is due within 90 days of the expiration date of the grant and should be submitted to the Awards Management Division, Office of Grants and Financial Management at the address listed below, in accordance with instructions contained in 2 CFR 3430.55 (also refer to Section 3015.82 of the Uniform Federal Assistance Regulations).

Awards Management Division (AMD)  
Office of Grants and Financial Management (OGFM)  
National Institute of Food and Agriculture (NIFA)  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, SW  
Washington, DC 20250-2271  
Telephone: (202) 401-4986

The details of these reporting requirements are included in the award terms and conditions. Grantees are required to submit initial project information, quarterly, and annual summary reports to NIFAs electronic, Web-based inventory system that facilitates both grantee submissions of project outcomes and public access to information on Federally-funded projects. The details of these reporting requirements are included in the award terms and conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits will be conducted in accordance with guidelines established in the revised OMB Circular No. A-133, Audits of States, Local Governments, and Nonprofit Organizations, and implemented in 7 CFR 3052. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General.

**Records:**

No Data Available.

**Account Identification:**

12-0115-0-1-352.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$5,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

If minimum or maximum amounts of funding per competitive project grant are established, these will be announced in the program announcement or Request for Application (RFA).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Represents a newly authorized program; not funded until Fiscal Year 2012. Fiscal Year 2012: The deadline for the Request for Applications (RFA) was June 27, 2012. Funds have not yet been awarded. Pertinent details to be provided by Program at a future date. Fiscal Year 2013: Pertinent details to be provided by Program at a future date.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Non-Profit Organizations, State/Local/Indian Tribes; 2 CFR Part 220 Cost Principles for Educational Institutions; 2 CFR Part 230 - Cost Principles for Non-Profit Organizations, 2 CFR Part 225 Cost Principles for State/Local/Indian Tribes, 7 CFR Part 3430, Competitive and Noncompetitive Non-formula Federal Assistance Programs General Award Administrative Provisions and Program-Specific Administrative Provisions; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) ; 7 CFR Part 3018, New Restrictions on Lobbying; 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations; and 7 CFR Part 3021 USDA implementation of Governmentwide Requirements for Drug-free Workplace (Financial Assistance).

**Regional or Local Office:**

None.

**Headquarters Office:**

USDA, NIFA, National Program Leader, Institute of Food Production and Sustainability, Division of Animal Systems, 1400 Independence Avenue, SW., STOP 2240, Washington, District of Columbia 20250-2240 Phone: (202) 401-6134 Fax: (202) 401-1602

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Within guidelines established for the program as described in the Request for Application (RFA).

**10.350 TECHNICAL ASSISTANCE TO COOPERATIVES**

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

none.

**OBJECTIVES:**

To develop and administer research, technical assistance, statistical, and educational programs on finances, organization, management, legal, social, and economic aspects of rural cooperatives, focusing on farmer cooperatives.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Services are limited to rural residents, including groups interested in forming cooperatives and established rural cooperatives. Publications are available to anyone.

**Applicant Eligibility:**

Farmer and rural cooperatives and groups of rural residents interested in forming cooperatives, Native Americans, and rural residents in all U.S. Territories.

**Beneficiary Eligibility:**

Beneficiary Eligibility: Farmer/Rancher/Agriculture Producer; Rural residents.

**Credentials/Documentation:**

Requests for technical assistance by an established cooperative should come from the cooperative board of directors. Requests for assistance in forming a cooperative should be made in writing from a steering committee on behalf of the interested rural group. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A formal letter requesting assistance and including a description of the problem or nature of request is required. Send letters to either the National Office--Letter to the Deputy Administrator for Cooperative Services, Rural Business-Cooperative Service (RBS) or State Rural Development Office--Letter to the State Director, Rural Development. Requests made to the State Office may be forwarded to the National Office. Appropriate addresses may be found at the Web site shown later in this program description.

**Award Procedure:**

RBS considers all requests.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Requests are usually acted upon within 10 days following receipt at the National or State Offices.

**Appeals:**

Requests denied by the State Office may be appealed to the National Office.

**Renewals:**

If clients need additional assistance following formal closure of Federal assistance, a new request must be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies depending on the nature of the request or complexity of problem. See the following for information on how assistance is awarded/released: There are no funds provided through this program. National Office staff may provide technical assistance to existing cooperatives or groups seeking to form a co-op. A formal request from the producers must be submitted to CP requesting assistance and we evaluate each request on a case-by-case basis.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

(Advisory Services on Compliance) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Rural Development, State Office. Telephone numbers should be listed under Government in local telephone books. Visit Web site listed below.

**Headquarters Office:**

John Wells 1400 Independence Ave, Washington, District of Columbia 20250  
Email: John.Wells@wdc.usda.gov Phone: 202-720-3350

**Website Address:**

<http://www.rurdev.usda.gov/rbs/coops/csdir.htm>.

**RELATED PROGRAMS:**

10.352 Value-Added Producer Grants; 10.771 Rural Cooperative Development Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Requests for assistance must come from or on behalf of residents in rural areas of the United States or its territories.

**10.352 VALUE-ADDED PRODUCER GRANTS**

(VAPG)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture Risk Protection Act of 2000 (Pub. L. 106-224) as amended by section 6202 of the Food, Conservation, and Energy Act Of 2008 (Pub. L. 110-246) (see 7 U.S.C. 1621 note), Title VII.

**OBJECTIVES:**

To assist eligible independent agricultural commodity producers, agriculture producer groups, farmer and rancher cooperatives, and majority-controlled producer-based businesses enter into value-added activities related to the processing and/or marketing of bio-based value-added agricultural products, including development of feasibility, business or marketing plans. Generating new products, creating and expanding marketing opportunities and increasing producer income are the end goals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The VAPG program offers two types of grants to support activities directly related to the processing and/or marketing of value-added agricultural products. Planning grants provide funding for activities necessary to determine the economic viability of a potential value-added venture, including development of feasibility studies and business plans. Working capital grants provide funds for the day-to-day operating expenses of the venture associated with processing and/or marketing a value-added product. An application may be for either Planning or Working Capital activities, but not both.

**Applicant Eligibility:**

Eligible applicants are independent producers, agriculture producer groups, farmer- and rancher-cooperatives, and majority-controlled producer-based business ventures.

**Beneficiary Eligibility:**

Agricultural producers.

**Credentials/Documentation:**

Applicants must demonstrate they are legally able to carry out the grant purposes, and evidence good standing in their State of operations. Applicants for Working Capital funds must provide an independent feasibility study and business plan completed specifically for the proposed value-added project, except as otherwise noted in 7 CFR 4284.922(b)(6)(i and ii). Applicants have the option to demonstrate eligibility for Reserved Funds and/or Priority Points, as applicable. Applicants must provide a detailed budget supporting the work plan that identifies all sources and uses of funds during the project period that are without a conflict of interest. Applicants must provide authentic documentation from the source of matching funds to confirm the eligibility and availability of both cash and in-kind contributions. Applicants must certify that matching funds will be spent in advance of grant funds. OMB Circular No.

A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Applicants must obtain and provide their Dun and Bradstreet Data Universal Numbering System (DUNS) number, and they must be registered in the Central Contractor Registration (CCR) database, or any successor database system designated by the Agency, prior to submitting an application. Applicants must maintain an active status with current information during the time they have an application under consideration by the Agency or an active Federal Award. Applicants must provide opportunity for consultation on the proposed project and request for Federal assistance with State and local governments, and provide any comments received through that process to the Federal Agency. All recipients of program funds are subject to environmental requirements in 7 CFR 1940, subpart G and any successor regulation. However, due to the specified nature of activities and limited use of funds in this program, both planning and working capital grant projects are generally excluded from the environmental review process by 7 CFR 1940.333, and .309(c) and .317(g)(2), respectively. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA will solicit applications on a competitive basis by publication of a notice in the Federal Register and through the Grants.gov Federal Web site. Applications must be submitted to the State Office of Rural Development in the State where the project primarily takes place, or on-line through grants.gov. Applications must contain all the information specified in 7 CFR 4284.931, and include any additional or subsequent requirements specified in official Agency notifications for the program. Unless specified otherwise, applicants must provide one copy of the proposal and all required content specified in 7 CFR 4284.931, or as otherwise instructed in the annual announcement. An applicant must submit Forms SF-424, SF-424A, SF-424B, and RD 400-4; and other information as directed. Each proposal must contain the following elements and any additional elements published in the announcement: (1) Executive Summary; (2) Eligibility Discussion; (3) Evaluation Criteria; (4) Certification that matching funds will be spent in advance of grant funding; (5) Verification of the eligibility and availability of both cash and in-kind contributions as matching funds for the project; and (6) Business plan for working capital grants except as provided in 4284.922(b)(6) and 4284.932; and (7) Feasibility study completed by an independent third-party for working capital grants except as provided at 4284.922(b)(6) and 4284.932. Each proposal must demonstrate that the customer base for the agricultural commodity or value-added product is expanded, and a greater portion of the revenue derived from the marketing or processing of the value-added product is available to the applicant producer of the agricultural commodity.

**Award Procedure:**

The Agency conducts an initial screening of all proposals to determine eligibility and completeness to allow for an informed review. Applications will be evaluated by experts selected by the Agency. An applicant qualifying in one of the following categories, as defined at 4284.902, may qualify for priority points; (1) Beginning Farmer or Rancher; (2) Socially-Disadvantaged Farmer or Rancher; (3) Operator of a Small or Medium Farm Structured as a Family Farm; and (4) a Farmer or Rancher Cooperative. After evaluation and scoring according to established criteria, the Administrator of Rural Business Cooperative Service reserves the right to award limited additional points to ensure geographic diversity of awards, unless specified otherwise in an official program notification. Applications will then be funded in rank order until all available funds have been allocated. Final processing of the awards and monitoring of projects are the responsibility of the appropriate Rural Development State Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 100 to 150 days after the application submission deadline.

**Appeals:**

Applicants may appeal any adverse decisions to USDA's National Appeals Division.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Statutory formulas are not applicable to this program.

See 7 CFR 4284 sections 902, 923, 924 and 931(b) (3) and (4). Matching funds must at least equal the amount of grant funds requested, and combined grant and matching funds must equal 100 percent of the total eligible project costs. Matching funds must be from eligible sources without a conflict of interest, are subject to the same use restrictions as grant funds, and must be spent on eligible project expenses during the grant period. Matching funds must be provided in the form of confirmed applicant cash, loan or line of credit; or provided in the form of a confirmed applicant or family member in-kind contribution that meets the requirements and limitations specified in 7 CFR 4284.923; or provided in the form of confirmed third-party cash or eligible third-party in-kind contribution, and may include non-federal grant sources (unless otherwise provided by law). Applicants must certify that matching funds will be spent in advance of grant funds, and source-verify both cash and in-kind contributions to the project.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically provided on a reimbursement basis, grant funds may be disbursed over a period of up to 3 years from date of award. Method of awarding/releasing assistance: Requests for reimbursement may be submitted to the Agency not more frequently than once every 30 days, and must be accompanied by supporting documentation to demonstrate eligible expenses incurred during the grant funding period. Method of awarding/releasing assistance: quarterly.

**Reports:**

Narrative Progress Reports and Financial Performance Reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed. Copies of supporting documentation and/or project deliverables for completed tasks must be provided to the Agency. Cash reports are not applicable. Progress reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed. Progress reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed. Progress reports must be submitted to the Rural Development State Office as specified in the grant agreement. A final report must be submitted to the Rural Development State Office within 90 days after the project has been completed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR 3052, "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards will have a single or program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting office, and/or as noted in the Grant Agreement.

**Records:**

The Grantee will maintain adequate records and accounts to assure that grant and matching funds are used for authorized purposes. Records required by

Federal law and regulations will also be maintained by the Rural Development State Office and the Rural Development-Cooperative Programs National Office. All Grantees are required to report information about first-tier sub-awards and executive compensation in accord with 2 CFR Part 170, unless exempted under 2 CFR 170.110(b).

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

(Salaries) FY 11 \$20,400,000; FY 12 est \$40,300,000; and FY 13 est \$14,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 1951; 7 CFR 3015; 7 CFR 3019; 7 CFR 4284, Subpart J - Value-Added Producer Grants. See the Rural Business Cooperative Service website below for additional information. You may also contact Rural Development State and Local Offices.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Rural Development State Office for the State where your project will take place. See listing in Appendix IV of the Catalog or visit [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Cooperative Programs, Rural Business-Cooperative Service, Department of Agriculture, Washington, District of Columbia 20250 Phone: (202) 720-7558.

**Website Address:**

<http://www.rurdev.usda.gov/rbs/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Published in the Federal Register and through grants.gov.

**10.404 EMERGENCY LOANS**

Emergency Loans

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Subtitle C, Sections 321-330, Public Law 92-419, 7 U.S.C. 1961- 1984; Public Law 96-438; Public Law 97-35; Public Law 98-258; Public Law 99-198; Public Law 100-233; Public Law 100-387; Public Law 101-624.

**OBJECTIVES:**

To assist established (owner or tenant) family farmers, ranchers and aquaculture operators with loans to cover losses resulting from major and/or natural disasters, which can be used for annual farm operating expenses, and for other essential needs necessary to return disaster victims' farming operations to a financially sound basis in order that they will be able to return to private sources of credit as soon as possible.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to repair, restore, or replace damaged or destroyed farm property (real and chattel) and supplies which were lost or damaged as a direct result of a natural disaster; under certain conditions, refinance secured and unsecured debts made necessary by the disasters; finance adjustments in the farming, ranching or aquaculture operation(s) determined necessary to restore or maintain applicants' operations on a sound financial basis equivalent to their predisaster potential. The total of all actual loss loans is based on actual dollar

value of production and physical losses. Loans are made at the Agency's current Emergency Loan actual loss interest rate, with a maximum limit of 100 percent of the actual production loss and 100 percent of the actual physical loss, or \$500,000 total indebtedness. Loans are made in counties: (1) Named by the Federal Emergency Management Agency as being eligible for Federal assistance under a major disaster or emergency declaration by the President; (2) designated as natural disaster areas by the Secretary of Agriculture; and (3) designated by the FSA Administrator for severe physical losses, only, as a result of a natural disaster.

**Applicant Eligibility:**

Requires that an applicant: (a) Not have caused a loss to the Agency after April 4, 1996, or received debt forgiveness on no more than 1 occasion prior to April 4, 1996. (b) be an established family farmer, rancher, or aquaculture operator (either tenant-operator or owner-operator), who was conducting a farming operation at the time of occurrence of the disaster either as an individual proprietorship, a partnership, a cooperative, a corporation, or a joint operation; (c) have suffered qualifying crop loss and/or physical property damage caused by a designated natural disaster; (d) be a citizen of the United States or legal resident alien, or be operated by citizens and/or resident aliens owning over a 50 percent interest of the farming entity; (e) be unable to obtain suitable credit from any other source(s) to qualify for subsidized loss loans; (f) have sufficient training or farming experience in managing and operating a farm or ranch (1 year's complete production and marketing cycle within the last 3 years immediately preceding the application); (g) be able to project a feasible and sound plan of operation; (h) be a capable manager of the farming, ranching, or aquaculture operations (in the case of a cooperative, corporation, partnership or joint operation, if members, stockholders, partners or joint operators own a majority interest and are related by blood or marriage, at least one member, stockholder, partner or joint operator must operate the family farm; if not related, the majority interest holder(s) must operate the family farm); (i) have legal capacity to contract for the loan; (j) obtain eligibility certification; (k) provide adequate collateral to secure the loan request; (l) have crop insurance if available for affected crops comply with the highly erodible land and wetland conservation provisions of Public Law 99-198 (16 U.S.C. 3801 et seq.), (Title 12 and 13) the Food Security Act of 1985 and the Food, Agriculture, Conservation, and Trade Act of 1990. Applicants who cannot meet all of these requirements are not eligible. Assistance is available in the 50 States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and, to the extent the Secretary determines it to be feasible and appropriate, the Trust Territories of the Pacific Islands, when those areas (by county) are designated.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria. Families, individuals and entities who are farmers, ranchers or aquaculture operators are the beneficiaries.

**Credentials/Documentation:**

Applicants must establish that substantial physical property damage and/or severe production losses, caused by the designated natural disaster, has occurred. To qualify for loss loans, the applicant must be unable to get credit elsewhere and demonstrate repayment ability on the loan. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Form FSA 2001 provided by the Farm Service Agency must be presented, with supporting information, to the FSA county office serving the applicant's county. FSA personnel assist applicants in completing their application forms.

**Award Procedure:**

FSA Farm Loan Manager, State Executive Directors, and the Administrator or his designee are authorized to approve these loans, subject to certain

administrative requirements, after applicants are determined eligible.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications must be approved or disapproved within 60 calendar days after the receipt of a completed application by the County Office.

**Appeals:**

Applicants for loans may appeal adverse actions taken. The applicant is given an opportunity to appeal the decision to the National Appeals Division.

**Renewals:**

Rescheduling, reamortization, consolidation and deferment: Up to 15 years rescheduling for short and intermediate term loans made for production-type losses. Long term loans may be reamortized. However, the maximum statutory repayment period of 40 years for real-estate purposes cannot be exceeded. Loans made for similar purposes can be consolidated and rescheduled or reamortized. Generally, real estate will be needed as security when a term of more than 7 years is authorized.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This varies in accordance with individual case needs, type of disaster losses, type of security available, and borrower's repayment ability. Applicants should consult the FSA county office serving their area for specific information. See the following for information on how assistance is awarded/released: Loan funds may be dispersed in lump sum or in increments.

**Reports:**

No reports are required.

**Audits:**

Not Applicable.

**Records:**

Applicants must furnish 3 year history of farm production, if available, when production losses are claimed. Otherwise, FSA records of acres grown and proven yields, county or State production averages, or combinations of the above records when approved, are used. Borrowers must keep adequate records as a condition for receiving FSA financing. Specific financial information is required to be maintained for 3 years for some borrowers as a condition of receiving loan assistance.

**Account Identification:**

12-4140-0-3-351.

**Obligations:**

(Direct Loans) FY 11 \$32,610,000; FY 12 est \$69,623,000; and FY 13 est \$34,658,000 - (Direct Emergency Loans)  
FY 2011 Actual \$32,610,000  
FY 2012 Estimated \$69,623,000.  
FY 2013 Estimated \$34,658,000.

**Range and Average of Financial Assistance:**

The maximum emergency loan amount may not exceed \$500,000.  
The Agency actual number of Emergency Loans being made in FY 2011: 311  
The Agency estimates 661 Emergency Loans being made in FY 2012 for total obligations estimated a \$69,623,000.  
The Agency estimates 330 Emergency Loans being made in FY 2013 for total obligations estimated a \$34,658,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 764, FSA Handbook 3 FLP, Farm Service Agency Fact Sheets, Program Aids 1610 "Farm Service Agency Producer's Guide to Loan Programs." FSA website at: [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Regional or Local Office:**

None. Consult the appropriate FSA State office listed in Appendix IV of the Catalog. Visit FSA website at [www.fsa.usda.gov](http://www.fsa.usda.gov) to locate nearest office.

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
[bob.bonnet@wdc.usda.gov](mailto:bob.bonnet@wdc.usda.gov) Phone: (202) 720-3889 Fax: (202) 690-1117.

**Website Address:**

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

**RELATED PROGRAMS:**

10.406 Farm Operating Loans; 10.407 Farm Ownership Loans; 10.450 Crop Insurance; 59.008 Disaster Assistance Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.405 FARM LABOR HOUSING LOANS AND GRANTS**

(Labor Housing)

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 514 and 516, Public Laws 89-117 and 89-754, 42 U.S.C 1484 and 1486.

**OBJECTIVES:**

To provide decent, safe, and sanitary low-rent housing and related facilities for domestic farm laborers.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The loans and grants may be used for construction, repair, or purchase of year-round or seasonal housing; acquiring the necessary land and making improvements on land for housing; and developing related support facilities including central cooking and dining facilities, small infirmaries, laundry facilities, day care centers, other essential equipment and facilities or recreation areas. Funds may also be used to pay certain fees and interest incidental to the project. Restrictions on the use of funds are: Developers' fees, resident services, cost of unrelated commercial space, costs associated with other lenders/grantors. Housing financed with labor housing loan or grant funds must be occupied by domestic farm laborers, individuals who derive a substantial portion of their income from farm labor, and their families. The occupants must also be a U.S. citizen or permanent resident.

**Applicant Eligibility:**

Loans are available to farmers, family farm partnership, family farm corporations, or an association of farmers. Loans and grants are available to States, Puerto Rico, the U.S. Virgin Islands, political subdivisions of States, broad-based public or private nonprofit organizations, federally recognized Indian Tribes and non-profit corporations of farm workers. Grants are available to eligible applicants only when there is a pressing need and when it is doubtful that such facilities could be provided unless grant assistance is available.

**Beneficiary Eligibility:**

A domestic farm laborer is any person who receives a substantial portion of his/her income as a laborer on a farm in the United States and is either (1) a citizen of the United States, or (2) has been legally admitted for permanent residency.

**Credentials/Documentation:**

The applicant must furnish factual evidence of the following: (a) The number of domestic farm laborers currently being used in the area; (b) the kind of labor performed; (c) the future need for domestic farm labor in the area; (d) the kind, condition, and adequacy of housing presently used for such labor; (e) ownership of presently occupied housing; (f) ability of workers to pay necessary rent; and

(g) with the exception of State and local public agencies, be unable to provide housing from its own resources or credit on terms and conditions that would enable the applicant to provide labor housing. Costs will be determined in accordance with 7 CFR part 3015 or 3016 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For FY 2012 the Section 514/516 Program will be awarded through a Notice of Funding Available (NOFA) announced in the Federal Register.

**Award Procedure:**

Applications will be scored on the following factors: (1) The presence and extent of leveraged assistance for the units that will serve RHS income-eligible tenants at basic rents comparable to those if RHS provided full financing, computed as a percentage of the RHS total development cost. A minimum of ten percent leveraged assistance is required to earn points; however, less than ten percent and the proposal includes donated land, two points will be awarded for the donated land, (0 to 20 points); (2) Seasonal, temporary, migrant housing (5 points for up to and including 50 percent of the units; 10 points for 51 percent or more); National Office initiative will be based on the presence of and extent to which a tenant services plan exists that clearly outlines services that will be provided to the residents of the proposed project. Two points will be awarded for each resident service included in the tenant services plan up to a maximum of 10 points.(0 to 10 points). Application selection process: (1) States will review and score the applications and submit a list of applications in rank and point score order to the National Office; (2) the National Office will rank applications on a nation-wide basis and will advise States of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. RHS uses a two-stage application process for the Farm Labor Housing Program. First, applicants submit preapplications, which are used to determine preliminary eligibility and feasibility. RHS then invites some applicants to submit formal applications. Section 514/516 funds are divided between off-farm housing and on-farm housing. The off-farm program provides loans and grants to organizations that assist farm workers at off-farm locations with no restrictions that workers be employed on a particular farm. Under new regulations effective June 1999, preapplications for the off-farm program funds must be submitted in response to a Notice of Funding Availability (NOFA) published in the Federal Register every year. RHS scores the preapplications, using a ranking process to determine which applicants will be invited to submit formal applications. The on-farm program makes loans to eligible farmers (or a group of farmers) to provide Housing, usually for their own laborers. Preapplications for on-farm units, or for repair And rehabilitation of existing off-farm units, may be submitted at any time are processed on a first-come, first-served basis.

**Appeals:**

From 15 to 30 days. A person or organization who is directly and adversely affected by an administrative decision by Rural Development should follow the procedures found in 7 CFR part 1900, Subpart B of "Rural Development Administrative Appeal Procedures."

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 10.%. Section 516 grants for off-farm FLH may not exceed the lesser of 90 percent of the total development cost (TDC) as provided in 7 CFR 3560.562(c)(1). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans are usually made for 33 years at 1 percent interest. Grants may cover up to 90 percent of development cost. The balance may be (and usually is) a Section 514 loan. RHS rental assistance (RA) subsidy can be used to limit tenant payments to 30 percent of their income. RA can be used as an operating subsidy for projects or units with Section 516 funding that serve migrants. It is RHS policy to attempt to use less than a 90 percent grant when RA is utilized. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

Adequate operating tenant, and accounting records must be maintained by borrower.

**Account Identification:**

12-2004-0-1-604; 12-2081-0-4-371; 12-4141-0-3-371.

**Obligations:**

(Direct Loans) FY 11 \$55,638,218; FY 12 est \$30,292,000; and FY 13 est \$35,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY 2011; Constructed 1,176 units and repaired 39 units for Farm Labor Housing projects. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR part 3560; Subpart L

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development Area Office number. If no listing, contact appropriate Rural Development State Office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

USDA Rural Development, Preservation and Direct Loan Division, 1400 Independence Ave. SW., Mail Stop 0782, Washington, District of Columbia 202500781 Phone: (202) 720-1604.

**Website Address:**

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

**RELATED PROGRAMS:**

10.427 Rural Rental Assistance Payments

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A clearly defined need must exist to provide housing for domestic farm workers.

**10.406 FARM OPERATING LOANS**

Farm Operating Loans (Direct & Guaranteed)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Farm and Rural Development Act, as amended, Subtitle B, Sections 311-317, Public Law 92-419, 7 U.S.C. 1942; Agriculture Act of 1961, Title III, Public Law 87-128.

**OBJECTIVES:**

To enable operators of not larger than family farms through the extension of credit and supervisory assistance, to make efficient use of their land, labor, and other resources, and to establish and maintain financially viable farming and ranching operations.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to: (1) Purchase livestock, poultry, and other farm animals; (2) purchase farm equipment, feed, seed, fuel, farm chemicals, insurance (3) provide operating expenses for farm enterprise; OL funds can be used to pay for: (4) minor improvements to buildings (5) costs associated with land and water development (6) family subsistence (7) refinance debts under certain conditions and (8) finance youth projects. ( Use restrictions are shown under Applicant Eligibility.

**Applicant Eligibility:**

Except for youth loans, individual applicants must: (1) Be a citizen of the United States, United States non-citizen national, or a qualified alien under applicable Federal immigration laws; (2) have the legal capacity to incur the obligations of the loan; (3) possess the legal capacity to incur the obligations of the loan; (4) be unable to obtain credit elsewhere or unable to obtain the loan without a guarantee; (5) not have had a previous loan which resulted in a loss to the Agency (with certain conditions); (6) not be delinquent on any federal debt; (7) after the loan is closed, be an owner/tenant operator of a family farm. For an operating loan (OL), the producer must be the operator of a family farm; and (8) not have any controlled substance convictions. In addition, a direct loan applicant must have sufficient education, training, or experience in managing and operating a farm or ranch that demonstrates the managerial ability to succeed in farming. Corporations, cooperatives, joint operations, and partnerships and their members/stakeholders must meet most of these same eligibility requirements, and the entity must also be authorized to operate a farm or ranch in the State where the land is located. To be eligible to obtain a direct loan, a borrower must agree to abide by any "borrower training" requirements. Applicants/borrowers requesting guaranteed loan assistance must meet all lender requirements.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries and must meet the applicant eligibility requirements. Families, individuals, and entities who are or plan to become farmers, ranchers or aquaculture operators are the beneficiaries.

**Credentials/Documentation:**

Applicants for direct loans must be unable to obtain credit elsewhere and applicants for guaranteed loans must be unable to obtain credit without the guarantee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may apply for direct loans at local FSA offices. Guaranteed loans may be available from local commercial lenders who apply for loan guarantees from FSA.

**Award Procedure:**

FSA determines if the applicant is eligible and reviews the application for repayment ability, security, and compliance with other regulations, approves and obligates the loan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The loan approval official approves or disapproves a completed application. The average approval time for direct loans is 30 days and 10 days for guaranteed loans.

**Appeals:**

From 30 to 60 days. Applicants for direct and guaranteed loans, may appeal adverse action taken. The applicant is given an opportunity to appeal the decision to the National Appeals Division. The applicant may, in the final step of the appeals process, request a review by the Director, National Appeals Division, Washington, DC.

**Renewals:**

Applicants may reapply at any time. Applicants denied assistance through the appeal process must establish that substantial change has occurred, since the denial decision.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans are scheduled for repayment over periods up to 7 years, but when justified, loans may be consolidated or rescheduled for up to 15 additional years. The interest rate for guaranteed loans is negotiated between the lender and borrower. The interest rate for direct loans is determined by the Secretary of Agriculture. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Loans funds may be released in one lump sum or increments during the operating period.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Records on production, income, expenses during the period of the loan.

**Account Identification:**

12-4212-0-3-351 - Direct Loans Financing Account; 12-1140-0-1-351; 12-4213-0-3-351 - Guaranteed Loans Financing Account.

**Obligations:**

(Direct Loans) FY 11 \$1,049,257,000; FY 12 est \$1,050,090,000; and FY 13 est \$1,050,089,000 - Direct Operating Loans FY 2011 Total Actual Obligations \$1,049,257,000. (Guaranteed/Insured Loans) FY 11 \$1,173,182,000; FY 12 est \$1,501,495,000; and FY 13 est \$1,500,000,000 - Guaranteed Operating Loans FY 2011 Total Actual Obligations \$1,173,182,000.

**Range and Average of Financial Assistance:**

Direct Operating Loan up to \$300,000;  
Guaranteed Operating Loans up to \$1,214,000. (amount adjusted annually for inflation);  
FY 2011: Direct Operating Loan average loan size approximately \$64,000.  
FY 2011: Guaranteed Operating Loan average loan size approximately \$230,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 16,395 Direct Operating Loans were made in FY 2011 for total obligations of \$1,049,257,000 and 5,110 Guaranteed Operating Loans were made in FY 2011 for total obligations at \$1,173,182,000. Fiscal Year 2012: Fiscal Year 2012: The Agency estimates 16,408 direct loans being made in FY 2012 for total obligations estimated at \$1,050,090,000 and estimates 6,794 guaranteed operating loans being made for total obligations estimated at \$1,501,495,000. Fiscal Year 2013: Fiscal Year 2013: The Agency estimates 16,408 direct loans being made in FY 2012 for total obligations estimated at \$1,050,089,000 and estimates 6,787 guaranteed operating loans being made for total obligations estimated at \$1,500,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 761, 762, 764. Farm Service Agency Fact Sheets; FSA Handbook 1 FLP, 2 FLP, 3-FLP; Program Aids 1610 "Farm Service Agency Producer's Guide to Loan Programs"; 1620 "Lender's Guide to FSA Loan Programs";

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate FSA State Office listed in Appendix IV of the Catalog. Visit the FSA website at [www.fsa.usda.gov](http://www.fsa.usda.gov).



**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
 1400 Independence Avenue, SW  
 , Washington, District of Columbia 20250-0522 Email:  
 bob.bonnet@wdc.usda.gov Phone: 202-720-3889 Fax: 202-690-1117

**Website Address:**

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

**RELATED PROGRAMS:**

10.404 Emergency Loans; 10.407 Farm Ownership Loans; 10.437 Interest Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.407 FARM OWNERSHIP LOANS**

Farm Ownership Loans (Direct and Guaranteed)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Subtitle A, Sections 302, 310D, Public Laws 100-233, 87-128, 91-620, 95-334, 97-98, 7 U.S.C. 1922; Section 303, Public Laws 87-708, 90-488, 95-113, 96-438, 7 U.S.C. 1923; Section 305, Public Law 92-419, 7 U.S.C. 1925; Section 307, Public Law 97-35, 7 U.S.C. 1927; Section 308, Public Laws, 87-798, 89-240, 92-133, 7 U.S.C. 1928; 7 U.S.C. 1934.

**OBJECTIVES:**

Farm Service Agency's loan programs are designed to help family farmers obtain loans and loan guarantees through the extension of credit and supervisory assistance to become owner-operators of not larger than family farms; make efficient use of the land, labor, and other resources; carry on sound and successful farming operations; and enable farm families to have a reasonable standard of living.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to: (1) Enlarge, improve, and purchase farmland; (2) construct or repair buildings and other fixtures; (3) develop farmland to promote soil and water conservation (4) provide facilities to produce fish under controlled conditions. Guaranteed farm ownership loans may be used to refinance debts under certain conditions.

**Applicant Eligibility:**

An applicant must: (1) Be a citizen of the United States, United States non-citizen national, or a qualified alien under applicable Federal immigration laws; (2) have the legal capacity to incur the obligations of the loan; (3) possess the legal capacity to incur the obligations of the loan; (4) be unable to obtain credit elsewhere or unable to obtain the loan without a guarantee; (5) not have had a previous loan which resulted in a loss to the Agency (with certain conditions); (6) not be delinquent on any federal debt; (7) after the loan is closed, be an owner/tenant operator of a family farm. For an operating loan (OL), the producer must be the operator of a family farm; and (8) not have any controlled substance convictions. In addition, a direct loan applicant must have sufficient education, training, or experience in managing and operating a farm or ranch that demonstrates the managerial ability to succeed in farming. Corporations, cooperatives, joint operations, and partnerships and their members/stakeholders must meet most of these same eligibility requirements, and the entity must also be authorized to operate a farm or ranch in the State where the land is located. To be eligible to obtain a direct loan, a borrower must agree to abide by any "borrower training" requirements. Applicants/borrowers requesting guaranteed loan assistance must meet all lender requirements.

**Beneficiary Eligibility:**

Applicants/borrowers are the direct beneficiaries and must meet the applicant eligibility requirements. Families, individuals, and entities who are or plan to

become farmers, ranchers or aquaculture operators are the beneficiaries.

**Credentials/Documentation:**

Applicants for direct loans must be unable to obtain credit elsewhere and applicants for guaranteed loans must be unable to obtain credit without the guarantee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may apply for direct loans at local FSA offices. Guaranteed loans may be available from local commercial lenders who apply for loan guarantees from FSA.

**Award Procedure:**

FSA determines if the applicant is eligible and reviews the application for repayment ability, security, and compliance with other regulations, approves and obligates the loan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The loan approval official approves or disapproves a completed application. The average approval time for direct loans is 30 days and 10 days for guaranteed loans.

**Appeals:**

From 30 to 60 days. Applicants for direct and guaranteed loans may appeal adverse action taken. The applicant is given an opportunity to appeal the decision to the National Appeals Division. The applicant may, in the final step of the appeals process, request a review by the Director, National Appeals Division, Washington, DC.

**Renewals:**

Applicants may reapply at any time. Applicants denied assistance through the appeal process must establish that substantial change has occurred, since the denial decision.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans justified may be scheduled over a period up to 40 years. The interest rate for guaranteed loans is negotiated between the lender and borrower. See the following for information on how assistance is awarded/released: loan funds may be dispersed in lump sum or increments. See the following for information on how assistance is awarded/released: loan funds may be dispersed in lump sum or increments.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Records on production, income, expenses during the period of the loan.

**Account Identification:**

12-1140-0-1-351; 12-4213-0-3-351 - Guaranteed Loans Financing Account;  
 12-4212-0-3-351 - Direct Loans Financing Account.

**Obligations:**

(Direct Loans) FY 11 \$580,860,000; FY 12 est \$475,000,000; and FY 13 est \$475,000,000 - (Direct Farm Ownership Loans) FY 2011 \$580,860,000; FY 2012 est. \$475,000,000; FY 2013 est. \$475,000,000.  
 Direct Farm Ownership Loans FY 2011 actual obligations \$580,860,000.

(Guaranteed/Insured Loans) FY 11 \$1,906,069,000; FY 12 est \$1,500,000,000; and FY 13 est \$1,500,000,000 - (Guaranteed Farm Ownership Loans) Guaranteed Farm Ownership Loans FY 2011 actual obligations \$1,906,069,000.  
FY 2012 est. \$1,500,000,000;  
FY 2013 est. \$1,500,000,000;.

**Range and Average of Financial Assistance:**

Direct Farm Ownership Loans up to \$300,000;  
Guaranteed Farm Ownership Loans up to \$1,214,000. (amount adjusted annually for inflation).  
FY 2011; Direct Farm Ownership Loan average loan size approximately \$162,000.  
FY 2011; Guaranteed Farm Ownership Loan average loan size approximately \$365,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 3,472 Direct Farm Ownership and 4,886 Guaranteed Farm Ownership Loans were made in FY 2011. Fiscal Year 2012: Agency estimates 2,932 Direct Farm Ownership Loans and 4,110 Guaranteed Farm Ownership Loans for Budget FY 2012. Fiscal Year 2013: Agency estimates 2,932 Direct Farm Ownership Loans and 4,110 Guaranteed Farm Ownership Loans for Budget FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 761, 762, & 764. Farm Service Agency Fact Sheets; FSA Handbook 1 FLP, 2 FLP & 3 FLP; Program Aids 1610, "Farm Service Agency Producer's Guide to Loan Programs"; and 1620, "Lender's Guide to FSA Loan Programs." FSA Website: [www.fsa.usda.gov](http://www.fsa.usda.gov)

**Regional or Local Office:**

None. Contact the appropriate FSA State Office listed in Appendix IV of the Catalog. Visit the FSA website at [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
[bob.bonnet@wdc.usda.gov](mailto:bob.bonnet@wdc.usda.gov) Phone: (202) 720-3889 Fax: (202) 690-1117

**Website Address:**

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

**RELATED PROGRAMS:**

10.404 Emergency Loans; 10.406 Farm Operating Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.410 VERY LOW TO MODERATE INCOME HOUSING LOANS**

(Section 502 Rural Housing Loans)

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949.

**OBJECTIVES:**

To assist very low, low-income, and moderate-income households to obtain modest, decent, safe, and sanitary housing for use as a permanent residence in rural areas.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Direct and guaranteed loans may be used to buy, build, or improve the applicant's permanent residence. New manufactured homes may be financed when they are on a permanent site, purchased from an approved dealer or contractor, and meet certain other requirements. Under very limited circumstances, homes may be re-financed with direct loans. Dwellings financed must be modest, decent, safe, and sanitary. The value of a home

financed with a direct loan may not exceed the area limit. The property must be located in an eligible rural area. Assistance is available in the States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's, and the Trust Territories of the Pacific Islands. Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-income is between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principal, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history. The property must be located in an eligible rural area. Direct loans are made at the interest rate specified in RD Instruction 440.1, Exhibit B (available in any Rural Development local office), and are repaid over 33 years or 38 years for applicants whose adjusted annual income does not exceed 60 percent of the area median income, if necessary to show repayment ability. Payment assistance is granted on direct loans to reduce the installment to an "effective interest rate" as low as one percent, depending on adjusted family income. Payment assistance is subject to recapture by the government when the customer no longer resides in the dwelling. There is no funding provided for deferred mortgage authority or loans for deferred mortgage assumptions. Guaranteed loans may be made to refinance either existing RD Guaranteed Housing loans or RHS Section 502 Direct Housing loans. Guaranteed loans are amortized over 30 years. The interest rate is negotiated with the lender.

**Applicant Eligibility:**

Applicants must have very low-, low- or moderate incomes. Very low-income is defined as below 50 percent of the area median income (AMI); low-income is between 50 and 80 percent of AMI; moderate income is below 115 percent of AMI. Families must be without adequate housing, but able to afford the housing payments, including principal, interest, taxes, and insurance (PITI). Qualifying repayment ratios are 29 percent for PITI to 41 percent for total debt. In addition, applicants must be unable to obtain credit elsewhere, yet have an acceptable credit history.

**Beneficiary Eligibility:**

Applicants must meet eligibility requirements. Guaranteed Loan Low and Moderate income eligible.

**Credentials/Documentation:**

Applicants may need to submit evidence of inability to obtain credit elsewhere, verification of income, debts, and other information on the application; plans, specifications, and cost estimates. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For direct loans, application is made at the Rural Development field office serving the county where the dwelling is or will be located. For guaranteed loans, application is made to a participating private lender.

**Award Procedure:**

Rural Development field offices have authority to approve most Direct loan requests. Processing of guaranteed loans varies in each State. Consult your local telephone directory under U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/lcoator/app> for a State Office listing. If no backlog exists, decisions on direct loan applications are made within 30 to 60 days. Requests for guarantee loans are acted upon in 3 days of receipt of the lender's request for guarantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

For direct loans, from 30 to 60 days subject to availability of funds, from the

time the application is filed if no backlog of applications exists. A 'pre-qualification' may be provided to potential direct loan applicants upon call or visit to a Rural Development office, though results are not binding. For guarantees, a decision is required within 3 days of loan package submission by the approved lender.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no matching requirements. A basic formula is used to allocate program funds to various States. The criteria used in the basic formula include the States percentage of the National: Number of rural occupied standard units, rural population, rural population in places of less than 2,500 population, number of rural households between 50 and 80 percent of the area median income, and number of rural households below 50 percent of the area median income. The data source for each of these criteria is based on the latest census data available.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of quarterly allocations. Funds may be disbursed at loan closing or deposited in a supervised bank account for purchase of a building site, and purchase or repair of a dwelling, or in multiple advances for construction. For guaranteed loans, funds are disbursed after all work is complete. Applications for direct loans far exceed available funding. There is generally a waiting list for direct loan funding. Method of awarding/releasing assistance: quarterly.

**Reports:**

Borrowers receiving a payment subsidy must submit verification of household income annually for recalculation of benefits. No cash reports are required. Borrowers are not required to, but should retain copies of loan-related documents. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

(Direct Loans) FY 11 \$1,119,158,787; FY 12 est \$900,000,000; and FY 13 est \$652,800,000 - Fiscal Year 2013 figures are based on the President's proposed budget. (Guaranteed/Insured Loans) FY 11 \$16,858,927,513; FY 12 est \$17,000,000,000; and FY 13 est \$18,000,000,000

**Range and Average of Financial Assistance:**

FY 11 Average: 502 Direct Loans (\$115,555), Guaranteed Loans (\$129,271)  
FY 12 Average: 502 Direct Loans (\$113,047), Guaranteed Loans (\$131,772)  
Loans in high cost areas may be higher.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550 "Direct Single Family Housing Loans and Grants." For guaranteed loans, 1980-D "Subpart D -Rural Housing Loans."

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under

U.S. Department of Agriculture for a Rural Development field office listing or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Myron L. Wooden, 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: Myron.Wooden@wdc.usda.gov Phone: (202) 720-4780.

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.415 RURAL RENTAL HOUSING LOANS**

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 515 and 521, Public Law 102-550, 42 U.S.C. 1485, 1490a.

**OBJECTIVES:**

To provide economically designed and constructed rental and cooperative housing and related facilities suited for rural residents.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Loans can be used to construct, or to purchase and substantially rehabilitate rental or cooperative housing or to develop manufactured housing projects. Housing as a general rule will consist of multi-units with two or more family units and any appropriately related facilities. Funds may also be used to provide approved recreational and service facilities appropriate for use in connection with the housing and to buy and improve the land on which the buildings are to be located. Loans may not be made for nursing, special care, or institutional-type homes. Grants are in the form of rental assistance for some units within the underwritten property. The term for an initial Section 515 loan is 30 years with a 50-year amortization period. However, the term for subsequent loans and loans for special types of properties, such as manufactured housing, may be made for a shorter term based on the projects expected useful life. Each loan is made at a note rate established by the Agency as prescribed in RD Instruction 440.1. Borrowers approved for initial and/or subsequent loans receive interest credit, which reduces the effective interest rate for the Agency's financing, thereby lowering the property's rents. In return for this below-market rate financing, the borrower agrees to lease the projects rental units to income-eligible households at rents approved by the Agency. Borrowers operate on a nonprofit or limited-profit basis.

**Applicant Eligibility:**

Applicants may be individuals, cooperatives, nonprofit organizations, State or local public agencies, profit corporations, trusts, partnerships, limited partnerships, and be unable to finance the housing either with their own resources or with credit obtained from private sources. However, applicants must be able to assume the obligations of the loan, furnish adequate security, and have sufficient income for repayment. They must also have the ability and intention of maintaining and operating the housing for purposes for which the loan is made. Loans may be made in communities up to 10,000 people in MSA areas and some communities up to 20,000 population in non- MSA areas. Applicants in towns of 10,000 to 20,000 should check with their local Rural Development; office to determine if the agency can serve them. Assistance is available to eligible applicants in States, Puerto Rico, the Virgin Islands, Guam,

American Samoa, the Northern Mariana's, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Occupants must be very low-, low- or moderate-income families households, elderly, handicapped, or disabled persons.

**Credentials/Documentation:**

Applicants must furnish evidence of the following: (a) A comprehensive market analysis showing the need for such service; (b) a legal capacity to incur the obligation and operate the housing; (c) a sound budget; (d) good credit history; (e) inability to obtain necessary funds from other sources on terms and conditions that would enable the applicants to rent the units for amounts that are within payment ability of eligible very low, low-, or moderate-income family, households, elderly, handicapped, or disabled occupants. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For FY 2012 the Section 515 Program will be awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register.

**Award Procedure:**

Applications will be scored on the following factors: (1) the presence and extent of leveraged assistance for the units that will serve RHS income-eligible tenants at basic rents comparable to those if RHS provided full financing, computed as a percentage of the RHS total development cost. (0 to 30 points); (2) the units to be developed are in a Colonia, tribal land, EZ, EC, or REAP community, or in a place identified in the State Consolidated Plan or State Needs Assessment as a high need community for multifamily housing. ("State" refers to the State Government.) (20 points); (3) the loan request includes donated land meeting the provisions of 7 CFR section 3560.56(c)(1)(iv). (5 points); (4) in States where RHS has an on-going formal working relationship, agreement or Memorandum of Understanding (MOU) with the State to provide State resources (State funds, State RA, HOME funds, CDBG funds, or Low-Income Housing Tax Credits) for RHS proposals; or where the State provides preference or points to RHS proposals in awarding such State resources, 20 points will be provided to loan requests that include such State resources in an amount equal to at least 5 percent of the total development cost. (National office initiative) (20 points); (5) Presidentially Declared Disaster Area Pursuant to 7 CFR 3560.56(c)(1)(iii), points will be awarded if the property will be constructed or rehabilitated in a Presidentially declared disaster area in 2011. (10 points); and (6) Energy Initiatives, Properties may receive points for energy initiatives. (0 to 42 points).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 30 days, States will review and score the applications and submit a list of applications in rank and point score order to the National Office. Following the State's submission of applications to the National Office, within 30 days the National Office will rank applications on a nation-wide basis and advise States of the results.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application.

**Renewals:**

Applicants may reapply at next Notice of Funding Availability (NOFA).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans are for up to 30 years at an effective 1 percent interest rate, and are amortized over 50 years. A current rate is used for the promissory note but thereafter is used only to determine maximum rent payments. Tenants pay basic rent or 30 percent of adjusted income, whichever is greater. RHS rental assistance subsidy can be used to limit tenant payment to 30 percent of their income. Loans made through contracts entered into on or after December 15, 1989 cannot be prepaid. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Monthly progress reports are to be made to the Rural Development Manager, during the first six months of successful operation and each month thereafter until discontinued by the Rural Development Manager. Annual reports required thereafter. Expenditure reports are not applicable. Annual reports required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For borrowers not covered under OMB Circular No. A-133, annual audits conducted in accordance with Government Auditing Standards are required from borrowers with 25 or more units in any project. In accordance with the provisions of 7 CFR Part 3052, "Audits of States, Local Governments, and Non-Profit Organizations," which implement OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Good business records required.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371.

**Obligations:**

(Direct Loans) FY 11 \$18,036,667; FY 12 est \$64,478,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the NOFA which lists Offices to contact or consult your local telephone directory for Rural Development county or district office number. If no listing, get in touch with appropriate Rural Development State office listed in Appendix IV of the Catalog or on the internet at [http://www.rurdev.usda.gov/recd\\_map.html](http://www.rurdev.usda.gov/recd_map.html).

**Headquarters Office:**

Director, Multi-Family Housing Processing Division, Rural Development Department of Agriculture, Washington, District of Columbia 20250 Phone: (202) 720-1604.

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.427 Rural Rental Assistance Payments

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.417 VERY LOW-INCOME HOUSING REPAIR LOANS AND GRANTS**

(Section 504 Rural Housing Loans and Grants)

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, Title V, Section 504, as amended, Public Laws 89-117, 89-754, and 92.310, 42 U.S.C. 1474.

**OBJECTIVES:**

Section 504 loans and grants are intended to help very low-income owner-occupants in rural areas repair their properties.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to make general repairs and improvements to properties or to remove health and safety hazards. Grant funds may be used only to pay for the costs for repairs and improvements that will remove identified health and safety hazards or to repair or remodel dwellings to make them accessible for household members with disabilities. Loans and grants are typically used for repair or replacement of heating, plumbing or electrical services, roof or basic structure as well as water and waste disposal systems, and weatherization. Loans bear an interest rate of one percent and are repaid over a period up to 20 years. In addition to the above purpose, loan funds may be used to modernize the dwelling. Maximum loan amount cannot exceed a cumulative total of \$20,000 to any eligible person and maximum lifetime grant assistance is \$7,500 to any eligible person. The house must be located in an eligible rural area which does not exceed 10,000 population. Some places with populations between 10,000 and 25,000 may be eligible if not within a Metropolitan Statistical Area (MSA). Assistance is available in States, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Northern Mariana's and the Trust Territories of the Pacific Islands.

**Applicant Eligibility:**

Applicants must own and occupy a home in a rural area; and be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for that part of the assistance received as a grant. Applicant's income may not exceed the very low-income limit set forth in RD Instructions.

**Beneficiary Eligibility:**

Applicants must own and occupy a home in a rural area; and be a citizen of the United States or reside in the United States after having been legally admitted for permanent residence or on indefinite parole. Loan recipients must have sufficient income to repay the loan. Grant recipients must be 62 years of age or older and be unable to repay a loan for the part of the assistance received as a grant. Applicant's income may not exceed the very low-income limit set forth in RD Instructions.

**Credentials/Documentation:**

Evidence of ownership and verification of income and debts. Grant recipients must provide evidence of age. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applicants must file an application form at the Rural Development field office serving the county where the dwelling is located.

**Award Procedure:**

Delegated to Local or Area Loan Approval Official.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days from time applications are filed if no backlog of applications exists. Applications for assistance far exceed available funding. There is generally a waiting list for funding.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. The following basic formula criteria are to allocate program loan funds to various States:  $(A \times .50 + B \times .50) \times \text{funds available} = \text{State basic formula allocation}$ . Where "A" is State's percentage of national number of rural occupied units; and "B" is State's percentage of national number of rural households below 50 percent of area median income. The formula for grants is:  $(A \times 1/3 + B \times 1/3 + C \times 1/3) \times \text{funds available} = \text{State basic allocation}$ . Where "C" is State's percentage of national rural population 62 years of age and older. The data source for each of these criteria are based on the latest census data available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This assistance is available throughout the year by means of an established allocation system. Funds are usually released to borrowers/grantees as a lump sum payment for completed repairs or, as needed, for repairs in progress. See the following for information on how assistance is awarded/released: Contact regional office or headquarters as appropriate for additional information.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Borrowers and/or grantees are not required to, but should retain copies of loan or grant-related documents.

**Account Identification:**

12-4141-0-3-371; 12-2081-0-1-371; 12-2064-0-1-604.

**Obligations:**

(Direct Loans) FY 11 \$21,851,027; FY 12 est \$10,000,000; and FY 13 est \$28,000,000 - Fiscal Year 2013 estimates are based on the President's Proposed Budget. (Project Grants) FY 11 \$31,244,176; FY 12 est \$29,500,000; and FY 13 est \$28,200,000 - Fiscal Year 2013 estimates are based on the President's Proposed Budget.

**Range and Average of Financial Assistance:**

FY 2011 average loan amount is \$5,399. FY 2011 average grant amount is \$5,674.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3550, Direct Single Family Housing Loans and Grants. (no charge); Home Improvement and Repair Loans, PA-1184, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.gov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Myron L. Wooden, 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: Myron.Wooden@wdc.usda.gov Phone: (202) 720-4780.

**Website Address:**

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

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.420 RURAL SELF-HELP HOUSING TECHNICAL ASSISTANCE**

(Section 523 Technical Assistance)

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 523, Public Laws 89-117 and 89-754, 42 U.S.C. 1490c.

**OBJECTIVES:**

To provide Self-Help Technical Assistance Grants to provide financial assistance to qualified nonprofit organizations and public bodies that will aid needy very low and low-income individuals and their families to build homes in rural areas by the self help method. Any State, political subdivision, private or public nonprofit corporation is eligible to apply. Section 523 Grants are used to pay salaries, rent, and office expenses of the nonprofit organization. Pre-development grants up to \$10,000 may be available to qualified organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible organizations may use technical assistance funds to hire the personnel to carry out a technical assistance program for self-help housing in rural areas; to pay necessary and reasonable office and administrative expenses; to purchase or rent equipment such as power tools for use by families participating in self-help housing construction; and to pay fees for training self-help group members in construction techniques or for other professional services needed. Funds will not be used to hire personnel to perform any construction work, to buy real estate or building materials, or pay any debts, expenses or costs other than previously outlined for participating families in self-help projects.

**Applicant Eligibility:**

Must be a State or political subdivision, public nonprofit corporation or a private nonprofit corporation. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands, Guam, and the Northern Marianas.

**Beneficiary Eligibility:**

Very low and low-income rural families, usually in groups of 6 to 10 families.

**Credentials/Documentation:**

Applicants must furnish evidence of the need for such services, have legal capacity to incur the obligation and operate the proposed project, and be unable to obtain the necessary funds from other sources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An

applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Form SF-424 is submitted to the Field office of the Rural Development (RD), including information attached to Part IV, fully documenting the applicant's experience, need for the grant and the proposed amount needed. Attachments relating to the size of the proposed project, estimated cost, budget and need are also required. This program is subject to provisions of Departmental Regulation 3015 and 3016.

**Award Procedure:**

Award is made by the National office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 190 days from the time discussion begins.

**Appeals:**

Agency regulations providing customers with the rights for an informal review, mediation or alternative dispute resolution (ADR), or appeal to the National Appeals Division (NAD) are contained in 7 CFR Part 3550. NAD regulations are found at 7 CFR Part 11. Requests for an informal review, mediation and ADR must be received within 30 days from the date of the adverse decision. Requests for an appeal to NAD must be received within 30 days of receipt of the adverse decision.

**Renewals:**

Applicants may reapply at any time, if needed to help low-income families build homes in rural areas by the mutual self-help method is clearly evidenced.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are typically for a 2-year period, however, other time periods may be authorized if appropriate. Applications for assistance far exceed available funding. There is generally a waiting list for funding. See the following for information on how assistance is awarded/released: Award is made by the National Office.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are to be made to the RD-Housing Programs District Office. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits should be made as part of the recipient's systems of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Adequate operating records must be maintained by Grantee.

**Account Identification:**

12-2006-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$31,434,181; FY 12 est \$30,000,000; and FY 13 est \$10,000,000 - Fiscal Year 2013 estimates are based on the President's proposed budget.

**Range and Average of Financial Assistance:**

FY 2011 average grant assistance \$683,351.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Subpart I of Part 1944; Chapter XVIII; RD Instruction 1944-I, "Self-Help Technical Assistance Grants"; (PA 1254) (no charge).

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Akua Assata 1400 Independence Ave. SW, Washington, District of Columbia 20250 Email: [akua.assata@wdc.usda.gov](mailto:akua.assata@wdc.usda.gov) Phone: (202) 690-3832

**Website Address:**

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

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are the evidence of a clearly defined need in an area for mutual self-help housing and the families in the area cannot afford or obtain a modest house by customary methods, and the applicant possesses the expertise to provide the technical assistance (TA) required.

**10.421 INDIAN TRIBES AND TRIBAL CORPORATION LOANS****FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Farm and Rural Development Act. Agriculture Act of 1961, Title III, Public Law 87-128.

**OBJECTIVES:**

To enable federally recognized Indian tribes and tribal corporations to acquire land within tribal reservations and Alaskan communities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loan funds may be used to acquire land and interest therein for the benefit and use of the tribe or its members for purposes such as rounding out farming and ranching units or elimination of fractional heir ships. Funds may also be used for incidental costs connected with land purchase such as appraisals, title clearance, legal services, land surveys, and loan closing. Loan funds may be used to refinance non-United States Department of Agriculture preexisting debts that applicant incurred to purchase land subject to certain conditions. Loan funds cannot be used for any improvement or development purposes, acquisition or repair of buildings or personal property, payment of operating costs, payment of finder's fees, or similar costs.

**Applicant Eligibility:**

Limited to any Indian tribe recognized by the Secretary of the Interior or tribal corporation established pursuant to the Indian Reorganization Act or community in Alaska incorporated by the Secretary of Interior pursuant to the Indian Reorganization Act which does not have adequate uncommitted funds to acquire lands within the tribe's reservation or in a community in Alaska. The tribe must be unable to obtain sufficient credit elsewhere at reasonable rates and terms and must be able to show reasonable prospects of repaying the loan as determined by an acceptable repayment plan and a satisfactory management plan for the land being acquired.

**Beneficiary Eligibility:**

American Indian Tribe or tribal corporation recognized by the Secretary of the Interior, or a community in Alaska incorporated by the Secretary of the Interior.

**Credentials/Documentation:**

Credentials provided by the Secretary of the Interior. Feasibility documentation must be supplied by the applicant. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under

OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application Form FSA 770-2620 will be submitted to the State FSA offices. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

After an application has been recommended by Agency loan specialist, the State Executive Director has final approval authority on loans up to \$500,000. Loans in excess of that amount require the National office approval. Following approval, payment authorization is forwarded to the National Finance Office which issues the check.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 90 days.

**Appeals:**

From 30 to 60 days. If an application is rejected, the reasons for rejection are fully stated and appropriate appeal rights given. The applicant may reapply at any time that the reasons for rejection are corrected. If not satisfied with the State Executive Director's action, the applicant is given an opportunity to appeal the decision to the National Appeals Division decision making process. The applicant may in the final step of the appeals process, ask for a review of the decision by the Director of the National Appeals Division, Washington, DC.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans may be scheduled over a period not to exceed 40 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Records and accounts are required to reflect the operations of the project.

**Account Identification:**

12-1140-0-1-351; 12-4212-0-3-351 - Direct Loans Financing Account.

**Obligations:**

(Direct Loans) FY 11 \$0; FY 12 est \$2,000,000; and FY 13 est \$2,000,000 - No loans were made in FY 2011.

**Range and Average of Financial Assistance:**

No Current Data Available. No loans were made in FY 2011.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bob bonnet USDA-FSA-DAFLP-LMD  
1400 Independence Ave, SW, Washington, District of Columbia 20250-0522

Email: bob.bonnet@wdc.usda.gov Phone: 202-720-3889 Fax: 202-690-1117

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.427 RURAL RENTAL ASSISTANCE PAYMENTS**

(Rental Assistance)

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 521, Public Laws 90-448 and 93-128, 42 U.S.C. 1490a.

**OBJECTIVES:**

To reduce the tenant contribution paid by low-income families occupying eligible Rural Rental Housing (RRH), Rural Cooperative Housing (RCH), and Farm Labor Housing (LH) projects financed by the Rural Housing Service (RHS) through its Sections 515, 514 and 516 loans and grants.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Rental assistance may be used to reduce the rents paid by low-income senior citizens or families and domestic farm laborers and families whose rents exceed 30 percent of an adjusted annual income. Tenants who may be eligible must occupy units in eligible RRH, RCH and LH projects financed by RHS.

**Applicant Eligibility:**

To be eligible to participate in the rental assistance program, borrowers must have an eligible project. All projects must convert to Interest Credit Plan II before they are eligible, except direct RRH and insured RRH loans approved prior to August 1, 1968, and LH loans and grants. For a borrower to have an eligible project, the loan must be an RRH insured or direct loan made to a broad-based nonprofit organization, or State or local agency or; an RRH insured loan made to an individual or organization who has or will agree to operate the housing on a limited profit basis as defined in 7 CFR 3560.254 (a) or; an RCH insured or direct loan or; an LH loan, or an LH loan and grant combination made to a broad-based nonprofit organization or nonprofit organization of farm workers or a State or local public agency. New construction and/or rehabilitation projects, utilizing the Section 8 program from HUD will not be considered eligible projects, although it may be used for eligible families in existing projects utilizing Section 8 for part of the units.

**Beneficiary Eligibility:**

Any very low and low-income family, handicapped or senior citizen that is unable to pay the approved rental rate for an eligible RHS rental assistance unit within 30 percent of their adjusted monthly income. Households eligible for rental assistance are those 1) whose net tenant contribution to rent, determined in accordance with 3560.203 (a)(2), is less than the basic rent for the unit; 2) who meet the occupancy rules established by the borrower in accordance with 3560.155 (e); and 3) who have a signed, unexpired tenant certification form on file with the borrower. Additional eligibility requirements must be met for Section 514 Farm Labor Housing Program occupancy.

**Credentials/Documentation:**

The applicant must be the owner or plan to become an owner of an eligible RHS RRH,RCH, or LH project operating on a limited profit or nonprofit basis. This program is excluded from coverage under 7 CFR 3015 or 3016. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is eligible for coverage

under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible borrowers will initiate the processing by submitting Form RD 3560-25, "Request for Rental Assistance". Applications shall then be reviewed under the procedure set forth in 7 CFR 3560.255. This program is excluded from coverage under 7 CFR 3015 or 3016.

**Award Procedure:**

After the application has been reviewed by the Rural Development Manager, it is given final approval by the State Director. The State Director will determine the number of rental assistance units to be given from the total of units that were allocated to the State. Projects may be eligible for rental assistance for up to 100 percent of the number of units in the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days from the time Form RD 3560-25, "Request for Rental Assistance" is filed.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application under the provisions of RD Instruction 1900-B.

**Renewals:**

Rental assistance contracts for new as well as existing projects may be renewed at the end of the original contract subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statistical factors used for fund allocation are: (1) State percentage of RHS rural population and the source is "2000 Census" updated by ERS; (2) State percentage of RHS rural housing units lacking plumbing and/or overcrowded and the source is "2000 Census"; and (3) State percentage of persons in poverty living in RHS rural areas and the source is "2000 Census."

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Rental assistance contracts shall be funded subject to the availability of funds and appropriation language. See the following for information on how assistance is awarded/released: See above.

**Reports:**

The borrower must initially submit Form RD 3560-8, "Tenant Certification," for each tenant. Subsequent tenant certifications must be obtained annually and submitted to the Rural Development Manager. Quarterly progress reports are to be made to the Rural Development Manager during the first year of successful operation and each quarter thereafter until discontinued by the Rural Development Manager. An annual report will also be necessary. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Borrowers not covered by OMB Circular No. A-133, are required to provide annual financial reports in accordance with 7 CFR 3560.308.

**Records:**



Adequate operating records must be maintained by borrower.

**Account Identification:**

12-0137-0-1-604; 12-2002-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$953,723,730; FY 12 est \$904,653,000; and FY 13 est \$907,000,000

**Range and Average of Financial Assistance:**

From 30 to 90 days from the time Form RD 3560-25, "Request for Rental Assistance is filed.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3560, Direct Multi-Family Housing Loans and Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.gov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Multi-Family Housing Portfolio Management Division, Rural Housing Service U.S. Department of Agriculture, Washington, District of Columbia 20250 Phone: 202-720-1615

**Website Address:**

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

**RELATED PROGRAMS:**

10.405 Farm Labor Housing Loans and Grants; 10.415 Rural Rental Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.433 RURAL HOUSING PRESERVATION GRANTS**

Rural Housing Preservation Grants

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 533, Public Law 98-181, 42 U.S.C. 1480.

**OBJECTIVES:**

To assist very low- and low-income rural residents individual homeowners, rental property owners (single/multi-unit) or by providing the consumer cooperative housing projects (co-ops) the necessary assistance to repair or rehabilitate their dwellings. These objectives will be accomplished through the establishment of repair/rehabilitation, projects run by eligible applicants. This program is intended to make use of and leverage any other available housing programs which provide resources to very low and low-income rural residents to bring their dwellings up to development standards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Organizations may use less than 20 percent of the Housing Preservation Grant funds for program administration purposes, such as to hire the personnel to carry out a project of housing rehabilitation to meet the needs of very low and low-income persons in rural areas; to pay necessary and reasonable office and administrative expenses; and to pay reasonable fees for training of organization personnel. Eighty percent or more of funds must be used for loans, grants or other assistance on individual homes, homeowners, rental properties or co-ops to pay any part of the cost for repair or rehabilitation of structures; funds may not be used to hire personnel to perform construction or to pay any debts, expenses or costs other than previously outlined and approved in the project

application.

**Applicant Eligibility:**

Must be a State or political subdivision, public nonprofit corporation, Indian tribal corporations, authorized to receive and administer housing preservation grants, private nonprofit corporation, or a consortium of such eligible entities. Applicants must provide assistance under this program to persons residing in open country and communities with a population of 10,000 that are rural in character and places with a population of up to 20,000 under certain conditions.

Applicants in towns with population of 10,000 to 20,000 should check with local Rural Development office to determine if the Agency can serve them. Assistance is authorized for eligible applicants in the United States, Puerto Rico, Virgin Islands, and the territories and possessions of the United States.

**Beneficiary Eligibility:**

Very low and low-income rural individuals and families who are homeowners and need resources to bring their housing up to code standards, rental property owners, or co-ops.

**Credentials/Documentation:**

Applicants must have the financial, legal, administrative, and operational capacity to carry out the objectives of the program by having experience in rural housing rehabilitation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In FY 2012, the Section 533 program was awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register.

**Award Procedure:**

Award is made by the Rural Development State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notice of action taken on preapplications will be generally within 60 days of final date of acceptance of preapplication.

**Appeals:**

Applicants may request reconsideration on the basis of pertinent facts concerning their application within 30 days of notification of action taken on the preapplication or application.

**Renewals:**

Applicants may apply for an additional HPG grant when they have achieved or nearly achieved the goals established for the previous or existing grant. The grantee must file a preapplication for the current fiscal year which will be processed and compared under the project selection criteria to others submitted at that time.

**Formula and Matching Requirements:**

Statutory Formula: Title 7 CFR 1940-L Methodology and Formulas for Allocation of Loan and Grant Funds.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for a 12-month period. Agency consent is required for grants that exceed 1 year. See the following for information on how assistance is awarded/released: The highest-ranking applicant(s) will be selected based on allocation of funds available to the state. Points are awarded based on; (1) percentage of very low-income persons that the applicant proposes to assist (2) percentage of HPG funds (excluding administrative costs) to total fund (3) demonstration of administrative capacity in assisting very low- and low-income

persons to obtain adequate housing based on the organization or a member of its staff having at least one or more years experience successfully managing and operating; (a) a rehabilitation or weatherization type program, (b) a program assisting very low and low-income persons obtain housing assistance, (c) grant programs, there are no outstanding or unresolved audit or investigative findings which might impair carrying out the proposal. (4) The proposed program will be undertaken entirely in rural areas outside Metropolitan Statistical Areas (MSAs), as defined in 7 CFR 1944.656. (5) The program will use less than 20 percent of HPG funds for administration purposes. (6) The proposed program contains a component for alleviating overcrowding as defined in 7 CFR 1944.656. (7) In the event more than one preapplication receives the same amount of points, those pre-applications will then be ranked based on the actual percentage figure used for determining the points as described in the NOFA published in the Federal Register.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Grantees shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-2070-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$9,814,482; FY 12 est \$4,167,178; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Rural Development granted about 156 Housing Preservation Grants for 2,386 housing units. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1944-N, Section 1944.651 through 1944.700, RD Instruction 1944-N. Regulations are available from Rural Development State offices.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Multi-Family Housing, Preservation and Direct Loan Division, Rural Development U.S. Department of Agriculture  
1400 Independence Avenue, S.W., Washington, District of Columbia  
20250-0788 Phone: 202-720-1604

**Website Address:**

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

**RELATED PROGRAMS:**

10.410 Very Low to Moderate Income Housing Loans; 10.417 Very Low-Income Housing Repair Loans and Grants; 10.420 Rural Self-Help Housing Technical Assistance; 14.108 Rehabilitation Mortgage Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must provide a feasible repair rehabilitation program and serve areas with a concentration of substandard housing and very low and low-income persons. In addition, the following criteria will be considered in the selection of grant recipients. Each preapplication and its accompanying statement of activities will be evaluated on: (1) The percentage of very low-income persons assisted; (2) the percentage of use of HPG funds to total cost of housing preservation; (3) the applicant's administrative capacity and experience in (i) housing rehabilitation or weatherization, (ii) assisting very low and low-income persons attain housing assistance and (iii) prior programs no outstanding audits findings; (4) the proposed program will be undertaken in non-Metropolitan Statistical Areas identified by Rural Development as having populations below 10,000 or in remote parts of other rural areas, (i.e., rural areas contained in Metropolitan Statistical Areas with less than 5,000 population); (5) the program will minimize the use of grant funds for administrative purposes, i.e., less than 20 percent of grant funds; (6) the program will alleviate overcrowding in rural residences inhabited by very low and low-income families; and (7) if an existing grantee has met the objectives of its current grant.

**10.435 STATE MEDIATION GRANTS**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Agricultural Credit Act of 1987.

**OBJECTIVES:**

To assist States in establishing and administering mediation programs and services for agricultural producers, creditors of producers (as applicable), and persons directly affected by actions of the Department of Agriculture.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are to be used for the operation and administration of a State's mediation program which has been certified by the Administrator of the Farm Service Agency (FSA) as meeting the requirements of Section 501 (c) of Title V of the Agricultural Credit Act of 1987 (U.S.C. 510), as amended. A grant will not exceed 70 percent of the total fiscal year funds that a qualifying State requires to operate and administer its mediation program, or \$500,000, whichever is less. Eligible costs are limited to those that are reasonable and necessary to carry out the mission of the State's mediation program and may include activities related to the intake and scheduling of cases, the provision of background and selected information regarding the mediation process, financial advisory and counseling services, and the mediation session.

**Applicant Eligibility:**

State governments.

**Beneficiary Eligibility:**

Agricultural producers, creditors of producers (as applicable) and persons directly affected by actions of the Department of Agriculture.

**Credentials/Documentation:**

Have a mediation program which has been certified by the Administrator of FSA, and for which certification has not been withdrawn; provide evidence to justify the estimated costs of operating and administering the State's mediation program. The Governor of a State or head of an entity designated by the Governor of a State must make a written request to FSA on or before August 1 of each year to receive a matching grant during the fiscal year commencing on October 1, of that same year. Request for certification are accepted after August 1 of each year; however, the State will be considered in order of date received for reserved grant funds. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. To be certified as a qualifying State, the mediation program of the State must mediate issues involving agricultural loans (regardless of whether the loans are made or guaranteed by the Secretary of Agriculture or made by third party); and may provide mediation services for disputes involving wetlands determinations, compliance with farm programs including conservation programs, rural water loan programs, grazing on National forest system lands, pesticides, and such other issues, under the jurisdiction of the Secretary meeting the requirements of Section 501 of Title V of the Agricultural Credit Act of 1987 (7 U.S.C. 510), as

amended. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by 7 CFR part 3016, must be used for this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Grant funds will be distributed on a first come, first served basis to qualifying States. If, however, when funds for a fiscal year become available, there are not sufficient funds to give all qualifying States 70 percent of their justified estimated expenses for the fiscal year, the percentage allocation will be reduced so as to give all States the same percentage of their expenses. FSA views the use of grant funds to provide financial advisory or other services in an advocacy context to be inconsistent with the premise of a mediation program, which is to provide a neutral forum for resolution of disputes.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Thirty days from receipt of a complete application package.

**Appeals:**

If a certified State mediation program is available as part of the informal appeal hearing process, the participant will be offered the right to choose such mediation.

**Renewals:**

Section 506 of Title V of the Agricultural Credit Act of 1987, Public Law 100-233 and Section 1853 of the Food, Agricultural, Conservation and Trade Act of 1990, Public Law 101-624, Section 22 of the Agricultural Credit Improvement Act of 1992, Public Law 102-554, Section 282 of the Federal Crop Insurance Reform and Department of Agriculture Reorganization Act of 1994, Public Law 103-354, and the United States Grain Standards Act of 2000, Public Law 106-472.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From beginning to end of the Federal government's fiscal year. Grant will be an annual grant and will run concurrently with the Federal government's fiscal year; reimbursement by Treasury check. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Record keeping will conform to requirements of 7 CFR Part 3016.

**Account Identification:**

12-0170-0-1-351.

**Obligations:**

(Project Grants) FY 11 \$3,634,000; FY 12 est \$3,759,000; and FY 13 est \$4,369,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1946 published on August 26, 1988, 53 FR 32597.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Courtney Dixon 1400 Independence Avenue. SW  
Stop 0523, Washington., District of Columbia 20250-0523 Email:  
courtney.dixon@wdc.usda.gov Phone: 202-720-1360

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Certification by the Administrator, FSA, that mediation program meets the requirements of Section 501 (c) of Title V of the Agricultural Credit Act (Public Law 100-233) as amended; application meets requirements of FSA regulations to be implemented.

**10.437 INTEREST ASSISTANCE PROGRAM**

Interest Assistance Program (Guaranteed Operating Loans)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended.

**OBJECTIVES:**

To provide a 4 percent subsidy to farmers and ranchers, who do not qualify for standard commercial credit. Guaranteed loans are serviced by a lender who has entered into a Lenders Agreement with the agency.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The Interest Assistance Program can be provided for Operating Loans (OL). Under the interest assistance program, FSA will subsidize 4 percent of the interest rate on loans to qualifying borrowers. Operating Loans (OL) may be used: (1) to finance livestock or farm equipment; (2) to pay annual operating expenses or family living expenses; or (3) to refinance debts under certain conditions. Lines of Credit (LOC) are operating loans for annual operating loan purposes. Funds may be advanced and repaid (revolve) throughout the year.

**Applicant Eligibility:**

Individuals, partnerships, or joint operations, legal resident aliens, corporations and cooperatives that meet the eligibility requirements for a guaranteed loan and are able to project the required cash flow margins with the aid of interest assistance.

**Beneficiary Eligibility:**

This program aids both the borrower and lender by providing 4 percent of the interest costs and receiving up to a 90 percent guarantee on the loan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The lender must submit to the agency on behalf of the applicant, all required forms to the FSA county office, where the proposed operation will be located. Contact the lender in your area for completion of all required forms. Additional

information can be obtained by contacting the FSA office in your local area. Farm Service Agency offices are listed in the telephone directory under U.S. Government, Department of Agriculture. Visit FSA website at: [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

One to 30 days.

**Appeals:**

At the time of any rejection FSA will notify the lender and loan applicant of appeal rights and procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Interest Assistance agreements will be granted for a term not to exceed 5 years from the date the first agreement was signed. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

The type of records required will be on a case-by-case basis.

**Account Identification:**

12-4213-0-3-351 - ACIF Guarantee Financing Account; 12-1140-0-1-351.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$62,692,000; FY 12 est \$0; and FY 13 est \$0 - Guaranteed Operating Loans with Interest Assistance: No funding was appropriated in FY 2012 and none was requested in the FY 2013 Budget.

**Range and Average of Financial Assistance:**

Maximum Lifetime limit for interest assistance: \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 318 Interest Assistance Guaranteed Operating Loans were made in FY 2011 for total obligations of \$62,692,000. Fiscal Year 2012: No current data available for 2012. Fiscal Year 2013: No current data available for 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 762 and FSA Handbook 2 FLP. Farm Service Agency Fact Sheets; Program Aid 1664 "Producers Guide to FSA Loan Programs." and Program Aid 1620 "Lender's Guide to FSA Loan Programs." FSA website: [www.fsa.usda.gov](http://www.fsa.usda.gov).

**Regional or Local Office:**

None. Farm Service Agency State Offices can inform applicants of county office locations where applicants may apply for assistance. FSA State Office locations are listed in Appendix IV of the Catalog. Or visit the website at: <http://www.fsa.usda.gov>. FSA has more than 2,500 county offices serving every rural county in the United States.

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
[bob.bonnet@wdc.usda.gov](mailto:bob.bonnet@wdc.usda.gov) Phone: (202) 720-3889 Fax: (202) 690-1117

**Website Address:**

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

**RELATED PROGRAMS:**

10.406 Farm Operating Loans; 10.407 Farm Ownership Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.438 SECTION 538 RURAL RENTAL HOUSING GUARANTEED LOANS**

Rural Rental Housing Guaranteed Loans

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Section 538, Public Law 106-569, 42 U.S.C. 1490p-2.

**OBJECTIVES:**

This program has been designed to increase the supply of affordable multifamily housing in rural areas through partnerships between Rural Development and major lending sources, as well as State and local housing finance agencies and bond insurers. The program provides Federal credit enhancement to encourage private and public lenders to make new loans for affordable rental properties that meet program standards.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The guarantee will encourage the construction of new rural rental housing and appropriate related facilities. Housing as a general rule will consist of projects with five or more dwellings. The guarantee may not be made for nursing, special care or industrial type housing.

**Applicant Eligibility:**

The applicant in this program is the lender. The lender must be approved and currently active with Fannie Mae, Freddie Mac, HUD/FHA insurance programs, Ginnie Mae or be a State or local Housing Finance Agency. A member of the Federal Home Loan Bank System or other lender may be able to participate if they can demonstrate satisfactory experience with multifamily lending.

**Beneficiary Eligibility:**

Occupants must be families or persons with income not in excess of 115 percent of the Median Income at the time of initial occupancy.

**Credentials/Documentation:**

Eligible borrowers include: individual partnerships; profit and not-for-profit corporations; limited liability companies; trusts; State and local agencies; and Indian Tribes. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The lender originates the loan and performs the necessary underwriting and provides the documentation required by the RHS and request for guarantee to the RHS for consideration.

**Award Procedure:**

Rural Development will review all the applications for compliance with the

program requirements and issue the Conditional Commitment of Guarantee with conditions. Once the conditions are met the final Contract of Guarantee will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on applications will normally be rendered within 60-120 calendar days of receipt of a complete application.

**Appeals:**

Applicants may appeal adverse decisions in accordance with 7 CFR Part 11, National Appeals Division.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: The funding takes place as outlined in the Notice of Funding Availability.

**Reports:**

No reports are required.

**Audits:**

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

**Records:**

Good business records and any records required by the lender.

**Account Identification:**

12-0137-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$32,352,940; FY 12 est \$130,000,000; and FY 13 est \$150,000,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Final Rule, 7 CFR 3565, became effective January 19, 2005. Also available in the Guaranteed Rural Rental Housing Program Origination and Servicing Handbook.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or district office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Director, Multifamily Guaranteed Loan Division 1400 Independence Avenue SW, Washington, District of Columbia 20250 Phone: (202) 720-1604

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Provided in the Notice of Funding Availability (NOFA).

**10.443 OUTREACH AND ASSISTANCE FOR SOCIALLY DISADVANTAGED FARMERS AND RANCHERS**

Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (OASDFR),

Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers and Forest Landowners (OASDFRFL); USDA 2501 Grant Program

**FEDERAL AGENCY:**

Departmental Management, Department of Agriculture

**AUTHORIZATION:**

Food, Agriculture, Conservation, and Trade Act of 1990, Section 2501, Public Law 101-624, 7 U.S.C 2279.

**OBJECTIVES:**

The objective of the Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (OASDFR) program is to provide outreach, training, education, assistance, and technical assistance to encourage and assist socially disadvantaged farmers, ranchers and forest landowners in owning and operating farms, ranches and non-industrial forest lands. The intent of the competitive grant program (2501 program) is to communicate in a linguistically appropriate manner, to current and prospective socially disadvantaged farmers, ranchers and forest landowners about participating equitably in the full range of agricultural programs offered by the Department.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide outreach, training, education, assistance, and technical assistance to socially disadvantaged farmers and ranchers on agricultural programs, emphasizing assistance that leads to participation in the full range of agriculture programs offered by the Department.

**Applicant Eligibility:**

As determined in 7 U.S.C. 2279, eligibility is defined as follows: 1890 Land-Grant Institutions, including Tuskegee University and West Virginia State College, Indian Tribal Community Colleges, Alaska Native Cooperative Colleges, Hispanic-serving post-secondary educational institutions, other accredited post-secondary educational institutions, and Indian tribes providing agricultural education or other agriculturally-related services to socially disadvantaged farmers and ranchers in their region, and community-based organizations that: (1) have demonstrated experience in providing agricultural education or other agriculturally related services to socially disadvantaged farmers and ranchers in their region; (2) provides documentary evidence of its past experience in working with socially disadvantaged farmers and ranchers during the 2 years preceding its application for assistance; and (3) does not engage in activities prohibited under Section 501 (c)(3) of the Internal Revenue Code of 1986. Also eligible are organizations or institutions that received funding under 7 U.S.C. 2279(a) before January 1, 1996, but only with respect to projects that the Secretary considers are similar to projects previously carried out by the organization or institution under such subsection.

**Beneficiary Eligibility:**

A farmer, rancher, or forest landowner who is a member of one or more of the following groups whose members have been subjected to racial or ethnic prejudice because of their identity as members of a group without regard to their individual qualities. Groups include, but are not limited to, African-Americans, American Indians, Alaskan Natives, Hispanics, Asians, and Pacific Islanders. The Secretary of Agriculture will determine on a case-by-case basis whether additional groups qualify under this definition, either at the Secretary's initiative or in response to a written request with supporting explanation.

**Credentials/Documentation:**

Applicants must have the financial, legal, administrative, and operational capacity to carry out the objectives of the program by having experience in

agriculture. Costs will be determined in accordance with OMB Circular No. A-122 "Cost Principles for Nonprofit Organizations" and OMB Circular No. A-21, "Cost Principles for Educational Institutions", and as incorporated by USDA regulations (7 CFR parts 3015, 3016, 3019). Community-based organizations should provide a current certification of non-profit status in accordance with section 501(c)(3) of the Internal Revenue Code of 1986 and have dated Articles of Incorporation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Formal proposals should be submitted as outlined in the request for applications or request for proposals. Funding opportunities will be announced on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications are reviewed and evaluated by the OASDFR Program staff members with the assistance and advice of a review panel of appropriate persons that are specialists who are qualified by training and experience in the fields covered by the applications. Applications are ranked and recommended in order of merit and funded to the extent permitted by available funds. Final approval for those applications selected will be made by the Assistant Secretary for Departmental Management, or appropriately redelegated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Notice of action taken on proposals will generally be within 90 days of final date of submission dateline.

**Appeals:**

As stipulated in OMB Circular No. A-110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations, OASDFR shall provide the recipient an opportunity for hearing, appeal, or other administrative proceeding to which the recipient is entitled under any statute or regulation applicable to the action involved. Procedures may differ for appeals concerning non-selected applications and appeals regarding post-award enforcement.

**Renewals:**

Renewal grants will not be issued. However, supplemental funding opportunities to continue work on existing grants may become available, and if so, corresponding application procedures will be announced on [www.grants.gov](http://www.grants.gov). Otherwise, applicants that have previously received a grant, and have achieved the goals established for the previous grant, must reapply for an additional grant in response to a valid funding opportunity announced on [www.grants.gov](http://www.grants.gov).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants can be awarded from one to five years, as stipulated by requests for applications and requests for proposals, announced on [www.grants.gov](http://www.grants.gov). See the following for information on how assistance is awarded/released: Grant payments will be administered through either the U.S. Department of Health and Human Services Payment Management System or the U.S. Department of Treasury ASAP System. Recipient drawdown procedures are to comply with 7 CFR 3019.22 and 7 CFR 3016.21.

**Reports:**

Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and program performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the

Grant Agreement. Quarterly financial reports are due within 30 days after the reporting period. A final financial report is required within 90 days of the expiration of each Grant Agreement. Cash reports, if required by Grant Agreement and/or payment system terms and conditions, are to be completed using the SF-272. Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Requirements for performance/progress reports will be identified in Grant Agreement terms and conditions. Quarterly financial reports are due within 30 days after the reporting period. A final financial report is required within 90 days of the expiration of each Grant Agreement. Expenditure reports, if required by Grant Agreement and/or payment system terms and conditions, are to be completed using the SF-269 or SF-425. If required, specific instructions regarding performance monitoring requirements will be identified in Grant Agreement terms and conditions.

**Audits:**

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

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved. Record retention must comply with applicable Federal and USDA Uniform Administrative Requirements.

**Account Identification:**

12-9915-0-1-350.

**Obligations:**

(Project Grants) FY 11 \$19,000,000; FY 12 est \$19,000,000; and FY 13 est \$19,000,000

**Range and Average of Financial Assistance:**

FY 11: 52 recipients were awarded between \$100,000 and \$400,000. OASDFR expects to award approximately \$19 million FY 12 and FY 13. Funding is expected to be limited to \$400,000 per grant, per year. FY 13 Funding amounts are pending legislative action.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Established in Section 2501 of the 1990 Farm Bill, OASDFR provides technical assistance to reduce the trend among socially disadvantaged producers of engaging in fewer farm program payments, fewer and lower-valued loans, and less outreach and training than other farmers and ranchers. In FY 2010 and FY 2011, the OASDFR Program awarded a total of \$38,000,000 in competitive grants. Of the 94 total project awards, 53 went to Community Based Organizations and 41 to Higher Education Institutions. The OASDFR Program has served more than 100,000 rural constituents and has been an invaluable resource for the more than 400 counties in more than 35 states where it has been implemented. Fiscal Year 2012: \$19,000,000. Fiscal Year 2013: \$19,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

- All Applicants and Awardees
- 7 U.S.C. 2279
- 7 CFR 3015 Uniform Federal Assistance Regulations
- 7 CFR 3018 New Restrictions on Lobbying Higher Education Institutions
- 7 CFR 3019 Uniform Administrative Requirements
- 2 CFR PART 220 Federal Cost Principals Non-Profit Organizations
- 7 CFR 3019 Uniform Administrative Requirements
- 2 CFR PART 230 Federal Cost Principals State and Local Governments (Tribal)

-7 CFR 3016 Uniform Administrative Requirements  
State, Local, and Indian Tribal Governments  
2 CFR PART 225 Federal Cost Principals

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate USDA State Office listed in Appendix IV of the Catalog of Federal Domestic Assistance (CFDA).

**Headquarters Office:**

Carolyn Parker Whitten Building 520-A, Stop 9821  
1400 Independence Avenue, SW, Washington, District of Columbia  
20250-9821 Phone: 202-720-6350

**Website Address:**

<http://www.outreach.usda.gov/oasdftr/>

**RELATED PROGRAMS:**

10.350 Technical Assistance to Cooperatives; 10.500 Cooperative Extension Service; 10.960 Technical Agricultural Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed and evaluated by the OASDFR Program staff members with the assistance and advice of a review panel of appropriate persons that are specialists who are qualified by training and experience in the fields covered by the applications. Applications will be evaluated and then funding recommendations will be determined. Recommended applications will be funded to the extent permitted by available funds. Final approval for those applications selected will be made by Assistant Secretary for Departmental Management, or appropriately redelegated.

**10.446 RURAL COMMUNITY DEVELOPMENT INITIATIVE**

(RCDI)

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

CONSOLIDATED AND FURTHER CONTINUING APPROPRIATIONS ACT, 2012, Public Law 112-55.

**OBJECTIVES:**

To develop the capacity and ability of private, nonprofit community-based housing and community development organizations, and low income rural communities to improve housing, community facilities, community and economic development projects in rural areas. The RCDI grant program for FY 2011 and FY2012 will include an initiative called the Rural Jobs and Innovation Accelerator Challenge, which has been announced in the Notice of Funds Availability (NOFA) on March 21, 2012 in the Federal Register, Vol. 77, No. 55, Page 16519.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Rural Community Development Initiative grants may be used for but are not limited to (a) training sub-grantees to conduct a program on home-ownership education; (b) training sub-grantees to conduct a program for minority business entrepreneurs; (c) providing technical assistance to sub-grantees on how to effectively prepare a strategic plan; (d) provide technical assistance to sub-grantees on how to access alternative funding sources; (e) building organizational capacity through board training; (f) developing training tools, such as videos, workbooks, and reference guides to be used by the sub-grantee; (g) providing technical assistance and training on how to develop successful child care facilities; and (h) providing training on effective fundraising techniques.

**Applicant Eligibility:**

Rural Community Development Initiative grants may be made to a legally qualified private or public (including tribal) organization that provides technical assistance to nonprofit community-based housing and community development organizations, and low income rural communities. The grantee must provide a

program of technical assistance to the recipient entity. The grantee must have been legally organized for a minimum of three years prior experience working with nonprofit organizations or low-income rural communities in the areas of housing, community facilities, or community and economic development. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Recipient entities must be legally organized private, nonprofit community-based housing and community development organizations, low income rural communities, and Federally recognized Indian Tribes.

**Credentials/Documentation:**

Have the legal, financial, administrative, and operational capacity relative to the activity for which assistance is requested. Have necessary background and experience with proven ability to perform responsibly in the areas of housing, community facilities, or community and economic development. Have the ability to work within established guidelines. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures will be announced in the Federal Register and on the Grants.gov web site.

**Award Procedure:**

Award is made by the Administrator, Housing and Community Facilities Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As required, 90 days to 120 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of the decision from the National Appeals Division, USDA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The grantee must provide matching funds at least equal to the amount of the grant in the form of cash or committed funding. (No in-kind contributions).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposals must be structured to utilize the Rural Community Development Initiative grant funds within 3 years from the execution of the Rural Community Development Initiative grant agreement. See the following for information on how assistance is awarded/released: Applications received in accordance with the Federal Register Notice of Funding Availability are evaluated and the highest scoring applicants are awarded grants subject to the availability of appropriated funds. Contact regional office or headquarters as appropriate for additional information.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Grantee submits report detailing expenditures and progress as required by the grant agreement. The grantee will perform self-evaluations by preparing quarterly financial and project performance reports in accordance with the grant agreement for RCDI.

**Audits:**

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

**Records:**

The borrower must maintain adequate records and accounts related to the technical assistance performed.

**Account Identification:**

12-4215-0-3-371; 12-2081-0-1-371.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$3,621,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2010 \$50,000 to \$175,000. Average \$150,050.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations 7 CFR 3015, 7 CFR 3016, 7 CFR 3019, 7 CFR 3052; H.R. 5426 Guidelines announced in NOFA, published in the Federal Register.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development State Office numbers. If no listing, contact the appropriate Rural Development State Office found on the internet at <http://www.rurdev.usda.gov>.

**Headquarters Office:**

Deputy Administrator, Community Programs, Department of Agriculture, Rural Development, Stop 0788  
1400 Independence Avenue, S.W., Washington, District of Columbia  
20250-0788 Phone: (202) 720-1490.

**Website Address:**

[http://www.rurdev.usda.gov/HAD-RCDI\\_Grants.html](http://www.rurdev.usda.gov/HAD-RCDI_Grants.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are received are competitively scored and the highest scoring are awarded grants until appropriated funds are exhausted. Factors considered for project selection include but are not limited to median household income, rural population, and points for evaluation criteria published in the notice of funding availability (NOFA).

**10.447 THE RURAL DEVELOPMENT (RD) MULTI-FAMILY HOUSING REVITALIZATION DEMONSTRATION PROGRAM (MPR)**

(Restructuring Program)

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Housing Act of 1949, as amended, Sections 514/516 and 515, and The Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2008 (Public Law 110-161).

**OBJECTIVES:**

To preserve and revitalize existing rural rental housing and farm labor housing projects financed by RHS under Section 515 and Sections 514/516 of the Housing Act of 1949 and to ensure that sufficient resources are available in order to continue to provide safe and affordable housing for very low- and low-income residents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds will be used to meet the physical needs of rental and farm labor housing properties financed under Section 515 and Sections 514/516 of the Housing Act of 1949. Related soft costs are also eligible. Owners or buyers are required to agree to a Restrictive Use Covenant for 20 years or the remaining term of any loans or the remaining term of any existing restrictive-use provisions whichever ends later. This ensures the property will be used for low-income housing as defined by the Housing Act of 1949.

**Applicant Eligibility:**

Owners or buyers of financially viable Section 515 financed rental or Section 514/516 labor housing properties.

**Beneficiary Eligibility:**

Low-income rural residents needing safe, decent, and sanitary rental housing are eligible.

**Credentials/Documentation:**

Applicants must provide a Capital Needs Assessment (CNA) to identify the physical needs of the property as well as the estimated cost to make the needed repairs over a 20-year period. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Multi-Family Housing Revitalization Demonstration Program (MPR)  
Pre-application is available electronically at <http://www.rurdev.usda.gov/rd/nofas/index.html> or through contacting the RD State Office in the state where the project is located. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For FY 2012 the MPR program will be awarded through a Notice of Funding Availability (NOFA) announced in the Federal Register.

**Award Procedure:**

Pre-applications will be scored on the following factors: (1) Contribution of funds from other sources; (2) Owner contribution sufficient to pay transaction costs; (3) Age of Project; (4) Transfer and revitalization of troubled projects; (5) Prior Agency approved CNAs; (6) Energy Conservation, Energy Generation, and Green Property Management; (7) New tenant services to be provided by a non-profit organization at no cost to the project and that are available to all tenants; (8) Consolidation of project Operations; (9) Proposed Sale to Non-profit/Public Housing Authority for properties sold to non-profit organizations under the prepayment process, as explained in 7 CFR Part 3560, subpart N.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 45 days from Pre-application submission, pre-applications will be scored and ranked, eligibility will be confirmed, and applicants will be notified of selection for participation and requested to submit full applications.

**Appeals:**

Applicant may request reconsideration on the basis of pertinent facts concerning the application.

**Renewals:**

Non selected applicants may reapply under the next Notice of Funding Availability (NOFA).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.



**Length and Time Phasing of Assistance:**

Debt deferral is the lesser of the remaining term of the existing loan or 20 years. A balloon payment of accrued principal and interest will be due at the end of the deferral period. A revitalization grant for non-profit applicants/borrowers only is limited to the cost of correcting health and safety violations as identified by a CNA. A revitalization zero percent loan will be amortized over 30 years. A soft-second loan with a one percent interest rate will have its interest and principal deferred, to a balloon payment, due at the time the latest maturing Section 514 or 515 loan becomes due. An additional 30-year Section 515 loan at an effective one percent interest rate amortized over a period not to exceed 50 years. An additional 33-year Section 514 loan at an effective one percent interest rate amortized over a period not to exceed 33 years. An additional Section 516 grant not to exceed the lesser of 90 percent of the total development cost, or that portion of the total development cost which exceeds the sum of any amount provided by the applicant from their own resources plus the amount of any Section 514 loans approved for the applicant. See the following for information on how assistance is awarded/released: Typically, participants compete for funding via the NOFA; a selection process ensues based upon set criteria; applications are ranked and scored nationally. Selections are made based on the project type, ranking and scoring. States are given limits on how many applications are selected with a contingency for fall out.

**Reports:**

Tracking and monitoring reports are required for Rural Rental and Farm Labor Housing. Since this is a Demonstration Program, procedures for tracking and monitoring expenditures are under development. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Quarterly or annual financial statements completed using agreed-upon procedures and performance standards described in the RHS Multi-Family Housing Audit Program.

**Records:**

Business records must be retained.

**Account Identification:**

12-2081-0-1-371.

**Obligations:**

(Project Grants) FY 11 \$81,355,314; FY 12 est \$2,000,000; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

The underwriting guidelines include, but are not limited to, the following: The maximum soft-second loan will be limited to no more than \$5,000 per unit; revitalization grants limited to \$5,000 per unit; total assistance provided from a revitalization grant, revitalization zero percent loan, and/or a soft-second loan is limited to \$10,000 per unit; and the maximum Section 515 loan or Section 514/516 loan and grant is limited to no more than \$20,000 per unit.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 2,638 units were repaired and rehabed with the funds. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the NOFA which lists contacts at the National Office and consult your local telephone directory for Rural Development District or State Office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app>.

**Headquarters Office:**

USDA, Rural Development, Preservation and Direct Loan Division, 1400 Independence Avenue, S.W., Mail Stop 0782, Washington, District of Columbia 20250-0781 Phone: (202) 720-1604.

**Website Address:**

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

**RELATED PROGRAMS:**

10.415 Rural Rental Housing Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be selected based on eligibility and ranking and scoring criteria listed in the NOFA.

**10.448 RURAL DEVELOPMENT MULTI-FAMILY HOUSING RURAL HOUSING VOUCHER DEMONSTRATION PROGRAM**

Rural Development Voucher Demonstration Program

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated and Further Continuing Appropriations Act, 2012 (Public Law 112-55) for the Rural Development Voucher Program as authorized under Section 542 of the Housing Act of 1949, as amended, 42 U.S.C. 1471 et. seq. (without regard to Section 542(b)).

**OBJECTIVES:**

The Rural Housing Voucher Demonstration program is designed to provide rental housing assistance vouchers to tenants in properties that prepay their Rural Development mortgage. The amount of this subsidy is the difference between the comparable market rent and the amount of rent being paid by the tenant when prepayment occurs. Prepaying properties may be located anywhere in the 50 states, Puerto Rico, the U.S. Virgin Islands and Guam.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The monthly housing assistance payment for the Rural Development Voucher Program is the difference between the comparable market rent for the family's former Section 515 unit and the tenant's rent contribution on the date of the prepayment. The rental unit must pass a Rural Development health and safety inspection.

The owner must be willing to accept a Rural Development voucher.

Use at HUD Section 8 or other Federally-assisted public housing, is prohibited. The Rural Development voucher may not be used in combination with the Rural Development Rental Assistance program.

**Applicant Eligibility:**

Applicants must (a) be residing in the Section 515 project on the date of the prepayment of the Section 515 loan or upon foreclosure by Rural Development; (b) the date of the prepayment or foreclosure must be after September 30, 2005; (c) as required by 42 U.S.C. 1436a the tenant must be a citizen, U.S. non-citizen national or qualified alien and will so provide proof of citizenship.

**Beneficiary Eligibility:**

Applicants must be citizens, U.S. non-citizen nationals or qualified aliens and have an adjusted household income at or below 80 percent of area median income as determined annually by the U.S. Department of Housing and Urban Development (HUD) to be eligible for a rural housing voucher.

**Credentials/Documentation:**

The applicant must furnish factual evidence that their adjusted household's income is at or below 80 percent of area median income as determined annually by HUD and furnish proof of citizenship to be eligible, or to continue to be eligible, for a rural housing voucher. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

During the prepayment or foreclosure process, Rural Development will evaluate every tenant family to determine if it is low-income. If Rural Development determines a family is low-income, after the foreclosure or prepayment, Rural Development will send the primary tenant a letter offering the family a voucher.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

The voucher is renewable, annually, subject to the availability of appropriations to the USDA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

On an annual basis. See the following for information on how assistance is awarded/released: Assistance is awarded/released on a monthly basis.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-4141-4-0-000.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$12,000,000; FY 12 est \$11,000,000; and FY 13 est \$13,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Director, Portfolio Management Division, USDA, Rural Development, 1400 Independence Avenue, S.W., Stop 0782, Washington, District of Columbia 20250-0782 Email: stephanie.white@wdc.usda.gov Phone: (202) 720-1615.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.449 BOLL WEEVIL ERADICATION LOAN PROGRAM**

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, Public Law 104-180, 7 U.S.C. 1989.

**OBJECTIVES:**

To assist producers and State governmental agencies to eradicate boll weevils from the United States.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Funds may be used to purchase or lease supplies and equipment, to pay entity operating expenses and to pay salaries and benefits. Loan funds may not be used to pay for lobbying, public relations, or related activities.

**Applicant Eligibility:**

Applicants may be determined eligible if the organization: (a) Meets the Animal and Plant Health Inspection Service (APHIS) cost-sharing requirements; (b) possesses a legal nonprofit corporate authority; (c) possesses the legal authority to enter into a contract; (d) operates in an area approved by a majority of cotton producers via referendum; (e) is unable to obtain funds elsewhere; and (f) may pledge producer assets as loan collateral.

**Beneficiary Eligibility:**

The beneficiaries of this program include the local boll weevil organization and agricultural community as well as local, State, and national governments.

**Credentials/Documentation:**

All applicants must be nonprofit entities, authorized to operate under the appropriate State law and for the specific purpose of eradicating boll weevils from the nation's agricultural community. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Complete applications will be accepted by the National Office accompanied by documentation showing the entity's authority to borrow and the operation's ability to make the scheduled loan payment(s).

**Award Procedure:**

Loans will be written within specific credit guidelines as well as within the borrowing entity's documented ability to repay the loan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Agency credit decisions will generally be issued within 60 days of the receipt of a complete loan package.

**Appeals:**

Not Applicable.

**Renewals:**

Boll weevil loans are term loans based upon certain procedural and program criteria. Although loans are not renewed, additional loan requests may be submitted by each entity for consideration.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans can be applied for at anytime during the year. The loan term varies anywhere from 1 to 7 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audited financial statements and profit and loss statements will be annually submitted for review and analysis.

**Records:**

Detailed records will be maintained by each entity in the respective offices. These same records will be made available to the Agency for review upon demand.

**Account Identification:**

12-1140-0-1-351; 12-4212-0-3-351 - Direct Loans Financing Account.

**Obligations:**

(Direct Loans) FY 11 \$0; FY 12 est \$100,000,000; and FY 13 est \$60,000,000 - FY 2012 Program Level funding at 100,000,000. No loans were made in FY 2011.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No loans were made in FY 2011. Fiscal Year 2012: No Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bob Bonnet USDA FSA DAFLP LMD  
1400 Independence Avenue, SW  
, Washington, District of Columbia 20250-0522 Email:  
bob.bonnet@wdc.usda.gov Phone: (202) 720-3889 Fax: (202) 690-1117

**Website Address:**

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

**RELATED PROGRAMS:**

10.025 Plant and Animal Disease, Pest Control, and Animal Care

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.450 CROP INSURANCE****FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended, 7 U.S.C. 1501-1520, Agricultural Adjustment Act of 1938, 7 (U.S.C. 1501; Federal Crop Insurance Act of 1980, as amended, Public Law 101-624; Federal Crop Insurance Reform Act of 1994, Public Law 103-354; Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127; Agricultural Research, Extension, and Education Reform Act of 1998, Public Law 105-185.

**OBJECTIVES:**

The mission of the agency is to promote, support, and regulate sound risk management solutions to strengthen and preserve the economic stability of Americas agricultural producers.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

The Federal Crop Insurance Corporation (FCIC) is a wholly owned government corporation created February 16, 1938 (7 U.S.C. 1501.) The program was amended by Public Law (P.L.) 96-365, dated September 26, 1980, to provide for nationwide expansion of a comprehensive crop insurance plan. FCIC is administered by the Risk Management Agency (RMA), and promotes the national welfare by improving the economic stability of agriculture through a

secure system of crop insurance. FCIC provides an actuarially sound risk management program that protects against agricultural production losses due to unavoidable causes such as drought, excessive moisture, hail, wind, hurricane, tornado, lightning, and insects. In addition to these causes, revenue insurance programs are available under which producers of certain crops are protected against loss of revenue stemming from low prices, poor yields, or a combination of both. Federal crop insurance is available to producers through private insurance companies that market and service policies and also share in the risk. Thus, the program delivery is a joint effort between the Federal government and the private insurance industry.

**Applicant Eligibility:**

Unless otherwise restricted by the insurance policy, owners or operators of farmland, who have an insurable interest in a crop in a county where insurance is offered on that crop, are eligible for insurance.

**Beneficiary Eligibility:**

This program is excluded from coverage under OMB Circular No. A-87.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for crop insurance offered by a company reinsured by FCIC must be filed with a crop insurance sales agent. Both catastrophic and additional coverage are available only from private companies. In general, crops and acreage must be reported to establish insurance coverage for crop insurance and, if not eligible for crop insurance. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The insurance contract becomes effective upon issuance of a Notice of Acceptance by the insurance company. Notices of Acceptance for insurance coverage are issued upon a determination that the applicant is eligible.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 20 days.

**Appeals:**

Appeals should be addressed within 30 days to the National Appeals Division, U.S. Department of Agriculture, Washington, DC 20250.

**Renewals:**

Continuous insurance contract.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Private Industry Crop Insurance Acreage Report; Actual Production History Yield Report; and in the event of a loss, Notice of Damage, Production Worksheet, and proof of loss. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the RMA internal compliance function,

private insurance company auditors, Office of the Inspector General, USDA, and the General Accounting Office.

**Records:**

Insured must keep for 3 years, after the end of the crop year, records of harvesting, shipments, sale or other disposition of all insured crops produced on each unit covered by the contract and separate records for any uninsured acreage of the insured crops.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Insurance) FY 11 \$6,045,508,000; FY 12 est \$11,022,150,000; and FY 13 est \$10,821,624,000 - These amounts represent total indemnities. (Insurance) FY 11 \$4,600,900,000; FY 12 est \$3,430,349,000; and FY 13 est \$6,798,534,000 - These amounts represent premium subsidy to farmers through reinsured companies.

**Range and Average of Financial Assistance:**

Level of assistance varies according to policy, crop and indemnities paid.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Risk Management Education and Outreach Partnership Programs were implemented to increase awareness and service to small and limited resource farmers and ranchers and other underserved groups and areas. RMA partnered with qualified entities including Universities, not-for-profits, small businesses, producer organizations, community-based organizations, 1862, 1890, 1994 land grant colleges and universities, and Hispanic Serving Institutions (HSIs) to provide technical program assistance and risk management education on strategies associated with legal, production, marketing, human resources, and labor risks. Projects for FY 2011 totaled more than \$9.6 million and provided education and outreach to producers including, but not limited to women, veterans, small limited resource farmers and ranchers, and other minority producers. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 400 and a brochure "Introduction to Risk Management"- available at no charge.

**Regional or Local Office:**

See Regional Agency Offices. Interested producers should contact their Regional Office listed in Appendix IV of the Catalog, or a private industry crop insurance agent.

**Headquarters Office:**

Anne G. Newman Stop 0835, 1400 Independence Ave.  
, Washington, District of Columbia 20250 Email: anne.newman@rma.usda.gov  
Phone: 2027201416

**Website Address:**

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

**RELATED PROGRAMS:**

10.404 Emergency Loans; 97.022 Flood Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.451 NONINSURED ASSISTANCE**

(NAP)

**FEDERAL AGENCY:**

Farm Service Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996.

**OBJECTIVES:**

To provide crop loss assistance comparable to the catastrophic risk protection level of crop insurance to producers of commercial crops or other agricultural commodities for which the catastrophic risk protection level of crop insurance

is not available.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Eligible crops include each commercial crop or other agricultural commodities (except livestock and their by-products; tobacco; and trees grown for wood, paper, or pulp products) that is produced for food or fiber and specifically includes: Floricultural, ornamental nursery, and Christmas tree crops, turfgrass sod, seed crops, aquaculture (including ornamental fish), and industrial crops. An eligible producer is an owner, landlord, tenant, or sharecropper: (1) Who shares in the risk of producing the crop; (2) who is entitled to share in the crop available for marketing or would have shared had the crop been produced; and (3) whose qualifying gross revenue is less than \$2 million for the preceding tax year for which an application for coverage is filed.

**Beneficiary Eligibility:**

Applicant Eligibility: Eligible crops include each commercial crop or other agricultural commodities (except livestock and their by-products; tobacco; and trees grown for wood, paper, or pulp products) that is produced for food or fiber and specifically includes: floricultural, ornamental nursery, and Christmas tree crops, turfgrass sod, seed crops, aquaculture (including ornamental fish), and industrial crops. An eligible producer is an owner, landlord, tenant, or sharecropper: (1) who shares in the risk of producing the crop; (2) who is entitled to share in the crop available for marketing or would have shared had the crop been produced; and (3) whose qualifying gross revenue is less than \$2 million for the preceding tax year for which an application for coverage is filed.

**Credentials/Documentation:**

Applicants must provide to the local administrative FSA office, annual certifications of acreage, yield, and production. Randomly selected producers and producers requesting program payments must also provide acceptable records of production. Applicants must provide evidence as necessary for a proper determination of their eligibility. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application for coverage in the local administrative FSA office. An applicable service fee must accompany the application. Coverage is effective the later of: (1) 30 days after the application for coverage is filed; (2) date the crop is planted for yield-based crops or the beginning of the crop year for all other eligible crops. Other documentation required to fulfill the application requirements include: (1) A report of acreage, facility, etc.; (2) a notice of loss when the eligible crop is prevented from being planted as a result of eligible natural disaster or the eligible planted crop or commodity suffers loss of yield due to eligible natural disaster; (3) if the crop is harvested, a certification of production, and in the crop year for which an application for payment is filed, acceptable evidence of production, (4) if the crop will not be harvested, a request to the local county FSA office for appraisal; and (5) a certification of gross revenue.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The county committee will normally make a decision regarding the application for payment within 60 calendar days after all required information and documentation is received.

**Appeals:**

Applicants may request reconsideration of a decision by the decision authority or appeal such decisions to a higher authority including the county and State FSA committees and the National Appeals Division.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is normally provided in a single payment following approval of the application for payment. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Applicants must retain financial books and records that permit verification of all transactions for at least 3 years following the end of the calendar year in which an application for coverage is filed.

**Account Identification:**

12-4336-0-3-351.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$71,071,000; FY 12 est \$109,155,000; and FY 13 est \$115,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Procedural handbooks and published regulations are available in county FSA offices.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office.

**Headquarters Office:**

Candace Thompson, 1400 Independence Avenue, SW, Stop 0517, Washington, District of Columbia 20250-0517 Email: candy.thompson@wdc.usda.gov Phone: (202) 720-7641 Fax: (202) 690-2130.

**Website Address:**

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

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.404 Emergency Loans; 10.450 Crop Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.456 PARTNERSHIP AGREEMENTS TO DEVELOP NON-INSURANCE RISK MANAGEMENT TOOLS FOR PRODUCERS (FARMERS)**

**FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Section 522(d) of the Agricultural Risk Protection Act of 2000; 7 U.S.C. 1501 section 522(d), Public Law 106-224, 7 U.S.C 36 sec. 1522(d).

**OBJECTIVES:**

To develop risk management tools (risk management tools do not include insurance products, plans of insurances, policies, modifications thereof or any related material) for the U. S. agriculture producers with an emphasis on specialty crop(s) producers, livestock producers, rangeland producers and producers of underserved commodities currently covered by section 196 of the Agricultural Market Transition Act (7 U.S.C. 733).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The availability of research partnership monies (variable) is announced on a yearly basis. The partnership agreements are for the development of non-insurance risk management tools for use directly by agricultural producers. Each partnership agreement recipient must demonstrate non-financial benefits from the partnership agreement and the partner must agree to substantial involvement of RMA in the project. Indirect costs must be limited to ten percent of the total direct costs.

**Applicant Eligibility:**

Proposals are invited from all qualified public and private entities. Eligible applicants include all colleges and universities, Federal, State, local government agencies, Native American Tribal Organizations, nonprofit and for-profit private organizations or corporations, and other entities. Individuals are not eligible applicants.

**Beneficiary Eligibility:**

The research partnerships will result in the development of non-insurance risk management tools to be utilized by agricultural producers to assist them in mitigating the risks inherent in agricultural production.

**Credentials/Documentation:**

Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other facts may exclude an applicant from receiving Federal assistance under this program (e.g., debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject (as applicable) to the provisions of OMB Circular Nos. A-21, A-87, A-102, A-110, A-122, A-133 and FAR, Part 31. Eligible applicants submit proposals according to published guidelines (generally in the Federal Register). Objectives will vary for the research proposals solicited and funded each year. Application procedures and guidelines may change each year. See the yearly Request for Applications (RFA) for specific guidelines.

**Award Procedure:**

Project funds for successful applicants are awarded to recipients based upon a merit review (panel) of all applications that meet the objectives outlined in the RFA announcement. The evaluation of each application will be conducted by a panel of not less than three independent reviewers. The panel will be comprised of representatives from USDA, other federal agencies, and others representing public and private organizations, as needed. The panel will examine and score applications based on the evaluation criteria and weights contained in the RFA. After assigning points based upon the evaluation criteria and weights, recommended applications will be listed in rank order and presented, along with funding level recommendations, to the Manager of FCIC, who will make the final selection and funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 180 days as specified in the RFA.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal possible depending upon agency review and needs.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each approved project will be funded for a period of up to three years for the activities described in the RFA. Projects can also be in two parts with the first part including the research and feasibility studies and the second part including the development, implementation, delivery and maintenance of the non-insurance risk management tool. If the development of the tool is determined not to be feasible, the partnership may be terminated by RMA after completion of the first part, with funding reduced accordingly. See the following for information on how assistance is awarded/released: upon submission of invoices.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports. FS-269. via progress reports, site visits, and regular correspondence such as phone and e-mail.

**Audits:**

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

**Records:**

Financial records, supporting documentation, statistical records and all other records pertinent to the partnership agreement must be retained for a period of at least 3 years after closing.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$5,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information concerning the Risk Management Agency and associated publications can be obtained using the public website at:  
<http://www.rma.usda.gov>.

**Regional or Local Office:**

See Regional Agency Offices. USDA-Risk Management Agency, Beacon Facility, Mail Stop 0813, PO Box 419205, Telephone: (816) 926-6343. Fax: (816) 926-7343. E-mail: [www.RMARED.Applications@rma.usda.gov](mailto:www.RMARED.Applications@rma.usda.gov).

**Headquarters Office:**

Lana K. Cusick 1400 Independence Ave. SW  
USDA South Building, Room 6717-S  
Stop 0808, Washington, District of Columbia 20250-0808 Email:  
[lane.cusick@rma.usda.gov](mailto:lane.cusick@rma.usda.gov) Phone: 2027203325

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.458 CROP INSURANCE EDUCATION IN TARGETED STATES**

(Targeted States)

**FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended, 7 U.S.C. 1524(a).

**OBJECTIVES:**

The purpose of this cooperative agreement program is to deliver crop insurance education and information to U.S. agricultural producers in certain, designated States that have been historically underserved with respect to crop insurance. The States, collectively referred to as Targeted States, are Connecticut, Delaware, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Entities receiving funding will use funds to (a) plan a local program of crop insurance education for agricultural producers, (b) develop and assemble instructional materials, (c) promote awareness for crop insurance and educational opportunities, (d) deliver crop insurance educational activities to agricultural producers and agribusiness professionals, and (e) document project activities. Applicants may propose additional uses of funds that meet the objectives of the program. RMA will be substantially involved in the management and direction of the project. Indirect costs allowed for projects submitted under this program will be limited to ten percent of total direct costs of the cooperative agreement. Funds may not be used to (a) plan, repair, rehabilitate, acquire, or construct a building or facility including a processing facility; (b) purchase, rent, or install fixed equipment; (c) repair or maintain privately owned vehicles; (d) pay for the preparation of the partnership agreement application; (e) fund political activities; (f) purchase alcohol, food, beverage, or entertainment; (g) pay costs incurred prior to receiving a partnership agreement; or (g) fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable.

**Applicant Eligibility:**

Eligible applicants include State departments of agriculture, universities, non-profit agricultural organizations, and other public or private organizations with the capacity to lead a local program of crop insurance education for farmers and ranchers in a Targeted State. Individuals are eligible applicants. Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other factors may exclude an applicant from receiving federal assistance under this program (e.g. debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards).

**Beneficiary Eligibility:**

The ultimate beneficiaries of this education program are agricultural producers in the Targeted States. Applicants receiving awards will ensure that such producers receive effective crop insurance education and information either directly or through agribusiness professionals that can impart crop insurance information to producers.

**Credentials/Documentation:**

Applicants must demonstrate the capacity to deliver crop insurance education and information programs to producers in the written narratives and statements of work that accompany applications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants must complete and submit a valid application to RMA Headquarters by the application deadline. Requirements for a complete application package and the application deadline are set forth in the Request for Applications. Eligible applicants will also be able to apply electronically using [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Each application will be evaluated using a two-part process. First, each application will be screened by RMA personnel to ensure that it meets the requirements listed in the Request for Applications announcement. Second, a review panel will consider the merits of all applications that meet the requirements in the announcement. The panel will examine and score applications based on the evaluation criteria contained in the Request for Applications. Other review panel information is provided in the Request for Applications announcement. Following its review, the panel will report to the Manager of the Federal Crop Insurance Corporation (FCIC) with a listing of the recommended applicants to receive cooperative agreements. The Manager of FCIC will make the final determination on applications that will be awarded funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally about 120 days from the deadline listed in the Request for Applications.

**Appeals:**

No provision is provided in this program for an appeal.

**Renewals:**

No provision is provided in this program for a renewal.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will normally be available for projects that will begin in July through September and will continue for up to one year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. quarterly reports. quarterly reports. quarterly reports. Regional Office substantial involvement.

**Audits:**

No audits are required for this program.

**Records:**

The recipient will maintain at its place of business all records required by the cooperative agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Salaries) FY 11 \$4,999,821; FY 12 est \$5,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

\$157,000 to \$754,000 per agreement as announced in the Request for Applications.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is announced as a Request for Applications in the Federal Register, [www.Grants.gov](http://www.Grants.gov) and the RMA web site, along with specific information on obtaining an application package. Written procedures are available.

**Regional or Local Office:**

See Regional Agency Offices. RMA has three Regional Offices serving

potential applicants for the fifteen Targeted States. A listing may be obtained from the RMA web site or RMA Headquarters.

**Headquarters Office:**

Lana K. Cusick 1400 and Independence Ave. SW  
USDA South Building, Room 6717-S  
Stop Code 0808, Washington, District of Columbia 20250-0808 Email:  
[lane.cusick@rma.usda.gov](mailto:lane.cusick@rma.usda.gov) Phone: 2027203325

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.459 COMMODITY PARTNERSHIPS FOR SMALL AGRICULTURAL RISK MANAGEMENT EDUCATION SESSIONS**

(COMMODITY PARTNERSHIPS SMALL SESSIONS PROGRAM)

**FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Crop Insurance Act, as amended, 7 U.S.C. 1522 (d).

**OBJECTIVES:**

To deliver training and information during small sessions in the management of production, marketing, and financial risk to U.S. agricultural producers, with a priority to producers of crops not insurable with Federal crop insurance, specialty crops, and underserved commodities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Entities receiving funding will use funds to (a) plan a local program of risk management education for agricultural producers, (b) develop and assemble instructional materials, (c) promote awareness for risk management and educational opportunities, (d) deliver educational activities to agricultural producers and agribusiness professionals, and (e) document project activities. Applicants may propose additional uses of funds that meet the objectives of the program. RMA will be substantially involved in the management and direction of the project. Indirect costs allowed for projects submitted under this program will be limited to ten percent of total direct costs of the partnership agreement. Funds may not be used to (a) plan, repair, rehabilitate, acquire, or construct a building or facility including a processing facility; (b) purchase, rent, or install fixed equipment; (c) repair or maintain privately owned vehicles; (d) pay for the preparation of the partnership agreement application; (e) fund political activities; (f) purchase alcohol, food, beverage, or entertainment; (g) pay costs incurred prior to receiving a partnership agreement; or (h) fund any activity prohibited in 7 CFR Parts 3015 and 3019, as applicable.

**Applicant Eligibility:**

Eligible applicants include State departments of agriculture, universities, non-profit agricultural organizations, and other public or private organizations with the capacity to lead a local program of risk management education for farmers and ranchers in an RMA Region. Individuals are not eligible applicants. Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other factors may exclude an applicant from receiving Federal assistance under this program (e.g. debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant or partnership; a determination of a violation of applicable ethical standards).

**Beneficiary Eligibility:**

The ultimate beneficiaries of this education program are agricultural producers, with a priority for producers of crops not insurable by Federal crop insurance, specialty crops, and underserved commodities. Applicants receiving awards will ensure that such producers receive effective risk management education

and information either directly or through agribusiness professionals that can impart risk management information to producers.

**Credentials/Documentation:**

Applicants must demonstrate the capacity to deliver risk management education and information programs to producers in the written narratives and statements of work that accompany applications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants must complete and submit a valid application to RMA Headquarters by the application deadline. Requirements for a complete application package and the application deadline are set forth in the Request for Applications. Eligible applicants will also be able to apply electronically using [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Each application will be evaluated using a two-part process. First, each application will be screened by RMA personnel to ensure that it meets the requirements listed in the Request for Applications announcement. Second, a review panel will consider the merits of all applications that meet the requirements in the announcement. The panel will examine and score applications based on the evaluation criteria contained in the Request for Applications. Other review panel information is provided in the Request for Applications announcement. Following its review, the panel will report to the Manager of the Federal Crop Insurance Corporation (FCIC) with a listing of the recommended applicants to receive partnership agreements. The Manager of FCIC will make the final determination on applications that will be awarded funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Generally about 120 days from the deadline listed in the Request for Applications.

**Appeals:**

No provision is provided in this program for an appeal.

**Renewals:**

No provision is provided in this program for a renewal.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will normally be available for projects that will begin in July through September and will continue for up to one year. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. quarterly. Regional Offices will provide substantial involvement.

**Audits:**

Not Applicable.

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the respective OMB Circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Salaries) FY 11 \$8,640,187; FY 12 est \$3,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$20,000 - \$100,000 per agreement as described in the Request for Applications.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. RMA has ten Regional Offices nationwide serving potential applicants. A listing may be obtained from the RMA website or RMA Headquarters.

**Headquarters Office:**

Lana K. Cusick 1400 and Independence Ave. SW  
USDA South Building, Room 6717-S  
Stop Code 0808, Washington, District of Columbia 20250-0808 Email:  
[lane.cusick@rma.usda.gov](mailto:lane.cusick@rma.usda.gov) Phone: 2027203325

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.460 RISK MANAGEMENT EDUCATION AND OUTREACH PARTNERSHIPS PROGRAM**

**FEDERAL AGENCY:**

Risk Management Agency, Department of Agriculture

**AUTHORIZATION:**

Federal Crop Insurance Act, 7 U.S.C. 1522(d).

**OBJECTIVES:**

To deliver training and information as well as outreach activities in the management of production, marketing, financial, legal and human risk to the U.S. agricultural producers with a priority to producers of crops not insurable with Federal crop insurance, specialty crops, and underserved commodities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Entities receiving funding will use funds to (a) plan a local program of risk management education and outreach activities for agricultural producers, (b) develop and assemble instructional materials, (c) promote awareness for risk management and education opportunities, (d) deliver education activities to agricultural producers and agribusiness professional, (e) document project activities, (f) report activities and spending as directed by RMA, and (g) measure the results of the training and/or activities. Applicants may propose additional uses of funds that meet the objective and direction of the project. Indirect costs allowed for projects submitted under this program will be limited to ten percent of total direct costs of the cooperative agreement. Funds may not be used to (a) plan, repair, rehabilitate, acquire or construct a building or facility including a processing facility, (b) purchase, rent, or install fixed equipment, (c) purchase portable electronic equipment, (d) repair or maintain privately owned vehicles, (e) pay for the preparation of the cooperative agreement application, (f) pay for scholarships, (g) pay for training of applicant/awardee, (h) fund political activities, (i) purchase alcohol, food, beverage, or entertainment; (j) pay costs associated with 501(c) applications; (k) pay costs incurred prior to receiving a cooperative agreement; or (l) fund any activity prohibited in 7 CFR Parts 3015 and 3019 as applicable.

**Applicant Eligibility:**

Eligible applicants include State departments of agriculture, universities, non-profit agricultural organization and other public or private organizations with the capacity to lead a local program of risk management education for farmers and ranchers in an RMA Region. Individuals are not eligible



applicants. Although an applicant may be eligible to compete for an award based on its status as an eligible entity, other factors may exclude an applicant from receiving Federal assistance under this program (e.g. debarment and suspension; a determination of non-performance on a prior contract, cooperative agreement, grant, or partnership; a determination of a violation of applicable ethical standards.

**Beneficiary Eligibility:**

The ultimate beneficiaries of this education program are agricultural producers with a priority of producers of crops not insurable by Federal crop insurance, specialty crops, and undeserved commodities. Applicants receiving awards will ensure that such producers receive effective risk management education, information and outreach activities that can impact the risk management decision making.

**Credentials/Documentation:**

Applicants must demonstrate the capacity to deliver risk management education, information, and outreach activities to producers in the written narrative and statements of work that are part of the application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants must submit applications in compliance with the criteria outlined in the Request for Applications (RFA) by the deadline specified in the Notice. Applications must be submitted electronically. Hard copy applications are not acceptable. Program application materials may be downloaded from the RMA website at [www.rma.usda.gov](http://www.rma.usda.gov)

**Award Procedure:**

Awards under this program must be made on a competitive basis for projects of up to one year. Each application will be reviewed and rated by a diverse panel based on the evaluation criteria contained in the RFA. Projects will be funded in final rank order until all available funds have been expended. Applicants must score at least 60 or more to be considered for funding. The award instrument is a cooperative agreement between the Risk Management Agency and the applicant. No maximum or minimum funding levels have been established for individual projects or geographic locations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. All awards will be made no later than September 30. Applicants that are not funded will be notified with 90 days after the receipt of the applications.

**Appeals:**

No provision is provided in this program for an appeal.

**Renewals:**

The project period is one year; there are no renewals under this program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is available from the project date through the project end date not to exceed one year. See the following for information on how assistance is awarded/released: The assistance is provided through the request of funds (SF-270) and requires the approval of RMA.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly and Final Reports are required. Quarterly and Final Financial Reports are required. The Risk Management Agency's 10 Regional Office provide oversight and monitoring of the project through substantial involvement.

**Audits:**

Not Applicable.

**Records:**

Awardees will maintain (at its place of business) all records required by the agreement and the respective OMB circulars.

**Account Identification:**

12-4085-0-3-351.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lana K. Cusick 1400 and Independence Ave. SW  
USDA South Building, Room 6717-S  
Stop Code 0808, Washington, District of Columbia 20250-0808 Email:  
[lane.cusick@rma.usda.gov](mailto:lane.cusick@rma.usda.gov) Phone: 2027203325

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.465 FARMWORKER TRAINING GRANT PROGRAM**

**FEDERAL AGENCY:**

Departmental Management, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation and Energy Act of 2008, Section 14204, Public Law 110-246, 7 U.S.C 2008q-1.

**OBJECTIVES:**

To improve the supply of skilled agricultural workers and bring greater stability to the workforce in this sector through provision of services specifically designed to assist farmworkers in securing, retaining, upgrading or returning from an agricultural job. The intended outcomes are that, as a result of the services to be provided, growers will have access to a more skilled pool of workers and farmworkers will have enhanced employment opportunities, such as additional hours of work, better paying positions on the farm, and expanded promotional opportunities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To provide services specifically designed to assist farmworkers in securing, retaining, upgrading or returning from an agricultural job. Such services include the following: agricultural labor skills development; the provision of agricultural labor market information; transportation; short-term housing while in transit to an agricultural worksite; workplace literacy and assistance with English as a second language; health and safety instruction, including ways of safeguarding the food supply of the United States; and other such services the Secretary deems appropriate. Grant funds shall not be used to deliver or replace any services or benefits which an agricultural employer, association, contractor, or any other entity is legally obliged to provide. 100% of the allotted funding is discretionary to be awarded via open grant competition.

**Applicant Eligibility:**

Non-profit organizations or a consortium which includes a non-profit organization(s) and one or more of the following: agribusinesses, State and local governments, agricultural labor organizations, farmer or rancher cooperatives, and community-based organizations with the capacity to train farm workers. Additional information about eligible entities may be included in the RFP, including the criteria by which an entity's capacity to train farm workers will be evaluated, but at a minimum, the entity shall be required to demonstrate that it has: 1) an understanding of the issues facing hired farmworkers and conditions under which they work; 2) familiarity with the agricultural industry in the geographic area to be served, including agricultural labor needs and existing services for farmworkers; 3) the capacity to effectively administer a program of services and benefits authorized by the grants program; and 4) that it is responsible.

**Beneficiary Eligibility:**

Farmworkers who are citizens of the United States or are otherwise legally present in the United States and who meet the definition of "United States workers" established by the U.S. Department of Labor in its regulations at 20 CFR 655.4. Additional eligibility requirements may be included in the Request for Proposals (RFP).

**Credentials/Documentation:**

Grantees must have the financial, legal, administrative and operational capacity to carry out the objectives of the program. Non-profit organizations should provide a current certification of non-profit status in accordance with section 501(c)(3) of the Internal Revenue Code of 1986. Grantees shall be responsible for verifying the employment of farmworkers who are actively employed and are seeking to participate in program services or benefits. Unemployed farmworkers seeking to participate shall be required to certify to grantees on a form to be provided by the Agency that they are eligible for program services and benefits. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Dates governing the acceptance, review, and selection of projects will be published in the Federal Register Notice or other applicable publication announcing the request for proposals.

**Award Procedure:**

Proposals will be reviewed and evaluated by OAO staff members with the assistance and advice of a review panel or peer reviewers. The criteria to be used in selecting reviewers will be identified in the RFP. Proposals will be ranked and recommended in order of merit and funded to the extent permitted by available funds, consistent with program goals and the selection criteria set forth in the RFP. Final approval for those proposals selected will be made by the Awarding Official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Notice of action taken on proposals will generally be within 90 days of final date of submission dateline.

**Appeals:**

From 1 to 15 days. As stipulated in OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations.

**Renewals:**

Grantees who have achieved the goals of a grant and are seeking an additional grant must reapply as provided in a subsequent NOFA or RFP.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposed project periods will typically be for one to two years. Exact project period restrictions will be stipulated by the current request for proposals notification published in the Federal Register. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and program performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Cash reports, if required by Grant Agreement and/or payment system terms and conditions, are to be completed using the SF-425 or SF-272. Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and program performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Quarterly financial and program performance/progress reports are due within 30 days after the reporting period. A final financial and program performance/progress report is required within 90 days of the expiration of each Grant Agreement, which shall include an evaluation of the activities under the Grant Agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of 7 CFR Part 3052, Audits of States, Local Governments, and Non-Profit Organizations, which implement OMB Circular No. a-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, non-federal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Grantees shall maintain separate records for each grant to ensure that funds are used for authorized purposes. Grant-related records must be retained at least three years; records must be retained beyond the three-year period if litigation is pending or audit findings have not been resolved.

**Account Identification:**

12-9915-0-1-350.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$4,000,000; and FY 13 Estimate Not Available - FY 2012 funds were rescinded.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All Applicants and Awardees  
- 7 U.S.C. 2279  
-7 CFR 3015 Uniform Federal Assistance Regulations  
-7 CFR 3018 New Restrictions on Lobbying  
Higher Education Institutions  
- 7 CFR 3019 Uniform Administrative Requirements  
- 2 CFR PART 220 Federal Cost Principals  
Non-Profit Organizations  
- 7 CFR 3019 Uniform Administrative Requirements

- 2 CFR PART 230 Federal Cost Principals  
State and Local Governments (Tribal)  
-7 CFR 3016 Uniform Administrative Requirements  
State, Local, and Indian Tribal Governments  
2 CFR PART 225 Federal Cost Principals

**Regional or Local Office:**

None.

**Headquarters Office:**

Carolyn Parker Whitten Building 520-A, Stop 9821  
1400 Independence Avenue, SW, Washington, District of Columbia  
20250-9821 Phone: 202-720-6350

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Prior to technical examination, a preliminary review of proposals for responsiveness to the solicitation. Proposals that do not fall within the solicitation guidelines will be eliminated from competition. All other proposals will be reviewed by a review panel or subject to peer review. The criteria to be used in evaluating proposals will be set out in the RFP, but among the factors to be considered will be the applicants 1) understanding of the issues facing hired farmworkers and conditions under which they work; 2) familiarity with the agricultural industry in the geographic area to be served, including agricultural labor needs and existing services for farmworkers; and 3) capacity to effectively administer a program of services and benefits as provided for by the program.

**10.475 COOPERATIVE AGREEMENTS WITH STATES FOR  
INTRASTATE MEAT AND POULTRY INSPECTION**

(Meat and Poultry Inspection State Programs)

**FEDERAL AGENCY:**

Food Safety and Inspection Service, Department of Agriculture

**AUTHORIZATION:**

Poultry Products Inspection Act, Public Law 90-492, 21 U.S.C 451-471;  
Federal Meat Inspection Act, Public Law 90-201, 21 U.S.C 601-624;  
Agriculture Marketing Act of 1946, 7 U.S.C 1621-1627; Federal-State  
Cooperative Act (Talmadge-Aiken), Public Law 87-718, 7 U.S.C 450.

**OBJECTIVES:**

To supply Federal assistance to States desiring to operate a meat and poultry inspection program in order to assure the consumer an adequate supply of safe, wholesome, and properly labeled meat and poultry products.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist States that operate meat and poultry inspection programs which are equal to Federal meat and poultry inspection.

**Applicant Eligibility:**

An appropriate State or U.S. Territory agency administering State or Territorial meat or poultry inspection programs under laws equal to the Federal Meat and Poultry Products Inspection Acts.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Receipt of State inspection mandatory laws, copies of regulations related to the laws, and State performance plans. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Notify the State Outreach and Technical Assistance Staff, Office of Outreach, Employee Education and Training, Food Safety and Inspection Service, U.S. Department of Agriculture, Patriot Plaza III Building., SW, Mailstop 3726/Room 9-253A, 355 E Street, Washington, DC 20024. Contact: Denise Amann. Telephone: (202) 418-8830.

The applicant should express their interest and request copies of the cooperative agreements currently in use by participating States.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded on an annual basis to States. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Applicants will keep a complete accounting of the cost of developing and operating the State inspection program and will submit quarterly statements to the Food Safety and Inspection Service. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. State will arrange for an audit of the records pertaining to these agreements by the State Auditor of Public Accounts, annually or otherwise, as provided by applicable State law or regulations. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Other Non-Profit Organizations," State and local governments, that expend financial assistance of \$500,000 or more in a year in Federal awards, will have a single or a program-specific audit made for that year.

**Records:**

Complete accounting records shall be available to the Comptroller General of the United States and to the authorized representatives of the Secretary of Agriculture.

**Account Identification:**

12-3700-0-1-554.

**Obligations:**

(Salaries) FY 11 \$48,132,013; FY 12 est \$50,825,000; and FY 13 est \$50,325,000

**Range and Average of Financial Assistance:**

FY 2011: \$209,000 to \$5,871,000; 1,782,667  
FY 2012: \$224,000 to \$6,244,000; 1,882,000  
FY 2013: \$222,000 to \$6,184,000; 1,864,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FSIS Directive 5720.2, Revision 3, State Cooperative Inspection Programs.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of addresses of the District Offices.

**Headquarters Office:**

Denise Amann State Outreach and Technical Assistance Staff, Office of Outreach, Employee Education and Training, Food Safety and Inspection Service, Department of Agriculture, Patriot Plaza III Building, Mailstop 3726/Room 9-253A, 355 E Street, Washington, District of Columbia 20024  
Phone: (202) 418-8830

**Website Address:**

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

**RELATED PROGRAMS:**

10.477 Meat, Poultry, and Egg Products Inspection

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.477 MEAT, POULTRY, AND EGG PRODUCTS INSPECTION**

**FEDERAL AGENCY:**

Food Safety and Inspection Service, Department of Agriculture

**AUTHORIZATION:**

Egg Products Inspection Act, Public Law 91-597, 21 U.S.C 1031-1056; Agriculture Marketing Act of 1946, 7 U.S.C 1621-1627; Poultry Products Inspection Act, Public Law 90-492, 21 U.S.C 451-471; Federal Meat Inspection Act, Public Law 90-201, 21 U.S.C 601-624; Humane Slaughter Act, Public Law 85-765, 7 U.S.C 1901-1906.

**OBJECTIVES:**

To assure that all meat, poultry and egg products produced in plants and shipped in commerce are federally inspected for safety, wholesomeness, and proper labeling.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Meat, poultry, and egg products plants located within the United States or its Territories engaged in slaughtering or processing meat, poultry, and egg products for shipment in commerce are required to have inspection. All plants located within the U.S. or its territories processing egg products are required to be under continuous USDA inspection. The Department of Agriculture is reimbursed for overtime and holiday inspection services. Inspection not required under law is provided on request for a fee.

**Applicant Eligibility:**

Any meat or poultry plant planning to engage in slaughtering or processing meat and poultry products, and all egg products processing plants for shipment in commerce. This program is available in the U.S. and its Territories.

**Beneficiary Eligibility:**

General public (meat, poultry, and egg products.).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A request

for inspection should be submitted to the Meat, Poultry and Egg Products Inspection District Office, or to the Administrator.

**Award Procedure:**

Certification is made that the applicant meets the regulations on sanitation, and operating standards for the inspection of meat, poultry and egg products plant facilities and equipment.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: All meat, poultry and egg products produced in plants and shipped in commerce is federally inspected for safety, wholesomeness, and proper labeling.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-3700-0-1-554.

**Obligations:**

(Salaries) FY 11 \$954,814,056; FY 12 est \$949,361,000; and FY 13 est \$940,937,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, the program inspected operations at about 6,290 establishments which produced about 111.5 billion pounds of meat, poultry and egg products. Fiscal Year 2012: The scope of program operations in fiscal year 2012 will be similar to fiscal year 2011. Fiscal Year 2013: The scope of program operations in fiscal year 2012 will be similar to fiscal year 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MPI-7, Meat and Poultry Inspection Manual; Sanitation Handbook; 9 CFR 301-592, Inspection Regulations.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of addresses of the District Offices.

**Headquarters Office:**

Kenneth Petersen, Field Operations, Food Safety and Inspection Service, Department of Agriculture, Washington, District of Columbia 20250-3700  
Phone: (202) 720-8803.

**Website Address:**

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

**RELATED PROGRAMS:**

10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.479 FOOD SAFETY COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

Food Safety and Inspection Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 108-7, Sec. 713, 117 Stat. 39.

**OBJECTIVES:**

To reduce the incidence of foodborne illnesses associated with meat, poultry, and egg products and to protect the food supply. FSIS is authorized to use cooperative agreements to reflect a relationship between FSIS and cooperators to carry out educational programs or special studies to improve the safety of the nation's food supply. Also, FSIS has been directed to further develop the Food Emergency Response Network, a network of Federal, state and local laboratories that provides the nation the analytic capabilities and capacity it needs to cope with agents threatening the food supply.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Available discretionary funds are contingent on annual appropriations. Work products, where appropriate, are to be made available for use by other government agencies and accessible by the general public.

**Applicant Eligibility:**

State, local and tribal government agencies; academic institutions and non-profit organizations.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Academic institutions; State, local and tribal government agencies; and non-profit organizations are invited to submit brief proposals (two to four pages) for cooperative agreements in any of the areas described in the request for proposals along with an SF-424. These proposals will be reviewed by FSIS. The criteria used by FSIS to assess proposals are listed for each cooperative agreement program area in the request for proposals. Cooperators whose proposals are selected for further project development will need to discuss and reach agreement with FSIS on project details to permit establishment of a cooperative agreement. Unlike typical Federal grants, cooperative agreements involve a Federal agency's active participation with the cooperator during both project development and project execution. Work products, where appropriate, are to be made available for use by other government agencies and accessible by the general public. All proposals should address the following points: \* Project description, including specific goals, timeline, and deliverables; \* Description of national public benefit expected, including expected utility of work products, for example, training manuals, CDs, and videos; \* Projected costs, including cooperator contributions; \* Projected performance measures; \* Primary contact, principal investigator, and other likely participants, and; \* All work products may be freely reproduced and distributed by FSIS.

**Award Procedure:**

Cooperative agreement awards are made upon selection through a competitive process directed by the relevant FSIS program area. The program area identifies the awardees to the FSIS Administrative Services Division, which prepares and executes required documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally from 30 to 90 days from the deadline listed in the request for proposals.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals or extensions may be available under extraordinary circumstances if approved prior to the closing date of the initial agreements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, funding will be available for projects up to one year. Multi-year projects will be considered, but they are subject to annual renewal and may be affected by changes in FSIS' annual budget. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The cooperative agreement will specify the submission of performance progress reports. A comprehensive final report is required which documents all activities conducted within the partnership. Expenditure reports are not applicable. The cooperative agreement will specify the frequency of submission of performance progress reports, which will not be more frequently than quarterly or less frequently than annually. A comprehensive final report is required which documents all activities conducted within the partnership.

**Audits:**

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

**Records:**

The recipient will maintain at its place of business all records required by the partnership agreement and the applicable OMB Circulars.

**Account Identification:**

12-3700-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 11 \$4,150,463; FY 12 est \$4,241,000; and FY 13 est \$4,241,000

**Range and Average of Financial Assistance:**

FY 2011: \$20,000 to \$573,000; \$143,119  
FY 2012: \$20,000 to \$510,000; 163,103  
FY 2013: \$20,000 to \$510,000; 163,103.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

9 CFR 301-592, Inspection Regulations. Guidelines and literature can be found on FSIS website at [www.fsis.usda.gov](http://www.fsis.usda.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Steven Benson, U.S. Department of Agriculture, Food Safety and Inspection Service, FERN, National Program Office  
950 College Station Road, Athens, Georgia 30605 Phone: (706) 546-3564.

**Website Address:**

www.fs.is.usda.gov/About\_FSIS/Cooperative\_Agreements/.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used by the application review panel for recommending awards are listed in the request for proposals.

**10.551 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM**

(SNAP)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation and Energy Act of 2008; Food and Nutrition Act of 1977, as amended, Public Law 95- 113, 91 Stat. 958, 7 U.S.C. 2011 et seq.; Public Law 95-348, Public Law 96-58, Public Law 96-249, Public Law 97-35; Public Law 97-98; Public Law 97-253, Public Law 98-204, Public Law 98-369; Public Law 99-198, Public Law 99-425; Public Law 99-498, Public Law 99-603, Public Law 100-77, Public Law 100-175, Public Law 100-232, Public Law 100-387, Public Law 100-435, Public Law 100-503, Public Law 100-707, Public Law 101-202; Public Law 101-392; Public Law 101-508; Public Law 101-624; Public Law 102-237; Public Law 102-265; Public Law 102-325; Public Law 103-31; Public Law 103-66; Public Law 103-225; Public Law 103-286; Public Law 103-296; Public Law 104-66; Public Law 104-127; Public Law 104-193; Public Law 104-208; Public Law 105-18; Public Law 105-33; Public Law 105-185; Public Law 105-379; Public Law 106-171; Public Law 106-387; Public Law 107-171; Public Law 110-161; Public Law 110-246; American Recovery Act and Reinvestment Act of 2009, Public Law 111-5; Healthy Hunger Free Kids Act, Public Law 111-296.

**OBJECTIVES:**

Improve the nutrition levels of low-income households by ensuring access to nutritious, healthful diets through the provision of nutrition education and nutrition assistance through the issuance of monthly benefits for the purchase of food at authorized retailers.

In late 2011, FNS implemented the Healthy Incentives Pilot (HIP). Section 4141 of the Food, Conservation and Energy Act of 2008 provided \$20M for a pilot project to test the impact of financial incentives at the point of sale to encourage households participating in SNAP to purchase fruits, vegetables or other healthful foods. The HIP incentive amount is set at 30 percent for each target food purchase. Hampden County, Massachusetts is the competitively selected HIP site.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Households receive Supplemental Nutrition Assistance Program (SNAP) benefits for the purchase of food at authorized retailers and use an electronic benefit transfer (EBT) card, which operates like a debit card, to redeem benefits at authorized retailers. The amount of benefits varies according to household size, expenses, and income. Recipients may purchase only food with their benefits and only from authorized retailers.

**Applicant Eligibility:**

SNAP is a Federal program administered by the States. The State or U.S. Territory agency responsible for Federally aided public assistance programs submits requests for funding to USDA's Food and Nutrition Service.

**Beneficiary Eligibility:**

Applications for SNAP are made through a local social services agency which determines eligibility and benefit amount. Eligibility is based on household size, income, and expenses. Eligibility is also based on assets, citizenship or legal immigration status, work requirements, and other factors. A gross income test is based on 130 percent of the poverty line, and the net income (after

expenses) test is based on 100 percent of the poverty line. Households with elderly and disabled members need only meet the net income test. The resource limit is \$2,000 (\$3,000 for a household with an elderly or disabled member). A total of 43 States use broad-based categorical eligibility which may have adjusted the resource limits and/or gross income limits. Able-bodied adults with certain limited exceptions must meet a work requirement.

**Credentials/Documentation:**

Eligibility is determined by local social service offices based on National eligibility standards. Households must provide verification of identity, income, and resources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Food and Nutrition Act of 2008, as amended, requires each State agency to submit to the Food and Nutrition Service for approval, a plan of operation specifying the manner in which SNAP will be conducted in every political subdivision within the State.

**Award Procedure:**

The Secretary of Agriculture approves State plans of operation submitted by the State agency that operates public assistance programs.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Full implementation of the Nationwide mandate was completed in fiscal year 1975, except for certain Indian reservations which continued in the Food Distribution Program.

**Appeals:**

Other - Not Specified.

**Renewals:**

Program continues once approved, unless there is a substantial failure to comply with regulations or withdrawal on the part of the State.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Necessary, reasonable, and allowable administrative expenses by State agencies are reimbursed by the Federal government at approximately 50 percent.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of assistance period varies and time phasing is not applicable. See the following for information on how assistance is awarded/released: Monthly allotments are made available to eligible individuals and households through EBT cards which operate like debit cards.

**Reports:**

Annual budget summary statements; monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients; and cumulative totals for the fiscal year. Quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report are all required. Monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients. Quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; and cumulative totals for the fiscal year. Monthly and annual quality control reports; quarterly financial status report; quarterly report on claims against households; monthly issuance reconciliation report; monthly issuance and participation estimates; report of disqualified recipients; and cumulative totals for the fiscal year.

**Audits:**

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

**Records:**

Records of households certified, benefits issued, and records relating to any financial transaction are required and must be maintained for 3 years.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 11 \$209,186; FY 12 est \$4,870,829; and FY 13 est \$865,867 - These obligations relate to funding for the Healthy Incentives Program (HIP). (Formula Grants) FY 11 \$11,895,896,000; FY 12 est \$8,040,823,000; and FY 13 est \$5,274,755,000. (Formula Grants) FY 11 \$59,869,591,000; FY 12 est \$70,389,648,000; and FY 13 est \$69,939,809,000

**Range and Average of Financial Assistance:**

Varies by income and household size. The average benefit for a household of 4 in FY11 was \$284.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The average monthly SNAP household participation rate increased from over 18.6 million in FY 2010 to over 21 million in FY 2011. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 271-282.

Additional publications may be available at [www.fns.usda.gov/snap](http://www.fns.usda.gov/snap).

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator Jessica Shahin, Supplemental Nutrition Assistance Program, Food and Nutrition Service, Department of Agriculture, 3101 Park Center Dr., Alexandria, Virginia 22302 Email: [Jessica.Shahin@fns.usda.gov](mailto:Jessica.Shahin@fns.usda.gov) Phone: (703) 305-2022. Fax: (703) 305-2454.

**Website Address:**

<http://www.fns.usda.gov/snap/>

**RELATED PROGRAMS:**

10.566 Nutrition Assistance For Puerto Rico; 10.567 Food Distribution Program on Indian Reservations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.553 SCHOOL BREAKFAST PROGRAM****FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1773, 1779, 1793, Public Laws 104-193, 100-435, 99-661, 97-35. American Recovery and Reinvestment Act of 2009, Public Law 111-5. School Breakfast Expansion Grants are authorized by the Child Nutrition Act of 1966 as amended, 42 U.S.C. 1793.

**OBJECTIVES:**

To assist States in providing a nutritious nonprofit breakfast service for school

children, through cash grants and food donations. The School Breakfast Expansion Grants provide grants, on a competitive basis, to State educational agencies for the purpose of providing subgrants to local educational agencies for qualifying schools to establish, maintain, or expand the school breakfast program.

**TYPES OF ASSISTANCE:**

Formula Grants (Apportionments)

**USES AND USE RESTRICTIONS:**

Federally appropriated School Breakfast Program funds are available to reimburse participating public and nonprofit private schools, of high school grade and under and residential child care institutions, for breakfasts, meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. The rates of reimbursement are adjusted on an annual basis to reflect changes in the Food Away From Home series of the Consumer Price Index for all Urban Consumers. For the period July 1, 2011 through June 30, 2012, the rates of reimbursement are 27.0 cents for paid breakfasts, 121.0 cents for each reduced price breakfast, and 151.0 cents for each free breakfast. Schools serving 40 percent or more free and reduced price lunches in the second preceding school year get up to 150.0 cents and 180.0 cents for each breakfast served to children qualifying, respectively, for a reduced price and a free breakfast. All participating schools must agree to serve free and reduced price meals to eligible children, and to operate the program on a nonprofit basis for all children regardless of race, sex, color, National origin, age, or disability. \$1 million was appropriated for State agencies to expand the School Breakfast Program (SBP). School aged children receive one of three benefit levels based on an application used to determine need.

Please refer to Program Regulations (CFR)

Part 210 -- National School Lunch Program

Part 215 -- Special Milk Program

Part 220 -- School Breakfast Program

Part 235 -- State Administrative Expense

Part 245 -- Free and Reduced Price Eligibility

The purpose of the School Breakfast Program expansion grants is to provide subgrants, not to exceed \$10,000, to local educational agencies (LEA) for qualifying schools to establish, maintain, or expand the SBP. \$1 million was appropriated to award grant funds on a competitive basis to selected States using the following criteria: SBP participation compared to participation in the National School Lunch Program (NSLP); percentage of severe need schools in the State; SBP growth in Free/Reduced Price participation in relation to the Free/Reduced Price NSLP participation; and the State-level unemployment rate.

**Applicant Eligibility:**

State and U.S. Territory agencies; (except territories subject to the requirements to the Compact of Free Association) public and nonprofit private schools of high school grade and under; public and nonprofit private residential child care institutions, except Job Corps Centers. Schools desiring to participate must agree to operate a nonprofit breakfast program that is available to all children regardless of race, sex, color, National origin, age, or disability.

**Beneficiary Eligibility:**

All children attending schools where the breakfast program is operating may participate. Breakfast is served free to children who are determined by local educational agencies to have household income levels at or below 130 percent, and at a reduced price to children from households with incomes higher than 130 but at or below 185 percent of the federal poverty line, respectively. Meals served to non-needy children also get cash assistance. Such determinations are made in accordance with income eligibility guidelines prescribed by the Secretary and cross reference household income with household size. The Secretary prescribes these income eligibility guidelines by July 1; the statistical source used in making such revisions is the Federal Income Poverty Guidelines.

Children from households certified to receive Supplemental Nutrition Assistance Program (SNAP), the Food Distribution Program on Indian Reservations, Temporary Assistance for Needy Families and some children in Head Start Programs are automatically eligible for free meals. Homeless children, children in certain runaway and homeless youth grant programs, migrant children, and foster children are automatically eligible for free meals.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public schools in all States make application to the State Educational Agency unless the State applies or is approved for a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State Educational Agency in most States. In some States, however, the State Educational Agency is prohibited by statute from disbursing Federal funds to nonprofit private schools. In such instances, the application will be referred to the alternate State agency or the appropriate Food and Nutrition Service regional office.

**Award Procedure:**

When application is approved, schools make agreements with appropriate agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Agreements become effective upon approval by the State Agency or FNSRO, where applicable.

**Appeals:**

None. The State Agency or Food and Nutrition Service regional office, where applicable, is responsible for determining a school's eligibility.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Federal funds are made available for breakfast assistance in accordance with Section 4 of the Child Nutrition Act on a performance basis by: (1) multiplying the number of paid breakfasts served to eligible children during the fiscal year by a National Average Payment (NAP) prescribed by the Secretary; (2) multiplying the number of breakfasts served free to eligible children by a NAP prescribed by the Secretary for free breakfasts; and, (3) multiplying the number of reduced price breakfasts served to eligible children by a NAP prescribed by the Secretary for reduced-priced breakfasts. The amount of Federal funds given the grantee is the sum of the products obtained from these three computations, plus an additional 6 cents for every breakfast served. Schools with a high percentage of needy may receive additional payments. The statistical factors used in this formula are: (1) The NAP's; (2) the number of paid breakfasts served; and (3) the number of breakfasts served free or at reduced price to eligible children. The NAP's are prescribed by the Secretary and adjusted each July 1, in accordance with the Food Away From Home component of the Consumer Price Index for All Urban Consumers. The source of this adjustment factor is the Bureau of Labor Statistics. The source of the numbers of breakfasts served, including the number served free or at reduced price, is the monthly programmatic reports submitted to Food and Nutrition Service. This program has no maintenance of effort (MOE) requirements.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal-year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State Agencies, schools and institutions file monthly reports on the number of

meals served, by type, to claim for reimbursement. Schools and institutions must submit final meal claims to the State no later than 60 days after claiming month. States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. No cash reports are required. No progress reports are required. States must submit a final fiscal year grant closeout report to the Food and Nutrition Service no later than 120 days after the end of the fiscal year to which they pertain. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Schools must maintain full and accurate records of the breakfast program. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, records shall be retained beyond the 3 year period until audit findings have been resolved.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$3,075,846,000; FY 12 est \$3,321,311,000; and FY 13 est \$3,502,644,000 - School Breakfast Expansion Grants: FY2012: \$1,000,000; FY2013 est: \$0.

**Range and Average of Financial Assistance:**

Federal cash assistance for school year 2010 ranged from 26.0 to 282.0 cents per meal depending on income levels of the individual participant and upon the number of free and reduced price meals served by the school. Individual State grants vary according to participation in the program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Served 2,048,136,232 breakfasts. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 7 CFR Part 220-School Breakfast Program regulations, 7 CFR Part 245-Determining Eligibility for Free and Reduced Price Meals and Free Milk in Schools.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

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

**RELATED PROGRAMS:**

10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The School Breakfast Program (SBP) provides cash assistance to States to operate nonprofit breakfast programs in schools and residential childcare institutions. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.555 NATIONAL SCHOOL LUNCH PROGRAM**



## School Lunch Program

### **FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

### **AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751 1760, 1779;.

### **OBJECTIVES:**

To assist States, through cash grants and food donations, in making the school lunch program available to school children and to encourage the domestic consumption of nutritious agricultural commodities.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

Federally appropriated National School Lunch Program funds are available to each State agency to reimburse participating public and nonprofit private schools, of high school grades or under, including residential child care institutions, for lunches meeting the nutritional requirements prescribed by the Secretary of Agriculture, served to eligible children. Schools meeting eligibility criteria may be reimbursed for snacks served to children enrolled in eligible after school hour care programs. Participating schools are reimbursed at rates that are adjusted on an annual basis to reflect changes in the Food Away From Home series of the Consumer Price Index for All Urban Consumers. For the period July 1, 2011, through June 30, 2012, the rates of reimbursement are 26.00 cents general cash assistance for paid lunches, 237.00 cents reduced price lunches and 27700 cents for each free lunch. The maximum reduced price charge for lunch is 40 cents. Schools that served 60 percent or more free or reduced price lunches in the second preceding school year received an additional 2 cents general cash assistance for all lunches served. The reimbursement for snacks in after school care programs is 7600 cents for each free snacks, 3800 cents for each reduced price snack and 700 cents for each paid snack. In addition to cash reimbursement, the national average value of donated commodities for each lunch is 22.25 cents, for the period July 1, 2011, through June 30, 2012, and is adjusted annually to reflect changes in the Price Index for Food Used in Schools and Institutions. All participating schools must agree to serve free and reduced price meals to eligible children. Refer to Program Regulations (CFR)

Part 210 -- National School Lunch Program

Part 215 -- Special Milk Program

Part 220 -- School Breakfast Program

Part 235 -- State Administrative Expense

Part 245 -- Free and Reduced Price Eligibility.

### **Applicant Eligibility:**

State and U.S. Territory agencies (except territories subject to the Compact of Free Association), public and nonprofit private schools of high school grade and under; public and nonprofit private residential child care institutions, except Job Corps Centers, residential summer camps that participate in the Summer Food Service Program for children and private foster homes. Schools and residential child care institutions desiring to participate must agree to operate a nonprofit food service that is available to all children regardless of race, sex, color, National origin, age, or disability.

### **Beneficiary Eligibility:**

All children enrolled in schools where the lunch program is operating may participate. Lunch is served free to children who are determined by local educational agencies to have household income levels at or below 130 percent of poverty, and at a reduced price to children from households with incomes higher than 130 but at or below 185 percent of the poverty line respectively. Such determinations are made in accordance with income eligibility guidelines prescribed by the Secretary and cross reference household income with household size. The Secretary announces these income eligibility guidelines by July 1. The statistical source used in making such revisions is the Federal Income Poverty Guidelines. Children from households certified to receive Supplemental Nutrition Assistance Program (SNAP) benefits, the Food Distribution Program on Indian Reservations, Temporary Assistance for Needy Families and some children in Head Start Programs are automatically eligible for free meals. Homeless children, children in certain runaway and homeless

youth grant programs, migrant children and foster children are also automatically eligible for free meals.

### **Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

The application forms as furnished by FNS or the State agency, as applicable, must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public schools in all States make application to the State educational agency unless the State applies and is approved for a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. Nonprofit private schools should also apply to the State educational agency in most States. In some States, however, the State educational agency is prohibited by statute from disbursing Federal funds to nonprofit private schools. In such instances, the application should be submitted to the alternate State agency or the appropriate Food and Nutrition Service regional office.

### **Award Procedure:**

The State agency, or Food and Nutrition Service Regional Office (FNSRO) where applicable, reviews the written application of a school or a residential child care institution and, upon determination of eligibility, makes a written agreement with the school or institution for participation in the program.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time Agreements become effective upon approval by the State agency or FNSRO, where applicable.

### **Appeals:**

The State agency or FNSRO, where applicable, is responsible for determining a school's eligibility.

### **Renewals:**

Permanent, amended as necessary.

### **Formula and Matching Requirements:**

Statutory Formula: The funding formula for the general cash for food assistance phase of the program is set forth in Section 4 of the National School Lunch Act, as amended; the formula for special cash assistance is described in Section 11 of the Act. The program is funded on a performance basis. For every lunch served during the applicable fiscal year, the State receives a payment from funds made available under Section 4. In addition, the State receives a payment from Section 11 funds for each lunch served to a child eligible for free or reduced price lunches. The amounts of such per-lunch payments are determined by "National Average Payment" (NAP) factors. The amount due the State under this program is obtained by: (1) multiplying the total number of eligible paid lunches and free and reduced price lunches served during the fiscal year by the Section 4 NAP factor for lunches; (2) multiplying the number of free lunches served by the Section 11 NAP factor for free lunches; (3) multiplying the number of lunches served at reduced price by the Section 11 NAP factor for reduced price lunches; (4) multiplying the total number of lunches served during the fiscal year in school food authorities which served 60 percent or more free or reduced price lunches in the second preceding school year by \$.02; and (5) adding together the four products obtained thereby. The NAP factors are prescribed by the Secretary in accordance with Sections 4 and 11, respectively, of the Act; the numbers of lunches are obtained from programmatic reports submitted to Food and Nutrition Service. In addition, the funding formula for snacks in after school care programs is described in Section

17 A of the Act. Section 11(a)(3) of the Act requires that the NAP factors be adjusted annually, according to changes in the Food Away From Home series of the Consumer Price Index for All Urban Consumers; the source is the Bureau of Labor Statistics. Each State must appropriate from State revenues and use, for program purposes, an amount equal to 30 percent of the Section 4 funds made available to the State in the 1980-81 school year. Also, commodity schools are eligible to receive donated commodities equal in value to the sum of section 6 and section 4 assistance rates, except that up to 5 cents of this amount may be received in cash for processing and handling commodities. In addition, commodity schools are eligible for Section 11 free and reduced price meal reimbursements.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal-year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies and schools file monthly reports on the number of meals served, by type, to claim program funds. School food authorities must submit final meal claims to the State no later than 60 days after the claiming month, and States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. States must submit final fiscal year grant close out reports to Food and Nutrition Service within 120 days after the end of the fiscal year to which they pertain. Annually, school food authorities must report, to their State agency, the most common charge for lunches served to children who do not qualify for free or reduced price lunches. School food authorities report the price charged at the elementary, middle and high levels, as applicable. In turn the State agency submits this information to FNS for publication. No cash reports are required. No progress reports are required. States must submit final fiscal year grant close out reports to Food and Nutrition Service within 120 days after the end of the fiscal year to which they pertain. No performance monitoring is required.

**Audits:**

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

**Records:**

Schools must maintain full and accurate records of their lunch programs. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3 year period as long as required for the resolution of audit findings. School food authorities must maintain records for State agency review relating to the average price they charge for full-price school lunches relation to the requirement for paid lunch pricing equity. In addition, school authorities must maintain records showing revenue generated by nonprogram foods (for example, a la carte items sold to students or meals sold to teachers and staff) in relation to the food costs for program and nonprogram foods.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$10,320,844,000; FY 12 est \$10,717,249,000; and FY 13 est \$11,405,193,000

**Range and Average of Financial Assistance:**

State grants vary according to participation in the program. For school year 2011-2012, reimbursement for meals range from 7.0 cents for "paid" snacks to 475.00 cents for free lunches in Alaskan school districts serving more than 60 percent free and reduced price lunches.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Served 5,273,633,099 lunches. Fiscal Year 2012: No Current

Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, Food and Nutrition Service, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302 Email: Cindy.Long@fns.usda.gov Phone: (703) 305-2590.

**Website Address:**

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

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.556 SPECIAL MILK PROGRAM FOR CHILDREN**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1772 and 1779.

**OBJECTIVES:**

To provide subsidies to schools and institutions to encourage the consumption of fluid milk by children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available to State agencies to encourage the consumption of fluid milk by children in public and private nonprofit schools of high school grade and under, public and private nonprofit nursery schools, child-care centers, settlement houses, summer camps, and similar nonprofit institutions devoted to the care and training of children, except Job Corps Centers, provided that these schools and institutions do not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. The Child Nutrition Amendments of 1986 expanded eligibility in the program to include children in split session kindergarten and pre-kindergarten programs in nonprofit schools and institutions who do not have access to the Federal meal service program operating in schools the children attend. Disbursement to States is made on the basis of the number of half pints of milk served to non-needy children, using a reimbursement rate specified by law. Milk served free to eligible needy children is reimbursed at the average cost of a half pint of milk. Please refer to Program Regulations (CFR):

Part 215 -- Special Milk Program

Part 235 -- State Administrative Expense

Part 245 -- Free and Reduced Price Eligibility.

**Applicant Eligibility:**

Any State or U.S. Territory (except territories subject to the requirements of the Compact of Free Association). Any public and nonprofit private school of high school grade or under, and public and private nonprofit residential and nonresidential child care institutions, except Job Corps Centers, may participate in the Special Milk Program upon request if it does not participate in a meal service program authorized under the National School Lunch Act or the Child Nutrition Act of 1966. This generally includes nonprofit nursery schools, child-care centers, settlement houses and summer camps. Schools with split session kindergarten and pre-kindergarten programs can receive subsidies for milk served to children in the split session kindergartens and pre-kindergartens

who do not have access to another meal service program operating in the school. All schools and child care institutions which participate must agree to operate the program on a nonprofit basis for all children without regard to race, sex, color, National origin, age or disability.

**Beneficiary Eligibility:**

All children enrolled in schools and institutions in which the Special Milk Program is in operation who do not have access to other Child Nutrition Programs, may participate in the program.

**Credentials/Documentation:**

Applicant organizations must furnish evidence of nonprofit status. Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public schools in all States make application to the State educational agency unless the state applies and is approved a waiver to designate an alternate agency. Appropriate forms may be obtained from this agency. In most cases, nonprofit private schools and institutions also apply to the State educational agency. However, in some States, the State educational agency is prohibited by State statute from disbursing Federal funds to nonprofit private schools and institutions. In such instances, the application will be referred to the appropriate alternate State agency or the appropriate Food and Nutrition Service regional office (FNSRO).

**Award Procedure:**

The State agency or the FNSRO, where applicable, reviews the written application of school or child care institution and, upon determination of eligibility, makes a written agreement with school or sponsor for participation in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Agreements are effective upon approval of the State Agency or the FNSRO, where applicable.

**Appeals:**

None. State Agencies or the Food and Nutrition Service Regional Offices, where applicable, are responsible for determining eligibility of a school or institution.

**Renewals:**

Permanent, amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: The reimbursement rate for each paid half pint of milk served to children with household income levels above 130 percent of the poverty line in schools and institutions that participate in the Special Milk Program during school year 2011-12 is 20.50 cents, and the reimbursement rate for each 1/2 pint of milk served free (in pricing programs with a free milk option) to children with household income levels at or below 130 percent of poverty is the average cost of 1/2 pint of milk. This rate is adjusted each school year to correspond to the change in the Producer Price Index for Fluid Milk Products published by the Bureau of Labor Statistics. The statistical factor used for beneficiary eligibility for free milk is 130 percent of the poverty line and the source is the Federal income poverty guidelines. There is no matching guideline. The cost of milk in excess of the Federal reimbursement must be borne by sources within the States (7 CFR Part 215). Disbursement to States is based on the number of half pints served to children. This program has no maintenance of effort (MOE) requirement.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement on a fiscal year basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies, schools and institutions file monthly reports on program operations to claim for reimbursement. Schools must submit final claims to the State agency no later than 60 days after the claiming month, and States must submit final program reports to Food and Nutrition Service no later than 90 days after the claiming month. For each fiscal year, States must submit final grant close out reports to the Food and Nutrition Service not later than 120 days after the close of the fiscal year to which they pertain. No cash reports are required. No progress reports are required. For each fiscal year, States must submit final grant close out reports to the Food and Nutrition Service not later than 120 days after the close of the fiscal year to which they pertain. No performance monitoring is required.

**Audits:**

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

**Records:**

Schools and institutions must maintain full and accurate records of Special Milk Program operations. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain except that, if audit findings have not been resolved, the records shall be retained as long as required for their resolution. This program is subject to periodic audits.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$12,381,000; FY 12 est \$13,196,000; and FY 13 est \$13,323,000

**Range and Average of Financial Assistance:**

For fiscal year 2012 average Federal assistance is 20.50 cents for each half-pint of milk served to children with income levels above 130 percent of poverty. State grants vary according to participation in the program. Average Federal assistance for half-pints served free is 20.50 cents.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Served 66,573,563 half-pints of milk. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 215, "Special Milk Program for Children," and 7 CFR Part 245, "Determining Eligibility of Free and Reduced Price Meals and Free Milk in Schools."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children; 84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Special Milk Program provides milk to children in schools, child care institutions and eligible camps that do not participate in other Federal child nutrition meal service programs. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.557 SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN**

(WIC Program)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, Section 17, 42 U.S.C. 1786. Healthy, Hunger-Free Kids Act of 2010, Public Law 111-296, 7 U.S.C 1746.

**OBJECTIVES:**

To provide low-income pregnant, breastfeeding and postpartum women, infants, and children to age five determined to be at nutritional risk, at no cost, supplemental nutritious foods, nutrition education, and referrals to health and social services. WIC also promotes breastfeeding as the feeding method of choice for infants, provides substance abuse education and promotes immunization and other aspects of healthy living.

The Food and Nutrition Service (FNS) makes funds available to participating State health agencies and Indian Tribal Organizations (ITOs) that, in turn, distribute the funds to participating local agencies. State and local agencies use WIC funds to pay the costs of specified supplemental foods provided to WIC participants, and to pay for specified nutrition services and administration (NSA) costs, including the cost of nutrition assessments, blood tests for anemia, nutrition education, breastfeeding promotion and health care referrals.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

WIC Program grants are made to State health departments or comparable agencies, Indian tribes, bands, or intertribal councils, or groups recognized by the Bureau of Indian Affairs, Department of the Interior, or the Indian Health Service of the Department of Health and Human Services. These agencies distribute funds to participating local public or nonprofit private health or welfare agencies. Funds are expended to pay for supplemental foods, nutrition education and health care referrals for participants, as well as specified nutrition services and administrative costs, including certification services. State agencies are provided Federal funds according to legislative and regulatory formulas. Only local agencies qualifying under State agency applications with formal agreements may operate WIC programs.

**Applicant Eligibility:**

A local agency is eligible to apply to deliver locally the services of the WIC Program, provided that: (1) it serves a population of low-income women, infants, and children at nutritional risk; and (2) it is a public or private nonprofit health or human service agency. All local agencies must apply through the responsible State, Indian Tribal Organization or U.S. Territory agency.

**Beneficiary Eligibility:**

Pregnant, breastfeeding and postpartum women, infants, and children up to 5 years of age are eligible if: (1) they are individually determined by a competent professional to be in need of the special supplemental foods supplied by the program because of nutritional risk; and (2) meet an income standard, or receive or have certain family members that receive benefits under the Food Stamp, Medicaid or Temporary Assistance for Needy Families Programs. They must also reside in the State in which benefits are received.

**Credentials/Documentation:**

Individuals are certified as meeting an income standard, or as participating in certain other means-tested Federal programs. Certification regarding nutritional need for supplemental foods is determined by local level professionals. As of April 1999, all State agencies were using uniform criteria to determine nutrition risk. Costs are determined in accordance with OMB Circular No. A-87 for State and local governments. The State designated official responsible for ensuring

that the program is operated in accordance with program requirements must sign the State Plan and Federal-State Agreement pursuant to program regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Local agencies and retailers must apply to the State agency in writing. Individual participants apply for WIC benefits at an approved local agency. State agencies must submit required documentation to FNS.

**Award Procedure:**

WIC Program funds are awarded by the Department on the basis of funding formulas to State agencies for distribution to approved local agencies subject to available funds.

**Deadlines:**

Aug 15, 2012 A State plan for the next fiscal year is required by August 15. Only substantive changes to the currently approved State plan must be submitted.

**Range of Approval/Disapproval Time:**

Approval determination for the WIC Program is made within 30 days of submission of a completed plan or amendment.

**Appeals:**

For the WIC Program, local agency or food vendor appeals: The State agency provides a hearing appeal procedure for a food vendor or local agency adversely affected by certain State or local agency actions. The adverse action may be postponed until a hearing decision is reached. Participant appeals: The State agency provides a hearing appeal procedure for any individual that receives a State or local agency action that results in a claim for repayment of the cash value of improperly issued benefits, denial of participation, or disqualification from the WIC Program.

**Renewals:**

The WIC program is authorized through September 30, 2015; it presently operates under the authority of the Child Nutrition Act of 1966, as amended.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Part 246, Public Law Child Nutrition Act of 1966, as amended. Grants are allocated on the basis of formulas determined by the Department of Agriculture which allocate funds for food benefits, nutrition services and administration costs.

This program has no matching requirements. No matching funds are required but some States contribute nonfederal funds in support of a larger WIC Program in their State.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are released using an electronic transfer system. State agencies may withdraw funds only as needed. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports: Monthly participation and value of food or food instruments issued. Cash reports: Operating expenses and funds withdrawn from the Federal Letter of credit. Progress reports: Monthly Participation. Expenditure reports: Operating expenses and funds withdrawn from the Federal Letter of credit. Performance Monitoring: Financial Management Reviews and Management Evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Full and complete records concerning program operations including financial operations, food delivery systems, food instrument issuance and redemption, equipment purchases and inventory, certification, nutrition education, civil rights and fair hearing procedures. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Salaries) FY 11 \$7,123,458,000; FY 12 est \$7,091,113,000; and FY 13 est \$7,144,453,000 - Explanation of Obligations:  
Administrative costs - \$2,001,973,000; Food costs - \$5,121,485,000.  
FY12 Administrative costs - \$1,992,408,000; Food costs - \$5,098,705,000. (estimated)  
FY13 Administrative costs - \$1,989,964,000; Food costs - \$5,154,489,000. (estimated).

**Range and Average of Financial Assistance:**

For fiscal year 2011, FNS approved the operation of the WIC Program in 90 State agencies. This figure includes 50 States, 34 Indian agencies, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Marianas and the District of Columbia. During fiscal year 2011, an average of approximately 8,960,586 women, infants and children received WIC benefits every month. Although food package costs varied widely among the States, the monthly average food package cost for fiscal year 2011 was approximately \$46.67 per person.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, WIC provided nutritious foods, nutrition education and referrals for health and social services to an average of 8,960,587 women, infants and children under the age of five. Numerous studies have shown that pregnant women who participate in WIC have longer pregnancies leading to fewer premature births; have fewer low and very low birth-weight babies; experience fewer fetal and infant deaths; seek prenatal care earlier in pregnancy and consume more of such key nutrients as iron, protein, calcium and Vitamins A and C. WIC helped ensure infants and children's normal growth, reduced levels of anemia, increased immunization rates, improved access to regular health care/social services and improved diets. Breastfed infants tend to be healthier since they receive antibodies from the breast milk, which protects them against infection. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 246; "WIC State Plan Guidance" is available at no charge from FNS.

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Debra R. Whitford, Food and Nutrition Service, Supplemental Food Programs Division, 3101 Park Center Drive, Alexandria, Virginia 22302 Email: Debbie.Whitford@fns.usda.gov Phone: (703) 305-2746 Fax: (703) 305-2196.

**Website Address:**

<http://www.fns.usda.gov/wic>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.556 Special Milk Program for Children; 10.565 Commodity Supplemental Food Program; 10.572 WIC Farmers' Market Nutrition Program (FMNP); 93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.558 CHILD AND ADULT CARE FOOD PROGRAM (CACFP)**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, Sections 9, 11, 14, 16 and 17, as amended, 89 Stat. 522-525, 42 U.S.C. 1758, 1759a, 1762a, 1765 and 1766.

**OBJECTIVES:**

To assist States, through grants-in-aid and other means, to initiate and maintain nonprofit food service programs for children and elderly or impaired adults enrolled in nonresidential day care facilities, children attending afterschool care programs in low-income areas, and children residing in emergency shelters.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available for disbursement to eligible institutions to reimburse their costs in providing meals and snacks to children and adults enrolled in nonresidential day care, children attending afterschool care programs, and children residing in emergency shelters. Disbursement is made on the basis of the number of breakfasts, lunches, suppers, and snacks served, using annually adjusted reimbursement rates specified by law. The program allows reimbursement for up to two meals and one snack served each day to children through the age of 12, children of migrant workers through the age of 15, and persons with disabilities, in child care centers and day care homes. Adult day care centers receive reimbursement for up to three meals served each day to enrolled adults who are functionally impaired or age 60 and older. The program also provides reimbursement to emergency shelters for up to three meals served each day to residents age 18 and younger. In at-risk afterschool care programs, reimbursement is available for one snack and an additional meal served each day, during the regular school year, to children through the age of 18. All program meals must meet minimum requirements of the United States Department of Agriculture (USDA). Funds are also paid to participating State agencies for administrative expenses related to program staffing and oversight.

**Applicant Eligibility:**

The State or U.S. Territory agency applies for and signs an agreement to receive Federal funds for disbursement.

**Beneficiary Eligibility:**

Approved institutions providing nonresidential day care services may participate in the program. Eligible public and nonprofit private organizations may include day care centers, outside-school-hours care centers, settlement houses, family and group day care homes, Head Start programs, and institutions providing day care services to children with disabilities. Private for-profit centers may also participate if at least 25 percent of the children in care (enrolled or licensed capacity, whichever is less) are eligible for free or reduced price school meals or receive benefits under Title XX (of the Social Security Act). Also eligible for participation are nonprofit centers which provide nonresidential adult day care, and private for-profit centers if the center receives compensation under Title XIX (of the Social Security Act) or Title XX, and at least 25 percent of the adults enrolled in the center receive benefits under Title XIX, Title XX, or a combination of both. Emergency shelters which provide shelter and meals to children experiencing homelessness, and at-risk afterschool care programs in low-income areas are also eligible. Any eligible institution may participate in the Child and Adult Care Food Program upon request with State agency approval.

**Credentials/Documentation:**

The allowability of costs incurred by States in administering the program will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019). Applicants that are not public or

proprietary institutions must furnish evidence of tax-exempt status under the Internal Revenue Code of 1986. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required by the State. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Institutions apply to the responsible State agency. This program is subject to the provisions of USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Award Procedure:**

When the application is approved, the institution signs an agreement with the administering agency.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The administering agency must provide a hearing procedure for local institution grievances.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Program funds are provided to the States through letters of credit to reimburse institutions for costs of food service operations, including administrative expenses. Appropriate rates of reimbursement, multiplied by the number of meals served to enrolled participants, represent the basic program payment that an institution receives for each meal served. The assigned rates of reimbursement are adjusted annually on July 1. For child care centers, adult day care centers, emergency shelters, and at-risk afterschool care programs, the annual adjustment reflects changes in the Food Away from Home series of the Consumer Price Index for All Urban Consumers. For day care homes, the adjustment reflects changes in the Food at Home series of the Consumer Price Index for All Urban Consumers. Donated foods or cash in lieu of donated foods are also made available. Program payments to child care or adult day care centers depend on the number and types of meals served to enrolled participants, multiplied by the appropriate rate of reimbursement. Rates for meals served to enrolled children and eligible adults in day care centers are determined by the participants' eligibility for free, reduced price, or paid meals using USDA Income Eligibility Guidelines. All resident children age 18 and younger in eligible emergency shelters receive free meals without application. At-risk afterschool care programs, which must be located in low-income areas, are reimbursed at the free rate for all meals and snacks served to children through age 18. Sponsoring organizations of day care homes are reimbursed at a gradational administrative rate based on the number of homes they operate. The level of reimbursement for meals served to enrolled children in day care homes is determined by economic need based on either the location of the day care home, the income of the day care provider, or the income of an individual child's household. Meals served in day care homes to the provider's own children are reimbursable only if those children are determined eligible for free and reduced price meals, and at least one other nonresident child is participating in the meal service. The reimbursement for food service is passed on by the sponsoring organization to the day care facility. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement. Method of awarding/releasing

assistance: by letter of credit.

**Reports:**

Institutions file monthly reports on program operations to claim reimbursement for meals served. They must submit final meal claims no later than 60 days after the claiming month. States must then submit final program reports to FNS no later than 90 days after the claiming month. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Institutions must maintain full and accurate records of program operations for a period of 3 years after the end of the fiscal year to which they pertain. However, where there are unresolved audit findings, records must be retained until there is satisfactory resolution of all audit issues.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$2,732,119,000; FY 12 est \$2,758,235,000; and FY 13 est \$2,916,755,000 - Audit funds are made available to each State for the expense of conducting audits and reviews of the Program under 7 CFR 226.8. Audit Funds (not included in above totals) : FY2011: 887,000; FY2012 est:13,557,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Served 1,928,335,584 meals. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 226 Regulations and the Child and Adult Care Food Program fact sheet are available at no charge. Administrative and nutrition guidance is available at no charge to program participants from the administering agency.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long 3101 Park Center Drive Room 640, Alexandria, Virginia 22302 Phone: 703-305-2590

**Website Address:**

<http://fns.usda.gov>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.559 Summer Food Service Program for Children; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: CACFP serves nutritious meals and snacks to eligible children and adults who are enrolled for care at participating child care centers, day care homes, and adult day care centers. CACFP also provides meals and snacks to children and youth who participate in afterschool care programs or reside in emergency shelters. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.559 SUMMER FOOD SERVICE PROGRAM FOR CHILDREN**

(FSP)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, Sections 9, 13 and 14, as amended, 42 U.S.C. 1758, 1761 and 1762a. The 6 discretionary initiatives supporting this program were authorized by 2010 Agriculture Appropriations Act, Public Law 111-80.

**OBJECTIVES:**

To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for low-income children during the summer months and at other approved times, when schools is not in session. In addition there are 6 discretionary grant initiatives supporting this program. These grant initiatives are demonstration projects to develop and test methods of providing access to food for low-income children in urban and rural areas during the summer months when schools are not in regular session . The methods being tested through these demonstrations are: extending length of operation; additional funding for enrichment activities; meal delivery, weekend food backpacks, SNAP electronic benefit delivery system; and WIC electronic benefit delivery system.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available for disbursement to eligible service institutions (sponsors) which provide free meals to children in areas where at least 50 percent of the children meet the income eligibility criteria for free and reduced price meals. Meals may be served to children 18 and younger, and to individuals over 18 who participate in State-approved school programs for persons with disabilities. The program generally operates during the months of May through September at site locations where regularly scheduled food services are provided for children. Sites may also participate in the program from September through May if an area school is closed because of an emergency situation. Sponsors operating food programs for children on school vacation under a continuous year-round calendar may apply for participation in other months. Reimbursement may be paid for one meal and one snack or two meals per child each day. Camps and sites primarily serving children of migrant workers may be approved to serve up to three reimbursable meals each day. Meals must meet minimum requirements of the United States Department of Agriculture (USDA). Funds are also paid to participating State agencies for administrative expenses related to program staffing, operation, and oversight.

**Applicant Eligibility:**

The State or U.S. Territory agency applies for and signs an agreement to receive Federal funds for disbursement.

**Beneficiary Eligibility:**

A service institution that conducts a regularly scheduled program for children from areas in which poor economic conditions exist is eligible to participate as a sponsor in the program. Sponsors include public or private nonprofit school food authorities; public or private nonprofit colleges or universities operating the National Youth Sports Program during the months of May to September; and units of local, municipal, county, or State governments. Other private nonprofit organizations are eligible to participate under certain conditions. Sponsors which develop food service programs for children during school vacations under a continuous school calendar may also participate. Public or private nonprofit residential or nonresidential summer camps may also participate; however, at camps, reimbursement will only be paid for meals served to enrolled children who are individually determined to be eligible for free and reduced price school meals under USDA Income Eligibility Guidelines.

**Credentials/Documentation:**

The allowability of costs incurred by States in administering the Program will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process required by the State. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Service institutions may apply directly to the responsible State agency. This program is subject to the provisions of USDA's Uniform Federal Assistance Regulations (7 CFR Parts 3016 and 3019).

**Award Procedure:**

When an application is approved, the sponsor enters into an agreement with the administering agency.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable to States. The administering agency must make a decision within 30 calendar days of receiving a complete and correct sponsor application. If an incorrect application is received, the State agency must notify the applicant within 15 days and provide technical assistance to complete the application.

**Appeals:**

The administering agency must have a hearing procedure for local institution grievances.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

This program does not have MOE requirements. Program funds are earned by the States and institutions on a per meal reimbursement basis with rates adjusted annually on January 1, to reflect changes in the "Food Away from Home" series of the Consumer Price Index for All Urban Consumers.

**Length and Time Phasing of Assistance:**

For the period covered by the agreement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Sponsors file monthly reports on program operations to claim reimbursement for meals served. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Service institutions must maintain full and accurate records of program operations for a period of 3 years after the end of the fiscal year to which they pertain. However, where there are unresolved audit findings, records must be retained until there is satisfactory resolution of all audit issues.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$376,829,000; FY 12 est \$411,661,000; and FY 13 est \$440,905,000 - 7 discretionary grant initiatives supporting this program:

Summer Electronic Benefits Transfer-SNAP, FY2012 est 2,635,000;  
Summer Electronic Benefits Transfer-WIC, FY2012 est 2,614,000  
Summer Electronic Benefits Transfer SNAP & WIC FY2011: 1,520,000  
FY2012 est 13,356,000  
Summer Demonstration Project, Activity/Length of Operation, FY2011  
1,288,000  
Summer Demonstration Project, Home Delivery FY2011 879,000  
Summer Demonstration Project, Food Backpacks, FY2011: 904,000  
The decision is pending on the continuation of the grant projects. \$32,950,000  
remains of the funds allotted for these demonstration projects.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Served 137,392,356 meals.  
3 grants awarded for weekend food backpacks, 3 grants awarded for meal  
delivery and 5 grants awarded for electronic benefit transfer demonstration  
projects. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No  
Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 225 regulations and the Summer Food Service Program fact sheet,  
are available at no charge. Administrative and nutrition guidance is available at  
no charge to program participants from the administering agency.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive, Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program;  
10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food  
Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Demonstration projects to develop and test methods of  
providing access to food for low-income children in urban and rural areas  
during the summer months when schools are not in regular session. The  
methods being tested through these demonstrations are: extending length of  
operation; additional funding for enrichment activities; meal delivery, weekend  
food backpacks, SNAP electronic benefit delivery system; and WIC electronic  
benefit delivery system. Fiscal Year 2012: No Current Data Available Fiscal  
Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.560 STATE ADMINISTRATIVE EXPENSES FOR CHILD NUTRITION**

(SAE)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act of 1966, as amended, 42 U.S.C. 1776, 1779.

**OBJECTIVES:**

To provide each State agency with funds for its administrative expenses in  
supervising and giving technical assistance to local schools, school districts and  
institutions in their conduct of Child Nutrition Programs. State agencies that  
administer the distribution of USDA Foods to schools and child or adult care  
institutions are also provided with State Administrative Expense (SAE) funds.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

SAE funds must be used for purposes specified in the legislation, consistent

with the cost principles and constraints on allowable and unallowable costs, and  
indirect cost rates as prescribed in OMB Circular No. A-87. These funds may  
be used, under certain conditions, for the procurement of supplies, equipment,  
and services.

**Applicant Eligibility:**

State agencies responsible for the conduct of Child Nutrition Programs, and  
agencies responsible for the distribution of USDA Foods to schools and child or  
adult care institutions, including agencies in the U.S. Territories.

**Beneficiary Eligibility:**

State agencies responsible for the conduct of Child Nutrition Programs, and  
agencies responsible for the distribution of USDA Foods to schools and child or  
adult care institutions, including agencies in the U.S. Territories.

**Credentials/Documentation:**

Costs are to be determined and documented in accordance with agency  
regulations (7 CFR 235) and USDA Uniform Federal Assistance Regulations (7  
CFR Parts 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this  
program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is  
not required for this program. This program is eligible for coverage under E.O.  
12372, "Intergovernmental Review of Federal Programs." An applicant should  
consult the office or official designated as the single point of contact in his or  
her State for more information on the process the State requires to be followed  
in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded  
from coverage under OMB Circular No. A-110. The State agency enters into a  
written agreement with the Food and Nutrition Service (FNS) on a form  
prescribed by the FNS. The standard application forms as furnished by the  
Federal agency must be used for this program.

**Award Procedure:**

Release of funds to a State agency is contingent upon receipt and approval of  
their plan for disbursement of SAE funds. A State agency must submit an initial  
Plan in fiscal year 1997 and their estimated funding needs for the duration of  
fiscal year 1997. Thereafter, in accordance with Public Law 104-193 which  
deleted the requirement for an annual plan unless there are substantive changes,  
a State agency would only submit revisions to the initial plan.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Annually.

**Formula and Matching Requirements:**

Statutory Formula: For the National School Lunch Program, the School  
Breakfast Program, and the Special Milk Program, funds are allocated on the  
basis of an amount equal to one percent of the total funds used in the State for  
these programs during the second preceding year based on FNS program and  
fiscal data. However, no State receives less than \$200,000 or the amount it  
received in fiscal year 1981, whichever is larger. For the Child and Adult Care  
Food Program, a sliding grant is made based on FNS program and fiscal data.  
In addition, the Secretary has discretionary authority to provide funds to States  
for program improvement, based on FNS program and fiscal data. The  
authorizing legislation which establishes eligibility for SAE funds is the Child  
Nutrition Act of 1966, as amended, Section 7 (42 U.S.C. 1776). This program  
has a State Funding Requirement (SFR). See funding agency for details. Any  
reduction of funds from State sources below the fiscal year 1977 level will  
result in a withdrawal of Federal funds under this grant.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**



Funded each fiscal year during the period covered by the agreement. A State agency may carry over up to twenty percent of SAE funds allocated to it for obligation and expenditure during the succeeding fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each State agency reports information on the use of SAE funds. Cash reports are not applicable. Progress reports are not applicable. Each State agency submits quarterly financial status information on SAE funds on forms provided by FNS and will continue to report information on the use of SAE funds, after the end of the fiscal year to which they pertain, until all unpaid obligations have been liquidated. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Each State agency keeps records on administrative expenses conforming with the applicable SAE plan and maintains current accounting records of SAE funds that identify fund authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$208,646,000; FY 12 est \$274,975,000; and FY 13 est \$289,702,000

**Range and Average of Financial Assistance:**

Range: from \$37,412 to \$24,024,555; Average: \$2,343,120.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 7 CFR Part 235, "State Administrative Expense Funds."

**Regional or Local Office:**

None. See Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM**

Supplemental Nutrition Assistance Program (Administrative Match)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Food and Nutrition Act of 2008, as amended, Section 16, Public Law 95-113, 91 Stat. 958, 7 U.S.C. 2025; Public Law 99-198, Public Law 105-33, Public Law 105-185, Public Law 110-246, American Recovery and Reinvestment Act

of 2009, Public Law 111-5, Healthy Hunger Free Kids Act, Public Law 111-296.

**OBJECTIVES:**

To provide Federal financial aid to State agencies for costs incurred to operate the Supplemental Nutrition Assistance Program (SNAP).

SNAP Nutrition Education Grant Program funds support the Nutrition Education and Obesity Prevention Grant Program, which was established by Section 241 of the Healthy, Hunger-Free Kids Act of 2010.

SNAP Employment and Training (E&T) funds provide grants to States to provide E&T education to assist SNAP participants in finding work. An E&T program may consist of many different types of components, including but not limited to: independent job search; job search training and support; workfare; educational programs to improve employability; work experience or training to improve employability; other employment oriented activities (e.g., job placement, supported work experience, WIA services); and selfemployment training.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To provide Federal funding for administrative costs incurred by State and local agencies to operate SNAP. Unless authorized by Federal legislation, outlays charged to other Federal grants or to Federal contracts may not be considered as State agency costs. Submission of claims for payments of administrative costs shall be in accordance with 7 CFR 277 of the SNAP Regulations. To provide Federal funding to States through two-year grants for SNAP nutrition education costs. To provide Federal funding to States to help SNAP recipients find work or gain the skills, training and experience that lead to employment.

**Applicant Eligibility:**

Agreements are between USDA-FNS and State cooperators. (U.S. Territories qualify as States for grant purposes.)

**Beneficiary Eligibility:**

Agreements are between USDA-FNS and State cooperators. (U.S. Territories qualify as States for grant purposes.)

**Credentials/Documentation:**

No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR part 3016, must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State governments may apply for Federal financial aid in accordance with requirements outlined in 7 CFR Parts, 271 and 277.

**Award Procedure:**

Food and Nutrition Service funds State Agency cooperator. No preapplication forms are required. A plan of operation must be submitted by the State agency prior to approval for funding. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Deadlines:**

Aug 15, 2009 Budgets are due to FNS August 15.

**Range of Approval/Disapproval Time:**

30 days.

**Appeals:**

Not Applicable.

**Renewals:**

Annually, as of October 1.

**Formula and Matching Requirements:**

Statutory Formula: Title Food and Nutrition Act (FNA) of 2008, 2002 and 2008 Farm Bills for SNAP Employment and Training (E&T), Healthy, Hunger-Free Kids Act of 2010. Federal agency reimburses 50 percent of reasonable, necessary, and allowable State administrative expenses.

**SNAP Employment and Training (E&T)**

Statutory Formula: 2002 and 2008 Farm Bills. FNS allocates \$90 million to State agencies for the administrative costs of operating an E&T programs. FNS allocates an additional \$20 million in grants to States pledging to serve all at-risk Able-Bodied Adults Without Dependents (ABAWDs)

Matching Requirement: State administrative spending beyond the Federal grant is reimbursed at 50 percent. FNS also reimburses States for 50 percent of participant reimbursements, such as transportation and dependent care.

**SNAP Nutrition Education**

Statutory Formula: Healthy, Hunger-Free Kids Act of 2010 and Food and Nutrition Act of 2008. Federal agency provides 100 percent funding through two-year grants to States for SNAP nutrition education.

Matching Requirements: Percent: 50.%. Federal agency reimburses 50 percent of reasonable, allowable, and necessary State administrative expenses. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annually by fiscal year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports are submitted as required by 7 CFR Parts 272 and 277. Reports are submitted as required by 7 CFR Parts 272 and 277. Reports are submitted as required by 7 CFR Parts 272 and 277. Financial Management Reviews, Management Evaluations, and Quality Control Reviews.

**Audits:**

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

**Records:**

Financial records, supporting documents, statistical records, and all records pertinent to a grant program shall be retained for a period of 3 years. Additionally, those record retention requirements outlined in 7 CFR Part 3016, apply to this program.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 11 \$110,378,000; FY 12 est \$114,500,000; and FY 13 est \$109,974,000 - Employment & Training (E&T) 100% Federal funding for State administrative costs of operating E&T programs. (Salaries) FY 11 \$2,940,169,000; FY 12 est \$3,742,000,000; and FY 13 est \$3,866,855,000 - Administrative costs. (Salaries) FY 11 \$375,000,000; FY 12 est \$388,000,000; and FY 13 est \$396,000,000 - Nutrition Education & Obesity Prevention Grant Program 100% Federal funding for administrative costs. (Salaries) FY 11 \$192,194,000; FY 12 est \$0; and FY 13 est \$0 - DoD Administrative carryover funds provided in FY 2010 for Nutrition Education & Obesity Prevention Grant Program 100% Federal administrative costs funding. (Salaries) FY 11 \$65,758,000; FY 12 est \$75,032,000; and FY 13 est \$77,433,000 - Employment & Training (E&T) 50% Federal funding for participant reimbursement for program costs, such as transportation and dependent care. (Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Salaries) FY 11 \$177,894,000; FY 12 est \$212,086,000; and FY 13 est \$218,873,000 - Employment & Training (E&T) 50% Federal funding for State administrative costs of operating E&T programs beyond \$20 million grant. (Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Parts 275, 276, 277 and 3016.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Associate Administrator Jessica Shahin, Supplemental Nutrition Assistance Program, 3101 Park Center Dr., Alexandria, Virginia 22302 Email: Jessica.Shahin@fns.usda.gov Phone: (703) 305-2026.

**Website Address:**

<http://www.fns.usda.gov/fsp/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.565 COMMODITY SUPPLEMENTAL FOOD PROGRAM****FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture and Consumer Protection Act of 1973, Sections 4(a) and 5, as amended, Public Law 93-86, 7 U.S.C. 612c (note); Food and Agriculture Act of 1977, as amended, Public Law 95-113, 91 Stat. 980 (7 U.S.C. 612c note); Public Law 97-98, 95 Stat. 1293 (7 U.S.C. 612c note); Public Law 98-8, 97 Stat. 35 (7 U.S.C. 612c note); Public Law 98-92, 97 Stat. 611 (7 U.S.C. 612c note); Public Law 99-198, 99 Stat. 1590 (7 U.S.C. 612c note); Public Law 100-202; Public Law 101-624, 101 Stat. 3806 (7 U.S.C. 612c note); Public Law 104-127, 110 Stat. 1028 (7 U.S.C. 612c note); Public Law 107-171, 116 Stat. 134 (7 U.S.C. 7901 note); Public Law 110-246, 122 Stat. 1886 (7 U.S.C. 612c note).

**OBJECTIVES:**

To improve the health and nutritional status of low-income pregnant women, postpartum and breastfeeding women up to one year postpartum, infants, children up to, and including, age 5, and elderly persons age 60 years and older through the donation of supplemental USDA Foods, which are distributed through public and non-profit private local agencies such as food banks and community action organizations.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; SALE, EXCHANGE, OR DONATION OF

## PROPERTY OR GOODS

### USES AND USE RESTRICTIONS:

USDA Foods and administrative grants are made to State agencies, Indian tribes or tribal organizations recognized by the Department of the Interior, or, the appropriate area office of the Indian Health Service of the Department of Health and Human Services. These agencies distribute USDA Foods and funds to participating local public or private nonprofit agencies approved by USDA. USDA Foods and administrative grants are made to State agencies and Indian Tribal Organizations (ITOs) recognized by the Department of the Interior or the appropriate area office of the Indian Health Service of the Department of Health and Human Services. These agencies distribute USDA Foods and funds to participating local public or private nonprofit agencies. Federal funding for administrative costs may only be used in making these USDA Foods and nutrition education available to eligible beneficiaries. USDA Foods can only be made available to eligible beneficiaries and cannot be sold, exchanged, or otherwise disposed of without prior specific approval by the Department.

### Applicant Eligibility:

Agreements are made between USDA and the State agency or an ITO recognized by the Department of the Interior or the appropriate area office of the Indian Health Service of the Department of Health and Human Services.

### Beneficiary Eligibility:

To be certified as eligible to receive USDA Foods through the program, each applicant must be an infant, child up to and including age five, a pregnant woman, a postpartum woman up to one year postpartum, or an elderly person 60 years of age or older, residing in an area where the program operates. States establish income eligibility guidelines for women, infants, and children, which must be set between 100 and 185 percent of Federal Poverty Income Guidelines. Women, infants, and children who receive Supplemental Nutrition Assistance Program, Temporary Assistance for Needy Families, or Medicaid benefits are considered automatically income eligible for the Commodity Supplemental Food Program. At State discretion, women, infant, and children participants may be considered income eligible if participating in existing Federal, State, or local food, health, or welfare programs if the income eligibility limits for the program are equal to or lower than the established limits for the Commodity Supplemental Food Program. States establish income guidelines for elderly persons, which must be set at or below 130 percent of Federal poverty income guidelines. States may require that participants be at nutritional risk, as determined by a physician or local agency staff. States may also require that an individual reside within the service area of the local agency at the time of application for program benefits. However, States may not require that the individual reside within the area for any fixed period of time.

### Credentials/Documentation:

Participants are provided USDA Foods by local agency personnel or its designee. Costs are determined in accordance with 2 CFR Part 225 (OMB Circular No. A-87), which establishes cost principles for State, local, and ITOs, and 2 CFR Part 230 (OMB Circular No. A-122), which establishes cost principles for non-profit organizations. Documentation of non-profit status may be required. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The State agency or ITO must require each agency that desires approval as a local agency to submit an application that contains sufficient information to enable the State agency to make a determination of eligibility for that agency, and which meets the requirements of CSFP regulations, at 7 CFR 247.7. This section requires local agencies to have tax-exempt status, or to have applied for such status. Individual participants may apply for program benefits at an approved local agency.

### Award Procedure:

USDA Foods and administrative funds are awarded by the Department to State agencies in accordance with the priorities and funding formulas set forth in program regulations and legislation. State agencies, in turn, distribute USDA Foods and administrative funds to the local level.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

A determination will be made within 30 days of submission of a completed plan.

### Appeals:

Local agency appeals: The State agency provides a hearing appeal procedure for a local agency adversely affected by a State agency action, if the action would adversely affect participation.

Individual participant appeals: The State agency provides a hearing appeal procedure for any individual who receives an adverse action which may include the denial or discontinuance of program benefits, disqualification from the program, or a claim to repay the value of USDA Foods received as the result of fraud.

### Renewals:

None.

### Formula and Matching Requirements:

Statutory Formula: Administrative Funds: Section 5 of the Agriculture and Consumer Protection Act of 1973, as amended, requires the USDA to provide State agencies with a grant per assigned caseload slot to pay for administrative program costs.

This program has no matching requirements.

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

USDA Foods are made available on an ongoing basis. Administrative funds are provided to States annually, each fiscal year. Method of awarding/releasing assistance: lump sum.

### Reports:

FNS-153, Monthly Report of the Commodity Supplemental Food Program and Quarterly Administrative Financial Status Report. The State agency must submit the FNS153 on a monthly basis. In the report, State agencies must report the number of program participants by population category, the receipt and distribution of USDA Foods, including inventory and other data. State agencies must also report on a quarterly basis information on administrative funds expenditures, as well as other data.

FNS-191 Racial/Ethnic Group Participation. Local agencies must submit a report of racial/ethnic participation each year. State agencies must monitor local agency performance to insure local agencies are meeting all regulatory requirements. State agencies must monitor local agency performance to insure local agencies are meeting all regulatory requirements. SF-425 - Federal Financial Report. State agencies must submit the SF-425 to report the financial status of the program at the close of the fiscal year. This report must be submitted within 90 days after the end of the fiscal year. FNS153, Monthly Report of the Commodity Supplemental Food Program and Quarterly Administrative Financial Status Report. The State agency must submit the FNS153 on a monthly basis. In the report, State agencies must report the number of program participants by population category, the receipt and distribution of commodities, including inventory and other data, and on a quarterly basis information on administrative funds expenditures. FNS153, Monthly Report of the Commodity Supplemental Food Program and Quarterly Administrative Financial Status Report. The State agency must submit the FNS153 on a monthly basis. In the report, State agencies must report information on administrative funds expenditures on a quarterly basis, as well as other data. State agencies must monitor local agency performance to insure local agencies are meeting all regulatory requirements. State agencies must monitor local agency performance to insure local agencies are meeting all regulatory requirements.

**Audits:**

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

**Records:**

Each State agency must maintain accurate and complete records of all receipts and dispositions as detailed in 7 CFR 247.29(a). Records must be retained for 3 FYs from the end of the FY to which they pertain, or if they are related to unsolved claims, actions, audits or investigations until those activities have been resolved.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$196,444,000; FY 12 est \$191,788,000; and FY 13 est \$186,935,000

**Range and Average of Financial Assistance:**

On average, \$1,003,282 in appropriated administrative funding was allocated to each State for FY12. Funding ranged from \$6,242 to \$5,502,645 per State.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided USDA Foods and administrative funds to 42 State agencies for the distribution of foods to low-income elderly and women, infants, and children. On an average monthly basis, 588,076 people participated in CSFP in FY 2011. Fiscal Year 2012: Provide USDA Foods and administrative funds to 42 State agencies for the distribution of foods to low-income elderly and women, infants, and children. The program is available to up to 599,380 participants in 2012. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 247 is available without charge from the Department.

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Laura Castro 3101 Park Center Drive, Food Distribution Division, Food and Nutrition Service, Department of Agriculture, Alexandria, Virginia 22302-1594 Phone: (703) 305-2680

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/csfp/default.htm>

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.556 Special Milk Program for Children; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.558 Child and Adult Care Food Program; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Available.

**10.566 NUTRITION ASSISTANCE FOR PUERTO RICO**

(NAP)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Omnibus Budget Reconciliation Act of 1981, as amended, Title 1, Section 116; Public Law 97-35; Public Law 97-253; Public Law 98-204; Public Law 99-114;

Public Law 99-157; Public Law 99-182; Public Law 99-198; Public Law 101-624; Public Law 103-66; Public Law 104-127; Public Law 106-387; Public Law 107-171. American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

A cash grant alternative to the Special Nutrition Assistance Program (SNAP) to improve diets of needy persons residing in the Commonwealth of Puerto Rico.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Households receive benefits to purchase food. A portion is provided as cash.

**Applicant Eligibility:**

The Commonwealth of Puerto Rico alone is eligible.

**Beneficiary Eligibility:**

Low-income individuals and households are eligible for benefits as determined by the Commonwealth.

**Credentials/Documentation:**

The Commonwealth is required to document the classes of households that receive benefits and the level of those benefits. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Commonwealth is required to submit an annual plan of operation to the Food and Nutrition Service for approval.

**Award Procedure:**

The Secretary of Agriculture designates the Commonwealth agency or agencies to operate the program upon submission of the request.

**Deadlines:**

Jul 01, 2009 July 1 for plan submission.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Program continues once approved unless there is a substantial failure to comply with regulations or withdrawal on the part of the Commonwealth.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. The Department of Agriculture pays 100 percent of the cost of benefits and 50 percent of administrative costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for one fiscal year at a time. Assistance is provided through the electronic transfer system, consistent with Treasury Fiscal Requirement Manual, Volume I, Part 6, Section 2030. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The content and frequency of reports is specified by the Commonwealth's plan of operation. The content and frequency of reports is specified by the Commonwealth's plan of operation. The content and frequency of reports is specified by the Commonwealth's plan of operation. The content and frequency of reports is specified by the Commonwealth's plan of operation. Financial

Management Reviews and Management Evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Commonwealth is required to conduct an audit of expenditures at least once every two years, and is subject to audit by the Office of Inspector General, USDA.

**Records:**

The content and maintenance of records is specified by the Commonwealth's plan of operation.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 11 \$1,744,605,000; FY 12 est \$1,835,464,000; and FY 13 est \$1,899,272,000 - Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2010, Public Law 111-5 (Recovery Act), NAP funding level for Federal Fiscal Year 11 was increased by \$255,963,000.

Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2011, Public Law 111-5 (Recovery Act), NAP funding level for Federal Fiscal Year 12 estimate was increased by \$165,104,000.

Pursuant to the Recovery Act authorization, American Recovery and Reinvestment Act of 2012, Public Law 111-5 (Recovery Act), NAP funding level for Federal Fiscal Year 13 estimate has been increased by \$101,296,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1,352,536 households served each month; \$1.9 billion in benefits provided in FY 11. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Mid-Atlantic Regional Office, Food and Nutrition Service, Department of Agriculture, Robbinsville, NJ 08691-1598. Contact: Patricia Dombroski. Telephone: (609) 259-5025, FTS: (609) 259-5025.

**Headquarters Office:**

Patricia Dombroski 300 Corporate Blvd, Robbinsville, New Jersey 08691  
Phone: 609-259-5025

**Website Address:**

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

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Only Puerto Rico may apply.

**10.567 FOOD DISTRIBUTION PROGRAM ON INDIAN RESERVATIONS**

(FDPIR)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Food and Nutrition Act of 2008 (Public Law 110-246); Agriculture and Consumer Protection Act of 1973 (Public Law 93-86) , 7 U.S.C 2011-2036.

**OBJECTIVES:**

The Food Distribution Program on Indian Reservations (FDPIR) is a nutrition assistance program that may be operated, at the request of a Tribe or Indian Tribal Organization (ITO) on an Indian reservation, approved areas near a reservation, or approved service areas in Oklahoma. Eligible low-income households receive a supplemental monthly food package and nutrition education. Households may not participate in FDPIR and the Supplemental Nutrition Assistance Program (SNAP) at the same time. In FY 2011, five States and 100 ITOs administered 112 programs on 276 Indian reservations, pueblos, rancherias, and Alaska Native Villages. Nutrition assistance was provided to an average of 77.8 million persons per month.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

USDA provides donated foods to authorized ITOs and State Distributing Agencies (SDA) for distribution, free of charge, to qualifying households. FNS makes available to the ITOs and SDAs a minimum of 75% of the administrative funds necessary to operate the program and to conduct nutrition education. The ITOs and SDAs must follow national policies in certifying eligible households and issuing USDA donated foods, and must comply with program and financial reporting requirements. The USDA foods may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of USDA. The Federal funds provided must be used to meet expenses incurred in operating FDPIR. These funds may not be used to purchase real property (land or buildings).

**Applicant Eligibility:**

The administration of FDPIR is limited to ITOs or to SDAs that assume administration on behalf of/at the request of a tribe(s).

**Beneficiary Eligibility:**

FDPIR eligibility is limited to low-income households residing on participating reservations or low-income Indian Tribal Households (see definition at 7 CFR 253.2) residing in approved areas near a reservation or in approved service areas in Oklahoma. The ITOs/SDAs are responsible for certifying households based on national eligibility criteria. The income standards vary by household size and are based on 100% of the Federal Poverty Guidelines adjusted by the applicable SNAP standard deduction.

**Credentials/Documentation:**

Applicant ITO/SDA administrators must submit Form SF-424 (Application for Federal Assistance) and a Plan of Operations. ITOs and SDAs must comply with federal financial management policies and regulations. Applicant households must submit a completed application form and provide documentation in accordance with federal regulations at 7 CFR 253.6. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. ITOs and SDAs that want to administer FDPIR must submit Form SF-424 (Application for Federal Assistance) to the appropriate FNS regional office, as well as a Plan of Operation. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102, as implemented by 7 CFR Part 3016, must be used for this program.

**Award Procedure:**

Administrative funding is provided annually by FNS to ITOs and SDAs for use in administering the program. Program benefits for eligible households are provided in the form of a monthly food package, selected by the household in accordance with federal guide rates that are based on household size. ITOs and

SDAs order from a list of about 115 available foods and the foods are delivered to the ITOs/SDAs on a predetermined schedule set by the ITO/SDA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

FNS must determine within 30 days of the receipt of a completed application if an ITO/State agency is capable of administering the program. ITOs and SDAs must make foods available to eligible households within 7 days of receipt of the completed application form (1 day for households with no income).

**Appeals:**

Not Applicable.

**Renewals:**

Approval to administer the program continues unless a withdrawal is requested or required because of program irregularities, or funding is unavailable. Administrative funding is provided on an annual basis; a new Form SF-424 must be submitted each year. Households are assigned certification periods of varying lengths based on household circumstances. Household certification periods may not exceed one year, except elderly or disabled households may be certified for up to 24 months if household circumstances are stable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Part 253.11.

Matching Requirements: Percent: 25%. The 25% match requirement may be waived, if compelling justification is provided by the ITO/SDA.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Administrative funding for ITOs/State agencies expires at the end of each fiscal year. Food donations for household distribution are continuous. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Form FNS-152, Monthly Distribution of Donate Food to Family Units, captures, on a monthly basis, the number of households certified and number of households/individuals participating. It also captures food inventory (i.e., receipts, distributions, and remaining inventory at end of month). Form FNS-101, Participation in Food Program-by Race, captures racial ethnic data for the month of July each year. No cash reports are required. No progress reports are required. Form SF-425, Federal Financial Report, captures, on a quarterly basis, Federal funding authorized, obligated, and obligated but not liquidated. Also captures non-federal funds used for the program. ITOs and SDAs are required to conduct annual reviews of program operations.

**Audits:**

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

**Records:**

Each ITO and SDA must maintain accurate and complete program records and reports, including household case files, for 3 years following the close of the fiscal year or until any outstanding audit, claim or litigation is settled.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available. (Salaries) FY 11 \$97,920,000; FY 12 est \$103,746,000; and FY 13 est \$101,154,000 - The amounts include federal administrative funds provided to the ITOs/SDAs that administer FDPIR and funds used to purchase foods for distribution to eligible program participants.

Fiscal Year 2011: USDA Foods in Lieu of SNAP benefits - \$59,557,000; Administrative expenses -37,365,000; Nutrition education grant program - \$998,000.

Fiscal Year 2012: USDA Foods in Lieu of SNAP benefits - \$64,938,000; Administrative expenses -37,808,000; Nutrition education grant program - \$1,000,000.

Fiscal Year 2013 (estimated): USDA Foods in Lieu of SNAP benefits - \$61,327,000; Administrative expenses - 38,829,000; Nutrition education grant program - \$998,000.

**Range and Average of Financial Assistance:**

In FY 2011, the monthly per person food package was approximately \$61.03. Federal administrative funding to the ITOs and State agencies varies based on number of persons served in each program and the unique operational needs of each program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, five States and 100 ITOs administered 112 programs on 276 Indian reservations, pueblos, rancherias, and Alaska Native Villages. Nutrition assistance was provided to an average of 77.8 million persons per month at a cost to FNS of \$50.71 per food package in FY 2011, with an average monthly per person administrative cost of \$48.14. Fiscal Year 2012: In FY 2012, five States and 100 ITOs will administer 112 programs on 276 Indian reservations, pueblos, rancherias, and Alaska Native Villages. Fiscal Year 2013: In FY 2013, an estimated five States and 100 ITOs will administer 112 programs on 276 Indian reservations, pueblos, rancherias, and Alaska Native Villages.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 253; 7 CFR Part 254; 7 CFR Part 250; FNS Handbook 501

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Laura Castro Food and Nutrition Service  
Food Distribution Division  
3101 Park Center Dr., 5th Floor  
, Alexandria, Virginia 22302 Email: Laura.Castro@fns.usda.gov Phone:  
703-305-2680

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/fdpi/default.htm>

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.568 EMERGENCY FOOD ASSISTANCE PROGRAM (ADMINISTRATIVE COSTS)**

(TEFAP)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Emergency Food Assistance Act of 1983, Sections 204 and 209, Public Law 98-8, 97 Stat. 35, 7 U.S.C 7508; Federal Supplemental Compensation Act of 1982 Amendments, Section 2, as amended, Public Law 98-92, 97 Stat. 608; Food Security Act of 1985, as amended, Section 1569, Public Law 99-198, 99 Stat. 1354; Public Law 100-77, 101 Stat. 536; Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330; Public Law 110-246, 122 Stat. 1882.

**OBJECTIVES:**

To help supplement the diets of low-income persons by making funds available to States for processing, storage and distribution costs incurred by State agencies and local organizations, such as soup kitchens, food banks, and food pantries, including faith-based organizations, in providing food assistance to

needy persons.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Administrative funds are provided to State agencies to cover administrative costs incurred at the State and local level in the operation of the program. Funds may only be used for approved administrative expenses, and the State agency is required to pass-through at least 40% of the funds to emergency feeding organizations or expend such funds on their behalf. In addition, the States must match, either in cash or in-kind, the amount of administrative funds not passed-through to emergency feeding organizations.

States may choose sites that distribute to low-income households and/or congregate sites that provide meals to the needy. Allowable costs include nutrition education, warehousing, food delivery, participate certification, and other administrative costs.

**Applicant Eligibility:**

State agencies that are designated as distributing agencies by the Governor or other appropriate State executive authority may receive these administrative funds to support the distribution of USDA Foods to low-income persons.

**Beneficiary Eligibility:**

Public or private non-profit organizations, such as food banks, food pantries, and soup kitchens, which provide food assistance to low-income persons.

**Credentials/Documentation:**

State agencies and local organizations are required to document their use of the administrative funds, and only those administrative costs permitted under OMB Circular No. A-87 for State and local governments will be allowed. Local agencies may be required to document their non-profit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Administrative funds are allocated among the States on the basis of a legislatively-mandated formula that takes into account each State's relative share of the National number of persons with income below the poverty level (60 percent) and of unemployed persons (40 percent). At a minimum, States must make at least 40 percent of the administrative grant available to emergency feeding organizations, or expend such funds on their behalf.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Federal/State agreements are ongoing and amended as necessary. Local organizations receiving administrative funds must have an agreement with the State agency or with another local organization participating in the program. Such agreements are ongoing and amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Title Agriculture, Chapter 7, Part 251.3.

Matching Requirements: Percent: 100%. States are required to pass-through to emergency feeding organizations at least 40 percent of the administrative funds allocated to the State. States are required to match, either as cash or

in-kind, 100 percent of the administrative funds not passed-through to emergency feeding organizations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are provided through the electronic transfer system as they are needed for actual expenditures on a fiscal year basis. Any funds which are made available through the initial allocation or a subsequent reallocation that are not used are turned back to the Federal government, and reallocated according to the legislatively mandated formula. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. Quarterly and annual financial reports are made on FNS-667. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Normal records accounting for receipts and dispersals; retention required for 3 years following the close of the fiscal year or until any outstanding audit, claim, or litigation is settled.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$70,300,000; FY 12 est \$48,023,000; and FY 13 est \$49,401,000 - FY 2011 administrative funds include \$49,401,000 in appropriated funds and \$19,100,000 in food funds converted to administrative funds (allowed for FY 2011).

For FY 2012, converted food funds could be added to the administrative funding total.

**Range and Average of Financial Assistance:**

In Fiscal Year 2012, the range for assistance to State agencies was from \$21,336 to \$6,424,610; the average amount of assistance was \$872,727.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Data is not being compiled. Fiscal Year 2012: Data is not being compiled. Fiscal Year 2013: Data is not being compiled.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 251; refer to 7 CFR Part 250 for applicable provisions on commodity handling.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Ashley Bress 3101 Park Center Drive, Suite 500, Alexandria, Virginia 22302  
Email: ashley.bress@fns.usda.gov Phone: 7033052674

**Website Address:**

<http://www.fns.usda.gov/fdd/programs/tefaf/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program; 10.569 Emergency Food Assistance Program (Food Commodities)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Not available. Fiscal Year 2012: Not available. Fiscal Year 2013: Not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not available.

## **10.569 EMERGENCY FOOD ASSISTANCE PROGRAM (FOOD COMMODITIES)**

TEFAP, USDA Foods, Commodities

### **FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

### **AUTHORIZATION:**

Emergency Food Assistance Act of 1983, Public Law 98-8, 97 Stat. 35, 7 U.S.C 7501; Hunger Prevention Act of 1988, Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330; Public Law 110-246, 122 Stat. 1882; American Recovery Act and Reinvestment Act of 2009, Public Law 111-5.

### **OBJECTIVES:**

To help supplement the diets of low-income persons by making donated foods available to the State agencies that are responsible for the distribution of USDA Foods within the States.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

USDSA Foods can only be used to provide food assistance to needy persons. USDA Foods may be provided for household consumption or for congregate feeding. The State agency must give priority to local organizations that provide nutrition assistance to relieve situations of emergency and distress.

### **Applicant Eligibility:**

State agencies that are designated as distributing agencies by the Governor or other appropriate State executive authority may receive and distribute USDA Foods. States can distribute these foods to eligible recipient agencies, such as food banks, food pantries, soup kitchens, and other eligible agencies, including faith-based organizations.

### **Beneficiary Eligibility:**

Low-income and needy individuals, including persons that are homeless, unemployed, underemployed, or receiving public assistance. The State agency must establish income based eligibility criteria to ensure the commodities are provided to the needy. Persons interested in receiving TEFAP should contact their State agency (<http://www.fns.usda.gov/fdd/contacts/SdaContacts.htm>) for more information on how to access the program.

### **Credentials/Documentation:**

Low-income individuals receiving USDA Foods for home consumption must establish eligibility to participate in the program on the basis of State eligibility standards. All individuals seeking food assistance at sites which serve prepared meals are presumed to be eligible to receive meals. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. All States are eligible to participate; the State does not need to complete an application.

### **Award Procedure:**

USDA Foods are allocated among the States on the basis of a legislatively-mandated formula that takes into account each State's relative share of the national number of persons with income below the poverty level (60 percent) and of unemployed persons (40 percent).

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

Not Applicable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Federal/State agreements are ongoing and amended as necessary. Individuals receiving food for home consumption are recertified periodically. Persons receiving USDA Foods in the form of meals from sites which serve prepared meals are presumed to be eligible.

### **Formula and Matching Requirements:**

Statutory Formula: Title Agriculture, Chapter 7, Part 251. USDA Foods are allocated among the States based on a legislatively-mandated formula. The allocation formula is based in part (60 percent) on the number of people whose income is below the poverty level and in part (40 percent) on the number unemployed persons.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: by letter of credit.

### **Reports:**

No reports are required.

### **Audits:**

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

### **Records:**

Normal records accounting for receipts and dispersals; retention required for 3 years following the close of the fiscal year or until any outstanding audit, claim, or litigation is settled.

### **Account Identification:**

12-3505-0-1-605.

### **Obligations:**

(Formula Grants) FY 11 \$228,400,000; FY 12 est \$260,250,000; and FY 13 est \$269,500,000

### **Range and Average of Financial Assistance:**

In Fiscal Year 2012, the range of awards was from \$114,126 to \$34,364,834; the average award was \$4,668,163.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided 326,931,466 pounds of USDA Foods to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals. Fiscal Year 2012: Provide USDA Foods to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals. Fiscal Year 2013: Provide USDA Foods to State and local agencies for distribution to needy persons for use at home or for use at sites which serve prepared meals.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 251; refer to 7 CFR Part 250 for applicable provisions on USDA Foods handling.

### **Regional or Local Office:**

See Regional Agency Offices.

### **Headquarters Office:**

Ashley Bress 3101 Park Center Drive, Suite 500, Alexandria, Virginia 22302  
Email: [ashley.bress@fns.usda.gov](mailto:ashley.bress@fns.usda.gov) Phone: 7033052674

### **Website Address:**

<http://www.fns.usda.gov/fdd/programs/tefap/default.htm>.

### **RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.568 Emergency Food Assistance Program (Administrative Costs)



**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.572 WIC FARMERS' MARKET NUTRITION PROGRAM (FMNP)**

WIC Farmers' Market, or FMNP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Healthy Hunger-Free Kids Act of 2010, Public Law 111-296, 106 Stat. 281; Child Nutrition Act of 1966, as amended, Section 17(m), 42 U.S.C. 1786.

**OBJECTIVES:**

To provide fresh, nutritious, unprepared, locally grown fruits and vegetables from farmers markets to women, infants, and children who participate in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC); and to expand the awareness and use of farmers' markets and increase sales at such markets.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to State health, agriculture and other agencies, Indian tribes, bands, or intertribal councils or groups recognized by the Department of the Interior, or the Indian Health Service of the Department of Health and Human Services. Participating State agencies must provide program income or State, local, or private funds for the program in an amount that is equal to at least 30 percent of the administrative cost of the program except Indian Tribal Organizations which may provide a negotiated match contribution that is less than 30 percent but not less than 10 percent. The matching requirement may be satisfied from State contributions that are made for similar programs. Federal FMNP benefits (coupons) may be issued only to participants in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC) or to persons who are on a waiting list to receive WIC benefits. A minimum of 83 percent of grant funds may be used to support the costs of the foods that are provided under the FMNP but no more than seventeen percent may be used for administrative cost of the program.

**Applicant Eligibility:**

All State agencies that desire to receive a FMNP grant must submit, for each Federal fiscal year, a State Plan to the Food and Nutrition Service (FNS), USDA. New State agencies are selected based on the availability of funds after base grants for currently participating State agencies are funded. Local FMNP sites are selected by participating State agencies based on concentration of eligible WIC participants and access to farmers' markets.

**Beneficiary Eligibility:**

WIC participants (i.e., pregnant, postpartum or breastfeeding women; infants over 4 months of age; and children up to 5 years of age) and (at the State's discretion) those who are on a waiting list to receive WIC benefits are eligible to receive FMNP coupons. State agencies may also designate subcategories of WIC participants, e.g., pregnant and breastfeeding women only, to be FMNP recipients.

**Credentials/Documentation:**

A signed and executed Federal/State Agreement (FNS-339) is necessary before funds can be allocated to a participating FMNP State agency. Costs will be determined in accordance with 7 CFR Part 3016, and FNS guidelines and instructions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application is made through submission of a "State Plan of Program Operation and Administration" as required by law. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Farmers or farmers' markets (depending on whether

State agencies have agreements with farmers or markets) located in communities with WIC Program sites may apply to be authorized to accept FMNP coupons under the program. The State agency reviews the applications for completeness and compliance with authorization requirements. The State agency contacts the farmer/farmers' market to inform them of qualification. Individual participants apply for FMNP benefits at approved local WIC agencies.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies. If the available funds are insufficient to meet the base grant levels for current FMNP grantees, a pro-rata reduction will be applied to the grant levels awarded to all participating FMNP State agencies. If additional funds become available for the FMNP, such funds would first be distributed evenly among the current grantees to make whole their base grants for that fiscal year. Grant payments are made by a letter of credit.

**Deadlines:**

Nov 15, 2012 FMNP State Plans for the current fiscal year are due to the appropriate FNS Regional office by November 15.

**Range of Approval/Disapproval Time:**

As required by law (at Section 1786(m)(6)(A) of the Child Nutrition Act of 1966, as amended), the Secretary must inform each FMNP State agency of the award of funds by February 15 of each year.

**Appeals:**

All decisions by the FNS are final.

**Renewals:**

This Program is authorized through September 30, 2015.

**Formula and Matching Requirements:**

Statutory Formula: Statutory formula can be found at Section 17(m)(3) of the Child Nutrition Act. As a prerequisite to the receipt of Federal funds, a State agency must agree to contribute program income or State, local or private funds equal to at least 30 percent of its administrative program cost. Provided that sufficient funds are available, each current State agency will be funded at its most recent year's level. Remaining funds are divided between current States for expansion and new States, based on a 75 to 25 percent ratio, respectively. Matching Requirements: Percent: 30%. As a prerequisite to the receipt of Federal funds, a State agency must agree to contribute program income or State, local or private funds equal to at least 30 percent of its administrative program cost. Indian Tribal Organizations may provide a negotiated match contribution that is less than 30 percent but not less than 10 percent. State contributions for similar programs may satisfy the State matching requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

FMNP funds are provided using Federal Reserve Bank letters of credit and end on November 30 of each year. State agencies may withdraw funds only as needed. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports submitted to FNS specifying the following data: Number and type of recipients (Federal and nonfederal); number of authorized farmers, farmers' markets, and farm or roadside stands; value of coupons issued and redeemed; and financial expenditure data. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the FMNP funds. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain,

except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Salaries) FY 11 \$23,282,876; FY 12 est \$16,549,000; and FY 13 est \$16,548,000

**Range and Average of Financial Assistance:**

FY 11 grants ranged from \$6,337 to \$3,922,243.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1,919,477 participants, 18,487 farmers, 4079 farmers markets, 3184 roadside stands. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 248, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018

**Regional or Local Office:**

See Regional Agency Offices. See Food and Nutrition Service updated regional office listed in Appendix IV.

**Headquarters Office:**

Debra Whitford, Food and Nutrition Service, Supplemental Food Programs Division, 3101 Park Center Drive, Alexandria, Virginia 22302 Email: Debbie.Whitford@fns.usda.gov Phone: (703) 305-2746 Fax: (703) 305-2196.

**Website Address:**

<http://www.fns.usda.gov/wic/>.

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children; 10.565 Commodity Supplemental Food Program; 10.576 Senior Farmers Market Nutrition Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 46 State agencies and federally recognized Indian tribal organizations. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**10.574 TEAM NUTRITION GRANTS**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Child Nutrition Act, Section 19, as amended, 42 U.S.C. 1788.

**OBJECTIVES:**

Team Nutrition Training Grants for Healthy School Meals have been identified in USDA's national Strategic Plan for Training and Technical Assistance as one of the anchor delivery systems for supporting the implementation of USDA's nutrition requirements and the Dietary Guidelines for Americans in Child Nutrition programs. Team Nutrition's (TN) goal is to improve children's lifelong eating and physical activity habits by using the principles of the Dietary Guidelines for Americans and the USDA Food Guidance System. TN Training Grants offer funding to state agencies to establish or enhance sustainable infrastructures for implementing TN's three behavior-focused strategies: (1) provide training and technical assistance to child nutrition food service professionals to enable them to prepare and serve nutritious meals that appeal to students; (2) promote nutrition curriculum and education in schools through multiple communication channels (i.e., food services initiatives, classroom activities, school wide events, home activities, community programs and events, and media events and coverage) to reinforce positive nutrition messages and encourage students to make healthy food and physical activity choices as part of a healthy lifestyle; and (3) build school and community support for creating healthy school environments that are conducive to healthy eating and physical activity.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Team Nutrition Training Grants provide funding to assist State agencies administering the National School Lunch Program (NSLP) and the Child and Adult Care Food Program (CACFP) in achieving the TN goal of improving children's lifelong eating and physical activity habits using the most current Dietary Guidelines for Americans. States may award sub-grants to local NSLP and CACFP programs following the established oversight procedure as well as the Guidance for Interpreting Cost Principles of Sub-Grants. Team Nutrition Training Grants provide funding to assist State agencies in achieving the TN goal of improving children's lifelong eating and physical activity habits using the most current Dietary Guidelines for Americans.

**Applicant Eligibility:**

State agencies that administer the NSLP or CACFP may apply for a TN Training Grant. States must apply individually.

**Beneficiary Eligibility:**

School decision makers, school food service staff, children, parents and teachers/educators.

**Credentials/Documentation:**

State agencies must administer the NSLP or CACFP. Applicants must prove ability to provide a competent experienced staff and other resources to assure adequate development, supervision and execution of TN Training Grant activities. In addition, applicants are required to submit a written proposal which includes a description of the training issue or issues to be addressed, the proposed project approach, the rationale for it, specific program objectives, activities, and budget. A properly executed Federal/State Agreement between the Food and Nutrition Service and the State agency is necessary before funds can be allocated. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

State agencies are furnished with a copy of the Request for Applications (RFA) package on how to apply for a TN Training Grant. Additionally, the complete RFA is posted on the FNS Team Nutrition web site and on Grants.gov. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit a complete application to the Food and Nutrition Service by the deadline specified.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the RFA package. Grants are awarded by a competitive process via a technical review panel composed of Food and Nutrition Service staff which convenes to determine the technical merit of each grant application, provide a numerical score and make recommendations to selecting officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Once the application is received from the State agency, it is approximately 3 to 4 months before announcement of the TN Training Grant awards.

**Appeals:**

The solicitation will provide information on appeals.

**Renewals:**

The solicitation will provide information on renewals.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two year grants, within the Federal Fiscal Years. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Quarterly Financial reports are required. Quarterly progress reports are required. Quarterly financial reports are required. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the use of TN Training Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Project Grants) FY 11 \$15,613,000; FY 12 est \$15,071,000; and FY 13 est \$15,004,000 - Competitive Grants: FY11 5,547,000; FY12est: 5,500,000; and FY13est 5,500,000  
Non-Competitive Grants: FY11 838,000; FY12est: 1,000,000; and FY13est 1,000,000  
Healthier Schools Challenge: FY11 868,000; FY12est: 1,928,000; and FY13est 1,500,000

Competitive Grants are grants awarded to State agencies to establish or enhance sustainable infrastructures for implementing Team Nutrition's goal of improving children's lifelong eating and physical activity habits.

Non-Competitive Grants are awarded for training and technical assistance to help schools take the HealthierUS School Challenge. The HealthierUS School Challenge (HUSC) is a voluntary certification initiative established in 2004 to recognize those schools participating in the National School Lunch Program that have created healthier school environments through promotion of nutrition and physical activity. Monetary incentive awards became available for each HUSC award level: Bronze, Silver, Gold, and Gold Award of Distinction.

**Range and Average of Financial Assistance:**

Unavailable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 21 competitive grants awarded and 22 non-competitive grants awarded. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018, 7 CFR Part 3019, 7 CFR Part 3021 and 7 CFR Part 3052.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Leslie Byrd, Food and Nutrition Service, Grants and Fiscal Policy Division, 3101 Park Center Drive, Room 738, Alexandria, Virginia 22302 Email: leslie.byrd@fns.usda.gov Phone: (703) 305-2867 Fax: (703) 605-0363.

**Website Address:**

<http://teammnutrition.usda.gov/grants.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: -Focusing on efforts to improve students' fruit and vegetable consumption.  
-Creating a healthy school environment using Team Nutrition resources.  
-Collaborating with other State agencies and organizations to achieve the Team Nutrition goal and to assist school districts in implementing and evaluating Local Wellness Policies.  
-Many mini grants to local school districts to assist their efforts to promote healthy eating and physical activity.  
-Efforts to integrate nutrition education into students learning content standards, including trainings and workshops provided to teachers. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Technical Review Criteria, which are furnished to all applicants in the Request for Applications package are used by the review panel to score and rank TN Training Grant applications.

**10.575 FARM TO SCHOOL GRANT PROGRAM**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

The Healthy, Hunger-Free Kids Act of 2010 (HHFKA) amended Section 18 of the Richard B. Russell National School Lunch Act (NSLA) to establish a Farm to School program in order to assist eligible entities, through grants and technical assistance, in implementing farm to school programs that improve access to local foods in eligible schools. , Section 243.

**OBJECTIVES:**

The Farm to School program exists in order to assist eligible entities, through grants and technical assistance, in implementing farm to school programs that improve access to local foods in eligible schools.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Dissemination of Technical Information; Project Grants; Training

**USES AND USE RESTRICTIONS:**

Assistance in improving access to local foods in eligible schools can take the form of:

- (i) Training;
- (ii) Supporting operations;
- (iii) Planning;
- (iv) Purchasing equipment;
- (v) Developing school gardens;
- (vi) Developing partnerships; and
- (vii) Implementing farm to school programs. No more than 10% of the grant funds may be used for food purchases in the grant budget.

**Applicant Eligibility:**

Assistance will be used to increase the availability of local foods in schools.

**Beneficiary Eligibility:**

Eligible entities, and therefore beneficiaries, include schools, Indian Tribal Organizations, non profit organizations, schools, producer and producer groups and State and local agencies.

**Credentials/Documentation:**

Non profit organizations will be required to submit proof of non profit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Not applicable.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the RFA package. Grants are awarded by a competitive process via a review panel composed of FNS and other Federal staff that will determine the technical merit of each grant application, provide a numerical score, and make recommendations to selecting officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. There is presently no other approval information.

**Appeals:**

From 30 to 60 days.

**Renewals:**

There is no additional renewals information at this time.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. The applicant must provide at least 25 percent of the costs of the grant project as the Federal share of costs for this grant cannot exceed 75 percent of the total cost of the project.

This program does not have MOE requirements. No additional information is available at this time.

**Length and Time Phasing of Assistance:**

Planning grants will be awarded for a one year time period, with an expected start date of October 15, 2012. Implementation grants will be awarded for up to a two year time period, with an expected start date of October 15, 2012. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Grant recipients will be responsible for managing and monitoring the progress of the grant project activities and performance. Planning grant awardees will submit a mid-term progress report and a final report. Implementation grant awardees will submit progress reports on a quarterly basis throughout the grant term and a final report. The award document will indicate the reporting format and schedule for submitting project performance/progress reports to FNS. Planning grant awardees will submit a mid-term financial report and a final financial report. Implementation grant awardees will submit financial reports on a quarterly basis throughout the grant term and a financial report. As a condition of receiving a grant, grant recipients shall agree to cooperate in an evaluation of the program carried out using grant funds. Upon selection of grant awardees, USDA will provide further guidance and direction regarding evaluation protocols and common indicators. Applicants should expect that evaluation protocols will include both process evaluations (qualitative and quantitative indicators of progress toward the objectives, accomplishment of activities) and outcome evaluations (to determine whether the objectives were met and what impact they had).

**Audits:**

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

**Records:**

The grantee must maintain records in accordance with the grant agreement. Such records must be retained for a period of three years after the date of submission of the final report for the fiscal year to which the records pertain.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

Planning grants will range from \$35,000 - \$50,000 while Implementation grants will range from \$65,000 - \$100,000. We estimate Planning grants will average \$42,000 and Implementation grants will average \$76,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah Kane 805 SW Broadway, Suite 930

The Fox Tower, 9th Floor

, Portland, Oregon 97205 Email: Deborah.Kane@fns.usda.gov Phone: 5032601717

**Website Address:**

<http://www.fns.usda.gov/cnd/f2s/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals is detailed in the RFA and includes degree to which the project serves a school or school district with a high percentage of free/reduced price meal enrollment; need, readiness and likelihood of success; alignment with farm to school program goals; project design and management; sustainability and transferability; appropriateness of budget plan.

**10.576 SENIOR FARMERS MARKET NUTRITION PROGRAM**

Senior Farmers Market, or SFMNP

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Public Law 107-171, 116 Stat. 334; Section 4402, 7 U.S.C. 3007.

**OBJECTIVES:**

(1) To provide fresh, nutritious, unprepared, locally grown fruits, vegetables, herbs and honey from farmers markets, roadside stands and community supported agriculture programs to low-income seniors, and (2) to increase the consumption of agricultural commodities by expanding, developing, or aiding in the development and expansion of domestic farmers markets, roadside stands, and community supported agriculture programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to State departments such as health, agriculture and aging, United States territories and Federally-recognized Indian tribal governments, or any other agency approved by the chief executive officer of the State. Grant funds may be used to support the costs of the foods that are provided under the SFMNP but no more than ten percent may be used for administrative cost of the program. Ninety percent of grant funds may be used to support the costs of the foods that are provided under the SFMNP and ten percent may be used for administrative cost of the program.

**Applicant Eligibility:**

All State agencies that desire to receive a SFMNP grant must submit for review and approval, for each Federal fiscal year, a State Plan to the appropriate Regional Office of the Food and Nutrition Service (FNS), USDA. New State agencies are selected based on the availability of funds after base grants for currently participating State agencies are funded. Local SFMNP sites are selected by participating State agencies based on concentration of eligible

senior participants and access to farmers' markets.

**Beneficiary Eligibility:**

Persons eligible for the program are low-income seniors, generally defined as individuals who are at least 60 years old and who have household incomes of not more than 185 percent of the federal poverty income guidelines (published each year by the Department of Health and Human Services). Some State agencies accept proof of participation or enrollment in another means-tested program, such as the Commodity Supplemental Food Program (CSFP) or Supplemental Nutrition Assistance Program (SNAP), for SFMNP eligibility.

**Credentials/Documentation:**

A signed and executed Federal/State Agreement (SF-339) is necessary before funds can be allocated to a participating SFMNP State agency. Costs will be determined in accordance with 7 CFR Part 3016, and FNS guidelines and instructions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application is made through submission of a "State Plan of Program Operation and Administration" as required by law. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Farmers or farmers' markets (depending on whether State agencies have agreements with farmers or markets) may apply to be authorized to accept SFMNP coupons under the program. The State agency reviews the applications for completeness and compliance with authorization requirements. The State agency contacts the farmer/farmers' market to inform them of qualification. Individual participants apply for SFMNP benefits at approved SFMNP sites.

**Award Procedure:**

Funds are awarded by the Department on the basis of funding formulas to State agencies. If the available funds are insufficient to meet the base grant levels for current SFMNP grantees, a pro-rata reduction will be applied to the grant levels awarded to all participating SFMNP State agencies. If additional funds become available for the SFMNP, such funds would first be distributed evenly among the current grantees to make whole their base grants for that fiscal year. Grant payments are made by a letter of credit.

**Deadlines:**

Nov 15, 2012: Set forth in the announcement. SFMNP State Plans for the current fiscal year are due to the appropriate FNS Regional office by November 15.

**Range of Approval/Disapproval Time:**

In general, FNS will announce SFMNP awards, and notify each State agency that did not receive an award, approximately 60 days after the date State Plans are due to FNS.

**Appeals:**

All decisions by the FNS are final.

**Renewals:**

This Program is authorized through September 30, 2012.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

SFMNP funds are provided using Federal Reserve Bank letters of credit. All SFMNP coupons must be issued prior to September 30 and must be redeemed by November 30 of each fiscal year. See the following for information on how assistance is awarded/released: State agencies may withdraw funds only as needed.

**Reports:**

Annual reports submitted to FNS specifying the following data: Number and type of recipients (Federal and non-federal); number of authorized farmers, farmers' markets, roadside stands and community supported agriculture (CSAs); value of coupons issued and redeemed; and financial expenditure

data. Cash reports are not applicable. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the SFMNP funds. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3507-0-1-605.

**Obligations:**

(Formula Grants) FY 11 \$22,102,289; FY 12 est \$20,600,000; and FY 13 est \$20,600,000

**Range and Average of Financial Assistance:**

FY 11 grants ranged from \$9,925 to \$1,926,930.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 870,261 participants, 19,069 farmers, 4598 farmers markets, 3445 roadside stands, 141 community supported agriculture programs. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 249, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018

**Regional or Local Office:**

None.

**Headquarters Office:**

Supplemental Food Program Division, Supplemental Food Programs Division, Food and Nutrition Service, USDA  
3101 Park Center Drive, Alexandria, Virginia 22302 Email:  
Debbie.Whitford@fns.usda.gov Phone: (703) 305-2746 Fax: (703) 305-2196.

**Website Address:**

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

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.565 Commodity Supplemental Food Program; 10.572 WIC Farmers' Market Nutrition Program (FMNP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 51 State agencies and federally recognized tribal organizations. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

None applicable.

**10.577 SNAP PARTNERSHIP GRANT**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Appropriation Act of 2010  
Food & Nutrition Act of 2008, as Amended  
The Stafford Disaster Relief and Emergency Assistance Act of 1988, Public Law 111-117, 7 U.S.C 272.1 - 272.8.

**OBJECTIVES:**

The purpose of the SNAP Partnership Grant is to establish an interstate data exchange of program information for the purpose of eliminating or at a minimum reducing duplicate participation of clients in the Supplemental Nutrition Assistance Program (SNAP) and Disaster Supplemental Assistance Program (D-SNAP).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Partnership Fund will be used to (1) develop and implement a regional clearinghouse prototype in cooperation with a consortium of States and (2) fund evaluation activities to determine the efficacy of the solution and the savings from reduced improper payments across participating programs. Funds were awarded to Mississippi, the lead State agency who will distribute the grant amongst the following States: Florida, Georgia, Louisiana, and Alabama. States receiving the Partnership Funding award must establish an inter state database of program information to support Supplemental Nutrition Assistance Program (SNAP) and Disaster SNAP (D-SNAP) eligibility determinations by allowing States to determine whether an applicant is already receiving SNAP benefits in a different participating State. 100% of these funds are set aside for discretionary activities. The total of the funding is \$2,500,000.

**Applicant Eligibility:**

Consortium of States will develop a national accuracy clearinghouse database. This database should inform the development of a more timely, large-scale data matching mechanism.

**Beneficiary Eligibility:**

State agencies administering the SNAP and D-SNAP programs.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A memorandum of agreement is necessary amongst the States who are receiving funds from the Partnership Fund award. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. .

**Award Procedure:**

The State Consortium submitted a proposal to the OMB Partnership Fund for Program Integrity Innovation for a grant to develop a National Accuracy Clearinghouse for reducing improper payments. After OMB approved the proposal for funding, FNS selected the State Consortium to receive the grant award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Chapter II, Part 272.1, Subpart (c)(1)(i). 272.8(a)(2).

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds should be expended within 26 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. FNS will require

the State consortium to submit quarterly reports on the status of project activities.

FNS will submit an interim report to OMB within 18 months of receiving the transfer of funds from the Partnership Fund. The State consortium will submit quarterly financial status reports. Ongoing review of quarterly progress and financial reports to monitor the grantees project activities to ensure that the objectives, terms and conditions of the agreement are met; Periodic technical assistance to provide oversight on project activities including review of project plans and milestones; Monthly project status meetings with State agencies and representatives for the purposes of technical assistance, training, problem solving, and sharing successful ideas.

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the use of the SNAP Partnership Fund grant in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain. In the event of an audit finding the records must be maintained until audit resolution is completed or as noted above.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 11 \$2,500,000; FY 12 est \$2,500,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The total amount of the award is \$2,500,000, which was awarded March 2012, in which \$2,000,000 will be used for development of interfaces for the six states and the database. \$500,000 will be reserved to fund an evaluation.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 272.1 (c)(1)(i) and 272.8(a)(2)

**Regional or Local Office:**

None.

**Headquarters Office:**

Jane C. Duffield 3101 Park Center Drive Room 818, Alexandria, Virginia 22302 Email: Jane.Duffield@fns.usda.gov Phone: 7036054385

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.578 WIC GRANTS TO STATES (WGS)**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Healthy, Hunger Free Kids Act of 2010, Section 17(h)(10)(A) of the Child Nutrition Act of 1966, as amended. Section 17(h)(10)(B) of the Child Nutrition

Act of 1966, as amended.

**OBJECTIVES:**

To provide grants to WIC State agencies to plan, design and implement WIC electronic benefit transfer systems so that Program benefits can be provided electronically. To provide grants to WIC State agencies to fund, implement, and evaluate innovative technology projects that improve WIC services. To provide grants to WIC State agencies to plan, design, implement, enhance or transfer management information (MIS) systems. Please note the following grant activities:

1. WIC EBT Amendments (non-competitive). Grant funds for WIC EBT amendments are provided to WIC State agencies to support on-going EBT planning or implementation projects. These projects were originally funded through a competitive process using WIC technology or American Recovery and Reinvestment Act funds. Many WIC State agencies received only partial funding in their original grant award and amendments provide the additional funds needed to ensure all activities are completed and projects are successful.
2. WIC EBT Implementation (non-competitive). Implementation grant funds are provided to WIC State agencies to enhance and modify current management information systems to support EBT, conduct cost evaluations, and develop retailer management plans.
3. WIC SAM Amendments (non-competitive). Grant funds for WIC SAM amendments are provided to support WIC State agencies that are either part of the original SAM consortia, or those that need additional funding to complete implementation of a SAM transfer system. These funds are used by WIC State agencies for implementation completion as well as system enhancements through the SAM user group process.
4. WIC EBT Planning Grants (non-competitive). EBT Planning grants funds are provided to WIC State agencies to assess the feasibility of EBT for their State, as well as to perform a cost analysis to verify EBT affordability. The planning process is a WIC requirement prior to EBT implementation and looks at WIC Information System capabilities, retailer capabilities, and baseline paper cost compared to EBT operational cost within the State to better prepare for the challenges of EBT implementation. WIC State agencies must analyze both on-line and off-line EBT technologies to assess the most cost-effective solution.
5. WIC Technical Innovation Grants (competitive). WIC Technical Innovation grant funds are provided to WIC State agencies for the development of standardized reporting, retailer certification test scripts, and development of a web-based Internet system that will allow WIC participants to access grocer's websites, select WIC approved foods and purchase them with their EBT card from the convenience of their homes.
6. WIC SAM Transfers Grants (non-competitive). SAM Transfer grant funds are provided to WIC State agencies that have completed their planning activities, and have an approved Alternatives Analysis document that justifies a SAM as their choice of system transfer. Funds are used for implementation activities.
7. WIC MIS Amendments (non-competitive). Grant funds for WIC MIS amendments are provided to support WIC State agencies that have already received grant funding for their MIS projects. This includes planning for and transferring of an existing system, or developing a new system.
8. WIC MIS Implementation (non-competitive). WIC MIS Implementation grant funds are provided to WIC State agencies that are implementing a new MIS, or are upgrading/enhancing their current MIS. Activities included are design and development, testing, training and data conversion.
9. WIC MIS Planning (non-competitive). WIC MIS Planning grant funds are provided to WIC State agencies to assess their current system, complete a feasibility study and cost analysis as well as prepare a Request for Proposal for an implementation contractor.

In addition, WIC awards State agencies the following grants:

1. WIC Breastfeeding Peer Counseling Funds (discretionary). WIC Breastfeeding Peer Counseling Funds are intended to enable State agencies to implement or maintain effective breastfeeding peer counselor programs. Combining peer counseling with the on-going breastfeeding promotion efforts in WIC agencies has the potential to significantly impact breastfeeding rates among WIC participants. The Food and Nutrition Services long-range vision is to institutionalize peer counseling as a core service in WIC.

2. WIC Special Projects Grants (discretionary). WIC Special Projects Grants are awarded to state agencies for special State projects of regional or national significance to improve the services of the program. Current projects focused on FNS Revitalizing Quality Nutrition Services (RQNS) in WIC initiatives. The goal is to improve and strengthen the effectiveness of WIC nutrition services. Full grants are awarded to States to evaluate ongoing initiatives aimed at improving these services. Full Project grants and WIC Concept Papers grants are awarded to States under the WIC Special Project Funds.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Technology grant funds are used to plan, develop and implement projects for WIC EBT. Grant funds are used to enhance and improve WIC service provision through the use of technology which will have a positive impact on the nutrition and health of WIC participants.

WIC Breastfeeding Peer Counseling grants are used to administer peer counseling programs based on research-based components of a successful peer counseling program as identified by FNS in the Loving Support model. This includes salary, office space and supervision of peer counselors. The use of funds for activities outside of the State agency's approved implementation plans or that are not supported by the Loving Support model are not authorized.

WIC Special Project Grants are used to plan, develop and implement approved special State projects of regional or national significance to improve the services of the program. The use of special project grant funds is limited to the State agency's FNS approved budget for the project.

**Applicant Eligibility:**

State agencies that administer the WIC Program are eligible to apply for WIC Grant to States funds. States may apply individually or as a coalition of States for WIC technology funds. States may apply individually for WIC Breastfeeding Peer Counseling and Special Project funds.

**Beneficiary Eligibility:**

WIC participants will be the ultimate beneficiary in that improved technology will allow for more efficient and effective clinic operations. Additionally, the WIC Program is moving towards the issuance of benefits through electronic benefit transfer. This will enhance their shopping experience and allow for greater flexibility in benefit delivery.

Pregnant and breastfeeding women participating in the WIC Program are encouraged to initiate and sustain breastfeeding by peer counselors funded by Breastfeeding Peer Counseling grants.

Program improvements resulting from Special Project Grants benefit all WIC participants.

**Credentials/Documentation:**

Only WIC State agencies that administer the WIC Program are eligible. Applicants must submit proper documentation through the FNS funding process to ensure adequate resources are available for project success. Applicants are required to submit a description of the technology/ special State project, staffing and budget documents, feasibility studies, cost allocation plans, and any other required documents. A properly executed Federal/State agreement between FNS and the State agency is necessary before funds can be allocated. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

WIC State agencies are no longer required to submit applications using the grant solicitation process. Applicants must submit requests using the FNS WIC

MIS and/or EBT funding process, which relies on an approved APD as a pre-requisite step. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit proper documentation to FNS for approval before the project begins.

**Award Procedure:**

FNS will review all documentation within 90 days of receipt to determine if the project meets all requirements. Continued funding will be provided if the WIC State agency meets all requirements and if funding is available.

WIC Breastfeeding Peer Counseling grants are provided to State agencies administering the WIC Program based on an FNS approved plan and the number of pregnant and breastfeeding women participating in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 3 to 6 months for technology grants.

Approval determination for Breastfeeding Peer Counseling grant is made within 30 days of submission of a completed plan or amendment. Approval determination for the Special Project grants is made approximately 90 days from date of submission.

**Appeals:**

Not applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For technology grants funds are available from 2-5 years, depending on project timeline. Obligations must occur within the specified award period.

The WIC Breastfeeding Peer Counseling and Special Project grants are released for the fiscal year using an electronic benefit transfer system. State agencies may withdraw funds only as needed. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress reports and financial status reports must be submitted as outlined in the cooperative agreement. Cash reports are not applicable. Quarterly progress reports are required. WIC State agencies must submit quarterly financial reports in the FNS Food Programs and Reporting System. No performance monitoring is required.

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the use of all grants to States funds in accordance with the Cooperative Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three year period as long as required for the resolution of the issues raised by

the audit.

**Account Identification:**

12-3510-0-1-605.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$59,761,000; FY 12 est \$4,967,000; and FY 13 est \$30,000,000 - The following technology grants were awards for FY 2011:

1. WIC EBT Amendments (non-competitive) 4 awards totaling \$2,396,000. (FY-11)
2. WIC EBT Implementation (non-competitive) 4 awards totaling \$8,247,000. (FY-11)
3. WIC SAM/MIS Amendments (non-competitive) 5 awards totaling \$19,986,000. (FY-11)
4. WIC Technical Innovation Grants (competitive) 1 award totaling \$1,773,000. (FY-11)
5. WIC EBT Planning Grants (non-competitive) 8 awards totaling \$2,528,000. (FY-11)

In addition to technology grants, the following discretionary grants were awarded:

1. WIC Concept Papers (discretionary), FY 11, 3 grants, \$73,500.
2. WIC Special Projects (discretionary), FY 11, 1 grant, \$286,190.
3. WIC Peer Counseling (discretionary), FY 11, 86 grants, \$79,972,000; FY 12 est \$60,000,000; FY 13 est \$60,000,000.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY-11 technology funding has allowed FNS to award 16 WIC State agencies with funds to plan, design, and implement WIC EBT. Five WIC State agencies were awarded technology funds to plan, design, implement, enhance or transfer MIS systems. These projects take approximately two or three years to successfully complete.

The resource of Breastfeeding Peer Counseling funds increased the national average number of breastfed infants from 26.7% in FY 2010 to 28.3% in FY 2011. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Patricia J. Davis 3101 Park Center Drive, Alexandria, Virginia 22067 Email: patty.davis@fns.usda.gov Phone: 7033052728

**Website Address:**

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

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.556 Special Milk Program for Children; 10.565 Commodity Supplemental Food Program; 10.572 WIC Farmers' Market Nutrition Program (FMNP); 93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Sixteen WIC State agencies were awarded technology funds to plan, design, and implement WIC EBT. Five WIC State agencies were awarded technology funds to plan, design, implement, enhance or transfer MIS systems. Eighty-six State agencies/ITOs were awarded Breastfeeding Peer Counseling funds to design, build and sustain peer counseling programs. One State agency was awarded Special Project funds to focus on the referral service needs of WIC families in locations that do not have comprehensive social service programs. Three States were awarded funds for the development of each States Concept Paper. Two States focused on the increase and retention of WIC participation and one State focused on health needs of prenatal women enrolled in the WIC program. Fiscal Year 2012: Breastfeeding Peer Counseling



- \$60,000,000; Technology and Special Project Grants - No funding was appropriated by Congress in Fiscal Year 2012. Fiscal Year 2013: MIS - Estimated 30,000,000; Breastfeeding Peer counseling - \$60,000,000.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable; State agencies will use the APD process for project approval and request funding using MIS and EBT funding request protocol.

**10.579 CHILD NUTRITION DISCRETIONARY GRANTS LIMITED AVAILABILITY**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751, 1758, 1759a, 1761, 1765, 1766, 1769, 1772, 1773, 1779; School Breakfast Program (SBP); Child Nutrition Act of 1966, as amended, Public Laws 108-265, 104-193, 100-435, 99-661, 97-35; Special Milk Program (SMP); Child Nutrition Act of 1966, as amended; Child and Adult Care Food Program (CACFP); 89 Stat. 522-525, Summer Food Service Program (SFSP); Public Law 111-5. The 2010 Agriculture Appropriations Act (Public Law 111-80).

**OBJECTIVES:**

NSLP: To assist States, through cash grants and food donations, in making the school lunch program available to school children and to encourage the domestic consumption of nutritious agricultural commodities. SBP: To assist States in providing a nutritious nonprofit breakfast service for school children, through cash grants and food donations. SMP: To provide subsidies to schools and institutions to encourage the consumption of fluid milk by children. CACFP: To assist States, through grants-in-aid and other means, to initiate and maintain nonprofit food service programs for children, elderly or impaired adults in nonresidential day care facilities and children in emergency shelters. SFSP: To assist States, through grants-in-aid and other means, to conduct nonprofit food service programs for low-income children during the summer months and at other approved times, when schools are out of session or are closed for vacation. The Peoples' Garden School Pilot Program is designed to award grants to develop and run community gardens at eligible high-poverty schools; teach students involved in the gardens about agriculture production practices, diet, and nutrition; contribute produce to supplement food provided at eligible schools, student households, local food banks, or senior center nutrition programs; and conduct an evaluation of funded projects to learn more about the impacts of school gardens. Administrative Review and Training (ART) Grants are available to State agencies to assist Local Educational Agencies' administrative personnel on application, certification, verification, meal counting and meal claiming procedures. Direct Certification and Verification grants are available for assisting State agencies in improving their direct certification and direct verification processes and rates. Direct Certification Technical Assistance grants are available to assist States agencies in improving their direct certification processes and rates.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance can be used for specific activities authorized by Child Nutrition legislation or regulation. In the past this has included grants to local educational agencies to improve application certification and verification, and meal counting & meal claiming procedures; grants to State agencies to improve their direct certification processes and rates; and grants to develop and run community gardens at eligible high-poverty schools. Yes, as required by legislation or regulation. Less than 1% of Child Nutrition funds are set aside for discretionary grants. In FY 2010 and FY 2011, approximately \$25 million was available for discretionary grants in each year.

**Applicant Eligibility:**

Determined by the legislation providing the grants.

**Beneficiary Eligibility:**

Determined by the legislation providing the grants.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies

to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application package must be submitted electronically via www.grants.gov.

**Award Procedure:**

Upon receipt of an application from an interested party a review is performed by the agency for eligibility and sufficiency of the Request for Applications (RFA) requirements. Subsequently, all acceptable applications are objectively reviewed by a technical panel according to established criteria set forth in the RFA. The panel makes award recommendations based on the scoring results. The Agency selecting official then makes the final award decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Selection of applicants for a grant award can take from 3-5 months depending on the number of applications that are received.

**Appeals:**

The RFA will provide information regarding appeals.

**Renewals:**

The RFA will provide information regarding renewals.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance of the grants vary based on project plan. Grant period of performance is generally from 1 year to 4 years. Extensions to the period of performance must be approved by the Agency. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are required to submit both quarterly and a final financial and program progress reports. Grantees are required to submit both quarterly and a final financial and program progress reports. Grantees are required to submit both quarterly and a final financial and program progress reports. Grantees are required to submit both quarterly and a final financial and program progress reports. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the use of Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3 year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$29,821,000; FY 12 est \$15,427,000; and FY 13 est \$46,000,000 - FY 2011:

Administrative Review & Training- \$7,604,000  
Equipment Grants - \$10,575,000  
Improve Health & Nutrition- \$7,719,000,  
People's Garden Pilot- \$1,000,000  
Direct Certification- \$2,923,000

FY 2012:

Administrative Review & Training- \$6,000,000  
Equipment Grants - \$50,000  
Improve Health & Nutrition- \$281,000  
People's Garden Pilot- \$0  
Direct Certification- \$9,096,000

FY 2013:

Administrative Review & Training- \$6,000,000  
Equipment Grants - \$35,000,000  
Improve Health & Nutrition- \$0  
People's Garden Pilot- \$0  
Direct Certification- \$5,000,000.

**Range and Average of Financial Assistance:**

Grant awards range from \$50,000 to \$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In March of 2011 three Administrative Review and Training Method I grants were awarded to Michigan, Oregon, and Pennsylvania.

In August of 2011 six Administrative Review and Training Method II grants were awarded to Hawaii, Indiana, Missouri, New Hampshire, South Dakota and Washington.

Since January 2011, 26 Direct Certification Technical Assistance grants have been awarded. Fiscal Year 2012: In March of 2012 three Administrative Review and Training Method I grants were awarded to Michigan, Pennsylvania and Rhode Island. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3016, 7 CFR Part 3018. Determined by the legislation providing the grants.

**Regional or Local Office:**

See Regional Agency Offices. See the Food and Nutrition Service Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Cynthia Long, Food and Nutrition Service, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302 Email: Cindy.Long@fns.usda.gov Phone: (703) 305-2590.

**Website Address:**

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

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Indiana Department of Education (IDOE) applied for an ART Method II implementation grant to create a comprehensive Coordinated Review Effort (CRE) Review Module for integration with its CNPweb system. The developed software will automate the CRE process on PC Tablet/Laptop based systems. The results of the review will be synchronized with their CNP web portal, allowing school food authorities (SFAs) to view and respond to findings online. Reviews will be scheduled through the system also, using the date of last review as well as an analytical profile subsystem that will identify SFAs with data reporting, claiming and compliance problems. Grant funds will be used to improve program reporting, automate the workflow tasks for the corrective action process, and provide a seamless integrated environment between on-site review processes and backend program operations. SFAs and internal staff will be trained to effectively utilize the new system. Data collected will be used to enhance future SFA reviews, and training at all levels.

The Missouri Department of Elementary and Secondary Education office applied for an ART Method II implementation grant to implement a data driven

integrated technology system that will allow the state to identify local education agencies (LEAs) and schools that are at-risk or error-prone for child nutrition program administrative errors. The State proposes to establish an online system that will capture and organize data and provide comprehensive analysis, benchmarking, and reporting tools. The system will allow the state to develop key performance indicators for buildings and LEAs, compare peer schools, and monitor program performance in real time. Missouri will also implement an e-learning system to enhance its ability to provide needed program training.

The Connecticut State Department of Education applied for an implementation grant to help them meet or exceed USDA benchmarks for direct certification rates through system enhancements to create and implement a fully automated, state-level direct certification and matching system that is highly responsive to state and local educational agency (LEA) needs. The intent is to optimize the quality of student data and accuracy of matching by: 1) creating a state-level online portal solution for non-public school student administration, public school case management matching reconciliation and the dissemination of direct certification information which provides LEAs with access to student data and direct certification matches; 2) incorporating unique identifiers for public and non-public school students to meet matching system data mapping; 3) standardizing and expanding system match capabilities between LEAs and multiple state agencies; 4) providing LEAs with monthly direct certification updates based on SNAP and Temporary Family Assistance (TFA) eligibility to permit sponsors to continually certify students directly; and 5) provide training and technical assistance to LEAs, with an emphasis on system integration and use by private schools. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are initially reviewed for eligibility and sufficiency, as defined in the RFA. Those applications that meet the criteria are reviewed by a technical panel based on specific criteria outlined in the RFA. The panel makes recommendations to the selecting official based on scoring results. The selecting official makes the final award decisions.

**10.580 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM, OUTREACH/PARTICIPATION PROGRAM**

Participation Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Section, 17a(1), Food and Nutrition Act of 2008, 7 U.S.C. 2026(a)(a); Section 17(b)(1), 7 U.S.C. 2026(b)(1); Farm Security and Rural Investment Act of 2002, Public Law 107-171; Public Law 110-246.

**OBJECTIVES:**

Program Participation Grants: The purpose of the Program Participation grants is to support efforts by State agencies and their community-based and faith-based partners to develop and implement: 1) Simplified SNAP application and eligibility systems; or 2) Measures to improve access to SNAP benefits by eligible applicants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program Participation Grants: Funds for program participation projects are to be used to improve the quality and efficiency of operations within SNAP offices and no more than 25 percent of the grant funds may be used for outreach activities. Applications must comply with criteria listed in the Request for Application package. Applications must comply with criteria listed in the Request for Application package.

**Applicant Eligibility:**

Program Participation Grants: State agencies that administer the SNAP, State or local governments; agencies that provide health or welfare services; public health or educational entities and private nonprofit entities such as community-based or faith-based organizations, food banks, or other emergency feeding organizations.

**Beneficiary Eligibility:**

Recipients of grants will reach out to and/or serve persons potentially eligible for SNAP benefits (low-income individuals or households).

**Credentials/Documentation:**

Proof of nonprofit status is required of nonprofit organizations and institutions. Nonprofits must also submit an IRS Determination Letter, Form 501C (3). Specific instructions provided in Request for Application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Instructions provided in Request for Application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package should be prepared in accordance with instructions in a specific Request for Application (RFA) and sent to the grant officer identified in the RFA.

**Award Procedure:**

A Grant Review Technical Panel objectively reviews all complete and timely applications according to established review criteria provided in the Request for Applications and makes recommendations to Agency officials, who make final award decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Provided in Request for Application.

**Appeals:**

Instructions provided in Request for Application.

**Renewals:**

Instructions provided in Request for Application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Provided in Request for Application. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

State agencies must maintain records as necessary to support the use of SNAP Grant funds in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Salaries) FY 11 \$5,000,000; FY 12 est \$5,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

See [www.fns.usda.gov/snap](http://www.fns.usda.gov/snap).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 8 grants awarded. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Participation Grants: 7 CFR Part 3015, 7 CFR Part 3016, 7CFR Part 3017, 7 CFR Part 3021, 7 CFR Part 3019.

**Regional or Local Office:**

None.

**Headquarters Office:**

Moira Johnston 3101 Park Center Drive, Alexandria, Virginia 22302 Email: [moira.johnston@fns.usda.gov](mailto:moira.johnston@fns.usda.gov) Phone: 703-305-2515 Fax: 703-305-2486

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) San Diego County Health and Human Services Agency received \$898,913 to update the existing imaging application, to automate workflow management and create a new web portal that allows clients to track case status and view benefit amounts online. (2) Broome County Department of Social Services (New York) received \$74,596 for start up costs to purchase equipment to establish a call center, caseload management software, and to conduct a business process re-engineering (BPR) analysis. The BPR analysis will examine the current SNAP office processes. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The review panel to score and rank applications uses Technical Review Criteria which includes: (1) Soundness or Merit of Project Design; (2) Budget Appropriateness and Economic Efficiency; (3) Organizational Experience and Management/Staff Capability; (4) Project Oversight and Evaluation; and (5) Presentation.

**10.582 FRESH FRUIT AND VEGETABLE PROGRAM**

(FFVP)

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

National School Lunch Act, as amended, 42 U.S.C. 1769.

**OBJECTIVES:**

To assist States, through cash grants, in providing free fresh fruits and vegetables to elementary school children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Under Section 19 of the National School Lunch Act, Federally appropriated Fresh Fruit and Vegetable Program funds are available to State agencies to operate during the school year. Selected low-income public and nonprofit private elementary schools are reimbursed for produce served to school children outside of the National School Lunch Program and School Breakfast Program food service periods. All participating schools must agree to serve fresh fruits and vegetables free to all enrolled children, and to publicize fresh fruit and vegetable availability within the school. State agencies must select low-income public and nonprofit private elementary schools to participate. State agencies may select low-income public and nonprofit private elementary schools to participate.

**Applicant Eligibility:**

State agencies must select low-income public and nonprofit private elementary schools to participate.

**Beneficiary Eligibility:**

All elementary school children enrolled in schools participating in the Fresh Fruit and Vegetable Program.

**Credentials/Documentation:**

Applicant organizations must be currently participating in the National School Lunch Program. Must be an elementary school as defined by section 9101 of the Elementary and Secondary Education Act of 1965 (20 USC 7801). Costs will be determined in accordance with USDA Uniform Federal Assistance Regulations (7 CFR Part 3015 or 3016 and 3019). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The school-level application prototype form was furnished by FNS and/or modified by the State agency. An applicant should consult the State office or official designated as the single point of contact in his or her State for the National School Lunch Program for more information on the process the State requires to be followed for the FFVP. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Public or private nonprofit elementary schools make application to the State Agency.

**Award Procedure:**

The elementary schools with the highest percentages of free and reduced price enrollment will be selected. The State agency then enters into an agreement with the selected schools for their participation in the program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Agreements become effective upon approval by the State Agency.

**Appeals:**

None. The State agency is responsible for selecting schools based on high free and reduced price enrollment percentages.

**Renewals:**

Annual; amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Permanent, amended as necessary, described by law. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

State agencies must ensure that each school food authority with participating schools maintains and submits reimbursement claim forms to the State agency in order to receive reimbursement. State agencies must submit expenditure data quarterly via the SF-425. States must submit final fiscal year grant close out reports within 120 days after the end of the grant period. No cash reports are required. A yearly progress report is required. Program is reviewed and reported on during the regular oversight activities in the National School Lunch Program. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Schools must maintain full and accurate records of the FFVP. Such records shall be retained for a period of 3 years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of audit findings.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Project Grants) FY 11 \$115,481,000; FY 12 est \$163,029,000; and FY 13 est \$172,000,000 - Funding is allocated based on a funding formula. For SY 2011-2012, and each July 1st, thereafter, the amount made available will be \$150 million as adjusted to reflect the changes in the Consumer Price Index. The minimum grant to each of the 50 states and the District of Columbia will equal 1 percent of the funds made available to carry out the Program for the school year. The remaining funds will be allocated to each of the 50 States, the District of Columbia, Guam, Puerto Rico and the Virgin Islands based on the proportion of the state population to the U.S. population.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No measurable accomplishments at this time. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Long, 3101 Park Center Drive Room 640 , Alexandria, Virginia 22302  
Phone: (703) 305-2590.

**Website Address:**

<http://www.fns.usda.gov/cnd>

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Providing free fresh fruits and vegetables to schools with high free and reduced priced population. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.583 HUNGER FREE COMMUNITIES**

Hunger-Free Communities Grants

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

These grants will be awarded under authority provided by the Food, Conservation, and Energy Act of 2008, Section 4405, 7 U.S.C. 8701. This section allows the Secretary of Agriculture to award grants to meet the hunger free communities goals described in the H. Con. Res. 302 (102nd Congress), Public Law 102-PIL 110-246, 8701 U.S.C 4405.

**OBJECTIVES:**

As defined in the H.Con.Res. 302(102nd Congress), the 14 goals of the Hunger-Free Communities initiative are:

1. Having a community-based emergency food delivery network that coordinates the services of programs such as food pantries, food banks, and congregate meals facilities.
2. Assessing food insecurity problems and evaluating existing services in the community to determine necessary strategies for responding to unmet needs.
3. Establishing a group of individuals, including low-income participants, to develop and to implement policies and programs to combat food insecurity, to monitor responsiveness of existing services, and to address underlying causes and factors related to hunger.
4. Participating in federally assisted nutrition programs that should be easily accessible to targeted populations, such as the Federal programs that provide school breakfast, school lunch, summer food, child care food, and food for homeless and older individuals.
5. Effectively integrating public and private resources, including local

businesses, to alleviate food insecurity.

6. Having an education program about food needs of the community and the need for increased local citizen participation in activities to alleviate food insecurity.
7. Having available information and referral services for accessing both public and private programs and services.
8. Having initiatives for alleviating food shopping constraints through the development of creative food resources such as community gardens, buying clubs, food cooperatives, community-owned and operated grocery stores, and farmers' markets.
9. Carrying out activities to identify and target food services to high-risk populations.
10. Having adequate transport and distribution of food from all resources.
11. Coordinating food services with park and recreation programs and other community-based outlets to which residents of the area would have easy access.
12. Improving public transportation, human service agencies, and food resources.
13. Having nutrition education programs for low-income citizens to enhance good food-purchasing and food-preparation skills and to heighten awareness of the connection between diet and health.
14. Having a program for collecting and distributing nutritious food, either agricultural commodities in farmers' fields or foods that have already been prepared, that would otherwise be wasted.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Grant funds may be used for any initiative that addresses the immediate food and nutrition needs of people experiencing hunger, improves access to food as part of a comprehensive service, develops new resources and strategies to help reduce hunger in the community, prevents hunger, assesses the extend and causes of hunger in the community, and/or develops a comprehensive plan to end hunger in the community. Grants may not be used for:  
constructing, expanding or repairing a facility or equipment; and  
purchasing equipment other than computer hardware and software,  
warehouses, storage space

"Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-profit organization for financial statement purposes, or \$5,000. (2 CFR Part 230, Appendix B, Selected Items of Cost) Each unit purchase at \$4999.99 and below is considered materials. Materials that are necessary and related to the project are an allowable cost if approved by the agency. \$5 million.

**Applicant Eligibility:**

Grant applications must include at least one of the 14 goals of the Hunger-Free Communities Initiative as defined in the H.Con.Res. 302 (102nd Congress). The grant will be used by the grant recipient to provide the targeted community with assistance for a hunger-free community. The Federal share of the cost of the activities funded by these grants shall not exceed 80 percent. The grantee is responsible for the remaining 20 percent. Grantees will be allowed to use the grant funds for the duration of the project period, not to exceed two years. These are collaborative grants, and applicants are required to partner with one or more organizations in their communities. Applicants are also required to partner with Food Policy Councils or their functional equivalent at the local level or include the creation of a Food Policy Council as part of their application should one not serve their community.

**Beneficiary Eligibility:**

Any individual or family who is a part of the targeted community and meets the guidelines as set by the grant recipient is eligible.

**Credentials/Documentation:**

Financial data, DUNS number. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

The Grant solicitation will provide information on evaluation criteria. A panel will convene to assign points and finalize selection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. The deadline for submission will be stipulated in the request for applications.

**Appeals:**

A post award discussion may take place on request.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 20%. 20% matching is required. The matching criteria is available in the RFA.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two years from identified start date. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Yes, program reports are required on a quarterly basis as well as one final report 90 days after end of project. Reports required quarterly and at year's end. Yes, progress reports are required on a quarterly basis as well as one final report 90 days after end of project. Reports are required quarterly and at year's end. Program reports will provide information on performance and progress to meet grant objectives.

**Audits:**

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

**Records:**

No Data Available.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 11 \$4,978,000; FY 12 est \$0; and FY 13 est \$2,500,000 - FY11 appropriation did not fund as requested.

**Range and Average of Financial Assistance:**

There is \$1 million set aside for grants in Model 1: Planning and Assessment Grants. These grants will be awarded up to \$100,000 per grantee. If all of the \$1 million is not used, the unused funds from Model 1 will be moved to funding for Model 2. Applicants in Model 1 will assess the hunger and food insecurity in their community and create a plan to become hunger-free.

The remaining \$4 million is set aside for grants in Model 2: Implementation Grants. Organizations applying for Model 2 grants must have already conducted an assessment and developed a plan to end hunger in their community as a condition of application. A total award pool of approximately \$4 million will be awarded with maximum awards varying by the population of the community: up to \$2 million for cities with a population greater than two million, up to \$1 million for metropolitan areas with a population greater than 50,000 but less than two million, and up to \$1 million for areas with less than 50,000 residents.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

legislative language

**Regional or Local Office:**

None.

**Headquarters Office:**

Pam Phillips, Office of Strategic Initiatives, Partnerships and Outreach, Food and Nutrition Service, 3101 Park Center Drive, Alexandria, Virginia 22302  
Email: Pam.Phillips@fns.usda.gov Phone: (703) 305-2298.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: NA. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that meet the screening requirements will be referred to an appropriate technical review panel. Each panel member will rank the applications assigned to them by score from highest to lowest. Applications are scored based on the defined community's need for the project, a comprehensive project design, organizational capacity for successfully completing the project combined with strong community partnerships, and budget criteria.

The selection official will consider each panel's recommendations; however he or she may consider other USDA or FNS priorities such as geographic, demographic or socioeconomic diversity, and agency priorities in addition to the scores assigned by the technical review panels. The selection official may also determine that, based on their scores, few of the applications are of technical merit. In such a case, FNS may make fewer awards or smaller awards than expected or make no awards. In addition, FNS reserves the option to select one or more lower rated applications in order to achieve a diversity of projects and regional representation.

**10.584 SNAP RESEARCH GRANTS**

Geographic Information Systems (GIS) Projects

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Food and Nutrition Act of 2008 (Section 17(a)(1), Section 17(a)(1)).

**OBJECTIVES:**

The purpose of this Request for Applications (RFA) is to fund State agencies\* to initiate new GIS projects aimed at improving program participation among underserved populations.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Proposals must clearly describe the technology infrastructure in place and the proposed geo-mapping tools that will be used to meet proposal objectives (preferably by name such as ArcGIS Desktop, Google Earth Pro, MapPoint, Food Environment Atlas and/or other tools and software available including free and open source (FOSS) tools). The detailed description should include whether infrastructure and tools used for proposed activities are in-house, contractor maintained, out-sourced, client-server based, and/or web-based. Please be as detailed and descriptive as possible. Funds under this RFA may not be used for the following:

Procurement of new or additional infrastructure (hardware and software). Please note: the purchase of new base layer data to meet project objectives is allowable.

Any travel costs, including but not limited to: hotels, air fares, and per diem that may be associated with proposal activities.

Support for GIS analyses not pertaining to SNAP. Cost-allocation across

programs, however, is permitted. \$200,000 has been set aside to fund at least two project grants to State Agencies.

**Applicant Eligibility:**

Only State agencies are eligible to apply for these funds. Other local agencies, Tribal Governments, Indian tribal organizations, non-profit entities, community and faith-based organizations, and academic institutions may formally partner with State agencies to submit a proposal. However, all proposals for this RFA must be submitted by the State agency and grant monies will be awarded to the selected State agencies.

**Beneficiary Eligibility:**

Only State agencies are eligible to apply for these funds. Other local agencies, Tribal Governments, Indian tribal organizations, non-profit entities, community and faith-based organizations, and academic institutions may formally partner with State agencies to submit a proposal. However, all proposals for this RFA must be submitted by the State agency and grant monies will be awarded to the selected State agencies.

**Credentials/Documentation:**

Must be a State Agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will submit grant proposals that adhere to the RFA through grants.gov.

**Award Procedure:**

FNS will convene a panel of technical staff and SNAP staff from FNS to review and determine the technical merits of each grant application. The panel will read each grant application according to how well the proposals meet the program requirements in this RFA. The panel will assign each application a score using the evaluation criteria and weights specified below.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 30 to 60 days. Described in the RFA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. None. This program does not have MOE requirements. None.

**Length and Time Phasing of Assistance:**

One year from award date. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly Reports. Quarterly financial reports submitted into the Food Program Reporting System (FPRS) as prescribed in the terms and conditions. Quarterly Reports submitted to Program Officer as prescribed in the terms and conditions. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

See the RFA.

**Account Identification:**

12-3505-0-1-605.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$200,000; and FY 13 est \$200,000 - Two or more grants may be awarded.

**Range and Average of Financial Assistance:**

\$50,000 - \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

**XII. ADMINISTRATIVE REGULATIONS**

Debarment and Suspension 2 CFR Part 180 and 2 CFR Part 417

A recipient chosen for an award shall comply with the non-procurement debarment and suspension common rule implementing Executive Orders (E.O.) 12549 and 12669, Debarment and Suspension, codified at 2 CFR Part 180 and 2 CFR Part 417. This common rule restricts sub-awards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs or activities. The approved grant recipient will be required to ensure that all sub-contractors and sub-grantees are neither excluded nor disqualified under the suspension and debarment rules prior to approving a sub-grant award by checking the Excluded Parties List System (EPLS) found at [www.epls.gov](http://www.epls.gov).

Universal Identifier and Central Contractor Registration 2 CFR Part 25

Effective October 1, 2010, all grant applicants must obtain a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as a universal identifier for Federal financial assistance. Active grant recipients and their direct sub-recipients of a sub-grant award also must obtain a DUNS number. To request a DUNS number visit: <http://fedgov.dnb.com/webform>.

The grant recipient must also register its DUNS number into the Central Contractor Registration (CCR) system, which is the repository for standard information about applicants and recipients. Current registration must be maintained in the CCR throughout the performance period of the grant award. CCR registration can be accessed at <https://www.uscontractorregistration.com/>

FNS may not make an award to an applicant until the applicant has complied with the requirements described in 2 CFR 25to provide a valid DUNS number and maintain an active CCR registration with current information.

Reporting Sub-award and Executive Compensation Information 2 CFR Part 170

The Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Public Law 109282), as amended by Section 6202 of Public Law 110252 requires primary grantees of Federal grants and cooperative agreements to report information on sub-grantee obligations and executive compensation. FFATA promotes open government by enhancing the Federal Government's accountability for its stewardship of public resources. This is accomplished by making Government information, particularly information on Federal spending, accessible to the general public.

Primary grantees, including State agencies, are required to report actions taken on or after October 1, 2010, that obligates \$25,000 or more in Federal grant funds to first-tier sub-grantees. This information must be reported in the Government-wide FFATA Sub-Award Reporting System (FSRS). In order to access FSRS a current CCR registration is required. A primary grantee and first-tier sub-grantees must also report total compensation for each of its five most-highly compensated executives. Every primary and first-tier grantee must obtain a DUNS number prior to being eligible to receive a grant or sub-grant award. Additional information will be provided to grant recipients upon award.

Duncan Hunter National Defense Authorization Act of Fiscal Year 2009, Public Law 110-417

Section 872 of this Act requires the development and maintenance of a Federal Government information system that contains specific information on the integrity and performance of covered Federal agency contractors and grantees. The Federal Awardee Performance and Integrity Information System (FAPIIS)

was developed to address these requirements. FAPIIS contains integrity and performance information from the Contractor Performance Assessment Reporting System, information from the CCR database, and suspension and debarment information from the EPLS. FNS will review and consider any information about the applicant reflected in FAPIIS when making a judgment about whether an applicant is qualified to receive an award.

**XIII. CODE OF FEDERAL REGULATIONS AND OTHER GOVERNMENT REQUIREMENTS**

This grant will be awarded and administered in accordance with the following regulations and the corresponding OMB Circulars that establish the principles for cost determination found at 2 Code of Federal Regulations (CFR), Subtitle A, Chapter II: Part 220, Education Institutions (OMB Circular A-21); Part 225, State, Local and Indian Tribal Governments (OMB Circular A-87); and Part 230, Non-Profit Organizations (OMB Circular A-122). Any Federal laws, regulations, or USDA directives released after this RFA is posted will be implemented as instructed.

**Government-wide Regulations**

2 CFR Part 25: Universal Identifier and Central Locator Contractor Registration

2 CFR Part 170: Reporting Sub-award and Executive Compensation Information

2 CFR Part 175: Award Term for Trafficking in Persons

2 CFR Part 180: OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-Procurement)

2 CFR Part 417: Office of the Chief Financial Officer: Department of Agriculture Implementation of OMB Guidance on Non-Procurement Debarment and Suspension

41 U.S.C. Section 22 Interest of Member of Congress

**USDA Regulations**

7 CFR Part 15: Nondiscrimination

7 CFR Part 3015: Uniform Federal Assistance Regulations

7 CFR Part 3016: Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

7 CFR Part 3018: New Restrictions on Lobbying

7 CFR Part 3019: Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations

7 CFR Part 3021: Government-wide Requirements for Drug-Free Workplace (Financial Assistance)

7 CFR Part 3052: Audits of State, Local Governments, and Non-Profit Organizations  
&#8195;

**Regional or Local Office:**

None.

**Headquarters Office:**

Leslie Byrd 3101 Park Center Drive

Suite 732, Alexandria, Virginia 22302 Email: [Leslie.byrd@fns.usda.gov](mailto:Leslie.byrd@fns.usda.gov) Phone: 703.305.2867

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Panel Review.

**10.585 FNS FOOD SAFETY GRANTS**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

National Agriculture Research, Extension, and Teaching Policy Act of 1977, Section 1472(b), 7 U.S.C 3318(b); Richard B. Russell National School Lunch Act, Section 6(a)(3), 42 U.S.C 1755(a)(3); Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2010, 2010, Public Law 110-80; Richard B. Russell National School Lunch Act, Section 6(a)(3), 42 U.S.C 1755(a)(3); National Agriculture Research, Extension, and Teaching Policy Act of 1977, Section 1472(b), 7 U.S.C 3318(b), Public Law 110-80.

**OBJECTIVES:**

The Food and Nutrition Services Office of Food Safety provides funding to support its mission of increasing awareness, visibility, and impact of food safety on USDA nutrition assistance programs. There are six active grants funded:

1. The U.S. Department of Agriculture, Food and Nutrition Service (FNS) established a Center of Excellence for School Food Safety Research to provide science-based support to improve the safety of foods provided through the FNS nutrition assistance programs, particularly those served in schools and child care settings. The Center provides an interdisciplinary and timely approach to applied food safety research needs related to FNS nutrition assistance programs, particularly the child nutrition programs, and develop written communications to convey research results to a variety of audiences, including scientists, policy makers, educators, and practitioners. (competitive)
2. The National Food Service Management Institute, an institute established by Congress to support Child Nutrition Programs, provides support to the FNS Office of Food Safety for developing food safety education programs and materials and conducting applied research related to food safety education. (non-competitive)
3. The National Environmental Health Association supports and promotes the use of the Food-Safe Schools Action Guide and maintains the online peer-reviewed school food safety resource list. (non-competitive)
4. The Institute of Medicine Food Forum provides opportunities for science and technology leaders in the food industry, government, consumer groups, and academicians to identify and discuss contemporary issues related to nutrition, food science, food safety, and food technology. Outcomes of the Food Forum include meetings and workshops, summaries or proceedings of meetings and workshops, and independent cooperative projects. (non-competitive)
5. The National Education Association Health Information Network reaches teachers, custodians, schools food service workers, nurses, bus drivers, and other education support professionals with health messages. They will support the Office of Food Safety in creating a resource on preventing allergic reactions to food in schools, especially for foods serviced outside of the cafeteria as part of child nutrition programs. (non-competitive)
6. The School Nutrition Foundation reaches school nutrition professionals with educational messages and will support the Office of Food Safety in developing and delivering a series of webinars on produce safety. (non-competitive).

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funding is provided to a university or organization to achieve the objectives of the grant. The university or organization may award sub-grants to obtain the expertise and skills needed to accomplish the objectives of the Center. Guidance on restrictions are set forth in the grant document.

**Applicant Eligibility:**

Assistance may be used to conduct research or perform other tasks to benefit FNS nutrition assistance programs in the area of food safety.

**Beneficiary Eligibility:**

FNS nutrition assistance program decision makers, FNS nutrition assistance program providers, and children and teachers.

**Credentials/Documentation:**

Not currently applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Not currently applicable.

**Award Procedure:**

All applications that meet the published deadline for submission will be screened for completeness and conformity to the requirements as announced in the RFA package. Grants are awarded by a competitive process via a technical review panel composed of FNS and other Federal staff that will meet to determine the technical merit of each grant application, provide a numerical score, and make recommendations to selecting officials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. There are presently no open requests for applications.

**Appeals:**

From 30 to 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not currently applicable. Method of awarding/releasing assistance: quarterly.

**Reports:**

The quarterly and final programmatic and financial reports are required to be submitted by the grantee in accordance with the grant terms and conditions. No cash reports are required. Quarterly progress reports are required. Quarterly budget reports are required. The grantee will work closely with the Agency on performance progress.

**Audits:**

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

**Records:**

The grantee must maintain records in accordance with the Grant Agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3-year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 11 \$1,970,815; FY 12 est \$515,000; and FY 13 est \$1,215,000 - FY11: National Food Service Management Institute, \$115,000; Institute of Medicine Food Forum, \$15,000; School Nutrition Foundation, \$48,368; National Education Association Health Information Network, \$192,466; Center of Excellence, \$1,599,981. FY12: National Food Service Management Institute, \$400,000; Institute of Medicine Food Forum, \$15,000; National Environmental Health Association, \$100,000. FY13: National Food Service Management Institute, 400,000; Institute of



Medicine Food Forum, \$15,000; Center of Excellence, \$800,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Center of Excellence for Food Safety in Child Nutrition Programs FNS awarded a grant to Kansas State University in April 2011 to establish a Center of Excellence to conduct research related to food safety in Child Nutrition Programs. There is no research entity that focuses on food safety research in schools, child care, and other FNS programs, yet there is a need for science-based research to provide the basis for food safety education programs.

NFSMI Food Safety Cooperative Agreement In FY 2012 NFSMI will continue to conduct program research, develop training resources, and conduct evaluations in the area of food safety. FNS also is working with NFSMI to develop educational materials on inventory tracking and management for district and school level foodservice employees.

Norovirus Outbreak Prevention FNS analysis of data from the Centers for Disease Control and Prevention (CDC) found that norovirus is the leading cause of food borne illness outbreaks in schools. FNS and NFSMI have developed norovirus educational resources for school foodservice staff, including fact sheets, mini-posters, and a video.

Food Defense Awareness FNS initiated a food defense project following four years of nationwide awareness training conducted by FNS. The awareness training encouraged State and local program operators to develop food defense plans and identified resource materials to assist in the development of the plans. The next step is to provide State and local program operators with a resource to test their plans. In FY 2011, a draft tabletop exercise (TTX) resource kit was piloted at three sites. Also in FY 2011, FNS worked with NFSMI to develop and train a cadre of facilitators who can work with school districts to conduct a TTX.

Produce Safety FNS worked with the Agricultural Marketing Service (AMS) and the National Food Service Management Institute (NFSMI) to offer the Produce Safety University (PSU) to support the growing interest and participation in fresh produce programs in schools, such as the Fresh Fruit and Vegetable Program, farm-to-school initiatives, and school gardens. PSU is a week-long course in produce safety for State agency staff and local school district directors for the NSLP. Training addresses food safety risks associated with fresh produce; good agricultural, handling, and manufacturing practices of fresh produce; hands-on training for fresh whole and fresh cut produce in various states of wholesomeness; fresh produce purchasing, receiving, storage, preparation and service. Fiscal Year 2012: Center of Excellence for Food Safety in Child Nutrition Programs The Center is starting projects such as an expansion of the school food cooling study and an evaluation of the guidance for developing a school food safety plan based on Hazard Analysis and Critical Control Points principles.

NFSMI Food Safety Cooperative Agreement In FY 2012 NFSMI will continue to conduct program research, develop training resources, and conduct evaluations in the area of food safety. FNS also is working with NFSMI to develop educational materials on inventory tracking and management for district and school level foodservice employees.

Norovirus Outbreak Prevention FNS and NFSMI are also working on employee health and hygiene educational materials for schools and child care that will help minimize the likelihood of norovirus and other foodborne illness infections to be spread from ill food handlers.

Food Defense Awareness In FY 2012, the tabletop exercise (TTX) resource kit is being field tested at three additional sites. The project will culminate in the release of a turnkey package that State agencies or school food authorities can use to conduct a school food defense TTX. The final field-tested resource kit is projected to be released in Fall 2012.

Produce Safety FNS and NFSMI are currently developing train-the-trainer materials designed to help course attendees train others to extend the reach of the Produce Safety University. FNS also awarded a grant to the School Nutrition Foundation to develop four produce safety webinars, to be conducted in FY 2012

Food Allergies FNS and NFSMI are collaborating to develop a series of fact sheets on the eight major food allergens and related topics, such as roles and responsibilities of school foodservice staff and preventing cross-contamination. In FY 2011, a grant was awarded to the National Education Association Health

Information Network to develop a booklet for school employees on managing food allergies throughout the school environment, which will be available in Summer 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 3015, 7 CFR Part 3016, 7 CFR Part 3017, 7 CFR Part 3018, 7 CFR Part 3019, 7 CFR Part 3021, and 7 CFR Part 3052.

**Regional or Local Office:**

None.

**Headquarters Office:**

Brenda Halbrook Office of Emergency Management and Food Safety  
Food and Nutrition Service  
3101 Park Center Dr. , Alexandria, Virginia 22302 Email:  
Brenda.Halbrook@fns.usda.gov Phone: 703-305-2608 Fax: 703-305-2420

**Website Address:**

[http://www.fns.usda.gov/fns/food\\_safety.htm](http://www.fns.usda.gov/fns/food_safety.htm)

**RELATED PROGRAMS:**

10.579 Child Nutrition Discretionary Grants Limited Availability

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.586 SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS AND CHILDREN; NUTRITION EDUCATION INNOVATIONS**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

National Agriculture Research, Extension, and Teaching Policy Act of 1977, Section 1403(8), 7 U.S.C. 3102, Section 1403(8), 7 U.S.C 3102.

**OBJECTIVES:**

To enable Food and Nutrition Service (FNS) to enter into grants and cooperative agreements with States and local governments, universities, hospitals and non-profit organizations to identify, develop and undertake projects to meet FNS program needs and the food, nutrition, and health of program eligible participants. The grantees and recipients would work cooperatively with FNS to:

- Support researcher-initiated projects that use a common approach to reporting findings to ensure transparency and facilitate a meta-analysis of all projects;
- Coordinate activities among researchers;
- Effectively use technology and digital media to achieve desired outcomes; and
- Advance communication and coordination to improve target behaviors.

The grants and cooperative agreements are to enable FNS to be more responsive to program needs and the food, nutrition and health needs of FNS program participants.

The objective of the WIC Perioconceptional Grant's is to establish a university-based grant series for researcher-initiated projects to demonstrate creative approaches to evaluate the impacts of WIC on periconceptional nutrition. FNS focus for this project is the direct and indirect effects of WIC participation by one or more family members during the periconceptional period and the implications for service delivery. During the periconceptional period the time period immediately prior to conception and in the first few days and weeks following conception nutrition can impact placental and embryonic development with critical lifelong implications. This project shall support a university-based grant series for researcher-initiated projects to demonstrate creative approaches to evaluate WIC impacts on periconceptional nutrition, coordinate activities among researchers, and widely disseminate findings from current research.

The WIC Nutrition Educations Innovations' Grant's objective is to enhance the effort to identify, develop, evaluate and disseminate innovative and effective

WIC nutrition education interventions. This is to be accomplished by providing grant funding for a university-based center with this charge, including a program of sub-grants to support development and evaluation of WIC-focused researcher-initiated innovations from researchers across the nation. The up to approximately \$2.0 million grant is to enable the selected institution-/organization to establish the USDA Center for WIC Nutrition Education Innovations."

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For both the WIC Periconceptional Grant and the WIC Nutrition Education Innovations Grant, the following uses and use restrictions apply:

Cooperative Agreement Grants will be made to State and local governments, universities, hospitals, and non-profit organizations for awarding cooperative agreements, and grants to design, develop and evaluate innovative approaches for Food and Nutrition Service (FNS) programs, such as WIC, to meet FNS program needs and to strengthen their impact on the food, nutrition and health of program eligible participants. The grant and cooperative agreement recipient is task with:

- making sub-grants,
- coordinating efforts among sub-grantees,
- evaluating impact of FNS programs, such as WIC, on food, nutrition and health,
- providing a summary and syntheses of these and related efforts, such as meta-analysis on the results,
- composing and coordinating conference on observations and findings, and
- providing FNS with cost neutral approaches to improving FNS programs.

FNS' primary objective for these grants and cooperative agreements is to support interest in exploring better ways to improve and assess Food and Nutrition Service program needs and their impact on the food, nutrition and health of program eligible participants. The grants should enhance knowledge and further research activities by the academic community, FNS and others. See the RFP. The grant and cooperative agreement funds will be provided to recipients (grantees) who will be responsible to spend the funds in accordance with what is set forth in the grant or cooperative agreement, and applicable Federal circulars such as A-110. The source and use of the funds for the grants and cooperative agreements will be tied to a project of interest to one or more of FNS' program areas. FNS has the discretion to select (through competition) what institution will receive the funds and to what research endeavors they will be applied, assuming that research is not specified in the law or other directive.

**Applicant Eligibility:**

The assistance is to be used to establish grants and cooperative cooperative agreements to identify, develop and undertake projects to meet Food and Nutrition Service (FNS) program needs and the food, nutrition, and health of program eligible participants.

**Beneficiary Eligibility:**

Cooperative agreements are to be awarded to State and local governments, hospitals, non-profit organizations and accredited colleges/universities offering advanced degrees at the PhD level in biological and social sciences such as sociology, psychology, education, nutrition, public health and economics. This is a requirement for the selected recipient of the grants and cooperative agreements, not the sub-grantees. Cooperative agreement recipients are to award sub-grants to researchers to identify, develop and evaluate interventions and innovative approaches to strengthen the impact of Food and Nutrition Service programs, such as WIC, on the food, nutrition and health of program eligible participants.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. Nonprofit organizations are required to submit proof of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants are required to submit a grant or cooperative agreement proposal, along with an Application for Federal Assistance SF-424(R&R). Requirements, (such as submission, formatting, budget, etc. requirements) for the grant or cooperative agreement proposal are specified in the Request for Application.

All applications must be submitted electronically through [www.grants.gov](http://www.grants.gov). Applicants may submit paper-copy applications under extenuating circumstances, such as outages of the Grants.gov website that can be substantiated by a valid case number with the Grants.gov support center.

**Award Procedure:**

Proposals will be evaluated on the criteria of research merit, overall approach, feasibility, and staffing/budget/time line. Based on the responses to the criteria, applications will be reviewed and scored by panel evaluators. The proposals will be ranked by score starting with the highest score and presented to selecting officials based on this ranking. Selecting officials will consider the panel rankings and comments, recommendations from Food and Nutrition Service (FNS) staff, and other pertinent information before deciding which proposals to fund. FNS selecting officials reserve the right to fund proposals out of rank order based on written assessments made by evaluation panel members, information provided by regional office staff, and agency priorities.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact the Headquarter's contact mentioned at the end of this description.

**Appeals:**

As specified in the RFPs for the WIC Nutritional Education Innovations Grant and the WIC Perioconceptional Grant.

**Renewals:**

As specified in the RFP for the WIC Perioconceptional Grant and the WIC Nutritional Education Innovations Grant.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The total time period for which a grant or cooperative agreement is awarded may not exceed 60 months. See the following for information on how assistance is awarded/released: Funding will be made to successful recipients as specified in the terms of the grant or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements.

**Reports:**

Program reports are required according to the terms of the grant or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements. Report SF-PPR is to be filed by the recipient according to the terms of the grant or cooperative agreement. Cash reports are not applicable. Progress reports are required according to the terms of the grant or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements. Expenditure reports are required according to the terms of the grant or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements. Report SF 425 is to be filed by the recipient according to the terms of the agreement or as applicable under federal regulation requirements. Performance monitoring reports are required to be filed by the recipient according to the terms of the cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records (financial/administrative/grant) are to be maintained according to the time requirements specified in the terms of the grant, or cooperative agreement with Food and Nutrition Service or as applicable under federal regulation requirements.

**Account Identification:**

12-3510-0-1-605 - To be supplied at time of grant or cooperative agreement award.

**Obligations:**

(Salaries) FY 11 \$997,759; FY 12 est \$2,000,000; and FY 13 Estimate Not Available - 2011 - WIC Perioconceptional Grant was awarded in the amount of \$997,759 to a university-based center to award subgrants.

2012 - WIC Nutrition Education Innovations - Up to approximately \$2,000,000 will be awarded to a university-based institution to administer the grant and make awards to sub-grantee researchers.

**Range and Average of Financial Assistance:**

Amount of grant or cooperative agreement is contingent on availability of qualified proposals and funding request from recipient.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The WIC Perioconceptional Grant was awarded to UCLA in FY 2011 and has recently posted a request for subgrant applications. Up to 7 subgrants may be awarded with a maximum amount of \$72,000 for each subgrant. Fiscal Year 2012: A request for applications has been announced for the WIC Nutrition Education Innovations with applications due by May 25, 2012. Fiscal Year 2013: Request for grant applications and awarding of funds has yet to be determined.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Steve Carlson 3101 Park Center Drive, Alexandria, Virginia 22302 Email: Steve.Carlson@fns.usda.gov Phone: 703-305-2017 Fax: 703-305-2576

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.557 Special Supplemental Nutrition Program for Women, Infants, and Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated on the criteria of research merit, overall approach, feasibility, and staffing/budget/time line. Based on the responses to the criteria, applications will be reviewed and scored by panel evaluators. The proposals will be ranked by score starting with the highest score and presented to selecting officials based on this ranking. Selecting officials will consider the panel rankings and comments, recommendations from Food and Nutrition Service (FNS) staff, and other pertinent information before deciding which proposals to fund. FNS selecting officials reserve the right to fund proposals out of rank order based on written assessments made by evaluation panel members, information provided by regional office staff, and agency priorities.

**10.587 NATIONAL FOOD SERVICE MANAGEMENT INSTITUTE ADMINISTRATION AND STAFFING GRANT**

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751, 1758, 1759a, 1761, 1765, 1766, 1769, 1772, 1773, 1779; School Breakfast

Program (SBP); Child Nutrition Act of 1966, as amended, Public Laws 108-265, 104-193, 100-435, 99-661, 97-35; Special Milk Program (SMP); Child Nutrition Act of 1966, as amended; Child and Adult Care Food Program (CACFP); 89 Stat. 522-525, Summer Food Service Program (SFSP); American Recovery Act and Reinvestment Act of 2009, Public Law 111-5. The 2010 Agriculture Appropriations Act (Public Law 111-80).

**OBJECTIVES:**

The National Food Service Management Institute (NFSMI), is part of the School of Applied Science at The University of Mississippi, and is the only federally funded national center dedicated to applied research, education and training, and technical assistance for child nutrition programs. The Institute was established and authorized by Congress in 1989 and funded at The University of Mississippi in 1991 by a grant administered through the United States Department of Agriculture (USDA), Food and Nutrition Service (FNS). Then in 1994 the Institute was permanently authorized. The specific duties (described below) of the NFSMI can be found in Section 21 of the Richard B. Russell National School Lunch Act .

**General Education Cooperative Agreement**

The NFSMI also receives \$800,000 for general education through a non-competitive cooperative agreement. The general education agreement supports activities under Team Nutrition. Team Nutrition is an initiative of the USDA Food and Nutrition Service to support the Child Nutrition Programs through training and technical assistance for foodservice, nutrition education for children and their caregivers, and school and community support for healthy eating and physical activity.

In addition the Food and Nutrition Services Office of Food Safety provides funding to support its mission of increasing awareness, visibility, and impact of food safety on USDA nutrition assistance programs. The National Food Service Management Institute, an institute established by Congress to support Child Nutrition Programs, provides support to the FNS Office of Food Safety for developing food safety education programs and materials and conducting applied research related to food safety education. (non-competitive). To see a complete description at CFDA 10.585 FNS Food Safety Grants.

**Administration and Staffing Grant**

The NFSMI receives \$5,000,000 through a non-competitive grant each year as stipulated in Section 21 of the Richard B. Russell National School Lunch Act as amended and reauthorized for activities that include training, applied research, preparation of informational materials and maintenance of an information clearinghouse. The grant funds staff positions in the Institutes four Divisions: Education and Training, Information Services, Applied Research and Administration.

**Mission and Vision**

The Institute's mission is to provide information and services that promote the continuous improvement of child nutrition programs. The vision is to be the leader in providing education, research, and resources to promote excellence in child nutrition programs. The Institute serves anyone connected with the child nutrition programs: school lunch, school breakfast, summer feeding, and Child and Adult Care Food Program. As a national center, and to fulfill its mission, the Institute develops educational resources, and offers training and technical assistance using appropriate technology for child nutrition professionals across the country and conducts applied research. They are the training and technical assistance arm of USDA, Child Nutrition Division (CND).

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funding is provided to a university or organization to achieve the objectives of the grant. The university or organization may award sub-grants to obtain the expertise and skills needed to accomplish the objectives. Guidance on restrictions is set forth in the grant document.

**Applicant Eligibility:**

Non-competitive. Appropriated by Congress to provide financial and other assistance to the University of Mississippi, in cooperation with the University of Southern Mississippi, to establish and maintain a food service management institute.

**Beneficiary Eligibility:**

FNS nutrition assistance program decision makers, FNS nutrition assistance program providers, and children and teachers.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package must be submitted electronically via [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applicant must meet the non-competitive grant and cooperative agreement submission requirements for completeness and conformity in a grant application, statement of work and budget. FNS and Grants will determine the technical merit of each grant and cooperative agreement application, approve and then award funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

From 30 to 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant period of performance is generally for 3 years. Extensions to the period of performance must be approved by the Agency and limited to a maximum of 5 years. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: lump sum.

**Reports:**

The quarterly and final programmatic reports are required to be submitted by the grantee in accordance with the grant terms and conditions. The quarterly and final financial reports are required to be submitted by the grantee in accordance with the grant terms and conditions. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

The grantee must maintain records in accordance with the Grant agreement. Such records must be retained for a period of 3 years after the date of submission of the final report for the fiscal year to which the records pertain, except that if audit findings have not been resolved, the records shall be retained beyond the 3 year period as long as required for the resolution of the issues raised by the audit.

**Account Identification:**

12-3539-0-1-605.

**Obligations:**

(Salaries) FY 11 \$5,000,000; FY 12 est \$4,000,000; and FY 13 est \$4,000,000 -  
FY 2011: \$800,000 Cooperative Agreement  
FY 2012: \$800,000 Cooperative Agreement  
FY 2013: \$800,000 Cooperative Agreement.

**Range and Average of Financial Assistance:**

Available General Education Cooperative Agreement (non-competitive) - \$800,000.  
Available Administration and Staffing Grant (non-competitive) - \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Administration and Staffing Grant as outlined in Section 21 of the Richard B. Russell National School Lunch Act, supports activities that include training, applied research, preparation of informational materials and maintenance of an information clearinghouse. The grant funds staff positions in the Institutes four Divisions: Education and Training, Information Services, Applied Research and Administration. These Administration and Staffing Grants are for a duration of 3 years.

Also, the General Education Cooperative Agreement supports activities under Team Nutrition. Team Nutrition is an initiative of the USDA Food and Nutrition Service to support the Child Nutrition Programs through training and technical assistance for foodservice, nutrition education for children and their caregivers, and school and community support for healthy eating and physical activity. These General Education Cooperative Agreements are for a duration of 3 years. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

X7 CFR Part 3016, 7 CFR Part 3018. Determined by the legislation providing the grants.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Long, Food and Nutrition Service, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302 Email: [Cindy.Long@fns.usda.gov](mailto:Cindy.Long@fns.usda.gov) Phone: (703) 305-2590.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 10.558 Child and Adult Care Food Program; 10.559 Summer Food Service Program for Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.588 ASSESSMENT OF ALTERNATIVES TO FACE-TO-FACE INTERVIEWS IN SNAP**

Assessment of Face-to-Face Interviews

**FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

**AUTHORIZATION:**

The Food Stamp Act of 2008 , Section 17 (a)(1).

**OBJECTIVES:**

To examine how/if eliminating the client interview for SNAP benefits affects administration of the SNAP program and client outcomes.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance shall be used to defray the cost for the states to implement the

demonstrations and participate in the evaluation of the demonstrations.

**Applicant Eligibility:**

Allowable use of funds includes, but is not limited to, personnel costs; office and research supplies; travel for data collection; and technology (both hardware and software) necessary for operating the Cooperative Agreement.

**Beneficiary Eligibility:**

This project will be beneficial to both state and local SNAP offices, as it will inform them of how eliminating the face-to-face interview for SNAP applicants affects the administration of the program. The clients, in turn, will benefit from the project because the findings of the study will be used by the state and local offices to improve their administration of the program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applicants will submit their response to the RFA through grants.gov. FNS will prescreen all applications to ensure that they contain the required documents and information. If an application does not include all appropriate information, FNS will consider the application to be non-responsive and will eliminate it from further evaluation.

Following the initial screening process, FNS will assemble a panel to review and determine the technical merits of each application based on how it addresses the required application components. The panel will award the grants to applicants whose application best demonstrates the capacity to implement and operate the pilots. Preference will be given to those applications that address all of the criteria completely, explain in detail how the pilot will be designed and implemented, and show capacity and willingness to cooperate fully with the data collection and evaluation. In addition, the applications that best detail a process for collecting the necessary information from clients to verify cases with minimal contact under the no interview model will merit higher scores. Additional points will also be given to states applying for the regular evaluation but have the capacity to conduct more than the minimum suggested QC-like reviews at the pilot site.

The selection official will consider the panels recommendations. The selection official may consider other FNS priorities, such as geographic, demographic, socioeconomic diversity or size of QC sample in addition to the scores assigned by the technical review panel. FNS reserves the option to select one or more lower-rated applications in order to achieve a diversity of projects and regional representation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

From 30 to 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

28 months - September 2011 through December 2013. See the following for information on how assistance is awarded/released: Four equal installments.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports from each participating state will provide details about the status of the demonstrations. No expenditure reports are required. The external third party evaluator will monitor the demonstrations and conduct the evaluation.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

12-3503-0-1-605.

**Obligations:**

(Salaries) FY 11 \$492,181; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The pilot states (OR and NC) have selected their demonstration and pilot sites and the random selection state (UT) is well on its way in designing their demonstration. QC-like reviews will begin within weeks in each state. The waiver request from each state will be submitted to FNS within weeks as well. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rosemarie Downer 3101 Park Center Drive, Alexandria, Virginia 22302 Email: rosemarie.downer@fns.usda.gov Phone: 7033052129 Fax: 7033052576

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 10.580 Special Nutrition Assistance Program Outreach/Participation Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must adhere to the format described in the RFA. The application must include:

Cover Sheet

Table of Contents

1. Application Summary (1 page limit)
2. Pilot Design and Implementation (20 page limit)
3. The application should also specifically address the following questions.

How would implementing the no interview model change the overall processing of cases?

How will the state handle subgroups in the pilot area that are receiving a different interview method under a current waiver?

How will the state handle walk-in clients at the no interview site?

If a client asks for a face-to-face interview at a no interview site, how will that be tracked for data purposes?

Will the no interview model change the way expedited cases are processed?

How will the state implement the pilot to reduce the potential of increased error rates and erroneous denials?

What is the level of modernization in place in the state and how does that affect the pilot site? Indicate if there will be additional changes in the pilot or comparison areas or the state during the study.

What is the states capacity for conducting QC-like reviews and their ability to provide the data required by the evaluator? How many reviews can the state

conduct and over what time period? Explain any deviation from the suggested number of interviews or timeline.

#### 4. Staffing and Management of the Grant.

### **10.589 CHILD NUTRITION DIRECT CERTIFICATION PERFORMANCE AWARDS**

Direct Cert Performance Awards

#### **FEDERAL AGENCY:**

Food and Nutrition Service, Department of Agriculture

#### **AUTHORIZATION:**

Healthy, Hunger-Free Kids Act of 2010, Public Law 111-296; Richard B. Russell National School Lunch Act, 42 U.S.C 1758(b)(4).

#### **OBJECTIVES:**

Direct Certification Performance Awards are designed to encourage States to ensure that all eligible children living in households receiving benefits under the Supplemental Nutrition Assistance Program (SNAP) are directly certified for free school meals. Each year for three years, USDA may award a total of up to 15 States for exemplary performance in their direct certification efforts with SNAP. \$2 million is available for each of two categories of awards: Outstanding Performance and Substantial Improvement, for a total of \$4 million each year for FY 2012, FY 2013, and FY 2014.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

#### **USES AND USE RESTRICTIONS:**

The funds are to be treated as program income. Funds may be used by the NSLP State agency for program purposes and/or the NSLP State agency may transfer funds to local school food authorities (SFAs) for use in carrying out the program. These funds are only available to the State agencies administering the NSLP and to the SFAs to which the States may choose to transfer funds. The amounts of the awards and the number of awards given (up to a total of 15) are at the discretion of USDA.

#### **Applicant Eligibility:**

Only the State agencies that administer the NSLP are eligible. There is no application needed for the Outstanding Performance Awards. NSLP State agencies that are interested in being considered for the Substantial Improvement Awards, however, must submit a Letter of Intent to Compete. Specific guidance goes out to the NSLP State agencies in the spring before the award is made.

#### **Beneficiary Eligibility:**

The State agency that administers the NSLP may use the funds for program purposes or may transfer all or part of the funds to local SFAs for use in carrying out the program.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

States considered for these awards will come from the pool of States that have the highest NSLP direct certification rates for children in households receiving SNAP benefits or who have shown substantial improvement in direct certification rates, and meet other criteria.

USDA may award up to 15 States each year. The number of the awards given in each category and the amount of each individual award is at the discretion of USDA and is not subject to judicial review. States cannot win both awards in the same year.

Specific guidance to NSLP State agencies is issued each year.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Awards are made each fiscal year for FY 2012, FY 2013, and FY 2014.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The agency intends to distribute awards to the winning States at the end of each fiscal year (FY 2012, FY 2013, FY 2014). No. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

No reports are required.

#### **Audits:**

No audits are required for this program.

#### **Records:**

The State agency or SFA should keep appropriate records normally required for use of program funds.

#### **Account Identification:**

12-3539-0-1-605.

#### **Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$4,000,000; and FY 13 est \$4,000,000

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Cynthia Long, Food and Nutrition Service, 3101 Park Center Drive Room 640, Alexandria, Virginia 22302 Email: Cindy.Long@fns.usda.gov Phone: (703) 305-2590.

#### **Website Address:**

No Data Available

#### **RELATED PROGRAMS:**

10.555 National School Lunch Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **10.600 FOREIGN MARKET DEVELOPMENT COOPERATOR PROGRAM**

#### **FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

#### **AUTHORIZATION:**

Agricultural Trade Act of 1978, Title VII, 7 U.S.C. 5721, et seq.

**OBJECTIVES:**

To create, maintain and expand long-term export markets for U.S. agricultural products through cost-share assistance and the opportunity to work closely with FAS and its overseas offices.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Cooperator funds are authorized through program agreements with nonprofit U.S. trade associations called Cooperators, that provide for partial reimbursement of generic promotional activities in a Unified Export Strategy application approved by the Foreign Agricultural Service (FAS), the agency which administers the program for the Commodity Credit Corporation (CCC). In general, Cooperator funds may be used only in direct support of activities conducted outside the United States. Types of activities that may be funded include trade servicing, market research, and technical assistance to actual or potential foreign purchasers of U.S. commodities.

**Applicant Eligibility:**

The Commodity Credit Corporation (CCC) enters into agreements with those nonprofit U.S. trade organizations that have the broadest possible producer representation of the commodity being promoted. To be approved, an applicant's proposal must indicate how it can effectively contribute to the creation, expansion, or maintenance of markets abroad. FAS considers a number of factors when reviewing proposed projects. These factors include: (1) The applicant's willingness to contribute resources including cash and goods and services of the U.S. industry and foreign third party; (2) the ability of the organization to provide an experienced U.S.-based staff and with technical and international trade expertise to ensure adequate development, supervision and execution of the proposed project; (3) the degree to which the proposed project is likely to contribute to the development, expansion, or maintenance of foreign markets; and (4) the degree to which the strategic plan is coordinated with other private or U.S. government-funded market development projects.

**Beneficiary Eligibility:**

Preference is given to nonprofit U.S. trade organizations which are nationwide in membership and scope.

**Credentials/Documentation:**

U.S. applicants must prove the ability to provide a competent experienced staff and other resources to assure adequate development, supervision, and execution of promotional activities. Applicants must submit a written export strategy which provides a brief discussion of the commodity for which an agreement is being requested and a description of proposed activities including the foreign countries in which they will be conducted. Applicants must also submit their Internal Revenue Service tax exempt identification number, a Dun and Bradstreet Data Universal Numbering System (DUNS) number, a description of the membership of the applicant organization, a description of the organizations management and administrative capability, the degree to which membership represents national production, an estimate of the level of Government funds required, and the extent to which industry resources are available to match Government expenditures. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each year the availability of funds is announced in a Federal Register notice. At this time a written export strategy should be submitted to the Director, Marketing Operations Staff, FAS. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed against the allocation criteria and factors set forth in 7 CFR part 1484 and the Federal Register program announcement. CCC notifies each applicant of the final disposition of its application and also issues

a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and an allocation/marketing plan approval letter which specifies any special terms and conditions applicable to a cooperator's program. Final agreement occurs when both the participating organization and the Administrator of FAS in the Administrator's capacity as Vice President, CCC, sign the program agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Program commitments are made on a program year basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Agreements generally include a twelve-month promotional effort and a provision for program evaluation by an independent third party. Funds awarded in any given fiscal year are typically available for two additional years. See the following for information on how assistance is awarded/released: Each approved applicant receives a program agreement and an allocation/marketing plan approval letter which specifies any special terms and conditions applicable to a cooperator's program. Final agreement occurs when both the participating organization and the Administrator of FAS in the Administrator's capacity as Vice President, CCC, sign the program agreement.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Records must be maintained for not less than 3 years after completion or termination of the agreement or not less than 5 full calendar years following the year of the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$34,500,000; FY 12 est \$34,500,000; and FY 13 Estimate Not Available(Exp: Subject to reauthorization.)

**Range and Average of Financial Assistance:**

\$11,000 to \$7,000,000; \$1,243,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1484.

**Regional or Local Office:**

None.

**Headquarters Office:**

Programs Operations Division 1400 Independence Ave., SW  
, Washington, District of Columbia 20250 Phone: (202) 720-4327

**Website Address:**

<http://www.fas.usda.gov/mos/programs/fmdprogram.asp>.

**RELATED PROGRAMS:**

10.601 Market Access Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Allocations are made in a manner that effectively support the strategic decision-making initiatives of the Government Performance and Results Act (GPRA) of 1993. In assessing whether the applicant will effectively create, expand or maintain foreign markets, the following factors are considered: (1) effectiveness of program management; (2) past and present contribution levels; (3) soundness of the strategic plan; (4) past export performance; and (5) past demand expansion performance (6) future demand expansion goals; and (7) accuracy of past demand expansion projections.

**10.601 MARKET ACCESS PROGRAM**

(MAP)

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Trade Act of 1978, as amended, Section 203.

**OBJECTIVES:**

To encourage the creation, maintenance, and expansion of commercial export markets for U.S. agricultural commodities through cost-share assistance to eligible trade organizations that implement a foreign market development program.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Market Access Program (MAP) funds are authorized through program agreements that provide for partial reimbursement of eligible promotional expenses in a Unified Export Strategy application approved by the Foreign Agricultural Service (FAS), the agency which administers the program for the Commodity Credit Corporation (CCC). MAP participants may receive assistance for either generic or brand promotion activities. Program funds help finance activities such as consumer advertising, point of sale demonstrations, public relations, trade servicing activities, participation in trade fairs and exhibits, market research and technical assistance.

**Applicant Eligibility:**

To be approved, applicants must be: (1) A nonprofit U.S. agricultural trade organization; (2) a nonprofit State regional trade group; (3) a U.S. agricultural cooperative; (4) a State agency; or (5) a U.S. commercial entity that is a small-sized entity (other than a cooperative or producer association).

**Beneficiary Eligibility:**

CCC will enter into MAP agreements only where the eligible agricultural commodity is comprised of at least 50 percent U.S. origin content by weight, exclusive of added water.

**Credentials/Documentation:**

Applicants are required to provide a competent, experienced staff and other resources to assure adequate development, supervision, and execution of promotion activities. All applicants must submit a written proposal which provides a brief discussion of the commodity for which assistance is requested; the proposed program with a justification; and a strategic plan. In addition, all applicants must submit a statement certifying that any CCC resources received will supplement, but not supplant, any private or third party funds or other contributions to program activities. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each year the availability of funds is announced in a Federal Register notice. At this time

a written export strategy should be submitted to the Director, Marketing Operations Staff, FAS. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Applications are reviewed against the allocation criteria and factors set forth in 7 CFR Part 1485. CCC notifies each applicant of the final disposition of its application and also issues a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and allocation approval letter which specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Administrator of FAS in the Administrator's capacity as Vice President, CCC, sign the program agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements generally include a twelve-month promotional effort and a provision for program evaluation by an independent third party. Funds awarded in any given fiscal year are typically available for two additional years. See the following for information on how assistance is awarded/released: Each approved applicant receives a program agreement and allocation approval letter which specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Administrator of FAS in the Administrator's capacity as Vice President, CCC, sign the program agreement.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Must be maintained for not less than 3 years after completion or termination of the agreement or not more than 5 full calendar years following the year of the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$200,000,000; FY 12 est \$200,000,000; and FY 13 Estimate Not Available(Exp: Subject to reauthorization.)

**Range and Average of Financial Assistance:**

From \$22,000 to \$9,611,000; \$1,375,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1485.

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Operations Division 1400 Independence Ave., SW,



, Washington, District of Columbia 20250 Phone: (202) 720-4327

**Website Address:**

<http://www.fas.usda.gov/mos/programs/map.asp>.

**RELATED PROGRAMS:**

10.600 Foreign Market Development Cooperator Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Allocations will only be made to applicants that present the best opportunity for developing or expanding export markets for U.S. agricultural commodities. In assessing the applicant, the following factors are considered: (1) effectiveness of program management; (2) soundness of accounting procedures; (3) the nature of the organization; (4) prior export promotion or direct export experience; (5) previous MAP funding and performance; (6) adequacy of the applicant's strategic plan; (7) past and present contribution levels; (8) export goals; and the (9) accuracy of past projected export goals. In providing assistance for brand promotions, priority will be given to small-sized entities. Qualifying products whose composition is less than 50 percent U.S. origin are not eligible.

**10.602 CCC'S DAIRY EXPORT INCENTIVE PROGRAM**

The DEIP Program

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

Food, Agriculture, Conservation and Trade Act of 1990; the Uruguay Round Agreement Act of 1995; and the Federal Agriculture Improvement and Reform Act of 1996., Title 7, Part CFR, Section 1494.

**OBJECTIVES:**

The major objective of the program is to develop export markets for dairy products where U.S. products are not price competitive and thereby, make sales in targeted overseas markets for the purpose of market development or where competitor countries are making subsidized sales.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The Dairy Export Incentive Program helps exporters of US dairy products meet prevailing world prices for targeted dairy products and destinations. Under the program, the US Department of Agriculture pays cash to exporters as bonuses, allowing them to sell certain US dairy products at prices lower than the exporter's costs of acquiring them.

**Applicant Eligibility:**

All sales under the DEIP are made by the private sector, not the U.S. government. An invitation for offers issued by USDA may be one of two types: those inviting exporters to submit a competitive offer for a bonus, and those inviting exporters to apply for an announced bonus. Once an invitation for offers is issued, it is up to agricultural exporters to contact prospective buyers in eligible countries and negotiate a sales contract covering price, quantity, quality, delivery, and other terms. The sale may be contingent on USDAs approval of a bonus. Each prospective exporter submits an offer to USDA requesting a bonus that would allow the sale to take place at the agreed price. Under an invitation for competitive offers, USDA reviews all bids for the competitiveness of the bonus value requested and compares the bids with offers from other U.S. exporters and with sales of competitor countries. Under an announced bonus, compliant offers meeting all program requirements are accepted on a first-come, first-served basis. USDA has the right to reject any or all bids.

Once USDA accepts a bid, the exporter and USDAs Commodity Credit Corporation (CCC) enter into an agreement. USDA notifies exporters submitting offers of the acceptance or rejection of their offers by 10 a.m. Eastern U.S. time the next business day after the date the offers were submitted for consideration. USDA also makes the information available in a program announcement on the FAS Web site.

**Beneficiary Eligibility:**

Who Benefits

The DEIP, administered by USDAs Foreign Agricultural Service (FAS), helps U.S. agricultural producers, processors, and exporters gain access to foreign markets.

Eligible Products

Commodities eligible under DEIP initiatives are milk powder, butterfat, and various cheeses.

Participation

An exporter interested in participating in the DEIP must provide specific information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Receiving the Bonus: The bonus is paid to the U.S. exporter in cash. The CCC determines the bonus payment by multiplying the bonus specified in the agreement by the net quantity of the commodity exported. Once an exporter furnishes USDA with evidence that the specified commodity has been exported to the target destination under the terms of the agreement, the exporter can request payment of the bonus.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The DEIP Program is based on Program Announcements and they expire at the end of the fiscal year or when the quantity announced has been exhausted which ever comes first. See the following for information on how assistance is awarded/released: The bonus is in the form of a cashiers check paid by our Kansas City Commodity office.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Export Documentation.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$0; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Trade Programs 1400 Independence Ave., SW, Washington, District of Columbia 20250 Phone: (202)720-0624

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.603 EMERGING MARKETS PROGRAM**

(EMP)

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

The Emerging Markets Program is authorized by the Food, Agriculture, Conservation, and Trade Act of 1990 (FACT Act), as amended by the Federal Agriculture Improvement and Reform Act of 1996 (FAIR Act) Section 1542 (d).

**OBJECTIVES:**

The primary objective of the Emerging Markets Program is to promote, enhance or expand the exports of U.S. agricultural commodities to overseas emerging markets through cost-share assistance to eligible organizations that implement an Emerging Markets Program. The program supports the activities of U.S. agricultural and agribusiness firms--particularly those that may need assistance in obtaining or maintaining access in overseas markets. The program is aimed at improving market access opportunities for agricultural products or processes in low- to middle-income countries that are likely to emerge as promising export markets in the near to medium term.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Emerging Markets Program funds are authorized through project agreements that serve as binding instruments and create a legal obligation on the part of the Commodity Credit Corporation (CCC) to make appropriated funds available to the participant. The agreement creates a cooperative relationship between CCC and the implementor with each side contributing resources to support achievement of mutual goals. Program funds help finance activities such as feasibility studies, market research, sectorial assessments, orientation visits, specialized training, and business workshops. The Program is not intended for projects targeted at end-user consumers. Ineligible activities include in-store promotions, restaurant promotions, branded product promotions, administrative and operational expenses for trade shows and advertising, except in connection with specific technical assistance activities such as training seminars.

**Applicant Eligibility:**

Applicants must be a: (1) U. S. agricultural or agribusiness organization -- nonprofit, trade association, university, consultant group (under certain conditions), (2) State Department of Agriculture, or (3) USDA agency (or other Federal agency involved in agricultural issues).

**Beneficiary Eligibility:**

(1) a U. S. agricultural or agribusiness organization -- nonprofit, trade association, university, consultant group (under certain conditions), (2) State Department of Agriculture, or (3) USDA agency (or other Federal agency involved in agricultural issues).

**Credentials/Documentation:**

All eligible applicants must submit a written proposal in accordance with the guidelines set forth each year in the Federal Register. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each year solicitation of proposals is announced in the Federal Register. At that time written project proposals should be submitted to the Director, Marketing Operations Staff, Foreign Agricultural Service (FAS).

**Award Procedure:**

FAS will notify each applicant in writing of the final disposition of its application. For approvals, letters will contain the notice of approval and any qualifications or adjustments made to the original proposal. For rejections, letters will contain details explaining the reasons why the proposals were not approved for funding. FAS will send an Agreement to each approved applicant. The Agreement will specify the terms and conditions applicable to the project, including the levels of program funding and cost-share contribution. An applicant who accepts the terms and conditions contained in the Agreement should so indicate by having the appropriate authorizing officer sign the Agreement and submit it to the Director, Marketing Operations Staff, FAS, USDA. The Agreement will become effective when the Deputy Administrator signs the Agreement on behalf of CCC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation or expansion of successful projects funded by the Program may be considered for future funding through separate application. Funding may be considered for projects which have already begun with the support and financial assistance of a private entity, and for which government funding for continuation of the project is justified. Such proposals must meet the criteria of the Emerging Markets Program, including cost-sharing.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements generally include a beginning and end date. Projects are normally funded for one year although some multi-year projects may be funded by the Program, usually on a year-to-year basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

See above. No cash reports are required. See above. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Participant projects are reviewed as needed, but normally at least every two years, by representatives of the Compliance Review Staff (CRS) of FAS. Audits and reviews are also conducted sporadically by representatives of the Office of the Inspector General and the General Accounting Office. Accounts and records must be available for inspection or audit at any reasonable time.

**Records:**

Records must be maintained for at least three years after completion or

termination of the Agreement or not more than five full calendar years following the year of the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$10,000,000; FY 12 est \$10,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Program currently operates under guidelines.

**Regional or Local Office:**

None.

**Headquarters Office:**

FAS/OTP/Program Operations Staff 1400 Independence Ave., SW, Washington, District of Columbia 20250 Phone: 2027204327

**Website Address:**

<http://www.fas.usda.gov/mos/em-markets/em-markets.html>.

**RELATED PROGRAMS:**

10.600 Foreign Market Development Cooperator Program; 10.601 Market Access Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.604 TECHNICAL ASSISTANCE FOR SPECIALTY CROPS PROGRAM**

(TASC)

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

The Technical Assistance for Specialty Crops Program is reauthorized by Section 3203 of the Food, Conservation, and Energy Act of 2008.

**OBJECTIVES:**

The Technical Assistance for Specialty Crops Program is designed to assist U.S. organizations by providing funding for projects that address sanitary, phytosanitary, and technical barriers that prohibit or threaten the export of U.S. specialty crops.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Technical Assistance for Specialty Crops Program funds are authorized through project agreements that include the maximum amount that may be reimbursed and identify terms and conditions pursuant to which the Commodity Credit Corporation (CCC) will reimburse costs. The agreements also outline any specific responsibilities of the participant. Types of activities that may be funded under this program include initial pre-clearance programs, export protocol and work plan support, seminars and workshops, study tours, field surveys, development of pest lists, pest and disease research, database development, reasonable logistical and administrative support, travel and per diem expenses.

**Applicant Eligibility:**

To be approved, an applicant must be a: (1) U.S. government agency; (2) U.S. State government agency; (3) U.S. non-profit trade association; (4) U.S. university; (5) U.S. agricultural cooperative; (6) U.S. private company or (7) any other U.S. organization.

**Beneficiary Eligibility:**

The Technical Assistance for Specialty Crops Program is intended to benefit the represented U.S. industry rather than a specific company or brand.

**Creditentials/Documentation:**

Applicants must submit a written proposal which includes, but is not limited to, the following: a brief discussion of the commodity for which funding is requested; a market assessment, including a description of the specific export barrier to be addressed; a description of the activities planned to address the export barrier; and export information that includes performance measures, benchmark performance, and the viability of long-term sales to the market. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each year the availability of funds is publicly announced in a Federal Register notice. Following the announcement, applications for funding may be submitted to the Director, Marketing Operations Staff, Foreign Agricultural Service (FAS).

**Award Procedure:**

Proposals are reviewed against the allocation criteria and factors specified in 7 CFR 1487. The CCC notifies each applicant of the final disposition of its application and also issues a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and allocation approval letter that specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Deputy Administrator for Commodity and Marketing Programs, FAS, sign the program agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Program commitments are made on a program year basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements generally include the project and a provision for project evaluation. Funds awarded in any given fiscal year are typically available for additional years. See the following for information on how assistance is awarded/released: Each approved applicant receives a program agreement and allocation approval letter that specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Deputy Administrator for FAS, sign the agreement.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Records must be maintained for not less than 3 years after completion or termination of the agreement or not more than 5 full calendar years following the year the transaction that is evidenced in an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$9,000,000; FY 12 est \$9,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Projects funded on a project by project basis for up to \$250,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1487.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Trade Programs/FAS 1400 Independence Ave., SW, Washington, District of Columbia 20250 Phone: 2027204327

**Website Address:**

<http://www.fas.usda.gov/mos/tasc/tasc.asp>.

**RELATED PROGRAMS:**

10.600 Foreign Market Development Cooperator Program; 10.601 Market Access Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The FAS will consider the following criteria in evaluating proposals: (1) The identification and nature of the specific export barrier and the extent to which the proposal is likely to successfully remove, resolve, or mitigate that barrier; (2) The potential trade impact of the proposed project on market retention, market access, and market expansion, including the potential for expanding commercial sales in the targeted market; (3) The completeness and viability of the proposal; (4) The applicant organization's ability to provide an experienced staff with the technical and trade experience necessary to economically and effectively execute the proposal; (5) The extent to which the proposal is targeted to an eligible export market in which the United States is generally competitive; (6) The cost of the project and the amount of other (non-TASC) resources specifically dedicated to the project, including cash and goods and services of the U.S. industry and foreign third parties; (7) The degree to which time is essential in addressing the specific export barriers; and, (8) In cases where the CCC receives multiple proposals from different applicants which address essentially the same barrier, the nature of the applicant organization will be taken into consideration, with a greater weight given to those organizations with the broadest base of producer representation.

**10.605 QUALITY SAMPLES PROGRAM**

(QSP)

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

The Quality Samples Program is authorized by Section 5(f) of the Commodity Credit Corporation (CCC) Charter Act, 15 U.S.C. 714c(f).

**OBJECTIVES:**

The Quality Samples Program is designed to encourage the development and expansion of export markets for U.S. agricultural commodities by assisting U.S. entities in providing commodity samples to potential foreign importers to promote a better understanding and appreciation for the high quality of U.S. agricultural commodities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Quality Samples Program funds are authorized through project agreements that include the maximum amount that may be reimbursed and identify terms and conditions pursuant to which CCC will reimburse costs. Under the QSP, participants may be reimbursed for certain costs of purchasing and transporting commodity samples. Although providing technical assistance is required for all

projects, costs of providing the actual technical assistance is not reimbursed under the QSP.

**Applicant Eligibility:**

To be approved, an applicant must be a U.S. private or government entity.

**Beneficiary Eligibility:**

The Quality Samples Program is intended to benefit a represented U.S. industry rather than a specific company or brand.

**Credentials/Documentation:**

Applicants must submit a written proposal which includes, but is not limited to, the following: a description of the organization and its membership; a description of the organization's prior export promotion experience; a description of the organization's experience in implementing an appropriate trade/technical assistance component; an assessment of the market; a long-term strategy in the market; amount of funding requested; a brief description of the specific market development trade constraint or opportunity to be addressed by the project; a sample description; and the importer's role in the project regarding handling and processing the commodity samples. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each year the availability of funds is announced in a Federal Register notice. At that time, proposals should be submitted to the Director, Marketing Operations Staff, Foreign Agricultural Service (FAS).

**Award Procedure:**

Proposals are reviewed against the allocation criteria and factors specified in the Federal Register notice. CCC notifies each applicant of the final disposition of its application and also issues a public announcement concerning the allocation of resources among the applicant organizations. Each approved applicant receives a program agreement and allocation approval letter that specifies any special terms and conditions applicable to a participant's program. Final agreement occurs when both the participating organization and the Deputy Administrator for Commodity and Marketing Programs, FAS, sign the program agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Although highly encouraged, financial and in-kind support from the participant is not required. Such contributions may be in the form of cash or goods or services.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Agreements generally include a twelve-month promotional effort and a requirement for program evaluation. Funds awarded in any given fiscal year may be made available for a longer period. See the following for information on how assistance is awarded/released: Reimbursement claims are submitted to claim reimbursement of costs associated with completing approved projects. Evaluation reports are submitted within 90 days of expiration of the agreement. The Quality Samples Program is a reimbursable program whereby the applicant incurs the expense and is reimbursed later.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Records must be maintained for not less than 3 years after completion or termination of the agreement or not more than 5 full calendar years following the year the transaction that is evidenced by such an account or record that took place, whichever is sooner.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Project Grants) FY 11 \$1,694,142; FY 12 est \$1,681,100; and FY 13 est \$2,500,000

**Range and Average of Financial Assistance:**

FY 2011 range \$5,000 to \$75,000, average \$33,883

FY 2012 range \$5,000 to \$75,000, average \$31,131.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: QSP Serves As Catalyst For Wool Sales To India:

With the assistance of the USDA Foreign Agricultural Services (FAS) Quality Samples Program (QSP), the American Sheep Industry (ASI) set to introduce U.S. wool to one of the worlds largest vertical manufacturing knitwear companies located in India. QSP is designed to encourage the development and expansion of export markets for U.S. agricultural commodities by assisting U.S. entities in providing commodity samples to potential foreign importers to promote a trial usage of U.S. products that provide. As a large knitwear producer, the company was most familiar with Australian wool and had never tried U.S. wool. A trial was necessary to learn how to process U.S. wool. QSP funds helped to convince the buyer to conduct a trial by offsetting the cost of this initial trial run. QSP was used in conjunction with the Market Access Program and the Foreign Market Development program, which was used to cover travel costs and technical assistance and trade servicing. As a result, U.S. sheepskin exports to China have increased significantly to 1.1 million pieces from the previous year. It was the largest purchase by the company to date; additional purchases are expected at or above this level as the buyer now understand the quality of U.S. wool and how it processes. While ASI is responsible for 80 percent of the U.S. wool exports are to India, success in the market would not be possible without the assistance of market development funding. Fiscal Year 2012: QSP Builds Demand for U.S. Cranberries In Korea: Using funding from the Quality Sample Program (QSP), the Cranberry Marketing Committee (CMC) accomplished its goal to increase the number of cranberry food manufacturers and U.S. cranberry products available for retail in the Korean market. South Korea, a key target of CMC efforts, saw the total number of cranberry products available at retail increase to 145, surpassing the previous year level by 23 percent, while the number of bakery outlets offering U.S. cranberry products rise 66 percent. In addition, the number of manufacturers offering U.S. cranberry products doubled, from 11 to 22 as a result. On a value basis, exports of cranberry products to Korea grew 14 percent compared to the previous year, to reach \$2.44 million. QSP activities included presentations kits containing samples of dried cranberry product that were distributed to CMCs industry targets who experimented with the new products. Also, as part of CMCs Market Access Program activities, technical consultations were conducted with each contact to provide insight on how cranberries are utilized in new product development. The QSP program has played an important role in expanding demand for U.S. cranberries by allowing Korean manufactures the opportunity to experiment with U.S. dried cranberries, expand their product lines and improve their formulations. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mark Slupek 1400 Independence Ave, Washington, District of Columbia 20882

Email: mark.slupek@fas.usda.gov Phone: 202-720-4327

**Website Address:**

<http://www.fas.usda.gov/mos/programs/qsp.asp>.

**RELATED PROGRAMS:**

10.600 Foreign Market Development Cooperator Program; 10.601 Market Access Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: QSP Serves As Catalyst For Wool Sales To India:

With the assistance of the USDA Foreign Agricultural Services (FAS) Quality Samples Program (QSP), the American Sheep Industry (ASI) set to introduce U.S. wool to one of the worlds largest vertical manufacturing knitwear companies located in India. QSP is designed to encourage the development and expansion of export markets for U.S. agricultural commodities by assisting U.S. entities in providing commodity samples to potential foreign importers to promote a trial usage of U.S. products that provide. As a large knitwear producer, the company was most familiar with Australian wool and had never tried U.S. wool. A trial was necessary to learn how to process U.S. wool. QSP funds helped to convince the buyer to conduct a trial by offsetting the cost of this initial trial run. QSP was used in conjunction with the Market Access Program and the Foreign Market Development program, which was used to cover travel costs and technical assistance and trade servicing. As a result, U.S. sheepskin exports to China have increased significantly to 1.1 million pieces from the previous year. It was the largest purchase by the company to date; additional purchases are expected at or above this level as the buyer now understand the quality of U.S. wool and how it processes. While ASI is responsible for 80 percent of the U.S. wool exports are to India, success in the market would not be possible without the assistance of market development funding. Fiscal Year 2012: QSP Builds Demand for U.S. Cranberries In Korea: Using funding from the Quality Sample Program (QSP), the Cranberry Marketing Committee (CMC) accomplished its goal to increase the number of cranberry food manufacturers and U.S. cranberry products available for retail in the Korean market. South Korea, a key target of CMC efforts, saw the total number of cranberry products available at retail increase to 145, surpassing the previous year level by 23 percent, while the number of bakery outlets offering U.S. cranberry products rise 66 percent. In addition, the number of manufacturers offering U.S. cranberry products doubled, from 11 to 22 as a result. On a value basis, exports of cranberry products to Korea grew 14 percent compared to the previous year, to reach \$2.44 million. QSP activities included presentations kits containing samples of dried cranberry product that were distributed to CMCs industry targets who experimented with the new products. Also, as part of CMCs Market Access Program activities, technical consultations were conducted with each contact to provide insight on how cranberries are utilized in new product development. The QSP program has played an important role in expanding demand for U.S. cranberries by allowing Korean manufactures the opportunity to experiment with U.S. dried cranberries, expand their product lines and improve their formulations. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

FAS uses the following criteria when evaluating QSP proposals: (1) the ability of the organization to provide an experienced staff with the requisite technical and trade experience to execute the proposal; (2) the extent to which the proposal is targeted to a market in which the United States is generally competitive; (3) the potential for expanding commercial sales in the proposed market; (4) the nature of the specific market constraint or opportunity involved and how well it is addressed by the proposal; (5) the extent to which the importer's contribution in terms of handling and processing enhances the potential outcome of the project; (6) the amount of reimbursement requested and the organization's willingness to contribute resources, including cash and goods and services of the U.S. industry and foreign third parties; and (7) and how well the proposed technical assistance component assures that performance trials will effectively demonstrate the intended end-use benefit.

**10.606 FOOD FOR PROGRESS**

(FFP)

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

Food for Progress Act of 1985.

**OBJECTIVES:**

Agriculture commodities are provided to developing countries and emerging democracies committed to introducing and expanding free enterprise in the agricultural sector.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

The following restrictions on commodity use and distribution apply: (a) The Cooperating Sponsor may use the commodities provided only in accordance with the terms of the Program Agreement. (b) Commodities shall not be distributed within the importing country on the basis of political affiliation, geographic location, or the ethnic, tribal or religious identity or affiliations of the potential consumers or recipients. (c) Commodities shall not be distributed, handled or allocated by military forces without specific CCC authorization. (d) In the event that its participation in the program terminates, the non-government cooperating sponsor will safeguard any undistributed commodities and sales proceeds and dispose of such commodities and proceeds as directed by CCC.

**Applicant Eligibility:**

A Cooperating Sponsor may be either: (a) A foreign government; (b) An entity registered with the Agency for International Development (AID) in accordance with AID regulations; or (c) An entity that demonstrates to CCC's satisfaction: (1) Organizational experience and resources available to implement and manage the type of program proposed, i.e., targeted food assistance or sale of commodities for economic development activities; (2) Experience working in the targeted country; and (3) Experience and knowledge on the part of personnel who will be responsible for implementing and managing the program. CCC may require that an entity submit a financial statement demonstrating that it has the financial means to implement an effective donation program.

**Beneficiary Eligibility:**

A Cooperating Sponsor may be either: (a) A foreign government; (b) An entity registered with the Agency for International Development (AID) in accordance with AID regulations; or (c) An entity that demonstrates to CCC's satisfaction: (1) Organizational experience and resources available to implement and manage the type of program proposed, i.e., targeted food assistance or sale of commodities for economic development activities; (2) Experience working in the targeted country; and (3) Experience and knowledge on the part of personnel who will be responsible for implementing and managing the program. CCC may require that an entity submit a financial statement demonstrating that it has the financial means to implement an effective donation program.

**Credentials/Documentation:**

Organization's Capabilities to Implement the Program. The organization may provide concise information about its past food aid or development activities, its experience within the country where the program is proposed and any other relevant information to demonstrate its capability to implement the program in the country. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each year FAS announces on its web site <http://www.fas.usda.gov/> the invitation period for the Food for Progress program. Organizations apply for program funds by submitting a Plan of Operation required by 7 CFR 1499.5. Organizations may also submit supplemental information that summarizes the need for the program in the country and organizational capabilities to implement the program.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements normally include assistance or program implementation periods of 1-3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

See above. No cash reports are required. See above. See above. See above.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. 7 CFR 1499.17.

**Records:**

The Cooperating sponsor shall maintain records for a period of three (3) years from the date of export of the commodities that accurately reflect the receipt and use of the commodities and any proceeds realized from the sale of commodities.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$162,000,000; FY 12 est \$170,000,000; and FY 13 est \$170,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1499.

**Regional or Local Office:**

None.

**Headquarters Office:**

FAS/OCBD/Food Assistance Division 1400 Independence Ave., SW, Washington, District of Columbia 20250 Phone: 2027204221

**Website Address:**

[HTTP://WWW.FAS.USDA.GOV/](http://WWW.FAS.USDA.GOV/).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Organizational capacity; Substance of activities; Appropriateness of commodities and countries; Quality of proposals Clear, concise and complete Developed ideas Resource ratio Efficiency Beneficiary targeting proposal evaluation criteria.

**10.608 FOOD FOR EDUCATION**

(FFE)

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002.

**OBJECTIVES:**

The key objectives of the FFE program are to reduce hunger and improve literacy and primary education, especially for girls. By providing school meals, teacher training, and related support, FFE projects will help boost school enrollment and academic performance. At the same time, nutrition programs will be offered for pregnant women, nursing mothers, infants, and pre-school youngsters to sustain and improve the health and learning capacity of children before they enter school.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

The activities under the program must be in accordance with the terms of the program.

**Applicant Eligibility:**

A Cooperating Sponsor may be either: (a) A foreign government; (b) An entity registered with the Agency for International Development (AID) in accordance with AID regulations; or (c) An entity that demonstrates to CCC's satisfaction: (1) Organizational experience and resources available to implement and manage the type of program proposed, (2) Experience working in the targeted country; and (3) Experience and knowledge on the part of personnel who will be responsible for implementing and managing the program. CCC may require that an entity submit a financial statement demonstrating that it has the financial means to implement an effective donation program. 7CFR 1599.3.

**Beneficiary Eligibility:**

The FFE program will focus on developing countries. The national government of the recipient country is fully committed to achieving the goals of the World Declaration on Education for All and should be taking steps to raise nutritional standards and improve the quality and availability of education.

**Credentials/Documentation:**

The program introduction shall include information about the organization's past food aid activities with particular emphasis on school feeding, maternal child health or other relevant development activities, its experience with the country where the program is proposed, and any other relevant information to demonstrate its capability to implement the program in the country, with particular emphasis on the organizations ability to identify and assess the needs of beneficiaries, especially malnourished or undernourished mothers and children who are 5 years of age or younger, and school-age children who are malnourished, undernourished, or do not regularly attend school. 7 CFR 1599.4(b)(1). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. 7 CFR 1599.4 - SF424 Program Introduction Plan of Operation Budget Proposal.

**Award Procedure:**

Application deadline is included in the announcements on the FAS website.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements normally include assistance or program implementation periods of 1-3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

See above. No cash reports are required. No progress reports are required. See above. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Non-governmental cooperating sponsors are subject of the audit requirements of OMB circular A-133 as implemented in USDA by 7 CFR Part 3052. Audits of States, Local Governments and Non-profit organizations. The cooperating sponsor is also responsible for auditing the activities of recipient agencies that receive more that \$25,000 of provided commodities or sale proceeds. 7 CFR 1599.16.

**Records:**

The Cooperating sponsor shall maintain records for a period of three (3) years from the date of export of the commodities that accurately reflect the receipt and use of the commodities and any proceeds realized from the sale of commodities. 7 CFR 1599.15(a).

**Account Identification:**

12-2903-0-0-000.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$199,000,000; FY 12 est \$184,000,000; and FY 13 est \$184,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

FAS/OCBD/Food Assistance Division 1400 independence Ave., Washington, District of Columbia 20250 Phone: 2027206887

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.609 TRADE ADJUSTMENT ASSISTANCE**

(TAA)

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

Trade Act of 1974, as amended, Trade Act of 2002, and reauthorized by the American Recovery and Reinvestment Act (ARRA) of 2009.

**OBJECTIVES:**

Under the program, the Department of Agriculture (USDA) provides technical assistance and cash benefits to eligible farmers and fishermen if increased imports contributed importantly to a production or price decline of greater than 15 percent. Technical assistance under the program provides access to a wide variety of resources from USDA's National Institute of Food and Agriculture (NIFA), their county Extension Service, and their education contractor, the

University of Minnesota Center for Farm Financial Management (CFFM), to assist producers in exploring alternative crops or improved marketing techniques for their current enterprise. The program's goal is to help producers respond proactively to import competition through training and cash benefits.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

This program makes cash payments and provides technical assistance to eligible farmers, ranchers, and fishermen competing with like or directly competitive imported products.

**Applicant Eligibility:**

The TAA review process is two-tier and consists of a petition application process and a producer application process. First, group petitions must demonstrate, using data for the most recent, full marketing year or full official marketing season, a greater than 15-percent decline in at least one of the following factors: national average price, quantity of production, value of production, or cash receipts. In addition, petitions must also demonstrate that the decline in one of the cited factors be importantly caused by an increase in imports. If a petition is certified, individual producers may apply at their local FSA field office. Producers must demonstrate they produced the agricultural commodity in the marketing year for which the petition is filed and in at least one of three preceding marketing years. Producers must also demonstrate that they experienced a decrease in the production or price of the agricultural commodity in the marketing year for which the petition is certified, compared to the most recent prior marketing year preceding that marketing year for which data is available, or demonstrate that USDAs county price for the petitioned commodity on the petition filing date is less than USDAs average county price for the past three consecutive marketing years.

**Beneficiary Eligibility:**

Producers of raw commodities who have been adversely affected by import competition and are covered by a certification of eligibility.

**Credentials/Documentation:**

When applying, producers must provide documentation that they produced the commodity during the most recent marketing year for which the petition is filed and in at least one of the three marketing years preceding that marketing year. To be eligible for cash payments, producers also must certify that they experienced a decrease in the quantity or price of the agricultural commodity in the marketing year for which the petition is certified, compared to the most recent prior marketing year preceding that marketing year for which data is available, or demonstrate that USDAs county price for the petitioned commodity on the petition filing date is less than USDAs average county price for the past three consecutive marketing years. If eligible, a producer may receive no more than \$12,000 during the 36-month period following the certification of a group petition. Producers may receive no more than \$65,000 in combined counter-cyclical and TAA payments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A group of producers or an association representing a group of producers must first file a petition with USDA's FAS to establish eligibility for assistance. Petitions may be filed by a group of three or more producers or an authorized representative. If a petition is certified, individual producers must file an application at their local FSA field office. Producers who are approved are eligible to receive, at no cost, trade adjustment technical assistance from the CFFM and cash benefits.

TAA petition and application forms may be found on the Internet at <http://www.fas.usda.gov/itp/taa/taforms.asp>. Forms may also be obtained from a USDA Farm Service Agency county office, or requested by phone at (202) 690-0633, or by writing to USDA, Foreign Agricultural Service, Trade Adjustment Assistance, STOP 1021, 1400 Independence Avenue, SW,

Washington, DC 20250-1021.

The TAA regulation defines articles like or directly competitive as products falling generally under the same number in the Harmonized Tariff Schedule of the United States (HTS). Links to the HTS and a U.S. trade database can be found at <http://www.fas.usda.gov/itp/us-tariff-sch.asp>. When preparing petitions, producers are encouraged to seek advice from the Trade Adjustment Assistance Office regarding how best to identify their commodity by HTS number.

The CFFM will provide information regarding the feasibility of substituting one or more alternative commodities and improve the competitiveness of the production and marketing of the adversely affected commodity.

**Award Procedure:**

FAS determined the eligibility of producers of raw commodities who have been adversely affected by import competition based on all information and supporting documentation provided. The CFFM will make available to all producers who apply for TAA free technical assistance within 180 days of the petition certification date. The CFFM will contact applicants with the times and dates of scheduled training sessions or online classes. Once an applicant has met all program requirements, they will receive a cash benefit of up to \$4,000 based upon the completion of an Initial Business Plan, and an additional \$8,000 based upon the completion of a Final Business Plan. The Farm Service Agency will make a direct deposit payment to the eligible applicant's checking account. The maximum cash benefit is \$12,000 over a 36-month period. Applicants may receive less if total applications exceed TAA funding levels.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Petition filing to establish eligibility, on the average, will take 40 days from the date that the petition is accepted and published in the Federal Register. The CFFM will make available to all producers who apply for TAA free technical assistance within 180 days of the petition certification date.

**Appeals:**

Any person may obtain reconsideration and review of determinations made with respect to applications for program benefits by filing an administrative appeal with USDAs Foreign Agricultural Service within 30 days of FAS's denial and, if upheld, within 60 days to the U.S. Court of International Trade.

**Renewals:**

TAA may be available in subsequent years if imports keep increasing, producer prices remain below the 85-percent threshold, and if legislative approval is granted.

**Formula and Matching Requirements:**

Statutory Formula: An eligible applicant will receive a monetary cash benefit of up to \$4,000 based upon the completion of an Initial Business Plan and up to an additional \$8,000 based upon the completion of a Long-Term Business Plan. Payment limitations exist for applicants who have received \$65,000 in counter cyclical payments. Monetary cash benefits may be less than \$12,000 if total TAA payments exceed available funds. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payment is made by direct deposit after determining applicant eligibility, unless otherwise arranged. See the following for information on how assistance is awarded/released: Two separate cash payments are provided to applicants who complete the training requirements.

**Reports:**

Not later than January 30, 2010, and annually thereafter, the Secretary of Agriculture shall submit to the Committee on Finance of the Senate and the Committee on Ways and Means of the House of Representatives a report containing the following information with respect to adjustment assistance provided under this chapter during the preceding fiscal year:

- (1) A list of the agricultural commodities covered by a certification.
- (2) The States or regions in which such commodities are produced and the



aggregate amount of such commodities produced in each such State or region.

(3) The total number of agricultural commodity producers, by congressional district, receiving benefits.

(4) The total number of agricultural commodity producers, by congressional district, receiving technical assistance. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. At all times during regular business hours, authorized representatives of FSA, the United States Department of Agriculture, or the Comptroller General of the United States shall have access to the premises of the producer in order to inspect, examine, and make copies of the books, records, and accounts, and other written data as specified. Audits of certifications of average adjusted gross income may be conducted as necessary to determine compliance with established requirements. As a part of this audit, income tax forms may be requested and if requested, must be supplied. If a producer has submitted information to FSA, including a certification from a certified public accountant or attorney, that relied upon information from a form previously filed with the Internal Revenue Service, such producer shall provide FSA a copy of any amended form filed with the Internal Revenue Service with 30 days of the filing.

**Records:**

Persons making application for benefits under this program must maintain accurate records and accounts that will document that they meet all eligibility requirements specified herein, as may be requested by FSA. Such records and accounts must be retained for 2 years after the date of the final payment to the producer under this program.

**Account Identification:**

12-4336-0-4-350.

**Obligations:**

(Salaries) FY 11 \$22,500,000; FY 12 est \$0; and FY 13 est \$0 - (Funds transferred from FAS to FSA for cash payments) FY 09 \$0; FY 10 \$61.5 million; and FY 11 \$19.6 million.

**Range and Average of Financial Assistance:**

The maximum cash benefit is up to \$12,000 per year. In some years, producers may receive less if producer demands for TAA exceed funding levels.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Under the FY 2010 program, FAS certified petitions filed by U.S. asparagus and catfish producers, both nationwide, and by U.S. shrimp producers in the Gulf and South Atlantic regions. As a result, 4,531 producers were approved for training and cash benefits. Under the FY 2011 program, FAS certified petitions filed by blueberry producers in Maine, lobster producers in the Northeast region, and shrimp producers in Alaska and the Gulf and South Atlantic regions. As a result, 5,713 producers were approved for training and cash benefits. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program is announced through news media and in letters to agricultural producers in the counties. Regulations published in the Federal Register, 7 CFR Part 1580.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local phone directory for location of the nearest county FSA office. If no listing, contact the appropriate State FSA office listed in the Farm Service Agency section of Appendix IV of the Catalog or on the WEB at <http://www.fsa.usda.gov>.

**Headquarters Office:**

John Rice 1400 Independence Avenue, SW, Rm. 5531-S, Washington, District of Columbia 20250 Email: [John.Rice@fas.usda.gov](mailto:John.Rice@fas.usda.gov) Phone: 2026900633

**Website Address:**

<http://www.fas.usda.gov/itp/taa/taa.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All producers of an eligible commodity identified by HTS number who have recently suffered from a decrease in production or price due to increasing imports and who meet all eligibility requirements may receive assistance. Applications are non-competitive.

**10.610 EXPORT GUARANTEE PROGRAM**

The GSM-102 Program

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

OMB 7 CFR 1493, Part A; Agricultural Trade Act of 1978.

**OBJECTIVES:**

The U.S. Department of Agriculture's (USDA) Export Credit guarantee Program (GSM-102) provides credit guarantees to encourage financing of commercial exports of U.S. agricultural products, while providing competitive credit terms to buyers. By reducing financial risk to lenders, credit guarantees encourage exports to buyers in countries-mainly developing countries- that have sufficient financial strength to have foreign exchange available for scheduled payments. The program guarantee credit extended by the private banking sector in the U.S. (or, less commonly, by the U.S. exporter) to approved foreign banks using dollar-denominated, irrevocable letters of credit for purchases of U.S. food and agricultural products by foreign buyers. USDA's Foreign Agricultural Service (FAS) administers the program on behalf of the Commodity Credit Corporation (CCC), which issues the credit guarantees. GSM 102 covers credit terms of up to three year; maximum terms may vary by country.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

CCC guarantees payments due from approved foreign banks to exporters or financial institutions in the U.S. However, the financing must be obtained through normal commercial sources. Typically, 98 percent of principals and a portion of interest are covered by a guarantee. Because payment is guaranteed, financial institutions in the U.S. can offer competitive credit terms to the foreign banks, usually with interest rates based on the London Inter Bank Offered Rate (LIBOR). Any follow-up on credit arrangements between the foreign bank and the importer are negotiated separately and are not covered by the CCC guarantee.

**Applicant Eligibility:**

Export Credit guarantee Program (GSM-102) provides credit guarantees to encourage financing of commercial exports of U.S. agricultural products, while providing competitive credit terms to buyers. By reducing financial risk to lenders, credit guarantees encourage exports to buyers in countries-mainly developing countries- that have sufficient financial strength to have foreign exchange available for scheduled payments. This Program provides guarantees to lenders.

**Beneficiary Eligibility:**

Exporters or the exporters assignee are the direct beneficiaries and must meet the applicant eligibility requirements. Interested parties, including U.S. exporters, foreign buyers, banks, may request that the CCC establish a GSM-102 program for a country or region. Prior to announcing the availability of guarantees, the CCC evaluates the ability of each country and foreign bank to service CCC guaranteed debt.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. CCC must qualify exporters for participation before accepting guarantee applications. An exporter must have a business office in the U.S. and must not be debarred or suspended from any U.S. government program. Financial institutions must meet established criteria and be approved by CCC. CCC sets limits and advises each approved foreign bank on the maximum amount CCC will guarantee for that bank. The

**Award Procedure:**

The CCC-approved foreign bank issues a dollar-denominated, irrevocable letter of credit in favor of the U.S. exporter, ordinarily advised or confirmed by the financial institution in the U.S. agreeing to extend credit to the foreign bank. The U.S. exporter may negotiate an arrangement to be paid as exports occur by assigning to the U.S. financial institution to the right to process that may become payable under the CCC's guarantee. Under this arrangement, the exporter would also provide transaction-related documents required by the financial institution, including a copy of the export report, which must also be submitted to CCC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Please contact the headquarters or regional office for addition approval information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7, Chapter 14, Part 1493. CCC will review documents submitted under a claim. If all information and documents are in good order and meet the requirements of the regulations, CCC will pay to the exporter (or the exporter's assignee) the lesser of 1) the guarantee value stated in the payment guarantee, plus eligible interest; 2) the guaranteed percentage, indicated in the payment guarantee, of the exported value as indicated in the Evidence of Export, plus eligible interest.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The payment guarantee applies to a credit period established in the application, and coverage begins either on the date(s) of export or the date when interest begins to accrue, whichever is earlier. Coverage will continue during the credit term specified in the payment guarantee. However, the payment guarantee does not become effective until the date of export. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients under this program are subject to audit by the Office of the Regional Inspector General, U.S. Department of Agriculture.

**Records:**

For CCC audit purposes, the U.S. exporter must obtain documentation to show that the commodity arrived in the eligible country, and the exporter or the exporter's assignee must maintain all transaction documents for five years from the date of completion of all payments.

**Account Identification:**

12-1336-0-1-351.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$132,000,000; FY 12 est \$76,000,000; and FY 13 est \$7,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Announcements issued by the Foreign Agricultural Service provide information on specific country and commodity allocations, length of credit period, and other program information and requirements.

**Regional or Local Office:**

See Regional Agency Offices. For more information, contact: Director, Credit Programs Division, Office of Trade programs FAS/USDA, Stop 1025, 1400 Independence Ave SW Washington DC 20250-1025.

**Headquarters Office:**

Operations Division 1400 Independence Ave SW Washington DC 20250-1025 Stop 1025, Washington, District of Columbia 20250 Phone: (202) 720-2949 Fax: (202) 720-6211

**Website Address:**

<http://www.fsa.usda.gov/excredits/ecgp.asp> program information  
<http://www.fas.usda.gov/excredit/exp-cred-guar.asp> FAS announcements of GSM-102 allocations

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.612 USDA LOCAL AND REGIONAL FOOD AID PROCUREMENT PILOT PROJECT**

USDA LRP Project

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Public Law 110-234, III U.S.C 3206.

**OBJECTIVES:**

The purpose of the USDA LRP Project is to examine the timeliness, cost and market impact of using local and regional procurement as a tool to respond to food crises and disasters in developing countries around the world.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Resources may only be used in accordance with the terms and conditions specified in the Interim Guidelines for the Local and Regional Food Aid Procurement Pilot Project.

**Applicant Eligibility:**

Private Voluntary Organizations (PVOs), Intergovernmental Organizations (IGOs), and Cooperatives are eligible to participate in the USDA LRP Project.

Priority consideration will be given to proposals from U.S.-based organizations.

**Beneficiary Eligibility:**

Only food-insecure populations in developing countries are eligible for assistance under the USDA LRP Project.

**Credentials/Documentation:**

Eligible organizations must submit an application for qualification. The

application for qualification must be approved by USDA before an organization is eligible to submit proposals for funding.

Applications for qualification must include a description of the following: (1) Experience implementing and managing food assistance programs, and the capability and the personnel to develop, implement, monitor, report on, and be accountable for field-based projects; (2) Experience working in food-insecure developing countries that are or have been affected by food crises or disasters; (3) An adequate financial framework to implement field-based projects under the USDA LRP Project; and (4) A person or agent located in the United States with respect to which service of judicial process may be obtained by FAS on behalf of the organization. Additional project-specific qualification criteria can be found in the Interim Guidelines for the Local and Regional Food Aid Procurement Pilot Project. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Application and project implementation deadlines are included in the announcements on the FAS website.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is available for emergency and non-emergency food assistance projects in developing countries from Fiscal Years 2009-2011.

All food aid procurements and distributions must be completed by September 30, 2011. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program participants must submit to FAS, not later than September 30, 2011, the following information regarding each field-based project implemented under the USDA LRP Project, in a format agreed upon by FAS:

(1) With respect to each relevant market in which an eligible commodity was purchased under this section, a description of the prevailing and historic supply, demand, and price movements of the market, including:

- (i) The extent of competition for procurement bids;
- (ii) The import parity price of the each of the eligible commodities in the purchase country and in the recipient country at the time of purchase; and
- (iii) For direct distribution programs, the market price of the eligible commodities in the purchase country one week prior to purchase, on the day of purchase and one week after purchase; or for cash or voucher programs, the market price of the eligible commodities in the purchase country one week prior to distribution of the cash or vouchers, on the day of each cash or voucher distribution and one week after all cash or voucher distributions have been completed;

(2) A description of the means by which each of the eligible commodities was purchased (i.e. competitive tender, direct contract, spot purchase, etc.);

(3) The impact of the procurement of the eligible commodity on producer and consumer prices in the market;

(4) Each government market interference or other activity of the donor country or the purchase country that might have significantly affected the supply or demand of the eligible commodity in the area at which the local or regional procurement occurred;

(5) The types and quantities of each eligible commodity purchased with USDA LRP Project funds, including:

- (i) The purchase country, and the area within the purchase country, in which each eligible commodity was purchased;
- (ii) The recipient country, and the area within the recipient country, in which each eligible commodity was distributed; and
- (iii) The country of origin of each of the eligible agricultural commodities;

(6) The timeframe for procurement of each eligible commodity, including the following information:

- (i) The date on which the eligible commodities were purchased (i.e. the date on which the contract(s) with the commodity vendor(s) was signed);
- (ii) In the case of both local and regional procurements, the date on which title to the eligible commodities transferred to the Participant;
- (iii) In the case of regional procurements requiring ocean freight transportation, the vessel flag of registry, the date on which the vessel arrived at the loadport, and the date on which the eligible commodities were delivered to the discharge port;
- (iv) If the eligible commodities were shipped on a thru bill of lading, the date on which they were delivered to the inland destination point(s) in the recipient country;
- (v) In the case of both local and regional procurements, the date on which the eligible commodities were delivered to the final distribution point(s) in the recipient country; and
- (vi) The total cost of the procurement of each eligible commodity (including commodity, processing, packaging, transportation, storage, handling, inspection, and administrative costs);

(7) An assessment regarding:

- (i) Whether the objectives of the food security intervention were accomplished;
- (ii) The effectiveness of the procurement methodology used;
- (iii) The impact of the procurement methodology on local and regional agricultural producers (including large and small agricultural producers), markets, low-income consumers, and targeted beneficiaries; and
- (iv) The nutritional value, quality and safety of the food received by the targeted beneficiaries;

(8) The length of the period beginning on the date of the signing of the agreement and ending on the date of delivery of eligible commodities to the targeted beneficiaries; and

(9) The total number and type(s) of beneficiaries served over the life of the field-based project.

(10) Any other information required by FAS under an agreement. Program participants must submit quarterly financial reports for all funds advanced and all interest earned. Program participants are required to submit quarterly procurement and distribution status reports. Detailed expenditure reports may be requested by FAS. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Program participants shall retain records and permit access to records in

accordance with the requirements of 7 CFR 3019.53.

**Account Identification:**

12-4336-0-3-999.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$23,000,000; FY 12 est \$5,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

FAS/OCBD 1400 Independence Ave., SW, Washington, District of Columbia  
20250 Phone: 2027206887

**Website Address:**

<http://www.fas.usda.gov/excredits/FoodAid/LRP/LRP.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.613 FACULTY EXCHANGE PROGRAM**

Faculty Exchange Program

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Act of 1977, as amended, 7 U.S.C. 3318(b), 3319(a), and 3291, Food Security Act of 1985, as amended, Public Law 99-198.

**OBJECTIVES:**

The Faculty Exchange Program assists developing countries to improve their university agricultural education, research and extension programs by providing a one semester training program at U.S. Land Grant Agricultural Universities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

No funding is available for unsolicited proposal. Faculty Exchange Program funds are used to provide participant training at Land Grant Universities in the U.S.

**Applicant Eligibility:**

The Faculty Exchange Program solicits proposals for U.S. Land Grant Universities.

**Beneficiary Eligibility:**

Technical assistance and training provided through these agreements benefit foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circulars A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Nonprofit Organizations. This program is excluded from coverage under OMB circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All proposals are evaluated by technical specialists on an ongoing basis, which rate the qualifications of applicants and merits of the proposals. Selection criteria will be published with each individual request for application to participate in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. Agreements are entered into with selected institutions for a maximum period of 5 years. See the following for information on how assistance is awarded/released: Through reimbursable agreements.

**Reports:**

Mentor reports and participant reports are required. SF-425, Federal Financial Report, are required quarterly. Mentor reports and participant reports are required. SF-425, Federal Financial Report, are required quarterly. Mentor reports and participant reports are required.

**Audits:**

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

**Records:**

Typically, a recipient must maintain all program and financial records for a period of 3 years subject to conditions found in 7 C.F.R. 3015.21 and 7 C.F.R. 3015.22.

**Account Identification:**

12-2900-0-1-352.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$99,968; FY 12 est \$100,000; and FY 13 est \$100,000 - A portion of the total for FY 2010 was from previous FY carryover funds.

**Range and Average of Financial Assistance:**

Approximately \$40,000-45,000 per participant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 9. Fiscal Year 2012: Approximately 10 participants will be trained in FY 2012. Fiscal Year 2013: Approximately 10 participants will be trained in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 U.S.C. 3291 are subject to various legal requirements that are codified in the USC, parts of the CFR, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources. These transactions are subject to many specific legal

- requirements, when applicable, including, but not limited to, the following:
- (a) 7 C.F.R. part 3015, Uniform Federal Assistance Regulations;
  - (b) 7 C.F.R. part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;
  - (c) 7 C.F.R. 3022, Research Institutions Conducting USDA-Funded Extramural Research, Research Misconduct;
  - (c) 2 C.F.R. part 25 Universal Identifier and Central Contractor Registration;
  - (d) 2 C.F.R. part 170, Reporting Subaward and Executive Compensation Information;
  - (e) 2 C.F.R. part 175, Award Term for Trafficking in Persons;
  - (f) 2 C.F.R. part 180 and part 417, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) and (USDA) Nonprocurement Debarment and Suspension;
  - (g) 2 C.F.R. part 182, Governmentwide Requirements for Drug-Free Workplace (Financial Assistance);
  - (h) 2 C.F.R. part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations;
  - (i) 2 C.F.R. part 220, Cost Principles for Educational Institutions (OMB Circular A-21);
  - (j) 2 C.F.R. part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87);
  - (k) 2 C.F.R. part 230, Cost Principles for Nonprofit Organizations;
  - (l) Federal Acquisition Regulations 31.2 (for profit cost principles);
  - (m) Executive Order 13224, as amended, Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism;
  - (n) OMB Circular A-133, as codified in 7 C.F.R. part 3052, Audits of States, Local Governments, and Nonprofit Organizations;
  - (o) 7 C.F.R. part 3015.175(b), Copyrights;
  - (p) 41 U.S.C. parts 351-358, the McNamara-O'Hara Service Contract Act of 1965;
  - (q) 37 C.F.R. part 401.1, Bayh-Dole Act (Inventions);
  - (r) 15 U.S.C. 205a et seq., The Metric Conversion Act, as Amended by the Omnibus Trade and Competitiveness Act;
  - (s) 42 U.S.C. 6962, Resource Conservation and Recovery Act (RCRA);
  - (t) 49 U.S.C. 40118 et seq., Fly America Act;
  - (u) 8 USC 1324a, Immigration and Nationality Act;
  - (v) 5 U.S.C. 552, Freedom of Information Act and 7 C.F.R. part 3011, Availability of Information to the Public;
  - (w) Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving;
  - (x) 41 U.S.C. 22, Interest of Members of Congress; and
  - (y) 40 U.S.C. 3141-3148, The DavisBacon Act.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Edward J. Gerard 1400 Independence Ave, SW, Washington, District of Columbia 20250 Email: edward.gerard@fas.usda.gov Phone: 2026901983

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship; 10.962 Cochran Fellowship Program-International Training-Foreign Participant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 9 participants from 2 countries trained in FY 2011 in a program lasting 4 months. Fiscal Year 2012: It is anticipated that 10 participants will be trained in FY 2012. Fiscal Year 2013: 10 participants from 2 countries will be trained in FY 2013 in a program lasting 4 months.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development program area (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD/TSED/FEP for additional information. While this program does

not fund unsolicited proposal, interested parties are welcome to submit statements of capability and expressions of interest.

**10.614 SCIENTIFIC COOPERATION EXCHANGE PROGRAM WITH CHINA**

SCEP

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977 enacted as Title XIV of the Food and Agriculture Act of 1977, 7 U.S.C. 3318(b), 7 U.S.C. 3319(a), and 7 U.S.C. 3291. Title 7, Agriculture, Chapter 64, Agricultural Research, Extension, and Teaching, Subchapter VIII, International Research, Extension, and Teaching, as amended on February 1, 2010.

**OBJECTIVES:**

To facilitate mutual cooperation in agricultural research, education, and extension between the United States and China.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for direct costs of conducting approved agricultural exchanges. Allowable expenses include travel for research, extension, training, and indirect costs associated with hosting Chinese exchange teams.

**Applicant Eligibility:**

U.S. Institutions of higher learning, and public and private nonprofit organizations whose primary purpose is agriculture, natural resources management and/or rural development (including those located in U.S. territories).

**Beneficiary Eligibility:**

U.S. institutions from the public, private, and academia sectors.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circulars A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Nonprofit Organizations. This program is excluded from coverage under OMB circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Program guidelines with detailed application procedures are available on the internet through the USDA Foreign Agricultural Service website at : <https://www.fas.usda.gov/icd/grants/scep.htm> or through Grants.gov, a government wide internet portal for federal funding. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All proposals are evaluated by technical specialists on an ongoing basis, which rate the qualifications of applicants and merits of the proposals. Selection criteria will be published with each individual request for expression of interest to participate in the program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Extensions may be authorized, but the agreement may not exceed five years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Short term exchange visits for approximately two weeks. See the following for information on how assistance is awarded/released: Assistance is phased according to the requirements of individual projects. Agreements are entered into with selected institutions for a maximum period of five years.

**Reports:**

Participants must submit final report. The SF-425, Federal Financial Report, are required quarterly. No progress reports are required. The SF-425, Federal Financial Report, are required quarterly. Participants must include a monitoring and evaluation component in the proposal. Monitoring and evaluation varies per project.

**Audits:**

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

**Records:**

Typically, a recipient must maintain all program and financial records for a period of 3 years subject to conditions found in 7CFR 3015.21 and 7CFR3015.22.

**Account Identification:**

12-2900-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$317,127; FY 12 est \$300,000; and FY 13 est \$300,000

**Range and Average of Financial Assistance:**

Exchange visits last approximately two weeks. Average cost of each project is \$5,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 8 exchange teams from China and 11 agreements with U.S. training providers. Fiscal Year 2012: The Scientific Cooperation Exchange Program with China is expected to host 8 exchange teams from China and issue 11 agreements with U.S. training providers. Fiscal Year 2013: The Scientific Cooperation Exchange Program with China is expected to host 8 exchange teams from China and issue 11 agreements with U.S. training providers.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 USC 3291 are subject to various legal requirements that are codified in the U.S. C., parts of the CFR, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources. These transactions are subject to many specific legal requirements, when applicable, including but not limited to the following:

- (a) 7 CFR part 3015, Uniform Federal Assistance Regulations;
- (b) 7 CFR part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local Governments;
- (c) 7 CFR 3022, Research Institutions Conducting USDA-funded Extramural Research; Research Misconduct;
- (c) 2 CFR part 25 Universal Identifier and Central Contractor Registration;
- (d) 2 CFR part 170, Reporting Subaward and Executive Compensation Information;
- (e) 2 CFR part 175, Award Term for Trafficking in Persons;
- (f) 2 CFR part 180 and part 417, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) and (USDA) Nonprocurement Debarment and Suspension;
- (g) 2 CFR part 182, Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).
- (h) 2 CFR part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations;

- (i) 2 CFR part 220, Cost Principles for Educational Institutions (OMB Circular A-21);
- (j) 2 CFR part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87);
- (k) 2 CFR part 230, Cost Principles for Non-profit Organizations;
- (l) Federal Acquisition Regulations 31.2 (for profit cost principles);
- (m) Executive Order 13224, as amended, Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism;
- (n) OMB Circular A-133, as codified in 7 CFR part 3052, Audits of States, Local Governments, and Nonprofit Organizations;
- (o) 7 CFR part 3015.175(b), Copyrights;
- (p) 41 U.S.C. 351 358, the McNamara-O'Hara Service Contract Act of 1965
- (q) 37 CFR part 401.1, Bayh-Dole Act (inventions);
- (r) 15 U.S.C. 205a et seq., The Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act;
- (s) 42 U.S.C. 6962, Resource Conservation and Recovery Act (RCRA);
- (t) 49 U.S.C. 40118 et seq., Fly America Act;
- (u) 8 USC 1324a, Immigration and Nationality Act;
- (v) 5 U.S.C. 552, Freedom of Information Act and 7 CFR 3011, Availability of Information to the Public;
- (w) Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving;
- (x) 41 U.S.C. 22, Interest of Members of Congress;
- (y) 40 U.S.C. 3141-3148, the DavisBacon Act.

**Regional or Local Office:**

None.

**Headquarters Office:**

Khaliaka Meardry USDA/FAS/OCBD/TSED, 1400 Independence Ave. SW, Room 3224-S, Washington, District of Columbia 20250 Email: Khaliaka.Meardry@fas.usda.gov Phone: (202) 690-1866.

**Website Address:**

<http://www.fas.usda.gov/icd.grants/scep.htm>

**RELATED PROGRAMS:**

10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship; 10.961 Scientific Cooperation and Research; 10.962 Cochran Fellowship Program-International Training-Foreign Participant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Projects have not yet occurred. Fiscal Year 2013: The Scientific Cooperation Exchange Program with China is expected to host 8 exchange teams from China and issue 11 agreements with U.S. training providers.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development program area (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD/TSED/SEB/SCEP for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of interest.

**10.652 FORESTRY RESEARCH**

(Research Grants & Agreements)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Forest and Rangeland Renewable Resources Research Act of 1978, Public Law 95-307, 92 Stat. 353, 16 U.S.C. 1643.

**OBJECTIVES:**

To extend fundamental research activities of the Forest Service by awarding grants to nonprofit organizations, institutions of higher education, and organizations engaged in renewable resources research.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Grants and Cooperative Agreements will be used for research in the fields of forest management, watershed management, forest range management, wildlife habitat management, forest recreation, forest fire protection, forest insect and disease protection and control, forest products utilization, forest engineering, forest production economics, forest products marketing, forest survey, urban forestry, wilderness, and social/cultural influences. Indirect expenses, when permitted by statute, will be reimbursed according to the negotiated indirect cost rate established by the Government's cognizant audit agency. Grants and Cooperative Agreements are limited to 5 years duration.

**Applicant Eligibility:**

Grants and Cooperative Agreements for basic or applied research may be made to State Agricultural Experiment Stations, universities and colleges, State and local governments, U.S. Territories, nonprofit research institutions or organizations, international organizations, individuals, and for-profit organizations.

**Beneficiary Eligibility:**

Organizations and scientists involved in basic and applied research activities related to forest and rangeland renewable resources.

**Credentials/Documentation:**

The principal investigator must document competence in the field of the research proposed. Costs will be determined in accordance with OMB Circular No. A-87, A-21, or A-122, Cost Principles for State and Local Governments, Cost Principles for Educational Institutions, or Cost Principles for Nonprofit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A complete research proposal must be submitted following guidelines available in each of the offices referred to below. The proposal must explain in detail the work to be undertaken, the qualifications of key personnel involved in the work, other resources such as equipment, facilities, and services available or needed, and a proposed budget for each fiscal year during the life of the proposed grant. A short biographical sketch of the principal investigator and a list of his or her principal publications should be included. This program is subject to the provisions of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations, 2 CFR 215.

**Award Procedure:**

All research grant and cooperative agreement proposals must compete for priority, showing technical competence and demonstrating the ability to meet national or regional needs. Research grants cooperative agreements are made only in support of forestry research. Unsolicited proposals can be awarded for innovative or unique approaches to the proposed project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Contact the Research Station for guidance.

**Renewals:**

Requests for continued support will be considered as equal in importance and in competition with pending proposals. Applications submitted for continued support should be identical to a new proposal, except that a resume of progress to date must be added.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** The applicant's contribution is negotiated for Grants. The proposed budget by fiscal year shows the estimated cost of the complete project from grant funds and value of resources to be contributed by the applicant. Salaries of academic personnel for periods when they receive salary for teaching should not be included for payment from grant funds. The minimum matching contribution for Cooperative Agreements must constitute at least 20-percent of the estimated total cost of the project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One to 5 years. Billings for expenses incurred may be submitted monthly, quarterly, or semi-annually. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Technical reports of progress are required semiannually; a technical final report is also required upon completion of project. Fiscal reports are required at least semiannually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Comptroller General of the United States, his representative, or auditors of the cognizant audit agency for the educational institution involved shall have access at any reasonable time to the laboratories, offices, or other facilities of the recipient for purposes of review and observation of the status and progress of the sponsored project. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of grants and other agreements. OMB Circular No. A-133, Audits of States, Local Governments and Non-profit Organizations, is applicable.

**Records:**

All related data, information, records, and accounts shall be retained for 3 years beyond the expiration date of the grant unless other disposition is specified in writing by the awarding agency.

**Account Identification:**

12-1104-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$11,451,874; FY 12 est \$10,628,022; and FY 13 est \$11,021,547 - Both Grants and Cooperative Agreements are included in the past fiscal year number and in estimates.

**Range and Average of Financial Assistance:**

\$2,000 to \$300,000. Average: \$35,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-102 and A-87, as implemented by 2 CFR 225, are applicable to State and local government grantees. OMB Circular Nos. A-110 and A-21, as implemented by 2 CFR 215 and 2 CFR 220, are applicable to educational institutions. OMB Circular Numbers A-110 and A-122, as implemented by 2 CFR 215 and 2 CFR 230, are applicable to nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. FPL - Director Ted Wegner  
787-766-5335  
IITF - Director Ariel Lugo 608-231-9318  
RMRS - Director George Foster 970-498-1353  
NRS - Director Michael Rains 610-557-4162  
PNW - Director Bov Eav 503-808-2101  
PSW - Director Alexander Friend 510-559-6310  
SRS - Director Robert Doudrick 828-257-4300

Washington Office Budget Coordinator- Paul Johnson- (202) 205-0833  
Washington Office Grants & Agreements Contact- Duane Williams- (202)  
205-1182.

**Headquarters Office:**

Jimmy L. Reaves, 201 14th St. SW, 1NW, Washington, District of Columbia  
20024 Phone: 202-205-1665

**Website Address:**

<http://www.fs.fed.us/links/research.html>

**RELATED PROGRAMS:**

10.001 Agricultural Research\_Basic and Applied Research; 10.200 Grants for  
Agricultural Research, Special Research Grants; 10.202 Cooperative Forestry  
Research; 10.203 Payments to Agricultural Experiment Stations Under the  
Hatch Act; 10.500 Cooperative Extension Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of executed grants are: The development of a  
multidisciplinary workshop directed at evaluating the research needs,  
opportunities, and benefits of separating, synthesizing, and engineering  
nanostructures from wood biopolymers into advanced materials; The effect of  
prescribed fire on nutrient cycle in ponderosa pine forests; The design and test  
of a proposed experimental system for continuous press drying of paper and  
biological decay of logging residues; & The collaborative long term effort  
focused on workforce development through Graduate Education. Fiscal Year  
2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established on a program-by-program basis by Research Station  
Directors to meet Regional or National Research needs.

**10.664 COOPERATIVE FORESTRY ASSISTANCE**

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, Public Law 95-313, as amended;  
Food, Agriculture, Conservation, and Trade Act of 1990, as amended, Public  
Law 101-624.

**OBJECTIVES:**

With respect to nonfederal forest and other rural lands to assist in the  
advancement of forest resources management; the encouragement of the  
production of timber; the control of insects and diseases affecting trees and  
forests; the control of rural fires; the efficient utilization of wood and wood  
residues, including the recycling of wood fiber; the improvement and  
maintenance of fish and wildlife habitat; and the planning and conduct of urban  
and community forestry programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To assist State Forester or equivalent agencies in forest stewardship programs  
on private, State, local, and other nonfederal forest and rural lands. Programs  
may include production of timber and efficient processing and use of wood  
products; developing genetically improved tree seeds; producing and  
distributing tree seeds and seedlings; reforestation; timber stand improvement;  
improving wildlife habitat; assisting private woodland owners in harvesting,  
processing, and marketing activities; conversion of wood to energy; protection  
and improvement of forest soil fertility; forest insect and disease management;  
urban and community forestry; development and transfer of new and improved  
fire prevention, control, suppression and prescribed fire technologies;  
organization of shared fire suppression resources, and achievement of more  
efficient fire protection for States and local communities; provision of financial,  
technical and related assistance to local rural fire fighting forces; acquisition  
and loan of Federal excess property; organizational improvement; forestry  
resources planning; conservation of forest land; and technology transfer.

**Applicant Eligibility:**

State Forestry or equivalent State agencies, tribes, non-profits, and

municipalities are eligible. All States, the District of Columbia, Puerto Rico, the  
Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific  
Islands, and the territories and possessions of the United States are eligible.

**Beneficiary Eligibility:**

Landowners of nonfederal lands; rural community fire fighting forces; urban  
and municipal governments, non-profit organizations, tribes and other State,  
local, and private agencies acting through State Foresters, equivalent State  
officials, or other official representatives.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State  
and local governments, as implemented by 2 CFR 225. OMB Circular No. A-87  
applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is  
not required for this program. This program is eligible for coverage under E.O.  
12372, "Intergovernmental Review of Federal Programs." An applicant should  
consult the office or official designated as the single point of contact in his or  
her State for more information on the process the State requires to be followed  
in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. Contact Regional or Area Office listed at  
[www.fs.fed.us/contactus/regions.shtml](http://www.fs.fed.us/contactus/regions.shtml)

**Award Procedure:**

Established by the Regional Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

From 10 to 60 days. State single point of contact will have 30 days from  
notification of tentative allotments to comment.

**Appeals:**

Not Applicable.

**Renewals:**

Amend SF-424(A) with SF 424 application is required to amend the allotment  
amount or length of commitment, other requirements may be established by the  
Regional Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Government shall not exceed the amount expended  
by a State grantee or grantee for all programs except those covered by Section  
11 of Public Law 95-313. Section 10(b)(2), State Fire Assistance program  
funds require a 50 percent match by the grantee, unless reduced with a waiver.  
Section 10(b)(3) Volunteer Fire Assistance program funds require a 50 percent  
match by the grantee. Cost-sharing ratios for Section 11(a) Management  
Assistance and Section 11(c), Technology Implementation programs shall be  
negotiated. Section 11(b), Forest Resource Planning program funds require 20  
percent matching by the State. Amount of grant based on negotiated targets to  
be achieved.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Electronic transfers of payments are encouraged. See the following for  
information on how assistance is awarded/released: Payments made based on  
authorization and negotiation of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable.  
Performance reports are required at least annually, but not more than quarterly  
as detailed in the applicable OMB Circulars and the grant award. SF-425 must  
be submitted at least annually and no more than quarterly as detailed in the  
applicable OMB Circulars and the grant award. Performance monitoring is not  
applicable.

**Audits:**



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

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1115-0-1-302; 12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$123,507,000; FY 12 est \$201,826,000; and FY 13 est \$200,000,000 - FY2013 projection based on current agreements and request.

**Range and Average of Financial Assistance:**

\$25,000 to \$6,000,000. Average \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Not available. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual- Titles 3000, 3100, 3200, 3300, 3400, 3500, 3600, 3700, 3800, and 3900 available in all Forest Service offices, and State Forestry agency offices. OMB Circular Nos. A-102 as implemented by 7 CFR Part 3016, and A-87 as implemented by 2 CFR 225 are applicable to State and local government grantees.

**Regional or Local Office:**

See Regional Agency Offices. Refer <http://www.fs.fed.us/contactus/regions.shtml> for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service.

**Headquarters Office:**

Deputy Chief, State and Private Forestry, 1400 Independence Ave, SW, MS 1109, Washington, District of Columbia 20250 Phone: (202) 205-1657.

**Website Address:**

<http://www.fs.fed.us/spf/coop>.

**RELATED PROGRAMS:**

10.901 Resource Conservation and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Most grants are approved on the basis of negotiated targets or objectives to be achieved. However, grants to rural communities are based on regional and area criteria for meeting the needs and opportunities of the communities. UCF community grants are based on local needs and resources. A specific project focus may be developed by State Urban Forestry Councils.

**10.665 SCHOOLS AND ROADS - GRANTS TO STATES**

Payments to States

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Secure Rural Schools and Community Self Determination Act of 2000, Division C, Section 601(a), 16. U.S.C. 7101-7153; 16 U.S.C. 500.

**OBJECTIVES:**

To share receipts from the National Forests with States in which the National Forests are situated.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

For Federal fiscal years 2008 through 2011, the Secure Rural Schools Act allows counties in which national forests are situated to elect to share in the State payment (based on a formula in the Act) or to share in the state's 25-percent payment (based on the 7-year rolling average of receipts from national forests in the state). The fiscal year 2011 payment was made to states in January 2012.

The 25-percent payments to states are to be used for the benefit of public schools and public roads in the counties in which national forests are situated.

An eligible county that elects to receive a share to the State payment (based on the formula in the Act) must under some circumstances allocate a portion of that payment for title II special projects on national forests or title III county projects, or both. The portion of the Secure Rural Schools Act State payments not allocated for these purposes are to be used to benefit public schools and public roads in counties in which national forests are situated. The payments to benefit schools and roads are commonly called title I funds.

Funds allocated by counties for title II special projects are reserved in a special account in the General Treasury and may be used by the Secretary of Agriculture for projects that improve the maintenance of existing infrastructure, enhance forest ecosystems, and restore and improve land health and water quality on national forests.

Funds allocated by counties for title III county projects may be used only to:

- (1) carry out activities under the Firewise Communities program to provide homeowners in fire sensitive ecosystems education on, and assistance with implementing, techniques in home siting, home construction, and home landscaping that can increase the protection of people and property from wildfires;
- (2) reimburse the participating county for search and rescue and other emergency services, including firefighting, that are performed on a national forest after the date on which the use was approved, and paid for by the participating county; and
- (3) develop community wildfire protection plans in coordination with the Forest Service acting on behalf of the Secretary of Agriculture.

**Applicant Eligibility:**

Title I payments are made to States or territories of the United States in which national forests are situated.

Title II project funds are reserved in special account in the U.S. Treasury and may be used by the Secretary of Agriculture for the purpose of entering into and implementing cooperative agreements with willing Federal agencies, State and local governments, private and nonprofit entities, and landowners. (16 U.S.C. 7122)

Title III funds are paid to respective states to be passed-through to participating counties.

**Beneficiary Eligibility:**

A beneficiary of title II special project funds is a person or entity that receives a grant or enters into a cooperative agreement with the Secretary of Agriculture to carry out a project for protection, restoration, and enhancement of fish and wildlife habitat, and other resource objectives consistent with the purposes of the Secure Rural Schools Act on national forests and on non-national forest land where projects would benefit the resources on national forests. (16 U.S.C. 7122)

A beneficiary of title III funds is a participating county in which a national forest is situated that has elected to allocate a portion of its State payments for title III county projects.

**Credentials/Documentation:**

OMB circulars apply to title II special projects. No Credentials or documentation are required for title I or title III payments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Contact a near-by national forest resource advisory committee coordinator for information about awards or other implementation of title II projects recommended by a resource advisory committee prior to the deadline.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For title II, within 30 days of a rejection decision the Forest Supervisor shall notify the resource advisory committee in writing of the rejection and the reasons for the rejection.

**Appeals:**

A decision to reject a title II project is not subject to administrative appeal or judicial review. (16 U.S.C 7124).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Under title I - Secure Payments for States and Counties Containing Federal Land, each county in an eligible state elected to receive one of the following payments: a share of the states 25-percent rolling average payment, or a share of the State payment calculated using the formula in the Secure Rural Schools Act. The payment to the state under the Secure Rural Schools Act is the sum of the county elections in that state.

The 25-percent payments to states, is an amount equal to the annual average of 25-percent of amounts received for the applicable fiscal year and each of the preceding 6 fiscal years from each national forest. This amount is used to calculate a county's share of the states 25-percent payment. The sum of shares for counties that elect to receive this payment is paid to the state under the Secure Rural Schools Act.

State payments for fiscal years 2008 through 2011 were calculated using a complex formula with multiple factors, including acres of proclaimed national forest within an eligible county, the average 3 highest 25-percent payments made to each eligible State for each eligible county for the eligibility period 1986 through 1999, and the annual per capita personal income for each county. The sum of shares for counties that elect to receive this payment is paid to the state under the Secure Rural Schools Act.

Matching Requirements: There are no matching requirements for the 25-percent payment to states or for the State payment. Acquisition management regulations and procedures applicable to the Forest Service for purchases, contracts, grants and agreements may impose matching requirements on title II projects.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The 25-percent payments and State payments for amounts allocated to title I and title III are made by December 31st each year after the close of the applicable fiscal year.

Title II funds are not paid to the state but are reserved in a special account in the General Treasury available for projects recommended by a resource advisory committee and approved by the Forest Supervisor acting on behalf of the Secretary of Agriculture.

The authority for each resource advisory committee to recommend title II projects terminated on September 30, 2011. Funds unobligated in one fiscal year remain available in the following fiscal year until September 30, 2012 by which time title II funds must be obligated or be returned to the U.S. Treasury.

The authority for each county to initiate title III projects terminated on September 30, 2011. Funds unobligated in one fiscal year remain available in

the following fiscal year until September 30, 2012 by which time title III funds must be obligated for authorized uses or be returned to the U.S. Treasury. See the following for information on how assistance is awarded/released: Method of awarding/releasing assistance for title I and title III is lump sum. Title II funds are approved by the Forest Supervisor acting on behalf of the Secretary of Agriculture.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

Financial and program records must be retained for three years from the date of submission and approval of final financial reports.

**Account Identification:**

12-9921-0-2-806.

**Obligations:**

(Project Grants (for specified projects)) FY 11 \$415,813,000; FY 12 est \$324,463,000; and FY 13 est \$61,000,000 - The authority to initiate title II projects terminated on September 30, 2011. (16 U.S.C. 7128).

**Range and Average of Financial Assistance:**

Title I- \$600 to \$60,655,000 average: \$5,331,000 (42 states)  
Title II- \$15,811 to \$7,196,000; average: \$901,600 (30 states)  
Title III- \$8,800 to \$3,505,000; average: \$393,800 (34 states).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$416 million to 41 states and Puerto Rico for public schools and roads. Fiscal Year 2012: \$324 million to 41 states and Puerto Rico for public schools and roads. Fiscal Year 2013: Estimated \$61 million to 41 states and Puerto Rico for public schools and roads.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Elizabeth M. Jones, Albuquerque Service Center, Budget and Finance, All Service Receipts, FS USDA, 110 B Sun Avenue, NE, Albuquerque, New Mexico 87109 Email: emjones@fs.fed.us Phone: 505-563-7467

**Website Address:**

<http://www.fs.usda.gov/pts>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Public schools operations and maintenance, public roads maintenance; maintenance of forest ecosystems, wildlife habitats and watersheds, local employment in rural communities. Fiscal Year 2012: Public schools operations and maintenance, public roads maintenance; maintenance of forest ecosystems, wildlife habitats and watersheds, local employment in rural communities. Fiscal Year 2013: Public schools operations and maintenance.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.666 SCHOOLS AND ROADS - GRANTS TO COUNTIES**

Schools and Roads - Grants to Counties

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 75-210, 7 U.S.C. 1010-1012, Bankhead-Jones Farm Tenant Act.

**OBJECTIVES:**

To share receipts from the National Grasslands and Land Utilization Projects (LUP) with the Counties in which the National Grasslands and LUP's are situated.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

To be used for the benefit of public schools and public roads of the county or counties in which the National Grassland or LUP's are situated.

**Applicant Eligibility:**

Eligible applicants are counties of the United States containing National Grassland or a LUP.

**Beneficiary Eligibility:**

Counties within the United States.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Not Applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 7 U.S.C. 1010-1012, Public Law 75-210.  
This program has no matching requirements. The amount paid shall represent 25 percent of all moneys received during the preceding calendar year from each National Grassland or LUP. When a National Grassland or LUP is in more than one State or county, the distributive share to each shall be proportional to its area therein. The term "moneys received" includes: all moneys collected into the National Grassland Fund from the sale of permits or contracts for timber values, grazing fees, powerline fees, land use fees, recreational special use fees, mineral fees, and recreation user fees.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The payments will be made in March of each year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

Generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-9921-0-2-806.

**Obligations:**

(Formula Grants) FY 11 \$23,360,886; FY 12 est \$20,000,000; and FY 13 Estimate Not Available - Funding amounts reported on a calendar year.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Bankhead Jones Farm Tenant Act of 1937 (7 USC 1010-1012)

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Jones, Albuquerque Service Center, Budget and Finance, All Service Receipts, FS USDA, 110 B Sun Avenue, NE, Albuquerque, New Mexico 87109  
Phone: 505-563-7526

**Website Address:**

<http://www.fs.fed.us/srs>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.672 RURAL DEVELOPMENT, FORESTRY, AND COMMUNITIES**

(Rural Development Through Forestry)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Executive Order Requires Annual Department of the Interior, Environment, and Related Agencies Appropriations direction to implement.

**OBJECTIVES:**

To help rural areas analyze and assess forest resource opportunities, maximize local economic potential through market development and expansion, and diversify communities' economic base.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be allocated for such things as technical assistance, training and education, equipment, marketing, and all costs associated with making these services available to tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others who are extending services to rural communities.

**Applicant Eligibility:**

Tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others working in support of community identified goals.

**Beneficiary Eligibility:**

Tribal nations, State and Federal agencies, State Foresters, local governments, not-for-profit organizations, and others. Forest Service Regions/Areas/Institutes are encouraged to further define program policies that focus resources to meet the regional, State and local needs of communities.

**Credentials/Documentation:**

Assistance is in response to a community or a group of communities' request for

assistance in identifying opportunities and implementing action that will promote natural resource-based economic diversification and opportunities, technology transfer, market development and/or expansion. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application procedure depends on annual Congressional direction.

**Award Procedure:**

Established by the Regional Office in support of an overall regional strategic plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Announced in Grants.gov Or Federal Register as funds are made available.

**Appeals:**

Not Applicable.

**Renewals:**

SF-424(A) with SF-424 application is required to amend the awarded amount or length of commitment. Other requirements may be established by the Regional Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements- The Federal contribution to the overall implementation of a planned project may have a matching requirement, but that match is negotiated. No statutory match unless assigned by congress through annual appropriation direction.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance may be a combination of different interests that seek to support planned action by the community or a group of communities to diversify the local economy and to improve its social, economic, and environmental well being. Limitation on length of funded projects will be established at the Forest Service administrative unit (generally, will not exceed 5 years). See the following for information on how assistance is awarded/released: Determined based on agreement and authority.

**Reports:**

Periodic and final reports are required- no more than quarterly and no less than annually. Cash reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Periodic and final reports are required- no more than quarterly and no less than annually. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State and other generally accepted accounting systems can be used if control procedures allow for proper audit and reconciliation. All grantees must maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Special)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No appropriations for fiscal year 2011 or 2012. None anticipated for fiscal year 2013.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Implementation Guidelines available in all Forest Service offices. OMB Circular Nos. A-102 and A-87 are applicable to State and Local Governments, A-110 and A-21 are applicable to educational institutions, and A-110 and A-122 are applicable to Nonprofit Organizations. Legislative history found in Senate and Conference reports 1988, 1989, and 1990 and Forest Service revised guidelines (May 2000).

**Regional or Local Office:**

None.

**Headquarters Office:**

Steve Marshall 201 14th St. SW, Washington, District of Columbia 20024  
Phone: 202-205-1380

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Regional/Area/Institute administrative units are given the flexibility to make funding decisions based on their specific community and regional priorities documented in a regional strategy for their respective administrative areas. These overall strategies are identified through input by States, tribal nations, local agencies and organizations.

**10.674 FOREST PRODUCTS LAB: TECHNOLOGY MARKETING UNIT (TMU)**

State and Private Forestry Technology, Marketing and Applied Research Assistance Program

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Rural Revitalization Through Forestry, Public Law 101624, Section (d) Rural Revitalization Technologies (1990); P.L. 108-148 title II, Section 202 (2003); P. L. 110 234, title VII (2008); and P.L. 110-246 title VII (2008) extending the program through 2012.

**OBJECTIVES:**

Provide direct technical assistance to Forest Service and state foresters regarding new and emerging clean technologies to effectively manage forests and extend the most efficient and effective economic opportunities to forest landowners. The Technology Marketing Unit staff provides expertise in science-based management decisions concerning forest products utilization, biofuels production, and woody biomass utilization that uses material removed for ecosystem management goals.

Program may include: (1) development of potential new products; (2) projects that showcase innovative uses for small diameter and low-valued hardwoods and softwoods; (3) reducing the challenge to economic and market barriers to the use of the material (4) provide seed money and gap funding for demonstration projects and (5) facilitate the creation/expansion of harvesting/processing/transporting enterprises around wildland urban interface areas threatened by catastrophic wildfires.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Technical assistance or limited project grants to achieve long-term forest health through local enterprises that support forest restoration actions. No land acquisition or construction.

### Applicant Eligibility:

Entities eligible include: Non-profits, local, state, and Tribal governments, business, companies, corporation, (for Profit), special purpose districts, (public utilities districts, fire districts, conservation districts, or port).

### Beneficiary Eligibility:

Not applicable.

### Credentials/Documentation:

No credentials or documentation are required. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Procedures for submitting technical assistance or grant applications can be found on [www.fpl.fs.fed.us/tmu](http://www.fpl.fs.fed.us/tmu) or contact the Program Manager as listed under Information Contacts. .

### Award Procedure:

Grants, if appropriation funds are provided, will be nationally competitive and merit-based.

Technical Assistance request will be prioritized based on Tribal, state, or national forestry issues such as insect, disease, catastrophic events, and economic adjustments.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 120 to 180 days. Range of Approval/Disapproval Time: 160 days after the date of closure on a Request for Proposals or Technical Assistance.

### Appeals:

Not Applicable.

### Renewals:

None.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. Letters for specific request from Non-profits, local, state, and Tribal governments, business, companies, corporation, (for Profit), special purpose districts, (public utilities districts, fire districts, conservation districts, or port) are encouraged to demonstrate collaboration and the role this federal assistance program can leverage accomplishing local projects. Matching will be required only for financial assistance and will be stated in Request For Proposal as posted in the Federal Register and in accordance with Congressional direction. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

As determined by project, no longer than 3 years on grants or cooperative agreements. Technical assistance is limited to one year unless negotiated due to tribal, state or national priorities. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

### Reports:

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Quarterly financial reporting is required on financial assistance. Semi-annual performance reporting is required.

### Audits:

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

### Records:

Grant records will be maintained for 5 years after expiration date. Technical Assistance record will be maintained for 5 years from the close of the assistance. Government Technical Report (GTR) maybe developed to share the results of Technical Assistance collaborative efforts.

### Account Identification:

12-1115-0-1-302.

### Obligations:

(Project Grants) FY 11 \$4,226,784; FY 12 est \$4,200,000; and FY 13 est \$4,200,000 - (Technical Assistance) FY09 \$872631; FY10 \$773216.

### Range and Average of Financial Assistance:

\$50,000 to \$250,000 per award.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2011: NA. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

### Regional or Local Office:

See Regional Agency Offices.

### Headquarters Office:

Susan LeVan Green One Gifford Pinchot Drive, Madison, Wisconsin 53726  
Email: [slevan@fs.fed.us](mailto:slevan@fs.fed.us) Phone: (608) 231-9518.

### Website Address:

<http://www.fpl.fs.fed.us/tmu> (grants.gov).

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

### CRITERIA FOR SELECTING PROPOSALS:

Financial grants are approved on the basis of a nationwide review and are based on technical and financial merits of the project as evaluated by a panel of Federal, State, and local business experts and peers.

## 10.675 URBAN AND COMMUNITY FORESTRY PROGRAM (UCF)

### FEDERAL AGENCY:

Forest Service, Department of Agriculture

### AUTHORIZATION:

Cooperative Forestry Assistance Act of 1978, Title 16, Part 2105, Section 9, Public Law 95-313, 92 Stat. 365.

### OBJECTIVES:

To plan for, establish, manage and protect trees, forests, green spaces and related natural resources in and adjacent to cities and towns. The urban forestry program provides ecosystem services, social and economic benefits and links governmental, private and grassroots organizations and resources to improve the quality of life in these cities and towns.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

To assist State Foresters, equivalent State agencies, interested members of the public and private non-profit organizations in urban and community forestry

programs in cities and communities.

070a. To provide a national competitive urban and community forestry challenge cost share grant program to assist urban and community forestry efforts across the country and address strategic urban forestry-related issues and opportunities as identified by the National Urban and Community Forestry Advisory Council. Approximately \$1,000,000 of total annual appropriations is set aside to support activities under the national competitive challenge cost share grant program.

**Applicant Eligibility:**

State Foresters or equivalent State agencies, interested members of the public, private non-profit organizations and others. All States, as well as the District of Columbia, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa and Guam, and other territories and possessions of the United States are eligible.

**Beneficiary Eligibility:**

State Foresters or equivalent State agencies, local governments, tribes, and non-profit organizations, and other State, local and private agencies acting through State Foresters, equivalent State agencies or other official representatives as agreed by the State Forester, equivalent State agency, and the Secretary.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 For State and local governments, as implemented by 2 CFR Part 225.

83a. For the national competitive challenge cost share grant program. Costs will be determined in accordance with OMB Circulars: No. A-87 for State and Local government, as implemented by 2 CFR Part 225; A-122, Cost Principles for Non-Profit Organizations as implemented by 2 CFR 230; A-21 Cost Principles for Educational Institutions as implemented by 2 CFR 220; as applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Area/Station/IITF offices provide states and territories with program funding advice each year. 91a. For the national competitive challenge cost share grant program. A Request for Proposals (RFP) is advertised with the criteria and eligibility. The RFP is available in hard copy, is published in the Federal Register and is posted on [www.grants.gov](http://www.grants.gov). An electronic mailing list is also maintained by the Washington Office Headquarters Staff. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. States and other eligible applicants prepare grant proposal narratives for submittal to Regional and Area Offices, accompanied by Form SF-424, SF-424(a) and SF-424(b) and other forms furnished by the Federal agency and required by OMB Circular A-102, as implemented by 7 CFR Part 3016 (i.e., SF-424). Contact Regional, Area or Institute Office listed in [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

92a. For the national competitive challenge cost share grant program. States and other eligible applicants prepare grant proposal narratives for submittal to [www.grants.gov](http://www.grants.gov) or via electronic means or hardcopy to the Forest Service contact person noted on the RFP, accompanied by Form SF-424, SF-424(a) and SF-424(b) and other forms furnished by the Federal agency and required by the OMB Circulars.

**Award Procedure:**

Established by the Washington, Regional, Area and Institute offices. [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

93a. The national competitive challenge cost share grant program award procedures are established by the Washington Office and USDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Established by the Washington, Regional, Area, and Institute offices. [http://www.fs.fed.us/ucf/Regional\\_Offices.htm](http://www.fs.fed.us/ucf/Regional_Offices.htm).

Range of Approval/Disapproval varies between Forest Service offices depending on availability of funding.

95a. The national competitive challenge cost share grant program range of approval/disapproval time is established by the Washington Office.

**Appeals:**

Not Applicable.

**Renewals:**

Amended SF-424 (a) with SF 424 application is required to amend the allotment amount or length of commitment, other requirements may be established by the Washington, Regional, Area or Institute offices.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Applicant matching requirements are determined by the Washington office. If matching funds are required, the funds cannot come from Federal Sources. Cooperator matches may be non-Federal cash, in-kind and non-cash contributions. Matching requirements may range from 0 percent to 50 percent of the total award amount.

101a. For the national competitive challenge cost share grant program. Applicant match requirements are determined by the statutory authority which requires a 50:50 match. Matching funds cannot come from other federal sources. The non-Federal share of the match may be in the form of cash, services or in-kind contributions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Electronic transfer of payments are required. Grants are normally awarded for a period of 12 months. A no cost extension justification must be received and approved by the Forest Service. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded / released: Recipients submit invoices based on actual expenditures on a monthly, quarterly or bi-annual basis as established in the award terms.

**Reports:**

Annual accomplishment reports are required. No cash reports are required. For the national competitive challenge cost share grant program, narrative progress reports are required at mid-year and year-end. SF-425s are required quarterly. Invoices should provide sufficient additional detail to explain the amount requested for reimbursement. Forest Service program managers will conduct program monitoring for awards under this CFDA.

**Audits:**

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

**Records:**

State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$30,204,000; FY 12 est \$32,377,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For all grant awards under this CFDA: The applicable OMB Circulars are available online at: <http://www.whitehouse.gov/omb/circulars/index.html>.  
<http://www.fs.fed.us/ucf>  
<http://www.fs.fed.us/ucf/nucfac>

#### **Regional or Local Office:**

See Regional Agency Offices. For Forest Service, State and Private Forestry office addresses and telephone numbers. Visit:  
[http://www.fs.fed.us/ucf/contact\\_regional.html](http://www.fs.fed.us/ucf/contact_regional.html).

#### **Headquarters Office:**

Jan Davis 1400 Independence Ave. SW, MS-1151, Washington, District of Columbia 20250 Email: [jkdavis@fs.fed.us](mailto:jkdavis@fs.fed.us) Phone: 202-401-4416

#### **Website Address:**

<http://www.fs.fed.us/ucf/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Most grants are approved on the basis of negotiated targets or objectives to be achieved. UCF community grants are based on local needs and resources.

180a. The national grant program selects proposals based on the National Urban and Community Forestry Advisory Council's criteria established for a given year.

### **10.676 FOREST LEGACY PROGRAM**

(FLP)

#### **FEDERAL AGENCY:**

Forest Service, Department of Agriculture

#### **AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, 16 U.S.C. 2101, et. seq., as amended by the 1990 Farm Bill, Section 1217 of Title XII of the Food, Agriculture, Conservation and Trade Act of 1990, Public Law 101-624, 104 Stat. 3359, 16 U.S.C. 2103c; later amended by the 1996 Farm Bill, Federal Agricultural Improvement and Reform Act of 1996; Public Law 104-127; Title III, Conservation; Subtitle G Forestry; Section 374, Optional State Grants for Forest Legacy Program.

#### **OBJECTIVES:**

To effectively protect and conserve environmentally important forest areas threatened by conversion to nonforest uses, through conservation easements or fee simple purchase. The Forest Legacy Program (FLP) is a voluntary private land conservation partnership between the Forest Service, participating States, land trusts, private landowners, and others. The Program works with State partners and operates on a willing seller and willing buyer basis and is completely nonregulatory in its approach. No eminent domain authority or adverse condemnation is authorized for this Program.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Landowner participation in the program is voluntary and consists of two components: (1) conveying land or interests in land to achieve land conservation objectives and (2) preparing and periodically updating a Forest Stewardship Management Plan or a multi-resource management plan, when the participation is through conservation easement. State lead agencies must first evaluate and approve projects as Forest Legacy eligible before competing for Forest Service funding.

#### **Applicant Eligibility:**

Projects are evaluated and prioritized by State lead agencies, in consultation with the State Forest Stewardship Coordinating Committees. All States and

territories participate except North Dakota, the Commonwealth of the Northern Mariana Islands, and Guam.

#### **Beneficiary Eligibility:**

State agency, landowners of private forest lands, and land trust organizations.

#### **Credentials/Documentation:**

Each State must prepare a State Forest Action Plan (Statewide Assessment and Resource Strategy, including Assessments of Need incorporated by reference) in order to be eligible for program funds. The FS Regional, Area, or Institute Responsible Official must concur with the State's Forest Action Plan. Requirements for an eligible project are: (1) within an approved Forest Legacy Area and fits within the priorities of a State's AON; (2) complies with FLP State and National criteria; (3) a completed grant application; (4) an approved Forest Stewardship Plan or a multi-resource management plan, if applicable; (5) negotiated terms of a conservation easement, if applicable; (6) an approved appraisal, meeting Federal acquisition appraisal standards as outlined in the Uniform Appraisal Standards for Federal Land Acquisitions; and, (7) adequate non-Federal cost share. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required, including negotiation of terms for the conservation easement or acquisition. Applicants should proceed with initial appraisal and Forest Stewardship Plan development, as due diligence is one of several key factors in project evaluation and ranking. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application requirements must comply with the Code of Federal Regulations (7 CFR 3016), Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Individual participating States have application duties and procedures.

#### **Award Procedure:**

The Forest Service will conduct an annual project selection process to arrive at a prioritized national project list for inclusion in the Presidents budget. The Forest Service then issues grants to states for the project specific Congressional set-aside designated in the Congressional appropriations bills. The Forest Service then issues grants to states based on the amounts provided in Congressional appropriations and the prioritized national project list.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

An annual project selection calendar with due dates will be developed each fiscal year, and will identify deadlines and approval times.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. Federal Contribution cannot exceed 75 percent of total project costs, and at least a 25 percent non-Federal cost share is required. The non-Federal cost share may consist of: funds, donations, land or interests in land, in-kind contributions, direct costs, indirect costs, and others as determined by the Forest Service. Funds will be provided to the States on a per-project basis, as determined by the annual appropriations. The non-Federal cost share can occur at any phase of the project within the legal grant period, including planning, developing future projects, acquisition, capital improvement, management, or administrative activities. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Assistance is provided via grants to States. Typical grant period is two years. Grants can receive a no cost extension up to five years with justification and is approved by the Forest Service. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. States are required to submit annual progress reports on outstanding grants. States are required to monitor properties with conservation assessments. Project specific Forest Stewardship plans are required to be established and updated periodically. SF-425 reporting is due at least annually and no more than quarterly as agreed upon in the provisions of the individual agreement. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

State Lead Agencies are required to retain complete grant files on each grant issued. States must report annual accomplishments data in the Forest Legacy Information System.

**Account Identification:**

12-5367-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$53,000,000; FY 12 est \$53,303,000; and FY 13 est \$60,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 149,000 acres protected. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Legacy Program Implementation Guidelines of 2003.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the web site below for Regional and Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Area Director of the Forest Service. [http://www.fs.fed.us/spf/coop/library/flp\\_region\\_coord.shtml](http://www.fs.fed.us/spf/coop/library/flp_region_coord.shtml).

**Headquarters Office:**

Scott Stewart, 1400 Independence Ave SW, MS 1123., Washington, District of Columbia 20850 Email: [sstewart@fs.fed.us](mailto:sstewart@fs.fed.us) Phone: 202-205-1618

**Website Address:**

<http://www.fs.fed.us/spf/coop/programs/loa/flp.shtml>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Project evaluation and priority ranking is based on the three national core criteria (importance, threatened, and strategy, as defined in the 2003 FLP Implementation Guidelines) as well as project readiness and other evaluation considerations developed in consultation with States and FS Units.

**10.678 FOREST STEWARDSHIP PROGRAM**

(FSP)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Cooperative Forestry Assistance Act of 1978, As amended, Public Law 95-313; Food, Agriculture, Conservation and Trade Act of 1990, as amended, Public Law 107-171.

**OBJECTIVES:**

To promote and enable the long-term active management of non-industrial private and other non-federal forest land to sustain the multiple values and uses that depend on such lands.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide financial, technical, educational, and related assistance to State foresters or equivalent State officials for: The delivery of information and professional assistance to owners of nonindustrial private forest lands; The afforestation, reforestation and active management of state and other non-federal forest land; and Improved forest seedling production and distribution.

**Applicant Eligibility:**

State forestry or equivalent State agencies, tribes, non-profits, and municipalities are eligible. All States, the District of Columbia, Puerto Rico, the United States Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Trust Territory of the Pacific Islands, and territories and possessions of the United States may be eligible.

**Beneficiary Eligibility:**

Landowners of non-federal lands, non-profit organizations, tribes and other State, local, and private agencies acting through State Foresters, equivalent State officials, or other official representatives are eligible.

Landowners seeking assistance through the Forest Stewardship Program should contact their state forest agency directly. Program guidelines differ from state to state.

**Credentials/Documentation:**

No credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. States and other eligible applicants prepare grant proposal narratives for submittal to Regional and Area Offices, accompanied by completed standard application forms as furnished by the Federal agency and required by OMB circular No. A-102, as implemented by 7 CFR Part 3016 (i.e., SF-424).

**Award Procedure:**

Established by Regional and Area Offices.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 10 to 60 days after the application is filed with the Forest Service Regional or Area Office. States and eligible applicants are requested to submit Form SF-424(A) with SF-424 application and other required narratives, forms and assurances as advised by the Regional and Area Offices within 10 to 60 days following official funding advice notification.

**Appeals:**

Not Applicable.



**Renewals:**

SF-424(A) with SF-424 application is required to amend the grant amount or length of commitment. Other requirements may be established by the Regional or Area Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Applicant matching requirements are determined by Regional and Area Offices. Matching funds cannot come from other federal sources.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Electronic transfers of grant reimbursement payments to States and other program participants is encouraged. Funds are transferred to States and participants, following the submittal of financial and narrative progress reports to Regional and Area offices as requested. Grants are normally awarded for a period of 12 to 18 months. See the following for information on how assistance is awarded/released: Payments made based on authorization of provisions with cooperator.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Periodic and annual accomplishment and financial reports are required by Regional and Area offices. These reports must accompany all grantee cost-share reimbursement requests. SF-425 should be submitted at least annually and no more than quarterly. Reporting of accomplishments and expenditure is required under this program as outlined above.

**Audits:**

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

**Records:**

State and other grant recipients and Regional and Area Offices must retain records pertaining to grant payments received for a minimum period of five years. State and other generally accepted accounting systems are permissible, if acceptable to audit and reconciliation.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$29,369,000; FY 12 est \$29,449,000; and FY 13 est \$29,000,000

**Range and Average of Financial Assistance:**

\$50,000 to \$800,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual Titles 3000 and 3200 and the Forest Stewardship Program National Standards and Guidelines. OMB Circular Nos. A-102 as implemented by 7 CFR 3016 and A-87, as implemented by 2 CFR 225, are applicable to State and Local Government grantees.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the Forest Service directory for address and telephone number of the State and Private Forestry Directory in your Region or Area of the Forest Service.

<http://www.fs.fed.us/contactus/regions.shtml>.

**Headquarters Office:**

Karl R. Dalla Rosa, State and Private/Cooperative Forestry,  
P.O. Box 96090, Washington, District of Columbia 20090-6090 Email:  
[kdallarosa@fs.fed.us](mailto:kdallarosa@fs.fed.us) Phone: (202) 205-6206.

**Website Address:**

<http://www.na.fs.fed.us/spfo/stewardship/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant grant proposals are reviewed, and funds are granted by Regional and Area Offices.

**10.679 COLLABORATIVE FOREST RESTORATION**

(CFRP)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Secure Rural Schools and Community Self-Determination Act of 2000, Title VI- Community Forest Restoration, Public Law 106-393, Section 605, Establishment of Program.

**OBJECTIVES:**

The purposes of the grants are: to promote healthy watersheds and reduce the threat of large, high intensity wildfires, insect infestation, and disease in the forests in New Mexico; to improve the functioning of forest ecosystems and enhance plant and wildlife biodiversity by reducing the unnaturally high number and density of small diameter trees on Federal, Tribal, State, County, and Municipal forest lands; to improve communication and joint problem solving among individuals and groups who are interested in restoring the diversity and productivity of forested watersheds in New Mexico; to improve the use of, or add value to, small diameter trees; to encourage sustainable communities and sustainable forests through collaborative partnerships, whose objectives are forest restoration; and to develop, demonstrate, and evaluate ecologically sound forest restoration techniques.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be allocated for such things as technical assistance, training and education, equipment, marketing, personnel, travel, and all costs associated with forest and watershed restoration on federal, tribal, state, land grant, county or municipal forest land.

**Applicant Eligibility:**

Local and tribal governments, educational institutions, landowners, conservation organizations, and other interested public and private entities. Grant proponents must include a diverse and balanced group of stakeholders as well as appropriate Federal, Tribal, State, County, and Municipal government representatives in the design and implementation of the project. The projects may be entirely on, or on any combination of, Federal, Tribal, State, County, or Municipal forestlands. Processing facilities may be located on private land if they are associated with restoration activities on public land.

**Beneficiary Eligibility:**

Local and tribal governments, educational institutions, landowners, conservation organizations, and other interested public and private entities. Grant proponents must include a diverse and balanced group of stakeholders as well as appropriate Federal, Tribal, State, County, and Municipal government representatives in the design and implementation of the project. The projects may be entirely on, or on any combination of, Federal, Tribal, State, County, or Municipal forestlands. Processing facilities may be located on private land if they are associated with restoration activities on public land.

**Credentials/Documentation:**

Credentials or documentation are not required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants are required to submit form SF-424, SF-424(a), SF-424 (b), AD 1047, AD 1049, and other information described in the Request for Applications. Proposals should be sent to: CFRP Program, Cooperative and International Forestry, USDA Forest Service, Room 329, 333 Broadway SE, Albuquerque, NM 87102.

**Award Procedure:**

The Collaborative Forest Restoration Program Technical Advisory Panel evaluates the proposals and provides recommendations to the Forest Service on which ones best meet the purposes, objectives, and administrative requirements of the program. The Panel also evaluates the effect of each proposal on long-term forest management. The Forest Service Southwestern Regional Forester selects proposals for final award. The Secretary of Agriculture chartered the Technical Advisory Panel as a Federal Advisory Committee for two years on June 12, 2001 (CFR 1042-138) under the Federal Advisory Committee Act (Public Law 92-463). The Secretary reauthorized the Panel's charter for two years on May 4, 2010 (DR 1042-138).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. The Federal share of an individual project cost shall not exceed 80 percent of the total cost. The 20-percent matching may be in the form of cash or in-kind contribution. Projects cannot exceed the total annual cost of \$150,000, with the federal portion not exceeding \$120,000 annually, nor exceed a total cost of \$450,000 for the project, with the Federal portion of the total cost not exceeding \$360,000 (P.L. 106-393, Title VI, Sec. 605 (a) and (b)(8)). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may not exceed 4 years in length (Public Law 106-393, Title VI, SEC. 605(b)(7)). Assistance will be provided by no more than monthly payments. See the following for information on how assistance is awarded/released: Projects may not exceed 4 years in length (Public Law 106-393, Title VI, SEC. 605(b)(7)). Assistance will be provided by no more than monthly payments.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Periodic and final performance reports are required. Annual financial reports will also be required. Grant recipients must attend an annual workshop with other stakeholders for the purpose of discussing the cooperative forest restoration program and projects implemented under Collaborative Forest Restoration Program. Grant recipients may use project grant funds to pay for their travel and per diem expenses to attend the workshop.

**Audits:**

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

**Records:**

State and other generally accepted accounting systems can be used if control

procedures allow for proper audit and reconciliation. All grantees must maintain adequate systems for collection and recording statistical data. Project records must be maintained for a period of three years after the project has ended.

**Account Identification:**

12-1115-0-1-302; 12-1106-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$3,100,000; FY 12 est \$3,100,000; and FY 13 est \$3,100,000

**Range and Average of Financial Assistance:**

\$66,361.00-\$360,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011 the CFRP Advisory committee reviewed and ranked 33 proposals and the Forest Service awarded ten grants totaling \$3.1 million to two Tribes, three private businesses, and five NGOs to fund four forest restoration planning projects, two small diameter utilization projects, and four forest restoration implementation projects.

Since 2001, the Panel has reviewed 387 proposals and recommended 154 to receive grants totaling \$45.7 million to Tribes (33 of the 154), businesses, NGOs, schools and universities, and state and local governments for projects in 20 counties across NM involving 494 partner organizations. Over 25,000 acres have been treated and approximately 700 jobs have been created since the program began. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The authorizing legislation (Public Law 106-393 Title VI), a list of the members of the Collaborative Forest Restoration Program Technical Advisory Panel, The Charter for the Technical Advisory Panel, The Technical Advisory Panel Recommendations, The Request for Proposals, Project Summaries for funded activities, and a List of Forest Service Contacts can be found on the website for the Southwestern Region of the Forest Service at [www.fs.fed.us/r3/spf/cfrp](http://www.fs.fed.us/r3/spf/cfrp).

**Regional or Local Office:**

See Regional Agency Offices. Refer to [www.fs.fed.us/r3/spf/cfrp](http://www.fs.fed.us/r3/spf/cfrp) for addresses and telephone numbers of the Forest Service National Forests in New Mexico. These are the Gila, Lincoln, Cibola, Santa Fe, and Carson National Forests.

**Headquarters Office:**

Walter Dunn 333 Broadway Blvd. SE, Albuquerque, New Mexico 87102  
Email: [wdunn@fs.fed.us](mailto:wdunn@fs.fed.us) Phone: 505-842-3425

**Website Address:**

[www.fs.fed.us/r3/spf/cfrp](http://www.fs.fed.us/r3/spf/cfrp).

**RELATED PROGRAMS:**

10.664 Cooperative Forestry Assistance; 10.854 Rural Economic Development Loans and Grants; 10.901 Resource Conservation and Development; 11.303 Economic Development\_Technical Assistance; 11.307 Economic Adjustment Assistance; 12.607 Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated to determine if they followed the administrative requirements of the program and the proposal format described in the Request for Applications. The Collaborative Forest Restoration Program Technical Advisory Panel will evaluate grant proposals based on the purpose and eligibility requirements described in the Community Forest Restoration Act of 2000 (Section 3 and Section 5, Title VI, Public Law 106-393). The Panel will consider the proposed projects effect on long-term management and the capability of the proponents to accomplish the project. The Panel will also examine the degree to which proposed activities complement existing projects and programs and evaluate whether the project would reduce the danger of wildland fire in high-risk areas in New Mexico.

## 10.680 FOREST HEALTH PROTECTION

(FHP)

### FEDERAL AGENCY:

Forest Service, Department of Agriculture

### AUTHORIZATION:

Cooperative Forestry Assistance Act of 1978, Public Law 95-313; Food Agriculture, Conservation and Trade Act of 1990, as amended, Public Law 101-624; current year appropriations act.

### OBJECTIVES:

Protect non-Federal forest and tree resources from damaging forest insects, disease causing agents, and invasive plants; develop/improve forest health protection technologies; and monitor the health of our nation's forests.

### TYPES OF ASSISTANCE:

FORMULA GRANTS; PROJECT GRANTS

### USES AND USE RESTRICTIONS:

To assist State Foresters, State Plant Regulatory Officials, equivalent State officials, or other official representatives, subdivisions of states, agencies, institutions (public and private), organizations (profit or nonprofit), and individuals on non-Federal lands. Activities include: conducting surveys to detect and assess insect, disease, invasive plant and other stressors; monitoring and reporting on the health of forests and trees; recommending measures to prevent, retard, slow the spread, control, suppress or eradicate incipient, potential, threatening or emergency forest and tree pests; planning, organizing, directing, and performing such measures; providing technical and scientific information, advice, and related assistance; developing applied methods and technology to improve management of forest health; providing information on pesticides and their use; promoting implementation of appropriate silvicultural or management techniques to improve forest health; and taking other actions deemed necessary to accomplish the objectives and purposes of the Forest Health Protection program. Assistance to tribal lands held in trust by the United States Government is provided directly by the Forest Service, and thus are not included in this cooperative program. However, other tribal lands, such as Alaska Native Corporation Lands, that are not held in trust are included.

### Applicant Eligibility:

State Forestry, State Agriculture or equivalent State agencies, subdivisions of states, Alaska native corporations and tribal governments, institutions (public and private), organizations (profit and non-profit), and municipalities are eligible. All States, the District of Columbia, Puerto Rico, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the territories and possessions of the United States are eligible.

### Beneficiary Eligibility:

State Foresters, State Plant Regulatory Officials, equivalent State officials or other official representatives, tribes, subdivisions of states, agencies, institutions (public and private), organizations (profit or nonprofit), and individuals on non-Federal lands.

### Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, as implemented by 2 CFR 225. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact Regional, Area, or International Institute of Tropical Forestry (IITF) Office listed at: <http://www.fs.fed.us/contactus/regions.shtml>

### Award Procedure:

Established by the Regional, Area or IITF Office.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Submission due dates are developed for each fiscal year. Contact Region, Area or IITF office. State single point of contact will have 30 days from notification of tentative allotments to comment.

### Appeals:

Not Applicable.

### Renewals:

Submit SF-424(A) with SF 424 application to amend the allotment amount or length of commitment; other requirements may be established by the Regional, Area or IITF Office.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching Requirements: Funding for the Cooperative Forest health Protection program is provided to states to help support a base level of professional forest health expertise for non-federal forest managers. Grants for this program are allocated to states using a formula that is based on the number of acres of non-federal forest land within the states, other factors, and amount of funding available through annual appropriations.

Applicant matching for cooperative Forest Health Protection programs and projects that treat specific forest health problems on non-federal lands is required and is 50%. In cases where it is mutually agreed upon that an applicant will treat federal lands as part of a cooperative project or program, the Forest Service reimbursement is 100% for the federal portion. However, applicant matching rates may be adjusted in emergency or extraordinary situations.

Forest Service cost-share rates for activities involving development of new and improved forest health protection methods and technologies, and the conduct of special projects and evaluations are negotiated on a project-by-project basis with the grantee. Exceptions from the 50% cost-share requirement must be approved by the Deputy Chief for State and Private Forestry. The applicant share of cooperative programs may be in the form of cash, services, or in-kind contributions.

If a state elects to consolidate the annual Forest Service financial assistance, in lieu of functional cost sharing mechanisms, the total consolidated payment to any state during any fiscal year may not exceed the total amount of non-federal funds expended to implement its state forest resources program during that year. Treatment funds and activities cannot be a part of the consolidated payment and must stand alone to meet the 50% match requirement (See FSM 3431.22).

MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Grants are typically awarded for one or two years and may be extended on request and with the approval of the program manager. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

### Reports:

Program reports are not applicable. Cash reports are not applicable. Periodic and annual accomplishment reports are required per the provisions in the final agreement. SF425 is required no less than annually and no more than quarterly for each agreement. Performance monitoring is not applicable.

### Audits:

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

### Records:

State and other generally accepted accounting systems are permissible, if

acceptable to audit and reconciliation. All grantees need to maintain adequate systems for collecting and recording statistical data.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$48,045,000; FY 12 est \$39,999,000; and FY 13 est \$49,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Forest Service Manual- Title 3400 is available in all Forest Service offices, and State Forestry agency offices. OMB Circular Nos. A-102 and A-87, as implemented by 7CFR Part 3016 and 2 CFR 225, are applicable to State and local government grantees.

**Regional or Local Office:**

See Regional Agency Offices. Refer to <http://www.fs.fed.us/contactus/regions.shtml> for Regional and Northeastern Area State and Private Forestry offices of the Forest Service and for addresses and telephone numbers of Regional Foresters and Northeastern Area Director of the Forest Service.

**Headquarters Office:**

Robert Mangold, 1601 N. Kent Street, RPC-7, Arlington, Virginia 22209  
Email: [rmangold@fs.fed.us](mailto:rmangold@fs.fed.us) Phone: (703) 605-5340.

**Website Address:**

<http://www.fs.fed.us/spf/coop>.

**RELATED PROGRAMS:**

10.901 Resource Conservation and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All grants and cooperative agreements are approved on the basis of negotiated targets, project objectives to be achieved, and relationship to national and regional forest health issues, priorities, and needs.

**10.681 WOOD EDUCATION AND RESOURCE CENTER (WERC)**

(WERC)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 105-277, Div. A, Section 101(e) Title III, Section 343, 112 Stat. 2681-231, 2681-297; Cooperative Forestry Assistance Act of 1978, as amended, 16 USC 2101 et. seq.; Forest and Rangeland Renewable Resources Act of 1978, as amended, 6 USC 1600-1614.

**OBJECTIVES:**

To provide funds, on a cost-share basis, for projects that focus on enhancing opportunities for sustained forest products production for primary and secondary hardwood industries located in the eastern hardwood forest region. In order to maintain and improve the health and stewardship of our eastern hardwood forests, local wood-using industries need to be vibrant and able to utilize a wide variety of resources from the forest. Priorities include:

Maintain the economic competitiveness of primary and secondary hardwood industries. Examples include:

- 1) Encouraging the adoption of new technology to improve competitiveness and profitability,
- 2) Bringing information and technology about processing, marketing, and business-related skills as well as urban wood utilization to existing and emerging businesses, and
- 3) Developing utilization options that improve forest stewardship and health.

Increase the knowledge and information about how the hardwood industry can contribute to the green building movement. Examples include chain of custody certification for sustainable wood products as well as life cycle analysis for a range of wood products.

Increase the knowledge, information, and promotion of how carbon sequestration by wood products can provide a competitive edge to a sustainable hardwood industry. An example includes developing specific carbon storage factors for a range of wood products.

Develop technology and markets to address urgent issues on a global or domestic scale, including:

1) Sanitizing wood packaging materials, firewood, and similar products to eliminate these pathways for the transport of insect and disease pests, and

2) Developing markets for and using unexpected increases in the volume of urban and rural wood due to new pest introductions (for example, emerald ash borer) and weather events such as tornadoes and ice storms.

Increase the sustainable use of woody biomass to meet our Nations needs for energy and raw materials. Examples include public/private partnerships for using woody biomass in heating and cooling, process energy, cogeneration, district energy systems, and solid and liquid fuel production. Projects may also develop or maintain local markets and forest industry infrastructure by using woody biomass for both energy and value-added products. Provide key information to address the economic, social and ecological aspects of woody biomass production and use: including sustainable supplies, harvesting techniques, forest management, plantation development, and environmental implications.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Projects need to compliment existing activities and/or focus on niches that are not being met by either industry or service providers. In addition, projects need to clearly document industry support and involvement.

**Applicant Eligibility:**

Nonfederal agencies; public and private agencies including State, local and tribal governments; institutions of higher education; non-profit organizations; for-profit organizations; corporations; businesses; and others.

**Beneficiary Eligibility:**

Nonfederal agencies; public and private agencies including State, local and tribal governments; institutions of higher education; non-profit organizations; for-profit organizations; corporations; businesses; and others located in the 35 states of the eastern hardwood forest region including: AL, AR, CT, DE, FL, GA, IL, IN, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, NE, NH, NJ, NY, NC, OH, OK, PA, RI, SC, TN, TX, VT, VA, WV, WI.

**Credentials/Documentation:**

No credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An application package (including instructions, application and electronic location of financial forms) is developed each year that provides guidelines for applicants to follow in developing their proposal. Standard financial assistance application forms (SF-424, SF-424A and applicable Certifications) are required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Established by the USDA Forest Service, Northeastern Area Office, Newtown Square, PA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. SF-424A with SF-424 application is required to amend the awarded amount or length of commitment. Unsuccessful applications can be resubmitted in future years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants or Cooperative Agreements are normally awarded for a period of 12 to 18 months. See the following for information on how assistance is awarded/released: Established in award terms. See the following for information on how assistance is awarded/released: Assistance is awarded or released according to conditions established in award terms.

**Reports:**

No program reports are required. No cash reports are required. Annual accomplishment and periodic financial reports are required. In addition, a detail final report pertaining to program accomplishments is required. Invoices should provide sufficient detail to document the amount requested for reimbursement. Forest Service program staff will conduct monitoring activities to measure performance against established grant objectives. Invoices should provide sufficient detail to document the amount requested for reimbursement. Use form SF-425. Forest Service program managers will conduct monitoring activities to measure performance against established grant objectives.

**Audits:**

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

**Records:**

All recipients need to maintain records adequate to collect and report statistical data. Forest Service or its designated representatives will have access to recipient records upon request.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,100,000; FY 12 est \$140,000; and FY 13 Estimate Not Available - (Project Grants (Discretionary)): FY 08 - approximately \$1.7 million; FY 09 - approximately \$1.4 million; FY 10 - approximately \$1.4 million; FY 11 - approximately \$1.1 million; F& 12 - approximately \$140,000.

**Range and Average of Financial Assistance:**

Range varies from \$10,000 to \$80,000. Average grant award is approximately \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2011: 17 grants and agreements funded, various educational and training sessions completed. In addition, detailed information about grant and cooperative agreement accomplishments can be viewed at: <http://www.na.fs.fed.us/werc/projects.shtm>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-102 and A-87 are applicable to State and Local Governments, A-110 and A-21 are applicable to educational institutions, and A-110 and A-122 are applicable to Nonprofit Organizations. USDA

Implementing Regulations 7 CFR 3015, 3016, 3017, 3018, and 3019 also apply depending on the type of recipient. The program is announced through the Wood Education and Resource Center website and Grants.Gov website.

**Regional or Local Office:**

See Regional Agency Offices. USDA Forest Service, Northeastern Area, Wood Education and Resource Center, 301 Hardwood Lane, Princeton, WV 24740, Phone: (304) 487-1510; FAX: (304) 487-6661, E-mail: [werc@fs.fed.us](mailto:werc@fs.fed.us).

**Headquarters Office:**

Steve Marshall, 1400 Independence Ave, SW, Washington, District of Columbia 20250 Email: [smarshall@fs.fed.us](mailto:smarshall@fs.fed.us) Phone: 202-205-1380

**Website Address:**

<http://www.na.fs.fed.us/werc/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Fiscal Year 2011: 17 grants and cooperative agreements funded.

Detailed information about funded grants can be viewed at the following website: <http://www.na.fs.fed.us/werc/projects.shtm>.

The Architectural Woodwork Institute recently completed a WERC funded project (Award number 08-DG-107) titled, Wood Manufacturing Skill Standards, Evaluations, & Credentials. The primary goal of this three-part project is to improve skills and competencies of woodworkers by having a unified North American Standard of Tool Skills & Evaluations. This portion of the project focused on developing and publishing a national woodwork manufacturing skill standards and evaluations book and the initial development of a national woodwork skill credential process. Project details can be found at the following web sites: <http://woodworkcareer.org> and <http://skillstandards.wikispaces.com>.

Illinois Conservation Foundation, Springfield, IL, completed a WERC funded project (Award number 07-DG-226) titled, Ash Reclamation Project for Illinois. The primary goal of the project was to develop a successful urban wood/ash utilization initiative in Illinois. Project partners developed an informative web site ([www.illinoisurbanwood.org](http://www.illinoisurbanwood.org)) that includes project accomplishments, informational materials and an interesting Powerpoint presentation that can be viewed at: [http://www.illinoisurbanwood.org/documents/BBBcommunitywood\\_000.pdf](http://www.illinoisurbanwood.org/documents/BBBcommunitywood_000.pdf).

The Natural Resources Research Institute, University of Minnesota Duluth, recently completed a WERC funded project (Award number 08-DG-100) titled, Heat Treatment of Firewood: Meeting the Phytosanitary Requirements. The primary purpose of this project was to transfer background knowledge and advanced heat treating technology to field application through field heat treatment demonstrations, on-site workshops and web-based training seminars. Project details can be viewed and downloaded by visiting: [http://spfnc.fs.fed.us/werc/finalrpts/08-DG-100\\_2.pdf](http://spfnc.fs.fed.us/werc/finalrpts/08-DG-100_2.pdf). The project webinar can be viewed at: <https://umconnect.umn.edu/p89465540/>.

The Hardwood Leaders Forum consisted of two forums held in Charlotte, NC, each with its own goals and objectives for strengthening the U.S. hardwood industry. On August 10-11, 2010, 77 hardwood industry leaders met to identify the most pressing barriers and challenges to achieving that vision. On December 7, 2010, 98 industry leaders, academicians, State and Federal agency representatives, researchers, and trade association executives met to 1) review existing programs that address the industry's highest-priority challenges and 2) begin to look for opportunities to better address these challenges through strengthened and/or new programs. The Hardwood Leaders Forum was sponsored by the Hardwood Publishing Co. Inc., located in Charlotte, NC, and jointly funded by the S.H. Conger Foundation for Hardwood Marketing, Hardwood Publishing Co. Inc., and a grant from the Wood Education and Resource Center (Award number 2010-DG-085). A final report that provides detailed information about the process and findings can be viewed at [http://spfnc.fs.fed.us/werc/finalrpts/10-DG-085\\_2.pdf](http://spfnc.fs.fed.us/werc/finalrpts/10-DG-085_2.pdf). A Hardwood Leaders

Forum Webinar was also conducted. To view the Webinar, go to <http://www.woodlogics.com/video/hlfwebinar.wmv>.

Promoting Greater Use of Underutilized Eastern Hardwood Species By Improving Design, Marketing and Manufacturing Phase II (Award number 08-DG-113)

Primary project partner: North Carolina State University, Raleigh, NC  
This is the second phase of a previously funded project focused on developing value-added markets for underutilized eastern hardwoods by a series of workshops to wood manufacturers in the central Appalachian focused on gluing, finishing, designing and manufacturing with underutilized hardwood species such as sweetgum and sycamore. Project web site can be viewed at: <http://www.ces.ncsu.edu/nreos/wood/Under%20Utilized%20Species%20Project/index.html>.

Promoting the Use of Non-Destructive Testing Technologies for Increased Productivity and Public Safety

(Award number 08-DG-99)

Primary project partner: Allison Tree Service, Madison, WI  
This project gathered information on currently available methods and techniques for decay and defect detection in standing trees. A DVD and internet video was developed to present this knowledge in a coherent, user-friendly visual educational format. The video can be viewed at: <http://www.nrri.umn.edu/cartd/forestp/treedecay.htm>.

Increasing Opportunities to Use Forests as an Energy Source (Award number 07-DG-108)

Primary project partner: National Association of State Foresters, Washington, DC

The primary goal of this project was to identify ways State Foresters could encourage and support the sustainable use of woody biomass for thermal, electric, and biofuel/bioproducts applications in the United States. This project provides the information for State Foresters, their agencies and partners, to take an informed role in leading discussions on the sustainable use of woody biomass as an energy source. The final report can be viewed at: <http://www.stateforesters.org/node/955>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

When budgets allow for a competitive grants program, an evaluation panel is convened on an annual basis to evaluate and rate proposals received. Proposals are evaluated on a number of criteria including alignment with WERC's mission and goals, focus on yearly priority items, clear deliverables, industry support, minimal duplication, length of time, multi-state project, and training.

#### **10.682 NATIONAL FOREST FOUNDATION**

National Forest Foundation

##### **FEDERAL AGENCY:**

Forest Service, Department of Agriculture

##### **AUTHORIZATION:**

National Forest Foundation Act, Public Law 101-593-Title IV-Nov. 16, 1990, as amended by Public Law 103-106 Oct. 12, 1993, Omnibus Consolidated and Emergency Supplemental Appropriations Act, Public Law 105-277, Title II, Oct. 21, 1998.

##### **OBJECTIVES:**

The purposes of the National Forest Foundation are to encourage, accept, and administer private gifts of money, and of real and personal property for the benefit of, or in connection with, the activities and services of the Forest Service of the Department of Agriculture; undertake and conduct activities that further the purposes for which units of the National Forest System are established and are administered and that are consistent with approved forest plans; and undertake, conduct and encourage educational, technical and other assistance, and other activities that support the multiple use, research, cooperative forestry and other programs administered by the Forest Service.

##### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

##### **USES AND USE RESTRICTIONS:**

To aid conservation partnership projects in support of the Forest Service mission, without regard to when the Foundation incurs expenses, for administrative expenses or projects on or benefiting National Forest System lands or related to Forest Service programs: Provided, That the Foundation shall obtain, by the end of the period of Federal financial assistance, private contributions to match on at least one-for-one basis funds made available by the Forest Service: Provided further, That the Foundation may transfer Federal funds to Federal or a non-Federal recipient for a project at the same rate that the recipient has obtained the non-Federal matching funds.

##### **Applicant Eligibility:**

Program is authorized for the National Forest Foundation under National Forest Foundation Act, Public Law 101-593 as amended by Public Law 103-106.

##### **Beneficiary Eligibility:**

Potential beneficiaries include non-governmental, nonprofit 501(c)(3) organizations and Native American tribes working on or adjacent to National Forests and Grasslands throughout the United States.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. NFF shall submit a Federal Financial Assistance application SF-424 and SF-424 annually based on the amount of Congressionally appropriated funds each FY

##### **Award Procedure:**

Not Applicable.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. 50% matching funds to be provided from private contributions.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

not applicable. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

Accomplishment reports as set forth in the annual award letter are required. Semi-annual progress reports are required. No cash reports are required. No progress reports are required. Actual expenditures are detailed on each request for reimbursement and/or advance liquidation request. The Forest Service program manager shall conduct monitoring activities to track program accomplishments.

##### **Audits:**

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

**Records:**

NFF shall maintain programmatic and accounting records applicable to each annual award for a period of not less than 3 years after the completion of all activities thereunder.

**Account Identification:**

12-1103-0-1-302 - Capital Improvement and Maintenance; 12-1106-0-1-302 - National Forest System; 12-1115-0-1-302 - Wildland Fire Management; 12-1105-0-1-302 - State and Private Forestry; 12-1104-0-1-302 - Forest and Rangeland Research.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$3,000,000; FY 12 est \$3,000,000; and FY 13 est \$3,000,000 - 1:1 matching requirement.

**Range and Average of Financial Assistance:**

not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2011:  
Provided 121 subawards benefitting national forests and grasslands in all nine U.S. Forest Service Regions.

Completed nine Friends of the Forest volunteer events in USFS Region 2 and Region 6.

Continued development and expansion of multi-year Treasured Landscapes, Unforgettable Experiences conservation campaign with the goal of focused restoration initiatives in all nine USFS regions. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Emily Biesecker, 201 14th Street NW, Room 3NE, Washington, District of Columbia 20250 Email: ebiesecker@fs.fed.us Phone: (202) 205-2733

**Website Address:**

<http://www.nationalforests.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Appalachian Mountain Club: White Mountain National Forest - Falling Waters Trail Reconstruction Project; White Mountain National Forest; To install drainages and harden the trail with native materials to correct impacted areas, prevent further erosion from occurring and enhance hiker experience and safety on one of the WMNF most popular trails.

Arizona Wildlife Federation: Comprehensive wildlife habitat improvement of the Woody Ridge Wildlife Corridor; Coconino National Forest; To implement forest habitat improvement complementary to the Four Forests Restoration Initiative ponderosa pine forest restoration effort, with geographic focus within a wildlife movement corridor on the Coconino National Forest.

Cottonwood Canyons Foundation: 2011 Community Watershed Stewardship Program; Uinta-Wasatch-Cache National Forest; To engage over 400 volunteers in a community-driven stewardship program for trail restoration and invasive weed mitigation in the Tri-Canyon area of Big and Little Cottonwood and Millcreek Canyons to promote watershed health and sustainability.

Friends of the Boundary Waters Wilderness: Superior Wilderness Volunteer Connection 2011; Superior National Forest; To provide volunteers to accomplish restoration, maintenance and education project necessary to maintain the wilderness character of Boundary Waters Canoe Area Wilderness while developing the next generation of wilderness stewards.

Heart of Oregon Corps, Inc.: Youth at Work in Central Oregon; Ochoco and Deschutes National Forests; To conduct noxious weed eradication, recreational

trail maintenance, wildlife habitat restoration, juniper eradication and upland sage habitat restoration on the Deschutes and Ochoco National Forests.

Mid Klamath Watershed Council: Klamath Weeds Stewardship Project; Six Rivers National Forest; To increase community involvement in the treatment of priority invasive weeds within the Mid Klamath watershed by hosting ten volunteer workdays and a public workshop on weeds identification and treatment techniques.

National Wild Turkey Federation: Enhancing Wildlife Habitat and Controlling Invasive Species in Bearcat Hollow; Ozark National Forest; To assist in the process of controlling invasive species and enhancing wildlife habitat by improving and developing wildlife openings within Bearcat Hollow, located in the Ozark National Forest.

North Cascades Institute: Kulshan Creek Community Youth Stewards; Mt. Baker-Snoqualmie National Forest; To work with underserved, mostly Latino youth, to conserve and protect public lands in western Washington. Activities include wildlife monitoring, habitat improvement, and restoration work.

Sitka Conservation Society: Wilderness Stewardship on the Tongass National Forest; Tongass National Forest; To build the capacity of, and partner community organizations with, the Tongass National Forest to increase the element and overall WSC scores in 7 Wilderness Areas that represent 1.5 million acres of Wilderness.

Wild South: Bankhead Legacy II/Pisgah-Nantahala Trails Inventory Project; Bankhead, Pisgah and Nantahala National Forests; To engage people in on-the-ground efforts to restore, monitor, and steward the Bankhead National Forest of Alabama and the recreational resources of the Pisgah and Nantahala National Forests of North Carolina. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.683 NATIONAL FISH AND WILDLIFE FOUNDATION**

National Fish and Wildlife Foundation (NFWF)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Section 2(b)(2) of Public Law 98-244.

**OBJECTIVES:**

Created by Congress in 1984, National Fish and Wildlife Foundation (NFWF) directs public conservation dollars to the most pressing environmental needs and matches those investments with private funds. The Foundations method is simple and effective: to work with a full complement of individuals, foundations, government agencies, nonprofits, and corporations to identify and fund the nations most intractable conservation challenges.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To aid cost-share conservation projects, without regard to when expenses are incurred, on or benefitting National Forest System lands or related to Forest Service programs: Provided, that such funds shall be matched on at least a one-for-one basis by the Foundation or its sub-recipients.

**Applicant Eligibility:**

Program authorized for the National Fish and Wildlife Foundation (NFWF).

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Federal Assistance Application, SF-424 and SF-424A, must be submitted annually based on the amount established in the Forest Service FY appropriation

**Award Procedure:**

Not Applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 98-244.

Matching Requirements: Percent: 50%. Funds shall be matched on at least a one-for-one basis by the Foundation or its sub-recipients.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual accomplishment reporting is required. No cash reports are required. No progress reports are required. Actual expenditure detail is required in requests for reimbursement and/or liquidation of advances. The Forest Service program manager will conduct monitoring activities to track accomplishments against goals established in the award terms.

**Audits:**

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

**Records:**

Retain all programmatic and accounting records for a period of not less than three (3) years from the completion date of awards for review by the Forest Service or its designated representative, as required.

**Account Identification:**

12-1104-0-1-302 - Forest and Rangeland Research; 12-1115-0-1-302 - Wildland Fire Management; 12-1106-0-1-302 - National Forest System; 12-1105-0-1-302 - State and Private Forestry.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$3,000,000; FY 12 est \$3,000,000; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The National Fish and Wildlife Foundation (NFWF) is an independent 501(c)(3) charity established by Congress in 1984, that protects, restores, and enhances the Nation's fish, wildlife, plants, and habitats. The Foundations greatest asset is its position at the nexus of the conservation community. Its myriad conservation partnerships connect it with potentially every federal and state agency, key industry leaders, concerned private citizens, and nonprofit leadership from the international to the local level. Since its establishment, NFWF has awarded more than 11,000 grants to 3,700 organizations in the United States and abroad and leveraged more than \$650

million in federal and private funds into more than \$1.7 billion for on-the-ground conservation.

NFWF began its relationship with the U.S. Department of Agriculture's Forest Service (FS) in 1988 with a \$30,000 challenge grant to restore trout habitat ravaged by flooding in the Monongahela National Forest. In 1995, the partnership expanded when FS provided funds to the Foundation to launch a grant program focused on improving the ecological health of our National Forests. To date, the Foundation has undertaken more than 900 projects in partnership with the FS and has leveraged more than \$30 million in FS funds with more than \$150 million for targeted, on-the-ground conservation. Foundation grants have been made in more than 125 National Forests and Research Stations in all nine regions of the FS. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. USDA, Forest Service, National Forest System, Watershed, Fish, Wildlife, Air and Rare Plants, 201 14th Street, SW Washington, DC 20024 (street address and express mail).

**Headquarters Office:**

Anne Zimmermann, 201 14th St. NW, 3SE, Washington, District of Columbia 20024 Phone: 202-205-1671

**Website Address:**

<http://www.nfwf.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FS funding is apportioned between NFWF strategic keystone initiatives, and targeted charter grant programs. Among each program, a handful of high-priority projects are selected for funding each FY. The following list summarizes the emphasis areas for FYs 10 and 11.

Strategic Keystone Initiatives Starting in 2008, the Foundation realigned its grant making to be more targeted and outcome-based. Keystone Initiatives were designed to achieve a measurable conservation outcome in a five-ten year timeframe. Specific goals and strategies are identified for each Initiative through the development of Business Plans that serve as guides for the types of projects that will be considered for funding by NFWF. (\$1.5MM in FY10 and FY 11)

- Wildlife and Landscape Scale Habitat Keystone: Addresses conservation needs for mammals, reptiles, amphibians, invertebrates, and native plants. The Foundation is currently working with the Forest Service on Sierra Nevada Wet Meadow restoration and Northern Rockies Wildlife Corridors (eastern Idaho and western Montana).

- Freshwater Fish and Habitat Keystone: Focuses on high-priority species and habitat for freshwater fish and associated aquatic life such as mussels, crayfish, and invertebrates. The Foundation is currently working with the Forest Service on Eastern Brook Trout (Virginia and West Virginia) and Apache Trout (Arizona).

- Bird and Habitat Keystone: Focuses on migratory and resident bird species and their habitat. The Foundation is currently working with the Forest Service to promote the conservation of Gunnison Sage Grouse (Colorado and Utah) and a wide variety of Southeastern grassland birds such as bobwhite quail and Bachmans sparrow.

Charter Grant Programs Funds (\$1.5MM in FY10 and FY 11) are also awarded through targeted Charter Grant Programs which include:

- Pulling Together Initiative is a unified effort by NFWF and DOI and DOA to fund and implement effective, long-term invasive plant management at the local level. (\$450K in FY10 and FY 11)

- Bring Back the Natives seeks to implement the National Fish Habitat Initiative Action Plan by supporting on the ground watershed restoration and native fish projects. (\$350K in FY10 and FY 11)

- Chesapeake Bay Small Watershed Grant Program provides grants to organizations and local governments working on a community level to protect



and improve watersheds in the Chesapeake Bay basin. (\$200K in FY10 and FY 11)

- Upper Mississippi River Watershed Fund supports projects benefiting forest stewardship and the restoration of watersheds in the Upper Mississippi River drainage. (\$200K in FY10 and FY 11)

- The Great Lakes Watershed Restoration Program funds organizations working to protect, restore, or enhance the habitat for fish, wildlife, and plants of the Great Lakes watershed. (200K in FY10 and FY 11)

- Native Plant Conservation Initiative supports on-the-ground conservation projects that protect, enhance, and restore native plant communities on public and private lands. (\$100K in FY10 and FY 11). Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **10.684 INTERNATIONAL FORESTRY PROGRAMS**

#### **FEDERAL AGENCY:**

Forest Service, Department of Agriculture

#### **AUTHORIZATION:**

International Forestry Cooperation Act of 1990, Act of November 4, 1990, Public Law 101-513, Title VI; 104 Stat. 2070; 16 U.S.C 4501 (note), 4501-4503, 4503a-d, 4504-4505.

#### **OBJECTIVES:**

To extend Forest Service efforts to improve forest policies and practices internationally, address climate change, conserve and protect critical global forest environments and resources, and improve the lives of forest-dependent peoples by awarding grants to and entering into cooperative agreements with nonprofit organizations, multilateral organizations, and other individuals, organizations, institutions, and governments engaged in forest conservation and management.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are used to carry out, supplement and complement Forest Service international activities in a wide range of fields, including but not limited to forest policies and regulations, forest products trade, forest management practices, wildlife management, watershed management, recreation and tourism, fire management, forest insect and disease prevention and response, invasive species preventions and response, disaster response and mitigation, landscape planning, forest product development and utilization, climate change adaptation and mitigation, forest economics, and training and institutional strengthening. Grants will be limited to five years.

#### **Applicant Eligibility:**

Potential applicants include U.S. and international organizations, educational institutions, government entities, and individuals. International applicants must be from countries sanctioned by the State Department.

#### **Beneficiary Eligibility:**

Potential beneficiaries include host-country forest management agencies, non-profit organizations, forest landowners in the target countries, forest-dependent communities and peoples in the targeted countries, and U.S. landowners and organizations involved in or concerned with invasive species mitigation, migratory species conservation, legal trade in forest products, and the impact of climate change on forests.

#### **Credentials/Documentation:**

Project managers and organizations must document competence in the field and activities of the project proposed. Eligible projects must fit within the U.S. Forest Service International Programs priorities, comply with all federal grants and agreements regulations, and be documented through a completed grant application. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A complete proposal must be submitted to International Programs and explain in detail the work to be undertaken, the qualifications of key personnel involved in the work, resources such as equipment, facilities, services available or needed, and a detailed proposed budget for each fiscal year during the life of the grant. All grant proposals must show technical competence and demonstrate ability to meet international, transnational, national, regional or local needs. Proposals for federal financial assistance must also submit a SF-424, SF-424(A) and (B).

#### **Award Procedure:**

Proposals will be evaluated by the Forest Service Office of International Programs, in consultation with the U.S. State Department and the U.S. Agency for International Development, where relevant, for purposes of ensuring compliance with U.S. foreign policy and objectives. Proposed activities will be assessed for their ability to improve forest management and the welfare of forest-dependent peoples in the targeted country or countries, as well as their ability to enhance or complement existing or planned Forest Service programs and activities.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days. 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Requests for continued support will be considered as equal in importance and in competition with pending proposals. Applications submitted for continued support should be identical to a new proposal along with a detailed summary of progress to date. Applications for continued support must be received no later than 3 months prior to the expiration of the existing grant or agreement.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The applicant's contribution is negotiated. The proposed budget by fiscal year shows the estimated cost of the complete project from grant funds and the value of resources to be contributed by the applicant. The non-Federal cost share may consist of: funds, donations, in-kind contributions, direct costs, indirect costs, and other as determined by the Forest Service. Funds will be provided on a per-project basis, as determined by annual budget allocations.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Up to 5 years. Billing and invoices for expenses incurred may be submitted quarterly or semi-annually. Electronic transfers of payments are encouraged. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

#### **Reports:**

Final technical reports and financial status reports are due within one (1) month of completion of the project or of the expiration of the agreement, whichever is first. Cash reports are not applicable. Progress reports are not applicable. Financial status reports are required quarterly (using SF425). Technical progress reports are required semi-annually.

#### **Audits:**

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

#### **Records:**

All related data, information, records and accounts shall be retained for 3 years beyond the expiration date of the grant unless other disposition is specified in

writing by the awarding agency.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$6,400,000; FY 12 est \$3,500,000; and FY 13 est \$5,500,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please consult with International Programs for information relevant to a specific proposal.

**Regional or Local Office:**

See Regional Agency Offices. Alex Moad, Assistant Director for Technical Cooperation, International Programs, amoad@fs.fed.us, 202-273-4695  
Vanessa Felder, Grants and Agreements Specialist, International Programs, vanessafelder@fs.fed.us, 22-273-4695.

**Headquarters Office:**

Vanessa Felder, 1099 14th St. NW, Washington, District of Columbia 20005  
Email: vanessafelder@fs.fed.us Phone: (202) 273-4695.

**Website Address:**

www.fs.fed.us/global.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of executed grants are: Reforestation and Panda Habitat Conservation in Southwest China; Training for Improved Forest Practices in Brazil; Migratory Bird Habitat Improvement and Conservation in Mexico; Policy and Technology Training to improve transparency in the Forest Sector in Russia; Development of Protected Area Education Curriculum and Training in Southern Africa; Development of a Financial Assessment Model for Reduced Impact Logging; and Middle East Regional Cooperation on Watershed Monitoring Protocols. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established on a program-by-program basis and approved based on the negotiated objectives to be achieved at international, national, regional and local levels.

**10.685 COMMUNITY WOOD ENERGY PROGRAM**

Farm Bill, Title IX Energy, Section 9013

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation and Energy Act of 2008, Title IX, Section 9013, Public Law 110-246.

**OBJECTIVES:**

Encourage the development of community wood energy plans and/or acquire or upgrade community wood energy systems.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A community wood energy system acquired with grant funds or receiving technical assistance shall not exceed an output of 50 million Btu per hour for heating and/or 2 megawatts for electric power production. A community wood energy system acquired with grant funds or receiving technical assistance shall not exceed an output of 50 million Btu per hour for heating and/or 2 megawatts for electric power production.

**Applicant Eligibility:**

State, Tribal, and local governments (or designees).

**Beneficiary Eligibility:**

Public facilities owned or operated by State or local governments, including schools, town halls, libraries, hospitals and other public buildings which use woody biomass as the primary fuel. Tribal governments are eligible.

**Credentials/Documentation:**

No credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applicants will submit SF 424 forms as applicable, a proposal, budget and budget narrative along with other information specifically required in the public announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. At least 50 percent match is required from Non-Federal funds for grants. Technical Assistance will be based on previous work and commitment to future work demonstrated by the applicant. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not established at this time, although no more than three years. See the following for information on how assistance is awarded/released: Reimbursement and/or advance payment on a monthly, quarterly or bi-annual basis.

**Reports:**

The recipient will complete programmatic reports, including an annual report, as indicated in OMB Circulars and award terms. No cash reports are required. This requirement is not fully established at this time. However, programmatic reporting is required and may include progress to date requirements. The recipient will complete required financial reports as indicated in OMB Circulars and award terms. The Forest Service will monitor the progress of recipient perform under awards.

**Audits:**

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

**Records:**

The recipient shall make all program and financial records pertaining to an award available for Forest Service or other designated federal agency auditors for a period of 3 years from the date of award completion.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$5,000,000; FY 12 est \$5,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

Not established at this time.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.fpl.fs.fed.us>

**Regional or Local Office:**

None.

**Headquarters Office:**

Dave Atkins, 1400 Independence Avenue SW, Washington, District of Columbia 20024 Email: [datkins@fs.fed.us](mailto:datkins@fs.fed.us) Phone: 202-205-0929

**Website Address:**

<http://www.fpl.fs.fed.us>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

National merit based criteria will be set for competitive grants. State, Tribal or local government request for technical assistance will be competitively selected based on established criteria.

**10.686 FOREST BIOMASS FOR ENERGY**

Forest Biomass for Energy

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation and Energy Act of 2008, 7 USC 8701, Title IX, Section 9012, Public Law 110-246.

**OBJECTIVES:**

To encourage the use of woody biomass for energy. Priority will be given to projects that: (1) develop technology and techniques to use low-value forest biomass, such as byproducts of forest health treatments and hazardous fuels reduction, for the production of energy; (2) develop processes that integrate production of energy from forest biomass into biorefineries or other existing manufacturing streams; (3) develop new transportation fuels from forest biomass; and (4) improve the growth and yield of trees intended for renewable energy production.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Research and Development activities. 100%.

**Applicant Eligibility:**

Applicant must be affiliated with Forest Service Research and Development, other Federal agencies, State and local governments, Indian tribes, land grant colleges and university, or private entities including for-profit and non-profit organizations.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-proposals will be used for initial screening, using a peer review panel of scientific and technical experts in the field. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Full proposals will be requested from those that are selected in the pre-proposal review. Detailed evaluation criteria will be posted on a Forest Service website, and proposals will be evaluated by a peer review panel of scientific and technical experts in the field. Primary application requirements will include relevance to priorities identified in the announcement for proposals; scientific quality and contribution of the proposed research; evidence of external collaboration; clearly defined outcomes, deliverables, and benefits that can be reported annually; and appropriateness/adequacy of proposed budget.

**Award Procedure:**

Applicants will be required to submit applications using the SF 424 Application for Assistance forms located at [www.grants.gov](http://www.grants.gov); additional application requirements will be contained in the request for proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal requests must be submitted as a new proposal.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 106/113.

Matching Requirements: Percent: 30%. Payments to a named governmental entity are determined as established in Public Law 106-113.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards can be made for multiple-year funding up to three years with second- and third-year funding dependent on available funding. Single-year funding can have a 2-year term. Either multiple- or single-year funding awards can have a no-cost extension up to one year. See the following for information on how assistance is awarded/released: As stated in the award terms.

**Reports:**

A final report is required for all funded awards. This report can be in the form of a final report or in publications that result from the project. The recipient must be able to report on the fund expenditures. Cash reports are not applicable. Progress reports, if required, will be specified in the award document. Expenditure reports are required using SF 425 Federal Financial Report. This report will replace the SF 269 and SF 272 for financial/expenditure reporting as of 10/1/2009. Performance monitoring activities will be conducted by the Forest Service program manager to measure performance against established award goals.

**Audits:**

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

**Records:**

Complete financial records must be made available to Federally appointed persons upon request.

**Account Identification:**

12-1106-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$15,000,000; and FY 13 est \$10,000,000 - Per the authorizing legislation, this program is authorized \$15,000,000 for each of fiscal years 2009 through 2012.

**Range and Average of Financial Assistance:**

\$500,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. USDA Forest Service Research and Development  
Resource Use Sciences/Forest Management Sciences  
1400 Independence Avenue, SW  
Washington, DC 20250.

**Headquarters Office:**

Marilyn Budorf, 1400 Independence Avenue SW, Washington, District of  
Columbia 20250 Phone: 703-591-0916

**Website Address:**

<http://www.fs.fed.us/research/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated according to the criteria specified in the program solicitation. All proposals are reviewed competitively by a peer review panel consisting of scientific and technical experts in the field. The Agency uses the peer review process to ensure fair and knowledgeable evaluation of pre-proposals and proposals.

**10.687 RECOVERY ACT OF 2009: CAPITAL IMPROVEMENT AND MAINTENANCE**

Recovery Act of 2009: CIM

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 ("Recovery Act"): For partnership agreements: Cooperative Funds and Deposits Act of December 12, 1975, Public Law 94-148, 16 U.S.C. 565a1 a3, as further authorized by Division F, Title IV, Section 417 of the Consolidated Appropriations Act 2008 (Public Law 110-161). (Participating Agreements); Interior and Related Appropriations Act of 1992. (Public Law 102-154, (Challenge Cost-Share Agreements); National Agricultural Research, Extension, and Teaching Policy Act of 1977 (Public Law 95-113), as amended by the Food Security Act of 1985 (7 U.S.C. 3318, and 3319, Public Law 99-198) and further amended by Public Law 105-198(Research); Wyden Amendment (Public Law 105-277, Section 323 as amended by Public Law 109-54, Section 434) (Participating Agreements - Watershed restoration); Exempted Agreements: National Forest Roads and Trails Act of October 13, 1964 (16 U.S.C. 532-538, Public Law 88-657) and; Southern Nevada Public Land Management Act of 1998; and Lake Tahoe Restoration Act, Public Law 106-506 as amended; and White Pine County Conservation, Recreation and Development Act of 2006; and Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended. For project grants/cooperative agreements: Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 16 U.S.C. 2101 (S&PF); Farm Security and Rural Investment Act of 2002, Public Law 107-171.(S&PF); Public Law 105-277, Division A, Section 101(e), Title III, Section 343 (S&PF); Public Law 110-246, Food, Conservation and Energy Act of 2008, Title XI - ENERGY, Sections 9012 and 9013 (R&D); Public Law 105-277, Section 323, as amended by Public Law 109-54 and permanently authorized by Public Law 111-11, Section 3001, Watershed Restoration and Enhancement Act (Wyden Authority) (NFS & S&PF); Public Law 109-58, Energy Policy Act of 2005 42 U.S.C.15855 (S&PF & R&D); Public Law 109-432, Title III, Subtitle G, Eastern Nevada Landscape Restoration Project (S&PF); Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended, Title II RACs.

**OBJECTIVES:**

For priority road, bridge and trail maintenance and decommissioning, including related watershed restoration and ecosystem enhancement projects; facilities improvement, maintenance and renovation; and remediation of abandoned mine sites.

All funds have been awarded for this program. No further applications are being considered for award under this CFDA program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Road, bridge and trail maintenance and decommissioning, including related watershed restoration and ecosystem enhancement projects; facilities improvement, maintenance and renovation; and remediation of abandoned mine sites. ARRA reporting requirements must be met by all recipients of Recovery Act funding.

**Applicant Eligibility:**

No new grants are being issued. The Forest Service is presently closing out grants and de-obligating funds, if necessary, under CFDA 10.687 - ARRA: Capital Improvement. Once de-obligations are complete, this CFDA will be archived.

**Beneficiary Eligibility:**

No other information.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All funds have been awarded for this program. No further applications are being considered for award under this CFDA program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

No other information.

**Renewals:**

No other information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. Matching requirements as required under specific statutory authority (as cited above) or as may be specifically waived under the terms of the Recovery Act. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No additional funds are available for awards under this CFDA program. See the following for information on how assistance is awarded/released: Depending upon the type of assistance (grants or cooperative agreements) or partnership agreements, payments may be made on an advance basis or reimbursable basis as authorize by the specific authority under which the awards are being made.

**Reports:**

Accomplishment reports are a requirement of Recovery Act awards. The report will be posted to [www.federalreporting.gov](http://www.federalreporting.gov) and tied to [www.Recovery.gov](http://www.Recovery.gov). Recipients and their subrecipients (first-tier) must have a Dun and Bradstreet Universal Numbering System (DUNS) number ([www.dnb.com](http://www.dnb.com)) and must

maintain active and current profiles in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)). (ARRA 1512, ARRA 1609). Cash reports are not applicable. Progress reports are due quarterly as published at the [www.federalreporting.gov](http://www.federalreporting.gov) website. Invoices displaying current expenditures and cumulative expenditures are required in sufficient detail to permit a substantive review, i.e., individual expenditures should be itemized. Monitoring is an integral part of post award administration. The purpose of monitoring is to ensure that the recipient meets their programmatic and financial requirements of the award. There are several types of grant/agreement monitoring functions. These could include telephone calls, desk reviews, on-site reviews, performance reports, financial and legal reviews, or other tools.

**Audits:**

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

**Records:**

Accounting records shall be maintained in accordance with generally accepted accounting principles adequate to collect, record and document award-related expenditures. See Section 1514 and 1515 of the Recovery Act.

**Account Identification:**

12-1102-0-1-302.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No new obligations are available for awards under this CFDA program.

**Range and Average of Financial Assistance:**

\$25,000 - \$5 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.recovery.gov> and the USDA recovery website provide award recipients with access to all OMB guidance and agency-specific guidance applicable to ARRA funding requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Associate Chief, 201 14th Street, SW, Washington, District of Columbia 20024  
Phone: (202) 205-1779.

**Website Address:**

<http://fs.usda.gov/economicrecovery>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.688 RECOVERY ACT OF 2009: WILDLAND FIRE MANAGEMENT**

ARRA WFM

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 (Recovery Act) For partnership agreements: Cooperative Funds and Deposits Act of December 12, 1975, Public Law 94-148, 16 U.S.C. 565a1 a3, as further authorized by Division F, Title IV, Section 417 of the Consolidated Appropriations Act 2008 (Public Law 110-161). (Participating Agreements); Interior and Related Appropriations Act of 1992. (Public Law 102-154,

(Challenge Cost-Share Agreements); National Agricultural Research, Extension, and Teaching Policy Act of 1977 (Public Law 95-113), as amended by the Food Security Act of 1985 (7 U.S.C. 3318, and 3319, Public Law 99-198) and further amended by Public Law 105-198 (Research); Wyden Amendment (Public Law 105-277, Section 323 as amended by Public Law 109-54, Section 434) (Participating Agreements - Watershed restoration); Exempted Agreements: National Forest Roads and Trails Act of October 13, 1964 (16 U.S.C. 532-538, Public Law 88-657) and; Southern Nevada Public Land Management Act of 1998; and Lake Tahoe Restoration Act, Public Law 106-506 as amended; and White Pine County Conservation, Recreation and Development Act of 2006; and Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended. For project grants/cooperative agreements:

Cooperative Forestry Assistance Act of 1978, Public Law 95-313, 16 U.S.C. 2101 (S&PF); Farm Security and Rural Investment Act of 2002, Public Law 107-171.(S&PF); Public Law 105-277, Division A, Section 101(e), Title III, Section 343 (S&PF); Public Law 110-246, Food, Conservation and Energy Act of 2008, Title XI - ENERGY, Sections 9012 and 9013 (R&D); Public Law 105-277, Section 323, as amended by Public Law 109-54 and permanently authorized by Public Law 111-11, Section 3001, Watershed Restoration and Enhancement Act (Wyden Authority) (NFS & S&PF); Public Law 109-58, Energy Policy Act of 2005 42 U.S.C.15855 (S&PF & R&D);Public Law 109-432, Title III, Subtitle G, Eastern Nevada Landscape Restoration Project (S&PF); Secure Rural Schools and Community Self-Determination Act of 2000, as reauthorized and amended, Title II RACs.

**OBJECTIVES:**

Hazardous fuels reduction, forest health protection, rehabilitation and hazard mitigation activities on Federal lands, and State and private forestry activities including hazardous fuels reduction, forest health and ecosystem improvement activities on State and private lands; wood-to-energy grants to promote increased utilization of biomass from Federal, State and private lands.

All funds have been awarded for this program. No further applications are being considered for award under this CFDA program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Hazardous fuels reduction, forest health protection, rehabilitation and hazard mitigation activities on Federal lands, and State and private forestry activities including hazardous fuels reduction, forest health and ecosystem improvement activities on State and private lands; wood-to-energy grants to promote increased utilization of biomass from Federal, State and private lands. ARRA reporting requirements must be met by all recipients of Recovery Act funding.

**Applicant Eligibility:**

No new grants are being issued. The Forest Service is presently closing out grants and de-obligating funds, if necessary, under this CFDA number. Once remaining de-obligations are complete, this CFDA will be archived.

**Beneficiary Eligibility:**

In addition to project grants and cooperative agreements, mutual benefit partnership agreements such as Challenge Cost Share Agreements, Participating Agency Agreements, Cooperative Forest Road Agreements have been awarded.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All funds have been awarded for this program. No further applications are being considered for award under this CFDA program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

No other information.

**Renewals:**

No other information.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. Depending on the authority under which an award is made, matching requirements may exist. Partnership agreements generally require a minimum 20 percent contribution. Awards provided for activities on State and private lands shall not be subject to matching or cost share requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No additional funds are available for awards under this CFDA program. See the following for information on how assistance is awarded/released: Depending upon the type of assistance (grants or cooperative agreements) or partnership agreements, payments may be made on an advance basis or reimbursable basis as authorized by the specific authority under which the awards are being made.

**Reports:**

Accomplishment reports are a requirement of Recovery Act awards. American Recovery and Reinvestment Act (ARRA)-Sections 1512 and 1609 Reporting Requirements: The report will be posted to [www.federalreporting.gov](http://www.federalreporting.gov) and tied to [www.Recovery.gov](http://www.Recovery.gov). Recipients and their subrecipients (first-tier) must have a Dun and Bradstreet Universal Numbering System (DUNS) number ([www.dnb.com](http://www.dnb.com)) and must maintain active and current profiles in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)). (ARRA 1512, ARRA 1609). Cash reports are not applicable. Progress reports are due quarterly as published at the [www.federalreporting.gov](http://www.federalreporting.gov) website. Invoices displaying current expenditures and cumulative expenditures are required in sufficient detail to permit a substantive review, i.e., individual expenditures should be itemized. Monitoring is an integral part of post award administration. The purpose of monitoring is to ensure that the recipient meets their programmatic and financial requirements of the award. There are several types of grant/agreement monitoring functions. These could include telephone calls, desk reviews, on-site reviews, performance reports, financial and legal reviews, or other tools.

**Audits:**

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

**Records:**

Accounting records shall be maintained in accordance with generally accepted accounting principles adequate to collect, record and document award-related expenditures. See Section 1514 and 1515 of the Recovery Act.

**Account Identification:**

12-1118-0-1-302.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No new obligations will be made in FY11 or FY12.

**Range and Average of Financial Assistance:**

\$25,000 - \$2 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.recovery.gov> and the USDA recovery website provide award recipients with access to all OMB guidance and agency-specific guidance applicable to ARRA funding requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Associate Chief, 201 14th Street, SW, Washington, District of Columbia 20024  
Phone: (202) 205-1779.

**Website Address:**

<http://fsweb.wo.fs.fed.us/economicrecovery/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.689 COMMUNITY FOREST AND OPEN SPACE CONSERVATION PROGRAM (CFP)**

Community Forest Program (CFP)

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, which amends the Cooperative Forestry Assistance Act of 1978 (16 USC 2103d), Title IX, Section 8003, Public Law 110-246, 122 Stat. 1651. The final rule for implementation of the Community Forest and Open Space Conservation Program (36 CFR Part 230) was published in the Federal Register in October 2011.

**OBJECTIVES:**

The purpose of CFP is to achieve community benefits by establishing community forests through 50/50 financial assistance competitive grant awards to local governments, Indian tribes, and nonprofit organizations. Grant funds are used by successful applicants to acquire and protect private forestlands. Community forest benefits are specified in the authorizing statute (16 U.S.C. 2103(d) & 2109(e)) and final rule (36 CFR Part 230), including: economic benefits from sustainable forest management and tourism; environmental benefits from natural resource conservation such as storm water management, clean air and water, and wildlife habitat; forest-based educational programs, model forest stewardship activities, and recreational opportunities. Public access to the community forests is required and intended to enhance public health and well-being. In addition, the program authorizes funds to State Foresters and equivalent Indian tribe officials for technical assistance to implement community forest projects.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Landowner participation in the program is voluntary and consists of conveying land to achieve conservation objectives.

**Applicant Eligibility:**

Project grants are awarded to local governments, Indian tribes, or nonprofit organizations qualified to acquire land and with the authority to manage land.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regional/Northeastern Area (NA) /International Institute of Tropical Forestry (IITF) Offices and the State Foresters can be a resource for assistance.

Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An annual request for applications will be published in the Federal Register with detailed instructions and updates to application procedures. Applicants will provide a narrative on the project with up to two eight inch by eleven inch maps, the draft community forest plan, and all forms required to process the grant (final rule section 230.7). Documentation of applicant eligibility (final rule section 230.2), information regarding the property, and information regarding the proposed community forest must be included in the application.

**Award Procedure:**

The Forest Service will conduct an annual project selection process to arrive at a prioritized national project list for inclusion in the Presidents budget. The Forest Service then issues grants for the project specific Congressional set-asides designated in the Congressional appropriations bills. The Forest Service then issues grants to states based on the amounts provided in Congressional appropriations and the prioritized national project list.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. Funds reimbursed by the Federal Government may not exceed 50 percent of the total project budget expended by the grantee. The non-Federal share of the match may be in the form of cash, services, or in-kind contribution. This program has up to 10% of its funds for each fiscal year available for technical assistance administrative grants. Technical assistance funds do not have a matching requirement and are available to state foresters or equivalent officials of Indian tribes with a funded project in their jurisdiction. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The annual request for applications will describe in greater detail the award assistance length and time phasing. The initial grant period is 2 years and funds are released in accordance with the final rule, including completion of acquisition requirements under section 230.8. See the following for information on how assistance is awarded/released: As determined by the award terms.

**Reports:**

The Forest Service program manager will conduct monitoring activities to measure performance against established grant objectives. Grant recipients must provide the Forest Service with a Geographic Information System (GIS) shapefile: a digital, vector-based storage format for storing geometric location and associated attribute information, of CFP project tracts and cost share tracts, if applicable. Additional requirements under section 230.9 of the final rule also apply. Cash reports are not applicable. No progress reports are required. SF 425 Federal Financial Report will be used to report total program expenditures that clearly reflect the established 50% match. The Forest Service program manager will conduct monitoring activities to measure performance against established grant objectives.

**Audits:**

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

year, except as noted in Circular No. A-133.

**Records:**

Access to financial reports shall be provided to Forest Service or its designees as described in the award.

**Account Identification:**

12-1105-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,000,000; FY 12 est \$3,500,000; and FY 13 Estimate Not Available - Annual funding levels to be determined per Presidential budget request.

**Range and Average of Financial Assistance:**

Individual grant applications may not exceed \$400,000 in program financial assistance. Range and average are to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars are applicable to awards under this program. A-102 as implemented by 7 CFR 3016 and A-87 as implemented by 2 CFR 225 apply to State, local, and Tribal Governments. A-110 as implemented by 2 CFR 215 and A-122 as implemented by 2 CFR 230 apply to non-profit organizations.

**Regional or Local Office:**

None. Forest Service S&PF, Cooperative Forestry  
1400 Independence Avenue, SW  
Stop Code 1123  
Washington, DC 20250.

**Headquarters Office:**

Maya Soloman, 1400 Independence Ave SW, MS-1123, Washington, District of Columbia 20850 Phone: 202-205-1376

**Website Address:**

<http://www.fs.fed.us/spf/coop/programs/loa/cfp.shtml>

**RELATED PROGRAMS:**

10.676 Forest Legacy Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Forest Service will give priority to an application that maximizes the delivery of community benefits through a high degree of public participation; and

- (1) Type and extent of community benefits provided. Community benefits include:
  - (i) Economic benefits such as timber and non-timber products resulting from sustainable forest management and tourism
  - (ii) Environmental benefits, including clean air and water, stormwater management, and wildlife habitat
  - (iii) Benefits from forest-based experiential learning, including K-12 conservation education programs; vocational education programs in disciplines such as forestry and environmental biology; and environmental education through individual study or voluntary participation in programs offered by organizations such as 4-H, Boy or Girl Scouts, Master Gardeners, etc.(iv) Benefits from serving as replicable models of effective forest stewardship for private landowners
  - (v) Recreational benefits secured through public access, such as hiking, hunting and fishing
- (2) Extent and nature of community engagement in the establishment and long-term management of the community forest
- (3) Amount of cost share leveraged
- (4) Extent to which the community forest contributes to a landscape conservation initiative
- (5) Extent of due diligence completed on the project, including cost share committed and status of appraisal
- (6) Likelihood that, unprotected, the property would be converted to nonforest uses
- (7) Costs to the Federal government

(8) Additional considerations as may be outlined in the RFP.

## **10.690 LAKE TAHOE EROSION CONTROL GRANT PROGRAM**

Lake Tahoe Erosion Control Grant Program

### **FEDERAL AGENCY:**

Forest Service, Department of Agriculture

### **AUTHORIZATION:**

Lake Tahoe Restoration Act, Public Law 106-506, as amended by Department of the Interior and Related Agencies Appropriations Act for Fiscal Year 2004, Public Law 108-108. New legislation has been introduced in Congress for LTRA reauthorization and revision, but it has not yet been adopted. Adoption of the new updated LTRA would aid in continuation of funding.

### **OBJECTIVES:**

To make annual payments to the governing bodies of each of the political subdivisions (including public utilities) located in the Lake Tahoe Basin to be used primarily for erosion control and water quality projects. The goal of the program is to provide federal assistance to address urban stormwater runoff pollution, the primary source of pollutants (fine sediment and nutrients) affecting the clarity of Lake Tahoe. This program addresses urban runoff from public roads and right of ways.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Only after water quality and soil conservation thresholds have been achieved, funds may be used to address other environmental threshold categories. Payments shall be used only to carry out a project or proposed project that is part of the environmental improvement program adopted by the Tahoe Regional Planning Agency in 1998.

### **Applicant Eligibility:**

Eligible applicants: Local governing bodies of political subdivisions in the Lake Tahoe basin, including counties, cities, conservation districts, public utility districts, and general improvement districts.

### **Beneficiary Eligibility:**

Beneficiary Eligibility: Governing bodies of each of the political subdivisions (including public utilities) located in the Lake Tahoe Basin.

### **Credentials/Documentation:**

No credentials or documentation are required. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Submittal of an annual list of priority projects, along with written proposals for each of the identified priority projects. The USFS has chosen to adopt the State guidelines for the format of these proposals, since they meet all the needs for project narratives for federal grant considerations, with one additional requirement. That additional requirement is clear identification of sources and amounts of proposed match funding.

Implementation of construction projects under awarded grants are not allowed until a signed project decision under NEPA has been made, allowing the use of federal grant funds for implementation. Local Office monitors grant awards to assure compliance of this restriction. Planning, design, and monitoring grants do not require an environmental impact assessment. An environmental impact assessment is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Project narratives submitted through the pre-application process are reviewed by an interagency technical advisory committee convened by the Federal grants program managers. Projects are then identified for award, along with instructions for any needed revisions to the project narratives. At that time, eligible applicants submit revised narratives along with standard application forms and assurances to the Local Office, as furnished by the Federal agency.

### **Award Procedure:**

Award letter sent to grantee, with identification of grant requirements, in letter from Local Office.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

From 60 to 90 days. Extensions can be made for individual grants as long as end dates do not exceed five years post award date.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. Notwithstanding section 9(b) of Public Law 106 506, funds hereinafter appropriated under Public Law 106506 shall require matching funds from non-Federal sources on the basis of aggregate contribution to the Environmental Improvement Program, as defined in Public Law 106506, rather than on a project by-project basis, except for those activities provided under section 9(c) of that Act, to which this amendment shall not apply.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Grants are awarded for a period not to exceed 5 years. Invoices may be submitted no more frequently than monthly. See the following for information on how assistance is awarded/released: Payments made based on authorization and negotiation of provisions with cooperator.

### **Reports:**

Bi-annual accomplishment reports are required by Local Office. A final accomplishment report, financial expenditures report, and final as-built project design drawings is required within 90 days of project completion. No cash reports are required. No progress reports are required. Financial expenditures reporting is required. SF-425. Performance monitoring is not applicable.

### **Audits:**

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

### **Records:**

Financial and programmatic records must be retained for three years from the date of submission and approval of final financial reports.

### **Account Identification:**

12-1106-0-1-302 - 1214X5232- funding from BLM.

### **Obligations:**

(Project Grants (Discretionary)) FY 11 \$6,904,980; FY 12 est \$9,400,000; and FY 13 est \$0 -

### **Range and Average of Financial Assistance:**

Range between \$300K to \$2.5M. Average award: \$1.2M.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: From 2005-2011 funding under the LTRA has resulted in a total of 47 awards totaling \$64,540,310 awarded to eight local government entities. An additional \$1,352,650 has been provided to other federal government partners through cooperative agreements to fund monitoring efforts to track effectiveness of this program. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

### **Regional or Local Office:**



See Regional Agency Offices. Barb Shanley or Genevieve Villemarie, Forest Service, 35 College Drive, South Lake Tahoe, CA 96150, Telephone: (530) 543-2657 or 2783, Fax: (530) 543-2693, email: bshanley@fs.fed.us or gvillemarie@fs.fed.us.

**Headquarters Office:**

Barbara Shanley, 35 College Drive, South Lake Tahoe, California 96150 Email: bshanley@fs.fed.us Phone: (530) 543-2657.

**Website Address:**

<http://www.fs.fed.us/r5/Itbmu/ecgp/index.shtml>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Awards fund the planning, construction, and monitoring of urban stormwater treatment projects to treat runoff from public right of ways. Projects include installation of source control (ex. curb and gutter, road cut bank stabilization) and water treatment (ex. drop inlets, sediment basins) best management practices. Awards also fund SEZ and stream restoration within urbanized areas. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants must address planning, construction, or monitoring of projects identified in the Tahoe Regional Planning Agency environmental improvement program (EIP). Projects submitted from this list are selected based on the annual priority list provided by the eligible local governments, and direction provided in the LTRA: 1) The total amounts appropriated for payments under this subsection shall be allocated by the Secretary of Agriculture based on the relative need for and merits of projects proposed for payment under this section. 2) To the maximum extent practicable, for each fiscal year, the Secretary of Agriculture shall ensure that each political subdivision in the Lake Tahoe basin receives amounts appropriated for payments under this subsection.

**10.691 GOOD NEIGHBOR AUTHORITY**

Good Neighbor Authority

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Omnibus Appropriations Act of 2009, Public Law 111-8; FY 2005 Interior and related Agencies Appropriations Act, Public Law 108-447, 118 Stat. 3012, as amended by Consolidated Security, Disaster Assistance and Continuing Appropriations Act of 2009, Public Law 110-329, as amended by PL-111-88, Division A, Title IV, Section 422 of the Department of the Interior, Environment, and Related Agencies Appropriations Act, 2010. Authority due to expire September 30, 2013.

**OBJECTIVES:**

To permit the State Forester of the states of Colorado and Utah to perform forest, rangeland, and watershed restoration services on National Forest System Lands in the states of Colorado and Utah.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Restoration services provided are on a project-by-project basis as planned or made ready for implementation under existing Forest Service authorities. Types of projects include treatment of insect infected trees, reduction of hazardous fuels, and other activities to restore or improve forest, rangeland, and watershed health including fish and wildlife habitat. Projects may be completed by the states of Colorado and Utah or subcontracts utilizing state contract procedures. No special funding comes with this authority. Project funding is based on available appropriated funding for needed work.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

Program authorized for the states of Colorado and Utah only.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental documentation by the Forest Service is completed prior to inclusion under an award. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Forest Service and the states of Colorado and Utah mutually agree to projects that are appropriate under this authority.

**Award Procedure:**

The law authorizes sole source award of included projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Submit written request with SF-424 application and SF-424A (as applicable) to amend budget amounts or length of commitment; other requirements may be established by the affected Forest Service Supervisor's Office in consultation with the Regional Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As specified in award terms but not to exceed 5 years. See the following for information on how assistance is awarded/released: As specified in award terms.

**Reports:**

The states of Colorado and Utah shall submit a performance report annually. No cash reports are required. No progress reports are required. Financial reports shall be submitted in accordance with award terms. No performance monitoring is required.

**Audits:**

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

**Records:**

All related data, information, records and accounts shall be retained for a period of 3 years beyond the date of submission of final financial reports. Financial and programmatic records will be made available to the Forest Service or its designated agent upon request.

**Account Identification:**

12-1106-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$39,821; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$5,000 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Multiple projects in the states of Colorado and Utah were performed in FY 2011. Fiscal Year 2012: No Current Data Available Fiscal

Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Colorado's contact is Bob Garcia, 740 Simms Street, Golden, Colorado 80401, Phone No. 303-275-5024. Utah's contact is Doris Mackey, 324 25th Street, Ogden, UT 84401, Phone No. 801-625-5812.

**Headquarters Office:**

Bob Garcia 740 Simms Street, Golden, Colorado 80401 Phone: 303-275-5024

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All cooperative agreements are approved on the basis of negotiated targets, project objectives to be achieved, and the relationship to regional forest health issues, priorities and needs.

**10.693 WATERSHED RESTORATION AND ENHANCEMENT AGREEMENT AUTHORITY**

Wyden Amendment

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Public Law 105-277, Section 323 as amended by Public Law 109-54 Section 434. This program has been permanently authorized, Public Law 111-11.

**OBJECTIVES:**

To enter into domestic cooperative agreements or gants with willing participants for the protection, restoration, and enhancement of fish and wildlife habitat and other resources on public or private land and for the reduction of risk from natural disaster where public safety is threatened that benefit these resources within the watershed.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Projects that protect, enhance, or restore resources within a watershed and provide tangible benefits to achieving Forest Service goals and objectives are allowable under Wyden. Project types are not limited to actual projects on the ground; for example, stream gabion installation, check dam construction, fish habitat restoration, or culvert cleaning. Watershed analysis studies, habitat surveys and wildlife species monitoring, depending on the benefit to resources within the watershed, are also permissible under Wyden. Any project carried out under Wyden authority must comply with all applicable Federal, State and local laws and regulations, policies and permit requirements; for example, National Environmental Policy Act, Clean Water Act, and Endangered Species Act. Projects must be within a watershed for the stated program objectives. Use of grants is restricted to State and Private Forestry funding.

**Applicant Eligibility:**

States, local or tribal governments, private and nonprofit entities, and private landowners.

**Beneficiary Eligibility:**

Projects must be within a watershed for the stated program objectives.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Any project carried out under Wyden authority must comply with all applicable Federal, State and local laws and regulations, policies and permit requirements; for example, National Environmental Policy Act, Clean Water Act, and

Endangered Species Act. The standard application forms SF 424s as furnished by the federal agency and required by OMB A-102, as implemented by 7 CFR Part 3016, must be used for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Forest Service and cooperator mutually agree to projects that are appropriate.

**Award Procedure:**

Established by Forest headquarters, Regional or Washington Office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days. Submit written request and completed SF-424 application and SF-424A (as applicable) to amend amount or length of commitment; other requirements may be established by the affected Forest headquarters, Regional or Washington Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As specified on the cooperative agreement, but not to exceed 5 years. Invoices may be submitted no more frequently than monthly. See the following for information on how assistance is awarded/released: As specified on the cooperative agreement.

**Reports:**

No program reports are required. No cash reports are required. As specified in the award document, progress reporting is required to monitor progress against award objectives. Recipients will complete and submit SF-425s to report expenditures and cash on hand, as applicable. The recipient and other parties to the agreement are expected to conduct monitoring activities.

**Audits:**

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

**Records:**

Access to financial reports shall be provided to Forest Service or its designees as described in the award.

**Account Identification:**

12-1115-0-1-302; 12-1105-0-1-302; 12-1106-0-1-302 - 12/14-5232-0-1-302.

**Obligations:**

(Salaries) FY 11 \$6,000,000; FY 12 est \$6,000,000; and FY 13 est \$6,000,000

**Range and Average of Financial Assistance:**

Varies by type of project and funding available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, as applicable to the type of recipient and 48 CFR 31.2 for Private Landowners.

**Regional or Local Office:**

See Regional Agency Offices. Varies by type of project and funding available.

**Headquarters Office:**

FS Watershed and Aquatics, 201 14th Street NW, Room 3SE, Washington, District of Columbia 20024 Phone: (202) 205-1790.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements and grants are negotiated on the basis of project objectives to be achieved, with emphasis on restoration, protection, and enhancement of fish and wildlife habitat, and other resources on public and private land, the reduction of risk from natural disaster where public safety is threatened, or a combination thereof or both that benefit these resources within the watershed; availability of funding.

**10.694 SOUTHWEST FOREST HEALTH AND WILDFIRE PREVENTION**

Southwest Forest Health and Wildfire Prevention

**FEDERAL AGENCY:**

Forest Service, Department of Agriculture

**AUTHORIZATION:**

Southwest Forest Health and Wildfire Prevention Act, Public Law 108-317.

**OBJECTIVES:**

(1) To enhance the capacity to develop, transfer, apply, monitor, and regularly update practical science-based forest restoration treatments that will reduce the risk of severe wildfires, and improve the health of dry forest and woodland ecosystems in the interior West; (2) to synthesize and adapt scientific findings from conventional research programs to the implementation of forest and woodland restoration on a landscape scale; (3) to facilitate the transfer of interdisciplinary knowledge required to understand the socioeconomic and environmental impacts of wildfire on ecosystems and landscapes; (4) to require the Institutes established under this Act to collaborate with Federal agencies to use ecological restoration and wildfire treatments; (5) to assist land managers in restoration-based applications and new management technologies; (6) to provide technical assistance to collaborative efforts by affected entities; and (7) to assist Federal and non-Federal land managers in providing information to the public on the role of fire and fire management.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To require the Institutes established under this Act to collaborate with Federal agencies (A) to use ecological restoration treatments to reverse declining forest health and reduce the risk of severe wildfires across the forest landscape; and (B) to design, implement, monitor, and regularly revise representative wildfire treatments based on the use of adaptive ecosystem management. No funds made available under this Act shall be used to pay costs of constructing any facilities.

**Applicant Eligibility:**

none.

**Beneficiary Eligibility:**

One (1) Institute each of (A) the State of Arizona, to be located at Northern Arizona University; (B) the State of New Mexico, to be located at New Mexico Highlands University, while engaging the full resources of the consortium of universities represented in the Institute of Natural Resource Analysis and Management (INRAM); and (C) the State of Colorado, to be located at Colorado State University.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Institutes shall submit a Federal Financial Assistance application package, SF-424 forms, annually based on the amount of appropriated funds each fiscal year.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Advance or reimbursable payments.

**Reports:**

Accomplishment reports as set forth in the award letter are required. No cash reports are required. Progress reports are not applicable. Actual expenditures are detailed on each request for reimbursement and/or advance liquidation request. An SF425 Financial Report must be submitted at least annually. Terms are noted in the award letter. The Forest Service program manager shall conduct monitoring activities to track program accomplishments.

**Audits:**

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

**Records:**

Institutes shall maintain programmatic and accounting records applicable to each annual award for a period of not less than 3 years after the completion of all activities thereunder.

**Account Identification:**

12-1115-0-1-302; 12-1105-0-1-302.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$3,221,805; FY 12 est \$15,000,000; and FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: See <http://www.fs.usda.gov/goto/r3/sweri>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Plan; the report entitled Protecting People and Sustaining Resources in Fire-Adapted Ecosystems A Cohesive Strategy (65 Fed. Reg. 67480); and the report entitled 10-Year Comprehensive Strategy: A

Collaborative Approach for Reducing Wildland Fire Risks to Communities and the Environment of the Western Governors Association.

**Regional or Local Office:**

None.

**Headquarters Office:**

Walter Dunn, 333 Broadway Blvd. SE, Albuquerque, New Mexico 87102  
Email: wdunn@fs.fed.us Phone: 505-842-3425

**Website Address:**

<http://www.fs.usda.gov/goto/r3/sweri>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.700 NATIONAL AGRICULTURAL LIBRARY**

**FEDERAL AGENCY:**

Agricultural Research Service, Department of Agriculture

**AUTHORIZATION:**

5 U.S.C. 301, 552, 5946; 7 U.S.C. 450b, 450i, 2201, 2202, 2204, 2206, 2244, 2264, 2265, and 3318.

**OBJECTIVES:**

To serve as the Nation's Chief Agricultural information resource by providing agricultural information products and services through traditional library functions and through modern electronic dissemination to agencies of the USDA, public organizations, and individuals.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Anyone can use the services. Publications in the library collection are available through interlibrary loan or photo-reproduction, and the library facilities are open to anyone wishing to use them.

**Applicant Eligibility:**

Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Beneficiary Eligibility:**

Individuals, State and local governments, educational organizations, research societies, business and industry including those located in the U.S. Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Apply by letter to the Office of Associate Director, Public Services Division, National Agricultural Library, Beltsville, MD 20705.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Grants and Cooperative Agreements.

**Reports:**

Performance Reports. No cash reports are required. The frequency is outlined in the terms of the Agreement. The frequency is outlined in the terms of the Agreement. The frequency is outlined in the terms of the Agreement.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

12-1400-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$22,869,563; FY 12 est \$21,772,000; and FY 13 est \$21,815,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Guide to the Services of the National Agricultural Library."

**Regional or Local Office:**

See Regional Agency Offices. Office of the Director, National Agricultural Library, Beltsville, MD 20705-2351. Telephone: (301) 504-6780. Use the same number for FTS. Contact: Extramural Agreements Division.

**Headquarters Office:**

Kathleen S. Townson, 5601 Sunnyside Ave, MS-5110, Beltsville, Maryland 20705 Email: kathleen.townson@ars.usda.gov Phone: (301) 504-1702.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.759 PART 1774 SPECIAL EVALUATION ASSISTANCE FOR RURAL COMMUNITIES AND HOUSEHOLDS PROGRAM (SEARCH)**

SEARCH Grant Program

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

The Food, Conservation and Energy Act, Public Law 110-234 (Farm Bill) amended Section 306(a)(2) of the Consolidated Farm and Rural Development Act (CONACT) (7 U.S.C. 1926 (a)(2)). , Title 110, Part 234, Section 306(a)(2) , 7 U.S.C 1926 (a)(2)).

**OBJECTIVES:**

To make predevelopment planning grants for feasibility studies, design assistance, and technical assistance to financially distressed communities in rural areas with populations of 2,500 or fewer inhabitants for water and waste disposal projects.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

May fund up to 100 percent of the eligible grant costs, not to exceed \$30,000. Grants can only be made to financially distressed communities in rural areas with populations of 2,500 or fewer inhabitants.

**Applicant Eligibility:**

Applicants must be (1) public bodies or governmental entities such as states, municipalities, counties, districts, authorities, and other political subdivisions of a State; (2) nonprofit organizations such as associations, cooperatives, private nonprofit corporations, and institutions of higher education and hospitals; (3) Native American Indian tribes on Federal and State reservations, other federally recognized Indian tribes, and Native American Organizations (includes Indian groups, cooperatives, corporations, partnerships, and associations).

**Beneficiary Eligibility:**

Beneficiaries are the entities or organizations eligible to develop projects under the Water and Waste Disposal Loan and Grant Program. Eligible entities include (1) public bodies or governmental entities such as municipalities, counties, districts, authorities, and other political subdivisions of a State, (2) nonprofit organizations such as associations, cooperatives, and private nonprofit corporations, (3) Native American Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

**Credentials/Documentation:**

Evidence of legal existence and authority, organizational documents, certified list of directors, evidence of tax exempt status, current audit. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Public bodies or non-profit organizations may file applications with the RD State Office for the state in which the organization's headquarters is located. Addresses may be found on the web site of the Water and Environmental Programs [http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html).

Intermediaries headquartered in the District of Columbia may file the application with the National Office, USDA, Rural Utilities Service, Water and Environmental Programs, STOP 1570, 1400 Independence Avenue SW, Washington, DC 20250-1570.

All required forms may be found on the RUS Water Programs web page at <http://www.rurdev.usda.gov/FormsAndPublications.html>; on that page, select Revolving Fund Program.

- (1) Application for Federal Assistance: Standard Form 424;
- (2) Budget Information Non-Construction Programs: Standard Form 424A;
- (3) Assurances Non-Construction Programs: Standard Form 424B;
- (4) Certification of Compliance with Federal Requirements/Laws (see Exhibit E);
- (5) Evidence of applicants legal existence and authority in the form of certified copies of organizational documents and a certified list of directors and officers with their respective terms;
- (6) Evidence of tax exempt status from the Internal Revenue Service;
- (7) Current audit of the organization;
- (8) Explanation of budget and accounting system in place or proposed, with the administrative cost for operating the fund expressed as a percentage of the overall budget;
- (9) Form AD1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transaction.
- (10) Form AD 1049, Certification Regarding Drug-Free Workplace Requirements (Grants) Alternative IF for Grantees Other Than Individuals.
- (11) Form AD 1048, Certification Regarding Debarment.
- (12) Attachment regarding assistance provided to Rural Development

Employees as required by RD Instruction 1900D.  
(13) Form RD 4004, Assurance Agreement.  
(14) Form RD 4001, Equal Opportunity Agreement."

**Award Procedure:**

Selected applicant(s) will be notified by Form AD-622.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA in accordance with USDA regulations at 7 CFR 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

Quarterly or semi-annual narrative reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

No Data Available.

**Account Identification:**

12-1980-0-1-072.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$1,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Up to \$30,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1774; RUS Instruction 1780; OMB Circular A87, OMB Circular A110, OMB Circular A102 or OMB Circular A122; Executive Order 12866; and Executive Order 12988

**Regional or Local Office:**

None.

**Headquarters Office:**

Anita O'Brien, 1400 Independence Ave., SW, Stop 1570, Washington, District of Columbia 20005 Email: [anita.obrien@wdc.usda.gov](mailto:anita.obrien@wdc.usda.gov) Phone: (202) 690-3789.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be selected based primarily on the funding priorities in Section 1780.17 of RUS Instruction 1780. The State Program Official discretionary points stated in Section 1780.17 (e) of RUS Instruction 1780 can also include consideration of the following criteria:

- (a) Systems with limited resources.
- (b) Smallest systems with lowest incomes.
- (c) Funds availability.

**10.760 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES****FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926.

**OBJECTIVES:**

To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the installation, repair, improvement, or expansion of a rural water facility including distribution lines, well pumping facilities and costs related thereto, and the installation, repair, improvement, or expansion of a rural waste disposal facility including the collection, and treatment of sanitary, storm, and solid wastes. Grant funds may not be used to pay: interest on loans, operation and maintenance costs, or acquisition or refinancing of an existing system. No maximum loan amount is established by statute. The maximum term on all loans is 40 years. However, no repayment period will exceed any statutory limitation or the organization's borrowing authority or the useful life of the improvement or facility to be financed. There are currently three interest rates for direct loans: (1) a poverty rate that is 60 percent of the market rate, (2) an intermediate rate that is 80 percent of the market rate, and (3) a market rate. The poverty interest rate will not exceed 5 percent per year. The poverty rate may apply when the loan is required to meet health or sanitary standards and the median household income (MHI) of the service area is below the poverty line or 80 percent of the statewide nonmetropolitan MHI, whichever is greater. The intermediate rate applies when the MHI of the service area is not more than 100 percent of the statewide nonmetropolitan MHI, and the poverty rate does not apply. The market rate applies when neither the poverty rate nor intermediate rate is applicable. The interest rate on guaranteed loans is negotiable between the applicant and the lender.

**Applicant Eligibility:**

Municipalities, counties, other political subdivisions of a State such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms; and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Assistance is authorized for eligible applicants in rural areas of the United States, Puerto Rico, the Virgin Islands, Guam, Commonwealth of Northern Mariana Islands, American Samoa, and to the extent the Secretary determines feasible and appropriate, the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses and other users in eligible applicant areas.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA Rural Development (RD) offices administer the program on the local level. Application Form SF-424 is filed at the local RD Office from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:**

After the application has been reviewed at the local level, it is forwarded to the RD State Director for review and processing instructions. Following completion of application processing requirements and loan/grant approval, funds are made available to the applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 30 to 90 days.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the RD or RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula. This program has no matching requirements. This program has no statutory formula. Funds are allocated to States based upon rural population, number of households in poverty, and unemployment. This program has no matching requirements. MOE requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of RUS loan or grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. See the following for information on how assistance is awarded/released: Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records and accounts are required to reflect the operations of the facility.

**Account Identification:**

12-0400-0-1-452; 12-4155-0-3-452.

**Obligations:**

(Direct Loans) FY 11 \$1,000,742,058; FY 12 est \$770,229,645; and FY 13 est \$1,000,000,000. (Guaranteed/Insured Loans) FY 11 \$31,923,200; FY 12 est \$62,893,081; and FY 13 est \$0. (Project Grants) FY 11 \$440,950,610; FY 12 est \$430,089,661; and FY 13 est \$361,628,500

**Range and Average of Financial Assistance:**

(Direct Loans) \$6,000 to \$10,000,000; \$1,518,577; (Grants) \$8,800 to \$9,000,000; \$842,494.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 659 direct loans, 488 grants and 9 guaranteed loans made. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1780, Water and Waste Loans and Grants, 7 CFR 1779, Water and Waste Disposal Program Guaranteed Loans.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities;  
14.218 Community Development Block Grants/Entitlement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In selecting applications for funding, the agency cooperates with appropriate State agencies. RUS assistance for water and waste disposal projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as: Population; low income unemployment; and health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

**10.761 TECHNICAL ASSISTANCE AND TRAINING GRANTS**

TAT Grants

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Sections 306(a)(16)(A), Public Law 99-198, 7 U.S.C. 1926(a).

**OBJECTIVES:**

To identify and evaluate solutions to water and waste disposal problems in rural areas; to assist applicants in preparing applications made in accordance with 7 CFR 1780; to improve operation and maintenance of water and waste disposal facilities in rural areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to pay expenses associated with providing technical assistance and/or training (TAT) to identify and evaluate solutions to water problems relating to source, storage, treatment, and distribution, and to waste disposal problems relating to collection, treatment, and disposal; assist applicants that have filed a preapplication with RUS in the preparation of water

and/or waste disposal loan and/or grant applications; and to provide training that will improve the management, operation and maintenance of water and waste disposal facilities. Grant funds may not be used to recruit applications, duplicate current services such as those performed by a consultant in developing a project, fund political activities, pay for capital assets, purchase real estate or vehicles, improve and renovate office space or repair and maintain privately owned property, pay construction or O&M costs, and pay costs incurred prior to the effective date of grants made.

**Applicant Eligibility:**

Eligible entities must be private nonprofit organizations. Applicants must have proven ability, background, experience, legal authority and actual capacity to provide technical assistance and/or training on a regional basis to associations.

**Beneficiary Eligibility:**

Entities that may be eligible for water and waste disposal loans and grants (10.760) such as municipalities, counties, districts, authorities, and other political subdivisions of a State, organizations operated on a not-for-profit basis, such as associations, cooperatives, or private corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Standard application forms as furnished by RUS must be used for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circular A-110 applies to this program. This program is subject to the provisions of OMB Circular A-122. An Application for Federal Assistance, Form SF 424, will be filed with the appropriate Rural Development (RD) State Office or the Rural Utilities Service (RUS) National Office between October 1 and December 31 each fiscal year.

**Award Procedure:**

Applications received by an RD State Office will be reviewed and forwarded with any written comments within seven working days to the RUS approval official.

**Deadlines:**

Oct 01, 2011 to Dec 31, 2011

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applicants normally will be notified of funding eligibility within 45 days after December 31. The RD State Office or RUS National Office will provide instructions and additional forms to eligible applicants to continue processing the application for approval.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA in accordance with USDA regulations at 7 CFR 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified, however, priority will be given to applicants whose time frame for completion of the technical assistance and/or training grant project is 12 months or less. Method of awarding/releasing assistance: quarterly.

**Reports:**

All grantees will submit quarterly reports to the RUS National Office through the appropriate RD State Office. Cash reports are not applicable. Progress

reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant must be retained for a period of at least three years after closing.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$19,553,897; FY 12 est \$19,073,734; and FY 13 est \$14,871,000

**Range and Average of Financial Assistance:**

\$27,400 to \$9,800,000. Average: \$1,086,328.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 18 grants awarded. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1775, Technical Assistance and Training Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for RD district office number. If no listing, get in touch with the appropriate RD State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Assistance will be directed to those applicants who: (1) have demonstrated ability to provide technical assistance and/or training to rural associations; (2) propose to serve multi-state, regional, or nationwide areas; (3) maximize use of grant funds for direct staffing of activities that are delivered to the associations; and (4) the population of the associations served have low income.

**10.762 SOLID WASTE MANAGEMENT GRANTS**

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 310B, Public Law 101-624, 7 U.S.C. 1932.

**OBJECTIVES:**

To reduce or eliminate pollution of water resources and improve planning and management of solid waste disposal facilities in rural areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to: Evaluate current landfill conditions to determine threats

to water resources in rural areas; provide technical assistance and/or training to enhance operator skills in the maintenance and operation of active landfills in rural areas; provide technical assistance and/or training to help associations reduce the solid waste stream; and provide technical assistance and/or training for operators of landfills in rural areas which are closed or will be closed in the near future with the development/implementation of closure plans, future land use plans, safety and maintenance planning, and closure scheduling within permit requirements. Grant funds may not be used to: Recruit preapplications/applications for any loan and/or grant program including RUS Water and Waste Disposal Loan and/or Grant Program; duplication of current services, replacement or substitution of support previously provided such as those performed by an association's consultant in developing a project; fund political activities; pay for capital assets, the purchase of real estate or vehicles, improve and renovate office space, or repair and maintain privately-owned property; pay for construction or operation and maintenance costs of water and waste facilities; and pay costs incurred prior to the effective date of grants made under this subpart.

**Applicant Eligibility:**

Entities eligible for grants are nonprofit organizations, including: Private nonprofit organizations that have been granted tax exempt status by the Internal Revenue Service (IRS); and public bodies including local governmental-based multijurisdictional organizations. Applicants must have the proven ability, background, experience, legal authority, and actual capacity to provide technical assistance and/or training on a regional basis to eligible beneficiaries.

**Beneficiary Eligibility:**

Municipalities, counties, districts, authorities, and other political subdivisions of a State, organizations operated on a not-for-profit basis, such as associations, cooperatives, and private nonprofit corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-87, and A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular Nos. A-87, A-102, A-110, and A-122. Preapplication Form SF 424.1, will be filed with the appropriate Rural Development (RD), formerly FMHA, State or Rural Utilities Service (RUS) National Office between October 1 and December 31 each fiscal year.

**Award Procedure:**

Preapplications received by an RD State Office will be reviewed and forwarded with any written comments within seven working days to the RUS approval official.

**Deadlines:**

Oct 01, 2010 to Dec 31, 2010 Preapplications must be filed between October 1 and December 31 of each fiscal year in which funds are appropriated.

**Range of Approval/Disapproval Time:**

Form AD-622, "Notice of Preapplication Review Action," will normally be issued within 45 days after December 31 of each year. SF-424.1, "Application for Federal Assistance (for Non-Construction)," will be submitted by the applicant upon notification of funding eligibility.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.



Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified, however, priority will be given to applicants whose time frame for completion of the grant project is 12 months or less. See the following for information on how assistance is awarded/released: Upon request.

**Reports:**

All grantees will submit quarterly reports to the RUS approval official. Cash reports are not applicable. All grantees will submit quarterly reports to the RUS approval official. All grantees will submit quarterly reports to the RUS approval official. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant must be retained for a period of at least three years after closing.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$3,381,318; FY 12 est \$3,400,000; and FY 13 est \$4,000,000

**Range and Average of Financial Assistance:**

\$8,200 to \$296,000. Average: \$88,982.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 38 grants awarded in Fiscal Year 2011. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1775, Technical Assistance and Training Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for RD District Office number. If no listing, get in touch with the appropriate RD State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grant funds will be directed to those applicants who; (1) Have demonstrated ability to provide technical assistance on a regional basis to rural communities; (2) propose to assist small, low income communities; (3) propose to serve multi-State, regional or nationwide areas; (4) the extent to which the proposed project is cost effective; and (5) meet the objectives of RUS Water and Waste Disposal Program.

**10.763 EMERGENCY COMMUNITY WATER ASSISTANCE GRANTS**

Emergency Community Water Assistance Grants

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 306A; Food, Agriculture, Conservation, and Trade Act of 1990, Title XXIII, Public Law 101-624.

**OBJECTIVES:**

Through the Emergency Community Water Assistance Grant Program, the Rural Utilities Service (RUS) is authorized to help rural residents who have experienced a significant decline in quantity or quality of water to obtain adequate quantities of water that meet the standards of the Safe Drinking Water Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for existing systems:

1. To alleviate a significant decline in the available quantity or quality of water by constructing new wells, reservoirs, transmission lines, treatment plants, and other sources of water;
2. To extend or repair distribution waterlines, repair breaks, and pay for operation and maintenance items that remedy an acute shortage or significant decline in the quality or quantity of portable water;
3. To assist rural water systems comply with the requirements of the Federal Water Pollution Control Act or the Safe Drinking Water Act when noncompliance is related directly to a recent decline in quality of potable water.

Grants made to alleviate a significant decline in quantity or quality of water available from the water supplies in rural areas that occurred within two years of filing an application with USDA cannot exceed \$500,000. Grants for repairs, partial replacement, or significant maintenance on an established system cannot exceed \$150,000. Grants provided under this program shall not be used to assist a rural area or community with a population in excess of 10,000; to assist a rural area that has a median household income in excess of the statewide nonmetropolitan median household income according to the most recent decennial census of the U.S.; to finance facilities which are not modest in size, design, and cost; to pay loan or grant finder's fees; to pay any annual recurring costs considered to be operational expenses; to pay rental for the use of equipment or machinery owned by the rural community; to purchase existing systems; to refinance existing indebtedness; and to make reimbursement for projects developed with other grant funds.

**Applicant Eligibility:**

Eligible entities must be public bodies, private nonprofit corporations, and political subdivisions of a State, as well as Indian tribes.

**Beneficiary Eligibility:**

Eligible beneficiaries include (1) Public bodies or governmental entities such as municipalities, counties, districts, authorities, and other political subdivisions of a State, (2) nonprofit organizations such as associations, cooperatives, and private nonprofit corporations, (3) Native American Indian tribes on Federal and State reservations and other federally recognized Indian tribes. Projects must serve rural areas, excluding any city or town having a population greater than 10,000.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Rural Development (RD) State Director will administer the program on the local level. This program is subject to the provisions of 7 CFR Parts 3015 and 3016. Application Form SF-424 will be filed with the appropriate RD District office.

**Award Procedure:**

Applications received will be reviewed and scored for funding priority by the RD State office. The RD State Director will request funds from the National office. Projects must compete on a national basis for available funds.

**Deadlines:**

Nov 01, 2011: All funding requests will be reviewed by the National office after November 1 of each year and continue until June 30 of each year. All funding requests will be reviewed by the National office after November 1 of each year and continue until June 30 of each year.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Within 60 days of receipt of complete application.

**Appeals:**

From 30 to 60 days. If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the higher management level of RUS.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$1,383,950; FY 12 est \$11,943,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$100,000 to \$500,000. Average: \$276,790.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 5 grants awarded. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1778.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under United States Government, Department of Agriculture for Rural Development District Office number. If no listing, contact appropriate Rural Development State office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities; 10.766 Community Facilities Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The proposed projects designed to serve a rural area with a population of 5,000 or less that has a median household income of not more than 70 percent of the statewide nonmetropolitan household income and had a significant decline in quantity of water available from private individually owned wells will be given priority. Preference also will be given to proposed projects that will assist an established water system or remedy an acute shortage of quality water. The Rural Development State Director will rate applications on a point system and points received will be considered in selecting projects for funding.

**10.766 COMMUNITY FACILITIES LOANS AND GRANTS**

Community Facilities Loans and Grants

**FEDERAL AGENCY:**

Rural Housing Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 USC 1926, Executive Order Consolidated and Further Continuing Appropriations Act, 2012, Public Law 112-55.

**OBJECTIVES:**

To construct, enlarge, extend, or otherwise improve community facilities providing essential services to rural residents.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Community facilities include, but are not limited to, those providing or supporting overall community development such as hospitals, fire stations, child care facilities, food recovery and distribution centers; assisted-living facilities; group homes, mental health clinics, and shelters; and education facilities. Projects comprise community, social, health care, education, cultural, transportation, industrial park sites, fire and rescue services, access ways, and utility extensions. All facilities financed in whole or in part with RHS funds shall be for public use. Applicant Eligibility: City, county, and State agencies; political and quasi-political subdivisions of States and associations, including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes; and existing private corporations which: (1) are operated on a not-for-profit basis; (2) have or will have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service and for obtaining, giving security for, and repaying the loan; and (3) are unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia. Direct loans - Poverty, intermediate, and market interest rate change quarterly. Repayment term is the lesser of 40 years or life of security. Guaranteed terms negotiated with lender with maximum term ifor guarantee being the lesser of 40 years or life of security.

**Applicant Eligibility:**

City, county, and State agencies; political and quasi-political subdivisions of States and associations, including corporations, Indian tribes on Federal and State reservations and other federally recognized Indian tribes; and existing private corporations which: (1) are operated on a not-for-profit basis; (2) have or will have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service and for obtaining, giving security for, and repaying the loan; and (3) are unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms. Assistance is authorized for eligible applicants in rural areas of the States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the commonwealth of the Northern Mariana Islands, the Marshall Islands, the Republic of Palaw, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Loans for essential community facilities are made to eligible entities who provide essential community services to the population living within the service area of the facility or being served by the facility. Beneficiaries include farmers, ranchers, rural residents, rural businesses, and other users of such public facilities in eligible applicant areas as set out above.

**Credentials/Documentation:**

Evidence of legal capacity and financial responsibility of the applicants and the economic feasibility of the project relative to the activity for which assistance is requested. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms as provided by the Federal agency and required by OMB Circular No. A-102 must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires in applying for assistance if the State has selected the project for review. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For direct loans and grants, applicants must file Standard Form SF-424 and supporting documentation at the local Rural Development Area Office. For guaranteed loans, the lender must file Form RD 3575-1 and supporting documentation.

**Award Procedure:**

After the preapplication has been reviewed by the Rural Development Area Office, it is forwarded to the Rural Development State Office for review and processing instructions. Following review by the State Office, the applicant is notified about eligibility, availability of funds, and if an application should be filed. Upon completion of application processing requirements and approval by the State Office, funds are made available to the Rural Development Area Office for delivery.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 90 days after a complete application is received.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The notification will include a statement for appeal or review of the adverse decision. The applicant may request an appeal or review of the decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Matching funds are not required but may be used in connection with the funds provided from the applicant or other sources. Funds

are allocated to States based upon rural population, number of households below the poverty level, and rural unemployment. The statistical factor for eligibility is cities, towns or incorporated areas under 20,000 population for direct and guaranteed loans and 20,000 population for grants. The source is "Latest Decennial Census." Grants are limited to a maximum of 75 percent of project cost.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of Community Facilities loan or grant funds. Funds will be awarded when all program requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by RHS to cover expenses for a 30-day period. See the following for information on how assistance is awarded/released: See Above.

**Reports:**

Periodic reports are made to Rural Development. Each borrower will monitor and report to RHS on actual performance during the construction of each project financed, or to be financed, in whole or in part with Community Facilities loan funds. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of loans and other agreements.

**Records:**

The borrower must maintain adequate records and accounts of the operation of the facility developed.

**Account Identification:**

12-4155-0-3-452; 12-1951-0-1-452.

**Obligations:**

(Direct Loans) FY 11 \$490,337,082; FY 12 est \$1,300,000,000; and FY 13 Estimate Not Available - DIRECT LOANS - Actual FY 2010 amounts include disaster funds appropriated for recovery of essential facilities as a result of 2005 hurricanes, 2007 tornado damage in Greensburg, Kansas, and 2008 presidentially declared disasters. There were not any actual FY 2011 disaster obligations. (Guaranteed/Insured Loans) FY 11 \$196,359,303; FY 12 est \$105,708,000; and FY 13 Estimate Not Available - GUARANTEED/INSURED LOANS - Actual FY 2010 amounts include disaster funds appropriated for recovery of essential facilities as a result of 2005 hurricanes, 2007 tornado damage in Greensburg, Kansas, and 2008 presidentially declared disasters. There were not any actual FY 2011 disaster obligations. (Project Grants) FY 11 \$16,224,882; FY 12 est \$11,363,000; and FY 13 Estimate Not Available - PROJECT GRANTS - Actual FY 2010 amounts include disaster funds appropriated for recovery of essential facilities as a result of 2005 hurricanes, 2007 tornado damage in Greensburg, Kansas, and 2008 presidentially declared disasters. There were not any actual FY 2011 disaster obligations.

**Range and Average of Financial Assistance:**

Direct Loans: \$5,000 to \$47,000,000. Average: \$1,140,319. Guaranteed Loans: \$26,000 to \$21,000,000. Average: \$2,454,491. Grants: \$300-\$996,000. Average \$29,825.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Community Facilities primarily finances health care, public safety and educational facilities. The financing in FY 2011 of these types of new and improved community facilities served approximately 7,980,000 rural residents or 13.3% of the rural population. Fiscal Year 2012: Community Facilities primarily finances health care, public safety and educational facilities.

We anticipate in FY 2012 servicing 8,820,000 rural residents through the financing of these types of new and improved community facilities or 14.7% of

the rural population. Fiscal Year 2013: Community Facilities primarily finances health care, public safety and educational facilities. We anticipate in FY 2013 servicing 9,660,000 rural residents through the financing of these types of new and improved community facilities or 16.1% of the rural population.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, subpart A, Community Facilities Loans; 7 CFR 1942, subpart C, Fire and Rescue Loans; 7 CFR 3575, subpart A, Community Facilities Guaranteed Loans; 7 CFR 3570, subpart B, Community Facilities Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory under U.S. Department of Agriculture for Rural Development county or Area office numbers or visit the website <http://offices.sc.egov.usda.gov/locator/app> for a State Office listing.

**Headquarters Office:**

Deputy Administrator, Community Programs, Department of Agriculture, Stop 0788, 1400 Independence Avenue, SW, Washington, District of Columbia 20250-0788 Phone: (202) 720-1490.

**Website Address:**

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

**RELATED PROGRAMS:**

10.500 Cooperative Extension Service; 10.664 Cooperative Forestry Assistance; 15.124 Indian Loans\_Economic Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected for funding giving due consideration to State development strategies, serving the largest number of low income rural residents, and priority recommendations. Priority for funding will be given to those projects that will enhance public safety such as fire, police, rescue, and ambulance services, and projects for health care facilities.

**10.767 INTERMEDIARY RELENDING PROGRAM**

IRP

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Health and Human Services Act of 1986, Section 407, 7 U.S.C 192.

**OBJECTIVES:**

To finance business facilities and community development.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

An entity that receives an Intermediary Relending Program (IRP) loan from the Rural Business-Cooperative Service (RBS) is referred to as an intermediary. Intermediaries must relend all of the loan funds received from the IRP loan for business facilities or community development in rural areas. An entity that receives a loan from an intermediary is referred to as an ultimate recipient. The maximum loan to any one intermediary is \$2 million. The maximum term is 30 years and the interest rate is one percent per annum. Intermediaries may not use IRP funds to finance more than 75 percent of the cost of an ultimate recipient's project or for a loan of more than \$250,000 to one ultimate recipient. (No more than 25 percent of an IRP loan approved may be used for loans to ultimate recipients that exceed \$150,000.).

**Applicant Eligibility:**

Eligible intermediaries may include: Private nonprofit organizations, State or local governments, and Federally recognized Indian tribes and cooperatives.

**Beneficiary Eligibility:**

Ultimate recipients may include: For profit organizations, individuals, public and private nonprofit organizations.

**Credentials/Documentation:**

Intermediaries must have adequate legal authority and a proven record of

successfully assisting rural businesses and industries. Ultimate recipients must not be located within a city with a population of 25,000 or more. Both intermediaries and ultimate recipients must be unable to obtain the loan at reasonable rates and terms through commercial credit or other Federal, State, or local programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Potential intermediaries should file applications with the State office for the State in which the intermediary's headquarters is located. The application package includes Form 4274-1 and a written work plan. More details are available in 7 CFR 4274.343, or from the appropriate Rural Development State Office. The Rural Development administers the program on the local level. Intermediaries develop their own application procedures for ultimate recipients.

**Award Procedure:**

The application of each intermediary will be evaluated by the RD State Office. Applications received by RBS will be reviewed and ranked quarterly and funded in the order of priority ranking.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Adverse actions by RBS in connection with this program may be appealed by contacting the Area Supervisor of the USDA National Appeals Division. Appeals will be handled in accordance with 7 CFR 1900-B.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicant intermediaries must show a need for the funds and limit the request to an amount they can expect to use within one year. After a loan is approved, the funds are released to the intermediary in multiple advances as required to fund loans to ultimate recipients. Method of awarding/releasing assistance: quarterly.

**Reports:**

Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. No cash reports are required. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget.

**Audits:**

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

year, except as noted in Circular No. A-133.

**Records:**

Records and accounts must be maintained to reflect the operations of each project.

**Account Identification:**

12-2069-0-1-452; 12-4233-0-3-452.

**Obligations:**

(Direct Loans) FY 11 \$19,087,000; FY 12 est \$17,709,563; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

This program has no statutory formula. Matching requirements are not applicable to this program. However, Intermediaries may not use IRP funds to finance more than 75 percent of the cost of an ultimate recipient's project MOE requirements are not applicable to this program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4274, Subpart D; 7 CFR 1951, Subpart R.

**Regional or Local Office:**

See Regional Agency Offices. RBS State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lori Washington 1400 Independence Avenue, SW, Washington, District of Columbia 20250 Email: Lori.Washington@wdc.usda.gov Phone: 202-720-1400

**Website Address:**

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

**RELATED PROGRAMS:**

10.769 Rural Business Enterprise Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Factors considered in judging applications include: Financial condition, assurance of repayment ability, equity, collateral, experience and record of managing a loan program or providing other assistance to rural businesses, ability to leverage with funds from other sources, extent assistance would flow to low income persons.

**10.768 BUSINESS AND INDUSTRY LOANS**

B&I Guaranteed Loan Program

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 310B, 7 U.S.C 1932.

**OBJECTIVES:**

The purpose of the B&I Guaranteed Loan Program is to improve, develop, or finance business, industry, and employment and improve the economic and environmental climate in rural communities.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The program guarantees lenders loans for real estate, machinery and equipment, working capital, and debt refinancing. Assistance is limited to rural areas. Some loan purposes such as golf courses, gambling, and agricultural production are restricted or limited. Guaranteed loan funds in the amount of 5 percent of the funds available each year until FY 2012 will be set aside for the locally or regionally produced agricultural food products initiative. Guaranteed loans are the only type of assistance under this program. For FY2012 the annual guarantee fee was increased from 1% to 3%.

**Applicant Eligibility:**

A borrower may be a cooperative organization, corporation, partnership, or other legal entity organized and operated on a profit or nonprofit basis; an Indian tribe on a Federal or State reservation or other Federally recognized tribal group; a public body; or an individual.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

A complete application containing such items as credit reports, financial statements, and appraisals are required as part of the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complete the requirements of RD Instruction 4279-B, section 4279.161(b).

**Award Procedure:**

Applications are funded on a first-come first served basis according to priority points procedures outlined in RD Instruction 4279-B, section 4279.155.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications typically take 60 days to approve.

**Appeals:**

Denial for program assistance is appealable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: 7 CFR Parts 4279 and 4287.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Assistance is available each fiscal year until September 30 or until expended, whichever occurs first. See the following for information on how assistance is awarded/released: Lenders loans are guaranteed so funds are not really released.

**Reports:**

Guaranteed borrowers and guarantors are required to submit financial statements annually. No cash reports are required. No progress reports are required. Yes, but as part of the overall financial reporting requirement. Not duplication. The Agency monitors the number of jobs created and/or saved by the borrower.

**Audits:**

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

**Records:**

The lender is required to maintain a complete loan file no differently than it would keep for a borrower without a guarantee. This includes annual financial statements, correspondence, servicing actions, etc. The file may be inspected at the Agency's request.

**Account Identification:**

12-0400-0-1-452; 12-4155-0-3-452.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$1,387,386,344; FY 12 est \$860,700,000; and FY 13 est \$820,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

RD Instruction 4279-A, 4279-B, and 4287-B.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

B&I Processing Branch, 1400 Independence Ave SW, Stop 3224, Washington, District of Columbia 20250-3224 Phone: (202) 690-4103.

**Website Address:**

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

**RELATED PROGRAMS:**

10.766 Community Facilities Loans and Grants; 10.769 Rural Business Enterprise Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Businesses must demonstrate the ability to repay the loan.

**10.769 RURAL BUSINESS ENTERPRISE GRANTS**

(RBEG)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 310B, 7 U.S.C 1989.

**OBJECTIVES:**

To facilitate the development of small and emerging private business, industry, and related employment for improving the economy in rural communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Rural business enterprise grant (RBEG) funds may be used to create, expand or operate rural distance learning networks or programs that provide educational or job training instruction related to potential employment or job advancement to adult students; develop, construct or acquisition land, buildings, plants, equipment, access streets and roads, parking areas, utility extensions, necessary water supply and waste disposal facilities; refinancing; services and fees; and to establish a revolving loan fund. Television demonstration grant (TDG) funds may be used for television programming to demonstrate the effectiveness of providing information on agriculture and other issues of importance to farmers and other rural residents. All uses must assist a small and emerging private business enterprise except for the TDG Program. All uses must assist a small and emerging private business enterprise except for the TDG Program.

**Applicant Eligibility:**

Applicants eligible for RBE grants are public bodies and nonprofit corporations serving rural areas such as States, counties, cities, townships, and incorporated towns and villages, boroughs, authorities, districts and Indian tribes on Federal and State reservations which will serve rural areas. Applicants eligible for TDG grants are statewide, private, nonprofit, public television systems whose coverage is predominantly rural. Rural area for this program is defined as a city, town, or unincorporated area that has a population of 50,000 inhabitants or less, other than an urbanized area immediately adjacent to a city, town, or unincorporated area that has a population in excess of 50,000 inhabitants.

**Beneficiary Eligibility:**

A small and emerging private business enterprise which will employ 50 or less new employees and has less than \$1.0 million in projected gross revenue. Public bodies, private non-profit corporations, and Federally recognized Indian tribes receive the grant to assist a business. Grants are not made directly to the business.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Preapplication Form SF-424 is filed at the Rural Development local office. The standard application forms as furnished by the Federal agency and required by OMB Circular Nos. A-110 and A-102 must be used for this program.

**Award Procedure:**

After the preapplication has been reviewed by the RD local office, it is forwarded to the RD State Office for review and processing instructions. Following approval by the State Office, funds are made available to the local office for final delivery. Notification of awards must be made to the designated State Central Information Reception Agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

30 to 90 days.

**Appeals:**

Adverse actions by RBS in connection with this program may be appealed by contacting the Area Supervisor of the USDA National Appeals Division. Appeals will be handled in accordance with 7 CFR 1900-B and 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula or specific matching requirements. Funds are allocated to States on rural population and percent of nonmetropolitan per capita income. On occasion, the allocation to States may not be practical due to funding or administrative constraints. In these cases, funds will be controlled by the National Office. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, 90 120 days, subject to the availability of funding. See the following for information on how assistance is awarded/released: Grant funds are disbursed in multiple draws, generally on a reimbursement basis upon the written request of the grantee.

**Reports:**

Periodic reports are made to RD. Cash reports are not applicable. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget. Intermediaries must submit quarterly reports on lending activity, income and expenses, financial condition and progress, and an annual budget.

**Audits:**

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

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$38,785,202; FY 12 Estimate Not Available(Exp: Not available); and FY 13 Estimate Not Available(Exp: Not available)

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000. Average is less than \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1942, Subpart G.

**Regional or Local Office:**

See Regional Agency Offices. Consult your telephone directory for RD local office number. If no listing, get in touch with appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Specialty Programs Division, Rural Business-Cooperative Service, Department of Agriculture, 1400 Independence Ave SW, Rm 6870, Stop 322, Washington, District of Columbia 20250-3222 Phone: (202) 720-1400.

**Website Address:**

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

**RELATED PROGRAMS:**

10.766 Community Facilities Loans and Grants; 10.768 Business and Industry Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects selected for funding should, as much as practical, adhere to the following priorities: (1) Projects which will be located in communities having a large portion of their population with low incomes; (2) projects which will save existing jobs; (3) projects which will create jobs; and (4) projects located in areas with high unemployment rate.

**10.770 WATER AND WASTE DISPOSAL LOANS AND GRANTS (SECTION 306C)**

Water and Waste Disposal Loans and Grants (Section 306C)

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, Section 306C, 7 U.S.C. 1926(c), as amended; Food, Agriculture, Conservation, and Trade Act of 1990, Title XXIII, Public Law 101-624.

**OBJECTIVES:**

Provide water and waste disposal facilities and services to low income rural communities whose residents face significant health risks.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for 100 percent of costs to: Construct, enlarge, extend, or

otherwise improve a community water or waste system; extend service lines and connect individual residences to a system. Allow applicant to make grants directly to individuals to: Extend service lines, connect resident's plumbing to system, pay reasonable charges and fees for connecting to system, installation of plumbing and related fixtures, and construction in dwelling of a bathroom.

**Applicant Eligibility:**

Local level governments, federally recognized Indian tribes, U.S. Territories and possessions, and nonprofit associations can receive assistance under this program. Except for rural areas known as "Colonia" along the U.S./Mexico border, the projects funded under this program must primarily provide water and/or waste disposal services to residents of a county where the per capita income of the residents is not more than 70 percent of the most recent national average per capita income, as determined by the U.S. Department of Commerce, and unemployment rate of the residents is not less than 125 percent of the most recent national average unemployment rate, as determined by the Bureau of Labor Statistics. Also the residents must face significant health risks due to not having access to an affordable community water and/or waste disposal system.

**Beneficiary Eligibility:**

Public bodies, private nonprofit corporations, cooperatives, political subdivisions of a State, and Indian tribes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants are required to file a application Form SF-424 with the appropriate Rural Development (RD) Office.

**Award Procedure:**

Applications will be reviewed and scored for funding priority by the RD State Office. Applications must compete on a national basis for available funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Applicants that are determined to be not eligible may request review of this decision at a higher management level of Rural Development Utilities Programs.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Requests for funds are granted as needed.

**Reports:**

Required to maintain records and accounts to assure funds are used for authorized purposes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Required to maintain records and accounts to assure funds are used for authorized purposes.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Direct Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Only grant funds for Colonias have been appropriated for this program. (Project Grants (Discretionary)) FY 11 \$16,882,323; FY 12 est \$15,863,293; and FY 13 est \$13,681,000 - American Tribe Grants. (Project Grants (Discretionary)) FY 11 \$32,079,903; FY 12 est \$25,457,701; and FY 13 est \$20,819,500 - Colonias Grants.

**Range and Average of Financial Assistance:**

(Colonias Grants) FY11 \$61,000 to \$47,000,000 Average: \$1,866,297.

(Native American Tribe Grants) FY11 \$65,000 to \$1,000,000 Average: \$993,077.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1777.

**Regional or Local Office:**

See Regional Agency Offices. Consult local telephone directory under United States Government, Department of Agriculture, for Rural Development office number. If no listing contact appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Department of Agriculture, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A proposed project servicing a rural area with a population not in excess of 1,500, a median household income not in excess of 50 percent of the statewide no metropolitan median household income and servicing residents of a Colonia along the U.S./Mexico border will be given priority. The Rural Development State Director will rate applications on a point system and points received will be considered in selecting projects for funding. Fiscal year 2000 funding is limited to the Colonias.

**10.771 RURAL COOPERATIVE DEVELOPMENT GRANTS**

(RCDG)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

The RCDG program is authorized under section 310B (e) of the Consolidated Farm and Rural Development Act (7 U.S.C. 1932 (e)).

**OBJECTIVES:**

The primary objective of the RCDG program is to improve the economic condition of rural areas by assisting individuals or entities in the startup, expansion or operational improvement of rural businesses, especially cooperative or mutually-owned businesses. The grant program will be used to facilitate the creation or retention of jobs in rural areas through the development of new rural cooperatives, value-added processing, and rural businesses.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Project funds, including grant and matching funds must be used for eligible activities and benefit a rural area. Grant funds may be used to pay for 75 percent (95 percent when the applicant is a 1994 Institution) of the cost of establishing and operating centers for rural cooperative and business development. Eligible activities include applied research, feasibility, environmental, and other studies; collection, interpretation, and dissemination of principles, facts, technical knowledge, or other useful information; training and instruction; loans and grants, technical assistance or advisory services to individuals, small businesses, cooperatives, or other similar entities in rural areas; and for programs providing for the coordination of services and sharing of information among Rural Cooperative Development Centers.

The Small Socially Disadvantaged Producer Grant program is a set-aside of the RCDG program. If the RCDG fiscal year appropriation exceeds \$7.5 million, 20 percent of the total appropriation is reserved for cooperatives, groups of cooperatives and cooperative development centers to provide technical assistance to small, socially-disadvantaged agricultural producers in rural areas. Project funds, including grant and matching funds must be used for eligible activities and benefit a rural area. Grant funds may be used to pay for 75 percent (95 percent when the applicant is a 1994 Institution) of the cost of establishing and operating centers for rural cooperative and business development. Eligible activities include applied research, feasibility, environmental, and other studies; collection, interpretation, and dissemination of principles, facts, technical knowledge, or other useful information; training and instruction; loans and grants, technical assistance or advisory services to individuals, small businesses, cooperatives, or other similar entities in rural areas; and for programs providing for the coordination of services and sharing of information among Rural Cooperative Development Centers.

The Small Socially Disadvantaged Producer Grant program is a set-aside of the RCDG program. If the RCDG fiscal year appropriation exceeds \$7.5 million, 20 percent of the total appropriation is reserved for cooperatives, groups of cooperatives and cooperative development centers to provide technical assistance to small, socially-disadvantaged agricultural producers in rural areas.

**Applicant Eligibility:**

Eligible applicants are nonprofit corporations and institutions of higher education. Grants may not be made to public bodies or individuals.

**Beneficiary Eligibility:**

They must be located in a rural area as defined in section 343(a)(13) of the CONACT (7 U.S.C. 1991(a)).

**Credentials/Documentation:**

Evidence of legal capacity as well as an appropriate financial management system to operate a Center. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An annual Federal Register notice is published identifying the total available funds for competition and clarifications or



additions to the program. The 7 CFR 4248, subparts A and F are the regulations for the program which outlines the application procedures. The funding opportunity will also be placed on [www.grants.gov](http://www.grants.gov) to allow for electronic submission of applications. Paper applications can also be submitted to the Agency in lieu of an electronic submission.

**Award Procedure:**

All eligible applications are scored by a panel and then ranked in highest priority order. Recipients will be required to sign a Grant Agreement and the project will be monitored by a Rural Development field office where the project is located.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Indicated in the annual Federal Register notice, but all appropriated funds must be obligated to recipients by September 30th of each fiscal year.

**Appeals:**

Review and appeal rights are given to applicants in accordance with 7 CFR Part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 25%. The matching funds requirement is 25 percent of the total project cost. Applicants that are designated as 1994 Institutions" as defined in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note; Pub. L. 103-382) are required to provide at least 5 percent of the total project cost. Matching funds must be non-federal cash or in-kind contributions that will be available during the grant period. Federal loan dollars can be considered an eligible cash match. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grant program is conducted on an annual basis and awards are made for a 12-month period. Method of awarding/releasing assistance: quarterly.

**Reports:**

Semiannual Financial Status Report, semiannual performance report, and a final project performance report. Cash reports are not applicable. Semiannual Financial Status Report, semiannual performance report, and a final project performance report. Expenditure reports are not applicable. Semiannual Financial Status Report, semiannual performance report, and a final project performance report.

**Audits:**

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

**Records:**

The grantee shall maintain adequate records and accounts to assure that grant funds are used for authorized purposes.

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$79,000,000; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$175,000 - \$225,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4284, Subparts A and F.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Rural Development field office at <http://offices.sc.egov.usda.gov/locator/app?state=us&agency=rd> for information regarding the program.

**Headquarters Office:**

Deputy Administrator, 1400 Independence Ave. S.W., Washington, District of Columbia 20250 Phone: (202) 720-7558.

**Website Address:**

[http://www.rurdev.usda.gov/BCP\\_RCDG.htm](http://www.rurdev.usda.gov/BCP_RCDG.htm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Preference will be given to those applicants that demonstrate; a proven track record in cooperative and business development; in providing technical assistance in rural areas; ability to facilitate the establishment of cooperatives and new cooperative approaches; and transferability of approach to rural areas outside of project area. Projects will be selected that contribute the most to the improvement of economic conditions of the rural area.

**10.773 RURAL BUSINESS OPPORTUNITY GRANTS**

(RBOG)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Section 741, Public Law 104-127.

**OBJECTIVES:**

To promote sustainable economic development in rural communities with exceptional needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to assist in the economic development of rural areas by providing technical assistance, training, and planning for business and economic development. Grant funds may be used to assist in the economic development of rural areas by providing technical assistance, training, and planning for business and economic development. Grant funds may be used to assist in the economic development of rural areas by providing technical assistance, training, and planning for business and economic development.

**Applicant Eligibility:**

Grants may be made to public bodies, nonprofit corporations, Federally-Recognized Native American Tribes, and cooperatives with members that are primarily rural residents and that conduct activities for the mutual benefit of the members.

**Beneficiary Eligibility:**

Rural communities and businesses in rural areas.

**Credentials/Documentation:**

Evidence of legal capacity. Evidence of financial strength and expertise in activities such as those proposed in the application, sufficient to ensure accomplishment of the activities and objectives described in the application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental impact information is not required for this program. E.O. 12372, Intergovernmental Review of Federal Programs," applies to this

program. If the State as selected the program for review, an applicant should consult the single point of contact in its State for more information on the process the State requires to be followed in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must file Standard Form 424, "Application for Federal Assistance (For Nonconstruction)," and additional material required by Agency regulations with the USDA Rural Development State Office. The application will include a written narrative and scope of work. More details are available from the Headquarters Office or any Rural Development State Office.

**Award Procedure:**

Applications will be given a priority score in accordance with the criteria set out in the program regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Adverse decision may be appealed in accordance with procedures set out at 7 CFR 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding for complete projects is limited to projects that can be completed within 2 years. Projects of longer duration may only be funded for 1 year at a time. Awards are made once per fiscal year. Funds for awarded projects are released monthly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Grantees must provide a financial report and performance activity report quarterly while the project is in process, with a final financial and performance report due within 90 days after the project is completed. The grantee must also submit a project evaluation report within 1 year after the project is completed. The Agency may also require a grantee to prepare a report suitable for public distribution describing the accomplishments made through the use of the grant and, in the case where the grant funded the development or application of a best practice, to describe that best practice. Finally, unless exempt, all grantees must comply with the reporting requirements at 2 CFR 170. Cash reports are not applicable. Grantees must provide a financial report and performance activity report quarterly while the project is in process, and a project evaluation report within 1 year after the project is completed. Grantees must provide a financial report and performance activity report quarterly while the project is in process, and a project evaluation report within 1 year after the project is completed. Grantees must provide a financial report and performance activity report quarterly while the project is in process, and a project evaluation report within 1 year after the project is completed.

**Audits:**

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

**Records:**

Project records must be maintained for three years following the completion of the project.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,500,000; FY 12 est \$2,500,000; and FY 13 Estimate Not Available(Exp: Information not available)

**Range and Average of Financial Assistance:**

\$10,000 to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Implementing regulations will be published in the Federal Register (64 FR 71984) The CFR citation is 7 CFR 4284, Subpart G.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director, Business and Cooperative Programs, STOP 3225, Room 6767, 1400 Independence Ave., S.W., Washington, District of Columbia 20250  
Phone: (202) 720-1400.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant selection criteria include the extent to which economic development resulting from the proposed project will be sustainable over the long term; the extent to which the project should lead to improvements in the quality of economic activity within the community, such as higher wages, improved benefits, greater career potential, and the use of higher level skills; the amount of leveraging of funds from other sources; service to communities that are experiencing trauma due to a major natural disaster or the closing or major downsizing of a military facility or other major employer; service to communities that have remained consistently poor over the long term or have experienced long term population decline or job deterioration; and the extent of the project's usefulness as a best practice that may serve as a model for other communities.

**10.777 NORMAN E. BORLAUG INTERNATIONAL AGRICULTURAL SCIENCE AND TECHNOLOGY FELLOWSHIP**

Borlaug Fellowship Program

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

7 USC 3319j, added by the 2008 Farm Bill: Pub. L. 95-113, title XIV, Sec. 1473G, as added Pub. L. 110-234, title VII, Sec. 7139, May 22, 2008. National Agricultural Research, Extension, and Teaching Policy Act of 1977 enacted as Title XIV of the Food and Agriculture Act of 1977, 7 U.S.C. 3319(a), 7 U.S.C. 3318(b).

**OBJECTIVES:**

The Norman E. Borlaug International Agricultural Science and Technology Fellowship Program (Borlaug Fellowship Program) helps developing countries strengthen sustainable agricultural practices by providing U.S. based scientific training and collaborative research opportunities for entry- to mid-career-agricultural research scientists and policymakers from developing and middle income countries.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

No funding is available for unsolicited proposals. Borlaug Program funds are used for projects involved with international training activities in agricultural research.

**Applicant Eligibility:**

The Borlaug Fellowship Program solicits proposals from U.S. land grant universities, other USDA agencies, other U.S. government agency research facilities, not-for-profit institutions, and international agricultural research centers.

**Beneficiary Eligibility:**

Technical assistance and research collaboration provided through these agreements benefit foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circulars A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Nonprofit Organizations. This program is excluded from coverage under OMB circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

All proposals are evaluated by technical specialists on an ongoing basis, which rate the qualifications of applicants and merits of the proposals. Selection criteria will be published with each individual request for application to participate in this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. See the following for information on how assistance is awarded/released:

Agreements are entered into with selected institutions for a maximum period of 5 years.

**Reports:**

Mentors report and Fellows report are required. SF-425, Federal Financial Report, are required quarterly. Mentor reports and Fellow's reports are required on a quarterly basis. SF-425, Federal Financial Report, are required quarterly. Mentor reports and Fellow's reports are required on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Typically, a recipient must maintain all Program and Financial records for a period of 3 years subject to conditions found in 7CFR 3015.21 and 7CFR 3015.22.

**Account Identification:**

12-3200-0-1-352.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 \$1,033,276; FY 12 est \$1,363,000; and FY 13 est \$1,363,000

**Range and Average of Financial Assistance:**

\$25,000 per fellow.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 34. Fiscal Year 2012: Estimated number of Borlaug Fellows projected to be 37 in FY12. Fiscal Year 2013: 37.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 USC 3291 are subject to various legal requirements that are codified in the U.S.C., parts of the CFR, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources. These transactions are subject to many specific legal requirements, when applicable, including, but not limited to, the following:

- (a) 7 CFR part 3015, Uniform Federal Assistance Regulations;
- (b) 7 CFR part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local Governments;
- (c) 7 CFR 3022, Research Institutions Conducting USDA-funded Extramural Research; Research Misconduct;
- (c) 2 CFR part 25 Universal Identifier and Central Contractor Registration;
- (d) 2 CFR part 170, Reporting Subaward and Executive Compensation Information;
- (e) 2 CFR part 175, Award Term for Trafficking in Persons;
- (f) 2 CFR part 180 and part 417, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) and (USDA) Nonprocurement Debarment and Suspension;
- (g) 2 CFR part 182, Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).
- (h) 2 CFR part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations;
- (i) 2 CFR part 220, Cost Principles for Educational Institutions (OMB Circular A-21);
- (j) 2 CFR part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87);
- (k) 2 CFR part 230, Cost Principles for Non-profit Organizations;
- (l) Federal Acquisition Regulations 31.2 (for profit cost principles);
- (m) Executive Order 13224, as amended, Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism;
- (n) OMB Circular A-133, as codified in 7 CFR part 3052, Audits of States, Local Governments, and Nonprofit Organizations;
- (o) 7 CFR part 3015.175(b), Copyrights;
- (p) 41 U.S.C. 351 358, the McNamara-O'Hara Service Contract Act of 1965
- (q) 37 CFR part 401.1, Bayh-Dole Act (inventions);
- (r) 15 U.S.C. 205a et seq., The Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act;
- (s) 42 U.S.C. 6962, Resource Conservation and Recovery Act (RCRA);
- (t) 49 U.S.C. 40118 et seq., Fly America Act;
- (u) 8 USC 1324a, Immigration and Nationality Act;
- (v) 5 U.S.C. 552, Freedom of Information Act and 7 CFR 3011, Availability of Information to the Public;
- (w) Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving;
- (x) 41 U.S.C. 22, Interest of Members of Congress;
- (y) 40 U.S.C. 3141-3148, the DavisBacon Act.

**Regional or Local Office:**

None. <http://www.fas.usda.gov/icd/borlaug/Borlaug.asp>.

**Headquarters Office:**

Karina Ramos-Hides 1400 Independence Ave, S.W., Washington, District of Columbia 20250 Email: [Karina.Ramos@fas.usda.gov](mailto:Karina.Ramos@fas.usda.gov) Phone: 202-720-3736 Fax: 202-690-0892

**Website Address:**

<http://www.fas.usda.gov/icd/borlaug/Borlaug.asp>

**RELATED PROGRAMS:**

10.962 Cochran Fellowship Program-International Training-Foreign Participant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: 37 individuals are anticipated to participate in the program in FY2012. Fiscal Year 2013: 37 individuals are anticipated to participate in the program in FY2013.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development program area (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD/TSED/BFP for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of interest.

**10.778 RESEARCH ON THE ECONOMIC IMPACT OF COOPERATIVES**

(REIC)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2006, Title III, Public Law 109-97, as amended, Department of Defense Appropriations Act, 2006, Division B, Title III, Chapter 8, Section 3801, Public Law 109-148., Title III, Part B, Section 3801.

**OBJECTIVES:**

The encouragement of research on the national economic impact or value of all types of cooperatives in the United States.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

An REIC cooperative agreement is to be used to conduct research on the national economic impact of all types of cooperative organizations. The research is to include development of methodology and collection and analysis of data as well as describing the economic impacts. Indirect costs are restricted to no more than 10 percent of the direct cost. Direct costs are not to include construction or fixed assets.

**Applicant Eligibility:**

Institutions of Higher Education, including consortia of academic institutions, research foundations maintained by a college or university, or private nonprofit organizations funded by a group of colleges or universities, are eligible to apply.

**Beneficiary Eligibility:**

Public or private colleges or universities.

**Credentials/Documentation:**

Applicants must provide a budget supporting the work plan that details all sources and uses of funds during the project period. Applicants are required to verify matching funds, both cash and in-kind such that USDA can verify all representations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA will solicit applications on a competitive basis by publication of a notice in the Federal Register and through the [www.grants.gov](http://www.grants.gov) Federal Web site. Unless otherwise specified, applicants must file an original and two copies of the proposal and all required forms or as otherwise instructed in the annual announcement. An applicant must submit Form SF-424, Form SF-424A, Form SF-424B, and other information as directed. Each proposal must contain the following elements and any additional elements published in the announcement: (1) Title Page; (2) Table of Contents; (3) Executive Summary; (4) Eligibility Discussion; (5) Proposal Narrative including, but not limited to: (i) Project Title; (ii) Information Sheet; (iii) Goals of the Project; (iv) Work Plan; (v) Proposal Evaluation Criteria; (6) Certification of Judgment; and (7) Verification of Matching Funds.

**Award Procedure:**

Qualified academic institutions must submit their application to the Rural Development-Cooperative Programs National Office where it will be reviewed and scored on a competitive basis as described in the annual solicitation for proposals. If selected for an award, the applicant must complete the objectives as defined in the approved proposal.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days after the application is filed with the Rural Development-Cooperative Programs.

**Appeals:**

Applicants may appeal any adverse decisions to USDA's National Appeals Division.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The cooperative agreement funds will be dispersed quarterly on a reimbursement basis over a period of up to two years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

The recipient will maintain adequate records and accounts to assure that agreement funds are used for authorized purposes. Records will also be maintained by the Rural Development-Cooperative Programs National Office and Rural Development Budget Office according to USDA and Agency record-keeping requirements.

**Account Identification:**

12-1900-0-1-452.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 \$299,772; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deputy Administrator of Coopertativ 1400 Independence Ave, Washington, District of Columbia 20250 Phone: 202-720-7558

**Website Address:**

<http://www.rurdev.usda.gov/BCP>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.781 WATER AND WASTE DISPOSAL SYSTEMS FOR RURAL COMMUNITIES - ARRA**

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306, Public Law 92-419, 7 U.S.C. 1926.

**OBJECTIVES:**

To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for the installation, repair, improvement, or expansion of a rural water facility including distribution lines, well pumping facilities and costs related thereto, and the installation, repair, improvement, or expansion of a rural waste disposal facility including the collection, and treatment of sanitary, storm, and solid wastes. Grant funds may not be used to pay: interest on loans, operation and maintenance costs, or acquisition or refinancing of an existing system. No maximum loan amount is established by statute. The maximum term on all loans is 40 years. However, no repayment period will exceed any statutory limitation or the organization's borrowing authority or the useful life of the improvement or facility to be financed. There are currently three interest rates for direct loans: a poverty rate that is 60 percent of market rate when the loan is required to meet health or sanitary standards and the median household income of the service area is below the higher of the poverty line or 80 percent of the statewide nonmetropolitan median household income; an intermediate rate that is 80 of market rate if the median household income of the service area is not more than 100 percent of the nonmetropolitan median household income of the State; and a market rate for those applicants that do not qualify for the poverty rate or the intermediate rate. The law authorizing the program allows a maximum repayment period of 40 years. However, the repayment period cannot exceed the useful life of the facilities financed or any statutory limitation on the applicants borrowing authority. The law authorizing the program allows a maximum repayment period of 40 years. However, the repayment period cannot exceed the useful life of the facilities financed or any statutory limitation on the applicants borrowing authority.

**Applicant Eligibility:**

Municipalities, counties, other political subdivisions of a State such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. The applicant must: (1) be unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms; and (2) have the legal authority necessary for constructing, operating, and maintaining the proposed facility or service, and for obtaining, giving security for, and repaying the proposed loan. Facilities shall primarily serve rural residents and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. Plans

and specifications must be developed to comply with State and local health and pollution regulations and other requirements. Grants are made only when necessary to reduce the average annual benefited user charges to a reasonable level. Normally, grants are considered only when the debt service portion of the cost to grant eligible users exceeds the following percentages of median household incomes (MHI) for the applicant service area: 0.5 percent when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's non-metropolitan household income (NMHI); 1.0 percent when the NMHI of the service area exceeds the 0.5 percent requirement but is not more than 100 percent of the State's NMHI; no RUS grant funds will be used in any project when the MHI of the service area is above the poverty line and more than 100 percent of the State's NMHI. The RUS grant may not exceed 75 percent of the eligible project development cost when the MHI of the service area is below the poverty line or below 80 percent (whichever is higher) of the State's NMHI and the project is necessary to alleviate a health or sanitary problem; 45 percent when the MHI of the service area exceeds the 75 percent requirements, but is not more than 100 percent of the State's NMHI. Assistance is authorized for eligible applicants in rural areas of the United States, Puerto Rico, the Virgin Islands, Guam, Commonwealth of Northern Mariana Islands, American Samoa, and to the extent the Secretary determines feasible and appropriate, the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

Farmers, ranchers, rural residents, rural businesses and other users in eligible applicant areas.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility and financial responsibility relative to the activity for which assistance is requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by OMB Circular No. A102 must be used for this program. An environmental assessment is required for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. USDA Rural Development (RD) offices administer the program on the local level. Application Form SF-424 is filed at the local RD Office from which assistance may be obtained. This program is subject to the provisions of OMB Circular No. A-110

**Award Procedure:**

the application has been reviewed at the local level, it is forwarded to the RD State Director for review and processing instructions. Following completion of application processing requirements and loan/grant approval, funds are made available to the applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. This program is now closed to applications.

**Appeals:**

If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision at the RD or RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the use of RUS loan or grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period. See the following for information on how assistance is awarded/released: Funds may be advanced on an as needed basis by the RUS to cover expenses for a 30-day period.

**Reports:**

See Section 1512 of The American Recovery and Reinvestment Act of 2009.  
See Section 1512 of The American Recovery and Reinvestment Act of 2009.  
Progress reports are not applicable. See Section 1512 of The American Recovery and Reinvestment Act of 2009. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records and accounts are required to reflect the operations of the facility.

**Account Identification:**

12-0400-0-1-452 - ARRA; 12-0400-0-1-452 - ARRA.

**Obligations:**

(Direct Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1780, Water and Waste Loans and Grants.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Department of Agriculture, Rural Utilities Service, Water and Environmental Programs, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250  
Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities;  
14.218 Community Development Block Grants/Entitlement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In selecting applications for funding, the agency cooperates with appropriate State agencies. RUS assistance for water and waste disposal projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as: Population; low income unemployment; and health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional

area, county, or municipality in which the proposed project is located.

**10.850 RURAL ELECTRIFICATION LOANS AND LOAN GUARANTEES**

Electric Loans and Loan Guarantees

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, 7 U.S.C. 901-950.

**OBJECTIVES:**

To assure that people in eligible rural areas have access to electric services comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Long-term, direct loans and loan guarantees to qualified organizations for the purpose of supplying or improving electric services on a continuing basis in rural areas.

**Applicant Eligibility:**

Rural electric cooperatives, public utility districts, municipalities, corporations, and other qualified power suppliers including those located in the U.S. Territories, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

**Beneficiary Eligibility:**

Persons, businesses, and other entities in rural areas or those currently served through RUS financing. Rural areas are defined in the Rural Electrification Act and program regulations as any area of the United States, or eligible insular areas, other than a city, town, or unincorporated area that has a population of greater than 20,000 inhabitants, or any area within a service area of an entity with an outstanding Rural Electrification Act loan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An environmental impact statement or an environmental assessment is required for this program. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for direct loan and loan guarantees are made by resolution of the board of directors of the borrowing organization. Information on submitting applications is contained in 7 CFR Part 1710 and 1714.

**Award Procedure:**

Depending on the amount of the loan requested, the RUS Administrator, Assistant Administrator, or appropriate Regional Director makes the final decision on approval of the loan upon a finding that it is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through normal media communications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Direct loans are approved generally on an average of 3 to 6 months as funding becomes available. Loan guarantees are approved generally on an average of 9 to 12 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Under certain conditions, obtaining a municipal rate loan will require obtaining a concurrent loan (of 10, 20, or 30 percent of the total amount required) from a supplemental financing source. The factors used for determining the amount of concurrent financing required are set forth in 7 CFR 1710.110.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Direct loans are generally made for a period up to 35 years, which approximates the expected useful life of the facilities financed. Provision is normally made for advances to be completed within 4 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of loan guarantees are negotiated between the borrower and the non-RUS lender, subject to RUS approval. See the following for information on how assistance is awarded/released: Direct loans are generally made for a period up to 35 years, which approximates the expected useful life of the facilities financed. Provision is normally made for advances to be completed within 4 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of loan guarantees are negotiated between the borrower and the non-RUS lender, subject to RUS approval.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All other RUS borrowers have their books audited annually by a Certified Public Accountant. Information on audits of RUS borrowers is contained in 7 CFR Part 1773.

**Records:**

RUS borrowers keep the records prescribed for utility companies by the RUS uniform system of accounts, and by sound business practices.

**Account Identification:**

12-4230-0-3-271; 12-1230-0-1-271.

**Obligations:**

(Direct Loans) FY 11 \$39,600,000; FY 12 est \$100,000,000; and FY 13 est \$100,000,000. (Guaranteed/Insured Loans) FY 11 \$4,233,247; FY 12 est \$6,500,000; and FY 13 est \$6,500,000

**Range and Average of Financial Assistance:**

Direct Loans: \$372,000 to \$79,197,000, \$20,744,000 Average.  
Guaranteed FFB: \$732,000 to \$620,960,000, \$39,851,986 Average.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR XVII. RUS publishes and issues upon request bulletins bearing on the financing, construction, operation, and maintenance of rural electric systems. Also available are annual statistical summaries; and the Rural Electrification Act of 1936, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Electric Programs Department of Agriculture, 1400 Independence Ave., SW, Stop 1560, Washington, District of Columbia 20250-1500 Phone: (202) 720-9540.

**Website Address:**

[http://www.rurdev.usda.gov/UEP\\_Loans\\_Grants.html](http://www.rurdev.usda.gov/UEP_Loans_Grants.html)

**RELATED PROGRAMS:**

10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.851 RURAL TELEPHONE LOANS AND LOAN GUARANTEES**

Rural Telephone Loans and Loan Guarantees

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Titles II and III, 7 U.S.C. 921, 922-924, and 930-940.

**OBJECTIVES:**

To assure that people in eligible rural areas have access to telecommunications services comparable in reliability and quality to the rest of the Nation.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Long-term direct and guaranteed loans to qualified organizations for the purpose of financing the improvement, expansion, construction, acquisition, and operation of telephone lines, facilities, or systems to furnish and improve Telecommunications service in rural areas. "Rural area" is defined as any area of the United States, its territories and insular possessions (including any areas within the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau) not included within the boundaries of any incorporated or unincorporated city, village, or borough having a population exceeding 5,000 inhabitants. The population figure is obtained from the Bureau of Census. For purposes of the "rural area" definition, the character of an area is determined at the time the initial loan for the system is made.

**Applicant Eligibility:**

Telephone companies or cooperatives, nonprofit associations, limited dividend associations, mutual associations or public bodies including those located in the U.S. Territories and countries included in the Compact of Free Association Act of 1985, providing or proposing to provide telecommunications service to meet the needs of rural areas.

**Beneficiary Eligibility:**

Residents of rural areas, and others who may also receive telephone service as a result of service provided to a rural area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact statement will be required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The completed loan application consists of four parts: an RUS Form 490; Application for Telephone Loan or Loan Guarantee; a market survey called Area Coverage Survey (ACS); the plan and associated costs for the proposed construction called the Loan Design (LD); and other various supplementary information specified in 7 CFR 1737.22. Detailed information on applying for an RUS telephone loan or loan guarantee is in 7 CFR Part 1737, available from RUS upon request.

**Award Procedure:**

Depending on the amount of the application, and loan committee(s)

recommendation, the RUS Administrator, Assistant Administrator, or appropriate Area Director makes the final decision on approval of the loan or loan guarantee upon a finding that it is economically feasible and serves the purposes of the Rural Electrification Act. Borrowers and Members of Congress are notified of the approval of a loan or loan guarantee directly, and the public is notified through normal media communications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days. Application are processed on a first-come, first-served basis. Normal loan processing time is from 6 to 9 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Direct and guaranteed loans can be made not to exceed the economic life of facilities and equipment. (average loan maturity is 18 yrs). See the following for information on how assistance is awarded/released: Provision is normally made for advances to be completed within 5 years, but this period is subject to extension if required. Advances of funds are made as required by the borrower. The terms and conditions of guaranteed loans are negotiated between the borrower and the non-RUS lender, subject to RUS approval.

**Reports:**

RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All other RUS borrowers have their books audited annually by a Certified Public Accountant. Information on audits of RUS borrowers is contained in 7 CFR Part 1773.

**Records:**

RUS borrowers keep the records prescribed for telecommunication companies by the RUS uniform system of accounts, and by sound business practices. The RUS uniform system of accounts is comprised of 47 CFR Part 32 supplemented by 7 CFR Part 1770.

**Account Identification:**

12-1230-0-1-271; 12-4230-0-3-271.

**Obligations:**

(Direct Loans) FY 11 \$363,165,000; FY 12 est \$250,000,000; and FY 13 est \$250,000,000 - Cost of Money Loans. (Direct Loans) FY 11 \$31,825,000; FY 12 est \$145,000,000; and FY 13 est \$145,000,000 - Hardship Loans. (Guaranteed/Insured Loans) FY 11 \$294,999,000; FY 12 est \$295,000,000; and FY 13 est \$295,000,000 - FFB Treasury Loans.

**Range and Average of Financial Assistance:**

For FY 2011: Direct loans: \$2,056,000 to \$70,000,000; Average: \$13,166,667. Loan Guarantees: \$4,934,000 to \$29,139,000; Average: \$16,388,833.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 41 borrowers received loans. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR-XVII. RUS publishes and issues upon request technical operations manuals and bulletins covering financing, construction, operation and maintenance of rural telephone systems. Also available are annual statistical summaries; and Rural Electrification Act of 1936, as amended.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service Rural Utilities Service, 1400 Independence Avenue, SW., STOP 1590, Room 5151, Washington, District of Columbia 20250 Phone: (202) 720-9554 Fax: (202) 720-0810.

**Website Address:**

[http://www.rurdev.usda.gov/utp\\_infrastructure.html](http://www.rurdev.usda.gov/utp_infrastructure.html)

**RELATED PROGRAMS:**

10.886 Rural Broadband Access Loans and Loan Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This program has provided funding to rural homes and businesses for access to high speed broadband connections as well as other state of the art telecommunications services. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.854 RURAL ECONOMIC DEVELOPMENT LOANS AND GRANTS**

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title III, 7 U.S.C. 930-940c.

**OBJECTIVES:**

To promote rural economic development and job creation projects, including funding for project feasibility studies, start-up costs, incubator projects, and other reasonable expenses for the purpose of fostering rural development.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program is for projects which promote rural economic development and job creation. Maximum amount of grant is \$300,000; maximum amount of loan is \$1,000,000. Maximum term and interest rates vary by project.

**Applicant Eligibility:**

Electric and telephone utilities that have current loans with the Rural Utilities Service (RUS), Rural Telephone Bank loans, or guarantees outstanding and are not delinquent on any Federal debt or in bankruptcy proceedings.

**Beneficiary Eligibility:**

Rural/General Public.

**Credentials/Documentation:**

This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit application as described in 7 CFR 4280.39, no State plan required.

**Award Procedure:**

RBS selects projects to be funded. The funds pass through the RUS utility to rural economic development projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application



deadlines.

**Range of Approval/Disapproval Time:**

Open ended.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of same application for 1 year. Submit new or revised application as often as desired.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. This program requires supplemental funds in the amount of 20 percent of the RBS application amounts.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

annually. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting need established in 7 CFR 4280, Subpart A. Cash reports are not applicable. Reporting need established in 7 CFR 4280, Subpart A. Expenditure reports are not applicable. Reporting need established in 7 CFR 4280, Subpart A.

**Audits:**

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

**Records:**

Record retention requirements established in 7 CFR 4280, Subpart A.

**Account Identification:**

12-3108-0-1-452; 12-4230-0-3-271; 12-3105-0-1-452.

**Obligations:**

(Loan Guarantees/Grants) FY 11 \$29,412,012; FY 12 est \$42,000,000; and FY 13 Estimate Not Available - Loans and Grants to establish Revolving Loan Fund Programs.

**Range and Average of Financial Assistance:**

Loans and Grants to establish Revolving Loan Fund Programs.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 4280, Subpart A and the Rural Electrification Act of 1936.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for RD District Office number. If no listing, get in touch with appropriate Rural Development State Office listed in Appendix IV of the catalog.

**Headquarters Office:**

Specialty Lenders Division, Rural Business-Cooperative Service, Department of Agriculture, 1400 Independence Ave. S.W., Washington, District of Columbia 20250 Phone: (202) 720-1400.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR 4280.42.

**10.855 DISTANCE LEARNING AND TELEMEDICINE LOANS AND GRANTS**

Distance Learning and Telemedicine Loans and Grants

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Federal Agriculture Improvement and Reform Act of 1996, Title VII, Public Law 104-127, 7 U.S.C 950.

**OBJECTIVES:**

To encourage and improve the use of telemedicine, telecommunications, computer networks, and related advanced technologies to provide educational and medical benefits through distance learning and telemedicine projects to people living in rural areas and to improve rural opportunities.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Telecommunications, computer networks and related advanced technologies that provide educational and/or medical benefits to students, teachers, medical professionals and rural residents. Eligible costs depend on the type of financial assistance being requested; i.e., grant or loan. See 7 CFR Part 1703 for details.

**Applicant Eligibility:**

To be eligible to receive a grant, loan and grant combination, or loan, the applicant must be legally organized as an incorporated organization or partnership, an Indian tribe or tribal organization, a state or local unit of government, a consortium, or other legal entity. The applicant must have legal capacity to contract with RUS. The applicant also must propose to utilize the financing to: (i) operate a rural community facility; or (ii) deliver distance learning or telemedicine services to entities that operate a rural community facility or to residents of rural areas at rates calculated to ensure that the benefit of the financial assistance is passed through to such entities or to residents of rural areas. The applicant must not be delinquent on any Federal debt. RUS electric and telecommunications borrowers are not eligible for grants. Generally, applicants are organizations such as schools, libraries, hospitals, medical centers, or other eligible organizations that will be users of a telecommunications, computer network, or related advanced technology system to provide educational and/or medical benefits to rural residents.

**Beneficiary Eligibility:**

The people living in rural areas and to improve rural opportunities, particularly in the areas of education, training and medical services.

**Credentials/Documentation:**

See 7 CFR Part 1703 for details. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit application Form 424; non-delinquent on any Federal obligations; consultation with USDA State Director (for grant applicants); evidence of legal existence and authority to perform the proposed grant activities; a comprehensive rural telecommunications plan; scope of work plan, executive summary for the project; financial information; a statement of experience; funding commitment from other sources; compliance with Federal statutes and regulations (compliance with scoring criteria) and environmental impact; supplemental information and required additional RUS information.

**Award Procedure:**

Based on a determination that the loan is economically feasible and serves the purposes of the Rural Electrification Act, loans are approved. For grants, RUS

rates the applicants based on specified scoring criteria and determines awards based on those ratings.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available. Applications that have not been approved may be resubmitted each year for consideration.

**Appeals:**

A grant applicant may appeal the numerical scoring of the objective criteria only to the Administrator in writing within 10 days after applicant is notified of the scoring level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 15%. No matching is required for applicants requesting loans. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes. Applicants generally have three years to spend funds. One extension may be granted. See the following for information on how assistance is awarded/released: Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. SF 269, "Financial Status Report," is required annually. Project performance activity reports are required annually.

**Audits:**

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

**Records:**

Grantee will provide evidence that funds are expended for approved purposes.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Direct Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Project Grants) FY 11 \$63,337,689; FY 12 est \$150,000,000; and FY 13 est \$15,000,000

**Range and Average of Financial Assistance:**

The minimum grant, loan, or loan/grant combination is \$50,000. The maximum varies and is not to exceed the amount established by the RUS Administrator. In fiscal year 2011, the average grant amount was \$313,494.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 205 applicants received grants; this covered applications received in both FY2010 and FY2011. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1703, subparts D through G. Distance Learning and Telemedicine Program Grant Application Guide - For grants - Distance Learning and Telemedicine Program -Grant Application Guide - Fiscal Year 2010.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service,

1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554.

**Website Address:**

[http://www.rurdev.usda.gov/UTP\\_DLT.html](http://www.rurdev.usda.gov/UTP_DLT.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See 7 CFR Part 1703, subparts D through G.

**10.856 1890 LAND GRANT INSTITUTIONS RURAL ENTREPRENEURIAL OUTREACH PROGRAM**

(1890 REOD Initiative)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To encourage 1890 Institutions to provide technical assistance for business creation in economically challenged rural communities, to conduct educational programs that develop and improve upon the professional skills of rural entrepreneurs, and to provide outreach and promote USDA Rural Development programs in small rural communities with the greatest economic need.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Rural Development cooperative agreements with the 1890 Institutions must be used to strengthen the capacity of rural communities to undertake innovative, comprehensive, citizen led, long-term strategies for community and economic development. Only one application or proposal per 1890 institution per year will be accepted. Recognized outreach efforts to promote Rural Development programs in targeted underserved rural communities include, but are not limited to: (a) business startup and related technical assistance; seminars and workshops for small businesses; (b) development of management and technical assistance plans that: (1) assess small business alternatives to traditional agriculture; (2) assist in the development of business plans or loan packages, marketing, or bookkeeping; (3) assist and train small businesses in customer relations, product development, or business planning and development; (c) feasibility studies; (d) advice and recommendations regarding best practices in community economic development; (e) the conduct of seminars to stimulate business and economic development; and (f) developing computer technology outreach and establishing and maintaining a computer network system, linking community leaders and residents to available economic development information. Rural Development funds may be used to pay up to 75 percent of the costs for carrying out relevant projects. Applicants' contributions (matching 25 percent) may be in cash or in-kind contributions but must be from non-Federal funds. The applicant and assigned personnel must also have expertise and experience in providing the recommended assistance. Applicants should also have a previous record of successful implementation of similar projects and must have the expertise in the use of electronic network technologies and/or a business information system network website.

**Applicant Eligibility:**

1890 Land Grant Institutions and Tuskegee University (1890 Institutions).

**Beneficiary Eligibility:**

The 1890 REOD Initiative is limited to residents located in a rural area as defined in 7 U.S.C. 1991(a)(13) with economic need. Location in an Empowerment Zone, Enterprise Community, Champion Community, Federally-recognized Tribal Indian groups or other Federally declared economic depressed or disaster area is sufficient evidence of economic need. Eligible beneficiaries must also be located in communities that show significant community support for the proposal. Preference will be given for projects that

operate in a multi-county service area. See annual notice of funding availability for details.

**Credentials/Documentation:**

Eligible applicants are 1890 Land Grant Institutions and Tuskegee University. Eligible applicants must provide matching funds equal to at least 25 percent of the amount provided by Rural Development in the cooperative agreement. See annual notice of funding availability for details. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submit (1) Form SF-424, Application for Federal Assistance; (2) Form SF-424A, Budget Information--Non-Construction Programs; (3) Form SF-424B, Assurances--Non-construction Programs; (4) Form AD-1047, Certification Regarding Debarment, Suspension and other Responsibility Matters; (5) Form AD-1049, Certification Regarding Drug Free Workplace Requirements (6) Form SF-LLL, Disclosure of Lobbying Activities; and, (7) other information as requested by the annual Request For Proposals.

**Award Procedure:**

The 1890s Institutions must submit their application to the Rural Development-Cooperative Programs National Office where it will be reviewed and scored on a competitive basis as described in the annual solicitation for proposals. If selected for an award, the applicant must complete the objectives as defined in the approved proposal.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 60 to 120 days after solicitation closes and application is filed with the Rural Development-Cooperative Programs.

**Appeals:**

Applicants may appeal any adverse decisions to the National Appeals Division.

**Renewals:**

This program is conducted annually and requires a new application and competition each year. Hence, renewals are not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Matching funds must be spent in proportion to the spending of funds received from the cooperative agreement. All awards are for one year from the beginning of the performance period as specified in the terms and conditions of the agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

The recipient will maintain adequate records and accounts to assure that agreement funds are used for authorized purposes. Records will also be maintained by the Rural Development--Cooperative Programs National Office National Office and RD Budget Office according to USDA and Agency record-keeping requirements.

**Account Identification:**

12-0403-0-1-452.

**Obligations:**

(Formula Grants) FY 11 \$750,000; FY 12 est \$750,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 3015; 7 CFR 3017; 7 CFR 3018; 7 CFR 3019; 7 CFR 3021; and, 7 CFR 3052. NOTE: Executive Order 13256 (February 12, 2002), President's Board of Advisors on Historically Black Colleges and Universities.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate RD State Office or check the website noted in this announcement. Email: CPGGrants@wdc.usda.gov.

**Headquarters Office:**

Natalie Melton 1400 Independence Ave, Washington, District of Columbia 20250 Email: Natalie.Melton@wdc.usda.gov Phone: 202-690-1371

**Website Address:**

<http://www.rurdev.usda.gov/rbs/oa/1890.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.857 STATE BULK FUEL REVOLVING FUND GRANTS**

State Bulk Fuel Grants

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

To provide grants to State entities for revolving funds to promote more cost-effective fuel purchases for communities where fuel cannot be shipped by surface transportation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to establish and support a revolving fund to provide a more cost-effective means of purchasing fuel where fuel cannot be shipped by means of surface transportation. Not more than 4 percent of the funds made available under the grant may be used for planning and administrative expenses.

**Applicant Eligibility:**

Applicants are limited to State entities and to entities of any Territory, possession or other area authorized to receive the services and programs of the Rural Utilities Service or the Rural Electrification Act of 1936, as amended. Entities must be in existence as of November 9, 2000.

**Beneficiary Eligibility:**

Assistance must be used to improve the cost-effectiveness of fuel purchasing for communities that are dependent on fuel deliveries by water or air.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications are accepted in response to a Notice of Funding Availability

published in the Federal Register. Requirements for applications are described in the Federal Register notice and may be requested from the Agency. Unsolicited applications may also be considered at the request of a State. Eligible State entities should provide expressions of interest in applying for grants to the Assistant Administrator, Electric Programs.

**Award Procedure:**

Grants are awarded competitively.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Grant approvals will generally be made within 60 days of the application closing date.

**Appeals:**

Applicants may appeal rejections of ineligible applications to the Administrator of the Rural Utilities Service under procedures in program regulations at 7 CFR Part 1709.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant agreements will run for a period of three years. Extensions may be granted. See the following for information on how assistance is awarded/released: Funds will be disbursed on request of the Grantee.

**Reports:**

Grantee will be required to provide periodic financial, progress and performance reports. Cash reports are not applicable. Grantee will be required to provide periodic financial, progress and performance reports. Expenditure reports are not applicable. Grantee will be required to provide periodic financial, progress and performance reports.

**Audits:**

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

**Records:**

Records must be kept as required under USDA and State regulations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Electric Programs Department of Agriculture, 1400 Independence Ave., SW, Stop 1560, Washington, District of Columbia 20250

Phone: (202) 720-9540.

**Website Address:**

[http://www.rurdev.usda.gov/UEP\\_Grant\\_Program.html](http://www.rurdev.usda.gov/UEP_Grant_Program.html)

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected competitively based on total scores received on evaluation criteria in grant announcement. Unsolicited applications from State Governments are considered on a case by case basis according to criteria in regulations.

**10.858 DENALI COMMISSION GRANTS AND LOANS**

RUS - Denali Commission Grants

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

Grants and loans to the Denali Commission for the benefit of rural communities in Alaska with extremely high household energy costs exceeding 275 percent of the national average.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used for energy generation, transmission, or distribution facilities serving rural communities where annual average residential energy expenditures are at least 275 percent of the national average. Grant must be in coordination with State rural development initiatives. Planning and administrative expenses must not exceed 4 percent of the grant amount.

**Applicant Eligibility:**

The Denali Commission, a Federal Agency, is the only eligible applicant.

**Beneficiary Eligibility:**

Beneficiaries are residents of rural communities in Alaska with extremely high energy costs. Eligible beneficiary communities must apply for assistance directly to the Denali Commission and eligible projects must be on Denali Commission Annual Approved Work Plan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Denali Commission submits a letter of application under a Memorandum of Understanding with USDA.

**Award Procedure:**

Approval of the Denali request for grant funds is made by the Administrator.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funds are for three years and may be extended upon the sole discretion of RUS. See the following for information on how assistance is awarded/released:

**Reports:**

The Denali Commission will provide a summary of projects approved, rural communities served, and an accounting of expenditures made under each grant in its annual report. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Yearly performance updates on current grant recipients are required.

**Audits:**

Not Applicable.

**Records:**

The Denali Commission maintains its books and records in accordance with Federal requirements of OMB Circular A-34.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$5,775,000; FY 12 est \$2,500,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Grant awards have ranged from \$2,500,000 to \$18,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Electric Programs, Rural Utilities Service, Department of Agriculture, 1400 Independence Ave., SW, Stop 1560, Washington, District of Columbia 20250 Phone: (202) 720-9540.

**Website Address:**

[http://www.rurdev.usda.gov/UEP\\_Grant\\_Program.html](http://www.rurdev.usda.gov/UEP_Grant_Program.html)

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Agency Administrator makes a grant award based on Denali Letter of Request and Denali Annual Work Plan.

**10.859 ASSISTANCE TO HIGH ENERGY COST RURAL COMMUNITIES**

High Energy Cost Grants

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title I, Section 19, Public Law 106-472, 114 Stat. 2058, 7 U.S.C. 918a.

**OBJECTIVES:**

Assistance to rural communities with extremely high energy costs.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Funds must be used to acquire, construct, extend, upgrade, and improve energy generation, transmission, or distribution facilities serving communities in which the average annual expenditure for home energy costs is at least 275 percent of the national average. Energy efficiency and on-grid and off-grid renewable energy systems are eligible. Not more than 4 percent of amounts made available in grant funds may be used for planning and administrative expenses. Funds may not be used to pay utility bills, fuel costs, or operating expenses.

**Applicant Eligibility:**

Eligible applicants include States, political subdivisions of States, for-profit and non-profit businesses, cooperatives, associations, organizations, and other entities organized under the laws of States, Indian tribes, tribal entities, and individuals. The governments and entities located in any U.S.

Territory/possession or other area authorized by law to receive the services and programs of the Rural Utilities Service or the Rural Electrification Act of 1936, as amended, are also eligible.

**Beneficiary Eligibility:**

Projects must serve rural communities in which the annual average residential expenditure for home energy is at least 275 percent of the national average. Energy cost eligibility benchmarks are included in the published Notice of Funding Availability.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications are accepted in response to a Notice of Funding Availability published in the Federal Register and Grants.gov. Application requirements are described in the published notice and on the agency web site. Application materials may also be requested from the Agency.

**Award Procedure:**

Grants will be awarded based on competitive ranking of applications according to published evaluation criteria for technical merit and community need.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Selection of grant finalists will be announced approximately 90 to 180 days after the application deadline. Final Grant awards will be approved after completion of environmental review and other pre-obligation requirements.

**Appeals:**

Applicants may appeal rejections of ineligible applications to the Administrator of the Rural Utilities Service under procedures in program regulations at 7 CFR Part 1709. Applicants may not appeal numerical rankings of competitive grant applications.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant agreements will run for three years; extensions may be granted for just cause at the sole discretion of RUS. See the following for information on how

assistance is awarded/released: Advances and reimbursements will be disbursed over the term of the grant on request of the grantee.

**Reports:**

Grant recipients will be required to file periodic financial, expenditure, progress, and performance reports specified in the grant agreement and program regulations. Cash reports are not applicable. Grant recipients will be required to file periodic financial, expenditure, progress, and performance reports specified in the grant agreement and program regulations. Grant recipients will be required to file periodic financial, expenditure, progress, and performance reports specified in the grant agreement and program regulations. Grant recipients will be required to file periodic financial, expenditure, progress, and performance reports specified in the grant agreement and program regulations.

**Audits:**

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

**Records:**

Grantee must maintain records in accordance with requirements of program regulations and the grant agreement.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$15,000,000; FY 12 est \$7,500,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Minimum award is \$20,000 and maximum is \$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1709.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Electric Programs Department of Agriculture, 1400 Independence Ave., SW, Stop 1560, Washington, District of Columbia 20250  
Phone: (202) 720-9545.

**Website Address:**

[http://www.rurdev.usda.gov/UEP\\_Grant\\_Program.html](http://www.rurdev.usda.gov/UEP_Grant_Program.html)

**RELATED PROGRAMS:**

10.850 Rural Electrification Loans and Loan Guarantees; 10.854 Rural Economic Development Loans and Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be ranked competitively based on published evaluation criteria. All projects must serve rural communities with extremely high energy costs.

**10.861 PUBLIC TELEVISION STATION DIGITAL TRANSITION GRANT PROGRAM**

Public Television Station Digital Transition Grant Program

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2006; Title III, Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and Broadband Program; Public Law 109-97.

**OBJECTIVES:**

As part of the nation's transition to digital television, the Federal Communications Commission (FCC) required all television broadcasters to convert their transmitters to broadcast digital signals by June 12, 2009. The goal of this conversion is a television system that makes more efficient use of the radio spectrum. By decreasing the use of spectrum by television channels, this frees up spectrum to enable the introduction of new wireless telecommunications services such as mobile wireless Internet access. In order to allocate spectrum to new uses, stations had to transition their main transmitter to the new broadcast system and digital no later than June 2009. While stations must broadcast their main transmitter signal in digital, many rural stations have yet to complete a full digital transition of their stations across all equipment. Rural stations often have translators serving small or isolated areas. The 2009 FCC deadline did not apply to translators; in 2011 the FCC adopted a final deadline for analog-to-digital conversion of all translators by September 1, 2015. Because of this, translators have been allowed to continue broadcasting in analog, and stations are still in the process of converting some of their translators to digital. Because the FCC deadline did not apply to translators, they are allowed to continue broadcasting in analog. Some rural stations also have not fully converted their production and studio equipment to digital, which has impaired their ability to provide the same quality local programming that they provided in analog. The digital transition has also created some service gaps where households that received an analog signal are now unable to receive a digital signal. For rural households the digital transition has meant in some cases diminished over-the-air public television service. These rural households are the focus of the Agency's Public Television Station Digital Transition Grant Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to install digital television facilities through purchase or lease (up to three years of lease costs); and for associated engineering and environmental studies. All broadcast facilities acquired under this program must be capable of delivering both digital television (DTV, sometimes called standard definition) and high definition television (HDTV) at both the interim and final channel power authorizations. Grant funds may be used to fund facilities directly connected to the digital transition of the broadcast signal such as: digital transmitters; digital translators; transmitting antennas; new towers or improvements to existing towers necessary for antenna installation; tower ground infrastructure such as land, buildings, fencing, standby power, and where commercial power is unreliable, power generation and conditioning facilities; studio to transmitter/translator communication links; television program production and management equipment; datacasting equipment; and subject to RUS approval, other facilities directly necessary for the digital transition of the broadcast signal. Grants shall not be used: to fund operations or for facilities not owned by the applicant (except for leased facilities as described above); for salaries, wages, and other public television employee benefits (unless they are for construction or installation of eligible facilities); for construction performed or expenditures made prior to the application deadline; or for facilities funded under other grants. Grants shall not be used: to fund operations or for facilities not owned by the applicant (except for leased facilities as described above); for salaries, wages, and other public television employee benefits; for construction performed or expenditures made prior to the application deadline; or for facilities funded under other grants.

**Applicant Eligibility:**

The applicant must be a public television station that serves a rural area regardless of whether they also serve an urban area. (Rural area means any area of the United States not included within the boundaries of any incorporated or unincorporated city, village, or borough having a population in excess of 20,000 inhabitants.) The applicant must also be required to convert from analog to digital transmission under the rules of the FCC. For the purpose of this grant program, a public television station must be an organization which (1) qualifies for Federal funding under Section 396(k) of the Public Broadcasting Act of 1967, and (2) which is either: (a) under the rules and regulations of the FCC in effect on November 2, 1978, eligible to be licensed as a noncommercial educational broadcast station and which is owned and operated by a public agency or nonprofit private foundation, corporation, or association; or (b)

owned and operated by a municipality and which transmits only noncommercial programs for education purposes.

**Beneficiary Eligibility:**

Anyone who receives the improved digital television signal from a rural public television station or attends an educational institution that uses public television in its curriculum.

**Credentials/Documentation:**

The applicant must provide evidence demonstrating that it meets the definition of a public television station in section 81, above. The applicant must also provide evidence that the FCC has authorized the initiation of digital broadcasting at each of the Applicant's transmitter and translator sites. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An applicant must submit an application in accordance with the Program's application guide. In addition to Government-wide requirements, the applicant shall provide a description of the project including: an executive summary, a project cost spreadsheet, broadcast coverage maps, a complete narrative description, and an environmental assessment.

**Award Procedure:**

All complete applications from eligible applicants that meet the application deadline will be scored in a competitive process to determine which projects are funded. There are three scoring categories. The first is rurality, a measure of the rural character of the applicant's digital television coverage area. Up to 50 points can be earned in this category. The second uses the National School Lunch Program eligibility percentage as a measure of the economic need of the people in the applicant's coverage area. This category earns up to 25 points. Finally, up to 25 points can be awarded based on critical need.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A recipient generally has three years to spend funds. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: RUS will advance funds as needed (but no more frequently than once every 30 days) to reimburse disbursements for approved grant purposes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The recipient must provide periodic financial reports to RUS. The recipient must provide periodic performance reports and permit periodic inspection by RUS of the project. The recipient must constantly monitor performance to ensure that it is meeting time schedules, accomplishing projected work by time periods, and achieving other performance objectives. The performance and financial reports must be submitted to RUS on a quarterly basis throughout the project construction period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The recipient must provide RUS with an audit for each year in which a portion of the grant is expended.

**Records:**

The recipient must maintain all records needed to identify the purposes for which, and the manner in which, grant and other funds were expended on the project. The recipient must maintain such records for 3 years after the project is completed. The recipient must provide reasonable access to these records to RUS.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$6,304,373; FY 12 est \$3,000,000; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

The maximum grant for an individual public television station is \$750,000. In fiscal year 2011, the average grant amount was \$331,809. The 19 grants ranged from \$25,540 to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 19 applicants received grants. Fiscal Year 2012: N/A. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1740 - Public Television Station Digital Transition Grant Program

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, 1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554.

**Website Address:**

[http://www.rurdev.usda.gov/UTP\\_DTV.html](http://www.rurdev.usda.gov/UTP_DTV.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: N/A. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Complete, eligible applications that meet the application deadline are scored to determine which projects are funded. There are three scoring categories: rurality, up to 50 points; economic need, up to 25 points; and critical need, up to 25 points.

**10.862 HOUSEHOLD WATER WELL SYSTEM GRANT PROGRAM**

HWWS Program

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 306E, Public Law 107-171, 7 U.S.C. 1926e.

**OBJECTIVES:**

To make grants to private, nonprofit organizations to finance the construction, refurbishing and servicing of individually-owned household water well systems in rural areas for individuals with low or moderate income.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds will be used to establish and maintain a revolving loan fund to provide loans to eligible individuals to construct, refurbish, and service individually-owned household water well systems. Eligible individuals must own or will own the household water well systems. Funds may be used to pay administrative expenses associated with providing the loans. Grant funds may not be used to pay (1) administrative expenses exceeding 10 percent of the loans made during the calendar year; (2) administrative expenses incurred before the Rural Utilities Service executes a grant agreement; (3) delinquent debt owed to the Federal Government.

**Applicant Eligibility:**

An applicant must be a private organization, organized as a non-profit corporation. The applicant must have the legal capacity and authority to perform the obligations of the grant. The applicant must have sufficient expertise and experience in lending activities and promoting the safe and productive use of individually-owned household water well systems and ground water.

**Beneficiary Eligibility:**

An individual in a household in which the combined income of all household members (for the most recent 12 months) does not exceed 100 percent of the median non-metropolitan household income for the State or territory in which the individual resides.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, ability to administer and service a revolving loan fund, commitment and sources of financial resources the organization controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Standard application forms as furnished by RUS must be used for this program. Environmental impact information is not required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-110 applies to this program. The Water and Environmental Programs of the USDA Rural Utilities Service administers the program. Application Form SF-424 is filed at the National Office in Washington, DC, from which assistance may be obtained.

**Award Procedure:**

The Water and Environmental Programs staff in Washington, DC, will review and process the application. Following completion of application processing requirements and grant approval, funds are made available to the applicant on a reimbursement basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 30 to 90 days.

**Appeals:**

From 60 to 90 days. If an application is rejected, the reasons for rejection are fully stated. The applicant may request a review of this decision with the National Appeals Division of USDA in accordance with USDA regulations at 7 CFR 11.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 10.%. Applicants must provide funds from sources other than the HWWS grant. The required match must be at least 10 percent of the HWWS grant. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified; however, priority will be given to applicants whose time frame for completion of the grant project is 12 months or less. See

the following for information on how assistance is awarded/released: Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis.

**Reports:**

All grantees will submit quarterly performance activity reports and financial reports to RUS until the project is complete and the funds are expended. Cash reports are not applicable. Periodic reports are to be made to the RUS servicing official. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of the grants and other agreements. Audits should be completed in accordance with the requirements of OMB Circular No. A-133 or RUS requirements, whichever apply.

**Records:**

Records and accounts are required to reflect the project operations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$1,050,000; FY 12 est \$993,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$50,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 6 grants awarded. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1776, Household Water Well System Grant Program; The Household Water Well System Program: 2004 Grant Application Guide.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250  
Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

RUS assistance for grant projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as population, low income, unemployment; health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed project is located.

**10.863 COMMUNITY CONNECT GRANT PROGRAM**

Community Connect Grant Program

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture



**AUTHORIZATION:**

Consolidated Appropriations Act, 2005; Title III: Rural Development Programs; Rural Utilities Service; Distance Learning, Telemedicine, and Broadband Program; Public Law 108-447.

**OBJECTIVES:**

To encourage community-oriented connectivity by providing grants to eligible applicants who will deploy broadband transmission service in rural communities where such service does not currently exist; who will connect all critical community facilities such as local schools, education centers, libraries, hospitals, health care providers, law enforcement agencies, public safety organizations, fire, and rescue services, as well as residents and businesses; and who will operate a community center which provides free and open access to area residents.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants will be made available, on a competitive basis, for the deployment of broadband transmission services to critical community facilities, rural residents, and rural businesses and for the construction, acquisition, expansion, and/or operation of a community center which would provide free access to broadband transmission services to community residents for at least two years. Funding is also available for end-user equipment, software, and installation costs. See 7 CFR Part 1739 for details.

**Applicant Eligibility:**

To be eligible for a grant, the applicant must: (a) be legally organized as an incorporated organization, an Indian tribe or tribal organization, a state or local unit of government, or other legal entity, including cooperatives or private corporations or limited liability companies organized on a for profit or not-for profit basis, and (b) have the legal capacity and authority to own and operate the broadband facilities as proposed in its application, to enter into contracts and to otherwise comply with applicable federal statutes and regulations.

**Beneficiary Eligibility:**

The people living in rural areas and to improve rural opportunities through the availability of access to high speed broadband networks.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Details of the projects impact on the environment and historic preservation must be provided. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submit an application in accordance with 7 CFR 1739 and its accompanying application guide.

**Award Procedure:**

Grants are awarded on a competitive basis to applicants receiving the highest number of points.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are approved each fiscal year for which funding is made available.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 15%. The grant applicant must contribute a matching contribution which is at least 15 percent of the grant amount requested.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants generally have three years to spend funds. Extensions may be granted. See the following for information on how assistance is awarded/released: Funds may be advanced monthly or as needed to reimburse disbursements for approved grant purposes.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. SF 269, "Financial Status Report," is report required annually. Project performance activity reports are required annually.

**Audits:**

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

**Records:**

Grantee will provide evidence that funds are expended for approved purposes.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$13,526,517; FY 12 est \$14,143,876; and FY 13 est \$14,000,000

**Range and Average of Financial Assistance:**

The Agency will publish, annually in the Federal Register, a Notice of Funds Availability that sets forth the maximum and minimum funding for each grant. The size of grants varies. .

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 18 grants were approved. Fiscal Year 2012: No current data available. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1739: Broadband Grant Program, Subpart A - Community Connect Grant Program

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program Rural Utilities Service, 1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554.

**Website Address:**

[http://www.rurdev.usda.gov/utp\\_commconnect.html](http://www.rurdev.usda.gov/utp_commconnect.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: N/A. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.864 GRANT PROGRAM TO ESTABLISH A FUND FOR FINANCING WATER AND WASTEWATER PROJECTS**

RFP Program

**FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act, as amended, Section 6002, Public Law 107-171, 7 U.S.C. 1926e.

**OBJECTIVES:**

To make grants to private, nonprofit organizations to establish a revolving loan fund to make small, short term loans for pre-development or small capital water or waste disposal projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds will be used to establish and maintain a revolving loan fund to finance pre-development costs associated with proposed water and wastewater projects or with existing water and wastewater systems, and short-term costs incurred for replacement equipment, small-scale extension of services, or other small capital projects that are not part of the regular operations and maintenance activities of existing water and wastewater systems.

**Applicant Eligibility:**

An applicant must be a private organization, organized as a non-profit corporation. The applicant must have the legal capacity and authority to perform the obligations of the grant. The applicant must have sufficient expertise and experience in making and servicing loans.

**Beneficiary Eligibility:**

Municipalities, counties, and other political subdivisions of a State, such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on Federal and State reservations and other Federally recognized Indian tribes. Facilities shall primarily serve rural residents and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants according to the latest decennial census of the United States. The loan recipient must be unable to finance the proposed project from their own resources or through commercial credit at reasonable rates and terms. The loan recipient must have or will obtain the legal authority necessary for owning, constructing, operating and maintaining the proposed service or facility, and for obtaining, giving security for, and repaying the proposed loan.

**Credentials/Documentation:**

Evidence of legal capacity, economic feasibility, ability to administer and service a revolving loan fund, commitment and sources of financial resources the organization controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Water and Environmental Programs of the USDA Rural Utilities Service administers the program. Application Form SF-424 is filed at the National Office in Washington, DC, from which assistance may be obtained.

**Award Procedure:**

The Water and Environmental Programs staff in Washington, DC, will review and process the application. Following completion of application processing requirements and grant approval, funds are made available to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days.

**Appeals:**

If an application is rejected, the reasons for rejection are stated fully. The applicant may request a review of this decision at the RUS National level.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20.%. Applicants must provide funds from other sources equal to at least 20 percent of the RFP grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A time limitation is not specified for the RUS grant funds. Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis. See the following for information on how assistance is awarded/released: Funds will be awarded when all RUS requirements are met and the project can be completed on a timely basis.

**Reports:**

Periodic reports are to be made to the RUS servicing official. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits should be made as part of the recipient's system of financial management and internal control to meet terms and conditions of the grants and other agreements. Audits should be completed in accordance with the requirements of OMB Circular No. A-133 or RUS requirements, whichever apply.

**Records:**

Records and accounts are required to reflect the project operations.

**Account Identification:**

12-0400-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$496,000; FY 12 est \$497,000; and FY 13 est \$497,000

**Range and Average of Financial Assistance:**

\$248,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 2 grants awarded. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1783, Grant Program to Establish a Fund for Financing Water and Wastewater Projects; The Revolving Fund Program 2005 Grant Application Guide.

**Regional or Local Office:**

See Regional Agency Offices. Consult your local telephone directory for Rural Development local number. If no listing, get in touch with the appropriate Rural Development State Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Assistant Administrator, Water and Environmental Programs, Rural Utilities Service, 1400 Independence Ave., SW, Stop 1548, Washington, District of Columbia 20250 Phone: (202) 690-2670.

**Website Address:**

[http://www.rurdev.usda.gov/UWEP\\_HomePage.html](http://www.rurdev.usda.gov/UWEP_HomePage.html)

**RELATED PROGRAMS:**

10.760 Water and Waste Disposal Systems for Rural Communities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

RUS assistance for grant projects will be directed toward truly rural areas and rural communities. Considerations for available funds emphasize such criteria as; population, low income, unemployment; health and sanitary problems. RUS financed facilities will not be inconsistent with any development plans of the State, multi-jurisdictional area, county, or municipality in which the proposed

project is located.

## **10.865 BIOREFINERY ASSISTANCE**

(Section 9003- Biorefinery Assistance Program)

### **FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

### **AUTHORIZATION:**

Title IX of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) is amended by the Food, Conservation, and Energy Act of 2008, Title IX, section 9003, subsection 9003.

, Title IX, Section 9003, 9 U.S.C 9003.

### **OBJECTIVES:**

To assist in the development of new and emerging technologies for the development of advanced biofuels, so as to: (1) increase the energy independence of the United States; (2) promote resource conservation, public health, and the environment; (3) diversify markets for agricultural and forestry products and agriculture waste material; and (4) create jobs and enhance the economic development of the rural economy.

### **TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

### **USES AND USE RESTRICTIONS:**

Loan guarantees are made to fund the development, construction, and retrofitting of commercial-scale biorefineries using eligible technology. The maximum loan guarantee is \$250 million. Mandatory funding is available through FY 2012. Loan guarantees are made to fund the development, construction, and retrofitting of commercial-scale biorefineries using eligible technology. . Discretionary funding may be available on an annual basis. Loan guarantees are made to fund the development, construction, and retrofitting of commercial-scale biorefineries using eligible technology. . Discretionary funding may be available on an annual basis. The maximum loan guarantee is \$250 million. Mandatory funding is available through FY 2012.

### **Applicant Eligibility:**

Eligible technologies under the program include: (A) technology that is being adopted in a viable commercial-scale operation of a biorefinery that produces an advanced biofuel; and (B) technology that has been demonstrated to have technical and economic potential for commercial application in a biorefinery that produces an advanced biofuel.

### **Beneficiary Eligibility:**

Eligible entities under the program include: individuals, entities, Indian tribes, or units of State or local government, corporations, farm cooperatives, farmer cooperative organizations, associations of agricultural producers, National Laboratories, institutions of higher education, rural electric cooperatives, public power entities, or consortia of any of those entities.

### **Credentials/Documentation:**

Application for Federal Guarantee, feasibility Study, Lender Analysis and other applicable and required information as outlined in application and regulations. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

This program is subject to environmental review pursuant to the National Environmental Policy Act (NEPA) of 1969. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submit an original completed application with two copies to USDAs Rural Development National Office: Energy Branch, Attention: BioRefinery Assistance Program, 1400 Independence Avenue, SW, STOP 3225, Washington, DC, 20250-3225.

### **Award Procedure:**

Based on a review of the application, the project must be eligible and have technical merit. Projects determined by the Agency to be without technical merit will not be selected for funding. The Agency will score each application in order to prioritize each proposed project.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approval is subject to the completion of all requirements identified in the 7 CFR part 4279, subpart C.

### **Appeals:**

An applicant may have review or appeal rights in accordance with 7 CFR Part 11.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory Formula: Statute limits maximum Federal program participation to 80% of project cost.

Matching Requirements: Applicants must identify all sources, amounts, and status of matching funds. Borrowers shall demonstrate evidence of cash equity injection in the project of not less than 20 percent of eligible project costs. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Two application deadline dates of May 1 and November 1 of each calendar year. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

### **Reports:**

The lender must provide the Agency monthly reports from the borrower during construction. Once the project has been constructed, periodic reports for the life of the guaranteed loan. The borrowers reports will include, but not be limited to, the information specified in the following paragraphs, as applicable.(i) The actual amount of advanced biofuels produced to assess whether project goals are being met.(ii) If applicable, documentation that identified health and/or sanitation problem has been solved.(iii) A summary of the cost of operating and maintaining the facility.(iv) Description of any maintenance or operational problems associated with the facility.(v) Demonstration that the project is and has been in compliance with all applicable State and Federal environmental laws and regulations. (vi) The number of jobs created.(vii) A description on the status of the projects feedstock including, but not limited to, the feedstock being used, outstanding feedstock contracts, feedstock changes and interruptions, and quality of the feedstock. The lender must submit to the Agency quarterly financial statements within 45 days of the end of each quarter. Cash reports are not applicable. Lenders must forward periodic financial statements and progress reports. Expenditure reports are required as outlined below and in Loan Agreement and program Regulations.

The lender may make additional expenditures or new loans to a borrower with an outstanding loan guaranteed with prior written Agency approval. The Agency will only approve additional expenditures or new loans to the extent such actions where the expenditure or loan will not violate one or more of the loan covenants of the borrowers loan agreement. In all instances, the lender must notify the Agency when they make any additional expenditures or new loans. In all cases, any additional expenditure or loan made by the lender must be junior in priority to the loan guaranteed hereunder. Performance monitoring is required as outlined below and in Loan Agreement and program Regulations. Cash reports are not applicable. Lenders must forward periodic financial statements and progress reports. Expenditure reports are required as outlined below and in Loan Agreement and program Regulations.

The lender may make additional expenditures or new loans to a borrower with an outstanding loan guaranteed with prior written Agency approval. The Agency will only approve additional expenditures or new loans to the extent such actions where the expenditure or loan will not violate one or more of the loan covenants of the borrowers loan agreement. In all instances, the lender must notify the Agency when they make any additional expenditures or new loans. In all cases, any additional expenditure or loan made by the lender must

be junior in priority to the loan guaranteed hereunder. Performance monitoring is required as outlined below and in Loan Agreement and program Regulations.

Once the project has been constructed, the lender must provide the Agency periodic reports from the borrower commencing the first full calendar year following the year in which project construction was completed and continuing for the life of the guaranteed loan. The borrowers reports will include, but not be limited to, the information specified in the following paragraphs, as applicable.

- (i) The actual amount of advanced biofuels produced to assess whether project goals are being met.
  - (ii) If applicable, documentation that identified health and/or sanitation problem has been solved.
  - (iii) A summary of the cost of operating and maintaining the facility.
  - (iv) Description of any maintenance or operational problems associated with the facility.
  - (v) Demonstration that the project is and has been in compliance with all applicable State and Federal environmental laws and regulations.
  - (vi) The number of jobs created.
  - (vii) A description on the status of the projects feedstock including, but not limited to, the feedstock being used, outstanding feedstock contracts, feedstock changes and interruptions, and quality of the feedstock.
- The lender must submit to the Agency quarterly financial statements within 45 days of the end of each quarter.

**Audits:**

No audits are required for this program.

**Records:**

The borrower must permit representatives of the Agency (or other agencies of the U.S.) to inspect and make copies of any records pertaining to any Agency guaranteed loan during regular office hours of the borrower or at any other time upon agreement between the borrower and the Agency, as appropriate.

**Account Identification:**

12-3106-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$255,675,000; FY 12 est \$691,334,422; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Maximum loan guarantee cannot exceed \$250 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See solicitation for details

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Mary Ann Clayton Department of Agriculture, Rural Development, Business Programs, Energy Branch, 1400 Independence Avenue, SW., MS3225, Washington, District of Columbia 20250 Email: Mary.Clayton@wdc.usda.gov Phone: (202) 7201176

**Website Address:**

[http:// www.rurdev.usda.gov](http://www.rurdev.usda.gov)

**RELATED PROGRAMS:**

10.866 Repowering Assistance ; 10.867 Bioenergy Program for Advanced Biofuels

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must meet all requirements identified in the Notice of Funding Availability.

**10.866 REPOWERING ASSISTANCE**

Section 9004 Repowering Assistance

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Section 9004.

**OBJECTIVES:**

Provides payments to eligible biorefineries that use fossil fuels to produce heat and power to replace the fossil fuels with renewable biomass.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The purpose of this program is to provide financial incentives to biorefineries in existence on June 18, 2008 to replace the use of fossil fuels used to produce heat or power at their facilities by installing new systems that use renewable biomass, or to produce new energy from renewable biomass.

**Applicant Eligibility:**

Biorefinery. A facility (including equipment and processes) that converts renewable biomass into biofuels and biobased products, and may produce electricity. Eligible biorefinery. A producer, whose primary production is biofuels, that meets all requirements of this program. The biorefinery must have been in existence on or before June 18, 2008.

**Beneficiary Eligibility:**

For biorefineries in existence on June 18, 2008 Primary production is biofuels.

**Credentials/Documentation:**

1. Application for participation in the program.
2. Feasibility Study for the renewable biomass system.
3. Historical records for energy use. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit a feasibility study by an independent qualified consultant, which has no financial interest in the biorefinery, and demonstrates that the renewable biomass system of the biorefinery is feasible, taking into account the economic, technical and environmental aspects of the system.

**Award Procedure:**

Applications will be scored and awards will be made based on how well applicants score in relation to other applicant within the funding cycle. Payments may be made during construction and commissioning, ten percent of eligible project cost shall be withheld until project is completed and operating.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval is subject to the completion of all requirements identified by the Agency.

**Appeals:**

An applicant may have review rights or appeal rights in accordance with 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. The Statute allows \$15 million of additional Discretionary Funds for the life of the program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Duration of the Farm Bill. See the following for information on how assistance

is awarded/released: Payments may be made during construction and commissioning, ten percent of eligible project cost shall be withheld until project is completed and operating. An applicant who is awarded payments under the program has five years from the fiscal year in which an award is made to request and receive payments. See the following for information on how assistance is awarded/released: Requests for funds have to be made within three years. No payments are made prior to completion and commissioning of the projects. An applicant who is awarded payments under the program has five years from the fiscal year in which an award is made to process payments.

**Reports:**

Form RD 4288-6 must be submitted for payment and to reports the production of renewable energy. Cash reports are not applicable. Applicant must submit reports that document the production of renewable energy. RD Form RD 90042. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

12-1980-0-1-451.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$0; FY 12 est \$33,000,000; and FY 13 Estimate Not Available - Program is not currently funded. However funding is expected in the near future.

**Range and Average of Financial Assistance:**

Maximum amount of assistance will be announced in the Federal Register, but current projects are between \$1.5 and \$5 million dollars.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Fred Petok United States Department of Agriculture  
Rural Development, Energy Division  
1400 Independence Avenue, SW., Stop 3225

, Washington, District of Columbia 20250-3225 Email:  
frederick.petok@wdc.usda.gov Phone: 202-690-0784

**Website Address:**

<http://www.rurdev.usda.gov/BCP>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Not available.  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS**

ADVANCED BIOFUEL PAYMENTS PROGRAM

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Title IX, Section 9005, Title IX, Section 9005.

**OBJECTIVES:**

The purpose of this subpart is to support and ensure an expanding production of

advanced biofuels by providing payments to eligible advanced biofuel producers.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

The purpose of this program is to support and ensure an expanding production of Advanced Biofuels by providing payments to Eligible Advanced Biofuel Producers and promote sustainable economic development in rural America, and is an important part of achieving increased biofuel production and use by providing economic incentives for the production of advanced biofuels. Producers must produce advance biofuel from other than corn keanel starch. The Statute allows \$25 million of Discretionary Funds.

**Applicant Eligibility:**

Advance Biofuel Producer. An individual, corporation, company, foundation, association, labor organization, firm, partnership, society, joint stock company, group of organizations, or non-profit entity that produces and sells an advanced biofuel.

An individual, corporation, company, foundation, asocation, labor company, group of organizations, or non-profit entity that blends or otherwise combines advanced biofuels into a blended biofuel is not considered an advanced biofuel producer under this Program.

**Beneficiary Eligibility:**

The biofuel must meet the definition of advanced biofuel, be a solid, liquid, or gaseous advanced biofuel, be a final product; and if the biofuel is used on-site, there must be an Agency-approved system to verify the quantity of biofuel used on-site. Fuel must be derived from renewable biomass other than corn kernel starch.

**Credentials/Documentation:**

1. Application for participation in the program.
2. Certifications for quality of advance biofuel.
3. Historical and current production records. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is not subject to the Environmental Assessment or Executive 12372.

**Award Procedure:**

1. Application for participation in the program.
2. Sign a contract with the Agency.
3. Submit a quarterly request for payment under the program with documentation of production.
4. Convert production to BTU values,
5. Award funding based on requests received and production for each producer.

**Deadlines:**

Oct 31, 2012 Application window is October 1 through October 31 each year. Quarterly payment request due within 30 days from end of each fiscal year quarter.

**Range of Approval/Disapproval Time:**

No date range has been identified for this program.

**Appeals:**

An applicant may seek a review of an Agency decision or appeal to the National Appeals Division in accordance with 7 CFR Part 11 of this title.

**Renewals:**

The program will be available until the end of Farm Bill.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements. There are no matching requirements under this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A Notice will be published each year identifying the amount available. If the application is not received within application window of October 1 through October 31 each year, the producer cannot participate in the program for that year. Method of awarding/releasing assistance: quarterly request for payment under the program with documentation of production. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

No records submittal required after payment is made. Documentation is required prior to payment.

**Account Identification:**

12-1908-0-1-451.

**Obligations:**

(Salaries) FY 11 \$136,124,602; FY 12 est \$65,000,000; and FY 13 Estimate Not Available - Awards are based on requests received and production for each producer. Examples of producers who are eligible are biodiesel facility producing advanced biofuel from canola oil, greases, and soybean oil. Another example includes ethanol facility that uses milo or sorghum, anaerobic digester on a farm that uses animal waste to produce electricity and manufacturing facility that produce wood pellets.

**Range and Average of Financial Assistance:**

Awards are based on requests received and production for each producer.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The first year of the program have been administered using Notices published in the Federal Register.

**Regional or Local Office:**

None. Rural Development State Energy Coordinators.

**Headquarters Office:**

Lisa Noty 255 Highway 69, Suite 1, Garber, Iowa 50438 Email: Lisa.Noty@wdc.usda.gov Phone: 641-923-3666 x109

**Website Address:**

<http://www.rurdev.usda.gov/BCP>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.868 RURAL ENERGY FOR AMERICA PROGRAM**

Rural Energy for America Program (REAP)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008, Title IX, Section 9007 Public Law version 6124 of the Farm Bill.

**OBJECTIVES:**

(1) Provision of grants and loan guarantees to farmers, ranchers (agricultural producers) and rural small businesses to promote energy efficiency improvements and renewable energy systems development. The program

provides grants of up to 25% of project costs and/or loan guarantees of up to 75% of project costs to purchase and install energy efficiency improvements and renewable energy systems. (2) Provision of grants to agricultural producers and rural small businesses to help fund up to 25% of the cost for a feasibility study for a renewable energy system. (3) Provision of grants to government entities, educational institutions, rural electric cooperatives and public power entities to assist with the cost of performing energy audits and renewable energy development assistance for agricultural producers and rural small businesses. (Recipients of energy audits or renewable energy development assistance must pay at least 25% of the cost of the service).

**TYPES OF ASSISTANCE:**

Loan Guarantees/Grants

**USES AND USE RESTRICTIONS:**

For renewable energy systems and energy efficiency improvements, the amount of a grant shall not exceed the lesser of 25 percent of eligible project costs or \$500,000 for renewable energy systems or \$250,000 for energy efficiency improvements. The maximum amount of combined grant and loan made or guaranteed shall not exceed 75 percent of eligible project costs. For a feasibility study, the amount of a grant shall not exceed the lesser or 25 percent of the costs of the study. For Energy Audit and Renewable Energy Assistance, the recipient must pay 25% of the cost of the energy audit. For renewable energy systems and energy efficiency improvements, the amount of a grant shall not exceed 25 percent of eligible project costs. The maximum amount of combined grant and loan made or guaranteed shall not exceed 75 percent of eligible project costs. For a feasibility study, the amount of a grant shall not exceed 25 percent of the costs of the study. For Energy Audit and Renewable Energy Assistance, the recipient must pay 25% of the cost of the service. \$164,000,000 in 2010, \$45,000,000 in 2011. see solicitation for details.

**Applicant Eligibility:**

To be eligible for feasibility study grant, renewable energy systems or energy efficiency improvement assistance, an applicant must be an agricultural producer or rural small business. Rural small businesses must be located in a rural area. The applicant or owner must not have an outstanding judgment, delinquent on any Federal debt or debarred from receiving Federal assistance. Under the Energy Audit and Renewable Energy Development Assistance programs eligible applicants include governmental entities and their instrumentalities, educational institutions, rural electric cooperatives and public power entities.

**Beneficiary Eligibility:**

For feasibility studies grants and energy efficiency improvements and renewable energy systems the program is for Farmers, ranchers and rural small businesses. For energy audits and renewable energy development assistance grants units of State, tribal, and local governments; land-grant colleges, universities, and other institutions of higher education; rural electric cooperatives and public power entities; instrumentalities of a state, tribal, and local governments.

**Credentials/Documentation:**

For applicants seeking feasibility study grant, renewable energy systems or energy efficiency improvement assistance: Agricultural Producers must be directly engaged in the production of agricultural products, including crops, livestock, forestry products, hydroponics, nursery stock, or aquaculture, whereby 50 percent or greater of their gross income is derived from the operations. A small business must be located in a rural area and meet the Small Business Administration's Business Size Standards including all parent, affiliate, or subsidiary entities at other locations. For the Energy Audit and Renewable Energy Development Assistance Program the entity applying must have experience in providing this service to qualify for the grant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must submit a complete application to the Rural Development Energy Coordinator in their respective State. A complete application includes standards forms 424, 424C and 424D plus Rural Development forms, scope of work, feasibility studies, energy audits, environmental assessment (form RD 1940-20), and written technical requirements.

**Award Procedure:**

Rural Development (RD) personnel will review all applications. Ineligible and incomplete applications may be returned to the applicant and not evaluated further. RD Offices will score applications based on published evaluation criteria. Applications will be funded at the State level first. A second review and nationwide ranking will be conducted by the RD National Office. Funding recommendations will be forwarded to the Administrator, Rural Business and Cooperative Service for final awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with RBS dependent on the number of funding cycles offered per year.

**Appeals:**

Adverse actions made on applications are appealable, pursuant to 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Matching Requirements: For Renewable Energy Systems and Energy Efficiency Improvement assistance: The applicant must provide at least 75 percent of leveraged funds if the request is for grant only funds. For a combination grant and loan guarantee and loan guarantee only, the applicant must provide at least 25 percent of leveraged funds. Other Federal grants may not be used to meet the 75 percent requirement for the grant. For Energy Audit and Renewable Energy Development Assistance: The recipient of the energy audit or renewable energy development assistance must pay at least 25% of the cost of the service. For feasibility studies the applicant must provide at least 75 percent of the funds required to complete the study. MOE requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funds will be provided on a reimbursement basis. Guarantees on loan will be provided once the project is complete and operational. Project should typically be completed within two year from the awarding. Method of awarding/releasing assistance: monthly or as needed. See the following for information on how assistance is awarded/released: Monthly or as needed.

**Reports:**

A financial status report and a project performance report will be required on a semiannual basis (due 30 working days after June 30 and December 31). Grantees and Guaranteed Borrowers shall constantly monitor performance to ensure that time schedules are being met and projected goals by time periods are being accomplished. Once the project is completed annual reports will be required. For renewable energy system projects, these reports are to be provided commencing in the first full calendar year after construction is completed and continuing for 3 full years. For energy efficiency improvement projects, these reports are to be provided commencing the first full calendar year following the year in which project construction was completed and continuing for 2 full years. For feasibility study, these reports are to be provided commencing in the first full calendar year after completion of the study is completed and continuing for 2 full years. For Energy Audit and Renewable Energy Development Assistance, these reports are to be provided commencing in the first full calendar year after grant is completed and continuing for 2 full years. A financial status report and a project performance report will be required on a semiannual basis (due 30 working days after June 30 and December 31).

Grantees and Guaranteed Borrowers shall constantly monitor performance to ensure that time schedules are being met and projected goals by time periods are being accomplished. Once the project is completed annual reports will be required. For renewable energy system projects, these reports are to be provided commencing in the first full calendar year after construction is completed and continuing for 3 full years. For energy efficiency improvement projects, these reports are to be provided commencing the first full calendar year following the year in which project construction was completed and continuing for 2 full years. For feasibility study, these reports are to be provided commencing in the first full calendar year after completion of the study is completed and continuing for 2 full years. For Energy Audit and Renewable Energy Development Assistance, these reports are to be provided commencing in the first full calendar year after grant is completed and continuing for 2 full years. A financial status report and a project performance report will be required on a quarterly basis (due 30 working days after end of the quarter). Grantees and Guaranteed Borrowers shall constantly monitor performance to ensure that time schedules are being met and projected goals by time periods are being accomplished. Once the project is completed annual reports will be required. For renewable energy system projects, these reports are to be provided commencing in the first full calendar year after construction is completed and continuing for 3 full years. For energy efficiency improvement projects, these reports are to be provided commencing the first full calendar year following the year in which project construction was completed and continuing for 2 full years. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Accounting records prepared in accordance with generally accepted accounting principles (GAAP) or financial statement in a format typically accepted by a commercial agricultural lender and supported by source documentation will be required for financial statements.

**Records:**

For Rural Energy for America Program applicant will provide a financial management system in accordance with 7 CFR Part 3015. The applicant will also retain financial records, supporting documents, statistical records, and other records pertinent to the award for a period of at least three years after final disbursement.

**Account Identification:**

12-1908-0-1-451.

**Obligations:**

(Loan Guarantees/Grants) FY 11 \$96,512,314; FY 12 est \$61,191,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Grant Range \$2,500 to \$500,000; Average \$45,000 Guaranteed Loan Range \$5,000 to \$25,000,000; Average \$85,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notice of Funds Availability will be published in the Federal Register each fiscal year. Application, construction and serving requirements are outlined in 7 CFR 4280-B.

**Regional or Local Office:**

None. For general information, write to:

US Department of Agriculture, Rural Development, Specialty Lenders  
Division, MS 3225, 1400 Independence Avenue, SW, Washington, DC, 20250,  
or telephone  
202-720-1400. For specific information, contact the RD State Energy Division  
in your respective state. Names and contact information are published annually  
in the Federal Register and are available at [www.usda.gov](http://www.usda.gov).

**Headquarters Office:**

Josh Borchert 201 Walnut Street Room 873, Des Moines, Iowa 50309 Email:  
[Josh.Borchert@wdc.usda.gov](mailto:Josh.Borchert@wdc.usda.gov) Phone: 515-284-4383

**Website Address:**

<http://www.rurdev.usda.gov/rbs/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

- (1) Quantity of Energy Replaced, Produced, or Saved
- (2) Environmental benefits
- (3) Commercial availability
- (4) Technical Merit
- (5) Readiness (Grants only)
- (6) Small Agricultural Producer/Very Small Rural Business
- (7) Simplified application
- (8) Previous grantees and borrowers
- (9) Simple payback
- (10) State Director and Administrator priorities and points.
- (11) Loan Rate (Guaranteed Loans only):

**10.870 RURAL MICROENTREPRENEUR ASSISTANCE PROGRAM**

Rural Microentrepreneur Assistance Program (RMAP)

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Food, Conservation, and Energy Act of 2008 of the Farm Bill, Title VI, Section 6022.

**OBJECTIVES:**

Provide rural microentrepreneurs with the skills necessary to establish new rural microenterprises and to provide continuing technical and financial assistance related to the successful operation of rural microenterprises. (1) Make direct loans to Microenterprise Development Organizations (MDO), which may be a non-profit entity, Indian Tribe or public institution of higher education for the purpose of capitalizing microloan revolving funds to provide fixed interest rate business loans of the lesser of \$50,000 or 20 percent of the amount loaned to an MDO for startup and growing rural microenterprises. The maximum loan amount an MDO may borrow under this program will not exceed \$500,000. (2) Make grants to MDOs to support rural microenterprise development. These grants are known as operational enhancement activities or services grants. These grants will be used to seek training and other enhancement services to strengthen their own organizations. These grants will not exceed 10 percent of available funding, whichever is less in any given year. (3) Any MDO that receives a loan under this program is eligible for a grant to assist microentrepreneurs who have received or are seeking a microloan from an MDO. These grants are known as technical assistance (TA) grants and may be used by an MDO to provide marketing, management, and other technical assistance to microentrepreneurs. TA grants will provide assistance specifically tailored to the needs of one or more microentrepreneurs.

**TYPES OF ASSISTANCE:**

Direct Loans; Project Grants

**USES AND USE RESTRICTIONS:**

Loans to MDO's for the purpose of capitalizing microloan revolving funds to provide fixed interest rate business loans of \$50,000 or less to microentrepreneurs as defined for startup and growing rural microenterprises. The maximum loan amount an MDO may borrow under this program will not exceed \$500,000.

Grants will be used to provide training, operational support, business planning, market development assistance, other related services to rural microentrepreneurs, and to fund other such appropriate projects and activities. A 10 percent non-federal cash match will be required against any technical assistance grant awarded. A 15 percent match will also be required which may be in the form of non-federal cash, in-kind goods, services, or indirect costs. These two sets of matching contribution will be combined for a total matching requirement of 25 percent of the grant amount.

Any MDO that receives a loan under this program is eligible for a grant to assist microentrepreneurs who have received or are seeking a microloan from an MDO. These grants are known as technical assistance (TA) grants and may be used by an MDO to provide marketing, management, and other technical assistance to microentrepreneurs. TA grants will provide assistance specifically tailored to the needs of one or more microentrepreneurs. TA grants will be not more than the lesser of 25 percent of the total outstanding balance of microloans or \$100,000. A 10 percent non-federal cash match will be required against any technical assistance grant awarded. A 15 percent match will also be required which may be in the form of non-federal cash, in-kind goods, services, or indirect costs. These two sets of matching contribution will be combined for a total matching requirement of 25 percent of the grant amount. TA grants will be in an amount equal to not more than the lesser of 25 percent of the total outstanding balance of microloans or \$100,000. The term of a loan made to an MDO will not exceed 20 years. The interest rate to an MDO will be at a minimum 1 percent and may adjust, after the 2-year deferral, depending on the performance of the MDO as published in the anticipated Final Rule. The Grant Agreement will be effective until such time the purpose of the grant is fulfilled. A 10 percent non-federal cash match will be required against any technical assistance grant awarded. A 15 percent match will also be required which may be in the form of non-federal cash, in-kind goods, services, or indirect costs. These two sets of matching contribution will be combined for a total matching requirement of 25 percent of the grant amount. TA grants will be in an amount equal to not more than the lesser of 25 percent of the total outstanding balance of microloans or \$100,000. The term of a loan made to an MDO will not exceed 20 years. The interest rate to an MDO will be at a minimum 1 percent and may adjust, after the 2-year deferral, depending on the performance of the MDO as published in the anticipated Final Rule. The Grant Agreement will be effective until such time the purpose of the grant is fulfilled.

**Applicant Eligibility:**

To be eligible to apply for Microlender status under the Rural Microentrepreneur Assistance Program, an applicant must be a non-profit entity, an Indian tribe, or a public institution of higher education. Applicants must be at least 51 percent controlled by persons who are either (i) citizens of the United States, the Republic of Palau, the Federated States of Micronesia, the Republic of the Marshall Islands, or American Samoa; or (ii) legally admitted permanent residents residing in the U.S. The applicant or owner must not have an outstanding judgment, be delinquent on any Federal debt or debarred from receiving Federal assistance.

**Beneficiary Eligibility:**

Microentrepreneur is defined as an owner and operator, or prospective owner and operator, of a rural microenterprise who is unable to obtain sufficient training, technical assistance, or as determined by the Secretary. All microentrepreneurs must be located in a rural area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant Non-Profit organizations must submit a complete application to the USDA as called for in the final rule, which is planned for publication early in 2010. It is anticipated that the requirement will



include Standard Forms 424, 424A and 424B plus program specific requirements as stated in the final rule.

**Award Procedure:**

For the Rural Microentrepreneur Assistance Program, Rural Development (RD) personnel will review, score, and rank applications. It is anticipated that this will take place on a quarterly basis based on published evaluation criteria. Funding recommendations will be forwarded to the Administrator, Rural Business and Cooperative Service for final awards. The National Office will transfer funds to the appropriate State office for obligation of successful awards. Unsuccessful applicants will be notified.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Adverse actions made on applications from MDO's are appealable pursuant to 7 CFR part 11.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. A 10 percent non-federal cash match will be required against any technical assistance grant awarded. A 15 percent match will also be required which may be in the form of non-federal cash, in-kind goods, services, or indirect costs. These two sets of matching contribution will be combined for a total matching requirement of 25 percent of the grant amount.

A five percent (5%) match is required against any loan awarded, which will be used to establish a loan loss reserve fund. MOE requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For the Rural Microentrepreneur Assistance Program: Grant funds will be provided on a reimbursement basis. MDOs must make one or more microloans within 30 days of any disbursement it receives. MDOs may receive additional disbursements no more than quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Reporting requirements include quarterly reporting that provides information required by the Secretary to ensure that funds provided are being used for the purposes for which the loans and/or grants were made. Cash reports are not applicable. As part of the reporting, MDOs will be required to provide evidence that the sum of the unexpended amount in the Rural Microentrepreneur Revolving Fund, plus the amount in the Loan Loss Reserve Fund, plus debt owed by the microborrowers is equal to a minimum of 105% of the amount owed by the MDO to the Agency. Expenditure reports are not applicable. Reporting requirements include quarterly reporting that provides information required by the Secretary to ensure that funds provided are being used for the purposes for which the loans and/or grants were made.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Accounting records are to be prepared by or on behalf of borrowers and grantees in accordance with generally accepted accounting principles (GAAP) or audited financial statements. Source documentation will be required for financial statements.

**Records:**

Participating MDOs will be required to maintain loan portfolio and training records, to the extent that the Agency may conduct inspections and audits as needed.

**Account Identification:**

03-1334-8-5-000 - Not Available at This Time.

**Obligations:**

(Direct Loans) FY 11 \$6,342,647; FY 12 est \$0; and FY 13 Estimate Not Available(Exp: FY2013 not available) -

**Range and Average of Financial Assistance:**

Range of financial assistance is outlined in the Notice of Funding Availability published in the federal register, however prior loans has ranged from \$131,250 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulatory guidelines (7 CFR Part 4280 subpart D), Notice of Solicitation of Applications, or Notice of Funds Availability will be published in the Federal Register each fiscal year. Application and servicing requirements will be outlined in applicable RD Instruction 4280-D once fully promulgated.

**Regional or Local Office:**

See Regional Agency Offices. Please contact your local State Office. For general information, write to: US Department of Agriculture, Rural Development, Specialty Programs Division, MS 3225, 1400 Independence Avenue, SW, Washington, DC, 20250, or telephone 202-720-1400.

Regional or Local Office and phone numbers of the contacts for each State. Names and contact information are published annually in the Federal Register and are available at [www.usda.gov](http://www.usda.gov).

**Headquarters Office:**

Robert Fry 1400 Independence Avenue, Washington, District of Columbia 20250 Email: [Robert.Fry@wdc.usda.gov](mailto:Robert.Fry@wdc.usda.gov) Phone: 202-260-0625

**Website Address:**

<http://www.usda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.874 DELTA HEALTH CARE SERVICES GRANT PROGRAM**

Delta Health Care Services

**FEDERAL AGENCY:**

Rural Business-Cooperative Service, Department of Agriculture

**AUTHORIZATION:**

Consolidated Farm and Rural Development Act of 1972, Public Law 92-419, 7 U.S.C 1921.

**OBJECTIVES:**

The Delta Health Care Services Grant Program is designed to provide financial assistance to address the continued unmet health needs in the Delta Region through cooperation among health care professionals, institutions of higher education, research institutions, and other individuals and entities in the Delta Region. Grant funds may be utilized for the development of health care services; health education programs; health care job training programs; and for the development and expansion of public health-related facilities in the Delta Region. Grants will be awarded to eligible entities in the Delta Region serving communities of no more than 50,000 inhabitants to help to address the long standing and unmet health needs of the region.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grant funds may be used to finance any of the following:

- a. Develop health care services;
- b. Develop health education programs;
- c. Develop health care job training programs;
- d. Develop and expand public health-related facilities in the Delta Region to address longstanding and unmet health needs of the region. To be eligible for a grant; the project must serve a rural area in the Delta Region, as defined in the NOFA. RUS is making \$3,000,000 available for competitive grants in the Delta Region. The minimum grant amount is \$50,000.

**Applicant Eligibility:**

Applicants must be a Consortium

Consortium means a combination or group of regional institutions of higher education, academic health and research institutes, and economic development entities located in the Delta Region that have experience in addressing the health care issues in the region.

Delta Region means the 252 counties and parishes within the states of Alabama, Arkansas, Illinois, Kentucky, Louisiana, Mississippi, Missouri, and Tennessee that are served by the Delta Regional Authority. (The Delta Region may be adjusted by future Federal statute.).

**Beneficiary Eligibility:**

At least one member of the Consortium must be legally organized as an incorporated organization, or other legal entity, and have legal authority to contract with the Government. Individuals are not eligible for Delta Health Care Services Grant Program financial assistance directly.

At least one member of the Consortium must have legal capacity and authority to carry out the purposes of the projects in its application, and to enter into contracts and to otherwise comply with applicable Federal statutes and regulations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be scored in accordance with the criteria set out in the program regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically funds must be utilized within 3 years of the date of the award. See the following for information on how assistance is awarded/released: RBS recognizes that each funded project is unique, and therefore may attach conditions to different projects award documents. The Agency generally notifies applicants whose projects are selected for awards by faxing an award letter. The Agency follows the award letter with a grant agreement that

contains all the terms and conditions for the grant. An applicant must execute and return the grant agreement, accompanied by any additional items required by the grant agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The applicant must have the necessary processes and systems in place to comply with the reporting requirements for first-tier sub-awards and executive compensation under the Federal Funding Accountability and Transparency Act of 2006 in the event the applicant receives funding unless such applicant is exempt from such reporting requirements pursuant to 2 CFR part 170, 170.110(b). All recipients of Delta Health Care Services Grant Program financial assistance must provide annual performance activity reports to RBS until the project is complete and the funds are expended. A final performance report is also required; the final report may serve as the last annual report. The final report must include an evaluation of the success of the project.

**Audits:**

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

**Records:**

No Data Available.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$5,994,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

RBS is making \$3,000,000 available for competitive grants in the Delta Region. The minimum grant amount is \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Natalie Melton 1400 Independence Ave., SW  
Stop 1541, Washington, District of Columbia 20250-1550 Email:  
Natalie.Melton@wdc.usda.gov Phone: 202-690-1371 Fax: 202-720-4641

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Grant applications are scored competitively and subject to the criteria listed below.
2. Grant application scoring criteria are detailed in the Delta Health Care Services Grant Application Guide. There are 100 points available, broken down as follows:
  - a. The Rurality of the Project area and communities served. (up to 40 points);
  - b. The Community Needs and Benefits Derived from the project. (up to 45 points); and
  - c. The Project Management and Organization capability. (up to 15 points).

**10.886 RURAL BROADBAND ACCESS LOANS AND LOAN**

## **GUARANTEES**

Rural Broadband Access Loans and Loan Guarantees

### **FEDERAL AGENCY:**

Rural Utilities Service, Department of Agriculture

### **AUTHORIZATION:**

Rural Electrification Act of 1936, as amended, Title VI; 7 U.S.C. 950bb.

### **OBJECTIVES:**

To assure that people in eligible rural communities have access to broadband service comparable in reliability and quality to the rest of the Nation.

### **TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

### **USES AND USE RESTRICTIONS:**

The agency published an Interim Final Rule modifying the program on March 14, 2011. The regulation is available at:  
<http://edocket.access.gpo.gov/2011/pdf/2011-5615.pdf>

Funds can be used for the costs of the construction, improvement, or acquisition of facilities and equipment for the provision of broadband service in rural areas. Additional restrictions may apply to projects depending on the availability of existing broadband service. A direct loan shall bear interest at an annual rate either (1) equivalent to the cost of borrowing to the Department of the Treasury for obligations of comparable maturity or (2) 4 percent. A guaranteed loan shall bear interest at an annual rate equivalent to the current applicable market rate for a loan of comparable maturity.

### **Applicant Eligibility:**

(a) To be eligible for a broadband loan, an applicant may be either a nonprofit or for-profit organization, and must take one of the following forms: (1) Corporation; (2) Limited liability company (LLC); (3) Cooperative or mutual organization; (4) Indian tribe or tribal organization as defined in 25 U.S.C. 450b; or (5) State or local government, including any agency, subdivision, or instrumentality thereof.

(b) To be eligible for a broadband loan, the applicant must: (1) Submit a loan application which meets the requirements set forth the regulation; (2) Agree to complete the build-out of the broadband system described in the loan application within three years from the day the applicant is notified that loan funds are available. The loan application must demonstrate that all proposed construction be completed within this three year period with the exception of CPE. CPE can be funded throughout the forecast period; (3) Demonstrate an ability to furnish, improve, or extend broadband facilities to provide service at the broadband lending speed in rural areas; (4) Demonstrate an equity position equal to at least 10 percent of the amount of the loan requested in the application; and (5) Provide additional security if it is necessary to ensure financial feasibility as determined by the Administrator.

An eligible entity that provides telecommunications or broadband service to at least 20 percent of the households in the United States may not receive a total amount of loans or guarantees for a fiscal year in excess of 15 percent of the funds authorized and appropriated for that fiscal year.

To be eligible for a broadband loan, an applicant may be either a nonprofit or for-profit organization, and must take one of the following forms: (1) corporation; (2) limited liability company (LLC); (3) cooperative or mutual organization; (4) Indian tribe or tribal organization as defined in 25 U.S.C. 450b; or (5) state or local government, including any agency, subdivision, or instrumentality thereof.

### **Beneficiary Eligibility:**

Residents of eligible rural communities and others who may receive service as a result of service provided to a rural area.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Applicants must supply environmental impact information to determine whether an environmental impact assessment or an environmental impact

statement will be required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. New regulations will implement the changes authorized by the 2008 Farm Bill. For information on submitting an application, please contact RUS and visit our website:  
[http://www.rurdev.usda.gov/utp\\_farmbill.html](http://www.rurdev.usda.gov/utp_farmbill.html)

### **Award Procedure:**

Depending on the amount of the application, and loan committee(s) recommendation, the RUS Administrator or Assistant Administrator Telecommunications, makes the final decision on approval of the loan or loan guarantee. There must be a finding that the project is economically feasible, capable of delivering Broadband Service, and serves the purposes of the program. Borrowers and member of Congress are notified directly of the approval of a loan or loan guarantee.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

> 180 Days. Normal processing time is four to five months.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The loan application must demonstrate an equity position equal to at least 10 percent of the amount of the loan requested in the application.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Unless requested to be shorter by the applicant, broadband loans must be repaid with interest within a period that, rounded to the nearest whole year, is equal to the expected composite economic life of the assets to be financed, as determined by the Agency based upon acceptable depreciation rates. The borrower must begin construction within six months from the date the Agency notifies the applicant that loan funds are available. This is the final step in closing the loan with the applicant. If the borrower fails to begin construction, the Agency may cancel the loan. The build-out must be complete within three years from the day the Agency notifies the applicant that loan funds are available. Build-out is considered complete when the network design has been fully implemented, the service operations and management systems infrastructure is operational, and the borrower is ready to support the activation and commissioning of individual customers to the new system. See the following for information on how assistance is awarded/released: New regulations will implement the changes authorized by the 2008 Farm Bill.

### **Reports:**

RUS borrowers must submit to the Rural Utilities Service regularly scheduled operating reports showing financial condition and operating progress. No cash reports are required. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All other borrowers must have their books audited annually by a Certified Public Accountant. Information on audits is contained in 7 CFR Part 1773.

### **Records:**

Not applicable.

**Account Identification:**

12-1232-0-1-452.

**Obligations:**

(Direct Loans) FY 11 \$37,430,930; FY 12 est \$735,948,508; and FY 13 est \$735,000,000 - Cost of Money Loans. (Direct Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Four (4) Percent Loans. (Guaranteed/Insured Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The minimum loan amount is \$100,000. The maximum loan amount is \$100 million. The smallest loan approved to date is \$362,000; the largest, \$267,298,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR 1738 - Rural Broadband Access Loans and Loan Guarantees Interim Rule, Federal Register, March 14, 2011 (Volume 76, Number 49); Notice of Solicitation of Application (NOSA) March 14, 2011 (Volume 76, Number 49); RUS Bulletin 1738-1: Rural Broadband Access Loan and Loan Guarantee Program Application Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Assistant Administrator, Telecommunications Program, Rural Utilities Service, 1400 Independence Avenue, S.W., STOP 1590, Washington, District of Columbia 20250 Phone: (202) 720-9554.

**Website Address:**

[http://www.rurdev.usda.gov/utp\\_farmbill.html](http://www.rurdev.usda.gov/utp_farmbill.html)

**RELATED PROGRAMS:**

10.851 Rural Telephone Loans and Loan Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.901 RESOURCE CONSERVATION AND DEVELOPMENT****FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food and Agriculture Act of 1962  
, Public Law 87-703, 16 U.S.C 3451.

**OBJECTIVES:**

To encourage and improve the capability of State and local units of government and local nonprofit organizations in rural areas to plan, develop and carry out programs for resource conservation and development.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is available only to RC&D sponsors within areas authorized by the Secretary of Agriculture for assistance. Technical assistance is available for the planning and installation of approved projects specified in RC&D area plans, for land conservation, water management, community development and environmental enhancement elements.

**Applicant Eligibility:**

State and local governments and nonprofit organizations with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas. This program is also available in Puerto Rico, the Virgin Islands, Guam and Mariana Islands.

**Beneficiary Eligibility:**

State and local governments and nonprofit organizations within areas

designated as RC&D areas by the Secretary of Agriculture with authority to plan or carry out activities relating to resource use and development in multijurisdictional areas.

**Credentials/Documentation:**

Applicant agency(ies) and nonprofit organizations must document that application is made as a result of official action of the governing body. Applications are honored only from agencies for which applicant eligibility has been established. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Written application must be in the form suggested in the National Resource Conservation and Development Manual.

**Award Procedure:**

Details of the procedure are available from State and field offices of the Natural Resources Conservation Service.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Indeterminate. Authorization of applications is dependent upon the level of appropriations for the program each year.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: When financial assistance is available, local or State agencies must provide land rights needed for the installation of all projects. RC&D grant assistance (up to 25 percent not to exceed \$50,000 of the total project cost) may be provided for a project. Local or State agencies generally must provide ten percent of the total cost and be responsible for any needed operation and maintenance. Loan assistance may be provided for the local share of project cost.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Periodic inspections and reports are required to insure that structural projects for which Federal financial assistance has been provided are being properly operated and maintained in accordance with agreements. No cash reports are required. Periodic inspections and reports are required to insure that structural projects for which Federal financial assistance has been provided are being properly operated and maintained in accordance with agreements. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

None.

**Account Identification:**

12-1010-0-1-302.

**Obligations:**

(Salaries) FY 11 \$22,961,449; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Not Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Assistance available from the Natural Resources Conservation Service," AIB-345; "Resource Conservation and Development Manual, 390 - V, Third Ed.

**Regional or Local Office:**

See Regional Agency Offices. State and field offices of the Natural Resources Conservation Service are listed in Appendix IV of the Catalog. For loans, contacts should be made with the Rural Development office serving the county in which the RC&D project is located.

**Headquarters Office:**

Dan Lawson Natural Resources Conservation Service, Department of Agriculture,  
1400 Independence Avenue, SW  
P.O. Box 2890 , Washington, District of Columbia 20013 Email:  
dan.lawson@wdc.usda.gov Phone: 202-720-1510

**Website Address:**

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

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for projects are judged on relevance of the project to the individual RC&D's area plan goals and objectives. Criteria for setting priorities are usually published in the RC&D area plan or are available from the local sponsors of the RC&D area. Proposals for projects should be submitted to the local USDA designated RC&D area. If an area does not exist, contact the field or state office of the Natural Resources Conservation Service.

**10.902 SOIL AND WATER CONSERVATION**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act  
, Public Law 74-76, N/A Stat. N/A, 16 U.S.C 590 a-f.

**OBJECTIVES:**

Provide conservation technical assistance to private landowners, conservation districts, tribes, and other organizations through a national network of locally-respected, technically-skilled, professional conservationists and assist them in conserving, improving and sustaining our natural resources and environment.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance to the general public in planning and applying natural resource conservation practices, systems, and treatment; and furnishing technical natural resource conservation information to State and local governments. Technical assistance to decision-makers on lands in agriculture, forestry and related uses for planning and applying natural resource conservation practices, systems, and treatment; and furnishing technical natural resource conservation information to State and local governments.

**Applicant Eligibility:**

The CTA Program is delivered to private individuals, groups of decision makers, tribes, units of governments, and non-governmental organizations in all

50 States, the District of Columbia, Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Republic of Palau, and the Marshall Islands.

**Beneficiary Eligibility:**

General public, State governments, and local governments.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the local Natural Resources Conservation Service office in nearly all counties. Preapplication coordination of this program is not required.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 11 \$753,208,779; FY 12 est \$725,000,000; and FY 13 est \$715,306,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Conquest of the Land," AIB99; "Soil Erosion by Water," AIB513; "Assistance Available from the Natural Resources Conservation Service," AIB345; "Controlling Erosion on Construction Sites," AIB347; "Community Improvement Through Resource Conservation and Development," PA1077; "Save Soil Systematically," PA1366. "List of Published Soil Surveys;" "Going Wild with Natural resource Conservation," PA1363; "Conversation Planning-You and Your Land," PA 1376, "Farming and Maintaining Terraces," LN570.

**Regional or Local Office:**

See Regional Agency Offices. State and local Natural Resources Conservation

Service offices (see Appendix IV of the Catalog).

**Headquarters Office:**

Dan Lawson Department of Agriculture, Natural Resources Conservation Service,  
1400 Independence Ave SW  
P.O. Box 2890, Washington, District of Columbia 20013 Email:  
dan.lawson@wdc.usda.gov Phone: 202-720-1510

**Website Address:**

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

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.500 Cooperative Extension Service; 10.901 Resource Conservation and Development; 10.903 Soil Survey; 10.904 Watershed Protection and Flood Prevention; 10.905 Plant Materials for Conservation; 10.907 Snow Survey and Water Supply Forecasting

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.903 SOIL SURVEY**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act, Public Law 74-46, 16 U.S.C 590; The Soil Information Assistance for Community Planning and Resource Development Act of 1966, Public Law 89-560.

**OBJECTIVES:**

To produce and maintain up to date soil survey information (maps, data sets, soil interpretations, and reports) of the United States for widespread use by interested agencies, organizations, and individuals and to assist in the use of this information.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Scientists and policy makers use soil survey information in studying global climate change and evaluating the sustainability and environmental impacts of land use and management practices. Soil Surveys provide input data that computer simulation models use to predict the dynamics of carbon, nutrients, and water in soils. Soil surveys are used by planners, engineers, zoning commissions, tax commissions, homeowners, farmers, ranchers, developers, landowners, and operators to evaluate soil suitability for home sites, subdivisions, commercial and industrial sites, farms, wildlife and recreational areas, prime agricultural land, hydric soils, highly erodible lands, highways, and airports and to select and implement appropriate use and management of those soils.

**Applicant Eligibility:**

All individuals and groups that have a need for soil survey information can access it on the Web Soil Survey at [websoilsurvey.nrcs.usda.gov](http://websoilsurvey.nrcs.usda.gov) or by contacting the local Natural Resources Conservation Service Office.

**Beneficiary Eligibility:**

All individuals and groups that have a need for soil survey information are eligible to receive assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110.

Applicants may access the Web Soil Survey or request information from the local office of the Natural Resources Conservation Service, local Conservation Districts, Extension Service, the State Office of the Natural Resources Conservation Service, State Agricultural Experiment Station. Local units of government submit requests to State Conservationist, Natural Resources Conservation Service, see Appendix IV in the Catalog for addresses. Conservation District cooperators submit requests to their Conservation District board of supervisors.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Technical Assistance.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 11 \$91,151,811; FY 12 est \$83,490,000; and FY 13 est \$78,400,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"List of Published Soil Surveys;" "Know the Soil You Build On," AIB 320; "Know Your Soil," AIB 267; "Soil Surveys Can Help You," PA-1054. These publications are available from the Office of Public Affairs, NRCS-USDA, P.O. Box 2890, Washington, DC 20013, at no charge.

**Regional or Local Office:**

See Regional Agency Offices. State and local offices of the Natural Resources Conservation Service; see Appendix IV of the Catalog for addresses.

**Headquarters Office:**

Paul W. Benedict, USDA, Natural Resources Conservation Service, Soils Survey Division, 14th and Independence Ave., SW, Washington, District of Columbia 20250 Email: Paul.Benedict@wdc.usda.gov Phone: (202) 720-1824 Fax: (202) 720-5493.

**Website Address:**

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

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood

Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.904 WATERSHED PROTECTION AND FLOOD PREVENTION**

(Watershed Program; Public Law 566 Operations Phase)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Watershed Protection and Flood Prevention Act, Public Law 83-566, 68 Stat. 666, as amended; Public Law 84-1018, 70 Stat. 1088; Public Law 85-865, 72 Stat. 1605; Public Law 86-468, 74 Stat. 131, 132; Public Law 86-545, 74 Stat. 254; Public Law 87-703, 76 Stat. 608; Public Law 90-361, 82 Stat. 250.

**OBJECTIVES:**

To provide technical and financial assistance in carrying out works of improvement to protect, develop, and utilize the land and water resources in watersheds.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is provided in designing, and installing watershed works of improvement. Financial assistance is provided for sharing costs of measures for watershed protection, flood prevention, agricultural water management, sedimentation control, public water based fish, wildlife, recreation; municipal and industrial water supply. Watershed area must not exceed 250,000 acres. Capacity of a single structure is limited to 25,000 acre-feet of total capacity and 12,500 acre-feet of floodwater detention capacity.

**Applicant Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico, the Virgin Islands, Guam, American Samoa, the Mariana Islands and the Trust Territories of the Pacific Islands.

**Beneficiary Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may apply for assistance. This program is available in Puerto Rico, Guam, American Samoa, the Mariana Islands, and the Trust Territories of the Pacific Islands.

**Credentials/Documentation:**

Applications must designate the proposed project area, be properly signed and attested to by all applicants, and set forth the need for the proposed project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms and information are available in all NRCS offices and from designated State agencies.

**Award Procedure:**

Details of the procedure are available from the State and field offices of the Natural Resources Conservation Service.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Formula and Matching Requirements (101): Technical and financial assistance under which program funds provide certain prescribed services and costs and a percentage of other costs on the basis of a contract vary according to purpose of the works of improvement. For example, for construction costs under the Act, program funds provide 100 percent for flood prevention; up to 50 percent of agricultural water management, public recreation and fish and wildlife purposes; and none of the costs for certain other nonagricultural water management purposes. All of the applicants' installation costs are eligible for program loans. Reimbursable advances are available for preservation of sites and future municipal water supply. Sponsors are required to obtain all land and water rights and permits prior to installation of project measures, and for operation and maintenance. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Continues until all works of improvement are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual operation and maintenance inspection and report. Cash reports are not applicable. Annual operation and maintenance inspection and report. Expenditure reports are not applicable. Annual operation and maintenance inspection and report.

**Audits:**

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

**Records:**

Records of operation and maintenance activities are maintained for the life of the project.

**Account Identification:**

12-1072-0-1-301.

**Obligations:**

(Salaries) FY 11 \$5,257,477; FY 12 est \$1,031,100; and FY 13 est \$4,856,300. (Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Project Grants (Cooperative Agreements)) FY 11 \$4,473,282; FY 12 est \$1,995,000; and FY 13 est \$23,746,500

**Range and Average of Financial Assistance:**

(per State) \$0 to \$2,164,000; \$650,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"What is a Watershed," PA-420; "Flood Plain Management - Why We Need It," PA-1276; "Multiple- Purpose Watershed Projects," PA-575; and "Small Watershed Projects," PA- 1354.

**Regional or Local Office:**

See Regional Agency Offices. For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Idle Chavez Department of Agriculture, Natural Resources Conservation Service  
1400 Independence Ave., SW  
, Washington, District of Columbia 20113 Email: Idle.Chavez@wdc.usda.gov  
Phone: 202-720-1510

**Website Address:**

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

**RELATED PROGRAMS:**

10.664 Cooperative Forestry Assistance; 10.902 Soil and Water Conservation; 10.903 Soil Survey; 10.905 Plant Materials for Conservation; 10.907 Snow Survey and Water Supply Forecasting; 12.104 Flood Plain Management Services

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The watershed must meet the requirements of the law; (2) an approved watershed plan has been prepared; (3) the local sponsors should indicate willingness to carry out a watershed project; (4) the project has environmental, economic and social benefits that exceed the costs for a favorable benefit-cost ratio; and (5) no critical environmental issues exist.

**10.905 PLANT MATERIALS FOR CONSERVATION****FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act, Public Law 74-46, 16 U.S.C 590a-f.

**OBJECTIVES:**

To assemble, evaluate, select, release, and introduce into commerce, and promote the use of new and improved plant materials for soil, water, and related resource conservation and environmental improvement programs. To develop technology for land management and restoration with plant materials. To transfer technology on plant materials.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Plant materials are used in all phases of the soil and water conservation program. This program emphasizes field testing to determine the plant's value and restoration techniques. It is limited to the properties of conservation cooperators properties in conjunction with soil conservation districts, State Agricultural Experiment Stations, State Crop Improvement Associations and other Federal and State agencies. The program also provides commercial seed growers with breeder and foundation quality seed or propagules through state Crop Improvement Associations or Foundations Seed Services. Other plants or seed are not provided to the general public. Large-scale production is conducted by cooperating commercial producers. Free plants, seed and/or grants are not available to nurseries or the public.

**Applicant Eligibility:**

Cooperating State and Federal agencies and cooperators of conservation districts where structured evaluations are conducted and commercial seed growers and nurserymen interested in the commercial production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands. The general public is not eligible to participate in this program.

**Beneficiary Eligibility:**

Cooperating State and Federal agencies and cooperators of conservation districts and commercial seed growers and nurserymen interested in the production of selected plant materials. Applicants are also eligible in Puerto Rico and the Virgin Islands.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Contact the local Natural Resources Conservation Service office.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Other - Not Specified.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 11 \$11,182,620; FY 12 est \$9,770,700; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"National Plant Materials Manual" provides overall guidance on the operation, policy and procedures of the Plant Materials Program. Over 2,500 technical and informational documents on a wide variety of plant related topics may be found on the Programs Web site at: <http://plant-materials.nrcs.usda.gov>.

**Regional or Local Office:**

See Regional Agency Offices. NRCS State offices and field offices. See Appendix IV.

**Headquarters Office:**

John Englert, Ecological Sciences Division, Natural Resources Conservation Service, Department of Agriculture, 1400 Independence Ave., SW P.O. Box 2890, Washington, District of Columbia 20013 Email: JohnEnglert@wdc.usda.gov Phone: (202) 720-0536.

**Website Address:**

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

**RELATED PROGRAMS:**



10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.907 SNOW SURVEY AND WATER SUPPLY FORECASTING**

(Snow Surveys)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Soil Conservation and Domestic Allotment Act , Public Law 74-76, 16 U.S.C 590 a-f.

**OBJECTIVES:**

To provide reliable, accurate and timely forecasts of surface water supply to water managers in the water users and water managers in the west. To efficiently obtain, manage, and disseminate high quality data and information on snow, water, climate, and hydrologic conditions. To provide climate data to support NRCS conservation planning tools.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The information is used by the owners and operators of the 30,000,000 irrigated acres in the mountain States, and the far West; as well as help farm operators, rural communities, and municipalities which use the water supply forecasts to manage water resources. The data are also used in administering international and interstate river flow distribution contracts and agreements, and in the regulation of hundreds of small and large reservoirs for irrigation, flood control, power generation, recreation, industry, and municipal supplies. The data also provide soil moisture/temperature and climate data which supports drought assessments, flood assessment, fire hazard assessment, wildlife management and climate change research. Cooperators include other Federal agencies, State agencies, municipalities, irrigation districts, water associations and private utilities, and water management officials of Canada and Mexico.

**Applicant Eligibility:**

General public, including those located in the U.S. Territories.

**Beneficiary Eligibility:**

General public, including those located in the U.S. Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Individuals can make requests for reports from NRCS Field and State offices that issued them, and from the NRCS National Water and Climate Center at Portland, OR.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1000-0-1-302.

**Obligations:**

(Salaries) FY 11 \$9,863,136; FY 12 est \$9,409,400; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Snow Surveys, AIB 536.

**Regional or Local Office:**

See Regional Agency Offices. State and local offices of the Natural Resources Conservation Service in Alaska, Arizona, California, Colorado, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming, and the National Water & Climate Center, Portland, OR. See Appendix IV of the Catalog for addresses. California's Department of Water Resources, which coordinates and issues snow surveys for that State, and the British Columbia Department of Lands, Forests and Water Resources, supply data for the monthly west-wide summaries.

**Headquarters Office:**

Douglas Lawrance, Natural Resources Conservation Service, Department of Agriculture, P.O. Box 2890 , Washington, District of Columbia 20013 Phone: (202) 720-4630.

**Website Address:**

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

**RELATED PROGRAMS:**

10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.912 ENVIRONMENTAL QUALITY INCENTIVES PROGRAM**

(EQIP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

The Food Security Act of 1985, Executive Order , Title XII, Part Subtitle D, Public Law 99- 198, 16 U.S.C 3830.

**OBJECTIVES:**

Promotes agricultural production, forest management, and environmental quality as compatible national goals and optimizes environmental benefits on

eligible land with farmers, ranchers, and non-industrial private forest land owners. It is a voluntary program using partnerships with local, State, Tribal and Federal agencies, producer associations, and nonprofit organizations to provide flexible technical and financial assistance to install and maintain conservation practices include those related to organic production, that sustain food and fiber production. The purpose of this program is achieved through the implementation of structural, vegetative, and land management practices on eligible land. This program is funded through the Commodity Credit Corporation (CCC). NRCS provides overall program administration and management.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Technical assistance is provided for conservation planning, design and implementation of conservation practices for eligible participants. Financial assistance is provided for implementation of structural, and land management practices. Cost-share payments may be made to implement one or more eligible structural or vegetative practices. Incentive payments can be made to implement one or more land management practices. Sixty percent of the funding available for technical assistance, cost-share payments, incentive payments, shall be targeted at practices relating to livestock production.

**Applicant Eligibility:**

Agricultural producers who face serious threats to soil, water, and related natural resources, or who need assistance with complying with Federal and State environment laws. A participant may be an owner, landlord, operator, or tenant of eligible agricultural lands or non-industrial forestlands. Limited resource producers, small-scale producers, social disadvantaged individuals, Federally recognized Indian tribal governments, Alaska natives, and Pacific Islanders are encouraged to apply.

**Beneficiary Eligibility:**

To be eligible the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions and in compliance with the Adjusted Gross Income (AGI) payment limitations.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program participation is voluntary. The applicant applies at the local USDA Service Center on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant develops an EQIP plan of operations that identifies what conservation practices they are proposing to implement. Technical assistance, and conservation payments may be provided to apply needed conservation practices and land use adjustments within a time schedule specified by the conservation EQIP plan of operations. A contract with a participant may apply one or more land management practices or one or more structural practices.

**Award Procedure:**

NRCS will give special consideration to applicants that address priority natural resource concerns designated. Applications will be periodically ranked and selected for funding based on locally developed ranking process. These criteria can be found at [http://www.nrcs.usda.gov/programs/eqip/EQIP\\_signup/2007%20EQIP%20Signup/2007\\_EQIP.html](http://www.nrcs.usda.gov/programs/eqip/EQIP_signup/2007%20EQIP%20Signup/2007_EQIP.html).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 10 to 60 days.

**Appeals:**

A participant may appeal any adverse determination to the State Conservationist.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 75.%. Conservation practices may be eligible for conservation payments up to 75 percent of the total cost of establishing the practice including costs of foregone income. Limited resource producers, social disadvantaged producers and beginning farmers and ranchers may be eligible for payments up to 90 percent of the approved practice cost. This program has MOE requirements, see funding agency for further details. None.

**Length and Time Phasing of Assistance:**

A 2008 Farm Bill EQIP contract expires 1 year after the last planned practice is implemented but cannot be longer than 10 years. Obligations for assistance are tied to the schedule for applying conservation practices included in the EQIP plan of operations conservation plan used as the basis for the contract. Payments are made when the participant and NRCS certify that conservation practice is completed in accordance with NRCS standards and specifications. Technical assistance may be provided by a certified Technical Service Provider (TSP). The participant may not engage a TSP prior to contract approval. This assistance will be reimbursed based upon not-to-exceed rates. These payments will be made after the services of the certified TSP have been provided in accordance with NRCS standards and specifications. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Natural Resources Conservation Service makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 11 \$336,368,954; FY 12 est \$381,925,000; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$894,508,727; FY 12 est \$1,018,075,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Conservation payments are limited to a maximum payment limitation of \$300,000 for the life of the 2008 Farm Bill. Average contract payments are estimated to be \$19,600.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 1466. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. For a list of NRCS State offices with telephone numbers and addresses, see appropriate Appendix IV of the Catalog. Information is available on the internet at <http://www.nrcs.usda.gov/programs/eqip>.

**Headquarters Office:**

Mark Rose Financial Assistance Programs Division, Natural Resources Conservation Service, Department of Agriculture, PO Box 2890, Washington, District of Columbia 20113 Email: [Mark.Rose@wdc.usda.gov](mailto:Mark.Rose@wdc.usda.gov) Phone: 202-720-1844

**Website Address:**

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

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.901 Resource Conservation and Development; 10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be periodically ranked and selected for funding based on: the environmental benefits per dollar expended; the cost-effectiveness of the conservation practices; the environmental benefits derived; extent to which the contract will assist the applicant in complying with Federal, State, tribal or local environmental laws; whether the land is located in a priority area and the extent the contract will assist the priority area goals and objectives.

**10.913 FARM AND RANCH LANDS PROTECTION PROGRAM****FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Public Law 99-198, 16 U.S.C 3830.

**OBJECTIVES:**

To provide funding to eligible entities to purchase conservation easements to limit conversion to non-agricultural uses of farm and ranch lands that contain prime, unique, or important soils; that contain historical and archaeological resources; or that support the policy of a state or local farmland protection program.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are provided to purchase conservation easements in partnership with States, Tribes, or local government entities, or eligible nongovernmental organizations (eligible entities). The Federal share for any easement acquisition is limited to a maximum of 50 of the appraised fair market value of the conservation easement. A conservation plan is required for highly erodible lands enrolled under an FRPP easement. Conservation easements are perpetual easements. A right of enforcement is incorporated in the conservation easement deed for the protection of the Federal investment. A failure of title would require the eligible entity to reimburse the United States for the Federal share of the easement value.

**Applicant Eligibility:**

An eligible entities is any local or State agency, county or groups of counties, municipality, town or township, soil and water conservation district, or Indian tribe or tribal organization, that has a farmland protection program that purchases conservation easements for the purpose of protecting agricultural use and related conservation values by limiting conversion to non- agricultural uses of land, and that has pending offers may apply for funds. This program is available in all 50 States, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Mariana Islands, and the Trust Territories of the Pacific Islands. Individual landowners must apply through the local agency or organization that

handles farmland protection program. This program is excluded from coverage under E.O. 12372.

**Beneficiary Eligibility:**

Landowners must be in compliance with the Wetland Compliance (WC) and Highly Erodible Land (HEL) provisions of the Farm Bill and met the Adjusted Gross Income (AGI) limitations in the Farm Bill.

**Credentials/Documentation:**

Entities must prove their eligibility by providing documents indicating their commitment to long-term conservation of agricultural lands through legal devices, such as right-to-farm laws, agricultural districts, zoning, or land use planning; uses of voluntary approaches to protect farmland from conversion to non-agricultural uses; and their capability to acquire, manage, and enforce conservation easements. Programs must have a systematic plan for acquiring conservation easements, have a pr oven commitment to agricultural land protection, and sufficient funds and staff to monitor and enforce conservation easements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Entities must submit an application form and supporting data for each parcel to the appropriate State Office of the Natural Resources Conservation Service (NRCS). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are accepted on a continuous basis by the State Offices of the Natural Resources Conservation Service (NRCS). The application form and supporting information required for the application are available from the State Offices of the (NRCS) and USDA NRCS home page.

**Award Procedure:**

NRCS State Offices will rank parcels individually and award funding to the highest-ranked parcels. NRCS State Offices will obligate funds to the eligible entities associated with the highest-ranked parcels.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Determined by each State Office of the Natural Resources Conservation Service (NRCS).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. Each eligible entity is required to contribute cash towards the conservation easement acquisition. The eligible entity must contribute a minimum of 25 percent of the purchase price of the easement (appraised fair market value minus the landowner donation). Each eligible entity is required to fund its own administrative costs in acquiring easements, such as appraisals, surveys, title searches, and costs incurred in managing and enforcing the easements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Easements must be closed within 18 months of the end of the fiscal year in which the cooperative agreement is signed. Federal funds must be disbursed within 2 to 5 years after signing the cooperative agreement. Technical assistance to maintain the conservation plan, however, is provided by NRCS through the life of the easement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual monitoring reports on the status of each easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable.

Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records of easements acquired will be maintained for the life of the easements by the cooperating entity and NRCS.

**Account Identification:**

12-1804-0-1-302; 12-1004-0-1-302; 12-4336-0-1-302.

**Obligations:**

(Salaries) FY 11 \$7,667,710; FY 12 est \$7,091,000; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$161,046,122; FY 12 est \$142,909,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$2,700 to \$1,000,000 per landowner. Average: \$97,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Final Rule, Federal Register, Volume 74, Number 11, January 16, 2009  
Interim Final Rule, Correction, Federal Register, Volume 76, Number 126, July 2, 2009.

**Regional or Local Office:**

See Regional Agency Offices. For a list of NRCS State Offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Steve Parkin Department of Agriculture, Natural Resources Conservation Service  
Easement Programs Division  
14th and Independence Ave., SW.  
Room 6817-S  
P.O. Box 2890, Washington, District of Columbia 20013 Email:  
Steve.Parkin@wdc.usda.gov Phone: 202-720-1854 Fax: (202) 720-9689.

**Website Address:**

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

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.920 Grassland Reserve Program; 10.922 Healthy Forests Reserve Program (HFRP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting proposals are: the percent of prime, unique, and important farmland in the parcel to be protected; percent of cropland, pastureland, grassland, and rangeland in the parcel to be protected; ratio of the total acres of land in the parcel to be protected to average farm size in the county according to the most recent USDA Census of Agriculture; decrease in the percentage of acreage of farm and ranch land in the county in which the parcel is located between the last two USDA Censuses of Agriculture; percent population growth in the county as documented by the United States Census; population density (population per square mile) as documented by the most recent United States Census; proximity of the parcel to other protected land, such as military installations land owned in fee title by the United States or a State or local government, or by an entity whose purpose is to protect agricultural use and related conservation values, or land that is already subject to an easement or deed restriction that limits the conversion of the land to nonagricultural use; and the proximity of the parcel to other agricultural operations and infrastructure.

**10.914 WILDLIFE HABITAT INCENTIVE PROGRAM**

(WHIP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985  
, Section 1244h, Public Law 99-198, 16 U.S.C 3831.

**OBJECTIVES:**

To help participants protect, restore, develop or enhance habitat for upland wildlife, wetland wildlife, threatened and endangered species, fisheries, and other types of wildlife.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Technical assistance is provided to develop a WHIP Plan of Operation (WPO) for eligible participants. Cost-share payments may be made to implement fish and wildlife habitat conservation practices. Up to seventy-five percent cost-share is available from NRCS to reimburse participants for installing conservation practices beneficial to wildlife.

**Applicant Eligibility:**

Applicant must meet Highly Erodible Land and Wetland Conservation (HEL/WC) requirements, Adjusted Gross Income (AGI) requirements, verification that applicant will be in control of land for the duration of a contract. A participant may be an owner, landlord, operator, or tenant of eligible lands. Limited resource producers, small scale producers, producers of minority groups, Federally Recognized Indian Tribal Governments, Alaska natives, Pacific Islanders, State, county, or local government owned lands are encouraged to apply.

**Beneficiary Eligibility:**

A participant may be an owner, landlord, operator, or tenant of eligible lands. Limited resource producers, small-scale producers, producers of minority groups, Federally Recognized Indian Tribal Governments, Alaska natives, and Pacific Islanders are encouraged to apply.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable Wildlife Habitat Development Plan for the land unit of concern that incorporates needed wildlife habitat conservation practices. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program participation is voluntary. The applicant applies at the local USDA service center or found at <http://www.sc.egov.usda.gov> on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant, With the Natural Resources Conservation Service develops a WPO for the land unit of concern. The participant's plan serves as the basis for the WHIP cost-share agreement. Technical assistance and cost-share payments may be provided to apply the needed wildlife habitat conservation practices within a time schedule specified by the plan. A participant may apply one or more wildlife habitat conservation practices in a cost-share agreement.

**Award Procedure:**

NRCS may designate a wildlife habitat type or a region of special wildlife habitat concern as a priority. The priorities are designated by the State Conservationist based on recommendations of local working groups which are convened by the local conservation district with recommendations from the State Technical Committee. NRCS will give special consideration to applicants who have WPOs that address wildlife habitat concerns consistent with National and state priorities. Applications will be ranked and selected for funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

A participant may appeal any adverse determination to NRCS.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Installation of cost-share practices to develop wildlife habitat can be funded by cost-sharing up to 75 percent of the total cost of establishing the conservation practice by NRCS. Program participants or nonfederal partners provide the remaining 25 percent. Other conservation practices may be required to be installed without program payments.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The WHIP cost-share agreement period is a minimum of 1 to 10 years. Obligations for assistance are tied to the schedule for applying wildlife habitat conservation practices included in the WPO used as the basis for cost-share agreement. Payments are made when the participant and NRCS certify that a conservation practice is completed in accordance with the cost-share agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. NRCS makes periodic random reviews of the operation and maintenance of the cost-share agreement items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

**Records:**

Maintained in the NRCS state office and Federal records centers for specified number of years.

**Account Identification:**

12-3322-0-1-302; 12-1004-0-1-302.

**Obligations:**

(Salaries) FY 11 \$22,891,589; FY 12 est \$13,878,000; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$60,580,860; FY 12 est \$36,122,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Average contract payments are estimated to be \$4,500.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 636. Program is announced through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets issued by NRCS and FSA.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. NRCS, FSA, and many local conservation districts are located in USDA service centers. For a list of NRCS State Office telephone numbers and addresses, see Appendix IV of the Catalog or visit the NRCS National Website at

<http://offices.sc.egov.usda.gov/locator/app>.

**Headquarters Office:**

Albert Cerna, Department of Agriculture, Natural Resources Conservation Service, P.O. Box 2890, Attn: Director, Financial Assistance Programs Division, Washington, District of Columbia 20113 Email: Albert.Cerna@wdc.usda.gov Phone: (202) 720-9358.

**Website Address:**

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

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.901 Resource Conservation and Development; 10.902 Soil and Water Conservation; 10.904 Watershed Protection and Flood Prevention; 10.912 Environmental Quality Incentives Program; 10.921 Conservation Security Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be ranked and selected for funding based on: The wildlife habitat benefits derived and the extent the cost-share agreement will assist in achieving the wildlife habitat priority goals and objectives in the area the land unit is located.

**10.916 WATERSHED REHABILITATION PROGRAM**

(Watershed Rehabilitation; PL-566 Watershed Program)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Watershed Protection and Flood Prevention Act, , Public Law 83-566, 68 Stat. 666.

**OBJECTIVES:**

To provide technical and financial assistance to rehabilitate dams originally constructed with assistance of USDA Watershed Programs. Rehabilitation must extend the life of the dam and meet applicable safety and performance standards. Priority is given to dams that could result in loss of life if the dam should fail.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical assistance is provided in planning, designing, and implementing watershed rehabilitation works of improvement. Financial assistance is provided for sharing costs of measures for watershed rehabilitation projects. Watershed rehabilitation projects may include reconstruction or decommissioning of the dam and relocation or flood proofing of downstream property. Technical assistance is provided in planning, designing, and implementing watershed rehabilitation works of improvement. Financial assistance is provided for sharing costs of measures for watershed rehabilitation projects. Watershed rehabilitation projects may include reconstruction or decommissioning of the dam and relocation or flood proofing of downstream property.

**Applicant Eligibility:**

Sponsoring local organizations for existing watershed projects that include dams that were originally constructed with assistance from one of the following water resource programs: Public Law 78-534, Section 13 of the Flood Control Act of 1944; Public Law 156-67, the pilot watershed program authorized under the heading Flood Prevention of the Department of Agriculture Appropriation Act of 1954; Public Law 83-566, the Watershed Protection and Flood Prevention Act of 1954; and Subtitle H of Title XV of the Agriculture and Flood Act of 1981, commonly known as the Resource Conservation and Development Program.

**Beneficiary Eligibility:**

Any State agency, county or groups of counties, municipality, town or township, soil and water conservation district, flood prevention or flood control

district, Indian tribe or tribal organization, or any other nonprofit agency with authority under State law to carry out, maintain, and operate watershed works of improvement may become a sponsoring local organization for a watershed rehabilitation project.

**Credentials/Documentation:**

Applications must designate the proposed dam to be rehabilitated, be properly signed and attested to by all sponsoring local organizations of the existing watershed, and set forth the need for the proposed project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental assessments or an Environmental impact statement are required for all projects. An applicant should consult the office or official designated as the Single Point of Contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

Applications are evaluated by analyzing the condition of the dam and consequences of failure of the dam. The State Dam Safety Agency is also consulted for input. Details of the procedure are available from the State Offices of the Natural Resources Conservation Service.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Receipt of the application is acknowledged as soon as it is determined to be valid.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Federal funds may be available for 65 percent of the total rehabilitation project cost, but shall not exceed 100 percent of the actual construction cost incurred. The total rehabilitation project cost includes land acquisition, easements, construction, and non-federal technical assistance and project administration. The cost of technical assistance provided by the natural Resources Conservation Service is not considered as part of the total rehabilitation project cost. The sponsoring local organizations shall be responsible for the cost of all water, mineral, and other resource rights, and cost of permits which are not part of the total rehabilitation project cost. Costs associated with adding new purposes to the watershed rehabilitation project may be cost-shared according to provisions of the Watershed Protection and Flood Prevention Act.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Continues until all works of improvement are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual operation and maintenance inspection and report. Cash reports are not applicable. Annual operation and maintenance inspection and report.

Expenditure reports are not applicable. Annual operation and maintenance inspection and report.

**Audits:**

Not Applicable.

**Records:**

Records of operation and maintenance activities are maintained for the life of the project.

**Account Identification:**

12-1002-0-1-301; 12-1142-0-1-301.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Salaries) FY 11 \$15,066,552; FY 12 est \$11,281,200; and FY 13 Estimate Not Available. (Cooperative Agreements (Discretionary Grants)) FY 11 \$9,661,300; FY 12 est \$15,557,200; and FY 13 Estimate Not Available. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$0 to \$6,451,000; \$770,000 average per state.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Policy for implementation of this program is contained in the National Watershed Manual and NRCS General Manual. Program fact sheets, case studies, and guidelines are available from NRCS State Offices and can also be accessed through the NRCS website ([www.nrcs.usda.gov](http://www.nrcs.usda.gov)).

**Regional or Local Office:**

See Regional Agency Offices. For list of NRCS State offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Idle Chavez Department of Agriculture, Natural Resources Conservation Service  
14th and Independence Ave., SW.  
Room 6015-S  
P.O. Box 2890, Washington, District of Columbia 20013 Email:  
[Idle.Chavez@wdc.usda.gov](mailto:Idle.Chavez@wdc.usda.gov) Phone: (202)720-1510

**Website Address:**

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

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 12.104 Flood Plain Management Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The existing watershed project must meet the requirements of the law; (2) operation and maintenance of the existing dam must be current; (3) the local sponsors must agree to carry out the watershed project including acquiring land rights, permits, local cost-share, and operating and maintaining the rehabilitated dam for the life of the project; (4) the project has environmental, economic and social benefits that exceed the costs for a favorable benefit-cost ratio.

**10.917 AGRICULTURAL MANAGEMENT ASSISTANCE**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Agricultural Risk Protection Act of 2000, Title I, Part Subtitle C, Section 524b, Public Law 106-224, 114 Stat. 387, 7 U.S.C 1524.

**OBJECTIVES:**

To provide cost-share assistance to producers on private lands through contracts to construct or improve water management structures or irrigation structures; plant trees for windbreaks or to improve water quality; and mitigate financial risk through production or marketing diversification or resource conservation

practices, including soil erosion control, integrated pest management, or transition to organic farming.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible producers in approved states may receive cost-share assistance to construct or improve water management structures or irrigation structures; plant trees for windbreaks or to improve water quality; and mitigate financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**Applicant Eligibility:**

Applicants must have control of the land for a period of the contract running a minimum duration of one year after completion of the last practice, but not more than 10 years. The land must be in one of the 16 following eligible states: Connecticut, Delaware, Hawaii, Maine, Maryland, Massachusetts, Nevada, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Utah, Vermont, West Virginia, and Wyoming. This program is excluded from coverage under E.O. 12372.

**Beneficiary Eligibility:**

Applicants must have control of the land for a period of the contract running a minimum duration of one year after completion of the last practice, but not more than 10 years.

**Credentials/Documentation:**

Evidence that the applicant has control over the land for the life of the proposed contract. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Potential applicants must submit documents to the appropriate local NRCS or Conservation District office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application forms are available in USDA Service Centers and conservation district offices as well as in an automated format on the Internet on the USDA NRCS homepage.

**Award Procedure:**

Participants must sign a contract running a minimum duration of one year after completion of the last practice, but not more than 10 years based on the conservation plan to receive financial assistance. Financial assistance payments are made directly to the applicant upon satisfactory completion on identifiable units of work. Approval of contracts are made by an authorized representative of the Commodity Credit Corporation (CCC).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Variable, no specified time. Approval will depend on volume of applications received and available funds.

**Appeals:**

Any participant shall have the right to appeal final adverse or potentially adverse decisions made by NRCS.

**Renewals:**

Contracts that are scheduled for less than 10 years may be extended up to the ten-year contract limit, in order for the participant to complete the practices scheduled in the contract. However, the participant must apply all practices within ten years of signing the contract.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. AMA participants are eligible for financial assistance payments of up to 75 percent of the estimated incurred cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Long term contracts are to be a minimum of duration of one year after completion of the last practice, but not more than 10 years. Financial assistance is paid when the practice is performed. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

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

**Records:**

The records for all expired or terminated contracts will be kept for 10 years following expiration or termination of the contracts.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 11 \$1,529,088; FY 12 est \$517,000; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$5,939,862; FY 12 est \$1,983,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Financial assistance payments are not to exceed \$50,000 per fiscal year. The total financial assistance payments paid per participant must not exceed \$50,000 for any fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR, Part 1465 regulations in the Federal Register, Volume 73, No. 225, page 70245, November 20, 2008; USDA/NRCS Internet homepage under Programs.

**Regional or Local Office:**

See Regional Agency Offices. For a list of NRCS State Offices with telephone numbers and addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Dave Mason, Financial Assistance Programs Division, Natural Resources Conservation Service  
Department of Agriculture, P.O. Box 2890, Washington, District of Columbia 20113 Email: Dave.Mason@wdc.usda.gov Phone: (202) 720-1873 Fax: (202) 720-4625.

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A State developed ranking process and ranking criteria will be used. The ranking criteria will emphasize: the construction or improvement of water management structures or irrigation structures; planting of trees for windbreaks or to improve water quality; and mitigating financial risk through production or marketing diversification or resource conservation practices, including soil erosion control, integrated pest management, or transition to organic farming.

**10.920 GRASSLAND RESERVE PROGRAM**

(Grassland Reserve Program (GRP))

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985  
, Public Law 199-198.

**OBJECTIVES:**

To assist landowners and operators in restoring and protecting eligible grazing lands, including rangeland, pastureland and certain other lands through rental contracts and easements.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

GRP easements and rental contracts are emphasize support for working grazing lands. All participants are subject to the Adjusted Gross Income Provision set forth in 7 CFR Part 1400. This limitation provides that individuals and entities that have an average adjusted gross income exceeding \$1 million for the three tax years immediately preceding the year the contract is approved are not eligible to receive program benefits, unless 66.6 percent of the adjusted gross income is derived from farming, ranching, or forestry operations. Easements and rental contracts will (1) permit grazing on the land in a manner that is consistent with maintaining the viability of the native and natural grass, shrub, forest, and wildlife species adapted to the locality; (2) permit haying, mowing, or harvesting for seed production, except during the nesting and brood-rearing seasons for birds in the area that are in significant decline; (3) allow for fire rehabilitation and construction of firebreaks, fences, watering facilities and practices that protect and restore the grasslands functions and values; and (4) prohibit the production of row crops, fruit trees, vineyards, or any other agricultural commodities. Both easements and rental contracts will require that the land is managed to maintain the viability of the plant community as described in the conservation or grazing management plan.

**Applicant Eligibility:**

GRP is available on privately owned lands. Eligible land includes grassland, land that contains forbs, or shrubs (including rangeland and pasture land; or land that is located in an area that has historically been dominated by grassland, forbs, and shrubs; and has potential to provide habitat for animal or plant populations of significant ecological value. Incidental lands, in conjunction with eligible land, may also be considered for enrollment to allow for the efficient administration of an easement or rental contract.

**Beneficiary Eligibility:**

Only landowners may submit applications for easements; landowners and others who have general control of the acreage may submit applications for rental contracts. Easements may also be acquired by eligible entities based on a 50 percent cost-share with the Federal government. Eligible entities are defined as units of State, local or Tribal government or nongovernmental organizations that have a charter describing a commitment to conserving rangeland, agricultural land, or grassland for grazing and conservation purposes.

**Credentials/Documentation:**

Eligible entities must demonstrate it has the relevant experience and resources to administer a GRP easement. Its charter or mission describes its long term commitment to conserving rangeland, agricultural land, or grassland for grazing and conservation purposes. NRCS evaluates an entities capacity to acquire, manage and enforce easements; its staffing and the ability of an entity to provide matching funds before entering into a cooperative agreement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any owner or operator or tenant meeting eligibility criteria may submit an application for participation. Applications are accepted in local USDA service centers at any time. USDA will establish criteria to evaluate and rank applications for easement and rental contract enrollment. Ranking criteria will emphasize support for high quality grasslands and shrublands; grazing operations; plant and animal biodiversity; and grasslands under threat of conversion to cropping or development. Individual project selection will be made by State level USDA officials. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110.

Applications are accepted in local USDA service centers at any time.

Applicants are required to provide general information about the location of the project, contact information for the applicant, and designate the type of enrollment desired by the applicant (i.e. permanent easement or maximum allowed by State law, 10-year, 15-year, or 20-year rental contract). Applications can be obtained through local USDA service centers or the website of the Natural Resources Conservation Service Office. See [www.nrcs.usda.gov](http://www.nrcs.usda.gov). Select Programs from the menu, then select Grassland Reserve Program.

**Award Procedure:**

NRCS State Offices rank the individual parcels in the applications based on ranking criteria established by the State Technical Committee. The ranking factors are developed based on national and state priorities.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Within a Federal fiscal year (October 1 September 30) based on funding availability.

**Appeals:**

Applicants or participants may appeal decisions regarding this program in accordance with 7 CFR Part 614 and Parts 11 and 780.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. For GRP acquisitions made through a Cooperative Agreement, each eligible entity is required to provide, in cash, at least 50 percent of the purchase price of the conservation easement. Purchase price is defined as the appraised fair market value minus any landowner donation. The landowner donation is not a cash donation, but is merely the reduction in value the landowner will accept as payment for the sale of the conservation easement. Each eligible entity is required to fund its own administrative costs in acquiring easements, such as surveys, appraisals, deed preparation, title searches, and costs incurred in restoring, managing and enforcing the easements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Easement duration is either perpetual, or the maximum duration permitted by State law. Financial assistance for easement acquisition is provided at closing. For rental contracts, payments are made annually on the agreement anniversary date of USDA approval. For both easements and rental contracts, if restoration activities are required, financial assistance for such activities is provided when required practices are established. Technical assistance is available for the length of the easement or rental contract. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual reports on the status of the easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS.. No cash reports are required. Annual reports on the status of the easements acquired will be prepared by the eligible entity and submitted to the NRCS State Office. Fund disbursement reports are prepared by NRCS.. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An audit may be made in accordance with the Office of Management and Budget (OMB) Circular No. A-102 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local governments and other related Circulars.



**Records:**

Records of easements acquired will be maintained for the life of the easements by the eligible entity and NRCS.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 11 \$7,646,758; FY 12 est \$6,682,000; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$70,297,964; FY 12 est \$60,055,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The 5 year average estimated cost per acre for easement acquisition was approximately \$400, ranging from \$65 per acre to over \$30,000 per acre. The average estimated cost per acre for rental contracts was \$134 per acre over the life of the rental contract. Program Accomplishments (130):

Over 250 GRP easements were acquired on over 117,000 acres.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

GRP rental contracts are limited to \$50,000 per person per year. GRP restoration agreements are also limited to \$50,000 per person per year. Grassland Reserve Program Website; [www.nrcs.usda.gov/programs/grp](http://www.nrcs.usda.gov/programs/grp).

**Regional or Local Office:**

See Regional Agency Offices. Local Service Centers can be found in the blue pages of the local telephone directory under the heading USDA Service Center or through the office locator assistance on the NRCS website found at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Steve Parkin Department of Agriculture, Natural Resources Conservation Service  
14th and Independence Ave., SW.  
Room 6817-S  
P.O. Box 2890 , Washington, District of Columbia 20250 Email:  
[Steve.Parkin@wdc.usda.gov](mailto:Steve.Parkin@wdc.usda.gov) Phone: (202) 720-1854

**Website Address:**

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

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.913 Farm and Ranch Lands Protection Program; 10.922 Healthy Forests Reserve Program (HFRP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.921 CONSERVATION SECURITY PROGRAM**

(CSP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985, Executive Order , Title XII, Part Chapter 2, Section Subchapter A, Public Law 99-198, 16 U.S.C 3801et.seq., as amended by Farm Security and Rural Investment Act of 2002 , Title II, Part Subtitle A, Section 2001, Public Law 107-171, 116 Stat. 223, 16 U.S.C 3838.

**OBJECTIVES:**

The CSP sets forth a mechanism to provide financial and technical assistance to promote the conservation and improvement of soil, water, air, energy, plant and animal life, and other conservation purposes on Tribal and private working lands. Working lands include cropland, grassland, prairie land, improved pasture, and range land, as well as forested land that is an incidental part of an agriculture operation. The goal of CSP is to identify and reward those farmers and ranchers who are meeting the highest standards of conservation and

environmental management on their operations and to support ongoing stewardship of private agricultural lands by providing payments for maintaining and enhancing natural resources.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Eligible applicants may offer eligible land on a portion of their agricultural operation to enter into a five year contract, or entire agricultural operation for a five to ten year contract. Subject to the acceptance of an offer by the Federal Government, the participant shall agree to participate as outlined in the CSP stewardship plan and contract. The contract will include appropriate stewardship, new practice, existing practice, and enhancement payments. Subject to the availability of funds, CCC will make stewardship, existing practice, new practice or enhancement payments at the rates specified in this contract after a determination by CCC that an eligible practice or activity has been established in compliance with the CSP plan of operations and in accordance with appropriate standards and specifications.

**Applicant Eligibility:**

Applicants must have applied prior to Oct. 1, 2008. An individual producer, partnership, association, corporation, estate, trust, other business or other legal entities controlling eligible lands. The term producer means an owner, operator, landlord, tenant or sharecropper that shares in the risk of producing any crop or livestock; and must be entitled to share in the crop or livestock available for marketing from an agricultural operation. An applicant must be in compliance with highly erodible land and wetland conservation provisions, and average adjusted gross income requirements. Lands enrolled in the Conservation Reserve Program, Wetlands Reserve Program, the Grassland Reserve Program pursuant to 16 U.S.C. 3838n, public land including land owned by a Federal, State or local unit of government are not eligible for enrollment in CSP and may not receive CSP payments.

**Beneficiary Eligibility:**

An individual producer, partnership, association, corporation, estate, trust, other business or other legal entities controlling eligible lands. The term producer means and owner, operator, landlord, tenant or sharecropper that shares in the risk of producing any crop or livestock; and must be entitled to share in the crop or livestock available for marketing from an agricultural operation. A participant must be in compliance with highly erodible land and wetland conservation provisions, and average adjusted gross income requirements. Lands enrolled in the Conservation Reserve Program, Wetlands Reserve Program, the Grassland Reserve Program pursuant to 16 U.S.C. 3838n, public land including land owned by a Federal, State or local unit of government are not eligible for enrollment in CSP and may not receive CSP payments.

**Credentials/Documentation:**

The participant must have control of the land offered for the length of the contract period. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Conduct a CSP self-assessment and benchmark condition inventory, and submit an intention to enroll to the local NRCS office that serves the area in which the agricultural operation is located during the designated sign-up period.

**Award Procedure:**

All applications which meet the sign-up criteria within the priority watersheds will be placed in an enrollment category regardless of available funding. Enrollment categories and subcategories will be funded in priority order until the available funds are exhausted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 180 days after the application is filed with the NRCS.

**Appeals:**

An applicant or a participant may obtain administrative review of an adverse decision. Participants cannot appeal payment rates, payment limits, and cost-share percentages, eligible conservation practices, or other matters of general applicability. Before a participant can seek judicial review, the participant must exhaust all administrative appeal procedures.

**Renewals:**

The conservation security contract may be renewed, as appropriate, for an additional period of not less than 5, nor more than 10 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Payments may have as many as four components including a base conservation stewardship payment, existing practice payment, new practice cost-share payment, and enhancement payment. Payments will be made as described in the contract in return for the implementation and/or maintenance of a specified level of conservation treatment on all or part of the agricultural operation.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The schedule of payments will be specified in the conservation stewardship contract based on calculations identified in the rule and sign up notice. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained by the participant, as appropriate and in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 11 \$21,153,207; FY 12 est \$20,412,000; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$177,717,335; FY 12 est \$176,673,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is announced through news media, local conservation districts, and in letters to agricultural landowners in the county. Regulations published in the Federal Register and 7 CFR XIV.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the NRCS office. If no listing, contact the appropriate State NRCS office listed in the NRCS Section of Appendix IV. the Catalog.

**Headquarters Office:**

Mark Rose Department of Agriculture,  
PO Box 2890, Washington, District of Columbia 20113 Email:  
Mark.Rose@wdc.usda.gov Phone: (202) 690-2621

**Website Address:**

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

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.912 Environmental Quality Incentives Program; 10.914 Wildlife Habitat Incentive Program; 10.917 Agricultural Management Assistance; 10.924 Conservation Stewardship

Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications which meet the sign-up criteria within the priority watersheds will be placed in an enrollment category regardless of available funding. Enrollment categories and subcategories will be funded in priority order until the available funds are exhausted.

**10.922 HEALTHY FORESTS RESERVE PROGRAM (HFRP)**

Healthy Forests Reserve Program (HFRP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Healthy Forest Restoration Act of 2003, Title V, Section 501, Public Law 108-148, 117 Stat. 1911, 16 U.S.C 6571-6578.

**OBJECTIVES:**

To assist landowners in restoring and enhancing forest ecosystems to: promote the recovery of threatened and endangered species; improve biodiversity; and enhance carbon sequestration.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

HFRP restoration agreements and easements are designed for working Agricultural lands. HFRP is a voluntary program to assist landowners in restoring, enhancing and maintaining forest ecosystems on private lands through easements, contracts and restoration agreements. Easements, contracts, and restoration agreements shall be maintained in accordance with HFRP goals and objectives for the duration of the restoration agreement and easement including the restoration, protection, enhancement, maintenance, and management of habitat for listed species within a forest ecosystem's functions and values. For the duration of its term, the easement shall require, at a minimum, that the landowner, and the landowner's heirs, successors and assigns, shall cooperate in the restoration, protection, enhancement, maintenance, and management of the land in accordance with the easement and with the terms of the HFRP restoration plan. In addition, the easement shall grant to the United States, through the NRCS: a right of access to the easement area; the right to permit compatible uses of the easement area, if such use is consistent with the long-term protection and enhancement of the purposes for which the easement was established; the right to determine compatible uses on the easement area and specify the amount, method, timing, intensity and duration of the compatible use; the rights, title and interest to the easement area as specified in the conservation easement deed; and the right to perform restoration, protection, enhancement, maintenance, and management activities on the easement area. The landowner shall convey title to the easement which is acceptable to the NRCS. The landowner shall warrant that the easement granted to the United States is superior to the rights of all others, except for exceptions to the title which are deemed acceptable by the NRCS.

**Applicant Eligibility:**

To be eligible to enroll an easement or restoration agreement in the HFRP, a person must: be the landowner of eligible private land for which enrollment is sought; agree to provide such information to the Natural Resources Conservation Service (NRCS) as the Agency deems necessary or desirable to assist in its determination of eligibility for program benefits and for other program implementation purposes.

**Beneficiary Eligibility:**

Only landowners.

**Credentials/Documentation:**

Be the landowner of eligible land for which enrollment is sought; and agree to provide such information to NRCS as the agency deems necessary or desirable to assist in its determination of eligibility for program benefits and for other program implementation purposes. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any owner meeting eligibility criteria may submit an application for participation. Applications are accepted in local USDA Service Center Offices during announced enrollment sign-up periods. USDA will establish criteria to evaluate and rank applications for easement and restoration agreement enrollment, criteria will be detailed in the sign-up notice. NRCS will identify through a sign-up notice process the geographic scope and ranking priorities for that particular sign-up. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are accepted in local USDA Service Center Offices during announced enrollment sign-up dates. Applicants are required to provide general information about the location of the project, contact information for the applicant, and designate the type of enrollment desired by the applicant (i.e., 10 year restoration agreement, 30 year easement or 99 year easement). Applications can be obtained through local USDA Service Center.

**Award Procedure:**

NRCS will not acquire any easement unless the landowner accepts the amount of the easement payment which is offered by NRCS. The easement payment may or may not equal the fair market value of the interests and rights to be conveyed by the landowner under the easement. By voluntarily participating in the program, a landowner waives any claim to additional compensation based on fair market value.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within a Federal fiscal year (October 1 September 30) based on funding availability.

**Appeals:**

A person participating in the HFRP may obtain a review of any administrative determination concerning eligibility for participation utilizing the administrative appeal regulations provided in 7 CFR Part 614.

**Renewals:**

The land offered may be re-offered in a future sign-up unless land or landowner is ineligible.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Easement payments may be made in a single payment or not more than 10 annual payments of equal or unequal size, as agreed to between NRCS and the landowner. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Land may be enrolled in HFRP in accordance with a 10-year restoration cost-share agreement, a 30-year easement, a 30-year contract, or a permanent easement or the maximum duration permitted by State law. 30-year contracts are only available to acreage owned by Indian Tribes. Financial assistance for easement acquisition is provided at closing. For restoration agreements, payments are made annually on the agreement anniversary date of USDA approval. For easements, contracts, and restoration agreements, if restoration activities are required, financial assistance for such activities is provided when required practices are established. Technical assistance is available for the length of the easement or restoration agreement. See the following for information on how assistance is awarded/released: None.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

Records will be maintained in the county NRCS office, State NRCS office and Federal Record Centers for the length of the agreement. The easement (deed

restriction) and applicable documents will be recorded in the local land records office for the duration of the easement. Agreements are filed with the Agency.

**Account Identification:**

12-1004-0-1-302; 12-1090-0-1-302.

**Obligations:**

(Salaries) FY 11 \$1,816,445; FY 12 est \$2,228,700; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$16,086,779; FY 12 est \$11,611,100; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

In FY 2006, NRCS had \$2.3 million available to fund the program in three states. The average estimated cost per acre for easement acquisition was approximately \$1,048.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HFRP Regulations are published in the Federal Register and 7 CFR Part 625.

**Regional or Local Office:**

See Regional Agency Offices. Local Service Centers can be found in the blue pages of the local telephone directory under the heading USDA Service Center or through the office locator assistance on the NRCS website found at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Steve Parkin Department of Agriculture, Natural Resources Conservation Service  
14th and Independence Ave., SW.  
Room 6817-S  
P.O. Box 2890, Washington, District of Columbia 20250 Email:  
[Steve.Parkin@wdc.usda.gov](mailto:Steve.Parkin@wdc.usda.gov) Phone: (202) 720-1854

**Website Address:**

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

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.072 Wetlands Reserve Program; 10.913 Farm and Ranch Lands Protection Program; 10.920 Grassland Reserve Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Secretary of Agriculture shall give priority to the enrollment of land that provides the greatest conservation benefit to primarily, species listed as endangered or threatened under 16 U.S.C. 1533; and secondarily, species that are not listed as endangered or threatened under 16 U.S.C. 1533; but are candidates for such listing, State-listed species, or special concern species. The Secretary of Agriculture shall also consider the cost-effectiveness of each agreement or easement, and associated restoration plans, so as to maximize the environmental benefits per dollar expended. Specific criteria to determine how individual proposals satisfy the statutory criteria mentioned above will be set forth in the sign-up announcement.

**10.923 EMERGENCY WATERSHED PROTECTION PROGRAM**

(Emergency Watershed Protection (EWP) Program )

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5, 123 Stat. 117; Section 216 of the Flood Control Act of 1950, Section 216, Public Law 81-516, 33 U.S.C 701b; the Agricultural Credit Act of 1978, Section 403, Public Law 95-334, 33 U.S.C 701B-1; Federal Agriculture Improvement and Reform Act of 1996, Title III, Part Subtitle H, Section 382, Public Law 104-127, 110 Stat. 1016, 16 U.S.C 2203.

**OBJECTIVES:**

The objective of the EWP Program is to assist sponsors, landowners, and operators in implementing emergency recovery measures for runoff retardation and erosion prevention to relieve imminent hazards to life and property created by a natural disaster that causes a sudden impairment of a watershed.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

All EWP work must reduce threats to life and property and must be economically, environmentally, and socially defensible and sound from a technical standpoint. NRCS may bear up to 75 percent (90 percent within limited resource areas as identified by the U.S. Census data) of the construction cost of emergency measures. The remaining 25 percent (10 percent within limited resource areas) must come from local sources as cash or in-kind services. EWP funds have restrictions. EWP cannot solve problems that existed before the disaster or to improve the level of protection above that which existed before a disaster. It cannot fund operation and maintenance work or repair private or public transportation facilities or utilities. The work cannot adversely affect downstream water rights and funds cannot be used to install measures not essential to the reduction of hazards. In addition, funds cannot be used to perform work on measures installed by another federal agency.

**Applicant Eligibility:**

Public and private landowners are eligible for assistance but must be represented by a project sponsor. Project sponsor means a State government or a State agency or a legal subdivision thereof, local unit of government, or any Native American tribe or tribal organization as defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), with a legal interest in or responsibility for the values threatened by a watershed emergency; is capable of obtaining necessary land rights, and permits; and is capable of carrying out any operation and maintenance responsibilities that may be required. Sponsors are also responsible for furnishing the local cost share and for accomplishing the installation of work. Work can be done either through Federal or local contracts. Emergency watershed protection is authorized in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Sponsors must submit a formal request to the State Conservationist for assistance within 60 days of the natural disaster occurrence, or 60 days from the date when access to the sites becomes available. Requests must include a statement that the sponsors understand their responsibilities and are willing to pay its cost-shared percentage as well as information pertaining to the natural disaster, including the nature, location, and scope of the problems and the assistance needed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Potential sponsors submit formal requests for assistance to the NRCS state conservationist.

**Award Procedure:**

Project sponsors seeking EWP assistance must apply to the STC in writing within 60 days of the natural disaster occurrence. Project sponsors may use SF 424 Application for Federal Assistance but must ensure that following information is provided: (1) A description of the problems encountered; (2) Assistance needed, including the following: Nature of the problem; Location; Scope of the problem; Commitment by the sponsor to assume the following responsibilities: local cost-share; Land rights; acquisition; Permits; Operations and Maintenance (O and M), A statement indicating that funds have either been exhausted or are insufficient to provide adequate recovery measures from the applicable hazards; A statement identifying any other State or Federal funding

received or application submitted. On receipt of a formal request for EWP assistance, the State Conservationist or designee shall immediately investigate the emergency situation to determine whether EWP is applicable and to prepare an initial cost estimation for submission to the NRCS Chief or designee. The cost estimation will be submitted no later than 60 days from receipt of the formal request from the sponsor. NRCS may not commit funds until notified by the Chief, or designee, of the availability of funds. Before the release of financial assistance, NRCS will enter into a Cooperative Agreement with a sponsor that specifies the responsibilities of the sponsor under this part, including any required operation and maintenance responsibilities. NRCS will not provide funding for activities undertaken by a sponsor prior to the signing of the agreement between NRCS and the sponsor.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timeline is dependent upon when funding is appropriated. The EWP program is not a line-item funded program and is reliant upon emergency supplemental appropriations.

**Appeals:**

Only NRCS decisions relating to eligibility for the EWP Program can be appealed. These decisions may be appealed in accordance with 7 CFR Part 614 and 7 CFR 11, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 75%. NRCS may bear up to 75 percent (90 percent within limited resource areas as identified by the US Census data) of the construction cost of emergency measures. The remaining 25 percent (10 percent within limited resource areas) must come from local sources as cash or in-kind services.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Continues until all EWP Program recovery measures are installed or their installation is terminated by mutual agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Final reports are prepared for each project within 90 days of completion. A benefit and accomplishment report is prepared for the fiscal year based upon final reports. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

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

**Records:**

Records of operation are maintained for the life of the project.

**Account Identification:**

12-1072-0-1-301.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Salaries) FY 11 \$16,523,435; FY 12 est \$60,539,800; and FY 13 Estimate Not Available. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 11 \$53,774,042; FY 12 est \$247,306,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Disaster Events Funded: FY 06 range \$22,211 to \$6,047,723, average

\$955,410.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

7 CFR Part 624; National Emergency Watershed Protection Program Manual.

**Regional or Local Office:**

See Regional Agency Offices. For the list of NRCS state offices with telephone numbers and addresses, see the web site: <http://www.nrcs.usda.gov/contact/>.

**Headquarters Office:**

Fred Reaves, USDA, NRCS  
Conservation Technical Assistance Division  
14th and Independence Ave., SW.  
Room 6015-S  
P.O. Box 2890

, Washington, District of Columbia 20250 Email: [fred.reaves@wdc.usda.gov](mailto:fred.reaves@wdc.usda.gov)  
Phone: (202) 690-0793.

**Website Address:**

<http://www.nrcs.usda.gov/programs/ewp/>.

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

EWP projects are eligible when it is determined that the current condition of the land or watershed impairment poses a threat to health, life, and property. Assistance includes EWP practices that provide runoff retardation and soil erosion prevention, safeguard lives and property, and relieve an imminent threat that is a result of a sudden impairment of a watershed due to a natural disaster.

**10.924 CONSERVATION STEWARDSHIP PROGRAM**

Conservation Stewardship Program (CSP)

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

Food Security Act of 1985  
, Public Law 106-224, Stat. , 16 U.S.C 3838h.

**OBJECTIVES:**

Through CSP, NRCS will provide financial and technical assistance to eligible producers to conserve and enhance soil, water, air, and related natural resources on their land. Eligible lands include cropland, grassland, prairie land, improved pastureland, rangeland, nonindustrial private forest lands, agricultural land under the jurisdiction of an Indian tribe, and other private agricultural land (including cropped woodland, marshes, and agricultural land used for the production of livestock) on which resource concerns related to agricultural production could be addressed. Participation in the program is voluntary.

CSP encourages land stewards to improve their conservation performance by installing and adopting additional activities, and improving, maintaining, and managing existing activities on agricultural land and nonindustrial private forest land. The NRCS will make CSP available nationwide on a continuous application basis.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CSP is available on Tribal and private agricultural lands, as well as nonindustrial private forest lands in all 50 States, the District of Columbia, and the Caribbean and Pacific Islands Areas. The entire operation must be enrolled and must include all eligible land that will be under the applicant's control for the term of the proposed contract that is operated substantially separate from other operations. Land enrolled in the Conservation Reserve Program (7 CFR part 1410), Wetlands Reserve Program (7 CFR part 1467), Grasslands Reserve

Program (7 CFR part 1415), and Conservation Security Program (CFR part 1469) are ineligible for CSP. The 2008 Act limits eligibility to private agricultural land; as such, land that is owned by a Federal, State, or local unit of government, with the exception of agricultural land under the jurisdiction of an Indian Tribe, is ineligible, regardless of the status of the operator. Additionally, a participant may not receive payment for land used for crop production after June 18, 2008, that had not been planted, considered to be planted, or devoted to crop production for at least four of the six years preceding that date, unless the land was: previously enrolled in the Conservation Reserve Program; maintained using long-term rotations, such as hayland in rotation; or incidental to the operation but needed for the efficient management of the operation. An example of land considered incidental to the operation that may be eligible for payment is land that had once been used for buildings and is now being used for crop production to square up a cropland field.

**Applicant Eligibility:**

The program provides equitable access to all producers, regardless of operation size, crops produced, or geographic location. Individual producers, legal entities, corporations, and Indian Tribes may be eligible for the program.

Eligible lands include cropland, grassland, prairie land, improved pastureland, rangeland, nonindustrial private forest land, and agricultural land under the jurisdiction of an Indian tribe (covered in 508 Subpart F, 508.53 and 1470.6b). As stated in the Federal Register, 1470.6a, Applicants must be the operator of record in the USDA farm records management system for the eligible land being offered for enrollment; have documented control of the land for the term of the proposed contract; include the eligible land in their entire operation as represented for other USDA programs; and be in compliance with the highly erodible land and wetland conservation provisions of 7 CFR Part 12, and adjusted gross income provisions of 7 CFR part 1400. The applicants operation must also meet a stewardship threshold (covered in 508 Subpart F, 508.54).

**Beneficiary Eligibility:**

The program provides equitable access to all producers, regardless of operation size, crops produced, or geographic location. Individual producers, legal entities, corporations, and Indian Tribes may be eligible for the program.

Eligible lands include cropland, grassland, prairie land, improved pastureland, rangeland, nonindustrial private forest land, and agricultural land under the jurisdiction of an Indian tribe (covered in 508 Subpart F, 508.53 and 1470.6b). As stated in the Federal Register, 1470.6a, Applicants must be the operator of record in the USDA farm records management system for the eligible land being offered for enrollment; have documented control of the land for the term of the proposed contract; include the eligible land in their entire operation as represented for other USDA programs; and be in compliance with the highly erodible land and wetland conservation provisions of 7 CFR Part 12, and adjusted gross income provisions of 7 CFR part 1400. The applicants operation must also meet a stewardship threshold (covered in 508 Subpart F, 508.54).

**Credentials/Documentation:**

The participant must have control of the land offered for the length of the contract period. NRCS requires all program payments be made by direct deposit unless the participant requests a waiver as described in 31 CFR Part 208.4, paragraph (a). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A programmatic environmental assessment has been prepared in association with this rulemaking. The analysis has determined that there will not be a significant impact to the human environment and as a result an Environmental Impact Statement is not required to be prepared (40 CFR part 1508.13). An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A programmatic environmental assessment has been prepared in association with this rulemaking. The analysis has determined that there will not be a significant impact to the human environment and as a result an Environmental Impact Statement is not required to be prepared (40 CFR part 1508.13).

**Award Procedure:**

Once applicant and land eligibility are determined, the NRCS field office will assist the producer with completing the CMT resource inventory. CMT will estimate the level of environmental benefit to be achieved by the applicant. The CMT conservation performance scoring will enable NRCS to determine if the stewardship threshold requirement is met, rank applications, and establish payments.

Applicants will be ranked relative to other applicants who face similar resource challenges in State-established ranking pools using conservation performance ranking scores. For approved applicants, NRCS will conduct on-site field verification to substantiate that conservation activity and production system information represented by the applicant was accurate. After the conservation system information is verified, NRCS and the applicant proceed to develop the conservation stewardship plan and contract. Upon approval, the contract will obligate the participant to achieve a higher level of conservation performance by installing additional activities scheduled in their conservation stewardship plan and to maintain the level of existing conservation performance identified at the time of application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

A participant may obtain administrative review in accordance with 7 CFR parts 11 and 614 for an adverse decision. Participants cannot appeal payment rates, payment limits, and cost-share percentages, eligible conservation practices, or other matters of general applicability. Before a participant can seek judicial review, the participant must exhaust all administrative appeal procedures.

**Renewals:**

At the end of an initial conservation stewardship contract, NRCS will allow a participant to renew the contract to receive payments for one additional five year period, subject to the availability of funds. To be considered for contract renewal, the participant must be in compliance with the terms of their initial contract as determined by NRCS; add any newly acquired eligible land that is part of the agricultural operation and meets minimum treatment criteria as established and determined by NRCS; meet stewardship thresholds for additional priority resource concerns as determined by NRCS; and agree to adopt conservation activities as determined by NRCS.

**Formula and Matching Requirements:**

Statutory Formula: Subject to the availability of funds, NRCS will offer participants two potential types of payment. As outlined in 508.90, an annual payment will be made for installing and adopting additional conservation activities, and improving, maintaining, and managing existing activities. A supplemental payment can also be made to a participant receiving annual payments, who also agrees to adopt a resource-conserving crop rotation. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NRCS will make payments as soon as practicable after October 1 of each fiscal year for activities carried out in the previous fiscal year. CSP payments to a person or legal entity may not exceed \$40,000 in any year and \$200,000 during any 5-year period. Each CSP contract will be limited to \$200,000 over the term of the initial contract period. The above limitations exclude funding arrangements with federally recognized Indian tribes or Alaska Native corporations as described in CPM 440, Part 508, Section 508.95(C). Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The Designated Conservationist will review contract implementation with the participant annually. Annual reviews will be completed early enough in the year to allow for completion of any necessary corrective actions prior to issuance of the annual payment. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Recipients are subject to audit by the Office of Inspector General, USDA.

**Records:**

As stipulated in 508.76 B, the applicant must make available to NRCS upon request appropriate records documenting applied conservation activity and production system information. NRCS will request records when conducting field verification with pre-approved applicants. The designated conservationist does not need to collect, store, or re-calculate the data contained in the applicants records, but instead will examine the field conditions and records to determine whether or not they substantiate the CMT resource inventory information provided by the applicant during the application process. As covered in 508.76 C, NRCS will request written records and conduct on-site field verification to substantiate that the conservation activity and production system information represented by each approved applicant during the CMT resource inventory was accurate.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 11 \$69,668,057; FY 12 est \$72,966,000; and FY 13 Estimate Not Available. (Cooperative Agreements) FY 11 \$508,135,666; FY 12 est \$695,534,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

CSP payments to a person or legal entity may not exceed \$40,000 in any year and \$200,000 during any 5-year period. Each CSP contract will be limited to \$200,000 over the term of the initial contract period. The above limitations exclude funding arrangements with federally recognized Indian tribes or Alaska Native corporations as described in CPM 440, Part 508, Section 508.95(C). The program shall have a national average rate of \$18 per acre.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Congress authorized the enrollment of 12,769,000 acres for each fiscal year (FY) for the period beginning October 1, 2008, and ending on September 30, 2017. For fiscal years 2009 through 2012, CSP has been authorized 51,076,000 acres (four years multiplied by a 12,769,000 acre program cap per year). In the first sign up, 21, 281 applications were submitted covering approximately 33,000,000 acres.

**Regional or Local Office:**

See Regional Agency Offices. Consult the local telephone directory for location of the NRCS office. Directories can also be found under the contact us menu at [www.nrcs.usda.gov](http://www.nrcs.usda.gov).

**Headquarters Office:**

Jeffrey White USDA, NRCS  
Financial Assistance Programs Division  
14th and Independence Ave., SW  
Room 5239-S  
, Washington, District of Columbia 20250 Email: [Jeffrey.White@wdc.usda.gov](mailto:Jeffrey.White@wdc.usda.gov)  
Phone: 202-720-1844

**Website Address:**

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

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.912 Environmental Quality Incentives Program; 10.914 Wildlife Habitat Incentive Program; 10.917 Agricultural Management Assistance; 10.921 Conservation Security Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications which meet the sign-up criteria will be placed in an enrollment category until field verification against records is made, upon which applications will be funded in priority order until the available funds are exhausted.

## **10.925 AGRICULTURAL WATER ENHANCEMENT PROGRAM**

AWEP

### **FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

### **AUTHORIZATION:**

The Food Security Act of 1985, Public Law 99-198, 16 U.S.C 3801, as amended by The Food, Conservation, and Energy Act of 2008, Title II, Part Subtitle F, Section 2510, Public Law 110-234, 122 Stat. 1064, 16 U.S.C 3839aa-9.

### **OBJECTIVES:**

AWEP as part of the Environmental Quality Incentives Program, promotes ground and surface water conservation and improved water quality on agricultural lands. As authorized by Congress, this is not a grant program to eligible partners. This is a program whereby approved, eligible partners will enter into multi-year agreements with NRCS to promote ground and surface water conservation, or improve water quality on eligible agricultural lands.

### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

### **USES AND USE RESTRICTIONS:**

Technical assistance is provided for conservation planning, design and implementation of conservation practices for eligible participants. Financial assistance is provided for implementation of structural, and land management practices. Cost-share payments may be made to implement one or more eligible structural or vegetative practices. Incentive payments can be made to implement one or more land management practices.

### **Applicant Eligibility:**

Partners representing agricultural producers who face serious threats to soil, water, and related natural resources, or who need assistance with complying with Federal and State environment laws. A participant may be an owner, landlord, operator, or tenant of eligible agricultural lands or non-industrial forestlands. Limited resource producers, small-scale producers, social disadvantaged individuals, federally recognized Indian tribal governments, Alaska natives, and Pacific Islanders are encouraged to apply.

Eligible partners include: Federally recognized Indian Tribes, States, units of local government, agricultural or silvicultural associations or other groups of such producers, or other nongovernmental organization with experience working with agricultural producers.

### **Beneficiary Eligibility:**

To be eligible the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions and in compliance with the Adjusted Gross Income (AGI) payment limitations.

### **Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Under AWEP, the NRCS enters into partnership agreements with eligible entities and organizations that want to promote ground and surface water conservation or improve water quality on agricultural lands. After the Chief has announced approved AWEP project areas, eligible agricultural producers may submit a program application. Each fiscal year, NRCS may make AWEP financial and technical assistance available to eligible owners and operators of agricultural lands who participate in approved AWEP project areas.

Partners may assist NRCS by identifying producers in the project area. Partners may also assist producers in submitting applications for the program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For each program year the Natural Resources Conservation Service issues a request for proposals through the Federal Register. Application procedures are outlined in the request for proposals.

### **Award Procedure:**

For each program year the Natural Resources Conservation Service issues a request for proposals through the Federal Register. Award procedures are outlined in the request for proposals.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

For each program year the Natural Resources Conservation Service issues a request for proposals through the Federal Register. Application deadlines are outlined in the request for proposals.

### **Appeals:**

A participant may appeal any adverse determination to the Chief of the Natural Resources Conservation Service.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 75.%. Conservation practices may be eligible for conservation payments up to 75 percent of the total cost of establishing the practice including costs of foregone income. Limited resource producers, social disadvantaged producers and beginning farmers and ranchers may be eligible for payments up to 90 percent of the approved practice cost. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

An agricultural producer may apply directly to NRCS for financial or technical assistance to implement agricultural water enhancement activities. Producers who apply directly to NRCS must be eligible for EQIP and selected applications will be subject to applicable EQIP requirements. Eligible partners enter into multi-year agreements with NRCS to promote ground and surface water conservation, or improve water quality on eligible agricultural lands. AWEP is intended to leverage investment in natural resources conservation along with services and non-Federal resources of other eligible partners. Eligible partners include: Federally recognized Indian Tribes, States, units of local government, agricultural or silvicultural associations or other groups of such producers such as an irrigation association, an agricultural land trust, or other nongovernmental organization with experience working with agricultural producers. Method of awarding/releasing assistance: lump sum.

### **Reports:**

No program reports are required. No cash reports are required. Provide the NRCS agency representative with semi-annual and annual reports during the project period and a final project report that documents project accomplishments and goals achieved. No expenditure reports are required. Reports shall also address partner efforts to monitor and evaluate implementation of conservation activities included in NRCS program contracts within the approved project area.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Natural Resources Conservation Service makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of Inspector General, USDA.

### **Records:**

Partnership Agreements and producer contracts are maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 11 \$14,203,614; FY 12 est \$11,976,000; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$59,187,347; FY 12 est \$48,024,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Conservation payments are limited to a maximum payment limitation per producer of \$300,000 for the life of the 2008 Farm Bill.

Average contracts are estimated to be \$40,841.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Request for proposals are announced in the Federal Register. Related program manuals, handbooks and leaflets are issued by NRCS.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. For a list of NRCS State offices with telephone numbers and addresses, see appropriate Appendix IV of the Catalog. Information is available on the internet at <http://www.nrcs.usda.gov/programs/awep>.

**Headquarters Office:**

Ronald Harris Natural Resources Conservation Service  
PO Box 2890,  
1400 Independence Ave SW, Washington, District of Columbia 20050 Email:  
Ronald.Harris@wdc.usda.gov Phone: 202-720-1853

**Website Address:**

<http://www.nrcs.usda.gov/programs/awep>

**RELATED PROGRAMS:**

10.912 Environmental Quality Incentives Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Include high percentages of agricultural land and producers in a region or other appropriate area;
2. Result in high levels of applied agricultural water quality and water conservation activities;
3. Significantly enhance agricultural activity;
4. Allow for monitoring and evaluation by the partner;
5. Assist agricultural producers in meeting a regulatory requirement that reduces the economic scope of the producers operation;
6. Achieve the projects land and water treatment objectives within 5 years or less;
7. Are from States with water quantity concerns where the proposal will:
  - a. Include conservation practices that support the conversion of agricultural land from irrigated farming to dryland farming;
  - b. Leverage Federal funds provided under the program with funds provided by partners;
  - c. Assist producers in States with high priority water quantity concerns, as determined by the agency. The high priority areas are located in the following regions: Eastern Snake Plain Aquifer, Everglades, Ogallala Aquifer, Puget Sound, Red River, Sacramento River Basin, and Upper Mississippi River Basin.
- d. Include other factors and criteria as approved by the agency which help identify those proposals which best achieve the purposes of AWEP.

**10.926 CHESAPEAKE BAY WATERSHED PROGRAM  
(CBWP)**

**FEDERAL AGENCY:**

Natural Resources Conservation Service, Department of Agriculture

**AUTHORIZATION:**

The Food Security Act of 1985, Title , Part , Public Law 99-198, U.S.C , as amended by The Food, Conservation, and Energy Act of 2008 , Title II, Part Subtitle G, Section 2605, Public Law 110-234, 122 Stat. 1064, 16 U.S.C 3839bb.

**OBJECTIVES:**

The Chesapeake Bay Watershed Program (CBWP) helps agricultural producers improve water quality and quantity, and restore, enhance, and preserve soil, air, and related resources in the Chesapeake Bay Watershed through the implementation of conservation practices. These conservation practices reduce soil erosion and nutrient levels in ground and surface water; improve, restore, and enhance wildlife habitat; and help address air quality and related natural resource concerns. CBWP encompasses all tributaries, backwaters, and side channels, including their watersheds, draining into the Chesapeake Bay.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The Natural Resources Conservation Service (NRCS), an agency of the United States Department of Agriculture, uses CBWP funds to enter into contracts with eligible producers to share the costs of the applicable conservation treatment on agricultural lands in the Chesapeake Bay Watershed. NRCS provides payments for approved conservation practices and systems and land use adjustments within a time schedule specified by the conservation plan. The CBWP contracts may be modified to increase funds provided the increased cost is the result of a valid contract modification within the original contract scope and intent. The modification must follow the rules of the conservation program used to apply the conservation treatment.

**Applicant Eligibility:**

Only agricultural producers owning or operating within the Chesapeake Bay Watershed are eligible to participate in CBWP. In addition, NRCS applies the eligibility requirements of the particular natural resource program used to implement CBWP (e.g., the Environmental Quality Incentives Program (EQIP) (16 U.S.C. 3839aa et seq.), the Wildlife Habitat Incentives Program (WHIP) (16 U.S.C. 3839bb-1)). Limited resource producers, small-scale producers, beginning farmers and ranchers, socially-disadvantaged producers, and federally recognized Indian tribes are encouraged to apply.

**Beneficiary Eligibility:**

To be eligible, the agricultural producers must be in compliance with highly erodible land and wetland conservation provisions at 7 CFR part 12, and in compliance with the Adjusted Gross Income (AGI) payment limitations at 7 CFR part 1400.

**Credentials/Documentation:**

Evidence that applicant has control over land to be entered into contract and submits an acceptable conservation plan for the farm or ranch unit of concern that incorporates needed natural resource conservation practices and provide either a social security number or individual tax identification number of all proposed beneficiaries. Applicants claiming either limited resource producer or beginning farmer classification may be asked to provide documents to justify their claim. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Program participation is voluntary. The applicant applies to NRCS at the local USDA Service Center on Form NRCS-CPA-1200. Applications may be filed at any time during the year. The participant develops a CBWP plan of operations that identifies what conservation practices they are proposing to implement. Technical assistance and conservation payments may be provided to apply needed conservation practices and land use adjustments within a time schedule



specified by the conservation CBWP plan of operations. A contract with a participant may apply one or more land management practices or one or more structural practices.

**Award Procedure:**

NRCS applies the ranking and selection requirements of the particular natural resource program used to implement CBWP (e.g., EQIP, WHIP). NRCS will give special consideration to applicants that address priority natural resource concerns designated. Applications will be periodically ranked and selected for funding based on locally developed ranking process. The ranking criteria of the various Farm Bill program can be found at <http://www.nrcs.usda.gov/programs>.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 10 to 60 days.

**Appeals:**

A participant may appeal any adverse determination to the State Conservationist.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 75.%. Matching requirements for CBWP follow the rules for the particular natural resource program used to implement CBWP (e.g., EQIP, WHIP). Typically, conservation practices may be eligible for conservation payments up to 75 percent of the total cost of establishing the practice including costs of foregone income. Limited resource producers, social disadvantaged producers and beginning farmers and ranchers may be eligible for payments up to 90 percent of the approved practice cost. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

CBWP contract lengths and implementation schedules will follow the rules for the particular natural resource program used to implement CBWP (e.g., EQIP, WHIP). Obligations for assistance are tied to the schedule for applying conservation practices included in the CBWP plan of operations conservation plan used as the basis for the contract. Payments are made when the participant and NRCS certify that conservation practice is completed in accordance with NRCS standards and specifications. Technical assistance may be provided by a certified Technical Service Provider (TSP) in accordance with 7 CFR part 652. The participant may not engage a TSP prior to contract approval. This assistance will be reimbursed based upon applicable TSP payment rates. These payments will be made after the services of the certified TSP have been provided in accordance with NRCS standards and specifications. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. NRCS makes periodic random reviews of the operation and maintenance of the contract items during the life span of the conservation practice. Participants are subject to audit by the Office of the Inspector General, USDA.

**Records:**

Records are maintained in local NRCS office and Federal record centers for specified number of years.

**Account Identification:**

12-1004-0-1-302.

**Obligations:**

(Salaries) FY 11 \$12,459,412; FY 12 est \$8,938,700; and FY 13 Estimate Not Available. (Direct Payments for Specified Use) FY 11 \$60,072,994; FY 12 est \$43,052,200; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Conservation payments are limited to the rules for the particular natural resource program used to implement CBWP (e.g., EQIP, WHIP). Average contract payments are estimated to be \$22,500 (source: NRCS ProTracts 10/02/2009).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The CBWP is carried out through natural resources conservation programs authorized under Subtitle D, Title XII of the Food Security Act of 1985, 16 U.S.C. 3830-3839bb-5. Contact the local USDA Service Center Office to find out which programs are being offered. The CBWP is announced in the six Chesapeake Bay Watershed states (Delaware, Maryland, New York, Pennsylvania, Virginia, and West Virginia) through news media and in announcements to agricultural producers, farm and ranch owners and operators in the county. Program manuals, handbooks, and leaflets are issued by NRCS.

**Regional or Local Office:**

See Regional Agency Offices. For more information on this and other related conservation programs, consult the local telephone directory where your land is located for location of the USDA service center. A list of NRCS State offices with telephone numbers and addresses is available on the internet at <http://www.nrcs.usda.gov/about/organization/regions.html>.

**Headquarters Office:**

Mark Rose 1400 Independence Ave, SW  
South Building, Room 6238, Washington, District of Columbia 20013 Email: Mark.Rose@wdc.usda.gov Phone: (202) 690-2621

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

10.069 Conservation Reserve Program; 10.902 Soil and Water Conservation; 10.912 Environmental Quality Incentives Program; 10.913 Farm and Ranch Lands Protection Program; 10.914 Wildlife Habitat Incentive Program; 10.920 Grassland Reserve Program; 10.924 Conservation Stewardship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be periodically ranked and selected for funding based on: the environmental benefits per dollar expended; the cost-effectiveness of the conservation practices; the environmental benefits derived; extent to which the contract will assist the applicant in complying with Federal, State, tribal or local environmental laws; whether the land is located in a priority area and the extent the contract will assist the priority area goals and objectives.

**10.950 AGRICULTURAL STATISTICS REPORTS**

(Agricultural Estimates)

**FEDERAL AGENCY:**

National Agricultural Statistics Service, Department of Agriculture

**AUTHORIZATION:**

5 U.S.C. 3109; 7 U.S.C. 411, 411a, 411b, 427, 471, 475, 476, 501, 951, 953, 955-957; 7 U.S.C. 1621-1623, 1623a, 1624-1627; 7 U.S.C. 2201, 2202, 2204g, 2225, 2248, 3103, 3311, 3504; 13 U.S.C. 142a, 142b; 18 U.S.C. 1902, 1905, 2072; 42 U.S.C. 1891-1893; 44 U.S.C. 3501-3511; 50 U.S.C. 2061 et seq, 2251 et seq.

**OBJECTIVES:**

To formulate, develop, and administer programs for collecting and publishing statistics related to agriculture, resources, and rural communities.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Copies of publications of estimates and reports of production, supply, price and other aspects of the agricultural economy are available to anyone without restriction. Publications are provided free to survey respondents, press, Congress, and, many current publications and all data products are also available for free on the NASS Internet World Wide Website: <http://www.usda.gov/nass/>. Other publications are available to all others on a subscription basis.

**Applicant Eligibility:**

Farmers and agricultural producers, marketing and processing groups, transportation and handler groups, consumers, State governments, educational institutions, and the general public including those located in the U.S. Territories.

**Beneficiary Eligibility:**

Farmers and agricultural producers, marketing and processing groups, transportation and handler groups, consumers, State governments, educational institutions, and the general public including those located in the U.S. Territories.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Request for technical information only may be made to the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: In accordance with the terms and conditions of the award.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

12-1801-0-1-352.

**Obligations:**

(Salaries) FY 11 \$156,447,478; FY 12 est \$158,616,000; and FY 13 est \$179,477,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Agricultural Statistics Board catalog (annual listing of reports available by subscription issued by Agricultural Statistics Board), no charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV for addresses of National Agricultural Statistics Service State Statistical Offices.

**Headquarters Office:**

Marlo Johnson 1400 INDEPENDENCE AVENUE, S.W., 5041A, WASHINGTON, District of Columbia 20250 Email: [mjohnson@nass.usda.gov](mailto:mjohnson@nass.usda.gov) Phone: (202)720-4415 Fax: 2027209013

**Website Address:**

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

**RELATED PROGRAMS:**

10.153 Market News; 10.250 Agricultural and Rural Economic Research; 10.700 National Agricultural Library; 11.001 Census Bureau Data Products; 11.110 Manufacturing and Services; 17.003 Prices and Cost of Living Data

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**10.960 TECHNICAL AGRICULTURAL ASSISTANCE**

Technical Agricultural Assistance - OCBF Reimbursable International Capacity Building and Development Assistance Programs

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended; Food and Agriculture Act of 1977., Public Law 095-113, 91 Stat. 113, 7 U.S.C 3318-3319a-3291.

**OBJECTIVES:**

To identify and apply the most appropriate solutions to international agricultural problems and increase the capabilities of U.S. educational institutions and nonprofit agencies in agricultural technical assistance and research.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Cost-reimbursable and cooperative agreements are used to fund projects dealing with various aspects of agricultural technical assistance. No funding is available for unsolicited proposals.

**Applicant Eligibility:**

U.S. institutions of higher learning, and public and private/nonprofit organizations whose primary purpose is agriculture, natural resources management and/or rural development (including those located in U.S. territories).

**Beneficiary Eligibility:**

Technical assistance provided through these reimbursable agreements benefit foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular Nos. A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Nonprofit Organizations. This program is not subject to the provisions of OMB Circular No. A-87, Cost Principles for State, Local and Indian Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit requests for proposal packages, which include specific information on requirements, to USDA/FAS/OCBD (see below). This program is subject to the provisions of OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations. This program is not subject to the provisions of OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments.

**Award Procedure:**

Proposals are evaluated by a technical review panel, which rates the qualifications of applicants and the merit of proposal.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Not available.

**Appeals:**

From 30 to 60 days.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. Generally, cost-reimbursable and cooperative agreements are funded for variable lengths of time, depending on the technical assistance requested. See the following for information on how assistance is awarded/released: Cost Reimbursable.

**Reports:**

No program reports are required. No cash reports are required. Performance progress reports shall not be required more frequently than quarterly or, less frequently than annually. Annual reports shall be due 90 calendar days after the award year; quarterly or semiannual reports shall be due 30 days after the reporting period. FAS may require annual reports before the anniversary dates of multiple year agreements in lieu of these requirements. The final performance reports are due 90 calendar days after the expiration or termination of the period of agreement.

Cooperators shall report using standard form, SF-PPR, Performance Progress Report, or SF-RPPR, Research Performance Progress Report, as applicable. FAS shall require cooperators to report the status of funds as approved in the budget for the cost reimbursable agreement on the SF-425, Federal Financial Report, and an itemization of actual dollar amounts expended on the project during the reporting period (in line with the approved budget). FAS shall determine the frequency of the Federal Financial Report for each project or program, considering the size and complexity of the particular project or program. However, the report shall not be required more frequently than quarterly or less frequently than annually. A final report shall be required at the completion of the agreement. Performance progress reports shall not be required more frequently than quarterly or, less frequently than annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Cooperators and sub cooperators that are institutions of higher education are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 75017507) and revised OMB Circular A133, Audits of States, Local Governments, and

Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by FAS.

**Account Identification:**

12-3200-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$36,082,324; FY 12 est \$54,625,310; and FY 13 est \$54,625,310

**Range and Average of Financial Assistance:**

\$5000 - \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Programs currently include provision of technical assistance for expanding the use of effective program management concepts and technologies in developing countries to promote food security; guidance on natural resources management policy, procedures and techniques; trade capacity building; animal and plant health, food safety, post-disaster and post-conflict reconstruction; and integrated approaches to international agricultural development, market information systems and environmental protection. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Sheikh 1400 Independence Avenue S.W. Room 3008 S, Washington, District of Columbia 20250 Email: pat.sheikh@fas.usda.gov Phone: 202-720-6887 Fax: 202-720-0069

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Development of effective management concepts and methodologies for implementation of international agricultural development, natural resources management, food security, trade capacity building, plant and animal health programs. Reconstruction, stabilization and disaster assistance activities in Afghanistan, Ghana, Haiti, Iraq, Kenya and Pakistan, emphasizing watershed rehabilitation, extension, food safety, and food security. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities determined by the Foreign Agricultural Service's Office of Capacity Building and Development (FAS/OCBD) program area and its collaborators, especially the U.S. Agency for International Development (USAID), Department of State (DOS) and Department of Defense (DOD). Contact FAS/OCBD for additional information. This program does not fund unsolicited proposals.

**10.961 SCIENTIFIC COOPERATION AND RESEARCH**

Scientific Cooperation Research Program

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

National Agricultural Research, Extension, and Teaching Policy Act of 1977 enacted as Title XIV of the Food and Agriculture Act of 1977, 7 U.S.C. 3319(a), 7 U.S.C. 3318(b), and 3291. Title 7, Agriculture, Chapter 64, Agricultural Research, Extension, and Teaching, Subchapter VIII, International

Research, Extension, and Teaching, as amended on February 1, 2010., Public Law 095-113.

**OBJECTIVES:**

To leverage resources with domestic and international counterparts in order to advance cooperative research, education, and extension in agriculture.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds under the Scientific Cooperation Research Program may be used for direct costs of conducting approved research projects. Allowable expenses include travel for research, extension, and training purposes, supplies, equipment, and indirect costs necessary to implement the research projects. Funds may not be used to pay for tuition, sabbaticals, or expenses solely for conferences. FAS may enter into a Federal financial assistance cost reimbursable agreement awarded under the authority of 7 U.S.C. 3319(a) where funds may be used for direct costs of conducting approved research projects. Allowable expenses include travel for research, extension, and training purposes, supplies, equipment, and indirect costs necessary to implement the research projects. Funds may not be used to pay for tuition, sabbaticals, or expenses solely for conferences.

FAS may enter into a Federal financial assistance joint venture agreement awarded under the authority of 7 U.S.C. 3318(b), which may include funds that are available for the necessary administrative expenses of agricultural research, extension, or teaching activities, as long as the source of funding does not place a restriction that would otherwise limit FAS from utilizing this authority.

FAS may enter into a Federal financial assistance grant or cooperative agreement awarded under the authority of 7 U.S.C. 3291(a), whose primary purpose is international agricultural research, extension, and teaching activities.

No funding is available for unsolicited proposals.

**Applicant Eligibility:**

U.S. institutions from the public, private, and academic sectors.

**Beneficiary Eligibility:**

U.S. Institutions of higher learning, and public and private nonprofit organizations whose primary purpose is agriculture, natural resources management and/or rural development (including those located in U.S. territories).

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circulars A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Nonprofit Organizations. This program is excluded from coverage under OMB circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Program guidelines with detailed application procedures are available on the internet through the USDA Foreign Agricultural Service website at : <https://www.fas.usda.gov/icd/grants/scrp.htm> or through [Grants.gov](https://www.grants.gov), a government wide internet portal for federal funding. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Program guidelines with detailed application procedures are available on the internet through the USDA Foreign Agricultural Service website at : <https://www.fas.usda.gov/icd/grants/scrp.htm> or through [Grants.gov](https://www.grants.gov), a government wide internet portal for federal funding.

**Award Procedure:**

All proposals are evaluated by technical specialists on an ongoing basis, which rate the qualifications of applicants and merits of the proposals. Selection criteria will be published with each individual request for applications to participate in this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Extensions may be authorized, but the agreement may not exceed five years.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula.

This program does not have MOE requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. Agreements are entered into with select institutions for a maximum of five years. See the following for information on how assistance is awarded/released: Assistance is phased according to the requirements of individual projects. Agreements are entered into with select institutions for a maximum of five years.

**Reports:**

Participant must submit project reports quarterly. The SF-425, Federal Financial Report, are required quarterly. Progress reports are required quarterly and should provide detailed information on the status of the project (e.g. objectives accomplished, unforeseen barriers, necessary changes to the scope of work). The SF-425, Federal Financial Report, are required quarterly. Participants must include a monitoring and evaluation component in the proposal. Monitoring and evaluation varies per project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 7 CFR 3052.

**Records:**

Typically, a recipient must maintain all program and financial records for a period of 3 years subject to conditions found in 7CFR 3015.21 and 7CFR3015.22.

**Account Identification:**

12-2900-0-1-352.

**Obligations:**

(Cooperative Agreements) FY 11 \$196,095; FY 12 est \$125,000; and FY 13 est \$125,000

**Range and Average of Financial Assistance:**

Research projects not to exceed two years. The approximate average per project is \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Estimated to support four (4) research projects in 4 countries. Fiscal Year 2012: Estimated to support four (4) research projects in 4 countries. Fiscal Year 2013: Estimated to support four (4) research projects in 4 countries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 USC 3319(a), 3318(b), and 3291 are subject to various legal requirements that are codified in the U.S. C., parts of the CFR, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources. These transactions are subject to many specific legal requirements, when applicable, including but not limited to the following:

- (a) 7 CFR part 3015, Uniform Federal Assistance Regulations;
- (b) 7 CFR part 3016, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local Governments;
- (c) 7 CFR 3022, Research Institutions Conducting USDA-funded Extramural Research; Research Misconduct;
- (c) 2 CFR part 25 Universal Identifier and Central Contractor Registration;
- (d) 2 CFR part 170, Reporting Subaward and Executive Compensation Information;
- (e) 2 CFR part 175, Award Term for Trafficking in Persons;
- (f) 2 CFR part 180 and part 417, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) and (USDA) Nonprocurement Debarment and Suspension;
- (g) 2 CFR part 182, Governmentwide Requirements for Drug-Free Workplace (Financial Assistance).
- (h) 2 CFR part 215, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations;
- (i) 2 CFR part 220, Cost Principles for Educational Institutions (OMB Circular A-21);
- (j) 2 CFR part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87);
- (k) 2 CFR part 230, Cost Principles for Non-profit Organizations;
- (l) Federal Acquisition Regulations 31.2 (for profit cost principles);
- (m) Executive Order 13224, as amended, Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism;
- (n) OMB Circular A-133, as codified in 7 CFR part 3052, Audits of States, Local Governments, and Nonprofit Organizations;
- (o) 7 CFR part 3015.175(b), Copyrights;
- (p) 41 U.S.C. 351 358, the McNamara-O'Hara Service Contract Act of 1965
- (q) 37 CFR part 401.1, Bayh-Dole Act (inventions);
- (r) 15 U.S.C. 205a et seq., The Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act;
- (s) 42 U.S.C. 6962, Resource Conservation and Recovery Act (RCRA);
- (t) 49 U.S.C. 40118 et seq., Fly America Act;
- (u) 8 USC 1324a, Immigration and Nationality Act;
- (v) 5 U.S.C. 552, Freedom of Information Act and 7 CFR 3011, Availability of Information to the Public;
- (w) Executive Order 13513, Federal Leadership on Reducing Text Messaging While Driving;
- (x) 41 U.S.C. 22, Interest of Members of Congress;
- (y) 40 U.S.C. 3141-3148, the DavisBacon Act.

**Regional or Local Office:**

None.

**Headquarters Office:**

Khaliaka Meardry USDA/FAS/OCBD/TSED, 1400 Independence Ave. SW, Room 3224-S, Washington, District of Columbia 20250 Email: Khaliaka.Meardry@fas.usda.gov Phone: (202) 690-1866.

**Website Address:**

<http://www.fas.usda.gov/icd/grants/scrp.htm>.

**RELATED PROGRAMS:**

10.777 Norman E. Borlaug International Agricultural Science and Technology Fellowship; 10.962 Cochran Fellowship Program-International Training-Foreign Participant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Estimated to support four (4) research projects in 4 countries. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development program area (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD/TSED/SEB/SCRIP for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit

statements of capability and expressions of interest.

**10.962 COCHRAN FELLOWSHIP PROGRAM-INTERNATIONAL TRAINING-FOREIGN PARTICIPANT**

**FEDERAL AGENCY:**

Foreign Agricultural Service, Department of Agriculture

**AUTHORIZATION:**

The legislative authority for the Cochran Fellowship Program is provided in Section 1543 of the Agriculture Development and Trade Act of 1990 (7 U.S.Code 3293) as amended in 1996. National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, 7 U.S.C. 3318, and 3319(a).

**OBJECTIVES:**

To provide high quality training resulting in knowledge and skills that will assist eligible countries to meet the food needs of their domestic populations; and to strengthen and enhance trade linkages between eligible countries and agricultural interests in the United States.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements); Project Grants

**USES AND USE RESTRICTIONS:**

No funding is available for unsolicited proposals. Cochran Program funds are used for projects involved with international training activities, including course development and/or evaluation.

**Applicant Eligibility:**

The Cochran Program solicits proposals from U.S. institutions of higher education, nonprofit organizations, U.S. agricultural trade and market development associations, and on occasion private consultants.

**Beneficiary Eligibility:**

Technical assistance provided through these agreements benefits foreign governments and related agricultural institutions in their countries.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circulars A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Nonprofit Organizations. This program is excluded from coverage under OMB circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications solicited by the Cochran Program should include a scope of work, budget, time frame and expected results. This program is subject to the provisions of OMB Circular No. A-110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations, and OMB Circulars A-21, Cost Principles for Educational Institutions. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

All proposals are evaluated by technical specialists, which rate the qualifications of applicants and merits of the proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be authorized.

**Formula and Matching Requirements:**

This program has no statutory formula.  
 This program has no matching requirements.  
 This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is phased according to the requirements of individual projects. See the following for information on how assistance is awarded/released:  
 Assistance is awarded by means of cost-reimbursable agreements (primarily), cooperative agreements, or on occasion joint venture agreements.

**Reports:**

Training evaluation reports may be required. Participant evaluations are required and most programs require development of post-training action plans. Cash reports are not applicable. Progress reports are not applicable. FAS shall require cooperators to report on a quarterly basis the status of funds as approved in the budget for the cost reimbursable agreement on the SF-425, Federal Financial Report, and an itemization of actual dollar amounts expended on the project during the reporting period (in line with the approved budget). Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

Program and financial records are kept in the Department.

**Account Identification:**

12-3200-0-1-352.

**Obligations:**

(Salaries) FY 11 \$2,823,400; FY 12 est \$72,000; and FY 13 est \$72,000 - Primarily reimbursable agreements with Universities.

**Range and Average of Financial Assistance:**

Range during FY11: \$1200 to \$193,500  
 Average during FY11: \$37,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Estimated number of Cochran Fellows to be trained in FY 2011 is approximately 500 from 70 countries. Fiscal Year 2012: Estimated number of Cochran Fellows to be trained in FY 2012 is approximately 450 from 70 countries. Fiscal Year 2013: Estimated number of Cochran Fellows to be trained in FY 2013 is approximately 450 from 70 countries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal financial assistance transactions under 7 USC 3293, 3319(a), and 3318(b) are subject to various legal requirements that are codified in the U.S.C., 7 CFR 3015, Executive Orders, Treasury Financial Manual bulletins, and other legally binding sources.

**Regional or Local Office:**

None.

**Headquarters Office:**

Scott J. Lewis 1400 Independence Ave SW, Washington, District of Columbia 20250 Email: Scott.Lewis@fas.usda.gov Phone: 2026901734 Fax: 2026900349

**Website Address:**

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

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Topics are identified and prioritized each year by the FAS overseas offices. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are dependent upon identification of specific project requirements and program priorities developed by the Foreign Agricultural Service's Office of Capacity Building and Development (FAS/OCBD), in consultation with collaborating agencies and organizations. Contact FAS/OCBD for additional information. While this program does not fund unsolicited proposals, interested parties are welcome to submit statements of capability and expressions of

interest.

**DEPARTMENT OF COMMERCE****11.008 NOAA MISSION-RELATED EDUCATION AWARDS****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Navigation and Navigable Waters, 33 U.S.C 893 a(a), as amended by America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science Reauthorization Act of 2010 ("America COMPETES Reauthorization Act of 2010"), Public Law 111-358.

**OBJECTIVES:**

The objectives of the overall program are to facilitate educational activities related to NOAA's mission.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

To provide funds to support educational activities and studies related to NOAA's mission. Funds may not be used for construction of facilities. Individual Federal Funding Opportunities may have additional restrictions on the use of funds, other than those mandated for grants and cooperative agreements. These awards are funded through annual appropriations to the Office of Education, but may also be funded through other agency programs and offices at their discretion.

**Applicant Eligibility:**

Eligible applicants include federal, state, and local governments, tribal entities, universities and colleges, nonprofit and for-profit organizations and/or individuals. Individual Federal Funding Opportunities may have more restrictive eligibility requirements.

**Beneficiary Eligibility:**

This program benefits other Federal, state, and local governments, tribal entities, public and private universities and colleges, for-profit and nonprofit organizations, and the general public. Individual Federal Funding Opportunities may have more restrictive eligibility requirements.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including standard and special award conditions for financial assistance. Recipients are required to use the Central Contractor Registration and Dun and Bradstreet Universal Numbering System and be subject to reporting requirements, as identified in OMB guidance published at 2 CFR Parts 25, 170 (2010):

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr25\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr25_main_02.tpl)  
 and

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications, and in some cases preliminary applications, are submitted through Grants.gov. Applicants will need to enter the Funding Opportunity and/or CFDA number to access the applications package and instructions. Application package will then be submitted directly to the Program Office. This program is subject to the provisions of 15 CFR 24, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 15 CFR 14, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations. For guidelines, see the specific funding opportunity.

**Award Procedure:**

Applications will undergo an administrative review and a technical review based on NOAA standardized evaluation criteria. For each project recommended for funding under this program, NOAA must analyze the potential environmental impacts of a projects as required under the provisions of the National Environmental Policy Act, 40 CFR 1500. See the funding opportunity announcement for further NEPA guidance. NOAA reserves the right to withhold the awarding of a grant or cooperative agreement to any individual or organization delinquent on a debt to the Federal government until payment is made or satisfactory arrangements are made with the agency to which the debt is owed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Approval time is expected to range from 180 to 240 days from the time of receipt of a complete application. This timeframe includes processing the award through NOAA and DOC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce/NOAA and contingent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Programs vary with regard to the required level of cost-sharing. Requirements are provided in the Federal Funding Opportunity announcement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to five years. The funding is spent during the award's period of performance unless otherwise negotiated between the recipient and NOAA and approved by the NOAA Grants Management Division. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports are submitted semi-annually or as otherwise required under special award conditions. Performance reports summarize work accomplished, relate the progress to the original approved application and timeliness, explain situations where expected work has not been completed, and request modifications to the project plan as necessary. Reports will be submitted through NOAA's Grants Online System. Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports are submitted semi-annually or as otherwise required under special award conditions. Performance reports summarize work accomplished, relate the progress to the original approved application and timeliness, explain situations where expected work has not been completed, and request modifications to the project plan as necessary. Reports will be submitted through NOAA's Grants Online System. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained in accordance with the terms of the award. The recipient must retain records for 3 years from the date with the final financial status report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$3,680,941; FY 12 est \$4,280,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards typically range from \$100,000 to \$1,500,000 under the competitive process, with an average award amount of approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The following audiences and institution types were served by NOAAs mission-related educational awards:

8 Post-secondary Institutions

24 Informal Education institutions and organizations

4M Pre-Kindergarten to 12th grade students;

390,000 PreK-12 teachers;

2900 informal education staff;

28.1M adult learners in informal science education contexts. Fiscal Year 2012:

An estimated 11% of applications will be awarded from competitions run in FY11 and FY12. These projects will support professional development of K-12 teachers, service learning for K-12 students, and capacity building of informal science educators in fields related to NOAAs mission. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Commerce Grants and Cooperative Agreements Regulations.

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for non-profit and for-profit organizations; OMB Circular A-21 for institutions of higher education. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments For programmatic information on past and current funding opportunities, visit <http://www.oesd.noaa.gov/grants/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Education HCHB 6863

1401 Constitution Avenue, NW, Washington, District of Columbia 20230

Phone: 202-482-3384

**Website Address:**

<http://www.oesd.noaa.gov>

**RELATED PROGRAMS:**

11.481 Educational Partnership Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No new awards were made in FY11, but continuing awards in FY10 supported projects that enhance museum exhibits using data visualization, expand citizen science networks using emerging technologies, develop family programs for underserved/underrepresented audiences, and enhance teen environmental education programs. Fiscal Year 2012: We anticipate funding approximately 12 new awards in FY12 that will support K-12 teacher professional development, instructional materials development, service learning projects for K-12 students, professional development of informal science educators at aquariums, zoos and museums, and environmental education research. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will undergo an administrative review and a technical merit review based on NOAA standardized evaluation criteria. NOAA standardized selection factors may also be used in making the final selection.

#### **11.011 OCEAN EXPLORATION**

##### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

##### **AUTHORIZATION:**

Omnibus Public Lands Management Act of 2009, Title XII, Public Law 111-11.

##### **OBJECTIVES:**

To explore the Earth's largely unknown oceans in all their dimensions for the purpose of discovery and the advancement of knowledge, using state of the art technologies in evolutionary and revolutionary ways within Oceanic and Atmospheric Research (OAR).

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

Cooperative agreements and grants may be used for research and development, education and training, and advisory services. They may also be used for operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants and cooperative agreements are evaluated on an individual program basis.

##### **Applicant Eligibility:**

As stated in NOAA special announcements or applicable reports in support of NOAA's mission.

##### **Beneficiary Eligibility:**

Organizations and individuals with interests in support of managing effectively the Nation's ocean exploration resources.

##### **Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

##### **Award Procedure:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the Office of Oceans and Atmospheric Research.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

The range varies from 90 to 180 days from the time of proposal submission to NOAA.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Renewals are conducted by negotiation with the OAR/OER and subject to availability of funds.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

##### **Length and Time Phasing of Assistance:**

Assistance is available one to three years based on availability of funding. Restrictions are contained in the DOC Grants and Cooperative Agreements Manual. See the following for information on how assistance is awarded/released: For those organizations not having ASAP capability, direct deposit to banking institution is allowed.

##### **Reports:**

Progress reports require program information. Required every six months. Progress interim reports every six months and a final report at the end of the award period. Required as part of the interim and final progress reports. No performance monitoring is required.

##### **Audits:**

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

##### **Records:**

Recipients are expected to maintain complete records for each grant and/or cooperative agreement to ensure funds are used for the purpose for which the award was made.

##### **Account Identification:**

13-1450-0-1-306.

##### **Obligations:**

(Project Grants) FY 11 \$4,257,231; FY 12 est \$4,739,000; and FY 13 est \$6,600,000

##### **Range and Average of Financial Assistance:**

Grants and cooperative agreements are awarded as applicable. For example, the Ocean Exploration Science Program sponsors competitive, peer-reviewed exploration projects to collaborate with and augment NOAA intramural research programs.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

NOAA Grants and Cooperative Agreements Policy Manual. Allowable cost will be determined in accordance with 2 CFR 225 for State and local governments and Indian Tribes; 2 CFR 230 for nonprofit and for-profit organizations; 2 CFR 220 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

##### **Regional or Local Office:**

See Regional Agency Offices. Satellite Offices in Narragansette, Rhode Island; Charleston, South Carolina; Seattle, Washington.

##### **Headquarters Office:**

Director 1315 East-West Highway, Room 10210, Silver Spring, Maryland 20910 Phone: (301) 734-1010

##### **Website Address:**

<http://www.explorer.noaa.gov>

##### **RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes

##### **EXAMPLES OF FUNDED PROJECTS:**



Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the Office of Oceans and Atmospheric Research.

**11.012 INTEGRATED OCEAN OBSERVING SYSTEM (IOOS)**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Integrated Coastal and Ocean Observation System Act of 2009, 33 U.S.C 3601-3610.

**OBJECTIVES:**

To support projects aimed at the development and sustainability of a national and international integrated ocean observing system designed to collect, monitor and disseminate marine environment data in an interoperable, reliable, timely and user-specified manner by leveraging federal, regional and private-sector partnerships.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

IOOS is working to link national and regional observations, data management and modeling to provide required data and information on local to global scales. Assistance will be used to deliver the data and information needed to increase understanding of our oceans, coasts and great lakes, so decision makers can take action to improve safety, enhance the economy, and protect the environment. Uses will be in the following areas (1) Observations; (2) Data Management; (3) Modeling; (4) Research and Development; and (5) Education and Outreach. TBD.

**Applicant Eligibility:**

Organizations and individuals with professional expertise in the sciences, engineering and economics that demonstrate how participation in the IOOS effort builds on and furthers the progress of observing system development funded by this agency.

**Beneficiary Eligibility:**

Organizations and individuals with professional expertise in the sciences, engineering and economics that demonstrate how participation in the IOOS effort builds on and furthers the progress of observing system development funded by this agency.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circulars (1) A-21 for agreements with education institutions; (2) A-87 for State and local governments; and (3) A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are made on the basis of proposals evaluations, technical reviews and administrative reviews, if applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

: Approximately 150 to 210 days after the proposal submission deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Extension requests will be considered by the federal program office only if the recipient has submitted all required performance reports. At least sixty days prior to the end of the award, recipients must discuss with their federal program officer expected reprogramming and extensions requests. After preliminary negotiation on proposed projects and extensions, formal written reprogramming and extension requests should be received by the federal program office 45 days prior to the end date of the award. The federal program office will not recommend approval for any retroactive extension request (received after the end date of the award). Recipients should make every effort to submit one extension request for all projects needing an extension (when possible, multiple extension requests should be avoided). With sufficient justification, the federal program office will recommend approval of a six-month extension for the first extension request. First time or cumulative extension requests for more than six months but less than 12 months, will need more compelling justification as to why the project was not completed on time or could not be completed within the first six-month extension. Although the federal program office discourages extensions of more than 12 months, the federal program office will recommend approval in cases where the funds are already obligated. Renewal of an award to increase funding or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support for projects may be provided for periods up to 5 years in annual increments. See the following for information on how assistance is awarded/released: Funds are released as required and agreed to in the Standard Terms and Conditions document applicable to each grant.

**Reports:**

No program reports are required. No cash reports are required. The Federal Financial Report, Standard Form (SF) 425, and Performance Progress Reports are required semi-annually. No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Records will be retained in accordance with 15 CFR Parts 14 and 24 for institutions of higher education, other non-profit organizations, and for State and local government.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$21,327,582; FY 12 est \$22,871,350; and FY 13 est \$29,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In collaboration with the National Oceanographic Partnership Program (NOPP), U.S. IOOS and partnering agencies National Aeronautics and Space Administration (NASA), Office of Naval Research (ONR) and the

U.S. Department of Energy (DOE) requested proposals to continue the development of a fully integrated, operational coastal and ocean observing system. Additionally, proposals were solicited for several related topic areas such as sensor verification and validation, sea surface temperature and renewable energy. A total of 29 proposals were received of which 14 were funded resulting in 3 or 5 year cooperative agreements. Fiscal Year 2012: Continued implementation and development of the regional coastal, ocean and Great Lakes component of U.S. IOOS under the 3 or 5 year cooperative agreements. Fiscal Year 2013: The ICOOS Act required the creation of certification criteria to establish eligibility for integration into the U. S. IOOS. These criteria assure the necessary policies, standards, data, information, and services associated with IOOS are appropriately established, coordinated, overseen and enforced. It is anticipated that the eleven Regional Associations will develop and submit the necessary documentation, via the cooperative agreements established in FY2011, to apply for and be certified as U.S. IOOS Regional Information Coordination Entities under the ICOOS Act.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments. Further guidelines are outlined in Department Administrative Order 203-36, dated May 15, 1985 (Department of Commerce Grants Administration) and also the NOAA Grants and Cooperative Agreement Policy Manual.

#### **Regional or Local Office:**

See Regional Agency Offices.

#### **Headquarters Office:**

Zdenka Willis Zdenka Willis, Director, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2420

Suzanne Skelley, Deputy Director, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2424

Capt. James. Verlaque, Director, Regional and External Affairs Division, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2443

Regina Evans, Federal Program Officer, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2422

Gabrielle Canonico, Technical Program Officer, NOAA Integrated Ocean Observing System Program, 1100 Wayne Avenue, Suite 1225, Silver Spring, MD 20910. Telephone: (301) 427-2428  
, Silver Spring, Maryland 20910 Phone: 301-427-2420

#### **Website Address:**

No Data Available

#### **RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.429 Marine Sanctuary Program; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.440 Environmental Sciences, Applications, Data, and Education

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: U.S. IOOS awarded a 2-year cooperative agreement funding a Testbed which accelerates the transition of advances from the coastal ocean modeling research community to improved operational ocean products and services. The award has facilitated rigorous comparisons of inundation models in the Gulf of Mexico and Maine and improved forecasting tools and techniques for hypoxia in the Gulf of Maine and the Chesapeake Bay region. Fiscal Year

2012: The U.S. Coast Guard (USCG) continues to integrate U.S. IOOS high frequency (HF) radar data into its Search and Rescue system for the mid-Atlantic region. USCG intends to expand usage throughout all its Sector and District Operation Centers by 2013. This nationwide expansion is part of a collaborative project between NOAA, the U.S. Coast Guard, and U.S. IOOS partners in Southern California and the Mid-Atlantic. By continuing to fund HF radar activities, these enhancements will also benefit NOAA's Office of Response and Restoration (OR&R) by providing a more effective data product for use by OR&R in its spill trajectory forecast models. Fiscal Year 2013: NOAA intends to establish a program to develop improved marine sensors. Competitive, extramural awards will be made to teams of U.S. IOOS Regions, industry, academia, and Federal partners for the development, demonstration, testing, and evaluation of a variety of biological, chemical, and physical marine sensor technologies. Demonstrations will focus on topics with potential to result in significant improvements to meet National Ocean Policy priorities related to informing decisions and improving understanding, water quality and observations, mapping, and infrastructure. The competitions will be coordinated with the National Oceanographic Partnership Program to leverage other agency investments intended to address the Nations needs for ocean information and will focus on transitioning technologies into operations.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and externals reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the relevant federal program office.

#### **11.300 INVESTMENTS FOR PUBLIC WORKS AND ECONOMIC DEVELOPMENT FACILITIES**

##### **FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

##### **AUTHORIZATION:**

Public Works and Economic Development Act of 1965, as amended (PWEDA) (42 U.S.C. 3121 et seq.).

##### **OBJECTIVES:**

Public Works grants support the construction or rehabilitation of essential public infrastructure and facilities necessary to generate or retain private sector jobs and investments, attract private sector capital, and promote regional competitiveness, innovation, and entrepreneurship, including investments that expand and upgrade infrastructure to attract new industry, support technology-led development, accelerate new business development, and enhance the ability of regions to capitalize on opportunities presented by free trade.

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

Characteristic projects include investments in facilities such as water and sewer systems, industrial access roads, business parks, port facilities, rail spurs, skill-training facilities, business incubator facilities, brownfield redevelopment, eco-industrial facilities, and telecommunications and broadband infrastructure improvements necessary for business creation, retention and expansion. To be eligible, a project must be located in or benefit a region that, on the date EDA receives an application for investment assistance, satisfies one or more of the economic distress criteria set forth in 13 C.F.R. 301.3(a). All investments must be consistent with a current EDA- approved Comprehensive Economic Development Strategy (CEDS) or equivalent strategic economic development plan for the region in which the project will be located, and the applicant must have the required local share of funds committed, available, and unencumbered. Applicants must be able to start and complete proposed projects in a timely manner consistent with award terms and conditions. Recipients must award contracts in accordance with proper procurement procedures and ensure that contractors pay Davis-Bacon wage rates. All grants awarded are competitive in nature. EDA does not award formula grants.

##### **Applicant Eligibility:**

Pursuant to PWEDA, eligible applicants for and recipients of EDA investment assistance include a State, city, county, or other political subdivision of a State,

including a(n): (a) District Organization as defined in 13 CFR 304.2; (b) Indian Tribe or a consortium of Indian Tribes; (c) State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 C.F.R. 300.3. Projects eligible for Public Works investment assistance also include those located in regions meeting "Special Need" criteria as defined in 13 C.F.R. 300.3. For-profit, private-sector entities do not qualify for Public Works assistance under PWEDA. Therefore, EDA will not provide investments directly to individuals or for-profit entities. Such requests may be referred to State or local agencies, or to non-profit economic development organizations. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Beneficiary Eligibility:**

Beneficiaries of investments made under Public Works are those communities who satisfy one or more of the economic distress and/or Special Need criteria set forth in 13 C.F.R. 301.3(a) and 13 C.F.R. 300.3 to revitalize, expand, or upgrade their physical infrastructure to attract new industry, encourage business expansion, diversify their local economies, and generate or retain long-term private sector jobs and capital investments.

**Credentials/Documentation:**

To be considered for EDA investment assistance, applicants must first submit a complete EDA application package. EDA conducts its review of applications on a quarterly cycle. Applicants must provide a complete application that includes: a copy of the region's Comprehensive Economic Development Strategy (CEDS); letters of commitment to document matching funds; a USGS map of the site; letter of commitment from private beneficiaries of the project; comments from the metropolitan area review/clearinghouse agency; a legal opinion and other documentation, as necessary, verifying the applicant's answer to questions regarding project ownership, operation, maintenance, and management; an engineering report; an Environmental Assessment (and possibly an Environmental Impact Statement if deemed necessary); and documented approval from the State Historic Preservation Officer (SHPO). Non-profit applicants will be required to submit additional documentation, such as a Certificate of Good Standing, Articles of Incorporation, and other documents as applicable for the project. Applicants should refer to the specific requirements of the current Federal Funding Opportunity to determine what documents must be submitted at the time of submission. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EDA offers eligible applicants the option of consulting with EDA and receiving written feedback on their respective application before a funding cycle deadline. To take advantage of this option, the applicant must submit the following forms at a minimum: 1. One Form ED-900 (Application for Investment Assistance); 2. One Form SF-424 (Application for Federal Assistance) from each co-applicant, as applicable; AND 3. One Form SF-424A (Budget Information-Non-Construction Programs), if the project is non-construction related, OR 4. Form SF-424C (Budget Information-Construction Programs) if the project is construction-related. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For information on the application process you may access the applicable federal funding opportunity (FFO) announcement for Public Works investment assistance at [www.grants.gov](http://www.grants.gov) and at [www.eda.gov](http://www.eda.gov). EDA will review each application for Public Works investment assistance in accordance with the evaluation criteria, funding priorities, and selection procedures set forth in the applicable FFO.

**Award Procedure:**

Staff in the applicable EDA regional office review complete applications for eligibility and compatibility with EDA's mission and funding priorities. Applications deemed eligible and at least minimally consistent with EDA's mission and funding priorities are referred to an Investment Review Committee, which recommends applications for funding to the Regional Director. The Regional Director makes a funding determination as the Grants Officer for the respective region.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. To be considered for funding, applicants must submit their complete applications by the specified quarterly deadline outlined in the Federal Funding Opportunity.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Generally, the amount of the EDA grant may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. In the case of EDA investment assistance to a(n) (i) Indian Tribe, (ii) State (or political subdivision of a State) that the Assistant Secretary determines has exhausted its effective taxing and borrowing capacity, or (iii) non-profit organization that the Assistant Secretary determines has exhausted its effective borrowing capacity, the Assistant Secretary has the discretion to establish a maximum EDA investment rate of up to 100 percent of the total project cost. This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are specified in the grant award documents, but generally these do not exceed five years. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Funds are disbursed on a reimbursement basis.

**Reports:**

No program reports are required. No cash reports are required. Project progress and financial reports are required, generally on a quarterly basis, as required by the Special Terms and Conditions governing the award. EDA requires the submission of the SF-425 Federal Financial Report. EDA reviews progress and financial reports for compliance with all award terms and conditions, as well as EDA regulations. EDA reserves the right to conduct site visits on an as-needed basis.

**Audits:**

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

a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Single or program-specific audits shall be performed. The applicant is reminded that EDA or the Department of Commerce Office of Inspector General also may conduct an audit of an award at any time.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients are required to be maintained by the terms of the grant agreement.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$114,529,000; FY 12 est \$138,528,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The average size of a Public Works investment in FY 2011 was \$1.70 million. However, this average is informational only and is not intended to restrict the size of future awards.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 13 CFR Chapter III, Parts 300-302, 305, 310, and 314.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Philip Saputo 1401 Constitution Avenue, NW, Room 7019, Washington, District of Columbia 20230 Email: philip.j.saputo@eda.gov Phone: (202) 400-0662

**Website Address:**

www.eda.gov

**RELATED PROGRAMS:**

11.307 Economic Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: EDA provides investments that help to facilitate the transition of distressed communities to become competitive in the worldwide economy through the development of key public infrastructure such as:  
Technology-based facilities;  
Research and development commercialization centers;  
Facilities for workforce development;  
Multi-tenant manufacturing facilities;  
Basic utilities;  
Research, business and science parks with fiber optic cable; and,  
Telecommunications infrastructure and development facilities. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all applications for investment assistance against the evaluation criteria outlined in the applicable Federal Funding Opportunity, which generally includes a review of the feasibility of the budget presented, conformance with EDA statutory and regulatory requirements, and alignment with strategic areas of interest and priority considerations identified in the applicable announcement. For more information on these investment priorities and current funding opportunities, go to <http://www.eda.gov>.

**11.302 ECONOMIC DEVELOPMENT\_SUPPORT FOR PLANNING ORGANIZATIONS**

Planning Investments and Comprehensive Economic Development Strategies

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Public Works and Economic Development Act of 1965, as amended (PWEDA) (42 U.S.C. 3121 et seq.).

**OBJECTIVES:**

Through the Planning program, EDA provides assistance to eligible recipients to create regional economic development plans in order to stimulate and guide the economic development efforts of a community or region. As part of this program, EDA supports Partnership Planning investments to facilitate the development, implementation, revision, or replacement of Comprehensive Economic Development Strategies (CEDs), which leverage the unique assets of their respective regions to help create and retain higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the Nations most economically distressed regions.

To facilitate CEDs, EDA provides Partnership Planning grants to the designated planning organization (e.g., District Organization) serving EDA-designated Economic Development Districts (EDDs) throughout the Nation. These planning organizations are typically recognized by the State in which they reside as multi-jurisdictional councils of governments, regional commissions, or planning and development centers. Partnership Planning grants enable planning organizations to manage and coordinate the development and implementation of CEDs. In addition, EDA provides Partnership Planning grants to Indian Tribes to help organize and assist with the implementation of economic development activities within their areas. The majority of funding under the Planning program is for Partnership Planning grants for Indian Tribes and EDA-designated EDDs.

The Planning program also helps support planning organizations and other eligible recipients, including District Organizations and Indian Tribes, with Short-Term and State Planning efforts in order to stimulate and guide the creation and/or retention of higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the Nations most economically distressed regions. For example, EDA might provide Short-Term Planning funding to a coalition of Tribal and regional organizations to plan a coordinated response to the sudden loss of a major employer in the affected area(s).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

EDA Planning investments support the preparation of CEDs that guide EDAs Public Works and Economic Adjustment Assistance implementation investments, including Revolving Loan Funds. Sound local planning also attracts other Federal, state, and local funds plus private sector investments to implement long term development strategies. In this way, EDAs Planning program plays a foundational role in helping communities develop important strategies that inform future economic development decisions.

Comprehensive, market-based, local and regional planning is an essential component of successful economic development. Effective planning creates a road map for community growth and development with a focused approach towards creating higher-skill, higher-wage jobs. The Planning Program provides a foundation for EDAs infrastructure investments, which are designed to stimulate economic growth in distressed regions. The planning process supports an assessment of the regions economic conditions and the development of a CEDs to guide resource allocation and project development. The key value of this process is that it is locally determined and involves participation from all the diverse interests in the community. Planning activities supported by these Investments must be part of a continuous process involving the active participation of Private Sector Representatives, public officials and private citizens, and include:

- (a) Analyzing local economies;
- (b) Defining economic development goals;
- (c) Determining Project opportunities; and
- (d) Formulating and implementing an economic development program that includes systematic efforts to reduce unemployment and increase incomes. All EDA grants are discretionary grants. EDA does not award any formula grants.

**Applicant Eligibility:**

Pursuant to PWEDA, eligible applicants for and recipients of EDA investment assistance include a(n): (a) District Organization (as defined in 13 CFR 304.2); (b) Indian Tribe or a consortium of Indian Tribes; (c) State, city, or other political subdivision of a State, including a special purpose unit of a State or

local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR 300.3. As used in this paragraph, State includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. See 13 CFR 300.3 and 301.2.

**Beneficiary Eligibility:**

EDA Planning investments provide support to Planning Organizations for the development, implementation, revision, or replacement of a CEDS. They also may provide support for related short-term planning investments and State plans designed to create and retain higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the nation's most economically distressed regions.

**Credentials/Documentation:**

To be considered for EDA assistance, applicants must first submit a complete EDA application package. The applicant must provide a list of its proposed Strategy Committee members. The Committee must represent the main economic interests of the Region and must include Private Sector Representatives as a majority of its membership. The applicant should ensure that the Strategy Committee includes public officials, community leaders, representatives of workforce development boards, institutions of higher education, minority and labor groups, and private individuals. The Strategy Committee representing Indian Tribes or States may vary. Applicants must also submit documentation of matching fund availability. Finally, non-profit applicants will be asked to provide additional documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not required, but EDA offers applicants assistance in developing applications through its network of field-based Economic Development Representatives (EDRs). Environmental impact information is not required for this program. This program is eligible for coverage under Executive Order (E.O.) 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For information on the application process you may access the applicable federal funding opportunity (FFO) announcement for Planning investment assistance at [www.grants.gov](http://www.grants.gov) and at [www.eda.gov](http://www.eda.gov). EDA will review each application for Planning investment assistance in accordance with the evaluation criteria, funding priorities, and selection procedures set forth in the applicable FFO.

**Award Procedure:**

Staff in the applicable EDA regional office review applications for eligibility and compatibility with EDAs mission and funding priorities. Applications deemed eligible and at least minimally consistent with EDAs mission and funding priorities are referred to an Investment Review Committee, which recommends applications for funding to the Regional Director. The Regional Director makes a funding determination and sends a recommendation to EDA Headquarters for concurrence.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

EDA accepts new applications on a rolling basis and announces awards throughout the year. For continuation awards, regional offices may impose their own deadline for submission based on the previous award's period of performance.

**Appeals:**

Not Applicable.

**Renewals:**

For continuation awards, regional offices may impose their own deadline for submission based on the previous award's period of performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The minimum EDA investment rate for planning projects is 50 percent, and the maximum allowable EDA investment rate may generally not exceed 80 percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most grants are for 36-month periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Grant recipients must submit financial and project progress reports either on a quarterly or bi-annual basis, as required by the Special Terms and Conditions (SAC) of the award. Recipients receiving CEDS assistance must submit an updated CEDS at least once every three years. EDA requires the submission of the SF-425 Federal Financial Report. EDA may elect to conduct site visits.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients and sub-recipients must be maintained according to the terms of the investment award.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$31,352,000; FY 12 est \$29,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The average award in FY 2010 was \$61,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR Parts 300-303.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

David Ives 1401 Constitution Avenue, NW Room 7019, Washington, District of Columbia 20230 Email: [david.raymond.ives@eda.gov](mailto:david.raymond.ives@eda.gov) Phone: 202-482-0529

**Website Address:**

<http://www.eda.gov>

**RELATED PROGRAMS:**

11.307 Economic Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Comprehensive Economic Development Strategies in the EDA-funded Economic Development Districts throughout the country. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In addition to evaluating applications based on EDA's mission, funding priorities, and the evaluation criteria laid out in the applicable FFO, EDA also considers:

- (1) The proposed scope of work for the development, implementation, revision or replacement of the CEDS, or the relation of the CEDS to the proposed short-term planning activities or the State plan;
- (2) The qualifications of the applicant to implement the goals and objectives resulting from the CEDS, short-term planning activities or the State plan;
- (3) The involvement of the Region's business leadership at each stage of the preparation of the CEDS, short-term planning activities or State plan;
- (4) The extent of broad-based representation and involvement of the Region's civic, business, labor, minority and other interests in the proposed economic development activities; and
- (5) The feasibility of the proposed scope of work to create and retain high-skill, higher-wage jobs through implementation of the CEDS.

In addition, for continuation awards, funded recipients are evaluated on the basis of the extent of continuing economic distress within the Region, their past performance, and the overall effectiveness of their CEDS.

For Planning Investment awards to a State, EDA will also consider the extent to which the State will integrate and coordinate its CEDS with local and Economic Development District plans.

**11.303 ECONOMIC DEVELOPMENT TECHNICAL ASSISTANCE**

National Technical Assistance; Local Technical Assistance; University Centers

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Public Works and Economic Development Act of 1965, as amended (PWEDA) (42 U.S.C. 3121 et seq.).

**OBJECTIVES:**

EDA oversees three technical assistance programs (National, Local and University Center) that promote economic development and alleviate unemployment, underemployment, and out-migration in distressed regions. These programs provide grants or cooperative agreements to: (1) invest in institutions of higher education to establish and operate University Centers to support initiatives that are focused on advancing: regional commercialization efforts; entrepreneurship; and a high-skilled regional workforce. provide technical assistance to public and private sector organizations with the goal of enhancing local economic development; (2) support innovative approaches to stimulate economic development in distressed regions; (3) disseminate information and studies of economic development issues of national significance; and (4) finance feasibility studies and other projects leading to local economic development. These programs aid the long-range economic development of regions with severe unemployment and low per capita income.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Technical assistance is used to provide information, data, resources and toolkits which practitioners and policymakers can utilize when evaluating, shaping and implementing specific projects and programs to promote economic development efforts in their respective economically distressed regions. EDA announces opportunities to compete for funding to support University Centers through its annual Federal Funding Opportunity (FFO) on University Centers,

and the intent to support local technical assistance through its annual FFO on planning and local technical assistance. EDA may identify specific training, research or technical assistance projects it will fund under National Technical Assistance, which will be subject to competition. Ordinarily, these projects are specified in a FFO, which will provide the specific requirements, timelines and the appropriate points of contact and addresses.

The EDA-supported University Center (UC) sub-program is specifically designed to marshal the resources located within colleges and universities to support job creation and economic growth in regions experiencing economic distress. UCs, which EDA considers long-term partners in economic development, are required to devote the majority of their funding to respond to technical assistance requests originating from organizations located in the economically distressed portions of their service regions. EDA-sponsored University Centers provide strategic technical assistance to regional partners; including, tribal entities, local governments, and public and private sector organizations; conduct economic impact assessments; support cluster development and conduct cluster studies; facilitate regional collaboration; support commercialization and technology transfer efforts; and undertake other activities with the goal of enhancing regional economic development by promoting a favorable business environment to attract private capital investment and higher-skill, higher-wage jobs.. EDA University Center competitions are held once every five years in each EDA Region. The project must be consistent with the CEDS of the region in which it is located, if applicable. At least eighty (80) percent of EDA funding under a University Center Economic Development award must be allocated to direct costs of program delivery; unrecovered indirect costs are not chargeable to the award without EDAs express approval. All EDA grants are competitive: EDA does not award formula grants.

The Local Technical Assistance (Local TA) sub-program, one of EDAs smallest programs in terms of funding, is an extremely flexible and useful economic development tool. The most common purpose of a Local TA project has been to analyze the feasibility of a potential economic development project, such as an industrial park or a high-technology business incubator, or to support other critical studies necessary for economic development professionals to make informed business decisions, including economic impact assessments.

The National Technical Assistance sub-program is designed to provide economic development professionals with access to tools and resources on cutting edge economic development concepts that can inform their decision-making and help support good decision making which will lead to strong, vibrant economic development and regional prosperity. Through this program, EDA provides a wide array of resources, including a cluster mapping tool (<http://clustermapping.us>), a website to identify innovation index of self-selected communities and compare against other geographies ([www.statsamerica.org/innovation/](http://www.statsamerica.org/innovation/)), and a resource to help support best practices among venture development organizations (VDOs) (<http://regionalinnovation.org/>). The project must be consistent with the CEDS of the region in which it is located, if applicable. All EDA grants are discretionary. EDA does not award formula grants.

**Applicant Eligibility:**

Most technical assistance recipients are private or public nonprofit organizations and educational institutions. As defined in 13 C.F.R. 300.3, 'eligible recipients' include a State, city, county, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivision, an institution of higher education or a consortium of institutions of higher education, an Economic Development District organization, a private or public nonprofit organization or association, including a faith-based nonprofit organization, acting in cooperation with officials of a political subdivision of a State, or an Indian Tribe, or a consortium of Indian Tribes. Individuals, companies, corporations, and associations organized for profit are not eligible. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau. Program funds cannot be awarded to individuals and for profit

organizations.

**Beneficiary Eligibility:**

Investments are intended to finance projects that would be useful in alleviating or preventing conditions of excessive unemployment or underemployment.

**Credentials/Documentation:**

To be considered for EDA investment assistance, applicants must first submit a complete EDA application package, as specified by the applicable Federal Funding Opportunity, which generally includes requirements for project narratives, budget narratives, and the resumes of key personnel. Non-profit applicants applying for technical assistance may be asked to provide additional documentation, including documentation of Good Standing in the State in which they operate. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under Executive Order (E.O.) 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Except for applications that have a national or multi-regional focus, applications are subject to the requirements of E.O. 12372, Intergovernmental Review of Federal Programs and implementing regulations at 13 CFR 302.9.

**Award Procedure:**

EDA will award investment assistance in accord with the procedures set forth in the applicable announcement of federal funding opportunity (FFO).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For National Technical Assistance and University Center competitions, the deadlines are set forth in the applicable FFO. For Local Technical Assistance, regional offices accept applications on a rolling basis. Approval or disapproval of an application is generally made within 4 months; in many cases, the timeline for award announcement is set forth in the applicable FFO.

**Appeals:**

Not Applicable.

**Renewals:**

Each fiscal year, two EDA regional offices will provide a five-year project period for each University Center selected for funding under the requisite competition, with the initial award being made for the first year of the project period. Funding beyond the initial year is dependent upon the availability of funds and satisfactory performance, as determined by EDA and expressed in written notice. The servicing EDA regional office will contact current University Center operators regarding the procedures for applying for continuation funding. National and Local Technical Assistance projects are typically funded for a single project period without any pre-set expectation of renewal. Renewal of an award to increase funding or extend the period of performance is at EDA's sole discretion.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Generally, the amount of the EDA award may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. See section 204(a) of PWEDA (42 U.S.C. 3144) and 13 C.F.R. 301.4(b)(1). The Assistant Secretary of Commerce for Economic Development has the discretion

to establish a maximum EDA investment rate of up to one-hundred (100) percent where the project (i) merits and is not otherwise feasible without an increase to the EDA investment rate; or (ii) will be of no or only incidental benefit to the recipient. See section 204(c)(3) of PWEDA (42 U.S.C. 3144) and 13 C.F.R. 301.4(b)(4). In-kind contributions, fairly evaluated by EDA, may provide the non-federal share of the total project cost. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, the University Center Program funds applications on a five-year basis with continuation awards made for each of the three years within a project period. The length of the project period for National and Local Technical Assistance projects varies, but is usually for a period of one to two years. Funds are disbursed as required. See the following for information on how assistance is awarded/released: In accordance with the grant terms and conditions.

**Reports:**

No program reports are required. No cash reports are required. Project progress and financial reports are required, generally on a quarterly basis, as required by the Special Terms and Conditions governing the award. EDA requires the submission of the SF-425 Federal Financial Report. EDA reviews progress and financial reports for compliance with all award terms and conditions, as well as EDA regulations. EDA reserves the right to conduct site visits on an as-needed basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133. The applicant is reminded that EDA or the Department of Commerce's Office of Inspector General also may conduct an audit of an award at any time.

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients and sub-recipients are required to be maintained by the terms of the agreement.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$13,373,000; FY 12 est \$12,481,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

It varies. See applicable FFO.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 C.F.R. parts 300-302, 306.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Philip Saputo 1401 Constitution Avenue, NW, Room 7019, Washington, District of Columbia 20230 Email: philip.j.saputo@eda.gov Phone: (202) 400-0662

**Website Address:**

www.eda.gov

**RELATED PROGRAMS:**

### 11.307 Economic Adjustment Assistance

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Invest in institutions of higher education to establish and operate University Centers to provide technical assistance to public and private sector organizations with the goal of enhancing local economic development;

Support innovative approaches to stimulate economic development in distressed regions;

Disseminate information and studies of economic development issues of national significance; and

Finance local feasibility studies, planning efforts and other projects leading to local economic development. Fiscal Year 2012: Invest in institutions of higher education to establish and operate University Centers to provide technical assistance to public and private sector organizations with the goal of enhancing local economic development;

Support innovative approaches to stimulate economic development in distressed regions;

Disseminate information and studies of economic development issues of national significance; and

Finance local feasibility studies, planning efforts and other projects leading to local economic development. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation criteria are set forth in the applicable FFO.

### **11.307 ECONOMIC ADJUSTMENT ASSISTANCE**

Economic Adjustment

#### **FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

#### **AUTHORIZATION:**

Section 209 of the Public Works and Economic development Act of 1965, as amended (PWEDA), (42 U.S.C. 3149).

#### **OBJECTIVES:**

To address the needs of distressed communities experiencing adverse economic changes that may occur suddenly or over time, and generally result from industrial or corporate restructuring, new Federal laws or requirements, reduction in defense expenditures, depletion of natural resources, or natural disaster. Economic Adjustment Assistance grants are intended to enhance a distressed community's ability to compete economically by stimulating private investment in targeted areas. Current investment priorities include proposals that focus on (a) Collaborative Regional Innovation, (b) Public/Private Partnerships, (c) National Strategic Priorities, (d) Global Competitiveness, (e) Environmentally-Sustainable Development, (f) Economically Distressed and Underserved Communities. For more information on these investment priorities and current funding opportunities, go to <http://www.eda.gov>.

#### **TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

#### **USES AND USE RESTRICTIONS:**

The Economic Adjustment Assistance Program provides a wide range of technical, planning and public works and infrastructure assistance in regions experiencing adverse economic changes that may occur suddenly or over time. This program is designed to respond flexibly to pressing economic recovery issues and is well suited to help address challenges faced by U.S. communities and regions. To be eligible, a project must be located in or benefit a region that, on the date EDA receives an application for investment assistance, satisfies one or more of the economic distress criteria set forth in 13 C.F.R. 301.3(a). All investments must be consistent with a current EDA- approved Comprehensive Economic Development Strategy (CEDS) or equivalent strategic economic development plan for the region in which the project will be located, and the applicant must have the required local share of funds committed, available, and unencumbered. Applicants must be able to start and complete proposed projects in a timely manner consistent with award terms and conditions. Recipients must award contracts in accordance with proper procurement procedures and ensure that contractors pay Davis-Bacon wage rates. Indirect costs are not allowed. All grants awarded are competitive in nature. EDA does not award formula grants.

#### **Applicant Eligibility:**

Pursuant to PWEDA, eligible applicants for and recipients of EDA investment

assistance include a State, city, county, or other political subdivision of a State, including a(n): (a) District Organization as defined in 13 CFR 304.2; (b) Indian Tribe or a consortium of Indian Tribes; (c) State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of such political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR 300.3. Projects eligible for Economic Adjustment investment assistance also include those located in regions meeting Special Need criteria as defined in 13 CFR 300.3. For-profit, private sector entities do not qualify for Economic Adjustment assistance under PWEDA. Therefore, EDA will not provide investments directly to individuals or for-profit entities. Such requests may be referred to State or local agencies, or to non-profit economic development organizations. As used in this paragraph, 'State' includes the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

#### **Beneficiary Eligibility:**

Beneficiaries of investments made under Economic Adjustment are those communities who satisfy one or more of the economic distress and/or Special Need criteria set forth in 13 C.F.R. 301.3(a) and 13 C.F.R. 300.3 to revitalize, expand, or upgrade their economic development assets to attract new industry, encourage business expansion, diversify their local economies, and generate or retain long-term private sector jobs and capital investments. Investments are intended to alleviate long-term deterioration and sudden and severe economic dislocation in distressed communities and regions.

#### **Credentials/Documentation:**

To be considered for EDA investment assistance, applicants must first submit a complete EDA application package. EDA conducts its review of applications on a quarterly cycle. Applicants must provide a complete application that includes: a copy of the region's Comprehensive Economic Development Strategy (CEDS); letters of commitment to document matching funds; a USGS map of the site; letter of commitment from private beneficiaries of the project; comments from the metropolitan area review/clearinghouse agency; a legal opinion and other documentation, as necessary, verifying the applicant's answer to questions regarding project ownership, operation, maintenance, and management; an engineering report; an Environmental Assessment (and possibly an Environmental Impact Statement if deemed necessary); and documented approval from the State Historic Preservation Officer (SHPO). Non-profit applicants will be required to submit additional documentation, such as a Certificate of Good Standing, Articles of Incorporation, and other documents as applicable for the project. Applicants should refer to the specific requirements of the current Federal Funding Opportunity to determine what documents must be submitted at the time of submission. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

EDA offers eligible applicants the option of consulting with EDA and receiving written feedback on their respective application before a funding cycle deadline. To take advantage of this option, the applicant must submit the following forms at a minimum: 1. One Form ED-900 (Application for Investment Assistance); 2. One Form SF-424 (Application for Federal Assistance) from each co-applicant, as applicable; AND 3. One Form SF-424A (Budget Information-Non-Construction Programs), if the project is non-construction related, OR 4. Form SF-424C (Budget Information-Construction Programs) if the project is construction-related. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**



OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For information on the application process you may access the applicable federal funding opportunity (FFO) announcement for Economic Adjustment investment assistance at [www.grants.gov](http://www.grants.gov) and at [www.eda.gov](http://www.eda.gov). EDA will review each application for Economic Adjustment investment assistance in accordance with the evaluation criteria, funding priorities, and selection procedures set forth in the applicable FFO.

**Award Procedure:**

Staff in the applicable EDA regional office review applications for eligibility and compatibility with EDA's mission and funding priorities. Applications deemed eligible and at least minimally consistent with EDA's mission and funding priorities are referred to an Investment Review Committee, which recommends applications for funding to the Regional Director. The Regional Director makes a funding decision as the Grants Officer for the respective region.

**Deadlines:**

Oct 01, 2012: On a quarterly basis, as outlined in the Federal Funding Opportunity. On a quarterly basis, as outlined in the Federal Funding Opportunity.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. To be considered for funding, applicants must submit their complete applications by the specified quarterly deadline outlined in the Federal Funding Opportunity.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Generally, the amount of the EDA grant may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA.

In the case of EDA investment assistance to a(n) (i) Indian Tribe, (ii) State (or political subdivision of a State) that the Assistant Secretary determines has exhausted its effective taxing and borrowing capacity, or (iii) non-profit organization that the Assistant Secretary determines has exhausted its effective borrowing capacity, the Assistant Secretary has the discretion to establish a maximum EDA investment rate of up to 100 percent of the total project cost. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are specified in the grant award documents, but generally these do not exceed five years. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: As stated in the award terms and conditions. Funds are disbursed on a reimbursement basis.

**Reports:**

No program reports are required. No cash reports are required. Project progress and financial reports are required, generally on a quarterly basis, as required by the Special Terms and Conditions governing the award. EDA reviews progress and financial reports for compliance with all award terms and conditions, as well as EDA regulations. EDA requires the submission of the SF-425 Federal Financial Report. EDA reserves the right to conduct site visits on an as-needed basis.

**Audits:**

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

year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Single or program-specific audits shall be performed. The applicant is reminded that EDA or the Department of Commerce's Office of Inspector General also may conduct an audit of an award at any time.

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients and sub-recipients are required to be maintained by the terms of the agreement.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$78,720,000; FY 12 est \$55,718,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The average size of an Economic Adjustment investment in FY 2011 was approximately \$550,000. However, this average is informational only and is not intended to restrict the size of future awards.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR parts 300-302, 307.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Kerstin Millius 1401 Constitution Ave, N.W. Room 7019, Washington, District of Columbia 20230 Email: [kerstin.millius@eda.gov](mailto:kerstin.millius@eda.gov) Phone: 202-482-3280

**Website Address:**

[www.eda.gov](http://www.eda.gov)

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities; 11.302 Economic\_Development\_Support for Planning Organizations; 11.303 Economic\_Development\_Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: EDA provides investments that help to facilitate the transition of distressed communities to become competitive in the worldwide economy through the development of key construction and non-construction projects such as:

- Research and development commercialization centers;
- Facilities for workforce development;
- Multi-tenant manufacturing facilities;
- Basic utilities;
- Economic recovery strategies;
- Technical assistance; and,
- Revolving Loan Fund (RLF) capitalization or recapitalization. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all applications for investment assistance against the evaluation criteria outlined in the applicable Federal Funding Opportunity, which generally includes a review of the feasibility of the budget presented, conformance with EDA statutory and regulatory requirements, and alignment with strategic areas of interest and priority considerations identified in the applicable announcement. For more information on these investment priorities and current funding opportunities, go to <http://www.eda.gov>.

**11.312 RESEARCH AND EVALUATION PROGRAM**

Research and Evaluation Program

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Public Works and Economic Development Act of 1965, as amended (PWEDA) (42 U.S.C. 3121 et seq.).

**OBJECTIVES:**

The Research and Evaluation Program of the Economic Development Administration (EDA) supports rigorous, practitioner accessible research of leading, world class economic development practice that advances our understanding of economic development. Current funding priorities include proposals that enhance regional competitiveness by focusing on entrepreneurship and innovation strategies. By working in conjunction with its research partners, EDA helps states, local governments, and community-based organizations to achieve their highest economic potential.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Research and Evaluation Program funds research, including evaluative research, and national technical assistance projects to promote competitiveness and innovation in urban and rural regions throughout the United States.

**Applicant Eligibility:**

In accordance with PWEDA, eligible applicants for and recipients of EDA investment assistance include a(n): (a) District Organization (as defined in 13 CFR 304.2); (b) Indian Tribe or a consortium of Indian Tribes; (c) State, a city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions; (d) institution of higher education or a consortium of institutions of higher education; or (e) public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State. See section 3 of PWEDA (42 U.S.C. 3122) and 13 CFR 300.3. For-profit, private-sector entities do not qualify for investment assistance under this program.

**Beneficiary Eligibility:**

Not applicable. Research and Evaluation investments are designed to finance projects for research into techniques that promote competitiveness and innovation in urban and rural regions throughout the United States.

**Credentials/Documentation:**

Researcher qualifications are considered in the application review process. Applicants must have demonstrated expertise in the proposed area of study. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under Executive Order (E.O.) 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants should submit applications in accordance with the requirements of 13 C.F.R. part 306 and the applicable federal funding opportunity (FFO) announcement. EDA Headquarters can provide assistance in connection with proposed Research and Evaluation projects. This program is not subject to Executive Order 12372. This program is subject to provisions of 15 C.F.R. part 14 for institutions of higher education and other nonprofit organizations or provisions of 15 C.F.R. part 24 for State, local and Indian Tribal governments, as applicable. Costs will be determined in accordance with applicable federal cost principles and uniform administrative requirements.

**Award Procedure:**

The Assistant Secretary of Commerce for Economic Development (Assistant Secretary), or other designated individual, is the selecting official for Research and Evaluation projects. EDA will award investment assistance in accord with the procedures set forth in the applicable FFO.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Generally, two months are required for EDA to reach a final decision after receipt of a completed application that meets all requirements.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 13, Chapter 3, Part 306, Subpart A, Public Law 108-373.

Matching Requirements: Percent: 50%. All matching shares must be allowable based on cost principles applicable to award.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of time of a project period varies, but is generally one to two years. Grant funds are disbursed as required and justified. See 13 C.F.R. 306.3. See the following for information on how assistance is awarded/released: Awards are released by reimbursement based on project expenses.

**Reports:**

No program reports are required. No cash reports are required. Grantees are required to provide project progress and financial reports, generally on a quarterly basis, in accord with the applicable terms and conditions of the award. EDA requires the submission of the SF-425 Federal Financial Report. EDA reserves the right to conduct site visits.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients must be maintained pursuant to the terms of investment award.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$1,486,000; FY 12 est \$1,537,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Generally awards range between \$100K and \$400K.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

13 CFR parts 300-302, 306.

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog for EDA regional office contact information.

**Headquarters Office:**

John Cobb 1401 Constitution Ave., NW, Room 7019, Washington, District of Columbia 20230 Email: rnta@eda.gov Phone: 202-482-0951

**Website Address:**

<http://www.eda.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

EDA will review all Research and Evaluation applications for the feasibility of the budget presented and conformance with EDA statutory, regulatory requirements, and those enumerated in the applicable federal funding opportunity (FFO). Applications must meet EDA's investment policy guidelines as set forth in 13 C.F.R. 301.8, the requirements of 13 C.F.R. part 306, as applicable, and other requirements as provided in the applicable FFO.

**11.313 TRADE ADJUSTMENT ASSISTANCE FOR FIRMS**

Trade Adjustment Assistance for Firms

**FEDERAL AGENCY:**

Economic Development Administration, Department of Commerce

**AUTHORIZATION:**

Trade Act of 1974, as amended (19 U.S.C. 2341 et seq.).

**OBJECTIVES:**

The Trade Adjustment Assistance for Firms (TAAF) program helps economically distressed U.S. business in building strategies to increase exports and thereby create jobs. The program provides technical assistance to U.S. businesses that have lost sales and employment due to increased imports of similar goods and services. Technical assistance is provided through a nationwide network of eleven Economic Development Administration (EDA) funded Trade Adjustment Assistance Centers (TAACs).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Under Chapters 3 and 5 of Title II of Trade Act of 1974, as amended (19 U.S.C. 2341 et seq.), a firm may apply to the applicable TAAC supported by the Economic Development Administration (EDA) of the Department of Commerce for certification of eligibility to apply for trade adjustment assistance (TAA) related technical assistance. Interested firms that believe they meet the requirements set forth in 13 CFR part 315 may contact EDA or one of the EDA-funded TAACs. TAACs will assist firms, at no cost, in completing and submitting a petition (Form ED-840P or any successor form) to EDA. Before a firm receives technical assistance under the program, the firm must have an adjustment proposal approved by EDA. Usually the adjustment proposal, which includes an unbiased diagnostic of the firm's strengths, weaknesses, opportunities and threats, is prepared by the TAAC in cooperation with the certified firm. The adjustment proposal also identifies technical assistance tasks, which when implemented, will guide the firm toward economic recovery. The adjustment proposal must also demonstrate that the implementation of the technical assistance tasks has a reasonable chance helping the firm recover. The firm must pay at least 25 percent of the cost of preparing the adjustment proposal. After a firm's adjustment proposal is accepted by EDA, the firm is authorized to apply for technical assistance to implement the recovery strategy. The technical assistance is usually provided by a private consultant, who is jointly hired by the certified firm and the TAAC. The certified firm and the TAAC each typically pay one half of the consultant's fees. Actual provision of TAA will depend on the feasibility of the firm's adjustment proposal, compliance with the requirements of the Trade Act, EDA's regulations and guidelines, and the availability of funds. Organizations representing trade-injured industries are eligible under the Trade Act to apply to EDA for industry-wide assistance.

**Applicant Eligibility:**

Section 253 of the Trade Act (19 U.S.C. 2343(b)) provides that grants may be awarded to "intermediary organizations (including Trade Adjustment Assistance Centers)" to provide assistance to trade-injured firms. For an industry association or other organizations to be eligible for industry assistance under section 265 of the Trade Act (19 U.S.C. 2355(a)), the applicant must submit evidence demonstrating that the industry faces import competition and includes a substantial number of Trade Act-certified firms or worker groups.

**Beneficiary Eligibility:**

Only firms certified by EDA on behalf of the Secretary of Commerce are eligible for assistance under the TAAF program. Industries that can demonstrate they have been injured by imports and have a substantial number of Trade Act certified firm or worker groups may also benefit. The principal benefit is cost-shared technical assistance: the TAA program pays up to one-half of the cost of assistance by private-sector consultants and contractors for operational improvements at certified firms.

**Credentials/Documentation:**

The TAACs act as intermediaries for this program between EDA and the firm. Entities seeking industry-wide assistance must contact EDA staff to discuss their needs, describe the import injury and determine if funding is available for industry-wide projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The nationwide network of 11 TAACs apply to EDA each year for funding for the coming fiscal year. Industry associations or other organizations seeking industry assistance must submit adjustment proposals to the applicable TAAC center.

**Award Procedure:**

Awards to TAACs are made based upon submitted applications, previous performance under cooperative agreements with EDA, and the availability of funds. Acceptance of an application or amended application for a cooperative agreement does not ensure funding by EDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

EDA is statutorily required to review petitions for certification of eligibility under the program within 40 days of petition acceptance; and has 60 days to make a final determination on an adjustment proposal.

**Appeals:**

Not Applicable.

**Renewals:**

EDA Cooperative Agreements are renewed annually.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, the cooperative agreement to the TAAC is to provide one year of services to import-impact firms. The TAA program is a nationwide federal program designed to help U.S. firms that have experienced business decline and loss of employment due to imports of like or directly competitive products. See the following for information on how assistance is awarded/released:

Generally, grants are awarded annually. Grantees receive awards either in advance or monthly reimbursement.

**Reports:**

Periodic reporting of operating results and progress, financial statements, and summary of funds spent, consistent with EDAs Government Performance Results Act (GPRA) reporting requirements. No cash reports are required.

TAACs are required to submit quarterly reports on their progress. EDA requires the submission a Form SF-425 Federal Financial Report. EDA reserves the right to conduct site visits.

**Audits:**

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

**Records:**

Records are required to be maintained for at least three years. All financial and programmatic records, supporting documents, statistical reports, and other records of recipients or sub-recipients are required to be maintained by the terms of the agreement. The recipient must retain records for at least three years after submission of the final financial report, and have them readily available for inspection and audit.

**Account Identification:**

13-2050-0-1-452.

**Obligations:**

(Cooperative Agreements) FY 11 \$15,418,000; FY 12 est \$15,841,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Awards range between \$1M-\$1.6M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of pertinent regulations (13 C.F.R. Part 315), guidelines, and forms are available from EDA, the TAACs or the TAAC website at [www.taacenters.org](http://www.taacenters.org). Allowable costs will be determined in accordance with OMB Circular A-87 for State, local, and Indian Tribal governments; OMB Circular A-122 for nonprofit organizations; OMB Circular A-21 for educational institutions; and 48 C.F.R. Part 31 for commercial organizations. Uniform administrative requirements will be in accordance with 15 C.F.R. Part 14 for institutions of higher education and other non-profit and commercial organizations, and with 15 C.F.R. Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. <http://www.taacenters.org/locations.html>.

**Headquarters Office:**

Miriam J. Kearse 1401 Constitution Avenue NW, Room D100, Washington, District of Columbia 20230 Email: [miriam.j.kearse@eda.gov](mailto:miriam.j.kearse@eda.gov) Phone: (202) 482-3963 Fax: (202) 482-5671

**Website Address:**

<http://www.eda.gov>

**RELATED PROGRAMS:**

17.245 Trade Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

EDA invites existing (currently funded) TAACs to submit either new or amended applications provided they have performed successfully and complied with previous conditions in their cooperative agreements with EDA and contingent upon the availability of funds. EDA also may invite new TAACs to submit applications through an applicable Federal Funding Opportunity (FFO)

announcement. EDA generally evaluates existing (currently funded) TAACs based on: (i) performance under cooperative agreements with EDA and compliance with terms and conditions if such cooperative agreements; (ii) proposed scope of work, budget and application or amended application; and (iii) availability of funds.

**11.400 GEODETIC SURVEYS AND SERVICES (GEODESY AND APPLICATIONS OF THE NATIONAL GEODETIC REFERENCE SYSTEM)**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Coast and Geodetic Survey Act., Public Law 80-373, 33 U.S.C 883 (a,d,e); Commerce and Trade, 15 U.S.C 1525; Coast and Geodetic Survey Act., Public Law 80-373, 33 U.S.C 892.

**OBJECTIVES:**

To provide national, coordinated spatial reference system at various specified intervals which provide scale, orientation, coordinated positions, and elevations of specific points for use in surveying, boundary delineations and demarcation, mapping, planning, and development; to provide assistance to State, local, municipal, and regional agencies in the development and implementation of Multipurpose Land Information Systems (MPLIS)/Geographic Information Systems (GIS) pilot projects and spatial reference system development and/or enhancement, and Height Modernization. For the Joint Hydrographic Center (JHC) improve the techniques and technology of hydrographic surveying, hydrographic services, and ocean mapping.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Extend National Spatial Reference System into areas not adequately covered to meet infrastructure needs. Use of basic data for survey system in local densification is unrestricted. Spatial Reference System coordinates and elevations describe baselines from which restricted coastal boundaries are delineated and other boundaries are marked. The National Spatial Reference System forms the standard of measurement on which State plane coordinate systems, land and utility records, and boundary delineations are based. Federal funding (grants) are restricted to those State, local, municipal, or regional, and or universities specifically selected by the U.S. Congress, in annual Federal appropriations legislation. To conduct research and carry out development programs at the Joint Hydrographic Center at the University of New Hampshire to improve the techniques and technology of hydrographic surveying, hydrographic services, and ocean mapping, and to conduct bathymetric research in support of delineation of an extended continental shelf.

**Applicant Eligibility:**

State, local, municipal, universities and/or regional agencies. For the JHC, limited to the University of New Hampshire by Congress and through Joint Institute relationship with NOAA.

**Beneficiary Eligibility:**

State, local, municipal, universities and/or regional agencies. For the JHC limited to the University of New Hampshire by Congress and through Joint Institute relationship with NOAA.

**Credentials/Documentation:**

Annual Congressional appropriations legislation. An official of the State, local, municipal, university and/or regional agency should certify as the official authorized, in accordance with State, local, municipal, or regional agency law, to commit the State, local, municipal, university and/or regional agency to participate in the grant program, to sign project documents, and to receive payments. Eligibility of costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For the JHC, an approved official of the University of New Hampshire should certify the application to commit the University to participate in the cooperative agreement and to receive payments in accordance with OMB Circulars A-110 and A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.gov. Applicants will need to enter the Funding Opportunity number and/or CFDA number to access the application package and instructions. Submission of grant application on Standard Form 424 to the Director, National Geodetic Survey listed in Appendix IV of the Catalog. This program is subject to the provisions of 15 CFR Part 24, and OMB Circular No. A-110. For the JHC, submission of grant application on Standard Form 424 to the NOAA Co-Director, Joint Hydrographic Center.

**Award Procedure:**

Applications are reviewed by the National Geodetic Survey and processed and awarded by the NOAA Grants Division. For the JHC, Applications are reviewed by the NOAA National Ocean Service and processed and awarded by the NOAA Grants Division.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 45 to 90 working days from date of receipt of proposal in the National Geodetic Survey. For the JHC, from 45 to 90 working days from date of receipt of proposal in the Joint Hydrographic Center.

**Appeals:**

No formal appeal procedure for grant applications. If grant applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit grant applications, projects must be revised in accordance with recommended changes.

**Renewals:**

No renewal, however, an approved on-going project can be extended by submission of an amendment request for continuation and/or supplemental funding, providing the request for extension is received 60 days prior to the end of the award period. For the JHC, An approved on-going project can be extended by submission of an amendment request for continuation and/or supplemental funding.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally issued for a 12-month period. For JHC, the cooperative agreement is normally issued for a one to five year period. The funds are released as required. See the following for information on how assistance is awarded/released: The funds are released as required.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual and final progress reports are required for Federally financed multi-year pilot projects. Progress reports may be in the form of a manuscript. Quarterly financial reports are also required. For JHC, semi-annual and final progress reports and financial reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$7,133,670; FY 12 est \$9,284,746; and FY 13 est \$7,450,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Joint Hydrographic Center Subsection: Developed improved technology for sonar imaging of water column and seafloor, advanced understanding of central Pacific Ocean seafloor topography. Fiscal Year 2012: A project will produce and develop models or geographic information systems using existing geodetic data, coastal remote sensing data, terrestrial gravity measurements, or other physical data sets. During 2012, the MSRC will develop a campaign to establish good quality orthometric heights on the antenna reference point (ARP) at each CORS.

Joint Hydrographic Center Subsection: Develop improved technology for electronic charting applications, improved understanding of use of echo sounders for seafloor characterization. Fiscal Year 2013: Joint Hydrographic Center Subsection: Advance understanding of Arctic Ocean and Atlantic Margin bathymetry. Improve understanding of lidar penetration of the water column for seafloor mapping.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments. For JHC, allowable cost will be determined in accordance with OMB Circular A-21 for institutions of higher education.

**Regional or Local Office:**

None.

**Headquarters Office:**

n/a Grant Program Office/Geodetic Service Division, National Geodetic Survey, National Ocean Service, National Oceanic and Atmospheric Administration, Silver Spring, Maryland 20910 Phone: (301) 713-3228

**Website Address:**

<http://www.ngs.noaa.gov/>, for the JHC: <http://chartmaker.ncd.noaa.gov/>

**RELATED PROGRAMS:**

11.003 Census Geography

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Joint Hydrographic Center Subsection: The NOAA/University of New Hampshire Joint Hydrographic Center. Fiscal Year 2012: data analysis, modeling, Mississippi SRC, data integration of National Geodetic Survey Real Time Networks (RTN) and CORS.

Joint Hydrographic Center Subsection: The NOAA/University of New Hampshire Joint Hydrographic Center. Fiscal Year 2013: data analysis, modeling, SRC, data integration of National Geodetic Survey Real Time Networks (RTN) and CORS.

Joint Hydrographic Center Subsection: The NOAA/University of New Hampshire Joint Hydrographic Center.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected by Congress. The State, local, municipal, universities

and/or regional agency designated to conduct the project is specified. The Joint Hydrographic Center was established by funding specifically designated by Congress. The University designated to conduct the project is specified.

#### **11.407 INTERJURISDICTIONAL FISHERIES ACT OF 1986**

##### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

##### **AUTHORIZATION:**

Interjurisdictional Fisheries Act of 1986, Title 3, Public Law 99-659, 16 U.S.C. 4106.

##### **OBJECTIVES:**

To assist States in managing interjurisdictional fisheries resources.

##### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds can be used for research and enforcement of interjurisdictional fishery resources, for the development of Fishery Management plans, and for restoration of resources damaged by a natural resource disaster.

##### **Applicant Eligibility:**

The agency of a State government authorized under its laws to regulate commercial fisheries, and the Pacific, Atlantic, and Gulf Interstate Marine Fisheries Commissions.

##### **Beneficiary Eligibility:**

The agency of a State government authorized under its laws to regulate commercial fisheries.

##### **Credentials/Documentation:**

The Governor of each State shall notify the Secretary of Commerce which State agency is authorized to regulate commercial fisheries. An official of the State agency shall certify as the official(s) authorized in accordance with State law to commit the State to participation under the Act, to sign project documents, and to receive payments. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

##### **Award Procedure:**

Applications reviewed by the National Marine Fisheries Service Regional Program Office and processed by the NOAA Grants Management Division (OA32).

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 75 days or less.

##### **Appeals:**

No formal appeal procedure. If application is unacceptable the reasons are fully stated to the applicant. If the applicant desires to resubmit application, project must be revised in accordance with recommended changes.

##### **Renewals:**

No renewal. However, an approved on-going project can be extended by submission of an amendment request.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Apportionment to States is based on average value and volume of raw fish landed by domestic commercial fishermen. No State that qualified for funding may receive less than 1/2 of 1 percent or more than 6 percent of funds appropriated in any fiscal year based on conditions of the act. Federal funding is not to exceed 75 percent of approved project costs, except where a project supports an approved interstate or Federal Fishery Management Plan, up to 90 percent Federal funding may apply. The statistical factors used for fund allocation are: (1) Three year average of value of commercial fish landed, the source is the "Fishery Statistics of the U.S."; and (2) volume of fish landed, the source is the "Fishery Statistics of the U.S." No matching requirements for commission grants.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and is expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: According to grant agreement.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the six-month period. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

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

##### **Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

##### **Account Identification:**

13-1450-0-1-306.

##### **Obligations:**

(Formula Grants) FY 11 \$2,284,632; FY 12 est \$750,000; and FY 13 Estimate Not Available

##### **Range and Average of Financial Assistance:**

No Data Available.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Continued support of both State and State Commissions as they pertain to the specific fisheries for each area of the US EEZ and the commercial and recreational fishery management process. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 253 available from Director, Office of Sustainable Fisheries (F/SF), National Marine Fisheries Service, 1315 East West Highway, Silver Spring, MD 20910. or from regional offices without cost.

##### **Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office:

Potential applicants should make initial contact relative to this program at the region or area offices of the National Marine Fisheries Service listed. Alaska: Alaska Regional Office, Barbara Fosburg, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Use the same numbers for FTS. Email: barbara.fosburg@noaa.gov. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: grants.information@noaa.gov. Northwest Regional Office, Kevin Ford or Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349. Telephone: (206) 526-6115 or 6113. E-mail Kevin.Ford@naoo.gov or Stephen.Freese@noaa.gov. Pacific Islands Region: Scott Bloom, Federal Program Officer, 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 973-2941. E-mail: scott.bloom@noaa.gov Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13 Ave. South, St. Petersburg, FL 33701 Telephone: (727) 824- 5324.. Fax: (727) 824-5364 E-mail: Cynthia.Binkley@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200, Long Beach, CA 90802- 4213. Telephone: (310) 980- 4239. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov.

**Headquarters Office:**

Steve Meyers Office of Sustainable Fisheries, National Marine, Fisheries Service, 1315 East-West Highway, , Silver Spring, Maryland 20910 Email: steve.meyers@noaa.gov Phone: (301) 713-2334 Fax: (301) 713-0596

**Website Address:**

Southeast Region: <http://sero.nmfs.noaa.gov.grants.htm>. Northeast Region: <http://www.nero.noaa.gov/sttefedoff/>. Northwest Region: <http://www.nwr.noaa.gov/Isusfish>. Pacific Islands Region <http://swr/nmfs.noaa.gov/pir/index.htm>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.474 Atlantic Coastal Fisheries Cooperative Management Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Support the IFA by funding staff capabilities in the area of Conservation Engineering. Conservation Engineering (CE) primarily investigates the performance of commercial fishing gear to improve the precision of catches, thereby reducing discards, bycatch, and impact on non-target species. For example, we recently investigated the appropriate mesh size for monkfish gillnets to maximize market value of the target species, and we investigated hook baits that decreased unwanted bycatch of Atlantic cod. Fiscal Year 2012: Work through the State Commissions to further the data collection and research as it pertains to both commercial and recreational fisheries. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.408 FISHERMEN'S CONTINGENCY FUND**

(Title IV)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Outer Continental Shelf Lands Act Amendments of 1978, Title IV, Section 402.

**OBJECTIVES:**

To compensate U.S. commercial fishermen for damage/loss of fishing gear and 50 percent of resulting economic loss due to oil and gas related activities in any area of the Outer Continental Shelf.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

Applicant must be a U.S. commercial fisherman.

**Beneficiary Eligibility:**

U.S. Commercial fishermen.

**Credentials/Documentation:**

Financial statements, records, logbooks, receipts, and estimates which establish that the applicant is a fisherman and owned the property for which compensation is claimed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit applications to Chief, Financial Services Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910.

**Award Procedure:**

Review and approval by Financial Services Division, NMFS.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For two months.

**Appeals:**

Assistant Administrator, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: As determined in contract.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

None.

**Account Identification:**

13-5120-0-2-376.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$0; FY 12 est \$0; and FY 13 est \$350,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available from Chief, Financial Services Division, National Marine Fisheries

Service. 43 U.S.C. 1841 et seq; 50 CFR Part 296.

**Regional or Local Office:**

None. See Appendix IV of the Catalog.

**Headquarters Office:**

Charles Cooper Chief, Financial Services Division, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-1306

**Website Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/fcf.htm](http://www.nmfs.noaa.gov/mb/financial_services/fcf.htm).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.413 FISHERY PRODUCTS INSPECTION AND CERTIFICATION**

(Inspection and Grading of Fishery Products)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Reorganization Plan No. 4, 1970.; Agricultural Marketing Act of 1946, Public Law 79-733, 7 U.S.C 1324-1627; Fish and Wildlife Act of 1956, Public Law 84-1024, 16 U.S.C 742(a-j).

**OBJECTIVES:**

To ensure that the hygienic aspects of seafood harvesting and processing operations meet the minimum public health requirements and to determine and certify the identity, condition, and distributing quality, and quantity of seafood products.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The voluntary inspection, grading and certification of seafood is made at the processing plant, or at other locations depending upon the inspection services desired. Funds are derived from fees charged for the services provided.

**Applicant Eligibility:**

Any individual, Federal, State, county, or municipal agencies, or carrier having a financial interest in the commodity.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Applicants must stipulate that they have a financial interest in the product. Applicants for in-plant inspection service must furnish a surety bond or other guarantee of payment. Applicants for other types of services may be required to furnish a surety bond or make payment prior to the receipt of services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants for in-plant inspection services must do so in writing to the nearest regional inspection office. Requests for other types of services may be made orally or in writing to the Regional Inspection Office.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

n/a. See the following for information on how assistance is awarded/released: Funds are released or reimbursed as agreed in the Standard Terms and Conditions required by each grant.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Provision of Specialized Services) FY 11 \$22,368,002; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Chapter II, Parts 260 to 267; Inspection Services Brochure, USDC approved list of fish establishments and products, free. Also available on the Internet at <http://seafood.nmfs.noaa.gov/>. Service fees are established annually.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

n/a Inspection Services Division, National Marine Fisheries Services, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-2355

**Website Address:**

<http://seafood.nmfs.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.415 FISHERIES FINANCE PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Merchant Marine Act, 46 U.S.C 1271 et seq.

**OBJECTIVES:**

Provides direct loans for certain fisheries costs. Vessel financing available for the purchase of used vessels or the reconstruction of vessels (limited to reconstructions that do not add to fishing capacity). Refinancing available for



existing debt obligations. FFP loans are not issued for purposes which could contribute to over capitalization of the fishing industry. Finance or refinance fisheries shore side facilities or Aqua cultural facilities. Provides Individual Fishing Quota (IFQ) financing (at the request of a Fishery Management Council). IFQ financing available at this time to first time purchasers and small vessel operators in the Halibut Sablefish fisheries. Provides long term fishery buy back financing (at the request of a Fishery Management Council or Governor) to purchase and retire fishing permits and/or fishing vessels in overcapitalized fisheries.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Direct loans for up to 80 percent of actual cost, for reconstruction or reconditioning of fishing vessels, renovation, repair or construction of fisheries shore side facilities, (including aquaculture facilities) and financing and refinancing the cost of certain IFQs. Maximum maturity up to 25 years. Funds from this program are not used for purposes which contribute to over capitalization of the fishing industry.

**Applicant Eligibility:**

Applicant must possess the ability, experience, financial resources, and other qualifications necessary to operate successfully and repay the debt.

**Beneficiary Eligibility:**

Commercial fishermen, processors or distributors of fishery products.

**Credentials/Documentation:**

Financial statements, records, business history, and tax returns. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Not applicable.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Maximum term is 25 years. Financing based on the economic useful life of the asset financed. See the following for information on how assistance is awarded/released: Funds are released or reimbursed as agreed upon in the Standard Terms and Conditions required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Annual Financial Statements and associated financial information as needed. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Agency has the right to inspect all relevant financial documents and records.

**Account Identification:**

13-1456-0-1-376.

**Obligations:**

(Direct Loans) FY 11 \$67,549,448; FY 12 est \$115,000,000; and FY 13 est \$83,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 253.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Leo Erwin Financial Services Division, National Marine Fisheries Service, Department of Commerce, 1315 East-West Highway, Silver Spring, Maryland 20910 Email: leo.erwin@noaa.gov Phone: 3017132390 Fax: 3017131306

**Website Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/ffp.htm](http://www.nmfs.noaa.gov/mb/financial_services/ffp.htm) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.417 SEA GRANT SUPPORT**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

National Sea Grant College Program Act, Public Law 100-220; Sea Grant College Program Improvement Act of 1976, Public Law 94-461, 33 U.S.C 1121.

**OBJECTIVES:**

To support the establishment and operation of major university centers for marine resources research, education, and training and to support marine advisory services. Some individual efforts in these same areas also receive funding.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development, education and training, and advisory services. Coherent area, institutional and Sea Grant College support is provided to some institutions. Grant money cannot be used to purchase, or construct ships or facilities.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories; any public or private corporation, partnership, or other association or entity; any State, political subdivision of a State or agency or officer thereof; any individual.

**Beneficiary Eligibility:**

Organizations and individuals with professional interest in marine affairs.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in a proposal to Headquarters Office or local Sea Grant program fully documenting need for grant and proposed amount. This program is excluded from coverage under OMB Circular No. A- 102.

**Award Procedure:**

Awards are made competitively on the basis of proposal evaluation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with Sea Grant Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: n/a.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial status reports and performance reports required quarterly. Final reports are required at the end of the support period.

**Audits:**

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

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for purpose for which grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$63,185,574; FY 12 est \$64,891,105; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 600-635; Literature: Suggestions for Submission of Proposals and

Administration of Grants, National Sea Grant Program (no charge). Federal Register Vol. 43, No. 70 dates April 1978 and Vol. 43, No. 153 dated August 8, 1978, Part III, Title 15, Chapter IX, Part 917. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

na Director, National Sea Grant College Program, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-2448

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.430 Undersea Research; 20.806 State Maritime Schools; 20.807 U.S. Merchant Marine Academy; 47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged on the degree to which they contribute to the purposes of the Act, along with their relevance to the oceans, Great Lakes, and the marine environment. They are also judged on expected results and benefits, soundness of scientific approach, cost effectiveness, and other factors.

**11.419 COASTAL ZONE MANAGEMENT ADMINISTRATION AWARDS****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Coral Reef Conservation Act of 2000, Section 6403, Public Law 106-562; Coastal Zone Management Act Amendments of 1986, Public Law 99-272; Coastal Zone Management Act Amendments of 1984, Public Law 98-620; Coastal Zone Act Reauthorization Amendments of 1990, Public Law 101-508; Coastal Zone Management Act of Amendments 1980, Public Law 96-464; Coastal Zone Management Act of Amendments 1976, Section 306, Public Law 94-370; Coastal Zone Management Act of 1972, Public Law 92-583, 16 U.S.C 1451.

**OBJECTIVES:**

To assist States in implementing and enhancing Coastal Zone Management and related programs that have been approved by the Secretary of Commerce.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreements may be used only to implement and enhance the States' approved Coastal Zone Management programs. This includes personnel salaries, travel and other related costs required to support the administration of the program. Ten to twenty percent of Section 306 funds are available annually to develop new program requirements under Section 309 in the areas of coastal wetlands management and protection; natural hazards management (including potential sea and Great Lakes level rise); public access improvements; reduction of marine debris; assessment of cumulative and secondary impacts of coastal growth and development; special area management planning; impacts of coastal growth and development; special area management planning; ocean resource planning; and citing of coastal energy and Government facilities. and

program development grants as authorized by section. Section 310 can be used to provide grants for technical assistance and to address coastal issues such as Coastal Nonpoint Source Pollution Program Implementation and Coral Reef conservation activities. CELP can be used to provide grants for protecting important coastal and estuarine areas that have significant conservation, recreation, ecological, historical, or aesthetic values, or that are threatened by conversion from their natural or recreational state to other uses (16 USC 33 Section 1456d).

**Applicant Eligibility:**

Any coastal State, including those that border the Great Lakes, and including Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States of the Pacific whose Coastal Zone Management program has been approved by the Secretary of Commerce. The Governor shall designate the State agency or entity that is to be the applicant.

**Beneficiary Eligibility:**

Any coastal State, including Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States of the Pacific whose Coastal Zone Management program has been approved by the Secretary of Commerce.

**Credentials/Documentation:**

Letter from Governor designating the applicant. Proposal with statement of work and budget estimate. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.gov. The Application for Federal Assistance (Non-construction Programs) SF-424 is to be submitted in original and two copies. This program is subject to provisions of 15 CFR Part 24 for State and local governments. CELP and Coral Reef conservation awards are competitively selected through a peer review process.

**Award Procedure:**

Applications are approved by the Office of Ocean and Coastal Resource Management.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 150 days.

**Appeals:**

No formal procedure. If application is unacceptable the applicant is fully informed and applicant may revise application.

**Renewals:**

Continuation grants on an annual basis are available. Individual grants may be extended, however, all funds must be obligated within the fiscal year following the fiscal year of the original award.

**Formula and Matching Requirements:**

Statutory Formula: Title 15 - Commerce and Foreign Trade, Chapter IX - National Oceanic and Atmospheric Administration, Part 923 - Coastal Zone Management Program Regulations, Subpart B. 16 U.S.C. 1455. Administrative grants (Section 306) and CFR Title 15, Part 923.110 prescribe allocations for administration of programs based on length of shoreline and coastal population, plus other factors. Matching Requirements: 16 U.S.C. 1455. Administrative grants (Section

306) and CFR Title 15, Part 923.110 prescribe non-federal match requirements, generally at a ratio of 1:1.

Sec 309 Enhancement awards do not require non-federal match. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally made for 18 months. Funds are released as required. See the following for information on how assistance is awarded/released: Funds are released as required.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial status and performance reports are required semi-annually. Final financial status reports are required within 90 days of award ending date.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$76,002,969; FY 12 est \$65,700,206; and FY 13 est \$66,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: State coastal programs protected and restored key coastal habitat, managed development to promote water-dependent uses and minimize risks to coastal hazards, and helped protect coastal water quality. Fiscal Year 2012: State coastal programs will protect and restore coastal habitat, promote coastal community development, mitigate risks from coastal hazards, protect coastal water quality, and improve public access to the coast. Fiscal Year 2013: State coastal programs will protect and restore coastal habitat, promote coastal community development, mitigate risks from coastal hazards, protect coastal water quality, and improve public access to the coast.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 923. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

n/a Chief, Coastal Programs Division, Office of Ocean and Coastal Resource Management, National Ocean Service, National Oceanic and Atmospheric Administration, Department of Commerce, 1305 East-West Highway, 11th Floor, Silver Spring, Maryland 20910 Phone: 3017133155

**Website Address:**

<http://coastalmanagement.noaa.gov/programs/czm.html>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.473 Coastal Services Center; 11.482 Coral Reef Conservation Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: California helped local governments reduce their coastal hazard risk by incorporating sea level rise and other information into their coastal planning and permitting decisions. Multiple states created or enhanced sites that allow public access to the coast for recreation, and engaged in ocean planning efforts. Fiscal Year 2012: State and local examples for managing coastal erosion, collecting data for and mapping coastal and ocean habitat and uses, and develop best practices for addressing sea level rise. Fiscal Year 2013: State and local examples for managing coastal erosion, collecting data for and mapping coastal and ocean habitat and uses, and develop best practices for addressing sea level rise.

**CRITERIA FOR SELECTING PROPOSALS:**

While 80 to 90 percent of the appropriated funds are allocated to States through a formula based on coastal population and shoreline mileage, the tasks in the State application are reviewed for relevance to program objectives and cost effectiveness. The remainder of the funds are allocated according to criteria published by the Coastal Program Division. CELP and Coral Reef funds are distributed through a competitive process, subject to availability of funds for competitive awards.

**11.420 COASTAL ZONE MANAGEMENT ESTUARINE RESEARCH RESERVES**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Coastal Zone Management Act Amendments of 1987, Section 315, Public Law 94-370; Coastal Zone Management Act Amendments of 1984, Public Law 98-960; Coastal Zone Management Act Amendments of 1980., Public Law 96-464; Coastal Zone Management Act of 1972, Section 312, Public Law 92-583, 16 U.S.C 1451; Coastal Zone Act Reauthorization Amendments of 1990, Stat. 508.

**OBJECTIVES:**

To assist States in the development, acquisition, monitoring, research, education, operation and facilities construction for National Estuarine Research Reserves for the purpose of creating natural field laboratories to gather data and make studies of, and educate people about the natural and human processes occurring within the estuaries of the coastal zone.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to cover the costs of land acquisition, development, research, education, operation and facilities construction for National Estuarine Research Reserves. Development and operation costs may include the administrative expenses necessary for implementing reserve programs. Grants are available to states for education projects at reserves. Competitive research grants are also available.

**Applicant Eligibility:**

Land acquisition, development, operation, and facilities construction grants are available to any coastal State and, in some cases, public or private person, including those bordering the Great Lakes. For the purposes of the Coastal Zone Management Act, the coastal State also applies to Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Governor shall designate the State agency or entity to be the applicant. Competitive research grants are available to any coastal State or qualified public or private person. Education grants are available to any coastal State entity.

**Beneficiary Eligibility:**

Any coastal State including those bordering the Great Lakes, as well as Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible for reserve operation, land

acquisition, or construction awards where a reserve has been designated and for development awards for designating new reserves. Also qualified students are eligible to apply for research fellowship grants.

**Credentials/Documentation:**

(1) For development grants: A letter from the Governor designating the lead agency for new reserve development; (2) for competitive research grant proposals which do not come from the lead agency: A letter from the reserve manager indicating formal support of the application by the lead agency; (3) for reserve operations, land acquisition, and construction: An application from the reserve lead agency or its designee. For all grants, a statement of work and budget estimate must be submitted. Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.gov. For development (construction) awards, the Application for Federal Assistance (For Construction Programs) SF-424, as furnished by NOAA is to be submitted in original plus two copies. For operation and management, education and research, acquisition and non-construction development awards, the application for Federal assistance (For Non-Construction Programs) SF-424 is to be used. This program is subject to the provisions of 15 CFR Part 24 for State and local governments.

**Award Procedure:**

Applications are approved by the Office of Ocean and Coastal Resource Management and Grants Management Division.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 150 workdays.

**Appeals:**

No formal procedure. If application is unacceptable the applicant is fully informed and may revise application.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 15, Chapter IX, Part 921, Subpart D. 16 U.S.C. 1461 Section 315 and 15CFR 921.32 state that federal funds may not exceed 70% of the total cost of operating and managing a reserve for any one year. Per 15CFR 921.31, federal funds for awards for the acquisition of lands or waters, or interests therein, for any one reserve, may not exceed 50% of the total cost of the award, and for facilities may not exceed 70% of the total cost of the award. Matching Requirements: Range from 0 to 50 percent of the total project cost provided by the applicant depending upon the type of project. The Federal share for each reserve shall not exceed \$5,000,000 for acquisition of lands, waters or interests therein, unless using Congressionally-directed funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, 18 months. Land acquisition and construction may be longer. Funds are released as required. See the following for information on how assistance is awarded/released: As required.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. All financial status and performance reports are required semi-annually.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the Final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306; 13-1460-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$18,764,103; FY 12 est \$21,637,937; and FY 13 est \$18,979,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The state-federal partnership program, the National Estuarine Research Reserves System, worked collaboratively to improve understanding of estuarine ecosystems through research and monitoring of water quality and habitat; train over 5,000 coastal decision-makers on key topics of local relevance and national significance, tools, and approaches to effectively manage coastal habitats and communities; educate over 90,000 citizens and K-12 audiences on key issues of importance to understanding and protecting estuaries and coasts, and served as stewards of estuarine resources. The NERRS protected valuable estuarine lands through investment in land acquisition. NERRS also made facilities improvements to support reserve operations and model sustainable practices. Fiscal Year 2012: The state-federal partnership program, the National Estuarine Research Reserves System, is working collaboratively to improve understanding of estuarine ecosystems through research and monitoring of water quality and habitat; train coastal decision-makers on key topics of local relevance and national significance, tools, and approaches to effectively manage coastal habitats and communities; educate citizens and K-12 audiences on key issues of importance to understanding and protecting estuaries and coasts, and served as stewards of estuarine resources. The NERRS is investing in land acquisition to protect valuable estuarine habitats and facilities improvements to support reserve operations and model sustainable practices. Fiscal Year 2013: The state-federal partnership program, the National Estuarine Research Reserves System, is working collaboratively to improve understanding of estuarine ecosystems through research and monitoring of water quality and habitat; train coastal decision-makers on key topics of local relevance and national significance, tools, and approaches to effectively manage coastal habitats and communities; educate citizens and K-12 audiences on key issues of importance to understanding and protecting estuaries and coasts, and served as stewards of estuarine resources. The NERRS is investing in land acquisition to protect valuable estuarine habitats and facilities improvements to support reserve operations and model sustainable practices.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 921 National Estuarine Research Reserve System Program Regulations. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief of Estuarine Resources Division Chief, Estuarine Reserves Division, Office of Ocean and Coastal Resource Management, National Ocean Service, National Oceanic and Atmospheric Administration, Department of Commerce, 1305 East-West Highway, N/ORM5, 10th Floor, Silver Spring, Maryland 20910 Phone: (301) 713-3155

**Website Address:**

<http://www.nerrs.noaa.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.429 Marine Sanctuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The three Florida Reserves promoted reduction of non-point source pollution and improvement of the landscaping industry practices through their training efforts which translated into creation of a state law for all landscaping businesses. These efforts improve the environment, economy, and society. Fiscal Year 2012: Local specific examples of addressing water quality, habitat, and climate change for estuarine ecosystems and coastal communities. Fiscal Year 2013: Local specific examples of addressing water quality, habitat, and climate change for estuarine ecosystems and coastal communities.

**CRITERIA FOR SELECTING PROPOSALS:**

There are five types of awards to coastal States under the National Estuarine Research Reserve Program: (1) land acquisition; (2) development; (3) operation, education, monitoring; (4) research; and (5) facilities construction. Detailed criteria for the State's development of these awards and criteria for reviewing each award are provided in the regulations for the National Estuarine Research Reserves Program (15 CFR Part 921). Final regulations were published in the Federal Register, July 15, 1993.

**11.426 FINANCIAL ASSISTANCE FOR NATIONAL CENTERS FOR COASTAL OCEAN SCIENCE****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

National Ocean Pollution Planning Act of 1978, Section 6, Public Law 095-273; Marine Protection, Research, and Sanctuaries Act of 1972, Title II, Section 201, Public Law 095-532; Executive Order 13158.

**OBJECTIVES:**

NCCOS provides research, scientific information and tools to help balance the Nations ecological, social and economic goals. Our partnerships with local and national coastal managers are essential in providing science and services to benefit communities and the Nation. The research and tools we provide are central to addressing coastal issues raised in legislation and NOAAs priorities. We seek to help coastal communities protect themselves from harmful algae, contamination and the implications of changing climate. We also provide the research necessary for communities to develop effective and sustainable management of their resources. Through competitive research funding, NCCOS also engages the nations best talent to develop cutting-edge science for coastal management applications. The research and tools we provide are central to addressing coastal issues raised in legislation and NOAAs priorities. We seek to help coastal communities protect themselves from harmful algae, contamination and the implications of changing climate. We also provide the research necessary for communities to develop effective and sustainable management of their resources. Through competitive research funding, NCCOS also engages the nations best talent to develop cutting-edge science for coastal management applications. NCCOSs four major research priorities:

**Science to Manage Threats of Harmful Algal Blooms -**

Harmful algal blooms (HABs) present one of the most scientifically complex and economically significant coastal management issues facing the nation today. Reported in every coastal state, HAB impacts have caused an estimated \$1 billion in losses to coastal economies that rely on recreation, tourism, and seafood harvesting. Authorized by the Harmful Algal Bloom and Hypoxia Research and Control Act (HABHRCA), NCCOS provides leading research to forecast, detect, prevent, control, and mitigate HABs.

#### Understanding Impacts of Coastal Contamination -

Contaminated coastal waters degrade habitats, increase the occurrence of waterborne diseases, and impact human health: all symptoms of a decline in the quality of our coastal environment. NCCOS is a national leader in advancing the science of contaminant monitoring, research, and impact assessment in coastal ecosystems. NCCOS is home to the Nations longest running coastal pollution monitoring and assessment enterprise.

#### Advancing Research on Climate Change Impacts to Coastal Ecosystems -

Climate change is expected to dramatically affect the health, productivity, and biodiversity of coastal and marine ecosystems and the communities who live along our shores. With state-of-the-art laboratories located in regions on the frontier of climate change, NCCOS is investigating how changes in sea levels, ocean chemistry, and temperature affect coastal ecosystems and the services they sustain.

#### Science for Coastal Ecosystem Management -

Competition among many users of our coasts has been on the rise for decades and will continue to increase. For over 25 years, NCCOS and its predecessors have developed innovative ecosystem maps, models, and assessments to guide communities' in managing their valuable coastal ecosystems.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

None.

#### **Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories, State and local government agencies, public or private profit or nonprofit entities or individuals.

#### **Beneficiary Eligibility:**

Organizations and individuals with demonstrated professional expertise in determining, assessing and portraying the temporal and spatial distribution of chemical contaminants and their impact upon physical, biotic and human environments, particularly coastal ecosystems. With regard to the IA competitive program element, organizations and individuals with interests in a national system of marine protected areas (MPAs).

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A standard application form (SF-424) should be submitted with a statement of work and estimated budget to the National Ocean Service, National Centers for Coastal Ocean Science (N/SCI), 1305 East-West Highway, Silver Spring, MD 20910. This program is subject to the requirements of CFR Part 14, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Nonprofit and Commercial Organizations, which replaces OMB Circular No. A-110 as the administrative rules applicable to these awards. In addition, this program is subject to the requirements of 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments", which replaces OMB A-102 as the administrative rule applicable to these awards. Applicable

administrative requirements and cost principles are identified in each award and are incorporated into the award by reference. Proposals are submitted through Grants.Gov. Applicants will need to enter the funding opportunity number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the National Centers for Coastal Ocean Science Office. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

#### **Award Procedure:**

Awards are made on the basis of proposal evaluation.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 210 days from the time of proposal receipt.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

By application to the National Centers for Coastal Ocean Science, 1305 East-West Highway, Silver Spring, MD 20910. Attn: Russell Callender.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Support for projects may be provided for periods up to 5 years in annual increments. See the following for information on how assistance is awarded/released: Funds are released as required.

#### **Reports:**

Semi-annual and final performance reports; quarterly and final financial reports, and other special reports as may be required on a case-by-case basis. Cash reports are not applicable. Semi-annual and final performance reports; quarterly and final financial reports, and other special reports as may be required on a case-by-case basis. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, recipients that are States, Local Governments, Nonprofit Organizations, and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

#### **Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement (OMB Circular No. A110 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments). The grantee must retain records for three years from the date when the final expenditure report is submitted.

#### **Account Identification:**

13-1450-0-1-306.

#### **Obligations:**

(Cooperative Agreements) FY 11 \$783,375; FY 12 est \$700,000; and FY 13 est \$700,000

#### **Range and Average of Financial Assistance:**

\$20,000 to \$550,000. Average \$250,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Identified ciguatoxin, for the first time, in a marine mammal. Ciguatoxin was confirmed by mass spectrometry in the endangered Hawaiian monk seal, and quantified in free ranging animals collected by Pacific Islands Fisheries Science Center. A larger study is underway to monitor ciguatoxins in other marine mammal species in Hawaii.

NCCOS and the Monterey Bay Aquarium Research Institute published the first study describing use of an autonomous molecular analytical and ocean observing network to characterize harmful algal bloom dynamics. Underwater sensors for HAB species and toxins, along with AUV surveys and satellite-based remote sensing provided an unprecedented, near-real time view of HABs and the environment.

Completed 2-day workshop with Gulf of Mexico state, local, NGO and federal participants to assess and develop well-being indicators and measurements that span the range of health domains, are appropriate to the entire Gulf coast areas, and can be used across agencies. This workshop is a component of a larger social science research project supported through DWH supplemental funds

NCCOS was awarded \$1.9M by DOD, Strategic Environmental Research and Development Program, to conduct an Ecological Risk Assessment of Munitions Compounds on Coral and Coral Reef Health. The project, conducted over the next 4 years, consists of a series of laboratory exposure-response studies followed by field assessments in Guam and/or the Mariana Islands.

NCCOS scientists have solved a century old problem by using NMR to characterize 8 toxins from the HAB species *Prymnesium parvum*. Its toxicity mechanism has been difficult to chase down with reports going as far back as the very early 1900s. Its toxicity is similar in some respects to *Pfiesteria* as its activity is augmented in the presence of metal co-factors. Three publications will result from this seminal work. Fiscal Year 2012: Resource managers will have access to important data to help them make informed decisions.

Strengthen resource managers scientific capacity and knowledge through activities such as providing technical advice on proposals and projects and responding rapidly to specific research questions.

Offer timely technical expertise to advise resource managers and assist them in addressing critical management issues. Fiscal Year 2013: Using mathematical models based firmly in results from monitoring and assessment, work to predict trajectories likely to be taken by various ecosystems under scenarios of global climate change and management regimes. This allows identification of future potentially threatened species and components of the ecosystem, as well as possible outcomes of various management/conservation actions.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

#### **Regional or Local Office:**

See Regional Agency Offices.

#### **Headquarters Office:**

Russell Callender National Ocean Service  
National Center for Coastal Ocean Science (N/SCI)  
1305 East-West Highway, Silver Spring, Maryland 20910 Phone:  
301-713-3020

#### **Website Address:**

<http://coastalscience.noaa.gov>

#### **RELATED PROGRAMS:**

11.417 Sea Grant Support

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants/cooperative agreements, criteria for selecting proposals is contained in the individual program solicitation. For non-competitive grants, applications received by NCCOS are reviewed for completeness, accuracy, and compliance with all program requirements. Final funding decisions will be

constrained by the actual amount of agency funding available and changes in programmatic priorities.

### **11.427 FISHERIES DEVELOPMENT AND UTILIZATION RESEARCH AND DEVELOPMENT GRANTS AND COOPERATIVE AGREEMENTS PROGRAM**

#### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

#### **AUTHORIZATION:**

Saltonstall-Kennedy Act, 15 U.S.C 713c 3(c).

#### **OBJECTIVES:**

To increase greatly the Nation's wealth and quality of life through sustainable fisheries that support fishing industry jobs, safe and wholesome seafood, and recreational opportunities.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Proposals must respond to funding priorities in the annual solicitation. Applicants should demonstrate an awareness of the fisheries resources in the region over which the resource extends as well as the issues/problems involving such fisheries. Issues/problems addressed in the project should be supported by industry experience.

#### **Applicant Eligibility:**

Any U.S. citizen or national, or any citizen of the Northern Mariana Islands, the Republic of the Marshall Islands, Republic of Palau, or the Federated States of Micronesia; or group including State and local governments, except that employees of Federal agencies, and Regional Fishery Management Councils and their employees, are not eligible.

#### **Beneficiary Eligibility:**

Any U.S. citizen or national, or any citizen of the Northern Mariana Islands, the Republic of the Marshall Islands, Republic of Palau, or the Federated States of Micronesia; or group including State and local governments.

#### **Credentials/Documentation:**

Proposal with statement of work and budget estimate. See annual solicitation published in the Federal Register for details. Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, and with OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

A listing of State single points of contact under E.O. 12372 is available at [www.hhs.gov/grantsnet/lawsregs/eo.htm](http://www.hhs.gov/grantsnet/lawsregs/eo.htm). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit Standard Form 424, project proposal and budget following the format specified by the funding office in the annual solicitation. Proposals are submitted through Grants.gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to NOAA. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

#### **Award Procedure:**

Proposals are reviewed after the submission deadline in competition with all other proposals submitted. To the extent that funds are available, those proposals judged to best meet priorities are funded. Either grants or cooperative agreements will be awarded.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Projects of up to 24-month durations will be considered. Proposals for continuing work must be completed.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are not to exceed 24 months. Financial status reports are completed and submitted. See the following for information on how assistance is awarded/released: As determined in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual progress and financial reports shall be due within 30 days after the end of the 6-month period. Final reports shall be submitted within 90 days after the end of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), recipients that are States, Local Governments, Nonprofit Organizations (to include Hospitals), and Institutions of Higher Learning shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507). Commercial organizations shall be subject to the audit requirements as stipulated in the award document. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and NonProfit Organizations; nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an agreement shall be retained for a period of three years.

**Account Identification:**

13-5139-0-2-376.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For costs principles, see OMB Circular No. A-87 (State and local governments) and OMB Circular No. A-122 for other recipients. For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

See Regional Agency Offices. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117.; Telephone: (978)281-9243; Fax: (978) 281-9117; Email: Harry.Mears@noaa.gov. Southeast Region: Robert Sadler, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Ave S., St.

Petersburg, FL 33701. Telephone: (727)824-5324. Fax (727)824-5364. E-Mail: Robert.Sadler@noaa.gov.

**Headquarters Office:**

Dan Namur Headquarters Office: Dan Namur, NOAA National Marine Fisheries Service,, Office of Management and Budget, 1315 East-West Highway, Rm. 14358, Silver Spring, MD 20910 . , Silver Spring, Maryland 20910 Email: Dan.Namur@noaa.gov Phone: (301) 713-2259 Fax: (301) 713-1306.

**Website Address:**

[http://www.nmfs.noaa.gov/mb/financial\\_services/skhome.htm](http://www.nmfs.noaa.gov/mb/financial_services/skhome.htm)

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 11.417 Sea Grant Support

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Significance of the issue addressed in the proposal, methodology proposed, responsiveness to published priorities, cost proposed, etc.

**11.429 MARINE SANCTUARY PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Marine Protection, Research, and Sanctuaries Act of 1972, Title 3, Public Law 92-532, 16 U.S.C 1431; National Marine Sanctuaries Amendments Act of 2000, Public Law 106-513; National Marine Sanctuaries Preservation Act of 1996 , Public Law 104-283.

**OBJECTIVES:**

To identify areas of the marine environment of special national significance due to their resource or human-use values; to provide authority for comprehensive and coordinated conservation and management of these marine areas that will complement existing regulatory authorities; to support, promote, and coordinate scientific research on, and monitoring of, the resources of these marine areas; to enhance public awareness, understanding, appreciation, and wise use of the marine environment; and to facilitate, to the extent compatible with the primary objective of resource protection, all public and private uses of the resources of these marine areas not prohibited pursuant to other authorities; and to support organizations that provide environment-based education to students, teachers and communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative agreements are entered into for the purpose of conducting research and educational programs; for the solicitation of private donations for the support of such activities in the Marine sanctuary system; to conduct enforcement activities at Marine sanctuary sites; and for other activities to carry out the purposes of the National Marine Sanctuaries Act. Scholarships are provided for masters and doctorate level studies particularly by women and minorities who are pursuing degrees in Marine Biology, Maritime Archaeology and Oceanography.

**Applicant Eligibility:**

States, local governments, regional agencies, interstate agencies, k-through-12 public and independent schools and school systems, institutions of higher education, commercial and nonprofit organizations, Indian tribal Governments, or other persons. Agreements to solicit private donations may only be made with nonprofit organizations. Scholarships are awarded to individuals who are U.S. citizens and have been admitted to a masters or doctorate program for studies in Marine Biology, Maritime Archaeology, and Oceanography.

**Beneficiary Eligibility:**

Financial assistance is made for a public purpose. The ultimate beneficiary is the public. The scholarship program benefits individuals who do not have the financial means of pursuing graduate level studies and, in turn, ensures that



women and minorities are representative in the areas supported by the scholarship program.

**Credentials/Documentation:**

Proposal with statement of work and budget estimate. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms, as furnished by NOAA and required by 15 CFR Part 24, must be used when applying for Federal funding. These forms can be obtained from the NOAA Grants Management Division. Informal preapplication conferences are recommended. Consultation and assistance is available from NOAA in the preparation of an application. This program is excluded from coverage under E.O. 12372. For the scholarships to individuals, there is no preapplication requirement. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. For cooperative agreements and competitive awards, the application package will be submitted directly to the National Marine Sanctuary Program. For scholarships, the application package will be submitted directly to the NOS Office of the assistant Administrator. This program is subject to the provisions of OMB Circular No. A-110, for institutions of higher education and other nonprofit organizations, and with 15 CFR Part 24 for State and local governments. Monterey Bay Watershed Education and Training Program Awards are competitively selected. The application process is described in the annual Federal Register Notice. For the scholarship program, the application process is described in the annual Federal Register Notice.

**Award Procedure:**

The cooperative agreement and competitive grants awards are approved by the National Marine Sanctuary Program. Scholarship awards are approved by NOS Associate Assistant Administrator for Management.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 120 days.

**Appeals:**

No formal procedure.

**Renewals:**

The National Marine Sanctuary Program may renew funding for existing grants that were funded in the previous application process. New grants may be awarded pending successful review of a new application package, and adequate progress reports and/or site visits.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are usually made for a 1 year period. Funds are released as required. See the following for information on how assistance is awarded/released: as required.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial Status Reports and Performance Reports are required quarterly or semi-annually. For the scholarships, an annual Progress Report is required and a final Progress Report is required at the end of the award. For the competitive awards, Financial and Performance Reports are semi-annually and a

comprehensive final Progress Report is required at the end of the award.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained by the terms of the agreement. The grantee must retain records for three years from the date when the Final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$5,172,885; FY 12 est \$7,991,661; and FY 13 est \$7,270,000 - FY 2012 (projection): Cooperative Agreements \$5,395,662.00; BWET California: \$720,500.00; BWET Great Lakes: \$999,000.00; Tribal Grants: \$110,000.00; BWET Pacific Northwest: \$265,000.00; Nancy Foster Scholarships: \$500,000.00

FY 2013 (projection): Cooperative Agreements \$5,000,000; BWET California: \$500,000.00; BWET Great Lakes: \$900,000.00; Tribal Grants: \$110,000.00; BWET Pacific Northwest: \$260,000.00; Nancy Foster Scholarships: \$500,000.00.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Office of National Marine Sanctuaries will award 50 grants in FY12 which consist of outreach and educational support for the National Marine Sanctuary Foundation, California and Great Lakes B-WET programs that provide funding to local schools and universities for marine research, The Nancy Foster Scholarship that provides college funds/assistance for college students and tribal support for the Indian Tribes located in Washington State. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 922. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

None. Regional or Local Office. Local Offices at each sanctuary.

**Headquarters Office:**

Priti Brahma NOAA Office of Education, Route: OED, Bldg SSMC3 Room 10725, 1315 East West Highway, Silver Spring, Maryland 20910 Phone: 3017139437 x118 Fax: priti.brahma@noaa.gov

**Website Address:**

[http://www.oesd.noaa.gov/scholarships\\_opps.html](http://www.oesd.noaa.gov/scholarships_opps.html)

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.457 Chesapeake Bay Studies; 11.473 Coastal Services Center

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: BWET California and Great Lake funds provide local schools and universities funding for marine research. The Nancy Foster Scholarship provides funding and tuition assistance to Science graduates for

continuing education in Marine Science. The National Marine Sanctuary Foundation provides outreach and educational support to raise awareness of marine sciences. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A set of ranking criteria was developed to establish the priority of proposed efforts funded through the National Marine Sanctuary Program. The criteria include: (1) importance of the information or transaction for sanctuary management decisions; (2) date of the available information or accomplishment for which funds are expended; (3) status of information or accomplishment; and (4) generic applicability of information or techniques receivable from effort. Criteria for scholarships include financial need, academic record, recommendations, organizational, analytical, and written communications skills based on the statement of intent, and research and career goals and objectives as described in the statement of intent. Criteria for Monterey Bay Watershed Education and Training Program competitive awards include: (1) Importance and/or relevance and applicability of proposal to the program goals; (2) Technical Merit; (3) Overall qualifications for applicants; (4) Project costs, and (5) Financial need of student.

**11.430 UNDERSEA RESEARCH**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Outer Continental Shelf 1978, Section 21E; Coast and Geodetic Survey Act, Public Law 80-373.

**OBJECTIVES:**

To place man safely undersea to conduct research in support of National Oceanic and Atmospheric Administration (NOAA) and national science requirements.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development and to purchase and/or lease technology in support of program goals.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutes, laboratories; any State, political subdivision of a State, or agency or office thereof; any individual.

**Beneficiary Eligibility:**

Organizations and individuals with professional interests in marine science engineering.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Cost will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit organization. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Formal proposal to the headquarters office that documents fully the grant requirements and requested support with application for Federal Assistance (SF 424). This program is subject to the requirements of 15 CFR Part 24, Grants and Cooperative Agreements with State and Local Governments and OMB Circular No. A-110, as applicable.

**Award Procedure:**

Awards are made on the basis of proposal evaluation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 to 150 days from time of proposal submission.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with the office of Undersea Research.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: as stated in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial status reports and performance reports are required quarterly. Final reports are required at the end of the grant period.

**Audits:**

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

**Records:**

Grantees are required to maintain complete records for each grant to ensure funds are used pursuant to the statement of work.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$5,520,457; FY 12 est \$3,300,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Symposia Series for Undersea Research; National Solicitation of Research Proposals; Annual Report. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Director of Undersea Research Director, Office of Undersea Research, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-2427

**Website Address:**

<http://www.nurp.noaa.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the degree to which they contribute to the goals and objectives of NOAA along with their relevance to national science requirements for the marine environment, and the extent of expected benefits, scientific quality, cost effectiveness, and other factors.

**11.431 CLIMATE AND ATMOSPHERIC RESEARCH****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

National Climate Program Act, 15 U.S.C 2931-2934; Weather Service Organic Act, 15 U.S.C 2904; Federal Aviation Act, 49 U.S.C 4720; Navigation and Navigable Waters, 33 U.S.C 883d.

**OBJECTIVES:**

To develop the knowledge required to establish a predictive capability for short and long-term climate fluctuations and trends.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development, advisory services, and operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis.

**Applicant Eligibility:**

Institutions of higher education, other nonprofits, commercial organizations, international organizations, state, local and Indian tribal governments.

**Beneficiary Eligibility:**

Organizations and individuals with interests in meteorology, oceanography, and climate research and prediction.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards are made on the basis of peer review of proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 100 to 200 days from time of proposal receipt.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with Climate Program Office.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Cost Sharing is only required in one program element competition which is the NOAA Climate Transition Program (NCTP)

where the Cost Share Percentage must be at least 5 percent of the total costs. The other competitions have no cost sharing requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant award period ranges one to five years with annual funding for one year. See the following for information on how assistance is awarded/released: As stated in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Annual performance and financial reports are required. Final reports are due 90 days after expiration of award. Annual performance and financial reports are required. Final reports are due 90 days after expiration of award.

**Audits:**

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

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for purpose for which grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$68,564,887; FY 12 est \$30,398,522; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Director Director, Climate Program Office, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Suite 12860, Silver Spring, MD 20910. Telephone: (301) 734-1263. , Silver Spring, Maryland 20910 Phone: (301) 427-2089

**Website Address:**

<http://www.climate.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office and peer review process taking into consideration primarily scientific merit and application to office research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

**11.432 NATIONAL OCEANIC AND ATMOSPHERIC**

## **ADMINISTRATION (NOAA) COOPERATIVE INSTITUTES**

### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

### **AUTHORIZATION:**

National Climate Program Act, 15 U.S.C 2904; Navigation and Navigable Waters, 33 U.S.C 1442; Cooperative Agreements/Reimbursement to Further NOAA's Mission, 15 U.S.C 1540; Fish and Wildlife Coordination Act of 1956, 16 U.S.C 661; Navigation and Navigable Waters, 33 U.S.C 883d; Federal Aviation Act, 49 U.S.C 44720(b); Fish and Wildlife Act, 16 U.S.C 753a; Weather Service Organic Act, 15 U.S.C 313; Department of Commerce Appropriation Act of 1999; National Climate Program Act, 15 U.S.C 2901 et seq.

### **OBJECTIVES:**

To increase the effectiveness of research and develop innovative approaches to education in the environmental sciences by facilitating cooperation between government, university, and nonprofit research institutions.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Program authorizes funds to be used for research and development, education and training, advisory services and operational systems as they relate to specific NOAA programs. Specific restrictions, other than those mandated for cooperative agreements, are evaluated on an individual program basis. Most Cooperative Institutes (CIs) operate under a Memorandum of Understanding/Memorandum of Agreement and are geographically located near a NOAA Research laboratory or a NOAA facility. In addition, 118 Stat. 71 (2004) authorizes the Secretary to designate (delegated to the Under Secretary of NOAA) CIs to use the personnel, services, or facilities of such organizations for research, education, training, and outreach to further NOAA's mission under a cooperative agreement.

### **Applicant Eligibility:**

Single or multiple non-federal public and private non-profit universities, colleges and research institutions that collectively offer accredited graduate level degree-granting programs in NOAA related sciences.

### **Beneficiary Eligibility:**

Organizations with interests in support of the NOAA mission to understand and predict changes in Earth's environment and conserve and manage coastal and marine resources to meet the nations' economic, social, and environmental needs.

### **Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circular Nos. A-21 for agreements with educational institutions, A-87 for State and local governments, and A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

The standard application forms as furnished by the agency and required by OMB Circular Nos. A-21 and A-110 must be used for this program. This program is excluded from coverage under OMB Circular No. A-102. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable.

### **Award Procedure:**

Accepted applications are subject to peer review by a review panel assembled by the Cooperative Institute Program Manager. All applicants are notified whether or not their proposal was funded.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal submission.

### **Appeals:**

Not Applicable.

### **Renewals:**

Initial awards are for 5 years; renewals may be made for a period of up to 5 additional years, based upon the availability of funds and the results of an extensive scientific and administrative review, typically occurring in the fourth year of the first 5-year award.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Generally, five years with funding approved on individual and group proposal basis throughout the 5 years in accordance with DOC approval. See the following for information on how assistance is awarded/released: As described in Standard Terms and Agreement.

### **Reports:**

In accordance with applicable report or announcement published in the Federal Register and/or Federal Funding Opportunities in Grants.gov. . . .

### **Audits:**

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

### **Records:**

Recipients are expected to maintain complete records for each cooperative agreement to insure funds are used for the purposes that the cooperative agreement was made. Records must be retained for 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

### **Account Identification:**

13-1450-0-1-306; 13-1460-0-1-306.

### **Obligations:**

(Project Grants) FY 11 \$165,186,199; FY 12 est \$148,054,000; and FY 13 est \$153,800,000

### **Range and Average of Financial Assistance:**

Total annual funding at current Cooperative Institutes ranges from \$1,300,000 to \$30,000,000. Average funding is \$10,000,000.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

### **Regional or Local Office:**

None. OAR, Philip Hoffman - CI Director, NOAA Research, R/LCX2, 1315 East-West Highway, Room 11308, Silver Spring, MD 20910. Telephone: 301-734-1090. E-mail: Philip.Hoffman@noaa.gov. NESDIS, Ingrid Guch, Chief, Cooperative Research Programs Division, World Weather Building, Suite 701, 5200 Auth Road, Camp Springs, MD 20746. Telephone: (301) 763-8282 x152. E-mail: Ingrid.Guch@noaa.gov. NMFS, Kathleen Jewett, 2725 Montlake Blvd East, Seattle, WA 98112-2097. Telephone: (206) 860-3208.

E-mail: Kathleen.Jewett@noaa.gov.

**Headquarters Office:**

Philip Hoffman OAR: Dr. Philip Hoffman, CI Director NOAA Research, R/LCX2,1315 East-West Highway, Room 11308, Office: (301) 734-1090 Cell: (301) 452-3013 Fax: (301) 713-1459 E-mail: Philip.Hoffman@noaa.gov, NESDIS: Ingrid Guch, Chief, Cooperative Research Programs Division, World Weather Building, Suite 701, 5200 Auth Road, Camp Springs, MD 20746 Office: (301) 763-8282 x152 Fax: (301) 763-8108 E-mail: ingrid.guch@noaa.gov, NMFS: Kathleen Jewett, 2725 Montlake Blvd East Seattle, WA 98112-2097 Office: (206) 860-3208 Fax: (206) 860-3442 E-mail: kathleen.jewett@noaa.gov.

, Silver Spring, Maryland 20910 Phone: (301) 734-1090.

**Website Address:**

<http://www.nrc.noaa.gov/ci>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.459 Weather and Air Quality Research; 11.460 Special Oceanic and Atmospheric Projects; 11.462 Hydrologic Research; 11.468 Applied Meteorological Research; 11.473 Coastal Services Center

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to peer-review evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into primary consideration scientific merit and application to the mission goals of NOAA.

**11.433 MARINE FISHERIES INITIATIVE**

(MARFIN)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Magnuson Fishery Conservation and Management Act, 16 U.S.C 1854e; Saltonstall-Kennedy Act, 16 U.S.C 713 c-3d; Fish and Wildlife Act of 1956, 16 U.S.C 753a.

**OBJECTIVES:**

To provide financial assistance for research and development projects that will provide information for the full and wise use and enhancement of fishery resources in the Southeast U. S. Gulf of Mexico and the South Atlantic beginning with the State of North Carolina south to Florida. In addition, beginning in Fiscal Year 1998 similar assistance is provided for the coastal New England states.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to develop harvest methods, economic analyses of fisheries, processing methods, fish stock assessment and fish stock enhancement. Projects are restricted to the fisheries in the Southeast Region including the U.S. Gulf of Mexico and the South Atlantic beginning with North Carolina, South Carolina to Florida. Funds are not used for loans. Also, projects in the coastal New England States will be considered. In the Northeast, project priorities have varied during the first two years of funding availability. During Fiscal Year 1999, the area of emphasis was new methods or techniques to improve the ability of scientists to identify the stock structure of selected species of fish and shellfish to improve fisheries management.

**Applicant Eligibility:**

States or local governments, universities, private enterprise, individuals or any other entity, nonprofit or otherwise, if such entity is a citizen of the United States within the meaning of Section 2 of the Shipping Act, 1916, as amended, 46 U.S.C. 802.

**Beneficiary Eligibility:**

Federal, State and local governments, universities, private enterprise, nonprofit or profit organizations, and the general public.

**Credentials/Documentation:**

Applicants must include resumes of qualifications and experience of the principal investigators. They are expected to demonstrate expertise in the proposed area of study. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals will be reviewed, evaluated and ranked by the National Marine Fisheries Service (NMFS). The ranking is divided into two groups; (a) recommended; and (b) not recommended. They are then presented to a panel of fishery experts and to the MARFIN Panel. The Panel will individually submit their funding recommendations to the Regional Administrator of the appropriate Region. The Regional Administrator in consultation with the Assistant Administrator for Fisheries will determine funding availability and select the projects to be funded. The selected proposals will be reviewed and negotiated by the appropriate Regional Office and the assigned Technical Monitor. A complete application will be forwarded to the NOAA Grants Officer for approval and award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Successful applicants will be selected generally within 180 days. Awards will be made normally within 240 days after the date of publication of the Federal Register.

**Appeals:**

Not Applicable.

**Renewals:**

Multi-year awards of up to three years may be approved. Once awarded, multi-year projects will not compete for funding in subsequent years. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The money must be spent during the award period. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable.

Semi-annual progress and financial reports are due six months after the start date of the award. Progress reports should summarize all work accomplished during the six months following the start date of the award and the financial reports should reflect the use of funds. A final report is due 90 days after completion of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be retained for 3 years from the date of the final financial status report for each award.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,984,322; FY 12 est \$2,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A description of MARFIN activities is available and published in an "Annual Report." A copy may be obtained from the Southeast Regional Office. There is no funding history in the Northeast Region prior to FY 1998. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CRF Part 24 for state and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Southeast: Robert Sadler, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Avenue S., St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail: robert.sadler@noaa.gov. Kenneth L. Beal, National Marine Fisheries Service, Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281- 9117.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1)The goal of the study is to evaluate the efficacy of data-poor assessment approaches in determining the sustainability status of reef fishes  
2)The two-year research will study the population structure of red snapper. The results will yield valuable genetic information that will be used to evaluate the extent of genetic flow between red snapper population along the Atlantic  
3)The research will address the utility of digital analysis of the zooplankton component of the Southeast Area Monitoring and Assessment Program

(SEAMAP) to answer important ecological questions and to establish new sample analysis methods. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority in program emphasis will be placed upon funding projects that have the greatest probability of recovering, maintaining, improving, or developing fisheries, improving our understanding of factors affecting recruitment success, generating increased values from fisheries, and generating increased recreational opportunity and harvest potential. Projects will be evaluated as to the likelihood of achieving these benefits through both short-term and long-term research projects with consideration of the magnitude of the eventual economic benefit that may be realized.

**11.434 COOPERATIVE FISHERY STATISTICS**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C 753 a.

**OBJECTIVES:**

To maintain a cooperative State and Federal partnership to provide a continuing source of fisheries dependent statistics to support fishery management in the States' Territorial Sea and the U.S. Exclusive Economic Zone.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to support cooperative State and Federal programs to collect statistics on commercial and recreational fisheries in support of the Magnuson-Stevens Fishery Conservation Management Act.

**Applicant Eligibility:**

Eligible applicants are the Marine Fisheries Conservation agencies of the States of Alabama, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Texas, Puerto Rico, U.S. Virgin Islands and the Gulf States Marine Fisheries Commission.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. Applicants may be required to show proof that they are mandated by their own State to monitor fishery resources and to manage or participate in the management of these resources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Multiple year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are to be expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the financial reporting period designated. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or subgrantees are required to be retained for 3 years from the date of the final financial status report for each award.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$7,406,572; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: To coordinate, plan and administer Fisheries Information

Network (FIN) activities throughout the year as well as provide recreational and commercial information to the FIN participants and other interested personnel. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with 2 CFR 225 for state, local, and Indian tribal governments; 2 CFR 230 for nonprofit organizations; 2 CFR 220 for educational institutions; and 48 CFR 31 for profit-making organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Southeast: Jeffrey Brown, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Avenue S., St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail: jeff.brown@noaa.gov. For GulfFIN: Kelly Donnelly, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Avenue S., St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail:kelly.donnelly@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

<http://sero.nmfs.noaa.gov/grants/csp.htm>

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 11.435 Southeast Area Monitoring and Assessment Program; 11.474 Atlantic Coastal Fisheries Cooperative Management Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: To coordinate, plan and administer Fisheries Information Network (FIN) activities throughout the year as well as provide recreational and commercial information to the FIN participants and other interested personnel. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the results of Cooperative Statistics and Fisheries Information Network (FIN) committee activities and on negotiations between NMFS and cooperators. The nature and scope of cooperative activities are based on the needs of the cooperating agencies. Funding is allocated by NMFS based on Cooperative Statistics and Fisheries Information Network (FIN) committee recommendations and on the level of activities that are planned for accomplishment. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.435 SOUTHEAST AREA MONITORING AND ASSESSMENT PROGRAM**

(SEAMAP)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C 753 a.

**OBJECTIVES:**

To maintain a cooperative program which engages State and Federal agencies in the coordinated collection, management, and dissemination of fishery - independent information on marine fisheries in support of State Territorial Sea and U.S. Exclusive Economic Zone fisheries management programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding through cooperative agreements involve regional member organizations in fishery - independent sampling projects. Projects are restricted

to fisheries of the Gulf of Mexico, South Atlantic and U.S. Caribbean. Cooperators are State and territorial governments, Interstate Marine Fishery Commissions.

**Applicant Eligibility:**

Eligible applicants are the Marine Fishery Conservation agencies of the States of Alabama, Florida, Georgia, Louisiana, Mississippi, North Carolina, South Carolina, Texas, Puerto Rico, the U.S. Virgin Islands, the Atlantic and Gulf States Marine Fishery Commissions.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. Applicants may be required to show proof that they are mandated by their own State to monitor fishery resources and to manage or participate in the management of these resources. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms as furnished by the agency. This program is covered under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

In FY 2003, the SEAMAP program changed to multi-year grants. Funding continues to be awarded annually, however, grant recipients submit three year proposals, that are reviewed and evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval. Subsequent years of the grant do not require proposals. All requirements for funding are worked by the Program Officer. Recipients receive notification when funding has been approved for the current fiscal year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 30 to 90 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures. Subsequent funding for the multi-year grant is typically awarded 30 days after the Program Officer completes all funding requirements.

**Appeals:**

Not Applicable.

**Renewals:**

Multiple year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are to be expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the financial reporting period designated. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$4,218,103; FY 12 est \$4,000,000; and FY 13 est \$4,000,000

**Range and Average of Financial Assistance:**

\$71,500 - \$1,372,023. Average: \$337,845.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with 2 CFR 225 for state, local, and Indian tribal governments; 2 CFR 230 for nonprofit organizations; 2 CFR 220 for educational institutions; and 48 CFR 31 for profit-making organizations.

**Regional or Local Office:**

See Regional Agency Offices. Kelly Donnelly, Federal Program Officer, State/Federal Liaison Branch, National Marine Fisheries Service, 263 13th Avenue South, St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. E-mail: kelly.donnelly@noaa.gov.

**Headquarters Office:**

N/A N/A, N/A, Non-U.S. N/A Phone: N/A

**Website Address:**

<http://caldera.sero.nmfs.gov/grants/programs/seamap.htm>.



**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 11.434 Cooperative Fishery Statistics

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This work will provide fishery-independent monitoring and assessment information essential to the rational management of United States Gulf of Mexico fisheries resources in a coordinated and cost-efficient program. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the results of SEAMAP committee activities and on negotiations between NMFS and cooperators. The nature and scope of cooperative activities are based on the needs of the cooperating agencies. Funding is allocated by NMFS based on SEAMAP committee recommendations and on the level of activities that are planned for accomplishment. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.436 COLUMBIA RIVER FISHERIES DEVELOPMENT PROGRAM  
FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Mitchell Act, Public Law 79-676, 16 U.S.C 756-757.

**OBJECTIVES:**

This program uses the facilities and personnel of State and Federal fisheries agencies and Tribal governments in the Pacific Northwest to protect and enhance the salmon and steelhead resources in the Columbia River Basin.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to develop and implement measures to protect and enhance salmon and steelhead resources in the Columbia River Basin.

**Applicant Eligibility:**

State governments and quasi-public nonprofit institution/organizations.

**Beneficiary Eligibility:**

Federal, Interstate, State, and Quasi- public nonprofit entities.

**Credentials/Documentation:**

Proposal from a State or an Interstate Fishery Agency should be submitted in accordance with 15 CFR Part 24. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Northwest Regional Office and processed by the NOAA Grants Office. Pursuant to Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided to the State on a sole-source

basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 working days.

**Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, projects must be revised in accordance with recommended changes.

**Renewals:**

Continuation grants can be made on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are normally made for one year. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi- annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$15,747,497; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 24, Mitchell Act. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A- 122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in

accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Northwest Region: Robert Z. Smith, Director, Columbia River Fisheries Development Program, NOAA/NMFS, Salmon Recovery Division, Hatcheries and Inland Fisheries Branch, 1201 NE Lloyd Blvd., Portland, OR 97232-1274. Telephone: (503) 231-2009. Fax: (503) 872-2737. E-mail: rz.smith@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

<http://www.noaa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This program provides protection for rearing and migrating juvenile salmon through the construction as well as the operations and maintenance of screens on irrigation diversions within the Columbia Basin portion of Idaho. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to projects that directly relate to NOAA statutory responsibilities (Mitchell Act) and to court actions and Federal treaties. Special consideration is given to Columbia Basin Watershed planning activities and activities impacting Federal responsibilities under the Endangered Species Act.

**11.437 PACIFIC FISHERIES DATA PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Magnuson-Stevens Fishery Conservation and Management Act, , Public Law 94-265, 16 U.S.C 1854e.

**OBJECTIVES:**

This cooperative program provides support to State fishery agencies to enhance their data collection and analysis systems to respond to coast wide and insular area fisheries management needs. The program supports fisheries data collection and analysis projects that provide catch, effort, economic and biological data on federally managed species to the Fishery Management Councils as needed for continuing management of Pacific fisheries.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to enhance State fishery data collection and analysis systems to respond to Federal fisheries management needs.

**Applicant Eligibility:**

State governments (including territories of Guam and American Samoa and the Commonwealth of the Northern Mariana Islands) and quasi-public nonprofit institution/organizations.

**Beneficiary Eligibility:**

The agency of a State government authorized under its laws to regulate commercial and recreational fisheries.

**Credentials/Documentation:**

Proposal from a State or an Interstate Fishery Agency should be submitted in accordance with 15 CFR Part 24. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the receiving National Marine Fisheries Service Regional Office and processed by the NOAA Grants Office. Pursuant to Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided on a sole-source basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 working days.

**Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, projects must be revised in accordance with recommended changes.

**Renewals:**

Continuation grants on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally made for one year. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally requires that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-5284-0-2-306; 13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$33,617,192; FY 12 Not Separately Identifiable; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

15 CFR Part 24, Magnuson Fishery Conservation and Management Act. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Alaska: Alaska Regional Office, Shawn Carey, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS. Email: shawn.carey@noaa.gov. Northwest Regional Office, Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349 Telephone: (206) 526-6115 or (6113). Email Stephen.Freese@noaa.gov. Northwest Center, Northwest: Dr. Robert Iwamoto, OMI Director, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112-2097. Telephone: (206) 860-3200. Fax: (206) 860-3442. Email: Bob.Iwamoto@noaa.gov. Pacific Islands Region: Scott Bloom, Federal Program Officer, 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 944-2218. Email: scott.bloom@noaa.gov. Southwest: Martha Kawai, Federal Program Officer, Southwest Center, Telephone: (858) 546-7007. Email: Martha.kawai@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

Alaska: <http://www.st.nmfs.gov/st1/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This cooperative agreement provides support for data collection for the West Coast groundfish trawl catch share fisheries of the West Coast of the United States and collection of the coast-wide, year round discard rates. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to State projects that provide the Fishery Management Councils with the timely information needed to make the management decisions required under fishery management plans.

**11.438 PACIFIC COAST SALMON RECOVERY\_PACIFIC SALMON TREATY PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Pacific Coastal Salmon Recovery, Public Law 106-113, 16 U.S.C 3634; Pacific Coast Salmon Treaty Act: Public Law , Public Law 99-5, 16 U.S.C 3641.

**OBJECTIVES:**

This is a cooperative program that assists the States in salmon restoration and in fulfilling responsibilities under the Pacific Salmon Treaty by providing administrative management. Support is provided to treaty Indian tribes for salmon recovery and to meet the needs of the Pacific Salmon Commission and

U.S. international commitments under the treaty.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used by State agencies and treaty Indian tribes to assist in salmon recovery and in fulfilling Federal responsibilities under the Pacific Salmon Treaty.

**Applicant Eligibility:**

State government agencies and treaty Indian tribes.

**Beneficiary Eligibility:**

This program benefits the State governments, treaty Indian tribes, Federal government, international relationships, and conservation of a public resource by ensuring that State agencies and tribal governments participate in the recovery and international management of salmon on the west coast.

**Credentials/Documentation:**

Proposal from a State agency or treaty Indian tribe should be submitted in accordance with 15 CFR Part 24. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Regional Offices and processed by the NOAA Grants Management Division. Under Section 404 of Public Law 102-567, financial assistance awards to a State or Interstate Fishery Commission may be provided on a sole-source basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 75 calendar days from the receipt of a complete and acceptable application.

**Appeals:**

No formal appeal procedure. If applications are unacceptable, the reasons are fully stated to the applicants. If the applicants desire to resubmit applications, applications must be revised in accordance with recommended changes.

**Renewals:**

Continuation grants can be made on an annual basis for approved multi-year projects. Future or continued funding will be at the discretion of NMFS, based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: For the Pacific Coast Salmon Recovery Program, States are required to provide a matching amount of 25 percent. Treaty Indian tribes are not required to provide a match for Pacific Salmon Recovery Program funds. The Pacific Salmon Treaty funds have no statutory formula; projects are funded at up to 100 percent Federal share. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally made for one year. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306; 13-1451-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$79,773,087; FY 12 est \$65,000,000; and FY 13 est \$50,000,000

**Range and Average of Financial Assistance:**

Pacific Coast Salmon Recovery:  
Range: \$30,000 to \$30,000,000  
Average: To Be Advised  
Pacific Salmon Treaty:  
\$25,000 - \$985,000  
FY 2009 Average: \$661,031.00.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pacific Salmon Treaty; 16 U.S.C. 3631 et seq. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Pacific Salmon Treaty - Northwest Region: Dave Cantillon, NOAA/NMFS, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-4140, Fax: (206) 526-6534. E-mail: Dave.Cantillon@noaa.gov.  
Pacific Coast Salmon Recovery Program  
Northwest Region: Nicolle Hill, NOAA/NMFS, 7600 Sand Point Way NE, Seattle, WA 98115. Telephone: (206) 526-4358, Fax: (206) 526-6426, E-mail: Nicolle.Hill@noaa.gov  
Alaska Region: Shawn Carey, NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS. E-mail: Shawn.Carey@noaa.gov.  
Southwest Region: Patricia Culver, NOAA/NMFS, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA 90802. Telephone: (562) 980-4239, E-mail:

Trisha.Culver@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

NMFS Northwest Region - <http://www.nwr.noaa.gov>, NMFS Alaska Region - <http://www.fakr.noaa.gov>, NMFS Southwest Region - <http://swr.nmfs.noaa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Grant activity allows for continued support for salmon research and commercial fisheries management measures spread across the entire Southeast Alaska area and collectively are intended to implement the Pacific Salmon Treaty  
2) The Washington Department of Fish and Wildlife (WDFW) project/s addresses the need to develop accurate and precise monitoring through the application of new methods to meet salmon recovery and Pacific Salmon Commission objectives. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority consideration is given to State and tribal programs that directly address salmon recovery or the information needs of the Pacific Salmon Commission for international management of salmon fisheries stocks under the Pacific Salmon Treaty.

**11.439 MARINE MAMMAL DATA PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Marine Mammal Rescue Assistance Act of 2000, 16 U.S.C 1421f-1; Marine Mammal Act of 1972., 16 U.S.C 1361.

**OBJECTIVES:**

Nondiscretionary funding under this authorization provides support to State agencies for the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources. Information collected is used by the State and Federal governments to conserve marine mammals, address or resolve conflicts between marine mammals, fisheries and living marine resources, and to improve their understanding of the health of individual marine mammals as well as marine mammal populations. Discretionary funds may be announced in the Federal Register under competitive programs to undertake research in subjects which are relevant to the protection and conservation of marine mammals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Nondiscretionary funds may be nondiscretionary and appropriated for a particular recipient for a particular purpose such as the Marine Mammal cooperative agreements in Alaska (16 U.S.C. 1388) or allocated to State agencies for collection of information on marine mammals that occur in State waters and interact with fisheries and other marine resources. Discretionary funds announced in the Federal Register under competitive programs may restrict the use of funds or include additional program restrictions based on the appropriation language.

**Applicant Eligibility:**

State governments and quasi-public nonprofit institutions or organizations. U.S. Marine Mammal Stranding Network participants, including state and local governments, academia, aquaria, non profits, private individuals and organizations. Eligibility may vary under programs announced in the Federal Register.

**Beneficiary Eligibility:**

This program benefits the States that have marine mammals in waters under

State jurisdiction and supports Federal requirements for conservation of marine mammals, and other public resources. The program also benefits the active volunteer U.S. marine mammal stranding network members throughout coastal states.

**Credentials/Documentation:**

Proposal from a State fishery agency or an Interstate Fisheries Commission, or an eligible stranding network member, should be submitted in accordance with 15 CFR Part 14; 15 CFR Part 24 and the applicable Federal Register notice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are evaluated by the National Marine Fisheries Service Regional or Headquarters Offices and processed by the NOAA Grants Management Division. Pursuant to Section 404 of Public Law 102- 567, financial assistance awards to a State or Interstate Fishery Commission may be provided to the State on a non- discretionary basis for projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources. For discretionary funds including Stranding Networks, a competitive award process is announced in the Federal Register for projects related to stranding network activities. A small percentage of discretionary funds will be available to be provided on a non-competed basis for catastrophic stranding events.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 75 calendar days after a complete and acceptable application is received.

**Appeals:**

No formal appeal procedure.

**Renewals:**

For projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources, continuation grants can be made on an annual basis for approved multi- year projects. For projects related to stranding network activities, grants or cooperative agreements will be awarded for a maximum award period of three years; however the total Federal share of each award is fixed at a maximum of \$100,000 regardless of the funding period requested. Future or continued funding will be at the discretion of NMFS, based on the availability of each fiscal year funding and satisfactory performance. Procedures for renewals are the same as application procedures.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: For projects involving the collection and analysis of information on marine mammals that occur in the State's waters and interact with State managed fisheries and other marine resources, the program has no statutory formula. Projects are funded at up to 100 percent Federal share. For projects related to stranding network activities the maximum Federal award for each project will be \$100,000, and a minimum cost share of 25 percent of total project costs is required.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally made for one year. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. The Department of Commerce Financial Assistance Standard Terms and Conditions generally require that performance and financial reports be submitted semi-annually unless a waiver is provided by the NOAA Grants Officer.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub grantees are required to be maintained in accordance the terms and conditions of the Financial Assistance Award. The grantee must maintain records for three years from the date when the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$9,876,781; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Marine Mammal Protection Act, as amended. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CRF Part 24 for state and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Discretionary: Stranding Network Contacts-Alaska Region: Aleria Jensen, Alaska Region, NMFS, Federal Building, 709 West 9th Street, 14th Floor, Juneau, AK 99802-1668. Telephone: (907) 586-7248 or aleria.jensen@noaa.gov. Northeast Region: Dana Hartley, NMFS, 1 Blackburn Drive, Gloucester, MA 01930-2298. Telephone: (978) 281-9328 or dana.hartley@noaa.gov. Northwest Region: Brent Norberg, NMFS, Brent Norberg, 7600 Sand Point Way, N.E., Building 1, Seattle, WA 98115. Telephone: (206) 526-6733 or brent.norberg@noaa.gov; Southeast Region: Laura Engelby, NMFS, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5312 or laura.engageby@noaa.gov; Southwest Region: Joe Cordaro, Southwest Region, NMFS, 501 West Ocean Boulevard, Suite 4200, Long Beach, CA: 90802-4213. Telephone: (562) 980-4017 or joe.cordaro@noaa.gov. Nondiscretionary: Alaska Regional Office: Barbara Fosburg, NOAA/NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Northwest Regional Office: Joe Scordino, NOAA, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6150, Fax: (206) 526-6426, E-mail: Joe.Scordino@noaa.gov. Pacific Islands Area Office: Margaret Akamine,

NMFS, 1601 Kapiolani Blvd., Suite 1110, Honolulu, HI, 96814-4700.  
Telephone: (808) 973-2935 or margaret.akamine@noaa.gov. Headquarters  
Office: Budget Officer, Administrative and Budget Processes Division,  
National Marine Fisheries Service, 1315 East-West Highway, Silver Spring,  
MD 20910. Telephone: (301) 713-2245. Fax: (301) 713-2299.

**Headquarters Office:**

Teri Rowles Office of Protected Resources, NMFS, Teri Rowles, 1315 East  
West Highway, Silver Spring, Maryland 20910 Phone: 3017132322 ext 178

**Website Address:**

[http://www.nmfs.noaa.gov/prot\\_res/PR2/](http://www.nmfs.noaa.gov/prot_res/PR2/)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Enhance the quality, consistency, quantity, reporting and  
sharing of Level A, B and C data collected from stranded marine mammals,  
including complete diagnostic screening on stranded animals. Fiscal Year 2012:  
No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Nondiscretionary: For projects involving the collection and analysis of  
information on marine mammals that occur in the State's waters and interact  
with State managed fisheries and other marine resources, priority consideration  
is given to proposals for the collection of information on marine mammals  
involved in interactions with fisheries and other marine resources, and on  
activities impacting marine mammals such as native subsistence; Discretionary:  
For projects involving stranding network activities, priorities are published in  
the Federal Register soliciting applications for financial assistance.  
Unsolicited proposals may also be submitted outside of the competitive process  
for response to catastrophic stranding events.

**11.440 ENVIRONMENTAL SCIENCES, APPLICATIONS, DATA, AND  
EDUCATION**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of  
Commerce

**AUTHORIZATION:**

Navigation and navigable Waters, 33 U.S.C 1442; Meteorological Services, 49  
U.S.C 44720(b); Navigation and Navigable Waters, U.S.C 883d; National  
Climate Program Act, 15 U.S.C 2901; Organic Act of 1890, 15 U.S.C 313.

**OBJECTIVES:**

To advance and promote applied research, data assimilation and management,  
technology development, and education in environmental science.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to support a wide variety of atmospheric and oceanographic  
research, development, data distribution and assimilation programs, education,  
advisory services, and to support long-term partnerships between the Federal  
government, universities, and institutions of research and higher education for  
cooperative science and education in environmental science.

**Applicant Eligibility:**

Any State university, college, institute or laboratory; any public or private  
nonprofit institution or consortium.

**Beneficiary Eligibility:**

Organizations and individuals with interests in support of managing effectively  
the Nation's oceanic and atmospheric resources.

**Credentials/Documentation:**

None. Costs are determined in accordance with applicable OMB circulars and  
applicable Federal Register notices. OMB Circular No. A-87 applies to this  
program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is  
not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This  
program is excluded from coverage under OMB Circular No. A-110. Submit  
Standard Form 424, project proposal and budget following the format specified  
by the funding office in the annual solicitation. Proposals are submitted through  
Grants.gov. Applicants will need to enter the Funding Opportunity Number  
and/or CFDA number to access the application package and instructions.  
Application package will then be submitted directly to NOAA. Proposals are  
subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of proposal evaluations, technical and  
administrative reviews, and external reviews, if applicable. Projects  
recommended for funding will be submitted to the NOAA Grants Management  
Division for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of receipt of the proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Future or continued funding will be at the discretion of the Federal government  
based upon satisfactory performance and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Normally from one to five years. See the following for information on how  
assistance is awarded/released: Funds will be released or reimbursed as agreed  
upon in the Standard Terms and Conditions required by each grant.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical  
reports, and other related records of grantees or sub grantees are required to be  
maintained by the terms of the agreement. The grantee must retain records for  
three years from the date when the final expenditure and technical reports are  
submitted.

**Account Identification:**

13-1460-0-1-306; 13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$10,136,768; FY 12 est \$4,500,000; and FY  
13 est \$3,896,419

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for  
State and local governments and Indian Tribes; OMB Circular A-122 for

nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments. Department Administrative Order 203-36 dated May 15, 1985 (Department of Commerce Grants Administration) and the NOAA Grants and Cooperative Agreement Interim Policy Manual dated February 2002.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ingrid Gulch Cooperative Research Program  
DOC/NOAA/NESDIS/STAR, 5200 Auth Road, Room 701,

, Camp Springs, Maryland 20746 Phone: 3017638252 Fax: 3017138108

**Website Address:**

NOAA Homepage: [www.noaa.gov](http://www.noaa.gov); NESDIS Homepage: [www.nesdis.noaa.gov](http://www.nesdis.noaa.gov), STAR Homepage <http://www.star.nesdis.noaa.gov/star/index.php>; Grant opportunities and request for applications at <http://grants.gov>

**RELATED PROGRAMS:**

11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: JPSS, GOES-R, GOES-R Risk Reductions, Cal/Val, VIIRS, VISIT, POES Blended, Post Doctoral Program, Student Exchange Program.  
Fiscal Year 2012: JPSS, GOES-R, GOES-R Risk Reductions, Cal/Val, VIIRS, VISIT, POES Blended, Post Doctoral Program, Student Exchange Program.  
Fiscal Year 2013: JPSS, GOES-R, GOES-R Risk Reductions, Cal/Val, VIIRS, VISIT, POES Blended, Post Doctoral Program, Student Exchange Program.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated technically and administratively primarily for scientific merit and application to the goals and objectives of NOAA. The qualifications of the principal investigator are considered and costs are subject to negotiation.

**11.441 REGIONAL FISHERY MANAGEMENT COUNCILS**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Magnuson-Stevens Fishery Conservation and Management Act., 16 U.S.C 1852.

**OBJECTIVES:**

The objectives of the eight Regional Fishery Management Councils are to prepare, monitor and revise fishery management plans and data collection programs for domestic and foreign fishing within the 200-mile U.S. Exclusive Economic Zone (EEZ). This is done with approval and implementation by the Secretary of Commerce who has stewardship responsibility for living marine resources in the EEZ under the MSFCMA.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used by the eight Regional Fishery Management Councils to prepare plans and amendments to recommend to the Secretary of Commerce, under the MSFCMA.

**Applicant Eligibility:**

Eight Regional Fishery Management Councils (New England, Mid-Atlantic, South Atlantic, Gulf of Mexico, Caribbean, Pacific, North Pacific and Western Pacific) as established by the MSFCMA. These councils can best be described as "quasi-government" because they are sponsored by the Federal government, specifically funded by Congress but the members are appointed by the Secretary of Commerce from the private sector; they are not Federal employees.

**Beneficiary Eligibility:**

This program benefits commercial and recreational fishing enterprises in the EEZ. Foreign fishing enterprises may also benefit from this program if authorized to conduct fishing operations. U.S. consumers will benefit as a result of availability of seafood. Imports may be reduced and exports may be increased.

**Credentials/Documentation:**

Generally a work plan for the funding year. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Applications are initially evaluated by the respective National Marine Fisheries Service Regional Administrators and are forwarded to NMFS Headquarters for final approval. They are then forwarded for processing to the Grants Management Division, Office of Administration, NOAA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Multi-year awards of up to five years may be approved. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards can be approved for one year due to annual Congressional appropriation schedule. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant. See the following for information on how assistance is awarded/released: As agreed to in the Standard Terms and Conditions document for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in 50 CFR Part 605, Guidelines for Council Operation/Administration. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Records will be retained in accordance with provisions of 15 CFR Part 14 for

institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments. Generally, a recipient is required to retain records relating to a particular grant for three (3) years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three- year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$31,626,519; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$890,400 to \$2,451,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Chapter 6; the Statement of Organization, Practices, and Procedures, and 50 CFR Part 605 Operational Guidelines for Council Operations. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for- profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CRF Part 24 for state and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Alaska: Alaska Regional Office, Barbara Fosburg, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7273. Use the same numbers for FTS. Email: barbara.fosburg@noaa.gov. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281- 9117. Northwest Regional Office, Kevin Ford or Stephen Freese, 7600 Sand Point Way, NE, Seattle, WA 98115-6349 Telephone: (206) 526-6115 or 6113). Email Kevin.Ford@noaa.gov or Stephen.Freese@noaa.gov. Pacific Islands Region: 1601 Kapiolani Blvd., Honolulu, HI 96814-4700. Telephone: (808) 973-2941. Email: scott.bloom@noaa.gov Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13 Ave. South, St. Petersburg, FL 33701 Telephone: (727) 824-5324.. Fax: (727) 824-5364 Email: Cynthia.Binkley@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200, Long Beach, CA 90802- 4213. Telephone: (310) 980-4239. Fax: (562) 980-4047. Email: trisha.culver@noaa.gov.

**Headquarters Office:**

None None, Silver Spring, Maryland 20910 Phone: None

**Website Address:**

[http://www.nmfs.noaa.gov/sfa/domes\\_fish/index.htm](http://www.nmfs.noaa.gov/sfa/domes_fish/index.htm).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: As prescribed under the Magnuson-Stevens Fishery Conservation and Management Act, the New England Fishery Management Council will participate in fishery management plan (FMP) developments, amendments and monitoring activities. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This program is non- competitive. It is Congressionally mandated.

**11.452 UNALLIED INDUSTRY PROJECTS**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of

Commerce

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1956, 16 U.S.C 661-666c; Saltonstall-Kennedy Act, 15 U.S.C 713c-3(d); Department of Commerce Appropriation Act of 1999, Public Law 103-211.

**OBJECTIVES:**

To provide grants and cooperative agreements for biological, economic, sociological, public policy, and other research and administration projects to benefit U.S. fisheries industries and contribute to the economic and social welfare of the Nation; also, to award grants and cooperative agreements to develop innovative approaches and methods for ensuring the safety, quality and integrity of U.S. fishery products; also, to provide funds to the five States bordering the Gulf of Mexico, for projects or other measures designed to alleviate the long-term effects of disasters on the Gulf's fishery resources and associated habitat. To facilitate the administration, coordination and implementation of the research activities of the Cooperative Institute for Fisheries Molecular Biology (FISHTEC). The goal of FISHTEC is to develop, test, and apply new technology in molecular biology for use in management of commercial and recreational marine fisheries. Emphasis of the research program is placed on development of molecular genetics techniques to identify and evaluate the status of fish stocks/populations subject to fishing pressure and/or environmental impacts. To support the implementation of community-based demonstration projects in the U.S. western Pacific that promote the development of fishery-related industries and the economic self-sufficiency of native Pacific islanders and communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research and management activities for high- priority marine and estuarine resources, especially for species and/or their habitat currently under, or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance include State and local governments, including their universities and colleges; U.S. territorial agencies; Federal and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and/or individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State, and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.



**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS office/region/science center, or their component laboratories, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approval time is expected to range for 90 to 120 days, which includes processing of the award through the NMFS, NOAA and DOC financial assistance procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding, extend the period of an award to increase funding, or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period. In some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and are expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally require that financial and performance reports be submitted semi annually. Progress reports summarize work accomplished and explain situations where expected work has not been. Expenditure reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's financial assistance standard terms and conditions generally require that financial and performance reports be submitted semi annually. Progress reports summarize work accomplished and explain situations where expected work has not been.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$614,121; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: \$50,000 to \$1,361,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Costs will be determined in accordance with OMB Circular Nos. A-21 for Institutions of Higher Education, A-87 for State and Local Governments, and with A-122 for Nonprofit Organizations. For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

See Regional Agency Offices. Alaska: Shawn Carey, NMFS, Alaska Regional Office, P.O. Box 12668, Juneau, AK 99802. Telephone: (907) 586-7280. E-mail: shawn.carey@noaa.gov  
Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281- 9117. E-mail: Grants.Information@noaa.gov  
Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6115. Fax: (206) 526- 4461. Email: Kevin.Ford@noaa.gov  
Southeast: Jeffrey Brown, State/Federal Liaison Branch, 263 13th Avenue South, St. Petersburg, FL 33701. Telephone: (727) 824-5364  
Fax: (727) 824-5364. E-mail: jeff.brown@noaa.gov  
Southwest: Patricia Culver, Federal Program Officer, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA 90802. Telephone: (562) 980-4033. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov  
PIRO: Scott Bloom, 1601 Kapiolani Blvd, Suite 1110, Honolulu, HI 96814. Telephone: (808)944- 2218. Fax: (808)973-2941. E-mail: scott.bloom@noaa.gov.

**Headquarters Office:**

Dan Namur Office of Management and Budget,, National Marine Fisheries Service, 1315 East-West Highway, , Silver Spring, Maryland 20910 Email: dan.namur@noaa.gov Phone: (301) 713-1364 Fax: (301) 713-2258

**Website Address:**

<http://sero.nmfs.noaa.gov/grants/uiip.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) The Department of Land and Natural Resources Division of Boating and Ocean Recreation "Enhanced Vessel Registration Data Project" will provide data on recreational fishing vessels in the state of Hawaii. 2) The PICES Inter Program will allow individuals from PICES member countries to gain experience in operations of intergovernmental scientific organizations and coordination of multidisciplinary international ecosystem research programs. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals may be selected from several sources, e.g., unsolicited proposals, Congressionally-mandated projects, applications received as a result of notices published in the Federal Register. Recipients and sub recipients are subject to all applicable Federal laws and Federal and Departmental policies, regulations, and procedures applicable to Federal financial assistance awards.

**11.454 UNALLIED MANAGEMENT PROJECTS****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

National Fisheries Research and Development Program, 15 U.S.C 713c3(d);

Department of Commerce Appropriation Act of 1999.  
; Magnuson Fishery Conservation and Management Act, 16 U.S.C 1854e; Fish and Wildlife Coordination Act of 1956., 16 U.S.C 661.

**OBJECTIVES:**

Projects provide economic, sociological, public policy, and other information needed by Federal and State natural resource administrators for conserving and managing fishery resources and protected species and their environment in Federal, State, and U.S. territorial waters. Information derived from project studies may consist of econometric data, user profiles, sociological case studies, policy and systems analyses, and other knowledge, and is used in such decisions as resource allocations, total and zonal harvest determinations, and initial apportionment of harvesting rights under controlled access management regimes. Primary users of project information include the National Marine Fisheries Service, Regional Fishery Management Councils, Interstate Marine Fisheries Commissions, State, and other Federal resource management agencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of management activities for high-priority marine and estuarine resources, especially for species and/or their habitat currently under or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance include: State and local governments, including their universities and colleges; U.S. territorial agencies; federally and state recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations; academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS and NOAA financial assistance procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Approval time is expected to range from 90 to 120 days, which includes processing of the award through the NMFS and NOAA financial assistance procedures.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month or 18-month period, but in some instances, award periods may extend beyond these periods, or may be completed in less time. Award funds must be spent in the indicated budget period and are expended in accordance with DOC/NOAA finance and reporting procedures. Funds are requested through the Financial Management System as part of the Department of Treasury's Automated Standard Application for Payment System (ASAP). See [http://www.fms.treas.gov/asap/pr\\_gettingstarted.html](http://www.fms.treas.gov/asap/pr_gettingstarted.html). See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds on a semi-annual schedule. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$4,219,744; FY 12 Not Separately Identifiable; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: \$146,500 to \$1.27 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For cost principles, see OMB Circular Nos. A-21 (educational institutions), A-87 (State and local governments) or A-122 (nonprofit organizations). For grants management principles, see 15 CFR 24 (States and local governments) and 15 CFR 14 for other recipients.

**Regional or Local Office:**

See Regional Agency Offices. Alaska: Shawn Carey, Alaska Regional Office, NMFS, P.O. Box 12668, Juneau, AK 99802-1668. Telephone: (907) 586-7845. Use the same numbers for FTS.

E-mail: shawn.carey@noaa.gov. Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117.

Telephone: (978) 281-9243. Fax: (978) 281-9117. E-mail: Grants.Information@noaa.gov. Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Regional Office, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206)526-6150. Fax: (206) 526-6426. E-mail: Joe.Scordino@noaa.gov. Southeast: Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727)551-5760. Fax: (727) 824-5364. E-mail: Robert.sadler@noaa.gov. Southwest: Patricia Culver, Federal Program Officer, Southwest Region Office, 501 West Ocean Blvd., Suite 4200, Long Beach, CA 90802-4213. Telephone: (562) 980-4239. Fax: (562) 980-4047. E-mail: trisha.culver@noaa.gov. Pacific Island: Scott Bloom. Telephone (808) 944-2218. E-mail: scott.bloom@noaa.gov.

**Headquarters Office:**

Dan Namur Office of Management and Budget, National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, Maryland 20910 Email: dan.namur@noaa.gov Phone: (301) 713-1364 Fax: (301) 713-2258

**Website Address:**

Alaska: <http://www.fakr.noaa.gov>, 1Southeast:CRP: <http://sero.nmfs.noaa.gov/grants/crp.htm>, All other Unallied Management: <http://sero.nmfs.noaa.gov/grants/ump.htm>, Northwest: <http://nwfsc.noaa.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Coral habitat and the use of coral by recruit reef fishes: evaluation of watershed reclamation at Pelekane Bay, west Hawaii.  
2) Influence of temperature on the distribution and catch rates of monkfish, *Lophius americanus*. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register, FedBizOpps, or Congressionally mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.457 CHESAPEAKE BAY STUDIES**

(Chesapeake Bay Studies)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Fish and Wildlife Coordination Act, 16 U.S.C 661-666c; NOAA Authorization Act of 1992; Fish and Wildlife Act of 1956, 16 U.S.C 753a; Department of Commerce and Related Agencies Appropriations Act of 2002, Public Law 102-567; Commerce and Trade, 15 U.S.C 1540.

**OBJECTIVES:**

To provide financial assistance for research and development projects that will provide information for the living marine resources of Chesapeake Bay. In addition, assistance is provided for the Chesapeake Bay Watershed Education and Training Initiative (B-WET). The B-WET Program will work with and support organizations that provide environment-based education to students, teachers, and communities throughout the Chesapeake Bay watershed. In addition, assistance is provided for research and restoration of Submerged Aquatic Vegetation (SAV) in the Chesapeake Bay.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to improve surveys and fisheries statistics, investigate living marine resource linkages with dependent habitats and conduct research in support of fisheries stock assessments in conjunction with cooperative, long-term data collection programs for the Bay's living marine resources. Funding can also be used to support environmental-based education, expand student Chesapeake Bay or stream outdoor experiences, improve opportunities for teachers to receive professional training in the area of environmental education, and promote internship opportunities for students and teachers in the field of environmental education.

**Applicant Eligibility:**

Eligible applicants are institutions of higher education, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, State, local and Indian tribal governments.

**Beneficiary Eligibility:**

Federal, State and local governments, universities, independent school divisions, nonprofit organizations, and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs applications and conduct. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the NOAA Chesapeake Bay Office, and then are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national and regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for Department of Commerce clearance and processing procedures. In additions, funds may be provided on a sole source basis for priority projects for the stewardship of Chesapeake Bay resources.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 working days.

**Appeals:**

No formal appeal procedure. If an application is unacceptable, the reasons are fully stated to the applicant.

**Renewals:**

Multi-year awards of up to three years may be approved. Once awarded, multi-year projects will not compete for funding in subsequent years, however proposals may be subject to a technical evaluation. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants/cooperative awards are normally made for one year. Assistance is released via the NOAA Financial Assistance Disbursement System (FADS). Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12-months, or may be completed in less than 12-months. Award funds must be spent in the indicated budget period and in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress and financial reports are due six months after the start date of the award. Progress reports should summarize all work accomplished during the six months following the start date of the award and the financial reports should reflect the use of funds. A final report is due 90 days after completion of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$3,818,346; FY 12 Not Separately Identifiable; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fish and Wildlife Act of 1956. Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. NOAA Chesapeake Bay Office, 410 Severn Avenue, Suite 107A, Annapolis, MD 21403. Contact: Derek Orner, Fishery Biologist or Shannon Sprague, Education Coordinator. Telephone: (410) 267-5660. Fax: (410) 267-5666. E-mail: Derek.Orner@noaa.gov or Shannon.Sprague@noaa.gov.

**Headquarters Office:**

n/a n/a, n/a, Non-U.S. n/a Phone: n/a

**Website Address:**

<http://noaa.chesapeakebay.net/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Consideration is given to projects that directly relate to the interstate/governmental Chesapeake Bay 2000 Agreement. Consideration is measured amongst several criterion including: project description and conceptual approach for resolution; soundness of project design/technical approach; project management and experience and qualification of personnel; justification and allocation of the budget in terms of the work to be performed; demonstration of project partnerships; and continued teacher involvement and communication.

**11.459 WEATHER AND AIR QUALITY RESEARCH****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Weather Service Organic Act, 15 U.S.C 313; Federal Aviation Act, 49 U.S.C 1463; National Climate Program Act, 15 U.S.C 2901; Clean Air Act Amendments of 1990, 42 U.S.C 7403.

**OBJECTIVES:**

To develop the knowledge required to establish a predictive capability for short and long-term climate and air quality fluctuations and trends. To develop the base of scientific knowledge for better informed decisions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for research and development, science assessments, advisory services, and operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis. Grants and contracts currently exist with National Acid Precipitation Assessment Program (NAPAP) participants.

**Applicant Eligibility:**

Universities, colleges, junior colleges, technical schools, institutions, laboratories; any State, political subdivision of a State or agency or officer thereof; any individual.

**Beneficiary Eligibility:**

Organizations and individuals with interests in meteorology, oceanography, climate, and air-quality research and prediction.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards are made on the basis of peer review of proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from time of proposal receipt.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with OAR.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Normally for a period of one year. See the following for information on how assistance is awarded/released: As described in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Quarterly performance and financial reports are required. Final reports are due 90 days after expiration of award.

**Audits:**

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

**Records:**

Grantees expected to maintain complete records for each grant to insure funds are used for the purpose for which the grant was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants (Contracts)) FY 11 \$60,000; FY 12 est \$1,110,164; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

na Director, Office of Weather and Air Quality, Office of Oceanic and Atmospheric Research, National Oceanic and Atmospheric Administration, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-9397

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office and peer review process taking into consideration primarily scientific merit and application to office research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

**11.460 SPECIAL OCEANIC AND ATMOSPHERIC PROJECTS**

Ocean Exploration

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Omnibus Public Lands Management Act of 2009, Public Law 111-11.

**OBJECTIVES:**

To explore the Earth's largely unknown oceans in all their dimensions for the purpose of discovery and the advancement of knowledge, using state of the art technologies in evolutionary and revolutionary ways within Oceanic and Atmospheric Research (OAR).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements and grants may be used for research and development, education and training, and advisory services. They may also be used for operational systems as they relate to specific programs. Specific restrictions, other than those mandated for grants and cooperative agreements are evaluated on an individual program basis.

**Applicant Eligibility:**

As stated in NOAA special announcements or applicable reports in support of NOAA's mission.

**Beneficiary Eligibility:**

Organizations and individuals with interests in support of managing effectively the Nation's oceanic and atmospheric resources.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submit an electronic application to Grants.gov APPLY for financial assistance (SF 424) with statement of work to be performed and proposed amount. This program is subject to the requirements of OMB Circular No. A-110 and 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments," as applicable.

**Award Procedure:**

Awards will be made on the basis of proposal evaluations, technical reviews, administrative reviews, and external reviews, if applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days from the time of proposal submission to NOAA/OAR.

**Appeals:**

None anticipated.

**Renewals:**

By negotiation with the OAR and subject to availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

In accordance with the applicable NOAA Report or special NOAA announcement and in accordance with FARB approvals. See the following for information on how assistance is awarded/released: In accordance with the applicable NOAA Report or special NOAA announcement and in accordance with FARB approvals.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial and performance reports will be required quarterly at a minimum.

**Audits:**

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

**Records:**

Recipients are expected to maintain complete records for each grant and/or cooperative agreement to ensure funds are used for the purpose for which the award was made.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$4,550,089; FY 12 est \$4,287,156; and FY 13 est \$1,250,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NOAA Grants and Cooperative Agreements Policy Manual. Allowable cost will be determined in accordance with 2 CFR 225 for State and local governments and Indian Tribes; 2 CFR 230 for nonprofit and for-profit organizations; 2 CFR 220 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. OAR, Laboratory, or Sea Grant offices, depending upon the particular program. 1335 East-West Highway, Silver Spring, MD 20910.

**Headquarters Office:**

n/a Director, Ocean Exploration and Research, 1315 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-1010

**Website Address:**

<http://www.explorer.noaa.gov>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.430 Undersea Research; 11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the Office of Oceans and Atmospheric Research.

**11.462 HYDROLOGIC RESEARCH****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Meteorological Services to Aviation, 49 U.S.C 44720; Weather Service Organic Act, 15 U.S.C 313.

**OBJECTIVES:**

To maintain a cooperative university/Federal partnership to conduct joint research and development on pressing surface water hydrology issues common to National, regional, local operational offices, private consulting hydrologists, and academics.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used to support research and development on issues related to the forecasting of surface hydrologic conditions. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis. The program office may support non-competitive awards by direction from legislative language or unsolicited projects that are individually qualified.

**Applicant Eligibility:**

Eligible applicants are Federally recognized institutions of higher learning, agencies of State or local governments, quasi-public institutions such as water supply or power companies, hydrologic consultants and companies involved in using and developing hydrologic forecasts (either for reducing flood damages or for water management decisions).

**Beneficiary Eligibility:**

Since the benefits of the overall program are for a reduction in loss of life and damage resulting from flooding and drought, and improved utilization of water supply and water dependent industries, benefits accrue from these projects to: (1) Federal agencies responsible to forecast, assess, manage, disperse, project economic conditions based on projections of water supply for agriculture and industry, and control water resources; (2) interstate commissions to control and allocate surface waters; (3) State agencies responsible for allocating and controlling water resources and for making projections for the use of water for industry and agriculture and for planning and developing infrastructure within the State that is impacted by rivers and lakes; (4) local agencies dependent on water for economic planning, emergency preparedness, and public water supply; (5) all businesses and industries depending all or in part upon surface water supplies or adequate water in lakes for recreation, in rivers to generate power, or in production or dispersion of products or who must take action in order to ameliorate damage during flood situations, (6) wildlife interests at all levels that are dependent upon water management for managing the environment; (7) homeowners or farmers who must plan for proper responses to flooding or inadequate water supply; and (8) academic institutions which are funded for programs dealing with the studies of hydrologic science.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions and A-122 for nonprofit and for-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register or grants.gov. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable. Standard Form 424 series, certification, and other related forms must accompany formal proposals. Detailed instructions are contained in solicitations. Applications will be submitted through the program manager to the NOAA Grants Management Division for review and approval. The Department of Commerce will review all projects before an award is executed by the NOAA Grants Officer.

**Award Procedure:**

Awards are made on the basis of proposal evaluations and technical and administrative reviews. Proposal will be submitted to the NOAA Grants Management Division for review and approval. Cooperative activities and funding amounts are determined through an evaluation conducted in coordination with the Director of the Office of Hydrologic Development by the Senior Scientist of the Hydrology Laboratory, and the technical experts of the Laboratory.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 180 days, which includes processing of the award through the NWS and NOAA financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiations with the Office of Hydrologic Development. Cooperative activities are normally continuing subject to the availability of funding for subsequent budget periods. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are usually for a 12-month period. In some instances, award periods may extend beyond 12-months. The funding is spent in the award's budget period unless an extension is requested by the principal investigator and approved by NOAA Grants Office. Since many cooperative projects with universities depend upon student labor there are times when unfunded extensions are required. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are not applicable. Expenditure reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports be submitted quarterly or semiannually.

**Audits:**

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

**Records:**

Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and commercial organizations and in accordance with 15 CFR Part 24 for State and local governments.

**Account Identification:**

13-1460-0-1-306; 13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$3,921,270; FY 12 est \$1,286,322; and FY 13 est \$800,000

**Range and Average of Financial Assistance:**

\$80,162 to \$124,999. Average: \$105,789.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: This program has developed an improved method for automatic calibration of hydrologic models to river basins, made definite progress in the development of distributed rainfall/runoff models; demonstrated improved flash flood models for urbanizing environments; developed new methods for estimation of uncertainty in hydrologic forecasts and display of those probabilistic forecasts; developed new techniques of probabilistic forecast verification; demonstrated the improvements in forecasts from coupled estuary-river models; and improved data assimilation techniques. Fiscal Year 2012: This program has developed an improved method for automatic calibration of hydrologic models to river basins, made definite progress in the development of distributed rainfall/runoff models; demonstrated improved flash flood models for urbanizing environments; developed new methods for estimation of uncertainty in hydrologic forecasts and display of those probabilistic forecasts; developed new techniques of probabilistic forecast verification; demonstrated the improvements in forecasts from coupled estuary-river models; and improved data assimilation techniques. Fiscal Year 2013: This program has developed an improved method for automatic calibration of hydrologic models to river basins, made definite progress in the development of distributed rainfall/runoff models; demonstrated improved flash flood models for urbanizing environments; developed new methods for estimation of uncertainty in hydrologic forecasts and display of those probabilistic forecasts; developed new techniques of probabilistic forecast verification; demonstrated the improvements in forecasts from coupled estuary-river models; and improved data assimilation techniques.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Senior Scientist Senior Scientist Hydrology Laboratory  
National Weather Service - W/OHD-1,  
1325 East-West Highway, Silver Spring, Maryland 20910 Phone: 3017130640

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.467 Meteorologic and Hydrologic Modernization Development; 11.468 Applied Meteorological Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) Project to further automate the calibration of hydrologic models; (2) development of procedure to enhance flash flood guidance; (3) development and testing of distributed rainfall/runoff models using radar-derived rainfall data; (4) demonstration project to show practical benefits from extended streamflow predictions in a probabilistic framework; (5) investigations of flash flood models in arid climates; (6) determination of uncertainty bounds around probabilistic performance measures; (7) assimilation of snow observations; (8) design of user interface for dissemination of probabilistic information. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria used in past solicitations included operational

applicability, scientific merit, technology transfer and methodology, capability of researchers, and cost effectiveness.

## **11.463 HABITAT CONSERVATION**

### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

### **AUTHORIZATION:**

Coral Reef Conservation Act of 2000, 16 U.S.C 6403; Marine Debris Research, Prevention, and Reduction Act, 33 U.S.C 1951; Coral Reef Conservation Act, 16 U.S.C 6401 et seq; Department of Commerce Appropriation Act of 1999; Magnuson-Stevens Fishery Conservation and Management Reauthorization Act of 2006, 16 U.S.C 1891a; Fish and Wildlife Coordination Act of 1956, 16 U.S.C 661; Marine Mammal Protection Act, 16 U.S.C 1382; Endangered Species Act, 16 U.S.C 1535; National Marine Sanctuaries Act, 16 U.S.C 1431; Act to Prevent Pollution from Ships, 16 U.S.C 1901 et seq; Department of Commerce Appropriation Act of 1999; Coastal Wetlands Planning, Protection and Restoration Act, 16 U.S.C 3951 et seq; Coastal Zone Management Act of 1972, 16 U.S.C 1451.

### **OBJECTIVES:**

To provide grants and cooperative agreements for habitat conservation activities including coastal and marine habitat restoration and protection. Projects are funded to carry out public policy pertaining to protection and restoration of the Nation's wetlands and other coastal habitats (including Great Lakes habitats), pursuant to the Fish and Wildlife Coordination Act, Magnuson Fishery Conservation and Management Act as reauthorized in 2006, Endangered Species Act, Estuary Restoration Act, Marine Mammal Protection Act, Marine Plastic Pollution Research and Control Act of 1987, Coastal Wetlands Planning, Protection and Restoration Act (CWPPRA), Coral Reef Conservation Act, Marine Debris Research, Prevention, and Reduction Act, and other legislation. Research and management includes determining the effects of habitat modifications and contaminants on populations of living marine resources, restoring depleted stocks that have been adversely impacted by habitat modifications, determining if artificial or restored habitat fulfills essential habitat needs of living marine resources, and quantifying contaminants and debris that pose a hazard to populations of these animals.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of habitat restoration, coral reef conservation, construction, management, public education activities, and research for marine and estuarine habitats, especially for species currently under, or proposed for, Federal or inter-jurisdictional management. Restoration includes, but is not limited to, activities that contribute to the return of degraded or altered marine, estuarine, coastal, and freshwater (diadromous fish) habitats to a close approximation of their function prior to disturbance. Habitat restoration activities that produce significant ecological habitat features to create buffers or green infrastructure that serve to protect coastal communities from sea level rise, coastal storms and flooding, or that provide adaptation to climate change are also included. Projects funded under this CFDA primarily support NOAA's Ecosystems mission support goal of Protect, Restore, and Manage Use of Coastal and Ocean Resources through Ecosystem-Based Management.

### **Applicant Eligibility:**

Eligible applicants for assistance include State and local governments, including their universities and colleges; U.S. territorial agencies; federally and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations, and/or individuals.

### **Beneficiary Eligibility:**

This program benefits Federal, State, and interstate marine resource conservation and management agencies; U.S. Territories and Freely Associated States; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general

public.

### **Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the Office of Habitat Conservation, or NOAA Coral Conservation Program lead, as appropriate. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

### **Award Procedure:**

Proposals are initially evaluated by the appropriate NMFS Office/Region/Science Center, or their component laboratories, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approval time is expected to range from 150-180 days, which includes processing of the award through NMFS and NOAA.

### **Appeals:**

Not Applicable.

### **Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Statutory formulas, if any, are specific to programs that fall under this CFDA number. Project costs are funded at up to 100 percent. Grantee matching contributions vary by specific funding opportunity. CWPPRA projects require a 15 percent match by the State of Louisiana at this time. Under the Community-based Restoration Program guidelines, projects are encouraged to demonstrate a minimum nonfederal match of 50 percent of the total cost needed to complete the proposed project to be most competitive. A 1:1 match is required for the General and International Coral Reef Conservation Grant Programs and grants under the Marine Debris Research, Prevention, and Reduction Act, although the MDRPR Act allows the NOAA Administrator to waive all or part of the matching requirement in certain instances. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Awards are normally for 12-24 month periods, and vary by specific funding opportunity. Award funds must be spent in the indicated budget period and expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released:



Funds are released as needed through the automated treasury process (ASAP) or by reimbursement, as indicated in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions may require that financial and performance reports be submitted semi-annually or on some other agreed upon schedule. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$56,286,530; FY 12 Not Separately Identifiable; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$15,000 to \$36,000,000. Typical award: \$35,000 to \$200,000; CWPPRA and ARRA awards are among the largest, typically in the millions.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cost will be determined in accordance with OMB Circular No. A-21 for institutions of higher education, with OMB Circular No. A-87 for State and local governments, and with OMB Circular No. A-122 for nonprofit organizations. For grants management administrative requirements, see 15 CFR 24 (state and local governments) and 2 CFR 215 for other recipients. All recipients will adhere to Department of Commerce Financial Assistance Standard Terms and Conditions and NOAA Administrative Standard Award Conditions available at [http://www.ago.noaa.gov/ago/grants/external\\_links.cfm](http://www.ago.noaa.gov/ago/grants/external_links.cfm). For awards under the ARRA, recipients will also follow regulations and guidelines stated in Title XV Sec. 1512 of the ARRA.

**Regional or Local Office:**

None. See Appendix IV.

**Headquarters Office:**

n/a NOAA Fisheries, Office of Habitat Conservation, 1315 East West Highway, Silver Spring, MD 20910. CWPPRA: Ms. Cecelia Linder; Telephone (301)713-0174; Fax (301)713-0184; E-mail [Cecelia.Linder@noaa.gov](mailto:Cecelia.Linder@noaa.gov). Community-based Restoration Program (CRP): Ms. Robin Bruckner; Telephone (301)713-0174; Fax (301)713-0184; E-mail [Robin.Bruckner@noaa.gov](mailto:Robin.Bruckner@noaa.gov). General Coral Reef Conservation Grant Program: Ms. Jennifer Koss; Telephone (301) 713-4300; Fax (301) 713-1043; Email [Jennifer.Koss@noaa.gov](mailto:Jennifer.Koss@noaa.gov). International Coral Reef Conservation Grant Program: Scot Frew; 1315 East West Highway, 5th Floor, Room 5826, Silver Spring, MD 20910; Telephone (301) 713-3078; Fax 301-713-4263; E-mail [Scot.Frew@noaa.gov](mailto:Scot.Frew@noaa.gov), Silver Spring, Maryland 20910 Phone: n/a

**Website Address:**

<http://www.nmfs.noaa.gov/habitat/ecosystem/index.htm>.

**RELATED PROGRAMS:**

11.419 Coastal Zone Management Administration Awards; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.441 Regional Fishery Management Councils; 11.457 Chesapeake Bay Studies; 11.469 Congressionally Identified Awards and Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1)DARRP Settlement Restoration Program- Promote conservation and sustainable use of ocean and coastal resources and provide support for habitat and species restoration projects. 2)Gulf of Mexico Community-based Restoration Partnership. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are received and projects selected from several sources: Unsolicited proposals; responses to special solicitations in the Federal Register and Grants.gov; or congressionally directed projects. For CWPPRA, the projects to be funded are selected through an annual, publicly-vetted process and ultimately approved by a multi-agency Task Force. Applications submitted through competitions are reviewed based on NOAA's standard criteria which are weighted as announced in specific funding opportunities. These criteria include: Importance and Applicability; Technical/Scientific Merit; Overall Qualifications of Applicants; Project Costs; and Outreach and Education. Regardless of source, applications must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures. Any financial assistance announcements must be made in the Federal Register; announcement on Grants.gov only is not sufficient.

**11.467 METEOROLOGIC AND HYDROLOGIC MODERNIZATION DEVELOPMENT**

(Hydrometeorological Development)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Weather Service Organic Act, 15 U.S.C 313; Meteorological Services to Aviation, 49 U.S.C 44720.

**OBJECTIVES:**

To maintain a cooperative university and Federal partnerships to conduct meteorological training, education, professional development, and research and development on issues common to the hydrometeorological community.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Dissemination of Technical Information; PROJECT GRANTS; Training

**USES AND USE RESTRICTIONS:**

The funds are used by recipients to implement programs described in proposals submitted and selected in response to calls for proposals from the program office or NOAA. The program office may support non-competitive awards in case specific instances or by direction from legislative language or unsolicited projects that are individually qualified.

**Applicant Eligibility:**

Eligible applicants are accredited Federally recognized institutions of higher learning, consortia of these institutions, agencies of State or local governments including school systems, quasi-public institutions, consultants, and companies involved in using and developing meteorological or hydrologic forecasts or forecast methodology.

**Beneficiary Eligibility:**

The benefits of the overall program are for reduction in loss of life and damage which the general public can realize from improvement in weather forecasts, watches, and warnings of hazardous weather and resultant flooding. For the improvements from the modernization of the Nation's weather and hydrologic services to be realized, there must be significant involvement of the entire hydrometeorological community. Thus, benefits will accrue to: (1) General public through higher quality weather products and information; (2) State and local agencies responsible for the planning and implementation of emergency services, fire prevention, allocation and control of water resources, and those agencies who project economic conditions based on weather and water resource

availability; (3) educational institutions (0-13+) which need to incorporate the information which will result from modernization of the weather services into their curricula; (4) scientists and developers who will be using the new information to enhance the State of the knowledge of the atmosphere and improve present system safety and reliability; and academic institutions which are funded for programs dealing with studies of the atmospheric and hydrologic science.

**Credentials/Documentation:**

Proposals will be considered if applicants meet the qualifications listed in solicitations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication coordination is required. However, since proposals are frequently required to demonstrate high levels of collaboration with operational NWS components, it is recommended that applicants discuss potential interactions with relevant NWS personnel prior to submission. Consultation and assistance is available through the NWS program manager. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register or grants.gov. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable. Standard Form 424 series, certification, and other related forms must accompany formal proposals. Detailed instructions are contained in solicitations. Applications will be submitted through the program manager to the NOAA Grants Management Division for review and approval. The Department of Commerce will review all projects before an award is executed by the NOAA Grants Officer.

**Award Procedure:**

Awards are selected by the program office and are made on the basis of proposal evaluations and technical and administrative reviews.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time for grants is expected to range from 90 to 180 days, which includes processing of the award through the NWS, NOAA, and DOC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are for a 12-60 month period, although only one year is funded at a time. Outyears are funded based on availability of funds and adequate progress. Funds are disbursed through the U.S. Treasury Payment System. See the following for information on how assistance is awarded/released: One year funded at a time.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Technical and financial progress reports are due within 30 days of the end of the evaluation period. Final reports are due within 90 days of the expiration of the award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records and supporting documents and all other records, i.e., property, performance work products, etc., pertinent to the agreement shall be maintained in accordance with the provisions of 15 CFR 14.53 as applicable.

**Account Identification:**

13-1450-0-1-306; 13-1460-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$15,658,760; FY 12 est \$3,122,858; and FY 13 est \$300,000

**Range and Average of Financial Assistance:**

\$6,000 to \$2,783,042. Average: \$409,810.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Projects awarded have produced web-based hydro-meteorological training modules and other education material, conducted research on improving the performance of numerical weather prediction models, established graduate fellowships for students studying the atmospheric and related sciences, and worked toward developing communities better prepared for tsunamis. Fiscal Year 2012: Projects awarded have produced web-based hydro-meteorological training modules and other education material, conducted research on improving the performance of numerical weather prediction models, established graduate fellowships for students studying the atmospheric and related sciences, and worked toward developing communities better prepared for tsunamis. Fiscal Year 2013: Projects awarded will produce web-based hydro-meteorological training modules and other education material, conduct research on improving the performance of numerical weather prediction models, establish graduate fellowships for students studying the atmospheric and related sciences, and work toward developing communities better prepared for tsunamis.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Leroy Spayd Chief, Training Division  
National Weather Service/OS6  
1325 East West Highway, Silver Spring, Maryland 20910 Email:  
leroy.spayd@noaa.gov Phone: 3077130280 Fax: 3017131598

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and

Cooperative Institutes; 11.462 Hydrologic Research; 11.468 Applied Meteorological Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Cooperative Program for Meteorological Education and Training; Alaska Tsunami Hazard/Ready Program; American Meteorological Society/National Weather Service Graduate Fellowships' A Cooperative Agreement to Establish a Numerical Prediction Developmental Testbed. Fiscal Year 2012: The Cooperative Program for Meteorological Education and Training; Alaska Tsunami Hazard/Ready Program; American Meteorological Society/National Weather Service Graduate Fellowships' A Cooperative Agreement to Establish a Numerical Prediction Developmental Testbed. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria used in past solicitations included operational applicability, scientific merit, technology transfer and methodology, capability of researchers, and cost effectiveness.

**11.468 APPLIED METEOROLOGICAL RESEARCH**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Weather Service Organic Act, 15 U.S.C 313; Meteorological Services to Aviation, 49 U.S.C 44720.

**OBJECTIVES:**

"Through the Collaborative Science, Technology, and Applied Research (CSTAR) program, NOAA/NWS provides funding to the university community for highly collaborative applied research hydro-meteorological activities to create a cost-effective transition from basic and applied research to operations and services. The NOAA/NWS Minority Serving Institution (MSI) Program presents an effort to promote and increase diversity in the atmospheric and related sciences through collaborative research between operational forecasters and academic institutions which have expertise in the environmental sciences in support of the NOAA Weather and Water mission goal. The Remote Community Alert Systems (ALERT) Program represents an effort to provide for outdoor alerting technologies in remote communities effectively underserved by commercial mobile service for the purpose of enabling residents of those communities to receive emergency messages. "

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are used by recipients to implement programs described in proposals submitted and selected in response to calls for proposals from the program office or NOAA. The program office may support non-competitive awards in case specific instances or by direction from legislative language or unsolicited projects that are individually qualified.

**Applicant Eligibility:**

College and universities in the United States.

**Beneficiary Eligibility:**

Colleges and universities with interests in atmospheric and related sciences.

**Credentials/Documentation:**

Proposals will be considered if applicants meet the qualifications listed in solicitations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication coordination is required. However, since proposals must demonstrate high levels of collaboration with operational NWS components, it is recommended that applicants discuss potential interactions with relevant NWS operational personnel prior to submission. Consultation and assistance is available through the NWS program manager. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals for new cooperative agreements are solicited with an announcement in the Federal Register or grants.gov. These announcements include specific information for proposal submission. All proposals are subject to the requirements of OMB Circular Nos. A-21 and A-110, as applicable. Standard Form 424 series, certification, and other related forms must accompany formal proposals. Detailed instructions are contained in solicitations. Applications will be submitted through the program manager to the NOAA Grants Management Division for review and approval. The Department of Commerce will review all projects before an award is executed by the NOAA Grants Officer.

**Award Procedure:**

Awards are selected by the program office and are made on the basis of proposal evaluations and technical and administrative reviews.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to be about four months, which includes processing the award through NWS, NOAA, and DOC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements are approved on an annual basis, but may be continued beyond the first segment, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are for a 12-60 month period, although only one year is funded at a time. Outyears are funded based on availability of funds and adequate progress. Funds are disbursed through the U.S. Treasury Payment System. See the following for information on how assistance is awarded/released: One year funded at a time.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual technical and financial progress reports are due within 30 days of the end of the evaluation period. Final reports are due within 90 days of the expiration of the award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Financial records and supporting documents and all other records, i.e., property, performance work products, etc., pertinent to the agreement shall be maintained in accordance with the provisions of 15 CFR 14.53 as applicable.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,009,258; FY 12 est \$2,012,852; and FY 13 est \$600,000

**Range and Average of Financial Assistance:**

\$10,000 to \$5,084,742. Average: \$409,267.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Projects awarded through the CSTAR program led to a deeper understanding of meteorological factors involved in the NWS warning and forecasting programs, which in turn, will benefit the U.S. public with more responsive warning and forecast programs. The MSI program has engaged in studies seeking to improve estimation of quantitative precipitation estimation used in hydrologic forecasts with algorithms derived from satellite data. Alert warning systems are being implemented in remote areas as a result of the ALERT program. Fiscal Year 2012: Projects awarded through the CSTAR program led to a deeper understanding of meteorological factors involved in the NWS warning and forecasting programs, which in turn, will benefit the U.S. public with more responsive warning and forecast programs. The MSI program has engaged in studies seeking to improve estimation of quantitative precipitation estimation used in hydrologic forecasts with algorithms derived from satellite data. Alert warning systems are being implemented in remote areas as a result of the ALERT program. Fiscal Year 2013: Projects awarded through the CSTAR program will lead to a deeper understanding of meteorological factors involved in the NWS warning and forecasting programs, which in turn, will benefit the U.S. public with more responsive warning and forecast programs. The MSI program will engage in studies seeking to improve estimation of quantitative precipitation estimation used in hydrologic forecasts with algorithms derived from satellite data. Alert warning systems are being implemented in remote areas as a result of the ALERT program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None. N/A.

**Headquarters Office:**

Samuel Contorno CSTAR and MSI Program  
1325 East-West Highway  
SSMC2, Room 15326  
Mailcode W/OST12

"ALERT Program

Craig Hodan 1325  
East-West Highway SSMC2, Room 3348, Mailcode W/OPS17 Silver  
Spring, MD 20910. Telephone: (301) 713-9480 x187.  
Email: craig.hodan@noaa.gov

"  
, Silver Spring, Maryland 20910 Phone: 301-713-557 x150

**Website Address:**

<http://www.noaa.nws.gov>.

**RELATED PROGRAMS:**

11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.462 Hydrologic Research; 11.467 Meteorologic and Hydrologic Modernization Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Awards were related to topics of regional and national importance such as developing an operational system for probabilistic quantitative precipitation forecasts in the U.S., improving the prediction of warm- and cool-season heavy precipitation events, improving forecasts of topographically-forced weather systems, and improving operational radar and satellite-based algorithms. Fiscal Year 2012: Awards were related to topics of regional and national importance such as developing an operational system for probabilistic quantitative precipitation forecasts in the U.S., improving the prediction of warm- and cool-season heavy precipitation events, improving forecasts of topographically-forced weather systems, and improving operational

radar and satellite-based algorithms. Fiscal Year 2013: Awards will be related to topics of regional and national importance such as developing an operational system for probabilistic quantitative precipitation forecasts in the U.S., improving the prediction of warm- and cool-season heavy precipitation events, improving forecasts of topographically-forced weather systems, and improving operational radar and satellite-based algorithms.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are announced within solicitations published in the Federal Register. Examples of criteria used in past solicitations included operational applicability, scientific merit, technology transfer and methodology, capability of researchers, and cost effectiveness.

**11.469 CONGRESSIONALLY IDENTIFIED AWARDS AND PROJECTS****FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Departments of Commerce, Justice, State, the Judiciary, and Related Agencies Appropriations Act.

**OBJECTIVES:**

The objectives of the overall program are to facilitate education, research and development in the fields of marine and atmospheric science, and to provide a provision of assistance for the construction of suitable facilities for these activities, as specified by Congress.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide appropriated funds to facilitate education, research and development in the fields of marine and atmospheric science. Appropriated funds can also be used for construction of facilities and construction-related activities to support education, research and development associated with issues of atmospheric or marine sciences. Specific restrictions, other than those mandated for grants, are evaluated on an individual grant or program basis.

**Applicant Eligibility:**

Eligible applicants include State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations and/or individuals. Typically those specifically identified by Congress in agency appropriations legislation.

**Beneficiary Eligibility:**

Through the awarding of financial assistance to facilitate education, research and development in the fields of marine and atmospheric science, and for the construction of educational, research and development facilities, this program benefits Federal, State, local governments, public and private universities and colleges, profit and nonprofit organizations, and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Submission of an application on Standard Form 424 as furnished by NOAA, including all required certifications, to the Program Officer, Congressionally Identified Awards, Office of Finance and Administration, Acquisitions and Grants Office. This program is subject to the provisions of 15 CFR 24, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local

Governments, and 15 CFR 14, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations. NOAA reserves the right to withhold the awarding of a grant or cooperative agreement to any individual or organization delinquent on a debt to the Federal government until payment is made or satisfactory arrangements are made with the agency to which the debt is owed.

**Award Procedure:**

Applications reviewed by NOAA and are made on the basis of proposal evaluations and technical and administrative reviews.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 180 days from the time of receipt of a complete application. This timeframe includes processing of the award through the NOAA and DOC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Commerce/NOAA.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are usually for a 12-month period. In some instances, award periods may extend beyond 12 months. The funding is spent in the award's budget period unless otherwise negotiated between the recipient and NOAA and approved by the NOAA Grants Management Division. See the following for information on how assistance is awarded/released: As described in agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reports are due in accordance with the terms and conditions of the award. The Department's Financial Assistance Standard Terms and Conditions generally require that financial and performance reports be submitted semi-annually or as otherwise required under special award conditions. Progress reports summarize work accomplished, relate the progress to the original approved proposal and timelines, explain situations where expected work has not been completed, and request modifications to the project plan as necessary.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports, and other records of grantees or sub-grantees are required to be maintained in accordance with the terms of the award. The recipient must retain records for three years from the date when the final financial status report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,296,811; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Congressional appropriations, Public Law (for FY 1998, Public Law 105-119, Nov. 13, 1997; for FY 1999, Public Law 105-277, October 19, 1998). Costs will be determined in accordance with OMB Circular No.A-21 for institutions of higher education, OMB Circular No.A-87 for State and local governments, and OMB Circular No.A-122 for nonprofit organizations. Grants management will be in accordance with provisions of 15 CFR Part 14 for institutions of higher education and other nonprofit organizations or 15 CFR 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

n/a Chief, Grants Management Division, OFA62, SSMC2, 1325 East-West Highway, Silver Spring, Maryland 20910 Phone: (301) 713-0926

**Website Address:**

<http://www.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.472 UNALLIED SCIENCE PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Fish and Wildlife Act, 16 U.S.C 753a; Fish and Wildlife Coordination Act of 1956., 16 U.S.C 661.

**OBJECTIVES:**

To provide grants and cooperative agreements of biological, socio-economic and physical science research on the stocks of fishery and protected resources of the United States and their environment that will contribute to their optimal management for the benefit of the Nation; also, to award grants and cooperative agreements to develop innovative approaches and methods for marine and estuarine science.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds can be used by recipients to support a wide variety of research on high-priority marine and estuarine resource issues, especially for resources and/or their habitat currently under, or proposed for future Federal or interjurisdictional management.

**Applicant Eligibility:**

Eligible applicants for assistance include: State and local governments, including their universities and colleges; U.S. territorial agencies; federally and State-recognized Indian Tribal governments; private universities and colleges; private profit and nonprofit research and conservation organizations and/or individuals.

**Beneficiary Eligibility:**

This program benefits Federal, State and interstate marine resource

conservation and management agencies; U.S. and foreign commercial and recreational fishing industries; conservation organizations, academic institutions; international and Indian Tribal treaties; private and public research groups; consumers; and the general public.

**Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs applications and conduct. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects approved for funding will be submitted to the NOAA Grants Management Division and the Department of Commerce's Office of Federal Assistance for review and approval.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is expected to range from 90 to 150 days, which includes processing of the award through the NMFS, NOAA, and DOC financial assistance procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of an award to increase funding and/or extend the period of an award is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are normally for a 12-month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and in accordance with DOC/NOAA finance and reporting procedures. Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports

indicate use of funds on a semi-annual schedule. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds on a semi-annual schedule. Performance monitoring is not applicable.

**Audits:**

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

**Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

**Account Identification:**

13-1450-0-1-306; 11-5362-0-2-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$22,772,221; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable cost will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office: Alaska: Shawn Carey, Alaska Regional Office, NMFS, P.O. Box 21668, Juneau, AK 99802-1668. Telephone: (907) 586-7845, Fax: (907) 586-7255. Use the same numbers for FTS. Email: peter.d.jones@noaa.gov Northeast: Harold C. Mears, State, Federal and Constituent Programs Office; Northeast Region, 55 Great Republic Dr., Gloucester, MA 01930-2276. Telephone: (978) 281-9243. Fax: (978) 281-9117. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: Grants.Information@noaa.gov Northwest: Kevin Ford, National Marine Fisheries Service, Northwest Region, 7600 Sand Point Way NE., Seattle, WA 98115. Telephone: (206) 526-6115. Fax: (206) 526-4461. Email: Kevin.Ford@noaa.gov Northwest Center: Dr. Robert Iwamoto, OMI Director, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112-2097. Telephone: (206) 860-3200. Fax: (206) 860-3442. Email: Bob.Iwamoto@noaa.gov Southeast: Jeffrey Brown, State/Federal Liaison Staff, Southeast Regional Office, 9721 Executive Center Drive, North, St. Petersburg, FL 33702-2432. Telephone: (727) 570-5324. Fax: (727) 570-5364. Email: jeff.brown@noaa.gov Southwest Region: Patricia Culver, 501 W. Ocean Blvd., Suite 4200, Long Beach, CA. 90802. Telephone: (562) 980-4239. Email: trisha.culver@noaa.gov.

**Headquarters Office:**

Dan Namur National Marine Fisheries Services, Office of Management and Budget, 1315 East-West Highway, Silver Spring, Maryland 20910 Email: dan.namur@noaa.gov Phone: 301) 713-1364 Fax: (301) 713-2258

**Website Address:**

AAlaska: <http://www.fakr.noaa.gov/omi/grants/default.htm>. Southeast Region:

<http://www.nwfsc.noaa.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Research and management of endangered species in South Carolina: to implement portions of the "Recovery Plan for U.S. Population of Loggerhead Turtle" and for other species of sea turtle in SC waters

2) Documentation and evaluation of sea turtle mortality and morbidity in Florida. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected from several sources: Unsolicited proposals; special solicitations in the Federal Register or Commerce Business Daily; or Congressionally-mandated projects. Regardless of source, proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.473 COASTAL SERVICES CENTER**

(CSC)

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Commerce and Trade, 15 U.S.C 1540; Navigation and Navigable Waters, 33 U.S.C 1442; Coastal Zone Management Act of 1972, 16 U.S.C 1456c.

**OBJECTIVES:**

To support projects aimed at developing a science-based, multi-dimensional approach that will allow for the maintenance or improvement of environmental quality while at the same time allowing for economic growth.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Uses will be in the following federal program areas: The Coastal Services Center's (CSC) goal is to build leadership skills and capabilities to meet the changing needs within the coastal community. The Coastal Services Center jointly manages the Regional Ocean Partnerships (ROP) funding program with the NOAA, National Ocean Service, Office of Ocean and Coastal Resource Management Program. This grant program advances effective coastal and ocean management through regional ocean governance, including the goals for national ocean policy and comprehensive ocean planning set out in the presidents Final Recommendations of Interagency Ocean Policy Task Force, July 19, 2010. The ROPFP program supported two categories of activities: 1) implementation of a spectrum of regional ocean partnership priorities, with a focus on marine planning activities and 2) support for development and operations for Regional Ocean Partnerships (ROP). CSC manages the Gulf of Mexico Alliance grant program to engage in cooperative agreements with entities from Gulf of Mexico States to implement Action Blueprint Steps identified in the Gulf of Mexico Alliance Governors Action Plan. These projects contribute to the beneficial public outcomes associated with the five priority issues including water quality for healthy beaches and shellfish beds; wetland and coastal conservation and restoration; environmental education; identification and characterization of Gulf habitats; and nutrient reduction as well as Coastal Community Resiliency, a priority issue elevated by the Alliance since release of the Plan. The CSC Pacific Services Center (PSC), located in Honolulu, provides competitive grants through the Bay Watershed Education and Training (B-WET) Hawaii program to foster the development of innovative science programs, partnerships and products throughout the State of Hawaii, as well as support environmental education efforts that align with national and state education standards. B-WET Hawaii projects focus on providing meaningful outdoor experiences for students and professional development opportunities for teachers that target understanding earth system sciences, hazards, community resilience, and climate change. PSC manages the Coastal Resilience Networks grant program to implement activities that enhance resilience of coastal communities to natural hazard and climate risks through a regional or national network. Coastal Resilience Networks (CRest) proposals

must leverage, enhance, or create a system in which one or more coastal hazard issues can be addressed through partnerships to improve coordination and collaboration throughout the region. Partnerships must include multiple institutions, disciplines, and sectors at the local, state, and federal levels.

The Coastal Services Center jointly manages the Regional Ocean Partnerships (ROP) funding program with the NOAA, National Ocean Service, Office of Ocean and Coastal Resource Management Program. This grant program advances effective coastal and ocean management through regional ocean governance, including the goals for national ocean policy and comprehensive ocean planning set out in the presidents Final Recommendations of Interagency Ocean Policy Task Force, July 19, 2010. The ROPFP program supported two categories of activities: 1) implementation of a spectrum of regional ocean partnership priorities, with a focus on marine planning activities and 2) support for development and operations for Regional Ocean Partnerships (ROP). The CSC Pacific Services Center (PSC), located in Honolulu, provides competitive grants through the Bay Watershed Education and Training (B-WET) Hawaii program to foster the development of innovative science programs, partnerships and products throughout the State of Hawaii, as well as support environmental education efforts that align with national and state education standards. B-WET Hawaii projects focus on providing meaningful outdoor experiences for students and professional development opportunities for teachers that target understanding earth system sciences, hazards, community resilience, and climate change. PSC manages the Coastal Resilience Networks grant program to implement activities that enhance resilience of coastal communities to natural hazard and climate risks through a regional or national network. Coastal Resilience Networks (CRest) proposals must leverage, enhance, or create a system in which one or more coastal hazard issues can be addressed through partnerships to improve coordination and collaboration throughout the region. Partnerships must include multiple institutions, disciplines, and sectors at the local, state, and federal levels.

**Applicant Eligibility:**

Institutions of higher educations, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, and state, local and Indian tribal governments.

**Beneficiary Eligibility:**

Institutions of higher educations, hospitals, other nonprofits, commercial organizations, foreign governments, organizations under the jurisdiction of foreign governments, international organizations, and State, local and Indian tribal governments.

**Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circulars Nos. A-21 for agreements with education institutions, A-87 for State and local governments and A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposals should be submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity and/or CFDA number to access the application package and instructions. Application packages will then be submitted directly to the applicable federal program. . Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of proposals evaluations, technical reviews and administrative reviews, if applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Extension requests will be considered by the federal program office only if the recipient has submitted all required performance reports. At least sixty days prior to the end of the award, recipients must discuss with their federal program officer expected reprogramming and extensions requests. After preliminary negotiation on proposed projects and extensions, formal written reprogramming and extension requests should be received by the federal program office 45 days prior to the end date of the award. The federal program office will not recommend approval for any retroactive extension request (received after the end date of the award). Recipients should make every effort to submit one extension request for all projects needing an extension (when possible, multiple extension requests should be avoided). With sufficient justification, the federal program office will recommend approval of a six-month extension for the first extension request. First time or cumulative extension requests for more than six months but less than 12 months, will need more compelling justification as to why the project was not completed on time or could not be completed within the first six-month extension. Although the federal program office discourages extensions of more than 12 months, the federal program office will recommend approval in cases where the funds are already obligated. Renewal of an award to increase funding or extend the period of performance is at the total discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

1-3 years with funding approved annually on individual and group proposals. See the following for information on how assistance is awarded/released: Funds are released as agreed to in the Standard Terms and Conditions document required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Financial Status Reports are required semi-annually. Performance Reports are required semi-annually.

**Audits:**

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

**Records:**

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

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$416,440; FY 12 est \$7,399,279; and FY 13 est \$2,500,000

**Range and Average of Financial Assistance:**

Will vary depending on when announcements are published. Contact the

relevant federal program for details.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Coastal Services Center is sponsoring a cooperative agreement with the Dauphin Island Sea Lab for Implementation of the Gulf of Mexico Alliance (GOMA) Environmental Education Priorities and Actions. This continues and enhances the activities of the Gulf of Mexico Alliance (GOMA) Environmental Education Priority Issue Team. The Dauphin Island Sea Lab (DISL) intends to support existing and future Gulf-wide GOMA educational programs in traditional K-12 and non-traditional outreach and communication activities. CSC is sponsoring a grant with the National Fish and Wildlife Foundation to support and improve West Coast regional ocean governance efforts in the region by strengthening and sustaining implementation of the West Coast Governors' Agreement (WCGA) on Ocean Health. It will further develop the administrative and operational capacities of WCGA and will advance the implementation of tasks in the WCGA's 2008 Action Plan and tasks identified in the WCGA 10 Action Coordination Team (ACT) implementation plans. The CSC Pacific Services Center is sponsoring a grant with the University of Hawaii for the capacity building for community resilience planning that promotes sustainable ecosystem and disaster resilient practices at the village level.. Fiscal Year 2012: The Coastal Services Center is sponsoring a cooperative agreement with the Dauphin Island Sea Lab for Implementation of the Gulf of Mexico Alliance (GOMA) Environmental Education Priorities and Actions. This continues and enhances the activities of the Gulf of Mexico Alliance (GOMA) Environmental Education Priority Issue Team. The Dauphin Island Sea Lab (DISL) intends to support existing and future Gulf-wide GOMA educational programs in traditional K-12 and non-traditional outreach and communication activities. The CSC Pacific Services Center is sponsoring a grant with the University of Hawaii for the capacity building for community resilience planning that promotes sustainable ecosystem and disaster resilient practices at the village level.

CSC is sponsoring a grant with the National Fish and Wildlife Foundation to support and improve West Coast regional ocean governance efforts in the region by strengthening and sustaining implementation of the West Coast Governors' Agreement (WCGA) on Ocean Health. It will further develop the administrative and operational capacities of WCGA and will advance the implementation of tasks in the WCGA's 2008 Action Plan and tasks identified in the WCGA 10 Action Coordination Team (ACT) implementation plans. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department Administrative Order 203-36, dated May 15, 1985 (Department of Commerce Grants Administration) and also the NOAA Grants and Cooperative Agreement Policy Manual.

**Regional or Local Office:**

See Regional Agency Offices. Jeffrey L. Payne, Deputy Director, NOAA Coastal Services Center, 2234 South Hobson Ave., Charleston, SC 29405-2413. Telephone: (843) 740-1207 or contact James Lewis A. Free, Grants Coordinator, NOAA Coastal Services Center, Telephone: (843) 740-1185.

**Headquarters Office:**

David Kennedy NOS, 1305 East-West Highway, Silver Spring, Maryland 20910 Phone: 3001-713-3074

**Website Address:**

<http://http://www.csc.noaa.gov>, <http://ioos.noaa.gov/program/>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.429 Marine Sanctuary Program; 11.431 Climate and Atmospheric Research; 11.432 Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes; 11.440 Environmental Sciences, Applications, Data, and Education

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative



reviews, and external reviews, if applicable, taking into consideration primarily scientific merit and application to the goals of NOAA and the relevant federal program office.

#### **11.474 ATLANTIC COASTAL FISHERIES COOPERATIVE MANAGEMENT ACT**

##### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

##### **AUTHORIZATION:**

Atlantic Coastal Fisheries Cooperative Management Act, 16 U.S.C 5107.

##### **OBJECTIVES:**

To provide assistance to eligible States and the Atlantic States Marine Fisheries Commission in order to support and encourage the development, implementation, and enforcement of effective interstate conservation and management of Atlantic Coastal resources. Activities conducted under projects will be used to collect information necessary for the preparation, implementation and enforcement of coastal fisheries management plans and State activities required within such plans. Primary users of the information would be the Atlantic States Marine Fisheries Commission (ASMFC), the Atlantic Coast States, the National Marine Fisheries Service, and the U.S. Fish and Wildlife Service.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds are restricted to "coastal fishery resources" which means any fishery, any species of fish, or any stock of fish that moves among, or is broadly distributed across, waters under the jurisdiction of two or more Atlantic Coastal States or waters under the jurisdiction of one or more Atlantic Coastal States and the exclusive economic zone. Funds can be provided to the Commission and to the specified States for the preparation, implementation and enforcement of coastal fishery management plans and State activities required within such plans. Funds can also be used for program activities to support and enhance State cooperation in collection, management and analysis of fishery data; law enforcement; habitat conservation; fishery research including biological and socioeconomic research; and fishery management planning.

##### **Applicant Eligibility:**

Eligible applicants for assistance are the Atlantic States Marine Fisheries Commission (ASMFC), the Atlantic Coast State governments which are Maine, New Hampshire, Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Pennsylvania, Delaware, Maryland, Virginia, North Carolina, South Carolina, Georgia, Florida, the Potomac River Fisheries Commission, and the District of Columbia.

##### **Beneficiary Eligibility:**

This program benefits State, and interstate marine resource conservation agencies, the marine fishing industries and the general public.

##### **Credentials/Documentation:**

Applicants are required to satisfy all DOC/NOAA standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity Number and/or CFDA number to access the application package and instructions. Application package will then be submitted directly to the (Name

of your Office - Example Coastal Services Center). Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

##### **Award Procedure:**

Proposals are initially evaluated by the pertinent NMFS Office/Region/Science Center, and are subject to review for technical merit, soundness of design, competency of the applicant to perform the proposed work, potential contribution of the project to national or regional goals, and appropriateness and reasonableness of proposed costs. Projects recommended for funding will be submitted to the NOAA Grants Management Division for review and approval.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

The application processing time is 75 days as required by 15 U.S.C. 1539 (sole source selection).

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Grants and cooperative agreements are generally approved on an annual basis, but may be continued beyond the initial project period, subject to approved time frame and scope of work, satisfactory progress, and availability of funds. The Department of Commerce has the discretion to renew the award to increase funding, or extend the period of performance.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Awards are normally for a 12 month period but in some instances, award periods may extend beyond 12 months, or may be completed in less than 12 months. Award funds must be spent in the indicated budget period and is expended in accordance with DOC/NOAA finance and reporting procedures. See the following for information on how assistance is awarded/released: Funds are released in advance or by reimbursement, as agreed to in the Standard Terms and Conditions document required for each grant.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Reporting requirements are outlined in the Terms and Conditions of the Financial Assistance Award. Progress reports summarize work accomplished and explain situations where expected work has not been completed. Financial reports indicate use of funds during the reporting period. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

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

##### **Records:**

Generally, a recipient is required to retain records relating to a particular grant for three years from the date of submission of the final financial report. In cases where litigation, claim or an audit is initiated prior to expiration of the three-year period, records must be retained until the action and resolution of any issues associated with it are complete or until the end of the three-year retention period; whichever is latest.

##### **Account Identification:**

13-1450-0-1-306.

##### **Obligations:**

(Cooperative Agreements) FY 11 \$10,376,056; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

\$38,000 to \$1,900,000. Average: \$330,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with 2 CFR 225 for state, local, and Indian tribal governments; 2 CFR 230 for nonprofit organizations; 2 CFR 220 for educational institutions; and 48 CFR 31 for profit-making organizations.

**Regional or Local Office:**

See Regional Agency Offices. Northeast: Harold C. Mears, Director, State, Federal and Constituent Programs Office, National Marine Fisheries Service, Northeast Regional Office, One Blackburn Dr., Gloucester MA 01930. Telephone: (978) 281-9243. Fax: (978) 281-9117. Email: Grants.Information@noaa.gov. Southeast: Cynthia Binkley, Federal Program Officer, State/Federal Liaison Branch, 263 13th Ave. South, St. Petersburg, FL 33701. Telephone: (727) 824-5324. Fax: (727) 824-5364. Email: cynthia.binkley@noaa.gov.

**Headquarters Office:**

n/a Director, Office of Sustainable Fisheries, National Marine Fisheries Service, 1315 East-West Highway., Silver Spring, Maryland 20910 Phone: (301) 713-2334 Fax: (301) 713-0596

**Website Address:**

Southeast: <http://sero.nmfs.noaa.gov/grants.htm>. Northeast: <http://www.nero.noaa.gov/statefedoff/>

**RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Atlantic Coastal Fisheries Cooperative Management Act Program in South Carolina  
2) Maryland American Eel Population Study. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are solicited from eligible coastal States and other eligible applicants by notification from the National Marine Fisheries Service, Northeast and Southeast Regional Offices. Proposals must undergo rigorous technical review and comply with all OMB, DOC, and NOAA grants policies and procedures.

**11.478 CENTER FOR SPONSORED COASTAL OCEAN RESEARCH\_COASTAL OCEAN PROGRAM**

(CSCOR/(COP))

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Coastal Zone Management Act of 1972, as amended, 16 U.S.C 1456c; Navigation and Navigable Waters, 33 U.S.C 883d; Navigation and Navigable Waters, 33 U.S.C 1442; Commerce and Trade, 15 U.S.C 1540; Harmful Algal Bloom and Hypoxia Research and Control Act of 1998, Public Law 105-383.

**OBJECTIVES:**

NOAA's Coastal Ocean Program in the Center for Sponsored Coastal Ocean Research (CSCOR/COP) is a unique Federal-academic partnership designed to provide predictive capability for managing coastal ecosystems. COP seeks to deliver the highest-quality science in a timely manner for important coastal policy decisions by supporting high-priority research and interagency initiatives related to NOAA's mission in three goal areas: coastal ecosystem oceanography, cumulative coastal impacts and coastal forecasting/natural hazards. COP supports research on critical issues which exist in the Nation's estuaries, coastal waters and the Great Lakes; and translates its findings into accessible information for coastal managers, planners, lawmakers and the

public.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to fund research and interagency initiatives under specific CSCOR/ COP programs related to NOAA's mission in coastal ecosystem oceanography, cumulative coastal impacts, and coastal forecasting/natural hazards.

**Applicant Eligibility:**

Institutions of higher education, not-for-profit institutions, State, local and Indian tribal governments, commercial organizations and Federal agencies. Foreign researchers may apply as subawards through an eligible US entity. All applicants will be treated equally in the competitive process.

**Beneficiary Eligibility:**

Organizations and individuals utilizing science in effectively managing the Nations coastal resources.

**Credentials/Documentation:**

Proposals with statement of work, estimated budget, and curriculum vitae. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Send an application for financial assistance (Standard Form 424) to CSCOR/COP with statement of work to be performed and proposed amount in response to a current funding announcement only. This program is subject to the requirements of CFR Part 14, "Uniform Administrative Requirements for Grants and Agreements with Institutions of High Education, Hospitals, Other Nonprofit and Commercial Organization, which replaces OMB Circular No. A-110 as the administrative rules applicable to these awards. In addition, this program is subject to the requirements of 15 CFR Part 24, "Grants and Cooperative Agreements with State and Local Governments", which replaces OMB A-102 as the administrative rule applicable to these awards. Proposals are submitted through Grants.Gov. Applicants will need to enter the funding opportunity number and/or the CFDA number to access the application package and instructions. Application package will then be submitted directly to the Center for Sponsored Coastal Ocean Research/Coastal Ocean Program. Proposals are subject to the requirements of 15 CFR Parts 14 and 24, as applicable.

**Award Procedure:**

Awards are made on the basis of competitive peer review of proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 210 days from the time of proposal receipt.

**Appeals:**

Not Applicable.

**Renewals:**

By negotiation with the CSOR/COP Office. Multi-year awards of two to five years may be approved. Once awarded, multi-year projects will not compete for funding in subsequent years. Funding for multi-year projects beyond the first year is contingent upon the availability of program funds in subsequent fiscal years, and the extent to which the recipient meets project objectives and reporting requirements. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years, with funding approved annually. See the following for information on how assistance is awarded/released: Funds are released or reimbursed as agreed upon in the Standard Terms and Conditions required for each grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Implementation plans are required annually. Progress reports are due annually. Financial status reports are required semi- annually. Final reports are due ninety days after expiration of award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients and subrecipients that are State and local governments, institutions of higher education or other nonprofit organizations shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (3 U.S.C. 7501-7507) and revised OMB Circular No. A-133. Commercial organizations shall be subject to the audit requirements as stipulated in the award document.

**Records:**

Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and local governments.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$14,553,386; FY 12 est \$9,000,000; and FY 13 est \$11,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Center for Sponsored Coastal Ocean Research (CSCOR) mission is to lead the development of predictive, multi-disciplinary, regional ecosystem-scale research to support sound coastal management decisions. CSCOR is currently funding over 65 competitively awarded ongoing extramural research funding commitments to over external 44 marine science institutions. This cutting-edge research has already and will in the future benefit the management of U.S. coastal resources and increase our understanding of the coastal ocean. Projects are underway to unravel the ecology and oceanography of harmful algal blooms (HAB) and help coastal states manage HAB associated health and economic risks; detecting and assessing the extent of the hypoxic area in the Northern Gulf of Mexico and other regions; understand the effects of human impacts on coral reef ecosystems in Micronesia; the ecological effects of sea level rise; understanding the connectivity among mesophotic coral ecosystems off the Florida coast; ecosystem goal-setting in coastal waters and reefs of south Florida and the species/ecosystem effects of ocean acidification. Fiscal Year 2012: Resource managers will have access to important data to help them make informed decisions.

Strengthen resource managers scientific capacity and knowledge through activities such as providing technical advice on proposals and projects and responding rapidly to specific research questions.

Offer timely technical expertise to advise resource managers and assist them in addressing critical management issues. Fiscal Year 2013: Using mathematical models based firmly in results from monitoring and assessment, work to predict trajectories likely to be taken by various ecosystems under scenarios of global climate change and management regimes. This allows identification of future potentially threatened species and components of the ecosystem, as well

as possible outcomes of various management/conservation actions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rob Magnien NOAA/CSCOR/COP, 1305 East-West Highway, Silver Spring, Maryland 20910 Phone: 3017133338 Fax: 3017134044

**Website Address:**

<http://www.cop.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated by competitive peer review taking into consideration primarily scientific merit and applicability to COP's research goals. Principal investigators' qualifications and cost are also considered, with cost subject to negotiation.

**11.481 EDUCATIONAL PARTNERSHIP PROGRAM**

**FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

**AUTHORIZATION:**

Executive Order 13256, 13230, 13021 and 13339, 33 U.S.C 893 a(a); Executive Order 13256, 13230, 13021 and 13339, 15 U.S.C 1540.

**OBJECTIVES:**

To continue development of a program aimed at increasing education and research partnerships between NOAA and Minority Serving Institutions. Partnerships are achieved through collaboration with NOAA Cooperative Science Centers in atmospheric, oceanic, environmental sciences, environmental technology, and remote sensing. The Environmental Entrepreneurship Program supports restoration projects in environmentally depleted zones and program development in NOAA-related sciences at minority serving institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support a distinguished professor, research, development programs and students undertaking course work and/or research in NOAA related sciences at minority serving institutions.

**Applicant Eligibility:**

Applicants are defined as qualified minority serving institutions based on the 2003 United States Department of Education definition of minority serving institutions. Non-minority institutions may also participate in this program when partnered with a minority serving institution. Institutions applying to be considered a designated Cooperative Science Center in atmospheric, oceanic and environmental sciences, environmental technology and remote sensing must have a graduate program in the respective category.

**Beneficiary Eligibility:**

The benefits to the Nation are an increased number of academic institutions capable of providing services and products in support of the agency's mission to describe and predict changes in the environment, and to conserve and manage the nation's coastal and marine resources to ensure sustainable economic opportunities. Collaboration among NOAA and academic institutions will not only increase the number of trained professionals in the NOAA related sciences, it will also lead to a larger number of institutions participating in collaborative research and co-management of the nation's natural resources with State, local and tribal governments.

**Credentials/Documentation:**

Applicants are required to satisfy all DoC/NOAA standards and regulations, including routine and special terms and conditions, for financial assistance programs application and conduct. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submission of an application package which includes the Standard Form SF-424 Application for Federal Assistance, SF-424A Budget Information Non-Construction Programs, SF-424B Assurances Non-Construction Programs, statement of work, budget and supporting details, and CD-511 Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug Free Workplace Requirements, and Lobbying must be used when applying for Federal funds. This program is subject to the provisions of 15 CFR Part 14.

**Award Procedure:**

Awards are made on the basis of proposal evaluation, technical review and administrative review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time is anticipated to range from 90 to 150 days, which includes processing of the award through NOAA Education, NOAA and DoC financial assistance functions.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative activities are generally approved on an annual fiscal year basis, but may be continued for up to five years, subject to approved time frame, program development plan, satisfactory progress, and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years with funding approved annually. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Periodic progress and financial reports are required. However, the reporting frequency may be changed to be more or less frequent progress reports should summarize work accomplished and explain situations where expected work has not been completed. Financial reports must indicate use of funds during the semi-annual period. Final reports are due ninety days after expiration of the award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients will be subject to the provisions of the Single Audit Act Amendments of 1996 and revised OMB Circular A-133, "Audits of States and Local Governments and Nonprofit Organizations".

**Records:**

Financial records and support documents and all other records, i.e., property, performance, work products, patents etc. pertinent to the agreement shall be maintained for a period of three years from the date on which the final expenditure report is submitted.

**Account Identification:**

13-1450-0-1-306.

**Obligations:**

(Project Grants) FY 11 \$10,885,571; FY 12 est \$10,146,800; and FY 13 est \$8,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Undergraduate Scholarship Program - 11 students were selected for the program. Fiscal Year 2012: Graduate Science Program 2 GSP recipients were hired.

5 students have completed degree requirements and have been converted to career conditional appointments.

Undergraduate Scholarship Program - 12 scholars were selected for the program. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For cost principles, see OMB Circular No. A-21, "Cost Principles for Educational Institutions". For grants administration requirements, see 15 CFR Part 14, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Regional or Local Office:**

None.

**Headquarters Office:**

Jacqueline Rousseau National Oceanic And Atmospheric Association, Office of Education, Educational Partnership Program  
1315 East-West Highway, SSMC 3, Room 10600., Silver Spring, Maryland  
20910 Phone: (301) 713-9437

**Website Address:**

<http://www.epp.noaa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: NOAA provides funding to eligible MSIs, on a competitive basis, to educate, train and graduate students in NOAA sciences, particularly atmospheric, oceanic, environmental, marine science, remote sensing and scientific environmental technology. In FY11, the program funded, through grants, 4 Cooperative Science Centers (CSC): Howard University, University of Maryland Eastern Shore, Florida A&M University, and City University of New York. Fiscal Year 2012: We anticipate funding Cooperative Science Centers that will:

Educate, train and graduate students, particularly from underrepresented communities, in NOAA sciences;

Increase graduation rates of students from underrepresented minority communities in NOAA sciences;

Impact NOAA and national Science, Technology, Engineering and Mathematics (STEM) workforce statistics by increasing the number of graduates from underrepresented communities in NOAA sciences;

Contribute to NOAA's mission by strengthening and building capacity in NOAA scientific and management areas at MSIs as well as building research experience in NOAA scientific areas; and,

Leverage NOAA funds to build the education, training and research capacity at the MS. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to a review process taking into consideration the applicant(s) Performance Plan, research plans, scientific merit, investigator's qualifications, cost and available funds. Proposals must undergo a rigorous technical review and comply with all OMB, DoC and NOAA grant policies and procedures. Specific information about the selection process will be included in

the solicitation.

## **11.482 CORAL REEF CONSERVATION PROGRAM**

### **FEDERAL AGENCY:**

National Oceanic and Atmospheric Administration (NOAA), Department of Commerce

### **AUTHORIZATION:**

Coral Reef Conservation Act of 2000, 16 U.S.C 6401-6403.

### **OBJECTIVES:**

To provide matching grants of financial assistance in support of coral reef conservation programs and projects that preserve, sustain, and restore U.S. and international coral reef ecosystems.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Awards made under this program may be used to support programmatic and project expenses related to coral reef conservation activities conducted by U.S. States and Territories, Regional Fishery Management Councils with jurisdiction over coral reefs, and International partners in four key regions, and project costs associated with research studies and conservation activities undertaken by other eligible non-governmental partner organizations in the U.S. The Coral Reef Conservation Act (16 USC6403) stipulates that at least 40% of funding must go to recipients in the Pacific and at least 40% must go to recipients in the Atlantic/Caribbean. In addition, 6403(g) requires that only projects that are consistent with the National Coral Reef Action Strategy and meet the ten specific criteria listed in that section may be funded through this program.

### **Applicant Eligibility:**

Institutions of higher education, non-profit organizations, commercial organizations, local and Indian tribal government agencies, foreign governments, relevant Regional Fishery Management Councils (i.e., Caribbean Fishery Management Council, the Gulf of Mexico Fishery Management Council, the South Atlantic Fishery Management Council, and the Western Pacific Regional Fishery Management Council), and State, Territorial and Commonwealth resource management agencies that were appointed by their respective Governors to serve as the primary point of contact agencies for coral reef conservation activities in each of the jurisdictions of American Samoa, Florida, the Commonwealth of the Northern Mariana Islands, Guam, Hawaii, Puerto Rico, and the U.S. Virgin Islands.

### **Beneficiary Eligibility:**

Organizations and individuals with professional expertise in managing and conserving coral reef ecosystems in the U.S. and internationally.

### **Credentials/Documentation:**

Proposals with statements of work and estimated budgets. Costs will be determined in accordance with OMB Circulars (1) A-21 for agreements with education institutions; (2) A-87 for State and local governments; and (3) A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Pre-applications are required for some funding categories. Environmental impact information is required for this program for projects that are not covered by the CRCPs PEA/FONSI. E.O. 12372, "Intergovernmental Review of Federal Programs" applies to some of the funding categories administered by the CRCP. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Proposals should be submitted through Grants.Gov. Applicants will need to enter the Funding Opportunity and/or CFDA number to access the application package and instructions. Application packages will then be forwarded directly to the applicable federal program. Proposals are subject to

the requirements of 15 CFR Parts 14 and 24, as applicable.

### **Award Procedure:**

Awards are made on the basis of proposals evaluations, technical reviews and administrative reviews, if applicable.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 150 to 210 days after the proposal submission deadline.

### **Appeals:**

Not Applicable.

### **Renewals:**

No-cost extension requests will be considered by the federal program office only if the recipient has submitted all required performance reports. At least sixty days prior to the end of the award, recipients must discuss with their federal program officer expected reprogramming and extensions requests. After preliminary negotiation on proposed projects and extensions, formal written reprogramming and extension requests should be received by the federal program office 45 days prior to the end date of the award. The federal program office will not recommend approval for any retroactive extension request (received after the end date of the award). Recipients should submit one extension request per award. With sufficient justification, the federal program office will recommend approval of a no-cost extension. Although the federal program office discourages extensions of more than 12 months, the federal program office may recommend approval in some cases. Renewal of an award to increase funding or extend the period of performance is at the total discretion of the Department.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Per the Coral Reef Conservation Act of 2000 (16 USC 6401 et seq; specifically 6403) Federal funds may not exceed 50% of the total cost of a project unless a waiver to this requirement is obtained by the applicant. Provision of a waiver is at the discretion of the CRCP Program Manager, who was delegated authority for this purpose by the NOAA Administrator. Matching funds contributed by the applicant may be comprised of cash, in-kind contributions and/or other non-cash support. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Support for projects may be provided for periods up to 3 years in annual increments. See the following for information on how assistance is awarded/released: Funds are released as required and agreed to in the Standard Terms and Conditions document applicable to each grant.

### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required on a semi-annual basis. No expenditure reports are required. No performance monitoring is required.

### **Audits:**

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

### **Records:**

Records will be retained in accordance with 15 CFR Parts 14 and 24 for institutions of higher education, other non-profit organizations, and for State and local governments.

### **Account Identification:**

13-1450-0-1-306.

### **Obligations:**

(Salaries) FY 11 \$4,431,356; FY 12 est \$4,800,000; and FY 13 est \$5,500,000

### **Range and Average of Financial Assistance:**

Range: \$49,000-\$700,000  
Average: \$325,946.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funding initiated implementation of 16 domestic and international coral reef conservation projects that are building local capacity to conserve coral reef ecosystems and associated fisheries. Funds enabled state and territorial resource management agencies and other applicants to implement conservation projects that contribute to conservation goals and objectives shared with NOAA. Fiscal Year 2012: To continue funding domestic and international coral reef conservation projects that build local capacity to conserve coral reef ecosystems and associated fisheries. To enable state and territorial resource management agencies and other applicants to implement conservation projects that contribute to conservation goals and objectives shared with NOAA. Fiscal Year 2013: To continue funding domestic and international coral reef conservation projects that build local capacity to conserve coral reef ecosystems and associated fisheries. To enable state and territorial resource management agencies and other applicants to implement conservation projects that contribute to conservation goals and objectives shared with NOAA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Allowable costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes; OMB Circular A-122 for nonprofit and for-profit organizations; OMB Circular A-21 for institutions of higher education; and 48 CFR Part 31 for commercial organizations. Financial assistance management will be in accordance with 15 CFR Part 14 for institutions of higher education, hospitals, and other non-profit and commercial organizations, and with 15 CFR Part 24 for state and local governments. Further guidelines are outlined in Department Administrative Order 203-36, dated May 15, 1985 (Department of Commerce Grants Administration) and also the NOAA Grants and Cooperative Agreement Policy Manual. The CRCP Grant Program Implementation Guidelines are also applicable to these awards. The guidelines were first published in 2002; final revised guidelines that reflect the restructured CRCP grant program will be published in the June 2010 Omnibus FRN.

**Regional or Local Office:**

None. John Christensen, Program Manager, NOAA Coral Reef Conservation Program, 1305 East-West Hwy, SSMC4-N/ORM1, Silver Spring, MD 20910. (301) 713-3155. Jenny Waddell, Grants and External Funding Coordinator and CRCP Federal Program Officer, NOAA Coral Reef Conservation Program, 1305 East-West Hwy, SSMC4-N/ORM1, Silver Spring, MD 20910. (301) 713-3155. Jennifer Koss, Federal Program Officer, NOAA Coral Reef Conservation Program and NMFS Office of Habitat Conservation, 1315 East-West Hwy, SSMC4-N/ORM1, Silver Spring, MD 20910. (301) 713-4300.

**Headquarters Office:**

Jenny Waddell, 1305 East-West Hwy, SSMC4-N/ORM1, Silver Spring, Maryland 20910 Phone: (301) 713-3155.

**Website Address:**

<http://coralreef.noaa.gov>

**RELATED PROGRAMS:**

11.419 Coastal Zone Management Administration Awards; 11.426 Financial Assistance for National Centers for Coastal Ocean Science; 11.430 Undersea Research; 11.441 Regional Fishery Management Councils; 11.463 Habitat Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Southeast Florida Coral Reef Fishery-Independent Baseline Assessment is providing managers with data required to document current status, tracking changes, developing appropriate management strategies tracking the effectiveness of these strategies, and informing the development of management alternatives for the southeast Florida region. 2) Enhancing coral-reef monitoring programs, data analysis, and reporting in Guam and the Commonwealth of the Northern Mariana Islands is addressing all four of the priority objectives described by NOAA: fishing impacts, land-based sources of pollution, climate change, and local emerging management needs; 3) Building sustainable coral reef monitoring and management capacity for Micronesia is strengthening local coral reef monitoring and management capacity. Fiscal Year

2012: To continue funding similar domestic and international coral reef conservation projects that build local capacity to conserve coral reef ecosystems and associated fisheries. Fiscal Year 2013: To continue funding similar domestic and international coral reef conservation projects that build local capacity to conserve coral reef ecosystems and associated fisheries.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are subject to office evaluations, technical reviews, administrative reviews, and externals reviews, if applicable. Recommendations for funding to the selecting official take into consideration factors such as scientific/technical merit, applicability to the goals of NOAA CRCP and jurisdictional partners, direct benefit to coral reef resources and ecosystems, past performance of the recipient, cost-effectiveness, adequacy of the project implementation plan, and availability of matching funds, as described in annual Federal Funding Opportunity notices for each competition.

**11.549 STATE AND LOCAL IMPLEMENTATION GRANT PROGRAM SLIGP**

**FEDERAL AGENCY:**

National Telecommunications and Information Administration, Department of Commerce

**AUTHORIZATION:**

The Middle Class Tax Relief and Job Creation Act of 2012, Public Law 112-96.

**OBJECTIVES:**

To assist State, regional, tribal, and local jurisdictions to identify, plan, and implement the most efficient and effective way for such jurisdictions to utilize and integrate the infrastructure, equipment, and other architecture associated with the nationwide public safety broadband network to satisfy the wireless communications and data services needs of that jurisdiction, including with regards to coverage, siting, and other needs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Provides grants to states to assist them, in collaboration with regional, tribal, and local jurisdictions, with activities related to planning for the establishment of a national wide public safety broadband network. The grants will not be used for activities related to broadband deployment, construction, or the acquisition of equipment used to provision wireless broadband services, including for long-term evolution (LTE) related activities.

**Applicant Eligibility:**

1. Grants will be awarded to the 56 States and Territories.
2. The grants will be used to assist applicants with activities related to planning for the establishment of a nationwide public safety broadband network.
3. The State must designate a single officer or governmental body to serve as the coordinator of the grant funds and to determine the method of consultation between the First Responder Network Authority and the State.

**Beneficiary Eligibility:**

Indirect beneficiaries of the grants are police officers, fire fighters, emergency medical professionals and other public safety officials, as well as the general public, who will receive improved communications capabilities from the creation of the single, nationwide interoperable public safety broadband network that these grants will facilitate.

**Credentials/Documentation:**

OMB Circular No. A-87 is required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The designee must apply for grant funding through the Grants.gov online system when the application window opens.

**Award Procedure:**

Each application will be reviewed by NTIA for completeness and adherence to programmatic guidelines. If submissions do not meet the requirements, the application will be returned to the submitting State or Territory and funds will be withheld until the applicant meets all requirements. Upon approval of the application, the grants will be awarded to the State. Grantees can draw down and expend funds through the Automated Standard for Application for Payment (ASAP) system.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award payments are generally available within 90 days of application approval.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. The non-federal share of the cost is 20 percent for any activity carried out under the grant. The Assistant Secretary may waive, in whole or in part, the matching requirement for good cause shown upon determining that such a waiver is in the public interest.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grant period of performance will be three years. Payment and Reporting System payments are generally within 90 days. See the following for information on how assistance is awarded/released: Payments under the award will be made using the Department of Treasury's Automated Standard Application for Payment (ASAP) system.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Department of Commerce Standard Terms and Conditions require the submission of Performance (Technical) Reports on a semi-annual basis. Department of Commerce Standard Terms and Conditions require the submission of Financial Status Reports (SF-269) on a semi-annual basis. Department of Commerce Standard Terms and Conditions require the submission of Performance (Technical) Reports on a semi-annual basis.

**Audits:**

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

**Records:**

Grant recipient must retain records for three years after award closeout.

**Account Identification:**

13-0516-0-1-376.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$300,000; and FY 13 est \$83,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: It is anticipated that the agency will receive 56 applications and will award 56 grants in FY 2013 to fund activities related to planning for the establishment of a nationwide public safety broadband network. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura Pettus Room 4812  
Department of Commerce  
1401 Constitution Avenue, N.W., Washington, District of Columbia 20230  
Email: LPettus@ntia.doc.gov Phone: (202) 482-5802

**Website Address:**

http://www.ntia.doc.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.550 PUBLIC TELECOMMUNICATIONS FACILITIES PLANNING AND CONSTRUCTION**

(PTFP)

**FEDERAL AGENCY:**

National Telecommunications and Information Administration, Department of Commerce

**AUTHORIZATION:**

Communications Act of 1934, Title III, Part IV, 47 U.S.C 390-394, 397-399 (b) as amended, Public Law 87-447, 76 Stat. 64; Science, State, Justice, Commerce, and Related Agency Appropriations Act of 2006; Public Law 109-108.

**OBJECTIVES:**

To assist in the planning, acquisition, installation, and modernization of public telecommunications facilities, through planning grants and matching construction grants, in order to: (a) extend delivery of public telecommunications services to as many citizens of the United States and territories as possible by the most efficient and economical means, including the use of broadcast and nonbroadcast technologies; (b) increase public telecommunications services and facilities available to, operated by and owned by minorities and women; and (c) strengthen the capability of existing public television and radio stations to provide public telecommunications service to the public.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides grants for the planning and construction of public telecommunications facilities. Matching grants are given for apparatus necessary for the production, dissemination, interconnection, captioning, broadcast, or other distribution of noncommercial educational, cultural radio and television programs, as well as noncommercial instructional or informational services. Buildings and renovations of buildings, land, operational expenses, and indirect costs are ineligible.

**Applicant Eligibility:**

A public or noncommercial educational broadcast station; a noncommercial telecommunications entity; a system of public telecommunications entities; a nonprofit foundation, corporation, institution or association organized primarily for educational or cultural purposes; State, local, and Indian Tribal governments (or an agency thereof); or a political or special purpose subdivision of a State. Special consideration is given to applications which would increase minority and women's ownership of, operation of, and participation in public telecommunications entities.

**Beneficiary Eligibility:**

General public and students.

**Credentials/Documentation:**

All applicants must supply proof of eligibility. Applicants must supply proof of their Federal Communications Commission (FCC) license, permit, or

application if FCC authorization is required for any aspect of the proposed project. Applicants must provide assurances required under Program Rules and Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NTIA is no longer accepting applications for the program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. NTIA is no longer accepting applications for the program.

**Award Procedure:**

Applications were reviewed on the basis of funding criteria for construction and planning applications as set forth in the regulations.

**Deadlines:**

Dec 02, 2009 NTIA is no longer accepting applications for the program.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: 47 U.S.C 392 (b) and (c); 15 CFR 2301.6. The Administrator may provide up to 100 percent of the funds necessary for the planning of a public telecommunications facility. The maximum amount of a federal grant for the construction of a public telecommunication facility is 75 percent of the eligible project costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects must be completed within a reasonable period of time, generally one to two years as specified in the award document. Prompt completion is expected. Extensions, however, may be requested in writing if circumstances require additional time. Extensions must be approved by the Grants Officer. See the following for information on how assistance is awarded/released: Financial assistance is generally released as required during the award period.

**Reports:**

Construction Schedules, Quarterly Performance Reports, and Annula Reports. No cash reports are required. During construction, quarterly progress reports must be submitted. No expenditure reports are required. The Federal Government maintains a ten-year reversionary interest in the use of the facilities from the date of completion. Annual reports must be submitted before April 1st of each year during such period.

**Audits:**

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

**Records:**

Recipients of construction grants shall keep a complete and itemized inventory of equipment for all public telecommunications facilities under their control. All grantees shall keep complete, current and accessible financial records on all funds associated with the total project. All records of accounts, supporting documents and project records must be retained by the recipient and subrecipient for a period of three years from the date of submission of the final

Financial Status Report.

**Account Identification:**

13-0551-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$5,122 to \$731,924. Average \$177,889.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Telecommunications Facilities Program and Policy Statement, Final Rules, 15 CFR 2301 printed in 61 FR 57966 (November 8, 1996). Costs will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State, Local, and Indian Tribal Governments, and with A-122 for nonprofit organizations. Grants management will be in accordance with the provisions of OMB Circular No. A-110 for institutions of higher education and other nonprofit organizations and with 15 CFR Part 24 for State and Local Governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

William Cooperman Room 4812, Department of Commerce, 1401 Constitution Avenue, NW, Washington, District of Columbia 20230 Email: wcooperman@ntia.doc.gov Phone: (202) 482-5802 Fax: (202) 482-2156

**Website Address:**

<http://www.ntia.doc.gov/ptfp>.

**RELATED PROGRAMS:**

10.861 Public Television Station Digital Transition Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In order to achieve the objectives of Section 393 of the Communications Act, the Administrator, in determining whether to approve a construction grant application in whole or in part and the amount of such grant, will consider the projects conformance with priorities, and funding criteria set forth in the Act and the PTFP Rules and Regulations.

**11.555 PUBLIC SAFETY INTEROPERABLE COMMUNICATIONS GRANT PROGRAM**

(PSIC)

**FEDERAL AGENCY:**

National Telecommunications and Information Administration, Department of Commerce

**AUTHORIZATION:**

Digital Television Transition and Public Safety Act of 2005. PSIC was also amended by Public Law 111-96., Public Law 111-96.

**OBJECTIVES:**

To assist public safety agencies in the acquisition of, deployment of, or training for the use of interoperable communications systems that can utilize or enable interoperability with communications systems that can utilize reallocated public safety spectrum for radio communications.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides grants to assist public safety agencies in the planning and coordination associated with, acquisition of, deployment of, or training for the use of interoperable communications equipment, software and systems that utilize reallocated public safety spectrum for radio communication; enable interoperability with communications systems that can utilize reallocated public safety spectrum for communication; or otherwise improve or advance the



interoperability of public safety.

**Applicant Eligibility:**

In 2007, the PSIC Grant was awarded to fund interoperable communications projects in the 56 States and Territories. This grant was a one-time award and no further awards will be available.

**Beneficiary Eligibility:**

The SAA is responsible for obligating PSIC funds to eligible pass-through, public safety recipients.

**Credentials/Documentation:**

All recipients must be a public safety agency that is a State, local, or tribal government entity or nongovernmental organization authorized by such entity, whose sole or principal purpose is to protect safety of life, health, or property. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The SAAs must apply for PSIC Grant Program funding through the online Grants.gov system through the Authorized Organization Representative (AOR.) Instructions are available on the Grants.gov website ([www.grants.gov](http://www.grants.gov)).

**Award Procedure:**

Each applications will be reviewed by NTIA and DHS for completeness, adherence to programmatic guidelines, feasibility, and how well the proposed solution addresses the identified need or capability shortfall. If submissions do not meet PSIC requirements, they will be returned to the submitting State or Territory and funds will be withheld until the applicant meets all PSIC requirements. Upon approval of the application, the grant will be awarded to the SAA. Grantees can draw down and expend funds through the DHS Payment and Reporting System.

**Deadlines:**

Jul 19, 2012 The deadline for filing applications was August 22, 2007. The deadline for submitting the required Statewide Communications Interoperability Plans and Investment Justifications was December 3, 2007. The final period of performance for the PSIC grant ended on June 30, 2012 and the grant program ends on September 30, 2012.

**Range of Approval/Disapproval Time:**

Award payments are generally within 90 days of application approval.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 20%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payment and Reporting System payments are generally within 90 days. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Grant recipient must retain records for three years.

**Account Identification:**

13-5396-0-1-503.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.ntia.doc.gov/legacy/psic/index.html>

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Pandora Beasley-Timpson U.S. Department of Commerce  
1401 Constitution Ave., NW  
Room 4228  
, Washington, District of Columbia 20230 Email:  
[pbeasley-timpson@ntia.doc.gov](mailto:pbeasley-timpson@ntia.doc.gov) Phone: 2024823590

**Website Address:**

<http://www.ntia.doc.gov/legacy/psic/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**11.557 BROADBAND TECHNOLOGY OPPORTUNITIES PROGRAM (BTOP)**

**FEDERAL AGENCY:**

National Telecommunications and Information Administration, Department of Commerce

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009, Public Law No. 111-5.

**OBJECTIVES:**

The purposes of the Broadband Technology Opportunities Program (BTOP) include accelerating broadband deployment in unserved and underserved areas and ensuring that strategic institutions which are likely to create jobs or provide significant public benefits have broadband connections.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Competitive grants under the Broadband Technology Opportunities Program will be awarded to: (1) provide access to broadband service to U.S. consumers in unserved areas; (2) provide improved access to broadband in underserved areas; (3) provide broadband support and services to strategic institutions; (4) improve broadband access by public safety agencies; and (5) stimulate broadband demand, economic growth, and job creation. Competitive grants under the Broadband Technology Opportunities Program will be awarded to: (1) provide access to broadband service to U.S. consumers in unserved areas; (2) provide improved access to broadband in underserved areas; (3) provide broadband support and services to strategic institutions; (4) improve broadband access by public safety agencies; and (5) stimulate broadband demand, economic growth, and job creation.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Applicants must certify that the organization is in compliance, or will comply, with the Department of Commerce assurances included in the standard application. Applicants must also: provide assurances that they will

substantially complete funded projects in accordance with project timelines, not to exceed two years following an award; provide a detailed explanation of how any amount received under the program will be used to carry out the purposes of the Program in an efficient and expeditious manner; show that the project would not have been implemented during the grant period without Federal grant assistance; demonstrate that it is capable of carrying out the project or function to which the application relates in a competent manner in compliance with all applicable Federal, State, and local laws; demonstrate that it will appropriate (if the applicant is a State or local government agency) or otherwise unconditionally obligate, from non-Federal sources, funds required to meet the requirements of Section 6001, subsection (f); disclose the source and amount of other Federal or State funding sources from which the applicant receives, or has applied for, funding for activities or projects to which the application relates; and provide such assurances and procedures as may be required to ensure that grant funds are used and accounted for in an appropriate manner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program staff members are available to provide technical and other assistance to potential applicants regarding the requirements of the Broadband Technology Opportunities Program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as approved by the Office of Management and Budget (OMB) and provided by NTIA must be used for this program, including the Standard Form 424 (Rev 4-92) and the required certifications.

**Award Procedure:**

Applications are reviewed on the basis of funding criteria as established in the Notice of Funding Availability. The Assistant Secretary, or its designate, may select an application for funding, in whole or in part, and will notify the applicant of final decisions.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. The NTIA Administrator shall select and publish in the Federal Register the date by which new applications must be filed in order to be considered for funding in the referenced fiscal year.

Awards for the Program will be announced no later than September 30, 2010.

**Appeals:**

All award decisions are final. There is no administrative appeal process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20%. Public Law 111-5-February 17, 2008. The Federal share of any project may not exceed 80 percent unless a waiver is granted to applicant.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The award period for successful applicants is up to three years, and the project must be substantially complete in two years as specified in Public Law 111-5. Financial assistance is generally released as required during the award. Funds will be awarded in full for the project, and recipients will use the advance payment method of disbursing grant funds. See the following for information on how assistance is awarded/released: Through Automated Standard Application for Payment system.

**Reports:**

Financial and progress reports are to be submitted in accordance with the terms and conditions of the award, and are due on a quarterly basis. The NTIA Assistant Secretary, or its designate, may establish additional reporting and information requirements for any recipient of an award.

As required by Section 1512 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) and OMB guidance, each recipient is required to report the following information to the NTIA ten days after the end of each calendar quarter. As prescribed by the Recovery Act, these reports will include:

1. The total amount of recovery funds received from NTIA.
2. The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations.
3. A detailed list of all projects or activities for which Recovery Act funds were obligated and expended, including
  - a. The name of the project or activity;
  - b. A description of the project or activity;
  - c. An evaluation of the completion status of the project or activity;
  - d. An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
  - e. For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name the person to contact at the agency if there are concerns with the infrastructure investment.

No cash reports are required. As required by Section 1512 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) and OMB guidance, each recipient is required to report the following information to the NTIA ten days after the end of each calendar quarter. As prescribed by the Recovery Act, these reports will include:

1. The total amount of recovery funds received from NTIA.
  2. The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated allotment balances to facilitate reconciliations.
  3. A detailed list of all projects or activities for which Recovery Act funds were obligated and expended, including
    - a. The name of the project or activity;
    - b. A description of the project or activity;
    - c. An evaluation of the completion status of the project or activity;
    - d. An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
    - e. For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name the person to contact at the agency if there are concerns with the infrastructure investment.
- Financial and progress reports are to be submitted in accordance with the terms and conditions of the award, and are due on a quarterly basis. The NTIA Assistant Secretary, or its designate, may establish additional reporting and information requirements for any recipient of an award. Progress reports and site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All BTOP awards are subject to audit by the DOCs OIG under the single audit requirements outlined in OMB Circular A-133 (<http://www.whitehouse.gov/omb/rewrite/circulars/a133/a133.html>). Colleges and universities; State, local, and tribal governments; and non-profits must adhere to the audit requirements of OMB Circular A-133. Commercial organizations must adhere to the requirements of OMB Circular A-133, B Subpart B, 235.

Non-Federal, non-profit entities are subject to the Single Audit Act of 1996 and therefore also have a single audit requirement under OMB Circular A-133. Non-Federal, non-profit entities that expend BTOP award funds in excess of

\$500,000 in one year should have a program-specific audit conducted for that year. Non-Federal, non-profit entities that expend less than \$500,000 of BTOP award funds in one year are generally exempt from Federal audit requirements for that year, except in certain cases noted in OMB Circular No. A-133.

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients or subrecipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for three years from the date on which the final expenditure report is submitted.

**Account Identification:**

13-0554-0-1-376.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$176,400 to \$126,323,296.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program regulations, application forms, and guidelines required of applicants can be found at <http://www2.ntia.doc.gov/resources>. Cost will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and with A-122 for nonprofit organizations. Grants management will be in accordance with the provisions of 15 CFR Part 14 for institutions of higher education, other nonprofit organizations, and for-profit organizations; and 15 CFR Part 24 for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anthony Wilhelm Department of Commerce, Broadband Technology Opportunities Program, Office of Telecommunications Applications, 1401 Constitution Avenue, NW, Room 4812, Washington, District of Columbia 20230 Email: [btop@ntia.doc.gov](mailto:btop@ntia.doc.gov) Phone: (202) 482-2048.

**Website Address:**

<http://www.ntia.doc.gov/broadbandgrants>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In determining whether to approve an application, in whole or in part, and the amount of the grant, the NTIA Assistant Secretary, or its designate, will consider the projects conformance with the program purposes and funding criteria set forth in the legislation and the Notice of Funding Availability.

**11.558 STATE BROADBAND DATA AND DEVELOPMENT GRANT PROGRAM**

**FEDERAL AGENCY:**

National Telecommunications and Information Administration, Department of Commerce

**AUTHORIZATION:**

The Broadband Data Services Improvement Act, Public Law No. 110-385, 122 Stat. 4100 (October 10, 2008) and The American Recovery and Reinvestment Act of 2009, Public Law No. 111-5.

**OBJECTIVES:**

To establish a competitive grant program to develop and implement statewide initiatives to identify and track the availability and adoption of broadband services within each State.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding under the State Broadband Data and Development Grants Program will be awarded to provide for the collection of mapping data and the creation of a geographic broadband inventory map, within each state, so as to promote the development and maintenance of a comprehensive nationwide inventory map of existing broadband service capability and availability in the United States. Though priority will be given to mapping-related uses, other uses provided for by the statute include: identification and tracking of low broadband deployment levels, broadband adoption rates, and possible broadband suppliers; identification of barriers to adoption of broadband and related technology services; identification of broadband connection speeds; creation and facilitation of technology planning teams; facilitation of collaborations between providers and information technology companies to encourage broadband deployment and use; establishment of programs to improve computer ownership and Internet access; collection and analysis of market data on broadband use and demand; and facilitation of information exchange between public and private sectors regarding broadband use and demand. Up to \$350 million.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Applicants must certify that the organization is in compliance or will comply with the Department of Commerce requirements as provided in the Notice of Funds Availability (NOFA) and as included in the standard application and that they have been designated by the State as the single eligible entity designated by the State to receive a grant under this Program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The program is no longer accepting applications. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as approved by OMB and provided by NTIA must be used for this program, including the Standard Form 424 (Rev 4-92) and the required certifications.

**Award Procedure:**

Applications were reviewed on the basis of funding criteria as established in the NOFA. The Secretary of Commerce, or its designate, may select an application for funding, in whole or in part, and would notify the applicant of final decisions.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The Secretary of Commerce, or its designate, shall select and publish in the NOFA the date by which new applications must be filed in order to be considered for funding in the referenced fiscal year.

Awards for the Program will be announced within 60 days from the filing of an application.

**Appeals:**

All award decisions are final. There is no administrative appeal process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20%. Public Law 110-385-Oct. 10, 2008.  
To be eligible to receive a grant an eligible entity shall contribute matching non-Federal funds in an amount equal to not less than 20 percent of the total amount of the grant.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Successful applicants will implement their initiatives in the most efficient and expeditious manner practicable while complying with all applicable Federal, state and local laws and accounting for grant funds in an appropriate manner. The actual time will vary depending on the complexity of a particular project, although all projects must be completed before such deadline as the Secretary of Commerce, or its designate, shall select and publish in the NOFA. No-cost extensions may be requested in writing if circumstances require additional time, and extensions must be approved by the Grants Officer. Financial assistance is generally released as required during the award. See the following information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Financial assistance is generally released as required during the award.

**Reports:**

Progress reports are to be submitted. Financial reports are to be submitted. In accordance with the terms and conditions of the award and as required pursuant to section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law No. 111-5. Grant recipients are also required to make such reports available for posting on the Department of Commerce website. Grant recipients shall provide collected data of such type and in such format as required in the NOFA and shall make such data available to the Department of Commerce, or its designate, for processing and posting on the Internet. The NTIA Assistant Secretary may establish additional reporting and information requirements.

**Audits:**

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

**Records:**

All financial and programmatic records, supporting documents, statistical reports and other records of recipients or subrecipients must be maintained in accordance with the terms of the award. Generally, the recipient must retain records for three years from the date on which the final expenditure report is submitted.

**Account Identification:**

13-0554-0-1-376.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The application package containing the NOFA, application forms and guidelines can be obtained at [www.ntia.doc.gov/recovery](http://www.ntia.doc.gov/recovery). Cost will be determined in accordance with OMB Circular Nos. A-21 for institutions of higher education, A-87 for State and local governments, and with A-122 for nonprofit organizations. Grants management will be in accordance with the provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and for-profit organizations; and 15CFR Part 24

for State and local governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ann Neville National Telecommunications and Information Administration, Room 4812, Department of Commerce, 1401 Constitution Avenue NW, Washington, District of Columbia DC 20230 Email: [anerville@ntia.doc.gov](mailto:anerville@ntia.doc.gov) Phone: (202) 482-5802

**Website Address:**

<http://www.ntia.doc.gov/broadbandgrants>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In determining whether to approve an application, in whole or in part, and the amount of the grant, the Secretary of Commerce, or its designate, will consider the projects conformance with the Program purposes and funding criteria set forth in the statute and the NOFA.

**11.559 LOW-POWER TELEVISION AND TRANSLATOR UPGRADE PROGRAM**

**FEDERAL AGENCY:**

National Telecommunications and Information Administration, Department of Commerce

**AUTHORIZATION:**

Communications Act of 1934, 47 U.S.C.309(j)(8)(E) as amended, Public Law 109-171 Deficit Reduction Act of 2005, Title III - Digital Television Transition and Public Safety, February 8, 2006.

**OBJECTIVES:**

The Low-Power Television and Translator Upgrade Program (Upgrade Program) reimburses licensees of eligible low-power television stations for equipment to upgrade low-power television stations from analog to digital in eligible rural communities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Provides reimbursement up to \$20,000 toward the cost of equipment to upgrade low-power television stations from analog to digital broadcasting. The program will provide reimbursement for equipment to upgrade low-power stations in eligible rural communities from analog to digital.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

All applicants must supply proof of eligibility. Applicants must certify proof of Federal Communications Commission (FCC) license. Applicants must provide assurances required under Program Rules and Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms as furnished by the Federal Agency and approved by OMB must be used for this program. The Application Kit can be retrieved from the web-site at [www.ntia.doc.gov/lptv](http://www.ntia.doc.gov/lptv). By the deadlines, applicants must file a

completed application form and required certifications. Applications postmarked or received after the deadline will be held until the next grant round.

**Award Procedure:**

Applications are reviewed for completeness and verified with FCC data. Priority compensation shall be given to eligible low-power television stations in which the license is held by a non-profit corporation or eligible low-power television stations that serve rural areas of fewer than 10,000 viewers.

**Deadlines:**

Sep 01, 2010: The Priority Round Closing Date: Applications for each grant round must be received at NTIA by 5 p.m., Eastern Time, the first business day of each subsequent month as long as funds are available (Closing Dates). Applications received after any of the monthly Closing Dates will be held until the next grant round.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The Program will conduct a grant round for those applicants that qualify for priority reimbursement, then will conduct grant rounds on a continuing basis until all funds are awarded.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments are generally within 90 days. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits may be conducted in accordance with the terms and conditions of the award and Department of Commerce Financial Assistance Standard Terms and Conditions.

**Records:**

Grant recipient must retain records for three years.

**Account Identification:**

13-5396-0-2-376.

**Obligations:**

(Project Grants) FY 11 \$7,796,518; FY 12 est \$33,240,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$6,000-\$20,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Available from [www.ntia.doc.gov/lptv](http://www.ntia.doc.gov/lptv)

**Regional or Local Office:**

None.

**Headquarters Office:**

Mr. William Cooperman Office of Telecommunications and Information Applications/NTIA  
1401 Constitution Avenue, NW  
Room 4812, Washington, District of Columbia 20230 Email:  
[lptv@ntia.doc.gov](mailto:lptv@ntia.doc.gov) Phone: 202 482-5802 Fax: 202 482-2156

**Website Address:**

<http://www.ntia.doc.gov/lptv>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority reimbursement shall be given to eligible low-power television stations in which the license is held by a non-profit corporation and eligible low-power television stations that serve rural areas of fewer than 10,000 viewers.

**11.804 MBDA BUSINESS CENTER - AMERICAN INDIAN AND ALASKA NATIVE**

**FEDERAL AGENCY:**

Minority Business Development Agency, Department of Commerce

**AUTHORIZATION:**

Executive Order 11625, 15 U.S.C 1512.

**OBJECTIVES:**

The purpose of the MBDA Business Center - American Indian and Alaska Native program is to provide strategic deal making and business consulting services to eligible American Indian and Alaska Native (AIAN) firms and Minority Business Enterprises (MBEs). This program supports the Agency mission of promoting the growth and competitiveness of U.S. businesses that are minority owned. The program is a key component of MBDA's overall portfolio of minority business development services, focusing on securing large public and/or private sector contracts and financing transactions, stimulating job creation and retention, and facilitating entry to global markets for "eligible minority-owned businesses".

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Program funds in this category are to be used by program operators to provide services including, but not limited to, development of a pool of contracting and financing opportunities; direct matching of opportunities with qualified/vetted AIAN firms and MBEs; execution of relationship management and deal sourcing initiatives by industry; assisting AIAN firms and MBEs in accessing global market opportunities; identification and securing of alternative sources of capital for AIAN firms and MBEs; promotion of the advantages of achieving size and scale; educating AIAN firms and MBEs on the benefits of strategic alternatives (i.e. mergers, acquisitions, joint ventures and/or divestitures); and provision of service referrals to AIAN firms and MBEs of all sizes. The uses and use restrictions are more specifically defined in the applicable Federal Funding Opportunity announcement.

**Applicant Eligibility:**

Applicants eligible to operate an MBDA Business Center are nonprofit organizations, for-profit firms, State and local governments, Native American Tribal entities, and educational institutions.

**Beneficiary Eligibility:**

The MBDA Business Center program serves all eligible minority business enterprises through direct services or through strategic partner referral. Eligible beneficiaries of this program are: Native Americans and Alaska Natives (including Alaska Natives, Alaska Native Corporations and Tribal entities), African Americans, Hispanic Americans, Asian and Pacific Islander Americans, Asian Indians and Hasidic Jews. See 15 C.F.R. 1400.1-2 and Executive Order 11625.

**Credentials/Documentation:**

Applicants must submit proof of legal entity, for example, State-issued Certificate of Good Standing, copy of registered Articles of Incorporation, by-laws, IRS 501 (c)(3) tax-exempt letter, authorizing legislation or other evidence of applicant entity legal status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication conferences will be scheduled for most MBDA program competitions. Additionally registration with the Central Contractor Registry (CCR) and Grants.gov are required prior to application submission. Environmental impact information is not required for this program. This

program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applications must be submitted electronically via Grants.Gov. Applicants must submit a program narrative, detailed budget and budget narrative and applicable standard forms (SF) and Department of Commerce (CD) forms. Application packages will be made available on Grants.gov.

**Award Procedure:**

Each application will be reviewed and evaluated by MBDA. The Agency will make funding recommendations to the Grants Officer. The Grants Officer will review the recommendations, process the funding requests and execute the notices of award. Name checks, verification of academic credentials and pre-award audits may be required of the recipient prior to or following an award. Electronic notification of award will be generated and forwarded to the selected recipient by the Grants Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Unsuccessful applicants will be notified in writing within ten days of notification to the successful applicant.

**Appeals:**

All decisions are final. There are no administrative appeals; however, unsuccessful applicants may request a debriefing from MBDA.

**Renewals:**

From 60 to 90 days. MBDA Business Center awards are typically made for a period of five years, with funding renewed on an annual basis at the discretion of MBDA and the Department of Commerce based upon the availability of funds, the recipients performance level, and Agency priorities.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost share requirements are outlined in the applicable Federal Register Notice and the Announcement of Federal Funding Opportunity.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are generally made for a five-year period, but may be made for a shorter period at the discretion of MBDA. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program compliance reports are required. Financial (quarterly and annual) reports are required. Performance progress reports (semi-annual and annual/final) are required for each program year. Expenditure reports are not applicable. Performance monitoring will be conducted by MBDA throughout the duration of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Commercial and other organizations not covered by OMB Circular A-133 will be subject to the audit requirements set forth in the terms and conditions of the award. In addition, audits may be conducted by the Department of Commerce Office of Inspector General and by other authorized federal agencies.

**Records:**

Documents, papers and financial records of grantees or subrecipients relating to the award are required to remain available to the Federal Government for three years from the date of submission of the final financial status report, unless a longer retention period is required under 15 CFR Section 14.53 or 15 CFR

Section 24.42 (depending on the type of recipient).

**Account Identification:**

13-0201-0-1-376.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$1,550,000; and FY 13 est \$1,550,000

**Range and Average of Financial Assistance:**

\$255,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Rios 1401 Constitution Ave., NW, Washington, District of Columbia 20230 Email: crios@mbda.gov Phone: 2024821940

**Website Address:**

<http://www.mbda.gov>

**RELATED PROGRAMS:**

11.801 Native American Business Enterprise Centers; 11.805 MBDA Business Center

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications submitted are competitively evaluated and awarded. Selection criteria includes such factors as capability and experience of staff assigned to the project, techniques and methodology, resources, costs, and alignment with program priorities. Past performance under an MBDA, Department of Commerce or other federal award may also be considered when selecting proposals for an MBDA Business Center award.

**DEPARTMENT OF DEFENSE**

**12.130 ESTUARY HABITAT RESTORATION PROGRAM**

Estuary Habitat Restoration Program

**FEDERAL AGENCY:**

Department of the Army, Office of the Chief of Engineers, Department of Defense

**AUTHORIZATION:**

Estuary Restoration Act of 2000, as amended  
. Public Law 106-106-457, 114 Stat. 1957, 33 U.S.C 2901-2908.

**OBJECTIVES:**

The objectives of the ERA program are to provide Federal assistance for estuary habitat restoration projects while encouraging partnerships among public agencies and non-governmental organizations, supporting innovation, and monitoring the success of funded projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance may be provided only for projects that meet the requirement in the Estuary Restoration Act of 2000 as amended. Additionally the Non-Federal interest must enter into a written agreement to furnish its required share of the costs of the project and provide long term opportaion, maintenance, repair, rehabilitation, and replacement of the restoration. Assistance may be provided only for projects that meet the requirement in the Estuary Restoratoin Act of 2000 as amended. Additionally the Non-Federal interest must enter into a written agreement to furnish its required share of the costs of the project and provide long term opportaion, maintenance, repair, rehabilitation, and replacement of the restoration.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Grant awardees must prepare, retain, and upon request provide documentation of their expenditure of funds on reasonable, allocable, and allowable expenses for ERA projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Proposals will be reviewed by a five agency team which will provide recommendations to the Estuary Habitat Restoration Council. The Council will review the team's recommendations and provide a prioritized list of proposals recommended for funding consideration to the Assistant Secretary of the Army for Civil Works. The Assistant Secretary will then approve funding of selected proposals. A Cooperative Agreement or cost-sharing agreement will be negotiated and executed prior to distribution of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Estuary Restoration Act of 2000 as amended, section 104(d).

Matching Requirements: Percent: 35%. Non-Federal grant applicants must fund at least 35% of the total cost of an approved ERA program project. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Seven years after execution of the agreement. See the following for information on how assistance is awarded/released: Assistance is incrementally released based on periodically submitted cost documentation.

**Reports:**

Biennial reports to Congress are required. These document the number of acres restored and provide other information about completed projects, including the results of monitoring, estimates of long term success of various techniques, and explanation of how information obtained regarding previously funded projects about is used in the selection and implementation of future projects. No cash reports are required. Periodic reports are required to document work accomplished and results of monitoring. Grant recipients are required to provide reports of their expenditures on projects in order to receive further increments of awarded grant funding. Periodic inspections by agency staff are conducted throughout the award period and subsequent to project construction.

**Audits:**

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

**Records:**

No Data Available.

**Account Identification:**

96-3122-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$2,816,000; FY 12 est \$1,810,000; and FY 13 est \$2,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Ellen Cumings 441 G Street NW, Washington, District of Columbia 20314  
Email: Ellen.M.Cummings@usace.army.mil Phone: 202-761-4750

**Website Address:**

<http://www.usace.army.mil/Missions/Environmental/EstuaryRestoration.aspx>.

**RELATED PROGRAMS:**

11.463 Habitat Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Elkhorn Slough Tidal Marsh Restoration: Building Resilience with the Beneficial Reuse of Sediment, CA. This project will restore approximately 21 acres of salt marsh with placement of material being dredged from another project. Raising the elevation of this area will provide increased sustainability for the marsh and may also benefit several endangered species.

Riverside Ranch Restoration Project, Eureka, CA. Restoration of 356 acres of estuarine juvenile rearing habitat in the Salt River delta on the Riverside Ranch will require lowering levees, two tidal breaches, slough channel creation, construction of a setback levee, the filling of drainage ditches, and revegetation. The project will aid in the efforts to recover federally listed Coho (threatened), Chinook (threatened), and Steelhead (threatened) stocks in the Salt River watershed as well as provide habitat for tidewater goby (federally endangered), green sturgeon and Dungeness crab larval stages.

Little Oyster Creek Sanctuary on the Lower Neuse River in Pamlico Sound, Pamlico County, NC. Approximately 10 acres of oyster reef will be created using Ultra Balls and Reef Pyramids as the substrate for oyster spat settlement. This technique has not been used previously in this area. The results will be compared to the biological and economic benefits of traditional limestone mounds.

Skokomish Estuary Restoration Phase III Mason County, WA. The project will restore 330 acres of tidal/palustrine marsh complex by re-establishing historic hydrologic connectivity of a large freshwater wetland to the estuary of the Skokomish River in lower Hood Canal. Appropriately sized culverts, restoration of diverted channels and bridges will be used to achieve this goal. This will improve the native vegetation and habitat for endangered trout and other species.

Additional information about the program is available at <http://www.usace.army.mil/Missions/Environmental/EstuaryRestoration.aspx>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Solicitations issued to invite proposals contain detailed criteria which may vary year to year. In order to be considered projects must address restoration needs identified in an estuary habitat restoration plan as defined in the Estuary Restoration Act or 2000 as amended., be consistent with the estuary habitat restoration strategy, include a monitoring plan that meets the monitoring standards and include satisfactory assurances from the non-Federal interests that they will have adequate personnel, funding and authority to carry out items of local cooperation and properly maintain the project for the long term. The

qualifications of the principal parties are considered along with the scope of the projects and geographic location. A complete list is contained in the solicitations.

## **12.217 ELECTRONIC ABSENTEE SYSTEMS FOR ELECTIONS**

EASE Grants

### **FEDERAL AGENCY:**

Federal Voting Assistance Program, Department of Defense

### **AUTHORIZATION:**

10 U.S.C. 2358

42 USC 1973ff et al

42 USC 1973gg et al

10 USC 1566

10 USC 1566a

PL 107-107, sec 1604, as amended by PL 108-375, Sec 567(a)

PL 107-107, sec 1604, as amended by PL 108-375, Sec 567(b)

NDA 2010 Sec 589, Executive Order Executive Order 12642, 10 U.S.C 2358.

### **OBJECTIVES:**

The objective of these activities will be to:

1. Establish and ensure successful, sustainable and affordable electronic tools that will improve voting systems for voters protected by the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA).
2. Increase the percentage of ballots successfully returned by UOCAVA voters to be either equal to, or greater than the percentage of ballots returned by the general voting population.
3. Collect and analyze data to increase effectiveness of absentee voting procedures and systems.
4. Establish and maintain a pipeline of ideas, techniques and best practices of Election Officials and their services for UOCAVA voters.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Develop innovative electronic election systems tools that will reduce impediments faced by UOCAVA voters.

### **Applicant Eligibility:**

Applicants are encouraged to develop innovative approaches that utilize their unique assets, capabilities, locations, and personnel.

### **Beneficiary Eligibility:**

The amount and period of performance of each selected proposal may vary depending on the research area and the technical approach to be pursued by the selected offeror.

### **Credentials/Documentation:**

Costs will be determined in accordance to applicable regulations, applicable cost principles and appropriated OMB guidance (such OMB Circular A-87 for State, Local, and Indian Tribal Governments). Applicants may be required to demonstrate that they have the appropriate background, training, experience, and /or equipment to carry out the purposes of the assistance. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

### **Award Procedure:**

Award decisions will be based on a competitive selection of proposals based on a scientific, technical, management and cost review. Evaluations will be conducted using the following evaluation criteria: number of UOCAVA voters served, sustainability, innovation, scalability, approach. The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during grant performance.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Although DoD will attempt to make award decisions within in sixty (60) to ninety (90) days; actual approval time may vary and depend in part on how quickly DoD obtains the required information and forms.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at time of award. The length and time-phasing of the assistance will be stated in the assistance instrument and appropriately limited by the lawful availability of funds. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Mutually agreeable schedule for release of funds.

### **Reports:**

Final report. SF-425. Programmatic interim report

Data collection points reports. No expenditure reports are required. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. none

### **Records:**

The Comptroller General of the United States or a duly authorized representative from the General Accounting Office shall, until 3 years after final payment under this grant have access to and right to examine any of the recipient's directly pertinent books, documents, papers, or other records involving transactions related to this grant.

### **Account Identification:**

97-0400-7-3-010.

### **Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$30,058,747; and FY 13 est \$30,000,000

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

DoD Grant and Agreement Regulations and applicable OMB Circulars

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Bob J Lavelle 4040 N Fairfax Dr

, Arlington, Virginia 22203-1613 Email: bob.lavelle@osd.pentagon.mil Phone:

703-696-8785 Fax: 703-588-1489

### **Website Address:**

<http://www.fvap.gov>

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**



Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals should identify programs and methods that will be used to foster and develop products to lessen the impediments that exist for the UOCAVA voter. Award decisions will be founded on a competitive selection of proposals that are based on scientific, technical, management and cost review as well as relevance and contributions as they relate to FVAPs specific EASE Grant Program goals.

**12.340 NAVAL MEDICAL RESEARCH AND DEVELOPMENT**

**FEDERAL AGENCY:**

Naval Medical Logistics Command, Department of Defense

**AUTHORIZATION:**

10 U.S.C. 2358.

**OBJECTIVES:**

To enhance the health, safety, readiness, and performance of Navy and Marine Corps personnel through basic and applied medical research executed largely through grants, cooperative agreements, and contracts with civilian educational and research institutions/organizations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Recipients are required to conform to their accepted research protocol and are usually required to submit some form of annual or project report. Project support is limited to fundamental research which is defined as basic and applied research aimed at sustaining the technology base or understanding a biological-medical process, thereby providing a technological edge in solving complex biological-medical problems and countering future military medical threats. Some grants are also awarded to support conferences and symposiums.

**Applicant Eligibility:**

Applicants must be an institution/organization. Applications will not be accepted from individuals.

**Beneficiary Eligibility:**

Beneficiaries are relatively independent investigators associated with an applicant institution/organization.

**Credentials/Documentation:**

Applicants must furnish evidence of legal authorization, financial and managerial capability as well as a certification of compliance with Federal, State, and local environmental laws, ordinances and regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

White papers or pre-proposals may be required prior to full application submission. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants should obtain a copy of the Naval Medical Logistics Command's Broad Agency Announcement (BAA) or Program Announcements (PAs), which describe the full research program and include necessary forms and instructions for proposal submissions. The BAA and PAs can be viewed at the Grants.gov website.

**Award Procedure:**

Proposals are evaluated by in-house committee or by a combination of in-house and extramural review committees against the evaluation criteria listed in the Broad Agency Announcement (BAA) or Program Announcement (PA). The final stage of evaluation is the establishment of an order of merit in which all competing proposals are ranked on the basis of their respective military relevance and scientific merit evaluations. Award amount will be negotiated with those proposals recommended for funding. Awards depend upon the availability of funds and the priority which the Navy determines to exist at the time of award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. White papers or pre-proposals are normally reviewed within 60 to 90 days. Formal proposals are usually reviewed and notifications received within 6 months from submission. Grant award dates are normally within 4 months from notification.

**Appeals:**

Not Applicable.

**Renewals:**

Once a grant or cooperative agreement is awarded, any follow-on research proposal is treated as a new request. Follow-on work should allow for the review time noted above.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of time for which support is requested should be consistent with the nature and complexity of the proposed research. The maximum period acceptable for a research proposal is 5 years. Funds are normally released on a quarterly basis. See the following for information on how assistance is awarded/released: Assistance agreement payments will be made in advance on a quarterly basis or will be on a cost reimbursement basis. The award will specify the payment method.

**Reports:**

No program reports are required. No cash reports are required. Annual and final reports will be required. Quarterly reports may also be required. Quarterly financial reports and a final financial report, i.e., the Federal Financial Report (SF425) are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Recipients are required to maintain records adequate to reflect the nature and extent of their costs and expenditures and to insure that the required cost of participation is achieved. Records must be maintained for 3 years following the date of submission of final reimbursement request for services rendered.

**Account Identification:**

17-1319-0-1-051.

**Obligations:**

(Project Grants) FY 11 Not Separately Identifiable(Exp: New Program); FY 12 est \$0; and FY 13 est \$20,000,000

**Range and Average of Financial Assistance:**

\$100,000 to \$20,000,000. Average: \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Naval Medical Logistics Command's Broad Agency Announcement (BAA) or Program Announcements (PAs) provide program information, applicable regulations, and guidance for submitting applications. The BAA and PAs can be viewed at the Grants.gov website.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christopher E. Sherman 693 Neiman Street, Fort Detrick, Maryland 21702  
Email: christopher.sherman2@med.navy.mil Phone: 30-619-0706

**Website Address:**

<http://www.nmlc.med.navy.mil/>

**RELATED PROGRAMS:**

12.420 Military Medical Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected for funding based on the evaluation criteria listed in the Naval Medical Logistics Command's Broad Agency Announcement (BAA) or Program Announcements (PAs). The BAA and PAs can be viewed at the Grants.gov website.

**12.369 MARINE CORPS SYSTEMS COMMAND FEDERAL ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Marine Corps Systems Command, Department of Defense

**AUTHORIZATION:**

FY2008 DoD Appropriations Act, Title VIII, Section 8030.

**OBJECTIVES:**

To provide federal assistance in support of families of active duty Marines and in support of the betterment of the general public.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds must be expended in accordance with the work identified in the proposal, in accordance with applicable Government-side cost principles as specified in the DoD Grant and Agreement Regulations.

**Applicant Eligibility:**

Other private/public nonprofit organizations which are operated primarily for educational or similar purposes in the public interest, and commercial concerns.

**Beneficiary Eligibility:**

Other private/public nonprofit organizations which are operated primarily for educational or similar purposes in the public interest, and commercial concerns.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals shall be prepared in accordance with instructions in individual program announcements. See Grants.gov ([www.grants.gov](http://www.grants.gov))

**Award Procedure:**

Awards decisions will be based on a competitive selection of proposals resulting from a peer and/or technical review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30-90 days, depending on the authority under which the funds would be awarded.

**Appeals:**

From 1 to 15 days.

**Renewals:**

Re-application with new proposal is permitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Normally from 12 to 36 months. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

Cost/Technical Progress Reports. No cash reports are required. Cost/Technical Progress Reports. Reports of expenditures. Continuous monitoring throughout the effort.

**Audits:**

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

**Records:**

Recipient will maintain accounting records which will permit determination that the funds were used for the award purposes. Financial records must be maintained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

17-1106-0-1-054.

**Obligations:**

(Salaries) FY 10 Not Available; FY 11 Estimate Not Available; and FY 12 Estimate Not Available

**Range and Average of Financial Assistance:**

No data available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of Defense Grant and Agreement Regulations (DoDGARS), April 13, 1998, and individual program announcements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura E. Caracciolo 2200 Lester Street, Quantico, Virginia 22134 Email: [laura.caracciolo@usmc.mil](mailto:laura.caracciolo@usmc.mil) Phone: 7034325590

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**12.579 LANGUAGE TRAINING CENTER**

**FEDERAL AGENCY:**

Office of the Secretary of Defense, Department of Defense

**AUTHORIZATION:**

National Defense Authorization Act of 2010, Section 529, Public Law 111-84.

**OBJECTIVES:**

The Language Training Center is a DOD-funded initiative that seeks to

accelerate the development of foundational or higher-level expertise in critical and strategic languages and regional studies for DOD personnel by leveraging U.S. institutions of higher education to meet the existing and demonstrated training needs of DOD units, offices, or agencies.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are awarded on a competitive basis to institutions of higher education to increase DOD's training capacity in critical and strategic languages and regional area studies for DOD personnel. Grant awards are only made to U.S. institutions of higher learning. The National Security Education Act places no special or unique requirements on grantee institutions. Only requirements that govern all Federal grants will apply to National Security Education Program grants. No international exchange program may be funded under this program. Finally, grant funds may be used for any appropriate, academic-oriented experience including independent research, internships, or service learning.

**Applicant Eligibility:**

Any accredited U.S. institutions of higher education (defined in Section 1201(a) of the Higher Education Act of 1965, 20 U.S.C. 1141(a) is eligible for a grant. This includes 2- and 4-year colleges and universities, both public and private. Other organizations, associations, agencies, and foreign institutions may be included in proposals but may not be direct recipients of a grant. Federal government schools are not eligible. Applicants must demonstrate an institutional commitment to increasing the critical language and cross-cultural proficiency of DOD personnel as well as proven institutional capability to provide quality instruction in these subject areas.

**Beneficiary Eligibility:**

Accredited U.S. institutions of higher education.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All eligible private and public U.S. institutions of higher education may submit proposals in response to the relevant agency announcements.

**Award Procedure:**

Award decisions will be based on competitive selection of proposals resulting from an independent merit review by a panel comprised of specialists in language acquisition and study abroad as well as representatives from the military services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are negotiated and are conducted annually based on national program strategy as well as institutional performance and availability of funding.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. There are no matching or cost sharing requirements but applicants are encouraged to cost share project efforts. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are single year awards. Additional renewal years are possible based on

performance, program needs, and availability of funding. Method of awarding/releasing assistance: quarterly.

**Reports:**

Challenges, success, enrollment figures are reported on a quarterly basis. Funds expended on a quarterly basis are reported. Challenges, success, enrollment figures are reported on a quarterly basis. Funds expended on a quarterly basis are reported. Annual site visits and program reviews are conducted.

**Audits:**

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

**Records:**

The Comptroller General of the United States or a duty authorized representative from the General Accounting Office shall, until 3 years after final payment under this grant have access to and right to examine any of the recipient's directly pertinent books, documents, papers, or other records involving transactions related to this grant.

**Account Identification:**

97-0100-7-3-001 - Defense-Wide Operations and Maintenance D-W O&M.

**Obligations:**

(Project Grants) FY 11 \$6,000,000; FY 12 est \$5,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Grant range from \$150,000 to \$2,000,000 annually for a single year project.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The awardee and any consultant/contractor operating under the terms of a grant or cooperative agreement shall comply with all Federal, State, and local laws applicable to its activities including the following: 32 CFR 32, "Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations," OMB A-21, "Cost Principles of Educational Institutions," OMB A-110/2 CFR 215, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Non-Profit Organizations," and OMB A-133, "Audits of States, Local Governments and Non-Profit Organizations."

**Regional or Local Office:**

None.

**Headquarters Office:**

Shirley T. Rapues 1101 Wilson Blvd, Suite 1200  
, Arlington, Virginia 22209 Email: shirley.rapues@wso.whs.mil Phone:  
7035881343 Fax: 7035881407

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Language Training Center Grants are intended to accelerate the development of foundational or higher-level expertise in critical and strategic languages and regional studies for DOD personnel by leveraging U.S. institutions of higher education to meet the existing and demonstrated training needs of DOD units, offices, or agencies. Grants have funded language and culture programs at San Diego State University, California State University - Long Beach, University of Montana, North Carolina State University, and North Georgia College and State University. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All projects must demonstrate existing institutional capacity and commitment to provide high-quality language training to DOD personnel. It must also demonstrate a clear, collaborative partnership with a DOD unit, office, or agency and their ability to demonstrate how they proposed training meets a DOD mission requirement.

#### **12.598 CENTERS FOR ACADEMIC EXCELLENCE**

Intelligence Community Centers for Academic Excellence

##### **FEDERAL AGENCY:**

Defense Intelligence Agency, Department of Defense

##### **AUTHORIZATION:**

National Security Act section 192A(n)(4), Title 50, Section 403j, 50 U.S.C 403j.

##### **OBJECTIVES:**

To enhance the recruitment and retention of an ethnically and culturally diverse intelligence community workforce with capabilities critical to the national security interests of the United States.

##### **TYPES OF ASSISTANCE:**

Project Grants

##### **USES AND USE RESTRICTIONS:**

Curriculum or program development.  
Faculty Development.  
Laboratory equipment or improvements.  
Faculty and student research.  
Pre-collegiate outreach.  
Language and cultural studies including foreign travel to attain same. Students supported must be U.S. citizens.

##### **Applicant Eligibility:**

none available.

##### **Beneficiary Eligibility:**

none available.

##### **Credentials/Documentation:**

Resumes of professors involved in programs are submitted. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

##### **Award Procedure:**

A Broad Agency Announcement is advertised.  
Proposals are submitted by varied educational institutions.  
A technical review of the proposals is done by the Program Office.  
Those proposals qualifying are sent on to a Senior Advisory Board for consideration. The Board is composed of representatives from all IC agencies. The Board makes a determination.  
Those chosen are sent to the Director of DIA for final approval.  
Those institutions are contacted by grants personnel to negotiate assistance agreement.  
The final proposal is reviewed and approved by the Program Office.  
An assistance agreement is executed by the grants office.  
It is signed by the institution and the grants officer.  
Congressional notification ensues.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

365 days past submission of proposal.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

the grants are given on a base year plus four option years basis.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Base year plus four option years. See the following for information on how assistance is awarded/released: on a reimbursement basis.

##### **Reports:**

Semester end reports on progress toward stated goals are submitted. No cash reports are required. Semester end reports on progress toward goals are submitted. form 424 is required. yearly monitoring of progress is done.

##### **Audits:**

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

##### **Records:**

No Data Available.

##### **Account Identification:**

99-9999-9-9-999 - not available.

##### **Obligations:**

(Salaries) FY 11 Not Available(Exp: not under us in previous year); FY 12 est \$4,700,000; and FY 13 est \$4,700,000

##### **Range and Average of Financial Assistance:**

\$100,000 - \$600,000 per year.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

program brochure; annual report currently being worked on

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Marilyn B. Peterson Defense Intelligence Agency, HCL5E  
200 MacDill Blvd.  
Joint Base Bolling Anacostia, Washington, District of Columbia 20340 Email: marilyn.peterson@dodis.mil Phone: 2022316041 Fax: 202-231-4172

##### **Website Address:**

No Data Available

##### **RELATED PROGRAMS:**

Not Applicable.

##### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

##### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **12.610 COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR COMPATIBLE USE AND JOINT LAND USE STUDIES**

##### **FEDERAL AGENCY:**

OFFICE OF ECONOMIC ADJUSTMENT, DEPARTMENT OF DEFENSE

##### **AUTHORIZATION:**

Defense Authorization Act, 10 U.S.C. 2391.

##### **OBJECTIVES:**

To assist local and State governments in preparing and adopting a planning

study to mitigate or prevent incompatible community development that is likely to impair the continued operational utility of a Department of Defense (DoD) military installation. Grantees and participating governments are expected to adopt and implement the study recommendations.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

DoD funding may be provided to develop and recommend civilian measures that need to be taken to prevent public or private development that either presently or in the future will likely impair the operations of a military installation. Funding may also be made available to carry out the recommendations of a study.

**Applicant Eligibility:**

Local governments, States on behalf of local governments, or regional organizations composed of State or local governments may be eligible if the criteria below are met and the installation they are responding to is located within any of the several States, the District of Columbia, the Commonwealth of Puerto Rico, or Guam. An applicant may be eligible for DoD funding if: (a) the Secretary of Defense determines that encroachment of the civilian community on a military installation is likely to impair the continued operational utility of the military installation; (b) the installation has been nominated for a study by the appropriate Military Department; and (c) the affected jurisdictions desire to work with the Military Department to address civilian encroachment through local land use planning.

**Beneficiary Eligibility:**

Local governments, States on behalf of local governments, and regional organizations composed of State and local governments that represent the affected area.

**Credentials/Documentation:**

Documentation in the form of locally-adopted resolutions or similar actions that indicate the affected government(s) will cooperate and participate in the development and implementation of the Joint Land Use Study. Also required is evidence that the proposed planning process and implementation of study recommendations will prevent further encroachment on the military installation.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact for the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Communities interested in obtaining DoD funding for community economic adjustment planning activities should contact DoD's Office of Economic Adjustment for pre-application assistance.

**Application Procedures:**

The standard application forms required by 32 CFR Part 33 must be used for this program. Applications and supporting documentation should be submitted to the Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Applicants are encouraged to use the web-based eGrants application option available on the OEA homepage at <http://www.oea.gov>.

**Award Procedure:**

Applications are approved by the Director, Office of Economic Adjustment.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

To the extent practicable, complete applications for planning assistance are responded to within seven business days from receipt.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. A minimum of 25 percent of the

project's total proposed funding is to be comprised of non-Federal sources.

**Length and Time Phasing of Assistance:**

A grant period is typically one year. Funds are disbursed quarterly or as required.

**Reports:**

Quarterly financial and progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

In accordance with 32 CFR 33.

**Account Identification:**

97-0100-0-7-051.

**Obligations:**

FY 07 est \$1,200,000; and FY 08 est not available; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$45,000 - \$90,000; \$70,000.

**PROGRAM ACCOMPLISHMENTS:**

Communities developed joint land use studies and implemented recommendations that helped limit encroachment and avoid inappropriate development near military bases.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-133 and A-87, and 32 CFR Parts 25, 28 and 33. Related publications are available on the OEA website at no charge.

**Regional or Local Office:**

Regional Director, Western Region Office of Economic Adjustment, Department of Defense, 1325 J Street, Suite 1500, Sacramento, CA 95814. Telephone: (916) 557-7365.

**Headquarters Office:**

Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Telephone: (703) 604-6020.

**Website Address:**

E-mail address: [oeafeedback@osd.mil](mailto:oeafeedback@osd.mil) Website: <http://www.oea.gov>.

**RELATED PROGRAMS:**

12.600, Community Economic Adjustment.

**EXAMPLES OF FUNDED PROJECTS:**

Funds were provided to develop Joint Land Use Studies that helped communities plan for compatible use near military bases.

**CRITERIA FOR SELECTING PROPOSALS:**

Seriousness of the problem, immediacy of need, benefits to DoD and the participating government(s), and reasonableness of proposed work program and level of funding, and likelihood that the recommendations will be implemented.

**12.611 COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR REDUCTIONS IN DEFENSE INDUSTRY EMPLOYMENT**

**FEDERAL AGENCY:**

OFFICE OF ECONOMIC ADJUSTMENT, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2391.

**OBJECTIVES:**

Assistance for States and communities to prepare and carry out community adjustment and economic diversification activities in response to reductions in defense industry employment resulting from: a publicly announced planned major reduction in Department of Defense (DoD) spending; the closure or significantly reduced operations of a defense facility as the result of the merger, acquisition, or consolidation of the defense contractor operating the defense facility; the cancellation or termination of a DoD contract; or the failure to proceed with an approved major weapon system program.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is structured through an assigned Project Manager working with an affected State and/or local government, and may be used to plan and carry out local economic adjustment programs, including, but not limited to; assessment of local economic strengths, weaknesses, opportunities and threats; staffing, operating and administrative costs for an organization to represent the affected community; review of local Defense prime and sub contracting activity; outreach to local small businesses, workers, and other community interests; and, facility evaluations. Funds provided under this program may not be used to directly identify or assist a business, including a business expansion, in the relocation of a plant, facility, or operation from one Labor Market Area (LMA) to another if the relocation is likely to result in the loss of jobs in the LMA from which the relocation occurs.

**Applicant Eligibility:**

Applicants for this assistance are to contact the Office of Economic Adjustment to have a Project Manager assigned who, in turn, will work with the applicant to determine eligibility for assistance under this program. States, cities, counties, other political subdivisions of a State, special purpose units of a State or local government, and tribal nations are eligible for this assistance if there is; a publicly announced planned major reduction in Department of Defense (DoD) spending; the closure or significantly reduced operations of a defense facility as the result of the merger, acquisition, or consolidation of the defense contractor operating the defense facility; the cancellation or termination of a DoD contract; or the failure to proceed with an approved major weapon system program.

**Beneficiary Eligibility:**

States and communities, including workers, businesses, and other community interests, that may be affected by Defense actions.

**Credentials/Documentation:**

Applicants must document; 1) the publicly announced Defense action that has occurred or will occur; and 2) the known or anticipated impacts on the applicant due to the closure, reduction, cancellation, termination, or failure to proceed.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact for the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Communities interested in obtaining DoD funding for community economic adjustment planning activities should contact DoD's Office of Economic Adjustment for pre-application guidance.

**Application Procedures:**

The standard application forms required by 32 CFR Part 33 must be used for this program. Applications and supporting documentation should be submitted to the Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Applicants are encouraged to use the web-based eGrants application option available on the OEA homepage at <http://www.oea.gov>.

**Award Procedure:**

Applications are approved by the Director, Office of Economic Adjustment.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

To the extent practicable, complete applications for planning assistance are responded to within 7 business days from receipt. Complete applications for assistance to carry out community adjustment programs are responded to within 30 business days from receipt, to the extent practicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. A minimum of 25 percent of the project's total proposed funding is to be comprised of non-Federal sources.

**Length and Time Phasing of Assistance:**

A grant period is typically one year. Funds are disbursed quarterly or as required.

**Reports:**

Quarterly financial and progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

In accordance with 32 CFR 33.

**Account Identification:**

97-0100-0-7-051.

**Obligations:**

(Grants) FY 07 \$2,000,000; FY 08 est \$2,000,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$75,000 - \$250,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

In past years communities received economic adjustment planning grant assistance for defense industry impacts that resulted in a variety of diversification and job creation initiatives.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-133, and A-87, and 32 CFR Parts 25, 28 and 33. Related publications are available on the OEA website at no charge.

**Regional or Local Office:**

Regional Director, Western Region Office of Economic Adjustment, Department of Defense, 1325 J Street, Suite 1500, Sacramento, CA 95814. Telephone: (916) 557-7365.

**Headquarters Office:**

Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Telephone: (703) 604-6020.

**Website Address:**

E-mail address: [oeafeedback@wso.whs.mil](mailto:oeafeedback@wso.whs.mil) Website: <http://www.oea.gov>.

**RELATED PROGRAMS:**

11.307, Economic Adjustment Assistance; 12.607, Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation; 12.611, Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment; 12.614, Community Economic Adjustment Diversification Planning; 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 17.260, WIA Dislocated Workers; 59.012, 7(a) Loan Guarantees.

**EXAMPLES OF FUNDED PROJECTS:**

Funds were awarded to develop and implement community economic adjustment strategies to create jobs and businesses to replace those lost due to defense industry cutbacks.

**CRITERIA FOR SELECTING PROPOSALS:**

Magnitude of impact, statutory compliance, immediacy of need, reasonableness of proposed work program and the proposed level of funding.

**12.614 COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ADVANCE PLANNING AND ECONOMIC DIVERSIFICATION (COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ADVANCE PLANNING)****FEDERAL AGENCY:**

OFFICE OF ECONOMIC ADJUSTMENT, DEPARTMENT OF DEFENSE

**AUTHORIZATION:**

10 U.S.C. 2391.

**OBJECTIVES:**

Assistance for States and communities to plan community adjustment and economic diversification activity to lessen an area's dependence on Defense expenditures.

**TYPES OF ASSISTANCE:**

Project Grants.

**USES AND USE RESTRICTIONS:**

Assistance is structured through an assigned Project Manager working with a Defense-dependent State and/or local government, and may be used to plan and carry out local economic adjustment programs, including, but not limited to: development of diversification studies; assessment of local economic strengths, weaknesses, opportunities and threats; analyses of local economic Standard Industry Code clusters; enhancement of local economic development capacity to diversify local Defense dependencies; review of local Defense prime and sub contracting activity; and, outreach to local small businesses, workers, and other community interests. Funds provided under this program may not be used to directly identify or assist a business, including a business expansion, in the relocation of a plant, facility, or operation from one Labor Market Area (LMA) to another if the relocation is likely to result in the loss of jobs in the LMA from which the relocation occurs.

**Applicant Eligibility:**

Applicants for this assistance are to contact the Office of Economic Adjustment to have a Project Manager assigned who, in turn, will work with the Applicant to determine eligibility for assistance under this program. States, cities, counties, political subdivisions of a State, special purpose units of a State or local government, and tribal nations are eligible for this assistance if a substantial portion of the economic activity or population of the applicant's geographic area is dependent on defense expenditures.

**Beneficiary Eligibility:**

States and communities, including workers, businesses, and other community interests that may be dependent upon Defense expenditures.

**Credentials/Documentation:**

Applicants must document that a substantial portion of the economic activity of a local area is dependent on Defense expenditures, including a statement explaining the direct Defense wage and salary employment as a share of regional total employment and as a share of recent annual changes in regional total employment.

**Preapplication Coordination:**

Parties interested in obtaining assistance under this program should contact OEA at: Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704, (703)604-6020, or by e-mail at [oeafeedback@wso.whs.mil](mailto:oeafeedback@wso.whs.mil). OEA, in turn, will assign a Project Manager to work closely with the affected State or community to craft a responsive program of technical and, where eligible, project grants. The Project Manager will provide necessary information to prepare and submit an application for financial assistance under this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

Applications are necessary for the project grants available under this program and must be invited by the Office of Economic Adjustment through an assigned Project Manager. The standard application forms required by 32 CFR Part 33, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and local Governments will comprise an application for assistance once they are invited. Applications and supporting documentation should be submitted to the Director of the Office of Economic Adjustment, Department of Defense. Applicants will generally be invited to submit their requests for assistance electronically. In instances where, for whatever reason, an electronic application cannot be submitted, provisions will be made to accept a paper application addressed to: Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704.

**Award Procedure:**

Applications are approved by the Director, Office of Economic Adjustment.

**Deadlines:**

None.

**Range of Approval/Disapproval Time:**

To the extent practicable, OEA will inform an Applicant of approval within seven (7) business days of the receipt of a final, completed application. OEA will promptly inform an applicant of the rejection of any application once its due diligence has been completed.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Generally, not less than 10 percent of the project's total proposed funding is to be comprised of non-Federal sources.

**Length and Time Phasing of Assistance:**

A grant period is typically one year. Funds are disbursed quarterly or as required.

**Reports:**

Interim and final progress and financial reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

**Records:**

In accordance with 32 CFR 33.

**Account Identification:**

97-0100-1-7-051.

**Obligations:**

(Grants) FY 07 \$1,500,000; FY 08 est \$1,500,000; and FY 09 est not reported.

**Range and Average of Financial Assistance:**

\$175,000 - \$500,000; \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Communities have developed strategies to diversify regional economies to reduce Defense dependency.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular Nos. A-133 Audits of States, Local Governments, and Nonprofit Organizations and A-87 Cost Principles for State, Local, and Indian Tribal Governments. 32 CFR Part 25 - Government-wide Debarment and Suspension (Non-procurement); 32 CFR Part 26 - Drug-Free Workplace; 32 CFR Part 28 - New Restrictions on Lobbying; 32 CFR Part 33 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Related publications are available on the OEA Website.

**Regional or Local Office:**

Western Region Director, Office of Economic Adjustment, Department of Defense, 1325 J Street, Suite 1500, Sacramento, CA 95814. Telephone: (916) 557-7365.

**Headquarters Office:**

Director, Office of Economic Adjustment, Department of Defense, 400 Army Navy Drive, Suite 200, Arlington, VA 22202-4704. Telephone: (703) 604-6020. E-mail: [oeafeedback@wso.whs.mil](mailto:oeafeedback@wso.whs.mil).

**Website Address:**

<http://www.oea.gov>.

**RELATED PROGRAMS:**

11.307, Economic Adjustment Assistance; 12.607, Community Economic Adjustment Assistance for Establishment, Expansion, Realignment, or Closure of a Military Installation; 12.610, Community Economic Adjustment Planning Assistance for Joint Land Use Studies; 12.611 Community Economic Adjustment Planning Assistance for Reductions in Defense Industry Employment; 14.218, Community Development Block Grants/Entitlement Grants; 14.219, Community Development Block Grants/Small Cities Program; 17.260, WIA Dislocated Workers; 59.012, 7(a) Loan Guarantees.

**EXAMPLES OF FUNDED PROJECTS:**

Funds were provided to plan and carry out community adjustment and economic diversification activities.

**CRITERIA FOR SELECTING PROPOSALS:**

The level of economic dependence on military, DoD civilian and Defense industry employment, an appropriate and clear project design to address the need identified, the innovative quality of the proposed approach to stimulating economic adjustment and economic diversification, reasonableness of the proposed work program and the proposed level of funding.

**12.801 AIR FORCE ACADEMY ATHLETIC PROGRAMS**

**FEDERAL AGENCY:**

Department of the Air Force, Materiel Command, Department of Defense

**AUTHORIZATION:**

National Defense Authorization Act for Fiscal Year 2010, 10 U.S.C 9362.

**OBJECTIVES:**

To achieve and maintain United States Air Force Academy athletic program success through the operation of charitable, educational, and civic purposes.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance in the form of public and military training programs; athletic program development, organization and support; character and leadership education and development; and pre-candidate, cadet and staff motivation for a lifetime of service through physically and mentally challenging physical education and fitness programs. Funds must be expended in a manner consistent with the statute and its aforementioned purpose.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Not Applicable

**Award Procedure:**

Broad Agency Announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact Contracting Office.

**Appeals:**

Contact Contracting Office.

**Renewals:**

Contact Contracting Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to five years. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. As indicated in announcement and subsequent

award. As indicated in announcement and subsequent award. Required to verify direction and proper funds categorical allocation or sharing of agreement. To ensure success of objectives or proper administration as necessary.

**Audits:**

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

**Records:**

The recipient will maintain accounting records which will permit determination that the funds were used for the award purpose. Financial records must be maintained for at least 3 years and possible up to 6.25 years and/or as instructed if audit findings have not been resolved within the three year minimum.

**Account Identification:**

57-3400-0-0-000 - To be determined.

**Obligations:**

(Cooperative Agreements) FY 11 Not Available; FY 12 est \$7,000,000; and FY 13 Estimate Not Available - Not applicable.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. 10 CONS/LGC, 8110 Industrial Drive, Suite 103, USAF Academy CO 80840-2315.

**Headquarters Office:**

Jeanette Snyder 1060 Air Force Pentagon, 4C149, Washington, District of Columbia 20330 Email: jeanette.snyder@pentagon.af.mil Phone: 5712562372

**Website Address:**

<http://www.airforce.com>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

**14.008 TRANSFORMATION INITIATIVE: CHOICE NEIGHBORHOODS DEMONSTRATION SMALL RESEARCH GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated and Further Continuing Appropriations Act, 2012, This program is approved by HUDs authority and administered under the Transformation Initiative (TI) account. , Public Law 112-55.

**OBJECTIVES:**

The purpose of this effort is to develop and implement small scale research projects that build upon the larger Choice Neighborhood Demonstration research project. The goal of this research program is to fund research related to Choice Neighborhoods that complements the work already being funded by HUD through the Choice baseline research project (C-CHI-01127/TO001). Since the Choice baseline research project will focus on implementation grants in Boston, Chicago, and New Orleans, applicants are encouraged to identify



research projects in other Choice Neighborhood implementation or planning grant sites. Research projects in Boston, Chicago, and New Orleans will be eligible but the applicant must demonstrate how the proposed research would complement research already planned through the Choice baseline research project.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Eligible costs include, but are not limited to, the researchers salary; assistants to work on the project; protected release time for researchers who demonstrate the need for a period of intensive research; computer software; purchase of data; transcription services, and compensation for interviews. 1. Funding will only be provided to applicants who meet the standards for eligible applicants. 2. Grant funds awarded under this program may not be used to pay for computer hardware and/or meals. 3. Funds will not be used to pay for activities outside of the scope of the NOFA.

4. Fee or profit will not be paid for work done under this program.
5. Applicants must comply with the Delinquent Federal Debt Requirement.
6. Honorariums cannot be charged against awards under this program.
7. Entities or individuals already involved in HUD-funded Choice Neighborhoods research under Tasks Order C-CH-01127/T001 cannot directly be funded.
8. Travel expenses are not an eligible cost, in order to encourage applications from researchers located in the vicinity of the Choice Neighborhoods sites. Applicants may fund travel from other sources of funding.

**Applicant Eligibility:**

Since one purpose of this NOFA is to broaden the community of researchers working on Choice Neighborhoods, HUD will not directly fund entities or individuals already involved in HUD-funded Choice Neighborhoods research under Task Order C-CHI-01127/TO001.

**Beneficiary Eligibility:**

The goal of this research program is to fund research related to Choice Neighborhoods that complements the work already being funded by HUD through the Choice baseline research project (C-CHI-01127/TO001). Since the Choice baseline research project will focus on implementation grants in Boston, Chicago, and New Orleans, applicants are encouraged to identify research projects in other Choice Neighborhood implementation or planning grant sites. Research projects in Boston, Chicago, and New Orleans will be eligible but the applicant must demonstrate how the proposed research would complement research already planned through the Choice baseline research project. 4 There are some substantial challenges in evaluating a program like Choice Neighborhoods. First, it is difficult to establish a convincing counterfactual of what would have happened to the neighborhood and its residents in the absence of the Choice Neighborhoods intervention. Second, because Choice Neighborhoods combines a variety of services and investments related to housing, education, public safety, job training, etc. it is difficult to explain why a particular approach does or doesn't work. Third, neighborhoods are dynamic; the people and businesses that participate in, or rely upon, a neighborhood are constantly changing. The Choice Neighborhoods investment may have benefits that accrue to individuals, businesses, or other entities not captured in the Choice baseline research project, which focuses on the neighborhood and the individuals living there at baseline. Applicants are encouraged to identify research that will overcome these challenges and provide clear evidence of the impact of Choice Neighborhoods. HUD is using this NOFA rather than a contract (or task order under the existing BPA) for two reasons:

1. To solicit research ideas that are related to Choice Neighborhoods, but that are not already apparent to HUD, and
2. To broaden the community of researchers working on Choice Neighborhoods. Proposals should identify research questions that will help to demonstrate the impacts of Choice Neighborhoods or to help improve the program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. None

**Award Procedure:**

Applications will be rated, ranked and awards will be made to the highest rated applications. HUD reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If an applicant turns down the award offer, HUD will make an offer to the next highest-ranking application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

HUD does not intend to fund research that would be duplicative of work being funded through the Choice baseline research project, so applicants are advised to review HUDs RFQ R-CHI-01091, published on February 22, 2011. Specifically, see Section G Attachment 1 Initial Task Order. This is available by email from Paul.A.Joice@hud.gov.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum grant performance period is for 36 months (3 years). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports must be submitted electronically on a quarterly basis. At the end of the grant performance period, researcher must submit to HUD two copies and a CD-ROM containing an electronic copy of the paper documenting the research finding in its final version, as well as a final report which summarizes the entire work and achievements conducted under this award. Cash reports are not applicable. All applicants that receive grant funds under this program are required to submit quarterly progress reports which describe the progress of the effort and the likelihood that it will be completed on time. Financial reports must be included that reflects the cost incurred by budget line, as well as a cumulative summary of costs incurred during the reporting period. Each grant's performance will be monitored.

**Audits:**

Not Applicable.

**Records:**

Records must be kept in accordance with the program's terms and conditions.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$500,000; and FY 13 est \$0 - This program is approved by HUDs research authority and administered under the Transformation Initiative (TI) account.

**Range and Average of Financial Assistance:**

An applicant may request up to \$200,000 for an award, depending on the scope and scale of the proposed research. Awards under this NOFA will be made in the form of Cooperative Agreements. A Cooperative Agreement means that HUD will have substantial involvement during performance of the contemplated research project.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Sandra Susan Brunson 451 7th Street, Room 8226, Washington, District of Columbia 20410 Email: Susan.S.Brunson@hud.gov Phone: 2024023852

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.005 Choice Neighborhoods Planning Grants ; 14.889 Choice Neighborhoods

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

HUD will use the narrative response to the Rating Factors to evaluate, rate, and rank full applications. The narrative statement is the main source of information when rating and ranking applications. Therefore, it is very important that the researcher becomes fully familiar with the rating factors for the program.

**14.103 INTEREST REDUCTION PAYMENTS\_RENTAL AND COOPERATIVE HOUSING FOR LOWER INCOME FAMILIES**

(236)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 236, Public Law 90-448, 12 U.S.C. 1715., Public Law 448-90-448, 12 U.S.C 1715.

**OBJECTIVES:**

To provide good quality rental and cooperative housing for persons of low-and moderate-income by providing interest reduction payments in order to lower their housing costs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Use was limited to Section 236 insured and non-insured mortgages financed by State or Local Housing Finance Agencies. Program is now inactive. No new projects are being approved. Projects with this subsidy are still active in the MF portfolio.

**Applicant Eligibility:**

Eligible mortgagors included nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution sponsors. Public bodies did not qualify as mortgagors under this program.

**Beneficiary Eligibility:**

Families and individuals, including the elderly and handicapped or those displaced by government action or natural disaster, eligible to receive the benefits of the subsidies must at the time of admission fall within certain locally determined income limits. Families with higher incomes may occupy apartments, but may not benefit from subsidy payments.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and qualifications of the mortgagor was submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted. Sponsors submitted FHA Form No. 2013, application and other documentation for FHA Review of Proposed Development, to local HUD field office with multifamily processing or equivalent documentation to a State or local Housing Finance Agency approved by HUD for participation in the program.

**Award Procedure:**

The local HUD office or State or local Housing Finance Agency reviewed the application to determine site appraisal and market analysis. Market need, correct zoning, environmental assessment and value of site fully improved were considered. The local office granted feasible proposals a tentative reservation of contract authority, and the sponsor was invited to apply for mortgage commitment, at which stage(s) further technical processing was completed. No new applications for project mortgage insurance are being accepted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR, Part 236.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The mortgage term normally extends for 40 years. Interest reduction payments may extend for the full term of the mortgage. For individual families, assistance ceases when their income rises to the point where they can afford the full market rent without the benefit of assistance. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

Excess income reports. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgage or mortgagor in order to determine their compliance and conformance with FHA regulations and standards.

**Records:**

Tenant certifications for assistance payments and annual recertification must be forwarded to the HUD Field or Area Office by the sponsor. Regular financial reports are also required. Mortgagees must service and maintain records in accordance with acceptable mortgagee practices and HUD regulations.

**Account Identification:**

86-0335-0-1-999; 86-0334-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Salaries and Expenses (not separately identifiable).

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Rental and Co-op Housing for Lower Income Families. No charge; 24 CFR 236 et seq.

**Regional or Local Office:**

None. Contact the appropriate local HUD Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Steven A. Marin 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Stephen.A.Martin@hud.gov Phone: ( 202 ) 708-2495 Ext. 2492

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdsc/progdsc.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.108 REHABILITATION MORTGAGE INSURANCE**

(203(k))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(k).

**OBJECTIVES:**

The Section 203(k) program is HUD's primary program for the rehabilitation and repair of single family properties. As such, it is an important tool for community and neighborhood revitalization and for expanding homeownership opportunities. HUD's 203(k) program will allow a purchase or refinance transaction plus include in the loan amount the cost of making repairs and/or non luxury improvements.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

These loans may be used to rehabilitate an existing 1 to 4 unit dwelling in one of four ways: (1) Purchase a structure and the land on which the structure is located and rehabilitate it; (2) purchase a structure on another site, move it onto a new foundation on the mortgaged property and rehabilitate it; (3) refinance the existing indebtedness and rehabilitate such a structure; or (4) rehabilitate such a structure. Maximum insurable mortgage loans for an occupant mortgagor are the same as prescribed for Section 203(b) - Program 14.117.

HUD offers two 203K rehabilitation loan programs. The Streamline (k) program which a minimum amount of repair costs is not required but, the program is capped at a total of \$35,000 for the cost of improvements/repairs. The other program is the Standard 203(k). A minimum of \$5,000 of repair/improvement costs are required but, there are no limitations on the amount of the repair/improvements. However, statutory loan limits apply.

HUD insures lenders against loss on the 203(k) loan prior to the rehabilitation/improvements are completed.

**Applicant Eligibility:**

Individual and families.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the borrower are assembled by the lender and submitted with the application. This program is excluded from coverage under OMB Circular

No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender or HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4587-0-3-371 - FY 2010 and future.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported Under 14.117); FY 12 Not Separately Identifiable(Exp: Reported Under 14.117); and FY 13 Not Separately Identifiable(Exp: Reported Under 14.117) - Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the FHA Resources Center at: <http://www.hud.gov/offices/hsg/sfh/fhairesourcctr.cfm>.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/203k/203kmenu](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/203k/203kmenu)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.110 MANUFACTURED HOME LOAN INSURANCE FINANCING PURCHASE OF MANUFACTURED HOMES AS PRINCIPAL RESIDENCES OF BORROWERS**

(Title I)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To make possible reasonable financing of manufactured home purchases.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. Insured loans may be used to purchase manufactured home units by buyers intending to use them as their principal places of residence. Effective March 3, 2009, the maximum amount of the loan is \$69,678, whether single or multiple modules. The lender must give assurance that the unit will be placed on a site which complies with local zoning and land development requirements.

**Applicant Eligibility:**

All persons are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the manufactured home unit and the qualifications of the borrower are submitted to the lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted to a HUD-approved lender or through a lender's approved dealer for review and approval.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Prior to June 1, 2009, HUD had no involvement in the approval or disapproval process of a loan. Effective June 1, 2009, lenders will submit loans to HUD for a pre-closing test approval period, which will average 3 to 5 days for complete submissions. Upon successful completion of the pre-closing test phase, a lender may then be authorized to participate in the Title I Direct Endorsement Program. HUD has no other participation or regulation over the lender approval processing time.

**Appeals:**

The applicant may reapply.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The average loan term is between 15 to 20 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$41,904,629; FY 12 est \$28,000,000; and FY 13 est \$24,000,000

**Range and Average of Financial Assistance:**

The maximum loan amount for Fiscal Year 2012 is \$69,678. The average loan amount in Fiscal Year 2012 is \$47,146.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 201.

**Regional or Local Office:**

None. Individuals are encouraged to contact the FHA Resource Center at <http://www.hud.gov/offices/hsg/sfh/fhresourcectr.cfm> for additional information.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/title/manuf1414.117](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/title/manuf1414.117)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.117 MORTGAGE INSURANCE HOMES**

(203(b))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(b), Public Law 73-479, 12 U.S.C. 1709, 1715(b).

**OBJECTIVES:**

To help people undertake home ownership.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one-to-four-family housing, as well as to refinance indebtedness on existing housing.

Maximum insurable loans are as follows: In areas where 125 percent of the median house price is less than 65 percent of the Freddie Mac limit (\$417,000), FHA floor limits are set at the 65 percent limit as follows: one-family \$271,050; two-family \$347,000; three-family \$419,425; and four-family \$521,250. Any area where the limits exceed the floor is known as a high cost area. In areas where 125 percent of the median house price exceeds 175 percent of the Freddie Mac limit for a one unit property, the mortgage limits are set at the 175 percent amount (ceiling) as follows: one-family \$729,750; two-family \$934,200; three-family \$1,129,250; and four-family \$1,403,400. Designated areas of limited housing opportunities and maximum mortgage amounts may be obtained from local HUD Offices.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Award Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender or HUD will state the reason for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA

regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$217,793,053,835; FY 12 est \$199,341,000,000; and FY 13 est \$187,841,000,000

**Range and Average of Financial Assistance:**

Maximum insurable loans are as follows: In areas where 125 percent of the median house price is less than 65 percent of the Freddie Mac limit (\$417,000), FHA floor limits are set at the 65 percent limit as follows: one-family \$271,050; two-family \$347,000; three-family \$419,425; and four-family \$521,250. Any area where the limits exceed the floor is known as a high cost area. In areas where 125 percent of the median house price exceeds 175 percent of the Freddie Mac limit for a one unit property, the mortgage limits are set at the 175 percent amount (ceiling) as follows: one-family \$729,750; two-family \$934,200; three-family \$1,129,250; and four-family \$1,403,400.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

100 Questions and Answers About Buying a New Home, no charge; The HUD Home Buying Guide, no charge; Residential Rehabilitation Program, no charge; Fact Sheet: Rehabilitation Mortgage Insurance, no charge. 24 CFR 203.50.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>), or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/ins/sfh/203b](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/ins/sfh/203b)

**RELATED PROGRAMS:**

14.108 Rehabilitation Mortgage Insurance; 14.133 Mortgage Insurance\_Purchase of Units in Condominiums; 14.163 Mortgage Insurance\_Single Family Cooperative Housing

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.119 MORTGAGE INSURANCE\_HOMES FOR DISASTER VICTIMS (203(h))**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To help victims of a major disaster undertake homeownership on a sound basis.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase or reconstruction of a one-family home that will be the principal residence of a borrower that is a victim of a major disaster. The maximum insurable loan for such an occupant mortgagor is the same as prescribed for Section 203(b) (14.117). Disaster victims are not required to meet the 3.5 percent minimum investment requirements. In order to qualify for assistance, the formerly occupied home must have been in an area designated

by the President as a disaster area, and it must have been destroyed or damaged to such an extent that reconstruction or replacement is necessary.

**Applicant Eligibility:**

Anyone that is a victim of a major disaster as designated by the President is eligible to apply.

**Beneficiary Eligibility:**

Families or individuals that are victims of a major disaster as designated by the President.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An FHA-approved lender submits the application for review and approval or disapproval to the local HUD Field Office.

**Award Procedure:**

Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD approved lending institution. In addition, certain lending institutions have been approved to review applications and issue an approval or rejection, without additional HUD intervention. This program is referred to as Direct Endorsement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years, except 35 years if the mortgagor is unacceptable for a 30-year term and the property was constructed subject to HUD or VA inspection. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable(Exp: Reported under 14.117) - Reported Under 14.117 for all fiscal

years.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW , Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/ins/203h-dft](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/ins/203h-dft)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.122 MORTGAGE INSURANCE\_HOMES IN URBAN RENEWAL AREAS**

(220 Homes)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1954, Public Law 83-560, 12 U.S.C. 1715(b), 1715(k), Title 24, Part 220, 12 U.S.C 1715b.

**OBJECTIVES:**

To help eligible entities to purchase and/or rehabilitate homes in urban renewal areas.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance acquisition or rehabilitation of one- to five-family housing in approved urban renewal or code enforcement areas. Maximum insurable loans for the occupant mortgagor are prescribed by statute. Properties must be constructed or rehabilitated pursuant to an approved urban renewal plan.

**Applicant Eligibility:**

Eligible mortgagors include private profit motivated entities, public bodies and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

Families and Individuals.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD- approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years or not in excess of three-fourths of the remaining economic life of the project. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the account of the mortgagee to determine its compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable - Reported under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are in 24 CFR 220.1. The basic program instructions are in HUD Handbook 4555.1 - Rental Housing in Urban Renewal Areas for Project available on HUDclips.org.

**Regional or Local Office:**

None. Persons are encouraged to contact the nearest local HUD Office.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: carmelita\_a.\_james@hud.gov Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.123 MORTGAGE INSURANCE\_HOUSING IN OLDER, DECLINING AREAS**

(223(e))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To assist in the purchase or rehabilitation of housing in older, declining urban areas.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans under other sections of the National Housing Act, e.g., Section 221(d)(3) or (d)(4), pursuant to Section 223(e). Claims are paid from the Special Risk Insurance Fund, but this is not a separate program. The determination to use Section 223(e) is at the discretion of HUD. These loans may be used to finance the purchase, repair, rehabilitation, and construction of housing in older, declining urban areas where conditions are such that certain normal eligibility requirements for mortgage insurance under a particular program cannot be met. The property must be an acceptable risk giving consideration to the need for providing adequate housing for low-and moderate-income families.

**Applicant Eligibility:**

HUD-approved mortgagees.

**Beneficiary Eligibility:**

For single family purposes, an individual or family is eligible to apply through HUD approved mortgagees. Multifamily sponsorship is determined by applicable program requirements.

**Credentials/Documentation:**

For single family applications, documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Documentation required for multifamily applications is determined by applicable program requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications may be submitted at any time for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may request the HUD-approved mortgagee to seek HUD reconsideration.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgages are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable(Exp: Reported under 14.117) - Reported under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. All projects are processed in Single Family Homeownership Centers, Multifamily Hubs, or local HUD offices. Persons are encouraged to contact the Homeownership Center or HUD serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/ins/sfh\\_203b](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/ins/sfh_203b)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.126 MORTGAGE INSURANCE\_COOPERATIVE PROJECTS**

(213 Cooperatives)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 213; Housing Act of 1950, Public Law 81-475; Housing Act of 1956, Public Law 84-1020, 12 U.S.C. 1715(e);

Public Law 91-152, 83 Stat. 379, 383; Public Law 84-345, 69 Stat. 635; Public Law 87-70, 75 Stat. 149, 179; Public Law 86-372, 73 Stat. 654, 656; Public Law 89-117, 79 Stat. 451, 469; Public Law 89-754, 80 Stat. 1255-66.

**OBJECTIVES:**

Enables nonprofit cooperative ownership housing corporations or trusts to develop or sponsor the development of housing projects to be operated as cooperatives. Section 213 allows investors to provide good quality multifamily housing to be sold to such nonprofit corporations or trusts upon completion of construction or rehabilitation.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 213 insures lenders against loss on mortgages. Insured mortgages may be used to finance construction, acquisition of existing, or rehabilitation of detached, semidetached, row, walk-up, or elevator type housing consisting of five or more units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation housing projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors are nonprofit cooperatives, ownership housing corporations or trusts which may either sponsor projects directly, sell individual units to cooperative members, or purchase projects from investor-sponsors (builders, developers, or others who meet HUD requirements).

**Beneficiary Eligibility:**

Members of the cooperative are eligible to occupy a dwelling in the structure whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits the SAMA application or feasibility letter to the local Hub or Program Center. Following HUD's approval and issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved mortgagee to the local Multifamily Hub or Program Center for processing.

**Award Procedure:**

The local HUD field office decides whether to approve, or reject individual applications and whether to issue a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing times will depend upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If any application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**



The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less, except for sales type cooperatives where the maximum term is 35 years or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Mortgage Insurance provided over the life of the loan.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with the regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Handbooks 4550.1 and 4550.2 "Basic Cooperative Housing Insurance, and Pre-sale Management Type Co-ops", no charge; HUD Handbook 4550.3, "Converting an Existing Project to a Cooperative", no charge; HUD Handbook 4240.3, Section 203 (n), Application Through Insurance (Single Family), no charge; HUD Handbook 4550.4, Supplementary Loan-Cooperative Housing", no charge; HUD Handbook 4550.5, "Investor-Sponsor and Nonprofit Sponsorship of Housing Cooperatives", no charge; HUD Handbook 4550.6, "Sales Type Cooperatives", no charge available on <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs and Program Centers are listed on the web at [http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfl/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.127 MORTGAGE INSURANCE\_MANUFACTURED HOME PARKS**

(207 - Manufactured Home Parks)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 207, Public Law 84-345, 12 U.S.C. 1713.

**OBJECTIVES:**

To make possible the financing of construction or rehabilitation of manufactured home parks.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The Department's Federal Housing Administration (FHA) insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance the construction or rehabilitation of manufactured home parks consisting of 5 or more spaces. The maximum mortgage limit is \$11,250 per space. In areas where cost levels so require, limits may be increased up to 140 percent on a case-by-case basis. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

Families, individuals, and elderly persons owning manufactured homes and desiring to lease spaces in a manufactured home park.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a site appraisal and market analysis (SAMA) for new construction projects or a feasibility application for substantial rehabilitation projects. Following HUD's issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved lender for processing. Considerations include market need, zoning, capabilities of the borrower, and availability of community resources. Applications are submitted to the local HUD Multifamily Hub Program Center which does multifamily processing.

**Award Procedure:**

The HUD Multifamily Hub or Program Center decides whether to approve or reject applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and

by the workload of the HUD Field Office.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$5,650,000; FY 12 est \$13,000,000; and FY 13 est \$9,594,249

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Manufactured Home Parks; 24 CFR 207.33 et seq.; Mobile Home Parks Financing, no charge; Housing Surveys, Part II; HUD Handbook 4545.1, Mobile Home Park Program, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in Local HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or in the Catalog Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.128 MORTGAGE INSURANCE\_HOSPITALS**

(Section 242 - Mortgage Insurance for Hospitals)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

242, 1715z U.S.C.

**OBJECTIVES:**

To facilitate the affordable financing of hospitals for the care and treatment of persons who are acutely ill or who otherwise require medical care and related services of the kind customarily furnished only or most effectively by hospitals.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgages. The loans may be used to finance the construction, modernization, equipment, or refinancing of acute care hospitals.

**Applicant Eligibility:**

Qualified applicants can be either profit or not-for-profit hospitals licensed or regulated by the State, municipality, or other political subdivision. At least 50 percent of the care must be for general acute patients as of June 2012.

**Beneficiary Eligibility:**

Persons needing the services of these hospitals benefit by using the modernized facilities supported by the insured mortgages.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. A Certificate of Need from the appropriate State agency is needed if that State has a Certificate of Need process. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application to the Office Healthcare Programs, Room 6264, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410.

**Award Procedure:**

The Federal Housing Commissioner makes final decisions to approve, hold, or reject individual applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Processing time depends upon the complexity of the proposal and the degree of preparation by the sponsor. 60 days is the goal for non-complicated applications.

**Appeals:**

If an application for mortgage insurance is refused, the reasons for the refusal will be stated. The applicant may reapply.

**Renewals:**

The term of a commitment to insure advances is typically effective for 90 days from the date of issuance and may be extended for good cause.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term is 25 years. See the following for information on how assistance is awarded/released: insurance of advances for construction projects.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees and mortgagors are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and FHA regulations. Records must be kept in accordance with State and Federal Regulations during the construction phase.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$391,760,700; FY 12 est \$500,000,000; and FY 13 est \$1,078,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ivy M. Jackson, 451 7th Street, SW Rm 6264 , Washington, District of Columbia 20410 Email: Ivy.M.Jackson@hud.gov Phone: (202) 402-2333.

**Website Address:**

<http://www.fha.gov/healthcare>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.129 MORTGAGE INSURANCE\_NURSING HOMES, INTERMEDIATE CARE FACILITIES, BOARD AND CARE HOMES AND ASSISTED LIVING FACILITIES**

(232)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 232; Housing Act of 1959, as amended, Public Law 86-372; Housing and Urban Development Act of 1969, Public Law 91-152, 73 Stat. 654, 83 Stat. 379; Public Laws 95-128, 95-557, 96-153, and 98-181.

**OBJECTIVES:**

To provide mortgage insurance to HUD-approved lenders to facilitate the construction or rehabilitation of nursing homes, intermediate care facilities, board and care homes and assisted living facilities, to allow purchase or refinancing with or without repairs of projects not requiring substantial rehabilitation, and to provide loan insurance to install fire safety equipment.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 232 insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance construction or renovation of facilities to accommodate 20 or more patients requiring skilled nursing care and related medical services, or those who while not in need of nursing home care, are in need of minimum but continuous care provided by licensed or trained personnel. Board and care homes and assisted living facilities are also eligible and must contain a minimum of five accommodations or units. Nursing homes, intermediate care facilities, board and care homes and assisted living facilities may be combined in the same facility covered by an insured mortgage or may be in separate facilities. Nursing homes, intermediate care facilities, board and care homes and assisted living facilities must be licensed or regulated by the appropriate state agency, municipality, or other political subdivision where located. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, public entities, nursing homes and private nonprofit corporations or associations.

**Beneficiary Eligibility:**

Residents requiring skilled nursing, custodial care, and assistance with activities of daily living are eligible to live in a structure whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. Certification of need and inspection and licensing by the State agency designated by the Public Health Service Act for the State in which the nursing home or intermediate care facility is to be located is required, or, if no State Agency exists, an alternative market study is required. A Certificate of Need may be required for a board and care home or assisted living facility. A statement from the appropriate State Agency is required stating that the State is in compliance with Section 1616 (e) of the Social Security Act. This facility must be licensed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Depending upon the project, an Environmental Impact Study may be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for mortgage insurance are assembled and underwritten by FHA-Approved Lenders before submittable to HUD for processing of the Firm Commitment (there is also a Pre-application process for projects with new units whereby HUD comments on the market). Please see the "General Overview" document posted at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing) for a list of lenders who offer Section 232 loans.

**Award Procedure:**

HUD makes the final decision to approve, or reject individual projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and the completeness of the package submitted by the FHA Approved Lender.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years for new construction and substantial rehabilitation. The maximum term for existing projects without substantial rehabilitation is 35 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor, or lesser, in order to determine their compliance and conformance with HUD regulations and standards. Audited Annual Financial Statement are required of Mortgagor entities and Operators.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the FHA regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$3,688,751,580; FY 12 est \$7,648,000,000; and FY 13 est \$5,138,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Nursing Homes (Mortgage Insurance); Minimum Property Standards for Nursing Homes; (FHA Regulations). Handbook for Nursing Homes and Intermediate Care Facilities; (4600.1); (FHA Regulations 24 CFR 232 and 200), available on HUDCLIPS at <http://www.hudclips.org>.; Lean processing information available at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing)

**Regional or Local Office:**

None. Applications for mortgage insurance are assembled and underwritten by FHA-Approved Lenders before submittable to HUD for processing of the Firm Commitment (there is also a Prue-application process for projects with new units whereby HUD comments on the market). Please see the "General Overview" document posted at [www.fha.gov/232lenderprocessing](http://www.fha.gov/232lenderprocessing) for a list of

lenders who work on Section 232 loans.

**Headquarters Office:**

Ivy M. Jackson, 451 7th Street, SW Rm 6264 , Washington, District of Columbia 20410 Email: [Ivy.M.Jackson@hud.gov](mailto:Ivy.M.Jackson@hud.gov) Phone: (202) 402-2333.

**Website Address:**

<http://www.hud.gov/healthcare>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.133 MORTGAGE INSURANCE\_PURCHASE OF UNITS IN CONDOMINIUMS**

203 (b)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 203(b) requirements.

**OBJECTIVES:**

To enable families to purchase or refinance eligible units in FHA-approved condominium projects.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on FHA-insured mortgage loans. These loans may be used to finance the acquisition of or refinance individual units in FHA-approved proposed, under construction, existing or converted condominium projects containing two or more units. The maximum insurable loan for an occupant mortgagor is the same as Section 203(b) Program 14.117.

**Applicant Eligibility:**

All families are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Eligible unit must be in an FHA-approved condominium project.

Documentation regarding the function and characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the loan package. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The application is approved by the lender.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Varies.

**Appeals:**

An FHA-approved project mortgagee who has unconditional Direct

Endorsement authority underwrites and approves or rejects the loan application. If the loan is denied, the mortgagee issues a denial letter to the mortgagor advising of the reasons(s) for rejection of the loan application. The mortgagor may appeal to the mortgagee in writing for reconsideration of the initial loan decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. See the following for information on how assistance is awarded/released: As necessary.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain project files in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable(Exp: Reported under 14.117) - FY 10 is reported under 14.117 FY 11 is reported under 14.117 FY 12 is reported under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Interested parties are encouraged to contact the FHA Resource Center by phone at 1-800-CALL FHA (1-800-225-5342) or by email at info@fhaoutreach.com. Interested parties may also visit the fha.gov or hud.gov websites for information.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/condo](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/condo)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.134 MORTGAGE INSURANCE\_RENTAL HOUSING**

(Section 207)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 207, Public Law 75-424, 12 U.S.C. 1713.

**OBJECTIVES:**

To increase the supply of good quality rental housing for middle-income families.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 207 insures lenders against the loss on mortgage defaults. Section 207 mortgage insurance, although still authorized, is no longer used for new construction and substantial rehabilitation. It is however, the primary vehicle for the Section 223(f) refinancing program. Multifamily new construction and substantial rehabilitation projects are currently insured under Section 221(d)(3) and Section 221(d)(4) programs. Insured mortgages may be used to finance the construction or rehabilitation of rental detached, semidetached, row, walk-up, or elevator type structures with 5 or more units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-value and debt service limitations.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

All families eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and qualifications of the mortgagor are submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits an application for a SAMA or feasibility letter. Following HUD's approval and issuance of a SAMA or feasibility letter, the Firm Commitment application is submitted to the local HUD Multifamily Hub or Program Center for processing.

**Award Procedure:**

If the project meets program requirements, the local HUD Multifamily Hub or Program Center issues a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time will depend upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 207.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Provided over life of mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 207 et seq. HUD Handbook 4400.1, Project Mortgage Insurance Basic Section 207 Instructions, available on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with Multifamily Hub or Program Center with jurisdiction for the proposed property.

HUD Multifamily Hubs and Programs Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or at the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.135 MORTGAGE INSURANCE, RENTAL AND COOPERATIVE HOUSING FOR MODERATE INCOME FAMILIES AND ELDERLY, MARKET INTEREST RATE**

(221(d)(3) and (4) Multifamily - Market Rate Housing)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 221, Public Law 86-372, 12 U.S.C.

1715(1).

**OBJECTIVES:**

To provide good quality rental or cooperative housing for moderate income families, the elderly, and handicapped. Single Room Occupancy (SRO) may also be insured under this section (see program 14.184).

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 221(d)(3) and Section 221(d)(4) insures lenders against loss on mortgage defaults for market rate rental projects. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, row, walkup, or elevator-type rental or cooperative housing containing 5 or more units. The program has statutory mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act. Section 221(d)(3) mortgages require appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Public, profit-motivated sponsors, limited distribution, nonprofit cooperative, builder-seller, investor-sponsor, and general mortgagors.

**Beneficiary Eligibility:**

All families are eligible to occupy dwellings in a structure whose mortgage is insured under the program, subject to normal tenant selection. There are no income limits. Projects may be designed specifically for the elderly and handicapped.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For Traditional Application Process (TAP) following HUD's issuance of a SAMA letter (new construction) or Feasibility Letter (substantial rehabilitation) the sponsor submits a formal mortgage insurance application through a HUD-approved mortgagee to the local HUD Multifamily Hub and Program Center for processing. For Multifamily Accelerated Processing (MAP), the lender submits the required exhibits, including a full underwriting package, which are then reviewed by the Multifamily Hub and Program Center before a Firm Commitment is issued.

**Award Procedure:**

The local HUD Multifamily Hub and Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the HUD Multifamily Hub and Program Center issues the lender a commitment to insure the project mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not TAP or MAP is used.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons

for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 207.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$2,395,376,100; FY 12 est \$2,535,000,000; and FY 13 est \$2,525,080,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 221 et seq.; Fact Sheet: Rental Housing for Moderate Income Families, no charge; HUD Handbook 4560.2, Mortgage Insurance for Moderate-Income Housing Projects, Section 221 (d)(4), no charge; HUD Handbook 4560.1, Section 221(d)(3) Market Interest Rate for Project Mortgage Insurance, no charge; HUD Handbook 4560.3, Mortgage Insurance for Single Room Occupancy Projects; no charge; HUD Handbook 4550.3; Basic Cooperative Housing Insurance Handbook, no charge. Handbooks are on HUDCLIPS at <http://www.hudclips.org>. The Multifamily Accelerated Processing (MAP) Guide is on the web. Refer to HUD's MAP page at <http://www.hud.gov/offices/hsg/mfh/map/maphome.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to contact the Multifamily Hub or Program Center with jurisdiction for the proposed project. HUD Multifamily Hubs or Program Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.138 MORTGAGE INSURANCE\_RENTAL HOUSING FOR THE ELDERLY**

(231)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 231, Public Law 86-372, 73 U.S.C. 654, 12 U.S.C. 1715(V).

**OBJECTIVES:**

To provide quality rental housing for the elderly.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 231 insures lenders against loss on mortgages. Section 231 was designed to increase the supply of rental housing specifically for the use and occupancy of elderly persons and/or persons with disabilities. Insured mortgages may be used to finance construction or rehabilitation of detached, semidetached, walk-up, or elevator type rental housing designed for occupancy by elderly or handicapped individuals and consisting of 8 or more rental units. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations.

**Applicant Eligibility:**

Eligible mortgagors include private profit-motivated developers, and nonprofit sponsors.

**Beneficiary Eligibility:**

All elderly or handicapped persons are eligible to occupy apartments in a project whose mortgage is insured under the program.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

If the project meets program requirements, the local HUD Multifamily Hub or Program Center issues a commitment to the lender for mortgage insurance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time varies depending upon the degree of preparation by the sponsor and HUD Multifamily Hub and Program Center workload.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR, Part 231.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over term of mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practice of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$0; FY 12 est \$84,000,000; and FY 13 est \$61,993,610

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 231.1 et seq. Section 231, Housing for the Elderly for Project Mortgage Insurance, HUD Handbook 4570.1, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Multifamily Hub or Program Center with jurisdiction for the proposed property. HUD Multifamily Hubs or Program Centers are listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) and in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.139 MORTGAGE INSURANCE\_RENTAL HOUSING IN URBAN RENEWAL AREAS**

(220 Multifamily)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 220, Public Law 83-560, 12 U.S.C. 1745(k).

**OBJECTIVES:**

To provide quality rental housing in urban renewal areas, code enforcement areas, and other areas designated for overall revitalization.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 220 insures lenders against loss on mortgage defaults. Insured mortgages may be used to finance proposed construction or rehabilitation of detached, semi-detached, row, walk-up, or elevator type rental housing or to finance the purchase of properties which have been rehabilitated by a local public agency. Property must consist of two or more units and must be located in an urban renewal area, urban redevelopment project, or code enforcement program area, urban area receiving rehabilitation assistance as a result of natural disaster, or area where concentrated housing, physical development and public service activities are being carried out in a coordinated manner. The program has statutory mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-replacement cost and debt service limitations. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage standards under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible mortgagors include private profit motivated entities, public bodies, and others who meet HUD requirements for mortgagors.

**Beneficiary Eligibility:**

All families eligible to occupy a dwelling in a structure whose mortgage is insured under the program, subject to normal tenant selection.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor must be submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For traditional processing, the application for a Firm Commitment is submitted by the sponsor through a HUD-approved mortgagee, and the application is processed by the Multifamily Hub or Program Center. For Multifamily Accelerated Processing (MAP), the application for a Firm Commitment, including a full underwriting package, is submitted by the MAP leader for HUD Field Office review.

**Award Procedure:**

The local Multifamily Hub or Program Center reviews the application to determine whether the proposal is feasible. Considerations include market need, zoning, architectural merits, capabilities of sponsors, availability of community resources, etc. If the project meets program requirements, the Multifamily Hub or Program Center issues the lender a commitment to insure the project



mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and whether or not Multifamily Accelerated Processing (MAP) or Traditional Application Processing (TAP) is used.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$223,226,800; FY 12 est \$529,000,000; and FY 13 est \$390,412,141

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 220.1 et seq.; Housing in Urban Renewal Areas for Project Mortgage Insurance, HUD Handbook 4555.1, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Field Office listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or contact the nearest HUD Field Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.142 PROPERTY IMPROVEMENT LOAN INSURANCE FOR IMPROVING ALL EXISTING STRUCTURES AND BUILDING OF NEW NONRESIDENTIAL STRUCTURES**

(Title I)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To facilitate the financing of improvements to homes and other existing structures and the building of new nonresidential structures.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on loans. Insured loans may be used to finance alterations, repairs, and improvements for existing structures and the building of new nonresidential structures which substantially protect or improve the basic livability or utility of the properties. The maximum loan amount is \$25,000 for improving a single family home or for improving or building a nonresidential structure. For improving a multifamily structure, the maximum loan amount is \$12,000 per family unit, not to exceed a total of \$60,000 for the structure.

**Applicant Eligibility:**

Eligible borrowers include the owner of the property to be improved, a lessee having a lease extending at least 6 months beyond maturity of the loan, or a purchaser of the property under a land installment contract.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

The responsibility for credit approval of borrowers is exercised by HUD-insured lenders. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The borrower applies directly to an insured lender, or through a lender's approved dealer.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

HUD does not participate in the approval or disapproval of individual loans.

**Appeals:**

Reapplication in case of refusal should be submitted to an approved lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loans mature in 20 years and 32 days or earlier. Loans may be refinanced, but may not extend beyond 30 years from the date of the original note. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$80,457,438; FY 12 est \$90,000,000; and FY 13 est \$97,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 201

**Regional or Local Office:**

None. Contact HUD at (800) 767-7468 for a program brochure #2651 and list of lenders.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/title/ti\\_home](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/title/ti_home)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.149 RENT SUPPLEMENTS\_RENTAL HOUSING FOR LOWER INCOME FAMILIES**

(Rent Supplement Program)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1965, Public Law 89-117, 12 U.S.C. 1701(s).

**OBJECTIVES:**

To make quality rental housing available to low income families at a cost they can afford.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

HUD makes payments to owners of approved HUD-insured and non-insured multifamily rental housing projects to supplement the partial rental payments of eligible tenants. Rental projects were required to be part of an approved workable program for community improvement or be approved by local government officials. Assistance covers the difference between the tenant's payment and the basic market rental, but may not exceed 70 percent of the market rental. The tenant's payment is between 25 and 30 percent of monthly adjusted income or 30 percent of market rental, whichever is greater. This program is inactive. No new projects are being approved; however, tenants may apply for admission to existing projects. Affordability Requirements.

**Applicant Eligibility:**

Eligible sponsors included nonprofit, cooperative, builder-seller, investor-sponsor, and limited-distribution mortgagors.

**Beneficiary Eligibility:**

Families incomes must be within the income limits prescribed for admission to Section 8 housing in order to qualify for benefits under this program. Families may continue in occupancy if 30 percent of monthly income exceeds the market rent.

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The rent supplement contract is limited to the term of the mortgage or 40 years from the date of the first payment made under the contract, whichever is less. Individual family's assistance ceases when 30 percent of income is equal to or exceeds the market rent. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to maintain records in accordance with acceptable mortgage practices of lending institutions and the HUD regulations. All tenants who benefit from supplements must have their incomes recertified annually.

**Account Identification:**

86-0129-0-1-604 - Salaries and Expenses (not separately identifiable).

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 est \$4,586,000; and FY 13 Estimate Not Available - Salaries and Expenses not separately identifiable.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet: Rent Supplements, no charge; 24 CFR 215; HUD Handbook 4350.3.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in Appendix IV.

**Headquarters Office:**

Brandt T. Witte 451 7th Street, SW, Washington, District of Columbia 201410  
Email: Brandt.T.Witte@hud.gov Phone: 2024022614

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdsc/progdsc.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.151 SUPPLEMENTAL LOAN INSURANCE\_MULTIFAMILY RENTAL HOUSING**

(241(a))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Section 241, Public Law 90-448, 12 U.S.C. 1715, Public Law 94-375, 12 U.S.C. 1715z-6.

**OBJECTIVES:**

To provide quality rental housing.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 241(a) insures lenders against loss on loans made either (1) to finance additions and improvements of multifamily housing projects, nursing homes, hospitals and group practice facilities already subject to HUD/FHA insured mortgages or mortgages held by HUD, or (2) to finance energy conservation improvements. The proceeds of a loan involving an insured nursing home, hospital or a group practice facility may also be used to purchase equipment to be used in the operation of such nursing home or facility. The maximum insurable loan for an insured project is an amount which, when added to the outstanding balance of the existing insured mortgage, does not exceed the amount insurable under the program pursuant to which the mortgage covering such project or facility is insured. Where the project is covered by a mortgage held by the Secretary the principal amount of the loan shall be in an amount acceptable to the Secretary. Contractors of substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act. Section 241(a) for apartments requires appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Owners of a multifamily project or facility already subject to a mortgage insured by HUD or held by HUD.

**Beneficiary Eligibility:**

Individuals/families and owners of multifamily projects.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application for review and approval or disapproval through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

If the proposed improvements meets program requirements, the local HUD Multifamily Hub and Program Center issues a commitment to the lender to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and workload in the HUD Multifamily Hub and Program Center.

**Appeals:**

If an application for mortgage insurance is refused, HUD will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 cfr, Part 241.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A loan for a project with a HUD-insured or HUD-held mortgage must have a maturity acceptable to HUD. See the following for information on how assistance is awarded/released: Over life of mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the lender or borrower in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$19,543,600; FY 12 est \$18,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR, 241 et seq.; HUD Handbook 4585.1 "Supplemental Loans for Project Mortgage Insurance," Section 241, no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in Regional and Local Multifamily Hub or Program Center. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or contact the nearest HUD Field Office in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.155 MORTGAGE INSURANCE FOR THE PURCHASE OR REFINANCING OF EXISTING MULTIFAMILY HOUSING PROJECTS**

(Section 223(f)/207)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Section 223(f), as amended; Housing and Community Development Act of 1974, as amended, Public Law 93-383. 12 U.S.C. 1715n.

**OBJECTIVES:**

To provide mortgage insurance to HUD-approved lenders for the purchase or refinancing of existing multifamily housing projects, whether conventionally financed or subject to federally insured mortgages at the time of application for mortgage insurance. The program allows for the long term mortgages that can be financed with Ginnie Mae Mortgage-Backed Securities.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Section 223(f) insures lenders against loss on mortgage loans. These loans may be used to purchase or refinance existing multifamily housing projects. Only projects not requiring substantial rehabilitation are acceptable under this section. The estimated cost of required repairs may not exceed 15 percent of the estimated value after repairs or \$6,500 per unit adjusted by a high cost factor, whichever is greater and may not involve the replacement of more than one major system. The program has statutory per unit mortgage limits which vary according to the size of the unit, the type of structure, and the location of the project. There are also loan-to-value and debt service limitations. Prevailing wage requirements under the Davis-Bacon Act do not apply to this program.

**Applicant Eligibility:**

Mortgagors may be either private or public. The property must consist of not less than 5 living units and must meet the following criteria: (1) the mortgage

cannot exceed 85 percent of the HUD estimated value of the project; (2) three years must have elapsed from the later date of completion of project construction or substantial rehabilitation, or the beginning occupancy date of application for mortgage insurance; (3) the remaining economic life of the project must be long enough to permit at least a ten-year mortgage term or 75 percent of the estimated life of the physical improvements.

**Beneficiary Eligibility:**

All persons are eligible to occupy such projects subject to normal occupancy restrictions.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the purchaser or existing mortgagor in refinance projects are assembled by the mortgagee and submitted with the application. Management plan must be submitted at time of application for commitment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant will submit a formal application for conditional or firm commitment through a HUD approved mortgagee.

**Award Procedure:**

The local HUD Multifamily Hub and Program Center reviews the application to determine proposal eligibility. If the project meets program requirements, the local HUD Multifamily Hub and Program Center issues the commitment to the lender to insure the project.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends on the degree of preparation of the sponsor, and whether MAP or TAP is used.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for denial.

**Renewals:**

The term of a commitment to insure may be extended under certain circumstances when more time is required to close the loan.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The mortgage term should not be less than 10 years nor should it exceed the lesser of 35 years or 75 percent of the estimated remaining economic life of the physical improvements. See the following for information on how assistance is awarded/released: Over the life of the loan.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$9,229,142,649; FY 12 est \$6,176,000,000; and FY 13 est \$5,457,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fact Sheet, Section 223(f) Mortgage Insurance; 24 CFR 200, HUD Handbook 4565.1, Mortgage Insurance for the purchase or Refinancing of Existing Multifamily Housing Projects, Section 223(f) available on [www.hudclips.org](http://www.hudclips.org). The Multifamily Accelerated Processing (MAP) guide may be found at <http://www.hud.gov/offices/hsg/mfh/map/maphome.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.157 SUPPORTIVE HOUSING FOR THE ELDERLY**

(Section 202)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

The Section 202 Supportive Housing for the Elderly Program is authorized by section 202 of the Housing Act of 1959 (12 U.S.C. 1701q), as amended.

**OBJECTIVES:**

To expand the supply of multifamily housing with supportive services for very low income elderly persons.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Capital advances may be used to finance the development of housing through new construction or rehabilitation of a structure or portion of a structure, or for the acquisition of a structure to provide supportive housing for the elderly, which may include the cost of real property acquisition, site improvement, conversion, demolition, relocation and other expenses of supportive housing for the elderly. Project rental assistance is used to cover the difference between the HUD-approved operating cost per unit and the amount the tenant pays, 30% of their adjusted income.

**Applicant Eligibility:**

Eligible Sponsors include private nonprofit organizations and nonprofit

consumer cooperatives. Eligible Owner entities include private nonprofit corporations, nonprofit consumer cooperatives, and if the proposed project involves mixed-financing, for-profit limited partnerships with a nonprofit entity as the sole general partner. Public bodies and their instrumentalities are not eligible Section 202 applicants.

**Beneficiary Eligibility:**

Beneficiaries of housing developed under this program must be elderly (62 years of age or older) and have very low-incomes.

**Credentials/Documentation:**

The Sponsor/Owner must receive certification of eligibility from HUD. The Owner must submit financial documents to support its ability to provide a minimum capital investment of 1/2 of 1 percent of the HUD-approved capital advance amount, up to a maximum of \$25,000 for national Sponsors or up to \$10,000 if not a national Sponsor. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Notice of Fund Availability is published in the Federal Register each fiscal year announcing the availability of funds to HUD Field Offices. Applicants must submit a Request for a Fund Reservation, using Form HUD-92015-CA, Section 202 application for capital advance, in response to the Notice of Fund Availability (or a Funding Notification issued by the local HUD Field Office). The application for capital advance is used to determine the eligibility of the applicant and proposed project as well as the acceptability of the site and market, correctness of zoning and the effect on environment. All applications must be submitted via [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation area. Those selected for funding must meet basic program requirements including, but not limited to: eligibility as a private nonprofit organization, commitment to provide the minimum capital investment and prior experience in housing or related supportive service activities. The request for Capital Advance Financing, using Form HUD-92013, is reviewed to update the determination of acceptability of project site and market, correctness of zoning, and effect on environment, as well as to determine the value of site, total development cost, and financial feasibility.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

At the fund reservation stage, the Sponsor usually is advised of the decision within 4 to 5 months from the end of the application period.

**Appeals:**

From 1 to 15 days. During the period of competition, Sponsors whose applications are rejected by the HUD Office due to noncompliance with program requirements, have the right to appeal the rejection within 14 calendar days from the date of HUD's written notice of rejection.

**Renewals:**

> 180 Days. Project Rental Assistance Contract payments may not exceed 3 years. However, contracts are renewable for up to a one-year term based on availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The capital advance is not repayable so long as the project is available to very low income elderly for 40 years. Projects are expected to start construction within 18 months of the date of the fund reservation, with limited provision for extensions. Funds will be advanced on a monthly basis during construction for work in place. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Based on percentage of construction completion.

**Reports:**

All Owners will be required to submit form HUD-96010 Program Outcome Logic Model to HUD on an annual basis. All Owners will be required to submit a financial statement. HUD 60002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons (OMB No. 2529-0043)

For each grant over \$200,000 that involves housing rehabilitation, housing construction, or other public construction, the prime recipient must submit Form HUD 60002 (24 CFR sections 135.3(a) and 135.90). No expenditure reports are required. No performance monitoring is required.

**Audits:**

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

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable mortgage practices and HUD regulations. Owners also must supply those records necessary to indicate compliance with the project rental assistance contract.

**Account Identification:**

86-0320-0-3-371.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$411,247,318; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Capital Advance: \$816,000 to \$15,275,500.  
Initial PRAC: \$64,500 to \$2,067,600.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 2,474 new units. Fiscal Year 2012: est. 2,802 new units.  
Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 891; HUD Handbooks 4571.3 REV-1 and 4571.5; and Notice H 96-102, as extended.  
Notice H 2009-10 and Notice H 2011-18.

**Regional or Local Office:**

See Regional Agency Offices. The HUD Multifamily Hub structure consists of 18 Multifamily Hub Offices. Each Hub administers multifamily housing programs based on its geographical jurisdiction. For a listing of all Multifamily Hub Offices and their associated local Multifamily Program Center(s) (local HUD Office) please visit [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Alicia Anderson, 451 7th St SW Room 6152, Washington, District of Columbia 20410 Email: [alicia.anderson@hud.gov](mailto:alicia.anderson@hud.gov) Phone: (202) 708-3000.

**Website Address:**

<http://www.hud.gov> and [www.grants.gov](http://www.grants.gov).

**RELATED PROGRAMS:**

14.181 Supportive Housing for Persons with Disabilities; 14.195 Section 8 Housing Assistance Payments Program\_Special Allocations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Visit [http://portal.hud.gov/hudportal/documents/huddoc?id=DOC\\_12821.pdf](http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_12821.pdf) for highlights of various housing projects that have been funded using the Section 202 program. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.159 SECTION 245 GRADUATED PAYMENT MORTGAGE PROGRAM**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To facilitate early home ownership for households that expect their incomes to rise. Program allows homeowners to make smaller monthly payments initially and to increase their size gradually over time.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These mortgage loans may be used by owner-occupant mortgagors to finance the purchase of proposed, under construction, or existing single family housing, and condominiums. The mortgage calculation requires consideration of three limits, the least of which determines the maximum mortgage: 1) the statutory limit for the area; 2) the maximum mortgage as if the loan were to be insured under Section 203(b) using outstanding instructions, and, 3) a separate calculation specific to Sec. 245(a). This final calculation will almost always result in a lower amount than would be available under Section 203(b). The Section 245(a) calculation is to make certain that the loan amount with all deferred interest added does not exceed 97 percent of the appraised value including closing costs at the time the loan was made.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply for Section 245(a).

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the applicant are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender will state the reasons for refusing an application. The applicant may

reapply to other lenders.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the mortgage is limited to 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable(Exp: Reported under 14.117) - Reported under 14.117 for Fiscal Years 2009 through present.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State, or the nearest local HUD Office. Visit [www.hud.gov](http://www.hud.gov) for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@ifhaoutreach.com](mailto:info@ifhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

<http://portal.hud.gov/hudportal/HUD?src=/hudprograms/gpm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.162 MORTGAGE INSURANCE COMBINATION AND MANUFACTURED HOME LOT LOANS**

(Title I)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.

**OBJECTIVES:**

To make possible reasonable financing for the purchase of a manufactured home and a lot on which to place the home.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. Insured loans may be used to purchase manufactured homes and lots for buyers intending to use them as their principal places of residence. Effective March 3, 2009, the maximum mortgage amount is \$92,904 for a manufactured home and a suitably developed lot and \$23,226 for a developed lot only. The lot must be appraised by the HUD-approved appraiser. Maximum loan limits may be increased in designated high-cost areas.

**Applicant Eligibility:**

All persons are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the manufactured home unit, HUD-approved appraisal of the lot, and the qualifications of the borrower are submitted to the lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted to a HUD-approved lender for review and approval.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Prior to June 1, 2009, HUD had no involvement in the approval or disapproval process of a loan. Effective June 1, 2009, lenders will submit loans to HUD for a pre-closing test approval period, which will average 3 to 5 days for complete submissions. Upon successful completion of the pre-closing test phase, a lender may then be authorized to participate in the Title I Direct Endorsement Program. HUD has no other participation or regulation over the lender approval processing time.

**Appeals:**

The applicant may reapply.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum loan term is 20 years for a manufactured home and lot; 25 years for a manufactured home and lot combination; and 15 years for a lot only. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Lenders are required to service and maintain records in accordance with acceptable lending practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported under 14.110); FY 12 Not Separately Identifiable(Exp: Reported under 14.110); and FY 13 Not Separately Identifiable(Exp: Reported under 14.110) - Reported Under 14.110 for Fiscal Years 2009 through present.

**Range and Average of Financial Assistance:**

The maximum mortgage amount is \$92,904 for a manufactured home on a suitably developed lot and \$23,226 for a developed lot only.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/title/ma\\_nuf146](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/title/ma_nuf146)

**RELATED PROGRAMS:**

14.110 Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers; 14.127 Mortgage Insurance\_Manufactured Home Parks; 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.163 MORTGAGE INSURANCE\_SINGLE FAMILY COOPERATIVE HOUSING**

(203(n))

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act; as amended, Section 203 (n), Emergency Home Purchase assistance act of 1974, Public Law 93-449, 88 Stat. 1364.

**OBJECTIVES:**

To provide insured financing for the purchase of the Corporate Certificate and Occupancy Certificate for a unit in a cooperative housing project. Ownership of the corporate certificate carries the right to occupy the unit located within the cooperative project.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These insured loans may be used to assist individuals or families in acquiring corporate certificates and occupancy certificates in a cooperative housing project that is covered by a blanket mortgage insured under the National Housing Act. The maximum insurable mortgage loan is limited to the maximum limit under Section 203(b) minus the portion of the unpaid balance of the project mortgage attributable to the dwelling unit.

**Applicant Eligibility:**

Potential owner-occupant mortgagors are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the HUD Homeownership Center having jurisdiction over the area where the property is located through a HUD approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 30 years or the remaining term of the blanket mortgage covering the cooperative development, whichever is less. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable(Exp: Reported under 14.117) - Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or the



nearest HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia  
20410 Email: info@fhaoutreach.com Phone: (800) 225-5342

**Website Address:**

<http://portal.hud.gov/hudportal/HUD?src=/programdescription/203n>

**RELATED PROGRAMS:**

14.117 Mortgage Insurance\_Homes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.167 MORTGAGE INSURANCE\_TWO YEAR OPERATING LOSS LOANS, SECTION 223(D)**

(Two Year Operating Loss Loans)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended, Public Law 90- 448, as amended, Public Law 91-152, 12 U.S.C. 1715x.

**OBJECTIVES:**

To insure a separate loan covering operating losses incurred during the first 2 years following the date of completion or any other 2-year period occurring within 10 years following the date of completion of a multifamily project with a HUD-insured first mortgage.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Eligibility is limited to currently insured HUD projects. Section 223(d) insures a loan to cover the excess of expenses over project gross income incurred during the first two years following the date of completion of the project or for any other two-year period within 10 years of project completion, for such amounts and upon such terms and conditions as HUD may prescribe. A project can receive both loans but not for the same two year period. The loan is insured by HUD under the same section as the original mortgage in an amount not exceeding the excess of operating expenses over project income. The loan term is limited to the unexpired term of the original mortgage. This program requires appropriated credit subsidy, which is limited.

**Applicant Eligibility:**

Owners of a multifamily project or facility subject to a mortgage insured by HUD are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families and property owner.

**Credentials/Documentation:**

A formal application for insurance accompanied by a financial statement prepared by an independent certified public accountant or independent public accountant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits a formal application through a HUD-approved mortgagee to the local HUD Multifamily Hub or Program Center.

**Award Procedure:**

Information submitted by the applicant will be reviewed and analyzed using

data available through office records, field review and general current working knowledge of the project and background. A determination is then made as to the maximum insurable loan amount.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing time will be dependent upon the degree of preparation by the sponsor and HUD Multifamily Hub or Program Center workload.

**Appeals:**

If an application for operating loss loan is refused, HUD will state the reason for the refusal.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The loan may not exceed the remaining term of the insured mortgage. See the following for information on how assistance is awarded/released: over the life of the mortgage.

**Reports:**

Not Applicable.

**Audits:**

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

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$2,342,100; FY 12 est \$2,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Loans sizes range from \$750,000 to \$7,000,000 with an average of \$2.0 million. Project sizes range from 117 to 210 units with an average of 151 units.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 207.4(f) et seq; HUD Handbook 4470.1 REV-2 CHG-1 (Chapter 17), "Operating Loss Loans", no charge, available on HUDCLIPS at <http://www.hudclips.org>.

**Regional or Local Office:**

See Regional Agency Offices. All projects are processed in HUD Multifamily Hubs or Program Centers. Persons are encouraged to communicate with the nearest local Multifamily Hub or Program Center. These offices are listed under HUD resources on the Multifamily industry website at: [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia  
20410 Email: carmelita\_a.\_james@hud.gov Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.169 HOUSING COUNSELING ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, as amended.

**OBJECTIVES:**

To counsel homeowners, homebuyers, prospective renters and tenants under HUD, conventional and other government programs in improving their housing conditions and in meeting the responsibilities of tenancy and homeownership.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide housing counseling grants to HUD-approved local housing counseling agencies; to HUD-approved national and regional intermediaries; Multi-state Organizations; and to State housing finance agencies. Grants provide a variety of housing counseling services, including single family home buying, homeownership, mortgage default, HECM, rental, and rental delinquency under HUD and other programs.

**Applicant Eligibility:**

Qualified public or private nonprofit organizations. There are four categories of eligible applicants: (1) HUD-approved local housing counseling agency; (2) HUD-approved national or regional intermediary; (3) State housing finance agency; and (4) multi-state organizations.

**Beneficiary Eligibility:**

Individuals, groups of individuals, and families who are renters, tenants, homeowners, and home buyers under HUD, conventional and other government programs.

**Credentials/Documentation:**

To be eligible to apply for a housing counseling grant through the SuperNOFA, agencies, except state housing finance agencies, must be HUD approved. HUD-approval must be secured by the SuperNOFA publication date. To become a HUD-approved housing counseling agency, applicants must (1) meet the requirements of the Housing Counseling Handbook 7610.1 as revised; (2) consult the HUD website to learn about the eligibility requirements for becoming HUD-approved and obtain application (available on the HUD website at [www.hud.gov/offices/hsg/sfh/hcc/hcc\\_homes.cfm](http://www.hud.gov/offices/hsg/sfh/hcc/hcc_homes.cfm)); and (3) return application to the HUD Homeownership Center (HOC) with jurisdiction, or, if appropriate, HUD Headquarters. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The availability of funds is announced on HUD's website at [www.hud.gov](http://www.hud.gov). There is no application kit. For a copy of the NOFA, applicants can visit the HUD website ([www.hud.gov](http://www.hud.gov)). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit by the required date the items and forms requested in the NOFA, such as a description of the housing counseling services to be provided, and indicators by which benefits / impact will be measured.

**Award Procedure:**

Applicants will be evaluated competitively and ranked against all other

applicants that applied in the same funding category. National and regional intermediaries are rated and ranked by HUD Headquarters. Local agencies, multi-state organizations and State housing finance agencies are rated and ranked by the Homeownership Center (HOC) with jurisdiction. A funding formula outlined in the NOFA is used to calculate awards. This program is subject to the administrative requirements established in OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments, which was implemented by 24 CFR part 85; OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations, which was implemented by 24 CFR part 84; and OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations, which was implemented by 24 CFR Parts 84 and 85. Grants awarded under this program are also subject to the cost principles in OMB Circular A-87 for State and local governments and Indian tribal governments and OMB Circular A-122 for nonprofit organizations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award announcements typically occur 5-7 months after applications are received.

**Appeals:**

Applicants for housing counseling grants may appeal their denial of a grant award or the insufficiency of the grant amount to HUD.

**Renewals:**

Grantees must submit a new application and compete through the NOFA each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding assistance is for a discrete period of time, generally 1 year. Grantees invoice HUD on a periodic basis for housing counseling services delivered. Payments of grant funds are subsequently made to grantees via direct deposit/electronic funds transfer (DD/EFT). Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

As required in grant document and Housing Counseling Handbook, HUD 7610.1.

**Account Identification:**

86-0156-0-1-604.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$79,036,966; FY 12 est \$40,050,000; and FY 13 est \$45,500,000

**Range and Average of Financial Assistance:**

Range and average of financial assistance: For Fiscal Year 2012, the minimum request from a local agency was \$15,000 and the maximum request from an intermediary was \$3,000,000. The average local agency counseling grant was approximately \$20,500. The average intermediary award was approximately \$990,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving

their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohcs.cfm>), or the nearest local HUD Office. See Catalog address Appendix IV for a list of offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/hcc/hcc\\_home](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/hcc/hcc_home)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.171 MANUFACTURED HOME DISPUTE RESOLUTION**

Manufactured Home Dispute Resolution Program

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Manufactured Housing Construction and Safety Standards Act as amended by the Manufactured Home Improvement Act of 2000, Executive Order Not applicable, Title 24, Part 3288, Public Law 93-383, 42 Stat. 5422(g), 42 U.S.C 5422(g).

**OBJECTIVES:**

To provide for a dispute resolution program for the timely resolution of disputes between manufacturers, retailers, and installers of manufactured homes regarding responsibility, and for the issuance of appropriate orders, for the correction or repair of defects in manufactured homes (Sec 5422(c)(12)) in each state that does not establish a HUD-approved dispute resolution program (Sec 5422(g)).

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Manufacturers, retailers, or installers of manufactured homes may request dispute resolution services for the timely resolution of disputes as to the responsibility for the correction or repair of defects in manufactured homes that are reported during the 1-year period beginning on the date of installation. (42USC5422(c)(12)). Manufactured home owners may initiate action under, and be observers to, the HUD Manufactured Home Dispute Resolution Program, as provided regulation (24CFR3288.15). The program may only address disputes between manufacturers, retailers, and installers of manufactured homes regarding responsibility for the correction or repair of defects in manufactured homes that are reported during the 1-year period beginning on the date of installation. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. Detailed information and procedures are provided by regulation at 24CFR3288.

**Applicant Eligibility:**

Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. There is a link on the Manufactured Housing page for Dispute Resolution. Detailed information and procedures are provided by regulation at 24CFR3288.

**Beneficiary Eligibility:**

The program may only address disputes between manufacturers, retailers, and installers of manufactured homes regarding responsibility for the correction or repair of defects in manufactured homes that are reported during the 1-year period beginning on the date of installation. Manufactured home owners may initiate action under, and be observers to, the HUD Manufactured Home Dispute Resolution Program, as provided regulation (24CFR3288.15).

There must be an alleged defect in the manufactured home that was reported within one year of installation of the home. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. There is a link on the Manufactured Housing page for Dispute Resolution. Detailed information and procedures are provided by regulation at 24CFR3288.

**Credentials/Documentation:**

Program regulations provide detailed guidance on who may request services and other mandatory criteria for participation in the program. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. Detailed information and procedures are provided by regulation at 24CFR3288. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A state may propose to operate a dispute resolution program called for under the authorizing Act by submitting a plan for review and disposition by HUD. If a state plan covering dispute resolution for manufactured homes is approved by HUD and implemented by a state, the program described herein is not applicable and HUD would not provide dispute resolution services in such state.

A list of states with approved plans is available.

Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. There is a link on the Manufactured Housing page for Dispute Resolution.

Detailed information and procedures are provided by regulation at 24CFR3288.

Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There are procedures and requirements for submitting information.

Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing.

Detailed information and procedures are provided by regulation at 24CFR3288.

**Award Procedure:**

An award would be in the form of approval by HUD to initiate dispute resolution.

Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing.

Detailed information and procedures are provided by regulation at 24CFR3288.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right.

**Appeals:**

Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing.

Detailed information and procedures are provided by regulation at 24CFR3288.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A report alleging a defect in a manufactured home must be made within one year of installation of a new manufactured home. Thereafter, a request for dispute resolution concerning the reported defect may be submitted at any time. Interested parties should thoroughly familiar themselves with this program and the detailed procedures that apply. Refer to HUD's website at [www.hud.gov](http://www.hud.gov) for additional information. Select A-Z Index at the top right of the page and scroll the alphabetical list for Manufactured Housing. Detailed information and procedures are provided by regulation at 24CFR3288. See the following for information on how assistance is awarded/released: The regulations provide that upon determination that an eligible request for dispute resolution has been filed, the dispute resolution provider will send a notice of the request to the manufacturer, retailer and installer to the extent that the identify of each is provided in the request. Refer to 24CFR3288.30 for details.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Reporting a defect is critical for a request for dispute resolution to be awarded. The regulations provide that:  
(d) Record of report(1) To evidence timeliness. To establish timely reporting, the report of an alleged defect that is made to the manufacturer, retailer, installer, or a State Administrative Agency of the manufactured home should be done in a manner that will create a dated record of the report that demonstrates that the report was made within 1 year after the date of installation; for example, by certified mail, fax, or email. Persons who report an alleged defect by telephone should make a contemporaneous note of the telephone call, including date, time, the name of the person who received the report, the name of the business contacted, and the telephone number called. If the matter goes to arbitration, the arbitrator and HUD will review whether there is sufficient evidence to believe the report was made on a timely basis.  
(2) Obligation to retain. Each report of a defect, including logs of telephonic complaints, received by a manufacturer, retailer, a State Administrative Agency or installer, must be maintained for 3 years from the date of receipt. Refer to 24CFR3288.20.

**Account Identification:**

86-8119-0-7-376.

**Obligations:**

(Provision of Specialized Services) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable - Dispute resolution is a program within the comprehensive Manufactured Housing Construction and Safety Standards program.

**Range and Average of Financial Assistance:**

This program does not provide direct financial assistance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Complaints filed: 8. Fiscal Year 2012: Complaints filed (projected): 15. Fiscal Year 2013: Complaints filed (projected): 19.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24CFR PART 3288 - MANUFACTURED HOME DISPUTE RESOLUTION PROGRAM

**Regional or Local Office:**

None.

**Headquarters Office:**

Henry S. Czauski 451 Seventh St., SW, Washington, District of Columbia 20410 Email: [henry.s.czauski@hud.gov](mailto:henry.s.czauski@hud.gov) Phone: 202-708-0502 x6477

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/rmra/mhs/mhdp](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/rmra/mhs/mhdp)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.172 MORTGAGE INSURANCE\_GROWING EQUITY MORTGAGES (GEMs)**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To provide a rapid principal reduction and shorter mortgage term by increasing payments over a 10-year period, thereby expanding housing opportunities to the homebuying public.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing single family housing, as well as to refinance indebtedness on existing housing, provided certain conditions are met. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b) - Program 14.117.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to a HUD-approved mortgagee lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

The lender will state the reasons for refusing an application. The applicant may reapply to another lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Mortgage terms vary according to the plan chosen. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending instructions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable(Exp: Reported under 14.117) - Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohocs.cfm>) serving their State, or the nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

<http://portal.hud.gov/hudportal/HUD?src=/programdescription/245a>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.175 ADJUSTABLE RATE MORTGAGES**

(ARMS)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To provide mortgage insurance for an adjustable rate mortgage which offers lower than market interest rate initially but the loan term may rise later. The loan structure provides built-in limits or safeguards for both consumers and lenders, designed to minimize the effect of any rapid rise in interest rates.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on mortgage loans. These loans may be used to finance the purchase of proposed, under construction, or existing one- to four-family housing as well as to refinance indebtedness on existing housing. The maximum insurable mortgage loan for an occupant mortgagor is the same as prescribed for Section 203(b) - program 14.117.

**Applicant Eligibility:**

All persons intending to occupy the property are eligible to apply.

**Beneficiary Eligibility:**

Individuals/families.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee and submitted with the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is submitted for review and approval or disapproval to the local HUD Field Office through a HUD-approved lending institution.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

HUD will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage term may extend for 30 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported under 14.117); FY 12 Not Separately Identifiable(Exp: Reported under 14.117); and FY 13 Not Separately Identifiable(Exp: Reported under 14.117) - Reported Under 14.117.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsgohocs.cfm>) or the

nearest local HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/ins/203arnt](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/ins/203arnt)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.181 SUPPORTIVE HOUSING FOR PERSONS WITH DISABILITIES**

(Section 811)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Cranston-Gonzalez National Affordable Housing Act, Public Law 101-625; Housing and Community Development Act of 1992, Public Law 102-550; the Rescissions Act, Public Law 104-19; American Homeownership and Economic Opportunity Act of 2000, Public Law 106-569; the Revised Continuing Appropriations Resolution, 2007, Public Law 110-5; the Frank Melville Supportive Housing Investment Act of 2010, Public Law 111.374.

**OBJECTIVES:**

To expand the supply of supportive housing for very low-income persons with disabilities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Capital advances may be used to construct, rehabilitate or acquire structures to be used as supportive housing for low-income persons with disabilities. Project rental assistance is used to cover the difference between the HUD-approved operating costs of the project and the tenants' contributions toward rent (30 percent of adjusted income).

**Applicant Eligibility:**

Eligible Sponsors are nonprofit organizations with a Section 501(c)(3) tax exemption from the Internal Revenue Service. Eligible Owner entities are nonprofit organizations with a 501(c)(3) tax exemption from the Internal Revenue Service and, if the proposed project involves mixed financing, for-profit limited partnerships with a nonprofit entity as the sole general partner.

**Beneficiary Eligibility:**

Beneficiaries of housing developed under this program must be very low-income (equal to or less than 50% AMI) adults (18 or older) with a physical, mental, or emotional impairment that is expected to be of long-continued and indefinite duration, that substantially impedes his or her ability to live independently, and is of a nature that such ability could be improved by more suitable housing conditions.

**Credentials/Documentation:**

The nonprofit sponsor and owner must receive certification of eligibility from HUD. The owner must submit financial documents to support its ability to provide a minimum capital investment of 1/2 of 1 percent of the capital advance amount, up to a maximum of \$10,000. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must forward a copy of their applications to the appropriate state or local agency for a review of the supportive services plan and a completed certification from the agency as to whether the provision of services is well designed to meet the needs of the anticipated occupancy must be included in the

applicant's submission of its application to the HUD Field Office. An environmental assessment is required for applications containing evidence of site control. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Notice of Funding Availability is published in the Federal Register each fiscal year announcing the availability of funds to specified allocation areas. Applicants must submit a Request for a Fund Reservation, using Form HUD-92016-CA, Section 811 application for capital advance, in response to the Notice of Fund Availability (or a Funding Notification issued by the local HUD Field Office). The application for capital advance is used to determine the eligibility of the applicant and proposed project as well as the acceptability of the site and market, correctness of zoning and the effect on environment. All applications must be submitted via [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications are reviewed and selected for awards within the funding allocation areas. Those selected for funding must meet basic program requirements including, but not limited to: eligibility as a nonprofit entity, eligibility as a for-profit limited partnership with nonprofit entity as the sole general partner for mixed-finance projects, financial commitment and prior experience in housing or related service activities. The request for Capital Advance Financing, using Form HUD-92013 is reviewed to update the determination of acceptability of project site and market, correctness of zoning, and the effect on environment as well as to determine the value of site, total development cost, and financial feasibility.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

At the fund reservation stage, the sponsor usually is advised of the decision within 4 to 5 months from the end of the application period.

**Appeals:**

From 1 to 15 days. During the period of competition, Sponsors whose applications are rejected by the HUD Field Office due to noncompliance with program requirements, have the right to appeal the rejection within 14 calendar days from the date of HUD's written notice of rejection.

**Renewals:**

> 180 Days. After the first three years of initial PRAC (for which the owner submits monthly vouchers to HUD for payment of rental assistance) the contract is renewed on a yearly basis based on availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The capital advance is not repayable if the project is available for very low-income persons with disabilities for at least 40 years. Projects are expected to start construction within 18 months of the date of the fund reservation, with limited provision for extensions. Funds will be advanced on a monthly basis during construction. See the following for information on how assistance is awarded/released: Based on percentage of construction completion.

**Reports:**

All owners will be required to submit a Outcome Logic Model Report to HUD. All owners will be required to submit an annual financial statement. No progress reports are required. No expenditure reports are required. HUD 60002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons (OMB No. 2529-0043) For each grant over \$200,000

that involves housing rehabilitation, housing construction, or other public construction, the prime recipient must submit Form HUD 60002 (24 CFR sections 135.3(a) and 135.90).

**Audits:**

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

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable mortgage practices and HUD regulations. Owners also must supply those records necessary to indicate compliance with the project rental assistance contract.

**Account Identification:**

86-0237-0-3-371.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$114,854,768; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$422,600 to \$4,092,000 (FY10/11).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 984 units. Fiscal Year 2012: no funding. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR part 5, subpart H, and part 891, subparts A, C, and D.; HUD Handbooks 4571.2 and 4571.4; and Notice H 96-102, as extended.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD office listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm).

**Headquarters Office:**

Marvis S. Hayward, 451 7th St SW Room 6142, Washington, District of Columbia 20410 Email: [marvis.s.hayward@hud.gov](mailto:marvis.s.hayward@hud.gov) Phone: (202) 708-3000.

**Website Address:**

<http://www.hud.gov> and [www.grants.gov](http://www.grants.gov).

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.195 Section 8 Housing Assistance Payments Program\_Special Allocations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.183 HOME EQUITY CONVERSION MORTGAGES**

(Section 255)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act.

**OBJECTIVES:**

To enable elderly homeowners to convert equity in their homes to monthly streams of income or lines of credit.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

HUD insures lenders against loss on reverse mortgage loans. These loans may be used to provide monthly streams of income or, except for Texas, lines of credit for older homeowners, 62 years of age or older.

**Applicant Eligibility:**

Eligible borrowers are persons 62 years of age or older and must complete counseling from a HUD-approved agency prior to obtaining the loan. Eligible properties include single family one-to-four unit owner-occupied dwelling units, units within FHA-approved condominium projects and Planned Unit Developments, and manufactured homes, if they meet FHA standards.

**Beneficiary Eligibility:**

Individuals.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are assembled by the mortgagee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The borrower is required to receive counseling from a HUD-approved counseling agency prior to application. Approved Direct Endorsement Lenders process all aspects of the loan application and submit it to HUD for insurance endorsement.

**Award Procedure:**

See Application Procedure.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Mortgagee will state the reasons for refusing an application. The applicant may reapply subject to concurrence of the lender.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The mortgage has no specified term. The mortgage is due and payable at the death of the borrower(s) or if the borrower sells, conveys, or moves from the property. The mortgage may also become due and payable if the borrower fails to perform an obligation of the mortgage, such as pay taxes and hazard insurance premiums or fails to maintain the property in good condition. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the HUD regulations.

**Account Identification:**

86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$18,224,410,152;

FY 12 est \$18,271,115,650; and FY 13 est \$18,700,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Persons are encouraged to contact the Homeownership Center serving their State (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsg/hoc.cfm>) or the nearest HUD Office. See Catalog Address Appendix IV for a list of Offices.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/hecm/h/ecmhome](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/hecm/h/ecmhome)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.184 MORTGAGES INSURANCE FOR SINGLE ROOM OCCUPANCY (SRO) PROJECTS**

(221(d) Single Room Occupancy)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, Section 221(d), 12 U.S.C. 1751(d); Section 223(g), 12 U.S.C. 1715 (g).

**OBJECTIVES:**

The Single Room Occupancy (SRO) Program provides mortgage insurance for multifamily properties consisting of single-room units. There are no Federal rent subsidies involved with this SRO Program. It is aimed at those tenants who have a source of income but are priced out of the rental apartment market. SRO projects will generally require assistance from local governing bodies or charitable organizations in order to reduce the rents to affordable levels.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

The SRO Program insures lenders against loss on mortgages used to finance construction or substantial rehabilitation of projects consisting of five or more units comprised primarily of one room residential units. Projects must be designed primarily for residential use. Any commercial activity must be compatible with the use of the project and primarily for the benefit of the residents. Commercial space is limited to 10 percent of the total gross floor area (20 percent in substantial rehabilitation projects), and 15 percent of gross rental income in a project. Contractors for new construction and substantial rehabilitation projects must comply with prevailing wage requirements under the Davis-Bacon Act.

**Applicant Eligibility:**

Eligible applicants may be nonprofit entities; builder/sellers teamed with a nonprofit purchaser, a limited distribution entity, profit-motivated entities or public entities. Cooperative lenders or investors are not eligible.

**Beneficiary Eligibility:**

Residents are subject to normal tenant selection procedures. There are no income limits for admission.

**Credentials/Documentation:**

Along with the Application for Mortgage Insurance, the applicant must provide a market profile demonstrating a clear need for the proposed SRO, experience profiles as to SRO operation, a certification from the local government assuring support of the project, and a relocation plan if needed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The sponsor submits an application for a SAMA or feasibility application to the local HUD office for review. Following HUD's issuance of a SAMA or feasibility letter, the sponsor submits a firm commitment application through a HUD-approved mortgagee to the local HUD Multifamily Hub and Program Center for processing.

**Award Procedure:**

The project is reviewed to determine its feasibility. If the project meets program requirements, the HUD Multifamily Hub or Program Center issues a commitment to insure the mortgage.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor and the workload of the HUD Multifamily Hub or Program Center.

**Appeals:**

If an application for mortgage insurance is denied, HUD will state the reasons for the denial. If reapplication is desired, the applicant may reapply subject to concurrence of the lender.

**Renewals:**

The term of a commitment to insure may be extended when more time is required to close the loan.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR, Part 221.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The maximum mortgage term is 40 years, or not in excess of three-fourths of the remaining economic life, whichever is less. See the following for information on how assistance is awarded/released: Over the life of the mortgage.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department of Housing and Urban Development reserves the right to audit the accounts of either the mortgagee or mortgagor to determine their compliance and conformance with HUD regulations and standards.

**Records:**

Mortgagees are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and HUD regulations.



**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Reported under 14.135.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 221.565; HUD Handbook 4560.3, Mortgage Insurance for Single Room Occupancy (SRO) Projects available on www.hudclips.org.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub and Program Center listed in [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.188 HOUSING FINANCE AGENCIES (HFA) RISK SHARING**

(542(c) Risk Sharing Program)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Section 542(c), Public Law 102-550, 12 U.S.C. 1707. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily mortgage insurance program., Title 24, Part 266.

**OBJECTIVES:**

Under Section 542(c), HUD provides credit enhancement for mortgages for multifamily housing projects whose loans are underwritten, processed, serviced, and disposed of by Housing Finance Agencies (HFA). HUD and the Housing Finance Agencies share in the risk of the mortgage. The program was originally designed as a pilot program to assess the feasibility of risk-sharing partnerships between HUD and qualified State and local HFAs in providing affordable housing for the Nation. The Section 542(c) program is now permanent multifamily insurance program.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Participating qualified State and local Housing Finance Agencies (HFAs) may underwrite, originate, service, and dispose of properties financed under Section 542(c). Program provides full HUD mortgage insurance to enhance HFA bonds to investment grade. HFA reimburses HUD in the event of a claim pursuant to terms of Risk Sharing Agreement. HFAs may elect to share risk with HUD from 10 to 90 percent of the loss. The program provides new independent insurance authority not under the National Housing Act.

**Applicant Eligibility:**

Eligible mortgagors, who include investors, builders, developers, public

entities, and private nonprofit corporations or associations, may apply to a qualified HFA. To be eligible for HUD's approval, the HFA must: (1) carry the designation of "top tier" or its equivalent as evaluated by Standard and Poors or another nationally recognized rating agency; (2) receive an overall rating of "A" for the HFA for its general obligation bonds from a nationally recognized rating agency; and (3) otherwise demonstrate its capacity as a sound, well-managed agency that is experienced in financing multifamily housing.

**Beneficiary Eligibility:**

Individuals, families, and property owners may be eligible for affordable housing.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted with the application to a qualified HFA. Proof of nonprofit status is required of nonprofit organizations. Projects must qualify as affordable housing as defined by Section 42(g) of the Internal Revenue Code of 1986. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An applicant submits a formal application directly to a HUD-approved HFA.

**Award Procedure:**

The HFAs are vested with the maximum amount of processing responsibilities and decision-making to approve or reject individual projects. However, HUD retains authority for environmental review. The HUD-approved HFA is responsible for making the award once the project qualifies for mortgage insurance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Processing time depends upon the degree of preparation by the sponsor.

**Appeals:**

If an application for mortgage insurance is refused, HFA will state the reasons for the refusal. If reapplication is desired, the applicant may modify the application and reapply.

**Renewals:**

HUD will provide mortgage insurance on multifamily housing projects whose loans were underwritten, processed, serviced, and disposed of by HFAs.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Part 266.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No. See the following for information on how assistance is awarded/released: Over the life of the insured mortgage.

**Reports:**

No reports are required.

**Audits:**

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

Urban Development reserves the right to audit the accounts of the HFA and the mortgagor in order to determine their compliance and conformance with HUD regulations and standards.

**Records:**

HFAs are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions and the implementing regulations. HFAs must also monitor construction/inspection process.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$106,978,722; FY 12 est \$233,000,000; and FY 13 est \$233,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulatory authority for this program is regulation 24 CFR Part 266. HUD Handbook 4590.1, Housing Finance Agency Risk-Sharing Pilot Program, is located on [www.hudclips.org](http://www.hudclips.org).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at [http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mfh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in the Appendix IV of the Catalog.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdsc/progdsc.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.189 QUALIFIED PARTICIPATING ENTITIES (QPE) RISK SHARING (542(b) Risk Sharing Program)**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Section 542(b), Public Law 102-550, 12 U.S.C. 1701; Public Law 106-377. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily insurance program.

**OBJECTIVES:**

Under this program HUD provides reinsurance on multifamily housing projects whose loans are originated, underwritten, serviced, and disposed of by qualified participating entities (QPEs) and/or its approved lenders. The program encourages the development and preservation of affordable housing. The Section 542(b) program was originally designed as a pilot to test innovative mortgage insurance and reinsurance products to provide affordable multifamily housing through a partnership between HUD and QPEs, including Government Sponsored Enterprises, financial institutions, and the Federal Housing Finance Board.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

QPEs and/or its approved lenders may originate and underwrite affordable housing loans. HUD's mortgage credit enhancements are used to support the underwriting and production strengths of Fannie Mae, Freddie Mac, and other qualified Federal, State, and local public financial and housing institutions. In the event of a default, the QPE will pay all costs associated with loan disposition and will seek reimbursement from HUD. In most cases, the HUD risk share will be 50 percent. The program provides a new insurance authority independent of the National Housing Act.

**Applicant Eligibility:**

Eligible mortgagors include investors, builders, developers, public entities, and private nonprofit corporations or associations may apply to a qualified QPE and/or its lender.

**Beneficiary Eligibility:**

Individuals, families, and property owners may be eligible for affordable housing.

**Credentials/Documentation:**

Documentation regarding the characteristics of the property and the qualifications of the mortgagor are submitted to the QPE and/or its lender. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An applicant submits a formal application directly to the QPE.

**Award Procedure:**

QPEs are vested with the maximum amount of processing responsibilities and decision-making to approve or reject individual projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Within 15 days of HUD's receipt of a complete and acceptable Risk Sharing Request, HUD will execute the Addendum to Risk Sharing Agreement which signifies that HUD has undertaken a Risk Sharing Obligation for a specific mortgage loan.

**Appeals:**

If a Risk Sharing Request is refused, the QPE will state the reasons for the refusal.

**Renewals:**

HUD will provide reinsurance on multifamily housing projects whose loans are originated, underwritten, serviced, and disposed of by QPEs.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No. See the following for information on how assistance is awarded/released: Monthly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

QPEs are required to service and maintain records in accordance with acceptable mortgage practices of prudent lending institutions.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$42,328,000; FY 12 est \$100,000,000; and FY 13 est \$100,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hub or Program Center listed at [http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs\\_pcs.cfm](http://www.hud.gov/offices/hsg/mflh/mfbroch/hubs_pcs.cfm) or the nearest HUD Field Office listed in the Catalog Address Appendix IV.

**Headquarters Office:**

Carmelita James 451 Seventh Street SW, Washington, District of Columbia 20410 Email: [carmelita\\_a.\\_james@hud.gov](mailto:carmelita_a._james@hud.gov) Phone: (202) 402-2579

**Website Address:**

<http://www.hud.gov/offices/hsg/hsgmulti.cfm>.

**RELATED PROGRAMS:**

14.188 Housing Finance Agencies (HFA) Risk Sharing

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.191 MULTIFAMILY HOUSING SERVICE COORDINATORS****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Affordable Housing Act, Section 808, Public Law 101-625, as amended; Housing and Community Development Act of 1992, 42 U.S.C. 13632, Public Law 104-104, as amended; American Homeownership and Economic Opportunity Act of 2000, Section 851, Public Law 106-569, approved December 27, 2000.

**OBJECTIVES:**

To link elderly, especially frail and disabled, or disabled non-elderly assisted housing and neighborhood residents to supportive services in the general community; to prevent premature and unnecessary institutionalization; and, to assess individual service needs, determine eligibility for public services and make resource allocation decisions which enable residents to stay in the community longer.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The service coordinator is a social service staff person hired by the development owner/management company to arrange a broad spectrum of services for residents which include, but are not limited to, the following: the provision of formal case management (i.e., the evaluation of health, psychological or social needs); educate residents and development management staff on issues related to aging-in-place and service coordination; monitor the provision of services, and act as an advocate for the resident in dealing with community service providers. The service coordinator may not serve as the recreational or activities director for a development; provide supportive services directly, or assist with other administrative work associated with the development's operation during the time paid for by grant funds. Provided in the Notice of Funding Availability (NOFA).

**Applicant Eligibility:**

Eligible applicants are owners of Section 8 developments with project-based subsidy (including Rural Housing Service Section 515/8 developments);

Section 202 developments as defined under 24 CFR Sections 277 and 885, and 221(d)(3) below-market interest rate and 236 developments which are insured or assisted (funded under Sections 24 CFR 221 Subpart C, 236, 277, 880, 881, 883, 885 and 886). To be eligible, developments must also be current in mortgage payments. Service coordinators for Congregate Housing Service Programs (CHSP), Section 202 developments with a Project Rental Assistance Contract (PRAC), and Section 811 developments are not eligible for funding. Owners of Section 202 PRAC developments may request an increase in their PRAC to hire a Service Coordinator by following procedures in the Office of Housing's Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8.

**Beneficiary Eligibility:**

Eligible beneficiaries are residents of eligible housing or community residents who live in the vicinity of such housing. Service Coordination may be provided to elderly or disabled families. In particular, priority is given to residents who are frail (unable to perform at least three activities of daily living (ADLs)) or "at risk" elderly persons who are unable to perform 1- 2 ADLs, or non-elderly disabled or temporarily disabled residents. At least twenty-five percent of the residents of a development must be frail, at risk, or non-elderly people with disabilities for that development to be eligible for funding.

**Credentials/Documentation:**

As required in the NOFA published in the Federal Register. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted in accordance with the requirements in the NOFA published in the Federal Register.

**Award Procedure:**

As described in the NOFA. All eligible applications will be selected through a national lottery.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified in the NOFA.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the grant period, subject to the availability of appropriations, continued need, and compliance with grant requirements.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding term stated in the NOFA. Method of awarding/releasing assistance: quarterly.

**Reports:**

Financial and performance reporting as specified in the NOFA and grant agreement. On-site management reviews done by HUD consistent with Development monitoring standards contained in HUD Handbook 4350.1, Chapter 6. Federal Financial Report (Standard Form 425). Multifamily Housing Service Coordinator Semi-annual Performance Report (form HUD-92456) and HUD Logic Model (form HUD-96010). Line of Credit Control System (LOCCS) Payment Voucher (form HUD-500800-SCMF) and Federal Financial Report (Standard Form 425). HUD Field Office Staffs are responsible for monitoring grant-funded activities and the use of grant funds.

**Audits:**

No audits are required for this program.

**Records:**

Grantees required to maintain records as required by grant agreement. These requirements conform to OMB Circular No. A-110.

**Account Identification:**

86-0320-0-1-604; 86-0320-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$61,000,000; FY 12 est \$81; and FY 13 Estimate Not Available - Reported under program 14.157 for FY 10, FY 11, and FY 12.

**Range and Average of Financial Assistance:**

\$88,825 to \$402,196; \$171,064.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Renewals \$61 million, New Grants \$45.6 million. Combined with Fiscal Year 2010. Fiscal Year 2012: Approximately \$15 million in new grants and \$66 million in renewals. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations for this program, see the Office of Housing's Management Agent Handbook 4381.5, Revision-2, Change-2, Chapter 8. (available at [HTTP://www.hud.gov](http://www.hud.gov)); the How-to Guide for Service Coordinators and the evaluation studies of the Service Coordinator Program available.

**Regional or Local Office:**

See Regional Agency Offices. Contact Multifamily Director in the nearest HUD Field Office. Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Carissa L. Janis, 451 7th st sw Room 6146, Washington, District of Columbia 20410 Email: [carissa.l.janis@hud.gov](mailto:carissa.l.janis@hud.gov) Phone: (202) 708-3000.

**Website Address:**

<http://www.hud.gov> .

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.181 Supportive Housing for Persons with Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are listed in the published Federal Register Program Notice of Funding Availability (NOFA).

**14.195 SECTION 8 HOUSING ASSISTANCE PAYMENTS PROGRAM**

(Project-based Section 8)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

United States Housing Act of 1937, Section 8(c)(9).

**OBJECTIVES:**

To provide rental assistance to very low income individuals and families enabling them to live in affordable decent, safe and sanitary housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

This program is inactive. No new projects are being approved; however, tenants may apply for admission to projects with existing Section 8 assistance contracts. The assistance is paid by HUD to the owner of an assisted unit on behalf of an eligible family. The payment is the difference between the contract rent and the tenant rent. Assistance is currently available only on a renewal basis, i.e., projects currently assisted may receive a 1-year renewal, or multiple years, up to twenty years, upon expiration of the Section 8 contract.

**Applicant Eligibility:**

No funding is available to new applicants. Funding is currently available only for the owners of record of projects with an existing expiring project-based

Section 8 contract. The project must meet minimum decent, safe, and sanitary standards.

**Beneficiary Eligibility:**

Families currently receiving assistance as long as their income does not exceed 80 percent of area median income adjusted for smaller or larger families.

**Credentials/Documentation:**

Applications for new projects are no longer being accepted. Project must meet minimum decent, safe, and sanitary standards for HUD to renew the Section 8 contract. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project owner must notify HUD within 120 days of contract expiration that it wishes to renew the Section 8 contract.

**Award Procedure:**

Contract is renewed upon expiration.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approval given by date of contract expiration.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to appropriations and owner's interest in renewing contract.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

1 year. See the following for information on how assistance is awarded/released: Funds are disbursed at amend rents and contract renewals anniversary dates.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. The owner must submit to HUD within 60 days after the end of each fiscal year of the project, financial statements for the project audited by an Independent Public Accountant and other statements as to project operation, financial conditions and occupancy. Annual management and occupancy review.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The owner must permit HUD to review and audit the management and maintenance of the project at any time to assure the owner is meeting its obligation to maintain the units and related facilities in decent, safe, and sanitary condition.

**Records:**

The owner must reexamine the income and composition of all families at least once each year and prepare and furnish other information required under the Section 8 contract.

**Account Identification:**

86-0303-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$9,349,783,000; FY 12 est \$9,454,141,000; and FY 13 est \$8,700,400,000

**Range and Average of Financial Assistance:**

Eligible tenants pay no more than 30 percent of their monthly adjusted income for rent.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 886 Section 8 Housing Assistance Payments Program - Special Allocations. 24 CFR 880 - Section 8 Housing Assistance Payments Program for New Construction; 24 CFR 881 - Section 8 Housing Assistance Payments Program for Substantial Rehabilitation; 24 CFR 883 - Section Housing Assistance State Housing Agencies; 24 CFR 884 - Section 8 Housing Assistance Payments Program for New Construction Set Aside for Section 515 Rural Rental Housing Projects; 24 CFR 891 Subpart E - Loans for Housing for the Elderly or Persons with Disabilities; HUD Section 8 Renewal Policy Guide (1/15/08).

**Regional or Local Office:**

See Regional Agency Offices. Persons may contact local field offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Catherine M. Brennan 451 7th Street SW, Washington, District of Columbia 20410 Email: Catherine.M.Brennan@hud.gov Phone: (202) 402-6732 Fax: (202) 708-3104.

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/mfhsec8.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.198 GOOD NEIGHBOR NEXT DOOR SALES PROGRAM****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

24 CFR 291.500-565, final rule published in Federal Register, October 31, 2006, effective December 1, 2006, following publication in the Federal Register of a proposed rule on September 8, 2005.

**OBJECTIVES:**

The purpose of the Good Neighbor Next Door Sales Program is to improve the quality of life in distressed urban communities. This is to be accomplished by encouraging law enforcement officers, teachers, and firefighters/emergency medical technicians, whose daily responsibilities and duties represent a nexus to the needs of the community, to purchase and live in homes in these communities.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Participants must be employed full-time as a law enforcement officer, pre-K through grade 12 teacher, firefighter or emergency medical technician and agree to live in the property purchased for 36 months from the date of occupancy following purchase of the home. Violation of the occupancy rule is under penalty of repayment of a prorata share of the discount of 50 percent of the list price. Properties offered through the program are single unit residences located in HUD-designated revitalization areas. The availability of properties is limited. Purchasers must provide financing for the purchases by their own means and are responsible for their portion of closing costs and broker fees. Teachers and Firefighters/EMTs are restricted to purchase homes located in an area served by their employer.

**Applicant Eligibility:**

Eligible law enforcement officer must be (a) Employed full-time by a law enforcement agency of the federal government, a state, a unit of general local government, or an Indian tribal government ; and (b) In carrying out such full-time employment, the person is sworn to uphold, and make arrests for

violations of, Federal, state, county, or municipal law. A firefighter/EMT must be employed full-time as a firefighter or emergency medical technician by a fire department or emergency medical services responder unit of the federal government, a state, unit of general local government, or an Indian tribal government serving the area where the home is located. A teacher qualifies for the purposes of the GNND Sales Program if the person is: (a) Employed as a full-time teacher by a state-accredited public school or private school that provides direct services to students in grades pre-kindergarten through 12; and (b) The public or private school where the person is employed as a teacher serves students from the area where the home is located in the normal course of business.

**Beneficiary Eligibility:**

Law enforcement officers, firefighters, teachers, and EMTs purchasing a HUD-owned home in a designated revitalization area for use as their sole residence.

**Credentials/Documentation:**

Sales contract (HUD 9548); employer certification; second mortgage and note. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Interested persons apply by submitting an offer to purchase a property listed through HUD's property disposition program. Properties for sale are listed on the Internet at sites accessible to the general public. Offers are submitted electronically. The offer amount submitted must be the list price.

**Award Procedure:**

A winning offer is selected randomly by lottery each week in the event several bids are received on a single property. The selected offeror bids full price but is offered the property at a 50 percent discount off the list price, subject to the purchaser fully complying with the 36-month occupancy requirement and other program rules. The selected offeror is provided with a document package. The offeror accepts by signing and returning the sales documents. The selected offeror receives title to the home at a sales closing. The selected offeror arranges for financing of the purchase price.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The assistance is provided in exchange for the buyer's commitment to occupy the homes as a personal residence for 36 months. Each month of occupancy results in the forgiveness of one thirty sixth of the discount value. Vacating the premises prior to the expiration of the owner-occupancy term requires repayment of a pro rata amount of the discount. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

86-4077-0-3-371; 86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: reported under 14.311); FY 12 Not Separately Identifiable(Exp: reported under 14.311); and FY 13 Not Separately Identifiable(Exp: reported under 14.311) - All fiscal year reporting is captured under 14.311.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD Regulations at 24 CFR Part 291. Fed. Register, October 31, 2006, Volume, Number, Page. Program information is available on HUD's website at <http://www.hud.gov/offices/hsg/sfh/reo/goodn/gnndabot.cfm>

**Regional or Local Office:**

See Regional Agency Offices. Contact HUD's Homeownership Center (HOC) serving your state. Each Homeownership Center has Good Neighbor Next Door Coordinators. HOCs and their service areas may be found on the web at <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>. Management and Marketing (M&M) contractors provide listings of properties available for purchase through the Good Neighbor Next Door program on the web and are a source of information. Go to <http://www.hudhomestore.com/home/index.aspx> and click on the state of your choice.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/reo/goodn/gnndabot](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/reo/goodn/gnndabot)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.218 COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS**

Community Development Block Grant program for Entitlement Communities.

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, Part 24, Section 570, Public Law 93-383, 88 Stat. 633, 42 U.S.C 5301-5321.

**OBJECTIVES:**

To develop viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low and moderate income.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Recipient communities may undertake a wide range of community-based activities directed toward neighborhood revitalization, economic development, and community services, facilities, and improvements. Entitlement communities develop their programs and set their funding priorities in conformance with the statutory standards, program regulations, and other federal requirements. Specific activities that can be carried out with

Community Development Block Grant (CDBG) funds include acquisition of real property; relocation; clearance and demolition; rehabilitation of residential and nonresidential structures; provision of public facilities and improvements, such as water and sewer facilities (which require reviews by the State single point of contact or a Regional Planning Agency in accordance with Executive Order 12372), streets, and neighborhood centers. Within program limitations, CDBG funds can also pay for public services. Recipients may provide assistance to microenterprises or other for-profit entities when the recipient determines that such assistance is appropriate to carry out an economic development project. Community-based development organizations may carry out neighborhood revitalization, community economic development, or energy conservation activities. Each CDBG eligible activity must meet one of three national objectives: benefit low- and moderate-income persons, aid in the prevention or elimination of slums or blight, or meet other community development needs having a particular urgency that the grantee is unable to finance on its own. Recipients may only carry out eligible activities as listed in 24 CFR 570.201-207 or the statute.

**Applicant Eligibility:**

Recipients are states; cities in Metropolitan Areas designated by OMB as a central city of the Metropolitan Area; other cities over 50,000 in Metropolitan Areas; and qualified urban counties of at least 200,000 (excluding the population in entitlement cities located within the boundaries of such counties) are eligible to receive CDBG entitlement grants determined by a statutory formula.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low- and moderate-income persons (generally defined as a member of a family having an income equal to or less than the Section 8 low income limit established by HUD). The recipient must certify that at least 70 percent of the grant funds received during a 1, 2, or 3-year period, that it designates, are expended for activities that will principally benefit low- and moderate-income persons.

**Credentials/Documentation:**

Recipients must certify they will meet program requirements and applicable federal requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Executive Order 12372 is applicable only where a recipient proposes to use funds for the planning or construction (reconstruction or installation) of water or sewer facilities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Recipients submit a 5-year Consolidated Plan, an annual action plan, SF Form 424, and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD Community development programs, including CDBG. The annual action plan must include the local community development objectives and show the proposed use of the funds. If the grantee makes a complete submission within the established deadlines, the Department will make a grant award unless a determination is made by HUD that the grantee's performance is unsatisfactory. HUD will approve the submission generally within 45 days of receipt of the annual action plan and required certifications unless a determination has been made that the grantee has failed to carry out its CDBG program in a timely manner or has failed to conform to the requirements of the statute or other applicable laws. Under such circumstances, HUD may take appropriate actions, including a reduction in the amount of the original formula-allocated grant.

**Award Procedure:**

None.

**Deadlines:**

Nov 15, 2012 to Aug 15, 2013: See below. For formula grants, action plans associated with the Consolidated Plan must be submitted based on the grantee's program year, but no earlier than November 15 or no later than August 15 of

the fiscal year for which the funds are allocated.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Generally within 45 days.

**Appeals:**

Administrative appeals process followed if entitlement grant funds are withheld or reduced, or repayment proposed for non-compliance or non-performance.

**Renewals:**

From 15 to 30 days. Every 3 to 5 years, localities submit a new Consolidated Plan. Each year in between, localities submit an annual action plan and program certifications.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Part 570.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Program of assistance is for an annual activities, but activities generally may be continued beyond one year until they are deemed completed. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Consolidated Annual Performance and Evaluation Report (CAPER). The CAPER reports the recipient's program accomplishments for each program year. For 272. The recipient's efficient expenditure of grant funds is evaluated annually (through information provided in the IDIS (see below)) 60-days prior to the end of its program year. Through the program management's information system, known as the Inter-Disbursement and Information System (IDIS). Monitoring is "risk-assessment based" with high-risked grantees receiving priority status for monitoring and review.

**Audits:**

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

**Records:**

The recipient must maintain records with regard to eligibility, national objectives, financial management, citizen participation, relocation, and other resources, acquisition, housing assistance to dwelling units and households, equal opportunity, environmental impact, labor standards and other requirements set forth in the program regulations. Records shall be retained for a period of four years after submission of the report in which the activity is reported as completed, except as otherwise prescribed in the regulations.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Formula Grants) FY 11 \$3,303,000,000; FY 12 est \$2,941,000,000; and FY 13 est \$2,941,000,000 - Allocations made to entitled metropolitan cities and urban counties.

**Range and Average of Financial Assistance:**

From low of \$72,231 to a high of \$178,008,585 for New York City; average grant \$2,956,494.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations for Community Development Block Grants, 24 CFR 570.

**Regional or Local Office:**

None. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Otis D.Collins, 451 7th Street S.W. Room 7282  
, Washington,, District of Columbia 20410 Email: otis.d.collins@hud.gov  
Phone: 202-402-3416 Fax: 202-401-2044

**Website Address:**

<http://www.hud.gov/offices/cpd/index.cfm>.

**RELATED PROGRAMS:**

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

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.225 COMMUNITY DEVELOPMENT BLOCK GRANTS/SPECIAL PURPOSE GRANTS/INSULAR AREAS**

Insular CDBG

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, as amended, Public Law 93-383, 42 U.S.C 5306(a)(2).

**OBJECTIVES:**

To provide community development assistance to the Pacific Islands of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands in the Caribbean, by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low- and moderate-income. Each activity funded must meet one of the program's National Objectives by: Benefiting low- and moderate-income families; aiding in the prevention or elimination of slums or blight; or meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Activities must be eligible under 24 CFR 570 Subpart C.

**Applicant Eligibility:**

The Island Governments of American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low and moderate income persons. Low and moderate income is generally defined as 80 percent of the median income for the territory, as adjusted by family size.

**Credentials/Documentation:**

Grantees must certify that they will comply with program requirements as specified in 24 CFR Part 91. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circular A-110 applies as implemented at 24 CFR Part 84. 24 CFR Part 85 also applies to this program. Each Insular Area shall submit a consolidated plan or an abbreviated consolidated plan to HUD no later than 45 days before the start of its program year.

**Award Procedure:**

The Honolulu Field Office and the HUD San Juan Field Office are responsible for reviewing each consolidated plan or abbreviated consolidated plan and

approving them if the submissions are in accordance with 24 CFR 91 and the certifications are acceptable to HUD.

**Deadlines:**

Nov 15, 2011 to Aug 16, 2012 Applicants must submit final statements no later than 45 days before the start of its program year.

**Range of Approval/Disapproval Time:**

45 days.

**Appeals:**

The procedure is described in regulations (24 CFR Part 570 Subpart O).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Financial management and annual performance reports as required by the Secretary. SF-425 Federal Cash Transactions Report. Annual Performance Report details the territory's performance in completing activities undertaken during the program year. Disbursement reports are a standard feature of the Integrated Disbursement and Information System used to access the grantee's line of credit. Program performance monitoring is conducted by field office staff based on risk analysis factors.

**Audits:**

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

**Records:**

All records applicable to the assistance project must be kept for three years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 11 \$6,916,000; FY 12 est \$7,000,000; and FY 13 est \$7,000,000

**Range and Average of Financial Assistance:**

Funds allocated in FY 2012: American Samoa \$1,158,648; Guam \$3,158,206; Northern Marianas \$793,489; Virgin Islands \$1,889,657.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: no current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570, 24 CFR Part 91, 24 CFR Part 58

**Regional or Local Office:**

See Regional Agency Offices. Honolulu Field Office and the HUD San Juan Field Office as listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>.

**Headquarters Office:**

Stephen M. Rhodeside 451 Seventh St. SW, Washington, District of Columbia 20410 Email: [stephen.m.rhodeside@hud.gov](mailto:stephen.m.rhodeside@hud.gov) Phone: 202-402-7375 Fax: 202-708-1798

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/communitydevelopment/programs/insular](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment/programs/insular)

**RELATED PROGRAMS:**

15.875 Economic, Social, and Political Development of the Territories

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.228 COMMUNITY DEVELOPMENT BLOCK GRANTS/STATE'S PROGRAM AND NON-ENTITLEMENT GRANTS IN HAWAII**

State CDBG

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, Title I, Section 101-122, Public Law 93-383, 88 Stat. 633, 42 U.S.C 5301-5322.

**OBJECTIVES:**

The primary objective of this program is the development of viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low- and moderate-income. Each activity funded must meet one of the program's National Objectives by: Benefiting low- and moderate-income families; aiding in the prevention or elimination of slums or blight; or meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Thirty percent of funds available for distribution under each annual appropriation for the Community Development Block Grant (CDBG) program is allocated among the States and Puerto Rico (which is considered to be a state for the State CDBG program) for use in areas which are not a metropolitan city or part of an urban county (nonentitlement areas). All States except Hawaii have elected to administer these CDBG funds for areas that do not receive CDBG entitlement grants (14.218). HUD awards the formula grants to these States under the CDBG/State Program. In Hawaii, HUD awards the state's share of these funds to three non-entitlement counties. States must distribute CDBG funds to units of general local government (counties, towns, etc.) in nonentitlement areas. States develop their own programs and funding priorities. Units of general local government then carry out community development activities funded by the State. Eligible activities are directed toward neighborhood revitalization, economic development, or provision of improved community facilities and services. Specific activities that can be carried out with block grant funds include: Acquisition, rehabilitation or construction of certain public works facilities and improvements, such as streets, water and sewer facilities, neighborhood centers, recreation facilities, and other public works; demolition and clearance; rehabilitation of public and private buildings including housing; code enforcement; relocation payments and assistance; economic development; planning activities; certain public services with some restrictions; and administrative expenses. The projected use of funds must be developed to ensure that all activities will meet one of the three national objectives described under "OBJECTIVES". Communities receiving CDBG funds from a state may select subgrantees to carry out approved projects. Such subgrantees may include: Neighborhood-based nonprofit organizations; local development corporations; Small Business Investment Companies; or other nonprofit organizations serving the development needs of nonentitlement areas. Grant recipients may provide assistance to for-profit entities when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Communities are restricted from constructing or rehabilitating public facilities for the general conduct of government and from making housing allowances or other income maintenance-type payments.



Each State may use a limited portion of its grant, subject to a matching requirement, to administer the program. Each State may also use a limited portion of its grant, with no matching requirement, to provide technical assistance to local governments and nonprofit program recipients. At least seventy percent of the funds received must benefit low and moderate income persons.

**Applicant Eligibility:**

Forty-nine State governments and the Commonwealth of Puerto Rico receive funds from HUD under this program. The state of Hawaii does not participate and HUD allocates the state's share of funds to the three Hawaii non-entitled counties. Funds are allocated to each state based on a statutory formula. States must distribute the funds to units of general local government in nonentitlement areas.

**Beneficiary Eligibility:**

The principal beneficiaries of CDBG funds are low- and moderate- income persons. For non-metropolitan areas, low- and moderate- income is generally defined as 80 percent of the median income for non-metropolitan areas of the State or of the county, whichever is higher, adjusted for family size. For eligible localities in metropolitan areas, low- and moderate-income is generally defined as 80 percent of the median income for the metropolitan area, adjusted for family size.

**Credentials/Documentation:**

Grantees must certify that they will comply with program requirements specified in 24 CFR Part 91. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States must follow the fiscal requirements contained in 24 CFR 570.489. Each state and non-entitled Hawaii county must submit a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including CDBG. The annual action plan must contain the method by which the State will distribute its CDBG funds.

**Award Procedure:**

HUD will provide funds after the State or non-entitled Hawaii county submits its Consolidated Plan, annual action plan and Certifications.

**Deadlines:**

Nov 15, 2011 to Aug 16, 2012 Consolidated Plans may be submitted between November 15 and August 16 of each fiscal year in which the grantee will administer funds.

**Range of Approval/Disapproval Time:**

HUD will review plan submissions for completeness and consistency with the purposes of the Act, within 45 days of receipt from a grantee.

**Appeals:**

The procedure is described in regulations (24 CFR Part 570 Subpart I for states and 24 CFR Part 570 Subpart O for non-entitlement counties in Hawaii).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Chapter V, Part 570, Subpart A, Public Law 93-383.

Matching Requirements: For state administration of the program, after an initial allowance of \$100,000 with no match, states may take an additional allowance of up to 3% of the grant amount but must match such expenditures on a dollar for dollar basis. There is no matching requirement for the non-entitlement counties in Hawaii.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is provided to States and non-entitlement counties in Hawaii on an

annual basis. Individual States may impose time limitations on the implementation of grants to recipients. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual performance report covering all programs included in the Consolidated Plan as prescribed at 24 CFR 91.520. For Hawaii counties, SF-425 Federal Cash Transactions Report is required. Annual Performance and Evaluation Report details the state's performance in completing activities undertaken with each allocation of funds. Disbursement reports are a standard feature of the Integrated Disbursement and Information System used to access the grantee's line of credit. Program performance monitoring is conducted by field office staff.

**Audits:**

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

**Records:**

Records must demonstrate that the State or non-entitlement county in Hawaii has met the requirements of Title I of the Act.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Formula Grants) FY 11 \$988,810,000; FY 12 est \$882,327,000; and FY 13 est \$882,327,000

**Range and Average of Financial Assistance:**

State grant amounts are determined by formula. Of the 50 grants awarded to states under the State CDBG program in FY 2012, the average (mean) grant amount was \$17,553,064. Grant amounts ranged from \$1,796,093 to \$59,537,991. These totals do not include Hawaii's allocation awarded to its 3 non-entitled counties. Hawaii's share of the 2012 allocation is \$4,673,786.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: no current data available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: no current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 570, 24 CFR Part 91, 24 CFR Part 58.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Field Office listed in Appendix IV of the print edition of this Catalog. Or on the Internet, see: <http://www.hud.gov/local/index.cfm>. Contact the Honolulu Field Office for the non-entitled Hawaii counties.

**Headquarters Office:**

Stephen M. Rhodside 451 Seventh St. SW  
, Washington, District of Columbia 20410 Email:  
[Stephen.m.rhodside@hud.gov](mailto:Stephen.m.rhodside@hud.gov) Phone: 202-402-7375 Fax: 202-708-1798

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/communitydevelopment/programs/stateadmin](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment/programs/stateadmin)

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.231 EMERGENCY SOLUTIONS GRANT PROGRAM**

Emergency Solutions Grants Program

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended, 42 U.S.C. 11371-78.

**OBJECTIVES:**

The ESG program provides funding to: (1) engage homeless individuals and families living on the street; (2) improve the number and quality of emergency shelters for homeless individuals and families; (3) help operate these shelters; (4) provide essential services to shelter residents, (5) rapidly re-house homeless individuals and families, and (6) prevent families and individuals from becoming homeless.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

1) Street Outreach, (2) Emergency Shelter, (3) Prevention, (4) Rapid Re-housing, (5) Data Collection HMIS, (6) Administration: Up to 7.5 percent of a recipient's allocation can be used for general management, oversight, coordination, and reporting on the program.

**Applicant Eligibility:**

Metropolitan cities, urban counties and territories may provide ESG funds to projects operated by units of general purpose local government or private nonprofit organizations. State recipients must provide all of their ESG funds (except for up to 7.5% for administrative costs) to units of general purpose local government or private nonprofit organization subrecipients. ESG funds are paid to recipients, who reimburse subrecipients for eligible project costs. All recipients must consult with local Continuums of Care within the jurisdiction in determining how to allocate ESG funds.

**Beneficiary Eligibility:**

Literally homeless families and individuals, and those at imminent risk of homelessness, or who are fleeing or attempting to flee domestic violence..

**Credentials/Documentation:**

Jurisdictions apply for ESG funds through the Consolidated Plan. This planning document contains and describes the community's homeless assistance needs, details available resources, and sets 3-5 year strategies and provides an annual plan identifying the ESG projects. Plan preparation must include citizen participation and consultation with organizations that serve the homeless or persons at risk of homelessness. Each jurisdiction must submit its Consolidated Plan to the local HUD field office no later than 45 days before the start of its consolidated program year in accordance to the regulations at 24 CFR Part 91. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In addition to meeting the application submission requirements in 24 CFR part 5, subpart K, each State, urban county, or metropolitan city must submit and obtain HUD approval of a consolidated plan in accordance with the requirements in 24 CFR part 91, and each territory must submit and obtain HUD approval of a consolidated plan in accordance with the requirements that apply to local governments under 24 CFR part 91. To be eligible, each grantee HUD-approved Consolidated Plan must contain descriptions of the community's homeless assistance needs, details available resources, and provides a three-to-five year plan and an annual action plan. The annual action plan specifies new projects being funded, along with any revisions in the overall document. Each participating grantee must submit certifications required by HUD.

**Award Procedure:**

The HUD field office reviews the grantee's Consolidated Plan and, if approved, executes a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Consolidated plan is approved by HUD within 45 days of receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: HUD will set aside for allocation to the territories up to 0.2 percent, but not less than 0.1 percent, of the total amount of each appropriation in any fiscal year. The remainder will be allocated to States, metropolitan cities, and urban counties. The percentage allocated to States, metropolitan cities, and urban counties will be equal to the percentage of the total amount available under the Community Development Block Grant for the prior fiscal year. If an allocation to a metropolitan city or urban county would be less than 0.05 percent of the total fiscal year appropriation for ESG, the amount is added to the allocation of the State in which the city or county is located. Metropolitan city and urban county recipients must match grant funds with an equal amount of funds from cash or the following in-kind sources: new staff or volunteer time, the donation of materials and buildings, or the value of any lease on a building. States are exempt from matching the first \$100,000 of their awards, but must provide the benefits of that exemption to their recipient local governments and nonprofit organizations that are least capable of providing the State with matching amounts.

Territories are exempt from the match requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Metropolitan cities, urban counties and territories must obligate all funds, except for the amount for administrative costs, within 180 days after HUD signs the grant agreement, and spend the ESG grant funds within 24 months of grant agreement. States must obligate all funds, except the amount for administrative costs, to subrecipients within 60 days of the date that HUD signs the grant agreement. Each subrecipient must obligate its grant funds within 120 days after the date the State obligates its funds, and spend the entire grant within 24 months of grant award. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each jurisdiction that has an approved consolidated plan shall annually review and report on the progress it has made in carrying out its strategic plan and its action plan. No cash reports are required. This Consolidated Annual Performance Evaluation Report (CAPER) must include a description of the resources made available, the investment of available resources, the geographic distribution and location of investments, the families and persons assisted (including the racial and ethnic status of persons assisted), actions taken to affirmatively further fair housing, and other actions indicated in the strategic plan and the action plan. No expenditure reports are required. The performance report shall be submitted to HUD within 90 days after the close of the jurisdiction's program year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

According a portion of ESG regulations, grantees and recipients must retain records for a minimum of five years from the date of submission of the annual performance report, or for the length defined at 24 CFR Part 576.500.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Formula Grants) FY 11 \$250,000,000; FY 12 est \$286,000,000; and FY 13 est \$286,000,000

**Range and Average of Financial Assistance:**

The .05 percent minimum entitlement allocation resulted in \$125,277 minimum grant in 2011. The maximum entitlement allocation was \$12,461,016. The average grant was \$694,444.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by interim regulations published in the Federal Register on December 5, 2011, at 24 CFR Parts 91 and 576. Guidance on the interim regulations can be found at <http://www.hudhre.info/esg/index.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michael Roanhouse, Office of Special Needs Assistance Programs, Room 7262, Office of Community Planning and Development, Department of Housing and Urban Development, Washington, District of Columbia 20410 Email: Michael.Roanhouse@hud.gov Phone: (202) 708-1226.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/homeless/programs/esg](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/homeless/programs/esg)

**RELATED PROGRAMS:**

14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 97.024 Emergency Food and Shelter National Board Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed ESG projects are part of the prospective grantee's Consolidated Plan, which are reviewed according to criteria set forth in 24 CFR 91.

**14.235 SUPPORTIVE HOUSING PROGRAM**

(Transitional Housing; Permanent Housing for Homeless Persons with Disabilities; Innovative Supportive Housing; Supportive Services for Homeless Persons not in Conjunction with Supportive Housing; Safe Havens; and HMIS.)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, Subtitle C, as amended.

**OBJECTIVES:**

The Supportive Housing Program is designed to promote the development of supportive housing and supportive services to assist homeless individuals and families in the transition from homelessness and to enable them to live as independently as possible. Program funds may be used to provide: (i) transitional housing within a 24-month period as well as up to six months of follow-up services to former residents to assist their adjustment to independent living; (ii) permanent housing provided in conjunction with appropriate supportive services designed to maximize the ability of persons with disabilities to live as independently as possible; (iii) supportive housing that is, or is part of, a particularly innovative project for, or alternative method of, meeting the immediate and long-term needs of homeless individuals and families; (iv) supportive services for homeless individuals not provided in conjunction with supportive housing; (v) safe havens for homeless individuals with serious mental

illness currently residing on the streets who may not yet be ready for supportive services; and (vi) Homeless Management Information Systems (HMIS) for developing management information systems to maintain data on beds, units and homeless individuals.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eight types of assistance may be provided for Supportive Housing: acquisition of structures for use as supportive housing or in providing supportive services; rehabilitation of structures for use as supportive housing or in providing supportive services; new construction of buildings for use as supportive housing under limited circumstances; leasing of structures for use as supportive housing or in providing supportive services; operating costs of supportive housing; costs of providing supportive services to homeless persons; costs of implementing and operating HMIS; and administrative costs not to exceed five percent of the SHP grant.

**Applicant Eligibility:**

States, local governments, other governmental entities, private nonprofit organizations, and community mental health associations that are public nonprofit organizations.

**Beneficiary Eligibility:**

Homeless individuals and families with children.

**Credentials/Documentation:**

Private nonprofit status is documented by submitting either (1) a copy of the Internal Revenue Service (IRS) ruling providing tax-exempt status under Section 501(c)(3) of the IRS Code; or (2) documentation showing that the entity is a certified United Way agency; or (3) a certification from a licensed CPA that no part of the next earnings of the organization inures to the benefit of any member, founder, contributor, or individual; that the organization has a voluntary board; that the organization practices nondiscrimination in the provision of assistance; that the organization has a functioning accounting system. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. One application package prescribing the specific information that applicants must submit is available. The standard application forms as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan and must be permissible under applicable zoning ordinances and regulations.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and prepares a Grant Agreement for those applications selected.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications will take place in HUD Field Offices and at HUD Headquarters, and selection of successful applicants will take place at HUD Headquarters. HUD will make its final selections and obligate funds as soon as the applications can be processed.

**Appeals:**

Applicants may appeal funding decision if they believe a HUD error has occurred.

**Renewals:**

Information on renewals is contained in the Notice of Funding Availability and the application.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** Recipients must match grants for acquisition, rehabilitation, and new construction, with an equal amount of funds from other sources. Recipients must also provide a cash match for support services and operations. The Supportive Housing Program will pay no more than 80 percent of total support service costs, 75 percent of total operating costs or 80 percent of total HMIS costs. Recipients have the responsibility to ensure that the funds that the recipient uses to satisfy HUD's match requirements are not prohibited to be used for this purpose under any statute that may govern the matching funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be made available for up to 3 years for leasing, operating, supportive services and HMIS costs. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each recipient must keep any records and make any reports as specified by HUD within the timeframe required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 45. Private nonprofit entity recipients are subject to the audit requirements of 24 CFR 44. Both 24 CFR Part 44 and 45 stipulate that grant recipients and their subgrantees provide audits in accordance with OMB Circular No. A-133. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must agree to participate in an evaluation of the program, and to keep any records and make any reports that HUD may require for the purpose of reporting to Congress on the cost of the program and the social, financial, and other advantages of supportive housing components as a means of assisting homeless persons.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$1,167,559,198; FY 12 est \$1,184,000,000; and FY 13 est \$1,407,000,000

**Range and Average of Financial Assistance:**

HUD imposes the following limitations: (1) Acquisition and/or rehabilitation construction grants for the Supportive Housing Program may not exceed 200,000 (up to \$400,000 in high cost areas); new construction may not exceed \$400,000; (2) funding of up to 75 percent for operating costs; (3) funding of up to 80 percent for supportive services and HMIS costs; and (4) the program provides grants for leasing costs for up to 3 years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were approximately 6,512 projects in grant funding to assist homeless individuals and families during fiscal year 2011. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 583 published in the Federal Register. Other program information is available from Community Connections at (1-800) 998-9999.

**Regional or Local Office:**

See Regional Agency Offices. Designated contact person for the Supportive Housing Program in HUD Field Offices with a Community Planning and Development Division.

**Headquarters Office:**

Lora D. Rountt Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Lora.D.Rountt@hud.gov Phone: 202-708-1590

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications for assistance are defined in a Notice of Funding Availability in the Federal Register.

**14.238 SHELTER PLUS CARE**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Subtitle F of Title IV of the McKinney-Vento Homeless Assistance Act of 1987 as amended, 42 U.S.C.11403.

**OBJECTIVES:**

The Shelter Plus Care Program provides rental assistance, in connection with supportive services funded from sources other than this program, to homeless persons with disabilities (primarily persons who are seriously mentally ill; have chronic problems with alcohol, drugs, or both, or have acquired immunodeficiency syndrome and related diseases) and their families. The program provides assistance through four components: (1) Tenant-based Rental Assistance (TRA); (2) Sponsor-based Rental Assistance (SRA); (3) Project-based Rental Assistance (PRA); (4) and Single Room Occupancy for Homeless Individuals (SRO).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Homeless persons with disabilities and their families. Homeless persons with disabilities.

**Applicant Eligibility:**

An eligible applicant is a State, unit of general local government, or public housing agency (PHA).

**Beneficiary Eligibility:**

Homeless persons with disabilities and their families. Except in single room occupancy dwellings that are only for homeless individuals with disabilities.

**Credentials/Documentation:**

Governmental entities and public housing agencies will certify to their eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Any site that would have a significant adverse impact on the human environment will not be eligible for funding. All components of this program are excluded from coverage under E.O. 12372. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An electronic application package prescribing the specific information that applicants must submit through the local Continuum of Care (CoC) is available from HUD through the annual CoC Notice of Fund Availability, found at <http://hudhre.info>. The standard electronic application form as furnished by

HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked, in accordance with the Notice of Fund Availability (NOFA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD field offices and Headquarters. HUD Headquarters will make selection and obligate funds as soon as the applications can be processed.

**Appeals:**

Applicants may appeal the results of HUD's review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development and must state what HUD error the applicant believes occurred.

**Renewals:**

One year funding for projects eligible for renewal as contained in the Notice of Fund Availability and application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Recipients must match the rental assistance by supportive services that are equal in value to the aggregate amount of rental assistance and appropriate to the needs of the population to be served.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD will provide rental assistance under the TRA and SRA components for a five year period. Rental assistance under the SRO component will be for a ten-year period. If units are rehabilitated, and meet the standards required, assistance under the PRA component will be for a ten-year period; otherwise it will be for a five-year period. See the following for information on how assistance is awarded/released: HUD award notification letter.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits as stipulated in 24 CFR 45. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must keep any records and make any reports that HUD may require.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$444,351,646; FY 12 est \$450,590,000; and FY 13 est \$520,400,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were approximately 1,383 projects in grant funding to assist homeless individuals and families during fiscal year 2011. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 582 Shelter Plus Care Program Final Rule.

**Regional or Local Office:**

See Regional Agency Offices. Designated contact person or monitor for the Shelter Plus Care Program in HUD Field Offices with a Community Planning and Development Division. Program information may also be obtained from Community Connections at HUD at (1-800)998-9999.

**Headquarters Office:**

Brian Fitzmaurice, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Brian.P.Fitzmaurice@hud.gov Phone: 202-708-1234

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/index.cfm> and <http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.241 Housing Opportunities for Persons with AIDS

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each Notice of Fund Availability.

**14.239 HOME INVESTMENT PARTNERSHIPS PROGRAM**

(HOME Program)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

National Affordable Housing Act 1990, Title II.

**OBJECTIVES:**

To expand the supply of affordable housing, particularly rental housing, for low and very low income Americans; to strengthen the abilities of State and local governments to design and implement strategies for achieving adequate supplies of decent, affordable housing; and to extend and strengthen partnerships among all levels of government and the private sector, including for-profit and nonprofit organizations, in the production and operation of affordable housing.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

For use by participating jurisdictions or Insular Areas for housing rehabilitation, tenant-based rental assistance, assistance to homebuyers, acquisition of housing and new construction of housing. Funding may also be used for other necessary and reasonable activities related to the development of non-luxury housing, such as site acquisition, site improvements, demolition and relocation. Ten percent of a participating jurisdiction's allocation may be used for administrative costs. Funds may not be used for public housing modernization, matching funds for other Federal programs, reserve accounts or operating subsidies for rental housing, Annual Contributions Contracts, or activities under the Low Income Housing Preservation Act except for priority purchasers.

**Applicant Eligibility:**

States, cities, urban counties, and consortia (of contiguous units of general local governments with a binding agreement) are eligible to receive formula allocations; funds are also set aside for grants to Insular Areas.

**Beneficiary Eligibility:**

For rental housing, at least 90 percent of HOME funds must benefit low and very low income families at 60 percent of the area median income; the remaining ten percent must benefit families below 80 percent of the area median. Assistance to homeowners and homebuyers must be to families below

80 percent of the area median.

**Credentials/Documentation:**

Specific requirements of 24 CFR Part 85 apply to participating jurisdictions, State recipients and any governmental subrecipient receiving HOME funds. OMB Circular No. A-122 and specific requirements of 24 CFR Part 84 apply to nonprofit subrecipients which are not governmental. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit a Consolidated Plan, an annual action plan and certifications to HUD. The Consolidated Plan and annual action plan cover four major formula-distribution HUD community development programs, including HOME. The annual action plan must describe how the funds will be used.

**Award Procedure:**

The responsible HUD Field Office notifies grantees of the formula awards. HUD prepares the grant agreement for formula applicants.

**Deadlines:**

Nov 15, 2012 to Aug 16, 2014 Action plans should be submitted to HUD at least 45 days before the start of the program year. In no event will HUD accept a submission earlier than November 15 or later than August 16 of the federal fiscal year for which funds are allocated.

**Range of Approval/Disapproval Time:**

HUD will review for completeness and consistency with the purposes of the Act, within 45 days of receipt from a jurisdiction.

**Appeals:**

Formula allocations may not be appealed.

**Renewals:**

Every fifth year, localities submit a Consolidated Plan. Each year jurisdictions must submit an action plan and certifications.

**Formula and Matching Requirements:**

Statutory Formula: Title HOME Investment Partnership Program, Chapter 24, Part 92, Subpart A-M. The formula is a system of factors established to reflect a jurisdiction's need for an increased supply of affordable housing for low and very low income families. Designed by HUD to meet statutory criteria, it is based on a jurisdiction's inadequate housing supply, substandard housing, the number of low-income households in housing units likely to be in need of rehabilitation, the cost of producing housing, poverty, and the relative fiscal incapacity of the jurisdiction to carry out housing activities without federal assistance. Each jurisdiction must make matching contributions for affordable housing throughout a fiscal year in an amount not less than 25 percent of the HOME funds drawn from the U.S. Treasury during the federal fiscal year for projects. Jurisdictions in fiscal distress receive full or partial (50 percent) relief from this requirement.

Matching Requirements: Percent: 25.%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant funds are drawn down from the U. S. Treasury based upon individual project development progress. The HOME program uses an electronic fund transfer disbursement and information system. Once drawn down, funds must be expended within fifteen days. All funds must be committed within 24 months and expended within 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial management and annual performance reports. No cash reports are required. No progress reports are required. No expenditure reports are required. Annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records which enable HUD to determine whether the participating jurisdiction has met the requirements of the program must be kept for the most recent five year period. Those records required to document the period of affordability must be maintained for five years beyond the required period.

**Account Identification:**

86-0205-0-1-604.

**Obligations:**

(Formula Grants) FY 11 \$1,590,712,200; FY 12 est \$1,000,000,000; and FY 13 est \$1,000,000,000 - (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.).

**Range and Average of Financial Assistance:**

\$157,732 to \$60,338,441; \$1,557,175.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 51,267 units completed; 15,683 tenant-based rental assistance units. Fiscal Year 2012: est. of 43,387 units completed; est. of 10,550 units of tenant-based rental assistance. Fiscal Year 2013: est. of 43,387 units completed; est. of 10,550 units of tenant-based rental assistance.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 92.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Virginia Sardone 451 7th Street, S.W. room 7164, Washington, District of Columbia 20410 Email: Virginia.Sardone@hud.gov Phone: 202-708-2685 Fax: 202-708-1744

**Website Address:**

<http://www.hud.gov/homeprogram/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.241 HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS (HOPWA)**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

AIDS Housing Opportunity Act, 42 U.S.C. 12901 et seq., Title 24, Part 574.

**OBJECTIVES:**

To provide States and localities with the resources and incentives to advance the National HIV/AIDS Strategy by devising long-term comprehensive strategies for meeting the housing needs of low-income persons and their families living with AIDS.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grantees and project sponsors may use HOPWA funds to provide for any of the following eligible activities, subject to certain standards and limitations provided in the regulations: 1) acquisition, rehabilitation, conversion, lease,

and repair of facilities to provide housing and services; (2) new construction (for single room occupancy (SRO) dwellings and community residences only); (3) operating costs for housing facilities, including maintenance, security, operation, insurance, utilities, furnishings, equipment, supplies, and other incidental costs; (4) project or tenant-based rental assistance, including assistance for shared housing arrangements; (5) short-term rent, mortgage, and utility payments to prevent homelessness; (6) permanent housing placement to assist beneficiaries receiving rental assistance with the security deposits, first months rent and utility hook-up costs; (7) housing information services including, but not limited to, counseling, information, and referral services to assist eligible individuals and their families locate, acquire, finance, and maintain housing; (8) resource identification to establish, coordinate and develop housing assistance resources; (9) supportive services and case management including, mental health, drug and alcohol abuse treatment and counseling, day care, nutritional services, etc.; (10) technical assistance in establishing and operating a community residence, including planning and other pre-development or pre-construction expenses; and (11) administrative costs for general management, oversight, coordination, evaluation and reporting on eligible activities (grantees can use not more than three percent of the grant amount for its administrative expenses and project sponsors can use not more than seven percent of its grant award).

Additional program requirements: Appropriate supportive services are to be provided as part of any HOPWA assisted housing in order to ensure and promote the housing stability of program beneficiaries. General standards for housing activities are established, including minimum use periods for structures (ten years for new construction, substantial rehabilitation or acquisition and three years for other non-substantial rehabilitation or repair). Resident rent payments are required of program beneficiaries for rental assistance. Program beneficiaries must be low-income and living with HIV/AIDS.

**Applicant Eligibility:**

(1) Entitlement grants are awarded by formula to States and qualifying cities for eligible metropolitan statistical areas (EMSAs) with the largest number of cases of AIDS. The most populous city will serve as the applicant/grantee for the EMSAs award; and (2) competitively awarded grants may be awarded to: (a) States, local governments and nonprofit organizations for special projects of national significance; and (b) projects submitted by States and localities in areas that do not qualify for HOPWA formula allocations. Nonprofit organizations are eligible to apply for projects of national significance, but may also serve as a project sponsor to formula grantees. As required by the Appropriations Acts, HUD gives priority to the renewal of expiring permanent supportive housing projects.

**Beneficiary Eligibility:**

Eligible beneficiaries are low income ( at or below 80% the area median income) persons and their families living with HIV/AIDS.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circulars Nos. A-87 and A-102 for State and local governments, and Nos. A-110 and A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All HOPWA formula grantees must submit a Consolidated Plan and an Annual Action Plan that includes a comprehensive AIDS housing strategy that identifies and outlines how a community has identified local housing needs and how these federal resources will be targeted to address these local priorities. The Consolidated Plan and Annual Action Plan requirements are applicable for each of HUD's Community Planning and Development program, including HOPWA.

HOPWA funding requirements for expiring permanent supporting housing renewal grants are published through a HUD Notice that is issued annually (HUD's Appropriations Acts authorizes the Secretary to renew all expiring

contracts for permanent supportive housing that were funded under section 854(c)(3) of AIDS Housing Act that meet all program requirements before awarding funds for new competitive grant applications). Funding announcements for new competitive grants and for technical assistance activities under the OneCPD Technical Assistance Transformation Initiative are published in the Department's SuperNOFA (Notice of Funding Availability).

**Award Procedure:**

HUD field offices are delegated responsibility for approving annual grantee Consolidated Plan and Annual Action Plan submissions as a condition for receiving annual formula funding. HUD executes a grant agreement outlining grant conditions and terms for both HOPWA formula and competitive grant recipients. HUD executes a cooperative agreement with technical assistance grant recipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

HUD issues an annual Notice that solicits applications for expiring permanent supportive housing renewal grant applications. Application deadlines vary during the fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title Formula Allocations, Subpart B - Formula Entitlements. Eligible States and qualifying cities are awarded HOPWA formula grants upon the submission and approval of a Consolidated Plan, pursuant to 24 CFR Part 91.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant funds should be expended in a timely manner or may be subject to deobligation. Grant funding should be expended within a three period from the date of the executed grant agreement. Program requirements provide competitive grants with the allowance of a one year extension, if approved by HUD. Method of awarding/releasing assistance: lump sum.

**Reports:**

Formula grantees are required to submit a Consolidated Plan and an Annual Action Plan that outlines how HOPWA program resources are to be targeted to address the housing needs of individuals and their families living with HIV/AIDS. No cash reports are required. HOPWA formula and competitive grantees are required to submit annual performance reports. The Consolidated Annual Performance and Evaluation Report (CAPER) is required of formula grantees and provides annual performance reporting on households served that enables an assessment of grantee performance in promoting the housing stability of program beneficiaries. The CAPER, in conjunction with the Integrated Disbursement Information System (IDIS), fulfills statutory and regulatory program reporting requirements. Starting in Fiscal year 2012 grantees will utilize IDIS for Performance and Financial Reports.

The Annual Progress Report (APR) is required of competitive grantees and provides annual performance reporting and provides more detailed reporting on households served that enables an assessment of grantee performance in promoting the housing stability of program beneficiaries. Expenditure reports are not applicable. HUD Field Offices conduct annual risk assessments of all program grantees to identify and target programs. Competitive grantees will began utilizing IDIS for Financial Annual Progress Reports transaction in FY2012 based upon their next renewal cycle. Expenditure reports are not applicable. HUD field offices conduct annual risk assessments of all program grantees to identify and target program compliance monitoring to be conducted during the federal fiscal year. Competitive grantees will began utilizing IDIS for financial transactions and reporting in FY2012 based upon their next renewal cycle. Expenditure reports are not applicable. HUD field offices

conduct annual risk assessments of all program grantees to identify and target program compliance monitoring to be conducted during the federal fiscal year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OMB Circular A-133 Section 220 outlines the standards for the frequency of audits which should be performed annually, unless the grantee's project sponsor is a state or local government that is required by constitution or statute to conduct a biennial audit.

Auditees shall comply with 24 CFR 85 (for governmental units) or Part 84 for private non-profit organizations.

**Records:**

HOPWA grantees must ensure that program records are maintained for a four-year period to document compliance with program requirements. Grantees must maintain current and accurate data on the race and ethnicity of program participants.

**Account Identification:**

86-0308-0-1-604.

**Obligations:**

(Formula Grants) FY 11 \$330,986,700; FY 12 est \$332,000,000; and FY 13 est \$330,000,000 - HOPWA FY2011 appropriation: \$330,986,700 (formula allocation of \$297,888,030 and competitive allocation of \$33,098,670); FY2012 appropriation: \$332,000,000 (formula allocation of \$298,800,000 and competitive allocation of \$33,200,000); and FY2013 appropriation (est.): \$330,000,000 (formula allocation of \$297,000,000 and competitive allocation of \$33,000,000). All above is comments in Mary Didier's 080312 email.

**Range and Average of Financial Assistance:**

HOPWA formula grant awards:

In FY2011, 124 HOPWA formula grantees received an average grant award amount of \$2,402,322 (New York City received the largest allocation of \$55,968,315 and the State of Utah received the smallest allocation of \$127,715). In FY2012, 125 HOPWA formula grantees received an average award amount of \$2,390,000 (New York City received the largest allocation of \$54,245,344 and the State of Utah received the smallest allocation of \$129,216). In FY2013, the projected 125 HOPWA formula grantees will receive an estimated average award amount of \$2,376,000.

HOPWA competitive grant awards:

In FY2011, 26 permanent supportive housing renewal grants received an average grant award amount of \$1,081,229. In addition, 7 Special Projects of National Significance received an average award amount of \$1,268,686. In FY2012, 28 permanent supportive housing renewal grants were awarded with an average award amount of \$1,185,714. In FY2013, the estimated 30 eligible permanent supportive housing renewal grants will receive an average grant award amount of \$1,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY2011, 60,031 low-income households received HOPWA housing assistance (25,656 households received permanent supportive housing and 35,275 households received transitional/short-term assistance). Fiscal Year 2012: For FY2012, it is estimated that 58,750 low-income households will receive HOPWA housing assistance (24,000 households receiving permanent supportive housing and 34,750 households with transitional/short-term assistance). Fiscal Year 2013: For FY2013, it is estimated that 56,400 low-income households will receive HOPWA housing assistance (24,500 households with permanent supportive housing and 31,900 households with transitional/short-term assistance).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final Rule at 24 CFR 574, as amended; and Consolidated Plan Final Rule at 24 CFR part 91.

**Regional or Local Office:**

None. Designated Community Planning and Development staff in HUD Headquarters and in local field offices as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Will Rudy 451 7th Street, SW Room 7212, Washington, District of Columbia 20410 Email: william.g.rudy@hud.gov Phone: 202-402-1934 Fax: 202-402-9313

**Website Address:**

<http://www.hud.gov/offices/cpd/aidshousing>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants, the Department's NOFA (Notice of Funding Availability) establishes the rating criteria and factors governing the submission of grant applications.

**14.247 SELF-HELP HOMEOWNERSHIP OPPORTUNITY PROGRAM**

(Self-Help Homeownership Opportunity Program-SHOP)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Opportunity Extension Act of 1996, Section 11, as amended.

**OBJECTIVES:**

To facilitate and encourage innovative homeownership opportunities through the provision of self-help housing where the homebuyer contributes a significant amount of sweat equity toward the construction of the dwellings.xxx.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible expenses for program funds are land acquisition and infrastructure improvements, which taken together may not exceed an average of \$15,000 in assistance per dwelling. Additionally, up to 20 percent of the grant amount may be used for administrative costs.

**Applicant Eligibility:**

Funds are awarded competitively to national or regional nonprofit organizations or consortia that have experience in providing self-help housing homeownership opportunities.

**Beneficiary Eligibility:**

Eligible homebuyers are low-income families who are otherwise unable to afford to purchase a dwelling, and who provide significant amounts of sweat equity or volunteer labor to the development of the dwellings.

**Credentials/Documentation:**

This program is subject to the provisions of 24 CFR part 84 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure: Applications may be submitted electronically in response to the annual publication of the SHOP NOFA in the Federal Register. The General Section of the NOFA and SHOP NOFA detail the submission requirements.

**Award Procedure:**

Based upon the requirements published in the Federal Register NOFA,



respondents are notified of acceptance or rejection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Leveraging of other public and/or private resources and homebuyer sweat equity and volunteer labor are required to complete housing construction.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is released on an as-needed basis over a 24-month period. For affiliates that develop 5 or more dwellings units, up to a 36-month period. See the following for information on how assistance is awarded/released:

Assistance is released on an as-needed basis.

**Reports:**

Quarterly and annual progress reports on construction and expenditures; as well as, final close-out reports. No cash reports are required. Quarterly and annual reports on construction and expenditure progress. Quarterly and annual progress reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The audit requirements in 24 CFR Part 45 (implementing OMB Circular No. A-133) apply.

**Records:**

All records applicable to the program must be kept for three years following close-out.

**Account Identification:**

86-0176-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$26,676,540; FY 12 est \$13,500,000; and FY 13 est \$0 - (NOTE: Amounts reported reflect allocation of new budget authority rather than obligation amounts.).

**Range and Average of Financial Assistance:**

Four grants were awarded with FY 2011 funds. They ranged from \$700,050 to \$14,664,239. The average grant was \$6,669,135.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1,119 units were completed. Fiscal Year 2012: An estimated 720 units to be completed. Fiscal Year 2013: This program is not projected to be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The statute and SHOP NOFA constitute the regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ginger Macomber 451 7th Street, S.W., Washington, District of Columbia 20410 Email: Ginger.Macomber@hud.gov Phone: 202-708-2684 Fax: 202-708-1744

**Website Address:**

<http://www.hud.gov/offices/cpd/affordablehousing/programs/shop/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to the rating factor requirements set forth in the SHOP NOFA.

**14.248 COMMUNITY DEVELOPMENT BLOCK GRANTS\_SECTION 108 LOAN GUARANTEES**

(Section 108)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974, as amended, Title 24, Part 570, Section Subpart M.

**OBJECTIVES:**

To provide communities with a source of financing for economic development, housing rehabilitation, public facilities, and large scale physical development projects.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

For purposes of determining eligibility, the Community Development Block Grant (CDBG) rules and requirements apply. As with the CDBG program, all projects and activities must either principally benefit low- and moderate-income persons, aid in the elimination or prevention of slums and blight, or meet urgent needs of the community.

**Applicant Eligibility:**

Eligible Applicants include: metropolitan cities and urban counties, i.e., CDBG entitlement recipients; nonentitlement communities that are assisted in their submission of applications by States that administer the CDBG program; nonentitlement communities eligible to receive CDBG funds under the HUD-Administered Small Cities CDBG program; and Insular Areas (American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands). The public entity may be the borrower or it may designate a public agency to be the borrower. Furthermore, HUD's FY 2012 appropriations act continues HUD's authority to provide loan guarantees to States borrowing on behalf of local governments in nonentitlement areas.

**Beneficiary Eligibility:**

The principal beneficiaries are low and moderate income persons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication Coordination: Preapplication requirements are found in 24 CFR Section 570.704. Presubmission requirements are similar to those applicable for the Community Development Block Grants program. Proposed activities must be consistent with a unit of local government's Consolidated Plan submitted for HUD's Community Planning and Development Programs. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Application requirements are found in 24 CFR Section 570.704.

**Award Procedure:**

Upon approval of an application, HUD will issue to the applicant an offer of commitment to guarantee notes or other obligations issued by the applicant or its public agency designee. The commitment will be subject to compliance with applicable requirements and such conditions as HUD may specify in the commitment document. Furthermore, borrowers are required to pledge current and future CDBG funds as security for the loan guarantee. HUD also requires that the loan guarantee be secured with other collateral.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 75 days from submission of complete application to appropriate HUD Field Office.

**Appeals:**

Not Applicable.

**Renewals:**

N/A.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum repayment period for a Section 108 loan is twenty years. Repayment schedules and forms are negotiable. See the following for information on how assistance is awarded/released: Loans funds are advanced under promissory notes or other obligations guaranteed by HUD.

**Reports:**

Consolidated Annual Performance Evaluation Report. Recipients are required to submit reports on cash balances, receipts, and disbursements of guaranteed loan funds and pledged amounts. No progress reports are required.  
Consolidated Performance Annual Performance Evaluation Report. Grantee must report performance outcomes.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The record keeping requirements of Subpart J of 24 CFR Part 570 apply to entitlement public entities receiving grants under Subpart F of 24 CFR Part 570.  
The record keeping requirements of Subpart I of 24 CFR Part 570 apply to State-assisted public entities.

**Account Identification:**

86-0198-0-1-451.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$277,558,000; FY 12 est \$240,000,000; and FY 13 est \$500,000,000

**Range and Average of Financial Assistance:**

In FY 2011 commitments were issued in amounts ranging from \$500,000 to \$30,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 7,306 jobs. Fiscal Year 2012: 4,800 jobs. Fiscal Year 2013: 7,000 jobs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 570 Subpart M.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Paul D. Webster, 451 7th Street, SW Room 7180, Washington, District of Columbia 20410 Email: paul.webster@hud.gov Phone: (202) 708-1871 Fax: (202) 708-1798.

**Website Address:**

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/>.

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed against criteria set forth at 24 CFR 570.704.

**14.249 SECTION 8 MODERATE REHABILITATION SINGLE ROOM OCCUPANCY**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended.

**OBJECTIVES:**

The Section 8 Moderate Rehabilitation Single Room Occupancy Program provides rental assistance to homeless individuals. Under the program, HUD enters into Annual Contributions Contracts with public housing agencies (PHAs) in connection with the moderate rehabilitation of residential properties that, when rehabilitation is completed, will contain multiple single room dwelling units.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Homeless (single) individuals.

**Applicant Eligibility:**

An eligible applicant is a PHA or private nonprofit organization. Private nonprofits have to contract with a PHA to administer the rental assistance.

**Beneficiary Eligibility:**

Homeless individuals.

**Credentials/Documentation:**

Private nonprofit organizations and public housing agencies will certify to their eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Any site that would have a significant adverse impact on the human environment will not be eligible for funding. All components of this program are excluded from coverage under E.O.12372. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application package prescribing the specific information that applicants must submit is available from HUD through the annual Continuum of Care Notice of Fund Availability. The standard application form as furnished by HUD must be used for this program. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD field offices and Headquarters, HUD Headquarters will make selection.

Funds, however, will not be obligated until the technical submission is approved.

**Appeals:**

Applicants may appeal the results of HUD's review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development and must state what HUD error the applicant believes has occurred.

**Renewals:**

On an annual basis, dependent on fund availability.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the SRO Program, an 11-year Annual Contribution Contract (ACC) is signed by the PHA with HUD. After the ACC is signed, the PHA and owner sign an AHAP and the owner has 12 months from the date of ACC execution to complete rehabilitation on the project. Once the rehabilitation is completed and the PHA inspects the units to ensure compliance with HUD's physical condition standards (PCS), a 10-year Housing Assistance Payments (HAP) Contract is signed between the PHA and project owner. See the following for information on how assistance is awarded/released: HUD award notification letter.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 44. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must keep any records and make any reports that HUD may require.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$9,569,144; FY 12 est \$9,600,000; and FY 13 est \$9,600,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were approximately 3 projects in grant funding to assist homeless individuals and families during fiscal year 2011. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 882, Subpart H Section 8 Moderate Rehabilitation Single Room Occupancy Program for Homeless Individuals, as well as 24 CFR, Part 5, Subparts A, E and F. Program information also available from Community Connections at HUD at (1-800) 998-9999.

**Regional or Local Office:**

See Regional Agency Offices. Designated contact person or monitor for the Section 8 SRO Program in the HUD Field Offices with a Community Planning and Development Division (see Appendix IV of the Catalog for a listing of HUD Field Offices).

**Headquarters Office:**

Brian Fitzmaurice, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Brian.P.Fitzmaurice@hud.gov Phone: 202-708-1234

**Website Address:**

<http://www.hud.gov/offices/cpd/homeless/programs/sro/index.cfm>  
<http://www.hudhre.info>. The hudhre website provides additional detailed instructions on eligibility and process.

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed under each Notice of Fund Availability.

**14.252 SECTION 4 CAPACITY BUILDING FOR COMMUNITY DEVELOPMENT AND AFFORDABLE HOUSING****FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

HUD Demonstration Act of 1993, Section 4, Public Law 103-120, 107 Stat. 1148, 42 U.S.C 9816 note.

**OBJECTIVES:**

To provide grants to national community development intermediaries to enhance the capacity and ability of community development corporations and community housing development organizations to carry out community development and affordable housing activities that benefit low-income families and persons.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Five organizations, as specified in the authorizing legislation and amendment, are eligible: Living Cities/The National Community Development Initiative, Enterprise Community Partners, Inc. (formerly The Enterprise Foundation), Local Initiatives Support Corporation, Habitat for Humanity International and YouthBuild USA. Current appropriations laws have limited participation to Enterprise Community Partners Inc., Local Initiatives Support Corporation, and Habitat for Humanity International. The grantees may use the grant for one or more of the following activities relating to capacity building for affordable housing and community development: (1) Training, education, support, and advice to enhance the technical and administrative capabilities of community development corporations (CDCs) and community housing development organizations (CHDOs); (2) Loans, grants, development assistance, predevelopment assistance, or other financial assistance to CDCs and CHDOs to carry out community development and affordable housing activities that benefit low-income families and persons; and (3) Such other activities as may be determined by the grantees in consultation with the Secretary or his designee.

**Applicant Eligibility:**

Five organizations, as specified in the authorizing legislation and amendment, are eligible: Living Cities/The National Community Development Initiative, Enterprise Community Partners, Inc. (formerly The Enterprise Foundation), Local Initiatives Support Corporation, Habitat for Humanity International and

YouthBuild USA. Current appropriations laws have limited participation to Enterprise Community Partners Inc., Local Initiatives Support Corporation, and Habitat for Humanity International.

**Beneficiary Eligibility:**

Community Development Corporations and Community Housing Development Organizations.

**Credentials/Documentation:**

This program is subject to the provisions of 24 CFR Part 84 (Uniform Administrative Requirements), OMB Circular A-122 (Cost Principles for Nonprofit Organizations), and OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations). After selection for funding but prior to award, applicants must submit financial and administrative information and certifications to comply with applicable requirements. Applicants also must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicant's financial management system meets prescribed standards for fund control and accountability. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications may be submitted in response to the annual publication of the Capacity Building Notice of Funding Availability (NOFA) in the Federal Register. The Annual General Section to HUD's NOFA for Discretionary Programs and the Capacity Building for Community Development and Affordable Housing NOFA detail the submission requirements. There is no application kit.

**Award Procedure:**

Based upon the requirements published in the Federal Register NOFA, respondents are notified of acceptance or rejection. Upon selection, the applicant and HUD shall negotiate and execute a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Each dollar awarded must be matched by three dollars in cash or in-kind contributions obtained from private sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The performance period for the capacity building grants is 4 years. Funds must be expended within 4 years of the grant start date. See the following for information on how assistance is awarded/released: Funds are available for draw from a line of credit control system.

**Reports:**

Grantees are required to submit semi-annual and annual performance reports and quarterly Federal Financial Reports (SF425), as well as a final closeout report at the end of the grant.. SF425. Semi-annual and annual performance reports. SF425. HUD conducts on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees and sub grantees shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) .

**Records:**

All records applicable to the program must be kept for 3 years following closeout.

**Account Identification:**

86-0405-0-1-451 - Code for FY 12; 86-0176-0-1-604 - Code for FY 10 and FY 11.

**Obligations:**

(Project Grants) FY 11 \$98,951,000; FY 12 est \$35,000,000; and FY 13 est \$35,000,000

**Range and Average of Financial Assistance:**

For Fiscal Year 2012 the grant allocations ranged from \$4,145,958 to \$15,649,313 among three grantees.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: During FY 2011, there were 7,689 homes renovated, preserved or newly constructed, 600 trainings conducted and approximately \$1.3 billion in total development costs. Fiscal Year 2012: In 2012, it is projected there will be 900 trainings, 7,000 homes renovated, preserved or newly constructed, and that the total development cost estimate of community development projected funded by CDCs will be \$1 billion. Fiscal Year 2013: In 2013, it is projected there will be 1,000 training opportunities, 8,000 homes renovated, preserved or newly constructed, and that over \$1 billion in total development costs will be channeled to low income communities in more than 250 communities nationwide.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tasleem Albaari 451 7th Street, SW, Room 7228  
, Washington, District of Columbia 20410 Email: Tasleem.Albaari@hud.gov  
Phone: (202) 402-7346

**Website Address:**

<http://www.hud.gov/offices/cpd/about/capacitybuilding.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed according to the rating factor requirements set forth in the Capacity Building for Community Development and Affordable Housing NOFA and the General Section to HUD's NOFAs for Discretionary Programs.

**14.259 CPD'S TRANSFORMATION INITIATIVE TECHNICAL ASSISTANCE**

One CPD Integrated Practitioner Assistance System (OneCPD) and Core Curricula for Skills-based Training

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Department of Housing and Urban Development Appropriations Act, 2010, Public Law 112-55.

**OBJECTIVES:**

Under HUD's Transformation Initiative at HUD, the approach to technical assistance, capacity building and the organization of the TA delivery system itself has been fundamentally changed. The new TA structure called OneCPD,

will provide grantees with a single cross-program, results-focused demand-response delivery system driven by local needs and administered directly from HUD Headquarters. All CPD programs and grantees are covered under OneCPD, including: HOME Investment Partnerships and Community Housing Development Organizations (HOME/CHDO), the National Housing Trust Fund, Community Development Block Grant (CDBG), Housing Opportunities for Persons with AIDS (HOPWA), Continuum of Care, Rural Housing Stability Program, Emergency Solutions Grant Program, Economic Development and Rural Housing Development. The purpose of OneCPD TA is to provide state and local government and nonprofit recipients of federal community development, affordable housing, and special needs funding with the technical and capacity building assistance needed to successfully carry out CPD programs. The Core Curricula for Skills-based Training will ensure that grantee staff for all of HUD's programs will have the necessary skills and qualifications to successfully carry out their responsibilities. The purpose of the HUD Core Curricula for Skills-Based Training is to develop and deliver training courses and seminars to improve the core skills of grantee staff in areas common to many HUD programs. Awardees will work closely with HUD staff to address the skills-based training needs of PIH, CPD, and Housing grantees and their program partners. Eligible applicants seeking funding to provide assistance under both OneCPD and Core Curricula Training programs must submit a separate application for each.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All successful applicants must operate within the structure of the demand-response system. Under the demand-response system, HUD identifies technical assistance and capacity building needs and prioritizes them based on Departmental, programmatic and jurisdictional priorities. HUD is solely responsible for determining the entities to be assisted, the location, and the nature of the assistance to be provided.

**Applicant Eligibility:**

Eligible OneCPD Applicants

- A state or unit of general local government;
- A HOME program participating jurisdiction (PJ);
- A public housing authority;
- A public or private nonprofit organization or intermediary, including educational institutions and area-wide planning organizations; or Indian tribes; and
- For-profit organizations.

Core Curricula For Skills-based Training - Eligible Applicants

- Public or private nonprofit organizations or intermediaries, including educational institutions and area-wide planning organizations; and
- For-profit organizations.

**Beneficiary Eligibility:**

Awardees tasked to provide technical assistance to HOME and/or CHDO grantees must have at least one certified HOME Program Specialist who has passed the Regulations Training exam with a score of 80 or higher available to conduct the work, unless HUD determines that a HOME Program Specialist is not necessary.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants are required to submit a one-page application summary cover page with the application. The requested funding amount should be based on the number of available staff, the range and quality of their skills and knowledge, and the ability of the applicant to manage these resources to successfully execute multiple TA or capacity building

engagements involving several covered programs simultaneously over a two- to three-year period; and the geographic coverage area of TA or capacity building assistance proposed by the applicant (i.e., national, specific regions and/or specific states).

Applications submitted through <http://www.grants.gov> must be received by Grants.gov no later than 11:59:59 pm eastern time on the application deadline date.

**Award Procedure:**

HUD will send written notifications to both successful and unsuccessful applicants. A notification sent to a successful applicant is not an authorization to begin performance. Upon notification that an applicant has been selected for award, HUD will request additional information to be submitted or may work with the applicant to amend information that was already submitted as part of the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Annual applications are required for new funding.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. No matching funds are required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be for a period of 36 months. See the following for information on how assistance is awarded/released: After selection for funding but prior to award, applicants must submit financial and administrative information to comply with applicable requirements. These requirements are found in 24 CFR part 84 for all organizations, except states and local governments whose requirements are found in 24 CFR part 85. Cost principles requirements are found at OMB Circular A-122 for nonprofit organizations, OMB Circular A-21 for institutions of higher education, OMB Circular A-87 for states and local governments, and at 48 CFR 31.2 for commercial organizations. Applicants must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicants financial management system meets prescribed standards for fund control and accountability.

**Reports:**

Awardees will be required to report to the GTM and GTR no less often than quarterly unless otherwise specified in the cooperative agreement. Awardees will be required to report to the GTR no less often than quarterly unless otherwise specified in the cooperative agreement. Quarterly reports and work plans must be approved. Detailed budget and expense reports are required consistent with established work plans. The GTR and GTM will review materials and training evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records which enable HUD to determine whether the grantee has met the requirements for the program and cooperative agreement.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 11 \$23,595,000; FY 12 est \$45,945,000; and FY

13 est \$650,000

**Range and Average of Financial Assistance:**

The Range is between \$500,000 and \$8,909,415. The average is \$4,252,691.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FY2012 Appropriations Act (Public Law 112-55).

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Contact appropriate HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Julie Hovden 451 7th Street, SW  
, Washington, District of Columbia 20410 Email: julie.d.hovden@hud.gov  
Phone: (202) 402-4496

**Website Address:**

<http://www.hud.gov/offices/cpd/affordablehousing/programs/home/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.260 VETERANS HOMELESSNESS PREVENTION DEMONSTRATION PROGRAM**

Veterans Homelessness Prevention Demonstration Program (VHPD)

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriations Act of 2009.

**OBJECTIVES:**

The Veterans Homelessness Prevention Demonstration Program (VHPD) is to explore ways for the Federal Government to offer early intervention homelessness prevention, primarily to veterans returning from wars in Iraq and Afghanistan. The authorizing statutory language for the VHPD acknowledges the increasing number of female veterans, veterans with families especially with a single head of household, as well as those from the National Guard and Reserve who are being discharged from the military and whose unique needs should be more closely examined. It is anticipated that this demonstration program will provide an opportunity to understand the unique needs of this new cohort of veterans, and will support efforts to identify, reach, and assist them to regain and maintain housing stability.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding may be used for short-term housing assistance, including security deposits, up to 18 months of rent assistance, rental and/or utility arrearages, or related housing assistance. Grantees may also use funding for appropriate services for veterans and their families, including, but not limited to, child care, family services and case management. The grantee may stop the VHPD assistance to a program participant who violates program requirements. Grantees may resume assistance to a program participant whose assistance was previously suspended. In terminating assistance to a program participant, the grantee must provide a formal process that recognizes the rights of individuals receiving assistance to due process.

**Applicant Eligibility:**

HUD allows grantees significant discretion in program design and operations while targeting those who are most in need of homelessness prevention housing assistance.

**Beneficiary Eligibility:**

Veterans and veterans with families at risk of homelessness or experiencing short-term (less than 90 days) homelessness.

**Credentials/Documentation:**

The CoC selected for the demonstration must accept or decline the invitation to participate. Upon acceptance the CoC must submit a plan which describes the process used to select the grantee to carry out the demonstration project. Selected grantees must be part of the CoC. A HUD form SF-424 signed by the grantee must be submitted with the CoC plan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Grantees will be collaborating with the Department of Veterans Affairs and the Department of Labor representatives on the local level to identify program participants and provide services and financial housing assistance. HUD was authorized by Congress to design the VHPD Program and to select the sites. A competition was not required. The selected CoCs are responsible for identifying grantees that have the requisite VA/DOL experience to carry out the demonstration. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The grant will be made by means of a grant agreement executed by HUD Headquarters staff and the selected entity. The selected entity will receive three copies of the grant agreement that must be signed and returned to HUD Headquarters within 15 days of the date postmarked. Within 90 days of the date that the grant agreement is signed for each selected grantee, HUD Headquarters will conduct a series of conference calls to assist grantees in fully developing their plans for carrying out the demonstration, and to discuss the proposed program evaluation design with grantees.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

While most funds should be expended prior to the expiration of the grant, all funds must be drawn down within 90 days of the expiration of the grant term. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees are required to report client level data in a Homeless Management Information System (HMIS) or a comparable database. Each grantee must also submit quarterly performance reports the first of which must cover the period between the grant agreement execution date and 3 months following that date. Finally, grantees must participate in an evaluation of the demonstration and submit reports as requested by HUD. To the extent possible, the evaluation will measure the effectiveness of the prevention assistance delivered through this demonstration program, including outcomes related to housing stability, earnings/employment, and access to needed health services. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each grantee must keep any records and make any reports (including those pertaining to race, ethnicity, gender, and disability status data) that HUD may require within the time frame required.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$10,750,000; FY 12 est \$0; and FY 13 est \$0 - (Project Grants) FY 2011 - obligated \$10,740,256. In addition to the \$10 million that was appropriated in 2009 for HUD to carry out this demonstration project, another \$740,256 was obligated for evaluation of the project; Using this one time appropriation, the project began operating in February of 2011 and will expire in January 30, 2014.

**Range and Average of Financial Assistance:**

For fiscal year 2009, the mean average allocation was \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were five (5) projects in grant funding to assist homeless and at-risk veterans with families during the fiscal year 2011. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Act allocates \$10 million to HUD for the purpose of conducting a demonstration program that addresses and researches homelessness prevention among veterans and their families, and specifies the actions that HUD should take in implementing and administering this demonstration program. HUD is directed to coordinate with VA and DOL to test the effectiveness of strategies to prevent veterans from becoming homeless.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Robyn Raysor, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7262, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Robyn.S.Raysor@hud.gov Phone: (202) 708-4300.

**Website Address:**

<http://www.hudhre.info/documents/VetsHomelessPreventionDemo.pdf>,

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

HUD will review applications and approve grantee proposals based on criteria established in the forthcoming notice.

**14.261 HOMELESS MANAGEMENT INFORMATION SYSTEMS TECHNICAL ASSISTANCE**

Homeless Management Information Systems Technical Assistance

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriations Act (Public Law 111-8) of 2010.

**OBJECTIVES:**

The Homeless Management Information Systems, Technical Assistance (HMIS-TA) will provide technical assistance to transfer skills and knowledge

needed for grantees, applicants, project sponsors, eligible applicants and eligible project sponsors to achieve the highest level of performance and results for the implementation of local Homeless Management Information Systems (HMIS).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are available to provide technical assistance for homeless programs in the Office of Special Needs Assistance Programs (SNAPS). An organization may not provide assistance to itself. An organization may not provide assistance to another organization with which it contracts or sub-awards funds to carry out activities under the TA award.

**Applicant Eligibility:**

Applicants may partner with other organizations that may serve other geographic areas or bring other expertise to the proposal and submit a collaborative application.

**Beneficiary Eligibility:**

McKinney-Vento Homeless Assistance Program grantees, project sponsors, and applicants for the implementation of local Homeless Management Information Systems (HMIS).

**Credentials/Documentation:**

SNAPS-TA awardees will be required to report to the Government Technical Representative (GTR) on, at a minimum, a quarterly basis unless otherwise specified in the cooperative agreement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

HUD will send written notifications to both successful and unsuccessful applicants. A notification sent to a successful applicant is not an authorization to begin performance. Upon notification that an applicant has been selected for award, HUD will request additional information to be submitted or may work with the applicant to amend information that was already submitted as part of the application.

**Deadlines:**

Jun 07, 2011 to Oct 27, 2011

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be for a period of 24 months to 36 months, depending on such factors as TA provider's experience, performance and skills or expertise. HUD reserves the right to determine the award period on any or all of these factors. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Community Planning and Development (CPD) requires monthly reports that describes status of each TA task undertaken. CPD requires monthly reports that detail expenditures for each TA task. CPD monitors performance each month and

includes the TA in its Monitoring Risk Analysis process.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Cooperative Agreements) FY 11 \$7,000,000; FY 12 est \$7,000,000; and FY 13 est \$6,000,000

**Range and Average of Financial Assistance:**

HUD has established a \$750,000 award minimum for successful SNAPS-TA applications.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: TA funds will improve CoC and HMIS grantee capacity to manage and administer the local HMIS, including structure, data quality, governance, compliance with HMIS Data and Technical Standards, reporting, and performance measurement. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants interested in providing technical assistance to entities participating in HUD's Special Needs Assistance Programs should carefully review the General Section and the information listed in the SNAPS-TA NOFA, including the exceptions to the General Section requirements found in the NOFA.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Michael Roanhouse Office of Special Needs Assistance Programs, Room 7262, Office of Community Planning and Development, Department of Housing and Urban Development, Washington, District of Columbia 20410 Email: Michael.Roanhouse@hud.gov Phone: (202) 708-1226

**Website Address:**

<http://www.hudhre.info>

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

HUD will review applications and approve grantee proposals based on criteria established in the forthcoming notice.

**14.262 HOMELESS PREVENTION AND RAPID RE-HOUSING PROGRAM TECHNICAL ASSISTANCE**

Homeless Prevention and Rapid Re-Housing Program Technical Assistance

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The Homeless Prevention and Rapid Re-Housing Program, Technical Assistance (HPRP-TA) will provide technical assistance and training to HPRP grantees on program design and restructuring, data collection, subgrantee

monitoring, and reporting.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All successful applicants must operate within the structure of the demand-response system. Under the demand-response system, HUD identifies technical assistance needs and prioritizes them based on the Departmental, programmatic, and jurisdictional priorities. HUD is solely responsible for determining the entities to be assisted, the location, and the nature of the assistance to be provided which must be part of a previously established HUD TA plan for the grantee. HPRP-funded TA must be provided only to HPRP grantees and subgrantees and only as to carrying out HPRP.

**Applicant Eligibility:**

Applicants may partner with other organizations that may serve other geographic areas or bring other expertise to the proposal and submit a collaborative application. However, any organization included in a collaborative application may not submit a SNAPS-TA application of its own or be listed as a subcontractor on any other SNAPS-TA application. Each collaborative application must designate one organization as the lead entity. The lead entity must submit the application and, if selected, execute the SNAPS-TA cooperative agreement with HUD and assume responsibility for the award on behalf of the group. If funded, the lead entity must enter into a separate agreement with each organization that is a part of the application.

**Beneficiary Eligibility:**

HPRP and McKinney-Vento Homeless Assistance Program grantees, and project sponsors.

**Credentials/Documentation:**

To be considered for funding, all applicants must submit the following:

- SF-424, Application for Federal Assistance
- Capacity and Funding summary
- Narrative addressing factors outlined in General NOFA
- Experience Matrix
- Expertise Matrix
- Budgets
- HUD-424-CB, Grant Application Detailed Budget Form
- HUD-424-CBW, Detailed Budget Worksheet for Non-construction projects;
- Administrative budget
- SF-LLL, Disclosure of Lobbying Activities
- HUD-2880, Applicant/Recipient Disclosure/Update Report
- Form HUD-6011, Third Party Documentation Facsimile Transmittal. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

In determining the amount awarded to each successful applicant, HUD will take into consideration the funds available for the SNAPS-TA program the number of successful SNAPS-TA applicants; the applicants current organizational capacity to effectively deliver the assistance requested by HUD, where and when required, as presented in the application, including, among other things the number, location, quality and experience of their personnel, the final score assigned to the application by HUD reviewers and the applicants performance under existing or past technical assistance awards.

**Deadlines:**

Jun 07, 2010 to Oct 27, 2010

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Each applicant should submit its application per the requirements described in the forthcoming Federal Register Notice.

**Appeals:**



Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be for a period of 24 to 36 months, depending on such factors as TA providers experience, performance and skills or expertise. HUD reserves the right to determine the award period based on any or all of these factors. See the following for information on how assistance is awarded/released: After selection for funding but prior to award, applicants must submit financial and administrative information to comply with applicable requirements. These requirements are found in 24 CFR part 84 for all organizations, except states and local governments whose requirements are found in 24 CFR part 85. Cost principles requirements are found at OMB Circular A-122 for nonprofit organizations, OMB Circular A-21 for institutions of higher education, OMB Circular A-87 for states and local governments, and at 48 CFR 31.2 for commercial organizations. Applicants must submit a certification from an Independent Public Accountant or the cognizant government auditor, stating that the applicants financial management system meets prescribed standards for fund control and accountability. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Awardees will be required to report to the GTR on, at a minimum, a quarterly basis unless otherwise specified in the cooperative agreement. As part of the required report to HUD, grant recipients must include a completed Logic Model (HUD 96010), which identifies actual outputs and outcomes achieved and a narrative explanation of deviations from projected results to actual results achieved. Deviations can be both positive and negative deviations. Detailed budget and expense reports are required consistent with established work plans. Quarterly reports and workplans must be approved. The GTR will review materials and training and TA engagement evaluations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

86-0328-0-1-604.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

For fiscal year 2009, the grant allocations ranged from \$1,000,000 to \$8,000,000. The mean average allocation was \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is governed by the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Michael Roanhouse, Office of Special Needs Assistance Programs, Room 7262, Office of Community Planning and Development, Department of Housing and Urban Development, Washington, District of Columbia 20410 Email: Michael.Roanhouse@hud.gov Phone: (202) 708-1226.

**Website Address:**

http://www.hudhre.info

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS; 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

HUD will use the capacity and funding summary to determine the types of TA activities the applicant is willing to undertake based on staff skill and experience; and given the organizational capacity of the applicant, and the funding amount requested (an amount the applicant can reasonably expect to expend within the requirements and timeframes of the SNAPs-TA program).

**14.264 NEIGHBORHOOD STABILIZATION PROGRAM**

NSP-TA

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Wall Street Reform and Consumer Protection Act of 2010, Executive Order Section 1497, Public Law 111-203.

**OBJECTIVES:**

NSP-TA will be structured and operated as an assessment-based and outcome-focused delivery system with the following objectives: 1) improve grantees' ability to assess conditions in the affordable segment of their local housing market consistent with the jurisdiction's Consolidated Plan and Analysis of Impediments; 2) improve grantees' ability to design and appropriately implement neighborhood stabilization programs based upon an accurate assessment of the affordable segment of their local housing market; 3) increase organizational capacity to leverage private and public dollars; and 4) improve grantees' understanding of and compliance with statutory and regulatory requirements.

Under NSPTA, technical assistance will involve the delivery of expert statutory, regulatory, and technical support that improves the program knowledge, skills and capacity of NSP grantees and their partners. Capacity building efforts will be directed at advancing the efficiency and performance of grantees and their partners in the administration of NSP, leveraging of other resources and furthering of key Departmental objectives, including, but not limited to energy efficiency and green building.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All NSP-TA eligible activities are listed in the Notice of Funding Availability (NOFA) FR-5499-N-01. These include developing new products, such as conducting needs assessments, direct TA and capacity building, tools and products, self-directed and group learning, information management and virtual help desk; or to maintain existing products, such as NSP Resource Exchange, NSP toolkits and resource library documents, NSP training materials. Applicants must follow all program requirements, regarding training, accessibility (all products and tools will comply with Section 108 requirements), civil rights, fair housing, Section 3 and communication, as specified in the NOFA (FR-5499-N-01) and the General Section (Section III C.5). All awards are subject to funding restrictions at 73 FR 79555, Section IV E of the General Section.

A provider may be required to work under the direction of multiple field offices.

50% of funds must be spent within 2 years of the date funds are available to the grantee for obligation. 100% of funds must be spent within 3 years of the date

funds are available to the grantee for obligation.

All successful NSP-TA applicants must operate within the structure of the demand-response system, under which HUD identifies and prioritizes needs. Applicants are assigned to respond to identified needs. Successful applicants may not respond to direct requests for TA from grantees or subgrantees. HUD is solely responsible for determining the entities to be assisted, location, nature of assistance.

Direct TA may not use pass-through to cover costs necessary to provide temporary staffing needs.

An organization may not provide assistance to itself or to another organization with which it contracts or sub-awards funds to carry out activities under the TA award. No fee or profit may be paid to any recipient or contractor of an award. HUD will determine whether salary rates are reasonable and customary.

TA funds may not be used to train HUD staff, but HUD staff can be present to monitor and carry out oversight responsibilities.

Applicants must follow all program requirements as stipulated in the NOFA FR-5499-N-01.

**Applicant Eligibility:**

The applicant must meet the threshold requirements of the General Section, including the Civil Rights threshold in Section III.C.

NSP TA applicants are encouraged to partner with other organizations that may serve other geographic or programmatic areas or bring other subject matter expertise to the proposal or bring expertise through use of subcontractors or consultants. Any organization participating as a joint applicant in a single application may not submit a separate application of its own. Each joint application must designate one organization as the lead entity who submits the application and executes the cooperative agreement with HUD and assumes responsibility for the award. The selected applicant enters into a separate agreement with each organization that is part of the joint application. Further indications are specified in the NOFA FR 5499-N-01.

HUD will not consider an application from an ineligible applicant.

Applicants must have a minimum of one TA and capacity building staff on their team who has passed (score 80 or higher) the Certified HOME Program Specialist-Regulations training exam.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Applicants need to obtain a Duns and Bradstreet Universal Numbering System (DUNS) number (Refer to General Section III C.2.b) and submit other documentation as described in the Notice of Funding Availability (NOFA) FR-5499-N-01 in order to receive an award from HUD. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit all materials electronically via grants.gov or have requested a waiver, including all required forms as specified in the NOFA (FR-5499-N-01). All applicants requesting NSP-TA must be in compliance with the applicable threshold requirements found in the General Section and the eligibility requirements listed in Section III of the NOFA to be reviewed, scored, and ranked. Applications that do not meet these requirements and applications received after the deadline will be considered ineligible for funding. Applicants will have 14 calendar days in which to provide missing information requested by HUD.

**Award Procedure:**

If the grantee makes a complete submission within the established deadlines, HUD will review the application to determine whether it meets threshold eligibility requirements. Then HUD will review and assign scores to applications using 3 weighted factors specified in the NOFA FR-5499-N-01 including applicant's capacity and relevant experience; soundness of approach; program evaluation and achieving results. Rated applications will be listed in ranked order. Those within the fundable range may then be funded. HUD will determine the amount awarded based on several factors outlined in the NOFA.

After selection for funding but prior to award, applicants must submit financial and administrative information to comply with applicable requirements, as stated in NOFA FR-5499-N-01.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. HUD will send written notifications to successful and unsuccessful applicants. Selected applicants must provide HUD with a written Code of Conduct, Central Contractor Registration Requirement, and other requirements, as outlined in the NOFA FR-5499-N-01. HUD requires that all selected applicants participate in negotiations to determine the specific terms of the cooperative agreement, including the budget.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be for a period of 24 to 36 months, depending on factors outlined in the NOFA.

50% of the funds must be spent within 2 years of the date funds become available for obligation; 100% of funds must be spent within 3 years of the date funds become available for obligation. See the following for information on how assistance is awarded/released: Assistance is released on a reimbursement basis through electronic funds transfer.

**Reports:**

Grantees report budgets, obligations and expenditures, as well as outputs, outcomes, and a narrative explanation of deviations from projected results to actual results achieved on a quarterly basis in the Disaster Recovery Grant Reporting System (DRGR), unless otherwise specified in the cooperative agreement.

Grantees will be required to comply with Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). No cash reports are required. Grantees submit monthly reports on billing and activities, unless otherwise specified in the cooperative agreement, and in DRGR on a quarterly basis. No expenditure reports are required. Government Technical Monitors and Government Technical Representatives are required to monitor performance and expenditures periodically.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the assistance project must be kept for five years following the submission of the final expenditure report or until all audit findings have been resolved, according to the cooperative agreements close out information.

**Account Identification:**

86-0344-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$20,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$500,000-\$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Administrative Regulations for Community Development Block Grants, 24 CFR 570; Wall Street Reform and Consumer Act of 2010; Notice of Funding Availability for FY2011 Neighborhood Stabilization Program Technical Assistance FR-5499-N-01; HUD Strategic Plan, FY 2010-2015; Opening Doors: The Federal Strategic Plan for Preventing and Ending Homelessness; National HIV/AIDS Strategy for the U.S.; and published federal register notices.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Julie D. Hovden 451 7th St., S.W.  
, Washington, District of Columbia 20410 Email: julie.d.hovden@hud.gov  
Phone: 202-402-4496 Fax: 202-619-5979

**Website Address:**

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/neighborhoododspg/nspta.cfm>

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are reviewed according to the 3 following factors as outlined in the NOFA: applicant's capacity and relevant experience (60 points), soundness of approach (25 points), program evaluation and achieving results (15 points). Breakdowns of weighted factors within each factor are listed in the NOFA FR-5499-N-01.

**14.265 RURAL CAPACITY BUILDING FOR COMMUNITY DEVELOPMENT AND AFFORDABLE HOUSING GRANTS**

Rural Capacity Building Program

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated and Further Continuing Appropriations Act, 2012 , Pub. L. 112-55, Public Law 112-112-55, Stat. 133.

**OBJECTIVES:**

This NOFA announces the availability of approximately \$5 million in Fiscal Year (FY) 2012 funding to carry out the eligible activities related to affordable housing and community development for the Rural Capacity Building for Community Development and Affordable Housing Grant program.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to provide the following activities:

- a. 1) technical assistance, training, support, research, and advice to develop the business and administrative capabilities of rural community-based housing development organizations, rural community development organizations (CDC), rural community housing development organizations (CHDO), rural local governments, and Indian tribes;
- b. (2) loans, grants, or other financial assistance to rural community-based housing development organizations, rural community development organizations (CDC), rural community housing development organizations (CHDO), rural local governments, and Indian tribes to carry out community development and affordable housing activities for low- and moderate-income families including the acquisition, construction, or rehabilitation of housing for low-income families and persons, and community and economic development activities that create jobs for low-income persons; and
- c. Such other activities as may be determined by the grantees in consultation

with the Secretary or his or her designee. Assistance may be provided only to rural community-based housing development organizations, rural community development organizations (CDC), rural community housing development organizations (CHDO), rural local governments, and Indian tribes . Loans, grants to rural community-based housing development organizations, rural community development organizations (CDC), rural community housing development organizations (CHDO), rural local governments, and Indian tribes to carry out community development and affordable housing activities for low- and moderate-income families including the acquisition, construction, or rehabilitation of housing for low-income families and persons, and community and economic development activities that create jobs for low-income persons.

**Applicant Eligibility:**

Funds may be used to provide the following activities:

- a. 1) technical assistance, training, support, research, and advice to develop the business and administrative capabilities of rural community-based housing development organizations, rural community development organizations (CDC), rural community housing development organizations (CHDO), rural local governments, and Indian tribes;
- b. (2) loans, grants, or other financial assistance to rural community-based housing development organizations (CDC), rural community housing development organizations (CHDO), rural local governments, and Indian tribes to carry out community development and affordable housing activities for low- and moderate-income families including the acquisition, construction, or rehabilitation of housing for low-income families and persons, and community and economic development activities that create jobs for low-income persons; and
- c. Such other activities as may be determined by the grantees in consultation with the Secretary or his or her designee.

**Beneficiary Eligibility:**

A national organization is defined as a non-profit entity that has on-going experience in rural housing, including experience working with rural housing organizations, local governments, and Indian tribes, as evidenced by past and continuing work in one or more states in three or more of the federal regions described on the HUD website <http://portal.hud.gov/hudportal/HUD?src=/localoffices/regions>.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

1. Review Types. Two types of reviews will be conducted. First, HUD will review each application to determine whether it meets threshold eligibility requirements. Second, HUD will review and assign scores to eligible applications using the Factors for Award noted under Criteria, Section V.A.
2. Ranked Order. Once rating scores are assigned, rated applications will be listed in ranked order. After HUD has rated and ranked the applications, applicants within the fundable range of 75 or more points will be funded in ranked order up to the amount requested, or in a lesser amount if sufficient funds are not available. HUD reserves the right to adjust funding to meet urgent policy priorities.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Deadline for submission to be publish in NOFA.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Not Applicable.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance will be available for a period of 48 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semiannual and Annual Reports are required. No cash reports are required. Semi-annual reports are required. Expenditure information is reported in the semi-annual and annual reports. Annual performance monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A-133 apply.

**Records:**

All records concerning grant award and grant expenditures shall be maintained during the period of grant award and for 3 years after grant closeout.

**Account Identification:**

86-0176-0-1-604 - Rural Capacity Building Program.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$5,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Rural Capacity Building Program is a new program. The 2012 NOFA will include guidance for applicants to implement and manage the Rural Capacity Building Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Frances W. Bush 451 7th Street SW, , Washington, District of Columbia 20410  
Email: Frances.Bush@hud.gov Phone: (202) 402-7515 Fax: (202) 401-8939

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Review Types. Two types of reviews will be conducted. First, HUD will review each application to determine whether it meets threshold eligibility requirements. Second, HUD will review and assign scores to eligible applications using the Factors for Award noted under Criteria, Section V.A.
2. Ranked Order. Once rating scores are assigned, rated applications will be listed in ranked order. After HUD has rated and ranked the applications, applicants within the fundable range of 75 or more points will be funded in ranked order up to the amount requested, or in a lesser amount if sufficient funds are not available. HUD reserves the right to adjust funding to meet urgent policy priorities.
3. Threshold Eligibility Requirements. All applicants must be in compliance

with the threshold requirements found in the General Section and the eligibility requirements listed in Section III of this NOFA in order to be reviewed, scored, and ranked. Applications that do not meet these requirements and applications that were received after the deadline will be considered ineligible for funding (see Section IV.C. of the General Section).

**14.266 BORDER COMMUNITY CAPITAL INITIATIVE**

Border Community Capital Initiative

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1999, Public Law 105-276.

**OBJECTIVES:**

The Initiatives goal is to increase access to capital for affordable housing, business lending and community facilities in the chronically underserved and undercapitalized U.S./Mexico border region. Specifically, it will provide direct investment and technical assistance to community development lending and investing institutions that focus on affordable housing, small business and community facilities to benefit the residents of colonias.

Funds may be used to support eligible activities that serve the following objectives:

Expanding services in eligible colonias target markets (see below) by established lenders and investors in affordable housing, small business, and community facilities, and/or

Securing new public or private capital sources for lending or investing in affordable housing, small business and community facilities in existing or new eligible target markets.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Eligible activities include Innovative housing and economic development uses, including but not limited to loan or investment capital, loan loss reserves, program staff costs, information systems, market studies, portfolio analyses and business planning. Eligible activities must support the program objectives described above. Award must be used to support the eligible activities.

**Applicant Eligibility:**

Applicants that are eligible to participate in this initiative are community development lenders and investors, which may be local rural non-profit organizations or federally recognized tribes. Applicants do not need to be certified as Community Development Financial Institutions by the CDFI Fund at the time of application. Applicants may serve other markets than colonias residents and communities, using other sources of financing.

**Beneficiary Eligibility:**

Eligible target markets for use of Border Initiative funds include geographic areas defined as colonias by The Cranston-Gonzalez National Afford Housing Act of 1990 (Pub. L. 101-625, Nov. 28, 1990) (the Act) and the Appropriations Act of 1997 (Pub L. 104-204, Sept. 26, 1996, 110 Stat. 2887).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on application procedures is not yet available. Information will be

available in Notice of Funds Availability to be released in fiscal year 2013.

**Award Procedure:**

Information on award procedures is not yet available. Information will be available in Notice of Funds Availability to be released in fiscal year 2013.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Information on application review procedures is not yet available. Information will be available in Notice of Funds Availability to be released in fiscal year 2013.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Information on matching requirements is not yet available.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be available for a period of 36 months from the date of execution of the grant agreement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Information on reporting requirements and procedures are not yet available. Information will be available in Notice of Funds Availability to be released in fiscal year 2013. Information on reporting requirements and procedures are not yet available. Information will be available in Notice of Funds Availability to be released in fiscal year 2013. Information on reporting requirements and procedures are not yet available. Information will be available in Notice of Funds Availability to be released in fiscal year 2013. Information on reporting requirements and procedures are not yet available. Information on reporting requirements and procedures are not yet available.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Information on record keeping requirements and procedures are not yet available. Information will be available in Notice of Funds Availability to be released in fiscal year 2013.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

(Project Grants) FY 11 Not Separately Identifiable(Exp: No grants distributed ); FY 12 Not Separately Identifiable(Exp: No grants distributed ); and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

Up to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information on specific regulations and guidelines are not yet available. Information will be available in Notice of Funds Availability to be released in fiscal year 2013.

**Regional or Local Office:**

None.

**Headquarters Office:**

Russell Quiniola Office of Rural Housing and Economic Development  
U.S. Department of Housing and Urban Development  
451 7th Street SW, Room 7137  
, Washington DC, District of Columbia 20410 Email:  
russell.e.quiniola@hud.gov Phone: 2024023651

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Information on application review and selection criteria are not yet available. Information will be available in Notice of Funds Availability to be released in fiscal year 2013.

**14.267 CONTINUUM OF CARE PROGRAM**

Continuum of Care Program

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Mc Kinney-Vento Homeless Assistance Act (42 U.S.C. 11381-11389, Title IV, Subtitle C, as amended).

**OBJECTIVES:**

The program is designed to promote community-wide commitment to the goal of ending homelessness; provide funding for efforts by nonprofit providers, States, and local governments to quickly re-house homeless individuals and families while minimizing the trauma and dislocation caused to homeless individuals, families, and communities by homelessness; promote access to and effective utilization of mainstream programs by homeless individuals and families; and optimize self-sufficiency among individuals and families experiencing homelessness. Continuum of Care funds may be used to pay for the eligible costs used to establish and operate projects under five program components: (i) permanent housing, which includes permanent supportive housing for persons with disabilities, and rapid rehousing; (ii) transitional housing; (iii) supportive services only; (iv) Homeless Management Information Systems (HMIS), and (v) in some cases, homelessness prevention.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

Thirteen types of assistance may be provided through the Continuum of Care (CoC) Program: (1) CoC planning activities/costs for designing and carrying out a collaborative process for the development of an application to HUD; (2) Unified Funding Agency (UFA) costs for fiscal control and accounting necessary to assure the proper disbursement of, and accounting for, Federal funds awarded to subrecipients under the Continuum of Care program, (3) acquisition of real property (including structures) for use in the provision of housing or supportive services; (4) rehabilitation of structures to provide housing or supportive services; (5) new construction, including the building of a new structure or building an addition to an existing structure for use as supportive housing; (6) leasing of a structure or structures, or portions thereof, to provide housing or supportive services; (7) rental assistance, which may be short-term, medium-term, or long-term, as well as tenant-based, project-based, or sponsor-based, for transitional or permanent housing; (8) Supportive services to assist program participants obtain and maintain housing; (9) Operating costs of supportive housing; (10) costs of implementing and operating HMIS; (11) Project administrative costs; (12) relocation costs; and (13) indirect costs in accordance with OMB Circulars A-87 or A-122, as applicable.

In addition to using grant funds for the eligible costs described above, recipients and subrecipients in Continuums of Care designated as High Performing

Communities may also use grant funds to provide housing relocation and stabilization services and short- and/or medium-term rental assistance to individuals and families at risk of homelessness as set forth in 24 CFR 576.103 and 24 CFR 576.104, if necessary to prevent the individual or family from becoming homeless. Limitation on use of funds

No assistance provided under program (or any State or local government funds used to supplement this assistance) may be used to replace State or local funds previously used, or designated for use, to assist homeless persons or persons at-risk of homelessness.

**Applicant Eligibility:**

States, local governments, other governmental entities, private nonprofit organizations, and community mental health associations that are public nonprofit organizations.

**Beneficiary Eligibility:**

Homeless individuals and families with children; homeless persons with disabilities and their families. Recipients in Continuums of Care that have been designated by HUD as High Performing Communities (HPC) may serve persons determined to be at-risk of homelessness, based on criteria established through the Notice of Funding Availability (NOFA).

**Credentials/Documentation:**

Private nonprofit status is documented by submitting either (1) a copy of the Internal Revenue Service (IRS) ruling providing tax-exempt status under Section 501(c)(3) of the IRS Code; or (2) documentation showing that the entity is a certified United Way agency, or (3) a certification from a licensed CPD that no part of the next earnings of the organization inures to the benefit of any member, founder, contributor, or individual; that the organization has a voluntary board; that the organization practices nondiscrimination in the provision of assistance; that the organization has a functioning accounting system. OMB Circular No. A-87 applies to this program.

In addition, governmental entities and public housing agencies will certify to their eligibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In accordance with criteria established in the NOFA, applicants must complete their applications in a two step process through the electronic submission portal, called e-snaps. The first step is registration, which confirms a CoCs intent to submit an application in the annual Continuum of Care Competition. The second step is application for project funding and the CoC plan. Any proposed project under this program must be consistent with the applicable HUD-approved Consolidated Plan and must be permissible under applicable zoning ordinances and regulations.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and makes conditional grant awards to those applications most highly ranked, in accordance with the Notice of Fund Availability (NOFA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications and selection of successful applicants will take place at HUD. HUD Headquarters will make selection and obligate funds as soon as the applications can be processed.

**Appeals:**

Applicants may appeal the results of HUDs review and selection process if they believe a HUD error has occurred. Appeals must be in writing to the Assistant Secretary for Community Planning and Development, must specify the error, and provide sufficient documentation.

**Renewals:**

Information on renewals is contained in the Notice of Funding Availability and the application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This is a competitive program, however each community's Need amount is established by formula set forth in the CoC Regulations.

The recipient or subrecipient must match all grant funds, except for leasing funds, with no less than 25 percent of cash funds or in-kind contributions from other sources. For Continuum of Care geographic areas in which there is more than one grant agreement, the 25 percent match must be provided on a grant-by-grant basis. Recipients that are UFAs or are the sole recipient for their Continuum may provide match on a Continuum-wide basis.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be made available for up to one, two, three, five or fifteen years, depending upon the type of assistance provided, and subject to the availability of annual appropriations. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each recipient must keep any records and make any reports as specified by HUD within the timeframe required. Cash reports are not applicable. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 45. Private nonprofit entity recipients and their subrecipients provide audits in accordance with OMB Circular No. A-133. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must agree to participate in an evaluation of the program, and to keep any records and make any reports that HUD may require for the purpose of reporting to Congress on the cost of the program and the social, financial, and other advantages of Continuum of Care activities as a means of assisting homeless persons and those at-risk of becoming homeless.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$1,600,000,000; and FY 13 est \$1,800,000,000

**Range and Average of Financial Assistance:**

HUD imposes the following limitations: Funding of up to 75 percent for acquisition, new construction, rehabilitation, supportive services, operating, and HMIS costs; funding for up to 10 percent for project administration costs; and indirect costs may be allocated to each eligible activity as long as that allocation is consistent with an indirect cost rate proposal developed in accordance with OMB Circulars A-87 or A-122, as applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CRF Part 578, Continuum of Care Program, is published in the Federal Register.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Designated contact person in the HUD Field Offices with a Community Planning and Development Division.

**Headquarters Office:**

Lora D. Routt, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: Lora.D.Routt@hud.gov Phone: 202-708-1590

**Website Address:**

<http://www.hudhre.info>

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program; 14.235 Supportive Housing Program; 14.238 Shelter Plus Care; 14.241 Housing Opportunities for Persons with AIDS

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications for assistance are defined in a Notice of Funding Availability in the Federal Register and on the HUDHRE.

**14.268 RURAL HOUSING STABILITY ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Office of Community Planning and Development, Department of Housing and Urban Development

**AUTHORIZATION:**

Title IV Housing Assistance, Subtitle D Rural Housing Stability Assistance Program of the McKinney-Vento Homeless Assistance Act, as amended by the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act).

**OBJECTIVES:**

The Rural Housing Stability Assistance Program (RHSP) is designed to provide assistance for rural counties to re-house or improve the housing situations of individuals and families who are homeless, at risk of homelessness, or in the worst housing situations, stabilize the housing of individuals and families who are at risk of becoming homeless, and improve the ability of the lowest-income residents to afford stable housing.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

Grant assistance is available for rent, mortgage and utility assistance; relocation assistance; short-term emergency lodging; new construction of buildings to provide transitional or permanent housing; acquisition of real property to provide supportive services or transitional or permanent rental housing; rehabilitation of structures to provide supportive services or transitional or permanent rental housing; leasing; rental assistance; operating costs of transitional and permanent rental housing; rehabilitation and repairs to make premises habitable; supportive services; use of federal inventory property; capacity building activities that strengthen the capability of recipients to deliver housing and supportive services to eligible participants and to administer grants under this program; data collection costs; indirect costs in accordance with OMB Circulars A-87 or A-122 as applicable and administrative costs not to exceed 7.5 percent of the RHSP grant.

**Applicant Eligibility:**

Counties, that meet the definition of a rural county (a county that has no part of it within an area designated as a standard metropolitan statistical area by OMB; a county that is within an area designated as a metropolitan statistical area or considered as part of a metropolitan statistical area and at least 75 percent of its population is located on U.S. Census blocks classified as non-urban; a county that is located in a State that has population density of less than 30 persons per square mile [as reported in the most recent decennial census], and of which at least 1.25 percent of the total acreage of such State is under Federal jurisdiction, provided that no metropolitan city in such State is the sole beneficiary of the grant amounts awarded under this part. A metropolitan city means a city that

was classified as a metropolitan city under section 102(a) of the Housing and Community Development Act of 1974 (42 U.S.C. 5302(a)) for the fiscal year immediately preceding the fiscal year for which Emergency Solutions Grant program funds are made available. Recipient includes the District of Columbia.) local units of government authorized by the county and private non-profit organizations authorized by the county.

**Beneficiary Eligibility:**

Individuals and families who are homeless, at risk of homelessness or are in a worst housing situation. Worst housing situation is defined as housing that has serious health and safety defects and at least one major system that has failed or is failing.

**Credentials/Documentation:**

The list of counties eligible to apply for RHSP will be published in the Notice of Funding Availability. Local units of government and private non-profit organizations applying on behalf of eligible counties, must provide a letter from the eligible county designating the entity is applying on their behalf. Private nonprofit status is documented by submitting either (1) a copy of the Internal Revenue Service (IRS) ruling providing tax-exempt status under Section 501(c)(3) of the IRS Code; or (2) documentation showing that the entity is a certified United Way agency; or (3) a certification from a licensed CPA that no part of the next earnings of the organization inures to the benefit of any member, founder, contributor, or individual; that the organization has a voluntary board; that the organization practices nondiscrimination in the provision of assistance; that the organization has a functioning accounting system. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The requirements of 24 CFR Part 85 applies to this program. One application package prescribing the specific information that applicants must submit is available. The standard application forms as furnished by HUD must be used for this program. HUD will publish a list of counties eligible to apply for funds in a particular fiscal year. Every county government submitting an application must include either an abbreviated consolidated plan or consolidated plan that is consistent with the proposed program activities. Sections 491 (a) and 491 (m) of the McKinney-Vento Act provide that funds awarded under this program are in lieu of grants awarded under subtitle C, which is the Continuum of Care (CoC) program, and that funds awarded to a county shall only be awarded under either the CoC program or the RHSP. This requirement is implemented by establishing that a county may apply for funds either under the CoC program or RHSP, but not both.

**Award Procedure:**

HUD reviews applications, rates and ranks those meeting threshold requirements, and prepares a Grant Agreement for those applications selected.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Processing of applications will take place in HUD Field Offices and at HUD Headquarters, and selection of successful applicants will take place at HUD Headquarters. HUD will make its final selections and obligate funds as soon as the applications can be processed.

**Appeals:**

The appeal process will be outlined in the Notice of Funding Availability.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: (Formula): Section 427(b)(2) of the McKinney-Vento Act establishes the PPRN formula which determines the needs of a geographic area. PPRN is the dollar expression of the relative need assigned to metropolitan cities, urban counties, and all other counties determined by HUD in accordance with HUDs regulations for the Continuum of Care program. The formula uses nationally available data, including the following factors as used in the CDBG formula and Emergency Solutions Grant (ESG) formula on poverty, housing overcrowding, population, age of housing, and growth lag. To determine a rural county's PPRN, HUD will calculate the sum of the PPRN amount for the rural county as well as any metropolitan cities therein. The cumulative PPRN amount for the rural county will be the basis for determining the maximum award amount for which the county may apply.

Matching Requirements: There is a minimum of 25 percent cash or in-kind match on all eligible funding costs except leasing, data collection and administrative costs. For in-kind match, the government-wide grant requirements of HUDs regulations at 24 CFR 84.23 and CFR 85.24. The 25 percent match requirement is calculated on the total grant amount. Recipients have the responsibility to ensure that the funds that the recipient uses to satisfy HUD's match requirements are not prohibited to be used for this purpose under any statute that may govern the matching funds. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be made available for a 3 year term. Method of awarding/releasing assistance will be established in the Notice of Funding Availability. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each recipient must keep any records and make any reports as specified by HUD within the timeframe required. Cash reports are not applicable. Progress reports are applicable. Expenditure reports are applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial management systems used by governmental entities that are recipients under this program must provide for audits in accordance with 24 CFR 85. Private nonprofit entity recipients are subject to the audit requirements of 24 CFR 84. Both 24 CFR Part 84 and 85 stipulate that grant recipients and their subgrantees provide audits in accordance with OMB Circular No. A-133. HUD may perform further and additional audits as it finds necessary or appropriate.

**Records:**

Each recipient must agree to participate in an evaluation of the program, and to keep any records and make any reports that HUD may require for the purpose of reporting to Congress on the cost of the program and the social, financial, and other advantages of supportive housing components as a means of assisting homeless persons.

**Account Identification:**

86-0192-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$5,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

For FY 2012 estimated range of assistance \$50,000 - \$500,000. No Current Data Available to determine average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

TBD published in the Federal Register. Other program information is available

on the HUD Homelessness Resource Exchange at [www.hudhre.info](http://www.hudhre.info) and [www.hud.gov](http://www.hud.gov).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lora D. Routt, Office of Special Needs Assistance Programs, Community Planning and Development, Department of Housing and Urban Development, Room 7266, 451 7th Street, SW, Washington, District of Columbia 20410  
Email: [Lora.D.Routt@hud.gov](mailto:Lora.D.Routt@hud.gov) Phone: 202-708-1590

**Website Address:**

<http://www.hudhre.info>

**RELATED PROGRAMS:**

14.231 Emergency Shelter Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications for assistance are defined in a Notice of Funding Availability in the Federal Register.

**14.311 SINGLE FAMILY PROPERTY DISPOSITION**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

National Housing Act, as amended 12 U.S.C. 1710, Sections 203(b), 203(k), 204, 24 CFR 291.

**OBJECTIVES:**

To sell the inventory of HUD-acquired properties in a manner that expands home ownership opportunities, strengthens neighborhoods and communities, and ensures a maximum return to the FHA mortgage insurance fund.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

The Single Family Property Disposition Program is the marketing and sale of one to four unit properties acquired by HUD after foreclosure of an FHA-insured or Secretary-Held mortgage. Within the general program there are special disposition programs through which a portion of the property inventory is sold. These programs include Good Neighbor Next Door Sales program for law enforcement officers, teachers and firefighters/emergency medical technicians, Discount Sales to Nonprofits and Local Governments program and Dollar HOME Sales to Local Governments program. Information for each of these programs is covered separately. The majority of foreclosed one to four unit properties are sold through the general disposition program. HUD contracts with private companies to manage and market the properties. Properties are listed at HUD's website located at <http://hudhomestore.com/Home/Index.aspx>, where links are provided to the listings for each state. The listings provide the appraised value of the property, the property address, a brief description of the property and access to a Property Condition Report prepared by the contractor. Complete information explaining the sales process and earnest money requirements is also available. Bids must be submitted electronically by a real estate broker. An earnest money deposit is required with each bid submitted. Special opportunities are available for bidders who intend to occupy purchased properties as their principal residence. Properties not purchased during this Exclusive Listing Period are then available for the general public, including investors, during an Extended Listing Period. FHA financing may be available for purchasing many homes, including the FHA 203(k) program providing a loan to purchase a property and pay for repairs or improvements as permitted by FHA rules. Interested persons should contact their FHA approved lender. Refer to <http://www.hud.gov/ll/code/llplcrit.html> for assistance in locating a lender.

**Applicant Eligibility:**

Local Governments and Nonprofit Organizations: HUD contractors in the



specific area should be contacted regarding eligibility requirements. Contact HUD at Toll free: (800) CALL FHA or (800) 225-5342 for a listing of nationwide HUD contractors. FHA Insured Financing: Generally, anyone who has a satisfactory credit rating; enough cash to close the loan; sufficient, steady income to make the monthly payments without difficulty; and who will live in the home can be approved for an FHA insured mortgage. Income is only one of several factors that apply in the lending process. Interested buyers should contact their lender for more information.

**Beneficiary Eligibility:**

Individual, governmental and organizational homebuyers.

**Credentials/Documentation:**

Nonprofit Organizations must have IRS 501(c)(3) status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HUD homes are managed and marketed by private contractors. A list of contractors and the areas each serves may be found at <http://www.hud.gov/offices/hsg/sfh/reo/mm/mminfo.cfm>. The contractors list all HUD homes for sale on their individual Internet websites. Bids for a particular property can be submitted online. Purchasers must secure financing of their choice. FHA financing may be available. A list of HUD approved mortgage lenders is located at our website, <http://www.hud.gov/ll/code/llslicrit.cfm>.

**Award Procedure:**

Properties are generally sold competitively to the highest bidder. Direct sales may be made where permitted by regulations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Nonprofit organizations purchasing homes at a discount must retain information about the acquisition, rehabilitation and resale of discounted properties. This includes copies of HUD-1 Settlement Statements for the resale and other documents (see <http://www.hud.gov/groups/grantees.cfm>).

**Account Identification:**

86-4077-0-3-371; 86-4587-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$6,446,481,499; FY 12 est \$11,693,731,825; and FY 13 est \$17,354,747,351

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 102,704. Fiscal Year 2012: 100,000. Fiscal Year 2013: 90,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Contact the appropriate HUD Homeownership Center (see <http://www.hud.gov/offices/hsg/sfh/hoc/hsghoc.cfm>) or HUD Field Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

[http://www.hud.gov/offices/hsg/sfh/reo/reo\\_home.cfm](http://www.hud.gov/offices/hsg/sfh/reo/reo_home.cfm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.313 DOLLAR HOME SALES**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Notice 00-07, dated April 28, 2000 (and subsequent extensions).

**OBJECTIVES:**

To expand HUD's partnership with local governments in helping to foster housing opportunities for low-to-moderate income families and address specific community needs.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Single family homes with appraised values of \$25,000 or less that are acquired through foreclosure of Federal Housing Administration (FHA) insured loans will be available for purchase by local governments at a price of \$1 plus closing costs, after the properties have been actively marketed for at least 6 months and remain unsold. The property must be located with the jurisdiction of the purchasing local government with the intent of using the property for a "clear public purpose".

**Applicant Eligibility:**

Local government legally authorized by local law to make the purchase.

**Beneficiary Eligibility:**

Low- to moderate-income families and communities.

**Credentials/Documentation:**

Evidence of authority to purchase. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit HUD-9548, Sales Agreement, stating a purchase price of one dollar (\$1.00) plus closing costs, together with the Addendum to Sales Contract in the form attached to Housing Notice 06-02, as further detailed in Housing Notice 00-07, to HUD by close of the 10-day listing period for a property.

**Award Procedure:**

Evaluation of the documentation required by the application procedure evidenced by HUD's execution of the Sales Agreement and approval of the purchaser's plan for use of the property.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Properties assigned to this program are offered for 10 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

All annual reports submitted by local governments will be maintained by HOC Program Support Staff Director.

**Account Identification:**

86-4587-0-3-371; 86-4077-0-3-371.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable(Exp: Reported under 14.311); FY 12 est \$0; and FY 13 Not Separately Identifiable(Exp: Reported under 14.311) - Reported Under 14.311.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate HUD Homeownership Center listed in Appendix IV of the Catalog.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@fhaoutreach.com Phone: (800) 225-5342.

**Website Address:**

<http://www.hud.gov/offices/hsg/sfh/reo/goodn/dhmbabout.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.314 ASSISTED LIVING CONVERSION FOR ELIGIBLE MULTIFAMILY HOUSING PROJECTS**

(ALCP)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 202b of the Housing Act of 1959, as amended by the Section 202 Supportive Housing for the Elderly Act of 2010 (Public Law 111-372), 12 U.S.C 1701q-2.

**OBJECTIVES:**

To preserve the current elderly housing stock by converting units with a grant into Assisted Living Facilities (ALFs) or Service-Enriched Housing (SEH) for the frail elderly aging in place, as defined in Section 232(B)(6) of the National Housing Act and 202(k). The program is expected to promote aging in place and prevent premature institutionalization of the target population.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Assisted living facilities (ALFs) are designed to accommodate frail elderly persons and people with disabilities who can live independently but need assistance with activities of daily living (that is, assistance with eating, bathing, grooming, dressing and home management activities.) ALFs must provide support services such as personal care, transportation, meals, housekeeping, and laundry. Service-Enriched Housing (SEH) is housing that is designed to accommodate frail elderly persons or elderly persons with service needs who are aging in place. Residents are able to live independently but need assistance with activities of daily living comparable to services typically provided in a licensed assisted living facility, such as healthcare-related services. These supportive services must be available through a licensed or certified third party service provider. Typical funding will cover basic physical conversion of existing project units, as well as related common and services space. The ALCP provides funding for the physical costs of converting some or all of the units of an eligible development into an ALF or SEH, including unit configuration, common and services space and any necessary remodeling, consistent with HUD or the State's statute/regulations (whichever is more stringent). There must be sufficient community space to accommodate a central kitchen or dining facility, lounges, recreation and other multiple-areas available to all residents of the project, or office/staff spaces in the ALF or SEH. Funding for the supportive services must be provided by the owners, either directly or through a third party.

**Applicant Eligibility:**

Only private nonprofit owners of eligible multifamily assisted housing developments specified in Section 683(2)(B), (C), (D), (E), and (F) (Section 202 projects for the elderly, Rural Housing Section 515 projects receiving Section 8 rental assistance, projects receiving project-based rental assistance under Section 8, projects financed by a below-market interest rate loan or mortgage insured under Section 221(d)(3) of the Housing Act, or housing financed under Section 236 of the National Housing Act) that have been in occupancy for at least five years are eligible for funding. To be eligible, owners must meet the following criteria: (1) Must be in compliance with Loan Agreement, Capital Advance Agreement, Regulatory Agreement, Housing Assistance Payment Contract, Project Rental Assistance Contract, Rent Supplement or LMSA Contract, or any other HUD grant or contract document; (2) Must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a).

**Beneficiary Eligibility:**

Eligible residents who meet the admissions/discharge requirements as established for assisted living by State and local licensing, or HUD frailty requirements under 24 CFR 891.205 if more stringent. The residents must be able to live independently but may need assistance with activities of daily living (that is, assistance with eating, bathing, grooming, dressing and home management activities).

Service-Enriched Housing is designed to accommodate elderly persons and people with disabilities with a functional limitation, meaning residents who are unable to perform at least one activity of daily living.

**Credentials/Documentation:**

Assisted Living Facilities must be licensed and regulated by the State (or if there is no State law providing such licensing and regulation, by the municipality or other subdivision in which the facility is located). For Service-Enriched Housing, supportive services must be available through a

licensed or certified third party service provider. For both ALF and SEH, the application must include a firm commitment for the supportive services to be offered at the ALF or SEH as part of the application. The Notice of Funding Availability contains all the necessary information for applicants to apply for the grant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants applying to convert to an ALF must have contacted the State licensing agency for such a project to determine if the proposed project will meet state licensing requirements. The Supportive Service Plan (SSP) is required for the ALF and SEH, the plan should include services and coordination of the supportive services which will be offered in the ALF or SEH must be developed and submitted to the appropriate State or local organization. Applicants must comply with all applicable statutory requirements and statutory requirements under Section 232(b)(6) prior to application submission. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are only accepted in response to the Notice of Funding Availability which is published in the Federal Register each fiscal year. Applicants responding to the NOFA should ensure that their application is complete before submitting it to HUD. Applications must be submitted in accordance with requirements of the NOFA. All applications received by the deadline will be screened for curable deficiencies. After the completeness review, HUD reviews the application to determine whether it meets the threshold requirements. Only those applications that meet all of the threshold requirements will be eligible to receive an award. Applications submitted in response to the NOFA that are eligible, pass threshold and have a total score of 75 points (or more) are eligible for ranking and selection.

**Award Procedure:**

Applications are reviewed and selected for funding within the funding allocation of the geographical Hub area. At the end of the technical review, all applications will be either rated or technically rejected. If an application meets all program eligibility requirements after completion of the technical review, it will be rated according to the rating selection factors. The number of points that an application receives will depend on the extent to which the application is responsive to the information requested in the selection criteria. The maximum number of points an application may receive under this program is 102.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A processing schedule is developed for each funding round. Applicants are provided with a decision by the end of the schedule, after approximately 4-6 months from processing start date.

**Appeals:**

From 1 to 15 days. An applicant will have fourteen (14) calendar days from the date of HUD's written notice to appeal a technical rejection. HUD will make a determination on an appeal before finalizing selection recommendations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. However, owners are required to find the supportive services through other funding sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This program has no matching requirements. However, owners are required to find the supportive services through other funding sources. See the following for information on how assistance is awarded/released: Projects must be completed within 18 months from the time the grant agreement is executed.

**Reports:**

Any change in the owner during the period of the capital advance must be approved by HUD. Performance reports are required every six months in accordance with instructions outlined in the Grant Agreement. No cash reports are required. No progress reports are required. Financial reports are required every six months in accordance with instructions outlined in the Grant Agreement. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HUD reserves the right to audit the accounts of the owner in order to determine compliance and conformance with HUD regulations and standards.

**Records:**

Regular financial reports are required. Owners must service and maintain records in accordance with acceptable HUD and State requirements and regulations as outlined in the grant agreement.

**Account Identification:**

86-0320-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$20,000,000; FY 12 est \$25,000,000; and FY 13 Estimate Not Available - Reported under program 14.157 for FY 10, FY 11, and FY 12.

**Range and Average of Financial Assistance:**

\$2-6 million; average \$4 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: Up to \$25 million available for grants, approximately 8 projects, 100 units. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 202(b) of the Housing Act of 1959, Assisted Living Conversion Program Notice of Funding Availability for FY 2012

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest local HUD Multifamily Hubs and Program Centers listed at <http://www.hud.gov/localoffices.cfm> or at the Catalog Address Appendix IV.

**Headquarters Office:**

Katina Washington 451 7th St SW Room 6152, Washington, District of Columbia 20410 Email: [Katina.x.washington@hud.gov](mailto:Katina.x.washington@hud.gov) Phone: (202) 708-3000

**Website Address:**

<http://www.hud.gov/offices/hsg/mfh/progdesc/alcp.cfm>.

**RELATED PROGRAMS:**

14.157 Supportive Housing for the Elderly; 14.191 Multifamily Housing Service Coordinators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are in the NOFA.

**14.316 HOUSING COUNSELING TRAINING PROGRAM**

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1968, as amended.

**OBJECTIVES:**

This program supports, under cooperative agreements with HUD, the delivery of a broad array of training activities for counselors from agencies participating

in HUD's Housing Counseling program. The primary objectives of the program are to improve and standardize the quality of counseling provided by housing counselors working with HUD-approved housing counseling agencies and to make training accessible and affordable.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To annually provide one or more housing counseling training grants to qualified organizations. The grant will fund the training of counselors of agencies participating in HUD's Housing Counseling program.

**Applicant Eligibility:**

Applicants must be public or private nonprofit organizations with a least two years of experience providing housing counseling training services nationwide.

**Beneficiary Eligibility:**

Housing Counselors from HUD-approved housing counseling agencies.

**Credentials/Documentation:**

Each applicant is required to submit, for itself and for any organization with which it is partnering for the purpose of this NOFA, a legible copy of the document that supports the applicant's claim to be a nonprofit organization (for example, a 501(c) letter issued by the IRS). The documentation must contain the official name, address, and telephone number of the legal authority that granted the nonprofit status. Branches or affiliates of the applicant that are part of the proposed work plan must also be nonprofit entities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The availability of funds (HUD NOFA) is announced on HUD's website, [www.hud.gov](http://www.hud.gov). For a copy of the NOFA, applicants can visit the HUD website ([www.hud.gov](http://www.hud.gov)). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit by the required date the items and forms requested in the NOFA, such as a description of the housing counseling training services to be provided, and indicators by which benefits impact will be measured.

**Award Procedure:**

Applicants will be evaluated competitively and ranked against all other applicants that applied in the same funding category. A funding formula outlined in the NOFA is used to calculate awards. This program is subject to the administrative requirements established in OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments, which was implemented by 24 CFR Part 85; OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations, which was implemented by 24 CFR Part 84; and OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations, which was implemented by 24 CFR Parts 84 and 85. Grants awarded under this program are also subject to the cost principles in OMB Circular A-87 for state and local governments and Indian tribal governments and OMB Circular A-122 for nonprofit organizations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award announcements typically occur 5 months after applications are received.

**Appeals:**

Applicants for housing counseling training grants may appeal their denial of a grant award or the insufficiency of the grant amount to HUD.

**Renewals:**

Grantees must submit a new application and compete through the NOFA each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding assistance is for a discrete period of time, generally 1 year. Grantees invoice HUD on a periodic basis for housing counseling training services delivered. Payments of grant funds are subsequently made to grantees via direct deposit/electronic funds transfer (DD/EFT). Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

As required in the grant cooperative agreement.

**Account Identification:**

86-0156-0-1-604.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$2,000,000; and FY 13 est \$6,000,000

**Range and Average of Financial Assistance:**

Average award size is \$666,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 2,741 total enrolled/completed participants. 284 completed online courses; 1857 completed in-person courses. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wanda L. Sampedro, 451 7th Street, SW, Washington, District of Columbia 20410 Email: [info@fhaoutreach.com](mailto:info@fhaoutreach.com) Phone: (800) 225-5342.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/hcc/hcc\\_home](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/hcc/hcc_home)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.321 FHA TECHNICAL ASSISTANCE TRAINING TRANSFORMATION INITIATIVE**

FHA Technical Assistance Training Transformation Initiative

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, Title 2010, Part 111-117.

**OBJECTIVES:**

The purpose of this requirement is to provide training for direct technical assistance to FHA's industry and housing partners in the areas of Originations, Compliance and Servicing to give a comprehensive and consistent understanding of policies, procedures, and goals with respect to FHA's SF mortgage insurance programs, housing counseling requirements, special REO programs, and RESPA requirements; and to mitigate counterparty risk to the FHA insurance fund.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Funds available for technical assistance of capacity building.

**Applicant Eligibility:**

Technical assistance and capacity building.

**Beneficiary Eligibility:**

FHA industry partners.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Direct 8(a) award to qualified vendors.

**Award Procedure:**

Direct 8(a) award to qualified vendors.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

1 year contract award.

**Appeals:**

Not Applicable.

**Renewals:**

2 one-year option periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The contract term is one year with 2 one-year options. See the following for information on how assistance is awarded/released: Monthly invoicing to receive firm-fixed price contract award.

**Reports:**

monthly status reports with invoicing required. Monthly status reports with invoicing required. Monthly status reports with invoicing required. Monthly status reports with invoicing required. Bi-annual reporting required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Bi-annual progress reporting as well as overall contractual monitoring by GTM, GTR and contracting officer.

**Records:**

Overall vendor performance and deliverable records.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Training) FY 11 \$32,095,634; FY 12 est \$4,310,289; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: None. Fiscal Year 2012: FY 12 Training Webinars planned

for national training. To include overview of FHA/HUD programs, FHA Home Equity Conversion Mortgages (HECMs), FHA Energy Efficient Mortgages (EEMs), FHA Condominium Approval Process, DE Lender & DE Underwriter Roles and Responsibilities, Manual Underwriting, Fundamentals of Insurance Endorsement. Fiscal Year 2013: FY 13 Training Webinars planned for national training. To include overview of FHA/HUD programs, FHA Home Equity Conversion Mortgages (HECMs), FHA Energy Efficient Mortgages (EEMs), FHA Condominium Approval Process, DE Lender & DE Underwriter Roles and Responsibilities, Manual Underwriting, Fundamentals of Insurance Endorsement.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jane E. Hall 1670 Broadway, Denver, Colorado 80202 Email: jane.e.hall@hud.gov Phone: (303) 675-1634

**Website Address:**

http://www.hud.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: National Training planned for webinars and face-to-face live training venues in Philadelphia, Atlanta, Denver, and Santa Ana to include Credit Underwriting, Appraisal Policies & Procedures, Fundamentals of DE Credit Review and Total Scorecard, DE Underwriter Roles and Responsibilities, FHA Condominium Approval Process, FHA Rehabilitation (203K) and Streamline 203K, Manual Underwriting, Fundamentals of Insurance Endorsements. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.322 TENANT RESOURCE NETWORK PROGRAM**

(TRN)

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 514 of the Multifamily Assisted Housing Reform and Affordability Act of 1997 (MAHRA).

**OBJECTIVES:**

The purpose of the Tenant Network Resource (TRN) Program is to make grants to applicant organizations to assist, inform, educate and engage tenants of eligible project-based Section 8-assisted properties regarding their rights, responsibilities and options in response to a property owners filing a notice of Opt-Out or mortgage prepayment, in response to a second consecutive Below 60 score of the property from the HUD Real Estate Assessment Center (REAC), or in anticipation of a maturing mortgage on the property within 24 months of publication of this notice. The program aims to engage tenants in efforts to preserve eligible properties as affordable housing, and to provide tenants with information on their own rights and responsibilities based on 24 CFR Part 245 and guidance in HUD handbook 4381.5.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Applicants shall engage in required and optional outreach activities as described in the program Notice of Funding Availability (NOFA). The application will list identified properties, i.e. those TRN-eligible properties the applicant intends to serve, chosen from the list published with the program NOFA. The applicant may add newly eligible properties to the list during the grant term, with prior approval from HUD. Required outreach, described in the program NOFA is to be performed at all identified properties.

**Applicant Eligibility:**

Eligible applicants are non profit organizations with current IRS 501(c)(3) tax-exempt status. Eligible applicants shall demonstrate a minimum of five years of tenant outreach and organizing work, and may not have an identity of interest with any owner or management entity of any property where TRN activities are proposed.

**Beneficiary Eligibility:**

Tenants in identified TRN eligible properties will ultimately benefit from the program.

**Credentials/Documentation:**

Outlined in program NOFA. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Specified in program NOFA

**Award Procedure:**

Specified in program NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. See program NOFA and FY 2011 HUD General Section.

**Appeals:**

From 1 to 15 days. See program NOFA and FY 2011 HUD General Section.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements. Leveraging of non-HUD funds is encouraged.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Period of performance is not to exceed 24 months. See the following for information on how assistance is awarded/released: Monthly vouchers.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

See program NOFA.

**Account Identification:**

86-0303-0-1-604.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$9,980,000; and FY 13 est \$10,000,000

**Range and Average of Financial Assistance:**

200000 to 720000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. See Program NOFA.

**Headquarters Office:**

Claire M. Trivedi 451 7th St SW , Washington, District of Columbia 20410  
Email: claire.m.trivedi@hud.gov Phone: 2027083000

**Website Address:**

http://www.hud.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.323 EMERGENCY HOMEOWNERS LOAN PROGRAM****FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Emergency Homeowners Relief Act of 1975 Title I (12 U.S.C. 2701) , amended and reauthorized by the Dodd-Frank Wall Street Reform and Consumer Protection Act (Public Law 111-203), approved July 21, 2010., 12 U.S.C 2701.

**OBJECTIVES:**

To provide assistance to homeowners who are at risk of foreclosure and have experienced a substantial reduction in income due to involuntary unemployment, or underemployment due to an adverse economic or medical condition. HUD will assist homeowners in Puerto Rico and the 32 States otherwise not funded by Treasurys Innovation Fund for Hardest Hit Housing Markets program, based on their relative unemployment measures. Allocated award amounts have been reserved to assist homeowners living in these States.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

The program offers a declining balance, deferred payment bridge loan (non-recourse, subordinate loan with zero interest) for up to \$50,000 to assist eligible homeowners with payments of arrearages, including mortgages, delinquent taxes, insurance premiums, condominium or homeowners association fees; late fees; and certain foreclosure-related attorneys fee. In addition to payment of arrearages, EHLP funds may also be used to assist eligible homeowners to make up to 24 months of mortgage payments on their mortgage principal, interest, taxes and insurance (PITI), as well as condominium/homeowner association fees, as applicable. Program assistance shall be provided to eligible applicants for a maximum of 24 months, or a maximum of \$50,000, whichever occurs first. EHLP will be administered by designated third party organizations on HUDs behalf and through States that have existing substantially similar mortgage relief assistance programs.

**Applicant Eligibility:**

Only the 32 targeted States and Puerto Rico and residents of these states are eligible to receive assistance under EHLP. States that have been determined by HUD to have substantially similar mortgage relief programs will be awarded funding allocations to administer their programs directly. Guidelines for substantially similar State programs are provided in FR-5454-N-01.

Targeted States are as follows: Texas, New York, Pennsylvania, Massachusetts, Washington, Minnesota, Wisconsin, Missouri, Virginia, Colorado, Maryland, Connecticut, Kansas, Arkansas, Iowa, Louisiana, Utah, Oklahoma, Puerto Rico, Idaho, New Hampshire, New Mexico, Maine, West Virginia, Nebraska, Hawaii, Delaware, Montana, Vermont, Alaska, Wyoming, South Dakota, North Dakota and Puerto Rico.

HUD will assist eligible residents of targeted States that do not have substantially similar mortgage relief programs by offering them direct loans, if they meet the following program criteria: (1) Delinquency and likelihood of foreclosure- Applicant must be at least three months delinquent on the first lien monthly mortgage payment 30 days previous to the commencement of the program; (2) Income Eligibility Limit- Applicants pre-event income must be

equal to or less than 120 percent of the Area Median Income (AMI), as determined by HUD and adjusted for family size; (3) Loss of Household Income The applicant has incurred a substantial reduction in income as a result of involuntary unemployment or underemployment due to adverse economic conditions, or medical conditions, and is financially unable to make full mortgage payments; (4) Resumption of Mortgage Payments-there is a reasonable prospect that the homeowner will be able to make the adjustments necessary for a full resumption of mortgage payments within 2 years; and (5) Principal Residence- the mortgaged property is the principal residence of the mortgagor (applicant). Program applicants will be assessed to determine if they meet this eligibility criteria.

**Beneficiary Eligibility:**

Individuals residing in targeted States (list provided above) and Puerto Rico that have delinquent mortgages as a result of involuntary unemployment or underemployment due to an adverse economic or medical condition. Applicants/borrowers are the direct beneficiaries when they meet all eligibility criteria.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Program applicants (homeowners) seeking direct loan assistance must provide documented proof of probable foreclosure; income eligibility; income loss and reason; and principle residence.

Guidelines for substantially similar State programs are provided in FR-5454-N-01.

For States receiving allocations through EHLA to administer their mortgage relief programs directly, OMB Circular No. A-87 also applies.

**Deadlines:**

Sep 30, 2011

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There is no statutory formula for this program.

Each State allocation was determined based on a formula calculation using unemployment and mortgage delinquencies stats. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements apply to States receiving formula grants under this program. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

There are no audit requirements for direct loan recipients.

**Records:**

No Data Available.

**Account Identification:**

86-0407-0-3-371 - Financing Account.

**Obligations:**

(Direct Loans) FY 11 \$210,000,000; FY 12 est \$30,000,000; and FY 13 est \$0. (Information) FY 11 Not Available; FY 12 est \$0; and FY 13 est \$0. (Loan Guarantees/Grants) FY 11 Not Separately Identifiable; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

State allocated amounts range from low \$1,320,547 to high \$135,418,959.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 2700

**Regional or Local Office:**

None. None. Contact HUD Headquarters office provided below.

**Headquarters Office:**

Wanda L. Sampedro 451 7th Street, SW, Washington, District of Columbia 20410 Email: info@ifhaoutreach.com Phone: (800) 225-5342

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/sfh/hcc/ehlp/ehlp/home](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/hcc/ehlp/ehlp/home)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.324 FHA POWERSAVER HOME ENERGY IMPROVEMENT PILOT PROGRAM**

FHA PowerSaver Home Energy Improvement Pilot Program

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act 2010.

**OBJECTIVES:**

To conduct an Energy Efficient Mortgage Innovation pilot program targeted to the single family housing market.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Lenders may use grant funds to support costs associated with creating or enhancing staffing to deliver or report on PowerSaver-insured loans; Fund the costs of loan marketing, originating, and/or underwriting; offset costs

associated with appraisals and for those lenders that service their own loans, reduce servicing costs.

**Applicant Eligibility:**

Lenders applying for grant must be an FHA Title I approved lender and describe sufficient capabilities to participate and carry out the program goals.

**Beneficiary Eligibility:**

none.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Lenders were required to submit a non-binding Expression of Interest and provide information as directed in Federal Register Notice published November 10, 2010. OMB Circulars 102 and 110 are applicable.

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

A panel of reviewed, evaluated applicants based on information supplied in their Expression of Interest. Award amounts were weighed on their forecasted program volume.

**Deadlines:**

Jan 31, 2011 As provided in Federal Register Notice, the deadline for lenders to submit an Expression of Interest was January 31, 2011.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two years from May 2, 2011. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

86-4077-0-3-371.

**Obligations:**

(Direct Loans) FY 11 Not Separately Identifiable(Exp: Reported under 14.142); FY 12 est \$0; and FY 13 Not Separately Identifiable(Exp: Reported under 14.142) - Reported under 14.142 - HUD obligated \$24,750,000 to participating grantees.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. McBarron 451 7th Street, SW  
, Washington, District of Columbia 20410 Email: patricia.a.mcbaron@hud.gov  
Phone: 202-402-5389

**Website Address:**

http://www.hud.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.326 PROJECT RENTAL ASSISTANCE DEMONSTRATION (PRA DEMO) PROGRAM OF SECTION 811 SUPPORTIVE HOUSING FOR PERSONS WITH DISABILITIES**

Project Rental Assistance Demonstration (PRA Demo) Program of Section 811 Supportive Housing for Persons with Disabilities

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 811 of the Cranston-Gonzalez National Affordable Housing Act (P.L. 101-625), as amended by the Frank Melville Supportive Housing Investment Act (P.L. 111-374), 42 U.S.C 8013.

**OBJECTIVES:**

To implement the new requirements for the new project rental assistance authority provided by the Melville Act.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Project Rental Assistance Demonstration funds (PRA Demo) are provided to cover the difference between the approved rents of the unit and the tenants contributions toward rent (30 percent of income). The funds are provided to support the development of supportive housing units for extremely low income persons with disabilities in multifamily properties.

**Applicant Eligibility:**

Any housing agency currently allocating Low Income Housing Tax Credits (LIHTC) under IRS Section 42 or any housing or Community Development Agency currently allocating and overseeing in good standing HOME Funds or the Section 8 Program or a similar program are eligible applicants, and only one housing agency per state is eligible. Only states that are developing partnerships or that have existing partnerships with State Health Care and Human Service Agency or agencies and the state Medicaid Agency for supportive services are eligible.

**Beneficiary Eligibility:**

Extremely low-income non-elderly (18-62 years of age) persons with disabilities that are eligible for community-based, long-term care as provided through Medicaid waivers, Medicaid state plan options or other appropriate services. Eligible applicants will provide these PRA Demo project-based rental assistance funds to not more than 25% of the units in multifamily developments for extremely low-income persons with disabilities which are the beneficiaries.

**Credentials/Documentation:**

This PRA Demo Program is designed to develop and support sustainable partnership with State Housing Agencies and State Health and Human Services and State Medicaid Agencies that will result in long-term strategies to provide



permanent affordable rental housing for persons with disabilities receiving Medicaid services in the community. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Notice of Funding Availability (NOFA) is posted on Grants.gov each fiscal year, subject to the availability of funds, announcing the availability of funds to potential applicants. Applicants must submit an application in response to the NOFA.

**Award Procedure:**

Applications are reviewed and selected for funding based upon the ranking and rating factors outlined in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applications must be submitted within the time period specified in the NOFA. At the end of the application submission period, applicants are notified within 150 days of their conditional approval.

**Appeals:**

See program NOFA.

**Renewals:**

Based on appropriations. See Program NOFA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Leveraging is encouraged.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All PRA Demo units must record a 30 year use agreements and all PRA Demo rental assistance contracts shall be for a minimum of 20 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly and annually. See program NOFA. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Grantees will be required to provide special reporting to allow HUD to evaluate the results of the demonstration. See program NOFA.

**Audits:**

Not Applicable.

**Records:**

See program NOFA.

**Account Identification:**

86-0237-0-3-371.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$85,000,000; and FY 13 est \$54,000,000

**Range and Average of Financial Assistance:**

tbd.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Lessie Evans 451 7th St SW, Washington, District of Columbia 20410 Email:

lessie.p.evans@hud.gov Phone: 202-708-3000

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.181 Supportive Housing for Persons with Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See Program NOFA.

**14.327 PERFORMANCE BASED CONTRACT ADMINISTRATOR PROGRAM**

PBCA Program

**FEDERAL AGENCY:**

Office of Housing-Federal Housing Commissioner, Department of Housing and Urban Development

**AUTHORIZATION:**

United States Housing Act of 1937 , Section 8b1,3b6A.

**OBJECTIVES:**

The purpose of HUDs PBCA program is to implement the policy of the United States, as established in section 2 of the 1937 Act, of assisting States and their political subdivisions (e.g., PHAs) for aiding lower income families in obtaining a decent place to live and of promoting economically mixed housing, assistance payments may be made with respect to existing housing in accordance with the provisions of the above reference section. The PBCA program furthers these policies by effectuating authority explicitly under section 8(b)(1) of the 1937 Act for HUD to enter into ACCs with PHAs for the administration of Section 8 HAP contracts. For the project-based subprograms authorized under Section 8, the 1937 Act authorizes HUD to enter into an ACC with a PHA, as defined in section 3(b)(6)(A) of the 1937 Act. The ACC is the contractual mechanism to support the PHAs public purpose in making assistance payments to Section 8 project owners. This program will provide assistance to PHAs for the administration of Project-Based Section 8 program within a State. The objective is to have a contract administrator for all states.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

HUD is authorized to enter into an annual assistance contract (ACC) with a PHA for the administration of Section 8 housing assistance payment (HAP) contracts through the Performance-Based Contract Administrator (PBCA) program. Under the ACC, the PHA will provide ongoing contract administration services for units receiving project-based Section 8 housing assistance.

**Applicant Eligibility:**

HUD will accept applications to provide contract administration services for the 42 States, which are listed in Appendix A of the program Notice of Funding Availability (NOFA). State is defined in the ACC as one of the fifty United States, the District of Columbia, the United States Virgin Islands, or the Commonwealth of Puerto Rico. Please note that there have been 11 PHAs selected for PBCAs in a previous competition. HUD has already entered into an ACC with those PHAs. Entities applying to serve as PBCA in more than one State must submit a separate application for each State for which it applies. See program NOFA for more information. HUD may enter into an ACC for the administration of a project-based Section 8 HAP contract with a legal entity that qualifies as a public housing authority as defined under section 3(b)(6)(a) of the Housing Act of 1937.

**Beneficiary Eligibility:**

Families currently receiving assistance as long as their income does not exceed 80 percent of area median income adjusted for family size.

**Credentials/Documentation:**

The entity that has entered the ACC with HUD must certify that it is a PHA as required by Federal law, and that it has jurisdiction and authority to carry out Section 8 contract administration services in the agreed service area in

accordance with the ACC. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HUD publishes a Notice of Funding Availability (NOFA) to solicit applications from PHAs to administer project-based Section 8 HAP contracts as PBCAs.

Applications are submitted through Grants.gov the federal portal for finding and applying for funding opportunities for competitive programs.

**Award Procedure:**

Awards will be made to applicants that meet the funding criteria in the Notice of Funding Availability.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approval of the PBCA shall be given after applications have been validated and reviewed and ACC awards have been determined, about 2 to 3 months after application period closes. Deadline will be published in program NOFA.

**Appeals:**

There is no formal appeal process. Applicants may request a debriefing on the pros and cons of their application as determined in the final rating and ranking of the applications.

**Renewals:**

Contract term and renewal options for administration of project-based Section 8 HAP under the PBCA program shall be specified in the Notice of Funding Availability and incorporated into the grantee ACC. Continuation awards will be determined by performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are renewal on an annual basis. Funds are disbursed at amend rents and contract renewals anniversary dates. See the following for information on how assistance is awarded/released: Based on performance there are monthly fees.

**Reports:**

Annual management and occupancy review. Monthly, quarterly and an annual report to HUD. The owner must submit to HUD within 60 days after the end of each fiscal year of the project, financial statements for the project audited by an Independent Public Accountant and other statements as to project operation, financial conditions and occupancy. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Annual management and occupancy review. Monthly, quarterly and an annual report to HUD. The owner must submit to HUD within 60 days after the end of each fiscal year of the project, financial statements for the project audited by an Independent Public Accountant and other statements as to project operation, financial conditions and occupancy.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The owner must permit HUD to review and audit the management and maintenance of the project at any time to assure the owner is meeting its obligation to maintain the units and related facilities in decent, safe, and sanitary condition.

**Records:**

All program records must be kept by the PBCA for three years. During the three-year period, the PBCA can maintain the storage of the records as they determine to be appropriate, i.e. on site or in a storage area. The three-year period is consistent with the archiving requirements according to HUD Handbook 4350.5, Contract Administration, for non-performance based ACC.

During the three-year period, HUD reserves the right to request documents that the PBCA may have available and which HUD determines to be critical to retain by HUD. Section 12 of the PB-ACC provides general guidelines for the maintenance of program records.

The owner must reexamine the income and composition of all families at least once each year and prepare and furnish other information required under the Section 8 contract.

**Account Identification:**

86-0303-0-1-604; 86-0319-0-1-604.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 est \$10,328,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

estimated \$20 million per month for entire program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 886 Section 8 Housing Assistance Payments Program - Special Allocations. 24 CFR 880 - Section 8 Housing Assistance Payments Program for New Construction; 24 CFR 881 - Section 8 Housing Assistance Payments Program for Substantial Rehabilitation; 24 CFR 883 - Section Housing Assistance State Housing Agencies; 24 CFR 884 - Section 8 Housing Assistance Payments Program for New Construction Set Aside for Section 515 Rural Rental Housing Projects; 24 CFR 891 Subpart E - Loans for Housing for the Elderly or Persons with Disabilities; HUD Section 8 Renewal Policy Guide (1/15/08).

**Regional or Local Office:**

See Regional Agency Offices. Persons may contact local field offices listed on <http://hud.gov>.

**Headquarters Office:**

Deborah Lear 451 7th Street SW, Washington, District of Columbia 20410. Email: [Deborah.k.lear@hud.gov](mailto:Deborah.k.lear@hud.gov) Phone: (202) 402-2768.

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/housing/mfh/rfp/se c8rfp](http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/mfh/rfp/se c8rfp)

**RELATED PROGRAMS:**

14.195 Section 8 Housing Assistance Payments Program\_Special Allocations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See program NOFA Notice of Funding Availability for details.

**14.400 EQUAL OPPORTUNITY IN HOUSING**

Fair Housing

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

The Fair Housing Act, 42 U.S.C. 3600 et seq.

**OBJECTIVES:**

To provide fair housing throughout the United States and an administrative enforcement system which is subject to judicial review.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

With limited exceptions, no housing offered commercially for sale or rental, may be advertised, sold, leased out, financed or appraised in a manner which discriminates on the basis of race, color, national origin, religion, sex, disability or familial status (the presence of children under the age of 18 in a household or a pregnant woman). In addition, housing providers and others must allow reasonable modifications to units and provide reasonable accommodations

when these are necessary to allow a person with a disability full housing rights. Finally, multi-family housing built for occupancy after March 13, 1991, must comply with the Accessibility Guidelines established. Complaints of discrimination are investigated and conciliated. When conciliation is unsuccessful and where investigation indicates reasonable cause to believe that discrimination occurred or is about to occur, complainants may pursue their complaints before an Administrative law judge or in Federal district court (The Department of Justice litigates on behalf of complainants in Federal district court, or HUD litigates on their behalf in the administrative forum). Also conferences and training sessions are held to explain rights and responsibilities under the law to attorneys, developers, the real estate industry and the general public.

**Applicant Eligibility:**

Any aggrieved person, or the Assistant Secretary, may file a complaint based on an alleged discriminatory housing practice because of race, color, religion, sex, familial status, disability, or national origin. The complaint may be filed with the Department of Housing and Urban Development or a State or local fair housing agency with processes, procedures and remedies substantially equivalent to those of the Department, and which the Department has approved.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complaints may be sent to any HUD Field Office, or to HUD's Washington, DC Headquarters.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Depends upon result of complaint processing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

86-0340-0-1-751 - Salaries and Expenses Personnel Services; 86-0333-0-1-604 - Salaries and Expenses Executive Direction.

**Obligations:**

(Salaries) FY 11 \$68,127,345; FY 12 est \$70,190,003; and FY 13 est \$72,346,000 - This is for Personnel Services and Appropriation Account 86-0340-0-1-751. (Salaries) FY 11 \$628,093; FY 12 est \$0; and FY 13 est \$0 - This is for Executive Direction and Appropriation Account 86-0333-0-1-604.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations implementing the Fair Housing Act, 24 CFR Part 100; "Fair Housing It's Your Right," English (HUD-1686-FHEO); Fair Housing - Complaint Processing, 24 Part 103; Administrative Proceedings Under Section 812 of the Fair Housing Act, 24 CFR Part 180; Consolidated HUD Hearing Procedures for Civil Rights Matters Certification of Substantially Equivalent Agencies, 24 CFR 115; Preamble to Final Rule Implementing Fair Housing Amendments Act of 1988, 54 Federal Register 3232 (1989); CFR Ch I, Subch. A, App II.

**Regional or Local Office:**

None. HUD Fair Housing and Equal Opportunity Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Turner Russell, 451 7th Street, S.W., Room 5226, Washington, Florida 20410  
Email: TurnerRussell@hud.gov Phone: (202) 708-2904.

**Website Address:**

<http://www.hud.gov/complaints/housediscrim.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.401 FAIR HOUSING ASSISTANCE PROGRAM\_STATE AND LOCAL**

(FHAP)

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

The Fair Housing Act 42 U.S.C. 3600 et seq.

**OBJECTIVES:**

To provide assistance to State and local fair housing enforcement agencies for complaint processing, training, technical assistance, education and outreach, data and information systems and other activities that will further fair housing within the agency's jurisdiction. The intent of the Fair Housing Assistance Program (FHAP) is to build a coordinated intergovernmental enforcement of fair housing laws and provide incentives for States and localities to assume a greater share of responsibility for administering fair housing laws.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State and local fair housing enforcement agencies in the first year of participation in the FHAP receive a fixed amount of funding to build the capacity of the agency to enforce substantially equivalent fair housing laws. Agencies in the second year and beyond are eligible to receive contributions funding which provides funds for complaint processing, administrative costs, and training associated with the enforcement of a substantially equivalent fair housing law.

**Applicant Eligibility:**

Eligible applicants include State and local government fair housing enforcement agencies administering fair housing laws that have been interim

certified by HUD as providing substantially equivalent rights and remedies as those provided by the Fair Housing Act and which have executed formal written Agreements with HUD to process housing discrimination complaints. In determining eligibility, HUD may also take into consideration whether a jurisdiction is already served by a FHAP agency.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by a discriminatory housing practice because of race, color, religion, sex, handicap, familial status or national origin.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Certification and Funding of State and Local Fair Housing Enforcement Agencies, Chapter 24, Part 115. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are executed for one year, they are non-competitive, and provide funding for complaint processing, administrative costs, and training for contribution agencies. Capacity building funds are also provided under a cooperative agreement for a one year period. For detailed program information under each funding component, contact the Fair Housing and Equal Opportunity Region or Headquarters Office. Fixed price cooperative agreements are anticipated to be awarded with payments to be made in accordance with a schedule of dates set out in the cooperative agreements. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

State and local agencies are required to maintain housing discrimination complaint files for a period of one year after closure.

**Account Identification:**

86-0144-2-3-751.

**Obligations:**

(Formula Grants) FY 11 \$20,534,737; FY 12 est \$22,600,000; and FY 13 est \$26,600,000

**Range and Average of Financial Assistance:**

Funding is provided for capacity building, complaint processing, training, and administrative costs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 24 CFR Part 115 for regulations on the Certification and Funding of State and local Fair Housing Enforcement Agencies.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Kenneth J. Carroll 451 7th Street, S.W. Room 5206, Washington, District of Columbia 20410 Email: Kenneth.J.Carroll@hud.gov Phone: 202 402-7044

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHAP/index.cfm>.

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No data available. Fiscal Year 2012: Investigation, conciliation, and litigation of housing discrimination complaints brought under state and local laws that are substantially equivalent to the federal Fair Housing Act. Fiscal Year 2013: Investigation, conciliation, and litigation of housing discrimination complaints brought under state and local laws that are substantially equivalent to the federal Fair Housing Act.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding to a state or local agency is contingent on appropriation from Congress and the state or local agency's enforcement of a law that, on its face and in operation, is substantially equivalent to the Fair Housing Act.

**14.408 FAIR HOUSING INITIATIVES PROGRAM**

FHIP

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To develop, implement, carry out, or coordinate programs and/or activities to educate the public about, as well as provide enforcement of, fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include provisions for strengthening existing fair housing enforcement organizations as well as establishing new ones.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. However, fair housing enforcement projects, including those to support the continued development of existing fair housing organizations and to establish new ones, may only be awarded to fair housing enforcement organizations under the Fair Housing Act or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private or not-for-profit organizations or institutions, or other public or private entities that are working

to prevent or eliminate discriminatory housing practices, as well as faith-based community-based organizations and State or local government agencies.

**Applicant Eligibility:**

.State and local government agencies, public or private nonprofit organizations or institutions and other public or private entities that are formulating or carrying out programs to prevent or eliminate discriminatory housing practices. Applicants for funding of testing activities must have at least one year of experience in complaint intake, complaint investigation, testing for fair housing violations, and enforcement of meritorious claims. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Fair housing enforcement organizations and nonprofit groups organizing to build their capacity to provide fair housing enforcement are also eligible applicants.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin. Also, any person or group of persons, including landlords and real estate agents, to prevent discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin.

**Credentials/Documentation:**

Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Costs for applicants that are educational institutions will be determined in accordance with OMB Circular No. A-21. Applicants for enforcement related activities must provide verification of 501(c)(3) status. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Funds are awarded in accordance with the Notice of Funding Availability. The signing official or designee has the final authority for awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are listed under [www.grants.gov](http://www.grants.gov)

30-60 days.

**Appeals:**

From 30 to 60 days. 30-60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 36 months. Assistance provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Funds

are awarded under the Notice of Funding Availability. Funds are released under funding documents as negotiated under the grant agreement. Funds are released under HUD's financial system as reimbursements for activities completed. See the following for information on how assistance is awarded/released: Funds are awarded under the Notice of Funding Availability. Funds are released under funding documents as negotiated under the grant agreement. Funds are released under HUD's financial system as reimbursements for activities completed.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, State and local governments must submit all reports required pursuant to OMB Circulars A-102 and A-133. Educational institutions and private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. No performance monitoring is required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Project Grants) FY 11 \$70,344,072; FY 12 est \$44,306,666; and FY 13 est \$41,100,000

**Range and Average of Financial Assistance:**

\$125,000-\$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Paula Stone 451 7th Street, S.W.  
Room 5222  
Washington, D.C. 20410, Washington, District of Columbia 20410 Email:  
Paula.Stone@hud.gov Phone: 202 402-7054

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm>.

**RELATED PROGRAMS:**

14.401 Fair Housing Assistance Program\_State and Local

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.416 EDUCATION AND OUTREACH INITIATIVES**

FHIP EOI

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist organizations that are regional, local, community based and National based. To develop, implement, carry out, or coordinate programs and/or activities to educate the public about, as well as provide enforcement of fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to educate the public in order to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private- not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices. Financial assistance is provided for projects to educate the public in order to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. Education and outreach projects may generally be awarded to a wider variety of organizations including public or private- not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices.

**Applicant Eligibility:**

Qualified Fair Housing Enforcement Organizations, Fair Housing Enforcement Organizations, Public or private not-for-profit organizations or institutions, or other public or private entities that are working to prevent or eliminate discriminatory housing practices, and State and local agencies under the Fair Housing Assistance Program.

**Beneficiary Eligibility:**

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**Credentials/Documentation:**

Costs for State and local government units will be determined in accordance with OMB Circular No. A-87. Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Costs for applicants that are educational institutions will be determined in accordance with OMB Circular No. A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-122 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the federal agency and required by OMB Circular No. A-87. Nonprofit entities and institutions of higher education must use standard forms as furnished by the federal agency.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The

final decision rests with the

Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Two to six months.

**Appeals:**

Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 18 months. Assistance is provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Grant.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, State and local governments must submit all reports required pursuant to OMB Circulars A-102 and A-133. Educational institutions and private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Quarterly progress reports will be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 11 \$10,762,379; FY 12 est \$7,881,666; and FY 13 est \$8,750,000

**Range and Average of Financial Assistance:**

\$125,000 to 1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Paula Stone 451 7th Street, S.W.  
Room 5222, Washington, District of Columbia 20410 Email:  
Paula.Stone@HUD.gov Phone: (202) 402-7054

**Website Address:**

<http://www.hud.gov/offices/fheo/partners.FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.417 FAIR HOUSING ORGANIZATION INITIATIVES**

FHIP FHOI

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist in the organizing of fair housing enforcement in order to develop, implement, carry out, or coordinate programs and/or activities that provide enforcement of, fair housing rights under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include provisions for strengthening existing fair housing enforcement organizations as well as establishing new ones.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Financial assistance is provided for projects to prevent or eliminate discriminatory housing practices. Eligible projects and activities must be conducted in accordance with procedures contained in 24 CFR Part 125 and in an annual Notice of Funding Availability. Financial assistance is provided for projects to affirmatively further fair housing conducted by public or private entities. However, fair housing enforcement projects, including those to support the continued development of existing fair housing organizations and to establish new ones, may only be awarded to fair housing enforcement organizations under the Fair Housing Act or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices.

**Applicant Eligibility:**

Qualified Fair Housing Enforcement Organizations or Fair Housing Enforcement Organizations and nonprofit groups organizing to build their capacity to provide fair housing enforcement.

**Beneficiary Eligibility:**

Any person or group of persons aggrieved by discriminatory housing practices because of race, color, religion, sex disability familial status or national origin. Also, any person or group of persons, including landlords or real estate agents, to prevent discriminatory housing practices because of race, color, religion, sex, disability, familial status or national origin.

**Credentials/Documentation:**

Costs for applicants that are private nonprofit entities will be determined in accordance with OMB Circular No. A-122. Applicants for enforcement related activities must provide verification of 501(c)(3) status. Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB

Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102 is excluded from this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. Nonprofit entities and institutions of higher education must use standard forms as furnished by the Federal agency and required by OMB Circular No. A-110.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the selection criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadline published on [www.grants.gov](http://www.grants.gov) or follow instructions above.

Two to six months.

**Appeals:**

Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods generally ranging from 12 to 36 months. Assistance provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: This assistance is awarded through funding documents and grant agreements obligating documents. Funds are released through HUD's financial system. See the following for information on how assistance is awarded/released: This assistance is awarded through funding documents and grant agreements obligating documents. Funds are released through HUD's financial system.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Grantees are assessed on their performance of timely submission of deliverables, the quality of their submissions and their efficiency in meeting specified timelines for drawing down funds and financial management. Expenditure reports are not applicable. Grantees are assessed on their performance of timely submission of deliverables, the quality of their submissions and their efficiency in meeting specified timelines for drawing down funds and financial management.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Not applicable

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Project Grants) FY 11 \$10,820,355; FY 12 est \$6,375,000; and FY 13 est \$4,500,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Paula Stone 451 7th Street, S.W.  
Room 5222  
Washington, D.C. 20410, Washington, District of Columbia 20410 Email: Paula.Stone@HUD.gov Phone: 2024027054

**Website Address:**

<http://www.hud.gov/office/fheo/partners.FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: NO current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.418 PRIVATE ENFORCEMENT INITIATIVES**

FHIP PEI

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist private and tax exempt fair housing enforcement in the investigation and enforcement of all alleged violations. To develop, implement, and carry out, related activities and enforcement under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives include carrying out testing and other investigative activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds can be used to assist tax exempt non-profit fair housing enforcement organizations in enforcement activities.

**Applicant Eligibility:**

Eligible applicants be other private institutions/organizations with at least one

year of enforcement related experience.

Qualified Fair Housing Enforcement Organizations (QFHOs) and Fair Housing Enforcement Organizations.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

Applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines may be found at [www.Grants.gov](http://www.Grants.gov) or contact the headquarters or regional office as appropriate for application deadlines.

One to two months.

**Appeals:**

One to two months.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods ranging from 12 to 36 months. See the following for information on how assistance is awarded/released: Assistance is awarded through funding documents and negotiated grant agreements and HUD financial system releases funds based on reimbursement of activities. See the following for information on how assistance is awarded/released: Assistance is awarded through funding documents and negotiated grant agreements and HUD financial system releases funds based on reimbursement of activities.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Tax exempt fair housing enforcement organizations. Expenditure reports are not applicable. Quarterly progress reports will be required. Expenditure reports are not applicable. Quarterly progress reports will be required.

**Audits:**



In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 11 \$48,761,338; FY 12 est \$30,050,000; and FY 13 est \$27,850,000

**Range and Average of Financial Assistance:**

\$325,000-\$975,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office Fair Housing Enforcement Center or Program Operations and Compliance Center: Director, Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Paula Stone 451 7th Street, S.W.  
Room 5222

Washington, D.C. 20410, Washington, District of Columbia 20410 Email: Paula.Stone@HUD.gov Phone: (202) 402-7054

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011:

<http://portal.hud.gov/hudportal/documents/huddoc?id=2010FHIPhighscore.pdf>.

Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.419 SECTION 3 TECHNICAL ASSISTANCE**

STB

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Urban Development Act of 1968 as amended. 12 U.S.C. 1701u-Economic Opportunities for Low-and Very Low-Income Persons; 42 U.S.C. 3535(d). 24 CFR Part 135.

**OBJECTIVES:**

To ensure that new employment, training, and contracting opportunities generated from the expenditure of certain HUD funding are directed to low- and very low-income residents of the community where the funds are spent and the businesses that are either owned by, or substantially employ, these persons.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding is provided competitively to subsidize the administrative expenses associated with hiring coordinators to carry out day-to-day Section 3 responsibilities consistent with 24 CFR Part 135 for a period of one-year. Eligible projects and activities must be conducted in accordance with procedures contained in Notice of Funding Availability. Funding is provided competitively to subsidize the administrative expenses associated with hiring coordinators to carry out day-to-day Section 3 responsibilities consistent with 24 CFR Part 135 for a period of one-year. Eligible projects and activities must be conducted in accordance with procedures contained in Notice of Funding Availability.

**Applicant Eligibility:**

Any entity which receives Section 3 covered financial assistance directly from HUD. Such entities include: any State, unit of local government, Public Housing Authority, Indian Tribe, other public body, or public or private nonprofit organization. Applicants must be in compliance with the regulatory requirements of Section 3 in order to apply for competitive funding.

**Beneficiary Eligibility:**

Public Housing Residents; Individuals residing in the metropolitan area or non-metropolitan county in which the Section 3 covered assistance is expended who is low- or very low-income as defined in Section 3(b)(2) of the 1937 Housing Act. Business Concerns that are either 51 percent or more owned by low-or very low-income residents; Business Concerns that substantially employ low-or very low-income residents; or Business Concerns that provide evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that are either owned by or substantially employ low-or very low-income residents.

**Credentials/Documentation:**

Costs for applicants will be determined in accordance with OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the Federal agency and required by OMB Circular No. A-102. Nonprofit entities and institutions of higher education must use standard forms as furnished by the Federal agency and required by OMB Circular No. A-110.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. 2 to 6 months.

**Appeals:**

From 120 to 180 days. 2 to 6 months.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Matching requirements must demonstrate the applicants ability to subsidize additional administrative costs and/or fully fund this position beyond the 1-year timeframe are applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is provided in accordance with requirements and forms provided in the Notice of Funding Availability and shall not extend beyond a 1-year (12 month) period. Assistance provided quarterly or as specified in the grant agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Recipient agencies must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0402-0-1-751.

**Obligations:**

(Project Grants) FY 11 \$600,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$50,000-\$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 135, Economic Opportunities for Low- and Very Low-Income Persons

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office of Fair Housing and Equal Opportunity in the appropriate HUD Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Staci Gilliam Hampton, 451 7th Street, S.W., Room 5232, Washington, District of Columbia 20410 Email: Staci.Gilliam.Hampton@Hud.gov Phone: (202) 402-3468.

**Website Address:**

<http://www.hud.gov/Section 3>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.420 FAIR HOUSING INITIATIVES PROGRAM ENFORCEMENT TESTING TECHNICAL ASSISTANCE**

ETA

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.

**OBJECTIVES:**

To assist private and tax exempt fair housing enforcement organizations in the investigation and enforcement of all alleged violations. To develop, and implement tester training, and enforcement under the Fair Housing Act; 42 U.S.C. 3601-3619 or State or local laws that provide substantially equivalent rights and remedies for alleged discriminatory housing practices. Objectives also include providing tester guidance and other investigative activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Training of all organizations carrying out fair housing testing and testing activities.

**Applicant Eligibility:**

Organizations with the capability to provide training and have knowledge of testing and testing methodologies. Non-profit tax exempt organization with at least three years of experience in training of large groups.

**Beneficiary Eligibility:**

Qualified fair housing enforcement organizations and fair housing enforcement organizations and others interested in conducting fair housing testing.

**Credentials/Documentation:**

Beneficiaries and applicants for funding of testing activities must certify that they will not solicit funds from or seek to provide services or products for compensation to any person or organization which has been the subject of testing by the applicant for a 12-month period following a test. Also, their testing methodology must be approved by HUD before being implemented. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Two to six months.

**Appeals:**

From 120 to 180 days. Two to six months.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of Funding Availability with project periods ranging from 12 to 36 months. See the following for information on how assistance is awarded/released: Grant. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. Additionally, private nonprofit organizations

must submit all reports required pursuant to OMB Circulars A-110 and A-133, and reporting under Form HUD 96010. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 11 \$380,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 125, Fair Housing Initiatives Program for information on testing

**Regional or Local Office:**

See Regional Agency Offices. Myron Newry, 451 7th Street, S.W. Room 5224, Washington, District of Columbia 20401  
Email: Myron.P.Newry@hud.gov Phone 202-402-7095.

**Headquarters Office:**

Myron Newry, 451 7th Street, S.W., Room 5224, Washington, District of Columbia 20410 Email: Myron.P.Newry@hud.gov Phone: (202) 402-7095.

**Website Address:**

<http://www.hud.gov/offices/fheo/partners/FHIP/fhip.cfm>

**RELATED PROGRAMS:**

14.401 Fair Housing Assistance Program\_State and Local; 14.408 Fair Housing Initiatives Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Completed the curriculum and have identified 10 FHIPs to undertake the training. The training has been scheduled but has not happened yet. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.421 LIMITED ENGLISH PROFICIENCY INITIATIVE**

FHENG

**FEDERAL AGENCY:**

Office of Fair Housing and Equal Opportunity, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act of 2012, Public Law 112-55.

**OBJECTIVES:**

To help ensure meaningful access to HUD-related programs, services, and activities by Limited English Proficient (LEP) persons.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance is provided to develop tools and products and deliver seminars that provide assistance to LEP communities in accessing HUD-related

programs, services, and activities.

**Applicant Eligibility:**

Eligible applicants must be non-profit organizations engaged in the process of providing meaningful access to HUD-related programs, services, and activities by Limited English Proficient (LEP) persons.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in accordance with requirements and forms provided in the Notice of Funding Availability as published in the Federal Register. State and local government applicants must use the standard forms as furnished by the federal agency and required by OMB Circular No. A-102. Nonprofit entities and institutions of higher education must use standard forms furnished by the federal agency.

**Award Procedure:**

Applications will be evaluated competitively and awarded points based on the Selection Criteria included in the published Notice of Funding Availability. The final decision rests with the Assistant Secretary for Fair Housing and Equal Opportunity or her/his designee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

From 120 to 180 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is in accordance with requirements and forms provided in the Notice of funding Availability with project periods generally ranging from 12 to 18 months. Assistance is provided quarterly or as specified in the grant agreement. See the following for information on how assistance is awarded/released: Grant. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly progress reports will be required. private nonprofit organizations must submit all reports required pursuant to OMB Circulars A-110 and A-113, and reporting under Form HUD 96010. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

86-0144-0-1-751.

**Obligations:**

(Cooperative Agreements) FY 11 \$649,099; FY 12 est \$300,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

Approximately \$100,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1 Non-discrimination in Federally Assisted programs of the Department of Housing and Urban Development - Affection of the Title VI of the Civil Rights Act of 1964, "Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient persons," 72 Federal Register 2732.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Bryan Greene 451 7th Street, S.W.  
Washington, D.C., Washington, District of Columbia 20410 Email:  
Bryan.Greene@Hud.gov Phone: 202 402-7078

**Website Address:**

<http://www.hud.gov/offices/fheo/promotingfh/lep.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria that will be considered in reviewing applications will be included in the Notices of Funding Availability, as published in the Federal Register.

**14.523 TRANSFORMATION INITIATIVE RESEARCH GRANTS:  
SUSTAINABLE COMMUNITY RESEARCH GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010 (Public Law 111-117 approved December 16, 2009). This program is approved by HUD's authority and administered under the Transformation Initiative (TI) account.

**OBJECTIVES:**

The purpose of this effort is to fill key data and information gaps, and to begin to develop and evaluate policy alternatives that communities can adopt to facilitate decision making about various community investments. Additionally, the HUD believes that the results from the program will enable the department to develop a broader sustainability agenda beyond current departmental priorities, as well as any future efforts or initiatives that may be considered based on the results of the research.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds awarded under this NOFA must be used to support direct costs incurred in the timely completion of the research product. Eligible costs include, but are not limited to, the researchers salary, associates to work on the project, protected/release time to demonstrate the need for a period of intensive research, computer software, data purchases, travel expenses to collect data or to make presentations at meetings, transcription services, and compensation for interviews. 1. Funding will only be provided to researchers who meet the

standards for eligible applicants.

2. Grant funds awarded under this program may not be used to pay for computer hardware and/or meals.
3. Fee or profit will not be paid for work done under this program.
4. Applicants must comply with the Delinquent Federal Debt Requirement.

**Applicant Eligibility:**

Nationally recognized and accredited institutes of higher education; non-profit foundations, research consortia or policy institutes; for-profit organizations located in the U.S. and contract research institutions or academic entities that will sponsor a researcher or experts as the applicant. However, the sponsored researcher assumes the sole responsibility for the completion of the application and conducting the research.

In addition, the researcher must meet the following program requirements:

- a. Be a U.S. citizen or U.S. national (such as a person born in the Swains Island or American Samoa) within the meaning of 8 U.S.C. 1408, or be a lawful permanent resident (a recipient of an Alien Registration Recipient Card-Form I-551, commonly referred to as a Green Card), or other qualified alien (such as, an alien who has been granted asylum or refugee status) within the meaning of 8 U.S.C. 1651(b); and
- b. The proposed research project can be completed within the 24 months grant performance period.

**Beneficiary Eligibility:**

The purpose of this NOFA is to inform the research community of the opportunity to submit grant applications to fund quality research under the broad subject area of sustainable development. HUD is primarily interested in sponsoring cutting edge research in the areas of affordable housing development and preservation; transportation-related issues; economic development and job creation; land use planning and urban design; green and sustainable energy practices; and a range of issues related to sustainability.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be rated, ranked and awards will be made to the highest rated applications. HUD reserves the right to reduce the amount of funding requested in order to fund as many highly ranked applications as possible. Additionally, if funds remain after funding the highest ranked applications, HUD may fund part of the next highest-ranking application. If a researcher turns down the award offer, HUD will make an offer to the next highest-ranking application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The process for applying for a grant through this NOFA involves a two-step process. First, applicants are invited to submit a preliminary application for funding consideration. Second, if the preliminary application is selected for further consideration, the researcher will be requested to submit a full application for funding consideration within 30 days after the closing date of this NOFA.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The maximum grant performance period is for 24 months (2 years). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports must be submitted electronically. At the end of the grant performance period, researcher must submit to HUD two copies and a CD-ROM containing an electronic copy of the paper documenting the research finding in its final version, as well as a final report which summarizes the entire work and achievements conducted under this award. Cash reports are not applicable. All researchers that receive grant funds under this program are required to submit a quarterly progress report which describes the progress of the effort and the likelihood that it will be completed on time. Financial reports must be included that reflects the cost incurred by budget line, as well as a cumulative summary of costs incurred during the reporting period. Each grant's performance will be monitored.

**Audits:**

Not Applicable.

**Records:**

Records must be kept in accordance with the program's terms and conditions.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,497,000; FY 12 est \$0; and FY 13 Estimate Not Available(Exp: FY 13 Estimate not available) - This program is approved by HUDs research authority and administered under the Transformation Initiative (TI) account.

**Range and Average of Financial Assistance:**

An applicant may request a minimum of \$150,000, up to \$500,000 for an award, depending on the scope and scale of the proposed research. Awards under this NOFA will be made in the form of Cooperative Agreements.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Sandra Susan Brunson, 451 7th Street, SW, Room 8230, Washington, District of Columbia 20410 Email: Susan.S.Brunson@hud.gov Phone: (202) 402-3852.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.534 STRONG CITIES STRONG COMMUNITIES (SC2) NATIONAL RESOURCE NETWORK**

**FEDERAL AGENCY:**

Office of Policy Development and Research, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated and Further Continuing Appropriations Act, 2012: This program is approved by HUDs authority and administered under the Transformation Initiative (TI) account. , Public Law 112-55.

**OBJECTIVES:**

The purpose of the SC2 National Resource Network is to help strengthen local communities and spur economic growth. The SC2 Network will provide economically distressed communities with short-term technical assistance in basic operational areas as well as programmatic issues, dictated by local need. In addition, the SC2 Network will aggregate public and private resources to serve a wide range of governments and connect them through a peer-to-peer learning network.

The objectives of the programs are as follows:

Provide communities facing long-term economic challenges with easily accessible and comprehensive technical assistance that can help retool them for future economic growth;

Build capacity in distressed communities by connecting them with philanthropic organizations, non profits, public and private sector entities to facilitate long-term partnerships and economic investments;

Develop a set of best practices and policy recommendations that can be disseminated and shared across all communities facing similar economic challenges;

Improve the alignment of federal resources as well as strengthen federal and local partnerships.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Eligible costs include: salaries for program staff and technical experts, traveling expenses, expenses related to the eligible activities in the NOFA such as providing operational assessments, developing the clearinghouse and Peer to Peer network, tracking performance metrics, building Local Resource Networks, and evaluating the program. 1) Funding will only be provided to applicants who meet the standards for eligible applicants.

2) Funds will not be used to pay for activities outside the scope of the NOFA.

3) Grant funds awarded under this program may not be used to pay for computer hardware.

4) Honorariums cannot be charged against awards under this program.

5) An organization may not provide assistance to itself.

6) An organization may not provide assistance to another organization with which it contracts or sub-awards funds to carry out activities under this award.

7) No fee or profit may be paid to any recipient or contractor of an award under this NOFA.

8) Contractors providing technical assistance/capacity building services/products are not consultants and thus are not subject to the salary provisions applicable to consultants in the FY2012 General Section. HUD will determine whether the salary rates are reasonable and customary for the skill set provided and the area(s) being served.

**Applicant Eligibility:**

The grantee of the SC2 Network, will have five categories of eligible activities:

1. Structure Development: Develop the SC2 Network structure that would include a team of expert technical service providers (pro bono or paid) that represent the breadth of relevant expertise needed to address the long-term economic challenges of communities. This responsibility also includes developing a Peer-to-Peer network to share lessons learned and best practices.

2. Engagement: Develop the engagement strategy for how the network will assist economically-distressed cities. This responsibility also includes systematizing how cities are engaged, prioritizing the level of assistance for each city, and matching the level of assistance based on the needs of each city.

3. Capacity building: Increase the capacity of participating governments in the area of intervention, not just to provide a one-time service that they cannot replicate. This responsibility might also include establishing a Local Resource Network (LRN) for communities with potential private and philanthropic resources to sustain local capacity building over a longer term.

4. Evaluation: Carefully document and evaluate interventions to build a series of best practice strategies that can benefit places with similar challenges, and develop forums for sharing this knowledge.

5. Policy Recommendation: Identify for the SC2 Council how federal policy changes could help local governments better achieve their economic development visions, and other policies, systems, and practices that support holistic and sustainable economic development.

In addition to these five categories, the Administrator will also work with the

other three components of SC2 (described under I.A.1. SC2 Components), as well as the SC2 Council (described under I.A.2 Executive Order) to meet the broad goals and objectives of the initiative.

**Beneficiary Eligibility:**

The grantee must also have a demonstrated ability to obtain other community, private sector, and federal resources that can be combined with HUDs program resources to achieve program objectives. In general, an ideal Administrator will have most or all of the following characteristics:  
Place-based: The selected applicant, buoyed by support of agencies and the philanthropic community, will have experience working in many distressed communities, and will be able to match these communities to relevant technical experts quickly and efficiently.

Resource-maximizing: The selected applicant will have a national scope and will be well-accustomed to the challenge of distributing scarce resources across communities with distinct needs. The ability to effectively evaluate requests for service will be paramount to using the SC2 Networks resources to their greatest potential.

Nimble, responsive, and service-oriented: The SC2 Network will be designed to provide very timely assistance that can thoroughly understand and adapt to needs on the ground. Therefore, the selected applicant will have, or can quickly pull together a deep team of technical experts, and, when necessary, develop partnerships between experts on issues that require multiple skill sets and excellent customer service skills.

Objective: In some cases, procedures or regulations may be a barrier to local capacity building. The selected applicant will facilitate local partnering and provide honest feedback to HUD and the other SC2 agencies for relieving burdens on local governments, while retaining accountability for results.

Sustainable: The selected Administrator will have the nonprofit management expertise required to make the SC2 Network financially sustainable, and as an outside entity, can attract philanthropic funding and leverage HUDs investment several times over.

**Credentials/Documentation:**

The following forms are required:

- SF424
- SF424 sup,
- SF-LL forms. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Notice of Funding Availability (NOFA) for the SC2 Network will be published in grants.gov. HUD will evaluate and rate all applications for funding that meet the threshold requirements.

**Award Procedure:**

Applications will be rated and ranked. HUD will announce a grantee when one has been selected. HUD will send written notifications to both successful and unsuccessful applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Debriefings are available by request for a period of 60 days after the award is publicly announced.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for this grant is 36 months or (3 years). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Report must be submitted electronically on a quarterly basis, as well as regular reporting requirements to the SC2 Council. At the end of the grant performance period, a final report must be submitted. Cash reports are not applicable. Report must be submitted electronically on a quarterly basis, as well as regular reporting requirements to the SC2 Council. Financial reports must be included that reflect the cost incurred by budget line, as well as cumulative summary of costs incurred during the reporting period. Performance will be monitored.

**Audits:**

Not Applicable.

**Records:**

Records must be maintained in accordance with the program's terms and conditions.

**Account Identification:**

86-0402-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$5,000,000 - This program is approved by HUDs authority and administered under the Transformation Initiative (TI) account.

**Range and Average of Financial Assistance:**

Approximately \$5 million will be awarded to one applicant (or a consortium with a lead applicant). This award will be made in the form of a Cooperative Agreement. A Cooperative Agreement means that HUD will have substantial involvement during performance of the grant.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kheng Mei Tan 451 7th Street, SW, Room 8116, Washington , District of Columbia 20410 Email: Khengmei.tan@hud.gov Phone: 202-402-4986 Fax: 202-708-0573

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

HUD will use the narrative response to the Rating Factors to evaluate, rate, and rank applications. The narrative statement is the main source of information when rating and ranking applications. Therefore, it is very important that the applicant becomes fully familiar with the rating factors for the NOFA.

**14.703 SUSTAINABLE COMMUNITIES REGIONAL PLANNING GRANT PROGRAM**

Planning Grant

**FEDERAL AGENCY:**

Office of Sustainable Housing and Community, Department of Housing and Urban Development

**AUTHORIZATION:**

The Department of Defense and Full-Year Continuing Appropriations Act, 2011, Executive Order The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, enacted April 15, 2011)

(Appropriations Act), provided a total of \$100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity of communities to modernize land use and zoning plans. Of that total, \$70,000,000 was available for the Sustainable Communities Regional Planning Grant Program, and \$30,000,000 was available for the Challenge Planning Grant Program. , Public Law 112-10, Stat. 159, XII U.S.C 2240.

#### **OBJECTIVES:**

The Sustainable Communities Regional Planning Grant Program (Program) supports metropolitan and multijurisdictional planning efforts that integrate housing, land use, economic and workforce development, transportation, and infrastructure investments in a manner that empowers jurisdictions to consider the interdependent challenges of: (1) economic competitiveness and revitalization; (2) social equity, inclusion, and access to opportunity; (3) energy use and climate change; and (4) public health and environmental impact. The Program places a priority on investing in partnerships, including nontraditional partnerships (e.g., arts and culture, recreation, public health, food systems, regional planning agencies and public education entities) that translate the Livability Principles (Section I.C.1) into strategies that direct long-term development and reinvestment, demonstrate a commitment to addressing issues of regional significance, use data to set and monitor progress toward performance goals, and engage stakeholders and residents in meaningful decision-making roles.

Funding from this Program will support the development and implementation of Regional Plans for Sustainable Development (RPSD) that:

- a. Identify affordable housing, transportation, water infrastructure, economic development, land use planning, environmental conservation, energy systems, open space, and other infrastructure priorities for the region;
- b. Clearly define a single, integrated plan for regional development that addresses potential population growth or decline over a minimum 20-year time frame, sets appropriate 3- to 5-year benchmark performance targets, and delineates strategies to meet established performance goals;
- c. Establish performance goals and measures that are, at a minimum, consistent with the Sustainability Partnerships Livability Principles;
- d. Use geo-coded data sets and other metrics in developing, implementing, monitoring, and assessing the performance goals of various reinvestment scenarios;
- e. Provide detailed plans, maps, policies, and implementation strategies to be adopted by all participating jurisdictions over time to meet planning goals;
- f. Prioritize projects that facilitate the implementation of the regional plan and identify responsible implementing entities (public, nonprofit, or private) and funding sources;
- g. Show how the proposed plan will establish consistency with HUD, Department of Transportation (DOT), and Environmental Protection Agency (EPA) programs and policies, such as Consolidated Plans, Analysis of Impediments to Fair Housing Choice, Long Range Transportation Plans, Indian Housing Plans, and Asset Management Plans, including strategies to modify existing plans, where appropriate; and
- h. Engage residents and other stakeholders substantively and meaningfully in the development of the shared vision and its implementation early and throughout the process, including communities traditionally marginalized from such processes, while accommodating limited English speakers, persons with disabilities, and the elderly.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

Potential applicants should consult the NOFA for the specific funding uses and restrictions. Potential applicants should consult the NOFA for the specific funding uses and restrictions. All funds are discretionary funds.

#### **Applicant Eligibility:**

Potential applicants should consult the NOFA for the specific funding uses and restrictions. Applicants with outstanding civil rights violations are not eligible for funding.

#### **Beneficiary Eligibility:**

Funding from this Program will support the development and implementation of Regional Plans for Sustainable Development (RPSD) that:

- a. Identify affordable housing, transportation investment, water infrastructure, economic development, land use planning, environmental conservation, energy systems, open space, and other infrastructure priorities for the region;
- b. Clearly define a single, integrated plan for regional development that addresses potential population growth or decline over a minimum 20-year timeframe;
- c. Establish performance goals and measures that are, at a minimum, consistent with the Sustainability Partnerships Livability Principles;
- d. Prioritize projects that facilitate the implementation of the regional plan and identify responsible implementing entities (public, non-profit, or private) and funding sources;
- g. Show how the proposed plan will establish consistency with HUD, DOT, and EPA programs, and policies, such as Consolidated Plans, Analysis of Impediments to Fair Housing Choice, Long Range Transportation Plans, and Asset Management Plans, including strategies to modify existing plans where appropriate; and
- h. Engage residents and stakeholders substantively and meaningfully in the development of the shared vision and its implementation early and throughout the process, including communities traditionally marginalized from such processes, while accommodating limited English speakers, persons with disabilities, and the elderly.

#### **Credentials/Documentation:**

See NOFA. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

#### **Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. Applicants must provide 20 percent of the requested funding amount in match in the form of cash and/or verified in-kind contributions or a combination of these sources. In-kind contributions may be in the form of staff time, donated materials, or services.

All contributions provided to meet this requirement must be identified in the application by their dollar equivalent based upon accepted salary or regional dollar values. Cash contributions may come from any combination of local, state, and/or private and philanthropic contributions dedicated to the express purposes of the proposal. Applicants will receive credit for leveraging resources greater than the 20 percent required match amount. If an applicant does not include the minimum 20 percent match with appropriate supporting documentation, that application will be considered ineligible. Federal funds are not eligible as match unless otherwise permitted in their authorizing statutes (e.g., Community Development Block Grant funds (CDBG) can be used as match). Applicants submitting multiple applications for different projects must secure independent matching funds for each proposal submitted. Note that applicants may not submit multiple applications for the same project. For all matched or leveraged resources, the applicant must support each source of contributions, cash or in-kind, both for the required match and additional leverage amounts, by a letter of commitment from the contributing entity, whether a public or private source. Such supporting documentation must be

provided in the form of 1) letters of firm commitment, 2) memorandums of understanding, or 3) other signed agreements to contribute from those entities identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, the proposed level and type of commitment, and the responsibilities as they relate to your proposed program. The commitment must be signed and dated by an official of the organization legally able to make commitments on behalf of the organization. If the applicant does not provide letters from contributors specifying details and the amount of the actual contributions, those contributions will not be counted. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Sustainable Communities Regional Planning Grant award is up to 36-months. See the following for information on how assistance is awarded/released: This is a cost reimbursable grant.

**Reports:**

Bi-annual reports will be expected. No cash reports are required. Semi-annual reports will be expected. This is a cost reimbursable grant program. All drawdown requests will require review for approval. Bi-annual reports will be expected.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

86-0162-0-1-451 - For FY 10 and 11 obligation account is 86-0162-0-1-451.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$67,160,165; FY 12 est \$0; and FY 13 est \$45,080,000

**Range and Average of Financial Assistance:**

100,000 to 5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Examples of accomplishments:

With its grant, the Chicago, IL metropolitan area has devised a plan that will save \$1.5 billion in future infrastructure spending.

With grant support, Salt Lake City, UT found it could save \$4.3 billion on infrastructure costs by focusing development on the regional transportation system and existing communities.

The Austin, TX grant helped create 7,000 permanent jobs and thousands of jobs in the construction sector. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dwayne S. Marsh 451 7th Street SW  
Room 10180, Washington, District of Columbia 20410 Email:  
Dwayne.S.Marsh@hud.gov Phone: (202) 402-6316 Fax: (202) 708-0465

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/sustainable\\_housing\\_communities](http://portal.hud.gov/hudportal/HUD?src=/program_offices/sustainable_housing_communities)

**RELATED PROGRAMS:**

14.704 Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants; 14.705 Capacity Building for Sustainable Communities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of projects include:

The Pine Ridge Indian Reservation, SD is creating its first economic development plan to address a lack of commercial amenities and unemployment by promoting job training, streamlined business regulations and access to capital.

Some grantees are undertaking planning efforts statewide (in New Hampshire and Rhode Island), some are initiating planning efforts with neighboring states (Nebraska/Iowa, Kansas/Missouri, New York/Connecticut, and Idaho/Wyoming) and others are supporting planning efforts among several regions (in North Carolina, Texas and California).

The City of Austin, TX is linking its long-term regional transportation plan to 37 mixed income communities near transit and job centers. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

**14.704 COMMUNITY CHALLENGE PLANNING GRANTS AND THE DEPARTMENT OF TRANSPORTATION'S TIGER II PLANNING GRANTS**

Community Challenge Planning Grant Program

**FEDERAL AGENCY:**

Office of Sustainable Housing and Community, Department of Housing and Urban Development

**AUTHORIZATION:**

Department of Defense and Full-Year Continuing Appropriations Act, 2011, Executive Order The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, approved April 15, 2011) (Appropriations Act), provided a total of \$100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity to improve land use and zoning. Of that total, \$70,000,000 was available for the Sustainable Communities Regional Planning Grant Program, and \$30,000,000 was available for the Community Challenge Planning Grant Program. , Title 12, Section 2240, Public Law 112-10, Stat. 158-159.

**OBJECTIVES:**

The Department of Housing and Urban Developments ("HUD") Community Challenge Planning Grant Program ("Program") fosters reform and reduces barriers to achieving affordable, economically vital, and sustainable communities. Such efforts may include amending or replacing local master plans, zoning codes, and building codes, either on a jurisdiction-wide basis or in a specific neighborhood, district, corridor, or sector to promote mixed-use development, affordable housing, the reuse of older buildings and structures for new purposes, and similar activities with the goal of promoting sustainability at the local or neighborhood level. This Program also supports the development of affordable housing through the development and adoption of inclusionary zoning ordinances and other activities to support plan implementation. The Community Challenge Planning Grant Program differs from HUD's Sustainable Communities Regional Planning Grant Program. While the latter program is designed to support regional planning efforts, the Community Challenge Planning Grant Program focuses on individual jurisdictions and more localized planning.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Potential applicants should consult the NOFA for available grant funding, particular requirements and restrictions, and application due dates. Submission information is provided in the NOFA.

**Applicant Eligibility:**

State and local governments, including U.S. territories, tribal governments, and political subdivisions of state or local governments, and multistate or multijurisdictional groupings.

**Beneficiary Eligibility:**

State and local governments, including U.S. territories, tribal governments, and political subdivisions of state or local governments, and multistate or



multijurisdictional groupings.

**Credentials/Documentation:**

See NOFA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The competitive Notification of Funding Availability (NOFA) The Community Challenge Planning Grant Program provides information about the application procedure.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Applicants must provide 20 percent of the requested funding amount in match in the form of cash and/or verified in-kind contributions or a combination of these sources. In-kind contributions may be in the form of staff time, donated materials, or services. See Section III.B.2. below for a more detailed description of possible in-kind contributions. All contributions provided to meet this requirement must be identified in the application by their dollar equivalent based upon accepted salary or regional dollar values. Cash contributions may come from any combination of local, state, and/or private and philanthropic contributions dedicated to the express purposes of the proposal. Applicants will receive credit for leveraging resources greater than the 20 percent required match amount. If an applicant does not include the minimum 20 percent match with appropriate supporting documentation, that application will be considered ineligible. Federal funds are not eligible as match unless otherwise permitted in their authorizing statutes (e.g., Community Development Block Grant funds (CDBG) can be used as match). Applicants submitting multiple applications for different projects must secure independent matching funds for each proposal submitted. Note that applicants may not submit multiple applications for the same project. For all matched or leveraged resources, the applicant must support each source of contributions, cash or in-kind, both for the required match and additional leverage amounts, by a letter of commitment from the contributing entity, whether a public or private source. Such supporting documentation must be provided in the form of 1) letters of firm commitment, 2) memorandums of understanding, or 3) other signed agreements to contribute from those entities identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, the proposed level and type of commitment, and the responsibilities as they relate to your proposed program. The commitment must be signed and dated by an official of the organization legally able to make commitments on behalf of the organization. If the applicant does not provide letters from contributors specifying details and the amount of the actual contributions, those contributions will not be counted.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Community Challenge Planning Grant Program award is up to 36 months. See the following for information on how assistance is awarded/released: Cost Reimbursable.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Applicants that receive awards will be expected to report on the progress of the project and outcomes realized at the mid-way point and at the end of the term of the grant. See NOFA. See NOFA.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

86-0162-0-1-451 - For FY 10 and FY 11 obligation code 86-0162-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 11 \$28,641,834; FY 12 est \$0; and FY 13 est \$45,080,000

**Range and Average of Financial Assistance:**

up to \$3,000,000 with a minimum of \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Examples of accomplishments:

The City of Ranson, WV has planned complete streets, sidewalks and building frontages with its grant funding.

The City of Indianapolis, IN has adopted a new plan for Downtown Indianapolis and built over 60 miles of new bike lanes. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See NOFA

**Regional or Local Office:**

None.

**Headquarters Office:**

Sunaree K Marshall 451 7th Street SW  
Room 10180, Washington, District of Columbia 20410 Email:  
Sunaree.K.Marshall@hud.gov Phone: 2024026011 Fax: 2027080465

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/sustainable\\_housing\\_communities](http://portal.hud.gov/hudportal/HUD?src=/program_offices/sustainable_housing_communities)

**RELATED PROGRAMS:**

14.703 Sustainable Communities Regional Planning Grant Program; 14.705 Capacity Building for Sustainable Communities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of projects include:

The City of Ranson, WV is working to address rural sustainable development through planning and zoning efforts to promote mixed uses and affordable housing.

The City of Indianapolis, IN is using a HUD-sponsored neighborhood redevelopment strategy to attract knowledge sector workers and businesses to the community. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

**14.705 CAPACITY BUILDING FOR SUSTAINABLE COMMUNITIES**

Capacity Building

**FEDERAL AGENCY:**

Office of Sustainable Housing and Community, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2010 (Public Law 111-117, approved December 16, 2009), 123 Stat. 3084.

**OBJECTIVES:**

The Capacity Building for Sustainable Communities Grant Program (Program) will identify intermediary organizations that can provide the technical and capacity building support to metropolitan regions and communities engaged in planning efforts that support community involvement and integrate housing,

land use, land cleanup and preparation for reuse, economic and workforce development, transportation, and infrastructure investments. Each grantee will be expected to deliver capacity building support to communities across the United States.

The first purpose of the Program is to build a collection of capacity building service providers to work directly with the FY2010 and FY2011 HUD Sustainable Communities Regional Planning and Community Challenge grant recipients, HUD Preferred Sustainability Status communities, and EPA Sustainable Community Technical Assistance recipients and Brownfield Area Wide Planning grant recipients (collectively Sustainable Communities Grantees), and enable them to fulfill their anticipated outcomes. HUD and other Partnership agencies will work regularly with all recipients of grant funds to maintain a coordinated and leveraged delivery approach that ensures the maximum benefit to local governments, regions, planning entities and partners engaged in the prescribed activities.

The second purpose of the Program is to build a national coalition and leadership network of the Sustainable Communities Grantees. The purpose of the network is to facilitate the exchange of successful strategies, lessons learned, emerging tools and public engagement strategies, and approaches for avoiding or minimizing pitfalls.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Potential applicants should consult the NOFA for the specific funding uses and restrictions. All funds are discretionary funds.

**Applicant Eligibility:**

Potential applicants should consult the NOFA for the specific funding uses.

**Beneficiary Eligibility:**

This NOFA brings together funds from HUD's Sustainable Communities Initiative and Transformation Initiative, and the U.S. Environmental Protection Agency (EPA) Offices of Sustainable Communities, Brownfields and Land Revitalization, and Water. The Consolidated Appropriations Act, 2010 (P.L. 111-117, December 16, 2009), provided a total of \$150 million in fiscal year 2010 and \$100 million in fiscal year 2011 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity to improve land use and zoning.

**Credentials/Documentation:**

To receive an award of funds, applicants must meet all threshold requirements contained in the Notice of Funding Availability (NOFA). Additional threshold requirements include:

1. Match. Applicants are required to provide a minimum of 10 percent of the total grant funds requested in match or in-kind contributions. In-kind contributions may be in the form of staff time, donated materials, services, or other allowable uses that contribute directly to the completion of the funding request.
2. Applicants must meet the eligibility requirements set forth in the NOFA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

HUD's review and awarding procedures are explained in the NOFA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 10%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance will be 24 months. The period of availability of funds shall be in compliance with 24 CFR part 85.23. A grantee must liquidate all obligations incurred under the award not later than 90 days after the end of the funding period. See the following for information on how assistance is awarded/released: HUD's review and awarding procedures are explained in the NOFA.

**Reports:**

Successful applicants will be required to submit quarterly and final program and financial reports according to the requirements of the Office of Sustainable Housing and Communities. SF-425. Successful applicants will be required to submit quarterly and final program and financial reports according to the requirements of the Office of Sustainable Housing and Communities. SF-425. Monitoring will be conducted by the Office of Sustainable Housing and Communities.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

86-0162-0-1-451 - FY 10 and FY 11 appropriation code is 86-0162-0-1-451.

**Obligations:**

(Cooperative Agreements) FY 11 \$5,650,000; FY 12 est \$0; and FY 13 est \$1,840,000

**Range and Average of Financial Assistance:**

\$500,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Capacity Building for Sustainable Communities Grantees have undertaken several capacity building workshops with Sustainable Communities Regional Planning and Community Challenge Planning grantees throughout the country. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dwayne S. Marsh 451 7th Street SW  
Room 10180, Washington, District of Columbia 20410 Email:  
Dwayne.S.Marsh@hud.gov Phone: (202) 402-6316 Fax: (202) 708-0465

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/sustainable\\_housing\\_communities](http://portal.hud.gov/hudportal/HUD?src=/program_offices/sustainable_housing_communities)

**RELATED PROGRAMS:**

14.703 Sustainable Communities Regional Planning Grant Program; 14.704 Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples include:

Policy Link

PlaceMatters

Reconnecting America. Fiscal Year 2012: No Current Data Available

Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.850 PUBLIC AND INDIAN HOUSING**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937, as amended; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To provide and operate cost-effective, decent, safe and affordable dwellings for lower income families through an authorized local Public Housing Agency (PHA).

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Operating subsidy funds are provided to PHAs to achieve and maintain adequate operating and maintenance service and reserve funds. Funds are made to PHAs based on the extent to which their projected total allowable expenses (as determined by formula) exceed their projected income (also as determined by formula) from rents and other sources. Use restricted to activities specified in the Housing and Community Development Act of 1937, Section 9 (e), Operating Fund.

**Applicant Eligibility:**

Public Housing Agencies established in accordance with State law are eligible. The proposed program must be approved by the local governing body.

Pursuant to the Native American Housing Assistance and Self Determination Act of 1996, Indian Housing Authorities (IHAs) are no longer eligible for funding under the U.S. Housing Act (of 1937) or the Indian Housing Act.

**Beneficiary Eligibility:**

Lower income families which include citizens or eligible immigrants. The term "Families" includes but is not limited to: (1) a family with or without children; (2) an elderly family (head, spouse, or sole member 62 years or older), (3) near elderly family (head, spouse, or sole member 50 years old but less than 62 years old); (4) a disabled family; (5) a displaced family; (6) the remaining member of a tenant family; or (7) a single person who is neither elderly, near-elderly, displaced, or a person with disabilities.

**Credentials/Documentation:**

The applicant must support the application/proposal by furnishing data that the program is consistent with the Public Housing Agency (PHA) Plan (Quality Housing and Work Responsibility Act of 1998). The PHA Plan is designed for both long-term and short-term strategies for addressing the housing needs of the community. The proposed program should demonstrate that it is responsive to the PHA Plan by identifying conditions of the housing stock in the community and the housing assistance needs of lower-income families (including the elderly, persons with disabilities, large families and those displaced or who will be displaced) residing in or expected to reside in the community. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. PHAs may submit a full proposal (HUD-52483-A) which includes, but is not limited to a project description, development method, offer of sale of real property, site information and financial feasibility pursuant to 24 CFR Part 941 and Handbook 7417.1 REV-1 and, if applicable, additional statutory or policy requirements governing the funds provided for the particular fiscal year. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Usually the HUD Field Office Manager makes final decision to approve individual applications. Also, agencies must have Annual Contribution Contract and Cooperative Agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 60 days from the deadline for applications for processing applications/proposals.

**Appeals:**

From 30 to 60 days.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

Statutory Formula: Title Operating Fund, Part 24 CFR , Subpart 990.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Contributions made annually for up to 30 years for development and 20 years for modernization program reservations approved through September 30, 1986 for projects with permanent financing. Annual appropriations of capital funds for development and modernization started October 1, 1986. Projects funded with capital funds after October 1, 1986 will have contract terms of 40 years. See the following for information on how assistance is awarded/released: Funding is provided based on submission of Operating Fund calculation (Form HUD-52723 and HUD-52722).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Financial statements are required from PHAs annually. Submission of family report (HUD-50058) is required from PHAs.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, management, maintenance and energy audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract.

**Account Identification:**

86-0163-0-1-604.

**Obligations:**

(Formula Grants) FY 11 \$3,918,333,588; FY 12 est \$3,374,746,787; and FY 13 est \$3,747,115,896

**Range and Average of Financial Assistance:**

From \$2,250 to \$929,383,437; Average \$2,654,683.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department made available \$3.9 billion in operating subsidies for approximately 1.2 million public housing units. Fiscal Year 2012: The Department projects to make available \$2.74 billion in operating subsidies for approximately 1.2 million public housing units. Fiscal Year 2013: The Department projects to make available \$3.85 billion in operating subsidies for

approximately 1.2 million public housing units.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 990, 24 CFR 941, Handbook 7417.1 (Rev.-1) (Public Housing-Development Handbook), Handbook 7465.1 Rev-2. (Public Housing Occupancy: Admission).

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are to be located.

**Headquarters Office:**

Shauna Sorrells 451 7th Street, S.W., Washington, District of Columbia 20410  
Email: Shauna.M.Sorrells@hud.gov Phone: 202.402.2769

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/am/>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing;  
14.867 Indian Housing Block Grants; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.856 LOWER INCOME HOUSING ASSISTANCE PROGRAM\_SECTION 8 MODERATE REHABILITATION**

(Section 8 Housing Assistance Payments Program for Very Low Income Families-Moderate Rehabilitation)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid very low income families in obtaining decent, safe and sanitary rental housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe and sanitary housing for very low income families at rents they can afford. Housing assistance payments are used to make up the difference between the approved rent due to the owner for the dwelling unit and the occupant family's required contribution towards rent. Assisted families must pay the highest of 30 percent of their monthly adjusted family income, 10 percent of gross family income, or the portion of welfare assistance designated for housing toward rent. This program is inactive, i.e., no new projects are being approved.

**Applicant Eligibility:**

An authorized Public Housing Agency (any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof).

**Beneficiary Eligibility:**

Very low income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families) and, on an exception basis, lower income families (whose income does not exceed 80 percent of the median income for the area adjusted for small and large families). A very low income or, on an exception basis, lower income single person who is elderly, disabled or handicapped, displaced, or the remaining member of an eligible tenant family is also eligible.

**Credentials/Documentation:**

This program is no longer funded for new applications and awards. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No applications for new projects are being accepted.

**Award Procedure:**

No applications for new projects are being accepted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Eligible owners may request a one-year Housing Assistance Payments Contract renewal. Requests must be made at least 75 days prior to Contract expiration.

**Formula and Matching Requirements:**

Statutory Formula: Title 24 CFR.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Under the Moderate Rehabilitation Program, payments may be made for 180 days. Assistance may be extended for 12 months at a time when an eligible owner requests a Housing Assistance Payments Contract renewal. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; and Requisition for Partial Payment of Annual Contributions, HUD Form 52663; Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; Report on Program Utilization, HUD Form 52683; Family Report, HUD Form 50058. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Assistance Payments Contract.

**Account Identification:**

86-0303-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$218,886,002; FY 12 est \$220,000,000; and FY 13 est \$230,000,000

**Range and Average of Financial Assistance:**

\$28,482 to \$2,512,994; Average \$1,560,496.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program served 23,692 families. Fiscal Year 2012: The program projects to serve 23,392 families. Fiscal Year 2013: The program

projects to serve 23,092 families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 882; Section 8 Housing Assistance Payments Program, Existing Housing and Moderate Rehabilitation Processing Handbook, 7420.3; PHA Administrative Practices Handbook for the Section 8 Existing Housing Program, 7420.7; Accounting Handbook 7420.6; Section 8 Rental Certificate, Rental Voucher, and Moderate Rehabilitation Programs Forms, Legal Contracts and Publications, Handbook 7420.7; PIH Notice 2001-13.

**Regional or Local Office:**

See Regional Agency Offices. The HUD Office listed in the Catalog Address Appendix IV has jurisdiction over the area in which the dwellings are to be located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

<http://www.hud.gov/progdsc/pihindx.html>.

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.862 INDIAN COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1974.

**OBJECTIVES:**

To provide assistance to Indian tribes and Alaska Native villages in the development of viable Indian communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Indian tribes and Alaska Native villages may use block grants to improve the housing stock, provide community facilities, make infrastructure improvements, and expand job opportunities by supporting the economic development of their communities. Activities which are eligible for funding include housing rehabilitation programs, acquisition of land for housing, direct assistance to facilitate homeownership among low and moderate income persons, construction of tribal and other facilities for single or multi-use, streets and other public facilities, and economic development projects particularly those by nonprofit tribal organizations or local development corporations when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Tribes and Alaska Native villages are restricted from using block grants for construction and improvement of governmental facilities, the purchase of equipment, general government expenses, operating and maintenance expenses, political activities, new housing construction (except through community-based development organizations (CBDOS)), and income payments.

**Applicant Eligibility:**

Any Indian tribe, band, group, nation, or tribal organization, including Alaska Indians, Aleuts, and Eskimos, and any Alaska Native village that is eligible for assistance under the Indian Self-Determination and Education Assistance Act or which had been eligible under the State and Local Fiscal Assistance Act of 1972.

**Beneficiary Eligibility:**

The principal beneficiaries of ICDBG funds are low and moderate income persons. Low and moderate income is generally defined as 80 percent of the

median income, as determined by HUD, adjusted for family size.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must file an application on forms prescribed by HUD, which describe the community development need and how that need will be addressed by the proposed project. The application must provide sufficient information for the project to be rated against selection criteria.

**Award Procedure:**

The Office of Native American Programs (ONAP) Area Office is responsible for rating and approving applications and for notifying applicants of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Limitations, conditions, and requirements specified in NOFA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available until project completion, usually within two years. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

No program reports are required. Grant recipients are required to submit quarterly financial reports. Grant recipients are required to submit annual status and evaluation reports. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," non-federal entities that expend financial assistance of \$500,000 or more in Federal Awards will have a single or a program-specific audit conducted for that year. Non-federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the assistance project must be kept for three to five years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0162-0-1-451.

**Obligations:**

(Project Grants) FY 11 \$130,819,990; FY 12 est \$60,000,000; and FY 13 est \$60,000,000

**Range and Average of Financial Assistance:**

\$90,000 to \$5,500,000; Average \$737,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program provided funding, through 84 awards, for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities. Fiscal Year 2012: The program will provide funding for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities. Fiscal Year 2013: The program will provide funding for housing rehabilitation, new construction, infrastructure, community facilities, reducing imminent threats, and economic development in tribal communities.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 1003.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate HUD Office of Native American Programs (ONAP) Area Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Rodger Boyd, 451 7th Street, S.W., Room 4126, Washington, District of Columbia 20410 Email: Rodger.J.boyd@hud.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/grants/icdbg.cfm>.

**RELATED PROGRAMS:**

14.867 Indian Housing Block Grants; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must be submitted by any eligible tribe or Alaska Native Village which has the capacity to administer a grant. Applications are then rated against factors which measure impact and quality.

**14.865 PUBLIC AND INDIAN HOUSING\_INDIAN LOAN GUARANTEE PROGRAM**

(Loan Guarantees for Indian Housing)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing and Community Development Act of 1992, Public Law 102-550, 12 U.S.C 1515z - 13a.

**OBJECTIVES:**

To provide homeownership opportunities to Native Americans, Tribes, Indian Housing Authorities including Tribally Designated Housing Entities (TDHEs), and Indian Housing Authorities on Indian land, through a guaranteed mortgage loan program available through private financial institutions.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Mortgage loans are for the acquisition or rehabilitation of existing homes, purchase and rehabilitation of a home or construction of a new home; and refinancing of existing debt. The financial institution which originates the mortgage loan must meet certain requirements noted in the law.

**Applicant Eligibility:**

The loan applicant must be members of a federally recognized Indian tribe, band or community, which includes Native Americans, Alaska Natives, or an Indian Housing Authority including a Tribally Designated Housing Authority (TDHE) or a Tribe which meets certain requirements. Applicant eligibility is validated by current enrollment in a federally recognized tribe.

**Beneficiary Eligibility:**

The homeowner is the ultimate beneficiary of the program. When the Indian

Housing Authority, TDHE or Tribe is the homebuyer, they may then rent the property. In these cases, the person renting the home would be an indirect beneficiary.

**Credentials/Documentation:**

Loan applicants must provide the lender with documentation on eligibility, assets, income, debts and liabilities to show ability to obtain and repay the mortgage loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to eligible financial institutions. With the loan application, the homebuyer must submit documentation such as pay stubs, W-2 forms (income tax returns if self-employed), evidence of assets such as bank accounts, and any other documentation requested by the lender to support the applicant's ability to obtain and repay the mortgage. The lender verifies the land status of the proposed property.

**Award Procedure:**

The financial institution obtains and reviews all documentation and forwards it to HUD's Office of Native American Programs. HUD sends the Section 184 Loan Guarantee Firm Commitment Form to the Lender if the mortgage meets the Section 184 Program underwriting criteria. The financial institution is responsible for assuring Tribal eligibility, land status, property acceptability and the creditworthiness of the loan applicant. HUD has responsibility for the approval or disapproval of the loan (the application for loan guarantee). Eligible lenders may originate loans under the Direct Guarantee Program. Direct Guarantee lenders underwrite, approve and close the loan prior to submission to HUD for the Loan Guarantee Certificate.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. There are no specific time requirements for the processing of these loans.

**Appeals:**

From 15 to 30 days. Applicants whose loans are disapproved may appeal the disapproval if the applicant can provide additional documentation to resolve the issues which lead to the disapproval.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the loan cannot exceed 30 years. The processing time varies from time of application to the time the loan closes, but in general will average from 30 to 120 days unless there are significant land issues. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or released unless there is a default on a guaranteed loan.

**Reports:**

Participating financial institutions must provide HUD with copies of loan files and must report to HUD on the status of the loan, once it has closed. No cash reports are required. Progress reports are part of the reporting process described above. Expenditure reports are not applicable. Performance monitoring is also part of the reporting process described above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Participating lenders and closed loan files are reviewed to assure compliance with the program's requirements.

**Records:**

Copies of loan files are maintained by HUD. The lender that originates the loan must maintain a copy of the loan file for 2 years after loan closing. The lender that services the loan must maintain the loan file for the life of the loan plus 3 years.

**Account Identification:**

86-0223-0-1-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$504,955,663; FY 12 est \$750,000,000; and FY 13 est \$880,000,000

**Range and Average of Financial Assistance:**

The average loan amount in FY 2011 was \$168,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program guaranteed 2,941 loans for approximately \$505 million in loan guarantees. Fiscal Year 2012: The program projects to guarantee 3,600 loans for approximately \$700 million in loan guarantees. Fiscal Year 2013: The program projects to guarantee 3,600 loans for approximately \$875 million in loan guarantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1005; a Guidebook and literature is available from HUD's Office of Native American Programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978

**Website Address:**

<http://www.hud.gov/offices/pih/ih/homeownership/184>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.866 DEMOLITION AND REVITALIZATION OF SEVERELY DISTRESSED PUBLIC HOUSING**

(HOPE VI)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Appropriation Act 2009, Public Law 111-8.

**OBJECTIVES:**

Revitalization Grants enable PHAs to improve the living environment for public housing residents of severely distressed public housing projects through the demolition, substantial rehabilitation, reconfiguration, and/or replacement of severely distressed units; revitalize the sites on which severely distressed public housing projects are located and contribute to the improvement of the surrounding neighborhood; lessen isolation and reduce the concentration of low-income families; build sustainable mixed-income communities; and provide well-coordinated, results-based community and supportive services that directly complement housing redevelopment and that help residents to achieve self-sufficiency, young people to obtain educational excellence, and the community to secure a desirable quality of life.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

HOPE VI Revitalization grant funds may be used to fund the revitalization of severely distressed public housing developments. Such activities include the demolition of severely distressed public housing developments or portions thereof; relocation costs for affected residents; disposition activities; rehabilitation of existing public housing units and/or community facilities; development of new public and other housing units and community facilities; homeownership activities; acquisition activities; necessary management improvements and administrative costs; and community and supportive services. Up to 15 percent of a grant may be used for community and supportive services activities.

**Applicant Eligibility:**

For HOPE VI Revitalization Grants, Public Housing Agencies (PHAs) operating public housing units are eligible to apply. Indian Housing Authorities and PHAs that only administer the Section 8 Program are not eligible to apply.

**Beneficiary Eligibility:**

For HOPE VI Revitalization Grants, the ultimate beneficiaries are residents of the severely distressed public housing and residents of the revitalized development.

**Credentials/Documentation:**

Eligibility requirements to apply for a HOPE VI grant are included in each year's Notice of Funding Availability (NOFA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicant indicates on the SF-424 (Application for federal assistance) whether they are subject to E.O 12372 or not. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For FY 2009, the issuance of the NOFA is announced in the Federal Register. The NOFA and all necessary application materials are made available on the Grants.gov website and the HUD website.

**Award Procedure:**

HUD Headquarters reviews each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest-rated applications are notified that they have been selected to participate in the HOPE VI program. Funds are obligated when HUD and the applicant execute a form HUD-1044, "Assistance Award/Amendment".

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 3 months from the application deadline date.

**Appeals:**

Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: 1. Overall match of 5 percent.

2. Community and Supportive Services (CSS) match: if applicants are requesting over 5% of the grant to be used for CSS, they must provide match for that amount that exceeds the 5% (note: per statute at most, 15% of the total grant may be used for CSS).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each year's grant agreement sets out the requirements regarding timetables and milestones. See the following for information on how assistance is awarded/released: Following execution of the HUD-1044 obligating document, HUD approves (over the life of the grant) budget requests from the grantee, releasing funds through HUD's financial system - Line of Credit Control System (LOCCS).

**Reports:**

No program reports are required. No cash reports are required. Grantees report quarterly into the HOPE VI Quarterly Progress Reporting system. This system is the central data source for the HOPE VI program on an individual grantee and aggregate level. Grantees report on such things as demolition, relocation, unit production, occupancy and financial information. HUD uses this system in order to develop its Annual Report to Congress on HOPE VI, and for other reporting purposes. The HOPE VI Quarterly Progress Reporting system includes extracts from LOCCS data on grant obligation and expenditures. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. HOPE VI Revitalization grants are audited in conjunction with regular HUD or independent public accountant audits of PHA operations in accordance with 24 CFR 85.26, and after grant close-out.

**Records:**

Copies of budgets and accumulative cost records through the grant period, and other records necessary to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$153,229,750; FY 12 est \$0; and FY 13 est \$0 - FY11 Actual includes funding from both FY10 and FY11 appropriations, \$125,041,215 and \$27,944,000 respectively (also includes \$244,535 in X year funds).

**Range and Average of Financial Assistance:**

\$10,000,000 to \$30,000,000; Average \$22,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately 1,900 public housing units were constructed and an additional 1,765 Energy Efficient units were constructed. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been published. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance to its Home Page (<http://www.hud.gov/offices/pih/programs/ph/hope6/>) which provides Grantees with information on timelines, budgets, financial instructions, and other program guidance. HUD also publishes a Mixed-Finance Guidebook that is available to the public by calling (800) 955-2232.

**Regional or Local Office:**

None. The level of field office involvement in the administration of a project varies grant-by-grant. All HOPE VI Demolition grants are administered in the Field, and most Revitalization grants are administered in Headquarters. Applicants should contact the HUD Field Office listed on the internet at <http://www.hud.gov/local/> that has jurisdiction for their area.

**Headquarters Office:**

Leigh van Rij, 451 7th Street, S.W., Room 4130, Washington, District of Columbia 20410 Email: [leigh.e.vanrij@hud.gov](mailto:leigh.e.vanrij@hud.gov) Phone: (202) 402-5788.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/hope6/>

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.867 INDIAN HOUSING BLOCK GRANTS****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Native American Housing Assistance and Self-Determination Reauthorization Act 2008, Public Law 110-411.

**OBJECTIVES:**

To provide Federal assistance for Indian tribes in a manner that recognizes the right of tribal self-governance, and for other purposes.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Affordable housing activities such as: Indian Housing Assistance; Development; Housing Services; Housing Management Services; Crime Prevention and Safety Activities; and Model Activities. IHBG program activities are restricted to those listed in subpart B of the regulations at 24 CFR, part 1000.

**Applicant Eligibility:**

Indian tribes or tribally designated housing entities (TDHE) (to be eligible for Indian housing block grant funds the tribe or TDHE must submit an Indian housing plan that is in compliance with the requirements of Section 102 of NAHASDA).

**Beneficiary Eligibility:**

Primarily low-income families and in limited cases, over-income families may be eligible.

**Credentials/Documentation:**

Recipients shall comply with requirements and standards of OMB Circular No. A-133, and specified sections of 24 CFR 85. A Self-governance Indian tribe (Public Law 93- 638) may certify that its administrative requirements meet or exceed the comparable requirements of OMB Circular No. A-133 and 24 CFR 85. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The environmental effects of each activity must be evaluated in accordance with the National Environmental Policy Act and 24 CFR parts 50 and 58. An environmental review does not have to be completed prior to HUD approval of an Indian Housing Plan. Both an impact statement or an impact assessment may be required. In some circumstances a project could be exempted from either or both. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

Jul 01, 2011 Indian housing plans must be submitted prior to July 1st of each Federal Fiscal Year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.



**Length and Time Phasing of Assistance:**

Indian Housing Block Grant funds are drawn down from the Treasury based on need using an electronic fund transfer disbursement and information system. Within two years of grant award, no less than 90 percent of the grant must be obligated. See the following for information on how assistance is awarded/released: Upon execution of grant agreements, funds are drawn from HUD's financial system as needed.

**Reports:**

The Indian Housing Block Grant program requires an Annual Performance Report. No cash reports are required. Progress reports are a required part of the Annual Performance Report. In addition, expenditure reports should be included in the Annual Performance Report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grants files are maintained by HUD for one year after grant close out and destroyed six years after the grant close out pursuant to the HUD Records and Disposition Handbook.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Formula Grants) FY 11 \$654,383,058; FY 12 est \$730,937,000; and FY 13 est \$645,000,000

**Range and Average of Financial Assistance:**

\$50,006 to \$91,000,000; Median grant \$277,398.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Native American Housing Block Grant (NAHBG) program assisted 6,286 families by either building, acquiring, or substantially rehabilitating their homes. Fiscal Year 2012: Native American Housing Block Grant (NAHBG) program is projected to assist 5,795 families by either building, acquiring, or substantially rehabilitating their homes. Fiscal Year 2013: Native American Housing Block Grant (NAHBG) program is projected to assist 5,795 families by either building, acquiring, or substantially rehabilitating their homes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 1000.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries should be addressed to the Administrator, Office of Native American Programs at the appropriate area office (see Catalog Address Appendix IV for HUD Office of Native American Programs area office addresses in Chicago, Denver, Phoenix, Seattle, Oklahoma City and Anchorage).

**Headquarters Office:**

Rodger Boyd, 451 7th Street, S.W., Room 4126, Washington, District of Columbia 20410 Email: Rodger.J.boyd@hud.gov Phone: (202) 401-7914.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/grants/ihbg.cfm>

**RELATED PROGRAMS:**

14.862 Indian Community Development Block Grant Program; 15.124 Indian Loans\_Economic Development; 15.141 Indian Housing Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.869 TITLE VI FEDERAL GUARANTEES FOR FINANCING TRIBAL HOUSING ACTIVITIES****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Native American Housing Assistance and Self-Determination Reauthorization Act (NAHASDA) of 2008, Public Law 110-411.

**OBJECTIVES:**

To assist an Indian tribe or Tribally Designated Housing Entity (TDHE) to obtain financing for affordable housing activities under Title II of NAHASDA where an obligation cannot be completed without such guarantee.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Limited to the eligible affordable housing activities listed in Section 202 of the NAHASDA to include Indian Housing Assistance, Development, Housing Services, Housing Management Services, Crime Prevention and Safety Activities, and Model Activities approved by the Secretary.

**Applicant Eligibility:**

The applicant must be a Federally recognized Indian tribe or TDHE that is either a beneficiary or recipient of Indian Housing Block Grants (IHBG) funds.

**Beneficiary Eligibility:**

Indian tribes and their members are the beneficiaries. A TDHE acts on behalf of a tribe, as authorized by Tribal and TDHE resolutions.

**Credentials/Documentation:**

The applicant must provide the lender the documentation detailed in the "Title VI Application Process," including the certifications required under 24 CFR Section 1000.424(d) that the applicant possesses the legal authority to pledge, and if approved, the applicant will make the pledge of IHBG funds required by section 602(a)(2) of NAHASDA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible lenders are detailed in the statute. The lender assembles the Title VI application package and submits it to HUD. HUD will review the application for compliance with Title VI of NAHASDA and the implementing regulations.

**Award Procedure:**

HUD issues a Letter of Firm Commitment to the lender when HUD approves the Title VI application and the mortgage meets the Title VI Program underwriting criteria. The lender then closes the loan and submits the closing package to HUD for review. Following a successful review, HUD issues a Certificate of Loan Guarantee to the lender.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. The Title VI regulation at 24 CFR 1000.430(a) states that HUD will make every effort to approve an application within 30 days of the receipt of a completed application, and if HUD is unable to do so, will notify the lender (the applicant via the lender) within the 30 day time frame of the need for additional time to process the application and/or if additional information is required.

**Appeals:**

From 15 to 30 days. HUD will notify the lender in writing that the application has been reduced or disapproved and the specific reasons for the reduction or the disapproval. The lender may submit additional documentation to reverse the HUD decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 5%. Borrowers may be required to pledge security in addition to IHBG funds to secure the remaining 5 percent of the loan balance that is not secured by the 95 percent federal loan guarantee.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The term of the loan may exceed 20 years, as approved by HUD. The lender and applicant shall determine the terms of the repayment for each project, subject to HUD's approval. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or released unless there is a default on a guaranteed loan.

**Reports:**

The lender will provide HUD a quarterly report on the guaranteed loan, including the status of the guaranteed loan, the current principal balance, and the amount collected during the quarter just ended. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Participating lenders and closed loan files are reviewed to assure compliance with the program's requirements.

**Records:**

Copies of loan files are maintained by HUD. The originating lender must maintain a copy of the loan file for 2 years after loan is guaranteed. The servicing lender must maintain a loan file for the line of the loan plus 3 years.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$20,373,314; FY 12 est \$20,000,000; and FY 13 est \$18,332,000

**Range and Average of Financial Assistance:**

A borrower's guaranteed obligations may not exceed an amount equal to the borrower's IHBG, less the amount needed to operate and maintain current assisted stock (CAS), times five (IHBG - CAS X 5 = maximum guaranteed amount).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2012, the Department guaranteed 4 loans totaling \$16.7 million for infrastructure development. Fiscal Year 2012: In fiscal year 2012, the Department anticipates to guarantee 5 loans. Fiscal Year 2013: In fiscal year 2013, the Department anticipates to guarantee 5 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1000, subpart E; "The Title VI Application Process" and promotional literature are available from HUD's National Program Office of Native American Programs, Office of Loan Guarantee; and the Title VI web page (see the address below).

**Regional or Local Office:**

None. (see Headquarters Office below).

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/homeownership/titlevi/>

**RELATED PROGRAMS:**

14.865 Public and Indian Housing\_Indian Loan Guarantee Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Title VI and Section 202 of NAHASDA; criteria is detailed in the "The Title VI Application Process" available from HUD's National Program Office, Office of Loan Guarantee, and on the Title VI web site (<http://www.hud.gov/offices/pih/ih/homeownership/titlevi/>).

**14.870 RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES - SERVICE COORDINATORS**

(ROSS Service Coordinators)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To programmatically address the needs of public housing residents by providing service coordinator positions to coordinate supportive services, resident empowerment activities and/or assisting residents in becoming economically self-sufficient or age-in-place.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for the salary of Service Coordinator positions, with some administrative and training funds. Only residents of conventional public housing may benefit from this program.

**Applicant Eligibility:**

Public Housing Authorities (PHAs), Tribes and tribally designated housing entities (TDHEs), resident councils and nonprofit entities supported by residents. Applicants must establish partnerships to leverage resources.

**Beneficiary Eligibility:**

Individuals, families, children, youth, adults as well as elderly/persons with disabilities who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review applications in accordance with selection criteria in the NOFA published in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Processing of applications and selection of successful applicants will be undertaken by HUD. HUD will make the final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HUD will provide assistance for a 3-year time period. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are drawn by grantees through HUD's financial system.

**Reports:**

Grantees must keep program records and submit annual reports as specified by HUD. No cash reports are required. Grantees must keep progress reports and submit annual reports as specified by HUD. Grantees must keep expenditure reports and submit annual reports as specified by HUD. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must adhere to the policies, guidelines and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; OMB Circulars A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$66,457,095; FY 12 est \$35,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Generally between \$250,000 - \$750,000 (3 years).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program awarded 112 grants thru the NOFA. Fiscal Year 2012: The program anticipates to award 110-120 grants thru the NOFA. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines.

**Regional or Local Office:**

None. Designated persons in the Offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Anice Schervish, 451 7th Street, SW, Room 4130, Washington, District of Columbia 20410 Email: anice.m.schervish@hud.gov Phone: (202) 402-2341.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/ross/>

**RELATED PROGRAMS:**

14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.871 SECTION 8 HOUSING CHOICE VOUCHERS**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937; Omnibus Appropriations Act of 2009, Consolidated and Further Continuing Appropriations Act of 2012, Public Law 112-55.

**OBJECTIVES:**

To aid very low income families in obtaining decent, safe, and sanitary rental housing. For Fair Share Vouchers and Welfare-to-Work Vouchers, Public Housing Agencies (PHA) must meet certain selection criteria. For Welfare-to-Work rental vouchers, families must also meet special welfare-to-work criteria. HUD regulations merged the former Section 8 Rental Voucher program (14.855) with the former Section 8 Certificate program (14.857). Section 502 of the Public Housing Reform Act states that a purpose of the legislation is "consolidating the voucher and certificate programs for rental assistance under Section 8 of the United States Housing Act of 1937 (the "USHA") into a single market-driven program that will assist in making tenant-based rental assistance more successful at helping low-income families obtain affordable housing and will increase housing choice for low-income families".

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing for very low income families at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Applicants are limited to public housing agencies. A public housing agency (PHA) is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and, a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area.

**Beneficiary Eligibility:**

Very low income families (whose income does not exceed 50 percent of the median income for the area as determined by the Secretary with adjustments for smaller and larger families) and, on an exception basis, lower income families (whose income does not exceed 80 percent of the median income for the area, adjusted for smaller and larger families). At least 75 percent of families admitted to the voucher program during the PHA fiscal year must be extremely low income families (whose income does not exceed 30 percent of the median income for the area).

**Credentials/Documentation:**

In the Housing Choice Voucher Program, the PHA must support its application by furnishing data that the program proposed is responsive to the condition of the housing stock in the community and the housing assistance needs of very low income families (including the elderly, handicapped and disabled, large families and those displaced) residing in the community. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Application for Housing Assistance Payments Program (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process. Welfare-to-Work vouchers were awarded through a national competition in fiscal year 1999.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Expiring increments of Section 8 housing choice voucher assistance are automatically renewed by HUD (subject to appropriations).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

New funding is provided for 12 months. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B; and Family Report, HUD Form 50058. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$13,814,910,567; FY 12 est \$13,760,882,132; and FY 13 est \$14,274,693,997

**Range and Average of Financial Assistance:**

\$4,716 to \$1,012,839,175; Average \$5,934,511.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program served 2.1 million families. Fiscal Year 2012: The program projects to serve 2.1 million families. Fiscal Year 2013: The program projects to serve 2.1 million families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Section 8 Rental Certificate, Rental Voucher and Moderate Rehabilitation Programs Forms, Legal Contracts, and Publications Handbook, 7420.8; Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/hcv/index.cfm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

**14.872 PUBLIC HOUSING CAPITAL FUND (CFP)****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Housing Act of 1937, as amended; Quality Housing and Work Responsibility Act of 1998, Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

The Capital Fund provides funds annually to Public Housing Agencies (PHAs) for capital and management activities, including modernization and development of public housing. The Capital fund also permits PHAs to use Capital Funds for financing activities, including payments of debt service and customary financing costs, in standard PHA developments and in mixed-finance developments which include Public Housing.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The funds may be used for the development, financing and modernization of public housing developments and for management improvements. The funds may not be used for luxury improvements, direct social services, costs funded by other programs, and ineligible activities as determined by HUD on a case-by-case basis. Assistance must be used to modernize and/or develop public housing and must comply with the eligible activities of Section 9(d) of the U.S. Housing Act of 1937.

**Applicant Eligibility:**

The PHA must demonstrate that it has the legal authority to develop, own, modernize and operate a public housing development in accordance with the 1937 Act.

**Beneficiary Eligibility:**

Low-income public housing residents.

**Credentials/Documentation:**

PHAs must submit the following documents with their PHA Plan which includes a component for the Capital Fund Program: Form HUD-50075, PHA Certification of Compliance with The PHA Plan and Related Regulations; State or Local Certification of Consistency with the Consolidated Plan; Form HUD-5070, Certification of a Drug-Free Workplace; Form HUD-50071, Certification of Payments To Influence Federal Transactions; and Standard Form SF-LLL and SF-LLLa, Disclosure of Lobbying Activities (where applicable). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. PHAs annually submit a PHA Plan to the local HUD Field Office that consolidates information submitted by the PHA for various HUD programs into one document. The CFP is one component of the Plan.

**Award Procedure:**

The Field Office reviews and approves the PHA Plan, which includes information relative to the CFP.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The Field Office must notify the PHA within 75 days after the PHA submits the Plan of disapproval. If the PHA is not notified of disapproval within 75 days, the Plan shall be considered approved.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 24, Part 905, Subpart 10.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The statute requires that CFP funds allocated to a PHA be fully obligated within two years and expended in four years unless the Secretary extends the time period. Method of awarding/releasing assistance: lump sum.

**Reports:**

PHAs must provide performance and evaluation reports annually for all open grants. Cash reports are not applicable. Progress reports are also part of the performance and evaluation reports. PHAs are required to report on expenditures monthly in HUD's financial system. Performance monitoring is also part of the performance and evaluation reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The CFP is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

**Records:**

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

(Formula Grants) FY 11 \$1,638,403,510; FY 12 est \$1,513,021,916; and FY 13 est \$1,626,287,244

**Range and Average of Financial Assistance:**

\$1,098 to \$273,059,437; Average: \$551,836.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department made available \$1.64 billion to approximately 3,100 grantees for modernization, improvement, and new development to Public Housing projects. Fiscal Year 2012: The Department will make available \$1.5 billion to approximately 3,100 grantees for modernization, improvement, and new development to Public Housing projects. Fiscal Year 2013: The Department will make available \$1.63 billion to approximately 3,100 grantees for modernization, improvement, and new development to Public Housing projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 905.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries should be addressed to the Public

Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Field Office addresses).

**Headquarters Office:**

Jeffrey Riddel, 451 7th St. SW, Room 4130, Washington, District of Columbia 20410 Email: Jeffrey.Riddel@hud.gov Phone: (202) 708-1640.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/capfund/index.cfm>.

**RELATED PROGRAMS:****EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.873 NATIVE HAWAIIAN HOUSING BLOCK GRANTS****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Hawaiian Homelands Homeownership Act of 2000; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To provide housing assistance to low-income Native Hawaiian families who are eligible to reside on Hawaiian Home Lands.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible affordable housing activities are development, housing services, crime prevention and safety activities, and model activities. NHHBG funds may only be used for eligible activities that are consistent with the Department of Hawaiian Home Lands housing plan.

**Applicant Eligibility:**

The Department of Native Hawaiian Home Lands (DHHL) is the only eligible grant recipient.

**Beneficiary Eligibility:**

Native Hawaiian families who are eligible to reside on the Hawaiian Home Lands.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Housing Plan.

**Award Procedure:**

Native Hawaiian Housing Block Grant funds are provided to the Department of Hawaiian Home Lands (DHHL), the sole eligible grant recipient.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Grant funds are made available on an annual basis, subject to annual

congressional appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants. See the following for information on how assistance is awarded/released: Upon execution of grant agreement, funds are drawn from HUD's financial system.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Annual performance reports to HUD.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Compliance with the Single Audit Act and OMB Circular A-133.

**Records:**

Grant files are maintained by HUD for one year after grant closeout and destroyed six years after grant closeout pursuant to the HUD Records Disposition Handbook.

**Account Identification:**

86-0235-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$28,802,391; FY 12 est \$13,626,000; and FY 13 est \$13,000,000

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Through this program, the grant recipient assisted 79 homeowners by either building, acquiring, or substantially rehabilitating their homes. Fiscal Year 2012: Through this program, the grant recipient projects to assist 65 homeowners by either building, acquiring, or substantially rehabilitating their homes. Fiscal Year 2013: Through this program, the grant recipient projects to assist 65 homeowners by either building, acquiring, or substantially rehabilitating their homes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Rule published June 13, 2002. Final regulations effective December 29, 2003.

**Regional or Local Office:**

None.

**Headquarters Office:**

Claudine Allen, 500 Ala Moana Boulevard, Suite 3A, Honolulu, Hawaii 96813  
Email: Claudine.C.Allen@hud.gov Phone: (808) 522-8175 Ext. 223.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/codetalk/onap/nhhbgprogram.cfm>.

**RELATED PROGRAMS:**

14.867 Indian Housing Block Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.874 LOAN GUARANTEES FOR NATIVE HAWAIIAN HOUSING**

(Section 184A)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

American Homeownership and Economic Opportunity Act of 2000, Consolidated Appropriations Act of 2012, Section 514, Public Law 112-55.

**OBJECTIVES:**

To provide eligible Native Hawaiian families with greater access to private mortgage resources by guaranteeing loans for one-to four family housing located on Hawaiian Home Lands.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

A loan guaranteed under this part may only be used to construct, acquire, or rehabilitate eligible housing. The housing must be located on Hawaiian Home Lands for which a housing plan has been determined by HUD to be in compliance with regulations.

**Applicant Eligibility:**

A Native Hawaiian family; the Department of Hawaiian Home Lands; the Office of Hawaiian Affairs; a private nonprofit organization experienced in the planning and development of affordable housing for Native Hawaiians.

**Beneficiary Eligibility:**

Native Hawaiian homeowners are the beneficiaries of the program.

**Credentials/Documentation:**

Individual Loan Applicants must meet the definitions of Native Hawaiian and provide the eligible lender with documentation of that eligibility, assets, income, debts and liabilities to show ability to obtain and repay the loan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to eligible financial institutions. With the loan application, the homebuyer submits documentation such as pay stubs, W-2 forms, tax returns, evidence of assets such as bank accounts, and any other documentation requested by the lender to support the applicant's ability to obtain and repay the mortgage. The lender will verify the eligibility of the land status.

**Award Procedure:**

The financial institution obtains and reviews all documentation and submits it to HUD. HUD is responsible for ensuring the individual applicants Native Hawaiian eligibility, land status per Section 204 of the Hawaiian Homes Commission Act, housing acceptability, and the creditworthiness of the applicant. HUD has responsibility for the approval or disapproval of the applicant and the issuance of the loan guarantee. If the loan guarantee funds are available, a firm commitment is issued to the lender. Firm commitments are valid for a period not to exceed 90 days from issuance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. HUD may approve a loan for guarantee under this part and issue a certificate under this section only if HUD determines that there is a reasonable prospect of repayment of the loan.

**Appeals:**

From 15 to 30 days. Applicants whose loans are disapproved may appeal the disapproval. Additional documentation to resolve the issues which led to the disapproval may be required.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The loan term shall not exceed thirty years. Processing time of the individual loans will depend on the quality of the lenders submittal and HUD's ability to ascertain proper land and lease status. See the following for information on how assistance is awarded/released: This is a loan guarantee program. Therefore assistance is given in the form of a guarantee. No funds are awarded or released unless there is a default on a guaranteed loan.

**Reports:**

Lenders will be required to report loan delinquencies on a monthly basis. Cash reports are not applicable. No progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Participating lenders will be subject to review and closed loan files are subject to review to assure compliance with the requirements of Section 184A.

**Records:**

Copies of loan files will be maintained by HUD. The originating lender must maintain copies of the guaranteed loan file for two years after loan closing. The servicing lender must maintain the loan file for the life of the loan plus three years.

**Account Identification:**

86-0233-0-1-371.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$12,286,057; FY 12 est \$33,000,000; and FY 13 est \$38,000,000

**Range and Average of Financial Assistance:**

The average loan amount in FY 2011 was \$278,750.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program guaranteed 131 loans. Fiscal Year 2012: The program projects to guarantee 140 loans. Fiscal Year 2013: The program projects to guarantee 160 loans.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1007.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas C. Wright, 451 7th Street, S.W., Room 5156, Washington, District of Columbia 20410 Email: Thomas.C.Wright@hud.gov Phone: (202) 402-4978.

**Website Address:**

<http://www.hud.gov/offices/pih/ih/codetalk/onap/program184a.cfm>

**RELATED PROGRAMS:**

14.865 Public and Indian Housing\_Indian Loan Guarantee Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.877 PUBLIC HOUSING FAMILY SELF-SUFFICIENCY UNDER RESIDENT OPPORTUNITY AND SUPPORTIVE SERVICES**

(Public Housing Family Self-Sufficiency (PH FSS))

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

The Consolidated Appropriations Act 2008, Public Law 110-161.

**OBJECTIVES:**

To promote the development of local strategies to coordinate the use of assistance under the Public Housing program with public and private resources to enable participating families to achieve economic independence and housing self-sufficiency.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to pay the salary and fringe benefits of a program coordinator. Only residents of conventional public housing may benefit from this program.

**Applicant Eligibility:**

Public Housing Authorities (PHAs) and Tribes and tribally designated housing entities (TDHEs).

**Beneficiary Eligibility:**

Individuals and families who are residents of conventional public or Indian housing are eligible to receive benefits from the ROSS program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Notice of Funding Availability (NOFA) prescribing the specific information to be submitted will be published in the Federal Register by HUD Headquarters. HUD provides the application and standard forms for this program.

**Award Procedure:**

HUD will review those applications in accordance with the NOFA published in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. HUD will undertake processing of applications and selection of successful applicants. HUD will make final selection and obligate funds.

**Appeals:**

There is no appeals process. Applicants whose applications did not receive funding may request a debriefing. Further information is included in the NOFA.

**Renewals:**

From 120 to 180 days.

**Formula and Matching Requirements:**

Statutory Formula: Chapter 24, Part 984.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

HUD will provide assistance for a 1-year time period. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

Grantees must keep program records and submit annual reports as specified by HUD. No cash reports are required. Grantees must keep progress reports and

submit annual reports as specified by HUD. Grantees must keep expenditure reports and submit annual reports as specified by HUD. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must adhere to the policies, guidelines, and requirements of 24 CFR Part 84 or 85 and OMB Circular No. A-87; OMB Circulars A-110 and A-122 apply to the acceptance and use of assistance by private nonprofit agencies.

**Records:**

Records will be retained in accordance with the HUD regulation, 24 CFR Part 84 or 85.

**Account Identification:**

86-0304-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$30,050,474; FY 12 est \$15,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The average financial assistance was \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program awarded 20 grants thru the NOFA. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HUD appropriation statutes and the specific fiscal year NOFA published in the Federal Register provide program requirements and guidelines. See also 24 CFR 984

**Regional or Local Office:**

None. Designated personal in the offices of Public Housing and Native American Programs listed in Appendix IV of the Catalog.

**Headquarters Office:**

Anice Schervish, 451 7th St. SW, Room 4238, Washington, District of Columbia 20410 Email: anice.m.schervish@hud.gov Phone: (202) 402-2341.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/ross/>

**RELATED PROGRAMS:**

14.870 Resident Opportunity and Supportive Services - Service Coordinators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals will be listed in the NOFA.

**14.878 AFFORDABLE HOUSING DEVELOPMENT IN MAIN STREET REJUVENATION PROJECTS**

(Main Street)

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

HOPE VI Program Reauthorization and Small Community Mainstreet Rejuvenation and Housing Act of 2003, Public Law 108-186.

**OBJECTIVES:**

To assist small communities with populations of 50,000 or less and 100 Public Housing units or less in the rejuvenation of historic or traditional central business districts or "Main Street Areas" by replacing unused commercial space in buildings with Affordable housing units. The objectives of the program are to: (1) Redevelop Main Street Areas; (2) Preserve historic or traditional architecture or design features in Main Street Areas; (3) Enhance economic

development efforts in Main Street Areas; and (4) Provide affordable housing in Main Street Areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Main Street grant funds may be used to rehabilitate or develop new affordable housing that is included in a Main Street rejuvenation effort. Main Street housing units must be maintained as affordable for the initial residents only. Each resident (or family) must have an adjusted income of 80 percent or less of the area median income. Allowable activities that may be funded by a Main Street grant include: development of new housing units; rehabilitation of non-habitable existing housing units; acquisition activities; homeownership activities; necessary management improvement costs; relocation costs for affected residents; and community and supportive services. Main Street grant funded activities are limited to: affordable housing development that is part of an existing Main Street rejuvenation effort; development cost up to a maximum of HUD's Total Development Cost for public housing units; maximum fees and soft costs listed in HUD's public housing Safe Harbor Cost Controls; and a maximum of 15 percent of the grant amount to support community and supportive services activities. Main Street grant funds must NOT be used to develop or replace public housing or to repair existing habitable housing.

**Applicant Eligibility:**

Eligible applicants include, and are limited to, Units of Local Government ("Local Government") that are subdivisions of State governments, and other governments listed in Section 102 of the Housing and Community Development Act of 1974. The jurisdiction of the Local Government must contain a population of no more than 50,000. The Local Government must either have no Public Housing Agency (PHA) or a PHA that administers no more than 100 public housing units.

**Beneficiary Eligibility:**

The beneficiaries are low-income families that occupy the newly developed affordable housing, and the local community that is benefiting from the Main Street rejuvenation project.

**Credentials/Documentation:**

Eligibility requirements to apply for a Main Street grant are included in each year's Notice of Funding Availability (NOFA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A NOFA is published in the Federal Register announcing the availability of funds and referring applicants to application materials available from Grants.gov at <http://www.grants.gov>. Applications must be submitted electronically to Grants.gov. Further information on registration into Grants.gov can be obtained on HUD's grants website at <http://www.hud.gov/grants>.

**Award Procedure:**

HUD Headquarters reviews each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest-rated applications are notified that they have been selected to receive a Main Street grant. Funds are obligated when HUD and the applicant execute a form HUD-1044, "Assistance Award/Amendment".

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.



**Appeals:**

From 15 to 30 days. Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 5%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants have a term of 30 months. The applicant must include its program schedule in the application. See the following for information on how assistance is awarded/released: After execution of the grant agreement, pre-development funds are made available. Upon HUD approval of the development proposal and the beginning of construction, the remainder of funds are released.

**Reports:**

No program reports are required. No cash reports are required. Quarterly reports on production and annual accomplishment reports are required. Program funds are tracked in HUD's financial system and leveraged funds are self reported by the grantees on a quarterly basis. The grant manager visits the sites after execution of the grant agreement and then annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Main Street grants are audited with regular audits of the unit of local government and after grant close-out.

**Records:**

Grantees should keep copies of budgets and accumulative cost records through the grant period, along with other records necessary to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$500,000; FY 12 est \$500,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

The grant amount was \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program awarded 1 grant for \$500,000. Fiscal Year 2012: The program anticipates to award 1 grant for \$500,000. Fiscal Year 2013: The program anticipates to award 1 grant for \$500,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Authorizing legislation in Section 24 of the 1937 Housing Act is extremely detailed. No regulations have been published. Main Street housing development is processed using HUD's Office of Public and Indian Housing Mixed-finance regulations detailed in 24 CFR 941.606, or HOPE VI homeownership regulations under Section 24 of the 1937 Act. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance on its Main Street website at <http://www.hud.gov/offices/pih/programs/ph/hope6/grants/mainstreet/> with links to Main Street's most recent NOFA, program summaries, general guidance materials, mixed-finance guidance materials, and relevant statutes, regulations and notices. This web site provides Grantees with information on timelines, budgets, financial instructions, and other program guidance.

**Regional or Local Office:**

None. All Main Street grants are administered at Headquarters by the Office of Public Housing Investments (OPHI). The level of field office involvement in the administration of Main Street grants is limited to issuance of the required environmental review (24 CFR Part 50), and construction inspections. Grantees

should contact OPHI at (202) 401-8812, until a HUD Grant Manager is assigned. Grantees should also contact the HUD Field Office Public Housing Division that has jurisdiction for their area. Local Public Housing Divisions are listed on the internet at <http://www.hud.gov/offices/pih/about/focontacts.cfm>.

**Headquarters Office:**

Lawrence Gnessin, 451 7th Street, S.W., Room 4130, Washington, District of Columbia 20410 Email: [Lawrence.gnessin@hud.gov](mailto:Lawrence.gnessin@hud.gov) Phone: (202) 401-8812.

**Website Address:**

<http://www.hud.gov/mainstreet>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing;  
14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As published in each NOFA.

**14.879 MAINSTREAM VOUCHERS****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Cranston Gonzalez National Affordable Housing Act; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid persons with disabilities (elderly and non-elderly) in obtaining decent, safe, and sanitary rental housing.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income. Mainstream Vouchers can be provided to only elderly and non-elderly disabled families.

**Applicant Eligibility:**

Public housing agencies (PHA) that is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area and non-profit organization that provide services to the disabled as defined in 42 U.S.C.

**Beneficiary Eligibility:**

Disabled family that is income-eligible under the Housing Choice Voucher program regulations at 24 CFR 982.201(b)(1) as well as other wise eligible under the regulations at 24CFR 982.201, may receive a voucher awarded on the Mainstream Program Applicants with disabilities must be selected from the PHA's or nonprofit organization's housing choice voucher waiting list.

**Credentials/Documentation:**

In the Mainstream Voucher Program, the PHA or non-profit organization must demonstrate in its application a need for these vouchers by providing information documenting that the demand for housing for non-elderly and elderly persons with disabilities would equal or exceed the requested number of vouchers. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Application for Housing Assistance Payments Program (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

However, after the assistance awards are publicly announced, HUD will provide a debriefing, if requested, to unsuccessful applicants.

**Renewals:**

Expiring increments of Mainstream voucher program assistance are automatically renewed by HUD.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 5 years. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Supporting Data for Annual Contributions Estimates, HUD Form 52672; Estimate of Total Required Annual Contributions, HUD Form 52673; Requisition for Partial Payment of Annual Contributions, HUD Form 52663; Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B; and Family Report, HUD Form 50058 and Logic Model, HUD Form 96010. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681 and 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Mainstream/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604; 86-0237-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$64,868,108; FY 12 est \$115,909,000; and FY 13 est \$111,335,000 - Although renewal funding has been provided by Congress annually, no incremental (new) funding for this program has been provided since FY 2005.

**Range and Average of Financial Assistance:**

\$22,375 to \$2,137,528; Average \$463,004.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program served 14,811 families. Fiscal Year 2012: The

program anticipates serving 14,811 families. Fiscal Year 2013: The program anticipates serving 14,044 families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Housing Choice Voucher Program, Form, Legal Contracts, and Publications Handbook, 7420.8; and the Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

[http://www.hud.gov/offices/pih/programs/hcv/about/fact\\_sheet.cfm](http://www.hud.gov/offices/pih/programs/hcv/about/fact_sheet.cfm).

**RELATED PROGRAMS:**

14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See NOFA.

**14.880 FAMILY UNIFICATION PROGRAM (FUP)**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Section 8 (x) of the United States Housing Act of 1937; Omnibus Appropriations Act 2009, Public Law 111-8.

**OBJECTIVES:**

To aid: (1) families for whom the lack of adequate housing is the primary factor in the separation, or the threat of imminent separation, of children from their families, and; (2) youths ages 18-21 years old who left foster care at age 16 or older and lack adequate housing. FUP- eligible families and youths may use these Housing Choice Voucher (HVC) to obtain decent, safe, and affordable housing units in the private rental market.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Provides housing assistance payments to participating owners on behalf of eligible tenants to provide decent, safe, and sanitary housing for very low income families at rents they can afford. Housing assistance payments are generally the difference between the local payment standard and 30 percent of the family's adjusted income.

**Applicant Eligibility:**

Applicants are limited to public housing agencies. A public housing agency (PHA) is defined as any State, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) which is authorized to engage in or assist in the development or operation of housing for very low income families; and, a consortium of PHAs; any other nonprofit entity that was administering a Section 8 tenant-based program on October 21, 1998; or, for an area outside the jurisdiction of a PHA administering a voucher program, a private nonprofit entity or a governmental entity or public body that would otherwise lack jurisdiction to administer the program in such area.

**Beneficiary Eligibility:**

Families and youths that are income eligible under the HCV program regulations at 24 CFR 982.201 may receive a voucher awarded under the FUP. Families and youths must be referred to the PHA from the local Child Welfare Agency (CWA).

**Credentials/Documentation:**

For FUP, the PHA must provide a Memorandum of Understanding (MOU),

executed by the chief executive officer of the PHA and the Public Child Welfare Agency (PCWA). The MOU must identify the actions that the PHA and the PCWA will take to identify and assist FUP-eligible families and/or FUP-eligible youths, and the resources for supportive services each organization will commit. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of Funding Application, Section 8 Tenant-Based Assistance (Form HUD-52515).

**Award Procedure:**

The HUD Grants Management Center generally makes the final decision based on the results of the rating and ranking process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

However, after the assistance awards are publicly announced, HUD will provide a debriefing, if requested, to unsuccessful applicants.

**Renewals:**

Expiring increments of Section 8 housing choice voucher assistance are automatically renewed by HUD (subject to appropriations).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

New funding is provided for 12 months. See the following for information on how assistance is awarded/released: Funds are disbursed monthly.

**Reports:**

Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B; and Family Report, HUD Form 50058. Cash reports are not applicable. Progress reports are not applicable. Voucher for Payment of Annual Contributions and Operating Statement, HUD Form 52681-B (Supplemental). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic fiscal, occupancy, general management and maintenance audits.

**Records:**

Those necessary to indicate compliance with Annual Contributions Contract/Housing Choice Voucher Contract.

**Account Identification:**

86-0302-0-1-604.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$14,994,311; FY 12 est \$92,930; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$38,597 to \$1,181,436; Average \$468,572.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program served 5,149 families. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR 982; Section 8 Housing Choice Voucher Program Forms, Legal Contracts, and Publications Handbook, 7420.8; Housing Choice Voucher Program Guidebook, 7420.10G.

**Regional or Local Office:**

See Regional Agency Offices. HUD Field Office listed in the Catalog Address Appendix IV that has jurisdiction over the area in which the dwellings are located.

**Headquarters Office:**

Laure Rawson, 451 7th Street, S.W., Room 4210, Washington, District of Columbia 20410 Email: Laure.Rawson@hud.gov Phone: (202) 708-0477.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/hcv/index.cfm> .

**RELATED PROGRAMS:**

14.871 Section 8 Housing Choice Vouchers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.881 MOVING TO WORK DEMONSTRATION PROGRAM**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Omnibus Consolidated Rescissions and Appropriations Act of 1996, Public Law 104-134.

**OBJECTIVES:**

The purpose of this demonstration is to give public housing agencies and the Secretary of Housing and Urban Development the flexibility to design and test various approaches for providing and administering housing assistance that: reduce cost and achieve greater cost effectiveness in Federal expenditures; give incentives to families with children where the head of household is working, seeking work, or is preparing for work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient; and increase housing choices for low-income families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Under the demonstration, notwithstanding any provision of the United States Housing Act of 1937 except as provided in section 204(e) of Public Law 104-134, an agency may combine operating assistance provided under section 9 of the United States Housing Act of 1937, and tenant-based assistance provided under section 8 of such Act, to provide housing assistance for low-income families, as defined in section 3(b)(2) of the United States Housing Act of 1937, and services to facilitate the transition to work on such terms and conditions as the agency may propose and the Secretary may approve.

**Applicant Eligibility:**

Public housing agencies administering the public housing program and/or the section 8 housing assistance payments program may be selected by the Secretary to participate.

**Beneficiary Eligibility:**

Low-income public housing residents.

**Credentials/Documentation:**

PHAs must enter into an agreement with the Department that details the terms and conditions of participation in the demonstration. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. PHAs annually submit an MTW Plan to the program office that documents new and ongoing MTW activities. Plans must include criteria for: (A) families to be assisted, which shall require that at least 75 percent of the families assisted by participating demonstration public housing authorities shall be very low-income families, as defined in section 3(b)(2) of the United States Housing Act of 1937; (B) establishing a reasonable rent policy, which shall be designed to encourage employment and self-sufficiency by participating families, consistent with the purpose of this demonstration, such as by excluding some or all of a family's earned income for purposes of determining rent; (C) continuing to assist substantially the same total number of eligible low-income families as would have been served had the amounts not been combined; (D) maintaining a comparable mix of families (by family size) as would have been provided had the amounts not been used under the demonstration; and (E) assuring that housing assisted under the demonstration program meets housing quality standards established or approved by the Secretary; and (4) may request assistance for training and technical assistance to assist with design of the demonstration and to participate in a detailed evaluation.

**Award Procedure:**

The program office reviews and approves the MTW Plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The program office must notify the PHA within 75 days after the PHA submits the Plan of disapproval. If the PHA is not notified of disapproval within 75 days, the Plan shall be considered approved.

**Appeals:**

To be determined.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

MTW agencies must meet the requirements stated in their MTW agreement. See the following for information on how assistance is awarded/released: Grant agreements are executed and funds are made available through HUD's financial system.

**Reports:**

Annual MTW report is required 90 days after the end of the PHAs fiscal year. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The MTW program is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

**Records:**

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

**Account Identification:**

86-0163-0-1-604; 86-0302-0-1-604; 86-0304-0-1-604.

**Obligations:**

(Formula Grants) FY 11 \$3,849,410,082; FY 12 est \$3,730,262,165; and FY 13 est \$3,912,850,862

**Range and Average of Financial Assistance:**

\$4,038,770- \$750,196,695; Average \$115,233,486.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program added 2 PHAs to the demonstration in accordance with FY 2010 appropriations statute. Fiscal Year 2012: The program is soliciting for 4 additional PHAs in accordance with FY 2010 and FY 2011 appropriations statute. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Program office addresses).

**Headquarters Office:**

Ivan Pour, 451 7th St, SW, Room 4130, Washington, District of Columbia 20410 Email: ivan.m.pour@hud.gov Phone: (202) 402-2488.

**Website Address:**

<http://www.hud.gov/offices/pih/programs/ph/mtw/>.

**RELATED PROGRAMS:**

14.850 Public and Indian Housing; 14.871 Section 8 Housing Choice Vouchers; 14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.889 CHOICE NEIGHBORHOODS IMPLEMENTATION GRANTS  
FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010, Consolidated and Further Continuing Appropriations Act of 2012, Public Law 112-55.

**OBJECTIVES:**

Choice Neighborhoods Implementation Grants will employ a comprehensive approach to community development centered on housing transformation. The program aims to transform neighborhoods of poverty into viable mixed-income neighborhoods with access to economic activities by revitalizing severely distressed public and assisted housing and investing and leveraging investments in well-functioning services, effective schools, and education programs, public assets, public transportation, and improved access to jobs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Choice Neighborhoods will fund competitive grants to transform neighborhoods of extreme poverty into sustainable mixed-income neighborhoods with well-functioning services, schools, public assets, transportation and access to jobs.

**Applicant Eligibility:**

For Choice Neighborhoods Implementation Grants, Public Housing Agencies (PHAs), local governments, non-profits, and for-profit developers that apply jointly with a public entity.

**Beneficiary Eligibility:**

For Choice Neighborhoods Implementation Grants, the ultimate beneficiaries are residents of the severely distressed public and/or assisted housing projects

and residents of the surrounding community these grants aim to transform.

**Credentials/Documentation:**

For Choice Neighborhoods Implementation Grants, the ultimate beneficiaries are residents of the severely distressed public and/or assisted housing projects and residents of the surrounding community these grants aim to transform. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

HUD will issue a Notice of Funding Availability (NOFA), as provided by annual appropriations, via the Grants.gov website. HUD headquarters will coordinate reviews of each eligible application for threshold compliance, assigns rating points to applications that pass all thresholds, and the highest rated applications are notified that they have been selected to participate in the Choice Neighborhoods Implementation Grant program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately 150-180 days following the grant application deadline established by each NOFA. Please refer to each Notice of Funding Availability (NOFA) for application deadlines.

**Appeals:**

Applicants are notified by HUD if an application is not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula. Matching Requirements: Choice Neighborhoods Implementation Grants will leverage funds from state, local or private sources as well as other HUD and Federal programs. HUD is required by section 24(c)(1)(A) of the 1937 Act (42 U.S.C. 1437v(c)(1)(A)) to include the requirement for matching funds for all HOPE VI-related grants, which includes Choice Neighborhoods. Applicants are required to have matching funds in the amount of five percent of the requested grant amount in cash or in-kind donations. This program does not have MOE requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each grant agreement will establish timetables and milestones. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Grantees are required to maintain copies of budgets and other cost records through the grant period to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604 - The above account is for FY 11.; 86-0349-0-1-604 - This account is for FY 12.

**Obligations:**

(Project Grants) FY 11 \$122,270,000; FY 12 est \$5,000,000; and FY 13 est \$116,400,000 - FY11 Actual includes funding from both FY10 and FY11 appropriations, \$65,000,000 and \$61,270,000 respectively, along with \$4,000,000 in FY10 planning grants.

**Range and Average of Financial Assistance:**

HUD awarded 5 Choice Neighborhoods Implementation Grants in FY11 (using FY10 and FY11 funds), ranging from \$10,270,000 to \$30,500,000 (the maximum amount allowable). The average grant award was \$30,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program made 5 grant awards with a maximum grant size of \$30,000,000 to support affordable housing and community development. Fiscal Year 2012: HUD expects to make fewer grant awards that will help support affordable housing and community development. Fiscal Year 2013: HUD expects to make 5-6 grant awards with a maximum grant size of \$30,000,000 that will help support affordable housing and community development.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Clayton, 451 7th Street S.W. Room 4130, Washington, District of Columbia 20410 Email: choiceneighborhoods@hud.gov Phone: (202) 402-5461.

**Website Address:**

<http://www.hud.gov/cn/>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.890 CAPITAL FUND EDUCATION AND TRAINING COMMUNITY FACILITIES**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010.

**OBJECTIVES:**

To provide funds for the capital and management activities of Public Housing Agencies as authorized under section 9 of the United States Housing Act of 1937 (42 U.S.C. 1437g) (the Act), with the exception that funds cannot be used for operations or rental assistance. The funds shall be awarded by competition for priority investments, including investments that leverage private sector funding or financing for the construction, rehabilitation, or purchase of facilities to provide early childhood education, adult education, and/or job training programs for public housing residents. Funds shall be obligated through competitive funding by DATE. Public housing agencies shall prioritize capital projects that are already underway or included in the 5-year capital fund plans required by the Act (42 U.S.C. 1437c1(a)). Funds provided under this heading shall serve to supplement and not supplant expenditures from other Federal, State, or local sources or funds independently generated by the grantees.

**TYPES OF ASSISTANCE:**

## Project Grants

### USES AND USE RESTRICTIONS:

Funds in this Category may be used to pay for any eligible Capital Fund expenses, including substantial rehabilitation, acquisition, and construction, as defined in 24 CFR Parts 905, 941 and 968, that help achieve the program objective of improving educational and economic outcomes for public housing residents through the use of education and/or training community facilities. Specifically, the following are eligible activities:

A. Improvements to or construction of non-dwelling areas to provide additional space to offer or provide education and/or training services to public housing residents.

B. Conversion of dwelling units to provide space for service providers targeted to public housing residents, i.e. the renovation, conversion, or joining of vacant units within a PHA development to create an education and/or training community facility.

C. The renovation or conversion of existing common areas in a PHA development to accommodate an education and/or training community facility.

D. If renovation, conversion, or repair is done off-site, the PHA must provide documentation with its application that it has control of the proposed property and will continue to have control for the term of the ACC. Control can be demonstrated through a lease agreement, ownership documentation, or other documentation that demonstrates that the PHA will have control of the proposed property for the duration of the ACC term.

E. Security and related costs for physical improvements and other equipment for safeguarding the center and other longer-term security measures, as needed, but not including personnel costs and salaries for security guards.

F. Hard costs of construction plus costs associated with new construction and rehabilitation, such as architectural, engineering, and related professional services, required to prepare plans or drawings, write-ups, specifications, or inspections.

G. Costs associated with acquisition and rehabilitation, such as renovation, conversion, and repair costs.

H. In accordance with their Section 3 plan, applicants shall, to the greatest extent feasible and consistent with existing federal, state, and local laws and regulations, utilize low and very low income persons, particularly public housing residents, to help with the renovation or construction of community facilities under this program. Specifically, the following are ineligible activities:

A. Operating or rental assistance activities. Capital funds awarded under this program cannot be transferred to or used for operations or rental assistance activities. These funds cannot be transferred to Account 1406 Operations.

B. Routine maintenance activities.

C. Activities carried out before the date of the ACC amendment obligating the grant.

D. Luxury improvements, direct social services, and costs funded by other programs.

E. Moving to Work Agency Requirements. Agencies participating in the Moving to Work Demonstration (MTW) are authorized to combine operating and capital assistance provided under Section 9 and voucher assistance under Section 8 of the United States Housing Act of 1937 as part of the regular appropriation process. However, line item appropriations, which are supplemental to the regular appropriations process, may be used only for the specific purpose for which they were appropriated. As such, funds under this program may not be combined with other Section 8 or Section 9 assistance.

F. Facilities located in a development that is currently receiving a HOPE VI Revitalization grant or that was constructed, acquired, or rehabilitated using a HOPE VI Revitalization grant.

### Applicant Eligibility:

None.

### Beneficiary Eligibility:

None.

### Credentials/Documentation:

Documents and Forms

Site Control-Section VII, D

Program Schedule-Section XI, C

Budget-HUD 50075.1, Parts I and II-Section XI, D, 1

Physical Description of proposed facility-Section XI, F

Form SF-LLL-Section XI, M

Development Schedule-Section XIII, C, 2

Elogic Model-Section XIII, E

HUD-2990-Section XIII, G, 1

### Certifications and Commitments

That each funding source is firmly committed-Section XI, D, 3 and Section XIII, D

That each partner is firmly committed-Section XI, E and Section XIII, C, 4, a

That PHA will affirmatively further fair housing-Section XI, L

That PHA will follow the NOFA and all applicable law and regulations-Section XI, N

That PHA has firm commitments for any match-Section XIII, D, 2

That PHA has complied with Section 3 during the past year-Section XIII, F, 2, a, 1

That PHA has a feasible Section 3 plan on file-Section XIII, F, 2, a, 2

That PHA has a letter of commitment from the local Workforce Investment Board-Section XIII, F, 2, b, 1

That PHA has a relationship with other organizations that can help the programs-Section XIII, F, 2, b, 2. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submittals via grants.gov

### Award Procedure:

Funds will be awarded in accordance with the Funding Notice.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

These terms will be established in the Funding Notice.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Four years with the following restrictions: funds allocated to a PHA be 90 percent obligated within 24 months of the date when the funds became available and be 100 percent expended within 48 months of the date when the funds became available. Method of awarding/releasing assistance: lump sum.

### Reports:

No reports are required.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The CFCF program is audited in conjunction with the regular HUD or independent public accountant audit of PHA operations.

### Records:

The PHA must maintain budgets and cumulative cost records for review by HUD and independent auditors, as applicable.

### Account Identification:

86-0304-0-1-614.

**Obligations:**

(Project Grants) FY 11 \$48,210,543; FY 12 est \$7,000,000; and FY 13 est \$0 - None.

**Range and Average of Financial Assistance:**

To Be Determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program awarded 5 grants for the purpose of developing educational and job training facilities for public housing residents. Fiscal Year 2012: 2 - 3 grants to be awarded for the purpose of developing educational and job training facilities for public housing residents. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 905, as applicable

**Regional or Local Office:**

None. Inquiries should be addressed to the Public Housing Director who has jurisdiction over the PHA (See the Catalog, Appendix IV for HUD Field Office addresses).

**Headquarters Office:**

Jeffrey Riddel, 451 7th St. SW, Room 4146, Washington, District of Columbia 20410 Email: Jeffrey.Riddel@hud.gov Phone: (202) 708-1640.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.872 Public Housing Capital Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.891 PUBLIC AND INDIAN HOUSING TRANSFORMATION INITIATIVE (TI) TECHNICAL ASSISTANCE (TA)**

**FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010.

**OBJECTIVES:**

The Public and Indian Housing Transformation Initiative Technical Assistance shall be used for the technical assistance and capacity building. TI TA funds will increase the operational efficiency of PIH processes and is a key step toward capacity building and technical awareness that are at the heart of HUD's mission. Public and Indian Housing TI TA provides for the underlying systems that have formed the basis for PIH programs, as well as incentivizes improved service provision and increases operational efficiency.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Transformation Initiative Technical Assistance was designed to create sufficient funding for HUD to transform and modernize its operations. TI TA funds will be used to improve operations including; improving operational efficiency of projects, disaster outreach projects, training and development initiatives, and green initiatives.

**Applicant Eligibility:**

Increasing the operation efficiency of PIH processes is a key step toward capacity building and technical awareness that are at the heart of HUD's mission.

**Beneficiary Eligibility:**

Public and Indian Housing Transformation Initiatives Technical Assistance ultimate beneficiaries are those who receive assistance. These initiatives will improve the way the Department operates.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Awards are internal to the Department.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Amounts transferred into the TI TA account shall be available until September 30, 2012. See the following for information on how assistance is awarded/released: Assistance is awarded internally within the Department.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

86-0402-0-1-604.

**Obligations:**

(Provision of Specialized Services) FY 11 \$6,525,660; FY 12 est \$8,500,000; and FY 13 est \$6,056,277

**Range and Average of Financial Assistance:**

\*Range \$250,000-\$8,000,000  
Average \$2,115,625

\* Above numbers are based on the approved FY 2010 TI TA plan.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Technical Assistance was successfully provided in the following areas: Green Building (energy savings) for Public Housing; Independent assessment of public housing authorities; the improvement of financial management and governance of housing authorities; the provision of technical assistance to Native American Tribal Housing Entities; and an Information Resource Center. Fiscal Year 2012: Fiscal Year 2012 TI TA will continue to build on actions started in FY 2010 and FY 2011 and address any new areas where efficiency can be improved. Fiscal Year 2013: Fiscal Year 2013 TI TA will continue to build on actions started in FY 2011 and FY 2012 and address any new areas where efficiency can be improved.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gary VanBuskirk 451 7th Dt, SW, Room 4246  
, Washington, District of Columbia 20410 Email: Gary.F.VanBuskirk@hud.gov  
Phone: 20.402.4307 Fax: 202.708.8937

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.195 Section 8 Housing Assistance Payments Program\_Special Allocations;  
14.850 Public and Indian Housing; 14.872 Public Housing Capital Fund;  
15.141 Indian Housing Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.892 CHOICE NEIGHBORHOODS PLANNING GRANTS****FEDERAL AGENCY:**

Office of Public and Indian Housing, Department of Housing and Urban  
Development

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010, Consolidated and Further Continuing  
Appropriations Act, 2012, Public Law 111-111-117.

**OBJECTIVES:**

Choice Neighborhoods Planning Grants will support the development of  
comprehensive neighborhood Transformation Plans. The Transformation Plan  
should integrate effective strategies to implement public and/or assisted housing  
revitalization, the coordination and design of supportive services, including  
educational opportunities for children, and neighborhood-level planning to  
improve a range of neighborhood assets. The Transformation Plan should be  
created as part of a collaborative planning process that involves neighborhood  
stakeholders and local governmental entities to build the necessary support to  
successfully implement the plan.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Choice Neighborhoods Planning Grants will fund the creation of  
Transformation plans that are intended to become the guiding document for the  
revitalization of the public and/or assisted housing units while simultaneously  
directing the transformation of the surrounding neighborhood and outlining the  
steps necessary to create positive outcomes for families within the targeted  
neighborhood. Refer to NOFA.

**Applicant Eligibility:**

Choice Neighborhoods Planning Grants will support the development of  
comprehensive neighborhood Transformation Plans. The Transformation Plan  
should integrate effective strategies to implement public and/or assisted housing  
revitalization, the coordination and design of supportive services, including  
educational opportunities for children, and neighborhood-level planning to  
improve a range of neighborhood assets. The Transformation Plan should be  
created as part of a collaborative planning process that involves neighborhood  
stakeholders and local governmental entities to build the necessary support to  
successfully implement the plan.

**Beneficiary Eligibility:**

For Choice Neighborhoods Planning Grants, the ultimate beneficiaries are  
residents of the severely distressed public and/or assisted housing unit and  
residents of the surrounding community these grants aim to engage in the  
creation of the community drafted Transformation Plan.

**Credentials/Documentation:**

Eligibility requirements to apply for Choice Neighborhoods Planning Grants  
are included in the Notice of Funding Availability (NOFA). OMB Circular No.  
A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point

of contact in his or her State for more information on the process the State  
requires to be followed in applying for assistance, if the State has selected the  
program for review. Environmental impact information is not required for this  
program. This program is eligible for coverage under E.O. 12372,  
"Intergovernmental Review of Federal Programs." An applicant should consult  
the office or official designated as the single point of contact in his or her State  
for more information on the process the State requires to be followed in  
applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program.

**Award Procedure:**

HUD will issue a Notice of Funding Availability (NOFA), as provided by  
annual appropriations, via the Grants.gov website. HUD headquarters will  
coordinate reviews of each eligible application for threshold compliance,  
assigns rating points to applications that pass all thresholds, and the highest  
rated applications are notified that they have been selected to participate in the  
Choice Neighborhoods Planning Grant program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Refer to each Notice of Funding Availability (NOFA) for  
application deadlines.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 5%. This program has no statutory formula.  
Matching Requirements: Choice Neighborhoods Planning Grants will leverage  
funds from state, local or private sources as well as other HUD and Federal  
programs. HUD is required by section 24(c)(1)(A) of the 1937 Act (42 U.S.C.  
1437v(c)(1)(A)) to include the requirement for matching funds for all HOPE  
VI-related grants, which includes Choice Neighborhoods. Applicants are  
required to have matching funds in the amount of five percent of the requested  
grant amount in cash or in-kind donations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

24 months from grant execution. Method of awarding/releasing assistance:  
lump sum.

**Reports:**

Grantees are required to submit quarterly reports to HUD that will track  
Grantee progress against approved budgets and schedules. No cash reports are  
required. Grantees are required to submit quarterly reports to HUD that will  
track Grantee progress against approved budgets and schedules. No expenditure  
reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. This  
program is excluded from coverage under OMB Circular No. A-133. Grants  
are audited in conjunction with regular HUD or independent public accountant  
audits in accordance with 24 CFR 85.26, and after grant close-out.

**Records:**

Grantees are required to maintain copies of budgets and other cost records  
through the grant period to indicate compliance with the Grant Agreement.

**Account Identification:**

86-0218-0-1-604; 86-0349-0-1-604.

**Obligations:**

(Project Grants) FY 11 \$4,000,000; FY 12 est \$0; and FY 13 est \$3,600,000

**Range and Average of Financial Assistance:**

In FY11 seventeen Choice Neighborhoods Planning Grants were awarded,



ranging from \$200,000 to \$300,000 (the maximum amount allowable). The average grant award was for \$270,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: HUD awarded 17 Planning Grants. Fiscal Year 2012: Information not yet available. Fiscal Year 2013: HUD plans to award 20 Planning Grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been published. Each grant is subject to the terms of its NOFA and Grant Agreement, which is the contract signed by the Grantee and HUD. HUD posts guidance to the Choice Neighborhoods website, [www.hud.gov/cn](http://www.hud.gov/cn).

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Clayton, 451 7th Street S.W. Room 4130, Washington, District of Columbia 20410 Email: [choiceneighborhoods@hud.gov](mailto:choiceneighborhoods@hud.gov) Phone: (202) 402-5461.

**Website Address:**

<http://www.hud.gov/cn>

**RELATED PROGRAMS:**

14.866 Demolition and Revitalization of Severely Distressed Public Housing;  
14.889 Choice Neighborhoods

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**14.893 OFFICE OF NATIVE AMERICAN PROGRAMS TRAINING AND TECHNICAL ASSISTANCE FOR INDIAN HOUSING BLOCK GRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

The Omnibus Appropriations Act, 2009, Public Law 111-8; The Department of Housing and Urban Development Appropriations Act, 2012, Public Law 112-55; The Department of Defense and Full-Year Continuing Appropriations Act, 2011, Public Law 112-10; The Transportation/HUD Consolidated Appropriations Act, 2010, Public Law 111-117.

**OBJECTIVES:**

To provide technical assistance for Indian tribes, Alaska Native villages, and tribally designated housing entities (TDHEs) in the development of viable communities.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Funds are available to national and regional organizations representing Native American housing interests to provide training and technical assistance (T&TA) to Indian tribes and TDHEs (and subrecipients) eligible to receive an Indian Housing Block Grant (IHBG) pursuant to the Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA) (25 U.S.C. 4111 et seq.) (Component One). Funds are also available to national and regional organizations representing Native American housing interests as well as for-profit entities to provide T&TA to tribes/TDHEs (and subrecipients) eligible to receive an IHBG (Component Two). Tribes/TDHEs and their subrecipients eligible to receive assistance provided by T&TA providers are collectively referred to as T&TA beneficiaries..

**Applicant Eligibility:**

Depending on the component, any national or regional T&TA provider, or any organization with the capacity to provide services.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular A-87, Circular A-122, or 48 CFR 31.2. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Office of Native American Programs (ONAP) is responsible for rating and approving applications and for notifying applicants of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None as specified in the General Section.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for two years. See the following for information on how assistance is awarded/released: demand/response.

**Reports:**

Recipients are required to submit quarterly reports. Recipients are required to submit quarterly reports. Recipients are required to submit quarterly reports. Recipients are required to submit quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the assistance project must be kept for three to five years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0313-0-1-604.

**Obligations:**

(Training) FY 11 \$2,838,951; FY 12 est \$17,992,866; and FY 13 est \$3,300,000 - Past Fiscal Year 2009:\$168,091  
Past Year Fiscal Year 2010:\$3,176,416  
Past Year Fiscal Year 2011: \$1,655,492  
Fiscal Year 2012 Money to be Competed Amongst National/Regional Orgs: \$2,000,000.

**Range and Average of Financial Assistance:**

Up to \$1 million per award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Improved the capacity of T&TA beneficiaries. Fiscal Year 2012: To improve the capacity of T&TA beneficiaries. Fiscal Year 2013: To improve the capacity of T&TA beneficiaries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1000

**Regional or Local Office:**

See Regional Agency Offices. Headquarters.

**Headquarters Office:**

Nicholas C. Zolkowski 451 7th Street, SW, Washington, District of Columbia 20410 Email: nicholas.c.zolkowski@hud.gov Phone: 202-402-4507

**Website Address:**

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/administration/grants/fundsavail](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail)

**RELATED PROGRAMS:**

14.862 Indian Community Development Block Grant Program; 14.867 Indian Housing Block Grants; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Technical assistance; Grantee training. Fiscal Year 2012: Technical assistance; Grantee training. Fiscal Year 2013: Technical assistance; Grantee training.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be submitted by non-profit and for profit organizations that possess the capacity to perform the associated tasks as required in the NOFA. Applications are then rated against factors that measure experience, performance, management and quality control.

**14.894 OFFICE OF NATIVE AMERICAN PROGRAMS TRAINING AND TECHNICAL ASSISTANCE FOR NATIVE HAWAIIAN HOUSING BLOCK GRANT PROGRAM****FEDERAL AGENCY:**

Department of Housing and Urban Development

**AUTHORIZATION:**

The Department of Defense and Full-Year Continuing Appropriations Act, 2011, Public Law 112-10; The Transportation/HUD Consolidated Appropriations Act, 2010, Public Law 111-117; The Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To provide technical assistance for Native Hawaiians in the development of viable communities.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Funds are available to national and regional organizations, as well as for-profit entities to provide T&TA to the Department of Hawaiian Homelands (DHHL) and subrecipients of Native Hawaiian Housing Block Grant (NHHBG) funds pursuant to Title VIII of NAHASDA. DHHL and its subrecipients eligible to receive assistance provided by T&TA providers are collectively referred to as T&TA beneficiaries..

**Applicant Eligibility:**

Depending on the component, any national or regional T&TA provider, or any organization with the capacity to provide services.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular A-87, Circular A-122, or 48 CFR 31.2. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Office of Native American Programs (ONAP) is responsible for rating and approving applications and for notifying applicants of the results.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Dates are included in a Notice of Funding Availability (NOFA) which is posted on grants.gov and on HUDs website.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for two years. See the following for information on how assistance is awarded/released: demand/response.

**Reports:**

Recipients are required to submit quarterly reports. Recipients are required to submit quarterly reports. Recipients are required to submit quarterly reports. Recipients are required to submit quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), nonfederal entities that expend financial assistance of \$500,000 or more in federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for the year, except as noted in Circular No. A-133.

**Records:**

All records applicable to the assistance project must be kept for three to five years following the submission of the final expenditure report or until all audit findings have been resolved.

**Account Identification:**

86-0235-0-1-604.

**Obligations:**

(Training) FY 11 \$6,719; FY 12 est \$926,000; and FY 13 est \$300,000 - Past FY 2008:\$22,166  
Past FY 2010:\$62,135  
Past FY 2011:\$288,849.

**Range and Average of Financial Assistance:**

Up to \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided technical assistance and training to grantees. Fiscal Year 2012: To provide technical assistance and training to grantees. Fiscal Year 2013: To provide technical assistance and training to grantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

24 CFR Part 1006

**Regional or Local Office:**

See Regional Agency Offices. Headquarters Office.

**Headquarters Office:**

Nicholas C. Zolkowski 451 7th Street, SW, Washington, District of Columbia 20410 Email: nicholas.c.zolkowski@hud.gov Phone: 202-402-4507

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

14.867 Indian Housing Block Grants; 15.141 Indian Housing Assistance; 93.612 Native American Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Technical assistance; Grantee training. Fiscal Year 2012: Technical assistance; Grantee training. Fiscal Year 2013: Technical assistance; Grantee training.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be submitted by non-profit and for profit organizations that possess the capacity to perform the associated tasks as required in the NOFA. Applications are then rated against factors that measure experience, performance, management and quality control.

## DEPARTMENT OF THE INTERIOR

**15.022 TRIBAL SELF-GOVERNANCE****FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title IV, Public Law 93-638, as amended, 25 U.S.C. 458 aa et seq.

**OBJECTIVES:**

To further the goals of Indian Self-Determination by providing funds to Indian tribes to administer a wide range of programs with broad administrative and programmatic flexibility.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used by Federally Recognized Tribal Governments to support a wide range of programs such as law enforcement, tribal courts, scholarships, social services, road maintenance, forestry, agriculture, real estate services, wildlife and parks, and water resources. Funds may be used only for programs previously administered by the Bureau of Indian Affairs or for programs specifically authorized by Federal statute and may not be used for the operation of elementary and secondary schools or for community colleges. The Indian tribe must ensure adequate protection of trust resources. For more information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal consortia authorized by the Federally Recognized Indian Tribal Governments to be served.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and their Members.

**Credentials/Documentation:**

Initial application must be accompanied by an authorizing resolution of the governing body of the Indian tribe or in the case of a consortia, Indian tribes to be served. First-time applicants must have successfully completed a planning phase and must have demonstrated for the previous three years, financial stability and financial management capability. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An informal pre-application conference is recommended. Technical assistance in preparing the application is available upon request. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application and selection process is governed by regulations contained in 25 CFR Part 1000. Applicants first apply for inclusion in an applicant pool. Once an Indian tribe/consortium has established eligibility for admission to the applicant pool, it can be selected to become a Self-Governance Tribe. Application information is available from the office(s) listed below under "Information Contacts."

**Award Procedure:**

The annual dollar value of the funding agreement is subject to negotiation between the applicant, the local Bureau agency office, the servicing Regional office, and the Office of Self-Governance. Final funding agreements are signed by the authorized tribal representative and the Director, Office of Self-Governance.

**Deadlines:**

Mar 01, 2011 An application for inclusion in the applicant pool may be filed at any time. However, an Indian tribe/consortium must submit its application by March 1 of the year in which the initial funding agreement and compact are to be negotiated. The application must be complete before the tribe can be placed in the applicant pool and selected to operate as a Self-Governance Tribe.

**Range of Approval/Disapproval Time:**

Funding agreements are to be negotiated and submitted to Congress and neighboring Indian tribes at least 90 days before the proposed effective date of the agreement. Negotiation and approval of a new funding agreement may take up to four months.

**Appeals:**

Applicable appeal procedures are contained in 25 CFR Part 1000.

**Renewals:**

Funding agreements may be for a single or multi-year period and renewed indefinitely upon satisfactory performance by the Indian tribe/consortium. The amount of the annual funding agreement may be negotiated each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are provided on an annual basis and remain available until expended by the tribe/consortium. See the following for information on how assistance is awarded/released: When possible, payments are made in a lump sum following enactment of the Department's appropriations.

**Reports:**

The timing and nature of program accomplishment data will be negotiated with the Indian tribe/consortium. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report is required. Annual, external reviews of the management of trust assets will be conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$430,308,836; FY 12 est \$432,445,328; and FY 13 est \$435,251,449

**Range and Average of Financial Assistance:**

\$9,705 to \$27,537,488; Average \$434,655.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 99 Indian tribes/consortia participated in the Tribal Self-Governance Program. The 99 funding agreements with Indian tribes and tribal consortia provided 239 Federally recognized Indian Tribes with the opportunity to exercise discretion in establishing funding priorities, and allowed them wide latitude in the design of tribal programs, services, functions, and activities in response to local conditions and circumstances. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 1000; OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments.

**Regional or Local Office:**

See Regional Agency Offices. Office of Self Governance, Department of the Interior, Northwest Field Office, 500 West 12th Street, Suite 102, Vancouver, WA 98660. Telephone: (360) 699-1011. Use the same number for FTS or the nearest Bureau of Indian Affairs Regional Office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Director, Office of Self-Governance, Office of the Deputy Assistant Secretary - Policy and Economic Development, Department of the Interior, 1951 Constitution Avenue, N.W., MS 355-G, Washington, District of Columbia 20240 Phone: (202) 219-0240.

**Website Address:**

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Among the activities supported by Tribes/Consortium was the provision of supplemental financial assistance to students pursuing a college level education which led to 100 college graduates, use of Johnson O'Malley funding to serve 2,886 Indian students in public schools, tutoring of 60 students in remedial education, placement of 174 Indian children in Indian homes, operation of a hatchery on its reservation releasing up to 11 million juvenile salmon in local waters to provide harvest opportunities for tribal members, maintenance of the Tribe's wilderness area in a natural condition through the operation of its wilderness protection program, collaboration of a Tribal Youth Program with an Art Center to provide education and prevention activities on gang involvement of 68 youth, operation and maintenance of irrigation water services to users on 11,000 acres primarily for agricultural purposes, and completion of 29 appraisals in support of 61 acres of land acquisition. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the eligibility criteria of 25 CFR Part 1000 will be selected, up to a maximum of 50 new participants annually. An applicant must be a Federally Recognized Tribe or tribal consortium, have an authorizing tribal resolution(s) from the tribal governing body (ies), have successfully completed a planning phase and have demonstrated for the previous three years, financial stability and financial management capability. Applicants are selected in the order in which complete applications are received. For more information contact the offices listed under Information Contacts.

**15.024 INDIAN SELF-DETERMINATION CONTRACT SUPPORT CONTRACT SUPPORT**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.

**OBJECTIVES:**

To provide funds to Federally Recognized Indian Tribal Governments and to tribal organizations to fund some or all of the indirect costs incurred in administering Federal programs for which direct appropriations are made to the Bureau of Indian Affairs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used in accordance with indirect cost rate proposals which have been approved by the cognizant Federal agency or for lump sum administrative cost rates negotiated with the Bureau of Indian Affairs. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

Federal approval of indirect cost rate. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency or regional office listed in Appendix IV of the Catalog.

**Award Procedure:**

Awards for new or expanded contracts will be awarded based upon the start date of the underlying program award, and the application date, on a first-come-first-served basis. Additional information concerning fiscal year 2002 awards will be published in 2002 as a Notice in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of a changed indirect cost rate or as a result of pro-rata reductions due to insufficient appropriations to cover all eligible awards.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments for renewals will generally be made in two increments: 70 percent soon after the start date of the award, and the balance during the fourth quarter of the fiscal year. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$219,560,000; FY 12 est \$219,208,704; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The range is \$10,000 to \$8,000,000; average \$190,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency or regional office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Deputy Director, Office of Tribal Services, Bureau of Indian Affairs, 1849 C Street, NW, MS 320 SIB, Washington, District of Columbia 20240 Phone: (202) 513-7640.

**Website Address:**

<http://www.doi.gov/bia/self-determ/idc.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.046 Administrative Cost Grants for Indian Schools

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All renewal awards will be funded; the amount of the awards is subject to the availability of appropriations; first-time awards will be funded in the order of receipt of the application up to an annual limit of \$5,000,000.

**15.026 INDIAN ADULT EDUCATION****FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended; Public Law 103-413, Title II Tribal Self-Governance Act.

**OBJECTIVES:**

To improve the educational opportunities for Indian adults who lack the level of

literacy skills necessary for effective citizenship and productive employment and to encourage the establishment of adult education programs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

All funds must be for direct services. Funds may not be used for administration.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and members of American Indian Tribes.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local BIA agency or area office listed in Appendix IV of the Catalog.

**Award Procedure:**

The dollar value of the awards depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the BIA's budget formulation process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial reports, SF 425, are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$2,278,725; FY 12 est \$2,220,593; and FY 13 est \$2,335,659

**Range and Average of Financial Assistance:**

Range is \$100 to \$297,000; Average \$35,900.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 46; 25 CFR, Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

James Martin 1849 C Street, Washington, District of Columbia 20240 Email: james.martin@bie.edu Phone: (202) 208-5810

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.027 Assistance to Tribally Controlled Community Colleges and Universities; 15.114 Indian Education\_Higher Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 will be selected.

**15.027 ASSISTANCE TO TRIBALLY CONTROLLED COMMUNITY COLLEGES AND UNIVERSITIES**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Tribally Controlled Community College Assistance Act, Public Law 95-471, 25 U.S.C. 640c - 1(c); 25 U.S.C. 1815.

**OBJECTIVES:**

To provide grants for the operation and improvement of Tribal Colleges and Universities (TCUs) to insure continued and expanded educational opportunities for Indian students, and to allow for the improvement and expansion of the physical resources of such institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must not be used in connection with religious worship or sectarian instruction. Funds may be used for the general operating costs of the Tribally Controlled Community College to defray, at the determination of the College, expenditures for academic, educational and administrative purposes and for the

operation and maintenance of the College.

**Applicant Eligibility:**

Colleges chartered by Federally Recognized Indian Tribes or tribal organizations which are governed by a board of directors, are in operation more than one year, admit students with a certificate of graduation from a secondary institution or equivalent, provide certificates, associate, baccalaureate and graduate degrees, are nonprofit and nonsectarian, and are accredited by a nationally recognized agency or association.

**Beneficiary Eligibility:**

Indian students who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the governing body of one or more Indian tribes of the students served by or to be served by the college. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the Division of Post-Secondary Education. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The organization should submit written evidence of approval of the application by the governing body of one or more Indian tribes of the students served by or to be served by the college to the Director, Office of Indian Education.

**Award Procedure:**

After receiving approval of the application by the governing body or governing bodies, the Director will designate a study team to determine whether there is justification to encourage maintaining a college.

**Deadlines:**

Jul 01, 2011 Colleges must submit the Tribe's approval of the application by March 1 of the fiscal year preceding the year in which they wish to be eligible for funding. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1 of the preceding year in which they wish to be eligible for funding.

**Range of Approval/Disapproval Time:**

The study team will be designated within 30 days. Within 60 days the team must complete its eligibility study. The tribe will be notified of approval within 60 days of completion of the study.

**Appeals:**

A negative determination may be appealed to the Assistant Secretary - Indian Affairs. Within 30 days of receiving a notice of appeal the Assistant Secretary must conduct a hearing at which the applicant may present evidence and offer arguments in support of the appeal. Within 30 days after the hearing the Assistant Secretary must issue a written ruling on the appeal. Specifics relative to the appeals process are found in 25 CFR 41.7.

**Renewals:**

Colleges must file an annual application to receive continued funding.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available without fiscal year limitation until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Funds are calculated based on the recipient's Indian Student Count and are issued with a Form 21 Grant Agreement.

**Reports:**

OMB 1076-0105, Annual Report. Cash reports are not applicable. No progress reports are required. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$63,483,778; FY 12 est \$66,583,000; and FY 13 est \$69,073,000

**Range and Average of Financial Assistance:**

Range is \$462,844 to \$12,612,671; Average \$2,441,684. The amount of the award is determined by the number of eligible Indian students enrolled in the college. Indian Tribes may choose to supplement the funding provided by the grant program by identifying additional amounts in the Tribal Priority Allocations portion of the Bureau of Indian Affairs budget.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 41; 25 CFR, Part 276.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

James Martin 1849 C Street, Washington, District of Columbia 20240 Email: james.martin@bie.edu Phone: (202) 208-5810

**Website Address:**

<http://www.bia.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.026 Indian Adult Education; 15.114 Indian Education\_Higher Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants which the study team determines as eligible will be funded.

**15.028 TRIBALLY CONTROLLED COMMUNITY COLLEGE ENDOWMENTS**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Tribally Controlled College Assistance Act, Public Law 95-471, 25 U.S.C. 640c - 1(c); 25 U.S.C. 1815.

**OBJECTIVES:**

To provide grants to establish endowments for the Tribally Controlled Community Colleges and Universities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to establish endowments. Interest earned on the invested funds may be used to defray expenditures associated with the operation of the College including maintenance, administration, academic and support costs, and community and student services programs. No part of the net earnings of the trust fund may be used to benefit any private person.

**Applicant Eligibility:**

Colleges chartered by Federally Recognized Indian Tribes which are governed by an Indian board of directors, are in operation more than one year, admit students with a certificate of graduation from a secondary institution or equivalent, provide certificates, associate, baccalaureate and graduate degrees, are nonprofit and nonsectarian, and are accredited by a nationally recognized agency or association.

**Beneficiary Eligibility:**

Indian students who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Approved status as a Tribal College or University. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Colleges must complete an Endowment Fund agreement in accordance with 25 U.S.C. 1832(b).

**Award Procedure:**

The headquarters office calculates the amount of the award and the grantee is notified the Division of Post-Secondary Education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Established by the Division of Post-Secondary Education.

**Appeals:**

An applicant who disputes the amount of the award may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals. Full appeal procedures are found in 25 CFR Part 2.

**Renewals:**

Colleges must file an annual application to receive continued funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Colleges must match an endowment grant with a capital contribution equal to half of the amount of the Federal contribution. Personal or real property received as a donation or gift may be applied toward the matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Funds are prorated on the number of eligible and are issued with a Form 21 Grant Agreement.

**Reports:**

OMB 1076-0105, Annual Report. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$108,780; FY 12 est \$109,000; and FY 13 est \$109,000

**Range and Average of Financial Assistance:**

Range is \$1,321 to \$5,505; Average \$4,944.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 41.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV of the Catalog.

**Headquarters Office:**

James Martin 1849 C Street, Washington, District of Columbia 20240 Email: james.martin@bie.edu Phone: (202) 208-5810

**Website Address:**

<http://www.oiep.bia.edu.>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.042 INDIAN SCHOOL EQUALIZATION PROGRAM**

ISEP

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide funding for primary and secondary education.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for the education of Indian children in Bureau of Education (BIE) funded schools. Funds may not be used for construction.

**Applicant Eligibility:**

Federally Recognized Indian Tribes or tribal organizations currently served by a

Bureau of Indian Education funded school.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are a member of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the tribal governing body of the students served by or to be served by the school. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the BIE Education Line Officer who will provide technical assistance. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To become a contract school, applications should be developed in accordance with 25 CFR Part 900. To become a grant school, applications should be developed in accordance with 25 USC 2501 et. seq.

**Award Procedure:**

The BIE Education Line Officer will ensure the application is complete and forward the application to the Director, Bureau of Indian Education Programs, with a recommendation for approval or disapproval.

**Deadlines:**

Jul 01, 2012 Schools must submit their applications and a copy of the tribe's approval of the application by March 1. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1.

**Range of Approval/Disapproval Time:**

Applications for contract schools will be processed within 90 days; applications for grant schools will be processed within 180 days after the date the application is submitted to the Education Line Officer.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900.

**Renewals:**

Awards are made annually and are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory Formula: Title 25, Chapter 39. Approximately ninety-nine percent of the ISEP funds will be allocated in accordance with the ISEP formula contained in 25 CFR 39. One percent of the funds shall be reserved for the Director's discretion.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds may be paid in advance, are awarded annually on an indefinite basis based on performance, and remain with the Self Determination contractor or grantee until spent. Funds are added to the recipient school's Public Law 100-297 Grant or Public Law 93-638 Contract on July 1 and December 1. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual Narrative Report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.



**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$240,165,400; FY 12 est \$240,165,400; and FY 13 est \$240,165,400

**Range and Average of Financial Assistance:**

The FY 2011 range was \$138,300 to \$9,454,200. The average was \$1,906,074 per school.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Joe Herrin, Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240  
Email: joe\_herrin@bia.gov Phone: (202) 208-7658.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.043 Indian Child and Family Education; 15.044 Indian Schools\_Student Transportation; 15.045 Assistance for Indian Children with Severe Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility requirements are funded.

**15.043 INDIAN CHILD AND FAMILY EDUCATION**

FACE

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.

**OBJECTIVES:**

The Family And Child Education (FACE) program is designed to serve families with children from prenatal to age 5 in home and center-based settings. Families may receive services in one or both settings. FACE provides early childhood for all children from birth - to age five and adult education for their parents through family literacy, parental involvement, increasing school readiness, high school graduation rates among Indian parents, and encouraging life-long learning.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

Funds must be used for early childhood education, adult education and parenting skills. Funds may not be used for administration or construction.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with Bureau of Indian Education funded elementary schools may apply to administer the program.

**Beneficiary Eligibility:**

Parents and their Indian children under 5 years of age who live on a reservation with a Bureau-funded school.

**Credentials/Documentation:**

The initial application must include the SF 424 and SF 424B, and may be accompanied by a resolution of the tribal governing body of the Tribe of the children served by or to be served by the organization. No documentation is required of the parents or children. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Tribe should contact the BIE Education Line Officer.

**Award Procedure:**

Once an application is received, the Coordinator of the FACE program appoints a panel of readers from such organizations as the National Center for Family Literacy, the Parents as Teachers, Research Training Associates and BIE staff who are familiar with early childhood development. The panel reads, rates and ranks the applications. The coordinator then recommends to the Director, Office of Indian Education, those applications for approval.

**Deadlines:**

Jun 01, 2011 Applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Bureau of Indian Education. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed every 3 years based upon satisfactory performance. A notice of intent to renew should be submitted yearly and a full application must be submitted every 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released: Funds are added to the recipient school's Public Law 100-297 Grant or Public Law 93-638 Contract on July 1.

**Reports:**

Monthly progress reports, annual participation data, screening, work sampling, and other program data requested is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$11,440,000; FY 12 est \$11,440,000; and FY 13 est \$11,440,000

**Range and Average of Financial Assistance:**

Each site receives approximately \$260,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A copy of the guidelines may be obtained by contacting the Education Line Officers.

**Regional or Local Office:**

See Regional Agency Offices. See the BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Debbie Lente-Jojola, Office of Indian Education Programs, Bureau of Indian Affairs, Office of the Deputy Director, Early Childhood, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, New Mexico 87104 Email: Debra.LenteJojola@bie.edu Phone: (505) 563-5258.

**Website Address:**

<http://www.bie.edu>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the review of the team appointed by the Coordinator. Final determination made by the Director, BIE, based on the Coordinator's recommendation.

**15.044 INDIAN SCHOOLS\_STUDENT TRANSPORTATION**

(Student Transportation)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide funds to each Bureau of Indian Education (BIE) funded school for the round trip transportation of students between home and the school site.

**TYPES OF ASSISTANCE:****DIRECT PAYMENTS FOR A SPECIFIED USE****USES AND USE RESTRICTIONS:**

Funds are to only be used for the transportation of students who are eligible under the Indian School Equalization Program (ISEP) as provided for under 25 CFR 39 and are enrolled in a BIE- funded school or dormitory.

**Applicant Eligibility:**

Federally Recognized Indian Tribes or tribal organizations currently served by a BIE-funded school.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Written evidence of approval of the application by the tribal governing body of the students served by or to be served by the school. "Tribal governing body" means the tribal governing body or tribal governing bodies that represent at least 90 percent of the students served by such school. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the Education Line Officer who will provide technical assistance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To become a contract school, applications should be developed in accordance with 25 CFR Part 900. To become a grant school, applications should be developed in accordance with 25 USC 2501 et seq.

**Award Procedure:**

The Education Line Officer will ensure the application is complete and forward the application to the Director, Bureau of Indian Education, with a recommendation for approval/disapproval.

**Deadlines:**

Jul 01, 2011 Schools must submit their applications and a copy of the tribe's approval of the application by March 1. Evidence that all administrative systems are in place such as accounting, personnel and property must be submitted by July 1.

**Range of Approval/Disapproval Time:**

Applications for contract schools will be processed within 90 days; applications for grant schools will be processed within 180 days after the date the application is submitted to the BIE Education Line Officer.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are made annually and are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Funds are allocated in accordance with 25 CFR 39 Subpart G. The Director, Bureau of Indian Education will review transportation allotment factors each year and make changes in factors based on changes in transportation costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Funds are added to the recipient school's Public Law 100-297 Grant or Public Law 93-638 Contract on July 1 and

December 1. See the following for information on how assistance is awarded/released: Payments are made in advance or by way of reimbursement.

**Reports:**

A narrative report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$35,395,000; FY 12 est \$35,395,000; and FY 13 est \$35,395,000

**Range and Average of Financial Assistance:**

Range is \$1,900 to \$1,506,900; Average \$283,160.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Joe Herrin, Office of Indian Education Programs, Bureau of Indian Affairs, MS 3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240  
Email: joe\_herrin@bia.gov Phone: (202) 208-7658.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education; 15.045 Assistance for Indian Children with Severe Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.046 ADMINISTRATIVE COST GRANTS FOR INDIAN SCHOOLS  
FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

To provide grants to tribes and tribal organizations operating schools for the purpose of paying administrative and indirect costs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for program services related administrative overhead, operations necessary to meet requirements of the law, prudent management practices, and other necessary support functions.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments or Tribal Organizations operating a Bureau of Indian Education funded school.

**Beneficiary Eligibility:**

Indian Tribal Governments or tribal organizations operating a Bureau funded elementary or secondary school under a Public Law 100.297 grant or Public Law 93-638 Self-determination Contract with the Bureau of Indian Education.

**Credentials/Documentation:**

Approved status as a Public Law 100-297 Grant or a Public Law 93-638 Self Determination Contract School. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No separate application is required. The additional allocation will be calculated by the Bureau of Indian Education and added to the underlying award.

**Award Procedure:**

The headquarters office calculates the amount of the award and the grantee is notified by the BIE Education Line Officer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

An applicant who disputes the amount of the award may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards are renewed automatically based on satisfactory performance by the grantee.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 25 U.S.C. 2008(a).  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made available on July 1 and December 1 each year and remain available without fiscal year limitation until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Narrative Report and a program evaluation by an impartial third party such as an accrediting agency. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$46,280,254; FY 12 est \$46,253,000; and FY 13 est \$48,253,000

**Range and Average of Financial Assistance:**

Range is \$127,600 to \$1,166,200; Average \$405,967.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Current Data Not Available. Fiscal Year 2012: Current Data Not Available. Fiscal Year 2013: Current Data Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 39; 25 CFR 45; 25 CFR 900.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Joe Herrin, Headquarters Office: Office of Indian Education Programs, Bureau of Indian Affairs, MS-3609 MIB, 1849 C Street, N.W., Washington, District of Columbia 20240 Email: Joe.Herrin@bie.gov Phone: (202) 208-7658.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants meeting eligibility criteria are funded.

**15.047 INDIAN EDUCATION FACILITIES, OPERATIONS, AND MAINTENANCE**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq., Public Law 103-413, Title II Tribal Self-Governance Act, Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001; Tribally Controlled Schools Act, Public Law 100-297, and 25 U.S.C. 2501.

**OBJECTIVES:**

To provide funds to BIE funded elementary schools, secondary schools or peripheral dormitories for facilities operations and maintenance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries and related expenses of maintenance personnel, utilities, maintenance of school grounds, supplies, equipment, materials, and for minor repairs to facilities.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments or tribal organizations currently served by a Bureau of Indian Education (BIE) funded elementary school, secondary school or peripheral dormitory.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and occupants and visitors of BIA funded elementary or secondary schools or peripheral dormitories.

**Credentials/Documentation:**

Initial application must be accompanied by a resolution of the governing body of the Indian tribe. If the school serves students from multiple tribes, resolutions from tribal governing bodies representing at least 90 percent of the students are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications for status as a contract school must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Initial applications for status as a grant school should be developed in accordance with 25 U.S.C. 2501 et seq.

**Award Procedure:**

Applications should be submitted to the BIE Education Line Officer (ELO) who will ensure that the application is complete. The application is forwarded by the ELO to the Director, Office of Indian Education Programs, with a recommendation for approval or disapproval. The dollar value of the awards is based upon school age and condition, size, utilities costs, and other pertinent factors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 to 180 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee and continued use of the facilities. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted based on appropriations and need.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the contractor/grantee. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$64,310,466; FY 12 est \$64,300,000; and FY 13 est \$64,300,000 - FY 2011 Operations \$36,236,058 Maintenance \$28,074,408; FY 2012 Operations est. \$36,200,000 Maintenance \$28,000,000 and FY 2013 est. Operations \$36,200,000 and Maintenance \$28,000,000.

**Range and Average of Financial Assistance:**

In FY 2011, the range was \$58,192 to \$1,891,135; Average \$559,221.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 900; OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments."

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local BIE Education Line Office as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Joe Herrin 1849 C Street, NW, MS-3609 MIB, Washington, District of Columbia 20240 Email: joe.herrin@bie.gov Phone: (202) 208-7658

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants meeting the requirements of 25 CFR Part 900 or the requirements of the Tribally Controlled Schools Act will be selected if they are currently served by a BIE-funded school.

**15.058 INDIAN POST SECONDARY SCHOOLS**

Haskell Indian Nations University (Haskell) and Southwestern Indian Polytechnic Institute (SIPI)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921 Public Law 67-85, 25 U.S.C. 13.

**OBJECTIVES:**

To provide postsecondary educational opportunities for American Indian Students.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Students may attend one of two post-secondary schools operated by the Bureau of Indian Affairs with minimal charge for tuition, room and board. Married

student housing is not available on campus. For more information contact the headquarters office.

**Applicant Eligibility:**

American Indians and Alaskan Natives.

**Beneficiary Eligibility:**

American Indians and Alaskan Natives.

**Credentials/Documentation:**

Application must be accompanied by a verification of Tribal affiliation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Interested applicants may obtain a Standard Form 5-6621 from a local BIE Education Line Office or Tribal Government education office, or applicants may contact the schools directly.

**Award Procedure:**

Applications will be reviewed by the colleges' admissions committees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

HINU: Fall Semester - June 30; Spring Semester - November 15; Summer School - (if funds are available) - April 15. SIPI: Fall Trimester - September 1; Spring Trimester - December 29; Summer Trimester - May 5. Students will be notified within 4 weeks of having submitted a completed application packet.

**Appeals:**

Not Applicable.

**Renewals:**

HINU: Fulltime students are considered making satisfactory academic progress if they are not on academic probation and have not completed the minimum hours to graduate with an associate degree in six semesters or with a baccalaureate degree in 12 semesters. SIPI: Awards may be renewed until the student completes the chosen program of study so long as satisfactory progress is maintained and the student adheres to the student code of conduct.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the recipient. Financial assistance grants to individual students are based on each student's certified financial aid requirements as identified in the Department of Education's Student Financial Assistance programs. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Applicants are to submit official transcript from high school or other institution attended or certificate of GED.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Training) FY 11 \$17,644,640; FY 12 est \$18,497,357; and FY 13 est \$18,484,000 - HINU: Lodging full time: \$215 per semester for housing, student activities, and textbooks, \$110 for students living off campus; SIPI Lodging full-time: \$280, Commuter full-time \$225, Commuter part-time \$150. All fees are non-refundable.

**Range and Average of Financial Assistance:**

Not identifiable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR Part 40; Haskell Indian Nations University Catalog; Southwestern Indian Polytechnic Institute Catalog.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be obtained at the local Bureau of Indian Affairs agency/area education program administrator as listed in Appendix IV.

**Headquarters Office:**

Haskell Indian Nations University, 155 Indian Avenue

**Additional Headquarters Address:**

Southwestern Indian Polytechnic Institute, 9169 Coors Boulevard, NW, NM 87120  
(505) 346-2348, Lawrence, Kansas 66046 Phone: (785) 749-8454.

**Website Address:**

<http://www.bie.edu>; [WWW.Haskell.edu](http://WWW.Haskell.edu); [WWW.SIPI.edu](http://WWW.SIPI.edu);  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.027 Assistance to Tribally Controlled Community Colleges and Universities; 15.060 Indian Vocational Training\_United Tribes Technical College; 15.114 Indian Education\_Higher Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To the extent that space is available, all applicants meeting the eligibility criteria and demonstrating the ability to benefit from post-secondary education will be accepted.

**15.059 INDIAN GRADUATE STUDENT SCHOLARSHIPS**

(Special Higher Education Scholarships)

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13.

**OBJECTIVES:**

To provide financial aid to eligible Indian students to enable them to obtain advanced degrees.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to defray the costs of obtaining a graduate degree.

**Applicant Eligibility:**

Individual applicants must be Indian students who are members of Federally Recognized Indian Tribes, who have been admitted to a graduate program and have unmet financial need.

**Beneficiary Eligibility:**

Members of Federally Recognized Indian Tribes who are a member of or are at least one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

Individual applicants must have proof of membership or one-fourth degree of Indian blood or descendant of a member of a Federally Recognized Indian Tribe. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants should contact the American Indian Graduate Center which administers the program on behalf of the Bureau. The AIGC award includes \$1,320,000 for scholarships and \$746,700 for financial assistance loans with a service pay back option. (The American Indian Law Center also receives \$97,300 for pre-law courses.). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms may be obtained from the local BIA agency or BIE Education Line Office listed in Appendix IV of the Catalog.

**Award Procedure:**

The applicant will be notified of the amount of the award by the financial aid office of the admitting university.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

20 to 30 days from the receipt of the application by the American Indian Graduate Center.

**Appeals:**

Not Applicable.

**Renewals:**

Individuals must reapply annually.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards made are not to exceed one academic year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Successful applicants are required to show proof of satisfactory performance. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$2,160,000; FY 12 est \$2,161,000; and FY 13 est \$2,261,000 - Applicants should contact the American Indian Graduate Center which administers the program on behalf of the Bureau. The 2011 AIGC award includes \$1,317,360 for scholarships and \$745,207 for financial assistance loans with a service pay back option. (The American Indian Law Center also receives \$97,105 for pre-law courses).

**Range and Average of Financial Assistance:**

Range is \$250 to \$4,000; Average \$3,947.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Annually approximately 330 Indian students receive support to help finance graduate studies. Law and health professions are the most often selected areas of concentration. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

## **REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40.

### **Regional or Local Office:**

See Regional Agency Offices. Chris Redman, Bureau of Indian Education, 215 Dean A. McGee, Suite 610, Oklahoma City, OK 73102, Email: james.redman@bie.edu, Phone: (405) 605-6001.

### **Headquarters Office:**

Director, American Indian Graduate Center, 4520 Montgomery Boulevard, Suite 1-B, Albuquerque, New Mexico 87109 Phone: (505) 881-4584.

### **Website Address:**

<http://www.oiep.bia.edu/contact.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

## **RELATED PROGRAMS:**

15.026 Indian Adult Education

## **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **15.108 INDIAN EMPLOYMENT ASSISTANCE**

Employment Assistance Program

### **FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

### **AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450, American Recovery and Reinvestment Act of 2009.

### **OBJECTIVES:**

To provide vocational training and employment opportunities to eligible American Indians and Alaska Natives to reduce Federal dependence.

### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

### **USES AND USE RESTRICTIONS:**

Financial aid is used to assist individual Indians to obtain a marketable skill through vocational training and to assist those who have a job skill to find permanent employment. Vocational and employment counseling are provided by the program. Eligible American Indians and Alaska Natives may receive vocational training or job placement on or near the reservation or in Urban and Rural settings.

### **Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and Native American Organizations authorized by Indian Tribal Governments may apply to administer the program. Individual American Indian and Alaska Native applicants must be a member of a Federally Recognized Indian Tribe, be in need of financial assistance, and reside on or near an Indian reservation or in Alaska under the jurisdiction of the Bureau of Indian Affairs.

### **Beneficiary Eligibility:**

Members of Federally Recognized Indian Tribes who are unemployed, underemployed, or in need of training to obtain reasonable and gainful employment. Complete information on beneficiary eligibility is found in 25 CFR, Part 26.

### **Credentials/Documentation:**

Applicants must submit a certificate signed by a Bureau Agency Superintendent or an authorized Tribal representative that indicates the applicant is an enrolled member or a descendant of an enrolled member or registered with a Federally Recognized Indian Tribe. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications by Indian Tribal Governments to administer the program must contain the information specified in 25 CFR, Part 900, Subpart C, "Contract Proposal Contents." Completed applications should be submitted to the local Bureau of Indian Affairs agency office listed in Appendix IV. Individual American Indian and Alaska Native applicants should apply for program services on the Bureau of Indian Affairs Form BIA-8205 if they are applying at the nearest Bureau Employment Assistance office to their residence. If an eligible applicant is applying for services from a tribal program contractor the tribe will make available a facsimile (application).

### **Award Procedure:**

The dollar value of the awards to Indian Tribal Governments depends upon the amount that has been prioritized by the individual Tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process. Applications for individual benefits are approved by the Bureau Agency Superintendent or authorized tribal representative.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

Applications by Tribal Governments to administer the program will be processed within 90 days. Applications by individuals for benefits will be processed within 30 days.

### **Appeals:**

A Tribal Government whose request to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Federal Civilian Board of Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR, Part 900. An individual may appeal the BIA agency Superintendent's decision to the Regional Director. The complete appeal process for an individual is found in 25 CFR Part 2, "Appeals from Administrative Action." An appeal of a Tribal contractor's decision must be made under the Tribe's appeal procedures.

### **Renewals:**

Awards to Tribal Governments to administer the program may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process. Renewals of grants to individual beneficiaries are based on evidence of satisfactory performance and the availability of funds.

### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Awards to Indian Tribal Governments and Native American Organizations to administer the program are made on an annual basis and the funds remain available until expended by the contractor/grantee. Payments may be made in advance or by way of reimbursement. The timing of payments will be negotiated with the Tribal Government. Grants to individual beneficiaries for subsistence, tuition and related training costs, supportive services, etc., are released as required by beneficiary, up to the amount of the award. Assistance for job placement is provided until the beneficiary receives the first full paycheck from employment. Individual beneficiaries may not receive more than 24 months of full-time training, except for Registered Nursing students who may receive 36 months of training. See the following for information on how assistance is awarded/released: Not available.

### **Reports:**

Not Applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For awards administered by Indian Tribal Governments, the Tribe is responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501 et seq.).

**Records:**

Indian Tribal Governments administering the program must retain financial records for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Direct Payments for Specified Use) FY 10 \$4,694,889; FY 11 est \$0; and FY 12 est \$0. (Direct Payments for Specified Use) FY 10 \$10,212,028; FY 11 est \$10,300,000; and FY 12 est \$10,400,000

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 26 and 25 CFR 27. For awards to Indian Tribal Governments see also 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed with the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog or with the Tribal Government administering the program.

**Headquarters Office:**

Office of Indian Energy and Economic Development, Division of Workforce Development, 1951 Constitution Avenue, NW, Mail Stop 20-SIB, Washington, District of Columbia 20245 Phone: (202) 208-3100.

**Website Address:**

<http://www.doi.gov/bia/ecodev/index.htm>;  
<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.114 INDIAN EDUCATION\_HIGHER EDUCATION GRANT PROGRAM**

Higher Education

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended; Public Law 103-413, Title II Tribal Self-Governance Act.

**OBJECTIVES:**

To provide financial aid to eligible Indian students to enable them to attend accredited institutions of higher education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds are to supplement the total financial aid package prepared by the college financial aid officer. Funds are intended to assist students in pursuing their undergraduate baccalaureate degree.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian Tribal Governments may apply to administer the program. Individuals who are members of Federally Recognized Indian Tribes may submit applications for benefits directly to the Bureau of Indian Affairs if the Bureau agency serving their reservation provides direct services for this program. Individuals must be enrolled in an accredited college and have financial need as determined by the institution's financial aid office.

**Beneficiary Eligibility:**

Members of a Federally Recognized Indian Tribe who are enrolled or accepted for enrollment in an accredited college and have financial need as determined by the institution's financial aid office.

**Credentials/Documentation:**

Initial application by Indian tribes and tribal organizations must be accompanied by an authorizing resolution of the governing body of the Indian tribe. Individual student applicants must submit a certificate of Indian blood; college financial aid package; statement of acceptance by college and Bureau of Indian Affairs grant application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant should consult the BIE Education Line Officer. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial applications by Indian tribes and tribal organizations to administer the program must contain the information specified in 25 CFR Part 900, Subpart C, "Contract Proposal Contents." Individual students must be accepted by a college or university and should complete application forms in accordance with instructions available upon request from the BIE Education Line Office, or tribal contractor administering the program. Completed forms are submitted to the student's higher education program office at the appropriate office.

**Award Procedure:**

In most cases, the application by an Indian tribe or tribal organization to administer the program can be approved by the BIE Education Line Officer and awarded by the Area/Agency Bureau Awarding Official. Individual students are notified by the Bureau of Indian Education ELO or tribal contractor, and funds are sent to the applicant in care of the college or university financial aid office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications by Indian tribes and tribal organizations to administer the program will be processed within 90 days. Applications by students will be processed within 6 to 10 weeks after all required documents are submitted.

**Appeals:**

Indian tribes and tribal organizations whose application to administer the program is denied may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900. Individual students may appeal a Bureau of Indian Affairs official's decision to the BIE Education Line Officer under the procedures contained in 25 CFR Part 2, "Appeals from Administrative Actions."

**Renewals:**

Awards to Indian tribes and tribal organizations may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal



priorities established in the budget formulation process. Grants to students may be continued through the undergraduate level if the student maintains acceptable progress and academic standing. Renewal applications must be submitted annually with updated grades or transcript.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards to Indian tribes and tribal organizations are made on an annual basis. Grants to students are generally made for the academic year on a quarter or semester basis. A grant is for a period not to exceed 5 years, or the period of time required to complete the course of study. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The time of the payments will be negotiated with the Indian tribe or tribal organization.

**Reports:**

Program accomplishment reporting requirements will be negotiated with the Self-Determination contractor/grantee. Students applying for continuation of grants must submit grade reports at the end of each academic year. Cash reports are not applicable. Progress reports are not applicable. Indian tribes and tribal organizations are required to submit the SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be maintained by the Indian tribe or tribal organization for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$38,171,189; FY 12 est \$37,594,364; and FY 13 est \$38,132,579

**Range and Average of Financial Assistance:**

Range is \$300 to \$5,000; Average \$2,700.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 40; 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

James Martin 1849 C Street, Washington, District of Columbia 20240 Email: james.martin@bie.edu Phone: 2022085810

**Website Address:**

<http://www.bie.edu>

**RELATED PROGRAMS:**

15.108 Indian Employment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

All Indian tribes and tribal organizations meeting the requirements of 25 CFR Part 900 will be selected if the program has been prioritized by the Indian tribe through participation in the Bureau of Indian Affairs' Tribal Priority Allocation budget formulation process, or by the Office of Self Governance tribes. Final determination to fund student applications is based on the individual's eligibility and total dollars available to the Indian tribe or tribal organization or local Bureau office.

**15.130 INDIAN EDUCATION\_ASSISTANCE TO SCHOOLS**

Johnson-O'Malley

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Johnson-O'Malley Act of April 16, 1934; as amended, 25 U.S.C. 452; Indian Self Determination and Education and Assistance Act, Public Law 93-638; 25 U.S.C. 455-457.

**OBJECTIVES:**

To fund programs that meet the unique and specialized needs of eligible Indian students.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds may be used for supplemental programs to meet the special educationally related needs of eligible Indian students. Funds under this program may not be used for capital expenditures.

**Applicant Eligibility:**

Tribal organizations, Indian Corporations, school districts or States which have eligible Indian children attending public school districts and have established Indian Education Committees to approve supplementary or operational support programs beneficial to Indian students. Current funding is calculated with the 1995 JOM student count.

**Beneficiary Eligibility:**

Children who are enrolled members of, or at least one-fourth or more degree of Indian blood descendant of a member of a federally recognized Indian tribal government eligible for service by the Bureau, and are between age 3 through grade 12 with priority given to those residing on or near Indian reservations.

**Credentials/Documentation:**

As required for contract under 25 CFR Part 900. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

BIA will provide technical assistance when requested by a tribal organization. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms may be obtained from the BIE Education Line Officer. Completed applications which include an education plan based on needs assessments and an estimated budget are sent to the appropriate BIA Area or Agency Office.

**Award Procedure:**

The dollar value of the award depends upon the amount that has been prioritized by the individual Indian tribe through tribal participation in the Bureau of Indian Affairs' Tribal Priority Allocation and Office of Self Governance budget formulation process. Contracts with Indian corporations, States and school districts are negotiated with the BIE Education Line Officer based on their 1995 JOM student count.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Applications will be processed within 90 days.

**Appeals:**

An unsuccessful applicant may request an informal conference with the deciding official, or may appeal the denial of the application to the Interior Board of Indian Appeals, or may bring suit in U.S. District Court. Full appeal procedures are found in 25 CFR Part 900.

**Renewals:**

Awards may be renewed indefinitely upon satisfactory performance by the contractor/grantee. A notice of intent to renew should be submitted at least 90 days prior to the expiration of the current award. The amount of the award may be adjusted as a result of individual tribal priorities established in the budget formulation process.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. See the following for information on how assistance is awarded/released: Payments may be made in advance or by way of reimbursement. The timing of the payments will be negotiated with the Indian tribe.

**Reports:**

Annual reports required following the close of the year, as specified in 25 CFR 273. Cash reports are not applicable. Progress reports are not applicable. SF-425, Federal Financial Report required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$21,273,000; FY 12 est \$21,510,000; and FY 13 est \$21,396,000

**Range and Average of Financial Assistance:**

Range is \$100 to \$3,536,510; Average \$69,600.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR, Part 273; 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices. See Education Line Officers' addresses in Catalog Appendix IV.

**Headquarters Office:**

Jim Martin, Office of Indian Education Programs, Room MS 3609-MIB, 1849 C Street, N.W., Washington, District of Columbia 20240 Email: james.martin@bie.gov Phone: (202) 208-5820.

**Website Address:**

<http://www.bie.edu>; <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Johnson-O'Malley Parent Committee determination through needs assessments.

**15.133 NATIVE AMERICAN BUSINESS DEVELOPMENT INSTITUTE (NABDI)**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.

**OBJECTIVES:**

Under its Native American Business Development Institute (NABDI) conceived in FY 2006, IEED has developed partnerships with U.S. graduate schools to assist tribal business assess financial opportunities and prepare economic feasibility studies. Assistance by way of Public Law 93-638 agreements between tribes and participating business schools. During FY 2006-2010, NABDI assisted tribes to analyze the potential of economic opportunities as diverse as a business park, a meat packing plant, a wind energy project, a security business, a medical supply business, upland bird hunting, new uses for a dormat tribal wellness/recreation center, and a greenhouse heated by way of woody biomass. Starting in FY 2011, NABDI funding will be dispersed on a competitive basis following notice in the Federal Register. Applicants will be free to choose private consultants in addition to graduate schools.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federally recognized tribes whose lands are held in trust or restricted fee by the Federal government.

**Applicant Eligibility:**

Federally Recognized Indian Tribal governments.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal governments and their members.

**Credentials/Documentation:**

This is an annual program whose primary objective is to create jobs and foster economic activity within tribal communities. When funding is available, IEED will solicit proposals for feasibility studies and reservation-wide plans. To receive these funds, tribes may use the contracting mechanism established by Public Law 93-638, the Indian-Self Determination Act or may obtain adjustments to their funding from the Office of Self-Governance. See 25 U.S.C. 450 et. seq. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications should be submitted to IEED, Division of Indian Energy Policy Development, Room 20 - South Interior Building, 1951 Constitution Avenue, NW Washington DC 20245.

**Award Procedure:**

As funding is limited, applications are juried by IEED staff and selections are approved by the Director, IEED.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are made on an annual basis and the funds remain available until expended by the contractor. See the following for information on how assistance is awarded/released: The timing of payments will be negotiated by the Regional Office, Contract Officer and the contractor.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report SF-425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for three years from the date of submission of the single audit report. Procurement records must be retained for three years from the date of the final payment. Property records must be retained for three years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions, or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-7-8-452.

**Obligations:**

(Formula Grants) FY 11 \$475,000; FY 12 est \$475,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Determined on an annual basis, subject to appropriations.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: IEED has developed partnerships with U.S. business schools to assist tribal business assess financial opportunities and prepare economic feasibility studies. During FY 2006-FY 2010, NABDI assisted tribes to analyze the potential of economic opportunities as diverse as a business park, a meat packing plant, a wind energy project, a security business, a medical supply business, upland bird hunting, new uses for a dormat tribal wellness/recreation center, and a greenhouse heated by way of woody biomass. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

None. Regional Office Contract Officer.

**Headquarters Office:**

Director IEED, Division of Indian Energy Policy Development, Room 20 - South Interior Building, 1951 Constitution Avenue, NW, Washington, District of Columbia 20245 Phone: (202) 219-0740 Fax: (202) 208-4564

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Solar Project Feasibility Study - Ione Band of Miwok; Meat Packing plant Feasibility Study - Fort Belknap; Upland Bird Hunting Feasibility Study - Crow Indian Tribe; Wellness Recreation Center - Ysleta del Sur; Biomass Project Feasibility Study - Fond du Lac Band of Lake Superior Chippewa; Geothermal Feasibility Study - Cedarville Rancheria. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Submission of application in response to Federal Register Notice.

**15.146 IRONWORKER TRAINING PROGRAM**

**FEDERAL AGENCY:**

Bureau of Indian Affairs, Department of the Interior

**AUTHORIZATION:**

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309.

**OBJECTIVES:**

To provide ironworker vocational training, apprenticeships, and job placement to eligible American Indians through the National Ironworkers Training Program, located in Broadview, Illinois.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible American Indians who reside on or near an Indian reservation may receive vocational training in ironworking and assistance with job placement upon completion of the program.

**Applicant Eligibility:**

Applicants must be an American Indian who is a member of a Federally Recognized Indian Tribe, at least 18 years old, possess a high school diploma or General Equivalency Development (GED) Certificate, be in good physical health, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

American Indian who is a member of a Federally Recognized Indian Tribal Government, at least 18 years old, possess a high school diploma or General Equivalency Development (GED) Certificate, be in good physical health, and reside on or near an Indian reservation under the jurisdiction of the Bureau of Indian Affairs. Complete information on beneficiary eligibility is found in 25 CFR, Part 26.

**Credentials/Documentation:**

Applicant must submit a certificate signed by a Bureau Agency Superintendent or authorized Tribal representative that indicates the applicant is an enrolled member or registered with a Federally Recognized Indian Tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants should apply for program services on Bureau of Indian Affairs Form BIA-8205 at the nearest Bureau Employment Assistance office or tribal government office.

**Award Procedure:**

Individual applications are processed at the Bureau agency or tribal contract offices to determine eligibility.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

1 to 90 days.

**Appeals:**

Appeals may be made to the Bureau of Indian Affairs' Agency Superintendent or to the Regional Director. The complete appeal process for an individual is found in 25 CFR, Part 2, "Appeals of Administrative Actions." Appeals of a Tribal contractor's decision must be made under the Tribe's appeal procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance for Ironworker training is not to exceed 12 weeks. Payments for subsistence and related training costs are released as required by beneficiary. Job placement assistance is provided upon completion of training. See the following for information on how assistance is awarded/released: None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

14-2100-0-1-452.

**Obligations:**

(Project Grants) FY 10 \$500,000; FY 11 est \$500,000; and FY 12 est \$500,000

**Range and Average of Financial Assistance:**

Students receive \$185 per week for the duration of the program for room and board and miscellaneous expenses. Work clothes and tools are also provided.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 26.

**Regional or Local Office:**

See Regional Agency Offices. Applications may be filed at the local Bureau of Indian Affairs agency office as listed in Appendix IV of the Catalog. For direct contact: , Mr. Russell Geishwnd, Director, National Ironworkers Training Program for American Indians, 1819 Beach Street, Broadview, Illinois 60153. Telephone (708)345-2344.

**Headquarters Office:**

Lynn Forcia, Office of Indian Energy and Economic Development, Division of Workforce Development, Assistant Secretary of Indian Affairs, 1951 Constitution Ave., N.W., MS-20-SIB, Washington, District of Columbia 20245 Phone: (202) 219-5270.

**Website Address:**

<http://www.doi.gov/bia/ecodev/index.htm>;

<http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.060 Indian Vocational Training\_United Tribes Technical College; 15.108 Indian Employment Assistance; 15.114 Indian Education\_Higher Education Grant Program; 15.850 Indian Arts and Crafts Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are received for both vocational training and direct employment participants. Final determination to fund an application is based on the individual's eligibility.

**15.149 FOCUS ON STUDENT ACHIEVEMENT PROJECT**

**FOCUS**

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.; The No Child Left Behind Act of 2001, Public Law 107-110, 20 U.S.C. 7401 et seq.

**OBJECTIVES:**

The FOCUS program targets schools where student achievement is close to meeting annual measurable objectives as set by their states achievement test and where additional resources could facilitate achievement of Adequate Yearly Progress (AYP) as required by Public Law 107-110, the No Child Left Behind Act of 2001.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

FOCUS funds may be used for staff development and to implement proven instructional strategies designed to achieve annual growth for all students and catch-up growth for students performing below grade level expectations in reading and math.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with Bureau-funded schools may apply to administer the program.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Tribe should contact the Education Line Officer.

**Award Procedure:**

The BIE conducts a thorough review of all BIE schools AYP status and data. The BIE then funds schools that are at the cusp of nearly meeting AYP status. Applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Deadlines:**

Jun 01, 2011 Jun 01, 2012 applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days; and or after AYP determination is made by BIE.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Bureau of Indian Education. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards are made on an annual basis and the funds remain available until expended by the contractor/grantee. Funds are added to the recipient schools Public Law 100-297 Grant or Public Law 93-638 Contract on July 1. Awards to Tribal Governments to administer the program may be renewed every year based upon satisfactory performance. A notice of intent to participate should be submitted yearly.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released.

**Reports:**

Program reports, annual participation data, and other program data requested are required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$746,000; FY 12 est \$746,000; and FY 13 est \$746,000

**Range and Average of Financial Assistance:**

Range is \$11,765 to \$173,235; Average \$106,571.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Use of funds must meet the purpose and intent of funding.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Debbie Lente-Jojola Bureau of Indian Education, Division of Performance and Accountability, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, New Mexico 87104 Phone: (505) 563-5258

**Website Address:**

<http://www.bie.edu>

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education; 15.044 Indian Schools\_Student Transportation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current

Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on school performance as measured by their states achievement test and the review of the team appointed by the Coordinator.

**15.151 EDUCATION PROGRAM ENHANCEMENTS**

BIE Reads!and Math Counts

**FEDERAL AGENCY:**

Bureau of Indian Education, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.

**OBJECTIVES:**

Education Program Enhancements provide resources for special studies, projects, new activities, and other costs associated with enhancing the basic educational programs provided to students. These funds allow BIE to provide specialized assistance to schools struggling to make Adequate Yearly Progress (AYP) that is targeted to address the schools unique needs and specific gaps in achievement. Typically, assistance involves implementation of specialized programs in reading and math, and staff development for principals, teachers and support staff.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds must be used for staff development, and approved math and reading enhancement programs.

**Applicant Eligibility:**

Federally Recognized Indian Tribal Governments and tribal organizations authorized by Indian tribal governments on reservations with Bureau-funded schools may apply to administer the program.

**Beneficiary Eligibility:**

Children between the ages of 5 and 21 who are members of or are at least a one-fourth degree Indian blood descendant of a member of an Indian tribe which is eligible for the special programs and services provided by the United States through the Bureau of Indian Affairs to Indians because of their status as Indians.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Tribe should contact the Education Line Officer.

**Award Procedure:**

Schools submit an application and sign assurances that they will implement the components of instructional model that includes use of scientifically based research programs in reading and/or math, use of a reading and/or math instructional coach(es), a scheduled block of instructional time in reading and/or math, a multi-tiered instructional delivery, use of specified formative assessments to determine effectiveness of instruction, and participation in professional development for principals, instructional coaches and teachers.

**Deadlines:**

Jun 01, 2011 June 01, 2012. Applications should be submitted no later than June 1 of the year in which the applicant wishes to begin the program.

**Range of Approval/Disapproval Time:**

Applications by Tribal governments to administer the program will be processed within 90 days.

**Appeals:**

Tribal Governments wishing to appeal should write to the Director, Bureau of Indian Education. Appeals beyond this level are covered by 25 CFR Part 2.

**Renewals:**

Awards to Tribal Governments to administer the program may be renewed every year based upon satisfactory performance. A notice of intent to participate should be submitted yearly.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis based on satisfactory performance, and the funds remain available until expended by the contractor or grantee. See the following for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Funds are added to the recipient schools Public Law 100-297 Grant or Public Law 93-638 Contract on July 1 or when application is approved.

**Reports:**

Monthly program reports, annual participation data, screening, work sampling, and other program data requested is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be retained for 3 years from the date of submission of the single audit report. Procurement records must be retained for 3 years from the date of final payment. Property records must be retained for 3 years from the date of disposition, replacement, or transfer. Records pertaining to any litigation, audit exceptions or claims must be retained until the dispute has been resolved.

**Account Identification:**

14-2100-0-1-501.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$5,272,253; FY 12 est \$5,300,000; and FY 13 est \$5,300,000

**Range and Average of Financial Assistance:**

In Fiscal Year 2011, the average grant was \$122,617, minimum grant was \$22,707, and maximum grant was \$212,617.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A copy of the guidelines may be obtained by contacting the BIE Education Line Officers.

**Regional or Local Office:**

See Regional Agency Offices. See BIE Education Line Officers' addresses in Appendix IV of the Catalog.

**Headquarters Office:**

Joel Longie Bureau of Indian Education, Division of Performance and Accountability, BIA Building 2, 1011 Indian School Road, N.W., 3rd Floor, Suite 332, Albuquerque, New Mexico 87104 Email: joel.longie@bie.edu Phone: (505) 563-5250

**Website Address:**

<http://www.BIE.EDU>, <http://www.doi.gov/bureau-indian-affairs.html>.

**RELATED PROGRAMS:**

15.042 Indian School Equalization Program; 15.043 Indian Child and Family Education; 15.044 Indian Schools\_Student Transportation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on the review of the team appointed by the Coordinator.

**15.214 NON-SALE DISPOSALS OF MINERAL MATERIAL**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Materials Act of 1947, Public Law 80-291, 30 U.S.C. 601-604, 611, as amended.

**OBJECTIVES:**

To permit free use of certain mineral material from federally owned lands under the jurisdiction of the Bureau of Land Management by governmental units and nonprofit organizations.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Free use permits are granted to governmental units without regard to number of permits or value of mineral material, provided the mineral material is for use on a public project. Permits are granted to nonprofit organizations for mineral material not to exceed 5000 cubic yards during any period of twelve consecutive months. All free-use mineral material must be extracted in accordance with approved conservation practices, terms, and conditions that provide for protection of environment and rehabilitation of any damage caused by mineral material extraction.

**Applicant Eligibility:**

Any Federal or State agency, unit, or subdivision, including municipalities, where material will be used for public project; or any nonprofit association or corporation. A free use permit will not be issued upon the determination that the applicant owns or control an adequate supply of suitable mineral materials that are readily available and can be mined in a manner which is economically and environmentally acceptable. Mineral material obtained under a free use permit may not be bartered or sold.

**Beneficiary Eligibility:**

Federal or State agencies, units, or subdivisions, including municipalities, where material will be used for public project; or any nonprofit association or corporation.

**Credentials/Documentation:**

Evidence of eligibility, i.e., nonprofit status, delegation of authority for signing official to take such action, surety bond, etc. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program may require submission of a performance bond. An environmental analysis is required for this permit. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit application on Form 5510-1 to the proper Bureau of Land Management office.

**Award Procedure:**

If mineral material is available, applicant is qualified and application does not conflict with other management practices or uses, application is approved and

one copy of the executed form is returned to the applicant. Environmental analysis is accomplished and environmental impact statement is prepared if necessary.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The term of the permit varies but will not exceed 10 years to any Federal or State agency, unit, or subdivision, including municipalities. Permits to nonprofit organizations are not to exceed 1 year.

**Appeals:**

Appeals may be made to the Board of Land Appeals, Office of Hearings and Appeals as specified in 43 CFR Part 4 et seq.

**Renewals:**

Any free use permits may be extended for a single additional period not to exceed 1 year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

An annual production report is required as specified in the free use permit. The permittee is required to perform reclamation of areas distributed by operations. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is conducted by the BLM.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Production documentation must be available if requested to confirm production.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Available; FY 12 est \$5,950,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 3620 and 43 CFR Part 4.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Director, Bureau of Land Management, Solid Minerals Division (WO-320), 1849 C St., N.W., Room 2134LM, Washington, District of Columbia 20240  
Phone: (202) 912-7112

**Website Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.222 COOPERATIVE INSPECTION AGREEMENTS WITH STATES AND TRIBES**

Section 202 Agreements

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Oil and Gas Royalty Act of 1982, Public Law 97-451, Title II, Section 202, 30 U.S.C 1732.

**OBJECTIVES:**

To provide for the Bureau of Land Management (BLM) to enter into cooperative agreements with Tribes so that authorized Tribal inspectors can carry out inspection activities on Indian oil and gas leases within Tribal jurisdiction.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance to be used only for costs directly required to carry out the agreed upon activities as described in the signed agreement.

**Applicant Eligibility:**

Indian tribes with producing tribal oil and gas leases for which with Federal government has trust responsibility. State may enter into a cooperative agreement for inspection of tribal oil and gas leases with the permission of the Tribe.

**Beneficiary Eligibility:**

Indian tribes with producing tribal oil and gas leases for which the Federal government has trust responsibility. States that have tribal permission to enter into cooperative agreements to conduct inspections on tribal oil and gas leases.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No state plan is required with this application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Completed SF 424, Application for Federal Assistance; 424A, Budget Information - Non-Construction Programs; and 424B, Assurances - Nonconstruction Programs and proposal must be submitted to the appropriate BLM State Director. The proposal must include a description of the type and extent of inspection activities proposed under the agreement, the number of proposed inspectors, the proposed period or time the agreement will be in effect; and the name, address and telephone number of the State or Tribal contact.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The program has no statutory formula matching requirements. As provided in 43 CFR 3190.2-2, funding will be up to 100 percent of allowable cost. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding shall be at least quarterly, upon submission of invoice or request for reimbursement. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantees must submit a final performance report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$733,938; FY 12 est \$750,000; and FY 13 est \$755,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$346,000 to \$402,600. Average amount is \$244,650 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Bureau of Land Management awards financial assistance agreements with the Navajo and Jicarilla Nations. The agreements establish procedures for cooperation and coordination in planning and programming for oil and gas inspections of Nation leases with a goal of increasing the frequency of inspections providing for the uniform application of regulations, and timely communications between the BLM and the Nation in performance of their regulatory functions. The inspection and enforcement staff are Navajo and Jicarilla nationals who have the appropriate technical training and language skills to operate freely on their reservation. The Navajo Nation has three certified Inspection and Enforcement staff and one inspector that is currently in training with certification anticipate within the year. The Jicarilla Nation has two certified Inspection and Enforcement staff, one inspector that is currently in training with certification anticipated within the year and one new hire that will attend a six-module training for certification for Petroleum Engineering Technicians. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 3190 and 43 CFR 3192.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for list of Bureau of Land Management State offices.

**Headquarters Office:**

Assistant Director, Bureau of Land Management, Resource Use and Protection (300), 1849 C St., NW, LS 300, Washington, District of Columbia 20240  
Phone: (202) 208-4201.

**Website Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Presently there are two funded inspection agreements with Tribes. BLM has provided training and coordination for the Navajo Nation and Jicarillo Apache Tribal Inspection and Enforcement staff to carry out inspection and enforcement activities on Indian oil and gas leases within in their Tribal jurisdiction. In 2011 inspectors conducted production inspections, oil and gas well inspections, drilling inspections, well plugging and abandonment inspections, environmental inspections, and incidents of noncompliance were issued to operators. Fiscal Year 2012: BLM continues to provide training and coordination for the Navajo Nation and Jicarillo Apache Tribal Inspection and Enforcement staff to carry out inspection and enforcement activities on Indian oil and gas leases within their Tribal jurisdiction. Fiscal Year 2012: No current data available. Fiscal Year 2013: Nocurrent datat available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on the Tribes direct relationship to federal and Tribal lands and a balanced review including relevance to program objectives, merit, and cost effectiveness.

**15.224 CULTURAL RESOURCE MANAGEMENT  
FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act, Public Law 94-579; Archaeological Resources Protection Act, Public Law 96-95; National Historic Preservation Act of 1966, Public Law 89-665, as amended.

**OBJECTIVES:**

To manage and protect cultural resources on the public lands and to increase public awareness and appreciation of these resources. Most of these lands are located in the Western United States and Alaska.

**TYPES OF ASSISTANCE:**

Advisory Services on Compliance; DISSEMINATION OF TECHNICAL INFORMATION; INVESTIGATION OF COMPLAINTS; Project Grants; PROVISION OF SPECIALIZED SERVICES; Training; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

All projects are restricted to lands and resources administered by BLM. Most of these lands are located in the Western United States and Alaska. Assistance can be used for cooperation in managing cultural or paleontological resources, e.g., survey for sites and localities, stabilization of historic structures, and public contact/education/interpretation or for improving information about cultural resources, consistent with needs identified in BLM planning documents. No regular discretionary fund is available but is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies



to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State, or District or Field offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposals should be submitted through Grants.gov in response to the advertised announcements and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required for this application.

**Award Procedure:**

Projects are reviewed at BLM State Office level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the Washington Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on www.grants.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The program has no statutory formula matching requirements except when use is for the Challenge Cost Share program which has a 1:1 matching requirement. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year to year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement terminated, transferred to a new grantee, or will not be extended, that grantees must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$4,228,638; FY 12 est \$2,059,795; and FY 13 est \$2,600,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$2,000 to \$552,400. Average amount is \$33,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: BLM's cultural resources program continued its efforts to promote Heritage Education through partnerships and its Adventures in the Past initiative. BLM worked with over 15 university archeology field schools to train students in archaeological methods, worked with partners to study 1,450 cultural properties, stabilize 300 archaeological sites, present gave more than 800 public programs, and curate 100 collections. BLM uses challenge cost-share grants whenever possible on projects located on lands managed by the Federal Government, to enhance cultural and heritage resource management on Public Lands. Projects are restricted to lands administered by BLM in the Western United States and Alaska. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's cultural resource management program is basically guided by the provisions in 43 CFR Part 3, 43 CFR Part 7, 36 CFR Part 60 and 36 CFR Part 800. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for cultural resources (8100) may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Division Chief Bureau of Land Management, Division of Cultural and Paleontological Resources and Tribal Coordination (WO 240), 1849 C St., NW, Washington, District of Columbia 20240 Phone: (202) 912-7241.

**Website Address:**

<http://www.blm.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Cooperative agreements with universities to conduct management-focused archaeological or paleontological field schools and scholarly research on public lands located in Western United States and Alaska, cooperative agreements with states to compile and maintain cultural inventory data, cooperative agreements to curate and interpret museum collections from the public lands, and cooperative agreements to produce education materials enhancing public awareness and appreciation of cultural and paleontological resources. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.225 RECREATION RESOURCE MANAGEMENT  
FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act, Public Law 94-579.

**OBJECTIVES:**

To manage recreational resource values on the public lands administered by the Bureau of Land Management and to increase public awareness and appreciation of these values.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

All projects are restricted to lands administered by the BLM. Most of these lands are located in the Western United States and Alaska. Assistance can be used for helping the BLM manage and/or upgrade recreational resources and related facilities, and in providing related public contact/education opportunities. No regular discretionary fund is available. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with Bureau of Land Management local State or District/Field Offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov in response to the advertised announcements and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required for this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula requirements. However, matching funds by the applicants are encouraged and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, the recipient must submit a final Program Performance Report 90 days after the end date of grant performance. Projects funded under the American Recovery and Reinvestment Act of 2009 will be subjected to additional reporting requirements as described in the announcement packages at www.grants.gov. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 must be submitted 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1108-0-1-302 - 14-09/10 ARRA Fund Code; 14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$7,780,177; FY 12 est \$7,780,177; and FY 13 est \$7,789,177

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$2000 to \$552,400. Average amounts approximately \$33,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: BLM continues to maintain and expand partnerships in the Tread Lightly, Leave No Trace, Interpretive programming, Recreational Fishing, Corridor Management (rivers and trails) and numerous travel and tourism activities. BLM uses challenge cost share grants wherever possible on projects of mutual benefit to rural communities, counties, and cities in the western United States for management of public lands. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's recreation program is generally guided by provisions in 43 CFR Part 8000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for recreation (BLM Manual 8300 and 8400) may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Recreation Visitor Services Division, Bureau of Land Management (WO 250), Division of Recreation and Visitor Services, 1849 C Street, NW, Room 2134LM, Washington, District of Columbia 20240-9998 Phone: (202) 912-7250.

**Website Address:**

<http://www.blm.gov/nhp/index.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Develop of recreation facilities on BLM managed lands; cooperative visitor services to the general public using BLM managed lands; agreements to managed land resources cooperatively; and assistance agreements promote more effective management of caves on public lands; and an assistance agreement with a university to conduct visitor surveys. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to BLM land management and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.227 DISTRIBUTION OF RECEIPTS TO STATE AND LOCAL GOVERNMENTS**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Mineral Lands Leasing Act, 30 U.S.C. 191, 275, 286 and 355, Public Law 85-88, as amended; Taylor Grazing Act, 43 U.S.C. 315i and 315m, Section 15; as amended, 48 Stat. 1275; Executive Orders 10322, 10787, 10890, and 10046, Section 15; Taylor Grazing Act, 43 U.S.C. 315i, and 315m, Section 15, 43 U.S.C. 315b, Section 3; 48 Stat. 1270 and 1275; The Department of the Interior and Related Agencies Appropriations Act of 1981, 42 U.S.C. 6508, Public Law 96-514, 94 Stat. 2964; Outer Continental Shelf Lands Act, 43 U.S.C. 1337, 67 Stat. 462, as amended; Lake Tahoe Basin-U.S. Lands-Disposal and Acquisition, Sections 1 and 2, Public Law 96-586, 94 Stat. 3381-3382; Federal Land Policy and Management Act of 1976, Title I, Section 102, Public Law 94- 579, 90 Stat. 2744; Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901, Public Law 105-263, 90 Stat. 2343; Lincoln County Land Act of 2000, Public Law 106-298; 30 U.S.C. 230, 62 Stat. 576; 65 Stat. 248; Public Buildings Omnibus Act, 30 U.S.C. 603; Money and Finance, 31 U.S.C. 711 and 717, Public Law 97-258, 96 Stat. 889 and 893; National Reclamation Law, 43 U.S.C. 391, 32 Stat. 388; Chapter 139, 18 Stat. 474; 58 Stat. 745; 65 Stat. 252; Department of the Interior and Related Agencies Appropriations Act of 1993, Title I, Public Law 102-381, 106 Stat. 1378; Federal Land Transaction Facilitation Act, Title II, Public Law 106-248, 106 Stat. 613; Public Law 85-569, 7 U.S.C. 1012, 72 Stat. 348; Federal Land Policy and Management Act of 1976, Title II, Section 213, Public Law 94-579, 90 Stat. 2760, Mineral Revenue Payments Clarification Act of 2000, Title V, Public Law 106-393.

**OBJECTIVES:**

By various Laws, the Bureau of Land Management (BLM) shares revenue with State, county, and local governments from fees charged for sale or use of public lands, minerals, and vegetation. Payment amounts are determined by several codified formulas and supplements other Federal land revenue sharing payments that local units may be receiving. Payments may be used for any governmental purpose as specified in the various Public Laws.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Are specified in the various Public Laws. For more specific information contact the headquarters office.

**Applicant Eligibility:**

No application is necessary. Local units which generate revenue from public land and resources will receive automatic payment distribution as computed in

accordance with the Law for that distribution.

**Beneficiary Eligibility:**

State and county governments in which Federal lands and minerals are located or have been acquired for purposes defined under Objectives.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Automatic distribution is made as authorized by the various Laws for that distribution subject. No application is necessary.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Automatic distribution is made as authorized by various Public Laws for that distribution subject.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

14-9921-0-2-999.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$94,453,066; FY 12 est \$91,000,000; and FY 13 est \$87,500,000 - Assistance type includes direct payments with unrestricted use and direct payments for specified use.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Distribution of Receipts Accountant, Bureau of Land Management, OC-621 Building 50, Denver Federal Center, Denver, Colorado 80225 Phone: (303) 236-0144.

**Website Address:**

http://www.blm.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.228 NATIONAL FIRE PLAN - WILDLAND URBAN INTERFACE COMMUNITY FIRE ASSISTANCE****FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Department of the Interior, Environment, and Related Agencies Appropriations Act, 2012, Public Law 112-74, Division E, Title I, Department-wide Programs, Wildland Fire Management; This program was first implemented in the Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.

**OBJECTIVES:**

To implement the National Fire Plan and assist communities at risk from catastrophic wildland fires by providing assistance in the following areas: Provide community programs that develop local capability including: assessment and planning, mitigation activities, and community and homeowner education and action; plan and implement hazardous fuels reduction activities, including the training, monitoring or maintenance associated with such hazardous fuels reduction activities, on federal land, or on adjacent nonfederal land for activities that mitigate the threat of catastrophic fire to communities and natural resources in high risk areas; enhance local and small business employment opportunities for rural communities; enhance the knowledge and fire protection capability of rural fire districts by providing assistance in education and training, protective clothing and equipment purchase, and mitigation methods on a cost share basis.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Hazard reduction activities are restricted to Federal lands, or adjacent nonfederal land for activities that benefit resources on Federal land. Most of these lands are located in the Western United States and Alaska. Assistance can be used for helping BLM support community based efforts to address defensible space and fuels management issues to support outreach and education efforts associated with fuels management and risk reduction activities and to increase the effectiveness of rural fire protection. Funding is highly variable each fiscal year. For more specific information please contact the headquarters office.

**Applicant Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Beneficiary Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms,

individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Wildland Urban Interface Community Assistance is coordinated by Bureau State and Field Offices. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

Wildland Urban Interface community projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or Field Office Manager.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type of complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time of the funding opportunity announcement is posted on www.grants.gov and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The program has no matching requirements, however, matching funds by the applicant are encouraged and those projects are most likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, most projects are funded on a year-to-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payment will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final performance report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly, SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$5,970,578; FY 12 est \$5,970,578; and FY 13 est \$5,970,578

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$5,000 to \$686,000. Average amount is \$47,400 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Communities at risk from catastrophic wildland fires have been provided assistance in the following areas: assessment and planning, mitigation activities, and community and homeowner education and action; plan and implement hazardous fuels reduction activities, including the training, monitoring or maintenance associated with such hazardous fuels reduction activities, on federal land, or on adjacent nonfederal land for activities that mitigate the threat of catastrophic fire to communities and natural resources in high risk areas; and enhance local and small business employment opportunities for rural communities. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's wildland urban interface community assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate State Office or the National Interagency Fire Center's web site at: <http://www.nifc.gov>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Division of Fire Planning and Fuels Management, Bureau of Land Management, (FA-600), National Interagency Fire Center, 3833 S. Development Ave., Boise, Idaho 83705 Phone: (208) 387-5186.

**Website Address:**

<http://www.blm.gov/nhp/index.htm>; <http://www.nifc.gov>.

**RELATED PROGRAMS:**

15.242 National Fire Plan - Rural Fire Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Assessment and planning for reducing wildland fire risks to communities and their associated watersheds and natural resources. Hazard fuel reduction activities and projects that mitigate wildfire hazards to communities and natural resources. Implementation of programs, workshops or training that distributes educational materials and develop partnerships between stakeholders in wildland urban interface communities. Assistance and technical transfer of information that promotes homeowner's and rural fire department's action to implement community wildfire mitigation activities. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their ability to reduce the risk of wildland fire to community values and to increase the capabilities of rural fire organizations, in the vicinity of Federal lands.

**15.229 WILD HORSE AND BURRO RESOURCE MANAGEMENT**

Wild Horse and Burro Resource Management

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Wild Free-Roaming Horses and Burros Act of 1971, Public Law 92-195, as amended; Federal Land Policy and Management Act of 1976, Public Law 94-579; Public Rangelands Improvement Act of 1978, Public Law 95-514.

**OBJECTIVES:**

The goal of the Wild Horses and Burro Resource Management program is to achieve and maintain healthy, viable wild horse and burro populations on the public lands.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Projects are designated to manage and protect wild free-roaming horses and burros to achieve and maintain a thriving natural ecological balance on the public lands. Project assistance can be used in researching for improved censusing techniques and fertility control methods; and adopting or long term care of excess animals removed from the range. For more specific information contact the local or headquarters office.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental impact information may be required for this program. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard Form 424, Application for Federal Assistance, Standard Form 424A Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through [Grants.gov](http://www.grants.gov) in response to the advertised announcements and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required for this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management and District Office level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The program has no statutory formula matching requirements. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, recipients must submit a final Program Performance Report 90 days after the end of the grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end of the grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$9,581,619; FY 12 est \$10,000,000; and FY 13 est \$12,000,000

**Range and Average of Financial Assistance:**

Past partnerships projects have run between \$85,000 to \$3,180,000. Average amounts are \$532,300 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The BLM currently manages approximately 38,400 horses and burros in 179 herd management areas in 10 western states. Nationally, the appropriate management level (optimum number of animals on the range -AML) is about 26,600 animals. BLM has made significant progress towards achieving AML and continues to remove excess animals from the range to reach AML and to avoid range deterioration. BLM plans to reduce population growth by increasing fertility control in partnership with the Humane Society (gather, treat and release mares using PZP) and adjusting sex ratios (gather, geld and release stallions) on the range. BLM looks forward to expanding partnerships for long term care of animals and creating new policies to increase adoptions and sales. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The wild horse and burro program is generally guided by provisions in 43 CFR Part 4700. BLM Manuals and Handbooks 4700 - 4770 provide basic program

operational guidance for the wild horses and burro program and may be obtained by accessing the BLM library through the internet.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Division Chief Bureau of Land Management, Division of Wild Horses and Burros, (WO 260), 1849 C St., NW, Room 2134LM, Washington, District of Columbia 20240-9998 Phone: (202) 912-7296

**Website Address:**

<http://www.wildhorseandburro.blm.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: : BLM developed partnerships for research into population level fertility control along with research on population census techniques and programs to help place excess wild horses and burros in good homes. Assistance agreements have been awarded to state departments of correction in Colorado, Nevada, Kansas, Utah, Wyoming, and Mississippi to train wild horses making them more adoptable. Universities have been awarded to grants to conduct research on the genetic analysis of wild horse and burro herds. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to BLM's management of wild horse and burro herds and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.230 INVASIVE AND NOXIOUS PLANT MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Noxious Weed Act of 1974, 7 U.S.C. 2814; Watershed Restoration and Enhancement Agreements, 16 U.S.C. 1011, Public Law 104-208, Section 124, as amended, Public Law 105-277, Section 135; and Executive Order 13112, Invasive Species, February 3, 1999.

**OBJECTIVES:**

To encourage interested State and local governments and Federal agencies to work together to inventory, manage, educate, reduce the spread of, and prevent the further invasion and establishment of noxious, invasive weeds, and other species. These entities will develop and implement Integrated Pest Management Plans to develop and implement projects that foster consultation and cooperation among stakeholders, interested parties, and the public and to organize, finalize, and develop projects to implement integrated pest management plans for invasive species within a specific geographic area.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

Funds may be used on public, State county, and private lands for approved projects that prioritize and target undesirable plant species or group of species to be controlled or contained within a specific geographic area; describe the integrated pest management system to be used to control or contain the targeted undesirable invasive species or groups of species; and detail the means of implementing the integrated pest management system, define the duties of the Federal agency and the State agency in prosecuting that method, and establish a timeframe for the initiation and completion of the tasks specified in the integrated management system.

**Applicant Eligibility:**

State and local governments.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Coordinate cooperative project proposals with Bureau of Land Management local State or District office for more information and local requirements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form 424, Application for Federal Assistance, Standards Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposals should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Most awards are anticipated within 90 days or less after the announcement closes.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory match requirements. However, applicant's matching funds are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annually, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of

the final expenditure report.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$4,935,070; FY 12 est \$3,500,000; and FY 13 est \$3,500,000

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$1,000 to \$567,000. Average amounts run about \$31,600 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The State and Bureau of Land Management have worked together with private and non-Federal landowners to prevent, contain, and control the spread of invasive and noxious weeds and other invasive species. Because the plants and other invasive species move rapidly from one owner's water and land to another, joint efforts to control, manage, and eradicate, contain or control invasive and noxious weeds, and other invasive species can reduce adverse impacts on public and private lands and reduce costs to all land owners. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Bureau of Land Management invasive and noxious plant management program can be found at <http://www.blm.gov/wo/st/en/prog/more/weeds.html>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Senior Weeds Specialist, Division of Rangeland Resources, Bureau of Land Management, 1849 C Street, MS: 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7226.

**Website Address:**

For general information see website <http://www.blm.gov/wo/st/en/prog/more/weeds/html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects funded encouraged the State and the Bureau of Land Management to work together to control, manage and eradicate undesirable invasive species on Federal, State, and private lands. By working together entire areas are treated to control and prevent the spread of invasive and noxious or undesirable plants and other invasive species within the close proximity of public lands. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.231 FISH, WILDLIFE AND PLANT CONSERVATION RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Land Policy and Management Act, as amended, Public Law 94-579, The Endangered Species Act of 1973, as amended, Public Law 93-205, Sikes Act, Public Law 93-452, Fish and Wildlife Conservation and Water Resources Developments Coordination Act, as amended, Public Law 85-624, Oceans Act of 1992, Public Law 102-587, Watershed Restoration and Enhancement Agreements, 16 U.S.C. Section 1011(a), as amended by Public Law 105-277 Section 136.

**OBJECTIVES:**

To manage fish, wildlife and plant conservation resources on the public lands administered by the Bureau of Land Management. This will help restore and protect lands containing noteworthy resource values for regionally significant species of management concern or wetland and riparian areas; restore and protect crucial habitat through vegetation treatments, installation of wildlife friendly fences, and creating fish passages or barriers to protect aquatic species. Restoration of wildlife habitat to restore and protect sage grouse, desert tortoise, and other upland habitats for special species as well as riparian habitat for endangered or special status fish and aquatic species. For Recovery Act funded projects, in addition to the program objectives above, section 3 of the Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local governments budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Projects are primarily conducted on lands administered by the BLM but may also be conducted on other public or private lands. Most of these lands are located in the Western United States and Alaska. Assistance can be used to help protect, restore, and enhance fish, wildlife, and plant conservation resources and to provide related public contact/education opportunities. No regular discretionary fund is available. Funding is highly variable each fiscal year.

**Applicant Eligibility:**

Anyone/general public.

**Beneficiary Eligibility:**

All Public Land users.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov and must include: the title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement. State plan is not required with this application.

**Award Procedure:**

Projects are reviewed at State level and funding recommendations are made through each State's annual work plan. Final budget approvals rest with the State Director or District/Field Office Manager.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes.

Further information will be available for each project at the time the funding announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contacts listed in the funding opportunity announcement.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has no statutory formula requirements. However, matching funds by the applicants are encouraged and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year-by-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final performance report 90 days after the end date of grant performance. Projects funded under the American Recovery and Reinvestment Act of 2009 will be subjected to additional reporting requirements as described in the announcement packages at [www.grants.gov](http://www.grants.gov). Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Projects will be audited at least once during life cycle.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1109-0-1-302; 14-1108-0-1-302 - 14/09/10.

**Obligations:**

(Cooperative Agreements) FY 11 Not Available; FY 12 est \$5,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$500 to \$1,400,00. Average amounts approximately \$68,300 or less.

**PROGRAM ACCOMPLISHMENTS:**



Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BLM's fish, wildlife and botany program is generally guided by provisions in 43 CFR Part 6000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals providing basic program operational guidance for recreation (BLM Manual 6500) and may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Division Chief, Fish, Wildlife and Plant Conservation, Bureau of Land Management (WO 230), 1849 C St, N.W., MS-5115, Washington, District of Columbia 20240-9998 Phone: (202) 912-7230.

**Website Address:**

<http://www.blm.gov/nhp/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their direct relationship to public lands management and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.232 WILDLAND FIRE RESEARCH AND STUDIES PROGRAM**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act, as amended, Public Law 94-579; The Consolidated Appropriations Act of 2010, Division A, Department of the Interior and Related Appropriations Act of 2010, Department-Wide Programs, Wildland Fire Management, Public Law 111-88; The Joint Fire Science Program authorization is in the Department of the Interior and Related Agencies Appropriation Act of 1998, Public Law 106-291 and funded yearly.

**OBJECTIVES:**

To encourage interested parties to perform research and studies pertaining to wildland fire and resource management, to develop products and tools for all levels of decision making to meet the objectives of the National Fire Plan, and to seek information to improve decision making in wildland fire management. In addition, to generally funded wildland fire research and studies there are two separate research programs; Climate applications with the National Climate Data Center: The purpose of the program is to develop products and tools for wildland fire resource management utilizing the climate data archives of the National Climate Data Centers. The National Climate Data Center is authorized to describe the climate of the United States. For example, the Western Regional Climate Center is one of the six regional centers. Western Regional Climate Center is the archive of interagency fire weather station observations. The objectives for the National Climate Data Center and its regional centers are to perform basic climate and ecosystem studies pertaining to wildland fire and resource management, to develop climate and ecosystem products and tools for all levels of decision-making. The Joint Fire Science Program: This program seeks research proposals that respond to its announcements for proposals that seek information on seven critical wildland fire and fuels issues: These issues are: Wildland fuels and inventory mapping; Effects of fuels treatments; Scheduling of fuels treatments; Monitoring and evaluation of fuels treatments; Evaluating post fire stabilization and rehabilitation projects; Aircraft-based remote sensing; and Regional and local offices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for approved projects that address wildland fire

management needs of federal and local government land managers. For more specific information please contact the headquarters office.

**Applicant Eligibility:**

Anyone/General Public.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State Plan is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, a budget breakdown, and any other requirements specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the National and State level and funding recommendations are made through National and State's annual work plan. Final budget approvals rest with the National Office and State Director. For the Joint Fire Science Program all applications are peer-reviewed. The ten person Joint Fire Science Program Governing Board will analyze peer review comments and make all funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The deadline will be published in the Grants.gov announcement. Applications for projects for the Joint Fire Science program will also be posted [www.firescience.gov](http://www.firescience.gov) generally in the fall of each year. Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement. JFSP awards are anticipated within 6-8 months after announcement closes.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory match requirements. However, the applicant's matching funds are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based upon performance, merit, and funding availability. For the Joint Fire Science Program, projects are generally funded for no more than three years. Most projects funded are awarded in one lump sum at the start of the project; however some projects are

funded year-by-year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, grantees must submit a final Program Performance Report 90 days after the end date of grant performance. Joint Fire Science Program projects are required to submit an annual progress report (generally September 30th). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Joint Fire Science Program projects are required to submit financial reports for cooperative agreements annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 Not Available; FY 12 est \$265,000; and FY 13 Estimate Not Available - Obligations specific to the Joint Fire Science Program. (Cooperative Agreements) FY 11 Not Available; FY 12 est \$3,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Past partnership projects range from \$15,000 to \$90,000. Average amounts are \$30,000 or less. For the Joint Fire Science Program awards range from \$60,000 to \$500,000. Average amounts are \$350,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the National Fire Plan can be found at website: <http://www.forestsandrangelands.gov/>. Western Regional Climate Center reports and publications pertaining to projects and accomplishments are posted on <http://cefa.dri.edu>. Joint Fire Science information, including announcements for proposals, project information, and literature can be found at website [www.firescience.gov/](http://www.firescience.gov/).

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of BLM State Offices.

**Headquarters Office:**

Group Manager, Planning and Resources Group, Bureau of Land Management, Office of Fire and Aviation, 3833 S. Development Ave., Boise, Idaho 83705. For the Joint Fire Science Program: Program Manager, Joint Fire Science Program, address same as above, (208) 387-5349., Boise, Idaho 83705 Phone: (208) 387-5153.

**Website Address:**

For general information see website <http://www.forestsandrangelands.gov/>. For information on the Western Regional Climate Center website see <http://cefa.dri.edu/>. Joint Fire Science Program information may be found at

<http://www.firescience.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal wildland fire management, qualifications of principal investigator and institution, and a balanced review including relevance to program objectives, merit and cost effectiveness. Joint Fire Science Program proposals will be reviewed for relevancy in relation to the posted announcement for proposals task statement, scientific methods and study design, science deliverables, collaboration/leverage, and administrative adequacy. Successful proposals will provide a strong science delivery and application plan that clearly demonstrates the use of both passive and active technology transfer methods.

**15.233 FORESTS AND WOODLANDS RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737,(b), Public Law 94-579, as amended; and Stewardship End Result Contracting Projects, 16 U.S.C. 2104, Public Law 108-7, Consolidated Appropriation Resolution, 2003, Division F, Title III, Section 323 as amended Public Law 105-277, Department of the Interior and Related Agencies Appropriations Act, 1999, Division A, Section 101(e), Title III, Section 347, as amended Public Law 106-113, Making Consolidated Appropriations For the Fiscal Year Ending September 30, 2000, and For Other Purposes, Division B, Section 1000(a)(3), Title III, Section 341 and Public Law 107-63, Department of the Interior and Related Agencies Appropriations Act, 2002, Title III, Section 332.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements, to public or private organizations for the improvement of forests on public lands. Improvements will include the maintenance of forest health, forest regeneration, restoration, rehabilitation, insect and disease control, forest development, implementation of stewardship projects and providing for biomass utilization of public lands. For Recovery and Reinvestment Act funded projects additional objectives include: To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements (Discretionary Grants); TRAINING

**USES AND USE RESTRICTIONS:**

Projects are limited to forestry projects on public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For more information and local requirements, cooperative forestry project

proposals should be coordinated with Bureau of Land Management local State or District Office. State plan is not required for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov and must include: a title, objectives, timeframes, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula requirements. However, matching funds are encouraged by the applicants and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended a final report is due 90 days after the end date of grant performance. Projects funded under the American Recovery Act of 2009 will be subjected to additional reporting requirements as described in the announcement packages at [www.grants.gov](http://www.grants.gov). No cash reports are required. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly financial status reports using Standard Form 425, Federal Financial Report 30 days following the end of the reporting period. A final SF-425 is due 90 days after the end of the grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302; 14-1108-0-1-302 - Recovery Act (14-09/10-1108-0-1-302).

**Obligations:**

(Cooperative Agreements) FY 11 \$2,584,267; FY 12 est \$2,700,000; and FY 13 est \$2,700,000

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$1,000 to \$450,900. Average amounts approximately \$61,500 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: BLM continues to maintain and expand partnerships to include funding for continued support of collaborative efforts to build community capacity and support for ecological restoration efforts in forest and woodlands. The public and BLM benefit from its support with partners in heightening public understanding of the social, economic, as well as environmental, aspects of ecosystem restoration and maintenance. BLM awarded stewardship cooperative agreements to the Rocky Mountain Elk Foundation to improve wildlife habitat, reduce hazardous fuels and restore woodlands. The project will cover nearly 30,000 acres over the next 10 years. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Division Chief, Forest and Woodland Management, Bureau of Land Management (WO 270), 1849 C St., N.W, 204 LS, Washington, District of Columbia 20240 Phone: (202) 452-0316.

**Website Address:**

[http://www.blm.gov/wo/st/en/prog/more/forests\\_and\\_woodland.html](http://www.blm.gov/wo/st/en/prog/more/forests_and_woodland.html).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Stewardship projects that removed vegetation to promote healthy forest stands and reduced fire hazards. Projects that promoted an integrated approach that included local community participation in the developing strategies for biomass utilization, recognizing the connections between biomass utilization and forest restoration, and encouraged sustainable development through a variety of enterprises at different and appropriate scales. Projects that cooperatively supported common goals and interests in managing, developing and protecting federal and private land and water resources in an environmentally and economically sound manner. The BLM continued to fund the Wyoming Front Aspen Restoration project. This project is a 10 year stewardship cooperative agreement between BLM and the Rocky Mountain Elk Foundation. The project is reducing hazardous fuels and improving wildlife habitat by restoring historical aspen stands. Products from this project have included sawlogs, biomass for energy and oil pad remediation and Christmas trees. The BLM funded the Boise District Wildlife Habitat project. This project is a 10 year stewardship cooperative agreement between BLM and Rocky Mountain Elk Foundation. The project is reducing hazardous fuels and improving wildlife habitat. Biomass from the project will be used for power. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to Federal lands and a balanced review including relevance to

program objectives, merit and cost effectiveness.

### **15.234 SECURE RURAL SCHOOLS AND COMMUNITY SELF-DETERMINATION**

#### **FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

#### **AUTHORIZATION:**

Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, Title II, as reauthorized by the Emergency Economic Stabilization Act of 2008, Public Law 110-343.

#### **OBJECTIVES:**

To restore stability and predictability to the annual payments made to States and counties containing National Forest System lands and Oregon and California and Coos Bay Wagon Road lands managed by the Bureau of Land Management for use by the counties for the benefit of public schools, roads, and other purposes.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Project funds shall be expended solely on projects that meet the requirements of Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, as reauthorized by the Emergency Economic Stabilization Act of 2008, Public Law 110-343. Project funds may be used for the purpose of entering into and implementing cooperative agreements with willing Federal agencies, State and local governments, private and nonprofit entities, and landowners for protection of restoration, and enhancement of fish and wildlife habitat, and other resource objectives consistent with the purposes of the law on Federal land and on non-federal land where projects would benefit these resources on Federal land. For more specific information contact the headquarters office.

#### **Applicant Eligibility:**

State and local governments, public nonprofit institutions/organizations, other public institution/organization, private nonprofit institution/organization, other private institution/organization and landowners.

#### **Beneficiary Eligibility:**

Anyone/General public.

#### **Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

For more information and local program requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State plan is required with this application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written technical and cost proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. Title II Project Application Information is available from the BLM Western Oregon Districts or their websites.

#### **Award Procedure:**

Bureau of Land Management District staff screen applications to ensure they meet project criteria. The projects are then forwarded to the Resource Advisory Committees whose members consider each project for funding and make recommendations to the Designated Federal Officials by September 30 for each fiscal year. Final budget approval authority rests with the Bureau of Land Management Designated Federal Official.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

#### **Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement. Projects are approved by the Designated Federal Official at their sole discretion. Within 30 days after making a rejection decision, the Designated Federal Official shall notify the Resource Advisory Committee in writing with the reasons for the rejection.

#### **Appeals:**

None. Final award decisions are not subject to appeal, however, the Bureau of Land Management will provide all applicants with information regarding why their proposal was not selected for award.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has no statutory formula requirements. However, applicant's matching funds are encouraged and may be looked upon more favorably by the Resource Advisory Committees. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are funded on a year-to-year basis and funds are expended during a particular fiscal year. Funds that are not expended during a particular fiscal year may be carried forward to the next fiscal year, except for funds approved in FY 2011. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of the award.

#### **Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, the grantee must submit a final Program Performance Report 90 days after the end of the grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly Standard Form 425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

State and local governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

#### **Account Identification:**

14-5485-0-1-302.

#### **Obligations:**

(Cooperative Agreements) FY 11 \$5,933,512; FY 12 est \$3,727,187; and FY 13 est \$3,162,517

#### **Range and Average of Financial Assistance:**

Past partnership projects have run between \$1,100 to \$596,700. Average amounts run about \$83,600 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Secure Rural Schools and Community Self-Determination Act program continues its efforts to investment in and create additional employment opportunities through projects that improve the maintenance of existing infrastructure, implement stewardship objectives that enhance forest ecosystems and restore and improve land health and water quality. Simultaneously, the projects improve cooperative relationships among the people that use and care for Federal lands and the agencies that manage these lands. Since the implementation of this program in fiscal year 2002, the Resource Advisory Committees have recommended over 1200 projects that were subsequently approved by the Designated Federal Officials. Many of the projects are multi-year projects that are funded in phases and implemented over several years. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 106-393 as amended by Public Law 110-343, and the Resource Advisory Committee Charters basically guide BLM's Secure Rural Schools Program. For links to the Law and additional information see website <http://www.blm.gov/or/rac/ctypayhistory.php>.

**Regional or Local Office:**

See Regional Agency Offices. Secure Rural Schools Coordinator (OR931), Oregon State Office, Bureau of Land Management, 333 S.W. 1st Ave., P.O. Box 2965, Portland, OR 97204. Telephone: (503) 808-6451. E-mail: [Lindsey\\_Babcock@blm.gov](mailto:Lindsey_Babcock@blm.gov).

**Headquarters Office:**

Division Chief, Forest and Woodland Management, Bureau of Land Management (WO 270), 1849 C St., NW, Room 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7246

**Website Address:**

<http://www.blm.gov/or/rac/ctypayhistory.php>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Assistance agreements with cooperators, watershed councils, and counties to perform road and trail construction, maintenance or obliteration, culvert replacements for fish passage; vegetation and density management, wildfire hazard reduction, stream channel enhancement; watershed restoration, wildlife and fisheries habitat restoration and improvement; control of noxious and exotic plants; and reestablishment of native species. Assistance agreements with cooperators for removal of noxious weeds in Triangle Lake, Blachy and Horton areas of Oregon which will allow for restoration of fish and wildlife habitat; promote the use of native plant material in the re-vegetation of public lands in Polk County, Oregon; educate the public about the illegal dumping and reduce dumping on public lands in the Medford and Eugene Districts and Polk County, Oregon; and implementation projects in Sandy River Basin, Oregon, to restore priority aquatic and terrestrial habitats of the basin's four threatened fish populations. Fiscal Year 2011: Assistance agreements with cooperators for removal of noxious weeds on Dixie Mountain and other areas to restore native plants; remove culverts in various streams to improve fish passage; large wood placements to restore fish habitat; educate the public about the illegal dumping and reduce dumping on public lands in Western Oregon, including abandoned vehicle removal; and partnering with youth organizations to monitor projects and educate and inspire upcoming generations. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to approve project proposals are: The project complies with all applicable Federal laws and regulations; the project is consistent with the applicable resource management plan and with any watershed or subsequent plan developed pursuant to the resource management plan and approved by the Secretary of the Interior; the project has been recommended by the Resource Advisory Committee in accordance with section 205 of the Act; a project description has been submitted by the Resource Advisory Committee to the Secretary of the Interior; and the project will improve the maintenance of existing infrastructure, implement stewardship objectives that enhance forest ecosystems and restore and improve land health and water quality.

**15.235 SOUTHERN NEVADA PUBLIC LAND MANAGEMENT****FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901 Public Law 105-263, as amended; Clark County Conservation of Public Land and National Resources Act of 2002, 16 U.S.C. 460qqq, Public Law 107-282; Department of the Interior and Related Agencies Appropriation Act of 2004, Public Law 108-108, Section 147, Title I, Section 146; Lincoln County Conservation, Recreation and Development Act of 2004, 16 U.S.C. 1241, Public Law 108-424, Tax Relief and Heathy Care Act of 2006, Public Law 109--432, Title III, Subtitle H, Sec. 382, Amendments to the Southern Nevada Public Land Management Act of 1998, Omnibus Public Land Management Act of 2009, Public Law 111-11, Title II, Subtitle G, Sec. 2601(g) Availability of Funds, Section 4(e) of the Southern Nevada Public Land Management Act of 1998; Federal Land Policy Management Act (FLPMA) of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended, and; Federal Noxious Weed Act of 1974, 7 USC 2814, Public Law 93-629, as amended by Public Law 101-624 Section 2814.

**OBJECTIVES:**

To provide for the orderly disposal of certain Federal lands in Clark County, Nevada, and to provide for the acquisition of environmentally sensitive lands in the State of Nevada.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative projects are restricted to the development of parks, trails, and natural areas on lands owned by local governments and units of as designated in Public Law 105-263, as amended, in Clark County, Lincoln County, and White Pine County, Nevada, and, to the development and implementation of comprehensive, cost-effective, multijurisdictional hazardous fuels reduction and wildfire prevention plans, including sustainable biomass and biofuel energy development and production activities, for the Lake Tahoe Basin (Nevada and California), for the Carson Range in Douglas and Washoe Counties, and Carson City in the State of Nevada, and that are: subject to approval by the Secretary of the Interior; and not more than 10 years in duration; and as further in the Southern Nevada public Land Management Act Implementation Agreement. For more specific information contact the regional or headquarters office.

**Applicant Eligibility:**

Local governments and regional government entities within the State of Nevada as specifically identified in Public Law 105-263, as amended.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through [Grants.gov](http://Grants.gov) or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement. No State plan is required with this application.

**Award Procedure:**

For any grants awarded as a component of any project, approved by the Secretary of the Interior, and funded under Public Law 105-263 and subsequent amendments, for any eligible beneficiary entity, all applicable Federal rules,

regulations, and agency specific guidelines for awarded procedures will be followed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after announcement closes. Projects are approved in accordance with Public Law 105-263, as amended, and as further delineated in the Southern Nevada Public Land Management Act Implementation Agreement. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory match requirements, however, applicant's matching funds are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final performance report 90 days after the end of grant performance. Cash reports are not applicable. No progress reports are required. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State and local governments shall maintain project records in accordance with 43 CFR 12.82.

**Account Identification:**

14-5232-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$21,628,911; FY 12 est \$22,500,000; and FY 13 est \$22,500,000

**Range and Average of Financial Assistance:**

Past partnership projects have been between \$30,000 to \$12,593,700. Average project amount is \$240,300 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Cooperative Agreements with local government and units of

local governments resulted in eight complete projects in the Parks, Trails, and Natural Areas category in FY 2011. These multi-year projects included the Duck Creek Habitat Restoration, Wetlands Park Acquisition Phase IV, Mesquite Regional Park and Trail System Phase I, Multi-Use Tributary Las Vegas Wash Regional Trail, Urban Park Renovation, Anthem East Trails, Rose Park Improvements, and City of Pioche Park Phase II. For Clark County, Lincoln County, and the cities of Henderson, Pioche, Mesquite, and Las Vegas, Nevada, these projects reinvigorated residential communities. They provided ADA access for multi-use trails, added miles of trails and trailheads, improved water quality and park/open-space shaded areas, restored T-ball fields and swimming pools, created senior citizen activity areas, provided additional scenic overlooks and benches for hikers and bikers, provided new pavilions, gazebos, picnic and playground areas to existing parks, one with at least 50 years of continuous use, repaired and constructed new pedestrian pathways, and provided restoration to habitat and native vegetation. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All guidance for this program rests with the Southern Nevada Public Land Management Act of 1998, as amended, Public Law 105-263, and can be found on website <http://www.nv.blm.gov/snplma/>.

**Regional or Local Office:**

See Regional Agency Offices. SNPLMA Business Manager, Nevada State Office, Bureau of Land Management, 1340 Financial Blvd., P.O. Box 12000, Reno, NV 89520-0006. Telephone: (775) 861-6613. E-mail: Sharon\_Gore@blm.gov .

**Headquarters Office:**

Division Chief Division of Lands and Realty, Bureau of Land Management (WO 350), 20 M Street, SE, Room 2134, Washington, District of Columbia 20003 Email: kim\_berns@blm.gov Phone: (202) 912-7350

**Website Address:**

<http://www.nv.blm.gov/snplma/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Parks, Trails and Natural Areas category includes the following funded and in progress projects. The Camp Success Preservation and Enhancement Project in White Pine County, Nevada, in existence since the 1940s, will provide continued use of the Camp and enhance the recreational and environmental education opportunities for youth and families in eastern Nevada. The existing outhouses will be removed and replaced with vault toilets. Shower facilities and ADA accessible outdoor living area near the lodge will upgrade and preserve this partnership facility. The land is owned by the U.S. Forest Service with the Camp itself being owned by White Pine County, Nevada. With the recent 20-year permit renewal by U.S. Forest Service the camp will continue to enhance the areas comprehensive economic development strategy while providing recreational and outdoor opportunities. The Warm Springs Natural Area Project in Clark County, Nevada is regionally significant as it contains more than 20 perennial springs that form the headquarters of the Muddy River. The site contains numerous landscapes including Mojave desert, riparian forest, mesquite woodlands, and alkali meadows through which 3.8 miles of the Muddy River wanders. These resources provide ideal habitat for a number of listed, threatened and sensitive species, including the endangered Moapa dace and the Southwestern Willow Flycatcher. The Doolittle Park Family Area Renovation Project in Clark County, Nevada will reinvigorate this older park space, encouraging sustainable living in the city's core. Heavy use in West Las Vegas, Nevada has resulted in deterioration of this family park. More modern playground equipment and relocation of playground equipment for ages two to five years old will provide a safer play area for children. Increasing tree canopy, improving the park entry point, and adding a senior citizens activity area will improve the family environment of this heavily utilized local park. Horseshoe pits, new BBQs, new sidewalks, new grass and irrigation system, a medium ramada, and new lighting, will complete the much needed renovations. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting projects is outlined and defined in the Southern Nevada Public Lands Management Act Implementation Agreement, based upon the established Ranking and Rating Criteria, a balanced review including relevance to program objectives, merit and cost effectiveness, and consistent with the Southern Nevada Public Land Management Act of 1998, Public Law 105-263, as amended.

## **15.236 ENVIRONMENTAL QUALITY AND PROTECTION RESOURCE MANAGEMENT**

### **FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

### **AUTHORIZATION:**

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended; Watershed Restoration and Enhancement Agreements, 16 U.S.C. 1011, Public Law 104-208, Section 124, as amended Public Law 105-277, Section 135; and Consolidated Appropriations Act of 2008, Public Law 110-161, Division F, Section 125.

; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

### **OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements as a partnership to reduce or remove pollutants in the environment for the protection of human health, water and air resources; to restore damaged or degraded watersheds; and to respond to changing climate. Objectives are implemented through core programs such as: the Abandoned Mine Land program which addresses physical safety hazards and water quality through restoration of abandoned hardrock mines; the Hazard Management and Resource Restoration, also known as Hazmat program, which remediates sites impacted by hazardous materials and illegal activities, coordinates emergency response actions, and ensures the Bureau of Land Management facilities and operations comply with applicable environmental regulations; and the Soil, Water and Air (SWA) program which develops guidance for land use plans and plan implementation. The Soil, Water, and Air program also assures that fundamental resources are inventoried and assessed, managed, and monitored to support appropriate management response to public land conditions. For Recovery and Reinvestment Act funded projects additional objectives include: To preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

### **TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements (Discretionary Grants); DISSEMINATION OF TECHNICAL INFORMATION; TRAINING

### **USES AND USE RESTRICTIONS:**

Partnership projects are limited to public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska unless other specific legislative authority exists. Hazmat and Abandoned Mine Land projects will support: inventory and site assessments; mitigation, remediation, and restoration activities; and maintenance and monitoring of actions taken. Funded projects will protect public health, safety and environmental resources by eliminating contamination and hazards and restoring natural resources. The Soil, Water and Air Program Support: soil survey and interpretation, ecological site determination, soil erosion control, and sustaining soil productivity; acquisition of water rights and inventory of water resources to assure availability of water to meet management objectives; monitoring and improvement of quality, and implementation of appropriate best management practices; Colorado River Basin salinity control activities; and air resource management including air quality, visibility, noise, climate, and climate change issues. For more specific information please contact that headquarters office.

### **Applicant Eligibility:**

Anyone/General public.

### **Beneficiary Eligibility:**

Anyone/General public.

### **Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

For more information on local requirements, cooperative rangeland project proposals should be coordinated with Bureau of Land Management local State or District Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

### **Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

### **Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Statutory formulas are not applicable to this program.

The program has no statutory formula matching requirements. However, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient of payments will be determined for each awarded assistance agreement at time of award.

### **Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantee must submit a final Program Performance Report 90 days after the end date of grant performance. Projects funded under the American Recovery and Reinvestment Act of 2009 will additional reporting requirements as described in the announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly Standard

Form 425, Federal Financial Reports 30 days following end of the reporting period. A final SF 425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$4,955,382; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$1,000 to 1,762,000. Average amount is \$62,700 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: States, other partners, and the Bureau of Land Management have worked together with private and non-federal landowners to enhance public health and safety and eliminate environmental degradation due to impacts from past hardrock mining activities, illegal dumping of solid and hazardous wastes, and unexploded ordnance. Natural resources adversely impacted by oil spills and releases of hazardous substances have been restored. Soil, water and air resources have been sampled and monitored, impacts have been controlled. States, other partners, and the Bureau of Land Management are working together to inventory abandoned mine sites, close abandoned mine land features (physical safety hazards), address environmental issues at abandoned mine land sites, conduct soil mapping for salinity and selenium, develop air quality task force teams, conduct water quality monitoring, establish habitat restoration areas, conduct watershed assessments and monitoring, and implement climate change monitoring. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Bureau of Land Management environmental quality and protection programs can be found at [www.blm.gov](http://www.blm.gov), including: the Cooperative Conservation Based Strategic Plan for the Abandoned Mine Lands Programs, Abandoned Mine Land Program Policy Bureau of Land Manual 3720 and Handbook H-3720-1, Hazard Management and Resource Restoration Manual 1703, and CERCLA Response Actions Handbook H-1703-1. Manuals providing basic program policy guidance for the Soil, Water and Air Program are found in Bureau of Land Management Manual 7000 series and may be obtained at [www.blm.gov](http://www.blm.gov).

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Nancy E. Dean, Environmental Quality and Protection, Bureau of Land Management (WO 280), 1849 C St., N.W., 204 LS, Washington, District of Columbia 20240 Phone: (202) 912-7136.

**Website Address:**

<http://www.blm.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Past projects funded encouraged the State and the Bureau of Land Management to work together within close proximity of public lands.

Examples of Abandoned Mine Lands projects can be found in the Bureau of Land Management - Forest Service joint report entitled "Abandoned Mine Lands: A Decade of Progress Reclaiming Hardrock Mines," BLM publication BLM-WO-GI-07-013-3720. This report is available at [www.blm.gov](http://www.blm.gov). Project designed to reduce salt loading in the Colorado River, which include plugging saline wells, reducing runoff from areas of saline soils through improved vegetation management and restoration of OHV trails and other surface disturbance, organization and presentation of a road maintenance workshop to teach erosion control methods, and a study on relationship between grazing and vegetation green-up to maintain vegetation cover in areas of saline geology and soils. Past completed projects were completed to improve stream bank and channel conditions and projects to analyze movement and management of groundwater in areas threatened by groundwater over-drought and ground water contamination. Fiscal Year 2011: Funded projects will include monitoring effects of oil and gas surface development on fish habitat in northern climates, determining selenium apportionment in soils in wetland ecosystems in Utah, conducting biological surveys for abandoned mine land closures across the western US, closing physical safety hazards at abandoned mines in Colorado, California, and Wyoming, habitat restoration, establishing the locations of carbon stocks and the distributions in Western Colorado, and the collection of air, water, and meteorological data relevant for climate change monitoring. These projects provide BLM with the data needed to determine management actions and provide important baseline data for future management activities and land management decisions. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.237 RANGELAND RESOURCE MANAGEMENT  
FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended; Public Rangelands Improvement Act of 1978, 43 U.S.C. 1906, Public Law 95-514 and the Taylor Grazing Act of 1934, 43 U.S.C. 315a, as amended.

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements to manage, develop and protect public lands and enhance the understanding of rangeland and watershed resources, their ecological processes, and capabilities in order to meet rangeland and water quality standards for the improvement of rangelands on public lands. Projects and livestock administration for the management of rangeland ecosystems are conducted in a coordinated manner and consider the interrelationships of living organisms of plants and animals, the physical environment of soil, water, air, and landscape characteristics when developing and implementing resource objectives and management actions. Systematic assessments and evaluations are conducted at the watershed, allotment, and in some instances, the landscape scale to determine if the standards and fundamentals for rangeland ecosystem health are being achieved.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements; TRAINING

**USES AND USE RESTRICTIONS:**

Projects are limited to rangeland projects on public lands administered by the Bureau of Land Management located mostly in the Western United States and Alaska. For more specific information contact the local or headquarters office.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from



coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State plan is required with this application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via a hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be available for each project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The program has not statutory matching requirements. Matching funds or in-kind services by the applicant are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, most projects are awarded for a one to five year period and funded on a year-by-year basis and funds are expended during a particular fiscal year. No commitment will be made to fund projects beyond one year. New and continuing projects will be re-evaluated each year based on performance, merit, and fund availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, the grantee must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,381,089; FY 12 est \$1,300,000; and FY 13 est \$1,300,000

**Range and Average of Financial Assistance:**

Past partnership projects have run between \$5,000 to \$180,000. Average amounts run about \$49,300 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Bureau of Land Management maintained and expanded partnerships to include funding for activities within this program to include resource monitoring on rangelands, conducting upland health assessments and evaluations, use authorizations, allotment planning and administration, development of vegetation objectives, development of criteria and indicators to measure rangeland sustainability, integrated weed management, and activity plan development in connection with land use planning. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Bureau of Land Management's Rangeland and Management program is generally guided by the provisions in 43 CFR Part 4000. A variety of public interest publications on these programs are available free of charge by contacting the appropriate State Office. Manuals and handbooks providing basic program operational guidance for Rangeland Management are found in BLM Manuals 4000 series and may be obtained by contacting the Washington Office.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Division Chief Rangeland Resources, Bureau of Land Management (WO 220), 1849 C St., N.W., 20 M St., SE, , Washington, District of Columbia 20240 Phone: (202) 912-7222

**Website Address:**

<http://www.blm.gov/wo/st/en/pro/grazing.1.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Cooperative rangeland management projects that developed criteria and indicators for measuring sustainability of rangelands. Projects that provided range management education and training for grazing permittees and agency staff. Conducted invasive and weed species inventory. Conducted integrated weed management planning and treatment. Projects that supported technical and applied rangeland and grazing management information for dissemination, such as support for Grazinglands Conservation Initiative Convention and the International Rangelands Congress. Projects that promoted general public education and information on values of proper livestock grazing management. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

## 15.238 CHALLENGE COST SHARE

### FEDERAL AGENCY:

Bureau of Land Management, Department of the Interior

### AUTHORIZATION:

Department of the Interior and Related Agencies Appropriation Act for Fiscal Year 1991, Public Law 101-512, Title I.

### OBJECTIVES:

The Challenge Cost Share Program works through cooperative partners to help accomplish high priority work to support habitat improvement, comprehensive travel management, recreation and cultural projects. The types of projects that can be funded include monitoring and inventory of resources; implementing habitat improvement or protection projects; developing threatened and endangered species recovery plans; protecting, stabilizing or documenting cultural resources; travel management, including managing off-highway vehicle use; and providing enhanced recreational experiences, including visitor services, information, and facilities for public health and safety.

### TYPES OF ASSISTANCE:

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

### USES AND USE RESTRICTIONS:

All projects are restricted to public lands administered by the Bureau of Land Management or that directly benefit public lands. Most of these lands are located in the Western United States and Alaska. Assistance can be used to leverage funds with partners and other external funding sources to enhance the Bureau of Land Management's ability/capacity to survey, monitor and inventory resources; to restore and maintain land in a healthy condition; to support threatened and endangered species management; to manage heritage resources; to enhance recreational experiences; provide visitor services or facilities; to conduct public outreach and education projects; and to support emerging partnership opportunities. For more specific information contact the regional or headquarters office.

### Applicant Eligibility:

Not applicable.

### Beneficiary Eligibility:

Not applicable.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

For more information on local requirements, cooperative projects proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State plan is required with the application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

### Award Procedure:

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Most awards are anticipated within 90 days or less after the announcement closes.

### Appeals:

None. Final award decisions are not subject to appeal; however, the Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching Requirements: This program has statutory requirement for non-federal cost share funds or in-kind service requirements. Funds are required to be cost-shared one non-federal dollar for each federal dollar per State office. The matching funds must be non-federal in origin. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Most projects are awarded for one to five year period and funded on a year-by-year basis. Funds are expended during the year awarded although carry-over monies can be distributed to additional years or to projects that have been pre-approved. No commitment is made to fund projects beyond one year and there is no set, historical allocation to each State. New and continuing projects will be re-evaluated every other year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

### Reports:

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantee must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports 30 days following the end of the reporting period. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

### Account Identification:

14-1109-0-1-302.

### Obligations:

(Cooperative Agreements) FY 11 \$2,473,247; FY 12 est \$2,500,000; and FY 13 est \$2,500,000

### Range and Average of Financial Assistance:

Past partnership projects have been between \$1,500 to \$182,000 depending on the policies of that particular state and the money available. Average amounts are \$23,100 or less.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2011: Past partnership projects have completed wildlife habitat improvement, protection, and restoration projects with durable lasting results, conducted wildlife studies, and developed threatened and endangered species recovery plans. Cultural resources projects have been conducted to protect and stabilize cultural sites, inventory and protecting existing collections and conduct surveys to find artifacts. Recreation projects have been conducted to build trails, obliterate road and trails, and enhance visitor recreation experiences on

public lands. Recreation projects have improved and stabilized Riparian areas and washed out bridges or walkways. Overall, projects have also included support for environmental education, University research, and interactive youth initiatives based on the programs within the BLM. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, manuals and information about the Bureau of Land Management fish, wildlife, botany, recreation and cultural programs can be found at website <http://www.blm.gov/>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Program Manager and Agency Liaison, Bureau of Land Management (WO 200), 1849 C St., N.W., Room 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7203

**Website Address:**

<http://www.blm.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Past projects funded include monitoring and inventorying of resources; implementing habitat improvement or protection projects; developing threatened and endangered species recovery plans; protecting, stabilizing, or documenting cultural resources; travel management, including managing off-highway vehicle use and support of monitoring partnerships; providing enhanced recreational experiences including the support of friends groups in National Landscape Conservation System units, visitor services, information, and facilities for public health and safety; and supporting environmental education awareness through local events and partnership entities. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to federal lands and a balanced view including relevance to program objectives, merit and cost effectiveness.

**15.239 MANAGEMENT INITIATIVES**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Federal Land Policy and Management Act of 1976, 43 U.S.C. 1737(b), Public Law 94-579, as amended.

**OBJECTIVES:**

To provide a variety of Bureau of Land Management financial assistance awards not covered by any other program entry. This program will support mission program efforts for the management, protection, and development of public lands managed by the Bureau of Land Management. Awards are typically supported by funding one-time specific legislation and internal projects and programs.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Assistance support for the management, protection, and development of public lands within the Bureau's area of responsibility and supported by specific authorities. Awards are restricted to activities on Federal public lands for activities that benefit resources on Federal land. Most of these public lands are located in the Western United States and Alaska. The assistance may support outreach and education efforts associated with partnership programs.

**Applicant Eligibility:**

Anyone/General public.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For more information and local requirements, cooperative project proposals should be coordinated with the Bureau of Land Management local State or District/Field Offices. No State plan is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard 424A, Budget Information for Non-Construction Programs, and a written proposal should be submitted through [Grants.gov](http://Grants.gov) or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management State and District Office level and funding recommendations are made through the State's annual work plan. Final budget approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Projects are approved through the Bureau budget cycle that normally requires at least one year to receive funding. Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after the announcement closes. Further information will be able for each project at the time of funding opportunity announcement is posted on [www.grant.gov](http://www.grant.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal. The Bureau of Land Management will provide all applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The program has no statutory matching requirements, however, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions for most projects, however, some projects are awarded for one to five year period and funded on a year basis. Funds are normally expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual, or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will be extended, grantees must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,583,837; FY 12 est \$2,500,000; and FY 13 est \$2,500,000

**Range and Average of Financial Assistance:**

Past partnerships have been between \$2,900 to \$800,000. Average amounts are \$117,400 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Developing partnerships to include the funding for continued support of collaborative efforts to build community capacity, increase youth employment opportunities, and support for the management, protection and development of public lands. The public and BLM benefit from its support with partners in heightening public understanding of the social and economic, as well as environmental, aspects of ecosystem restoration and maintenance.

Fiscal Year 2012: No current data revision. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program information is included in the Bureau of Land Management Manuals, available at <http://www.blm.gov>. These documents may also be obtained by contacting the Bureau of Land Management Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Bureau of Land Management State Offices.

**Headquarters Office:**

Corey Grant Bureau of Land Management (WO 850), 1849 C Street, NW, Room 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7040

**Website Address:**

<http://www.blm.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: : Assistance for State and local governments, Indian Tribal governments, public and private colleges and universities, public land corps and nonprofit organizations, as directed in the annual appropriations. Support of Historical Black Colleges and Universities and Hispanic Association of Colleges and Universities in support of students interested in pursuing careers in the natural resource area. Supporting the energy pilot offices in Wyoming and Montana, and updating and developing the Geographic Coordinate Data Base to develop the most dependable coordinates available for the US Public Land Survey System corners. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on the applicant's direct relationship to the management, protection and development of federal lands and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.240 HELIUM RESOURCE MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Helium Privatization Act of 1996, 50 U.S.C 167, Public Law 104-273.

**OBJECTIVES:**

To meet the requirements of the Helium Privatization Act of 1996, Section 8, a crude helium enrichment unit was designed, constructed, and is now operated to ensure that the U.S. Government can upgrade and deliver crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting via the governments conservation pipeline which supplies helium to private helium plants located along the governments pipeline. Private plants refine the helium, supply private industry, government agencies and research projects. To pay back the helium debt, the cost that was incurred by purchasing the helium, and to ensure that the U.S. Government can redeliver crude helium into the conservation pipeline system in order to meet private and Government customer needs, as defined in the Helium Privatization Act.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Projects are limited to entities that have a direct involvement with the implementation of the Helium Privatization Act and projects related to the elimination of the Helium Debt. For more specific information contact the regional or headquarters office.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Coordinate cooperative project proposals with the Bureau of Land Management, New Mexico State Office for more information and requirements. No State plan is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, objectives, timeframe, and a budget breakdown as specified in the funding opportunity announcement.

**Award Procedure:**

Projects are reviewed at the Bureau of Land Management, New Mexico State Office. Final approvals rest with the State Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less after the announcement closes. Further information will be available for the project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the point of contact listed in the funding opportunity announcement.

**Appeals:**

None. Final award decisions are not subject to appeal. The Bureau of Land Management will provide all unsuccessful applicants with information on why their proposal was not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The program has no matching requirement, however, matching funds or in-kind services by the applicants are encouraged and those projects are more likely to be funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are awarded for a one to five year period and funded on a year-by-year basis. Continuing funding will be re-evaluated each year based on performance, merit, and funding availability. See the following for information on how assistance is awarded/released: Frequency of recipient payments will be determined for each awarded assistance agreement at the time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual or annual Program Performance Reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantee must submit a final Program Performance Report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, recipients are required to submit quarterly SF-425, Federal Financial Reports. A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4053-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$6,720,000; FY 12 est \$6,720,000; and FY 13 est \$6,720,000

**Range and Average of Financial Assistance:**

Past partnership projects range between \$720,000 and \$6,000,000. Average amount is \$336,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Through a partnership the Bureau of Land Management, Helium Operation, now delivers crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting through the governments conservation pipeline which supplies helium to private helium plants located along the government's pipeline. Private plants refine the helium, and supply private industry, government agencies and research projects. The helium sold is used to pay back the helium debt to ensure that the U.S. Government can redeliver crude helium into the conservation pipeline. Total Natural Gas Sales for FY 2011 were \$15,576,373. The Helium Plant experienced only 20 days of outage (both controlled and uncontrolled) for the entire year. In FY 2011, the Helium Debt has been reduced by \$145,000,000. Fiscal Year 2012: The projected Natural Gas Sales for FY 2012 are estimated at \$15,000,000. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information can be found at the website listed below.

**Regional or Local Office:**

See Regional Agency Offices. Chief, Division of Minerals, Bureau of Land Management, New Mexico State Office, Division of Minerals, 301 Dinosaur Trail, Sante Fe, NM 87508  
Phone: (505) 670-2135.

**Headquarters Office:**

Tim Spisak Bureau of Land Management, (WO-300), 1848 C Street, NW, MIB 5625, Washington, District of Columbia 20240 Phone: (202) 208-4201

**Website Address:**

[http://www.blm.gov/nm/st/en/fo/Amarillo\\_Field\\_Office.html](http://www.blm.gov/nm/st/en/fo/Amarillo_Field_Office.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Due to the construction of a compressor station and the Crude Helium Enrichment Unit with Partners that upgrades and delivers crude helium from an underground storage field, by upgrading the gas to pipeline quality, compressing the gas and transmitting via the governments conservation pipeline which supplies helium to private helium plants located along the governments pipeline. Private plans refine the helium and supply private industry, government agencies and research projects. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria used to select assistance proposals are based on their direct relationship to helium projects and a balanced review including relevance to program objectives, merit and cost effectiveness.

**15.241 INDIAN SELF-DETERMINATION ACT CONTRACTS, GRANTS AND COOPERATIVE AGREEMENTS****FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistant Act, Public Law 93-638, 25 U.S.C 450.

**OBJECTIVES:**

To provide maximum Indian participation in the government and education of the Indian people; to provide the full participation of the Indian tribes in programs and services conducted by the Bureau of Land Management for Indians and to encourage the development of human resources of the Indian people; and to establish program assistance to upgrade Indian education that will support the right of Indian citizens and for other purposes.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Contracts, grants and cooperative agreements are authorized for non-construction projects in the seventeen Western states and Alaska for programs and services conducted by the Bureau of Land Management for the benefit of Indian tribes. Programs available to tribes because they deliver services to Indians in their protected status are: cadastral survey and minerals management. Other programs, services, functions and activities administered by the Bureau of Land Management which are of specific geographic, historical, or cultural significance to the Indian tribes are: cultural heritage, forestry management, range management, riparian management, recreation management, and wildlife and fisheries management. Certain restrictions will be applicable based on the specific statutory authority that authorizes the construction activities which are primarily for the benefit of Indians because of their status as Indians. For more specific information contact the headquarters office.

**Applicant Eligibility:**

Federally recognized Indian tribal governments.

**Beneficiary Eligibility:**

Federally recognized Indian tribal governments and American Indians.

**Credentials/Documentation:**

The application for a contract, grant or cooperative agreement must contain an authorizing resolution of the governing body of the Indian tribe. Each contract, grant or cooperative agreement requires project specific authority. Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timeliness, the levels

of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation. Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contribution of goods and services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial proposals must contain the information specified in 25 CFR Part 900.8. Proposals shall be submitted to the applicable Bureau of Land Management State Office with responsibility for the specific project for which an Indian tribe or tribal organization proposes to participate. Bureau of Land Management personnel will provide technical assistance to tribes in the development of their proposals as requested, pending availability of appropriations.

**Award Procedure:**

The Bureau of Land Management and the tribe develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. The Bureau of Land Management and the tribe also negotiate an annual funding agreement, which identifies activities to be performed, funds to be provided, and the method of payment for the initial year of the PL 93-638 contract. A final agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial annual funding agreement, property list, list of any applicable provisions, terms and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As specified within 25 CFR Part 900.

**Renewals:**

Will vary with project and/or award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of programs will vary. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

The reporting of financial status reports and progress reports requirements will be negotiated within the annual funding agreement or overarching terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Indian tribal governments and organizations shall maintain project records in

accordance with 43 CFR 12.82.

**Account Identification:**

14-1109-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$3,176,131; FY 12 est \$3,000,000; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

Past partnership projects range between \$12,600 to \$1,302,100. Average amount is \$244,300 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Indian tribes and Bureau of Land Management have worked together to authorize tribes to take over the administration and program for oil and gas inspections on tribal lands in Montana. Alaska Native villages and regional or village corporations are conducting cadastral land surveys of their tribal lands. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Self-Determination and Education Assistance Act, 25 USC 450, as amended, Public Law 93-638, and 25 CFR Part 900.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Native American Coordinator Bureau of Land Management, 1849 C Street, NW, Room 2134LM, Washington, District of Columbia 20240 Phone: (202) 912-7245

**Website Address:**

<http://www.blm.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Past project funded were for mineral management of tribal lands in Montana where two tribes are conducting the inspection and enforcement of Indian oil and gas operations, inspection, enforcement and production of Indian operations. In addition, many cadastral surveys are being conducted by the tribes on tribal and allottee lands in Alaska. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Review and approval of contract proposals is in accordance with 25 CFR Part 900, Subpart D - Review and Approval of Contract Proposals.

**15.242 NATIONAL FIRE PLAN - RURAL FIRE ASSISTANCE  
FEDERAL AGENCY:**

Bureau of Land Management, Department of the Interior

**AUTHORIZATION:**

The Consolidated Appropriations Act of 2010, Division A, Department of the Interior, Environment and Related Agencies Appropriations Act of 2010, Department-Wide Programs, Wildland Fire Management, Public Law 111-88. This program was first implemented in the Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.

**OBJECTIVES:**

To implement the National Fire Plan by increasing firefighter safety and enhancing the knowledge and fire protection capability of rural fire departments by providing assistance in education and training, protective clothing and equipment purchase, and support to public education efforts on a cost share basis.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; TRAINING; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Emphasis is placed on fire departments that protect rural communities and play a substantial cooperative role in the protection of the Department of the Interior managed public lands. Frequency of recipient payments will be determined for each awarded assistance agreement at time of award.

**Applicant Eligibility:**

State and local government, Public nonprofit institution/organizations, Other public institution/organization, Federally Recognized Indian Tribal Government, Private nonprofit institution/organization, Native American Organization, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface. All applicants must be rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Other Public Institution/Organization, Federally Recognized Indian Tribal Government, Small Business, Profit Organization, Private Organization, Anyone/General Public, Native American Organization, Farmer/Rancher/Agriculture Producer, Homeowner, Land/Property Owner, Suburban, and Rural.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Coordinate applications with the local BLM State or District Office, Bureau of Indian Affairs Regional Office, Fish and Wildlife Service Regional Office, or a National Park Service Regional Office or National Park Service unit. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Rural Fire Assistance is coordinated through each State Forester and the Bureau/Service State or Regional Office, or National Park unit. Procedures may be found on the National Fire Plan website at: <http://www.fireplan.gov>. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

To ensure consistency within existing rural fire assistance programs, the Department of the Interior bureaus work with the State Foresters and other Federal partners to ensure that funding is allocated in the amount of the award to qualified and suitable rural fire districts. The following criteria applies for a fire department to participate in the program: Statewide agreement with the State Forester, who maintains cooperative fire agreements with the rural fire department/volunteer fire department, or a cooperative fire agreement with an Interior Bureau; rural fire department serving a community with a population of 10,000 or less in the wildland/urban interface; and the funding request is limited to training, equipment, and prevention activities. The rural fire department must have the capability to meet cost share at a minimum of 10% which may include in-kind services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Rural fire assistance projects are approved by the Bureau/Service/Park Unit in coordination with the State Forester and other Federal partners. Normally all grant requests are received and awards made during the same fiscal year.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Rural fire departments must have the capability to meet cost share at a minimum of 10 percent, which may include in kind services.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most projects are funded on a single year basis and funds are expended during the fiscal year of the award. See the following for information on how assistance is awarded/released: For more specific information please contact headquarters office.

**Reports:**

Unless otherwise stated in the award document, the recipients (grantees) are required to submit quarterly, semi-annual or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantees must submit a final performance report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the award document, the recipients (grantees) are required to submit quarterly financial status reports using Standard Form 425, Federal Financial Report 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, the grantees must submit a final financial status report 90 days after the end date of grant performance. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the recipient. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$543,371; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Past partnership projects have ranged from \$1,600 to \$125,000. Average amount is \$28,600 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: An average of 1,200 Rural Fire Departments are provided assistance each year for technical assistance, training, supplies, equipment and public education support. This program enhances the knowledge and fire protection capability of rural fire districts by providing assistance in education and training. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of the Interior's rural fire assistance program is guided by the

provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate Bureau/Service Office or the National Fire Plan's web site at: <http://www.fireplan.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional/State/Local Office: See Catalog Appendix IV for addresses.

**Headquarters Office:**

Director Division of Fire Planning and Fuels Management (FA-600), National Interagency Fire Center, 3833 S. Development Ave., , Boise, Idaho 83705  
Phone: (208) 387-5186

**Website Address:**

<http://www.nifc.gov/rfa/index.html>

**RELATED PROGRAMS:**

15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Wildland fire assistance to rural fire departments through technical assistance, training, supplies, equipment and public education support.  
Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for ranking eligible Rural Fire Departments, relative to other applicants, for funding allocation are: The fire department's frequency of responses to wildland/urban fire incidents in the local area; the fire department's wildland prevention and education program needs; the fire department's training program needs; the communities and Department of the Interior's values to be protected; the percentage of wildland/urban lands; and the number of wildland fire engines in the department relative to the percentage of wildland/urban interface acres protected.

**15.250 REGULATION OF SURFACE COAL MINING AND SURFACE EFFECTS OF UNDERGROUND COAL MINING**

**FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To assist the States in administering approved regulatory programs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants for permanent program development are available to fund staff and related costs in connection with preparing State legislative proposals; preparing State regulations; preparing permanent program applications to the Office of Surface Mining Reclamation and Enforcement (OSM); and for other related purposes. Administration and enforcement grants are awarded to assist States that have received approval of permanent regulatory programs. Funded cooperative agreements provide for State regulation of coal mining activities on Federal lands. Technical assistance is available on any aspect of regulating surface impacts of coal mining.

**Applicant Eligibility:**

The State must have an approved program to regulate surface coal mining and a designated State agency to receive and administer grants.

**Beneficiary Eligibility:**

State agencies responsible for regulation, reclamation and enforcement of provisions protecting the environment from negative effects of coal mining operations.

**Credentials/Documentation:**

The Governor of a State designates an agency to act as recipient of the grant or funded cooperative agreement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application SF 424 Application for Federal Assistance forms required by 2 CFR Part 215.12 and 43 CFR Part 12, Subpart F, or its revisions, must be used. State regulatory grant applications are required to submit applications to their appropriate Regional Office. Applications maybe submitted through [www.Grants.gov](http://www.Grants.gov) and the appropriate OSM Regional/Field Office. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement Regional Office for assistance.

**Award Procedure:**

Review by appropriate OSM Regional staff within 60 days of receipt of application and approval by the OSM Regional Office is required. If the application is not approved, the Regional Office must set forth in writing the reasons for disapproval and may propose modifications if appropriate. The application may submit the revised application or appropriate revised portions of the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

60 days.

**Appeals:**

An applicant may appeal OSM's decision not to approve a grant or to reduce or terminate a grant to the Director, OSM, no later than 30 days after the Regional or Field Office official's decision.

**Renewals:**

Renewal of annual applications required for grants.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Permanent program development grants and administration and enforcement grants are limited to 80 percent of costs in the first year, 60 percent in the second, and 50 percent thereafter.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

All administration and enforcement grants are for a one year period and are annually renewable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual reports as specified by the agency are required. SF 425 Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-1801-0-1-302.



**Obligations:**

(Project Grants) FY 11 \$68,700,000; FY 12 est \$68,590,080; and FY 13 est \$70,958,360

**Range and Average of Financial Assistance:**

Range is \$72,739 to \$13,729,850; Average \$2,544,440.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Twenty-four coal producing States have approved programs and are receiving administration and enforcement grants. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register, Volume 42, No. 62706, Tuesday, December 13, 1977 and Volume 47, No. 169, Tuesday, August 31, 1982, Volume 48, No. 12, Tuesday, January 18, 1983; and informal agency guidelines titled "Federal Assistance Manual."

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV.

**Headquarters Office:**

Chief, Division of Reclamation Support Office of Surface Mining Reclamation and Enforcement, Department of the Interior, 1951 Constitution Ave., N.W. , Washington, District of Columbia 20240 Phone: (202) 208-2868 Fax: (202) 219-0239.

**Website Address:**

<http://www.osmre.gov>.

**RELATED PROGRAMS:**

15.252 Abandoned Mine Land Reclamation (AMLR) Program; 15.253 Not-for-Profit AMD Reclamation; 15.254 Summer Watershed Intern; 15.255 Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Governor-designated State agencies in coal producing States receive annual grants to assist in administering and enforcing the States' approved regulatory programs as provided by the Surface Mining Control and Reclamation Act of 1977. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Designated agencies that choose to comply with the Surface Mining Reclamation and Enforcement Provisions, Parts 725, 735, and 795 (Federal Register, Vol. 423, No. 239, Tuesday, December 13, 1977, Vol. 47, No. 169, August 31, 1982 and Vol. 48, No. 12, January 18, 1983), are eligible for awards. Criteria for amounts awarded are the State's need relative to other eligible States.

**15.252 ABANDONED MINE LAND RECLAMATION (AMLR) PROGRAM****FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To protect the public, health, safety and general welfare, and restore land, water and environmental resources affected by coal and noncoal mining practices that occurred prior to August 3, 1977.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants support the operation of an approved State or Tribal Abandoned Mine Land (AML) reclamation program. Approved programs use grant funds for mine site reclamation projects on eligible lands, which are lands and waters mined or affected by coal mining processes that occurred prior to August 3, 1977 (as well as certain post-1977 and noncoal mining activities). Grants also support project administration. Grants may also include funding for

AML-related activities including: abating emergency mining-related dangers to public health and safety; restoring water supply facilities impacted by coal mining; setting aside funds in a trust account to fund future acid mine drainage treatment; and developing a self-sustaining State subsidence insurance program. Approved programs which have completed coal mine reclamation in their state or on lands within their jurisdiction may use funds for other activities as authorized in SMCRA. Please contact the headquarters office more information.

**Applicant Eligibility:**

The program is restricted to States with (1) an approved coal mining regulatory program, (2) lands eligible for reclamation, and (3) active coal mining operations within their borders that are paying coal reclamation fees into the Abandoned Mine Reclamation Fund; and to federally-recognized Indian Tribes with (1) eligible lands, and (2) active mining operations paying fees into the Fund. An eligible State or Tribe may submit a State reclamation plan to the Office of Surface Mining (OSM) for approval.

**Beneficiary Eligibility:**

Coal field citizens and the general public benefit from reduced exposure to safety and health risks from abandoned mine lands.

**Credentials/Documentation:**

A State or Tribal Indian reclamation plan must be approved by the Assistant Secretary for Land and Minerals Management. AML grants to approved projects must be approved by an authorized official of the appropriate OSM Regional or Field Office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental clearance actions for each individual reclamation project are completed as part of the recipient's request for OSM's approval of the Authorization to proceed, which is the point of federal action for that reclamation project. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application SF 424, Application for Federal Assistance as required by 2 CFR Part 215.12 and 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," are required to apply for a grant. The forms may be obtained and the application is to be submitted through [www.Grants.gov](http://www.Grants.gov). Grant applications may also be submitted to the applicable OSM Regional/Field Office. Please contact the appropriate OSM Regional Office for assistance.

**Award Procedure:**

The Regional Office should act upon a grant application within 60 days of submittal of a complete application. If the application is not approved, the Regional Office must set forth in writing the reasons for disapproval and may propose modifications if appropriate. Subsequently, the applicant may submit the revised application or appropriate revised portions of the original application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Normally 60 days.

**Appeals:**

An applicant may appeal the OSM's decision not to approve a grant or to reduce or terminate a grant to the Director, OSM no later than 30 days after the disapproval action.

**Renewals:**

New grants may be awarded annually upon satisfactory performance by the State/Tribal AML Program.

**Formula and Matching Requirements:**

Statutory Formula: Title , Chapter , Part , Subpart , Public Law. Grants are 100 percent Federally funded. Grant funds are mandatory, are not subject to fiscal year appropriation limitations, and are calculated using a distribution formula. The distribution formula is based on annual reclamation fee collections and historical coal production. Source of funding is provided from the Abandoned Mine Reclamation Fund and from the General Fund of the Treasury.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant periods are variable; however, funds for reclamation construction activities should be normally expended within three years after award. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual performance report is required. Cash reports are not applicable.

Progress reports are not applicable. The Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-1804-0-1-551; 14-5015-0-2-999; 14-1803-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$395,557,364; FY 12 est \$485,513,466; and FY 13 est \$488,700,000

**Range and Average of Financial Assistance:**

Range is \$257,477 to \$150,018,677; Average \$17,339,767.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 25 States and three Indian Tribes have approved reclamation programs. Since 1978, nearly 322,043 acres of mined land with safety, health and environmental problems have been reclaimed. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

30 Code of Federal Regulations, Parts 870-887. Final Guidelines for Reclamation Programs and Projects, Federal Register, 66 Federal Register, 31250-31258, June 11, 2001.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Chief, Department of the Interior, Office of Surface Mining, Division of Reclamation Support, 1951 Constitution Avenue, NW, Washington, District of Columbia 20240 Phone: (202) 208-2868 Fax: (202) 219-0239

**Website Address:**

<http://www.osmre.gov>

**RELATED PROGRAMS:**

15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining; 15.253 Not-for-Profit AMD Reclamation; 15.254 Summer Watershed Intern; 15.255 Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: State and Tribal AML programs reclaim hazardous and/or environmentally damaged features on mined lands, including landslides, mine

openings, impoundments, dangerous highwalls, underground mine fires and burning refuse banks, mine subsidence, coal refuse piles, and acid mine drainage. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Section 403 and 411 of Public Law 95-87, cited Abandoned Mine Land Reclamation Program regulations, and approved State/Tribal Reclamation plans.

**15.253 NOT-FOR-PROFIT AMD RECLAMATION**

**FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87, 91 Stat. 445-532.

**OBJECTIVES:**

To fund local 501(c)(3) status organizations and groups that undertake local acid mine drainage (AMD) reclamation projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To assist local organizations, especially watershed groups, to begin actual construction projects to clean streams impacted by AMD. Lands and water eligible for reclamation or drainage abatement expenditures under Section 404 of Public Law 95-87 are those which were mined for coal or which were affected by such mining, wastebanks, coal processing, or other coal mining processes, except as provided for under Section 411 of Public Law 95-87, prior to August 3, 1977, and for which there is no continuing reclamation responsibility under State or other Federal laws. For other provisions relating to lands and waters eligible for such expenditures, see Section 402(g)(4), Section 403(b)(1), and Section 409 of Public Law 95-87. Surface coal mining operations on lands eligible for reclamation shall not affect the eligibility of such lands for reclamation and restoration under this title after the release of the bond or deposit for any such operation as provided under Section 509. In the event the bond or deposit for a surface coal mining operation on lands eligible for reclamation is forfeited, funds available under this title may be used if the amount of such bond or deposit is not sufficient to provide for adequate reclamation or abatement, except that if conditions warrant, the secretary shall immediately exercise his authority under Section 410.

**Applicant Eligibility:**

Primary recipients must be not-for-profit IRS 501(c)(3) status, established organizations. Federal, State, local governments, colleges, and universities are not eligible to receive funding directly.

**Beneficiary Eligibility:**

Communities impacted by streams polluted by acid mine drainage will benefit from this program.

**Credentials/Documentation:**

Proof of not-for-profit IRS 501(c)(3) status is required of nonprofit organizations and institutions. A State certification of project eligibility is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application SF-424 Application for Federal Assistance and forms furnished by the Federal

agency and required by 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," or its revisions must be used for this program. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement (OSM) Regional Office for details listed in the Catalog Address Appendix IV.

**Award Procedure:**

Review by appropriate OSM Regional staff and approval by the Regional Office is required.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will be accepted until all available funds have been awarded.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula. Partners are encouraged to make monetary contributions or provide in-kind services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The cooperative agreements have a performance period of two years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Programmatic reports are required semi-annually. A final report is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required semi-annually. A final report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations".

**Account Identification:**

14-5015-0-2-999.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,443,507; FY 12 est \$2,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

Range is \$20,300 to \$100,000; Average \$80,195.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The total projected cost (including all funding and in-kind sources) for the eighteen new projects funded in FY 2011 totaled \$9,809,838. Of the total project cost, OSM's funding level was approximately 20%. Fiscal Year 2012: It is anticipated that 29 applications will be received and approved at an award of \$100,000 per application for Fiscal Year FY 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Section 404, Public Law

95-87, as amended.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV.

**Headquarters Office:**

Chief, Division of Reclamation Support, Department of the Interior, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Ave., NW, Washington, District of Columbia 20240 Phone: (202) 208-2868 Fax: (202) 219-0239.

**Website Address:**

<http://www.osmre.gov>

**RELATED PROGRAMS:**

15.252 Abandoned Mine Land Reclamation (AMLR) Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In 2011, OSM awarded \$64,108 to Trout Unlimited, which represents 14% of the total project cost of \$456,108. The purpose of the project is to construct three passive treatment systems to treat a series of abandoned mine drainage (AMD) discharges that flow into Muddy Run, a tributary to the South Fork of Tangascootack Creek in Clinton County Pennsylvania. Work has been underway for over a decade to treat sources of AMD into South Fork of Tangascootack Creek. Three other treatment systems are already in operation in the watershed. The North Fork is a healthy stream supporting trout populations. With this project, the aquatic habitat of the South Fork of Tangascootack will be restored, allowing its removal from EPA's 303(d) list of impaired streams. Other funding partners are Pennsylvania's Growing Greener program (\$380,000) and Trout Unlimited (\$12,000). The Clinton County Conservation District will maintain the treatment systems. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Section 404 of Public Law 95-87, State certification of eligibility is required. No opposition to the project from the State Abandoned Mine Land (AML) agency. All applicable Federal and State clearances and permits must be secured. The project should propose to use proven or innovative technology that has a high probability of success and produce tangible results, e.g., fishery restored, stream miles improved, educational and community benefits, pollutants removed from the streams. Funds must be used for the construction phase of a project and there must be demonstrated public support for the project. Also, there must be a plan to address any ongoing operation/maintenance considerations.

**15.254 SUMMER INTERN AND YEAR-LONG OSM/VISTA WATERSHED SUPPORT**

**FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

**AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977; Public Law 95-87; 91 Stat. 445-532.

**OBJECTIVES:**

To work with volunteer watershed groups in the Appalachian Coal Country to build local capacity, monitor water quality, enhance outreach initiatives and education, to engage economic redevelopment and professional development, to develop school criteria, and build stronger partnerships with agencies and industry.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

To support and innovative partnership working directly for watershed groups concerned with poverty, environmental reclamation and safety, and community watershed groups.

**Applicant Eligibility:**

All interns accepted to participate in the OSM Watershed Intern Program must be interested in and able to work in support of a public or private nonprofit institution/organization. Applicants are required to have completed at least two years of undergraduate studies or the equivalent.

OSM/AmeriCorps\* VISTA requires qualified watershed groups to be nonprofit organizations or be sponsored by a nonprofit. Established watershed organizations in the following states are currently participating: Alabama, Colorado, Illinois, Iowa, Kentucky, Maryland, Montana, New Mexico, Ohio, Oklahoma, Pennsylvania, Tennessee, Virginia, and West Virginia.

**Beneficiary Eligibility:**

Watershed organizations in communities impacted by streams polluted by acid mine drainage will benefit from this program.

**Credentials/Documentation:**

Proof of not-for-profit, IRS 501(c)(3), status is required of nonprofit watershed organizations. Proof of student status or the completion of two years of college is required of all intern applicants. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used. Guidelines and application procedures can be obtained from the OSM Website, [www.osmre.gov](http://www.osmre.gov). Paper copy of guidelines and application procedures can be obtained from the OSM Headquarters.

**Award Procedure:**

OSM has Cooperative Agreements with two non-profit sponsors of two OSM/VISTA teams. Team support offices handle OSM intern and OSM/VISTA applications from sites and individuals, screen and rank applications, and oversee the administration of both programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula. Partners are encouraged to make monetary contributions or provide in-kind services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The intern program is a full-time position for 10 weeks. Each OSM/VISTA position is awarded for a three year full-time period. Each OSM/VISTA volunteer must make, at least, a one year commitment. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly and a final programmatic report is required. Cash reports are not applicable. Progress reports are not applicable. Quarterly and a final financial report using the Federal Financial Report SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Records will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-5015-0-2-999.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$179,500; FY 12 est \$180,000; and FY 13 est \$180,000

**Range and Average of Financial Assistance:**

Each internship includes a \$2,000 stipend for 10 weeks of full-time work by an intern and an AmeriCorps Education Award of \$1000. OSM/VISTA Living Stipend and other benefits are set by VISTA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1. Formed 284 new partnerships among community groups, both state and federal agencies, and local businesses; spreading commitment, adding new sources of support and enabling an expanded agenda for community improvement.

2. OSM/VISTAs secured \$1,086,640 in cash resources/grants for their communities.

3. Logged 26,393 volunteer service hours from local citizens to monitor polluted water, plant trees on abandoned mine land sites, work with local schools and much more.

4. Generated \$1,407,770 in-kind resources, a measure of partnership success. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Section 404, Public Law 95-87.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Director, Department of the Interior, Office of Surface Mining Reclamation and Enforcement, 1951 Constitution Avenue, NW, Washington, District of Columbia 20240 Phone: (202) 208-2585.

**Website Address:**

<http://www.osmre.gov>

**RELATED PROGRAMS:**

15.253 Not-for-Profit AMD Reclamation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Western Hardrock Watershed Team: OSM/VISTA member with the Coal Creek Watershed Coalition (CCWC) coordinated a stream bank restoration field day. The event was a collaborative effort among the CCWC, the Crested Butte Land Trust (CBLT), and the Natural Resource Conservation Service. The event consisted of installing multiple bioengineering practices to prevent continued erosion of Coal Creek. There was a large turnout as everyone learned how to install tree revetments, willow waddles, and plant willow sprouts. As highly visible area that is seen as people drive in and out of town, it was aesthetically important to the community to have this event.

OSM/VISTA member with the Gila Resources Information Project (GRIP), in Silver City, NM, hit the ground running. The OSM/VISTA lead the Silver City Watershed Keepers (SCWK) volunteer monitoring event during the first week of service. A OSM/VISTA alumnus started the water quality monitoring group in July of 2010 with the intent of bringing greater awareness to the community about issues affecting the San Vicente Creek and protecting the community's local resources. During February's monitoring event, ten volunteers took

samples at three sites along the San Vicente Creek. Water testing on San Vicente Creek only occurs once every seven years by the NM Environment Department and with the legacy of abandoned mines in the watershed it's more important to test the water more frequently. Community volunteers are the perfect way to meet this need. A Silver City Watershed Keeper (SCWK) volunteer, had this to say about the event: "I was very pleased to participate in the Silver City Watershed Keeper training and thankful for the VISTA volunteers who helped make that happen. It's our community to keep wholesome and the watershed keepers program provides citizens the means to help accomplish that."

Appalachian Coal Country Team

An OSM/VISTA member working with the Upper Tennessee River Roundtable (VA) secured a \$250,000 grant from the Virginia Department of Conservation and Recreation Water Quality Improvement Fund. The grant will be used to implement Abandoned Mine Land reclamation projects, high impact storm water management, and public rain barrel workshops. These projects will reduce sediment, phosphorus and nitrogen loads and improve riparian conditions and stream habitat in local waterways.

OSM/VISTA for the Northfork Watershed Project (WV), invited volunteers on water monitoring trips titled "Coke ovens!" The OSM/VISTA member and volunteers have taken to riding bikes along the 3-mile stretch of river that they monitor each month, stopping to conduct tests or examine the 100-year old coke ovens that embellish their ride. The ride also features a stop at a scenic waterfall in Douglas, a ghost town with only 6 inhabitants.

Another OSM/VISTA member and Pathfinders of Perry County (KY) collaborated with local foundations, schools, and corporations to create Pathfinders kids, a youth hiking program that is engaging local students in healthy outdoor activities while fostering an appreciation for the natural environment. In December 2010, in partnership with Hazard Community and Technical College, the OSM/VISTA member secured a grant of \$10,000 from the Community Foundation of Hazard and Perry County to jumpstart the program which began in June 2011 with a two week camp for 30 children ages 6-13 and 10 teen mentors. During the first week, teen leaders became certified in CPR and provided training in plant identification, extensive field first aid training, general counseling, gentle discipline, and how to provide a safe hiking experience for school-age children. During the second week, children were lead on various hikes, educated about local water quality issues, and encouraged to write journal entries about their experiences. The children will participate in monthly hiking trips for the next 12 months.

An OSM/VISTA member with the Crooked Creek Watershed Association and Evergreen Conservancy helped create interpretive signs for Waterworks Park, a wetlands and recreation area located on the site of an abandoned mine treatment system, remediated wetlands, and kayak launch area. Under the direction of the Indiana County Conservation District, OSM/VISTA worked with and Indiana University of PA geography graduate student to create four panel signs on local mining history, AMD remediation, wetlands flora and fauna, and a map of the kayak water trail in the local creek. The OSM/VISTA member stated, "I am excited that I will contribute a physical installment in the area and enhance a local park made from a previous eyesore." The signs were completed and installed in the park at the end of the summer for visitors. "It is a great accomplishment to see my work in writing in a public setting." Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each proposed watershed project must clearly enhance the sustainability of the watershed organization and must contribute directly to the remediation of acid mine drainage. Candidates must be able to organize their work, work well with community groups and on their own, have an understanding of acid mine drainage remediation and the national Clean Streams program, and write well.

#### **15.255 SCIENCE AND TECHNOLOGY PROJECTS RELATED TO COAL MINING AND RECLAMATION**

##### **FEDERAL AGENCY:**

Office of Surface Mining, Department of the Interior

##### **AUTHORIZATION:**

Surface Mining Control and Reclamation Act of 1977 (SMCRA), Public Law 95-87; Federal Grant and Cooperative Agreement Act of 1977, Public Law 95-224.

##### **OBJECTIVES:**

The Office of Surface Mining Reclamation and Enforcement (OSM) Science Technology Grants Program supports three separate but related efforts:

(1) projects that develop and demonstrate improved technologies to address public safety and environmental issues related to the mining of coal and reclamation of the lands affected after mining (applied science projects),

(2) projects that encourage efforts to collect, preserve and convert into digital format, maps of the underground mines and other relevant geologic, hydrologic and biologic data that provide valuable information regarding: miner safety; mine pool evaluation; mine subsidence investigation, and protection of the public and the environment from the adverse effects of underground coal mining (underground mine map projects); and,

(3) projects that convert into digital form, mine permit data and maps related to evaluating the impacts of coal mining so that the information may be used in a geographic information system (GIS) accessible by all Federal, state, and tribal agencies for assessing impacts of coal mining and reclamation on the environment (data conversion projects). Data conversion projects may also convert existing legacy databases to modern database software, and/or provide hardware and programming assistance for states to transition to managing and using this digital data.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Projects must focus on issues related to mining in the United States and its territories. Funding will be limited to projects that can be completed without additional funding from the Office of Surface Mining (OSM). Projects that are long term in nature or larger in scope that can be accomplished with funds available this fiscal year, must be described such that OSM can identify specific measurable accomplishments associated with the requested funds.

##### **Applicant Eligibility:**

Applied Science Projects: Recipients may be any of the following: public, private, or non-profit entities; Federal, state, local or Tribal governments; and colleges, and universities located in the United States.

Mine Map Projects: Recipients may be any state, tribe, or U.S. territory. Additionally, mining must have occurred within its boundaries.

Data Conversion Projects: Recipients may be in any state or tribe where coal mining or reclamation activities authorized under SMCRA are occurring.

##### **Beneficiary Eligibility:**

Communities impacted by coal mining and reclamation of the land after mining.

##### **Credentials/Documentation:**

All proposals with commitments for applicant or partner cost sharing must be accompanied by a letter on official letterhead from the manager of the program committing these funds, acknowledging such commitment. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application SF-424 and forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," or Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals,

and Other Non-Profit Organizations," or its revisions must be used for this program. Please contact the appropriate Office of Surface Mining Reclamation and Enforcement (OSM) Regional Office for visit the web site below for details.

Details on the Applied Science solicitation are available at:  
<http://www.techtransfer.osmre.gov/NTTMainSite/appliedscience.shtm>

Details on Mine Map Projects are available at:  
<http://www.techtransfer.osmre.gov/NTTMainSite/Initiatives/UGMM/umm.shtm>

Details on Data Conversion Projects are available at:  
<http://www.tips.osmre.gov/Geospatial.shtml>

**Award Procedure:**

The OSM Director or his/her designee approves and awards all grants and/or cooperative agreements for this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Estimated from 120 to 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: This program has no statutory formula and no mandatory cost share or matching requirements. However, OSM recommends that applicants participate in the support of the project in the following manner: (1) Applied Science Projects: OSM recommends a minimum cost share of 25 percent with the applicant providing some portion of this percentage. The remainder may come from academia, industry, or other non-federal sources. (2) Underground Mine Map Projects: OSM encourages cost sharing through an advantaged score in the rating process, but cost-share is not required for the applicant to supply a proposal. (3) Data Conversion Projects: OSM encourages cost sharing, but cost share is not required for the applicant to supply a proposal.

Recommended cost share percentages can comprise contributions from any of the following: applicant, academia, industry, or other non-Federal sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grants and cooperative agreements may have a performance period of up to two years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Programmatic reports are required. Cash reports are not applicable. Progress reports are not applicable. Financial (SF-425 and SF 425A) and programmatic reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subparts C and F.

**Account Identification:**

14-5015-0-2-999.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,312,038; FY 12 est \$0; and FY 13 est \$0 - While there are no funds specifically earmarked for projects in 2012 and 2013, funding may be allocated by OSM during the year based on agency priorities.

**Range and Average of Financial Assistance:**

Applied Science 2011 Projects: Range \$184,060 to \$200,000; Average \$183,160. The FY 2011 Underground Mine Map Projects ranged from 12, 288 to \$112,941 with an average of \$31,600. Data Conversion Projects: up to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: OSM Applied Science Projects completed in FY 2011 provided final reports on new science and technology related to: (1) CO2 Flux Field Delineation for Construction on Reclaimed Mine Land; (2) Hardwood Tree Growth Using the Forestry Reclamation Approach in West Virginia; (3) Assessment of Environmental Impacts in Coal Mining Sites Using a Predictive GIS-based Environmental Mining Decision Support System (EMDSS); and (4) Field Investigation of Best Practices for Steep-Slope Mine Reclamation Employing the Forestry Reclamation Approach.

The Underground Mine Map program funded 21 projects in FY 2011 from six states in the Appalachian region, four states from the Mid-Continent Region, and four states from the Western Region. Projects funded in previous years have made thousands of previously unreachable mine maps available to the public in digital form, thereby increasing protection of the public and miner safety, environmental quality, and property from adverse effects of underground coal mines.

Data Conversion Projects were first funded under this program in FY 2011. These projects will result in high quality digital data sets related to coal mines permitted under SMCRA that Federal agencies, states and tribes may use for coordinated permitting and inspection activities. The digital data will be suitable for populating national geographic information systems like OSM's prototype GeoMine. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surface Mining Control and Reclamation Act of 1977, Public Law 95-87; as amended; and informal agency guidelines titled "Federal Assistance Manual."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Chief, Division of Reclamation Support Office of Surface Mining Reclamation and Enforcement, Department of the Interior, 1951 Constitution Ave., N.W., Washington, District of Columbia 20240 Phone: (202) 208-2868 Fax: (202) 219-0239.

**Website Address:**

<http://www.grants.gov/>

**RELATED PROGRAMS:**

15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining; 15.252 Abandoned Mine Land Reclamation (AMLR) Program; 15.253 Not-for-Profit AMD Reclamation; 15.254 Summer Watershed Intern

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Applied Science program funded a study by Virginia Tech titled "Predicting Total Dissolved Solids Release from Central Appalachian Coal Mine Spoils."

The Underground Mine Mapping program funded a project with the Pennsylvania Archives Service Center to convert a large portion of the CONSOL Energy Pennsylvania mining map collection into a publicly accessible digital database. Within this collection, there are 600 hardback maps, some of which are 25 feet long.

OSM funded a project to convert Texas' coal regulatory program data base from legacy software to a modern relational database management system. Fiscal

Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applied Science Projects funding criteria include: the level of external financial support (cost sharing), the potential for technology transfer, technical merit, the value of proposal to SMCRA programs, and if the proposal is from a Minority Higher Education Program (MHEP) institution.

Mine Map Projects funding criteria include: overall proposal quality, innovation, and viability, proposal responsiveness to a special interest topic, and the level of external financial support (cost sharing).

Data Conversion Projects funding criteria include: overall proposal quality, level of external financial support, viability, and responsiveness to agency priorities.

#### **15.406 NATIONAL PARK SERVICE CENTENNIAL CHALLENGE.**

##### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

##### **AUTHORIZATION:**

Challenge Cost Share Provision, Public Law 104-333, 16 U.S.C.; Centennial Challenge Provision (2008), FY 2008 Appropriations Act (December 17, 2007)(see H.R. Rep. No. 110-497, Division F, Title I, to accompany H. Res. 878, at 266).

##### **OBJECTIVES:**

The National Park Centennial Initiative is a ten year effort to prepare national parks for another century of conservation, preservation, and public enjoyment. Project efforts will improve parks and serve all Americans, especially our nation's youth. Centennial Challenge signature projects provide no less than fifty percent (50 percent of the total cost of each project or program is derived from non-Federal sources).

##### **TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

##### **USES AND USE RESTRICTIONS:**

For the purpose of sharing costs or services in carrying out authorized functions and responsibilities of the Secretary of Interior with respect to any unit or program of the National Park System through Centennial Challenge projects within the following five areas of emphasis: Stewardship, Environmental Leadership, Recreational Experience, Educational and Professional Excellence.

##### **Applicant Eligibility:**

Non-federal partners may include state agencies, Tribes, local governments, non-governmental organizations, private companies, and private individuals. Non-federal partners are expected to match NPS Centennial Challenge Cost Share funds at or above 1:1 for their respective projects.

##### **Beneficiary Eligibility:**

State and local governments, private, public, profit, nonprofit organizations and institutions who are positioned to contribute at least 5 percent of the value of projects included in the list of approved projects and which support the NPS Centennial Challenge.

##### **Credentials/Documentation:**

Proposals that support the goals of the NPS Centennial Challenge including commitment letters from partners demonstrating ability to contribute the required match and readiness to complete the project. Proposals include description of the project, proposed budget, commitments from recipients. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Proposals are developed in coordination with NPS managers which are then submitted through the NPS Project Management Information System (PMIS) for priority setting by a panel who recommends to Regional Directors and the NPS Director projects for approval in accordance with Centennial Challenge priorities. The approved projects are placed on an eligible list to receive funding, when available. The NPS makes the final decisions on funding. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Upon determination of funded proposals by the NPS, selected applicants will complete SF-424, SF 424B Assurances for Non-Construction.

##### **Award Procedure:**

Applicants/Proposals selected for funding are notified regarding the next steps to implement a project and are required to submit a project plan that outlines the project objectives and milestones and additional required documentation depending upon the method of project execution. A panel of NPS staff recommend approval to the NPS Director, who makes the final decision on awards.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

Projects eligible for funding are submitted up to 12 months in advance of funding determinations.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Requested funds shall not exceed 50 percent (50 percent) of eligible projects costs and shall be made on the condition that non-Federal sources, including in-kind contributions of services or materials, provide the remainder of eligible project costs.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

The project approval, execution and completion period is typically for a time period not to exceed 24 months. Specific requirements for project execution and completion are outlined in detailed project plans and budgets. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. For projects under \$100,000 the NPS will require a budget status update and project progress report on an annual basis. Projects over \$100,000 must submit quarterly reports to the Centralized Centennial Acquisitions and Financial Assistance Team. All projects and activities are monitored for progress and compliance with the use of Quarterly and Final Narrative Reports and the Financial Status Report SF-269. Recipients are required to submit an SF-270 for reimbursement payments. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Partners under cooperative agreements with the NPS for centennial projects must adhere to auditing requirements outlined in OMB Circular A-133, "Audits of States, Local Governments and Non-Profit Organizations." Partners who receive more than \$500,000 in federal awards in a year are required to have an audit conducted by a third party. The NPS will conduct reviews of a sample of Centennial Challenge projects each year to assess compliance with the program's requirements and the effectiveness of the project in advancing centennial goals. The centennial project reviews will be conducted as part of the Service's annual A-123 programmatic review process and Acquisition Management Reviews.

##### **Records:**

The recipient must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained three years after

submission for final request for reimbursement.

**Account Identification:**

14-2645-0-1-303.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 11 \$0; FY 12 est \$50,000; and FY 13 est \$50,000

**Range and Average of Financial Assistance:**

Range: N/A

Average \$0.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Future of America's National Parks, May 2007, a report to the President presenting a bold vision for our National Parks.

**Regional or Local Office:**

None.

**Headquarters Office:**

Centennial Initiative Department of the Interior, National Park Service, 1849 C Street, N.W., Washington, District of Columbia 20240 Phone: (202)208-0000

**Website Address:**

www.nps.gov/2016 .

**RELATED PROGRAMS:**

15.916 Outdoor Recreation\_Acquisition, Development and Planning; 15.921 Rivers, Trails and Conservation Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed projects and programs must: Provide for authorized activities to benefit one or more of the 391 units of the National Park System; Contribute toward at least one of the five centennial overarching goals as stated in The Future of America's National Parks; Be consistent with all Federal, Department of the Interior, and the National Park Service (NPS) management policies; and park planning, compliance, and acquisition/assistance law, regulation and policy; Require little or not additional recurring NPS operating funds to be sustainable; Have a partner(s) willing to contribute at least 50% of the project cost in cash from non-Federal sources as evidenced by a letter of commitment from the partner(s); Are for projects that support specific performance goals. Priority will be given to those identified in the centennial report, such as: address a critical, high priority need of the NPS, have a ready, willing and able partner, improve the efficiency and effectiveness of park management, operations, and employees, imaginative, innovative and collaborative in meeting centennial goals, benefit multiple parks or contribute to national initiatives, produce measurable results, and consistent with Federal assistance regulations and laws.

**15.407 KEWEENAW NATIONAL HISTORICAL PARK (NHP) AND KEWEENAW NHP ADVISORY COMMISSION PARTNER ENHANCEMENT GRANTS**

Keweenaw Heritage Grants

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Keweenaw NHPs Enabling Legislation

16 U.S.C. 410yy Specifically:

- 410yy-6 Cooperative Agreements: The Secretary, after consultation with the Commission, may enter into cooperative agreements with owners of property within the park of nationally significant historic or other cultural resources in order to provide for interpretive exhibits or programs.

- 410yy-7(a) Financial and Technical Assistance: The Secretary may provide to any owner of property within the park containing nationally significant historic or cultural resources, in accordance with cooperative

agreements or grant agreements, as appropriate, such financial and technical assistance to mark, interpret, and restore non-Federal properties within the park as the Secretary determines appropriate to carry out the purposes of this subchapter.

- 410yy-8(a)(7) Keweenaw NHP Advisory Commission Establishment and Duties: The Commission shall be authorized to carry out historical, educational, or cultural programs which encourage or enhance appreciation of the historic resources in the park, surrounding areas, and on the Keweenaw Peninsula.

**OBJECTIVES:**

To provide funds to enhance partner projects that will mark, interpret, or restore non-Federal properties.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

NPS Grants: Funding is to be used by owners of properties containing nationally significant historic or cultural resources to mark, interpret, and restore non-Federal properties within the park. The National Park Service shall have right of access at reasonable times

to public portions of the property related to the enhancement funds for the purpose of conducting visitors through such property and interpreting them to the public. No changes or alterations shall be made in such properties except by mutual agreement between the

NPS and the other parties to the grant agreement(s). The availability of discretionary funding is determined by Keweenaw NHP each fiscal year. Keweenaw NHP Advisory Commission Grants: Funding is to be used by owners or operators of properties containing local, state, or nationally significant historic or cultural resources to mark, interpret, and restore properties on the Keweenaw Peninsula. The availability of discretionary funding is determined by Keweenaw NHP Advisory Commission each fiscal year. For further information please contact the regional office.

**Applicant Eligibility:**

For NPS Grants: Owners of properties within the legislated boundaries of Keweenaw National Historical Park containing nationally significant historic or cultural resources.

For Keweenaw NHP Advisory Commission Grants: Owners or operators of property containing local, state, or nationally significant historic or cultural resources on the Keweenaw Peninsula, specifically within Houghton, Keweenaw, or Ontonagon counties, or north of M-38 in Baraga County .

**Beneficiary Eligibility:**

Owners of properties within the legislated boundaries of Keweenaw National Historical Park containing nationally significant historic or cultural resources including state and local governments; public and private nonprofit organizations; and individual, partnership, and corporate private property owners. For Keweenaw NHP Advisory Commission Grants: Owners or operators of properties on the Keweenaw Peninsula within Houghton, Keweenaw, or Ontonagon counties, or north of M-38 in Baraga County containing nationally significant historic or cultural resources including state and local governments; public and private nonprofit organizations; and individual, partnership, and corporate private property owners.

**Credentials/Documentation:**

Documentation of ownership of the subject property is required of all applicants in the form of a registered deed or presentation of the most recent tax bill. All applicants other than individual property owners are required to cite laws or by-laws that authorize the organization to accept funds. For Keweenaw NHP Advisory Commission Grants: Proof of property/project/program location, if requested. OMB. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applications will be accepted by mail or in person at the headquarters: Keweenaw NHP, ATTN: Grants Manager, 25970 Red Jacket Road, Calumet, MI 49913. Applications will be evaluated for eligibility, and then reviewed by a panel comprised of NPS staff, Advisory Commission members, and subject matter experts as appropriate to the specific grant offering. In the event that applications exceed the available grant funds, the panel will determine awards through a Choosing by Advantage (CBA) process, and may negotiate



amendments in the terms as necessary to meet program requirements. For Keweenaw NHP Advisory Commission Grants: Applications will be accepted by mail or in person at park headquarters: Keweenaw NHP Advisory Commission, ATTN: Grants Manager, 25970 Red Jacket Road, Calumet, MI 49913. Applications will be evaluated for eligibility, and then reviewed by a panel comprised of NPS staff, Advisory Commission members, and subject matter experts as appropriate to the specific grant offering. In the event that applications exceed the available grant funds, the panel will determine awards through a Choosing by Advantage (CBA) process, and may negotiate amendments in the terms as necessary to meet program requirements. Environmental compliance in accordance with the National Environmental Policy Act (NEPA) and Section 106 of the National Historic Preservation Act (NHPA) are required, and will be completed in collaboration with the NPS Interdisciplinary Team (IDT). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For NPS Grants: Eligible applicants will be required to submit a written proposal/application and an Application for Federal Assistance (SF-424) to: Keweenaw NHP, ATTN: Grants Manager, 25970 Red Jacket Road, Calumet, MI 49913, and will include a project title, property location of requested assistance, project objectives, and a budget proposal for the project reflecting federal and matching funds.

For Keweenaw NHP Advisory Commission Grants: Eligible applicants will be required to submit a written proposal/application and an Application for Federal Assistance (SF-424) to: Keweenaw NHP Advisory Commission, ATTN: Grants Manager, 25970 Red Jacket Road, Calumet, MI 49913, and will include a project title, property location of requested assistance, project objectives, and a budget proposal for the project reflecting federal and matching funds.

**Award Procedure:**

Application announcements will be posted utilizing the <http://www.grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by a panel of reviewers. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement or Grant Agreement by the Agreements Technical Representative within the time specified on the announcement. Successful applicants must register on the Central Contractor Register (CCR) website at <http://www.ccr.gov> within 15 days of notice of award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 30 - 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

No. Awards will be project-specific or for a specified time period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: For NPS Grants: The property owner/ organization must be able to provide a cash match in accordance with the prevailing legislation at the time of disbursement. Current legislative match requirements will be posted with specific grant opportunity. For Keweenaw NHP Advisory Commission Grants: The property owner or operator must be able to provide a one-to-one match, with up to 100% of the match being in-kind. For Advisory Commission grants awarded within the designated residential properties set-aside, the property owner must provide a three-to-one cash match (i.e. - \$3 of property owner cash for each \$1 of Advisory Commission grant funds). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project-specific basis or within a specified time period. Most projects are completed within months, but may vary depending on complexity and other factors. See the following for information on how assistance is awarded/released: Method of awarding/releasing assistance: lump

sum; for NPS grants, on a reimbursable basis.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with mutually agreed upon scope of work. Specific projects or activities for which funds are awarded shall be tracked and reported by submittal of Standard Form 270, and an annual submittal of Standard Form 425 the Federal Financial Report as outlined in 2 CFR 215.52. Additionally, grant recipients will be required to submit yearly narrative summary of accomplishments report to the National Park Service at Keweenaw NHP or the Keweenaw NHP Advisory Commission, as appropriate, at the end of each Fiscal Year until the project is completed and a final report is submitted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement or Grant Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$100,000; FY 12 est \$100,000; and FY 13 est \$100,000 - Keweenaw NHP Advisory Commission. (Project Grants (Discretionary)) FY 11 \$37,000; FY 12 est \$50,000; and FY 13 est \$50,000 - Project Grants (Discretionary) - Funds will be obligated within the fiscal year of the award. Nothing in the Agreements will be construed as binding the NPS or the Keweenaw NHP Advisory Commission to expend in any fiscal year any sum in excess of the appropriation made by Congress for purposes of the Agreements in that fiscal year.

**Range and Average of Financial Assistance:**

NPS Financial Assistance  
Range: \$0 to \$50,000  
Average \$0  
Keweenaw NHP Advisory Commission Financial Assistance  
Range: \$0 to \$100,000  
Average \$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The NPS awarded 5 grants totaling \$37,600; the Keweenaw NHP Advisory Commission awarded 27 grants totaling \$112,500; 31 projects were funded (one project was co-funded) through the program. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information on Keweenaw NHP grant programs is available at <http://www.nps.gov/kewe/grants> .

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Baker, 25970 Red Jacket Road, Calumet, Michigan 49913 Email: [thomas\\_m\\_baker@nps.gov](mailto:thomas_m_baker@nps.gov) Phone: (906) 483-3040.

**Website Address:**

<http://www.nps.gov/kewe/grants> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: NPS projects: Replace non-historic doors; provide accessibility; replace roof; underground tour safety. Advisory Commission projects: Interpretive tour, signs, and maps; cornice rehabilitation; preservation and storage of collections; roof replacements; rehabilitation of museum building; surfboat hull repair. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

- Demonstrated ability of the organization or individual to successfully complete the project.
- Past performance in Federal Financial Assistance programs.
- Organization's ability to provide the required match.
- For NPS grants, ability to provide public access in accordance with Keweenaw NHP's enabling legislation. 16 U.S.C. 410yy-6(1) and 7(1).
- Ability to comply with the Secretary of the Interior's Standards for the Preservation of Historic Properties.
- Other specific project criteria developed for each grant cycle.

**15.421 ALASKA COASTAL MARINE INSTITUTE**

(ALASKA CMI)

**FEDERAL AGENCY:**

The Bureau of Ocean Energy Management, Regulation, and Enforcement , Department of the Interior

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Bureau of Ocean Energy Management (BOEM) provides major economic and energy benefits on a national and local level to the taxpayers, states and the American Indian community. The BOEM oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. BOEM continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. Outer Continental Shelf Lands Act (OCSLA) Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Alaska Coastal Marine Institute is to use highly qualified scientific expertise at local levels to collect and disseminate environmental information needed for OCS oil and gas and marine minerals decisions; address local and regional OCS-related environmental and resource issues of mutual interest; and strengthen the BOEM-State partnership in addressing OCS oil and gas and marine minerals information needs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Environmental Studies Program allocates up to \$750,000 per year for cooperative research at the University of Alaska. The University of Alaska invites proposals that are reviewed by a Technical Steering Committee including the University, State of Alaska, and BOEM, and funds individual awards. Applications must be for scientific research projects which are within the BOEM' area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas,

and marine minerals projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

University of Alaska may make application for support by a named principal investigator. Non-UA scientists may participate in collaboration with a UA principal investigator.

**Beneficiary Eligibility:**

Research scientists, Federal, State and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicants qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental Impact Statements are not required for these projects. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals are requested for mission-relevant research likely to provide needed information for OCS oil and gas resource management decisions. Proposals must include a full statement of work, estimated budget, and resumes. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, outreach, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that 6-12 applications will be received and 6 awards will be granted in FY 2012.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 150 to 360 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Recipients share costs on a one-dollar-for-one-dollar contribution across the program. In any fiscal year, the collective CMI match commitment must equal or exceed BOEM contributions. On rare occasions exceptions may be considered. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 5 years, with funding awarded as a lump sum, or added as funds become available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly progress reports and an annual report on the progress of the project

funded under the cooperative agreement and presentations at a session of the publicly held BOEM Information Transfer Meetings are required. A draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required for each award. Dissemination of the research results conducted under the CMI at professional society meetings and symposia is encouraged. Cash reports are not applicable. Progress reports are not applicable. Annual and final Federal Financial Reports using OMB Standard Form SF-425 are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$727,000; FY 12 est \$750,000; and FY 13 est \$750,000

**Range and Average of Financial Assistance:**

Range is \$48,000 to \$500,000; Average \$169,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011 three new projects were awarded from seven proposals received. Several CMI projects are underway to improve understanding of: ocean circulation and physical transport processes and their role in fate and behavior of potential spilled oil in areas offshore Alaska; marine biological resources - their distribution, health and habitat use; background levels of chemicals that might be found in Alaska native subsistence resources and those that can be associated with oil and gas development activities. It is expected that a similar number of new projects will be developed in FY 2012 and FY 2013 subject to the availability of funds. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Heather Crowley, Telephone: 907-334-5281; Fax 907-334-5242; Email address: heather.crowley@boem.gov.

**Headquarters Office:**

Rodney Cluck Division of Environmental Sciences, Bureau of Ocean Energy Management, 381 Elden Street, MS-4041, Herndon, Virginia 20170 Email: rodney.cluck@boem.gov Phone: (703) 787-1087 Fax: (703) 787-1053

**Website Address:**

<http://www.boem.gov/Environmental-Stewardship/Environmental-Studies/Alaska-Region/Index.aspx>

**RELATED PROGRAMS:**

15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI); 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Population Connectivity and Larval Dispersal in Bering, Chukchi and Beaufort Sea Snow Crab Populations: Estimating Spatial Scales of Disturbance Impacts

Epifaunal Communities in the Central Beaufort Sea

Satellite-Tracked Drifter Measurements in the Northeast Chukchi Sea

Population Assessment of Snow Crab, *Chionoecetes opilio*, in the Chukchi and Beaufort Seas including Oil and Gas Lease Areas. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of BOEM, and non-BOEM scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.422 LOUISIANA STATE UNIVERSITY (LSU) COASTAL MARINE INSTITUTE (CMI)**

(LSU CMI)

**FEDERAL AGENCY:**

The Bureau of Ocean Energy Management, Regulation, and Enforcement, Department of the Interior

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Bureau of Ocean Energy Management (BOEM) provides major economic and energy benefits on a national and local level to the taxpayers, States and the American Indian community. The BOEM oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. BOEM continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. Outer Continental Shelf Lands Act Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Louisiana State University Coastal Marine Institute (CMI) is to use highly qualified scientific expertise at local levels to collect and disseminate environmental information needed for OCS oil and gas and marine minerals decisions; address local and regional OCS-related environmental and resource issues of mutual interest; and strengthen the BOEM-State partnership in addressing OCS oil and gas and marine minerals information needs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Environmental Studies Program allocates \$1,000,000 for cooperative research via LSU. Applications must be for scientific research projects which are within the BOEM area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, marine minerals and alternate energy development projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

To apply for a research award, the recipient is asked to provide the name of the Principal Investigator. If an applicant other than LSU wants to apply, they must do so in collaboration with an LSU research scientist.

**Beneficiary Eligibility:**

Research scientists, Federal, State and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicants qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects must be provided. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants shall post their applications on Grants.gov. Proposals must include a full statement of work, estimated budget, and resumes. The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subpart F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that twelve applications will be received and six awards will be granted in FY 2012.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 180 to 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Recipients share costs on a dollar-for-dollar contribution across the program. In any fiscal year, the collective LSU CMI match commitment must equal or exceed BOEM contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 5 years, with funding awarded as a lump sum, or added as funds become available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly progress reports and an annual report on the progress of the project funded under the cooperative agreement and presentations at a session of the publicly held BOEM Information Transfer Meetings are required. A draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required for each award. Dissemination of the research results conducted under the CMI at professional society meetings and symposia is encouraged. Cash reports are not applicable. Progress reports are not applicable. Annual and financial reports using the Federal Financial Report SF-425 are required. Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$184,000; FY 12 est \$1,000,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

Range is \$80,000 to \$400,000; Average \$190,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Of six proposals received in FY 11, one received funding. More importantly, the LSU CMI in FY 2011 has thirty-three ongoing research projects that gather scientific information to describe the social, economic and cultural benefits and burdens associated with offshore energy development in the Gulf of Mexico. Other studies are underway which characterize the marine ecosystem and elucidate ecosystems processes. Fiscal Year 2012: Many of these efforts will continue in FY 2012 and FY 2013. Additionally, new projects will be undertaken subject to the availability of funds. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Environmental Studies Program is described in 30 CFR Chapter II Subchapter B Subpart M Studies. Quarterly reports are available at <http://cmi.lsu.edu/reports.asp>. Final reports are available online in the Bureau of Ocean Energy Management Environmental Studies Program Information System at: <http://www.boem.gov/Environmental-Stewardship/Environmental-Studies-Program-Information-System.aspx>

**Regional or Local Office:**

See Regional Agency Offices. Melanie Damour, Telephone: 504-736-2783; Fax: 504-736-2901; E-mail: [Melanie.Damour@BOEM.gov](mailto:Melanie.Damour@BOEM.gov).

**Headquarters Office:**

Rodney Cluck Division of Environmental Sciences, Bureau of Ocean Energy Management, 381 Elden Street, MS-4041, Herndon, Virginia 20170 Email: [rodney.cluck@boem.gov](mailto:rodney.cluck@boem.gov) Phone: (703) 787-1087 Fax: (703) 787-1053.

**Website Address:**

<http://www.boem.gov>

**RELATED PROGRAMS:**

15.421 Alaska Coastal Marine Institute; 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: New Invasive Marine Species Colonizing Oil/Gas Platforms in the northern Gulf Mexico: Verification and Examination of Spread; Biomass and Mass Balance Isotope Content of Seep Populations on the Upper Slope of Gulf of Mexico Determined from Archived Samples; Improving Capacity for Institutional Analysis of the Oil and Gas Industry for the Gulf of Mexico Region. Fiscal Year 2012: No Current Information Available. Fiscal Year 2013: No Current Information Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of BOEM, and non-BOEM scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.423 MINERALS MANAGEMENT SERVICE (MMS) ENVIRONMENTAL STUDIES PROGRAM (ESP)**

**FEDERAL AGENCY:**

The Bureau of Ocean Energy Management, Regulation, and Enforcement ,  
Department of the Interior

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Bureau of Ocean Energy Management (BOEM) provides major economic and energy benefits on a national and local level to the taxpayers, states and the American Indian community. The BOEM oversees the exploration and development of oil, natural gas and other minerals and renewable energy alternatives on the nations outer continental shelf. BOEM continues to look for better ways to serve the American people and to ensure that the nation receives the best value for its resources now and into the future. The program not only supports decisions made within the Department of Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. The Outer Continental Shelf Lands Act (OCSLA) Section 1346 mandates the conduct of environmental and socioeconomic studies needed for the assessment and management of environmental impacts on the human, marine, and coastal environments which may be affected by oil and gas or other mineral development. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purpose of the Environmental Studies Program is to obtain the information needed for the assessment and the management of environmental impacts; to predict impacts on marine biota; and to monitor the human, marine, and coastal environments to provide time series and data trend information.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The assistance can be used to conduct environmental research to satisfy the information needs associated with oil and gas, alternate energy and marine mineral development on the outer continental shelf. Applications must be for scientific research projects which are within the BOEM' area of responsibility. The majority of funds are used to support research that will enhance understanding of long-term effects of oil and gas, marine minerals and alternate energy development projects. Funds can also be used for attendance at national conferences for the dissemination of project results. Funds are not normally used for capitalization.

**Applicant Eligibility:**

State agencies and public universities may apply. More than one institution may collaborate in the preparation of an application for assistance.

**Beneficiary Eligibility:**

Research scientists, Federal, state and local decision-makers, Native American Organizations, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicant's qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Applicants should consult the office or official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants are encouraged to post their applications on [www.grants.gov](http://www.grants.gov). The standard SF-424 application forms required by OMB Circular A-102, 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12, Subparts C and F, or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that fourteen applications will be received and five cooperative agreement awards will be granted in FY 2012.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 - 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals can be made through submission and approval of a project agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: No statutory requirements. Cost sharing of 1:1 is encouraged.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 8 years, with funding awarded as a lump sum, or added as funds become available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly progress reports; a presentation at periodic BOEM Information Transfer Meetings; a draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required. Dissemination of the research results at professional society meetings and symposia is encouraged. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports using the Federal Financial Report SF-425 are also required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$8,000,000; FY 12 est \$7,700,000; and FY 13 est \$8,000,000

**Range and Average of Financial Assistance:**

Range is \$100,000 to \$5,600,000; Average \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fourteen projects received funding in FY 2011 ranging from studies of unique marine ecosystems of the Alaska Chukchi and Beaufort Seas to studies of potential sensitive biological features surrounding shelf edge topographic banks in the northern Gulf of Mexico. The projects undertaken represent the shared values and sense of stewardship for living and historic cultural resources and environmental protection. Fiscal Year 2012: In FY 2012 and FY 2013 another 6-10 projects may be undertaken subject to the availability of funds. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Environmental Studies Program is described in 30 CFR Chapter II Subchapter B Subpart M-Studies. Final reports are available at online in the Bureau of Ocean Energy Management Information System at: <http://www.boem.gov/Environmental-Stewardship/Environmental-Studies-Program-Information-System.aspx>

**Regional or Local Office:**

None.

**Headquarters Office:**

Rodney Cluck Bureau of Ocean Energy Management, 381 Elden Street, MS-4041, Herndon, Virginia 20170 Email: [rodney.cluck@boem.gov](mailto:rodney.cluck@boem.gov) Phone: (703) 787-1087 Fax: (703) 787-1053

**Website Address:**

<http://www.boem.gov>

**RELATED PROGRAMS:**

15.421 Alaska Coastal Marine Institute; 15.422 Louisiana State University (LSU) Coastal Marine Institute (CMI)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Hanna Shoal Ecosystem Study; Wading Shorebirds Habitats; Renewable Energy in situ Power Cable Observation; Shelf-Slope Sediment Exchange in the Northern Gulf of Mexico: Application of Numerical Models for Extreme Events; Commercial Fishing Hang Data as a Proxy for Locating Shipwreck Sites off the Mid-Atlantic Coast. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of BOEM, and non-BOEM scientists (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel, including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.424 MARINE MINERALS ACTIVITIES**

(Marine Minerals Activities)

**FEDERAL AGENCY:**

The Bureau of Ocean Energy Management, Regulation, and Enforcement, Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, 43 U.S.C. 1331.

**OBJECTIVES:**

To evaluate OCS sand deposits for coastal restoration and beach nourishment needs, and to foster good working relationships regarding OCS mineral issues with coastal States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The funds must be spent for OCS sand activities and not inside State waters. These cooperative agreements are awarded to assist States in order to find sand supplies for beach nourishment projects.

**Applicant Eligibility:**

Proposals are received from coastal States in need of coastal restoration.

**Beneficiary Eligibility:**

State agencies and organizations participating in the project, as well as the general public.

**Credentials/Documentation:**

States submit proposals to the BOEM which furnish evidence of the applicant's qualifications for performance of the proposed research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Qualified applicants attend a workshop or conference held by BOEM, and define their requirements for the upcoming year. At this time the applicants and the BOEM decide which projects will be funded for the upcoming year. Applicants should consult the office of official designated as the single point of contact in their State to find out if the State has selected this program for review and for information on the process the State requires when applying for Federal assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The standard SF-424 application forms must be used for this program. Applicants will be asked to submit their proposals electronically through Grants.gov.

**Award Procedure:**

An internal BOEM review of the State's proposal is conducted including convening a panel to discuss the proposals and making the final decision on the funding for the project. A notification of a cooperative agreement award is issued so the project can begin.

**Deadlines:**

Dec 03, 2012 The first Monday of December of each year or as soon as the BOEM is given funding.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects that were approved and funded during the previous fiscal year may be submitted as renewals for subsequent years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Leasing Division Marine Minerals Program encourages a 1-to-1 match of each Federal dollar with a nonfederal dollar. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual and final technical are required. Cash reports are not applicable. Required. Annual and final financial reports using the OMB SF-425 form are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-0-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$220,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$30,000 to \$760,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: One agreement awarded to U.S. Army Corps on Engineers-Charleston District. Fiscal Year 2012: No current information available. Fiscal Year 2013: No current information available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations include the OCS Lands Act, Endangered Species Act, Magnuson-Stevens Fisheries Conservation Act, the National Environmental Policy Act (NEPA) of 1969, and the Coastal Zone Management Act.

**Regional or Local Office:**

See Regional Agency Offices. New Orleans Office: BOEM, GOM OCS Region, 1201 Elmwood Park Blvd., New Orleans, LA 70123-2394; Pacific Office: BOEM, 770 Paseo Camarillo, 2nd Floor, Camarillo, CA 93010.

**Headquarters Office:**

Chief BOEM, Leasing Division, 381 Elden Street, MS-4010, Herndon, Virginia 20170 Phone: (703) 787-1215

**Website Address:**

<http://www.boem.gov/MarineMineralsProgram>

**RELATED PROGRAMS:**

15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Welfare economics of using OCS sand for beach nourishment. Fiscal Year 2012: No current information available. Fiscal Year 2013: No current information available.

**CRITERIA FOR SELECTING PROPOSALS:**

Cost of the project is the most important criteria followed by relevance to State and Federal needs, and technical ability of the State agency.

**15.427 FEDERAL OIL AND GAS ROYALTY MANAGEMENT**

(FOGRMA)

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Federal Oil and Gas Royalty Management Act of 1982, Public Law 97-451, as amended.

**OBJECTIVES:**

To ensure that all oil, gas, and solid minerals originated on the public lands and on the Outer Continental Shelf are properly accounted for under the direction of the Secretary of the Interior, and for other purposes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All projects are restricted to State and Tribal Governments. No discretionary funds are available under this program.

**Applicant Eligibility:**

State and Tribal Governments as specified in Title II of the Federal Oil and Gas Royalty Management Act of 1982, as amended.

**Beneficiary Eligibility:**

States and Federally recognized Tribal Governments that receive funds collected as a result of the compliance activities on Federal and Indian mineral leases.

**Credentials/Documentation:**

Must follow 30 CFR Parts 1200 to 1699 to end Mineral Resources, General Accountability Offices (GAO) Generally Accepted Government Audit Standards (Yellowbook), and Office of Natural Resources Revenue Audit and Compliance Procedures. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point-of-contact in his or her State for more information on the process the State requires in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. For grants awarded, the standard application forms furnished by the Federal agency as required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" will apply. Also, reference the procedures outlined in 30 CFR 1227.103 entitled, "What must a States delegation proposal contain?" For Indian tribes reference the procedures outlined in 30 CFR 1228.100 entitled, "Entering into an Agreement."

**Award Procedure:**

Projects are reviewed at the Office of Natural Resources Revenue (ONRR) State and Tribal Support (STS). Program level and funding recommendations are made through each State and Tribe's annual work plan and budget. Final budget approvals rest with the ONRR Director's Washington Office.

**Deadlines:**

Apr 01, 2012 For recipients on the Federal fiscal year cycle, applications are due on July 1st of each year. For recipients operating on an alternative fiscal year cycle, such as the State fiscal year cycle, applications are due 90 days prior to award.

**Range of Approval/Disapproval Time:**

New projects are approved through the project review and budget cycle that normally requires 90 days to receive funding.

**Appeals:**

Not Applicable.

**Renewals:**

For State agreements, 30 CFR 1227.110 entitled, When and for how long are delegation agreements effective? For Tribal agreements, 30 CFR 1228.101 entitled, Terms of Agreement.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No specific restrictions, however, projects are funded on a year to year basis, and funds are expended during a particular fiscal year. See the following for information on how assistance is awarded/released: Funding is drawn down either monthly or quarterly throughout the fiscal year.

**Reports:**

No program reports are required. Cash reports are not applicable. Progress reports are required quarterly. Federal Financial Reports (SF 425) are required at the end of the yearly performance period. Performance reports are required quarterly.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by ONRR. There is no fixed records schedule. Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

**Account Identification:**

14-1917-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$10,900,000; FY 12 est \$11,000,000; and FY 13 est \$11,100,000

**Range and Average of Financial Assistance:**

Awards range from \$200,000 to \$3 million. Average is \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: State and Tribal compliance activities contributed to meeting Government Performance and Results Act (GPRA) goals for ONRR. Fiscal Year 2012: For fiscal year 2012, 16 applications were received and awarded. Fiscal Year 2013: No available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ONRRs cooperative (tribal) and delegated (State) audit program is basically guided by the provisions in 30 CFR Parts 1227 and 1228. States and Tribes use the guidance contained in the GAO Yellowbook and two ONRR procedural manuals for audits and compliance activities.

**Regional or Local Office:**

See Regional Agency Offices. Ms. Heidi Badaracco, P.O. Box 25165, Mail Stop 64110C, Denver, CO 80225-0165. Telephone: (303) 231-3434, Fax: (303) 445-9897, Email: heidi.badaracco@onrr.gov.

**Headquarters Office:**

Director Office of Natural Resources Revenue (ONRR) 1801 Pennsylvania Ave, NW, 4th Floor, Washington, District of Columbia 20006 Phone: (202) 254-5573

**Website Address:**

<http://www.onrr.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Cooperative agreements with States and Tribes to conduct audits, investigations, and inspections related to mineral payments made to ONRR which are attributable to leased Federal and Indian lands within State and Tribal boundaries and on the Outer Continental Shelf. Fiscal Year 2012: FY 2012 Cooperative Agreements with ONRR: States: Alaska, California, Colorado, Montana, New Mexico, North Dakota, Oklahoma, Texas, Utah, Wyoming Tribes: Blackfeet, Navajo, Shoshone and Arapahoe, Southern Ute, Northern Ute, Ute Mountain Ute. Fiscal Year 2013: Not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on a balanced review including relevance to program objectives, merit, and cost effectiveness.

**15.428 MARINE GAS HYDRATE RESEARCH ACTIVITIES**

**FEDERAL AGENCY:**

The Bureau of Ocean Energy Management, Regulation, and Enforcement , Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf (OCS) Lands Act, 43 U.S.C. 1331, Gas Hydrates Research Act and the Marine Minerals Research Act.

**OBJECTIVES:**

To characterize and monitor gas hydrate deposits and environmental conditions on OCS Block Mississippi Canyon 118 (MC-118) in the Gulf of Mexico.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The funds must be used for gas hydrate research activities in the OCS of the Gulf of Mexico, specifically for a permanent gas hydrates monitoring station in Block MC-118. The cooperative agreements are awarded to the Center for Marine Resources and Environmental Technology (CMRET) and the Gulf of Mexico Gas Hydrates Research Consortium (GOMGHRC), based at the University of Mississippi.

**Applicant Eligibility:**

Proposals are received from the CMRET (and qualified subcontractors through CMRET) for research and scientific sensory equipment for the monitoring station. Applicants must have expertise in marine gas hydrates.

**Beneficiary Eligibility:**

Organizations participating in the project, as well as the general public.

**Credentials/Documentation:**

Technical Proposals are submitted to the BOEM which furnish evidence of the applicant's qualifications for performance of the proposed research. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants attended workshops and general meetings of the Gulf of Mexico Gas Hydrates Research Consortium held by the CMRET at the University of Mississippi. Research requirements are developed at these meetings for the upcoming year. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The standard SF-424 application forms must be used for this program. Applicants will be asked to submit their proposals electronically through Grants.gov.

**Award Procedure:**

An internal BOEM review of the proposals is conducted including convening a panel to discuss the proposals and making the final decision on the funding for the project. A notification of a cooperative agreement award is issued so the project can begin.

**Deadlines:**

Jun 01, 2009 The first Monday of June of each year, as long as the BOEM has received specific funding for this program.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects that were approved and funded during the previous fiscal year may be submitted as renewals for subsequent years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The BOEM Gas Hydrates Research Program encourages matched contributions from other interested Federal agencies. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annual and final technical reports are required. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports using the



OMB SF-425 form are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations", nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 or more in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-1917-0-1-302.

**Obligations:**

(Cooperative Agreements) FY 11 \$125,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$0 to \$900,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: To date, about 2/3 of the components of the monitoring station have been placed at the site and data are being retrieved. The site has also been extensively surveyed and sampled.

In FY 11, a photo sled and camera system were deployed. Fiscal Year 2012: No funding. Fiscal Year 2013: No funding.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations include the OCS Lands Act, Gas Hydrates Research Act, and the Marine Minerals Research Act (1996).

**Regional or Local Office:**

See Regional Agency Offices. BOEM New Orleans Office, GOM OCS Region, 1201 Elmwood Park Blvd., New Orleans, LA 70123-2394.

**Headquarters Office:**

Matthew Frye BOEM Resource Evaluation Division, 381 Elden Street, MS-4070, Herndon, Virginia 20170-4817 Phone: (703) 787-1514

**Website Address:**

<http://www.boem.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Research work and the development and placement of sensory components for the gas hydrates monitoring station at Block MC-118 was funded by the BOEM in 2001-2008. Fiscal Year 2012: Information not available. Fiscal Year 2013: Information not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**15.429 STATE SELECT**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Lands, 43 U.S.C 852 (a)(4); Minerals, Lands and Mining, 30 U.S.C 191a.

**OBJECTIVES:**

ONRR shares 90 percent of oil and gas royalties with the State to be paid monthly subject to late disbursement interest.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

No specific restrictions on use.

**Applicant Eligibility:**

Revenue from public land leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Lease lands must be located within State selected area.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Monthly automatic payment distribution.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5003-0-0-000.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$532,894; FY 12 est \$576,000; and FY 13 est \$594,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resource Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.430 8(G) STATE COASTAL ZONE****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, Title 43, Part 256.47(g), 30 U.S.C 191a; Public Lands, 43 U.S.C 1337.

**OBJECTIVES:**

ONRR shares 27 percent of mineral leasing revenue derived from any lease issued after September 18, 1978, of any Federal tract which lies wholly or partially within 3 nautical miles of the Seaward boundary of any coastal state. Shared revenue is paid monthly.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

No specific restrictions.

**Applicant Eligibility:**

Revenue from qualified leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Leased Outer Continental Shelf Lands must be located within the 8(g) zone of a coastal state.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-6707-0-0-000.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$40,993,173; FY 12 est \$42,661,000; and FY 13 est \$44,207,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211, P.O. Box 25165, Denver Colorado 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.431 ALASKA STATE SELECT****FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Lands; January 12, 1990 Settlement, 43 U.S.C 1635(l).

**OBJECTIVES:**

ONRR shares 100 percent with the State of Alaska to be paid monthly subject to late disbursement interest for contracts, leases, permits, rights-of-way, or easements under Section 6 of the Alaska Statehood Act.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No specific restrictions on use.

**Applicant Eligibility:**

Revenue from effected leases will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Limited to Leases A-028056, A-028063, A-028135, A-028143, A-028103, A-028140, A-19230, A028055, and A-028047.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5003-0-0-000.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$108,060; FY 12 est \$117,000; and FY 13 est \$120,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver Colorado 80225-0165.

**Headquarters Office:**

Director U.. Department of Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240  
Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.432 CALIFORNIA REFUGE ACCOUNT**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Lands; Settlement agreement dated March 25, 1997, 43 U.S.C 1337(g)(2), (3).

**OBJECTIVES:**

ONRR shares 40.87 percent with the State of California.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No specific restrictions on use.

**Applicant Eligibility:**

Revenue from effected land leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

The State shares 38 percent of well production attributable to the portion of the well within 500 feet of the State/Federal boundary, 62 percent outside the 500 feet. Consequently, the total State share of the revenue equals 40.87 percent.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Distributions are made accordance with law.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-6707-0-0-000 - 14X6707.

**Obligations:**

(Direct Payments for Specified Use) FY 11 Not Available; FY 12 est \$3,360; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.433 FLOOD CONTROL ACT LANDS**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, 30 U.S.C. 191(a), 355(b), 33 U.S.C 701c-3, 191(a).

**OBJECTIVES:**

ONRR shares 75 percent of mineral leasing revenue with the State, paid monthly and is subject to late disbursement interest.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To be used as the State legislature may prescribe for the benefit of public schools and public roads of the county or counties in which such property is situated, or for defraying any of the expenses of county government in such

county or counties, including public obligations of levee and drainage districts for flood control and drainage improvements.

**Applicant Eligibility:**

Revenue from acquired Flood Control land leasing will trigger automatic payment distribution computed in accordance with the law.

**Beneficiary Eligibility:**

Leased acquired lands must be located within the State.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by law.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5248-0-0-000.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$22,936,111; FY 12 est \$18,871,000; and FY 13 est \$19,395,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.436 LATE DISBURSEMENT INTEREST**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Minerals, Lands and Mining, Public Law 108-447, 30 U.S.C 1721 (b).

**OBJECTIVES:**

ONRR pays late disbursement interest on subject payments made to States after the due date.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No specific restrictions on use.

**Applicant Eligibility:**

Late disbursements will trigger automatic payment distribution computed in accordance with the Law.

**Beneficiary Eligibility:**

ONRR pays late disbursement interest on subject payments made to States after the due date.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

The distributions are automatic and are computed based on receipts.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5003-0-0-000 - 14X5003.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$53,715; FY 12 est \$58,000; and FY 13 est \$60,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This is a revenue sharing program. No activity is required to be reported. Fiscal Year 2012: Not applicable. Fiscal Year 2013: Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.439 NATIONAL PETROLEUM RESERVE - ALASKA**

**FEDERAL AGENCY:**

Office of Natural Resources Revenue, Department of the Interior

**AUTHORIZATION:**

Public Lands, 43 Stat. 3231.5(f); Public Health and Welfare, 42 U.S.C 6508.

**OBJECTIVES:**

ONRR shares 50 percent of mineral leasing revenue with the State of Alaska, to be paid monthly (oil and gas royalties) subject to late disbursement interest. Other than oil and gas royalties are paid semi-annually.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To be used for (1) planning; (2) construction, maintenance, and operation of essential public facilities; and (3) other necessary provisions of public service,

giving priority to use by subdivisions of the State most directly or severely impacted by development of oil and gas leasing.

**Applicant Eligibility:**

Revenue from public land leasing will trigger automatic payment distribution computed in accordance with the Law.

**Beneficiary Eligibility:**

Lease lands must be located in the National Petroleum Reserve-Alaska.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary.

**Award Procedure:**

Automatic distribution is made as authorized by Law.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

14-5045-0-0-000 - 14X5045.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$2,958,857; FY 12 est \$2,660,000; and FY 13 est \$2,710,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Department of the Interior, Office of Natural Resources Revenue, Financial Management, Denver Federal Center, Building 85, MS 61211B, P.O. Box 25165, Denver, CO 80225-0165.

**Headquarters Office:**

Director U.S. Department of the Interior, Office of Natural Resources Revenue, 1849 C Street, NW, Mail Stop 60000B, Washington, District of Columbia 20240 Phone: (202) 254-5573

**Website Address:**

<http://www.ONRR.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This is a revenue sharing program. No activity is required to be reported. Fiscal Year 2012: Information is not available. Fiscal Year 2013: Information is not available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.441 SAFETY AND ENVIRONMENTAL ENFORCEMENT RESEARCH AND DATA COLLECTION FOR OFFSHORE ENERGY AND MINERAL ACTIVITIES**

Office of Offshore Regulatory Programs (OORP)

**FEDERAL AGENCY:**

The Bureau of Ocean Energy Management, Regulation, and Enforcement , Department of the Interior

**AUTHORIZATION:**

43 U.S.C. 1345 (e); 43 U.S.C. 1346 Section 20.

**OBJECTIVES:**

The Bureau of Safety and Environmental Enforcement (BSEE) program provides major economic and energy benefits on a national and local level to the taxpayers and states. The Agency oversees the exploration and development of oil, natural gas and other materials and renewable energy alternatives on the Nation's outer continental shelf. BSEE continues to look for better ways to serve the American people and to ensure that the nation receives the best oversight and regulation of National resource development now and into the future. The program not only supports decisions made within the Department of the Interior, but also provides coastal states and local governments with the information necessary to ensure that all stages of offshore energy and mineral activities are conducted in a manner to protect both the human and natural environments. The Outer Continental Shelf Lands Act (OCSLA) Sections 1347 and 1348 respectively mandate the development and enforcement of regulations that protect safety, health and the environment. OCSLA Section 1345 authorizes the use of cooperative agreements with affected States to meet the requirements of OCSLA, including sharing of information, joint utilization of available expertise, formation of joint monitoring arrangements to carry out applicable Federal and State laws, regulations, and stipulations relevant to outer continental shelf operations both onshore and offshore. The purposes of the Office of Offshore Regulatory Program (OORP) is to obtain the information needed to improve the knowledge, practices, and technologies used to promote operational safety and pollution prevention for offshore oil and gas activities and alternate energy projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The assistance can be used to conduct technical research to satisfy the information needs associated with oil and gas, alternate energy and marine animal development on the outer continental shelf. Applications must be for technical research projects which are within the BSEE area of responsibility. The majority of funds are used to support research that will enhance understanding of exploration and production techniques to enhance safe operations and oil-spill prevention and cleanup from oil and gas, marine minerals, and alternate energy development projects. Funds can be also used for attendance at national conferences for the dissemination of project results.

Funds are not normally used for capitalization.

**Applicant Eligibility:**

State agencies and public universities may apply. More than one institution may collaborate in the preparation of an application for assistance.

**Beneficiary Eligibility:**

Research scientists, Federal, State and local decision-makers, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Evidence of the applicant's qualifications for performance of the proposed research including past professional publications, resumes, and lists of past projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Limited discussions regarding funding availability and program interest are permitted. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants are encouraged to post their applications on [www.grants.gov](http://www.grants.gov). The standard SF-424 application forms required by 2 CFR Part 215.12, and the Department of the Interior Code of Federal Regulations at 43 CFR Part 12 or its revisions, must be used.

**Award Procedure:**

Awards are made on the basis of a competitive peer review of proposals by a panel consisting of government research managers and external reviewers, as appropriate. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts. Notification of an award is issued. It is anticipated that one to two applications will be received and one to two cooperative agreement awards will be granted in FY 2012.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 - 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals can be made through submission and approval of a project agreement.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost sharing of 1:1 is encouraged.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for 1 to 5 years, with funding awarded as a lump sum, or added as funds become available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Quarterly reports; a draft final, proof copy, and final report; draft and final technical summary; articles based on the research published in journals, and presentation slides are required; also possibly a presentation at a BSEE public meeting. Dissemination of the research results at a professional society meeting and symposia is encouraged. Cash reports are not applicable. Progress reports are not applicable. Annual financial reports using the Federal Financial Report SF-425 are also required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

00-0000-0-0-000 - EEEE200000.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$200,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$100,000 to \$700,000; Average \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Offshore Regulatory Programs are described in 30 CFR 250, Oil and Gas and Sulphur Operations in the Outer Continental Shelf. Final reports are available online in the BSEE website at: <http://www.bsee.gov/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Keith Good 381 Elden Street, MS-E3313, Herndon, Virginia 20170 Email: [keith.good@bsee.gov](mailto:keith.good@bsee.gov) Phone: (703) 787-1611 Fax: (703) 787-1555

**Website Address:**

<http://www.bsee.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of BSEE, and non-BSEE scientists/engineers (government, public and private sector as appropriate), review and evaluate proposals. Criteria for judging proposals include mission relevance, technical merit, and the quality and appropriateness of the personnel, including past performance and publication record, project management, logistics plan, safety management, permits and interagency coordination, budget/matching funds, and where appropriate, minimization of impacts.

**15.504 WATER RECLAMATION AND REUSE PROGRAM**

Title XVI Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Reclamation Wastewater and Groundwater Study and Facilities Act, Title XVI, Public Law 102-575, as amended; Reclamation Recycling and Water Conservation Act of 1996, Public Law 104-266; Oregon Public Lands Transfer and Protection Act of 1998, Public Law 105-321; Consolidated Appropriation Act of 2000, Public Law 106-544; Hawaii Water Resources Act of 2000, Public Law 106-566; Lakehaven Utilities District, WA, Project, 2002, Public Law 107-344; Consolidated Appropriations Resolution, 2003, Public Law 108-7; San Diego Creek Watershed, CA, Project, 2004, Public Law 108-233; Williamson County, TX, Project, Public Law 108-316; Hawaii Water Resources Act of 2005, Public Law 109-70. FOR RECOVERY ACT: American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

**OBJECTIVES:**

Title XVI of Public Law 102-575, as amended (Title XVI), directs the Secretary of Interior, acting through the Commissioner, to undertake a program to identify and investigate opportunities to reclaim and reuse wastewaters and naturally impaired ground and surface water in the 17 Western States and Hawaii. Title XVI also provides authority for the Secretary to provide up to the

lesser of 25 percent of, or the Federal appropriations ceiling (typically \$20 million), for the cost of planning, design, and construction of specific water recycling projects, as well as up to 50 percent of the cost of Title XVI feasibility studies. FOR RECOVERY ACT: For ARRA funded projects and in addition to the program objectives above, the Section 3 of the ARRA states the following objectives: (1) To preserve and create jobs and promote economic recovery. (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health. (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Title XVI Program applies to reclamation, recycling, and reuse of municipal, industrial, domestic, and agricultural wastewater and to naturally impaired ground and surface waters. Through this program, Reclamation provides financial and technical assistance for feasibility studies, demonstration projects, and full-scale construction of facilities to deliver and/or treat wastewater for reuse applications. For purposes of the Title XVI Program, a water reuse project is a project (including the necessary facilities and features) that reclaims and reuses municipal, industrial, domestic, or agricultural wastewater and naturally impaired groundwater and/or surface waters. Consistent with State law, reclaimed water can be used, for a variety of purposes including, but not limited to, environmental restoration, fish and wildlife, groundwater recharge, municipal, domestic, industrial, agricultural, power generation, or recreation. Funds can be used for water treatment features where the improvement of the water quality is necessary to allow for reuse. Reclamation has general authority to participate in planning, research and demonstration of water recycling projects. Specific project authority is required for Reclamation to participate in the construction of a project.

**Applicant Eligibility:**

Eligible recipients of Title XVI funding are identified under the 1902 Act and include a State, regional, or local authorities; Indian tribes or tribal organizations; or other entities such as a water conservation or conservancy district, wastewater district, rural water district, all located within the 17 Western States or Hawaii. To be eligible to receive funding for construction activities, a water reclamation and reuse project must be specifically authorized under Title XVI.

**Beneficiary Eligibility:**

Water users, including municipal, industrial, and agricultural, that benefit from the additional drought resistant water source created.

**Credentials/Documentation:**

To be eligible to receive funding for construction activities, a water reclamation and reuse project must be specifically authorized under Title XVI. Funds for construction activities associated with an individual project will not be disbursed until all Title XVI pre-construction requirements have been met for that project. These include: (1) a finding that the feasibility study meets the requirements of Title XVI; (2) complete compliance with the National Environmental Policy Act and other environmental clearances; (3) an approved determination of financial capability; and (4) an executed grant or cooperative agreement for financial assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

To be eligible to receive funding for construction activities, a water reclamation and reuse project must be specifically authorized under Title XVI. Funds for construction activities associated with an individual project will not be disbursed until all Title XVI pre-construction requirements have been met for that project. These include: (1) a finding that the feasibility study meets the requirements of Title XVI; (2) complete compliance with the National Environmental Policy Act and other environmental clearances; (3) an approved determination of financial capability; and (4) an executed grant or cooperative agreement for financial assistance between Reclamation and the project sponsor.cooperative agreement for financial assistance. An environmental

impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Discretionary funding opportunities will be posted on Grants.gov and will be subject to competitive funding process.

**Award Procedure:**

Reclamation will work with the funded recipient to negotiate a grant or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation of funding from one fiscal year to the next to complete a project is contingent on the final Federal appropriations.

**Formula and Matching Requirements:**

Statutory Formula: Title Title XVI, Public Law 102-575. Reclamation can pay up to 50% for feasibility study costs. Federal funding for Title XVI construction projects is limited to 25% of the total project or a specified maximum amount, whichever is less. The maximum amount varies by project. Generally, projects authorized after 1996 have a ceiling of \$20 million or less; the specific details are available in the authorizing legislation. If a project conducted under the Title XVI Program includes planning, design, and construction, the Reclamation Wastewater and Groundwater Study and Facilities Act of 1992 (the Act) requires the sponsor to provide at least 75 percent of all the costs incurred, including Reclamations administrative costs. In addition, the sponsor must pay all operation, maintenance and replacement (OM&R) costs of the project.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Feasibility studies which receive Reclamation funding must be completed in 12 to 18 months. See FOA for details. For authorized Title XVI projects, Reclamation will provide funding for planning, design, or construction that can be completed in a two year period. See FOA for details. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report and upon completion of the agreement, recipients shall submit a final SF-425. For Recovery Act projects, quarterly reporting is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.



**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-1-301 - Recovery Act; 14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0.  
(Cooperative Agreements) FY 11 \$19,379,921; FY 12 est \$29,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range \$150,000 - \$40,000,000  
Average \$16,126,640.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, eight authorized Title XVI projects received \$11.34 million for construction activities and more than \$1 million was awarded for nine new Title XVI feasibility studies. Some of the Title XVI water reuse benefits include improving water-use efficiency, providing flexibility during water shortages, and diversifying the water supply. In areas where municipalities and industry (M&I) are looking to agriculture as a water source, Title XVI projects reduces the need to transfer agricultural water to M&I uses. Fifty-three projects are specifically authorized to receive funds for construction. Two demonstration projects have also been undertaken through the general authority. Since the programs inception in 1992, more than \$558 million in Federal cost-share has been leveraged to design and construct water recycling projects. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (CFR) 43 CFR 12.

**Regional or Local Office:**

See Regional Agency Offices. For addresses, see Appendix IV of the Catalog.

**Headquarters Office:**

Dean Marrone, Bureau of Reclamation, Office of Program & Policy Services, Mail Code: 84-51000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: dmarrone@usbr.gov Phone: (303) 445-3577 Fax: (303)445-6464

**Website Address:**

<http://www.usbr.gov/watersmart/title.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Delta Diablo Sanitation District, in Antioch, California, received \$150,000 in FY 2011 Title XVI funding to assess options for expanding and improving the District's current tertiary treatment system. The feasibility study will examine the operations of the overall system for ways to maximize recycled water production and conveyance, while minimizing operations costs, including energy costs. The Victor Valley Wastewater Reclamation Authority received \$2 million in FY 2011 Title XVI funding which will be used to construct two sub-regional water reclamation plants to produce high quality effluent that will be used to recharge the groundwater basin and serve recycled water customers in the City of Hesperia and the Town of Apple Valley. Once completed, the project phase will make available 2,240 acre-feet of recycled water annually. Fiscal Year 2012: In the Bay Area, the City of Redwood City's recycled water project will replace potable water with recycled water for landscape irrigation and other uses. Approximately \$1.1 million in Reclamation funding will be used by the City to convey recycled water to the Seaport area, making approximately 245 acre-feet of water each year available for other uses. The project is intended to improve reliability of the local water supply and to reduce the City's demand on imported water. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Reclamation will place priority on funding projects that reduce existing water diversions or address specific water supply issues in a cost-effective manner,

address environmental and water quality concerns, are economically justified, and meet other program goals. For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.506 WATER DESALINATION RESEARCH AND DEVELOPMENT PROGRAM****FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Water Desalination Act of 1996, Public Law 104-298, as amended.

**OBJECTIVES:**

The Water Desalination Act of 1996 is based on the fundamental need in the United States and world-wide for additional sources of high quality water. There are three goals for the program: (1) augment the supply of usable water in the United States; (2) understand the environmental impacts of desalination and develop approaches to minimize these impacts relative to other water supply alternatives; (3) develop approaches to lower the financial costs of desalination so that it is an attractive option relative to other alternatives in locations where traditional sources of water are inadequate. The three principal parts of the program are: (1) perform research on desalination technologies and related issues to advance the state of the art forward (research and studies), and (2) conduct development and demonstration activities to test technological advancements, confirm economics, and gain public acceptance (development projects), and (3) support operation and maintenance at the Brackish Groundwater National Desalination Research Facility (BGNDRF).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To be used to support research and studies, demonstration and development projects and related activities, and operation and maintenance at the BGNDRF as described in the Act and amendments.

**Applicant Eligibility:**

Any responsible source, to include individuals, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations may submit a proposal which will be considered by Reclamation. Foreign entities, other than United States-Mexico binational research foundations and inter-university research programs established by the two countries, are not eligible for funding under the Act. Federal agencies are not eligible to apply.

**Beneficiary Eligibility:**

Individuals, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, other private institutions/organizations, and United States-Mexico binational research foundations and inter-university research programs established by the two countries.

**Credentials/Documentation:**

(1) A detailed written technical proposal including the current status of the technology supporting the proposed research, technical approach proposed to accomplish the work, a scope of work which separates the work into major tasks, applicability to local and/or national water problems, type of personnel participating in the research, type and location of facilities and equipment that will be utilized by the project applicant, experience in this type of research, the environmental impact of the research, an estimate of the costs and/or cost savings (\$/1000 gal) and economic and environmental benefit of the technology, and other information that may be useful for proposal evaluation.

(2) A detailed project cost proposal including a budget covering salaries and wages, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, funding sources and commitments, cost-sharing, and a breakdown of costs by task. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A full proposal solicitation package is issued annually by Reclamation. There will be an announcement for laboratory and pilot-scale research projects in FY10. Submission of full technical and cost proposals in accordance with the instructions stated in the announcement document is mandatory. Additionally, applicants must submit all applicable SF-424 forms and a DI-2010 form which will be included in the announcement document.

**Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the annual solicitation are reviewed on the basis of a competitive, merit- review process, and are rated in accordance with evaluation criteria stated in the solicitation document. Reclamation will make awards for the highest rated proposals based on the amount of funding available each year. Reclamation reserves the right to make awards to maintain balance among the program objectives listed in the solicitation document.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

**Appeals:**

None. Final award decisions are not subject appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of the Congress. Yearly solicitation is made for projects of 12 months duration or less (follow-on funding may be available for additional research studies, pilot-plant projects, or demonstration projects). No-cost extensions to awarded agreements are provided for unique projects that can justify additional time beyond the 12-month duration.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The Federal share of the cost of a project or activity carried out under this Act shall not exceed 50 percent of the total cost of the project or activity. A Federal contribution in excess of 25 percent for a project carried out under this Act may not be made unless the Secretary of the Interior determines that the project is not feasible without such increased Federal contribution. Costs of operation, maintenance, repair, and rehabilitation of facilities funded under the authority of this Act shall be nonfederal responsibilities with the exception of the BGNDRF.. In each fiscal year, up to \$1,000,000 may be awarded to institutions of higher education, including United States-Mexico binational research foundations and interuniversity research programs established by the two countries, for research grants or cooperative agreements without any cost-sharing requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Solicitation is made for projects of 12 months duration or less (follow-on funding may be available for additional research studies, pilot-plant projects, or demonstration projects). No-cost extensions to awarded agreements are provided for unique projects that can justify additional time beyond the 12-month duration. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

The Recipient shall furnish quarterly reports and a final report as a permanent record of the work accomplished under the agreement. A midterm project review shall be held at the Recipient's site approximately 3 to 6 months after project award. Approximately at the time of delivery of the draft final report, the Project Manager shall make a presentation in Denver on the overall progress of the project. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,480,029; FY 12 est \$500,000; and FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

Range is \$100,000 to \$500,000, Average \$1,160,010.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011 (FY11), \$1,500,000 funded nine competed, merit reviewed research projects, five research and studies, two pilot studies, one second year pilot, and one second year demonstration. Fiscal Year 2012: Not available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable Office of Management and Budget Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Solicitation documents: Bureau of Reclamation, Acquisitions Operations Group, Attn: Michelle Maher, Mail Code: 84-27810, P.O. Box 25007, Denver Federal Center, Denver, CO 80225. Telephone: (303) 445-2025. E-mail: mmaher@usbr.gov.

**Headquarters Office:**

M. Kevin Price Bureau of Reclamation, Research and Development Office, Mail Code: 86-69000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: mprice@usbr.gov Phone: (303) 445-2260 Fax: (303) 445-6328

**Website Address:**

<http://www.usbr.gov/pmts/water/desalination/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects that are funded with the FY11 funds include reducing environmental impacts, integrating renewable energy, reducing long-term costs, expanding scientific knowledge, improving the quality and

suitability of treated water for reuse, and testing pilot and demonstration-scale projects. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors may include, but are not limited to the following: Technical Factors: (1) Demonstrated familiarity with the current technology in the field of work and understanding of the potential difficulties in carrying out the work. (2) Impact of the proposed work on the current technology and on its related economics if a completely successful outcome were achieved. (3) Novelty of approach to the work. (4) Relationship to research priorities. (5) Availability of equipment, instruments, and test facilities required for the work. Managerial Factors: (1) The qualifications, capabilities, and experience of the proposed project manager and other key personnel who are critical to achievement of the proposed objectives. (2) Adequacy, completeness and realism of the research schedule, task phasing, and milestones. (3) The applicants capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the proposed objectives. Pricing Factors: (1) Cost realism and reasonableness. This requires that costs be directly relatable to items in the research work plan or Project Management Plan, be reasonable, and be appropriate to the project in terms of dollar amount and quantity. (2) Cost-share. Applicants proposing to provide the most cost-share shall be given greater consideration.

#### **15.507 WATERSMART (SUSTAINING AND MANAGE AMERICA'S RESOURCES FOR TOMORROW)**

WaterSMART Grants

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

Omnibus Public Lands Management Act of 2009, Section 9504.  
FOR RECOVERY ACT: American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5), Public Law -.

#### **OBJECTIVES:**

To make funding available for eligible applicants to leverage their money and resources by cost sharing with Reclamation on projects that that conserve and use water more efficiently, increase the use of renewable energy and improve energy efficiency, benefit endangered and threatened species, facilitate water markets, or carry out other activities to address climate-related impacts on water or prevent any water-related crisis or conflict. For Recovery Act: For ARRA funded projects in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

WaterSMART grants provide cost-shared financial assistance on a competitive basis for the following types of projects: (1) Water and Energy Efficiency Grants; (2) Advanced Water Treatment Pilot and Demonstration Projects Grants; (3) System Optimization Reviews; and (4) Grants to Develop Climate Analysis Tools.

In addition, Section 9504 of Public Law 111-11 requires the following: (1) The Recipient shall not use any associated water savings to increase the total irrigated acreage of the Recipient or otherwise increase the consumptive use of water in the operation of the Recipient, as determined pursuant to the law of the State in which the operation of Recipient is located. (2) If the activities funded under this Agreement result in an infrastructure improvement to a federally owned facility, the Federal Government shall continue to hold title to the

facility and improvements to the facility. (3) The non-Federal share of the cost of operating and maintaining any infrastructure improvement funded through this Agreement shall be 100 percent. (4) Except as provided under chapter 171 of title 28, United States Code (commonly known as the "Federal Tort Claims Act"), the United States shall not be liable for monetary damages of any kind for any injury arising out of an act, omission, or occurrence that arises in relation to any facility created or improved under this Agreement, the title of which is not held by the United States. For further information please contact the regional office.

#### **Applicant Eligibility:**

In accordance with P.L. 111-11, Section 9502, eligible applicants for Water and Energy Efficiency Grants, System Optimization Reviews, and Advance Water Treatment Pilot and Demonstration Projects include any: state, Indian tribe, irrigation district, water district, or other organization with water or power delivery authority.

In accordance with P.L. 111-11, Section 9504(b), eligible applicants for Grants to Develop Climate Analysis Tool include any: university, nonprofit research institution, or other organization with water or power delivery authority.

Applicants must also be located in the western U.S. or Territories as identified in the Reclamation Act of June 17, 1902, as amended and supplemented; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands.

#### **Beneficiary Eligibility:**

The general public, agricultural, municipal and industrial water users; irrigation or water districts; and state governmental entities with water or power delivery authority, located in the states identified in the Act of June 17, 1902.

#### **Credentials/Documentation:**

(1) A detailed written technical proposal including background data regarding the applicant, such as location, total project diversions, and relevant water use efficiency measurements, a detailed scope of work separating the work into major tasks, including any engineering or design work already completed, and describing data responsive to the evaluation criteria listed in the announcement. (2) When applicable, a funding plan showing how the applicant will pay for its 50 percent cost share requirement, and an official resolution adopted by the irrigation or water district's governing board of directors, resolving that, if selected, it will negotiate and execute a grant or cooperative agreement with Reclamation. (3) A detailed project cost proposal, including a budget with the annual estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, an estimate of annual operation and maintenance costs, and the value of in-kind contributions of goods and services. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Multiple funding opportunity announcements are annually posted on [www.grants.gov](http://www.grants.gov). Submission of a complete technical proposal and projects budget is mandatory by the due date identified in the announcement. In addition, applicants must submit all applicable SF-424 forms referenced in the Announcement.

#### **Award Procedure:**

Proposals received in response to the announcement are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the announcement. Reclamation will make awards to the highest rated proposals based on the amount of funding available each year.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

**Appeals:**

Not applicable. Upon request, Reclamation will provide all applicants with information on why their proposals were not selected.

**Renewals:**

Most awarded projects are fully funded at the time of award. Some Water and Energy Efficiency Grant projects (i.e. phased project) may be funded each year for up to three years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the cost of a project or activity carried out under the Program shall not exceed 50 percent of the total cost of the project or activity. Costs of operation, maintenance, repair and rehabilitation of facilities funded under the authority for this Program shall be nonfederal responsibilities.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

In general, projects should be completed within 2 years of award. Applicants for Water and Energy Efficiency Grants must select one of two funding groups and must therefore propose either a project that can be completed within 2 years of award or a phased project that can be completed within 3 years of award with Federal funding to be provided separately for each phase.

Applications for projects requiring more time will be considered for funding only under limited circumstances. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Recipients shall submit Program Performance Reports during the term of the agreement. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Recipients shall submit the Federal Financial Report, SF-425 during the term of the agreement and a final report upon completion of the agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301 - ARRA; 14-0681-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$29,064,415; FY 12 est \$18,500,000; and FY 13 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range \$23,144 - \$1,000,000

Average \$15,854,805.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Since 2010, 134 WaterSMART Grant projects have been funded, combining more than \$50.6 million in Federal funding with local partnerships to construct over \$186 million worth of water management improvements in 14 western states. Once completed, those projects are expected to result in over 258,000 acre-feet of conserved water each year.

Fifty-seven WaterSMART Grant projects were funded in Fiscal Year 2010. These projects are expected to result in more than 139,000 acre-feet of conserved water each year once construction has been completed. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, OMB Circulars, standard forms, and program information, <http://www.usbr.gov/WaterSMART/grants.html>. Documents may also be obtained by contacting Reclamation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Dean Marrone, Bureau of Reclamation, Office of Program & Policy Services, Mail Code: 84-51000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: [dmarrone@usbr.gov](mailto:dmarrone@usbr.gov) Phone: (303) 445-3577 Fax: (720) 544-4207.

**Website Address:**

<http://www.usbr.gov/WaterSMART/grants.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: A number of projects will address the connection between water use and energy use. For example, the Three Sisters Irrigation District in Oregon will replace 20,000 feet of open canal with pipe expected to result in 750 acre-feet of water savings annually. The District also will install a 950-kilowatt capacity turbine generator as part of the project.

Several projects will save energy through water conservation. For example, the Lower Colorado River Authority in Texas will automate 11 check gate structures, expected to result in 2,560 acre-feet of water savings annually. The Authority estimates that completion of the project will decrease pumping needs and reduce energy consumption by approximately 132,000 kilowatt-hours per year.

Other projects are expected to make contributions to environmental restoration by conserving water or making other improvements that benefit endangered or threatened species. For example, in California, the Los Molinos Mutual Water Company will undertake water management improvements with expected savings of approximately 3,000 acre-feet of water annually. The conserved water will remain in Mill Creek, a tributary of the Sacramento River, to benefit Chinook salmon and steelhead migration.

Examples of all projects funded to date are available at <http://www.usbr.gov/WaterSMART/weeg/>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects should seek to conserve and use water more efficiently, increase the use of renewable energy and improve energy efficiency, protect endangered and threatened species, facilitate water markets, or carry out other activities to address climate-related impacts on water or prevent any water-related crisis or conflict.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation has allocated funds based on the criteria set forth in the

Recovery Act and the accompanying conference report, and has targeted activities that quickly infused money into the economy.

## **15.508 PROVIDING WATER TO AT-RISK NATURAL DESERT TERMINAL LAKES**

Desert Terminal Lakes Program

### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

### **AUTHORIZATION:**

Farm Security and Rural Investment Act of 2002, Sec. 2507, Public Law 107-171; Energy and Water Development Appropriations Act, 2003, Title II, Sec. 207, Public Law 108-7 (to implement the Truckee River Settlement Act, Public Law 101-618); and Energy and Water Development Appropriations Act, 2004, Title II, Sec. 217, Public Law 108-137; and Public Law 109-103, Energy and Water Development Appropriations Act, 2006, Title II, Sec. 208; Public Law 110-246, Food Conservation and Energy Act of 2008, Sec. 2807; Public Law 111-8, Omnibus Appropriations Act of 2009, Section 207 and 208, Public Law 111-85, Energy and Water Development and Related Agencies Appropriations Act of 2010, Sec. 206-208; Public Law 111-88, Department of the Interior Environment and Related Agencies Appropriations Act of 2010, Sec. 440.

### **OBJECTIVES:**

Under this authority, Reclamation will fund various activities that will provide water to at-risk natural desert terminal lakes or fund designated activities.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use (Cooperative Agreements)

### **USES AND USE RESTRICTIONS:**

Funding is directed to be used to provide water only to Walker Lake, Pyramid Lake, and Summit Lake in the State of Nevada. Funding is earmarked in legislation for other specific projects. For further information please contact the regional office.

### **Applicant Eligibility:**

State and local public agencies, Indian tribes, nonprofit organizations, and individuals may submit a proposal which will be considered by Reclamation. Foreign entities and Federal agencies are not eligible to apply.

### **Beneficiary Eligibility:**

State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, profit organizations, private organizations, quasi-public nonprofit organizations, other private institutions/organization, general public, native American organizations, farmers/ranchers/agriculture producers, and land/property owners.

### **Credentials/Documentation:**

(1) A detailed written technical proposal including background data regarding the applicant, technical approach proposed to accomplish the work, a scope of work that separates the work into major tasks, type of personnel implementing the proposal, experience in performing this type of work, benefits to be received by implementation of the project(s), environmental impact(s), an estimate of the amount of water that will reach the impacted desert terminal lake as a result of accomplishing the work, how that amount of water was estimated, timeline(s), the level of cooperation with other parties involved in the proposal, and other information that may be useful for proposal evaluation. (2) A detailed cost proposal by project including a budget covering labor categories, salaries and wages with estimated hours, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, other funding sources and commitments, cost-sharing, value of in-kind contributions of goods and services, and a narrative discussion. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Funding is allowed for work that will provide water to three specified desert terminal lakes in Nevada. An environmental NEPA document may be required depending on the nature of the proposal and its impact on the environment. Compliance with National Historic Preservation Act and Endangered Species Act is also required. Summit and Walker Lakes Preapplication Coordination:

Although it is not mandatory, Reclamation strongly encourages offerors to submit a pre-proposal to eliminate the possibility of submitting a full proposal that would not be considered for award. The pre-proposal should describe 1) how the proposal will provide water to the terminal lake, 2) the quantity of water anticipated to be provided, 3) the associated estimated cost, 4) potential environmental impacts, 5) state, local and other permits or approvals needed to implement the proposal. Pyramid Lake Pre-application Coordination: On a periodic basis, a pre-proposal solicitation announcement is issued by Reclamation; the initial solicitation occurred in FY05. No additional solicitation is planned in FY12. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding is allowed for work that will provide water to three specified desert terminal lakes in Nevada. For Summit Lake, Reclamation will only accept proposals from the Summit Lake Paiute Tribe, since the lake is entirely within the reservation boundaries and any proposal affecting the lake would need the consent of the Tribe. For Walker Lake, Reclamation may accept applications after the applicant provides enough pre-application information to Reclamation to assure that the proposed work will provide water to Walker Lake, the associated cost is reasonable, and it is likely Reclamation can satisfy its federal Indian trust, endangered species, environmental, and other responsibilities. For Pyramid Lake, a Funding Opportunity Announcement (FOA) is issued periodically by Reclamation. Discretionary funding opportunities will be posted on Grants.gov. Submission of a complete technical proposal and a project budget proposal in accordance with the instructions in the FOA is mandatory. In addition, applicants must submit all applicable SF424 forms, which are referenced in the FOA. Reclamation is not accepting unsolicited applications in FY12 because all remaining funding has been obligated except that which will be used for program administration.

### **Award Procedure:**

For Summit Lake, Walker Lake, and Pyramid Lake, proposals are evaluated using a merit-based review process. Pyramid Lake proposals were also reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the FOA. Reclamation will make awards to the highest-rated proposals based on the amount of funding available each solicitation period. Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the FOA.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Contact Reclamation for the range of time when proposals are approved or disapproved.

### **Appeals:**

Reclamation will, however, provide all applicants with information on why their proposals were not selected.

### **Renewals:**

Funding is available until all funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program has no statutory formula or matching requirements. Applicants are encouraged to cost share with other funding partners when possible.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how

assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$118,437,408; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$36,000 to \$206,200,000; Average \$39,479,136.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Through the end of Fiscal Year 2011, from the \$375 million of available funding, approximately \$371 million has been obligated to 55 projects and approximately \$3.6 million has been used for administrative purposes. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. Documents may also be obtained by contacting Reclamation.

**Regional or Local Office:**

See Regional Agency Offices. Technical/Program Information contact Bureau of Reclamation, Lahontan Basin Area Office, Attention: Caryn Hunt DeCarlo, 705 North Plaza Street, Room 320, Carson City, Nevada 89701-4015. Telephone (775) 882-3436. Fax (775) 882-7592. Email [chunttdecarlo@usbr.gov](mailto:chunttdecarlo@usbr.gov). Acquisition Office contact Bureau of Reclamation, Mid-Pacific Regional Office, Acquisition Services, 2800 Cottage Way, Room E-1815, Sacramento, California 95825-1898. Telephone (916) 978-5130. Fax (916) 978-5175/5182. Email [2WG3@usbr.gov](mailto:2WG3@usbr.gov).

**Headquarters Office:**

Caryn Hunt DeCarlo Bureau of Reclamation, Lahontan Basin Area, 705 North Plaza Street, Room 320, , Carson City, Nevada 89701-4015 Email: [chunttdecarlo@usbr.gov](mailto:chunttdecarlo@usbr.gov) Phone: (775) 882-3436 Fax: (775) 882-7592

**Website Address:**

[http://www.usbr.gov/mp/lbao/desert\\_terminal/index.html](http://www.usbr.gov/mp/lbao/desert_terminal/index.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In Fiscal Year 2010, \$66.2 million was awarded to the National Fish and Wildlife Foundation to establish the Walker Basin Restoration Program for the primary purpose of restoring and maintain Walker Lake and \$5 million to Great Basin Land and Water for retire water rights in

Lahontan Valley.

In Fiscal Year 2011, \$88 million was awarded to the National Fish and Wildlife foundation to augment water rights purchase funding; \$1 million to the Summit Lake Paiute Tribe to plan and complete restoration efforts at Summit Lake; and \$1 million to Walker River Paiute Tribe for legal and professional services in support of settling tribal water claims in the Walker River Basin. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors may include, but are not limited to the following: 1) Mandatory: the proposal must provide water to a specified desert terminal lake; 2) Quantity of water supplied to the terminal lake, and the time period it will be supplied; 3) Total project cost and cost per acre-foot of water gained for a specified desert terminal lake; 4) Other benefits; 5) Funding from other sources; and 6) Broad support for the proposal.

**15.509 COLORADO RIVER BASIN SALINITY CONTROL PROGRAM**

Colorado River Basin Salinity Control Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 93-320, 59 Stat. 1219, 43 U.S.C. 1571-1573 and U.S.C. 1592(c), as amended; Sec. 2, Public Law 104-20, 43 U.S.C. 1592; Title III, Subtitle D, Chapter 4, Public Law 104-127, 110 Stat. 1006; Public Law 106-459, 114 Stat. 1987; and American Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide financial and technical assistance to: (1) identify salt source areas; (2) develop project plans to carry out conservation practices to reduce salt loads; (3) install conversation practices to reduce salinity levels; (4) carry out research, education, and demonstration activities; (5) carry out monitoring and devaluation activities; and (6) to decrease salt concentration and salt loading which causes increased salinity levels within the Colorado River and to enhance the supply and quality of water available for use in the United States and the Republic of Mexico. Such programs shall consist of cost-effective measures and associated works to reduce salinity from saline springs, leaking wells, irrigation sources, industrial sources, erosion of public and private land, or other sources. For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:  
(1) To preserve and create jobs and promote economic recovery.  
(2) To assist those most impacted by the recession.  
(3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.  
(4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.  
(5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Eligible owners or operators in approved project areas may receive assistance to treat salinity problems. For further information, please contact the regional office.

**Applicant Eligibility:**

Federal, Interstate, Intrastate, State, Local, Sponsored organizations, Public nonprofit institution/organizations, Federally Recognized Indian Tribal Government, Individual/Family, Minority Group, Specialized Group, Small Business, Profit Organization, Other private institution/organization, general public, and Native American Organizations.

**Beneficiary Eligibility:**

Any person in the Colorado River Basin will benefit who uses or reuses water for irrigation, domestic, municipal or industrial water supply, or for fish and wildlife habitat.

**Credentials/Documentation:**

Some projects may require compliance with the National Environmental Policy Act and Endangered Species Act. Information regarding whether these requirements must be met will be included in the funding opportunity announcement posted on [www.grants.gov](http://www.grants.gov). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Reclamation will solicit proposals and award funding through a Funding Opportunity Announcement (FOA) process. The FOA will request proposals from public and private sectors that would control salinity based on cost per ton. The proposals will be ranked based on their cost effectiveness for preventing salt from entering the Colorado River system. The ranking would consider risk factors that might affect the project's performance. Upon receipt of applications/proposals by the date identified in the announcement(s), the applications will be reviewed to determine if application/proposal(s) are consistent with requirements identified in the announcements. The application/proposal(s) are reviewed against identified criteria by a Federal technical team of experts, that may include representatives of states as advisors. Based on the review, a ranking will be defined. Negotiations will be conducted and/or awards will be made based on recommendations from the technical experts. Award will be based on those applications best meeting the needs of the program, including cost and risk factors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements and grants are normally written for a 1 to 5 year period. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program

performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects recipient quarterly reporting is required in [www.FederalReporting.gov](http://www.FederalReporting.gov). Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0681-0-3-301 - ARRA Funds; 14-4081-0-3-301 - Basin Funds (Not Appropriated); 14-0680-0-3-301 - Appropriated.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 11 \$3,864,576; FY 12 est \$3,000,000; and FY 13 est \$3,428,571. (Cooperative Agreements (Discretionary Grants)) FY 11 \$9,017,345; FY 12 est \$7,000,000; and FY 13 est \$8,000,000

**Range and Average of Financial Assistance:**

Range \$7,000,000 to \$20,000,000

Average \$11,436,831.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: During Fiscal Year 2010, Reclamation had 18 active construction projects, in the Basinwide program that will control an estimated 35,000 tons of salt. This is the most open projects we have had at any one time. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Salinity Program: Mr. Kib Jacobson, Bureau of Reclamation, 125 South State Street, Salt Lake City UT 84138-1147, Phone: (801) 524-3753, Fax: (801) 524-5499, email: [kjacobson@uc.usbr.gov](mailto:kjacobson@uc.usbr.gov); or Mr. John Redlinger, Bureau of Reclamation, 400 Railroad Ave, Boulder City NV 89005, Phone: 702-293-8592, Fax: 702-293-8042, email: [jredlinger@lc.usbr.gov](mailto:jredlinger@lc.usbr.gov). Western Colorado: Mr. Terry Stroh, Bureau of Reclamation, 2764 Compass Drive, Grand Junction CO 81506, Phone: 970-248-0637, Fax: 970-248-0601, email: [tstroh@usbr.gov](mailto:tstroh@usbr.gov) Eastern Utah and Western Wyoming: Mr. Ben Radcliffe, Bureau of Reclamation, 302 East 1860 South, Provo UT 84606, Phone: 801-379-1213, Fax: 801-379-1159, email: [BRadcliffe@uc.usbr.gov](mailto:BRadcliffe@uc.usbr.gov).

**Headquarters Office:**

Terry Stroh Bureau of Reclamation, 2764 Compass Drive, Grand Junction, Colorado 20240 Email: [tstroh@usbr.gov](mailto:tstroh@usbr.gov) Phone: (970)248-0637 Fax: (970)248-0601

**Website Address:**

<http://www.usbr.gov/dataweb/html/crwq.html>, and <http://www.usbr.gov/uc/progact/salinity/index.html>

**RELATED PROGRAMS:**

15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery

Programs; 15.535 Upper Colorado River Basin Fish and Wildlife Mitigation Program.; 15.538 Lower Colorado River Multi-Species Conservation Program.; 15.541 Colorado River Basin Projects Act of 1968

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: One example of a current funded project is the Uncompahgre Phase 5 Basinwide Salinity. This project located in Western Colorado will replace approximately 19.0 miles of existing unlined earthen irrigation laterals in the Uncompahgre Projects East, Loutzenhizer, and Selig Canal systems with buried pipe. Construction under this agreement will involve replacement of facilities operated and maintained by UVWUA and will be performed by or under the direction of UVWUA with technical assistance and program oversight provided by Reclamation. Construction of the pipelines is tentatively scheduled to begin in Summer of 2011 and conclude in 2015. Miscellaneous construction and cleanup activities will continue through the end of the Agreement Period of Performance (see Section 4). The UVWUA will implement a habitat replacement plan concurrent with the lateral piping project. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

In 1984, the Salinity Control Act was amended to direct the Secretary of the Interior to give preference to units which reduce salinity at the least cost per unit of salinity reduction (or cost-effectiveness). Cost-effectiveness is defined as the Salinity Program's annual cost per ton of salt prevented from entering the Colorado River system. Conceptually, cost-effectiveness is analogous to determining the cost per mile to own and operate a car. That computation combines the annual expenses (loan payments, gas, maintenance, etc.) and divides by the miles traveled each year. The key to understanding this approach is to appreciate that the government evaluates all projects as if the money is borrowed from a loan institution and repaid in annual installments over the life of the project. This economic evaluation principle is required by the "Economic and Environmental Principles Guidelines for Water and Related Land Resources Implementation Studies", March 1983. This method lends consistency in the comparison of non-federally financed alternatives (which must borrow funds) to Federally financed projects. Each proposal will be evaluated by a technical review panel in accordance with the following criteria and corresponding percentage weights: (a) Technical merit - those passing will be evaluated further, (b) Cost effectiveness 70 percent of the annual cost for each ton of salt load reduction, expressed in dollars per ton, (c) Performance risk 30 percent of performance risk will evaluate the cost and effectiveness risks of the proposal. More detailed information will be included in each funding announcement or may be obtained from the Salinity Control Program contacts listed above. For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

#### **15.510 COLORADO UTE INDIAN WATER RIGHTS SETTLEMENT ACT**

Colorado Ute Settlement Act/Animas La Plata

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

Colorado River Basin Project Act, Public Law 90-537, 82 Stat.885; Colorado Ute Indian Water Rights Settlement Act of 1988, as amended, Public Law 100-585, 102 Stat. 1973; Colorado Ute Settlement Act Amendments of 2000, Public Law 106-554, 114 Stat. 2763A-266; and American Recovery and Reinvestment Act of 2009, Public Law 111-5.

#### **OBJECTIVES:**

To supply both municipal and industrial water supply to the Ute Mountain Ute, Southern Ute Indian Tribe, the Navajo Nation and non-Tribal participants from the Animas-La Plata Project in settlement of water rights claims for the Tribes, and also fulfill other project activities that may be required as a result of the construction, such as relocation of roads and moving power lines. To complete construction of a reconfigured Animas-La Plata Project, consisting of facilities

to divert and store water from the Animas River to provide for an average annual depletion of 57,100 acre-feet of water, to be used for municipal and industrial water supply only, for the Ute Mountain and Southern Ute Indian Tribes, and other tribal and non-tribal entities in the Four Corners Region of the United States. Also, to supply 4,680 acre-feet per year to the Navajo Nation through a pipeline from Farmington to Shiprock, NM.

For Recovery Act funded projects and in addition to the program objectives stated above, section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Direct Payments for Specified Use; Project Grants

#### **USES AND USE RESTRICTIONS:**

The Bureau of Reclamation is specifically authorized to: (1) Construct a reservoir, a pumping plant, a reservoir inlet conduit, and appurtenant facilities with sufficient capacity to divert and store water from the Animas River to provide for an average annual depletion of 57,100 acre-feet of water to be used for a municipal and industrial water supply; (2) Meet specific annual depletion rates for water allocation delivery. (3) To supply 4,680 acre-feet per year to the Navajo Nation through a pipeline from Farmington to Shiprock, NM. The design and construction functions of the Bureau of Reclamation with respect to the Dolores and Animas-LaPlata Projects shall be subject to the provisions of the Indian Self-Determination and Education Assistance Act (ii Stat. 2203; 25 U.S.C. 450 et seq.) to the same extent as if such functions were performed by the Bureau of Indian Affairs.

#### **Applicant Eligibility:**

Federally Recognized Indian Tribal Government - Projects shall be subject to the provisions of the Indian Self-Determination and Education Assistance Act (ii Stat. 2203; 25 U.S.C. 450 et seq.) to the same extent as if such functions were performed by the Bureau of Indian Affairs; and for projects not awarded subject to Public Law 93-638: State, local, Federally recognized Indian Tribal governments, small businesses, individuals, and profit organizations.

#### **Beneficiary Eligibility:**

Federally recognized Indian Tribal Government members and the general public in southwestern Colorado and northwestern New Mexico.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Bureau of Reclamation is required by Public Law 100-585 to use Public Law 93-638 procedures to contract for construction of the Animas-La Plata Project with the Ute Mountain Ute Tribe and the Southern Ute Indian Tribe. Construction contracts for estimated quantities and with firm fixed unit pricing are issued to accomplish the work. For projects under this program that are not required to be awarded subject to Public Law 93-638, funding opportunity announcements, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on <http://www.grants.gov>.

#### **Award Procedure:**

An initial statement of work is issued to the Tribe for review and pricing by the Contract Specialist. The Tribe reviews the initial statement of work, submits



and proposal with an estimate for completion of the work. The proposal with cost estimate is evaluated by the Government Technical Team, the Government Cost and Price Analyst, Contract Specialist, Contract Administrator, and Contracting Officer. Negotiations are held on the various elements until an agreement is reached and an award is then made. For projects not awarded subject to Public Law 93-638, all applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

Final award decisions are subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Public Law 93-638 contracts and agreements are written for a specific period of time to complete a project, but normally not over 5 years. Funds are disbursed by progress payments, based on percentage of completion of estimated quantities of work. Section 207, Section 17(b) of the Act as amended extended the project period through Fiscal Year 2012. See the following for information on how assistance is awarded/released: Funds are disbursed by progress payments, based on percentage of completion of estimated quantities of work. Negotiated indirect cost rate agreements for tribes are negotiated on behalf of the National Business Center, Acquisition Services Division.

**Reports:**

Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report, SF 425 is required and a final SF 425 is required upon the completion of the agreement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit info." If 'No' is selected: "This program is excluded from coverage under OMB Circular No. A-133."

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-3-301; 14-0681-0-3-301 - Recovery Act.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$8,666,394; FY 12 est \$3,000,000; and FY 13 est \$0. (Direct Payments for Specified Use) FY 11 \$40,099; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$173,000 to \$93,519,000 Average \$3,902,164.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Three construction contracts and one agreement for of components to Navajo Nation Municipal Pipeline are underway. The design and construction of the Permanent Operating Facility is underway. Construction of the entire Animas-La Plata Project is nearly 76 percent complete. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and 18, OMB Circulars, Public Law 93-638, 25 CFR Part 900. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Barry Longwell, FCCO 100, Four Corners Construction Office, 103 Everett Street, Durango, Colorado 81303 Email: [blongwell@usbr.gov](mailto:blongwell@usbr.gov) Phone: (505) 325-1794 Fax: (505) 326-4388.

**Website Address:**

[http://www.usbr.gov/library/annual\\_reports/FY2008/MDAPart1.pdf](http://www.usbr.gov/library/annual_reports/FY2008/MDAPart1.pdf)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

There are no criteria for selecting proposals for projects awarded under Public Law 93-638 procedures. When needed work is identified, a request for proposal is issued with a statement of work. The Tribe submits a proposal based on the statement of work. Negotiations are held to arrive at a mutually agreed upon Public Law 93-638 contract for award of the project and the costs associated with performance of the work. For any projects that may be identified that are not subject to Public Law 93-638 procedures, specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For ARRA funded project: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.511 CULTURAL RESOURCES MANAGEMENT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

National Historic Preservation Act of 1966, Public Law 89-665, as amended; Archaeological and Historic Preservation Act of 1974, Public Law 93-291 and 16 U.S.C. 469-469c.

**OBJECTIVES:**

To manage and protect cultural resources on Reclamation land and to provide for the curation of and public access to collectible heritage assets, including the

increase of public awareness, appreciation, and knowledge of these resources.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

All activities are related to Reclamation programs and activities. Cooperative agreements are used for providing long-term care of Reclamation-owned heritage assets. Awards made under the National Historic Preservation Act are limited to project grants for providing heritage education services and, per 36 CFR Part 79, the curation of museum property. The amount of funding available for projects is highly variable from year to year. Projects are approved through the budget cycle and may require up to three years for funding approval. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local agencies, sponsored organizations, public nonprofit institutions/organizations, other public institutions/organizations, Federally-recognized Indian Tribal governments, minority groups, specialized groups, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, other private institutions/organizations, and Native American Organizations, educational or scientific organization, or any institution, corporation, association, or individual that possesses the requisite professional requirements.

**Beneficiary Eligibility:**

State and local governments, Tribes, universities, general public, entities that have an education mission or mission-component, and repositories that meet the standards of the Department of the Interior, Department Manual, Part 411: Managing Museum Property, Chapters 1, 2, and 3, for facilities managing Federal museum property. Further information regarding the general purpose and scope of the Department Manual (DM) is included in Part 001, Chapter 1, of the DM. The DM may be accessed at [http://elips.doi.gov/app\\_DM/index.cfm?fuseaction=home](http://elips.doi.gov/app_DM/index.cfm?fuseaction=home).

**Credentials/Documentation:**

Repositories must meet the standards for managing museum property at 411 DM Chapters 1 through 3; and repositories holding archeological collections must also meet the standards for "Curation of Federally-owned and Administered Archeological Collections" included in the Code of Federal Regulations at Title 36, Part 79, available at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>. Activities under the Archaeological and Historic Preservation Act must be conducted by educational or scientific organizations, or any institution, corporation, association, or qualified individual. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the issuing office. Qualified experts from the Bureau of Reclamation will review applications against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the number of proposals received and the complexity of the project. Generally, offices review and award assistance agreements within 60 days of proposal submission.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Some projects may be eligible for extension. If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are typically awarded for periods of 1 to 5 years. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis program performance reports. Upon completion of the agreement, recipients shall submit a final Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis the SF 425 Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, accounts, and supporting documents must be retained for 3 years after final request of reimbursement. For museum property, records must be in accordance with the specifications of 36 CFR Part 79 and 411 DM 1 through 3.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$601,326; FY 12 est \$262,510; and FY 13 est \$244,460

**Range and Average of Financial Assistance:**

\$2,000 to \$194,000; average \$369,432.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Numerous assistance agreements have been awarded to governmental entities and universities for the curation of museum property. Assistance agreements have been awarded to universities, museums, a state historical society, and a state historic preservation office for activities associated with the Archaeological and Historic Preservation Act, Native American Graves Protection and Repatriation Act, Archaeological Resources Protection Act and National Historic Preservation Act. Accomplishments include archaeological excavations of a circa 1905 Reclamation construction camp, excavation of archaeological sites at a reservoir drawn down for safety of dams work, curating collections and making them accessible to the public, educating the public regarding archaeological resources, copying archaeological

site records, and investigating human burials exposed by low water levels at Reclamations Lake Altus. In addition, the first phase of the Digital Archiving of Cultural Reports project called for digitizing a very large, hardcover report entitled Vanishing River; separating out three other volumes that had been placed on a single CD, and uploading these documents and other materials onto the Digital Archaeological Record (tDAR) website. The first phase of the project was completed in early October 2011. The second phase of the project, preparing the metadata for the scanned documents and loading it into tDAR is now in progress. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Reclamation's cultural resources management program is governed by 36 CFR Part 800; 43 CFR Part 7; Department of the Interior Manual Chapter 411, Chapters 1 through 3; and Reclamation Policy and Directives & Standards for Cultural Resources Management and Museum Property Management available at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html> - page1/. 43 CFR 12 and 18, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html> - page1/; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html)/. These documents may also be obtained by contacting the Reclamation Office listed below.

#### **Regional or Local Office:**

See Regional Agency Offices. Please see listing of contacts at [www.usbr.gov/cultural/crmstaff.html](http://www.usbr.gov/cultural/crmstaff.html) .

#### **Headquarters Office:**

Thomas Lincoln, Bureau of Reclamation, P.O. Box 25007 (Mail Code: 84-53000), Denver, Colorado 80225-0007 Phone: (303) 445-3311.

#### **Website Address:**

<http://www.usbr.gov/cultural/> and <http://www.usbr.gov/museumproperty/>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The examples of funded projects include agreements with the University of Texas San Antonio and the Institute of the Great Plains for cataloging and curation of Reclamation museum property; University of Northern Colorado for curation of two sets of human remains from Pueblo Reservoir; Colorado Historical Society for public education efforts; University of Nebraska State Museum for testing sites at Red Willow Reservoir; Kansas State University for cultural resource inventory, evaluation and excavation of sites at Red Willow Reservoir and other Reclamation lands; University of North Dakota for archaeological investigations at Reclamations Shadehill, Jamestown, and Heart Butte Reservoirs and McClusky Canal and producing electronic versions of cultural resource site records; University of Oklahoma for archaeological fieldwork and investigation of unanticipated discoveries; Sam Noble Oklahoma Museum of Natural History for curation of Reclamation collections and archaeological fieldwork for unanticipated discoveries; and Wyoming Department of State Parks and Cultural Resources for analysis and development of a restoration plan for the smokestack at the Heart Mountain Relocation Center National Historic Landmark. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting a recipient are based on a balanced and informed review of a technical proposal, budget proposal, and relevancy to program objectives. The specific evaluation criteria for each project will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov).

#### **15.512 CENTRAL VALLEY PROJECT IMPROVEMENT ACT, TITLE XXXIV**

Central Valley Project Improvement Act XXXIV

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV, Central Valley Project Improvement Act, Public Law 102-575; American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

#### **OBJECTIVES:**

The purposes of the CVPIA are (1) to protect, restore, and enhance fish, wildlife, and associated habitats in the Central Valley and Trinity River basins of California, (2) to address impacts of the Central Valley Project on fish, wildlife, and associated habitats, (3) to improve the operational flexibility of the Central Valley Project, (4) to increase water-related benefits provided by the Central Valley Project to the State of California through expanded use of voluntary water transfers and improved water conservation, (5) to contribute to the State of California's interim and long-term efforts to protect the San Francisco Bay/Sacramento-San Joaquin Delta Estuary, and (6) to achieve a reasonable balance among competing demands for use of Central Valley Project water, including the requirements of fish and wildlife, agricultural, municipal and industrial and power contractors.

For Recovery Act funded projects and in addition to the the program objectives above, the section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery. (2) To assist those most impacted by the recession. (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health. (4) To invest in transportation, environmental protection, and other infrastructure what will provide long-term economic benefits. (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

Agreements will be awarded for projects that will result in attaining the objectives noted above and the mandates set out in the CVPIA. Areas of emphasis include fish and wildlife restoration activities and investigations, evaluation of ecologic and hydrologic effects of existing and alternative operations of water facilities and systems, and the effects of the CVP on anadromous fish populations. The Secretary of the Interior is authorized and directed to promulgate such regulations and enter into such agreements as may be necessary to implement the intent, purposes and provisions of Title XXXIV. This title does not and shall not be interpreted to authorize construction of water storage facilities. For further information, please contact the regional office.

#### **Applicant Eligibility:**

Irrigation and/or water districts; state, local, and county governmental entities with water management authority (e.g., State and Federal agencies, departments, boards, etc.); and other entities with water delivery authority as well as private nonprofit or profit organizations, and individuals located in the State of California.

#### **Beneficiary Eligibility:**

General public, government agencies, and water management authorities located in the State of California.

#### **Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For current information on any upcoming funding opportunity announcements dates and deadlines, contact the Mid-Pacific Region, MP-400 Division of Resources Management, Sacramento, California, as listed in the Contacts section below.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Continuation of funding for the Program from one fiscal year to the next is at the discretion of Congress. Yearly solicitation is made for projects of 24 months in duration or less, although multi-year projects may be considered if annual accomplishments can be demonstrated.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: The Federal share of the costs of a project or activity carried out under this Program varies in accordance with the provisions of the CVPIA. Cost-share requirements will be included in the funding opportunity announcement posted on [www.Grants.gov](http://www.Grants.gov).  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposals are requested for projects of 24 months in duration or less; however, funding for multi-year projects may be considered if annual accomplishments can be demonstrated. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Report, SF 425 is required on a quarterly basis. Upon completion of the agreement recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit info." If "No" is selected: "This program is excluded from coverage under OMB Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-5173-0-2-301; 14-0681-0-2-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$33,309,356; FY 12 est \$21,000,000; and FY 13 est \$25,000,000. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$10,000,000; Average \$26,436,452.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For Fiscal Year 2010 (FY2010), accomplishments included the Red Bluff Diversion Dam receiving ARRA funding to begin the construction of the permanent pumping plant. Work has begun and is ongoing for excavation and related siphon installations. Contra Costa Fish Screen received ARRA funding for ongoing work to construct the fish screen, which includes construction and installation of bypass pumping facilities and replacement irrigation pumps, and excavation of levies and foundations for placement of the screening structure. The Anadromous Fish Screen Program initiated construction of the Phase I Natomas Mutual Fish Screen Project on the Sacramento River and the Patterson Fish Screen on the San Joaquin River. Studies are ongoing for identifying critical factors resulting in fish losses at water diversions. The Refuge Water Supply delivered approximately 390,546 acre-feet of Level 2 water to refuges in FY 2010; delivered 58,021 acre-feet of Incremental Level 4 water to refuges. The Habitat Restoration Program protected 2,049 acres of habitat for federally listed species, restored 1.8 miles to provide habitat for priority riparian species, restored 20 acres of native chaparral to improve habitat for endangered plants, and provided funding for the mapping of vernal pool habitats in the Sacramento and San Joaquin Valleys. Fiscal Year 2012: In the Sacramento basin, construction began on an Antelope Creek project to improve passage to 13 miles of spawning and holding habitat; Wildcat Dam on Battle Creek has been removed and two fish ladders have been completed; and the Mill creek fish passage assessment and restoration project aimed at improving fish passage for juvenile and adult salmonids was awarded. In the San Joaquin basin, funds were provided to purchase 6,557 tons of spawning gravel to improve natural production of Chinook salmon and steelhead at several spawning sites along the Mokelumne River; construction began on the Calaveras River Passage Improvement Project to restore access to about 10 miles of habitat for salmon; a floodplain and side-channel enhancement projects to increase juvenile salmonid rearing habitat and decrease predation at Lancaster Road was completed on the Stanislaus River; and construction continued on the Merced River Ranch Floodplain Enhancement Project to restore up to 6 acres of riparian floodplain and 1.23 miles of spawning habitat.

The Refuges goal is to supply 422,251 acre-feet of Level 2 water and 133,264 acre-feet of Incremental Level 4 water to all 19 CVPIA federal, state, and private wildlife refuges. In FY 2011, the Refuge Water Supply Program delivered 367,592 acre-feet of Level 2 water and 101,852 acre-feet of Incremental Level 4 water. For the first time, full allocation of Level 4 water was supplied to those wildlife refuges with sufficient conveyance capabilities. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, OMB Circulars, Program information: [http://www.usbr.gov/mp/cvpia/title\\_34/public\\_law\\_complete.html](http://www.usbr.gov/mp/cvpia/title_34/public_law_complete.html) . These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Richard Woodely, Resources Chief, MP-400, (916)978-5556 and Shana Kaplan, CVPIA Program Manager, MP-400, (916)978-5190.

**Headquarters Office:**

None None, NA, Non-U.S. NA Phone: None

**Website Address:**

<http://www.usbr.gov/mp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY2010, many projects were funded including Red Bluff

Diversion Dams construction of the permanent pumping plant has begun. Excavation has been completed for the east canal and installation of the siphon has begun. Excavation of the landfill west of Red Bank Creek with siphon and east canal installations has also commenced. Contra Costa Fish Screens construction has included completion of the bypass pumping facilities and installation of the replacement irrigation pumps, fabrication of composite piles and concrete piles, excavation of levies for site access, and excavation for the fish screen footing and foundation for the placement of the screening structure. The Anadromous Fish Screen Program completed construction of fish screens for the Sutter Mutual State Ranch, Davis Ranches Site, and River Garden Farms at Missouri Bend diversions, initiated construction of the Phase I Natomas Mutual Fish Screen Project for 389 cubic feet/second (cfs) on the Sacramento River, initiated construction of the Patterson Fish Screen on the San Joaquin River, and initiated studies at the U.C. Davis to identify critical factors resulting in fish losses at water diversions. The Refuge Water Supply delivered approximately 390,546 acre-feet of Level 2 water to refuges in FY 2010 and delivered 58,021 acre-feet of Incremental Level 4 water to refuges. The Habitat Restoration Program protected 2,049 acres of habitat for listed endangered species, restored 1.8 miles of levee road to provide habitat for priority riparian species, restored 20 acres of native chaparral to improve habitat for endangered plants, and provided funding for the mapping of vernal pool habitats in the Sacramento and San Joaquin Valleys to benefit vernal pool fairy shrimp, vernal pool tadpole shrimp, succulent owls clover, and mid-valley fairy shrimp. Fiscal Year 2012: Other projects were funded including the Contra Costa Canal Pump Program was completed as the last component, the new fish screen structure at the entrance to Canal in Rock Slough, became operation in November; construction on 4 fish screens was completed at the Sutter Mutual Portuguese Bend, Oji Brothers Farms, Windswept Land and Livestock #3 sites on the Sacramento River; and the Patterson Fish Screen on the San Joaquin River. Construction continued on the American Basin (Natomas Mutual) Fish Screen Project with completion expected in FY 2013. Design, environmental compliance and permitting activities for the Yuba City and the Reclamation District 2035 Fish Screen projects continued with construction commencement anticipated in FY 2012 and FY 2013, respectively. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

#### **15.513 DUTCH JOHN FEDERAL PROPERTY AND DISPOSITION ASSISTANCE ACT**

##### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

##### **AUTHORIZATION:**

Dutch John Federal Property Disposition and Assistance Act of 1998, Public Law 105-326, 16 U.S.C. 460v.

##### **OBJECTIVES:**

To privatize certain lands in and surrounding Dutch John, Utah; to transfer jurisdiction to certain Federal property between the Secretary of Agriculture and the Secretary of the Interior; to improve the Flaming Gorge National Recreation Area; to dispose of certain residential units, public buildings, and facilities; to provide interim financial assistance to local government to defray the cost of providing basic governmental services; to achieve efficiencies in operation of the Flaming Gorge Dam and Reservoir and the Flaming Gorge National Recreation Area; to reduce long-term Federal outlays; and to serve the interests of the residents of Dutch John and Daggett County, Utah, and the general public.

##### **TYPES OF ASSISTANCE:**

#### **PROJECT GRANTS**

##### **USES AND USE RESTRICTIONS:**

For the purpose of defraying costs of transition in administration and provision of basic community services, an annual payment of \$300,000 (as adjusted by the Secretary for changes in the Consumer Price Index for all-urban consumers published by the Department of Labor) shall be provided from the Upper Colorado River Basin Fund to Daggett County, Utah, for a period not to exceed 15 years. At the present time, no new project awards are being made under this authority and none are anticipated. Funding is only available for continuation of the existing grant with Daggett County.

##### **Applicant Eligibility:**

The residents in and around Daggett County, Utah.

##### **Beneficiary Eligibility:**

The residents in and around Daggett County, Utah.

##### **Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. None.

##### **Award Procedure:**

At the present time, program funding is limited to providing additional annual funding to the existing project agreement with Daggett County. The Bureau of Reclamation will transfer on an annual basis the sum of \$300,000 to Daggett County, Utah, (as adjusted by the Secretary for changes in the Consumer Price Index for all-urban consumers published by the Department of Labor) by an amendment to the existing agreement.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Grant funding is for a total of 15 years. See the following for information on how assistance is awarded/released: Information not available.

##### **Reports:**

Unless otherwise stated in the agreement document, recipients shall submit Program Performance Reports. Annually, recipients shall submit an annual Program Performance Report. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF 425 Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425 Federal Financial Report. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance (\$500,000 for fiscal years ending after Dec.1, 2003) or more a year in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than (\$500,000 for fiscal years ending after Dec.1, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, accounts, and supporting documents must be retained for 3 years after submission for final request of reimbursement. State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301.

**Obligations:**

(Project Grants) FY 11 \$389,965; FY 12 est \$404,784; and FY 13 est \$420,166

**Range and Average of Financial Assistance:**

\$383,000 to \$405,000; average \$404,972.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Water System Distribution Lines and SCADA System started in June 2010 and completed on August 2011 with a total price for the upgrades of \$1.4M. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Mr. C. Steven Hulet, Manager, Telephone Office: 435-885-3238, Fax 435-885-3224, chulet@usbr.

**Headquarters Office:**

Mr. C. Steven Hulet 1849 C Street, NW, District of Columbia, Washington 20240 Email: chulet@usbr.gov Phone: (435)885-3238 Fax: (435)885-3224

**Website Address:**

<http://www.usbr.gov/uc/news/dutchjohnfacts.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: There were various projects funded in 2011 as follows: house in Dutch John remodeled for \$10,000; cleaned, refurbished and painted two water tanks for \$30,000; addition to Sewer Plant for \$14,000; lot preparation on Block 6 for \$76,571; crack Seal Dutch John Town Roads for \$10,000; and Dutch John Conference Hall remodel for \$10,000.00. Daggett County is continuing to work on the Dutch John Park. The County has transferred 20 acres for a Dutch John Park and has started installing sprinkler systems, planning for cabanas and playground equipment for an estimate of approximately \$10,000 to \$15,000. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

No proposals are issued. Funding is transferred annually to Daggett County, Utah, in accordance with Section 13 of the Act.

**15.514 RECLAMATION STATES EMERGENCY DROUGHT RELIEF**

Emergency Drought Relief and Drought Contingency Planning

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Reclamation States Emergency Drought Relief Act of 1991, Title II, Public

Law 102-250, 43 U.S.C. Section 2201-2214, as amended; Hawaii Water Resources Act of 2000, Title II, Public Law 106-566; American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5).

**OBJECTIVES:**

To provide financial and planning assistance that would minimize and mitigate losses and damages resulting from drought conditions.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use (Cooperative Agreements); PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

In consultation with other appropriate Federal and State officials, Indian tribes, public, private, and local entities, Reclamation may prepare, or participate in the preparation of, plans for the prevention or mitigation of drought impacts. Financial assistance for the development of drought contingency plans may be provided in the form of cooperative agreements to States, Indian tribes, public, private, and local entities located within the 17 Reclamation States (Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming) and Hawaii. Pursuant to Public Law 93-638, an Indian tribe is entitled to contract for any activities that Reclamation would otherwise conduct pursuant to Section 201 or 202 of Title II of the Act on the tribe's behalf which would benefit the tribe exclusively. Reclamation may provide technical assistance for drought contingency planning in any of the 50 U.S. States and territories and to local and tribal government entities. For further information, please contact the regional offices.

**Applicant Eligibility:**

State and local entities and Federally Recognized Indian Tribal Governments within the following 17 Western U.S. States: Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Wyoming, Utah, and Washington, and Hawaii. Technical assistance can also be requested for all 50 U.S. States and the following U.S. Territories: Puerto Rico, the Republic of the Marshall Islands, the Federated States of Micronesia, the Trust Territory of the Pacific Island, and upon termination of the Trusteeship, the Republic of Palau, the United States Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

General public; Federal, State and local governments; and Federally Recognized Indian Tribal Governments within the 50 U.S. States and Territories.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the

State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible entities may request assistance from their local Reclamation Office. Requests will be forwarded to the Regional Drought Coordinator to ensure they meet the scope and intent of the Reclamation States Emergency Drought Relief Act.

**Award Procedure:**

Requests will be prioritized, merited, and consolidated by the Regional Drought Coordinators and forwarded to the Regional Director. The Regional Director will then forward their prioritized lists of funding requests to the Bureau of Reclamation Drought Coordinator who will rank the projects with with specific criteria established for drought requests and make the final recommendations regarding which applications will receive awards. If a request is approved, a letter of approval will be prepared by the Reclamation Drought Coordinator that includes a delegation of authority to the appropriate Regional Director with funding information. This letter will be forwarded to the appropriate Regional/Area Office responsible for implementing the approved actions. The respective Regional/Area Office will develop their agreements and Public Law 93-638 contracts/agreements in compliance with applicable regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project.

**Appeals:**

Bureau of Reclamation will provide information on why requests were not approved.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance may be approved at any time of the year and agreements are generally awarded for a six month period, unless an extension is granted by the Commissioner (or the Regional Office granted authority to implement the approved assistance). See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis program performance reports. Annually, recipients shall submit an annual program performance report. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly recipient reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report on a quarterly basis. Upon completion of the agreement, recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$999,000; and FY 13 est \$0. (Cooperative Agreements (Discretionary Grants)) FY 11 \$202,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$10,000 to \$1,000,000; Average \$400,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Multiple program awards were made during FY2010 and FY 2011 primarily to drill new water wells, furnish and install new pumps and pipes throughout the 17 Western states in Reclamations service territory. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable Office of Management and Budget Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Kenneth Maxey, Reclamation Drought Coordinator, Bureau of Reclamation, Mail Code 84-50000, PO Box 25007, Denver, CO 80225-0007. Phone: 303-445-2727.

**Headquarters Office:**

Mr. Kenneth Maxey Bureau of Reclamation, Mail Code 84-50000, P.O. Box 25007, Denver , Colorado 80225-0007 Phone: (303)445-2727

**Website Address:**

<http://www.usbr.gov/drought/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: During FY2010 and FY 2011, examples of completed projects include the well drilling from the Washoe Tribe as part of the Stewart Ranch Irrigation Well Project and the drilling and development of one new production well approximately 600 feet deep; installation of power to the well; furnish and install a new well house; hydro-pneumatic tank and chlorination system; and furnishing and installing 500-feet of 3-inch PVC pipe at the Blue Lake Rancheria. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Requests for assistance are approved on a case-by-case basis considering program priorities, Congressional direction, funding availability, and the following criteria: benefits for health and safety; benefits for fish and wildlife; intensity of drought; impacts if project is not funded; benefits of funding; availability of other waste supplies; involve cost-share; and involve Reclamation project water.

For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.516 FORT PECK RESERVATION RURAL WATER SYSTEM**

Fort Peck Water Supply Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Fort Peck Reservation Rural Water System Act of 2000, Public Law 106-382;

American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

**OBJECTIVES:**

To ensure a safe and adequate municipal, rural, and industrial water supply for the residents of the Fort Peck Indian Reservation in the State of Montana; and to assist the citizens in those portions of Roosevelt, Sheridan, Daniels, and Valley Counties that are outside the Fort Peck Indian Reservation, in developing safe and adequate municipal, rural, and industrial water supplies.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements); Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

The project is for the construction of municipal, rural, and industrial water supply systems that will serve the Fort Peck Indian Reservation (Assiniboine and Sioux Rural Water System), and all or portions of Valley, Daniels, Sheridan and Roosevelt counties in northeastern Montana (Dry Prairie Rural Water System). At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

The Fort Peck Tribal Executive Board, Dry Prairie Rural Water Association Incorporated (or any successor non-Federal entity).

**Beneficiary Eligibility:**

The Fort Peck Indian Reservation, the Dry Prairie Rural Water Association, and the residents of all or portions of Valley, Daniels, Sheridan and Roosevelt counties in the State of Montana.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

These projects have met the requirements of the National Environmental Policy Act (NEPA) of 1969, and final engineering reports and water conservation plans have been approved. Any proposed changes in the scope of these projects will be reviewed for continued compliance. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Annual work plans and budgets are negotiated annually. The applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with technical proposals and budget narratives.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, Reclamation's Great Plains Region finalizes the amendments.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing and in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the Fort Peck project is 100 percent (Sec. 4(j)); the Federal share of the Dry Prairie Rural Water System project is 76 percent (Sec. 5(a)(2). Construction costs for both projects will total \$193 million (1998 dollars) with Dry Prairie's cost being \$68 million and the Reservation's portion being \$125 million. Funds are to be available until expended.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Beginning in fiscal year 2001, funding for these projects was authorized to be appropriated until year 2015. Method of awarding/releasing assistance: lump sum.

**Reports:**

Draft and final technical reports; quarterly recipient reports are required in [www.FederalReporting.gov](http://www.FederalReporting.gov); annual reports; and reports on significant developments (as necessary).

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Reports, SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 11 \$1,996,000; FY 12 est \$493,000; and FY 13 est \$493,000 -. (Project Grants (Cooperative Agreements or Contracts)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

Range is \$50,000 to \$40,000,000; Average \$994,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Required technical and environmental reports for the construction of municipal, rural, and industrial water supply systems; partial construction of the systems in accordance with the final engineering report. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12 and OMB Circulars - These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, PO Box 30137, Billings, MT, 59107-0137, Telephone: (406)247-7298, E-mail: [djewell@gp.usbr.gov](mailto:djewell@gp.usbr.gov).

**Headquarters Office:**

Doug Davis Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900,



316 North 26th Street, Billings, MT 59101, Billings, Montana 59107 Email: DouglasDavis@usbr.gov Phone: (406)247-7710 Fax: (406)247-7695

**Website Address:**

http://None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Not Available.  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.517 FISH AND WILDLIFE COORDINATION ACT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1934, Public Law 85-624, 16 U.S.C. 661 et seq., as amended, and Section 7(a) of the Fish and Wildlife Coordination Act (FWCA) (70 Stat 1122; 16 U.S.C. 742f(a)); as limited and delegated by the Secretary of the Interior delegation of authority to the Bureau of Reclamation at 255 DM 1.1B:

1.1 Delegation. Subject to the exceptions in Section 1.2, the Commissioner of Reclamation (Commissioner) is delegated the authority of the Assistant Secretary Water and Science to:

B. Take the following actions, either directly or by providing financial assistance to non-Federal parties, pursuant to the Conservation of Wild Life, Fish and Game Act of March 10, 1934 (Public Law 73-121; 48 Stat. 401) as amended by the Fish and Wildlife Coordination Act of August 14, 1946 (Public Law 85-624; 72 Stat. 563; 16 U.S.C. 661-666c); Section 5 of the Endangered Species Act of 1973, December 28, 1973 (Public Law 93-205; 87 Stat. 884; 16 U.S.C. 1534); and Section 7(a) of the Fish and Wildlife Coordination Act of 1956, August 8, 1956 (70 Stat. 1122; 16 U.S.C. 742f(a)), regarding the construction and/or continued operation and maintenance of any Federal reclamation project:

(1) plan, design, and construct, including acquiring lands or interest therein as needed for:

- (a) fish passage and screening facilities at any non-Federal water diversion or storage project; or
  - (b) projects to create or improve instream habitat.
- (2) acquire or lease water or water rights from willing sellers or lessors; or
- (3) monitor and evaluate the effect of Reclamation actions on Endangered Species Act- listed species.

**FOR RECOVERY ACT:**

American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5).

**OBJECTIVES:**

To provide financial assistance, through grants or cooperative agreements, to public or private organizations for the improvement of fish and wildlife habitats associated with water systems or water supplies affected by Bureau of Reclamation projects.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the

section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

In accordance with the delegation of authority to the Bureau of Reclamation in the Department of the Interior Department Manual, Part 255, Chapter 1, Section 1.1.B, projects are limited to the improvement of fish and wildlife habitat associated with water systems or water supplies affected by Bureau of Reclamation projects, and in isolated cases, off-site locations not affected by Bureau of Reclamation projects. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local governments, nonprofit organizations and institutions, public and private institutions and organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, for-profit organizations, and Native American Organizations.

**Beneficiary Eligibility:**

Anyone/general public, governmental entities, Tribal governments, Native American organizations, and/or public or private organizations in the specific project area.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environment impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Specific projects or announcements may require nonfederal cost-share. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally awarded for 1 to 5 years. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit program performance reports. Upon completion of the agreement, recipients shall submit a final program performance report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the Federal Financial Report, SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report, SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$37,217,716; FY 12 est \$35,000,000; and FY 13 est \$35,000,000. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

Range is \$1,000 to \$12,500,000; Average \$35,739,238.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Improvements to fish and wildlife habitat through award of projects that track fish and wildlife movement, habitat temperature monitoring, collection and analysis of invertebrates, genetics studies, surveying and monitoring of fish and wildlife and salinity studies, and construction of fish passage improvements. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable Office of Management and Budget Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Specific contact information will be provided in each funding announcement.

**Headquarters Office:**

Director Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

<http://www.usbr.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of funded projects include: Barkley Springs Endangered Sucker Entrainment Prevention; Long-Term Fish Disease Monitoring Program in the Lower Klamath River; Two Rivers Flycatcher Habitat Restoration; Riparian Brush Rabbit Captive Propagation; and Monitoring of Salt Cedar Beetle and an Estimate of Evapotranspiration and Water Salvage Response. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.518 GARRISON DIVERSION UNIT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Garrison Diversion Unit, Missouri River Basin Project, Public Law 89-108, as amended; Energy and Water Development Appropriation Act of 1985, Public Law 98-360; Garrison Diversion Unit Reformulation Act of 1986, Public Law 99-294; Dakota Water Resources Act of 2000, Public Law 106-554, Indian Self-Determination and Education Act, Public Law 930638, as amended; American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To meet the water needs within the State of North Dakota by providing funds on a non-reimbursable basis for the planning and construction of a multi-purpose water resource development project within the State of North Dakota for irrigation; municipal, rural, and industrial water; fish, wildlife, and other natural resource conservation and development; recreation; flood control; augmented stream flows; ground water recharge; and other project purposes. For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Different projects and programs under the authorization have different cost ceilings. The Bureau of Reclamation's Great Plains Region shall enter into cooperative agreements with the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa and the Trenton Indian Service Area to undertake the authorized activities, programs and

projects as the Secretary of the Interior determines necessary.

**Applicant Eligibility:**

The State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, the Turtle Mountain Band of Chippewa and the Trenton Indian Service Area.

**Beneficiary Eligibility:**

The citizens of the State of North Dakota and the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa.

**Credentials/Documentation:**

See Public Law 99-294, Section 2, for considerations to be given to fish and wildlife conservation, including habitat impacts, mitigation procedures, and enhancement. See Public Law 99-294, Section 3, regarding when it may be necessary for applicants to complete a comprehensive report covering feasibility, capability, impacts, cost and efficiency measures, National Environmental Policy Act requirements, and other matters. Please contact the Bureau of Reclamation personnel listed in the Contacts section, below, for further information regarding these requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication is not required. Depending on the project, an environmental impact assessment or statement may be required. If requested, the Bureau of Reclamation's Great Plains Region will assist the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, and the Turtle Mountain Band of Chippewa and the Trenton Indian Service Area in preparing their respective proposals. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications shall include: (1) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timelines, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation; and (2) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services. Applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with their technical and budget proposals.

**Award Procedure:**

Once the parties agree with their respective scopes of work and cooperative agreements, the Bureau of Reclamation's Great Plains Region will finalize the agreements. The Bureau of Reclamation's Great Plains Region will negotiate and enter into cooperative agreements with the State of North Dakota, the Garrison Conservancy District, the Standing Rock Sioux, the Three Affiliated Tribes, the Spirit Lake Nation, the Turtle Mountain Band of Chippewa and the Trenton Indian Service Area. The tribes may choose to enter into an agreement under Public Law 93-638, the Indian Self-Determination and Education Assistance Act. For those agreements that are in place, the Bureau of Reclamation negotiates annually the workplan and budget for that fiscal year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of

Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Quarterly Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly online reporting is required by the 10th of the month following each quarter end, in accordance with ARRA PL 111-5, Section 1512 and related regulations at 2 CFR 176, Subpart A. Cash reports are not applicable. Progress reports are not applicable. Quarterly SF-425, Federal Financial Report and upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. FOR RECOVERY ACT: 2 CFR 176, Subpart D Single Audit Information for Recipients of Recovery Act Funds and specific ARRA information in OMB Circular A-133. Separate tracking of ARRA funds. Separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SFSAC). Identify ARRA titles by inclusion of the prefix ARRA- in identifying the name of the Federal program on the SEFA and SFSAC.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82 or 25 CFR 900 Subpart F, if applicable. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - ARRA.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 11 \$32,708,692; FY 12 est \$13,607,000; and FY 13 est \$0. (Project Grants (Cooperative Agreements or Contracts)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

Range is \$2,000 to \$40,000,000; Range \$15,438,564.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Standing Rock, Three Affiliated, Spirit Lakes Tribes, Turtle Mountain Band of Chippewa and the Trenton Indian Service Area entered into and completed a number of construction contracts for MR & I of the Garrison Project. North Dakota State MR & I Program also completed a number of rural water contracts. Operation and maintenance activities were also accomplished on the tribal rural water systems and GDU principal supply works and wildlife areas. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and the OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701) 221-1201, E-mail: dbreitzman@usbr.gov.

**Headquarters Office:**

Leatha Smith-Frost, Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: LSmithFrost@usbr.gov Phone: (406) 247-7818.

**Website Address:**

<http://www.usbr.gov/gp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funds were used to construct the Standing Rock Memorial Intake Structure and start construction on the new Standing Rock water treatment plant and raw water pipeline. Expansion of the water treatment plants and pipeline distribution systems for the Tree Affiliated Tribes water systems. Continuing the Spirit Lake Tribe Water Treatment Plant pilot study and design. Construction of new water treatment plants for Emmons County and Southwest Pipeline projects. Continued operation and maintenance of tribal rural water systems and GDU principal supply works. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling, and any stated evaluation criteria. For Recovery Act projects: The purposes are among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.519 INDIAN TRIBAL WATER RESOURCES DEVELOPMENT, MANAGEMENT, AND PROTECTION**

Indian Tribal Water Resources

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Resolution, 2003, Division D Energy and Water Development Appropriations, Title II, Section 201, Public Law 108-7. American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

**OBJECTIVES:**

To increase opportunities for Indian tribes to develop, manage, and protect their water resources.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are authorized to increase opportunities for Indian tribes to develop, manage, and protect their water resources. Nothing in

this Act is intended to modify or limit the provisions of the Indian Self-Determination Act (25 U.S.C. 45 et seq.). For further information, please contact the regional office.

**Applicant Eligibility:**

Federally recognized Indian tribes, institutions of higher education, national Indian organizations, and tribal organizations located in the 17 western States identified in the Act of June 17, 1902, as amended; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming.

**Beneficiary Eligibility:**

Federally recognized Indian tribes in the 17 western states.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of Bureau of Reclamation program managers who are qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally last one to two years. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82. Institutions of higher education shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - ARRA.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$2,904,654; FY 12 est \$2,000,000; and FY 13 est \$2,000,000. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

\$5,000 to \$120,000; Average \$2,301,551.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Projects have been awarded which address a wide variety of tribal water resources needs and issues, including water quality, groundwater, water conservation, habitat restoration, and water needs assessments. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Pacific Northwest Region: Telephone:(208)378-5008, Web: <http://www.usbr.gov/native/regions/pn/index.html>; Mid-Pacific Region: Telephone: (916) 978-5194, Web: <http://www.usbr.gov/native/regions/mp/index.html>; Lower Colorado Region: Telephone: (702) 293-8426, Web: <http://www.usbr.gov/native/regions/lc/index.html>; Upper Colorado Region: Telephone: (801) 524-3674, Web: <http://www.usbr.gov/native/regions/uc/index.html>; Great Plains Region: Telephone: (406) 247-7710, Web: <http://www.usbr.gov/native/regions/gp/index.html>.

**Headquarters Office:**

Director Native American and International Affairs Office, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)513-0550

**Website Address:**

<http://www.usbr.gov/native/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Water quality monitoring and remediation, infrastructure assessments, irrigation project rehabilitation, watershed improvement, habitat restoration water conservation, drought relief, aquifer studies and monitoring, erosion control, and infrastructure improvement. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed projects must be related to the development, management and

protection of Indian tribal water resources.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.520 LEWIS AND CLARK RURAL WATER SYSTEM**

(Lewis and Clark Project)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Fiscal Year 2000, Department of Defense Supplemental Appropriations Act, Division B, Chapter 3, Title IV, Lewis and Clark Rural Water System, Public Law 106-246; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide safe and adequate municipal, rural, and industrial water supplies, mitigation of wetland areas and water conservation for the Lewis and Clark Rural Water System member entities located in southeastern South Dakota, southwestern Minnesota, and northwestern Iowa. For Recovery Act funded projects and in addition to the program objectives stated above, Section 3 of the Act states the following objectives: (1) To preserve and create jobs and promote economic recovery; (2) To assist those most impacted by the recession; (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health; (4) To invest in transportation, environmental protection and other infrastructure that will provide long-term economic benefits; and (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This project is for the planning and construction of a bulk water supply system to provide municipal, rural, and industrial water supplies, mitigation of wetland areas and water conservation for the Lewis and Clark Rural Water System member entities located in southeastern South Dakota, southwestern Minnesota member entities located in southeastern South Dakota, southwestern Minnesota, and northwestern Iowa. Congress has specifically authorized the Bureau of Reclamation to administer this project in southwestern Minnesota and northwestern Iowa. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements. For Recovery Act: Acceleration of planning and construction of Lewis and Clark Rural Water System already in progress.

**Applicant Eligibility:**

The Lewis and Clark Rural Water Supply System, Inc., and its member entities (rural water systems and municipalities that meet the requirements for membership in the Lewis and Clark Rural Water Supply System, Inc.).

**Beneficiary Eligibility:**

Fifteen communities and 5 rural water systems in Lake, McCook, Minnehaha, Turner, Lincoln, Clay, and Union Counties, in southeastern South Dakota; Rock and Nobles Counties, in Southwestern Minnesota; and Lyon, Sioux, Osceola, O'Brien Dickinson, and Clay Counties, in northwestern Iowa.

**Credentials/Documentation:**

The project requires submission of a final engineering report, National Environmental Policy Act compliance, a plan for water conservation and mitigation plans for fish and wildlife losses in accordance with Section 4104 of the Act. OMB Circular A-87 requirements are applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Amendments to incorporate annual work plans and budgets are negotiated annually. The recipient must submit all applicable SF-424 Application for Federal Assistance forms, along with (1) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timelines, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation; and (2) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the amendments.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Grantees are required to update their work plan and submit a current year budget annually.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of the project is 80 percent; except that Federal funds for the City of Sioux Falls, South Dakota, shall be 50 percent of the incremental cost to the city of participation in the project. (Public Law 106-246, Section 4108). MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will be available until all appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. As of September 30, 2009, the federal appropriation ceiling (October 2011 price levels) as prepared by the Bureau of Reclamation was \$393,769,000 and the projected cost ceiling from all funding sources was \$499,806,000. The amount and timing of disbursement of assistance is based on progress and need. Payments will be made using the Automated Standard Application for Payment (ASAP). FOR RECOVERY ACT: See the cooperative agreement for start and end dates. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports during the term of agreement: (1) SF-425, Federal Financial Report; and (2) Program Performance Reports. Upon completion of the agreement, recipients shall submit a final: (1) SF-425, Federal Financial Report; and (2) Program Performance Report; and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. FOR RECOVERY ACT: For Recovery Act projects, quarterly online reporting is required by the 10th of the month following each quarter end, in accordance with ARRA PL 111-5, Section 1512 and related regulations at 2 CFR, Subpart A. Cash reports are not applicable. Progress reports are not applicable. Quarterly and final Federal Financial Report, SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For Recovery Act: 2 CFR 176, Subpart D - Single Audit Information for Recipients of Recovery Act Funds and specific ARRA information on OMB Circular A-133. Separate tracking of ARRA funds. Separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC). Identify ARRA titles by inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and SF-SAC.

**Records:**

Project records shall be maintained in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,041,000; FY 12 est \$346,000; and FY 13 est \$0. (Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

Range is \$600,000 to \$83,801,869; Average \$795,667.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments include completion of 11-miles of 54-inch, and 1 mile of 24 and 30-inch steel treated water pipeline; 11 miles of 6 and 10-inch PVC service lines; completed Phase I of water treatment plant (WTP); site work, piping and pedestal completed for 3 million gallon (MG) water tower; the erection of two 7.5 MG ground storage reservoirs are mostly complete as is the piping and appurtenant structures. The WTP Phase 2 contractor has completed the concrete work for the solids contact area, recarbonation basins. The mechanical and electrical equipment is being installed and the precast columns, beams, wall and double tee roof panels are being set. The lime sludge drying beds and associated site piping are complete. The electrical station is being erected. The site piping has been installed. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars; these documents may also be obtained by contacting the Bureau of Reclamation office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: P.O. Box 1017, Bismarck, ND 58501, Telephone: (701)221-1201, E-mail: dbreitzman@gp.usbr.gov .

**Headquarters Office:**

Lindsey Nafts, Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: LNafts@usbr.gov Phone: (406) 247-7684

**Website Address:**

<http://www.lcrws.org/>.

**RELATED PROGRAMS:**

15.518 Garrison Diversion Unit; 15.522 Mni Wiconi Rural Water Supply Project

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Planning, design, and construction of the Lewis & Clark Rural Water Supply System. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scope of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling. FOR RECOVERY ACT:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other

infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

## **15.521 LOWER RIO GRANDE VALLEY WATER RESOURCES CONSERVATION AND IMPROVEMENT**

Lower Rio Grande Valley Irrigation Projects

### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

### **AUTHORIZATION:**

Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2000, Public Law 106-576, as amended; Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2002, Public Law 107-351.

### **OBJECTIVES:**

Awards will be made to investigate and identify opportunities to improve the supply of water in the program area identified as the counties in the State of Texas in the Rio Grande Regional Water Planning Area known as Region "M" as designated by the Texas Water Development Board; and the counties of Hudspeth and El Paso, Texas. The program includes the review of studies and planning reports, conduct of or participation in funding engineering work, infrastructure construction, and improvements for the purpose of conserving and transporting raw water.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Cost ceilings of \$8,000,000 for conservation and improvements (section 3(g)) and \$47,000,000 for construction (section 4(c)). Reclamations Great Plains Region will enter into cooperative agreements with the State of Texas, water users in the program area, specified irrigation districts, and other non-Federal entities to carry out the project if the Secretary of the Interior determines such agreements would be cost-effective and efficient. A substantial portion of this program is directed toward funding 19 construction projects specifically identified in the Lower Rio Grande Valley Water Resources Act, as amended.

### **Applicant Eligibility:**

The State of Texas, water users in the program area, specified irrigation districts, and other non-Federal entities.

### **Beneficiary Eligibility:**

The general public located in the state of Texas.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Applicants shall provide a report in accordance to Sec. 3(c) of the Act that includes, but is not limited to, (a) estimated project costs, conservation measures, and operational efficiency improvements, (b) a project plan and map, and (c) a cost-sharing commitment for applicant funding of its proportional share of project construction costs on an annual basis. Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. Environmental compliance for this program may be required depending on the scope of the specific project funded. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Scopes of Work are provided to the Bureau of Reclamation for annual award and funding.

### **Award Procedure:**

Specific recipients are identified in the authorizing legislation.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project.

### **Appeals:**

Not Applicable.

### **Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The non-Federal share of total project costs shall be 50 percent. Not more than 40 percent of the project costs may be paid by the State. The remainder of the non-Federal share may include in-kind contributions of goods and services, and the actual funds previously spent on feasibility and engineering studies. Awarded agreements must contain a commitment by the non-Federal project sponsors to fund their proportionate share of the project's construction costs on an annual basis. (Public Law 106-576, Section 4(b), as amended).

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established with the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

### **Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

### **Account Identification:**

14-0680-0-1-301.

### **Obligations:**

(Cooperative Agreements) FY 11 \$319,187; FY 12 est \$0; and FY 13 est \$0

### **Range and Average of Financial Assistance:**

\$5400,000 to \$7,400,000; Average \$106,396.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments include two completed projects

with Delta Lake and Harlingen Irrigation Districts and three construction projects are ongoing with Cameron County Irrigation District #2, Hidalgo County Irrigation District #6, and United Irrigation District. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Oklahoma Texas Area Office: Mr. Mark Trevino, Area Manager, Bureau of Reclamation, Address: 5316 Highway 290 West, Suite 510, Austin, TX 78735-8931, Telephone: (512) 899-4150, E-mail: mtrevino@gp.usbr.gov .

**Headquarters Office:**

Mr. Kimball M. Banks, Bureau of Reclamation, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101 Email: kbanks@gp.usbr.gov Phone: (406) 247-7710 Fax: (406) 247-7695.

**Website Address:**

<http://www.usbr.gov/gp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The examples of funded projects include agreements with Harlingen Irrigation District for canal lining/piping existing canals and automation and telemetry; Cameron County ID #2 for pump station replacement/canal lining/piping existing canals; Delta Lake ID for canal lining/piping existing canals and telemetry and gate automation; Hidalgo County ID #6 for lining of existing canals and telemetry; and United ID for piping existing canals and pump station rehabilitation. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must be compatible with the authorizing legislation and the appropriation ceiling.

**15.522 MNI WICONI RURAL WATER SUPPLY PROJECT**

Mni Wiconi Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Mni Wiconi Rural Project Act of 1988, Public Law 100-516, as amended; Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title VIII, Mni Wiconi Act Amendments of 1994, Public Law 103-434; American Recovery and Reinvestment Act of 2009, Public Law - .

**OBJECTIVES:**

To ensure a safe and adequate municipal, rural, and industrial water supply for the residents of the Pine Ridge Indian, Rosebud Indian, and Lower Brule Indian Reservations in South Dakota; to assist the citizens of Haakon, Jackson, Jones, Lyman, Mellette, Pennington, and Stanley Counties, South Dakota, to develop safe and adequate municipal, rural, and industrial water supplies; to promote the implementation of water conservation programs at these locations; to provide certain benefits to fish, wildlife, and the natural environment of South Dakota; and in consultation with the Oglala, Rosebud, and Lower Brule Sioux Tribes, to conduct feasibility studies on the need to develop water disposal facilities and systems and rehabilitate existing waste water disposal facilities and systems on the Pine Ridge, Rosebud, and Lower Brule Indian Reservations.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.

(5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Agreements are limited to planning, designing, constructing, operating, maintaining, and replacing the Oglala Sioux, the Rosebud, and the Lower Brule Sioux Rural Water Supply Systems; and for planning and construction of the West River Rural Water System and the Lyman-Jones Rural Water System. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

**Applicant Eligibility:**

West River/Lyman-Jones Water Systems; the Oglala, Rosebud, and Lower Brule Sioux Tribes; and non-Federal entity or entities. Section 3(b) of Public Law 100-516 states the Secretary, with the concurrence of the Oglala Sioux Tribal Council, shall enter into agreements with the appropriate non-Federal entity or entities for planning, designing, constructing, operating, maintaining and replacing the Oglala Sioux Rural Water Supply System..

**Beneficiary Eligibility:**

The citizens of the southwest quarter of the State of South Dakota, including the Oglala, Rosebud, and Lower Brule Indian Reservations.

**Credentials/Documentation:**

Agreements for construction of projects entered into for the West River/Lyman-Jones Rural Water Systems must be in accordance with the final engineering reports submitted by each project applicant. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication is not required. Depending on the project, an environmental impact assessment or statement may be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. At the present time, program funding is limited to amendments of existing agreements. Amendments to incorporate annual work plans and budgets are negotiated annually.

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications. Responsibilities for needs assessments, feasibility and environmental studies, design, conservation measures and administration are to be included in agreements negotiated under this authority.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of tribal projects is 100 percent. The Federal share of the West River/Lyman Jones projects is 80 percent. (Public Law 103-434, Section 805).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**



The current sunset date for the Mni Wiconi Project is December 31, 2013. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required.

For Recovery Act projects, quarterly online reporting is required by the 10th of the month following each quarter end, in accordance with ARRA PL 111-5, Section 1512 and related regulations at 2 CFR 176, Subpart A. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report and upon completion of the agreement a final report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 11 \$21,301,207; FY 12 est \$23,965,000; and FY 13 est \$0. (Project Grants (Cooperative Agreements or Contracts)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

Range is \$50,000 to \$20,000,000; Average \$15,088,736.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Construction on the OSRWSS Core System was completed in 2010. Construction of pipeline distribution systems on the Pine Ridge Reservation, Rosebud Reservation and West River Lyman/Jones is continuing. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; 25 CFR 900, <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=2564e880f187e8168bb217e74c55909d&rgn=div5&view=text&node=25:2.0.4.10.1&idno=25/>; and OMR Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dakotas Area Office: Mr. Denny Breitzman, Area Manager, Bureau of Reclamation, Address: PO Box 1017, Bismarck, ND 58501, Telephone: (701) 250-4242, E-mail: [dbreitzman@gp.usbr.gov](mailto:dbreitzman@gp.usbr.gov).

**Headquarters Office:**

Doug Davis, Bureau of Reclamation, Great Plains Region Office , P.O. Box 36900, 316 North 26th Street , Billings, Montana 59101 Email: [ddavis@usbr.gov](mailto:ddavis@usbr.gov) Phone: (406) 247-7710 Fax: (406) 247-7695.

**Website Address:**

<http://www.usbr.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Mni Wiconi Project constructed primarily rural water pipeline conveyance and distribution systems in Fiscal Year 2010 and 2011. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the appropriation ceiling.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.524 RECREATION RESOURCES MANAGEMENT**

Title XXVIII

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Federal Water Projects Recreation Act of 1965, Pub. L. 89-72 as amended; Reclamation Management Act of 1992, Pub. L. 102-575, Title XXVIII.

FOR RECOVERY ACT:

American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5) , Public Law -.

**OBJECTIVES:**

To provide cost-share opportunities with non-Federal recreation partners (e.g. state, county, local governments, etc.), to assist in planning, development, operation, maintenance, and replacement of recreation and fish and wildlife resource facilities at partner managed Reclamation project recreation areas.

FOR RECOVERY ACT:

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Cost share agreements are used to provide assistance to non-Federal managing partners, who currently manage or will be managing one or more Reclamation project recreation areas, for the long-term management and care of publicly-owned recreation resources, and for the planning, construction and other facets of improving recreation access and assets. Concession contracts are not authorized by the above authorities. For further information, please contact the regional office.

**Applicant Eligibility:**

Non-Federal managing partners (e.g., state, county, local government entities, etc.), that currently manage or will be managing one or more Reclamation project recreation areas.

**Beneficiary Eligibility:**

Non-Federal recreation management partners.

**Credentials/Documentation:**

Pub. L. 89-72, as amended, requires that perspective non-Federal managing partners that will be entering into long-term agreements for management of Reclamation project recreation areas indicate their intent in writing to administer Reclamation project recreation areas and enter into such long-term agreements for management of recreation and fish and wildlife facilities. Management agreements must be current for existing partners. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for categorical exclusion, environmental assessment, or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State and local governments that have managing partner agreements with Reclamation submit proposals with detailed scopes of work and budgets for recreation as well as fish and wildlife improvement projects.

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications are reviewed by the Bureau of Reclamation office having administrative jurisdiction of the land and water areas being considered for public recreation purposes.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be communicated to the Recipient. The financial assistance agreements are renewable if both the Bureau of Reclamation and the state or local partner are in mutual agreement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: In the case of recreation development, a minimum cost share of 50 percent is required from a non-Federal partner. For fish and wildlife enhancement projects, the Federal share is exactly 75 percent of the project cost. (16 U.S.C. 4601-13(a)).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are typically for 1 to 5 years depending on the type of project. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement, recipients shall submit the following reports on an annual basis: (1) SF-425, Federal Financial Report; and (2)

Program Performance Reports. Upon completion of the agreement, recipients shall submit a final: (1) SF-425, Federal Financial Report; and (2) Program Performance Report; and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on a quarterly basis the Federal Financial Report SF 425. Upon completion of the agreement, recipients shall submit a final Federal Financial Report SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301 - Recovery Act; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$7,495,959; FY 12 est \$3,783,000; and FY 13 est \$3,407,000. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$15,000,000; Average \$4,895,320.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Management agreements with Reclamations non-Federal managing recreation partners facilitate long-term recreation and fish and wildlife management at Reclamation project recreation areas. Program accomplishments at Reclamations project recreation areas include, but are not limited to, the following: Architectural Barriers Act (ABA) and Americans with Disabilities Act (ADA) compliance projects at campsites, day-use areas, restroom facilities, etc.; new water treatment systems to service the recreation area facilities; boat ramp installations/replacements; public health and safety improvements; preparation of resource and or recreation management plans and, operation and maintenance of Reclamations designated recreation and fish and wildlife areas and facilities. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. Program information is included in the Reclamation Manual, Directive and Standards, Implementing Cost-Sharing Authorities for Recreation and Fish and Wildlife Enhancement Facilities, LND 01-01, available at <http://www.usbr.gov/recman/Ind/Ind01-01.pdf>. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Pacific Northwest Region: (208) 378-5312; Mid-Pacific Region: (916) 978-5558; Lower Colorado Region: (702) 293-8375; Upper Colorado Region: (801) 524-3765; Great Plains Region: (406) 247-7714.

**Headquarters Office:**

Vic Grizzle Bureau of Reclamation, P.O. Box 25007 (84-53000), Denver, Colorado 80225-0007 Email: [vgrizzle@usbr.gov](mailto:vgrizzle@usbr.gov) Phone: (303) 445-2711 Fax: (303) 445-6690

**Website Address:**

<http://www.usbr.gov/pmts/planning/>

**RELATED PROGRAMS:**

Not Applicable.

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2011: Cost-share cooperative agreements were awarded to non-Federal partners (e.g., state, county, local governmental entities, etc.) to facilitate planning, development, operation, and maintenance of recreation and fish and wildlife facilities on numerous Bureau of Reclamation water project recreation areas. Examples of funded projects include Malheur County removing and replacing half of the boat ramp at Bully Creek Reservoir in Oregon in 2010. In 2010, Oregon Parks and Recreation Department (OPRD) installed accessible parking areas, a phone, access routes and an information kiosk at Indian Creek Campground at Lake Owyhee State Park; completed significant accessibility upgrades at Unity Lake State Recreation Area including parking, signs, access routes, two RV sites, an entry station, and demolition/stubbing in plumbing for a new accessible restroom; completed the construction of two new accessible picnic sites with parking and access routes to the new restroom in the day use area at Unity Lake State Recreation Area; resurfaced Loop A in the campground to include an accessible RV site, cabin parking and access routes, a new pay/information station with parking and revised signage to show the location of accessible features; and installed an accessible RV site and information kiosk at McCormack Campground at Lake Owyhee. The City of American Falls, Idaho installed accessible parking at the caf retrofitted the restroom/shower/laundry facility in the campground for accessibility (including access routes and parking) at Willow Bay Recreation Area on American Falls Reservoir. IDPR installed electricity for the restrooms and accessible RV sites at the Big Sage Campground and made numerous accessibility improvements at seven recreation sites to eliminate existing accessibility deficiencies at Lake Cascade State Park. The project was completed in 2010. The City of Donnelly, Idaho completed an upgrade in 2010 on their existing campground, installed four new RV sites including two accessible sites with access routes the restroom, fire rings, tables and tent pads. Santa Barbara County Parks Department completed and designed a new treatment plant and a new roof was constructed over the facility. Reclamation is providing cooperative reimbursements to Nevada State Parks for operations and maintenance funds to avoid a recreation area turn back. There were continued cost-share arrangements with States of Colorado, New Mexico, and Utah to rehabilitate facilities and perform accessibility retrofits as well as implement an aquatic invasive species boat inspection, cleaning, and quarantine program at Navajo Reservoir, New Mexico. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

In no priority order and at the discretion of each Reclamation office, cost-share funding that will: (a) Provide for the public's health and safety; (b) Comply with Federal, State, and local laws and regulations; (c) Protect critical resources such as wetlands, critical wildlife habitat, endangered and threatened species, and cultural resources; and (d) Modernize existing facilities to meet current standards.

For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

## 15.525 ROCKY BOYS/NORTH CENTRAL MONTANA REGIONAL WATER SYSTEM

North Central Montana Rural Water Supply Project

### FEDERAL AGENCY:

Bureau of Reclamation, Department of the Interior

### AUTHORIZATION:

Indian Financing Amendments Act of 2002, Title IX Rocky Boys/North Central Montana Regional Water System Act of 2002, Pub. L. 107-331.

### FOR RECOVERY ACT:

American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5), Public Law -.

### OBJECTIVES:

To ensure a safe and adequate rural, municipal, and industrial water supply for the residents of the Rocky Boy's Reservation in the State of Montana, and to assist the citizens residing in Chouteau, Glacier, Hill, Liberty, Pondera, Teton, and Toole Counties, Montana, but outside the Reservation, in developing safe and adequate rural, municipal, and industrial water supplies. FOR RECOVERY ACT:

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

### TYPES OF ASSISTANCE:

Project Grants (Cooperative Agreements or Contracts)

### USES AND USE RESTRICTIONS:

Construction of a rural water supply system that will serve the Chippewa-Cree of the Rocky Boy's Indian reservation and the surrounding, off-reservation communities in north central Montana. At the present time, no new project awards are being made under this authority. Funding is only available for continuation of existing agreements.

### Applicant Eligibility:

The Chippewa-Cree of the Rocky Boy's Indian Reservation and the North Central Montana Regional Water Authority.

### Beneficiary Eligibility:

The Chippewa-Cree of the Rocky Boy's Indian Reservation and inhabitants of the areas served by the North Central Montana Regional Water Authority in Chouteau, Glacier, Hill, Liberty, Pondera, Teton, and Toole Counties, Montana.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

The Bureau of Reclamations Great Plains Region will assist the Chippewa-Cree of the Rocky Boys Indian Reservation and members of the North Central Montana Regional Water Authority in preparing their respective annual funding agreements or financial assistance agreements. Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. At the present time, program funding is provided only for the continuation of existing agreements. Amendments to incorporate annual work plans and budgets are negotiated annually with the current recipients. Current recipients submit applicable SF-424 forms, technical proposals, and budget narratives for Bureau of Reclamation review.

### Award Procedure:

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamation's Great Plains Region finalizes the modifications.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Not Applicable.

### Appeals:

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: The Federal share of the Rocky Boy's Rural Water System project is 100 percent. The Federal share of the North Central Montana Regional Water Authority project is 80 percent. (Section 904(b) and (c), Section 905(b)).  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are to be available until expended. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Report. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 11 \$998,000; FY 12 est \$493,000; and FY 13 est \$493,000. (Project Grants (Cooperative Agreements or Contracts)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

\$50,000 to \$10,000,000; Average \$661,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Required technical and environmental reports for the construction of municipal, rural, and industrial water supply systems; beginning construction of the systems in accordance with the final engineering report.  
Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, PO Box 30137, Billings, MT, 59107-0137. Telephone: (406) 247-7298, E-mail: djewell@gp.usbr.gov/.

**Headquarters Office:**

Doug Davis, Bureau of Reclamation, Great Plains Region Office , P.O. Box

36900, 316 North 26th Street , Billings, Montana 59101 Email: DouglasDavis@usbr.gov Phone: (406) 247-7710 Fax: (406) 247-7695.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Initial construction activities for the water supply system, such as pipelines, Water Treatment Plant, and raw water intake building construction. Once built out, the system will supply water to the Rocky Boy Indian Reservation and for all or portions of Hill, Liberty, Toole, Pondera, Teton and Chouteau counties in North Central Montana. These projects are for the supply and distribution of clean drinking water to these areas. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling. For ARRA funded projects: The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.526 SAN GABRIEL BASIN RESTORATION PROJECT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

San Gabriel Basin Restoration Project, Appendix D, Division B, Title I, Section 110, Public Law 106-554, as amended; Energy and Water Development Appropriations Act, 2002, Title II, Section 202, Public Law 107-66; and Section 2 of Reorganization Plan Number 3 of 1950, 64 Stat. 1262, as amended.

**OBJECTIVES:**

To design, construct, operate, and maintain water quality projects within the San Gabriel Basin, Los Angeles County, California.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project grants can only be issued to reimburse recipients for the Federal share of costs associated with the design, construction, operation, and maintenance of water quality improvement projects within the San Gabriel Basin, located in Los Angeles County, California.

**Applicant Eligibility:**

San Gabriel Basin Water Quality Authority (or its successor agency) and/or the Central Basin Municipal Water District.

**Beneficiary Eligibility:**

General public, all users and indirect users of groundwater supplies in the San Gabriel Basin.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants are encouraged to consult with the Bureau of Reclamation, Southern California Area Office (SCAO), for assistance in preparing project proposals and preliminary review of project descriptions and budgets, including assurance of compliance with the National Environmental Policy Act and related laws and orders. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. The applicant must submit SF 424 Application for Federal Assistance documents; detailed project technical descriptions and budgets; and all information required under the terms of the applicable appropriations law.

**Award Procedure:**

Bureau of Reclamation personnel will review (1) the application package to ensure that all required documents are complete, accurate, and satisfy all provisions of applicable law, (2) the project budgets and description to ensure the appropriation language requirements are met, and (3) the project descriptions for technical issues and consistency with applicable policies, and budgets for appropriateness of cost estimates. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed by both parties.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Typical range of 2-6 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be applicable and are subject to appropriated funds. Revised SF-424 forms are required when applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 35%. A minimum of 35 percent non-Federal cost share is required by Public Law 106-554, Section 110(a)(3)(B), as amended. The cost share can be provided from any non-Federal source; and, in accordance with Section 110(a)(3)(B)(iii), credit toward the non-Federal cost share can be given for the value of certain prior project expenditures.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements for planning and construction projects are generally awarded for up to 5 years. Funds for operation and maintenance can be provided for a period not to exceed 10 years following the initial date of operation of the project, or until the project funding ceiling has been reached, whichever occurs first. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. State, Local and Indian Tribal governments shall maintain project records in accordance with 43 CFR

12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-5483-0-2-301.

**Obligations:**

(Project Grants) FY 11 \$270,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$2,149,000 to \$69,000,000; Average \$90,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Three existing grant agreements are being funded. One will complete the construction of a specific facility, and the other two provide funds for the operation and maintenance of four facilities that extract contaminated groundwater from the San Gabriel Basin, treat it to potable standards, and use the water for potable purposes. The projects provide a safe source of potable water while remediating groundwater contamination that has been designated as operable units under the EPA superfund program. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12, OMB Circulars, Program guidelines: Department of the Interior, Delegation of Authority for the San Gabriel Basin Restoration Project, Order No. 3241, Amendment No. 4; San Gabriel Basin Water Quality Authority, Federal Funding Program Administration guidelines, <http://www.wqa.com/pdfs/FFPA3.pdf>. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Dennis Wolfe, Area Engineer, Southern California Area Office, Telephone: (951) 695-5310; Fax: (951) 695-5319; E-mail: [dwolfe@usbr.gov](mailto:dwolfe@usbr.gov).

**Headquarters Office:**

NA NA, Washington, District of Columbia NA Phone: NA

**Website Address:**

<http://www.usbr.gov/lc/socal/>

**RELATED PROGRAMS:**

15.504 Water Reclamation and Reuse Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: San Gabriel Valley Groundwater Remediation, Central Basin Water Quality Protection Plan. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are limited to the San Gabriel Basin Water Quality Authority or the Central Basin Municipal Water District. Projects must improve the quality of the groundwater in the San Gabriel Basin, located in Los Angeles County, California. The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the appropriation ceiling.

**15.527 SAN LUIS UNIT, CENTRAL VALLEY PROJECT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

San Luis Unit, Central Valley Project Act of June 3, 1960, Public Law 86-488, 74 Stat. 156, Section 5.

**OBJECTIVES:**

Construction and operation of facilities to provide drainage service to lands within the San Luis Unit of central California.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

To be used for projects that will result in construction and operation of drainage facilities in the San Luis Unit and adjacent areas. For further information, please contact the regional office.

**Applicant Eligibility:**

Any responsible source, to include irrigation and/or water districts, State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Beneficiary Eligibility:**

General public, irrigation and/or water districts, State and local entities, farmers and ranchers, agricultural producers, and property owners.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal experts in the program area; however, non-Federal experts may be utilized for specific project reviews. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: There is no statutory requirement for cost sharing; however, applicants are encouraged to provide a cost share whenever possible. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing information, as applicable, will be included in funding announcements for this program on [www.grants.gov](http://www.grants.gov). See the following for

information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$270,170; FY 12 est \$505,600; and FY 13 est \$576,900

**Range and Average of Financial Assistance:**

\$35,000 to \$209,000; Average \$450,890.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2011 financial assistance accomplishment included five cooperative agreements from \$35,000 to \$200,000 in support of the Grassland Bypass Project. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation.

**Regional or Local Office:**

See Regional Agency Offices. Technical/Program Information: Bureau of Reclamation, South-Central California Area Office, Attention: Michael C.S. Eacock, 1243 N Street, Fresno, CA, 93721. Telephone: (559) 487-5133. Fax: (559) 487-5130. E-mail: [ceacock@mp.usbr.gov](mailto:ceacock@mp.usbr.gov).

Acquisition Office: Bureau of Reclamation, Mid-Pacific Regional Office, Acquisition Services, 2800 Cottage Way, Room E-1815, Sacramento, California 95825-1898. Telephone: (916) 978-5130. Fax: (916) 978-5175/5182. E-mail: [2WG3@mp.usbr.gov](mailto:2WG3@mp.usbr.gov).

**Headquarters Office:**

NA NA, Washington, District of Columbia NA Phone: NA

**Website Address:**

<http://www.mp.usbr.gov>.

**RELATED PROGRAMS:**

15.506 Water Desalination Research and Development Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Fiscal Year 2011 projects included the WRDP for design and construction of infrastructure to reuse agricultural drainage to irrigate salt tolerant crops and environmental mitigation (remove hazard to wildlife by converting open ditches to pipeline) and GBP for monitoring physical and biological parameters; peer review; publication of data and technical reports. For Fiscal Year 2012, it is anticipated there will be continuation of prior projects with modifications to suit new regulatory requirements. Fiscal Year

2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov).

**15.528 ST. MARY STORAGE UNIT FACILITIES REHABILITATION PROJECT**

St. Mary Rehabilitation Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Energy and Water Development Appropriations Act, 2006, Title II, Public Law 109-103.

**OBJECTIVES:**

The funds are to be used on a non-reimbursable basis to fund consultation with the U. S. Fish and Wildlife Service (USFWS) and NEPA compliance for the purpose of complying with the Endangered Species Act (ESA) as it relates to bull trout in the St. Mary River drainage and to the St. Mary Storage Unit facilities, Milk River Project, Montana.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Cooperative agreements may be awarded to the state of Montana and/or the Blackfeet Nation to carry out the project if the Secretary of the Interior determines such agreements would be cost-effective and efficient.

**Applicant Eligibility:**

The State of Montana and the Blackfeet Nation of Montana.

**Beneficiary Eligibility:**

The citizens of the State of Montana and the Blackfeet Nation of Montana.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

If requested, the Bureau of Reclamation's Great Plains Region will assist both the State of Montana and Blackfeet Tribe of Montana in preparing their respective proposals. Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit all applicable SF-424 Application for Federal Assistance forms, along with (1) A detailed written technical proposal including the background data regarding the applicant, technical approach proposed to accomplish the work, a scope of work that separates the work into major tasks, type of personnel implementing the proposal, experience in performing this type of work, timeline(s), the level of cooperation with other parties involved in the proposal, and other information that may be useful for proposal evaluation. (2) A detailed project cost proposal, including a budget with the estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and other indirect costs, and the value of any in-kind contributions of goods and services.

**Award Procedure:**

Once the parties agree with their respective scopes of work, Reclamation's Great Plains Region will negotiate and enter into cooperative agreements with both the State of Montana and the Blackfeet Tribe. The Tribe may choose to enter into an agreement under Public Law 93-638 (Indian Self-Determination and Education Assistance Act) Agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There is no time restriction placed on the use of the funds. A schedule will be established between the Bureau of Reclamation and the recipient at the time of award. Any request for a time extension must be in writing in accordance with the provisions stated in the agreement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit reports on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$0 to \$500,000; Average \$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Consultation with USFWS under ESA, NEPA compliance efforts, and related preliminary conceptual design work to attain compliance with ESA as it relates to bull trout, which is a threatened species under ESA. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Montana Area Office: Mr. Dan Jewell, Area Manager, Bureau of Reclamation, Address: PO Box 30137, Billings, MT, 59107-0137, Telephone: (406)-247-7698, E-mail: [djewell@usbr.gov](mailto:djewell@usbr.gov).

**Headquarters Office:**

Douglas Davis, Bureau of Reclamation, Great Plains Region Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101 Email: douglasdavis@usbr.gov Phone: (406) 247-7606 Fax: (406) 247-7695.

**Website Address:**

<http://www.usbr.gov/gp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Project elements that are funded recently include participation of the Blackfoot Nation, consultation with USFWS, and preliminary conceptual design. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation and the appropriation ceiling.

**15.529 UPPER COLORADO AND SAN JUAN RIVER BASINS ENDANGERED FISH RECOVERY PROGRAMS**

Upper Colorado and San Juan River Recovery Implementation Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs, Public Law 106-392, 114 Stat. 1602, as amended; Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs Extension, Public Law 107-375, 116 Stat. 3113.

**OBJECTIVES:**

To authorize the Bureau of Reclamation to provide cost sharing for the endangered fish recovery implementation programs for the Upper Colorado and San Juan River Basins.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Recovery Implementation Programs are designed to help recover the Colorado Pikeminnow, Razorback Sucker, Bonytail, and the Humpback Chub while allowing water development to continue in the Upper Colorado and San Juan River Basins. The term Recovery Implementation Programs mean the intergovernmental programs established pursuant to the 1988 and 1992 Cooperative Agreement described in Sec. 2 of the Act. The major portion of the work (between 80% to 90%) will be accomplished through mandatory grant and cooperative agreement awards established by these intergovernmental Cooperative Agreements. The remaining work is done under contracts to purchase equipment for O&M or monitoring work. The types of projects authorized by these Cooperative Agreements include Administration of Water Right; Oversight of the Development of Water Resources; Protection and Management of Fish and Wildlife Resources; Projects related to Tribal Sovereignty; Long Range Plan and Program Goal Development; Protection, Management and Augmentation of Habitat; Interactions Between Native and Non-Native Fish Species; and Monitoring and Data Management. Periodically, the Bureau of Reclamation will have discretionary funding available to make awards for certain types of projects. When this project funding becomes available, funding opportunity announcements will be posted to [www.Grants.gov](http://www.Grants.gov) or [Fedbizopps.gov](http://Fedbizopps.gov).

**Applicant Eligibility:**

Federal, Interstate, Intrastate, State and Local governments; Public Institution/Organizations, and Federally Recognized Indian Tribal Governments and private contractors.

**Beneficiary Eligibility:**

Indian Tribes in the location of the San Juan River Basin and in the Duchesne River Basin, and the general public in the Colorado River Basin.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Depending on the project to be accomplished, an environmental impact statement may be required for this program, but not until after receipt of applications. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All discretionary funding opportunities will be posted on [www.grants.gov](http://www.grants.gov) or [fedbizopps.gov](http://fedbizopps.gov). The funding opportunity will include the name of the Federal agency, the Funding Opportunity Title of work associated with the project, the application due date, eligible applicants, the federal funding amounts per agreement, the estimated number of agreements to be awarded, and the overall total amount of funding available for awards. All applicants, whether submitting projects under the mandatory or discretionary portions of this authority, will be required to submit a Standard Form 424, Application for Federal Assistance, and Standard Forms 424B or 424D for Assurances must also be submitted. A detailed budget worksheet guide form will be included to assist in preparation of the budgeted amount requested. The Funding Opportunity posting will identify the program description, background and purpose, program objectives, objective or request for proposals, eligible projects, types of projects, and program authority. General provisions and special provisions, along with reporting requirements will be identified to provide applicants with information that must be followed if an award is made. The funding opportunity will identify a point of contact for assistance or consultation for preparing the form.

**Award Procedure:**

Upon receipt of applications by the date identified in the announcement(s), the applications will be reviewed to determine if applications are consistent with requirements identified in the announcements. The application/proposal(s) are reviewed by a Federal technical team of experts (along with state and private advisors) against identified criteria. Negotiations, revised applications, or awards will be made based on recommendations from the technical experts. Proposals submitted under the mandatory authority portion of this program will undergo a similar review and screening procedure.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 Days.

**Appeals:**

The Bureau of Reclamation will, however, provide all applicants with information on why their proposals were not selected.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Non-Federal contributions to capital projects shall be made in accordance with the provisions of Sec. 3(c) of the Act. Contact the Regional Office listed in the Contacts section, below, for further information regarding cost sharing requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements and grants are normally written for a 1 to 5 year period. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**



Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-4081-0-3-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$3,553,777; FY 12 est \$3,660,390; and FY 13 est \$3,660,390

**Range and Average of Financial Assistance:**

\$10,000 to \$322,000; Average \$3,624,852.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Upper Colorado River and San Juan River Endangered Fish Recovery Programs (Recovery Programs) are partnerships composed of State, Tribal and Federal agencies, water and power interests, and environmental groups working to recover endangered fish in the Upper Colorado and San Juan River basins while water development proceeds in accordance with federal and state laws and interstate compacts. In Fiscal Year 2010, the Recovery Programs continued to provide ESA coverage to thousands of state, federal and private water development projects while advancing endangered fish recovery. The programs implemented management actions and projects to recover endangered fish in the areas of in-stream flow protection, habitat restoration, nonnative fish management, propagation and genetics, research and monitoring, information and education, and program management. Specific examples include operation and maintenance of river gages and infrastructure (fish passages and screens), installation of electronic fish monitoring antennae, coordination of reservoir operations, management of floodplain wetland rearing habitats including stocking of endangered fish in managed wetlands, removal of and translocation of nonnative fish, propagation and stocking of endangered fish, planning for pond construction, research and monitoring of early life history endangered fish survival including larval fish monitoring, database management, population estimates, maintenance of program website and publication of outreach materials. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Mark McKinstry and Dave Speas, Bureau of Reclamation, 125 South State Street, Salt Lake City, UT 84138; (801) 524-3835; mmckinstry@usbr.gov.

**Headquarters Office:**

NA NA, Washington, District of Columbia NA Phone: NA

**Website Address:**

<http://www.usbr.gov/uc/wcao/rm/sjrip/>  
<http://www.fws.gov/southwest/sjrip/index.html>  
<http://www.coloradoriverrecovery.org/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: During Fiscal Year 2010 and 2011, the examples of funded projects include the Recovery Program Gage stream gage operation and maintenance; Grand Valley diversion dam fish screen and passage operation and maintenance; Construction of Horsethief Rearing Ponds, Middle Yampa, Green and Colorado river smallmouth bass and pike management; San Juan river nonnative fish removal; Wahweap and Mumma State Fish Hatchery operation and maintenance; Dexter, Ouray, 24-Road, and Uvalde National Fish hatcheries operation and maintenance Yampa and middle Green Colorado pikeminnow and razorback sucker larval, young-of-year fish surveys and adult fish surveys; UCRIP and San Juan RIP information and education; propagation, rearing and stocking of Colorado pikeminnow and razorback sucker; Operation of PNM Fish Passage Facility by Navajo Nation; sub-adult and adult large-bodied fish monitoring in the San Juan River; larval fish monitoring in the San Juan River; specimen identification and curation of fishes from the San Juan River; habitat mapping and evaluation in the San Juan River; evaluation of razorback sucker use of the San Juan River inflow area of Lake Powell; temperature and habitat monitoring in the San Juan river; and purchase of PIT tags and readers for endangered fish in the Colorado River Basin. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov) for [fedbizopps.gov](http://fedbizopps.gov).

**15.530 WATER CONSERVATION FIELD SERVICES PROGRAM (WCFSP)**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Section 9504(a) of the Omnibus Lands Management Act of 2009, P.L. 111-11 and the Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV-Central Valley Project Improvement Act, Pub. L. 102-575.

**OBJECTIVES:**

The goal of the Water Conservation Field Services Program (WCFSP) is to proactively encourage water conservation in the operations of recipients of water from Federal water projects, to assist agricultural and urban water districts in preparing and implementing water conservation plans in accordance with the Reclamation Reform Act of 1982 (RRA), and to complement and support State and other conservation programs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funding is to be used for projects to develop water management and conservation plans, implement efficiency measures, or complete demonstration activities. Financial assistance is generally limited to \$100,000 or less. For further information, please contact the regional office.

**Applicant Eligibility:**

Subject to authorizing legislation. For projects funded under the authority of P.L. 111-11, eligible applicants include any State, Indian tribe, irrigation district, water district, or other organization with water or power delivery authority.

Applicants must also be located in the western U.S. or Territories as identified in the Reclamation Act of June 17, 1902, as amended and supplemented; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

The general public and irrigation or water districts located in the 17 western States identified in the Act of June 17, 1902, as amended; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah,

Washington, and Wyoming.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. The number of awards and maximum funding amount per award are determined on an annual basis and are dependent upon the amount of available funding in each Region.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Generally, applicants should propose projects that can be completed within 24 months from the project start date. However, multi-year proposals may be considered if it can be demonstrated that there will be measurable on-the-ground accomplishments each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the cost of a project or activity carried out under the WCFSP shall generally not exceed 50 percent of the total cost of the project or activity, depending on the project and authorizing legislation, the Federal share of project funding may be less than 50 percent. Costs of operation, maintenance, repair and rehabilitation of facilities funded under the authority of this program shall be nonfederal responsibilities. Cost-share requirements may vary by Region. Please contact the Regional or Area Office Water Conservation Coordinator located in the Region in which the

proposed project is located for specific information. Projects awarded under the following authorities have mandatory recipient cost-sharing requirements as follows: Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV-Central Valley Project Improvement Act, Pub. L. 102-575, cost share varies in accordance with the type of project (see Sec. 3406 and 3407); and Section 9504 of the Omnibus Lands Management Act of 2009, P.L. 111-11 requires a 50% cost share.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects typically are awarded for up to 24 months; however, some projects may be awarded for periods of up to 5 years. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit annually Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit annually the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$7,090,930; FY 12 est \$5,108,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$4,000 to \$100,000; Average \$4,066,310.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Assistance to districts towards development of water conservation plans, assistance with implementation of efficiency improvement measures identified in plans, demonstrations of new technology, leveraging of resources through collaboration between water districts and other entities by encouraging and developing partnerships. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Regional contact information may be found at <http://www.usbr.gov/waterconservation/wtrctr.html>. This website includes a map to help you locate the appropriate office for your area.

**Headquarters Office:**

NA NA, NA, District of Columbia NA Phone: NA

**Website Address:**

<http://www.usbr.gov/waterconservation/>.

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of funded projects under this program include the following: the Riverside Irrigation District, the Truckee-Carson Irrigation, and the Kern-Tulare Water District. The Riverside Irrigation District is installing two overshot water control gates at the Indian Creek diversion structure to replace existing stoplogs. The gates will be motorized and connected to electronic Supervisory Control and Data Acquisition (SCADA) equipment. SCADA components that will be installed include controllers, gate actuators, water level sensors, stilling wells, cabling power supply equipment, weatherproof enclosures, and UHF radio communication equipment. The Truckee-Carson Irrigation District is upgrading water measurement devices off the Trucker Canal, an improvement expected to result in 1,004 acre-feet of conserved water per year once completed. The Kern-Tulare Water District will fund a mobile irrigation laboratory for completing on farm irrigation system evaluations. The project is expected to result in better management of 7,500 acre-feet of water per year once completed. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). Reclamation-wide Evaluation Criteria are as follows:

**Water Management Planning 100 Total Points Available**  
 Association with Reclamation Project Water Supplies  
 Reasonableness of cost  
 Extent to which Federal funding would promote completion of an activity that might otherwise be delayed or postponed  
 Amount and sources of non-Federal funding (i.e., cost share)  
 Other criteria as developed by regional and area offices to address local goals and priorities.

**Implementation of Efficiency Measures 95 Total Points Available**  
 Association with Reclamation Project Water Supplies  
 Extent to which applicants Water Management Plan is complete and updated (N/A if applicant is not required to have a plan in place)  
 Reasonableness of cost  
 Extent to which the proposed activity is expected to improve water use efficiency  
 Extent to which Federal funding would promote completion of an activity that might otherwise be delayed or postponed  
 Amount and sources of non-Federal funding (i.e., cost share)  
 Likelihood that any environmental and cultural resources issues associated with the proposal can be addressed at low cost and in a timely manner  
 Extent to which proposal demonstrates a sound implementation strategy  
 The applicants strategy for monitoring performance and reporting and disseminating results  
 Other criteria as developed by regional and area offices to address local goals and priorities.

**Demonstration Projects 90 Total Points Available**  
 Association with Reclamation Project Water Supplies  
 Extent to which applicants Water Management Plan is complete and updated (N/A if applicant is not required to have a plan in place)  
 Reasonableness of cost  
 Extent to which the proposed activity will demonstrate innovative conservation technologies for improving water use efficiency (including applied research to benefit development of new technologies; demonstration of a specific conservation technology; or innovative application of existing technology with the intent of evaluating results)  
 Extent to which Federal funding would promote completion of an activity that might otherwise be delayed or postponed  
 Amount and sources of non-Federal funding (i.e., cost share)  
 Likelihood that any environmental and cultural resources issues associated with the proposal can be addressed at low cost and in a timely manner  
 Extent to which proposal demonstrates a sound implementation strategy  
 The applicants strategy for monitoring performance and reporting and disseminating results

Other criteria as developed by regional and area offices to address local goals and priorities.

**15.531 YAKIMA RIVER BASIN WATER ENHANCEMENT PROJECT (YRBWEP)****FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title XII, Yakima River Basin Water Enhancement Project, Public Law 103-434; American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

**OBJECTIVES:**

Within the Yakima River Basin: (1) to protect, mitigate, and enhance fish and wildlife through improved water management; improved instream flows; improved water quality; protection, creation and enhancement of wetlands; and by other appropriate means of habitat improvement; (2) to improve the reliability of water supply for irrigation; (3) to authorize a Yakima River basin water conservation program that will improve the efficiency of water delivery and use; enhance basin water supplies; improve water quality; protect, create and enhance wetlands, and determine the amount of basin water needs that can be met by water conservation measures; (4) to realize sufficient water savings from the Yakima River Basin Water Conservation Program so that not less than 40,000 acre-feet of water savings per year are achieved by the end of the fourth year of the Basin Conservation Program; (5) to encourage voluntary transactions among public and private entities which result in the implementation of water conservation measures, practices and facilities; and (6) to provide for the implementation by the Yakima Indian Nation at its sole discretion of (A) an irrigation demonstration project on the Yakima Indian Reservation using water savings from system improvements to the Wapato Irrigation Project, and (B) a Toppenish Creek corridor enhancement project integrating agricultural, fish, wildlife, and cultural resources.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To participate in the Conservation Basin Program an entity must submit a proposed water conservation plan to the Secretary of the Interior. Assistance is limited to those entities (districts, irrigation districts, individuals, or other entities) that equip all surface water delivery systems within their boundaries with volumetric water meters or equally effective water measuring methods within five years of the date of enactment of this Act. The Yakima Nation is not included in the provisions of this, Section 1203, except as to any funds specifically applied for from the Basin Conservation Program. The Secretary of the Interior may use appropriated funds to purchase, or lease, land, water, or water rights from an entity or individual willing to limit or forego water use on a temporary or permanent basis. Funds used for purchase or lease under this paragraph are not subject to the cost sharing provisions of Section 1203(d).

**Applicant Eligibility:**

State of Washington, and Federally Recognized Indian Tribal Governments, water and irrigation districts, and water rights owners located in the project area.

**Beneficiary Eligibility:**

Anyone/General Public, Intrastate, Local, Individual/Family, and Federally

Recognized Indian Tribal Governments within the project area.

**Credentials/Documentation:**

Eligible entities must submit a proposal to develop a Water Conservation Plan. Once the Water Conservation Plan has been developed it is to be submitted to the Bureau of Reclamation, Pacific Northwest Region, Columbia-Cascades Area Office, in accordance with the information included in the funding opportunity announcement that will be posted at [www.grants.gov](http://www.grants.gov). Only entities with approved Water Conservation Plans are eligible for consideration for feasibility studies. Only entities with an approved Water Conservation Plan and approved feasibility study are eligible for potential implementation of conservation measures. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Single Source/Notice of Intent to Award announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of personnel from the Bureau of Reclamation, Pacific Northwest Regional Office, who are qualified experts in the program area. Applications will be reviewed against YRBWEP Authority criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. Entities meeting the basic criteria for participation in the YRBWEP must enter into a cost sharing agreement prior to beginning project work.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Unless otherwise stated in the Act: (1) Development of water conservation plans 50 percent nonFederal share, but not more than \$200,000 per recipient; (2) Investigation of specific water conservation measures 50 percent State share and 20 percent local share, but sum of (1) and (2) shall not be greater than \$200,000 per recipient; (3) and (4) Implementation and post implementation monitoring and evaluation 17.5 percent State share, and 17.5 percent local share. (Section 1203(d)).  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are normally written for a 1 to 5 year period. Implementation agreements may be written to cover the period estimated in the approved Water Conservation Plan and Feasibility Study. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on a quarterly basis Program Performance Reports. Annually, recipients shall submit an annual Program Performance Report. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 11 \$10,612,000; FY 12 est \$6,440,000; and FY 13 est \$7,200,000. (Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA.

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$44,700,000; Average \$8,084,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2010 and 2011, the Benton Irrigation completed construction of the pumping station and two thirds of their piped water delivery system; the Roza Irrigation District worked on updating their Feasibility Study; the Kennewick Irrigation District completed their Feasibility study identifying water conservation improvements for implementation; and the Sunnyside Division Board of Control completed construction of their reregulating reservoir, installed twelve additional automated check structures, and completed thirty-five miles of enclosed lateral pipe installation. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Timothy McCoy, YRBWEP Manager, 1917 Marsh Rd., Yakima, WA 98901, Phone: 509-575-5848 ext. 209, Fax: 509-454-5611, email: [tmccoy@usbr.gov](mailto:tmccoy@usbr.gov).

**Headquarters Office:**

Director, Bureau of Reclamation, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202) 208-3100.

**Website Address:**

<http://www.usbr.gov/pn/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funding projects for Fiscal Years 2010 and 2011 include the Feasibility Investigations by the Roza and Kennewick Irrigation Districts of measures identified in their respective Water Conservation Plans, including investigation of regulating reservoirs and lateral piping projects; also funded was construction of a pump station and enclosed lateral piping by Benton Irrigation District as water conservation measures; and construction of a

reregulating reservoir, automated canal check structures, and enclosed lateral piping by Sunnyside Division Board of Control as water conservation measures. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). Initial selection based on projects that would meet/fulfill the objectives of YRBWEP. After Water Conservation Plans are approved, feasibility studies are approved for those projects/measures that appear to result in the greatest benefit to YRBWEP. Implementation awards are based on those that are the most cost effective and result in the greatest water savings.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.532 CENTRAL VALLEY PROJECT, TRINITY RIVER DIVISION, TRINITY RIVER FISH AND WILDLIFE MANAGEMENT**

Trinity River Restoration Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Central Valley Project Improvement Act (CVPIA), 1992, Public Law 102-575, Title 34, Section 3406(b)(1).

**OBJECTIVES:**

To address impacts of the Central Valley Project (CVP) on fish, wildlife, and associated habitats in the Trinity River basin of California by protecting, restoring, and enhancing such habitats and to address other identified adverse environmental impacts of the Central Valley Project.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

All funding is discretionary and intended for projects that support the goals and objectives of the Program and meet the requirements specified in the CVPIA and Record of Decision. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local entities, public nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian Tribal governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Beneficiary Eligibility:**

General public, public institutions/organizations, Federally recognized Indian Tribal Governments, small businesses, profit organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, and other private institutions/organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Funding Opportunity Announcement (FOA) will be posted at [Grants.gov](http://Grants.gov) as funding is made available by the Bureau of Reclamation. Applications shall include: 1) A detailed written technical proposal that should include information such as a scope of work which separates the work into major tasks, the approach proposed to accomplish the work, type of personnel who will participate in accomplishing the work, background and location of applicant, any equipment that will be utilized by the project applicant, experience in this type of work, an estimate of the costs and/or cost savings, any economic benefit, and any other information that may be useful for proposal evaluation. 2) A detailed cost proposal including a budget covering salaries and wages, fringe benefits, travel, equipment, supplies, subcontracts, indirect cost rates, funding sources and commitments, cost-sharing, and a breakdown of costs by task. In addition, applicants must submit all applicable SF 424 forms, which are referenced in the FOA.

**Award Procedure:**

The number of awards, maximum funding amount per award, and areas of interest for which proposals will be considered, are determined on an annual basis and are dependent upon the annual appropriation from Congress. Proposals received in response to the FOA are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the FOA. The review team will consist of Federal personnel and qualified non-Federal personnel when specific expertise is required by the review team. The Bureau of Reclamation will make awards to the highest rated proposals based on the amount of funding available each year. The Bureau of Reclamation reserves the right to prioritize projects based on availability of funds and to ensure balance among the program objectives listed in the FOA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be provided for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov).

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program has no statutory formula or matching requirements; however, project cost sharing is encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposals will be requested for projects of varying durations. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$6,700,972; FY 12 est \$6,368,000; and FY 13 est \$6,000,000

**Range and Average of Financial Assistance:**

Range is \$22,000 to \$2,000,000; Average \$6,356,324.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments include four in-channel rehabilitation sites were completed and four 100% final designs for out year projects completed; twelve partnership watershed projects were developed and implemented, garnering over 50% in partner funding; innovative wood structure designs and placement were implemented at two sites; high flow augmentation was conducted at 4 sites; the first highest flow release allowable by the program, 11,000 cfs, was successfully achieved with no infrastructure loss.

Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Trinity River Restoration Program, Attn: Robin Schrock, P.O. Box 1300, Weaverville, CA 96093. Telephone: 530-623-1817. Fax: 530-623-5944.

**Headquarters Office:**

NA NA, NA, District of Columbia NA Phone: NA

**Website Address:**

<http://www.usbr.gov/mp/ncao/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of funded projects include: the Public Information and Outreach such as two Public Outreach Meetings about Restoration Projects and multiple landowner meetings in 2010, six Public Outreach Meetings about Restoration Projects, Revegetation and Large Wood Structures, three Outreach at Salmon Festivals and County Fair, Citizen Science Outreach On-river in 2011; Watershed Coordination such as coordinating with Watershed Council to identify common needs and met in October 2011 where TRRP Watershed Team prioritized and selected six projects annually for implementation; Target Watershed Implementation such as implementing six cooperative projects for road and watershed rehabilitation and sediment reduction and control with partner sixty-six percent matching funds in 2010 and fifty-six percent matching funds in 2011; Fisheries Survey such as in-river run size estimation for spring run, fall run Chinook, fall run steelhead and coho salmon including harvest out migration population estimates for Chinook, coho salmon prespaw mortality estimates for Chinook, coho salmon late summer adult disease monitoring in Klamath below Trinity Confluence Redd distribution and density across the 40 mile rehabilitation reach in 2010 and in 2011, fisheries survey included in-river run size estimation, prespaw mortality estimates, adult disease monitoring, redd distribution and density across the 40 mile rehabilitation reach; Channel rehabilitation design and surveying such as in 2010, constructed three restoration sites, design of Engineered Log Jam (ELJ), geological investigations with initial thirty percent conceptual design for five Phase II project sites, one

final design, high flow gravel augmentation of 13,490 cubic yards and in 2011, one constructed site, four final designs, one wood placement plan design, one ELJ constructed, four 100% revegetation designs, two gravel augmentation of 5,320 cubic yards, and highest restoration flow of 11,000 cfs safely conducted; Habitat Assessment such as fry and juvenile optimal/ good habitat assessment in forty mile rehabilitation reach and fry and juvenile habitat optimal/good habitat pre- and post-rehabilitation site and in 40 mile reach; Western Pond Turtle Assessment such as USFWS and Humboldt State University biologists monitoring turtle habitat use/movements at the TRRPs Lowden Ranch channel rehabilitation site during 2010 construction and post- construction in 2011 (<http://odp.trrp.net/Data/Documents/Details.aspx?document=1220>); a summary report reviewing the comparative ecology of the Western Pond Turtle on the free flowing South Fork Trinity River and the regulated mainstem Trinity River was produced in June 2011 by the Forest Service (Redwood Sciences lab) in cooperation with the US Fish and Wildlife Service (<http://odp.trrp.net/Data/Documents/Details.aspx?document=1217>); Integrated Information Management System: IIMS foundation expanded to development of Data Management and Utility Plan for interagency coordination, TRRP website (<http://trrp.net>) enhanced with the online data repository and Online Data Portal, <http://odp.trrp.net>). Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria will vary according to project and will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.533 CALIFORNIA WATER SECURITY AND ENVIRONMENTAL ENHANCEMENT**

California Bay-Delta Authorization Act (CALFED)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Water Supply, Reliability, and Environmental Improvement Act, Title I California Water Security and Environmental Enhancement, Public Law 108-361 and Public Law 111-11, Section 9504(a).

**OBJECTIVES:**

The purpose of the CALFED Bay-Delta Authorization Act authorizes the Secretary of the Interior and the heads of the other Federal implementing agencies to carry out specific activities identified in the Act in furtherance of the CALFED Bay-Delta Program as set forth in the CALFED Bay-Delta Program Record of Decision dated August 28, 2000. The primary objectives of the program are to expand water supplies to ensure efficient use through an array of projects and approaches, improve water quality from source to tap, improve the health of the Bay-Delta system through restoring and protecting habitats and native species, and improve the Bay-Delta levees to provide flood protection, ecosystem benefits, and protect water supplies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is for grants and cooperative agreements with agencies of the State of California for Program-wide management, oversight and coordination activities as defined in section 103(f)(A) of Public Law 108-361 and with California water districts for water conservation grants in accordance with Section 9504(a) of Public Law 111-11.

**Applicant Eligibility:**

Agencies of the state of California and water districts within the CALFED solution area as defined in the CALFED Bay-Delta Program Record of Decision.

**Beneficiary Eligibility:**

State agencies and water districts within the CALFED solution area as defined in the CALFED Bay-Delta Program Record of Decision.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance maybe required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must submit all applicable SF-424 forms; and a statement of work separating the work into major tasks, level of cooperation with parties involved, and how the subject proposal will provide the outcome sought.

**Award Procedure:**

Applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified Federal or non-Federal experts in the program area. Applications will be reviewed against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project. Maximum funding amount is dependent upon the annual appropriation from Congress.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project or activity.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation of funding from one fiscal year to the next is at the discretion of Congress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Federal share of the costs of a project or activity carried out under this Program may vary dependent upon activity and authority. Costs of operation, maintenance, repair and rehabilitation of facilities shall be a non-federal responsibility. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally for 36 months or less; multi-year projects may be considered if justified and annual accomplishments can be demonstrated. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis quarterly basis the Federal Financial Report SF-425 and upon completion of the agreement, recipients shall submit a final SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0687-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,492,790; FY 12 est \$4,600,000; and FY 13 est \$1,600,000

**Range and Average of Financial Assistance:**

Range is \$80,000 to \$1,000,000; Average \$2,897,597.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2010, \$188,000 was made available for the Delta Science Program supporting the Delta Stewardship Council, a CA state agency. This initiative is an inter-agency plan to develop a single, integrated biological opinion for the California Bay-Delta and water operations of the Central Valley Project and State Water Project. In FY 2010 \$378,090 was made available for water use efficiency grants. In FY 2011 \$2,492,790 was made available for water use efficiency grants. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, [www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1), and OMB Circulars [www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Bureau of Reclamation, Mid-Pacific Region, 801 I St., Suite 140 Sacramento, California 95825; phone: 916-414-2400; fax: 916-414-2439.

**Headquarters Office:**

NA NA, NA, District of Columbia NA Phone: NA

**Website Address:**

[www.mp.usbr.gov](http://www.mp.usbr.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: As a participating agency in the CALFED Bay-Delta Program, the Bureau of Reclamation's Mid-Pacific and Lower Colorado Regions worked in partnership with the California Department of Water Resources, State Water Resources Control Board, and to award Water Use Efficiency grants in FY 2010 and FY 2011 to water agencies that had a defined relationship to the Bay-Delta.

Funding provided for the Interagency Ecological program provides for the collection and assembly environmental data and information needed for the water operations of the CVP and SWP. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in application packages and any funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.534 MISCELLANEOUS PUBLIC LAW 93-638 CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Public Law 93-638, Title I, 25 U.S.C. 450 est. seq., as amended; and statutory authorities that authorize each specific project. Assistance Act; American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5), Public Law - .

**OBJECTIVES:**

Project funds are to be provided on a non-reimbursable basis for construction and/or non-construction activities which are primarily for the benefit of Indians

because of their status as Indians.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Contracts, grants, and cooperative agreements are authorized for construction and non-construction projects. Certain restrictions will be applicable based on the specific statutory authority that authorizes the project. This CFDA number will not be utilized if there is a more specific CFDA number applicable to the project. For further information, please contact regional office.

**Applicant Eligibility:**

Federally recognized Indian tribes and tribal organizations in the 17 western states are eligible applicants; however, eligibility alone does not establish a "program."

**Beneficiary Eligibility:**

Federally recognized Indian tribes and tribal organizations.

**Credentials/Documentation:**

(1) Each contract, grant, or cooperative agreement requires project specific authority. (2) Detailed written technical proposals including background data regarding the applicants, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, types of personnel implementing the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation. (3) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contribution of goods and services. (4) The awarded contract, grant, or cooperative agreement must contain an authorizing resolution of the governing body of the Indian tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial proposals must contain the information specified as 25 CFR Part 900. Proposals shall be submitted to the applicable Reclamation office with responsibility for the specific project for which a Tribe or tribal organization proposes to participate. Reclamation will provide technical assistance to Tribes in the development of their proposals as requested, pending availability of appropriations.

**Award Procedure:**

Reclamation and the Tribe develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. Reclamation and the Tribe also negotiate an Annual Funding Agreement (AFA), which identifies activities to be performed, funds to

be provided, and the method of payment for the initial year of the contract. A final contract agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial AFA, property list, list of any applicable provisions, terms, and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified for the project.

**Appeals:**

Not Applicable.

**Renewals:**

Will vary with project or award.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of projects will vary. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures shall submit on an annual basis.

For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. The Federal Financial Report SF 425 is required. The reporting of financial status report requirements will be negotiated within the AFA or overarching terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.82, Public Law 93-638, and 25 CFR Part 900.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$77,849,036; FY 12 est \$500,000; and FY 13 est \$500,000. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$74,000,000; Average \$26283012.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: This may entail a variety of activities with tribes, including those relating to the settlement of Indian water rights. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 U.S.C. 450 (Public Law 93-638, 25 CFR Part 900, OMB Circular A-87 (2 CFR 225), and OMB Circular A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**



Commissioner, Office of the Commissioner, Bureau of Reclamation, 1849 C Street, N.W., Washington, District of Columbia 20240-0001 Phone: (202) 513-0501.

**Website Address:**

<http://www.usbr.gov/native/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funded projects include various features of a project designed to deliver and distribute water for irrigation. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants must meet the requirements of Public Law 93-638, 25 CFR Part 900 and any additional criteria specific to the authorizing legislation for the project. The project must be contractible under Public Law 93-638.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.535 UPPER COLORADO RIVER BASIN FISH AND WILDLIFE MITIGATION PROGRAM**

**FEDERAL AGENCY:**

Department of the Interior

**AUTHORIZATION:**

Reclamation Projects Authorization and Adjustment Act of 1992, Title III-Fish, Wildlife, and Recreation Mitigation and Conservation, Sec. 314, Public Law 102-575, as amended., Title , Section , Public Law -.

**OBJECTIVES:**

To protect, restore and enhance wetland and upland ecosystems for the conservation of fish and wildlife resources in the upper Colorado River basin.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The purpose is to benefit fish and wildlife resources adversely affected by the construction and operation of Federal water resource developments authorized by the Colorado River Storage Project Act of 1956 (Public Law 84-485). Projects are for fish and wildlife habitat improvements and recreation in accordance with the goals and criteria established by Congress in Section 314 of the Central Utah Project Completion Act (CUPCA). Projects supplement historic water resource development mitigation that has occurred, expand previous mitigation efforts to address unforeseen circumstances, or otherwise benefit associated wildlife habitat and public interests. By statutory restriction, funds are expended outside the state of Utah. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local government agencies, Federal recognized Indian Tribal governments, private nonprofit institutions/organizations; public nonprofit institutions/organizations; for-profit organizations, interstate and intrastate entities, and individuals. While entities within the state of Utah are eligible to receive funds under this program, funds must be expended for project activities outside the State of Utah.

**Beneficiary Eligibility:**

State and local government agencies, Federally recognized Indian Tribal governments, private nonprofit institutions/organizations; public nonprofit institutions/organizations; for-profit organizations, interstate and intrastate entities, and individuals. While entities within the state of Utah are eligible to receive funds under this program, funds must be expended for project activities

outside the State of Utah.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental impact statements or assessments may be required based on potential impacts to the human environment. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants submit written technical and budget proposals in accordance with guidance stated in the annual program announcement. The standard application forms required by 43 CFR 12, Subparts C and F, must be used. Preparation of Environmental Impact Statement/Environmental Assessment and compliance with the Federal Endangered Species Act and other Federal environmental laws may be prerequisites, based on impacts of the proposed action, prior to receiving federal assistance/funding. State Plans are not required.

**Award Procedure:**

Projects ranking highest against the program criteria for selecting proposals as stated in the annual funding announcement (see Criteria for Selecting Proposals, below), and consistent with available funding, are requested to submit a draft grant or cooperative agreement along with supporting forms and documents. Applicants will work with the CUPCA program office to complete required documents and execute the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Funding decisions are made at least annually. Deadlines for applications are stated in the annual program solicitation of proposals. Contact the program office for information on deadlines for applications in the current year. The range of the approval time is 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. Renewals are contingent upon Congressional appropriations to the program, a continued high relevancy ranking based on program criteria, and recipients satisfactory progress on the approved scope of work.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program does not have a statutory formula or matching requirement. However, the program seeks to leverage available Federal funding and will give enhanced consideration to applicants offering cost-sharing participation in the form of contributed funds, in-kind labor, materials or equipment contributions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally written for a 1 to 5 year period with funding provided only for the current year. See Renewals, above. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

All projects and activities are monitored for progress and compliance with the agreed-upon scope of work. Recipients are required to submit periodic requests for advance or reimbursement of funds using the SF-270, or may request payments through the Automated Standard Application for Payments (ASAP) system. Recipients also submit Financial Status Reports annually within 90 calendar days after the grant year (i.e., 12 months after the approved effective

date of the assistance agreement and every 12 months thereafter until the expiration date of the assistance agreement). A final Financial Status Report is required within 90 calendar days after the expiration or termination of the assistance agreement. Written quarterly progress reports detailing project accomplishments are generally required, as are written reports upon completion of the project. Expenditure reports are not applicable. Periodic site visits and internal reports are completed by the CUPCA program office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0787-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$37,000; FY 12 est \$40,000; and FY 13 est \$40,000

**Range and Average of Financial Assistance:**

\$5,000 to \$20,000; Average \$39,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Created, restored and enhanced waterfowl wetlands on the Green River near Green River, WY and on the Little Snake River near Baggs, WY. Also, established a cottonwood plantation near Mack, CO that will grow trees from both seedlings and cuttings. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Requirements and previous Program Accomplishment Reports are available from the Information Contacts listed below (151).

**Regional or Local Office:**

See Regional Agency Offices. Central Utah Project Completion Act Office, Program Director  
302 East 1860 South  
Provo, Utah 84606  
Telephone: 801/379-1237  
FAX: 801/379-1209 E-mail: rrmurray@usbr.gov.

**Headquarters Office:**

Assistant Secretary of the Interior for Water and Science 1849 C Street, N.W.,  
Mail Stop MIB6640, Washington, District of Columbia 20240 Email:  
rswanson@uc.usbr.gov Phone: (801) 379-1254 Fax: (801) 379-1209.

**Website Address:**

<http://www.cupcao.gov>

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.631 Partners for Fish and Wildlife; 15.637 Migratory Bird Joint Ventures

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Constructed a diversion dam on the Green River that will allow for controlled releases into an existing but dewatered oxbow to enhance waterfowl and shorebird wetlands improvements; constructed rock vanes in the Little Snake River that will reestablish and maintain a natural hydrological connection between the river and four oxbows; planted nearly two acres of cottonwood seedlings or cuttings to establish a cottonwood nursery that will provide trees to be used in habitat replacement as tamarisk are eliminated along the Colorado River and including its tributaries. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for funding projects have been established by Congress in the authorizing legislation (Public Law 102-575) at Section 314(c). Generally, these criteria require that projects restore damaged natural ecosystems on public lands and waterways affected by Federal Reclamation projects in the upper Colorado River basin. In addition, priority is given to projects that assist recovery of endangered or sensitive species or ecosystems, allow reintroduction of native flora and fauna, control or eliminate exotic pest species, or provide enhanced conservation value to state and local government lands. A complete list of program criteria is available at the address listed in Information Contacts (:151). Projects that leverage grant funds with applicant funds, or in-kind services, will receive bonus consideration, but not automatic preference. Specific evaluation criteria will be included in the annual funding opportunity announcement.

**15.537 MIDDLE RIO GRANDE ENDANGERED SPECIES COLLABORATIVE PROGRAM**

Collaborative Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

P.L. 110-161, Consolidated Appropriations Act of 2008: (c) In compliance with applicable Federal and State laws, the Secretary (acting through the Commissioner of Reclamation), in collaboration with the Executive Committee, may enter into any grants, contracts, cooperative agreements, interagency agreements, or other agreements that the Secretary determines to be necessary to comply with the 2003 Biological Opinion described in section 205(b) of the Energy and Water Development Appropriations Act, 2005 (Public Law 108-447; 118 Stat. 2949) as amended by section 121(b) of the Energy and Water Development Appropriations Act, 2006 (Public Law 109-103; 119 Stat. 2256) or in furtherance of the objectives set forth in the collaborative program long-term plan., Public Law - .

**OBJECTIVES:**

The purpose of the Middle Rio Grande Endangered Species Act Collaborative Program (Program) is to protect and improve the status of endangered listed species along the Middle Rio Grande (MRG) and to simultaneously protect existing and future regional water uses while complying with state and federal laws, including Rio Grande compact delivery obligations. Listed species means federally listed species under the Endangered Species Act (ESA), with special emphasis on the Rio Grande silvery minnow (silvery minnow) and the southwestern willow flycatcher (flycatcher).

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Financial assistance may be used in furtherance of the goals and objectives of the Collaborative Long-Term Plan which focuses on alleviating jeopardy of the silvery minnow and the flycatcher, and the conservation and contribution to the recovery of both listed species while protecting existing and future water uses within the geographic boundaries of the Program area. The Program Area is defined as: the headwaters of the Rio Chama watershed and the Rio Grande, including tributaries, from the New Mexico-Colorado state line downstream to elevation 4,450 ft mean sea level, the elevation of the spillway crest of the Elephant Butte Dam.

All appropriated funds are discretionary. For further information, please contact the regional office.

**Applicant Eligibility:**

Not available.

**Beneficiary Eligibility:**

Not available.

**Credentials/Documentation:**

Whenever applicable, all necessary federal, state, local, and/or private access, collection, and other environmental permits must be provided. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the funding opportunity announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts (federal and non-federal stakeholders) in the program area. Applications will be reviewed against the proposal evaluation criteria and any additional review factors stated in the funding announcement. Final selection will be determined by the designated Grants Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov). The range of approval or disapproval time varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Federal assistance is typically available during the current fiscal year of appropriations. For planning purposes, grant opportunities are posted during the first and second quarters of the fiscal year. Depending on the number and magnitude of qualified projects, more funds are available during the first half of the fiscal year. The Program expects all awarded funds to be expended during the fiscal year in which grant awards were made or no more than 2 years from the time of grant award. For more complex projects that may involve environmental compliance, design, feasibility studies, construction and implementation, effectiveness monitoring, and other related activities, the project will be divided into phases. The project will then be funded incrementally at phase level costs. Funding of subsequent phases will be based on project viability, effectiveness, and fund availability. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the

agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$1,311,271; FY 12 est \$1,500,000; and FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

\$75,000 to \$300,000; Average \$1,437,090.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments include projects funded for the furtherance of the goals and objectives of the Collaborative Long-Term Plan which focuses on alleviating jeopardy of the silvery minnow and the flycatcher, and the conservation and contribution to the recovery of both listed species while protecting existing and future water uses within the geographic boundaries of the Program area. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. Program guidelines: <http://www.mrgesa.com>.

**Regional or Local Office:**

See Regional Agency Offices. Yvette McKenna, Program Manager  
505-462-3640, phone  
505-462-3783, fax  
[yrmckenna@usbr.gov](mailto:yrmckenna@usbr.gov).

**Headquarters Office:**

Director Bureau of Reclamation, Albuquerque Area Office, 555 Broadway Blvd., NE, Albuquerque, New Mexico 87102 Phone: (505)462-3540 Fax: (505)462-3794

**Website Address:**

<http://www.mrgesa.com> and <http://www.usbr.gov/uc/albuq/index.html>

**RELATED PROGRAMS:**

15.517 Fish and Wildlife Coordination Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The following are examples of funded projects under this program: Rio Rancho Open Space Habitat Restoration Phase, State Trust Land Bosque Riparian Restoration and Outreach Project, and Restoring Loosestrife Pond Expanding Flycatcher Habitat and Controlling Invasive Plants. The Rio Rancho Open Space Habitat Restoration phase will plan, design, and construct river and riparian habitat restoration projects in the Albuquerque Reach of the Middle Rio Grande. The project area is represented by a riparian cottonwood forest and associated vegetated mid-stream islands and bars. Channel degradation has resulted in disconnection of the historic floodplain from the natural flooding regime in much of the area that has contributed to the near extinction of the endangered Rio Grande silvery minnow. The objective of the project is to increase habitat for the silvery minnow in the upper portion of the Albuquerque Ranch in a manner that integrates with other ecological features of the river. In addition, the restoration will benefit stop-over habitat for the southwestern willow flycatcher and other migratory avian species. In 2004, the State Trust Land Bosque Riparian Restoration and Outreach

Project began an effort called Phase 1 to reverse the decline in health of the project area, a tract of riparian land located within the South Diversion Channel Subreach of the Albuquerque Reach of the Rio Grande. Thereafter, Phases II and III followed and are currently underway and comprise holistic project goals that seek to restore sustainability to the riparian system by restoring vegetative communities and natural fluvial processes while also administering an outdoor education and outreach program. This project has two main elements: restoration of the native vegetative community and function and hydrologic restoration of the natural fluvial processes. Restoring the vegetative community to its natural state without invasive species will aid in the development suitable habitat for the endangered Southwest willow flycatcher. Hydrologic restoration will promote natural fluvial processes and reconnect the floodplain to the river, thereby creating more suitable and diverse aquatic habitats for the endangered Rio Grande silvery minnow.

The project, Restoring Loosestrife Pond: Expanding Flycatcher Habitat and Controlling Invasive Plants, consists of removal of invasive trees and shrubs, carefully targeted earthwork to deepen and enhance sections of an existing high-flow channel and allow surface flows from the Rio Grande to reach the site at lower water levels than at present, and enhancing native vegetation by planting native coyote and other willows to expand the area of potential flycatcher nesting habitat. Additionally, the Pueblo will be planning other fruit-bearing shrubs in other areas to enhance food sources for other migratory birds and planting herbaceous wet-meadow and marsh plants to replace removed purple loosestrife and provide insect habitat for flycatcher foraging needs. The total restoration project area includes 31.0 acres and encompasses just over 2000 feet of the west bank of the Rio Grande beginning (at its downstream end) about 850 feet upstream of the Highway 74 bridge and about 1.4 river miles above the Rio Chama confluence. Within the overall project area, the 24-acre buffer area received some restoration work in 2004-2006. The 7.2 acres of flycatcher habitat to be expanded has so far received no restoration at all except for the removal of previously monocultural purple loosestrife. The existing occupied patch of flycatcher habitat, covering about 21 acres, has received no restoration work or other disturbance since 1998 when some mitigation work was done in connection with the construction of the new Highway 74 bridge. It will expand by 34% to just over 28 acres after this project. After completion of this project, the occupied habitat will be located within a contiguous area of 60 acres of restored bosque in which additional suitable habitat can develop in the future, buffered from grazing or other commodity land uses. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria for projects benefiting the Rio Grande Silvery Minnow and the Southwestern willow flycatcher within the Middle Rio Grande will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

#### **15.538 LOWER COLORADO RIVER MULTI-SPECIES CONSERVATION PROGRAM.**

MSCP

#### **FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

#### **AUTHORIZATION:**

Omnibus Public Land Management Act of 200, Public Law 111-11, Title IX, Section 9401-9404.

#### **FOR RECOVERY ACT:**

American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5), Title , Public Law -.

#### **OBJECTIVES:**

The MSCPs purposes are (1) Protect the lower Colorado River environment while ensuring the certainty of existing river water and power operations, (2) Address the needs of threatened and endangered wildlife under the Endangered Species Act, and (3) Reduce the likelihood of listing additional species along the lower Colorado River. FOR RECOVERY ACT: For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.

(3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.

(4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.

(5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

The planning area for the LCR MSCP is defined as areas up to and including the full-pool elevations of Lakes Mead, Mohave, and Havasu and the historical floodplain of the Colorado River from Lake Mead downstream to the Southerly International Boundary with Mexico. The planning area provides habitat for Covered Species listed as endangered or threatened under the ESA; additionally there are region specific species that are inclusive of this program. Visit <http://www.lcrmscp.gov> for specific information. For further information, please contact the regional office.

#### **Applicant Eligibility:**

State and local governments, nonprofit organizations and institutions, public and private institutions and organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, for-profit organizations, and Native American Organizations.

#### **Beneficiary Eligibility:**

Anyone/general public, governmental entities, Tribal governments, Native American organizations, and/or public or private organizations in the specific project area.

#### **Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

State and local governments, nonprofit organizations and institutions, public and private institutions and organizations, Federally recognized Indian Tribal Governments, individuals, small businesses, for-profit organizations, and Native American Organizations. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Varies by project. Deadline information will be included in all funding opportunity announcements posted on [www.grants.gov](http://www.grants.gov).

#### **Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals

were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally awarded for 1 to 3 years. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Periodic performance progress reports, final reports, and other specific reports that may be applicable to the agreement such as property inventories, patent, and invention disclosure as specified in the award terms and conditions.

Projects funded under the American and Recovery and Reinvestment Act of 2009 will have additional quarterly reporting requirements as described in the terms and conditions are required. Cash reports are not applicable. Progress reports are not applicable. Periodic SF 425 Federal Financial Report and final SF 425 as specified in the agreement terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$1,984,643; FY 12 est \$2,000,000; and FY 13 est \$2,000,000. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$100,000 to \$500,000; Average \$1,994,881.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Implementation of LCR MSCP conservation measures. Completed yearly research and monitoring for bird, bat mammal and fish species. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (CFR) 43 CFR 12 and applicable Office of Management and Budget Circulars.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

John Swett PO Box 61470, Boulder City, Nevada 89006 Phone: (702) 293-8555

**Website Address:**

<http://www.lcrmscp.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See annual work plan at <http://www.lcrmscp.gov>. Research and monitoring for various fish, and bird species and for research for habitat

restoration. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Need to meet LCR MSCP requirements for implementation of conservation measures outlined in the Habitat Conservation Plan. This can be found at <http://www.lcrmscp.gov>. For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.539 EQUUS BEDS DIVISION ACQUIFER STORAGE RECHARGE PROJECT**

Equus Beds Aquifer Storage Recharge Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Wichita Project Equus Beds Division Authorization Act of 2005 (Public Law 109-299, Oct 5, 2006).

**OBJECTIVES:**

To design and construct the City of Wichitas Aquifer Storage and Recovery project to divert excess flow from the Little Arkansas River into the Equus Beds Aquifer in order to recover depleted storage and protect the Aquifer.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The program exists to provide funding (as appropriated by Congress) to the city of Wichita for reimbursement of the design and construction of the Citys ASR project to divert excess flow from the Little Arkansas River into the Equus Beds Aquifer in order to recover depleted storage and protect the Aquifer. Authority terminates 10 years from enactment of P.L 109-299. The City of Wichita will hold title to all facilities.

**Applicant Eligibility:**

The City of Wichita.

**Beneficiary Eligibility:**

M & I and agricultural waters users of South-central Kansas.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Project construction could not be initiated until Reclamation completed the NEPA compliance process (EIS) which was completed January 19, 2010. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Annual work plans and a budget are submitted annually. Applicant must submit quarterly progress and expenditure reports along with a SF-271 and SF-425.

**Award Procedure:**

The Great Plains Regional Office approves award and distribution of award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

City must submit quarterly requests within 30 days of the end of the reporting period. Authority to cost share expires October 2016.

**Appeals:**

Not Applicable.

**Renewals:**

Additional funding for the program is at the discretion of Congress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: City will fund 100% of project on a quarterly basis and receive reimbursement for the lesser of 25 percent or \$30 million (indexed from January 2003).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A 10-authorization currently exists for this program. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit Program Performance Report on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$43,653; and FY 13 est \$40,000

**Range and Average of Financial Assistance:**

Range is \$40,000 to \$43,653; Average \$27,884.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Phase II program administration, design, and construction occurred in Fiscal Year 2010 and 2011. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR Part 12 and the OMB Circulars. These documents may be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Benjamin Claggett (GOTR), Oklahoma-Texas Area Office, 5924 NW 2nd Street, Suite 200, Oklahoma City, OK 73127-6514. Phone: (405)470-4829, Fax: (405)470-4807 and E-mail: bclaggett@usbr.gov.

**Headquarters Office:**

Lindsey Nafts, Bureau of Reclamation, Great Plains Regional Office, P.O. Box 36900, 316 North 26th Street, Billings, Montana 59101-6900 Email: LNafts@usbr.gov Phone: (406) 247-7684.

**Website Address:**

<http://www.usbr.gov/gp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: All funding for program goes to City of Wichita for Equus ASR related expenses. Construction for Phase II started in the 2nd quarter of Fiscal Year 2010. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling. The City of Wichita is specified in the legislation for the work to be completed by.

**15.540 LAKE MEAD/LAS VEGAS WASH PROGRAM**

Las Vegas Wash (LVW Program)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 106-541, Water Resources Development Act of 2000, December 11, 2000; as amended, and Energy and Water Appropriations Acts., Public Law -

**OBJECTIVES:**

The objective of this program is to develop and implement management strategies for the Las Vegas Wash to improve water quality, habitat integrity, and reduce the salinity and sediment transport while providing environmental enhancement and recreational opportunities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The Secretary of the Interior shall continue to participate in implementation of the Project at the Las Vegas Wash and Lake Mead in accordance with the Comprehensive Adaptive Management Plan (Plan): Provided, that issuance of any such grants shall not modify the cost sharing requirements provided in section 529(b) of Public Law 106-541. For further information, please contact the regional office.

**Applicant Eligibility:**

The Southern Nevada Water Authority (SNWA), a Special District Government.

**Beneficiary Eligibility:**

The Southern Nevada Water Authority (SNWA) and the General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Projects, Standard Form 424B, Assurances for Non-Construction Projects, Standard Form 424C, Budget for Information for Construction Projects, Standard Form 424D, Assurance for Construction Projects, Standard Form LLL, Disclosure of Lobbying Activities, and written proposals should be submitted via hard-copy, directly to the Program Manager and include: a title, background, objectives, performance schedule, points of contact, most current audit and indirect cost documentation, corrective action plan if needed, any other documentation that is directly associated with the Projects. Funding is authorized, mandatory, so posting on grants.gov is not necessary. This is a cost share program.

**Award Procedure:**

For grant agreements awarded as a component of the eligible beneficiary (SNWA) and project, approved by the Secretary of the Interior, and funded

under Public Law 106-541 and subsequent amendments, all Federal rules, regulations, and agency specific guidelines for awarded procedures will be followed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after receipt of the application forms and proposal submissions, and rely on the passing of a fiscal year appropriations bill for the availability of authorized funds.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to the availability of appropriated funds. The SNWA must submit written requests for renewals or extensions director to the Program Manager for approval, at least 45 days prior to the expiration of the specific project agreement. Once the term of the project is expired, no renewal or extension will be approved, due to non-compliance with the terms and conditions of the specific projects agreement.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: In accordance with Section 529(b) of Public Law 106-541, the cost share for the SNWA is 35 percent, Reclamations is 65 percent, and the authorized appropriated amount is limited to a ceiling of \$20,000,000.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no specific restrictions for these projects; however, most of the projects are awarded for a 1 to 3 year period and funded on a year-by-year basis. No projects exceed a 5 year period. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Reports; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$315,000; FY 12 est

\$65,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$500,000; Average \$126,667.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments include completed bank protection at Firestation weir and along approximately 2,205 feet of bank throughout the Wash; revegetated approximately 76 acres with native plants; ongoing activities including biological resource studies, revegetation site landscape design and monitoring, archaeological investigations, water quality monitoring and monitoring of threatened and endangered bird species; selenium characterization and removal. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations 43 Part 12 and the OMB Circulars. These documents may be obtained by contacting the Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Resources Management Office, P.O. Box 61470, Boulder City, Nevada 89006. Telephone: (702) 293-8109. LC-2722.

**Headquarters Office:**

Director, Bureau of Reclamation, Resources Management Office, P.O. Box 61470, Boulder City, Nevada 89006 Phone: (702) 293-8109.LC-2722.

**Website Address:**

<http://www.usbr.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of funded projects include Water Quality Monitoring in the LVW Mainstream and Tributaries; Water Quality Monitoring of the DU/NP Wetlands and Removal of the Pittman Wash Pilot; LVW T&E and Aquatic Bird Species Monitoring; LVW Coordination Committee Program Management; LVW Archaeological Investigations; Selenium Characterization and Removal Study. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Las Vegas Wash Coordination Committee has decided that the SNWA will be the lead agency for receiving funding for this program due to the high costs and types of environmental improvement and enhancement, and ability to maintain restoration projects. The Las Vegas Wash Program plays an important role in environmental and water resource issues in Southern Nevada. Historically, the Las Vegas was an ephemeral stream carrying storm flows from the Las Vegas Valley to Lake Mead and the Colorado River. Urban development over the past 60 years has resulted in the formation of the wetlands that helped remove nutrients from these wastewater flows. As the rate of discharges increased, erosion also increased, gradually destroying the existing natural treatment systems and wildlife habitat and creating a large delta in the Las Vegas Bay of Lake Mead. Accelerating erosion, declining water quality, and loss habitat are some of the more pressing issues. Proposals submitted will be reviewed and awarded based on priority fulfillment of the 44 action items identified in the Plan and the availability of funding appropriations.

**15.541 COLORADO RIVER BASIN PROJECTS ACT OF 1968**

Colorado River Basin Projects Act

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Colorado River Basin Act of September 30, 1968 amended by the Colorado River Basin Project Act, December 20, 1982., Public Law 90-537.

**OBJECTIVES:**

It is the objective of this Act under Title I, to provide a program for the further comprehensive development of water resources of the Colorado River Basin and for the provision of additional and adequate water supplies for the use in the upper as well as in the lower Colorado Basin. This program is declared to

be for the purposes, among others, of regulating the flow of the Colorado River; controlling floods; improving navigation; providing for the storage and delivery of waters of the Colorado River for reclamation of lands, including supplemental water supplies, and for municipal, industrial, and other beneficial purposes; improving water quality; providing for basic public outdoor recreation facilities; improving conditions of fish and wildlife, and the generation and sale of electrical power as an incident of the foregoing purpose.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Title II, Investigations and Planning -- With respect to coordination of studies, investigations and assessments, the Secretary of Interior, through the Bureau of Reclamation, shall conduct full and complete reconnaissance investigation for the purpose of developing a general plan to meet the future water needs of the Western United States. Such investigations shall include the long-range water supply available and the long-range water requirements in each water resource region of the Western United States.

Title III, Authorized Units: Protection of Existing Uses -- The "Central Arizona Project" (CAP) is a multipurpose water resource development and management project which provides irrigation, municipal and industrial water, power generation, flood control, outdoor recreation, environmental enhancement, and sediment control. In addition, the project will provide delivery of tribal homeland water, partial settlement of Indian water rights claims, and economic benefits accruing from leasing of Indian agricultural water rights to municipal entities.

**Applicant Eligibility:**

Must have a water allocation and water delivery from Reclamation water resource project.

**Beneficiary Eligibility:**

The general public in the state of Arizona, irrigation and water districts and local entities.

**Credentials/Documentation:**

None.

For Public Law 93-638 Contracts, Grants or Agreements Only

- (1) Each 638 contract, grant, or cooperative agreement requires project specific authority;
- (2) Detailed written technical proposals including background data regarding the tribal client, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, type of personnel to implement the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation;
- (3) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services; and
- (4) The awarded 639 contract, grant or cooperative agreement must contain an authorization resolution from a federally recognized Tribe or Tribal Organization. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF24 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

For Public Law 93-638 Contracts, Grants or Agreements Only Initial

proposals must contain the information specified in 25 CFR Part 900.

Proposals shall be submitted to the applicable Reclamation office with the responsibility for the specific project for which a federally recognized Tribe or Tribal Organization with responsibility for the specific project is requesting to contract.

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the funding opportunity announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area. Applications will be reviewed against the proposal evaluation criteria and any additional review factors stated in the funding announcement. Final selection will be determined by the Area Office Manager or his designated representative. For Public Law 93-638 Contracts, Grants or Agreements Only Reclamation and the federally recognized Tribe or Tribal Organization develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. Reclamation and the Tribe/Tribal Organization also negotiate an annual funding agreement (AFA), which identifies activities to be performed, funds to be provided, and the method of payment of the initial year of the contract. A final contract agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial AFA, property listing, project schedule, and list of any other applicable provision, terms and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contingent upon the type and complexity of authorized units under the program or project. Further information will be available for each specific program or project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact on the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds. For Public Law 93-638 Contracts, Grants or Agreements Only Will vary by project component.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will be included in each funding announcement for this program on [www.grants.gov/](http://www.grants.gov/).

For Public Law 93-638 Contracts, Grants or Agreements Only Length and time phasing will vary. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Public Law 93-638 Contracts, Grants, and Agreements Only Reporting (financial status report and progress reports) requirements will be negotiated and contained within the



AFA or the overarching terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953. For Public Law 93-638 Contracts, Grants, and Agreements Only Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.83; Public Law 93-638, and 25 CFR Part 900.

**Account Identification:**

14-4079-0-3-301.

**Obligations:**

(Cooperative Agreements) FY 11 \$37,195,193; FY 12 est \$39,263,000; and FY 13 est \$40,000,000

**Range and Average of Financial Assistance:**

Range is \$25,000 to \$40,000,000; Average \$38,819,397.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments include GRIC P-MIP design completed for WS-IA modification, Reach ST-1B and St Flood Protection, Casa Blanca Canal, Pima Lateral BW-1A on and off-reservation, WsIC Well tie-in, delivery system construction of Consolidated Canal, Four Mile Post Pump station, WS-IA modification, complete WS-ID pipeline cathodic protection and construction of bridges and check structures for Pima Lateral; Tohono Oodham Nation San Xavier District completion activities of the Existing Farm Delivery and Irrigation System, Santa Cruz Dike and Mission Wash modification, ROW appraisal, and San Xavier District Water Management Plan initiated; San Carlos Apache Tribe Alternative Study continued; Yavapai Apache Nation Appraisal Level Study continued; and Salt River Project Habitat Conservation Plan, Environmental Compliance. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars.

For Public Law 93-638 Contracts, Grants, and Agreements Only  
25 USC 450 (Public Law 93-638, 25 CFR Part 900, OMB Circular A-87 (codified at 2 CFR 225), and OMB Circular 133)

**Regional or Local Office:**

See Regional Agency Offices. Phoenix Area Office: Mr. Randy N. Chandler, Area Manager, Bureau of Reclamation, Address: 6150 W. Thunderbird Rd., Glendale, AZ 85306-4001, Telephone: (623) 773-6200.

**Headquarters Office:**

Carol Lynn Erwin, Bureau of Reclamation, 6150 W., Thunderbird Road, Glendale, Arizona 85306-4001 Phone: (623) 773-6215.

**Website Address:**

<http://www.usbr.gov/lc/phoenix/>

**RELATED PROGRAMS:**

15.542 Arizona Water Settlement Act of 2004

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Ongoing Construction of the Pima-Maricopa Indian Irrigation Project of the Gila River Indian Community, Tohono Oodham Nation CAP Water Delivery System for Shuck Toak District, Tohono Oodham Nation CAP Water Delivery System for the San Xavier District, Feasibility and

Alternative Studies for Tohono Oodham Nation Sif Odiak District, San Carlos Apache Tribe, Yavapai Apache Nation, and Tonto Apache Tribe in support of their CAP Water Allocations under the Indian Distribution Division of the CAP. Salt River Project Habitat Conservation Plan, Environmental Compliance. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in each funding announcements posted on [www.grants.gov](http://www.grants.gov). For Public Law 93-638 Contracts, Grants, and Agreements Only

Federally recognized Tribes and Tribal organizations must meet the requirements of Public Law 93-638; 25 CFR Part 900 and any additional criteria specific to the authorizing legislation.

**15.542 ARIZONA WATER SETTLEMENT ACT OF 2004**

Arizona Water Settlement Act

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Arizona Water Settlement Act of 2004, Public Law 108-451.

**OBJECTIVES:**

To provide for adjustments to the Central Arizona Project in Arizona, to authorize the Gila River Indian Community water rights settlement, to reauthorize and amend the Southern Arizona Water Rights settlement Act of 1982, for the settlement of water rights to the San Carlos Apache Tribe and for other purposes.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Title I, "Central Arizona Project Settlement" - With respect to: (1) the water provided by the Central Arizona Project to Maricopa, Pinal, and Pima Counties in the State of Arizona, is vital to citizens of the State; and (2) an agreement on the allocation of Central Arizona Project water among interested persons, including Federal and State interests, would provide important benefits to the Federal Government, the State of Arizona, Arizona Indian Tribes, and the citizens of the State. In accordance with the CAP repayment contract, the Central Arizona Project may be used to transport non-project water for: (1) domestic, municipal, fish and wildlife, and industrial purposes; and (2) any purpose authorized under the Colorado River Basin Project Act (43 U.S.C. 1501 et seq.). Title I, Section 104, Authorization of Appropriation: Authorized to be appropriated such sums as are necessary to comply with: (1) the 1994 biological opinion, including any funding transfers required by the opinion; (2) the 1996 biological opinion, including any funding transfers required by the opinion; and (3) any final biological opinion resulting from the 1999 biological opinion, including any funding transfers required by the opinion. Title II, "Gila River Indian Community Water Rights Settlement" - the purposes of this title is: (1) to resolve permanently certain damage claims and all water rights claims among the United States on behalf of the Community, its members, allottees, and the Community and its neighbors; (2) to authorize, ratify, and confirm the Gila River agreement; (3) to authorize and direct the Secretary to execute and perform all obligations of the Secretary under the Gila River agreement; (4) to authorize the actions and appropriations necessary for the United States to meet obligations of the United States under the Gila River agreement and this title; and (5) to authorize and direct the Secretary to execute the New Mexico Consumptive Use and Forbearance Agreement to allow the Secretary to exercise the rights authorized by subsections (d) and (f) of section 304 of the Colorado River Basin Project Act (43 U.S.C. 1524). Title III, "Southern Arizona Water Rights Settlement" - the purposes of this title are: (1) to authorize, ratify, and confirm the agreements referred to in section 309(h); (2) to authorize and direct the Secretary to execute and perform all obligations of the Secretary under those agreements; and (3) to authorize the actions and appropriations necessary for the United States to meet obligations of the United States, under those agreements and this title. Title IV, San Carlos Apache Tribes Water Rights Settlement- with respect to the: none of the provisions of title I, II, or III or the agreements, attachments, exhibits, or stipulations referenced in those titles shall be construed to: (1) amend, alter, or limit the

authority of (A) the United States to assert any claim against any party, including any claim for water rights, injury to water rights, or injury to water quality in its capacity as trustee for the San Carlos Apache Tribe, its members and allottees, or in any other capacity on behalf of the San Carlos Apache Tribe, its members, and allottees, in any judicial, administrative, or legislative proceeding; or (B) the San Carlos Apache Tribe to assert any claim against any party, including any claim for water rights, injury to water rights, or injury to water quality in its own behalf or on behalf of its members and allottees in any judicial, administrative, or legislative proceeding consistent with title XXXVII of Public Law 102-575 (106 Stat. 4600, 4740); or (2) amend or alter the CAP Contract for the San Carlos Apache Tribe dated December 11, 1980, as amended April 29, 1999.

**Applicant Eligibility:**

Must have a water allocation and water delivery contract from a Reclamation water resource project.

**Beneficiary Eligibility:**

The general public, state of Arizona, state of New Mexico, irrigation and water districts, local entities and Tribal Government.

**Credentials/Documentation:**

None.

For Public Law 93-638 Contracts, Grants or Agreements Only

- (1) Each 638 contract, grant, or cooperative agreement requires project specific authority;
- (2) Detailed written technical proposals including background data regarding the tribal client, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, type of personnel to implement the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation;
- (3) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of goods and services; and
- (4) The awarded 638 contract, grant or cooperative agreement must contain an authorization resolution from a federally recognized Tribe or Tribal Organization. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF 424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

For Public Law 93-638 Contracts, Grants, and Agreements Only  
Initial proposals must contain the information specified in 25 CFR Part 900. Proposals shall be submitted to the applicable Reclamation office with the responsibility for the specific project for which a federally recognized Tribe or Tribal Organization with responsibility.

**Award Procedure:**

All applications will be initially screened for eligibility and compliance with the requirements stated in the funding opportunity announcement. Applications passing this screening process will be forwarded for review by a proposal evaluation panel comprised of qualified experts in the program area (indicate whether reviewers are Federal personnel). Applications will be reviewed against the proposal evaluation criteria and any additional review factors stated in the funding announcement. Final selection will be determined by the Area Office Manager or his designated representative.

For Public Law 93-638 Contracts Grants, and Agreements Only  
Reclamation and the federally recognized Tribe or Tribal Organization develop a negotiation schedule and then negotiate the overarching contract award terms, provisions and conditions based on the requirements of Public Law 93-638, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. Reclamation and the Tribe/Tribal Organization also negotiate an annual funding agreement (AFA), which identifies activities to be performed, funds to be provided, and the method of payment of the initial year of the contract. A final contract agreement is prepared based upon the outcome of negotiations; attachments include the work plan, budget, tribal resolution, initial ADA, property listing, project schedule, and list of any other applicable provisions, terms and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contingent upon the type and complexity of authorized units under the Act. Further information will be available each specific authorized activity under the Act at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Reclamation personnel listed as the point of contact on the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance will be included in award issued under this program. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosure.

For Public Law 93-638 Contracts, Grants, and Agreements Only  
Reporting (financial status reports and progress reports) requirements will be negotiated and contained within the AFA or the overarching terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF 425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF 425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

For Public Law 93-638 Contracts, Grants, and Agreements Only  
Indian Tribal governments and organizations shall maintain project records in accordance with 43 CFR 12.83; Public Law 93-638, and 25 CFR Part 900.

**Account Identification:**

14-4079-0-3-301.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 11 \$0; FY 12 est \$4,627,000; and FY 13 est \$4,627,000

**Range and Average of Financial Assistance:**

Range \$175,000 to \$4,000,000; average \$3,084,666.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Beginning in January 2010, this authorization is to resolve the water rights claims of the Gila River Indian Community and San Xavier District of the Tohono O'odham Nation, through amendments to the Southern Arizona Water Rights Settlement Act of 1982. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars.

For Public Law 93-638 Contracts, Grants, and Agreements Only  
25 USC 40 (Public Law 93-638, 25 CFR Part 900, OMB Circular A-87 (codified at 2 CFR 225), and OMB Circular 133

**Regional or Local Office:**

See Regional Agency Offices. Phoenix Area Office: Mr. Randy N. Chandler, Area Manager, Bureau of Reclamation, Address: 6150 W. Thunderbird Rd., Glendale, AZ 85306-4001, Telephone: (623) 773-6200.

**Headquarters Office:**

Carol Lynn Erwin, Bureau of Reclamation, Phoenix Area Office, 6150 W. Thunderbird Road, Glendale, Arizona 85306-4001 Phone: (623) 773-6200.

**Website Address:**

<http://www.usbr.gov/lc/phoenix>

**RELATED PROGRAMS:**

15.541 Colorado River Basin Projects Act of 1968

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In Fiscal Year 2012, non-construction activities were awarded in support of the San Xavier District Water Management Plan and Arizona Water Rights Settlement Act implementation. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in each funding announcement posted on [www.grants.gov](http://www.grants.gov).

For Public Law 93-638 Contracts, Grants, and Agreements Only  
Federally recognized Tribes and Tribal organizations must meet the requirements of Public Law 93-638; 25 CFR Part 900 and any additional criteria specific to the authorizing legislation.

**15.543 LAKE TAHOE REGIONAL WETLANDS DEVELOPMENT PROGRAM**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Title II, Division D, Public Law 108-7, Consolidated Appropriations Resolution, Water and Related Resources:  
Provided further, That the Bureau of Reclamation is authorized hereafter to negotiate and enter into financial assistance agreements with public and private agencies, organizations, and institutions for activities under the Lake Tahoe Regional Wetlands Development Program: Provided further, That the costs

associated with such activities will be nonreimbursable., Title , Public Law -.

**OBJECTIVES:**

To assist in addressing the past degradation of Lake Tahoe and its watershed by undertaking projects to meet the environmental thresholds as defined in the Tahoe Regional Planning Agency's Environment Improvement Program. The environmental thresholds of interest include water quality, soil conservation, wildlife, fisheries, and vegetation. To achieve environmental restoration in the Lake Tahoe basin, funded activities may include project planning and implementation, program coordination and management, and public outreach.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

All activities are environmental improvement projects to improve water quality and conditions for species and habitats in the Lake Tahoe Basin. The amount of funding available for projects is highly variable from year to year.

**Applicant Eligibility:**

State and local agencies, public nonprofit institutions/organizations, other public institutions/organizations, Federally-recognized Indian Tribal governments, profit organizations, private nonprofit institutions/organizations, other private institutions/organizations, and educational or scientific organizations may apply.

**Beneficiary Eligibility:**

Awards made under this program are intended to benefit the general public by maintaining and improving environmental quality in general, and water quality in particular, of the Lake Tahoe Basin.

**Credentials/Documentation:**

NONE. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the issuing office. Qualified experts from the Bureau of Reclamation will review applications against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the number of proposals received and the complexity of the project. Generally, offices review and select proposals for award within 60 days of proposal submission.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Some projects may be eligible for extension. If renewals or extensions are

applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Agreements are typically awarded for periods of 1 to 3 years, with potential for extension up to 5 years total. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report, and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF 425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF 425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$279,156; FY 12 est \$105,000; and FY 13 est \$112,000

**Range and Average of Financial Assistance:**

\$75,000 to \$500,000; average \$165,385.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Assistance agreements have been awarded to State, local and regional governmental entities for activities associated with the Environmental Improvement Program (EIP) at Lake Tahoe such as stream restoration planning and implementation and control of aquatic invasive species. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable Office of Management and Budget Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

None. Myrnie Mayville, Bureau of Reclamation, 3800 Cottage Way (Mail Code 150), Sacramento, CA 95825.

**Headquarters Office:**

Myrnie Mayville, Bureau of Reclamation, 3800 Cottage Way, Mail Code 150, Sacramento, California 95825 Phone: (916) 978-5037.

**Website Address:**

<http://www.usbr.gov/mp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants and cooperative agreements with entities for planning and construction of stream and riparian restoration of Rosewood Creek on the Nevada side of Lake Tahoe and Angora Creek, a tributary to the Upper Truckee River on the California side. This and other previously funded projects will provide incremental progress towards meeting the environmental threshold goals. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used for selecting a recipient are based on a balanced and informed review of a technical proposal, budget proposal, and relevancy to program objectives. The specific evaluation criteria for each project will be included in the funding announcement posted on [www.grants.gov](http://www.grants.gov).

**15.544 PLATTE RIVER RECOVERY IMPLEMENTATION PROGRAM PRRIP**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Section 515 of the Consolidated Natural Resources Act of 2008 (Public Law 110-229), Section , Public Law -.

**OBJECTIVES:**

Implementation of the Platte River Recovery Program Cooperative Agreement which implements certain aspects of the U.S. Fish and Wildlife Services recovery plans for four target species (interior least tern, whooping crane, piping plover and pallid sturgeon) listed as threatened or endangered pursuant to the Endangered Species Act.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

To be used for projects to implement the PRRIP. For further information, please contact the regional office.

**Applicant Eligibility:**

Legislation authorizes the agreement. The term Agreement means the Platte River Recovery Implementation Program Cooperative Agreement entered into by the Governors of the States of Wyoming, Nebraska, and Colorado and the Secretary.

**Beneficiary Eligibility:**

General public, irrigation and/or water districts, State and local entities, farmers and ranchers, agricultural producers, property owners, municipal water users, and power users.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NONE. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The recipient submits annual work plans and budgets.

**Award Procedure:**

The cooperative agreement is modified to implement annual work plan and reserve additional funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50.0%. Per authorizing legislation, the States of Colorado, Nebraska, and Wyoming shall contribute not less than 50% of the total contributions necessary to carry out the PRRIP. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance is set forth in the current cooperative agreement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF 425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF 425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$12,670,000; FY 12 est \$10,721,000; and FY 13 est \$7,609,000

**Range and Average of Financial Assistance:**

\$1,000,000 to \$15,000,000; average \$10,333,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments in Fiscal Years 2010 and 2011 include: continued implementation of the PRRIP Land, Water, and Adaptive Management Plans; approximately 2,115 acres of land was obtained for habitat through purchase and lease agreements; PRRIP monitoring protocols for species and habitat continue to be implemented; completed a feasibility study and began a pilot demonstration of a groundwater recharge project; a feasibility study for the implementation of a re-regulation reservoir(s) project is ongoing; and completed an agreement to acquire approximately 4,800 acre-feet of water annually through 2019 from the State of Wyoming through the Pathfinder Modification Project. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Wyoming Area Office, P.O. Box 1630, Mills, WY 82644.

**Headquarters Office:**

John Lawson, Bureau of Reclamation, Great Plains Region, P.O. Box 36900,

Billings, Montana 59107-6900 Phone: (307) 261-5671 Fax: (307) 261-5683.

**Website Address:**

<http://www.platteriverprogram.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of funded projects include: the purchase of three tracts of land parcels in Nebraska for habitat conservation; acquired one additional tract for habitat conservation through a lease agreement; completed a study of piping plover and least tern foraging habit; partnered with weed management agencies to remove noxious weed biomass from the river channel between Kingsley Dam and Chapman, NE; and continued funding the implementation of aspects of land, water, and adaptive management plans, including habitat restoration activities. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

No new proposals are accepted at this time. Currently all projects are funded through a long-term cooperative agreement with the Nebraska Community Foundation.

**15.545 BUNKER HILL GROUNDWATER BASIN, RIVERSIDE-CORONA FEEDER PROJECT**

Riverside Corona Feeder

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Section 9112, P.L. 111-11, Section , Public Law -.

**OBJECTIVES:**

Section 9112 of Public Law 111-11 directs the Secretary of the Interior, acting through the Commissioner, to participate in the planning, design, and construction of the Riverside-Corona Feeder Project. Section 9112 authorizes the Secretary to provide up to 25 percent of the total cost of the project, not to exceed \$26 million.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This authority is restricted to the planning, design, and construction of the Riverside-Corona Feeder Project.

**Applicant Eligibility:**

The Secretary is authorized to cooperate with the Western Municipal Water District, Riverside County, California, in the planning, design, and construction of the Riverside-Corona Feeder Project.

**Beneficiary Eligibility:**

Water users serviced by the Western Municipal Water District.

**Credentials/Documentation:**

Funds for planning, design, and construction of the Riverside-Corona Feeder will not be disbursed until a cooperative agreement is executed. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program will be required prior to execution of a construction agreement. This may result in the need for an environmental assessment or environmental impact statement prior to the commencement of project construction activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding provided for the Riverside-Corona Feeder is mandatory funding.

**Award Procedure:**

Reclamation will work with the Western Municipal Water District to negotiate

cooperative agreements for one or more phases of the project.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation of funding from one fiscal year to the next to complete one or more phases of the project is dependent on federal appropriations for the project.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. In accordance with Section 9112 of Public Law 111-11, Reclamation can pay up to 25 percent of the costs of planning, designing, and construction the project, not to exceed a total of \$26 million. The Western Municipal Water District must pay all operation, maintenance, and replacement costs.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There are no time restrictions placed on the use the funds and the funds have generally been made available periodically throughout year on a reimbursable basis. A schedule will be planned between Reclamation and the Western Municipal Water District when the cost sharing agreement is negotiated. However, this schedule can be impacted by the availability of funds during the year. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit based on the frequency determined in the financial assistance agreement Program Performance Reports, a final Program Performance Report, and specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the following reports based on the frequency determined in the financial assistance agreement to submit the SF-425, Federal Financial Reports and a final SF-425. In addition to this requirement and as a result of the U.S. Department of the Interior Office of the Inspector General, Survey Report No 97-I-874 (dated January 13, 1997), Reclamation has instituted a close-out expenditure review and site-visit requirement. This expenditure review is a site visit conducted by Reclamation staff, consisting generally of the Grants Officer Technical Representative (GOTR) and other representative(s) of the Grants Officer with an audit background (usually personnel from the region's finance section). This review is required prior to final closeout for all construction projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - There are no funds requested for this program within the Presidents budget; however, in previous years, funding was provided through congressional earmarking.

**Range and Average of Financial Assistance:**

\$100,000 to \$5,000,000; \$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Riverside-Corona Feeder will provide an additional source of potable water to the cities of Riverside and Corona and their vicinities. Program accomplishment in Fiscal Year 2010 includes obligation of \$900,000 to a preconstruction cooperative agreement, part of which funded environmental compliance, planning, right of way support, and Phase 1 preliminary design. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and applicable OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Southern California Area Office, 27708 Jefferson Ave., Suite 202, Temecula, CA 92590. Telephone (951)695-5310.

**Headquarters Office:**

Will Shipp, Bureau of Reclamation, Office of Program and Policy Services, Mail Code 84-52000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: wship@usbr.gov Phone: (303) 445-2799 Fax: (303) 445-6464.

**Website Address:**

<http://www.usbr.gov/lc/socal/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Development of draft Environmental Impact Statement, project planning, right of way support, and preliminary Phase 1 design. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.546 YOUTH CONSERVATION PROGRAM**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Lands Corps Act of 1993 (16 U.S.C. 1721-1730) and Youth Conservation Corps Act of 1970 (16 U.S.C. 1701-07)

**FOR RECOVERY ACT:**

American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5) , 16 U.S.C 1701-07.

**OBJECTIVES:**

Promote and stimulate public purposes such as education, job training, development of responsible citizenship, productive community involvement, and furthering the understanding and appreciation of natural and cultural resources through the involvement of local youth and young adults in the care and enhancement of public resources.

**FOR RECOVERY ACT:**

For ARRA funded projects and in addition to the program objectives above, the section 3 of the ARRA states the following objectives:

- (1) To preserve and create jobs and promote economic recovery.
- (2) To assist those most impacted by the recession.
- (3) To provide investments needed to increase economic efficiency by spurring technological advances in science and health.
- (4) To invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.
- (5) To stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Not applicable. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligibility is limited to youth, veteran, or conservation corps that are able to involve youth ages 15-25 in the 17 Western United States and the Intern Program in Reclamation projects on a nation-wide basis. A qualified service and conservation corps means any program established by a State, or local government, by the governing body of any Indian tribe, or by nonprofit organization.

**Beneficiary Eligibility:**

Youth and local communities that benefit from conservation improvements and involvement in youth programs activities on Reclamation-owned lands and facilities.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program by the Recipient is not required. Reclamation will address all environmental compliance requirements prior to the start of activities funded under this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened for eligible and compliance with the requirements stated in the program funding opportunity announcement. Applications passing this screening process will be forwarded for review by the proposal evaluation criteria, and any additional review factors, as stated in the funding opportunity announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information why their proposals were not selected for award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. This program requires a nonfederal cost-share, through cash or in-kind services, of at least 25% of the total project costs. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are generally awarded for five years, with a reassessment of program accomplishments on an annual basis. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and

other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. For Recovery Act projects, quarterly reporting is required. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis the SF 425, Federal Financial Report.

Upon completion of the agreement, recipients shall submit a final SF 425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301; 14-0681-0-1-301 - Recovery Act.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$498,449; FY 12 est \$490,000; and FY 13 est \$490,000. (Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$3,000 to \$1,000,000; average \$492,816.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program accomplishments involved 84 diverse youth in cooperative efforts in cultural and natural resource conservation related to Reclamation projects, including habitat restoration of native plant and aquatic species; site restoration, re-vegetation, and fuels reduction. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations (CFR) 43 CFR 12 and applicable Office of Management and Budget Circulars.

**Regional or Local Office:**

None.

**Headquarters Office:**

Amy Sjerven Bureau of Reclamation, Mail Code D,P.O. Box 25007, Denver, Colorado 80255 Email: [ASjerven@usbr.gov](mailto:ASjerven@usbr.gov) Phone: 303-445-2849

**Website Address:**

<http://www.usbr.gov>

**RELATED PROGRAMS:**

15.931 Conservation Activities by Youth Service Organizations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funded projects include conservation and restoration of archaeological and historical resources by organization and mapping of archaeological inventory areas and sites into the GIS database; restoration of natural resources by assisting engineers in wide-variety of materials testing of concrete, soils, rock, and coatings; creation and documentation of natural resources by checking the inventory of Technical Service Center web pages and reports to convert them to meet accessibility guidelines; conservation of cultural and historic resources by managing and protecting historic property and accompanying documents; assist cultural resources specialists in maintaining a user-friendly database of historic properties, making historic photos easily accessible; conservation and recording of natural and scenic resources by working with Archaeologists/GIS data manager to create a directory structure, acquire new/updated data sets from Managing Partner cities, counties, and state offices, verify/update metadata for existing data sets and assist in assembling a Geodatabases; three fishery biologists from the Student Conservation Association performed research and biological data collection; fuels reduction and Wildlife habitat improvement at Lake Cascade; and trails and fence

maintenance and repair. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Corps shall consist of individuals between ages of 16 and 25. The Secretary is authorized to enter into contracts and cooperative agreements with any qualified youth or conservation corps to perform appropriate conservation projects.

For ARRA funded projects:

The purposes of the Recovery Act are, among others, to quickly and prudently commence activities that preserve and create jobs and to promote economic recovery, and to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits. To meet these purposes, Reclamation will allocate funds based on the criteria set forth in the Recovery Act and the accompanying conference report, and will target activities that quickly infuse money into the economy.

**15.547 SAN JACINTO BASIN RESTORATION FUND**

Soboba Band of Luiseno Indians Settlement Act

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Soboba Band of Luiseno Indians Settlement Act, P.L. 111-85.

**OBJECTIVES:**

To provide for the costs associated with constructing, operating, and maintaining that portion of the basin recharge project that the United States is responsible for under the Settlement Agreement.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Project cooperative agreement can only be issued to reimburse the recipient for the Federal share of costs associated with constructing, operating, and maintaining the San Jacinto Basin recharge project, located in Riverside County, California. For further information, please contact the regional office.

**Applicant Eligibility:**

Eastern Municipal Water District.

**Beneficiary Eligibility:**

General public, all users and indirect users of groundwater supplies in the San Jacinto Basin, and the Soboba Band of Luiseno Indians.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants are encouraged to consult with the Bureau of Reclamation, Southern California Area Office (SCAO), for assistance in preparing project proposals and preliminary review of project descriptions and budgets, including assurance of compliance with the National Environmental Policy Act and related laws and orders. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit SF 424 Application for Federal Assistance documents; detailed project technical descriptions and budgets; and all information required under the terms of the applicable appropriations law.

**Award Procedure:**

Bureau of Reclamation personnel will review (1) the application package to ensure that all required documents are complete, accurate, and satisfy all provisions of applicable law, (2) the project budgets and description to ensure the appropriation language requirements are met, and (3) the project descriptions for technical issues and consistency with applicable policies, and budgets for appropriateness of cost estimates. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials,

as applicable to the project. After the application package is acceptable to both parties, a cooperative agreement is drafted, reviewed and signed by both parties.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Typical range of 2-6 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be applicable and are subject to appropriated funds. Revised SF 424 forms are required when applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal cost share is limited to \$10 million by Public Law 111-85, Section 6. The non-Federal cost share can be provided from any non-Federal source; and, in accordance with Section 6, credit toward the non-Federal cost share can be given for the value of certain prior project expenditures.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time periods for specific agreements will be determined during the application and negotiation process. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

During the course of its activities under a cooperative agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. State, Local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$4,000,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range \$0 to \$10,000,000

Average \$1,333,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: One cooperative agreement has been funded. It will provide for constructing, operating, and maintaining that portion of the basin recharge project that the United States is responsible for under the Settlement



Agreement. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 43 CFR 12, OMB Circulars, P.L. 111-85 (the Soboba Band of Luiseno Indians Settlement Act), and the associated Settlement Agreement.

**Regional or Local Office:**

See Regional Agency Offices. Dennis Wolfe, Area Engineer, Southern California Area Office, Telephone 951-695-5310; Fax 951-695-5319; Email dwolfe@usbr.gov.

**Headquarters Office:**

Dennis Wolfe 1849 C Street NW, Washington, District of Columbia 20240  
Email: dwolfe@usbr.gov Phone: 951-695-5310 Fax: 951-695-5319

**Website Address:**

<http://www.usbr.gov/lc/socal/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are limited to the Eastern Municipal Water District. Projects must construct, operate, and maintain the San Jacinto Basin recharge project. The scopes of work must address and be responsive to the authorizing legislation, the final engineering reports, and the funding ceiling.

**15.548 RECLAMATION RURAL WATER SUPPLY PROGRAM**

Rural Water Program

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Reclamation Rural Water Supply Act of December 22, 2006 (Pub. L. 109-451, Title I, 120 Stat. 3346, 43 U.S.C. 2401, et seq.).

**OBJECTIVES:**

To provide the basic requirements and framework for conducting water and related resource feasibility studies in order to formulate, evaluate, and select project plans for implementation. The benefits will include improved consistency in the content and quality of feasibility studies and reports prepared by or for Reclamation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Construction assistance not available unless authorized and funds appropriated by Congress. Payment terms vary by agreement awarded under this program.

**Applicant Eligibility:**

Eligible applicants include states and political subdivisions of states, such as departments, agencies, municipalities, counties, and other regional or local authorities; Indian tribes and tribal organizations; and entities created under state law that have water management or water delivery authority, such as irrigation or water districts, canal companies, water users associations, rural water associations or districts, joint powers authorities, and other qualifying entities; and any combination of the entities listed above. Applicants must be located in the 17 Western States as identified in the Reclamation Act of June 17, 1902, as amended.

**Beneficiary Eligibility:**

Eligible beneficiaries include small communities or group of small communities, including Indian tribes and tribal organizations. For the purpose of the Rural Water Supply Program, a small community is defined as having a population of no more than 50,000 people. More than one small community may be served by a rural water project if each small community has a population of 50,000 or less.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Grants, cooperative agreements, and technical assistance awards funded under the Rural Water Program will follow all applicable Federal rules, regulations, and agency specific guidelines.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Appraisal investigations: 180 business days;

Feasibility studies: 270 business days. .

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Appraisal investigations may generally be renewed on an annual basis, not to exceed a total of 2 years. Feasibility studies may generally be renewed on an annual basis, not to exceed a total of 5 years. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: In accordance with Sec. 105 & 106 of Public Law 109-451, Federal funding for appraisal investigations is 100 percent of the total cost of the investigation, up to \$200,000. If the cost of conducting an appraisal investigation is more than \$200,000, the non-Federal share of the costs in excess of \$200,000 shall be 50 percent. With some exceptions, the Federal share of the cost to conduct a feasibility study shall not exceed 50%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Appraisal investigations must be completed in 2 years. Feasibility studies are not limited but generally take 2-3 years to complete. There is no specific period of time that the assistance is available. See the following for information on how assistance is awarded/released: Fund appraisal investigations and feasibility studies are awarded on an annual basis. It depends on how much is requested during the fiscal year and how long it will take to conduct the study.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report; on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain records in accordance with 43 CFR 12.82. All other recipients shall maintain records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$2,086,404; FY 12 est \$1,500,000; and FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

Range \$75,000 to \$500,000  
Average \$1,695,468.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2010 (FY10), the program awarded ten appraisal investigations and three feasibility studies. Three appraisal reports were developed and approved in FY10: Douglas County Rural Water Project Appraisal Report, Colorado; Dry-Redwater Rural Water System Appraisal Report, Montana; and Musselshell-Judith Rural Water System Appraisal Report, Montana.

In Fiscal Year 2011 (FY11), the program awarded seven appraisal investigations and two feasibility studies. Two appraisal reports were developed and approved in FY11: Lower Niobrara Natural Resource District Appraisal Report, Nebraska and Southern Black Hills Regional Water System Appraisal Report, South Dakota. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation, Water and Environmental Resources Division  
Bldg. 67  
PO Box 25007 (84-55000)  
Denver, CO 80225-0007.

**Headquarters Office:**

Bureau of Reclamation Water and Environmental Resources Division  
Bldg. 67  
PO Box 25007 (84-55000), Denver, Colorado 80225-0007 Phone:  
(303)445-2711

**Website Address:**

<http://www.usbr.gov/ruralwater/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov) and in supplemental instructions posted on the program website at [www.usbr.gov/ruralwater/](http://www.usbr.gov/ruralwater/).

**15.549 INTEGRATED REGIONAL WATER PLAN FOR THE CENTRAL VALLEY OF CALIFORNIA**

California Water Institute Regional Water Plan

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-11, Title X Part II, Section 10101, Omnibus Public Land Management Act, 2009; Public Law 111-85, Energy and Water Development Appropriations Act, 2010.

**OBJECTIVES:**

The California Water Institute at Fresno State University (Institute) has been authorized under federal law, acting through the United States Bureau of Reclamation (Reclamation) to conduct a study regarding the coordination and integration of sub-regional integrated regional water management plans into a unified Integrated Regional Water Management Plan for the eight counties and two hydrologic basins that encompass the San Joaquin Valley that would address issues related to: water quality; water supply (both surface, ground water banking, and brackish water desalination); water conveyance; water reliability; water conservation and efficient use (by distribution systems and by end users); flood control; water resource-related environmental enhancement; and population growth.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Integrated Regional Water Management Plan developed for the two hydrologic basins that encompass the San Joaquin Valley shall serve as a guide for the counties in the study area described in Section 10101(a)(2) to use as a mechanism to address and solve long-term water needs in a sustainable and equitable manner.

**Applicant Eligibility:**

California Water Institute at California State University, Fresno. Education and Research Center.

**Beneficiary Eligibility:**

California Water Institute and the General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Projects, Standard Form 424B, Assurances for Non-Construction Projects, Standard Form 424C, Budget Information for Construction Projects, Standard Form 424D, Assurances for Construction Projects, Standard Form LLL, Disclosure of Lobbying Activities, and written proposals should be submitted via hard-copy, directly to the Program Manager and include: a title, background, objectives, performance schedule, points of contact, most current audit and indirect cost documentation, corrective action plan if needed, any other documentation that is directly associated with the Projects. Funding is authorized, mandatory, so posting on [grants.gov](http://grants.gov) is not necessary.

**Award Procedure:**

For Grant Agreements awarded as a component of the eligible beneficiary (SCCAO) and project, approved by the Secretary of the Interior, and authorized under Public Law 111-85 and subsequent amendments, all Federal rules, regulations, and agency specific guidelines for awarded procedures will be followed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type and complexity of the project. Most awards are anticipated within 90 days or less after receipt of the application forms and proposal submissions, and rely on the passing of a fiscal year

appropriations bill for the availability of authorized funds.

**Appeals:**

None. Final award decisions are not subject to appeal; however, upon request, the Bureau of Reclamation will provide applicants with information on why their proposals were not selected for award.

**Renewals:**

When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to the availability of appropriated funds. The SCCAO must submit written requests for renewals or extensions directly to the Program Manager for approval, at least 45 days prior to the expiration of the specific projects agreement. Once the term of the project is expired, no renewal or extension will be approved, due to non-compliance with the terms and conditions of the specific projects agreement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

December 31, 2015. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300.

**Obligations:**

(Project Grants) FY 11 \$184,975; FY 12 est \$150,000; and FY 13 est \$200,000

**Range and Average of Financial Assistance:**

Range \$50,000 to \$200,000  
Average \$178,325.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Framework completed in 2010 and Water Management Plans drafts were completed in 2011. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 Subparts A,C,E,F and OMB circulars A-21, A-87 A-122

**Regional or Local Office:**

See Regional Agency Offices. Resource Management Division  
U.S. Bureau of Reclamation  
1243 "N" Street

Fresno, CA 93721  
Office: (559)487-5116.

**Headquarters Office:**

Resource Management Division U.S. Bureau of Reclamation  
1243 "N" Street  
, Fresno, California 93721 Phone: (559)487-5116

**Website Address:**

<http://www.usbr.gov/mp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The examples of funded projects include the following: Semitropic Water Storage District in which funds were for a water storage and recovery basin they built for groundwater recharge programs and North Kern Water Storage District for construction of a canal intertie that connected two canals used to deliver water in the Southern San Joaquin Valley with the intent to more effectively use water where and when it was needed. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Study area was the San Joaquin River Hydrologic Region, as defined by DWR Bulletin 160-05 Volume 3 Chapter 7 & 8. Secretary of the Interior shall provide direct financial assistance to California Water Institute, per P.L. 111-11.

**15.550 INCREASING PUBLIC AWARENESS OF RECREATIONAL OPPORTUNITIES AT RECLAMATION RESERVOIRS FOR PHYSICALLY CHALLENGED AND DISADVANTAGED CHILDREN FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Take Pride in America (TPIA) Public Law 101-628 (16 U.S.C. 4601 et seq.) and the TPIA Delegation Agreement between the Department of the Interior and the Bureau of Reclamation dated September 22, 2008.

**OBJECTIVES:**

To provide opportunities for disabled and disadvantaged children to use and enjoy public waters and related lands; to assist Reclamation in meeting its goal to provide accessible programs, facilities and activities to create a positive outdoor experience for all citizens; to increase awareness of all the participants (parents/caregivers, sportsmen, partners, volunteers) to the capabilities of disabled and disadvantaged children; and to provide educational opportunities for disabled and disadvantaged children to learn more about fish and water as natural resources.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

TPIA has delegated authority to Reclamation to carry out a Program to instill in the public the importance of the appropriate use of and appreciation for Reclamation facilities. Eligible activities under the Delegation are limited to activities authorized under the TPIA. Such activities may include events designed to increase public awareness of recreational opportunities at Reclamation reservoirs, for physically challenged and disadvantaged children as well as other members of the public, and may also include financial assistance agreements to eligible entities for the purpose of carrying out the Program. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligible applicants are State governments, County governments, City or townships governments, Special districts governments, Independent school districts, Public and State controlled institutions of higher education, Native American tribal governments (federally recognized), Public Housing Authorities/Indian Housing Authorities, Native American tribal organization (other than Federally recognized tribal governments) Non-Profits having a 501(c)(3) status with the Internal Revenue Service (IRS), other than institutions of higher education, Private institutions of higher education,

Individuals, Small businesses.

**Beneficiary Eligibility:**

Disabled and disadvantaged children.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

For grant and cooperative agreements awarded and funded through Public Law 101-628 (16 U.S.C. 4601 et seq.) and the TPIA Delegation Agreement between the Department of the Interior and the Bureau of Reclamation dated September 22, 2008, and subsequent amendments, all Federal rules, regulations, and agency specific guidelines for awarding procedures will be followed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Projects may generally be renewed on an annual basis, not to exceed a total of 5 years. If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

5 years. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Unless otherwise stated in the agreement document, recipients shall submit SF-425, Federal Financial Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-300.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$256,714; FY 12 est \$160,787; and FY 13 est \$167,205

**Range and Average of Financial Assistance:**

Range: \$160,000.00 \$130,000.00  
Average: \$194,802.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Over 900 disabled and disadvantaged children participated in 20 events in 9 states during 2011. It is anticipated that a similar number of events and participants will be served in 2012. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Reclamation  
Acquisition Operations Group 84-27810  
P.O. Box 25007, Denver Federal Center  
Denver CO 80225.

**Headquarters Office:**

Bureau of Reclamation Acquisition Operations Group 84-27810  
P.O. Box 25007, Denver Federal Center  
, Denver , Colorado 80225 Phone: (303)445-2849

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Fishing events for special needs children at 20 different Reclamation owned managed reservoirs servicing over 900 children. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.551 MADERA WATER SUPPLY ENHANCEMENT PROJECT**

Madera Irrigation District WSEP or Madera Ranch

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-11, Omnibus Public Land Management Act of 2009, Title X, Part II, Section 9102.

**OBJECTIVES:**

The Madera Water Supply Enhancement Project, a groundwater bank on the 13,646-acre Madera Ranch in Madera, California, owned, operated, maintained, and managed by the Madera Irrigation District that will plan, design, and

construct recharge, recovery, and delivery systems to be able to store up to 250,000 acre-feet of water and recover up to 55,000 acre-feet of water per year. This will increase storage capacity and supply reliability for the district.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All final planning and design and the construction of the Madera Water Supply Enhancement Project (Project) authorized by Section 9102(c) shall be undertaken in accordance with a cooperative agreement between the Secretary of the Interior and the Madera Irrigation District for the Project. Such cooperative agreement shall set forth in a manner acceptable to the Secretary of the Interior and the Madera Irrigation District the responsibilities of the District for participating, which shall include: (1) engineering and design; (2) construction; (3) the administration of contracts pertaining to any of the foregoing. The authorization for this project sunsets on March 30, 2019.

**Applicant Eligibility:**

Madera Irrigation District.

**Beneficiary Eligibility:**

Madera Irrigation District and the General Public.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Projects, Standard Form 424B, Assurances for Non-Construction Projects, Standard Form 424C, Budget Information for Construction Projects, Standard Form 424D, Assurances for Construction Projects, Standard Form LLL, Disclosure of Lobbying Activities, and written proposal have been provided and includes: a title, background, objectives, performance schedule, points of contact, most current audit and indirect cost documentation, corrective action plan if needed, any other documentation that is directly associated with the Projects. Funding is authorized, mandatory, so posting on grants.gov was not necessary.

**Award Procedure:**

Reclamation worked with the Madera Irrigation District to negotiate a cooperative agreement for the various phases of the project. The cooperative agreement was executed by the Bureau of Reclamation on August 12, 2011.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time for each project phase varies depending on the type and complexity of the project.

**Appeals:**

None.

**Renewals:**

Continuation of funding from one fiscal year to the next to complete one or more phases of the project is dependent on federal appropriations for the project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program requires Madera Irrigation District to pay 75% of the total cost of the project. P.L. 111-11 authorizes the Secretary of the Interior to reimburse the district for 25% of the costs they incur (minus Reclamations non-project costs), not to exceed \$22.5 million. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The initial estimated completion date of this project is 2016. See the following

for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

In addition to what is stated in the cooperative agreement, recipients shall submit Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. In addition to what is stated in the cooperative agreement, recipients shall submit SF-425, Federal Financial Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Cooperative Agreements) FY 11 \$520,000; FY 12 est \$750,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

The range is \$0 to \$22,500,000; Average is \$1,090,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program accomplishments involved completing engineering, administrative, and legal tasks, and District contributions. In 2010, the engineering tasks included Madera Ranch 2010 Groundwater Sampling; Federal permitting, consulting, other permitting reporting and costs; WSEP Permitting Assistance; and start up of vernal pool services. The administrative and legal tasks included the continued CEQA support, ADEIS reviews, NEPA reviews, meetings, reports, accounting, and other project items. The Madera Irrigation District contributions are scoping, preparation and review process of the long term storing and extraction of groundwater; repair and maintenance of turnouts, ditches, and pipelines; and daily measurements of flows through conveyances to be used for the Pilot Project. In 2011, the engineering tasks included Vollmar Consulting services for vernal pool project and continued federal permitting and consulting. The administrative and legal tasks continued. The Districts contributions are repair and maintenance of turnouts, ditches, and pipelines and daily measurements of flows through conveyances to be used for the Pilot Project. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 Subparts A,C,E,F and OMB circulars A-21, A-87, and A-122

**Regional or Local Office:**

See Regional Agency Offices. South-Central California Area Office  
Bureau of Reclamation  
1243 N Street  
Fresno, CA 93721  
Office: (559)487-5116.

**Headquarters Office:**

Chief U.S. Bureau of Reclamation, 2800 Cottage Way  
, Sacramento, California 95825 Phone: (916) 978-5148

**Website Address:**

<http://www.usbr.gov/mp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Madera Irrigation District Groundwater Banking Project.  
Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are limited to the Madera Irrigation District. The scope of work must address and be responsive to the authorizing legislation and the appropriation ceiling.

**15.552 NAVAJO-GALLUP WATER SUPPLY PROJECT****FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-11, Omnibus Public Land Management Act, Title X, Part III, Section 10602 (a).

**OBJECTIVES:**

To provide financial assistance to design and construct portions of the Navajo-Gallup Water Supply Project (Project).

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Project is a component of a water right settlement with the Navajo Nation. In general, financial assistance may be provided to profit or non-profit entities to design and construct portions of the Project. Specifically, financial assistance may be provided to the Navajo Nation (Nation) and City of Gallup, New Mexico (City) to design and construct portions of the Project to provide water deliveries to Navajo and City water distribution systems. Financial assistance may be specifically directed to the Nation and City because they are uniquely qualified to perform the design and construction work; will ultimately own and operate Project facilities; and, legislative authority exists to provide this financial assistance to the Nation and City.

**Applicant Eligibility:**

Native American Organization (Navajo Nation)  
Local governments (City of Gallup New Mexico)  
Profit organization(s)  
Private nonprofit institution(s)/organization(s).

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Government (Navajo Nation)  
Local Governments (City of Gallup New Mexico).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A Planning Report/Final Environmental Impact Statement/Record of Decision has been completed. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding opportunity announcements for this program, along with registration procedures, application packages and instructions, SF-424 forms and any other forms to be used to submit application information, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Reclamation will award, on a non-competitive basis, two agreements with the City of Gallup and the Navajo Nation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. All Project construction costs allocated to the Nation are nonreimbursable. There will be no Nation matching or cost share associated with this financial assistance. See Public Law 111-11, Omnibus Public Land Management Act, Title X, Part III, Section 10604 (a) (3).

The City is obligated to pay, with interest, 25 to 35 percent of Project construction costs allocated to the City based on the ability of the City to pay. There will be no City matching or cost share associated with this financial assistance. See Public Law 111-11, Omnibus Public Land Management Act, Title X, Part III, Section 10604 (b) (3).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

2010 to 2024. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit the following reports on an annual basis: (1) SF-425, Federal Financial Report; and (2) Program Performance Reports. Upon completion of the agreement, recipients shall submit a final: (1) SF-425, Federal Financial Report; and (2) Program Performance Report; and (3) other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$7,076,400; FY 12 est \$26,500,000; and FY 13 est \$33,500,000

**Range and Average of Financial Assistance:**

Range: \$500,000 - \$27,000,000  
Average: \$22,358,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, the City of Gallup started their cultural resource, NEPA compliance and design requirements. Those will continue throughout Fiscal Year 2012 (FY12). Fiscal Year 2012: In FY12, the Navajo Nation will begin their cultural resource, NEPA compliance and project design. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Upper Colorado Region, Four Corner Construction Office, Barry Longwell (COTR), blongwell@usbr.gov, 970-259-1110.

**Headquarters Office:**

Barry Longwell, FCCO 100, Four Corners Construction Office, 103 Everett Street, Durango, Colorado 81303 Email: blongwell@usbr.gov Phone: (505) 325-1794 Fax: (505) 326-4388.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Financial assistance agreement awarded to City to provide for the design and construction of Reach 13 and Reach 27.5 of the Navajo Gallup Water Supply Project. This work includes initial environmental and cultural resource compliance tasks. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.553 EASTERN NEW MEXICO RURAL WATER SYSTEM PROJECT**  
ENMRWS

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-11, Omnibus Public Land Management Act of 2009, Title IX, Section 9103.

**OBJECTIVES:**

Provide potable water to communities in Eastern New Mexico.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Project will be constructed, owned, operated, and maintained by the Eastern New Mexico Water Utility Authority (Authority), the Projects local sponsor.

**Applicant Eligibility:**

Eastern New Mexico Water Utility Authority (Authority) was formed for the sole purpose of administration of this new water supply project for the surrounding communities.

**Beneficiary Eligibility:**

The Project would pipe 16,450 acre-feet of water per year from Ute Reservoir to the eastern New Mexico municipalities of Clovis, Elida, Grady, Melrose, Portales, and Texico. Curry County, Roosevelt County, and Cannon Air Force Base are also participating in the Project. The present population of the Project service area is about 60,000 people.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

In December 2010, the U.S. Fish and Wildlife Service issued a concurrence memorandum which completes the Endangered Species Act Section 7 consultation. In January 2011, a Finding of No Significant Impact was signed, thus completing National Environmental Policy Act compliance. Also in January 2011, a Memorandum of Agreement was executed between the Authority and Reclamation describing roles and responsibilities during construction of the Project. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Funding announcements for this program, along with registration procedures, application packages and

instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Once the parties agree with their respective annual scopes of work and budgets, the Bureau of Reclamations Upper Colorado Region finalizes the modifications. Responsibilities for needs assessments, feasibility and environmental studies, design, conservation measures and administration are to be included in agreements negotiated under this authority.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 75%. The Federal share of the total cost of any activity or construction carried out using amounts made available shall be not more than 75 percent of the total cost of the Eastern New Mexico Rural Water System. An amount not greater than \$327,000,000 (January 1, 2007 price levels) is authorized to be appropriated for non-reimbursable financial assistance to plan, design, and construct the Project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

September 30, 2021. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. No cash reports are required. No progress reports are required. Unless otherwise stated in the agreement document, recipients shall submit the SF-425 Federal Financial Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$0; FY 12 est \$496,231; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

Range: \$0-\$1,000,000

Average: \$332,077.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In January 2011, a Finding of No Significant Impact was signed, thus completing National Environmental Policy Act compliance. Also

in January 2011, a Memorandum of Agreement was executed between the Authority and Reclamation describing roles and responsibilities during construction of the Project. All of the prerequisites for construction have been completed and a ground breaking ceremony took place at Ute Reservoir on August 11, 2011. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Mr. Joe Alderete Albuquerque Area Office  
Bureau of Reclamation  
555 Broadway NE, Albuquerque, New Mexico 87102 Phone: 505.462.3578

**Website Address:**

<http://enmrwa.com/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.554 COOPERATIVE WATERSHED MANAGEMENT PROGRAM (CWMP)**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-11, Omnibus Public Land Management Act of 2009, Title VI, Subtitle A, Sec. 6001-6003 (16 USC 1015 et seq.).

**OBJECTIVES:**

The purpose of the Cooperative Watershed Management Program is to enhance water conservation, including alternative uses; improve water quality; improve ecological resiliency of a river or stream; and to reduce conflicts over water at the watershed level by supporting the formation of watershed groups to develop local solutions to address water management issues.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funding is to be used for activities that fall under the following categories: (1) establishment of a watershed group; (2) expansion of an existing watershed group; and (3) implementation of watershed management projects. In FY 2012, funding is limited to Phase I activities to establish or expand an existing watershed group. Funding shall be used to develop a mission statement; develop project concepts; and to develop a restoration plan. When additional funding is available, Reclamation will expand implementation of the CWMP to include funding for Phase II and III water management projects through a separate funding opportunity.

Applicants may request up to \$50,000 in Federal funds each year, for a period of up to two years for Phase I activities. Second-year funding will be awarded to applicants that demonstrate sufficient progress throughout the year, contingent on availability of appropriations.

**Applicant Eligibility:**

Applicants eligible to receive a financial assistance agreement under the Cooperative Watershed Management Program include:

- States;
- Indian tribes;
- Local and special districts; (e.g., irrigation and water districts, county soil conservation districts, etc.);
- Local governmental entities; and non-profit organizations.

To be eligible, applicants must also significantly affect or be affected by the quality or quantity of water in a watershed; be capable of promoting the sustainable use of water resources within the given watershed area; and be located within the 17 western United States or Territories as identified in the Reclamation Act of June 17, 1902, as amended and supplemented.

**Beneficiary Eligibility:**

The Cooperative Watershed Management Program benefits a diverse array of stakeholders, which may include but is not limited to, private property owners, Federal, State, or local agencies, and Indian tribes that are located in the 17 western States identified in the Act of June 17, 1902, as amended, and have authority with respect to the watershed.

**Credentials/Documentation:**

(1) A detailed written technical proposal including background data regarding the applicant, such as: location; diversity, and the geographic scope of the proposed or existing watershed group; a description of the watershed, including the source of water supply, the water rights involved, current water uses (i.e., agricultural, municipal, domestic, instream uses or industrial), and the types of water issues faced in the affected watershed (e.g., shortfalls in water supply, endangered species concerns, environmental issues, or other issues that the planned watershed group would like to address); an overview of the goals and approach of establishing or expanding an existing watershed group; an estimated project schedule that shows the stages and duration of the proposed work, including major tasks, milestones, and dates for establishing or expanding the watershed group upon entering into a financial assistance agreement; and describing data responsive to the evaluation criteria listed in the Announcement. (2) When applicable, applicants proposing a non-federal cost-share must submit a funding plan that shows how the applicant will pay for its non-Federal cost share requirement, and an official resolution adopted by the applicants board of directors or governing body, or for state government entities and universities, an official authorized to commit the applicant to the financial and legal obligations associated with receipt, resolving that, if selected, it will negotiate and execute a cooperative agreement with Reclamation. (3) A detailed project cost proposal, including a budget with the annual estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, an estimate of annual operation & maintenance costs, and the value of in-kind contributions of goods and services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding Opportunity Announcements (Announcement) for this program are posted on [www.grants.gov](http://www.grants.gov). Submission of a complete technical proposal and budget is mandatory by the due date identified in the Announcement. In addition, applicants must submit all applicable SF 424 forms referenced in the Announcement.

**Award Procedure:**

Proposals received in response to the Announcement are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the Announcement. Reclamation will make awards to the highest rated proposals based on the amount of funding available each year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The review, scoring and announcement of the recipients typically take three to five months.

**Appeals:**

Upon request, Reclamation will provide all applicants with information on why



their proposals were not selected.

**Renewals:**

The awarded projects are fully funded at the time of award. Second-year funding may be awarded to applicants that demonstrate sufficient progress throughout the year, contingent on the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Phase I (establishment or expansion of a watershed group): A non-Federal cost-share is not required for Phase I activities.

Phase II and Phase III (watershed management projects): A 50% non-Federal cost-share is required for watershed management projects.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Proposed activities should be completed within 2 years from the project start date. Applicants seeking funding for activities requiring more than 2 years will be considered if you can demonstrate that there will be measureable accomplishments each year. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Grant recipients shall submit semi-annual Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report that demonstrates the applicants successful completion of the activities described in the financial assistance agreement. No cash reports are required. No progress reports are required. Grant recipients shall submit the SF-425, Federal Financial Report on a semi-annual basis. Upon completion of the agreement, a final SF-425 shall be submitted. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$0; FY 12 est \$250,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range: \$0- \$50,000

Average: \$83,333.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. <http://www.usbr.gov/main/regions.html>.

**Headquarters Office:**

Avra Morgan Bureau of Reclamation, Office of Program & Policy Services, Mail Code: 84-51000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: [aomorgan@usbr.gov](mailto:aomorgan@usbr.gov) Phone: (303)445-2906

**Website Address:**

<http://www.usbr.gov/WaterSMART/cwmp/index.html>

**RELATED PROGRAMS:**

15.669 Cooperative Landscape Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). All applications will be evaluated using criteria that give priority based on the diversity and geographic scope of the proposed watershed group; the critical nature of the issues to be addressed by the group; whether the proposed group (or its proposed activities) is aligned with a state water plan; whether the amount of funding requested is reasonable for the work proposed; and whether the proposed schedule and milestones are reasonable and appropriate.

The funding opportunity will also prioritize proposals that establish a nexus to a Landscape Conservation Cooperative (LCC).

**15.555 SAN JOAQUIN RIVER RESTORATION PROGRAM**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-11, Omnibus Public Land Management Act of 2009, Title X, Subtitle A, Part I, San Joaquin River Restoration Settlement Act (123 Stat. 1349).

**OBJECTIVES:**

The objective of the San Joaquin River Restoration Program (SJRRP) is to implement the Settlement consistent with and as supplement by, the San Joaquin River Restoration Settlement Act. The Settlement identifies the following two goals:

- (1) Restoration Goal - Restore and maintain fish populations in good condition in the main stem of the San Joaquin River below Friant Dam to the confluence of the Merced River, including naturally-reproducing and self-sustaining populations of salmon and other fish; and,
- (2) Water Management Goal - Reduce or avoid adverse water supply impacts to all of the Friant Division long-term contractors that may result from the Interim Flows and Restoration Flows provided for in this Settlement.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance can be used only to implement the Settlement consistent with and as supplement by, the San Joaquin River Restoration Settlement Act. It is anticipated that all activities funded will be Project Grants that will relate to implementing specific activities in the Settlement and the San Joaquin River Restoration Settlement Act or specific monitoring, mitigation or other commitments that are necessary to implement the Settlement or the San Joaquin River Restoration Settlement Act (such as project implementation or mitigation commitments in environmental compliance documents prepared for SJRRP actions).

**Applicant Eligibility:**

State, tribal, and local governmental agencies, and with private parties, including agreements related to construction, improvement, and operation and maintenance of facilities, subject to any terms and conditions that the Secretary deems necessary to achieve the purposes of the Settlement.

**Beneficiary Eligibility:**

State, tribal, and local governmental agencies, private parties, and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. Federal, state, or local permits and

approvals for the program may be required depending on the scope of the specific project funded. This may result in the need for the issuance of the required permits and approvals prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications will be initially screened by Bureau of Reclamation personnel for eligibility and compliance with the requirements stated in the program funding announcement. Applications passing this screening process will be forwarded for review by the issuing office. Qualified experts from the Bureau of Reclamation will review applications against the proposal evaluation criteria, and any additional review factors, as stated in the funding announcement. Final selection will be determined by the Commissioner, Bureau of Reclamation, or regional officials, as applicable to the project.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Projects may generally be renewed on an annual basis, not to exceed a total of 5 years. If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Projects undertaken under Section 10004 have no matching requirements. Projects undertaken under Section 10202 require a 50 percent share of the costs associated with planning, design, and environmental compliance activities associated with such a project and a 50 percent share of the costs associated with construction of any such project. For these projects, all operation, maintenance, and replacement and rehabilitation costs of such projects shall be the responsibility of the local agency. The Secretary shall not provide funding for any operation, maintenance, or replacement and rehabilitation costs of projects funded.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit Program Performance Reports on an annual basis. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property

inventories, and patent and invention disclosures. No cash reports are required. No progress reports are required. Unless otherwise stated in the agreement document, recipients shall submit the SF-425, Federal Financial Report on an annual basis. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-5537-0-2-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$2,289,000; FY 12 est \$7,722,000; and FY 13 est \$25,000,000

**Range and Average of Financial Assistance:**

Range: \$10,000 - \$20,000,000

Average: \$11,670,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: New Program. Fiscal Year 2012: All of the project funded will work towards the implementation of the Stipulation of Settlement in NRDC, et al., v. Rodgers, et al., consistent with and as supplement by, the San Joaquin River Restoration Settlement Act. These projects will contribute towards meeting the Restoration and Water Management goals of the Settlement. The SJRRP focuses on restoring flows and fish, including Chinook salmon, to the San Joaquin River. These efforts will have wide reaching benefits, including: restoring riparian habitat to more than 30 miles of the San Joaquin River; restoring ecosystem function and aquatic, riparian, and upland species habitats along the river; improving river channel capacities and flood control operations; and reconnecting the upper San Joaquin River to the Sacramento-San Joaquin Delta. Beyond the scope of the Settlement, a restored river will enhance recreational access and opportunities for many communities along the river. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Alicia Forsythe, Program Manager  
San Joaquin River Restoration Program  
Bureau of Reclamation  
2800 Cottage Way, MP-170  
Sacramento, CA 95825  
916-978-5464  
[aforsythe@usbr.gov](mailto:aforsythe@usbr.gov).

**Headquarters Office:**

Alicia Forsythe Bureau of Reclamation  
Mid-Pacific Regional Office  
2800 Cottage Way, MP-170  
, Sacramento, California 95825 Email: [aforsythe@usbr.gov](mailto:aforsythe@usbr.gov) Phone: (916)978-5464

**Website Address:**

<http://www.usbr.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Five example projects from FY 2010 and FY 2011 are

provided below. Other types of projects would be considered in the future.

1. Financial assistance awarded to a joint powers agency to implement landowner coordination activities consistent with, and in fulfillment of the commitments made in a Memorandum of Understanding among the Bureau of Reclamation and certain downstream landowner organizations, water agencies, and other interested parties regarding implementation of the Settlement.
2. Financial assistance awarded to a local levee maintenance agency to undertake additional operation and maintenance activities as a result of the Water Year 2011 Interim Flows Project.
3. Grant awarded to a not for profit organization for the management and removal of invasive vegetation species along the San Joaquin River from Friant Dam to the confluence with the Merced River consistent with commitments made in the Finding of No Significant Impact statements for the Water Year 2010 and Water Year 2011 Interim Flows Projects.
4. Financial assistance awarded to a private corporation to install remotely operated gates on a dam to improve worker safety and better measure and manage passing the SJRRPs Interim Flows past the structure.
5. Financial assistance awarded to a local reclamation district to participate in the environmental compliance and design activities for possible modifications to their facilities consistent with the Settlement. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.556 CROW TRIBE WATER RIGHTS SETTLEMENT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-291, Claims Resolution Act of 2010, Title IV, Crow Tribe Water Rights Settlement (31 USC 1101).

**OBJECTIVES:**

To rehabilitate and improve the water diversion and delivery features of the Crow Irrigation Project (CIP). To plan, design and construct a new municipal, rural & industrial (MR&I) water system for the benefit of the Crow Tribe and its members.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The project is for the rehabilitation and improvement of the existing Crow Irrigation Project and for the construction of a new MR&I system on the Crow Reservation. These projects are authorized under Title IV of the Claims Resolution Act of 2010.

**Applicant Eligibility:**

The Crow Tribe of Montana.

**Beneficiary Eligibility:**

Irrigable lands within the Crow Reservation.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

These projects will meet the requirements of the National Environmental Policy Act (NEPA) of 1969, and final engineering reports are being developed. Any proposed changes in the scope of these projects will be reviewed for continued compliance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Annual work plans and budgets are negotiated annually.

**Award Procedure:**

Annually, the Crow Tribe and Bureau of Reclamation negotiate their respective annual scopes of work and budgets, and then the Crow Tribe and

Reclamations Great Plains Region execute an annual funding agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is available until all currently appropriated funds both mandatory and discretionary - have been expended for this program. Additional funding for the program is at the discretion of Congress. Any request for a time extension must be in writing in accordance with the provisions stated in the contract.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Federal share of the CIP is 100 percent (Sec. 405(d)) and of the MR&I is 100 percent (Sec. 406(d)). There is a provision (Sec. 406(m)) to negotiate non-Federal cost share if non-Federal parties use the MR&I system. Construction costs for the CIP and MR&I, respectively, will total \$131.843 million and \$246.381 million (indexed to May 2008). Funds are to be available until expended.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Beginning in fiscal year 2011, funding for these projects was authorized to be appropriated. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

No program reports are required. No cash reports are required. Unless otherwise stated in the agreement document, recipients shall submit the following reports: draft and final technical reports; progress reports (quarterly); annual reports; reports on significant developments (as necessary). SF-425 (quarterly). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$220,329,957; and FY 13 est \$8,336,000

**Range and Average of Financial Assistance:**

Range: \$50,000 to \$131,000,000

Average: \$76,221,986.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: None New Program. Fiscal Year 2012: The Crow Tribe and Reclamation conducted a Value Engineering study on the Reno Diversion Dam. The Crow Tribe submitted 95% Plans and Specifications for Lodge Grass #1 and #2 Diversion Dams to Reclamation for review and comment. Reclamation provided review comments to the Crow Tribe. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 CFR 900 and OMB Circulars - These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Great Plains Regional Office:  
Mr. Doug Oellermann, Project Manager, Bureau of Reclamation  
PO Box 36900  
316 North 26th Street  
Billings, MT, 59107-6900  
Telephone 406.247.7737  
Fax 406.247-7604  
E-mail: doellermann@usbr.gov.

**Headquarters Office:**

Mr. Doug Davis Great Plains Regional Office  
Bureau of Reclamation  
316 North 26th Street, Billings, Montana 59101 Email: douglasdavis@usbr.gov  
Phone: (406)247-7710 Fax: (406)247-7892

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The scopes of work must address and be responsive to the authorizing legislation, the final engineering report and the appropriation ceiling.

**15.557 DESERT AND SOUTHERN ROCKIES LANDSCAPE CONSERVATION COOPERATIVES**

Landscape Conservation Cooperatives (LCC)

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-11, Omnibus Public Land Management Act of 2009, Subtitle F, Secure Water, Section 9504(b)(42 USC 10364) and Fish and Wildlife Coordination Act of 1934, Public Law 85-624, 16 U.S.C. 661 et seq., as amended, and Section 7(a) of the Fish and Wildlife Coordination Act (FWCA) (70 Stat 1122; 16 U.S.C. 742f(a)); as limited and delegated by the Secretary of the Interior delegation of authority to the Bureau of Reclamation at 255 DM 1.1B.

**OBJECTIVES:**

The objective of the Desert and Southern Rockies LCCs is to enhance the management of natural and cultural resources that have a nexus to water resource management. This includes developing tools to assess and adapt to the impacts of climate change and other landscape scale stressors within the geographic boundaries of the Desert and Southern Rockies LCC and adapt to those stressors.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Desert and Southern Rockies LCCs provide cost-shared financial assistance on a competitive basis for the following types of projects: (1) projecting future water availability and quality, (2) projecting the resiliency and vulnerability of natural or cultural resources, and (3) assessing and evaluating natural or cultural resource management practices and opportunities to adapt. Eligible projects are restricted to within the geographic boundaries of the Desert or Southern Rockies LCCs.

**Applicant Eligibility:**

Eligible applicants include any: States; Tribes; Irrigation districts; Water districts; Organizations with water or power delivery in the Western United States or Territories as identified in the Reclamation Act of June 17, as amended and supplemented; specifically, Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands); University located in the United States; Non-profit research institutions located in the

United States; or Non-profit organizations (Non-profit organizations are eligible to apply for funding under all three task areas so long as the proposal addresses fish or wildlife habitat in wetland, riparian, or aquatic areas and there is a nexus to a Reclamation project.).

**Beneficiary Eligibility:**

The general public; agricultural, municipal and industrial water users; irrigation or water districts; state governmental entities with water or power delivery authority; tribes; non-profit research institutions; and non-profit organizations located in the states identified in the Act of June 17, 1902.

**Credentials/Documentation:**

(1) A detailed written technical proposal including background data regarding the applicant, such as location, a detailed scope of work separating the work into major tasks, detail the stages of the proposed project, include an estimated project schedule showing the stages and the duration of the proposed work, including major milestones and dates, and substantiate the method(s) selected, the principles or techniques which are proposed to solve the problem, and the degree of success expected, and describing data responsive to the evaluation criteria listed in the Announcement. (2) When applicable, a funding plan showing how the applicant will pay for its 50% cost share requirement, and an official resolution adopted by the applicants board of directors or governing body, or for state government entities and universities, an official authorized to commit the applicant to the financial and legal obligations associated with receipt, resolving that, if selected, it will negotiate and execute a cooperative agreement with Reclamation. (3) A detailed project cost proposal, including a budget with the annual estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, an estimate of annual operation & maintenance costs, and the value of in-kind contributions of goods and services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Multiple Funding Opportunity Announcements (Announcement) are annually posted on www.grants.gov. Submission of a complete technical proposal and projects budget is mandatory by the due date identified in the Announcement. In addition, applicants must submit all applicable SF 424 forms referenced in the Announcement.

**Award Procedure:**

Proposals received in response to the Announcement are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the Announcement. Reclamation will make awards to the highest rated proposals based on the amount of funding available each year.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The review, scoring and announcement of the recipients typically take three to five months.

**Appeals:**

Upon request, Reclamation will provide all applicants with information on why their proposals were not selected.

**Renewals:**

The awarded projects are fully funded at the time of award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. The Federal share of the cost of a project or activity carried out under this Program shall not exceed 50% of the

total cost of the project or activity.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Proposed projects should be completed within 24 months from the project start date. Applications for projects requiring more than 2 years will be considered if it is demonstrable that there will be on-the-ground accomplishments each year. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Upon completion of the agreement, recipients shall submit Program Performance Reports (e.g., semi-annual, final report); and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. No cash reports are required. No progress reports are required. Upon completion of the agreement, recipients shall submit a SF-425, Federal Financial Report (e.g., semi-annual, final report). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$0; FY 12 est \$2,500,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range: \$86,567 to \$200,000  
Average: \$833,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: New Program. Fiscal Year 2012: Beginning in FY 2011, Applied Science Grants for the Desert and Southern Rockies LCCs combined more than \$1.2 million in Federal funding to enhance the management of natural and cultural resources that have a nexus to water resource management. For example, once completed, the funded projects are expected to develop decision support tools and methodologies to address the effects of climate change; use Light Detecting and Ranging and multispectral imagery to analyze water and sedimentation dynamics; conduct sampling on rivers to develop strategies to prevent toxic golden alga blooms; develop new biological information about springs and seeps; examine climate change impacts on stream low flows and effects on riparian vegetation; and develop a soil vulnerability index. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, OMB Circulars, Standard Forms, and Program information, <http://www.usbr.gov/WaterSMART/lcc/index.html>  
Documents may also be obtained by contacting Reclamation.

**Regional or Local Office:**

See Regional Agency Offices. <http://www.usbr.gov/main/regions.html>.

**Headquarters Office:**

Avra Morgan Bureau of Reclamation, Office of Program & Policy Services, Mail Code: 84-51000, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: [aomorgan@usbr.gov](mailto:aomorgan@usbr.gov) Phone: (303)445-2906 Fax: (720)544-4207

**Website Address:**

<http://www.usbr.gov/WaterSMART/lcc/index.html>

**RELATED PROGRAMS:**

15.507 Water 2025

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Desert LCC: Sky Island Alliance, a non-profit organization located in Tucson, Arizona, in collaboration with Arizona Game and Fish Department, five Federal agencies, and two counties, will develop new information regarding the current biological and management status of springs and seeps in the Sky Islands Region of southeastern Arizona. Newly collected assessment information will be combined with the existing data in the region through an online database. The database will be a central repository providing information about water availability, its relationship to groundwater basins and its importance to wildlife, plants, and humans. The database and assessment information will serve as a decision support tool to guide managers in on-the-ground decisions related to management of water in the face of climate change.

Southern Rockies LCCs: Colorado State University, in collaboration with The Nature Conservancy, will examine climate change impacts on small stream low-flows and potential effects on riparian vegetation to predict biotic changes under climate change-driven stream drying in the Upper Colorado River Basin. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov). All applications will be evaluated using criteria that give priority to a projects technical merit, the relevance to the LCC, dissemination of results to Reclamation and LCC partners, connections to Reclamation activities and exceed the minimum 50 percent non-Federal cost-share requirement.

**15.558 WHITE MOUNTAIN APACHE TRIBE RURAL WATER SYSTEM**

Miner Flat Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

The White Mountain Apache Tribe Rural Water System Loan Authorization Act. Public Law 110-390, as amended by the White Mountain Apache Tribe Water Rights Quantification Act of 2010, Public Law 111-291.

**OBJECTIVES:**

Planning, engineering, design and construction of the Miner Flat Project.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Public Law 93-638 contracts, grants, and cooperative agreements are authorized for construction and non-construction projects.

**Applicant Eligibility:**

White Mountain Apache Tribe.

**Beneficiary Eligibility:**

White Mountain Apache Tribe.

**Credentials/Documentation:**

- (1) Each 638 contract, grant, or cooperative agreement requires project specific authority;
- (2) Detailed written technical proposals including background data regarding the tribal client, technical approaches proposed to accomplish the work, scopes of work that separate the work into major tasks, type of personnel to implement the proposals, experience in performing these types of work, timeliness, the levels of cooperation with other parties involved in the proposals, and other information that may be useful for proposal evaluation;
- (3) Detailed project cost proposals, including budgets with estimated project costs, including salaries and wages, fringe benefits, travel, equipment, supplies, contracts, and indirect costs, and the values of any in-kind contributions of good and services; and
- (4) the awarded 638 contract, grant or cooperative agreement must contain an authorization resolution from the White Mountain Apache Tribe. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental compliance for this program is required depending on the scope of the specific project component funded. An environmental impact statement and Record of Decision approving that construction of the White Mountain Apache Tribe rural water system will be in a configuration substantially similar to that described in section 307 of Public Law 111-291 will be required prior to the commencement of Miner Flat Project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Initial proposals must contain the information specified in 25 CFR Part 900. Proposals shall be submitted to the applicable Reclamation office with the responsibility for the specific project for which the White Mountain Apache Tribe with responsibility for the specific project which the White Mountain Apache Tribe or Tribe

**Award Procedure:**

Reclamation and the Tribe develop a negotiation schedule and then negotiate the overarching contract/award terms, provisions and conditions based on the requirements of Public Law 93-63, 25 CFR Part 900, any specific requirements of the project authorizing legislation, and other applicable Federal laws and regulations. Reclamation and the tribe also negotiate an annual funding agreement (AFA), which identifies activities to be performed, funds to be provided, and the method of payment of the initial year of the contract. A final contract agreement is prepared based upon the outcome of the negotiations; attachments include the work plan, budget, tribal resolution, initial AFA, property listing, project schedule, and list of any other applicable provision, terms and conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified for the project.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing will vary. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

No program reports are required. No cash reports are required. Reporting (Federal financial report and progress reports) requirements will be negotiated and contained with in the AFA or the overarching terms and conditions. Reporting (Federal financial report and progress reports) requirements will be negotiated and contained with in the AFA or the overarching terms and conditions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Indian Tribal governments and organizations shall maintain project records in

accordance with 43 CFR 12.82; Public Law 93-638; and 25 CFR Part 900.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 \$0; FY 12 est \$4,950,000; and FY 13 est \$2,500,000

**Range and Average of Financial Assistance:**

Range: \$1,900,000 - \$25,000,000

Average: \$3,553,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

25 USC 450 (Public Law 93-638, 25 CFR Part 900, OMB Circular A-87 (2 CFR 225), and OMB Circular 133.

**Regional or Local Office:**

See Regional Agency Offices. Phoenix Area Office: Mr. Randy N. Chandler, Area Manager, Bureau of Reclamation, Address: 6150 W. Thunderbird Rd., Glendale, AZ 85306-4001, Telephone: (623) 773-6200.

**Headquarters Office:**

Mr. Randy N. Chandler Bureau of Reclamation  
6150 W. Thunderbird Rd., Glendale, Arizona 85306-4001 Phone: (623) 773-6200

**Website Address:**

<http://www.usbr.gov/lc/phoenix/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: White Mountain Apache Tribal Environmental and Conceptual Design Activities. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The White Mountain Apache Tribe must meet the requirements of Public Law 93-638; 25 CFR Part 900 and any additional criteria specific to the authorization legislation.

**15.559 NEW MEXICO RIO GRANDE BASIN PUEBLOS IRRIGATION INFRASTRUCTURE PROJECT**

New Mexico Pueblos Irrigation Project

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 111-11, Omnibus Public Lands Management Act of 2009, Section 9106. 123 Stat. 1304.

**OBJECTIVES:**

Rehabilitate and repair irrigation infrastructure of the Rio Grande Pueblos to conserve water and help address potential conflicts over water in the Rio Grande Basin.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funds are for two purposes: (1) to prepare a study for Congress on existing conditions and potential irrigation rehabilitation projects; and (2) to construct irrigation rehabilitation projects after the study is approved by Congress.

**Applicant Eligibility:**

Funds are for two purposes: (1) to prepare a study for Congress on existing conditions and potential irrigation rehabilitation projects; and (2) to construct irrigation rehabilitation projects after the study is approved by Congress.

**Beneficiary Eligibility:**

Funds are for two purposes: (1) to prepare a study for Congress on existing conditions and potential irrigation rehabilitation projects; and (2) to construct

irrigation rehabilitation projects after the study is approved by Congress.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each pueblo has submitted a form consenting to participate in the project, as required by the authorizing legislation.

**Award Procedure:**

Proposed irrigation rehabilitation projects qualify and are prioritized based on eligibility requirements set forth in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval of the study by Congress will depend on how quickly Congress acts. Approval of individual rehabilitation projects varies depending on the amount and timing of funding appropriated by Congress.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: None for the study report. For construction, the authorizing legislation requires a 25% non-federal cost share. The cost share requirements can be waived by the Secretary of the Interior due to financial hardship on the part of pueblos. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

To be determined. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. No cash reports are required. No progress reports are required. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final SF-425, Federal Financial Report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project

records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 \$0; FY 12 est \$245,000; and FY 13 est \$245,000

**Range and Average of Financial Assistance:**

Range: \$5,000 - \$150,000  
Average: \$163,333.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. Viola Sanchez, 555 Broadway NE Suite 100, Albuquerque, NM 87102, 505-270-3046, vsanchez@usbr.gov  
Brian Parry, 125 South State Street Room 6107, Salt Lake City, UT 84138-1147, 801-524-3674, bparry@usbr.gov.

**Headquarters Office:**

Richard Ives Bureau of Reclamation  
1849 C Street NW  
, Washington, District of Columbia 87102 Email: rives@usbr.gov Phone: (202)513-0550

**Website Address:**

<http://www.usbr.gov/uc/albuq/progact/NMPueblos/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are listed in the authorizing legislation.

**15.560 SECURE WATER ACT RESEARCH AGREEMENTS**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Section 9504(b), Omnibus Public Lands Management Act of 2009, (Public Law 111-11).

**OBJECTIVES:**

To fund research activities that are designed to conserve water resources, increase the efficiency of the use of water resources, and/or enhance the management of water resources, including increasing the use of renewable energy in the management and delivery of water.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Specific use restrictions are identified within specific program announcements available on [www.grants.gov](http://www.grants.gov).

**Applicant Eligibility:**

In accordance with P.L. 111-11, Section 9504(b), eligible applicants include any: university, nonprofit research institution, or other organization with water or power delivery authority.

**Beneficiary Eligibility:**

The general public; agricultural, municipal and industrial water users; irrigation or water districts; and state governmental entities with water or power delivery authority.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from

coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funding announcements for this program, along with registration procedures, application packages and instructions, points of contact, and procedures for submitting applications will be available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

For competitive awards: Proposals received in response to the Announcement are reviewed on the basis of a competitive, merit-based review process, and are rated in accordance with the evaluation criteria stated in the Announcement. Reclamation will make awards to the highest rated proposals based on the amount of funding available each year.

For single-source awards, a Notice of Intent to Award is announced on [www.grants.gov](http://www.grants.gov) providing the justification for the noncompetitive research award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time the funding opportunity announcement is posted on [www.grants.gov](http://www.grants.gov) and may be obtained by contacting the Bureau of Reclamation personnel listed as the point of contact in the funding announcement.

**Appeals:**

None. Final award decisions are not subject to appeal; however, the Bureau of Reclamation will provide all applicants with information on why their proposals were not selected for award.

**Renewals:**

Projects may generally be renewed on an annual basis, not to exceed a total of 5 years. If renewals or extensions are applicable to the project, this information will be included in the funding opportunity announcement. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. There are no statutory matching requirements under Section 9504(b). However, specific projects or announcements may require nonfederal cost-share. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally awarded for 1 to 5 years. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Unless otherwise stated in the agreement document, recipients shall submit on an annual basis Program Performance Reports. Upon completion of the agreement, recipients shall submit a final Program Performance Report; and other specific reports that may be applicable to the agreement such as property inventories, and patent and invention disclosures. No cash reports are required. No progress reports are required. Unless otherwise stated in the agreement document, recipients shall submit on an annual basis an SF-425, Federal Financial Report. Upon completion of the agreement, recipients shall submit a final (1) SF-425, Federal Financial Report. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82. All other recipients shall maintain project records in accordance with 43 CFR 12.953.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$0; FY 12 est \$5,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

Range: \$50,000 - \$1,000,000  
Average: \$3,333,333.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12 and OMB Circulars. These documents may also be obtained by contacting the Bureau of Reclamation Office listed below.

**Regional or Local Office:**

See Regional Agency Offices. <http://www.usbr.gov/main/regions.html>.

**Headquarters Office:**

Wilson Orvis Bureau of Reclamation, Acquisition and Assistance Management Division, Mail Code 84-27850, P.O. Box 25007, Denver Federal Center, Denver, Colorado 80225 Email: [worvis@usbr.gov](mailto:worvis@usbr.gov) Phone: (303)445-2444 Fax: (303)445-6344

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

15.507 Water 2025

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria will be included in the funding announcements posted on [www.grants.gov](http://www.grants.gov).

**15.561 SAVAGE RAPIDS PUMPING PLANT PROJECT**

**FEDERAL AGENCY:**

Bureau of Reclamation, Department of the Interior

**AUTHORIZATION:**

Public Law 108-137: Energy and Water Development Appropriations Act, 2004, Section 220: Not subject to fiscal year limitation, the Secretary of the Interior is hereafter authorized to implement, and enter into financial assistance or other agreements as may be necessary to undertake such activities identified for implementation (including construction) generally in accordance with section III of, and the Pumping/Dam Removal Plan as defined in, United States District Court Consent Decree United States, et al., v. Grants Pass Irrigation District, Civil No. 983034HO (August 27, 2001). There are authorized to be appropriated such sums as may be necessary to carry out this provision, and activities conducted under this provision shall be nonreimbursable and nonreturnable.

**OBJECTIVES:**

Provide limited funding to Grants Pass Irrigation District (Grants Pass ID) to address issues associated with federal construction of the Savage Rapids Pumping Plant.



**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Federal financial assistance may be necessary to undertake such activities identified for implementation (including construction) generally in accordance with section III of, and the Pumping/Dam Removal Plan as defined in, United States District Court Consent Decree United States, et al., v. Grants Pass Irrigation District, Civil No. 983034HO (August 27, 2001).

**Applicant Eligibility:**

Grants Pass Irrigation District Only.

**Beneficiary Eligibility:**

Grants Pass Irrigation District.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental compliance for this program may be required depending on the scope of the specific project funded. This may result in the need for an environmental impact assessment or environmental impact statement prior to the commencement of project activities. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Reclamation will work specifically with Grants Pass ID to get the applicable application/proposal forms (ieSF forms and Project and Budget Narratives).

**Award Procedure:**

Grants Pass ID will submit all the required SF forms and the project and budget narratives to Reclamations local office contact listed below. Reclamation will review the proposal, and if approved, will issue a mandatory award using the required agreement template. A grant or cooperative agreement may be awarded depending on Reclamations involvement. Reclamation will send the award to Grants Pass ID for signature first, and then Reclamation will sign the award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies depending on the type and complexity of the project. Further information will be available for each specific project at the time of award.

**Appeals:**

None. Final award decisions are not subject to appeal.

**Renewals:**

Projects may generally be renewed on an annual basis, not to exceed a total of 5 years. When renewals or extensions are applicable, continuation of funding for these activities is at the discretion of Congress and will be subject to availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies depending on the type and complexity of the project. Length and time phasing will be delineated in the grant agreement. See the following for information on how assistance is awarded/released: Payment terms vary by agreement awarded under this program.

**Reports:**

Post-award reporting requirements are prescribed within the terms and conditions of the financial assistance award. No cash reports are required. No progress reports are required. Post-award reporting requirements are prescribed within the terms and conditions of the financial assistance award. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State, local, and Indian Tribal governments shall maintain project records in accordance with 43 CFR 12.82.

**Account Identification:**

14-0680-0-1-301.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$300,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range: \$0 - \$300,000

Average: \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: New Program. Fiscal Year 2012: Implementation (including construction) of the Savage Rapids Pumping Plant. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12, <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>; OMB Circulars, [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html).

**Regional or Local Office:**

See Regional Agency Offices. Bob Hamilton  
Resource Management Coordinator and Activity Manager  
Mailcode: PN-3829  
Pacific Northwest Regional Office  
1150 N. Curtis Road, Suite 100  
Boise, ID 83706  
Phone: 208-378-5087.

**Headquarters Office:**

Bob Hamilton Pacific Northwest Regional Office  
1150 N. Curtis Road, Suite 100  
Mailcode: PN-3829  
, Boise, Idaho 83706 Phone: (208)378-5087

**Website Address:**

<http://www.usbr.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Funding has been used to purchase equipment to move sediment. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.605 SPORT FISH RESTORATION PROGRAM**

Dingell-Johnson Sport Fish Restoration Program

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Dingell-Johnson Sport Fish Restoration Act of 1950, 64 Stat. 430, as amended 16 U.S.C. 777-777n; and 50 CFR Part 80-Administrative Requirements, Pittman Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Act amended July 24, 2008.

**OBJECTIVES:**

Sport Fish Restoration funds support activities designed to restore, conserve, manage, or enhance sport fish populations; the public use and benefits from

these resources; and activities that provide boat access to public waters. Sport fisheries research and management activities; boating access development and maintenance; aquatic resource education activities; lake construction and maintenance; land acquisition; technical assistance; planning; habitat enhancement; administration; coordination; and hatchery construction are eligible under the Act.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Approvable activities include land acquisition; development (including boating access sites); research; operations and maintenance; sport fish population management; and program coordination. Law enforcement and public relations are not eligible under the Act.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of sport fish that includes a prohibition against the diversion of license fees paid by anglers for any purpose other than the administration of the fish and wildlife agency.

**Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these fishery conservation measures.).

**Credentials/Documentation:**

Each year within 60 days of the apportionment notice, States, the District of Columbia, Commonwealths, and territories must notify the Secretary of the Interior that they want to participate in the program for the year. The State, the District of Columbia, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid angler license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements are up to 25 percent of grant. Grant funds may be disbursed to States up to 75 percent of the total cost. Grant funds may be disbursed from 75 to 100 percent of the total project costs to the District of Columbia, Commonwealths of Puerto Rico, Northern Mariana Islands and the territories of Guam, the U.S. Virgin Islands, and American Samoa.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Sport Fish Restoration funds are available for a period of two years. Any funds not obligated within two years by a State, the District of Columbia, Commonwealth, or territorial fish and wildlife agency will revert to the U.S. Fish and Wildlife Service and placed back into the Sport Fish Restoration and Boating Trust Fund for obligation to States, the District of Columbia, Commonwealths, or territories in the following year's apportionment. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Contact the headquarters or regional office, as appropriate, for further information. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date or end of the grant. Recipients are responsible for monitoring and reporting performance of each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Federal Financial Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Formula Grants) FY 11 \$364,694,799; FY 12 est \$349,818,897; and FY 13 est \$358,088,000

**Range and Average of Financial Assistance:**

Range is \$900,000 to \$14,700,000; Average \$5,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 1,159,993 students/participants/educators trained in Aquatic Education; nearly 247 million fish stocked; States constructed 212

boating access sites and renovated 189 boating access sites; and conducted 1,125 SFR Research Projects. Approximately 625 applications were received and 625 were funded. Fiscal Year 2012: : Over 1,000,000 students/participants/educators will be trained in Aquatic Education; approximately 250 million fish will be stocked; 200 boating access sites will be developed or improved; and over 1,000 SFR Research Projects planned. The program anticipates receiving over 600 applications and funding over 600. Fiscal Year 2013: Over 1,000,000 students/participants/educators will be trained in Aquatic Education, approximately 250,000,000 fish will be stocked, approximately 200 boating access sites will be constructed and 190 renovated, and over 1,000 research and survey projects will be conducted. The program anticipates receiving over 600 applications and funding over 600.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80 and Fish and Wildlife Service Manual. Matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64 and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

#### **Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

#### **Headquarters Office:**

Director, Policy and Program, Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSRF-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

#### **Website Address:**

<http://wsfrprograms.fws.gov/>.

#### **RELATED PROGRAMS:**

11.407 Interjurisdictional Fisheries Act of 1986; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Colorado Division of Wildlife investigated and produced a publication on the development of rainbow trout brood stocks resistant to Whirling Disease, a disease that has negatively impacted the states native rainbow trout populations in recent years. The Division is working to establish brood stocks (breeding adults) of candidate rainbow trout strains that may be partially resistant to infection and evaluate these strains for resistance under laboratory and field conditions. The primary benefit of finding a Whirling Disease resistant strain of rainbows would be the ability to repopulate streams decimated by whirling disease with reproducing populations of resistant strains.

The Kentucky Department of Fish and Wildlife Resources conducted surveys of the state's public fishing lakes and major reservoirs and tail waters to gather information on water quality, fish population status, and fishing results that shape management strategies; to conduct various individual studies; perform habitat enhancement work; rear and stock fish as needed; operate and maintain district offices; and provide technical guidance to assure resources meet the state's recreational fishing public needs.

The Massachusetts Division of Marine Fisheries surveyed some of their more important coastal sport fish species. The Division biologically characterized striped bass landings by implementing a striped bass tagging program; they looked at shark distribution and relative abundance; developed an age-length key for tautog; studied inshore-offshore movements of striped bass; and studied the biology and behavior of an undisturbed group of spawning Atlantic cod. The project will improve marine fisheries management in coastal waters of Massachusetts. Fiscal Year 2012: The Florida Fish and Wildlife Conservation Commission will continue to collect important data that will be used by fisheries managers to determine trends in relative abundance of juvenile and adult sport fishes. Age, size, and sex composition data will be obtained for management of important recreationally-caught species, primarily hogfish, grouper, and snapper. Monitoring the adult fishes enables the stock assessment group to estimate the status of the fishable stocks.

The California Department of Fish and Game will continue its Anadromous Sport Fish Management and Research project. The project will conduct habitat mapping for Coho salmon and steelhead populations on coastal streams of San

Mateo and Santa Cruz counties, as well as the Pajaro River watershed. A priority list of habitat restoration projects will be developed. Restoration partnerships will be developed. Baseline life-history studies on fishes in the Butte and Big Chico Creeks will be conducted.

The Vermont Fish and Wildlife Departments aquatic resource education program aims to increase understanding and support of land conservation issues, facilitate a land stewardship ethic in Vermont citizens and support responsible fish and wildlife-based recreation, consistent with resource management goals. This will be accomplished through the Green Mountain Conservation Camps Program, which provides hands-on training in watershed and wetland function as well as information regarding fishing and fisheries. The program provides teacher training through Aquatic WILD workshops and a summer Teachers' Course and angler education including family clinics on fishing skills, ethics and aquatic ecology. The educational experience will enable new and existing anglers to enjoy sport fish resources in a safe and responsible way. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects that increase sport fishing and recreational boating opportunities through wise investment of excise tax dollars in sport fishery development and management projects.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their fish resources must submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

#### **15.608 FISH AND WILDLIFE MANAGEMENT ASSISTANCE**

##### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

##### **AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-742j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666; Sikes Act of 1974, as amended, 16 U.S.C. 670(a)-670(o); Alaska National Interest Lands Conservation Act, 16 U.S.C. 3101; Marine Mammal Protection Act of 1972, Public Law 92-522, as amended, 16 U.S.C. 1361-1421; Fish and Wildlife Conservation Act of 1980; Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended, 16 U.S.C. 4701-4741.

##### **OBJECTIVES:**

To provide technical and financial assistance to other federal agencies, states, local governments, native American tribes, non-governmental organizations, citizen groups, and land owners on the conservation and management of fish and wildlife resources. This includes co-management of marine mammals by Alaskan natives for subsistence use.

##### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

##### **USES AND USE RESTRICTIONS:**

Funds may be used to conduct fish and wildlife management activities that align with the conservation, restoration, and management goals and priorities of the Fish and Wildlife Conservation Offices. This includes goals and priorities identified by the National Fish Passage Program (NFPP) and individual partnerships under the National Fish Habitat Partnership (NFHP). Examples of funded activities include habitat restoration (construction in stream improvements or deconstruction of barriers to increase quality of aquatic habitats), monitoring and assessment, removal of barriers to passage, fish propagation, and aquatic plant establishment. Technical assistance in the form of advice on biological, chemical, and/or physical aspects of a project is also available to awardees. Awardees are expected to include a public outreach component in their project.

##### **Applicant Eligibility:**

Applicants may be other federal agencies, state agencies, local governments, native American organizations, interstate, Intrastate, public nonprofit institution/organization, other public institution/organization, private nonprofit/organization, or any other organization subject to the jurisdiction of

the United States with interests that support the mission of the Service on a cost recoverable basis.

**Beneficiary Eligibility:**

Federal agencies, state agencies, local governments, Native Americans, Interstate, Intrastate, public nonprofit institution/organization, other public institution/organization, private nonprofit/organization, or any other organization subject to the jurisdiction of the United States with interests that support the mission of the Service on a cost recoverable basis.

**Credentials/Documentation:**

There must be factual evidence of the need for management assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete, sign and submit an Application for Federal Assistance, Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction).

**Award Procedure:**

After considering program commitments and obligations, grant or cooperative agreement recipients will generally be informed by electronic correspondence in the form of form of email.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Awards are approved annually. Unfunded projects that are ranked highly by the Regional Directors of the 8 USFWS Regions are maintained in a FWS database until the project is funded or no longer viable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Matching contributions of at least 50% of project costs are encouraged. The extent of matching contributions may be a factor in selection of projects to be funded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annual awards. See the following for information on how assistance is awarded/released: Program obligates funds and sends a notice of award to successful applicants. Recipients request funds in accordance with 43 CFR Part 12, unless otherwise dictated by program-specific legislation or special award terms. Program will include any special payment terms and conditions in the notice of award.

**Reports:**

See award notice for reporting requirements and procedures. Cash reports are not required; however, cash reports maybe required for some awardees. Refer to the award notice for cash reporting requirements and procedures. Recipients must submit a final performance report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all performance reporting requirements, including frequency and due dates, in the notice of award letter. Recipients must report expenditures using the SF 425, Federal Financial Report form. Recipients must submit a final report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit

interim reports annually, semiannually, or quarterly. Program will detail all financial reporting requirements, including frequency and due dates, in the notice of award letter. Recipients are responsible for monitoring performance for each award and sub-award under this program in accordance with 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grants awarded to state and local governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$14,000,000; FY 12 est \$11,300,000; and FY 13 est \$11,300,000 - Obligations, by program activity (1334,1335 and 1322).

**Range and Average of Financial Assistance:**

Range is \$1,000 to \$750,000; Average \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 158 barriers removed/bypassed to fish passage; 2,184 stream miles opened to fish passage; and 30,000 acres opened to fish passage. Fiscal Year 2012: (anticipated): 270 barriers removed/bypassed to fish passage; 2,700 stream miles opened to fish passage; 25,000 acres opened to fish passage; and 1,700 habitat assessments completed. Fiscal Year 2013: 200 barriers removed/bypassed to fish passage; 2,000 stream miles opened to fish passage; 15,000 acres opened to fish passage and 700 habitat assessments completed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual Project Reports, Special Reports, and Fish and Wildlife Management Plans. See 710FW1 Fish Passage Policy <http://www.fws.gov/policy/710FW1.html> and the National Fish Habitat Action Plan Policy <http://www.fws.gov/policy/717fw1.html>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Jarrad Kosa Fish and Wildlife Service, Fisheries and Aquatic Restoration Conservation, Branch of Fish and Wildlife Management Assistance, 4401 North Fairfax Drive Room 770, Arlington, Virginia 22203 Email: [jarrad\\_kosa@fws.gov](mailto:jarrad_kosa@fws.gov) Phone: (703) 358-2542.

**Website Address:**

[HTTP://fisheries.fws.gov](http://fisheries.fws.gov).

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Replaced an undersized culvert on VanHellen Creek at Roth Road, Black River Watershed, MI. The project reconnected 4 miles of stream for native brook trout. The aging concrete culvert (25ft long, 3ft) was replaced with a corrugated steel arched culvert (60 ft long, 69in x 45in). Road widening and approach work will reduce sediment input to the system. 2) Rock Rubble Humps were placed in Leaser Lake, PA to enhance bottom substrate and provide habitat for several fish species. 3) Native aquatic plants were purchased, cultivated and planted for the purpose of reestablishing aquatic vegetation in Lake Palestine, TX. Native vegetation

provides cover for fish and macroinvertebrate populations in the lake. Fiscal Year 2012: (anticipated): 1) Clear Creeks Stream Habitat Restoration in NY. The project will use natural channel design approaches to restore stream habitat and floodplain function along 2,000 linear feet of Clear Creek. This reach is located immediately downstream of and will complement the Clear Creek Stream Habitat Restoration and Fish Passage Projects being implemented in summer 2011.

2) A multi-cell treatment system including a sediment basin, wetland marsh/forested treatment area, and lower aquatic environment cells will be constructed to reduce nutrient and sediment delivery to McKinley Lake.

3) Woody and rock structure will be added to Smith Lake, MO to stabilize eroding shoreline and replace standing timber that has deteriorated since the reservoir impoundment. Fiscal Year 2013: 1) The Sevenmile Creek proposed project will replace an inefficient fish diversion screen resulting in the reconnection from Upper Klamath Lake to its headwaters permanently opening 7 miles of high-quality habitat and eliminating entrainment at the uppermost diversion.

2) The National Fish Habitat Partnership has not yet selected projects for funding. Program anticipates funding projects that protect, restore and enhance the habitats of the Nations marine and freshwater fish populations.

3) The National Fish Passage Program is a non-regulatory initiative that provides financial and technical assistance. The program anticipates funding projects that aid in the removal or bypass of artificial barriers that impede the movement of fish and contribute to their declining numbers.

#### **CRITERIA FOR SELECTING PROPOSALS:**

See 710FW1 Fish Passage Policy <http://www.fws.gov/policy/710FW1.html>.

### **15.611 WILDLIFE RESTORATION AND BASIC HUNTER EDUCATION**

(Pittman-Robertson Wildlife Restoration Program)

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Pittman-Robertson Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669-669k.

; Pittman-Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Acts, Title 50, Part 80.

#### **OBJECTIVES:**

The Act provides grants to State, Commonwealth, and territorial fish and wildlife agencies for projects to restore, conserve, manage, and enhance wild birds and mammals and their habitat. Projects also include providing public use and access to wildlife resources; hunter education and safety; and the development and management of shooting ranges.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Approved activities include selection, restoration, rehabilitation, and improvement of wildlife habitat; wildlife management research; wildlife population surveys and inventories; land acquisition; coordination; development of facilities; facilities and services for conducting hunter safety. Law enforcement and public relations are not eligible under the Act.

#### **Applicant Eligibility:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for conservation of wildlife that includes a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency.

#### **Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the general public will ultimately benefit from these wildlife conservation measures.)

#### **Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary of the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, Commonwealth, or territory for more information on this process when applying for assistance if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

Average 30 days.

#### **Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the Fish and Wildlife Service.

#### **Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

#### **Formula and Matching Requirements:**

Statutory Formula: Public Law 16 U.S.C. 669b. The program is funded by a permanent appropriation from revenues collected from taxes on bows, arrows, archery equipment, sporting firearm, ammunition, handguns, pistols, and revolvers. The revenues are deposited in the Federal Aid to Wildlife Restoration fund in the U.S. Treasury.

These funds are annually apportioned according to the formula prescribed by the Act: 50 percent based on land area of the State, Commonwealth, or territory and 50 percent based on paid hunting license holders; no State may receive more than 5 percent or less than one-half of 1 percent of the total apportionment; the Commonwealth of Puerto Rico is apportioned up to one-half of 1 percent; and Guam, U.S. Virgin Islands, American Samoa, and Commonwealth of Northern Mariana Islands each receive up to one-sixth of 1 percent of the total apportionment. Section 4(c) Hunter Education and Safety Program Funds are formula-based apportionment based on State population. No State may receive more than 3 percent or less than 1 percent of the total Hunter Education funds apportioned. Commonwealth of Puerto Rico, Guam, U.S. Virgin Islands, American Samoa, and the Commonwealth of Northern Mariana

Islands receive up to one-sixth of 1 percent of the total apportionment. Matching Requirements: Matching requirements are up to 25 percent of grant. Grant funds may be disbursed to States up to 75 percent of the total cost. Grant funds may be disbursed from 75 to 100 percent of the total project costs to the Commonwealths of Puerto Rico, Northern Mariana Islands and the territories of Guam, the U.S. Virgin Islands, and American Samoa. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation for a period of two years. Balances remaining unobligated after the period of availability revert to the U.S. Fish and Wildlife Service. Any funds not obligated within two years by a State, Commonwealth, or territorial fish and wildlife agency revert to the U.S. Fish and Wildlife Service and will be spent under the provision of the Migratory Bird Conservation Act. In addition, under the provisions of the Wildlife Restoration Act, the interest accumulated by Wildlife Restoration account is available to the North American Wetland Conservation program. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. Cash reports are not applicable. Contact the headquarters or regional office. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date and/or end of the grant. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Formula Grants) FY 11 \$305,086,089; FY 12 est \$371,274,752; and FY 13 est \$304,808,000 - Wildlife Restoration. (Formula Grants) FY 11 \$71,232,701; FY 12 est \$71,109,348; and FY 13 est \$71,500,000 - Hunter Education and Safety.

**Range and Average of Financial Assistance:**

Range is \$268,000 to \$7,187,000; Average \$2,750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: States trained 437,239 students to be safe, responsible, conservation-minded hunters; improved wildlife habitat on 588,011 acres; and operated and maintained approximately 11,500,000 acres for wildlife species and recreational use. In FY11 the program received 660 applications and issued 660 awards. Fiscal Year 2012: States will train approximately 450,000 students to be safe, responsible, conservation-minded hunters; improve wildlife habitat on 575,000 acres; and operate and maintain approximately 11,500,000 acres for wildlife species and recreational use. In FY12 the program anticipates 650 applications and 650 awards. Fiscal Year 2013: States will train approximately 450,000 students to be safe, responsible, conservation-minded hunters; improve wildlife habitat on 575,000 acres; and operate and maintain approximately 11,500,000 acres for wildlife species and recreational use. In FY13 the program anticipates 650 applications and 650 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80, Fish and Wildlife Service Manual, Matching and cost-sharing

requirements are discussed in 50 CFR 80.12, 43 CFR 12.64, and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional U.S. Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs, Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program, 4402 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.615 Cooperative Endangered Species Conservation Fund; 15.626 Hunter Education and Safety Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Alaska Department of Fish and Game funded 58 projects to address needs in research, survey, planning, management and coordination related to Alaska wildlife populations. These projects benefit over 96,979 hunting license buyers, approximately 600,000 state residents and over a million visitors. Planning, research and management provide for over 400,000 recreational days of hunting, allowing a harvest of over 61,000 big game animals plus numerous furbearers, small game and waterfowl. Over 50% of Alaskans and 69% of visitors observe or photograph wildlife. Assessing populations, understanding natural systems, protecting habitat, controlling disease, managing state refuges and disturbance, and monitoring harvest and other mortality are critical to maintaining this important resource.

The California Department of Fish & Game annually determines population size, distribution, sex and age structure of black bear, as required by their management plan. The State determines the number and locations of depredation complaints and allows a reasonable assessment of the black bears range and population trend to develop and employ information and techniques to reduce the number of adverse interactions between people and bears.

Connecticuts Department of Energy and Environmental Protection provided instruction in the safe use of hunting equipment, hunter responsibility, and knowledge of wildlife management via a trained corps of volunteer instructors. Approximately 5,000 students annually go through the Conservation Education/Firearm Safety, bow, and trapping programs. Fiscal Year 2012: The Colorado Division of Wildlife will continue to estimate post-hunt deer population size, sex and age ratios for deer across various parts of the state. Specifically, the Division will estimate annual doe, winter fawn and buck survival rates using radio-marked deer. In addition, the Division will estimate deer harvest and hunter recreation days across the State. The Division will also continue to maintain databases of all deer population data, deer harvest data, and deer licenses sold. Accomplishment of the objectives will help the Division continue to improve its ability to collect and manage Colorados deer populations and ensure sound management of its deer populations in accordance with herd management plans.

The North Carolina Wildlife Resources Commission will work on a project to complete a comprehensive inventory of all game lands allocated to the agency for wildlife management. The project includes inventory of habitats, infrastructure (roads, gates, and bridges), public access, and associated needs. The Commission will also upgrade and renovate permanent fire lines, bridges and parking areas as well as handicap accessible areas to improve wildlife management and public use. The Texas Parks and Wildlife Department will continue to provide technical assistance to land managers and other concerned individuals and organizations through seminars, demonstrations and individual contacts to assist them in the management, conservation, development, and enhancement of wildlife habitat in Texas. Providing technical assistance to land managers will promote cost effective wildlife management practices, counteract the effects of habitat loss and fragmentation, help prevent waste or depletion of wildlife resources, and provide increased opportunities for public recreation. Technical assistance targeted at conserving and improving wildlife populations and habitat on private lands will have long term positive results,

especially in a state where 94 percent of the land is privately owned. Working with landowners to conserve key habitat types will benefit a diversity of species including rare and declining plants and animals. Fiscal Year 2013: Program anticipates funding projects to restore, conserve, manage and enhance wild birds and mammals and their habitats; and provide hunter development and safety programs.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territorial agency having lead responsibility for the management of their wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.614 COASTAL WETLANDS PLANNING, PROTECTION AND RESTORATION ACT**

National Coastal Wetlands Grants

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Coastal Wetlands Planning, Protection and Restoration Act, Title III, Public Law 101-646, 16 U.S.C 3951-3956.

**OBJECTIVES:**

To provide competitive matching grants to coastal States for coastal wetlands conservation projects. The Coastal Wetlands Planning, Protection, and Restoration Act (Section 305, Title III, Public Law 101-646 U.S.C. 3954) established the National Coastal Wetlands Conservation Grant Program to acquire, restore, and enhance wetlands in coastal States.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds are available to coastal States for acquisition of interests in coastal lands or waters, and for restoration, enhancement or management of coastal wetlands ecosystems on a competitive basis. 100% of funds are discretionary and awarded on a competitive basis.

**Applicant Eligibility:**

Eligible applicants include any agency or agencies designated by the Governor of a coastal State. It is usually a State natural resource or fish and wildlife agency. Eligible coastal States are States bordering the Great Lakes (Illinois, Michigan, Minnesota, New York, Ohio, Pennsylvania, and Wisconsin); States bordering the Atlantic, Gulf (except Louisiana), and Pacific coasts (Alabama, Alaska, California, Connecticut, Delaware, Florida, Georgia, Hawaii, Maine, Maryland, Massachusetts, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Oregon, Rhode Island, South Carolina, Texas, Virginia, and Washington); and American Samoa, Commonwealth of the Northern Mariana Islands, Guam, Puerto Rico, and the Virgin Islands.

**Beneficiary Eligibility:**

States, Commonwealths, or territories as designated in the applicant eligibility section.

**Credentials/Documentation:**

No credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424 and SF 424B if the project does not involve construction or SF 424C and SF 424D if it involves

construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency are required by 43 CFR Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and the U.S. Fish and Wildlife Service Manual. For further instructions and forms, visit <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>, <http://www.fws.gov/coastal/coastalgrants>, or [www.grants.gov](http://www.grants.gov)

**Award Procedure:**

The Director of the Fish and Wildlife Service will select projects to be funded based on established criteria.

**Deadlines:**

Jun 29, 2012 Hard copy applications are due to the Regional Fish and Wildlife Service WSFR Office by June 29, 2012, 4:00 p.m. local time. Electronic applications submitted through Grants.gov will be accepted up until June 29, 2012, 11:59 p.m. Eastern Daylight Time. We recommend electronic applications be submitted through Grants.gov at least two days before the deadline to allow for any unforeseen technical complications.

Applicants are encouraged to submit letters of financial commitment by the June 29, 2012 due date, however we will accept letters at the Regional Office up through Sept. 7, 2012, 4:00 p.m. local time. We will not consider letters received after this deadline.

**Range of Approval/Disapproval Time:**

Approximately 150 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Applications for successive project phases are competed as new project applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: States with a dedicated fund for land conservation are required to provide a minimum cost share equal to 25 percent of the grant request. All other States are required to provide a 50 percent cost share. We waive the first \$200,000 of match for the following insular areas: American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, and the U.S. Virgin Islands.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects normally funded through annual proposals. See the following for information on how assistance is awarded/released: Projects normally funded through annual competed applications. Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients must submit a final performance report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all performance reporting requirements, including frequency and due dates, in the notice of award letter. Recipients must report expenditures using the SF 425, Federal Financial Report form. Recipients must submit a final report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all financial reporting requirements, including frequency and due dates, in the notice of award letter. Recipients are responsible for monitoring performance for each award and sub-award under this program in accordance with 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, they are subject to Program specific audits contracted by the Fish and Wildlife Service.

**Records:**

Cost records must be maintained separately for each project. Grantees must retain records, accounts, and supporting documents for 3 years after submission final request for reimbursement.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$19,100,000; FY 12 est \$20,500,000; and FY 13 est \$17,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 6,000 acres of coastal wetlands and associated habitats protected, restored, or enhanced. Fiscal Year 2012: 13,000 acres of wetlands and associated habitats protected, restored, or enhanced. The Program anticipates receiving 30 applications and awarding 24 grants (estimate based on previous grant cycles). Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 84

**Regional or Local Office:**

None. See Regional Agency Offices or visit the Program web site at <http://www.fws.gov/coastal/CoastalGrants/>.

**Headquarters Office:**

Chief, U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program, Mail Stop FA-4020, Arlington, Virginia 22203 Phone: 703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov> and [http://www.fws.gov/coastal/coastal\\_grants](http://www.fws.gov/coastal/coastal_grants).

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Browns Island Project, Cataret County, NC The North Carolina Wildlife Resources Commission, along with the North Carolina Coastal Land Trust will acquire a 45-acre parcel on Browns Island located near Cape Lookout National Seashore. Browns Island is a 600-acre undeveloped island. The parcel contains a diversity of wildlife habitats including 31.5 acres of salt and brackish marsh, pocosin, and 13.5 acres of maritime live oak and longleaf pine forest. The project would protect habitat for eight federally listed species, 10 state listed species, 18 coastal dependent and/or migratory bird species, and conserve four priority habitat types: forested wetlands, estuarine emergent wetlands, longleaf pine habitat, and maritime forest.

Riverside Ranch Restoration Project, Humboldt County, CA The California Coastal Conservancy will restore the natural ecosystem functions of the Salt River Delta in the Eel River estuary. The 446-acre Riverside Ranch sits at the confluence of the Salt and Eel Rivers was acquired with a 2007 National Coastal Wetland Conservation Grant. The Salt River watershed has been degraded by a century of diking and gating. This project will restore and enhance a total of 334 acres of estuarine tidal marsh, riparian forest, and other estuarine habitats, and 112 acres of associated uplands for numerous Federal and State listed and other wetland-dependent fish and wildlife species.

Sisters of Notre Dame Conservation Easement, Ipswich, MA The Massachusetts Department of Conservation and Recreation, partnering with Essex County and the Town of Ipswich, will permanently protect

approximately 78.05 acres of coastal salt marsh, freshwater marsh and ponds, and associated upland buffer. The Great Marsh is the largest salt marsh in New England covering over 25,000 acres. The project area is located at the mouth of Eagle Hill River, which drains into Plum Island Sound and Ipswich Bay. It is part of a 7,000-acre conservation corridor that includes Parker River National Wildlife Refuge four miles to the north. Fiscal Year 2012: Long Cove, Seal Cove and Oscars Pond Wetlands Acquisition Project, Addison, ME The Maine Department of Inland Fisheries and Wildlife will acquire 177 acres of essential upland, freshwater wetland and intertidal lands that will be part of the newly created Pleasant Bay Wildlife Management Area in Downeast Maine. The goal of the project is the long-term conservation of coastal wetland ecosystems that support many threatened and endangered species, important fishery resources, migratory shorebirds, and migratory wintering waterfowl.

Boyles Island Tract Acquisition Project, Lower Altamaha River, GA The Georgia Department of Natural Resources, partnering with The Nature Conservancy, Knobloch Foundation, the U.S. Marine Corps, USFWS (NAWCA), proposes to acquire 6,142 acres river floodplain forested wetlands in the lower Altamaha River floodplain, including 8.7 miles of river frontage on the Altamaha River. Designated by The Nature Conservancy as one of the Last Great Places, the Altamaha River watershed boasts the highest documented number of rare plants, animals and natural community occurrences in Georgia.

Union River Estuary Habitat Restoration Project, Belfair, WA The Washington Department of Fish and Wildlife will to restore 31 acres of estuarine habitat in Puget Sound. The goal of the project is to restore tidal influence to estuarine marsh habitat associated with the lower river as part of a larger initiative which has protected over 300 acres of Lynch Cove. The Union River is considered the strong-hold in the Lower Hood Canal for Federally listed summer chum salmon and is crucial for salmon recovery efforts. Fiscal Year 2013: The Program has not yet selected projects for funding. Program anticipates funding projects that include protection of coastal wetlands through fee acquisition or perpetual conservation easements, restoration and enhancement of coastal wetlands through hydrological reconnection and restoration of tidal flow, removal of invasive species and revegetation, and installation of living shorelines.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.615 COOPERATIVE ENDANGERED SPECIES CONSERVATION FUND****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., as amended; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601, as amended; The Department of the Interior, Environment, and Related Agencies Appropriations Act, 2010, Public Law 111-88. Consolidated Appropriations Act, 2012. Public Law 112-74.

**OBJECTIVES:**

To provide Federal financial assistance to any State or Territory (hereafter, "States"), through its appropriate State or territorial agency, to assist in the development of programs for the conservation of endangered and threatened species.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The assistance provided to the State fish and wildlife agency can include animal, plant, and habitat surveys; research; planning; monitoring; habitat protection, restoration, management, and acquisition; and public education. Assistance is restricted to those State agencies with which the Fish and Wildlife Service has a current cooperative agreement for the species involved. Yes, restrictions can be found in the annual request for proposals found at <http://www.fws.gov/endangered/grants/index.html>. Yes, 100 percent of the funds are set aside for discretionary activities.



**Applicant Eligibility:**

Participation limited to State agencies that have a cooperative agreement with the Secretary of the Interior. The annual Request for Proposals announced through [www.grants.gov](http://www.grants.gov) and posted to the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html> will describe the criteria that must be satisfied for a proposal to be eligible for funding.

**Beneficiary Eligibility:**

All States that have entered into a cooperative agreement with the Secretary of the Interior.

**Credentials/Documentation:**

A current cooperative agreement(s) between the Secretary of the Interior and the State Conservation agency(ies) concerning endangered and threatened species is necessary. Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable costs. Separate agreements for animals and plants are normally made with each State's responsible agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative requirements for Grants and Cooperative Agreements to State and Local Governments," must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. An applicant must complete the Standard Form SF-424, Application for Federal Assistance and the appropriate Budget and Assurances forms (SF-424A and SF-424B - Non Construction; or SF-424C and SF-424D - Construction). The project description section of the application should address the evaluation factors identified in the annual request for proposals that will be posted at [www.grants.gov](http://www.grants.gov) and to the U.S. Fish and Wildlife Service website at <http://www.fws.gov/endangered/grants/index.html>.

**Award Procedure:**

Final selection is made by the Secretary of the Interior, based on recommendations by the Director or Regional Directors of the U.S. Fish and Wildlife Service. Funds are obligated by an authorized signature on an award agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Information regarding approval/disapproval time frames will be made available annually in the request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service Web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Appeals:**

Decisions can be appealed to the Fish and Wildlife Service, Chief, Endangered Species Division of Consultation, Habitat Conservation Planning, Recovery, and State Grants. Final determination rests with the Secretary of the Interior.

**Renewals:**

Renewals can be made through submission of a project proposal and approval of a grant award document.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: States may receive up to 75 percent of the program costs. When two or more States have a common interest in one or more endangered or threatened species and enter into a joint agreement, the Federal share of the total project cost may be increased to 90 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

So much of the annual appropriation allocated for obligation to any State for any fiscal year as remains unobligated at the close thereof is authorized to be made available to that State until the close of the succeeding fiscal year. Any amount allocated to any State which is unobligated at the end of the period during which it is available for expenditure is authorized to be made available for expenditure by the Secretary for conducting programs authorized by Section 6 of the Endangered Species Act. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A performance report is required for each project segment within 90 days following the close of the segment. The Federal Financial Report, SF 425 is required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years following the submission of request for final reimbursement.

**Account Identification:**

14-5143-0-2-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$14,000,000; FY 12 est \$10,000,000; and FY 13 est \$10,000,000 - 5954: Species Recovery Land Acquisition Grants. (Project Grants (Discretionary)) FY 11 \$4,987,000; FY 12 est \$0; and FY 13 est \$0 - 5945: Nez Perce Settlement. (Project Grants (Discretionary)) FY 11 \$2,854,000; FY 12 est \$3,257,000; and FY 13 est \$3,257,000 - 5942: Administration. (Project Grants (Discretionary)) FY 11 \$28,600,000; FY 12 est \$15,000,000; and FY 13 est \$15,000,000 - 5943: Habitat Conservation Plan Land Acquisition Grants. (Project Grants (Discretionary)) FY 11 \$18,000,000; FY 12 est \$10,000,000; and FY 13 est \$10,000,000 - 5941: Conservation Grants. (Project Grants (Discretionary)) FY 11 \$10,700,000; FY 12 est \$9,500,000; and FY 13 est \$9,500,000 - 5944: Habitat Conservation Planning Assistance Grants.

**Range and Average of Financial Assistance:**

Varies by program element.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$53 million in grant funding was awarded to 17 states to support conservation planning and acquisition of vital habitat for threatened and endangered fish, wildlife, and plants. Out of the over 500 proposals submitted, 415 grants were awarded partial or full funding. Fiscal Year 2012: In Fiscal Years 2012 and 2013, we expect to award an estimated 560 grants to fund similar projects that benefit threatened and endangered species on non-Federal lands. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., as amended; Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601, as amended; 50 CFR 81, The U.S. Fish and Wildlife Service Manual Chapter 521 FW 4 (<http://www.fws.gov/policy/521fw4.html>); The Wildlife and Sport Fish

Restoration Program Toolkit (<http://wsfrprograms.fws.gov/Subpages/ToolkitFiles/toolkit.pdf>); and the annual request for proposals posted at [www.grants.gov](http://www.grants.gov) and at the U.S. Fish and Wildlife Service web site at <http://www.fws.gov/endangered/grants/section6/index.html>.

**Regional or Local Office:**

See Regional Agency Offices. Please visit <http://www.fws.gov/endangered/grants/section6/index.html> and click on the "How to contact us for information" link to access a list of regional program contacts.

**Headquarters Office:**

Chief, Endangered Species Division of Consultation, HCPs, Recovery and State Grants, 4401 N. Fairfax Dr. Room 420, , Arlington, Virginia 22203 Phone: (703) 358-2171.

**Website Address:**

<http://www.fws.gov/endangered/grants/index.html>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.634 State Wildlife Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In Fiscal Year 2011, \$53 million in grants was awarded to 17 states to support conservation planning and acquisition of vital habitat for threatened and endangered fish, wildlife, and plants.

For example, the State of Wisconsin was awarded an HCP Land Acquisition grant in the amount of \$360,000 to fund the Karner Blue Butterfly Land Acquisition project in Jackson County. With this grant, the Wisconsin Department of Natural Resources will protect 240 acres of land within the Bauer-Brockway Barrens State Natural Area and the Jackson County Forest. The addition of these lands will connect existing protected habitats to benefit this disturbance-dependent endangered butterfly and a large number of additional rare species that depend on the barrens ecosystem.

An HCP Planning Assistance grant in the amount of \$978,439 was also awarded in FY 2012 to support the Development of Habitat Conservation Plans for the Cumberland Region, Tennessee, project to protect aquatic and forest resources. Several mammals, mussels, reptiles, amphibians, fish, and aquatic invertebrates will benefit from these planning efforts in this ecologically diverse region that is beginning to experience increased development and resource extraction issues.

An FY 2011 Recovery Land Acquisition grants was awarded to the Chesapeake Bay Puritan Tiger Beetle Habitat Conservation project in Maryland. The State of Maryland Department of Natural Resources, in partnership with the Fish and Wildlife Service Chesapeake Bay Field Office, Eastern Shore Conservancy, Girl Scouts of the Chesapeake Bay Council, and five private landowners requested funding to purchase permanent conservation easements on six properties. The properties total 456 acres of forestland and eroding cliffs and support three sub-populations of the federally threatened Puritan tiger beetle.

Finally, the State of Oregon received a Traditional Conservation grants to fund population estimates for the endangered Taylors checkerspot butterfly in Fiscal Year 2011. Fiscal Year 2012: For Fiscal Years 2012 and 2013, the program has not yet selected projects for funding. However, we expect to award an estimated 560 grants to fund similar projects that benefit threatened and endangered species on non-Federal lands. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for grant funding must be submitted by the State fish and wildlife agency. The State must have an approved cooperative agreement with the Secretary of the Interior which provides for sharing responsibilities for endangered species, prior to receiving Cooperative Endangered Species Conservation Fund (section 6 of the Endangered Species Act) funds. Individual project proposals must compete with other State submissions for funding. For additional information please visit <http://www.fws.gov/endangered/grants/index.html>.

**15.616 CLEAN VESSEL ACT**

CVA

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Clean Vessel Act of 1992, Section 5604, Public Law 102-587, Subtitle F; 16 U.S.C. 777c, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-059.

**OBJECTIVES:**

This program provides funding to States, the District of Columbia, Commonwealths, and territories for the construction, renovation, operation, and maintenance of sewage pumpout stations, waste reception facilities, and pumpout boats for recreational boaters and for educational programs that inform boaters of the importance of proper disposal of their sewage.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This program authorizes matching funds on a competitive basis for development of surveys and plans for installing sewage pumpouts and dump stations for recreational boats in the coastal zone of coastal States; and for construction of sewage pumpouts and dump stations for recreational boats; and for implementation of education programs. These stations must provide protection of sensitive areas from recreational boat sewage. Prohibited activities include: law enforcement; construction/renovation of upland restroom facilities; construction, renovation, operation and maintenance of sewage treatment plants; and any activity that does not provide public benefits. 100% of funds are awarded on a competitive basis.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa may submit grant proposals to the U.S. Fish and Wildlife Service.

**Beneficiary Eligibility:**

General public, recreational boaters, municipalities, and private marinas within eligible States, the District of Columbia, Commonwealths, and territories.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule) identifies Federal cost principles for determining allowable costs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth or territory for more information on this process when applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or

www.grants.gov.

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects based on established criteria and available funding. Regional Offices make awards to approved applicants.

**Deadlines:**

Dec 10, 2012 Application deadlines are typically in early December. The U.S. Fish and Wildlife Service will annually notify all States, the District of Columbia, Commonwealths, and territories about the grant program.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Regional Directors will consider differences of opinion over the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The annual program funding comes from the Sport Fish Restoration and Boating Trust Fund. It receives two percent of the funds in the Trust Fund. Trust funds are derived from excise taxes on fishing equipment, motorboat and small engine fuels, import duties, and interest on the fund. The Federal share of the project costs cannot exceed 75 percent for the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico. The first \$200,000 of match must be waived for the Commonwealth of the Northern Mariana Islands and the territories of Guam, the U.S. Virgin Islands, and American Samoa.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The U.S. Fish and Wildlife Service annually notifies all States, the District of Columbia, Commonwealths, and the territories about the grant program. See the following for information on how assistance is awarded/released: Projects normally funded through annual proposals.

**Reports:**

No program reports are required. No cash reports are required. See Service Manual Chapter 516 FW 2. Recipients must submit a final performance report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all performance reporting requirements, including frequency and due dates, in the notice of award letter. See Service Manual Chapter 516 FW 1. Recipients must report expenditures using the SF 425, Federal Financial Report form. Recipients must submit a final report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all financial reporting requirements, including frequency and due dates, in the notice of award letter. Recipients are responsible for monitoring performance for each award and sub-award under this program in accordance with 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$11,730,058; FY 12 est \$12,000,000; and FY 13 est \$12,000,000 - FY12 and FY13 amounts are estimates based on prior year funding levels.

**Range and Average of Financial Assistance:**

Maximum Federal award is \$1,500,000. The average award is approximately \$350,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately 125 new pumpout stations, floating restrooms, or pumpout boats were installed or purchased to pump sewage from recreational boats.

In FY 11, the program received 31 applications from 25 States. All projects were fully funded. Fiscal Year 2012: Approximately 125 new pumpout stations, floating restrooms, or pumpout boats may be installed or purchased to pump sewage from recreational boats.

In FY 12 we anticipate 30 applications. Fiscal Year 2013: Approximately 125 new pumpout stations, floating restrooms, or pumpout boats may be installed or purchased to pump sewage from recreational boats. In FY 13, we anticipate 30 applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Part 85; Final Technical Guidelines published in the Federal Register Vol. 59, No. 47, March 10, 1994; final Grant Guidelines published in the Federal Register Vol. 59, No. 47, March 10, 1994; and final Pumpout Symbol Guidelines published in the Federal Register, Vol. 62, No. 166, August 27, 1997.

**Regional or Local Office:**

None. See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Fish and Wildlife Service Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The State of Florida's Clean Vessel Act Inland Program will increase the total number of inland marina pumpout facilities, renovations, operations, maintenance, and sewage hauling projects by 15 as well as increase the knowledge of the program to boaters and marine facility operators. The education initiative includes program information through the internet, outreach events, brochures, radio and television PSAs, and presentations. The focus areas for pumpout facilities will be areas of high vessel traffic, with sensitive bodies of water.

South Carolina's Marine Resources Division developed a CVA plan under a 1994 grant that was based on a comprehensive survey. The survey covered all marinas within the state's eight county coastal zones. Since its inception several pumpout facilities have been established. The state also has a comprehensive public awareness/outreach component to their CVA Program. Three new fixed pump out units will be installed and outreach will be conducted to include information on waste disposal regulations, steps to properly handle and discharge sewage waste, the effects of sewage pollution on aquatic habitats and boater responsibilities. Information will continue to be distributed at large marina trade shows, outreach events, and expositions. In addition, a "dock walker" will be utilized to distribute CVA information during peak boating season and will also survey boaters to determine attitudes and behaviors towards pumpouts and sewage pollution.

The Georgia Department of Natural Resources worked with marinas to construct, renovate, operate and maintain pumpout stations and waste reception facilities for recreational boaters. Funds will also be used for outreach

materials to inform boaters of the importance of properly disposing of boat sewage and keeping our waters clean. Fiscal Year 2012: The Massachusetts Division of Marine Fisheries (DMF), through the State CVA Pumpout Program will provide resources for the administration of the program, including conducting compliance checks on all CVA funded pumpout installations in Massachusetts, and to continue the information and education component of the CVA Program in the State. Funding will also be used to purchase 1 pumpout boat and replace 4 older pumpout boats, install 3 new shoreside stations, and to replace 2 boat motors.

The North Carolina Wildlife Resources Commission proposes to construct two new pumpouts and renovate current facilities as needed. The state will also conduct an education/outreach program by producing and distributing brochures and pamphlets and by conducting workshops. The anticipated result of this grant work is a reduction in illegal overboard sewage discharge.

The Connecticut Department of Energy and Environmental Protection Funding will be funding a CVA Pumpout Program to purchase and install 4 new pumpout/dump station facilities and 1 new pumpout boat in the coastal area of the State, as well as to upgrade and/or replace existing equipment in need to be replaced or upgraded. Funding will also be used to operate and maintain approximately 40 stationary facilities and 18 pumpout boats, as well as for the continuation of the CVA Pumpout Education Program and the administration of the Program in Connecticut. Pumpout facilities in CT prevent the discharge of boat sewage in CT waters and service not only CT boaters but also boaters from other States visiting or passing through the State waters. Fiscal Year 2013: The Program has not selected proposals for funding but projects will feature pumpout stations, floating restrooms, pumpout boats and educational programs about the benefits of pumpouts and keeping sewage out of recreational waters.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Projects must be submitted by the State, the District of Columbia, Commonwealth, or territorial agency given responsibility for the program by the Governor of that State, the District of Columbia, Commonwealth, or territory. Purpose of the project must be consistent with the purpose and conditions of the Act. The criteria for selecting proposals for coastal States are based upon the extent the project will contribute to conducting a survey; develop a plan for installing pumpouts/dump stations; and construct pumpouts/dump stations according to the approved plan. Criteria for selecting proposals for all States, the District of Columbia, Commonwealths, or territories are based upon the extent the project will contribute to public/private partnerships; innovative approaches to increasing availability and use of pumpouts/dump stations; implementation of an education program; contribution toward protecting sensitive areas; and lowering the ration of vessels with holding tanks and portable toilets to pumpouts and dump stations.

#### **15.619 RHINOCEROS AND TIGER CONSERVATION FUND**

##### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

##### **AUTHORIZATION:**

Rhinoceros and Tiger Conservation Act of 1994, Public Law 103-391, 108 Stat. 4094 et seq., 16 U.S.C. 5301 et seq., as amended by the Rhino and Tiger Product Labeling Act of 1998, Public Law 105-312, 112 Stat. 2956 et seq., 16 U.S.C. 5301 et seq.; Multinational Species Conservation Act of 2007, Public Law 110-132, 121 Stat. 1360.

##### **OBJECTIVES:**

To provide financial assistance for projects for the effective long-term conservation of rhinoceros and tigers. This program supports projects that focus on one or more of the following areas: Enhanced protection of at-risk rhinoceros and tiger populations; protected area/reserve management in important rhinoceros and tiger range; Veterinary care for wild populations; habitat conservation and management; reintroduction to former range; restoration of habitat; wildlife inspection, law enforcement, and forensics skills; conservation education and community outreach; efforts to decrease human-rhinoceros and human-tiger conflicts; strengthening local capacity to implement conservation programs; transfrontier rhinoceros and tiger conservation; applied research on rhinoceros and tiger populations and their habitats, including surveys and monitoring; development and execution of

rhinoceros and tiger conservation management plans; and compliance with applicable treaties and laws that prohibit or regulate the taking or trade of rhinoceros and tigers or regulate the use and management of their habitat.

##### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

##### **USES AND USE RESTRICTIONS:**

Proposed project work should occur within the rhinoceros or tiger range, or, if work is to be conducted outside of the range, the proposal should show clear relevance to rhinoceros or tiger conservation. If the project includes research, the applicant must provide a convincing argument that the results will address management needs or threats from disease and climate change and will result in management actions. Funds provided under this program will not be used for: the purchase of firearms or ammunition; buying intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that, to arrest suspects, prompt them to carry out illegal activities (entrapment); any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country of proposed activity; material support or resources to individuals, entities, or organizations of countries that the U.S. Department of State has identified as state sponsors of terrorism. These countries are: Cuba, Iran, Sudan and Syria. (Exceptions may be allowed with clearance from U.S. Department of State.). 100%.

##### **Applicant Eligibility:**

Applications may be submitted by any government agency responsible for the conservation and protection of rhinoceroses and/or tigers and any other organization, multi-national secretariat or individual with demonstrated experience in rhinoceros and/or tiger conservation may submit proposals to this Fund. U.S. non-profit, non-governmental organizations must submit documentary evidence of their Section 501(c)(3) non-profit status.

##### **Beneficiary Eligibility:**

Any government agency responsible for conservation and protection of rhinoceros and/or tigers and any other organization or individual with demonstrated experience in rhinoceros or tiger conservation.

##### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at <http://www.fws.gov/international/DIC/species/rhino/rhino.html> and <http://www.fws.gov/international/DIC/species/tiger/tiger.html>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia & Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

##### **Award Procedure:**

Projects are competitively selected for funding using criteria from the Rhinoceros and Tiger Conservation Act (16 USC 5301 et seq.). Review criteria can be found in the application information at <http://www.fws.gov/international/DIC/howtoapply.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is executed by an FWS approving official. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after the receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

None. However; at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/DIC/species/rhino/rhino.html>. animals/rhinoprogram.htm. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/dic/pdf/NOFA-AAG/AAG.pdf>. Interim and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/dic/pdf/NOFA-AAG/AAG.pdf>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$2,638,351; FY 12 est \$2,500,000; and FY 13 est \$2,000,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Largely \$50,000 or less. Higher amounts may be requested.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Received 98 applications; issued 53 awards. Fiscal Year 2012: Program anticipates receiving 100 applications and issuing 50 awards. Fiscal Year 2013: Program anticipates receiving applications and issuing awards similar to FY 2011 and FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf> or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief Department of the Interior, U.S. Fish and Wildlife Service, Division of International Conservation, 4401 North Fairfax Drive, ARLSQ 100, Arlington, Virginia 22203 Email: [MSCF\\_RhinoTiger@fws.gov](mailto:MSCF_RhinoTiger@fws.gov) Phone: (703) 358 1754 Fax: (703) 358 2115

**Website Address:**

<http://www.fws.gov/international/dic/species/tiger/tiger.html>

**RELATED PROGRAMS:**

15.620 African Elephant Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The program supported 1) The purchase of a new bus to be used for environmental education throughout Laikipia District, one of Kenya's most important rhino and elephant areas. The bus will be staffed full-time by an education team and equipped with mobile education materials. It will be deployed to reach 80 school groups and 15 community groups per year; 2) Reducing human-tiger conflict in the Bangladesh Sundarbans through working with the Forest Department and local villages. The grantee will develop a culturally sensitive strategy based on an investigation into the human dimensions, patterns and impacts of conflict. Every year approximately 50 people, 60-80 livestock and three or more tigers are killed in such conflicts in the region; 3) Updating the databases records on wildlife traders, seizures, arrests and convictions, and provision of information on wildlife crime to enforcement agencies. It will emphasize crimes against rhinos and tigers but will benefit many species. This will enhance the ability of authorities to combat wildlife crime and will be useful to judicial bodies in sentencing wildlife criminals. Other funded projects are available through the programs website at [http://www.fws.gov/international/dic/pdf/RhinoTiger\\_PS\\_FY11.pdf](http://www.fws.gov/international/dic/pdf/RhinoTiger_PS_FY11.pdf). Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are effective for long-term conservation of rhinoceros and tigers, and those that are similar in scope to FY 2011. Fiscal Year 2013: Program anticipates funding projects that are effective for long-term conservation of rhinoceros and tigers, and those that are similar in scope to FY 2011 and 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the requirements of the Rhinoceros and Tiger Conservation Act (16 U.S.C. 5301 et seq.). Additional details on the selection criteria can be found in the Rhinoceros and Tiger Notice of Funding Availability and Application Instructions at [http://www.fws.gov/international/dic/pdf/NOFA-AAG/NOFA\\_RT12.pdf](http://www.fws.gov/international/dic/pdf/NOFA-AAG/NOFA_RT12.pdf). Hard copies of the criteria are available upon request from the Division of International Conservation.

**15.620 AFRICAN ELEPHANT CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Multinational Species Conservation Act of 2007, Public Law 110-132, 121 Stat. 1360; African Elephant Conservation Act, Title II Section 2001 et seq., Public Law 100-478, 102 Stat. 2315 et seq., 16 U.S.C. 201 et seq., 4211 et seq., 4221 et seq., 4241 et seq., and 1538.

**OBJECTIVES:**

To provide financial assistance to support projects that will enhance sustainable conservation programs to ensure effective, long-term conservation of African elephants. The African Elephant Conservation Fund supports projects that promote conservation through: Applied research on elephant populations and their habitat, including surveys and monitoring; Development and execution of elephant conservation management plans; Compliance with applicable treaties and laws that prohibit or regulate the taking or trade of elephants or regulate the use and management of elephant habitat; Conservation education and community outreach; Enhanced protection of at-risk elephant populations; Efforts to decrease human-elephant conflict; Habitat conservation and management; Protected area/reserve management in important elephant range; Strengthening local capacity to implement conservation programs; Transfrontier elephant conservation; and Wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project work should occur within the range of the African elephant, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to African elephant conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. 100%.

**Applicant Eligibility:**

Applications may be submitted by any African government agency responsible for African elephant conservation and protection and any other organization or individual with demonstrated experience in African elephant conservation.

**Beneficiary Eligibility:**

Any African government agency responsible for African elephant conservation and protection and any other organization or individual with demonstrated experience in African elephant conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at [http://www.fws.gov/international/DIC/species/afe/african\\_elephant.html](http://www.fws.gov/international/DIC/species/afe/african_elephant.html). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia and Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding using criteria

developed on the requirements of the African Elephant Conservation Fund (16 USC et seq.) Review criteria can be found in the application information at <http://www.fws.gov/international/dic/howtoapply.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is executed by an FWS approving official. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after the receipt of the project proposal.

**Appeals:**

No procedure for appeals.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. Maintenance of Effort is not required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found on the Assistance Award Guidelines available at <http://www.fws.gov/international/dic/pdf/NOFA-AAG/AAG.pdf>. For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report Standard Form 425. Domestic recipients with program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,824,464; FY 12 est \$2,000,000; and FY 13 est \$1,500,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Generally \$50,000 or less. Higher amounts may be requested.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: received 74 applications; issued 30 awards. Fiscal Year 2012: Projects not yet selected for funding. Estimate accomplishments similar to those in FY11. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf> or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief U.S. Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: MSCF\_AfricanElephant@fws.gov Phone: (703) 358-1754 Fax: (703) 358-2115

**Website Address:**

[http://www.fws.gov/international/dic/species/afe/african\\_elephant.html](http://www.fws.gov/international/dic/species/afe/african_elephant.html)

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The program supported 1) Ongoing support to the longest running study of African forest elephants. The grantee will provide surveillance and monitoring of the forest elephant population in the region, training of research assistants on elephant identification, and analysis of elephant vocalizations; 2) Training of 70 community scouts from 15 conservancies at Kenyas national wildlife training school. The scouts will be trained in basic patrol techniques and tactics, first aid, national wildlife policy, map reading and GPS navigation, radio communication procedures and physical fitness; 3) The second year of a campaign to promote cooperation between African wildlife and law enforcement agencies with their counterparts in Southeast Asia, aiming to detect and intercept illegally trafficked wildlife and to improve prosecution rates. The grantee will arrange an exchange visit to Kenya by all participants and joint investigations into ivory smuggling. Other funded projects are available through the programs website at [http://www.fws.gov/international/dic/pdf/AfricanElephant\\_PS\\_FY11.pdf](http://www.fws.gov/international/dic/pdf/AfricanElephant_PS_FY11.pdf). Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are effective for long-term conservation of African elephants, and those that are similar in scope to FY 2011. Fiscal Year 2013: Program anticipates funding projects that are effective for long-term conservation of African elephants, and those that are similar in scope to FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the African Elephant Conservation Act (16 USC 4201 et seq.). Additional details on the selection criteria can be found in the African Elephant Notice of Funding Availability and Application Instructions found on our website at <http://www.fws.gov/international/DIC/howtoapply.html>. Hard copies are available upon request from the Division of International Conservation at (703)358-1754.

**15.621 ASIAN ELEPHANT CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Asian Elephant Conservation Act, Public Law 105- 96, 111 Stat. 2150, 16 U.S.C. 4261-4266.; Asian Elephant Conservation Reauthorization Act of 2007, Public Law 110-133, 121 Stat. 1362.

**OBJECTIVES:**

To provide financial assistance to support the effective long-term conservation of Asian elephants. This program provides support for projects that focus on one or more of the following areas: Applied research, including surveys and monitoring; enhanced compliance with treaties and laws that prohibit the take or trade of Asian elephant or regulate the use and management of their habitat; conservation education and community outreach; development and execution of conservation management plans; enhanced protection of at-risk populations; habitat conservation and management, including protected area and reserve management; local capacity building; reduction of human-elephant conflicts; transfrontier conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project work should occur within the range of the Asian elephant, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to Asian elephant conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan, and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreement Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. 100%.

**Applicant Eligibility:**

Applications may be submitted by any Asian government agency responsible for Asian elephant conservation and protection, and any other organization or individual with demonstrated experience in Asian elephant conservation.

**Beneficiary Eligibility:**

Any Asian government agency responsible for Asian elephant conservation and protection, and any other organization or individual with demonstrated experience in Asian elephant conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at Grants.gov website <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on this program's website at [http://www.fws.gov/international/dic/pdf/NOFA-AAG/NOFA\\_ASE12.pdf](http://www.fws.gov/international/dic/pdf/NOFA-AAG/NOFA_ASE12.pdf). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia & Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if

all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria contained in the Asian Elephant Conservation Act (16 USC 4261 4266). Review criteria can be found in the application information at <http://www.fws.gov/international/dic/howtoapply.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is executed by an FWS approving official. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are made within 180 days after receipt of the project proposal.

**Appeals:**

No procedure for appeals.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. Maintenance of Effort is not required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found on the Assistance Award Guidelines available at <http://www.fws.gov/international/dic/pdf/NOFA-AAG/AAG.pdf>. For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report Standard Form 425. Domestic recipients with program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and

Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,824,464; FY 12 est \$2,000,000; and FY 13 est \$1,500,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Generally \$50,000 or less. Higher amounts may be requested.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Received 59 proposals; issued 29 awards. Fiscal Year 2012: Projects not yet selected for funding. Estimate accomplishments similar to those in FY11. Fiscal Year 2013: Projects not yet selected for funding. Estimate accomplishments similar to those in FY11.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf> or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

[http://www.fws.gov/international/dic/species/ase/asian\\_elephant.html](http://www.fws.gov/international/dic/species/ase/asian_elephant.html)

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.620 African Elephant Conservation Fund; 15.629 Great Apes Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The program supported 1) Collecting important data on Asian elephant population in the northern half of the Phnom Samkos Wildlife Sanctuary using camera traps. The project will train rangers in camera trap deployment and maintenance, and support government-led human-elephant conflict response teams to educate and train local people on conflict mitigation; 2) Reviewing translocation programs in peninsular Malaysia since 1974 and analyze spatial and temporal trends in human-elephant conflict, elephant distribution, and population size. The grantee will deploy GPS-satellite transmitters on translocated and nontranslocated elephants to compare post-release ranging behavior of translocated elephants with that of elephants that remain in Taman Negara National Park, and use study results to develop and disseminate management recommendations regarding translocations; 3) Completing the occupancy work in lower WEFCOM started in 2010 and initiating nature education campaigns with the elephant as a flagship species in 6 key schools and communities. The grantee will conduct follow-up monitoring with 8 patrol teams in Thung Yai West Wildlife Sanctuary and train 25-30 students on elephant and wildlife occupancy and population monitoring techniques. Other funded projects are available through the programs website at [http://www.fws.gov/international/dic/pdf/AsianElephant\\_PS\\_FY11.pdf](http://www.fws.gov/international/dic/pdf/AsianElephant_PS_FY11.pdf). Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are effective for long-term conservation of Asian elephants, and those that are similar in scope to FY 2011. Fiscal Year 2013: Program anticipates funding projects that are effective for long-term conservation of Asian Elephants, and those that are similar in scope to FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**



Proposals will be reviewed on the basis of criteria developed from the Asian Elephant Conservation Act (16 U.S.C. 4261-4266). Additional details on the criteria can be found in the Asian Elephant Notice of Funding Availability and Application Instructions at <http://www.fws.gov/international/DIC/howtoapply.html>. Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

#### **15.622 SPORTFISHING AND BOATING SAFETY ACT**

Boating Infrastructure Grants

##### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

##### **AUTHORIZATION:**

Sportfishing and Boating Safety Act, Title VII, Subtitle D, Section 7404, Public Law 105-178, 16 U.S.C. 777g-1, and the Safe, Accountable, Flexible, Efficient Transportation Equity Act, Public Law 109-059.

##### **OBJECTIVES:**

This program provides funding to States, the District of Columbia, Commonwealths, and territories for the construction, renovation, and maintenance of tie-up facilities for transient, recreational boats 26 feet or greater.

##### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

##### **USES AND USE RESTRICTIONS:**

This program authorizes matching funds on a competitive basis for constructing, renovating, or maintaining tie-up facilities for transient, recreational boats 26 feet or more in length and to produce and distribute information and educational materials about the program. Prohibited activities include; law enforcement, construct, renovate, or maintain tie up facilities for boats less than 26 feet and any activity that does not provide public benefits. For Further information, please contact the regional office. Approximately 70% of funds are discretionary, but this varies annually.

##### **Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa may submit grant proposals to the U.S. Fish and Wildlife Service.

##### **Beneficiary Eligibility:**

General Public, specifically owners and/or users of transient, recreational boats more than 26 feet or greater, and municipalities and private marinas within those eligible States, the District of Columbia, Commonwealths, and territories.

##### **Credentials/Documentation:**

Applicants must be a governor designated State agency eligible to apply to the program. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Environmental impact statement not required not to apply. However, sometimes one is required before an award can be made. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurance forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further

instructions and forms go to <http://wsfirprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

##### **Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects for funding based on established criteria and available funding. Regional Offices make awards to approved applicants.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approximately 120 days.

##### **Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The annual program funding comes from the Sport Fish Restoration and Boating Trust Fund. It receives two percent of the funds in the Trust Fund. Trust funds and derived from excise taxes on fishing equipment, motorboat and small engine fuels, import duties, and interest on the fund. The Federal share of the project costs cannot exceed 75 percent for the 50 States, the Commonwealth of Puerto Rico, and the District of Columbia. The first \$200,000 of match must be waived for the Commonwealth of Northern Mariana Islands and the territories of Guam, the U.S. Virgin Islands, and American Samoa.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Projects are normally funded through annual proposals. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report SF 425 is required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after final submission of the final Federal Financial Report.

##### **Account Identification:**

14-8151-0-7-303.

##### **Obligations:**

(Project Grants (Discretionary)) FY 11 \$16,215,865; FY 12 est \$11,380,730; and FY 13 est \$12,000,000 - FY 13 amount is an estimate based on prior year funding levels only.

##### **Range and Average of Financial Assistance:**

Tier 1 grants average at \$100,000; Tier 2 range from \$100,000 to \$1,500,000;

Average \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 550 new slips or side tie access, 3 fuel docks, and 3 restroom and shower facilities

In FY11, the program received 24 Tier 2 applications and issued 16 awards.

Fiscal Year 2012: 242 new slips or side tie access, 51 moorings, 1 fuel dock, and 2 restrooms

In FY12, the program received 13 Tier 2 applications and issued 12 awards.

Fiscal Year 2013: 200 new slips or side tie access and 2 restrooms (estimate only)

In FY13, we anticipate receiving 30 Tier 2 applications and issuing 15 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR Part 86.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses of Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Policy and Programs Director U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703)358-2156

**Website Address:**

<http://wsfrprograms.fws.gov>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The California Department of Boating and Waterways, in cooperation with the HIW Associates and their partners, will receive \$882,728 and match that amount with \$882,728 to re-construct a new facility to include a transient berthing area for up to 13 vessels, a modernized fueling station to include high-speed fueling, a new pumpout, an oil recycling center, and ADA restrooms.

The Ohio Department of Natural Resources, in cooperation with the City of Cleveland and partners will receive \$1,450,400 and match that with \$509,600 to build new floating docks for 53 transient boat slips including 3 ADA accessible slips and ramp, a new shower, restrooms, laundry building, and amenities.

The State of Washington Recreation and Conservation Office, in cooperation with the Port of Anacortes and partners will receive \$1,476,193 and match that with \$1,447,532 to replace 2 docks with state-of-the-art floats and upgraded amenities for an estimated 54 transient slips. The project is located on a sheltered harbor on Fidalgo Bay in Puget Sound. Fiscal Year 2012: St. Pete Beach Transient Docks, St. Pete Beach, Florida - The Florida Fish and Wildlife Conservation Commission will partner with the City of St. Pete Beach to construct 12 new transient boat slips. Electrical, water, and pumpout utilities will be provided.

Wethersfield Cove Marina, Wethersfield, Connecticut - The State of Connecticut Department of Energy and Environmental Protection will partner with the Town of Wethersfield to construct a transient boat marina, consisting of seven transient slips and 51 moorings designated for the use of transient, non-trailerable recreational vessels.

Market Pier Docks, Washington, DC- The District of Columbia, will partner with the private development team of Hoffman-Madison Waterfront, LLC for the redevelopment efforts of the District's Southwest Waterfront. The project includes the construction of 54 transient slips with ADA accessibility. Fiscal Year 2013: Program anticipates funding projects that meet the goals established in the program regulations.

**CRITERIA FOR SELECTING PROPOSALS:**

The designated State, the District of Columbia, Commonwealth, or territorial agency must submit proposals to participate in this program. The purpose of these projects must be consistent with the purpose and conditions of the Act. The criteria for selecting proposals are based upon the extent the project will contribute to constructing tie-up facilities according to the State's, the District of

Columbia, Commonwealth's, or territory's approved plan; contribute to public/private partnerships; innovative approaches to increasing availability and use of tie-up facilities; that include private, local, or other State, the District of Columbia, Commonwealth, or territorial funds in addition to the 25 percent match; that are cost efficient; provide a significant link to prominent destination way points such as those near cultural or natural sites; provide access to recreational, historic, cultural, natural, or scenic opportunities of local, regional, or national significance; that provide significant economic impacts to a community; and include multistate efforts that result in coordinating location of tie-up facilities.

**15.623 NORTH AMERICAN WETLANDS CONSERVATION FUND (NAWCF)**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

North American Wetlands Conservation Act, Public Law 101-233, as amended, 16 U.S.C. 4401.

**OBJECTIVES:**

To provide grant funds for wetlands conservation projects in the United States, Canada, and Mexico.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used to acquire real property interest in lands or waters, including water rights. Funds may also be used to restore, manage, and/or enhance wetland ecosystems and other habitat for migratory birds and other fish and wildlife. Projects must provide long-term conservation for wetlands-associated migratory birds and other wetlands-associated wildlife. Coastal Wetlands Planning, Protection and Restoration act-derived funds eligible for NAWCA projects may be used only in U.S. coastal wetlands ecosystems. More specific restrictions are outlined on the NAWCA grants information and instructions website. For further information, please contact the headquarters office. 100%.

**Applicant Eligibility:**

Available to private or public organizations or to individuals who have developed partnerships to carry out wetlands conservation projects in the U.S., Canada, and Mexico.

**Beneficiary Eligibility:**

Available to any private or public organization or individual.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Complete program information and application instruction can be found on the Division of Bird Habitat Conservation (DBHC) website, at <http://www.fws.gov/birdhabitat/Grants/NAWCA>, or can be accessed through [grants.gov](http://www.grants.gov). Grant applications, including Standard Form 424 Application for Federal Assistance, and the appropriate Assurance forms (SF 424C or SF 424D) are submitted through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications are screened by the Coordinator's staff, and further reviewed and ranked by the North American Wetlands Conservation Council (Council) Staff and North American Waterfowl Management Plan Joint Venture Coordinators. Site visits are conducted as needed. Grant proposals are recommended for approval by the Council to the Migratory Bird Conservation Commission (Commission). The U.S. Fish and Wildlife Service conducts a National Environmental Policy Act and National Historic Preservation Act review of the projects that the Council selects to recommend to the Commission. The Council

selects proposals in March, July, and December that are recommended to the Commission for final funding approval in September, March, and June respectively. The grant is administered by FWS Division of Bird Habitat Conservation.

**Deadlines:**

Mar 01, 2012 U.S. Standard grants are due in March and July and small grant proposals are due in October. Specific proposal due dates are published on the NAWCA website:

<http://www.fws.gov/birdhabitat/Grants/NAWACA/index.shtm>.

**Range of Approval/Disapproval Time:**

The range of time from proposal submission to the Commission meeting for standard grants is 7 to 11 months. Small grants approvals are usually known in 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals are funded on a project-specific basis. Requests for future funding must complete with other requests for project funding. A grant agreement can be modified or extended at the discretion of the Division of Bird Habitat Conservation.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The required matching share varies on a grant-by-grant basis and is set forth in the grant award, but must be at least 50 percent of the project costs, except that the project activities located on Federal lands and waters can be funded with 100 percent Federal funding.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant funds should be spent within the 1-2 year grant period, although the grant period can be extended for reasonable cause. All grants issued to non-Federal entities are paid through the Department of Treasury's Automated Standard Application for Payment System. Funds provided directly to a Federal entity by FWS are governed by a separate agreement between FWS and the recipient Federal entity. See the following for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Final reports must be filed with the Division of Bird Habitat Conservation within 90 days of the end of the project expiration or termination date. Cash reports are not applicable. A performance report is required for each grant award annually, at the end of the fiscal quarter following the award anniversary date. A final performance report is due at the end of the fiscal quarter following the end of the award period of performance. Interim and final reports must be submitted in accordance with the terms and conditions of the grant agreement and must include SF-425 Federal Financial Report. Recipients must report expenditures using the SF 425, Federal Financial Report form. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and a detailed accounting of receipts and expenditures of non-Federal matching dollars or value of services. Records, accounts, and supporting documents must be retained for 3 years after

submission for final report.

**Account Identification:**

14-5241-0-2-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$82,568,177; FY 12 est \$52,095,512; and FY 13 est \$50,000,000 - Obligations by program activity.

**Range and Average of Financial Assistance:**

Range is \$0 to \$75,000 for Small Grants; over \$75,000 to \$1,000,000 for U.S. Standard Grants. Average award is approximately \$42,000 and \$710,000 for Small Grants and U.S. Standard Grants, respectively.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program received 191 project applications and funded 107 projects. Fiscal Year 2012: Program received 146 project applications and anticipates funding 106 projects. Fiscal Year 2013: Program anticipates receiving 150 project applications and funding 100 projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Standard Grants Application Instructions; Small Grants Instructions; U.S. Grant Administration Standards; 43 CFR Part 12 and 49 CFR Part 24.

**Regional or Local Office:**

See Regional Agency Offices. Regional Office or Local Office For additional program information, see Appendix IV for addresses of USFWS Regional Offices.

**Headquarters Office:**

Chief, Office Fish and Wildlife Service, Department of the Interior, Washington, DC 20240. Division of Bird Habitat Conservation, MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1784.

**Website Address:**

<http://www.fws.gov/birdhabitat/Grants/NAWCA>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.614 Coastal Wetlands Planning, Protection and Restoration Act; 15.635 Neotropical Migratory Bird Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Southern San Joaquin Valley Wetland Habitat, California This project will re-establish habitats and increase resources for populations of priority bird species. The majority of the project sites currently provide low resource values on marginal habitats for waterbirds. The partners have developed strategies to create new habitats and improve existing ones by enhancing habitat diversity, increasing water supplies and creating infrastructure that will allow for intensified habitat management. All of these benefits will develop high quality habitats for migrating, wintering and breeding waterbirds. Funding the Kern National Wildlife Refuge, Mendota Wildlife Area and nine landowner projects will allow for broad landscape-based habitat improvements on 4,189 acres of habitat to benefit migratory waterbirds and other wetland-dependent wildlife.

San Luis Valley Rio Grande Initiative, Colorado - The San Luis Valley Rio Grande Initiative III will protect and conserve vital habitat at the headwaters of the Rio Grande river corridor in the San Luis Valley. Launched in 2007, the initiative is a collaborative, community-based effort to conserve the areas riparian corridor, associated wetlands and senior water rights. This project will expand permanent land protection around core wetland conservation areas through acquisition of four river corridor conservation easements. Partners will protect 1,875 acres of private land, including 844 wetland acres, four river miles of the Rio Grande, and associated senior water rights. It will also enhance 101 acres on the Alamosa National Wildlife Refuge. Project activities will benefit breeding, migrating and wintering waterfowl, shorebirds, waterbirds and other wetland-dependent species.

Vermilion Bay Coastal Wetlands Restoration, Louisiana - The purpose of this project is to restore 7,605 acres of fresh to intermediate estuarine intertidal wetlands on private lands in coastal Louisiana. The project area contains migration and wintering habitat for priority waterfowl species, including the northern pintail, lesser and greater scaup, mottled duck and mallard, and other

priority bird species. Fiscal Year 2012: Prairies Without Borders phase 3, South Dakota - The goal of Prairies Without Borders is to use multiple NAWCA grants to protect 26,000 acres of wetlands and grasslands in the eastern areas of the Prairie Pothole Region. The long-term benefits of these actions are primarily accomplished through perpetual conservation easements and the promotion of sustainable grassland ranching. The 3,217 acres of habitat preserved by this project will provide direct benefits not only to waterfowl, but also to numerous species of shorebirds, wading birds, marsh birds, and grassland songbirds and other grassland-dependent wildlife species.

Heads of the Estuaries Partnership phase 2, Maine - The Heads of the Estuaries Partnership, a consortium of government agencies, regional conservation organizations and local land trusts, is engaged in a five-year campaign to protect 25 miles of coastline, 5,000 acres of coastal uplands and 2,500 acres of coastal wetlands along the tidal embayments stretching from the Corea Peninsula to Machias Bay in coastal Downeast Maine a region of concentrated, high-value wetland habitat for waterfowl and shorebirds. This project will permanently protect 11 parcels totaling 1,217 acres. Surveys indicate that the wetlands targeted for permanent protection provide habitat for waterfowl, and the project region provides roosting and feeding areas for tens of thousands of migrating shorebirds of at least 36 species.

Ace Basin phase 6: Edisto River Corridor, South Carolina - The purpose of the ACE Basin: Edisto River Corridor initiative is to create the largest forested wetland preserve possible (20,000 acres or more) at the Audubon Center and Sanctuary at the Francis Beidler Forest (Beidler Forest) in Four Holes Swamp, and to add substantively to the matrix of protected lands within the riparian and coastal zone of the Edisto River and the ACE Basin. Beidler Forest in Four Holes Swamp of the Edisto River Corridor is on the Ramsar List of Wetlands of International Importance and is ACE a Registered National Natural Landmark. This proposal is the sixth phase of a multi-year project to protect strategic freshwater, forested and estuarine wetlands, and associated uplands in the ACE Basin and the Edisto River corridor, and will protect 13 new tracts, totaling 2,803 new acres, including 935 acres of wetlands and 1,868 acres of upland to benefit breeding, migrating, and wintering birds. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects that will provide long-term conservation for wetlands-associated migratory birds and other wetlands-associated wildlife.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The Council selects proposals based on factors given in Section 5 of the North American Wetlands Conservation Act, results of site visits, available funds and other factors deemed important to meeting Act objectives. U.S. standard and small grant proposals are additionally evaluated against answers to Technical Assessment Questions taken from Section 5 of the Act and annually published on the web site in application instructions.

### **15.625 WILDLIFE CONSERVATION AND RESTORATION**

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Department of Transportation and Related Agencies (i.e., Commerce, Justice, and State) Appropriations Act of 2001, Public Law 106-553, Title IX, Sec. 901; 16 USC 669-669i.

#### **OBJECTIVES:**

The program provides financial assistance to States, the District of Columbia, Commonwealths, and territories under the Pittman-Robertson Wildlife Restoration Act to plan and implement projects for benefit of a diverse array of wildlife and associated habitats, including species that are not hunted or fished. It also fulfills unmet needs of wildlife within States, the District of Columbia, Commonwealths, and territories that includes wildlife education and recreation activities.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Approved activities include those, which plan, enhance, and implement programs for wildlife and their habitats, including species that are not hunted or

fished. States, the District of Columbia, Commonwealths, and territories must pass laws for the conservation of wildlife, which include a prohibition against diversion of license fees paid by hunters for purposes other than the administration of the State, the District of Columbia, Commonwealth, and territorial fish and wildlife agencies. No funds must be used for projects that oppose legal hunting. Federal share may not exceed 75 percent of total funding.

#### **Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of wildlife that includes a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency. In addition, the States, the District of Columbia, Commonwealths, and territories must have an approved comprehensive plan as described by the Appropriations Act.

#### **Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these wildlife conservation measures.)

#### **Credentials/Documentation:**

The State, the District of Columbia, Commonwealth, or territory must have an approved Comprehensive Wildlife Conservation Plan on file to receive grant funds. The Plan must consider the broad range of the State, the District of Columbia, Commonwealth, or territory agencies wildlife and associated habitats, with appropriate priority placed on those species of greatest conservation need. Each year within 60 days of the apportionment notice, States, the District of Columbia, Commonwealths, and territories must notify the Secretary of the Interior that they want to participate in the program for the year. The State, the District of Columbia, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.". This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may document initial program by submission of a satisfactory Comprehensive Wildlife Conservation Plan. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

#### **Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This program is required by statute to provide funds using a specified formula. The authorizing Appropriation Act states: (1) The Secretary of the Interior must make the following apportionment from the Wildlife Conservation and Restoration Account: (A) to the District of Columbia and to the Commonwealth of Puerto Rico, each a sum equal to not more than one-half of 1 percent thereof; (B) to the Commonwealth of the Northern Mariana Islands and the territories of American Samoa, Guam, and the U.S. Virgin Islands, each a sum equal to not more than one-fourth of 1 percent thereof; (2) (A) The Secretary of the Interior, after making the apportionment under paragraph (a), must apportion the remaining amount in the Wildlife Conservation and Restoration Account for each fiscal year among the States in the following manner: (i) one-third of which is based on the ratio to which the land area of such State bears to the total land area of all such States; and (ii) two-thirds of which is based on the ratio to which the population of such State bears to the total population of all such States. (B) The amounts apportioned under this paragraph must be adjusted equitably so that no such State shall be apportioned a sum which is less than one percent of the amount available for apportionment under this paragraph for any fiscal year or more than five percent of such amount. The State, the District of Columbia, Commonwealth, or territory must have an approved Comprehensive Wildlife Conservation Plan on file to receive grant funds. The Federal share of funded programs or projects may not exceed 75 percent. More discuss on Matching and Cost-sharing requirements can be found in 43 CFR 12.64 and 43 CFR 12.923. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

A performance report is required for each grant award annually within 90 days after the anniversary date and/or end of the grant. Cash reports are not applicable. Program will detail all performance reporting requirements, including frequency and due dates, in the notice of award letter. A SF-425, Federal Financial Report, is required for each grant award annually within 90 days after the anniversary date and/or end of the grant. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Formula Grants) FY 11 \$130,000; FY 12 est \$60,000; and FY 13 est \$60,000 - Program was funded in 2001 only. CFDA should remain active to allow Bureau to close all awards.

**Range and Average of Financial Assistance:**

Based on statutory formula - \$121,000 to \$2,425,000; \$904,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY11 the program anticipates to receive 0 applications and issue 0 awards. Fiscal Year 2012: In FY12 the program anticipates to receive 0 applications and issue 0 awards. Fiscal Year 2013: In FY13 the program anticipates to receive 0 applications and issue 0 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80; Fish and Wildlife Service Manual; Federal Aid in Fish and Wildlife Restoration Annual Report (limited number available at no cost).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Policy and Programs, 4401 North Fairfax Drive, WSFR 4020, Arlington, Virginia 22203 Phone: (703) 358-2156

**Website Address:**

<http://wsfrprograms.fws.gov>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Between 2003 and 2011 the Illinois Department of Natural Resources purchased 102 acres at Hegewisch Marsh for conservation of critical habitat for species of concern. A conservation easement in the form of a Land & Water Reserve was granted to the Illinois Nature Preserves Commission. This site provides optimum nesting habitat for the State-listed little blue heron, yellow-headed blackbird, pied-billed grebe and common moorhen along with migrating waterfowl, shorebirds and neo-tropical migrants.

In New Mexico, funds supported design and construction of a wildlife education center that utilizes existing landscape attributes to enhance conservation education opportunities. The project resulted in improved coordination and implementation of wildlife conservation education programs currently conducted by staff and local volunteers. It also facilitated coordination with local school districts to integrate wildlife education activities into their science program.

In Minnesota, funds supported acquisition of 12 tracts of wild land valued at approximately \$4,000,000. Through this grant, additional wildlife production and habitat, public hunting and trapping and other recreational uses compatible with wildlife were established. These lands are also important for conserving water, protecting unique vegetation communities, buffering encroaching development, and preserving natural beauty and open space. Lands acquired for wildlife purposes ensure the future status of wildlife populations and quality outdoor experiences. Fiscal Year 2012: Massachusetts incorporated the property into the Wildlife Management Area system through the fee purchase of 106.95 acres of important habitat. The purchase permanently protects the parcel from development, provides critical habitat for species of greatest conservation need, and protects a clearly identified, vital natural resource area. The purchase also expands compatible recreational opportunities for hunters, fishermen, naturalists, birders and anyone with an interest in the outdoors.

In the District of Columbia, a project teaches citizens the importance of backyard habitats, how citizens can develop them and how these improved sites can help provide needed habitat for wildlife (especially birds and small mammals) while enhancing peoples' properties and environments. Participants increase their knowledge and understanding of local wildlife ecology while developing 200 active backyard habitat sites to increase wildlife habitat for urban species, increase citizen awareness and knowledge of the importance of habitat and how they can take action to help provide it, and reduce the amount of fertilizer and pesticides (nonpoint source pollution) used on District lands.

In Illinois, funds result in production of 27,000,000 fish at fish hatcheries each year, which are stocked in public waters throughout the State, promoting high quality fishing in Illinois. These efforts establish sport fisheries in new waters, restore and maintain sport fisheries in existing waters, and reduce the gap between supply and demand for quality angling days in Illinois. Fiscal Year 2013: New Hampshire plans for wildlife management on public lands, develops and maintains these lands for wildlife, and provides for consumptive and non-consumptive public use of these resources on 208,400 acres of owned or leased land at 326 sites statewide. The benefits from this work include more diverse and stable wildlife populations and more, better, and safer access to wildlife related recreation in New Hampshire.

In Minnesota, funds restore, conserve, manage and enhance approximately 70,000 acres of farmland, prairie, and grassland habitats on State Wildlife Management Areas (WMAs) annually, as well as 30,000 acres of forest habitats located on State WMAs. The project also restores wetlands habitats on 200,000 acres and 1,000 existing sites on State WMAs annually. The project results in increased wildlife-dependant recreation by providing hunting opportunities, and improved wildlife habitat.

In Rhode Island, funds support construction of a building to provide conservation development activities. This building replaces the obsolete structure at Round Top WMA which was destroyed by fire in March, 2009. This building provides improved facilities for housing and repairing maintenance equipment used on Fish and Wildlife public access facilities and management areas in Northern Rhode Island.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their wildlife resources must submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

#### **15.626 ENHANCED HUNTER EDUCATION AND SAFETY PROGRAM**

##### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

##### **AUTHORIZATION:**

Pittman-Robertson Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669h-1; and 50 CFR Part 80-Administrative Requirements, Pittman-Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration Acts.

##### **OBJECTIVES:**

This program provides funds for the enhancement of hunter and archery education programs and the enhancement or construction of firearm shooting ranges and archery ranges.

##### **TYPES OF ASSISTANCE:**

Formula Grants

##### **USES AND USE RESTRICTIONS:**

This program provides funds for the enhancement of: 1. hunter education programs, hunter and sporting firearms programs, and hunter development programs; 2. interstate coordination and development of hunter education programs; 3. bow hunter and archery education, safety, and development programs; 4. construction of firearm or archery ranges; and 5. updating safety features of firearm and archery ranges. Law enforcement and public relations are not eligible under the Act. Law enforcement and public relations are not eligible under the Act.

##### **Applicant Eligibility:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of wildlife that include a prohibition against the diversion of

license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency.

##### **Beneficiary Eligibility:**

General Public (While direct participation is limited to fish and wildlife agencies, the general public will ultimately benefit from these wildlife conservation measures).

##### **Credentials/Documentation:**

States, Commonwealths, or territories must notify the Secretary the desire to participate annually. The State, Commonwealth, or territorial fish and wildlife Director must furnish a certification of the number of paid hunting-license holders. Allowable costs are determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Agencies from the 50 States, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the Fish and Wildlife Service. To be eligible, they must pass assent legislation to the provisions of the Act for the conservation of wildlife that include a prohibition against the diversion of license fees paid by hunters for any other purpose than the administration of the fish and wildlife agency. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

##### **Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

##### **Deadlines:**

Not Applicable.

##### **Range of Approval/Disapproval Time:**

Approximately 30 days.

##### **Appeals:**

Regional Directors will consider the differences of opinion about eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

##### **Renewals:**

Grantees may renew projects on an annual basis if justifiable and if funds are available.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Matching requirements are up to 25 percent of the grant. Grant funds may be disbursed to States up to 75 percent of the total cost. Grant funds may be disbursed from 75 to 100 percent of the total project costs to the Commonwealths of Puerto Rico, Northern Mariana Islands and the

territories of Guam, the U.S. Virgin Islands, and American Samoa. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Any funds not obligated within one year by a State, Commonwealth, or territorial fish and wildlife agency revert to the U.S. Fish and Wildlife Service and reapportioned to States, Commonwealths, and territories that obligated their Section 4(c) Hunter Education and Safety apportionment on eligible hunter education and safety activities. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant award annually within 90 days after the anniversary date or end date of the award. A Federal Financial Report SF 425. Recipients are responsible for monitoring performance for each award and sub-award under this program in accordance with 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5029-0-2-303.

**Obligations:**

(Formula Grants) FY 11 \$8,000,000; FY 12 est \$8,000,000; and FY 13 est \$8,000,000

**Range and Average of Financial Assistance:**

Range is \$13,300 to \$240,000; Average \$145,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: States enhanced existing shooting and archery range facilities and hunter-education, firearm safety, and archery programs. The program received approximately 55 applications and approved 55 awards. Fiscal Year 2012: States will enhance existing shooting and archery range facilities. Funds will also be utilized to enhance interstate coordination of hunter-education programs, enhance firearm and archery programs, and to update safety programs. The program anticipates receiving approximately 55 applications and approving 55 awards. Fiscal Year 2013: States typically utilize these funds to enhance existing shooting and archery range facilities. Funds can also be used for interstate coordination of hunter-education programs, to enhance firearm and archery programs, and to update safety programs. The program anticipates receiving approximately 55 applications and approving 55 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

50 CFR 80, Fish and Wildlife Service Manual, matching and cost-sharing requirements are discussed in 50 CFR 80.12, 43 CFR 12.64, and 43 CFR 12.923. Applicants can visit these regulations and guidelines at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices.

**Headquarters Office:**

Director, Policy and Programs, Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program - Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Mississippi Department of Wildlife, Fisheries and Parks worked to complete and maintain the Turcotte Shooting Range and education facility in order to promote public shooting sports and introduce hunting among youth and physically impaired persons. Advanced and regular hunter education, instructor training and public programs will be held at the facility. This project will ensure that hunting in Mississippi remains a safe and responsible recreational activity.

The Kentucky Department of Fish and Wildlife Resources certified educators and others to teach archery shooting and safety skills to 350,000 Kentucky physical education students in grades 4 through 12. The Archery in the Schools program gives many young people exposure to a sport they otherwise would not have been introduced to. This also provides an avenue for introducing Hunter Education to a non-traditional audience through activities and clubs outside the school program thus enhancing Kentucky's Hunter Education Program.

The Colorado Department of Natural Resources continued to upgrade the indoor range facility at the Northwest Facility Center located in Grand Junction. Upgrades include the following: bullet traps range lane target retriever system, ventilation system, electrical, and steel wall plating protection. The indoor shooting range will allow hunters and the shooting sports enthusiast to practice and improve their shooting skills at a supervised and safe facility. This will help ensure an enjoyable experience for all individuals interested in shooting sports. Fiscal Year 2012: The Louisiana Department of Wildlife and Fisheries will continue work at the Bodcau Shooting Range and provide additional features to improve and enhance range. The Department will also: develop the Floy McElroy Wildlife Management Area to provide hunter education instruction for the general public; and provide for shotgun shooting opportunities at the Lafourche Parish Range for the public in an area of the state where few exist. Other planned activities include: the use of enhancement funding to maintain and upgrade various shooting ranges for public recreational shooting opportunities.

The North Carolina Wildlife Resources Commission will provide an enhanced level of support and service to volunteer instructors in the Hunter Education Program which will in turn improve instructor retention rates and increase the quality of student instruction. The Commission will also continue to develop and refine an Internet Hunter Education course. Archery education, including a pilot program for youth archery in schools will be developed. Muzzleloader education, advanced wing shooting education, and tree stand safety will be added to the overall program. All of these components will contribute to increased hunter education classes offered to the public via internet and traditional classes, educate archery and muzzleloader hunters about the use of their specialized equipment and safety, educate bird hunters on bird wounding loss and how to increase their hunting skills to reduce loss, and how to use fall restraint systems for various elevated tree stand types thus reducing tree stand accidents.

The Tennessee Wildlife Resources Agency will be working on educating the public regarding deer herd health, population dynamics, and safety. The agency will be increasing the number of public hunter education programs and further developing their Scholastic Clay Target Program to provide for a safe and convenient location for participants. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding Section 10 Hunter Educational projects and activities that are eligible each year.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, Commonwealth, or territory agency having responsibility for the management of their resources must submit the projects. The State, Commonwealth's, or territory's wildlife resources must submit the projects. The State, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

**15.628 MULTISTATE CONSERVATION GRANT PROGRAM  
FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

The Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, Public Law 106-408, as amended; the Dingell-Johnson Sport Fish Restoration Act, 64 Stat. 430 as amended, 16 U.S.C. 777m and the Pittman-Robertson Wildlife Restoration Act, 50 Stat. 917 as amended, 16 U.S.C. 669h-2.

**OBJECTIVES:**

This program provides funding for sport fish and wildlife restoration projects identified by the Association of Fish and Wildlife Agencies.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project types that are generally selected for funding are education and training, data analysis and focus on the values and use of sport fish and wildlife programs and new technologies, hunting and fishing participant recruitment/retention and evaluation in restoration, recreation, enhancement, or protection of sport fish and wildlife and their habitats. For further information, please contact the Washington office. 100% of the funds are for discretionary activities.

**Applicant Eligibility:**

States, group of States, and non-governmental organizations. By October 1st of each year the Association of Fish and Wildlife Agencies (AFWA) provides the U.S. Fish and Wildlife Service a priority list of projects recommended for funding. The U.S. Fish and Wildlife Service Director may only fund project proposals on the priority list.

**Beneficiary Eligibility:**

Projects must benefit at least 26 States, a majority of States in a Region of the U.S. Fish and Wildlife Service, or a Regional association of State fish and game departments.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State, the District of Columbia, Commonwealth, or territory for more information on this process when applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use standard Federal Application and Assurances forms approved by OMB, as well as proposal formatting requirements established by the Association of Fish and Wildlife Agencies (AFWA) in their requests for Multi-State Conservation Grant project proposals. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. Specific application procedures for Nonprofits are described in 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. Specific application procedures for commercial applicants and Fish and Wildlife Service applicants are described in the FAR, Subpart 311.2, Contracts with Commercial Organizations, and 50 CFR 80. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Director of the U.S. Fish and Wildlife Service will select projects for funding from a priority list developed by the Association of Fish and Wildlife Agencies (AFWA) based on established criteria.

**Deadlines:**

Oct 01, 2012 The U.S. Fish and Wildlife Service and AFWA post a Request for Proposal (RFP) in the spring of each year at <http://www.grants.gov> and [http://www.fishwildlife.org/multistate\\_grants.html](http://www.fishwildlife.org/multistate_grants.html). Full proposals are due to AFWA in July of each year. AFWA must submit its priority list of project proposals recommended for funding to the U.S. Fish and Wildlife Service Assistant Director for Wildlife and Sport Fish Restoration Programs by October 1 of each year. The list of priority projects submitted by AFWA will be published in the Federal Register by the end of each calendar year.

**Range of Approval/Disapproval Time:**

Approximately 6 to 9 months from the deadline established by AFWA for submitting proposals.

**Appeals:**

Any differences of opinion over the eligibility of proposed activities or differences arising over the conduct of work may be appealed to the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be approved for up to three years with funding dependant on annual competition. See the following for information on how assistance is awarded/released: Program obligates funds and sends a notice of award to successful applicants. Recipients request funds in accordance with 43 CFR Part 12, unless otherwise dictated by program-specific legislation or special award terms. Program will include any special payment terms and conditions in the notice of award.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report SF 425 is required. A final performance report is due within 90 days of the end of the award period of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project for three years after submission of the final Financial Status Report. Record keeping requirements for grants to States are described in 43 CFR 12, Subpart C, and OMB Circular A-102. Record keeping requirements for grants to nonprofit organizations are described in 43 CFR 12, Subpart F, and OMB Circular A-110. For Commercial grantee and U.S. Fish and Wildlife Service grantees must use record keeping procedures described in 43 CFR 12, Subpart C, and OMB Circular A-110.

**Account Identification:**

14-8151-0-7-303; 14-5029-0-2-303.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$6,000,000; FY 12 est \$6,000,000; and FY 13 est \$6,000,000 - FY12 and FY13 amounts are estimates based on prior year funding levels only.

**Range and Average of Financial Assistance:**



Range is \$25,000 to \$500,000; Average \$140,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Each year the program receives approximately 100 applications and issues 10 to 15 awards.

Program accomplishments vary and are based upon National Conservation Needs (NCNs) which are selected by AFWAs National Grants Committee. All proposals must address at least one of the selected NCNs. Fiscal Year 2012: (anticipated): The Multistate Conservation Grant Program is a competitive program; will have similar accomplishments as those reported in FY 2010 and FY 2011. Program accomplishments for the Multistate Conservation Grant Program are based upon National Conservation Needs (NCNs) which are selected annually by the National Grants Committee. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR 12; 50 CFR 80; Sections 521, 522, and 523 of the Fish and Wildlife Service Manual.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for Regional Fish and Wildlife Service Offices.

**Headquarters Office:**

Director, Policy and Programs, Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program- Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/> or  
[http://www.fishwildlife.org/multistate\\_grants.html](http://www.fishwildlife.org/multistate_grants.html).

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Cornell University is working on a project to assess State agency capacities to manage fish and wildlife health. The goal is to identify the State agencies' primary fish and wildlife health management concerns; factors that can facilitate and inhibit the ability of agencies to address these concerns; determine which factors are currently most limiting the effectiveness of agencies at addressing fish and wildlife health concerns; and recommend strategies by which agencies can increase their capacity to address fish and wildlife health. The goal of the initiative is to enhance the capabilities of state fish and wildlife management agencies to prevent, detect, manage, research, and educate the public about disease issues.

AFWA is working on a project to: support and coordinate all the active National Fish Habitat Action Plan (NFHAP) Fish Habitat Partnerships recognized by the National Fish Habitat Board; support implementation of recommendations by the Board; support development of short and long-term strategies; support and sustain continuation of implementation of the NFHAP Science and Data Framework document; and support and increase public and stakeholder understanding and participation in NFHAP implementation. The benefits are the continued leadership and support by AFWA and state fish and wildlife agencies to successfully achieve objectives of NFHAP and the Board.

The U.S. Sportsmen's Alliance Foundation is working to address Outdoor Heritage activities. The objective is to stimulate new growth and enhance the quality in the Trailblazer Adventure Program, a nationwide outdoor education program designed to involve young people and their families, from non-traditional backgrounds, in the outdoor lifestyle of hunting, fishing and trapping. The program will occur in up to 40 states. Fiscal Year 2012: AFWA will work on a project to coordinate 2008 Farm Bill Program implementation with fish and wildlife resources needs. The objective is to optimize fish and wildlife resource benefits to the states and address issues in state, regional, and national wildlife conservation initiatives.

The American Sportfishing Association will be investigating factors related to hunting and fishing license sales to better understand the factors correlated with recent increases in hunting and fishing license sales. Increased State licenses sales provides a state and game agency with more working funds and allows the

agency to better match federal grant funds.

The National Wild Turkey Federation will continue to evaluate interest and participation in hunting, fishing, and sport shooting after participation in various recruitment and retention programs. The results will be used to determine the most effective recruitment and retention programs and programmatic elements based on participants continuing involvement. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects that address species or habitat research activities, hunting and fishing recruitment and retention information collection, aquatic or hunter educational activities, conservation planning, outreach and coordination.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be reviewed and evaluated for scope, significance, feasibility, and cost effectiveness. In addition, projects must address one or more focus areas as described in the National Conservation Needs established annually by the Association of Fish and Wildlife Agencies (AFWA).

**15.629 GREAT APES CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Great Ape Conservation Act of 2000, Public Law 106-411, 16 U.S.C. 6301. Tylersville Fish Hatchery Conveyance, Public Law 109-363.

**OBJECTIVES:**

To provide financial assistance for projects for the effective long-term conservation of great apes and their habitats. This program supports projects that focus on one or more of the following areas: applied research on ape populations and their habitats, including surveys and monitoring; development and execution of ape conservation management plans; compliance with applicable treaties and laws that prohibit or regulate the taking or trade of ape or regulate the use and management of ape habitat; conservation education and community outreach; enhanced protection of at-risk ape populations; efforts to decrease human-ape conflicts; habitat conservation and management; protected area/reserve management in important ape range; strengthening local capacity to implement conservation programs; transfrontier ape conservation; and wildlife inspection, law enforcement, and forensics skills.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project work should occur within the ape range, or, if work is to be conducted outside of the range, the proposal should show a clear relevance to ape conservation. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training Federal Government personnel. 100%.

**Applicant Eligibility:**

Applicants may be submitted by any government agency responsible for conservation and protection of apes and any other organization or individual with demonstrated experience in ape conservation.

**Beneficiary Eligibility:**

Any government agency responsible for conservation and protection of apes and any other organization or individual with demonstrated experience in ape conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Notice of Funding Availability and Application Instructions are located on this program's website at [http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA\\_GA12.pdf](http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA_GA12.pdf). If you are unable to access the Internet, hard copies are available upon request from the Branch of Near East, South Asia and Africa, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance."

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria contained in the Great Ape Conservation Act (16 USC 6301 et seq.). Review criteria can be found in the application information at <http://www.fws.gov/international/dic/howtoapply.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is executed by an FWS approving official. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Apr 01, 2011 This program has two annual deadlines. The first deadline is November 1 each year. The second deadline is April 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals will be made within 180 days after the receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: To the extent possible, grant funds are matched by nonfederal funds. This program has no statutory formula. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. Maintenance of Effort is not required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the performance period that is approved for each Assistance Award, and in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found on the Assistance Award Guidelines available at <http://www.fws.gov/international/dic/pdf/NOFA-AAG/AAG.pdf>. For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report Standard Form 425. Domestic recipients with program income to report shall use Standard Form 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period

any describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$3,859,265; FY 12 est \$2,500,000; and FY 13 est \$1,950,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Generally \$50,000 or less. Higher amounts may be requested.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Received 104 applications; issued 52 awards. Fiscal Year 2012: Program anticipates receiving 100 applications and issuing 50 awards. Fiscal Year 2013: Program anticipates receiving applications and issuing awards similar in scope to FY 2011 and FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf> or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Department of the Interior, Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: [MSCF\\_GreatApe@fws.gov](mailto:MSCF_GreatApe@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

[http://www.fws.gov/international/dic/species/great\\_apes/great\\_apes.html](http://www.fws.gov/international/dic/species/great_apes/great_apes.html)

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.620 African Elephant Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.645 Marine Turtle Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The program supported 1) Improving the evaluation capacity of Cross River gorilla conservation efforts by exploring the feasibility of using detection dogs both for fecal collection and to identify illegal bushmeat at Douala international airport; 2) Developing a unified conservation strategy to implement a landscape approach to conserving great apes, elephants, and other wildlife in the Ndoki Landscape of the Republic of Congo; 3) Building the capacity of organizations concerned with the conservation of great apes to address and better integrate poverty alleviation into their implementation strategies. The grantee will organize a workshop in Indonesia that brings

together conservation practitioners from Asia and Africa to exchange experience on linking ape conservation with poverty alleviation. The project will also explore collating a set of Best Practice Guidelines for publication by the Primate Specialist Group of IUCN. Other funded projects are available through the programs website at

[http://www.fws.gov/international/DIC/pdf/GreatApe\\_PS\\_FY11.pdf](http://www.fws.gov/international/DIC/pdf/GreatApe_PS_FY11.pdf). Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are effective for long-term conservation of Great Apes, and those that are similar in scope to FY 2011. Fiscal Year 2013: Program anticipates funding projects that are effective for long-term conservation of Great Apes, and those that are similar in scope to FY 2012.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Great Ape Conservation Fund (16 U.S.C. 6301 et seq.). Additional details on the selection criteria can be found in the Great Ape Notice of Funding Availability and Application Instructions found on our website at <http://www.fws.gov/international/DIC/howtoapply.html>. Hard copies are available upon request from the Division of International Conservation at (703)358-1754.

### **15.630 COASTAL PROGRAM**

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Fish and Wildlife Act of 1956, 16 U.S.C. 742a-c, 747e-742j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661 667(e).

#### **OBJECTIVES:**

To provide technical and financial assistance via partnerships to identify, protect, and restore or improve habitats in priority coastal areas for fish and wildlife.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

Funds are used for habitat assessments, planning, and coastal habitat protection and restoration on public or private lands. The Coastal Program is geographically limited to 24 high priority areas. These are Gulf of Maine, Southern New England/New York Bight, Delaware Bay, Chesapeake Bay, Albemarle/Pamlico Sound, South Carolina Coast, South Florida/Everglades, Panama City, Florida, Florida Tampa Bay, the Caribbean, Gulf of Mexico, Texas Coast (Upper), Texas Coast (Southern), Great Lakes (Northern), Great Lakes (Southern), San Diego Bay, San Francisco Bay, Humboldt Bay, Central California Coast, Oregon Coast, Puget Sound, Alaska (South East), Alaska (South Central), and the Pacific Islands. Coastal Program funds may not be used to acquire property or support program administrative costs. No fixed percentage established by law or regulation.

#### **Applicant Eligibility:**

Federal, State, interstate and intrastate agencies; local and tribal governments; public nonprofit institutes and organizations (such as conservation organizations, watershed councils, land trusts, schools and institutions of higher learning); U.S. territories and possessions; private landowners including individuals and businesses.

#### **Beneficiary Eligibility:**

Federal, State, interstate and intrastate agencies; local and tribal governments; public nonprofit institutes and organizations (such as conservation organizations, watershed councils, land trusts, schools and institutions of higher learning); U.S. territories and possessions; private landowners including individuals and businesses.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the local Coastal Program Coordinator regarding potential projects and application requirements. Program contact information can be found at <http://www.fws.gov/coastal>.

#### **Award Procedure:**

After a project has been designed and the cost calculated, the local Coastal Program coordinator will be able to inform the respective cooperator(s) whether or not the Service will provide financial assistance. When the cooperator has signed a cooperative agreement work can begin on the project. The Service reimburses the landowner after the project is completed.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

None. However, project partners may request additional projects on their lands.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Projects normally funded through annual segments. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients must submit a final performance report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will specify all performance reporting requirements in the cooperative agreement and/or the notice of award letter. Recipients must report expenditures using the SF 425, Federal Financial Report form. Recipients must submit a final report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will specify all financial reporting requirements in the cooperative agreement and/or notice of award letter. Recipients are responsible for monitoring performance for each award and sub-award under this program in accordance with 43 CFR Part 12.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Accomplishments are recorded for each project in the Habitat Information Tracking System (HabITS). HabITS tracks habitat improvement accomplishments and program-specific technical assistance workloads associated with the Coastal Program and Partners for Fish and Wildlife Program.

#### **Account Identification:**

14-1611-0-1-302.

#### **Obligations:**

(Project Grants (Discretionary)) FY 11 \$6,000,000; FY 12 est \$6,000,000; and

FY 13 est \$6,000,000

**Range and Average of Financial Assistance:**

Range is \$5,000 to \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: River/stream/shoreline miles restored or protected=27; wetland acres protected, or restored =10,800; upland acres protected or restored =8,900. Fiscal Year 2012: No current data available. The Program estimates that it will initiate 40 projects in FY12. Fiscal Year 2013: No current data available. The Program estimates that it will initiate 40 projects in FY13.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See <http://www.fws.gov/coastal> for contact information and addresses.

**Headquarters Office:**

Director, U.S. Fish and Wildlife Service, Division of Habitat Resource Conservation, Branch of Habitat Restoration, 4401 N. Fairfax Drive, Suite 750, Arlington, Virginia 22203 Phone: (703) 358-2232.

**Website Address:**

<http://www.fws.gov/coastal>.

**RELATED PROGRAMS:**

15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Living Shorelines Project, Mobile, AL The Coastal Program worked with a diversity of partners to restore 2.3 acres of highly degraded Gulf coastal habitat that was severely impacted by Hurricane Katrina and the Deepwater Horizon oil spill. By creating an oyster reef living shoreline, the project will reduce coastal erosion and protect coastal marsh habitat for migratory birds and support the fishery stocks of crabs, finfish, oysters and shrimp.

Saw Mill Branch Wetland Restoration, Kent County, DE The Coastal Program partnered with a private landowner to restore 4.6 acres of non-tidal wetland habitat adjacent to the Cedar Swamp Wildlife Management Area and Bombay Hook National Wildlife Refuge. The Coastal Program handled the site survey and design work, project planning, purchase of plant materials, supervision of volunteers and tree-planting crew, and oversight of earth-moving work. The project was completed in partnership with Kent, Delaware Conservation District.

Laguna Creek Habitat Restoration Project- Santa Cruz County, CA The Coastal Program provided financial and technical assistance to Santa Cruz County Resource Conservation District to restore a 1.0-acre site in the Laguna Creek floodplain for the benefit of threatened and endangered species including coho salmon (*Oncorhynchus kisutch*), Southern California steelhead (*Oncorhynchus mykiss*), and California red-legged frog (*Rana draytonii*). Fiscal Year 2012: Mottled Duck Habitat Enhancement, Brazoria and Matagorda Counties, TX The Coastal Program supported the restoration and enhancement of 300 acres of coastal wetland habitat near two National Wildlife Refuges. This project restored tidal bayou hydrology to manage water levels and the salinity for a variety of shore and wading birds. Fiscal Year 2013: The Coastal Program has not yet selected projects to support. The Program anticipates funding projects that help protect and restore fish and wildlife habitat such as coastal wetlands and watersheds that benefit Federal trust species.

**CRITERIA FOR SELECTING PROPOSALS:**

All projects must benefit Federal trust species and be cost effective. Project selection occurs at the field level. See the annual "Notice of Availability of Federal Assistance" in <http://grants.gov> for more details.

**15.631 PARTNERS FOR FISH AND WILDLIFE**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774; Fish and Wildlife Act of 1956; 16 U.S.C. 742a-c, 742e-j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e).

**OBJECTIVES:**

Provide technical and financial assistance to private landowners and Native American Tribes interested in voluntarily restoring or otherwise improving native habitats for fish and wildlife on their lands.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Assistance provided to private landowners (defined to include individuals, local governments, non-governmental organizations) and Native American Tribes. Program goal is to achieve a 50 percent cost share on projects with matching funds and in-kind contributions provided by the landowners and other partners. Projects must be located on private lands. The term private land is defined in the Act as any land that is not owned by the Federal Government or a State. It also includes tribal land and Hawaiian homeland. Projects must have a minimum duration of 10 years. Program funds may not be used for land acquisition or to support routine maintenance and management activities. No fixed percentage established by law or regulation.

**Applicant Eligibility:**

Private landowners, tribal governments, local and state governments, educational and non-profit institutions and organizations are eligible for financial and technical assistance from Partners for Fish and Wildlife Program. Projects must be located on private lands. Private land is defined by the Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774, as any land that is not owned by the Federal Government or a State. Private land includes tribal land and Hawaiian homeland.

**Beneficiary Eligibility:**

Private landowners, tribal governments, local and state governments, educational and non-profit institutions and organizations are eligible for financial and technical assistance from Partners for Fish and Wildlife Program. Projects must be located on private lands. Private land is defined by the Partners for Fish and Wildlife Act of 2006, 16 U.S.C. 3771-3774, as any land that is not owned by the Federal Government or a State. Private land includes tribal land and Hawaiian homeland.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The local Partners for Fish and Wildlife Program Coordinator works with the applicant and makes a site visit to design a project that will benefit Federal trust resources and is acceptable for the landowner's needs. Contact the appropriate Partners for Fish and Wildlife Program Office for application procedures. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF424A and SF 424B - Non-construction; or SF 424C and SF 424D - Construction) Information is also available at <http://www.grants.gov>.

**Award Procedure:**

After a project has been designed and the cost calculated, the local Partners Program coordinator will be able to inform the private landowner whether or not the Service will provide cost-share assistance. When the landowner has signed a cooperative agreement (a minimum of 10 years) work can begin on the project. The Service reimburses the landowner after the project is completed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

None. Private land owners may request additional projects on their lands.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The Program goal is to obtain a 50 percent match of Federal monies by partnering with landowners, local community groups and other local and national conservation organizations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cost-share is a one time event that occurs after project construction. See the following for information on how assistance is awarded/released: Program obligates funds and sends a notice of award to successful applicants. Recipients request funds in accordance with 43 CFR Part 12, unless otherwise dictated by program-specific legislation or special award terms. Program will include any special payment terms and conditions in the notice of award.

**Reports:**

No program reports are required. No cash reports are required. Recipients must submit a final performance report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all performance reporting requirements, including frequency and due dates, in the notice of award letter. Recipients must report expenditures using the SF 425, Federal Financial Report form. Recipients must submit a final report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all financial reporting requirements, including frequency and due dates, in the notice of award letter. Recipients are responsible for monitoring performance for each award and sub-award under this program in accordance with 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Accomplishments are recorded for each project in the Habitat Information Tracking System (HabITS). HabITS tracks habitat improvement accomplishments and program-specific technical assistance workloads associated with the Coastal Program and Partners for Fish and Wildlife Program.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$22,000,000; FY 12 est \$22,000,000; and FY 13 est \$0 - Figures are estimated not actual.

**Range and Average of Financial Assistance:**

Cost-share range per project is from \$200 to \$25,000. The average cost per project is \$5,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: River/stream/shoreline miles restored = 700; wetland acres restored = 43,000; upland acres protected or restored = 184,000; fish barriers removed/installed = 129. Fiscal Year 2012: In FY12, the program anticipates initiating 100 new projects. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information about Program policy and guidelines see the Partners for Fish

and Wildlife Program Management Policy in the Fish and Wildlife Service Manual, 640 FW1 (at <http://www.fws.gov/policy/640fw1.html>).

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Visit <http://www.fws.gov/partners> for contact information.

**Headquarters Office:**

Director, U.S. Fish and Wildlife Service, Division of Habitat and Resource Conservation, Branch of Habitat Restoration, 4401 N. Fairfax Drive, MS 730, Arlington, Virginia 22203 Phone: (703) 358-2201. Fax: (703)358-2232

**Website Address:**

<http://www.fws.gov/partners>.

**RELATED PROGRAMS:**

15.630 Coastal Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Hot Springs Creek Restoration and Enhancement Project, Saguache County, CO The project involved the enhancement of 1.5 miles of a perennial flowing creek and the creation of new meandering channel reaches, for the benefit of the Rio Grande Chub. Grazing restrictions will be implemented throughout the duration of the agreement. The creek will receive top priority for introduction of the Colorado State Endangered Rio Grande Sucker.

Hatch Ranch, Sacramento, CA The Partners for Fish and Wildlife Program, partnering with the NRCS and private landowners, restored permanent wetlands, native shrubs and perennial native grass uplands on 3 acres of fallow agricultural lands. This project will benefit the locally nesting waterfowl, Federally threatened giant garter snake and a host of state and federal species of concern.

Citizen Weed Warriors, Anchorage, AK The Partners for Fish and Wildlife Program developed a community-based program that works to control invasive plant species that are invading upland, riparian, and wetland habitats and degrading important Salmon runs. The PFW Program provided technical expertise and funding, the City provided the tools, and conservation organizations provided publicity and volunteers. Fiscal Year 2012: The Program has not yet selected projects to support. The Program anticipates funding projects that help protect and restore fish and wildlife habitats that benefit Federal trust species. Fiscal Year 2013: The Program has not yet selected projects to support. The Program anticipates funding projects that help protect and restore fish and wildlife habitats that benefit Federal trust species.

**CRITERIA FOR SELECTING PROPOSALS:**

All projects must benefit Federal trust species, involve on-the-ground habitat restoration, and be cost-effective. Specific criteria for reviewing and ranking projects were established in the national Partners policy, at <http://www.fws.gov/policy/640fw1.html>. The program gives high priority to proposed projects that benefit the National Wildlife Refuge System, species at risk, conserve globally or nationally imperiled habitats; and reduce habitat fragmentation. Also take a look at the annual Notice of Availability of Federal Assistance referenced in <http://grants.gov>.

**15.633 LANDOWNER INCENTIVE PROGRAM**

(LIP)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2006, Public Law 109-148; Title I; Land and Water Conservation Fund Act of 1965; 16 U.S.C. 4601-4 through 11. , Public Law 109-148, 16 U.S.C 4601-4 through 11.

**OBJECTIVES:**

This program establishes or supplements existing landowner incentive programs that provide technical or financial assistance. This includes habitat protection and restoration; to assist private landowners in protecting and managing habitats to benefit federally listed, proposed, or candidate species, or

other at-risk species; and to encourage States, the District of Columbia, Commonwealths, or territories to enhance private landowner conservation.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Tier 1 projects provide the States, the District of Columbia, Commonwealths, or territories to support development of a new program, or to enhance an existing landowner incentive program, through administration, development of plans, outreach, and other associated activities that assist in the accomplishment of projects on private lands. Tier 2 projects should place a priority on the implementation of State, the District of Columbia, Commonwealth, or territorial programs that provide technical and financial assistance to private landowners for the protection and restoration of habitats that benefit federally listed, proposed, or candidate species, or other species-at-risk.

**Applicant Eligibility:**

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service.

**Beneficiary Eligibility:**

Private landowners and the public (While direct participation is limited to State, the District of Columbia, Commonwealth, or territorial fish and wildlife agencies, private landowners will directly benefit from financial and technical assistance and the public will ultimately benefit from these wildlife conservation measures implemented on private lands).

**Credentials/Documentation:**

Only that agency that has lead management responsibility for fish and wildlife resources within the State, the District of Columbia, Commonwealth, or territory may apply for these grants. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or his designee approves or disapproves proposed grants. Regional Offices are responsible for notification of grant approval to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will receive notification of approval/disapproval within approximately 60 working days after proposal due date.

**Appeals:**

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Revenues collected from the Outer Continental Shelf Oil and Gas Royalties are deposited into the Land and Water Conservation Fund and appropriated annually by Congress for the program. These funds are awarded to fish and wildlife agencies based on a two-tiered award system. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annual awards. See the following for information on how assistance is awarded/released: Program obligates funds and sends a notice of award to successful applicants. Recipients request funds in accordance with 43 CFR Part 12, unless otherwise dictated by program-specific legislation or special award terms. Program will include any special payment terms and conditions in the notice of award.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Program Report is required for each grant annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report (SF-425) is required for each grant annually within 90 days after the anniversary date or end of the grant. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-5496-0-2-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$7,408,652; FY 12 est \$7,500,000; and FY 13 est \$7,500,000 - Program was last funded in 2007. No new funding for this program is expected. CFDA should remain active through FY13 to allow Bureau to close all currently open awards and report any associated amendments to government-wide systems that require the identification of an active CFDA number as a key reporting element.

**Range and Average of Financial Assistance:**

Funds are available until expended.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Habitat restoration and improvement work was conducted on 154,800 acres. Over 10,000 acres of land was protected through agreements with landowners. Over 80 miles of shoreline habitat was improved, and 22 species population improvement projects were conducted. Technical assistance in wildlife management was provided to over 350 landowners, with over 200 having executed agreements for habitat protection or restoration work on their property. The program received 0 applications and issued 0 awards. Fiscal Year 2012: Habitat improvement, restoration, land protection, and technical guidance activities will continue. The program anticipates receiving 0 applications and issuing 0 awards. Fiscal Year 2013: Habitat improvement, restoration, land protection, and technical guidance activities will continue. The program anticipates receiving 0 applications and issuing 0 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Act, 2006, Public Law 109-148, Title I, language on Landowner Incentive Program, and 43 CFR 12.

**Regional or Local Office:**

See Regional Agency Offices. Region 1 U.S. Fish and Wildlife Service  
Native American Liaison  
Eastside Federal Complex  
911 NE 11th Avenue  
Portland, OR 97232-4181

Region 2 U.S. Fish and Wildlife Service  
Native American Liaison  
500 Gold Avenue, SW  
P.O. Box 1306  
Albuquerque, NM 87103-1306

Region 3 U.S. Fish and Wildlife Service  
Native American Liaison  
1 Federal Drive  
Fort Snelling, MN 55111-4080

Region 4 U.S. Fish and Wildlife Service  
Native American Liaison  
1875 Century Boulevard  
Atlanta, GA 30345

Region 5 U.S. Fish and Wildlife Service  
Native American Liaison  
300 Westgate Center Drive, Hadley, MA 01035-9589

Region 6 U.S. Fish and Wildlife Service  
Native American Liaison  
P.O. Box 25486  
Denver, CO 80225

Region 7 U.S. Fish and Wildlife Service  
Native American Liaison  
1011 East Tudor Road  
Anchorage, AK 99503-6199

Region 8 U.S. Fish and Wildlife Service  
Tribal Partnerships Specialist  
Habitat Restoration Division  
2800 Cottage Way, Rm W-2606  
Sacramento, CA 95825.

**Headquarters Office:**

Wildlife and Sport Fish Restoration Program Policy and Programs, 4401 North Fairfax Drive, WSFR 4020, , Arlington, Virginia 22203 Phone: (703) 358-2156

**Website Address:**

<http://wsfrprograms.fws.gov>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund; 15.634 State Wildlife Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Hawaii funded 15 separate projects involving fence construction and forest restoration, watershed protection/restoration through control of ungulates and exotic invasive species, dryland forest restoration, control of alien weeds, nene reintroduction, and rare plant reintroduction and management. The projects will benefit listed species and critical habitat, as well as proposed, candidate, and species of special concern that occur primarily on private lands, thereby significantly augmenting restoration and recovery activities being conducted on State lands.

In Oregon, a joint project involving the Oregon Department of Fish and Wildlife resulted in successful reintroduction and recovery of salmonids in the Malheur River and Logan Valley Wildlife Mitigation Projects. The project restored fish passage connectivity on the Malheur River through bypassing of an irrigation diversion dam. Other results included elimination of fish loss on 11.4 miles of irrigation ditches.

In Nevada, the Duckwater Shoshone Tribe implemented desert spring and stream habitat restoration to directly benefit the Railroad Valley springfish, endemic aquatic invertebrates, migratory waterfowl, and riparian bird species. Habitat restoration at Little Warm Spring accomplished the objective of recovering and restoring Railroad Valley springfish to historic habitat. The Tribe also educated tribal members and visitors about tribal culture and the threatened species found on tribal lands. Fiscal Year 2012: : Kansas Department of Wildlife and Parks used funds to restore, protect, and enhance 5000 acres of upland habitat, 500 acres of wetland, and 200 miles of stream/riparian habitat to benefit targeted at-risk species. Implementation of this objective will be based on issues and concerns identified in Kansas' Comprehensive Wildlife Conservation Strategy.

In Alabama, funds established the Middle Tennessee River Habitat Restoration Initiative to expand protection and restoration efforts on private lands with an emphasis on 48 species of special concern. The project improved approximately 14 miles of streamside habitat and 170 acres of streamside buffer. Gates and fences were installed on selected cave habitat for bat species of conservation concern. This effort continues the community-based approach to education of landowners and other stakeholders on land use practices that benefit protected species and their habitat.

North Carolina provided financial assistance to private landowners who are undertaking management actions to restore or enhance Red-cockaded woodpecker habitat under the Safe Harbor Program. This project also provides assistance for restoration or enhancement of longleaf pine ecosystem subtypes, or associated wetland communities, harboring other species at risk in addition to the targeted woodpeckers. Fiscal Year 2013: In New Hampshire, funds will help develop a program to assist private landowners in protecting and managing at-risk species and their habitats. The program will also identify quantifiable outcomes that can evaluate progress in restoring and conserving habitats and viable populations of species at risk on private lands. The expected benefits of this grant are improved conditions for at-risk species on private lands throughout state and expanded partnerships with private landowners in conserving these species.

In Virginia, program funds provide, via technical assistance, private landowners and partners with information and techniques necessary to restore, protect, enhance, and manage important habitats on their properties resulting in significant gains for species recovery and conservation. Virginia expects that implementing this grant will result in improved and protected habitat for at least 100 at-risk species and improved water quality in at least five of the major river systems (Upper Tennessee, New, Roanoke, James and Shenandoah) of Virginia.

In Utah, funds protect species of greatest conservation need in Cache, Juab, and Sanpete counties through acquisition of conservation easements including: Green Canyon (Cache County) - 434 acres for Bonneville cutthroat trout and sharp-tailed grouse; Crawford, Sanpete County - 75 acres for Columbia spotted frog and southern leatherside chub; Graham, Sanpete County - 20 acres for Columbia spotted frog and southern leatherside chub; Turpin, Sanpete County - 100 acres for Columbia spotted frog and southern leatherside chub; and Mills Valley, Juab County - 110 acres for least chub.

**CRITERIA FOR SELECTING PROPOSALS:**

The State, the District of Columbia, Commonwealth, or territorial agency having lead responsibility for the management of their fish and wildlife resources must submit the projects. The State, the District of Columbia, Commonwealth, or territorial agency selects those projects submitted for funding under the program. If approved, projects must meet the basic criteria outlined in the regulations and the Fish and Wildlife Service Manual.

## 15.634 STATE WILDLIFE GRANTS

(SWG)

### FEDERAL AGENCY:

Fish and Wildlife Service, Department of the Interior

### AUTHORIZATION:

Consolidated Appropriations Act of 2012, PL 112-74. , Public Law -.

### OBJECTIVES:

This program funds the development and implementation of projects for the benefit of fish and wildlife and their habitats, including species that are not hunted or fished. Priority is placed on projects that benefit species of greatest conservation concern.

### TYPES OF ASSISTANCE:

FORMULA GRANTS; Project Grants (Discretionary)

### USES AND USE RESTRICTIONS:

Approved activities include those, which develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished. Approximately 10% of funds are set aside for discretionary project grants.

### Applicant Eligibility:

Agencies from the 50 States, the District of Columbia, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of Guam, the U.S. Virgin Islands, and American Samoa with primary responsibility for fish and wildlife conservation may submit grant proposals to the U.S. Fish and Wildlife Service if they maintain a current, Service-approved Comprehensive Wildlife Conservation Plan (also known as a State Wildlife Action Plan).

### Beneficiary Eligibility:

General Public (While direct participation is limited to fish and wildlife agencies, the public will ultimately benefit from these wildlife conservation measures.).

### Credentials/Documentation:

The State, District of Columbia, Commonwealth, or territory must have a Service-approved Comprehensive Wildlife Conservation Strategy (also known as a State Wildlife Action Plan) on file to receive grant funds. The Plan must consider the broad range of the State, the District of Columbia, Commonwealth, or territory agencies' wildlife and associated habitats, with appropriate priority placed on those species of greatest conservation need. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D construction). In addition, applicants will submit a grant proposal that includes a narrative statement describing the need, objectives, benefits, approach, and estimated cost for the proposed grant along with the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and the Fish and Wildlife Service Manual. For further instructions and forms go to <http://wsfrprograms.fws.gov/subpages/toolkitfiles/toolkit.pdf> or [www.grants.gov](http://www.grants.gov). Grant proposals must clearly indicate how the proposed objectives address the conservation needs identified within the State's, the District of Columbia's, Commonwealths or territory's Comprehensive Wildlife Conservation Plan.

### Award Procedure:

SWG-Formula: The Regional Director of the U.S. Fish and Wildlife Service or

his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee.

SWG-Competitive: The Director of the U.S. Fish and Wildlife Service or his or her designee approves or disapproves proposed projects, based on an objective scoring and ranking procedure as outlined in the Application Instructions, available at [Grants.gov](http://Grants.gov).

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

SWG-Formula: Approximately 30-60 days. SWG-Competitive: Approximately 120 days.

### Appeals:

Regional Directors will consider differences of opinion concerning the eligibility of proposals. Final determination rests with the Director of the U.S. Fish and Wildlife Service.

### Renewals:

SWG-Formula: Grantees may renew projects on an annual basis if justifiable and if funds are available. SWG-Competitive: Not applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

Matching Requirements: SWG-Formula: Planning grants require 25% matching; federal share not to exceed 75% of total costs. Implementation grants require 35% matching; federal share not to exceed 65% of total costs. SWG-Competitive: Grants require 25% matching; federal share not to exceed 75% of total costs. The Department of the Interior and Related Agencies Appropriations Act of 2009, Public Law 111-88 requires that the Secretary of the Interior shall, after deducting administrative expenses and an annually-designated amount for Tribal grants, apportion the remaining amount in the following manner: (A) to the District of Columbia and to the Commonwealth of Puerto Rico, each a sum equal to not more than one-half of 1 percent thereof; and (B) to the territories of American Samoa, Guam, the Commonwealth of Virgin Islands, and the Commonwealth of Northern Mariana Islands, each a sum equal to not more than one-fourth of one percent thereof. (2) The Secretary must apportion the remaining amount in the following manner: (A) one-third of which is based on the ratio to which the land area of such State bears to the total land area of all such States; and (B) two-thirds of which is based on the ratio to which the population of such State bears to the total population of all such States. The amounts apportioned under this paragraph must be adjusted equitably so that no State must be apportioned a sum which is less than 1 percent of the amount available for apportionment under this paragraph for any fiscal year or more than 5 percent of such amount. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Apportioned funds are available for obligation by the State, the District of Columbia, Commonwealth, or territory for a period of two years. Reimbursements can be requested on a continuing basis as expenditures are verified. Balances remaining unobligated after the period of availability or unspent after the final grant closeout must return to the U.S. Fish and Wildlife Service for reapportionment. See the following for information on how assistance is awarded/released: Apportioned and project funds are available for obligation by the State, the District of Columbia, Commonwealth, or territory for a period of two years. Balances remaining unobligated after the period of availability or unspent after the final grant closeout must return to the U.S. Fish and Wildlife Service for reapportionment.

### Reports:

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant award annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report SF 425 is required for each grant award annually within 90 days after the anniversary date or end of the grant. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June



27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant. Records, accounts, and supporting documents must be retained for three years after submission of the final Financial Status Report.

**Account Identification:**

14-1694-0-1-302.

**Obligations:**

(Formula Grants) FY 11 \$48,000,000; FY 12 est \$49,000,000; and FY 13 est \$49,000,000. (Project Grants (Discretionary)) FY 11 \$4,990,000; FY 12 est \$5,700,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

Range is \$155,000 to \$3,104,000; Average \$1,109,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: States improved 375,000 acres of wildlife habitat and acquired 14,000 acres to protect species of greatest conservation need. The program received 19 applications and issued six awards. Fiscal Year 2012: (anticipated) States will improve 385,000 acres of wildlife habitat and acquire 15,000 acres to protect species of greatest conservation need. The program received 16 applications and expects to issue 5 to 7 awards. Fiscal Year 2013: States will improve over 300,000 acres of wildlife habitat and acquire over 10,000 acres to protect species of greatest conservation need. Program expects to receive 15 to 20 applications and issue approximately 5 to 7 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior and Related Agencies Appropriations Act of 2009, Public Law 111-88 language on State Wildlife Grants, and 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices.

**Headquarters Office:**

Director, Policy and Programs, Fish and Wildlife Service, Division Wildlife and Sport Fish Restoration Program - Branch of Policy and Programs, 4401 North Fairfax Drive, WSFR-4020, Arlington, Virginia 22203 Phone: (703) 358-2156.

**Website Address:**

<http://wsfrprograms.fws.gov/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Developed a comprehensive western pond turtle conservation strategy for California. This strategy would be peer reviewed and issued as a USDA Forest Service Pacific Southwest research report to CDFG, and is intended to be published as a handbook and in a scientific journal. The conservation strategy will provide information on the distribution, status, ecology, and conservation/management needs for populations of this turtle. It will also identify issues and propose strategies to assist with decision-making by state and federal agencies. The project will identify conservation actions for public and private land owners, and provide standards and guidelines for conducting surveys and monitoring techniques. It will provide standards and guidelines for mitigation under California Environmental Quality Act, and will identify education needs. In Arkansas, the state fish and game agency assessed physical, chemical, and biological effects before, after, and during gas well construction in the main stem and tributaries of the South Fork of the Little Red River in Gulf Mountain Wildlife Management Area. This project helped establish a baseline for assessment of the impacts of gas exploration on Species of Greatest Conservation Need. In California, a project utilized funds to address observed decline in the California sooty grouse within the Sierra

Nevada Mountains. By gathering additional data on sooty grouse abundance in different habitats, the project produced a quantitative habitat model for this species. This model will help the state agency to streamline future sooty grouse inventories, pinpoint critical habitat, determine the impact of forest treatments on the species, and plan for future restoration of sooty grouse populations. Fiscal Year 2012: Wisconsin - Surveys and Monitoring of bat species of concern will generate critically needed baseline data that is incorporated in all White-Nose Syndrome (WNS) planning and priority work. Without information on numbers of bat populations and activity at key roosts, states will be unable to prioritize work for these species. Allocations of time and funding will not be made to protect vulnerable species or habitats if there is no documentation of the losses in a state. Project includes incorporation of technology to survey/monitor bat sites to allow more information to be obtained with less human involvement reducing disturbance and possible risk of transmission of WNS by repeat visits to priority sites to make counts and document activity. Project will document advances of the WNS outbreak allowing researchers to understand the extent of the damage and adjust sampling and other efforts accordingly. Evidence of WNS sites in a region can lead to cave closure decisions that may have immediate bearing on the protection of bat species in nearby sites.

In Florida, a multi-objective project was supported with SWG funds, focusing on helping to plan for and adapt to potential sea-level rise associated with climate change. The project includes research, species status, management, and restoration projects focusing on priorities identified in Florida's Wildlife Action Plan. Highlights of this project include: predicting and mitigating the effects of sea-level rise and land use changes on imperiled species and natural communities in Florida; designing, implementing, and managing freshwater restoration projects; and coral reef restoration and conservation efforts that enhance the health and resiliency of Florida's coral reef ecosystem.

In the Northern Marianas Islands, a U.S. commonwealth in the north Pacific, the local wildlife agency is implementing a project focusing on fruit bat populations on the island of Rota, as well as forest bird populations throughout the island chain. These bat and bird species will benefit through increased knowledge of the biology and abundance of these populations, providing crucial information the agency needs to implement future projects to protect and enhance populations of imperiled species in this remote island environment. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects that benefit fish and wildlife and their habitats, including species that are not hunted or fished.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must propose to implement projects or priority conservation actions that are included in the State, District, Commonwealth, or Territory Comprehensive Wildlife Conservation Strategy (also known as a State Wildlife Action Plan). For SWG-Competitive grants, the criteria are described in the Application Instructions, available at Grants.gov.

**15.635 NEOTROPICAL MIGRATORY BIRD CONSERVATION**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Neotropical Migratory Bird Conservation Act of 2000, Public Law 106-247, 16 U.S.C. 6101.

**OBJECTIVES:**

To assist in the conservation of neotropical migratory birds by providing financial resources for the projects of partnerships in countries within the ranges of neotropical migratory birds.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for approved neotropical migratory bird conservation projects. Projects must: enhance the conservation of neotropical bird species in the U.S., Canada, Latin America, or the Caribbean; ensure adequate local public participation in project development and implementation; be implemented in consultation with relevant wildlife management authorities and other appropriate government officials with jurisdiction over the resources addressed by the project; be sensitive to local historic and cultural resources and comply

with applicable laws; promote sustainable effective, long-term programs to conserve neotropical migratory birds; and other requirements the Secretary considers to be necessary. The Act requires that not less than 75 percent of the amounts made available each fiscal year shall be expended for projects outside of the U.S. Projects are approved for up to a 2-year period of time. For further information, please contact the headquarters office. 100%.

**Applicant Eligibility:**

An individual, corporation, partnership, trust, association, or other private entity; an officer, employee, agent, department, or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or of any foreign government; a State municipality, or political subdivision of a State; or any other entity subject to the jurisdiction of the United States or of any foreign country; or international organization with an interest in neotropical migratory bird conservation.

**Beneficiary Eligibility:**

An individual, profit organization, other private institution/organization, public nonprofit institution/organization, an officer, employee, agent, department, or instrumentality of the Federal Government, of any State, municipality, or political subdivision of a State, or of any foreign government; a State municipality, or political subdivision of a State; or any other entity subject to the jurisdiction of the United States or of any foreign country; or international organization with an interest in neotropical migratory bird conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF)-424, and the appropriate Budget (SF-424A and SF-424B Non-construction) and Assurances (SF-424C and SF-424D Construction) forms. Grant application, including Standard Form (SF) Application for Federal Assistance, and the appropriate Assurances forms (SF-424B and/or SF-424D), is submitted electronically to the address referenced on the website, at <http://www.fws.gov/birdhabitat/Grants/NMBCA> or through [www.grants.gov](http://www.grants.gov). Information may also be accessed through [www.grants.gov](http://www.grants.gov). If unable to access the website, request a proposal package, which includes specific requirement information, from the Chief, Division of Bird Habitat Conservation, Fish and Wildlife Service, Mail Stop MBP 4075, 4401 North Fairfax Drive, Arlington, VA 22203; Telephone: (703) 358-1784. Instructions are available in English and Spanish.

**Award Procedure:**

Proposals are reviewed by a panel of experts from the Fish and Wildlife Service and other government agencies, who make funding recommendations to the Director. After projects are selected for funding, a grant agreement between the Fish and Wildlife Service and the grantee is drafted by the Division of Bird Habitat Conservation (DBHC). The agreement is then processed by DBHC and sent to the recipient. The agreement is considered to be executed on the date of signature by the Chief of DBHC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are usually made no later than 180 days after the receipt of the project proposal.

**Appeals:**

None. Proposals not funded may be resubmitted.

**Renewals:**

Proposals are funded on a project-specific basis. Requests for future funding must compete with other requests for project funding. A grant agreement can be modified or extended at the discretion of the Division of Bird Habitat

Conservation.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching Requirements: In determining whether to accept projects for funding approval, applicants must guarantee a 3:1 match amount. That is, the applicant must match each Act dollar with 3 non-Federal dollars. Federal dollars refers to U.S. Federal dollars. Federal dollars of non-U.S. governments are eligible. In the U.S. and Canada, match must be in cash; outside of the U.S. and Canada, match may either be in cash or in-kind. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Unless the project is extended, awarded funds must be spent during the approved Period of Performance of the grant agreement, and in accordance with financial and reporting procedures specified in the grant agreement. Projects are usually two years in duration. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A performance report is required for each grant award annually, at the end of the fiscal quarter following the award anniversary date. A final performance report is due at the end of the fiscal quarter following the end of the award period of performance. Interim and final reports must be submitted in accordance with the terms and conditions of the grant agreement and must include SF-425 Federal Financial Report. Recipients must report expenditures using the SF 425, Federal Financial Report form. Recipients are responsible for monitoring and reporting performance for each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and a detailed accounting of receipts and expenditures of non-Federal matching dollars or value of services. Records, accounts, and supporting documents must be retained for 3 years after submission for final report.

**Account Identification:**

14-1696-0-0-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$4,314,731; FY 12 est \$3,672,420; and FY 13 est \$3,672,000

**Range and Average of Financial Assistance:**

Ranged from \$2,000 to \$200,000, with an average of \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program received 107 project applications and funded 34 projects. Fiscal Year 2012: Program received 88 project applications and anticipates funding 30 projects. Fiscal Year 2013: Program anticipates receiving 100 project applications and funding 30 projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NMBCA Grant Application Instructions; U.S. Grant Administration Standards (for grants within the U.S.); 43 CFR Part 12 and 49 CFR Part 24.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Department of the Interior, Fish and Wildlife Service, Division of Bird Habitat Conservation, Mail Stop MBSP 4075, 4401 N. Fairfax Drive,

Arlington, Virginia 22203 Phone: (703) 358-1784 Fax: (703) 358-2282.

**Website Address:**

<http://www.fws.gov/birdhabitat/Grants/NMBCA>.

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Conservation, Sustainability and Adaptation to Climate Change of the Pine-oak Forests of Mesoamerica - The pine-oak and dry forests have been classified as the most important ecosystems for conservation in Central America. The threat of climate change means that species geographic distributions may be shifted, re-arranging plant and animal communities and ecosystems, and disrupting birds relationships with predators, competitors, prey and parasites. This project will evaluate the effects of climate change within the pine-oak and dry forests of the region using GIS analysis and identify potential adaptation measures. The project will also continue working toward conservation, sustainable forestry management, integrated fire management and the implementation of outreach activities in three countries. Partners also plan to publish guidelines for sustainable management of the pine-oak forest.

Conservation Action for Bicknells Thrush Across its Canadian Range - Project partners will work together across the Bicknell thrushs Canadian breeding range to mitigate threats in the short-term and set the stage for long term species recovery. Primary objectives are to partner with forestry companies and relevant agencies to develop and implement best management practices on industrial forest land; and develop specific habitat and population targets for individual management jurisdictions. Regional and range-wide monitoring programs will evaluate the success of these conservation actions.

Connecting Sites and People for Buff-breasted Sandpiper Conservation in Wintering Areas -

Location: Uruguay; Brazil; Argentina - The main objective of this project is to develop partnerships and strengthen cooperation and communication to improve management of wintering habitat for buff-breasted sandpiper conservation at three key sites. Regional workshops and meetings involving landowners, authorities and technicians will help design a strategy and business plan for conserving these sites, as well as identify and share best management practices. Partners will initiate a regional species banding and monitoring program to evaluate population responses. Capacity building for management and monitoring will be provided to key stakeholders in all sites. Educational material and informative talks will be offered to local communities. Fiscal Year 2012: FY12 & FY13: Projects not yet selected. Program expects to fund 30-40 awards to support public-private partnerships carrying out projects in the United States, Canada, Latin America, and the Caribbean that promote the long-term conservation of Neotropical migratory birds and their habitats through 1) Protection and management of neotropical migratory bird populations; 2) Maintenance, management, protection, and restoration of neotropical migratory bird habitat; 3) Research and monitoring; 4) Law enforcement; and 5) Community outreach and education. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be screened and selected for funding primarily on the basis of criteria contained in 16 U.S.C. 6101. However, proposals will also be evaluated on: scope and significance of effort; importance of resource values; relationship of project to other efforts locally/regionally; and feasibility and cost-effectiveness.

**15.636 ALASKA SUBSISTENCE MANAGEMENT**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Alaska National Interest Lands Conservation Act (ANILCA) of 1980, Title VIII, Public Law 96-487, 16 U.S.C. 3101-3233, Section 809. Fish and Wildlife Coordination Act (16 U.S.C. 661 to 666).

**OBJECTIVES:**

To identify and provide information needed to sustain subsistence fisheries and wildlife management on Federal public lands, for rural Alaskans, through a multidisciplinary, collaborative program. Three programs are administered under ANILCA to fulfill this objective. The Fisheries Resource Monitoring Program (Monitoring Program) funds approximately 80 studies annually to provide information on stock status and trends, harvests, and traditional ecological knowledge to manage and regulate Federal subsistence fisheries. The Partners for Fisheries Monitoring Program (Partners Program) strengthens Alaska Native and rural involvement in subsistence fisheries management and research. The program provides funds directly to Alaska Native and rural organizations to hire fishery biologists, social scientists, and educators to implement fisheries monitoring projects and rural internship programs. The Liaison and Staff Support Grant to the State of Alaska is directed specifically to the Alaska Department of Fish and Game. The grant defrays salary and travel expenses that occur in support of the coordination between State and Federal subsistence fish and wildlife programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funds may be used for approved fish and wildlife subsistence management, fisheries monitoring and traditional ecological knowledge projects. For further information, please contact the regional office.

**Applicant Eligibility:**

An individual/family, profit organization, other private institution/organization, public nonprofit institution/organization; an officer, employee, agent, department or instrumentality of the Federal government, of the State of Alaska, municipality or political subdivision of the State of Alaska; Federally recognized Indian Tribal Government (including any Native village as defined in the Alaska Native Claims Settlement Act).

**Beneficiary Eligibility:**

An individual/Family, profit organization, other private institution/organization, public nonprofit institution/organization; an officer, employee, agent, department, or instrumentality of the Federal government, of the State of Alaska, municipality or political subdivision of the State of Alaska, or of any foreign government.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact for more information on the process. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs.". Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF)-424, the appropriate Budget and Assurances forms (SF-424A and SF-424B - Non-construction, Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying, and Certifications for Federal Assistance.

**Award Procedure:**

For the Monitoring Program, an inter-agency technical review committee evaluates proposals, and, for those selected for further consideration, subsequently the full investigation plans. The committee develops a draft monitoring program from the highest priority projects, based on their technical review and available funds. The draft monitoring plan is reviewed by ten regional advisory councils and the public. An inter-agency staff committee reviews all recommendations, and provides recommendations. The Federal Subsistence Board selects projects for the Monitoring Plan taking into account

all recommendations and comments. Funding of the Monitoring Plan is administered by the Office of Subsistence Management (OSM).

For the Partners Program, an internal review is conducted to evaluate proposals and make recommendations for funding. The evaluations are based on the criteria outlined in the request for federal assistance. The proposals are ranked and the OSM Assistant Regional Director selects proposals that best support the program within available funding. Once a Monitoring Program project or Partners Program position is selected for funding, a funding instrument, i.e., notice of award, between Fish and Wildlife Service and the recipient is drafted by the OSM. The award is processed by OSM through the contracting office and sent to the recipient for signature. The award is considered executed when signed copies of the agreement are received from the recipient and the contracting office has obligated funds to the agreement. The awards are administered by OSM. For the Liaison and Staff Support Grant, the Alaska Department of Fish and Game is the only non-Federal entity with management authority over fish and wildlife resources. This grant agreement is not open to competition outside the Alaska Department of Fish and Game.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Federal Subsistence Board action on the Monitoring Plan is taken no later than January 20, with administrative follow-up by OSM taking place immediately thereafter. OSM decisions on Partners Program positions are announced within one year of the close of the Request for Proposals.

**Appeals:**

Not Applicable.

**Renewals:**

Monitoring projects and positions may be approved for one to four years duration. Applicants may re-apply during subsequent Request for Proposals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: There is no requirement for cost sharing, matching, or cost participation. However, applicants are encouraged to document matching contributions. Proposals with substantial cost sharing will be ranked higher than similar proposals with no identified cost sharing. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For the Monitoring and Partners Programs, upon approval, the project may be extended or the agreement modified for a period not to exceed five years from initial award. Awarded funds must be spent during the approved Period of Performance of the award, and in accordance with financial and reporting procedures specified in the award. For the Liaison and Staff Support Grant, award is for one year. For the Monitoring and Partners Programs visit the website <http://alaska.fws.gov/asm/fis.cfml>. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients must submit a final performance report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all performance reporting requirements, including frequency and due dates, in the notice of award letter. Interim and final Federal Financial Reports, SF-425 are required in accordance with the terms and conditions of the award. Recipients are responsible for monitoring and reporting performance for each award and sub-award under this program in accordance with 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for cooperative agreements awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for cooperative agreements awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F and 2 CFR, Part 215 "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$3,251,000; FY 12 est \$3,570,000; and FY 13 est \$2,648,000

**Range and Average of Financial Assistance:**

Variable amounts. Fisheries Resource Monitoring Program: Awards range from \$10,000 to \$500,000 up to a 4-year period. Partners for Fisheries Monitoring Program: Awards range from \$30,000 to \$600,000 over a 4-year period. Liaison and Staff Support Grant: Awards are approximately \$420,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No new awards. 11 continued awards. Fiscal Year 2012: 21 new project grants are scheduled for award. Fiscal Year 2013: No new awards expected. 21 continued awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative agreements/project grants will be administered in conformance with the Fish and Wildlife Service Administrative Service Manual and 43 CFR 12; 2 CFR 215.

**Regional or Local Office:**

See Regional Agency Offices. For the Fisheries Monitoring and Partners for Fisheries Monitoring Programs: Kathleen Orzechowski, Program Specialist, Office of Subsistence Management, 1011 E Tudor Road, MS 121, Anchorage, Alaska 99503. Telephone: (907)786-3645, E-mail: [kathleen\\_orzechowski@fws.gov](mailto:kathleen_orzechowski@fws.gov). For the Liaison and Staff Support Grant: Chuck Ardizzone, Wildlife Biologist, Office of Subsistence Management, 1011 E Tudor Road, MS 121, Anchorage, AK 99503, Telephone: (907) 786-3871, E-mail: [chuck\\_ardizzone@fws.gov](mailto:chuck_ardizzone@fws.gov).

**Headquarters Office:**

Karie Crow, Office of Subsistence Management, 1011 E. Tudor Road, MS 121, Anchorage, Alaska 99503 Email: [karie\\_crow@fws.gov](mailto:karie_crow@fws.gov) Phone: (907) 786-3387.

**Website Address:**

<http://alaska.fws.gov/asm/index.cfml>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Harvest Monitoring and Traditional Ecological Knowledge project example: 10-151 Local Ecological Knowledge of Non-salmon Fish in the Bering Strait Region. This project addresses the Northern Regions Priority Information need regarding the Subsistence Harvest of Fish. The project will document current levels of subsistence use of non-salmon fishery resources by four Bering Strait region communities: Shishmaref, Wales, Stebbins, and Teller. Documentation of current harvest patterns and trends, as well as past harvest and use of non-salmon fish, current uses of the fish, and their importance in local subsistence economies will be examined. Additionally, the interview portion of this project will also address the Inter-Regional Priority Information need on the effects of climate change on subsistence fishery uses. Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are technically sound and gather information to manage and conserve subsistence fishery resources in Alaska. The program

also is directed at supporting meaningful involvement in fisheries management by Alaska Native and rural organizations and promoting collaboration among Federal, State, Alaska Native and local organizations. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects that are technically sound and gather information to manage and conserve subsistence fishery resources in Alaska. The program also is directed at supporting meaningful involvement in fisheries management by Alaska Native and rural organizations and promoting collaboration among Federal, State, Alaska Native and local organizations.

**CRITERIA FOR SELECTING PROPOSALS:**

For the Monitoring Program, each proposal is evaluated using the following four criteria: (1) Strategic Priorities: Studies must be responsive to identified issues and information needs. All projects must have a direct association to a Federal subsistence fishery, and either the subsistence fishery or fish stocks in question must occur in waters within or adjacent to Federal public lands; (2) Technical and Scientific Merit: Technical quality of the study design must meet accepted standards for information and collection, compilation, analysis, and reporting. Studies must have clear objectives, appropriate sampling design, correct analytical procedures, and specified progress and final reports; (3) Investigators Ability and Resources: Investigators and their organizations should have demonstrated technical and administrative expertise to complete prior studies, or have co-investigators or appropriate partnerships with other organizations to meet all requirements of the study; (4) Partnership-Capacity Building: Studies must include appropriate partners and contribute to building capacities of rural organizations, local communities, and residents to participate in fisheries resource management. Investigators and their organizations should be able to demonstrate the ability to maintain effective local relationships and a commitment to capacity building. For the Partners Program, each proposal is evaluated using the following equally weighted criteria: (1) Each project must have direct linkage to Monitoring Program projects; (2) Ability to successfully implement program identified under section IV, ii, Content and Form of Application, Describe the Program; (3) Strategic priority and past performance of the Monitoring Program projects identified in the proposal; (4) Letters of support from tribal and rural organizations, government agencies, project investigators, and schools/ universities; (5) Annual and total cost of the proposal, including use of in-kind or matching contributions that either decrease cost or expand support for implementing the Partners Program; (6) Past performance on implementing Monitoring Program projects; (7) Past performance on current or past agreements with the Office of Subsistence Management; (7) Previous experience in mentoring, training, and supervising personnel; and (8) Past and current accounting practices to ensure deliverables and accountability.

Each of these items carries a "Go/No-Go" impact: direct linkage of a Monitoring Program project, enrollment in CCR; affirming in writing in your application that you have enrolled in CCR; providing your DUNS Number; submission of completed SF-424, SF-424A, and SF-424B package; and submission of approved Indirect Cost Negotiation Agreement if requesting reimbursement for indirect costs. For the Liaison and Staff Support Grant, the Alaska Department of Fish and Game is the only non-federal entity with management authority over fish and wildlife resources. This grant agreement is not open to competition outside the Alaska Department of Fish and Game.

**15.637 MIGRATORY BIRD JOINT VENTURES**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C.661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C, 2901-2911; and Migratory Bird Treaty Act, (16U.S.C. 709a).

**OBJECTIVES:**

To protect, restore, and enhance wetland and upland ecosystems for the conservation of migratory birds.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Joint Ventures are public/private partnerships, guided by a Management Board of public/private representatives and use a U.S. Fish and Wildlife Service (USFWS) approved Implementation Plan that establishes conservation goals, priorities, and strategies. The Implementation Plan typically includes stepped down goals and objectives from a variety of national and international bird planning efforts. A Joint Venture Coordinator facilitates the coordination and implementation of the Joint Venture program. The USFWS provides basic administrative funding to the Joint Venture to cover costs associated with coordination; planning; monitoring, evaluation and applied research; communications and outreach; and project development and implementation. Joint Ventures may provide Federal assistance to partners within these categories to achieve the goals of the Joint Venture. The USFWS does not fund the entire scope of Joint Venture operations. Joint Venture partners are expected to contribute funding towards one or more of these categories. Non-federal match is not required, but leveraging USFWS dollars provided for Joint Ventures administration is a critical component of the Joint Ventures program. Varies annually.

**Applicant Eligibility:**

Federal, State and local government agencies, Federally recognized Indian Tribal governments, private nonprofit institutions/organizations; public nonprofit institutions/organizations; profit organizations, interstate and intrastate entities, and individuals or families who are also private landowners.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Applicant must participate or intend to participate in strategic conservation planning, implementation and evaluation activities designed to meet the Joint Venture objectives as identified in an approved Implementation Plan and all related plans. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Joint Venture partner/potential partner may contact Joint Venture Coordinator to discuss Joint Venture (JV) needs and objectives, or JV Coordinator may initiate the contact. Coordinators work with partners/potential partners to design projects and discuss cost-share programs/activities that will contribute to meeting Joint Venture goals. Preparation of Environmental Impact Statements is not a prerequisite for receiving Federal assistance/funding. State Plans are not required. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction)

**Award Procedure:**

Once the project is designed and either fits within an approved Implementation Plan or is reviewed and approved by a Joint Ventures Management Board, a cooperative agreement or grant agreement is written, executed, and work can begin.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

None. Partners/potential partners may request additional projects to meet Joint Venture goals and objectives.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements are normally written for a 1 to 5 year period. For project cost-share grants, a 2 year period for expenditure of funds is the norm. Payments are generally made on a quarterly basis. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed on scope of work. Written reports on completion of the project are generally required. Recipients are required to submit annual Federal Financial Report SF 425 within 90 calendar days after the grant year (i.e., 12 months after the approved effective date of the assistance agreement and every 12 months thereafter until the expiration date of the assistance agreement). A final Federal Financial Report SF 425 is required 90 calendar days after the expiration or termination of the assistance agreement. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The Recipient shall maintain a complete, detailed accounting system to report expenditures of grant funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission of the final Federal Financial Status Report (SF 425).

**Account Identification:**

14-1611-2-3-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$5,061,000; FY 12 est \$4,000,000; and FY 13 est \$4,000,000

**Range and Average of Financial Assistance:**

Range is \$2,400 to \$900,000; Average \$225,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The \$12.9 million appropriated for the North American Waterfowl Management Plan and Migratory Bird Joint Ventures was used to leverage approximately \$622 million in partner contributions to support landscape conservation planning, and habitat projects, for the benefit of migratory birds. Fiscal Year 2012: It is estimated that similar results to those achieved in FY11 will be achieved in FY12 and FY13. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fish and Wildlife Service Policy 721 FW6, Joint Venture Implementation Plans, Joint Venture Accomplishment Reports.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Joint Venture Liaison Officer, Department of the Interior, Fish and Wildlife Service, Division of Bird Habitat Conservation, Mail Stop MBSP 4075, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: DBHC@fws.gov Phone: (703 ) 358-1784 Fax: (703) 358-2282.

**Website Address:**

www.grants.gov; <http://www.fws.gov/birdhabitat/JointVentures/index.shtm>.

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.631 Partners for Fish and Wildlife; 15.635 Neotropical Migratory Bird Conservation ; 15.647 Migratory Bird Conservation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of projects funded include: sea duck migration study; a study of spring and fall migration at shorebird stop-over sites; and completion of the Ohio Breeding Bird Atlas II. Fiscal Year 2012: Projects not yet selected. Projects will support: the effective operation and implementation of joint ventures; the development of integrated migratory bird habitat landscape planning; monitoring, evaluation, and applied research; habitat conservation/protection, restoration, and enhancement; communications and outreach; and technical assistance and training for partners. Fiscal Year 2013: It is anticipated that Projects will support the effective operation and implementation of joint ventures; the development of integrated migratory bird habitat landscape planning; monitoring, evaluation, and applied research; habitat conservation/protection, restoration, and enhancement; communications and outreach; and technical assistance and training for partners.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants must be an existing or potential partner of a Joint Venture, and must agree to support Joint Venture goals and objectives. Project must fall within scope of a Management Board approved Joint Venture Implementation Plan and related conservation plans. Projects must contribute to overall Joint Venture goals and objectives. Project must be cost-effective. Projects that leverage grant funds with partner funds or in-kind services will receive preference.

**15.639 TRIBAL WILDLIFE GRANTS PROGRAM**

(TWG)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act, FY 2004, Title I, Public Law 108-108, Land and Water Conservation Fund Act of 1965, 16 U.S.C. 4601-4 through 11., Public Law 108-108, 16 U.S.C 4601-4 thru 11.

**OBJECTIVES:**

To develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Approved activities include those which develop and implement programs for the benefit of wildlife and their habitat, including species that are not hunted or fished.

**Applicant Eligibility:**

Participation is limited to Federally recognized Indian tribal governments. For the purposes of inclusion under TLIP, tribal trust lands are treated similarly to lands under private ownership.

**Beneficiary Eligibility:**

Anyone/General Public (While direct participation is limited to Federally recognized Indian tribal governments, the general public will ultimately benefit from these wildlife conservation measures).

**Credentials/Documentation:**

Only Federally recognized Tribes in all parts of the United States are eligible to receive grants under this program, including Federally recognized Tribes, Pueblos, Rancherias, and Alaska Native Villages or traditional councils as defined by the Alaska Native Claims Settlement Act. Federally recognized Tribes are listed in FR/Vol. 73, No. 66, p. 18553/April 4, 2008. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. Applicant must complete the Application for Federal Assistance SF 424, and the appropriate Budget and Assurances forms, SF 424A and SF424B - Non Construction; or SF 424C and SF 424 D - Construction. Application procedures are spelled out in the "Tribal Wildlife Grant Application Kit" available electronically at: <http://grants.fws.gov/tribal.html>. To receive a paper copy, contact the regional Office of the Native American Liaison.

**Award Procedure:**

The Director of the Fish and Wildlife Service or his or her designee approves or disapproves proposed projects. Regional offices are responsible for notification of grant approval to the grantee and will coordinate the development of the grant agreement.

**Deadlines:**

May 01, 2011 Open period is usually May 1 September 1 each year. Dates may vary slightly to avoid non-working days.

**Range of Approval/Disapproval Time:**

Proposals will be scored, ranked and selected approximately 90 working days after the deadline for submitting proposals.

**Appeals:**

Any differences of opinion over the eligibility of proposed activities or differences arising over the conduct of work may be appealed to the Director, Fish and Wildlife Service. Final determination rests with the Secretary of the Interior.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. There is no matching requirement, however, the Service will consider matching funds as an indication of tribal commitment to the program and to encourage partnerships. Matching and cost sharing requirements are discussed in 43 CFR Part 12, Section 12.64. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Apportioned funds are available for obligation by the Tribe until expended. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A Performance Report is required for each grant annually within 90 days after the anniversary date or end of the grant. A Federal Financial Report SF 425 is required for each grant annually within 90 days after the anniversary date or end of the grant. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each project. Records, accounts, and supporting documents must be retained for three years after submission of the final Federal Financial Report (SF-425).

**Account Identification:**

14-1694-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$7,000,000; FY 12 est \$4,268,000; and

FY 13 est \$4,268,000 - FY12 shows an across the board reduction applied to the State and Tribal Wildlife Grants programs and FY13 carries this base amount forward and may be subject to modification.

**Range and Average of Financial Assistance:**

Range \$0 - \$200,000; Average \$167,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 134 proposals submitted, 48 awards. Fiscal Year 2012: 101 proposals submitted, 23 awards are expected. Fiscal Year 2013: 100 -120 proposals expected, 20 -25 awards expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application Kit is located at <http://www.fws.gov/nativeamerican/>

**Regional or Local Office:**

See Regional Agency Offices. Region 1 Fish and Wildlife Service  
Native American Liaison  
Eastside Federal Complex  
911 NE 11th Avenue  
Portland, OR 97232-4181

Region 2 Fish and Wildlife Service  
Native American Liaison  
500 Gold Avenue, SW  
P.O. Box 1306  
Albuquerque, NM 87103-1306

Region 3 Fish and Wildlife Service  
Native American Liaison  
1 Federal Drive  
Fort Snelling, MN 55111-4080

Region 4 Fish and Wildlife Service  
Native American Liaison  
1875 Century Boulevard  
Atlanta, GA 30345

Region 5 Fish and Wildlife Service  
Native American Liaison  
300 Westgate Center Drive, Hadley, MA 01035-9589

Region 6 Fish and Wildlife Service  
Native American Liaison  
P.O. Box 25486  
Denver, CO 80225

Region 7 Fish and Wildlife Service  
Native American Liaison  
1011 East Tudor Road  
Anchorage, AK 99503-6199

Region 8 Fish and Wildlife Service  
Tribal Partnerships Specialist  
Habitat Restoration Division  
2800 Cottage Way, Rm W-2606  
Sacramento, CA 95825.

**Headquarters Office:**

Native American Liaison, Fish and Wildlife Service, Department of the Interior, 4401 N Fairfax Drive: Mail Stop-330 ARL, Arlington, Virginia 22203  
Phone: (202) 208-4133 Fax: (202) 501-3524.

**Website Address:**

<http://www.fws.gov/nativeamerican/>

**RELATED PROGRAMS:**

15.623 North American Wetlands Conservation Fund; 15.630 Coastal Program; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Golden Eagle Occupancy, Reintroduction, and Prey Population Assessment; Development of a Conservation Plan to Assess the

Impact of Climate Change on Nelson Island Area Wildlife through a Traditional Yup'ik Cooperative Process among Shared Subsistence Use Tribes; and Elk Management and Habitat Enhancement Program Development. Fiscal Year 2012: Wild Rice Restoration; Buffalo Preservation Project; and Salmon Habitat Enhancement. Fiscal Year 2013: Fish and wildlife habitat restoration, enhance tribal capacity to manage their fish and wildlife, develop species/habitat management plans.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria is used to select proposals: (1) Resource Benefit: What are the expected benefits to fish and wildlife resources, including species that are not hunted or fished, and their habitat if this program is successfully completed? The Service requires that the Tribe articulate how the benefits of its proposal support the goals and objectives of the TWG and Service and Tribal Performance Goals in their proposal narratives. (2) Performance Measures: To what extent does the proposal provide obtainable and quantifiable performance measures and a means to monitor, evaluate, and report on these measures compared to an initial baseline? The measures should be specific and clear, and should provide demonstrable benefits to the target species of the action. These actions must support the goals and objectives of the TWG, the Service and the Tribe. (3) Work plan: Are the program activities and objectives well-designed and achievable? (4) Budget: Are all major budget items justified in relation to the program objectives and clearly explained in the narrative description? (5) Capacity Building: To what extent does the program increase the grantee's capacity to provide for the benefit of wildlife and their habitat? (6) Contributions and Partnerships: To what extent does the applicant display commitment to the project proposal through in-kind contribution or matching funds and to what extent does it incorporate contributions from other nonfederal partners in the form of either cash or in-kind services?.

**15.640 WILDLIFE WITHOUT BORDERS- LATIN AMERICA AND THE CARIBBEAN**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended (16 U.S.C. 1531-43).

**OBJECTIVES:**

To support the creation, implementation, and/or replication of innovative training programs in Latin America and the Caribbean (LAC) that will train future generations of resource managers through a holistic, cooperative, ecosystem-oriented approach adapted to the complexities of modern society and the interconnectedness of the landscapes upon which society depends.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Projects should take place in Latin America or the Caribbean, ideally in a recognized high priority ecosystem or ecoregion of biome, or a key location associated with flagship, endangered or migratory species of regional concern. If work is to be conducted outside that region, the proposal must explain why it is preferable that the project is implemented elsewhere. Funds provided under this program will not be used for the following activities: the purchase of firearms or ammunition; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, treaties, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. 100%.

**Applicant Eligibility:**

Participation is limited to Federal, State and local governments, non-profit,

non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Beneficiary Eligibility:**

Federal, State and local government agencies; non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at <http://www.fws.gov/international/DIC/howtoapply.html>. The Notice of Funding Availability and Application Instructions are also located on the program website at [http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA\\_LAC12.pdf](http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA_LAC12.pdf). If you are unable to access the Internet, hard copies are available upon request from the Branch of Latin America & the Caribbean, Division of International Conservation, Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203.

**Award Procedure:**

Projects are reviewed and competitively selected for funding using criteria developed specifically for this program. Review criteria can be found in the application information at <http://www.fws.gov/international/DIC/howtoapply.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is executed by an FWS approving official. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Mar 15, 2013 This program has one annual deadline of March 15th.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified (e.g. extended for time or budget changes made).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Applicants and/or other project partners must contribute funds to the project, which may include cash or in-kind contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Upon approval, the project may be extended or the agreement modified. Awarded funds must be spent during the period of performance indicated on the Assistance Award, and in accordance with the financial and performance reporting procedures specified in the Assistance Award. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Complete



reporting requirements can be found at this programs web page at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf> . For financial reporting, Domestic Recipients with no program income to report shall use Federal Financial Report, Standard Form 425. Domestic recipients with program income to report shall use Federal Financial Report SF 425. Non-domestic Recipients shall submit a financial report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period any describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,469,291; FY 12 est \$1,000,000; and FY 13 est \$950,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Generally \$50,000 or less. Higher amounts may be requested.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Received 104 applications; issued 52 awards. Fiscal Year 2012: Program anticipates receiving 100 applications and issuing 50 awards. Fiscal Year 2013: Program anticipates receiving applications and issuing awards similar in scope to FY 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at [http://www.fws.gov/international/DIC/pdf/AAG\\_9-6-07.pdf](http://www.fws.gov/international/DIC/pdf/AAG_9-6-07.pdf) or in hard copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Fish and Wildlife Service, Department of the Interior, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, Virginia 22203-1622 Email: [WWB\\_LAC@fws.gov](mailto:WWB_LAC@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

<http://www.fws.gov/international/dic/regionalprograms/lac/lac.html>

**RELATED PROGRAMS:**

15.641 Wildlife Without Borders-Mexico ; 15.651 Wildlife Without Borders-Africa Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The program supported 1) Increasing local support and participation in the conservation of biodiversity and management of the Rio Gallegos estuary. The grantee will increase community awareness about the

importance of the reserves and promote positive behavior changes through social marketing techniques; 2) Creating a curriculum and associated collaborative web tools that promote student environmental stewardship. The grantee will train project partners and educators in the use of BirdSleuth Caribbean curricula; 3) Raising public awareness of the legal agreements pertaining to the Cyngetic Region II with community leaders and authorities. It also aims to institutionalize the Environmental-Cultural Education School Program. Examples of other funded projects are available through the programs website at

[http://www.fws.gov/international/DIC/pdf/LatinAmerica\\_PS\\_FY11.pdf](http://www.fws.gov/international/DIC/pdf/LatinAmerica_PS_FY11.pdf). Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are similar in scope to FY 2011. Fiscal Year 2013: Program anticipates funding projects that are similar in scope to FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

A complete list of the criteria used to select projects under this program can be found in the Latin America & the Caribbean Notice of Funding Availability and Application Instructions located on line at <http://www.fws.gov/international/DIC/howtoapply.html>. Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

**15.641 WILDLIFE WITHOUT BORDERS-MEXICO**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, as amended, 16 U.S.C. 1531-43.

**OBJECTIVES:**

To Build human and institutional capacity for biodiversity conservation and management in Mexico through training. Of interest are projects that provide direct and significant training to Mexican personnel in terms of number of individuals trained, strategic or innovative nature of the training, and impact of the training on the conservation of biodiversity.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

To be considered, projects must fall into one or more of the following three strategic categories:

(1) Managing for Excellence: Training in natural resource conservation and management for Mexican Government personnel, including policy-makers, federal, state, and municipal-level resource managers, and reserve guards. This includes short-term (2-3 weeks) on-the-job courses certified by an educational institution (Diplomados), workshops, exchanges of personnel, etc.

(2) Stewards of the Land: Training in natural resource conservation/management for resource owners and/or direct users, including local communities, rural peasant farmer organizations, and indigenous peoples. This includes training provided through on-the-ground practices, workshops, exchanges of personnel, and other delivery mechanisms appropriate to the training needs of these target groups.

(3) Voices for Nature: Training in environmental education and/or public outreach for targeted society stakeholder groups, including teachers, school children, journalists, tourists, legislators, nongovernmental organizations, and private sector organizations or businesses. This includes workshops, educational programs, production of educational and training material, etc.

Applicants should be proposing work to be conducted in Mexico. If work is to be conducted in the United States, the proposal must show a clear connection to capacity building for biodiversity conservation in Mexico to be eligible for funding. Funds provided under this program will not be used for the following activities: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity

that would circumvent sanctions, treaties, laws or regulations of either the U.S. or Mexico. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. For further information, please contact the regional office. 100%.

**Applicant Eligibility:**

Participation is limited to Federal, State and local governments, non-profit, non-governmental organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Beneficiary Eligibility:**

Federal, State and local government; public nonprofit institution/organizations; public and private institutions of higher education; and any other organization or individual with demonstrated experience deemed necessary to carry out the proposed project.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at <http://www.grants.gov>. The Notice of Funding Availability and Application Instructions are also located on this program's website at <http://www.fws.gov/international/DIC/regional%20programs/mexico/mexico.html>. If you are unable to access the Internet, hard copies are available upon request from the Branch of Mexico, Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203.

**Award Procedure:**

Projects are simultaneously reviewed by a panel convened by the U.S. Fish and Wildlife Service and a panel convened by the Mexican Ministry of the Environment and Natural Resources (SEMARNAT). Final funding decisions are made jointly by representatives of the Service and SEMARNAT based on the recommendations of the two review panels. Review criteria can be found in the application information at <http://www.fws.gov/international/DIC/howtoapply.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is executed by an FWS approving official. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Oct 01, 2010 Proposals must be submitted to both the Fish and Wildlife Service and SEMARNAT on or before October 1 each year.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of International Conservation awards can be modified, e.g.; extended for time or budget changes made.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

**Matching Requirements:** Applicants or other project partners must contribute funds to the project, which may include cash or in-kind contributions. In determining whether to approve project proposals, preference is given to projects for which matching funds are available. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Upon approval, the project may be extended or the agreement modified. Awarded funds must be spent during the period of performance that is approved for each Assistance Award, and in accordance with the program financial and performance reporting procedures specified in the Assistance Award document. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Complete reporting requirements can be found at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf>. For financial reporting, domestic recipients with no program income to report shall use Standard Form SF-425. Non-domestic recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$691,293; FY 12 est \$600,000; and FY 13 est \$600,000

**Range and Average of Financial Assistance:**

Variable amounts. The average grant amount is \$35,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Received 67 applications; issued 22 awards. Fiscal Year 2012: Received 72 applications; program anticipates issuing 20 awards. Fiscal Year 2013: Fiscal Year 2013: anticipate similar numbers of applications and numbers of awards as in FY 2011 and FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with the Assistance Award Guidelines established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The Assistance Award Guidelines can be found on-line at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf> or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Chief, Fish and Wildlife Service, Department of the Interior, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, Virginia 22203-1622 Email: [WWB\\_Mexico@fws.gov](mailto:WWB_Mexico@fws.gov) Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

<http://www.fws.gov/international/DIC/regionalprograms/mexico/mexico.html>

**RELATED PROGRAMS:**

15.640 Wildlife Without Borders- Latin America and the Caribbean ; 15.651 Wildlife Without Borders-Africa Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The program supported 1) Training to build the capacity of protected areas managers from Mexico and Latin America to properly manage natural resources. The course is certified by the Autonomous University of Yucatan (UADY), with 540 hours (2 months) of training ; 2) Developing awareness about the importance of conserving the Tarahumara forests, which are home to pine-oaks known for sheltering a great amount of the biodiversity in Mexico. The grantee will educate local residents on climate change and deforestation, and provide lessons for good practices in forest management based on traditional knowledge; 3) Increasing capacity on wildlife management and sustainable use practices through three training workshops to government officials and key community personnel who are responsible for the management of natural resources in protected areas. Mexican authorities currently lack sufficient capacity to perform their duties to protect the countrys natural resources. Examples of other funded projects are available through the programs website at

[http://www.fws.gov/international/DIC/pdf/Mexico\\_PS\\_FY11.pdf](http://www.fws.gov/international/DIC/pdf/Mexico_PS_FY11.pdf). Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are similar in scope to FY 2011. Fiscal Year 2013: : Program anticipates funding projects that are similar in scope to FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

A complete list of the criteria used to select projects under this program can be found in the Mexico Program Notice of Funding Availability and Application Instructions located on line at

<http://www.fws.gov/international/DIC/howtoapply.html>. Hard copies are available upon request from the Division of International Conservation at (703) 358-1754.

**15.642 CHALLENGE COST SHARE**

CCS

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act, 2004, Title I, Public Law 108-108.

**OBJECTIVES:**

Encourage partnerships with nonfederal governments, private individuals and organizations, educational institutions, philanthropic and charitable groups, and businesses to support the mission of the Service. Projects must conserve, protect, and enhance fish, wildlife, and plants for the continuing benefit of the American people.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for regionally approved Challenge Cost Share projects. Field managers plan and implement the projects which must be on, or directly benefitting, Service (federal) lands. The program requires that the Service expend no more than 50% of the cost to complete a project and that a minimum of the other 50% of the funds be of nonfederal origin. The cooperator share may be a non-monetary contribution, such as materials, or in-kind services. For further information, please contact the regional office. For further information, please contact the regional office.

**Applicant Eligibility:**

Applicants may be an individual/family, minority group, specialized group, small business, profit organization, private nonprofit/organization, quasi-public

nonprofit institution/organization, native American, Federal, Interstate, Intrastate, State, Local, Sponsored organization, public nonprofit institution/organization, other public institution/organization, U.S. territory, or any organization with interests which support the mission of the Service. This program requires the cooperator(s) to provide a minimum of 50 percent of cost share from non-Federal sources, for local programs on National Wildlife Refuges, or benefitting other Service lands.

**Beneficiary Eligibility:**

The Challenge Cost Share program is not a grant program, although they do use cooperative agreements for donations to these field projects. Service field station managers are encouraged to form partnerships and to secure project cost-sharing for projects initiated at that refuge or field station. By Service policy, the matching 50% cost share is provided by non-Federal sources, state/local governments, private individuals/organizations, business enterprises, and philanthropic and charitable groups.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Service identifies projects or objects on or directly benefitting a national wildlife refuge or other Service lands for which cost sharing may be sought, and then solicits project proposals from partners/cooperators. Interested parties may contact the local National Wildlife Refuge or other Service office to participate or otherwise donate time, goods, or funds for these projects in order to support the mission of the Service. Proposals, including Standard Form 424 "Application for Federal Assistance," are submitted to the cooperating Service office that forwards them to their servicing Regional Office.

**Award Procedure:**

The Regional Challenge Cost Share Coordinator assembles a committee of Fish and Wildlife Service employees from a variety of disciplines to review, rank, and select the proposals for refuges or hatcheries for funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are usually made no later than 180 days after the receipt of the project proposals. If funding is approved, a Challenge Cost Share Agreement (CCSA) is written between the Service and a cooperator(s) in which there is an equal partnership between the Federal government and the cooperator(s) that produces or provides a tangible product which mutually benefits Service lands and objectives, and the public. The Regional Contracting and General Services offices will review all CCSA's for contractual sufficiency. The agreements will be signed by the cooperator(s) and the Regional Director.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The Service shall expend no more than 50% of the cost to complete projects. The matching 50% cost share is provided by non-Federal sources, state/local governments, private individuals/organizations, business enterprises, and philanthropic and charitable groups. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Challenge Cost Share Agreements are written for funds that should be spent

within 1 year; upon approval, agreements may be extended beyond the 1 year for reasonable cause. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports cannot be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see [http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$589,000; FY 12 est \$0; and FY 13 est \$6,500,000 - In FY 2011 and FY 2012, the Department of the Interior disallowed the use of Challenge Cost Share programs within the Department due to issues with how some agencies were managing their respective programs. Due to this, no federal assistance opportunities were able to be funded using this CFDA.

In FY 2013, it is anticipated that the use of the Challenge Cost Share program will be allowed therefore CFDA should remain active.

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011 and FY 2012, the Department of the Interior disallowed the use Challenge Cost Share programs within the Department due to issues with how some agencies were managing their respective programs. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: In FY 2013, it is anticipated that the use of the Challenge Cost Share program will be allowed.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Bob Peyton, National Wildlife Refuge System, 911 NE 11th Avenue, Portland, OR 97232; (503) 872-2720

Patti Plagge, USFWS Regional Office, P.O. Box 1306, Albuquerque, NM

87103; (505) 248-7487

Rob Bruesewitz, 1 Federal Drive, Bishop Whipple Federal Building, Fort Snelling, MN 55111-4056; (612) 713-5403

Laura Housh, Regional Planner, Okefenokee National Wildlife Refuge, Route 2 Box 3330, Folkston, GA 31537; (912) 496-7366 Ext. 244

Lamar Gore, U.S. Fish and Wildlife Service, 300 Westgate Center Drive, Hadley, MA 01035; (413) 253-8542

James Graves, Planning and Budget Development, Region 6 Regional Office, 134 Union Blvd, Suite 300, Lakewood, CO 80228; (303) 236-4376

Kristen Gilbert, Division of Visitor Services, R7 Alaska Regional Office, 1011 East Tudor Road, Anchorage, AK 99503; (907) 786-3391

Carol Damberg, U.S. Fish and Wildlife Service, 2800 Cottage Way, Suite W-2606, Sacramento, CA 95825; (916) 414-6461.

**Headquarters Office:**

Assistant Director, Fish and Wildlife Service, Department of the Interior, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670., Arlington, Virginia 22203 Phone: (703) 358-2248.

**Website Address:**

[www.fws.gov](http://www.fws.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY 2011 and FY 2012, the Department of the Interior disallowed the use Challenge Cost Share programs within the Department due to issues with how some agencies were managing their respective programs. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: In FY 2013, it is anticipated that the use of the Challenge Cost Share program will be allowed.

**CRITERIA FOR SELECTING PROPOSALS:**

Refuge managers and other Service managers develop, in concert with partners, project proposals on, or benefitting Service lands, that are evaluated on the lasting effect on conservation, enhancement and protection. They will also be evaluated on scope of effect, number of partners involved, importance of resource values, feasibility, and cost effectiveness.

**15.643 ALASKA MIGRATORY BIRD CO-MANAGEMENT COUNCIL (AMBCC)**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

U.S. Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661 to 666C; Migratory Bird Treaty Act, 16 U.S.C. 703 et seq.

**OBJECTIVES:**

To facilitate and administer regional programs to involve subsistence hunters of migratory birds in the management and regulation of migratory birds.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds will be used to help offset travel, administrative and associated expenses required to establish a regional migratory bird subsistence program in keeping with the recently amended Migratory Bird Treaty. This regional program will become a part of the statewide (Alaska) and national migratory bird management program, for which the - Fish and Wildlife Service (Service) has responsibility. Funds must be used to support program objectives of the Alaska Migratory Bird Co-Management Council.

**Applicant Eligibility:**

Native American Organizations, Public nonprofit institutions/organizations, other public institutions/organizations, Federally Recognized Indian Tribal

Governments, and Local governments.

**Beneficiary Eligibility:**

Native American Organizations, Public nonprofit institutions/organizations, Federally recognized Indian Tribal Governments, local governments, and Alaska Native American Indians.

**Credentials/Documentation:**

None. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Awards are made on a non-competitive basis pursuant to the authorities mandated in the 1997 Migratory Bird Treaty Act Amendment Protocols. Applicant must complete the Standard Form (SF) 424, SF 424A and SF 424B and an annual proposal and submit through Grants.Gov.

**Award Procedure:**

The Executive Officer for the Alaska Migratory Bird Co-Management Council reviews the applications and makes recommendations. The process ends with concurrence by the Service.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available annually, and are based on available funding levels.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards must be spent during the approved period of performance of the grant agreement. See the following for information on how assistance is awarded/released: Program obligates funds and sends a notice of award to successful applicants. Recipients request funds in accordance with 43 CFR Part 12, unless otherwise dictated by program-specific legislation or special award terms. Program will include any special payment terms and conditions in the notice of award.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients must submit a final performance report no later than 90 calendar days after the award end date. Additional reports, such as meeting agendas and summaries, may be required. Recipients must report expenditures using the SF 425, Federal Financial Report form. Recipients must submit a final report no later than 90 calendar days after the award end date. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform

Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$213,600; FY 12 est \$213,600; and FY 13 est \$213,600 - FY2013 is an estimated amount contingent on future funding.

**Range and Average of Financial Assistance:**

\$14,400 to \$31,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The emphasis was on outreach activities sponsored to reach the 192 rural villages within the regions, covering everything from radio shows to informational flyers to holding issue-related village meetings. Regional emphasis was on the North Slope of Alaska and the Bering Straits region due to increased emphasis on endangered species conservation as it relates to the subsistence harvest.

10 applications received, issued 10 awards. Fiscal Year 2012: FY12: Emphasis is on holding an Alaska Native Summit Meeting (by invitation only) in April discussing progress and objectives of the program how the co-management concept can be better implemented. Regional emphasis will continue on the Bering Straits area due to a focus on endangered species conservation as it relates to the subsistence harvest.

11 applications received, issued 10 awards. Fiscal Year 2013: The planned emphasis will be on exploring tabled subsistence harvest issues through committee work, and identifying new outreach pathways and integrating them into the Statewide Council system.

10-12 applications anticipated, and issue 10 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be administered in conformance with 43 CFR and the Fish and Wildlife Service Administrative Manual.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV for addresses.

**Headquarters Office:**

Donna Dewhurst, Fish and Wildlife Service, Office of the Alaska Migratory Bird Co-Management Council, 1011 E. Tudor Road, MS 201, Anchorage, Alaska 99503 Email: donna\_dewhurst@fws.gov Phone: (907) 786-3499 Fax: 907-786-3641.

**Website Address:**

<http://Alaska.fws.gov/ambcc/index.htm>.

**RELATED PROGRAMS:**

15.608 Fish and Wildlife Management Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: : This program provided funding to 10 regional management bodies to facilitate and administer area sub-programs to involve subsistence hunters of migratory birds in the management and regulation of migratory birds. The funding meets three primary objectives: 1) Ensure an effective and meaningful role for indigenous inhabitants in the conservation of migratory birds; 2) Facilitate submission of migratory bird management proposals where spring migratory bird harvest is a customary and traditional practice; and 3) Facilitate the review of submitted migratory bird management proposals through meetings of the regional management bodies. Fiscal Year 2012: The work and objectives outlined for FY11 were continued specifically by providing travel, lodging and other associated expenses for elected representatives from the regional management bodies to attend all meetings of the Statewide Council and a separate representative to attend technical committee meetings associated with the Council. The regions will be taking up endangered species and seasonal regulatory issues with their area villages and

making recommendations to the Statewide Council. In addition, a Alaska Native Summit (by invitation only) will be held in April to discuss the progress and evolving objectives of the Co-Mgt Council and how the concept of co-management is being implemented. Fiscal Year 2013: The regions will continue to follow-up on new and ongoing endangered species and seasonal regulatory issues with their area villages and making recommendations to the Statewide Council.

**CRITERIA FOR SELECTING PROPOSALS:**

You must be a regional partner organization of the council to be selected. Criteria included, but is not limited to, past performance, ability to provide administrative support, and ability to send an elected representative from the regional management body to meetings.

**15.644 FEDERAL JUNIOR DUCK STAMP CONSERVATION AND DESIGN**

Junior Duck Stamp Contest

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law 103-340, 108 Stat. 3119-3120, 16 U.S.C. 719; Reauthorization of the Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law 106-316, 114 Stat. 1276, 16 U.S.C. 719, Fish and Wildlife Act of 1956.

**OBJECTIVES:**

To use visual arts programs and a nation-wide art contest to teach students in kindergarten through high school environmental science, wildlife management, wetlands ecology, and the importance of habitat conservation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Assistance may be used to: 1. provide awards and scholarships to students who submitted winning designs in State/Territory rounds of the Junior Duck Stamp Contest; 2. provide awards to schools and other program participants in order to promote the conservation goals of the program; and 3. cover program outreach and marketing costs.

**Applicant Eligibility:**

Federal, State and Local Governments, Non-profit organizations both with and without 501(c)(3) IRS status, Private Institutions of Higher Education, Public and State controlled Institutions of Higher Education.

**Beneficiary Eligibility:**

Individual/Family, Student/Trainee, Artist/Humanist, U.S. citizens, resident aliens, or nationals who are in kindergarten through twelfth grades at a public, private, or home school in the United States or U.S. territories.

**Credentials/Documentation:**

43 CFR Part 12 establishes requirements for grants awarded by agencies of the U.S. Department of the Interior. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Partner/potential partner contacts Regional Junior Duck Stamp Coordinators to discuss Contest needs and objectives, or Regional Junior Duck Stamp Coordinators may initiate the contact. Coordinator works with partners/potential partners to design projects.

**Award Procedure:**

Applicant must complete the Standard Form (SF-424). Once the project is designed and approved by the Regional Junior Duck Stamp Coordinator, a cooperative agreement or grant agreement written and work can begin.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

3-4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

3-6 months. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. One report upon completion of project. Applicant must complete the Standard Form (SF-424). Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

Not Applicable.

**Records:**

Cost records must be maintained separately for each awarded agreement. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$150,000; FY 12 est \$150,000; and FY 13 est \$150,000 - FY12 and FY13 amounts are estimates based on prior year funding levels only.

**Range and Average of Financial Assistance:**

Each award may range from \$500 to \$2,500. Awards are based on previous year participation numbers and base funding of \$500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Sale of the Junior Duck Stamp generates approximately \$100,000 for program marketing and student awards annually; in 2011 over 27,000 art entries were submitted and many others participated and benefited from the environmental education component of the program. Fiscal Year 2012: In FY12 the program anticipates to receive 53 applications and issue 53 awards. Fiscal Year 2013: No Current Data Available. In FY13 the program anticipates to receive 53 applications and issue 53 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Fish and Wildlife Service Manual, Part 901 FW 5. Copies of the Federal Junior Duck Stamp Art Competition Rules and Entry Form and reference forms, and the Junior Duck Stamp Conservation and Design Program Curriculum Guide can be obtained free of charge from the Federal Duck Stamp Office.

**Regional or Local Office:**

See Regional Agency Offices. Alaska: Tamara Zeller, 1011 E. Tudor Rd., Anchorage, AK 99503; Telephone (907) 786-3517  
Colorado: Beverly Boecher, 134 Union Blvd., Suite 300, Lakewood, CO, 80228; Telephone: (303) 236-4391  
Georgia: Toni Westland, 1 Wildlife Dr., Sanibel, FL 33957; Telephone: (239) 472-1100 x237  
Massachusetts: Annelee Motta, 300 Westgate Center Drive, Hadley, MA 01035; Telephone: (413) 253-8539  
Minnesota: Mara Koenig, 3815 American Blvd E, Bloomington, MN 55425;

Telephone: (952) 858-0710  
New Mexico: Art Needleman, 500 Gold Ave. SW/Room 4504, Albuquerque, NM 87102; Telephone: (505) 248-6822.

**Headquarters Office:**

National Junior Duck Stamp Program Coordinator, Federal Duck Stamp Office, Fish and Wildlife Service, Mail Stop: MBSP-4070, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-2000 Fax: (703) 358-2009.

**Website Address:**

<http://www.fws.gov/juniorduck>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Provided awards to students who submitted winning designs in State/Territory rounds of the Junior Duck Stamp Contest; provided materials and resources to increase and promote the conservation goals of the Junior Duck Stamp Program; provided assistance to increase outreach and marketing opportunities at local, state and regional functions. Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that will use the Junior Duck Stamp Contest to promote environmental science, wildlife management, wetlands ecology, and the importance of habitat conservation among kindergarten through high school students through the visual arts. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects that will use the Junior Duck Stamp Contest to promote environmental science, wildlife management, wetlands ecology, and the importance of habitat conservation among kindergarten through high school students through the visual arts.

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements are awarded based on unique technical expertise and knowledge of the Junior Duck Stamp Program, background in natural resources, knowledge of conservation practices and environmental education experience. In addition, the ability to provide partnership support and volunteers is essential.

**15.645 MARINE TURTLE CONSERVATION FUND**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Maine Turtle Conservation Act of 2004, Public Law 108-266, 16 U.S.C 6601.

**OBJECTIVES:**

To assist in the conservation of marine turtles and the nesting habitats of marine turtles in foreign countries by supporting and providing financial resources in the following areas: academic and technical training in the conservation and management of marine turtles; applied research on marine turtle populations and their habitats, including surveys and monitoring; conservation education and community outreach for the protection of nesting and near shore foraging populations; development and execution of marine turtle conservation management plans; habitat conservation and management; information exchange to promote international collaboration; projects to protect nesting females and eggs on important nesting beaches; promotion of networks, partnerships, and coalitions that assist in the implementation of conventions, treaties, protocols and other international activities for the conservation and management of marine turtles; protected area/reserve management of important nesting beaches; strengthening local capacity to implement conservation programs on nesting beaches; and strengthening law enforcement capacity and forensics skills through training and equipment.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project work should occur in foreign countries (outside of the United States) that have within their boundaries marine turtle nesting habitats and be conducted by any person or group with the demonstrated expertise required for the conservation of marine turtles. Applied research projects should address specific management needs and actions. Funds provided under this program will not be used for: the purchase of firearms or ammunitions; buying of

intelligence information or paying informants; gathering information by persons who conceal their true identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. Funds may not be used to provide material support or resources to individuals, entities, or organizations of countries that have been identified by the U.S. Department of State as state sponsors of terrorism. The countries currently identified are: Cuba, Iran, North Korea, Sudan and Syria. This program is administered in compliance with the Federal Grants and Cooperative Agreements Act of 1977, as amended. These funds may not be used towards training U.S. Federal Government personnel. 100%.

**Applicant Eligibility:**

Applications may be submitted by any government agency responsible for conservation and protection of marine turtles and any other organization or individual with demonstrated experience in marine turtle conservation.

**Beneficiary Eligibility:**

Applications may be submitted by any government agency responsible for conservation and protection of marine turtles and any other organization or individual with demonstrated experience in marine turtle conservation.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-110. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov/search/basic.do>. The Notice of Funding Availability and Application Instructions are also located on the program's website at: <http://www.fws.gov/international/DIC/howtoapply.html>. If you are unable to access the Internet, hard copies are available upon request from the Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, Virginia 22203. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 "Application for Federal Assistance".

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria contained in the Marine Turtle Conservation Act of 2004 (P. L. 108-266). Review criteria can be found in the application information at <http://www.fws.gov/international/dic/howtoapply.html>. Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is executed by an FWS approving official. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Oct 01, 2012 This program has two annual deadlines. The first deadline is October 1 each year. We strongly encourage applicants with nesting season projects beginning April/May to submit proposals on or before the October 1 deadline. The second deadline is April 1 each year. We strongly encourage applicants with nesting season projects beginning September/October to submit proposals on or before the April 1 deadline.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals will be made within 180 days after the receipt of the project proposal.

**Appeals:**

Not Applicable.

**Renewals:**

None. However; at the discretion of the Division of International Conservation, active awards can be modified, e.g.: time extensions or budget changes.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the approved project period of performance, in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress and final reports are to be submitted in accordance with terms and conditions established in the Assistance Award. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf>. For financial reporting, Domestic Recipients shall use Standard Form (SF) 425. Non-domestic Recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1652-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,717,006; FY 12 est \$2,000,000; and FY 13 est \$1,450,000 - Frequency of obligations: Other.

**Range and Average of Financial Assistance:**

Variable amounts. Generally \$50,000 or less. Higher amounts may be requested.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Received 76 applications; issued 39 awards. Fiscal Year 2012: Program anticipates receiving 80 applications and issuing 30 awards. Fiscal Year 2013: Program anticipates receiving applications and issuing awards similar in scope to FY 2011.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/grants/grants.html> or in paper copy by contacting the Division of International Conservation at (703) 358-1754.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chief, Department of the Interior, Fish and Wildlife Service, Division of International Conservation, Room 100, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1754 Fax: (703) 358-2115.

**Website Address:**

[http://international.fws.gov/international/DIC/grants/grants\\_home.html](http://international.fws.gov/international/DIC/grants/grants_home.html).

**RELATED PROGRAMS:**

15.619 Rhinoceros and Tiger Conservation Fund; 15.620 African Elephant Conservation Fund; 15.621 Asian Elephant Conservation Fund; 15.629 Great Apes Conservation Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The program supported 1) Continuing a community-based conservation project and extend the project another 150 km on the Teknaf Peninsula, St. Martin and Sonadia Islands. Community members will be trained to conduct field work and 1,000 fisherman will be trained in identification of sea turtles, safe handling, and release techniques for accidentally captured sea turtles; 2) Providing technical assistance for Marine Turtle Conservation Fund-supported nesting beach projects in Sierra Leone, Liberia, Cape Verde, Principe and Morocco. The project will build capacity of implementing personnel and institutions in the areas of scientific techniques and community involvement; 3) The Secretariat and Party members of the Inter-American Convention to attend the Fifth Conference of the Parties (COP 5) and Consultative and Scientific Committee meetings. It will also provide assistance for the Secretariats office to coordinate and organize COP 5 and meetings of the Scientific and Consultative Committees. Examples of other funded projects are available through the programs website at [http://www.fws.gov/international/DIC/pdf/MarineTurtle\\_PS\\_FY11.pdf](http://www.fws.gov/international/DIC/pdf/MarineTurtle_PS_FY11.pdf). Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are effective for long-term conservation of marine turtles, and those that are similar in scope to FY 2011. Fiscal Year 2013: Program anticipates funding projects that are effective for long-term conservation of marine turtles, and those that are similar in scope to FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed on the basis of criteria developed from the Marine Turtle Conservation Fund (Public Law 108-266). Additional details on the selection criteria can be found in the Marine Turtle Notice of Funding Availability and Application Instructions found on our website at <http://www.fws.gov/international/DIC/howtoapply.html>. Hard copies are available upon request from the Division of International Conservation at (703)358-1754.

**15.647 MIGRATORY BIRD CONSERVATION****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C.661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and Migratory Bird Treaty Act, 16 U.S.C. 709a.

**OBJECTIVES:**

To maintain and enhance populations and habitats of migratory bird species found in the Upper Midwest (IL, IN, IA, MI, MN, MO, OH, WI).

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants and payments may be used for the conservation of any bird species protected by the Migratory Bird Treaty Act and occurring in U.S. Fish and Wildlife Service (USFWS) Region 3 (Upper Midwest, including IL, IN, IA, MI, MN, MO, OH, and WI). Special emphasis will be placed on Birds of Concern in the Midwest (see [http://www.fws.gov/midwest/MidwestBird/birds\\_of\\_concern.htm](http://www.fws.gov/midwest/MidwestBird/birds_of_concern.htm)) as these



species are experiencing known or suspected population declines, are recreationally important, or are causing biological or social conflicts. Implementing national, regional, and flyway bird conservation plans, including the Partners in Flight North American Landbird Conservation Plan (<http://www.partnersinflight.org>), U.S. Shorebird Conservation Plan (<http://shorebirdplan.fws.gov>), North American Waterbird Conservation Plan (<http://www.waterbirdconservation.org>), North American Waterfowl Management Plan (<http://www.fws.gov/birdhabitat/NAWMP/index.shtm>), and Mississippi Flyway bird management plans, is the USFWS's highest priority, and proposals related to the priorities identified in these plans and Bird Conservation Region and state-level bird conservation planning efforts will receive high funding consideration. The following activities are also of high interest to the USFWS: a) Population surveys, monitoring, and assessments to determine the status, trends, distribution, and demography of bird species and groups of concern. Emphasis will be placed on landscape-level applications of standardized inventory and monitoring protocols as identified through the Midwest Coordinated Bird Monitoring Partnership (<http://midwestbirdmonitoring.ning.com>). Local-scale bird monitoring (e.g., local land management units) will generally not be a focus of this grant program, nor will support for long-term operational bird monitoring efforts. Rather, the program seeks to address coordination of monitoring efforts and development and evaluation of new survey and monitoring techniques (both field and analytical); b) Conservation of focal species for which conservation plans and/or working groups have been developed and research, monitoring, and other priorities have been identified. Examples of focal species include: Golden-winged Warbler, Cerulean Warbler, Henslows Sparrow, other Midwestern grassland birds, American Woodcock, Wilsons Phalarope, Upland Sandpiper, Marbled Godwit, Common Tern, Black Tern, King Rail, and Lesser Scaup (for further information on focal species, contact Steve Lewis, USFWS, [steve\\_j\\_lewis@fws.gov](mailto:steve_j_lewis@fws.gov)); c) Strategic Conservation, wherein the USFWS integrates biological planning, landscape design, conservation delivery, and monitoring and evaluation in a way that generates the adaptive feedback loops that enable sound decisions and constantly improve our efficiency and effectiveness in saving birds (<http://www.fws.gov/midwest/science/SHC/FAQ.htm>). Strategic conservation involves applied research, including studies of bird habitat requirements, threats, limiting factors, and population responses to habitat conservation activities; and use of Geographic Information Systems, modeling, and similar tools to identify bird habitat focus areas and further bird conservation planning efforts; d) Avian health and disease. Increasing expansion of human populations has led to habitat fragmentation, changes in land-use patterns, and increased pressure on wild bird populations, and globalization of marketing and distribution has increased avian zoonotic and emerging disease risks. Many of these emerging diseases involve avian reservoirs or susceptible hosts. Increasing the complexity of this picture are changes in climate; avian populations may need to alter site fidelity in response to weather patterns, and this will introduce new opportunities for transmission of avian diseases and place pressure on populations already stressed by anthropogenic factors. To address these issues, the USFWS has established the Avian Health and Disease Program to conduct work in avian health and disease surveillance, response, and management in wild bird populations. Among our areas of interest are: establishing avian health baselines; identifying existing and emerging avian health and disease risks, especially related to trematodiasis, Newcastle disease, avian influenza, and botulism; ensuring avian disease preparedness and prevention; and developing, guiding, and implementing appropriate and effective avian disease management actions. 100%.

**Applicant Eligibility:**

Federal, State and local government agencies; Federally-recognized Indian Tribal governments; private nonprofit institutions/organizations; and public nonprofit institutions/organizations.

**Beneficiary Eligibility:**

Federal, State and local government agencies; Federally-recognized Indian Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/organizations; and general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction)

**Award Procedure:**

The Regional Migratory Bird Program Chief convenes a committee of FWS biologists to review, rank, and select proposals for funding. Once a proposal is accepted, a grant agreement is written and work can begin.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding of a proposal are usually made no later than 180 days after receipt of the proposal.

**Appeals:**

None.

**Renewals:**

A grant agreement may be modified at the discretion of the Regional Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Unless a project is extended, awarded funds must be spent during the approved Period of Performance of the grant agreement and in accordance with financial and reporting procedures specified in the agreement. Grants are normally written for a period of 1 to 5 years and payments can be made in a lump sum or on a periodic basis. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Written progress and financial reports using the SF-425 Federal Financial Report, and final reports on the project are generally required. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$517,000; FY 12 est \$622,000; and FY 13 est \$400,000 - FY12 and FY13 amounts are estimates only.

**Range and Average of Financial Assistance:**

\$5,000 to \$100,000; \$37,000 average in FY 11.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Received 31 proposals and funded 14 projects for \$517,000. Fiscal Year 2012: Received 29 proposals and will likely fund 18 projects for \$622,000. Fiscal Year 2013: Anticipate receiving approximately 30 proposals and providing approximately \$400,000 for small grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Steve Lewis, U.S. Fish and Wildlife Service, Division of Migratory Birds, 5600 American Blvd. West, Suite 990, Bloomington, MN 55437-1458; phone 512-713-5473; email steve\_j\_lewis@fws.gov.

**Headquarters Office:**

Steve Lewis, U.S. Fish and Wildlife Service, Division of Migratory Birds, 5600 American Blvd. West, Suite 990, Bloomington, Minnesota 55437-1458 Email: steve\_j\_lewis@fws.gov Phone: (512)713-5473

**Website Address:**

<http://www.fws.gov/midwest/midwestbird>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) Assessing the relative impacts of anthropogenic causes of direct bird mortality; (2) Demographic response of Golden-winged Warbler to habitat and management across a climate change gradient in the core of the species range; (3) Advancing Great Lakes colonial waterbird monitoring priorities. Fiscal Year 2012: (1) Distribution and abundance of migrating and wintering waterbirds on Lake Michigan; (2) Developing a range-wide Golden-winged Warbler Conservation Action Plan; (3) Assessing health and fitness consequences of migratory birds using non-native habitats. Fiscal Year 2013: (1) Life-cycle population modeling for select bird species; (2) Research to facilitate focal bird species conservation; (3) Advancing the Midwest Coordinated Bird Monitoring Partnership.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed to determine how well they address the migratory bird program priorities outlined above, including relevance to bird conservation plan priorities, focal and other priority species, and the bird conservation activities listed above. Proposals will also be evaluated for their biological and statistical soundness, feasibility, geographic scope of applicability, and cost effectiveness. Projects involving matching funds, in-kind services, materials, and equipment from other agencies and organizations will be given greater consideration for funding than similar projects without matching resources.

**15.648 CENTRAL VALLEY PROJECT IMPROVEMENT (CVPI)  
ANADROMOUS FISH RESTORATION PROGRAM (AFRP)**

(CVPI, AFRP)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Central Valley Project Improvement Act, Title 34, Public Law 102-575; Federal Grant and Cooperative Agreement Act, Public Law 97-258, 31 U.S.C. 6301-6308.

**OBJECTIVES:**

(a) To protect, restore, and enhance fish, wildlife, and associated habitats in the Central Valley and Trinity River basins of California; (b) To address impacts of the Central Valley Project on fish, wildlife and associated habitats; (c) To improve the operational flexibility of the Central Valley Project; (d) To increase water-related benefits provided by the Central Valley Project to the State of California through expanded use of voluntary water transfers and improved water conservation; (e) To contribute to the State of California's interim and long-term efforts to protect the San Francisco Bay/Sacramento-San Joaquin Delta Estuary; (f) To achieve a reasonable balance among competing demands for use of Central Valley Project water, including the requirements of fish and wildlife, agricultural, municipal and industrial and power contractors.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for research to improve management and increase Anadromous fish resources; spawning area improvement; installation of fish passages; construction of fish protection devices, and data collection. No other Federal agencies may apply for award opportunities. 100% of funds are discretionary.

**Applicant Eligibility:**

Applicants may be State, local governments, Native American Organizations, other public nonprofit institutions/organizations, private nonprofit/organization. No other Federal agency may apply.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Basic application requires the request for proposal narrative, scope of work with deliverables, budget (SF 424A), SF 424 Application for Federal Assistance form, and SF424B Assurances. Information submitted to the Stockton FWO for review by a locally convened panel. The panel will select the awardee and forward the information to the station project leader for final approval. No state plan required.

**Award Procedure:**

The successful applicant will be notified after selection and confirmation of available funding. An applicant should not initiate a project in expectation of USFWS funding, nor should they purchase materials or begin work until such time as they receive the final award document signed by an authorized Service official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less.

**Appeals:**

Contact the headquarters or regional office.

**Renewals:**

Contact the headquarters or regional office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project awards are generally from one to five years, depending on the complexity of the project and availability of funds. The five year restriction on the length of time is due to the Period of Availability of Funds limited to the five (5) year rule. See the following for information on how assistance is awarded/released: Awardees are now required to use the U.S. Treasury ASAP reimbursement program.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress (quarterly) and final reports must be submitted in accordance with the terms and conditions of the grant agreement. Expenditure reports, SF425 Federal Financial Report, are required annually. Recipients are responsible for monitoring performance for each award and sub-award under this program IAW 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.

**Account Identification:**

14-5173-0-2-301 - Note: The FWS receives the CVPIA funds through the BOR hence the Account ID associated with the BOR.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$3,778,905; FY 12 est \$2,804,972; and FY 13 est \$3,000,000 - For carrying out the programs, projects, plans, habitat restoration, improvement, and acquisition provisions of the Central Valley Project Improvement Act, \$53,068,000, to be derived from such sums as may be collected in the Central Valley Project Restoration Fund pursuant to sections 3407(d), 3404(c)(3), and 3405(f) of Public Law 102575, to remain available until expended: Provided, That the Bureau of Reclamation is directed to assess and collect the full amount of the additional mitigation and restoration payments authorized by section 3407(d) of Public Law 102575: Provided further, That none of the funds made available under this heading may be used for the acquisition or leasing of water for in-stream purposes if the water is already committed to in-stream purposes by a court adopted decree or order.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) completed one fish passage project in the Cosumnes River at the North Granlees Diversion Dam, placed approximately 28,000 cubic yards of spawning gravel in the Merced River, 4,600 cubic yards of gravel in the Mokelumne River, and 16,000 cubic yards of gravel in the Tuolumne River. The AFRP also restored 640 feet of side-channel habitat in the Stanislaus River and 11 acres of floodplain habitat in the Tuolumne River.

Fiscal Year 2012: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) anticipates to complete a fish passage project in the Calaveras River and one fish passage project at the Antelope Creek Tehama Wildlife Area. AFRP also anticipates to restore 6 acres of floodplain and place approximately 28,000 cubic yards of spawning gravel in the Merced River. The program also anticipates restoring 4.4 acres of floodplain habitat in the Stanislaus River, 5 acres of riparian habitat in the Yuba River, and placing 8,000 cubic yards of gravel in the American River. Fiscal Year 2013: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) anticipates to implement fish passage projects on Deer Creek, Cottonwood Creek, and Cow Creek in the Upper Sacramento River Basin. The AFRP also anticipates funding channel and floodplain restoration projects in the Yuba River, Stanislaus River, Sacramento River, and American River.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

None.

**Regional or Local Office:**

See Regional Agency Offices. Potential applicants may contact the local office at: Anadromous Fish Restoration Program Stockton Fish and Wildlife Service Office 4001 N. Wilson Way, Stockton, California 95205. Telephone: (209) 946-6400, Fax (209) 946-6355.

**Headquarters Office:**

Ren Lohofner, 2800 Cottage Way, Suite W2606, Sacramento, California 95825 Phone: (916) 414-6464 Fax: (916) 414-6464.

**Website Address:**

<http://www.fws.gov/stockton/afrp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) funded habitat assessments for Mill Creek, Antelope Creek, Cottonwood Creek, and Cow Creek in the upper Sacramento River basin to evaluate anadromous fish barriers, riparian habitat, and geomorphic processes. The AFRP also funded a floodplain restoration project in the Stanislaus River, a tidal wetland restoration project at the Cosumnes River Preserve, and a riparian habitat restoration pilot project in the Yuba River at Hammon Bar. The program also funded a channel restoration project in the Yuba River in the Narrows Reach to restore Chinook salmon and steelhead spawning habitat. The AFRP funded a Chinook salmon outmigration survival study in the Stanislaus River and a study to evaluate contaminants, age, and growth of white sturgeon from the Sacramento-San Joaquin Delta. Fiscal Year 2012: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) anticipates to fund fish passage projects on Deer Creek, Cottonwood Creek, and Cow Creek in the Upper Sacramento River Basin. The AFRP also anticipates funding channel and floodplain restoration projects in the Yuba River, Stanislaus River, Sacramento River, and American River. Fiscal Year 2013: The U.S. Fish and Wildlife Services Anadromous Fish Restoration Program (AFRP) anticipates to fund fish passage and habitat restoration projects on Mill Creek, Deer Creek, Cottonwood Creek, and Cow Creek in the Upper Sacramento River Basin. The AFRP also anticipates to fund channel and floodplain restoration projects in the Yuba River, Stanislaus River, Sacramento River, and American River.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed by a team of Federal staff based on the following criteria: Addresses high priority need as described in the Request for Proposal (RFP) "Purposes and Funding Priorities"; Clearly stated goals, objectives, hypotheses, and relevance of idea; Approach is valid and technically sound; Primary Investigators and/or subcontractors record of performance and expertise; Budget is reasonable and provides good value for funds requested; and Cost sharing or in-kind contributions.

**15.649 SERVICE TRAINING AND TECHNICAL ASSISTANCE (GENERIC TRAINING)****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956 and the Fish and Wildlife Coordination Act, for the development and implementation of programs for the benefit of fish and wildlife species and their habitat (16 U.S.C. 661 and 742 et seq.), Fish and Wildlife Improvement Act of 1978, as amended (16 U.S.C. 753). Endangered Species Act of 1973 (16 U.S.C. 1531-1544, 87 Stat. 884).

**OBJECTIVES:**

To assist in the conservation of the Nation's natural resources by supporting and providing financial resources for training, meetings, workshops and conferences to promote the public's conservation awareness.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Training and technical assistance are used to enhance public awareness and understanding of natural resource conservation and preservation. Projects may include natural resources related education, meetings, training, workshops, and conferences. Details on funding opportunity can be found on [www.Grants.gov](http://www.Grants.gov). 100%.

**Applicant Eligibility:**

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/ organizations.

**Beneficiary Eligibility:**

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/ organizations; general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any applicable pre-application coordination or environmental impact information requirements will be detailed in the funding opportunities posted under this program on Grants.gov (<http://www.grants.gov>). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Standard Form (SF)424 and a written proposal should be submitted through Grants.gov or via hardcopy to the project office and include: a title, justification (including relevance to the Fish and Wildlife Service's priorities as outlined above), objectives, timeframe, and a budget breakdown. Note that the USFWS may circulate proposals to others for review. All Service financial assistance discretionary funding opportunities will be posted on [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Notification of an award is the issuance of a grant or cooperative agreement document by Awarding Official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

This will vary based on the funding opportunity and will range between 3 and 6 months.

**Appeals:**

Applicant may revise and resubmit proposal for consideration.

**Renewals:**

Contact the headquarters or regional office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Statutory formulas and/or matching requirements may be applicable to activities funded under this CFDA. Any formulas or matching requirements will be specified in the funding opportunities posted under this program on Grants.gov. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies by activity being funded, but typically funds are awarded for projects with a one year period of performance. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports will not be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see [http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives

of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$5,368,440; FY 12 est \$1,500,000; and FY 13 est \$1,500,000 - By program activity.

**Range and Average of Financial Assistance:**

Range and average varies by program activity.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FWS provided support for 152 new grants and cooperative agreements for natural resources related education, meetings, trainings workshops, and conferences focused on enhancing public awareness and understanding of natural resource conservation and preservation. Fiscal Year 2012: FWS will continue to provide support for grants and cooperative agreements for natural resources related education, meeting, training, workshops, and conferences focused on enhancing public awareness and understanding of natural resource conservation and preservation. Fiscal Year 2013: FWS anticipates providing support for natural resources related education, meetings, training, workshops, and conferences focused on enhancing public awareness and understanding of natural resource conservation and preservation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Acceptance of a Federal Financial Assistance award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of award per <http://www.doi.gov/pam/TermsandConditions.html>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Information related to each funding opportunity under this program will be stated in the funding opportunities posted on Grants.gov (<http://www.grants.gov>).

**Headquarters Office:**

Chief, Branch of Financial Assistance Coordination Division of Wildlife Sport Fish Restoration, 4401 N. Fairfax Drive, MS-4020, Arlington, Virginia 22203 Phone: (703) 358-2701.

**Website Address:**

<http://www.fws.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FWS provided support for 152 grants and cooperative agreements to support a variety of public and stakeholder training and public outreach activities. Examples of projects supported in FY 11: The development of the Wetlands Mapping Consortium; Association of State Wetland Managers to support the State/Tribal/Federal Workshops in 2011 and 2012; support of the Children & Nature Network - Natural Leaders Network; support of the Alice Ferguson Foundation - Educator Awareness Institute. Fiscal Year 2012: FWS

anticipates providing grants and cooperative agreements to support a variety of stakeholder activities which will include training and public outreach to the National Hispanic Environmental Council - Minority Youth Environmental Institute; National Archery in the Schools Program Bureau of Indian Education Physical Education; Ding Darling Wildlife Society Americas Darling documentary. Fiscal Year 2013: (anticipated): Projects have not yet been selected for funding. Projects to be funded may include natural resources related education, meetings, training, workshops, and conferences focused on enhancing public awareness and understanding of natural resource conservation.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Programs within the Fish and Wildlife Service will review and evaluate all applications consistent with authorized Fish and Wildlife Service program purposes.

#### **15.650 RESEARCH GRANTS (GENERIC)**

##### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

##### **AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. (742f (a)(4); Fish and Wildlife Coordination Act, as amended, 16 U.S.C. 661.; Fish and Wildlife Improvement Act of 1978, as amended (16 U.S.C. 753), Land and Water Conservation Fund Act of 1965, as amended (16 U.S.C. 4601-4 through 11), Endangered Species Act of 1973 (16 U.S.C. 1531-1543).

##### **OBJECTIVES:**

To assist in the conservation of the Nation's natural resources by providing financial assistance for land management, research, and data collection/analysis to further the preservation of natural resources.

##### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

##### **USES AND USE RESTRICTIONS:**

Research grants will be used for improving scientific support for natural resource management, to enhance public awareness and understanding of natural resource conservation and preservation. Projects may include land management practices; literature research, data/information analysis and dissemination improving scientific support for natural resource management. Details on funding opportunities can be found on [www.Grants.gov](http://www.Grants.gov). 100%.

##### **Applicant Eligibility:**

Federal, State and local government agencies; Federally-recognized Tribal governments; private nonprofit institutions/organizations; public nonprofit institutions/organizations.

##### **Beneficiary Eligibility:**

Federal, State and local government agencies; Federally-recognized private nonprofit institutions/organizations; public nonprofit institutions/ organizations; general public.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Any applicable pre-application coordination or environmental impact information requirements will be detailed in the funding opportunities posted under this program on [Grants.gov](http://www.grants.gov) (<http://www.grants.gov>). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction)

##### **Award Procedure:**

Notification of an award is by the issuance of a grant or cooperative agreement document by Awarding Official.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

This will vary based on the funding opportunity and will range between 3 and 6 months.

##### **Appeals:**

Applicants may revise and resubmit proposals for consideration.

##### **Renewals:**

Contact the headquarters or regional office.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Statutory formulas and/or matching requirements may be applicable to activities funded under this CFDA. Any formulas or matching requirements will be specified in the funding opportunities posted under this program on [Grants.gov](http://Grants.gov).

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Varies by activity being funded, but typically funds are awarded for projects with a one year period of performance. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see

[http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions.

Interim reports will not be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

##### **Account Identification:**

14-1611-0-1-302.

##### **Obligations:**

(Project Grants (Discretionary)) FY 11 \$5,394,747; FY 12 est \$1,500,000; and

FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

Range and average varies by program activity.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FWS provided support for 83 grants and cooperative agreements for research grants focused on improving scientific support for natural resource management. Fiscal Year 2012: FWS continues to assist in the conservation of the Nations natural resources by providing financial assistance for research grants focused on improving scientific support for natural resource management . Fiscal Year 2013: FWS will continue to assist in the conservation of the Nations natural resources by providing financial assistance for research grants focused on improving scientific support for natural resource management .

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Acceptance of a Federal Financial Assistance award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of award per

<http://www.doi.gov/pam/TermsandConditions.html>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Information related to each funding opportunity under this program will be stated in the funding opportunities posted on [Grants.gov](http://Grants.gov).

**Headquarters Office:**

Chief, Branch of Financial Assistance Coordination, Division of Wildlife Sport Fish Restoration, 4401 N. Fairfax Drive, MS-4020, Arlington, Virginia 22203  
Phone: (703) 358-2701.

**Website Address:**

<http://www.fws.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FWS provided support for 83 grants and cooperative agreements for research grants focused on improving scientific support for natural resource management. Examples of projects funded include: Research into conversion of Florida Land Use and Cover Classification System data (FLUCCS) into data compliant with Cowardin et al. and National Wetland Mapping Standards; research on the effects of Climate Change on wildlife habitat; Estimation of Prevalence of Avian Malaria in Shorebirds; technical assistance for forest management in GA; and support in updating the wetlands data for the Cache River National Wildlife Refuge. Fiscal Year 2012: FWS will continue to provide support for grants and cooperative agreements for research grants focused on improving scientific support for natural resource management. Fiscal Year 2013: (anticipated): Projects have not yet been selected for funding. Projects to be funded may include support for land management, literature research, data/information analysis and dissemination, and other activities focused on improving scientific support for natural resources management.

**CRITERIA FOR SELECTING PROPOSALS:**

Programs within the Fish and Wildlife Service will review and evaluate all applications consistent with authorized Fish and Wildlife Service program purposes.

**15.651 WILDLIFE WITHOUT BORDERS-AFRICA PROGRAM**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C 1531-43.

**OBJECTIVES:**

The Wildlife Without Borders-Africa Program funds projects designed to strengthen the ability of African individuals and institutions to manage and conserve species, habitats, and ecological processes for the benefit of the people of Africa and the world. The Wildlife Without Borders Program defines capacity building as strengthening the ability of individuals and organizations to

conserve biodiversity. Capacity building approaches can include training, facilitating dialogue, program development, and provision of equipment and other resources.

Projects should build capacity in one (or more) of the following themes:

1. Threat Reduction: Includes projects that increase individual and institutional capacity to reduce threats to African wildlife, including extractive industries, human-wildlife conflict, hunting for bushmeat, wildlife disease in and around protected areas, and climate change;
2. Protected Area Management: Includes projects that strengthen the management ability of institutions responsible for protected areas, by conducting a training program or capacity needs assessment, or by undertaking activities that improve management effectiveness, conservation financing, protected area coverage, community outreach and education, conflict resolution, coalition building, human resource management, financial management, vehicle and facility maintenance, law enforcement, grant writing, and/or project implementation;
3. Training Programs: Includes projects that increase the capacity of universities, colleges or other institutions to deliver education and training programs on protected area management and species conservation;
4. Decision Makers: Includes projects that enhance the knowledge of decision makers and other stakeholders in order to strengthen their ability to positively influence wildlife conservation, management, legislation, policy, and finance; and to harmonize these with other national policies.

For all themes listed above, the priority audiences for capacity building include: protected area managers, administrators, guards and rangers; conservation outreach specialists and educators, including professors, teachers, and trainers; community conservationists and staff of local non-governmental and civil society organizations; decision makers, including legislators, legal and other public officials.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

For FY 2012 applications will be limited to Gabon only. If work is to be conducted outside Africa, the proposal must explain how the proposed activities will further protected area conservation and management within Africa to be eligible for funding. The Division of International Conservation will not fund: the purchase of firearms or ammunitions; buying of intelligence information or paying informants; gathering information by persons who misrepresent their identity; law enforcement operations that prompt suspects to carry out illegal activities so they may be arrested (entrapment); or any activity that would circumvent sanctions, laws or regulations of either the U.S. or the country in which the activity would occur. This program is administered in compliance with the Federal Grant and Cooperative Agreement Act of 1977, as amended. These funds may not be used towards training Federal government personnel. For further information, please contact the regional office. 100%.

**Applicant Eligibility:**

Federal, State and local government agencies; non-profit, non-governmental organizations; and public and private institutions of higher education, or any of the stated associate entities on behalf of an eligible individual.

**Beneficiary Eligibility:**

Federal, State and local government. agencies; nonprofit, non-governmental organizations; and public and private institutions of higher education. All recipients, both individual and institutional, must have a bank account and have the ability to receive funds directly.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The program announcement and application instructions for this program can be found at the Grants.gov website: <http://www.grants.gov>. Complete application information can also be found at [http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA\\_AFR12.pdf](http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA_AFR12.pdf), or, if unable to access the website, by requesting a paper copy from the Division of International Conservation, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, Room 100, Arlington, VA 22203, Telephone: (703) 358-1754. A proposal will not be considered complete if all required elements are not submitted as instructed. U.S. applicants must submit (among other elements) a complete, signed Standard Form 424 Application for Federal Assistance

**Award Procedure:**

Projects are reviewed and competitively selected for funding based on established criteria. Review criteria can be found in the application information at [http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA\\_AFR12.pdf](http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA_AFR12.pdf). Once a proposal has been selected for funding, an Assistance Award between the Fish and Wildlife Service and the Recipient is executed by an FWS approving official. Fully executed Awards are sent to the Recipient either electronically or through the mail. The Division of International Conservation then administers all other aspects of the Assistance Award.

**Deadlines:**

Dec 01, 2012 December 1, 2011. Proposals are due by close of business on December 1 for FY 2012.

**Range of Approval/Disapproval Time:**

Decisions on funding of project proposals are normally made no later than 180 days after the receipt of the project proposals.

**Appeals:**

Not Applicable.

**Renewals:**

None. However, at the discretion of the Division of international Conservation awards can be modified, e.g.; extended for time or budget changes.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awarded funds must be spent during the approved project period of performance, in accordance with program financial and performance reporting procedures. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Complete reporting requirements can be found at this program's web page at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf>. Expenditure reports are not applicable. For financial reporting, domestic recipients with no program income to report shall use the Federal Financial Report, Standard Form (SF)-425. Non-domestic recipients shall submit a financial status report that follows the same format of the original project proposal budget table, itemizes expenditures for the reporting period and describes any deviations from the approved project budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient will maintain records in accordance with the provisions of 43 CFR part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,383,767; FY 12 est \$500,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

Variable amounts. Generally \$50,000 or less. Higher amounts may be requested.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Received 62 applications; issued 18 awards. Fiscal Year 2012: Received 12 applications; program anticipates issuing 6 awards. Fiscal Year 2013: Anticipate applications and awards similar in number to FY11 and FY12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be administered in conformance with the "Assistance Award Guidelines" established by the Division of International Conservation, which uses as its source all applicable award terms and conditions found at <http://www.doi.gov/pam/TermsandConditions.html>. The "Assistance Award Guidelines" can be found on-line at <http://www.fws.gov/international/DIC/pdf/NOFA-AAG/AAG.pdf> or in hard copy by contacting the Division of International Conservation.

**Regional or Local Office:**

See Regional Agency Offices. Region 1, (Washington, Oregon, California, Nevada, Idaho, Hawaii, Trust Territories of the Pacific) Regional Director: Renne Lohofener, 911 NE 11th Avenue, Portland, OR 97232-4181. Telephone: (503) 872-2716; Fax: (503)231-6118. California Nevada Operations Office Regional Director: Steve Thompson, 2800 Cottage Way, Suite W2606 Sacramento, CA 95825. Telephone: (916) 414-6486; Fax: (916) 414-6464. Region 2 (New Mexico, Arizona, Oklahoma, Texas) Regional Director: Benjamin Tuggle, P.O. Box 1306, Albuquerque, NM 87103. Telephone: (505) 248-6910; Fax: (505) 248-6282. Region 3, (Minnesota, Indiana, Missouri, Michigan, Wisconsin, Ohio, Illinois, Iowa). Regional Director, Robyn Thorson Federal Building, 1 Federal Drive, Fort Snelling, MN 55111. Telephone: (612) 713-5284; Fax: (612) 713-5301. Region 4, (Kentucky, Arkansas, Tennessee, North Carolina, South Carolina, Georgia, Alabama, Mississippi, Louisiana, Florida, Virgin Islands, Puerto Rico). Regional Director: Sam Hamilton, 1875 Century Boulevard, Atlanta, GA 30345. Telephone: (404)679-4006 Fax: (404) 679-4000. Region 5, (Virginia, West Virginia, Maryland, Pennsylvania, New York, Delaware, New Jersey, Connecticut, Maine, Massachusetts, Vermont, New Hampshire, Rhode Island) Regional Director: Marvin Moriarty, 300 Westgate Center Drive, Hadley, MA 01035. Telephone: (413) 253-8308. Fax: (413) 253-8300. Region 6, (Colorado, Montana, Nebraska, Utah, Wyoming, Kansas, North Dakota, South Dakota) Regional Director, Mitch King, P.O. Box 25486, DFC Denver, CO 80225. Telephone: (303) 236-7920 Fax: (303) 236-8295 Region 7 (Alaska) Regional Director: Tom Melius, 1011 East Tudor Road, Anchorage, AK 99503. Telephone: (907) 786-3306 Fax: (907) 786-3542.

**Headquarters Office:**

Chief, Department of the Interior, Fish and Wildlife Services, Division of International Conservation, 4401 North Fairfax Drive, Room 100, Arlington, Virginia 22203-1622 Email: [WWB\\_Africa@fws.gov](mailto:WWB_Africa@fws.gov) Phone: (703) 358-1754

Fax: (703) 358-2115.

**Website Address:**

<http://www.fws.gov/international/DIC/regionalprograms/africa/Africa.html>

**RELATED PROGRAMS:**

15.640 Wildlife Without Borders- Latin America and the Caribbean ; 15.641 Wildlife Without Borders-Mexico

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The program supported 1) Building a collaborative network of African researchers and resource managers who can work together to conserve West African manatees in every country in the species range (the African Atlantic coast from Mauritania to Angola, and the interior countries of Mali, Niger and Chad). Activities include training in manatee fieldwork techniques and provision of needed field equipment in the network members countries. Information on manatees will be disseminated to stakeholders to enable them to make informed decisions regarding the conservation of the West African manatee; 2) Organizing an African Vulture Summit to build a network of vulture specialists, researchers and fieldworkers across the continent who can work together to communicate, share information, build capacity, and transfer skills. The initiative will promote conservation interventions to address the growing threats leading to declines in vulture populations; 3) Providing three USFWS scholarships to West and Central African wildlife professionals who will benefit from contact with USFWS and partner organizations over the course of their careers. It also builds the capacity of Ecole de Faune de Garoua faculty to more effectively teach and conduct applied research on great apes and wildlife conservation. Examples of other funded projects are available through the programs website at

[http://www.fws.gov/international/DIC/pdf/Africa\\_PS\\_FY11.pdf](http://www.fws.gov/international/DIC/pdf/Africa_PS_FY11.pdf). Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that are similar in scope to FY 2011. Fiscal Year 2013: Program anticipates funding projects that are similar in scope to FY 2012.

**CRITERIA FOR SELECTING PROPOSALS:**

A complete list of the criteria used to select projects under this program will be included as part of the Wildlife Without Borders-Africa Notice of Funding Availability and Application Instructions at [http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA\\_AFR12.pdf](http://www.fws.gov/international/DIC/pdf/NOFA-AAG/NOFA_AFR12.pdf). Hard copies can be obtained by contacting the Division of International Conservation at (703) 358-1754 or [WWB\\_Africa@fws.gov](mailto:WWB_Africa@fws.gov).

**15.652 UNDESIRABLE/NOXIOUS PLANT SPECIES**

(Weeds Program)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); and National Wildlife Refuge System Administration Act, 16 U.S.C. 668dd.

**OBJECTIVES:**

To encourage coordination and integration of efforts between the U.S. Fish and Wildlife Service (USFWS) and interested parties to accomplish successful management of undesirable plant species. Projects must conserve, protect, and enhance fish, wildlife and plants for the continuing benefit of the American people.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used for approved projects on or off Service lands within the landscape of FWS property or projects that facilitate the identification, management and eradication of undesirable plant species.

**Applicant Eligibility:**

Applicants may be State and local governments, educational institutions, private and public nonprofit organizations, and institutions and private individuals which support the mission of the Service.

**Beneficiary Eligibility:**

State and local governments; private and public nonprofit organizations; other private and public organizations; and private individuals who support the mission of the Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Regional Director of the U.S. Fish and Wildlife Service or designee approves or disapproves submitted proposals. Criteria for selection are outlined in the funding announcement and application package posted to [Grants.gov](http://Grants.gov). Successful applicant(s) will be notified after selection and confirmation of available funding. An applicant(s) should not initiate a project in expectation of USFWS funding, nor should they purchase materials or begin work until such time as they receive the final award document signed by an authorized Service official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Awards are anticipated within 90 days or less.

**Appeals:**

Contact the headquarters or regional office.

**Renewals:**

Contact the headquarters or regional office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project awards are generally from one to five years, depending on the complexity of the project and availability of funds. The five year restriction on the length of time is due to the period of availability of funds, which is limited to the five-year rule. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

No program reports are required. No cash reports are required. All projects and activities are monitored for progress and compliance with the agreed upon scope of work. Recipients of funding are required to submit semi-annual financial reports (SF-425, Federal Financial Report). Performance reports are due within 30 days of the award anniversary date. Final performance and financial reports are due within 90 days of the end date of the award period of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required to be maintained for three years following submission of the final expenditure report.



**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$200,600; FY 12 est \$200,600; and FY 13 est \$200,600

**Range and Average of Financial Assistance:**

3,000 to 80,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Fish and Wildlife Service has collaborated and will continue to collaborate with private, State, and county government to jointly address issues surrounding the management of noxious and undesirable plant species. Fiscal Year 2012: The FWS anticipates continued collaboration with private, state and county governments to jointly address issues surrounding the management of noxious and undesirable plant species. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional offices.

**Headquarters Office:**

U.S. Fish and Wildlife Service U.S. Department of the Interior, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670 , Arlington, Virginia 22203 Phone: (703) 358-1744 Fax: (703) 358-2248.

**Website Address:**

<http://www.fws.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Projects not yet selected for funding. Projects will address issues surrounding the management of noxious and undesirable plant species. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the basis of lasting effect on conservation, preservation, wildlife and their habitats.

**15.653 NATIONAL OUTREACH AND COMMUNICATION PROGRAM**

(NOC )

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Transportation Equity Act for the 21st Century 1998, Public Law 105-178, 112 Stat. 107, 23 U.S.C. 101, Sportfishing and Boating Safety Act of 1998, Section 7402, Public Law 105-178, Subtitle D and subsequent reauthorizations.

**OBJECTIVES:**

To improve communications with anglers, boaters, and the general public regarding angling and boating opportunities, to reduce barriers to participation in these activities, to advance adoption of sound fishing and boating practices, to promote conservation and the responsible use of the nation's aquatic resources, and to further safety in fishing and boating.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The recipients work is focused on strategies and activities identified in the Strategic Plan for the National Outreach and Communication Program as required by the Sportfishing and Boating Safety Act of 1998. These activities are intended to increase participation in recreational boating and fishing. For example, program funds have been used to develop a national database of fishing and boating locations that is available on the internet. If work is to be conducted outside of those identified in the original plan, the activity must show a clear relevance to the Strategic Plan. 100%. This program has been

determined to be a discretionary program and the funds are made available through a competitive process.

**Applicant Eligibility:**

Participation limited to applicant with expertise to conduct work within the scope of the Strategic Plan for the National Outreach and Communication Program as required by the Sportfishing and Boating Safety Act of 1998, or if work is to be conducted outside of the range, the applicant must document a clear relevance to the Strategic Plan and the ability to conduct the proposed work.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

To apply for grant funds, the applicant must provide documentation of marketing expertise in sport fishing and boating safety and submit an online application through Grants.gov. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction)

**Award Procedure:**

Funding recommendations, based upon a process outlined in the funding announcements, will be forwarded to the Awarding Official. Applicants will be notified by Awarding Official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Within 120 days.

**Appeals:**

Contact the headquarters or regional office.

**Renewals:**

Contact the U.S. Fish and Wildlife Services national headquarters office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in, but not restricted to, 12-month budget periods. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The recipient shall submit progress and financial reports as specified in the award. At a minimum, the recipient shall submit an SF-425, Federal Financial Report within 90 days of the one year anniversary date of the award. A final SF-425 is due within 90 days of the end of the award period of performance. At a minimum, a performance progress report summarizing accomplishments and including an explanation of any milestones not accomplished is to be submitted within 90 days of the one year anniversary date of the award. A final performance progress report is due within 90 days of the end of the award period of performance; one copy of all printed products completed using awarded funds is also due within 90 days of the end of the award period of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the financial report.

**Account Identification:**

14-8151-0-7-303.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$12,514,238; FY 12 est \$12,027,783; and FY 13 est \$12,600,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Engaged more than 700,00 youth in events and activities associated with recreational boating and fishing, generated 51,000 pledges from existing anglers to take additional individuals angling, and generated more than 1,500 media articles on boating and fishing. Fiscal Year 2012: The program anticipates that more than 500,000 youth will be involved in sponsored events, more than 200,000 fishing licenses will be purchased and more than 1,300 articles on fishing and boating will be generated. Fiscal Year 2013: Anticipate engaging more than 700, 000 in programs that encourage participation in recreational angling and boating.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines and literature on the U.S. Fish and Wildlife Service programs is available at: <http://fws.gov> and <http://www.fws.gov/contracts/index.html> . Federal financial assistance regulations and relevant OMB circulars are located at <http://www.whitehouse.gov/omb/circulars/index.html>, <http://www.doi.gov/pam/financialassistance.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Recreational Boating and Fishing Liaison 4401 N. Fairfax Drive, MS-3103-AEA, Arlington, Virginia 22203 Phone: (703) 358-2435.

**Website Address:**

<http://www.fws.gov/conservationpartnerships/>.

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.616 Clean Vessel Act; 15.622 Sportfishing and Boating Safety Act; 15.628 Multistate Conservation Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: : Examples of activities include the TakeMeFishing.org web site, sub-grants to several organizations for youth fishing events and structured courses, and the Explore the Blue program . Fiscal Year 2012: Examples will include continued funding of the TakeMeFishing.org web site, a national media campaign designed to encourage and increase participation in recreational fishing and boating, and other similar effort. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects similar to those that are consistent with the intent of the strategic plan.

**CRITERIA FOR SELECTING PROPOSALS:**

Each grant application will be reviewed for documentation required in the Program Guidelines and Application Kit.

**15.654 VISITOR FACILITY ENHANCEMENTS - REFUGES AND WILDLIFE**

Refuges and Wildlife

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Conservation Act of 1934 (16 U.S.C. 2901-2911); Fish and Wildlife Act of 1956 (16 U.S.C. 742(a)-754); Refuge Recreation Act of 1962 (16 U.S.C. 460k-460k(4)); National Wildlife Refuge System Administration Act of 1966 (16 U.S.C. 668dd); Youth Conservation Corps Act of 1972 (16 U.S.C. 1701-1706); Archaeological Resources Protection Act of 1979 (16 U.S.C. 470aa-47011); The National Wildlife Refuge System Act of 1997 (Public Law 105-57); National Wildlife Refuge System Volunteer and Community Partnership Act of 2004 (Public Law 108-327).

**OBJECTIVES:**

To provide technical and financial assistance to identify, protect, conserve, manage, enhance, or restore the ecological condition of the National Wildlife Refuge System (NWRS) trust resources through work on and off NWRS lands.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funds may be used for approved activities that support the objectives of the National Wildlife Refuge System (NWRS). For further information, please contact regional office. For further information, please contact regional office.

**Applicant Eligibility:**

Applicants may be State and local governments, private, public, nonprofit organizations, institutions and private individuals, which support the mission of the Service.

**Beneficiary Eligibility:**

State and local governments; private and public nonprofit organizations; other private and public organizations; and private individuals who support the mission of the Service.

**Credentials/Documentation:**

43 CFR Part 12 establishes requirements for grants awarded by agencies of the U.S. Department of the Interior. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. At a minimum, applicant must complete the Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction).

**Award Procedure:**

The regional Refuge Chief, or designee, will approve/disapprove proposed projects. Regional Offices are responsible for notification of grant approval to the grantee by return of a completed agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30-60 days. Target is approximately 45 working days after receipt of proposal/application, dependent upon the complexity of the agreement.

**Appeals:**

Contact the headquarters or regional office.

**Renewals:**

Projects may be renewed as needed, if justified and depending on the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: No matching is required; however, matching funds are encouraged.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The release of assistance funds may vary depending upon the recipient. Regional Office staff can explain procedures for requiring either lump sum or quarterly payment methods. See the following for information on how assistance is awarded/released: The release of assistance funds may vary depending upon the recipient. Regional Office staff can explain procedures for requiring either lump sum or quarterly payment methods.

**Reports:**

No program reports are required. No cash reports are required. The recipient shall submit progress and financial reports as specified in the award. At a minimum, the recipient shall submit an SF-425, Federal Financial Report within 90 days of the one year anniversary date of the award. A final SF-425 is due within 90 days of the end of the award period of performance. An interim performance progress report summarizing accomplishments and including an explanation of any milestones not accomplished may be required and is to be submitted within 90 days of the one year anniversary date of the award. A final performance progress report is required and is due within 90 days of the end of the award period of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for agreements awarded to State and Local Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for agreements awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$110,000; FY 12 est \$110,000; and FY 13 est \$110,000 - Conservation Planning. (Cooperative Agreements (Discretionary Grants)) FY 11 \$9,973,000; FY 12 est \$9,973,000; and FY 13 est \$9,973,000 - Wildlife and Habitat Management. (Cooperative Agreements (Discretionary Grants)) FY 11 \$2,799,000; FY 12 est \$2,799,000; and FY 13 est \$2,799,000 - Visitor Services.

**Range and Average of Financial Assistance:**

\$1,000 to \$1,000,000, or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2011 and Fiscal Year 2012: Program will continue to address the ecological condition of Refuge System lands; performed conservation work at landscape scales both on and off Refuge System lands; and improved quality of wildlife-dependent recreation for Refuge System visitors. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: Program anticipates on addressing ecological conditions on Refuge System lands and performing conservation work at landscape scales.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative agreements/project grants are administered in conformance with the U.S. Fish and Wildlife Service Administrative Service Manual and 43 CFR 12.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Please visit [www.fws.gov/refuges](http://www.fws.gov/refuges) to locate the Regional and Local Office contacts.

**Headquarters Office:**

Assistant Director, Fish and Wildlife Service, Department of the Interior, National Wildlife Refuge System, 4401 N. Fairfax Drive, Suite 670, Arlington, Virginia 22203 Phone: (703) 358-1744 Fax: (703) 358-2248.

**Website Address:**

[www.fws.gov](http://www.fws.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Fiscal Year 2011 and Fiscal Year 2012: Support for conservation-related conferences through work with Friends Groups and partners; Invasive species work both on- and off-refuge lands; support for migratory bird-related programs with partners. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: Program anticipates providing support for projects similar to those funded in FY 11 and FY 12.

**CRITERIA FOR SELECTING PROPOSALS:**

Program specific criteria is specified in the announcements of the individual financial assistance programs.

**15.655 MIGRATORY BIRD MONITORING, ASSESSMENT AND CONSERVATION**

(Migratory Bird)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; Migratory Bird Treaty Act, 16 U.S.C. 709a.

**OBJECTIVES:**

Working with others to conserve, enhance, and better understand the ecology and habitats of migratory bird species.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Grants and payments may be used for the conservation of any bird species protected by the Migratory Bird Treaty Act. Special emphasis will be placed on bird species listed in USFWS conservation and management priorities documents (e.g. USFWS Birds of Conservation Concern 2008, Focal Species list). Implementing national, regional, flyway Bird Conservation Region, and state-level bird conservation plans (e.g., Partners in Flight North American Landbird Conservation (<http://www.partnersinflight.org>), U.S. Shorebird Conservation Plan (<http://shorebirdplan.fws.gov>) North American Waterbird Conservation Plan (<http://birdhabitat.fws.gov/NAWMP/nawmphp.htm>) are among the Service's highest priorities. Projects related to the priorities identified in these plans will receive the greatest funding consideration. Projects should address one or more of the following activities: a) Population surveys and monitoring to determine the health, status, trends, and distribution of bird species and groups of concern. Emphasis will be placed on landscape-level applications of standardized inventory and monitoring protocols (e.g., Breeding Bird Atlases, national marshbird call playback surveys). Local-scale monitoring (e.g., local land management units) activities will generally not be a focus of this program; b) Applied research, including but not limited to, studies of habitat requirements, limiting factors, and population responses to habitat conservation activities; development of new monitoring techniques and programs for poorly-surveyed species; use of Geographic Information Systems, bird habitat modeling, and similar tools to identify bird habitat focus areas and further bird conservation planning efforts; and investigation of avian mortality events and monitoring of health and disease problems; c) Compilation of technical information, such as status reviews of bird species of concern, development of habitat management and restoration guidelines, disseminating updates and providing training about current and emerging diseases which impact migratory bird populations, and other outreach and education programs including programs structured towards youth and connecting people with

nature. Habitat management projects are generally not covered under this program. For further information, please contact the regional office. For further information, please contact the regional office.

**Applicant Eligibility:**

Federal; Interstate; Intrastate; State; Local; including Tribal Government; Public Nonprofit Institution/Organization; Other Public Institution/Organization; Federally Recognized Tribal Government; U.S. Territory or Possession; Institutions of Higher Education including Public Private, State College, University, Junior, and Community College; Individual/Family; Specialized Group; Small Business; Profit Organization; Private Nonprofit Institution/Organization; Quasi-Public Nonprofit Institution/Organization; Other Private Institution/Organization; or Native American Organization.

**Beneficiary Eligibility:**

Federal; Interstate; Intrastate; State; Local; including Tribal Government; Public Nonprofit Institution/Organization; Other Public Institution/Organization; Federally Recognized Tribal Government; U.S. Territory or Possession; Institutions of Higher Education including Public Private, State College, University, Junior, and Community College; Individual/Family; Specialized Group; Small Business; Profit Organization; Private Nonprofit Institution/Organization; Quasi-Public Nonprofit Institution/Organization; Other Private Institution/Organization.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pre-application coordination is not required. Environmental impact information may be required and will be specified in program funding opportunity postings on Grants.gov. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Projects and informal or formal proposals may be requested by the Regional or National Migratory Bird Program office directly from appropriate eligible applicants. These funding opportunities will be posted at [www.grants.gov](http://www.grants.gov) and will clearly outline the required forms or supplements (e.g. SF-424, full budget, etc.). Unsolicited project proposals from eligible applicants may also be submitted for consideration to Regional or National offices. Projects may also be mutually developed by the Regional or National office and appropriate eligible applicants. All projects contain mutually agreed upon deliverables and funding. Applicant must complete the Standard Form (SF)-424, and the appropriate Budget Assurances forms (SF-424A and SF 424B - Non-construction; or SF-424C and SF-424D - Construction).

**Award Procedure:**

The Migratory Bird Program Chief reviews and approves conservation projects based on proposals meeting the objectives. Once a proposal is accepted and mutually agreed upon deliverables and funding are approved, a formal agreement is written. Upon signing both parties, work can begin.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Decisions on funding a proposal are usually made no later than 180 days after receipt of the proposal. However, funding opportunities may present themselves at a later opportunity at which time projects may be reconsidered.

**Appeals:**

Not Applicable.

**Renewals:**

An award may be modified at the discretion of the issuing Regional or National office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance of awards will vary. The time phasing of assistance will vary based on timing of appropriation and funding opportunity posting dates and deadlines. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and for compliance with award scope of work. The recipient shall submit progress and financial reports as specified in the award. At a minimum, a performance progress report summarizing accomplishments and including an explanation of any milestones not accomplished is to be submitted within 90 days of the one year anniversary date of the award. A final performance progress report is due within 90 days of the end of the award period of performance. All project reports may be evaluated and reviewed by project supervisor and his or her appointees, including but not limited to outside sources such as other appropriate federal; staff at national and regional levels, state and local government employees, and other individuals with project area expertise, to insure quality and fulfillment of obligation. At a minimum, the recipient shall submit an SF-425, Federal Financial Report within 90 days of the one year anniversary date of the award. A final SF-425 is due within 90 days of the end of the award period of performance. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Cooperative Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$2,255,000; FY 12 est \$1,750,000; and FY 13 est \$1,750,000

**Range and Average of Financial Assistance:**

Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Research on avian collisions with communications towers, particularly during migration, research will build upon previous research and allow us to further quantify the avian fatalities under towers with different lighting systems and heights in different regions. Fiscal Year 2012: The program is working with partners to lead monitoring efforts that provide vital information to important continental landscape questions. For example secretive marshbirds, such as rails, and other diverse species that rely on emergent wetlands, are threatened by loss of their habitats across the U.S.. the Service and its partners are collaborating on a multi-faceted investigative program that will guide informed decision making to implement Biological Planning and Conservation delivery to benefit these and other birds. The data will help inform the regulation of harvest for hunted marshbirds, and the interventions and investments needed for some of these highly imperiled species. Fiscal Year 2013: The Program will continue to work with partners in

the development and implementation of conservation plans that contribute to improving the health of migratory birds species and their habitats.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Additional information is available from Regional and National Migratory Bird Offices as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Chief, Migratory Bird Monitoring, Assessment and Conservation, Fish and Wildlife, Department of the Interior, 4401 N Fairfax Drive, Arlington, Virginia 22203 Phone: (703) 358-1757

**Website Address:**

<http://www.fws.gov/migratorybirds/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Regional Migratory Bird offices have provided funding to support bird conservation projects such as: the Development and Evaluation of a Parts collection Survey for White-winged Doves in Southwestern U.S., to conduct ground surveys for secretive marsh birds locations, the data collected will be entered into the Patuxent Wildlife Research Center Database. Funds also supported several cities in the Urban Treaties Program, part of the Youth and Careers in Nature initiative. Fiscal Year 2012: Projects not yet selected for funding. Anticipated to provide funding for bird conservation projects similar to those selected in FY10 and FY11. The number of projects funded will depend upon annual appropriation and program priorities. Fiscal Year 2013: We plan to continue supporting bird conservation projects similar to prior fiscal years. The number of projects funded will depend upon annual appropriations and program priorities.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.656 RECOVERY ACT FUNDS - HABITAT ENHANCEMENT, RESTORATION AND IMPROVEMENT.**

(ARRA)

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009; Alaska National Interest Lands Conservation Act, 16 U.S.C 3101; Fish and Wildlife Coordination Act of 1958, 16 U.S.C 661-667; Sikes Act of 1974, as amended, 16 U.S.C 670a-670o; Marine Mammal Protection Act of 1972, as amended, Public Law 92-522; Fish and Wildlife Act of 1956, 16 U.S.C 742a-742j; Partners for Fish and Wildlife Act, 16 U.S.C 3771; Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended, 16 U.S.C 4701-4741; Great Lakes Fish and Wildlife Restoration Act, as amended; Endangered Species Act of 1973, 16 U.S.C 1531.

**OBJECTIVES:**

To provide technical and financial assistance to identify, protect, conserve, manage, enhance or restore habitat or species on both public and private lands.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Assistance is provided to fund projects that improve habitat and/or any related activity necessary to accomplish this goal. Funds may be used for habitat assessments, protection and restoration of public and private land and may include alternative/renewable energy efficient projects. Funds may also be used to encourage public usage by providing access and education. Providing fish passage and stocking of fish from National and/or State Fish Hatcheries and advising on wildlife management techniques may be management tools considered. Working with interns on habitat restoration projects is acceptable. 100%.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

43 CFR Part 12 establishes requirements for grants awarded by agencies of the U.S. Department of Interior. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application procedures are specified in [www.grants.gov](http://www.grants.gov), which require, at a minimum, the submission of a project proposal along with the completed SF 424 Application for Federal Assistance.

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or the designee will approve or disapprove proposed projects. Regional Offices are responsible for notification of grant approval to the grantee by return of a completed agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 working days after receipt, dependent upon the complexity of the Cooperative Agreement.

**Appeals:**

None.

**Renewals:**

Projects may be renewed as needed, if justified and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: No matching is required, however, matching funds are encouraged to allow for additional restoration. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Recovery Act places restrictions on the time permitted to spend the money awarded. The Regional Office Contact Person can further explain the restrictions placed upon the time period to fully spend the money awarded under the project. See the following for information on how assistance is awarded/released: The release of assistance award funds may vary depending upon the recipient. The Regional Office Contact Person can further explain the procedures for requiring either lump sum or quarterly payment methods.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional performance reporting requirements as described in the award terms and conditions, announcement packages available on [www.grants.gov](http://www.grants.gov), and [Recovery.gov](http://Recovery.gov). Financial Status Report, using the Federal Financial Report (SF-425), are required for each grant or grant segment annually within 90 days after the anniversary date and/or end date of the agreement. Additional recipient reporting requirements of the Recovery Act will be identified in the agreement. A Performance Report is required for each grant or grant segment annually within 90 days after the anniversary date and/or end date of the agreement. Additional recipient reporting requirements of the Recovery Act will be identified in the agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each awarded cooperative agreement. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports. If questions, such as those raised as the results of audits, remain following the 3-year period, recipients must retain records until all matters are resolved.

**Account Identification:**

14-1613-1-1-302 - 1403101613 TAFS, 105R Fund Code; 14-1610-1-1-302 - 1409101610 TAFS, 109R Fund Code.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No new funding provided for FY 11 or FY 12 and no new funding is expected in FY 13, however, the CFDA should remain active through FY 13 Per OMB M- 11-34 agencies which received Recovery Act funds have until 2013 to complete projects and spend remaining funds.

**Range and Average of Financial Assistance:**

Projects may range from \$1,000 to \$1,000,000, or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FWS continued to support for grants and cooperative agreements to identify, protect, conserve, manage, enhance or restore habitat or species which were previously funded. Fiscal Year 2012: No new funding provided in FY 12. Fiscal Year 2013: No new funding provided in FY 13.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Please visit [www.fws.gov](http://www.fws.gov) to locate the Regional and Local Office contacts.

**Headquarters Office:**

Assistant Director, Fisheries and Habitat Conservation, Fish and Wildlife Service, Department of the Interior, 1849 C Street, N.W., Washington, District of Columbia 20240 Phone: (202) 208-6394 Fax: (202) 208-4674.

**Website Address:**

<http://www.fws.gov>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance; 15.630 Coastal Program; 15.631 Partners for Fish and Wildlife; 66.708 Pollution Prevention Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FWS continued to support for grants and cooperative agreements to identify, protect, conserve, manage, enhance or restore habitat or species. Examples of projects funded include: Reynolds Creek Columbia Spotted Frog Habitat Enhancement Project; Restoration of 72.6 acres bottomland hardwoods and tree planting; Mill Creek culvert replacement project; and South Florida Marsh and Mangrove Swamp Restoration/Enhancement. These projects were funded in previous years. Fiscal Year 2012: No new awards were made in FY 12. Fiscal Year 2013: No new awards were made in FY 13.

**CRITERIA FOR SELECTING PROPOSALS:**

Program specific criteria is specified in the announcements of the individual financial assistance programs.

**15.657 ENDANGERED SPECIES CONSERVATION RECOVERY IMPLEMENTATION FUNDS**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et. seq, as amended; Public Law 93-205, 87 Stat. 884, Endangered Species Act Amendments of 1978, Public Law 95-632, 92 Stat. 3751, and Endangered Species Act Amendments of 1982, Public Law 97-304, 96 Stat. 1411.

**OBJECTIVES:**

To provide federal financial assistance to secure endangered or threatened species information, undertake restoration actions that will lead to delisting of a species; help prevent extinction of a species, or aid in the recovery of species. The purpose of the Endangered Species Act is to provide a means by which the ecosystems upon which endangered and threatened species depend may be conserved, to provide a program for the conservation of these species, and to take appropriate steps to achieve the purposes of treaties and conventions set forth in the law.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

This opportunity is limited to projects carrying out actions described in a species' approved recovery plan, in the implementation schedule of a species' approved recovery plan, actions recommended in complete 5-year status review of the species or in a spotlight species action plan, or projects documenting species' response to climate change. These are discretionary funds that are used for project purposes to help ensure the use of the best available scientific information in making management decisions. The percentage of funds set aside for discretionary activities varies each year. 100% of funds are discretionary.

**Applicant Eligibility:**

State and local government agencies. Institutions of higher education, including public, private state colleges and universities, nonprofits that have 501(c)(3) status with the IRS, Native American tribal organizations (other than recognized tribal governments), city, county or township governments, individuals, Native American tribal governments (federally-recognized), for-profit organizations, and small businesses.

**Beneficiary Eligibility:**

State and local government agencies, institutions of higher education, including public, private, state colleges and universities, nonprofits that have a 501(c)(3) status with the IRS, Native American tribal organizations (other than recognized tribal governments), city, county or township governments, individuals, Native American tribal governments (federally-recognized), for-profit organizations, and small businesses.

**Credentials/Documentation:**

Costs will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable cost. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FWS Regional and Field Office contacts can provide specific information on the amount of funding available, as well as Regional recovery priorities. We encourage you to contact the appropriate FWS Regional and Field Office contacts to discuss potential projects. If funding is available and the potential project addresses a high priority Regional recovery need, then the Regional contact will refer the potential applicant of the appropriate FWS Ecological Services Field Office for further coordination. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The following Federal regulations apply to this program: (1) Federal Acquisition Regulation Subpart 31.2; 2 CFR Parts 215, 220, 225, 230; 43 CFR Parts 12 and 18; and 48 CFR 31. The following OMB Circulars apply to this program: OMB Circular No. A-102 and A-133. Applicant must complete the Standard Form (SF)-424, and the appropriate Budget and Assurances forms (SF-424A and SF-424B Non-construction; or SF-424C and SF-424D Construction). Applicants must also submit a project summary page, and a project description. The project description section of the application should address the evaluation factors identified in the Full Announcement posted on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Awards will be announced by August 1 of each Fiscal Year via letters sent

directly to the applicants. No work may begin on a project until the appropriate legal contracting or procurement documents, and the required environmental compliance documents, have been signed by the authorized FWS official. Unsuccessful applicants will be notified either by letter, fax, email or by telephone.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applications are due by July 2 of each year so that the proposal selection and funding process can be completed before the end of each Fiscal Year (September 30). However, you may submit applications throughout the year. Consideration of applications will ultimately be based on the FWS budget cycle. We encourage partners (especially existing partners who already have a working relationship with local FWS Field Offices) to talk to the local FWS Field Offices about possible project ideas and submittal timeframes.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. However, project applicants are not prohibited from submitting applications for consideration for subsequent funding for multi-year projects though there is no governmental guarantee that multiple years of the project will be funded.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The funding is for projects that can be completed within 1 year of the award date. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. No cash reports are required. Recipients of Recovery Implementation funding will be required to provide a written final report for each funded project detailing project results. If a project is funded for more than one year, the recipient will be required to provide a written, annual report at the end of each year detailing the status of each project, in addition to the final report when the project is completed. In general, OMB Circulars A-102 Sections 40 and 41, and 2 CFR 215 specify requirements for both financial and program performance reporting. A performance report is due annually within 90 days of the anniversary of the start date of the funding award and a final report is due 90 days after the funding expiration. Award recipients may be required to complete the following financial form: Standard Form (SF)-425, Federal Financial Report. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years following the submission of the final expenditure report or until final action has been taken on any litigation, claim or audit finding.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$1,745,740; FY 12 est

\$500,000; and FY 13 est \$500,000 - FY 12 and FY 13 are estimates. We anticipate a decrease in available funding for FY 12 and 13.

**Range and Average of Financial Assistance:**

Varies by Region.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: We received 14 applications for Showing Success and 31 for Preventing Extinction. Of those, we awarded 2 for Showing Success and 8 for Preventing Extinction. Fiscal Year 2012: We anticipate 15 applications for grants. We expect to fund approximately three projects in FY 12. Fiscal Year 2013: We anticipate 15 applications for grants. We expect to fund approximately three projects in FY 13.

These numbers are based on estimates from prior years. We intend to continue to fund conservation actions including securing scientific information about endangered or threatened species, implementing restoration actions that will lead to delisting of a species, help prevent extinction of a species, or aid in the recovery of a species. Projects that address species response to climate change will receive additional consideration.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A table lists administrative requirements that may apply.

**Regional or Local Office:**

See Regional Agency Offices. A list of Regional and Field Office contacts may be accessed at 15.657 posted on grants.gov.

**Headquarters Office:**

Chief, Endangered Species, Division of Consultation, HCPs, Recovery and State Grants, 4401 N. Fairfax Dr., Room 420, Arlington, Virginia 22203 Phone: (703) 358-2171.

**Website Address:**

<http://www.fws.gov/endangered/recovery/index.html>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Michigan monkey-flower management guidance preparation, field surveys, and long-term monitoring; Experimental Salt Creek Tiger Beetle Rearing and Reintroduction; Continued management and monitoring of existing nest sites. Fiscal Year 2012: We intend to fund similar projects in FY 2012 and FY 2013 to contribute to the recovery of FWS-managed endangered and threatened species in the United States. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This opportunity is limited to projects carrying out actions described in a species approved recovery plan, in the implementation schedule of a species approved recovery plan, actions recommended in a completed 5-year status review of the species or in a spotlight species action plan, or projects documenting species response to climate change.

**15.658 NATURAL RESOURCE DAMAGE ASSESSMENT, RESTORATION AND IMPLEMENTATION (NRDAR)**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Oil Pollution Act of 1990, Public Law 101-380; Comprehensive Environmental Response, Compensation and Liability Act, 42 U.S.C 9601, et seq.; Fish and Wildlife Act of 1956, 16 U.S.C 742a-742j; Federal Water Pollution Control Act, 33 U.S.C 1251-1387.

**OBJECTIVES:**

To restore natural resources injured by oil spills or hazardous substance releases. This is to be done by Natural Resource Trustees; seeking and identifying natural resources injured, determining the extent of the injuries, recovering damages from responsible parties, and planning and carrying out

natural resource restoration activities.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Assistance is provided to individual and groups to fund assessments, implementation, recovery of damages or any related restoration activity necessary to meet the intent of the Natural Resource Damage Assessment and Restoration program. 100%.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B - Non-construction; or SF 424C and SF 424D - Construction) Application for Federal Assistance.

**Award Procedure:**

The Regional Director of the Fish and Wildlife Service or his or her designee approves or disapproves of proposed projects. Regional Offices are responsible for notifying the grantee of grant approval by the return of a completed agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 working days after receipt, dependent upon the complexity of the agreement.

**Appeals:**

Not Applicable.

**Renewals:**

Project may be renewed as needed, if justified and if funds are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: There are no matching fund requirements, however, matching funds are encouraged to allow for additional restoration.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration is between 1 and 5 years. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A performance report is required for each grant award annually within 90 days after the anniversary date. A final performance report is due within 90 days of the end of the award period of performance. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance

please see

[http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports will not be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award.

A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each awarded grant. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports.

**Account Identification:**

14-1618-0-1-302; 14-5198-1-4-303 - Recovered; 14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$10,667,642; FY 12 est \$10,500,000; and FY 13 est \$15,000,000

**Range and Average of Financial Assistance:**

Projects may range from \$1,000 to \$1,000,000 or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: actual

Enhanced/Restored: 4,922 acres and 104 riparian/shoreline miles

Managed/Protected: 83,399 acres and 307 riparian/shoreline miles

Made available for recreation: 57,209 acres and 407 miles

\*Note: These accomplishments are program wide; we cannot separate projects accomplished through grants or cooperative agreements. Fiscal Year 2012: anticipated

Enhanced/Restored: 3,231 acres and 70 riparian/shoreline miles

Managed/Protected: 154,242 acres and 316 riparian/shoreline miles

Made available for recreation: 128,798 acres and 655 miles

\*Note: These accomplishments are program wide; we cannot separate projects accomplished through grants or cooperative agreements. Fiscal Year 2013: anticipated:

Enhanced/Restored: 5,264 acres and 111 riparian/shoreline miles

Managed/Protected: 89,235 acres and 328 riparian/shoreline miles

Made available for recreation: 61,213 acres and 435 miles

\*Note: These accomplishments are program wide; we cannot separate projects accomplished through grants or cooperative agreements.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Please see [www.fws.gov](http://www.fws.gov) to locate Regional and Local Office Contacts.

**Headquarters Office:**

Chief, Division of Environmental Quality U.S. Fish and Wildlife Service, 4401 North Fairfax Drive, Rm. 820, Arlington, Virginia 22203 Phone: (703) 358-2171

**Website Address:**

<http://www.fws.gov/contaminants/Issues/Restoration.cfm>



**RELATED PROGRAMS:**

15.236 Environmental Quality and Protection Resource Management; 66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice; 66.708 Pollution Prevention Grants Program; 66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements; 66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites; 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (actual):

Tidal marsh restoration (berm removal and channel dredging), OR  
Wetland invasive plant control (physical removal and chemical application), CT  
Upland acres protected (conservation easement), CT. Fiscal Year 2012: FY12 (anticipated):

Removal of stream barriers to improve salmon migration, CA  
Installation of informational kiosks and improve access to a recreational area, OR

Stream bank stabilization and habitat enhancement (plant native trees and shrubs), VA. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects that restore trust species and their habitats to compensate for injuries from contaminant releases and oil spills.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.659 NATIONAL WILDLIFE REFUGE FUND**

Refuge Revenue Sharing

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Refuge Revenue Sharing Act, Public Law 88-523, 78 Stat. 701, 16 U.S.C 715s;  
Refuge Revenue Sharing Act of 1978, Public Law 95-469, 92 Stat. 1319.

**OBJECTIVES:**

To provide revenue sharing payments to local governments to offset tax losses for fee and withdrawn domain lands within the approved acquisition boundaries, using revenues derived from the sale of products from National Wildlife Refuges and other fee acquisition lands administered solely or primarily by the Service including public domain lands. Congress may appropriate funds to cover any shortfall for payment to counties.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Counties may use the funds for any governmental purpose and may pass the funds to lesser units of local government within the county that experience a reduction of real property taxes as a result of the existence of fee and withdrawn domain lands. 100%.

**Applicant Eligibility:**

Natural Resources (mineral, water, wildlife, land).

**Beneficiary Eligibility:**

Intrastate, State, Local.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Award procedure is available in the grants.gov announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Payments under the Act are made on the basis of: (a) 3/4 of 1 percent of the market value based on the appraised value of the land conducted every 5 years; or (b) 25 percent of the net receipts; or (c) 75 cents per acre. Payment of 25 percent of the net receipts is made to counties for public domain land that was never on the tax rolls.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients shall maintain records in accordance with 43 CFR 12.82 and 12.953.

**Account Identification:**

14-1691-0-1-806; 14-5091-0-2-806.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$17,000,000; FY 12 est \$3,000,000; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Eric Alvarez, Fish and Wildlife Service, National Wildlife Refuge System, 4401 N. Fairfax Drive, Arlington, Virginia 22203 Email: a\_eric\_alvarez@fws.gov Phone: (703) 358-1713 Fax: (703) 358-2223.

**Website Address:**

<http://www.fws.gov>

**RELATED PROGRAMS:**

15.226 Payments in Lieu of Taxes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **15.660 ENDANGERED SPECIES - CANDIDATE CONSERVATION ACTION FUNDS**

### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

### **AUTHORIZATION:**

Endangered Species Act of 1973, as amended., Public Law 93-205, 87 Stat. 884, 16 U.S.C 1531 et. seq.; Land and Water Conservation Fund Act of 1965, 16 U.S.C 4601.

### **OBJECTIVES:**

The objective is to secure candidate and other at-risk species information or undertake restoration actions that will help avert federal listing of species. The purpose is to provide a means by which the ecosystems upon which candidate and at-risk species depend may be conserved, to provide a program for the conservation of these species.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

### **USES AND USE RESTRICTIONS:**

The assistance can be used for Candidate Conservation. Funding maybe used for actions related to: (1) the development of scientific information that is useful in supporting candidate assessments, conservation actions and candidate conservation agreements; (2) reduce threats to a candidate and other high priority species, such as propagation of imperiled freshwater mussels; or (3) conservation of candidate species, such as biological field work to conduct species surveys; or (4) in a spotlight species action plan, or projects documenting species' response to climate change. These are discretionary funds that are used for project purposes to help ensure the use of the best available scientific information in making management decisions. The percentage of funds set aside for discretionary activities varies each year. An estimated ten percent of the total funds are available as discretionary grants.

### **Applicant Eligibility:**

Natural Resources.

### **Beneficiary Eligibility:**

Anyone/general public.

### **Credentials/Documentation:**

Cost will be determined in accordance with 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Section 12.62 (of the common rule), identifies Federal cost principles for determining allowable costs. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

FWS Regional Field Office contacts can provide specific information on the amount of funding available, as well as Regional recovery priorities. We encourage you to contact the appropriate FWS Regional and Field Office contacts to discuss potential projects. If funding is available and the potential project address a high priority Regional recovery need, then the Regional contact will refer the potential applicant of the appropriate FWS Ecological Services Field Office for further coordination. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The following Federal regulations apply to this program: (1) Federal Acquisition Regulation Subpart 31.2; 2 CFR Parts 215, 220, 225, 230; 43 CFR Parts 12 and 18; and 48 CFR 31. The following OMB Circulars apply to this program: OMB Circular No. A-102 and A-133. Applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances Forms (SF 424A and SF 424B - Non-construction; or SF 424C and SF 424D - Construction). Applicants must also submit a project summary page, and a project description. The project description section of the application should address the evaluation factors identified in the Full Announcement posted on [www.grants.gov](http://www.grants.gov).

### **Award Procedure:**

Awards will be announced by August 1 of each Fiscal year via letters sent directly to the applicants. No work may begin on a project until the appropriate legal contracting or procurement documents, and the required environmental compliance documents, have been signed by the authorized FWS official. Unsuccessful applicants will be notified either by letter, fax, email or by telephone.

### **Deadlines:**

Jul 02, 2011 Applications are due by July 2 of each year so that the proposal selection and funding process can be completed before the end of each fiscal year (September 30). However, applications may be submitted throughout the year. Consideration of applications will ultimately be based on the FWS budget cycle. We encourage partners (especially existing partners who already have a working relationship with local FWS Field Offices) to talk to the local FWS Field Offices about possible project ideas and submittal timeframes.

### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

None, however project applicants are not prohibited from submitting applications for consideration for subsequent funding for multi-year projects though there is no governmental guarantee that multiple years of the project will be funded.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

The funding is for projects that can be completed within one year of the date of award. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients of Candidate Conservation Action funding will be required to provide a written final report for each funded project detailing project results. If a project is funded for more than one year, the recipient will be required to provide a written, annual report at the end of each year detailing the status of each project, in addition to the final report when the project is completed. In general, OMB circulars A-102 40 and 41, and 2 CFR 215 specify requirements for both financial and program performance reporting. A performance report is due annually within 90 days of the anniversary of the start date of the funding award and a final report is due 90 days after the funding expiration. Funding recipients may be required to complete the following financial form: SF-425, Federal Financial Report. A performance report is due annually within 90 days of the anniversary of the start date of the funding award and a final report is due 90 days after the funding expiration.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Records must be maintained for 3 years following the submission of the final expenditure report or until final action has been taken on any litigation, claim or audit finding.

### **Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$32,000; FY 12 est \$200,000; and FY 13 est \$200,000 - This funding opportunity uses U.S. Fish and Wildlife Service Regional and Field Office discretionary funding, if available. The amount of actual funding available in each Regional and Field Office will vary from year to year. Funding may not be available every year in each Regional or Field Office. If funding is available, it may be obligated on a per-project basis, rather than by fiscal year.

**Range and Average of Financial Assistance:**

Varies by Region.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Six projects were funded across the country utilizing \$320,000 in grant funds. Fiscal Year 2012: Based on estimated funding available in FY 2012 and FY 2013, and assuming the average grant amount remains consistent, we expect to be able to fund an estimated ten projects for similar project activities in each of the next two fiscal years. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A table lists administrative requirements that may apply.

**Regional or Local Office:**

See Regional Agency Offices. A list of Regional and Field Office contacts may be accessed at 15.660 posted on grants.gov.

**Headquarters Office:**

Chief, Endangered Species Division of Conservation and Classification, 4401 N. Fairfax Drive, Room 420, Arlington, Virginia 22203 Phone: (703) 358-2171.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

15.615 Cooperative Endangered Species Conservation Fund; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of projects funded in FY 2011 include surveys and translocations of threatened and endangered species such as the southern Idaho ground squirrel. Funding was also awarded to projects for monitoring populations of endangered and threatened species, including a grant awarded to monitor remaining populations of Packard's milkvetch. Fiscal Year 2012: Examples of projects funded in FY-2012 include surveys and planning for candidate species such as the robust and sicklefin redhorse, and surveys for candidate mussels and fish species inhabiting tributaries of the Gulf of Mexico. Funding was also awarded to projects that will facilitate Candidates Conservation Agreements for the black pine snake, gopher tortoise, and other species associated with longleaf pine forests. Fiscal Year 2013: Similar projects that secure candidate and other at-risk species information or undertake restoration actions that will help avert federal listing of species are expected to be awarded in Fiscal Year 2013.

**CRITERIA FOR SELECTING PROPOSALS:**

This opportunity is limited to projects carrying out actions for candidate species describe in annual assessment; or for at-risk species in a conservation plan or strategy; or in a spotlight species action plan; or projects documenting species' response to climate change.

**15.661 LOWER SNAKE RIVER COMPENSATION PLAN (LSRCP)****FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Water Resources Development Act of 1976, Public Law 94-587; Fish and Wildlife Coordination Act, 16 U.S.C 661-666.

**OBJECTIVES:**

To mitigate for the losses of fish and wildlife caused by the construction of four hydroelectric dams on the lower Snake River by the U.S. Army Corps of Engineers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

To operate and maintain LSRCP authorized fish hatcheries owned by the U.S. Fish and Wildlife Service, to evaluate survival and harvest of fish released from LSRCP hatcheries, to assess impacts of LSRCP hatcheries and fish released on Endangered Species Act (ESA) listed species and to coordinate LSRCP programs with other fish hatchery and research programs in the Columbia Basin. For further information, please contact the regional office.

**Applicant Eligibility:**

56 - Natural Resources (mineral, water, wildlife, land).

**Beneficiary Eligibility:**

39 - Anyone/general public; 49 - Farmer/Rancher/Agriculture Producer.

**Credentials/Documentation:**

Applicants must have legal authority to operate fish hatcheries and release fish in the states of Oregon, Washington and Idaho and demonstrated competence to operate fish hatcheries and conduct scientific research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application package must include an SF 424 Application for Federal Assistance, a statement of work or production summary, and an estimated budget.

**Award Procedure:**

Applications are evaluated by the LSRCP Program Administrator based on authorizing legislation and program goals. The Assistant Regional Director for Fisheries in the Specific Region approves all cooperative agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications must be submitted by June 1 each year. Applicant will be notified no later than July 31.

**Appeals:**

Not Applicable.

**Renewals:**

Must be submitted each year by June 1.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The LSRCP projects are approved annually. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A final performance report is required 90 calendar days from the end date of the award. No interim SF-425, Federal Financial Reports are required. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All files will be maintained for 3 years after the completion of the project and submission of the final financial and performance reports.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$24,480,000; FY 12 est \$28,800,000; and FY 13 est \$29,880,000 - FY12 and FY13 amounts are estimates based on prior year funding levels.

**Range and Average of Financial Assistance:**

Range \$279,688 to \$4,867,572; Average \$1,488,599.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The 12 LSRCP fish hatcheries release about 7.7 million spring Chinook, 5.6 million steelhead and 4.6 million fall Chinook each year into the Snake Basin. Recreational, tribal or commercial fisherman harvest returning adult salmon and steelhead that were released from LSRCP hatcheries in Southeast Alaska, British Columbia, the Columbia River and Snake River. Rainbow trout produced by LSRCP hatcheries are harvested in lakes, rivers and ponds in Idaho and Washington. In FY11 the program anticipates to receive 10 applications and issue 10 awards. Fiscal Year 2012: Fish hatcheries will release fish into the Snake Basin. Recreational, tribal or commercial fisherman harvest tracking to confirm if they are returning adult salmon and steelhead released from LSRCP hatcheries in Southeast Alaska, British Columbia, the Columbia River and Snake River. Expect rainbow trout produced by LSRCP hatcheries to be harvested in lakes, rivers and ponds in Idaho and Washington. In FY12 the program anticipates to receive 11 applications and issue 11 awards. Fiscal Year 2013: Fish hatcheries will release fish into the Snake Basin. Recreational, tribal or commercial fisherman harvest tracking to confirm if they are returning adult salmon and steelhead released from LSRCP hatcheries in Southeast Alaska, British Columbia, the Columbia River and Snake River. Expect rainbow trout produced by LSRCP hatcheries to be harvested in lakes, rivers and ponds in Idaho and Washington. In FY13 the program anticipates to receive 11 applications and issue 11 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is operated under the authority of the Water Resources Development Act of 1976. Reports and publications are published on the web at <http://www.fws.gov/snakecomplan>.

**Regional or Local Office:**

See Regional Agency Offices. All inquires should be directed to the local program office. Local Office: U.S. Fish and Wildlife Service, Lower Snake River Compensation Plan Office, 1387 S. Vinnell Way, Suite 343, Boise, ID 83709, (208)378-5321.

**Headquarters Office:**

FWS Regional Office, U.S. Fish & Wildlife Service, 911 NE 11th Avenue, Portland, Oregon 97232-4181 Phone: (503)231-2763

**Website Address:**

<http://www.fws.gov/snakecomplan>

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.608 Fish and Wildlife Management Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Operation and maintenance of the Clearwater, Magic Valley, McCall and Sawtooth fish hatcheries by the State of Idaho, Department of Fish and Game (IDFG). Operation and maintenance of Irrigon, Lookingglass, and Wallowa fish hatcheries by the State of Oregon, Department of Fish and Wildlife (ODFW). Operation and maintenance of the Lyons Ferry and Tucannon fish hatcheries by the State of Washington, Department of Fish and

Wildlife (WDFW). Hagerman and Dworshak National Fish Hatcheries for the Chinook program. These programs lead to the production and release of nearly 18 million juvenile salmon and steelhead. LSRCP also funds projects which monitor and evaluate survival and harvest of fish production from these facilities. Cooperators for this monitoring program include: IDFG, ODFW, WDFW, the Nez Perce Tribe, the Shoshone-Bannock Tribe and the Confederated Tribes of the Umatilla Indian Reservation. Fiscal Year 2012: Projects will support operation and maintenance of fish hatcheries, juvenile salmon and steelhead release programs, and monitoring and evaluation of survival and harvest rates. Fiscal Year 2013: Projects will support operation and maintenance of fish hatcheries, juvenile salmon and steelhead release programs, and monitoring and evaluation of survival and harvest rates.

**CRITERIA FOR SELECTING PROPOSALS:**

Past program performance which demonstrated competency to fulfill program objectives.

**15.662 GREAT LAKES RESTORATION**

Great Lakes Restoration Initiative; Great Lakes Restoration Program

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Anadromous Fish Conservation Act (16 U.S.C. 757a); Bald Eagle Protection Act (16 U.S.C. 668); Coastal Wetlands Planning, Protection and Restoration Act (16 U.S.C. 3951); Clean Water Act (33 U.S.C. 1254(b)(3)); Comprehensive Environmental Response, Compensation, and Liability Act (42 U.S.C. 103); Emergency Wetlands Resources Act (16 U.S.C. 3901); Endangered Species Act (16 U.S.C. 1561); Fish and Wildlife Act (16 U.S.C. 742a); Fish and Wildlife Conservation Act (16 U.S.C. 2901); Fish and Wildlife Coordination Act (16 U.S.C. 661) Great Lakes Fish and Wildlife Restoration Act (Public Law 109-326); Great Lakes Fishery Act (16 U.S.C. 931); Lacey Act (16 U.S.C. 3371-3378); Migratory Bird Treaty Act (16 U.S.C. 703); Non-indigenous Aquatic Nuisance Prevention and Control Act (16 U.S.C. 4701); North American Wetlands Conservation Act (16 U.S.C. 4401); Partners for Fish and Wildlife Act (16 U.S.C. 3771).

**OBJECTIVES:**

To provide technical and financial assistance to implement the highest priority actions in order to protect and restore the Great Lakes. Priority actions are to: identify, protect, conserve, manage, enhance or restore habitat or species on both public and private lands within the Great Lakes Basin.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This funding, in conjunction with other Great Lakes federal agency funding opportunities under the Great Lakes Restoration Program, will be used to address the most significant Great Lakes Basin ecosystem problems. Efforts will be made in five major focus areas:

Toxic Substances and Areas of Concern, including pollution prevention and cleanup of the most polluted areas in the Great Lakes.

Invasive Species, including efforts to institute a zero tolerance policy toward new invasions.

Nearshore Health and Nonpoint Source Pollution, including a targeted geographic focus on high priority watersheds and reducing polluted runoff from urban, suburban and agricultural sources.

Habitat and Wildlife Protection and Restoration, including comprehensive assessment of Great Lakes coastal wetlands for the purpose of strategically targeting restoration and protection efforts in a science-based manner.

Accountability, Education, Monitoring, Evaluation, Communication and Partnerships, including the implementation of goal- and results-based accountability measures, learning initiatives, outreach and strategic partnerships. 100%. (All).

**Applicant Eligibility:**

Program-specific.

**Beneficiary Eligibility:**

Program-specific.

**Credentials/Documentation:**

43 CFR Part 12 establishes administrative and audit requirements for assistance awarded by bureaus of the U.S. Department of Interior. 43 CFR 2 also applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application requirements and procedures are program-specific. Some programs may require an environmental impact statement. Some programs may require an environmental impact assessment. Refer to Application Procedure (092) and Award Procedure (093) sections. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application procedures are specified on [www.grants.gov](http://www.grants.gov). At minimum, the applicant must submit a project proposal along with the completed SF 424 Application for Federal Assistance.

An applicant must complete the Standard Form (SF) 424, and the appropriate Budget and Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction).

**Award Procedure:**

Program requirements are specified in the announcements of the individual financial assistance programs. More information on Great Lakes Restoration Initiative programs is available at <http://www.fws.gov/glri/>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Program requirements are specified in the announcements of the individual financial assistance programs. More information on Great Lakes Restoration Initiative programs is available at <http://www.fws.gov/glri>.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Great Lakes Restoration Initiative places restrictions on the time permitted to spend the funds awarded. The Regional Office Contact Person can further explain the restrictions placed on the time period in which to fully expend the funds awarded under the project. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Projects funded under the Great Lakes Restoration Initiative will have performance and financial reporting requirements as described in the award terms and conditions and announcement packages available on [www.grants.gov](http://www.grants.gov) and [www.greatlakesrestoration.us](http://www.greatlakesrestoration.us). At a minimum, the recipient is required to submit a final SF-425, Federal Financial Report within 90 days of the end of the award period of performance. Projects funded under the Great Lakes Restoration Initiative will have additional performance reporting requirements as described in the award terms and conditions; and announcement packages available on [www.grants.gov](http://www.grants.gov) and [www.greatlakesrestoration.us](http://www.greatlakesrestoration.us).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each awarded cooperative agreement. Records, accounts and supporting documents must be retained for 3 years after submission of final financial and performance reports. If questions, such as those raised as the results of audits, remain following the 3-year period, recipients must retain records until all matters are resolved.

**Account Identification:**

14-1611-0-1-302 -.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$48,000,000; FY 12 est \$44,000,000; and FY 13 est \$42,000,000

**Range and Average of Financial Assistance:**

Projects may range from \$1,000 to \$1,000,000, or greater.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: More than 65 competitive grants and numerous cooperative agreements awarded to non-federal partners under various sub programs. Fiscal Year 2012: Projects not yet selected for funding. Anticipate continuing to fund projects to address aquatic invasive species, environmental contaminants, and protection and restoration of fish and wildlife and habitats in the Great Lakes. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Please visit <http://www.fws.gov/glri> for appropriate Regional Office Great Lakes program contacts, or visit [www.fws.gov/midwest](http://www.fws.gov/midwest).

**Headquarters Office:**

U.S. Fish and Wildlife Service Department of the Interior, 1849 C Street, N.W., Washington, District of Columbia 20240 Phone: 202-208-6394 Fax: 202-208-4674

**Website Address:**

<http://www.fws.gov/glri>

**RELATED PROGRAMS:**

15.608 Fish and Wildlife Management Assistance; 15.630 Coastal Program; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Restoring Wetland Habitat for Federally-Threatened Northern District Population Segment of the Copperbelly Water Snake; Restoring River Connectivity: Evaluating Fish as Vectors of Contaminants in the Saginaw River/Bay Area of Concern; Monitoring and spatial mapping of migratory bird and bat habitat use in the Thousand Islands region of New York State; Implementation of habitat restoration in conjunction with streamside rearing for Great Lakes lake sturgeon. Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that contribute to the protection and restoration of fish and wildlife habitat and species in the Great Lakes basin. Funded activities will directly address the goals and objectives identified in the Great Lakes Restoration Initiative Action Plan, [www.glri.us](http://www.glri.us). Fiscal Year 2013: see FY12.

**CRITERIA FOR SELECTING PROPOSALS:**

Program criteria are specified in the announcements of the individual financial assistance programs.

**15.663 NATIONAL FISH AND WILDLIFE FOUNDATION**

NFWF

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

National Fish and Wildlife Foundation Establishment Act (16 U.S.C. 3701-3709, Public Law 98-244, March 26, 1984, 98 Stat. 107, as amended by

Public Law 100-240, January 11, 1988, 101 Stat. 1785, Public Law 100-653, November 14, 1988, 102 Stat. 3834; and Public Law 103-232, 108 Stat. 336).

**OBJECTIVES:**

Created by Congress in 1984, NFWF directs public conservation dollars to the most pressing environmental needs and matches those investments with private funds. NFWF's method is simple and effective: to work with a full complement of individuals, foundations, government agencies, non-profits, and corporations to identify and fund targeted conservation challenges throughout the nation where a focused investment is likely to result in a conservation success.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To aid cost-share conservation projects to further the conservation and management of the fish, wildlife, and plant resources of the United States and its territories and possessions for present and future generations of Americans. Funds must be matched on a one-to-one basis by NFWF sub-recipients.

**Applicant Eligibility:**

Specified in the National Fish and Wildlife Foundation Establishment Act.

**Beneficiary Eligibility:**

Beneficiaries include fish, wildlife and their habitats, the American people and, where applicable, international partners, wildlife and natural resources.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: There are no matching requirements for Federal dollars transferred to NFWF. The National Fish and Wildlife Foundation Establishment Act (Public Law 98-244) requires a one-to-one (1:1) match for subrecipients.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments are made during the fiscal year on an annual basis. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. The U.S. Fish and Wildlife Service program manager conducts monitoring activities to track accomplishments. NFWF provides the Service with annual reports on projects as well as completed SF-425 forms (Federal Financial Report). Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12

and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

NFWF maintains records in accordance with 43CFR12(3) (i.e. three years after submission of the final financial and performance reports).

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants) FY 11 \$7,537,000; FY 12 est \$7,525,000; and FY 13 est \$7,525,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: With Federal dollars appropriated to the U.S. Fish and Wildlife Service and passed through to NFWF, the Foundation has supported a total of more than 3,725 grants among 1,860 conservation partners, leveraging more than \$174 million in Service funds into \$620 million for projects benefitting conservation in all 50 States. This appropriation does not support the Foundations administrative expenses, and all of the monies are targeted to on-the-ground conservation. NFWF awarded grants primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat Conservation. Fiscal Year 2012: Using anticipated funding appropriated through the U.S. Fish and Wildlife Service, NFWF is expected to award grants primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat Conservation. Fiscal Year 2013: Using anticipated funding appropriated through the U.S. Fish and Wildlife Service, NFWF is expected to award grants primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat Conservation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. N/A.

**Headquarters Office:**

Laury Parramore, Fish and Wildlife Service, Division of Program and Partnership Support, 4401 N. Fairfax Drive, MS-AEA-3013

, Arlington, Virginia 22203 Phone: (703) 358-2541.

**Website Address:**

[http://Laury\\_Parramore@fws.gov](http://Laury_Parramore@fws.gov)

**RELATED PROGRAMS:**

10.683 National Fish and Wildlife Foundation

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: NFWF awarded grants primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat. In 2011, the Foundation worked with the Service to implement strategic funding plans for each Keystone Initiative. The Wildlife and Habitat Initiative focuses on a landscape approach with a particular emphasis on developing sustainable solutions to energy development, improving wildlife corridors, addressing the impacts of climate change, and recovering select spotlight wildlife populations. The Fish Initiative focuses on the implementation of the National Fish Habitat Initiative through targeted investments addressing Eastern brook

trout, Colorado native fish, and select diadromous fish. The Bird Initiative focuses on the recovery of targeted bird species/habitats and is closely correlated with the goals of the Services migratory bird activities. The Marine and Coastal Initiative focuses on targeted estuary programs and programs focused on sea turtles, corals and other species of mutual concern. Fiscal Year 2012: NFWF is expected to award grants primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat. In 2012, the Foundation will work with the Service to continue implementing the strategic funding plans developed for each Keystone Initiative. The Wildlife and Habitat Initiative will focus on a landscape approach with a particular emphasis on developing sustainable solutions to energy development, improving wildlife corridors, addressing the impacts of environmental stressors, and recovering select spotlight wildlife populations. The Fish Initiative will focus on the implementation of the National Fish Habitat Action Plan through targeted investments addressing Eastern brook trout, Lahontan cutthroat trout, and select diadromous fish. The Bird Initiative will focus on the recovery of targeted bird species/habitats such as lesser prairie chickens, sea birds, and early successional forest-dependent species. The Marine and Coastal Initiative will focus on targeted estuary programs and programs focused on sea turtles, corals and other species of mutual concern. Fiscal Year 2013: NFWF is expected to award grants primarily to support the work of the organizations Keystone Initiatives, which focus on Bird Conservation, Fish Conservation, Marine and Coastal Conservation, and Wildlife and Habitat. The Foundation is expected to work with the Service to continue implementing strategic funding plans developed for each Keystone Initiative. The Wildlife and Habitat Initiative will focus on a landscape approach with a particular emphasis on developing sustainable solutions to energy development, improving wildlife corridors, addressing the impacts of environmental stressors, and recovering select spotlight wildlife populations. The Fish Initiative will focus on implementation of the National Fish Habitat Action Plan through targeted investments addressing Eastern brook trout, Lahontan cutthroat trout, and select diadromous fish. The Bird Initiative will focus on the recovery of targeted bird species/habitats such as lesser prairie chickens, Gunnison sage grouse, sea birds, and early successional forest-dependent species. The Marine and Coastal Initiative will focus on targeted estuary programs and programs focused on sea turtles, corals and other species of mutual concern.

#### **CRITERIA FOR SELECTING PROPOSALS:**

All final proposal decisions are made by NFWFs Board of Directors per Public Law 98-244. See <http://www.nfwf.org/>.

#### **15.664 FISH AND WILDLIFE COORDINATION AND ASSISTANCE PROGRAMS**

(FWCA)

#### **FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

#### **AUTHORIZATION:**

Legislative authority based on U. S. Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666; Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a; Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and/or specific Congressional action, generally through the annual Appropriations Act, i.e., The Department of the Interior, Environment, and Related Agencies Appropriations Act, that cites new or relevant environmental and/or conservation statutes and activities for a defined purpose consistent with the mission, expertise, and goals of the Agency.

#### **OBJECTIVES:**

To implement: a) legislation mandating specific conservation and/or environmental project activity(ies), including, but not limited to, financial assistance funding for special appropriations projects to a designated recipient(s); and/or b) unfunded Congressional mandates, i.e., funding limited to costs associated with actual program/project implementation, not administrative costs.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

To fulfill the intent of Congress as specified in legislation authorizing the

Agency to obligate and manage financial assistance funds; special appropriations projects; and awards for purposes consistent with the mission, expertise, and goals of the Agency. 100%.

#### **Applicant Eligibility:**

Eligibility is limited to entity(ies) designated by the authorizing legislation.

#### **Beneficiary Eligibility:**

The general public benefits from the conservation and environmental efforts as identified by the authorizing legislation.

#### **Credentials/Documentation:**

Applicant(s) must have financial and internal controls systems in place to manage/segregate Federal funds and report expenditures under the terms and conditions of the award(s). This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Any applicable pre-application coordination or environmental impact information requirements will be detailed in the funding opportunities posted under this program on Grants.gov (<http://www.grants.gov>). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. At a minimum, an application package must include an Application for Federal Assistance (SF-424), a description of project activity(ies), an estimated budget, and relevant and signed Assurances forms (SF 424A and SF 424B Non-construction; or SF 424C and SF 424D Construction).

#### **Award Procedure:**

Notification of an award is the issuance of a grant or cooperative agreement document by Awarding Official.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Deadlines will vary, and will be specified in the funding opportunities posted under this program on Grants.gov (<http://www.grants.gov>).

#### **Appeals:**

None.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Statutory formulas and/or matching requirements may be applicable to activities funded under this CFDA. Any formulas or matching requirements will be specified in the funding opportunities posted under this program on Grants.gov.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Varies by activity being funded, but typically funds are awarded for projects with a one year period of performance. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Financial and performance reporting frequency and other requirements will be detailed in the award terms and conditions. Interim reports will not be requested more frequently than quarterly, and no less frequently than annually. Interim reports are due 30 calendar days after the expiration of the quarter/midterm/year anniversary, as appropriate. Final reports are required within 90 calendar days from the end date of the award. Submission of payment requests using the SF-270, Request for Advance or Reimbursement (Non-Construction) or

SF-271, Outlay Report and Request for Reimbursement (Construction) satisfies interim financial reporting requirements. A final SF-425, Federal Financial Report is required 90 days from the end date of the award. This form can be accessed on the Internet at [http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/). For additional information regarding financial reporting requirements and sanctions for noncompliance please see [http://www.doi.gov/pam/financialassistance/postaward/docs/Policy\\_regarding\\_Fin\\_Status\\_Reporting\\_Req.pdf](http://www.doi.gov/pam/financialassistance/postaward/docs/Policy_regarding_Fin_Status_Reporting_Req.pdf). A final performance report is required within 90 calendar days from the end date of the award. Performance reports must contain a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work, a description of reasons why established goals were not met, if appropriate, and any other pertinent information relevant to the project results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$489,752; FY 12 est \$150,000; and FY 13 est \$150,000

**Range and Average of Financial Assistance:**

Range and average varies by program activity.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FWS supported participation and coordination for projects related restoration of natural resources, survey of wildlife habitat and mitigation of climate change. Fiscal Year 2012: FWS will continue to award funding to recipients of special appropriations projects as mandated by Congress. Fiscal Year 2013: (anticipated): FWS will continue to award funding to recipients of special appropriations projects as mandated by Congress.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Acceptance of a Federal Financial Assistance award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of award per <http://www.doi.gov/pam/TermsandConditions.html>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Information related to each funding opportunity under this program will be stated in the funding opportunities posted on [Grants.gov](http://Grants.gov).

**Headquarters Office:**

Office of the Director and/or Science Advisor, Fish & Wildlife Service, Rm 3258, MIB, 1849 C Street NW, Washington, District of Columbia 20240 Phone: (202) 208-3100.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FWS supported coordination for landscape conservation activities in Oregon; establishing landscape conservation cooperative for the Gulf Coastal Plains and Ozarks; and studying the effects of climate change on

aquatic ecosystems. Fiscal Year 2012: FWS will continue to award funding to recipients of special appropriations projects as mandated by Congress. Fiscal Year 2013: (anticipated): FWS will continue to award funding to recipients of special appropriations projects as mandated by Congress.

**CRITERIA FOR SELECTING PROPOSALS:**

As specified by the authorizing legislation or Congressional action.

**15.665 NATIONAL WETLANDS INVENTORY**

NWI

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Emergency Wetlands Resources Act (EWRA) of 1986 (Public Law 99-645, 16 U.S.C. 3931-3932, November 10, 1986, as amended).

**OBJECTIVES:**

The EWRA requires the NWI to map wetlands of the nation, digitize the maps, archive and distribute the data, and produce a 10-year national wetlands status and trends report to Congress.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds can be used for any purpose authorized under the EWRA. For example: (1) Depending on appropriations and national priorities, the program has annual discretionary funding to fund Regional-priority mapping projects. (2) Funded Regional mapping projects or status and trends analysis may use CESUs (Cooperative Ecosystem Studies Units) to complete scope of work specified under the award with substantial involvement of the U.S. Fish & Wildlife Service. (3) Regions may use Interagency Agreements or contracts for project-level support or products needed. (4) The Service projects may cover any aspect of inventorying wetlands, including but not limited to training, technology research, and analysis of data. Project funds 100% discretionary; amount varies annually.

**Applicant Eligibility:**

Organizations receiving financial assistance must be experienced in image-interpretation for wetlands and for arid western riparian for targeted ecosystems using National standards (Cowardin et al. 1979 and Wetlands Mapping Standard 2009); in wetlands mapping or delivery research or technologies, or in supporting activities (e.g. mapping standards training or analysis) for wetlands mapping; or have the project-specific imagery or ancillary data needed for wetlands mapping. Based on Agency need, financial assistance, in general, is available to qualified Americans, profit or nonprofit corporations or institutions, domestic organizations, and Federal, State, Tribal, Territorial, and local agencies.

**Beneficiary Eligibility:**

The American public, and Federal, State, Tribal, Territorial, and local agencies, profit and nonprofit corporations or institutions benefit from having wetlands geospatial data to help inform decision making for clean water, fish and wildlife conservation, wetlands conservation, landscape-level planning, green infrastructure, and urban, rural, infrastructure, and energy development.

**Credentials/Documentation:**

If we provide financial assistance to States or Tribes, OMB Circular A-87 may apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. There is no external application or award process. Service Regions fund projects based on changing national program priorities. Regions have a small amount of funding for interagency partnerships.

**Award Procedure:**



N/A.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

N/A.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released:  
Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients must submit a final performance report no later than 90 calendar days after the award end date. Recipients of awards with performance periods longer than 12 months will be required to submit interim reports. Program may require recipients to submit interim reports annually, semiannually, or quarterly. Program will detail all performance reporting requirements, including frequency and due dates, in the notice of award letter. At a minimum, the recipient is required to submit a final SF-425, Federal Financial Report within 90 days of the end of the award period of performance. Recipients are responsible for monitoring performance for each award and sub-award under this program in accordance with 43 CFR Part 12.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Entities must maintain Federally-required financial records; see Grants.gov.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,250,000; FY 12 est \$750,000; and FY 13 est \$620,000 - Other discretionary funds may be used for contracting or other. Contributed funding included for FY 2011 but cannot be projected for FY 2012 and 2013.

**Range and Average of Financial Assistance:**

FY 2009 2010: Range of projects \$5,000 - \$479,250; Average \$92,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: NWI acquired wetlands data covering 95 million acres, including contributed data, and produced 8 reports. The program issued 10 awards. Fiscal Year 2012: NWI anticipates acquiring wetlands data for 82 million acres, including contributed data, and producing 14 reports. The program anticipates issuing 10 awards. Fiscal Year 2013: NWI anticipates acquiring wetlands data for 47 million acres, including contributed data, and producing 10 reports. The program anticipates issuing 10 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Regional Wetlands Coordinators:

<http://www.fws.gov/wetlands/Organization/RWC.html>.

**Headquarters Office:**

Chief, Division of Habitat and Resource Conservation, FHC (Attn: NWI), Fish and Wildlife Service, 4401 N Fairfax Dr., Rm 840, Arlington, Virginia 22203  
Phone: (703) 358-2161.

**Website Address:**

<http://www.fws.gov/wetlands>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Upper Texas Coast wetland map updates using Cowardin et al. and new Wetland Mapping Standard; Minnesota Valley and Sherburne National Wildlife Refuges wetland map updates; and NWI hard-copy maps or photo-overlay digitizing for parts of Kansas, Arkansas, Mississippi, and Utah. Fiscal Year 2012: Program has not yet selected projects for funding. Program anticipates funding projects that fill-in wetland data gaps for the nation, with an emphasis on digitizing existing NWI maps and adding data for surface water habitats. Locations may include AK, AR, AZ, CA, ID, KS, MS, NM, NV, TX, and UT. Fiscal Year 2013: Program has not yet selected projects for funding. Program anticipates funding projects that fill in wetland data gaps for the nation, with an emphasis on digitizing existing NWI maps, and creating surface water habitat maps for areas lacking wetlands data. Locations may include AK, AR, AZ, CA ID, KS, MS, NM, NV, TX, and UT.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.666 ENDANGERED SPECIES CONSERVATION-WOLF LIVESTOCK LOSS COMPENSATION AND PREVENTION**

Wolf Livestock Demonstration Project Grant Program

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

Fish and Wildlife Coordination Act of 1934, U.S.C. 16 et seq.; Endangered Species Act of 1973, 16 U.S.C. 1531 et. seq., as amended; Public Law 111-11, 123 Stat. 1171. Consolidated Appropriations Act, 2012. Public Law 112-74, House Conference Report 112-331, page 1055.

**OBJECTIVES:**

To provide federal financial assistance to livestock producers undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves and to compensate livestock producers for livestock losses due to such predation.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This financial assistance opportunity can be used by eligible States and Indian tribes in supporting projects that assist livestock producers in undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves or to compensate livestock producers for livestock losses caused by wolves. Appropriated funds will be divided equally in support of these two objectives. The creation of two separate sources of funding will allow the Service to ensure that the two objectives of the program: 1) assisting livestock producers in undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves and 2) compensating livestock producers for livestock losses caused by wolves, are addressed equally. Qualifying projects must include at a minimum a 50 percent non-Federal cost share. Yes, these restrictions can be found in Public Law 111-11, 123 Stat. 1171 and Public Law 112-74. 100 percent of funds are set aside for discretionary activities.

**Applicant Eligibility:**

State governments/agencies  
Indian tribes as defined in Public Law 111-11.

**Beneficiary Eligibility:**

Individual/ Family

Small Business  
Profit Organization  
Private Organization  
Anyone/ General Public  
Farmer/ Rancher/ Agricultural Producer  
Small Business Person  
Land/ Property Owner.

**Credentials/Documentation:**

Funds are available only to States and Indian tribes with prior history of wolf depredation. To be eligible to receive a grant, a State or Indian tribe must (1) designate an appropriate agency of the State or Indian tribe to administer the one or more programs funded by the grant; (2) establish one or more accounts to receive grant funds; (3) maintain files of all claims received under programs funded by the grant, including supporting documentation; (4) submit annual reports to the Secretary of the Interior that include a summary of claims and expenditures under the program during the year, a description of any action taken on the claims, and such other reports as the Secretary may require to assist the Secretary in determining the effectiveness of activities provided assistance through this programs; (5) promulgate rules for reimbursing livestock producers under the program. Applicants are also required to fully assess any claim of livestock depredation prior to issuing payment. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Eligible State and Tribal applicants are encouraged to contact the appropriate Regional Coordinators to ensure all eligibility, credentials, and documentation requirements are met prior to application. An incomplete application will not be considered for funding. An eligible State or Indian tribe may apply for either or both sources of funding, but a separate application must be provided for each source of funding. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible State and Tribal applicants must submit a project narrative identifying that they will adhere to P.L. 111-11. Applicants must also provide an Application for Federal Assistance (SF 424) and supporting information. This form must be signed by the official with the authority and responsibility to commit the State or Tribal body to participate in the program. An eligible State or Indian tribe may apply for either or both sources of funding.

**Award Procedure:**

Awards to eligible State and Indian tribes will be made as grants based on 1) the level of livestock predation in the State or on the land owned by, or held in trust for the benefit of, the Indian tribe; 2) whether the State or Indian tribe is located in a geographic area that is at high risk for livestock predation; 3) any other factors that the Secretary of the Interior determines appropriate.

**Deadlines:**

Jul 31, 2012: August 31st of each fiscal year. July 31, 2012: July 31st of each fiscal year based on an appropriation from Congress.

**Range of Approval/Disapproval Time:**

120 days.

**Appeals:**

Decisions can be appealed to the Fish and Wildlife Service, Chief, Endangered Species Division of Consultation, Habitat Conservation Planning, Recovery, and State Grants. Final determination rests with the Secretary of the Interior.

**Renewals:**

None. However, project applicants are not prohibited from submitting applications for consideration for funding in a subsequent year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: To meet the two objectives of the program, awards to eligible State and Indian tribes will be made as grants based on 1) the level of livestock predation in the State or on the land owned by, or held in trust for the benefit of, the Indian tribe; 2) whether the State or Indian tribe is located in a

geographic area that is at high risk for livestock predation; 3) any other factors that the Secretary of the Interior determines appropriate.

Qualifying projects must include at a minimum a 50 percent non-Federal cost share. The cost share may be cash or a third party in-kind contribution, such as volunteer efforts and donations of goods or services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Services goal is to obligate funds to States and Indian tribes shortly following the award notification. States and Indian tribes will assist the Service in meeting this goal by providing necessary documents for grant issuance as soon as possible following the grant award notifications. The Service will follow all applicable laws and regulations in regard to the expenditure of awarded funding. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. In general, OMB Circulars A-102 Section\_40 and \_41 and 2 CFR 215 specify requirements for both financial and program performance reporting. The Services interim guidance on financial status and performance reporting is available at <http://wsfrprograms.fws.gov/subpages/toolkitfiles/intgdrpt.pdf>. Grantees may be required to complete one or more of the following financial forms:

SF - 270, Request for Advance or Reimbursement;  
SF-425, Federal Financial Report

OMB Circulars A-102 Section\_40 and 2 CFR 215 also set forth requirements for submission of grantee program performance reports. A performance report is due annually within 90 days of the anniversary of the start date of the grant and a final report is due 90 days after the grant expiration.

A State or Indian tribe shall submit to the Secretary annual reports that include a summary of claims and expenditures under the program during the year and a description of any action taken on the claims. Financial reporting requirements are specified in 43 CFR 12.80 and in the Interim Guidance for Financial Status and Performance Reporting, dated May 12, 2009. Performance reporting requirements are specified in 43 CFR 12.81 and in the Interim Guidance for Financial Status and Performance Reporting, dated May 12, 2009.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The recipient is required to maintain files of all claims received under programs funded by the grant, including supporting documentation. Records must be maintained for 3 years following the submission of the final expenditure report or until final action has been taken on any litigation, claim, or audit finding.

**Account Identification:**

14-1611-0-1-302.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$1,000,000; and FY 13 est \$1,000,000 - FY13 amount is an estimate based on prior year funding levels only.

**Range and Average of Financial Assistance:**

\$4,000 - \$140,000. Average award amount is \$60,000 based on FY10 grant awards.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funding was not made available in FY11 and thus no projects were funded. However, in FY10, funds were awarded to ten states and

five tribes for projects that assist livestock producers in undertaking proactive, non-lethal activities to reduce the risk of livestock loss due to predation by wolves or to compensate livestock producers for livestock losses caused by wolves. Eligible projects include but are not limited to the purchase of livestock guarding dogs to reduce conflicts between wolves and livestock, the purchase of a portable electric fence to prevent conflicts, and support towards hiring range riders to monitor cattle to prevent conflicts between livestock and wolves. Fiscal Year 2012: Similar numbers and types of projects are expected to be funded in FY12 and FY13 should funds be appropriated for this program. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Omnibus Public Land Management Act of 2009 (P.L. 111-11) and Consolidated Appropriations Act, 2012 (P.L. 112-74).

**Regional or Local Office:**

See Regional Agency Offices. FWS Region 1: If your project will occur in Idaho, Oregon, or Washington, contact: Regional Director, U.S. Fish and Wildlife Service Eastside Federal, Complex, 911 N.E. 11th Avenue, Portland, OR 97232-4181. Contact: Hilary Cooley (208/ 685-6963).

FWS Region 2: If your project will occur in Arizona or New Mexico, contact: Regional Director, U.S. Fish and Wildlife Service, 500 Gold Avenue SW., Room 4012 Albuquerque, NM 87102. Contact: Stephen Robertson (505/248-7465).

FWS Region 3: If your project will occur in Michigan, Minnesota, or Wisconsin, contact: Regional Director, U.S. Fish and Wildlife Service, Bishop Henry Whipple, Federal Building, One Federal Drive, Fort Snelling, MN 55111-4056. Contact: Lisa Mandell (612/713-5343).

FWS Region 6: If your project will occur in Montana or Wyoming, contact: Regional Director, U.S. Fish and Wildlife Service, 134 Union Blvd., Suite 645, Lakewood, CO 80228. Amelia Orton-Palmer (303/ 236-4211).

**Headquarters Office:**

Chief, Endangered Species, Fish and Wildlife Service, Department of the Interior, 1849 C Street, NW (MS 420 ARL SQ) Division of Consultation, HCPs, Recovery and State Grants., Washington, District of Columbia 20240 Phone: (703) 358-2171.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

15.605 Sport Fish Restoration Program; 15.611 Wildlife Restoration; 15.615 Cooperative Endangered Species Conservation Fund; 15.631 Partners for Fish and Wildlife

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: There was no funding available in FY11 and thus, proposals were not solicited. Fiscal Year 2012: For FY12 and FY13, the program has not yet selected projects for funding. The program anticipates funding projects that promote proactive, non-lethal activities in order to reduce the risk of livestock loss due to predation by wolves and compensate livestock producers for livestock losses due to such predation. Examples of projects eligible for funding include the purchase of livestock guarding dogs to reduce conflicts between wolves and livestock, the purchase of a portable electric fence to prevent conflicts, and support towards hiring range riders to monitor cattle to prevent conflicts between livestock and wolves. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Awards to eligible State and Indian tribes will be made as grants based on (1) the level of livestock predation in the State or on the land owned by, or held in trust for the benefit of, the Indian tribe; (2) whether the State or Indian tribe is located in a geographic area that is at high risk for livestock predation; (3) any other factors that the Secretary of the Interior determines appropriate.

**15.667 HIGHLANDS CONSERVATION PROGRAM**

**FEDERAL AGENCY:**

Fish and Wildlife Service, Department of the Interior

**AUTHORIZATION:**

H.R. 1964, 2004; 16 U.S.C. 3901.

**OBJECTIVES:**

To conserve priority lands and natural resources and recognize the importance of the water, forest, agricultural, wildlife, recreational, and cultural resources, and the national significance of the Highlands region of the United States. Preserve and protect high-priority conservation land in the Highland regions.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A state or state agency with authority to own and manage land located within the Highlands region may use a land conservation partnership project to acquire conservation-valued land, either through fee acquisition or conservation easement, from a willing seller to permanently protect, conserve, or preserve land. Project lands of conservation value are identified by the U.S. Forest Service, Department of Agriculture, with input from pertinent units of local government and the public. The list of lands of conservation value is provided to the governors of the states within the Highlands region. The list of projects to be funded is submitted to the Secretary of the Interior, who, along with the Secretary of Agriculture, submits the eligible project list to Congress. The Federal grant share of the land conservation partnership project will not exceed 50 percent of the total cost of partnership to acquire conservation-valued land. For further information, please contact the regional office.

**Applicant Eligibility:**

Any state or state agency with authority to own and manage land located within the Highlands region for conservation purposes may apply by identifying the source of non-Federal funds, describing the management objectives for the project land, identifying the purpose of the use of the land, and providing that the land will not be converted, used or disposed of for a purpose inconsistent with land conservation.

**Beneficiary Eligibility:**

Beneficiaries are states or state agencies with authority to own and manage land within the Highlands region for conservation purposes, including the Palisades Interstate Park Commission.

**Credentials/Documentation:**

Must be a state or or state agency with the authority to own and manage land within the Highlands region for conservation purposes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The U.S. Forest Service, Department of Agriculture, is responsible for conducting the resource assessment and preparing the Highlands project lands of conservation value update for the states involved. The U.S. Forest Service will identify in the update the lands that have high conservation value. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. It is the responsibility of the Highland states to submit projects to the Department of the Interior for funding. The Highland states may do this individually or they may jointly submit land conservation partnership projects.

**Award Procedure:**

The U.S. Forest Service is responsible for doing the resource assessment and preparing the priority land update for the states involved. The U.S. Forest Service will identify in the update the lands that have high conservation value. Only lands available from willing sellers will be considered in the program. The Department of the Interior (DOI) has the sole responsibility for project grants. The states will apply directly to DOI for project funding. The DOI will award grants to the States or their entities for the acquisition of land, or interests in land, for conservation purposes in the Highlands.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The Federal share of the project cost shall not exceed 50 percent of the total project cost.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance:

Varies. See the following for information on how assistance is awarded/released: Funds are disbursed to recipients as requested and in accordance with the payment methods prescribed in 43 CFR Part 12, or as otherwise prescribed in program-specific legislation.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim performance reports are required for each grant award annually within 30 days after the anniversary date. A final performance report is due within 90 days after the award end date. SF-425, Federal Financial Reports are required for each grant award annually within 30 days after the anniversary date. A final SF-425, Federal Financial Report is due within 90 days after the award end date. Recipients are responsible for monitoring and reporting performance each award and sub-award under this program in accordance with 43 CFR Part 12 and 2 CFR Part 170.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost records must be maintained separately for each grant award. Records, accounts, and supporting documents must be retained for three years after submission of the final reports.

**Account Identification:**

14-5020-0-1-806.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$2,072,341; FY 12 est \$5,700,289; and FY 13 est \$4,840,000 - FY12 grant approval and subsequent obligations pending budget loaded in FBMS.

**Range and Average of Financial Assistance:**

Range : \$646,600 to \$1,940,000; Average \$970,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No funding was allocated by the U.S. Fish and Wildlife Service for the Highlands Conservation Act in FY11. Therefore, no action was taken on the 4 projects that had been previously submitted by the Governors of the 4 Highlands States and approved for funding by the Ranking Subcommittee of the Highlands Conservation Act Steering Committee. Fiscal Year 2012: Four project area proposals (1 from each State) have been ranked by the Highlands Conservation Act Ranking Subcommittee in anticipation of funding for the Act. Any funding received in FY12 will be distributed among those 4 ranked and approved project areas, with 50% going to the top ranked project area and 50% divided equally among the remainder of the project areas. Fiscal Year 2013: Four project area proposals (1 from each State) have been ranked by the Highlands Conservation Act Ranking Subcommittee in anticipation of funding for the Act. Any funding received in FY12 will be distributed among those 4 ranked and approved project areas, with 50% going to the top ranked project area and 50% divided equally among the remainder of the project areas.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Per <http://www.doi.gov/pamlTermsandConditions.html>, acceptance of a Federal Financial award from the Department of the Interior carries with it the responsibility to be aware of and comply with the terms and conditions of the award. Acceptance is defined as starting work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by the Department of the Interior and are subject to the terms and conditions incorporated in to the Award either directly or by reference to the following: Program legislation/regulation, assurances, special conditions, the Code of Federal Regulations, and other regulatory requirements, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Organ US Fish and Wildlife Service, Wildlife and Sport Fish Restoration, 300 Westgate Center Drive, , Hadley, Massachusetts 01035 Email: [John\\_Organ@fws.gov](mailto:John_Organ@fws.gov) Phone: (413)253-8200 Fax: (413)253-8300

**Website Address:**

<http://www.fws.gov/r5fedaid/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No funding was allocated by the U.S. Fish and Wildlife Service for the Highlands Conservation Act in FY11. Had funding been available, acquisition of land or an interest in land by an appropriate State Agency or the Palisades Interstate Park Commission would have been funded in the following project areas, as defined in ranked in approved proposals: Northern Highlands, New Jersey; Naugatuck-Mad River Headwaters, Connecticut; Greater Sterling Forest/Torne Valley, New York; Hopewell Big Woods, Pennsylvania. Fiscal Year 2012: For FY12, the following project area proposals were ranked and determined eligible for funding: East Hudson Highlands, New York; Twin Watersheds, New Jersey; Shepaug River Headwaters, Connecticut; and South Mountain, Pennsylvania. If the Highlands Conservation Act receives funding in FY12, 50% of funding will go toward New Yorks East Hudson Highlands project area and the remainder will be split equally among the other 3 project areas. Grants will fund the acquisition of land or an interest in land by a State Agency or the Palisades Interstate Park Commission. Fiscal Year 2013: For FY13, the following project area proposals were ranked and determined eligible for funding: East Hudson Highlands, New York; Musconetcong River and Mountain Region, New Jersey; Candlewood/Macedonia, Connecticut; and Oley Hills, Pennsylvania. If the Highlands Conservation Act receives funding in FY12, 50% of funding will go toward New Yorks East Hudson Highlands project area and the remainder will be split equally among the other 3 project areas. Grants will fund the acquisition of land or an interest in land by a State Agency or the Palisades Interstate Park Commission.

**CRITERIA FOR SELECTING PROPOSALS:**

The U.S. Forest Service is responsible for completing the resource assessment and preparing the priority lands update for the states involved. The U.S. Forest Service will identify in the update the lands that have high conservation value. The Highland states meet annually and apply directly to DOI for funding from the project list of lands provided by U.S. Forest Service. Only lands with high conservation value that can be obtained by fee acquisition or conservation easement from willing sellers will be considered.

**15.805 ASSISTANCE TO STATE WATER RESOURCES RESEARCH INSTITUTES**

(Water Research Institute Program)

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Water Resources Research Act of 1984, Section 104, Public Law 98-242 as amended, 42 U.S.C. 10301 et seq.

**OBJECTIVES:**

To provide financial support to Water Resources Research Institutes located at designated State universities in each of the 50 States, Puerto Rico, the District of Columbia, Guam, the Virgin Islands, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Federated States of Micronesia for research, information transfer and student training on one or more aspects of priority water problems.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program has two parts: a mandatory formula grant program and a competitive project grant program. The mandatory grant program provides the State institutes with funds to support a State and regional program of water resources research and information transfer. This may include basic or applied research, setting up conferences to discuss research needs or results, conduct of research, information dissemination, and training of students as a byproduct of research. In general the funds are used to study regional, State, or local water problems, but the results may often have national significance. The competitive project grant program supports research focused on water problems of a regional or interstate nature and which relate to program priorities identified jointly by the State institutes and the Geological Survey. Federal funds cannot be used for (1) formal instructional activities and general education, and (2) the cost of permanent buildings, either directly or indirectly.

**Applicant Eligibility:**

One University Water Research Institute is authorized in each State and other jurisdictions specified in Section 104. Other colleges and universities within a State are encouraged to participate in the program in cooperation with the designated institute.

**Beneficiary Eligibility:**

Researchers at qualified universities and colleges in the State through the designated institute for the State.

**Credentials/Documentation:**

Proposed Research and Information Transfer Program application responsive to instructions issued by the U.S. Geological Survey. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Formula Grant Program: Requires each Institute to collaborate with State interests in defining research priorities and to coordinate with other institutes in region to avoid duplication of effort. Competitive Grant Program: Requires that the Institutes collectively collaborate with the Geological Survey in setting research priorities. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-110 and the Department of the Interior regulations at 43 CFR Part 401, Subpart C. State institutes must submit proposed annual programs on the Internet at <https://niwr.net>, as required by the individual program announcement 11HQPA0002. State Institutes must submit applications for competitive project grants on the Internet at <https://niwr.net> and <http://www.grants.gov>, as required by the program announcement.

**Award Procedure:**

Formula Grant Program: Geological Survey approves or rejects, in part or as a whole, the program submitted by each State institute. The State institutes are notified of any amendments necessary to obtain Geological Survey approval. Competitive Grant Program: Geological Survey conducts a formal review and selection procedure and approves or reject applications as a whole. Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Formula Grant Program: Deficiencies noted by the Geological Survey can normally be corrected by the State institutes. Competitive Grant Program: None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory Formula: Title 42 U.S.C. 10303(c) and (g). Amount to each State Water Research Institute under the formula grant is on a basis of one Federal share to not less than two nonfederal shares. Amount to each State Water Research Institute under the competitive grant is on a basis of one Federal share to not less than one nonfederal shares.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Formula Grant Program: Each State institute is on fiscal year basis.

Competitive Grant Program: Assistance is provided for the period of the project award. See the following for information on how assistance is awarded/released: Payments are advanced at least quarterly upon application and consistent with Financial Plan submitted previously by institute for use of grant.

**Reports:**

Formula Grant Program: Each State institute makes an annual and final report on accomplishments with grant, including synopsis of research projects.

Competitive Grant Program: Each institute makes an annual and final report on results of the award. Cash reports are not applicable. Progress reports are not applicable. Annual SF 425 Federal Financial Report are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Directors of the State institutes are responsible for conduct of programs and maintaining books and records reflecting financial and technical transactions of the program. Records shall be retained and made available for audit for three years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$1,064,574; FY 12 est \$1,000,000; and FY 13 est \$0. (Formula Grants (Cooperative Agreements)) FY 11 \$5,171,000; FY 12 est \$5,171,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

(Formula Grants) \$92,335 to \$277,005; average \$95,755. (Competitive Grants) \$140,162 to \$249,949; average \$212,950.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, approximately 40 applications were received under the competitive grant portion of the program and 6 grants were awarded. Fiscal Year 2012: In FY 2011 and FY 2012, 54 applications were received and approved under the formula grant portion of the program. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rule, 30 CFR Part 401, 50 FR 27203, June 7, 1993; Geological Survey Request for Applications under the Water Resources Research Institute Grant Program (Section 104), Announcement 11HQPA0002, October 2010 at <https://niwr.net>. Applications under the Water Resources Research National Competitive Grant Program, Announcement No. G12AS20005, November 19, 2011 at

<https://niwr.net>.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Schefter, Department of the Interior, Geological Survey, Office of External Research, MS 424 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [schefter@usgs.gov](mailto:schefter@usgs.gov) Phone: (703) 648-6800 Fax: (703) 648-5070.

**Website Address:**

<http://water.usgs.gov/wrri/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Forecasting toxic cyanobacterial blooms throughout the southeastern U.S.; Water Quality Impacts of the Mountain Pine Beetle Infestation in the Rocky Mountain West; Heavy Metals and Disinfection Byproducts; Determining the Fate and Toxicity of Polycyclic Aromatic Hydrocarbons Associated with Coal-Tar and Other Carbonaceous Material Particles in Urban Lakes; Aquifer Storage and Recovery in Near-Surface Aquifers: Development of a New Recharge Approach Using Small-Diameter, Low-Cost Wells; Drought and Flood in the Eastern US; Pharmaceutical Trace Study to Identify Microbial Pathogens Sources in and around Rural Alaskan Waste Sites; Evaluation of septic system absorption field of products with differing architectures in a profile-limited soil; Iodinated Disinfection By-product Formation from Water Reuse Practices; Feasibility Study of Scavenging Approach to Stop Saltwater Toward Water Wells; and Analyzing the Spread of Phragmites Australis Over Short Time Scales Using Spatial and Genetic Tools. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive Grant Program: Relevance to announced priorities, technical merit, prospects of attaining objectives in period specified and potential for student training.

**15.807 EARTHQUAKE HAZARDS REDUCTION PROGRAM**

Earthquake Hazards Program Grants

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

42 U.S.C. 7701 et seq.

**OBJECTIVES:**

To support earthquake hazards research in order to develop information, knowledge, and methods relevant to the major Earthquake Hazards Program elements: national and regional earthquake hazards assessments; research related to earthquake information, monitoring, and notification; research on earthquake occurrence, physics, and effects; and earthquake safety policy. Specific objectives and research tasks identified as measures of progress towards the goals of these program elements are described in greater detail in the Research Priorities section of the annual Program Announcement.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Specific research objectives are identified in the annual program announcement. Applications for research projects not covered by one of the objectives are not solicited.

**Applicant Eligibility:**

Public and private colleges and universities; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated scientists.

**Beneficiary Eligibility:**

Research scientists, engineers, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the principal investigator's qualifications for performance of the proposed research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the SF-424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

5 to 9 months.

**Appeals:**

Not Applicable.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Recipients are encouraged to share in the cost of each research project.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards generally have 12 to 36 month project periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports are required and must be described as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$7,146,335; FY 12 est \$7,000,000; and FY 13 est \$7,000,000

**Range and Average of Financial Assistance:**

\$6,000 to \$1,300,000; average \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 186 competitive grant applications received, and 76 earthquake hazards research and assessment grants awarded. Fiscal Year 2012: 200 competitive applications received, and 70 earthquake hazards research and assessment grants. Fiscal Year 2013: 200 competitive applications received, and 70 earthquake hazards research and assessment grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Elizabeth Lemersal, Department of the Interior, Geological Survey, MS 905 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: gd-erp-coordinator@usgs.gov Phone: (703) 648-6701 Fax: (703) 648-6642.

**Website Address:**

<http://earthquake.usgs.gov/research/external/>.

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Source zone characteristics; Earthquake monitoring and forecasting experiments; Induced seismicity studies and Fault zone studies; and Seismic zonation and engineering studies. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Panels composed of expert scientists and engineers drawn from government, universities, and private industry evaluate all grant applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and reasonableness of the budget.

**15.808 U.S. GEOLOGICAL SURVEY\_ RESEARCH AND DATA COLLECTION****FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Organic Act of 1879, 43 U.S.C. 31, 43 U.S.C. 36c., 43 U.S.C. 36d.

**OBJECTIVES:**

To support research complementary to USGS program efforts in classification of the public lands and examination of the geological structure, water, mineral, and biological resources, and products of the national domain. This entry covers a variety of USGS assistance awards not covered by any other CFDA program entries. Awards are typically supported by funding from internal projects and programs, and funds are not separately budgeted or reserved for external projects or proposals under this entry.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Applications must be for scientific research projects which are within the Survey's area of responsibility. The majority of funds are used to support research that will enhance existing, long-term collaborative projects. Funds can be used for attendance at national conferences for the dissemination of project results. Further, conferences and symposia will be supported only if it is clear that equivalent results cannot be obtained at regular meetings of professional societies. Office furniture, office equipment, and foreign travel are not normally considered for support. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments may make application for support by a named principal investigator. Due to limited

availability of funds to support new external projects, consultation with USGS is strongly recommended prior to submission of applications.

**Beneficiary Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments, industry and public decision makers, research scientists, engineers, and the general public will ultimately benefit from knowledge gained under the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. These are typically individually evaluated and funded projects; there is no annual program announcement, prospectus or other invitation for applications. The standard application form SF 424 and other forms required by OMB Circular Nos. A-102 and A-110, or their successor(s), and the Department of the Interior regulation at 43 CFR Part 12, Subparts C and D, or its revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

None. Applications maybe revised and resubmitted.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Generally, no statutory requirement. Recipients are encouraged to share in the cost of each research project. Appropriations language requires cooperating State and local governments to contribute at least one-half the cost of certain cooperative water resources investigation and cooperative mapping projects. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in, but not restricted to, 12 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$51,754,015; FY 12 est \$51,000,000; and FY 13 est \$51,000,000

**Range and Average of Financial Assistance:**

\$1,175 to \$1,690,000; average \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately 400 new grants and cooperative agreements were made to support the Geological Survey's earth science research mission in FY 11. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

USGS Guide for Submission of Unsolicited Proposals is available at: <http://www.usgs.gov/contracts/grants/unsolbk.html>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate regional office, depending on the location of the study. For Alabama, Connecticut, District of Columbia, Florida, Georgia, Illinois, Indiana, Kentucky, Maine, Maryland, Massachusetts, Michigan, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, Tennessee, Vermont, Virginia, West Virginia, and Wisconsin, write: Office of Acquisition and Grants, U.S. Geological Survey, 12201 Sunrise Valley Drive, MS 211, Reston, VA 20192. Telephone (703) 648-7485. For Arkansas, Colorado, Iowa, Kansas, Louisiana, Minnesota, Missouri, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas and Wyoming, write: Office Acquisitions and Grants, U.S. Geological Survey, Denver Federal Center, Denver, CO 80225. Telephone: (303) 236-9315. For Alaska, Arizona, California, Hawaii, Idaho, Nevada, Oregon, Utah, and Washington, write: Office of Acquisition and Grants, U.S. Geological Survey, Modoc Hall, USGS, 3020 State University Drive East, Suite 2002, Sacramento, CA 95819. Telephone: (916) 278-9325.

**Headquarters Office:**

Geological Survey, This is not a single formal program; awards are not centrally managed or coordinated. Refer to Branch or Local Office contacts., Reston, Virginia 20192 Phone: (703) 648-4582.

**Website Address:**

<http://www.usgs.gov/contracts>.

**RELATED PROGRAMS:**

47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Not Available. Fiscal Year 2012: Support for various boards and communities of the National Academy of Science, National Coal Resources Data System, <http://energy.er.usgs.gov/NCRA>; support for collaborative coastal and marine geology studies (Woods Hole, MA and St. Petersburg, FL) collaborative volcano monitoring, and continuing support of university observatories and earth science research facilities. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey. Applications will be funded only to the extent permitted by available funds.

**15.809 NATIONAL SPATIAL DATA INFRASTRUCTURE COOPERATIVE AGREEMENTS PROGRAM**

NSDI CAP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Organic Act of March 3, 1879, 43 U.S.C. 31; Executive Order 12906, April 13, 1994.

**OBJECTIVES:**

The purpose of the National Spatial Data Infrastructure Cooperative Agreements Program (NSDI CAP) is to fund innovative projects in the geospatial data community to build the infrastructure necessary to effectively discover, access, share, manage, and use digital geospatial data. The NSDI consists of the technologies, policies, organizations, and people necessary to promote cost-effective production, ready availability, and greater utilization of geospatial data among a variety of sectors, disciplines, and communities. Specific NSDI CAP areas of emphasis include: documenting, implementing, and providing outreach standards including metadata; expanding geographic information coordination across and between organizational levels; promoting geospatial best practices; advancing geospatial related Web services; framework development; and clearinghouse establishment. The results of the awarded projects benefit multiple Federal agencies as well as the overall geospatial community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for projects not covered by one of the objectives are not solicited. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Proposals from State and local government agencies, educational institutions, private firms, private foundations, nonprofit organizations and Federally acknowledged or state-recognized Native American tribes or groups are invited.

**Beneficiary Eligibility:**

Agencies and organizations participating in the project, as well as the general public will ultimately benefit from this program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subpart C and D, or any subsequent revisions. The applications requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 2 months.



**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Recipients are expected to cost-share depending upon the category of the project up to 100 percent of the amount of funding received from the Federal government. In 2012 the matching requirement for all categories is 50% of the amount awarded. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Semi-annual and final technical reports, formal oral presentation, and second and third year follow-up reports are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$756,960; FY 12 est \$810,000; and FY 13 est \$810,000

**Range and Average of Financial Assistance:**

\$7,500 to \$40,000; average \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 20 agreements were awarded. Fiscal Year 2012: It is expected there will be up to 41 projects awarded. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Vol. 60, No. 242, December 18, 1995, page 65064; Commerce Business Daily announcement January 25, 1996, Section T, program Announcement No. 8187; internet URL <http://www.fgdc.gov/funding/cap2002.html>.

**Regional or Local Office:**

See Regional Agency Offices. Brigitta Urban-Mathieux, FGDC CAP Coordinator; Telephone: (703) 648-5175, Fax: (703) 648-5755, [burbanma@fgdc.gov](mailto:burbanma@fgdc.gov).

**Headquarters Office:**

Director, Department of the Interior, Geological Survey, Federal Geographic Data Committee Secretariat, MS 590 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [gdc@usgs.gov](mailto:gdc@usgs.gov) Phone: (703) 648-4150 Fax: (703) 648-5755.

**Website Address:**

<http://www.fgdc.gov/grants>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Project support implementation of different aspects of the National Spatial Data Infrastructure such as: development of geospatial standards; implementation of standards including metadata through training and outreach assistance; development and implementation of business plans in support of the NSDI Future Directions Fifty States Initiative; Geospatial Platform cloud service testbed; and expanding the State GIS Inventory. See the FGDC website (<http://www.fgdc.gov/grants>) for summaries of funded projects. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated through formal review panels. Proposals will be evaluated on the quality and relevance of the project to the NSDI; the technical approach taken to implement the project; the level and diversity of participation and the applicant's experience and competence to perform the proposed effort successfully; and the extent to which the applicant shows evidence of a capability and willingness to continue and build upon the project when the agreement period ends.

**15.810 NATIONAL COOPERATIVE GEOLOGIC MAPPING PROGRAM STATEMAP and EDMAP****FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

National Geologic Mapping Reauthorization Act of 2009, Public Law 111-11.

**OBJECTIVES:**

To produce geologic maps of areas in which knowledge of geology is important to the economic, social, or scientific welfare of individual States. STATEMAP supports: (1) projects which produce new geologic maps with attendant explanatory information including correlation of map units, description of map units and symbols, stratigraphic columns, geologic sections, and other pertinent information; and (2) projects which compile existing geologic data in a digital form for inclusion in the National Digital Geologic Map Database. EDMAP: Provide funding for undergraduate and graduate students in academic research programs, through cooperative agreements, that involve geologic mapping and scientific data analysis as major components; expand research and educational capacity of graduate programs that teach earth science students the techniques of geologic mapping and field data analysis; and facilitate the publication and distribution of geologic maps generated in field-based graduate academic research programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

STATEMAP: Only one application will be accepted from each State geological survey. State proposals cannot include in-kind services by the U.S. Geological Survey. Travel to meetings of professional societies is not an acceptable expense for the program, nor are funds intended for the purchase of computer hardware, software, or other nonexpendable property. EDMAP: Proposals cannot include a request for in-kind services by the U.S. Geological Survey. Funds are not intended for the purchase of capital equipment. For further information, please contact the regional office.

**Applicant Eligibility:**

STATEMAP program is restricted by statute to State geological surveys. Where State surveys are organized under a State university system, an application may be submitted by a State college or university on behalf of the State geological survey. EDMAP program is restricted to universities with geoscience or related departments or programs.

**Beneficiary Eligibility:**

State geological surveys participating in this program and the general public will ultimately benefit from this program.

**Credentials/Documentation:**

Proposals for STATEMAP must include a letter of support from the State Geologic Mapping Advisory Committee or equivalent to qualify for funding. Proposals for EDMAP must include a letter of support from a State Geologist

or USGS Project Chief. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Proposals must include copies of letters of support, figures, and tables. Proposals including forms cannot exceed 30 pages for STATEMAP and 10 paged for EDMAP. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Sep 01, 2012 to Nov 01, 2012 STATEMAP Each year the Requests for Proposals (RFP) will be distributed in early September. Applications must be received in early November (the exact date will be announced in the RFP). EDMAP Each year the Requests for Proposals (RFP) will be distributed in early September. Applications must be received in early November (the exact date will be announced in the RFP).

**Range of Approval/Disapproval Time:**

STATEMAP Approval/disapproval will be announced by mid-February. EDMAP Approval/disapproval will be announced by late February.

**Appeals:**

Not Applicable.

**Renewals:**

STATEMAP: Proposals must be submitted for a 1-year project period only. However, projects that were approved and funded during the previous fiscal year may be submitted as renewals (competing continuations). A completely new proposal subject to full review, must be submitted each year. EDMAP: Proposals may be submitted which request a performance period of 1 year at a time. Student mapping projects may last up to 2 years, however, each year a separate proposal must be submitted. Students are only allowed two years of EDMAP funding. Funding for year two will be determined through the annual competitive announcement.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: The STATEMAP program is required by Public Law 111-11 to be carried out on a 1:1 matching basis; each recipient must match each Federal dollar with a nonfederal dollar. The nonfederal share may be contributions of services or cash provided to contractors to perform geologic mapping or other services directly applicable to proposed work on the project. The specific source(s) of the State contribution, such as State legislative appropriation, must be provided in the proposal. The EDMAP program is required by Public Law 111-11 to be carried out on a 1:1 matching basis; each recipient must match each Federal dollar with a nonfederal dollar. The nonfederal share may be a contribution of funds or services. Such services can include those related to the student research project or cash provided to contractors, i.e., field assistants to perform geologic mapping or other services directly applicable to proposed work on the project. Student tuition is not an allowable expense for direct cost or match for either STATEMAP or EDMAP. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 1 year budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions.

STATEMAP and EDMAP: All deliverables (geologic maps and accompanying information) are due on or before the last day of the grant year. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$566,161; FY 12 est \$492,503; and FY 13 est \$0 - EDMAP. (Cooperative Agreements (Discretionary Grants)) FY 11 \$6,962,506; FY 12 est \$6,340,949; and FY 13 est \$0 - STATEMAP.

**Range and Average of Financial Assistance:**

STATEMAP: \$29,022 to \$232,509; average \$157,815. EDMAP: \$9,015 to \$17,308 per student; average \$13,657. The maximum award allowed per graduate student is \$17,500 and \$10,000 per undergraduate student.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: STATEMAP: 45 awards were made to State geological surveys which matched every federal dollar with a State dollar. EDMAP: a total of 85 students from 45 universities were funded. Each federal dollar was matched 1:1 by a university dollar. Fiscal Year 2012: Not available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program announcements are available on the Internet at <http://www.grants.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Contact Douglas A. Howard, Program Coordinator, National Cooperative Geologic Mapping Program, E-mail: [dahoward@usgs.gov](mailto:dahoward@usgs.gov).

**Headquarters Office:**

Douglas A. Howard Department of the Interior, U.S. Geological Survey, MS 908 National Center, 12201 Sunrise Valley Drive, Reston, VA 20192. , Reston, Virginia 20192 Email: [dahoward@usgs.gov](mailto:dahoward@usgs.gov) Phone: (703) 648-4150 Fax: (703) 648-5755.

**Website Address:**

<http://www.ncgmp.usgs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals for both STATEMAP and EDMAP are included in the Geological Survey program announcements.

**15.811 GAP ANALYSIS PROGRAM**

GAP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Endangered Species Act of 1973, 16 U.S.C. 1531 et seq., Fish and Wildlife Act of 1956, 16 U.S.C. 742 et seq., Fish and Wildlife Conservation Act, 16 U.S.C. 661 et seq., Omnibus appropriations Act, Public Law 108-7.

**OBJECTIVES:**

Studies where native animal species and natural plant communities occur and identifies "gaps" in their representation to support conservation of biodiversity.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

GAP is used by Federal agencies, State agencies and other governmental bodies to develop land use or acquisition plans that incorporate information about the presence and distribution of biodiversity. There are no use restrictions. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State and local governments may make application for support by a named principal investigator.

**Beneficiary Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, State and local governments, as well as the general public will ultimately benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the form SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements contained in the announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Information not available.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in 12 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed through the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$250,000; FY 12 est \$1,000,000; and FY 13 est \$250,000

**Range and Average of Financial Assistance:**

\$25,000 to \$500,000; average of \$237,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Eight cooperative agreements were awarded to carry out the GAP Analysis Program. Fiscal Year 2012: The number of agreements in FY 12 and the future years is expected to be similar. Fiscal Year 2013: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program announcement is available on the Internet at <http://www.gap.analysis.nbi.gov> and [www.grants.gov](http://www.grants.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Program Coordinator, National GAP Program, 530 S Asbury Suite 1, Moscow, Idaho 83843 Phone: (888) 275-8747.

**Website Address:**

<http://gapanalysis.usgs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications submitted. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey. Generally, applications will be funded only to the extent permitted by available funds.

**15.812 COOPERATIVE RESEARCH UNITS PROGRAM****CRUP****FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Cooperative Research Units Act, Public Law 86-686, Sec. 1, Sept. 2, 1960, 74 Stat. 733, as amended by the Fish and Wildlife Improvement Act of 1978, Public Law 95-616, Sec. 2, Nov. 8, 1978, 92 Stat. 3110.

**OBJECTIVES:**

To work in partnership with States and universities to address the information needs of local, State, and Federal fish, wildlife, and natural resource agencies

through research, technical assistance, and education.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Authority is limited to research with an educational component conducted through one of 40 Cooperative Fish and Wildlife Research Units and their host universities. Awards are limited to information needs related to fish, wildlife, ecology, and natural resources of interest to program cooperators and partners. Funds are for discretionary activities.

**Applicant Eligibility:**

Universities hosting Cooperative Fish and Wildlife Research Units established under authority of the Cooperative Research Units Act of 1960.

**Beneficiary Eligibility:**

Federal, State and local governments, industry and public decision makers, research scientists, State institutions of higher education, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposed research application responsive to the instructions issued by the USGS. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Requires each research project to be conducted in collaboration and cooperation with USGS personnel stationed at Cooperative Fish and Wildlife Research Units, and cooperating agency representatives. Discussions to determine interest and appropriateness of research projects for a Cooperative Fish and Wildlife Research Unit are required before proposals are submitted. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form Standard Form (SF) 424 must be used. This program is subject to the provisions of OMB Circular No. A-110, or its successor, and the Department of the Interior regulations at 43 CFR Part 401, Subpart C. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a Research Work Order document from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

All projects have a limited duration not to exceed 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration may not exceed 5 years. Funds are released as required. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports

are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$21,680,016; FY 12 est \$22,000,000; and FY 13 est \$22,000,000 - Research Work Orders funded with reimbursable funds provided by other Federal programs. No funds appropriated to the program are set aside or are separately identifiable for project grants. Recipients request payment as needed throughout the award period.

**Range and Average of Financial Assistance:**

\$5,000 to \$1,286,571; average \$71,788.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, 3302 Research Work Orders were active at cooperating universities. Fiscal Year 2012: The number of Research Work Orders active in FY 12 is expected to be about 350. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided to each of the 40 universities participating in the Cooperative Research Units Program.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Kevin G. Whalen, Department of the Interior, Geological Survey, Cooperative Research Units, 12201 Sunrise Valley Drive, Mail Stop 303, Reston, Virginia 20192 Email: [kwhalen@usgs.gov](mailto:kwhalen@usgs.gov) Phone: (703) 648-4062 Fax: (703) 648-4269.

**Website Address:**

<https://www.coopunits.org>

**RELATED PROGRAMS:**

15.813 Cooperative Research Units Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must address natural resource and environmental issues of concern to federal agencies and be acceptable to local program cooperators and universities hosting Cooperative Fish and Wildlife Research Units. The Unit Leader of each Unit must determine this before the Unit and its host university submits a proposal to USGS. Projects must be for research and have educational components for graduate training, including post-doctoral fellows.

**15.813 COOPERATIVE RESEARCH UNITS TRAINING PROGRAM CRUTP**

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Organic Act of 1879, 20 U.S.C. 1060.

**OBJECTIVES:**

To provide financial support to Minority Serving Institutions (MSIs) to introduce a culturally diverse group of students, primarily undergraduates, to the fields of freshwater fisheries and aquatic sciences and train them for careers in the natural resources professions.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

To provide MSIs with funds to offer training opportunities supporting the program objectives in accordance with an approved budget, plus appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the grants program of the U.S. Geological Survey. For further information, please contact the regional office.

**Applicant Eligibility:**

Accredited 4-year Historically Black College or Universities (HBCUs) under Title III Part B of the Higher Education Act of 1965, as amended (20 U.S.C. 1060 et seq.) with program studies in the freshwater fisheries and/or aquatic sciences.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students; who maintain satisfactory academic progress in accordance with the eligibility standards and practices of the grantee institution.

**Credentials/Documentation:**

Proposed program application responsive to instructions issued by the U.S. Geological Survey. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form Standard Form (SF) 424 Application for Federal Assistance must be used. This program is subject to the provisions of OMB Circular No. A-110, or its successor, and the Department of the Interior regulations at 43 CFR Part 401, Subpart C. Applicant must submit proposed projects on <http://www.grants.gov> as required by the individual program announcement.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

2 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are normally awarded in, but not restricted to, 12 month budget periods. Project duration may not exceed 5 years. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain records for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$150,000; FY 12 est \$150,000; and FY 13 est \$150,000

**Range and Average of Financial Assistance:**

\$100,000 to \$180,000; average \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Not available. Fiscal Year 2012: The National Cooperative Fisheries Scholars Program (NCFSP) at the University of Arkansas, Pine Bluff continues to meet its objectives. The NCFSP continues to offer 4-year full scholarships to undergraduate students earning their Bachelor of Science degree in Fisheries Biology at UAPB. Because minorities interested in careers in natural resource management are rare, the NCFSP has continued to successfully recruit prospective students nationwide. Over the last several years, the NCFSP has developed contacts with vocational agricultural teachers, math and science instructors, and guidance counselors at high schools across the country. The program relies on these contacts to identify likely applicants for scholarships. The NCFSP also actively recruits among high school students that have participated in the American Fisheries Society's Hutton Junior Fisheries Biology Program. High school students who participate in the Hutton Program and still want to pursue a career in fisheries degree, and more likely to take advantage of the numerous professional development opportunities available while in school. These students also are more likely to pursue graduate degrees in fisheries or a related natural resource field. Several NCFSP participants have secured summer internships with USGS research facilities to enhance their education experience. Other graduates of the NCFSP at UAPB have gone on to be accepted to graduate school in one of the Cooperative Research Unit program host universities. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

USGS guide for submission of proposals is available to: <http://www.usgs.gov/contracts/grants/unsolbk.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kevin G. Whalen, Department of the Interior, Geological Survey, MS 303 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [kwhalen@usgs.gov](mailto:kwhalen@usgs.gov) Phone: (703) 648-4062 Fax: (703) 648-4269.

**Website Address:**

<http://www.usgs.gov>.

**RELATED PROGRAMS:**

15.812 Cooperative Research Units Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

A panel of CRU scientist and program managers that may include external

peers will review the proposals. All proposals will be evaluated and rated in accordance with established criteria with includes relevance to announced priorities, technical merit, prospect of attaining objectives in period specified and potential for student training. Final award determination will be made by the CRU project officer.

#### **15.814 NATIONAL GEOLOGICAL AND GEOPHYSICAL DATA PRESERVATION PROGRAM**

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

The Federal Energy Policy Act of 2005, Section 351, Public Law 109-58.

**OBJECTIVES:**

To preserve and provide access to geological, geophysical, and engineering samples (and any related data) extracted from the Earth to improve the breadth of information available and to inform science and decision making now and in the future.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for proposals not covered by one of the objectives are not solicited. For further information, please contact the regional office.

**Applicant Eligibility:**

State geological surveys are eligible to apply. For State geological surveys organized under a State university system, such universities may submit a proposal on behalf of or through the State geological survey.

**Beneficiary Eligibility:**

Research scientists, engineers, and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Three to six months after submittal of proposal or bureau receipt of appropriations, whichever is later.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** In order to gain the greatest leverage of limited Federal and State funds, each proposed State originated program must show a 1:1 Federal/State match of direct-and indirect-cost dollars. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12-month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General, or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations.

**Records:**

Records shall be retained and made available for audit for three years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$542,000; FY 12 est \$618,635; and FY 13 est \$600,000 - Recipients request payment as needed throughout the award period.

**Range and Average of Financial Assistance:**

\$5,000 to \$45,592; average \$23,669.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 10, 30 states applied and the Program awarded approximately \$638,000 to 24 States to continue inventorying collections, creating metadata for items in those collections, for digital conversion, and to rescue geoscience collections and data in imminent danger of loss. In FY 11, 28 state geological surveys submitted proposals and the Program awarded \$618,391 to 22 States. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Betty Adrian Department of the Interior, U.S. Geological Survey, Box 25046, MS 975 Denver Federal Center, Core Science Systems., Denver, Colorado 80225 Email: [badrian@usgs.gov](mailto:badrian@usgs.gov) Phone: (303) 202-4852

**Website Address:**

<http://datapreservation.usgs.gov/index.shtml>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY 2011, State geological surveys applied for funds from the National Geological and Geophysical Data Preservation Program to inventory their geoscience collections, create metadata for items in those collections, to convert paper or digital files to new digital formats, and to rescue

geoscience collections and data in imminent danger of loss. Twenty eight states applied and 22 were granted funding. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Relevance to announced priorities, technical merit, and prospect of attaining program objectives.

**15.815 NATIONAL LAND REMOTE SENSING EDUCATION OUTREACH AND RESEARCH**

National Cooperative Geographic Information System

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Public Law 110-161, Organic Act 1879, 43 U.S.C. 31.

**OBJECTIVES:**

To promote the uses of space-based land remote sensing data and technologies through education and outreach at the State and local level and through university based and collaborative research projects. Technologies of interest include multispectral and hyper-spectral electro-optical, thermal, and radar.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for research projects not covered by one of the objectives are not solicited. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Nonprofit organizations, Public and Private colleges and universities, and State and local governments may make an application for support by a named principal investigator.

**Beneficiary Eligibility:**

States, research scientists, engineers, education (0-13+) and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed education, outreach and research activities. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 1 to 2 year budget periods. The project duration is not to exceed 5 years. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. No cash reports are required. No progress reports are required. Annual and final financial reports must be submitted as described in the award terms and conditions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular A-110, or superseding regulations.

**Records:**

All records must be retained and made available for audit for 3 years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$967,400; FY 12 est \$967,400; and FY 13 est \$967,400

**Range and Average of Financial Assistance:**

\$950,000 to \$1,000,000; average \$967,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: This program focuses on satellite remote sensing data and technologies in support of applied research, K-16 education, workforce development and technology transfer. Federal funds are leveraged to work together with other State organizations, Federal agencies and across States (StateViews). Continued educational and technical working groups to increase efficiencies. Continued work to develop remote sensing curricula that can be shared with and tailored to each participating educational institution (as well as work force training). Select States worked to create a shareable archive of all kinds of remote sensing data that all State organizations can access. Increased education and training in Earth sciences (K-16). Conducted critical applied research - real-time applications relevant to each State, sometimes expanding to a region of the U.S. Provided feedback to the U.S. Geological Survey to better understand State needs. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas Cecere, Land Remote Sensing Program Office, Geography Division, Geological Survey, 517 National Center, Reston, Virginia 20192 Email: [tcecere@usgs.gov](mailto:tcecere@usgs.gov) Phone: (703) 648-5551 Fax: (703) 648-5939.

**Website Address:**

<http://www.usgs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The National Land Remote Sensing Education, Outreach and Research Activity has funded projects that assure that all users of remotely sensed data have equal, affordable access to the data and can establish the means to conduct research using the data. Additionally, this program has funded projects focusing on K-16 outreach, remote sensing course development for the public, and the tailoring of remotely sensed imagery for State and local scientific and public use. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Panel composed of expert scientists and administrators drawn from government evaluate all assistance applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and reasonableness of the budget.

**15.816 MINERALS RESOURCES EXTERNAL RESEARCH PROGRAM**

MRERP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

30 U.S.C. 1601 et. seq.

**OBJECTIVES:**

To conduct research in topics related to nonfuel mineral resources in order to (1) ensure availability of up-to-date quantitative assessments of potential for undiscovered mineral deposits, (2) Ensure availability of up-to-date geoenvironmental assessments, (3) ensure availability of reliable geologic, geochemical, geophysical, and mineral locality data for the United States, and (4) ensure availability of long-term data sets describing mineral production and consumption.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Specific objectives are identified in the annual program announcement. Applications for research projects not covered by one of the objectives are not solicited. Funds are set aside for discretionary activities.

**Applicant Eligibility:**

Colleges, universities, profit-making, and nonprofit organizations, and State and local governments may make application for support by a named principal investigator.

**Beneficiary Eligibility:**

Research scientists and the general public will ultimately benefit from the program.

**Credentials/Documentation:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulation at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications must be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 7 to 9 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: No statutory requirement. Recipients are encouraged to share in the cost of each research project.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements will normally be awarded in 12 or 24 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as products, are required and must be submitted as described in the award terms and conditions. No cash reports are required. No progress reports are required. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations.

**Records:**

All records shall be retained and made available for audit for 3 years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$102,938; FY 12 est \$261,645; and FY 13 est \$250,000

**Range and Average of Financial Assistance:**

\$15,000 to \$151,000; average \$58,643.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Since its initiation in 2004, the Mineral Resource External Research Program (MRERP) has awarded approximately \$2.8 million to 48 different research projects across the country. The MRERP has funded projects covering mineral deposit genesis, regional controls on minerals systems, mineral environmental characteristics of ore deposits, and materials flow studies. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**



None.

**Headquarters Office:**

Jeff Doebrich, Mineral Resources Program, Geological Survey, 913 National Center, Reston, Virginia 20192 Email: mrrerp@usgs.gov Phone: (703) 648-6103 Fax: (703) 648-6057.

**Website Address:**

<http://minerals.usgs.gov/mrrerp> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Panels composed of expert scientists drawn from government, universities, and private industry evaluate all assistance applications. Criteria for judging applications includes: relevance and timeliness of the proposed research to the goals of the program; technical quality of the proposal; competence of the principal investigator and recipient organization; and appropriateness and reasonableness of the budget.

**15.817 NATIONAL GEOSPATIAL PROGRAM: BUILDING THE NATIONAL MAP**

The National Map

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Organic Act of 1879; 43 U.S.C. 31; 43 U.S.C. 36c; 43 U.S.C. 36d; Department of the Interior and Related Agencies Appropriations Act of 2003, Public Law 108-7; and American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5).

**OBJECTIVES:**

To organize, maintain, publish, and disseminate the geospatial baseline of the Nations topography, natural landscape, and built environment through The National Map, a set of basic geospatial information provided as a variety of products and services; to foster a general understanding of broad geographic patterns, trends, and conditions through The National Atlas of the United States of America; and to increase the efficiency of the Nations geospatial community by improving communications about geospatial data, products, services, projects, needs, standards, and best practices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Applications must be for data collection and research projects which are consistent with the objectives of the National Geospatial Program. The majority of funds are used to support new data collections that will enhance the The National Map and The National Atlas of the United States of America and to research new methods to use those data. For further information, please contact the regional office.

**Applicant Eligibility:**

Proposals from State, Local, Interstate, Federally or State recognized Indian Tribal Governments, US Territories and Possessions, Institutions of Higher Education, Private Foundations, and Nonprofit Organizations are invited. Due to limited availability of funding to support new external projects, consultation with the Geological Survey is strongly recommended prior to submission of applications.

**Beneficiary Eligibility:**

Interstate, State, intrastate, and local government agencies, educational institutions, private firms, private foundations, nonprofit organizations, Federally-acknowledged or state-recognized Native American tribes or groups, U.S. territories and possessions, public decision makers, research scientists, engineers, graduate students, students/trainees, and the general public will ultimately benefit from knowledge gained under the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Notwithstanding the provision OMB Circular A-110, Subpart C, \_25(e)(1), discussions regarding funding availability and program interest are strongly encouraged, as limited funding is available for new projects. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the Grants.gov announcement packages and the above regulations must be used for this program. Instructions for submitting applications are contained in each announcement package posted to [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

One to three months.

**Appeals:**

Not applicable except that application may be revised and resubmitted.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Recipients are encouraged to share in the cost of each project. Typical appropriations language requires cooperating State and local governments to contribute at least one-half of the cost of cooperative mapping projects. Proposals with 50% or greater matching funds will receive the highest consideration in order to maximize benefits from these assistance funds. Maintenance of effort requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded for, but not restricted to, 12 to 18 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Projects funded under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or authorized audit agency access to and the right to examine records related to the award. Audit info. "If 'No' is selected: "This program is excluded from coverage under OMB Circular No. A-133."

**Records:**

Records shall be retained and made available for audit for 3 years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$1,679,132; FY 12 est \$1,000,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

\$3,750 to \$176,866; average \$54,166.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 31 awards granted. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Geological Survey Guide for Submission of Unsolicited Proposals is available at <http://www.usgs.gov/contracts/grants/unsolbk.html>.

**Regional or Local Office:**

See Regional Agency Offices. For individually-awarded projects, contact the appropriate office, depending on the location of the study. See the "Partnership Network" listing at [http://nationalmap.gov/tnm\\_partnerships.html](http://nationalmap.gov/tnm_partnerships.html).

**Headquarters Office:**

National Geospatial Program, Geological Survey, 12201 Sunrise Valley Drive, MS 510, Reston, Virginia 20192 Phone: (703) 648-5519.

**Website Address:**

<http://www.nationalmap.gov>

**RELATED PROGRAMS:**

10.903 Soil Survey; 15.808 U.S. Geological Survey\_ Research and Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Not Available. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Panels of expert geographers, cartographers, physical scientists and geodesists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the mission of the National Geospatial Program of the Geological Survey. Other factors include geographic location and areal extent, value to potential partners, technical qualifications of the recipients, and amount of matching funds.

**15.818 VOLCANO HAZARDS PROGRAM RESEARCH AND MONITORING.**

Volcano Hazards Program

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Outer Continental Shelf Resource Management, 43 U.S.C. 36d.

**OBJECTIVES:**

To advance the scientific understanding of volcanic processes and to lessen the harmful impacts of volcanic activity. The Volcano Hazards Program (VHP) monitors active and potentially active volcanoes, assesses their hazards, responds to volcanic crises, and conducts research on how volcanoes work to fulfill a Congressional mandate (Public Law 93-288) that the USGS issue "timely warnings" of potential volcanic hazards to responsible emergency-management authorities and to the populace affected. VHP provides domestic assistance in order to expand the expertise and capabilities applied to

fulfilling its mission.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Cooperative Agreements are entered into for the purpose of conducting monitoring and research as specified in Public Law 93-288. For further information, please contact the regional office.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed research and operations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Notwithstanding the provision at OMB Circular A-110, Subpart C, \_\_.25 (e)(1), discussions regarding funding availability and program interest are strongly encouraged, as limited funding is available for new projects. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Established annually. The range of approval/disapproval time is from 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Recipients are encouraged to share in the cost of each research project.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will normally be awarded in, but not restricted to, 12 month budget periods. Project duration may not exceed 5 years. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Quarterly and final financial reports, annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. No progress reports are required. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants agree to give the sponsoring agency, the Comptroller General or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-110, or superseding regulations. Audit info. If 'No' is selected: "This program is excluded from coverage under OMB Circular No. A-133."

**Records:**

Records must be maintained and made available for audit for three years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,046,688; FY 12 est \$2,500,000; and FY 13 est \$2,500,000

**Range and Average of Financial Assistance:**

\$20,000 to \$2,000,000; average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funds utilized for upgrades to volcano monitoring infrastructure and hazard assessment capabilities. Fiscal Year 2012: Estimated \$2.52M in funds for cooperative agreements with 6 universities and 1 state agency. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Eichelberger, Volcano Hazards Program Office, Geologic Discipline, Geological Survey, 904 National Center, Reston, Virginia 20192 Email: jeichelberger@usgs.gov Phone: (703) 648-6711 Fax: (703) 648-5483.

**Website Address:**

<http://volcanoes.usgs.gov/>

**RELATED PROGRAMS:**

47.050 Geosciences

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: LiDAR imagery of Cascade volcanoes and real-time gas monitoring at Kilauea. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Scientists within the Geological Survey will review and evaluate all applications consistent with authorized USGS program purposes. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Geological Survey. Applications will be funded only to the extent permitted by available funds.

**15.819 ENERGY COOPERATIVES TO SUPPORT THE NATIONAL COAL RESOURCES DATA SYSTEM (NCRDS)**

NCRDS

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Public Health and Welfare, 42 U.S.C 15801; Public Lands, 43 U.S.C 31 et. seq.; Minerals, Lands and Mines, 30 U.S.C 208-1.

**OBJECTIVES:**

To collect, interpret, correlate, and evaluate energy-related stratigraphic, chemical, and GIS data that support USGS Energy Resources Program research initiatives; to build and maintain national energy databases of; to conduct energy related research and apply knowledge gained to conduct resource assessments within the United States in order to further the understanding of energy resources within a global, geologic, economic and environmental context.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funds may be used to conduct research to further the understanding of U.S. energy resource occurrence (coal, gas shale, coalbed methane, etc.) and their geologic characteristics. Applications for proposals not covered by at least one of the objectives in the Program Announcement are not solicited. For further information, please contact the regional office.

**Applicant Eligibility:**

Applicants can be affiliated (but are not required to be affiliated) with State agencies, universities, Tribal governments or organizations. Applications must have the ability to conduct research consistent with the Energy Resources Program goals. Applicants must not be employed by a U.S. Federal agency.

**Beneficiary Eligibility:**

Research scientists, their agencies, and ultimately the general public will benefit from the program.

**Credentials/Documentation:**

None specific, although proposal must contain evidence of personnels qualifications for performance of the work. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subparts C and D, or any subsequent revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Jul 01, 2010 to Jun 30, 2015: Most projects start on July 1 and end on June 30 on a year-by-year basis. Program Announcement 10HQPA0010 instituted a 5-year cycle from FY10 through FY14 (June 30, 2015).

**Range of Approval/Disapproval Time:**

Four to six months after submittal of proposal or bureau receipt of appropriations, whichever is later.

**Appeals:**

Not Applicable.

**Renewals:**

Annual renewals for continuation of work may occur through the 5-year cycle (FY 2010 to FY 2014), subject to the availability of annual funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: No statutory requirement. In order to gain the greatest leverage of limited Federal and State funds, each proposed State-originated program should indicate some State matching of direct- and indirect-cost dollars. Exceptions may be granted for ratios far below 1:1.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will normally be awarded in 12 month budget periods, with the budget periods cumulative to the end of the total project period. In FY 10, a new 5-year cycle project period was initiated, with annual funding for FY 11-14 based on future availability of funds. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

Annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Applicants must agree to give the sponsoring agency, the Comptroller General, or other authorized audit agency access to and the right to examine records related to the award. Awards to educational institutions and nonprofit organizations are subject to the audit requirements of OMB Circular A-110, or superseding regulations.

**Records:**

Recipient records shall be retained and made available for audit for three years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$418,146; FY 12 est \$300,000; and FY 13 est \$300,000

**Range and Average of Financial Assistance:**

\$15,000- \$26,000; average \$15,190.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Stratigraphic data points produced from these projects were added to the national databases and review and editing of existing data are ongoing. Coal and gas shale petrography studies were completed and used by the State and within USGS resource assessment projects. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan J. Tewalt, Department of the Interior, Geological Survey, Energy Resources Program, MS 911 National Center.

Additional contact person is Joseph A. East, Telephone: (703) 648-6450, Fax: (703) 648-6419, or Email: jeast@usgs.gov., Reston, Virginia 20192 Email: stewalt@usgs.gov Phone: (703 ) 648-6437 Fax: (703 ) 648-6419.

**Website Address:**

[http://energy.er.usgs.gov/coal\\_quality/state\\_coops](http://energy.er.usgs.gov/coal_quality/state_coops)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Two examples from 25 funded projects: "Texas gas-shale samples for thermal maturity determination" - Texas Bureau of Economic Geology and "South Arkansas Lignite Assessment - Gulf Coastal Plain Region" - Arkansas Geological Survey. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

A panel evaluates application for relevance to announced priorities, technical merit, applicant's professional qualifications and prospect of attaining program objectives. The review process is detailed in a Technical Evaluation document.

**15.820 NATIONAL CLIMATE CHANGE AND WILDLIFE SCIENCE CENTER**

NCCWSC and DOI Climate Science Centers (DOI CSC)

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Act of 2008, Public Law 110-161, Public Law 110-161, 43 U.S.C 36(d).

**OBJECTIVES:**

To enable the National Climate Change and Wildlife Science Center (NCCWSC) and the eight Department of the Interior Climate Science Centers (DOI CSC) to be responsive to the research and management needs of Federal and State agencies by working with partners to provide science and technical support regarding the impacts of climate change in fish, wildlife, plants and ecological processes and the mechanisms for adaptation to, mitigation of, or prevention of those impacts. Center activities will focus on providing national and regional habitat and population modeling and forecasting tools, integrating physical climate models with ecological models, assessing vulnerabilities and forecasting changes, and developing standardized approaches.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The Department of the Interior (DOI) Climate Science Centers are being developed according to a consistent national strategy and are managed at the national level by the NCCWSC. National coordination of research, modeling, and other scientific and data management matters at the DOI CSCs will ensure uniformity of downscaling and forecasting models and standardized information to support management of fish and wildlife resources and regional partnership collaborations. NCCWSC will develop cooperative agreements and/or grants with the DOI CSCs at the primary hosting Universities to conduct specific research, data gathering, data management and similar scientific activities. For further information, please contact the regional office.

**Applicant Eligibility:**

There are eight (8) DOI CSCs; each CSC has a single "Host Institution" that is eligible to apply on behalf of themselves and members of the CSC university consortium: Alaska CSC: University of Alaska, Fairbanks; Southeast CSC: North Carolina State University, Raleigh; Northwest CSC: Oregon State University, Corvallis; Southwest CSC: University of Arizona, Tucson; North Central CSC: Colorado State University, Ft. Collins; South Central CSC: Oklahoma University, Norman; Northeast CSC: University of Massachusetts, Amherst; Pacific Islands CSC: University of Hawaii, Manoa.

**Beneficiary Eligibility:**

Research scientists, policy makers, natural resource managers, educators, and the general public will benefit from the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed education, outreach, science coordination and research activities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants will use the standard SF 424 Application for Federal Assistance and Assurances. This program is subject to the Department of the Interior regulations at 43 CFR Part 12, Subpart F, or any subsequent revisions. The application requirements as

contained in the announcement package and the above regulations must be used for this program. Applications may be made only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Four to six months after submittal of proposal or Bureau receipt of appropriations, whichever is later.

**Appeals:**

Not Applicable.

**Renewals:**

Awards for specific scientific activities and research may be from one to several years depending upon the subject matter. Annual renewals will be subject to adequate reporting and performance and are also subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Recipients are encouraged to share in the cost of each project.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods will normally be for the appropriate term for scientific activities and/or research. Budget periods will not exceed twelve (12) months. Annual renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are typically required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual Federal Financial Reports SF 425 and final reports must be submitted as required in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records shall be retained and made available for audit for 3 years after submission of final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$3,700,000; FY 12 est \$8,700,000; and FY 13 est \$8,700,000 - Recipients request payment as needed throughout the award period.

**Range and Average of Financial Assistance:**

The range for individual DOI CSCs financial assistance awards (individual projects) is up to \$1,000,000 in FY 12.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Results of scientific activities are communicated to customers in academia, science and resource management agencies, and the general public through models, decision support tools, project reports and peer-reviewed

scientific papers, web sites, databases, and meetings with stakeholders. During FY 11, approximately 12 projects were funded across three DOI CSCs. The number of projects is expected to increase in FY 12 and FY 13 as additional DOI CSCs conduct climate change research and science studies. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Headquarters Office, below.

**Headquarters Office:**

Nadine Hartke, Department of the Interior, U.S. Geological Survey, National Climate Change and Wildlife Science Center (NCCWSC), MS-300 National Center, 12201 Sunrise Valley Drive, Reston, Virginia 20192 Email: [nhartke@usgs.gov](mailto:nhartke@usgs.gov) Phone: (703) 648-4607.

**Website Address:**

<http://nccwsc.usgs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY 11, research projects were implemented in our North Central CSC to (a) conduct scientific research related to species, landscape, ecosystem natural resource connections to orient the pilot study across various scales of decision making and to (b) develop an adaptive management framework to accommodate changing conditions and that allow land managers to effectively link the appropriate science to natural resource management decision-making across jurisdictional boundaries. FRAME-SIMPLLE is a collaborative modeling process designed to accomplish that goal by coupling the adaptive capabilities of the SIMPLLE modeling system with accepted principles of collaboration. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Application proposals will be reviewed by the appropriate geographical DOI CSC Center Director and/or the headquarters NCCWSC Director to ensure projects fall within the authorized program purpose. Criteria for judging applications will include scientific excellence and relevance to the solution of important problems within the mission of the Department of the Interior. Applications will be funded only to the extent permitted by available funds.

**15.875 ECONOMIC, SOCIAL, AND POLITICAL DEVELOPMENT OF THE TERRITORIES**

**FEDERAL AGENCY:**

Office of Insular Affairs, Department of the Interior

**AUTHORIZATION:**

The Guam Organic Act, 64 Stat. 384, 48 U.S.C. 1421 et. seq., Act of February 20, 1929, 48 U.S.C. 1661; Executive Order 10264; Public Law 83-517, 48 U.S.C. et. seq.; Public Law 94-241, Public Law 104-134, Public Law 108-188, and Public Law 99-658.

**OBJECTIVES:**

To empower insular communities by improving the quality of life, creating economic opportunity and promoting efficient and effective governance in the U. S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands as well as the three Freely Associated States: The Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use; Formula Grants; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial assistance is limited to the U.S. territories, the Freely Associated States and to non-profit organizations whose missions directly benefit these seven insular areas. A notable exception is the state of Hawaii which receives Compact Impact aid mandated by Public Law 108-188 and Brown Treeshake Control Program funding. Financial assistance is used for a variety of activities including capital improvements, government operations, and technical

assistance.

**Applicant Eligibility:**

Eligible applicants are the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, the state of Hawaii; the Freely Associated States of the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau; and any non-profit institutions/organizations whose missions directly benefit the seven insular areas.

**Beneficiary Eligibility:**

Beneficiaries are the U.S. territories of Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands; the state of Hawaii; and the Freely Associated States of the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact statement or an environmental impact assessment may be required depending on the project grant. All proposed projects shall be reviewed for applicability. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application procedures vary. Please contact the Headquarters Office for specific information. The standard SF-424 forms are required for project grants with the exception of projects funded by the Compacts of Free Association.

**Award Procedure:**

A grant award is made to an eligible entity in the specific amounts and for the specific purposes set forth in the annual Department of the Interior and Related Agencies Appropriation Act signed by the President.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 108-188.  
Matching Requirements: The majority of OIA's financial assistance programs do not have a matching requirement. The two exceptions are the American Samoa Capital Improvement Project Operations and Maintenance Set-Aside Program, which has a 5% local match requirement, and the Maintenance Assistance Program (MAP). However, MAP match requirements are left to the discretion of OIA and may be waived should the application warrant it. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for OIA grants is dependent on the activity to be funded and is specified in the grant terms and conditions. See the following for information on how assistance is awarded/released: Award payments are generally made through wire transfer arrangements. The frequency of the payment varies. Please contact the Headquarters Office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Narrative

progress reports are required as dictated by the grant terms and conditions. A final report is due within 90 days of grant completion or termination. The SF-425 Federal Financial Report is required as directed by the grant terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits of the three Freely Associated States, when receiving funding under the Compacts of Free Association, are governed by those compacts (Public Law 108-188 and Public Law 99-658) and their related agreements. Financial assistance awards are also subject to inspection and audit by Interior's Office of the Inspector General, OIA staff, or any other authorized representative of the Federal government.

**Records:**

Record retention requirements are the same as those contained in 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and those dictated by the Compacts of Free Association (Public Law 108-188 and Public Law 99-658) and their related agreements (as applicable).

**Account Identification:**

14-0415-0-1-806; 14-0412-0-1-806; 14-0414-0-1-806; 14-0418-0-1-806.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$512,207,000; FY 12 est \$561,118,000; and FY 13 est \$565,992,000 - FY11 Grants: \$304,000,000  
FY11 Fiscal Payments: \$208,207,000

FY12 Grants: \$313,118,000  
FY12 Fiscal Payments: \$248,000,000

FY13 Grants: \$317,992,000  
FY13 Fiscal Payments: \$248,000,000.

**Range and Average of Financial Assistance:**

There is no minimum or maximum award. OIA financial assistance awards range from a few thousand dollars to tens of millions annually. The average award amount varies annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: OIA financial assistance has enabled the seven insular areas to develop economically, socially, and politically helping to empower these communities. Recent accomplishments include the construction of classrooms, medical facility improvements and the purchase of critical equipment such as fire trucks and police cruisers. Data on the number and ratio of applications is currently not available. Approximately 120 awards are made annually. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Common Rule at 43 CFR Part 12.

Please visit the OIA website: <http://www.doi.gov/oia>, for additional literature.

**Regional or Local Office:**

None.

**Headquarters Office:**

Faride Kraft, Department of the Interior, Office of Insular Affairs, 1849 C Street, NW, Mail Stop 2429, Washington, District of Columbia 20240 Email: [faride\\_kraft@ios.doi.gov](mailto:faride_kraft@ios.doi.gov) Phone: (202) 219-1335 Fax: (202) 208-7585.

**Website Address:**

<http://www.doi.gov/oia>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Operational support to the American Samoa Government and grants for the construction of basic infrastructure including marina renovations, solid waste facility construction, and power generation improvements. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following consideration will be used in determining projects to be funded: (1) Directed appropriations, (2) Relevance to program priorities, and (3) Availability of funds.

**15.904 HISTORIC PRESERVATION FUND GRANTS-IN-AID (HPF)**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

National preservation Act of 1996 as amended, 16 U.S.C. 470 et seq., 16 U.S.C 470.

**OBJECTIVES:**

To provide matching grants to States for the identification, evaluation, and protection of historic properties by such means as survey, planning technical assistance, acquisition, development, and certain Federal tax incentives available for historic properties; to provide matching grants to States to expand the National Register of Historic Places, (the Nation's listing of districts, sites, buildings, structures, and objects significant in American history, architecture, archeology, engineering and culture at the National, State and local levels) to assist Federal, State, and Local Government agencies, nonprofit organizations and private individuals in carrying out historic preservation activities; and to provide grants to Indian Tribes and Alaskan Native Corporations to preserve their culture.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Matching grants can directly finance State staff salaries, equipment, and materials, and travel necessary to accomplish program purposes. States may transfer funds to third parties to carry out historic preservation activities such as surveys, preservation plans, National Register nominations, architectural plans and specifications, historic structures reports, and engineering studies necessary to restore properties listed on the National Register of Historic Places, and for acquisition or repair of these properties. Development projects must comprise one or more of the 4 allowable treatments defined in the "Secretary of the Interior's Standards for the Treatment of Historic Properties" (36 CFR 78). These treatments are preservation, restoration, rehabilitation, and reconstruction. Major reconstruction is not eligible. Other activities must meet the applicable Secretary of the Interior's Standards for Archeology and Historic Preservation. In 2012, the amount appropriated from the Historic Preservation Fund for financial assistance to the States, Territories, and the Freely Associated States of Micronesia, was \$46.9 million, with an additional \$8.9 million for grants to Indian tribes. In accordance with Section 102(a)(5) of the National Historic Preservation Act, as amended, grantees must agree to assume, after completion of the restoration project, the total cost of the continued maintenance, repair, and administration of the property in a manner satisfactory to the Secretary.

**Applicant Eligibility:**

Eligible applicants are States and Territories as defined in the National Historic Preservation Act, as amended, operating programs administered by a State Historic Preservation Officer appointed by the Governor or according to State law, and which are otherwise in compliance with the requirements of the Act. Eligible applicants for the Tribal Grant Program are Federally recognized Indian Tribes, Alaska Native Corporations, and Native Hawaiian organizations.

**Beneficiary Eligibility:**

Eligible beneficiaries include State and local governments, public and private nonprofit organizations, and individuals. According to their own priorities and plans, States select their own projects and may subgrant to public and private parties, including local governments, federally recognized Indian tribal governments, nonprofit and for-profit organizations, and/or individuals to

accomplish program objectives. At least ten percent of each year's appropriation must be subgranted to local governments certified as eligible to carry out preservation functions according to 36 CFR 61. Grants are awarded at a ratio of 60 percent Federal, 40 percent State (public and/or private funds and/or allowable in-kind donations). American Samoa, Guam, Commonwealth of Northern Mariana Islands, Federated States of Micronesia, Republic of Palau, Republic of Marshall Islands and Virgin Islands are exempt from matching share per Public Law 96-205.

**Credentials/Documentation:**

Each State must have a qualified Review Board, employ professionally qualified staff, and maintain an approved statewide historic preservation plan in accordance with 36 CFR 61. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application is made by the States for an annual grant in the form of planned activities and projects. 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements For Grants and Cooperative Agreements to State and Local Governments," applies to awards to States. Applicants for financial aid for subgrants and contracts must contact the State Historic Preservation Office for application information. Applicants for HPF Tribal Grant projects should visit the National Park Service website, at <http://www.nps.gov/history/hps/hpg/>

**Award Procedure:**

The Annual appropriation is allocated by the Secretary of the Interior among States and Territories.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 1 month for Federal grants; subgrant time depends on State procedures.

**Appeals:**

None.

**Renewals:**

Grants to States are for 2 years, subject to "Use or Lose" procedures established by the Federal agency.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Fiscal year in which funds are appropriated and one succeeding fiscal year. See the following for information on how assistance is awarded/released: Fiscal year in which funds are appropriated and one succeeding fiscal year.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Summary completion reports must be maintained for subgrant expenditures. Expenditure reports as specified in 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" or in OMB Circular No. A-110 are required. An annual performance report is required comparing planned accomplishments with actual results.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Full fiscal and project records to be maintained by grantees in accordance with OMB Circular Nos. A-87, and 43 CFR Part 12 for States and Tribes; OMB Circular Nos. A-122 and A-110 as required.

**Account Identification:**

14-5140-0-2-303.

**Obligations:**

(Formula Grants) FY 11 \$54,500,000; FY 12 est \$55,800,000; and FY 13 est \$55,900,000

**Range and Average of Financial Assistance:**

\$61,250 to \$1,494,229  
Average - \$795,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about this program may be found on the National Park Services website, <http://www.nps.gov/history/hps/hpg/>. See the "Catalog of Historic Preservation Publications." Important examples include: "The National Register of Historic Places," 1966-1994 issue, a softbound volume describing National Register properties published in conjunction with the National Trust for Historic Preservation Press and the National Conference for State Historic Preservation Officers, (John Wiley and Sons, Preservation Press, 1 Wiley Drive, Somerset, New Jersey 08875, Telephone 1-800-225-5945, Reference ISBN 0471-144-037), the Historic Buildings Preservation Briefs series; the Preservation Planning series; the Preservation Tech Note Series; and, the National Register Bulletin series. Program regulations are specified in Volume 36 of the Code of Federal Regulations. Program standards are found in "The Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation."

**Regional or Local Office:**

See Regional Agency Offices. State programs applicants should refer to Catalog Appendix IV for list of State Historic Preservation Offices. Contact the appropriate State agency for subgrant eligibility information. This list is also available on the National Park Service's website, at <http://www.nps.gov/history/hps/hpg/>. Corrections and additions should be directed to Tawana Jackson, Historic Preservation Grants Division, National Park Service, 1849 C Street, NW., Mail Stop 2256, Washington, DC 20240, or E-mail: [Tawana\\_Jackson@nps.gov](mailto:Tawana_Jackson@nps.gov). Program inquiries should be directed to Hampton Tucker at [Hampton\\_Tucker@nps.gov](mailto:Hampton_Tucker@nps.gov).

**Headquarters Office:**

Tawana Jackson Cultural Resource, National Park Service, Department of the Interior, 1849 C St. N.W., Washington, District of Columbia 20240 Phone: (202) 354-2020

**Website Address:**

<http://www.nps.gov/history/hps/hpg/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State selects subgrant proposals for funding in accordance with its own priorities.

**15.912 NATIONAL HISTORIC LANDMARK****FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Historic Sites Act of 1935, Public Law 74-292, 16 U.S.C. 461 et seq.; National Historic Preservation Act of 1966, as amended, Public Law 89-665, 16 U.S.C. 470(t); National Historic Preservation Act Amendments of 1980, Public Law 96-515; 16 U.S.C. 470.

**OBJECTIVES:**

To study, identify, and encourage preservation of nationally-significant historic properties; a bronze plaque is awarded in a presentation ceremony when requested. This provides permanent identification of nationally significant properties.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Properties recognized as National Historic Landmarks will, upon application by the owner or administrator, be awarded a bronze plaque attesting to the property's national significance. At the same time, the applicant is requested to observe certain simple preservation precepts with regard to the property. Should subsequent occurrences alter the historic qualities of the property, landmark status may be revoked and the plaque removed. Automatic listing of National Historic Landmark properties in the National Register of Historic Places affords a degree of Federal protection under Section 106 of the Historic Preservation Act of 1966, and fulfills one of the prerequisites for Federal assistance under the National Register grants-in-aid program (see 15.904). Certain landmarks are also made eligible for Federal tax benefits and protections and technical preservation assessment and assistance.

**Applicant Eligibility:**

Anyone may suggest that a property be considered for inclusion in an appropriate National Historic Landmark theme study, provided the property has a high degree of historic integrity and potential national significance with relation to some broad facet of American history. The owner of the property may be an individual, government, or corporate body. Properties of only State or local significance do not qualify.

**Beneficiary Eligibility:**

Anyone may suggest that a property be considered for inclusion in an appropriate National Historic Landmark theme study, provided the property has a high degree of historic integrity and potential national significance with relation to some broad facet of American history. The owner of the property may be an individual, government, or corporate body. Properties of only State or local significance do not qualify.

**Credentials/Documentation:**

Request should be supported by full discussion of national significance of property and documented integrity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. If the property is not listed in the National Register of Historic Places, write the National Historic Landmarks Survey giving a brief resume of the history of the property and its present condition and advising what assistance can be provided in the nomination process. If the property is already listed in the National Register, provide a brief resume of the historical facts that justify consideration of national significance. Properties nominated to, or already listed in, the National Register of Historic Places at a national level of significance by the State Historic Preservation Officer may be reviewed by the National Historic Landmarks Survey staff.

**Award Procedure:**

When the property has been investigated, findings, in the form of a thorough NHL nomination form, are presented to the National Park System Advisory



Board which evaluates the property's national significance and high integrity and recommends a final action to the Secretary of the Interior. Owners of proposed landmarks are contacted prior to a landmark study, given an opportunity to comment on a final study, and then notified after designation of the landmark.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Determined by scheduling of theme studies, availability of staff or funds, and proximity to twice yearly Advisory Board meetings.

**Appeals:**

Owner comments are sought prior to the meeting of the Advisory Board. Board meetings are open to the public. Appeals process is outlined in program regulations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. National Park Service personnel make periodic inquiries and inspections to determine continuing eligibility of National Historic Landmark properties and to identify those which exhibit known or anticipated damage or threats to the integrity of their resources.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$1,239,522; FY 12 est \$1,239,522; and FY 13 est \$1,239,522

**Range and Average of Financial Assistance:**

Range: \$ 1,762 to \$586,731

Average: \$ 103,293.50.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

List of National Historic Landmarks available upon request. Regulations were published in the "Federal Register" on February 2, 1983. Copies of regulations also available upon request. Upon request, a bulletin on "How to Prepare National Historic Landmark Nominations" is available. The documents are also available at the NHL website <http://www2.cr.nps.gov/nhl>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Paul Loether National Park Service, Department of the Interior, 1849 C St., N.W., Mail Stop 2280, Washington, District of Columbia 20240 Email: [Paul\\_Loether@nps.gov](mailto:Paul_Loether@nps.gov) Phone: (202) 354-2210

**Website Address:**

<http://www.cr.nps.gov/nhl>

**RELATED PROGRAMS:**

15.904 Historic Preservation Fund Grants-In-Aid; 15.914 National Register of Historic Places; 15.915 Technical Preservation Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: National Historic Landmarks are automatically entered in the National Register of Historic Places. See Uses and Use Restrictions for funding project capability. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See program 15.914, National Register of Historic Places.

**15.914 NATIONAL REGISTER OF HISTORIC PLACES**

(National Register)

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

National Historic Preservation Act of 1966, as amended, Public Law 89-665, 16 U.S.C. 470, 80 Stat. 915 et seq.; Executive Order 11593, May 13, 1971; Tax Reform Act of 1976, Public Law 94-455; Public Law 94-442; 90 Stat. 1519; Revenue Act of 1978; Public Law 95-600; National Historic Preservation Act Amendments of 1980; Public Law 96-515; Tax Treatment Extension Act of 1980; Public Law 96-541; Economic Recovery Tax Act of 1981, Public Law 97-340; Tax Reform Act of 1984, Public Law 98-369; Tax Reform Act of 1986, Public Law 99-514; National Historic Preservation Act Amendments of 1992, Public Law 102-575; Executive Order 13287, March 3, 2003.

**OBJECTIVES:**

To expand and maintain the National Register of Historic Places for planning, preservation, research, public education and tourism efforts; to make the information on districts, sites, buildings, structures and objects of historical, architectural, archeological, engineering and cultural significance more accessible to the public in order to increase and broaden the public's understanding of the information, foster a national preservation ethic, and to promote greater appreciation of America's heritage; to coordinate with Federal agencies, State and Tribal preservation offices, and the Advisory Council on Historic Preservation in the implementation of laws and policies pertaining to historic preservation; and to establish liaison with and give guidance to communities under Title I of the Housing and Community Development Act of 1974 (see 14.218).

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Professional advice is provided in determining whether a property qualifies for inclusion in the National Register according to the Criteria for Evaluation contained in 36 CFR Part 60. Listing does not affect the range of actions an owner may take, as long as Federal funding, licensing or assistance is not involved and no governmental unit receives any authority or control over the property, including its use and disposition. However, if a Federal project might have an effect on a property listed or eligible for listing, the agency involved must provide the Advisory Council on Historic Preservation a reasonable opportunity to comment pursuant to 36 CFR Part 800. Registered properties also become eligible to receive grants from the Historic Preservation grant-in-aid program of the Department of the Interior (see 15.904), when funding is available, to receive home improvement loans from the Department of Housing and Urban Development under Title I of the National Housing Act as amended on October 18, 1974, or to participate in the community grant program provided by the Housing and Community Development Act of 1974. Major Federal tax advantages can be received on certain rehabilitation expenditures for "certified historic structures" and for charitable contributions for conservation purposes of partial interests in historic properties.

**Applicant Eligibility:**

Eligible applicants are the States and territories as defined in the National Historic Preservation Act, operating under programs administered by State Historic Preservation Officers appointed by the Governors (listed in Appendix IV of the Catalog); or the Tribal Preservation Officers; Federal agencies required to nominate and consider historic properties within their jurisdiction or

as a result of the National Environmental Policy Act of 1969 and Executive Order 11593, and the National Historic Preservation Act operating under programs administered by representatives (listed in Appendix IV of the Catalog) appointed by the heads of the agencies; and, in States without approved State Historic Preservation Programs, persons and local governments. Applicants eligible for Federal Tax benefits include owners of individually listed properties and properties certified by the Secretary of Interior as being historic and in a district certified as historic.

**Beneficiary Eligibility:**

Public and private owners of historic properties listed in the National Register of Historic Places or of properties certified by the Secretary of Interior as being historic and in a district certified as historic.

**Credentials/Documentation:**

Nominations are submitted on standard nomination forms provided upon request to the State Historic Preservation Officers, Federal Preservation Officers, and Tribal Preservation Officers who must certify that each property was properly nominated. Procedures for National Register nominations are found in 36 CFR Part 60. Request for determinations of eligibility must be adequately documented as described in Appendix A of 36 CFR Part 63. Requests for certification of historic properties must be documented as described in Section 36 CFR Part 67 and requests for certification of State and local statutes and districts must be documented as described in Section 36 CFR Part 67. To participate in the program, each State must have an approved review board, an approved State staff, and an accepted State historic preservation plan. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

For National Register nominations the signature of the State Historic Preservation Officer on the nomination form certifies that the State review board has reviewed the nomination and that all applicable procedures, including notification to the property owner at least once during the nomination process, have been followed. The signature of the Federal Preservation Officer for Federal property or the Tribal Preservation Officer on Tribal lands on the nomination form certifies that the property has been nominated in compliance with the National Historic Preservation Act. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Anyone may prepare a National Register nomination. After the property is approved by the State Historic Preservation Officer, Tribal Preservation Officer, or Federal Preservation Officer, the nomination form or letter of request for a determination of eligibility should be forwarded to the Keeper of the National Register, National Park Service, Department of the Interior, 1849 C Street, NW, Mail Stop 2280, Washington, DC 20240. Nominations submitted for review are announced in the Federal Register to provide a period of comment. Documentation for certification for Federal tax benefits of historic buildings and structures, State and local statutes and districts should be forwarded to the appropriate State Historic Preservation Office, which sends it to the appropriate National Park Service Office.

**Award Procedure:**

The professional review staff of the National Register determines whether the properties meet the National Register criteria as contained in 36 CFR Part 60. Properties that meet the criteria are then officially listed in the National Register and become eligible for Federal tax benefits and Historic Preservation Fund grants when they are available.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

After nomination by State, 45 days at Federal level.

**Appeals:**

A nomination returned to the States, Tribes, or Federal agencies may be resubmitted, depending upon the reason for its rejection. Appeals for listing and removal may be made in accord with 36 CFR 60.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$0; FY 12 est \$50,000; and FY 13 est \$50,000

**Range and Average of Financial Assistance:**

Range: \$0

Average: \$0.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR Part 60; 36 CFR Part 63; 36 CFR Part 67, The National Register of Historic Places, a free leaflet explaining the program, Guidelines for Completing National Register of Historic Places Forms, and other technical guidance are available from the National Register of Historic Places Reference Desk, National Register, History, and Education, 1849 C Street, N.W., (Mail Stop 2280) Washington, DC 20240 ([www.cr.nps.gov/nr/publications](http://www.cr.nps.gov/nr/publications)). Lists of nominations submitted to the National Register for review are published in the Federal Register. The National Register database of all listings is accessible through the Internet at <http://www.cr.nps.gov/nr>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV for list of State Historic Preservation Officers and National Park Service Regional Offices.

**Headquarters Office:**

Paul Loether National Park Service, Department of the Interior, 1849 C Street, N.W., Mail Stop 2280, Washington, District of Columbia 20240 Email: [Paul\\_Loether@nps.gov](mailto:Paul_Loether@nps.gov) Phone: (202) 345-2213

**Website Address:**

<http://www.cr.nps.gov/nr>.

**RELATED PROGRAMS:**

14.218 Community Development Block Grants/Entitlement Grants; 15.904 Historic Preservation Fund Grants-In-Aid; 15.912 National Historic Landmark; 15.915 Technical Preservation Services

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for Evaluation: The following criteria are designed to guide the States and the Secretary of the Interior in evaluating potential entries (other than areas of the National Park System and National Historic Landmarks) to the National Register: The quality of significance in American history, architecture, archeology, engineering, and culture is present in districts, sites, building, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association, and; (A) that are associated with events that have made a significant contribution to the broad patterns of our history; or (B) that are associated with the lives of persons significant in our

past; or (C) that embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or (D) that have yielded, or may be likely to yield, information important in prehistory or history.

Ordinarily cemeteries, birthplaces, or graves of historical figures, properties owned by religious institutions or used for religious purposes, structures that have been moved from their original locations, reconstructed historic buildings, properties primarily commemorative in nature, and properties that have achieved significance within the past 50 years shall not be considered eligible for the National Register. However, such properties will qualify if they are integral parts of districts that do meet the criteria or if they fall within the following categories. (A) a religious property deriving primary significance from architectural or artistic distinction or historical importance; or (B) a building or structure removed from its original location but which is significant primarily for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or (C) a birthplace or grave of a historical figure of outstanding importance if there is no other appropriate site or building directly associated with his productive life; or (D) a cemetery which derives its primary significance from graves of persons of transcendent importance, from age, from distinctive design features, or from association with historic events; or (E) a reconstructed building when accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or (F) a property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own historical significance, or (G) a property achieving significance within the past 50 years if it is of exceptional importance.

## **15.915 TECHNICAL PRESERVATION SERVICES**

### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

### **AUTHORIZATION:**

Federal Property and Administration Services Act, Executive Order Executive Order 11593, Public Law 81-152, 471 U.S.C. , Executive Order , Public Law - , U.S.C.

### **OBJECTIVES:**

To establish technical preservation policies and standards and to develop technical information for the treatment of historic properties. This includes development and distribution of the "Secretary of the Interior's Standards for Historic Preservation Projects," which provide guidance regarding all aspects of preservation work for the use of Federal, State and local officials, property owners, developers, and architects. To advise Congress and Federal agencies on the preservation of historic properties. To provide policy direction and guidance on Federal surplus properties which are available for transfer for historic monument purposes. To review rehabilitations of investment property for the 20% investment tax credit.

### **TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROVISION OF SPECIALIZED SERVICES

### **USES AND USE RESTRICTIONS:**

Technical information is provided to assist Federal agencies, State and local governments, and owners of certified historic structures to preserve and maintain historic properties under their jurisdiction or control. The 20% investment tax credit applies only to income-producing buildings listed in the National Register of Historic Places or contributing to registered historic districts; and only for rehabilitations determined by NPS to meet the Secretary of the Interior's Standards for Rehabilitation. For matching grants, see 15.904, Historic Preservation Grants-in-Aid.

### **Applicant Eligibility:**

For technical information on preservation of historic buildings: Federal agencies, State and local governments, private, public, profit and nonprofit organizations and individuals. For rehabilitation tax incentives program: private owners of historic buildings held for investment purposes. For Grants-in-Aid see program 15.904, Historic Preservation Grants-in-Aid.

### **Beneficiary Eligibility:**

For technical information on preservation of historic buildings: Federal agencies, State and local governments, private, public, profit and nonprofit organizations and individuals. For rehabilitation tax incentives program: private owners of historic buildings held for investment purposes. For Grants-in-Aid see program 15.904, Historic Preservation Grants-in-Aid.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is encouraged. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By Historic Preservation Certification Application (OMB No. 1024-0009) through the appropriate State official or NPS regional office. For Grants-in-Aid, see 15.904, Historic Preservation Grants-in-Aid.

### **Award Procedure:**

NPS reviews rehabilitation projects seeking the investment tax credit. NPS certifies that the subject building is eligible for the tax credits [Part 1 review] and reviews the work to the building [Part 2 review]. If the rehabilitation project meets the Secretary of the Interior's Standards for Rehabilitation, NPS certifies the project to the Internal Revenue Service [Part 3 review].

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

Applications for rehabilitation tax incentives are reviewed by State Historic Preservation Offices normally within 30 days of receipt, and then forwarded to NPS. Decisions on tax incentives applications normally are made by NPS within 30 days of receipt of review fee, but the time can vary according to the nature of problems encountered and range of alternatives.

### **Appeals:**

Investment tax credit applications that are initially denied may be appealed to NPS' Chief Appeals Officer. A decision by the Chief Appeals Officer is the final administrative decision on behalf of the Department of the interior. Where possible, denials also include instructions on how a rehabilitation project may be modified in order to meet the Standards and thus achieve approval.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Completed rehabilitation work must be documented in photographs submitted with the Request for Certification Work (NPS Form 10-168c). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Completed rehabilitation work must be documented in photographs submitted with the Request for Certification Work (NPS Form 10-168c).

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Secretary of the Interior reserves the right to inspect the property at any time up to 5 years after the completion of the rehabilitation and to withdraw certification of rehabilitation work not undertaken as described or of additional unapproved project work

undertaken inconsistent with the Secretary of the Interior's Standards for Rehabilitation.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$1,815,000; FY 12 est \$2,025,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1058 Part 1 certifications, 937 Part 2 reviews, and 711 Part 3 certifications. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

36 CFR Part 67 (for tax incentives program). Treasury Regulations Section 1.48-12. For a free catalog listing publications of the Cultural Resources programs of the National Park Service, write Headquarters Office listed below or see website at <http://www.nps.gov/tps/>

**Regional or Local Office:**

None. See Catalog Appendix IV for addresses.

**Headquarters Office:**

Brian Goeken 1849 C Street, N.W., ORG 2255, Washington, District of Columbia 20240 Phone: (202) 513-7270

**Website Address:**

<http://www.nps.gov/tps/>

**RELATED PROGRAMS:**

15.904 Historic Preservation Fund Grants-In-Aid; 15.914 National Register of Historic Places

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**15.916 OUTDOOR RECREATION\_ACQUISITION, DEVELOPMENT AND PLANNING**

Land and Water Conservation Fund Grants

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

16 U.S.C. 1-4 et seq.; Land and Water Conservation Fund Act of 1965, Public Law 88-578, 78 Stat. 897, as amended; Public Law 90-401, 82 Stat. 354; Public Law 91-485, 84 Stat. 1084; Public Law 91-308, 84 Stat. 410; Public Law 92-347, 86 Stat. 460; Public Law 93-81, 87 Stat. 178; Public Law 94-422, 90 Stat. 1313; Public Law 95-42, 91 Stat. 210; Public Law 100-203, 101 Stat. 1330.

**OBJECTIVES:**

To provide financial assistance to the States and their political subdivisions for the preparation of Statewide Comprehensive Outdoor Recreation Plans (SCORPs) and acquisition and development of outdoor recreation areas and facilities for the general public, to meet current and future needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Land acquisition and development grants may be used for a wide range of outdoor recreation projects, such as picnic areas, inner city parks, campgrounds, tennis courts, boat launching ramps, bike trails, swimming pools, playing fields, and support facilities such as roads, water supply, etc. Facilities must be open to the general public and not limited to special groups. Every park or outdoor

recreation area acquired or developed with assistance under this program must remain available and accessible for public outdoor recreation use forever.

Development of basic rather than elaborate facilities is favored. Operation and maintenance of facilities are not eligible expenses for funding. States only are also eligible to apply for grants to revise and update existing SCORPs; prepare new SCORPs; conduct statewide surveys, technical studies, data collection and analysis; and for other planning purposes that are clearly related to SCORP refinement and improvement.

**Applicant Eligibility:**

For planning grants, only the State agency formally designated by the Governor or State law as responsible for the preparation and maintenance of the SCORP is eligible to apply. (Treated as States for this purpose are the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, the Northern Mariana Islands, and Guam.) For acquisition and development grants, the above designated agency may apply for assistance for itself, or on behalf of other State agencies or political subdivisions, such as cities, counties, and park districts. Additionally, Indian tribes that are organized to govern themselves and perform the functions of a general purpose unit of government qualify for assistance. Individuals, nonprofit organizations, and private organizations are not eligible.

**Beneficiary Eligibility:**

The general public. For planning grants, same as Applicant Eligibility.

**Credentials/Documentation:**

The State Liaison Officer (SLO), who is appointed by the Governor or designated in State legislation to administer the program in the State or Territory, must provide assurance that the project is consistent with the SCORP; i.e., that it meets high priority recreation needs shown in the action program portion of the Plan. The State must have a sufficient balance of LWCF funding and the required match available for the project. The sponsoring agency must permanently dedicate the project to public outdoor recreation and assume responsibility for its operation and maintenance. SCORPs must cite the State's legal authority to participate in the Land and Water Conservation Fund program. Eligibility of costs will be determined in accordance with OMB Circular A-102 (43 CFR Part 12, Subpart C), "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The SLO has the prerogative for initial determination of project eligibility, priority need, and order of fund assistance within the State. All project proposals are submitted to the National Park Service by the SLO. Environmental impact information is required for this program, a screening form is used to determine whether an EA or EIS is necessary. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Territories must have a current SCORP approved by NPS to be eligible to submit grant applications. Proposals selected by the State to forward to NPS must be accompanied by the standard federal application forms required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Proposal budgets must comport with OMB Circulars A-87 and A-102. Basic environmental information or evaluation is required and will be assessed by the National Park Service to determine whether an environmental impact statement is needed. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." If the State has selected the program for review, the applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires when applying for federal assistance.

**Award Procedure:**

Proposals are reviewed by the NPS field office, where final action may be

taken. All grants are made to the State lead agency and if applicable passed through to the project sponsor, whether State or local government.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 30-60 days for acquisition and development projects; 60 days for planning projects.

**Appeals:**

State may appeal to the Secretary of the Interior.

**Renewals:**

Project agreements may be amended to change the scope, funding amount, or duration. Must be approved by the National Park Service.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Each year, States and Territories receive an overall allocation of funds based on a statutory formula. Depending on the amount appropriated by Congress, a certain percentage (forty percent of appropriations of up to \$225 million, thirty percent of the next \$275 million, and twenty percent of any additional appropriation) is split equally among the 51 States (for this purpose American Samoa, the District of Columbia, Guam, the Northern Mariana Islands, Puerto Rico, and the Virgin Islands are treated as one State and split an apportionment). The remaining percentage is apportioned on the basis of need.

Matching Requirements: The Land and Water Conservation Fund Act requires that the share of federal funds not exceed 50 percent of the total project cost. Generally, match must be derived from State, local, or private sources, but under certain conditions all or part of the project sponsor's matching share may be from other Federal assistance programs, such as Community Development Block Grants, when such use is allowable under the other programs sponsoring legislation. Otherwise, no other Federal funds may be applied to the project cost, even if all matching requirements are met. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available for obligation during the fiscal year in which they are appropriated and for the two following fiscal years. The assistance period for individual projects varies and may be extended but on average is three years. Complex projects may be broken down into stages, with one being initially approved and the remainder qualified for activation at a later date. Except for project preparation costs, all costs must be incurred within the project period to be eligible for reimbursement. Planning projects may not be phased. See the following for information on how assistance is awarded/released: On an average of three years.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects are monitored for progress through consolidated performance reports, which should be at least annually. State inspection reports are submitted every 5 years on completed projects stating whether the properties acquired and/or developed with fund assistance are still being used in accordance with the agreement. For planning projects, end products are specified in the application for assistance. Financial reports are required with all billings which should be at least annually. Consolidated performance reports are required which should be at least annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Maintain records to facilitate audit, including records that fully disclose the amount and disposition of assistance; the total cost of the project; and the amount and nature of that portion of the cost supplied by other sources.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

(Project Grants) FY 11 \$37,125,600; FY 12 est \$42,138,470; and FY 13 est \$56,000,000

**Range and Average of Financial Assistance:**

Range: \$150 to \$5,450,000

Average: \$68,178.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No current data. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation: 36 CFR Part 59, FR 51 No. 186, September 25, 1986 (amended June 15, 1987). The Federal Financial Assistance Manual for the Land and Water Conservation Fund State Assistance Program (vol. 69, effective 10/1/2008) is available at [www.nps.gov/lwcf/](http://www.nps.gov/lwcf/) ... Program brochure available from the Department of the Interior, National Park Service, MS-2225, 1849 C Street, Washington, DC 20240, free.

**Regional or Local Office:**

See Regional Agency Offices.

[http://www.nps.gov/nrcr/programs/lwcf/contact\\_list.html](http://www.nps.gov/nrcr/programs/lwcf/contact_list.html).

**Headquarters Office:**

Chief State and Local Assistance Programs Division, National Park Service, (2225), Department of the Interior, 1849 C Street, NW., Washington, District of Columbia 20240 Email: [LWCF\\_grants@nps.gov](mailto:LWCF_grants@nps.gov) Phone: (202)354-6900 Fax: (202)371-5179

**Website Address:**

<http://www.nps.gov/lwcf>.

**RELATED PROGRAMS:**

15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

At the Federal level each project must be in accord with a State Comprehensive Outdoor Recreation Plan. Beyond this, the selection of projects is made by the State Liaison Officer of each State who is responsible for the administration of the 15.916 program in his State. Each State has its own selection process and project rating system, which is approved by NPS.

**15.918 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY FOR PARKS, RECREATION, AND HISTORIC MONUMENTS**

Surplus Property Program; Federal Lands to Parks Program;

Historic Surplus Property Program

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

40 U.S.C. 550(b), (e), and (h), Public Law 107-217, originally under the Federal Property and Administrative Services Act of 1949, Section 203(k), 63 Stat. 385 as amended, 40 U.S.C. 484, Public Law 91-485; Federal Lands for Parks and Recreation, 16 U.S.C. 4601-5.

**OBJECTIVES:**

To transfer surplus Federal real property for state and local public park and recreation use.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

Surplus real property may be conveyed for public park and recreation use at discounts up to 100 percent of fair market value. Property conveyed for park and recreation use must be used for these purposes in perpetuity or otherwise

may be reverted to Federal ownership at the discretion of the federal government.

**Applicant Eligibility:**

Only State or local units of government and territories are eligible to apply for surplus real property for public parks and recreation. Recipients must agree to manage the property in the public interest and for public recreational use.

**Beneficiary Eligibility:**

Only State or local units of government and territories are eligible to apply for surplus real property for public park and recreation, and must agree to manage the property in the public interest and for public use.

**Credentials/Documentation:**

The applicant must submit an application, proposed program of use for the property and evidence of its ability to finance the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Park and recreation applications are coordinated by the National Parks Service, Department of the Interior, and the General Services Administration, or in the case of legislated military base closures, the Department of Defense and its military components. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for park and recreation use and historic uses are submitted to the appropriate National Park Service Regional Office. Application forms are issued by the National Park Service.

**Award Procedure:**

Upon approval of a park and recreation application, the National Park Service will request GSA or DOD military service, in the case of base closures, to assign the property to the Secretary of the Interior for transfer. Upon assignment by DOD or GSA, the National Park Service will transfer the property to the applicant.

**Deadlines:**

Oct 01, 2010 The National Park Service must notify the General Services Administration within 20 calendar days after the date of the notice of determination of surplus if it has an eligible applicant interested in acquiring the property, or otherwise comply with the DOD Base Realignment and Closure planning and disposal schedules. For a park and recreation transfer, the National Park Service must request assignment of property from GSA within 25 calendar days after the expiration of the 20 day period, or otherwise comply with DOD Base Realignment and Closure (BRAC) planning and disposal schedules.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NONE. See the following for information on how assistance is awarded/released: NONE.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients of surplus properties are required to submit periodic stewardship and compliance reports (ranging from 2-5 year intervals) on the use of the property. Recipients of surplus properties are required to submit periodic stewardship and compliance reports (ranging from 2-5 year intervals) on the use of the property.

Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The National Park Service conducts periodic on-site compliance inspections and reviews periodic submitted stewardship reports to assure that the properties are being utilized for the purposes for which they are conveyed. Properties in noncompliance may be reverted back to the Federal Government.

**Records:**

The National Park Service maintains official records concerning the property.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$586,000; FY 12 est \$584,000; and FY 13 est \$584,000

**Range and Average of Financial Assistance:**

Range: None. Value varies by the value of the available real property.

Average: None. Value varies by the value of the available real property.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 4,046 acres (9 properties in 8 states and Puerto Rico). Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Federal Lands to Parks Program," 1997 brochure (no charge), "Disposal of Surplus Real Property," booklet published by the General Service Administration (no charge). 40 U.S.C. 550(b), (e), and (h), Public Law 107-217. <http://www.nps.gov/flp>

**Regional or Local Office:**

See Regional Agency Offices. Applicants for parks and recreation purposes should contact the National Park Service Offices: Northeast Region, Boston, MA office; Southeast Region, Atlanta, GA; Western Region, Oakland, CA.

**Headquarters Office:**

Joel Lynch and Wendy Ormont National Park Service, State and Local Assistance Division, Federal Lands to Parks Program, 1201 I Street N.W. Org Code 2225, Washington, District of Columbia 20005 Phone: (202) 354-6915

**Website Address:**

<http://www.nps.gov/flp>

**RELATED PROGRAMS:**

15.915 Technical Preservation Services; 15.916 Outdoor Recreation\_Acquisition, Development and Planning; 39.002 Disposal of Federal Surplus Real Property; 93.291 Surplus Property Utilization

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Former Fort Benning railroad corridor for a 2.2 mile rail-trail in Columbus, GA. A 1.393-acre addition to Fort Benjamin Harrison State Park, IN. A new establishment of the 1.990 acre Deer Creek Wildlife Management area, IN. Jesse F. Niven Community Center, City of Albemarle, NC. Fiscal Year 2012: 259 acre park and open space in Loudon County, VA. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Suitability of real property for the proposed use and the ability of the applicant unit of government to carry out the proposed program of use.

**15.921 RIVERS, TRAILS AND CONSERVATION ASSISTANCE**

Rivers and Trails or RTCA

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

National Park Service Organic Act, 16 U.S.C. 1 to 16 Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271-1287 as amended, Public Law 90-542; National Trails System Act, 16 U.S.C. 1241 as amended, Public Law 90-543; Outdoor Recreation Act of 1963, 16 U.S.C. 4601-3, Public Law 88-29; Federal Power Act, 16 U.S.C. 797-828c.

**OBJECTIVES:**

The Rivers, Trails and Conservation Assistance Program implements the natural resource conservation and outdoor recreation mission of the National Park Service in communities across America. RTCA will help create local, regional and state networks of parks, rivers, trails, greenways and open spaces by collaborating with community partners and National Park areas in every state.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

None. For more specific information contact the regional or headquarters office. For more specific information contact the regional or headquarters office.

**Applicant Eligibility:**

Private nonprofit organizations and Federal, State and local government agencies.

**Beneficiary Eligibility:**

Private nonprofit organizations and Federal, State and local government agencies.

**Credentials/Documentation:**

Not applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Program advice and information is available from the appropriate NPS Regional Office or the National Office. Consultation with an RTCA staff before an application for assistance is made helps clarify RTCA roles and contributions and also helps identify how the selection criteria might apply to your conservation and outdoor recreation goals. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information is available electronically at <http://www.nps.gov/rtca> or you may contact the appropriate regional RTCA program leader.

**Award Procedure:**

Decisions are based upon adherence to program criteria and the level of available staff time.

**Deadlines:**

Aug 01, 2012 Proposals should be submitted by August 1 for the following fiscal year.

**Range of Approval/Disapproval Time:**

Generally about 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Assistance is for one year and may be renewed for a second year if warranted.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: No fixed amount. Applications must demonstrate commitment by interested public agencies and non-profit organizations. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally 1 to 2 years. See the following for information on how assistance is awarded/released: Generally 1 to 2 years.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$2,233,134; FY 12 est \$3,531,352; and FY 13 est \$3,531,352

**Range and Average of Financial Assistance:**

Range \$5000 to \$513,000

Average \$62,031.50.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project reports are available from NPS offices and the Web.

**Regional or Local Office:**

None. Applicants are requested to communicate with National Park Service Regional Offices. Refer to Catalog Appendix IV or the web site, <http://www.nps.gov/rtca>, for addresses.

**Headquarters Office:**

Charlie Stockman 1849 C Street, NW., (ORG CODE 2235), Washington, District of Columbia 20240 Phone: (202) 354-6900

**Website Address:**

<http://www.nps.gov/rtca>.

**RELATED PROGRAMS:**

15.916 Outdoor Recreation\_Acquisition, Development and Planning; 15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Initial project partners are identified and a lead project partner is designated. Note: The lead partner may be a state or local agency, tribe, non-profit organization, or citizens' group. Federal agencies, including the National Park Service, maybe the lead partner only in collaboration with a nonfederal partner. (2) Project has specific, partner-defined goals and anticipated measurable results that are: clearly stated; support the National Park Service mission and RTCA mission and strategic plan goals; protect important natural resources or enhance outdoor recreation opportunities; and will have results that occur within an appropriate timeframe. (3) There is a commitment by lead project partners to significant public involvement and outreach in the project. (4) Roles and contributions of initial project partners, including RTCA, are identified. There is a commitment by initial project partners to cooperate and to provide or obtain the resources necessary to implement the project. (5) There is evidence of broad support for the project. Preference is given to a project that also: (a) provides physical connections among resources; (b) includes an NPS area as an actively involved project partner; (c) includes both natural resource conservation and outdoor recreation; (d) partners with a health organization.

**15.922 NATIVE AMERICAN GRAVES PROTECTION AND REPATRIATION ACT**

NAGPRA

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Native American Graves Protection and Repatriation Act of 1990 (NAGPRA).

**OBJECTIVES:**

To provide grants to museums to assist in the consultation on and

documentation of Native American human remains and cultural items; to provide grants to Indian tribes and Native Hawaiian organizations, as defined in the Act, to assist in identifying human remains and cultural items and to provide grants to museums, Indian tribes and Native Hawaiian organizations to assist in the repatriation of human remains and cultural items.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Project grants may support the following: Consultation/Documentation grants for museums may be used to: (a) bring lineal descendants, traditional religious leaders, and authorized representatives of Indian tribes and Native Hawaiian organizations to inspect collections and consult regarding the identification, cultural affiliation, proper care, treatment, and repatriation of Native American cultural items; (b) bring traditional religious leaders, and authorized representatives of Indian tribes and Native Hawaiian organizations to inspect collections and consult regarding culturally unidentifiable Native American human remains; (c) provide NAGPRA training for staff members; (d) fund travel by staff members to consult with lineal descendants, traditional religious leaders, and Indian tribe and Native Hawaiian organization officials regarding the proper care, treatment, and disposition of Native American cultural items; and (e) update documentation of unassociated funerary objects, sacred objects, and objects of cultural patrimony in consultation with lineal descendants, traditional religious leaders, and authorized representatives of Indian tribes and Native Hawaiian organizations. Consultation/Documentation grants for Indian tribes and Native Hawaiian organizations may be used to: (a) assess and evaluate summaries, inventories, and other documentation provided by museums and Federal agencies; (b) provide NAGPRA training for staff members; (c) communicate with museum and Federal agency officials regarding culturally affiliated human remains and/or cultural items of interest to the Indian tribe or Native Hawaiian organization; (d) travel to inspect collections and consult with museum and Federal agency officials regarding the identification, cultural affiliation, proper care, treatment, and repatriation of Native American human remains and other cultural items; (e) document the cultural affiliation of Native American human remains and other cultural items currently in the control of museums and Federal agencies. Repatriation grants for museums, Indian tribes and Native Hawaiian organizations may be used for: (a) travel by authorized representatives of Indian tribes Native Hawaiian organizations, or museums to accept and/or accompany human remains or other cultural items where control has transferred; (b) transportation of Native American human remains or other cultural items where control has transferred; and (c) construction of appropriate containers for the transport and disposition of subject Native American human remains and other cultural items. Grant funds may not be used for: activities related to the documentation or repatriation of human remains and cultural items from the Smithsonian Institution; activities related to the inadvertent discovery and/or intentional excavation of Native American human remains and other cultural items on Federal or tribal lands pursuant to NAGPRA Section 3 and 43 CFR 10 Subpart B; museum or tribal litigation costs, including expert testimony; care and curation of repatriated Native American human remains and cultural items; construction or renovation of facilities; or purchase of land or buildings; costs associated with the transport of cultural items for which control is not transferred to a lineal descendant, Indian tribe, or Native Hawaiian organization; overhead or indirect cost rates above 25 percent; projects proposed by applicants who have previously received a NAGPRA grant, but whose grant expired without successfully completing major elements of the proposed work, or without meeting the conditions of the grant award. For further information, please contact the regional office. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligible applicants for museum documentation awards include any institution or State or local government agency (including any institution of higher learning) that has possession of, or control over, of Native American human remains or other cultural items and which has completed the following NAGPRA obligations: provided a written summary of their Native American collections to the National Park Service and appropriate lineal descendants, Indian tribes, and Native Hawaiian organizations; and submitted an inventory of Native American human remains and associated funerary objects in their collections to

the National Park Service and culturally affiliated Indian tribes and Native Hawaiian organizations. Eligible applicants for tribal documentation and repatriation awards are Indian tribes and Native Hawaiian organizations that meet the criteria outlined in the Native American Graves Protection and Repatriation Act. An Indian tribe is defined in NAGPRA as any tribe, band, nation, or other organized group or community of Indians including any Alaska Native village (as defined in, or established pursuant to, the Alaska Native Claims Settlement act) [43 U.S.C. 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Native Hawaiian organizations include any organization that: serves and represents the interests of Native Hawaiians; has as a primary and stated purpose the provision of services to Native Hawaiians; and has expertise in Native Hawaiian Affairs. NAGPRA states that such Native Hawaiian organizations shall include the Office of Hawaiian Affairs and Hui Malama I Na Kapuna 'O Hawai'i Nei. Applications for repatriation awards will be considered only after publication of the required Notice of Inventory Completion or Notice of Intent to Repatriate in the Federal Register. Funding is not available for activities that occur prior to the submissions of the application.

**Beneficiary Eligibility:**

Eligible beneficiaries for museum documentation awards include any institution or State or local government agency (including any institution of higher learning) that has possession of, or control over, Native American human remains or other cultural items and which has completed the following NAGPRA obligations: provided a written summary of their Native American collections to the National Park Service and appropriate lineal descendants, Indian tribes, and Native Hawaiian organizations; and submitted an inventory of Native American human remains and associated funerary objects in their collections to the National Park Service and culturally affiliated Indian tribes and Native Hawaiian organizations. Eligible beneficiaries for tribal documentation and repatriation awards are Indian tribes or Native Hawaiian organizations that meet the criteria outlined in the Native American Graves Protection and Repatriation Act. An Indian tribe is defined in the statute as any tribe, band, nation, or other organized group or community of Indians, including any Alaska Native village ( as defined in, or established pursuant to, the Alaska Native Claims Settlement act) [43 U.S.C. 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Native Hawaiian organizations include any organization that: serves and represents the interests of Native Hawaiians; has as a primary and stated purpose the provision of services to Native Hawaiians; and has expertise in Native Hawaiian Affairs. NAGPRA states that such Native Hawaiian organizations shall include the Office of Hawaiian Affairs and Hui Malama I Na Kapuna 'O Hawai'i Nei. Applications for repatriation awards will be considered only after publication of the required Notice of Inventory Completion or Notice of Intent to Repatriate in the Federal Register. Funding is not available for activities that occur prior to the submissions of the application.

**Credentials/Documentation:**

Office of Management and Budget (OMB) Circular A-87 "Cost Principles for State and Local Governments" applies for Indian tribes and State institutions. OMB Circular A-122 applies for non-profit institutions. OMB Circular A-21 applies for universities. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Museums, federally recognized Indian tribes, and Native Hawaiian organizations may apply for annual grants in the form of planned activities and projects. Provisions of 43 CFR Part 12 apply. Applicants may contact the National Park Service National NAGPRA program by telephone at (202) 354-2203, by E-mail: NAGPRA\_Grants@nps.gov, or on the Web at <http://www.cr.nps.gov/nagpra/grants> OR <http://grants.gov>.

**Award Procedure:**

An annual appropriation is allocated by the Secretary of the Interior.



**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 18 months. Payments are made upon request for costs incurred and for repatriation grants after documentation of transfer of control of the human remains and/or cultural items from the museum or Federal agency to the recipient Indian tribe or Native Hawaiian organization. See the following for information on how assistance is awarded/released: Grants are awarded for up to 18 months.

**Reports:**

Not Applicable.

**Audits:**

No audits are required for this program.

**Records:**

Full fiscal and project records to be maintained by grantees in accordance with OMB Circular Nos. A-87 and A-102 (for Indian tribes and State and local governments) or OMB Circular Nos. A-110 (for nonprofit institutions) and A-122 or OMB Circular Nos. A-21 and A-110 (for all other grantees).

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$30,000; FY 12 est \$30,000; and FY 13 est \$30,000

**Range and Average of Financial Assistance:**

Range: \$30,000 to \$30,000

Average: \$30,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines and proposal materials are available upon request from the National Park Service, National NAGPRA Program, 1201 Eye Street, NW (2253), Washington, DC 20005. Requests may also be directed to the National NAGPRA Program at (202) 354-2203, or via E-mail: NAGPRA\_Grants@nps.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sherry Hutt 1201 Eye Street, NW. (2253), Washington, District of Columbia 20005 Email: Sherry\_Hutt@nps.gov Phone: 202- 354-2203

**Website Address:**

<http://www.cr.nps.gov/nagpra/grants>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant proposals will be evaluated according to four criteria: Criterion A - Are the objectives of the project consistent with the goals of Native American Graves Protection and Repatriation Act? (Projects that are inconsistent with NAGPRA's goals will not be considered for funding). Are the project objectives clearly described? Special consideration will be given to collaborative proposals, especially proposals that focus on sharing and disseminating information among multiple museums and/or Indian tribes, or outline a plan to work with specific Indian tribes and/or museums. Criterion B - Is the project designed to accomplish the project objectives efficiently? Are the activities clearly described in detail, with an explicitly stated link between the activities and the stated objectives? Are activities organized logically? Are project methods and techniques described clearly? Are the roles and responsibilities of all participants defined clearly and described? Applicants with previously funded NAGPRA grants will have to include a description of the progress achieved and describe how the new project fits with the previously funded one. Criterion C - Is the budget reasonable to accomplish project tasks and activities? Are budget items necessary to accomplish project activities? Is the budget justification sufficient to explain project costs in detail? Criterion D - Are project personnel qualified to accomplish project objectives? Are project personnel are qualified for the activities and tasks assigned? Are unfilled positions and consultancies clearly described? Are search criteria defined for all unfilled positions and consultancies?.

**15.923 NATIONAL CENTER FOR PRESERVATION TECHNOLOGY AND TRAINING****FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

National Historic Preservation Act Amendments of 1992, Public Law 102-575, Section 405, 16 U.S.C. 470x.

**OBJECTIVES:**

To develop and distribute preservation technologies and conservation skills for the identification, evaluation, conservation, and interpretation of prehistoric and historic resources; to develop and facilitate training for Federal, State and local resource preservation professionals, cultural resource managers, maintenance personnel, and others working in the preservation field; to apply preservation technology benefits from ongoing research by other agencies and institutions; to facilitate the transfer of preservation technology among Federal agencies, State and local governments, universities, international organizations, the private sector; and to cooperate with related international organizations for the benefit of cultural resource conservation in the United States and worldwide.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants

**USES AND USE RESTRICTIONS:**

Support work in archeology, historic architecture, historic landscapes, objects and materials conservation through cooperative agreements and the Preservation Technology and Training Grants program. The PTT Grants program funds innovative projects that advance the application of science and technology to historic preservation. Projects that develop new technologies or adapt existing technologies to preserve cultural resources are considered for funding. Projects may include, but are not limited to: laboratory or field research that explores or assesses novel or adaptive methods; training activities, including workshops, and course or curriculum development that promote the use of new adaptive technologies; documentation using new methods; manuscript, website or social media development that disseminates innovative preservation technologies; and meetings that convene experts to discuss the use of technologies to address preservation problems. NCPTT does not fund "bricks and mortar" projects or straight-forward documentation projects using well-established methods. Ineligible projects include those whose principal focus is the treatment of a specific site, structure, object or collection; proposals exclusively for undergraduate internships or graduate fellowships; projects that are underway prior to the grant award date; projects that duplicate proposals previously submitted; or proposals for conferences for which equivalent results can be obtained at regular meetings of professional societies. Detailed use and use restrictions are specified in the applicable Request for Proposals. Contact the headquarters office for more specific information. Contact the headquarters

office for more specific information.

**Applicant Eligibility:**

Eligible applicants include: U.S. universities and two and four year colleges; U.S. private nonprofit institution/organizations and quasi-public nonprofit institution/organizations that are directly associated with educational or research activity; Federal, State, local government agencies, Federally recognized Indian Tribal governments and their Tribal Historic Preservation Offices; For-profit organizations and private individuals may submit proposals only in partnership with an eligible U.S. organization.

**Beneficiary Eligibility:**

Individuals and organizations working to advance the use of science and technology in preservation including the fields of archeology, historic architecture, historic landscapes, objects and materials conservation.

**Credentials/Documentation:**

Grants and cooperative agreements are awarded to eligible organizations who demonstrate institutional capability and commitment to the Center's mission to preserve historic and prehistoric resources; and who evidence the capacity to perform the proposed work successfully. Proof of nonprofit status is required of nonprofit organizations and institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A Call for Proposals is published annually that includes guidelines for preparing proposals within each project type. The information is available upon request via mail, e-mail (ncptt@ncptt.nps.gov), or our website <http://www.ncptt.nps.gov>. Only materials described under proposal requirements for each project type within the annual Call for Proposals will be considered. Standard application forms, as furnished by the National Park Service must be completed.

**Award Procedure:**

Applications are evaluated by NCPTT staff, peer reviewers, and a designated National Park Service grants administrator according to selection criteria stated in the Guidelines for Preparing PTT Grants Proposals. Reviews determine the feasibility of the proposed project, and consistency with National Park Service financial and policy requirements concerning the project's scope and purpose. Final award is by the Director of the National Park Service.

**Deadlines:**

Sep 01, 2012 to Oct 15, 2012: Grant applications are accepted between September 1 and October 15.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

Applicants may reapply if a revised application is submitted in the subsequent competition.

**Renewals:**

Renewal may be requested through a new, competing application. Extensions of time may be requested subject to acceptable work progress and reasons for the delay.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: PTT Grants must be matched dollar for dollar. Eligible match may be in-kind, federal or nonfederal cash. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Treasury Check method of payment is used for advances or reimbursement. A SF 270, Request for Advance or Reimbursement, must be submitted for each

payment requested. Requests for reimbursement or advanced funds may be requested monthly in amounts greater than \$500. Expenses charged to the grant or cooperative agreement may not be incurred prior to the beginning date specified in the agreement or subsequent or the grant end date, and incurred only to carry out the approved objectives, scope of work, and budget. See the following for information on how assistance is awarded/released: Award amounts are subject to availability of funds. In accordance with Title IV, Public Law 102-575, Section 405(b): (1) Grants shall be allocated in such a fashion to reflect the diversity of the historic preservation fields and shall be geographically distributed. (2) No recipient may receive more than 10 percent of the awards allocated within any year. (3) Total administrative costs, direct and indirect, charged for carrying out these grants may not exceed 25 percent of aggregate costs. Matching share is not required by law, but is an administrative requirement imposed by NPS.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. An interim progress report and a final report are required. If an advance payment is requested, an SF 272, Federal Cash Transactions Report, must be submitted demonstrating that advanced funds have been promptly expended. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

For programs under OMB Circular No. A-133, financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for 3 years from the date of submission of the final expenditure report. If any audit is started before the 3-year period ends, the records shall be retained until all issues have been resolved and final action taken. For programs under the purview of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," records must be retained at least 3 years; and must be retained beyond 3 years if audit findings are not resolved.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 11 \$174,921; FY 12 est \$174,921; and FY 13 est \$174,921

**Range and Average of Financial Assistance:**

Range \$5000-\$94,921  
Average 43,730.25

Grants are awarded competitively with a maximum award of \$25,000 (including indirect costs). All grants require a one-on-one match of cash or in-kind services. Source of the match may be federal or non-federal resources. Grants are funded by annual federal appropriation and are subject to availability of funds.)

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Application requirements for PTT Grants Proposals are available online at [www.ncptt.nps.gov](http://www.ncptt.nps.gov). The "Common Rule" adopting relevant OMB Circulars governing grants and cooperative agreements implemented by the Department of the Interior is published at 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices. Direct inquiries to PTTGrants, NCPTT, 645 University Parkway, Natchitoches, LA 71457. Telephone: (318) 356-7444; Fax: (318) 356-9119; E-mail: [ncptt@ncptt.nps.gov](mailto:ncptt@ncptt.nps.gov). Mary Striegel, Chief,

Materials Research.

**Headquarters Office:**

Hampton Tucker Heritage Preservation Services Program, National Park Service, 1201 Eye St., NW, (6th Floor), Washington, District of Columbia 20005 Phone: (202) 354-2067 Fax: (318) 356-9119.

**Website Address:**

<http://www.ncptt.nps.gov/>

**RELATED PROGRAMS:**

15.904 Historic Preservation Fund Grants-In-Aid; 15.914 National Register of Historic Places; 15.915 Technical Preservation Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No data currently available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The successful proposed project should thoroughly: address an identifiable national need in preservation technology, present innovative technologies, demonstrate a technically sound methodology, have a principal investigator well qualified to conduct the proposed work, disseminate project results effectively, be cost effective given the scope of work and the audience, provide a one-to-one match of funding with cash or in-kind services, and result in tangible grant products that disseminate information beyond traditional ways (e.g. online web based training, webinars, podcasts, videos, DVDs, electronic publishing, etc). NCPTT reviews proposals for disciplinary, geographical and institutional distribution; and for financial and policy matters. Special consideration will be given to proposals that leverage resources through public and private partnerships.

**15.926 AMERICAN BATTLEFIELD PROTECTION**

ABPP Planning Grants

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Act, 2012 (P.L. 112-74).

**OBJECTIVES:**

To promote the protection and preservation of battlefield lands on American soil by funding non- acquisition preservation methods such as planning, education, survey and inventory.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for projects resulting in the protection and preservation of battlefield lands and their associated sites on American soil. No funding is given to projects dealing with acquisition of properties or land in fee or interest, payment of rent on properties or land, fund raising, lobbying, battle reenactments, new construction or reconstruction of historic resources, permanent staff positions, object or material culture curation or other on-going activities, academic scholarships, capital construction or improvement projects (site excavation, trail or road construction, parking lots, visitor centers, scene restoration, etc.). Applications for projects associated with NPS-owned sites must focus on resources outside the NPS boundaries. For further information, please contact Regional Office. For further information, please contact Regional Office.

**Applicant Eligibility:**

Applicant may be Federal, intrastate, interstate, State and local agencies, public or private nonprofit institutions/organizations, federally recognized Indian tribal governments, U.S. territory and possessions, Native American organizations, State colleges and universities, public and private colleges and universities. Multi-organizational applications are encouraged.

**Beneficiary Eligibility:**

Federal, intrastate, interstate, State and local agencies, public and private nonprofit institutions/organizations, Federally recognized Indian tribal governments, U.S. territories and possessions, Native American organizations, State college or universities, public and private colleges and universities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Informal pre-application coordination with ABPP staff is highly recommended. Coordination with appropriate State Historic Preservation Office/s is recommended. Projects with access to private property require land owners written permission. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A complete ABPP Battlefield Grant Application package consists of the following: One (1) Standard Form (SF) 424; One (1) ABPP Battlefield Grant application form (current year available on the web site); One (1) Grant application checklist signed and dated (also on web site); Letters of support from: Project Area Land Owner(s); Involved and interested Partners, SHPOs, and THPOs; Matching Share Donors confirming their contribution(s) (if applicable); Tribes indicating their level of support for the project (if applicable); One (1) map - "8 1/2 x 11" copy of USGS 1:24,000 scale, 7.5 min topographic map showing location of battlefield land boundaries, proposed project area, and, if applicable, associated sites. Up to four (4) "5 x 7" photographs/graphics of project site.

**Award Procedure:**

Reviewers evaluated the applications using the following criteria: demonstrated threat to the battlefield; reasonable and justified budget; preservation need and appropriateness of the project; well-planned objectives, tasks, and schedule; qualifications of applicant and partner organizations.

**Deadlines:**

Jan 15, 2013 Annual applications are due in mid-January.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applications are reviewed and approved or disapproved by the National Park Service by the end of the Federal fiscal year.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant agreements are established for a set period of time, usually one year. Some projects that depend on seasonal access may require more time, but only with prior ABPP approval. Multi-year projects that can be completed in one-year phases are eligible for funding. However, applicants may only request funding for one year, or one phase, at a time. If the ABPP funds the first phase of a multiyear project, it is not obligated to fund the later phases. Additional funding for a multi-phase or continuing project must be requested in subsequent grant cycles. Funds are available to grantees on a reimbursement basis. See the following for information on how assistance is awarded/released: Funds are available to grantees on a reimbursement basis.

**Reports:**

Grantees are required to report both financial and progress reports on a quarterly basis. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. Cash reports are not applicable. Grantees are required to report both financial and progress reports on a quarterly basis. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. Expenditure reports are not applicable. Final performance reports are expected

at the close of the grant.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. .

**Records:**

The grantee agrees to maintain property, financial, and other records and accounts pertinent to the funds awarded by this grant in accordance with OMB Circulars A-122, A-110 and A-133. The grantee and its contractors will permit on-site inspections by NPS representatives, and will effectively require employees, agents, and subcontractors to furnish such information as, in the judgment of NPS representatives, may be relevant to a question of compliance with grant conditions and directives on the effectiveness, legality, and achievements of the grant-supported activity. The grantees regular Single Audit(s), required by OMB Circular A-133, must contain this grant award.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$50,000; and FY 13 est \$50,000

**Range and Average of Financial Assistance:**

Range: \$0

Average: \$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A more complete description of grant requirements can be found in the ABPP 2012 application guidelines. The 2012 guidelines and application form are available online at <http://www.nps.gov/history/hps/abpp/>

**Regional or Local Office:**

None. None.

**Headquarters Office:**

Kristen McMasters 1201 Eye Street, NW (2255) 6th Floor, Washington, District of Columbia 20005 Phone: (202) 354-2037.

**Website Address:**

<http://www.nps.gov/history/hps/abpp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received are scored on the following criteria: Site significance; Level of Threat; Preservation Opportunity; Well-Planned Objectives, Tasks, and Schedules; Qualifications and Coordination of Partner Organization(s); Realistic Budget and Matching Resources.

**15.927 HYDROPOWER RECREATION ASSISTANCE**

Rivers and Trails, Hydropower Licensing

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Federal Power Act, 16 U.S.C. 797-828c; Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271-1287 as amended. Public Law 90-542; Outdoor Recreation Act of 1963, 16 U.S.C., 4601-3, Public Law 88-29.

**OBJECTIVES:**

To serve as a national technical resource to support government, industry, and nonprofit partnerships in ongoing consultations and negotiations about applications for hydropower licensing; to meet present and future outdoor recreation and river conservation needs; to maintain and enhance a project's riparian areas.

**TYPES OF ASSISTANCE:**

**ADVISORY SERVICES AND COUNSELING**

**USES AND USE RESTRICTIONS:**

Staff assistance is available to stakeholders in FERC hydropower licensing proceedings to assist with recreation issues and river conservation. Assistance is applicable to hydropower projects both within and outside units of the National Park System.

**Applicant Eligibility:**

Private nonprofit organizations, Federal, State, and Local government agencies and hydropower licensing applicants.

**Beneficiary Eligibility:**

Private nonprofit organizations, Federal, State, and Local government agencies and hydropower licensing applicants, as well as the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Program advice and information is available from the appropriate NPS Regional Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the program leader for Rivers, Trails and Conservation Assistance in the appropriate NPS Regional Office.

**Award Procedure:**

Decisions are based upon adherence to program criteria and the availability of staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of licensing process. See the following for information on how assistance is awarded/released: For more specific information contact the headquarters office.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$868,000; FY 12 est \$862,000; and FY 13 est \$869,000

**Range and Average of Financial Assistance:**

Information not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information is available on the Web. Assistance complies with Federal Energy Regulatory Commission requirements for licensing nonfederal hydropower projects; 18 CFR Parts 4, 5, and 16. Policy and Guidelines for Recreational Technical Assistance in Hydropower Licenses, 57 FR 61915, December 29, 1992.

**Regional or Local Office:**

See Regional Agency Offices. Applicants are requested to communicate with National Park Service Regional Offices. See Appendix IV in the Catalog or [www.nps.gov/hydro](http://www.nps.gov/hydro).

**Headquarters Office:**

Joan Harn 1849 C. Street, NW, Washington, District of Columbia 20240 Email: [joan\\_harn@nps.gov](mailto:joan_harn@nps.gov) Phone: (202) 354-6900

**Website Address:**

[www.nps.gov/hydro](http://www.nps.gov/hydro).

**RELATED PROGRAMS:**

15.916 Outdoor Recreation\_Acquisition, Development and Planning; 15.921 Rivers, Trails and Conservation Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Project should have clear opportunity to enhance recreation and lead to tangible conservation of significant natural and cultural resources.

**15.928 CIVIL WAR BATTLEFIELD LAND ACQUISITION GRANTS**

LWCF Battlefield Acquisition Grants

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Consolidated Appropriations Act, 2012 (P.L. 112-74).

**OBJECTIVES:**

To assist States and local communities acquire and preserve threatened Civil War battlefields.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are available for the fee simple acquisition of land, or for the acquisition of permanent, protective interests in land, at Civil War Battlefields listed in the Civil War Sites Advisory Commission's (CWSAC) 1993 Report on the Nation's Civil War Battlefields. Funds may not be used to acquire land or interests in land within the legislative boundary of a National Park. Grantees must provide for the appropriate public access to and enjoyment of any lands or interests in lands acquired with assistance from this program, subject to necessary and reasonable measures on the part of the beneficiary to protect the historic features of the battlefield from damage or loss. Grantees may not charge costs for administering the project to the grant or to the required matching share.

**Applicant Eligibility:**

Eligible applicants are State and local governments. Private nonprofit organizations seeking to acquire battlefield land with assistance from this program must apply in partnership with the State or local government agency that has jurisdiction over the proposed acquisition parcel. The government agency may then subgrant the Federal funds to the nonprofit organization. In any case where a local government or a private non-profit organization acquires land or an interest in land with assistance from this program, it must convey an acceptable perpetual protective easement on the land to the State Historic Preservation Office or other governmental agency acceptable to the National

Park Service.

**Beneficiary Eligibility:**

State and local governments benefit.

**Credentials/Documentation:**

Prior to the expenditure of grant funds for the purchase of real property, a current appraisal must be obtained. Appraisal preparation, documentation and reporting must be made in conformance with the standards and practices of the Uniform Appraisal Standards for Federal Land Acquisitions (UASFLA), as codified in 49 CFR 24.103, and the Uniform Standards of Professional Appraisal Practices (USPAP Standards 1 and 2) published by the Interagency Land Acquisition Conference. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal preapplication coordination with ABPP staff is highly recommended. Coordination with appropriate State Historic Preservation Office(s) is recommended. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Proposal packages must be submitted in hard copy. Faxed proposals and proposals submitted electronically will not be accepted. Incomplete proposals will not be considered. Proposals must contain all of the following: 1) a USGS quadrangle map showing the boundaries of the Civil War battlefield and identifying within those boundaries the specific lands to be acquired; 2) a statement defining the threat to the battlefield and the proposed acquisition parcel; 3) a statement from the property owner(s) indicating a willingness to sell or to negotiate for the sale of the property; and 4) a list of sources of the required nonfederal matching share and verification of the availability of the matching funds. Applicants will receive a Standard Form 424-Request for Federal Assistance, and a Certificate Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying, DI-2010. Forms must be completed and returned to the National Park Service.

**Award Procedure:**

The Director of the National Park Service makes awards to approved applicants.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. 30 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: A dollar-for-dollar nonfederal match is required for all projects receiving funding through this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Battlefield land or interests in land are purchased immediately after receipt of funds, usually no later than one year after receipt of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

In all cases, grantees or subgrantees must encumber the title to the acquired battlefield property with easement, in favor of enforceable in court by the State Historic Preservation Officer, or by another government agency acceptable to the NPS, in perpetuity. Both the letters of agreement and easements must acknowledge Section 6(F)(3) restrictions and must be sent to the NPS for review and approval prior to their execution and recordation. The fundamental purpose

of the Land and Water Conservation Fund is to help acquire and/or develop public outdoor recreation areas. Accordingly, grantees must provide for public access to lands or interests in lands acquired with assistance from this program, subject to necessary and reasonable measures on the part of the grantee to protect the historic features of the battlefield from damage or loss. Where the grantee will place an easement on the property, the grantee must include language in the easement that indicates the type and degree of public access to be made available to the property. At a minimum, lands purchased with LWCF funds must be visible from public rights-of-way. Cash reports are not applicable. Grantees are required to report progress semiannually. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. The SF 425 Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain the property, personnel, financial, procurement and other records and accounts pertinent to the funds awarded by this grant in accordance with 43 CFR 12. The grantee and its contractors will permit on-site inspections by NPS representatives, and will effectively require employees and board members to furnish such information as, in the judgment of NPS representatives, may be relevant to a question of compliance with grant conditions and directives on the effectiveness, legality and achievements of project work. Land acquired with these funds must be preserved in perpetuity. To that end, grantees must encumber the title to the acquired battlefield property with a preservation easement running with the land, in favor of and enforceable in court by the State Historic Preservation Office, or by another government agency acceptable to the National Park Service, in perpetuity.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

(Project Grants) FY 11 \$9,000,000; FY 12 est \$9,000,000; and FY 13 est \$9,000,000

**Range and Average of Financial Assistance:**

There is no established minimum and the annual funding allocation would be the maximum. In FY 11, the minimum was \$41,000 and the maximum was \$883,700. For 2011, the following amounts indicate the average grant: Perryville Battlefield, KY \$129,764; Cedar Creek Battlefield, VA \$430,000; Bentonville, NC \$114,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A more complete description of grant requirements can be found in the ABPP 2012 application guidelines. The 2012 guidelines and application form are available online at <http://www.cr.nps.gov/abpp>. The American Battlefield Protection Program Act of 2009 (16 USC 469k-1), authorizes this grant program. This legislation allows Land and Water Conservation Fund monies to be used to provide the Federal share of the cost of acquiring interests in eligible Civil War battlefield land. It requires that any interest in land acquired under this program shall be subject to section 6(f)(3) of the Land and Water Conservation Fund Act of 1965 (16 U.S.C. 4601-8(f)(3))." Section 6(f)(3) requires that any land acquired with these funds be preserved and not converted to other uses without the express written consent of the Secretary of the Interior.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristen McMasters 1201 Eye Street, NW (2255) 6th Floor, Washington,

District of Columbia 20005 Phone: (202) 354-2037

**Website Address:**

<http://www.nps.gov/history/hps/abpp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Reviewers evaluate applications according to the following considerations: significance of the battlefield land as defined in the CWSAC's Report; whether the proposed acquisition parcel lies within CWSAC-defined Core and/or Study areas and outside the legislative boundaries of any associated National Parks; availability of required matching funds; acquisition schedule; and threat to the battlefield land.

**15.929 SAVE AMERICA'S TREASURES**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Omnibus Public Land Management Act of 2009, Public Law 111-11; National Historic Preservation Act of 1966, as amended, Section 108; Public Law 108-108, 110 Stat. 4174; 16 USC 470.

**OBJECTIVES:**

To provide matching grants for preservation or conservation work on nationally significant intellectual and cultural artifacts and nationally significant historic structures and sites. Intellectual and cultural artifacts include artifacts, collections, documents, sculpture and works of art.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for projects resulting in the protection and preservation of nationally significant historic structures and sites, as well as nationally significant collections of intellectual and cultural artifacts, documents, sculpture and works of art. Projects to repair structures must comply with treatments defined in the "Secretary of the Interior's Standards for the Treatment of Historic Properties" (36 CFR 78). No funding is given to projects dealing with acquisition or reconstruction of properties or, collections, payment of rent on properties or land, fund raising, and lobbying. The Grantee must grant a preservation easement or preservation agreement for each grant-assisted property to the State Historic Preservation Officer (SHPO) for at least 50 years from the end date of the grant agreement.

**Applicant Eligibility:**

Federal (if part of the Interior and Related Agencies Appropriation), Intrastate, Interstate, State and Local agencies, Public or Private nonprofit institutions/organizations, State Colleges and Universities, Public and Private Colleges and Universities, and Federally Recognized Indian Tribes. Individuals are not eligible applicants. Properties receiving Save America's Treasures (SAT) grant assistance must be listed in the National Register of Historic Places for National significance.

**Beneficiary Eligibility:**

Any Federal, Intrastate, Interstate, State and local agencies, Public or Private nonprofit institution/organization, State Colleges or University, Public and Private College or University, or Federally recognized Indian tribes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should visit the Save America's Treasures Program website, at <http://www.nps.gov/history/hps/hpg/> to obtain an application for funding. Forms must be completed and submitted to Grants.gov by the date listed in the Application Guidelines. The Application Guidelines can be found at <http://www.nps.gov/history/hps/hpg/>. The Program is included in Grants.gov FIND and APPLY. If you don't have internet access, the request for an application may be sent to: Grants Manager, Save America's Treasures, National Park Service, 1849 C Street, NW, Mail Stop 2256, Washington, DC 20240.

**Award Procedure:**

Award amounts are based on the review panel recommendations. Each application is scored individually based on standardized criteria.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are reviewed and approved or disapproved by the Save America's Treasures Program by the end of the Federal fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Grants must be fully matched on a dollar-to-dollar basis.

This program has MOE requirements, see funding agency for further details. Contact local or headquarters office for further details.

**Length and Time Phasing of Assistance:**

Project duration is generally for two years. All awarded funds must be expended within 90 days of the grant end date specified in the Grant agreement. See the following for information on how assistance is awarded/released: Funds for the project may be requested as advances and/or reimbursements via SMARTLINK electronic payment system, with the final payment being a reimbursement. All conditions of the project must be complete at the time of requesting the final payment.

**Reports:**

Grantees are required to report progress reports on a semi-annual basis. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. Cash reports are not applicable. Progress reports are not applicable. Grantees are required to report financial reports on a semi-annual basis. Final financial reports are expected at the close of the grants. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records for grants awarded to State and Local Governments must be maintained in accordance with the provisions of 43 CFR 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations must be maintained in accordance with the provisions of 43 CFR 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations."

**Account Identification:**

14-5140-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 11 \$416,419; FY 12 est \$400,000; and FY 13 est \$400,000

**Range and Average of Financial Assistance:**

Range \$25,000 - \$700,000

Average \$226,214.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current

Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulated by 43 CFR Part 12.

**Regional or Local Office:**

None.

**Headquarters Office:**

Save America's Treasures Program, National Park Service, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202) 354-2020 Fax: (202) 371-1794.

**Website Address:**

<http://www.nps.gov/history/hps/hpg/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current

Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received are scored on the following criteria: critical preservation need; well-planned objectives, tasks, and schedules; qualifications and coordination of partner organization(s); and realistic budget and matching resources.

**15.930 CHESAPEAKE BAY GATEWAYS NETWORK**

Chesapeake Bay Gateways

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Chesapeake Bay Initiative Act of 1993, Public Law 105-312, Section 501-2.

**OBJECTIVES:**

To aid State and local governments, local communities, nonprofit organizations and the private sector in conserving, restoring and interpreting important historic, cultural, recreational and natural resources within the Chesapeake Bay watershed and the Chesapeake Bay Gateways and Watertrails Network.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Gateways awards assist projects at designated Gateways in the Chesapeake Bay Gateways and Watertrails Network that provide or improve access to the Chesapeake Bay, promote stewardship of the Bay, and provide interpretive or educational material or programs that tell the Gateway's story as it relates to the Bay. Only projects related to a currently designated Gateway are eligible for assistance. Gateways can be sites, water trails, land trails, byways, regional information centers or hubs and are designated through a separate nomination process. Information on the nomination process can be found at [www.baygateways.net](http://www.baygateways.net).

**Applicant Eligibility:**

Eligible applicants include: State and local governments and non-profit organizations, as long as the organization is connected with the designated Chesapeake Bay Gateways, and non-federal non-profit partners who support a federally managed Gateway. Only projects related to a currently designated Gateway are eligible for assistance. Gateways are designated through a separate nomination process.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Financial Assistance applications may be submitted by either the managing organization for a designated Gateway or a partner organization designated to carry out the project at the Gateway. The applicant must either be a non-profit organization qualified as such under section 501(c) of the Internal Revenue Code or a state or local government. Those organizations, acting as a non-federal partner to a federally managed Gateway, may also submit an application supporting a project at a federally managed Gateway. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants must comply with all applicable federal, state, and local environmental laws and regulations. Applicants are required to complete an Environmental Screening Form (ESF) for their proposed project. Applicants are required to document local support for the project. Applicants are also required to consult with affected agencies (including the State Historic Preservation Office (SHPO), state agencies in charge of endangered species, and local planning and zoning officials) in developing their projects as required under the National Environmental Policy Act of 1969 (NEPA) and the National Historic Preservation Act of 1967 (NHPA) as amended. Applicants are required to obtain any Federal, state or local permits that may be necessary. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The grant opportunity, SF 424 Application for Federal Assistance, and application package will be posted on [www.grants.gov](http://www.grants.gov). Additional information can be found at the Chesapeake Bay Gateways and Waterfalls network web site, [www.baygateways.net](http://www.baygateways.net). Typically, by the first of each year, the Chesapeake Bay Gateway and Watertrails Network web site, [www.baygateways.net](http://www.baygateways.net), displays information about the application process. Any information about activities that may receive priority attention will also be posted.

**Award Procedure:**

The application request is reviewed by National Park Service (NPS) staff. Staff discusses the proposals and recommend to the Superintendent, NPS Chesapeake Bay Program Office, proposals to be funded. The Superintendent makes the final decision on funding. Applicants selected for funding are then contacted regarding next steps.

**Deadlines:**

Mar 07, 2011: March or early April. For public information, deadlines are displayed at [www.grants.gov](http://www.grants.gov) and at the Gateways website, [www.baygateways.net](http://www.baygateways.net). The application deadline is typically set for March or early April.

**Range of Approval/Disapproval Time:**

It typically takes an estimated 45 to 60 days after the application deadline for selection and award or disapproval.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50%. Per Public Law 105-312, Section 501 requested funds shall not exceed 50 percent (50%) of eligible project costs and shall be made on the condition that non-federal sources, including in-kind contributions of services or materials, provide the remainder of eligible project costs. This means that Federal funds must be matched by an equal or greater

amount of non-federal funds which may include in-kind contributions of services or materials including volunteer labor, cash or revenue sources dedicated to the same project. This matching requirements is for the period of performance of the award only. Applicants should read the financial assistance program guidelines for detail on the various kinds and qualifications of matching funds. In addition, no more than 10 percent (10%) of all eligible direct project costs can be used for administrative expenses. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period is set by the requirements of the project but is typically for a time period not to exceed 24 months. Assistance is provided on a reimbursement basis. See the following for information on how assistance is awarded/released: Assistance is provided on a reimbursement basis.

**Reports:**

All Gateway projects and activities are monitored for progress and compliance with the use of semi-annual and final narrative reports. Cash reports are not applicable. Progress reports are not applicable. An interim and final SF 425 Federal Financial Report is required. Recipients are also required to submit an SF 270 for reimbursement payments. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The recipient must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

14-1042-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$1,000,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

Range \$10,000 to \$250,000

Average \$55,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR part 12, Subpart C and Subpart F and check [www.baygateways.net](http://www.baygateways.net)

**Regional or Local Office:**

See Regional Agency Offices. Peggy Wall, Administrative Officer, Chesapeake Bay Office, NPS, 410 Severn Avenue, Suite 314, Annapolis, Maryland 21403. (410) 260-2473, Fax: (410) 263-2135. E-mail: [peggy\\_wall@nps.gov](mailto:peggy_wall@nps.gov).

**Headquarters Office:**

Bob Campbell 410 Severn Avenue, Suite 314, Annapolis, Maryland 21403  
Email: [bob\\_campbell@nps.gov](mailto:bob_campbell@nps.gov) Phone: (410) 260-2478

**Website Address:**

[www.baygateways.net](http://www.baygateways.net).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Awards Made. Fiscal Year 2012: : No Current Data Available. Fiscal Year 2013: : No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the basis of: clarity and credibility of the projects scope and budget; clarity of project objectives and deliverables, and the plans



for sustaining them over time; effectiveness in improving public access to the Chesapeake Bay and its tributaries; and adherence to the requirements of low impact development and universal accessibility. Consideration is also given to: advancing the development of designated CBTN water trails, the Captain John Smith Chesapeake National Historic Trail (CAJO), and/or the Star-Spangled Banner National Historic Trail (STSP); creating access that addresses gaps in the accessibility and usability of a CBTN water trail and/or a segment of the CAJO and/or STSP; readiness for construction, especially status of environmental and cultural consultation, compliance and permitting; leveraging of Federal funds; opportunity for citizen volunteers to be directly involved in project development and implementation; and building working relationships among Gateways partners through cooperative projects.

### **15.931 CONSERVATION ACTIVITIES BY YOUTH SERVICE ORGANIZATIONS**

#### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

#### **AUTHORIZATION:**

Omnibus Consolidated Appropriations Act of 1997, Public Law 104-208, 110 Stat. 3009 (181,189), 16 U.S.C 1g; Challenge Cost Share Agreement Authority, Title 43, Part 12, Public Law 107-273, 110 Stat. 4199; American Recovery and Reinvestment Act of 2009 (Section 702), Public Law 111-5; Public Lands Corps Healthy Forests Restoration Act of 2005, Public Law 109-154, 119 Stat. 2891, 2893, 16 U.S.C 1701-1706, 1723; Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333, 16 U.S.C 1f.

#### **OBJECTIVES:**

To utilize qualified youth or conservation corps to carry out appropriate conservation projects which the Secretary is authorized to carry out under other authority of law on public lands. Work cooperatively with the NPS on cultural and natural resource related conservation projects such as trail development and maintenance, historic, cultural, forest and timber management, minor construction work, archaeological conservation, and native plant habitat restoration and rehabilitation. Promote and stimulate public purposes such as education, job training, development of responsible citizenship, productive community involvement, and further the understanding and appreciation of natural and cultural resources through the involvement of youth and young adults in care and enhancement of public resources. Continue the longstanding efforts of the NPS to provide opportunities for public service, youth employment, minority youth development and training, and participation of young adults in accomplishing conservation-related work. For Recovery Act funded projects and in addition to the program objectives above, Section 3 of the Act states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funding is to be used by organizations to support youth career training and development in the areas of resource management, conservation and cultural resources while working with the NPS to accomplish particular projects. The availability of discretionary funding is determined by various units of the NPS each fiscal year. Funding is to be used by organizations to support youth career training and development in the areas of resource management, conservation and cultural resources while working with the NPS to accomplish particular projects. The availability of discretionary funding is determined by various units of the NPS each fiscal year. For American Recovery and Reinvestment Act of 2009 (ARRA) funded projects the requirements will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents. Funding is to be used by organizations to support youth career training and development in the areas of resource management, conservation and cultural resources while working with the NPS to accomplish

particular projects. The availability of discretionary funding is determined by various units of the NPS each fiscal year. For American Recovery and Reinvestment Act of 2009 (ARRA) funded projects the requirements will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents.

#### **Applicant Eligibility:**

Private nonprofit institutions and organizations, state and local government agencies and quasi-public nonprofit institutions and organizations that support youth career training and development in the areas of resource management, conservation and cultural resources.

#### **Beneficiary Eligibility:**

Private nonprofit institutions and organizations, state and local government agencies and quasi-public nonprofit institutions and organizations that support youth career training and development in the areas of resource management, conservation and cultural resources; Individuals/Families; Graduate Students; youth or corps located in a specific area that have a substantial portion of members who are economically physically, or educationally disadvantaged (Public Land Corps Act of 1993); General Public, specifically, young people, minority groups, social and economically disadvantaged individuals will benefit from the education and skill development in the area of conservation as well as instilling a conservation ethics.

#### **Credentials/Documentation:**

Documentation demonstrating that an organizations purpose is strongly related or solely for the purpose of youth/student education in a conservation oriented environment. Proof of past performance in the areas of resource management, conservation and cultural resources and assistance to youth. If applying as a nonprofit organization, proof of nonprofit status will be required. Additional information on awards made under Challenge Cost Share, is available at the NPS web site Challenge Cost Share Program Guidelines. Each organization submitting an application will be required to follow the Grants.gov registration requirements in advance of submitting an application. The procedures are provided at [http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants will be required to submit an Application, SF-424, and a written proposal through the <http://www.Grants.gov> website following the procedures outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

#### **Award Procedure:**

Application packages will be posted for an Eligible Applicant's response utilizing the <http://www.grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement by the Awarding Official within the time specified on the announcement. Additional information on awards made under Challenge Cost Share, is available at the NPS web site Challenge Cost Share Program Guidelines.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Generally, 30 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Yes. Renewals are available at the end of each term and will be negotiated between the awardee and the National Park Service.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

**Matching Requirements:** Projects completed under the Public Land Corp (PLC) Act require a 25 percent nonfederal match (cash and/or in-kind services) for all entities except where an award is provided to a State government and on Indian Lands as defined in the PLC Act. A 25 percent match (cash and/or in-kind services) is required when using the PLC authority and providing assistance to a State government entity. Challenge Cost Share projects are required to follow the National Park Service's Challenge Cost Share Program Guidelines.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis. Most projects are two to three months in duration depending on complexity and other factors. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable.

Additionally all organizations will be required to submit a yearly narrative summary accomplishments reports to the National Park Service WASO Youth Programs Office at the end of each Fiscal Year. All projects and activities are monitored for progress and compliance with agreed upon scope of work. For ARRA funds, recipients and agencies must comply with the regulations promulgated in 2 CFR Part 176 - Award Terms For Assistance Agreements that Include Funds Under the American Recovery and Reinvestment Act of 2009, Public Law 111-5. These reports will be made publicly available. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270 Request for Advance or Reimbursement, and a quarterly submittal of Standard Form 425 Federal Financial Report as outlined in 2 CFR 215.52. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement. For ARRA funds, the provisions of 2 CFR, Part 176 apply.

**Account Identification:**

14-1042-0-1-303; 14-1035-1-1-303 - ARRA TAFS 14-1035 2009/2010.

**Obligations:**

(Cooperative Agreements) FY 11 \$11,609,595; FY 12 est \$12,500,000; and FY 13 est \$13,000,000 - In FY 2011 NPS provided SCA with \$8,457,451 in financial assistance.

FY 2013 - This amount includes a specific appropriation, and other fund sources identified at individual operating units of the NPS. NPS's largest provider of youth partnership programs was the Student Conservation Association (SCA).

**Range and Average of Financial Assistance:**

Range \$1,000 to \$389,020

Average \$25,510.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1,488 people were hired under these cooperative agreements (total of 1,811 people were hire under all youth cooperative agreements). Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data

Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NPS Youth Programs at <http://www.nps.gov/youthprograms/index.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Alaska Region, John Morris, 2525 Gambell Street, Room 107, Anchorage, AK 99503; Telephone: (907) 644-3372. Northeast Region, Kelly Fellner, 14 Beacon Street, Room 503, Boston, MA 02108; Telephone: (617) 227-9963. Midwest Region, Phyllis Cremonini, 601 Riverfront Drive, Omaha, NE 68102; Telephone: (402) 661-1638; National Capital Region Wendy OSullivan, 110 Ohio Drive S.W., Washington, DC 20242; (202) 619-7492, Intermountain Region, Nathan Souder, 12795 West Alameda Parkway, Denver, CO 80225-0287; Telephone: (303) 969-2319, Southeast Region, Priscilla Nalls, Atlanta Federal Center, 100 Alabama Street S.W., Atlanta, GA 30303; Telephone: (404) 562-5633, Pacific West Region, Charles H. Thomas, 805-370-2329.

**Headquarters Office:**

George McDonald National Park Service, 1201 I Street, N.W., Washington, District of Columbia 20005 Email: [george\\_mcdonald@nps.gov](mailto:george_mcdonald@nps.gov) Phone: (202)513-7146 Fax: (202) 371-2263

**Website Address:**

<http://www.nps.gov/youthprograms/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Southwest Conservation Corps (Mountain Alliance: Ancestral Lands Preservation Program Arches NP, El Malpais NM, El Morro NM

A conservation crew comprised of all Native American young people, completed preservation projects at the above mentioned NPS sites. This project is helping train the next generation of cultural resource preservation workers. The participants learned about historic documentation, Leave No trace work methods, the identification of different types of mortars, stones and adobe used at historic and pre-historic sites, professional preservation trade skills, career development and life skills development.

Student Conservation Association (SCA)

Northwest Community Initiative Mount Rainier NP, Olympic NP, and North Cascades NP

SCA managed a community conservation program for high school students as an entry into a continuum of opportunities that included increasingly complex project challenges and leadership opportunities, conservation work skills, conservation ethics, and community service. This program introduces students to natural and cultural resource restoration work, teaches them about local environmental issues and instills resource stewardship ethics. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Qualifications of the organization or institution; (2) The Secretary may give preference to qualified youth or conservation corps located in a specific area that have a substantial portion of members who are economically, physically, or educationally disadvantaged to carry out projects within the area. The Secretary may give preference to qualified youth or conservation corps located in a specific geographic area that have a substantial portion of members who are economically, physically, or educationally disadvantaged to carry out projects within the area; (3) Past performance in the area of youth conservation corps activities; (4) Organizations ability to reach undeserved and disadvantaged population groups; (5) Offering meaningful, full-time, productive work for individuals between the ages of 15 and 25 in a natural or cultural resource setting; (6) Giving participants a mix of work experience, basic and life skills, education, training, and support service; and (7) Providing participants with the opportunity to develop citizenship values and skills through service to their community and the United States.

**15.932 PRESERVATION OF HISTORIC STRUCTURES ON THE CAMPUSES OF HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCUS).**

HBCU Grants

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Executive Order Executive Order 12232, White House Initiative on HBCU's; National Historic Preservation Act, U.S.C 101.3.e.b.

**OBJECTIVES:**

To provide assistance to restore/rehabilitate those historic structures on HBCU campuses considered to be the most historically significant and physically threatened-- the likelihood of loss of the structure if work was not performed as soon as possible to save it. Program was established in direct response to the needs of many historically black colleges and universities, which were presented with critical rehabilitation needs, but lacked the resources to repair these buildings.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for the preservation and restoration of properties listed in the National Register of Historic Places. All work must comply with the Secretary of Interiors Standards for Treatment of Historic Properties.

**Applicant Eligibility:**

Historically Black Colleges and Universities.

**Beneficiary Eligibility:**

Historically Black Colleges and Universities.

**Credentials/Documentation:**

National Register listing of properties for which grant assistance be being applied. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. A completed SF-424 Application Federal Assistance.; A concise history of building and its significance. High quality photographs that clearly depict the present condition of the building (interior and exterior). Photographs should include details of architectural character defining elements of the property, including doors, windows, roof, porches, lobby, corridors, decorative elements, fireplaces, and any additional features addressed in the proposed preservation project.; A copy of the National Register of Historic Places.; and Any available architectural analysis and/or assessment of the building.

**Award Procedure:**

Applications and accompanying documentation are reviewed by the NPS Cultural Resources staff for program eligibility. Their recommendations are approved by the Secretary of Interior through and apportionment process. Grants are awarded by NPS directly to HBCUs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions may be requested by grant recipients within interim progress reports.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of time is 2 to 3 years. See the following for information on how assistance is awarded/released: Reimbursable basis as costs are incurred.

**Reports:**

Projects under the American Recovery and Reinvestment Act of 2009 will have additional reporting requirements as described in the award terms and conditions and in announcement packages at [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. Annual interim progress reports and final project report. Financial reports (SF 425). Performance will be monitored to ensure that reports satisfy requirements; moreover, interventions with the historic sites will be periodically inspected to ensure compliance with The Secretary of the Interiors Standards for the Treatment of Historic Properties.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations..

**Account Identification:**

14-5140-0-2-303.

**Obligations:**

(Project Grants) FY 11 \$313,954,000; FY 12 est \$500,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

Range \$3,050 to \$310,904  
Average \$157,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

43 CFR Part 12; HPF Grants Manual [http://www.nps.gov/history/hps/HPG/HPF/HPF\\_Manual.htm](http://www.nps.gov/history/hps/HPG/HPF/HPF_Manual.htm); The Secretary of the Interiors Standards for the Treatment of Historic Properties <http://www.nps.gov/history/hps/tps/standguide>, and National, State, and Local Codes.

**Regional or Local Office:**

See Regional Agency Offices. Linda Hall, NPS SERO, (404) 507-5779.

**Headquarters Office:**

Historic Preservation Grants Division, National Park Service, 1849 C Street, N.W., (Org. code 2256), Washington, District of Columbia 20240 Email: [preservation\\_grants\\_info@nps.gov](mailto:preservation_grants_info@nps.gov) Phone: (202) 354-2020.

**Website Address:**

<http://www.nps.gov/history/hps/hpg/hbcu/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Properties of major historical and architectural significance; (2) Properties retaining architectural integrity (the building has not been so altered as to have lost its historic appearance); (3) Properties demonstrating the most critical need for immediate intervention to correct structural and safety defects in order to preserve the building; (4) Applicants demonstrating the ability to complete the project successfully within the established timeline. The timeline shall indicate

the start and completion dates for each activity (planning and design, general conditions, mobilization, site preparation, etc.) and the scope of work for the project. The timeline shall strictly adhere to the following guidelines: (a) The project must begin within six months after the grant agreement has been signed. If activities have not begun in accordance with the approved project timeline the grant will be suspended or terminated and the funds recaptured by the National Park Service; (b) 50 percent of the total project shall be completed within 18 months after the signing of the grant agreement (including planning, design, construction documents, and actual treatment of the historic property ); (c) The project scope of work must be completed within 3 years of the start date of the grant agreement. Planning and design shall be completed within 1 year maximum, and the construction phase shall be completed within 2 years maximum. (5) The cost estimates for the project must be estimates for the expenses of eligible activities as defined by the Historic Preservation Fund (HPF) and appear reasonable and necessary for the proposed work. (6) The grant application must be received by NPS by the announced deadline. (7) The proposed plan for intervention with the historic structure should be a technically well planned proposal, and the proposed work should achieve a quality treatment of the historic structure. (8) Does the applicant demonstrate an ability to complete the project in a timely, cost- effective, and professional manner, ensuring the laws and standards are met? (9) Has adequate planning been completed for the project? (10) How much support and participation does the project have from former internees, stakeholders, or the general public?.

### **15.933 PRESERVATION OF JAPANESE AMERICAN CONFINEMENT SITES**

Japanese American Confinement Sites Grant Program

#### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

#### **AUTHORIZATION:**

Preservation of Japanese American Confinement Sites Act, Public Law 109-441, 120 Stat. 3288, 16 U.S.C 461 and Public Law 111-88.

#### **OBJECTIVES:**

To provide for the preservation and interpretation of historic confinement sites where Japanese Americans were detained during World War II. The program was established to encourage projects that identify, research, evaluate, interpret, protect, restore, repair, and acquire historic confinement sites in order that present and future generations may learn and gain inspiration from these sites and that these sites will demonstrate the Nation's commitment to equal justice under the law.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Japanese American Confinement Sites grant funds may be used for identifying, researching, evaluating, interpreting, protecting, restoring, repairing, and acquiring historic confinement sites where Japanese Americans were detained during World War II as authorized by the Preservation of Japanese American Confinement Sites Act of 2006. These historic confinement sites are defined as the ten War Relocation Authority internment camps (Gila River, Granada, Heart Mountain, Jerome, Manzanar, Minidoka, Poston, Rohwer, Topaz, and Tule Lake), as well as other historically significant locations, as determined by the Secretary of the Interior, where Japanese Americans were detained during World War II. These sites are specifically identified in Confinement and Ethnicity: An Overview of World War II Japanese American Relocation Sites, published by the Department of the Interior, National Park Service, Western Archaeological and Conservation Center, in 1999.

Eligible project types include: capital projects, documentation, oral history interviews, interpretation and education related to historic confinement sites, preservation of confinement sites and related historic resources, planning projects, and non-Federal real property acquisition (allowed only with the owners written permission at only Heart Mountain, Honouliuli, Jerome, Rohwer, and Topaz, per stipulations of Public Laws 109-441 and 111-88), all benefitting one or more historic Japanese American confinement sites (as established by Public Law 109-441, 16 USC 461). For further information, please contact the Regional Office. For further information, Please contact the

Regional Office.

#### **Applicant Eligibility:**

Applicant may be State and local agencies, public or private nonprofit institutions/organizations, Federally recognized Indian tribal governments, State colleges and universities, public and private colleges and universities.

#### **Beneficiary Eligibility:**

State and local agencies, public and private nonprofit institutions/organizations, Federally recognized Indian tribal governments, State colleges and universities, public and private colleges and universities.

#### **Credentials/Documentation:**

Applicant must submit proof of applicant's governmental, non-profit or institutional status; a letter from the owner giving consent to the grant applicant as the grantee of record to undertake work on the property or collection (if applicable); and a federally approved Indirect Cost Rate Agreement (if applicable).

Office of Management and Budget (OMB) Circular A-110 (relocated to 2 CFR, Part 215); Circular A-102; Circular A-122 (relocated to 2 CFR, Part 230); Circular A-21 (relocated to 2 CFR, Part 220); Circular A-87 (relocated to 2 CFR, Part 225); and Circular A-133 apply to this program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Annual announcements will provide detailed information on proposal procedures and submission requirements. Required forms include the DI-2010 Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying; SF 424 Application for Federal Assistance; SF 424A Budget Information (Non-Construction Programs); SF 424B Assurances (Non-Construction Programs); SF 424C Budget Information (Construction); and SF 424D Assurances (Construction).

#### **Award Procedure:**

Eligible applications and accompanying documentation will be reviewed by the Japanese American Confinement Sites Grants Selection Panel, a panel of Federal agency experts representing applicable preservation, history, education, and conservation disciplines. The panel will provide recommendations to the Secretary of the Interior for final project selection. The panel's recommendations will be approved by the Secretary of Interior through an apportionment process. Grants will be awarded by NPS directly to selected grantees. The NPS and grant recipient will execute a grant agreement.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

60 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Each grant requires a 2:1 Federal to non-Federal match; that is, to receive two dollars of Federal funds at least one dollar non-Federal match is required. The match may be composed of cash or in-kind contributions. The non-Federal match may be raised and spent during the grant period; it does not have to be "in the bank" at the time of application. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

1-2 years will be the typical duration of funded awards. See the following for information on how assistance is awarded/released: Assistance released on a

reimbursable basis as costs are incurred.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Grantees are required to report both financial and progress reports on a semi-annual basis. Products of the grant will be reviewed in draft and final format. Final performance reports are expected at the close of the grant. SF 425 Federal Financial Report as specified in the award and SF 270 Request for Advance or Reimbursement must be submitted to the NPS Grant Awarding Official for approval of payment requests. Final financial reports must be submitted. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee agrees to maintain property, personnel, financial, and other records and accounts pertinent to funds awarded by this grant in accordance with OMB Circulars A-122, A-110 and A-133. The grantee and its contractors will permit on-site inspections by NPS representatives, and will effectively require employees, agents, and subcontractors to furnish such information as, in the judgment of NPS representatives, may be relevant to a question of compliance with grant conditions and directives on the effectiveness, legality, and achievements of the grant-supported activity.

**Account Identification:**

14-1042-0-2-303.

**Obligations:**

(Project Grants) FY 11 \$2,909,000; FY 12 est \$2,890,368; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

Range \$5,000 to \$No Max  
Average \$170,022.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Visit the Japanese American Confinement Sites Grant Program website for information on completed projects:  
<http://www.nps.gov/history/hps/hpg/JACS/index.html>. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior Administrative, Audit Requirements and Cost Principles for Assistance Programs, 43 CFR Part 12.

Japanese American Confinement Sites Grant website:  
<http://www.nps.gov/history/hps/HPG/JACS/index.html>

**Regional or Local Office:**

See Regional Agency Offices. Kara Miyagishima, NPS - Intermountain Regional Office, Phone (303) 969-2885, Email: Kara\_Miyagishima@nps.gov.

**Headquarters Office:**

Kara Miyagishima, National Park Service - Intermountain Regional Office, 12795 W. Alameda Parkway, Lakewood, Colorado 80228 Email: Kara\_Miyagishima@nps.gov Phone: (303) 969-2885.

**Website Address:**

<http://www.nps.gov/history/hps/hpg/JACS/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Visit the Japanese American Confinement Sites Grant website for information on funded projects:  
<http://www.nps.gov/history/hps/hpg/JACS/index.html>. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

A. Need:

- i. A critical problem exists and needs to be addressed.
- ii. The desired outcome is identified and the project addresses the critical problem with an appropriate solution.

B. Impact:

- i. The project will have an impact(s) on the interpretation and/or preservation of the confinement site experience and will reach an audience. The project impact(s) will be widespread and the project will be publicized and shared with others.
- ii. Public Law 109-441 (16 USC 461) the grant programs authorizing legislation states that the program was created for the purpose of identifying, researching, evaluating, interpreting, protecting, restoring, repairing, and acquiring historic confinement sites in order that present and future generations may learn and gain inspiration from these sites and that these sites will demonstrate the Nations commitment to equal justice under the law. The project meets the purpose of the grant programs authorizing legislation, and addresses how these messages will be conveyed and shared with the public.

C. Feasibility: The applicant has the ability to successfully complete the project.

- i. The project budget is reasonable.
- ii. Selected personnel have the qualifications and ability to complete the project in a timely and professional manner.
- iii. The project will be effectively managed and completed.

D. Sustainability: The project will be sustained over time. The applicant demonstrates the ability for long-term maintenance, operation, distribution, and/or follow-up of the project.

E. Support: The project has support and participation from former internees, stakeholders, and/or the public.

**15.934 ABANDONED MINE HAZARD MITIGATION**

Cleanup Of Abandoned Mine Sites On Park Lands/Abandoned Mine Land Mitigation

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Conservation, 16 U.S.C 1g; Consolidated Natural Resources Act of 2008, Title III, Section 301, Public Law 110-229, 122 Stat.

**OBJECTIVES:**

To mitigate mine hazards on park lands or effectively nearby state, federal or local land. An estimated 3,100 AML sites with 8,400 individual features exist in 127 units of the National Park System. AML features include deep underground mine openings, surface mine pits, and unplugged orphaned oil and gas wells. AML sites often pose severe human safety hazards, environmental contamination, and usually have disturbances to land, vegetation and related ecosystems. AML sites often provide critical habitat for protected and/or sensitive wildlife species such as bats and desert tortoise. Many AML sites are protected cultural sites. The AML Program mitigates AML sites throughout the national park system. Mitigation can involve: "bate gate" installation, plugging mine openings with polyurethane foam and earthen backfill, and site restoration through reshaping the land surface and planting native vegetation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

For ARRA funded projects the requirements of the American Recovery and

Reinvestment Act of 2009 will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents. Applicant entity must have expertise in hazard mine mitigation in natural areas or research support for remediation plan development.

**Applicant Eligibility:**

Natural Resources (mineral, water, wildlife, land).

**Beneficiary Eligibility:**

Public nonprofit, institution/organization, Other public institution/organization, Federally Recognized Indian Tribal, Governments, U.S. Territories, Individual/Family, Minority group, Specialized group (e.g. health professionals, students, veterans), Small business, Profit organization, Private nonprofit institution/organization, Quasi-public nonprofit organization, Other private institution/organization, Anyone/general public, Native American Organizations, Health Professional, Education Professional, Student/Trainee, Graduate Student, Scientist/Researchers.

**Credentials/Documentation:**

Examples of prior work in technical area of mine mitigation in natural areas or specific resource expertise to develop mitigation plans. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A completed SF 424 Application for Federal Assistance and other material are required by the Funding Opportunity Announcement - these will be announced upon funding availability and project needs. The standard application forms required by 43 CFR Part 12, Subparts C and F, must be used. Applications will be made available on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Timely submissions will be reviewed in relationship to the evaluation criteria specified in the opportunity announcement. Awards will be made in the form of a cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Deadlines will be posted in specific Funding Opportunity Announcements on [Grants.gov](http://Grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

As allowed in 43 CFR Part 12 Department of Interior Regulations for Financial Assistance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis. See the following for information on how assistance is awarded/released: Reimbursable basis as costs are incurred.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Financial reports SF-425 will be required in conjunction with requests for Reimbursement SF-270. The requirements for interim and final reports will be specified in the agreement. Recipients of ARRA funded agreements will be required to report the performance progress on a quarterly basis within ten (10) calendar days of the end of the quarter. Current user registration and instructions is provided at [Recovery.gov](http://Recovery.gov). Recipients are required to report data directly into [www.FederalReporting.gov](http://www.FederalReporting.gov). If sub-recipients are in receipt of these funds, additional information will be

required by the recipient to report the data in [www.FederalReporting.gov](http://www.FederalReporting.gov) regarding the sub-recipient. These reports will be made publicly available.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 and 2 CFR Part 176 for ARRA funded projects.

**Account Identification:**

14-1401-1-1-303 - TAS 1409/101041.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$50,000; and FY 13 est \$50,000

**Range and Average of Financial Assistance:**

Range \$0  
Average \$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior regulations regarding financial assistance is 43 CFR Part 12.

**Regional or Local Office:**

None. Dave Steensen, Geologic Resource Division, National Park Service, Denver Colorado.

**Headquarters Office:**

Dave Steensen, National Park Service, Geologic Resource Division, Abandoned Mine Land Program, National Resource Program Center, P.O. Box 25287, Denver, Colorado 80225-0287 Email: [Dave\\_Steensen@nps.gov](mailto:Dave_Steensen@nps.gov) Phone: (303) 969-2014.

**Website Address:**

<http://www.nature.nps.gov/geology/aml/index.cfm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For ARRA funded projects, the evaluation criteria also address the following priorities established for Title IV: (a) Programs, projects, or activities that can be obligated and executed quickly; (b) Programs, projects, or activities that will result in high, immediate employment; (c) Programs, projects, or activities that have little schedule risk; (d) Programs, projects, or activities that will be executed by contract or direct hire of temporary labor; and (e) Programs, projects, or activities that will complete either a project phase, a project, or will provide a useful service that does not require additional funding. In addition, the project will meet the guidelines established by the NPS AML program. These guidelines are available at Handbook for Remediation of Abandoned Mineral Lands. The proposed cost estimates for the mine mitigation under the abandoned mine land assistance should appear reasonable and necessary for the proposed work. The proposal must be received by NPS by the announced deadline. The proposed agreement for mitigation of abandoned mine lands should be a technically well planned proposal and the proposed work likely to achieve a quality mitigation procedure in order to receive the assistance.

**15.935 NATIONAL TRAILS SYSTEM PROJECTS**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

The National Trails System Act, 16 U.S.C 1241-51.

**OBJECTIVES:**

To preserve, protect, and develop the components of the National Trails System, with a strong emphasis on volunteer involvement, the Secretary of the Interior may enter into written cooperative agreements to operate, develop, and maintain any portion of such a trail either within or outside a federally administered area. The Secretary may provide financial assistance to encourage participation in the acquisition, protection, operation, development, or maintenance of such trails.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is to be used by States or their political subdivisions, landowners, private organizations, or individual to operate, develop, and maintain any portion of such a trail either within or outside a federally administered area. Such agreements may include provisions for limited financial assistance to encourage participation in the acquisition, protection, operation, development or maintenance of such trails. The NPS shall also initiate consultations with affected States and their political subdivisions to encourage (A) the development and implementation by such entities of appropriate measures to protect private landowners from trespass resulting from trail use and from unreasonable person liability and property damage caused by trail use, and (B) the development and implementation by such entities of provisions for land practices compatible with the purposes of this Act, for property within or adjacent to trail rights-of-way. After consulting with States and their political subdivisions under the preceding sentence, the Secretary may provide assistance to such entities under appropriate cooperative agreements in the manner provided by this subsection. The availability of discretionary funding is determined by individual trail offices each fiscal year.

**Applicant Eligibility:**

State, Local, Interstate, Intrastate, Federally Recognized Indian Tribes, Individual/Family, Native American Organizations.

**Beneficiary Eligibility:**

Interstate, Intrastate, State, Local, Federally Recognized Indian Tribal Governments, Individual/Family, Profit Organization, Anyone/general public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants will be required to submit a SF 424, Application for Federal Assistance, and other required documentation.

**Award Procedure:**

A proposal for financial assistance can start with a letter of intent to the National Park Service office servicing the agreement. Or, direct face to face negotiations can result in NPS framing the agreement for later review and ratification by the receiving party. Before the agreement is finalized, it should include a detailed budget breakdown for each task. The mutually agreed-upon cooperative agreement is reviewed within NPS and submitted to the appropriate offices for approval. Once the agreement is approved and signed by a qualifying NPS contracting official, the work outlined in the agreement can begin.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50.%. When trail base funds are available through these cooperative agreements, this program has no matching requirements, although matching may provide incentives as mutually agreeable. When funds are made available from the NPS Challenge Cost-Share program, if the project will be credited to that program, at least a 50-50 non-Federal match is required. Such matches can include in-kind services, volunteer hours, and other non-monetary services.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements generally have a period of performance of up to five years. Funding availability and source will be a factor in determining the length of assistance. Reimbursement is accomplished as outlined in the proposal and subsequent task agreements based on the particular project requirements. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

All organizations will be required to submit a minimum of a yearly narrative summary accomplishments reports to the National Park Service in accordance with the terms of each agreement. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Cash reports are not applicable. Progress reports are not applicable. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of Standard Form 270 Request for Advance or Reimbursement, and a quarterly submittal of Standard Form 425 Federal Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years submission for final request for reimbursement.

**Account Identification:**

14-1035-1-1-303 - TAFS 1409/101035; TAS 14-1036-0-1-303.

**Obligations:**

(Project Grants) FY 11 \$3,102,639; FY 12 est \$4,500,000; and FY 13 est \$0 - FY 2011 awards will depend on individual trail budgets.

**Range and Average of Financial Assistance:**

Range \$1,000 to \$1 million  
Average \$96,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Government-wide Guidance located at 2 CFR Part 12; Department of Interior Regulations regarding financial assistance located at 43 CFR Part 12, Guidance

<http://www.nps.gov/nts/index.htm>

**Regional or Local Office:**

See Regional Agency Offices. Ala Kahakai National Historic Trail (NHT) Arik Arakaki, Supt., [arik\\_arakaki@nps.gov](mailto:arik_arakaki@nps.gov). Appalachian National Scenic Trail (NST) Pam Underhill, Park Manager, [Pamela\\_underhill@nps.gov](mailto:Pamela_underhill@nps.gov). California, El Camino Real de los Tejas, El Camino Real de Tierra Adentro, Mormon Pioneer, Old Spanish, Oregon, Pony Express, Santa Fe, and Trail of Tears NHTs Aaron Mahr, Supt., [aaron\\_mahr@nps.gov](mailto:aaron_mahr@nps.gov). Captain John Smith Chesapeake and Star-Spangled Banner NHTs John Maounis, Supt., [john\\_maounis@nps.gov](mailto:john_maounis@nps.gov). Ice Age and North Country NSTs Pamela Schuler, Acting Supt., [pam\\_schuler@nps.gov](mailto:pam_schuler@nps.gov). Juan Bautista de Anza NHT Naomi Torres, Supt., [naomi\\_torres@nps.gov](mailto:naomi_torres@nps.gov). Lewis and Clark NHT Mark Weekley, Supt., [mark\\_weekley@nps.gov](mailto:mark_weekley@nps.gov). Natchez Trace NST Cam Sholly, Supt., [cam\\_sholly@nps.gov](mailto:cam_sholly@nps.gov). New England NST Charlie Tracy, Supt., [Charles\\_tracy@nps.gov](mailto:Charles_tracy@nps.gov). Overmountain Victory NHT Paul Carson, Supt., [paul\\_carson@nps.gov](mailto:paul_carson@nps.gov). Potomac Heritage NST Don Briggs, Supt., [don\\_briggs@nps.gov](mailto:don_briggs@nps.gov). Selma to Montgomery NHT Sandy Taylor, Supt., [sandy\\_taylor@nps.gov](mailto:sandy_taylor@nps.gov). Washington-Rochambeau Revolutionary Route NHT Joe DiBello, Supt., [joe\\_dibello@nps.gov](mailto:joe_dibello@nps.gov).

**Headquarters Office:**

Steve Elkinton, National Park Service, National Trails, 1849 C Street, Washington, District of Columbia 20240 Email: [steve\\_elkinton@nps.gov](mailto:steve_elkinton@nps.gov) Phone: (202) 354-6938.

**Website Address:**

<http://www.nps.gov/nts/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Engaging Young People on the New England NST, Janesville Mobile Skills Workshop (Ice Age NST), Appalachian Trail Boardwalk in Pauling, NY, Friday at the Fort Living History (Juan Bautista de Anza NHT). Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

These criteria may vary somewhat from region to region. Fosters components of the National Trails System. Helps local trail office carry current program objectives. Helps complete work started in previous years. Enhances public understanding and appreciation of a trail or the entire Trails System. Can be accomplished within the next year.

**15.936 SHENANDOAH VALLEY BATTLEFIELDS NATIONAL HISTORIC DISTRICT BATTLEFIELD ACQUISITION AND PROTECTION**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

The Shenandoah Valley Battlefields Foundation's land and easement acquisition efforts concentrate on the battlefields named by Congress in the Shenandoah Valley Battlefields National Historic District and Commission Act of 1996. These battlefields, listed in the table below, include more than 21,000 acres of core battlefield that retain historic integrity, largely because they are still in active farm and forest uses. Less than ten percent of this essential resource is protected from development that would destroy its historic value., Section 606, Public Law 104-333.

**OBJECTIVES:**

The Shenandoah Valley Battlefields Foundation works to protect eligible Civil War battlefields in the National Historic District through land and conservation easement acquisition and preservation planning.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Grants must be used to acquire battlefield land or to acquire a permanent, protective interest (i.e., a perpetual protective easement) in battlefield land. Additional costs associated with the acquisition - such as appraisal costs, survey fees, title insurance, and other closing costs - are also eligible grant costs. Lands located within the legislative boundaries of the Cedar Creek and Belle Grove National Historic Park may receive funding through this program. Battlefield Land Acquisition Grants may be used to pay up to 100% of the total cost- the sum of both the cost of the land or protective easement to be purchased and any necessary fees- of the real estate transaction. No match is required. Shenandoah Valley Battlefields National Historic District Commission Act of 1996 (Public Law 104-333). authorizes this grant program. The Act allows Land and Water Conservation Fund (LWFC) monies to be used to provide the Federal share of the cost of acquiring interests in eligible Civil War battlefield land. the Act requires that any interest in land acquired under this program "...shall be subject to section 6(f)(3) of the Land and Water Conservation Fund Act of 1965 (16 U.S.C. 4601-8(f)(3))." Section 6(f)(3) requires that any land acquired with these funds be preserved and not converted to other uses without the express written consent of the Secretary of the Interior. The grantee Shenandoah Valley Battlefield Foundation must record with or in the deed and record in the easement (as applicable) the following: (1) That the property was acquired with assistance from Federal Land and Water Conservation Act funds pursuant to the Shenandoah Valley Battlefields National Historic District and Commission Act of 1996 (Public Law 104-333). (2) That the property, therefore, is subject to the provisions of Section 6 (f)(3) of the Land and Water Conservation Act: (3) That the property, therefore, may never be converted to other than preservation uses without the written approval of the Secretary of the Interior; (4) That in the event of a breach of the requirements of Section 6(f)(3) (unauthorized conversion), the only remedy is immediate compliance with Section 6(f)(3); and (5) That grant funds cannot be repaid to the NPS to nullify the requirements of Section 6(f)(3). The fundamental purpose of the Land and Water Conservation Fund is to help acquire and/or develop public outdoor recreation areas. Accordingly, grantee Shenandoah Valley Battlefield Foundation must provide for public access to lands or interests in lands acquired with assistance from this program, subject to necessary and reasonable measures on the part of the grantee to protect to protect the historic features of the battlefield from damage or loss. Where the grantee will place an easement that indicates the type and degree of public access to be made available to the property. At a minimum, lands purchased with LWCF funds must be visible from public right-of-way. Before the NPS will release grant funds, the NPS must receive and approve a property appraisal to the NPS that supports the proposed acquisition cost. The appraisal must be completed within 1 year of the signing of the contract to purchase the property. The cost of the appraisal is an allowable cost for this grant. None of the funds may be used to process any grant or contract documents which do not include the text of 18 U.S.C. 1913 prohibiting lobbying with appropriated funds. Grants will be awarded pursuant to duly approved written applications. Use of these funds is subject to compliance with 43 CFR 12 and the terms of the grant agreement to be executed by the grantee and the National Park Service. There is a dollar-for-dollar matching share requirement to receive these funds. Shenandoah Valley Battlefields National Historic District Commission Act of 1996 (Public Law 104-333). authorizes this grant program. The Act allows Land and Water Conservation Fund (LWFC) monies to be used to provide the Federal share of the cost of acquiring interests in eligible Civil War battlefield land. the Act requires that any interest in land acquired under this program "...shall be subject to section 6(f)(3) of the Land and Water Conservation Fund Act of 1965 (16 U.S.C. 4601-8(f)(3))." Section 6(f)(3) requires that any land acquired with these funds be preserved and not converted to other uses without the express written consent of the Secretary of the Interior. The grantee Shenandoah Valley Battlefield Foundation must record with or in the deed and record in the easement (as applicable) the following: (1) That the property was acquired with assistance from Federal Land and Water Conservation Act funds pursuant to the Shenandoah Valley Battlefields National Historic District and Commission Act of 1996 (Public Law 104-333). (2) That the property, therefore, is subject to the provisions of Section 6 (f)(3) of the Land and Water Conservation Act: (3) That the property, therefore, may never be converted to other than preservation uses without the written approval of the Secretary of the Interior; (4) That in the event of a breach of the requirements of Section 6(f)(3) (unauthorized conversion), the only remedy is immediate compliance with Section 6(f)(3); and (5) That grant funds cannot be repaid to the NPS to nullify



the requirements of Section 6(f)(3). The fundamental purpose of the Land and Water Conservation Fund is to help acquire and/or develop public outdoor recreation areas. Accordingly, grantee Shenandoah Valley Battlefield Foundation must provide for public access to lands or interests in lands acquired with assistance from this program, subject to necessary and reasonable measures on the part of the grantee to protect the historic features of the battlefield from damage or loss. Where the grantee will place an easement that indicates the type and degree of public access to be made available to the property. At a minimum, lands purchased with LWCF funds must be visible from public right-of-way. Before the NPS will release grant funds, the NPS must receive and approve a property appraisal to the NPS that supports the proposed acquisition cost. The appraisal must be completed within 1 year of the signing of the contract to purchase the property. The cost of the appraisal is an allowable cost for this grant. None of the funds may be used to process any grant or contract documents which do not include the text of 18 U.S.C. 1913 prohibiting lobbying with appropriated funds. Grants will be awarded pursuant to duly approved written applications. Use of these funds is subject to compliance with 43 CFR 12 and the terms of the grant agreement to be executed by the grantee and the National Park Service. There is a dollar-for-dollar matching share requirement to receive these funds.

**Applicant Eligibility:**

SVBF is the sole eligible applicant for these grants.

**Beneficiary Eligibility:**

The SVBF grant is to be used to acquire land and interests in land only the following National Historic District Battlefields will be considered:

- 1- Second Winchester
- 2- Second Kernstown
- 3- Cedar Creek
- 4- Fisher's Hill
- 5- Tom's Brook
- 6- Third Winchester
- 7- New Market
- 8- Port Republic
- 9- Cross Keys
- 10- McDowell.

**Credentials/Documentation:**

SVBF is the sole eligible applicant for this program. The grants will be administered by the American Battlefield Protection Program (ABPP). SVBF will carefully review the following guidelines before preparing an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

SVBF will engage in informal preapplication coordination with ABPP staff and with the Virginia State Historic Preservation Office. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Only SVBF staff will prepare applications. Eligible applicants will be required to submit a SF 424, Application for Federal Assistance and other required documentation. The procedures will be outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

**Award Procedure:**

SVBF may submit proposals to the ABPP at any time. The ABPP will review all complete application packages as they are received.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. 30 days.

**Appeals:**

NONE.

**Renewals:**

NONE.

**Formula and Matching Requirements:**

Statutory Formula: Title 43, Part 12. Use of these funds is subject to compliance with 43 CFR 12 and the terms of the grant agreement to be executed by the grantee and the National Park Service.

Matching Requirements: There is a dollar-for-dollar matching share requirement to receive these funds.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This lump sum grant is awarded as a single award and the length of time is approximately 90 days. Method of awarding/releasing assistance: lump sum.

**Reports:**

SVBF will report both financial and progress reports to ABPP on a regular basis. Products of the grant may be reviewed by ABPP in draft and final format. Final performance reports are expected at the close of the grant. Cash reports are not applicable. SVBF will report both financial and progress reports to ABPP on a regular basis. Products of the grant may be reviewed by ABPP in draft and final format. Final performance reports are expected at the close of the grant. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form, 270 Request for Advance or Reimbursement, and a quarterly submittal of Standard Form 425 the Financial Report . Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

SVBF must maintain the property, personnel, financial, procurement and other records and accounts pertinent to the funds awarded by this grant in accordance with 43 CFR 12. The grantee and its contractors will permit on-site inspections by NPS representatives, and will effectively require employees and board members to furnish such information as, in the judgment of NPS representatives may be relevant to a question of compliance with grant conditions and directives on the effectiveness, legality and achievements of project work.

**Account Identification:**

14-5035-0-2-303.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$50,000; and FY 13 est \$50,000 - Land and Water Conservation Fund appropriations.

**Range and Average of Financial Assistance:**

Range \$0

Average \$0.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A more complete description of grant requirements can be found at [http://www.shenandoahatwar.org/frame\\_rpro.html](http://www.shenandoahatwar.org/frame_rpro.html)

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristen McMasters 1201 Eye Street, NW (2255) 6th Floor , Washington, District of Columbia 20005 Phone: (202) 354-2037

**Website Address:**

<http://www.cr.nps.gov/abpp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The SVBF staff reviews and evaluates all proposals.

Reviewers evaluate applications according to the following considerations.

- Significance of the battlefield land
- Whether the proposed acquisition parcel lies within the SVBF-defined Core and/or Study areas
- Availability of funds
- Acquisition schedule
- Threat to the battlefield land.

**15.937 REDWOOD NATIONAL PARK COOPERATIVE MANAGEMENT WITH THE STATE OF CALIFORNIA****FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 1998, Public Law 105-83, 111 Stat. 1543, 16 U.S.C 471j; American Recovery and Reinvestment Act of 2009, Public Law 111-5 Section 702; Executive Order Title 16 Conservation Subchapter Subchapter 1 National Park Service, Title 16, Part 1, Section 1a-2j; Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333, 16 U.S.C 1f; Omnibus Consolidated Appropriations Act of 1997, Public Law 104-208, 110 Stat. 3009-181, 189, 16 U.S.C 1g, Executive Order , Title , Part , Section.

**OBJECTIVES:**

To exchange goods and services to be used by the Secretary of the Interior and the State of California for cooperative management of lands within Headwaters Forest, Redwood National Park, and proximate State lands. Develop joint operating procedures and standards to ensure effective and efficient accomplishment of park activities, including but not limited to: visitor services, resource protection, public information, interpretation and publications, resource management, maintenance, administration, design and construction, planning, signing, and the development of policies. For American Recovery and Reinvestment Act (ARRA) funded projects and in addition to the program objectives above, section 3 of the ARRA states the following objectives: to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession, to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; to stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Cooperative Agreements; Dissemination of Technical Information; Sale, Exchange, or Donation of Property and Goods; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

The Secretary of the Interior must determine that appropriations for the purpose of cooperative management of projects are available and an agreement is in the best interests of the United States. Assistance is authorized between the Department of the Interior, National Park Service, Redwood National Park and the State of California government agencies. For ARRA funded projects the requirements the Act will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents.

**Applicant Eligibility:**

Agencies within the State of California Government.

**Beneficiary Eligibility:**

State of California.

**Credentials/Documentation:**

As determined by project requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Consultation or assistance between the Secretary (generally through the Superintendent, Redwood National Park) and the State of California will occur.

Projects will be awarded as determined by the Secretary (generally through the Superintendent, Redwood National Park) within the requirements of applicable existing bureau and agency regulation and policy.

**Award Procedure:**

After project needs and requirements are developed, the National Park Service will issue the State of California a written agreement (Cooperative Agreement or Cooperative Management Agreement) for execution upon which the project can proceed. Department of the Interior policy allows projects that meet the criteria for single source opportunities to be issued by an agency, which are specifically directed to a known recipient. A Notice of Intent shall be placed on [www.grants.gov](http://www.grants.gov) to disclose the single source announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

In accordance with applicable requirements for extensions and renewals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: There are no legislative requirements for matching.

Some projects may be conducted on a pre-determined cost share basis.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All organizations will be required to submit a yearly narrative summary accomplishments reports to the National Park Service at the end of each project year. All projects and activities are monitored for progress and compliance with agreed upon scope of work. For ARRA funds, recipients and agencies must comply with the regulations in 2 CFR Part 176 - Award Terms for Assistance Agreements that include Funds under the American Recovery and Reinvestment Act of 2009 that describes the requirements for 1512 award recipient reporting requirements. Supplemental guidance is available at <http://www.Recovery.gov> and <http://www.FederalReporting.gov>. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of the SF 270 Request for Advance or Reimbursement or SF 271 Outlay Report and Request for Reimbursement for Construction Programs, and a quarterly or annual submittal of the SF 425 Federal Financial Report. The SF 270/SF 271 and SF 425 require a final report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. The Cooperator must maintain a complete detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request of disbursement. If any litigation, claim, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken. The provisions of 2 CFR Part 176 apply.

**Account Identification:**

14-1036-0-1-303 - Operation of the National Park System; 14-1042-0-1-303 - NR&P; 14-1041-1-1-303 - ARRA Construction; TAFS 1409/101035; 14-1035-1-1-303 - ARRA ONPS; TAFS 1409/101035; 14-1039-0-1-303 - Construction.

**Obligations:**

(Cooperative Agreements) FY 11 \$80,101; FY 12 est \$80,101; and FY 13 est \$80,101

**Range and Average of Financial Assistance:**

Range: \$6500 to \$52,336  
Average: \$10,012.63.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Superintendent, Redwood National and State Parks, 111 Second Street, Crescent City, CA 95531  
NPS, PWR, Contracting and Property Division, 1111 Jackson St., Ste. 700, Oakland, CA 94607.

**Headquarters Office:**

Director, 1849 C Street, NW , Washington, District of Columbia 20240 Phone: (202) 208-3100.

**Website Address:**

<http://www.nps.gov/redw>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Appropriations for the purpose of cooperative management projects must be available and an agreement is in the best interests of the United States. For ARRA funded projects, the evaluation of projects also address the following priorities established in the Conference Report for Title IV: programs, projects, or activities that can be obligated and executed quickly; programs, projects, or activities that will result in high and immediate employment; programs, projects, or activities that have little schedule risk; programs, projects, or activities that will be executed by contract or direct hire of temporary labor; and programs, projects, or activities that will complete either a project phase, a project, or will provide a useful service that does not require additional funding.

**15.938 BOSTON AFRICAN-AMERICAN NATIONAL HISTORIC SITE COOPERATIVE AGREEMENT WITH THE MUSEUM OF AFRICAN AMERICAN HISTORY**

Rehab African Meetinghouse

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 1998, Public Law 105-83, 111 Stat. 1543, 16 U.S.C. 471j; Executive Order Title 16 Conservation Subchapter 1 National Park Service, Title 16, Part 1, Section 1a-2j; American Recovery and Reinvestment Act of 2009, Public Law 111-5, Section 702, Omnibus Consolidated Appropriations Act of 1997, Public Law 104-208, 110 Stat. 3009-181, 189, 16 U.S.C. 1g; Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333, 16 U.S.C. 1f. Public Law 96-430 Sec. 101 and 103.

**OBJECTIVES:**

The National Park Service and the Museum of African-American History are partnering for the purpose of rehabilitating the African Meetinghouse in Boston, MA. The African Meetinghouse was entered on the National Register in 1971 and is a contributing resource to the Beacon Hill National Register District, as well as, a contributing resource to the Boston African-American National Historic Site. It is the oldest extant African-American church building in the United States and the first house of worship built for people of African descent in Boston. In order to preserve this structure which has both historic and architectural experience to complete the project.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Cooperative Agreements (Discretionary Grants); Dissemination of Technical Information; Sale, Exchange, or Donation of Property and Goods; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

The Secretary of the Interior must determine that appropriations for the purpose of providing federal assistance are available and an agreement is in the best interests of the United States. Assistance is authorized between the Department of the Interior, National Park Service, Boston African-American National Historic Site and the Museum of African-American History. For ARRA funded projects, the requirements of the Act will be followed and incorporated, as necessary, within the opportunity announcement and agreement documents.

**Applicant Eligibility:**

Not applicable.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Section 106 compliance was signed by the SHPO on July 28, 2005 and a Categorical Exclusion was signed on March 11, 2010. Plans and specifications have been completed and appropriate approvals received. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Consultation or assistance between the Secretary (generally through the Superintendent, Boston African-American National Historic Site) and the Museum of African-American History will occur. Projects will be awarded as determined by the Secretary (generally through the Superintendent, Boston African-American National Historic Site) within the requirements of applicable existing bureau and agency regulation and policy.

**Award Procedure:**

After project needs and requirements are developed, the National Park Service will issue the Museum of African-American History a written cooperative agreement for execution upon which the project can proceed. Department of the Interior policy allows projects that meet the criteria for single source opportunities to be issued by an agency, which are specifically directed to a known recipient. A Notice of Intent shall be placed on [www.grants.gov](http://www.grants.gov) to disclose the single source announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

In accordance with applicable requirements for extensions and renewals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Recovery Act restrictions related to the time permitted to obligate and expend program funds apply. Additionally information on the length and time phasing of assistance is not available. See the following for information on how assistance is awarded/released: Information not available.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All organizations will be required to submit a yearly narrative summary accomplishments report to the National Park Service at the end of each project year. For ARRA funds, recipients and agencies must comply with the regulations in 2 CFR Part 176 - Award Terms for Assistance Agreements, which describes the requirements for 1512 recipient reporting requirements. Supplemental guidance is available at <http://www.Recovery.gov> and <http://FederalReporting.gov>. Specific projects or activities for which funds shall be tracked and reported by submittal of the the SF 271 Outlay Report and Request for Reimbursement for Construction Programs, and a quarterly or annual submittal of the SF 425 Federal Financial Report. The SF 271 and SF 425 require a final report. All projects and activities are monitored for progress and compliance with agreed upon scope of the work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart F, Uniform Administrative Requirements for Grants and Agreements to Institutions of Higher Education, Hospitals and Other Non-Profit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request of disbursement. If any litigation, claim, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken. The provisions of 2 CFR 176 apply.

**Account Identification:**

14-1042-0-1-303 - NR&P; 14-1035-1-1-303 - ARRA ONPS; TAFS 1409/101035; 14-1036-0-1-303 - Operation of the National Park System; 14-1041-1-1-303 - ARRA Construction; TAFS 1409/101035; 14-1039-0-1-303 - Construction.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$50,000; and FY 13 est \$50,000

**Range and Average of Financial Assistance:**

Range \$0  
Average \$0.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Superintendent, Boston African-American National Historic Site, 14 Beacon Street, Suite 503, Boston, MA 02108; Phone (617)742-5415. Northeast Regional Office, 200 Chestnut Street, Suite 306, Philadelphia, PA 19106; Phone (215)597-0815.  
Project Management Office: Denver Service Center, 12795 W. Alameda Parkway, Denver, CO 80225-0287; Phone (303)969-2459.

**Headquarters Office:**

Director National Park Service, 1849 C Street, NW, Washington, District of Columbia 20240 Phone: (202)208-3100

**Website Address:**

<http://www.nps.gov.boaf>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Appropriations for the purpose of cooperative projects must be available and an agreement is in the best interests of the United States. For ARRA funded projects, the evaluation of projects must also address the following priorities established in the Conference Report for Title IV: programs, projects, or activities that can be obligated and executed quickly; programs, projects or activities that will result in high and immediate employment; programs, projects, or activities that have little risk schedule; programs, projects, or activities that will be executed by contract or direct hire of temporary labor; and programs, projects, or activities that will be completed either a project phase, or will provide a useful service that does not require additional funding.

**15.939 NATIONAL HERITAGE AREA FEDERAL FINANCIAL ASSISTANCE**

National Heritage Area Preservation and Conservation Assistance

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

NOTES and related authorization legislation for individual National Heritage Areas, 16 U.S.C 461a.

**OBJECTIVES:**

The purpose of designation as a National Heritage Area is to preserve and interpret for the educational and inspirational benefit of present and future generations the unique and significant contributions to our national heritage of certain historic and cultural lands, waterways, and structures, to encourage a broad range of economic opportunities enhancing the quality of life within the designated area, and provide a management framework to assist state/local government entities, non profits, and others in developing policies and programs that will preserve, enhance, and interpret the cultural, historical, natural, recreation, and scenic resources of the heritage area.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

- Funding and/or assistance is managed by an agency, nonprofit or other organized party identified in the public law that created the National Heritage Area
- Funding is to accomplish intended purpose specified within each individual National Heritage Area's public law
- Federal funding and its match must meet all federal requirements as defined in OMB circulars and enabling legislation combined
- Funding applies to interpretation and education, recreation, preservation and conservation and economic development of the region applied specifically to the nationally important story for which they were established.

**Applicant Eligibility:**

Generally, states, their political subdivisions, non profits, private entities, the

heritage area management/coordinating entity, and other federal agencies are eligible for assistance.

**Beneficiary Eligibility:**

Generally, states, their political subdivisions, non profits, private entities, the heritage area management/coordinating entity, and other federal agencies are eligible for assistance.

**Credentials/Documentation:**

Applicants are required to register with [www.ccr.gov](http://www.ccr.gov) and obtain a DUNS number. Designated management/coordinating entities must submit an annual work plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligible applicants submit the SF424, SF424A, SF424B and a management entity work plan as required by OMB circular A-110 to the responsible regional office. The work plan or task agreement includes a title, geographic area(s) of requested assistance, objectives, match commitments, priority and budget proposal for each individual project. Special application procedures will be posted at [grants.gov](http://grants.gov).

**Award Procedure:**

Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review to assure compliance requirements are met and actions fit the legislative requirements. Notification of Awards will be provided to applicants by issuance of Cooperative Agreement, modification or Grant Agreement by the Agreement Technical Assistance Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 30-90 days.

**Appeals:**

NONE.

**Renewals:**

Yes, In accordance with the applicable requirements for extensions and renewal under the appropriate regulations and OMB circulations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50.%. Authorizing legislation for individual National Heritage Areas specifies matching requirements. Generally, the organization must be able to provide a 50% cash match for their appropriated funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In accordance with the individual award documents. See the following for information on how assistance is awarded/released: Advances or reimbursements for no more than 50% of their authorized financial activities.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270, Request for Advance or Reimbursement; SF425 Financial Status Report as outlined in 2 CFR 215.52. Additionally, all organizations will be required to submit a yearly narrative summary of accomplishments report to the National Park Service Agreements Technical Assistance Officer and to the Cognizant Regional Heritage Area Coordinator. An annual report is also submitted to the Washington Office that identifies federal/match investments and other statistics.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and 43 CFR Part 12 Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement or Grant Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submissions for final request for reimbursement.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 \$7,869,912; FY 12 est \$7,869,912; and FY 13 est \$7,869,912

**Range and Average of Financial Assistance:**

Range \$7000 to \$505,000

Average \$148,488.91.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Examples include work with partners and area residents to expand youth education and job development programs; complete trails and improve trail access; envision and create digital interpretive signage; develop Visitor, Discovery, and Nature Centers; assist with oil spill recovery; engage youth to monitor and improve water quality; produce documentaries, guidebooks, access maps and educational curricula; provide support and assistance for National Historic Landmark properties; complete management planning documents, resource inventories, economic impact studies and evaluations. Fiscal Year 2012: Data Not Yet available. Fiscal Year 2013: Data Not Yet available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12 and 2 CFR Part 215 and Part 230.

**Regional or Local Office:**

See Regional Agency Offices. Regional Coordinators and individual heritage area contacts are listed at <http://www.nps.gov/history/heritageareas/CNTC/>.

**Headquarters Office:**

Martha Raymond, 1201 "Eye" Street, NW 6th Floor, Washington, District of Columbia 20005 Email: [martha\\_raymond@nps.gov](mailto:martha_raymond@nps.gov) Phone: (202) 354-2222.

**Website Address:**

<http://www.nps.gov/history/heritageareas>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects support area responsibilities per legislation and management planning documents. Included are projects to develop natural and cultural heritage education programs, curricula, and materials; sponsor cultural and natural resource stewardship events, education and capacity-building for partners; support matching grant programs for conservation and preservation projects and interpretive programs; provide youth employment and educational activities; develop and maintain interpretive and recreational trails; plan and install interpretive signage. Fiscal Year 2012: Projects support area responsibilities per legislation and management planning documents. Included are projects to develop natural and cultural heritage education programs, curricula, and materials; sponsor cultural and natural resource stewardship events, education and capacity-building for partners; support matching grant

programs for conservation and preservation projects and interpretive programs; provide youth employment and educational activities; develop and maintain interpretive and recreational trails; plan and install interpretive signage. Fiscal Year 2013: Data Not Yet Available.

**CRITERIA FOR SELECTING PROPOSALS:**

- Actions proposed in Workplan/Task Agreement meet legislative requirements
- Actions proposed in Workplan/Task Agreement meet Office of Management Budget (OMB) standards
- Match meets all legal requirements and is in hand or commitments are in writing.

**15.940 NEW BEDFORD WHALING NATIONAL HISTORIC PARK COOPERATIVE MANAGEMENT**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

New Bedford Whaling National Historic Park - U. S.C.; 410ddd(e)(2).

**OBJECTIVES:**

To work collaboratively with interested entities and individuals to provide for visitor understanding, appreciation and enjoyment.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Subject to DOI policy (43 CFR Part 12) on Financial Assistance, NPS Director's Order #20, NPS Agreements Handbook, and the park's enabling legislation.

**Applicant Eligibility:**

Eligible cooperators include: State, local and tribal governments, other public entities, education institutions, and private nonprofit organizations.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Proposals may be submitted by entities interested in working collaboratively with the park. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Interested parties contact the park superintendent to discuss possible projects. Some projects are subject to compliance with the National Environmental Policy Act (NEPA). An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submit a cover letter, project budget demonstrating matching requirements and a project scope of work, including the nature of the park's substantial involvement.

**Award Procedure:**

Proposals are reviewed and approved by the park superintendent.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Dependent on eligibility of funds.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Per the park's enabling legislation every one dollar of Federal funds shall be matched by four dollars of funds contributed by non-federal sources to provide for the preservation, development, interpretation, and use of the park; every dollar of Federal funds shall be matched by one dollar of funds contributed by non-federal sources for construction, restoration and rehabilitation of visitors and interpretive facilities.

This program does not have MOE requirements. Newly established program.

**Length and Time Phasing of Assistance:**

Dependent on fund source and type of project. See the following for information on how assistance is awarded/released: Dependent on availability of funds.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Cooperators are required to submit an annual progress report. Cooperators are required to submit a Federal Financial Report, SF-425, on a quarterly basis for all financial transaction. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The cooperator must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the agreements.

**Account Identification:**

14-1036-0-1-130.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 \$0; FY 12 est \$50,000; and FY 13 est \$50,000 - Newly established program 2010.

**Range and Average of Financial Assistance:**

Range \$0

Average \$0.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOI policy on cooperative agreements, NPS Director's Order #20 and the NPS Agreements Handbook, and the park's enabling legislation; Other park information can be found on the park's website at [www.nps.gov/nebe/parkmgmt/index.htm](http://www.nps.gov/nebe/parkmgmt/index.htm)

**Regional or Local Office:**

See Regional Agency Offices. Superintendent  
New Bedford Whaling National Historic Park  
33 William Street  
New Bedford, MA 02740.

**Headquarters Office:**

Park Superintendent, New Bedford Whaling National Historic Park 33 William Street, New Bedford, Massachusetts 02740 Phone: xxx.xxx.xxxx

**Website Address:**

<http://www.nps.gov/nebe>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the basis of:

- Appropriateness to the themes and mission of the park

- Contribution to visitor understanding, appreciation and enjoyment
- Clarity of project objections including final product or result
- Ability to clearly demonstrate matching requirement
- Ability to clearly demonstrate collaborative nature and park's substantial involvement
- Availability of funds.

#### **15.941 MISSISSIPPI NATIONAL RIVER AND RECREATION AREA STATE AND LOCAL ASSISTANCE**

##### **FEDERAL AGENCY:**

National Park Service, Department of the Interior

##### **AUTHORIZATION:**

Mississippi National River and Recreation Area, Public Law 100-696; 704(a) 16 USC section 460 zz 5(a) - Grants, Public Law 100-696; 704(a) 16 U.S.C. section 460 zz 5(b) - Cooperative Agreements, and Public Law 100-696; 704(a) 16 U.S.C. section 460 zz (c) - Technical Assistance.

##### **OBJECTIVES:**

For grants, provide no more than 50% of cost of acquisition and development within the area of lands or waters. Provide assistance and/or funds to enhance partner planning for and interpretation of non-Federal publicly owned lands within the area.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Funding and/or assistance is to be used by the State of Minnesota or its political subdivisions for the acquisition and development within the Area of lands and waters or interest therein in a manner within the legislation. Funding and/or assistance may be used to assist in the planning for and interpretation of non-Federal publicly owned lands within the Area and to develop and implement programs compatible with the comprehensive management plan. The availability of funding is determined by the Mississippi NRRRA each fiscal year. For more specific information contact the regional office.

##### **Applicant Eligibility:**

The State of Minnesota or its political subdivisions, counties, cities, non-profits.

##### **Beneficiary Eligibility:**

The State of Minnesota or its political subdivisions, counties, cities, non-profits.

##### **Credentials/Documentation:**

Each applicant will also be required to have a DUNS number and be registered in the CCR located at [www.ccr.gov](http://www.ccr.gov). OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Consultation or assistance from the agency with this application may be available from the NPS. Projects may be subject to compliance with the National Environmental Policy Act. There are no pre-application requirements. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants will be required to submit an Application, SF424, SF424A, SF424B and a written proposal through the <http://www.Grants.gov> website following the procedures outlined in the announcement, and will include a title, geographic area(s) of requested assistance, objectives, and a budget proposal to reflect a typical project.

##### **Award Procedure:**

Application packages will be posted for an Eligible Applicant's response utilizing the <http://www.Grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated

for others to review to assure compliance requirements are met and actions fit the legislative requirements. Notification of Awards will be provided to applicants by issuance of Cooperative Agreement or Grant Agreement by the Agreements Officer.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Generally, 30-90 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

In accordance with the applicable requirements for extensions and renewals under the appropriate regulations and OMB circulars.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The recipient must be able to provide 50 percent cash match for grants in accordance with 16 U.S.C. 460zz-5(a). On-going effort not required - land acquisition projects.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

In accordance with individual award requirements. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

All organizations will be required to submit a yearly narrative summary of accomplishments report to the National Park Service Agreements Officer and to the Mississippi National River and Recreation Area. Cash reports are not applicable. All projects and activities are monitored for progress and compliance with agreed upon scope of work. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270, Request for Advance or Reimbursement; SF 425 Financial Status Report as outlined in 2 CFR 215.52. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. The Cooperator must maintain a complete detailed accounting system to report expenditures of Cooperative Agreement or grant Agreement funds and accomplishments achieved under the award. Records, accounts and supporting documents must be retained for 3 years after submission for final request for reimbursement.

##### **Account Identification:**

14-1036-0-1-303.

##### **Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$50,000; FY 12 est \$480,000; and FY 13 est \$480,000 - Payments made in lump sum, and upon request for reimbursement under cooperative agreements (new program established in 2010).

##### **Range and Average of Financial Assistance:**

Range \$15,000 - \$100,000

Average \$25,000.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Two cooperative agreements were established. One in the

amount of \$25,000 to a non-profit organization to provide educational outdoor trips to groups and the other in the amount of \$25,000 to the States political sub-division for research. Fiscal Year 2012: : We are implementing an alternative transportation plan to help people get to the river. We will also be re-establishing a current cooperative agreement to operate our Mississippi River Visitors Center. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Denise St. Marie, 111 E Kellogg Blvd., Suite 105, St. Paul, Minnesota 55101  
Email: denise\_st\_marie@nps.gov Phone: (651) 290-3030 ext. 226.

**Website Address:**

<http://www.nps.gov/miss>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Provide educational outdoor canoe trips and conduct research about the Mississippi River. Fiscal Year 2012: Not available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Demonstrated ability of the organization to successfully compete the project;  
Past performance in Federal Financial Assistance programs, if applicable;  
Organization's ability to provide the required cash match, if required; Projects serve a public purpose; and Other criteria may be provided for specific projects.

**15.942 ENVIRONMENTAL EDUCATION AND CONSERVATION - NORTH CASCADES BIOREGION**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

16 U.S.C. 1g provides that the National Park Service may enter into cooperative agreements that involve the transfer of National Park Service appropriated funds to State, local and tribal governments, other public entities, educational institutions, and private nonprofit organizations for the public purpose of carrying out National Park Service programs pursuant to 31 U.S.C. 6305 to carry out public purposes of National Park Service programs. The Outdoor Recreation Act, as amended, 16 U.S.C., 4601-1(f), (1988), states that the Secretary is authorized to sponsor, engage in, and assist in research, undertake studies through cooperative agreements, and cooperate with educational institutions in establishing educational programs and activities relating to outdoor recreation. The North Cascades Environmental Learning Center (NCELC) is a residential education facility located on the shore of Diablo Lake in North Cascades National Park. The Learning Center is one of the central elements of the 1995 federal relicensing of Seattle City Light's Skagit River dams. This project and others are designed to mitigate the impact of hydroelectric projects on the Skagit River environment. Seattle City Light, the National Park Service and North Cascades Institute each have unique responsibilities in this partnership:

- Seattle City Light funded the design and the construction of the facility, own the buildings, and are leasing them to North Cascades Institute.
- The National Park Service dedicated land for the Learning Center within the Ross Lake National Recreation Area of North Cascades National Park Service Complex. The National Park Service also provides services such as water, sewer, fire management and educational support.
- North Cascades Institute is a non-profit organization based in Sedro-Woolley, Washington. It operates the Learning Center and provide environmental education programs for all ages and backgrounds.

**OBJECTIVES:**

The environmental programs offered help people of all ages learn, enjoy and understand more about Skagit River and the North Cascades. The primary objectives include field-based environmental education (focusing on natural and cultural history), providing programs of public education, involvement in

conservation, natural science, history and related fields of study, and conducting interpretive activities. All of these activities are to foster and enhance understanding and appreciation of the North Cascades bioregion. North Cascades Institute (operating the Learning Center under an agreement with Seattle City Light, provides all of the Learning Center's environmental education programs, serving children and adults from Skagit and Methow Valleys, the Puget Sound region and beyond. The Learning Center reaches more than 10,000 people each year in a wide variety of field-based and overnight programs. Scholarships are available. Programs include:

- Natural and cultural history seminars for adults
- Professional development experiences for teachers
- Mountain School for elementary school students
- Youth summer experiences such as North Cascades Wild and Parks Climate Challenge
- Volunteer stewardship programs
- Environmental education internships
- Graduate program: Master of Education in Environmental Education.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements); Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

North Cascades National Park Service Complex was established in 1968 "In order to preserve for the benefit, use, and inspiration of present and future generations certain majestic mountain scenery, snowfields, glaciers, alpine meadows and other unique natural features in the North Cascade Mountains" (North Cascades's Act, Oct. 2, 1968, 82 Stat. 926, 16 U.S.C. 90). North Cascades National Park contains three hydroelectric power plants operated by Seattle City Light that predate establishment of the Park. As part of the license agreement from the Federal Energy Regulatory Commission, mitigation elements were required. North Cascades Institute operates the residential North Cascades Environmental Learning Center, an 11.6 million dollar facility which is imbedded within NOCA as required by a Federal Energy Regulatory Commission (FERC) agreement with Seattle City Light, operator of three hydroelectric dams within NOCA. The Learning Center is one of the required mitigation elements for Seattle City Light's federal FERC license for continued operation of three hydroelectric reservoirs on the Skagit River. The NPS has, or is able to obtain, qualified personnel to conduct interpretive training, participate in related programs with a public purpose of support or stimulation of outdoor recreation, resource preservation, and appreciation, and recognizes the Institute as an educational organization. Discretionary appropriated funds shall be made available for Task Agreements on a case specific basis.

**Applicant Eligibility:**

The North Cascades Institute has a legal relationship with Seattle City Light to provide the facilities and programs that meet the requirements of the FERC to provide the learning center within North Cascades National Park Complex. Ability to provide qualified personnel to conduct training and develop programs for educational purposes in support of outdoor recreation, resource preservation and appreciation. Experience in cooperatively developing successful, cost-effective programs that meet both park and Institute educational and budgetary goals, including providing integrated educational programming.

**Beneficiary Eligibility:**

- General Public
- Education Professional
- Student/Trainee
- Graduate Student
- Scientists/Researcher
- Education(0-8)
- Education(9-12)
- Education(13+)
- Credentials/Documentation
- Sponsored Organization
- Public Nonprofit Institution/Organization
- Other Public Institution/Organization.

**Credentials/Documentation:**

Unique qualifications met by North Cascades Institutes. OMB Circular No. A-87 applies to this program.



**Preapplication Coordination:**

All funded projects will be developed collaboratively between the three partners and executed in accordance with availability of appropriations, application law and regulations including DOI Regulations regarding Financial Assistance awards at 43 CFR Part 12 and the National Environmental Policy Act (NEPA). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Projects will be documented in task agreements to be issued under the terms and conditions of a master Cooperative Agreement. Each project will include the appropriate documentation for a Financial Assistance award in accordance with National Park Service policy and regulation.

**Award Procedure:**

Projects will be selected based on criteria developed with the partners and as approved by the Superintendent, North Cascades. All awards will be made in accordance with Department of the Interior's Policy, Departmental Manual 505DM2 based upon Unique Qualifications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

In accordance with applicable law and regulation.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports, if any, shall be specified in each Task Agreement and DOI regulations (OMB Circular A-110 and the Common Rule 43 CFR Part 12, Subpart F, paragraphs 12.951 through 12.953, and 12.971 through 12.973) and subsequent modifications as implemented by OMB. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

NCI is recognized as a Nonprofit having 501(c)(3) status with the IRS, all applicable record keeping applies. The Cooperative Agreement and each task agreement will specify requirements, and all applicable regulatory record keeping applies.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 \$0; FY 12 est \$50,000; and FY 13 est \$50,000 - Request for Reimbursement schedules

vary depending on projects.

**Range and Average of Financial Assistance:**

Range: \$0

Average: \$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following OMB Circulars and other regulations will be incorporated by reference into the Cooperative Agreement: 1. (a) OMB Circular A-110, as codified by 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations." (b) OMB Circular A-122, "Cost Principles for Non-Profit Organizations." (c) OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." (d) 43 CFR Part 12, Subpart D, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." (e) 43 CFR Part 12, Subpart E, "Buy American Requirements for Assistance Programs." FAR Clause 52.203-12, Paragraphs (a) and (b), Limitation on Payments to Influence Certain Federal Transactions." 2. Non-Discrimination - All activities pursuant to this Agreement shall be in compliance with the requirements of Executive Order 11246; Title VI of the Civil Rights Act of 1964, as amended, (78 Stat. 252; 42 U.S.C. 2000d et seq.); Title V, Section 504 of the Rehabilitation Act of 1973, as amended, (87 Stat. 394; 29 U.S.C. 794); the Age Discrimination Act of 1975 (89 Stat. 728; 42 U.S.C. 6101 et seq.); and with all other federal laws and regulations prohibiting discrimination on grounds of race, color, sexual orientation, national origin, disabilities, religion, age, or sex. 3. Lobbying Prohibition - 18 U.S.C. 1913, Lobbying with Appropriated Moneys, as amended by Public Law 107-273, Nov. 2, 2002 - No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation; but this shall not prevent officers or employees of the United States or of its departments or agencies from communicating to any such Members or official, at his request, or to Congress or such official, through the proper official channels, requests for legislation, law ratification, policy, or appropriations which they deem necessary for the efficient conduct of the public business, or from making any communication whose prohibition by this section might, in the opinion of the Attorney General, violate the Constitution or interfere with the conduct of foreign policy, counter-intelligence, intelligence, or national security activities. Violations of this section shall constitute violations of section 1352(a) of title 31. 4. Anti-Deficiency Act - 31 U.S.C. 1341 - Nothing contained in this Agreement shall be construed as binding the NPS to expend in any one fiscal year any sum in excess of appropriations made by Congress for the purpose of this Agreement for that fiscal year, or other obligation for the further expenditure of money in excess of such appropriations. 5. Minority Business Enterprise Development - Executive Order 12432 - It is national policy to award a fair share of contracts to small and minority firms. The NPS is strongly committed to the objectives of this policy and encourages all recipients of its Cooperative Agreements to take affirmative steps to ensure such fairness by ensuring procurement procedures are carried out in accordance with 43 CFR 12.944 for Institutions of Higher Education; Hospital and other Non-Profit Organizations, and 43 CFR 12.76 for State and Local Governments.

**Regional or Local Office:**

See Regional Agency Offices. Charles Beall  
Chief of Interpretation and Education  
North Cascades National Park  
810 State Route 20  
Sedro-Woolley, WA 98284

360-854-7302  
Charles\_beall@nps.gov.

**Headquarters Office:**

Deanne Adams, National Park Service, Pacific West Regional Office, 1111 Jackson Street, Suite 700, Oakland, California 94607 Phone: (360) 854-7302.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be accomplished in cooperation with the three partners and be in accordance with established priorities. Funding source will be determine criteria for prioritization.

**15.943 CHALLENGE COST SHARE**

National Park Service Challenge Cost Share

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Cost Share Arrangements with Partners Public Law 103-333 (16 U.S.C. 1f).

**OBJECTIVES:**

To increase participation by qualified partners in the preservation and improvement of NPS natural, cultural, and recreational resources in all authorized Service programs and activities.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

This program supports small-scale partnership projects with units of the National Park System, NPS centers and program areas, and National Trails. All projects and activities receiving these funds must meet a minimum 50:50 match of cash, goods, or services from a non-Federal source. Applications must be approved by appropriate NPS park, program, center, or trails staff. The maximum CCS award is \$30,000. For more specific information contact the regional office.

**Applicant Eligibility:**

Applications are considered on a regional basis and are submitted by NPS park, center, or program staff for competitive selection by the Regional Directors. Applications must also contain a non-Federal partner. Non-Federal partners include.

**Beneficiary Eligibility:**

General public, trail system users, and organizations with conservation missions.

**Credentials/Documentation:**

Equal or greater eligible non-Federal contribution with appropriate letter(s) of partner commitment documenting match, and approval of supporting NPS unit, center, program, or trail staff. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Contact Regional/Trail offices for more specific application information. Some projects may be subject to the National Environmental Policy Act (NEPA). An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must complete an application. Applicants should contact the appropriate Regional or Trail office for information regarding more specific project selection requirements. All applications must be approved by the appropriate park, center, program or trails staff. Project

proposals are forwarded by parks, centers, program, and/or trail offices for competitive selection by the Regional Directors.

**Award Procedure:**

Project proposals received are forwarded by parks, centers, program, and/or trail offices for competitive selection by the Regional Directors. To be eligible for competitive evaluation, the applicant must meet the selection criteria as outlined in the Challenge Cost Share Program guidelines. Additional Regional criteria may apply. Within each region, projects will be ranked and rated. Available funding will be divided among the highest ranking projects. A Memorandum of Understanding (MOU) or the CCSP application can be used as the initial Partnership Agreement to establish the relationship and the intent of the partnership. If CCSP funds are transferred directly to a partner, a cooperative agreement or contract must be used. Direct procurement may be used if the award is used to purchase goods.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regional approval times vary. Contact the appropriate Regional or Trail office Challenge Cost Share Coordinator for more information.

**Appeals:**

Not Applicable.

**Renewals:**

For those projects for which (1) planned work has not been completed during the fiscal year for whatever reason; or (2) work was intended to be phased or staged, a project status from must be filed with the appropriate Regional or Trail office for continuation of the project. All awards are dependent on appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The non-Federal contribution(s) is at least 50% of the CCSP share and all costs detailed in the budget.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds must be used within the fiscal year during which they are allocated. Selected projects are intended to be completed within one year. A status report may be filed if a project is unable to be completed during the time allocated and projects funds can be extended into the next fiscal year. See the following for information on how assistance is awarded/released: Contact the headquarters or regional office.

**Reports:**

Regional Offices are expected to receive and maintain Project Completion Forms for all funded CCSP projects at their completion. Upon receipt, Regions are to ensure that the Form is complete and accurate. Copies of Project Completion Forms should be forwarded to the National CCSP Coordinator. A status report may be filed if a project is unable to be completed during the time allocated and projects funds can be extended into the next fiscal year. In cases where CCSP funds are awarded to develop publications, videos, pamphlets, displays, exhibits, and signs and/or the recipient disseminates the findings or products developed from the project in professional journals, books, film, videos, or conferences, a copy must be sent to the park, trail or program office; Regional Office; and National CCSP Coordinator as soon as these become available, even if they appear after completion of project work. Cash reports are not applicable. Progress reports are not applicable. The SF-425, Federal Financial Report interim and final are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project partners must provide a final listing of the matching share that was used to complete the assisted work. This includes records of cash contributions, donated supplies or loaned equipment, and volunteer services.

**Account Identification:**

14-1036-1-1-303.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$20,010; FY 12 est \$20,010; and FY 13 est \$20,010 - CCSP funds were requested in the Presidents budget; FY 12 No data available.

**Range and Average of Financial Assistance:**

Range: \$20,010 to \$20,010

Average: \$20,010.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Charlie Stockman National Park Service, National Challenge Cost Share Coordinator, 1201 Eye St., NW, 9th Floor -Org Code 2240, Washington, District of Columbia 20005 Email: charlie\_stockman@nps.gov Phone: 202) 354-6907 Fax: (202) 371-5179.

**Website Address:**

<http://www.nps.gov/ccsp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

1. **PROPOSED PROJECT MEETS A CRITICAL NEED:**The proposal must demonstrate that, if funded, the project will address a critical resource or visitor use management need or issue faced by the park, site or NPS program.
2. **PARTNER PARTICIPATION:** The proposal ensures and demonstrates active full support, partnership, and participation by non-NPS entities ensuring a strong collaborative effort. All parties involved in the project benefit from its completion with work potentially strengthening a cooperative relationship between NPS and the partner(s). New partnerships, innovative/creative partnerships and multi-partner projects are encouraged. NOTE: Supporting letters from potential partners must accompany the proposal to document their willingness to participate in the project if funded.
3. **TANGIBLE RESULTS:** The proposal adequately addresses the outcomes and products of the project, in addition, the quality and usefulness of the products are adequately described. Within reason, the project adheres to a one year time frame.
4. **COST EFFECTIVE:** The budget narrative details sufficient, necessary, and reasonably valued costs for materials and services to complete proposed work within the scheduled time frame.
5. **EQUAL OR GREATER ELIGIBLE NON-FEDERAL CONTRIBUTION:** The non-Federal contribution(s) is at least 50% of the CCSP share and all costs detailed in the budget narrative are directly related, necessary, eligible, and properly valued in accordance with 43 CFR 12. The contribution may be cash or in-kind.
6. **COMPLETE APPLICATION PACKAGE:** The application proposal must be complete.
7. **PROJECT COMPLETION FORM:** If applicable, the applicant has submitted a Project Completion Form or Project Status Form for a prior project. If one has not been received, or has been found unacceptable by the Regional Office CSSP Coordinator, then the proposal is not eligible for consideration for a new CCSP award until the deficiency is remedied.

8. **ADDITIONAL REGION-SPECIFIC SELECTION CRITERIA:** At a minimum, projects must meet the items listed above. However, Regional Directors may, at their discretion, develop additional criteria.

**15.944 NATURAL RESOURCE STEWARDSHIP****FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Consolidated Natural Resources Act of 2008, Title III Section 301, Public Law 110-229, 122 Stat. 754-876; Omnibus Consolidated Appropriations Act of 1997 Public Law 104-208, Stat. 3009-181; Cooperative Agreements, 16 U.S.C. 1g; Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333; Challenge Cost Share 16 U.S.C. 1f; Research and Training 16 U.S.C. 1a-2j; Cooperative Ecosystem Study Units 16 U.S.C. 5933.

**OBJECTIVES:**

As a steward of the Nation's natural and cultural heritage, the primary responsibility of the NPS is to preserve and protect park resources and values. The NPS actively manages and conducts research on natural resources in the national park system to meet its statutory responsibility to preserve these resources unimpaired for future generations.

The Natural Resource Stewardship program is the principle means through which the NPS evaluates and improves the health of watersheds, landscapes, and marine and coastal resources, sustains biological communities on the lands and waters in parks, and actively endeavors to improve the resiliency of these natural resources and adapt them to the effects of climate change.

The National Park Service (NPS) conducts natural resource stewardship largely at the park level, utilizing park personnel and contractor or cooperative support. To carry out and further this stewardship responsibility, the Service implements programs that encompass a broad range of research, operational, and educational activities. The NPS inventories, evaluates, documents, preserves, protects, monitors, maintains, and interprets the natural resources at 392 park units, 21 trails and 58 wild and scenic rivers. NPS stewardship helps to perpetuate resources and allows for their continued appreciation, understanding, and enjoyment.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds used for all aspects of natural resource (air, water, geological, biological) stewardship activities, including but not limited to resource inventories and monitoring, restoration projects, wildlife and plant management, and climate change mitigation and adaptation. The Secretary of Interior must determine that appropriations for the purpose of cooperative management of projects are available and an agreement is in the best interests of the United States. Funds may not be used for acquisition of real property. Contact the Headquarters Office for more information. Contact the Headquarters Office for more information.

**Applicant Eligibility:**

Applicant entity must have expertise in the contemplated resource management and/or research project.

**Beneficiary Eligibility:**

State and local governments, Federal recognized Indian Tribal governments, public/private nonprofit organizations, nonprofit institutions of higher education, and individuals.

**Credentials/Documentation:**

All organizations will be required to comply with the requirements provided in the specific Funding Opportunity Announcement and award document. If applying as a nonprofit organization, proof of nonprofit status will be required. Examples of prior work in technical areas related to management and research in natural areas is required. Each organization submitting an application will be required to follow the Grants.gov registration requirements including registration in the DUNS and CCR systems. The procedures are provided at [http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp). OMB Circular No. A-87

applies to this program.

**Preapplication Coordination:**

Preapplication coordination will be specified in the Funding Opportunity Announcement, if applicable. Environmental impact assessment or statement may be required for projects within this program. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application packages will be posted for an Eligible Applicant's response utilizing the <http://www.grants.gov> website. Upon receipt of timely submissions, applications will be reviewed by the NPS and may be circulated for others to review. Notification of Awards will be provided to applicants by issuance of a Cooperative Agreement by the Awarding Official within the time specified on the announcement. The standard application forms required by 43 CFR Part 12, Subparts C and F, must be used. Application packages will be made available on [www.Grants.gov](http://www.Grants.gov).

**Award Procedure:**

Timely submissions will be reviewed in relationship to the evaluation criteria specified in the opportunity announcement. Awards will be made in the form of a cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. NPS will make awards based on mission needs and priorities. Renewals are contingent upon available appropriations to the program.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Recipients share some project or program costs. The cost-sharing arrangements are developed between NPS and the recipients in advance of the program unless otherwise stated by Congress. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis. See the following for information on how assistance is awarded/released: Funds are released on a reimbursable basis as costs are incurred.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress Reports are required at a minimum annually and final progress reports. Specific requirements are indicated in the award documents and may vary for given programs. The SF 425 Federal Financial Report is required. Both interim and final reports are required as described in the award documents. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 and all other requirements specified in the Funding Opportunity Announcement and Cooperative Agreement.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$10,585,874; FY 12 est \$6,000,000; and FY 13 est \$5,500,000 - In FY 2010 the program was established so no obligations are available to report. FY11 first year the CFDA number used. FY 2012 obligation estimate is \$3,000,000.

**Range and Average of Financial Assistance:**

Range: \$1,650 to \$771,000

Average: \$79,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Department of the Interior regulations regarding financial assistance is 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Gary Mason, National Park Service, Natural Resources Science and Stewardship, 1201 Eye Street, Washington, District of Columbia 20006 Email: [gary\\_mason@nps.gov](mailto:gary_mason@nps.gov) Phone: (202) 513-7204.

**Website Address:**

<http://www.nature.nps.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria will be developed based on the objectives of individual projects and will be provided in Funding Opportunity Announcements. Generally, relevance to agency program mission and qualification of principle investigator and institution will be important to the acceptance of proposals.

**15.945 COOPERATIVE RESEARCH AND TRAINING PROGRAMS RESOURCES OF THE NATIONAL PARK SYSTEM**

Cooperative Ecosystem Studies Units (CESU) Network

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

TITLE 16 CONSERVATION; CHAPTER 79 - NATIONAL PARK SERVICE

MANAGEMENT; SUBCHAPTER II National Park System Resource Inventory and

Management; Sections 5932, Research Mandate; Sec. 5933, Cooperative Agreements, (a)

Cooperative Study Units; and Sec. 5935, Availability for Scientific Study; NPS Challenge

Cost Share 16 U.S.C. 1f; Research and Training 16 U.S.C. 1a-2j; Funding of Research

Agreements (43 U.S.C. 1471f); Cooperative Agreements, 16 U.S.C. 1g, Title II of the

1998 NPS Omnibus Act (P.L. 105-391).

**OBJECTIVES:**

To develop adequate, coordinated cooperative research, offer training programs and/or develop information products and to create, through cooperative agreements, cooperative study units to conduct multidisciplinary research to provide a solid science basis for the management of the National Park System or the larger region of which parks are a part as necessary to form the basis of sound park management. To establish cooperative study units to conduct multi-disciplinary research and develop integrated information products on the resources of the National Park System, or the larger region of which parks are a part. The establishment of a comprehensive network of such college and

university based cooperative study units as will provide full geographic and topical coverage for research on the resources contained in units of the National Park System and their larger regions. (16 USC 5933). To more effectively achieve the mission of the National Park Service; to enhance management and protection of national park resources by providing clear authority and direction for the conduct of scientific study in the National Park System and to use the information gathered for management purposes; to ensure appropriate documentation of resource conditions in the National Park System; to encourage others to use the National Park System for study to the benefit of park management as well as broader scientific value; to encourage the publication and dissemination of information derived from studies in the National Park System. The objectives of the units (cooperative ecosystem study units) are to: Provide resource managers with high-quality scientific research, technical assistance, and education; provide resource managers with solid natural resource information; deliver research and technical assistance that is timely, relevant to resource managers, and needed to develop and implement sound adaptive management approaches; ensure the independence and objectivity of research; create and maintain effective partnerships among federal agencies and universities to share resources and expertise; take full advantage of university resources while benefiting faculty and students; provide research, technical assistance, and educational functions within the context of cultural, social, biological, and physical sciences; enhance the ability of Federal natural and cultural resource managers to generate, acquire, synthesize, act upon, and articulate to the public sound research and scientific information; encourage professional development of federal scientists and enhance their ability to manage federal science resources efficiently.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use (Cooperative Agreements); Dissemination of Technical Information; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Administrative Requirements for Department of the Interior Financial Assistance Awards at 43 CFR Part 12, Subpart F must be followed. The Secretary of Interior must determine that appropriations for the purpose of cooperative management of projects are available and an agreement is in the best interests of the United States. Funds may not be used for acquisition of real property. Contact the Headquarters Office for more information. All awards require the application of the appropriate Cost Principles for Federal Financial Assistance, as specified for each type of organization. (2 CFR 220, 225, or 230). For further information, please contact the regional office.

**Applicant Eligibility:**

The CESU Network consists of colleges and universities, including but not limited to Land Grant schools, nongovernmental conservation organizations, state and local governments, and federally recognized American Indian tribal governments, in partnership with Federal natural resource and scientific agencies. State and local governments, federally recognized American Indian tribal governments, public/private nonprofit organizations, nonprofit institutions of higher education, and individuals. Applicant entity must have expertise in the contemplated scientific research, technical assistance, information dissemination, and educational functions within the context of cultural, social, biological, and physical sciences as applicable to park management. Prospective CESU Network nonfederal and federal partners follow a procedure which is outlined at the programs website.

**Beneficiary Eligibility:**

University faculty; federal employees by accessing increased opportunities for interdisciplinary, multi-agency research projects related to federal resource management issues; any entity which may, will, or can benefit from the contemplated activity; students, researchers, experts, and instructors as members of the general public.

**Credentials/Documentation:**

All organizations will be required to comply with the requirements provided in the specific Funding Opportunity Announcement and award document. If applying as a nonprofit organization, proof of nonprofit status will be required. Examples of prior work in technical areas related to management and research on public lands (e.g., National Park) may be required. Each organization submitting an application will be required to follow the Grants.gov registration

requirements including registration in the DUNS and CCR systems. The procedures are provided at: [http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination will be specified in the Funding Opportunity Announcement, if applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants, who wish to submit proposals for identified needs, will coordinate with the designated NPS CESU Research Coordinator. Opportunities will be announced in accordance with current policy and procedure of the NPS. Projects will be awarded as determined by the Secretary (generally through the project office or Superintendent) within the requirements of applicable existing bureau and agency regulation and policy. Cooperators will submit the required SF-424, Application for Federal Assistance and identify the entity and the project proposal in addition to a budget and SF-424B, Assurances for Federal Assistance.

**Award Procedure:**

Projects are identified and awarded based on priorities of the agency and available funding. Network partners may respond to a Funding Opportunity Announcement or Request for Interest. Timely submissions will be reviewed in relationship to the evaluation criteria specified in the opportunity announcement. Awards will be made in the form of a cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Determined based on project specific requirements.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. NPS will grant renewals based on mission needs, priorities, regulations, and Administrative Requirements. Renewals are contingent upon available appropriations to the program and need for further assistance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Some projects may be conducted on a predetermined cost share basis.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided on a project basis and available appropriations. A project may last from 3 months to 5 years. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

Unless otherwise specified in the award, additionally, all organizations will be required to submit yearly narrative summary accomplishment reports to the National Park Service at the end of each project year. All projects and activities are monitored for progress and compliance within the agreed upon scope of work. Cash reports are not applicable. Progress reports are not applicable. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of Standard Form 270, Request for Advance or Reimbursement, and a quarterly or annual submittal of Standard Form 425, the Financial Report. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12, Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. The Cooperator must maintain a complete detailed accounting system to report expenditures of funds and accomplishments achieved under the award. Records, accounts, and supporting documents must be retained for 3 years after submission for final request for reimbursement.

**Account Identification:**

14-1042-0-1-303 - NR&P; 14-1036-0-1-303 - Operation of the National Park System.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$22,054,684; FY 12 est \$34,126,876; and FY 13 est \$34,126,876

**Range and Average of Financial Assistance:**

Range: \$1,900 to 448,200  
Average: \$54,999.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12.

**Regional or Local Office:**

See Regional Agency Offices. <http://www.cesu.org>

Dr. Thomas E. Fish  
National Coordinator  
Cooperative Ecosystem Studies Units (CESU) Network  
1849 C Street NW, Room #2723  
Washington, DC 20240  
Email: [Tom\\_Fish@nps.gov](mailto:Tom_Fish@nps.gov)  
Phone: (202) 208-5972.

**Headquarters Office:**

(CESU) Network Dr. Thomas E. Fish  
National Park Service.  
Main Interior Building  
1849 C Street NW, Room #2737, Washington, District of Columbia 20240  
Email: [Tom\\_Fish@nps.gov](mailto:Tom_Fish@nps.gov) Phone: (202) 208-5972

**Website Address:**

<http://www.cesu.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific projects will have particular requirements. The criteria will be contained in the Funding Opportunity Announcements on [Grants.gov](http://Grants.gov). Criteria may include: ability to provide research, technical assistance and education; demonstrated involvement with and responsiveness to Federal agency and interagency requirements, particularly in the area of Federal land management, environmental and research agencies; demonstrated potential contribution to fostering multi-disciplinary/multi-agency research related to ecosystem management; demonstrated ability to contribute to fostering interdisciplinary research related to cultural resource management, including historic preservation and heritage education; potential contribution to increasing the diversity of the scientific workforce. Host University Criteria: research Extensive/Intensive University which meet current Carnegie Classification (i.e., research focus, Ph.D. and M.S. students) are qualified to serve as host

university; Involvement of faculty and graduate students in state-of-the-art research in disciplines relevant to ecosystem management, including biological, physical, social, and cultural sciences; ability to fully integrate Federal employee(s) into university activities (e.g., appropriate faculty appointments and equivalent support facilities, graduate committee memberships, opportunities for teaching advanced courses and seminars); ability to partner with at least one minority-serving institution; potential of the university to address significant ecosystem management issues and concerns of regional and national importance; ability to deliver research, technical assistance, and educational services to managers in multiple Federal land management, environmental and research agencies; access to critical resources (e.g., computing, GIS/remote sensing, library services, research laboratories, office space, etc.); focus on ecosystem-level issues and multi-disciplinary collaboration; potential of the university to provide complementary and needed research, technical assistance, and educational services to participating Federal agencies, and other characteristics relevant to regional and national science needs; inclusion as host or partner in the CESU no fewer than one of the following institutions: Historically Black College or University (HBCU), Predominantly Hispanic Serving Institution, Tribal College or University, or other post secondary minority institution; ability to attract minority students in graduate programs relevant to CESU; current programs to involve minority students in graduate programs relevant to the CESU; willingness to accept the network negotiated indirect cost rate by host, partner universities, and other partner institutions.

**15.946 CULTURAL RESOURCES MANAGEMENT**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Historic Sites Act 16 U.S.C.462e & 464; Archeological and Historic Preservation Act 16 U.S.C.469b1; National Historic Preservation Act 16 U.S.C.470a(b)6, 470w-7(b)2Biv, 470w-5(a), & 470a(d)4; Cooperative Agreements, 16 U.S.C. 1g; Omnibus Parks and Public Lands Management Act of 1996, Public Law 104-333; Research and Training 16 U.S.C. 1a-2j; Cost Sharing, 16 U.S.C. 1f; Omnibus Public Land Management Act of 2009, Public Law 111-11.

**OBJECTIVES:**

As a steward of the Nation's natural and cultural heritage, the primary responsibility of the NPS is to preserve and protect park resources and values. The NPS actively manages cultural resources in the national park system to meet its statutory responsibility to preserve these resources unimpaired for future generations.

The National Park Service (NPS) conducts cultural resource stewardship largely at the park level. To carry out and further this stewardship responsibility, the Service implements programs that encompass a broad range of research, operational, and educational activities. The NPS conducts: Research to identify, evaluate, document, register, and establish basic information about cultural resources and traditionally associated peoples; Planning to ensure that management processes for making decisions and setting priorities integrate information about cultural resources, and provide for consultation and collaboration with outside entities; and Stewardship to ensure that cultural resources are preserved and protected, receive appropriate treatments (including maintenance), and are made available for public understanding and enjoyment. This work is conducted at all units of the NPS and helps to perpetuate resources and allows for their continued appreciation, understanding, and enjoyment. The solicitation, award and administration of Cooperative Agreements is done on a project by project bases generally at the park level. Additionally, the National Park Service is authorized by Congress as the principal federal agency to lead the Nation's efforts in historic preservation, providing for the identification, documentation, registration of, treatment of, and preservation planning for, the nation's historic and cultural resources. The National Park Service is directed by Congress and the National Historic Preservation Act to administer programs and partnerships with State, Tribal, and Local governments and nonprofit organizations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified

Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funds used for all aspects of cultural resource stewardship activities, including but not limited to inventory, monitoring, research, rehabilitation, reconstruction, restoration, preservation, documentation, data recovery, education, and climate change mitigation and adaptation. The Secretary of Interior must determine that appropriations for the purpose of cooperative management of projects are available and an agreement is in the best interests of the United States. Funds may not be used for acquisition of real property. For further information, please contact the regional office.

**Applicant Eligibility:**

Generally, applicant entity must have expertise in the contemplated resource management and/or research project. Applicant eligibility will be specified in the Funding Opportunity Announcement, if applicable.

**Beneficiary Eligibility:**

State and local governments, Federal recognized Indian Tribal governments, nonprofit organizations, educational or scientific institutions, associations, individuals and in some cases corporations.

**Credentials/Documentation:**

Will be specified in the Funding Opportunity Announcement, if applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Projects are identified and awarded based on priorities of the agency and available funding. Will be specified in the Funding Opportunity Announcement, if applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally 30- 120 days.

**Appeals:**

Will be specified in the Funding Opportunity Announcement, if applicable.

**Renewals:**

Recipients may request renewal of existing projects or additional projects to meet program goals and objectives. NPS will make awards based on mission needs and priorities. Renewals are contingent upon available appropriations to the program, and applicable regulations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Recipients may share some project or program costs. The cost-sharing arrangements are developed between NPS and the recipients in advance of the program unless otherwise stated by Congress. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will be specified in the Funding Opportunity Announcement, if applicable. See the following for information on how assistance is awarded/released: Will be specified in the Funding Opportunity Announcement, if applicable.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Unless otherwise specified in the award, additionally, all organizations will be required to submit a yearly narrative summary accomplishment reports to the National Park Service at the end of each project year. Specific projects or activities for which funds are advanced shall be tracked and reported by submittal of, Standard Form 270, Request for Advance or Reimbursement, and a quarterly or annual submittal of Standard Form 425, the Financial Report . All projects and

activities are monitored for progress and compliance within the agreed upon scope of work and in accordance with 43 CFR Part 12. Specific requirements will be specified in the Funding Opportunity Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 and all other requirements specified in the Funding Opportunity Announcement and Cooperative Agreement.

**Account Identification:**

14-5140-0-2-303 - HPF; 14-1036-0-1-303 - Operation of the National Park System; 14-1042-0-1-303 - NR&P.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$9,111,530; FY 12 est \$14,819,094; and FY 13 est \$14,819,094

**Range and Average of Financial Assistance:**

Range: \$2,000 to \$4,923,720  
Average: \$126,549.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Stephanie Toothman U.S. Department of the Interior, Main Building, 1849 C Street NW, Room #2737 , Washington , District of Columbia 20240 Phone: 202 2087625

**Website Address:**

<http://www.nps.gov/history/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria will be developed based on the objectives of individual projects and will be provided in Funding Opportunity Announcements. Generally, relevance to agency program mission and qualification of principle investigator and institution will be important to the acceptance of proposals.

**15.947 BOSTON HARBOR ISLANDS PARTNERSHIP**

Boston Harbor Islands Partnership

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Boston Harbor Islands National Recreational Area 16 U.S.C. 460kkk(d); Boston Harbor Islands National Recreation Area to be Administered in Partnership - Boston Harbor islands National Recreation Area was established as a unit of the national park system by the Omnibus Parks and Public Lands Management Act of 1996 (P.L. 104-333), as amended. 16 U.S.C. 460 kkk (e)(2): Federal Operating Committee Established at Boston Harbor Islands - The Omnibus Parks and Public Lands Management Act of 1996 (P.L. 104-333), as amended. 16 U.S.C. 460 kkk (d): Cooperative Management of Lands Within

Boston Harbor Islands National Recreation Area - The omnibus Public Land Management Act of 2009 (P.L. 111-11) amends 16 U.S.C. 460kkk(d) NPS Challenge Cost Share 16 U.S.C. If; NPS Cooperative Agreements, 16 U.S.C. Ig.

**OBJECTIVES:**

That "the recreation area shall be administered in partnership by the Secretary [of the Interior], the Commonwealth of Massachusetts, City of Boston and its applicable subdivisions and others in accordance with the provisions of law generally applicable to units of the National Park System," including the NPS Organic Act. Improvement of access through use of public water transportation, provide education and visitor information programs regarding natural and cultural resources are specific objectives related to the management of the recreation area. The Partnership will coordinate the activities of federal, state, and local authorities and the private sector in the development and implementation plan. NPS may enter into a cooperative management agreements with certain management partners of the park to acquire from and provide to the partners goods and services for cooperative management of lands within the Park. Work collaboratively with Partnership agencies and interested entities to provide for safe visitor access, public information, youth programs, resource management and citizen science and scholarly research.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The Secretary may consult and enter into cooperative agreements with the Commonwealth of Massachusetts or its political subdivisions to acquire from and provide to the Commonwealth or its political subdivisions goods and services to be used in the cooperative management of lands within the recreation area, if the Secretary determines that appropriations for that purpose are available and the agreement is in the best interest of the United States. The Secretary is authorized, subject to the appropriation of necessary funds in advance, to construct essential administrative or visitor use facilities on non-Federal public lands within the recreation area. The Secretary shall provide the Partnership with such staff and the technical assistance as the Secretary, after consultation with the Partnership, considers appropriate to enable the partnership to carry out its duties. The Secretary may accept the services of personnel detailed from the Commonwealth of Massachusetts, any political subdivision of the Commonwealth or any entity represented on the Partnership. The Partnership may enter into cooperative agreements with the Commonwealth of Massachusetts, any political subdivision thereof, or with any organization or person for the purposes of carrying out the plan. Subject to DOI Regulations (43 CFR Part 12) and other policy on Financial Assistance, NPS Director's Order #20, NPS Agreements Handbook, and the park's enabling legislation. For further information, please contact the regional office.

**Applicant Eligibility:**

Eligible cooperators include: Members of the Boston Harbor Islands Partnership, and other public entities, education institutions, and private nonprofit organizations.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

As determined by project requirements. Each applicant will be required to have a DUNS number and be registered in the CCR at [www.ccr.gov](http://www.ccr.gov). OMB Cost Principles Circulars apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Consultation, coordination or assistance between the National Park Service (generally through Superintendent, Boston Harbor islands national park area) and the Partnership agencies or partners Will occur. Cooperators will submit SF 424, SF 424A, SF 424B and SF 424C and SF 424D when construction is involved in a project.

**Award Procedure:**

In accordance with programmatic authority, after project needs and requirements are developed, the National Park Service will issue the Partnership agency or partner a written agreement (Cooperative Agreement or Cooperative Management Agreement) for execution upon which the project can proceed. Department of the Interior policy allows projects that meet the criteria for single source opportunities to be issued by an agency. A Notice of Intent shall be placed on [www.grants.gov](http://www.grants.gov) to disclose the single source announcement and the criteria used to justify the noncompetitive award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

In accordance with applicable requirements for extensions and renewals under appropriate regulations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. There is no legislative requirements for matching in individual agreements unless required by a specific fund source which will then be made known. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Dependent on fund source and type of project. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. In accordance with DOI Financial Assistance regulations (43 CFR Part 12), cooperators are required to submit an annual narrative progress report. Specific requirements will be outlined in any award document. disbursement. In accordance with DOI Financial Assistance regulations (43 CFR Part 12), cooperators are required to submit a Federal Financial Report, SF 425, for all financial transactions. Specific requirements will be outlined in any award document. disbursement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are maintained in accordance with 43 CFR 12.951. The cooperator must maintain a complete, detailed accounting system to report expenditures of funds and accomplishments achieved under the agreements. Records, accounts and supporting documents must be retained for three years after submission for final request of.

**Account Identification:**

14-1039-0-1-303 - Construction; 14-1036-0-1-303 - Operation of National Park Service.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$263,657; FY 12 est \$263,657; and FY 13 est \$263,657

**Range and Average of Financial Assistance:**

Range \$19,200 to \$178,457

Average \$87,885.

**PROGRAM ACCOMPLISHMENTS:**



Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12. NPS and DOI policy on cooperative agreements, the park's enabling legislation; Other park information can be found on the park's website at [www.nps.gov/boha](http://www.nps.gov/boha) 16 USC 460kkk(i)(11) Donations notwithstanding any other provision of law, the partnership may seek and accept donations of funds, property, or services from individuals, foundations, corporations, and other private and public entities for the purpose of carrying out this section.

**Regional or Local Office:**

See Regional Agency Offices. Superintendent, Boston Harbor Islands National Park Area, 408 Atlantic Avenue, Boston, MA 02110.

**Headquarters Office:**

Superintendent Boston Harbor Islands National Park Area, 408 Atlantic Avenue, Boston, Massachusetts 02110 Phone: Contact Park Superintendent

**Website Address:**

<http://www.nps.gov/boha>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated on the basis of: appropriateness for cooperative management of the park; relationship to parks strategic plan and goals; clarity of project objectives including final product or result; and availability of funds.

**15.948 NATIONAL FIRE PLAN-WILDLAND URBAN INTERFACE COMMUNITY FIRE ASSISTANCE**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291; 16 USC 1f, NPS Challenge Cost Share.

**OBJECTIVES:**

To implement the National Fire Plan and assist communities at risk from catastrophic wildland fires by providing assistance in the following areas: Provide community programs that develop local capability including: assessment and planning, mitigation activities, and community and homeowner education and action; plan and implement hazardous fuels reduction activities, monitoring or maintenance associated with such hazardous fuels reduction activities, on federal land, or on adjacent nonfederal land for activities that mitigate the threat of catastrophic fire to communities and natural resources in high risk areas; enhance local and small business employment opportunities for rural communities; enhance the knowledge and fire protection capability of rural fire districts by providing assistance in education, and mitigation methods on a cost share basis.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Cooperative Agreements (Discretionary Grants); Dissemination of Technical Information; Provision of Specialized Services; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Hazard reduction activities are restricted to Federal lands, or adjacent nonfederal land for activities that benefit resources on Federal land. Assistance can be used to help the NPS support community based efforts addressing defensible space and fuels management issues; support outreach and education efforts associated with fuels management and risk reduction activities; and increase the effectiveness of rural fire protection. Funding is highly variable each fiscal year. For further information, please contact the regional office.

**Applicant Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations.

**Beneficiary Eligibility:**

States and local governments at risk as published in the Federal Register, Indian Tribes, public and private education institutions, nonprofit organizations.

**Credentials/Documentation:**

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; 2 CFR Part 225 (OMB Circular No. A-21 for educational institutions; 2 CFR 230 )OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits) excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Wildland Urban Interface community projects are reviewed at Region level and funding recommendations are made through each Regions annual work plan. Final budget approvals rest with the Regional Director or Park Unit Manager.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Award time varies depending on the type of complexity of the project.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. The program has no matching requirements, however, matching funds by the applicant are encouraged and those projects are more heavily weighted in the selection process. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No specific restrictions apply, however, most projects are funded on a year-to-year basis and funds are normally expended during the current fiscal year. See the following for information on how assistance is awarded/released: Frequency of recipient payment will be determined for each awarded assistance agreement at time of award.

**Reports:**

Unless otherwise stated in the award document, recipients are required to submit quarterly, semi-annual or annual performance reports 30 days following the end of the reporting period. For any grant or cooperative agreement that is terminated, transferred to a new grantee, or will not be extended, grantees must submit a final performance report 90 days after the end date of grant performance. Cash reports are not applicable. Progress reports are not applicable. Recipients are required to submit quarterly, SF-425, Federal Financial Reports 30 days following the end of the reporting period unless otherwise stated in the award document . A final SF-425 is required 90 days after the end date of grant performance. Performance monitoring is not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the Bureau. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to institutions of higher education and other nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$19,200; FY 12 est \$183,200; and FY 13 est \$183,200

**Range and Average of Financial Assistance:**

Range \$19,200 to \$19,200

Average \$19,200.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Information not available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable regulations and OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12.

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; 2 CFR Part 225 (OMB Circular No. A-21 for educational institutions); 2 CFR 230 )OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits) excluded from coverage under OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

NPS's wildland urban interface community assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate Regional Office or the National Interagency Fire Center's web site at: <http://www.nifc.gov>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

National Community Assistance Program Lead National Park Service , National Interagency Fire Center, 3833 S. Development Ave., , Idaho Phone: , Boise, Idaho 83705 Phone: (208) 387-5206

**Website Address:**

<http://www.forestsandrangelands.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select assistance proposals are based on their ability to reduce the risk of wildland fire to community values and to increase the capabilities of rural fire organizations, in the vicinity of Federal lands.

**15.949 NATIONAL FIRE PLAN - RURAL FIRE ASSISTANCE  
FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

Department of the Interior and Related Agencies Appropriations Act of 2005, Title I, Public Law 108-447. This program was first implemented in the Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291; 16 USC 1f, NPS Challenge Cost Share.

**OBJECTIVES:**

To implement the National Fire Plan by increasing firefighter safety and enhancing the knowledge and fire protection capability of rural fire departments by providing assistance in education and training, protective clothing and equipment purchase, and support to public education efforts on a cost share basis.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Cooperative Agreements (Discretionary Grants); Dissemination of Technical Information; Provision of Specialized Services; Training; Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Emphasis is placed on fire departments that protect rural communities and play a substantial cooperative role in the protection of the Department of the Interior managed public lands. For further information, please contact the regional office.

**Applicant Eligibility:**

State and local government, Public nonprofit institution/organizations, Other public institution/organization, Federally Recognized Indian Tribal Government, Private nonprofit institution/organization, Native American Organization, and rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface. All applicants must be rural fire departments serving a community with a population of 10,000 or less in the wildland/urban interface.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Other Public Institution/Organization, Federally Recognized Indian Tribal Government, Small Business, Profit Organization, Private Organization, Anyone/General Public, Native American Organization, Farmer/Rancher/Agriculture Producer, Homeowner, Land/Property Owner, Suburban, and Rural.

**Credentials/Documentation:**

The following criteria applies for a fire department to participate in the program: Statewide agreement with the State Forester, who maintains cooperative fire agreements with the rural fire department/volunteer fire department, or a cooperative fire agreement with an Interior Bureau; rural fire department serving a community with a population of 10,000 or less in the wildland/urban interface; and the funding request is limited to training, equipment, and prevention activities. The rural fire department must have the capability to meet cost share at a minimum of 10% which may include in-kind services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Rural Fire Assistance is coordinated through each State Forester and the Regional Office, or National Park unit. Procedures may be found on the National Interagency Fire Center website at: <http://www.nifc.gov/rfa/index.html>. No specific application forms apply, except for grants awarded, the standard application forms furnished by the Federal agency and required by 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", must be used by this program.

**Award Procedure:**

To ensure consistency within existing rural fire assistance programs, the

Department of the Interior bureaus work with the State Foresters and other Federal partners to ensure that funding is allocated in the amount of the award to qualified and suitable rural fire districts. Specific information will be provided at the local or regional office, as appropriate for application deadlines or visit the National Interagency Fire Centers website at: <http://www.nifc.gov/rfa/index.html>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Rural fire assistance projects are approved by the Bureau/Service/Park Unit in coordination with the State Forester and other Federal partners. Normally all grant requests are received and awards made during the same fiscal year.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: This program includes matching requirements. For example, rural fire departments must have the capability to meet cost share at a minimum of 10% which may include in kind services. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are funded on a single year basis and normally funds are expended during the fiscal year of the award. See the following for information on how assistance is awarded/released: For further information, please contact the regional office.

**Reports:**

No program reports are required. No cash reports are required. Performance monitoring schedules and/or progress reports will be developed in consultation with the applicant, but at a minimum will take place at least once during the life of a project, in accordance with 43 CFR Part 12, Department of the Interior regulations for Federal Financial Assistance. SF 425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to work performed and costs are kept by the recipient. There is no fixed records schedule. Records for grants awarded to State, Local and Indian Tribal Governments will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart C, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." Records for grants awarded to nonprofit organizations will be maintained in accordance with the provisions of 43 CFR Part 12, Subpart F, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations".

**Account Identification:**

14-1125-0-1-302.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$55,500; FY 12 est \$55,500; and FY 13 est \$55,500

**Range and Average of Financial Assistance:**

Range \$18,500 to \$37,000

Average \$18,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No information available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable regulations and OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12.

For grants awarded, cost will be determined in accordance with OMB Circular No. A-87 for State and Local Governments; OMB Circular No. A-21 for educational institutions; OMB Circular No. A-122 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

The Department of the Interior's rural fire assistance program is guided by the provisions of the National Fire Plan. A variety of public information on this plan is available by contacting the appropriate Bureau/Service Office or the National Interagency Fire Center website at: <http://www.nifc.gov/rfa/index.html>.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses.

**Headquarters Office:**

National RFA Program Lead National Park Service, National Interagency Fire Center, 3833 S. Development Ave, Boise, Idaho 83705 Phone: (208) 387-5200

**Website Address:**

<http://www.nifc.gov/rfa/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for ranking eligible Rural Fire Departments, relative to other applicants, for funding allocation are: The fire department's frequency of responses to wildland/urban fire incidents in the local area; the fire department's wildland prevention and education program needs; the fire department's training program needs; the communities and Department of the Interior's values to be protected; the percentage of wildland/urban lands; and the number of wildland fire engines in the department relative to the percentage of wildland/urban interface acres protected.

**15.954 NATIONAL PARK SERVICE CONSERVATION, PROTECTION, OUTREACH, AND EDUCATION**

**FEDERAL AGENCY:**

National Park Service, Department of the Interior

**AUTHORIZATION:**

16 U.S.C. 1g Cooperative Agreements, Title 16 Conservation, Chapter 1 National Parks, Military Parks, Monuments, and Seashores, Subchapter 1 National Park Service, Section 1g Cooperative Agreements.

**OBJECTIVES:**

To support projects complementary to National Park Service program efforts in resource conservation and protection, historical preservation and environmental sustainability. These projects may include but are not limited to research, education, outdoor recreation and community outreach and safety. The objectives include promoting the use of culturally diverse resources and environmental advocacy in collaboration and cooperation with state, tribal, and local governments, nonprofit organizations and educational institutions.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Applications must be for projects within the National Park Service area of responsibility. The Secretary of the Interior must determine that appropriations

for the purpose of cooperative management of projects are available and an agreement is in the best interests of the United States. Funds may not be used for acquisition of real property. Contact Headquarters Office for more information.

**Applicant Eligibility:**

State, local and tribal governments, other public entities, educational institutions, and nonprofit organizations may submit an application for support. Due to limited availability of funds to support new external projects, consultation with NPS is strongly recommended prior to submission of applications.

**Beneficiary Eligibility:**

Profit organizations, public nonprofit institutions/organizations, private nonprofit institutions/organizations, and State, local and tribal governments, industry and public decision makers, research scientists, engineers, and the general public will ultimately benefit from knowledge gained under the program.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed project. Costs will be determined in accordance with 2 CFR Part 225 for State, local, and Indian Tribal governments; 2 CFR Part 220 for educational institutions; 2 CFR Part 230 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private firms, individuals, and other nonprofits excluded from coverage under 2 CFR 230. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102; 2 CFR Parts 215, 220, 225, and 230 apply to this program. These are typically individually evaluated and funded projects; there is no annual program announcement, prospectus or other invitation for applications. The standard application form SF 424 and other forms required by OMB Circular No. A-102 and 2 CFR Part 215, or their successor(s), and the Department of the Interior regulation at 43 CFR Part 12, Subparts C and D, or its revisions. The application requirements as contained in the announcement package and the above regulations must be used for this program. Applications may be submitted through the internet site <http://www.grants.gov> or as instructed by the Contracting Officer/Agreements Officer

**Award Procedure:**

Notification of an award is by receipt of a Cooperative Agreement from a National Park Service Contracting Officer/Agreements Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 30-120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Recipients may share some project or program costs. The cost-sharing arrangements are developed between NPS and the recipients in advance of the program unless otherwise stated by Congress. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements will normally be awarded in, but not restricted to, 12 month budget periods. See the following for information on how assistance is awarded/released: Recipients request payment or draw down as needed

throughout the award period in accordance with the approved budget for immediate needs.

**Reports:**

No program reports are required. No cash reports are required. In accordance with the provisions of 2 CFR Part 215 and OMB Circular No. A-102. In accordance with the provisions of 2 CFR Part 215 and OMB Circular No. A-102. In accordance with the provisions of 2 CFR Part 215 and OMB Circular No. A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients will maintain records in accordance with the provisions of 43 CFR Part 12 and all other requirements specified in the Funding Opportunity Announcement and Cooperative Agreement.

**Account Identification:**

14-1036-0-1-303.

**Obligations:**

(Cooperative Agreements) FY 11 \$12,523,542; FY 12 est \$11,500,000; and FY 13 est \$11,500,000

**Range and Average of Financial Assistance:**

Range: \$0 to \$1,215,000 - Average: \$19,792.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A total of 163 awards were made in FY11. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients of awards will comply with the applicable regulations and OMB Circular and DOI Regulations governing Financial Assistance awards at 43 CFR Part 12.

For Cooperative Agreements awarded, cost will be determined in accordance with 2 CFR 225 for State and Local Governments; 2 CFR 220 for educational institutions; 2 CFR 230 for nonprofit organizations; and Federal Acquisition Regulation Subpart 31.2 for private foundations, firms, individuals, and other nonprofits excluded from coverage under OMB Circular No. A-122.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Elizabeth Walden National Park Service, 12795 W. Alameda Parkway, Lakewood, Colorado 80228 Phone: 303-987-6739

**Website Address:**

<http://www.nps.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria will be developed based on the objectives of individual projects and will be provided in Funding Opportunity Announcements. Generally, relevance to agency program mission and qualification of principle investigator and organization will be important to the acceptance of the proposals.

**15.978 UPPER MISSISSIPPI RIVER SYSTEM LONG TERM RESOURCE MONITORING PROGRAM**

LTRMP

**FEDERAL AGENCY:**

U.S. Geological Survey, Department of the Interior

**AUTHORIZATION:**

Water Resources Development Act of 1986, Public Law 99-662, Section 1103, 33 U.S.C. 652.

**OBJECTIVES:**

To provide decision makers with information needed to maintain the Upper Mississippi River System (UMRS) as a sustainable large river ecosystem given its multiple-use character. Congress has declared the UMRS to be both a nationally significant ecosystem and a nationally significant commercial navigation system. The long-term goals of the LTRMP are to: understand the UMRS ecosystem, monitor trends and effects with respect to selected resources, develop resource management alternatives, manage information, and develop useful products.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Cooperative Agreements are entered into for the purpose of conducting resource monitoring and research as specified in the LTRMP Operations Plan and for other activities to carry out the purposes of the Water Resources Development Act of 1986. For further information, please contact the regional office.

**Applicant Eligibility:**

State agencies stipulated in the Water Resources Development Act of 1986 (Public Law 99-662) are eligible to apply.

**Beneficiary Eligibility:**

UMRS State, Federal, and private natural resource managers, users, and the general public.

**Credentials/Documentation:**

Proposals must furnish evidence of the applicant's qualifications for performance of the proposed activity. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application form Standard Form (SF) 424, 424-A, and 424-B. The States of Illinois, Iowa, Minnesota, Missouri, and Wisconsin; the Upper Mississippi River Basin Association; or any other agency established under paragraph (d)(1) of the Water Resources Development Act of 1986, Public Law 99-662 are exempt from the application procedures by virtue of the Act. Applications may be submitted only through the internet site <http://www.grants.gov>.

**Award Procedure:**

Notification of an award is by receipt of a grant or cooperative agreement from a U.S. Geological Survey contracting officer through FedConnect (<https://www.fedconnect.net/FedConnect/>).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

The LTRMP is a permanent program. Agreements may be renewed on an annual basis dependent upon funding availability.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements will be awarded in 12-month budget periods. Funds are released as required. See the following for information on how assistance is awarded/released: Recipients request payment as needed throughout the award period.

**Reports:**

Annual and final technical reports, as well as other products, are required and must be submitted as described in the award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Annual and final financial reports are required and must be submitted as described in the award terms and conditions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records shall be retained and made available for audit for three years after submission of the final financial report.

**Account Identification:**

14-0804-0-1-306.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$2,666,759; FY 12 est \$2,469,275; and FY 13 est \$2,408,938

**Range and Average of Financial Assistance:**

\$330,778 to \$718,138; average \$443,156.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, 6 cooperative agreements were made to support the LTRMP. Fiscal Year 2012: Not Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 99-662, Section 1103, as amended. Information regarding LTRMP publications may be found at the web site address.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries regarding the LTRMP may be addressed to the Upper Midwest Environmental Sciences Center, 2630 Fanta Reed Road, La Crosse, Wisconsin 54603, POC: Michael Jawson, Center Director, (608) 781-6221, Fax: (608) 783-6066, E-mail: [Linda\\_Leake@usgs.gov](mailto:Linda_Leake@usgs.gov); or Thomas S. Kelly, Management Analyst, (608) 781-6229, Fax: (608) 783-6066, E-mail: [Tom\\_Kelly@usgs.gov](mailto:Tom_Kelly@usgs.gov); UMESC web site address, <http://www.umesc.usgs.gov>.

**Headquarters Office:**

None None, None, Non-U.S. None Phone: None

**Website Address:**

<http://www.usgs.gov/ltrmp.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: To date, cooperative agreements and amendments in the amount of approximately \$53,887,544 have been granted to States, universities, and other recipients to conduct resource (fisheries, water quality, invertebrate, vegetation) monitoring and research of the Upper Mississippi River System. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The States of Illinois, Iowa, Minnesota, Missouri, and Wisconsin, and their institutions and agencies; States, universities, and others having expertise and experience conducting monitoring and research of the Upper Mississippi River

System; States, universities, and others having expertise and experience conducting monitoring and research of large, impounded river systems.

## DEPARTMENT OF JUSTICE

### 16.001 LAW ENFORCEMENT ASSISTANCE\_NARCOTICS AND DANGEROUS DRUGS\_LABORATORY ANALYSIS

#### FEDERAL AGENCY:

Drug Enforcement Administration, Department of Justice

#### AUTHORIZATION:

Comprehensive Drug and Abuse Prevention and Control Act of 1970.

#### OBJECTIVES:

To provide technical assistance to duly constituted state, county, and municipal law enforcement agencies regarding specialized forensic examinations involving drug evidence.

#### TYPES OF ASSISTANCE:

PROVISION OF SPECIALIZED SERVICES

#### USES AND USE RESTRICTIONS:

DEA laboratories will conduct specialized forensic chemical analysis and examinations involving drug evidence for duly constituted state, county, and municipal law enforcement agencies on an as needed basis, in accordance with DEA policy and procedures. This service supplements but does not replace services provided by state, county, or municipal laboratories. The agencies/laboratories requesting the service must not have the capability of conducting the examination(s) requested. Examinations are made with the understanding that the evidence is connected with an official investigation of a criminal matter related to the mission of the DEA, and that the resulting laboratory report will be used only for official purposes related to the investigation or subsequent prosecution. Laboratory services and follow-up court testimony, if required, will be provided free of cost to agencies. DEA will assist state, county, and municipal agency laboratories with the training of their forensic chemists, as necessary and where appropriate. NOTE: THIS IS NOT A GRANT PROGRAM. NO FUNDING IS AVAILABLE.

#### Applicant Eligibility:

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

#### Beneficiary Eligibility:

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

#### Credentials/Documentation:

A formal written request is required from an appropriate official of the requesting law enforcement agency. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter on official letterhead to the Director of the DEA Laboratory which services the regional area where the agency is located; or to DEA Headquarters, Washington, DC 20537; Attn: Deputy Assistant Administrator, Office of Forensic Sciences.

#### Award Procedure:

Note: This is not a grant program. No funding is available.

#### Deadlines:

Not Applicable.

#### Range of Approval/Disapproval Time:

Not Applicable.

#### Appeals:

Not Applicable.

#### Renewals:

Not Applicable.

#### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### Length and Time Phasing of Assistance:

None. See the following for information on how assistance is awarded/released:  
None.

#### Reports:

No reports are required.

#### Audits:

No audits are required for this program.

#### Records:

None.

#### Account Identification:

15-1100-0-1-751.

#### Obligations:

(Salaries) FY 11 \$4,915,033; FY 12 est \$4,160,225; and FY 13 est \$4,277,553.  
(Salaries) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

#### Range and Average of Financial Assistance:

No Data Available.

#### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

#### Regional or Local Office:

See Regional Agency Offices. Please contact the field laboratories of the DEA; see Appendix IV of the catalog for a list of addresses.

#### Headquarters Office:

Office of Forensics Sciences 8701 Morrisette Drive, Springfield, Virginia  
22152 Phone: (202) 307-8866

#### Website Address:

<http://www.dea.gov>.

#### RELATED PROGRAMS:

16.301 Law Enforcement Assistance\_FBI Crime Laboratory Support

#### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

#### CRITERIA FOR SELECTING PROPOSALS:

Not Applicable.

### 16.003 LAW ENFORCEMENT ASSISTANCE\_NARCOTICS AND DANGEROUS DRUGS TECHNICAL LABORATORY PUBLICATIONS

(Microgram)

#### FEDERAL AGENCY:

Drug Enforcement Administration, Department of Justice

#### AUTHORIZATION:

Comprehensive Drug Abuse Prevention and Control Act of 1970.

#### OBJECTIVES:

To disseminate scientific information on the detection and analysis of narcotics and dangerous drugs.

#### TYPES OF ASSISTANCE:

DISSEMINATION OF TECHNICAL INFORMATION

#### USES AND USE RESTRICTIONS:

To provide current information on detection and analysis of narcotics and dangerous drugs.

#### Applicant Eligibility:

Forensic laboratories or scientists doing work for law enforcement agencies.

**Beneficiary Eligibility:**

Forensic laboratories or scientists doing work for law enforcement agencies.

**Credentials/Documentation:**

The applicant must apply on official letterhead of a law enforcement agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter on official letterhead to DEA Headquarters, DC 20537; ATTN: Deputy Assistant Administrator, Office of Forensic Sciences.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-1100-0-1-751.

**Obligations:**

(Salaries) FY 11 \$900; FY 12 est \$900; and FY 13 est \$900

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Office of Forensic Sciences 8701 Morrisette Drive, Springfield, Virginia  
22152 Phone: (202) 307-8866

**Website Address:**

<http://www.dea.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.004 LAW ENFORCEMENT ASSISTANCE\_NARCOTICS AND DANGEROUS DRUGS TRAINING**

**FEDERAL AGENCY:**

Drug Enforcement Administration, Department of Justice

**AUTHORIZATION:**

Comprehensive Drug Abuse Prevention and Control Act of 1970.

**OBJECTIVES:**

To acquaint appropriate professional and enforcement personnel with (1) techniques in the conduct of drug investigations; (2) aspects of physical security in legitimate drug distribution; (3) techniques in analysis of drugs for evidential purpose; (4) pharmacology, socio-psychological aspects of drug abuse, drug education, and; (5) management and supervisory training for drug unit Commanders.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

For use by accredited members of agencies or organizations involved in the control of drug abuse or regulation of the drug industry.

**Applicant Eligibility:**

State, local, military, and other Federal law enforcement and regulatory officials; crime laboratory technicians and forensic chemists.

**Beneficiary Eligibility:**

State, local, military, and other Federal law enforcement and regulatory officials; crime laboratory technicians and forensic chemists.

**Credentials/Documentation:**

The applicant must furnish suitable credentials. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Made in the form of a letter or a pre- printed application to the Divisional Office in the area or to the DEA Office of Training.

**Award Procedure:**

By written communication to applicant (teletype, letter, etc).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-1100-0-1-751.

**Obligations:**

(Salaries) FY 11 \$2,332,232; FY 12 est \$1,436,809; and FY 13 est \$1,436,809.  
(Training) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See the list of regional offices of the DEA in the Catalog address Appendix IV.

**Headquarters Office:**

Office of Training P.O. Box 1475, Quantico, Virginia 22134-1475 Phone: (703) 632-5141 Fax: (703) 632-5167

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.013 VIOLENCE AGAINST WOMEN ACT COURT TRAINING AND IMPROVEMENT GRANTS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 105, Public Law 109-162, 42 U.S.C. 14043a.

**OBJECTIVES:**

To improve court responses to adult and youth domestic violence, dating violence, sexual assault, and stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following statutory program purposes: (1) improved internal civil and criminal court functions, responses, practices, and procedures; (2) education for court-based and court-related personnel on issues relating to victims' needs, including safety, security, privacy, confidentiality, and economic independence, as well as information about perpetrator behavior and best practices for holding perpetrators accountable; (3) collaboration and training with Federal, State, tribal, territorial, and local public agencies and officials and nonprofit, nongovernmental organizations to improve implementation and enforcement of relevant Federal, State, tribal, territorial, and local law; (4) enabling courts or court-based or court-related programs to develop new or enhance current -- (A) court infrastructure (such as specialized courts, dockets, intake centers, or interpreter services); (B) community-based initiatives within the court system (such as court watch programs, victim assistants, or community-based supplementary services); (C) offender management, monitoring, and accountability programs; (D) safe and

confidential information-storage and -sharing databases within and between court systems; (E) education and outreach programs to improve community access, including enhanced access for underserved populations; and (F) other projects likely to improve court responses to domestic violence, dating violence, sexual assault, and stalking; and (5) providing technical assistance to Federal, State, tribal, territorial, or local courts wishing to improve their practices and procedures or to develop new programs.

**Applicant Eligibility:**

Federal, State, tribal, territorial, or local courts or court-based programs; and national, State, tribal, territorial, or local private, nonprofit organizations with demonstrated expertise in developing and providing judicial education about domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Courts and nonprofit organizations.

**Credentials/Documentation:**

Applicants must certify in writing that: (A) any courts or court-based personnel working directly with or making decisions about adult or youth parties experiencing domestic violence, dating violence, sexual assault, and stalking have completed or will complete education about domestic violence, dating violence, sexual assault, and stalking; (B) any education program developed under section 14043 of this title has been or will be developed with significant input from and in collaboration with a national, tribal, State, territorial, or local victim services provider or coalition; and (C) the grantee's internal organizational policies, procedures, or rules do not require mediation or counseling between offenders and victims physically together in cases where domestic violence, dating violence, sexual assault, or stalking is an issue. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the [grants.gov](http://grants.gov) portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by



contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Information regarding length of awards will be included in an annual solicitation for the program. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$2,500,977; FY 12 est \$2,607,255; and FY 13 est \$2,607,255

**Range and Average of Financial Assistance:**

Range: \$50,000 - \$ 341,054

Average: \$227,362.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY11:

40 applications

11 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.015 MISSING ALZHEIMER'S DISEASE PATIENT ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act, 2009, Public Law 111-8.

**OBJECTIVES:**

This program provides funds for projects that aid in the protection and location of missing persons living with Alzheimers disease and related dementias and other missing elderly individuals. It is currently estimated that 5.3 million people in the United States alone are living with Alzheimers disease or some form of dementia. Over 60 percent (3.1 million individuals) of those with dementia will wander at some point. More than 50 percent of those who wander become lost and separated from their loved ones. Law enforcement agencies often expend resources searching for missing persons with Alzheimers disease, and if not found quickly, they are at high risk of serious injury or even death. In addition, law enforcement officers may not be trained or equipped to handle the special needs of those with Alzheimers, once they are found.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Applications are solicited for projects, pursuant to Congressional appropriations, that may include one or more of the following: (1) Develop or enhance local and national outreach programs to increase awareness among law enforcement agencies and the public in addressing the needs of missing persons with Alzheimers disease; (2) Develop and/or implement a process for aiding in the location of lost persons with Alzheimers disease; and/or (3) Provide training and substantive informational material to law enforcement agencies through a national or regional initiative.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

An award is granted by the Assistant Attorney General, Office of Justice Programs, and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Grants can be extended by submitting a written justification for an extension to the Bureau of Justice Assistance office for review. Extensions are subject to approval by the Bureau of Justice Assistance and renewals of congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration period will be up to 18 months. The project start date should be on or after October 1, 2011. See the following for information on how assistance is awarded/released: Contact BJA for further assistance.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress Reports which consist of semi-annual program progress reports. Quarterly Financial Reports are required. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

All grantees are required to establish and maintain accounting systems and financial records in order to account for funds awarded to them.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$1,656,680; FY 12 est \$1,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

BJA may make one or more awards under this category.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Pamela Cammarata Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
AskBJA@usdoj.gov Phone: (202) 616-6500

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.016 CULTURALLY AND LINGUISTICALLY SPECIFIC SERVICES PROGRAM**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005; Title I, Section 121, Public Law 109-162, 42 U.S.C. 14045a.

**OBJECTIVES:**

To enhance culturally specific services for victims of domestic violence, dating violence, sexual assault, and stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds shall be used for the following statutory program purposes: (A) working with State and local governments and social service agencies to develop and enhance effective strategies to provide culturally and linguistically specific services to victims of domestic violence, dating violence, sexual assault, and stalking; (B) increasing communities' capacity to provide culturally and linguistically specific resources and support for victims of domestic violence, dating violence, sexual assault, and stalking crimes and their families; (C) strengthening criminal justice interventions, by providing training for law enforcement, prosecution, courts, probation, and correctional facilities on culturally and linguistically specific responses to domestic violence, dating violence, sexual assault, and stalking; (D) enhancing traditional services to victims of domestic violence, dating violence, sexual assault, and stalking through the leadership of culturally and linguistically specific programs offering services to victims of domestic violence, dating violence, sexual assault, and stalking; (E) working in cooperation with the community to develop education and prevention strategies highlighting culturally and linguistically specific issues and resources regarding victims of domestic violence, dating violence, sexual assault, and stalking; (F) providing culturally and linguistically specific programs for children exposed to domestic violence, dating violence, sexual assault, and stalking; (G) providing culturally and linguistically specific resources and services that address the safety, economic, housing, and workplace needs of victims of domestic violence, dating violence, sexual assault, or stalking, including emergency assistance; or (H) examining the dynamics of culture and its impact on victimization and healing.

**Applicant Eligibility:**

Community-based programs whose primary purpose is providing culturally and linguistically specific services to victims of domestic violence, dating violence, sexual assault, and stalking; and community-based programs whose primary purpose is providing culturally and linguistically specific services who can partner with a program having demonstrated expertise in serving victims of domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Community and faith-based programs.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and parts 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be two years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$7,071,089; FY 12 est \$5,830,425; and FY 13 est \$5,830,425

**Range and Average of Financial Assistance:**

Range: \$18,840-450,000  
Average: \$294,629.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY11:  
128 applications  
24 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.017 SEXUAL ASSAULT SERVICES FORMULA PROGRAM**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005; Title I, Section 121, Public Law 109-162, 42 U.S.C. 14045a.

**OBJECTIVES:**

To increase intervention, advocacy, accompaniment, support services, and related assistance for adult, youth, and child victims of sexual assault; family and household members of such victims; and those collaterally affected by the victimization, except for the perpetrator of such victimization.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are for intervention and related assistance to victims of sexual assault, including: (i) 24-hour hotline services providing crisis intervention services and referral; (ii) accompaniment and advocacy through medical, criminal justice, and social support systems, including medical facilities, police, and court proceedings; (iii) crisis intervention, short-term individual and group support services, and comprehensive service coordination and supervision to assist sexual assault victims and family or household members; (iv) information and referral to assist the sexual assault victim and family or household members; (v) community-based, linguistically and culturally specific services and support mechanisms, including outreach activities for underserved communities; and (vi) the development and distribution of materials on issues related to the services described in clauses (i) through (v).

**Applicant Eligibility:**

Eligible applicants are States and territories.

**Beneficiary Eligibility:**

Beneficiaries are rape crisis centers and other nonprofit, nongovernmental organizations including community and faith-based organizations.

**Credentials/Documentation:**

Each application submitted under this program shall-- (i) set forth procedures designed to ensure meaningful involvement of the State or territorial sexual assault coalition and representatives from underserved communities in the development of the application and the implementation of the plans; (ii) set forth procedures designed to ensure an equitable distribution of grants and grant funds within the State or territory and between urban and rural areas within such State or territory; (iii) identify the State or territorial agency that is responsible for the administration of programs and activities; and (iv) meet other such requirements as the Attorney General reasonably determines are necessary to carry out the purposes and provisions of this section. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for

coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and parts 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

OVW will make awards for at least one year. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Formula Grants) FY 11 \$9,827,942; FY 12 est \$14,950,000; and FY 13 est \$14,950,000

**Range and Average of Financial Assistance:**

Range: \$12,678 - \$437,011

Average: 178,690.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.100 DESEGREGATION OF PUBLIC EDUCATION**

Education Section

**FEDERAL AGENCY:**

Civil Rights Division, Department of Justice

**AUTHORIZATION:**

Civil Rights Act of 1964, as amended, Title IV, Public Law 88-352, 42 U.S.C. 2000(c), Title VI, 42 U.S.C. 2000(d), Title IX, 42 U.S.C. 2000(h-2); Equal Educational Opportunities Act of 1974 (EEOA), Public Law 93-380, 20 U.S.C. 1701, et seq.; Education Amendments of 1972, Title IX, Public Law 92-318, 20 U.S.C. 1681 Rehabilitation Act of 1973, 29 USC 749 et seq.; Titles II and III of the Americans with Disabilities Act (ADA), 42 USC 12131 et seq.

**OBJECTIVES:**

To secure equal educational opportunity for persons regardless of race, color, religion, sex, national origin, or disability.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The Justice Department may go to court to obtain an order to desegregate a public school (elementary or secondary levels) or public college. The Attorney General may initiate legal proceedings to further orderly desegregation upon receiving a meritorious written complaint from (1) any parent or group of parents whose minor children are being deprived by a school board of equal protection of the laws; or (2) any individual or parent of an individual who has been denied admission to or not permitted to continue in attendance at a public college or university because of race, color, religion, sex or national origin. The Attorney General must certify that the suit will materially further the orderly process of desegregation. The Attorney General may also intervene in any case in which the plaintiff alleges a denial of equal protection of the law on the basis of race, color, religion, sex, or national origin. In addition, the Attorney General may litigate Title VI, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973 referrals received from the Department of Education and other federal agencies to vindicate the rights of individuals excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity receiving Federal financial assistance on account of their race, color, sex, national origin, or disability. Under these statutes and Title IV of the 1964 Civil Rights Act, the Attorney General may go to court to challenge educational institutions discriminatory responses to student harassment on these protected bases. The Attorney General may also go to court to ensure that state and local education agencies take appropriate steps to overcome language barriers that impede equal participation in instructional programs pursuant to the EEOA. The Attorney General has authority to enforce Title II of the ADA against state and local government entities, including public schools, and to enforce Title III of the ADA against public accommodations. EOS shares that enforcement authority with the Disability Rights Section.

**Applicant Eligibility:**

A parent or group of parents in the case of public elementary and secondary schools under Title IV and Title II of the ADA. An individual or his/her parents in the case of a public college under Title IV and Title II of the ADA. A student or his/her parents in the case of a state or local education agency under the EEOA. A student or his/her parent(s) in the case of education programs or activities receiving Federal financial assistance under Title VI, Title IX, and Section 504 of the Rehabilitation Act. A student or his/her parent(s) in the case of public accommodations under Title III of the ADA.

**Beneficiary Eligibility:**

A student, parent, or group of parents in the case of public elementary and secondary schools under Title IV and Title II of the ADA. An individual or his/her parents in the case of a public college under Title IV and Title II of the ADA. A student or his/her parents in the case of a state or local education agency under the EEOA. A student or his/her parent(s) in the case of education programs or activities receiving Federal financial assistance under Title VI, Title IX, and Section 504 of the Rehabilitation Act. A student or his/her parent(s) in the case of public accommodations under Title III of the ADA.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries) FY 11 \$7,365,000; FY 12 est \$6,467,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

28 CFR 0.50; Civil Rights Act of 1964; Summary of the Civil Rights Act of 1964.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice Rights Division, Educational Opportunities Litigation Section, Washington, District of Columbia 20530 Phone: (202) 514-4092.

Contact: Office

**Website Address:**

<http://www.usdoj.gov/crt/edo/index.html>.

**RELATED PROGRAMS:**

16.200 Community Relations Service; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 84.004 Civil Rights Training and Advisory Services; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.101 EQUAL EMPLOYMENT OPPORTUNITY**

Employment Section

**FEDERAL AGENCY:**

Civil Rights Division, Department of Justice

**AUTHORIZATION:**

Civil Rights Act of 1964, Title VII, 42 U.S.C. 2000(e), as amended; Executive Order 11246, September 24, 1965; Reorganization Plan No. 1, 1978. Uniformed Services Employment and Reemployment Rights Act of 1994.

**OBJECTIVES:**

To enforce Federal laws providing equal employment opportunities for all without regard to race, religion, national origin, and sex, and to defend the lawfulness and constitutionality of Federally authorized affirmative action programs.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Title VII of the 1964 Civil Rights Act, as amended, and other Federal Laws and regulations forbid discrimination in employment by private employers, labor organizations, employment agencies, State and local governments and public agencies. The Attorney General is authorized to sue to enjoin and remedy discrimination in employment by State and local government employers under Title VII. The Attorney General does not represent individuals in Title VII suits, although the public interest is served by obtaining relief for them through pattern or practice or 706 referral lawsuits. The Section also enforces against State and local government employers and private employers the Uniformed Services Employment and Reemployment Rights Act of 1994 ("USERRA"), which prohibits employers from discriminating or retaliating against an employee or applicant for employment because of such person's past, current or future military obligation. The Attorney General represents individuals in USERRA suits brought against local government employers and private employers, but the Attorney General does not represent individuals in USERRA suits brought against State government employers. Upon referral from the Department of Labor, the Attorney General is authorized to sue to enforce the non-discrimination in employment provisions of Executive Order 11246, as amended, with respect to government contractors and subcontractors. In addition, the Civil Rights Division represents other Federal agencies in challenges to laws and orders that authorize affirmative action in employment, procurement and contracting on federally assisted projects.

**Applicant Eligibility:**

All persons.

**Beneficiary Eligibility:**

All persons.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries) FY 11 \$9,910,403; FY 12 est \$9,625,367; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, the Civil Rights Division's Employment Litigation Section filed six Section 706 complaints, and twelve Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) complaints. The Section also settled three Section 706 cases and nineteen USERRA cases. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Guidelines on Employee Selection Procedures (1978), 43 F.R. 38290.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Employment Litigation Section, Washington, District of Columbia 20530 Phone: (Voice) (202) 514-3831; 800-578-

**Website Address:**

<http://www.usdoj.gov/crt/emp/index.html>.

**RELATED PROGRAMS:**

16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.103 FAIR HOUSING AND EQUAL CREDIT OPPORTUNITY**

Housing & Civil Enforcement Section

**FEDERAL AGENCY:**

Civil Rights Division, Department of Justice

**AUTHORIZATION:**

Civil Rights Act of 1964, as amended, Title II and Title III; Civil Rights Act of 1968, as amended, Title VIII, Public Law 90-284, Fair Housing Amendments Act of 1988, Public Law 100-430, 42 U.S.C. 3601; Equal Credit Opportunity Act of 1974, Public Law 93-495; Equal Credit Opportunity Act of 1976, Public Law 94-239; 15 U.S.C. 1691; Religious Land Use and Institutionalized Persons Act of 2000, Public Law 106-274, 42 U.S.C. 2000cc.; Servicemembers Civil Relief Act, 50 U.S.C App. 501.

**OBJECTIVES:**

The Fair Housing Act provides freedom from discrimination on the basis of race, color, religion, sex, national origin, handicap and familial status in connection with the sale, rental, and financing of housing and other related activities. The Equal Credit Opportunity Act (ECOA) prohibits discrimination in credit transactions on the basis of race, color, religion, national origin, sex, marital status, or age (provided the applicant has the capacity to contract), because all or a part of the applicant's income is derived from a public assistance program, or because the applicant has in good faith exercised any right under the Consumer Credit Protection Act. Title II of the 1964 Civil Rights Act prohibits discrimination on the basis of race, color, national origin and religion in places of public accommodation, which are defined to include hotels, motels, restaurants, gas stations, and places of entertainment. Title III prohibits the denial of equal protection rights in public facilities. Section 2 of the Religious Land Use and Institutionalized Persons Act (RLUIPA) prohibits local governments from significantly burdening the exercise of religion or discriminating against religious institutions in their land use and zoning decisions. The Servicemembers Civil Relief Act provides for the temporary suspension of judicial and administrative proceedings and civil protections in areas such as housing and credit for military personnel while they are on active duty.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The Fair Housing Act, which is found in Title VIII of the Civil Rights Act of 1968, as amended by the Fair Housing Amendments Act of 1988, is designed to ensure freedom from discrimination in the sale, rental and financing of housing, and other related activities. The Act provides two major avenues of enforcement by the Department. First, the Attorney General has independent authority to bring civil actions in federal courts whenever he/she has reasonable cause to believe that any person or group of persons is engaged in a pattern or practice of discrimination or when he/she has reasonable cause to believe any group has been denied such rights in a case of general public importance. Under its pattern or practice authority, the Department may seek appropriate injunctive relief, actual and punitive damages for any persons injured by the discrimination, and civil penalties of up to \$55,000 against a defendant for the first violation and up to \$110,000 for subsequent violations of the Act. Second, the Department also has authority to seek relief on behalf of individuals in certain circumstances, as follows. The Department of Housing and Urban Development (HUD) is required to investigate and conciliate any complaint of housing discrimination filed with that agency. If it cannot be conciliated, HUD

is authorized to file an administrative charge if it determines there is reasonable cause to believe the Fair Housing Act has been violated. At that point, either party may elect to have such charge heard in federal court, and if such election is made, the Department of Justice brings suit in federal court on behalf of the complainant and may seek actual and punitive damages in such an action. Aside from enforcement by the federal government, private suits alleging illegal discrimination may be filed in the appropriate federal or state court within two years of alleged discrimination. The ECOA, as amended, is designed to prohibit certain types of discrimination in all aspects of credit transactions. Persons who believe that they are victims of such discrimination may file complaints with one of the appropriate Federal regulatory agencies or may bring the information to the attention of the Attorney General. The Department of Justice is authorized to institute litigation in Federal court when a matter is referred to the Attorney General by an agency responsible for administrative enforcement of the Act or when he/she has reasonable cause to believe that one or more creditors are engaged in a pattern or practice of discrimination in violation of the Act. The Act gives the United States authority to seek actual and punitive damages for any persons aggrieved by the discrimination. In addition, an aggrieved person may institute suit in a Federal court pursuant to the ECOA. Title II of the 1964 Civil Rights Act is designed to prohibit discrimination in certain kinds of public accommodations. It gives the Attorney General authority to bring a legal action when he/she determines that there is reasonable cause to believe that any person or group is engaged in a pattern or practice of discrimination which violates the provisions of Title II. Remedies available in such cases are limited to injunctive relief and the Department does not have authority to seek monetary relief. Private individuals also may bring legal action under Title II. In addition, there are other civil rights laws which give such individuals authority to take legal action against public accommodation discrimination not covered by Title II. Title III allows the Attorney General to file a civil action in federal district court after receiving a written complaint from an individual who alleges the denial of equal protection rights in a public facility, but is unable to initiate or maintain an independent action. 42 U.S.C. 2000b(a). The Religious Land Use and Institutionalized Persons Act, enacted in September 2000, prohibits state and local governments from using their authority to burden the exercise of religion, exclude religious assemblies from their jurisdictions, or discriminate against religious institutions. It gives the Attorney General the authority to seek injunctive or declaratory relief for violations of the Act. Private individuals may also bring actions under the statute. The Servicemembers Civil Relief Act provides for the temporary suspension of judicial and administrative proceedings and civil protections in areas such as housing and credit for military personnel while they are on active duty. It gives the Attorney General the authority to bring civil actions in federal courts whenever he/she has reasonable cause to believe that any person engaged in a pattern or practice of violating the Act or a violation of the Act that raises an issue of significant public importance. The Department may seek appropriate injunctive relief, monetary damages for any persons injured by the discrimination, and civil penalties of up to \$55,000 against a defendant for the first violation and up to \$110,000 for subsequent violations of the Act. Private individuals may also bring legal action under the statute.

**Applicant Eligibility:**

All persons.

**Beneficiary Eligibility:**

All persons.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries) FY 11 \$12,901,135; FY 12 est \$12,646,599; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Housing and Civil Enforcement Section's enforcement efforts continue to result in significant accomplishments. In fiscal year 2011, the Section filed a total of 28 pattern or practice complaints and obtained 46 consent decrees in pattern or practice cases. The Section continues its consistent efforts to enforce all aspects of the Fair Housing Act, to combat lending discrimination, to ensure non-discrimination in public accommodations and religious land use, and to enforce the Servicemembers Civil Relief Act. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Housing & Civil Enforcement Section, Washington, District of Columbia 20530 Phone: Telephone: (202) 514-4713.

**Website Address:**

<http://www.justice.gov/crt/housing/hcehome.php>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.104 PROTECTION OF VOTING RIGHTS**

Voting Section

**FEDERAL AGENCY:**

Civil Rights Division, Department of Justice

**AUTHORIZATION:**

Voting Rights Act (VRA), Civil Rights Act, 42 U.S.C. 1971, 42 U.S.C. 1974; Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA), 42 U.S.C. 1973ff; Voting Accessibility for the Elderly and Handicapped Act (VAEHA), 42 U.S.C. 1973ee to 1973ee-6; National Voter Registration Act (NVRA), 42 U.S.C. 1973gg to 1973gg-10; Help America Vote Act (HAVA), 42 U.S.C. 15301 to 15545.

**OBJECTIVES:**

To provide protection of an individual's right to register and vote in all elections without discrimination based on race, color, membership in a language minority group. To assure the rights of persons with disabilities or persons who are unable to read or write to receive assistance in voting from a person of their choice. To assure access to voter registration and to polling places for the elderly and persons with disabilities. To assure the right to vote in federal elections to United States citizens in the uniformed services and residing overseas. To ensure that States in federal elections meet requirements for offering voter registration and maintaining voter registration lists, and meet minimum election administration and technology standards.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The VRA prohibits State and local governments from imposing or applying any voting standard, qualification, prerequisite, or procedure in a manner that results in a denial or abridgment of the right of any U.S. citizen to vote on account of race or color or because an individual is a member of a language minority group. The VRA bans the use of literacy and similar tests as a prerequisite to voter registration or voting, authorizes voters in need of assistance in voting (because of illiteracy or disability) to receive help from the person of their choice (other than their employer or union representative), and lets registered voters vote for president even if they change their residence shortly before a presidential election. Certain specially covered States and political subdivisions are required to submit any voting changes either to the District Court for the District of Columbia for a declaratory judgment that the changes do not have a discriminatory purpose or effect, or, in the alternative, to the Attorney General, who has 60 days in which to object to the proposed changes. Changes to which the Attorney General has objected are legally unenforceable unless a subsequent declaratory judgment is issued by the District Court for the District of Columbia. The VRA requires certain counties (under formulas in the act) to provide voting and election information bilingually. The VRA authorizes the Attorney General to send Federal voting observers to certain designated counties to monitor election day polling place activities to prevent discrimination. Under VAEHA, the States must provide accessible registration and voting facilities for federal elections. Under UOCAVA, States must provide voter registration and absentee balloting in federal elections to United States citizens who are in the uniformed services and who are living overseas. Under the NVRA, States must offer voter registration for federal elections by mail and through offices that provide driver licenses, public assistance and services to persons with disabilities, and must maintain voter registration lists in accord with federal standards. Under HAVA, States must administer federal elections in accord with minimal standards for voting systems, provisional voting, voting information postings, identification for voters who register by mail, and computerized statewide voter registration databases.

**Applicant Eligibility:**

All U.S. citizens old enough to vote.

**Beneficiary Eligibility:**

All U.S. citizens old enough to vote.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the headquarters office listed below.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries) FY 11 \$12,354,917; FY 12 est \$11,414,994; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Procedures for the Administration of Section 5 of the Voting Rights Act of 1965, 28 C.F.R. Part 51; Guidelines on Implementation of the Provisions of the Voting Rights Act Regarding Language Minority Groups, 28 C.F.R. Part 55; Guidance Concerning Redistricting Under Section 5 of the Voting Rights Act, 76 F.R. 7470.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Voting Section Department of Justice, Civil Rights Division, Voting Section , Washington , District of Columbia 20530 Phone: 800-253-3931

**Website Address:**

<http://www.justice.gov/crt/about/vot>

**RELATED PROGRAMS:**

16.200 Community Relations Service; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.



## 16.105 CIVIL RIGHTS OF INSTITUTIONALIZED PERSONS

Civil Rights of Institutionalized Persons; Protection of Rights to Reproductive Health; Protection of Religious Rights in Institutions; Protection against Police Misconduct; Protection against rights deprivations by Juvenile Justice Administrators; Ensuring services in the most integrated settings for persons with Disabilities.

### FEDERAL AGENCY:

Civil Rights Division, Department of Justice

### AUTHORIZATION:

Civil Rights of Institutionalized Persons Act, Public Law 96-247, 42 U.S.C. 1997; Americans with Disabilities Act, 42 U.S.C. 12132-12134; 28 CFR 35.130(d); Religious Land Use and Institutionalized Persons Act of 2000, 42 U.S.C. 2000cc-1; Civil Rights Act of 1964, as amended, Title III; Freedom of Access to Clinic Entrances Act, 18 U.S.C 248; Violent Crime Control and Law Enforcement Act of 1994, Section 210401, 42 U.S.C. 14141; Omnibus Crime Control and Safe Streets Act of 1968, 42 U.S.C. 3789d.

### OBJECTIVES:

To initiate actions for redress in cases involving deprivations of rights of institutionalized persons secured and protected by the Constitution or laws of the United States. To initiate actions for redress in cases involving denial of government services to individuals with disabilities in the most integrated setting appropriate to the needs of the individual. To prevent government imposition of a substantial burden on the religious exercise of a person residing in or confined to a publicly operated institution. To provide equal utilization of any public facility owned or operated by any State or subdivision thereof, without regard to race, religion, or national origin. To obtain civil relief for certain violent, threatening, obstructive, and destructive conduct intended to injure, intimidate, or interfere with persons seeking to obtain or provide reproductive health services, or interfere with the First Amendment right of religious freedom, or destroy the property of a place of religious worship. To seek relief to redress a pattern or practice of conduct by law enforcement officers or the administrators of juvenile justice that deprives citizens of the United States of their federal rights. To seek relief to redress a pattern or practice of discrimination based on race, color, national origin, gender or religion involving services by law enforcement agencies receiving federal financial assistance.

### TYPES OF ASSISTANCE:

PROVISION OF SPECIALIZED SERVICES

### USES AND USE RESTRICTIONS:

The Attorney General is authorized to initiate or intervene in actions for equitable relief on behalf of institutionalized persons residing in public institutions wherein a pattern or practice of unlawful deprivations of rights exists. Such institutions include: facilities for persons who are mentally ill or people with developmental disabilities; nursing homes; prisons; jails; and juvenile detention and correctional facilities. The Attorney General may bring suit for equitable relief on behalf of institutionalized persons with disabilities or persons with disabilities at risk of institutionalization to obtain provision of government services to such individuals in the most integrated setting appropriate to their needs. The Attorney General may bring suit to protect the rights of persons in publicly operated institutions to be allowed to exercise their religion without substantial burdens being imposed by the public entity operating the institution. The Attorney General may also bring suit and request injunctive relief prohibiting discrimination on the basis of race, color, religion, and national origin in the operation of public facilities when he/she has reasonable cause to believe that a State or political subdivision is engaged in such discrimination. The Attorney General is authorized to investigate and, where appropriate, initiate actions for relief from certain violent, threatening, obstructive, and destructive actions intended to injure, intimidate, or interfere with persons seeking reproductive health services, or deny religious freedom, or destruction of property at places of religious worship. The Attorney General is authorized to investigate patterns or practices of conduct by law enforcement officials or the administrators of juvenile justice who deprive U.S. citizens of their constitutional rights, and may initiate civil actions for relief from such constitutional deprivations. Finally, the Attorney General is authorized to investigate and where appropriate, seek injunctive relief against any local criminal justice agency that is the recipient of federal funds and that

discriminates on the basis of race, color, sex, or natural origin.

### Applicant Eligibility:

Any person notifying the Attorney General of a pattern of violations of Federal rights of persons confined in a public institution in any State, territory, or Commonwealth of the United States. Any person notifying the Attorney General of a denial of government services to individuals with disabilities in the most integrated setting appropriate to their needs. Any person notifying the Attorney General of violations of the Freedom of Access to Clinic Entrances Act (FACE). Any person notifying the Attorney General of violations of the religious land use and institutionalized person act of 2000 (RLIPA). Any person notifying the Attorney General of pattern or practice conduct by law enforcement officers or juvenile justice administrators which deprive citizens of the U.S. of their federal rights under Section 14141 or that results in discrimination based on race, color, national origin, gender or religion involving services by law enforcement agencies receiving federal financial assistance, under the Omnibus Crime Control and Safe Streets Act of 1968.

### Beneficiary Eligibility:

Institutionalized persons confined in public facilities such as prisons, jails, mental health, and facilities for people with developmental disabilities, nursing homes, and juvenile justice facilities where there is a pattern of unlawful conditions. Persons with disabilities institutionalized, or at risk of institutionalization, in order to receive government services, where such institutionalization is not the most integrated setting appropriate to their needs. Any persons in a publicly operated institution not allowed to exercise their religion because of substantial burdens imposed by the public entity operating the institution. Any persons who have been threatened, denied access to or the ability to provide clinic reproductive health services, or have been denied religious freedom, or suffered the destruction of property at a place of religious worship. Any persons who, as a part of a pattern or practice of conduct by law enforcement officers or juvenile justice administrators, have been deprived of their federal rights.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the Department of Justice, Civil Rights Divisions, Special Litigation Section, Washington, DC 20530 or any United States Attorney's Office.

### Award Procedure:

Not applicable.

### Deadlines:

Not Applicable.

### Range of Approval/Disapproval Time:

Not Applicable.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

### Reports:

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries) FY 11 \$8,095,424; FY 12 est \$7,145,718; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Special Litigation Sections very busy practice in FY 2012 has achieved important successes, enforcing existing matters and initiating new investigations and cases.

Americans with Disabilities Act (ADA): Implementing the promise of the Supreme Courts Olmstead decision to ensure that people with disabilities are supported in the most integrated community setting consistent with their needs has become an increasingly large part of the Sections practice. Frequently, ADA claims have supplanted CRIPA as a reform model for institutions for people with psychiatric and intellectual disabilities. Olmstead enforcement both promotes ADA compliance and fixes poor conditions by reducing institutional populations.

The Sections work includes efforts to enforce landmark settlements in Georgia and Delaware that remedy the unnecessary institutionalization of people with mental illness, and, in Georgia for people with intellectual disabilities as well. Both agreements create meaningful community services systems, including crisis services, case management, and housing supports, to buttress individuals full integration into daily life.

The Section has entered into a comprehensive agreement with the State of Virginia that builds on the agreement in Georgia. The Virginia agreement will, over a ten year period, provide high quality integrated services for Virginia residents with developmental disabilities and ensure that the State comes into compliance with the ADA. Approval of the agreement is pending before the United States District Court in Richmond.

The Section has entered into litigation with the State of New Hampshire regarding the unnecessary institutionalization of people with mental illness. Our claims have been joined with those of private litigants.

Police: Addressing unconstitutional and unlawful patterns and practices of police departments remains one of the Sections largest areas of practice.

Among our most significant actions were releasing findings letters documenting the results of our investigations of the New Orleans Police Department, the Puerto Rico Police Department, and the Seattle Police Department. These letters provide a comprehensive assessment of patterns or practices of unconstitutional policing and serve as the basis for sustainable reform, including increased community trust. The Section filed litigation against the Maricopa County Sheriffs Office to address unconstitutional practices, including discriminatory policing and violations of the First Amendment. Investigations opened by the Section, including in Newark, NJ, Portland, OR, and Los Angeles County, CA, are evaluating alleged patterns of unconstitutional policing, including possible bias in policing and excessive force, and are being conducted jointly with United States Attorneys Offices. We also have ongoing police investigations in Suffolk County, NY, Miami, FL, East Haven, CT, and other jurisdictions. The Section settled its investigation of the Beacon, NY Police Department, and continued to monitor consent decrees in seven jurisdictions.

The Section participated heavily in the multi-Division response to immigration bills passed in South Carolina, Alabama, and Utah. We have increased our coordination with DOJ's Community Oriented Policing Services; the Office of Justice Programs, and the Federal Bureau of Investigation.

CRIPA: The Section litigated a CRIPA, ADA, and Individuals with Disabilities Education Act case involving the Conway Human Development Center in Conway, Arkansas. The Section also obtained a court-enforceable settlement of its litigation involving the Erie County Detention Center in Buffalo, NY. The Section filed the Divisions first CRIPA motion for receivership, to address 25 years of non-compliance with court orders regarding

conditions at the Golden Grove Adult Correctional and Detention Facility in St. Croix, U.S. Virgin Islands.

As part of its enforcement of a FY 2010 settlement regarding Chicagos Cook County Jail, the Section helped persuade a judicial panel to grant the Countys request for a prisoner release order, pursuant to the Prison Litigation Reform Act. This order will aid the County in keeping the jail population at a manageable level, and help to avoid crowded conditions that, as our investigation showed, contribute to unconstitutional conditions. Other ongoing compliance work involves seven psychiatric hospitals in Georgia, nursing homes in Alabama and St. Elizabeths Hospital in the District of Columbia. In FY 2012, the Section filed a motion to enforce its consent decree regarding the mental health system in California.

In addition, the Section issued findings letters regarding a juvenile facility, a nursing home and four jails. The Section initiated six new CRIPA investigations, examining alleged sexual abuse of women at the Topeka Correctional Facility in Kansas, the use of cages for suicidal prisoners and mental health services in St. Tammany Parish, LA and conditions of confinement in the Walnut Grove Youth Correctional Facility in Mississippi, the Piedmont Regional Jail in Virginia, and the Cresson and Pittsburgh Prisons in Pennsylvania.

Juvenile: Under 42 U.S.C. Section 14141, the Section has the authority to investigate and bring actions regarding juvenile justice and detention systems. In FY 2011 the Section issued findings letters regarding juvenile facilities in Terrebonne Parish, LA and LeFlore County, MS; in FY 2012, the Section settled the Terrebonne matter, and issued a findings letter regarding Floridas Dozier and Jackson juvenile justice facilities. The Section continued to enforce decrees in Oklahoma and Puerto Rico. In addition, the Section issues comprehensive findings regarding due process and equal protection violations in the Shelby County, Tennessee juvenile court.

Freedom of Access to Clinic Entrances Act (FACE): In the Sections growing FACE practice, The Section filed five cases regarding clinic obstructions, or the use of or threat of force at reproductive healthcare facilities, and reached settlement with two defendants. Several other matters are under investigation.

Religious Land Use and Institutionalized Persons Act (RLUIPA): The Sections RLUIPA practice expanded, including through filing the Departments first two RLUIPA cases and three statements of interest related to prisoner religious practices, and initiating three investigations. Issues in these cases include hair and beard length for Sikhs and Native Americans, access to religious texts, and religious diets. The Section also engaged in outreach to the religious community and is working with the Bureau of Prisons and others in the Department.

Regulations, Guidelines, and Literature (140):

28 C.F.R. 0.50, Summary of the Civil Rights Act of 1964, 45 C.F.R. Part 84. The statement of the Department of Justice on Enforcement of Integration Mandate of Title II of the Americans with Disabilities Act and Olmstead v L.C., [www.ada.gov/olmstead/index.htm](http://www.ada.gov/olmstead/index.htm). The statement of the Department of Justice on the Institutionalized Person Provisions of the Religious Land Use and Institutionalized Persons Act (RLUIPA), 42 U.S.C. 2000cc. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

28 C.F.R. 0.50, Summary of the Civil Rights Act of 1964, 45 C.F.R. Part 84. The statement of the Department of Justice on Enforcement of Integration Mandate of Title II of the Americans with Disabilities Act and Olmstead v L.C., [www.ada.gov/olmstead/index.htm](http://www.ada.gov/olmstead/index.htm). The statement of the Department of Justice on the Institutionalized Person Provisions of the Religious Land Use and Institutionalized Persons Act (RLUIPA), 42 U.S.C. 2000cc.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Special Litigation Section, , Washington, District of Columbia 20530 Phone: Telephone: (202) 514-6255.

**Website Address:**

<http://www.usdoj.gov/crt/split/index.html>.

**RELATED PROGRAMS:**

29.001 Clearinghouse Services, Civil Rights Discrimination Complaints;

93.613 President's Committee for People with Intellectual Disabilities (PCPID)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.109 CIVIL RIGHTS PROSECUTION**

Criminal Section

**FEDERAL AGENCY:**

Civil Rights Division, Department of Justice

**AUTHORIZATION:**

18 U.S.C. 241, 242, 245, 247, 248, 1581, 1583, 1584, 1589, 1590, 1592; 1594; 42 U.S.C. 3631.

**OBJECTIVES:**

To reduce police and other official criminal misconduct, to reduce violent activity by private citizens (including organized hate groups) against others because of their race, religion, national origin, sexual orientation, gender identity, disability, or sex(including church arson); and to curtail acts of modern-day slavery and violent interference with access to reproductive health care.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Section prosecutes cases of national significance involving the deprivation of personal liberties which either cannot be, or are not, sufficiently addressed by State or local authorities. Its jurisdiction includes acts of racial violence, misconduct by local, State, or Federal law enforcement officials, violations of the human trafficking statutes that protect US Citizens and lawful and unlawful immigrants, and violations of the Freedom of Access to Clinic Entrances Act. The Section ensures that complaints are reviewed on a timely basis for investigation and potential prosecution.

**Applicant Eligibility:**

All persons regardless of citizenship or immigration status.

**Beneficiary Eligibility:**

All persons regardless of citizenship or immigration status.

**Credentials/Documentation:**

Individuals alleging deprivation of their civil rights should provide information describing the sequence of events (including the type of force or coercion involved), the date of the incident, the names of identifiable perpetrators, involved law enforcement officers and witnesses, a description of any physical injuries and medical treatment, if needed, and the nature of work being forced (if applicable). This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the Criminal Section, Civil Rights Division directly, the local office of the Federal Bureau of Investigation, the local U.S. Attorney's Office.

**Award Procedure:**

Complaints alleging deprivation of Civil Rights are reviewed and, in cases that are investigated by the FBI or other federal investigative agencies, the individual is notified in writing of the outcome of that review, whether it be to decline investigation or prosecution or to seek an indictment.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Initial complaints that are reviewed and deemed inappropriate for investigation are generally reviewed within three months of their being received. Investigated complaints in which prosecution is sought are usually resolved within a year of the indictment.

**Appeals:**

If new information, not considered by the Section in its original review of complaints for investigation and prosecution, is made available within the applicable statute of limitations, the Section will review the complaint again in light of that new information.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0128-0-1-752.

**Obligations:**

(Salaries) FY 11 \$12,336,023; FY 12 est \$12,131,862; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S. Attorneys' Manual, Title 8, Chapter 3 Sentencing Guidelines; Attorney General Guidelines for Victim and Witness Assistance.

**Regional or Local Office:**

See Regional Agency Offices. Local U.S. Attorney's Office and Federal Bureau of Investigation.

**Headquarters Office:**

Department of Justice, Civil Rights Division, Criminal Section, Washington, District of Columbia 20530 Phone: (202) 514-3204. Contact: Office

**Website Address:**

<http://www.usdoj.gov/crt/crim/index.html> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each statute has elements of the offense that must be met in order for there to be Federal jurisdiction. Furthermore, there must be evidence to prove beyond a reasonable doubt that a violation occurred. Official misconduct cases: (1) the defendant must have been acting under color of the law, that is, while using or misusing power possessed by reason of the law (Private citizens jointly engaged with State officials, who are themselves acting under color of the law, in prohibited activity, are acting under color of law for purposes of Section 242.); (2) the conduct of the defendant must have deprived the victim of some right secured or protected by the Constitution or laws of the United States; and (3)

there must have been an intent on the part of the defendant willfully to subject the victim to the deprivation of the right described above. Racial violence cases: (1) the defendant must have acted with force or the threat of force; (2) the defendant must have injured, intimidated, or interfered with or attempted to injure, intimidate or interfere with the victim; (3) the defendant must have acted because of the victim's race, color, religion, national origin, sexual orientation, gender identity, disability, or sex (as enumerated in 18 U.S.C. 249, 245 (b)(2)(A) through (F)) and 42 U.S.C. 3631; (4) in cases motivated by sexual orientation, gender identity, sex, and some religions, that the offense was in or affecting interstate commerce, or that the offense occurred in the Special Maritime and Territorial Jurisdiction of the United States; and (4) finally, the defendant must have acted willfully. The Matthew Shepard and James Byrd, Jr., Hate Crimes Prevention Act of 2009: 18 U.S.C. 249. also provides federal funding and technical assistance to state, local, and tribal jurisdictions to help them to more effectively investigate and prosecute hate crimes. Human trafficking/ involuntary servitude cases: (1) a person must be made to work against his will by the defendant; (2) the period of involuntary servitude must be for a "term"; (3) the defendant must have caused the involuntary servitude by his acts; and (4) the defendant must have intended to cause involuntary service by his acts. Forced labor: (1) defendant did, or attempted to, provide or obtain the labor or services of a person, (2) defendants used either threats of serious harm to, or physical restraint against, that person or another person; used a scheme, plan, or pattern intended to cause the person to believe that non-performance would result in serious harm to, or physical restraint against, that person or another person; or abused or threatened abuse of the law or legal process, and (3) defendant acted knowingly. Sex Trafficking: (1) a person provided or obtained commercial sex of another person; (2) defendants used either threats of serious harm to, or physical restraint against, that person or another person; used a scheme, plan, or pattern intended to cause the person to believe that non-performance would result in serious harm to, or physical restraint against, that person or another person; or abused or threatened abuse of the law or legal process, and (3) defendant acted knowingly. Reproductive health clinic access cases: (1) facility providing reproductive health services; (2) defendant used force, threat of force, or physical obstruction; (3) defendant intended or attempted to injure, intimidate, or interfere with; and (4) someone providing or obtaining reproductive health services.

## **16.200 COMMUNITY RELATIONS SERVICE**

(CRS)

### **FEDERAL AGENCY:**

Community Relations Service, Department of Justice

### **AUTHORIZATION:**

Civil Rights Act of 1964 (42 U.S.C 2000g et seq.).  
Matthew Shepard and James Byrd, Jr Hate Crimes Prevention Act of 2009,  
Public Law 09-111-84, 18 U.S.C 249., Title X, Public Law 88-352, 2000 U.S.C  
2000g-1-2000g-2.

### **OBJECTIVES:**

To provide free Federal conciliation and mediation services to communities in preventing and resolving community tensions, conflicts, and civil disorders arising from actions, policies, and practices that are perceived to be based on race, ethnicity, or national origin. No funds are granted to outside organizations to provide these services. With the passage of Matthew Shepard and James Byrd, Jr. Hate Crimes Prevention Act of 2009, CRS is authorized to assist communities to prevent and respond to alleged violent hate crimes committed on the basis of actual or gender, gender identity, sexual orientation, religion, or disability.

### **TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

### **USES AND USE RESTRICTIONS:**

The Community Relations Service (CRS) employs conciliation, mediation, technical assistance, and training techniques to provide free services to communities in preventing, reducing, and resolving racial and ethnic conflicts. Through conciliation, CRS facilitates communication among disputing parties. Through mediation, CRS intervenes to promote the settlement of disputes through the terms of an oral or written agreement between the disputing parties. Through technical assistance, CRS provides subject matter expertise to

communities by providing such services as: participating in and facilitating community meetings and task forces; and sponsoring, cosponsoring, or making presentations at conferences and forums. CRS conducts training in such areas as community policing, police/community relations, response to hate crimes, and conflict resolution techniques (e.g., law enforcement mediation). CRS also develops resource materials and prepares articles for publication on preventing and resolving racial and ethnic conflicts in communities.

### **Applicant Eligibility:**

CRS provides services without cost assistance to representatives of groups or communities or Federal, State or local government agencies that seek to resolve, reduce or prevent conflicts related to race, ethnicity, or national origin. CRS does not provide grants to communities for conciliation and mediation assistance programs.

### **Beneficiary Eligibility:**

CRS does not provide grants to communities, but beneficiaries may include any group, community, or Federal, State or local government agency that experiences tensions involving race, ethnicity, or national origin.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Parties interested in requesting free conciliation and mediation service may write, phone, or contact in person, headquarters or regional offices. Please see below for contact information. No standard form is used. CRS does not provide grant funds to purchase assistance or to fund community programs.

### **Award Procedure:**

Assistance is provided by direct response from an appropriate agency official to the applicant in the form of conflict prevention and resolution services. CRS will provide on-site services in major racial or ethnic crisis situations within 24 hours from the time when your community notifies CRS or CRS becomes aware of the crisis. In non-crisis situations, CRS will contact you within three days of when your community notifies CRS or CRS becomes aware of the situation to discuss your request for CRS services.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

In major racial or ethnic crisis situations, on-site services are provided within 24 hours of notifying CRS. In non-crisis situations, CRS will contact the requestor within 3 days to discuss the request. Since CRS has only a limited number of conciliators to service the entire country, CRS cannot guarantee service delivery. CRS will, however, make every effort to service every request.

### **Appeals:**

Applicant can request assistance again. If the agency is not authorized to provide a response, the applicant will be referred to an appropriate agency or resource for assistance.

### **Renewals:**

Each request for service is given a separate response by CRS.

### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

CRS provides continuous service until the conflict is resolved or CRS no longer has jurisdiction under 42 U.S.C. 2000g-1. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

15-0500-0-1-752.

**Obligations:**

(Salaries) FY 11 \$11,456,000; FY 12 est \$11,456,000; and FY 13 est \$12,036,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no regulations or guidelines for requesting assistance from CRS, except as noted above. Pamphlets and other materials developed by CRS for use by communities include: "Principles of Good Policing: Avoiding Violence Between Police and Citizens"; "Responding to Hate Crimes and Bias-Motivated Incidents on College/University Campuses"; "Guidelines for Effective Human Relations Commissions"; "Police Use of Excessive Force: A Conciliation Handbook for the Police and the Community"; "Managing Major Public Events: A Planning Guide for Municipal Officials, Law Enforcement, Community Leaders, Organizers, and Promoters"; "Avoiding Racial Conflict: Guide for Municipalities." These publications can be found on CRS' website at <http://www.usdoj.gov/crs>.

**Regional or Local Office:**

None. For a list of regional and local offices, please either visit <http://www.usdoj.gov/crs> or call (202) 305-2935.

**Headquarters Office:**

O.Ben Lieu Community Relations Service  
600 E Street, NW  
Suite 6000, Washington, District of Columbia 20520 Email:  
[Ben.Lieu@usdoj.gov](mailto:Ben.Lieu@usdoj.gov) Phone: 202-305-2935 Fax: 202-305-3003

**Website Address:**

<http://www.usdoj.gov/crs> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.203 PROMOTING EVIDENCE INTEGRATION IN SEX OFFENDER MANAGEMENT DISCRETIONARY GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking, Department of Justice

**AUTHORIZATION:**

Violent Crime Control and Law Enforcement Act of 1994; Public Law 103-322, Section 40152, codified at 42 U.S.C. Section 13941, Training; Adam Walsh Child Protection and Safety Act of 2006 (AWA) , Public Law 103-322, 42 U.S.C 13941.

**OBJECTIVES:**

To assist state, local and tribal jurisdictions in improving their adult and/or juvenile sex offender management policies and practices by supporting training, technical assistance, and demonstration projects that will generate evidence-based knowledge to enhance sex offender management practices and protect the public from sex offenders in the community.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

The Promoting Evidence Integration in Sex Offender Management grant funds may be used to provide training and technical assistance to jurisdictions with reference to sex offender management and accountability and to support local demonstration projects in the areas of case management, supervision and relapse prevention. Training and technical assistance should be targeted to probation and parole officers and other personnel who manage non-incarcerated sex offenders or who are responsible for sex offender registration compliance.

**Applicant Eligibility:**

Non-profit organizations (including tribal organizations), institutions of higher education (including tribal institutions of higher education), States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, the Northern Mariana Islands, local, and tribal communities who are interested in addressing the management of juvenile, adult, or a mixed population of sex offenders are eligible to apply for this grant program. Applicants must coordinate their proposal with others in their jurisdiction to ensure a collaborative response to this solicitation as well as to ensure that agencies within a single jurisdiction are not competing against one another in the grant process.

**Beneficiary Eligibility:**

State, local and tribal agencies (e.g. parole, probation, pretrial services, etc.) responsible for sex offender management, accountability, registration and supervision to implement programs to enhance strategies for managing sex offender in the community. Non-profit or for-profit organizations, institutions of higher learning and tribal entities with demonstrated experience in sex offender management and accountability issues and delivery of training and technical assistance to implement national training and technical assistance program on sex offender management, accountability, registration and supervision.

**Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Program Abstract; Program Narrative; Budget and Budget Narrative. This information may be found in the solicitation section, What an Application Should Include. In addition to the standard requirements, an application may include timelines, resumes, letters of support, etc. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through [grants.gov](http://grants.gov) following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are included with the application instructions, which are posted on the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Grants can be extended by submitting a written justification for an extension to the SMART Office for review. Extensions are subject to approval by the SMART Office and congressional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants are discretionary and are awarded based on the merits of the application submitted to the SMART Office. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period that includes the fiscal year of the appropriation plus one additional year. See the following for information on how assistance is awarded/release: See the following for information on how assistance is awarded/released: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports are required. Quarterly financial reports are required. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$1,810,000; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$600k for implementation sites (up to three) and \$500K for TTA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The FY 11 grant is still in the planning stage so deliverables and trainings will not occur until Fall 2012 and forward. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>); Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)), applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

SMART Office Office of Sex Offender Sentencing, Monitoring, Apprehending,

Registering and Tracking, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: (202) 514-4689

**Website Address:**

<http://www.ojp.usdoj.gov/smart>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.300 LAW ENFORCEMENT ASSISTANCE\_FBI ADVANCED POLICE TRAINING**

(FBI Academy, Advanced Specialized Courses)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide advanced training to experienced personnel of local, county, State, and selected Federal law enforcement agencies, with special emphasis on developing each graduate as a capable manager or administrator for his own department. To afford specialized advanced training to the above personnel.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

The curriculum of the FBI National Academy program includes criminal law and investigations, behavioral science, forensic science, education, management, and health/fitness. The courses are continually adapted to meet the changing needs of law enforcement administration. Training is provided at the FBI Academy at Quantico, VA. Advanced specialized courses of instruction are provided on specific topics such as Firearms Administration, White-Collar and Computer-Related Crimes, Latent Fingerprint Examinations, Police Legal Issues, Hostage Negotiations, Executive Development, Advanced Training Technology, and Laboratory Matters, with conferences and seminars on topics such as Budgeting, Scientific Technical Analysis, Death Investigation, Crime Prevention, Bombing and Arson Investigations, Violent Crimes Against the Elderly, and Sexual Exploitation of Children.

**Applicant Eligibility:**

Regular, full-time personnel of a criminal justice agency serving a municipality, county, local, or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Beneficiary Eligibility:**

Regular, full-time personnel of a criminal justice agency serving a municipality, county, local or State, as well as some selected, qualified representative of Federal agencies having criminal justice responsibilities. Candidates must meet certain age, experience, education, physical, and character requirements.

**Credentials/Documentation:**

The applications of candidates for enrollment in the Academy must be approved and submitted by the head of their agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Formal application to nominate representative to attend the FBI Academy National

program (FBI Form FD- 164) submitted by nominee's agency head, followed by an interview of qualified applicants at FBI field office level. Applications of those nominated by agency heads to attend the specialized course are submitted to local office of the FBI for processing.

**Award Procedure:**

By letter to applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

National Academy training period of 11 weeks. Specialized training varies with subject, from one to four weeks. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training) FY 11 \$14,120,296; FY 12 est \$14,120,296; and FY 13 est \$14,120,296

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the nearest FBI field office; see Catalog Appendix IV for a list of the addresses of FBI field offices.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.301 LAW ENFORCEMENT ASSISTANCE\_FBI CRIME LABORATORY SUPPORT**

(FBI Laboratory)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide forensic services to the FBI and any other duly constituted law enforcement agency; and provide technical and forensic assistance through research, training, technology transfer and access to information and forensic databases.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES; TRAINING

**USES AND USE RESTRICTIONS:**

Submitted evidence is examined and the FBI Laboratory also furnishes the experts necessary to testify in connection with the results of these examinations. These examinations are made with the understanding that the evidence is connected with an official investigation of a criminal or terrorism matter and that the laboratory report will be used only for official purposes related to the investigation or a subsequent prosecution. The FBI Laboratory will not accept cases from other crime laboratories which have the capability of conducting the requested examinations. Additionally, specialized forensic training in many forensic disciplines is conducted. This training is provided to eligible applicants commensurate with available resources. Finally, through available resources, the FBI Laboratory provides new enhanced equipment and tools to State and forensic and law enforcement personnel.

**Applicant Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Beneficiary Eligibility:**

Any duly constituted State and local law enforcement agency in the United States or any of its possessions.

**Credentials/Documentation:**

Formal request, normally written, from appropriate official of the requesting law enforcement agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries may be sent to the Director, Federal Bureau of Investigation, Washington, DC 20535. Attention: FBI Laboratory.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Advisory Services and Counseling) FY 11 Not Available; FY 12 est \$17,294,891; and FY 13 est \$29,527

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. The FBI Laboratory is located at 2501 Investigation Parkway, Quantico, VA 20135. See Catalog Appendix IV for addresses and telephone numbers of FBI Field Offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.302 LAW ENFORCEMENT ASSISTANCE\_FBI FIELD POLICE TRAINING**

(FBI Field Police Training)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To develop the professional skills of criminal justice personnel.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Courses available from FBI instructors range from basic recruit training to specialized instruction in such areas as fingerprinting, legal topics, police-community relations, hostage negotiation, white collar crime, organized crime, computer fraud, management techniques, investigative support, criminal investigative analysis, etc. FBI training assistance is available in complete programs of instruction or as supplemental courses to already existing local police training sessions.

**Applicant Eligibility:**

All authorized municipal, county, local, and State criminal justice personnel.

**Beneficiary Eligibility:**

All authorized municipal, county, local, and State criminal justice personnel.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact FBI Headquarters in Washington, DC or, preferably, the nearest FBI Field Office.

**Award Procedure:**

By letter to applicant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training) FY 11 \$19,442,970; FY 12 est \$19,442,970; and FY 13 est \$19,442,970

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with their nearest FBI field office; see Catalog Appendix IV for a list of the addresses of FBI field offices.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**



Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.303 LAW ENFORCEMENT ASSISTANCE\_FBI FINGERPRINT IDENTIFICATION**

(FBI Criminal Justice Information Services Division)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide fingerprint and arrest-record services to U.S. Government and criminal justice agencies; and to provide arrest- record services to State and local governmental authorities, as well as certain authorized nongovernmental entities for employment and licensing purposes.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Criminal identification by means of fingerprints; determination of a person's past criminal history, if any; fingerprint identification of missing persons, unknown deceased persons, unknown living persons and victims of major disasters; and processing of physical evidence for latent finger and palm prints. Information must be used for official purposes only and is not furnished for public dissemination.

**Applicant Eligibility:**

All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Beneficiary Eligibility:**

All criminal justice agencies, Federal Government, and other authorized governmental and nongovernmental agencies and entities.

**Credentials/Documentation:**

Initial request for services must be from a statutorily authorized agency; request must be written on letterhead of agency and list address of agency and title of official signing request; it must indicate that information is to be used only for criminal investigative or other official purpose authorized by statute; and reply will be sent only to head of requesting organization. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries must be sent to the Assistant Director, Criminal Justice Information Services Division, Federal Bureau of Investigation, Department of Justice, 1000 Custer Hollow Road, Clarksburg, WV 26306.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Information) FY 11 \$187,042,182; FY 12 est \$249,293,255; and FY 13 est \$154,227,009

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: there is no correction. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for addresses and telephone number of FBI field offices. Persons are encouraged to communicate with the headquarters office noted below.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.304 LAW ENFORCEMENT ASSISTANCE\_NATIONAL CRIME INFORMATION CENTER**

(NCIC)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

The FBI National Crime Information Center (NCIC) is designed to complement the development of similar metropolitan and statewide criminal justice information systems and provide a computerized central index to documented files of local and State criminal justice agencies.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The FBI National Crime Information Center (NCIC) is a computerized index of crime and criminals of nationwide interest. Included are records concerning wanted persons, missing persons, unidentified persons, persons on supervised release, persons subject of a protection order, registered sexual offenders, persons violating immigration laws, persons associated with a violent gang or

terrorist organization, and stolen property. Also provided is access to an index of criminal history records. The NCIC, located at the FBI's Criminal Justice Services Division in Clarksburg, WV, serves as a nucleus of a vast, high-speed criminal justice communications network which includes authorized local, State, and Federal criminal justice agencies throughout the United States, Canada, Puerto Rico, the U.S. Virgin Islands, Guam, and American Samoa. Through use of computer storage and retrieval, the NCIC is able to locate and transmit in seconds essential data for the efficient performance of criminal justice personnel. FBI personnel are available to assist States in operating their systems which are connected to the NCIC computer. Technical and other consultant services as well as training are provided at no expense to State agencies.

**Applicant Eligibility:**

Local, State, and Federal criminal justice agencies may participate through their individual control terminal agency.

**Beneficiary Eligibility:**

Local, State, and Federal criminal justice agencies may participate through their individual control terminal agency.

**Credentials/Documentation:**

Agencies accessing NCIC must be an authorized criminal justice agency or authorized entity. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Federal, State and local criminal justice agencies applying for access should contact their control terminal agency, or the Director, Federal Bureau of Investigation, 10th and Pennsylvania Ave., NW., Washington, DC 20535.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Information) FY 11 Not Available; FY 12 est \$19,560,000; and FY 13 est \$16,936,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.305 LAW ENFORCEMENT ASSISTANCE\_UNIFORM CRIME REPORTS**

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To furnish data which will assist heads of law enforcement agencies in administration and operation of their departments. Further, to make information/data available to judges, penologists, sociologists, legislators, media, students, and others interested in crime and its social aspects.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The FBI collects, analyzes, and publishes certain crime statistics which it receives on a regular and voluntary basis from law enforcement agencies nationwide. These data are published annually in the publication, "Crime In The United States-Uniform Crime Reports," and are supplemented with preliminary annual and semiannual releases. The annual publication provides information on (1) crime trends; (2) offenses known to police; (3) age, sex, and race of persons arrested; (4) police disposition of juveniles arrested; (5) police employee; and (6) other information. Additionally, the FBI annually publishes statistics on Hate Crimes and Law Enforcement Officers Killed and Assaulted.

**Applicant Eligibility:**

All participating law enforcement agencies including State and local governments are furnished copies of the annual publication and preliminary annual and semiannual reports. Limited annual copies of statistics on Hate Crime and Law Enforcement Officers Killed and Assaulted, along with preliminary annual and semiannual reports are available to any interested individual who sends a request to the: Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154. The annual publication is available to the general public for purchase from the Superintendent of Documents, U.S. Government Printing Office, 710 North Capitol Street NW., Washington, DC 20401.

**Beneficiary Eligibility:**

All participating State and local law enforcement agencies are furnished copies of the annual publication and preliminary annual and semiannual reports. Limited copies of preliminary annual and semiannual reports are available to any interested individual who sends a request to the: Communications Unit,

Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154. The annual publication is available for sale from the Superintendent of Documents, U.S. Government Printing Office, 710 North Capitol Street, NW., Washington DC 20401.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Inquiries may be sent to the Communications Unit, Criminal Justice Information Services Division, Federal Bureau of Investigation, Module D-3, 1000 Custer Hollow Road, Clarksburg, WV 26306-0154.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Advisory Services and Counseling) FY 11 Not Available; FY 12 est \$7,326,000; and FY 13 est \$13,020,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email:  
michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.307 COMBINED DNA INDEX SYSTEM**

(CODIS)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To develop or improve forensic DNA analysis capabilities in State and local crime laboratories. The Combined DNA Index Systems (CODIS) allows State and local crime laboratories to store and match DNA records.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The CODIS program enables State and local laboratories to establish databases of convicted offenders, unsolved crime scenes, and missing persons. CODIS allows the forensic laboratories to exchange and compare DNA profiles electronically thereby linking serial violent crimes to each other and to identify suspects by matching DNA from crime scenes to convicted offenders.

**Applicant Eligibility:**

To receive CODIS software and technical assistance, participants must be publicly funded forensic laboratories performing DNA analysis, or private forensic laboratories performing DNA analysis under contract with crime laboratories.

**Beneficiary Eligibility:**

To be eligible for DNA grants, participants must be publicly funded State or local forensic laboratories performing DNA analysis.

**Credentials/Documentation:**

Formal written application from appropriate official of the requesting forensic laboratory to NIJ under the Forensic DNA Laboratory Improvement Program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Formal written application from appropriate official of the requesting forensic laboratory to NIJ under the Forensic DNA Laboratory Improvement Program.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$19,070,966; and FY 13 est \$19,817,040

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: no change to 2011. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler, 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.308 INDIAN COUNTRY INVESTIGATIONS**

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide training to the Bureau of Indian Affairs (BIA) and Tribal Law Enforcement Officers in conjunction with the Bureau of Indian Affairs Office of Justice Services to better conduct investigations in Indian Country. Coordination of the development of training curriculum with the BIA; and conduct training seminars in law enforcement techniques throughout the country. To coordinate investigative activities within Indian Country.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Funding may be utilized for expenses associated with investigative and managerial training for Indian Country law enforcement.

**Applicant Eligibility:**

BIA Investigators, Tribal Law Enforcement Officers and other law enforcement officers assigned to work in Indian Country.

**Beneficiary Eligibility:**

BIA Investigators, Tribal Law Enforcement Officers and other law enforcement officers assigned to work in Indian Country.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FBI and Indian Police Academy select students for training.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

If the classes are full, the application will be denied.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Training) FY 11 Not Available; FY 12 est \$2,674,365; and FY 13 est \$2,647,384

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue  
Finance Division  
Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: 2023240495

**Website Address:**

<http://www.fbi.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.309 LAW ENFORCEMENT ASSISTANCE NATIONAL INSTANT CRIMINAL BACKGROUND CHECK SYSTEM**

(NICS)

**FEDERAL AGENCY:**

Federal Bureau of Investigation, Department of Justice

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide a system so that any Federal Firearm Licensee (FFL) could receive an immediate determination by telephone or by other electronic means, on whether receipt of a firearm and/or explosive by a prospective buyer would violate Federal or State laws.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The NICS Operations Center conducts NICS background checks by analyzing and evaluating criminal history records to determine whether the transfer of a firearm to an individual may violate State or Federal law. The staff at the Operations Center provides technical and operational support to users, provides customer service to FFLs and State Point of Contacts (POCs), processes appeals of denied transactions, and prepares management and statistical reports on the operation of the NICS.

**Applicant Eligibility:**

All persons purchasing firearms.

**Beneficiary Eligibility:**

The Federal Firearm Licensees and American public.

**Credentials/Documentation:**

Initial request for services must be from a licensed and enrolled FFL. For checks performed by the FBI, FFLs may contact the NICS Section by telephone via a toll-free number or, electronically by the NICS E-Check via the Internet. The FFLs will provide the required descriptive information requested on the Bureau of Alcohol, Tobacco, Firearms and Explosives Form 4473 and each background check is assigned a unique NICS Transaction Number. If a NICS background check results in no matching records, the transfer will be a proceed. If one or more matching records are found, a NICS Legal Instruments Examiner (Examiner) will review the record(s) to determine if the subject of the record may be identical with the prospective purchaser and to determine if the record contains state and/or federal firearm prohibitive criteria which may prohibit the transfer of the firearm. If it is determined that prohibitive criteria exists, the NICS Examiner will advise the FFL to deny the firearm transaction. If potentially prohibitive criteria exists and more information is required in order to make the determination, the NICS Examiner will advise the FFL to delay the firearm transaction. When a transaction is delayed, the NICS Examiner begins extensive research on the potential prohibitor. The NICS Examiner will contact local, state, and federal law enforcement agencies and courts to resolve questions about an individual who appears to be prohibited from purchasing or possessing a firearm, as well as to request clarification regarding information in a prior record or disposition. When the research is complete, the NICS Examiner calls the FFL and gives a decision on the firearm transaction. Individuals who are denied the purchase of a firearm will be advised by the FFL of the process for appealing the denial decision if he/she believes it is incorrect. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Initial request for services must be from a licensed and enrolled FFL. For checks performed by the FBI, FFLs may contact the NICS Operation Center by telephone via a toll-free number or, in the future, electronically by NICS E-check via the Internet.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Three business days.

**Appeals:**

Persons denied the right to purchase a firearm may appeal the denial by writing to the NICS Program Office, Post Office Box 4278, Clarksburg, WV 26302-4278. Another option that is available is e-mailing the appeal to: nicsappeals@leo.gov .

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

15-0200-0-1-751.

**Obligations:**

(Information) FY 11 Not Available; FY 12 est \$23,103,972; and FY 13 est \$14,455,875

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 28, CFR, Part 25 National Instant Criminal Background Check System Regulation, Public Laws 103-159 Federal Regulations, NICS Brochure, Appeals Brochure, POC Manual and FFL Manual.

**Regional or Local Office:**

See Regional Agency Offices. NICS Program Office, Post Office Box 4278, Clarksburg, WV 26302-4278.

**Headquarters Office:**

Michael Tyler 935 Pennsylvania Avenue, Finance Division, Room 6712, Washington, District of Columbia 20535 Email: michael.tyler@ic.fbi.gov Phone: (202) 324-0495

**Website Address:**

http://www.fbi.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.320 SERVICES FOR TRAFFICKING VICTIMS****FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

22 USC 7105(b2)(A).

**OBJECTIVES:**

To provide assistance to victims of severe forms of trafficking (i.e., sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or the recruitment, harboring, transportation, provision or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery) without regard to the immigration status of the victim. A set aside of the total appropriation for the following purposes is as follows: three percent for research, evaluation, and statistics; five percent for training and technical assistance; and one percent for management and administration of grant funds.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding under this program is intended to address the needs of victims of severe forms of human trafficking as defined by the Trafficking Victims Protection Act (TVPA) of 2000. This includes male and female victims of sex and labor trafficking. The Office for Victims of Crime (OVC) awarded its first cooperative agreements to victim service organizations in FY03 to provide a comprehensive array of direct services to pre-certified foreign national victims. Pre-certification refers to the period of time between when trafficking victims are initially identified by law enforcement and officially certified by the Federal government as such. OVC funds victim service agencies to provide a wide range of services to pre-certified foreign national and, increasingly, American citizens and legal permanent resident victims. Administered jointly by OJP's Bureau of Justice Assistance (BJA) and the OVC, grant funding is made available each year to state and local law enforcement agencies and victim services organizations in support of multidisciplinary, victim-centered task forces dedicated to investigating trafficking crimes and providing culturally competent assistance to victims. These task forces include federal law enforcement agencies, such as the Federal Bureau of Investigation (FBI) and Immigration and Customs Enforcement (ICE), as well as U.S. Attorneys Offices and state and local prosecutors. OVC also makes annual grant funding available exclusively for direct, comprehensive services tailored to the needs of human trafficking victims. These services include intensive case management, food, clothing, shelter, medical and dental care, mental health treatment, translation and interpretation services, immigration legal assistance, and more. This OVC funding also supports efforts to increase the capacity of communities to respond to victims through the development of interagency partnerships and public outreach and awareness campaigns.

**Applicant Eligibility:**

The Attorney General may make grants to States, Indian tribes, units of local government, and nonprofit, non-governmental victim service organizations.

**Beneficiary Eligibility:**

Eligible victim assistance agencies. Eligibility depends on the nature of the grant but may include a wide variety of public and private nonprofit agencies.

**Credentials/Documentation:**

Applications for this program must be submitted electronically via Grants.gov; at a time specified by the Office for Victims of Crime, Office of Justice Programs and must contain the following certification and assurances: (1) assure that the applicant will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (2) assure that the applicant will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide; (3) assure that the applicant will

comply with all applicable nondiscrimination requirements including civil rights compliance, non-discrimination against eligible applicants that are faith or community-based organizations, services to persons with Limited English Proficiency, and protection of human research subjects; (4) certify that the applicant will comply with certifications regarding Lobbying, Debarment, Suspension, and Drug-Free Workplace Requirements (OJP Form 4061/6); and other responsibility matters; and, (5) certify that the information in the application is correct and that the applicant will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, (including subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990) regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 or OMB Circular No. A-133. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In accordance with the Common Rule, Standard Form 424 must be submitted by nonfederal agencies in applying for funding under this program electronically via grants.gov. Forms for funds other than grants or for use by Federal Agencies will be supplied by OVC.

**Award Procedure:**

Generally awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director of the Office for Victims of Crime. The Assistant Attorney General, Office of Justice Programs has final approval authority.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3-5 months.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Beginning in FY11, all grant funding under this program is competitive.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 25%. Eligible applicants must match the Trafficking Victims Protection Act grant program funds with a 25 percent cash contribution or the value equivalent of an in-kind contribution(s). In-kind match refers to the value of something received or provided that does not have a cost associated with it.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Trafficking funds may be carried for obligation by the grantee for the duration of their grant award. Funds are released via electronic funds transfer. Grantees must become enrolled in the Automated Clearinghouse (ACH) Vendor Express Program to request any Federal funds. See the following for information on how assistance is awarded/released: Please see program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports are required. Quarterly financial reports are required. As documented in the solicitation, performance measure data are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of 3 years.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$6,703,070; FY 12 est \$5,046,339; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

In FY12, OVC anticipates awarding grants ranging from \$200,000 to \$400,000 for 2 years to support services to trafficking victims. Additional awards to support research and evaluation, and training and technical assistance may be made.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2012: As of December 2011, OVCs Services for Victims of Human Trafficking Initiative comprised 11 programs serving foreign national victims, 1 program serving domestic minor victims, 1 program serving domestic victims, 15 programs providing comprehensive services to all victims, 1 program providing specialized mental health services for all victims, and 2 programs providing specialized legal and immigration services to all victims. From January through June 2011, grantees served 389 victims and trained 18,111 people including law enforcement and direct victim service providers. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVC discretionary grant solicitations, application guidelines, and the current edition of the OJP Financial Guide are available on-line at the OVC webpage: <http://www.ojp.usdoj.gov/ovc>. BJA grant solicitations and application guidelines are available on the BJA webpage: <https://www.bja.gov/funding.aspx>

**Regional or Local Office:**

None.

**Headquarters Office:**

Zoe French Human Trafficking Services Program, Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: 202-305-2601

**Website Address:**

<http://www.ovc.gov>

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 2011 OVC Report to the Nation: <http://www.ojp.usdoj.gov/ovc/pubs/reporttonation2011/ReporttoNation2011.pdf>  
f. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals have been developed by the Office for Victims of Crime and Bureau of Justice Assistance is included in the OVC Services for Trafficking Victims Discretionary Grant program Solicitations and Application Guidelines.

**16.321 ANTITERRORISM EMERGENCY RESERVE  
FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

42 U.S.C. 10601(d)(5), 42 U.S.C. 10603b(b), 42 U.S.C. 10603c.

**OBJECTIVES:**

Encompasses two programs for victims of terrorism and/or mass violence: (1) Antiterrorism and Emergency Assistance Program (AEAP) and (2) The International Terrorism Victim Expense Reimbursement Program (ITVERP). The AEAP provides assistance and compensation services for victims of domestic terrorism and intentional mass criminal violence and assistance for victims of international terrorism. ITVERP provides reimbursement for victims of acts of international terrorism that occur outside the United States for expenses associated with that victimization.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

AEAP funds are available specifically for services to victims of terrorism and/or intentional mass criminal violence. Funded activities may include compensation, emergency relief, including crisis response efforts, assistance, and ongoing assistance, including during any investigation or prosecution to victims of terrorist acts or mass violence occurring within and outside the United States. Nonmonetary assistance is available for training and technical assistance. ITVERP provides direct reimbursement for out-of-pocket expenses to victims of international terrorism. Claimants may seek reimbursement for expenses incurred for medical, mental health, funeral and burial, property loss, and other miscellaneous costs (including emergency travel, temporary lodging, and telephone costs).

**Applicant Eligibility:**

AEAP: Criteria will vary depending on the grant. For terrorism or mass violence occurring within or outside the U.S., eligible applicants for funding under VOCA, Title II, 42 U.S.C. 10603b, 1404B, include states, victim service organizations, and public agencies (including federal, State and local governments) and non-governmental organizations that provide assistance to victims of crime. With the exception of ITVERP, OVC does not provide funding directly to individual crime victims. ITVERP: For an applicant to be eligible to receive reimbursement under ITVERP as authorized under VOCA, Title II, 42 U.S.C. 10603c, 1404C, an individual must be a national of the United States or an officer or employee of the U.S. Government, as of the date on which the act of terrorism occurred. In addition, the individual must have suffered direct physical or emotional injury or death as a result of an act of international terrorism occurring on or after October 23, 1983, with respect to which an investigation or prosecution was ongoing after April 24, 1996.

**Beneficiary Eligibility:**

AEAP: Public and private nonprofit victim assistance agencies; victims of domestic and international terrorism. Eligibility depends on the nature of the grant. ITVERP: The law requires that the individual victim must have suffered direct physical or emotional injury or death as a result of an act of international terrorism occurring on or after October 23, 1983, with respect to which an investigation or prosecution was ongoing or was commenced after April 24, 1996. In the case of a victim who is a minor, incompetent, incapacitated, or is killed, a family member or legally designated representative of the victim may receive expense reimbursement on behalf of the victim. In addition to the victim, claimants may include the following: Spouse of the victim, Parents of the victim, Children of the victim, Siblings of the victim, Legally designated victim representative.

**Credentials/Documentation:**

All potential applicants shall submit a written proposal along with a budget and budget narrative to the OVC Director for consideration. Proposals submitted by State crime victim compensation program administrators should include the following: (1) a description of the qualifying crime; (2) the projected number of claims to be paid and the projected number of claimants to receive payments; (3) states the maximum award amount by category, such as medical, mental health, lost wages, funeral, etc.; and (4) a description of the range of expenses covered by the program and the amount of state funding available to cover victim claims. Proposals submitted by State crime victim assistance administrators, and all other applicants seeking crime victim assistance, should

include the following: (1) type of crime and description of the criminal event; (2) identification of the lead law enforcement agency conducting the investigation; (3) estimated number of victims affected by the crime; (4) description of the applicant's role in responding to the victim population since the date of the incident; (5) description of services that this funding will support and how these efforts will complement services already in place or will respond to an unmet need; (6) the amount of funding requested and the time frame for support; and (7) description of outreach and coordination with other public and private entities during the process of preparing the request for assistance. Once approved for applying, an AEAP solicitation, with detailed instructions on applying as well as reporting requirements, will be posted on the OJP electronic Grants Management System (GMS). Applicants, except Federal agencies, must submit through GMS (1) SF-424, Application for Federal Funding and applicable assurances and forms; and (2) Budget and budget narrative including a description of all other federal and nonfederal contributions (cash or in-kind). Applications for the AEAP must be submitted to the OVC Director as soon as practical following a terrorist or mass violence event by the appropriate State or federal official or private victim service and non-governmental organizations. ITVERP: All potential applicants shall submit a written application along with all supporting documentation to OVC for consideration. Claimants may apply for itemized, interim emergency, or supplemental reimbursement. An Itemized application should be used by those eligible claimants who are making a first-time request for reimbursement of out-of-pocket expenses that were paid following an international terrorism event. An Interim Emergency application should be used by eligible claimants seeking funds for an immediate need such as medical treatment, short-term lodging, or emergency transportation. A Supplemental application should be used by eligible claimants whose expenses have changed since they submitted an initial application. The supplemental application is for bills that may have been received late, or for new services that were not originally thought necessary or included in the original application. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. AEAP: Whereas the previously submitted proposal letter, budget, and budget narrative were key factors in determining eligibility for funding, they were submitted prior to the posting of a solicitation. Application materials submitted electronically through GMS in response to either the assistance or compensation solicitation become permanent parts of the award file. Thus, it will be necessary to resubmit the proposal letter, budget, and budget narrative documents as part of the application package. Applications will be accepted following an incident of terrorism or mass violence in accordance with the timetable set forth in the AEAP Guidelines. There are two factors that determine the application submission requirements for the AEAP: (1) the applicant status, i.e., government agency (Federal, State, or local), non-governmental organization, or victim service organization; and (2) the type of support requested, i.e., crisis response, consequence management, criminal justice, victim compensation, technical assistance (nonmonetary assistance). Application requirements are listed below. Application requirements for State crime victim compensation programs - Funding will be made available to State crime victim compensation programs in response to an incident of terrorism or intentional mass criminal violence within the United States in the form of a grant. Requests for funding from State crime victim compensation programs may be made at any time in the aftermath of an incident and should include: (1) Responses to the questions or issues raised in the AEAP Compensation Solicitation; (2) Proposal letter; (3) Budget.; (4) Budget narrative; and (5) SF-424, Application for Federal Assistance and applicable assurances and forms.. Application requirements for all other recipients of funds -All other applicants seeking Antiterrorism Emergency Reserve support are required to submit: (1) Responses to the questions or issues raised in the AEAP Assistance Solicitation; (2) Proposal letter; (3) Budget; (4) Budget narrative; and (5) SF-424, Application for Federal Assistance and applicable assurances and forms. While no direct funding is available, OVC may provide its own consultants to meet the training and technical assistance needs of applicants.

Training and technical assistance may be requested by submitting a letter describing the nature of the problem; the type of expertise or assistance needed; the duration of assistance; and the projected outcomes of the technical assistance or training. See OVC guidelines published in the Federal Register (Vol. 67, No. 21, Thursday, January 31, 2002) for additional information on application requirements for the AEAP. ITVERP: Step 1: Identify the type of application you are applying for by marking the appropriate type at the top of the application form. In addition, a supplemental sheet must be filled out by applicants. Sections B, F and H should be answered by all applicants; section G should be answered by Itemized and Supplemental applicants only. Detailed instructions are included. Step 2: If you believe that you are an eligible victim of a "designated" international terrorism event, please use the following forms and information to prepare your application for reimbursement. Required Documentation: A victim is required to submit documentation that provides proof of identity, citizenship, employment, and damage/injury sustained during the international terrorism event. A victim's family member or representative is required to submit documentation of his/her relationship to the victim plus medical information or a death certificate as appropriate, in addition to the items named above. In all cases, receipts for expenses incurred in the recovery process will be required. If any of the required documents have been destroyed and are unavailable from any other source, you must provide and certify a list of destroyed documents and how each would apply to your ITVERP application.

#### **Award Procedure:**

AEAP: Upon receipt and internal review of a complete application, it is the intention of OVC to notify applicants of funding decision within 5 business days or as soon as practicable. The applicant may be notified by telephone, Internet or facsimile. ITVERP: After review of each application, the Director shall determine the eligibility of the victim or representative and the amount, if any, eligible for reimbursement, specifying the reasons for such determination and the findings of fact and conclusions of law supporting it. A copy of the determination shall be mailed to the claimant at his last known address.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

AEAP: It is OVC's intention to make a funding decision within 5 business days of receipt of a complete application or as soon as practicable. ITVERP: It is OVC's intention to review and process payments as soon as practicable. For itemized and supplemental claims, range of approval/disapproval is dependant upon receipt of an official determination of a reasonable indication of an act of international terrorism from the Assistant Attorney General of National Security for a particular event. Processing time is also dependant upon timely response by claimants of any outstanding documents or information required to process claim applications. Claimants may apply for an interim emergency payment, prior to a determination under Section 94.21(a). If the Director determines that such payment is necessary to avoid or mitigate substantial hardship that may result from delaying reimbursement until complete and final consideration of an application, such payment may be made to cover immediate expenses such as those of medical care, funeral and burial, short-term lodging, and emergency transportation.

#### **Appeals:**

For both programs, hearing by the Assistant Attorney General, Office of Justice Programs.

#### **Renewals:**

AEAP: See OVC guidelines for Antiterrorism and Emergency Assistance Program for Terrorism and Mass Violence Crimes published in the Federal Register, Vol. 67, No. 21, Thursday, January 31, 2002. ITVERP: Not applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**



AEAP: For grants, dollars remaining unspent by the State or program within 3 fiscal years after the end of the fiscal year in which the award was made, will revert to the Crime Victims Fund/Antiterrorism Emergency Reserve. Funds are released via the Electronic Transfer System (formerly the Letter of Credit System) on an as needed basis to the recipient.

ITVERP: Reimbursements are released via the Electronic Transfer System directly into the claimants bank account. See the following for information on how assistance is awarded/released: Please contact program office for more information.

**Reports:**

No program reports are required. No cash reports are required. AEAP: semi-annual progress reports are required. ITVERP: There are no reporting requirements for claimants under ITVERP. AEAP: Quarterly financial reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required. ITVERP: There are no reporting requirements for claimants under ITVERP. Performance measure data, as stipulated in the solicitation, are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. AEAP: All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year. Not applicable to ITVERP.

**Records:**

AEAP: Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of 3 years. ITVERP: All claim files and automated data files are retained on hard copy and on a computer database. All claim files and automated data pertaining to a claim are destroyed 10 years after the date the claim has been fully processed and/or payment made, as approved by the National Archives and Records Administration (NARA). Automated data is retained in its most current form only, however, and as information is updated, outdated information is deleted.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Project Grants (Contracts)) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Varies depending on terrorism/mass violence event and specific need(s).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: During FY 11, following the shooting in Tucson, Arizona, the Pima County Attorneys Office sought assistance under the Antiterrorism and Emergency Assistance Program (AEAP). OVC awarded a 3-year, \$1.7 million grant to manage the impact of this violent event on the more than 150 victims (six who were killed and 13 who were injured) and witnesses, and the many first responders. Additionally, OVC awarded a 24-month, \$1,500,000 cooperative agreement to the Mental Health Association of New York City (MHA-NYC) to establish the 9/11 Healing and Remembrance Program. The Program provided case management services; mental health counseling or emotional support; 24/7 telephone hotline crisis counseling; and information on events and activities related to the commemoration of the 9/11 attacks. Under the program, 540 requests for travel assistance were received from family members of the victims of the 9/11 attacks, and during the 10th Anniversary Commemorative events, 464 persons accessed services at the Family Support Centers located at each of the sites (New York City, Shanksville, PA, and Arlington, VA. Fiscal Year 2012: Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further guidance on the AEAP application procedure and current edition of the OJP Financial Guide are available on the OVC web site at [www.ovc.gov](http://www.ovc.gov) or by writing to Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531; Telephone: (202) 307-5983. ITVERP application materials and program information are available on the OVC web site at [www.ovc.gov/itverp](http://www.ovc.gov/itverp) or by writing to Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, DC 20531; Telephone: (1-800) 363-0441.

**Regional or Local Office:**

None.

**Headquarters Office:**

J. Robert Cantrall Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20531 Phone: (202) 307-5983.

**Website Address:**

<http://www.ovc.gov>.

**RELATED PROGRAMS:**

16.575 Crime Victim Assistance; 16.576 Crime Victim Compensation; 16.582 Crime Victim Assistance/Discretionary Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the guidelines, regulations, and application kits for these programs. Additional criteria may be developed by the Office for Victims of Crime and will be published in the application packages.

**16.524 LEGAL ASSISTANCE FOR VICTIMS**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 103, Public Law 109-162.; Violence Against Women Act of 2000, Section 1201, 42 U.S.C. 3796gg-6, as amended.

**OBJECTIVES:**

These grants are for increasing the availability of comprehensive civil and criminal legal services to victims of domestic violence, dating violence, sexual assault, and stalking in matters arising from the abuse or violence. The goal is to develop innovative, collaborative programs within the legal system that promote victim safety and increase victim economic autonomy.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Legal Assistance for Victims Grant Program provides an opportunity for communities to enhance legal assistance for victims. Funds may be used: (1) to implement, expand, and establish cooperative efforts and projects between domestic violence, dating violence, and sexual assault victim services organizations and legal assistance providers to provide legal assistance for victims of domestic violence, dating violence, stalking, and sexual assault; (2) to implement, expand, and establish efforts and projects to provide legal assistance for victims of domestic violence, dating violence, stalking, and sexual assault by organizations with a demonstrated history of providing direct legal or advocacy services on behalf of these victims; and (3) to provide training, technical assistance, and data collection to improve the capacity of grantees and other entities to offer legal assistance to victims of domestic violence, dating violence, stalking, and sexual assault.

**Applicant Eligibility:**

Eligible grantees for this program are private, nonprofit entities, Indian tribal governments and tribal organizations, territorial organizations, and publicly funded organizations not acting in their governmental capacity, such as law

schools.

**Beneficiary Eligibility:**

Beneficiaries include public or private nonprofit entities providing legal assistance primarily to victims of domestic violence, sexual assault, and or stalking.

**Credentials/Documentation:**

To be eligible for an award under the LAV Grant Program, applicants must certify in writing that they are in compliance with the following statutory requirements:

- (1) Any person providing legal assistance through a program funded under the LAV Grant Program has completed or will complete training in connection with sexual assault, domestic violence, dating violence, or stalking and related legal issues.
- (2) Any training program conducted in satisfaction of the requirement of paragraph (1) has been or will be developed with input from and in collaboration with a State, Territorial, Tribal, or local sexual assault, domestic violence, dating violence, or stalking programs or coalition, as well as appropriate, State, Territorial, Tribal, and local law enforcement officials.
- (3) Any person or organization providing legal assistance through a program funded under the LAV Grant Program has informed and will continue to inform State, local, or Tribal sexual assault, domestic violence, dating violence, or stalking programs and coalitions, as well as appropriate State and local law enforcement officials of their work.
- (4) The grantee's organizational policies do not require mediation or counseling involving offenders and victims physically together, in cases where sexual assault, domestic violence, dating violence, and stalking, or child sexual abuse is an issue. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply online through the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation grant awards are competitively selected and determined on a case-by-case basis.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. Grants will be made for amounts

up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 36 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$31,930,180; FY 12 est \$30,773,287; and FY 13 est \$30,773,287

**Range and Average of Financial Assistance:**

Range: \$226,000-\$606,812  
Average: \$476,570.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY11:  
280 applications  
67 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable. Legal Assistance for Victims Grantee Policy Guidebook.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and are

included in an annual solicitation.

## **16.525 GRANTS TO REDUCE DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ON CAMPUS**

### **FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

### **AUTHORIZATION:**

The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 304, Public Law 109-162, 42 U.S.C. 14045b.

### **OBJECTIVES:**

To develop and strengthen effective security and investigation strategies to combat sexual assault, domestic violence, dating violence, and stalking on campuses, and to develop and strengthen victim services in cases involving such crimes against women on campuses, which may include partnerships with local criminal justice authorities and community-based victim services agencies.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funds may be used for one or more of the following statutory program purpose areas: (1) To provide personnel, training, technical assistance, data collection, and other equipment with respect to the increased apprehension, investigation, and adjudication of persons committing domestic violence, dating violence, sexual assault, and stalking on campus. (2) To develop and implement campus policies, protocols, and services that more effectively identify and respond to crimes of domestic violence, dating violence, sexual assault, and stalking, and to train campus administrators, campus security personnel, and personnel serving on campus disciplinary or judicial boards on such policies, protocols, and services. (3) To implement and operate education programs for the prevention of domestic violence, dating violence, sexual assault, and stalking. (4) To develop, enlarge, or strengthen victim services programs on the campuses of the institutions involved, including programs providing legal, medical, or psychological counseling, for victims of domestic violence, dating violence, sexual assault, and stalking, and to improve delivery of victim assistance on campus. To the extent practicable, such an institution shall collaborate with any entities carrying out nonprofit and other victim services programs, including domestic violence, dating violence, sexual assault, and stalking victim services programs in the community in which the institution is located. If appropriate victim services programs are not available in the community or are not accessible to students, the institution shall, to the extent practicable, provide a victim services program on campus or create a victim services program in collaboration with a community-based organization. The institution shall use not less than 20 percent of the funds made available through the grant for a victim services program provided in accordance with this paragraph. (5) To create, disseminate, or otherwise provide assistance and information about victims' options on and off campus to bring disciplinary or other legal action, including assistance to victims in immigration matters. (6) To develop, install, or expand data collection and communication systems, including computerized systems, linking campus security to the local law enforcement for the purpose of identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions with respect to the crimes of domestic violence, dating violence, sexual assault, and stalking on campus. (7) To provide capital improvements (including improved lighting and communications facilities but not including the construction of buildings) on campuses to address the crimes of domestic violence, dating violence, sexual assault, and stalking. (8) To support improved coordination among campus administrators, campus security personnel, and local law enforcement to reduce domestic violence, dating violence, sexual assault, and stalking on campus.

### **Applicant Eligibility:**

Institutions of higher education as defined under the Higher Education Amendments of 1998 that are in compliance with the campus crime reporting requirements set forth in 20 U.S.C. 1092 (f) as amended by Public Law 105-244, 112 Stat. 1581, Sec. 486 (e) (1998). A consortia of institutions of higher education may also apply for these grants provided that each individual consortium member is also eligible to apply.

### **Beneficiary Eligibility:**

Institutions of higher education.

### **Credentials/Documentation:**

Applicants must certify that they are in compliance with the campus crime reporting requirements set forth in 20 U.S.C. 1092 (f) as amended by Public Law 105-244, 112 Stat. 1581, Section 486 (e) (1998) and also certify that they are in compliance with 20 U.S.C. 1232g(b)(6). In addition, applicants must meet the following minimum requirements: (1) Collaborate with at least one nonprofit, nongovernmental victim services agency within the community and criminal justice or civil legal agencies (2) Create a coordinated community response to violence against women on campus (3) Establish a mandatory intervention and education campaign for all incoming students, including a bystander intervention program (4) Train campus police to respond effectively to domestic violence, dating violence, sexual assault, and stalking (5) Train members of campus disciplinary boards to respond effectively to charges of domestic violence, dating violence, sexual assault, and stalking. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and parts 230 apply.

### **Award Procedure:**

Upon approval by the Office on Violence Against Women, an electronic notification will be sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to OVW.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

### **Appeals:**

Not Applicable.

### **Renewals:**

Renewals are considered on a case-by-case basis and competitively selected.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Up to 3 years. Funds are released on an as needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Quarterly financial reports are required as stipulated in the program regulations

and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete and accurate records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$7,331,923; FY 12 est \$7,506,267; and FY 13 est \$7,506,267

**Range and Average of Financial Assistance:**

Range: \$47,540-\$498,138

Average: \$278,151.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY11:

130 applications

26 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No

Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia  
20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.524 Legal Assistance for Victims; 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by Violence Against Women and Department of Justice Reauthorization Act of 2005 and published program guidelines.

**16.527 SUPERVISED VISITATION, SAFE HAVENS FOR CHILDREN**

(Supervised Visitation)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 306, Public Law 109-162.; Victims of Trafficking and Violence Protection Act of 2000; Public Law 106-386, Section 1301, as amended; 42 U.S.C. 10420.

**OBJECTIVES:**

To provide an opportunity for communities to support supervised visitation and safe exchange of children, in situations involving domestic violence, dating violence, child abuse, sexual assault, or stalking.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are available for one or more of the following statutory purposes: (1) to provide supervised visitation and safe visitation exchange of children by and between parents in situations involving domestic violence, dating violence, child abuse, sexual assault, or stalking; (2) to protect children from the trauma of witnessing domestic or dating violence or experiencing abduction, injury, or death during parent and child visitation exchanges; (3) to protect parents or caretakers who are victims of domestic and dating violence from experiencing further violence, abuse, and threats during child visitation exchanges; and (4) to protect children from the trauma of experiencing sexual assault or other forms of physical assault or abuse during parent and child visitation and visitation exchanges.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, and units of local government.

**Beneficiary Eligibility:**

Beneficiaries include public and private nonprofit entities that provide supervised visitation and safe exchange of children.

**Credentials/Documentation:**

Applicants must demonstrate expertise in the area of family violence, including the areas of domestic violence or sexual assault, as appropriate; ensure that any fees charged to individuals for use of programs and services are based on the income of those individuals, unless otherwise provided by court order; demonstrate that adequate security measures, including adequate facilities, procedures, and personnel capable of preventing violence, are in place for the operation of supervised visitation programs and services or safe visitation exchange; and prescribe standards by which the supervised visitation or safe visitation exchange will occur. In addition, all applicants are required to enter into a collaborative working relationship with state or local courts and a nonprofit, nongovernmental victim services provider in the local community to be served, such as the State or tribal domestic violence coalition, State or tribal sexual assault coalition, local shelters, and programs for domestic violence and sexual assault victims. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Length of assistance is provided in an annual solicitation. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$7,734,906; FY 12 est \$6,224,569; and FY 13 est \$6,224,569

**Range and Average of Financial Assistance:**

Range: \$340,216 - \$492,500;

Average: \$386,745.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY11:

53 applications

20 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov>.

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.528 ENHANCED TRAINING AND SERVICES TO END VIOLENCE AND ABUSE OF WOMEN LATER IN LIFE**

Abuse in Later Life

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Public Law 109-162, section 205(a).; Victims of Trafficking and Violence Protections Act of 2000; Public Law 106-386; 42 U.S.C. 14041a.

**OBJECTIVES:**

To provide training, services, and collaboration to address the needs of victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for the following statutory purposes: (1) training programs to assist law enforcement, prosecutors, governmental agencies, victim assistants, and relevant officers of Federal, State, tribal, territorial, and local courts in recognizing, addressing, investigating, and prosecuting instances of elder abuse, neglect, and exploitation, including domestic violence, dating violence, and sexual assault, or stalking against victims who are 50 years of age or older; (2) providing or enhancing services for victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, or stalking, who are 50 years of age or older; (3) creating or supporting multidisciplinary collaborative community responses to victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older; and (4) conducting cross-training for victim service organizations, governmental agencies, courts, law enforcement, and nonprofit, nongovernmental organizations serving victims of elder abuse, neglect, and exploitation, including domestic violence, dating violence, sexual assault, and stalking, who are 50 years of age or older.

**Applicant Eligibility:**

Eligible applicants include States, tribal governments, units of local government, and nonprofit, nongovernmental victim services organizations with demonstrated experience in assisting elderly women or demonstrated experience in addressing domestic violence, dating violence, sexual assault, and stalking.

**Beneficiary Eligibility:**

Beneficiaries include States, tribal governments, units of local government, and nonprofit, nongovernmental victim services organizations with demonstrated experience in assisting elderly women or demonstrated experience in addressing domestic violence, dating violence, sexual assault, and stalking.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-110 for Institutions of Higher Education, Hospitals and Other Nonprofit Organizations. This program is

excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, a letter is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants are notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 36 months for new recipients. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. Cash reports are not applicable. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB

Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$3,343,875; FY 12 est \$2,835,737; and FY 13 est \$2,835,737

**Range and Average of Financial Assistance:**

Range: \$275,000 - \$400,00

Average: \$371,542.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY11:

27 applications

9 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities ; 16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.529 EDUCATION, TRAINING, AND ENHANCED SERVICES TO END VIOLENCE AGAINST AND ABUSE OF WOMEN WITH DISABILITIES**

(Disability Grant Program)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Victims of Trafficking and Violence Protections Act of 2000, Section 1402, 42 U.S.C. 3796gg-7), as amended; ; Violence Against Women and Department of Justice Reauthorization Act of 2005, Title II, Section 204, Public Law 109-162.

**OBJECTIVES:**

To provide training, consultation, and information on domestic violence, dating violence, stalking, and sexual assault against individuals with disabilities (as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102)); and to enhance direct services to such individuals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants awarded under this program shall be used for the following statutory program purposes: (1) to provide personnel, training, technical assistance, advocacy, intervention, risk reduction and prevention of domestic violence,

dating violence, stalking, and sexual assault against disabled individuals; (2) to conduct outreach activities to ensure that disabled individuals who are victims of domestic violence, dating violence, stalking, or sexual assault receive appropriate assistance; (3) to conduct cross-training for victim service organizations, governmental agencies, courts, law enforcement, and nonprofit, nongovernmental organizations serving individuals with disabilities about risk reduction, intervention, prevention and the nature of domestic violence, dating violence, stalking, and sexual assault for disabled individuals; (4) to provide technical assistance to assist with modifications to existing policies, protocols, and procedures to ensure equal access to the services, programs, and activities of victim service organizations for disabled individuals; (5) to provide training and technical assistance on the requirements of shelters and victim services organizations under Federal antidiscrimination laws, including: (A) the Americans with Disabilities Act of 1990; and (B) section 504 of the Rehabilitation Act of 1973; (6) to modify facilities, purchase equipment, and provide personnel so that shelters and victim service organizations can accommodate the needs of disabled individuals; (7) to provide advocacy and intervention services for disabled individuals who are victims of domestic violence, dating violence, stalking, or sexual assault; or (8) to develop model programs providing advocacy and intervention services within organizations serving disabled individuals who are victims of domestic violence, dating violence, sexual assault, or stalking. (Grants for this purpose may only be awarded to an eligible agency as defined in section 410 of the Rehabilitation Act of 1973 (29 U.S.C. 796f-5)).

**Applicant Eligibility:**

States, units of local government, Indian tribal governments or tribal organizations, and nonprofit, nongovernmental victim services organizations, such as state domestic violence or sexual assault coalitions or nonprofit, nongovernmental organizations serving disabled individuals. For profit organizations and individuals are not eligible.

**Beneficiary Eligibility:**

Beneficiaries include victim service agencies who respond to crime victims who are individuals with disabilities.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and parts 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 3 years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend \$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than 9 months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$7,050,000; FY 12 est \$4,695,325; and FY 13 est \$4,695,325

**Range and Average of Financial Assistance:**

Range: \$500,000 - \$700,000

Average: \$587,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY11:

45 applications

12 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.550 STATE JUSTICE STATISTICS PROGRAM FOR STATISTICAL ANALYSIS CENTERS**

SACs

**FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; 42 U.S.C. 3731-3732.

**OBJECTIVES:**

To provide financial and technical assistance to state governments for the establishment and operation of Statistical Analysis Centers (SACs) to collect, analyze, and disseminate justice statistics.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To improve the administration of justice by encouraging the development of State-level capabilities for collecting, analyzing, utilizing, and disseminating statistical information pertaining to crime, criminal justice, sex offenses, incident based reporting, and for providing statistical information to the Federal Government for national compilations. To analyze particular criminal justice issues of current concern and significance to criminal justice practitioners, as identified by BJS in conjunction with other Office of Justice Programs components, the Justice Research and Statistics Association, and selected SAC Directors. Further information is available in the "State Justice Statistics Program for Statistical Analysis Centers: 2012.

**Applicant Eligibility:**

Eligible applicants are state agencies whose responsibilities include statistical activities consistent with the goals of the specific programs and are designated as the state Statistical Analysis Center through an Executive Order or legislation.

**Beneficiary Eligibility:**

Eligible beneficiaries are state agencies whose responsibilities include statistical activities consistent with the goals of the specific programs.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, details of the program budget composition, goals, impact, methods, evaluation plan, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific

application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement. Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are included with the application instructions, which are posted on the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Appeals:**

Hearings by the Director.

**Renewals:**

Most awards are for periods of 12 months. Under some circumstances, a subsequent award may be made to continue the project.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a 24 to 36 month project period. See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). See the following for information on how assistance is awarded/released: Please contact the program office for further information.

**Reports:**

No program reports are required. No cash reports are required. Recipients are required to submit semi-annual Progress Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work. Performance measure data, as specified in the solicitation, are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action



involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 11 \$3,500,000; FY 12 est \$3,000,000; and FY 13 est \$300,000

**Range and Average of Financial Assistance:**

\$65,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Contact BJS for up-to-date information on program accomplishments. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.  
<http://www.ojp.gov/funding/solicitations.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephanie L. Burroughs, BJS, Department of Justice, Washington, District of Columbia 20531 Email: [Stephanie.Burroughs@usdoj.gov](mailto:Stephanie.Burroughs@usdoj.gov) Phone: (202) 514-9012.

**Website Address:**

<http://www.bjs.gov/index.cfm?ty=tp&tipd=48>

**RELATED PROGRAMS:**

16.734 Special Data Collections and Statistical Studies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: <http://bjs.gov/index.cfm?ty=tp&tid=48#state>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the program announcement.

**16.554 NATIONAL CRIMINAL HISTORY IMPROVEMENT PROGRAM (NCHIP)**

**FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Public Law 105-251; 42 U.S.C. 3760.

**OBJECTIVES:**

To enhance the quality and completeness of the nation's criminal history record systems; to provide financial and technical assistance to states and tribes for the establishment or improvement of computerized criminal history record systems and in their efforts to collect data on stalking and domestic violence; to improve data accessibility and support data transmissions to national systems will permit the immediate identification of persons who are prohibited from purchasing firearms, are subject to domestic violence protective orders, or are ineligible to hold positions of responsibility involving children, the elderly, or the disabled; to develop and improve the processes for identifying, classifying, collecting, and entering data regarding stalking and domestic violence into local, state, and national crime information databases; to ensure that criminal justice systems are designed, implemented, or upgraded to be compliant where applicable, with the FBI operated National Instant Criminal Background Check System and Interstate Automated Fingerprint Identification System, meet other applicable statewide or regional criminal justice information sharing standards and plans; and, build upon ongoing efforts so as to support the wide range of technology based, criminal justice information, identification, and communications needs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Allowable uses of funds are outlined in the NCHIP fiscal year 2012 Program Announcement released February 2012.

**Applicant Eligibility:**

Applicants are limited to the agency designated by the governor in each state to administer the NCHIP program, and federally recognized tribal entities. States and tribes may choose to submit applications as part of a multi-state consortium, multi-tribe consortium, or other entity. In such cases, please contact your BJS program manager for further information..

**Beneficiary Eligibility:**

Funds awarded to the state or tribe may be allocated for use in state or local/tribal agencies or the courts, but should have an impact on national record systems. Private organizations may receive funds under contract arrangements with a state/tribal agency or its subgrantees to which NCHIP funds are allocated by the state/tribe.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, a detailed budget, a budget narrative, and a program narrative including the accomplishments, goals, impact, methods, evaluation plan, and resources of the project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through [grants.gov](http://grants.gov) following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement. Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Hearings by the Director.

**Renewals:**

Awards may be for up to 12 months. Activities must be completed by September 30, 2013.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10.%. Provision of a 10 percent cash or in-kind match by the recipient is required.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project duration period will be for up to 12 months. There are three methods for requesting payment of grant funds: the Letter of Credit Electronic Certification System (LOCES), the Phone Activated Paperless Request System (PAPRS) and the Automated Standard Application for Payment (ASAP). See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

No program reports are required. No cash reports are required. Progress Reports presenting information relevant to the performance of the project to be submitted online through GMS for reporting periods June 30 and December 31. Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award to be submitted quarterly online through GMS. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754; 15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$9,300,000; FY 12 est \$6,000,000; and FY 13 est \$6,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Please contact BJS for up-to-date listing of program accomplishments. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Devon B. Adams, Bureau of Justice Statistics, Department of Justice

, Washington, District of Columbia 20531 Email: Devon.Adams@usdoj.gov  
Phone: (202) 307-0765.

**Website Address:**

<http://bjs.gov/index.cfm?ty=tp&tid=47>

**RELATED PROGRAMS:**

16.813 NICS Act Record Improvement Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: [http://bjs.gov/index.cfm?ty=tp&tid=47#state\\_by\\_state](http://bjs.gov/index.cfm?ty=tp&tid=47#state_by_state). Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.560 NATIONAL INSTITUTE OF JUSTICE RESEARCH, EVALUATION, AND DEVELOPMENT PROJECT GRANTS FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Section 201, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690.

**OBJECTIVES:**

To encourage and support research, development, and evaluation to further understanding of the causes and correlates of crime and violence, methods of crime prevention and control, and criminal justice system responses to crime and violence and contribute to the improvement of the criminal justice system and its responses to crime, violence, and delinquency.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds may be used to conduct research and development pertaining to the above objectives, including the development of new or improved approaches, techniques, systems, and technologies and to carry out programs of research on the causes of crime and means of preventing crime, and to evaluate criminal justice programs and procedures, and responses to crime, violence, and delinquency.

**Applicant Eligibility:**

The National Institute of Justice (NIJ) is authorized to make grants to, or enter into contracts or cooperative agreements with State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, nonprofit organizations, institutions of higher education, and qualified individuals. Applicants from the Territories of the United States and federally recognized Indian Tribal Governments are also eligible to participate in this program. Federal agencies are eligible to apply for funding under this solicitation. If an award is made to a Federal agency, it will be through an Interagency Agreement (IAA) with the National Institute of Justice, Office of Justice Programs, Department of Justice.

**Beneficiary Eligibility:**

State and local governments; private nonprofit organizations, public nonprofit organizations, profit organizations, nonprofit organizations, institutions of higher education, and qualified individuals.

**Credentials/Documentation:**

The applicant must furnish, along with the application for a grant, cooperative agreement or contract, resumes of principal investigator and key personnel, details of the budget composition, goals, impact, methods, evaluation, schedule and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. General information is provided in individual program solicitations, which are obtained by accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij), sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; or calling toll free to request a copy. Telephone: (800) 851-3420. This program is subject to the provisions of OMB Circular No. A-110 or the Common Rule, where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at (1-888) 549-9901.

**Award Procedure:**

All applications are reviewed and evaluated by program managers for compatibility with the needs of the Institute's research plan, on-going or prior studies, and the particular promise of the proposal itself. The Institute uses external peer review processes, in addition to NIJ program manager review, in order to weigh each application in terms of proposed methodology, economy, and other criteria bearing on the technical merit of the proposal. The Institute Director makes final award decisions, incorporating the recommendations of the relevant NIJ staff and management-level personnel and external peer reviewers.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days for concept papers and 180 days for full proposals.

**Appeals:**

Hearing by the Director.

**Renewals:**

Please contact the program office for more information.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula requirement. However, the Institute shall require, whenever feasible, as a condition of approval of a grant or contract that the recipient contribute money, facilities, or services to carry out the purpose for which the grant or contract is sought.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project durations are normally up to 24 months but longer awards are possible. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual. Quarterly. Performance measures are required, as specified in the solicitation.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or contractor contributed funds shall be maintained during the grant and contract period and retained for 3 years thereafter.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$47,904,000; FY 12 est \$40,000,000; and FY 13 est \$48,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and funding information are available free from the National Criminal Justice Reference Service, Box 6000, Rockville, MD 20849-6000. Telephone: (800) 851-3420. It is also available electronically through the NCJRS web site at [www.ncjrs.org](http://www.ncjrs.org) or through the NIJ website under "Funding Opportunities" at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**Regional or Local Office:**

None.

**Headquarters Office:**

NIJ, National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Phone: (202) 307-6394.

**Website Address:**

<http://www.ojp.usdoj.gov/nij>.

**RELATED PROGRAMS:**

16.562 Criminal Justice Research and Development\_Graduate Research Fellowships; 16.566 National Institute of Justice W.E.B. DuBois Fellowship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are evaluated according to the criteria specified in the program solicitation. With few exceptions, all proposals are reviewed competitively by a peer review panel consisting of outside experts in the field for technical quality and the general merits of the problems addressed. The Institute uses the peer review process to ensure fair and knowledgeable evaluation of preapplications and proposals. Program solicitations are announced in the Federal Register and advertised on the Institute's website at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij).

**16.562 CRIMINAL JUSTICE RESEARCH AND DEVELOPMENT\_GRADUATE RESEARCH FELLOWSHIPS**

Graduate Research Fellowship Program

**FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690.

**OBJECTIVES:**

NIJs Graduate Research Fellowship (GRF) program provides awards for research on crime, violence, and other criminal justice-related topics to accredited academic universities that support graduate study leading to research-based doctoral degrees in disciplines relevant to the Institutes mission. This program furthers the Departments mission by sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of crime and justice, particularly at the State and local levels.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The GRF program is intended to support universities that sponsor students who are in the final stages of graduate study. Awards are granted to successful applicants in the form of a grant to cover a doctoral student stipend. A research grant of up to \$25,000 may be awarded to successful applicants (i.e., accredited universities in the U.S.) toward costs associated with the fellowship recipient's dissertation research. Fellowships are funded for between 18 and 24 months.

**Applicant Eligibility:**

Accredited institution of higher education offering a doctoral degree program. The institution must be fully accredited by one of the regional institutional accreditation commissions recognized by the U.S. Secretary of Education.

The degree program does not have to be in criminal justice, but proposed dissertation research must be related to criminal justice issues and in an NIJ-supported discipline (i.e., social and behavioral sciences, operations technology, information and sensors research and development, and investigative and forensic sciences).

**Beneficiary Eligibility:**

The student must be engaged in doctoral dissertation research directly relevant to crime, law enforcement and/or criminal justice.

**Credentials/Documentation:**

Eligible institutions interested in competing for a fellowship must furnish along with the application for a grant all required forms by the due date. Students must complete the program narrative section of the application packet and required appendices. Required appendices include but are not limited to a letter of support from the students dissertation advisor on signed university letterhead, and a project timeline and research calendar with expected milestones. In addition, although it is not necessary to have formally defended the dissertation prospectus at the time of application due date, the following must have occurred and be documented in the application: the doctoral student must have completed all required course work; the doctoral student must be advanced to candidacy by the university; and the doctoral student must have passed qualifying comprehensive exams. By the award date, documentation must be provided indicating that these requirements have been met. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

Grants are awarded by the Institute Director based on the recommendations of criminal justice experts from outside reviewers and Institute staff. Successful applicants are notified via the Grants Management System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Deadlines are included with the application instructions, which are posted on the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Appeals:**

Hearings by the Director.

**Renewals:**

Please contact program office for more information.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a 24 to 36 month project period. See the following for information on how assistance is awarded/release: Office of Justice

Programs Financial Guide 2011

([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). See the following for information on how assistance is awarded/released: Please contact program office.

**Reports:**

No program reports are required. No cash reports are required. Semiannual progress reports are required. An electronic copy of the final, signed and approved dissertation is required upon completion. Quarterly financial reports are required. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise.

These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$125,000; FY 12 est \$125,000; and FY 13 est \$125,000

**Range and Average of Financial Assistance:**

Capacity Building Awards up to \$125,000  
Training and Technical Assistance Award up to \$1 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program solicitation, "Fellowship Opportunities," is available by sending a self-addressed mailing label to: National Criminal Justice Reference Service, Box 6000, Rockville, MD 20850, or call toll free to request a copy. Telephone: (800) 851-3420. Also available electronically from the Justice Information Center on the world wide web at [www.ncjrs.org](http://www.ncjrs.org) or on NIJ's web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under "Funding Opportunities".

**Regional or Local Office:**

None.

**Headquarters Office:**

NIJ, National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Phone: (202) 307-2942.

**Website Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grasp of issues and the relationship of issues to significant problems confronting criminal justice in the United States, description of design and methodology, the potential utility of results, and qualifications of applicant to produce acceptable doctoral dissertation (based upon proposal paper, university endorsement, and researcher's background statement).

## **16.571 PUBLIC SAFETY OFFICERS' BENEFITS PROGRAM**

PSOB

### **FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

### **AUTHORIZATION:**

Public Safety Officers' Benefits Act of 1976, as amended by Omnibus Crime Control and Safe Streets Act of 1968, Title I, Part L, Public Law 90-351, 42 U.S.C 1201.

### **OBJECTIVES:**

To provide death benefits to the eligible survivors of federal, state, or local public safety officers whose deaths are the direct and proximate result of a personal (traumatic) injury sustained in the line of duty. Effective November 29, 1990, the Act also provides the same benefit to a public safety officer who has been permanently and totally disabled as the direct result of a catastrophic personal injury sustained in the line of duty. The injury must permanently prevent the officer from performing any gainful work.

### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

### **USES AND USE RESTRICTIONS:**

To provide a one-time financial death benefit to the eligible survivors of federal, state, or local public safety officers, and disability benefit to the federal, state, or local public safety officer whose permanent and total disability is the direct and proximate result of a catastrophic personal injury sustained in the line of duty. There are no restrictions to how the monies are spent once they reach the recipient with the exception that monies paid on behalf of minor children must be used for their care and benefit.

### **Applicant Eligibility:**

Public safety officers--A public safety officer is a person serving a public agency in an official capacity, with or without compensation, as a law enforcement officer, firefighter or member of a public rescue squad or ambulance crew. Law enforcement officers include but are not limited to police, corrections, probation, parole and judicial officers. Volunteer firefighters and members of volunteer rescue squads and ambulance crews are covered if they are officially recognized or designated members of legally organized volunteer fire, rescue or ambulance departments. Disabled public safety officers and eligible survivors of deceased public safety officers in the District of Columbia, Puerto Rico, Guam, Virgin Islands, American Samoa, the Pacific Trust Territories and the Northern Mariana Islands are also entitled to benefits under the Act. Death benefit coverage for (1) state and local law enforcement officers and firefighters applies to deaths occurring on or after September 29, 1976; (2) federal law enforcement officers and firefighters applies to deaths occurring on or after October 12, 1984; (3) federal, state, and local rescue squad and ambulance crew members applies to death occurring on or after October 15, 1986; and (4) Federal Emergency Management Agency (FEMA) personnel and state, local, and tribal emergency management and civil defense agency employees applies to deaths occurring on or after October 30, 2000. Disability benefit coverage for federal, state, and local law enforcement officers, firefighters and members of public rescue squads and ambulance crews applies to injuries sustained on or after November 29, 1990. FEMA personnel and state, local, and tribal emergency management and civil defense agency employees are covered for such injuries sustained on or after October 30, 2000. Disability benefit coverage for federal, state, and local law enforcement officers, firefighters and members of public rescue squads and ambulance crews applies to injuries sustained on or after November 29, 1990. FEMA personnel and state, local, and tribal emergency management and civil defense agency employees are covered for such injuries sustained on or after October 30, 2000.

### **Beneficiary Eligibility:**

The Public Safety Officers' Benefits (PSOB) Act, enacted in 1976, was designed to offer peace of mind to men and women seeking careers in public safety and to make a strong statement about the value American society places on the contributions of those who serve their communities in potentially dangerous circumstances. The PSOB Program provides a one-time financial benefit to the eligible survivors of public safety officers whose deaths are the direct and proximate result of a traumatic injury sustained in the line of duty. As of October 1, 2011, the death benefit amount is \$323,036.

### **Credentials/Documentation:**

Claim forms entitled "Claim for Death Benefits" and "Report of Public Safety Officer's Death" or "Report of Public Safety Officers' Permanent and Total Disability," and supporting family, medical and investigative documentation. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Employing agencies and/or claimants should initiate a claim by writing to or telephoning the Public Safety Officers' Benefits Program, Bureau of Justice Assistance, 810 7th Street NW, Washington, DC 20531. Telephone: (1-888) 744-6513. Upon receiving such notification, program staff will provide claim forms and advise the employing agency and claimant of claim documentation requirements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submit "Claim for Death Benefits" and "Report of Public Safety Officer's Death" or "Report of Public Safety Officers' Permanent and Total Disability," and supporting documentation to the Public Safety Officers' Benefits Office, Bureau of Justice Assistance, 810 7th Street NW, Washington, DC 20531.

### **Award Procedure:**

Upon a finding of eligibility by the Bureau of Justice Assistance, eligible claimants are awarded a lump sum benefit. For Death Benefit: If the officer is survived by spouse, but there are no eligible children, the spouse will receive 100% of the benefit. If the officer is survived by spouse and eligible children, the spouse will receive 50% of the benefit and the children will receive equal shares of the remaining 50%. If the officer is survived by eligible children but no spouse, the children will receive equal shares of the benefit. If the officer is survived by neither a spouse nor eligible children and did not have a PSOB designee or life insurance policy on file with his or her employing agency, then the benefit will be made payable to the surviving parents in equal shares.

### **Deadlines:**

Oct 01, 2009 A claim may be filed up to 3 years following the date of a public safety officer's death or catastrophic personal injury; or, in instances of disabling injuries, 1 year after a final determination of entitlement to receive, or denial of, benefits allowed by his/her jurisdiction for such a death or catastrophic personal injury.

### **Range of Approval/Disapproval Time:**

Dependent on circumstances of death, sufficiency of claim documentation, and/or the need for expert medical reviews. This varies from case to case.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: lump sum.

### **Reports:**

No reports are required.

### **Audits:**

No audits are required for this program.

### **Records:**

None.

### **Account Identification:**

15-0403-0-1-754.

### **Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$70,081,800; FY 12 est \$78,300,000; and FY 13 est \$81,300,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The PSOB Office proactively emails its condolences and a PSOB e-packet to public safety agencies upon the death of a public safety officer.

All PSOB death claim information is also available in Spanish.

On behalf of survivors of fallen public safety officers nationwide, and officers catastrophically disabled in the line of duty, the PSOB Office now offers a fully staffed PSOB Call Center, operational Monday through Friday from 7:00 a.m. to 7:00 p.m. eastern standard time. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 28, Code of Federal Regulations, Part 32.

**Regional or Local Office:**

None.

**Headquarters Office:**

Hope Janke Office of Justice Programs  
Bureau of Justice Assistance  
Public Safety Officers' Benefits Office  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
AskPSOB@usdoj.gov Phone: 1-888-744-6513

**Website Address:**

<http://www.psob.gov>

**RELATED PROGRAMS:**

16.575 Crime Victim Assistance; 16.576 Crime Victim Compensation; 16.615 Public Safety Officers' Educational Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.575 CRIME VICTIM ASSISTANCE****FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

42 U.S.C. 10603(a).

**OBJECTIVES:**

Enacted in 1984, the Victims of Crime Act (VOCA) is the central source of federal financial support for direct services to victim of crime. VOCA is administered at the federal level through the U.S. Department of Justice, Office for Victims of Crime which annually awards a grant to each state, the District of Columbia and U.S. Territories to support victim assistance services for victims and survivors of domestic violence, sexual assault, child abuse, drunk driving, homicide, and other crimes. Each state has a designated VOCA assistance agency to administer VOCA grants. Those state agencies in turn, subgrant to organizations that provide direct services to victims of crime. While minimal federal requirements must be met, each state is given great discretion in awarding specific subgrants.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds under this program shall be used by States and territories to provide direct services to crime victims with the following exception: States may retain up to 5 percent of their grant for administrative and training purposes. All States and most Territories receive an annual VOCA victim assistance grant. Each State, the District of Columbia, the U.S. Virgin Islands, and Puerto Rico receive a base amount of \$500,000. The territories of the Northern Mariana Islands, Guam, and American Samoa, each receive a base amount of \$200,000. That portion of the then remaining funds will be divided among all States or

territories according to population (U.S. Census Bureau). If the amount available for grants under this program is insufficient to provide \$500,000 to each State, the base amount available shall be distributed equally among the States and territories. A victim assistance program is an eligible crime victim assistance program under VOCA if it: (A) is operated by a public agency or a nonprofit organization, or combination; (B) meets the appropriate match requirements; (C) uses volunteers unless the VOCA administrator grants a waiver for a compelling reason; (D) promotes coordinated public and private efforts to aid crime victims within the community served; (E) assists victims in applying for crime victim compensation; (F) complies with Federal rules regulating VOCA, including Program Guidelines/Rules and the effective edition of the OJP Financial Guide; (G) maintains civil rights information; (H) complies with additional eligibility or service criteria established by the State grantees; (I) provides services to victims of Federal crimes on the same basis as services are provided to victims of State and local crimes; (J) provides services to crime victims without charge unless a waiver is obtained from the State grantee; and, (K) maintains confidentiality of client-counselor and research information. An eligible crime victim assistance program shall expend sums received under subsection (a) only for providing direct services to victims of crime. The chief executive of each State shall (A) certify that priority shall be given to eligible crime victim assistance programs providing assistance to victims of sexual assault, spousal abuse, or child abuse, and to programs serving previously underserved victims of violent crime, as determined by the State, (B) certify that funds awarded to eligible crime victim assistance programs will not be used to supplant State and local funds otherwise available for crime victim assistance; and (C) provide such other information and assurances related to the purposes of this section as the Director may reasonably require. As used in this program, (1) the term "State" includes the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, and any other territory or possession of the United States; and (2) the term "services to victims of crime" includes (a) crisis intervention services to provide emotional support in cases arising from the occurrence of crime; (b) providing, in an emergency, transportation to court, short-term child care services, and temporary housing and security measures; (c) assistance in participating in criminal justice proceedings; and (d) payment of all reasonable costs for a forensic medical examination of sexual assault victims, to the extent that such costs are otherwise not reimbursed or paid; (3) the term "chief executive" includes a person designated by the governor to perform the functions of the chief executive under this section.

**Applicant Eligibility:**

Any State, the District of Columbia, all Commonwealths and any other territory or possession of the United States are eligible. Funds will be subgranted to eligible public and nonprofit organizations or combinations of such agencies or organizations or of both such agencies and organizations, who provide direct services to victims of crime.

**Beneficiary Eligibility:**

Any member of the general public who has been a victim of a crime or those who are survivors of victims of crime.

**Credentials/Documentation:**

Applications from the designated State agency for this program must be submitted on Standard Form 424 electronically via the Office of Justice Programs Grants Management System (GMS), at a time specified by the Office for Victims of Crime, Office of Justice Programs. The State grant applicant, by completing the grant application, and by receiving a VOCA victim assistance grant award, certifies: (1) that funds awarded to eligible crime victim assistance programs will not be utilized to supplant State and/or local funds that would otherwise be available for crime victim assistance; (2) that the State will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (3) that the State shall give priority to programs aiding victims of sexual assault, spousal abuse, or child abuse, and to programs serving previously underserved victims of violent crimes as determined by the State; (4) that the State will submit to the Office of Justice Programs Subgrant Award Reports and Performance Reports concerning the activities carried out with the Federal funds received and will maintain and report such data and information as required; (5) that the State will adhere to the audit and financial

management requirements set forth in the OJP Financial Guide; (6) that the State will comply with all applicable Federal nondiscrimination requirements; and, (7) certify that the information in the application is correct and that the State will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant applies on-line at <http://www.ojp.usdoj.gov> under "Grants/Funding" once posted by the Office for Victims of Crime.

**Award Procedure:**

The Director, Office for Victims of Crime, Office of Justice Programs has final approval authority. Once an award is granted to a State, the State will subgrant the monies to private nonprofit and/or public agencies for the purpose specified in the application and in conformance with all general and special conditions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 weeks.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards are for the year of award plus 3 years; applications will be submitted annually.

**Formula and Matching Requirements:**

Statutory Formula: Awards will be made on the basis of population with a base amount of \$500,000 for States; \$200,000 for the territories of N. Mariana Islands, Guam, and American Samoa. Fund availability may necessitate a base change.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

States have the year of award plus 3 years to expend the funds. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

No program reports are required. No cash reports are required. Subgrant Award Report for each subrecipient of VOCA funds. Quarterly, Final Financial Reports and Annual Program Performance reports will be required as stipulated in the Program Guidelines/Rules and the OJP Financial Guide. Annual Program Performance reports will be required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend \$500,000 or more in federal funds per organizational fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended. The audit report and transmittal letter must be submitted within 9 months from the end of the state fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of at least three years

after the grant has been closed.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Formula Grants) FY 11 \$428,080,890; FY 12 est \$377,089,039; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Base of \$500,000 to each State, Commonwealth, and the District of Columbia. Territories of the United States receive a base of \$200,000. Remaining dollars will be divided based on population.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, an estimated 3,760,235 crime victims received a combined total of 16,086,571 direct services through this program (Source: FY 2011 VOCA Victim Assistance Nationwide Performance Report Summary. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Guidelines/Rules are published in the Federal Register. The OJP Financial Guide is available at <http://www.ojp.usdoj.gov/financialguide/>, or call the Office of the Chief Financial Officer, Customer Service Center at 1-800-458-0786 to request a copy.

**Regional or Local Office:**

None.

**Headquarters Office:**

Toni L. Thomas, Domestic and International Victim Assistance Division, Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, NW., Washington, District of Columbia 20531 Phone: (202) 307-5983.

**Website Address:**

<http://www.ojp.usdoj.gov/ovc/>.

**RELATED PROGRAMS:**

16.576 Crime Victim Compensation

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are specifically spelled out in the Victims of Crime Act of 1984, as amended. Additional criteria will be developed by the Office for Victims of Crime. These criteria are listed on the OVC web page [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov).

**16.578 FEDERAL SURPLUS PROPERTY TRANSFER PROGRAM  
FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, as amended, and codified at 40 U.S.C. Section 553(b)(1)(2). Property for correctional facility, law enforcement, and emergency management response purposes.

**OBJECTIVES:**

To facilitate the possible no cost conveyance, by the General Services Administration, to State and local governments, of surplus real and related personal property determined by the Attorney General to be required for correctional facility use, under programs or projects for the care or rehabilitation of criminal offenders, and for law enforcement purposes.

**TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

**USES AND USE RESTRICTIONS:**

Deed of Conveyance. The Deed of Conveyance of any surplus real and related personal property disposed of under this program - (1) shall provide that all of the property be used and maintained for the purpose for which it was conveyed in perpetuity, and that if the property ceases to be used or maintained for that purpose, all or any portion of the property shall, in its then existing condition, at

the option of the Government, revert to the Government; and (2) may contain additional terms, reservations, restrictions, and conditions that the Administrator determines are necessary to safeguard the interests of the Government.

**Applicant Eligibility:**

Eligible applicants include states, or political subdivisions or instrumentalities of states, proposing to use the subject property for law enforcement purposes or correctional facility purposes. The 50 states, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Marshall Islands, Palau, and the Northern Mariana Islands.

**Beneficiary Eligibility:**

State, local and territorial governments, that are engaged in activities to control or reduce crime and juvenile delinquency or the enforcement of criminal law or the care or rehabilitation of criminal offenders.

**Credentials/Documentation:**

DOJ/OJP/BJA application for a correctional facility use or law enforcement purpose determination. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Notify BJA and GSA or DOD by letter, of the State's interest in an identified property. Applicants interested in applying for property under the Base Realignment and Closure Act (BRAC) must consult with their designated Local Redevelopment Authority for the community's plan for economic recovery. A list of the recognized LRAs can be viewed at: <http://www.oea.gov/OEAWeb.nsf/Home?OpenForm>. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of a completed DOJ/OJP/BJA application kit, including environmental information.

**Award Procedure:**

(1) Applicant must be a State or local governmental entity; (2) applicant must propose a correctional facility use or law enforcement purpose consistent with the requirements set forth in 40 U.S.C. Section 553(b)(1) and (2).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. See the following for information on how assistance is awarded/released: Please contact BJA.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. No progress reports are required. Expenditure reports are not applicable. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data

that measures the results of their work.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Through the Federal Surplus Property Public Benefit Conveyance Program (Program), surplus federal land and buildings are conveyed to public entities at no cost pursuant to 40 U.S.C. 541, et seq., and applicable regulations (40 U.S.C. 553 and 41 C.F.R. Parts 102-75.750 through 102-75.815).

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. General Services Administration: [www.propertydisposal.gsa.gov](http://www.propertydisposal.gsa.gov). Office of Economic Adjustment: <http://www.defenselink.mil/brac/>.

**Headquarters Office:**

M. Berry Office of Justice Programs  
Bureau of Justice Assistance  
810 Seventh Street, NW  
, Washington, District of Columbia 20531 Phone: (202) 616-6500

**Website Address:**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=61](https://www.bja.gov/ProgramDetails.aspx?Program_ID=61)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.582 CRIME VICTIM ASSISTANCE/DISCRETIONARY GRANTS**

**FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

42 U.S.C. 10603(c)(1)(A); 42 U.S.C. 10603(c)(1)(B); 42 U.S.C. 10603d(a); and 42 U.S.C. 10603e(a).

**OBJECTIVES:**

The Office for Victims of Crime (OVC) administers a discretionary grant program and other assistance programs for crime victims with amounts set-aside from deposits into the Crime Victims Fund for (a) demonstration projects and training and technical assistance services to eligible crime victims assistance programs; and (b) for the financial support of services to victims of Federal crime by eligible crime victim assistance programs. The purpose of the demonstration and training and technical assistance grants is to improve the overall quality of services delivered to crime victims through the provision of training and technical assistance to providers. Of the amount available for training and technical assistance and services to victims of Federal crimes, no less than 50 percent shall be used for demonstration programs and training and technical assistance, and not more than 50 percent for services to victims of Federal crimes.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS



**USES AND USE RESTRICTIONS:**

Funds are available specifically for (a) demonstration projects and training and technical assistance service to eligible crime victim assistance programs; and (b) for the financial support of services to victims of Federal crime by eligible crime victim assistance programs. For the purpose of the grants authorized in 42 U.S.C. 10603, an eligible crime victim assistance program is defined as: (a) operated by a public agency or a nonprofit organization, or a combination of such agencies or organizations or both such agencies and organizations, and providing service to victims of crime; (b) demonstrating (i) a record of providing effective services to victims of crime and financial support from sources other than the Fund; or (ii) substantial financial support from sources other than the Fund; (c) utilizing volunteers in providing such services, unless to the extent the chief executive determines that compelling reasons exist to waive this requirement; (d) promoting within the community served coordinated public and private efforts to the crime victims; and (e) assisting potential recipients in seeking crime victim compensation benefits. For the purpose of grants authorized for assistance to victims of federal crime, services includes (a) training of law enforcement personnel in the delivery of services to victims of Federal crime; (b) preparation, publication, and distribution of informational materials, setting forth services offered to victims of crime; and concerning services for victims of Federal crime for use by Federal law enforcement and other responsible Federal officials; and (c) salaries of personnel who provide services to victims of crime, to the extent that these personnel provide such services.

**Applicant Eligibility:**

Criteria will vary depending on the grant or grant program. Generally, eligible applicants may include American Indian/Alaska Native Tribes and tribal organizations, States, United States Attorneys' offices, universities and colleges, eligible public agencies that provide victim services and private nonprofit agencies. Applicants for Tribal Victim Assistance grants must be an Indian Tribe, Tribal organization, partnership or nonprofit organization that provides direct services to victims of crime in Indian Country.

**Beneficiary Eligibility:**

Eligible victim assistance agencies. Eligibility depends on the nature of the grant but may include a wide variety of public and private nonprofit agencies.

**Credentials/Documentation:**

Competitive applications under this program must be submitted electronically via Grants.gov or the Office of Justice Programs Grants Management System, as specified. OVC develops solicitations and application guidelines that includes funding strategy, eligibility requirements, required certifications that must be submitted at a time specified by the Office for Victims of Crime, Office of Justice Programs and must contain the following certification and assurances: (1) assure that the applicant will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (2) assure that the applicant will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide; (3) assure that the applicant will comply with all applicable nondiscrimination requirements including civil rights compliance, non-discrimination against eligible applicants that are faith or community-based organizations, services to persons with Limited English Proficiency, and protection of human research subjects; (4) certify that the applicant will comply with certifications regarding Lobbying, Debarment, Suspension, and Drug-Free Workplace Requirements (OJP Form 4061/6); and other responsibility matters; and, (5) certify that the information in the application is correct and that the applicant will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, (including subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990) regulations, and circulars. Costs will be determined in accordance with OMB Circular No. A-87 or OMB Circular No. A-133. Applicants from other types of agencies will use forms to be provided by OVC. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In accordance with the Common Rule, Standard Form 424 must be submitted electronically at Grants.gov by nonfederal agencies in applying for funding under this program. Forms for funds other than grants or for use by Federal agencies will be supplied by OVC.

**Award Procedure:**

Generally awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director. The Assistant Attorney General, Office of Justice Programs has final approval authority.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards average 12 months and range from 12 to 24 months, unless otherwise noted. Supplements are considered on a case by case basis. (See OVC guidelines for the Antiterrorism and Emergency Assistance Program for Terrorism and Mass Violence Crimes.)

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: There are no formula or matching requirements for discretionary funding, unless stated in the funding solicitations. The State Victim Assistance Academy grants require a 25 percent "in-kind" match. Federal agencies are not expected to provide a financial contribution, but in general are asked to demonstrate a commitment to continuing the funded effort after OVC funding is terminated.

MOE requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Any amount awarded that remains unspent at the end of a fiscal year in which the award is made may be expended for the purpose for which the award is made at any time during the three succeeding fiscal years, at the end of which period, any remaining unobligated sums shall be available for deposit into the emergency reserve fund referred to in subsection (d)(5) of the VOCA at the discretion of the Director. Any remaining unobligated sums shall be returned to the Fund. Funds are released via the Electronic Transfer System (formerly the Letter of Credit System) on an as needed basis to the Recipient. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable.

Semi-annual progress reports will be required as stipulated by the program office. A final financial and program report also will be required. Quarterly financial reports will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required. Performance measure data is required, as stipulated in the solicitation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended,

unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of three years.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Project Grants) FY 11 \$31,757,031; FY 12 est \$29,358,738; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Federal, Tribal, Military Victim Assistance Team, awards range from approximately \$40,000 to 600,000 with an approximate average of \$75,000 per award. For the National Training and Program Development Division from \$25,000 to \$1,000,000 with an average of \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2011 refer to the OVC Report to the Nation at <http://www.ojp.usdoj.gov/ovc/pubs/reporttonation2011/>. Fiscal Year 2012: No Current Data Available Fiscal Year 2012. Fiscal Year 2013: No Current Data Available; Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Current solicitations and application guidelines and the current edition of the OJP Financial Guide, are available on line at the OVC webpage at <http://www.ovc.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office for Victims of Crime, 810 Seventh Street, N.W., Washington, District of Columbia 20531 Phone: (202) 307-5983.

**Website Address:**

<http://www.ovc.gov>.

**RELATED PROGRAMS:**

16.320 Services for Trafficking Victims; 16.321 Antiterrorism Emergency Reserve; 16.575 Crime Victim Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Refer to [http://www.ojp.usdoj.gov/ovc/grants/disc\\_grant\\_awards\\_2011.html](http://www.ojp.usdoj.gov/ovc/grants/disc_grant_awards_2011.html). Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the Victims of Crime Act, 42 U.S.C. Section 10601-10604 (Supp. 1981). Additional criteria may be developed by the Office for Victims of Crime and will be published in OVC solicitations and application guidelines.

**16.583 CHILDREN'S JUSTICE ACT PARTNERSHIPS FOR INDIAN COMMUNITIES**

**FEDERAL AGENCY:**

Office of Victims of Crime, Department of Justice

**AUTHORIZATION:**

Victims of Crime Act of 1984, as amended, Public Law 98-473; Children's Justice and Assistance Act of 1986, Public Law 99-401, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690, Section 1402 (g)(L); Departments of Commerce, Justice, State, the Judiciary, and Related Agencies Appropriations Act of 1995; Violent Crime Control and Law Enforcement Act of 1994; Subtitle C, Public Law 104-132; Anti-Terrorism and Effective Death Penalty Act of 1996; Child Abuse Prevention and Treatment Enforcement Act of 2000; Omnibus Consolidated Appropriations Act of 1997, Public Law 104-298; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386.

**OBJECTIVES:**

Fifteen percent of the first \$20 million of funds from the Crime Victims Fund that are transferred to the Department of Health and Human Services as part of the Children's Justice Act are to be statutorily reserved by the Office for Victims of Crime (OVC) to make grants for the purpose of assisting American Indian/Alaska Native communities improve the investigation, prosecution and case management of child abuse, sexual abuse, and physical abuse cases, particularly cases of child sexual abuse, in a manner which lessens trauma to the child victims.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are available specifically for the purpose of assisting American Indian/Alaska Native communities improve the investigation, prosecution and case management of child abuse, sexual abuse, and physical abuse cases, particularly cases of child sexual abuse, in a manner which lessens trauma to the child victims.

**Applicant Eligibility:**

Federally recognized Indian tribal governments and nonprofit Indian organizations that provide services to American Indians and Alaska Natives. Specific criteria will vary depending on the grant.

**Beneficiary Eligibility:**

American Indian youth who are victims of child abuse and/or child sexual abuse.

**Credentials/Documentation:**

Applications must be on Standard Form 424 at a time specified by the Office for Victims of Crime, Office of Justice Programs and must: (1) contain OJP Form 4061/6 (Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements); (2) assure that the grantee will provide such accounting, auditing, monitoring and evaluation procedures as may be necessary, and keep such records as the Office of Justice Programs may prescribe, to assure fiscal control, proper management and efficient disbursement of Federal funds; (3) assure that the Grantee will submit to the Office of Justice Programs a semiannual program performance report of data and information as required; (4) assure that the Grantee will adhere to the audit and financial management requirements set forth in the effective edition of the OJP Financial Guide, and (5) certify that the information in the application is correct and that the Grantee will comply with all applicable provisions of the Victims of Crime Act and other Federal laws, regulations, and circulars, including Subtitle A, Title II of the Americans With Disabilities Act (ADA) 1990. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In accordance with the Common Rule, Standard Form 424 must be submitted by nonfederal agencies applying for funding under this program. Competitive solicitations are announced on [Grants.gov](http://Grants.gov).

**Award Procedure:**

The Director, Office for Victims of Crime, Office of Justice Programs has final approval authority. Grants are made directly to Indian tribes as defined in Section 450(b) of the Indian Self Determination and Education Assistance Act. Awards may also be granted to nonprofit organizations that provide services to American Indians or State or local governments. Generally, awards will be made on a competitive basis with applications reviewed by a panel of subject matter experts who will assess application submissions based on established criteria and forward a recommendation to the Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Hearing by the Assistant Attorney General, Office of Justice Programs.

**Renewals:**

Awards range from 12 to 36 months. Renewals are considered on a case-by-case-basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are generally awarded for a 12 to 36 month time period. See the following for information on how assistance is awarded/released: Please see program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable.

Semi-annual program performance reports will be required as stipulated by the program office. Quarterly Federal Financial Reports (SF 425) will be required as stipulated in the effective edition of the OJP Financial Guide. A final financial and program report also will be required. Performance measure data are required as specified in the solicitation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of three years.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2011: In FY 2011 OVC awarded funding to 14 tribes to support the goals of the CJA program. Fiscal Year 2012: No Current Data Available Fiscal Year 2012. Fiscal Year 2013: No Current Data Available Fiscal Year 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applications and current edition of the Financial Guide are available by writing to the Office for Victims of Crime, Office of Justice Programs, Department of Justice, 810 Seventh Street, N.W., Washington, DC 20531.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanya Miller 810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: Tanya.Miller4@ojp.usdoj.gov Phone: 202-616-3453

**Website Address:**

<http://www.usdoj.gov>.

**RELATED PROGRAMS:**

16.582 Crime Victim Assistance/Discretionary Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Alaskan Native Justice Center (ANJC) The ANJCs partnership is a collaborative effort within the Anchorage based Child Advocacy Center known as Alaskan CARES. The Alaskan Native Unit ensures that Alaskan Native victims of child abuse and child sexual abuse receive culturally appropriate case management services; Washoe Tribe of Nevada and California - the Washoe CJA program improves investigations and prosecutions of child abuse and child sexual abuse cases that increase culturally appropriate services; and the Iowa Tribe of Oklahoma has improved coordination between Tribal Law Enforcement, Tribal Prosecutors, Department of Human Services/Child Welfare and other tribal agencies to improve its response to child endangerment, removal of a child, mandatory reporting and responding to a child abuse referral. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria for selecting proposals are spelled out in the Anti-Drug Abuse Act of 1988, Public Law 100-690, Section 1402. Additional criteria will be developed by the Office for Victims of Crime and will be announced at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

**16.585 DRUG COURT DISCRETIONARY GRANT PROGRAM**

Drug Court Program (DCP)

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

The Drug Court Program is authorized under Title I, Part EE, of the Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351d, Title I, 82 Stat. 197, as amended by the 21st Century Department of Justice Appropriations Authorization Act, Public Law 107-273, Division B, Title II, Subtitle C, 116 Stat. 1758 (2002).

**OBJECTIVES:**

The Drug Court Discretionary Grant Program provides financial and technical assistance to states, state courts, local courts, units of local government, and Indian tribal governments to develop and implement treatment drug courts that effectively integrate substance abuse treatment, mandatory drug testing, sanctions and incentives, and transitional services in a judicially supervised court setting with jurisdiction over nonviolent, substance-abusing offenders.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable uses of funds are outlined in the Drug Court Program Guideline available from the Department of Justice Response Center. Drug Court Programs under Title V will be for nonviolent adult and juvenile offenders and involve early and continuous judicial supervision over the nonviolent substance abusing offenders and the integrated administration of sanctions and services including: (1) mandatory periodic testing for the use of controlled substances or other addictive substances during any period of supervised release or probation; (2) substance abuse treatment for each participant; (3) diversion, probation, or other supervised release involving the possibility of prosecution, confinement, or incarceration based on noncompliance with program requirements; and (4) programmatic offender management and aftercare services.

**Applicant Eligibility:**

Grants can be given to states, state courts, local courts, units of local government and Indian tribal governments, acting directly or through agreements with other public or private entities. Applicants may choose to submit joint applications with other eligible jurisdictions for statewide, regional, and multijurisdictional drug court programs. With joint applications, one organization must be designated as the applicant and any coapplicants designated accordingly. The applicant organization must be eligible and the other agencies/organizations must provide supporting documentation. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants. For an application from a subunit of government (e.g.,

county probation department, district attorney's office, pretrial services agency) to be considered, it must be designated by letter as representing an eligible applicant (described above). For example, the county court or county executive may designate the county probation or county district attorney's office as its representative for the purpose of application. In this instance, the applicant continues to be the designating state, court system, or unit of local government. The county probation, district attorney's office, or other designated subunit, is the organization authorized to submit an application on behalf of the eligible applicant.

**Beneficiary Eligibility:**

States, local governments, Indian tribal governments, public or private entities.

**Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); applicant Information page; a one-page program abstract summarizing the goals and objectives of the grant request; program narrative; letters of support; detailed budget and budget narrative; administrative requirements; and assurances and certifications. See program announcement for more information. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Prospective applicants may view the preapplication requirements by visiting the web site at [https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=58](https://www.bja.gov/ProgramDetails.aspx?Program_ID=58). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All competitive grant applications must be submitted electronically through the Grant Management System (GMS) at <http://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

An award is granted by the Assistant Attorney General, Office of Justice Programs, and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Grants can be extended by submitting a written justification for an extension to the Bureau of Justice Assistance office for review. Extensions are subject to approval by the Bureau of Justice Assistance and renewals subject to congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. The federal share of a grant received under this subtitle may not exceed 75 percent of the total cost of an applicant's projected budget. The matching requirement is a 25 percent match provided by the applicant. A portion of the match must be cash. This is required by statute; the term "portion" is not defined. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project duration period will be up to 3 years for Implementation Grants, up to 2 years for Enhancement Grants. See the following for information on how assistance is awarded/released: By reimbursement.

**Reports:**

Drug Court Grantee Data Collection Survey. No cash reports are required. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the

Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, the Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

All grantees are required to establish and maintain accounting systems and financial records in order to account for funds awarded to them.

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$37,275,300; FY 12 est \$35,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>. For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tim Jeffries Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
[AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.bja.gov>.

**RELATED PROGRAMS:**

16.523 Juvenile Accountability Block Grants; 93.959 Block Grants for Prevention and Treatment of Substance Abuse

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

## **16.589 RURAL DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ASSISTANCE PROGRAM**

### **FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

### **AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act, Title II, Section 203, Public Law 109-162.; Violence Against Women Act of 2000, Public Law 106-386; ; Violent Crime Control and Law Enforcement Act of 1994, Section 40295, 42 U.S.C. 13971, as amended;.

### **OBJECTIVES:**

(1) To identify, assess, and appropriately respond to child, youth, and adult victims of sexual assault, domestic violence, dating violence, and stalking in rural areas or rural communities, by encouraging collaboration among sexual assault, domestic violence, dating violence, and stalking victim service providers; law enforcement agencies; prosecutors; courts; other criminal justice service providers; human and community service providers; educational institutions; and health care providers; (2) to establish and expand nonprofit, nongovernmental, State, Tribal, Territorial, and local government victim services in rural areas or rural communities to child, youth, and adult victims; and (3) to increase the safety and well-being of women and children in rural areas or rural communities, by dealing directly and immediately with sexual assault, domestic violence, dating violence, and stalking occurring in rural areas or rural communities; and creating and implementing strategies to increase awareness and prevent sexual assault, domestic violence, dating violence, and stalking.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Funding may be used to carry out programs serving rural areas or rural communities that address sexual assault, domestic violence, dating violence, and stalking by implementing, expanding, and establishing cooperative efforts and projects among law enforcement officers, prosecutors, victim advocacy groups, and other related parties to investigate and prosecute incidents of sexual assault, domestic violence, dating violence, and stalking; providing treatment, counseling, advocacy, and other long- and short-term assistance to adult and minor victims of sexual assault, domestic violence, dating violence, and stalking in rural areas or rural communities, including assistance in immigration matters; and working in cooperation with rural areas or rural communities to develop education and prevention strategies directed toward such issues.

### **Applicant Eligibility:**

States, Indian tribes, Territories, local governments, and nonprofit, public or private entities, including tribal nonprofit organizations, are eligible to carry out programs serving rural areas or rural communities that address sexual assault, domestic violence, dating violence, and stalking.

### **Beneficiary Eligibility:**

Beneficiaries include eligible applicants who propose to serve victims of sexual assault, domestic violence, dating violence, and stalking in a rural area or rural community, as defined by 42 U.S.C., 13925(a)(21) to mean (a) any area or community, respectively, no part of which is within an area designated as a standard metropolitan statistical area by the Office of Management and Budget; or (b) any area or community, respectively, that is (i) within an area designated as a metropolitan statistical area or considered part of a metropolitan statistical area; and (ii) located in a rural census tract.

### **Credentials/Documentation:**

Every application must include documentation that the proposed area to be served, in fact, meets the rural eligibility requirements. The requirements include printed documentation of the service area. Instructions to complete the documentation process can be found within the application materials. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the online Grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Applicants must provide documentation as specified in the solicitation that the project will be limited to rural areas.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and 230 apply.

### **Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Applicants will be notified before the end of the fiscal year.

### **Appeals:**

Not Applicable.

### **Renewals:**

Renewals are considered on a case-by-case basis.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Length of assistance is provided in an annual solicitation. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$31,989,513; FY 12 est \$23,554,855; and FY 13 est \$23,554,855

**Range and Average of Financial Assistance:**

Range: \$142,257-1,300,000

Average: \$780,232.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 193 applications

41 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.590 GRANTS TO ENCOURAGE ARREST POLICIES AND ENFORCEMENT OF PROTECTION ORDERS PROGRAM****FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Title I, Section 102, Public Law 109-162; Violence Against Women Act of 2000, Public Law 106-386; Violent Crime Control and Law Enforcement Act of 1994, 42 U.S.C. 3796hh, as amended.

**OBJECTIVES:**

To encourage States, Indian tribal governments, State and local courts (including juvenile courts), tribal courts, and units of local government to treat domestic violence, dating violence, sexual assault, and stalking as serious violations of criminal law.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used for the following statutory program purposes: (1) To implement proarrest programs and policies in police departments, including policies for protection order violations. (2) To develop policies, educational programs, protection order registries, and training in police departments to improve tracking of cases involving domestic violence, dating violence, sexual assault, and stalking. Policies, educational programs, protection order registries, and training described in this paragraph shall incorporate confidentiality, and privacy protections for victims of domestic violence, dating violence, sexual assault, and stalking. (3) To centralize and coordinate police enforcement, prosecution, or judicial responsibility for domestic violence, dating violence,

sexual assault, and stalking cases in teams or units of police officers, prosecutors, parole and probation officers, or judges. (4) To coordinate computer tracking systems to ensure communication between police, prosecutors, parole and probation officers, and both criminal and family courts. (5) To strengthen legal advocacy service programs for victims of domestic violence, dating violence, sexual assault, and stalking, including strengthening assistance to such victims in immigration matters. (6) To educate judges in criminal and civil courts (including juvenile courts) about domestic violence, dating violence, sexual assault, and stalking and to improve judicial handling of such cases. (7) To provide technical assistance and computer and other equipment to police departments, prosecutors, courts, and tribal jurisdictions to facilitate the widespread enforcement of protection orders, including interstate enforcement, enforcement between States and tribal jurisdictions, and enforcement between tribal jurisdictions. (8) To develop or strengthen policies and training for police, prosecutors, and the judiciary in recognizing, investigating, and prosecuting instances of domestic violence and sexual assault against older individuals (as defined in section 3002 of this title) and individuals with disabilities (as defined in section 12102(2) of this title). (9) To develop State, tribal, territorial, or local policies, procedures, and protocols for preventing dual arrests and prosecutions in cases of domestic violence, dating violence, sexual assault, and stalking, and to develop effective methods for identifying the pattern and history of abuse that indicates which party is the actual perpetrator of abuse. (10) To plan, develop and establish comprehensive victim service and support centers, such as family justice centers, designed to bring together victim advocates from non-profit, non-governmental victim services organizations, law enforcement officers, prosecutors, probation officers, governmental victim assistants, forensic medical professionals, civil legal attorneys, chaplains, legal advocates, representatives from community-based organizations and other relevant public or private agencies or organizations into one centralized location, in order to improve safety, access to services, and confidentiality for victims and families. Although funds may be used to support the colocation of project partners under this paragraph, funds may not support construction or major renovation expenses or activities that fall outside of the scope of the other statutory purpose areas. (11) To develop and implement policies and training for police, prosecutors, probation and parole officers, and the judiciary in recognizing, investigating, and prosecuting instances of sexual assault, with an emphasis on recognizing the threat to the community for repeat crime perpetration by such individuals. (12) To develop, enhance, and maintain protection order registries. (13) To develop human immunodeficiency virus (HIV) testing programs for sexual assault perpetrators and notification and counseling protocols.

**Applicant Eligibility:**

Grants are available to States, Indian tribal governments, units of local government, and State, tribal, territorial, and local courts.

**Beneficiary Eligibility:**

Beneficiaries include criminal and tribal justice practitioners, domestic violence, dating violence, sexual assault and stalking victim advocates, and other service providers who respond to victims of domestic violence, dating violence, sexual assault, and stalking.

**Credentials/Documentation:**

According to 42 U.S.C. 3796hh(c), to be eligible to receive funding through this Program, applicants must:

- (1) certify that their laws or official policies
  - (A) encourage or mandate arrests of domestic violence offenders based on probable cause that an offense has been committed; and
  - (B) encourage or mandate arrest of domestic violence offenders who violate the terms of a valid and outstanding protection order;
- (2) demonstrate that their laws, policies, or practices and their training programs
  - discourage dual arrests of offender and victim;
  - (3) certify that their laws, policies, or practices prohibit issuance of mutual restraining orders of protection except in cases where both spouses file a claim and the court makes detailed findings of fact indicating that both spouses acted primarily as aggressors and that neither spouse acted primarily in self-defense; and
  - (4) certify that their laws, policies, and practices do not require, in connection

with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of sexual assault, domestic violence, or stalking, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order, petition for a protection order, or witness subpoena, whether issued inside or outside the State, Tribal or local jurisdiction; and

(5) certify that their laws, policies, or practices ensure that (A) no law enforcement officer, prosecuting officer or other government official shall ask or require an adult, youth, or child victim of a sex offense as defined under Federal, Tribal, State, Territorial, or local law to submit to a polygraph examination or other truth telling device as a condition for proceeding with the investigation of such an offense; and

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(B) the refusal of a victim to submit to an examination described in subparagraph (A) shall not prevent the investigation of the offense. By statute, 42 U.S.C. 3796hh-1(a)(1), all applications must include a certification by the chief executive officer of the State, Indian Tribal government or local government entity that conditions listed above are met or will be met by the statutory deadline. Applicants that have OVW Arrest Program grants at the time of application but do not meet all eligibility requirements at the time of application will not be considered for additional funding.

Submission of State, Tribal, Territorial and/or local statutes, laws and policies in lieu of a letter with proper certifications signed by the chief executive officer will not satisfy these statutory requirements. Applicants may not be contacted by OVW to correct certification letters.

HIV Certification

In addition to the certifications listed above, under 42 U.S.C. 3796hh(d), all States and units of local government that receive Arrest Program funding shall not be entitled to 5 percent of their total Arrest Program grant unless the State or unit of local government:

(1) certifies that it has a law or regulation that requires:

(A) The State or unit of local government at the request of a victim to administer to a defendant, against whom an information or indictment is presented for a crime in which by force or threat of force the perpetrator compels the victim to engage in sexual activity, testing for the immunodeficiency virus (HIV) not later than 48 hours after the date on which the information or indictment is presented;

(B) as soon as practicable notification to the victim, or parent and guardian of the victim, and defendant of the testing results; and

(C) follow-up tests for HIV as may be medically appropriate, and that as soon as practicable after each such test the results be made available in accordance with subparagraph (B); or

(2) gives the Attorney General assurances that its laws and regulations will be in compliance with requirements of paragraph (1) by the period ending on the date on which the next session of the State legislature ends. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply on-line at the grants.gov portal. The receipt, review, and analysis of application will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and parts 230 apply.

#### **Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewals are considered on a case-by-case basis.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of the programs or projects contained in the approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal dollars by contributing to the cost of the project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

Length of assistance is provided in an annual solicitation. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

The award recipient must keep complete records on disposition of funds.

#### **Account Identification:**

15-0409-0-1-754.

#### **Obligations:**

(Project Grants) FY 11 \$44,601,636; FY 12 est \$34,817,814; and FY 13 est \$34,817,814

#### **Range and Average of Financial Assistance:**

Range: \$176,735- \$1,167,713

Average: \$571,816.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 160 applications

78 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia  
20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.593 RESIDENTIAL SUBSTANCE ABUSE TREATMENT FOR STATE PRISONERS**

RSAT

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Title I, Section 1001, as amended, Public Law 90-351, 42 U.S.C. 3796ff et seq.

**OBJECTIVES:**

The Residential Substance Abuse Treatment (RSAT) for State Prisoners Program helps states and local governments to develop and implement substance abuse treatment programs in state and local correctional and detention facilities and to create and maintain community-based aftercare services for offenders.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Residential Substance Abuse Treatment formula grant funds may be used to implement residential substance abuse programs that provide individual and group treatment activities for offenders in residential facilities operated by State and local correctional agencies. These programs must 1) last between 6 and 12 months; 2) be provided in residential treatment facilities set apart from the general correctional population; 3) focus on the substance abuse problems of the inmate; and 4) develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems. Grant funds shall not be used for land acquisition or construction projects.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, and the Northern Mariana Islands are eligible to apply. By statute (42 U.S.C. ' 3796ff-1(e)), the Bureau of Justice Assistance must award RSAT grants to the State office ([www.ojp.usdoj.gov/saa/index.htm](http://www.ojp.usdoj.gov/saa/index.htm)) designated to administer the Byrne Justice Assistance Grant Program. The State office may award subgrants to state agencies and units of local government (including federally recognized Indian tribal governments that perform law enforcement functions, as determined by the Secretary of the Interior). Applicant States must agree to implement or continue to require urinalysis and/or other proven reliable forms of drug and alcohol testing of individuals assigned to residential substance abuse treatment programs in correctional facilities.

**Beneficiary Eligibility:**

State and local correctional agencies will implement programs to provide treatment to incarcerated offenders.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of the program, the implementation process, timetable for implementation, how the State will coordinate substance abuse treatment activities at the State and local levels, and the State's law or policy requiring substance abuse testing of individuals in correctional residential substance abuse treatment programs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Immediately after enactment of the appropriations (usually in the first quarter of the fiscal year), BJA notifies the Byrne State Administering Agencies (SAAs) that the program solicitation is available online. The Byrne SAAs then have 60 days in which to submit an application through the online, Internet-based Grants Management System (GMS) at: <https://grants.ojp.usdoj.gov/>

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

Formula grant applicants will be notified in writing of reasons for disapproval of their application and will be given an opportunity for reconsideration.

**Renewals:**

Formula grants will be renewed each year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. Grant funds are allocated to the States using the following formula: a) each participating State is allocated a base amount of 0.4 percent of the total funds available for the program; and b) the remaining funds are allocated to each participating State in the ratio its prison population bears to the total prison population of all participating States. The most recent National Prisoner Statistics collected by the Bureau of Justice Statistics are used to make these allocations. The Federal share of a grant-funded project may not exceed 75 percent of the total costs of the project. The 25 percent matching funds must be in the form of a cash match. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period that includes the fiscal year of the appropriation plus three additional years, for a total of four years. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments



responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 11 \$24,850,200; FY 12 est \$10,000,000; and FY 13 est \$21,000,000

**Range and Average of Financial Assistance:**

In FY 12, individual state and territory awards ranged from \$34,662 to \$865,205.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance Office of Justice Programs  
810 7th Street, NW, Washington, District of Columbia 20531 Phone: (202) 616-6500

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals to implement State and local residential substance abuse treatment programs for prisoners with formula grant funds will be defined by the States.

**16.596 CORRECTIONAL GRANT PROGRAM FOR INDIAN TRIBES**

Correctional Facilities on Tribal Lands

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Consolidated Rescissions and Appropriations Act of 1996, Section 114, Public Law 104-134; Violent Crime Control and Law Enforcement Act of 1994, Title II, Subtitle A, Public Law 103-322, 105 Stat. 1796, as amended, 42

U.S.C. 13701 et seq.

**OBJECTIVES:**

To renovate and/or construct correctional facilities on tribal lands for the incarceration and supervision of offenders subject to tribal jurisdiction.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Grant Program for Indian Tribes may be used to assist Indian tribes in developing or expanding correctional facilities for both adult and juvenile offenders.

**Applicant Eligibility:**

Indian tribes may apply. An Indian tribe is defined as any Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe pursuant to Public Law 103-454, 108 Stat. 4791, and which performs law enforcement functions as determined by the Secretary of the Interior.

**Beneficiary Eligibility:**

Indian tribes may apply. An Indian tribe is defined as any Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe pursuant to Public Law 103-454, 108 Stat. 4791, and which performs law enforcement functions as determined by the Secretary of the Interior.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description of the program, the implementation process, and a timetable for implementation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Targeted tribes are invited to submit applications for construction of juvenile correctional facilities.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to appropriation and program priorities.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 10%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period of 24 to 60 months based on the facility constructed and/or renovated. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/release: Office of Justice Programs

Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

No program reports are required. No cash reports are required. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$8,283,400; FY 12 est \$10,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

James Burch, Office of Justice Programs  
Bureau of Justice Assistance  
810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

16.731 Tribal Youth Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Past projects were selected on the basis of need for correctional facility space, demonstrated ability to operate the facilities, soundness of implementation plan,

thoroughness of budget submission, and proposed strategy to measure impact/outcomes. Additionally, BJA considers BIAs priority list for facilities that are in need of repair or new construction.

**16.606 STATE CRIMINAL ALIEN ASSISTANCE PROGRAM**

**SCAAP**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Appropriations Act, Public Law 106-113, Division B, Section 1000(a); Immigration and Nationality Act, 8 U.S.C. 1252, Section 242 as Amended; Title II, subtitle C, Section 20301; Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322.

**OBJECTIVES:**

The State Criminal Alien Assistance Program (SCAAP) is a payment program designed to provide federal assistance to states and localities that incur costs for incarcerating undocumented criminal aliens who are being held as a result of state and/or local charges or convictions. The Bureau of Justice Assistance (BJA) administers this program in conjunction with the Department of Homeland Security's (DHS) Immigration and Customs Enforcement (ICE), and U.S. Citizenship and Immigration Services branches.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The Department of Justice Reauthorization Act of 2005 (Public Law 109-162, Title XI) included the following requirement regarding the use of SCAAP funds: "Amounts appropriated pursuant to the authorization of appropriations in paragraph (5) that are distributed to a State or political subdivision of a State, including a municipality, may be used only for correctional purposes." All funds must be used for correctional purposes only. To be eligible for reporting, inmates must have been convicted of a felony or second misdemeanor for violations of state or local law, and housed in the applicant's state or local correctional facility for 4 or more consecutive days during the reporting period. Once a person meets these criteria, all pre-trial and post-conviction time served may be included in the application. Salary information reported in the SCAAP application must reflect the total salaries and wages paid to full and part-time correctional officers and others who meet the SCAAP definition. See the SCAAP Guidelines at <http://www.ojp.usdoj.gov/BJA/>. Funds may be used only for correctional purposes. BJA may further define the eligible uses of funds. For further information, see <http://www.ojp.usdoj.gov/BJA/grant/scaap.html>.

**Applicant Eligibility:**

Eligible applicants include States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands and localities or local jurisdictions exercising authority with respect to the incarceration of an undocumented criminal alien. This covers state prison facilities (including those housing juveniles convicted as adults of felony offenses or two or more misdemeanors) and local jails, whether operated by counties or cities. Applicants are generally States and units of local government. Note: Only one application is accepted from each separate political division (i.e., State, county, city).

**Beneficiary Eligibility:**

States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands and localities or local jurisdictions.

**Credentials/Documentation:**

Applicants who are seeking funding must complete an electronic application form via the Office of Justice Programs Grants Management System (GMS). Inmate data, including the proper inmate identifiers, will either be manually key-stroked into the on-line application system, or submitted on-line by electronically attaching the applicable portions of the applicants inmate databases. The authorized official certifies compliance with all SCAAP requirements, including that the applicant has been authorized by the Chief Executive Officer of the applicable unit of government; the inmate identifiers required have been submitted to BJA in the proper format(s) for Immigration and Customs Enforcement (ICE) verification within the prescribed deadlines; all inmates counted by the applicant have been convicted of either a felony or two misdemeanor offenses under the applicant's law; and, only salary costs for

corrections officers were included in the Total Salary Costs. By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. SCAAP applications are administered via the Office of Justice Programs Internet-based Grants Management System. Inmate data, including the proper inmate identifiers, may either be manually key-stroked into the on-line application system, or submitted on-line by electronically attaching the applicable portions of their inmate databases. Awards are announced after the ICE inmate verification process is done. Technical assistance is available to applicants for preparation of the on-line application process by calling the OJP Grants Management System Hotline at 1-888-549-9901.

**Award Procedure:**

The final payment process requires that all applications and all data be fully processed and verified before any payments are made. Inmate data will be verified by the ICE, who will attempt to match the inmate data records provided to records in its databases to obtain the maximum number of confirmed matches. These matches are expected to include three categories: 1) those positively identified (matched) as qualifying undocumented criminal aliens; 2) those unknowns and 3) those positively identified as non- criminal aliens. Applicants will be given credit for a percentage of inmates whose eligibility cannot be determined through positive identification or "match," but have valid foreign countries of birth. Payments will be based on the days of incarceration for the verified number of aliens incarcerated by each applicant. Payments are granted by the Director of the Bureau of Justice Assistance, Office of Justice Programs, Department of Justice. The payment must be accepted on-line and the acceptance will effect a simultaneous assurance of compliance with conditions. Acceptance of the payment on-line initiates the automatic electronic transfer of funds from OJP to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact BJA.

**Appeals:**

Not Applicable.

**Renewals:**

Applications may be submitted annually, subject to availability of funding.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

SCAAP awards are usually obligated and announced by the end of September and released for drawdown by mid-October. There are no restrictions placed on the time permitted to spend the money awarded because SCAAP funds are considered no year funds. As of fiscal year 2008, SCAAP funds must be used for corrections purposes. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipients who expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report in accordance with OMB Circular No. A-133, as amended, and as stated in the on-line payment process. Receipt of SCAAP payments is considered in establishing the requirement for an audit under the Single Audit Act.

**Records:**

Financial records, supporting documents, statistical records, a copy of the inmate records submission, and all other records pertinent to a grant shall be retained for a period of at least three (3) years following the closeout of the grant.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$273,352,200; FY 12 est \$240,000,000; and FY 13 est \$70,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>. For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Joseph Husted Office of Justice Programs  
Bureau of Justice Assistance, Washington, District of Columbia 20531 Email: [SCAAP@usdoj.gov](mailto:SCAAP@usdoj.gov) Phone: 202-616-6500

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.607 BULLETPROOF VEST PARTNERSHIP PROGRAM**

BVP

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Bulletproof Vest Partnership Grant Act of 1998, Public Law 105-181, June 16, 1998, and Bulletproof Vest Program Act of 2000, Public Law 106-517.

**OBJECTIVES:**

To protect the lives of law enforcement officers by helping State, local, and tribal law enforcement agencies provide officers with armored vests.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The program pays up to 50 percent of the total cost of each vest order. Total cost includes the cost of the vests, vest carriers, attachments, inserts, and covers considered integral or essential for its proper care, use, and wearability, shipping, handling, fitting charges, and applicable taxes. The total invoiced price, after all vendor and prompt payment discounts have been deducted, is what the Bureau of Justice Assistance (BJA) uses to determine the Federal match. This program only allows the purchase of body armor that has been tested and found to comply with applicable ballistic and stab standards promulgated by the National Institute of Justice's (NIJ) Standard 0101.06 Ballistic Resistance of Police Body Armor. In FY 2001, stab-resistant body armor was also included in the program as an allowable purchase.

**Applicant Eligibility:**

Only chief executives of jurisdictions (or their designees) may apply for funds. Jurisdictions are defined as general purpose units of local government (e.g., cities, towns, townships, boroughs, counties, etc.), Federally-recognized Indian tribes, the 50 State governments, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands. The chief executive of the jurisdiction registers on-line, submits the jurisdiction application, and requests payment for completed vest orders.

**Beneficiary Eligibility:**

Only law enforcement officers may receive vests through this program. According to the Act, "law enforcement officer" means any officer, agent, or employee of a State, unit of local government, or an Indian tribe authorized by law or by a government agency to engage in or supervise the prevention, detection, or investigation of any violation of criminal law, or authorized by law to supervise sentenced criminal offenders. Eligible officers may be full-time, part-time, paid or volunteer.

**Credentials/Documentation:**

Eligible jurisdictions must be general purpose units of local government, Federally-recognized Indian tribes, the 50 state governments, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands. The validity of the on-line registration process is verified through independent reviews which may include certification by the banking institutions serving the jurisdiction, the U.S. Census Bureau, and agencies within the U.S. Department of Justice. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This is an Internet-based program. The jurisdiction is required to complete and submit an on-line registration form, providing information about the jurisdiction's chief executive officer, program contact person, and electronic banking information. The registration process is handled through the program's web site <http://vests.ojp.gov>. Only those jurisdictions with approved registrations are permitted to make application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The jurisdiction submits the application to BJA via the Internet web site <http://vests.ojp.gov>. On-line instructions guide the jurisdiction through the application process. Law enforcement agencies or agencies with law enforcement functions which meet the Act's definition, will assist in completing the jurisdiction's on-line application by indicating the types, numbers, and costs of vests they intend to order. Only those jurisdictions that complete and submit applications will be eligible for matching funds from BJA.

**Award Procedure:**

Applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements. Each application is then checked against the availability of funds to cover up to 50 percent of the application's total cost, in keeping with established criteria for program fund allocation. When all checks are complete and the application approved, the jurisdiction is

notified through e-mail that the necessary funds have been obligated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A minimum of 15 working days may be required for complete registration validation, although jurisdictions and law enforcement agencies will have immediate access to certain program components during this validation process.

A minimum of 60 working days may be required after the program closes for approval of the jurisdiction's application for funding. A minimum of 25 working days may be required for the electronic transfer of funds from the U.S. Treasury to the jurisdiction's bank account, once the request for funds has been received, reviewed, and approved by the Office of Justice Programs.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. The program requires that each applicant jurisdiction be responsible for providing at least 50 percent of the cost of each vest purchased. Tribal governments may use Federal funds to provide this match; all other jurisdictions must use nonfederal match funds. Nonfederal fund sources include State and/or local jurisdiction revenues, private or personal funds, and contributions from insurance or workman's compensation consortiums. Asset forfeiture funds may also be used to meet the jurisdiction's matching requirement. Beginning in FY 2002, changes (Bulletproof Vest Partnership Act of 2000; Public Law 106-517) gives preference to small jurisdictions (those populations below 100,000) guaranteeing them the full 50 percent match payment before payments are calculated and approved for larger jurisdictions.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Jurisdictions with approved applications must request the federal match no later than August 31st of the second federal fiscal year following the end of the federal fiscal year in which their application was approved. In other words, the jurisdiction has two years beyond the year of their application to request payments for vests contained in that application. Payments of the federal match will be made whenever the jurisdiction indicates that at least part of the approved vest order was received and invoiced. See the following for information on how assistance is awarded/released: See program office for more information.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Payments and transactions are subject to audits by the General Accounting Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local procurement policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least three years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular three-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$24,850,200; FY 12 est \$24,000,000; and FY 13 est \$24,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim Final Rule, Federal Register, September 23, 1998 (Volume 63, Number 184).

**Regional or Local Office:**

None.

**Headquarters Office:**

Joseph Husted Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, N.W., Washington, District of Columbia 20531 Email:  
AskBJA@usdoj.gov Phone: (1-866) 859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/bvpbasi/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.608 TRIBAL COURT ASSISTANCE PROGRAM**

TCAP

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Indian Tribal Justice Technical and Legal Assistance Act of 2000; Statue 2778; Public Law 106-559 Title II Indian Tribal Court, Section 201 (a) (25 USC 3681).

**OBJECTIVES:**

To assist tribal governments in the development, enhancement, and continuing operation of tribal judicial systems, including inter-tribal court systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

CATEGORY I: Planning and implementing an intertribal court system for smaller populations. CATEGORY II: Planning and implementing a single tribe court system. CATEGORY III: Enhancing or continuing the operation of the tribal courts. The following tribes are subject to the above restriction on use of funds: (1) tribes in which fewer than 25 Native members live in the village year round; and (2) tribes that are located within the boundaries of the Fairbanks North Star Borough, the Matanuska Susitna Borough, the Municipality of Anchorage, the Kenai Peninsula Borough, the City and Borough of Juneau, the Sitka Borough, or the Ketchikan Borough. Match is not required for personnel. However, if a position under this program is supported with BJA funds, total costs associated with salary and fringe benefits may not exceed 50 percent of the grant.

**Applicant Eligibility:**

Federally recognized Indian Tribal governments are eligible to apply for and receive funds under this program.

**Beneficiary Eligibility:**

Indian Tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by the Common Rule, must be used for this program. Awards through this program will be competitive, based upon the extent and urgency of the need of each applicant. Applications must be submitted electronically at: <http://www.grants.gov/>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Normally, 90 days after receipt of applications.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Contingent upon congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 24 months. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

In some cases, evaluation reports may be required. No cash reports are required. Progress reports are due semi-annually. Unless otherwise specified in the award's special conditions, financial reports are due quarterly. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$20,708,500; FY 12 est \$20,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

See solicitation guidelines posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Eunice Pierre, Office of Justice Programs  
Bureau of Justice Assistance  
810 Seventh Street, N.W., Washington, District of Columbia 20531 Email:  
[AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-514-1473 or 1-866-859-2687

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.609 PROJECT SAFE NEIGHBORHOODS**

Project Safe Neighborhoods (PSN)

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended, Title I; 42 U.S.C. 50 et seq.; Crime Control Act of 1990, Public Law 101-647; Appropriations Act of 2001, Public Law 106-553; Appropriations Act of 2002, Public Law 107-77. Appropriations Act of 2003, 2004, 2006.

**OBJECTIVES:**

Project Safe Neighborhoods (PSN) is a comprehensive, strategic approach to reducing gun and gang crime in America by networking existing local programs that target gun and gang crime and providing those programs with additional tools and/or resources needed to reduce gun and gang violence.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Project Safe Neighborhoods program focuses on problem solving, strategic planning, and working in partnership with the community to prevent crime and violence and improve public safety. Project Safe Neighborhoods is a national strategy designed to reduce offenses committed with guns in streets and local neighborhoods. In addition to hiring new state and local prosecutors, the funds will be available to support investigations, provide training, develop and promote community outreach efforts, and improve public safety by supporting gun and gang crime reduction strategies.

**Applicant Eligibility:**

A PSN Task Force has been established in each of the 93 U.S. Attorney Districts. Each task force selects a fiscal agent to apply for this program. Eligible fiscal agents include states, units of local government, educational

institutions, faith-based and other community organizations, and private nonprofit organizations.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, Indian Tribal government, prosecutor offices.

**Credentials/Documentation:**

Eligible applicants must be certified by the U.S. Attorney's Office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. The application procedure and time lines will be contained in the program solicitation. Applications must be submitted on-line at the Office of Justice Programs, Grant Management System: <https://grants.ojp.usdoj.gov/>.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

120 days after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent on available funding.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. Up to 36 months. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

In some cases, evaluation reports may be required. No cash reports are required. Progress reports are due semi-annually. Unless otherwise specified in the awards special conditions, financial reports are due quarterly. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least three years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular three-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$12,425,100; FY 12 est \$5,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

Prior awards have ranged from approximately \$50,000 to \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

James Chavis Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20735 Email:  
[AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For competitive grants, criteria for selecting proposals are contained within the individual program solicitations. For non-competitive grants, applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements.

**16.610 REGIONAL INFORMATION SHARING SYSTEMS**

RISS

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351; 42 U.S.C. 3796h.

**OBJECTIVES:**

The RISS is a nationwide program supporting local, state, federal, and tribal law enforcement combat efforts in the areas of terrorism, drug trafficking, organized criminal activity, criminal gangs, violent crime, human trafficking, and other regional criminal priorities. RISS provides secure, nationwide information and intelligence-sharing capabilities, secure, but unclassified electronic communications capabilities, investigative analysis support, specialized investigative equipment, and other investigative support services.

RISS operates in all 50 states, the District of Columbia, U.S. territories, Canada, and England. RISS is the collective effort of six regional centers. The goal is to promote officer safety, enhance the ability to identify, target, and remove criminal conspiracies and activities spanning multi-jurisdictional, multi-state, and sometime international boundaries. While the RISS centers operate independently and are tailored to support the unique needs of the region served, they also operate as a collective body to address national criminal justice issues. RISS is governed by a National Policy Group comprised of the six RISS Directors and the Chair of each regional centers board of directors. The Bureau of Justice Assistance (BJA), U.S. Department of Justice (DOJ), administers the RISS Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Up to 100 percent of total project grant costs are funded through Federal assistance. Cost-sharing is governed by Appropriation Act requirements. However, projects are encouraged to obtain and utilize additional funds through voluntary contributions, membership fees or dues, fees for service, or other sources from member agencies or governmental units benefiting from project services. Such funds will be considered program income and must be used to augment project operations or to reduce the Federal share of project costs.

**Applicant Eligibility:**

Six RISS Centers are authorized as eligible to receive funding to provide services to law enforcement agencies throughout the nation. The Centers are: The Middle Atlantic Great-Lakes Organized Crime Law Enforcement Center (MAGLOCLEN), the Mid-States Organized Crime Information Center (MOCIC), the New England State Police Information Network (NESPIN), the Regional Organized Crime Information Center (ROCIC), the Rocky Mountain Information Network (RMIN), and the Western States Information Network (WSIN). Additionally, the Institute of Intergovernmental Research (IIR) is designated as the administrator of network and support system capabilities serving the aforementioned six RISS Centers.

**Beneficiary Eligibility:**

State and local criminal justice agencies; Federal, State, and local law enforcement agencies and personnel benefit from this program.

**Credentials/Documentation:**

The six RISS Centers are required to submit a Federal application for assistance, as well as a detailed program and budget narrative. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms furnished by the Federal agency and required by the Common Rule, must be used for this program.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days prior to the expiration of the project's current active grant.

**Appeals:**

Not Applicable.

**Renewals:**

A project must submit a written request justifying the need for the extension and how the extension would be consistent with the objectives of the grant 60 days prior to the expiration of the current grant.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a period of 12 months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Reporting requirements for grants/projects awarded under the RISS Program are articulated in the OJP Financial Guide, as well as the Funding and Administration Guidelines of the Regional Information Sharing Systems (RISS) Program Guide. No cash reports are required. No progress reports are required. No expenditure reports are required. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the General Accounting Office, the Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$44,910,000; FY 12 est \$27,000,000; and FY 13 est \$27,000,000

**Range and Average of Financial Assistance:**

In FY 2012, \$27 million to be divided among the six RISS Centers and IIR for administrative support for the project and operation of the secure backbone, RISSNet.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide 2011  
([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)); BJA's Funding and

Administration Guidelines of the Regional Information Sharing Systems Program, and the Criminal Intelligence Systems Operating Policies (28 CFR Part 23).

**Regional or Local Office:**

See Regional Agency Offices. Summary information about each RISS Center is available on the central RISS Website. See <http://www.riss.net>.

**Headquarters Office:**

David P. Lewis Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
AskBJA@usdoj.gov Phone: 202-616-6500

**Website Address:**

<http://www.iir.com/riss/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.611 CLOSED-CIRCUIT TELEVISIONING OF CHILD VICTIMS OF ABUSE**

CCTV

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Victims of Child Abuse Act, Public Law 90-351, as amended, 42 U.S.C. 3796aa, et seq.

**OBJECTIVES:**

To provide equipment and personnel training for the closed-circuit televising and videotaping of the testimony of children in criminal proceedings for the violation of laws relating to the abuse of children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Up to 75 percent of total project grant costs may be funded through Federal assistance.

**Applicant Eligibility:**

Limited competition--a state or local unit of government that has in effect a law allowing the closed-circuit televising or video taping of testimony of children in criminal proceedings relating to the abuse of children.

**Beneficiary Eligibility:**

State and local criminal justice agencies; Federal, state, and local law enforcement agencies and personnel; public non-profit organizations, and youth benefit from this program.

**Credentials/Documentation:**

Eligible states and units of local government. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice



Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications must be approved no later than 60 days after first received unless the Director of BJA informs the applicant of specific reasons for disapproval.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days. A project must submit a written request justifying the need for the extension and how the extension would be consistent with the objectives of the grant 60 days prior to the expiration of the current grant.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. Projects are awarded 75 percent of the total project costs. A match of 25 percent is required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grantees selected for awards will be funded for a period of 12 months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Payments and transactions are subject to audits by the General Accounting Office, the Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$828,340; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

K. Norris, Office of Justice Programs  
Bureau of Justice Assistance  
810 Seventh Street, N.W., Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: 202-616-6500 or 1-866-859-2647

**Website Address:**

<http://www.bja.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are contained in the Program Solicitation.

**16.614 STATE AND LOCAL ANTI-TERRORISM TRAINING**

SLATT

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Department of Justice Appropriations Act of 2010, Public Law 111-117.

**OBJECTIVES:**

To provide specialized, terrorism/extremism orientation, interdiction, investigation, and prevention to state and local law enforcement executives, command personnel, intelligence officers, investigators, analytical personnel, training directors, and prosecutors.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; TRAINING

**USES AND USE RESTRICTIONS:**

Grant program funds are intended to: (1) provide state and local law enforcement (including prosecution authorities) a general awareness and working knowledge of domestic terrorist and "political" extremist movements; (2) disseminate information relating to vital elements of law enforcement anti-terrorism preparedness and readiness; (3) provide a general planning orientation to State and local law enforcement pertaining to crisis and consequence management and incident command, including essential elements requisite to conducting criminal investigations and prosecutions of terrorist threats and incidents; and (4) maintain and enhance a domestic terrorism public source database. Standard restrictions as outlined in OJP's Financial Guide apply.

**Applicant Eligibility:**

For-profit (commercial) organizations; nonprofit organizations; faith-based and community organizations; institutions of higher education; and consortiums with significant and demonstrated experience in terror prevention strategies and in delivering training and technical assistance to law enforcement and tribal communities are eligible to apply. For-profit organizations must agree to waive any profit or fees for services. Joint applications from a consortium must identify the primary applicant and co-applicant(s), and letters of support that outline the partners' responsibilities must be provided.

**Beneficiary Eligibility:**

State and local criminal justice agencies are the primary beneficiaries of this program.

**Credentials/Documentation:**

All applicants are required to submit an application for assistance, as well as a detailed program and budget narrative. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>). If you experience difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at (1-800) 518-4726.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 60 days of receipt of a completed application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal is contingent upon: (1) Congressional funding; and (2) Justification. A project must submit a written request justifying the need for the extension and how an extension would be consistent with the objectives of the grant within 60 days of expiration.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

12 months. See the following for information on how assistance is awarded/released: Reimbursement. See the following for additional information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993

(GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the General Accounting Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of Federal funds must retain all project related documentation for 3 years from the date of the final financial status report unless an audit has been initiated or an unresolved audit finding remains. This is in accordance with Federal retention requirements to ensure the availability of complete information should an audit be conducted.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Training) FY 11 \$2,485,020; FY 12 est \$2,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

One cooperative agreement for up to \$2 million will be awarded for a project period of 12 months.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and <http://www.ojp.usdoj.gov/training/training.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Medaris, Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, N.W., Washington, District of Columbia 20531 Email:  
AskBJA@usdoj.gov Phone: 202-616-6500 or (1-866) 859-2647

**Website Address:**

<http://www.ojp.usdoj.gov/training/training.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received by BJA are reviewed for completeness, accuracy, and compliance with all program requirements.

**16.615 PUBLIC SAFETY OFFICERS' EDUCATIONAL ASSISTANCE PSOEA****FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Educational Assistance to Dependents of Civilian Federal Law Enforcement Officers Killed or Disabled in the Line of Duty, 42 U.S.C. 3796d. Section 1211 and Section 1212; Public Law 104-238, Section 2(2), 110 Statute 3114; Public Law 105-390, Section 2 (2) Statute 3495.

**OBJECTIVES:**

The PSOEA Program, an expansion of the Federal Law Enforcement Dependents Assistance (FLEDA) Program, provides financial assistance for higher education to the spouses and children of public safety officers killed in line of duty. The PSOEA Program also makes assistance available to spouses and children of public safety officers permanently and totally disabled by catastrophic injuries sustained in the line of duty. Under the PSOEA program, the families of state and local police, fire, and emergency public safety officers are covered for line-of-duty deaths that occurred on or after January 1, 1978. The families of federal law enforcement officers and firefighters are covered for line of duty deaths occurring on or after October 12, 1984. The effective date for families of permanently and totally disabled Federal law enforcement officers is October 3, 1996. Families of state and local police, fire, and emergency public safety officers are covered for line-of-duty permanent and totally disabling injuries that occurred on or after November 13, 1998. Families of Federal Emergency Management Agency (FEMA) personnel and state, local, and tribal emergency management and civil defense agency employees are covered for such injuries sustained on or after October 30, 2000.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Program funds are intended solely to defray eligible applicants' educational expenses, which may include tuition, fees, room and board, books, supplies, and other expenditures consistent with the educational, professional, or vocational objectives of the applicant. Funds are restricted to defray above costs only.

**Applicant Eligibility:**

Dependents who (1) attend a program of education at an eligible institution, or (2) are the spouse and/or surviving children under the age of 27 of federal, state, and local public safety officers whose deaths or permanent and totally disabling injuries are covered by the Public Safety Officers' Benefits (PSOB) Program (42 U.S.C. 3796 et seq.) are eligible for this program. A public safety officer is a person serving a public agency in an official capacity, with or without compensation, as a law enforcement officer, firefighter, or member of a public rescue squad or ambulance crew.

**Beneficiary Eligibility:**

The spouse and surviving children of federal, state, and local public safety officers receive the ultimate benefits from this program. The children may receive benefits for classes taken before their 27th birthday. There is no age restriction for spouses.

**Credentials/Documentation:**

Documentation needed to apply for assistance includes: the Application for Public Safety Officer's Educational Assistance (42 U.S.C. 3796 d); educational transcripts; tuition/fees statements; acceptance letters to educational/professional institutions; schedule of classes; verification of full- or part-time status; and certification of other forms of educational assistance. Contact the PSOB office at 1-888-744-6513 or by e-mail at AskPSOB@usdoj.gov for full credential/documentation requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Claimants may initiate a claim by writing or telephoning the PSOEA Program, Benefits Office, Bureau of Justice Assistance, 810 Seventh Street, N.W., Washington, DC 20531, (1-888) 744-6513 or AskPSOB@usdoj.gov. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit a fully executed application to the PSOEA Program, Benefits Office, Bureau of Justice Assistance, 810 Seventh Street, N.W., Washington, DC 20531.

**Award Procedure:**

Upon a finding of eligibility by the Bureau of Justice Assistance, claimants are typically awarded funds for the current or upcoming term, and they may apply for the following term once the earlier term has been completed. Funds can be

received for multiple terms at one time if they have already been completed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Dependent upon validity of claim and submission of required documentation.

**Appeals:**

Applicants may appeal within 30 days of denial notification. The appeal process consists of a record review by an administration hearing officer.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for the equivalent of 45 months of full-time education or training, or for a proportional period of time for a part-time program.

Assistance is typically awarded in 4-month installments to coincide with the length of a school term. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

15-0403-0-1-754.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$3,081,800; FY 12 est \$3,081,800; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

For classes taken since October 1, 2011, the rates of assistance are \$957 per month for full-time students, \$718 for three-quarter-time student, \$476 for half-time students, and \$239.25 for less-than-half-time students. The amount of assistance is subject to change consistent with the current computation of educational assistance allowance set forth in Title IV of the Higher Education Act, Section 3532 of Title 38, U.S.C.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Bureau of Justice Assistance's Public Safety Officers' Educational Assistance Program Fact Sheet (April 2011) at [https://www.bja.gov/Publications/PSOB\\_FS.pdf](https://www.bja.gov/Publications/PSOB_FS.pdf).

**Regional or Local Office:**

None.

**Headquarters Office:**

Eric Martin Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
AskPSOB@usdoj.gov Phone: 1-888 744-6513 or (202) 616-6500

**Website Address:**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=78](https://www.bja.gov/ProgramDetails.aspx?Program_ID=78)

**RELATED PROGRAMS:**

16.571 Public Safety Officers' Benefits Program; 16.575 Crime Victim Assistance; 16.576 Crime Victim Compensation

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications received by BJA are reviewed for completeness, accuracy, and

compliance with all program requirements.

## **16.616 INDIAN COUNTRY ALCOHOL AND DRUG PREVENTION**

### **FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

### **AUTHORIZATION:**

The Indian Alcohol and Substance Abuse Demonstration Program was created by the FY 2001 Consolidated Appropriations Act (Public Law 106-553).

### **OBJECTIVES:**

To assist tribal governments in the development and enhancement of tribal justice strategies to address crime issues related to alcohol and substance abuse.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

The Indian Alcohol and Substance Abuse Program (IASAP) provides funding and technical assistance to federally recognized tribal governments, including eligible Alaska Native villages and corporations, and authorized intertribal consortia, to plan, implement, or enhance tribal justice strategies to address crime issues related to alcohol and substance abuse. No match is required for personnel. However, if a position under IASAP is supported with BJA funds, total costs associated with salary and fringe benefits may not exceed 50 percent of the grant. Funds awarded through this program to the following tribes may not be used for courts or law enforcement officers for a tribe or village, pursuant to Public Law 108-199 S. 112(a)(1): (1) tribes in which fewer than 25 Native members live in the village year round; and (2) tribes that are located within the boundaries of the Fairbanks North Star Borough, the Matanuska Susitna Borough, the Municipality of Anchorage, the Kenai Peninsula Borough, the City and Borough of Juneau, the Sitka Borough, or the Ketchikan Borough.

### **Applicant Eligibility:**

Pursuant to 28 U.S.C. Section 524 note, applicants are limited to federally recognized tribal governments, including eligible Alaska Native villages and corporations, and authorized intertribal consortia see 25 U.S.C. Section 450. Intertribal consortia must have and retain written authorization from each member tribe prior to this solicitation's submission deadline and certify the same in the application.

### **Beneficiary Eligibility:**

Federally recognized Tribal governments.

### **Credentials/Documentation:**

Costs will be determined in accordance with 2 CFR, Part 225 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the federal agency and required by 28 CFR, Part 66, must be used for this program. Awards through this program will be competitive, based upon the extent and the urgency of the need of each applicant. All competitive grant applications must be submitted electronically through the Grant Management System (GMS) at: <http://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

### **Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJPs Assistant Attorney General, who will make final determinations. Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 120 days of the receipt of a completed application.

### **Appeals:**

See 28 CFR Part 18 for standards.

### **Renewals:**

Contingent upon Congressional funding.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Not to exceed 36 months. Method of awarding/releasing assistance: by letter of credit.

### **Reports:**

No program reports are required. No cash reports are required. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Performance Measures: To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

### **Records:**

Recipients of federal funds are expected to retain documentation supporting all programs transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

### **Account Identification:**

15-0404-0-1-754.

### **Obligations:**

(Project Grants) FY 11 \$9,940,080; FY 12 est \$27,500; and FY 13 est \$0

### **Range and Average of Financial Assistance:**

Program announcement contains information regarding the range and average level of financial assistance. Additional information is posted on the BJA website.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal

Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tim Jeffries Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, N.W.  
, Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone:  
(202) 616-6500

**Website Address:**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=63](https://www.bja.gov/ProgramDetails.aspx?Program_ID=63)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

**16.734 SPECIAL DATA COLLECTIONS AND STATISTICAL STUDIES**

Statistics

**FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

**AUTHORIZATION:**

Omnibus Crime Control and Safe Streets Act of 1968, as amended; 42 U.S.C.  
3731-3735.

**OBJECTIVES:**

To produce official national statistics on crime and the administration of justice to be used to guide Federal, State, and local policy-making and improve the quality of and access to information used for decision making.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to be used for a variety of activities in support of BJS's statistical programs including: to conduct data collection and processing activities; carry out statistical and methodological research; provide technical assistance to State, local, and tribal governments to develop their capabilities to produce justice statistics; and provide dissemination and clearinghouse services to data users.

**Applicant Eligibility:**

The Bureau of Justice Statistics is authorized to award grants and cooperative agreements to State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals. Applicants from the Territories of the United States and federally recognized Indian Tribal Governments are also eligible to participate in this program.

**Beneficiary Eligibility:**

Eligible beneficiaries are State and local governments, private nonprofit organizations, public nonprofit organizations, profit organizations, institutions of higher education, and qualified individuals.

**Credentials/Documentation:**

The applicant must furnish, along with the application for an award, details of the program budget composition, goals, impact, methods, evaluation plan, and resources of the project. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through [grants.gov](http://grants.gov) following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement. Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Hearings by the Director.

**Renewals:**

Most awards are for periods of 12 months. Under some circumstances, a subsequent award may be made to continue the project.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project duration period is generally 12 months. Assistance is released by "direct disbursement" at the request of the grantee. See the following for information on how assistance is awarded/released: Contact program office for more information.

**Reports:**

No program reports are required. No cash reports are required. Progress Reports presenting information relevant to the performance of the project must be submitted online through GMS for the reporting periods June 30 and December 31. Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award must be submitted quarterly online through GMS. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action

involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 11 \$59,800,000; FY 12 est \$45,000,000; and FY 13 est \$45,000,000

**Range and Average of Financial Assistance:**

\$50,000 to \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gerald Ramker Bureau of Justice Statistics, Department of Justice, Washington, District of Columbia 20531 Email: Gerard.Ramker@usdoj.gov Phone: 202-307-0765

**Website Address:**

<http://www.bjs.ojp.usdoj.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be outlined in the program announcements or solicitations. Program announcements or solicitations can be found on BJSs website at <http://bjs.ojp.usdoj.gov/index.cfm?ty=fun>.

**16.735 PROTECTING INMATES AND SAFEGUARDING COMMUNITIES DISCRETIONARY GRANT PROGRAM**

Prison Rape Elimination Act (PREA)

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Prison Rape Elimination Act of 2003, Public Law 108-79.

**OBJECTIVES:**

To make grants to States and to assist those States in ensuring that budgetary circumstances (such as reduced State and local spending on prisons) do not compromise efforts to protect male and female inmates in adult and juvenile correctional facilities from prison rape as well as safeguarding the communities to which inmates return.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program is divided into two parts: Protecting Inmates and Safeguarding Communities. Protecting Inmates focuses on providing funding to State and local agencies for the costs of personnel, training, technical assistance, data collection, and equipment necessary for the proper prevention, investigation, and prosecution of prison rape and the provision of victim service and treatment. Safeguarding Communities focuses on training and technical assistance to states on moderating the growth of prison populations without compromising public safety; developing and utilizing analyses of prison populations and risk assessment instruments to educate State and local governments' understanding of risks to the community of inmate reentry; preparing and updating maps that provide on a community-by-community basis a roster of returning offenders; promoting collaborative efforts with State and local governments to understand and address the risks involved when a large number of inmates reenter a community; and developing policies and programs

that reduce spending on prisons by effectively reducing rates of parole and probation revocation without compromising public safety.

**Applicant Eligibility:**

Eligible applicants are States which are interested in: (1) protecting inmates by undertaking efforts to more effectively prevent, investigate, and prosecute prison rape incidents and providing the appropriate victim services and treatment, and (2) safeguarding communities through various mediums such as intergovernmental collaboration, assessment, training, and technical assistance. Applicants in varying stages of developing a prison rape initiative are eligible and encouraged to apply. Applicants must coordinate their proposal with other stakeholders in their State to ensure a collaborative response to this solicitation and ensure that agencies within a single jurisdiction are not competing against one another in the grant process. The Chief Executive of the State shall submit one application which designates which State agency will manage the grant. (Note: The Chief Executive must certify that his/her State has adopted, or will consider adopting, the national prison rape standards.) States are encouraged to make sub-awards to local jurisdictions (e.g., jails, lock-ups, detention centers) for such purposes consistent with this solicitation.

**Beneficiary Eligibility:**

Applicants are limited to units of State and local governments and federally recognized Indian tribes (as determined by the Secretary of the Interior).

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes: (1) program goals; (2) implementation process; (3) timetable for implementation; and (4) documentation that includes organizational experience, name of grantee agency or fiscal agent, identification of management structure, letters of support/commitment and/or memoranda of understanding, and description of previous collaboration. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must coordinate their proposal with other stakeholders in their State to ensure a collaborative response to this solicitation and ensure that agencies within a single jurisdiction are not competing against one another in the grant process. The Chief Executive of the State shall submit one application which designates which state agency will manage the grant. (Note: The Chief Executive must certify that his/her state has adopted, or will consider adopting, the national prison rape standards.) States may make sub-awards to local jurisdictions (e.g., jails, lock-ups, detention centers) for such purposes consistent with this solicitation. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit a completed Standard Form 424 and other information outlined in the Application Kit to the Office of Justice Programs, Bureau of Justice Assistance. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Applications must be submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/>.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

24 months. See the following for information on how assistance is awarded/released: Reimbursement. See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Recipients are required to submit Individual Project Reports as sub-awards are made, and an annual Evaluation Report. No cash reports are required. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$12,425,100; FY 12 est \$12,500,000; and FY 13 est \$10,500,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Thurston Bryant Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Phone: (202) 616-6500

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.736 TRANSITIONAL HOUSING ASSISTANCE FOR VICTIMS OF DOMESTIC VIOLENCE, DATING VIOLENCE, STALKING, OR SEXUAL ASSAULT**

(Transitional Housing)

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended;; The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.

**OBJECTIVES:**

To provide transitional housing assistance and related support services to minors, adults, and their dependents who are homeless, or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence, dating violence, sexual assault, or stalking; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are available to provide transitional housing, including funding for the operating expenses of newly developed or existing transitional housing; short term housing assistance, including rental or utilities payment assistance and assistance with related expenses, such as payment of security deposits and other costs incidental to relocation to transitional housing; and support services designed to enable a minor, an adult, or a dependant of such minor or adult, who is fleeing a situation of domestic violence, dating violence, sexual assault, or stalking to locate and secure permanent housing and integrate into a community by providing that minor, adult, or dependant, with services, such as transportation, counseling, child care, case management, employment counseling, and other assistance. Participation in the support services must be voluntary. Receipt of the benefits of the housing assistance shall not be conditioned upon the participation of the youth, adults, or dependents in any or all of the support services offered them. Housing assistance is limited to 24 months with a possible extension for an additional 6 months if the client has made a good faith effort to acquire permanent housing and has been unable to acquire permanent housing.

**Applicant Eligibility:**

Eligible applicants are States, Indian tribal governments, units of local government, and other organizations, including domestic violence and sexual assault victim service providers, domestic violence and sexual assault coalitions, other nonprofit, nongovernmental organizations, or community-based and culturally specific organizations, that have a documented history of effective work concerning domestic violence, dating violence, sexual assault, or stalking.

**Beneficiary Eligibility:**

Beneficiaries include minors, adults, and their dependants who are homeless or in need of transitional housing or other housing assistance, as a result of fleeing a situation of domestic violence; and for whom emergency shelter services or other crisis intervention services are unavailable or insufficient.

**Credentials/Documentation:**

Applicants must provide assurances that supportive services offered to

participants are voluntary and that refusal to receive such services shall not be grounds for termination from the program or eviction from the housing. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application forms furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must apply through the on-line grants.gov portal. The receipt, review, and analysis of applications will follow Office on Violence Against Women policies and procedures for the administration of grant applications.

Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Grants will be made for amounts up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Up to 36 months. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend

\$500,000 or more in Federal funds (from all sources, including pass-through sub-awards) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$16,031,384; FY 12 est \$19,772,487; and FY 13 est \$19,772,487

**Range and Average of Financial Assistance:**

Range: \$232,177 to \$300,000

Average: \$254,466.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 244 applications  
63 awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

<http://www.ovw.usdoj.gov> .

**RELATED PROGRAMS:**

16.587 Violence Against Women Discretionary Grants for Indian Tribal Governments; 16.588 Violence Against Women Formula Grants; 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program; 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the annual solicitation.

**16.737 GANG RESISTANCE EDUCATION AND TRAINING**

G.R.E.A.T

**FEDERAL AGENCY:**

Office of Juvenile Justice and Delinquency Prevention, Department of Justice

**AUTHORIZATION:**

The Consolidated Appropriations Act 2004, Public Law 108-109.

**OBJECTIVES:**

The Gang Resistance Education and Training (G.R.E.A.T.) is a school-based, law enforcement officer-instructed classroom training curriculum. G.R.E.A.T.'s violence prevention curriculum is a life-skills competency program designed to provide students with the skills they need to avoid gang pressure and youth violence. The program's primary objective is prevention and minimizing the probability of high risk youth engaging in delinquency, youth violence, and gang membership. The instruction is taught in the classroom by specially trained, uniformed law enforcement officers. The curriculum can be used in conjunction with other prevention programs encouraging positive relationships between the community, parents, schools, and law enforcement. The G.R.E.A.T. program is comprised of a continuum of curricula Middle School (6th - 8th grades); Elementary (3rd and 4th grades); Families Component (parents/guardians and youth) and Summer Component. The various components and curricula build on and reinforce each other in addressing the



factors that contribute to youth violence and gang involvement.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Law enforcement agencies can only use the funds provided to administer the G.R.E.A.T. Program in their respective communities. This includes providing G.R.E.A.T. training for law enforcement officers and the purchasing of materials and supplies for the implementation and ongoing operation of the program.

**Applicant Eligibility:**

All State, county, tribal and municipal units of general purpose government and law enforcement agencies and other special purpose law enforcement agencies (i.e., independent school districts) in the United States and U.S. Territories.

**Beneficiary Eligibility:**

All State, county, tribal and municipal governments, law enforcement agencies and schools in the United States and U.S. Territories.

**Credentials/Documentation:**

Jurisdiction or agency head must enter into the award agreement with the Office of Justice Programs (OJP). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted by the Chief Executive Officer of a jurisdiction, or formal designee or law enforcement agency head, via the Internet-based Office of Justice Programs (OJP) Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about the OJP GMS, call the OJP GMS Hotline.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grant awards and denials are generally made within 90 days of application submission.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon congressional funding.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are issued for 12 or 18 months. Grantees may request extensions, which cannot exceed 12 additional months. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Applicants are required to submit semi-annual Categorical Assistance Progress Reports. Applicants are required to submit quarterly Financial Status reports. To assist in fulfilling the Departments responsibilities under the Government Performance

and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$8,283,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. The G.R.E.A.T. Program currently has five regional offices that are each run by a local law enforcement agency. The offices and contacts are: (1) Southeast Region, Orange County Sheriff's Office, 2500 W. Colonial Drive - 2nd Floor., Orlando, Florida 32804. Telephone: (407) 254-7369; (2) Northeast Region, Philadelphia Police Department, Community Relations Division, 1328 Race Street - 2nd Floor., Philadelphia, Pennsylvania 19107. Telephone: (215) 686-1477; (3) Midwest Region, La Crosse Police Department, 400 La Crosse Street, La Crosse, Wisconsin 54601. Telephone: (608) 789-8202; (4) Southwest Region, Phoenix Police Department, 620 West Washington Street, Phoenix, Arizona 85003. Telephone: (602) 495-0432; and (5) Northwest Region, Portland Police Bureau, 449 NE Emerson, Portland, Oregon 97211. Telephone: (503) 823-2111.

**Headquarters Office:**

Dennis Mondoro Office of Justice Programs  
Office of Juvenile Justice and Delinquency Prevention  
810 7th Street, NW, Washington, District of Columbia 20531 Phone:  
202-514-3913

**Website Address:**

<http://www.ojjdp.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.738 EDWARD BYRNE MEMORIAL JUSTICE ASSISTANCE**

**GRANT PROGRAM**

Byrne JAG Program

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Part E of title I of the Omnibus Crime Control and Safe Streets Act of 1968 as amended Subpart 1 of such part (42 U.S.C. 3751-3759). Consolidated Appropriations Act, 2008, Public Law 110-161. Public Law 109-162, Title XI, Department of Justice Reauthorization, Subtitle B, Improving the Department of Justice's Grant Programs, Chapter 1, Assisting Law Enforcement and Criminal Justice Agencies, Section 1111. Merger of Byrne Grant Program and Local Law Enforcement Block Grant Program.

**OBJECTIVES:**

JAG funds support all components of the criminal justice system from multijurisdictional drug and gang task forces to crime prevention and domestic violence programs, courts, corrections, treatment, and justice information sharing initiatives. JAG funded projects may address crime through the provision of services directly to individuals and/or communities and by improving the effectiveness and efficiency of criminal justice systems, processes, and procedures.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Law enforcement programs; prosecution and court programs; prevention and education programs; corrections and community corrections programs; drug treatment programs; and planning, evaluation, and technology improvement programs, and crime victim and witness programs. Funds may not be used to supplant State and local funds.

**Applicant Eligibility:**

All States, the District of Columbia, Guam, American Samoa, the Commonwealths of Puerto Rico, the Virgin Islands, and the Northern Mariana Islands. Units of local government are eligible consistent with established guidelines.

**Beneficiary Eligibility:**

States, Territories, and units of local government.

**Credentials/Documentation:**

Each applicant must submit a completed application that meets the requirements specified in the program guidance. Costs will be determined in accordance with 2 CFR, Part 225 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28CFR, Part 66 must be used with this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted on-line through the Office of Justice Programs Grant Management System at: <https://grants.ojp.usdoj.gov/> and must follow the criteria outlined in the solicitation as well as the JAG Program Guidance Manual.

**Award Procedure:**

An award is granted by the Director of the Bureau of Justice Assistance, and must be accepted by the applicant agency or institution according to the special conditions of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Bureau of Justice Assistance will not disapprove any application (or amendment to that application) without affording the applicant reasonable notice of any deficiencies and providing an opportunity for correction and reconsideration.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR Part 18 Code of Federal Regulations.

**Renewals:**

Subject to annual appropriations.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Chapter Subchapter V, Part A, Subpart 42 USC 3756. Statutory Formula: Once each fiscal year overall JAG Program funding level is determined, BJA partners with the Bureau of Justice Statistics (BJS) to begin a four-step grant award calculation process which consists of:

1. Computing an initial JAG allocation for each state and territory, based on their share of violent crime and population (weighted equally).
2. Reviewing the initial JAG allocation amount to determine if the state or territory allocation is less than the minimum (de minimus) award amount defined in the JAG legislation (0.25 percent of the total). If this is the case, the state or territory is funded at the minimum level, and the funds required for this are deducted from the overall pool of JAG funds. Each of the remaining states receives the minimum award plus an additional amount based on their share of violent crime and population.
3. Dividing each state's final award amount (except for the territories and District of Columbia) between state and local governments at a rate of 60 and 40 percent, respectively.
4. Determining local unit of government award allocations, which are based on their proportion of the state's three-year violent crime average. If a local eligible award amount is less than \$10,000, the funds are returned to the state to be awarded to these local units of government through the state agency. If the eligible award amount is \$10,000 or more, then the local government is eligible to apply for a JAG award directly from BJA. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of formula grant awards under this program is 4 years. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required in accordance with the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)). Quarterly financial reports are required in accordance with the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)). To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

In accordance with the requirements set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial reports and other supporting documents pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 11 \$388,889,063; FY 12 est \$352,000,000; and FY 13 est \$430,000,000

**Range and Average of Financial Assistance:**

\$10,000 to \$37,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 56 State JAG grants and 1,348 Local JAG grants were awarded. Fiscal Year 2012: In FY 2012, 56 State JAG grants and 1,128 Local JAG grants were awarded. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

See Regional Agency Offices. Contact the State Administering Agency, listed at <http://www.ojp.usdoj.gov/saa/>.

**Headquarters Office:**

Tracy Trautman Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
[AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500

**Website Address:**

[http://www.bja.gov/ProgramDetails.aspx?Program\\_ID=59](http://www.bja.gov/ProgramDetails.aspx?Program_ID=59)

**RELATED PROGRAMS:****EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Comprehensive Criminal Justice Reform and Recidivism Reduction enacted \$6,000,000  
Presidential Nominating Conventions enacted \$100,000,000  
State and Local Assistance help Desk and Diagnostic Center (E2I) enacted \$4,000,000  
VALOR Initiative enacted \$2,000,000. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

**16.740 STATEWIDE AUTOMATED VICTIM INFORMATION NOTIFICATION (SAVIN) PROGRAM**

SAVIN

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Pub. L. 110-5, emb. secs. 101-104; Pub. L. No. 109-108, 119 Stat. 2290, 2299; 28 U.S.C. 530C(a)(1).

**OBJECTIVES:**

The SAVIN Program, administered by the Bureau of Justice Assistance (BJA), helps protect victims and survivors of crime from further victimization and ensures their rights are secured by providing registered individuals with timely and accurate information about any important dates and developments relating

to the criminal proceedings at issue in their case (e.g., trial dates, times, or changes; probation hearings; inmate relocation; and offender release). This program allows victims and survivors to discretely receive information that can help them make informed decisions about their level of participation in the legal process. Effective SAVIN programs require broad multiagency support, increased victim safety, compliance with legislative requirements, and minimization of costs associated with keeping registered participants informed throughout the criminal justice process. SAVIN programs provide a single point of shared services for victims located anywhere in a state to learn about the status of their offenders case.

Key SAVIN components include:

**Governance:** An authorized statewide agency to oversee the planning and implementation of the SAVIN program. The administering agency should establish a governance process that includes representatives of criminal justice and law enforcement agencies, technology staff, and victim advocates, including direct participation of a cross-section of victims of crime to guide the development and delivery of SAVIN services. The governance committee or board should meet (in person or via conference call) on a regular basis to discuss help inform the progress of the grant goals and objectives and the overall SAVIN program.

**Technology:** The use of technology solutions designed to collect, manage, and share critical information to and from victims that provide these services in a timely, confidential, and cost-effective manner.

**Program Management:** An organizational structure that will execute the program as directed by the established governance process and will enable the state to establish or expand existing notification capabilities based upon measures of the effectiveness of the program by collecting data on victims and survivors served and cost effectiveness. For example, conducting surveys with victims and survivors to ensure that the system is meeting their needs.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Technology improvement programs. SAVIN grantees are required to use the National Information Exchange Model (NIEM) ([www.niem.gov](http://www.niem.gov)), follow associated SAVIN implementation guidelines, and adopt the guidelines as part of their SAVIN program planning. Funds may not be used to supplant State and local funds.

**Applicant Eligibility:**

Applicants are limited to state-approved agencies that are authorized to manage the SAVIN program. State-approved agencies must be authorized either through state legislation or identified through the Governors office to manage the planning and implementation of a SAVIN program. Federally recognized Indian tribes (as determined by the Secretary of the Interior) are also eligible to receive grant funding for the planning and implementation of an automated victim notification program.

In order to apply for SAVIN program funding, eligible applicant agencies must include the state legislation designating authority to manage the SAVIN program for their state. If there is no authorizing state legislation, a letter from the Governor must be attached as part of the application. The letter must designate the applicant as the approved SAVIN program manager on behalf of the state.

**Beneficiary Eligibility:**

States, Territories and Tribal governments.

**Credentials/Documentation:**

Each applicant must submit a completed application that meets the requirements specified in the program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the Federal agency in accordance with 28 CFR, Part 66 must be used with this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through [grants.gov](http://grants.gov) following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Bureau of Justice Assistance shall not finally disapprove any application (or amendment to that application) without affording the applicant reasonable notice of any deficiencies and providing an opportunity to correction and reconsideration.

**Appeals:**

Hearing and appeal procedures will follow 28 CFR Part 18, Code of Federal Regulations.

**Renewals:**

Renewals are subject to annual appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: It is not anticipated that a match will be required (depending upon final appropriation authority) but is recommended to promote program sustainability and partnerships across the state. If you include a match in your proposed budget, clearly denote which budget lines items are matching funds. If a successful application proposes the optional match amount, the match amount incorporated into the OJP-approved budget becomes mandatory and subject to audit and must be reported quarterly in the SF-425 (financial status reports).  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

BJA will award funding to deploy and operate the program for 24 months from the date of award. See the following for information on how assistance is awarded/released: Reimbursement. See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required in accordance with the Office of Justice Programs Financial Guide ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)). Financial reports are required in accordance with the Office of Justice Programs Financial Guide ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)). To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$11,976,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

BJA will determine the number of awards based on available resources, the number of submissions received, and criteria set forth in this grant announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>. For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Talbot Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2687

**Website Address:**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=87](https://www.bja.gov/ProgramDetails.aspx?Program_ID=87)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed to determine compliance with applicable guideline requirements.

**16.741 DNA BACKLOG REDUCTION PROGRAM**

**FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Department of Justice Appropriations Act, 2012; 42 USC 14136a; 42 USC 14136e(b); 42 USC 14135(j).

**OBJECTIVES:**

To assist eligible States and units of local government to process, record, screen, and analyze forensic DNA and/or DNA database samples, and to increase the capacity of public forensic DNA and DNA database laboratories to process more DNA samples, thereby helping to reduce the number of forensic DNA and DNA database samples awaiting analysis.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Expenditures from Forensic DNA Backlog Reduction Program awards may include the following: (1) Salary and benefits of additional laboratory employees: Funds may be used to hire additional full-time or part-time laboratory employees to directly process, record, screen, and/or analyze

forensic DNA and/or DNA database samples. Funds may also be used to hire additional full-time or part-time laboratory employees to directly perform capacity enhancement-specific activities, such as validating new DNA analysis technologies for the forensic DNA laboratory and/or the laboratory responsible for analysis of DNA database samples. Funds are subject to applicable restrictions on supplanting and may be used to retain full-time or part-time laboratory employees for the above purposes if there are no other funding sources allocated for the retention of such personnel (e.g., personnel acquired through previous Federal assistance). Matching funds are not required. Note: NIJ makes no assurance that funds will be available for this purpose in future award announcements. (2) Overtime for existing laboratory staff: Funds may be used to pay overtime for existing laboratory employees to directly process, record, screen, and/or analyze forensic DNA and/or DNA database samples. Funds may also be used to pay overtime for existing laboratory employees to directly perform capacity enhancement-specific activities such as validating new DNA analysis technologies for the forensic DNA or DNA database laboratory. Any payments for overtime must be in accordance with the applicable provisions of the OJP Financial Guide, available at [www.ojp.usdoj.gov/financialguide/](http://www.ojp.usdoj.gov/financialguide/). (3) Training: Funds may be used for appropriate training of forensic DNA and DNA database laboratory personnel. Existing members of the DNA Unit: Appropriate training includes internal or external training, continuing education/training opportunities, and/or applicable graduate-level coursework that is directly related to the applicant's forensic DNA or DNA database laboratory operation and is for members of the DNA laboratory. Funds used towards travel and registration expenses for appropriate continuing education/training opportunities that are associated with professional meetings and conferences (including workshops provided at such meetings and conferences) are limited to no more than 5 percent of the total award. Funds used towards travel expenses, registration fees, and tuition and required learning aids (e.g., textbooks) for appropriate training and continuing education opportunities that are not associated with professional meetings and conferences are not subject to the 5-percent cap. In general, funds used for training are intended to aid existing members of the DNA laboratory to meet continuing education requirements mandated in the DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation. New members of the DNA Unit: States and units of local government that wish to use funds to train new employees to process, record, screen, and/or analyze forensic DNA and/or DNA database samples should submit a detailed plan in their proposal. There is no fixed-percentage cap on use of funds for this purpose. (4) Travel (Limited): Funds may be used for travel to conduct required site visits to public or private accredited laboratories that will be conducting DNA analyses on behalf of the applicant agency to review procedures and practices prior to initial sample shipment; funds may also be used to make one additional unannounced site visit. Funds may be used for travel associated with DNA training, described in 3, above. Travel expenses must be reasonable and must comply with the applicable provisions of the OJP Financial Guide. Note that, absent prior express written approval from NIJ, rates for lodging charged to any award under this solicitation may not exceed the posted GSA rate for the location. If an award recipient opts to book lodging at a higher rate, the cost differential, including associated taxes, may not be charged to the award. (5) Equipment: Funds may be used to upgrade, replace, or purchase laboratory equipment, instrumentation, and computer hardware for the forensic DNA and/or the DNA database laboratory. (6) Laboratory supplies for validation: Allowable supply expenses include the purchase of laboratory supplies that can be directly attributed to the validation of new DNA analysis technologies. 7. Supplies for DNA database sample collection: Convicted offender and/or arrestee related sample collection kits may be purchased. (8) Laboratory supplies for in-house processing, recording, screening, and analysis of forensic DNA casework and/or DNA database samples. (9) Renovation: Funds may be used to renovate existing space within the crime laboratory, if it can be demonstrated that the renovation will directly and specifically improve the efficiency of the analysis of forensic DNA samples and/or DNA database samples. Expenses that may be allowable include the purchase or upgrade of benches, cabinets, interior dividing walls, plumbing, HVAC systems, electrical wiring, evidence examination and preparation rooms, evidence storage rooms, drying rooms, walk-in freezers, and extraction or amplification rooms. (10) Contracts for analysis of forensic DNA casework samples or DNA database samples by public or private accredited DNA laboratories: Funds may be used

to send forensic DNA and/or DNA database samples to fee-for-service laboratories to conduct DNA analyses. Funds may also be used to enter into agreements with government-owned laboratories to conduct forensic DNA and/or DNA database sample analyses, perform data review, enter eligible DNA profiles into CODIS and, where applicable, upload to NDIS. Every laboratory that is contracted to conduct forensic DNA or DNA database sample analyses under this program must undergo an external audit, not less than once every 2 years, in order to demonstrate compliance with the requirements of the Quality Assurance Standards for Forensic DNA Testing Laboratories and/or the Quality Assurance Standards for DNA Database Laboratories established by the Director of the Federal Bureau of Investigation, and must be accredited by a nonprofit professional organization actively involved in forensic science that is nationally recognized within the forensic science community. Note: All contracts and procurements made under this program are subject to the standards set forth in 28 C.F.R. section 66.36 and other applicable Federal law, including the provisions of 28 C.F.R. section 66.36 that relate to competition. Prior approval from OJP is required for all sole-source procurements in excess of \$100,000. Approval may be obtained in the form of a sole-source request with adequate justification submitted directly to GMS with the application for funding. (11) Contracts for DNA audits (after September 30, 2012): The DNA audit program that NIJ has offered through the Forensic Technology Center of Excellence is expected to end on September 30, 2012. After this date, DNA laboratories may establish contracts with vendors (individuals or entities) that can provide an external DNA audit once every 2 years, as required by the Quality Assurance Standards for Forensic DNA Testing and DNA Database Laboratories established by the Director of the Federal Bureau of Investigation. DNA Backlog Reduction Program funds may not be used to defray the cost of an external DNA audit that is part of an accreditation inspection/assessment, or of an internal DNA audit. As part of the decision as to whether to award a contract to a vendor for a DNA audit, an award recipient is expected to examine carefully any costs charged by the vendor, including auditor fees (not to exceed \$450 per auditor for each day on site) and auditor travel expenses, and to determine whether all such charges are reasonable and justified. All audit-related costs must be detailed in the budget. Note that NIJ will use the rates established by the GSA schedule ([www.gsa.gov/portal/category/21287](http://www.gsa.gov/portal/category/21287)) as a benchmark in examining the reasonableness of audit-related travel expenses. Auditors must meet the requirements specified in the Quality Assurance Standards for Forensic DNA Testing and/or DNA Database Laboratories and, in addition, must reside outside the State where the laboratory to be audited operates. The same auditors cannot be used in consecutive audits, and all auditors must sign a conflict of interest and nondisclosure form prior to performing any work. (12) Additional contracts and contractor services: Contracts may be established to purchase and install Laboratory Information Management Systems (LIMS), to procure process mapping or process improving assistance, in-house training, or for validation testing. Funds may be used to hire contract staff to process, record, screen, and analyze forensic DNA casework; to process, record, and analyze DNA database samples; or to validate new DNA analysis technologies. Contracts may be established for data review in accordance with the Quality Assurance Standards for Forensic DNA Testing and DNA Database Laboratories. (13) Direct administrative expenses or indirect costs: Up to 3 percent of the Federal portion of an award under this program may be used for either: (1) direct administrative expenses specifically related to grant administration and management, or (2) indirect costs. Applicants may not request both direct administrative expenses and indirect costs. thinking this through.

#### **Applicant Eligibility:**

Eligible applicants are State and units of local government with existing crime laboratories conducting DNA analysis that are either: (1) Accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., (2) Undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation, (3) Participate in the National DNA Index System (NDIS) or have an agreement with an NDIS participating laboratory to upload their data.

#### **Beneficiary Eligibility:**

Eligible applicants are State and units of local government with existing crime laboratories conducting DNA analysis that are either: (1) Accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., (2) Undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation, (3) Participate in the National DNA Index System (NDIS) or have an agreement with an NDIS participating laboratory to upload their data.

**Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Program Abstract; Program Narrative; Budget and Budget Narrative. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

Grants are awarded by the Institute Director based on the recommendations of criminal justice experts from outside reviewers and Institute staff. Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Deadlines are included with the application instructions, which are posted on the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Appeals:**

Hearings by the Director.

**Renewals:**

Please contact the program office for more information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards under this program are issued for a period of 18 months. See the following for information on how assistance is awarded/released: Please contact program office for more information.

**Reports:**

No program reports are required. No cash reports are required. Progress reports consisting of bi-annual performance metrics and a narrative describing progress made towards the goals and objectives of the project ; and a final report including a summary of cumulative performance measures and completion of the goals and objectives of the project are required. Fiscal report consisting of quarterly expenditures and budget expenditure reports; final financial report

giving costs and expenditures of the complete project. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Formula Grants) FY 11 \$88,707,086; FY 12 est \$75,000,000; and FY 13 est \$117,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the DNA Backlog Reduction Program solicitation may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mark Nelson, National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Email: [Mark.S.Nelson@usdoj.gov](mailto:Mark.S.Nelson@usdoj.gov) Phone: (202) 305-2664.

**Website Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible State and units of local government with existing crime laboratories conducting DNA analysis that are accredited by a nonprofit professional association actively involved in forensic science that is nationally recognized within the forensic science community such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or the Forensic Quality Services (FQS), etc., and undergo external audits, not less than once every 2 years, that demonstrate compliance with DNA Quality Assurance Standards established by the Director of the Federal Bureau of Investigation, (3) Participate in the National DNA Index System (NDIS) or have an agreement with an NDIS participating laboratory to upload their data.

**16.742 PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANT PROGRAM**

**FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

**AUTHORIZATION:**

Paul Coverdell National Forensic Sciences Improvement Act of 2000, Public Law 106-561; as amended by Public Law 107-273; as amended by the Justice for All Act of 2004, Public Law 108-405.

**OBJECTIVES:**

To improve the quality and timeliness of forensic science and medical examiner services and/or to eliminate backlogs in the analysis of forensic evidence, including controlled substances, firearms examination, forensic pathology, latent prints, questioned documents, toxicology, and trace evidence for criminal justice purposes.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to improve the quality and timeliness of forensic science and medical examiner services, including services provided by laboratories operated by States and those operated by units of local government. Among other purposes, funds may be used to eliminate backlogs in the analysis of general forensic evidence, or to train and employ forensic laboratory personnel to eliminate such backlogs. State Administering Agencies and units of local government may apply directly to NIJ for funding. Funds may be used for personnel, computerization, laboratory equipment, supplies, accreditation, education, training, and certification, facilities' a formula, found in the funding announcement, determines the limit to the amount of funding that can be used for facilities, and administration expenses (not to exceed 10 percent). Funds may not be used for expenses other than those listed above.

**Applicant Eligibility:**

Coverdell State Administering Agencies and units of local government may apply directly to NIJ for funding. All applicants for Coverdell grants - whether States or units of local government - must have developed a plan for forensic science laboratories that is designed to improve the quality and timeliness of forensic science or medical examiner services, and must specifically describe the manner in which grant funds will be used to carry out that plan. States are expected to consider the needs of laboratories operated by units of local government as well as those operated by the State. Any forensic laboratory, forensic laboratory system, medical examiner's office, or coroner's office that will receive any portion of a Coverdell grant must use generally accepted laboratory practices and procedures as established by accrediting organizations or appropriate certifying bodies. Each applicant for a Coverdell grant must be able to certify with respect to any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility that will receive any portion of the grant that a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct by employees or contractors substantially affecting the integrity of forensic results.

**Beneficiary Eligibility:**

In accordance with the Paul Coverdell National Forensic Sciences Improvement Act of 2000, Public Law 106-561, amended by Public Law 107-273, and the amendments in the Justice for All Act, Public Law 108-405, eligible applicants must be State or local (i.e., county and municipal) governments or combinations thereof. The purpose of this solicitation is to request applications for grants from State and local (i.e., county and municipal) governments to improve the quality and timeliness of forensic science and medical examiner services and/or to eliminate backlogs in the analysis of forensic evidence, including controlled substances, firearms examination, forensic pathology, latent prints, questioned documents, toxicology, and trace evidence for criminal justice purposes in State and local forensic laboratories.

**Credentials/Documentation:**

The applicant must furnish the following along with the application for a grant: a certification that states there exists a plan for forensic science laboratories that is designed to improve the quality and timeliness of forensic science or medical examiner services; a certification that states each forensic laboratory, forensic laboratory system, medical examiner's office, or coroner's office that will receive any portion of a Coverdell grant uses generally accepted laboratory practices and procedures as established by accrediting organizations or appropriate certifying bodies; a certification that states that a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct by

employees or contractors substantially affecting the integrity of forensic results, and resumes of key personnel. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Potential applicants are encouraged to request the program announcement for additional information about eligibility requirements and application and selection procedures. The standard application form as furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Applicants must contact their State Administering Agency to determine if the program has been selected for review by the State. The date that the application was sent to the State Administering Agency, or the reason such submission is not required, must be included in the application. A. Base Funds for States: Seventy-five percent of the funds available for Coverdell grants will be allocated among eligible States based on population (State base funds). To be eligible, a State must satisfy the specific application requirements outlined in this announcement and all other general requirements for NIJ and OJP grants. Applications for State base funding must be submitted by the Coverdell State Administering Agency listed on the Office of Justice Programs web site at: <http://www.ojp.usdoj.gov/state.htm>. B. Competitive Funds for States and Units of Local Government: Twenty-five percent of the available funds will be allocated among States and units of local government through a competitive process. Units of local government that provide forensic science or medical examiner services (whether through a forensic science laboratory, medical examiner's office, or coroner's office) may apply directly to NIJ for competitive funds. Coverdell State Administering Agencies may apply for competitive funds for forensic sciences improvements above and beyond those it can accomplish with its base funds. State applications for competitive funding will only be accepted from Coverdell State Administering Agencies. Other State agencies or departments who wish to apply for competitive funds must coordinate with their respective State Administering Agency. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Detailed information is provided in a program solicitation which is obtained by sending a self-addressed mailing label to NCJRS, Box 6000, Rockville, MD 20849-6000; calling toll-free to request a copy at (800) 851-3420; or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities. This program is subject to the Common Rule where applicable. The Office of Justice Programs (OJP) requires that funding applications be submitted electronically through the OJP Grants Management System (GMS), which will be accessed at <https://grants.ojp.usdoj.gov>. On-line submission of an application represents legal binding acceptance of the terms of the application. For further information about GMS, call the OJP GMS Hotline at (1-888) 549-9901.

**Award Procedure:**

Base applications are reviewed by the program office. The NIJ Director makes the final award decision. Competitive applications will be reviewed by a peer review panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this program. The NIJ Director makes the final award decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

It generally takes 3 to 6 months after the closing date of the announcement to receive Coverdell funding.

**Appeals:**

Hearing by the NIJ Director.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

In general, NIJ will limit grants under the Coverdell program to a maximum of 12 months. See the following for information on how assistance is awarded/released: See program office for more information.

**Reports:**

In addition, Coverdell grantees must submit a final report that must include a summary and assessment of the program carried out with the fiscal year grant funds and must cite the specific improvements in the quality and/or timeliness of forensic science and medical examiner services (including any reduction in forensic analysis backlog) that occurred as a direct result of the grant award. Other reports may be requested. No cash reports are required. Each State and unit of local government that receives funding under the Coverdell program must submit semiannual progress reports. Quarterly financial status reports for the life of the award. Fiscal reports consist of quarterly expenditures and budget expenditure reports; the final financial report gives costs and expenditures of the complete project. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records and accounts concerning the expenditure of Institute and grantee or appointee-contributed funds shall be maintained during the grant period and retained for 3 years thereafter. Each State or local unit of government within the State that receives funding under this program must maintain adequate records relating to the receipt and use of the total grant amount. The Attorney General and the Comptroller General of the United States (or designees thereof) will have access to these records for audit and examination purposes.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 11 \$28,992,000; FY 12 est \$12,000,000; and FY 13 est \$12,000,000

**Range and Average of Financial Assistance:**

In amounts consistent with the applicant's proposed project and the Institute's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Please contact the National Institute of Justice for up-to-date program accomplishments. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Coverdell grant announcement may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at [www.ojp.usdoj.gov/nij](http://www.ojp.usdoj.gov/nij) under Funding Opportunities.

**Regional or Local Office:**

None.

**Headquarters Office:**

NIJ, National Institute of Justice, Department of Justice, 810 7th Street, N.W., Washington, District of Columbia 20531 Phone: (202) 307-2942.

**Website Address:**

<http://www.usdoj.gov/nij>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Base applications are reviewed by the program office. The NIJ Director makes the final award decision. Competitive applications will be reviewed by a peer review panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this solicitation. The NIJ Director makes the final award decision.

**16.745 CRIMINAL AND JUVENILE JUSTICE AND MENTAL HEALTH COLLABORATION PROGRAM**

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Public Law 108-414, Mentally Ill Offender Treatment and Crime Reduction Act; Public Law 110-416, Mentally Ill Offender Treatment and Crime Reduction Reauthorization and Improvement Act of 2008.

**OBJECTIVES:**

To increase public safety through innovative cross-system collaboration for individuals with mental illness or co-occurring mental health and substance use disorders who come into contact with the criminal justice system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to: plan, create, or expand programs that promote public safety and public health by providing appropriate services for system-involved individuals with mental illnesses or co-occurring disorders; plan, create, or expand specialized training programs for criminal justice and mental health and substance abuse treatment personnel; plan, create, or expand law enforcement strategies to provide response options that are tailored to the needs of people with mental illnesses; plan, create, or expand mental health courts, other court-based programs, pre-trial, and diversion and alternative prosecution and sentencing programs; and/or promote and provide mental health or co-occurring treatment and transitional services for those incarcerated or transitional reentry programs for those released from a correctional institution.

Funding for planning grants can be used to design a strategic, collaborative plan to initiate systemic change for the identification and treatment of system-involved individuals with mental illnesses or co-occurring disorders. Funding for planning and implementation grants can be used to complete an already initiated strategic plan for their criminal justice and mental health collaboration program, and then begin implementation of the plan during the project period. Funding for expansion grants can be used to expand upon or improve a well-established collaboration plan. Expansion funding must clearly demonstrate an expansion to the current functioning of an existing program. There are limitations on funding certain activities, including construction funds. See also the OJP financial guide for other funding prohibitions.

**Applicant Eligibility:**

Applicants are limited to States, units of local government, Indian tribes, and tribal organizations. BJA will only accept joint applications; each application must include a mental health agency as well as a unit of government with responsibility for criminal justice activities.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**



This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 120 days from application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, the match amount incorporated into the OJP-approved budget becomes mandatory and subject to audit.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month project period. See the following for information on how assistance is awarded/released: Reimbursement. See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports consisting of quarterly performance metrics reports, bi-annual progress reports; and a final report including a summary of program accomplishments. Cash reports are not applicable. Progress reports are not applicable. Fiscal report consisting of quarterly expenditures and budget expenditure reports; final financial report giving costs and expenditures of the complete project. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$9,940,080; FY 12 est \$9,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

In amounts consistent with the applicant's proposed project and the BJA's plans, priorities and levels of financing.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Information about the Criminal and Juvenile Justice and Mental Health Collaboration Program solicitation may be obtained by calling NCJRS at (800) 851-3420 or accessing the web site at <http://www.ojp.usdoj.gov/BJA/funding/index.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruby Qazilbash Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Phone:  
202-616-6500 or 1-866- 859-2647.

**Website Address:**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=66](https://www.bja.gov/ProgramDetails.aspx?Program_ID=66)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.746 CAPITAL CASE LITIGATION**

CCL

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

42 U.S.C. Section 14163; 42 U.S.C. Section 14163a.

**OBJECTIVES:**

Capital Case Litigation Program

In an effort to improve the quality of legal representation and to ensure reliable jury verdicts in state capital cases, the Capital Case Litigation Program seeks to improve the quality and effectiveness of representation in death penalty cases through training for both the prosecutors who represent the public and the defense attorneys who represent indigent defendants in state capital cases.

Wrongful Conviction Review Program

The objective of the Wrongful Conviction Review Program is to provide high quality and efficient representation for defendants in post-conviction claims of innocence. Post-conviction innocence claims are likely to include complex challenges to the reliability or accuracy of evidence presented at trial that fall mainly into three categories: 1) eyewitness identification evidence; 2) confession evidence; and 3) forensic evidence. In some cases, post-conviction DNA testing alone can establish innocence, but the majority of cases will rely on other forms of evidence, and many will involve DNA testing together with additional sources of proof and/or expert testimony, which may be extremely costly.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are given to States that currently enforce their death penalty statutes.

Funding under this initiative cannot be used for training on the appellate process. Funds may not be used to supplant State and local funds.

**Applicant Eligibility:**

Capital Case Litigation Program

Applicants are limited to state agencies in states that authorize capital punishment and that conduct, or will conduct prosecutions in which capital punishment is sought. For the state agency to be eligible, its state must have an effective system for providing competent legal representation for indigent defendants in capital cases. An effective system is defined in 42 U.S.C. 14163(e) as a system that invests the responsibility for appointing qualified attorneys to represent indigent defendants in capital cases either:

(A) In a public defender program that relies on staff attorneys, members of the private bar, or both, to provide representation in capital cases;

(B) In an entity established by statute or by the highest state court with jurisdiction in criminal cases, which is composed of individuals with demonstrated knowledge and expertise in capital cases, except for individuals employed as prosecutors; or

(C) Pursuant to a statutory procedure enacted before the date of the enactment of the CCLI Act [October 30, 2002] under which the trial judge is required to appoint qualified attorneys from a roster maintained by a state or regional selection committee or similar entity.

Wrongful Conviction Review Program

For Category 1, eligible applicants are limited to non-profit organizations with missions dedicated (in whole or in part) to exonerating the innocent and to state or local public defender offices. For Category 2, applicants are limited to public and nonprofit organizations that have experience and expertise in providing representation to wrongfully convicted defendants in post-conviction claims of innocence cases.

**Beneficiary Eligibility:**

Capital Case Litigation Program: Defense counsel, prosecutors and judges in the States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, and the Northern Mariana Islands that currently enforce their death penalty statutes.

Wrongful Conviction Review Program: State or local government public defenders and non-profit organizations dedicated to exonerating the innocent.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. By certifying on-line, the authorizing signing official is also assuring that all Federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Grants Management System (GMS) at: <https://grants.ojp.usdoj.gov/>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

All applications will be peer reviewed. The BJA Director will then make award recommendations to OJP's Assistant Attorney General, who will make a final determination.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to congressional appropriation.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The terms for these grant program budget periods range from 12 to 24 months. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the requirement set forth in 28 CFR Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$2,070,850; FY 12 est \$3,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

Awards for the Capital Case Litigation and Wrongful Conviction Review programs range up to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>. For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Capital Case Litigation: Alissa Huntoon Wrongful Conviction Review:  
Catherine McNamee Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
AskBJA@usdoj.gov Phone: 202-616-6500

**Website Address:**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=52](https://www.bja.gov/ProgramDetails.aspx?Program_ID=52)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at  
<http://www.ojp.gov/funding/solicitations.htm>.

**16.750 SUPPORT FOR ADAM WALSH ACT IMPLEMENTATION GRANT PROGRAM**

Adam Walsh Act

**FEDERAL AGENCY:**

Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering,  
and Tracking, Department of Justice

**AUTHORIZATION:**

Adam Walsh Child Protection and Safety Act of 2006 (AWA).

**OBJECTIVES:**

To assist State, local, and tribal jurisdictions with developing and/or enhancing programs designed to implement requirements of the Sex Offender Registration and Notification Act (SORNA), Title I of the Adam Walsh Child Protection and Safety Act of 2006; to support other grant programs authorized by the AWA, to fund sex offender management fellowship opportunities in the Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering and Tracking Office (SMART), and to provide for the maintenance and operation of the Dru Sjodin National Sex Offender Public Website (NSOPW). In summary, SORNA requires: (1) all States, the District of Columbia, the principal U.S. territories, and federally recognized American Indian tribes that are eligible under SORNA section 127 to carry out the functions of SORNA and have elected to do so to maintain a sex offender registry; and (2) sex offenders to register and maintain a current registration in each jurisdiction where the offender resides, is an employee, and is a student. SORNA also sets forth requirements for sex offender registries to include: specified required information, duration of registration, and in-person verification of sex offender identity as well as participation in the NSOPW. NSOPW links to state, territory and tribal public sex offender registries thus allowing nation-wide searches for registered sex offenders.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The AWA Implementation grant funds must be used to assist jurisdictions in implementing requirements of SORNA or to support the adoption of effective sex offender management practices, including risk assessment, supervision, treatment and victim-centeredness. Funds must be used to implement or enhance sex offender registration and tracking programs in jurisdictions for the purpose of substantial compliance with SORNA; to support training and technical assistance regarding SORNA implementation and other effective sex offender management practices; to ensure continued maintenance and operation of NSOPW, the Tribe and Territory Sex Offender Registry System (TTSORS), and the Exchange Portal; or to fund sex offender management fellowship opportunities in the SMART Office.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, America Samoa, Guam, the Northern Mariana Islands, and Federally recognized Indian tribes who have elected to carry out the requirements of SORNA. Only applicant jurisdictions that have the intention of substantially implementing the requirements of SORNA are eligible to apply for AWA

Implementation Grants. Nonprofit and/or for-profit organizations, and institutions of higher learning may apply for training and technical assistance and other AWA-authorized grant programs. For sex offender management fellowships, eligible applicants include individuals. For the Grant for the maintenance and operation of NSOPW, eligible applicants include nonprofit and for-profit entities.

**Beneficiary Eligibility:**

State (including D.C.), local (through funds granted to States), U.S. territory and tribal government agencies that have sex offender registry and tracking responsibilities. For training and technical assistance funds: nonprofit and for-profit organizations with experience in SORNA implementation and sex offender management practices. For NSOPW: nonprofit and/or for-profit organizations with experience in providing web site development, hosting and management; web services; service-oriented architecture, and distributed information sharing systems. For sex offender management fellowships: individuals with knowledge and experience in the field of sex offender management.

**Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Program Abstract; Program Narrative; Budget and Budget Narrative. This information may be found in the solicitation section, What an Application Should Include. In addition to the standard requirements, an application may include timelines, resumes, letters of support, etc. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through [grants.gov](http://grants.gov) following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Deadlines are included with the application instructions, which are posted on the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Awards range from 12 to 18 months, and 24 months for NSOPW unless otherwise noted.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds for each fiscal year will be awarded for a period of 12 to 18 months, and 24 months for NSOPW, TTSORS and the Exchange Portal. See the following for information on how assistance is awarded/released: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semi-annual progress reports are required. Quarterly financial reports are required. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$9,448,824; FY 12 est \$21,000,000; and FY 13 est \$21,000,000

**Range and Average of Financial Assistance:**

Up to \$400K for AWA grants; NSOPW, TTSORS, Portal up to \$1 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY2011 funds supported awards to 23 tribes, 2 territories, and 10 states states for Adam Walsh Act implementation grants; one award for the operation of the National Sex Offender Public Website; and one award to support SORNA training and technical assistance for tribes. Grant activities included: developing and enhancing jurisdiction sex offender registries; enhancing information-sharing systems; purchasing equipment, such as digital finger and palm print devices and scanners, and supporting administrative and personnel costs associated with implementation (code development, policies and procedures development, records management, etc.). Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>); Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)), applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

SMART Office Office of Justice Programs, Department of Justice, 810 Seventh Street, NW, Washington, District of Columbia 20531 Phone: (202) 514-4689

**Website Address:**

<http://www.ojp.usdoj.gov/smart>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.751 EDWARD BYRNE MEMORIAL COMPETITIVE GRANT PROGRAM**

Byrne Competitive Program

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Violence Against Women and Department of Justice Reauthorization Act of 2005, Public Law 109-162, 42 U.S.C 3751(a).

**OBJECTIVES:**

To improve the functioning of the criminal justice system, such as activities pertaining to crime prevention, control, or reduction, or the enforcement of the criminal law, including, but not limited to, police efforts to prevent, control, or reduce crime or to apprehend criminals, including juveniles, activities of courts having criminal jurisdiction, and related agencies (including but not limited to prosecutorial and defender services, juvenile delinquency agencies and pretrial service or release agencies), activities of corrections, probation, or parole authorities and related agencies assisting in the rehabilitation, supervision, and care of criminal offenders, and programs relating to the prevention, control, or reduction of narcotic addiction and juvenile delinquency.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Byrne Competitive Program helps improve the capacity of local criminal justice systems and provides for national support efforts such as training and technical assistance projects to strategically address needs. Funds can be used for national scope replication, expansion, enhancement, training, and/or technical assistance programs.

**Applicant Eligibility:**

Eligible applicants include national, regional, State, or local public and private entities, including for-profit (commercial) and nonprofit organizations, faith-based and community organizations, institutions of higher education, tribal jurisdictions, and units of local government.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, individuals and tribal governments.

**Credentials/Documentation:**

Costs will be determined in accordance with 2 CFR Part 225 for State and local governments and 2 CFR Part 230 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. All applications must be submitted electronically via Grants.gov ([www.grants.gov](http://www.grants.gov)) or the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are

notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies for competitive programs.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Reimbursement. See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

In some cases, evaluation reports may be required. No cash reports are required. Unless otherwise specified in the award's special conditions, progress reports are due semi-annually. Unless otherwise specified in the award's special conditions, financial reports are due quarterly. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 11 \$33,134,000; FY 12 est \$15,000,000; and FY 13 est \$25,000,000

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

BJA, Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2647.

**Website Address:**

<http://www.bja.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.752 ECONOMIC HIGH-TECH AND CYBER CRIME PREVENTION  
FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act of 2008.

**OBJECTIVES:**

To provide a nationwide support system for agencies involved in the prevention, investigation, and prosecution of economic electronic and cyber crimes and to support and partner with other appropriate entities in addressing homeland security initiatives, as they relate to electronic and cyber crimes. It provides training, technical assistance, and/or resources to State, local and tribal law enforcement, prosecutor, and other agencies on how to prevent, combat, investigate and prosecute electronic and cyber crimes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Economic High-Tech and Cyber Crime Prevention program helps improve the capacity of local criminal justice systems to address electronic and cyber crimes and provides for national support efforts such as training and technical assistance projects to strategically address needs.

**Applicant Eligibility:**

Eligible applicants include national, regional, State, or local public and private entities, including for-profit (commercial) and nonprofit organizations, faith-based and community organizations, institutions of higher education, tribal jurisdictions, and units of local government.

**Beneficiary Eligibility:**

State and local law enforcement agencies, prosecutor, and other criminal justice agencies.

**Credentials/Documentation:**

Costs will be determined in accordance with 2 CFR Part 225 for State and local governments and 2 CFR Part 230 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program.

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. All applications must be submitted electronically via Grants.gov ([www.grants.gov](http://www.grants.gov)) or the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies for competitive programs.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Semiannual progress reports are required. Quarterly financial reports are required. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 11 \$16,566,800; FY 12 est \$7,000,000; and FY 13 est \$15,000,000

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Training delivery of 26 core courses to 6,806 students who represented 3,803 law enforcement, prosecutorial, and other criminal justice agencies. By way of targeted technical assistance enabled 571 months of criminal sentences, \$9,721,536 in criminal restitution, \$10,000 in criminal fines, \$19,500 in civil fines, and \$37,430 in civil restitution. Supported 375,226 complaints submitted to the the Internet Crime Complaint Center. Supported 7,100 general research initiatives, 260 legal court research projects, and 270 legislative statutes. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm) ), Criminal Intelligence Systems Operating Policies (28 CFR 23), Postaward Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) are applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

David P. Lewis Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone: 202-616-6500

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.753 CONGRESSIONALLY RECOMMENDED AWARDS**

Congressionally Recommended

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To provide leadership and direction in improving the functioning of the criminal justice system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Congressionally recommended grant funds provide federal financial assistance to public or private agencies and private nonprofit organizations for law enforcement program; prosecution and court program; prevention and education programs; corrections and community corrections programs; drug treatment and enforcement program; programs, planning, evaluation, and technology improvement programs; and crime victim and witness programs (other than compensation).

**Applicant Eligibility:**

State and local government agencies as well as public and private nonprofit organizations and federally recognized Indian Tribal governments are eligible to receive funds including faith-based and community organizations, under this program.

**Beneficiary Eligibility:**

State and local governments, public and private organizations, and tribal governments.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms (SF-424) as furnished by the federal agency in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the federal agency and required by the Common Rule, must be used for this program. All applications must be submitted electronically via the Office of Justice Programs' Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

See 28 CFR Part 18.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies. Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Please contact the program office for further information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justice's Office of the Inspector General, State or local government auditors, and auditors from independent public accounting firms. Jurisdictions must

follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

BJA, Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
[AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2647.

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact BJA for more information.

**16.754 HAROLD ROGERS PRESCRIPTION DRUG MONITORING PROGRAM**

PDMP

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Prescription Drug Monitoring Program was created by the FY 2002 U.S. Department of Justice Appropriations Act (Public Law 107-77) and has received funding under each subsequent years Appropriations Act.

**OBJECTIVES:**

To enhance the capacity of regulatory and law enforcement agencies to collect and analyze controlled substance prescription data through a centralized database administered by an authorized state agency and federally recognized Indian tribal governments.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Harold Rogers Prescription Drug Monitoring Program allows for states discretion as they plan, implement, or enhance a PDMP to accommodate local

decision-making based on state laws and preferences, while encouraging the replication of promising practices. In FY 2012, the program is expanding to provide funding to federally recognized Indian tribal governments for the specific purpose of enabling tribal health care providers to provide data to and access data contained within state PDMPs.

Grant funds under this program can be used to:

Build a state-level data collection and analysis system to enhance the capacity of regulatory and law enforcement agencies and public health officials for future prevention efforts.

Enhance existing programs abilities to analyze and use collected data to identify drug abuse trends, identify and address sources of diversion, and increase the number of users of the PDMP.

Facilitate and participate in national evaluation efforts to assess efficiency and effectiveness.

Encourage and implement the exchange of information under the PMIX Architecture among states to prevent cross-border diversion.

Assess the efficiency and effectiveness of state-level programs to make improvements and encourage additional states to implement programs.

Enhance collaborations with law enforcement, prosecutors, treatment professionals, the medical community, pharmacies, and regulatory boards to establish a comprehensive PDMP strategy.

Enable federally recognized Indian tribal governments to establish the policy, legal, and technological infrastructure to share PDMP data from health care facilities with the appropriate state PDMP.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

Planning Grants (Category 1): Applicants are limited to state governments without enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency.

Implementation (Category 2) and Enhancement Grants (Category 3): Applicants are limited to state governments that have in place an enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency.

Tribal Prescription Drug Monitoring Information Sharing Grants (Category 4): Applicants are limited to federally recognized Indian tribal governments as determined by the Secretary of the Interior.

**Credentials/Documentation:**

The applicant must submit a completed Application for Federal Assistance (Standard Form 424), including signed assurances that it will comply with statutory and administrative requirements. By certifying on-line, the authorizing signing official is also assuring that all federal certifications and assurances are being met. The certification and assurance forms (Assurances, OJP Form 4000/3 and Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, OJP Form 4061/6) are provided on-line to allow applicants to review and accept them electronically. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No formal pre application coordination is required. While informal pre application coordination is not required, it is encouraged that applicants coordinate with any facilities for which they have responsibility to detain or incarcerate undocumented criminal aliens. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of

grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to congressional appropriation.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The terms for these grant program budget periods range from 18 to 24 months. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011

([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Successful applicants will be required to work with designated national organizations to implement the training at the state level and keep the training current with changing laws. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$5,798,380; FY 12 est \$7,000,000; and FY 13 est \$7,000,000

**Range and Average of Financial Assistance:**

For Planning grants, applicant can request up to \$50,000. The maximum project period for planning grants is 18 months.



For Implementation grants, applicant can request up to \$400,000. The maximum project period for implementation grants is 24 months.  
For Enhancement grants, applicant can request up to \$400,000. The maximum project period for enhancement grants is 24 months.  
For Tribal Prescription Monitoring Information Sharing Grants, applicant can request up to \$150,000. The maximum project period is 18 months.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine McNamee Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
[AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866-859-2647.

**Website Address:**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=72](https://www.bja.gov/ProgramDetails.aspx?Program_ID=72)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.755 SOUTHWEST BORDER PROSECUTION INITIATIVE PROGRAM**

SWBPI

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Public Law 106-246, as amended by Public Law 106-554, authorizes the reimbursement of county and municipal governments in the States of California, Texas, Arizona, and the New Mexico state government, for specific categories of expenses associated with the handling and processing of federally initiated controlled substances cases along the Southwest Border.

**OBJECTIVES:**

The objective of the Southwest Border Prosecution Initiative (SWBPI) is to reimburse state, county, parish, tribal, or municipal governments only for costs associated with the prosecution of criminal cases declined by local U.S. Attorneys' offices.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

While funds from the SWBPI federal payments may be used by applicant jurisdictions for any purpose not otherwise prohibited by federal law, using funds for the support and enhancement of prosecutorial and detention services is encouraged.

**Applicant Eligibility:**

Eligible county and state governments in Arizona, California, New Mexico, and Texas may apply for funds, in accordance with established reporting periods and funding availability.

An applicant must be the Chief Executive Officer (CEO) or an authorized

designee of any eligible jurisdiction in Arizona, California, New Mexico, or Texas. CEOs are the highest ranking administrative or elected official of a unit of general government, such as the Governor, President of the County Commissioners, County Executive, or County Judge (for counties in Texas). Only employees, such as a Sheriff or County Prosecutor, of the applicant jurisdiction can serve as an authorized designee for SWBPI.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No formal pre application coordination is required. Previous year applicants are notified two to three weeks prior to the opening of each application period. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Southwest Border Prosecution Initiative system: <https://external.ojp.usdoj.gov/swbpi/login.jsp>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

Applications are reviewed and approved on the basis of their adherence to program guidelines and funding availability. Applicants will receive up to 100 percent of eligible case costs, based on the availability of funds. Should application amounts exceed available funding, applicants will receive funds on a uniform, pro-rata basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to congressional appropriation.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made within 90 days of application end date. See the following for information on how assistance is awarded/released: Please contact the program office for further assistance.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Documents supporting a federally initiated and declined/referred case must be retained for three years after the submission of the case for SWBPI funds. Documents can include paper or electronic case files, e-mails from the U.S. Attorneys Office, case notes, or documentation of telephone or face-to-face meetings with U.S. Attorneys Office staff or federal law enforcement officials.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$25,678,540; FY 12 est \$10,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Applicants do not request an amount. Instead their award is based on available funding and the number of eligible cases. There is no maximum project period associated with this program since it is a payments reimbursement program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines: <http://www.ojp.usdoj.gov/swbpi/index.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Darius Locicero Bureau of Justice Assistance  
810 7th Street NW, Washington, District of Columbia 20531 Email:  
[southwest@usdoj.gov](mailto:southwest@usdoj.gov) Phone: (202) 514-2533 or 1-866-817-9274

**Website Address:**

<http://www.ojp.usdoj.gov/swbpi>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.812 SECOND CHANCE ACT PRISONER REENTRY INITIATIVE**

Second Chance

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Second Chance Act of 2007 (H.R. 1593/S. 1060).

**OBJECTIVES:**

The Second Chance Act Programs are designed to help communities develop and implement comprehensive and collaborative strategies that address the challenges posed by offender reentry and recidivism reduction.

The Second Chance Act is a commonsense response to the increasing number of people who are released from prison and jail and returning to communities. There are currently 2.5 million people serving time in our federal and state prisons, and millions of people cycling through local jails every year. Ninety-five percent of all prisoners incarcerated today will eventually be released and will return to communities. Of those serving a sentence in state or federal prisons, approximately 750,000 will be released each year. The Second Chance Act will help ensure the transition people make from prison or jail to the community is safe and successful.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To facilitate offenders successful reintegration into society, the following sections of the Second Chance Act have been funded:

State, Tribal, and Local Reentry Courts authorizes the creation of state, local, and tribal reentry courts to monitor offenders and provide them with the treatment services needed to establish a self-sustaining and law-abiding life.

Family-Based Substance Abuse Treatment authorizes grants to states, local governments, and Indian tribes to develop and implement prison-based and family-based treatment programs for incarcerated parents who have minor children.

Evaluate and Improve Education at Prisons, Jails, and Juvenile Facilities

authorizes a grant to study the effectiveness of educational programs in prisons and jails and identify best or promising practices.

Technology Careers Training Demonstration Grants authorizes grants to develop training programs for offenders no more than 3 years from release to find jobs in higher paying, technology-related jobs.

Offender Reentry Substance Abuse and Criminal Justice Collaboration authorizes grants to develop treatment programs to better address the needs of returning offenders with co-occurring substance abuse and mental health issues.

Adult and Juvenile Demonstration authorizes grants to states and local governments that may be used to promote the safe and successful reintegration into the community of individuals who have been incarcerated. Allowable uses of funds include mentorship, housing, education and job training, engagement with community colleges, family programming, initiatives addressing victim priorities and restorative justice, research to improve the effectiveness of release and revocation decisions using risk assessment tools, and reentry court programs.

Mentoring Grants to Nonprofit Organizations authorizes grants to nonprofit organizations that may be used for mentoring of adult offenders or providing transitional services for reintegration into the community.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application form (SF-424), as furnished by the federal agency in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the federal agency and required by the Common Rule, must be used for this program. This program is also subject to the provisions of OMB Circular No. A-110. All applications must be submitted electronically via the Office of Justice Programs Grants Management System (GMS) at <https://grants.ojp.usdoj.gov>. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, letters and an award package are sent to the grantee. One copy of the grant award must be signed by a duly authorized representative and returned to BJA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

See 28 C.F.R. Part 18.

**Renewals:**

Continuation grants are renewable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Match is required for the state and local grants. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Contingent upon program goals and objectives, generally 12-18 months. See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Unless otherwise specified in the awards special conditions, recipients are required to submit semi-annual Progress Reports. Unless otherwise specified in the awards special conditions, recipients are required to submit quarterly Financial Status Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year. Performance Measures: To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 11 \$83,834,000; FY 12 est \$63,000,000; and FY 13 est \$80,000,000

**Range and Average of Financial Assistance:**

Varies, see solicitation guidelines posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>. For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Thurston Bryant Office of Justice Programs  
Bureau of Justice Assistance  
810 Seventh Street, NW, Washington, District of Columbia 20351 Email: [AskBJA@usdoj.gov](mailto:AskBJA@usdoj.gov) Phone: 202-616-6500 or 1-866- 859-2647

**Website Address:**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=90](https://www.bja.gov/ProgramDetails.aspx?Program_ID=90)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at

<http://www.ojp.gov/funding/solicitations.htm>.

**16.813 NICS ACT RECORD IMPROVEMENT PROGRAM  
NARIP**

**FEDERAL AGENCY:**

Bureau of Justice Statistics, Department of Justice

**AUTHORIZATION:**

The NICS Improvement Amendments Act of 2007 , Public Law 110-180.

**OBJECTIVES:**

To improve the FBI's National Instant Criminal Background Check System (NICS) by providing assistance to states to improve the completeness, automation and transmittal to state and federal systems the records utilized by the NICS. Such records include criminal history records, records of felony convictions, warrants, records of protective orders, convictions for misdemeanor involving domestic violence and stalking, records of mental health adjudications, and others, which may disqualify an individual from possessing or receiving a firearm under federal law. Helping states to automate these records will also reduce delays for law-abiding gun purchasers. The NICS Improvement Act amends the Brady Handgun Violence Prevention Act of 1993 (the Brady Act) (Public Law 103-159), under which the Attorney General established NICS. The Brady Act requires Federal Firearms Licensees (FFLs) to contact the NICS before transferring a firearm to an unlicensed person for information on whether the proposed transferee is prohibited from receiving or possessing a firearm under state or federal law. The NICS Improvement Act was enacted in the wake of the April 2007 shooting tragedy at Virginia Tech. The Virginia Tech shooter was able to purchase firearms from an FFL because information about his prohibiting mental health history was not available to the NICS and the system was therefore unable to deny the transfer of the firearms used in the shootings. The Act seeks to address the gap in information available to NICS about such prohibiting mental health adjudications and commitments and other prohibiting backgrounds. Filling these information gaps will better enable the system to operate as intended to keep guns out of the hands of persons prohibited by federal or state law from receiving or possessing firearms. The Act authorized two grant programs to assist states in providing certain information to the NICS, and prescribes grant penalties for non-compliance with the Acts record completeness goals. Pursuant to the Act, there are certain conditions, described below, that a state must satisfy in advance of receiving grants under the Act. The NICS Improvement Act has provisions that require states to meet specified goals for completeness of the records submitted to the Attorney General on individuals prohibited by federal law from possessing firearms. The records covered include automated information needed by the NICS to identify felony convictions, felony indictments, fugitives from justice, drug arrests and convictions, prohibiting mental health adjudications and commitments, domestic violence protection orders, and misdemeanor crimes of domestic violence. The Act provides for a number of incentives for states to meet the goals it sets for greater record completeness. First, the Act allows states to obtain a waiver, beginning in 2011, of the state matching requirement under the National Criminal History Improvement Program (NCHIP) grant program, if a state provides at least 90 percent of its records identifying persons in specified prohibited categories. Second, the Act authorizes grant programs described herein, which, pursuant to the Act, are being administered consistent with NCHIP, for state executive and judicial agencies to establish and upgrade information automation and identification technologies for timely submission of final criminal record dispositions and other information relevant to NICS checks. Finally, the Act provides for discretionary and mandatory Byrne Justice Assistance Grant (JAG) program grant penalties, beginning 3 years after enactment, for non-compliance with specified record completeness requirements within certain timeframes: after 3 years, 3 percent may be withheld in the case of less than 50 percent completeness; after 5 years, 4 percent may be withheld in the case of less than 70 percent completeness; and after 10 years, 5 percent shall be withheld in the case of less than 90 percent completeness (although the mandatory reduction can be waived if there is substantial evidence of the state making a reasonable effort to comply).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Act outlines the allowable uses of grant funds:

#### Grants to States:

Section 103 of the NICS Improvement Act, regarding implementation assistance to the states, provides that the grants "shall be used by the States and Indian tribal governments, in conjunction with units of local government and State and local courts, to establish or upgrade information and identification technologies for firearms eligibility determinations." In accordance with the Act, a grant to a state, territory or Indian tribes may only be used to:

Create electronic systems, which provide accurate and up-to-date information which is directly related to checks under the NICS, including court disposition and corrections records;

Assist states in establishing or enhancing their own capacities to perform NICS background checks;

Supply accurate and timely information to the Attorney General concerning final dispositions of criminal records to databases accessed by NICS;

Supply accurate and timely information to the Attorney General concerning the identity of persons who have a federally prohibiting mental health adjudication or commitment;

Supply accurate and timely court orders and records of misdemeanor crimes of domestic violence for inclusion in federal and state law enforcement databases used to conduct NICS background checks;

Collect and analyze data needed to demonstrate levels of state compliance with the Act; and

Maintain the required relief from disabilities program in accordance with the Act however, not less than 3 percent and no more than 10 percent of each grant shall be used for this purpose.

#### State Court Grants

Section 301 of the Act provides that grants shall be made to each state and territory, consistent with the states plans for the integration, automation, and accessibility of criminal history records, for use by the court systems to improve automation and transmittal to federal and state repositories of: (1) criminal history dispositions; (2) records relevant to determining whether a person has been convicted of a misdemeanor crime of domestic violence or a prohibiting domestic violence protection order; and (3) prohibiting mental adjudications and commitments. Further, the law provides that the amounts granted shall be used by the state court system only to:

Carry out, as necessary, assessments of the capabilities of state courts to automate and transmit arrest and conviction records, court orders, and mental health adjudications or commitments to federal and state record repositories; and

Implement policies, systems, procedures to automate and transmit arrest and conviction records, court orders, and mental health adjudications or commitments to federal and state record repositories.

#### **Applicant Eligibility:**

Applications must be submitted by (a) the agency designated by the Governor to administer the National Criminal History Improvement Program (NCHIP); (b) the state or territory central administrative office or similar entity designated by statute or regulation to administer federal grant funds on behalf of the jurisdiction's court system; or (c) a federally recognized Indian tribal government.

#### **Beneficiary Eligibility:**

In accordance with the NICS Improvement Amendments Act (see 18 U.S.C. 922 note), there are two specific conditions that each state must satisfy before being eligible to receive grants:

1. First, each State shall provide the Attorney General with a reasonable estimate, as calculated by a method determined by the Attorney General of the number of the records subject to the NIAA completeness requirements. (Id.)
2. Second, to be eligible for a grant under this [program], a State shall certify, to the satisfaction of the Attorney General, that the State has implemented a relief from disabilities program. (Id.) For the purpose of this solicitation, a relief from disabilities program is a program that permits persons who have been adjudicated a mental defective or committed to a mental institution to

obtain relief from the firearms disabilities imposed by law as a result of such adjudication or commitment. This relief must be based on a finding, in accordance with principles of due process, by a state court, board, commission, or other lawful authority, that the circumstances of the disability and the persons record and reputation are such that the person will not be likely to act in a manner dangerous to the public safety and that the granting of relief would not be contrary to the public interest. The certification form is available on the ATF website at [www.atf.gov/forms/download/atf-f-3210-12.pdf](http://www.atf.gov/forms/download/atf-f-3210-12.pdf). For further information, please visit NICS Improvement Act Questions and Answers on the BJS website.

Further, applications submitted on behalf of state court systems must specifically assure that: (1) the court system has the capability to contribute and will transmit pertinent information to the NICS established under section 103(b) of the Brady Handgun Violence Prevention Act (18 U.S.C. 922 note), and (2) that it will coordinate the programs proposed for NARIP funding with other federally funded information technology programs, including directly funded local programs.

#### **Credentials/Documentation:**

The applicant must furnish, along with the application for an award, a detailed budget, a budget narrative, and a program narrative describing how funds would be utilized. Applicants must also furnish a NICS Record Improvement Plan as part of the application which reflects (a) the formation of a NICS Record Improvement Task Force, an assessment of the quality and availability of qualifying NICS records in the State, obstacles preventing full and complete transmission to the NICS of the available records, and strategies planned to address such challenges and achieve completeness goals. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

A potential grantee should contact the Headquarters Office, Devon B. Adams, NARIP Program Administrator, Bureau of Justice Statistics, Department of Justice, Washington, DC 20531; Telephone: (202) 307-0765, or E-mail: [Devon.Adams@usdoj.gov](mailto:Devon.Adams@usdoj.gov), to obtain a copy of the current program announcement. The standard application forms as furnished by the Office of Justice Programs (OJP), in accordance with 28 CFR Part 66 (Common Rule), must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through [grants.gov](http://grants.gov) following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications. Specific application instructions for solicitations are available at the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

#### **Award Procedure:**

An award is granted by the Director of the Bureau of Justice Statistics and must be accepted by the applicant agency or institution according to the special conditions of the grant or cooperative agreement. Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 120 days. Deadlines are included with the application instructions, which are posted on the Office of Justice Programs web site (<http://www.ojp.gov/funding/solicitations.htm>).

#### **Appeals:**

Hearings by the Director.

#### **Renewals:**

Awards may be for up to 24 months. Activities must be completed by September 30, 2014.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project duration period will be for 12-24 months. There are three methods for requesting payment of grant funds: the Letter of Credit Electronic Certification System (LOCES), the Phone Activated Paperless Request System (PAPRS) and the Automated Standard Application for Payment (ASAP). See the following for information on how assistance is awarded/released: Please contact the program office for more information.

**Reports:**

No program reports are required. No cash reports are required. Progress Reports are required that present information relevant to the performance of the project. They must be submitted online through GMS for reporting periods ending June 30th and December 31st. Financial Status Reports containing the actual expenditures for the reporting period and cumulative for the award must be submitted quarterly online through GMS. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0401-0-1-754.

**Obligations:**

(Cooperative Agreements) FY 11 \$16,566,800; FY 12 est \$5,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Please contact BJS for up-to-date program accomplishments.  
Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)), applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal

Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Devon B. Adams, Bureau of Justice Statistics, Department of Justice, Washington, District of Columbia 20531 Email: [Devon.Adams@usdoj.gov](mailto:Devon.Adams@usdoj.gov) Phone: (202) 307-0765.

**Website Address:**

<http://bjs.gov/index.cfm?ty=tp&tid=49>

**RELATED PROGRAMS:**

16.554 National Criminal History Improvement Program (NCHIP)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Fiscal Year 2011:

[http://bjs.gov/index.cfm?ty=tp&tid=49#state\\_by\\_state](http://bjs.gov/index.cfm?ty=tp&tid=49#state_by_state). Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.814 NORTHERN BORDER PROSECUTION INITIATIVE PROGRAM**

Northern Border (NBPI)

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Public Law No. 111-8, 123 Stat. 524, 580.

**OBJECTIVES:**

The Northern Border Prosecution Initiative (NBPI) provides funds to eligible jurisdictions in the fourteen northern border states, using a uniform payment-per-case basis for qualifying federally initiated and declined-referred criminal cases that were disposed of after October 1, 2005. Eligible jurisdictions include the county governments and the fourteen state governments in Alaska, Idaho, Maine, Michigan, Minnesota, Montana, New Hampshire, New York, North Dakota, Ohio, Pennsylvania, Vermont, Washington, and Wisconsin.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

While funds from Northern Border Prosecution Initiative federal payments may be used by applicant jurisdictions for any purpose not otherwise prohibited by federal law, using funds for the support and enhancement of prosecutorial and detention services is encouraged.

**Applicant Eligibility:**

N/A.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No formal preapplication coordination is required. Previous year applicants are notified two to three weeks prior to the opening of each application period. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the online, Internet-based Northern Border Prosecution Initiative system: <http://www.ojp.usdoj.gov/nbpi/>. Faxed or mailed applications or supplemental materials will not be accepted.

**Award Procedure:**

Applications are reviewed and approved on the basis of their adherence to program guidelines and funding availability. Applicants will receive up to 100 percent of eligible case costs, based on the availability of funds. Should application amounts exceed available funding, applicants will receive funds on a uniform, pro-rata basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to congressional appropriation. Consult the Application Kit or contact BJA for additional information at [BJAborderinitiatives@usdoj.gov](mailto:BJAborderinitiatives@usdoj.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made within 90 days of application end date. See the following for information on how assistance is awarded/released: Once an award has been made for an applicant jurisdiction the jurisdiction may request payment through their on-line account. Awards will be deposited directly to the jurisdiction's bank account once the payment request has been approved by the BJA. All electronic transactions and information are secure, using the latest Internet encryption technology.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Documents supporting a federally initiated and declined/referred case must be retained for three years after the submission of the case for NBPI funds. Documents can include paper or electronic case files, e-mails from the U.S. Attorneys Office, case notes, or documentation of telephone or face-to-face meetings with U.S. Attorneys Office staff or federal law enforcement officials.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$2,485,020; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Applicants do not request an amount. Instead their award is based on available funding and the number of eligible cases. There is no maximum project period associated with this program since it is a payments reimbursement program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See the NBPI website: <http://www.ojp.usdoj.gov/nbpi/>

**Regional or Local Office:**

None.

**Headquarters Office:**

Joseph Husted, Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:

[BJAborderinitiatives@usdoj.gov](mailto:BJAborderinitiatives@usdoj.gov) Phone: (202) 353-4411 or 1-866-859-2687

**Website Address:**

<http://www.ojp.usdoj.gov/nbpi/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See solicitation for selection criteria and required elements.

**16.815 TRIBAL CIVIL AND CRIMINAL LEGAL ASSISTANCE GRANTS, TRAINING AND TECHNICAL ASSISTANCE**

TCCLA TTA

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

Indian Tribal Justice Technical and Legal Assistance Act of 2000, Public Law 106-559, 2778 Stat. , 25 U.S.C 3661.

**OBJECTIVES:**

To enhance tribal court systems and improve access to civil and criminal court systems through legal services and 2) to support the development and enhancement of tribal justice systems.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Category I: Tribal Civil Legal Assistance Grants: Applications are solicited to provide civil legal assistance services for Federally-recognized Indian tribes, members of Federally-recognized Indian tribes and tribal justice systems, pursuant to the Federal poverty guidelines. Activities and services include, but are not limited to, civil legal assistance services, guardian ad-litem appointments, court-appointed special advocates, and development and enhancement of tribal court policies, procedures, and codes.

Category II: Tribal Criminal Legal Assistance Grants: Applications are solicited to provide criminal legal assistance services for Federally-recognized Indian tribes, members of Federally-recognized Indian tribes and tribal justice systems, pursuant to the Federal poverty guidelines. Criminal legal assistance services may include adult criminal actions, juvenile delinquency actions, and guardian-ad-lit em appointments arising out of criminal or delinquency acts. Legal support to tribal governments and tribal justice systems may include the enhancement of tribal court policies, procedures, and codes.

Category III: Tribal Justice Training and Technical Assistance (TTA) Grants: To provide the following deliverables:

plan (through a training assessment) and conduct up to 3 training events based on gaps in service currently provided to Tribal Justice Systems in the area of advocacy;

provide ongoing technical assistance, including three on-site assistance visits, not limited to the legal assistance grantees. Technical assistance formats include, but are not limited to, telephone, distance learning, web-based, written, and/or onsite assistance;

develop and disseminate three publications to be determined in conjunction with the Bureau of Justice Assistance (BJA), as well as other program and training related materials;

fulfill up to a minimum of 15 and maximum of 30 completed TTA requests from Indian tribes;

present at up to four BJA or national U.S. Department of Justice (DOJ) events; and,

provide travel support expenses, which include lodging and per diem, of 20 individuals of up \$1,000 who have inadequate resources to attend tribal justice system trainings. The TTA provider must coordinate with DOJ Tribal Justice Training and Technical Assistance providers including the BJA National Training and Technical Assistance Center; support OJPs Tribal Justice and Safety website and other BJA Tribal specific websites.

**Applicant Eligibility:**

Applicants for Tribal Legal Assistance Grants in Category I (civil cases) and Category II (criminal cases) are limited to non-profit organizations with a tax status of 501(c)(3) under the Internal Revenue Service (IRS) Code, including tribal enterprises and educational institutions (public, private, and tribal colleges or universities) that provide legal assistance services for Federally-recognized Indian tribes, members of Federally-recognized Indian tribes, or tribal justice systems pursuant to Federal poverty guidelines. Non-profit organizations may be chartered under a Federally-recognized Indian tribe or a State and must retain a current 501(c)(3) tax status under the IRS Code. Tribal justice systems are defined as the entire judicial branch, and members of Indian tribes, dispute resolution forums and other culturally relevant justice approaches, trial courts, appellate courts, inter-tribal courts, alternative dispute resolution systems, and circuit rider systems, established by inherent tribunal authority whether or not they constitute a court of record. Grants are to serve to strengthen and improve the representation of indigent defendants in criminal cases and indigent respondents in civil causes of action under the jurisdiction of Indian tribes.

Applicants for Tribal Justice Training and Technical Assistance Grants in Category III are limited to national or regional membership organizations and associations whose membership or a membership section consists of judicial system personnel within tribal justice systems. Judicial personnel are defined as any judge, magistrate, court counselor, court clerk, court administrator, bailiff, probation officer, officer of the court, dispute resolution facilitator, or other official, employee, or volunteer within the tribal judicial system. Training and technical assistance supports the development and enhancement of tribal justice systems.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Please check the annual solicitation requirements available at the Office of Justice Programs website (<http://www.ojp.gov/funding/solicitations.htm>) for documentation such as a Tribal Resolution authorized and issued by a Federally-recognized Indian tribe or verification by non-profits that they have 501(c)(3) status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

BJA reviews applications for completeness, accuracy, and compliance with all program requirements. Upon approval by the Assistant Attorney General, OJP, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods are up to 24 months. See the following for information on how assistance is awarded/released: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Recipients of Federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$2,485,020; FY 12 est \$2,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The awards vary by fiscal year and resources appropriated. Applicants may apply for small projects such as \$60,000 to the maximum amount of the given fiscal year.

From FY 2010 2012 the range is as follows for each Category:

CATEGORY I: TRIBAL CIVIL LEGAL ASSISTANCE GRANTS. Grants will not exceed \$875,000 - \$1,250,000.

CATEGORY II: TRIBAL CRIMINAL LEGAL ASSISTANCE GRANTS. Grants will not exceed \$875,000 - \$1,250,000.

CATEGORY III: TRIBAL JUSTICE TRAINING AND TECHNICAL ASSISTANCE (TTA) GRANTS. Grant will not exceed \$400,000 - \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>. Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)), applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal

Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Norena Henry Department of Justice  
Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
AskBJA@usdoj.gov Phone: 1-877-927-5657

**Website Address:**

<http://www.bja.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.816 JOHN R. JUSTICE PROSECUTORS AND DEFENDERS INCENTIVE ACT**

John R. Justice (JRJ) Grant Program

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

42 U.S.C. 3797cc-21.

**OBJECTIVES:**

To encourage qualified attorneys to choose careers as prosecutors and public defenders and to continue in that service.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grants are made directly by the Office of Justice Programs to the applicant State agency, based on results of a competitive review process conducted by the States. Grant funds will be used by States to make repayments, on behalf of eligible beneficiaries, of loan obligations to institutions holding eligible beneficiary loans. Direct payment of grant funds to beneficiaries is strictly prohibited. Grant funds may be applied as repayments of eligible loans only. See program solicitation for additional information regarding eligible beneficiaries, eligible loans, and contingent obligations of eligible beneficiaries.

Priority consideration will be given to those eligible beneficiaries who have the least ability to repay their student loans, except that a fair allocation of repayment benefits among prosecutors and public defenders, and among employing entities nationwide, will be determined.

**Applicant Eligibility:**

Applicants are limited to state government agencies, designated by their Governor, and the District of Columbia, designated by the Mayor, to manage this program. The States and the District of Columbia will make loan payments on behalf of eligible beneficiaries. See below for eligibility information.

**Beneficiary Eligibility:**

For purposes of this program the following persons shall be considered eligible:

Prosecutor - full-time employee of a State or unit of local government (including tribal government) who is continually licensed to practice law and prosecutes criminal or juvenile delinquency cases at the State or unit of local government level including supervision, education, or training of other persons prosecuting such cases.

Public Defender an attorney who is continually licensed to practice law and is a full time employee of a State or unit of local government (including tribal government) who provides legal representation to indigent persons in criminal or juvenile delinquency cases including supervision, education, or training of other persons providing such representation; is a full time employee of a

nonprofit organization operating under a contract with a State or unit of local government who devotes substantially all of the employees full-time employment to providing legal representation to indigent persons in criminal or juvenile delinquency cases including supervision, education, or training of other persons providing such representation; or employed as a full-time Federal defender attorney in a defender organization pursuant to subsection (g) of section 3006A of Title 18, United States Code, that provides legal representation to indigent persons in criminal or juvenile delinquency cases.

**Credentials/Documentation:**

The designated agency must submit a completed Application for Federal Assistance (Standard Form 424), including a signed certification form stating that they will comply with statutory and administrative requirements. The applicant is also required to submit a description that includes the goals of their program, the implementation process, and a timetable for implementation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. BJA will post the allocation tables and a copy of the Solicitation and notify the designated State agencies that they are posted online. The State agencies will then generally have 45 - 60 days in which to submit an application through the online, Internet-based Grants Management System (GMS) at <https://grants.ojp.usdoj.gov/>.

**Award Procedure:**

A letter with copies of the grant award are sent to the designated agency upon approval by the Office of Justice Programs. A copy of the grant award must be signed by the authorizing official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applications will generally be approved or denied within 60 days of receipt of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon Congressional appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally awards will be for a one-year project and budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit individual progress reports. Recipients are required to submit quarterly financial reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

Not Applicable.

**Records:**

In accordance with the requirement set forth in 28 CFR, Parts 66 and 70, grantees must maintain all financial records, supporting documents, statistical



records, and all other records pertinent to the award for at least 3 years following the close of the most recent audit.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Formula Grants) FY 11 \$8,283,400; FY 12 est \$4,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No data available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cory Randolph Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW  
, Washington, District of Columbia 20531 Email: AskBJA@usdoj.gov Phone:  
(202) 616-6500

**Website Address:**

<http://www.bja.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**16.817 BYRNE CRIMINAL JUSTICE INNOVATION PROGRAM**

BCJI

**FEDERAL AGENCY:**

Bureau of Justice Assistance, Department of Justice

**AUTHORIZATION:**

FY 2012 Appropriations Act, Public Law 112-55.

**OBJECTIVES:**

The Byrne Criminal Justice Innovation (BCJI) program resources are targeted specifically to persistently distressed neighborhoods that have significant crime challenges and produce a significant proportion of crime or type of crime within the larger community or jurisdiction impeding broader neighborhood development goals. The goal of BCJI is to improve community safety by designing and implementing effective, comprehensive approaches to addressing crime within a targeted neighborhood as part of a broader strategy to advance neighborhood revitalization through cross-sector community-based partnerships. To achieve these goals, successful strategies must commit to accomplishing the following objectives:

- a) Identify a neighborhood with a concentration of crime hot spots which have for a period of time composed a significant proportion of crime or types of crime;
- b) Identify and build upon existing planning efforts, if any, to revitalize the neighborhood or address issues that relate to the crime issues identified;
- c) Enhance a community-based team with the presence of criminal justice, social service and neighborhood revitalization partners to implement the project;
- d) Offer ongoing community engagement and leadership building support and ensure the community is engaged in the process;
- e) Collaborate with local law enforcement and a research partner to conduct an analysis of crime drivers, an assessment of needs and available resources;
- f) Develop a strategy that offers a continuum of approaches to address the drivers of crime, including potentially, enforcement, prevention, intervention, and revitalization strategies;
- g) Establish effective partnerships both to provide solutions along the

continuum and commit resources to sustain what works; and

h) Implement a comprehensive and coordinated strategy with support from the BCJI training and technical assistance provider.

i) Assess program implementation in collaboration with research partners, and plan for sustainment of effective strategies with private and public state, local and tribal funding.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Allowable uses of funds include the development and implementation of evidence-based strategies that target crime in locations where most crime is occurring and can have the biggest impact while also building the capacity of the community to deter future crime through neighborhood revitalization.

**Applicant Eligibility:**

Allowable uses of funds include the development and implementation of evidence-based strategies that target crime in locations where most crime is occurring and can have the biggest impact while also building the capacity of the community to deter future crime through neighborhood revitalization.

**Beneficiary Eligibility:**

Eligible entities to serve as fiscal agent include states, unit of local governments, non-profit organizations, and federally recognized Indian tribal governments as determined by the Secretary of the Interior.

**Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Program Abstract; Program Narrative; Budget and Budget Narrative; Project Timeline and Position Descriptions; Letters of Support. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The BCJI application requires a consortium of partners (hereinafter cross-sector partnership) to work together to design a strategy addressing a targeted crime problem and responding to the scope of this solicitation. The application must also show commitment from the local law enforcement agency, community leaders, and a research partner as part of this partnership through detailed letters of support outlining their participation and partnership in the project. This cross-sector partnership must designate one agency or organization as the Fiscal Agent. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All competitive grant applications must be submitted electronically through Grants.gov. Applications or supplemental materials received by facsimile or postal mail will not be accepted.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Determined by the Assistant Attorney General, OJP.

**Renewals:**

Subject to annual appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months. See the following for information on how assistance is awarded/released: See the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)) for specifics.

**Reports:**

No program reports are required. No cash reports are required. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. Recipients are required to submit semi-annual Progress Reports and quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$15,000,000; and FY 13 est \$20,000,000

**Range and Average of Financial Assistance:**

Category 1 Award: up to \$1 million  
Category 2 Award: up to \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Solicitation guidelines are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/solicitations.htm>. For additional guidance reference the Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)). Applicable OMB Circulars and Department of Justice regulations applicable to specific types of grantees can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Bureau of Justice Assistance, Office of Justice Programs  
Bureau of Justice Assistance  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
AskBJA@usdoj.gov Phone: (202) 616-6500 or 1-866-859-2647

**Website Address:**

<http://www.bja.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.818 CHILDREN EXPOSED TO VIOLENCE**

Defending Childhood

**FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

Department of Justice Appropriations Act, 2012, Public Law 112-55, 552 Stat. 615.

**OBJECTIVES:**

Every year, millions of children and adolescents in the United States are victimized and exposed to violence in their homes, schools, and neighborhoods. Child victims of or witnesses to violence may suffer devastating consequences beyond physical harm, which may include attachment difficulties, regressive behavior, anxiety, depression, and aggression. When these problems go unaddressed, children are at greater risk for school failure, substance abuse, repeat victimization, delinquency, gang involvement, and criminal behavior during adulthood. In short, mitigating childrens exposure to violence is central to breaking the cycle of violence.

The Children Exposed to Violence program builds on and incorporates the knowledge gained through research, programs, and demonstration initiatives that have addressed the problem of children exposed to violence over the past decade. The Program features a comprehensive effort to identify successful policies and practices that address the trauma and harm that children exposed to violence experience in their homes, communities, and schools. The Program supports prevention, intervention, treatment, and community organizing strategies to implement a comprehensive continuum of care for children and teens, from birth through age 17, which have been exposed to violence. The ultimate goals of the Children Exposed to Violence Program is to reduce the severity of violence, reduce the frequency of violence, reduce the short- and long-term traumatic impact of violence, increase community safety and accountability, improve the response to children exposed to violence, improve the safety and well-being of children, and create a national dialogue on the issue of children exposed to violence.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds are available specifically to achieve the objectives of the Children Exposed to Violence Program. Use of the funds may be in support of prevention, intervention, treatment, and community organizing strategies to implement a comprehensive continuum of care for children and teens, from birth through age 17, who have been exposed to violence. As this is a discretionary grant programs, 100% of the funds are used for discretionary activities in support of program implementation.

**Applicant Eligibility:**

The Program supports prevention, intervention, treatment, and community organizing strategies to implement a comprehensive continuum of care for children and teens, from birth through age 17, which have been exposed to violence.

**Beneficiary Eligibility:**

The Program features a comprehensive effort to identify successful policies and practices that address the trauma and harm that children exposed to violence experience in their homes, communities, and schools.

**Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Program Abstract; Program Narrative; Budget and Budget Narrative.

Allowable cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to annual appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a 36 to 48 month project period. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related

to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$10,000,000; and FY 13 est \$23,000,000

**Range and Average of Financial Assistance:**

Awards may range up to \$2.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Children Exposed to Violence Program solicitations, Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)), applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine Pierce Office of Justice Programs  
Office of Juvenile Justice and Delinquency Prevention  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
[Catherine.Pierce@usdoj.gov](mailto:Catherine.Pierce@usdoj.gov) Phone: 202-616-3637 Fax: 202-353-9093

**Website Address:**

<http://ojjdp.ncjrs.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement.

**16.819 NATIONAL FORUM ON YOUTH VIOLENCE PREVENTION  
FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

Department of Justice Appropriations Act, 2012, Public Law 112-55, 125 Stat. 552, 617.

**OBJECTIVES:**

The purpose of this project is to provide training and technical assistance to localities participating in the Forum and to assist the Forum Coordination Team (FCT) with the development and support of new Forum sites. The Forum was created to build the capacity of localities across the country to more effectively address youth violence through multi-disciplinary partnerships, balanced approaches, data-driven strategies, comprehensive planning and the sharing of common challenges and promising strategies.

The Forum has the following overarching goals that serve as benchmarks of success:

1. Elevate youth and gang violence as an issue of national significance;
2. Enhance the capacity of participating localities, as well as others across the country, to more effectively prevent youth and gang violence; and,
3. Promote systems and policy change by expanding engagement, collaboration, and coordination in addressing youth violence at the national, state, and local levels.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Uses of these funds may be for one or more of the following purpose areas: Staff Coordination and Support; Management Information System Development or Enhancements; Development or Enhancements of Program Monitoring, Process Evaluation, and Outcome or Performance Evaluation (e.g. hiring a local research partner); Data Collection Efforts; and Training and Technical Assistance for Preventing School Violence and Community-Based Violence Prevention Strategies. Construction is an unallowable use of funds.

**Applicant Eligibility:**

NA.

**Beneficiary Eligibility:**

NA.

**Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Program Abstract; Program Narrative; Budget and Budget Narrative.

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to annual appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a 24 to 36 month project period. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual Progress Reports. Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993

(GPR), Public Law 103-62, and the GPR Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control. All organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit for that year in accordance with OMB Circular No. A-133, as amended, unless the audit condition on the award says otherwise. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0405-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$2,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

Capacity Building Awards up to \$125,000  
Training and Technical Assistance Award up to \$1 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The National Forum on Youth Violence Prevention Program solicitation, Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)), applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Dennis Mondoro Office of Justice Programs  
Office of Juvenile Justice and Delinquency Prevention  
810 7th Street, NW, Washington, District of Columbia 20531 Phone:  
202-514-3913

**Website Address:**

<http://ojjdp.ncjrs.org/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the Forum Capacity-Building Grants will be to foster the implementation and/or enhancement of local Youth Violence Prevention Plans

for the existing six (6) sites that have been participating in the National Forum on Youth Violence Prevention initiative. This funding will provide jurisdictions with the ability to leverage other funds and give them tangible support as they continue the implementation process. Non-competitive awards in the amount of \$125,000 for a two year period will be made to each of the six (6) cities (Boston, Chicago, Detroit, Memphis, Salinas, and San Jose) that have completed plans.

Applications for the National Forum on Youth Violence Prevention Training and Technical Assistance Program solicitation will be peer-reviewed and will be selected based on the following criteria:

Statement of the Problem (5 percent of 100)  
Goals, Objectives and Performance Measures (20 percent of 100)  
Project Design and Implementation (20 percent of 100)  
Capabilities and Competencies (40 percent of 100)  
Budget (complete; reasonable and allowable; cost-effective, and necessary for project activities) (15 percent of 100).

### **16.820 POSTCONVICTION DNA TESTING PROGRAM**

Kirk Bloodsworth Program

#### **FEDERAL AGENCY:**

National Institute of Justice, Department of Justice

#### **AUTHORIZATION:**

Department of Justice Appropriations Act, 2012, Public Law 112-55.

#### **OBJECTIVES:**

This program offers assistance to States to help defray the costs associated with postconviction DNA testing of cases of violent felony offenses where actual innocence might be demonstrated. Specifically, funding may be used to review postconviction cases of violent felony offenses (as defined by State law), and to locate and analyze biological evidence samples associated with these cases.

Where a strong justification is provided, a small percentage of Federal award funds (not to exceed 15 percent) may be used for permissible case identification activities.

For the purposes of this program

Case identification means performing outreach and/or initial screening activities, other than case review as defined below, designed to identify postconviction cases of violent felony offenses (as defined by State law) where DNA analysis might demonstrate actual innocence. Permissible outreach and initial screening mechanisms are face-to-face meetings, closed-circuit television meetings, eligibility letters/questionnaires/applications, telephone calls, and computerized searches of state court records.

Case review means review of files or documentation of postconviction cases of violent felony offenses (as defined by State law) by appropriate persons (e.g., prosecutors, public defenders, law enforcement personnel, and medical examiners) to determine whether biological evidence exists that might, through DNA analysis, demonstrate the actual innocence of the person previously convicted.

Locate evidence means seeking to locate, following a case review, biological evidence that, through DNA analysis, might demonstrate actual innocence, through activities such as the searching of files, storage facilities, and evidence rooms.

DNA analysis of biological evidence includes the handling, screening, and DNA analysis of biological evidence located in connection with a case review.

States receiving Postconviction DNA Testing Assistance funds are expected to

1. Review appropriate postconviction cases to identify those in which DNA testing could prove the actual innocence of a person convicted of a violent felony offense(s) as defined by State law.
2. Locate biological evidence associated with such postconviction cases.
3. Perform DNA analysis of appropriate biological evidence.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

Funds may be used to acquire laboratory supplies for DNA analysis of biological evidence; pay overtime for people directly engaged in case review, location of evidence, or DNA analysis of biological evidence; to hire consultants and/or temporary contract staff to conduct case reviews, locate evidence, or conduct DNA analysis of biological evidence; for contracts with accredited fee-for-service vendors to conduct DNA analysis of biological evidence; to upgrade, replace, lease, or purchase computer hardware or software that will be used exclusively for case review, location of evidence, or DNA analysis of biological evidence; for salaries and benefits of additional full- or part-time employees to the extent such employees are directly engaged in case review, location of evidence, or DNA analysis of biological evidence; and, in limited cases, for case identification activities. Funds may not be used for salaries and benefits for victim advocacy services; laboratory equipment; construction; renovation; and outreach and initial screening activities not included in case identification."

#### **Applicant Eligibility:**

Not applicable.

#### **Beneficiary Eligibility:**

Not applicable.

#### **Credentials/Documentation:**

To be eligible for an award, a State must submit an express certification from the chief legal officer of the State (typically the Attorney General) that the State

1. Provides postconviction DNA testing of specified biological evidence under a State statute, or under State rules, regulations, or practices, to persons convicted after trial and under a sentence of imprisonment or death for a State offense of murder or forcible rape, in a manner intended to ensure a reasonable process for resolving claims of actual innocence.
2. Preserves biological evidence secured in relation to the investigation or prosecution of a State offense of murder or forcible rape, under a State statute, local ordinances, or State or local rules, regulations, or practices, in a manner intended to ensure that reasonable measures are taken by all jurisdictions within the State to preserve such evidence. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

A State must submit a specific certification personally executed by its chief legal officer (typically the Attorney General) regarding the provision of postconviction DNA testing and preservation of biological evidence. To establish eligibility, the certification must be received by the National Institute of Justice (NIJ) no later than the application deadline as an attachment to the application. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Grants.gov following established procedures. The application must include: Application for Federal Assistance (Standard Form 424); Program Abstract; Program narrative; Budget Detail and Narrative; and Certification as to Provision of Postconviction DNA Testing and Preservation of Biological Evidence. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

#### **Award Procedure:**

Grants are awarded by the Institute Director based on the recommendations of criminal justice experts from outside reviewers and Institute staff. Successful applicants are notified via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

If the entity is a successful applicant and the project is selected for funding, the National Institute of Justice (NIJ) will notify the applicant of the award no later than September 30 of the calendar year via the Office of Justice Programs Grants Management System. If unsuccessful, NIJ will issue a rejection letter by December 30 of the calendar year.

**Appeals:**

Hearings by the Director.

**Renewals:**

The request to change the end date may be submitted by the recipient within 30 calendar days before the project period end date or at any time by the grant manager. Extensions for no more than 12 months past the original end date are typically granted. A request to extend the project period for more than 12 months requires justification of extraordinary circumstances.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants under this program are limited to a maximum period of 24 months after the start of the award. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/release: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients are required to submit semi-annual and final Progress Report(s). Recipients are required to submit quarterly Financial Reports. To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant federal agency not later than 9 months after the end of the grantees fiscal year. Payments and transactions are subject to audits by the Government Accountability Office, Department of Justices Office of the Inspector General, state or local government auditors, and auditors from independent public accounting firms. Jurisdictions must follow their local policies and procedures, including maintenance of reliable and accurate accounting systems, record keeping, and systems of internal control.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0404-0-1-754.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$4,142,000; FY 12 est \$4,000,000; and FY 13 est \$4,000,000

**Range and Average of Financial Assistance:**

Approximately \$3.5 million may become available for up to 10 awards. All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)), applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Dillon United States Department of Justice  
Office of Justice Programs  
National Institute of Justice  
810 7th Street, NW, Washington, District of Columbia 20531 Email:  
Michael.Dillon3@usdoj.gov Phone: 202-514-5528

**Website Address:**

<http://www.nij.gov>

**RELATED PROGRAMS:**

16.560 National Institute of Justice Research, Evaluation, and Development Project Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: A list of funded projects are available at <http://www.nij.gov/funding/awards/2011-table.htm>. Fiscal Year 2012: Not applicable. Fiscal Year 2013: Not applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement.

**16.821 JUVENILE JUSTICE REFORM AND REINVESTMENT DEMONSTRATION PROGRAM**

Do Right for Kids Pilot Program

**FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2012 P.L. 112-74.

**OBJECTIVES:**

The Juvenile Justice Reform and Reinvestment Demonstration Program is a new initiative that is made possible through the Office of Management and Budgets (OMB) Partnership Fund for Program Integrity Innovation (the Partnership Fund). The demonstration program consists of discretionary, competitive grants for up to three State and/or local administering agencies to develop and implement an integrated set of evidence-based and cost-measurement tools for juvenile justice. The tools designed will enable State and/or local agencies to make more informed decisions about resources and services for justice-involved youth, both at the point of service and at the administrative level. In addition, one discretionary, competitive award will be made for an evaluation of the initiative. A discretionary award will also be made to support training and technical assistance for implementation of the initiative.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To implement a pilot test of integrated evidence-based decision-making and cost-measurement tools in juvenile justice, and to determine whether the use of these tools result in better outcomes and lower costs for juvenile justice. In addition, funds are used to support training and technical assistance and evaluation of the initiative. Funds are to be used only to cover the implementation of activities under the Juvenile Justice Reform and Reinvestment Demonstration Program. Discretionary awards to States or localities to implement the JJRRI initiative, and to a training and technical assistance provider and evaluator. Two competitive solicitations will be issued

in FY 2012.

**Applicant Eligibility:**

Applicants for Demonstration grants are limited to local units of government, including state agencies (only if targeted to a local community), and public agencies. If the applicant is a local unit of government, it must be the local administering agency for juvenile justice. Municipal governments may submit applications as part of a larger application from the county or State within which they are located. Units of government may partner as co-applicants, when necessary, to achieve the goals of this solicitation; however, a lead agency must be identified. Only one application per State should be submitted, regardless of whether the lead applicant is a State or local agency. In addition, OJJDP will only consider applications from States determined to be in compliance with the four core requirements of the Juvenile Justice and Delinquency Prevention Act for FY 2012 funding.

**Beneficiary Eligibility:**

Eligible applicants are limited to states (including territories), units of local government (including federally recognized tribal governments, as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), and institutions of higher education (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee.

**Credentials/Documentation:**

The application must include: Application for Federal Assistance (Standard Form 424); Program Abstract; Program Narrative; Budget and Budget Narrative. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit completed applications via the Office of Justice Programs, Grants Management System or through grants.gov following established criteria. The receipt, review, and analysis of applications will follow Office of Justice Programs policies and procedures for the administration of grant applications.

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

An environmental impact statement is required for construction proposed under this program.

**Award Procedure:**

Upon approval by the Assistant Attorney General, successful applicants receive an award notification via the Grants Management System. One copy of the grant award must be signed by the authorized official and returned to the Office of Justice Programs.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

One to six months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a 24 to 36 month project period. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Office of Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post Award Instructions ([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)).

**Reports:**

No program reports are required. No cash reports are required. Recipients are required to submit semi-annual Progress Reports

Recipients are required to submit quarterly Financial Reports.

To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work. Recipients are required to submit semi-annual Progress Reports

Recipients are required to submit quarterly Financial Reports.

To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work. Recipients are required to submit semi-annual Progress Reports

Recipients are required to submit quarterly Financial Reports.

To assist in fulfilling the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111352, recipients must provide data that measures the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Effective 6/30/2004, all organizations that expend financial assistance of \$500,000 or more in any fiscal year must have a single audit. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Recipients of federal funds are expected to retain documentation supporting all program transactions for at least 3 years after the closure of audit reports related to such funding. If any litigation, claim, negotiation, audit, or other action involving records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all related issues, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

15-0035-0-1-754 - Number will denote a child account under the Partnership Fund.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$3,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Justice Programs Financial Guide 2011 ([www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm)) and Post award Instructions

([www.ojp.usdoj.gov/funding/pdfs/post\\_award\\_instructions.pdf](http://www.ojp.usdoj.gov/funding/pdfs/post_award_instructions.pdf)), applicable OMB Circulars, and Department of Justice regulations applicable to specific types of grantees, which can be found in title 28 of the Code of Federal Regulations (28 C.F.R.).

**Regional or Local Office:**

None.

**Headquarters Office:**

Janet Chiancone 810 7th Street NW Rm Stop 5222, Washington, District of Columbia 20531 Email: [Janet.Chiancone@usdoj.gov](mailto:Janet.Chiancone@usdoj.gov) Phone: 202-353-9258

**Website Address:**

<http://www.ojjdp.ncjrs.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are described in the OJP Program Announcement available at <http://www.ojp.gov/funding/solicitations.htm>.

**16.888 CONSOLIDATED AND TECHNICAL ASSISTANCE GRANT PROGRAM TO ADDRESS CHILDREN AND YOUTH EXPERIENCING DOMESTIC AND SEXUAL VIOLENCE AND ENGAGE MEN AND BOYS AS ALLIES**

**FEDERAL AGENCY:**

Violence Against Women Office, Department of Justice

**AUTHORIZATION:**

Consolidated and Further Continuing Appropriations Act, 2012, Pub. L. No. 112-055.

**OBJECTIVES:**

The Consolidated and Technical Assistance Grant Program to Address Children and Youth Experiencing Domestic and Sexual Violence and Engage Men and Boys as Allies, hereafter referred to as the Consolidated Youth Program, supports activities that were previously funded under the following four OVW grant programs: Children Exposed to Violence Program (CEV); Services to Advocate for and Respond to Youth Program (Youth Services); Services, Training, Education and Policies to Reduce Sexual Assault, Domestic Violence, Dating Violence, and Stalking in Secondary Schools Grant Program (STEP); and Engaging Men in Preventing Sexual Assault, Domestic Violence, Dating Violence, and Stalking Program (Engaging Men).

The Consolidated Youth Program creates a unique opportunity for communities to increase collaboration among non-profit victim services, violence prevention and children and youth-serving organizations, organizations and programs that support men's role in combating violence against women and girls, schools, and tribal and local government agencies. This program has two primary purposes and supports projects that implement one or both of these areas. First, the program supports comprehensive child- and youth-centered intervention and prevention programs that maximize community based efforts and evidence-informed practices to more fully address domestic violence, dating violence, sexual assault and stalking. Comprehensive programs include victim services to youth and children exposed to violence; training to professionals to improve interventions and responses; coordinated school based strategies; supportive services to non-offending parents; and coordinated community responses to violence targeting children and youth. Second, the program supports multi-faceted prevention strategies that involve community organizing, outreach, public education and mobilization that utilize men as influencers of other men and boys and encourages them to work as allies with women and girls to prevent domestic violence, dating violence, sexual assault and stalking.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

In the Consolidated and Further Continuing Appropriations Act, 2012, Pub. L. No. 112-055, Congress authorized the Consolidated Youth Program, which

combines and replaces four discretionary grant programs. The new program is designed to provide services to advocate for and respond to youth victims of domestic violence, dating violence, sexual assault, and stalking; assistance to children and youth exposed to such violence; programs to encourage men and youth in preventing such violence; and assistance to middle and high school students through educating and other services related to such violence.

**Applicant Eligibility:**

Applicants for grant funding are limited to:

Nonprofit, nongovernmental entities with the demonstrated primary goal of providing services to children or youth exposed to or victims of domestic violence, dating violence, sexual assault, or stalking;

Non-profit, nongovernmental entities with demonstrated histories of providing comprehensive services to children or youth exposed to or victims of domestic violence, dating violence, sexual assault, or stalking;

Nonprofit, nongovernmental entities with demonstrated histories of creating effective public education and/or community organizing campaigns to encourage men and boys to work as allies with women and girls to prevent sexual assault, domestic violence, dating violence, and stalking;

Indian Tribes or tribal nonprofit organizations that provides services to tribal children and youth exposed to or are of domestic violence, dating violence, sexual assault, or stalking; or

Territorial, Tribal or unit of local government entities.

**Beneficiary Eligibility:**

Other nonprofit, nongovernmental organizations including community and faith-based organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requirements set forth in 28 CFR parts 66 and 70 and 2 CFR parts 225 and 230 apply.

**Award Procedure:**

Upon approval by the Office on Violence Against Women, online notification is sent to the applicant agency with copies of the Grant Award. One copy of the Grant Award must be signed electronically by an authorized official and returned to OVW.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified by the end of the fiscal year.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are considered on a case-by-case basis.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Grants will be made for up to 100 percent of the costs of programs or projects contained in approved applications. Match is not required for this grant program; however, applicants are encouraged to maximize the impact of Federal grant dollars by contributing the costs of their project. Supplemental contributions may be cash, in-kind services, or a combination of both.

This program has MOE requirements, see funding agency for further details.



**Length and Time Phasing of Assistance:**

Grants under this program will be for a period of three years. Funds are released on an as-needed basis to the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly financial reports are required as stipulated in the program regulations and the effective edition of the OVW Financial Guide. No cash reports are required. Semi-annual progress reports shall explain the activities carried out and include an assessment of the effectiveness of those activities in achieving the purposes of the program, including number of persons served and numbers of persons seeking services who could not be served. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The award recipient must keep complete records on disposition of funds.

**Account Identification:**

15-0409-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$8,193,899; and FY 13 est \$8,193,899

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The OVW Financial Guide is applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christina Murray 145 N Street, NE, Washington DC, District of Columbia 20530 Email: christina.murray@usdoj.gov Phone: 2023070344

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Office on Violence Against Women and included in an annual solicitation.

**16.922 EQUITABLE SHARING PROGRAM****FEDERAL AGENCY:**

Department of Justice

**AUTHORIZATION:**

The Controlled Substances Act, 21 U.S.C 881(e); Civil Asset Forfeiture Reform Act (CAFRA), 18 U.S.C 981(e).

**OBJECTIVES:**

The Department of Justice Asset Forfeiture Program (the Program) is a nationwide law enforcement initiative that removes the tools of crime from criminal organizations, deprives wrongdoers of the proceeds of their crimes, recovers property that may be used to compensate victims, and deters crime. The most important objective of the Program is law enforcement. Equitable sharing further enhances this law enforcement objective by fostering

cooperation among federal, state, and local law enforcement agencies. Federal law authorizes the Attorney General to share federally forfeited property with participating state and local law enforcement agencies. The exercise of this authority is discretionary and limited by statute. The Attorney General is not required to share property in any case. The U.S. Department of the Treasury administers its own Asset Forfeiture Program. For policies and program detail, please visit the Treasury Executive Office for Asset Forfeiture website [www.treas.gov/offices/enforcement/teofa/](http://www.treas.gov/offices/enforcement/teofa/).

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The Comprehensive Crime Control Act of 1984 authorized federal officials to implement a national asset forfeiture program, asset forfeiture has become one of the most powerful tools for targeting criminals, including drug dealers and white collar criminals who prey on the vulnerable for financial gain. Forfeiture statutes are now prevalent throughout the federal legal code and their use, along with other important anti-crime measures, has had a significant impact on crime. One of the most important provisions of asset forfeiture is the authorization to share federal forfeiture proceeds with cooperating state and local law enforcement agencies. The Department of Justice Asset Forfeiture Program serves not only to deter crime but also to provide valuable additional resources to state and local law enforcement agencies. The Guide to Equitable Sharing for State and Local Law Enforcement Agencies Guide, as revised from time to time, serves to promote and maintain the integrity of the equitable sharing program so that it can continue to merit public confidence and support. The Guide is supplemented with the National Code of Professional Conduct for Asset Forfeiture (see Appendix B) and all seizing and prosecutorial agencies must ensure compliance with the Code. The Guide seeks to assist state and local law enforcement agencies participating in the program by clarifying the directives they must follow to obtain and use equitably shared funds. The goal is to make the process as clear as possible so that local communities and the nation can thrive from reduced crime and from quality law enforcement. Except as noted in the Guide, equitably shared funds must be used by law enforcement agencies for law enforcement purposes only. Subject to laws, rules, regulations, and orders of the state or local jurisdiction governing the use of public funds available for law enforcement purposes, specified expenses are pre-approved as permissible uses of shared funds and property. To avoid a conflict of interest or the appearance of a conflict of interest, any employee of any federal, state, or local governmental agency (or members of his or her immediate family or those residing in his or her household) who was involved in the investigation which led to the forfeiture of the property to be sold by the USMS contractor is prohibited from purchasing, either directly or indirectly, forfeited property. Additionally, Department of Justice employees and contractors may not, without prior written approval of a designated agency official, directly or indirectly purchase property that has been forfeited to the United States; or personally use such property that has been directly or indirectly purchased from the United States by a member of his or her immediate family. The fact that shared property was forfeited as a result of a particular federal violation does not limit its use. For example, when an agency receives a share of property that was forfeited for a federal drug violation, the recipient is not limited in its use of the property in the recipient agency's drug enforcement program. Among the permissible uses of equitable sharing funds, priority should be given to supporting community policing activities, training, and law enforcement operations. Except as noted in the Guide, equitably shared funds must be used by law enforcement agencies for law enforcement purposes only. Subject to laws, rules, regulations, and orders of the state or local jurisdiction governing the use of public funds available for law enforcement purposes, specified expenses are pre-approved as permissible uses of shared funds and property. The fact that shared property was forfeited as a result of a particular federal violation does not limit its use. For example, when an agency receives a share of property that was forfeited for a federal drug violation, the recipient is not limited in its use of the property in the recipient agency's drug enforcement program. Among the permissible uses of equitable sharing funds, priority should be given to supporting community policing activities, training, and law enforcement operations.

**Applicant Eligibility:**

A state or local law enforcement agency meeting eligibility requirements set

forth in the Guide and that directly participates in an investigation or prosecution that results in a federal forfeiture may request an equitable share of the net proceeds of the forfeiture. For purposes of equitable sharing, the Department of Justice defines law enforcement agency as a state or local government organization authorized to engage in as its primary function the investigation and apprehension, or the prosecution of individuals suspected or convicted of offenses against the criminal laws of the United States or of any state, county, municipality, or territory of the United States. A state National Guard generally does not meet the law enforcement agency criteria for participation in the Department of Justice Equitable Sharing Program because its primary mission is a military or other non-law enforcement purpose. An individual National Guard unit, however, may qualify for sharing if: (1) It is a distinct unit of a state National Guard that has counterdrug activities as its primary mission and receives funding solely for this purpose; or (2) It is a military police or similar state National Guard unit that provides support to federal law enforcement agencies in counterdrug activities. No sharing request or recommendation, including shares negotiated in a task force or other agreement, is final until approved by the federal deciding authority. In accordance with the Crime Victims Rights Act and the Attorney Generals authority, the Department of Justice gives priority in the distribution of forfeited assets to valid owners, lien holders, federal financial regulatory agencies, and victims (in that order) through petitions for remission or mitigation or requests for restoration. After losses to the above parties have been satisfied, any remaining net proceeds can be shared with eligible state and local law enforcement agencies.

**Beneficiary Eligibility:**

A state or local law enforcement agency meeting eligibility requirements set forth in the Guide and that directly participates in an investigation or prosecution that results in a federal forfeiture may request an equitable share of the net proceeds of the forfeiture.

**Credentials/Documentation:**

No sharing request or recommendation pertaining to an eligible equitable sharing participant, including shares negotiated in a task force or other agreement, is final until approved by the federal deciding authority as set forth in the Guide. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. After the seizure in a joint investigation or adoption in an adoptive case, a participating state or local agency meeting all requirements set forth in the Guide may request a share of the property by submitting a Form DAG-71, Application for Transfer of Federally Forfeited Property, to the federal seizing agency. A separate Form DAG-71 must be completed for each asset to be shared. An eligible state or local law enforcement agency requesting federal adoption of a state or local seizure must comply with all applicable state laws and regulations pertaining to the transfer of seized property to a federal law enforcement agency, including any requirement for a state judicial order or prosecutorial consent (e.g., declination letter) for such transfer.

**Award Procedure:**

Federal law authorizes the Attorney General to share federally forfeited property with participating state and local law enforcement agencies. The exercise of this authority is discretionary and limited by statute. The Attorney General is not required to share property in any case. No sharing request or recommendation is final until approved by the federal deciding authority. The equitable sharing deciding authority levels are specified in the Guide.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Generally from 120 to 180 days after forfeiture, however

longer periods may be required in complex cases.

**Appeals:**

The exercise of this authority is discretionary and limited by statute. It is not subject to appeal or court review.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Equitable Sharing funds are eligible to cover the costs associated with paying a state or local law enforcement agency's matching contribution or share in a federal grant program, provided that the grant funds are used for a permissible law enforcement purpose in accordance with the Guide or where such use is authorized by federal law. Equitable Sharing awards have Non-supplanting requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Funds are disbursed to participating agencies upon approval of individual asset sharing decisions.

**Reports:**

To ensure effective management, promote public confidence in the integrity of the Equitable Sharing Program, and protect the Program against potential waste, fraud, and abuse, the Department of Justice has established reporting requirements for participating law enforcement agencies that include the annual submission of the Equitable Sharing Agreement and Certification form and, if applicable, an audit report. A state or local law enforcement agency must be in compliance with the reporting requirements set forth in this Guide to receive any distribution of money or property under the Equitable Sharing Program. As a prerequisite to participating in the Department of Justice Equitable Sharing Program, a state or local law enforcement agency must annually submit to AMIL'S a signed Equitable Sharing Agreement and Certification form. The agreement must be signed by the head of the law enforcement agency and a designated official of the governing body. By signing the Affidavit, the signatories agree to be bound by the statutes and guidelines that regulate the equitable sharing program and certify that the law enforcement agency will comply with these guidelines and statutes. State and local law enforcement agencies must submit this form within 60 days after the end of an agency's fiscal year, regardless of whether funds were received or maintained during the fiscal year. The report must be completed electronically and emailed to [aca.submit@usdoj.gov](mailto:aca.submit@usdoj.gov). Please see description under "Program Report". Please see description under "Program Report". Please see description under "Program Report". Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, and all other records pertinent to equitable sharing shall be retained for a period of 5 years following the conclusion of Federal assistance.

**Account Identification:**

15-5042-0-2-752 - Asset Forfeiture Fund, Equitable Sharing.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guide to Equitable Sharing for State and Local Law Enforcement Agencies (April 2009).

**Regional or Local Office:**

None.

**Headquarters Office:**

AFMLS ACA 1400 New York Ave, NW, Washington DC, District of Columbia 20005 Email: AFMLS.ACA@usdoj.gov Phone: 202-514-1263

**Website Address:**

<http://www.justice.gov/criminal/afmls/equitable-sharing/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**DEPARTMENT OF LABOR**

**17.150 EMPLOYEE BENEFITS SECURITY ADMINISTRATION**

(EBSA)

**FEDERAL AGENCY:**

Employee Benefits Security Administration, Department of Labor

**AUTHORIZATION:**

Employee Retirement Income Security Act of 1974, Public Law 93-406.

**OBJECTIVES:**

The Employee Benefits Security Administration (EBSA) is responsible for the administration and enforcement of the civil and criminal provisions of Title I of the Employee Retirement Income Security Act of 1974 (ERISA) as well as related provisions of other Federal laws (e.g., Title 18 USC federal criminal statutes). EBSA is also responsible for assuring compliance with the fiduciary responsibility provisions of the Thrift Savings Plan under the Federal Employees Retirement System Act of 1986 (FERSA). EBSA is charged with protecting more than 140 million workers, retirees and their families which are covered by over 700,000 private retirement plans, 2.5 million health plans, and similar numbers of other welfare benefit plans which together hold estimated assets in excess of \$6.0 trillion.

Our Agency mission is to:

- Deter and correct violations of ERISA;
- Help plan officials understand and comply with the legal requirements of ERISA;
- Educate workers on their benefit rights and responsibilities; and
- Develop policies that encourage the growth of employment-based benefits.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Plan professionals, participants and beneficiaries of employee pension, health care and welfare benefit plans obtain information about the legal requirements for plan administration, plan provisions, financial operations or how to obtain a benefit.

**Applicant Eligibility:**

Plan administrators, trustees, participants, beneficiaries of employee benefit plans, or others involved in plan administration may obtain assistance in complying with the Act. Interested persons may obtain certain plan documents

which are required to be filed by plan administrators.

**Beneficiary Eligibility:**

Plan officials, trustees, participants, beneficiaries of employee benefit plans, or others involved in plan administration.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the nearest field office of the Employee Benefits Security Administration listed in Appendix IV of the Catalog, EBSA's web site at [www.dol.gov/ebsa](http://www.dol.gov/ebsa) or EBSA's hotline at (1 866) 444-EBSA (3272). (Participants and beneficiaries should first contact their plan administrator for plan information.)

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-1700-0-1-601.

**Obligations:**

(Salaries) FY 11 \$158,670,073; FY 12 est \$183,153,185; and FY 13 est \$183,153,185

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EBSA closed 3,472 civil cases and obtained monetary results of nearly \$1,394,000,000. These monetary results were achieved through an aggressive enforcement program integrated with an effective participant assistance program. Participant assistance investigatory leads resulted in the opening of 900 enforcement cases with associated monetary results of over \$478,000,000 (a subset of the \$1,394,000,000). FY 2011 was an unprecedented year for participant assistance benefit recoveries. The rolling average for total benefit recoveries in the previous 5 fiscal years is \$132,500,000. EBSA secured two large recoveries that totaled \$275,800,000 in FY 2011 that, standing alone, exceeded total recovery results for participants for each of the previous 5 fiscal years. EBSA does not anticipate or estimate

that such anomalies will occur in future years. In partnership with other Departmental, federal, state, and local authorities, EBSA also closed 302 criminal cases in FY 2011 that resulted in 129 individuals being indicted and 75 cases being closed with guilty pleas and/or convictions. This demonstrates that EBSA's strategies for enforcement targeting and partnering with other law enforcement organizations is effective in finding the most egregious and persistent violators.

EBSA also actively involved the regulated community in efforts to identify and remedy violations with two highly successful self-correction programs designed to encourage voluntary compliance. The VFPC and the DFVCP encourage plan officials to identify and remedy certain ERISA violations. In FY 2011, EBSA verified \$8,985,000 in restored assets by closing 1,922 applications under the VFPC and 25,020 delinquent filers have come into compliance with ERISAs filing requirements under the DFVCP. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of the final regulations, proposed regulations, and other directives are available from the national office or on EBSA's website at [www.dol.gov/ebsa](http://www.dol.gov/ebsa). Certain audio-visual material also are available for hearing-impaired audiences. EBSA publishes a variety of free publications directed to employers and participants which can be obtained from its website and its publication hotline at (1 866) 444-EBSA (3272).

#### **Regional or Local Office:**

See Regional Agency Offices. Persons desiring assistance should contact the nearest Department of Labor, Employee Benefits Security Administration field office listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Gloria Della Employee Benefits Security Administration, Department of Labor, 200 Constitution Avenue, NW., Room N5623, Washington, District of Columbia 20210 Phone: 202-693-8666

#### **Website Address:**

<http://www.dol.gov/ebsa>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **17.201 REGISTERED APPRENTICESHIP**

#### **FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

#### **AUTHORIZATION:**

National Apprenticeship Act of 1937 (Fitzgerald Act), Title 29, Part 29, Public Law 075-75-308, 50 Stat. 664, 29 U.S.C 50-50a-50b.

#### **OBJECTIVES:**

To promote, engage, and assist industry in the development, expansion, and improvement of Registered Apprenticeship. This program is designed to provide the skilled workers required by U.S. employers, ensure equal employment opportunities and the quality of all new and existing Registered Apprenticeship programs.

#### **TYPES OF ASSISTANCE:**

Information; Project Grants; Training

#### **USES AND USE RESTRICTIONS:**

Under the Office of Apprenticeship (OA), apprenticeship training programs and apprentices are registered in 25 States. OA also provides technical assistance and works closely with State Apprenticeship Agencies (SAAs) in the remaining 25 States, the District of Columbia, Guam, and two territories that register programs and apprentices in accordance with Federal standards. OA provides information on existing and recommended standards of training in Registered Apprenticeship. The wage rates of apprentices in registered programs (Federal and State) are exempt from the prevailing wage requirements of the

Davis-Bacon Act and the Service Contract Act.

Registered Apprenticeship combines job-related technical instruction with structured on-the-job learning experiences in a skilled occupation. Registered programs are driven directly by the demands of the labor market. The training is industry-recognized, voluntarily sponsored by an individual business or an employer association and may be partnered with a labor organization through a collective bargaining agreement. OA brings these entities together, as appropriate, to formulate Registered Apprenticeship training programs which meet the federal standards. Various educational institutions, including institutions employing distance and computer-based learning approaches, and sponsors provide related instruction, technical training, or other certified training. Registered Apprenticeship is highly active in traditional industries such as construction and manufacturing. With the goal to provide a pipeline of skilled workers, the program is also instrumental in providing skill occupational training in other sectors such as health care, energy, and homeland security.

The Advisory Committee on Apprenticeship (ACA) is an advisory board to the Secretary of Labor whose members represents employers, labor organizations, members of the public, as well as the education community, and others entities with an interest in skill training. The ACA provides advice and recommendations to the Secretary of Labor on apprenticeship and training issues. Special grants are provided to eligible organizations to assist employers and labor unions in placement and retention of women in apprenticeship and nontraditional occupations.

#### **Applicant Eligibility:**

for Registered Apprenticeship programs, employers, a group of employers, or an association of employers, or individual employers with or without in each case the participation of a labor union. For Women in Apprenticeship and Non-Traditional Occupations (WANTO) Act of 1992 grants: community- based organizations, which may be faith based - see announcement of solicitation for grant applications.

#### **Beneficiary Eligibility:**

Registered Apprenticeship program sponsors identify the minimum qualifications to apply into their apprenticeship programs. Individuals applying for acceptance into an apprenticeship program must be at least 16 years old. To be an apprentice in a hazardous occupation, the individual must usually be 18 years. Program sponsors may also identify additional minimum qualifications and credentials to apply, e.g., education, ability to physically perform the essential functions of the occupation, ability to complete the related technical instruction, proof of age.

#### **Credentials/Documentation:**

Along with the completed application form, each prospective apprentice may be required by the program sponsor to submit a transcript of school subjects and grades, proof of age, an honorable military discharge (if applicable), and a high-school diploma or equivalence certificate (if applicable). References from all previous employers may be required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prospective program sponsors must meet with an OA or SAA field representative, as appropriate, to develop a set of apprenticeship training program standards. These include the age and educational background of apprentices, and a schedule of the work processes and related technical instruction subjects to be covered during the training program. The program will be registered if it meets Federal requirements covering (a) the apprenticeability of the occupation(s) and (b) the suitability of the training standards for providing apprentices with sufficient knowledge to become skilled workers. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet website at <http://www.doleta.gov>. To

compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Not applicable for advisory services and counseling type of assistance. Procedures for grant projects are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

For grants, from 45 to 90 days.

**Appeals:**

OA refusal to register programs and OA de-registration of existing programs may be appealed to the OA Administrator as provided in Title 29 CFR Part 29. For grants, procedures for each project are specified in the applicable request for proposals.

**Renewals:**

Reinstatement of program registration is set out in Title 29 CFR Part 29.9.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For grants, procedures for each project are specified in the applicable request for proposals. See the following for information on how assistance is awarded/released: For grants, procedures for each project are specified in the applicable request for proposals.

**Reports:**

No program reports are required. No cash reports are required. The program sponsor reports new apprentice registrations, suspensions, cancellations, completions, and program status to the OA or SAA field representative. Expenditure reports are not applicable. Quarterly performance reports are normally required for grants. See SGA for further information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

For grants, this program is subject to audits by the Department of Labor or other authorized Government agencies.

Not applicable for advisory services and counseling type of assistance.

**Records:**

For program sponsors: Apprenticeship selection records showing compliance

with the nondiscrimination requirements set out in Title 29 CFR Part 30 are required to be kept for 5 years. Also, recording and maintenance of all records concerning apprenticeship as may be required by OA or recognized SAA and other applicable law as provided in Title 29 CFR Part 29.

**Account Identification:**

16-0174-0-1-504 - Project Grants; 16-0172-0-1-504 - Federal Salaries and Expenses.

**Obligations:**

(Salaries) FY 11 \$28,000,000; FY 12 est \$28,000,000; and FY 13 est \$28,000,000. (Project Grants) FY 11 \$0; FY 12 est \$2,000,000; and FY 13 est \$0 - Women in Apprenticeship and Non-traditional Occupations (WANTO).

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Past Fiscal Year 2011 Actual: Quarterly Workforce System Results Website at <http://www.doleta.gov/performance/results/Reports.cfm?#etaqr>. Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information concerning the program may be found in Title 29 CFR 29: "Apprenticeship Programs, Labor Standards for the Registration, Amendment of Regulations," Title 29 CFR Part 30: "Equal Employment Opportunity in Apprenticeship and Training."

**Regional or Local Office:**

See Regional Agency Offices. Regional or Local Office persons are encouraged to communicate with the Regional Directors of the Office of Apprenticeship (OA), as appropriate. The Regional Directors are the following: Region I (Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, Vermont, Virgin Islands), Ms. Jill M. Houser, Boston Regional Director, USDOL/ETA/OA, JFK Federal Building, Room E 370, Boston, MA 02203, Telephone (617) 788-0177, FAX (617) 788-0304, E-mail: [houser.jill@dol.gov](mailto:houser.jill@dol.gov); Region II (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia), Robert H. Laudeman, Philadelphia Regional Executive Assistant, USDOL/ETA/OA, 170 S. Independence Mall West, Suite 825 East, Philadelphia, PA 19106, Telephone (215) 861-4834, FAX (215) 861-4833, E-mail: [Laudeman.robert@dol.gov](mailto:Laudeman.robert@dol.gov); Region III (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Mr. Garfield G. Garner, Jr., Atlanta Regional Director, USDOL/ETA/OA, 61 Forsyth Street, SW, Room 6T100, Atlanta, GA 30303, Telephone (404) 302-5478, FAX (404) 302-5479, E-mail: [garner.garfield@dol.gov](mailto:garner.garfield@dol.gov); Region IV (Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming), Mr. Steven D. Opitz, Dallas Regional Director, USDOL/ETA/OA, Federal Building, Room 303, 525 S. Griffin Street, Dallas, TX 75202, Telephone (972) 850-4682, FAX (972) 850-4688, E-Mail: [opitz.steve@dol.gov](mailto:opitz.steve@dol.gov); Region V (Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, Wisconsin), Mr. Dean Guido, Chicago Regional Director, USDOL/ETA/OA, 230 South Dearborn Street, Room 656, Chicago, IL 60604, Telephone (312) 596-5500, FAX (312) 596-5501, E-Mail: [guido.dean@dol.gov](mailto:guido.dean@dol.gov); Region VI (Alaska, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, Washington), Mr. Michael W. Longeuay, San Francisco Regional Director, USDOL/ETA/OA, 90 Seventh St., Suite 17-100, San Francisco, CA 94103, Telephone (415) 625-2230, FAX (415) 625-2235, E-Mail [longeuay.michael@dol.gov](mailto:longeuay.michael@dol.gov).

**Headquarters Office:**

Anna Velez USDOL/ETA/OA, Room N-5311  
Frances Perkins Building  
200 Constitution Ave., NW, Washington, District of Columbia 20210 Email: [velez.anna@dol.gov](mailto:velez.anna@dol.gov) Phone: (202) 693-3812 Fax: (202) 693-3799

**Website Address:**

<http://www.doleta.gov/oa>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.278 WIA Dislocated Worker Formula Grants; 17.303 Wage and Hour Standards

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.207 EMPLOYMENT SERVICE/WAGNER-PEYSER FUNDED ACTIVITIES**

Wagner- Peyser Act

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Wagner-Peyser Act of 1933, 48 Stat. 113.

**OBJECTIVES:**

To assist persons to secure employment and workforce information by providing a variety of job search assistance and information services without charge to job seekers, including persons with disabilities and to employers seeking qualified individuals to fill job openings.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants

**USES AND USE RESTRICTIONS:**

FORMULA GRANTS:

Wagner-Peyser Employment Services Grants: The Wagner-Peyser Act of 1933 established a nationwide system of public employment offices which is known as the Employment Service. Wagner-Peyser was amended by the Workforce Investment Act of 1998, making the Employment Service part of the One-Stop Career Center delivery system. Wagner-Peyser funded activities are an integral part of the One-Stop Career Center delivery system that provides an integrated array of high-quality services that workers, job seekers, and businesses can access services under one roof in easy-to-reach locations, with many services also offered through self-service electronic access. These services provide universal access to all including a variety of persons with multiple challenges to employment, including persons with disabilities.

These services include assessment of skill levels, abilities, and aptitudes, career guidance when appropriate, job search workshops, and referral to jobs or training as appropriate. The services offered to employers, in addition to referral of job seekers to job openings, include matching job requirements with job seeker experience, skills and other attributes, helping with special recruitment needs, assisting employers analyze hard-to-fill job orders, assisting with job restructuring and helping employers deal with layoffs.

Under Wagner-Peyser Act Section 7(b), ten percent of the total sums allotted to each state workforce agency shall be reserved for use by the governor to provide performance incentives; services for groups with special needs; and for the extra costs of exemplary models for delivering job services.

Labor Market Information Grants to States: This allows for the development and distribution of state and local workforce information which allows job seekers, employers, and providers and planners of job training and economic development to obtain information pertaining to job opportunities, labor supply, labor market or workforce trends, and the market situation in particular industries.

**PROJECT GRANTS:**

Disability Employment Initiative (DEI): In Program Year (PY) 2010, the Disability Employment Initiative (DEI) was established by Congress. DOL awarded \$21,276,575 million in competitive grants to nine (9) state WIA-administering entities to improve educational, training, and employment opportunities and outcomes of youth and adults with disabilities who are unemployed, underemployed, and receiving Social Security disability benefits. The funds awarded via cooperative agreements, range from \$1.5 to 6 million for a three-year period. This funding will continue the Disability Program

Navigator Initiative's effective practices, as well as other promising practices.

The DEI projects hire staff, with expertise in disability and workforce development to serve as Disability Resource Coordinators (DRCs) to implement their strategic service delivery approaches. The DRCs are hired at the local workforce investment areas. DEI projects support extensive partnerships, collaboration and service coordination across multiple workforce, generic, and disability systems in each state. The goal of the DEI is to promote economic self-sufficiency for persons with disabilities through career pathway jobs.

DOL has awarded \$21,166,560 in PY 2011 to fund a second round of DEI grants. Seven (7) cooperative agreements with state WIA administering entities were funded for three years.

DOL awarded \$20,654,351 in PY 2012 to fund a third round of DEI grants. Seven (7) cooperative agreements with state WIA administering entities were funded for three years.

Electronic Tool grants: This includes 1) a computerized career information system including access to state job bank resources and institutions and organizations that provide training and 2) the development and distribution of state and local workforce information which allows job seekers, employers, and providers and planners of job training and economic development to obtain information pertaining to job opportunities, labor supply, labor market or workforce trends, and the market situation in particular industries. For Wagner-Peyser Employment Services Grants to states, the funds must be used for labor exchange activities, labor market, and workforce information purposes. Training is not an allowable activity. The DEI is a competitively awarded grant program.

**Applicant Eligibility:**

For Wagner-Peyser Employment Services grants and Labor Market Information grants, eligible applicants include all 50 States, the District of Columbia, Virgin Islands, Puerto Rico, and Guam.

The DEI grant funds are available only to state WIA administering entities.

**Beneficiary Eligibility:**

The system affords universal access to all jobseekers. In addition, services are available to employers seeking workers to fill job openings. Priority of service is given to veterans and other covered persons. The individuals receive priority referral to jobs, as well as specialized employment services and assistance.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. FORMULA GRANTS: The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidance provides detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

DEI GRANTS: Funds are awarded to state workforce agencies, which will collaborate with workforce investment boards and local areas. Grant awards will range from \$1.5 to \$6 million each to be spent over a three-year period. Cooperative agreements will be used to foster service delivery through the public workforce investment system for job seekers with disabilities. The complete solicitation for grant applications is available at <http://www.doleta.gov/grants>.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation or, as in the case of LMI grants, based on an administrative formula. The State Plan include service to person with disabilities and other targeted groups.

Projects:  
The DEI funds are awarded via a competitive grant solicitation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. As provided in regulations.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title The Wagner-Peyser Act , Chapter Section 6 (b)(4), Public Law 29 U.S.C. 493.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula funds are provided at the beginning of a program year and are available for expenditure during that program year and the succeeding two program years.

DEI funds are awarded for a three-year period.

E-Tools funds are renewed annually. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

For formula grants, quarterly performance reporting is required in addition to quarterly financial, activities and outcomes reports. No cash reports are required. No progress reports are required. For formula grants, quarterly financial reports are required.

The DEI grants require fiscal and programmatic quarterly reporting. Monitoring is conducted by Regional Federal Project Officers based on quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records for audits are required.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 11 \$734,000,000; FY 12 est \$755,000,000; and FY 13 est \$763,000,000. (Project Grants) FY 11 \$43,000,000; FY 12 est \$29,000,000; and

FY 13 est \$98,000,000

**Range and Average of Financial Assistance:**

Wagner-Peyser Formula Grants vary by year. Funding is published annually in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at:<http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Once finalized, performance budgets are posted annually on the Internet and are available at: <http://www.dol.gov/dol/budget/>. Fiscal Year 2013: Once finalized, performance budgets are posted annually on the Internet and are available at: <http://www.dol.gov/dol/budget/>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 - Establishment and Functioning of State Employment Services; Part 662 - Description of the One Stop System under Title I of the Workforce Investment Act; Part 663 - Adult and Dislocated Worker Activities under Title I of the Workforce Investment Act; Subpart A - Delivery of Adult and Dislocated Worker Services through the One Stop Service Delivery System; Part 1001-Services for Veterans.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grace Kilbane 200 Constitution Avenue, NW  
Room C-4526, Washington, District of Columbia 20210 Email:  
NO-OWI.Official@dol.gov Phone: 202-693-3980 Fax: 202-693-3981

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.225 Unemployment Insurance; 17.258 WIA Adult Program; 17.260 WIA Dislocated Workers; 17.801 Disabled Veterans' Outreach Program (DVOP); 17.804 Local Veterans' Employment Representative Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.225 UNEMPLOYMENT INSURANCE**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Social Security Act (Titles III, IX, XI, XII) 42 USC 501-504; 1101-1110; 1320b-7; 1321-1324; Federal Unemployment Tax Act, 26 U.S.C 3301 et seq.; Unemployment Compensation for Federal Civilian Employees, 5 U.S.C 8501 et seq.; Unemployment Compensation for Ex-Servicemembers, 5 U.S.C 8521 et seq.; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5177; Federal-State Extended Unemployment Compensation Act, Title II, Section 201 et seq., Public Law 91-373, 26 U.S.C 3304(a)(11); Trade Act of 1974, 19 U.S.C 2291 et seq.; Supplemental Appropriations Act of 2008, P.L. 110-252 as amended P.L. 110-449, 111-5, 111-92, 111-118, 111-144, 111-157, 111-205, 111-312, 112-78; 112-96.

**OBJECTIVES:**

To oversee unemployment insurance programs for eligible workers through Federal and State cooperation, including unemployment compensation for Federal employees or ex-service members, disaster unemployment assistance, and to assist in the oversight of trade adjustment assistance and alternative trade adjustment assistance, and reemployment trade adjustment assistance programs.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE; FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The states have the direct responsibility for establishing and operating their own unemployment insurance programs, while the Federal government finances the cost of administration. State unemployment insurance tax collections are used

solely for the payment of benefits. Federal unemployment insurance tax collections are used to finance expenses deemed necessary for proper and efficient administration of the state unemployment insurance laws; to reimburse state funds for one-half (temporarily 100 percent) the costs of extended benefits paid under the provisions of state laws which conform to the provisions of the Social Security Act and the Federal Unemployment Tax Act; and to make repayable advances to states when needed to pay benefit costs. Funds used for benefit payments may not be used for any program administration costs nor for training, job search, and job relocation payments. Disaster Unemployment Assistance (DUA) is paid out of funds provided by the Federal Emergency Management Agency (FEMA). Benefits for former Federal civilian employees, including postal workers, and former members of the Armed Forces are paid out of the Federal Employees Compensation Account (FECA) in the Unemployment Trust Fund, subject to reimbursement by the former employing agency. Trade Adjustment Assistance, Alternative Trade Adjustment Assistance and Reemployment Trade Adjustment Assistance payments are made by states for workers adversely affected by trade imports or shifts in production. The Emergency Unemployment Compensation program is temporarily authorized.

**Applicant Eligibility:**

State workforce agencies, including those in the District of Columbia, Puerto Rico and Virgin Islands.

**Beneficiary Eligibility:**

All workers whose wages are subject to State unemployment insurance laws, Federal civilian employees, ex-service members, and workers whose unemployment is caused by a Presidentially declared disaster under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, are eligible if they are involuntarily unemployed, able to work, available for work, meet the eligibility and qualifying requirements of the state law, and are free from disqualifications. Some states provide Short Time Compensation or Self Employment Assistance for eligible individuals. Workers who became unemployed or underemployed because of the adverse effect of increased imports or because of shifts in production outside the U.S. may be eligible for Trade Readjustment Allowance, Alternative Trade Adjustment Assistance or Reemployment Adjustment Assistance and other types of Trade Adjustment Assistance (see program 57.001). Emergency Unemployment Compensation program is temporarily available through January 2, 2013. Individual state information on eligibility requirements is available from local American Job Centers or at <http://www.servicelocator.org/>.

**Credentials/Documentation:**

Awards of grants to states are conditioned on the Secretary of Labor's determination that the states' unemployment compensation laws are in conformity with the Social Security Act and the Federal Unemployment Tax Act and that state practices substantially comply with these laws. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

National and Regional Offices issue guidance to states annually regarding the procedures and documents for the application process. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants are furnished applications (State Quality Service Plan) by the Employment and Training Administration for this program. States submit the plans to apply for grants to the appropriate regional office of the Employment and Training Administration based on target performance levels pursuant to nationally-developed workload estimates. All plans are to be constructed in terms of selected workloads to be undertaken and the resources and numbers of employees needed to accomplish them.

**Award Procedure:**

The Regional Administrator for Employment and Training issues a preliminary approval for a state within the dollar target provided by the ETA National Office, based on the state plan submitted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 days at the Regional Office level.

**Appeals:**

Contact Federal agency. A hearing is required if state law is not certified to be in conformity.

Funding is based on workload formula.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants for base operation of programs are based on workload projections pursuant to economic assumptions and nationally developed workload estimates. Additional quarterly funding is based on actual workloads. Financing of administrative costs is accomplished through Letter of Credit drawdowns needed to meet immediate cash requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Weekly, monthly, quarterly and yearly statistical reports of unemployment insurance workloads are required. Cash reports include the following transactions: federal cash receipts/disbursements; Federal expenditures and unobligated balance; recipient share of obligations and expenditures; program income. Additional expenditure data required includes other federal funds expended and real property proceeds expended. The comprehensive performance management system requires a State Quality Service Plan (SQSP) be submitted as part of the application. Where performance is below the established minimum criteria, a corrective action plan (CAP) is required as part of the SQSP. The CAP identifies state activities and planning targets for performance improvement activities. Separate quarterly financial status reports are required for grants used for administration of each type of program. Data and progress towards performance targets are reviewed by the Regional and National Office staff. The State Quality Service Plan and corrective action plans are reviewed quarterly by Regional Office staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. State Workforce Agencies are subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

State laws and requirements are to be in conformity with Federal statutes. States are expected to report any legislative and regulatory changes to the federal agency. National office staff provide guidance on the time frame for data and corrections to data reports. The state determines the time period to maintain tax records; however, the IRS recommends 4 years after the date tax is due or is paid, whichever is later. The recommendation for performance records is 3 years.

**Account Identification:**

16-8042-0-7-999 - Benefits; 16-1800-0-1-603 - Benefits; 16-0326-0-1-999 - Benefits; 16-0178-0-1-603 - Grants and Benefits; 16-0179-0-1-999 - Grants.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$1,426,000,000; FY 12 est \$0; and FY 13 est \$0. (Direct Payments with Unrestricted Use) FY 11 \$113,037,000,000; FY 12 est \$81,152,000,000; and FY 13 est \$52,144,000,000. (Formula Grants) FY 11 \$6,000,000; FY 12 est \$0; and FY 13 est \$0. (Formula Grants) FY 11 \$4,023,000,000; FY 12 est \$3,514,000,000; and FY 13 est



\$3,011,000,000

**Range and Average of Financial Assistance:**

For FY 2011, the minimum award for state administration was \$1,852,586 and the maximum was \$458,777,005. The average award for FY 2011 was \$60,122,937. Estimates for FY 2012 are: \$2.1 million minimum award, \$464 million maximum award and \$50.6 million average award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: All 50 states, the District of Columbia, Pert Rico and Virgin Islands received administrative funding to process Unemployment Insurance (UI) claims. During FY 2011 the state agencies collected \$49.6 billion in state unemployment taxes and paid \$113.3 billion in Federal and state unemployment benefits to 9.9 million beneficiaries. Fiscal Year 2012: During FY 2012 the state agencies are expected to collect \$50.5 billion in state unemployment taxes and paid \$91.5 billion in Federal and state unemployment benefits to 9.0 million beneficiaries.

Current financial and service data for the 53 states operating unemployment insurance programs is available at:  
<http://workforsecsecurity.doleta.gov/unemploy/finance.asp>. Current performance data is available at:  
<http://workforsecsecurity.doleta.gov/unemploy/performance.asp>. Fiscal Year 2013: During FY 2013 the state agencies are expected to collect \$50.4 billion in state unemployment taxes and pay \$55.2 billion in Federal and state unemployment benefits to 9.2 million beneficiaries.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 20 CFR Part 601, 602, 603, 604, 606, 609, 614, 615, 616, 617, 625, 640, 650.

Literature: "Unemployment Insurance For Ex-Service Members;" "Unemployment Insurance For Federal Workers;" "Significant Provisions of State Unemployment Insurance Laws;" "Comparison of State Unemployment Insurance Laws;" factsheets, and other program information is available on the Internet at  
<http://www.workforsecsecurity.doleta.gov/unemploy/laws.asp#overview>.

**Regional or Local Office:**

None. Employment and Training Administration regional offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Gay Gilbert Francis Perkins Building - 200 Constitution Avenue, Room S4524, Washington, District of Columbia 20210 Email: [gilbert.gay@dol.gov](mailto:gilbert.gay@dol.gov) Phone: 202-693-3029 Fax: 202-693-3229

**Website Address:**

<http://workforsecsecurity.doleta.gov/>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 57.001 Social Insurance for Railroad Workers; 97.034 Disaster Unemployment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.235 SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM**

Senior Community Service Employment Program (SCSEP)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Older Americans Act of 2006, Title V, Public Law 109-365, 120 Stat. 2522, 42 U.S.C 3001; Older Americans Act of 1965.

**OBJECTIVES:**

To foster individual economic self sufficiency; provide training in meaningful part-time opportunities in community service activities for unemployed low-income persons who are age 55 years of age or older, particularly persons who have poor employment prospects; and to increase the number of older

persons who may enjoy the benefits of unsubsidized employment in both the public and private sectors.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Organizations that receive grants use the funds to create and pay for part-time community service training positions for unemployed persons age 55 and above whose income is at or below 125 percent of the poverty level. The individuals who are enrolled may be trained in work assignments at local 501(c)(3) non-profit or government agencies. A portion of the funds may be used to provide participants with classroom training and supportive services. Participants may not train in projects involving political activities, sectarian activities, nor may participants displace any employed worker or perform work which impairs existing contracts for service. Each local project is required to coordinate its activities with local Workforce Investment Act projects and One-Stop Career Centers and the State Office of the Aging. Seventy-five percent of funding must be used to pay the wages and fringe benefits of participants for their part-time assignments. ( If justified, the seventy-five percent funding requirement can be reduced to sixty-five percent with the ten percent funds used for additional participant training.) The remaining funds may be used to provide participants with classroom training and supportive services. No more than 13.5 percent of the Federal share of the costs may be spent for administration. (If justified, a waiver to 15 percent may be provided by the Department of Labor.). The Secretary of Labor may reserve up to 1.5 percent of annual appropriation for pilots, demonstration, and evaluation activities and related technical assistance.

**Applicant Eligibility:**

The following types of organizations are eligible to receive grants: (1) states and U.S. territories; (2) national public and private non-profit institutions/organizations, other than political parties but including faith-based and community organizations; and (3) tribal organizations.

**Beneficiary Eligibility:**

Unemployed adults 55 years or older with a family income at or below 125 percent of the Department of Health and Human Services (DHHS) poverty level. Prospective participants must provide documentation relative to age and personal financial status which is required to determine whether the individual is program eligible. With certain exceptions, the Census Bureau's Current Population Survey definition of income governs the determination of SCSEP applicant income eligibility. Section 518 (a)(3)(A)OAA-2006 specifies that any income that is unemployment compensation, a benefit received under title XVI of the Social Security Act; a payment made to or on behalf of veterans or former members of the Armed forces under the laws administered by the Secretary of Veterans Affairs, or 25 percent of a benefit received under title II of the Social Security Act is excluded from SCSEP income eligibility determinations.

**Credentials/Documentation:**

Applicants must meet the eligibility test under Section 514(c) and the responsibility test under Section 514(d) of the Older Americans Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. National nonprofit organizations are required under Section 502(d) of the Older Americans Act to submit an application to the state agency, in addition to the Department of Labor. The Office of Workforce Investment in the Employment and Training Administration will provide information concerning proper application, format, and content and furnish standard application forms. Governors may comment on SCSEP grant proposals prior to award and may make recommendations to the Secretary of

Labor to improve the distribution of SCSEP services.

**Award Procedure:**

Awards are made directly to eligible applicants by the Employment and Training Administration of the Department of Labor.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. The approval range for formula grants is approximately 30 to 60 days.

**Appeals:**

From 1 to 15 days. Appeals may be filed according to the regulations at 20 CFR 641.900.

**Renewals:**

Grantees must meet the eligibility and responsibility test each year in order to be funded. In addition, grantees must meet negotiated performance measures described in Section 513(b) of OAA-2006, in administrative guidance, and in the Final Rule on SCSEP Performance Accountability published September 1, 2010.

**Formula and Matching Requirements:**

Statutory Formula: Title Older Americans Act 2006 Amendments, Chapter 20 CFR 641.100 of the 2010 Final Rule, Public Law P.L. 109-365.

Matching Requirements: Grantees must provide or arrange through third parties at least ten percent of the cost of the project from non-Federal sources. The grantee share of the cost may be contributed in cash or in-kind.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funding is provided annually. The program year runs from July 1 to June 30. The Secretary has the authority to extend the period of performance under specified conditions. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Annual Equitable Distribution Report and the Four Year Strategic State Plan (for state grantees only), to be reviewed and updated no less frequently than every two years. Quarterly Financial Status Report (FSR) - SF9130. The Quarterly Progress Report (QPR). QPRs are generated by the SCSEP Performance and Results QPR (SPARQ) system located within the Department of Labor based on participant data entered by grantees into the SPARQ on-line system. Quarterly Financial Status Report (FSR) - SF9130. Permitted applicant organizational costs will be determined in accordance with OMB Circular Nos A-87 for state and local governments and A-122 for non profit organizations. Federal Project Officers conduct quarterly desk reviews and on-site reviews as needed. Performance is evaluated annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Normally to be retained by the grant or contract recipient for a three-year period following the completion of the grant or contract. Grantees are required to submit participant data via high-speed Internet access to a DOL-sponsored data collection system (SPARQ).

**Account Identification:**

16-0175-0-1-504.

**Obligations:**

(Formula Grants) FY 11 \$351,000,000; FY 12 est \$350,000,000; and FY 13 est \$0 - National Programs. (Formula Grants) FY 11 \$98,000,000; FY 12 est \$98,000,000; and FY 13 est \$0 - State Programs.

**Range and Average of Financial Assistance:**

For Program Year 2011, grants ranged from \$336,800 to \$89.2M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 641; Training and Employment Guidance Letters, Training and Employment Notices, previously issued Older Worker Bulletins that are still in effect and other SCSEP directives.

**Regional or Local Office:**

See Regional Agency Offices. Region 1, Keeva Davis, Telephone: (617) 788-0141; Region 2, Barbara Shelly. Telephone: (215) 861-5541; Region 3, Andrew Gill, Telephone: (404) 302-5366; Region 4, Brie Bureson, Telephone: (972) 850-4652; Region 5, Alice Mitchell, Telephone: (312) 596-5413; Region 6, John Jacobs, Telephone: (415) 625-7940.

**Headquarters Office:**

Judith Chase Gilbert 200 Constitution Avenue NW  
Room S-4209, Washington, District of Columbia 20210 Email: [gilbert.judith@dol.gov](mailto:gilbert.judith@dol.gov) Phone: 202-693-3938 Fax: 202-693-3817

**Website Address:**

<http://www.doleta.gov/seniors/>.

**RELATED PROGRAMS:**

17.258 WIA Adult Program; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department annually renews grant agreements. The Department may have an open competition from time to time to select national grantees. National grants were competed in 2003 and 2006. The next competition opportunity, as specified in the authorizing legislation, will be no sooner than 2011. When such a competition occurs, a notice will be published in the Federal Register.

**17.245 TRADE ADJUSTMENT ASSISTANCE**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Trade Act of 1974, as amended, Title II, Public Law 93-618, 88 Stat. 1979, 19 U.S.C 2271-2322.

**OBJECTIVES:**

To provide adjustment assistance to qualified workers adversely affected by foreign trade which will assist them to obtain suitable employment.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

State Workforce Agencies (SWAs) serve as agents of the United States for administering the worker adjustment assistance benefit provisions of the Trade Act. SWAs, through the local offices, provide testing, counseling, and job placement services; job search and relocation assistance; training; and payment of weekly trade readjustment allowances (TRA). State unemployment compensation and extended benefits must be exhausted before TRA is paid to eligible claimants. Trade impacted workers are eligible to receive job search and relocation allowances in addition to the costs of training. They may be paid subsistence and transportation allowances to attend approved training outside the normal commuting distance of a worker's regular place of residence.

**Applicant Eligibility:**

In FY 2012 ETA administered three separate TAA programs the program implemented by the Trade Adjustment Assistance Extension Act of 2011 (TAAEA) that is in effect for petitions filed on or after October 21, 2011; the

program implemented by the Trade and Globalization Adjustment Assistance Act of 2009 (TGAAA), that is in effect for petitions filed between May 18, 2009 and February 15, 2011; and the program administered under the Trade Act as amended by the TAA Reform Act of 2002, which existed before May 18, 2009, and resumed after February 15, 2011 as part of the Omnibus Trade Act of 2010. The TAAEA maintained the expansions to the program made by the TGAAA: expanded TAA coverage to more workers and firms, including workers and firms in the service sector; made benefits available to workers whose jobs have been off-shored to any country (as opposed to covering a more limited set of shifts in production), improved workers training options, and increased the affordability of health insurance coverage. The TAAEA maintained the TGAAA's expansion in the scope of the program to better assist adversely affected workers in finding new employment. It reauthorized funding for employment and case management services, and encouraged the type of long-term training necessary for jobs in the 21st century economy through an extension of income support, an increase in the cap for training funding, and access to training for adversely affected incumbent workers. The TAAEA differs slightly from the TGAAA in the amount and type of weekly income support, as well as the benefit level of the wage supplement program for older workers.

For a worker to be eligible to apply for TAA, the worker must be part of a group of workers that are the subject of a petition filed with the Department. Three workers of a company, a company official, a union or other duly authorized representative, or a One-Stop Career Center operator or One-Stop partner may file that petition with the Department. In response to the filing, the Department institutes an investigation to determine whether foreign trade was an important cause of the workers job loss or threat of job loss. If the Department determines that the workers meet the statutory criteria for group certification of eligibility for the workers in the group to apply for TAA, the Department grants the petition and issues a certification.

Once covered by a certification, individual workers apply for benefits and services through the One-Stop delivery system. Most benefits and services have specific individual eligibility criteria that must be met, such as previous work history, unemployment insurance eligibility, and individual skill levels.

**Beneficiary Eligibility:**

The TAA program currently offers the following services to eligible individuals: training, weekly income support, out-of-area job search and relocation allowances, case management and employment services, assistance with payments for health insurance coverage through the utilization of the Health Coverage Tax Credit (HCTC), and wage insurance for some older workers through ATAA or RTAA. ATAA is the wage insurance option available to reemployed older workers authorized by the TAA Reform Act of 2002. As a pilot project under this legislation, ATAA provides wage insurance to reemployed older workers for adversely affected workers covered by certifications of petitions filed before May 18, 2009 and after February 15, 2011 through October 21, 2011. Under the TGAAA, ATAA was replaced with RTAA, which is a wage insurance benefit for older workers that provided expanded eligibility options and benefits in comparison with the ATAA program. Under the TAAEA, RTAA was reauthorized, but at the 2002 benefit levels.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for TAA under the Trade Act of 1974, as amended, a "Petition for Trade Adjustment Assistance" must be filed directly with the Office of Trade Adjustment Assistance at the address listed below and with the State official or organization designated by the Governor of the State in which the workers' firm or subdivision is located. OTAA and State contact information, as well as

petition forms in English and Spanish, are available through the State Workforce Agencies or from the Office of Trade Adjustment Assistance listed below. The Petition forms may also be downloaded from our web-site, or filed online, at: <http://www.doleta.gov/tradeact>. Petitions must be filed with both the OTAA and the State agency in which the worker group's plant is located. Notice of such filing shall be promptly published in the Federal Register. Within 10 days after publication, the petitioner or any other person found by the Secretary to have a substantial interest may request a hearing and be afforded the opportunity to be present, to present evidence, and to be heard.

**Award Procedure:**

A Certification of Eligibility to apply for worker adjustment assistance may be issued by the Secretary of Labor to groups of workers who have been found by the Department of Labor to have met the requirements concerning foreign trade-affected separations from employment. Individual workers covered by the certification can apply to the local office of their State Workforce Agency for individual determinations of eligibility to receive benefits.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. For the TAA program, eligibility investigations begun by the receipt of a valid petition are completed, and a determination issued, within 40 calendar days of the receipt of the petition.

**Appeals:**

From 30 to 60 days. There are two courses of appeal, one administrative and the other judicial. Petitioners aggrieved by a final determination by the Secretary may, within 30 days after notice of such determination is published in the Federal Register, file an application for reconsideration with the Director of the Office of Trade Adjustment Assistance. If the determination following reconsideration is negative, they may, within 60 days after notice of the negative determination upon reconsideration, file a petition for review of such determination with the United States Court of International Trade in New York City. Aggrieved petitioners may request judicial appeal without first seeking administrative reconsideration, within 60 days after notice of such determination is published in the Federal Register.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cash trade readjustment allowances (TRA) generally becomes payable only after workers have exhausted their entitlement to State unemployment compensation including extended benefits. For TAA certifications on petitions filed between May 18, 2009 and February 15, 2011, the maximum number of weeks of State unemployment compensation, extended benefits and trade readjustment allowances cannot exceed 52 weeks except that up to 78 additional weeks may be paid to workers while participating in approved training and an additional 26 weeks for workers whose approved training program includes pre-requisite and/or remedial education. Participation in RTAA allows older workers, for whom retraining may not be appropriate, to accept reemployment at a lower wage and receive a wage subsidy instead of benefits under the regular TAA program. The RTAA allows for payments of 50 percent of the wage difference between old employment and new employment, not to exceed \$12,000 for up to two years. The individual must earn not more than \$55,000 a year in wages in reemployment, and must not return to employment from which the worker was separated. Base formula funding grants for training services are provided to States at the beginning of the year; additional funds may be requested by States based on additional needs above the base funding provided.

For TAA certifications on petitions filed before May 18, 2009, and after February 12, 2011 through October 21, 2011, the maximum number of weeks of State unemployment compensation, extended benefits and trade readjustment allowances cannot exceed 52 weeks except that up to 52 additional weeks may

be paid to workers while participating in approved training and an additional 26 weeks for workers whose approved training program includes remedial education. Participation in ATAA allows older workers, for whom retraining may not be appropriate, to accept reemployment at a lower wage and receive a wage subsidy instead of benefits under the regular TAA program. The ATAA allows for payments of 50 percent of the wage difference between old employment and new employment, not to exceed \$10,000 for up to two years. The individual must earn not more than \$50,000 a year in wages in reemployment, and must not return to employment from which the worker was separated. Base formula funding grants for training services are provided to States at the beginning of the year; additional funds may be requested by States based on additional needs above the base funding provided.

For TAA certifications on petitions filed after October 21, 2011, the maximum number of weeks of State unemployment compensation, extended benefits and trade readjustment allowances cannot exceed 52 weeks except that up to 65 additional weeks may be paid to workers while participating in approved training and an additional 13 weeks for workers who are pursuing a degree or industry recognized credential, continue to make satisfactory progress and meeting the training benchmarks, and will complete the training within the period of eligibility. Participation in RTAA allows older workers, for whom retraining may not be appropriate, to accept reemployment at a lower wage and receive a wage subsidy instead of benefits under the regular TAA program. The RTAA allows for payments of 50 percent of the wage difference between old employment and new employment, not to exceed \$10,000 for up to two years. The individual must earn not more than \$50,000 a year in wages in reemployment, and must not return to employment from which the worker was separated. Base formula funding grants for training services are provided to States at the beginning of the year; additional funds may be requested by States based on additional needs above the base funding provided. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly Performance Reports are required. No cash reports are required. No progress reports are required. Quarterly financial reports on grants for administration of TAA/TRA program are required. Program performance is monitored both by state staff and by Federal Regional Office staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the U.S. Department of Labor or other authorized Government agencies.

**Records:**

Not applicable.

**Account Identification:**

16-0326-0-1-999.

**Obligations:**

(Formula Grants) FY 11 \$426,000,000; FY 12 est \$575,000,000; and FY 13 est \$575,000,000

**Range and Average of Financial Assistance:**

This amount is published yearly in the Report to the Committee on Finance of the Senate and Committee on Ways and Means of the House of Representatives, which can be found on the program website at [www.doleta.gov/tradeact](http://www.doleta.gov/tradeact).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations at 29 CFR 90, Certification of Eligibility to Apply for Worker Adjustment Assistance, 20 CFR 617, Trade Adjustment Assistance for Workers, and 20 CFR 618, Regulation Regarding TAA Funding.

**Regional or Local Office:**

See Regional Agency Offices. Regional offices of the Employment and Training Administration, Department of Labor listed in Appendix IV, and local offices of affiliated State Employment Security Agencies.

**Headquarters Office:**

Rachel B. Howard 823 4th Street NE, Washington, District of Columbia 20002  
Email: [howard.rachel@dol.gov](mailto:howard.rachel@dol.gov) Phone: 2026932674

**Website Address:**

<http://www.doleta.gov/tradeact/>

**RELATED PROGRAMS:**

17.225 Unemployment Insurance; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.258 WIA ADULT PROGRAM**

(WIA-Adult Program)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part subtitle B, Section Chapter 5, Public Law 105-220, 20 U.S.C 9201.

**OBJECTIVES:**

To prepare workers -- particularly disadvantaged, low-skilled, and underemployed adults -- for good jobs by providing job search assistance and training. Program performance is measured by entry into unsubsidized employment, retention in unsubsidized employment, and earnings. The program serves individuals and helps employers meet their workforce needs. The employment goals will be measured using the Unemployment Insurance Wage Records Information System and customer satisfaction goals will be measured by sampling.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The Act specifies that most services for adults will be provided through One Stop Career Centers. The Act authorizes three levels of service which are available to all jobseekers. "Core" services include outreach, job search, placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of "Individual Employment Plans" (IEP) and counseling, and career planning. Those customers who need additional services to find or retain employment may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "Individual Training Account (ITA)" to select an appropriate training program from an eligible training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Consistent with the allowable activities in the statute.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive funding from the Department are the 50 States, Puerto Rico, the District of Columbia and the outlying areas. Funds are allotted based on a statutory formula. The states in turn allocate funds to local workforce investment boards (approximately 600), by formula.

**Beneficiary Eligibility:**

All adults 18 years and older are eligible for core services. Priority for intensive and training services must be given to public assistance recipients and low income populations when funds are limited. Priority of service is given to

veterans and other covered persons. States and local areas are responsible for establishing procedures for applying the priority requirements.

**Credentials/Documentation:**

Formula-funded programs are subject to Governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidances provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other ETA and non-ETA DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the State Plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the State Plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in Section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are allotted every year to a State in two portions during a program year and are available for expenditure by the State for that program year and the two succeeding program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Performance reporting requires:

1. WIA Annual Report
2. WIA Annual Report narrative
3. required to submit WIASRD file for both participant and exiters on quarterly

basis in addition to the annual reporting.

**4. Quarterly Financial Reports**

Note: Monitoring is conducted by Regional Federal Project Officers based on a risk assessment. No cash reports are required. No progress reports are required. Quarterly Financial Reports. Monitoring is conducted by Regional Federal Project Officers based on a risk assessment.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 11 \$766,000,000; FY 12 est \$772,000,000; and FY 13 est \$769,000,000

**Range and Average of Financial Assistance:**

WIA formula grant amounts vary annually and are published in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Once finalized, performance budgets are posted annually on the Internet and are available at: <http://www.dol.gov/dol/aboutdol/main.htm#budget>. Fiscal Year 2013: Once finalized, performance budgets are posted annually on the Internet and are available at: <http://www.dol.gov/dol/aboutdol/main.htm#budget>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 et al, WIA; Final Rules Federal Register, Friday, August 11, 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Grace Kilbane, 200 Constitution Ave, NW  
Room C-4526, Washington, District of Columbia 20210 Email:  
NO-OWI.Official@dol.gov Phone: (202) 693-3980. Fax: (202) 693-3981

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.259 WIA Youth Activities; 17.260 WIA Dislocated Workers; 17.277 Workforce Investment Act (WIA) National Emergency Grants; 17.278 WIA Dislocated Worker Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.259 WIA YOUTH ACTIVITIES**

(WIA Formula Youth)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle B, Section Chapter 4, Public Law 105-220, ( U.S.C 9201.

**OBJECTIVES:**

To help low income youth, between the ages of 14 and 21, acquire the educational and occupational skills, training, and support needed to achieve academic and employment success and successfully transition to careers and productive adulthood.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Title I of the Act authorizes the Workforce Investment System and establishes state workforce investment boards with oversight responsibility by the governors for local workforce investment boards; and establishes the process by which eligible providers of training and youth activities are identified. The Act authorizes the use of funds for youth employment and training activities that will provide eligible youth assistance in achieving careers and academic and employment success; ensures ongoing mentoring opportunities; provides opportunities for training; provides continued supportive services; provides incentives for recognition and achievement; and provides opportunities for leadership, development, decision making, citizenship, and community service. Funds must be used in accordance with the rules and regulations.

**Applicant Eligibility:**

Under WIA, 50 states, Puerto Rico, the District of Columbia, and the outlying areas are identified as the recipients of youth training activities funds. For a state to be eligible to receive youth funds, the governor of the state will submit to the Secretary for consideration by the Secretary, a single state plan that outlines a 5-year strategy for the statewide workforce investment system.

**Beneficiary Eligibility:**

An eligible youth is an individual who: (1) is 14 to 21 years of age\*; and (2) is an individual who received an income or is a member of a family that received a total family income that, in relation to family size, does not exceed the higher of (a) the poverty line; or (b) 70 percent of the lower living standard income; and (3) meets one or more of the following criteria: is an individual who is deficient in basic literacy skills; a school dropout; homeless; a runaway; a foster child; pregnant or a parent; an offender; or requires additional assistance to complete their education or secure and hold employment.

**Credentials/Documentation:**

In order to establish a continuing relationship under the Act, the governor and the Secretary of Labor shall sign a governor/Secretary Agreement. This agreement assures that the state will comply with the Workforce Investment Act and the applicable rules and regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning Guidances, either Stand-Alone or Unified, issued through the Federal Register. The Planning Guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval (currently Janet Sten), Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. A State plan submitted to the Secretary will be considered to be approved by the Secretary at the end of the 90-day period beginning on the day the Secretary received the plan, unless the Secretary makes a written determination, during the 90-day period, that the plan is inconsistent with the provisions of Title I.

**Appeals:**

Contact Headquarters Office to obtain information on appeal procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Chapter 4, Subpart B, Public Law 105-220. This program has no matching requirements. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds allotted to a state each year are available for expenditure by the State for that program year plus two succeeding program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reporting requirements as specified by the Secretary in accordance with 20 CFR 667.300. No cash reports are required. Quarterly reports are required. Quarterly financial reports are required. Regional Federal Project Offices conduct risk analysis, desk reviews, and on-site monitoring. They also review quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504 - Annual Appropriation.

**Obligations:**

(Formula Grants) FY 11 \$814,000,000; FY 12 est \$812,000,000; and FY 13 est \$812,000,000

**Range and Average of Financial Assistance:**

Formula grant award amounts vary annually and are published in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Once finalized, performance budgets are posted annually on the Internet and are available at: <http://www.dol.gov/dol/aboutdol/main.htm#budget>. Fiscal Year 2013: Once finalized, performance budgets are posted annually on the Internet and are available at: <http://www.dol.gov/dol/aboutdol/main.htm#budget>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR PART 652 et al, WIA; Final Rules Federal Register, Friday, August 11,

2000. Federal Register: Thursday, February 28, 2002 (Volume 67, Number 403) "Solicitation of Comments on the Reauthorization of the Workforce Investment Act (WIA) and Linkages with the Temporary Assistance for Needy Families (TANF); Notice.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jennifer Kemp 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: Kemp.Jennifer.N@dol.gov Phone: (202) 693-3377 Fax: (202) 693-3861

**Website Address:**

[http://www.doleta.gov/youth\\_services](http://www.doleta.gov/youth_services)

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.260 WIA DISLOCATED WORKERS**

(WIA-Dislocated Workers)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 5, Title I, Public Law 105-220, 20 U.S.C 9201; The American Recovery and Reinvestment Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

The purpose of the WIA Dislocated Worker program is to reemploy dislocated workers, improve the quality of the workforce, and enhance the productivity and competitiveness of the nation's economy by providing workforce investment activities that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by the participants. This program is designed to increase employment, as measured by entry into unsubsidized employment, retention in unsubsidized employment after entry into employment, and extent of recovery of prior earnings. The program serves individuals and helps employers meet their workforce needs. The employment goals will be measured using Unemployment Insurance Wage Records systems and customer satisfaction goals will be measured by sampling.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants

**USES AND USE RESTRICTIONS:**

The Act authorizes three levels of service, which are available to all job seekers. "Core" services include outreach, job search and placement assistance, and labor market information, and are available to all jobseekers. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning, and are available to those who could not find employment through core services. Those customers who cannot find employment through intensive services may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "Individual Training Account (ITA)" to select an appropriate training program from an eligible training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Funds reserved by the Secretary are also used for technical assistance and training and demonstration programs.

Beginning in Program Year (PY) 2010 CFDA number 17.260 will be archived and any new funds allocated through these two programs will be referenced using two new CFDA numbers: 17.277 for NEGs and 17.278 for WIA Dislocated Worker Formula Grants. All subsequent information listed here under 17.260 refers to WIA Dislocated Worker Formula Grants. For further

information on NEGs please see the entry under CFDA number 17.277. Funds must be used in accordance with the statute and regulations.

**Applicant Eligibility:**

Under WIA, the organizations eligible to receive formula-based funding from the Department are the 50 states, Puerto Rico, the District of Columbia, and the outlying areas. Funds are allotted based on a statutory formula and states in turn allocate funds to local workforce investment boards (approximately 600), by formula prescribed by the governor. Applicants for NEGs may be states, outlying areas, local workforce boards, and non-profit and private organizations whose purpose is to provide targeted services to eligible beneficiaries.

**Beneficiary Eligibility:**

Individuals eligible for assistance include workers who have lost their jobs, including those dislocated as a result of plant closings or mass layoffs, and are unlikely to return to their previous industry or occupation; formerly self-employed individuals; and displaced homemakers who have been dependent on income of another family member, but are no longer supported by that income. Priority of Service is given to veterans and other covered persons. The NEGs have identical eligibility to the above and also include certain military personnel and defense employees. Services through NEGs are targeted to individuals affected by mass layoffs, natural disasters, Federal government actions, and other circumstances specified by the Secretary.

**Credentials/Documentation:**

Formula-funded programs are subject to Governor/Secretary Agreement and State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning guidance, either Stand-Alone or Unified, issued through the Federal Register. The planning guidance provide detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, currently Kimberly Vitelli, Division of Workforce System Support, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Formula Funds: Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the state plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the state plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law PL 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are allotted to states under a statutory formula based on the distribution of unemployed individuals by state in three categories of unemployment. There are no matching requirements. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Performance reporting requires:

1. WIA Annual Report
2. WIA Annual report narrative
3. Required to submit WIASRD file for both participant and extiers on quarterly basis in addition to the annual reporting;
4. states must submit quarterly and supplemental monthly reports to ETA. No cash reports are required. No progress reports are required. Quarterly financial reports are required in accordance with 20 CFR 667.300. Regional Federal Project Officers conduct monitoring using risk assessments, desk reviews, and on-site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0184-0-1-504 - ARRA; 16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Dislocated Worker Formula Grants FY2010 Advance associated with PY 2009 state allotments. (see 17.278 for additional obligations associated with PY2010 allotments which occurred during FY2010. 17.278 was substituted for 17.260 for Dislocated Worker State formula allotments at the beginning of PY 2010). (Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Dislocated Worker Formula Grants (see 17.278 for 2010 and 2011 obligation estimates, because after 2009 this program will be split into two CFDA numbers to enhance clarity). (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - National Emergency Grants (ARRA). (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - National Emergency Grants from FY2010 Advance associated with PY 2009. (see 17.277 for additional obligations associated with PY2010 funds which also occurred during FY2010. 17.277 was substituted for 17.260 for National Emergency Grants at the beginning of PY 2010.).

**Range and Average of Financial Assistance:**

Dislocated Worker Formula fund grants ranged from \$ 1,950,897 to \$ 212,284,647.

Dislocated Worker Recovery Act grants ranged from \$ 2,039,325 to \$ 221,906,888.

National Emergency Grant (NEG) amounts awarded have ranged from \$149,000 to \$22,000,000.

NEG Recovery Act grant amounts awarded have ranged from \$254,000 to \$18,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: See 17.277 and 17.278. Fiscal Year 2012: See 17.277 and 17.278. Fiscal Year 2013: See 17.277 and 17.278.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Grace Kilbane, 200 Constitution Avenue, NW, Room S-4209, Washington, District of Columbia 20210 Email: NO-OWI.Official@dol.gov Phone: (202) 693-3980 Fax: (202) 693-3587.

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.259 WIA Youth Activities; 17.277 Workforce Investment Act (WIA) National Emergency Grants; 17.278 WIA Dislocated Worker Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.261 WIA PILOTS, DEMONSTRATIONS, AND RESEARCH PROJECTS****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part D, Section 171, Public Law 105-220.

**OBJECTIVES:**

Address national employment and training problems through demonstrations, pilot projects, and applied research that have interstate validity and will aid policymakers and stakeholders in addressing these problems.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Projects shall include demonstration of innovative direct services or improvements to existing service strategies for individuals to enhance employment opportunities, and a research or evaluation component and support the Department of Labors stated strategic goal of Good Jobs for Everyone, by: (1) Preparing workers for good jobs; (2) For those not working, providing income security. 3) Focusing on key segments of the workforce; 4) Building a comprehensive workforce system through innovative approaches; and 5) Evaluating program effectiveness. Grants and contracts awarded for carrying out demonstration and pilot projects under this subsection are intended to be awarded only on a competitive basis, except that a noncompetitive award may be made in the case of a project that is funded jointly with other public or private sector entities that provide a portion of the funding for the project. 100 percent of the funds are discretionary, excluding a significant portion directed by Congress for use on specific projects.

**Applicant Eligibility:**

State and local governments, Federal agencies, private non-profit and for-profit organizations, including faith-based and community-based organizations, and educational institutions. Note: Applicant eligibility may be restricted to one or more applicant classes under the particular announcement or solicitation.

**Beneficiary Eligibility:**

Generally limited to the economically disadvantaged and those who are underemployed, unemployed, need to upgrade their skills in order to retain jobs, at-risk youth, and/or to those who have barriers to employability.

**Credentials/Documentation:**



Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on the Employment and Training Administration (ETA) Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable SGA. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 45 to 90 days.

**Appeals:**

Procedures for each project are specified in the applicable SGA.

**Renewals:**

Project extensions available upon approval by the Grant Officer (renewals are not automatic). Requests for extensions or renewals must be submitted in writing.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most projects last one to two years. See the following for information on how assistance is awarded/released: Most grants and contracts are awarded on a fixed cost basis.

**Reports:**

Program reports are required for accountability purposes. Cash reports are required for accounting purposes. Quarterly progress reports on all grants awarded are a mandatory requirement of all solicitations. Monthly progress reports are required for contracts/task orders. Quarterly expenditure reports on all grants awarded are a mandatory requirement of all solicitations. Monthly expenditure reports are required for contracts/task orders. Performance monitoring is done by the Contracting Officer's or Grant Officer's Technical Representative in accordance with Federal Acquisition or Department of Labor Management Series Guidelines.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 11 \$12,000,000; FY 12 est \$12,000,000; and FY 13 est \$6,000,000

**Range and Average of Financial Assistance:**

Grant amounts vary and are influenced by the complexity of the initiative being studied. A general range of grant amounts would be two hundred thousand to one million dollars and an average five hundred thousand.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Since grants are associated with research and evaluation initiatives, outcomes, impacts, and program accomplishments are presented in final reports that are made publically available by the Employment and Training Administration at: <http://wdr.doleta.gov/research/>. Fiscal Year 2012: Since grants are associated with research and evaluation initiatives, outcomes, impacts, and program accomplishments are presented in final reports that are made publically available by the Employment and Training Administration at: <http://wdr.doleta.gov/research/>. Fiscal Year 2013: Since grants are associated with research and evaluation initiatives, outcomes, impacts, and program accomplishments are presented in final reports that are made publically available by the Employment and Training Administration at: <http://wdr.doleta.gov/research/>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notices of SGAs are published periodically in the Federal Register on the ETA Web site at [www.doleta.gov](http://www.doleta.gov).

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest ETA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Wayne S. Gordon 200 Constitution Ave, N.W. Room N-5641, Washington, District of Columbia 20210 Email: [gordon.wayne@dol.gov](mailto:gordon.wayne@dol.gov) Phone: 2026933179

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Opportunities for Disconnected Youth Research Study, Survey and Analysis of Short-time compensation, Doctoral Candidate Research Paper Program. Fiscal Year 2013: No projections at this time.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable SGA.

**17.264 NATIONAL FARMWORKER JOBS PROGRAM  
FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998; Title I, Subtitle D, Section 167; Public Law 105-220.

**OBJECTIVES:**

To help individuals (and their dependents) who are primarily employed in agricultural labor that is characterized by chronic unemployment and underemployment to find and retain stable employment. Grantees provide job training and other employment services and related assistance.

**TYPES OF ASSISTANCE:****FORMULA GRANTS****USES AND USE RESTRICTIONS:**

In the National Farmworker Jobs Program (NFJP), eligible migrant and seasonal farmworkers and their dependents may be offered core services (including initial assessment, One-Stop Career Center services, job placement, and eligibility determination); intensive services developed under a case management system (such as objective assessment, individual employment planning, basic education, allowance payments, dropout assistance, and work experience); training services (such as classroom training that is occupationally specific and on the job training); and related assistance (such as emergency assistance and other supportive services that allow a farmworker to stay employed or continue his or her participation in program activities). In addition, permanent and temporary housing assistance is also provided to migrant and seasonal farmworkers. Funds must be used in accordance with Federal Regulations. The WIA statute requires a biennial grants competition to operate the NFJP program. The funds for the program are allocated through an administrative formula to state service areas; all funds are allocated for program activities.

**Applicant Eligibility:**

Public agencies and units of government (State and local); and private non-profit institutions/organizations authorized by their charters or articles of incorporation to operate employment and training programs. In addition, permanent and temporary housing assistance is also provided, through the same type of organizations.

**Beneficiary Eligibility:**

The ultimate beneficiaries are low income individuals and their dependents who have, during any consecutive 12-month period in the 24 months preceding their application for enrollment, been primarily employed in agricultural labor that is characterized by chronic unemployment or under employment due to the seasonal or migratory nature of the work. Individuals must also be legally able to work and males must not have violated the Selective Service Act registration requirement.

**Credentials/Documentation:**

Applicants must be able to demonstrate an understanding of the problems of seasonal farmworkers and the capacity to respond to their needs, a familiarity with the local agricultural industry, and the administrative capacity to administer workforce investment programs, including their capacity to be an effective One Stop system partner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard preapplication forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for operating NFJP programs are awarded under a biennial competitive process. Applications are solicited, normally for each state's service area, through a Solicitation for Grant Applications (SGA) announcement published in the Federal Register and on ETA's Web site, [www.doleta.gov](http://www.doleta.gov). Applicants are required under the solicitation to provide their proposed plan to operate NFJP services in the areas where they propose to operate. A separate program is funded to serve the geographic area of each State, except as follows: more than one applicant may be selected to serve areas within California and some service areas comprise the geography of two adjoining states. (A provision for waiver of competition for a maximum four-year period may be exercised by the Department).

**Award Procedure:**

Competing applications will be rated according to criteria included in the Solicitation for Grant Application. Awards are made directly to eligible

applicants by the Employment and Training Administration.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Sixty to ninety days.

**Appeals:**

Petition for reconsideration of non-selection as a potential grantee may be made to an Administrative Law Judge within 21 days of notification of the Department's decision.

**Renewals:**

The WIA gives the Secretary of Labor the authority to waive the grants competition, thereby renewing those grants without further competition for a third and fourth year, provided performance for the first two years has been satisfactory and upon receipt of a satisfactory annual plan.

**Formula and Matching Requirements:**

Statutory Formula: Title 20 CFR, Part 652; and 660 through 671, Public Law P.L. 105-220.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards initially apply for two years; the competition may be waived by the Secretary for subsequent two-year period if performance is satisfactory and upon receipt of a satisfactory annual plan. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly reports are required on program participants and expenditures. No cash reports are required. Quarterly Performance Reports are required. Financial reports are required quarterly. Regional Federal Project Officers conduct monitoring - desk audits, risk assessments, monitoring site visits and filed audits are utilized.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

Grantees are required to maintain complete accounting, personnel, and individual participant records in accordance with OMB Circulars A-102 and A-110. Participant records must support eligibility and the need for services provided.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 11 \$84,000,000; FY 12 est \$84,000,000; and FY 13 est \$84,000,000

**Range and Average of Financial Assistance:**

The range and average varies by year according to appropriation levels. State allocations are published annually in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: See the Department of Labor budget at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: See the Department of Labor budget at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: See the Department of Labor budget at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR Part 652 and 660 through 671.

**Regional or Local Office:**

See Regional Agency Offices. Regional contact information is available on the Website at [www.doleta.gov/MSFW](http://www.doleta.gov/MSFW).

**Headquarters Office:**

Kimberly Vitelli 200 Constitution Ave. NW Rm C-4510, Washington, District of Columbia 20210 Email: [vitelli.kimberly@dol.gov](mailto:vitelli.kimberly@dol.gov) Phone: 202-693-3639

**Website Address:**

<http://www.doleta.gov/msfw/>

**RELATED PROGRAMS:**

17.258 WIA Adult Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the Solicitation for Grant Application published in the Federal Register whenever there is a competition for grant awards. (Also, see paragraph 92, above.).

**17.265 NATIVE AMERICAN EMPLOYMENT AND TRAINING**

Workforce Investment Act (WIA), Section 166

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998 (Title I, Subtitle D, Section 166 and Subtitle B, Chapter 2), Title I, Section 166, Public Law 105-220, 112 Stat. 936, 29 U.S.C. 2801 et seq.; Workforce Investment Act of 1998 (Title I, Subtitle D, Section 166 and Subtitle B, Chapter 2), Section 2, Public Law 111-5, Stat. 58.

**OBJECTIVES:**

To support employment and training activities for Indian, Alaska Native, and Native Hawaiian individuals in order to develop more fully the academic, occupational, and literacy skills of such individuals; to make such individuals more competitive in the workforce; and to promote the economic and social development of Indian, Alaska Native, and Native Hawaiian communities in accordance with the goals and values of such communities. All programs assisted under this section shall be administered in a manner consistent with the principles of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450 et seq.) and the government-to-government relationship between the Federal Government and Indian tribal governments. Supplemental youth funding is also awarded to help low-income Native American youth and Native Hawaiian youth, between the ages of 14 and 21, acquire the educational and occupational skills needed to achieve academic and employment success and transition to careers and productive adulthood.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds may be utilized for employment and training programs and services, including classroom training, On-The-Job training, training assistance, work experience, youth employment programs, day care, health care, job search, relocation, and transportation allowances designed to help eligible participants to obtain employment. There are specified restrictions on the amount of grant funds which can be used for administrative costs. Supplemental youth funds may be utilized to provide employment and training activities that assist youth in achieving academic and employment success. Such activities may include; mentoring, career exploration, work experience, community service, education programs including cultural education, leadership development, and supportive services. Funds are restricted to Indian, Alaska Native, and Native American youth and Native Hawaiian youth, between the ages of 14 and 21, living on or near reservations and the States of Oklahoma, Hawaii, and Alaska. Administrative costs are limited to 15% but are negotiable up to 20% upon prior agency approval. See above. Federally-recognized Indian Tribal Governments, bands or groups, Alaska Native villages or groups (as defined in the Alaska Native Claims Settlement Act, 43 U.S.C. 1602(b)), Hawaiian Native communities meeting the eligibility criteria, and Native American Organizations (public bodies or private nonprofit agencies) are selected by the Secretary on a competitive basis to run programs in designated service areas.

**Applicant Eligibility:**

Federally-recognized Indian Tribal Governments, bands or groups, Alaska Native villages or groups (as defined in the Alaska Native Claims Settlement Act, 43 U.S.C. 1602(b)), Hawaiian Native communities meeting the eligibility criteria, and Native American Organizations (public bodies or private nonprofit agencies) selected by the Secretary on a competitive basis. Tribes, bands, and groups may also form consortia in order to qualify for designation as a grantee. An independently eligible grantee shall be a Federally-recognized tribe or other Indian or Native American entity which has: (1) A governing body as defined in 20 CFR 668.200(a); (2) (for new grantees) an identifiable Native American resident population sufficient to generate the funding level(s) outlined at 20 CFR 668.200(a)(3) within its designated service area; and (3) the capability to administer Indian and Native American employment and training programs as outlined at 20 CFR 668.220. Detailed requirements for consortium grantee applicants are set forth at 20 CFR 668.200(b). Supplemental funding is automatically awarded to entities that serve Native American youth and Native Hawaiian youth living on or near reservations, and the States of Oklahoma, Hawaii, and Alaska.

**Beneficiary Eligibility:**

American Indians (members of federally- recognized Indian tribes, bands, and groups); other individuals of Native American descent, such as, but not limited to, the Klamaths in Oregon, Micmac and Maliseet in Maine, the Lumbees in North Carolina and South Carolina; Indians variously described as terminated or landless, Eskimos and Aleuts in Alaska, and Hawaiian Natives. ("Hawaiian Native" means an individual any of whose ancestors were natives prior to 1778 of the area which now comprises the State of Hawaii.) Applicants must also be economically disadvantaged, unemployed, or underemployed. A Native American grantee may in some cases enroll participants who are not economically disadvantaged, unemployed, or underemployed in upgrading and retraining programs. See 20 CFR 668.300(b)(4) and (5). Native American youth between the ages of 14 and 21 who live on or near a reservation or in the States of Oklahoma, Alaska, and Hawaii and are low income, are eligible to receive supplemental youth services.

**Credentials/Documentation:**

An entity requesting to apply for a grant must submit a notification of intent to apply biennially. Consortium applicants must include a formal consortium agreement with attachments specified in 20 CFR 668.200. A Comprehensive Services Plan must be submitted by the designated grantees. It includes, among other things: (1) a program narrative description; (2) a planning summary; and (3) a brief budget summary. Individuals requesting services through this grant must provide documentation of Native American Descent such and Certificate Degree of Indian Blood (CDIB). Individuals must also provide documentation that they are low income or unemployed, or working part-time but are seeking full-time work or employed in a job that is not commensurate with the individual's demonstrated level of education or skill achievement. Males eligible for Selective Service must provide proof of registration. Youth receiving services under the Supplemental Youth Services Program (SYSP) must be low income and be between the age of 14 and 21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Employment and Training Administration publishes a Solicitation for Grant Application (SGA) in the Federal Register every two years. The SGA provides the application and award process for interested entities to apply for funding to serve specified geographic areas. After prospective grantees have filed a notice of intent and new applicants have additionally provided the information cited in 20 CFR 668.240, designation decisions are made. Subsequently, designated grantees must submit a Comprehensive Services Plan to the Employment and Training Administration, Office of Workforce Investment, Division of Indian and Native American Programs (DINAP), Department of Labor. In addition, grantees must describe the administrative, planning, and operational elements needed to implement a WIA Section 166 program. Instructions for completing these documents are

issued by the Employment and Training Administration through a Training and Employment Guidance Letter (TEGL).

**Award Procedure:**

Grants will be made directly to eligible grantees for their service areas.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

From 60 to 90 days. Applicants will be notified of approval or disapproval of the Comprehensive Services Plan and if disapproved, given a reasonable time to make adjustments and resubmit the Plan. Final disapproval of an application or plan submitted by a designated grantee will not be made without affording the grantee an opportunity for reconsideration.

**Renewals:**

From 30 to 60 days. Grant awards may be renewed annually, while designation as a grantee applies for two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 1, Part Subtitle D - National Programs, , Subpart Section 166 - Indian and Native American Programs, Public Law Workforce Investment Act of 1998.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are made available through annual program year grants. The program year runs from July 1 to June 30, except that the Supplemental Youth Services Program runs from April 1 to March 31. Funds obligated for any program year may be expended by each recipient during the program year and the two succeeding program years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

OMB 9084 form for comprehensive services to adult program and OMB 9085 for supplemental youth services program are submitted quarterly. Cash reports are not applicable. Progress reports are not applicable. OMB 9130 Form financial report is submitted quarterly. National office staff monitors performance using the Grants Management System (GEMS) to conduct risk assessments and desk reviews. On-site reviews are also conducted every three years.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other pertinent records shall normally be retained for a period of three years after the grant is closed out. Participant records shall be retained for five years. Records must be retained longer in certain cases, such as when audit findings have not been resolved.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 11 \$65,000,000; FY 12 est \$60,000,000; and FY 13 est \$65,000,000

**Range and Average of Financial Assistance:**

The range and average of financial assistance varies by year. Amounts are published annually in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: See Department of Labor Budget at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: See Department of Labor Budget at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: See Department of Labor Budget at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register, Volume 65, No. 156, Friday, August 11, 2000, 20 CFR Parts 667 and 668 (20 CFR 652 et al.), Employment and Training Administration, United States Department of Labor.

**Regional or Local Office:**

None.

**Headquarters Office:**

Evangeline M. Campbell, 200 Constitution Avenue, NW, Room S-4209, Washington, District of Columbia 20210 Email: [campbell.evangeline@dol.gov](mailto:campbell.evangeline@dol.gov) Phone: (202) 693-3737 Fax: (202) 693-3817.

**Website Address:**

<http://www.doleta.gov/dinap>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are described in the regulations and DINAP administrative instructions issued biennially in the Solicitation for Grant Application published in the Federal Register. In general, designation is based on the regulatory requirements found at 20 CFR 668.210, 668.220, and 668.230, concerning legal status, ability to administer Federal funds, and prior experience and success in providing employment and training services to the client population. In addition, the other requirements for designation found at 20 CFR Part 668, Subpart B, must also be met.

**17.267 INCENTIVE GRANTS - WIA SECTION 503**

WIA Incentive Grants

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Adult Education and Family Literacy Act, 20 U.S.C 9211; Workforce Investment Act of 1998, Title 1, Part B, Section 174, 503, Public Law 105-220, 20 U.S.C 9273.

**OBJECTIVES:**

To carry out innovative programs consistent with the purposes of Title I of WIA (Workforce Investment Systems), Title II of WIA (Adult Education and Family Literacy Act (AEFLA), 20 U.S.C. 9201 et seq.), the Carl D. Perkins Vocational and Applied Technology Education Amendments of 1998 (Public Law 105-332, 20 U.S.C. 2301 et seq.) or a combination of two or more of these acts.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

States have great flexibility in using these funds and are not limited to conducting only one type of innovative program. However, the use of grant funds must be consistent with WIA Section 503, including the requirement that they be used for innovative programs which further the purposes of WIA Titles I and II, AEFLA and/or the Perkins Act. In addition, grantees must comply with the requirements of whichever program the innovation affects. For example, if the incentive funds will be used for innovations in the delivery of youth activities under WIA Title I, the program must be consistent with WIA Title I provisions applicable to youth activities and the WIA regulations at 20 CFR part 664. States must submit a plan describing the innovative activities to be funded with this grant. States are expected to use funds for services and activities: (1) beyond those provided with regular funds from the three programs, particularly those authorized by one of these programs and another program; (2) which serve the needs of populations intended to be served by one

or more of these programs; and (3) targeted to improving the performance of State systems of employment, training, and education. In addition, States are encouraged to plan activities that promote cooperation and collaboration among the agencies administering WIA Title I, AEFLA, and Perkins Act programs. States may only use funds in accordance with WIA, AEFLA, or Perkins Law III/IV.

**Applicant Eligibility:**

A listing of States eligible to receive incentive grants for program year 2010 performance was published in the Federal Register on May 25, 2012. To qualify for a grant, a State must exceed performance levels agreed to by the Secretary of Education, the Secretary of Labor, the Governor, and the State Education Officer, for outcomes in Titles I and II of the Workforce Investment Act (WIA) and the American Education and Family Literacy Act (AEFLA), which include placement after training, retention in employment, and improvement in literacy levels, among other measures.

**Beneficiary Eligibility:**

50 U.S. States, including Washington, DC, the Virgin Islands, and Puerto Rico.

**Credentials/Documentation:**

Documentation of the exceeded performance measures must be available. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The application must include assurances that: The State legislature was consulted with respect to the development of the application; the application was approved by the Governor, the eligible agency for adult education, as defined in WIA Section 203(4) (20 U.S.C. 9202(4)); and the State agency responsible for vocational and technical education programs, as defined in Perkins Act Section 3(9) (20 U.S.C. 2302(9)); and the State and the eligible agency, as appropriate, exceeded the State adjusted levels of performance for WIA Title I, the State adjusted levels of performance for AEFLA, and the performance levels established for Perkins Act programs. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded each year to those states and territories that exceed their WIA and AEFLA performance measures. A Federal Register Notice (FRN) is published announcing the award winning states as well as the amount of the award. A Training and Employment Guidance Letter (TEGL) is published to provide guidance for the submission of the application. The FRN and the TEGL are published on the Performance Web site at <http://www.doleta.gov>. States develop a proposal and budget that demonstrate how they will provide services in accordance with the WIA, AEFLA and or Perkins IV laws. ETA coordinates the review of applications with the Department of Education.

**Award Procedure:**

States must exceed performance for WIA Adult, Dislocated Worker and Youth programs as well as meet performance in AEFLA. Representatives from DOL and Education review states' performance and compile a list of those states meeting both sets of performance requirements. States are allocated a share of the incentive funds based on their proportionate share of WIA and AEFLA title funds. States must submit an application indicating they will meet all requirements of WIA and AEFLA as well as Perkins IV before funds can be granted. See USDOL ETA guidance TEGL 20-01, Change 10 at: [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=9112](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=9112).

**Deadlines:**

May 25, 2011 to Jul 09, 2011: 45 days from FRN posting. Specified in the applicable TEGL, but generally 45 days from announcement in the Federal Register.

**Range of Approval/Disapproval Time:**

From 1 to 15 days.

**Appeals:**

From 15 to 30 days. Appeal procedures are at 20 CFR Part 667, Subpart H.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded on a program year (July to June) basis and are available for expenditure for two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

When funds are expended for programs under AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3, TEGL 9-07, and TEGL 14-03, Change 1 for additional reporting guidance. When funds are expended for programs under AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3 and TEGL 14-03, Change 1 for additional reporting guidance. When funds are expended for programs under AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3 and TEGL 14-03, Change 1 for additional reporting guidance. When funds are expended for programs under AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3 and TEGL 14-03, Change 1 for reporting guidance. When funds are expended for programs under either AEFLA, Perkins IV or WIA, the applicable program report requirements apply. See TEGL 14-00, Change 3, TEGL 9-07, and TEGL 14-03, Change 1 for reporting guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted in accordance with 20 CFR 667.200(b).

**Records:**

States are required to maintain adequate records in accordance with DOL uniform administrative requirements in 29 CFR Sections 97.20 and 97.42.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 11 \$10,000,000; FY 12 est \$10,000,000; and FY 13 est \$10,000,000

**Range and Average of Financial Assistance:**

For PY10 awards, the range is \$824,616-\$2,651,995.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 666.200 - 666.230; Training and Employment Guidance Letters No. 20-01, change 10, TEGL 14-03, Change 1 and TEGL 14-00, Change 3.

**Regional or Local Office:**

See Regional Agency Offices. Federal Project Officers for those states receiving the awards.

**Headquarters Office:**

Luke A. Murren Frances Perkins Building, 200 Constitution Ave., NW, Washington, District of Columbia 20210 Email: [murren.luke@dol.gov](mailto:murren.luke@dol.gov) Phone: 2026933733

**Website Address:**

<http://www.doleta.gov/performance>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.268 H-1B JOB TRAINING GRANTS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Competitiveness and Workforce Improvement Act of 1998, Section 414(c), Public Law 105-227.

**OBJECTIVES:**

The H-1B Job Training Grant Program funds projects that provide training and related activities to workers to assist them in gaining the skills and competencies needed to obtain or upgrade employment in high-growth industries or economic sectors. Over time, these education and training programs will help businesses reduce their use of skilled foreign professionals permitted to work in the U.S. on a temporary basis under the H-1B visa program.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds are to be used to provide job training services and related activities to assist workers in gaining the skills and competencies needed to obtain or upgrade employment positions in high-growth industries and economic sectors which currently use H-1B visas to employ foreign workers. Grant opportunities are published in the Federal Register. Please refer to the Solicitation for Grant Applications (SGAs) for specific eligibility requirements. See above. A very small percentage of funds will be used by the Department of Labor for grants administration, technical assistance, and performance reporting.

**Applicant Eligibility:**

Grants may be awarded to a partnership of private and public sector entities as defined in the American Competitiveness and Workforce Improvement Act (ACWIA). Applicants may generally be public and non-profit organizations. See the Solicitation for Grant Applications (SGAs) for specific requirements.

**Beneficiary Eligibility:**

The scope of potential trainees under these programs can be very broad. Please review the Solicitation for Grant Applications (SGAs) for specific requirements. Training may be targeted to a wide variety of populations including unemployed individuals and incumbent workers.

**Credentials/Documentation:**

Generally grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically, including a project management structure. Additionally, grantees must provide evidence of the use of data systems to track outcomes in a timely and accurate manner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGAs provide all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer

identifying the strengths and weaknesses of the application and the cumulative rating. Selections are made based on the best rated proposals, as well as other factors cited in the SGA. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. ETA announces grant recipients once the paneling process is complete, generally 90 to 120 days after the application deadline.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Application.

**Renewals:**

Renewals with funds are generally not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The requirement for match is contingent on the activities proposed by the applicant. Applicants that propose incumbent worker training activities must provide resources as matching funds, if applicable. For detailed information about match requirements, applicants should refer to the specific Solicitation for Grant Applications (SGAs). For applicants that do not include incumbent worker training activities, cost sharing or matching funds are not required as a condition for application.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last three to four years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Grantees are required to submit quarterly reports within 45 days of the end of the calendar quarter regarding the status of their project. Quarterly financial reports are required within 45 days of the end of the quarter. Regional Federal Project Officers conduct performance monitoring using risk assessments, desk reviews, and on-site monitoring. Final project reports are due to ETA 90 days after the grant ends.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 11 \$18,000,000; FY 12 est \$356,000,000; and FY 13 est

\$125,000,000

**Range and Average of Financial Assistance:**

Awards generally range from \$1,000,000 to \$5,000,000. Please review specific Solicitations for Grant Applications for specific details.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Performance plans are posted annually and are available on the Internet at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). DOL Budget information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: Performance plans are posted annually and are available on the Internet at: [www.doleta.gov/Performance/eta\\_default.cfm](http://www.doleta.gov/Performance/eta_default.cfm). DOL Budget information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jennifer W. Troke 200 Constitution Avenue, NW, Room C-4526, Washington, District of Columbia 20210 Email: [businessrelations@dol.gov](mailto:businessrelations@dol.gov) Phone: (202) 693-3949 Fax: (202) 693-3890

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are specified in the applicable Solicitation for Grant Applications.

**17.270 REINTEGRATION OF EX-OFFENDERS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle D, Section 171, Public Law 105-220, 20 U.S.C 9201.

**OBJECTIVES:**

This program includes both Adult Reentry grants to serve adult returning offenders and Youthful Offender grants aimed at youth involved or at risk of involvement in crime and violence. The objectives of the Adult Reentry grants include increasing the employment rate, employment retention rate, and earnings of released prisoners, and decreasing their recidivism. The objectives of the Youthful Offender grants include preventing in-school youth from dropping out of school, increasing the employment rate of out-of-school youth, increasing the reading and math skills of youth, reducing the involvement of youth in crime and violence, and reducing the recidivism rate of youth.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Services under the Adult Reentry grants include assistance in finding employment, mentoring, job training, remedial education, and other comprehensive transitional services. Services under the Youthful Offender grants include a wide array of educational, employment, mentoring, case management, and violence reduction efforts. Restrictions for specific projects are listed in grant announcements. One hundred percent of these funds are set aside for discretionary activities to be distributed almost exclusively through competitive procurements.

**Applicant Eligibility:**

Eligible applicants for Reintegration of Ex-Offender-Adult (RExO) grants are

community-based organizations (CBOs) that are located in, or have a staff presence in the community being served. Eligible applicants for Youthful Offenders vary depending on the solicitation, but have included community-based organizations, school districts, and juvenile justice agencies.

**Beneficiary Eligibility:**

Reintegration of Ex-Offender-Adult grants serve individuals, 18 years old and older, who have been convicted as an adult and have been imprisoned for violating a state or federal law, and who have never been convicted of a sex-related offense. Depending on the solicitation, enrollment may be limited based on whether the presenting offense was violent or whether the individual has previously committed a violent crime. Individuals eligible for Youthful Offender grants vary depending on the solicitation.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance. Please note that competitions for Reintegration of Ex-Offender - Adult and Youth Offender grants do not necessarily occur every year, depending on availability of funds and the extent to which existing grants are continuing.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. The general procedure is as follows. A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

From 60 to 90 days. Procedures for each project are specified in the applicable request for proposals.

**Renewals:**

From 60 to 90 days. Extensions available upon approval; renewals are not automatic.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The period of performance varies by grant announcement. The possibility of additional years of funding varies by grant announcement. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly

progress reports are required. Depending on the solicitation, grantees also may be required to participate in DOL's Management Information System data collection system. Quarterly financial reports are required. Regional Federal Project Officers are responsible for monitoring performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Varies

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504 - Project Grants.

**Obligations:**

(Project Grants) FY 11 \$109,000,000; FY 12 est \$85,000,000; and FY 13 est \$80,000,000

**Range and Average of Financial Assistance:**

The range and average of financial assistance varies. The information is published in Federal Register grant announcements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance targets and results can be found in the DOL budget located at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Performance targets and results can be found in the DOL budget located at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: Performance targets and results can be found in the DOL budget located at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in SGA Announcement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Richard G. Morris, 200 Constitution Ave, NW, Room N-4511, Washington, District of Columbia 20210 Email: [morris.richard@dol.gov](mailto:morris.richard@dol.gov) Phone: (202) 693-3603 Fax: (202) 693-3113.

**Website Address:**

<http://www.doleta.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable request for proposals.

**17.271 WORK OPPORTUNITY TAX CREDIT PROGRAM (WOTC)**

Work Opportunity Tax Credit (WOTC) Program

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

The Tax and Trade Relief Extension Act of 1998, Part of the Omnibus Consolidated and Emergency Supplemental Appropriations Act of 1999, Public Law 105-277; Internal Revenue Code of 1986, as amended, Section 51, Section 51, Stat. 1768, 26 U.S.C 51; The American Recovery and

Reinvestment Act of 2009, Public Law 111-5; The Tax Relief, Unemployment Insurance Reauthorization and Job Creation Act of 2010, Public Law 111-312; The Small Business and Work Opportunity Tax Act of 2007, Public Law 110-28; The Taxpayer Relief Act of 1997, Public Law 105-34.

**OBJECTIVES:**

The tax credit was designed to help individuals from certain target groups who consistently face significant barriers to employment move from economic dependency to self-sufficiency by encouraging businesses to hire target group members and be eligible to claim tax credits against the wages paid to the new hires during the first year of employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States are to use these formula grants for: determining eligibility of individuals as members of the target groups; issuing employer certifications or denials; developing working agreements with partner agencies in the One-Stop Career Center system or other State agencies to issue Conditional Certifications; and coordinating efforts to promote WOTC to employers and job seekers and other Workforce Investment Act (WIA) partners. The Federal government provides general direction, funding, and oversight to the states. See above.

**Applicant Eligibility:**

States (not individuals), the District of Columbia, the Virgin Islands, and Puerto Rico.

**Beneficiary Eligibility:**

All employers seeking WOTC target group workers and target group members seeking employment. The members of the different target groups have statutory definitions (per Public Law 104-188, as amended) with specific eligibility requirements that must be verified by the state workforce agencies before a certification can be issued to an employer or his/her representative. Participating employers and their representatives must file their certification requests using IRS Form 8850 and ETA Form 9061 or 9062 within 28 days after the employment-start day of the new hires. This timeliness requirement cannot be waived and must be met before a state can issue a certification to eligible target group members.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 as codified in 41 CFR 1-15.7 for state and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State workforce agencies (SWAs) must submit an annual grant plan and statement of work to ETA according to the requirements issued in policy guidance. SWAs may request extensions through ETA regional offices.

**Award Procedure:**

Review of State Plans occurs at Employment and Training Administration National Office. WOTC grant funds for approved state plans are provided under separate annual funding agreements for each program year with the designated SWA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. As provided in policy guidance issued by ETA and IRS.

**Appeals:**

Other - Not Specified.



**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is provided by annual formula allotments. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly program reports are required. No cash reports are required. No progress reports are required. Quarterly financial reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Standard records for audits are required. The Internal Revenue Service (IRS) requires that the SWAs keep and maintain certification records for four years and denial records for one year in the event of an employer audit by IRS or an employer appeal to the SWAs.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 11 \$18,000,000; FY 12 est \$18,000,000; and FY 13 est \$19,000,000

**Range and Average of Financial Assistance:**

FY 2011 Allotments ranged from \$ 66,000 to \$ 2,169,138. The average is not computed.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 51 of the Internal Revenue Code, Title 26 U.S.C. ETA Handbook No. 408, Third Edition, November 2002 as amended. An e-copy can be obtained at [www.doleta.gov/business/incentives/opptax](http://www.doleta.gov/business/incentives/opptax). The report may be obtained from the Division of Adult Services, 200 Constitution Ave, N.W., Room S-4209, Washington, DC 20210, or on the Employment and Training Administration Web page at <http://www.doleta.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Regional Office or state workforce agencies by checking the local telephone directory or obtaining directories of WOTC Regional and State Coordinators at: [www.doleta.gov/business/Incentives/opptax/](http://www.doleta.gov/business/Incentives/opptax/).

**Headquarters Office:**

Carmen Ortiz, 200 Constitution Ave, NW, Room S-4209, Washington, District of Columbia 20210 Email: [ortiz.carmen@dol.gov](mailto:ortiz.carmen@dol.gov) Phone: (202) 693-2786 Fax: (202) 693-3587.

**Website Address:**

<http://www.doleta.gov/business/Incentives/opptax/> .

**RELATED PROGRAMS:**

10.551 Supplemental Nutrition Assistance Program; 27.002 Federal Employment Assistance for Veterans; 27.003 Federal Student Temporary Employment Program; 27.005 Federal Employment for Individuals With Disabilities; 64.116 Vocational Rehabilitation for Disabled Veterans; 93.558 Temporary Assistance for Needy Families

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.272 PERMANENT LABOR CERTIFICATION FOR FOREIGN WORKERS****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Immigration and Nationality Act of 1952, as amended, Sections 101 (a) (15) H (II), 214 (c) and 212 (a) (5) (A), Section 101, 212, 214, Public Law 82-414, 66 Stat. 163, 8 U.S.C 1101 et seq.

**OBJECTIVES:**

To protect the jobs of American workers; ensure the wages and working conditions of U.S. workers will not be adversely affected by the admission of permanent foreign workers; and assist employers by supplementing the work force with needed skills.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Under Section 212 (a)(5)(A) of the Immigration and Nationality Act, foreign workers who seek to immigrate to the United States for employment shall be excluded from admission unless the Secretary of Labor determines and certifies to the Secretary of State and to the Secretary of Homeland Security that there are not sufficient U.S. workers available for the position, and that the employment of such foreign workers will not adversely affect the wages and working conditions of U.S. workers similarly employed. The certified employer must hire the foreign worker as a full-time employee; there must be a bona fide job opening available to U.S. workers; job requirements must adhere to what is customarily required for the occupation in the U.S. and may not be tailored to the foreign worker's qualifications. In addition, the employer shall document that the job opportunity has been and is being described without unduly restrictive job requirements, unless adequately documented as arising from business necessity. The employer must pay at least the prevailing wage for the occupation in the area of intended employment.

**Applicant Eligibility:**

(1) Any employer who is unable to find qualified U.S. workers to meet his or her needs and seeks to hire a foreign worker to fill a given job vacancy on a permanent basis is eligible to file an application for permanent labor certification with the Department of Labor. (2) An employer who seeks to employ a foreign worker whose category of employment is included in the Department of Labor, Schedule A list of precertified occupations contained in Part 656, Title 20, Code of Federal Regulations is eligible to file an application directly with the appropriate U.S. Citizenship and Immigration Services Office.

**Beneficiary Eligibility:**

Employers and foreign workers.

**Credentials/Documentation:**

Employers seeking labor certification, and thereafter filing an immigration petition to sponsor a foreign worker for employment-based permanent residency, must document that worker's education, experience, and job qualifications to the satisfaction of the U.S. Citizenship and Immigration Services. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Prior to filing the application for permanent employment certification, the employer must request a prevailing wage determination from the National Prevailing Wage Center (NPWC). When filing, must attest, in addition to a number of other conditions of employment, to having conducted recruitment prior to filing the application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Employers must file labor certification applications for permanent employment directly with the Atlanta National Processing Center (except for Schedule A occupations). See <http://workforcsecurity.doleta.gov/foreign/perm.asp> for additional details.

**Award Procedure:**

If the Atlanta National Processing Center approves the application, the application form is "certified" (approved) by the Certifying Officer and returned to the employer/agent who submitted the application. The labor certification is then filed by the sponsoring employer in support of its immigrant worker petition with USCIS.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Timeframe for processing of permanent labor certification applications varies with the circumstances of each case.

**Appeals:**

The permanent labor certification program provides for reconsideration by a Certifying Officer and/or administrative review by the Department of Labor's Board of Alien Labor Certification Appeals (BALCA) of a denial of an application, upon the employer's request.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Employment and Training Administration issues formula grants to State Workforce Agencies for activities supporting federal labor certification programs. Grants are issued on a fiscal year basis. See the following for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Fiscal year basis.

**Reports:**

Activity reports and workload data. Cash reports are not applicable. Quarterly reports from states on progress of spending against the total grant. Quarterly reports from states on progress of spending against the total grant. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Selected audits are conducted by the Department of Labor.

**Records:**

The employer is required to retain all supporting documentation for five years from the date of filing the Application for Permanent Employment Certification.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Salaries) FY 11 \$25,000,000; FY 12 est \$25,000,000; and FY 13 est \$25,000,000 - Funds for the Permanent Labor Certification Program are not appropriated separately from other foreign labor certification funds.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

References in the Code of Federal Regulations: For permanent

employment-Title 20, CFR Part 656. Applicable statutes, regulations, and policies are described on the website of the Employment and Training Administration, Office of Foreign Labor Certification.

**Regional or Local Office:**

None. The following addresses, phone numbers, and FAX numbers should be used by employers and by State Workforce Agencies for either inquiries or the forwarding of applications materials, as appropriate. Please note, for all application materials, inquiries, and other correspondence regarding the Permanent Labor Certification Program are to be sent to the Atlanta National Processing Center, at the following address: Department of Labor, Employment and Training Administration, Atlanta National Processing Center, Harris Tower, 233 Peachtree Street, Suite 410 Atlanta, GA 30303, Telephone: (404) 893-0101 Fax: (404) 893-4642.

**Headquarters Office:**

Anna Kasior Office of Foreign Labor Certification, National Office, 200 Constitution Avenue, NW, Room C-4312, Washington, District of Columbia 20210 Email: [kasior.anna@dol.gov](mailto:kasior.anna@dol.gov) Phone: (202) 693-3010 Fax: (202) 693-2768

**Website Address:**

<http://www.foreignlaborcert.doleta.gov/>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.273 Temporary Labor Certification for Foreign Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.273 TEMPORARY LABOR CERTIFICATION FOR FOREIGN WORKERS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Omnibus Insular Areas Act of 1991, Public Law 102-232, 105 Stat. 1733, 8 U.S.C 1182; Immigration Reform and Control Act of 1986, Public Law 99-603, 100 Stat. 3359, 8 U.S.C 1186; Immigration and Nationality Act of 1952, as amended, Sections 101(a)(15)(H), 212(n), 214(c) and 214(i), Section 101, 212, 214, Public Law 82-414, 66 Stat. 163, 8 U.S.C 1101 et seq; Immigration Act of 1990, Public Law 101-649, 104 Stat. 4978, 8 U.S.C 1182(n), 1184.

**OBJECTIVES:**

To provide greater protection for U.S. and foreign workers while assisting U.S. employers to obtain temporary foreign workers, when needed. Also, to enable agricultural and other employers to obtain foreign workers for temporary or seasonal jobs when domestic workers are not available; and to assure adequate working and living conditions for domestic and foreign workers employed in similar tasks.

**TYPES OF ASSISTANCE:**

Federal Employment; Formula Grants; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

The Department of Labor issues labor certifications for temporary employment under several programs: H-1B Specialty (Professional) Worker Program, H-1B1 Specialty Worker Program (professionals from Chile or Singapore working in specialty occupations), E-3 Specialty Worker Program (professionals from Australia working in specialty occupations), H-2A Temporary Employment Certification (Agricultural), H-2B Temporary Employment Certification (Non-Agricultural), and D-1 Crewmember Program.

**Applicant Eligibility:**

H-2A Program: An agricultural employer who anticipates a shortage of U.S. workers needed to perform agricultural labor or services of a temporary or seasonal nature. The employer may be an individual proprietorship, a partnership or a corporation. An association of agricultural producers may file

as a sole employer, a joint employer with its members, or as an agent of its members. An authorized agent or attorney, whether an individual or an entity (e.g., an association), may file an application on behalf of an employer. Associations may file master applications on behalf of their members. H-2B Program: The job and the employer's need must be one time, seasonal, peak load or intermittent; the job must be for less than one year; and there must be no qualified and willing U.S. workers available for the job. An employer must file an application for employment certification with the Chicago National Processing Center of the Employment and Training Administration. State Workforce Agencies are federally funded to issue prevailing wage determinations for foreign labor certification programs.

**Beneficiary Eligibility:**

Grants support state activities to help employers recruit U.S. workers before seeking to hire a foreign worker. These labor conditiona applications and foreign labor certification programs govern employers who have a need for workers in specialty occupations, or as fashion models of distinguished merit and ability, or in temporary agricultural or non-agricultural employment.

**Credentials/Documentation:**

In the major temporary employment certification programs, employers sponsoring foreign workers to fill a temporary need file the certification from the Department of Labor as documentation in support of their respective I-129 nonimmigrant worker petitions with the Department of Homeland Security, United States Citizenship and Immigration Services (USCIS). In the H-1B1 and E-3 programs, a USCIS petition is not needed for initial visa issuance, and the foreign national may use proof of labroconditiona application certification in support of the visa application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States and U.S. territories receive these to support federal foreign labor certification activities. They submit work plans each year to obtain continued eligibility for the grant. Employers who participate in foreign labor certification programs do not receive funding from these grants, but do benefit from the services offered by these state agencies to recruit U.S. workers for positions before they apply to hire a foreign worker. Employers contact the appropriate office of the Employment and Training Administration. Also see <http://www.doleta.gov/business/gw/guestwkr/> for additional details on specific programs.

**Award Procedure:**

State Workforce Agencies receive notification of grant award after federal approval of their workplans. Employers must prove they qualify for foreign labor certification before they can move to the next step of the employment-based immigration process. Certifications are sent to the employer in support of the petition to be filed with the U.S. Citizenship and Immigration Services which determines admissibility and Visa classification. The employer, via the ETA Form 9142, advises as to the type of visa which is supported by the application. Certified copies of accepted attestations for the D-1 Crewmember program are returned to the employer and the USCIS is notified of the filing in writing. Grants: State Workforce Agencies receive funds upon acceptance of their work plans.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

H-1B: From one to seven days. H-2A: Statute requires an initial acceptance by ETA within seven days of filing, and a final determination 30 days prior to the employer's date of need. 8 U.S.C. Section 1188(c).

**Appeals:**

There is no procedure for appealing Employment and Training Administration determination to accept or reject a Labor Condition Application submitted for the H-1B, H1-B1, and E3 Programs. Complaints regarding misrepresentation

in the attestation or failure of the employer to carry out the terms of the attestation may be filed with the Wage and Hour Division at the Department of Labor.

**Renewals:**

Treated as the filing of a new labor condition application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Fiscal year basis. See the following for information on how assistance is awarded/released: ETA issues formula grants to State Workforce Agencies to fund activities supporting federal labor certification programs.

**Reports:**

Activity and workload reports. Cash reports are not applicable. States file quarterly financial reports to report on spending against the total grant. Grants: Quarterly financial reports are required. States file quarterly financial reports to report on spending against the total grant. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States are regularly monitored for compliance with grant requirements. Employer may make a filed labor condition application and necessary supporting documentation available for public examination at the employer's principal place of business in the United States, or at the place of employment within one working day after the date on which the labor condition application is filed with the Employment and Training Administration. The employer may post a hard copy notice or an electronic notice. The employer may post a completed copy of the LCA or may post all the information required in 20 CFR 655.734(a) (1) (ii). Complaints concerning misrepresentation in the attestation or failure of the employer to carry out the terms of the attestation may be filed with the Wage and Hour Division, Employment Standards Administration, Department of Labor. The Administrator, Wage and Hour Division, performs the entire Secretary's investigative and enforcement functions under 8 U.S.C. 1182(n) and subparts I and K of 29 C.F.R. Part 504.

**Records:**

Program-related records, including financial records. Employer shall make the Labor Condition Application (LCA) and necessary supporting documentation available for public examination at the employer's principal place of business in the United States or at the place of employment within one working day after the date on which the LCA is filed with Employment and Training Administration.

**Account Identification:**

16-0179-0-1-999.

**Obligations:**

(Formula Grants) FY 11 \$15,000,000; FY 12 est \$15,000,000; and FY 13 est \$15,000,000 - Congressional funding for temporary employment certification programs is not appropriated separately from funds for other federal labor certification activities. (Provision of Specialized Services) FY 11 \$25,000,000; FY 12 est \$25,000,000; and FY 13 est \$25,000,000 - Congressional funding for temporary labor certification programs is not appropriated separately from funds for other federal labor certification activities.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Budget Performance Information is available at [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2012: Budget Performance Information is available at

www.dol.gov/dol/aboutdol/main.htm#budget. Fiscal Year 2013: Budget Performance Information is available at www.dol.gov/dol/aboutdol/main.htm#budget.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Further information concerning the program may be found at 20 CFR 655. Additional information on applicable statutes, regulations, and Departmental guidance is posted on the website of the Employment and Training Administration, Office of Foreign Labor Certification.

#### **Regional or Local Office:**

None. Contact the appropriate State Workforce Agency (See Appendix IV) or Employment and Training Administration Chicago National Processing Center. The following addresses, phone numbers, and FAX numbers should be used by employers and by State Workforce Agencies for either inquiries or the forwarding of applications materials, as appropriate. Please note, for all application materials, inquiries, and other correspondence sent to either the Chicago National Processing Center, or the Employment and Training Administrations Office of Foreign Labor Certification, envelopes should be clearly marked according to the appropriate program type, i.e. H-1B, H-1B1, E-3, H-2A, H-2B, or D-1. Chicago Processing Center Address: U.S. Department of Labor, Employment and Training Administration, Office of Foreign Labor Certification, Chicago National Processing Center, 11 West Quincy Court, 844 North Rush Street, 12th Floor, Chicago, IL 60611 60604-2105 Phone : (312) 886-8000 FAX: (312) 886-1688.

#### **Headquarters Office:**

Anna Kasior U.S. Department of Labor, Employment and Training Administration, Office of Foreign Labor Certification, Employment and Training Administration Department of Labor, 200 Constitution Avenue, NW, Room C-4312, Washington, District of Columbia 20210 Email: kasior.anna@dol.gov Phone: (202) 693-3010.

#### **Website Address:**

<http://www.foreignlaborcert.doleta.gov/>.

#### **RELATED PROGRAMS:**

17.272 Permanent Labor Certification for Foreign Workers

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **17.274 YOUTHBUILD**

YouthBuild

#### **FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

#### **AUTHORIZATION:**

Workforce Investment Act (WIA) of 1998, Title I, Subtitle D, Section 173A, YouthBuild Program, Public Law 109-28. Public Law 105-220, 20 U.S.C. 9201. , Section 2, Public Law 111-5, 115 Stat. 59, VIII U.S.C 2.

#### **OBJECTIVES:**

Grant funds will be used to provide disadvantaged youth with: the education and employment skills necessary to achieve economic self sufficiency in occupations in high demand and post secondary education and training opportunities; opportunities for meaningful work and service to their communities; and opportunities to develop employment and leadership skills and a commitment to community development among youth in low-income communities. As part of their programming, YouthBuild grantees will tap the energies and talents of disadvantaged youth to increase the supply of permanent affordable housing for homeless individuals and low-income families and to assist youth develop the leadership, learning, and high-demand occupational skills needed to succeed in today's global economy.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The funds must be used for: (1) Education and workforce activities, such as: basic skills instruction and remedial education; language instruction

educational programs for individuals with limited English proficiency; secondary education services and activities, including tutoring, study skills training, and dropout prevention activities, designed to lead to the attainment of a secondary school diploma, General Education Development (GED) credential, or other state-recognized equivalent (including recognized alternative standards for individuals with disabilities); counseling and assistance in obtaining post secondary education and required financial aid; alternative secondary school services; work experience and skills training (coordinated, to the maximum extent feasible, with pre-apprenticeship and registered apprenticeship programs) in housing rehabilitation and construction activities; occupational skills training; and other paid and unpaid work experiences, including internships and job shadowing. (2) Counseling services and related activities, such as comprehensive guidance and counseling on drug and alcohol abuse and referral; (3) Youth development activities, such as: community service and peer-centered activities encouraging responsibility and other positive social behaviors, and activities related to youth policy committees that allow YouthBuild participants to engage in local policy and decision-making related to the program. (4) Supportive services and provision of need-based stipends necessary to enable individuals to participate in the program. (5) Supportive services to assist individuals, for a period not to exceed 12 months after the completion of training, in obtaining or retaining employment, or applying for and transitioning to post secondary education; and job search and assistance. (6) Supervision and training for participants in the rehabilitation or construction of housing, including residential housing for homeless individuals or low-income families, or transitional housing for homeless individuals. (7) Supervision and training for participants in the rehabilitation or construction of community and other public facilities. (8) Payment of a portion of the administrative costs of the grantee. (9) Mentoring of participants by qualified adults (10) Provision of wages, stipends, or benefits to participants in the program. (11) Ongoing training and technical assistance for staff that are related to developing and carrying out the program. (12) Follow-up services. (13) Equipment and/or supplies related to the YouthBuild activities funded through this grant. Funds must be used to provide prescribed education and workforce activities for eligible youth, including construction of housing, including residential housing for homeless individuals or low income families, or transitional housing for homeless individuals. Up to ten percent of the funds may be used in the rehabilitation or construction of a community or other public facilities. One hundred percent of funds are distributed through a competitive grant process.

#### **Applicant Eligibility:**

Eligible applicants for these grants are public or private nonprofit agency or organization (including a consortium of such agencies or organizations), including: community-based organizations; faith-based organizations; an entity carrying out activities under this WIA, such as a local workforce investment board or One-Stop Career Center; a community action agency; a state or local housing development agency; an Indian tribe or other agency primarily serving Indians; a community development corporation; a state or local youth service conservation corps; or any other relevant public or private nonprofit entity that provides education or employment training and can meet the required elements of the grant.

#### **Beneficiary Eligibility:**

An eligible youth is an individual who is (1) between the ages of 16 and 24 on the date of enrollment; and (2) a member of a disadvantaged youth population such as a member of a low-income family, a youth in foster care (including youth aging out of foster care), a youth offender, a youth who is an individual with a disability, a child of an incarcerated parent, or a migrant youth; and (3) an individual who has dropped out of high school and re-enrolled in an alternative school, if that re-enrollment is part of a sequential service strategy. Up to (but not more than) 25 percent of the participants in the program may be youth who do not meet the education and disadvantaged criteria above but who are: (1) basic skills deficient, despite attainment of a secondary school diploma, General Education Development (GED) credential, or other State-recognized equivalent (including recognized alternative standards for individuals with disabilities); or (2) have been referred by a local secondary school for participation in a YouthBuild program leading to the attainment of a secondary school diploma.

#### **Credentials/Documentation:**

Grantees must demonstrate adequate organizational capacity to implement a YouthBuild program. Additionally, grantees must provide evidence of the capacity to track and report performance outcomes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for Federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.dol.gov](http://www.dol.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last 2 to 3 years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A quarterly narrative report must be submitted within 45 days following the quarter. Cash reports are not applicable. The quarterly performance report must be submitted within 45 days following the quarter. A quarterly financial report is submitted within 45 days following the quarter. Regional Federal Project Offices conduct monitoring using risk assessments, desk audits, and on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment, unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 11 \$116,000,000; FY 12 est \$80,000,000; and FY 13 est \$71,000,000

**Range and Average of Financial Assistance:**

Grants ranged from \$ 700,000 to \$1.1 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Once finalized, performance budgets are posted annually and are available on the Internet at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget). Fiscal Year 2013: Once finalized, performance budgets are posted annually and are available on the Internet at: [www.dol.gov/dol/aboutdol/main.htm#budget](http://www.dol.gov/dol/aboutdol/main.htm#budget).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Application.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Sanzanna C. Toles 200 Constitution Avenue, NW, Room N-4508, Washington, District of Columbia 20210 Email: [toles.sanzanna@dol.gov](mailto:toles.sanzanna@dol.gov) Phone: (202) 693-3604 Fax: (202) 693-3110

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Application.

**17.275 PROGRAM OF COMPETITIVE GRANTS FOR WORKER TRAINING AND PLACEMENT IN HIGH GROWTH AND EMERGING INDUSTRY SECTORS**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Title VIII, Public Law 111-5.

**OBJECTIVES:**

The American Recovery and Reinvestment Act of 2009 (ARRA) is intended to preserve and create jobs and promote economic recovery; assist those most impacted by the recession; provide investments needed to increase economic efficiency by spurring technological advances in science and health; and invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits.

The ARRA makes \$750,000,000 available for a program of competitive grants for worker training and placement in high growth and emerging industry sectors.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Competitive grants awarded through this program are to be used for worker training and placement in high-growth and emerging industry sectors: \$500 million shall be for research, labor exchange and job training projects that prepare workers for careers in energy efficiency and renewable energy; and the Recovery Act further provided that in awarding grants for the remaining \$250 million, projects that prepare workers for careers in the health care sector would receive priority. Restrictions are specified in Solicitation for Grant Announcements. A very small portion of the funds will be used to provide technical assistance and performance reporting support to the grantees.

**Applicant Eligibility:**

Varies - please refer to the Solicitations for Grant Awards for specific eligibility.

**Beneficiary Eligibility:**

Varies - please refer to the Solicitations for Grant Awards for specific eligibility.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Application (SGAs) in the Federal Register, on Grants.gov, and also on ETA's Internet Web site at [www.doleta.gov](http://www.doleta.gov).

**Award Procedure:**

Procedures for each grant award are specified in the applicable request for grant applicants. Generally, the procedure is as follows: A technical review panel composed of Department of Labor staff as well as other peer reviewers evaluates the grant applications from eligible applicants. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a grant recipient.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Please check the Federal Register or Grants.gov for deadlines.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Applications.

**Renewals:**

Renewals of funds are generally not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Cost sharing or matching funds are not required as a condition for application unless specified in the SGA.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of performance will be from one to three years, as specified in the SGA. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. At a minimum, quarterly progress and financial reports and final reports are required. Additional requirements are included in the solicitation. Regional Federal Project Officers conduct performance monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0184-0-1-504 - ARRA.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Applicants should refer to individual SGAs to determine the range of awards.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specified in applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Thomas Hooper, Business Relations Group, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Ave., NW., Room N-4643, Washington, District of Columbia 20210 Email: [hooper.thomas@dol.gov](mailto:hooper.thomas@dol.gov) Phone: (202) 693-3949. Fax: (202) 693-3865.

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Applications.

**17.276 HEALTH CARE TAX CREDIT (HCTC) NATIONAL EMERGENCY GRANTS (NEGS)****FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5), Trade Act of 1974 (Public Law 93-618), as amended; Trade Adjustment Assistance (TAA) Reform Act of 2002 (Public Law 107-210), as reauthorized by the TAA

Extension Act of 2011; Workforce Investment Act Section 173(g)(29 U.S.C. 2918), Public Law 111-5.

**OBJECTIVES:**

To provide health insurance coverage assistance and support related services to individuals eligible for Trade Adjustment Assistance (TAA), alternative TAA, or a PBGC pension, as authorized under the Trade Adjustment Assistance Reform Act of 2002, and reauthorized under the TAA Extension Act of 2011.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

There are two types of HCTC NEGs: infrastructure and Gapfiller. Infrastructure NEG funds can be used to help states establish the systems and procedures needed to make healthcare benefits available for eligible individuals. Gapfiller NEGs can be used to provide assistance and support services, including qualifying health insurance coverage, transportation, child care, dependent care and income assistance, to eligible individuals waiting to receive payments through the HCTC. The HCTC is equal to 72.5 percent of the amount paid by an eligible individual for qualified health coverage. Monthly payments are made directly to a health plan administrator on behalf of participants, allowing them to receive the benefit of the tax credit at the time of need. States may request HCTC NEG funds to cover up to three months of gap payments to support 72.5 percent of the qualified premium for eligible individuals. The gap period is defined as the period after the state determines a candidate's eligibility for HCTC until the IRS enrolls, processes, and pays a candidate's first payment under the HCTC program. This period is usually one month, but depending on the timing and other factors can take up to three months, and sometimes slightly longer in rare instances. NEG funding for gap periods is predicated on the fact that the individual remains eligible for the HCTC for all gap months. All of these funds are awarded to States that apply.

**Applicant Eligibility:**

Not Applicable.

**Beneficiary Eligibility:**

Not Applicable.

**Credentials/Documentation:**

TAA certification. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HCTC applications are submitted electronically through the National Emergency Grant Electronic Application System. States are required to complete and submit the following forms:

Completed and signed SF 424 Application for Federal Assistance. This form is the required application for requesting federal funds.

Project Synopsis (ETA 9106) - This form summarizes key aspects of the proposed project such as project type, planned number of participants and contact information.

Planning Form (ETA 9103) This form provides cumulative quarterly estimates on project scope (e.g. number of participants, exits), designs (e.g. mix of services), and budget (e.g., cost by type of activity, administrative costs)

Narrative Statement Explanation must be provided in cases where one or more of the following are reflected in the project plan:

Indirect costs are included in the budget, which requires identifying the following: cognizant approval agency, approved cost rate and base, and date of approval.

Other costs are included in the budget, which requires identifying the specific cost items and amounts

Administrative costs related to processing payments for qualified health insurance coverage and/or income support are included in the budget, which requires explaining how the administrative cost estimate was derived (i.e. based on the number of check payments and check processing costs)

TAA Certification Report - The applicant must include, as an attachment to its grant submission, information which identifies the trade certification number(s) for the workers included in the target group for the project. In cases where a petition has been filed but the certification is pending, identify the trade petition number and the date the petition was filed.

**Award Procedure:**

The Grant Officer issues a Notice of Obligation to the grantee providing the dollar amount, purpose of the funds and the terms and conditions of the grant, based on the information provided in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. A decision on an initial application and monetary grant modifications such as requests for incremental funding, are made within 30 working days from receipt of a complete and responsive request.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

HCTC grants are awarded on a rolling basis. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Quarterly Performance Reports (ETA 9104) are required. This report is submitted through the NEG Electronic Application System on actual performance to date. A separate quarterly financial report (ETA 9130) is also required. Performance monitoring occurs on a quarterly basis. HCTC NEG Infrastructure reports outline the administrative costs of and the premium payments processed. HCTC gap filler reports outline the number of participants receiving payments and the amount of payments issued.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State requirements are to be in conformity with Federal statutes.

**Account Identification:**

16-0184-0-1-504 - ARRA.

**Obligations:**

(Project Grants) FY 11 \$3,000,000; FY 12 est \$4,000,000; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

Grant amounts awarded PY2010/FY2011 ranged from \$280,000 to \$3,600,000. The average was \$451,179.

Grant amount awarded PY2011/FY2012 was \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training and Employment Guidance Letter (TEGL) 10-11, which advises "State Workforce Agencies or agencies designated by Governors as "Cooperative State Agencies" (CSAs) (also jointly referred to as "states") implement the provisions of the TAAEA enacted on October 21, 2011."

Training and Employment Guidance Letter (TEGL) 25-09, which "provides guidance and direction regarding the availability of Health Coverage Tax Credit (HCTC) National Emergency Grant (NEG) resources for health insurance coverage assistance and support services for eligible Trade Adjustment Assistance (TAA) recipients and other eligible individuals, as authorized under the Workforce Investment Act of 1998.

Unemployment Insurance Program Letter (UIPL) 12-11, which advises "State Workforce Agencies of their responsibilities under the HCTC program after the expiration of the provisions of the American Recovery and Reinvestment Act of 2009 (Recovery Act) that temporarily expanded the HCTC."

**Regional or Local Office:**

See Regional Agency Offices. Employment and Training Administration regional offices.

**Headquarters Office:**

Erica R. Cantor, Francis Perkins Building, Room C-5321, Washington, District of Columbia 20210 Email: cantor.eric@dol.gov Phone: (202) 693-3500 Fax: (202) 693-3149.

**Website Address:**

<http://www.doleta.gov/neg/>

**RELATED PROGRAMS:**

17.245 Trade Adjustment Assistance; 17.260 WIA Dislocated Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.277 WORKFORCE INVESTMENT ACT (WIA) NATIONAL EMERGENCY GRANTS**

National Emergency Grants (NEGs)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Subtitle B, Chapter 5, Title I, Public Law 105-220, 20 U.S.C 9201.

**OBJECTIVES:**

The purpose of the National Emergency Grant program is to temporarily expand service capacity at the state and local levels by providing time-limited funding assistance in response to significant dislocation events. Significant events are those that create a sudden need for assistance that cannot reasonably be expected to be accommodated within the on-going operations of the formula-funded Dislocated Worker program, including the discretionary resources reserved at the state level.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Eligible circumstances for funding include: Federal Emergency Management Agency (FEMA)-declared disasters; plant closures and mass layoffs affecting 50 or more workers; and special assistance, including health insurance coverage assistance to trade impacted workers and other individuals eligible under the Trade Act as amended by the Trade Adjustment Assistance (TAA) Reform Act of 2002, and reauthorized by the TAA Extension Act of 2011.

**Applicant Eligibility:**

Entities that are generally eligible to receive a National Emergency Grant include: designated state Workforce Investment Act (WIA) program grantee agencies; a Local Workforce Investment Area; a consortium of local boards for adjoining local areas; a designated organization receiving WIA funding through the Native American Program provisions of WIA; and a consortium of states.

Funds can be used to provide employment and training services (including some supportive services) to eligible participants.

**Beneficiary Eligibility:**

Individuals who are eligible for assistance vary by type of National Emergency Grant project; however, they must meet the criteria provided in the Workforce Investment Act: National Emergency Grants - Application Procedures, 69 Federal Register (April 27, 2004).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications for NEGs are submitted via the NEG Electronic Application System.

**Award Procedure:**

The Grant Officer issues a Notice of Obligation to the grantee providing the dollar amount, purpose of the funds, and the terms and conditions of the grant based on the information provided in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. A decision on an initial application and monetary grant modifications such as requests for incremental funding, are made within 30 working days from receipt of a complete and responsive request.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law PL 105-220.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applications for NEG funds can be funded in whole or in part. Generally, NEGs are funded incrementally. Awarded NEG funds may be expended during the months remaining in the Program Year in which the grant award is made plus the subsequent two program years. Generally, planned project durations should not exceed 24 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. No cash reports are required. Workforce Investment Act Performance Reports are submitted quarterly. Financial reports are submitted quarterly. Performance monitoring occurs on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that



year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 11 \$201,000,000; FY 12 est \$191,000,000; and FY 13 est \$176,000,000 - Prior to July 2010 NEG grants were issued under CFDA # 17.260. Beginning in PY 2010 (July 1, 2010 to June 30, 2011) NEG grants or older grant increments began going out under 17.277.

**Range and Average of Financial Assistance:**

Grant amounts awarded PY2010/FY 2011 ranged from \$8,949 - \$18,030,129. The average is \$2,203,537.

Grant amounts awarded PY2011/FY2012 ranged from \$41,347 - \$16,532,485. The average is \$2,305,326.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: See DOL Budget located at <http://www.dol.gov/dol/aboutdol/main.htm#budget>. Fiscal Year 2013: See DOL Budget located at <http://www.dol.gov/dol/aboutdol/main.htm#budget>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000. Workforce Investment Act: National Emergency Grants - Application Procedures 69 Fed. Reg. 23051 (April 27, 2004)

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in the appendix of the Catalog.

**Headquarters Office:**

Erica R. Cantor, 200 Constitution Ave. NW, Room C-5321, Washington, District of Columbia 20210 Email: [cantor.eric@dol.gov](mailto:cantor.eric@dol.gov) Phone: (202) 693-3500 Fax: (202) 693-3149.

**Website Address:**

<http://www.doleta.gov/neg>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.259 WIA Youth Activities; 17.260 WIA Dislocated Workers; 17.276 Health Coverage Tax Credit (HCTC)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.278 WIA DISLOCATED WORKER FORMULA GRANTS**

(WIA Dislocated Workers)

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title I, Part Subtitle B, Section Chapter 5, Public Law 105-220, 20 U.S.C 9201.

**OBJECTIVES:**

The purpose of the WIA Dislocated Worker program is to help dislocated workers become reemployed through job search assistance and/or training that builds their occupational skills to meet labor market needs. This program's success is measured by participants' entry into unsubsidized employment, retention in unsubsidized employment, and average earnings.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The Act authorizes three levels of service for dislocated workers. "Core" services include outreach, job search and placement assistance, and labor market information. "Intensive" services include more comprehensive assessments, development of individual employment plans and counseling, and career planning. Customers who cannot find employment with their current skills may receive "training" services linked to job opportunities in their communities, including both occupational training and training in basic skills. To promote customer choice and involvement in career decisions, participants use an "Individual Training Account" (ITA) to select an appropriate training program from an eligible training provider. The Act also authorizes the provision of supportive services (e.g., transportation and child care assistance) to enable an individual to participate in the program. Funds reserved by the Secretary are also used for technical assistance and training and demonstration programs.

Beginning in Program Year (PY) 2010 CFDA number 17.260 will no longer be used for any new funding. Funding previously covered under 17.260 which is allocated after June 30, 2010 will be referenced using several new CFDA numbers: 17.277 for National Emergency Grants (NEGs), 17.278 for WIA Dislocated Worker Formula Grants, 17.280 WIA Dislocated Worker National Reserve Demonstration Grants, and 17.281 WIA Dislocated Worker National Reserve Technical Assistance and Training Grants. All subsequent information listed here under 17.278 refers to WIA Dislocated Worker Formula Grants. Funds must be used in accordance with the statute and regulations.

**Applicant Eligibility:**

Under the Act, the organizations eligible to receive formula-based funding from the Department are the 50 states, Puerto Rico, the District of Columbia and the outlying areas. Funds are allotted based on a statutory formula and states, in turn, allocate funds to local workforce investment boards (approximately 600), by formula prescribed by the governor.

**Beneficiary Eligibility:**

Individuals eligible for assistance through the Act include workers who have lost their jobs, including those dislocated as a result of plant closings or mass layoffs, and are unlikely to return to their previous industry or occupation; formerly self-employed individuals; and displaced homemakers who depend on income of another family member, but are no longer supported by that income. Priority of Service is given to veterans and other covered persons.

**Credentials/Documentation:**

Formula-funded programs are subject to an agreement between the Governor and Secretary and an approved State Plan. States sign a grant document agreeing to comply with the Act and regulations for the formula-allotted program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The governor submits a single Strategic State Plan in accordance with one of the Planning Guidance, either Stand-Alone or Unified, issued through the Federal Register. The planning guidance provides detailed instruction on what must be included in the State Plan. The Unified Planning Guidance provides a framework for collaboration across programs and integration of services beyond WIA Title I programs and Wagner-Peyser Activities, including non-DOL programs and other DOL programs. The plan is submitted to the Federal Coordinator for Plan Review and Approval, Office of Workforce Investment, Employment and Training Administration, Department of Labor, 200 Constitution Avenue, NW, Room S-4231, Washington, DC 20210.

**Award Procedure:**

Those portions of the State Plan over which the Assistant Secretary for Employment and Training exercises authority are reviewed and approved by the Employment and Training Administration. Formula funds are awarded to the

states based on a statutory formula provided in the authorizing legislation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. State plans will be reviewed in accordance with 20 CFR 661.220(e), which provides that the Secretary must approve all state plans within 90 days of their submission, unless the Secretary determines in writing that: (1) the state plan is inconsistent with the provisions of Title I of WIA or the WIA regulations, including 29 CFR Part 37; or (2) the portion of the state plan impacting the Wagner-Peyser Act plan does not satisfy the criteria for approval in section 8(d) of the Wagner-Peyser Act or the Wagner-Peyser Act regulations at 20 CFR Part 652.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Workforce Investment Act of 1998, Public Law 105-220.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Formula funds are annually allotted to states and local workforce investment areas under statutory formulas based on the distribution of unemployed individuals. States and local areas have three years to obligate the funds before they expire. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Performance reporting requires:

1. WIA Annual Report
2. WIA Annual Report narrative
3. required to submit WIASRD file for both participants and exiters on quarterly basis in addition to the annual reporting.
4. Quarterly Financial Reports

Note: Monitoring is conducted by Regional Federal Project Officers based on a risk assessment. No cash reports are required. No progress reports are required. Quarterly financial reports are required in accordance with 20 CFR 667.300. Regional Federal Project Officers conduct monitoring using risk assessments, desk reviews, and on-site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

States are required to maintain adequate records in accordance with 29 CFR 95 and 97.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Formula Grants) FY 11 \$1,055,000,000; FY 12 est \$1,019,000,000; and FY 13 est \$1,010,000,000 - Prior to July 2010, Dislocated Worker Formula Grants to States went out under CFDA # 17.260. This includes all state allotments from PY 2009 and earlier. Starting in PY 2010 (July 1, 2010 to 30 June 2011) Dislocated Worker state allotments went out under CFDA number 17.278.

**Range and Average of Financial Assistance:**

WIA formula grants vary annually and are published in the Federal Register.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Performance results are posted at: <http://www.doleta.gov/performance/results/reports.cfm>. Fiscal Year 2012: Once finalized, performance budgets are posted annually on the Internet and are available at:

<http://www.dol.gov/dol/aboutdol/main.htm#budget>. Fiscal Year 2013: Once finalized, performance budgets are posted annually on the Internet and are available at:

<http://www.dol.gov/dol/aboutdol/main.htm#budget>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

20 CFR 652 et al., Federal Register of August 2000.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate Regional Employment and Training Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Grace Kilbane, 200 Constitution Ave NW  
Room C-4526, Washington, District of Columbia 20210 Email:  
NO-OWI.Official@dol.gov Phone: (202) 693-3980 Fax: (202) 693-3981.

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.245 Trade Adjustment Assistance; 17.258 WIA Adult Program; 17.260 WIA Dislocated Workers; 17.277 Workforce Investment Act (WIA) National Emergency Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.279 GREEN JOBS INNOVATION FUND GRANTS**

Green Jobs Innovation Fund Grants

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Title 1, Section 171, Public Law 105-220, 1 U.S.C 171.

**OBJECTIVES:**

The Green Jobs Innovation Fund is part of the Departments vision for ensuring that workers have the necessary skills, knowledge, and abilities to succeed in a knowledge-based economy that includes high growth and emerging green industries. Green industries include the energy efficiency and renewable energy industries as well as sectors that impact our environment such as transportation, green construction, environmental protection, sustainable agriculture, forestry, and recycling and waste reduction. The Green Jobs Innovation Fund will allow ETA to build upon the lessons learned from the green job investments provided under the American Recovery and Reinvestment Act. Through a competitive grant opportunity, the Department is emphasizing critical steps along green career pathways by: 1) forging linkages between Registered Apprenticeship and pre-apprenticeship programs, and/or 2) integrating the delivery of technical and basic skills training through community-based partnerships. The Fund will help workers receive job training in green industry sectors and occupations and access green career pathways.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The funds must be used to train workers for careers in green industry sectors and occupations and help them access green career pathways. Specific rules and requirements are published in each Solicitation for Grant Application. Approximately one hundred percent of available funds are used for discretionary activities. Grant opportunities are published in the Federal Register. See Applicant Eligibility Requirements in the Solicitation for Grant Application (SGA). A small portion of the funds will be used to provide technical assistance to Green Job Innovation Fund grantees to support

successful performance.

**Applicant Eligibility:**

See above.

**Beneficiary Eligibility:**

The scope of potential trainees is very broad. Specific requirements are published in each Solicitation for Grant Application (SGA). WIA Section 171 authorizes demonstration programs to serve unemployed workers, dislocated workers, and incumbent workers. Within these categories, grantees may serve a wide range of individuals, such as individuals receiving public assistance, high school dropouts, new entrants to the workforce, individuals with disabilities, veterans, Indians and Native Americans, and individuals with Limited English Proficiency. Eligible participants must be at least 16 years of age. If participants are 16-18 years of age, then they must be high school dropouts or out of school youth.

**Credentials/Documentation:**

Grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically, including a project management structure. Additionally, grantees must provide evidence of the use of data systems to track outcomes in a timely and accurate manner. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals. Generally, the procedure is as follows: A technical review panel composed of federal staff and peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of each application and the cumulative rating. Selections are made based on the best rated proposals, as well as other factors as cited in the SGA. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. ETA announces grant recipients once the paneling process is complete, generally 90 to 120 days after the application deadline.

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Application (SGA).

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last 2 to 3 years. Payments to grantees are usually made by Letter

of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required within 45 days following the end of the quarter. Quarterly financial reports are required within 45 days following the end of the quarter. Final progress reports are required no later than 90 days after all grant funds have been expended, or the period of grant funds availability has expired. Regional Federal Project Officers conduct monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$40,000,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Grants typically range from \$5-8 million per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Application (SGA).

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jennifer W. Troke, Department of Labor, 200 Constitution Ave. NW, N-4643, Washington, District of Columbia 20210 Email: [green.jobs@dol.gov](mailto:green.jobs@dol.gov) Phone: (202) 693-3949 Fax: (202) 693-3890

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Application.

**17.280 WORKFORCE INVESTMENT ACT (WIA) DISLOCATED WORKER NATIONAL RESERVE DEMONSTRATION GRANTS  
FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act, Title 1, Part D, Section 171(d), Public Law 105-220, 29 U.S.C 2916.

**OBJECTIVES:**

To carry out demonstration and pilot projects for the purpose of developing and implementing techniques and approaches, and demonstrating the effectiveness of specialized methods, in addressing employment and training needs of Dislocated Workers.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To carry out demonstration and pilot projects for the purpose of developing and implementing techniques and approaches, and demonstrating the effectiveness of specialized methods, in addressing employment and training needs of Dislocated Workers. Grants awarded for carrying out demonstration and pilot projects under this subsection shall generally be awarded on a competitive basis to non-state entities. Awards to states are provided on a non-competitive basis.

**Applicant Eligibility:**

Eligible applicants include: State and local governments, Federal agencies, private non-profit and for profit organizations, including faith-based and community-based organizations, and educational institutions. Note: Applicant eligibility may be restricted to one or more applicant classes under the particular announcement or solicitation.

**Beneficiary Eligibility:**

Project participants are dislocated workers and incumbent workers.

**Credentials/Documentation:**

Non-governmental entities ordinarily must furnish documentary evidence of adequate financial controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grants for projects are awarded on a competitive basis, announced in Solicitations for Grant Applications (SGA) in the Federal Register and also on ETA's Internet website <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable SGA. Generally, the procedure is as follows: A technical review panel composed of staff from ETA program offices as well as peer reviewers evaluate eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of the application and the cumulative rating. Once selections are made by the Grant Officer, an award notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA Web site at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Procedures for each project are specified in the applicable SGA.

**Renewals:**

Project extensions available upon approval by the Grant Officer (renewals are not automatic). Requests for extensions or renewals must be submitted in writing.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last 1 to 2 years. See the following for information on how assistance is awarded/released: Reports are required for accountability purposes.

**Reports:**

Program reports are not applicable. Cash reports are required for accountability purposes. Quarterly progress reports on all grants awarded are a mandatory requirement of all solicitations. Monthly progress reports are required for contracts/task orders. Expenditure reports are not applicable. Performance monitoring is done by the Contracting Officer's or Grant Officer's Technical Representative in accordance with Federal Acquisition or Department of Labor Management Series Guidelines.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorized earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 11 \$8,000,000; FY 12 est \$7,000,000; and FY 13 est \$11,000,000 - A maximum of ten percent of the WIA Dislocated Worker National Reserve may be used for Demonstration and Pilot projects.

**Range and Average of Financial Assistance:**

The total grant award for PY2011/FY2012 was \$8,889,267.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notices of SGAs are published periodically in the Federal Register on the ETA website at [www.doleta.gov](http://www.doleta.gov)

**Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Employment and Training Administration Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Erica R. Cantor 200 Constitution Avenue, NW, Room C5321, Washington, District of Columbia 20210 Email: [cantor.eric@dol.gov](mailto:cantor.eric@dol.gov) Phone: (202) 693-3500 Fax: (202) 693-3149

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable SGA.

**17.281 WORKFORCE INVESTMENT ACT (WIA) DISLOCATED WORKER NATIONAL RESERVE TECHNICAL ASSISTANCE AND TRAINING**

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act , Title 1, Part D, Section 170, Public Law 105-220, 29 U.S.C 2915.

**OBJECTIVES:**

To support the coordination, development, and provision of appropriate training, technical assistance, staff development, and other activities, including assistance in replicating programs of demonstrated effectiveness to States, local areas, and other entities involved in providing assistance to dislocated workers, as well as promoting the continuous improvement of assistance provided to dislocated workers under the Workforce Investment Act of 1998.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants awarded to entities other than States or local units of government that are for amounts in excess of \$100,000 shall only be awarded on a competitive basis.

Of the amounts available pursuant to WIA Section 132(a)(2), the National Reserve Account, the Secretary shall reserve not more than 5 percent of such amounts to provide technical assistance to States, local areas, and other entities involved in providing reemployment services to dislocated workers to promote the continuous improvement of assistance provided to dislocated workers under this title.

**Applicant Eligibility:**

Eligible applicants include: State and local governments, Federal agencies, private non-profit and for profit organizations, including faith-based and community-based organizations, and educational institutions. Note: Applicant eligibility may be restricted to one or more applicant classes under the particular announcement or solicitation.

**Beneficiary Eligibility:**

Funds are used to promote the continuous improvement of assistance provided to dislocated workers.

**Credentials/Documentation:**

Non-Governmental entities ordinarily must furnish documentary evidence of adequate financial controls. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants submit application to US Department of Labor, Employment and Training Administration.

**Award Procedure:**

The Grant Officer issues a Notice of Obligation to the grantee providing the dollar amount, purpose of the funds and the terms and conditions of the grant, based on information provided in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required for accountability purposes. Cash reports are required for accountability purposes. Quarterly progress reports on all grants are a mandatory requirement of all solicitations. Expenditure reports are not applicable. Performance monitoring is done by the Contracting Officer's or Grant Officer's Technical Representative in accordance with Federal Acquisition or Department of Labor Management Series Guidelines.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorized earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 11 \$8,000,000; FY 12 est \$5,000,000; and FY 13 est \$7,000,000 - Grants and cooperative agreements. Contracts are excluded.

**Range and Average of Financial Assistance:**

The total grant awards/cooperative agreements for PY2011/FY2012 totaled \$5,010,250.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Erica R. Cantor 200 Constitution Avenue, NW, Room C5321, Washington, District of Columbia 20210 Email: cantor.eric@dol.gov Phone: (202) 693-3500. Fax: (202) 693-3149

**Website Address:**

<http://www.doleta.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.282 TRADE ADJUSTMENT ASSISTANCE COMMUNITY COLLEGE AND CAREER TRAINING (TAACCCT) GRANTS**

Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Trade Act of 1974 as amended by the American Recovery and Reinvestment Act of 2009, Public Law 111-5, 19 U.S.C 2372a(b); Health Care and Education Reconciliation Act of 2010, Public Law 111-152.

**OBJECTIVES:**

The Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants Program provides community colleges and other eligible institutions of higher education with funds to expand and improve their ability to deliver education and career training programs that can be completed in two years or less, are suited for workers who are eligible for training under the Trade Adjustment Assistance for Workers program, and prepare program participants for employment in high-wage, high-skill occupations. The targeted population of this program is workers who have lost their jobs or are threatened with job loss as a result of foreign trade. The Department intends to fund multi-year grants to eligible institutions for either developing innovative programs or replicating evidence-based strategies. As a result of these Solicitation for Grant Applications (SGAs), the Department is helping to ensure that our nations institutions of higher education are able to help the targeted population succeed in acquiring the skills, degrees, and credentials needed for high-wage, high-skill employment while also meeting the needs of employers for skilled workers.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The Health Care and Education Reconciliation Act includes \$2 billion over four years for the Trade Adjustment Assistance Community College and Career Training grant program. The grants awarded under this Solicitation will help eligible institutions expand and improve their ability to deliver education and career training programs that can be completed in two years or less, and are suited for workers who are eligible for training under the TAA for Workers program. The Department of Labor is implementing this program in partnership with the Department of Education. Specific rules and requirements are published in the Solicitation for Grant Application. Approximately one hundred percent of available funds are used for discretionary activities. Grant opportunities are published in the Federal Register. Eligible institutions are institutions of higher education as defined in Section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002) which offer programs that can be completed in not more than 2 years. Please refer to the Solicitation for Grant Application for specific eligibility.

**Applicant Eligibility:**

See Uses Section Above.

**Beneficiary Eligibility:**

See Information Above.

**Credentials/Documentation:**

Grantees must demonstrate an educational capacity need in their community and the impact that the new capacity will have on training workers in that community. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Section 278 of the Trade Act of 1974 as amended by the American Recovery and Reinvestment Act of 2009 requires community outreach to employers and other entities such as the workforce system, including Trade Adjustment Assistance (TAA) programs, to identify shortcomings in existing educational and career training opportunities available to workers in the community and any future employment opportunities within the community. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circulars No. A-21, A-110, A-122, A-133 apply to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, organizations develop a proposal and budget that demonstrate how the organization will provide services to a targeted population. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures for each project are specified in the applicable request for proposals.

Generally, the procedure is as follows: A technical review panel composed of federal staff and peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of each application and the cumulative rating. Selections are made based on the best rated proposals, as well as other factors as cited in the SGA. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. ETA announces grant recipients once the paneling process is complete (see above).

**Appeals:**

Procedures for each project are specified in the applicable Solicitation for Grant Application.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Most projects last anywhere from 3 to 4 years. Payments to grantees are usually made by Letter of Credit draw-down procedures. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required within 45 days following the end of the quarter. Quarterly financial reports are required within 45 days following the end of the quarter. Annual performance reports are required within 45 days following the end of each project year. Final progress reports are required no later than 90 days after all grant funds have been expended, or the period of grant funds availability has expired. Regional Federal Project Officers conduct monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0187-0-1-504.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$500,000,000; FY 12 est \$500,000,000; and FY 13 est \$500,000,000

**Range and Average of Financial Assistance:**

We expect grant awards to be no lower than \$2.5 million per award. Please see Solicitation for Grant Application for details.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Provided in the applicable Solicitation for Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Contact the nearest Employment and Training Administration regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jennifer W. Troke Department of Labor, 200 Constitution Ave. NW, C-4526, Washington, District of Columbia 20210 Email: taaccct@dol.gov Phone: (202) 693-3949 Fax: (202) 693-3890

**Website Address:**

<http://www.doleta.gov/taaccct/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for each proposal are specified in the applicable Solicitation for Grant Application.

**17.283 WORKFORCE INNOVATION FUND**

Workforce Innovation Fund

**FEDERAL AGENCY:**

Employment Training Administration, Department of Labor

**AUTHORIZATION:**

Full Year Continuing Appropriations Act, 2011, Title VIII, Section 1801, Public Law 112-10.

**OBJECTIVES:**

The Workforce Innovation Fund will fund projects that demonstrate innovative strategies or replicate effective evidence-based strategies that align and strengthen the workforce investment system in order to improve program delivery and education and employment outcomes for program beneficiaries.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds can be used for a broad range of activities. Please see the grant solicitation for specific allowable activities. Restrictions are established by law and through the grant solicitation. All of the Workforce Innovation Fund grants are discretionary. They will be awarded through a competitive process.

**Applicant Eligibility:**

Eligible institutions are: (i) State Workforce Agencies; (ii) Local Workforce Investment Boards; (iii) entities eligible to apply for WIA Section 166 grants; (iv) consortia of State Workforce Agencies; (v) consortia of Local Workforce Investment Boards; and (vi) consortia of entities eligible to apply for WIA Section 166 grants.

**Beneficiary Eligibility:**

The scope of potential beneficiaries under these programs can be very broad. Please review the Solicitation for Grant Application for specific requirements.

**Credentials/Documentation:**

Generally grantees must demonstrate an adequate organizational capacity, both fiscally and programmatically, and strong proposed plans for implementing their project. Applicants should review the Solicitation for Grant Applications for specific requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circulars No. A-87, A-122, and A-133 apply to this program. Grants for projects are awarded on a competitive basis, announced in Solicitation for Grant Applications (SGAs) in the Federal Register and also on ETA's Internet Web site at <http://www.doleta.gov>. To compete for a grant, eligible applicants develop a proposal and budget. The SGA provides all of the necessary information for applying for federal assistance.

**Award Procedure:**

Procedures are specified in the Solicitation for Grant Applications. Generally, the procedure is as follows: A technical review panel composed of federal staff and peer reviewers evaluates eligible submitted applications. The panel prepares a report for the ETA Grant Officer identifying the strengths and weaknesses of each application and the cumulative rating. Selections are made based on the best rated proposals, as well as other factors as cited in the SGA. Once selections are made by the Grant Officer, an Award Notification is sent through the appropriate congressional channels for notification. After awardees are notified, the list of awardees is posted on the ETA website at [www.doleta.gov](http://www.doleta.gov). If an application is rejected, a letter is sent to the applicant as notification that they were not selected as a recipient of the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. ETA announces grant recipients once the paneling process is complete (see above).

**Appeals:**

Procedures are specified in the applicable Solicitation for Grant Application.

**Renewals:**

Renewals with funds are not available. However, with significant justification ETA may elect to exercise its option to award no-cost extensions to these grants for an additional period at its own discretion, based on the success of the program and other relevant factors.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most projects last approximately 3 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports are required within 45 days following the end of the quarter. Quarterly financial reports are required within 45 days following the end of the quarter. Annual performance reports are required within 45 days following the end of each project year. Final progress reports are required no later than 90 days after all grant funds have been expended, or the period of grant funds availability has expired. Regional Federal Project Officers conduct monitoring using risk assessments, desk monitoring, and on-site reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain books, records, documents, and other evidence of accounting procedures and practices sufficient to reflect properly all direct and indirect costs claimed to have been incurred for the performance of the grant. Records are to be retained for three years from the date of final payment unless the grant officer authorizes earlier disposal.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$152,000,000; and FY 13 est \$32,000,000 - P.L. 112-10 appropriated \$125 million for the Workforce Innovation Fund. About 95% of the appropriated amount will be awarded through competitive grants, and the remainder will be used by the Department of Labor to provide technical assistance and evaluate grantee projects.

**Range and Average of Financial Assistance:**

See SGA when published.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Gina King Wells 200 Constitution Ave, NW, S4209, Washington, District of Columbia 20210. Email: wells.gina@dol.gov Phone: 202-693-3763

**Website Address:**

[http://www.doleta.gov/workforce\\_innovation/](http://www.doleta.gov/workforce_innovation/)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See SGA.

**17.302 LONGSHORE AND HARBOR WORKERS' COMPENSATION****FEDERAL AGENCY:**

Office of Workers' Compensation Programs, Department of Labor

**AUTHORIZATION:**

Longshore and Harbor Workers' Compensation Act as extended, 43 U.S.C 1331; Longshore and Harbor Workers' Compensation Act as extended, Public Law 92-576, 5 U.S.C 8171.

**OBJECTIVES:**

To provide compensation for disability or death resulting from injury, including occupational disease, to eligible private employees.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

This program provides income replacement and supplement; schedule awards for the loss of sight or hearing, dismemberment, disfigurement etc., medical expenses (including hospital care); and funeral expenses up to \$3,000. Benefits are paid by private insurance carriers or self-insured employers.

**Applicant Eligibility:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of Nonappropriated Fund Instrumentalities, employees of private employers engaged in work outside the United States under contracts with the United States Government, and others as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Puerto Rico is not covered by the Longshore and Harbor Workers' Compensation Act.

**Beneficiary Eligibility:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and

adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of nonappropriated fund instrumentalities, employees of private employers engaged in work outside of the United States under contracts with the United States Government, and other as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Puerto Rico is not covered by the Longshore and Harbor Workers' Compensation Act.

**Credentials/Documentation:**

Longshore workers, harbor workers, and certain other employees engaged in maritime employment on the navigable waters of the United States and adjoining pier and dock areas, employees engaged in activities on the Outer Continental Shelf, employees of Nonappropriated Fund Instrumentalities, employees of private employers engaged in work outside the United States under contracts with the United States Government, and others as specified, including survivors of the above. Employees of private concerns in the District of Columbia and their survivors are eligible for benefits under an extension of the Act, applicable to injuries or deaths based upon employment events that occurred prior to July 26, 1982. Necessary documentation is developed when claim is filed by employee/employer or insurance carrier. The claimant may be required to submit to physical examination. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employee or his or her survivor files written claim for compensation (Form LS-203 or LS-262) to the local district office of the Office of Workers' Compensation Programs (OWCP). Employer may pay benefits voluntarily.

**Award Procedure:**

Authority to adjudicate claims informally under this program rests with the District Director in (OWCP) district offices. Claims unresolved on voluntary basis are referred to the Office of Administrative Law Judges for formal hearing under the Administrative Procedure Act. Claim must be filed within one year after (a) the injury or death (2 years if injury is an occupational disease which does not immediately result in death or disability), or (b) the last compensation payment. Time begins to run when prudent person should have been aware of relationship between injury or death and employment. For hearing loss claims, time does not begin to run until an audiogram together with a report showing a hearing loss, is given claimant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Insurance carrier or self-insured employer must pay compensation after 14 days of having knowledge of an injury causing disability or death, or controverted claim.

**Appeals:**

Application for modification of awards must be filed within 1 year after (a) the last compensation payment, or (b) rejection of a claim by an Administrative Law Judge or District Director Office of Workers' Compensation Programs. Appeal from Administrative Law Judge's decision must be filed within 30 days; Appeals from Benefits Review Board decision must be filed within 60 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**



Injury: The period of total or partial disability, with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined in the Act. Employers or their insurance carriers are required to begin compensation within 14 days of (a) knowledge of the injury or death or (b) injured employee's report of loss of wages. Payments are generally disbursed on a bi-weekly basis. See the following for information on how assistance is awarded/released: Payments are generally disbursed on a bi-weekly basis.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-1521-0-1-601.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$135,821,000; FY 12 est \$128,500,000; and FY 13 est \$128,000,000

**Range and Average of Financial Assistance:**

Disability - 66-2/3 percent of average weekly wage; death benefits 50 percent average wages of deceased to such widow or widower, plus 16-2/3 percent for one or more surviving children with 66-2/3 percent limit. Average benefit unknown. Weekly compensation payments limited to between 50-200 percent of national average weekly wage.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Longshore and Harbor Workers' Compensation Act, as extended. Copies may be obtained from the Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, 200 Constitution Ave. NW, Suite C-4315, Washington, DC 20210.

**Regional or Local Office:**

None. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Longshore and Harbor Worker's Compensation (DLHWC). Contact information is available at the following website:  
<http://www.dol.gov/owcp/dlhwc/lscntac.htm>.

**Headquarters Office:**

Miranda Chiu Office of Workers' Compensation Programs, Division of Longshore and Harbor Workers' Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: DLHWC-PUBLIC@dol.gov Phone: (202) 693-0038.

**Website Address:**

<http://www.dol.gov/esa/owcp/dlhwc>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.307 COAL MINE WORKERS' COMPENSATION**

(Black Lung)

**FEDERAL AGENCY:**

Office of Workers' Compensation Programs, Department of Labor

**AUTHORIZATION:**

Black Lung Benefits Act, as amended, 30 U.S.C 901 et seq.

**OBJECTIVES:**

To provide benefits to coal miners who have become totally disabled due to

coal workers' pneumoconiosis (CWP), and to widows and other surviving dependents of miners who have died of this disease.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

Monthly cash benefits are paid to coal miners disabled from coal workers' pneumoconiosis and to widows and other survivors of miners who have died of this disease. There are no restrictions on the use of these benefits by a beneficiary. Medical payments for treatment related to coal workers' pneumoconiosis are available to miners only after January 1, 1974.

**Applicant Eligibility:**

The miner (including some workers involved in coal transportation in and around mines and coal mine construction workers) must have worked in the Nation's coal mines or a coal preparation facility and become "totally disabled" (as defined in the Act) from pneumoconiosis. The applicant may be able to work in areas other than coal mines and still be eligible for benefits. Benefits to miner shall be reduced on account of excess earnings as determined under sections 203(b) through (1) of the Social Security Act for claims filed on or after January 1, 1982. Widows and other surviving dependents of coal miners whose death resulted from coal workers' pneumoconiosis are also eligible for benefits with earnings offsets applicable to certain classes of dependents. Applicants can reside anywhere in the world at the time they apply.

**Beneficiary Eligibility:**

Disabled coal miners, widows and other surviving dependents of the deceased.

**Credentials/Documentation:**

The miner (including some workers involved in coal transportation in and around mines and coal mine construction workers) must have worked in the Nation's coal mines or a coal preparation facility and become "totally disabled" (as defined in the Act) from pneumoconiosis. The applicant may be able to work in areas other than coal mines and still be eligible for benefits. Benefits to miner shall be reduced on account of excess earnings as determined under sections 203(b) through (1) of the Social Security Act for claims filed on or after January 1, 1982. Widows and other surviving dependents of coal miners whose death resulted from coal workers' pneumoconiosis or where the miner had been found to be qualified for Black Lung Benefits are also eligible for benefits with earnings offsets applicable to certain classes of dependents. Applicants can reside anywhere in the world at the time they apply. Medical tests, at Department of Labor expense, which include an x-ray, pulmonary function study, physical examination, and blood gas tests. Proof of work in or around a coal mine or coal preparation facility. Also proof of death, relationship and dependency required for widows and other survivors applying. Identification of a responsible mine operator is made as specified in regulations published in the Code of Federal Regulations (20 CFR 725). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants are required to state on the claim form whether a claim for disability benefits due to the same condition has been filed under any State or other Federal workers' compensation law. Benefits received as a result of such a claim could be offset against Federal benefits. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone, write-in, or visit the local Division of Coal Mine Workers' Compensation district or local office listed in Appendix IV of the Catalog.

**Award Procedure:**

After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 months to 8 months for proposed decisions and orders depending on

availability of supporting evidence. A miner must file a claim for benefits within 3 years after a medical determination of total disability due to pneumoconiosis or within 3 years after the date of enactment of Public Law 95-239, whichever comes later, (Black Lung Benefits Reform Act of 1977). There are no time limitations for dependent survivors to file claims.

**Appeals:**

Notify Office of Workers' Compensation Programs (OWCP). The appeal process includes de novo formal hearings before the Office of Administrative Law Judges, Benefits Review Board consideration, and review by Federal courts of Appeal.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of total disability with no monetary limit. Death: Spouse - until death or remarriage; children - until age 18 or to age 23 if qualified as a student as defined by the Act unless under a disability as defined in Section 223(d) of the Social Security Act, 42 U.S.C. 423(d). Employers or their insurance carriers are required to begin compensation within 30 days of the initial determination of eligibility. See the following for information on how assistance is awarded/released: Payments are disbursed on a monthly basis.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Any change in an eligibility requirement or in a factor affecting the amount of benefits, such as, State workers' compensation awards, or change in status of a dependent, must be reported to the Office of Workers' Compensation Programs when it occurs.

**Account Identification:**

20-8144-0-7-601.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$410,612,910; FY 12 est \$382,295,000; and FY 13 est \$351,193,000 - These are benefits for both Parts B & C of the program.

**Range and Average of Financial Assistance:**

On January 1, 2010, new monthly rates went into effect for Black Lung benefits that included a 1.5 percent increase over the 2009 benefit amounts. The rates are as follows: PART B MONTHLY BENEFITS RATES (claims approved by the Social Security Administration - payments received around the 3rd of each month): Primary beneficiary: \$625.00, Primary beneficiary and one dependent: \$938.00, Primary beneficiary and two dependents: \$1,094.00, Primary beneficiary and three or more dependents: \$1,251.00. PART C BLACK LUNG MONTHLY BENEFIT RATES (claims approved by the Department of Labor - payments received around the 15th of each month): Primary beneficiary: \$625.60, Primary beneficiary and one dependent: \$938.30, Primary beneficiary and two dependents: \$1,094.70, Primary beneficiary and three or more dependents: \$1,251.10. Rates are linked to GS salary levels and did not increase in 2012.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 410.401 et seq., 718, 722, 725, and 726. "Black Lung Benefits," Fact Sheet No. ESA 91-14.

**Regional or Local Office:**

None. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Coal Mine Workers' Compensation (DCMWC). Contact information is available at the

following website: <http://www.dol.gov/owcp/dcmwc/blcontac.htm>.

**Headquarters Office:**

Michael McClaran, Office of Workers' Compensation Programs, Division of Coal Mine Workers' Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: DCMWC-PUBLIC@dol.gov Phone: (202) 693-0046.

**Website Address:**

<http://www.dol.gov/esa/owcp/dcmwc/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.309 LABOR ORGANIZATION REPORTS**

(Landrum-Griffin Act)

**FEDERAL AGENCY:**

Office of Labor-Management Standards, Department of Labor

**AUTHORIZATION:**

Labor-Management Reporting and Disclosure Act of 1959, Public Law 86-257.

**OBJECTIVES:**

To provide for the reporting and disclosure of financial transactions and administrative practices of labor organizations, employers, labor consultants and others required to report under the Landrum-Griffin Act; to provide standards for the election of union officers, trusteeships, fiduciary responsibilities of union officers, and rights of union members; and to provide investigative authority to the Secretary of Labor.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Provides union members the authority to bring civil action in the district courts of the United States to enforce the rights and protections granted them under the Bill of Rights of Members of Labor Organizations; enables union members and employees whose rights are affected by a collective bargaining contract, to obtain or examine a copy of the agreement; enables union members to secure information on the organization, administrative practices, and financial transactions of their unions and to prevent abuses in these areas and in the administration of trusteeships imposed upon labor organizations; assures union members free and democratic officer elections through enforcement of standards and procedures with respect to such elections, and the removal of officers; and safeguards assets of labor organizations by imposing upon union officials fiduciary responsibility, enforceable in the courts, and by requiring the bonding of persons who handle union funds.

**Applicant Eligibility:**

Officers of unions may obtain assistance in preparing reports or otherwise complying with the Act. Union members or union organizations may request assistance in investigating alleged violations. All reports required to be filed are available for inspection and disclosure to the general public.

**Beneficiary Eligibility:**

Union officers, union members, union organizations. All reports required to be filed are available for inspection and disclosure to the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Write or call the nearest Department of Labor, Office of Labor-Management Standards field office listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Union members may file an election complaint with the Department of Labor within one calendar month after having exhausted internal union remedies or within one calendar month after having invoked internal union remedies without obtaining a final decision within three calendar months after invoking them.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

16-0104-0-1-505.

**Obligations:**

(Salaries) FY 11 \$41,367; FY 12 est \$41,289; and FY 13 est \$41,771

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, OLMS conducted 461 union audits, 4,024 civil and criminal investigations, supervised 26 union officer election reruns and conducted 25,390 participant hours of compliance assistance provided for union officials to administer and enforce the LMRDA. Fiscal Year 2012: In fiscal year 2012, OLMS projects conducting 440 union audits, 3,090 civil and criminal investigations, supervise 32 union officer election reruns and conduct 25,000 participant hours of compliance assistance to be provided for union officials to administer and enforce the LMRDA. Fiscal Year 2013: In fiscal year 2013, OLMS projects conducting 340 union audits, 2,665 civil and criminal investigations, supervise 32 union officer election reruns and conduct 25,000 participant hours of compliance assistance to be provided for union officials to administer and enforce the LMRDA.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR 401-453. 29 CFR 457-459. The Labor-Management Reporting and Disclosure Act of 1959, as amended, Rights and Responsibilities under the LMRDA; Reports Required under the LMRDA (Spanish edition also available); Bonding Requirements under LMRDA; Trusteeship Requirements under the LMRDA, Electing Union Officers (Spanish edition also available); LMRDA Regulations and Interpretative Bulletins: Election of Officers of Labor Organizations, 29 CFR 452; Standards of Conduct Regulations, 29 CFR 457-459. The above literature is available free of charge in limited quantities from the Headquarters Office listed below or field offices in Appendix IV of

the Catalog. Conducting Local Union Officer Elections - a guide for election officials is available for sale by the U.S. Government Printing Office.

**Regional or Local Office:**

None. Persons desiring assistance should contact the nearest Department of Labor, Office of Labor-Management Standards field office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Steve J. Willertz, Department of Labor, ESA/OLMS/DOE, Room N-511, 200 Constitution Avenue NW, Washington, District of Columbia 20020 Email: Willertz.Stephen@dol.gov Phone: (202) 693-1182 Fax: (202) 693-1343.

**Website Address:**

<http://www.dol.gov>. E-mail: OLMS-Public@dol.gov

**RELATED PROGRAMS:**

17.150 Employee Benefits Security Administration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.310 ENERGY EMPLOYEES OCCUPATIONAL ILLNESS COMPENSATION**

**FEDERAL AGENCY:**

Office of Workers' Compensation Programs, Department of Labor

**AUTHORIZATION:**

Energy Employees Occupational Illness Compensation Program Act of 2000, as amended, 42 U.S.C 7384 et seq.

**OBJECTIVES:**

Part B provides lump-sum monetary payments and medical benefits to covered employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies and certain of its vendors, contractors and subcontractors. Part B also provides lump-sum payments and medical benefits to individuals found eligible by the Department of Justice (DOJ) under section 5 of the Radiation Exposure Compensation Act (RECA) and, where applicable, to their survivors. Part E of the Act provides variable lump-sum payments (based on a worker's permanent impairment and/or calendar years of qualifying wage-loss) and medical benefits for covered DOE contractor employees and, where applicable, provides variable lump-sum payments to survivors of such employees (based on a worker's death due to a covered illness and either 10 or 20 calendar years of qualifying wage-loss). Part E also provides these same payments and benefits to uranium miners, millers and ore transporters covered by section 5 of RECA and, where applicable, to survivors of such employees.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

This program provides lump-sum monetary payments to employees and former employees (or their eligible survivors) as compensation for occupational illnesses under Part B, and covered illnesses under Part E; medical expenses (including hospital care). Benefits are paid from a mandatory appropriation of Federal funds.

**Applicant Eligibility:**

Employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in covered employment related to the testing or production of nuclear weapons.

**Beneficiary Eligibility:**

Employees and, where applicable, to survivors of such employees, of the Department of Energy (DOE), its predecessor agencies, certain of its vendors, contractors and subcontractors, and uranium miners, millers and ore transporters covered by section 5 of RECA, who are or were engaged in

covered employment related to the testing or production of nuclear weapons.

**Credentials/Documentation:**

Necessary documentation is developed when claim is filed with the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Employee or his or her survivor(s) files written claim for compensation (Form EE-1 or EE-2) with the local district office of the Office of Workers' Compensation Programs (OWCP), or with a Resource Center.

**Award Procedure:**

Authority to issue recommended decisions under this program rests with OWCP district offices. Authority to issue final decisions rests with the Final Adjudication Branch.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

From 120 to 180 days. Request for review of or hearing on a recommended decision must be made within 60 days. Request for reconsideration of a final agency decision must be filed within 30 days of issuance of the final decision. Request to reopen claim after issuance of a final decision may be made at any time, if supported by material evidence.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Benefits are not length-based. Maximum monetary lump-sum payment under Part B is \$150,000 per covered employee; maximum monetary lump-sum payment under Part E is \$250,000 per covered employee. No limitation on payment of medical expenses. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

16-1523-0-1-053.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$1,268,598,235; FY 12 est \$1,280,900,027; and FY 13 est \$1,260,204,775

**Range and Average of Financial Assistance:**

Maximum monetary lump-sum payment under Part B is \$150,000 per covered employee; maximum monetary lump-sum payment under Part E is \$250,000 per covered employee. No limitation on payment of medical expenses.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Claims for Compensation Under the Energy Employees Occupational Illness Compensation Program Act, 20 CFR Part 30, are available on the Internet at

<http://www.dol.gov>, or from OWCP.

**Regional or Local Office:**

None. Persons are encouraged to communicate with the district offices of the Office of Workers' Compensation Programs (OWCP), Division of Energy Employees Occupational Illness Compensation (DEEOIC). Contact information is available at the following website:

<http://www.dol.gov/owcp/energy/regs/compliance/law/JurisdictionMap.htm>.

**Headquarters Office:**

Rachel Leiton, Office of Workers' Compensation Programs, Division of Energy Employees Occupational Illness Compensation, 200 Constitution Avenue NW, Washington, District of Columbia 20210 Email: DEEOIC-PUBLIC@dol.gov Phone: (202) 693-0081.

**Website Address:**

<http://www.dol.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.502 OCCUPATIONAL SAFETY AND HEALTH\_SUSAN HARWOOD TRAINING GRANTS**

Susan Harwood Training Grants

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Public Law 91-596, 29 U.S.C 670(c).

**OBJECTIVES:**

To provide occupational safety and health training and education to employees and employers, particularly in the recognition, avoidance and abatement of workplace hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants to nonprofit organizations to provide training or other educational services to employees and/or employers in priority areas designated by OSHA.

**Applicant Eligibility:**

Nonprofit organizations.

**Beneficiary Eligibility:**

Individuals employed in workplaces that receive training and/or educational services under grants.

**Credentials/Documentation:**

Applicants must show nonprofit status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application instructions are distributed by Occupational Safety and Health Administration, Directorate of Training and Education. Completed applications are returned to the Directorate of Training and Education.

**Award Procedure:**

Final award decisions are made by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for a minimum of 12 months.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a minimum of 12 months. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required quarterly. Federal Financial Reports are required to be completed quarterly. Performance monitoring is conducted by the Regional Offices on a quarterly and annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Training) FY 11 \$10,735,000; FY 12 est \$10,709,000; and FY 13 est \$10,709,000

**Range and Average of Financial Assistance:**

Fiscal Year 2011 grants ranged from \$43,000 to \$663,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 69 training and education grants were awarded. Fiscal Year 2012: An estimate of 72 training and education grants will be awarded. Fiscal Year 2013: An estimate of 70 training and education grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 95 and 96; OMB Circulars A-21 (2 CFR Part 220), A-110 (2 CFR Part 215), and A-122 (2 CFR Part 230).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Regional Offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Kimberly Mason U.S. Department of Labor  
Occupational Safety and Health Administration  
200 Constitution Avenue, NW  
, Washington, District of Columbia 20210 Email: harwoodgrants@dol.gov  
Phone: (847) 297-4810

**Website Address:**

<https://www.osha.gov>

**RELATED PROGRAMS:**

17.503 Occupational Safety and Health\_State Program; 17.504 Consultation Agreements; 17.505 OSHA Data Initiative; 17.602 Mine Health and Safety Education and Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications. They include program, administration and budget categories.

**17.503 OCCUPATIONAL SAFETY AND HEALTH\_STATE PROGRAM**

State Plan Grant Awards

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 23(g), Public Law 91-596, 29 U.S.C 60(c).

**OBJECTIVES:**

To fund federally approved comprehensive State occupational safety and health programs that are "at least as effective" as the Federal program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants to States to administer and enforce State programs for occupational safety and health, limited to States having federally approved plans.

**Applicant Eligibility:**

Designated State agencies which have federally approved occupational safety and health plans.

**Beneficiary Eligibility:**

Any employer, worker or their representative from a business engaged in interstate commerce except those under jurisdiction of other Federal agencies.

**Credentials/Documentation:**

State agency responsible for occupational safety and health must show that its program is "at least as effective" as the Federal occupational safety and health program. This is accomplished by providing standards covering occupational safety and health issues, an enforcement program for those standards, and adequate legal authority and resources to operate the program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application instructions are distributed by the Occupational Safety and Health Administration to the approved State plan States through OSHA's Directives System. Completed applications are returned to the National Office.

**Award Procedure:**

Final approval of funding requests is given annually by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants to States for administering their own safety and health programs that can be renewed indefinitely, provided they continue to meet the "at least as effective" requirements. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50.%. The Federal share may not exceed 50 percent of the total cost to the State.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

State program grants are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required quarterly and annually. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports are required quarterly. Performance monitoring is conducted by the Regional Offices on a quarterly and annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Salaries) FY 11 \$104,393,000; FY 12 est \$104,196,000; and FY 13 est \$104,196,000. (Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Fiscal year 2011 grants ranged from \$202,100 to \$27,418,800. These awards represent approximately 50 percent of total program cost.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: State inspections were 52,056. Fiscal Year 2012: State inspections are estimated at 52,100. Fiscal Year 2013: State inspections are estimated at 52,100.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 1902, 1903, 1904, 1905, 1908, 1952, 1953, 1954, 1955, 1956, 2200; OMB Circulars A-102 and A-87 (2 CFR Part 225); and 29 CFR Parts 96 and 97.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Regional Offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Elizabeth Norris 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: norris.elizabeth.a@dol.gov Phone: 202-693-2422 Fax: 202-693-1696

**Website Address:**

<https://www.osha.gov>

**RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.504 Consultation Agreements; 17.505 OSHA Data Initiative; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety Education and Training; 93.262 Occupational Safety and Health Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants may be awarded only to a State agency, designated by the Governor of a State, which has had its State Plan approved by the Assistant Secretary and which has submitted an application for a grant.

**17.504 CONSULTATION AGREEMENTS**

Consultation Grant Program

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 21(d), Public Law 105-197, 29 U.S.C 651.

**OBJECTIVES:**

To fund consultative workplace safety and health services, targeting smaller employers with more hazardous operations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative Agreements to States to provide occupational safety and health consultative services to employers.

**Applicant Eligibility:**

Designated State agencies which have been authorized by the Governor to enter into a Cooperative Agreement with full power to perform the obligations funded therein and to expend Federal funds as well as State funds as required.

**Beneficiary Eligibility:**

Any private employer operating within a State, with priority given to smaller employers with the more hazardous operations.

**Credentials/Documentation:**

State agency responsible for providing consultative services to employers must meet the minimum requirements of the consultation program set forth in 29 CFR 1908. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application instructions are distributed to the States by the Occupational Safety and Health Administration (OSHA) to the designated State agencies through OSHA's Directives System. Completed applications are returned to OSHA's National Office.

**Award Procedure:**

Final approval of funding requests is given annually by the Assistant Secretary of Labor for Occupational Safety and Health.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding to States for administering their consultation program can be renewed indefinitely, provided that State consultation projects continue to meet the requirements of the program. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. The Federal share may not exceed 90 percent of the total cost to the recipient. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Consultation Cooperative Agreements are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump

sum.

**Reports:**

Program Reports are required annually. Cash reports are not applicable. Progress reports are not applicable. Federal Financial Reports are required and submitted on a quarterly basis. Performance Monitoring is conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Salaries) FY 11 \$54,688,000; FY 12 est \$57,890,000; and FY 13 est \$57,890,000

**Range and Average of Financial Assistance:**

Fiscal year 2011 grants ranged from \$196,000 to \$5,277,000. These awards represent approximately 90 percent of total program costs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: State consultation visits were 27,178. Fiscal Year 2012: State consultation visits are estimated at 27,200. Fiscal Year 2013: State consultation visits are estimated at 28,500.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Parts 95, 97, and 1908; and OMB Circular Nos. A-21, A-87, A-102 and A-110.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Elizabeth Norris 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: norris.elizabeth.a@dol.gov Phone: 202-693-2422 Fax: 202-693-1696

**Website Address:**

<https://www.osha.gov>

**RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.503 Occupational Safety and Health\_State Program; 17.505 OSHA Data Initiative; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety Education and Training; 93.262 Occupational Safety and Health Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Agreements may be awarded only to a State agency, designated by the Governor of a State, which has submitted an application for funding.

**17.505 OSHA DATA INITIATIVE**

OSHA Data Collection Award

**FEDERAL AGENCY:**

Occupational Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Occupational Safety and Health Act, Section 7(c)(1), Public Law 91-596, 29 U.S.C 651.

**OBJECTIVES:**

To fund collection of occupational injury and illness data from employers in specified industries nationwide.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Cooperative Agreements to States to collect occupational injury and illness data from employers in specified industries.

**Applicant Eligibility:**

Designated State agencies that have been authorized by the Governor to enter into a Cooperative Agreement with full power to perform the obligations funded therein and to expend Federal funds.

**Beneficiary Eligibility:**

Any state agency that is capable of collecting data.

**Credentials/Documentation:**

State agency that is designated and authorized by the Governor that is capable of collecting data. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application instructions are distributed to the States by the Occupational Safety and Health Administration (OSHA) to the designated State agencies. Completed applications are returned to OSHA's National Office.

**Award Procedure:**

Final approval of funding requests is given annually by the Director of Administrative Programs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding to States for administering their collection program can be renewed indefinitely, provided that the States continue to meet the requirements of the program. Applications for renewals are submitted to the Occupational Safety and Health Administration's National Grants Office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are aspects of a continuing program. Grantees receive funds through the Department of Health and Human Services' Payment Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are submitted. A Federal Financial Report is required quarterly. Performance monitoring is conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-0400-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,436,000; FY 12 est \$1,430,000; and FY 13 est \$1,488,000

**Range and Average of Financial Assistance:**

Fiscal year 2011 grant awards ranged from \$5,750 to \$186,024.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 79,736 employer samples were collected. Fiscal Year 2012: 80,000 employer samples estimated to be collected. Fiscal Year 2013: 80,000 employer samples estimated to be collected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. See Appendix IV of the Catalog for regional offices of the Occupational Safety and Health Administration.

**Headquarters Office:**

Elizabeth Norris 200 Constitution Avenue, NW, Washington, District of Columbia 20210 Email: norris.elizabeth.a@dol.gov Phone: 202-693-2424 Fax: 202-693-1696

**Website Address:**

<https://www.osha.gov>

**RELATED PROGRAMS:**

17.502 Occupational Safety and Health\_Susan Harwood Training Grants; 17.503 Occupational Safety and Health\_State Program; 17.504 Consultation Agreements; 17.600 Mine Health and Safety Grants; 17.601 Mine Health and Safety Counseling and Technical Assistance; 17.602 Mine Health and Safety Education and Training; 93.262 Occupational Safety and Health Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Agreements may be awarded only to a State agency, designated by the Governor of a State, which has submitted an application for funding.

**17.600 MINE HEALTH AND SAFETY GRANTS****FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164.

**OBJECTIVES:**

To assist States in providing safety and health training and developing programs to improve mine health and safety conditions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides grants (1) To assist States in developing and enforcing effective coal or other mine health and safety laws and regulations consistent with the provisions of Section 503 of the Federal Mine Safety and Health Act of 1977; (2) to improve State workers' compensation and occupational disease laws and programs related to coal or other mine employment; and (3) to provide Federal-State coordination and cooperation in improving the health and safety conditions in the coal or other mines.

**Applicant Eligibility:**

Any mining State of the United States.

**Beneficiary Eligibility:**

States.

**Credentials/Documentation:**

In addition to items as stated in Grant Solicitation from Mine Safety and Health Administration (MSHA), State official mine inspection or safety agency has or will employ an adequate and competent staff of qualified trainers to provide health and safety training for miners and trained inspectors qualified under the laws of the State to make mine inspections within the State. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application will be submitted in an original and two copies to the Assistant Secretary of Labor for Mine Safety and Health.

**Award Procedure:**

Notification will be made by the Office responsible for monitoring performance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 3 months.

**Appeals:**

From 15 to 30 days. Within 30 days from the final decision date, an appeal may be filed with the U.S. Court of Appeals for the District of Columbia.

**Renewals:**

Renewals may be made on a fiscal year basis, or a portion thereof when necessary, in the same manner as that required for the original request.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 95-164, Section 503 (g).  
Matching Requirements: Percent: 20%. A maximum of 80 percent of the amount expended by any mining State for a fiscal year is paid from Federal funds and at least 20 percent are paid by the Applicant State.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length of assistance is on a fiscal year basis or a portion thereof. Time phasing of assistance is on a cost reimbursable basis, normally quarterly. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semi-annual Technical reports as required by MSHA shall be furnished to the Assistant Secretary of Labor for Mine Safety and Health stating work accomplished, benefits derived, project status. No cash reports are required. No progress reports are required. Quarterly Financial Reports listing expenditures and amounts obligated are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to each grant shall be retained and made available until the expiration of 3 years after the grantees' last disbursement of such funds. Prescribed guidelines are set forth in attachment C, OMB Circular No. A-102 (revised).



**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$8,441,000; and FY 13 est \$3,441,000 - President's Budget Request for FY 2013 includes a \$5,000,000 reduction to this program.

**Range and Average of Financial Assistance:**

From \$26,839 to \$627,659. Average: \$172,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Alabama - \$199,000; Alaska - \$51,000; Arizona - \$287,000; Arkansas - \$99,000; California - \$338,000; Colorado - \$210,000; Connecticut - \$54,000; Delaware - \$4,000; Florida - \$171,000; Georgia - \$193,000; Idaho - \$93,000; Illinois - \$220,000; Indiana - \$192,000; Iowa - \$116,000; Kansas - \$83,000; Kentucky \$628,000; Louisiana - \$82,000; Maine - \$56,000; Maryland - \$58,000; Massachusetts - \$66,000; Michigan - \$215,000; Minnesota - \$274,000; Mississippi - \$61,000; Missouri - \$207,000; Montana - \$137,000; Nebraska - \$67,000; Nevada - \$235,000; New Hampshire - \$41,000; New Jersey - \$50,000; New Mexico - \$147,000; New York - \$259,000; North Carolina - \$153,000; North Dakota - \$59,000; Ohio - \$263,000; Oklahoma - \$108,000; Oregon - \$106,000; Pennsylvania - \$533,000; South Carolina - \$66,000; South Dakota - \$59,000; Tennessee - \$140,000; Texas - \$430,000; Utah - \$172,000; Vermont - \$70,000; Virginia - \$269,000; Washington - \$148,000; West Virginia - \$563,000; Wisconsin - \$192,000; Wyoming - \$193,000; and Navajo Nation - \$27,000. Fiscal Year 2012: Alabama - \$199,000; Alaska - \$51,000; Arizona - \$287,000; Arkansas - \$99,000; California - \$338,000; Colorado - \$210,000; Connecticut - \$54,000; Delaware - \$4,000; Florida - \$171,000; Georgia - \$193,000; Idaho - \$93,000; Illinois - \$220,000; Indiana - \$192,000; Iowa - \$116,000; Kansas - \$83,000; Kentucky \$628,000; Louisiana - \$82,000; Maine - \$56,000; Maryland - \$58,000; Massachusetts - \$66,000; Michigan - \$215,000; Minnesota - \$274,000; Mississippi - \$61,000; Missouri - \$207,000; Montana - \$137,000; Nebraska - \$67,000; Nevada - \$235,000; New Hampshire - \$41,000; New Jersey - \$50,000; New Mexico - \$147,000; New York - \$259,000; North Carolina - \$153,000; North Dakota - \$59,000; Ohio - \$263,000; Oklahoma - \$108,000; Oregon - \$106,000; Pennsylvania - \$533,000; South Carolina - \$66,000; South Dakota - \$59,000; Tennessee - \$140,000; Texas - \$430,000; Utah - \$172,000; Vermont - \$70,000; Virginia - \$269,000; Washington - \$148,000; West Virginia - \$563,000; Wisconsin - \$192,000; Wyoming - \$193,000; and Navajo Nation - \$27,000. Fiscal Year 2013: Distribution of funding is indeterminable until a final appropriation is available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

29 CFR Part 97.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan, 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9572.

**Website Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

17.601 Mine Health and Safety Counseling and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs. Fiscal Year 2012: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and implementation of accident prevention programs. Fiscal Year 2013: (1) Training and retraining of miners by State instructors; (2) mine emergency operations; (3) assisting States in training miners in health related injury; (4) assisting in Maintaining mine rescue teams at State mine rescue stations; and (5) development and

implementation of accident prevention programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Responses related to the following proposal criteria enable the applicant to show that the proposed grant is consistent with the purposes of the Act: (a) Programs, policies, and methods to be followed in administering the grant, (b) designation of the State mining agency as the sole agency with authority and responsibility for administering the grant throughout the State, (c) assurances that such agency has an adequate and competent staff of trained and qualified inspectors, (d) use of the grant will extend and improve mine health and safety in the State while providing for no advance notice of an inspection, (e) assurances that grant will supplement not supplant existing State mine health and safety programs, (f) period over which program will be pursued, (g) financial plan, (h) fiscal control and accounting procedures, (i) name and title of person who will direct the program, (j) approximate number of qualified personnel who will work on the program, (k) location or locations where program will be pursued, (l) assurance that matching funds from nonfederal sources will be forthcoming, (m) indication of whether the programs or any part have been or will be submitted to other organizations for the purpose of obtaining a grant, and (n) agreement that the official State mine agency shall make required reports.

**17.601 MINE HEALTH AND SAFETY COUNSELING AND TECHNICAL ASSISTANCE****FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164.

**OBJECTIVES:**

To improve conditions of health and safety in and around coal, metal and nonmetallic mines and mineral facilities through technical advice, special studies, investigations, development of State mine health and safety programs.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

Assistance can be used for establishing or improving State mine health and safety programs. Technical advice and assistance is available to States, organizations, companies, or persons with mine health and safety programs and/or problems.

**Applicant Eligibility:**

Any State, organization or person interested in employing healthful and safe mine or mineral industry working conditions can apply.

**Beneficiary Eligibility:**

States, organizations, individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. In the form of a letter to the Mine Safety and Health Administration.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:

None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Salaries) FY 11 \$31,031,000; FY 12 est \$33,613,000; and FY 13 est \$33,791,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response. Fiscal Year 2012: To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response. Fiscal Year 2013: To reduce mine accidents and disasters, technical assistance is provided to help mine inspectors, State agencies, labor, and the industry in identifying and resolving complex mine safety and health issues. Activities include equipment testing, engineering and scientific evaluation of health and safety hazards, environmental sampling, and emergency response.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

30 Code of Federal Regulations; Bureau of Mines Information Circulars; Bureau of Mines Reports of Investigations; MSHA Informational Reports.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of the addresses of Mine Safety and Health Administration Field Installations. Information on health and safety programs, inspections, and enforcement should be sought from Coal Mine Safety and Health or Metal and Nonmetal Mine Safety and Health District Offices listed in Appendix IV of the Catalog, or the Headquarters Office. Technical information can be sought from the same sources or from the Technical Support Field Centers.

**Headquarters Office:**

George Fesak 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9752

**Website Address:**

<http://www.msha.gov>.

**RELATED PROGRAMS:**

17.600 Mine Health and Safety Grants; 17.602 Mine Health and Safety Education and Training; 17.603 Brookwood-Sago Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.602 MINE HEALTH AND SAFETY EDUCATION AND TRAINING****FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Federal Mine Safety and Health Amendments Act of 1977, Public Law 095-164.

**OBJECTIVES:**

To provide technical training for Federal mine inspectors and representatives of the mining industry.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Provide initial and advanced Mine Safety and Health Training for Federal Mine Inspectors. This Technical training is available to Mine Operators, Miners, States, and labor Organizations. Assistance is also provided in the form of written and audio visual training materials. These materials deal with Mining Safety and Health Technical Materials.

**Applicant Eligibility:**

Any mine operator, miner or their agent can request training or training materials.

**Beneficiary Eligibility:**

Mine operators, miners or their agent, organizations and individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By telephone or written request.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:

None.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Salaries) FY 11 \$15,812,000; FY 12 est \$15,000,000; and FY 13 est \$13,500,000 - The Presidents Budget Request for FY 2013 reflects a reduction of \$1,500,000 for the Academy.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Training was provided through approximately 1,100 course days for Federal and other employees and 275 course days for the Mining Industry, as well as distributing approximately 6,000,000 mine safety publications. Fiscal Year 2012: Training will be provided through approximately 1,200 course days for Federal and other employees and 140 course days for the Mining Industry, as well as distributing approximately 6,000,000 mine safety publications. Fiscal Year 2013: Training will be provided through approximately 1,200 course days for Federal and other employees and 150 course days for the Mining Industry, as well as distributing approximately 6,000,000 mine safety publications.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of Mine Safety and Health Administration Offices.

**Headquarters Office:**

Jeffrey A. Duncan, 1100 Wilson Boulevard, Arlington, Virginia 22213 Phone: (202) 693-9570.

**Website Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

17.600 Mine Health and Safety Grants; 17.603 Brookwood-Sago Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**17.603 BROOKWOOD-SAGO GRANT****FEDERAL AGENCY:**

Mine Safety and Health Administration, Department of Labor

**AUTHORIZATION:**

Brookwood-Sago Mine Safety Grants, 30 U.S.C 965; Mine Improvement and New Emergency Response Act of 2006 (MINER Act), Public Law 109-236.

**OBJECTIVES:**

To provide mine safety and health training and education programs for workers and mine operators, to better identify, avoid, and prevent unsafe working conditions in and around mines. To establish and implement education and training programs, or to develop training materials for employers and miners, concerning safety and health topics in mines, as determined appropriate by Mine Safety and Health Administration (MSHA).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides grants to states, public, and private nonprofit organizations to provide training and other educational programs or develop training materials for employers and miners concerning safety and health topics in priority areas designated by MSHA.

**Applicant Eligibility:**

Any mining State of the United States, nonprofit public and private organizations.

**Beneficiary Eligibility:**

Recipient of the training workers at mines, any organization employing these individuals, and mine operators.

**Credentials/Documentation:**

Any credential or documentation requirements are detailed in each solicitation for grant applications. See the Federal Register for solicitation for grant applications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application procedures are detailed in each solicitation for grant applications. See the Federal Register for each solicitation for grant applications.

**Award Procedure:**

Competitive grant applications, submitted in response to a solicitation for grant application, will be reviewed by a panel for consistency with the solicitation for grant application requirements, and are subject to availability of funds and performance achievement. Funding decisions are at the discretion of the Assistant Secretary.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timeframes are detailed in each solicitation for grant applications. See the Federal Register for solicitation for grant applications.

**Appeals:**

None.

**Renewals:**

Renewal and option year availability is detailed in each solicitation for grant applications. All awards are based on single-year budget authority. Renewal and option year funding, when provided, is subject to availability of funds and performance achievement. See the Federal Register for solicitation for grant applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length of time and phasing of assistance are detailed in each solicitation for grant applications. See the Federal Register for current solicitations for grant applications. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly Program Reports (SF 269) are required. No cash reports are required. No progress reports are required. Quarterly Financial Reports (SF 272) are required. All grants require cooperation and sharing of program reports with an independent external evaluator. See the Federal Register for solicitations for grant applications. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to audits by the Department of Labor or other authorized Government agencies.

**Records:**

Records must be retained for 3 years following grant closeout or final audit, whichever is later.

**Account Identification:**

16-1200-0-1-554.

**Obligations:**

(Project Grants) FY 11 \$1,000,000; FY 12 est \$1,250,000; and FY 13 est \$1,250,000

**Range and Average of Financial Assistance:**

At a minimum, \$50,000, depending on the project needs as detailed in the solicitation for grant application and availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Mine Safety and Health Act of 1977, Public Law 91-173 as amended by Public Law 95-164.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey A. Duncan, 1100 Wilson Boulevard, Arlington, Virginia 22209 Phone: (202) 693-9570.

**Website Address:**

<http://www.msha.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the Federal Register Notice soliciting applications.

**17.700 WOMEN'S BUREAU**

(Women's Bureau)

**FEDERAL AGENCY:**

Office of the Secretary, Women's Bureau, Department of Labor

**AUTHORIZATION:**

Public Law 66-259; 29 U.S.C. 11-16.

**OBJECTIVES:**

The Womens Bureau was created by law in 1920 to safeguard the interests of working women and advocate for their equality and economic security. The Bureaus vision is to empower all working women to achieve economic security. The Womens Bureau establishes and maintains linkage with national, community and faith-based organizations, business and industry, trade unions, research foundations, academic, and Federal, State, and local government agencies in an effort to develop cooperative projects that address the employment and supportive service needs of women.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Technical information and referrals are provided to interested constituents. This information includes program models and advisory services that increase opportunities for women to plan for their economic and retirement security, identify training and educational programs designed to increase employment and earning opportunities, and support the establishment of programs that encourage a balance between home and work-life through flexible policies and programs. The Women's Bureau does not provide financial assistance to individuals.

**Applicant Eligibility:**

Any individual or group located in the United States or its territories may benefit from Women's Bureau projects and/or programs. The Women's Bureau does not provide financial assistance to individuals.

**Beneficiary Eligibility:**

Any individual or group (especially women or women's organizations) located in the United States or its territories may benefit from Women's Bureau projects

and/or programs. The Women's Bureau does not provide financial assistance to individuals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for information or technical assistance may be made to the appropriate Department of Labor, Women's Bureau regional office listed in Appendix IV of the Catalog, or to the Headquarters Office listed under the Information Contacts section of this program. The Women's Bureau does not provide financial assistance to individuals.

**Award Procedure:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals. See the following for information on how assistance is awarded/released: Technical assistance is provided to constituents via phone, e-mail and other written communication. The Women's Bureau does not provide financial assistance to individuals.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

16-0165-0-1-505.

**Obligations:**

(Salaries) FY 11 \$11,223,754; FY 12 est \$11,441,605; and FY 13 est \$9,081,000

**Range and Average of Financial Assistance:**

Not applicable. The Women's Bureau does not provide financial assistance to individuals.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: TBD. Fiscal Year 2012: In FY 2012, the Womens Bureau continued to maintain and develop projects in its effort to promote an environment responsive to the demands and challenges of the 21st Century workforce. These targeted initiatives were designed to enhance opportunities for women under the Departments vision of Good Jobs for Everyone, and the Bureaus vision To empower all working women to achieve economic security. A publication outlining Departmental policies and programs titled

Working for Women -- Your Job Your Rights/Increasing Employment Opportunities and Improving Working Conditions for Women was developed to provide agency-related information targeted toward women workers. In cooperation with numerous womens, Federal, state, community, and faith-based organizations, the Bureau worked to conduct research, projects, and outreach on issues of importance to working women, and provide information about women in the labor force to stakeholders and customers. Specifically, the Bureau focused on the economic and financial security of vulnerable working women through policies that improve services for women veterans, narrow the wage gap and ensure fair compensation; promote employment in the clean energy, STEM, and other emerging, higher-paying, high-demand job sectors; and quality work environments through workplace flexibility.

**HIGHER-PAYING JOBS** The Womens Bureau released Why Green is Your Color: A Womans Guide to a Sustainable Career, an on-line publication designed to aid in increasing womens access to high-growth and emerging industry occupations in the green jobs sector. The guide was created to help women at all stages of their careers whether they are newly entering the workforce, transitioning to new careers, or returning to the workforce identify and take advantage of opportunities in the clean energy economy. It will also help training providers, educators, counselors, and other workforce development professionals promote the recruitment and retention of women in green career paths. A web-based training module is also available via the Bureaus web site.

**EQUAL PAY** Two fact sheets on the issue of equal pay were released by the Womens Bureau during FY 2012. A Guide to Womens Equal Pay Rights and An Employers Guide to Equal Pay were developed to educate both women workers and employers on pay and compensation rights under federal law. The popular publications will be translated into Spanish, French, Vietnamese, and Chinese during FY 2013 and will be accessible via the Bureaus web site.

**WOMEN VETERANS** The Bureau continued its targeted outreach to women veterans, utilizing the publication Trauma-Informed Care for Women Veterans Experiencing Homelessness: A Guide for Service Providers, which was developed to identify the gender-specific needs of women veterans, issues regarding their reintegration into the workforce, and how to improve services and resources for this unique population. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the nearest Department of Labor, Women's Bureau regional office in Appendix IV of the Catalog listed under the Office of the Secretary.

#### **Headquarters Office:**

Women's Bureau 200 Constitution Avenue, NW Room S3002, Washington, District of Columbia 20210 Phone: (202) 693-6710.

#### **Website Address:**

<http://www.dol.gov/wb/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **17.801 DISABLED VETERANS' OUTREACH PROGRAM (DVOP)**

(DVOP Program)

#### **FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

#### **AUTHORIZATION:**

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4103A; as ammended by Public Law (P.L.) 107-288, P.L. 109-461, and P.L. 111-275., Title 38, Part III, Section 4103, Public Law 107-288, 38 U.S.C 4103A.

#### **OBJECTIVES:**

To provide intensive services to meet the employment needs of disabled and other eligible veterans with maximum emphasis in meeting the employment needs of those who are economically or educationally disadvantaged, including homeless veterans and veterans with barriers to employment.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds must be used by States only for salaries and expenses and reasonable support of Disabled Veterans' Outreach Program (DVOP) Specialists who shall be assigned only those duties directly related to meeting the employment needs of eligible veterans according to the provisions of 38 U.S.C. 4103A.

#### **Applicant Eligibility:**

The state administrative entity designated by each Governor.

#### **Beneficiary Eligibility:**

Veterans and eligible persons with emphasis on Special Disabled veterans, disabled veterans, economically or educationally disadvantaged veterans, and veterans with other barriers to employment.

#### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424M, Application for Federal Assistance, submitted to the Director for Veterans' Employment and Training (DVET) in each State, as listed in Appendix IV along with program narratives and Fiscal Plans in accordance with instructions in a Solicitation for Grant Application (SGA) or annual modification instructions.

#### **Award Procedure:**

Awards approved annually by a Department of Labor Grant Officer for the Assistant Secretary for Veterans' Employment and Training (ASVET) are based on reviews and recommendations by Regional Administrators for Veterans' Employment and Training (RAVETs) and DVETs.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Ninety days following the submission of an application pending the availability of fiscal year appropriation.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Usually awarded for a fiscal year (October through September). States may obligate funds to provide assistance for a fifth fiscal year quarter (until December 31). Method of awarding/releasing assistance: quarterly.

#### **Reports:**

Quarterly reporting of: (1) accrued expenditures against budget categories in fiscal operating plans; and (2) workload activity of veterans' who were provided

case management, referred to training and employment, received staff-assisted services, entered employment and employment retention; and (3) additional reports as described in the most recent Veterans' Program Letter on Recurring Report Requirements. Cash reports are not applicable. Technical Performance Narrative is required per the current Veterans' Program Letter on Recurring Report Requirements. Federal Financial Report (SF 425) and VETS 402A/B. ETA 9002 Series and VETS 200 Series compared to state negotiated goals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost accounting, time keeping, and performance records to be maintained in accordance with each grant agreement, regulations and Veterans' Program Letters.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Formula Grants) FY 11 \$86,090,000; FY 12 est \$85,092,000; and FY 13 Estimate Not Available - Listed below are the actual obligations by State for FY 2011 (amounts in \$thousands). AK-\$275; AL-\$996; AR-\$450; AZ-\$1,712; CA-\$12,295; CO-\$1,631; CT-\$1,022; DC-\$352; DE-\$193; FL-\$5,320; GA-\$2,818; GU-\$63; HI-\$433; IA-\$1,311; ID-\$568; IL-\$3,933; IN-\$1,479; KS-\$793; KY-\$924; LA-\$851; MA-\$1,211; MD-\$1,511; ME-\$396; MI-\$2,735; MN-\$1,752; MO-\$1,013; MS-\$746; MT-\$577; NC-\$1,398; ND-\$293; NE-\$820; NH-\$312; NJ-\$2,103; NM-\$343; NV-\$729; NY-\$4,674; OH-\$5,870; OK-\$576; OR-\$1,435; PA-\$3,024; PR-\$215; RI-\$268; SC-\$1,201; SD-\$629; TN-\$1,198; TX-\$6,305; UT-\$936; VA-\$1,513; VI-\$0; VT-\$158; WA-\$2,227; WI-\$1,681; WV-\$359; WY-\$463.

Listed below are the estimated obligations by State for FY 2012 (amounts in \$thousands; subject to change). AK-\$359; AL-\$1,141; AR-\$310; AZ-\$1,841; CA-\$11,923; CO-\$1,592; CT-\$1,007; DC-\$325; DE-\$193; FL-\$4,981; GA-\$3,389; GU-\$69; HI-\$297; IA-\$1,288; ID-\$586; IL-\$4,712; IN-\$1,548; KS-\$812; KY-\$1,091; LA-\$1,072; MA-\$1,290; MD-\$1,522; ME-\$383; MI-\$2,436; MN-\$1,680; MO-\$1,036; MS-\$520; MT-\$298; NC-\$1,380; ND-\$530; NE-\$745; NH-\$346; NJ-\$1,886; NM-\$338; NV-\$661; NY-\$4,007; OH-\$6,084; OK-\$578; OR-\$1,656; PA-\$2,464; PR-\$237; RI-\$184; SC-\$1,091; SD-\$634; TN-\$1,363; TX-\$5,827; UT-\$921; VA-\$1,601; VI-\$0; VT-\$147; WA-\$2,120; WI-\$1,740; WV-\$425; WY-\$426

Estimated obligations by State for FY 2013 are unknown at the time of publication.

**Range and Average of Financial Assistance:**

Range from \$0 to \$11,923,000 based on award during FY 2012 year to date. Approximate average award based on FY 2012: \$1,564,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, United States Code, Section 4103A; 20 CFR 1001; Veterans' Program Letters.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lakisa Carter 220 Constitution Ave, N.W., Rm S-1312, Washington, District of Columbia 20210 Email: carter.lakisa@dol.gov Phone: 2026934720

**Website Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.804 Local Veterans' Employment Representative Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Solicitation for Grant Application and Annual Modification guidance.

**17.802 VETERANS' EMPLOYMENT PROGRAM**

(Veterans' Workforce Investment Programs (VWIP))

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Workforce Investment Act of 1998, Section 168, Public Law 105-220, 29 U.S.C 2913.

**OBJECTIVES:**

To provide services to assist in reintegrating eligible veterans into meaningful employment within the labor force; and to stimulate the development of effective service delivery systems that will address the complex problems facing eligible veterans.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Programs supported with these funds shall include: 1) Activities to enhance services provided to eligible veterans by other providers of employment and training services funded by Federal, State, local or tribal governments; 2) activities to provide innovative employment and training services and projects to eligible veterans not currently provided by other public employment and training service providers; and 3) outreach and public information activities to develop and promote maximum job and training or retraining opportunities for eligible veterans.

**Applicant Eligibility:**

State and Local Workforce Investment Boards, State and State Agencies, local public agencies, private non-profit organizations and community-based organizations (including faith-based and community organizations) are eligible to compete for these grant funds.

**Beneficiary Eligibility:**

Service-connected disabled veterans, veterans who have significant barriers to employment, veterans who served on active duty in the armed forces during a war or in a campaign or expedition for which a campaign badge has been authorized, and veterans who are recently separated from military service (48 months).

**Credentials/Documentation:**

According to the program's Solicitation for Grant Application (SGA) and Standard 424, Application for Federal Assistance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

The Office of the Assistant Secretary for Veterans' Employment and Training, in conjunction with the Office of the Assistant Secretary for Administration and Management, is responsible for all funding decisions regarding this competitive grant program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 15 to 30 days. Within 21 days of the determination denying financial assistance the applicant may request a hearing through the Chief Administrative Law Judge, Department of Labor.

**Renewals:**

From 90 to 120 days.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is normally available during a 12-month period (program year). The methods of payment will be with an automatic payment management system. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are submitted by grantees on a quarterly basis which include comparisons between planned and actual results under a wide variety of performance measures and budgetary goals. Program narrative presents highlighted case studies and success stories as well as identified areas in need of improvement. HHS 272. Performance monitoring is conducted through quarterly desk audits and at least one on-site visit conducted by the Grant Officer Technical Representative (GOTR) who notes and checks specific thresholds of performance against yearly planned goals and who may recommend that poorly performing grantees submit a Corrective Action Plan (CAP) that describes the specific actions that will ensure that the grantee meets or exceeds the performance expectations stated in their application. Federal Financial Report (SF 425) through the Department's E-Grants system. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

16-0174-0-1-504.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$9,621; FY 12 est \$14,594; and FY 13 Estimate Not Available - (Grants and Contracts(Discretionary)) Program operates on a program year (PY) beginning on July 1 and ending on June 30. PY 2011 actual \$9,621; PY 2012 \$14,594; PY 2013 est. not available. PY 2011 (Performance period July 1, 2011 - June 30, 2012); PY 2012 (Performance period July 1, 2012 - June 30, 2013).

**Range and Average of Financial Assistance:**

In PY 2012 there were sixteen grant awards ranging from \$500,000 (rounded) to \$1,250,000(rounded) for an average award of \$625,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments are unavailable for PY 2011 (July 1, 2011 - June 30, 2012). Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Information regarding program funding and eligibility can be found on our website at [www.dol.gov/vets](http://www.dol.gov/vets).

**Headquarters Office:**

Kenneth Fenner, 200 Constitution Ave, NW Room S-1312, Washington, District of Columbia 20210 Email: [Fenner.Kenneth@dol.gov](mailto:Fenner.Kenneth@dol.gov) Phone: (202) 693-4728.

**Website Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in the Solicitation for Grant Application.

**17.804 LOCAL VETERANS' EMPLOYMENT REPRESENTATIVE PROGRAM**

(LVER Program)

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4104; as amended by Public Law (P.L.) 107-288, P.L. 109-461, and P.L. 111-275., Title 38, Part III, Section 41, Public Law 107-288, 38 U.S.C 4104.

**OBJECTIVES:**

Conduct outreach to employers including conducting seminars for employers, conducting job search workshops and establishing job search groups; and to facilitate employment, training, and placement services furnished to veterans in a State under the applicable State employment service or One-Stop Career Center delivery systems whose sole purpose is to assist veterans in gaining and retaining employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used only for salaries, expenses and reasonable support of Local Veterans' Employment Representatives who shall be assigned only those functions directly related to providing services to veterans according to provisions of 38 U.S.C. 4103 and 4104.

**Applicant Eligibility:**

The state administrative entity designated by each Governor.

**Beneficiary Eligibility:**

Veterans, transitioning service members, and eligible persons.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424M, Application for Federal Assistance, Jobs for Veterans State grant narrative and financial plans, staff directory, assurances and certifications are submitted to the Director for Veterans' Employment and Training (DVET) in each State, (see Appendix IV of the Catalog) in accordance with Jobs for Veterans Solicitations for Grant Application or annual modification instructions.

**Award Procedure:**

Awards approved annually by a Department of Labor Grant Officer for the Assistant Secretary for Veterans' Employment and Training (ASVET) are based on reviews and recommendations by Regional Administrators for Veterans' Employment and Training (RAVETs) and DVETs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Ninety days following submission of an application pending the availability of a Fiscal Year appropriation.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually awarded for a fiscal year (October through September). States may obligate funds to provide assistance for a fifth fiscal year quarter (until December 31). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reporting of: (1) accrued expenditures against budget categories in fiscal operating plans; and (2) workload activity of veterans' who were provided case management, referred to training and employment, received staff-assisted services, entered employment and employment retention; and (3) additional reports as described in the most recent Veterans' Program Letter on Recurring Report Requirements. Cash reports are not applicable. Technical Performance Narrative is required per the current Veterans' Program Letter on Recurring Report Requirements. Federal Financial Report (SF 425) and VETS 402A/B. ETA 9002 Series and VETS 200 Series compared to state negotiated goals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost accounting, time keeping, and performance records to be maintained according to grant agreement, regulations and Veterans' Program Letters.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Salaries) FY 11 \$72,093,000; FY 12 est \$72,174,000; and FY 13 Estimate Not Available - Listed below are the actual allocations by State for FY 2011 (Amounts in \$thousands): AK-\$275; AL-\$1,179; AR-\$956; AZ-\$1,274; CA-\$6,007; CO-\$1,180; CT-\$783; DC-\$270; DE-\$441; FL-\$4,640; GA-\$2,897; GU-\$0; HI-\$222; IA-\$177; ID-\$213; IL-\$2,552; IN-\$1,836; KS-\$690; KY-\$1,363; LA-\$818; MA-\$1,725; MD-\$1,418; ME-\$429; MI-\$2,794; MN-\$1,110; MO-\$2,447; MS-\$644; MT-\$142; NC-\$3,979; ND-\$257; NE-\$121; NH-\$399; NJ-\$1,583; NM-\$505; NV-\$695; NY-\$3,177; OH-\$1,170; OK-\$1,353; OR-\$835; PA-\$3,176; PR-\$287; RI-\$297; SC-\$1,496; SD-\$71; TN-\$2,014; TX-\$5,369; UT-\$32; VA-\$2,346; VI-\$58; VT-\$435; WA-\$1,872; WI-\$1,286; WV-\$567; WY-\$231.

Listed below are the current allocations by State for FY 2012 (Amounts in \$thousands; subject to change): AK-\$191; AL-\$1,273; AR-\$1,052; AZ-\$1,156; CA-\$5,812; CO-\$1,065; CT-\$796; DC-\$196; DE-\$406; FL-\$4,896; GA-\$2,193; GU-\$0; HI-\$332; IA-\$163; ID-\$193; IL-\$2,597; IN-\$2,037; KS-\$655; KY-\$1,301; LA-\$966; MA-\$1,692; MD-\$1,317; ME-\$420;

MI-\$2,576; MN-\$1,066; MO-\$2,362; MS-\$975; MT-\$170; NC-\$4,066; ND-\$86; NE-\$126; NH-\$397; NJ-\$895; NM-\$685; NV-\$578; NY-\$3,042; OH-\$1,434; OK-\$1,413; OR-\$944; PA-\$3,717; PR-\$307; RI-\$372; SC-\$1,351; SD-\$66; TN-\$2,001; TX-\$5,859; UT-\$111; VA-\$2,476; VI-\$58; VT-\$277; WA-\$2,074; WI-\$1,225; WV-\$537; WY-\$219.

Estimated obligations by State for FY 2013 are unknown at the time of publication.

**Range and Average of Financial Assistance:**

Ranges from \$0 to \$5,859,000 based on awards during FY 2012 year to date. Approximate average during FY 12: \$1,435,000(rounded).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, United States Code, Section 4104; 20 CFR 1001; Veterans' Program Letters.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrators and State Directors for Veterans' Employment and Training Service listed in Appendix IV of the Catalog.

**Headquarters Office:**

Lakisa Carter, 220 Constitution Ave, N.W., Rm S-1312, Washington, District of Columbia 20210 Email: carter.lakisa@dol.gov Phone: 2026934720

**Website Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.207 Employment Service/Wagner-Peyser Funded Activities; 17.801 Disabled Veterans' Outreach Program (DVOP); 17.807 Transition Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Solicitation for Grant Application and Annual Modification guidance.

**17.805 HOMELESS VETERANS REINTEGRATION PROJECT**

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987; Title II, Part C; Public Law 100-77, as amended; Public Laws 100-628, 101-645, 102-590, 104-275, 105-41; 105-114, 07-95, and 111-275; 42 U.S.C. 1447-1450; 38 U.S.C., 4111., Title II, Part C.

**OBJECTIVES:**

To provide services to assist in reintegrating homeless veterans into meaningful employment within the labor force; and to stimulate the development of effective service delivery systems that will address the complex problems facing homeless veterans.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects supported with these funds shall provide for employment and training services and support services directly or through linkages with other service providers to assist homeless veterans to reenter the workforce. Outreach is necessary and is to be performed by formerly homeless veterans.

**Applicant Eligibility:**

State and Local Workforce Investment Boards, State and State Agencies, local public agencies, private non-profit organizations (including faith-based and community organizations) and for-profit/commercial entities. Potential jurisdictions are metropolitan areas of the largest U.S. cities or Non-Urban areas in need, as announced in the solicitation for grant applications (SGA).



**Beneficiary Eligibility:**

Individuals who are homeless veterans. The term "homeless" or "homeless individual" includes: (1) An individual who lacks a fixed, regular, and adequate night-time residence; and (2) an individual who has a primary night-time residence that is: (a) a supervised publicly or privately operated shelter designed to provide temporary living accommodations including welfare hotels, congregate shelters, and transitional housing for the mentally ill; (b) an institution that provides a temporary institutionalized; or (c) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodations for human beings (Reference: 42 U.S.C. 1302), and (3) an individual or family who - (a) will imminently lose their housing, including housing they own, rent, or live in without paying rent, are sharing with others, and rooms in hotels or motels not paid for by Federal, State, or local government programs for low-income individuals or by charitable organizations, as evidenced by - (i) a court order resulting from an eviction action that notifies the individual or family that they must leave within 14 days; (ii) the individual or family having a primary nighttime residence that is a room in a hotel or motel and where they lack the resources necessary to reside there for more than 14 days; or (iii) credible evidence indicating that the owner or renter of the housing will not allow the individual or family to stay for more than 14 days, and any oral statement from an individual or family seeking homeless assistance that is found to be credible shall be considered credible evidence for purposes of this clause; (b) has no subsequent residence identified; and (c) lacks the resources or support networks needed to obtain other permanent housing. A "veteran" is an individual who served in the activity military, naval, or air service, and who was discharged or released there from under conditions other than dishonorable. (Reference: 33 U.S.C. 101 (2)).

**Credentials/Documentation:**

According to the program's Solicitation for Grant Application (SGA) or Standard 424, Application for Federal Assistance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, and Standard Form 424A, Budget Information shall be submitted, along with the technical proposal and budget narrative as required by the application SGA. This program is subject to the provisions of OMB Circular Nos. A-21, A-87, A-110, A-122, and A-133, 48 CFR 31, 29 CFR 2, 30, 31, 32, 33, 35, 36, 37, 93, 94, 95, 96, 97, 98, and 99.

**Award Procedure:**

The Office of the Assistant Secretary for Administration and Management, and the Assistant Secretary for Veterans' Employment and Training are responsible for all funding decisions regarding this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days.

**Appeals:**

Debriefings of unsuccessful applicants are provided upon request.

**Renewals:**

As noted in the SGA.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Usually awarded for a full program year (July through June period). Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly reporting of program activity such as number enrolled, entered employment and retention in employment. Through the HHS and Department's E-Grants system. Progress reports are submitted by grantees on a quarterly basis which include comparisons between planned and actual results under a wide variety of performance measures and budgetary goals. Program narrative presents highlighted case studies and success stories as well as identified areas in need of improvement. Federal Financial Report (SF 425) through the Department's E-Grants system. Performance monitoring is conducted through quarterly desk audits and at least one on-site visit conducted by the Grant Officer Technical Representative (GOTR) who notes and checks specific thresholds of performance against yearly planned goals and who may recommend that poorly performing grantees submit a Corrective Action Plan (CAP) that describes the specific actions that will ensure that the grantee meets or exceeds the performance expectations stated in their application.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Subject to the provisions of 29 CFR Part 96 Audits of Federally Funded Grants, Contracts, and Agreements.

**Records:**

Financial and performance records to be maintained in accordance with the grant agreement.

**Account Identification:**

16-0164-0-1-702.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$36,257; FY 12 est \$38,185; and FY 13 est \$38,185 - Program operates on a program year (PY) beginning on July 1 and ending on June 30. PY 2011 (Performance period July 1, 2011 - June 30, 2012); PY 2012 (Performance period July 1, 2012 - June 30, 2013).

**Range and Average of Financial Assistance:**

In PY 2012 there were 154 grant awards ranging from \$94,140 to \$300,000 for an average of \$242,000 (rounded).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments are unavailable for PY 2011 (July 1, 2011 - June 30, 2012). Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kenneth Fenner, 200 Constitution Avenue, NW, Room S-1312, Washington, District of Columbia 20210 Email: fenner.kenneth@dol.gov Phone: (202) 693-4728.

**Website Address:**

<http://www.dol.gov/dol/vets>.

**RELATED PROGRAMS:**

17.801 Disabled Veterans' Outreach Program (DVOP); 17.802 Veterans' Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in the Solicitation for Grant Application.

**17.807 TRANSITION ASSISTANCE PROGRAM**

TAP

**FEDERAL AGENCY:**

Veteran's Employment and Training Service, Department of Labor

**AUTHORIZATION:**

Defense Reauthorization Act of 1991, Public Law 101-510, 10 U.S.C. 1144.

**OBJECTIVES:**

To provide employment instruction, information and assistance to separating and retiring military personnel and their spouses through domestic and overseas installations and or facilities by offering job search and other related services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

These services are provided through comprehensive workshops at military installations worldwide. TAP Employment Workshops provide service members and spouses with labor market information as they return to the world of civilian employment; resume assistance; and information on available service benefits. TAP Employment Workshops are provided through State Employment Agencies (Local Veterans Employment Representative program--17.804), and through a competitively awarded training and assistance contract.

**Applicant Eligibility:**

State Workforce Agencies designated under Section 4 of the Wagner-Peyser Act, as amended, or entities designed by the Governor. Contractors, as determined by the Department of Labor's Contracting Officer.

**Beneficiary Eligibility:**

Service members within two years of retirement or one year of separation and their spouses.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information Non-Construction Programs, along with a State Plan narrative and a fiscal narrative in accordance with instructions in the grant application process or annual modification instructions. For competitive contracts, as determined by the Department of Labor's Contracting Officer.

**Award Procedure:**

Grant awards are approved by a Department of Labor grant officer annually for the Assistant Secretary for Veterans' Employment and Training based on the recommendations of Regional Administrators and Directors for Veterans' Employment and Training (RAVETs/DVETs). Contract awards are approved approximately annually based on a determination by the Department of Labor's Contracting Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grant application submittal deadlines are established by Grant Application Instructions or Veterans' Program Letter distributed by the ASVET through the Grant Officer for each applicable fiscal year. Contract deadlines are irregular and depend upon fluctuating demand and the ability of the LVER program to provide TAP Employment Workshops.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding is awarded each fiscal year (October through September). States may obligate funds to provide TAP Employment Workshops for a fifth fiscal year quarter (until December 31). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reporting of TAP participants. HHS 272 Report through the HHS system. No progress reports are required. Federal Financial Report (SF 425) through the Department's E-Grants system. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Cost accounting and performance records to be maintained in accordance with Veterans' Program Letters.

**Account Identification:**

16-0174-1-0-702.

**Obligations:**

(Formula Grants) FY 11 \$2,594,000; FY 12 est \$2,162,000; and FY 13 Estimate Not Available. (Project Grants (Contracts)) FY 11 \$4,392,000; FY 12 est \$7,889,389; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2012 (Grants) \$0 - \$681,000; Average \$40,037.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38, Chapter 41.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional administrator or State Director for Veterans' Employment and Training at the nearest office listed in Appendix IV of this Catalog.

**Headquarters Office:**

Timothy Winter 200 Constitution Ave, NW, Room S-1312, Washington, District of Columbia 20210 Email: winter.timothy@dol.gov Phone: 202-693-4705

**Website Address:**

<http://www.dol.gov/vets>.

**RELATED PROGRAMS:**

17.804 Local Veterans' Employment Representative Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on criteria in Grant Application Instructions.

**U.S. DEPARTMENT OF STATE**

**19.009 ACADEMIC EXCHANGE PROGRAMS - UNDERGRADUATE**

## **PROGRAMS**

Undergraduate programs include: the Global Undergraduate Exchange Program (UGRAD); Study of the U.S. Institutes for Student Leaders; the Community College Initiative Program (CCIP); and Critical Language Scholarships for Intensive Summer Institutes.

### **FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

### **AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended, Public Law 87-256, 22 U.S.C 2451.

### **OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Undergraduate Programs is to provide targeted support for American students to pursue intensive language study abroad and for foreign students to gain a better understanding of the United States, while developing new generations of world leaders.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations, colleges, and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding supports publicity and recruitment, screening of applications, communication with participants, payment of awards, and the provision of enrichment activities.

The Global Undergraduate Exchange Program provides one semester and academic year scholarships to outstanding undergraduate students from underrepresented sectors for non-degree full-time study combined with community service, internships and cultural enrichment.

The Study of the U.S. Institutes for Student Leaders expose foreign students to U.S. history, government, culture, society, and institutions with the goal of increasing mutual understanding between the people of the United States and the people of other countries.

The Critical Language Scholarship Program provides fully-funded intensive language instruction and structured cultural enrichment experiences to U.S. undergraduate and graduate students through overseas summer institutes.

The Community College Initiative Program (CCIP) provides educational opportunities to students from underrepresented sectors in participating countries. Students are placed at U.S. community colleges in one-year certificate programs in the fields of business management and administration; tourism and hospitality management; health professions; media; information technology; agriculture; and engineering science. Participants increase their employment-related skills and knowledge of English, increase their ability to contribute to the economic development of their countries, and promote mutual understanding.

Please refer to the [grants.gov](http://grants.gov) announcement for further information.

Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further information.

### **Applicant Eligibility:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the [grants.gov](http://grants.gov) announcement for further eligibility criteria.

### **Beneficiary Eligibility:**

Beneficiaries include participating students, host colleges and universities, host communities and the American people and the people of the participating countries who interact with international participants.

### **Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the [grants.gov](http://grants.gov) website for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>. The application procedures are described in the [grants.gov](http://grants.gov) announcement.

### **Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

As stated in [Grants.gov](http://grants.gov) announcements.

### **Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Cost-sharing requirements are described in the [grants.gov](http://grants.gov) announcement, if applicable. This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

As stated in [Grants.gov](http://grants.gov) announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

### **Reports:**

As stated in [Grants.gov](http://grants.gov) announcements. Cash reports are not applicable. As stated in [Grants.gov](http://grants.gov) announcements. As stated in [Grants.gov](http://grants.gov) announcements. As stated in [Grants.gov](http://grants.gov) announcements.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$46,680,273; FY 12 est \$46,680,273; and FY 13 est \$46,680,273

**Range and Average of Financial Assistance:**

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Global UGRAD Program provides scholarships to outstanding undergraduate students from East Asia, Eurasia and Central Asia, the Near East and South Asia and the Western Hemisphere. Approximately 441 scholarships were awarded in fiscal year 2010, and approximately 491 were awarded in fiscal year 2011.

The Study of the U.S. Institutes are targeted to undergraduates to improve their understanding of the United States. Institutes also focus on a particular theme such as Global Environmental Issues, New Media, Social Entrepreneurship, or Womens Leadership. All Institutes include leadership development, community service activities, and interaction with American peers. In 2011, approximately 453 students from 57 countries participated in Study of the U.S. Institutes.

The Critical Language Scholarship (CLS) Program offers intensive summer language institutes overseas in thirteen critical foreign languages: Arabic, Azerbaijani, Bangla/Bengali, Chinese, Hindi, Indonesian, Japanese, Korean, Persian, Punjabi, Russian, Turkish and Urdu. The CLS institutes provide fully-funded group based intensive language instruction and structured cultural enrichment experiences for seven to ten weeks for U.S. citizen undergraduate, Master's and Ph.D. students. The CLS program is part of a U.S. government effort to expand dramatically the number of Americans studying and mastering critical foreign languages. In 2011, the program awarded approximately 598 scholarships.

The Community College Initiative Program provides practical education in selected fields including agriculture; applied engineering; business management and administration; health professions; information technology; media, and tourism and hospitality management. Participants spend one year in the United States and may earn a vocational certificate. A total of 1,339 individuals from Brazil, Cameroon, Costa Rica, Egypt, El Salvador, Ghana, Guatemala, India, Indonesia, Kenya, Nicaragua, Pakistan, Panama, Turkey, and South Africa are participating or have participated in the program, which has been hosted by 51 community college campuses in 22 states across the nation. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative

Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Johnson Bureau of Educational and Cultural Affairs, Office of Academic Exchange Programs, 2200 C Street, NW, SA-5, Fourth Floor, Washington, District of Columbia 20037 Email: [fulbright@state.gov](mailto:fulbright@state.gov) Phone: (202) 632-3238

**Website Address:**

<http://exchanges.state.gov/academicexchanges/index.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 19.408 Educational Exchange\_Teachers from Secondary and Postsecondary Levels and School Administrators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov announcements.

**19.010 ACADEMIC EXCHANGE PROGRAMS - HUBERT H. HUMPHREY FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended, Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The Hubert H. Humphrey Fellowship Program brings mid-career professionals from countries in states of development and transition to the U.S. for a year of non-degree, graduate-level study and professional development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to a non-profit organization to support program administration as well as coordinating program logistics. Funding supports activities such as publicity and recruitment, screening of participant applications, recruitment and selection of U.S. host institutions, communication with host institutions and recipients, payment of stipends, and the provision of enrichment activities. The Hubert H. Humphrey Fellowship Program is a Fulbright exchange activity that provides early- and mid-career professionals from countries in states of development and transition ten months of non-degree

academic study and related professional experiences in the United States. Humphrey Fellows are selected based on their potential for leadership and their commitment to public service in either the public or the private sector. The Humphrey Program fosters a mutual exchange of knowledge and understanding about issues of common concern in the United States and the Fellows home countries. The Program offers Fellows opportunities for leadership development and professional engagement with Americans and their counterparts from many nations. Eighteen major universities in the United States serve as host campuses for Humphrey Fellows. These host universities are chosen for their excellence in relevant Humphrey fields of study and for the resources and support they offer Humphrey Fellows. Please refer to the [grants.gov](http://grants.gov) announcement for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards project grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the [grants.gov](http://grants.gov) website for organizations meeting eligibility requirements. Announcements are made as necessary during the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the [grants.gov](http://grants.gov) announcement.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the [grants.gov](http://grants.gov) announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. No matching requirements, however matching funds are recommended as listed in each Request for Grant Proposal (RFGP).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the [grants.gov](http://grants.gov) announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the [grants.gov](http://grants.gov) announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the [grants.gov](http://grants.gov) announcements. As stated in the [grants.gov](http://grants.gov) announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$12,644,972; FY 12 est \$12,644,972; and FY 13 est \$12,644,972

**Range and Average of Financial Assistance:**

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There have been more than 4,400 program alumni during the 34 years the program has existed. They came from 157 countries and were hosted by 44 U.S. host institutions.

The Humphrey Program creates a basis for establishing enduring links between Americans and citizens of other nations, and among the Programs alumni. Humphrey Fellows return to their home countries reinvigorated by broader perspectives, enhanced leadership skills, and greater professional knowledge. Many achieve positions of greater professional responsibility soon after completing the program. The U.S. faculty, students, and community members who receive Humphrey Fellows expand their horizons as well. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the [grants.gov](http://grants.gov) announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Sedlins Department of State  
Bureau of Educational and Cultural Affairs  
Office of Global Educational Programs  
Humphrey and Institutional Linkages Branch  
2200 C Street, NW

SA-5, Rm. 4CC13, Washington, District of Columbia 20037 Email: sedlinsjz@state.gov Phone: (202) 632-6328

**Website Address:**

<http://exchanges.state.gov/globalexchanges/humphrey-fellowship.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 19.408 Educational Exchange\_Teachers from Secondary and Postsecondary Levels and School Administrators

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov announcements.

**19.011 ACADEMIC EXCHANGE PROGRAMS - SPECIAL ACADEMIC EXCHANGE PROGRAMS**

Special Academic Exchange programs include: American Overseas Research Centers, Benjamin A. Gilman Scholarship Program; Disability Exchange Clearinghouse, Edmund S. Muskie Fellowship Program; Junior Faculty Development Program; George Mitchell Fellowship Program, South Pacific Exchanges; Tibetan Scholarship Program, and Timor Leste Scholarship Program.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended, Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Special Academic Exchange Programs is to provide targeted support for U.S. and foreign students who may not otherwise have the resources to pursue international exchange opportunities or who are in fields directly relevant to identified needs in their countries.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Special Academic Exchange Programs support participants in undergraduate, graduate, and non-degree professional development programs. Special Academic Exchange Programs target underserved populations from the developing world or strategically important areas. These programs provide selected participants with the opportunity to participate in exchanges and develop international competencies and skills, which allow them to serve as leaders in their professions and communities. Funding for these programs supports nonprofit organizations to plan activities, recruit and select participants, and administer and monitor international exchange programs.

American Overseas Research Centers are located throughout the world and provide services to scholars, including assistance with research and publication.

The Benjamin A. Gilman International Scholarship Program provides scholarships to U.S. undergraduates with financial need for study abroad, including students from diverse backgrounds and students going to non-traditional study abroad destinations.

The Disability Exchange Clearinghouse provides information to the disabilities community about exchange opportunities and assists exchange organizations with incorporating people with disabilities into their programs.

The Edmund S. Muskie Fellowship Program provides fellowships for Master's level study in the United States in selected fields to young and mid-career individuals in order to foster democratization and the transition to market economies in Eurasia.

The Junior Faculty Development Program provides university faculty in the early stages of their careers opportunities to upgrade their knowledge of the subjects they teach, and to maintain on-going contacts between their home and host institutions.

The George Mitchell Scholarship Program provides scholarships to U.S. citizens to pursue one year of postgraduate study in institutions of higher education in the Republic of Ireland and Northern Ireland.

The United States--South Pacific Scholarship Program provides educational opportunities for academically talented individuals from South Pacific countries to pursue bachelor's and master's degree study at U.S. institutions in fields that are directly relevant to development needs in the Pacific region.

The Tibetan Scholarship Program helps educate future Tibetan leaders by bringing them to the United States to study at U.S. universities.

The Timor Leste Scholarship is a scholarship program open to Timorese who meet specific selection criteria. The objective of the program is to identify and support the education of academically talented Timorese who are in the future expected to assume leadership roles in Timor-Leste.

Special Academic Programs include several other academic exchange initiatives in which the U.S. Congress has particular interest.

Please refer to Grants.gov for further information.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

Beneficiaries include selected participants, host colleges and universities, host communities and the American people and the people of participating countries who interact with international participants.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website for organizations meeting eligibility requirements. Announcements are made

throughout the fiscal year and are posted to the Department of State's website:  
<http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the [grants.gov](http://grants.gov) announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the [grants.gov](http://grants.gov) announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Cost-sharing requirements are described in the [grants.gov](http://grants.gov) announcements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the [grants.gov](http://grants.gov) announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the [grants.gov](http://grants.gov) announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the [grants.gov](http://grants.gov) announcements. As stated in the [grants.gov](http://grants.gov) announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$25,045,178; FY 12 est \$25,045,178; and FY 13 est \$25,045,178 -

**Range and Average of Financial Assistance:**

\$485,000 to \$10,420,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2010, the Council of American Overseas Research Centers (CAORC) provided support for approximately 19 American Overseas Research Centers located worldwide.

The Benjamin A. Gilman International Scholarship Program is breaking the ceiling on minority participation in study abroad and contributing to the record high number of Americans studying abroad through its support of talented, financially disadvantaged undergraduate students.

Since its inception in 2001, the Gilman Scholarship has awarded nearly 8,800 scholarships to American undergraduate students. They represent nearly 900 colleges and universities from all 50 states including the District of Columbia and Puerto Rico and study in 116 countries around the world. In 2010-2011 2,340 Gilman Scholars are studying abroad, many in locations outside the traditional study abroad destinations.

In fiscal year 2010, Mobility International, USA, through the National Clearinghouse on Disability and Exchange, provided information to the disabilities community about exchange opportunities and assisted exchange organizations with incorporating people with disabilities into their programs. The program promoted increased awareness and interaction between the United States and countries/regions of the world vis-vis disability and exchange.

The Edmund S. Muskie Graduate Fellowship Program confers fellowships in the fields of business administration, economics, education, environmental policy and management, international affairs, journalism/mass communications, law, library and information science, public administration, public health and public policy.

One hundred three fellowships were awarded for the 2011-2012 academic year to candidates from Armenia, Azerbaijan, Belarus, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Russia, Tajikistan, Turkmenistan, Ukraine and Uzbekistan. Numerous Muskie Alumni have returned to serve in positions of leadership in their home countries.

The Junior Faculty Development Program awarded approximately 42 scholarships in fiscal year 2011 for participants from Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Croatia, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Macedonia, Serbia and Montenegro, Tajikistan, Turkmenistan, and Uzbekistan. Alumni return to develop course work, introduce new teaching methodologies, and share experiences with their colleagues.

In fiscal year 2011, the U.S. Ireland Alliance administered the George Mitchell Scholarship Program, which provided approximately 12 scholarships to U.S. citizens to pursue one year of postgraduate study in institutions of higher education in the Republic of Ireland and Northern Ireland.

In fiscal year 2010, the Tibet Fund administered the Tibetan Scholarship Program to fund approximately 29 Tibetan students for study at U.S. universities.

The United States--South Pacific Scholarship Program has supported more than 89 South Pacific Islanders since the programs inception in 1995. Under the Timor Leste Scholarship Program, more than 55 East Timorese students have received scholarships since the program began 2000. Many alumni of these two programs have returned home to important posts in cabinets of the new Timor-Leste government, in South Pacific government entities, at prominent NGOs, with United Nations programs, and at academic institutions. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the [grants.gov](http://grants.gov) announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost

accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Johnson Department of State, Bureau of Educational and Cultural Affairs, Office of Academic Exchange Programs, 2200 C Street, NW, SA-5, Fourth Floor, Washington, District of Columbia 20037 Email:

fulbright@state.gov Phone: (202) 632-3238

**Website Address:**

<http://exchanges.state.gov/academicexchanges/index.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov announcements.

**19.015 CULTURAL, TECHNICAL AND EDUCATIONAL CENTERS**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961 (Public Law 87-256), as amended., 22 U.S.C 2054 2078 2451; Department of State, Foreign Operations, and Related Programs Appropriations Act.

**OBJECTIVES:**

To assist various organizations identified by Congress to achieve objectives specified by Congress. As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance is provided to implement specific projects identified by Congress.

Funding is provided to the Center for Cultural and Technical Interchange Between East and West (East-West Center) to promote better relations and understanding between the United States and the nations of Asia and the Pacific through cooperative study, training, and research. Scholars, students, teachers, government officials, NGO leaders, journalists and other professionals in various fields from the U.S. and the Asia Pacific region may study and carry out research, exchange ideas and views, lead and participate in seminars and training activities, take part in cultural programs, and conduct other activities primarily in support of the objectives of the Fulbright-Hays Act, as amended, and other Acts promoting the international, educational, cultural, and related activities of the United States.

Funding is appropriated each fiscal year from interest and earnings credited to the Center for Middle Eastern-Western Dialogue Trust Fund for operations of the International Center for Middle Eastern-Western Dialogue to promote dialogue and scholarship in the Middle East.

**Applicant Eligibility:**

Organizations specifically identified by Congress in agency appropriations legislation.

**Beneficiary Eligibility:**

Beneficiaries are those served by the organizations receiving awards.

**Credentials/Documentation:**

Eligible organizations are those specifically identified by Congress in agency appropriations legislation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. As stated in the award solicitation documents.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau of Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are contingent upon future Congressional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the award solicitation documents. Cash reports are not applicable. Progress reports are not applicable. As stated in the award solicitation documents. As stated in the award solicitation documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report as authorized by the DOS. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional



guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$21,510,392; FY 12 est \$21,510,392; and FY 13 est \$21,510,392 -

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>. Refer to solicitation documents for additional requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lana Muck Department of State  
Bureau of Educational and Cultural Affairs  
Office of Academic Programs  
2200 C Street, NW, SA-05  
Rm. 5Q15  
, Washington, District of Columbia 20037 Email: [MuckLS@state.gov](mailto:MuckLS@state.gov) Phone: 202-632-9331

**Website Address:**

<http://exchanges.state.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the award solicitation documents.

**19.022 EDUCATIONAL AND CULTURAL EXCHANGE PROGRAMS APPROPRIATION OVERSEAS GRANTS**

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act), as amended, Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

To provide assistance awards by U.S. diplomatic missions abroad made directly to eligible organizations in the United States using funds appropriated to and authorized by the Bureau of Educational and Cultural Affairs for the purpose of supporting international exchanges that address issues of mutual interest to the United States and other countries, consistent with the program criteria established in the Departments annual appropriation. As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange; to strengthen the ties which unite us with other nations by demonstrating the educational and cultural interests, developments, and achievements of the people of the United States and other nations, and the contributions being made toward a peaceful and more fruitful life for people

throughout the world; to promote international cooperation for educational and cultural advancement; and thus to assist in the development of friendly, sympathetic, and peaceful relations between the United States and the other countries of the world..

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Awards made by Overseas Public Diplomacy Offices may support any activity authorized by the Fulbright-Hays Act for which funding has been appropriated by Congress through the annual Educational and Cultural Exchange Programs Appropriation administered by the Department of State (DOS) Bureau of Educational and Cultural Affairs. The activities are designed to promote U.S. interests in designated countries around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and other countries. Awards are made to eligible profit or non-profit corporations, institutions or individuals. Awards under this program are specific to those made to domestic (U.S.) institutions or individuals and supported by funds appropriated to and approved by the Bureau of Educational and Cultural Affairs.

**Applicant Eligibility:**

Projects must support the development of mutual understanding between the United States and other countries in any area of importance to U.S. interests in those countries.

**Beneficiary Eligibility:**

Beneficiaries include individuals selected for participation in the project, educational institutions, and Americans and people of other countries who interact with international participants.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Program announcements and application procedures may vary widely depending on the overseas post and program, including through [grants.gov](http://grants.gov) as applicable. Note that overseas posts may also administer programs limited to overseas applicants, which are not covered by this CFDA entry.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

See announcement at [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the original solicitation document at [www.grants.gov](http://www.grants.gov).

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of time for which assistance is available varies depending on the specific program and will be stated in the terms and conditions of the award. See the following for information on how assistance is awarded/released: The method of assistance may vary depending on the specific program and will be stated in the terms and conditions of the award.

**Reports:**

Program reports are to be submitted in accordance with the terms and conditions of the award. Cash reports may be required in accordance with the terms and conditions of the award. Progress reports may be required in accordance with the terms and conditions of the award. Expenditure reports are to be submitted in accordance with the terms and conditions of the award. Performance monitoring may be required in accordance with the terms and conditions of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. For awards that are renewed quarterly or annually, records pertinent to the award must be maintained for three years from the date of the submission of the quarterly or annual financial report as authorized by the DOS. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants) FY 11 \$2,017,418; FY 12 est \$2,017,418; and FY 13 est \$2,017,418

**Range and Average of Financial Assistance:**

Award amounts may vary widely depending on the nature of the project, from less than \$10,000 to a maximum of \$250,000. A typical institutional award may total \$50,000 or less.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments will vary with individual activities. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for programs will vary with individual activities and posts. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Yolanda Robinson, Bureau of Educational and Cultural Affairs, Department of State, SA-5, Washington, District of Columbia 20522-0504 Email: [RobinsonYJ@state.gov](mailto:RobinsonYJ@state.gov) Phone: (202) 632-3358.

**Website Address:**

<http://exchanges.state.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals vary by awards supporting individual activities and are outlined in the solicitations for individual activities.

**19.023 OVERSEAS SCHOOLS PROGRAM**

**FEDERAL AGENCY:**

Office of Overseas Schools, U.S. Department of State

**AUTHORIZATION:**

Department of State Basic Authorities Act of 1956, as amended by the Foreign Service Act of 1980., 22 U.S.C 2701; The Foreign Assistance Act of 1961 as amended., Section 636c and d.

**OBJECTIVES:**

The Office of Overseas Schools promotes quality educational opportunities at the elementary and secondary school levels for dependents of American citizens carrying out programs and interests of the U.S. Government abroad. The Office also works to increase mutual understanding between the people of the United States and the people of other countries through educational institutions which demonstrate American educational practices, principles and methods employed in the United States.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

A/OPR/OS gives grant assistance to approximately 200 American-sponsored overseas schools. These schools meet criteria outlined in the Foreign Affairs Manual (2 FAM 600), which requires that they be non-profit, non-church related and serve American interests. Schools accepting the grants agree to admit all eligible USG dependents. Grants must be used for approved educational purposes such as curriculum purchase, teacher training, and educational supplies/equipment.

**Applicant Eligibility:**

Grants are generally restricted to selected overseas schools.

**Beneficiary Eligibility:**

Dependents of American citizens carrying out programs and interests of the U.S. Government abroad are the primary beneficiaries.

**Credentials/Documentation:**

Schools must meet all requirements as prescribed in the Foreign Affairs Manual, Volume 2, Section 600. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Post and Legal approve school's eligibility to receive a grant. School applies to A/OPR/OS, which decides the amount and purpose(s) of the grant, prepares the documents and sends them to school/post to execute. School signs and returns copies to post and A/OPR/OS.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are generally 12 - 18 months in length. See the following for information on how assistance is awarded/released: Schools spend funds as outlined in grant and submit receipts to post for payment. Grants are reimbursable.

**Reports:**

Annual program report. No cash reports are required. An annual progress report is required. A/OPR/OS has an OMB approved form (DS-2028) that grantees submit to report expenditures. The form is provided at the time the grant is issued. Regional Education Officers from A/OPR/OS visit posts/schools to review performance. There is also regular email dialog between schools, posts and A/OPR/OS on performance matters.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Currently, all A/OPR/OS grants are well below the audit threshold.

**Records:**

Grantee must maintain grant files for three years from closeout of the grant.

**Account Identification:**

19-4519-0-0-001 - 19\_\_x45190001 (ICASS funds).

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$11,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Grants range from \$5000 to \$300,000. Majority of grants are less than \$40,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anna M. Schuhart 2201 C Street NW  
SA-1, Suite H328, Washington, District of Columbia 20520 Email:  
schuhartam@state.gov Phone: 2022618207 Fax: 2022618224

**Website Address:**

<http://www.state.gov/m/a/os>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.030 ANTITERRORISM ASSISTANCE DOMESTIC TRAINING PROGRAMS****FEDERAL AGENCY:**

Diplomatic Security, U.S. Department of State

**AUTHORIZATION:**

The Foreign Assistance Act of 1961, as amended 1983.

**OBJECTIVES:**

The Bureau of Diplomatic Security (DS) aims to build counterterrorism capacity, enhance bilateral relationships and increase respect for human rights through its Office of Antiterrorism Assistance (ATA) Program, authorized by Congress in 1983 under the Foreign Assistance Act. The purpose of ATA programs is to develop the capacity of key partner nations to combat terrorism,

establish security relationships between U.S. and foreign officials to strengthen cooperative antiterrorism efforts, and share modern, humane, and effective antiterrorism techniques.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

ATA assesses the training needs, develops the curriculum, and provides the resources to train civilian security and law enforcement personnel from partner nations to enhance their capacity to detect, deter, counter, and investigate terrorist activities. Funding is awarded to support the development, implementation, instruction and / or logistics of ATA domestic training programs which advance partner nations antiterrorism capabilities in the following areas:

Protecting national borders

Protecting critical infrastructure

Protecting national leadership

Responding to and resolving terrorist incidents

Managing critical terrorist incidents having national-level implications. Please refer to the specific announcement on [www.Grants.gov](http://www.Grants.gov).

**Applicant Eligibility:**

Please refer to the specific announcement on [www.Grants.gov](http://www.Grants.gov).

**Beneficiary Eligibility:**

Foreign law enforcement and security personnel from Partner Nations lacking resources needed to maintain an effective antiterrorism program and infrastructure.

**Credentials/Documentation:**

Please refer to the specific announcement on [www.Grants.gov](http://www.Grants.gov). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Please refer to the specific announcement on [Grants.gov](http://Grants.gov).

**Award Procedure:**

Please refer to the specific announcement on [Grants.gov](http://Grants.gov).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Please refer to the specific announcement on [Grants.gov](http://Grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Please refer to the specific announcement on [www.Grants.gov](http://www.Grants.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally one year. See the following for information on how assistance is awarded/released: Lump sum or quarterly - please refer to the specific announcement on [www.Grants.gov](http://www.Grants.gov).

**Reports:**

Please refer to the specific announcement on [www.Grants.gov](http://www.Grants.gov). Please refer to the specific announcement on [www.Grants.gov](http://www.Grants.gov). Please refer to the specific announcement on [Grants.gov](http://Grants.gov). Please refer to the specific announcement on [www.Grants.gov](http://www.Grants.gov). Recipients may be subject to site visit.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit is due to the condition of the grant. Please refer to the specific announcement on www.Grants.gov.

**Records:**

Records should be save three years after grant. Please refer to the specific announcement on www.Grants.gov.

**Account Identification:**

19-0000-0-1-000.

**Obligations:**

(Salaries) FY 11 \$150,000; FY 12 est \$150,000; and FY 13 est \$150,000

**Range and Average of Financial Assistance:**

Anti-Terrorism Executive Forum  
Senior Crisis Management Seminar.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The specific goal and/or program accomplishments of Anti-Terrorism Executive Training is to help nations effectively establish the conditions and capacity for achieving peace, security, and stability; and for responding effectively against arising threats to national or international security and stability. The Anti-Terrorism Executive Training is designed for senior partner nation executives responsible for the direction and oversight of law enforcement operations, law enforcement training, prosecution, legislative, judicial, information management and other key officials who influence the ability of their nation to prevent, respond and investigate terrorism. During the Anti-Terrorism Executive Training program, participants will be exposed to various senior level subject matter experts from the U.S. Government, civilian and academic sectors regarding terrorism. At the conclusion of the Anti-Terrorism Executive Training, participants will be able to address, adjust or change home country terrorism policies and / or procedures. Fiscal Year 2012: The specific goal and/or program accomplishments of Anti-Terrorism Executive Training is to help nations effectively establish the conditions and capacity for achieving peace, security, and stability; and for responding effectively against arising threats to national or international security and stability. The Anti-Terrorism Executive Training is designed for senior partner nation executives responsible for the direction and oversight of law enforcement operations, law enforcement training, prosecution, legislative, judicial, information management and other key officials who influence the ability of their nation to prevent, respond and investigate terrorism. During the Anti-Terrorism Executive Training program, participants will be exposed to various senior level subject matter experts from the U.S. Government, civilian and academic sectors regarding terrorism. At the conclusion of the Anti-Terrorism Executive Training, participants will be able to address, adjust or change home country terrorism policies and / or procedures. Fiscal Year 2013: The specific goal and/or program accomplishments of Anti-Terrorism Executive Training is to help nations effectively establish the conditions and capacity for achieving peace, security, and stability; and for responding effectively against arising threats to national or international security and stability. The Anti-Terrorism Executive Training is designed for senior partner nation executives responsible for the direction and oversight of law enforcement operations, law enforcement training, prosecution, legislative, judicial, information management and other key officials who influence the ability of their nation to prevent, respond and investigate terrorism. During the Anti-Terrorism Executive Training program, participants will be exposed to various senior level subject matter experts from the U.S. Government, civilian and academic sectors regarding terrorism. At the conclusion of the Anti-Terrorism Executive Training, participants will be able to address, adjust or change home country terrorism policies and / or procedures.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Stefanie M. Inabinet 2230 Gallows Road,  
SA-11B Room 1D10  
, Dunn Loring, Virginia 22027 Email: inabinetsm@state.gov Phone:  
571-226-9689

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Please refer to the specific announcement on Grants.gov.

**19.031 RESEARCH AND DEVELOPMENT - PHYSICAL SECURITY PROGRAMS**

Research and Development

**FEDERAL AGENCY:**

Diplomatic Security, U.S. Department of State

**AUTHORIZATION:**

Omnibus Diplomatic Security and Antiterrorism Act of 1986, as amended (22 U.S.C. 4802 et seq.) , Public Law 100-204, 22 U.S.C 4802.

**OBJECTIVES:**

The Research and Development Program evaluates and recommends physical security countermeasures against terrorism threat for blast mitigation, anti-ram barriers, and forced-entry ballistic-resistant systems.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance can be used to design and evaluate physical security countermeasures against terrorism threat for blast mitigation, anti-ram barriers, and forced-entry ballistic-resistant systems.

**Applicant Eligibility:**

The Vehicle Anti-Ram program develop passive and active anti-ram designs to lower the cost of providing anti-ram protection.

The Blast Mitigation program develops, tests, and fields systems and techniques that protect USG employees and property from the effects of attacks employing explosives.

The Force-Entry Ballistic-Resistance program develops and certifies FE/BR construction products and systems to protect USG employees and property from the effects of forced-entry attacks.

**Beneficiary Eligibility:**

USG Personnel and Facilities are the beneficiary of all research and development programs and products.

**Credentials/Documentation:**

1. Accreditation Board for Engineering and Technology (ABET)-certified Academic educational institutions, colleges and universities of Higher Education -located in the United States of America and it Territories. Proposals are encouraged from Historically Black Colleges and Universities in accordance with 20 USC 1067k (3) and 10 USC 2323(a)(1)(C), or  
2.State and Local Government institutions certified by OSHA and ASTM standards. Proposals are encouraged from Federally recognized Indian Tribal governments in accordance with Section 3 of the Alaska Native Claims Settlement Act, 85 Stat 688. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program.

**Award Procedure:**

- 1) Submit a completed government-wide version of form SF-424: Application for Federal Assistance available on line at <http://apply07.grants.gov/apply/FormLinks?family=15>
- 2) Proposals must be submitted electronically through the [www.grants.gov](http://www.grants.gov) website using the apply process. All applicants must register with Grants.gov prior to submitting a proposal.
- 3) For new users, begin the registration process early since it could take up to two weeks to obtain validation and confirmation from Grants.gov. Until that process is complete, you will not be issued a user password for Grants.gov. The required information to complete the registration process is as follows:
  - a. Valid DUNS number (Contact 1-866-705-5711 for inquiries)
  - b. Registered with CCR (Central Contractor Registry)
- 4) Proposals submitted by any other means may not be considered or reviewed.
- 5) Proposal receipt after the specified due date and time shall be governed by the provisions of the Federal Acquisition Regulation (FAR) 52.215-1(c)(3). Proposals outside of the scope as described herein will not be further reviewed.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. a. Proposals will be evaluated based on the following descending order of importance:

- 1) Experience
- 2) Qualified facility
- 3) Principal Officer or Project Lead
- 4) Cost Proposal.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Anticipated Period of Award: 5 Years. Method of awarding/releasing assistance: lump sum.

**Reports:**

- 1) The Recipient shall submit quarterly financial reports within 15 days after the quarter ends and program reports within 30 days after the calendar year quarter ends and/or the project ends. A final certified financial report and program report must be submitted to the Grants Officer Representative and Grants Officer within 90 days after the award period end date.
- 2) Financial reports are to be submitted electronically using Form FFR (SF-425): Federal Financial Report through the Payment Management System (PMS) under US Department of Health and Human Services website available on line at [www.dpm.psc.gov](http://www.dpm.psc.gov).
- 3) Program reports shall be provided in written format, in scientific and technical terms, to describe how the research aligns with the objective and scope involved. It should describe how the goals of the projects were met, what problems were encountered and how they were resolved, the likely future impact, what new contacts were made, what new plans or projects were conceived, and what issues were discussed and the participants. The final report must provide additional project documentation such as photos, detailed write-ups, and published information, which demonstrates the overall benefits of the award requirements. Cash reports are not applicable. Program reports shall be provided in written format, in scientific and technical terms, to describe how the research aligns with the objective and scope involved. It should describe how the goals of the projects were met, what problems were encountered and how they were resolved, the likely future impact, what new contacts were made, what new plans or projects were conceived, and what

issues were discussed and the participants. The final report must provide additional project documentation such as photos, detailed write-ups, and published information, which demonstrates the overall benefits of the award requirements. Financial reports are to be submitted electronically using Form FFR (SF-425): Federal Financial Report through the Payment Management System (PMS) under US Department of Health and Human Services website available online at [www.dpm.psc.gov](http://www.dpm.psc.gov). Program reports shall be provided in written format, in scientific and technical terms, to describe how the research aligns with the objective and scope involved. It should describe how the goals of the projects were met, what problems were encountered and how they were resolved, the likely future impact, what new contacts were made, what new plans or projects were conceived, and what issues were discussed and the participants. The final report must provide additional project documentation such as photos, detailed write-ups, and published information, which demonstrates the overall benefits of the award requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records are required for three years after the project ends.

**Account Identification:**

19-0011-3-0-000 - Actual # is 19X0113.000.

**Obligations:**

(Salaries) FY 11 \$4,600,000; FY 12 est \$3,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2. State and Local Government institutions certified by OSHA and ASTM standards. Proposals are encouraged from Federally recognized Indian Tribal governments in accordance with Section 3 of the Alaska Native Claims Settlement Act, 85 Stat 688.

**Regional or Local Office:**

None.

**Headquarters Office:**

D'Vetrio A. Baugh 1400 Wilson Blvd.  
. Arlington, Virginia 22209 Email: [BaughDA@state.gov](mailto:BaughDA@state.gov) Phone: 7033123214

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.032 GLOBAL ENGAGEMENT**

**FEDERAL AGENCY:**

Secretary Office Representative to Muslim Communities, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961 as amended, Executive Order (P.L. 87-195), part II Chapter 4.

**OBJECTIVES:**

To support projects that fulfill U.S. government global engagement goals to

strengthen civil society and counter extremism, including: social media training, media empowerment, leadership development to inspire youth toward positive goals, and a women in public service initiative.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The target audience is in Economic Support Fund - eligible countries. See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Applicant Eligibility:**

See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Beneficiary Eligibility:**

See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Award Procedure:**

See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Appeals:**

See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Renewals:**

See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally one year. Method of awarding/releasing assistance: lump sum.

**Reports:**

See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.(Specifically, see terms and conditions as presented in award document.). See [www.grants.gov](http://www.grants.gov) for specific requests for proposals. (Specifically, see terms and conditions as presented in award document.). See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.(Specifically, see terms and conditions as presented in award document.). See [www.grants.gov](http://www.grants.gov) for specific requests for proposals. See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.(Specifically, see terms and conditions as presented in award document.).

**Audits:**

Not Applicable.

**Records:**

Records must be maintained for three years after the end of the award.

**Account Identification:**

19-2301-1-3-000.

**Obligations:**

(Project Grants) FY 11 \$1,000,000; FY 12 Estimate Not Available(Exp: no funding yet); and FY 13 Estimate Not Available(Exp: no funding yet) - See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Range and Average of Financial Assistance:**

\$10,000 - \$100,000 dollars, average \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Women in Public Service Project was launched through this funding in December, 2011. bringing rising women leaders from around the world for leadership training and networking in the U.S., toward the goal of substantially increasing women's participation in public service worldwide. Fiscal Year 2012: n/a. Fiscal Year 2013: n/a.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**Headquarters Office:**

Lora Berg HST Building  
2201 C Street  
, Washington, District of Columbia 20520 Email: [BergLJ@state.gov](mailto:BergLJ@state.gov) Phone: 2027367884

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See [www.grants.gov](http://www.grants.gov) for specific requests for proposals.

**19.033 GLOBAL THREAT REDUCTION**

Global Threat Reduction (GTR) Program

**FEDERAL AGENCY:**

Bureau of International Security and Nonproliferation, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961, as amended, Public Law 87-195, 22 U.S.C 2349bb-1.

**OBJECTIVES:**

The U.S. Department of State's Office of Cooperative Threat Reduction (ISN/CTR), part of the Bureau of International Security and Nonproliferation, supports programs aimed at reducing the threat posed by terrorist organizations or states of concern seeking to acquire weapons of mass destruction (WMD) expertise, material, and equipment. ISN/CTR programs, also known as Global Threat Reduction (GTR) programs, accomplish this task by funding a variety of projects that aim to enhance biological, chemical, and nuclear security practices and productively engage scientists with WMD-applicable expertise. In addition to continued efforts in Iraq and the former Soviet Union to engage former WMD experts, GTR programs are working to reduce the rapidly growing worldwide WMD threat posed by terrorists, non-state actors, and proliferant states. GTR programs are threat-driven and focus on frontline states like Iraq and Yemen, critical states such as Indonesia and Philippines, and in regions where the terrorist threat is on the rise, such as South Asia, the Middle East, and Africa.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (including travel grants)

**USES AND USE RESTRICTIONS:**

ISN/CTR periodically awards assistance instruments to facilitate the implementation of specific projects in various partner countries. Past GTR programs include: formal training workshops for foreign government officials on biological, chemical, and nuclear security; assistance developing curricula and training materials that institutionalize scientific ethics; and assessing partner countries' adherence to international best practices on WMD expertise and material security. ISN/CTR will release requests for application (RFAs) as specific grant/cooperative agreement opportunities are identified.

**Applicant Eligibility:**

Please see specific announcement on [www.grants.gov](http://www.grants.gov).

**Beneficiary Eligibility:**

Please see specific announcement on [www.grants.gov](http://www.grants.gov).

**Credentials/Documentation:**

As specified in specific requests for application (RFAs), applicants may be required to submit copies of their most recent negotiated indirect cost rate agreement (NICRA) to support proposed indirect costs. Additionally, applicants may be required to submit resumes, curricula vitae, or other supporting documentation showing that proposed key personnel are qualified to perform their intended roles. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Detailed application instructions will be specified in individual requests for application (RFAs). Please see specific announcement on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

ISN/CTR will evaluate applications for GTR assistance agreements consistent with the terms specified in individual requests for application (RFAs).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Please see specific announcement on [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

ISN/CTR typically limits performance of individual assistance agreements to twelve months, though performance may be permitted beyond twelve months on a case-by-case basis depending on the complexity of the given project. Method of awarding/releasing assistance: lump sum.

**Reports:**

ISN/CTR requires program reports at least quarterly, though more frequent and specialized reporting may be required. Specific reporting requirements are detailed in individual requests for application (RFAs). Please see specific announcement on [www.grants.gov](http://www.grants.gov). Cash reports are not applicable. ISN/CTR requires progress reports at least quarterly, though more frequent and specialized reporting may be required. Specific reporting requirements are detailed in individual requests for application (RFAs). Please see specific announcement on [www.grants.gov](http://www.grants.gov). ISN/CTR requires expenditure reports at least quarterly, though more frequent and specialized reporting may be required in certain circumstances. Specific reporting requirements are detailed in individual requests for application (RFAs). Please see specific announcement on [www.grants.gov](http://www.grants.gov). See individual announcements in [www.grants.gov](http://www.grants.gov) for specific performance monitoring requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Please see specific announcement on [www.grants.gov](http://www.grants.gov).

**Records:**

Financial records required to be maintained for three years.

**Account Identification:**

19-1112-1-0-075.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 est \$1,200,000; and FY 13 est \$1,200,000

**Range and Average of Financial Assistance:**

Typical award amount is approximately \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jonathon D. Walz HST 3327 - ISN/CTR  
2201 C Street NW, Washington, District of Columbia 20520 Email:  
[walzjd@state.gov](mailto:walzjd@state.gov) Phone: 2027364961 Fax: 2027367698

**Website Address:**

<http://www.state.gov/t/isn/58381.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for proposal selection is specified in individual requests for application (RFAs). See specific announcement at [www.grants.gov](http://www.grants.gov).

**19.040 PUBLIC DIPLOMACY PROGRAMS**

Public Diplomacy Programs

**FEDERAL AGENCY:**

Under Secretary for Public Diplomacy and Public Affairs, U.S. Department of State

**AUTHORIZATION:**

Fulbright Hayes Act, the Mutual and Cultural Exchange Act of 1961 and PL 256, Foreign Assistance Act of 1961 as amended. USC 22, Smith-Mundt Act - US Information and Education Exchange Act of 1948, PL 80-402.

**OBJECTIVES:**

To support the achievement of U.S. foreign policy goals and objectives, advance national interests, and enhance national security by informing and influencing foreign publics and by expanding and strengthening the relationship between the people and government of the United States and citizens of the rest of the world.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To support the achievement of U.S. foreign policy goals and objectives, advance national interests, and enhance national security by informing and influencing foreign publics and by expanding and strengthening the relationship between the people and government of the United States and citizens of the rest of the world.

See specific announcement in [www.grants.gov](http://www.grants.gov).

**Applicant Eligibility:**

See specific announcement in [www.grants.gov](http://www.grants.gov).

**Beneficiary Eligibility:**

Local organizations, See specific announcement in [www.grants.gov](http://www.grants.gov). Citizens throughout the world as determined by post.

**Credentials/Documentation:**

See specific announcement in [www.grants.gov](http://www.grants.gov). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See individual announcement at [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

A technical review panel reviews proposals and scores them in accordance with published review criteria and determines priority program recommendations for final negotiation on the grant. For further details see individual program announcement @ [www.grants.gov](http://www.grants.gov).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As determined by post and Embassies.  
For further details see individual program announcement @ [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Based on program needs and availability of funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For further details see individual program announcement @ [www.grants.gov](http://www.grants.gov).  
See the following for information on how assistance is awarded/released: For further details see individual program announcement @ [www.grants.gov](http://www.grants.gov).

**Reports:**

Usually quarterly, further details see individual program announcement @ [www.grants.gov](http://www.grants.gov). Usually quarterly, further details see individual program announcement @ [www.grants.gov](http://www.grants.gov). Usually quarterly, further details see individual program announcement @ [www.grants.gov](http://www.grants.gov). Reporting requirement will be outlined in the grant or cooperative agreement. Reporting requirement will be outlined in the grant or cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Per OMB regulations all records should be kept for three years, beginning from the expiration date of the award.

**Account Identification:**

19-1201-1-3-000.

**Obligations:**

(Project Grants) FY 10 Not Separately Identifiable; FY 11 Not Separately Identifiable; and FY 12 Not Separately Identifiable - Public Diplomacy funds are for use by Embassies worldwide.

**Range and Average of Financial Assistance:**

Range between \$10,000 and \$5,000,000. Average \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Embassy for additional information.

**Headquarters Office:**

Carol F. Keith 2200 C Street, N.W.  
R/PPR/R, 5th Floor, Washington, District of Columbia 20522. Email: KeithCF@state.gov Phone: 202-632-3341.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.124 EAST ASIA AND PACIFIC GRANTS PROGRAM**

U.S. Department of State, Bureau of East Asian and Pacific Affairs, Grant Awards

**FEDERAL AGENCY:**

Bureau of East Asian and Pacific Affairs, U.S. Department of State

**AUTHORIZATION:**

Section 634 of the Foreign Assistance Act of 1961, as amended, Executive Order and Department of State, Foreign Operations and Related Programs Appropriations Act, 2010 (Div. J, Public Law 110-161), sections 7015(c) and section 7071(b), Public Law 110-161.

**OBJECTIVES:**

Support the foreign assistance goals and objectives of the Department of State, Bureau of East Asian Affairs, as delineated in the FY Bureau Strategic and Resource Plan. This program is for all grant awards for the entire fiscal year funded through State/EAP.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Cooperative Agreements (Discretionary Grants); Project Grants; Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

All funds for grants will comply with the restrictions on Economic Support Funds, as specified in Foreign Assistance Act of 1961, as amended. All funds for grants will comply with the restrictions on Economic Support Funds, as specified in Foreign Assistance Act of 1961, as amended.

See [www.grants.gov](http://www.grants.gov) for specific announcement. This depends on individual grant award.

See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Applicant Eligibility:**

Department of State, EAP Bureau does not issue domestic grants. Any and all grants will go to entities that operate overseas in support of our international foreign assistance goals and objectives.

See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Beneficiary Eligibility:**

U.S. Department of State, EAP Bureau does not issue domestic grants. Any and all grants will go to entities that operate overseas in support of our international foreign assistance goals and objectives.

**Credentials/Documentation:**

Any award made using State/EAP funds require the full complement of standard forms and budget documents, as dictated by the Department of State, Bureau of Administration and the relevant OMB circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-award coordination is required for all grantees applying for foreign assistance grants through the U.S. Department of State, Bureau of East Asian and Pacific Affairs grant awards. This coordination will take place between



program officers in the field and the recipient agencies, or between program officers in Washington, DC and the recipient organizations.

See [www.grants.gov](http://www.grants.gov) for specific announcement. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Award Procedure:**

Defined by the U.S. Department of State, Administration Bureau in accordance with relevant OMB Circulars.

See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals must be coordinated with the State/EAP program officer, the Representative of State/Administration Bureau grants officer, and the recipient. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most grant awards are for a full year time frame, sometimes two years. See the following for information on how assistance is awarded/released: It depends on the amount and the details of the project. Sometimes it is one lump sum, in the cases of under \$25,000 awards. For anything larger the HHS PMS system is used for quarterly installments, as required.

**Reports:**

Depending on the size of the award and the length of the project period, as dictated in the official U.S. Department of State Notice of Award, program/project reports may be required either quarterly, semi-annually, or annually. See [www.grants.gov](http://www.grants.gov) for specific announcement. Required quarterly for all awards. Depending on the size of the award and the length of the project period, as dictated in the official U.S. Department of State Notice of Award, program/project reports may be required either quarterly, semi-annually, or annually.

See [www.grants.gov](http://www.grants.gov) for specific announcement. Required quarterly for all awards. At the discretion of the listed Grants Officer.

**Audits:**

Not Applicable.

**Records:**

All project/program and financial records must be retained by award recipients for 3 years.

**Account Identification:**

19-7201-1-0-371 - Economic Support Funds.

**Obligations:**

(Project Grants (Discretionary)) FY 10 Not Available; FY 11 est \$4,836,000; and FY 12 Estimate Not Available - The above includes the annual grant for The Asia Foundation: 19052500000 (11 digit budget account code).

**Range and Average of Financial Assistance:**

Depends on specific grant award. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ariel R. Wyckoff, 2201 C Street, NW, Room 5313, Washington, District of Columbia 20520 Email: [WyckoffAR@state.gov](mailto:WyckoffAR@state.gov) Phone: (202) 647-9446.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Project specific, depends on the program. All awards are screened for terror finance and/or support per the relevant U.S. Department of State and federal guidelines and regulations.

See [www.grants.gov](http://www.grants.gov) for specific announcement.

**19.301 THE SECRETARY'S OFFICE OF THE GLOBAL PARTNERSHIP INITIATIVE (S/GPI) GRANT PROGRAMS**

Global Partnership Initiative

**FEDERAL AGENCY:**

Office of the Secretary of State, U.S. Department of State

**AUTHORIZATION:**

The Foreign Assistance Act of 1961, as Amended, Executive Order Department of State, Foreign Operations and Related Programs Appropriations Act, Section 634, U.S.C 7015.

**OBJECTIVES:**

Support the foreign assistance goals and objectives of the Department of State, Secretary's Office of the Global Partnership Initiative (S/GPI), as delineated in the FY Bureau Strategic and Resource Plan and other strategic planning documents. This program is for all grant awards for the entire fiscal year funded through State/S/GPI.

See individual announcements in [www.grants.gov](http://www.grants.gov).

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

All funds for grants will comply with the restrictions on Economic Support Funds (ESF), as specified in the Foreign Assistance Act of 1961, as amended. See [www.grants.gov](http://www.grants.gov) for specific announcements and individual application. This depends on the individual award. In some cases, program activities are precluded in particular countries due to legislative restrictions.

**Applicant Eligibility:**

Uses of assistance vary according to the individual award. Please see [www.grants.gov](http://www.grants.gov) for specific announcement.

**Beneficiary Eligibility:**

U.S. Department of State, Secretary's Office of the Global Partnership Initiative, issues grants to domestic and international entities that implement programs abroad. Primary beneficiaries are residents of any community abroad where program activities are taking place. See [www.grants.gov](http://www.grants.gov) for specific application.

**Credentials/Documentation:**

Any award made using State/S/GPI funds requires the full complement of standard forms and budget documents (including Congressional Notifications), as delineated by the U.S. Department of State, the Bureau of Administration, and relevant OMB circulars. See [www.grants.gov](http://www.grants.gov) for specific announcement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-award coordination is required for all grantees applying for foreign assistance grants through the U.S. Department of State, Office of the Global Partnership Initiative. This coordination will take place between program

officers in Washington, D.C. and the recipient organizations, or between program officers in the field and recipient organizations. See individual announcements in [www.grants.gov](http://www.grants.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See individual announcements in [www.grants.gov](http://www.grants.gov)

**Award Procedure:**

Defined by the U.S. Department of State, Administration Bureau in accordance with the relevant OMB Circulars. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals must be coordinated with the State/S/GPI program officer, the Representative of the State/Administration Bureau grants officer, and the recipient.

See individual announcements in [www.grants.gov](http://www.grants.gov).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most grant awards are from one to three years in length. See [www.grants.gov](http://www.grants.gov) for specific announcement. See the following for information on how assistance is awarded/released: The release and awarding of assistance depends on the amount and the details of the project. Most often, the HHS PMS system is used for monthly or quarterly installments, as required, and only if the grantee has submitted timely and complete progress and financial reports.

**Reports:**

Project/program reports are required to be submitted on a quarterly basis. Cash reports are required to be submitted as part of the quarterly financial reports. Progress reports are required to be submitted on a quarterly basis. Standard expenditure reports (SF-FFR) are required to be submitted on a quarterly basis. Quarterly progress reports should reflect the grantee's continued focus on measuring the project's impact on the overarching goals or problems the project set out to address. An assessment of the overall project impact, as appropriate, should be included in each quarterly report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All project/program documents and financial records must be retained by awards recipients for three years.

**Account Identification:**

19-1210-3-7-001.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$1,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

Grants can range from small amounts (thousands of dollars) up to \$1 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants must follow the scope of work and terms and conditions as stated in the grant agreement concluded between grantees and S/GPI. See individual announcements in [www.grants.gov](http://www.grants.gov)

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas Debass 2201 C Street NW, Ste 6817, Washington, District of Columbia 20520 Email: [debass@state.gov](mailto:debass@state.gov) Phone: 2026479097

**Website Address:**

<http://www.state.gov/partnerships>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See [www.grants.gov](http://www.grants.gov) for specific announcement and criteria for selection.

**19.400 ACADEMIC EXCHANGE PROGRAMS - GRADUATE STUDENTS**

The Fulbright Student Program includes program components for U.S. students, foreign students, Foreign Language Teaching Assistantships, English Teaching Assistantships, Western Hemisphere Fulbright Faculty Development Program, Fulbright Graduate Fellows, and Science and Technology Awards.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the Fulbright Student Program is to promote mutual understanding by providing opportunities for American and foreign students to study, do research, and/or serve as teaching assistants of their native languages abroad.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations to support their work in designing and administering programs as well as coordinating program logistics. Funding to those organizations supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities. The flagship international exchange program sponsored by the United States Government, the Fulbright Program is designed to increase mutual understanding between the people of the United States and the people of other countries. The program

promotes leadership development through learning and international cooperation. Please refer to the [grants.gov](http://grants.gov) announcement for further information.

**Applicant Eligibility:**

To individuals with the following qualifications: (a) U.S. citizenship at the time of application; (b) with certain exceptions, B.A. degree or its equivalent before the beginning date of the grant; (c) candidates may not hold a doctoral degree at the time of application; (d); preference will usually be given to candidates who have not had extensive recent experience in the country to which they are applying; (e) language proficiency sufficient to communicate with the people of the host country and to carry out the proposed study; (f) language proficiency is especially important for students wishing to undertake projects in the social sciences and the humanities; and (g) good health.

**Beneficiary Eligibility:**

Beneficiaries include selected Fulbright students, host colleges and universities, host communities, and the American people and the people of the participating countries who interact with the Fulbright students.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the [grants.gov](http://grants.gov) or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the [grants.gov](http://grants.gov) website for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html> and [grants.gov](http://grants.gov). The application procedures are described in the [grants.gov](http://grants.gov) announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the [grants.gov](http://grants.gov) announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the [grants.gov](http://grants.gov) announcements. See the following for information on how assistance is awarded/released: Through the Department's central

financial management database.

**Reports:**

As stated in the [grants.gov](http://grants.gov) announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the [grants.gov](http://grants.gov) announcements. As stated in the [grants.gov](http://grants.gov) announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$99,723,996; FY 12 est \$99,723,996; and FY 13 est \$99,723,996

**Range and Average of Financial Assistance:**

\$625,195 to \$86,218,390.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Fulbright Program operates in more than 155 countries worldwide and has provided approximately 310,000 participants chosen for their academic merit and leadership potential with the opportunity to study, teach and conduct research, exchange ideas and contribute to finding solutions to shared international concerns. In 2011-2012, 1,852 American students studied abroad in 125 countries with support from the Fulbright Program. In that same time period approximately 3286 foreign students from more than 135 countries were offered new or renewed grant awards for study at U.S. universities. The competition for 2011-12 attracted 9,488 U.S. student applicants. Fulbright alumni serve in leadership positions in government, academia, business, the arts, science, media, and other professional fields. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the [grants.gov](http://grants.gov) announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None. See application procedure.

**Headquarters Office:**

Michelle Johnson Department of State, Bureau of Educational and Cultural Affairs, Office of Academic Exchange Programs, 2200 C Street, NW, SA-5,

Fourth Floor, Washington, District of Columbia 20037 Email:  
fulbright@state.gov Phone: (202) 632-3238

**Website Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov announcements.

**19.401 ACADEMIC EXCHANGE PROGRAMS - SCHOLARS**

The Fulbright Scholar program includes program components for U.S. scholars, visiting foreign scholars, the Scholar in Residence program, the New Century Scholars, Regional Research programs, and Study of the U.S. Institutes for Scholars.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended., Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The Fulbright Scholar Program offers opportunities for American and foreign scholars to conduct research, lecture, and/or consult with other scholars and institutions in the U.S. and abroad. The Study of the U.S. Institutes for Scholars strengthen curricula and improve the quality of teaching about the United States in academic institutions overseas.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations, colleges, and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding to these organizations, colleges and universities supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities.

The flagship international exchange program sponsored by the United States Government, the Fulbright Program is designed to increase mutual understanding between the people of the United States and the people of other countries. It promotes leadership development through learning and international cooperation.

For Study of the U.S. Institutes for Scholars, recipient institutions design and administer thematically focused seminars on a field or topic of U.S. studies where participants interact with American scholars, meet with experts in their

disciplines, visit civic institutions, and explore the diversity and culture of the United States.

Please refer to the grants.gov announcement for further information.

**Applicant Eligibility:**

To individuals with the following qualifications: (1) U.S. citizenship at the time of application. (2) Foreign language proficiency, in some cases, for lecturing in certain countries, and for doing field-based research. (3) For lecturing: college or university teaching experience at the level for which application is made or equivalent professional standing in non-academic fields. (4) For research: a doctoral or terminal degree or, in some fields, recognized professional standing as demonstrated by faculty rank, publications, compositions, exhibition record, concerts, etc. Candidates for a doctorate and persons wishing to undertake other pre-doctoral professional training abroad should write to the Institute of International Education, 809 United Nations Plaza, New York, NY 10017.

**Beneficiary Eligibility:**

Beneficiaries include selected Fulbright Scholars, host colleges and universities, host communities, and the American people and people of participating countries who interact with the Scholars.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the grants.gov announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau's Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov announcements. See the following for information

on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov announcements. As stated in the Grants.gov announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$39,733,613; FY 12 est \$39,733,613; and FY 13 est \$39,733,613

**Range and Average of Financial Assistance:**

\$248,536 to \$35,041,982.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Fulbright Program operates in more than 155 countries worldwide and has provided approximately 310,000 participants chosen for their academic merit and leadership potential with the opportunity to study, teach and conduct research, exchange ideas and contribute to finding solutions to shared international concerns. In 2011-2012, 1,159 American scholars studied and taught or conducted post-doctoral research in 132 countries and territories. In that same time period 826 visiting scholars from 104 countries and territories came to the United States to lecture or conduct post-doctoral research for an academic year or term. Fulbright alumni serve in leadership positions in government, academia, business, the arts, science, media, and other professional fields. Fulbright alumni are the recipients of 43 Nobel Prizes, as well as numerous Pulitzer Prizes, MacArthur Foundation Genius Awards, and Presidential Medals of Freedom.

In 2011, 185 foreign scholars from 79 countries and territories participated in Study of the U.S. Institutes. Scholar alumni from Study of the U.S. Institutes develop new course work, publish books and journal articles, and establish think tanks and non-profit organizations. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Johnson Department of State, Bureau of Educational and Cultural Affairs, Office of Academic Exchange Programs, 2200 C Street, NW, SA-5, Fourth Floor, Washington, District of Columbia 20037 Email: [fulbright@state.gov](mailto:fulbright@state.gov) Phone: (202) 632-3238

**Website Address:**

<http://exchanges.state.gov>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov announcements.

**19.402 PROFESSIONAL AND CULTURAL EXCHANGE PROGRAMS - INTERNATIONAL VISITOR LEADERSHIP PROGRAM FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended., Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the International Visitor Leadership Program is to bring to the U.S. current and emerging foreign leaders in government, politics, the media, education, the arts, business and other fields to meet and confer with their professional counterparts and to experience America firsthand.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Funding is provided for nonprofit organizations to support their work in planning, organizing and directing programs of travel, observation, consultation, study and practical experience for foreign visitors from countries throughout the world selected and assigned by the Department. Programs are intended to bring U.S. embassy selected international visitors into contact with influential Americans and representative organizations and institutions across the United States, with the intention of increasing communication and mutual understanding between the people of the United States and the people of other countries. Recipients are responsible for insuring that programs are balanced, nonpolitical, non-partisan, and representative of the diversity of American political, social, and cultural life. The Bureau of Educational and Cultural Affairs seeks balance and diversity in terms of itinerary, geography and community-size; the range of opinions to which visitors are exposed; the professional backgrounds of those commenting on the issues; the ethnic, socio-economic and age diversity of the American people; and other factors which may be of particular relevance to the particular subject or particular visitor(s) for whom programming is being arranged. Please refer to the grants.gov announcement for further information.

**Applicant Eligibility:**

To be eligible for consideration, organizations must: (1) Be incorporated in the U.S.; (2) have not-for-profit status as determined by the IRS; and (3) a proven record of at least 4 years of successful work in international educational and cultural exchange, including responsible fiscal management.

**Beneficiary Eligibility:**

Beneficiaries include recipient organizations, local councils of international visitors or similar organizations, the sponsored international visitors, and the American people who interact with the international visitors.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act), the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the grants.gov announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureaus Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the grants.gov announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the grants.gov announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the grants.gov announcements. Cash reports are not applicable. As stated in the grants.gov announcements. As stated in the grants.gov announcements. As stated in the grants.gov announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$63,376,258; FY 12 est \$63,376,258; and FY 13 est \$63,376,258

**Range and Average of Financial Assistance:**

\$125,000 to \$21,521,820.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: More than 5,200 individuals from 172 countries and all regions of the world participated in International Visitor Leadership Programs in FY 2011. Among the thousands of distinguished individuals who have participated in the IVL Program since its inception seventy years ago are more than 320 current and former Chiefs of State and Heads of Government including Gordon Brown (United Kingdom), Nicolas Sarkozy (France), Hamid Karzai (Afghanistan), Pratibha Patil (India), and Felipe de Jesus Calderon Hinojosa (Mexico); thousands of cabinet-level ministers, and many other distinguished leaders from the public and private sectors. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aisha Tyus Department of State  
Bureau of Educational and Cultural Affairs  
Office of International Visitors  
Community Resources Division  
2200 C Street, NW  
SA-05, Room 003BB06, Washington, District of Columbia 20037 Email:  
TyusAT@state.gov Phone: (202) 632-9381

**Website Address:**

<http://www.exchanges.state.gov/ivlp/ivlp.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the grants.gov announcements.

#### **19.408 ACADEMIC EXCHANGE PROGRAMS - TEACHERS**

Teacher Exchange programs include: the Fulbright Classroom Teacher Exchange Program and the Distinguished Fulbright Awards in Teaching Program, International Leaders in Education Program, Teaching Excellence and Achievement Program, Teachers of Critical Languages Program, Intensive Summer Language Institutes, Educational Seminars and other targeted professional development programs for teachers and administrators.

##### **FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

##### **AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended., Public Law 87-256, 22 U.S.C 2451.

##### **OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of the Teacher Exchange programs is to improve mutual understanding among teachers, school administrators, and their schools and communities in the U.S. and abroad through professional development and exchange. Teacher exchanges support the internationalization and increased quality of schools and classrooms, increase the knowledge of students and communities about global issues and cultures, and improve knowledge of foreign languages.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Funding is provided to nonprofit organizations and educational institutions to implement exchange and professional development programs for teachers and other educators from the U.S. and approximately 62 countries around the world. Organizations are responsible for the following broad categories: program planning and management; placement; orientation; enrichment activities; participant supervision and support services; fiscal management and budgeting; and program reporting and evaluation. The goal of the programs is to create mutual understanding between the people of the United States and the people of other countries. Please refer to the grants.gov announcement for further information.

##### **Applicant Eligibility:**

(a) Hold at least a Bachelor's degree; (b) be a U.S. citizen fluent in English at the time of application; (c) have a current full-time teaching or administrative assignment in the U.S. or one of its territories; (d) be in at least the third year of full-time teaching or administration (teachers applying to the Classics Seminar only need to be in their second full-year; (e) have not participated in a Fulbright Teacher Exchange longer than 8 weeks in the last 2 years (there is no required waiting period for teachers who have participated in exchanges of 8 weeks or less).

##### **Beneficiary Eligibility:**

Beneficiaries include recipient educational institutions and their students, local hosting communities, the sponsored teachers and administrators, and the American people and people of the participating countries who interact with Teacher Exchange Program participants.

##### **Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the grants.gov announcements.

##### **Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau's Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

As stated in the Grants.gov announcements.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

As stated in the Grants.gov announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

##### **Reports:**

As stated in the Grants.gov announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov announcements. As stated in the Grants.gov announcements.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to

the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$14,903,313; FY 12 est \$14,610,000; and FY 13 est \$14,610,000

**Range and Average of Financial Assistance:**

\$325,000 to \$4,148,219.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, ECAs Teacher Exchange branch supported approximately 225 U.S. participants and 430 international participants for a total of 655 educators. The participants came from 65 countries including the U.S. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Kuban Department of State  
Bureau of Educational and Cultural Affairs  
Office of Global Educational Programs  
Teacher Exchange Branch  
2200 C Street, NW  
SA-05, Rm. 4S17, Washington, District of Columbia 20037 Email:  
[kubanmm@state.gov](mailto:kubanmm@state.gov) Phone: 202-632-6346

**Website Address:**

<http://exchanges.state.gov/globalexchanges/index.html>

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov announcements.

**19.415 PROFESSIONAL AND CULTURAL EXCHANGE PROGRAMS - CITIZEN EXCHANGES**

Citizen Exchange activities include the Professional Fellows Open Grant Competition, International Sports Programming Initiative, Future Leaders Exchange Program, Kennedy-Lugar Youth Exchange and Study Program, Youth Leadership Programs, Global Connections and Exchange, National Security Language Initiative for Youth, Museums Connect, the International Writers Program, Community Solutions, TechWomen, and other Professional and Cultural Exchange programs.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended., Public Law 87-256.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of Citizen Exchange programs is to support professional, youth, sports and cultural exchange programs between the United States and other countries through grants and cooperative agreements to American non-profit, non-governmental institutions and organizations, including community organizations, professional associations, and universities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funding is provided to eligible non-profit organizations, colleges and universities to support their work in designing and administering programs as well as coordinating program logistics. Funding to those organizations supports activities such as publicity and recruitment, screening of participant applications, communication with participants, domestic and international travel, payment of stipends and program benefits, and the provision of enrichment activities. Citizen Exchanges constitute a range of professional, youth, sports and cultural exchange programs designed to promote priority U.S. interests around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and other countries. Programs are designed to promote good governance, civil society and civic responsibility, public health, conflict prevention and management, womens empowerment, trade, environmental awareness and responsibility, leadership, arts management, cultural diversity and heritage, sports education, and educational reform, as well as other topics through people-to-people exchanges. Please refer to the grants.gov announcement for further information.

**Applicant Eligibility:**

To public and private nonprofit organizations meeting the provisions described in IRS regulation 26CFR 1.501(c).

**Beneficiary Eligibility:**

U.S. citizens and foreign nationals. Beneficiaries include recipient organizations and their partners, school systems, municipal and state governments, program participants (both from the United States and those from other countries), the American people who interact with the foreign participants, and the overseas audiences who interact with the American participants.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**



Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the grants.gov announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov announcements.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov announcements. As stated in the Grants.gov announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants) FY 11 \$98,043,519; FY 12 est \$108,152,000; and FY 13 est \$108,152,000

**Range and Average of Financial Assistance:**

\$60,000 to \$17,106,778.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, ECAs Office of Citizen Exchanges sponsored over 15,000 program participants from approximately 150 countries, including the United States, through grants and cooperative agreements. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sheila Casey Department of State  
Bureau of Educational and Cultural Affairs  
Office of Citizen Exchange Programs  
2200 C Street, NW  
SA-05, Rm. 3B14, Washington, District of Columbia 20037 Email:  
[casesyd@state.gov](mailto:casesyd@state.gov) Phone: (202) 632-6070

**Website Address:**

<http://exchanges.state.gov/citizens/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in the Grants.gov announcements.

**19.421 ACADEMIC EXCHANGE PROGRAMS - ENGLISH LANGUAGE PROGRAMS**

English Language Programs include the English Access Microscholarship Program, English Language Teaching Material Development Program, the English Language Fellow Program, and the E-Teacher Scholarship Program.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended., Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals the number of foreign individuals who have first-hand experience with Americans and with

the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of English Language Programs is to support the participation of U.S. English language educators in exchanges overseas, and the participation of underserved foreign students and teachers of English as a foreign language in English study courses and professional development, and international exchanges.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided to non-profit organizations to support their work in designing and administering programs as well as coordinating program logistics for U.S. English language educators and underserved foreign students and teachers of English as a foreign language as participants in study and professional development and international exchanges. Funding to those organizations supports activities such as publicity and recruitment, screening of applications, communication with recipients, payment of stipends, and the provision of enrichment activities.

The English Access Microscholarship Program (Access) provides scholarships for in-country English language instruction to foreign, economically disadvantaged 14- to 18-year-olds in selected countries worldwide. Programs give international participants two years of after-school and intensive English language programming while increasing their understanding of U.S. culture and values, with an emphasis on democratic principles and civic engagement. Workshops also are planned and conducted in the U.S. for a selected number of participants to provide an immersion experience in English study and American culture.

The English Language Fellow Program provides U.S. educators in the area of Teaching English as Foreign Language (TEFL) or a closely related field such as Applied Linguistics with ten-month overseas assignments to carry out projects with host-country ministries of education, universities, teacher-training institutions, NGOs, binational centers, and other English language teaching institutions. Please refer to the grants.gov announcement for further information.

Funding also supports the E-Teacher Scholarship Program and English Language Teaching and Materials Development Program.

**Applicant Eligibility:**

Individuals with the following qualifications: (1) United States citizenship. (2) Senior Fellows must have a Master's degree or higher in TESL/TEFL, Applied Linguistics or a closely related field and have previous overseas teaching experience. (3) Fellows must have received a Master's degree in TESL/TEFL within the last seven years.

**Beneficiary Eligibility:**

Beneficiaries include recipient organizations, educational institutions, other non-government organizations (NGOs), sponsored participants, and the American people and the people of participating countries who interact with the international participants.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the grants.gov announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov announcements.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov announcements. Cash reports are not applicable. No progress reports are required. As stated in the Grants.gov announcements. As stated in the Grants.gov announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$39,892,641; FY 12 est \$39,892,641; and FY 13 est \$39,892,641

**Range and Average of Financial Assistance:**

\$944,000 to \$27,026,770.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Since its inception in 2004, over 70,000 students in more than 85 countries have been enrolled in the English Access Microscholarship Program. Of those, over 25,000 Access students are currently studying English under the Access Program.

Since the Center for Intercultural Education and Development (CIED, Georgetown University) took over the administration of the EL Fellow EL Fellow Cooperative Agreement in 2006, over 860 qualified educators of teaching English as a Foreign Language (TEFL) have taught and trained teachers in over 80 countries. For academic year 2011-12, approximately 170 Fellows are placed at or on their way to host institutions worldwide. The program enables Fellows to share their expertise, hone their skills, and gain international experience learning about other cultures.

In FY 2011, the Materials Training and Development Program will administer a 10-week online course to 41 worldwide participants on materials development and creation. Twenty-six of those participants will participate in a 4-week U.S.-based workshop on methods of materials development and revision and an additional 5-week follow-up online course to share results of materials pilots and share best practices in the field.

In fiscal year 2011, the E-Teacher Scholarship Program provided online, university-level English as a Foreign Language (EFL) courses for approximately 900 EFL teachers throughout the world and a three-week professional development workshop for approximately 26 EFL professionals. Since 2004, the E-Teacher Scholarship Program has trained 3000 teachers in over 100 countries. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None. English Access Microscholarship Program: Department of State, Bureau of Educational and Cultural Affairs, Office of English Language Programs, English Access Microscholarship Program, 2200 C Street, NW SA-05, Rm. 4H14, Washington, DC 20037. Contact: Melissa Fernandez, Telephone: (202) 632-9276, E-mail: [accessprogram@state.gov](mailto:accessprogram@state.gov).

**Headquarters Office:**

Julia Walters English Language Fellow Program: Department of State, Bureau of Educational and Cultural Affairs, Office of English Language Programs, English Language Fellow Program, 2200 C Street, NW SA-05, Rm. 4H16, Washington, District of Columbia 20037 Phone: (202) 632-9269

**Website Address:**

<http://exchanges.state.gov/englishteaching/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov announcements.

**19.432 ACADEMIC EXCHANGE PROGRAMS - EDUCATIONAL ADVISING AND STUDENT SERVICES**

Includes EducationUSA advising center support, regional and country advising coordination, advising professional development, and a survey on international and U.S. student mobility.

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

The Fulbright-Hays Act of 1961, as amended., Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

As authorized by the Fulbright-Hays Act, the Bureau of Educational and Cultural Affairs (ECA) seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange programs, including the exchange of scholars, researchers, professionals, students, and educators. ECA programs foster engagement and encourage dialogue with citizens around the world. Educational and cultural engagement is premised on the knowledge that mutual understanding, the development of future leaders, and the benefits of education programs influence societies and affect official decision-making almost everywhere in the world today. ECA programs inform, engage, and influence participants across strategic sectors of society including young people, women, teachers, scholars, journalists, and other professionals increasing the number of foreign individuals who have first-hand experience with Americans and with the values of freedom, representative government, rule of law, economic choice, and individual dignity, while building international knowledge and capacity among Americans. The purpose of overseas educational advising and student services, and international student mobility research is to support mutual understanding by promoting U.S. higher education and encouraging the development of study abroad programs through a global network of EducationUSA advising centers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is provided for nonprofit organizations to support research on international exchange programs, coordination of overseas EducationUSA advising programs, and training for educational advisers to ensure that international students receive unbiased, ethical, and up-to-date information on U.S. higher education. Please refer to the grants.gov announcement for further information.

**Applicant Eligibility:**

To be eligible for consideration, organizations must: 1) Be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; 3) a proven record of successful work in international educational and cultural exchange, including responsible fiscal management.

**Beneficiary Eligibility:**

Beneficiaries include recipient organizations, international students, U.S. colleges and universities and their students, federal agencies, private businesses and non-profit organizations and educational associations, as well as the American people who interact with the international students.

**Credentials/Documentation:**

Pursuant to the Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) the Bureau of Educational and Cultural Affairs of the U.S. Department of State awards grants and cooperative agreements to educational and cultural public or private nonprofit foundations or institutions. Applications may be submitted by public and private non-profit organizations meeting the provisions described in Internal Revenue Code section 26 USC 501(c)(3). Organizations must have nonprofit status with the IRS at the time of application. Please refer to the grants.gov or Federal Register announcement for further eligibility criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcements are made on the grants.gov website for organizations meeting eligibility requirements. Announcements are made throughout the fiscal year and are posted to the Department of State's website: <http://exchanges.state.gov/grants/open2.html>.

The application procedures are described in the grants.gov announcements.

**Award Procedure:**

Final awards cannot be made until funds have been appropriated by Congress, allocated and committed through internal Bureau procedures. Successful applicants will receive a Federal Assistance Award (FAA) from the Bureau Grants Office. The FAA and the original proposal with subsequent modifications (if applicable) shall be the only binding authorizing document between the recipient and the U.S. Government. The FAA will be signed by an authorized Grants Officer, and mailed to the recipients responsible officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

As stated in the Grants.gov announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As stated in the Grants.gov announcements. See the following for information on how assistance is awarded/released: Through the Department's central financial management database.

**Reports:**

As stated in the Grants.gov announcements. Cash reports are not applicable. Progress reports are not applicable. As stated in the Grants.gov announcements. As stated in the Grants.gov announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Recipient must comply with the OMB audit requirements. For all DOS awards, regardless of business type, the Recipients are subject to the audit requirements found in OMB audit requirements. In addition, the Recipients are subject to the audit requirements found in the Single Audit Act of 1984, 31 U.S.C. 7501-7507. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Records:**

The Recipients must maintain financial records, supporting documents, statistical records, and all other records pertinent to an award for a period of three years from the date of submission of the final expenditure report. Please refer to the Department of State Standard Terms and Conditions for Domestic Financial Assistance Awards (<http://fa.statebuy.state.gov>) for additional guidance.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Cooperative Agreements) FY 11 \$7,281,056; FY 12 est \$7,635,000; and FY 13 est \$7,635,000

**Range and Average of Financial Assistance:**

\$500,000 to \$4,709,144.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, approximately 400 EducationUSA advising centers around the world responded to more than 20 million queries from international students seeking information on studying in the United States. Each year, over 150 EducationUSA advisers from these centers participate in higher education conferences and professional development activities on topics including the admissions process at U.S. higher education institutions, standardized testing, pre-departure orientation and understanding the student visa process. The ECA-supported Open Doors survey provides the only comprehensive resource on international student mobility and is published annually. The publication includes statistics on international students and scholars in the U.S. and on U.S. students studying abroad, as well as scholarly analyses of the data and their implication for policy makers. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As stated in the grants.gov announcements. In addition, organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from <http://www.whitehouse.gov/OMB/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caryn Danz Department of State  
Bureau of Educational and Cultural Affairs  
Educational Information and Resources  
2200 C Street, NW  
SA-05, Rm. 4CC16, Washington, District of Columbia 20037 Email:  
[DanzCB@state.gov](mailto:DanzCB@state.gov) Phone: (202) 632-6353

**Website Address:**

<http://www.educationusa.state.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As stated in Grants.gov announcements.

**19.450 ECA INDIVIDUAL GRANTS**

Individual Grants, U.S. academics and professionals, Bureau of Educational and Cultural Affairs (ECA).

**FEDERAL AGENCY:**

Bureau of Educational and Cultural Affairs, U.S. Department of State

**AUTHORIZATION:**

Fulbright-Hays Act, Public Law, as amended., Public Law 87-256, 22 U.S.C 2451.

**OBJECTIVES:**

To provide individual assistance awards by the Bureau of Educational and Cultural Affairs (ECA) to experts and other influential or distinguished persons in the United States, including U.S. academics and professionals in the fields of teaching English, athletes and coaches and creative and performing artists, with funds appropriated to and authorized by the Bureau of Educational and Cultural Affairs. These individual grants support interchanges between the United States

and other countries that address issues of mutual interest consistent with the Fulbright-Hays Act.

As authorized by the Fulbright-Hays Act, ECA seeks to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange; to strengthen the ties which unite us with other nations by demonstrating the educational and cultural interests, developments, and achievements of the people of the United States and other nations, and the contributions being made toward a peaceful and more fruitful life for people throughout the world; to promote international cooperation for educational and cultural advancement; and thus to assist in the development of friendly, sympathetic, and peaceful relations between the United States and the other countries of the world..

**TYPES OF ASSISTANCE:**

Project Grants (including individual awards)

**USES AND USE RESTRICTIONS:**

Individual awards made by the Bureau of Educational and Cultural Affairs may support any activities authorized by the Fulbright-Hays Act for which funding has been appropriated by Congress through the annual Educational and Cultural Exchange Programs appropriation administered by the Department of State, Bureau of Educational and Cultural Affairs. The activities are designed to promote U.S. interests in designated countries around the world by developing mutual understanding of key issues and promoting long-lasting ties between the United States and other countries. Awards are made to individuals and supported by funds appropriated to and approved by the Bureau of Educational and Cultural Affairs.

**Applicant Eligibility:**

Individuals in fields of specialized knowledge or skill, and other influential or distinguished persons.

**Beneficiary Eligibility:**

Beneficiaries include selected participants and the people of participating countries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Program announcements and application procedures may vary widely depending on the program.

**Award Procedure:**

Specific processes vary from program to program activities. However, the Bureau of Educational and Cultural Affairs uses the Departments Form DS-1909 (Federal Assistance Award) to award individual grants to successful applicants. All awards are signed by a warranted Grants Officer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

n/a.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. n/a. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

n/a. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports are to be submitted in accordance with the terms and conditions of the award

See individual award terms and conditions. Cash reports are not applicable.

Progress reports are not applicable. Expenditure reports are not applicable.

Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Copies of obligating documents are maintained in the Budget Office of the Bureau of Educational and Cultural Affairs for up to seven years.

**Account Identification:**

19-0201-0-1-154.

**Obligations:**

(Project Grants (including individual awards)) FY 11 \$2,131,704; FY 12 est \$2,131,704; and FY 13 est \$2,131,704

**Range and Average of Financial Assistance:**

\$134.00 - \$699,999.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program accomplishments will vary with individual activities. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidelines for programs will vary with individual activities.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kerry Neal Bureau of Educational and Cultural Affairs, Department of State, SA-5, Washington, District of Columbia 20037 Email: NealK@state.gov Phone: (202) 632-6382

**Website Address:**

hppt://exchanges.state.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**19.701 GLOBAL COUNTERTERRORISM PROGRAMS**

Global War on Terrorism

**FEDERAL AGENCY:**

Bureau of Counterterrorism , U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961 as amended, Executive Order (FAA) 22 U.S.C .

**OBJECTIVES:**

The Bureau for Counterterrorism (CT) develops and leads a worldwide effort to counter terrorism using all the tools of statecraft diplomacy, development and defense working bilaterally, regionally, and multilaterally. This includes tactical measures, partner capacity building, and efforts to counter violent extremism. Our programs support this goal.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Th Primary goal these funds is to combat terrorism. See Grants.Gov for individual program announcements.

**Applicant Eligibility:**

See Grants.Gov for individual program announcements.

**Beneficiary Eligibility:**

See Grants.Gov for individual program announcements.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Portion of grants awarded to Public International Organizations (PIO); remainder see Grants.Gov for individual announcements

**Award Procedure:**

Portion of grants awarded to Public International Organizations (PIO); remainder see Grants.Gov for individual announcements.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. see Grants.Gov for individual announcements.

**Appeals:**

see Grants.Gov for individual announcements.

**Renewals:**

see Grants.Gov for individual announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most grants are for one year. Occasionally grant performance period is two years. see Grants.Gov for individual announcements. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly financial and program status reports are required. See terms and conditions for individual grants. Quarterly financial and program status reports are required. Quarterly financial and program status reports are required. Quarterly financial and program status reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. see Grants.Gov for individual program announcements

OMB Circular A-133 applies to grant recipients in excess of \$500,000

**Records:**

Records are retained for three years.

**Account Identification:**

19-1112-1-0-750.

**Obligations:**

(Cooperative Agreements) FY 11 \$7,290,573; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - see www.grants.gov for individual announcements.

**Range and Average of Financial Assistance:**

Depending on the project, the range is \$100,000 to \$2,000,000. see www.grants.gov for individual announcements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. see www.grants.gov for individual announcements.

**Headquarters Office:**

Leon D. Coates 2401 E Street NW

, Washington, District of Columbia 20520 Email: coates@state.gov Phone: 2026631430

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

see www.grants.gov for individual announcements.

**19.703 CRIMINAL JUSTICE SYSTEMS**

Rule of Law, Justice Systems

**FEDERAL AGENCY:**

International Narcotics and Law Enforcement Affairs, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961, as amended by Foreign Assistance Act of 1961.

**OBJECTIVES:**

Institutionalize rule of law by developing and expanding criminal justice systems to strengthen partner country law enforcement and judicial effectiveness, foster cooperation in legal affairs, and advance respect for human rights.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Projects that expand legal training programs to enhance the ability of associations to improve the effectiveness of attorneys, prosecutors, and judicial investigators; expanding and enhancing justice institutions, anti-corruption initiatives, access to justice, increased support for women legal professionals, and a safe, secure, and humane corrections system; support programs to fight corruption, prosecute environmental crime, and enhance the rule of law through technical assistance. Please see announcements in www.grants.gov. Please see announcements in www.grants.gov. Please see announcements in www.grants.gov.

**Applicant Eligibility:**

Please see announcements in www.grants.gov.

**Beneficiary Eligibility:**

Please see announcements in www.grants.gov.

**Credentials/Documentation:**

Please see announcements in www.grants.gov. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See application in www.grants.gov.

**Award Procedure:**

Please see Awards Policy Page of the Office of the Procurement Executive: <http://www.statebuy.state.gov/assistance/awards/gtpolicy.htm>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Solicitation for proposals are posted in [www.grants.gov](http://www.grants.gov) all year-round. Most performance period of INL grant is for one year. Please see announcements in [www.grants.gov](http://www.grants.gov). See the following for information on how assistance is awarded/released: Domestic Award is released thru the Payment Management System (HHS PMS). Please check [www.dpm.psc.gov](http://www.dpm.psc.gov) for information on how assistance is awarded/released.

**Reports:**

Submission of a Program Report is required at the end of the grant. Submissions of quarterly reports are required. Submissions of quarterly reports are required. Submissions of quarterly reports are required. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain financial records for three years.

**Account Identification:**

19-1123-1-0-220.

**Obligations:**

(Project Grants) FY 10 \$39,310,240; FY 11 est \$46,030,390; and FY 12 est \$40,000,000

**Range and Average of Financial Assistance:**

Range varies widely. Please see announcements in [www.grants.gov](http://www.grants.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Will foster partnerships and build capacity with neighbor-countries Attorneys Generals Offices, and will strengthen greater cooperation among law enforcement agencies on both sides of the border and lead to more successful prosecutions of trans-border crime. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see the following website: <http://www.statebuy.state.gov/assistance/awards/gtpolicy.htm>.

**Regional or Local Office:**

None. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Headquarters Office:**

Lourdes F. Stein 2430 E St. NW, Washington, District of Columbia 20037  
Email: [steinlf@state.gov](mailto:steinlf@state.gov) Phone: 2027768774 Fax: 2027768686

**Website Address:**

<http://www.state.gov/p/inl/>

**RELATED PROGRAMS:**

16.001 Law Enforcement Assistance\_Narcotics and Dangerous

Drugs\_Laboratory Analysis; 16.601 Corrections\_Training and Staff Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Assistance to foster partnerships and build capacity with the Attorneys Generals Offices, encourage greater cooperation among law enforcement agencies on both sides of the border and lead to more successful prosecutions of trans-border crime. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Please see announcements in [www.grants.gov](http://www.grants.gov).

**19.704 COUNTERNARCOTICS**

Counter Narcotics, Interdiction, Demand Reduction

**FEDERAL AGENCY:**

International Narcotics and Law Enforcement Affairs, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961, as amended by Foreign Assistance Act of 1961.

**OBJECTIVES:**

Disrupt the overseas production and trafficking of illicit drugs through targeted counter-narcotics and institution-building assistance and coordination with foreign nations and international organizations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Counter-narcotics programs include expanding interdiction, drug demand reduction and public outreach activities, involving women and youth and increasing their engagement and understanding of drug-related issues. Please see announcements in [www.grants.gov](http://www.grants.gov). Please see announcements in [www.grants.gov](http://www.grants.gov). Please see announcements in [www.grants.gov](http://www.grants.gov).

**Applicant Eligibility:**

Please see announcements in [www.grants.gov](http://www.grants.gov).

**Beneficiary Eligibility:**

Please see announcements in [www.grants.gov](http://www.grants.gov).

**Credentials/Documentation:**

Please see announcements in [www.grants.gov](http://www.grants.gov). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Please see Awards Policy Page of the Office of the Procurement Executive:<http://www.statebuy.state.gov/assistance/gtpolicy.htm>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Solicitation for proposals are posted all year round. Most performance period of INL grant is for one year. Please see announcements in [www.grants.gov](http://www.grants.gov). See the following for information on how assistance is awarded/released: Domestic assistance is awarded through the Payment Management System (PMS). Please check [www.dpm.psc.gov](http://www.dpm.psc.gov) for information on how assistance is awarded or released.

**Reports:**

Submission of a Program Report is required at the end of the grant. Submissions of quarterly reports are required. Submissions of quarterly reports are required. Submissions of quarterly reports are required. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain financial records for three years.

**Account Identification:**

19-1123-1-0-220.

**Obligations:**

(Project Grants) FY 10 \$39,310,240; FY 11 est \$46,030,390; and FY 12 est \$40,000,000

**Range and Average of Financial Assistance:**

Range varies widely. Please see announcements in [www.grants.gov](http://www.grants.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Information is not available at this time. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see Awards Policy page of the Office of Procurement Executive: <http://www.statebuy.state.gov/assistance/gtpolicy.htm>.

**Regional or Local Office:**

None. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Headquarters Office:**

Lourdes F. Stein 2430 E St. NW, Washington, District of Columbia 20037  
Email: [steinlf@state.gov](mailto:steinlf@state.gov) Phone: 2027768774 Fax: 2027768686

**Website Address:**

<http://www.state.gov/p/inl>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Information is not available at this time. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Please see announcements in [www.grants.gov](http://www.grants.gov).

**19.705 TRANSNATIONAL CRIME****FEDERAL AGENCY:**

International Narcotics and Law Enforcement Affairs, U.S. Department of State

**AUTHORIZATION:**

Foreign assistance Act of 1961, as amended by Foreign Assistance Act of 1961.

**OBJECTIVES:**

Minimize the impact of transnational crime and criminal networks on the U.S. and its allies through enhanced international cooperation and foreign assistance.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Programs that aims to improve law enforcement capacity to investigate and prosecute complex organized crimes, including narcotics smuggling, environmental crimes, and terrorism; effective law enforcement development programs - including enhancing maritime police capacity and assisting in the development of Emergency Management System to respond to natural disasters, terrorist attacks, or other emergencies; enhance law enforcement capacity to investigate and prosecute transnational crimes, including narco-trafficking, terrorism, and piracy; and programs focusing on problem areas along our shared borders. Please see announcements in [www.grants.gov](http://www.grants.gov). Please see announcements in [www.grants.gov](http://www.grants.gov).

**Applicant Eligibility:**

Please see announcements in [www.grants.gov](http://www.grants.gov).

**Beneficiary Eligibility:**

Please see announcements in [www.grants.gov](http://www.grants.gov).

**Credentials/Documentation:**

Please see announcements in [www.grants.gov](http://www.grants.gov). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Please see announcements in [www.grants.gov](http://www.grants.gov).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Solicitation for proposals are posted in [grants.gov](http://grants.gov) all year-round. Most performance period of INL grants is for one year. Please see announcements in [www.grants.gov](http://www.grants.gov). See the following for information on how assistance is awarded/released: Domestic assistance is awarded through the Payment Management Assistance (PMS). Please check [www.dpm.psc.gov](http://www.dpm.psc.gov) for information on how assistance is awarded/released.

**Reports:**

Submission of a Program Report is required at the end of the grant. Submissions of quarterly reports are required. Submissions of quarterly reports are required. Submissions of quarterly reports are required. Please see announcements in [www.grants.gov](http://www.grants.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**



Recipients are required to maintain financial records for three years.

**Account Identification:**

19-1123-1-0-220.

**Obligations:**

(Project Grants) FY 10 \$39,310,240; FY 11 est \$46,030,390; and FY 12 est \$4,000,000

**Range and Average of Financial Assistance:**

Range varies widely. Please see announcements in [www.grants.gov](http://www.grants.gov).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Information is not available at this time. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see the following website: <http://www.statebuy.state.gov/assistance/awards/gtpolicy.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lourdes F. Stein 2430 E St. NW, Washington, District of Columbia 20037  
Email: [steinlf@state.gov](mailto:steinlf@state.gov) Phone: 2027768774 Fax: 2027768686

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Information is not available at this time. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Please see individual announcements in [grants.gov](http://www.grants.gov).

**19.750 BUREAU OF WESTERN HEMISPHERE AFFAIRS (WHA) GRANT PROGRAMS (INCLUDING ENERGY AND CLIMATE PARTNERSHIP FOR THE AMERICAS)**

Bureau of Western Hemisphere Affairs WHA

**FEDERAL AGENCY:**

Bureau of Western Hemisphere Affairs, U.S. Department of State

**AUTHORIZATION:**

Section 634 of the Foreign Assistance Act of 1961, as amended., Executive Order Department of State, Foreign Operations and Related Programs Appropriations Act, Public Law 110-161, 7015 U.S.C.

**OBJECTIVES:**

Support the foreign assistance goals and objectives of the Department of State, Bureau of Western Hemisphere Affairs (WHA), as delineated in the FY Bureau Strategic and Resource Plan and other strategic planning documents. This program is for all grant awards for the entire fiscal year funded through State/WHA.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

All funds for grants will comply with the restrictions on Economic Support Funds (ESF), as specified in the Foreign Assistance Act of 1961, as amended. See [www.grants.gov](http://www.grants.gov) for specific announcements. See [www.grants.gov](http://www.grants.gov) for individual application. This depends on the individual award. In some cases, program activities are precluded in particular countries due to legislative restrictions. See [www.grants.gov](http://www.grants.gov) for individual application.

**Applicant Eligibility:**

Uses of assistance vary according to the individual award. Please see [www.grants.gov](http://www.grants.gov) for specific announcement.

**Beneficiary Eligibility:**

U.S. Department of State, WHA Bureau, issues grants to domestic entities that

implement programs in WHA countries. Primary beneficiaries are residents of any community abroad where program activities are taking place. See [www.grants.gov](http://www.grants.gov) for specific announcement. See [www.grants.gov](http://www.grants.gov) for individual application.

**Credentials/Documentation:**

Any award made using State/WHA funds requires the full complement of standard forms and budget documents (including Congressional Notifications), as dictated by the U.S. Department of State, the Bureau of Administration, and the relevant OMB circulars. See [www.grants.gov](http://www.grants.gov) for specific announcement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-award coordination is required for all grantees applying for foreign assistance grants through the U.S. Department of State, Bureau of Western Hemisphere Affairs grant awards. This coordination will take place between program officers in Washington, D.C. and the recipient organizations, or between program officers in the field and recipient organizations. See [www.grants.gov](http://www.grants.gov) for specific announcement. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Award Procedure:**

Defined by the U.S. Department of State, Administration Bureau in accordance with relevant OMB Circulars. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals must be coordinated with the State/WHA program officer, the Representative of State/Administration Bureau grants officer, and the recipient.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Most grant awards are from one to three years in length. See [www.grants.gov](http://www.grants.gov) for specific announcement. See the following for information on how assistance is awarded/released: It depends on the amount and the details of the project. Most often, the HHS PMS system is used for monthly/quarterly installments, as required and only if the grantee is submitting timely and complete progress and financial reports. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**Reports:**

Project/program reports are required to be submitted on a quarterly basis. Cash reports are required to be submitted as part of the quarterly financial reports. Progress reports are required to be submitted on a quarterly basis. Standard expenditure reports (SF-FFR) are required to be submitted on a quarterly basis. Quarterly progress reports should reflect the grantees continued focus on measuring the projects impact on the overarching goals or problems the project set out to address. An assessment of the overall project impact, as appropriate, should be included in each quarterly project report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All project/program documents and financial records must be retained by awards recipients for three years.

**Account Identification:**

19-7201-1-0-370.

**Obligations:**

(Project Grants) FY 10 \$10,000,000; FY 11 est \$15,000,000; and FY 12 est \$15,000,000

**Range and Average of Financial Assistance:**

Grants can range from small amounts (thousands of dollars) up to \$2-3 million. The average federal share of expenditures for WHA grants is around \$1M. See [www.grants.gov](http://www.grants.gov) for specific announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants must follow the scope of work and terms and conditions as stated in the grant agreement concluded between grantees and State/WHA.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ajay Rao Harry S. Truman Building, Room 6913  
2201 C St. NW  
, Washington, District of Columbia 20520 Email: RaoAS@state.gov Phone: 2026475506

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See [www.grants.gov](http://www.grants.gov) for specific announcement and criteria for selection.

**19.900 AEECA PD PROGRAMS**

Assistance for Europe, Eurasia, and Central Asia (AEECA) Public Diplomacy Programs (EUR/PD and SCA/PPD)

**FEDERAL AGENCY:**

Office of the Coordinator of U.S. Assistance to Europe and Eurasia, U.S. Department of State

**AUTHORIZATION:**

Foreign Assistance Act of 1961, FREEDOM Support Act, and SEED Act.

**OBJECTIVES:**

To provide civil society and democracy building public diplomacy programs within Europe, Eurasia and Central Asia.

The applicable countries are: Albania, Armenia, Azerbaijan, Belarus, Bosnia & Herzegovina, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Macedonia, Moldova, Montenegro, Russia, Serbia, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds are granted primarily to indigenous NGOs and institutions of higher learning to carry out civil society and democracy building programs within their respective countries/regions. Must adhere to AEECA legislation language.

Only applicant NGO's from Albania, Armenia, Azerbaijan, Belarus, Bosnia & Herzegovina, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Macedonia, Moldova, Montenegro, Russia, Serbia, Tajikistan, Turkmenistan, Ukraine, or Uzbekistan are eligible for this program.

**Applicant Eligibility:**

See individual federal assistance announcements on U.S. Embassy web sites in: Albania, Armenia, Azerbaijan, Belarus, Bosnia & Herzegovina, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Macedonia, Moldova, Montenegro, Russia, Serbia, Tajikistan, Turkmenistan, Ukraine, or Uzbekistan for details.

**Beneficiary Eligibility:**

Only applicants NGO's from Albania, Armenia, Azerbaijan, Belarus, Bosnia & Herzegovina, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Macedonia, Moldova, Montenegro, Russia, Serbia, Tajikistan, Turkmenistan, Ukraine, or Uzbekistan are eligible for this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circulars A-102 and A-110 are used as guidelines in administering these programs.

**Award Procedure:**

Applicable embassies vary award procedures. Typical steps are: requests for proposals, reviews, and then notification based on the individual Public Affairs Section timelines.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Typical grants are less than one year. Grants are not to exceed five years. See the following for information on how assistance is awarded/released:  
Combination - can be done in increments after benchmarks are met or in lump sums.

**Reports:**

Requirements for reporting are determined on a case-by-case basis by the program office, in compliance with USG regulations. Cash reports are not applicable. Progress reports are required in compliance with USG regulations. Expenditure reports are not applicable. Performance monitoring by program office is conducted on, at minimum, a yearly basis.

**Audits:**

Not Applicable.

**Records:**

Financial records should be maintained for three years after the grant has ended.

**Account Identification:**

19-7201-0-3-060.

**Obligations:**

(Project Grants) FY 11 \$21,561,489; FY 12 est \$19,530,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Donna N. Richardson 2201 C Street, NW, Room 3249, Washington, District of Columbia 20520 Email: RichardsonDN@state.gov Phone: 202-647-8874

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## DEPARTMENT OF TRANSPORTATION

**20.106 AIRPORT IMPROVEMENT PROGRAM**

(AIP)

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Airport Improvement Act, Subtitle VII of Title 49 United States Code, PART B-Airport Development and Noise, Public Law 103-272.

**OBJECTIVES:**

To assist sponsors, owners, or operators of public-use airports in the development of a nationwide system of airports adequate to meet the needs of civil aeronautics. The purpose of the law includes the investment in transportation, environmental protection, and airport infrastructure that will provide long-term economic benefits.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants can be made for integrated airport system planning in a specific area; and airport master planning, construction, or rehabilitation at a public-use airport or portion thereof. Authorizing legislation refers to an airport as any area of land or water used or intended to be used for the landing or taking off of aircraft and includes, within the five categories of airports listed below, special types of facilities such as seaplane bases and heliports. The statute further defines airports by categories which include commercial service, primary, cargo service, reliever, and general aviation airports. They are defined as follows: Commercial Service Airports are publicly owned airports that have at least 2,500 passengers boarding each year and receive scheduled passenger service. Passenger boarding refer to revenue passenger boarding on an aircraft in service in air commerce. The definition also includes passengers who continue on an aircraft in international flight that stops at an airport in any of the 50 states for a non traffic purpose. Passenger boardings at airports that receive scheduled passenger service are also referred to as Enplanements. Nonprimary Commercial Service Airports are Commercial Service Airports that have at least 2,500 and no more than 10,000 passenger boardings each year. Primary Airports are Commercial Service Airports that have more than 10,000 passenger boardings each year. These airports are further categorized as Hub Airports, based on the level of passenger boardings. Hub categories for Primary Airports are defined as a percentage of total passenger boardings in the most current calendar year ending before the start of the current fiscal year. The definition and formulae used for designating Primary Airports by Hub Type and percentage of annual passenger boardings are: Large 1 percent or more; Medium - at least 0.25 percent, but less than 1 percent; Small - at least 0.05 percent, but less than 0.25 percent; and Non hub - more than 10,000, but less than 0.05 percent. Cargo Service Airports are airports that, in addition to any

other air transportation services that may be available, are served by aircraft providing air transportation of only cargo with a total annual landed weight of more than 100 million pounds. Reliever airports are airports designated by the FAA to relieve congestion at a Commercial Service Airports and to provide more general aviation access to the overall community. The remaining airports, are referred to as general aviation (GA) Airports and are defined as a public airport that is located in a State that, as determined by the Secretary does not have scheduled service or has scheduled service with less than 2,500 passengers boarding each year. General aviation airports comprise the largest single group of airports in the U.S. airport system. Eligible work at airports consists of: (1) airport master plans; (2) airport noise compatibility plans; (3) land acquisition; (4) site preparation; (5) construction, alteration, and rehabilitation of runways, taxiways, aprons, and certain roads within airport boundaries; (6) construction and installation of airfield lighting, navigational aids, and certain offsite work; (7) safety equipment required for certification of airport facility; (8) security equipment required of the sponsor by the Secretary of Transportation by rule or regulation for the safety and security of persons and property on the airport; (9) snow-removal equipment; (10) terminal development; (11) aviation-related weather reporting equipment; (12) equipment to measure runway surface friction; (13) burn area training structures and land for that purpose, on or off airport; (14) agency-approved noise compatibility projects; (15) relocation of air traffic control towers and navigational aids (including radar) if they impede other projects funded under AIP; (16) land, paving, drainage, aircraft deicing equipment and structures for centralized deicing areas; and (17) projects to comply with the Americans with Disabilities Act of 1990, Clean Air Act, and Federal Water Pollution Control. Under limited criteria construction of hangars and automobile parking are eligible. Grants for hangars and parking facilities are available on a limited basis. Grants may not be, made for buildings not related to the safety of persons on the airport, decorative landscaping or artwork, or routine maintenance and repair. Technical advisory services are also provided. Formula funds are available to primary commercial service airports and to cargo service airports. Discretionary funds may be used at any eligible facility and allocation is based on established criteria. The percentage of fund varies each fiscal year.

**Applicant Eligibility:**

States, counties, municipalities, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia, are eligible for airport development grants if the airport on which the development is required is listed in the National Plan of Integrated Airport Systems (NPIAS). Certain units of local government may be eligible for grants to implement noise compatibility projects. Private owners of public-use reliever airports or airports having at least 2,500 passenger boarding annually and receiving scheduled passenger aircraft service are eligible.

**Beneficiary Eligibility:**

States, counties, municipalities, U.S. Territories and possessions, and other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, The Federated States of Micronesia, and private owners of reliever airports or airports having at least 2,500 passenger boarding annually and receiving scheduled passenger aircraft service.

**Credentials/Documentation:**

Sponsors must submit information establishing financial capability and legal authority to accomplish the project and to operate the airport. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Preapplication for Federal Assistance, SF 424, Part I (facesheet) filed with FAA field office, reviewed by the regional office and/or Washington office for program approval, as

appropriate. For master plans (may be combined as part of development project), noise compatibility plans, and system plans, SF-424 and Parts II through V of FAA Form 5100-101, Application for Federal Assistance, must be submitted to FAA field offices. Level of approval is dependent on the type of airport and amount of FAA monies requested. No State plan is required.

**Award Procedure:**

Upon program approval for development projects, applicant submits project application, SF 424, Part I (facesheet) and remaining parts of FAA Form 5100-100 to FAA field office. Master, noise compatibility, and system plan grant applications are submitted to FAA field offices and upon approval, grant offers are made by FAA field offices. Either the district or regional office prepares Grant Offer, FAA Form 5100-37, for planning and development for execution by FAA applicant.

**Deadlines:**

Jan 31, 2012 Primary airport sponsors must notify FAA by January 31 or another date specified in the Federal Register of their intent to apply for funds to which they are entitled under Section 47102 of Title 49, United States Code. A reminder is published annually in the Federal Register. Other sponsors are encouraged to submit early in the fiscal year and to contact the appropriate FAA Regional or Airports District Offices for any local deadlines. Sponsors must formally accept grant offers no later than September 30 for grant funds appropriated in that fiscal year.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. If the project is challenged on environmental grounds, approval may take longer.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The local match is 10% to 25%.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

No set period of time. Projects are expected to be completed as expeditiously as possible. Most within one to two years from grant award. See the following for information on how assistance is awarded/released: Awarded by lump sum. Assistance is released upon application for reimbursement of expenses or by letter of credit.

**Reports:**

During the project, the sponsor monitors performance to ensure that time schedules are being met. Periodic reports, as required, are forwarded to FAA. SF-270. The recipient periodically submits form 5370-1, Construction Progress and Inspection Reports. SF-425. Project performance monitoring is conducted through site visits and reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Sponsors' records are required to be made available for inspection by FAA, OIG/DOT and the General Accounting Office. An airport layout plan must be kept up to date and available as long as the grant agreement lasts, ordinarily a period of 20 years. Accounting records reflecting all project costs, books, documents, and records pertinent to grants are to be retained for 3 years after date of submission of final expenditure report.

Grant recipients shall submit periodic reports containing the following information:

1. The number of projects that have been put out to bid under the grant and the amount of Federal funds associated with each project.

2. The number of projects for which contracts have been awarded and the amount of Federal funds associated with each project.
3. The number of projects for which work has begun under such contracts and the amount of Federal funds associated with each contract.
4. The number of projects for which work has been completed under such contracts and the amount of Federal funds associated with each contract.

**Account Identification:**

69-8106-0-7-402.

**Obligations:**

(Salaries) FY 11 \$3,420,129,007; FY 12 est \$3,350,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

AIP Grants) \$13,038 to \$50,000,000. Average: \$1,668,356 for FY 2011.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Issued 2,055 grants and amendments totaling \$3.447 billion in AIP funding to public-use airports throughout the country to complete important safety, security, capacity, and environmental mitigation projects. Continued to support the completion of Runway Safety Area (RSA) improvements by awarding \$294.7 million in AIP funds towards RSA projects. In FY 2011, 23 RSAs were physically complete moving the FAA closer to achieving the long-term goal to improve 100 percent of the RSAs at Title 14, Code of Federal Regulations, Part 139 (14 CFR Part 139), certificated airports by 2015.

The FAA issued \$87.8 million in AIP funds to support Runway Safety Action Team (RSAT) recommendations to reduce runway incursions caused by Vehicle/Pedestrian Deviations (V/PDs).

Awarded \$240.2 million in AIP funds towards noise mitigation and compatibility projects that are estimated to benefit 17,076 residents and students.

Awarded \$27.5 million to eleven airports under the Voluntary Airport Low Emission (VALE) Program to complete projects helping airports meet their responsibilities under the Clean Air Act (CAA) and national clean air standards.

The FAA provided \$638.6 million in AIP funding in FY 2011 to rehabilitate runways and ensure they are in safe condition; resulting in over 98 percent of all National Plan of Integrated Airport Systems (NPIAS) and commercial service airport runways to be in excellent, good, or fair condition.

Awarded \$785.6 million towards the construction and repair of runways, taxiways, and other airfield facilities as well as the purchase of certain equipment to ensure compliance with the FAA Part 139 standards and other regulations.

Awarded over \$4 million in AIP funding to 48 airports to complete Wildlife Hazard Assessments (WHA) that identify and mitigate wildlife hazards on or near airports. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Aviation Administration Order and Advisory Circulars (FAA Order 5100.38C, Airport Improvement Program Handbook, and FAA Advisory Circulars in the 150/5100 series).

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to contact the Federal Aviation Administration Regional Offices listed in Appendix IV of the Catalog.

Headquarters Office: Federal Aviation Administration, Office of Airport Planning and Programming, Airports Financial Assistance Division, APP-500, 800 Independence Avenue, SW., Washington, DC 20591. Telephone: (202) 267-3831.

Web Site Address: [http://www.faa.gov/airports\\_airtraffic/airports/](http://www.faa.gov/airports_airtraffic/airports/).

**Headquarters Office:**

Kendall Ball, P.E. 800 Independence Avenue, Washington, District of Columbia 20591 Email: [kendall.ball@FAA.gov](mailto:kendall.ball@FAA.gov) Phone: (202) 267-7436.

**Website Address:**

[http://www.faa.gov/airports\\_airtraffic/AIP/](http://www.faa.gov/airports_airtraffic/AIP/).

**RELATED PROGRAMS:**

39.002 Disposal of Federal Surplus Real Property; 39.003 Donation of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Donation of surplus Federal real property to airports. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Only those Airport Improvement Program (AIP) projects considered by the FAA Administrator to be necessary to provide for a safe and efficient airport system and to meet the current and projected growth of civil aeronautics will be considered for selection. The airports at which AIP projects are proposed must be included in the National Plan of Integrated Airports Systems (NPIAS).

**20.108 AVIATION RESEARCH GRANTS**

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Federal Aviation Administration Research, Engineering and Development Authorization Act of 1990, Public Law 101-508; Aviation Security Improvement Act of 1990, Federal Aviation Administration Authorization Act, Public Law 103-305.

**OBJECTIVES:**

To encourage and support innovative, advanced, and applied research and development in areas of potential benefit to the long-term growth of civil aviation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements may be used to support research and development projects at colleges, universities and nonprofit institutions in the following areas: (1) Capacity and Air Traffic Control Technology; (2) Communications, Navigation and Surveillance; (3) Aviation Weather; (4) Airports; (5) Aircraft Safety Technology; (6) Human Factors and Aviation Medicine; (7) Environment and Energy; (8) Systems Science and Operations Research; (9) Commercial Space Transportation. Discretionary funds are not currently available. Potential grantees are encouraged to contact FAA Research Technical Program Offices for sponsorship.

**Applicant Eligibility:**

Colleges, universities and nonprofit institutions are eligible to benefit.

**Beneficiary Eligibility:**

Colleges, universities and nonprofit institutions are eligible to benefit.

**Credentials/Documentation:**

Evidence of eligibility and of negotiated indirect rates and audit by cognizant agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication form not required. Consultation and or assistance is available by calling (609) 485-4781. No preapplication conference needed. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The solicitation may be accessed on the internet at [http://www.faa.gov/about/office\\_org/headquarters\\_offices/ato/service\\_units/acquisition/grants/](http://www.faa.gov/about/office_org/headquarters_offices/ato/service_units/acquisition/grants/) or at [grants.gov](http://grants.gov) under CFDA 20.108.

**Award Procedure:**

Award authority has been delegated to the FAA Grants Officer for the Aviation

Research Grants Program, AAQ-600, at the William J. Hughes Technical Center, Atlantic City International Airport, NJ 08405. Awards will be made throughout the year. Solicitation FAA-12-01 will remain open until 12/31/19. Any change to this will appear on the internet site mentioned above.

**Deadlines:**

Dec 31, 2019: Deadline for submission under current solicitation is 12/31/19. Proposals are accepted throughout the calendar year.

**Range of Approval/Disapproval Time:**

120 Days.

**Appeals:**

Formal protests are not an option, however, a debriefing may be requested.

**Renewals:**

Multi-year grants and cooperative agreements are available; extensions are possible. No-cost extensions available upon request.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Minimum award duration is 6 months. No other time restrictions. Assistance is disbursed monthly. Advances are possible with prior approval from the FAA Grants Officer. Method of awarding/releasing assistance: lump sum.

**Reports:**

Technical Reporting Requirements per Subpart C of Title 2 CFR Part 215 formerly OMB Circular A-110 and OMB Circular A-102, Paragraph 7. Semi-annual and final technical reports required. Financial reporting requirements as per Subpart C of OMB Circular A-110 and of OMB Circular A-102, Paragraph 7. Final reports are required for closeout. Reporting requirements are spelled out in the terms and conditions of each award document. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Single Audit Act assigns responsibility to either the Department of Health and Human Services or the Department of Defense for most institutions. The FAA reserves the right to conduct individual audits as needed within the constraints of applicable laws and regulations.

**Records:**

Technical and financial records must be retained for a minimum of 3 years (or longer, depending on special situations) following completion of a grant or cooperative agreement.

**Account Identification:**

69-8108-0-7-402.

**Obligations:**

(Salaries) FY 11 \$10,466,188; FY 12 est \$6,797,003; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Proposals received to date have requested from \$15,000 to \$5.0 million with most between \$50,000 and \$250,000. Larger proposals are for multi-year research.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Awarded \$10,466,188. Fiscal Year 2012: Projected awarding of \$10,000,000. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-122, A-133, A-110 and A-21, Regulations and Executive Orders are referenced in Appendix 2 of the FAA Research Grants Order 95507A. A solicitation package containing the appropriate forms and directions is available through [grants.gov](http://grants.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Hische AAQ-600, William J. Hughes Technical Center, Atlantic City International Airport, New Jersey 08405 Email: Cynthia.Hische@faa.gov  
Phone: (609) 485-4781 Fax: (609) 485-6288

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

20.109 Air Transportation Centers of Excellence

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Non-Linear Finite Element Modeling Guidelines for Aerospace Impact Applications

Characterization of aircraft Materials for Dynamic Impact Loading Applications

Aluminum 2024 and Aluminum -Lithium 2198 Crack Growth Comparison Study

Development and Validation of Computer Simulations for Aircraft Emergency Evacuation

Ionospheric Research in Support of Next Generation Satellite Based Argumentation Systems

Analysis, Modeling and Simulation of NextGen Trajectory-Based Operations

Performance of Unbound Layers of a Flexible Pavement System During Aircraft Loading

Probabilistic Integrity and Risk Assessment of Turbine Engines

Analyses of Aircraft Performance Based on In-Flight Recorded Parameters

Development of Technologies to Improve the Reliability and Intelligence of aircraft Electrical Wire and Interconnect Systems

Personal Privacy Jammer Vehicle Modeling and Testing

Development of Ten Year Emerging Metallic Structures Technology (EMST) R&D Roadmap

Concrete Airfield Pavement Design Analysis

Non-Linear Finite Element Modeling and Material Model Development for Aircraft Engine Failure Analysis

FAA Joint University Program for Air Transportation Proposal for Activities by the Massachusetts Institute of Technology

Determination of NextGen Human Factor Issues and Recommended R&D Requirements for Single-Pilot Aircraft Operations in the NextGen Environment

Quality of Service and Service Availability in Mission Critical Service Oriented Architectures-An Analysis of the FAA NextGen SWIM Architecture  
2. An analytical and experimental study by Drexel University on the evolution of widespread fatigue damage in aircraft fuselage curved panels. Fiscal Year 2012: Composite Material Model for Impact Analysis

Testing, Modeling and Support for FAA Reflective Cracking Study

Air Navigation Based on Global Navigation Satellite Systems

Design and Implementation of an ALS Protection and Power Quality Control Scheme with Improved Performance

ANSS Support. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The FAA has established four criteria which should be met for a proposal to be eligible for funding. These four criteria are: (1) Intrinsic Value; (2) Relevance to the FAA Mission; (3) Technical Soundness of the Proposal; (4) Research Performance Competence.

**20.109 AIR TRANSPORTATION CENTERS OF EXCELLENCE**

(FAA Centers of Excellence)

**FEDERAL AGENCY:**

Federal Aviation Administration (FAA), Department of Transportation

**AUTHORIZATION:**

Federal Aviation Administration Research, Engineering and Development Authorization Act of 1990, Public Law 101-508.

**OBJECTIVES:**

To conduct long term continuing research in specific areas of aviation related technology. Responsibilities of Centers may include, but are not limited to: the conduct of research concerning catastrophic failure of aircraft; airspace and airport planning and design; airport capacity enhancement techniques; human performance in the air transportation environment; aviation safety and security; the supply of trained air transportation personnel including pilots and mechanics; and other aviation issues pertinent to developing and maintaining a safe and efficient air transportation system, and the interpretation, publication, and dissemination of the results of such research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Centers of Excellence are established for long term continuing mission critical research in specific areas of technology areas. Funding may be used for the establishment and operation of the Centers of Excellence and the related training, education and research projects. The FAA determines a need for a Center of Excellence in a specific area of technology and publishes a Notice of Availability of Solicitation in Grants.gov. In response to this announcement, each applicant submits a description of their institutional capabilities, available faculty, facilities and equipment, and additional information as required in the solicitation. Researchers at each Center are expected to maintain a close working relationship with relevant FAA program offices that have responsibility in areas related to their research. Centers conduct semi-annual reviews, and a major symposium at the conclusion of each 3-year phase of research to satisfy Congressional requirements to disseminate research results to a broad audience. CONGRESSIONAL RESTRICTIONS: (1) Matching Funds - The Federal share of the grant awarded shall be 50 percent of the cost to establish and operate and conduct related research within the Center of Excellence and related research activities. (2) Maintenance of Effort - Each recipient will maintain its aggregate expenditures from all other sources for establishing and operating the Center and related research activities at or above the average level of such expenditures in its 2 fiscal years preceding November 5, 1990. (3) Locations of centers and distribution of funds shall be geographically equitable. (4) Contract tasks may be awarded following the competitive process and include negotiable cost share. (5) Funds are awarded to universities. Industry affiliates must align with academic institutions who may then sub-contract to others as appropriate. Centers of Excellence are established to conduct aviation related research, education, training and technology transfer. Discretionary funds are made available by sponsoring organizations and are awarded to establish, operate and conduct related research.

**Applicant Eligibility:**

Applicants are limited to colleges and universities with the financial resources to meet statutory requirements for matching Federal funds and maintenance of effort. Academic institutions may partner with industry affiliates, other public and private entities, and government laboratories.

**Beneficiary Eligibility:**

Recipients are limited to colleges and universities with the financial resources to meet statutory requirements for matching Federal grants and maintenance of effort. In conducting research, a Center of Excellence may contract with nonprofit research organizations and other appropriate persons.

**Credentials/Documentation:**

Required documentation is outlined in each solicitation package. After each Draft Notice of Solicitation is published, copies of the Solicitation are available during a Public Meeting and/or from the FAA Centers of Excellence Program Office, FAA Technical Center, Atlantic City International Airport, NJ 08405. To establish a Center of Excellence, a competitive process is conducted to include a: public announcement, publication of a draft and a final solicitation, period of public comment, management/fiscal review, and a technical evaluation. Public Law 101-508 established the following six selection criteria: (1) The extent to which the needs of the State in which the applicant is located are representative of the needs of the region for improved air transportation services and facilities. (2) The demonstrated research and extension resources available to the applicant for carrying out this program. (3) The capability of the applicant to provide leadership in making national and regional contributions to the solution of both long- range and immediate air transportation problems. (4) The extent to which the applicant has an established air transportation program. (5) The demonstrated ability of the applicant to disseminate results of air transportation research and educational programs through a State-wide or region-wide continuing education program. (6) The projects which the applicant proposes to carry out under the grant. Each proposal must include the following: (a) description of current research projects being conducted in the specific research area, (b) a schedule of anticipated costs to establish and operate the Center of Excellence, (c) a plan for meeting the 50 percent nonfederal contribution toward the matching requirements, (d) a statement showing aggregate expenditures from all other sources for aviation research in its 2 fiscal years preceding November 5, 1990, (e) all data sufficient for the evaluation team to determine the extent to which the applicant is able to satisfy the six selection criteria outlined.

Each proposal must contain a: 1. completed Application for Federal Assistance (SF-424 Research and Related); 2. table of contents; 3. technical statement addressing the problems inherent in the specific technical area(s) and probable solutions; 4. summary of results from FAA funding in the past five years; 5. biographical sketch for all senior personnel and a list of their principal accomplishments and publications during the past five years; 6. proposed budget for the initial three years including the anticipated costs of managing a new Center of Excellence, and a management plan; 7. listing of all current and pending support on all research awards from all sources; 8. listing of all available facilities and major items of equipment to be available to conduct research, and that which is necessary to acquire. 9. a cover letter and letters of support from various industry representatives, state and local officials, etc. Other required forms are to be included such as Disclosure of Lobbying Activities Form SF-LLL and certification of Compliance with the Civil Rights Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FAA may hold a public information meeting prior to submission of proposals. Questions may be submitted to the FAA Centers of Excellence Program Director, AJP-9, FAA Technical Center, Atlantic City International Airport, NJ 08405. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Colleges and universities may apply after the FAA has published a Notice of Availability of Solicitation for a Center of Excellence in a specific research area on the Grants.gov website. Solicitation and application packages are available from the FAA Centers of Excellence Program Office, FAA Technical Center, Atlantic City International Airport, NJ 08405.

**Award Procedure:**

The FAA Administrator is the selecting official for each Air Transportation Center of Excellence. The FAA Centers of Excellence Program Director issues solicitations, receives all proposals, convenes evaluation teams to evaluate eligible institutions for Centers of Excellence awards. Applicants should be

prepared to host an onsite inspection of existing research facilities when being considered for a Center of Excellence designation. Grant award authority has been delegated to the FAA COE Grants Officer and Program Director, AJP-92, located at the William J. Hughes Technical Center, Atlantic City International Airport, NJ 08405. Awards are made to COE members throughout the term of the Center. No further announcements are issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From the closing date for applications, the FAA requires at least 6 months for evaluation and selection procedures.

**Appeals:**

Formal protests are not an option; however, those submitting a proposal may request a debriefing.

**Renewals:**

Grants: Multi-year grants and cooperative agreements are available; extensions are possible. No-cost extensions are available upon request.

Centers of Excellence designation: Centers are evaluated during the last year of each research Phase. Cooperative agreements are renewed upon successful completion of each previous Phase throughout the 10-year term.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. This program has no statutory formula. Matching Funds Requirements - The Federal share shall be 50 percent of the costs of establishing and operating the Center of Excellence and related research activities. Maintenance of Effort - Each recipient will maintain its aggregate expenditures from all other sources for establishing and operating the Center and related research activities at or above the average level of such expenditures in its 2 fiscal years preceding November 1990.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The FAA intends to support a Center of Excellence in three year increments over a period of ten years. Each Center will undergo a reassessment every three years. Research is reviewed semi-annually. Budgets and research projects are negotiated yearly. As a consequence of changing needs, or diminished requirements, the agency reserves the right not to renew support for a Center of Excellence at any time. Funds from program offices and additional appropriations may increase at any time providing the institution can demonstrate matching funds. See the following for information on how assistance is awarded/released: Funds are awarded as proposals are submitted for related projects, evaluated and determined to be beneficial to the FAA.

**Reports:**

COE status and technical reports are required on a quarterly basis. Technical Reporting Requirements per Attachment H of OMB Circular No. A-110 and Attachment I to OMB Circular No. A-102. Financial reporting requirements as per Attachment G of OMB Circular No. A-110 and Attachment H of OMB Circular No. A-102. Semi-annual reports on matching Funds and technical reports, as well as an annual review of the research completed and in progress at each Center of Excellence. The annual review focuses on the relevance, merit and direction of research efforts in the designated area, and negotiation of projects and budget for the next year. A symposium is required by the end of each 3-year period as part of close-out activities and serves to highlight research results and discuss plans for the next 3-year phase. The symposium is designed to satisfy legislative requirements to disseminate information. No cash reports are required. The annual review focuses on the relevance, merit and direction of research efforts in the designated area, and negotiation of projects and budgets for the next year. A symposium is required by the end of the 10-year period as part of close-out activities and serves to highlight research results. The symposium is designed to satisfy legislative requirements to disseminate information. Financial reporting requirements as per Attachment G of OMB Circular No. A-110 and Attachment H of OMB Circular No. A-102. A symposium is required by the end of the 10-year period as part of close-out activities and serves to highlight research results. The symposium is designed to satisfy legislative requirements to disseminate information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Single Audit Act assigns responsibility to either the Department of Health and Human Services or the Department of Defense for most institutions. The FAA calls for an audit of each Center every 3 years as a part of close-out activities, and reserves the right to conduct individual audits annually, and as needed, within the constraints of applicable laws and regulations.

**Records:**

Technical and financial records must be retained for a minimum of 3 years (or longer, depending on special situations) following termination of the Center of Excellence.

**Account Identification:**

69-1301-0-1-402; 69-8107-0-7-402; 69-8106-0-7-402; 69-8108-0-7-402.

**Obligations:**

(Salaries) FY 11 \$10,000,000; FY 12 est \$9,000,000; and FY 13 est \$10,000,000

**Range and Average of Financial Assistance:**

Program started in fiscal year 1992. Grant assistance is expected to be a minimum of \$500,000 per year for each Center, and may be augmented by tasks funded through IDIQ contract awards.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Began competitive process for Administrator to select a new COE for General Aviation during FY-12. Continue to operate and conduct aviation research through FAA COEs for Commercial Space Transportation, General Aviation, Noise & Emissions Mitigation, Advanced Materials, Cabin Environment/ Intermodal, Airport Safety. Fiscal Year 2012: Conducted a competitive process to select a new COE for General Aviation. Continue to operate and conduct aviation research through FAA COEs: for Commercial Space Transportation, General Aviation, Noise & Emissions Mitigation, Advanced Materials, Cabin Environment/ Intermodal, and Airport Safety. Current Fiscal Year 2012: \$8,969,239 (October 1, 2011 through June 2012). Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-133, A- 122, A110 and A-21, Regulations and Executive Orders are referenced in Appendix 2 of the FAA Research Grants Order 9550. When the FAA is soliciting for a Center of Excellence, a solicitation and application package containing the appropriate forms and directions are made available. A Notice of Solicitation Availability will be announced on Grants.gov.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Watts, Ph.D. Centers of Excellence Program Office  
FAA William J. Hughes Technical Center, Bldg 300, L28  
. Atlantic City International Airport, New Jersey 08405 Email:  
patricia.watts@.faa.gov Phone: (609) 485-5043 Fax: (609) 485-4753.

**Website Address:**

<http://www.coe.faa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Research in: General Aviation, Noise & Emissions Mitigation, Airliner Cabin / Intermodal, Advanced Materials, Commercial Space Transportation. Fiscal Year 2012: FAA currently supports the following COE topic areas: Commercial Space Transportation, General Aviation, Aviation Noise & Emissions Mitigation, Airliner Cabin/Intermodal Research, Advanced Materials. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Public Law 101-508 has established the following six selection criteria: (1) The extent to which the needs of the State in which the applicant is located are representative of needs of the region for improved air transportation services and facilities; (2) The demonstrated research and extension resources available to the applicant for carrying out this program; (3) The capability of the applicant to provide leadership in making national and regional contributions to the solution of both long-range and immediate air transportation problems; (4) The extent to which the applicant has an established air transportation program; (5) The demonstrated ability of the applicant to disseminate results of air transportation research and educational programs through a State-wide or region-wide continuing education program; and (6) The projects which the applicant proposes to carry out under the grant. Public Law 101-508 mandates geographic equity in location and funding of Centers of Excellence. Depending on the outcome of evaluation under the six mandated criteria, geographic location may become an additional selection factor.

**20.200 HIGHWAY RESEARCH AND DEVELOPMENT PROGRAM**

Surface Transportation Research Program

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

**OBJECTIVES:**

To carry out the highway research and development program as authorized by SAFETEA-LU. To conduct research needed to maintain and grow our vital transportation infrastructure. SAFETEA-LU addresses the many challenges facing our transportation system today challenges such as improving safety, reducing traffic congestion, improving efficiency in freight movement, increasing intermodal connectivity, and protecting the environment as well as laying the groundwork for addressing future challenges. SAFETEA-LU promotes more efficient and effective Federal surface transportation programs by focusing on transportation issues of national significance, while giving State and local transportation decision makers more flexibility for solving transportation problems in their communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**Applicant Eligibility:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**Beneficiary Eligibility:**

State (State DOTs) Local Sponsored Organization General Public.

**Credentials/Documentation:**

Eligible activities and allowable costs will be determined in accordance with SAFETEA-LU and the Office of Management and Budget (OMB) cost principles applicable to the recipient/sub-recipient. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally, per directions contained in the RFAs, applicants submit applications online via [www.Grants.gov](http://www.Grants.gov) by the due date specified in the RFA.



**Award Procedure:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally, FHWA evaluates applications and selects awardee(s).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally 1 to 3 months after application submittal.

**Appeals:**

Not Applicable.

**Renewals:**

Dwight David Eisenhower Transportation Fellowship Program.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Funds generally become available at the beginning of the fiscal year for which they are authorized, and are available until expended or as otherwise designated in SAFETEA-LU. See the following for information on how assistance is awarded/released: Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Funds generally become available at the beginning of the fiscal year for which they are authorized, and are available until expended or as otherwise designated in SAFETEA-LU.

**Reports:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).) Generally quarterly progress reports and annual budget reports are required. Cash reports are not applicable. Generally quarterly progress reports and annual budget reports are required. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the Recipient as specified in 2 CFR Part 215 (Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations) or 49 CFR 18.42 as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 11 \$80,819,367; FY 12 est \$1,747,355,000; and FY 13 est \$1,747,355,000 - Obligations are reported under Federal-aid Highway program totals.

**Range and Average of Financial Assistance:**

Varies by project. See individual project Request for applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Projects completed related to Highway Research and Development. Fiscal Year 2012: 2012 - Projects that will be completed are related to Highway Research and Development. Fiscal Year 2013: 2013 - Projects that will be completed are related to Highway Research and

Development.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, "Highways", 49 CFR, "Transportation", and 2 CFR, "Grants and Agreements".

**Regional or Local Office:**

See Regional Agency Offices. State-level division offices of the FHWA (as listed in Appendix IV of the Catalog).

**Headquarters Office:**

Office of Acquisition Management (HAAM), 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Phone: (202) 366-9084.

**Website Address:**

<http://www.fhwa.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Name of Project:

Advancing Steel and Concrete Bridge Technology to Improve Infrastructure Performance

Name of Recipient: - Leigh University

Objective - This cooperative agreement is issued to support the development and deployment of improvements in the area of steel and concrete bridge technology.

Name of Project:

Center for Environmental Excellence

Name of Recipient: - American Association of State Highway and Transportation Officials

Objective - To advance environmental stewardship and to encourage innovative ways to streamline the transportation delivery process.

Name of Project:

Colorado tribal Technical Assistance Program (TTAP) for the Arizona, Colorado, New Mexico and Utah Region

Name of Recipient: - Colorado State University

Objective - To provide for the transfer of transportation technology training and assistance to the American Indian tribal government for the Arizona, Colorado, New Mexico and Utah Region.

Name of Project:

National Bicycle and Pedestrian Clearinghouse

Name of Recipient: - University of North Carolina at Chapel Hill

Objective - To operate a National Bicycle and Pedestrian Clearinghouse. Develop information and educational programs and disseminate techniques and strategies for improving bicycle and pedestrian safety.

Fiscal Year 2012: No

Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Varies by project. See individual project Request for Applications (RFAs) for details. (RFAs issued at [www.Grants.gov](http://www.Grants.gov).)

**20.205 HIGHWAY PLANNING AND CONSTRUCTION**

(Federal-Aid Highway Program, Federal Lands Highway Program).

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

**OBJECTIVES:**

Federal-aid Highway Program: To assist State transportation agencies in the planning and development of an integrated, interconnected transportation system important to interstate commerce and travel by constructing and rehabilitating the National Highway System (NHS), including the Eisenhower Interstate System; and for transportation improvements to most other public roads; to provide aid for the repair of Federal-aid highways following disasters; to foster safe highway design; to replace or rehabilitate deficient or obsolete bridges; and to provide for other special purposes. This program also provides for the improvement of roads in Puerto Rico, Guam, the U.S. Virgin Islands, American Samoa, the Northern Mariana Islands, and the Alaska Highway. The

Federal Lands Highway Program (FLHP), as an adjunct to the Federal Aid Highway Program, provides assistance to the Federal Land Management Agencies (FLMAs) for Federally owned roads. It provides transportation engineering services for planning, design, construction, and rehabilitation of the highways and bridges providing access to federally owned lands. The Federal Lands Highway organization also provides training, technology, deployment, engineering services, and products to other customers.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Federal-aid highway funds are generally apportioned by statutory formulas to the States. They are generally restricted to roads open to the public and not functionally classified as rural minor collectors or local. Exceptions to this highway functional classification restriction include: planning and research activities; bridge, bicycle and pedestrian, and safety improvements that may be on any public road; transportation enhancement activities; the recreational trails program (see program 20.219); safe routes to school, nonmotorized transportation, the FLHP, and public transportation improvement. The FLHP is not a grant program. For highway projects, funds may be used for environmental studies, engineering and design services, right-of-way acquisition and relocation assistance, and construction for capital improvement projects classified as new construction, reconstruction, restoration, rehabilitation, and resurfacing, or for functional, geometric, or safety reasons. Funds may also be used for planning; research, development, and technology transfer; intelligent transportation systems projects; roadside beautification; wetland and natural habitat mitigation, traffic management and control improvements; improvements necessary to accommodate other transportation modes, development and establishment of transportation management systems; billboard removal; construction of bicycle facilities and pedestrian walkways; fringe and corridor parking; car pool and van pool projects; transportation enhancements such as scenic and historic highway improvements; and recreational trails. Funds generally cannot be used for routine highway operational activities, such as police patrols, mowing, snow plowing, or maintenance, unless it is preventative maintenance. Also, funds authorized for the NHS, Surface Transportation Program (STP), Congestion Mitigation and Air Quality (CMAQ) Improvement Program, Equity Bonus (BE) program, and some additional programs may be used for mass transportation improvements; CMAQ funds are limited to projects and programs in air quality, non-attainment and maintenance areas for ozone, carbon monoxide, and small particulate matter that reduce transportation related emissions. Eligibility criteria for the programs differ, so program guidance should be consulted. Projects in urban areas of 50,000 or more population must be based on a transportation planning process carried out by a Metropolitan Planning Organization (MPO) in cooperation with the State and transit operators, and the projects must be included in metropolitan transportation plans and improvement programs. Projects in non-metropolitan areas of a State must be consistent with a statewide transportation plan. Projects in both metropolitan and non-metropolitan areas must also be included in a fiscally constrained Statewide Transportation Improvement Program (STIP) developed as part of the required statewide transportation planning process. The FHWA and the Federal Transit Administration (FTA) must approve the STIP jointly.

#### **Applicant Eligibility:**

By law, the Federal-aid highway program is a federally assisted State program that requires each State to have a suitably equipped and organized transportation department. Therefore, most projects are administered by or through State transportation departments (State DOTs). Projects to be funded under the Federal-aid highway program are generally selected by State DOTs or MPOs, in cooperation with appropriate local officials, as specified in 23 U.S.C. and implementing regulations. Territorial highway projects are funded in the same manner as other Federal aid highway projects, with the territorial transportation agency functioning in a manner similar to a State transportation department. Most FLHP projects are administered by the FHWA Office of Federal Lands Highway and its Divisions or by the various FLMAs. Under the FLHP, projects in the Indian Reservation Road (IRR) Program are selected by Tribal governments and are approved by the Bureau of Indian Affairs (BIA) and the Federal Highway Administration. Due to recent legislation, Tribal governments meeting certain requirements may now administer various IRR

projects on behalf of the BIA and FHWA. The Fish and Wildlife Service (FWS) and the National Park Service (NPS) select projects in the Refuge Road and Park Roads and Parkways programs, respectively. For the Forest Highway Program, the Forest Service, the States and the Federal Highway Administration jointly select projects.

#### **Beneficiary Eligibility:**

State transportation departments, and in some instances, Federal agencies, other State agencies, local agencies, and private, community-based organizations.

#### **Credentials/Documentation:**

Eligible activities and allowable costs will be determined in accordance with Title 23 and the OMB cost principles applicable to the recipient/sub-recipient. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

An environmental impact assessment is required for most projects under this program, although the level of review varies with the project. Projects under the FLHP have similar requirements; however, an interested applicant would need to contact the designated FLMA or the local FLH Division for more information. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. In general, projects/programs proposed for funding must be included in a fiscally constrained STIP, submitted by the State DOT, and approved jointly by the FHWA and the FTA. In addition, the State DOT may need to submit statements of work or plans, specifications, and estimates for certain proposed projects to the FHWA division office located in each State for approval. The FHWA has an agreement with each State that details the extent to which the State assumes the responsibilities of the FHWA for projects in that State. For projects on the Interstate System costing more than \$1 million, FHWA oversight of design and construction is required. For projects that are on the National Highway System but not on the Interstate System, the State may assume the responsibilities of the FHWA for oversight of design and construction, unless the State or the FHWA determines that such assumption is not appropriate. For projects that are not on the National Highway System, the State shall assume the responsibilities of the FHWA for oversight of design and construction, unless the State determines that such assumption is not appropriate. For the discretionary portion of public lands highways, State DOTs submit desired projects to the FHWA division office located in each State. Following the appropriate project selection process, a Transportation Improvement Program (TIP) for the Park Roads and Parkways, Forest Highway and Refuge Road programs is developed by one of the Federal Lands Highway Division offices, and forwarded to the respective State for inclusion in the appropriate MPO TIP and STIP. For the Indian Reservation Roads program, a TIP is submitted to the FHWA Office of Federal Lands Highway for approval and then forwarded to the respective State for inclusion in the appropriate MPO TIP and STIP. Projects under the FLHP are subject to the metropolitan and statewide planning requirements.

#### **Award Procedure:**

The State DOTs generally decide which projects will be developed within funding levels but the FHWA division office located in each State makes the final decision on the eligibility of specific projects. There are several categories where funding is allocated at the discretion of the Secretary of Transportation and administered by the FHWA. Candidate projects for discretionary allocations are usually solicited before the start of the Federal fiscal year (October 1) and must be submitted by the State DOTs. FHWA approval of a project and execution of a project agreement constitute a commitment to pay the Federal share of the project's allowable costs. Projects administered by the FHWA Office of FLH or the FLMAs are subject to procurement processes identified in the Federal Acquisition Regulations. Project awards are subject to the availability of funds.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 day to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Federal-aid highway funds generally become available at the beginning of the fiscal year for which they are authorized and must be obligated within 3 years after the close of that fiscal year. However, some categories of funds are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. SF-425. Except for projects that a state has oversight responsibility for, the FHWA division office in each State monitors and reviews State projects and programs during highway project location, design and construction. After the project is completed State maintenance of the project is reviewed periodically. Certain non-construction activities, such as transportation planning, require periodic progress reports. Similar procedures apply to the FLMAs and FLHP projects with the FHWA Office of FLH providing the mandatory stewardship and oversight. A value engineering analysis or other cost-reduction analysis is required for each project on the Federal-aid system with an estimated total cost of \$25,000,000 or more, a bridge project with an estimated total cost of \$20,000,000 or more; and any other project determined to be appropriate. Annual financial plans are required for projects with an estimated total cost of \$100,000,000 or more. In addition, a project management plan must be submitted for projects with an estimated total cost of \$500,000,000 or more.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the State or other governmental recipients/ subrecipients as specified in 49 CFR Part 18 or by non-profit recipients/subrecipients as specified in 49 CFR Part 19. For the Federal Lands Highway Program, the Federal Lands Highway Divisions maintain the project records.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Salaries) FY 11 \$39,546,387,703; FY 12 est \$38,113,722,000; and FY 13 est \$30,516,645,000

**Range and Average of Financial Assistance:**

Federal-aid highway funds are provided to States on an annual basis, by a combination of statutory formula and discretionary allocation, stemming from multi-year authorization acts, the most recent being the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Projects completed related to: Highways, roads, bridges, bicycle transportation, bridge rehabilitation/replacement, disaster repairs, forest highways planning/construction, highway beautification, highway safety

design, Indian reservation roads, interstate highway construction, rehabilitation, and pedestrian safety. Fiscal Year 2012: Projects that will be completed are related to: Highways, roads, bridges, bicycle transportation, bridge rehabilitation/replacement, disaster repairs, forest highways planning/construction, highway beautification, highway safety design, Indian reservation roads, interstate highway construction, rehabilitation, and pedestrian safety. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, "Highways" and 49 CFR, "Transportation", and 2 CFR, Grants and Agreements. <http://www.fhwa.gov>.

**Regional or Local Office:**

See Regional Agency Offices. State-level division offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or State transportation agencies.

**Headquarters Office:**

Director, Office of Program Administration, Federal Highway Administration, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590  
Phone: (202) 366-9494.

**Website Address:**

<http://www.fhwa.dot.gov>.

**RELATED PROGRAMS:**

20.215 Highway Training and Education; 20.219 Recreational Trails Program; 20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program; 20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort; 23.003 Appalachian Development Highway System

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: [http://www.fhwa.dot.gov/ipd/project\\_profiles/index.htm](http://www.fhwa.dot.gov/ipd/project_profiles/index.htm)

<http://flh.fhwa.dot.gov/programs/transportation.htm>. Fiscal Year 2012: Funded projects that are directly related to: Highways, roads, bridges, bicycle transportation, bridge rehabilitation/replacement, disaster repairs, forest highways planning/construction, highway beautification, highway safety design, Indian reservation roads, interstate highway construction, rehabilitation, and pedestrian safety. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible, most projects must be located on public roads that are not functionally classified as local. The major exceptions are the Highway Bridge Replacement and Rehabilitation Program, which provides assistance for bridges on and off the Federal-Aid highways; highway safety activities; bicycle and pedestrian projects, transportation enhancement activities, the recreational trails program, and planning, research, development, and technology transfer. Proposed projects meeting these and other planning, design, environmental, safety, etc., requirements can be approved on the basis of State and local priorities within the limit of the funds apportioned or allocated to each State.

**20.215 HIGHWAY TRAINING AND EDUCATION**

National Highway Institute (NHI) Training Program  
Dwight David Eisenhower Transportation Fellowship Program (DDETFP)  
Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP)

**FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 101.

**OBJECTIVES:**

National Highway Institute (NHI) Training Program: To develop and administer, in cooperation with those in the highway community, educational, training, and technical assistance programs for the Federal Highway Administration, State and local highway agency employees, as well as the private sector and members of the international organizations. Dwight David Eisenhower Transportation Fellowship Program (DDETFP): To attract qualified students to the field of transportation education and research, and advance transportation workforce development. Garrett A. Morgan Technology

and Transportation Education Program (GAMTTEP): To improve the preparation of students, particularly women and minorities, in science, technology, engineering, and mathematics through curriculum development and other transportation-related activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; TRAINING

**USES AND USE RESTRICTIONS:**

States may use funds not to exceed one half of 1 percent of the amount apportioned to each State under Section 104(b)(3) for the surface transportation program for training their employees or employees of local transportation agencies. Such expenditures may not exceed 80 percent of the total cost of tuition and direct education expenses (excluding salaries) in connection with the education and training activities. Courses and study programs may be obtained from universities, other government agencies, the private sector, and/or the National Highway Institute. Such expenditures may not exceed 80 percent of the total cost of tuition and direct education expenses (excluding salaries) in connection with the education and training activities.

**Applicant Eligibility:**

NHI Training Program: Employees of State and local transportation agencies. DDETFP: Some restrictions apply. Undergraduate (juniors and seniors at Minority Institutes of Higher Education (MIHE)) and graduate students matriculating full-time at a U.S. university or college in a transportation-related discipline. GAMTTEP: Local educational agencies and State educational agencies, which may enter into a partnership agreement with institutions of higher education, businesses, or other entities.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Dwight David Eisenhower Transportation Fellowship Program (DDETFP): Students may apply to the Program Manager, Universities and Grants Programs of Technology Partnership Programs (TPP) to compete for three award categories; annually for the Eisenhower Graduate, Grants for Research Fellowships, and Eisenhower Intern Fellowships. The remaining Eisenhower Fellowships are competed at participating MIHEs, Community Colleges and universities designed for People Living with Disabilities. MIHEs include the Historically Black Colleges and Universities (HBCUs) Hispanic Serving Institutions (HSIs), and Tribal Colleges (TCs) and selected applications are forwarded to the Program Manager, Universities and Grants Programs of Technology Partnership Programs (TPP) for final selection. Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP): Vendors may apply through Grants.Gov annually.

**Award Procedure:**

Awards are made annually for the academic year for the Dwight David Eisenhower Transportation Fellowship Program by the Director, Technology Partnership Programs and the Program Manager, Universities and Grants Programs of the Office of Technical Services all categories. Awards for the Garrett A. Morgan Technology and Transportation Education Program (GAMTTEP) are made on the basis of competitive review by the Office of Acquisitions and the Program Manager, Universities and Grants Programs of Technology Partnership Programs (TPP).

**Deadlines:**

Nov 15, 2012 to Feb 15, 2013: DDETFP Graduate Fellowships: annually by mid-February. NHI Training Program: None. DDETFP Graduate Fellowships and Grants for Research Fellowships: annually by mid-February; DDETFP HBCUs, HSIs, TCs, PWDs: annually by April 1st. Grants for Research

Fellowships and Eisenhower Intern Fellowships: Open until filled. GAMTTEP: Varies, but usually March.

**Range of Approval/Disapproval Time:**

NHI Training Program: None. DDETFP: 3 months (applicants acceptance/rejection period).

**Appeals:**

Not Applicable.

**Renewals:**

NHI Training Program: None. Dwight David Eisenhower Transportation Fellowship Program: as applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

DDETFP on-site assignments, 6 to 12 months with extension upon approval from the Program Manager, Universities and Grants Programs of the National Highway Institute (NHI); Masters degree awards, up to 2 years, not to exceed 3 years, in duration; and PhD Awards, up to 3 years-not to exceed 5 years in duration; and Bachelors degree, 1 year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

Not Applicable.

**Records:**

Participating agencies must keep records of expenditures/accomplishments as applicable.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Formula Grants) FY 11 \$23,672,907; FY 12 est \$14,022,000; and FY 13 est \$0 - FY 2013 -- Continued funding depends on authorization under the Federal surface transportation program. This program is proposed for consolidation with other Federal-aid highway program categories under 20.205, and project eligibility might change. Remaining unobligated balances from prior years may be available.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The DDETFP awarded 200 Fellowships in 2011. Fiscal Year 2012: The DDETFP expects to award 218 Fellowships in 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NHI Training Program: 23 CFR, "Highways." DDETFP: The first guidelines for the DDETFP were issued in August 1992. National guidelines are reissued annually in the program announcement by the University and Grants Programs, Technology Partnership Programs, Office of Technical Services.

**Regional or Local Office:**

See Regional Agency Offices. State-level (division) offices of the Federal Highway Administration as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Federal Highway Administration, 1310 N. Courthouse Rd, Suite 300, Arlington, Virginia 22201 Phone: (703) 235-0538.

**Website Address:**

<http://www.nhi.fhwa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 2011 DDETFP: Graduate Fellowships, Grants for Research

Fellowships (GRF), Intern Fellowships, Historically Black Colleges and University Fellowships, Hispanic Serving Institutions Fellowships, Tribal College Fellowships, People with Disabilities Fellowships and Community College Fellowships. Fiscal Year 2012: 2012 DDETFP: Graduate Fellowships, Grants for Research Fellowships (GRF), Intern Fellowships, Historically Black Colleges and University Fellowships, Hispanic Serving Institutions Fellowships, Tribal College Fellowships, People with Disabilities Fellowships and Community College Fellowships. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Courses conducted fill major agency needs as defined by high priority areas, and are presented within time, staff, and budget constraints. DDETFP fellowships are awarded on competition on the basis of demonstrated merit, including pursuit of transportation related careers, academic credentials, academic recommendations, and study proposal.

#### **20.218 NATIONAL MOTOR CARRIER SAFETY**

MCSAP

##### **FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

##### **AUTHORIZATION:**

Motor Carrier Safety Reauthorization Act of 2005, Public Law 109-59, 49 U.S.C 31102-31104; Motor Carrier Act of 1991, Public Law 102-240, 49 U.S.C 31100-31104; Transportation Equity Act for the 21st Century, Public Law 105-178; Surface Transportation Assistance Act of 1982, Section 401-408, Public Law 97-424.

##### **OBJECTIVES:**

The MCSAP is a Federal grant program that provides financial assistance to States to reduce the number and severity of accidents and hazardous materials incidents involving commercial motor vehicles (CMV). The goal of the MCSAP is to reduce CMV-involved accidents, fatalities, and injuries through consistent, uniform, and effective CMV safety programs. Investing grant monies in appropriate safety programs will increase the likelihood that safety defects, driver deficiencies, and unsafe motor carrier practices will be detected and corrected before they become contributing factors to accidents.

##### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

##### **USES AND USE RESTRICTIONS:**

The MCSAP also sets forth the conditions for participation by States and local jurisdictions and promotes the adoption and uniform enforcement of safety rules, regulations, and standards compatible with the Federal Motor Carrier Safety Regulations (FMCSRs) and Federal Hazardous Material Regulations (HMRs) for both interstate and intrastate motor carriers and drivers. MCSAP Basic program funds may be used for any eligible activity or item consistent with 49 CFR Part 350.309 and 311. (1) MCSAP High Priority funds will be allocated, at the discretion of FMCSA, to States, local governments, and other organizations that use and train qualified officers and employees in coordination with State safety to carry out activities and projects that improve Commercial Motor Vehicle (CMV) safety in compliance with CMV regulations. Funding is available for projects that are national in scope, increase public awareness and education, demonstrate new technologies and reduce the number and rate of large truck- and bus-related fatalities. (2) MCSAP New Entrant funds will be provided to State and local governments as a grant award to conduct safety audits on interstate carriers consistent with the provisions of Title 49 of the Code of Federal Regulations (49 CFR) Part 350.321 and Part 385 Subpart D. Reference the Grants.gov funding opportunity announcement for additional information.

##### **Applicant Eligibility:**

Only the States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the Virgin Islands are eligible to receive Basic MCSAP grants; only the fifty States and the District of Columbia receive Incentive grants; the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the Virgin Islands do not receive

Incentive grants.

##### **Beneficiary Eligibility:**

Under the Basic and Incentive grant programs, a State lead MCSAP agency, as designated by its Governor, is eligible to apply for Basic and Incentive grant funding by submitting a commercial vehicle safety plan (CVSP), in accordance with the provisions of Title 49 of the Code of Federal Regulations (CFR) Part 350.201 and 205.

##### **Credentials/Documentation:**

Under the Basic and Incentive grant programs, a State lead MCSAP agency, as designated by its Governor, is eligible to apply for Basic and Incentive grant funding by submitting a commercial vehicle safety plan (CVSP), in accordance with the provisions of 49 CFR 350.201 and 205. Prior to the start of each fiscal year, FMCSA calculates the amount of Basic and Incentive funding each State is expected to receive. This information is provided to the States and is made available on the Agency's website. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

As stated in Section 13 of the FMCSA Financial Assistance General Provisions and Assurances, upon execution of the grant agreement recipients agree to comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Registration with Grants.gov may take up to three weeks before the system will allow access to the grant application package. Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

##### **Award Procedure:**

Provide a description of the award procedure (1-15 days, 30-60 days, 90- 120) days.

##### **Deadlines:**

Aug 01, 2012 to Sep 30, 2012 Application for a grant must be filed with the FMCSA Division Office on or before August 1 of each year. The deadline may, for good cause, be extended by the Division Administrator/State Director for no more than 30 calendar days.

##### **Range of Approval/Disapproval Time:**

From 30 to 60 days. The FMCSA will notify the State, in writing, within 30 days of receipt of the Commercial Vehicle Safety Plan (CVSP) whether: (1) the plan is approved; (2) Approval of the plan is withheld because the CVSP does not meet the requirements, or is not adequate to ensure effective enforcement of the FMCSRs and HMRs or compatible State laws and regulations, (a) If approval is withheld, the State will have 30 days from the date of the notice to modify and resubmit the plan, or (b) disapproval of a resubmitted plan is final.

##### **Appeals:**

From 30 to 60 days. In accordance with the provisions set forth in 49 CFR Part 350.207, any State aggrieved by an adverse decision may seek judicial review under 5 U.S.C. Chapter 7.

##### **Renewals:**

Renewals to standard assistance agreements, if any, will be in the form of a new grant with a new grant number.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 49 CFR 350.323. The MCSAP formula is described in 49 CFR 350.323 and is based on the most current approved statistics available. Most funds will be allocated each year among the States according to a formula based on four equally weighted (25 percent) factors: (1) road miles (all highways) as defined by the FHWA; (2) All vehicle miles traveled as defined by the FHWA; (3) Population - annual census estimates as issued by the U. S. Census Bureau; and (4) special fuel consumption (net after reciprocity adjustment) as defined by the FHWA.

Matching Requirements: Percent: 80%. The FMCSA has waived the requirement for matching funds to be provided by the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Marianas. In accordance with the provisions set forth in 49 CFR 350.303: (a) the FMCSA will reimburse up to 80 percent of the eligible costs incurred in the administration of an approved CVSP. (b) In-kind contributions are acceptable in meeting the State's matching share if they represent eligible costs as established by 49 CFR part 18 or agency policy.

This program has MOE requirements, see funding agency for further details. The State must maintain the average level of expenditure of the State and its political subdivisions (not including amounts of the Government or State matching funds) for commercial motor vehicle safety programs, for enforcement of commercial motor vehicle size and weight limitations, drug interdiction, and State traffic safety laws and regulations for the 3 full fiscal years beginning after October 1 of the year 5 years prior to the beginning of each Government fiscal year.

**Length and Time Phasing of Assistance:**

Yes. The funds obligated to a State will remain available for the rest of the fiscal year in which they were obligated and the next full fiscal year. The State must account for any prior year's unexpended funds in the annual Commercial Vehicle Safety Plan (CVSP). Funds must be expended in the order in which they are obligated. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting requirements for recipients are outlined in the FMCSA Financial Assistance Agreement General Provisions and Assurances. Program reports consist of quarterly performance progress status and financial reports no later than 30 days following the end of the quarter being reported. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with MCSAP Formula SF-PPR Program Monitoring Report attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-270). No cash reports are required. A quarterly Activity Report is to be filed with the FMCSA Division Office. SF-425 -- quarterly. A quarterly Activity Report is to be filed with the FMCSA Division Office. Reporting requirements are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and federal financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with the MCSAP Formula Monitoring Report attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request for Reimbursement form (SF-270). Reports are to be submitted quarterly to the FMCSA Division Office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Recipient agrees to comply with the audit requirements of 49 CFR Section 18.26 and OMB Circular A-133, and any revision or supplement thereto.; (b) an institution of higher education or nonprofit organization agrees to comply with the audit requirements of 49 CFR Section 19.26 and OMB Circular A-133, and any revision or supplement thereto; (c) a private for-profit organization agrees to comply with the audit

requirements of OMB Circular A-133. The Recipient agrees to obtain any other audits required by FMCSA. Project closeout will not alter the Recipient's audit responsibilities. Audit costs for Project administration and management are allowable under this Project to the extent authorized by OMB Circular A-87, revised; OMB Circular A-21, Revised; or OMB Circular A-122, Revised. The Recipient agrees to permit FMCSA, the Secretary of Transportation and the Comptroller General of the United States, or their authorized representatives, to inspect all Project work, materials, payrolls, and other data, and to audit the books, records, and accounts of the Recipient and its contractors pertaining to the Project. The Recipient agrees to require each third party contractor, whose contract award is not based on competitive bidding procedures, as defined by the Secretary to permit the Secretary of Transportation and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that contract, and to audit the books, records, and accounts involving that contract as it affects the Project.

**Records:**

The recipient shall retain records related to the approved project for the specified time periods as specified in the grant agreement and 49 CFR 18.42 or 49 CFR 19.53, as applicable. The recipient shall make available to FMCSA copies of all work developed in performance with the grant, including but not limited to software and data.

**Account Identification:**

69-8159-0-7-401.

**Obligations:**

(Salaries) FY 11 \$207,938,188; FY 12 est \$212,000,000; and FY 13 est \$209,350,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Basic and Incentive funds are awarded by formula to States, the US Virgin Islands, Guam, American Samoa, Puerto Rico, the Northern Marianas, and the District of Columbia to perform driver/vehicle inspections, traffic enforcement, and compliance reviews; to collect CMV safety data; and to support public education and awareness of CMV safety. High Priority funds are awarded to States. Local jurisdictions, and to organizations that use and train qualified officers and employees in coordination with State safety agencies, using a competitive application process. Funding may be used to implement, promote, and maintain national programs to improve CMV safety; to increase compliance with CMV safety regulations; to increase public awareness and provide education about CMV safety and related issues; and to demonstrate new safety related technologies. New Entrant funds are awarded to States and local governments by competitive application to conduct safety audits on interstate carriers consistent with the provisions of Title 49 of the Code of Federal Regulations (49 CFR) Part 350.321 and Part 385 Subpart D. Safety audits conducted on intrastate motor carriers are not eligible for reimbursement under the New Entrant grant program. Fiscal Year 2012: Basic and Incentive funds are awarded by formula to States, the US Virgin Islands, Guam, American Samoa, Puerto Rico, the Northern Marianas, and the District of Columbia to perform driver/vehicle inspections, traffic enforcement, and compliance reviews; to collect CMV safety data; and to support public education and awareness of CMV safety. High Priority funds are awarded to States. Local jurisdictions, and to organizations that use and train qualified officers and employees in coordination with State safety agencies, using a competitive application process. Funding may be used to implement, promote, and maintain national programs to improve CMV safety; to increase compliance with CMV safety regulations; to increase public awareness and provide education about CMV safety and related issues; and to demonstrate new safety related technologies. New Entrant funds are awarded to States and local governments by competitive application to conduct safety audits on interstate carriers consistent with the provisions of Title 49 of the Code of Federal Regulations (49 CFR) Part 350.321 and Part 385 Subpart D. Safety audits conducted on intrastate motor carriers are not eligible for reimbursement under the New Entrant grant program. Fiscal Year 2013: Basic and Incentive funds are awarded by formula to States, the US Virgin Islands, Guam, American Samoa, Puerto Rico, the Northern Marianas, and the District of

Columbia to perform driver/vehicle inspections, traffic enforcement, and compliance reviews; to collect CMV safety data; and to support public education and awareness of CMV safety. High Priority funds are awarded to States, Local jurisdictions, and to organizations that use and train qualified officers and employees in coordination with State safety agencies, using a competitive application process. Funding may be used to implement, promote, and maintain national programs to improve CMV safety; to increase compliance with CMV safety regulations; to increase public awareness and provide education about CMV safety and related issues; and to demonstrate new safety related technologies. New Entrant funds are awarded to States and local governments by competitive application to conduct safety audits on interstate carriers consistent with the provisions of Title 49 of the Code of Federal Regulations (49 CFR) Part 350.321 and Part 385 Subpart D. Safety audits conducted on intrastate motor carriers are not eligible for reimbursement under the New Entrant grant program.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The fiscal year 2012 MCSAP planning memo, presentation, grant reporting forms, and other useful information pertaining to the program may be obtained from the MCSAP website specified below.

49 CFR Part 350: Commercial Motor Carrier Safety Assistance Program; 49 CFR Part 18: Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments; OMB Circular A-87 Cost Principles for State, Local and Tribal Governments; Grants.gov for finding and applying for grants; Federal Register notice for announcements and information; and Title IV: Motor Carrier Safety of the Safe, Accountable, Flexible Efficient Transportation Equity Act A Legacy for Users (SAFTEA-LU) Section 4101 and 4106.

#### **Regional or Local Office:**

See Regional Agency Offices. State-level office of the Federal Motor Carrier Safety Administration as listed on the FMCSA website at <http://www.fmcsa.dot.gov/about/contact/offices/displayfieldroster.asp>.

#### **Headquarters Office:**

Jack Kostelnik 1200 New Jersey Ave., SE  
, Washington, District of Columbia 20590 Email: [jack.kostelnik@dot.gov](mailto:jack.kostelnik@dot.gov)  
Phone: (202) 366-5721 Fax: (202) 366-7980

#### **Website Address:**

<http://www.fmcsa.dot.gov>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Basic and Incentive grants were awarded to all 50 States, to the District of Columbia, and to Guam, Puerto Rico, the Northern Marianas, and American Samoa to fund required national program elements, such as traffic enforcement and safety data collection, and for State-specific objectives, such as increased motorcoach safety enforcement, hazardous materials safety enforcement, and training for enforcement personnel. High Priority grant funds were awarded for CMV enforcement, evaluation and public education and outreach, such as the Ticketing Aggressive Cars and Trucks program; for public education on the safety issues associated with young or inexperienced drivers interacting with CMVs; for safety enforcement that emphasized CMV safety in work zones and on rural roads; for a safety belt usage study; and for the purchase of equipment to improved data collection timeliness, consistence, efficiency, and accuracy. State agencies use New Entrant grant funds for MCSAP-eligible expenses, including salaries and related expenses of employees performing interstate New Entrant audits, training, and performing other eligible activities that are directly related to conducting safety audits. Fiscal Year 2012: Basic and Incentive grants were awarded to all 50 States, to the District of Columbia, and to Guam, Puerto Rico, the Northern Marianas, and American Samoa to fund required national program elements, such as traffic enforcement and safety data collection, and for State-specific objectives, such as increased motorcoach safety enforcement, hazardous materials safety enforcement, and training for enforcement personnel. High Priority grant funds were awarded for CMV enforcement, evaluation and public education and outreach, such as the Ticketing Aggressive Cars and Trucks program; for public education on the safety issues associated with young or inexperienced

drivers interacting with CMVs; for safety enforcement that emphasized CMV safety in work zones and on rural roads; for a safety belt usage study; and for the purchase of equipment to improved data collection timeliness, consistence, efficiency, and accuracy. State agencies use New Entrant grant funds for MCSAP-eligible expenses, including salaries and related expenses of employees performing interstate New Entrant audits, training, and performing other eligible activities that are directly related to conducting safety audits. Fiscal Year 2013: It is anticipated that grants will be awarded for similar activities to awards made in FY 2011 and FY2012.

#### **CRITERIA FOR SELECTING PROPOSALS:**

The applicant must meet the statutory and administrative requirements contained in 49 CFR 350. The State Plan must provide for an effective commercial vehicle safety program.

#### **20.219 RECREATIONAL TRAILS PROGRAM**

Recreational Trails Program

#### **FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

#### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C 104, 206.

#### **OBJECTIVES:**

To provide funds to the States to develop and maintain recreational trails and trail-related facilities for both nonmotorized and motorized recreational trail uses.

#### **TYPES OF ASSISTANCE:**

Formula Grants; Formula Grants (Apportionments)

#### **USES AND USE RESTRICTIONS:**

Funds from this program may be used for: (1) Maintenance and restoration of existing trails; (2) development and rehabilitation of trailside and trailhead facilities and trail linkages; (3) purchase and lease of trail construction and maintenance equipment; (4) construction of new trails (with restrictions for new trails on Federal lands); (5) acquisition of easements or property for trails or trail corridors; (6) assessment of trail conditions for accessibility and maintenance; (7) development and dissemination of publications and operation of educational programs to promote safety and environmental protection (as those objectives relate to one or more of the use of recreational trails, supporting non-law enforcement trail safety and trail use monitoring patrol programs, and providing trail-related training), (limited to 5 percent of a State's funds); and (8) State administrative costs related to this program (limited to 7 percent of a State's funds). Funds may not be used for: property condemnation; constructing new trails for motorized use on National Forest or Bureau of Land Management lands unless the project is consistent with resource management plans; or facilitating motorized access on otherwise non motorized trails. The USDOT encourages States to enter into contracts and cooperative agreements with qualified youth conservation or service corps to perform construction and maintenance of recreational trails under this program. Funds from this program may be used for: (1) Maintenance and restoration of existing trails; (2) development and rehabilitation of trailside and trailhead facilities and trail linkages; (3) purchase and lease of trail construction and maintenance equipment; (4) construction of new trails (with restrictions for new trails on Federal lands); (5) acquisition of easements or property for trails or trail corridors; (6) assessment of trail conditions for accessibility and maintenance; (7) development and dissemination of publications and operation of educational programs to promote safety and environmental protection (as those objectives relate to one or more of the use of recreational trails, supporting non-law enforcement trail safety and trail use monitoring patrol programs, and providing trail-related training), (limited to 5 percent of a State's funds); and (8) State administrative costs related to this program (limited to 7 percent of a State's funds).

#### **Applicant Eligibility:**

The Governor of each State must designate the State agency or agencies responsible for administering this program. The State must have a State recreational trail advisory committee that represents both motorized and nonmotorized recreational trail users, which shall meet not less than once per

fiscal year. The State agency may accept project proposals from private organizations, or from municipal, county, State, or Federal government entities, and other government entities. The projects must satisfy one or more of the permissible uses.

**Beneficiary Eligibility:**

The State agency designated by the Governor.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with applicable cost principles listed in 49 CFR Part 18.22 for the kind of organization receiving the grant or sub-grant. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Most Recreational Trails Program (RTP) projects qualify as Categorical Exclusions under the National Environmental Policy Act (NEPA). Some projects require Environmental Assessments. Projects that may have a significant environmental impact may require Environmental Impact Statements. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The States must submit project proposals to the FHWA division office located in each State for approval. The State may submit individual projects or consolidate similar projects for the purposes of program approval. FHWA approval constitutes a commitment to pay the Federal share of the project's cost. The State's projects also must be included in State transportation improvement programs and applicable metropolitan transportation improvement programs.

**Award Procedure:**

The State agency or agencies designated by the Governors decide which projects will be developed within funding levels, but the FHWA division office located in each State makes the final decision on the eligibility of specific projects for funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 5 days to 5 months. In some States, requirements for projects to be listed in statewide or metropolitan transportation improvement programs may add up to a year of delay.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 23 U.S.C., Part 104(h) and 206, Public Law 109-59, 23 U.S.C. 104(h)(2) and 206. See <http://www.fhwa.dot.gov/environment/recreails/legislation.htm>.

Matching Requirements: Percent: 80%. The Federal share is subject to a sliding scale under 23 U.S.C. 120(b). Funds from any other Federal program may be used for the non Federal match if the project also is eligible under the other program. Recreational Trails Program funds may be used to match other Federal funds if the project also is eligible under the other program. States also may allow a programmatic match: if some project sponsors in a State provide more match funds than required, other sponsors in the State may provide less. Some in-kind materials and services may be credited toward the project match. States may allow some pre-approval planning and environmental assessment costs toward the project match. See <http://www.fhwa.dot.gov/environment/recreails/news/dec2005/matchingfunds.htm>.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds generally become available at the beginning of the fiscal year for which they are authorized, and must be obligated within 3 years after the close of that fiscal year. See the following for information on how assistance is awarded/released: The method of money release varies case by case.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project records and documents must be retained by the State for 3 years following the final submission for Federal payment in accordance with 49 CFR 18.41.

**Account Identification:**

69-8083-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$60,000,000; FY 12 est \$0; and FY 13 est \$0 - FY 2012 -- Continued funding depends on authorization under the Federal surface transportation program. This program is proposed for consolidation with other Federal-aid highway program categories under 20.205, and project eligibility might change. Remaining unobligated balances from prior years may be available.

**Range and Average of Financial Assistance:**

Apportionments to the States are based on statutory formula. All 50 States and the District of Columbia are eligible to receive apportionments. For fiscal year 2011, \$96,825,193 was available; funds ranged from \$1,004,084 to \$5,384,416; the average was \$1,898,533. See [www.fhwa.dot.gov/environment/recreails/recfunds.htm](http://www.fhwa.dot.gov/environment/recreails/recfunds.htm).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Similar projects will be completed nationwide. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR, Highways and 49 CFR, Transportation. There are no regulations specifically for this program. Program guidance was completed on April 1, 1999; and is posted at <http://www.fhwa.dot.gov/environment/recreails/guidance.htm> along with program updates.

**Regional or Local Office:**

See Regional Agency Offices. State-level offices of the Federal Highway Administration (as listed in Appendix IV of the Catalog) or the State agency designated by the Governor to administer this program.

**Headquarters Office:**

Christopher B. Douwes 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Email: [christopher.douwes@dot.gov](mailto:christopher.douwes@dot.gov) Phone: (202) 366-5013 Fax: (202) 366-3409.

**Website Address:**

<http://www.fhwa.dot.gov/environment/recreails/>

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Similar projects will be completed nationwide. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each State (and the District of Columbia) solicits and selects projects for funding. To be eligible, projects must be selected on the basis of State priorities within the limit of the funds apportioned to each State.



## **20.223 TRANSPORTATION INFRASTRUCTURE FINANCE AND INNOVATION ACT (TIFIA) PROGRAM**

(TIFIA Credit Program)

### **FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

### **AUTHORIZATION:**

TIFIA Infrastructure Finance and Innovation Act of 1998, 23 U.S.C 601-609.

### **OBJECTIVES:**

To finance projects of national or regional significance by filling market gaps and leveraging substantial non-Federal and private co-investment. TIFIA credit assistance is intended to facilitate the financing of projects that would otherwise have been significantly delayed because of funding limitations or difficulties accessing the capital markets. Through TIFIA, the DOT provides Federal credit assistance to eligible highway, transit, rail, and intermodal freight projects, including access to seaports.

### **TYPES OF ASSISTANCE:**

DIRECT LOANS; GUARANTEED/INSURED LOANS

### **USES AND USE RESTRICTIONS:**

Highway, transit, rail, freight facilities, and certain port projects may receive credit assistance through the TIFIA program. The TIFIA statute requires all projects receiving TIFIA assistance to comply with 23 U.S.C. (for highway projects) and chapter 53 of 49 U.S.C. (for transit projects), as applicable. In addition, all projects receiving TIFIA assistance must comply with generally applicable Federal laws and regulations, including title VI of the Civil Rights Act of 1964, the National Environmental Policy Act of 1969, and the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.

### **Applicant Eligibility:**

Public or private entities seeking to finance, design, construct, own, or operate an eligible surface transportation project may apply for TIFIA assistance. Examples of such entities include state departments of transportation; local governments; transit agencies; special authorities; special districts; railroad companies; and private firms or consortia that may include companies specializing in engineering, construction, materials, and/or the operation of transportation facilities.

### **Beneficiary Eligibility:**

Public or private entities seeking to finance, design, construct, own, or operate an eligible surface transportation project. Examples include state departments of transportation; local governments; transit agencies; special authorities; special districts; railroad companies; and private firms or consortia that may include companies specializing in engineering, construction, materials, and/or the operation of transportation facilities.

### **Credentials/Documentation:**

All applicants must demonstrate relevant experience, strong qualifications, a sound project approach, and a project that can demonstrate financial feasibility. Applicants also must meet various Federal standards for participation in a Federal credit program. For example, applicant may not be delinquent or in default on any Federal debts. Such requirements will be specified in the contractual documents between the DOT and each applicant. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

For more information, please visit the TIFIA website at <http://www.fhwa.dot.gov/ipd/tifia/>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Upon receiving the DOT's notification that the project meets the basic eligibility criteria, the applicant may submit an application. An application fee, currently \$30,000, must be submitted with the proposal. The application form is available on the TIFIA web site at <http://tifia.fhwa.dot.gov/>.

### **Award Procedure:**

Final approval is granted by the Secretary of Transportation.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

After a complete application has been filed with all supporting documents, processing time is approximately 90 days. The average time to execute a TIFIA agreement from the date of Secretarial approval is 1 to 6 months.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

The maximum maturity of all TIFIA credit instruments is 35 years after a project's substantial completion. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Not Applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See Index of Current Regulations, Federal Highway Administration.

### **Records:**

Documentary evidence that may be requested for each project includes: audited financial statements, updated budget and cash flow projections, audit reports, sources and uses of funds, coverage ratios, project schedules, operating statistics, and management updates (within no more than 180 days following the recipient's fiscal year-end). In addition, the credit agreement obligates the borrower to provide the DOT an annual update to the project's financial plan in accordance with specified requirements. Each borrower will be required to give notice to the DOT of material events, including litigation, which could affect project development or the credit quality of the project.

### **Account Identification:**

69-4173-0-3-401; 69-4145-0-3-401; 69-4123-0-3-401.

### **Obligations:**

(Salaries) FY 11 \$169,153,397; FY 12 est \$1,181,011,000; and FY 13 est \$4,962,000,000

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, TIFIA closed two loans for the SH 161 Project in Texas and the US 36 Project in Colorado. More information is available on TIFIA's website: <http://www.fhwa.dot.gov/ipd/tifia/>. Fiscal Year 2012: To date, TIFIA has executed three loan agreements in FY 2012 for the RTD Eagle Project in Colorado, the Downtown/Midtown/Martin Luther King Freeway Project in Virginia and the Presidio Parkway Project in California. More information on TIFIA and current program accomplishments is available on the TIFIA website at <http://www.fhwa.dot.gov/ipd/tifia/>. Fiscal Year 2013: There are currently 17 projects in the TIFIA pipeline moving toward financial close. TIFIA expects that a majority of these projects will receive credit commitments in FY 2013.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

See TIFIA website at [http://www.fhwa.dot.gov/ipd/tifia/legislation\\_regulations/index.htm](http://www.fhwa.dot.gov/ipd/tifia/legislation_regulations/index.htm).

### **Regional or Local Office:**

None.

**Headquarters Office:**

Duane Callender, 1200 New Jersey Ave S.E., Room E, Washington, District of Columbia 20590 Phone: (202) 366-9644.

**Website Address:**

<http://www.fhwa.dot.gov/ipd/tifia/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: SH 161 Project

State Highway (SH) 161, the President George Bush Turnpike Western Extension (PGBT WE), will provide a new, approximately 11.5-mile link between SH 183, I-30, and I-20 as part of a western loop around Dallas through the cities of Irving and Grand Prairie south of Dallas-Fort Worth International Airport. SH161 will serve as a major link within the Dallas-Fort Worth regional transportation network, reducing congestion along adjacent corridors and improving the travel experience in surrounding communities.

US 36 Project

U.S. 36 is four-lane divided highway that connects the City of Boulder to Denver at its intersection with I-25. The highway currently experiences significant congestion and has been targeted for improvements by the Colorado Department of Transportation (CDOT) since the late 1990s. The U.S. 36 Managed Lane Project: Segments 1 and 2 is an initial phase of approximately \$1.3 billion of identified improvements along the 18 miles of roadway between the two cities.

More information is available on TIFIA's website:

<http://www.fhwa.dot.gov/ipd/tifia/>. Fiscal Year 2012: 1. RTD Eagle Project The Eagle Project will provide transportation benefits to key sectors of the Denver metropolitan area. Together, the East and Gold lines comprise the two commuter rail line components of the Eagle Project. The lines form a 34-mile rail transit corridor from Arvada, Colorado to Denver International Airport (DIA) and a 2.5-mile spur to Westminster.

2. Downtown/Midtown/Martin Luther King Freeway Project

The Downtown Tunnel/Midtown Tunnel/Martin Luther King (MLK) Freeway project will construct a new, 5,600 foot, two-lane, immersed tube tunnel between Norfolk and Portsmouth, Virginia. The tunnel will run parallel to the existing Midtown tunnel and upon completion, it will double the capacity of that crossing, reducing congestion on a facility that is overcrowded 70% of the time.

Presidio Parkway Project in California.

The Presidio Parkway Project is the reconstruction of 1.6 miles of the existing Doyle Drive with a new six-lane facility south of the Golden Gate Bridge. The California Department of Transportation (Caltrans) and the San Francisco County Transportation Authority have initiated a two phase construction approach that will convert Doyle Drive into a Parkway that compliments the natural environment of the Presidio of San Francisco and the Golden Gate National Recreation Area.

More information on TIFIA and current program accomplishments is available on the TIFIA website at <http://www.fhwa.dot.gov/ipd/tifia/>. Fiscal Year 2013: There are currently 17 projects in the TIFIA pipeline moving toward financial close. TIFIA expects that a majority of these projects will receive credit commitments in FY 2013.

**CRITERIA FOR SELECTING PROPOSALS:**

The DOT has assigned specific weights to the selection criteria, as follows: National or Regional Significance (20 percent); Private Participation (20 percent); Environment (20 percent); Project Acceleration (12.5 percent); Creditworthiness (12.5 percent); Use of Technology (5 percent); Consumption of Budget Authority (5 percent); Reduced Federal Grant Assistance (5 percent).

**20.231 PERFORMANCE AND REGISTRATION INFORMATION SYSTEMS MANAGEMENT**

PRISM

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, and Efficient Transportation Act: A Legacy of Users (SAFETEA-LU), Part 4109, Public Law 109-109-115, 49 U.S.C 4101(c), 4109.

**OBJECTIVES:**

This program links Federal Motor Carrier Safety information systems with State commercial vehicle registration and licensing systems and enables a State to (1) determine the safety fitness of a motor carrier or registrant when licensing or registering the applicant of motor carrier or while the license or registration is in effect; and (2) deny, suspend, or revoke the commercial motor vehicle registrations of a motor carrier or registrant that has been issued an operation out-of-service order by the Federal Motor Carrier Safety Administration (FMCSA).

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Financial assistance to States for the implementation of the PRISM program to (A) comply with the uniform policies, procedures, and technical and operational standards; (B) possess or seek the authority to possess for a time period no longer than determined reasonable by the Secretary, to impose sanctions relating to commercial motor vehicle registration on the basis of a Federal safety fitness determination; and (C) establish and implement a process to cancel the motor vehicle registration and seize the registration plates of a vehicle when an employer is found liable under section 31310 (i)(2)(C) for knowingly allowing or requiring an employee to operate such a commercial motor vehicle in violation of an out-of-service order. Financial assistance to States for the implementation of the PRISM program to (A) comply with the uniform policies, procedures, and technical and operational standards; (B) possess or seek the authority to possess for a time period no longer than determined reasonable by the Secretary, to impose sanctions relating to commercial motor vehicle registration on the basis of a Federal safety fitness determination; and (C) establish and implement a process to cancel the motor vehicle registration and seize the registration plates of a vehicle when an employer is found liable under section 31310 (i)(2)(C) for knowingly allowing or requiring an employee to operate such a commercial motor vehicle in violation of an out-of-service order. PRISM grants are 100 percent federally funded and require no State matching of funds.

**Applicant Eligibility:**

The FMCSA may award these grants to the agencies of States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the U.S. Virgin Islands. According to 49 U.S.C. 31106(d), FMCSA may use PRISM to fund other Federal departments, agencies, and instrumentalities, or by making grants to, and entering into contracts and cooperative agreements with, States, local governments, associations, institutions, corporations, and other persons."

**Beneficiary Eligibility:**

Eligible applicants include State agencies located in one of the fifty States, the District of Columbia, Puerto Rico, Northern Mariana Islands, American Samoa, Guam, and the U.S. Virgin Islands. Applicants must work on highway traffic safety activities and must demonstrate a capacity to work with highway traffic safety stakeholders.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

As stated in Section 13 of the FMCSA Financial Assistance General Provisions and Assurances, upon execution of the grant agreement recipients agree to comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order

(EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

Registration with grants.gov may take up to three weeks before the system will allow access to the grant application package.

Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

**Award Procedure:**

The amount of the PRISM grant funding allocated to a qualifying State will be determined by the Federal Motor Carrier Safety Administration (FMCSA) based on the assessed needs of the State, the eligibility of the State, and the availability of funds. Once the State's PRISM Implementation Plan has been approved, the grant will be awarded and the State will be required to sign a grant agreement with FMCSA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90-120 days of the submission deadline (subject to availability of funds) or as soon thereafter as administratively practicable.

**Appeals:**

Failure to submit a satisfactory PRISM Implementation Plans, as determined by FMCSA and the PRISM technical review panel will be requested to modify and resubmit their revised plan for approval.

**Renewals:**

The funds are available for expenditure as stipulated in the grant agreement and the terms and conditions.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The initial grant period of performance is typically 36 months; grant program extensions are allowable with FMCSAs approval and funds that remain active (no lapse in the period of performance) are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting requirements for PRISM recipients are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and financial reports no later than 30 days following the end of the quarter being reported. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with SF-PPR-B\_PRISM attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-270). No cash reports

are required. Progress reports are required quarterly. SF 425. Performance monitoring reports are submitted in the form of status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A Recipient that is: (a) a State, local government or Indian tribal government agrees to comply with the audit requirements of 49 CFR Section 18.26 and OMB Circular A-133, and any revision or supplement thereto.; (b) an institution of higher education or nonprofit organization agrees to comply with the audit requirements of 49 CFR Section 19.26 and OMB Circular A-133, and any revision or supplement thereto; (c) a private for-profit organization agrees to comply with the audit requirements of OMB Circular A-133. The Recipient agrees to obtain any other audits required by FMCSA. Project closeout will not alter the Recipient's audit responsibilities. Audit costs for Project administration and management are allowable under this Project to the extent authorized by OMB Circular A-87, revised; OMB Circular A-21, Revised; or OMB Circular A-122, Revised. The Recipient agrees to permit FMCSA, the Secretary of Transportation and the Comptroller General of the United States, or their authorized representatives, to inspect all Project work, materials, payrolls, and other data, and to audit the books, records, and accounts of the Recipient and its contractors pertaining to the Project. The Recipient agrees to require each third-party contractor whose contract award is not based on competitive bidding procedures as defined by the Secretary to permit the Secretary of Transportation and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that contract, and to audit the books, records, and accounts involving that contract as it affects the Project

**Records:**

The recipient shall retain records related to the approved project for the annotated time periods as specified in the grant agreement and 49 CFR 18.42 or 49 CFR 19.53, as applicable. The recipient shall make available to FMCSA copies of all work developed in performance with the grant, including but not limited to software and data.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Formula Grants) FY 11 \$4,749,944; FY 12 est \$5,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

Awards can range from \$100,000 to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: To date, there are 39 PRISM participants (38 States and DC) that have implemented the program at different levels. Of those, 25 States are denying, suspending, or revoking vehicle registrations for a Federal out of service order. Fiscal Year 2012: In 2012, the Agency will perform six PRISM State implementation reviews to measure their performance in the program and engage three States that have not yet decided to participate. Fiscal Year 2013: It is estimated that \$5,000,000 will be available in grant funds for vehicle registration system and law enforcement technology enhancements.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The PRISM Implementation Guide, Procedures Manual, System Specifications, State Training Materials, and other useful information may be obtained from the PRISM website specified below. Performance and Registration Information Systems Management (PRISM) grants funding authorization was part of the contract authority for information systems codified at 49 U.S.C. 31107.

**Regional or Local Office:**

See Regional Agency Offices. State Division Offices of the Federal Motor Carrier Safety Administration, as listed on the FMCSA website ([www.fmcsa.dot.gov](http://www.fmcsa.dot.gov)).

**Headquarters Office:**

Julie Otto 1200 New Jersey Ave., SE, Washington, District of Columbia 20590  
Email: julie.otto@dot.gov Phone: (202) 366-7960 Fax: (202) 366-7980

**Website Address:**

<http://www.fmcsa.dot.gov/safety-security/prism/prism.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funds have been granted to assist a State with vehicle registration system updates to link to the FMCSAs safety system. These funds were awarded as an FMCSA priority to comply with an Agency mandate.  
Fiscal Year 2012: Grant funds will be awarded to modernize State vehicle registration systems and use technology to target enforcement efforts.  
Fiscal Year 2013: It is estimated that \$5,000,000 will be available in grant funds to provide the ability for States to query registration files by United States Department of Transportation (USDOT) number of the motor carrier responsible for safety. These funds will also enable States to obtain registration records details, identify vehicles assigned to carriers with safety events, and assign priority for vehicle inspections.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must submit a State PRISM Implementation Plan specifying how the State will meet the program requirements, timeframes for completion, and associated costs of the program.

**20.232 COMMERCIAL DRIVER'S LICENSE PROGRAM IMPROVEMENT GRANT**

Commercial Driver License Program Improvement Grant

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 119 Stat. 1144, 49 U.S.C 31311 and 31313.

**OBJECTIVES:**

The Federal Motor Carrier Safety Administrations objective is to achieve the goals of SAFETEA-LU and the FMCSA mission of reducing the number and severity of crashes, fatalities, and injuries involving large trucks and buses by ensuring that States comply with the Federal Motor Carrier Safety Regulations related to commercial drivers license testing, issuance, and disqualification.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A State may use grants only for expenses directly related to its compliance with 49 USC 31311 (49 CFR Parts 383 and 384); but a State that is making good faith efforts toward substantial compliance with the requirements of 31311 and 31313 of SAFETEA-LU may use grants to improve implementation of the State's commercial driver's license program, including expenses for computer hardware and software, publications, testing, personnel, training, fraud prevention, and quality control. The grant may not be used to rent, lease, or buy land or buildings. States, local governments, and other persons for projects involving research, development, demonstration projects, public education, and other special activities and projects relating to commercial driver licensing and motor vehicle safety that are of benefit to all jurisdictions of the United States or are designed to address national safety concerns and circumstances. States, local governments, and other persons may use grant funds to address emerging issues relating to commercial driver's license improvements. The grant may not be used to rent, lease, or buy land or buildings. 100% funding; no match required.

**Applicant Eligibility:**

States may receive grant funds to comply with the requirements of section 31311 of SAFETEA-LU or if making good faith efforts toward substantial compliance with the requirements of section 31311 and 31313 receive grant funds to improve implementation of the commercial driver's license program. States, local governments, and other persons for projects involving research,

development, demonstration projects, public education, and other special activities and projects relating to commercial driver licensing and motor vehicle safety that are of benefit to all jurisdictions of the United States or are designed to address national safety concerns and circumstances. States, local governments, and other persons may use grant funds to address emerging issues relating to commercial driver's license improvements.

**Beneficiary Eligibility:**

- 14 - State (includes District of Columbia, public institutions of higher education and hospitals)
- 15 Local (includes State-designated Indian Tribes, excludes institutions of higher education and hospitals)
- 20 Public nonprofit institution/organization
- 38 other private institutions/organizations
- 39 anyone/general public.

**Credentials/Documentation:**

Certification by the State that it meets the conditions for grant approval. States must submit a self assessment of their CDL program and agree to maintain CDL program expenditures at a level at least equal to the average of the past two State fiscal years that ended prior to August 10, 2005. Costs will be determined in accordance with OMB Circular A-87. Non-State grantees must adhere to the applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Detailed application instructions and forms are available on Grants.gov. Applications must be submitted using Grants.gov

**Award Procedure:**

The amount of the CDL grant to a qualifying State will be determined by the CDL Division based on the documented needs of the State and the availability of funds. The Federal Register Notice will outline the current year's priorities. All proposals will be evaluated by a panel to determine which proposals have the greatest impact on the effectiveness of the CDL program in improving highway safety and reducing commercial motor vehicle related fatalities. States will be required to sign a grant agreement. This is a 90 day process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

This is a 90 day process.

**Appeals:**

Not Applicable.

**Renewals:**

Grant period of performance may be renewed without additional funding according to the requirements of the FMCSA Financial Assistance Agreement General Provisions and Assurance and other applicable OMB Circulars and Federal law.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants must be obligated in the same fiscal year that funding is made available. Obligations remain available until expended within the constraints of the FMCSA Financial Assistance Agreement General Provisions and Assurance and other applicable OMB Circulars and Federal law. See the following for information on how assistance is awarded/released: Reimbursement of actual expenditures.

**Reports:**

SF-425 and SF-PPR-B. No cash reports are required. Project activity reports

(SF-PPR) must be submitted quarterly to the FMCSA Division office. SF-425. Through reports and site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of all program activities covered in the grant proposal. Such records must be kept for 3 years following the end of the grant project period.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Salaries) FY 11 \$30,000,000; FY 12 est \$30,000,000; and FY 13 est \$25,000,000

**Range and Average of Financial Assistance:**

\$15,000 - \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Grants awarded for State and non-profit activities related to: improving CDL knowledge and skills testing processes; identification and reduction of fraud vulnerabilities; improvement of State information programming to achieve compliance with Federal regulations related to CDL; improving the accurate, complete, and timely exchange of CDL driver history record information between States; providing training and outreach to court and law enforcement officers on CDL and commercial motor vehicle safety. Fiscal Year 2012: Grants will be awarded for State and non-profit activities related to: improving CDL knowledge and skills testing processes; identification and reduction of fraud vulnerabilities; improvement of State information programming to achieve compliance with Federal regulations related to CDL; improving the accurate, complete, and timely exchange of CDL driver history record information between States; providing training and outreach to court and law enforcement officers on CDL and commercial motor vehicle safety. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR Part 383 and 384

**Regional or Local Office:**

None.

**Headquarters Office:**

Jose Ross 1200 New Jersey Avenue, S.E., W63-458, Washington , District of Columbia 20590 Email: james.ross@dot.gov Phone: (202) 366-0133.

**Website Address:**

<http://www.fmcsa.dot.gov/safety-security/grants/CDLPI/index.aspx>

**RELATED PROGRAMS:**

20.238 Commercial Drivers License Information System

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Reduction of fraud vulnerabilities; improvement of State information programming to achieve compliance with Federal regulations related to CDL; improving the accurate, complete, and timely exchange of CDL driver history record information between States; and providing training and outreach to court and law enforcement officers on CDL. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria include, prior performance of grantee (if applicable), effective use of prior grant funds by grantee (if applicable), cost effectiveness, applicability to announced priorities, ability to support the strategies and activities proposed in the application, use of innovative approaches to achieve program goals, feasibility of overall project proposed, and other grant specific evaluation factors as listed in the grant opportunity announcement on [www.grants.gov](http://www.grants.gov).

**20.233 BORDER ENFORCEMENT GRANTS**

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

The Consolidated Appropriations Act of 2010 and Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users , Public Law 109-59, 49 U.S.C 31107.

**OBJECTIVES:**

The Federal Motor Carrier Safety Administrations objective is to ensure motor carriers operating commercial vehicles entering the United States from a foreign country are in compliance with commercial vehicle safety standards and regulations, financial responsibility regulations and registration requirements of the United States, and to ensure drivers of those vehicles are qualified and properly licensed to operate the commercial vehicle.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Assistance is provided to entities and States that share a land border with another country for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects. Grant funds must be expended by September 30, 2012. Assistance is provided to entities and States that share a land border with another country for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects. One hundred percent discretionary funding is available for approved projects.

**Applicant Eligibility:**

Entities and States that share a land border with a foreign country.

**Beneficiary Eligibility:**

States that share a land border with a foreign country (Entities and Accredited public institutions of higher education).

**Credentials/Documentation:**

Maintenance of expenditure certification by the entity or State that it meets the conditions for grant approval and the State agrees that the total expenditure of the amounts of the State and political subdivisions of the State, exclusive of amounts from the United States, for carrying out border commercial motor vehicle safety programs and related enforcement activities and projects will be maintained at a level at least equal to the average level of that expenditure by the State and political subdivisions of the State for the last 2 State or Federal fiscal years ending before October 1, 2005, whichever the State designates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

File the complete application SF-424, SF-424A and SF424B form, a certification that the State meets all eligibility requirements and a State Border Enforcement Plan, electronically through [grants.gov](http://grants.gov). Information on how to register with [grants.gov](http://grants.gov) and file an application using [grants.gov](http://grants.gov) is available at <http://www.grants.gov/Apply>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. File the SF-424 and SF424A forms, a certification that the State meets all eligibility requirements, and a State Border Enforcement Plan with [grants.gov](http://grants.gov).

**Award Procedure:**

The amount of the award to a qualifying applicant, will be based on a panel review of all applications received, recommendations of the panel, and funding availability. The panel will prioritize funding request based on the State or entity performance on previous BEG awards; their ability to expend the awarded funds within the BEG performance year; and, national criteria established by the FMCSA as follows:  
Ensure southern Border States are meeting all Federal requirements to allow access to Mexico-domiciled carriers beyond the border commercial zones,

Increase the number of commercial motor vehicle (CMV) safety inspections and commercial driver license(CDL)/operating authority/financial responsibility checks in Border States focusing on international traffic; Improve the capability to conduct CMV safety inspection at remote and other sites near the border (The list of eligible items in 49 CFR 350.311, relating to the Motor Carrier Safety Assistance Program (MCSAP), should be used as a guide.); Develop appropriate telecommunication systems and coordination procedures with federal inspection agencies and others (Appropriate telecommunication systems means those that relate directly to the accessing and transfer of CMV safety data and information) including telecommunications systems and other items necessary to implement the International Trade Data Systems (ITDS); Other innovative initiatives designed to improve the compliance status of CMVs, drivers, and carriers entering the United States from Canada or Mexico; Research initiatives focused on cross-border enforcement and related issues; and Targeted inspections of commercial motor vehicles on corridors where there is a significant amount of international traffic. Applicants will be required to sign a grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. 120 days.

**Appeals:**

Applicants will be notified in writing or via e-mail by the FMCSA Grant Program Manager if the State or entity's application was not approved. There is no appeal process as funding is discretionary.

**Renewals:**

Eligible applicants must submit a new grant application to receive additional funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The amounts made available under the Border Enforcement Grants Program shall remain available for expenditure for the fiscal year in which they are allocated and for the next fiscal year. Amounts not expended by a State during those two fiscal years are available to the Secretary for reallocation. Method of awarding/releasing assistance: lump sum.

**Reports:**

A quarterly activity report is to be filed with the FMCSA Division Office. A program evaluation report is to be filed with the FMCSA Division Office within 90 days upon completion of the grant program. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of all programs activities covered in the State's Border Enforcement Plan must be kept for three years after the grant is closed.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$32,000,000; FY 12 est \$32,000,000; and FY 13 est \$32,000,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Under the BEG program, since FY 2005 over 700,000 CMV inspection, commercial driver license, financial stability and operating authority checks have been conducted. Over 100 outreach sessions for Mexican motor carriers seeking authority to operate in the United States have been conducted. Finally, the four southern border states are provided funding to ensure the requirements of Section 350 of the FY 2002 DOT Appropriations Act are in place to allow access to Mexico-domiciled motor vehicles beyond the commercial zones are met. Fiscal Year 2012: Program accomplishments will be consistent and enhance upon those described in fiscal year 2012 . Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR 1.48; 49 CFR 350; 49 CFR 350-399; 49 CFR 100-180; 49 CFR 18. Publications available through the Government Printing Office \$14-\$27 per volume.

**Regional or Local Office:**

See Regional Agency Offices. Division Office of FMCSA as listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jackie Cambridge 1200 New Jersey Ave, SE, Washington, District of Columbia 20590 Email: Jackie.cambridge@dot.gov Phone: (202) 366-1351

**Website Address:**

<http://www.fmcsa.dot.gov>.

**RELATED PROGRAMS:**

20.218 National Motor Carrier Safety

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Over 100 outreach sessions for Mexican motor carriers seeking authority to operate in the United States. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must meet the statutory requirements contained in the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (Conference Report 109-203). Additionally the State or entity must submit an electronic application (SF 424, SF 424A, SF 424B and SF-LLL) through [grants.gov](http://www.grants.gov) (<http://www.grants.gov/Apply>) including a Border Enforcement Plan consistent with the national criteria identified by the Federal Motor Carrier Safety Administration and listed above. The Border Enforcement Plan must include the scope, purpose, goals and objectives of the border enforcement program; implementation strategies including projected number of activities to be completed; performance measures; a detailed budget; an evaluation of the previous years border enforcement plan including a comparison of projected activities and the actual number completed to date, if applicable; a program monitoring and evaluation plan; and a sample of the quarterly report the applicant will use to submit to the Federal Motor Carrier Safety Administration. Applications that are missing any of this information will be returned to the applicant for revision and must be resubmitted within 30 days to be considered during the first round of funding. Those received after 30 days will be considered during the second round of funding.

**20.234 SAFETY DATA IMPROVEMENT PROGRAM**

Safety Data Improvement Program (SaDIP)

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Section 4128 of the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) Public Law 109-59, 119 Stat. 1144 (2005), as amended. , Public Law 111-117, 124 Stat. 71 , 49 U.S.C 31102-31104.

**OBJECTIVES:**

The Federal Motor Carrier Safety Administrations objective is to To The

objectives are to fund State programs designed to improve the overall quality of commercial motor vehicle (CMV) data, specifically to increase the timeliness, efficiency, accuracy and completeness of processes and systems related to the collection and analysis of large truck and bus crash and inspection data.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Examples of uses for funding include: hire staff to manage data quality improvement programs, revise outdated crash report forms, hire staff to code and enter safety data, train law enforcement officers in collecting crash data, develop software to transfer data from the State repository SAFETYNET and purchase software for field data collection and data transfer. Examples of uses for funding include: hire staff to manage data quality improvement programs, revise outdated crash report forms, hire staff to code and enter safety data, train law enforcement officers in collecting crash data, develop software to transfer data from the State repository SAFETYNET and purchase software for field data collection and data transfer. The Federal share of a grant under this section shall be 80 percent of the cost of the activities for which the grant is made.

**Applicant Eligibility:**

A State shall be eligible for a grant under this section in a fiscal year if the Secretary determines that the State has (1) conducted a comprehensive audit of its commercial motor vehicle safety data system within the preceding 2 years; (2) developed a plan that identifies and prioritizes its commercial motor vehicle safety data needs and goals; and (3) identified performance-based measures to determine progress toward those goals.

Eligible applicants include State Departments of Public Safety, Departments of Transportation, or State Law Enforcement Agencies in any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. The term does not include any public and Indian housing agency under United States Housing Act of 1937. (49 CFR Part 18).

**Beneficiary Eligibility:**

Any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. The term does not include any public and Indian housing agency under United States Housing Act of 1937. (49 CFR Part 18).

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must register with Grants.gov to apply for funding at: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

Registration with grants.gov may take two to five days before the system will allow access to the grant application package.

Applications should be submitted in accordance with the instructions provided and must be submitted electronically to FMCSA through the Grants.gov website.

**Award Procedure:**

An evaluation panel will select award recipients based on an overall application score outlined in the application package, the potential for improvement of national Safety data collection and reporting rates, and the total funding available.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

If basic eligibility criteria are met and funds are available, discussion with potential grantees continues until the project plan is mutually acceptable.

**Appeals:**

Appeals will be considered upon demonstration that the proposal meets SaDIP grant eligibility criteria and the State Safety Data Quality measures have been addressed.

**Renewals:**

Renewals or request for extensions to the grant period of performance can be made through the FMCSA State Division Offices.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. The Federal share of a grant under this section shall be 80 percent of the cost of approved eligible activities for which the grant is made; the State share of a grant under this section shall be 20 percent of the cost of the activities for which the grant is made.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The initial grant period of performance is typically 18 months; grant program extensions are allowable and funds are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

A quarterly activity report is to be filed with the FMCSA Division Office. A program evaluation report is to be filed with the FMCSA Division Office within 90 days upon completion of the grant program. No cash reports are required. No progress reports are required. Recipients are required to file a quarterly Federal Financial Report, SF-425 no later than 30 days following the end of the quarter being reported. Review of reports and/or site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A Recipient that is: (a) a State, local government or Indian tribal government agrees to comply with the audit requirements of 49 CFR Section 18.26 and OMB Circular A-133, and any revision or supplement thereto.; (b) an institution of higher education or nonprofit organization agrees to comply with the audit requirements of 49 CFR Section 19.26 and OMB Circular A-133, and any revision or supplement thereto; (c) a private for-profit organization agrees to comply with the audit requirements of OMB Circular A-133. The Recipient agrees to obtain any other audits required by FMCSA. Project closeout will not alter the Recipient's audit responsibilities. Audit costs for Project administration and management are allowable under this Project to the extent authorized by OMB Circular A-87, revised; OMB Circular A-21, Revised; or OMB Circular A-122, Revised. The Recipient agrees to permit FMCSA, the Secretary of Transportation and the Comptroller General of the United States, or their authorized representatives, to inspect all Project work, materials, payrolls, and other data, and to audit the books, records, and accounts of the Recipient and its contractors pertaining to the Project. The Recipient agrees to require each third party contractor whose contract award is not based on competitive bidding procedures as defined by the Secretary to permit the Secretary of Transportation and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that contract, and to audit the books, records, and accounts involving that contract as it affects the Project.

**Records:**

The recipient shall retain records related to the approved project for the specified time periods as specified in the grant agreement and 49 CFR 18.42 or 49 CFR 19.53, as applicable. The recipient shall make available to FMCSA copies of all work developed in performance with the grant, including but not

limited to software and data.

**Account Identification:**

69-8055-0-7-401.

**Obligations:**

(Salaries) FY 11 \$3,000,000; FY 12 est \$3,000,000; and FY 13 est \$3,000,000 - This funding may be used to cover State salaries and expenses related to the States efforts toward continuous improvement of the quality of large truck and bus crash and inspection data.

**Range and Average of Financial Assistance:**

Range \$5,000 - \$500,000; Average award \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Grants are awarded to States by competitive application to improve the overall quality of commercial motor vehicle (CMV) data, and specifically, to improve the timeliness, efficiency, accuracy, and completeness of State processes and systems used to collect, analyze, and report large truck and bus crash and inspection data. The FMCSA gives priority to proposals received from States rated Yellow (Fair) and Red (Poor) on the State Safety Data Quality (SSDQ) map. Fiscal Year 2012: Grants are awarded to States by competitive application to improve the overall quality of commercial motor vehicle (CMV) data, and specifically, to improve the timeliness, efficiency, accuracy, and completeness of State processes and systems used to collect, analyze, and report large truck and bus crash and inspection data. The FMCSA gives priority to proposals received from States rated Yellow (Fair) and Red (Poor) on the State Safety Data Quality (SSDQ) map. Fiscal Year 2013: It is anticipated that grants will be awarded to States by competitive application to improve the overall quality of commercial motor vehicle (CMV) data, and specifically, to improve the timeliness, efficiency, accuracy, and completeness of State processes and systems used to collect, analyze, and report large truck and bus crash and inspection data. The FMCSA gives priority to proposals received from States rated Yellow (Fair) and Red (Poor) on the State Safety Data Quality (SSDQ) map.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 4128 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) established the SaDIP grant opportunity. The legislation provides discretionary funding for States to improve the quality of crash and inspection data for large trucks and buses reported by States to FMCSA, as described in 49 U.S.C. Section 31102. The funding is codified in 49 U.S.C. Section 31104.

**Regional or Local Office:**

See Regional Agency Offices. Refer to the FMCSA Field Office Roster at the FMCSA website for your FMCSA State Division Office (<http://www.fmcsa.dot.gov/about/contact/offices/displayfieldroster.asp>).

**Headquarters Office:**

Jackie Cambridge 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Email: Jackie.cambridge@dot.gov Phone: (202) 366-1351

**Website Address:**

<http://www.fmcsa.dot.gov/safety-security/grants/grants.aspx>

**RELATED PROGRAMS:**

20.218 National Motor Carrier Safety

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: State agencies were awarded funds for activities such as to update current training materials for law enforcement officers using the States crash data repository; to complete the development and deployment of an automated crash reporting system; to implement computer-aided dispatch and records management; for staff training in using new data technology. Fiscal Year 2012: State agencies were awarded funds for activities such as to update current training materials for law enforcement officers using the States crash data repository; to complete the development and deployment of an automated crash reporting system; to implement computer-aided dispatch and records management; for staff training in using new data technology. Fiscal Year 2013: It is anticipated that awards will be made for activities such as to update current training materials for law enforcement officers using the States crash data repository; to complete the development and deployment of an automated crash reporting system; to implement computer-aided dispatch and records

management; for staff training in using new data technology.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are defined in the evaluation criteria included with the full application package available on Grants.gov. Criteria are based on the defined goals and objectives included in, and the feasibility and cost effectiveness of, the proposed project plan.

**20.235 COMMERCIAL MOTOR VEHICLE OPERATOR TRAINING GRANTS**

CMV-OST

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 119 Stat. 1738, 49 U.S.C 31301.

**OBJECTIVES:**

Promote the safe operation of Commercial Motor Vehicles (CMVs), as defined in 49 U.S.C. 31301, through financial assistance to persons who train current and future drivers in the safe operation of CMVs.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Expand the number of Commercial Drivers License holders possessing enhanced operator safety training in order to reduce the severity and number of crashes on U.S. roads involving CMV; and assist economically distressed regions of the U.S. by proving workforce training opportunities for qualified individuals to become CMV operators. Applicant must adhere to eligibility criteria and project plan to be considered. Availability of funds are announced on Grants.gov ([www.grants.gov](http://www.grants.gov)).

**Applicant Eligibility:**

Eligible applicants must be accredited and recognized by the Department of Education.

**Beneficiary Eligibility:**

Eligible applicants must be accredited and recognized by the Department of Education.

**Credentials/Documentation:**

State government agencies, local government agencies or accredited postsecondary educational institutions must be accredited and recognized by the Department of Education. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

In accordance with the FMCSA Financial General Provisions and Assurances the recipient agrees to comply, as applicable, with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**



OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applications must be submitted electronically through Grants.gov. Detailed application instructions are provided in the Grants.gov opportunity announcement and through the Federal Register notice.

**Award Procedure:**

An application is submitted and evaluated to determine if funds will be awarded.

**Deadlines:**

Oct 01, 2012 to Dec 01, 2012 Applications must be filed with an FMCSA Division office or through Grants.gov in accordance with FMCSA guidance issued through a Federal Register notice.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals to standard assistance agreements, if any, will be in the form of a new grant with a new grant number. Costs incurred under the previous grant cannot be transferred to the new grant. Residual funds remaining in the previous grant cannot be transferred to the new grant.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20.%. The Federal share of the grant shall not exceed 80 percent of the approved expenditures in the project plan. A 20 percent matching share by the recipient is required.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are available for one year upon execution of the grant agreement. See the following for information on how assistance is awarded/released: upon execution of the grant agreement (electronic signature).

**Reports:**

Reporting requirements for CMV-OST recipients are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with SF-PPR-B attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-269). Reports are to be submitted quarterly to the FMCSA Headquarters. No cash reports are required. Yes.  
Reporting requirements for CMV-OST recipients are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with SF-PPR-B attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-269). Reports are to be submitted quarterly to the FMCSA Headquarters. Reporting requirements for CMV-OST recipients are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with SF-PPR-B attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-269). Reports are to be submitted quarterly to the FMCSA Headquarters. Reporting requirements for CMV-OST recipients are outlined in the grant agreement terms and conditions and consists of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR), together with SF-PPR-B attachment. Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-FFR, also known as the SF-425) and at least quarterly submission of the Request of reimbursement form (SF-269). Reports are to be submitted quarterly to the FMCSA Headquarters.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Completion of the FMCSA Administrative Capability Questionnaire for Non-Profit Organizations.

**Records:**

Records of all program activities, including financial and programmatic records, statistical records and any other records, covered in the approved project plan must be kept for a period of three (3) years after the close of the grant.

**Account Identification:**

69-8159-0-7-401.

**Obligations:**

(Salaries) FY 11 \$1,000,000; FY 12 est \$1,000,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

FY 2011 Awards ranged from 160,000 to 230,000. The average award was 100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funds are awarded to State and local jurisdictions, Federally-recognized Native American Tribal Governments, and accredited post-secondary educational institutions (public or private) such as colleges, universities, vocational technical schools, associations, and truck driver training schools that are accredited and recognized by the U.S. Department of Education. The programs goals are to expand the number of Commercial Drivers License holders possessing enhanced operator safety training in order to reduce the severity and number of crashes on U.S. highways involving commercial motor vehicles; and to assist economically distressed regions of the U.S. by providing workforce training opportunities for qualified individuals to become commercial motor vehicle operators. Fiscal Year 2012: Funds are awarded to State and local jurisdictions, Federally-recognized Native American Tribal Governments, and accredited post-secondary educational institutions (public or private) such as colleges, universities, vocational technical schools, associations, and truck driver training schools that are accredited and recognized by the U.S. Department of Education. The programs goals are to expand the number of Commercial Drivers License holders possessing enhanced operator safety training in order to reduce the severity and number of crashes on U.S. highways involving commercial motor vehicles; and to assist economically distressed regions of the U.S. by providing workforce training opportunities for qualified individuals to become commercial motor vehicle operators. Fiscal Year 2013: Anticipated to be the same as FY 2011 and FY 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 4134 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU, Public Law 109-59), 49 U.S.C. 31301, Office of Management and Budget (OMB) Circulars A-87 (Cost Principles for State, Local, and Indian Tribal Governments), A-21 (Cost Principles for Educational Institutions), or A-122 (Cost Principles for Non Profit Organizations), depending upon applicant type.

**Regional or Local Office:**

None.

**Headquarters Office:**

Crystal Polk, 1200 New Jersey Ave., SE, Washington, District of Columbia 20590 Email: Crystal.polk@dot.gov Phone: 202-366-0734 Fax: 202-366-7980

**Website Address:**

<http://www.fmcsa.dot.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants were awarded to State technical and community colleges, and to a driver training school for full tuition scholarships, driver training, and post-training job placement assistance. Priority was given to

applications from economically distressed areas. Fiscal Year 2012: Grants were awarded to State technical and community colleges, and to a driver training school for full tuition scholarships, driver training, and post-training job placement assistance. Priority was given to applications from economically distressed areas. Fiscal Year 2013: It is anticipated that awards will be made similar to FY 2011 and FY 2012.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria used to select proposals includes:

Is the applicant an accredited training institution or institution of higher education?

Does the applicant have a valid training program?

Does the applicant serve an economically distressed area?

Does the applicant target the unemployed and underemployed?

Does the applicant provide job placement opportunities for the drivers?

Does the applicant have a monitoring and evaluation program in place?.

#### **20.237 COMMERCIAL VEHICLE INFORMATION SYSTEMS AND NETWORKS**

(CVISN)

##### **FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

##### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act Legacy for Users (SAFETEA LU), Section 4101(c), 4126, Public Law 109-59, 119 Stat. 1738, 49 U.S.C 31104(C)(4).

##### **OBJECTIVES:**

The CVISN grant program provides financial assistance to eligible States to (1) improve the safety and productivity of commercial vehicles and drivers; and (2) reduce costs associated with commercial vehicle operation and federal and State commercial vehicle regulatory requirements. The program shall advance the technological capability and promote the deployment of intelligent transportation system applications for commercial vehicle operations, including commercial vehicle, commercial driver, and carrier-specific information systems and networks.

##### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

##### **USES AND USE RESTRICTIONS:**

CVISN funds for Core Deployment may only be used for the core deployment of systems in a State necessary to provide the State with the capabilities in accordance with SAFETEA-LU Section 4126(g)(3).

CVISN funds for Expanded Deployment may only be used for the deployment of systems in a State that exceed the requirements of a core deployment of CVISN, improve safety and the productivity of commercial motor vehicle operations, and enhance transportation security. In accordance with SAFETEA-LU section (c)(2), the maximum aggregate amount of grants awarded to a State for the core deployment of CVISN may not exceed \$2,500,000.

In accordance with SAFETEA-LU Section 4126(d), for each fiscal year FMCSA will first consider applications for the core deployment of CVISN. After FMCSA has awarded grants for core deployment of CVISN, then FMCSA may distribute funds available for Expanded Deployment grants equally among the eligible State applicants, but not to exceed \$1,000,000. The FMCSA will reimburse up to 50 percent of eligible costs.

##### **Applicant Eligibility:**

The agency in each State designated as the primary agency responsible for the development, implementation and maintenance of a CVISN-related system is eligible to apply for grant funding.

##### **Beneficiary Eligibility:**

FMCSA may award these grants to the agencies of States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the U.S. Virgin Islands that are designated as the lead agency in the States CVISN Program Plan and Top-Level Design (PP/TLD).

##### **Credentials/Documentation:**

In accordance with the provisions of SAFETEA-LU Section 4126(e), to be eligible for a CVISN grant a State: (1) shall have a CVISN program plan approved by the FMCSA that describes the various systems and networks at the State level to accomplish deployment of core capabilities; (2) shall certify that its commercial vehicle information systems and networks deployment activities, including hardware procurement, software and system development, and infrastructure modifications (a) are consistent with the national intelligent transportation systems and commercial vehicle information systems and networks architectures and available standards; and (b) promote interoperability and efficiency to the extent practicable; and (3) shall agree to execute interoperability tests developed by the FMCSA to verify that its systems conform with the national intelligent transportation systems architecture, applicable standards, and protocols for commercial vehicle information systems and networks. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Upon execution of the grant agreement the recipient agrees to comply, as applicable, with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Title 49 of the Code of Federal Regulation Part 18, 19, and 20, DOT Regulations for grants, cooperative agreements and other agreements and the OMB Circular A-87 or 2 CFR Part 225, Applicability of Cost Principles.

##### **Award Procedure:**

90-120 days of the submission deadline (subject to availability of funds) or as soon thereafter as administratively practicable.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 90 to 120 days. Contingent upon Agency funding levels.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Renewals or request for extensions to the grant period of performance are available.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. FMCSA will reimburse up to 50 percent of eligible costs, in accordance with SAFETEA-LU section 4126(f).

Additional information can be found in 49 CFR Part 18 and in 2 CFR Part 225 (supersedes OMB Circular A-87).

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

The funds are available for expenditure as stipulated in the grant agreement and the terms and conditions. See the following for information on how assistance is awarded/released: Request for reimbursement.

**Reports:**

Reporting requirements are outlined in the grant agreement terms and conditions and consist of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR). Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-425). SF-425. Reporting requirements are outlined in the grant agreement terms and conditions and consist of quarterly performance progress status and financial reports. Progress Reports include the Performance Progress Report Coversheet (SF-PPR). Financial Reporting requirements include quarterly submission of the Federal Financial Report (SF-425). SF-425. Through financial and progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with A-133 requirements

**Records:**

Upon request, the State will provide copies of technical documents and/or procurement documents to FMCSA.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Salaries) FY 11 \$25,000,000; FY 12 est \$25,000,000; and FY 13 est \$25,000,000

**Range and Average of Financial Assistance:**

Awards range from \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Seven states (Arkansas, Iowa, Louisiana, New York, South Carolina, Texas, and Virginia) completed their deployment of core CVISN functionality and were certified as being core CVISN compliant. This is the largest number of states certified as core compliant in any single year in the history of the CVISN program. Twenty eight states have now completed their deployment of core CVISN functionality and are core CVISN compliant. Fiscal Year 2012: In 2012, an additional four to five states are expected to complete their deployment of core CVISN functionality and be certified as core CVISN compliant. FMCSA also will administer the CVISN Deployment Grant program and coordinate a national CVISN Deployment Workshop, which will be an opportunity to discuss changes in the program and share lessons learned from successful deployment programs. FMCSA also will implement a new performance monitoring program that will document the national and state-specific benefits of CVISN functionality. Fiscal Year 2013: It is estimated that \$25,000,000 will be available in grant funds. These funds are anticipated to be awarded to remaining States to help achieve core compliance and fund State expanded CVISN deployment.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Background information and planning materials can be found at the FMCSA web site, [www.fmcsa.dot.gov](http://www.fmcsa.dot.gov).

**Regional or Local Office:**

See Regional Agency Offices. ISee regional agency offices: States may contact their States FMCSAs Division Administrator.

**Headquarters Office:**

Julie Otto 1200 New Jersey Ave., SE, W65-326, Washington, District of Columbia 20590 Email: [julie.otto@dot.gov](mailto:julie.otto@dot.gov) Phone: (202) 366-0710 Fax: (202) 366-7980.

**Website Address:**

<http://http://www.fmcsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grant funds have been awarded to States to eliminate administrative/transaction fees that were previously associated with credentialing processes, which further reduces motor carrier credentialing costs. Fiscal Year 2012: Grant funds will be awarded to promote nationwide technology deployment (e.g., infrared brake testers, license plate readers) used to focus enforcement efforts. Fiscal Year 2013: It is estimated that \$25,000,000 will be available in grant funds. These funds are anticipated to be awarded to 23 States to help achieve core compliance and fund 28 States expanded CVISN deployment.

**CRITERIA FOR SELECTING PROPOSALS:**

Consistency with the national Information Technology Systems and CVISN architecture and standards;  
Consistency with Program Plan and Top Level Design approved by FMCSA;  
Agreement to incorporate interoperability and efficiency to the extent practicable; and  
Agree with reporting and programming oversight requirements contained in the grant program agreement.

**20.238 COMMERCIAL DRIVERS LICENSE INFORMATION SYSTEM (CDLIS) MODERNIZATION GRANT**

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 119 Stat. 1144, 49 U.S.C 31309.

**OBJECTIVES:**

To modernization the Commercial Driver's License Information System (CDLIS). Following modernization CDLIS will: (1) comply with applicable Federal information technology security standards; (2) provide for the electronic exchange of all information including the posting of convictions; (3) contain self auditing features to ensure that data is being posted correctly and consistently by the States; and (4) integrate the commercial driver's license and the medical certificate.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

A State may use grants only for expenses directly related to modernizing its CDLIS to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code. A grant to a State may not be for more than 80 percent of the costs incurred by the State in a fiscal year in modernizing CDLIS of the State to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code. Non-State grantees may use funds for projects that are national in scope and that are directly related to helping States comply with modernization of their CDLIS programming. Grant funds may not be used to rent, lease, or buy land or buildings. 80% funding; 20% match funding required.

**Applicant Eligibility:**

A State may use grants only for expenses directly related to modernizing its CDLIS to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code. A grant to a State may not be for more than 80 percent of the costs incurred by the State in a fiscal year in modernizing CDLIS of the State to be compatible with the modernized CDLIS under section 31309 of title 49, United States Code.

Non-State grantees may use funds for projects that are national in scope and that are directly related to helping States comply with modernization of their CDLIS programming.

**Beneficiary Eligibility:**

14 - State (includes District of Columbia, public institutions of higher education

and hospitals)

36 Private nonprofit institution/organizations.

**Credentials/Documentation:**

Certification by the State that it meets the conditions for grant approval. States must agree to administer their Commercial Drivers License Information System programming in accordance with the documentation and requirements established by the American Association of Motor Vehicle Administrations (AAMVA FMCSAs designated operator of CDLIS). Costs will be determined in accordance with OMB Circular A-87. Non-State grantees must adhere to the applicable OMB Circular. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Detailed application instructions and forms are available on Grants.gov. Applications must be submitted using Grants.gov.

**Award Procedure:**

The amount of the CDL Modernization grant to a qualifying state will be determined by the CDL Division based on the availability of funds and the eligibility of the State. The Grants.gov announcement will outline the current year's priorities. All proposals will be evaluated by a panel to determine which proposals have the greatest impact on the effectiveness of the CDLIS Modernization program. States will be required to sign a grant agreement. Between 90-120 days.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grant period of performance may be renewed without additional funding according to the requirements of the FMCSA Financial Assistance Agreement General Provisions and Assurance and other applicable OMB Circulars and Federal law.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. A 20% match required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants must be obligated in the same fiscal year that funding is made available. Obligations remain available until expended within the constraints of the FMCSA Financial Assistance Agreement General Provisions and Assurance and other applicable OMB Circulars and Federal law. See the following for information on how assistance is awarded/released: Reimbursement of actual expenditures.

**Reports:**

SF-425 and SF-PPR-B. No cash reports are required. Quarterly activity reports are to be filed with the FMCSA Division office. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records of all program activities covered in the grant proposal and records of all expenditures for which the grantee requests reimbursement. Such records must be kept for three years following the end of the grant project period.

**Account Identification:**

69-8055-0-7-401.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - FMCSA did not award any funds under this CFDA number in FY2011 and FY2012.

**Range and Average of Financial Assistance:**

\$15,000 - \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FMCSA did not award any funds under this CFDA number in FY2011. Fiscal Year 2012: FMCSA will not award any funds under this CFDA number in FY2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 CFR Part 383 and 384; Commercial Drivers License Information System Specifications (Release 5.1); State Procedures Manual (Release 5.1), AAMVA Code Dictionary (Release 3.1.0).

**Regional or Local Office:**

None.

**Headquarters Office:**

Jose Ross 1200 New Jersey Avenue, S.E., W65 -Attn: MC-ESL, Washington , District of Columbia 20590 Email: james.ross@dot.gov Phone: (202) 366-0133.

**Website Address:**

<http://www.fmcsa.dot.gov/safety-security/grants/CDLIS/index.aspx>

**RELATED PROGRAMS:**

20.232 Commercial Driver License State Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No projects were funded in FY2011. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria include, prior performance of grantee (if applicable), effective use of prior grant funds by grantee (if applicable), cost effectiveness, applicability to announced priorities, ability to support the strategies and activities proposed in the application, use of innovative approaches to achieve program goals, feasibility of overall project proposed, and other grant specific evaluation factors as listed in the grant opportunity announcement on [www.grants.gov](http://www.grants.gov).

**20.239 MOTOR CARRIER RESEARCH AND TECHNOLOGY PROGRAMS**

**FEDERAL AGENCY:**

Federal Motor Carrier Safety Administration (FMCSA), Department of Transportation

**AUTHORIZATION:**

Surface Transportation Assistance Act of 1982, Public Law 97-242; Transportation Equity Act for the 21st Century , 49 U.S.C 31108; Motor Carrier Safety Act of 1992 , Public Law 102-240.

**OBJECTIVES:**

The Analysis Research and Technology (ART) Office administers FMCSA Research and Technology (R&T) Program. Through the R&T program, FMCSA seeks to reduce the number and severity of crashes to reduce injuries and fatalities contributing to a safe and secure commercial transportation network. The R&T program is targeting crashes involving CMVs and the efficiency of CMV operations through conducting systematic studies directed toward fuller scientific discovery, knowledge, or understanding, adopting, testing, and deploying innovative driver, carrier, vehicle, and roadside best practices and technologies, and expanding the knowledge and portfolio of deployable technology. The development, testing, and deployment of simple and advanced innovative driver/vehicle technologies and integrated IT solutions support the Agency's priorities by demonstrating new roadside safety technologies and operational concepts, accelerating the deployment of

vehicle-based and other safety and security technologies. Also by managing IT projects that integrate data collected and exchanged by various information systems and networks, and providing technical support and assistance to States and the motor carrier industry. The R&T Program has a number of projects directed towards driver behavior, as well as vehicle and carrier safety. The R&T Program also supports information-based safety and security projects. In addition, the support extends to FMCSA programs, specifically, enforcement (HM safety and bus safety), policy (regulations and medical qualifications), and outreach.

The R&T programs strategic objective Produce Safer Drivers supports the FMCSAs "Safety Goal. The ART Office will continue to evaluate the most critical driver risk factors through the Case-Control Commercial Driver Individual Differences Study. The factors include demographic characteristics, medical conditions, personality traits, attitudes, work environmental conditions, and behavioral history. A medical examination and battery of psychological and behavioral history measures will be administered to as many as 21,000 CMV drivers. The ART Office continues research to determine the effectiveness different restart provisions in the hours of service regulations (HOS) governing CMV drivers in restoring performance.

The R&T programs strategic objective Improve Safety of Commercial Motor Vehicles supports the FMCSAs "Safety Goal by continuing research aimed at accelerating the deployment of vehicle-based, and other safety and security technologies to reduce crashes. The ART Office will continue conducting fast-turnaround and independent evaluation of promising safety technologies aimed at commercial vehicle operations. FMCSA funding will be used for the evaluation, and the technology developer will partner with the Agency to provide the technology for testing. The FMCSA envisions that individual test and evaluation programs could be completed in 612 months. This program should greatly reduce both the time and the resources required to conduct independent evaluations of potentially life-saving safety technologies. The ART Office will continue a DOT multimodal (NHTSA, FMCSA) sponsored study of collecting and analyzing data on bus and motor coach fires. The study will conduct detailed engineering root cause analyses to determine the causes of bus and motor coach fires.

The R&T programs strategic objective Produce Safer Carriers supports the FMCSAs "Safety Goal by continuing programs aimed at producing science-based regulations to advance the Agency's strategic and policy goals. This research will support rulemaking activities by gathering and consolidating research for inclusion into the Agency's rulemakings and required analyses. The ART Office will continue to evaluate the Effectiveness of Fostering Safety Culture in Motor Carriers. This study will use the Service Corps of Retired Executives (SCORE) to help new entrant motor carriers to foster development of a culture for making daily operating decisions based on both good business practices and FMCSA regulatory requirements.

The R&T programs strategic objective Advance Safety through Information-Based Initiatives supports the FMCSA strategic objective Commercial Motor Vehicle Safety and the DOT strategic objective Safety by continuing programs aimed at assuring interoperability of systems supporting safety, security, and productivity and providing technical assistance to States. The ART Office will continue Roadside/On-Board Safety Technology Countermeasures/Wireless Inspection Pilot Test. This study will evaluate the safety benefits of a state-wide wireless inspection network where drivers logs and vehicle fault codes are electronically checked on a weekly basis.

The R&T programs strategic objective Enable and Motivate Internal Excellence supports the FMCSAs strategic goal of Organizational Excellence by improving performance to serve the customers of the ART Office more effectively and economically. The ART Offices has a long-standing partnership with the National Academies of Sciences TRB, which will be broadened to increase TRBs participation and expertise in FMCSAs analysis, research, and technology programs. Specific joint activities include publishing truck and bus synthesis reports and special reports, conducting conferences, and publishing reports from the Innovations Deserving Exploratory Analysis (IDEA) program.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (Contracts)

#### **USES AND USE RESTRICTIONS:**

Funds are typically competitively awarded via request for proposals for contracts. Cooperative agreements are typically competitively awarded via

GRANTS.gov. Funding shall be used in accordance with the requirements identified in each research or technology projects. Projects shall be authorized to meet the objectives of FMCSA. Funds shall be used in accordance with the requirements identified in each projects. Projects shall be authorized to meet the objectives of FMCSA.

#### **Applicant Eligibility:**

Government - General, Interstate, State (includes District of Columbia, public institutions of higher education and hospitals), Sponsored organization, Individual/Family, Profit organization, Private nonprofit institution/organization (includes institutions of higher education and hospitals).

#### **Beneficiary Eligibility:**

Federal, State, Local, Sponsored organization, Public nonprofit institution/organization, Other public institution/organization, individual/Family, Profit organization, Private nonprofit institution/organization.

#### **Credentials/Documentation:**

Applicants are required to satisfy all DOT/FMCSAs standards and regulations, including routine and special terms and conditions for financial assistance programs application and conduct. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Submission of the standard forms as required by grants.gov and any special information required by each project. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Completed cooperative agreement proposals shall include the appropriate SF 424 suite of forms, Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug Free Workplace Requirements, Lobbying Statements; and any other certifications required by the project.

#### **Award Procedure:**

Awards will be made on the basis of proposal evaluations and in accordance with the provisions in each project.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approval/Disapproval times will be identified in each cooperative agreement.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the DOT/FMCSA.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Agreements are usually 12 to 36 months. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

No program reports are required. SF-270. Reports are due in accordance with the terms and conditions of the award. SF-425. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and programmatic records, supporting documents, statistical records, and other records of grantees or sub-grantees generally should be retained by all parties for three years. If any litigation, claim, negotiations, audit or other action involving the record has been started before the expiration of the three year period, the records must be retained until completion of the action and resolution of all issues, or until the end of the regular three year period, whichever is later.

**Account Identification:**

69-8158-0-7-401.

**Obligations:**

(Project Grants) FY 11 \$8,586,000; FY 12 est \$8,543,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The range is between \$100,000 and \$3,000,000; the average is approximately \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: To promote and advance research solutions to improve CMV driver performance, R&T developed 7 new innovative research studies : (1) Simulator to Naturalistic Driving Study; (2) Identifying Sleep Disorders in CMV Drivers; (3) Nurse Tank Research, Phase II ; (4) Performance-Based Testing of Driving Skills/Capability; (5) Effectiveness Analysis of the New Safety Training Program; (6) Impact of HW programs at Improving Driver Health and; (7) Driver Distraction in Commercial Trucks and Buses: Continuing Analysis. The research division also completed the OMB documentation for three surveys (1) Driver Training Survey; (2) Driver HOS Survey; and (3) Drivers surveys for the Onboard Monitoring Field Operational Test. The research division also provided funding and support developing the documentation for collecting names and addresses for CDL holders. This effort is vital for collection of future surveys of CMV drivers.

The research division published a total of 9 research study reports that have proven invaluable to FMCSA's safety mission and the regulatory agenda: (1) The Impact of Driving, Non-Driving Work, and Rest Breaks on Driving Performance in CMV Operations; (2) HOS and Driver Fatigue: Driver Characteristics Research; (3) CMV Driving Simulator Validation Study: Phase II; (4) Entry-Level Training of CMV Drivers; (5) An Assessment of Driver Drowsiness, Distraction, and Performance in a Naturalistic Setting; (6) Improving Heavy-Duty Diesel Truck Ergonomics to Reduce Fatigue and Improve Driver Health and Performance; (7) Investigation into Motor Carrier Practices to Achieve Optimal CMV Driver Performance: Phase I; (8) Duration Restart Period Needed to Recycle with Optimal Performance: Phase II and; (9) Distraction in Commercial Trucks and Buses: Assessing Prevalence and Risk in Conjunction with Crashes and Near-Crashes. Five of these studies were used immediately for the HOS rulemaking.

The research division managed the conduct of International Conference on CMV Driver Health and Wellness. The Conference, held November 8th-10th, 2010 in Baltimore MD, was by all measures a huge success. Over 200 active participating attendees made the presentations and considerable interactive sessions both educational and thought-provoking. In post Conference questionnaires administered to the registrants, several prominent attendees indicated it was one of the most informative and well-run conferences they had ever attended. The research division supported the 2011 Driving Assessment Conference. This conference is focused on providing an interdisciplinary forum for scientific exchange between users of driving assessment tools, applications and technology. Fiscal Year 2012: R&T has requested a total of \$8,586,000. These funds will support the following projects: Produce Safer Drivers: Ensure that commercial drivers are physically qualified, trained to perform safely, and mentally alert Onboard Monitoring Field Operational Test. (FOT) Impact of Driver Compensations on CMV Safety Update the Model Training Curriculum for Motorcoaches Drivers Performance-Based Testing of Driving Skills/Capability Random Roadside Drug Testing Analysis

Effectiveness Analysis of the FMCSA New Safety Training Program Individualized Fatigue Risk Management in Trucking Operations (SBIR) Driver Distraction - Evaluation of the Risks Posed by Electronic Devices (new) Expert Panel Report Review of HOS for Passenger Carrier Operations (new) Effect of Detention Times on CMV Driver Fatigue (new) Study of Individual Driver Factors that make them Vulnerability to Fatigue (new) Produce Safer Carriers: Support efforts to improve carrier safety by applying safety management principles, compiling best management practices, communicating best practices, and supporting the Agencies enforcement of carrier-related regulations. Research to Support FMCSA Rulemaking Activities North American Fatigue Management Program (NAFMP) Safety Data Risk Study - Phase III Effectiveness of the FMCSA Comprehensive Safety Analysis 2010 Training (new) Improve Safety of Commercial Motor Vehicles: Improve truck and motorcoach performance through vehicle-based safety technologies and infrastructure. FMCSA Advanced System Testing Data Acquisition System on the Highways (FAST DASH) Program Hazardous Materials (HM) Navigation System (Phase I - SBIR) (new) Study of Alternatives Methods to Reduce Driver Exposure to Diesel Exhaust PM2.5 (new) Cross-Cutting Safety Initiatives: Research that may impact multiple dimensions of truck safety including driver, vehicle, and/or carrier safety issues. Such research is often focused on: providing better safety data to aid in identifying problem areas; increasing the understanding of the costs, benefits, and operational impacts of regulations; improving information sharing among various stakeholders; and/or is focused on various security, hazmat, or sustainability (environmental stewardship) issues. TRB/FMCSA Partnerships Annual Driver Survey Commercial Drivers License Information System (CDLIS) Traffic Conviction Data Quality. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 USC 31108, " Motor Carrier Research and Technolgh Program" OMB Circular A-122; OMB Circular A-21; and OMB Circular A-97; and 48 CFR Part 31.

**Regional or Local Office:**

None.

**Headquarters Office:**

Martin Walker, 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: martin.r.walker@dot.gov Phone: (202) 366-2364.

**Website Address:**

<http://www.fmcsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Produce Safer Drivers: Ensure that commercial drivers are physically qualified, trained to perform safely, and mentally alert. Onboard Monitoring Field Operational Test. (FOT) Impact of Driver Compensations on CMV Safety Update the Model Training Curriculum for Motorcoaches Drivers Performance-Based Testing of Driving Skills/Capability Random Roadside Drug Testing Analysis Effectiveness Analysis of the FMCSA New Safety Training Program Individualized Fatigue Risk Management in Trucking Operations (SBIR) Driver Distraction - Evaluation of the Risks Posed by Electronic Devices (new) Expert Panel Report Review of HOS for Passenger Carrier Operations (new) Effect of Detention Times on CMV Driver Fatigue (new) Study of Individual Driver Factors that make them Vulnerability to Fatigue (new)

Produce Safer Carriers: Support efforts to improve carrier safety by applying safety management principles, compiling best management practices, communicating best practices, and supporting the Agency's enforcement of carrier-related regulations.

Research to Support FMCSA Rulemaking Activities

North American Fatigue Management Program (NAFMP)

Safety Data Risk Study - Phase III

Effectiveness of the FMCSA Comprehensive Safety Analysis 2010 Training (new)

Improve Safety of Commercial Motor Vehicles: Improve truck and motorcoach performance through vehicle-based safety technologies and infrastructure.

FMCSA Advanced System Testing Data Acquisition System on the Highways (FAST DASH) Program

Hazardous Materials (HM) Navigation System (Phase I - SBIR) (new)

Study of Alternatives Methods to Reduce Driver Exposure to Diesel Exhaust PM<sub>2.5</sub> (new)

Cross-Cutting Safety Initiatives: Research that may impact multiple dimensions of truck safety including driver, vehicle, and/or carrier safety issues. Such research is often focused on: providing better safety data to aid in identifying problem areas; increasing the understanding of the costs, benefits, and operational impacts of regulations; improving information sharing among various stakeholders; and/or is focused on various security, hazmat, or sustainability (environmental stewardship) issues.

TRB/FMCSA Partnerships

Annual Driver Survey

Commercial Drivers License Information System (CDLIS) Traffic

Conviction Data Quality. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

It's based on the cost of the project, qualification of principal investigator and institution, relevance to program's objectives and uses, or merit.

#### **20.240 FUEL TAX EVASION-INTERGOVERNMENTAL ENFORCEMENT EFFORT**

(Fuel Tax Evasion-Intergovernmental Enforcement Efforts)

##### **FEDERAL AGENCY:**

Federal Highway Administration (FHWA), Department of Transportation

##### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 23 U.S.C.

##### **OBJECTIVES:**

To increase intergovernmental activities and enforcement efforts among public agencies to reduce Federal fuel tax evasion. Funds made available shall be used only to expand or enhance intergovernmental efforts to increase motor fuel tax enforcement and payments; to supplement motor fuel tax examinations and criminal investigations; and to increase research and training in the area of Federal fuel tax evasion.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

State agencies or Tribal Governments can use the funds: to expand efforts to enhance motor fuel tax enforcement; to supplement motor fuel tax examinations and criminal investigations; to develop automated data processing tools to monitor motor fuel production and sales; to evaluate and implement registration and reporting requirements for motor fuel taxpayers; to reimburse State expenses that supplement existing fuel tax compliance efforts; to analyze and implement programs to reduce tax evasion associated with other highway use taxes; to support efforts between States and Indian tribes to address issues relating to State motor fuel taxes; and to analyze and implement programs to reduce tax evasion associated with foreign imported motor fuel. Any funds administered under this program shall be used in accordance with the specifications in OMB Circular A-87, Cost Principles Applicable to State, local and Indian Tribal Governments. The funds must be used only in efforts directly related to the reduction of fuel tax evasion.

##### **Applicant Eligibility:**

States, the District of Columbia, U.S. Territories and possessions, other public

agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia.

##### **Beneficiary Eligibility:**

States, the District of Columbia, U.S. Territories and possessions, other public agencies including an Indian tribe or pueblo, the republics of the Marshall Islands and Palau, and the Federated States of Micronesia.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit all proposals electronically through [www.Grants.gov](http://www.Grants.gov).

##### **Award Procedure:**

Awards were scheduled to be made annually through fiscal year 2009. With the extension of SAFETEA-LU through FY 2011, awards will be made in that year also an interagency review group will be established to review all proposals after the application deadline. FHWA and IRS will jointly recommend and approve projects for Federal funding for fuel tax evasion intergovernmental enforcement efforts. States selected to receive funding will enter into negotiations with FHWA and be required to enter into a project agreement with FHWA.

##### **Deadlines:**

Jun 27, 2012 to Jul 27, 2012 Not available at this time.

##### **Range of Approval/Disapproval Time:**

The approval/disapproval time will take approximately 1 month.

##### **Appeals:**

None.

##### **Renewals:**

None.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Projects will not be funded for a period of more than 2 years. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

Annual reports will be required for each project and will be outlined in the project agreement. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Participating agencies must keep records of expenditures/accomplishments as applicable.

##### **Account Identification:**

69-8083-0-7-401.

##### **Obligations:**

(Salaries) FY 11 \$1,390,420; FY 12 est \$683,000; and FY 13 est \$0 - FY 2013

-- Continued funding depends on authorization under the Federal surface transportation program. This program is proposed for consolidation with other Federal-aid highway program categories under 20.205, and project eligibility might change. Remaining unobligated balances from prior years may be available.

**Range and Average of Financial Assistance:**

Minimum: \$10,000; Maximum \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately \$ 1.4 Million was allocated to the States and to the Joint Operations Center (JOC) project with the IRS. In several cases money was de-obligated due to the States inability to proceed with planned expenditures, primarily due to lack of additional state funding for the projects. Fiscal Year 2012: Projection: Some funds have been allocated, but due to the uncertainty of the program funding and the delay in receipts for the program, allocations still will be made before the end of the Fiscal Year. When full funding is allocated to the program, it is expected that funds will be used for funding for States participating in the Internal Revenue Service program entitled the Joint Operations Center for National Fuel Tax Compliance (JOC), 4 regionally-based awards to help support the joint task forces in those regions, and 9 individual state projects. Additional State and Federal revenues were realized in areas of increased enforcement including the expansion of fuel testing and sampling programs, increased IFTA enforcement, and retail service station inspections. Fiscal Year 2013: 2013 - To be determined.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Dougherty, 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Email: michael.dougherty@dot.gov Phone: (202) 366-9234.

**Website Address:**

<http://www.fhwa.dot.gov/policy/otps/fueltax.htm>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: One example of the funds awarded was for a project in Missouri, to the Criminal Investigation Bureau (CIB) of the Missouri Department of Revenue. Portions of grant funds were used to cover costs of equipment that increased the safety and efficiency of CIB personnel, supplies to be used during investigations, travel expenses that are incurred during statewide investigations and planning meetings. Grant funds were also used to send more than fifty percent of CIB personnel to training in interview and interrogation, fraud and tax investigations. CIB also hired a State Motor Fuel Coordinator to oversee dyed fuel enforcement operations for the specified grant period. This award was \$ 250,000.

Another award was to the Commonwealth of Virginia. They made enhancements to their electronic reporting and tracking system to more accurately identify errors, improve the electronic return filing process, and to help share relevant accurate data with surrounding States. The changes also allowed for more useful data that the Commonwealth could supply for their involvement in the JOC (which they started in early 2012). This grant award was \$ 249,000. Fiscal Year 2012: This program is unique in that the selections are made in conjunction with the Internal Revenue Service (IRS) per a Memorandum of Understanding (MOU) signed by the IRS and US DOT. Contained in that MOU are instructions indicating the priority of funding will go to States participating in the Joint Operations Center (JOC) project. As we were operating on extensions and partial-year funding for a good part of the current Fiscal Year, allocations including funds for the States of Arizona and California were provided to allow participation in the JOC. Those funds, per the MOU, contribute toward the staffing of two individual auditors and analysts from each state, and include the costs of travel from their home States to the JOC program office in Crystal City, VA. The JOC combines Federal and State tax data along with some 3rd party data to identify potential sources of fuel tax evasion. There are additional funds that will be awarded in FY 2012. Fiscal

Year 2013: 2013 - To be determined.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are encouraged to submit innovative proposals to reduce fuel tax evasion and increase collaboration and coordination among several public agencies. Priority will be given to proposals that involve more than one public agency.

**20.301 RAILROAD SAFETY**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Department of Transportation Act of 1966, Public Law 89-670, 49 U.S.C 1651-1659.

**OBJECTIVES:**

To reduce railroad-related casualties and accidents.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

- 1) Risk Reduction Assistance will support pilot projects.
- 2) OLI Assistance will promote educational awareness.
- 3) Security Assistance will help establish, develop, and implement plans, procedures, and networks to send and receive security-sensitive or emergency-related information from the Government to rail stakeholders and from rail stakeholders to the Government.

**Applicant Eligibility:**

Anyone concerned with railroad safety.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

See Application Procedure. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**



Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

he grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425, Federal Financial Report. Quarterly Federal Cash Transactions reports using SF 272 (should be SF-425, this replaced both the SF269 and SF272), Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0700-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$3,336,000; FY 12 est \$8,500,000; and FY 13 est \$9,000,000 - FY 2011 Actual (in thousands)  
General Safety \$315  
Continuity of Operations Plan (COOP) \$6  
Operation Lifesaver \$1,015  
Next Generation Corridor Equipment Pool Committee \$2,000  
Total 3,336.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Operation Lifesaver is providing assistance to State programs for State coordinator training; national and/or regional training seminars; educational materials; information to the public promoting rail safety through public service announcements, videos, web site and e-Learning; and support to the national office to administer the programs listed above.

The Risk Reduction Program is assisting the rail industry in establishing voluntary programs that identify and address risk and that include measurable goals and corrective actions. Five pilot programs are underway to help achieve these objectives.

The Security Program is providing support for 1) Continuity of Operations and Plans, and 2) Transportation Emergency Response Training. Fiscal Year 2012:

Operation Lifesaver will continue providing assistance to State programs for State coordinator training; national and/or regional training seminars; educational materials; information to the public promoting rail safety through public service announcements, videos, web site and e-Learning; and support to the national office to administer the programs listed above.

Risk Reduction will continue five pilot programs (Pride Program (Peer Coaching Safety Improvement); CSXs Continuous Rail Defect Testing Evaluation; Cross-Functional Risk Reduction Team; Norfolk Southern Continuous Rail Defect Testing Evaluation; and Union Pacific Fatigue Risk Management Plan).

The Security Program will provide support for 1) Continuity of Operations and Plans, and 2) Transportation Emergency Response Training. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not applicable.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, 55 Broadway, Room 1077, Cambridge, MA 02142 Telephone: (617) 494-2302. Regional Administrator, 1510 Chester Pike, Crum Lynne, PA 19023 Telephone: (610) 521-8200 Regional Administrator, 61 Forsyth Street, SW., Suite 16T20, Atlanta Federal Center, Atlanta, GA 30303- 3104. Telephone: (404) 562-3800. Regional Administrator, 111 West Adam Street, Suite 310, Chicago, IL 60606 Telephone: (312) 353- 6203. Regional Administrator, 4100 International Plaza, Suite 450, Fort Worth, TX 76109 Telephone: (817) 862-2200. Regional Administrator, 901 Locust Street, Suite 464, Kansas City, MO 64106 Telephone: (816) 329-3840. Regional Administrator, 801 I Street, Suite 466, Sacramento, CA 95814. Telephone: (916) 498-6540. Regional Administrator, 500 E. Broadway, Suite 240, Vancouver, WA, 98660 Telephone: (360) 696-7536.

**Headquarters Office:**

Gina Matrassi, 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202) 493-6139.

**Website Address:**

<http://www.fra.dot.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Operation Lifesaver, Risk Reduction Program and the Security Program. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.313 RAILROAD RESEARCH AND DEVELOPMENT**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Rail Safety Improvement Act of 2008, Public Law 110-432, 49 U.S.C 102.

**OBJECTIVES:**

To foster long-range enhancement of the Federal Railroad Administration's program of research in support of rail safety by developing cooperative research relationships between the Administration and university and industry organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must show a relationship towards advancing railroad safety and technology. Applicants must demonstrate 5 years of railroad research activity.

**Applicant Eligibility:**

Applicants must be major academic and industry research institutions with backgrounds in the rail transportation arena. A minimum of 5 years of railroad or railroad related research experience is required.

**Beneficiary Eligibility:**

No restrictions.

**Credentials/Documentation:**

See Application Procedures section (092). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The FRA will announce specific pre- application coordination activities for each project area in the Federal Register. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Four to 16 weeks after application. High-speed rail BAA expires 9/30/2012.

**Appeals:**

60 Days & to the Administrator, Federal Railroad Administration.

**Renewals:**

Grants contemplated in this program are predominantly project-oriented rather than on-going efforts and are therefore non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425, Federal Financial Report. Quarterly Federal Cash Transactions reports using SF 425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. A final report detailing the work conducted and

the progress accomplished will be required. Presentations at an annual workshop are expected. SF-425. A final report detailing the work conducted and the progress accomplished will be required. Presentations at an annual workshop are expected. SF-425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for 3 years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 CFR Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0745-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 11 \$32,751,000; FY 12 est \$49,165,000; and FY 13 est \$36,250,000

**Range and Average of Financial Assistance:**

\$50,000 to \$250,000. Average: \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FR-RRD-0004-10-01-00 Peninsula Corridor Joint Powers Board Caltrain PTC/CBOSS Development Project  
The specification for the CBOSS PTC system has been developed and the bidding process has begun. Proposals have been received and in the review process by Peninsula Corridor Joint Powers Board and their consultants.

FR-RRD-0001-10-01-00: Rail Defect Detection System Prototype Development, UCSD

Discussions are underway to transition elements of the rail inspection prototype to commercial rail inspection service providers (Herzog) under close partnership with BNSF. This transition is envisioned as a technology license from the University of California San Diego through Dr. Lanza di Scalea Start-up Company. Fiscal Year 2012: FR-RRD-0021-11-01-00 with General Electric Transportation is expected to produce a design concept for a high speed locomotive truck. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Tunna 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6359

**Website Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Peninsula Corridor Joint Powers Board Caltrain PTC/CBOSS Development Project, and the Rail Defect Detection System Prototype Development project. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In descending order of relative importance: (1) Overall scientific and/technical merit; (2) Degree to which it may improve upon or advance railroad safety; (3) Likelihood for its near term adoption and implementation of possible recommendations; (4) Degree to which the proposed project fits into the Administration's overall research objectives; (5) Reasonableness and realism of the proposed cost, and the availability of funds (to include due consideration for proposed cost-sharing by the applicant).

## **20.314 RAILROAD DEVELOPMENT**

### **FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU); Consolidated, Security, Disaster Assistance and Continuing Appropriations Act 2009 , Public Law 109-59.

### **OBJECTIVES:**

To provide financial assistance for: planning and developing railroad corridors (including environmental studies), purchasing rail equipment, rail line relocation and improvement projects, construction projects that improve rail lines, enhance service, and add capacity to the national rail system, capital construction, rehabilitation and improvements benefiting train operations.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

- (1) The financial assistance may fund, but is not limited to, rehabilitation or construction of railroads, including planning activities and associated studies.
- (2) Specific descriptions are based on the language in the authorizing or appropriating legislation and any associated regulations.

### **Applicant Eligibility:**

State governments, Regional and local governments, For-profit organizations, such as railroads.

### **Beneficiary Eligibility:**

State governments Regional and local governments For-profit organizations, such as railroads.

### **Credentials/Documentation:**

See Application Procedure (083). OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

### **Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and

orders. Competitive comparison of applications to determine relative satisfaction of published selection criteria might occur for some grants. Following selection (if applicable) and after the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Not Applicable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is usually awarded upon request for reimbursement. See the following for information on how assistance is awarded/released: ACH reimbursement.

### **Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF-425, Federal Financial Report. Quarterly Federal Cash Transactions reports using SF-425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts.

. SF-425. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF-425. Final report giving details of the results and benefits of the Grantee's improvement efforts. SF 425. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF-425. Final report giving details of the results and benefits of the Grantee's improvement efforts.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

### **Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

### **Account Identification:**

21-8083-0-1-401.

### **Obligations:**

(Cooperative Agreements) FY 11 \$1,785,000; FY 12 est \$18,005,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Grants within these programs range from \$10,000 to over \$10,000,000. The average financial assistance varies considerably.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These two Acts and associated regulations provide the primary guidance for this program: The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Alice Alexander, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6363.

**Website Address:**

[Http://www.fra.dot.gov](http://www.fra.dot.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The work and cost estimates are reasonable and are within the scope of the appropriation language. For the grants competed, the selection criteria will be specified in the final regulations, and shall include, but shall not be limited to, prioritizing criteria defined in relevant authorizing and appropriations law, and criteria intended to ensure the timely completion of funding projects.

**20.315 NATIONAL RAILROAD PASSENGER CORPORATION GRANTS**

(Amtrak Grants)

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

CONSOLIDATED AND FURTHER CONTINUING APPROPRIATIONS ACT, 2012, Public Law 112-55, 49 U.S.C 24104(a).

**OBJECTIVES:**

To provide financial assistance to support the operation of and capital investment in intercity passenger rail service in the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

As specified in individual Grant Opportunity announcements, assistance may be used to fund operating expenses, capital investment activities, and/or payment of debt service obligations.

**Applicant Eligibility:**

As directed by authorizing and appropriating statute, assistance is available only to the National Railroad Passenger Corporation.

**Beneficiary Eligibility:**

As directed by authorizing and appropriating statute, assistance is available only to the National Railroad Passenger Corporation.

**Credentials/Documentation:**

See Application Procedures. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Environmental clearance is required for the capital portion of this program. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms

<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424B or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets.

**Award Procedure:**

Review the application package to ensure that all required documents have been submitted and are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Timing of Approval/Disapproval typically ranges from between 2-6 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance is dependant on the specific appropriating and/or authorizing law governing the grant opportunity. See the following for information on how assistance is awarded/released: The award is determined by legislation.

**Reports:**

The grantee shall submit the following reports: Monthly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Monthly financial status reports using SF 425, Federal Financial Report. Monthly Federal Cash Transactions reports using SF 425, Federal Cash Transaction Report. Through the grant agreement, the grantee may be required to submit various other reports. Final report giving details of the results and benefits of the Grantee's. Monthly Federal Financial Status Report SF 425, Federal Cash Transaction Report. The grantee is required to submit the following reports: Monthly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Monthly Federal Financial Status Report; Federal Cash Transaction Report. Monthly detailed reports regarding performance against project budgets and schedules, and forecasts of future performance. Final report giving details of the results and benefits of the Grantee's improvement efforts.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-1 33 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for 3 years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 CFR Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0724-0-1-401; 69-0121-0-1-401; 69-0125-0-1-401.

**Obligations:**

(Salaries) FY 11 \$1,474,433,973; FY 12 est \$1,423,012; and FY 13 est \$0 - 2011 (in thousands)  
Operating Subsidy Grants \$561,874,000.00  
Capital Grants \$649,087,973.0  
Debt Service Payments \$263,472,000.00  
Total \$1,474,433,973.00

FY 2012 Operating Subsidy Grants \$466,000  
Capital Grants \$622,000  
Debt Grants \$271,000  
Northeast Corridor (PRIIA Sec 212) \$14,012  
Americans with Disabilities Act \$50,000  
Total 1,423,012.

**Range and Average of Financial Assistance:**

Awards under this program range from \$10,000,000 to \$850,000,000 and depend on the amount and break down of assistance made available through specific appropriation laws.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Federal Railroad Administration, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6454.

**Website Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals for projects must support the stated strategic goals of the applicant organization, align with the priorities identified in authorization or appropriation statutes, and of the Secretary of Transportation, and be accompanied by detailed scope and budget documentation. Quantitative or qualitative justification of project prioritization must be provided.

**20.316 RAILROAD REHABILITATION AND IMPROVEMENT**

**FINANCING PROGRAM**

(RRIF Loan Program)

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Railroad Revitalization and Regulatory Reform Act of 1976 (45 U.S.C. 821, et seq.), 45 U.S.C 821.

**OBJECTIVES:**

The RRIF program provides direct loans and loan guarantees to State and local governments, interstate compacts consented to by Congress under section 410(a) of the Amtrak Reform and Accountability Act of 1997 ( 49 U.S.C. 24101 ); government sponsored authorities and corporations; railroads; joint ventures that include at least one railroad; and solely for the purpose of constructing a rail connection between a plant or facility and a second rail carrier, limited option rail freight shippers that own or operate a plant or other facility that is served by no more than a single railroad.

**TYPES OF ASSISTANCE:**

DIRECT LOANS; Loan Guarantees/Grants

**USES AND USE RESTRICTIONS:**

Funds provided by direct loans or loan guarantees under the RRIF Program can be used to: (1) Acquire, improve, or rehabilitate intermodal or rail freight or passenger equipment or facilities, including track, components of track, bridges, yards, buildings and shops (2) Refinance outstanding debt incurred for purposes described in the previous paragraph (3) Develop or establish new intermodal or railroad facilities The maximum loan amount will be based on the remaining available funds under the Program's authorization. The repayment period for direct loans and loan guarantees is up to 35 years. The interest rate on direct loans will be equal to the rate on Treasury securities of a similar term.

**Applicant Eligibility:**

Eligible applicants include State and local governments, government-sponsored authorities, government-sponsored corporations, railroads, and joint ventures that include at least one railroad.

**Beneficiary Eligibility:**

The beneficiaries of the Program will be the State or local government organizations, railroad, or joint ventures that include a railroad that will receive the financial assistance to permit them to complete the specified projects.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A pre-application meeting may be held if requested by a potential applicant. Procedures for requesting such a meeting are available on the FRA website and at 49 CFR 260.19. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complete and submit application form available on the FRA website.

**Award Procedure:**

FRA will evaluate application and advise applicant of approval or disapproval.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Application will be approved or disapproved within 90 days after a complete application is deemed to have been submitted.

**Appeals:**

There is no appeal process.

**Renewals:**

Disapproved applicants may reapply at any time.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As a part of the application package, the borrower provides a projected timetable for the completion of the project. The funding will be made available as progress payments to pay directly or reimburse the Borrower for prior payment of allowable costs incurred in connection with the project. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Statement of cash flows must be submitted for the life of the financial assistance. During the course of the project, monthly progress reports of work completed and actual expenditures compared to the budget. Yearly audited and certified profit and loss statement, balance sheet and statement of cash flows must be submitted for the life of the financial assistance. During the course of the project, monthly progress reports of work completed and actual expenditures compared to the budget. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Audits of project expenditures will be conducted upon completion.

**Records:**

Documentary evidence required for each loan varies. However, standard loan terms require financial and project reports.

**Account Identification:**

69-4420-0-3-401.

**Obligations:**

(Direct Loans) FY 11 \$650,000,000; FY 12 est \$600,000,000; and FY 13

Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, RRIF has conducted twelve pre-application meetings. RRIF has received 4 applications year to date and three loans totaling approximately \$650 million have received Credit Council and FRA approval and are awaiting OMB action. These loans will assist railroads with purchasing locomotives and rail cars, purchasing conveyor equipment, and refinancing high interest debt. Fiscal Year 2012: During fiscal year 2012, the RRIF Program has held approximately 15 pre-application meetings with potential borrowers. Currently, there are 11 applications pending for use in building and improving rail infrastructure and facilities. FRA issued a RRIF loan in fiscal year 2012 in the amount of \$54.6 million for use in the purchase of locomotives. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Railroad Rehabilitation and Improvement Financing Program, 49 CFR 260.

**Regional or Local Office:**

See Regional Agency Offices. Not applicable.

**Headquarters Office:**

Barbara Klein Amani 1200 New Jersey Avenue, S.E.,  
, Washington , District of Columbia 20590 Phone: (202) 493-6051

**Website Address:**

<http://www.fra.dot.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: FRA issued a RRIF loan in fiscal year 2012 in the amount of \$54.6 million for use in the purchase of locomotives. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Initially the criteria are based on the relevance to the programs' objectives and uses. The program provides direct loans and loan guarantees to State and local governments, government-sponsored authorities and corporations, railroads, and joint ventures that include at least one railroad. Eligible projects include: (1) refinancing outstanding debt that was incurred for eligible purposes, (2) developing or establishing new intermodal or railroad facilities, or (3) acquisition, improvement or rehabilitation of intermodal or rail equipment or facilities (including tracks, components of tracks, bridges, yards, buildings and shops.

**20.317 CAPITAL ASSISTANCE TO STATES - INTERCITY PASSENGER RAIL SERVICE**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2008, Public Law 110-161; Department of Transportation Appropriations Act, 2009 , Public Law 111-8.

**OBJECTIVES:**

To provide financial assistance to fund capital improvements (and related planning activities) necessary to support improved or new intercity passenger rail service.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The financial assistance may fund capital improvements and directly-related planning activities necessary to achieve tangible improvements to, or institute new, intercity passenger rail service. Examples of capital improvements include (but are not strictly limited to) the purchase of passenger rolling stock, the improvement of existing track to allow for higher maximum speeds, the addition or lengthening of passing tracks to increase capacity, the improvement of interlockings to increase capacity and reliability, and the improvement of signaling systems to increase capacity and maximum speeds, and improve safety. With respect to planning activities, eligible planning projects 1) Lead to the completion of a Service Development Plan; 2) Identify and compare the costs, benefits, and impacts of a range of transportation alternatives, including HSR and/or IPR; 3) Support the preparation of environmental documents; and 4) Consist of operational analyses and simulations, and projections of future service requirements. Proposed projects must be specifically included in the applicant States Statewide Transportation Improvement Plan at the time of application.

**Applicant Eligibility:**

State departments of transportation (including that of the District of Columbia). Applicant States must include intercity passenger rail service as an integral part of statewide transportation planning as required under section 135 of Title 23, United States Code.

**Beneficiary Eligibility:**

The general public, both users and non-users of intercity passenger rail service. State departments of transportation and other public agencies, although private transportation companies may participate through contractual arrangements with a State department of transportation.

**Credentials/Documentation:**

Department of Transportation, Federal Railroad Administration (FRA) Assurances and Certification forms including: (1) Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions; (2) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions; (3) Certification Regarding Drug-Free Workplace Requirements; (4) Certification Regarding Lobbying, (5) Assurances Non- Construction Programs SF 424B; and (6) Certificate of Indirect Costs Assurances. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Prospective applicants may contact FRA prior to submission of applications to inquire about applicant eligibility, the competitive prospects of their proposed

project, the National Environmental Policy Act and related legal requirements, and other requirements. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification of Approval/Disapproval generally occurs within 8 months of application.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Formula and matching Requirements: These programs have no statutory formula. Some grantees will be required to provide a match from non-program funds toward the grant budget.

This program has MOE requirements, see funding agency for further details.

This program has MOE requirements; see funding agency for further details.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is awarded upon request for reimbursement. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425, Federal Financial Report. Quarterly Federal Cash Transactions reports using SF 272 (should be SF-425, this replaced both the SF269 and SF272), Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made

during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly Federal Cash Transactions reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," non federal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Non federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for 3 years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 CFR Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0715-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 11 \$48,054,000; FY 12 est \$35,552,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for this program is provided by The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws, the FRA publication entitled, Railroad Corridor Transportation Plans: A Guidance Manual (available at [http://www.fra.dot.gov/Downloads/RRdev/corridor\\_planning.pdf](http://www.fra.dot.gov/Downloads/RRdev/corridor_planning.pdf)), and Federal Register notices announcing the availability of funding pursuant to this program.

**Regional or Local Office:**

See Regional Agency Offices. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

Gina Matrassi 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202) 493-6139.

**Website Address:**

<http://www.fra.dot.gov> .

**RELATED PROGRAMS:**

20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

All selection criteria will be specified in Federal Register notices announcing the availability of funding pursuant to this program, and shall include, but shall not be limited to, prioritizing criteria defined in relevant law, and criteria intended to ensure the timely completion of funding projects and the full realization of the benefits the projects are intended to generate.

### **20.318 MAGLEV PROJECT SELECTION PROGRAM - SAFETEA-LU**

(Maglev Selection Program )

#### **FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

#### **AUTHORIZATION:**

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) , Public Law 109-59.

#### **OBJECTIVES:**

To provide financial assistance for a demonstration magnetic levitation transportation project.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds may be used for eligible project costs, including preconstruction planning activities, the capital cost of fixed guideway infrastructure of a maglev project, including land, piers, guideways, propulsion equipment and other components attached to guideways, power distribution facilities (including substations), control and communications facilities, access roads, and storage repair and maintenance facilities, but not including costs incurred for a new station. Funds may be used for eligible project costs, including preconstruction planning activities, the capital cost of fixed guideway infrastructure of a maglev project, including land, piers, guideways, propulsion equipment and other components attached to guideways, power distribution facilities (including substations), control and communications facilities, access roads, and storage repair and maintenance facilities, but not including costs incurred for a new station.

#### **Applicant Eligibility:**

State governments with existing maglev projects located east of the Mississippi River.

#### **Beneficiary Eligibility:**

State governments.

#### **Credentials/Documentation:**

See Application Procedure. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E or Assurances Construction, SF424D (whichever is specified in the announcement); Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

#### **Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Refer to announcement for further information.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

The period of performance is up to 60 months. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

#### **Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports SF-425, Federal Cash Transaction Report. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

#### **Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.



**Account Identification:**

69-8083-0-1-401.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$83,655,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Pittsburgh Maglev project is the only project to receive any recent funding. Those funds are being used to complete the NEPA process.

Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The National Environmental Policy Act of 1969 as amended (42 U.S.C. Section 4321 et seq.), and related laws; Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59); SAFETEA-LU Technical Corrections Act (Public Law 110-244); OMB Circular No. A-87 for State and local governments; OMB Circular No. A-102 grants and cooperative agreements with State and local governments; A-133 for audits. Solicitation guidelines will be made available.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Winkle, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Email: John.Winkle@dot.gov Phone: 202-493-6067.

**Website Address:**

<http://www.fra.dot.gov>.

**RELATED PROGRAMS:**

20.314 Railroad Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Pittsburgh Maglev project is the only project to receive any recent funding. Those funds are being used to complete the NEPA process.

Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.319 HIGH-SPEED RAIL CORRIDORS AND INTERCITY PASSENGER RAIL SERVICE CAPITAL ASSISTANCE GRANTS**

HSR/IPR Program

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

The Passenger Rail Investment and Improvement Act of 2008 (PRIIA), Public Law 111-5.

**OBJECTIVES:**

To assist in financing the capital costs of facilities, infrastructure, and equipment necessary to provide or improve high-speed rail and intercity passenger rail service. Funds are made available pursuant to three authorized programs: Intercity Passenger Rail Service Corridor Capital Assistance, Congestion Grants; and High-Speed Rail Corridor Development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used by eligible applicants for acquiring, constructing, improving, or inspecting equipment, track and track structures, or a facility for use in or for the primary benefit of high-speed rail and intercity passenger rail service, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, environmental studies, and acquiring rights-of-way), payments for the capital portions of rail trackage rights agreements, highway-rail grade crossing improvements related to

intercity passenger rail service, mitigating environmental impacts, communication and signalization improvements, relocation assistance, acquiring replacement housing sites, and rehabilitating replacement housing; and rehabilitating, remanufacturing or overhauling rail rolling stock and facilities used primarily in intercity passenger rail service. Funds may not be used to funding operating expenses, or for commuter rail passenger transportation.

**Applicant Eligibility:**

Profit organization, Other private institutions/organizations, State & Transportation.

**Beneficiary Eligibility:**

State and Profit organization.

**Credentials/Documentation:**

Documentation demonstrating applicant eligibility (for applicants other than States); National Environmental Policy Act documentation for construction projects and service development programs; program-specific Assurances and Certifications; planning and engineering documentation. Also see Application Procedure. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funding appropriated under ARRA must be awarded to grantees by September 30, 2012, and must be expended by September 30, 2017. Funding appropriated under PRIIA must be obligated or expended within 2 years after the date on which the State received the grant. See the following for information on how assistance is awarded/released: Funding is obligated through cooperative

agreements, and outlays occur as reimbursement. For complex corridor development programs, FRA will issue a Letter of Intent (LOI) that represents a contingent financial commitment to a States corridor program. A LOI does not represent an obligation or disbursement of funds. Funding will only be obligated and disbursed as milestones are achieved.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports SF-425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. Quarterly Federal Financial reports using SF 425, Federal Financial Report. The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425, Financial Status Report. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0718-0-1-401; 69-0719-0-1-401.

**Obligations:**

(Salaries) FY 11 \$6,965,127,000; FY 12 est \$186,710,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No financial assistance yet awarded.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Interim program guidance is provided within Notices of Funding Availability.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gina Matarassi 1200 New Jersey Ave, S.E., Washington, District of Columbia 20590 Phone: (202) 493-6139 Fax: (202) 493-6381.

**Website Address:**

<http://www.fra.dot.gov>

**RELATED PROGRAMS:**

20.317 Capital Assistance to States - Intercity Passenger Rail Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be individually evaluated against the following criteria, listed in order of priority: 1) achieving transportation solutions in a cost effective manner; 2) achieving public benefits in a cost effective manner; 3) sustainability of transportation and other public benefits; 4) management and minimization of project delivery risk; and 5) timeliness of project commencement and completion.

Selection of applications for award will also take into account the following selection criteria: 1) regional balance necessary to create a nationwide high-speed rail and intercity passenger rail network and address urban and non-urban mobility needs; 2) balance and diversity of cost effective technological approaches to improving HSR and IPR service; 3). organizing multi-State partnerships and encouraging community involvement where appropriate; and 4) previous HSIPR Program grants and previous State investments in high-speed intercity passenger rail.

**20.320 RAIL LINE RELOCATION AND IMPROVEMENT**

Rail Line Relocation

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59.

**OBJECTIVES:**

To provide financial assistance for rail line relocation and improvement projects.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The financial assistance may fund, but is not limited to, rehabilitation, relocation or construction of railroads, including planning activities.

**Applicant Eligibility:**

Government - General and Transportation.

**Beneficiary Eligibility:**

State.

**Credentials/Documentation:**

See Application Procedure. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant must submit the following information to the FRA through [www.grants.gov](http://www.grants.gov): Application for Federal Assistance SF-424 Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>: Certification Regarding Debarment, suspension, and other Responsibility Matters Primary Covered Transactions. o Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions. Certification Regarding Drug-Free Workplace Requirements. o Certification Regarding Lobbying. o Assurances Non-Construction Programs, SF 424E Certificate of Indirect Costs. Assurances - Construction Programs SF-424D Statement of Work Budget. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; US Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment,

Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

**Award Procedure:**

Review the application package to ensure that all required documents are complete and signed by the appropriate person. Review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. Review SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. Compare applications to determine relative satisfaction of published selection criteria. Select the applicants that are most qualified. After the application package is acceptable to both parties, a grant agreement is drafted, reviewed, and signed upon agreement by both parties.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. This program has no statutory formula. All grantees will be required to provide at least a 10% match from non-program funds toward the grant budget. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No restriction on period of time the assistance normally is available. Assistance is usually awarded upon request for reimbursement. See the following for information on how assistance is awarded/released: Assistance is usually awarded upon request for reimbursement.

**Reports:**

Quarterly financial status reports SF-425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly Federal Cash Transactions reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards (or receive property, or a combination of both, within the fiscal year) will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

During the course of its activities under a grant agreement and for three years thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0716-0-1-401.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$31,766,000; FY 12 est \$51,268,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range of previous awards was \$152,664 to \$4,000,000. Average award was \$2,050,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These two Acts and associated regulations provide the primary guidance for this program: The National Environmental Policy Act of 1969 as amended (42 U.S.C. 4321 et seq.), and related laws; the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (Public Law 109-59); 49 CFR Part 262.

**Regional or Local Office:**

See Regional Agency Offices. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

John Winkle, 1200 New Jersey Ave SE., Washington, District of Columbia 20590 Phone: (202) 493-6067 Fax: (202) 493-6330.

**Website Address:**

<http://www.fra.dot.gov/us/content/2008>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria were included in SAFETEA-LU and the Final Rule establishing the program. For the earmarks, the work and cost estimates are reasonable and are within the scope of the program regulations and the appropriation language. For the earmarks, the work and cost estimates are reasonable and are within the scope of the program regulations and the appropriation language.

**20.321 RAILROAD SAFETY TECHNOLOGY GRANTS**

**RAILROAD SAFETY TECHNOLOGY GRANTS**

**FEDERAL AGENCY:**

Federal Railroad Administration (FRA), Department of Transportation

**AUTHORIZATION:**

Section 105 of the Rail Safety Improvement Act of 2008, Public Law 110-432, 49 U.S.C 20158.

**OBJECTIVES:**

To facilitate the deployment of train control technologies, train control component technologies, processor-based technologies, electronically controlled pneumatic brakes, rail integrity inspection systems, rail integrity warning systems, switch position indicators and monitors, remote control power switch technologies, track integrity circuit technologies, and other new or novel railroad safety technology.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Projects that that make train control technologies interoperable between railroad

systems, accelerate the deployment of train control technology on high risk corridors such as those that have high volumes of hazardous materials shipments or over which commuter or passenger trains operate or benefit both passenger and freight safety and efficiency. Any proposed project that is merely an idea or a concept without prior proofs or tests to demonstrate its technical and scientific soundness will not be considered. Proposed technologies or methods must be practical and reduce risks associated with completing the deployment of the core PTC network by December 31, 2015. Grant funds may not be used for lobbying or in direct support of litigation. Potential recipients should note these funds are awarded on project-by-project basis and are not block grants. The detailed focus areas are defined in the agency announcement. Grant funds may not be used for lobbying or in direct support of litigation. Potential recipients should note these funds are awarded on project-by-project basis and are not block grants. The detailed focus areas are defined in the agency announcement. 100 percent of the funds are discretionary grants.

**Applicant Eligibility:**

Local (includes State-designated Indian Tribes, institutions of higher education excludes hospitals

Passenger and freight railroad carriers, railroad suppliers, and State and local governments.

Applicants need not have developed plans required under subsection 20156(e)(2) of title 49, United States Code section 20157 of such title.

Priority will be given to applicants who have completed the plans required under subsection 20156(e)(2) of title 49, United States Code section 20157

Individuals are not eligible for these awards.

**Beneficiary Eligibility:**

Passenger and freight railroad carriers, railroad suppliers, State and local governments. Including institutions of higher learning.

**Credentials/Documentation:**

U.S. Department of Transportation Federal Railroad Administration Assurances and Certification forms  
<http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>. Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions, Certification Regarding Drug-Free Workplace Requirements, Certification Regarding Lobbying, Assurances-Non-Construction Programs, SF 424E, Certificate of Indirect Costs, Assurances - Construction Programs SF-424D. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The applicant must submit the following information: Application for Federal Assistance SF-424; U.S. Department of Transportation Federal Railroad Administration Assurances and Certification forms <http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf>; Certification Regarding Debarment, suspension, and other Responsibility Matters - Primary Covered Transactions; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions; Certification Regarding Drug-Free Workplace Requirements; Certification Regarding Lobbying; Assurances - Non-Construction Programs, SF 424E; Certificate of Indirect Costs; Detailed project descriptions, statement of work, and budgets; Description of work completed to date; and description of type and source of matching funds.

Applicants are encouraged to contact the FRA to ensure proposed topic is of interest and is competitive.

**Award Procedure:**

FRA will review the application package to ensure that all required documents

are complete and signed by the appropriate person. FRA will review the statement of work (SOW) and budget to ensure the appropriation language requirements are met. FRA will review the SOW for technical issues and budget for appropriate costs, including compliance with the National Environmental Policy Act and related laws and orders. A competitive comparison of applications to determine relative satisfaction of published selection criteria might occur for some grants. Following selection (if applicable) and after the application package is acceptable to both parties; a grant agreement is drafted, reviewed, and signed upon agreement by both parties. Detailed evaluation criteria are listed in the agency announcement. Preference will be given to proposals whose results will support interoperable PTC deployment by multiple railroads and have active railroad carrier participation. Grants will be awarded to applicants with the highest merit until the available funds are exhausted.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

60 to 120 days after submission deadline. Awards on high priority projects generally would take less time.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals generally require reapplication with a new proposal. Extensions can generally be handled under the terms of the original grant, cooperative agreement, or other transaction contingent upon availability of funding.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 20158.

Matching Requirements: Percent: 80%. Federal funds for any eligible project shall not exceed 80 percent of the total cost of such project.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds in the amount of \$50 million will be available until expended. The specific period of performance for any single award will depend upon the complexity of the proposal, but in no case will the period of performance extend past December 31, 2015. Entities submitting proposals must identify and justify the expected duration to accomplish the work proposed. See the following for information on how assistance is awarded/released: FRA will award grants for the full federal amount, however, recipients shall receive funds on a reimbursable basis.

**Reports:**

The grantee shall submit the following reports: Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports SF-425, Federal Cash Transaction Report. Final report giving details of the results and benefits of the Grantee's improvement efforts. Quarterly Federal Cash Transactions reports using SF 425. Quarterly progress reports giving an account of significant progress (findings, events, trends, etc.) made during the reporting period, and a description of any technical and/or cost problems encountered or anticipated that will affect completion of the grant. Quarterly financial status reports using SF 425. Grant recipients will be monitored periodically by FRA to ensure that the project goals, objectives, performance requirements, timelines, milestones, budgets, and other related program criteria are being met.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

During the course of its activities under a grant agreement and for three years

thereafter, the applicant must agree to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to its performance under the agreement as FRA may require. Copies of all data, documents, reports, records, and other supporting materials created under the grant as deliverables, or in support of a deliverable, must be provided to FRA prior to destruction. Reporting and record-keeping requirements are set forth in 49 C.F.R. Part 19 for private non-profit and for-profit Grantees. Closeout does not alter these requirements.

**Account Identification:**

69-0701-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$49,913,000; FY 12 est \$87,000; and FY 13 est \$0 - These funds can not be used for salaries and benefits.

**Range and Average of Financial Assistance:**

FRA anticipates multiple awards not to exceed \$50 million. Awards may be of any dollar value so long as those amounts do not exceed the total amount available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Detailed Cost & Schedule Budgets Received and Approved Work in accordance with individual project schedule. Fiscal Year 2012: Continue work in accordance with individual project schedules. Fiscal Year 2013: Continue work in accordance with individual project schedules.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Rail Safety Improvement Act of 2008 (Public Law 110-432) and associated regulations.

**Regional or Local Office:**

None. If necessary to contact a regional office, the contact information will be in a grant agreement.

**Headquarters Office:**

Mark Hartong, Office of Railroad Safety, Federal Railroad Administration, Mail Stop 25, 1200 New Jersey Ave SE. , Washington, District of Columbia 20590 Email: mark.hartong@dot.gov Phone: (202) 493-1332.

**Website Address:**

<http://www.fra.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FR-TEC-0001-11-01-00 Westinghouse Air Brake Technologies Corporation-- Video PTC Database Survey Verification-- \$500,000.

FR-TEC-0002-11-01-00 National Railroad Passenger Corporation --Advanced Civil Speed Enforcement System (ACSES) Vital Train Management System (VTMS) Interoperability -- \$10,280,000.

FR-TEC-0003-11-01-00 MeteorComm LLC-- 220 MHz PTC Radio Design 220 MHz PTC Radio Integration Testing PTC 220 MHz Locomotive Noise Study erface Control Documentation --\$21,050,000.

FR-TEC-0004-11-01-00 Southern California Regional Rail Authority --Shared LA PTC Communications Infrastructure -- \$6,605,446.

FR-TEC-0005-11-01-00 NYS Metropolitan Transportation Authority--ACSES Interface Control Documentation-- \$6,596,000.

FR-TEC-0006-11-01-00 Howard University--PTC System Identity Management--\$857,106.

FR-TEC-0007-11-01-00 Railroad Research Foundation--Rail Corridor Risk Management--\$1,514,448

FR-TEC-0008-11-01-00 The Kansas City Southern Railway Company--Analog

to Digital Communications Upgrade --\$1,867,449.

FR-TEC-0009-11-01-00 Maryland Department of Transportation--Compliance testing of VTMS at speeds up to 125 mph--\$642,445. Fiscal Year 2012: No new funds anticipated.

No new projects anticipated. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Any technology forming the basis for a proposal must be capable of application to improve the ability to timely deploy interoperable PTC systems that meet the requirements of Public Law 110-432. This may include improvements to the railroad capital equipment or infrastructure in train control and dispatching/traffic control systems, or to the quality improvement of processes and procedures of train operation. The work and cost estimates are reasonable and are within the scope of the appropriation language. For the grants competed, the selection criteria will be specified in the final regulations, and shall include, but shall not be limited to, prioritizing criteria defined in relevant authorizing and appropriations law, and criteria intended to ensure the timely completion of funding projects.

**20.500 FEDERAL TRANSIT CAPITAL INVESTMENT GRANTS**

(Fixed Guideway Modernization Bus and Bus Facilities and New Starts/Small Starts) In FY 2013 Budget Fixed Guideway Modernization and Bus and Bus Facilities renamed Bus and Rail State of Good Repair

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

FEDERAL TRANSIT CAPITAL INVESTMENT GRANTS , 49 U.S.C 5309.

**OBJECTIVES:**

To assist in financing the acquisition, construction, reconstruction, and improvement of facilities, rolling stock and equipment for use in public transportation service. Funds are currently made available in three categories: Fixed Guideway Modernization formula program; Bus and Bus Facilities discretionary program; and New Starts/Small Starts discretionary program (new fixed guideway systems and extensions of existing systems).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to assist State and local governmental authorities in financing: capital projects for new fixed guideway systems, and extensions to existing fixed guideway systems, including the acquisition of real property, the initial acquisition of rolling stock for the systems, and the acquisition of rights of way, and relocation, for fixed guideway corridor development for projects or preliminary engineering; capital projects, the acquisition, construction, reconstruction and improvement of facilities and equipment for use by operation or lease or otherwise in mass transportation service, including property and improvements needed for an efficient and coordinated mass transportation system, including buses and bus facility equipment; the capital costs of coordinating transit with other transportation; and the introduction of new technology, through innovative and improved transportation; and the introduction of new technology, through innovative and improved products. Consideration may also be given for projects which enhance urban economic development; establish new or enhanced coordination between transit and other transportation; or enhance the effectiveness of a transit project and are related physically or functionally to that transit project. It could also include financing for transit projects planned, designed, and carried out to meet the special needs of elderly individuals and individuals with disabilities; for the development of corridors to support fixed guideway systems, including protecting rights of way through acquisition, construction of dedicated bus and high occupancy vehicle lanes and park-and-ride lots, and other non-vehicular capital improvements that the Secretary may decide would result in increased transit usage in the corridor. In FY 2012 the New Starts and Bus Programs are not partially earmarked, leaving unallocated funds. Unallocated funds totaling \$489,106,722 or the Bus program are available for allocation through a discretionary competitive award process.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project, including safety and security aspects, and maintain facilities and equipment purchased with Federal assistance. Fixed Guideway formula funds are apportioned by formula to urbanized areas over 200,000 population with fixed guideway segments at least one mile long that are over seven years old. Bus projects will be allocated through a discretionary award process. New Starts project funding will be decided at the discretion of the Secretary of Transportation. Private non-profit organizations are not eligible direct recipients.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation. Public agencies, although private transportation companies may participate through contractual arrangements with public agency grantee.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), in the State transportation improvement program (STIP) and approved by FTA and FHWA; information must be provided on labor and relocation; environmental impact statement; legal opinion; coordinated regional planning documentation; maintenance certification; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments. Federal Register Notice FTA Fiscal Year Apportionments, Allocations, and Program Information, published annually contains the capital investment apportionments. For fiscal year 2009, the Federal Register notice with the full year's apportionment will be published in late March 2009. For other fiscal years, contact the FTA Regional Office to obtain the publication dates or the FTA website: [www.fta.dot.gov/](http://www.fta.dot.gov/). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact statement may also be required upon completion of review of the assessment. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18 and FTA Circular 9300.1A, "Capital Program: Grant Application Instructions," October 1, 1998. Applications are made to the regional offices of the Federal Transit Administration listed in Appendix IV of the Catalog.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is made available annually through the appropriation process. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 , Part 5309.

Matching Requirements: Funds for fixed guideway modernization are apportioned by statutory formula to eleven legislatively specified areas and to other areas that have fixed guideway mileage over 7 years old. Funds for bus and bus related improvements and New Starts are allocated on a discretionary basis and can be allocated on a statutory basis. A grant may be made up to 80 percent of net project cost. Vehicle related equipment is required to comply with ADA or Clean Air Act may be funded at 90 percent Federal share. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Terms and conditions are contractually agreed on between FTA and the applicant. See the following for information on how assistance is awarded/released: The grants may be awarded in one lump sum or in smaller increments as specified by the grantee.

**Reports:**

(1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. (1) Progress reports; (2) Financial status reports; (Submitted quarterly for recipients in urbanized areas over 200,000 population, annually for other recipients and states); (3) construction reports where applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-1102-0-1-401; 69-8350-0-7-401; 69-1134-0-1-401; 69-8350-0-7-401; 69-1133-0-1-401.

**Obligations:**

(Salaries) FY 11 \$2,644,985,684; FY 12 est \$2,650,500,000; and FY 13 est \$3,207,000 - Bus and Bus Facility Grants FY11 act. \$981,952,806 ; FY12 est. \$984,000,000 ; and FY13 \$0  
Fixed Guideway Modernization Grants FY 11 act. \$1,663,032,878 , FY12 est. \$1,666,500,000 , and FY13 \$0  
In the FY 2013 Budget the Bus and Bus Facility and Fixed Guideway Modernization was renamed Bus and Rail State of Good Repair FY 13 \$3,207,000. (Salaries) FY 11 \$10,000,000; FY 12 est \$732,661,179; and FY 13 est \$0 - Recovery Act New Starts/Small Starts FY11 5,000,000 ; FY12 est. not applicable ; FY13 est. not applicable and Fixed Guideway Modernization Grants FY11 \$5,000,000 ; FY12\$732,661,179 ; FY13 est. not applicable  
Bus and Bus Facility Grants FY 11 \$0 ; FY 12 \$0 , FY 13 \$0. (Salaries) FY 11 \$2,645,985,684; FY 12 est \$3,379,694,057; and FY 13 est \$0 - Recovery Act New Starts/Small Starts FY 11 5,000,000 ; FY12 est. not applicable ; FY13 est. not applicable and Fixed Guideway Modernization Grants FY11 \$5,000,000 ; FY12\$732,661,179 ; FY13 est. not applicable.  
Bus and Bus Facility Grants FY 11 act. \$981,952,806 ; FY12 est. \$984,000,000 ; and FY13 \$0 .  
Fixed Guideway Modernization Grants FY11 act. \$1,663,032,878 FY12 est.

\$1,663,032,878 , and FY13 \$0 . (Salaries) FY 11 \$1,665,032,878; FY 12 est \$3,261,304,000; and FY 13 est \$3,235,556,000 - Fixed Guideway Modernization Grants FY 11 act. \$1,663,032,878, FY 12 est. \$1,666,500,000 , and FY 13 \$0 est. not available.  
New Starts/Small Starts Grants FY 11 \$2,000,000 act. FY 12 est. \$1,594,804,000 , FY13 est. \$3,235,556,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Capital Investment Program: In FY 2011, seven Full Funding Grant Agreements were awarded including St. Paul-Minneapolis Light Rail project, Orlando Central Florida Commuter Rail project, Denver Eagle Light Rail project, Houston North Corridor and Southeast Corridor projects, New Britain Hartford Bus Rapid Transit, and Salt Lake City Draper Light Rail project. Total \$1,709 million, including oversight, were allocated for New Starts and Small Starts projects.

Bus and Bus Facility Program: In FY 2011, Bus and Bus Facility Program provided \$841.88 million for 223 bus projects in both urbanized and rural areas.

Grants are provided for capital assistance for new and replacement buses and related equipments and facilities.

Fixed Guideway Program: FY 2011 Fixed Guideway Program provided \$1,650 million for 63 urbanized areas that have fixed Guideway systems and that are more than seven years old. The grants are used to maintain and upgrade existing guideway systems.

Fiscal Year 2012: Capital Investment Program: Awarded two Full Funding Grant Agreements and two Project Construction Grant Agreements for the following projects: Silicon Valley Berryessa Extension, Portland-Milwaukie Light Rail, Austin MetroRapid Bus Rapid Transit, and Fort Collins-Mason Corridor Bus Rapid Transit. In FY 2012, thirteen existing FFGAs have received \$1,368 million New Starts grants; Alaska Denali Commission and Alaska/Hawaii Ferry Program have received \$5 million and \$15 million respectively.

Bus and Bus Facility Program: In FY 2012, Bus and Bus Facility program provided grants for nine Bus Rapid Transit projects, totaling \$188.1 million, including New Britain Hartford, El Paso Mesa Corridor, King County E line and F Line, Oakland East Bay, San Francisco Van Ness BRT, Grand Rapid BRT, Jacksonville North Corridor, and Fresno Area BRT. This program provided grants for Ferry Boat Systems projects for eight ferry systems: San Francisco, Staten Island, Philadelphia, New York, New Jersey, Main, and Massachusetts. Fixed Guideway Program: Fixed Guideway program provided \$1,243 million for 63 urbanized areas that have fixed guideway systems that are more than 7 years old to maintain and modernize their systems. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the FTA Regional Offices. See FTA Circular 9300.1B , "Capital Investment Program: Guidance and Application Instructions," November 1, 2008 , located at [http://www.fta.dot.gov/legislation\\_law/12349\\_8642.html](http://www.fta.dot.gov/legislation_law/12349_8642.html).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV: Agency Regional and Local Office Addresses of the Catalog for a listing of the Federal Transit regional offices.

**Headquarters Office:**

Eric Hu, 1200 New Jersey Avenue, S.E., , Washington, District of Columbia 20590 Phone: (202) 366-0870.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.507 Federal Transit\_Formula Grants; 20.509 Formula Grants for Other Than Urbanized Areas; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Capital Investment Program: Existing projects with Full Funding Grant Agreements: Salt Lake Weber County Commuter Rail, Dallas Northwest Southeast LRT, New York East Side project, New York Second

Avenue project, Salt Lake City Mid Jordan, Denver West Corridor project, Seattle University Link Light Rail project, Northern Virginia Dulles Metro Rail project, St. Paul Minneapolis Central Corridor project, Orlando Central Florida Commuter project, Denver RTD project, Houston North and Southeast Corridor projects, and New Britain Hartford BRT project. Recommended FFGA projects: San Francisco Central Subway and Honolulu High Capacity Transit Corridor. PCGA projects: San Bernardino Bus Rapid Transit, Austin MetroRapid Bus Rapid Transit, and Fort Collins-Mason Corridor BRT.

Bus and Bus Facility Program: In FY 2011, this program provided grants for State of Good Repair projects. New York MTA received over \$112 million for facility rehabilitation and new buses. Chicago, CTA, received \$30 million for facility and bus replacements. Atlanta and Los Angeles received \$26 million and \$25 million respectively for facility upgrades and new buses.

Fixed Guideway Program: New York, Chicago, and Philadelphia received \$456.5 million, \$172.8 million and \$111 million respectively, in capital assistance. Fiscal Year 2012: Capital Investment Program: Existing projects with Full Funding Grant Agreements: Salt Lake Weber County Commuter Rail, Dallas Northwest Southeast LRT, New York East Side project, New York Second Avenue project, Salt Lake City Mid Jordan, Seattle University Link Light Rail project, Northern Virginia Dulles Metro Rail project, St. Paul Minneapolis Central Corridor project, Orlando Central Florida Commuter project, Denver RTD project, Houston North and Southeast Corridor projects, and Salt Lake City Draper Light Rail. Recommended FFGA projects: San Francisco Central Subway and Honolulu High Capacity Transit Corridor. PCGA projects: San Bernardino Bus Rapid Transit, Austin MetroRapid Bus Rapid Transit, and Fort Collins-Mason Corridor BRT.

Bus and Bus Facility Program: Grants provided to construct Bus Rapid Transit systems for Britain Hartford Busway, El Paso Mesa Corridor BRT, King County RapidRide E Line and F Line, Oakland East BRT, Grand Rapids BRT, Jacksonville North Corridor BRT, and Fresno Area Express BRT.

Fixed Guideway Program: New York, Chicago, and Philadelphia received \$369.9 million, \$141.9 million, and \$95 million respectively. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

1. Major, non-recurring capital investments. 2. Congressional designation (Bus and New Starts) 3. Formula allocation (Fixed Guideway Modernization) 4. New Starts projects are subject to extensive rating and evaluation process and must have FTA approval before entering into the Preliminary Engineering and Final Design Phases.

**20.505 METROPOLITAN TRANSPORTATION PLANNING**

(Metropolitan Planning Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) , Public Law 109-59, 49 U.S.C 5305(d).

**OBJECTIVES:**

To assist in development of transportation improvement programs, long-range transportation plans, and other technical studies in metropolitan areas.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Activities assisted under this section may include preparation of transportation plans including transportation improvement programs and management systems; studies related to transportation management, operations, capital requirements, and economic feasibility; evaluation of previously funded capital projects; and other related activities in preparation for the construction, acquisition, or improved operation of transportation systems, facilities, and equipment.

**Applicant Eligibility:**

Apportionments are made to the States for formula distribution to the Metropolitan Planning Organizations designated for the urbanized areas within each State.

**Beneficiary Eligibility:**

Apportionments are made to the States for formula distribution to the Metropolitan Planning Organizations designated for the areas within each State.

**Credentials/Documentation:**

The Federal Register dated February 8, 2011 (FTA Fiscal Year 2011 Apportionments, Allocations and Program Information; Notice), provides the state apportionments in Table 2. For other fiscal years, contact the FTA Regional Office or access [http://www.fta.dot.gov/funding/grants\\_financing\\_174.html](http://www.fta.dot.gov/funding/grants_financing_174.html). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Following each decennial Census, each State must submit to FTA for approval a formula, developed in cooperation with affected MPOs, for the distribution of a State's Section 5305(d) apportionment to MPOs in each urbanized area within the State. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for a grant should be addressed to the appropriate Regional Office of the Federal Transit Administration. FTA Circular 8100.1C dated September 1, 2008, Program Guidance and Application Instructions for Metropolitan Planning and State Planning and Research Program Grants, provides detailed application information. Available on the Internet at: [http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_8454](http://www.fta.dot.gov/laws/circulars/leg_reg_8454). States may apply through a paperless electronic grant application, review, approval, acceptance, and management process. This program is excluded from coverage under 49 CFR Part 19.

**Award Procedure:**

FTA will approve and release the grant by the end of the quarterly cycle or earlier provided the application is complete and received by FTA at the beginning of the quarterly cycle.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grant applications are due in the appropriate FTA Regional Office no later than the first business day of the quarter.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 5305(d).  
Matching Requirements: The new budget authority for Fiscal Year 2010 Section 5305 appropriation to States for Metropolitan Planning Organizations totals \$80,887,789. A basic allocation of 80 percent of the amount available annually is distributed to the States based on urbanized area population for State distribution. A supplemental allocation of the remaining 20 percent is also provided to the states based on an FTA administrative formula to address planning needs in the larger urbanized areas. A May 13, 2010 Federal Register Notice, FTA Fiscal Year 2010 Apportionments and Allocations, provides a table (Table 2) which contains the final combined State apportionments. The funding ratio for these grants is 80 percent Federal, 20 percent local match of net project costs. In addition, under provisions enacted in SAFETEA-LU, funds currently available for planning can be transferred from the Federal Highway Administration to form Consolidated Planning Grants. FTA funds can also be transferred to FHWA to form consolidated Planning Grants. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available for 3 years following the year for which they were appropriated. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF-425. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF-425. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable).

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133.

**Records:**

Following submission of the final Financial Status Report pending resolution of audit findings, project sponsor is required to remain intact for 3 years, retaining all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1137-0-1-401.

**Obligations:**

(Formula Grants) FY 11 \$93,691,869; FY 12 est \$93,887,200; and FY 13 est \$116,436,550 - (Grants) FY11 93,691,869 ; FY12 93,887,200 ; and FY13 116,436,550.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance  
\$20,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Multimodal transportation planning studies are emphasized through coordinated funding with other DOT administrations. Refinement of the transit elements of long-range plans and an expansion of short-range planning for improvements to the existing urban transportation system are also emphasized. Capital transportation improvement programs are produced annually/biennially as well as metropolitan transportation plans. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Fiscal Year 2010 Apportionments, Allocations, and Program Information; Notice and Fiscal Year 2010 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice, published annually. For fiscal year 2010, the publication date was May 13, 2010. For other fiscal years, contact the FTA Regional Office to obtain the publication date for other fiscal years. FTA website: [www.fta.dot.gov/funding/grants\\_financing\\_174.html](http://www.fta.dot.gov/funding/grants_financing_174.html).

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices and DOT Metropolitan Offices.

**Headquarters Office:**

Candace Noonon, 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Phone: (202) 366-1648.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.514 Public Transportation Research; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Oregon Department of Transportation received funds to distribute according to an FTA approved formula to urbanized area MPOs within the state to do long range planning, develop Transportation Improvement



Programs, conduct planning studies and perform other planning related activities in support of multimodal metropolitan transportation. Fiscal Year 2012: Metropolitan planning funds provided to Oklahoma DOT for distribution to MPOs in Oklahoma to support multimodal transportation planning for each MPOs urbanized area. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding is allocated to the States for pass through to various Metropolitan Planning Organizations within their jurisdictions.

**20.507 FEDERAL TRANSIT\_FORMULA GRANTS**

(Urbanized Area Formula Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

SAFETEA-LU and subsequent extensions, Public Law 111-5, 49 U.S.C 5307.

**OBJECTIVES:**

To support public transportation services in urbanized areas (cities over 50,000 population).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for capital projects to finance the planning, acquisition, construction, cost-effective lease, improvement, and maintenance of equipment and facilities for use in transit. One percent of the funds apportioned to urbanized areas with a population of at least 200,000 must be expended for transit enhancements. For urbanized areas with populations under 200,000, funds may be used to finance transit operating costs. Recipients of these grants are required to make information available to the public and to publish a program of projects to afford affected citizens opportunities through public hearings to submit comments on the proposed program and the performance of the recipient. One percent of the funds apportioned to urbanized areas with a population of at least 200,000 must be expended for transit enhancements. For urbanized areas with populations under 200,000, funds may be used to finance transit operating costs.

**Applicant Eligibility:**

Funds will be made available to urbanized areas (as defined by the U.S. Census Bureau) through designated recipients, which must be public entities and have the legal capacity to receive and dispense Federal funds. The Governor, responsible local officials, and publicly owned operators of mass transportation services must jointly select the designated recipient(s) for an urbanized area with a population of 200,000 or more. The Governor or his designee is the designated recipient for an urbanized area with a population of 50,000 to 199,999. Recipients must submit a program of projects to FTA; submit a program application to FTA; enter into formal agreements with FTA; and certify that public notification has been conducted.

**Beneficiary Eligibility:**

The general public, both users and non-users, and publicly owned operators of public transportation services.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on labor agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Eligible costs must be in accordance with OMB Circular No. A-87 for State and local governments. A notice is published annually in the Federal Register on FTA's fiscal year apportionments and allocations. The notice contains list of the amount apportioned to each urbanized area. The partial apportionment amounts for fiscal year 2011 were published in the January 11, 2012 and May 9, 2012 notice. Full apportionment amounts have not yet been published. Prior year notices can be found on the FTA website at [www.fta.dot.gov/](http://www.fta.dot.gov/) or by contacting the appropriate FTA Regional Office to obtain copies or publication dates.

OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An environmental impact assessment may be required. In addition, an environmental impact statement may also be required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18. Applications are to be submitted in the Transportation Electronic Award Management system. (TEAM-Web), which is the FTA electronic grant-making and record keeping system.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. In FY 07, FTA obligated Urbanized Area formula grants in 26 days (on average) after submission of a complete application.

**Appeals:**

Opportunity for public hearing for interested persons.

**Renewals:**

Funds are apportioned annually to each urbanized area. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 USC, Part 5336, Public Law 111-5.

Matching Requirements: Percent: 10%. funding made available to an urbanized under the Growing States and High Density States formula factors (49 USC 5340) are combined with funds apportioned to an area under the Urbanized Area Formula program. The program operates under the statutory formula prescribed in 49 USC 5336. The Federal share is not to exceed 80 percent of the net project cost. The Federal share may be 90 percent for the cost of vehicle-related equipment attributable to compliance with the American with Disabilities Act and the Clear Air Act. The Federal share may also be 90 percent for projects or portions of projects related to bicycles facilities. The Federal share may not exceed 50 percent of the net cost for operating assistance.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds apportioned under the Urbanized Area Formula program are available for obligation by the Governor, designated recipient, or authorized grant recipient for a period of 3 years following the close of the fiscal year for which such funds are apportioned. Any amounts remaining unobligated at the end of this period are distributed among all urbanized areas. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. SF -425. (1) Progress reports. (2) Financial status reports, which must be submitted quarterly for recipients in urbanized areas over 200,000 population; annually for other recipients and states. (3) Construction reports where applicable. (4) Annual report to the National Transit Database (NTD). SF-425 or 269. See audit requirements. Grantees receiving 500,000 or more have an audit requirement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1129-0-1-401.

**Obligations:**

(Formula Grants) FY 11 \$4,151,709,439; FY 12 est \$4,160,365,000; and FY 13 est \$3,535,023,000

**Range and Average of Financial Assistance:**

Varies according to local programming of available formula funds and the level of operating expenses incurred.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FTA made \$4,529,825,342 available to 5307 recipients in FY 2011. A total of 1,583 grants were awarded to 5307 recipients amounting to approximately \$4.7 billion. Fiscal Year 2012: FTA made \$3,410,657,283 available to 5307 recipients. FTA is estimated to award over 1,500 grants to 5307 recipients in FY 2012. Fiscal Year 2013: 2013 FTA is expected to make approximately \$3.4 billion available to 5307 recipients. FTA is estimated to award over 1,500 grants to 5307 recipients in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Formula Grant Application Instructions may be accessed on the FTA website or secured at no charge from the FTA Regional Offices - FTA Circular 9030.1C, "Urbanized Area Formula Program: Program Guidance and Application Instructions," May 1, 2010.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Elan Flippin 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-2053.

**Website Address:**

<http://www.fta.dot.gov/>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.509 Formula Grants for Other Than Urbanized Areas

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of funded projects include funding for capital and operating assistance. This includes the purchase of buses, construction of a train station, real estate acquisition, rehab/renovation of maintenance facilities, and acquisition of miscellaneous equipment (new telephone systems). Penn DOT used 5307 funds for capital assistance for the construction of a train station and real estate acquisition. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects must be eligible public transportation projects and meet all formula grant requirements.

**20.509 FORMULA GRANTS FOR OTHER THAN URBANIZED AREAS**

(Nonurbanized Area Formula Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable Flexible, Efficient Transportation Equity Act: A Legacy for Users , 49 U.S.C 5311.

**OBJECTIVES:**

To improve, initiate, or continue public transportation service in nonurbanized areas (rural and small areas under 50,000 population) and to provide technical assistance for rural transportation providers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Section 5311 funds may be used for eligible capital expenses, project administration, and operating expenses needed to provide efficient and coordinated public transportation service in nonurbanized areas. States may use up to 15 per cent of the annual apportionment for planning and program administration. Projects must provide for the maximum feasible coordination of public transportation sources assisted under this section with transportation services assisted by other Federal sources, and must provide for the maximum feasible participation of private operators. Fifteen percent of the State's annual apportionment must be spent to support rural intercity bus transportation, unless the governor certifies that such needs are adequately met. Rural Transit Assistance Program (RTAP) funds may be used for technical assistance, training, research, and related support services. States may use up to 15 per cent of the annual apportionment for planning and program administration. Projects must provide for the maximum feasible coordination of public transportation sources assisted under this section with transportation services assisted by other Federal sources, and must provide for the maximum feasible participation of private operators. Fifteen percent of the State's annual apportionment must be spent to support rural intercity bus transportation, unless the governor certifies that such needs are adequately met. Rural Transit Assistance Program (RTAP) funds may be used for technical assistance, training, research, and related support services.

**Applicant Eligibility:**

Only designated State agencies and Indian Tribes may apply directly to FTA for grants. Eligible sub-recipients may include State agencies, local public bodies and agencies thereof, nonprofit organizations, Indian tribes, and operators of public transportation services, including intercity bus service, in rural and small urban areas. Private for-profit operators of transit or paratransit services may participate in the program only through contracts with eligible recipients. Private intercity bus operators may participate as subrecipients or through contracts. Urbanized areas, as defined by the Bureau of the Census, are not eligible.

**Beneficiary Eligibility:**

The general public, both users and nonusers, and private and public providers of public transportation in nonurbanized areas.

**Credentials/Documentation:**

The State agency must be designated by the Governor to administer the program. Projects must be included in the State Transportation Improvement Program (STIP) approved by FTA and FHWA. The state and subrecipients must agree to the standard labor protection warranty for the program. Environmental assessments may be required. Compliance with FTA's annual list of Certifications and Assurances is required. Eligible coast must be in accordance with OMB Circular A-87. The state must submit a program of projects listing all subrecipients and projects in accordance with FTA Circular 9040.1F issued April 4, 2007. FTA annually issues a Federal Register Notice of apportionments, allocations and program information. For fiscal year 12, the publication date was May 9, 2012.. Prior year notices can be found on the FTA website at [www.fta.dot.gov](http://www.fta.dot.gov) or by contacting the appropriate FTA regional office to obtain copies or publication dates. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Eligible sub-recipients should submit application to the State agency designated by the Governor to administer the program. This agency will evaluate and select eligible applicants and submit a program of projects to the Federal Transit Administration. The provisions of 49 CFR, Part 18, apply to the state and governmental bodies, and 49 CFR Part 19 applies to the private non-profit organizations.

**Award Procedure:**

The Federal Transit Administration approves the State's program of projects. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the state must execute the grant agreement. The state implements grant agreements or other instructions with the subrecipients.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. As prescribed by the State agency designated to administer the Section 5311 program. FTA approves grants on a quarterly release cycle.

**Appeals:**

Interested persons are afforded the opportunity of a public hearing for capital projects.

**Renewals:**

Subrecipients typically receive funding through the designated State agency.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 18.

Matching Requirements: Program funds are apportioned annually to the states according to a statutory formula. Twenty percent of the funds are allocated by the ratio of nonurbanized land area of each State to the nonurbanized land area of all the States with no State receiving more than five percent of these funds. Eighty percent are allocated by the ratio of nonurbanized population of each State to the nonurbanized population of all of the states. In addition to the funds made available to States under section 5311, approximately 16 percent of the funds authorized for the new section 5340 Growing States and High Density States formula factors will be apportioned to States for use in nonurbanized areas. Rural Transit Assistance Program (RTAP) is funded as a two percent takedown from the amount authorized and appropriated for Section 5311 and can be used for technical assistance, training, Research and related support activities. From the amounts made available for RTAP, up to 15 percent may be used by the Secretary to carry-out projects of national scope with the remaining balance to the states. Funds are allocated annually based on an administrative formula that provides a base amount to each state and allocates the balance according to the nonurbanized area population. The maximum Federal share eligible capital and project administration costs is 80 percent, except for three categories of projects that can be funded at 90 percent share: projects designed specifically to increase the accessibility of public transportation to bicycles and vehicle related equipment required to comply with the ADA or the Clean Air Act. The maximum FTA share for operating assistance is 50 percent of the net operating deficit. Other Federal funds may be used for half of the local match requirement. Income from purchase of service contracts with human service agencies may be used for the entire local share for operating assistance. There is no matching requirement for RTAP or for state administration.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are apportioned annually to the States. Amounts apportioned are available for obligation by the State designated agency for a period of 2 years following the close of the fiscal year for which sums are apportioned, and amounts remaining unobligated at the end of such period shall be apportioned among the States for the succeeding fiscal year. States usually fund local recipients on an annual cycle. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. SF-425. Progress reports are submitted annually. States may require additional reports from recipients. Financial Status

Reports are submitted annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, all contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401; 69-1129-0-1-401.

**Obligations:**

(Salaries) FY 11 \$464,033,000; FY 12 est \$465,000,000; and FY 13 est \$394,878,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Formula portion of program: FTA received 118 applications requesting \$42 million. Discretionary portion of program: FTA awarded 67 applications for \$15 million. Fiscal Year 2012: Formula portion of program: FTA expects to obligate 275 grant applications for approximately \$532 million. Discretionary portion of program: FTA received 109 applications requesting \$44 million. FTA expects to award approximately 70 applications for \$15 million. Fiscal Year 2013: Discretionary portion of program: FTA anticipates 120 applications requesting approximately \$43 million. FTA anticipates awarding approximately 70 applications.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9040.1, Nonurbanized Area Formula Program Guidance and Grant Application instructions.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the address of Federal Transit Administration Regional Offices. State Designated Agency: The Governor in each State has designated a State agency to administer the Section 5311 program. This should be the first contact point. Regional Offices: A person from each Federal Transit Administration Regional Office is available to answer questions about Federal regulations related to the Nonurbanized Formula Program.

**Headquarters Office:**

Lorna Wilson, Office of Program Management, 1200 New Jersey Avenue, SE., Washington, District of Columbia 20590 Phone: (202) 366-0893.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.516 Job Access\_Reverse Commute; 20.521 New Freedom Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Oregon Department of Transportation submitted a grant application to purchase capital equipment for intercity buses and operating assistance for rural transit operators as well as the intercity bus operator. There is also an ITS project in the grant for Google Transit Feed Specifications. Fiscal Year 2012: The Pennsylvania Department of Transportation submitted a grant application to provide operating assistance for 23 rural operators and 5 intercity bus operators. The grant also included capital assistance and State administration to support administrative functions. Additionally, it included Rural Transit Assistance Program funding for training and technical assistance and related support services. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described by the State designated agency in its procedures or State management plan.

### **20.513 CAPITAL ASSISTANCE PROGRAM FOR ELDERLY PERSONS AND PERSONS WITH DISABILITIES**

#### **FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

#### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, Public Law 109-59, 49 U.S.C 5310.

#### **OBJECTIVES:**

To provide financial assistance in meeting the transportation needs of elderly persons and persons with disabilities where public transportation services are unavailable, insufficient or inappropriate. The Section 5310 program is designed to supplement FTA's other capital assistance programs by funding transportation projects for elderly persons and persons with disabilities in all areas - urbanized, small urban, and rural.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Section 5310 funding may be used for eligible capital expenses needed to provide specialized transportation service for elderly persons and persons with disabilities. Projects must provide for the maximum feasible coordination of transportation services assisted under this section with transportation assisted by other Federal sources and must provide for the maximum feasible participation of private-for-profit operators.

#### **Applicant Eligibility:**

Eligible sub-recipients include private nonprofit organizations, public bodies approved by the State to coordinate services for elderly persons and persons with disabilities and public bodies which certify to the governor that no nonprofit corporations or associations are readily available in an area to provide the service.

#### **Beneficiary Eligibility:**

Elderly persons and persons with disabilities.

#### **Credentials/Documentation:**

FTA apportions the funds to the States on an annual basis. The chief executive officer of each State or an official designee designates an agency to administer the program. Projects must be included in the State Transportation Improvement Program (STIP) approved by FTA and FHWA. Compliance with FTA's annual list of Certifications and Assurances is required. Eligible costs must be in accordance with OMB Circular A-87. The state must submit a program of projects listing all subrecipients and projects in accordance with FTA Circular 9070.1E. FTA annually issues a Federal Register Notice of apportionments, allocations, and program information. For fiscal year 2010, the publication date was May 13, 2010. Prior year notices can be found on the FTA website at [www.fta.dot.gov/](http://www.fta.dot.gov/) or by contacting the appropriate FTA Regional office to obtain copies or publication dates. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Local agencies should submit application to the State agency designated by the Governor to administer the program. This State agency will evaluate, select and approve eligible applicants and submit a program of projects to the Federal Transit Administration. The provisions of 49 CFR Part 18 apply to the State and governmental bodies and 49 CFR Part 19 applies to private nonprofit organizations.

#### **Award Procedure:**

The Federal Transit Administration approves the State's Program of Projects. An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the State must execute the grant agreement. The State implements grant agreements or other instruments with the subrecipients.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

#### **Appeals:**

Interested persons are afforded the opportunity of a public hearing for capital projects.

#### **Renewals:**

As determined by the designated State agency.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 80%. The Federal share of eligible capital cost may not exceed 80 percent of the net cost of the activity. The local share of eligible capital cost shall be no less than 20 percent of the net cost of the activity. Funds for this program are allocated among the States by a formula which is based on the population of elderly persons and persons with disabilities in each State according to the latest U.S. Census population figures. Grants may be made for no more than 80 percent of the eligible project costs. SAFETEA-LU allows states eligible for the sliding scale match under FHWA programs to use that match ratio for section 5310 capital projects. Funds provided under other Federal programs (other than those of the Department of Transportation, with the exception of the Federal Lands Highway Program established by section 204 of Title 23 U.S.C.) may be used as match for capital funds provided under section 5310. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Section 5310 program funds are available to the States for three years, which includes the fiscal year in which they were allocated plus two additional years. Unobligated Section 5310 funds may be transferred to the Section 5311 or Section 5307 programs within the last 90 days of the fiscal year. Any funds not obligated or transferred by the end of the period of availability will be redistributed to all the States by formula in the succeeding fiscal year. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports. SF - 425. As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports. SF - 425. As requested by the State and Federal agencies administering the program. States must submit annual status reports and annual financial reports.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Recipient is required to retain intact, for 3 years following submission of the final financial report, all contract documents, financial records, and supporting documents with the following qualification: If any litigation, claim or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims or audit findings involving the records have been resolved.

#### **Account Identification:**

69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$133,222,256; FY 12 est \$133,500,000; and FY 13 est \$404,594,000 - In FY 2013 Budget renamed Consolidated Grant program which includes elderly, Job Access and New Freedom .

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance  
Statewide: For FY 2010 4,575 to 12,167,450 Average 1,264,422.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FTA obligated 112 grants for \$120 million. Fiscal Year 2012: FTA expects to obligate approximately 115 grants for \$125 million. Fiscal Year 2013: FTA anticipates obligating approximately 115 grants for approximately \$125 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9070.1F, The Elderly and Persons with Disabilities Program Guidance and Application Instructions, dated May 1, 2007.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the address of Federal Transit Administration's Regional Offices. State- Designated Agency: The Governor in each State has designated a State agency to administer the Section 5310 program.

**Headquarters Office:**

Gilbert Williams, 1200 New Jersey Ave. SE , Washington, District of Columbia 20590 Phone: (202) 366-0797

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Ohio Department of Transportation was able to begin the procurement process to purchase 94 vehicles, bus support equipment, radios and other capital items. The 94 vehicles consist of 50 replacement vans and 44 new vans for expanding their fleet and service areas. Fiscal Year 2012: Nebraska Department of Roads has submitted an application for the procurement of 58 vehicles. Twenty-one of these vehicles will service urban areas and 37 will service rural areas. Twenty-eight vehicles will be for expansion of the fleet whereas 30 will be replacement vehicles. Twenty-five of the vehicles will be equipped with wheelchair lifts. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described by the State designated agency.

**20.514 PUBLIC TRANSPORTATION RESEARCH**

National Research Programs

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5314(a).

**OBJECTIVES:**

The Federal Transit Administration's research program seeks to deliver solutions that improve public transportation. Its primary goals are to increase transit ridership, improve safety and emergency preparedness, improve operating efficiencies, protect the environment, promote energy independence, and provide transit research leadership. To accomplish this, FTA funds research on mobility management, transit operational efficiency, safety and emergency preparedness, transit capacity building, energy independence and environmental protection, infrastructure and equipment protection and innovation, and strategic research program planning.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

The program supports research not generally undertaken by the private sector including studies on transit policy issues, operational efficiency, and travel behavior.

**Applicant Eligibility:**

Grants and cooperative agreements: Public bodies, nonprofit institutions, State and local agencies, universities, and legally constituted public agencies and operators of public transportation services, and private for-profit organizations.

**Beneficiary Eligibility:**

State and local governments, transit agencies, private organizations, profit organizations, nonprofit organizations, and universities.

**Credentials/Documentation:**

Grants and cooperative agreements: Initial proposal should include project objectives, background, and project description, including time schedule, budget, and applicant's organizational experience. Legal opinion and compliance with labor requirements are required later. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, A-21 for universities, A-122 for private nonprofit organizations, and the Federal Acquisition Regulations for private for profit organizations. Contracts are awarded in response to specific requests for proposal. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Although applications for research, development and demonstration projects may be submitted at any time, potential applicants are encouraged to communicate with FTA before submitting formal applications. The initial contact may be by telephone, by submitting a written outline, or by personally meeting with appropriate FTA Headquarters staff. This preliminary contact will serve to: (1) establish a base for communication between FTA and the applicants; (2) determine the applicant's eligibility; (3) eliminate any proposal which have little or no chance for Federal funding before applicants incur expenditures involved in proposal preparation; and (4) determine funding available and conformance to FTA policy and program objectives. The standard application forms as furnished by the Federal agency and required by 49 CFR Part 18 or 49 CFR Part 19 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Potential applicants should follow instructions found in FTA Circular 6100.1C, "Transit Research and Technology Programs: Application and Program Management Guidelines." This Circular may be found at the FTA web site at [www.fta.dot.gov](http://www.fta.dot.gov). This program is subject to the provisions of 49 CFR Part 18 for State and local governments and 49 CFR Part 19 for universities and private nonprofit organizations.

**Award Procedure:**

The Administrator, Federal Transit Administration, makes the final decision to approve a project. An FTA grant or cooperative agreement award obligating Federal funds is reflected in a grant agreement or cooperative agreement. To access funds, the recipient must execute the grant agreement or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Research, development, and demonstration projects: FTA encourages cost-sharing by performing organizations to the extent feasible and equitable. Cost-sharing is not a prerequisite to funding. However, it is actively considered in the evaluation of proposals. The amount of such sharing is determined by mutual agreement between FTA and the recipient. More weight is given to programs with a greater local share and proposals with cash contributions than to in-kind contributions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies with the complexity of the project. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. By electronic filing. SF - 425. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. By electronic filing. SF - 425. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, "Audits of State and Local Governments and Nonprofit Organizations," nonfederal entities (including universities) that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as stated in OMB Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Grant recipients shall retain records for 3 years following submission of a final expenditure report, pending resolution of audit findings, all project contracts documents, financial records, and supporting records.

**Account Identification:**

69-1137-0-1-401.

**Obligations:**

(Project Grants (Contracts)) FY 11 \$58,882,000; FY 12 est \$44,000,000; and FY 13 est \$70,957,000 - (Transit Planning and Research Grants and Contracts) FY 11 \$58,882,000 and FY 12 \$44,000,000 ; and FY 13 \$70,957,000 .

**Range and Average of Financial Assistance:**

None established.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: (1) FTA initiated the Bus Rapid Transit Demonstration Program integrating vehicle technology, Intelligent Transportation Systems (ITS), coordinated services, traffic engineering enhancements, and innovative urban design. Seventeen cities have formed a BRT consortium to share ideas and experience in implementing BRT. (2) The Advanced Technology Transit Bus (ATTB) test vehicle was successfully developed and tested. This revolutionary low-floor, light-weight, easily accessible bus features low-emission propulsion. (3) FTA, working with an industry committee (natural gas suppliers and transit operators) produced a detailed technical guideline document defining basic safety requirements for fueling facilities, vehicles, bus garages and storage areas. (4) Four-quadrant gates linked to a vehicle detection system are being demonstrated on a commuter-rail highway grade crossing in the Boston area to prevent motorists from attempting to drive around closed crossing gates. (5) Project ACTION (Accessible Community Transportation in Our Nation) has implemented accessible transportation initiatives, made national presentations on accessible transportation and distributed thousands of copies of "how-to" publications. Fiscal Year 2012:

Programs funded were at the discretion of Congress under annual appropriations actions. Projects funded under this period include the Workforce Development Initiative; Positive Train Control: Streetcar Maintenance Program; Transit Leadership Program; and International ITS Standards Program. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fiscal Year 2011 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice published October 1, 2008. For other fiscal years, contact the FTA Office of Research Demonstration and Innovation to obtain the publication dates. FTA website [www.fta.dot.gov](http://www.fta.dot.gov). Other information will be made available upon request.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Wolfe 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Phone: (202) 366-8511.

**Website Address:**

<http://www.fta.dot.gov/research>.

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Nearly all projects funded this fiscal year were at the direction of the Congress under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). or annual appropriations acts. Projects funded during FY 2011 (1) Transit Cooperative Research (2) National Transit Institute. \$58,882,000. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must support the FTA Strategic Plan, available on the FTA Home Page of the Internet at <http://www.fta.dot.gov>. If a preliminary proposal is judged to meet program and funding availability, FTA will invite formal proposal submission or cooperative agreement application. Criteria for preliminary approval include: (1) compatibility with FTA Strategic Plan and Strategic Research Plan; (2) availability of funding; (3) potential for impact on the state-of-the-art from the viewpoint of innovation in transit technology, services and operations; (4) technical feasibility and potential for successful introduction into use in the transit industry; (5) background, experience, and demonstrated capabilities of the applicant; (6) partnerships with public and private organizations; (7) non-FTA funding match; and (8) other pertinent matters, such as geographic distribution of projects and questions of environmental and labor impact.

**20.515 STATE PLANNING AND RESEARCH**

(State Planning and Research Program)

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5305(e).

**OBJECTIVES:**

To assist in the development of cost effective multimodal transportation improvement programs which include the planning, engineering, and designing of Federal Transit projects, and other technical studies in a program for a unified and officially coordinated Statewide Transportation system.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

This is a consolidated program which is apportioned to the States under 49 U.S.C., Chapter 53 which includes such activities as planning, technical studies and assistance, innovative demonstrations, management training, and cooperative research. In addition, a State may authorize a portion of these funds to be used to supplement and administer Metropolitan Planning funds allocated

by the State to its urbanized areas, as the State deems appropriate.

**Applicant Eligibility:**

Apportionments are made to the States.

**Beneficiary Eligibility:**

Apportionments are made to the States.

**Credentials/Documentation:**

Federal Register Notice, "FTA Fiscal Year 2010 Apportionments, Allocations, and Program Information", published annually, contains the State apportionment in Table 2. For fiscal year 2011, the publication date was February 8, 2011. For other fiscal years, contact the FTA Regional Office or refer to the FTA website to obtain the publication dates. The FTA website is: [www.fta.dot.gov/funding/grants\\_financing\\_174.html](http://www.fta.dot.gov/funding/grants_financing_174.html). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FTA Circular 8200.1C dated September 1, 2008, "Program Guidance and Application Instructions for State Planning and Research Program Grants" provides detailed application information. It is available at [www.fta.dot.gov/laws/circulars/leg\\_reg\\_8454.html](http://www.fta.dot.gov/laws/circulars/leg_reg_8454.html).

**Award Procedure:**

If the application is complete, FTA will approve and release the grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

If completed applications are submitted to FTA no later than the first business day of the quarter, FTA will then award grants no later than the last business day of the quarter. In FY 04, FTA awarded State Planning and Research Program grants in an average of 9 days of submission of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Part 5305(e).  
Matching Requirements: The matching requirements vary. Funds obligated for State or metropolitan planning are granted as an 80 percent Federal, 20 percent local ratio. In addition, current year funds can be transferred from the Federal Highway Administration to form State Consolidated Planning Grants. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for 3 years following the year for which they were appropriated. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF - 425. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable). SF - 425. (1) Progress reports; (2) Financial report upon completion of the project; and (3) Final technical study report (if applicable).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

For 3 years Following submission of the final financial status report and pending resolution of audit findings, Project sponsor is required to retain intact all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-1137-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Project Grants) FY 11 \$19,571,996; FY 12 est \$19,612,800; and FY 13 est \$23,848,450 - Obligations  
(Grants) FY 11 act.\$19,571,996; FY 12 est \$19,612,800; and FY 13 \$23,848,450.

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance  
\$45,000 to \$1,000,000 plus per State based on a statutory formula.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Multimodal transportation planning studies are emphasized through coordinated funding with other DOT administrations. Refinement of the transit elements of long-range plans and an expansion of short-range planning for improvements to the existing statewide transportation system are also emphasized. Capital transportation improvement programs are produced annually/biennially as well as statewide transportation plans. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Notice, "FTA Fiscal Year 2010 Apportionments, Allocations, and Program Information", published annually, contains the State apportionment in Table 2. For fiscal year 2010, the publication date was May 13, 2010. For other fiscal years, contact the FTA Regional Office or consult the FTA website to obtain the publication dates. The FTA website is: [http://www.fta.dot.gov/funding/grants\\_financing\\_174.html](http://www.fta.dot.gov/funding/grants_financing_174.html).

**Regional or Local Office:**

None. See Appendix IV of the Catalog for a listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Candace Noonan, 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Phone: (202) 366-1648.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants; 20.507 Federal Transit\_Formula Grants; 20.514 Public Transportation Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This grant to the Missouri Department of Transportation provides funding for administration of transit planning in Missouri and supports local agency transit related studies and activities. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.516 JOB ACCESS\_REVERSE COMMUTE**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient & Transportation Equity Act: A Legacy for users (SAFETEA-LU), Title 49, Part 53, Section 5316, Public Law 109-59, 49 U.S.C 5317.

**OBJECTIVES:**

To provide grants to local governments, nonprofit organizations, and designated recipients of Federal transit funding to develop transportation services to connect welfare recipients and low-income persons to employment and support services. Job Access grants will be to finance planning, capital and operating cost of projects. The Reverse Commute grants will assist in funding the costs associated with adding reverse commute bus, train, carpool or service from urban areas, urban, rural and other suburban locations to suburban work places.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are to be used for delivery of services as well as to administer, plan and provide technical assistance for projects.

**Applicant Eligibility:**

State and local government agencies, nonprofit agencies, and transit providers.

**Beneficiary Eligibility:**

Low income individuals; individuals traveling to suburban work places.

**Credentials/Documentation:**

The applications submitted were derived from a locally developed, coordinated public transit-human services transportation plan and developed through a process that included representatives of public, private and nonprofit transportation and human services providers and participation by the public. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants must coordinate with: the State or local agencies that administer the State program funded under part A of Title IV of the Social Security Act, public housing agencies, the community to be served, and other stakeholders. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The project must be a product of the local coordinated public transit human services coordinated plan, competitively selected by the area's recipient, and included in the State Transportation Improvement Program prior to grant award. Recipients will submit applications electronically to the appropriate FTA regional office. The FTA regional offices are listed in Appendix IV of the Catalog. Recipients will then distribute funding directly to the subrecipients. After the recipient has competitively selected projects to be funded, the recipient may officially request that FTA allow subrecipients that are eligible to apply directly to FTA for Section 5307 funds be allowed to apply directly to FTA for JARC funds awarded. Notification of the grant program may also be found at <http://www.grants.gov>.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In the past Fiscal years, FTA approved JARC grants on an average of 42 days following submission of a complete application.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be amended to add additional funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 80.%. The Federal share of eligible capital

and planning costs may not exceed 80 percent of the net cost of the activity. The Federal share of the eligible operating cost is 50 percent.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally 1 year. Can be up to 4 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Federal Financial Reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes. SF - 425. (1) Progress reports; (2) Federal Financial Reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes. SF - 425. (1) Progress reports; (2) Federal Financial Reports, submitted quarterly for recipients in urbanized areas over 200,000 population, and annually for other recipients and states; (3) Detailed annual reports of project results for program evaluation purposes.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1125-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Project Grants) FY 11 \$164,157,761; FY 12 est \$164,500,000; and FY 13 est \$0 - (Grants) FY 11 act. \$164,157,761 ; FY 12 \$164,500,000; and FY13 \$0.

**Range and Average of Financial Assistance:**

\$10,890 to \$1,293,611. Average: \$180,588.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Trip Based Service Childcare Reservation Industrial Transportation. This organization provides TANF clients needing access to child care providers during non-traditional hours. Fiscal Year 2012: The program continues to provide capital assistance to public and private nonprofit transportation providers to deliver transportation services for individuals in urban and rural areas. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 9050.1, Job Access and Reverse Commute Program Guidelines and Application Instructions, updated May 1, 2007.

**Regional or Local Office:**

None. See Catalog Appendix for listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Gilbert Williams, 1200 New Jersey Avenue, SE, East Building-Fourth Floor, Washington, District of Columbia 20590 Phone: (202) 366-0797.

**Website Address:**

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3550.html](http://www.fta.dot.gov/funding/grants/grants_financing_3550.html)

**RELATED PROGRAMS:**

20.505 Federal Transit\_Metropolitan Planning Grants; 20.507 Federal Transit\_Formula Grants; 20.509 Formula Grants for Other Than Urbanized Areas; 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Trip Based Service Childcare Reservation Industrial



Transportation. This organization provides TANF clients needing access to child care providers during non-traditional hours. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

49 U.S.C. 5316(f) of SAFETEA-LU states factors that must be fair and equitable. Proposals must also meet legal and administrative requirements, available on the FTA web site at <http://www.fta.dot.gov>.

**20.518 CAPITAL AND TRAINING ASSISTANCE PROGRAM FOR OVER-THE-ROAD BUS ACCESSIBILITY**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-059.

**OBJECTIVES:**

To make funds available to private operators of over-the-road buses to finance the incremental capital and training costs of complying with requirements of the Department of Transportation's Over-the-Road Bus Accessibility regulation, "Transportation for Individuals with Disabilities" (49 CFR Part 37, Subpart H).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds may be used to finance the incremental capital and training costs of complying with DOT's Over-the-Road Bus Accessibility regulation. Capital projects eligible for funding include adding wheelchair lifts and other accessibility components to new vehicle purchases, and purchasing lifts to retrofit existing vehicles. Eligible training costs include training in proper operation and maintenance of equipment, boarding assistance, and securement, handling and storage of mobility devices, and sensitivity training. . In FY 2012, \$8.8 million is available for discretionary award.

**Applicant Eligibility:**

Private operators of over-the-road buses that provide intercity fixed route bus service, and other providers, including operators of over-the-road buses of local fixed-route service, commuter service, and charter or tour service.

**Beneficiary Eligibility:**

Persons with disabilities.

**Credentials/Documentation:**

Costs are determined in accordance with program guidance in an annual Federal Register Notice soliciting applications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FTA conducts a national solicitation for applications annually. Grant awards will be made on a competitive basis. Applications must be submitted through [Grants.Gov](http://Grants.Gov).

**Award Procedure:**

The announcement of awards is published in a Federal Register Notice. Successful applicants file a grant application with FTA. An FTA grant award obligating federal funds is reflected in a grant agreement. To access funds, the recipient must execute the grant agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Project selections are announced approximately six months following the application deadline for competitive consideration.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for obligation to grantees for 3 fiscal years. Any funds not obligated by FTA by the end of this period will be added to the succeeding year's program allocation. See the following for information on how assistance is awarded/released: Funds are awarded by one or more grants. Grantee has the option to obligate in one lump sum.

**Reports:**

No program reports are required. No cash reports are required. Final progress report and Federal Financial Reports upon closing the grant, and annual reports for grants remaining open the end of each Federal fiscal year. Documentation is required for payment. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. As requested by FTA.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1129-0-1-401; 69-8350-0-7-401.

**Obligations:**

(Project Grants) FY 11 \$8,781,692; FY 12 est \$8,800,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$25,000 to \$ 180,000. Average: \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FTA received 136 applications requesting \$41 million. FTA made 97 awards for \$8.8 million. Fiscal Year 2012: FTA received 113 applications requesting \$34 million. FTA made 100 awards for \$8.8 million. Fiscal Year 2013: If the program is active in FY 2013, FTA expects approximately 125 applications and estimates awarding 100 if funding is limited to \$8.8 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register Notices, published annually.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix for listing of Federal Transit Administration regional offices.

**Headquarters Office:**

Blenda Younger, 1200 New Jersey Avenue, S.E., Washington , District of Columbia 20590 Phone: (202) 366-4345.

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Capital projects eligible for funding include adding wheelchair lifts and other accessibility components to new vehicle purchases, and purchasing lifts to retrofit existing vehicles. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Current guidance contained in Federal Register Notice published annually.

## 20.519 CLEAN FUELS

(Clean Fuels)

### FEDERAL AGENCY:

Federal Transit Administration (FTA), Department of Transportation

### AUTHORIZATION:

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Public Law 109-59, 49 U.S.C 5308.

### OBJECTIVES:

To assist in financing the acquisition of clean fuel vehicles and related facilities for agencies providing public transportation and operating in an urbanized and non-urbanized area designated as a non-attainment or maintenance area for ozone or carbon monoxide.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Eligible projects include the purchase or lease of clean fuel vehicles, the construction or lease of clean fuel vehicles or electrical recharging facilities and related equipment for such vehicles, and construction or improvement of public transportation facilities to accommodate clean fuel vehicles. A clean fuel vehicle is a passenger vehicle used to provide public transportation that is powered by compressed natural gas, liquefied natural gas, biodiesel fuels, batteries, alcohol-based fuels, hybrid electric systems, fuel cells, clean diesel (to the extent allowed by law), or another low or zero emissions technology. Vehicles that employ lightweight composite primary structure may also be eligible. Funds can be used for capital projects only. In FY 2011 the Clean Fuels Grant program was not earmarked, leaving unallocated funds. Unallocated funds are available for allocation through a discretionary competitive award process.

### Applicant Eligibility:

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project and maintain facilities and equipment purchased with Federal assistance. Applicant must also operate in an urbanized area designated as a non-attainment or maintenance area for ozone or carbon monoxide. If the urbanized area is less than 200,000 in population, the State in which the area is located will act as the recipient.

### Beneficiary Eligibility:

The general public, both users and non-users of public transportation.

### Credentials/Documentation:

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on labor agreements and relocation planning; environmental impact; legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

### Award Procedure:

An FTA grant award obligating federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award

Management (TEAM) system, <http://fteamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

### Deadlines:

Not Applicable.

### Range of Approval/Disapproval Time:

From 30 to 60 days. It is a goal of the Federal Transit Administration to obligate grants within an average of 36 days of the submission of a complete grant application.

### Appeals:

None. Award recipients are chosen by Congress during the appropriations process and after application evaluation during the competitive award process.

### Renewals:

Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

### Formula and Matching Requirements:

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Terms and conditions are delineated in the grant agreement. See the following for information on how assistance is awarded/released: Assistance is awarded/released by grant obligation.

### Reports:

FTA retains the semiannual reporting requirements in Section 624.11, which requires grantees receiving program funds for hybrid electric, battery electric, and fuel cell vehicles to provide information on the operations, performance, and maintenance of those vehicles purchased or leased with program funds. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as determined by the OMB. The Federal Transit Administration may also conduct its own audits.

### Records:

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

### Account Identification:

69-1137-0-1-401; 69-8350-0-7-401.

### Obligations:

(Project Grants) FY 11 \$51,392,855; FY 12 est \$51,500,000; and FY 13 est \$0 - (Clean Fuel Bus Grants) FY 11 act \$51,392,855; FY12 est. \$51,500,000; and FY 13 est. \$0.

### Range and Average of Financial Assistance:

\$160,000 - \$5,250,000. Average \$1,112,000.

### PROGRAM ACCOMPLISHMENTS:

Fiscal Year 2011: FTA received a total of 111 applications, requesting approximately \$450.5 million, indicating a significant demand for available

funds. Twenty-nine projects were selected for funding. Fiscal Year 2012: FTA received a total of 140 applications, requesting approximately \$516 million, indicating a significant demand for available funds. Public announcement of allocation is scheduled for late July 2012. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the Federal Transit Administration (FTA) website or contact the appropriate FTA Region office for more information. See Federal Register/ Vol.70, No. 229/ Wednesday, November 30, 2005/ Notices.

#### **Regional or Local Office:**

See Regional Agency Offices. See list of region contacts listed in Appendix IV.

#### **Headquarters Office:**

Vanessa Williams 1200 New Jersey Avenue, S.E

, Washington, District of Columbia 20590 Phone: (202) 366-4818

#### **Website Address:**

www.fta.dot.gov.

#### **RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Illinois DOT purchased hybrid-electric vehicles, City of Fargo, ND replaced 35-foot buses and River Valley Transit, PA constructed CNG fueling facility. Fiscal Year 2012: Connecticut DOT procurement of zero tailpipe emission, fast-charge battery electric buses. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Per Congressional designation.

### **20.520 PAUL S. SARBANES TRANSIT IN THE PARKS**

Transit in the Parks

#### **FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

#### **AUTHORIZATION:**

Section 3021 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act A Legacy for Users (SAFETEA-LU) enacted August 10, 2005 [Public Law 109-59], established a new program called the Alternative Transportation in Parks and Public Lands program. The name of the program was changed to the Paul S. Sarbanes Transit in the Parks under the SAFETEA-LU Technical Corrections Act, 2008. , 49 U.S.C 5320.

#### **OBJECTIVES:**

Purpose of the program is to enhance the protection of national parks and Federal lands, and increase the enjoyment of those visiting them through the use of alternative transportation. The goals of the program are to ensure access to all, including persons with disabilities; improve conservation at parks and public lands in urban areas through partnering with State and local governments; improve park and public land transportation infrastructure; enhance the environment and prevent or mitigate adverse impacts on natural resources; reduce congestion and pollution; improve visitor mobility and accessibility and the visitor experience; improve Federal land management agency resource management; and conserve natural, historical, and cultural resources.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

#### **USES AND USE RESTRICTIONS:**

A qualified project is a planning or capital project in or in the vicinity of a Federally-owned or managed park, refuge, or recreational area that is open to the general public and meets the goals of the program. Project evaluation will be based on the considerations listed in the law and explained in part 180 of this notice. The following types of projects are eligible:

(1) Planning Projects: Activities to comply with metropolitan and statewide planning provisions. (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5303, 5304, and 5305). Activities include planning studies for an alternative transportation system including evaluation of no-build and all other reasonable alternatives, traffic studies, visitor utilization studies, transportation analysis, feasibility studies, and environmental studies.

(2) Capital projects for acquiring, constructing, supervising, or inspecting equipment or a facility for use in public transportation, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, and acquiring rights-of-way), payments for the capital portions of rail trackage rights agreements, transit-related intelligent transportation systems, relocation assistance, acquiring replacement housing sites, and acquiring, constructing, relocating, and rehabilitating replacement housing; (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5302(a)(1)(A).)

(3) Fixed Guideway and Bus Projects: (i) New fixed guideway capital projects including the acquisition of real property, the initial acquisition of rolling stock for the systems, the acquisition of rights-of-way, and relocation, for fixed guideway corridor development for projects in the advanced stages of alternatives analysis or preliminary engineering; (ii) Capital projects to modernize existing fixed guideway systems; (iii) Capital projects to replace, rehabilitate, and purchase buses and related equipment and to construct bus-related facilities, including programs of bus and bus-related projects for assistance to subrecipients that are public agencies, private companies engaged in public transportation, or private non-profit organizations; and (iv) The development of corridors to support new fixed guideway capital projects, including protecting rights-of-way through acquisition, construction of dedicated bus and high occupancy vehicle lanes and park and ride lots, and other nonvehicular capital improvements that the Secretary may decide would result in increased public transportation usage in the corridor. (49 U.S.C. 5320(b)(5)(A) referencing 49 U.S.C. 5309(b).)

(4) Purchase of rolling stock that incorporates clean fuel technology or the replacement of buses of a type in use on August 10, 2005, with clean fuel vehicles;

(5) The deployment of alternative transportation vehicles that introduce innovative technologies or methods;

(6) The capital costs of coordinating Federal land management agency public transportation systems with other public transportation systems;

(7) Non-motorized transportation systems (including the provision of facilities for pedestrians, bicycles and non-motorized watercraft); and

(8) Any other alternative transportation project that:

- Enhances the environment;
- Prevents or mitigates an adverse impact on a natural resource;
- Improves Federal land management agency resource management; and
- Improves visitor mobility and accessibility and the visitor experience;
- Reduces congestion and pollution (including noise pollution and visual pollution); or
- Conserves a natural, historical, or cultural resource (excluding rehabilitation or restoration of a nontransportation facility). No more than 15% of program funds may be used for project administration, contingency and oversight. As stated above, only planning and implementation projects that involve alternative transportation may receive funds. Funds must be spent in accordance with the details of the grant application. All program funds are awarded under a competitive, discretionary grant program.

#### **Applicant Eligibility:**

Eligible applicants are:(1) The following Federal land management agencies: The National Park Service, the Fish and Wildlife Service, the Bureau of Land management, the Forest Service, and the Bureau of Reclamation; and (2) State, tribal and local governments with jurisdiction over land in the vicinity of an eligible area acting with the consent of a Federal land management agency,

alone or in partnership with a Federal land management agency or other governmental or non-governmental participant.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Any project sponsor must be acting with the consent of a Federal land management agency as documented by the provision of a letter of support from the relevant federal land unit accompanying the project proposal. Any project proposed must be consistent with the metropolitan and statewide planning and public participation requirements found in 49 U.S.C 5303, 5304, and 5307(d). If the project is an capital project in contrast with a planning project, the capital project must be in the metropolitan Transportation Improvement Program (TIP) or State Transportation Improvement Program (STIP), or, if selected, will not receive funds until it is incorporated into the TIP or STIP. Projects also must be consistent with Federal land management agency plans. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The program allows the Department of Transportation to spend up to 10 percent of program funds to carry out planning, research and technical assistance activities. Funds allocated to technical assistance will be used to assist program participants in planning, implementing, and evaluating alternative transportation projects. In addition, the Federal Transit Administration will provide planning guidance and will disseminate research findings. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Project proposals must be submitted to the FTA online via the GRANTS.GOV website. In order to use GRANTS.GOV, applicants must first register as users with GRANTS.GOV. The project proposal must be attached to the application submitted online, and must be 12 or fewer pages in length at 10 point font or larger. If a proposal is greater than 12 pages, only the first 12 pages will be considered during the evaluation process. If applicants would like to apply for funds appropriated for future fiscal years, applicants must reapply each year.

**Award Procedure:**

Proposals will first be collected by the FTA and uploaded into a structured evaluation system and evaluated by an interagency team which includes representatives from FTA, each of the Federal land management agencies, and the Department of the Interior.

After evaluating the projects on the basis of criteria in the law and further explained in Section 180 of this program description, the team will provide a recommendation to the Secretary of the Interior. The Secretary of the Interior, after consultation with and in cooperation with the Secretary of Transportation, will determine the final selection and amount of funding for each project. The Department of the Interior will notify each Federal land management agency of projects awarded for sites under the agency's jurisdiction. FTA will publish the list of all selected projects and funding levels in the Federal Register.

Once proposals have been reviewed and projects have been chosen on the basis of selection criteria, the cognizant Federal agency (or agencies), will award funds to the proposing entity to implement the project. These funds will be administered according to Federal requirements as well as the appropriate policies, guidelines and rules of the pertinent agencies. For projects directly administered by a Federal land management agency, these funds will be administered by interagency agreement between the FTA and the respective agency. For programs administered by a State, tribal, or local Governmental authority, these funds will be administered through a grant administered by FTA. With regard to interagency agreement and grant requirements, 49 U.S.C.

5320(i) authorizes the Secretary to apply the requirements of 49 U.S.C. 5307 (Urbanized Area Formula Grant) and 5333(a) (Prevailing Wages Requirement) to the extent the Secretary deems appropriate.

Additionally, each recipient (Federal land management agency, and State, tribal, and local governments) of Federal funds must comply with requisite Federal guidelines governing the management of Federal funds and specific program requirements. Program Oversight, as defined by FTA, will ensure that projects meet the basic statutory, administrative, and regulatory requirements as stipulated by the conditions for accepting Federal funds.

After evaluating the projects on the basis of criteria in the law and further explained in Section 180 of this program description, the team will provide a recommendation to the Secretary of the Interior. The Secretary of the Interior, after consultation with and in cooperation with the Secretary of Transportation, will determine the final selection and amount of funding for each project. The Department of the Interior will notify each Federal land management agency of projects awarded for sites under the agency's jurisdiction. FTA will publish the list of all selected projects and funding levels in the Federal Register, as well as in FTAs annual report to Congress on the Alternative Transportation in Parks and Public Lands program submitted as part of FTAs Annual Report on New Starts in early February 2008. Criteria and application procedures may be reassessed for subsequent years.

Once proposals have been reviewed and projects have been chosen on the basis of selection criteria, the cognizant Federal agency (or agencies), will award funds to the proposing entity to implement the project. These funds will be administered according to Federal requirements as well as the appropriate policies, guidelines and rules of the pertinent agencies. For projects directly administered by a Federal land management agency, these funds will be administered by interagency agreement between the FTA and the respective agency. For programs administered by a State, tribal, or local Governmental authority, these funds will be administered through a grant administered by FTA. With regard to interagency agreement and grant requirements, 49 U.S.C. 5320(i) authorizes the Secretary to apply the requirements of 49 U.S.C. 5307 (Urbanized Area Formula Grant) and 5333(a) (Prevailing Wages Requirement) to the extent the Secretary deems appropriate.

Additionally, each recipient (Federal land management agency, and State, tribal, and local governments) of Federal funds must comply with requisite Federal guidelines governing the management of Federal funds and specific program requirements. Program Oversight, as defined by FTA, will ensure that projects meet the basic statutory, administrative, and regulatory requirements as stipulated by the conditions for accepting Federal funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no statutory formula. The Secretary of Transportation, in cooperation with the Secretary of Interior will establish the Governments share of the net project cost to be provided. Funds appropriated to any Federal land management agency may be counted toward the remainder of the net project cost. The maximum Federal share may be 100 percent. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will be provided on an annual basis. Funds awarded do not have an established date of expiration. See the following for information on how

assistance is awarded/released: Lump sum and/or reimbursement of qualified expenses.

**Reports:**

The Secretary of Transportation in consultation with the Secretary of Interior submits annually a report to Congress on the allocation of amounts made available to assist qualified projects. Also, a similar report must be included by the Secretary of Transportation in its Annual Report on New Starts. Requirements regarding reports to be prepared by the program recipient will be published in the Federal Register in the announcement of program awards. In 2009 this entailed the submission of quarterly reports to the FTA containing a narrative description of the project and a discussion of all budget and schedule changes. In addition, annual reports were required that must include: 1. Annual visitation to the land unit, 2. Annual number of persons who use the alternative transportation system, 3. An estimate of the number of vehicle trips mitigated based on alternative transportation system usage and the typical number of passengers per vehicle, 4. Cost per passenger, and 5. A note of any special services offered for those systems with higher costs per passenger but more amenities. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for three years following submission of the final expenditure report, all contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-1-407.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$26,844,035; FY 12 est \$26,900,000; and FY 13 est \$26,900,000

**Range and Average of Financial Assistance:**

No one project may receive more than 25 percent of funds.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Project awards for FY 2011, including projects selected with available FY 2012 funding, were announced on January 17, 2012.. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance is included with each Federal Register notice that announces project selections. Program requirements, additional guidance and legislation information can be found at <http://www.fta.dot.gov/>

**Regional or Local Office:**

See Regional Agency Offices. Information and assistance in applying can be acquired for the headquarters office of the Federal land management agency that manages the park or public land involved. The required project proposal template is available at <http://www.fta.dot.gov>.

-&#61472;National Park Service: Jim Evans Jim\_Evans@nps.gov, tel: 202-513-7021 fax: 202-371-6675 mail: 1849 C Street, N.W. (MS2420) Washington, D.C. 20240-0001 .

- Fish and Wildlife Service: Nathan Caldwell, Nathan.caldwell@fws.gov, tel:7033582376, fax: 7033582517,mail: 4401 N. Fairfax Drive, Suite 634; Arlington, VA 22203.

-- Forest Service: Rosana Bakawi, rosanabakawi.@fs.fed.us, tel: 703-605-4409 , fax 703-605-1542, mail: 1601 N. Kent Street, RPC-5, Arlington, VA 22209.

-- Bureau of Land Management: Jack Placchi, jack\_placchi@blm.gov, tel: 303-239-3832, fax: 303-239-3808, mail: 2850 Youngfield Street, Lakewood, Colorado 80215 .

**Headquarters Office:**

Adam Schildge 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: Adam.Schildge@dot.gov Phone: 202-366-0778

**Website Address:**

<http://www.fta.dot.gov/atppl>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The 58 alternative transportation projects selected in FY 2011 and FY 2012 represent a diverse set of capital and planning projects. Forty-one are capital projects (\$34.9 million) and 17 are planning projects (\$5.9 million) The National Park Service is associated with 39 of the 58 selected projects (\$29.9 million). The U.S. Fish and Wildlife Service is involved with 8 projects (\$6.2 million).. The U.S. Forest Service is associated with 9 projects (3.1 million). The Bureau of Land Management sponsored 2 projects (\$1.2 million) and the Army Corps of Engineers sponsored 1 project (\$779,000). Two of the projects included above were sponsored by multiple agencies.

The types of projects funded in FY 2011 and FY 2012 are consistent with the types of projects selected in the past and include purchase of new and replacement buses for new transit service, installation of safe and accessible bus stops, construction of bicycle and pedestrian pathways, rehabilitation of facilities for ferry service, restoration of rail vehicles and facilities, installation of intelligent transportation system components, and alternative transportation planning studies. Fiscal Year 2012: The 58 alternative transportation projects selected in FY 2011 and FY 2012 represent a diverse set of capital and planning projects. Forty-one are capital projects (\$34.9 million) and 17 are planning projects (\$5.9 million) The National Park Service is associated with 39 of the 58 selected projects (\$29.9 million). The U.S. Fish and Wildlife Service is involved with 8 projects (\$6.2 million).. The U.S. Forest Service is associated with 9 projects (3.1 million). The Bureau of Land Management sponsored 2 projects (\$1.2 million) and the Army Corps of Engineers sponsored 1 project (\$779,000). Two of the projects included above were sponsored by multiple agencies.

The types of projects funded in FY 2011 and FY 2012 are consistent with the types of projects selected in the past and include purchase of new and replacement buses for new transit service, installation of safe and accessible bus stops, construction of bicycle and pedestrian pathways, rehabilitation of facilities for ferry service, restoration of rail vehicles and facilities, installation of intelligent transportation system components, and alternative transportation planning studies. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Consistent with the considerations identified in Title 49, Chapter 53 at Section 5320(g)(2), evaluation of proposals will be based on the following criteria:

- &#61472; Demonstration of need
  - o Documentation of problem in plans and other reports
  - o Severity of problem
- Protection of natural and cultural resources
  - o Protection or improvement of cultural, historical, scenic, and natural resources
  - o Environmental benefits reduction of pollution (including air pollution, noise pollution, and visual pollution)
- &#61472; Operational efficiency and financial sustainability
  - o Evaluation of costs and benefits of all reasonable alternatives
  - o Financial planning (including for capital, operations, maintenance, and equipment replacement expenses; and revenues, including user fees)
  - o Cost effectiveness
  - o Innovative financing or joint development strategies
  - o Deferred maintenance issues
- Public benefits
  - o Enhancing visitor experience
  - o Mobility issues (reduces congestion, improves intermodal connectivity,

improves public access, including access for persons with disabilities)

- o Safety
- o Partnership with public and private entities, and benefits to gateway communities.

- Additional consideration will be given to projects based upon geographic diversity, balance between urban and rural projects, and balance in size of projects. Finally, projects that demonstrate innovative funding mechanisms or partnerships will be given extra consideration. The proposal template contains specific questions related to each of these criteria to guide the applicant in justifying the project.

## **20.521 NEW FREEDOM PROGRAM**

### **FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

### **AUTHORIZATION:**

Safe, Accountable, Efficient, Flexible Transportation Equity Act: A legacy for Users (SAFETEA-LU), 49 U.S.C 5317.

### **OBJECTIVES:**

To provide grants to recipients for new public transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et. Seq.) that assists individuals with disabilities with transportation, including transportation to and from jobs and employment support services.

### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

### **USES AND USE RESTRICTIONS:**

To be eligible, a project must either be a new public transportation service or a public transportation alternative beyond those required by the ADA and the project must assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services. Capital and operating expenses for projects that meet the purpose of the statute are eligible to be funded. The recipient may use up to 10 percent of apportioned funds for administration, planning, and technical assistance.

### **Applicant Eligibility:**

An eligible recipient is defined as a recipient to be designated by the Governor of the State in consultation with local officials and local public transportation providers in urbanized areas above 200,000 in population. In urbanized areas between 50,000 and 200,000 in population and nonurbanized (rural) areas, the State is the eligible recipient. Public agencies, nonprofit agencies, public transportation providers, private transportation providers, and human services transportation providers are eligible to be subrecipients under the New Freedom program.

### **Beneficiary Eligibility:**

Individuals with Disabilities.

### **Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in the local coordinated public transit human service transportation plan, an urbanized area's transportation improvement program (TIP), and in the Statewide transportation improvement program (STIP) approved by FTA and FHWA. Information must be provided on legal capacity; coordinated regional planning; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Pursuant to Section 102 (2) (C) of the National Environmental Policy Act of 1969 (Public Law 91-190), 42 U.S.C. 4332 (2) (c), Executive Order 11514 (34 FR 4247) of March 4, 1970, an environmental impact assessment and/or environmental impact statement may be required for construction projects. Applicants must coordinate with: the State or local agencies that administer the State program funded under part A of Title IV of the Social Security Act, public housing agencies, the community to be served and stakeholders. The program is covered under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of

contact in his or her State for more information on the process to be followed in applying for assistance under this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The project must be a product of the local coordinated public transit human services coordinated plan, competitively selected by the areas recipient, and included in the State Transportation Improvement Program prior to grant award. Recipients will submit applications electronically to the appropriate Federal Transit Administration, FTA, regional office. The FTA regional offices are listed in Appendix IV of the Catalog. Recipients will then distribute funding directly to the subrecipients. After the recipient has competitively selected projects to be funded, the recipient may officially request that FTA allow subrecipients that are eligible to apply directly to FTA for Section 5307 funds be allowed to apply directly to FTA for New Freedom funds awarded. Notification of the grant program may also be found at <http://www.grants.gov>.

### **Award Procedure:**

An FTA New Freedom grant is awarded and funds are obligated in an electronic grant agreement. The recipient must execute the grant agreement, and access FTA's electronic funds management system; the funds management system allows the grantee to drawdown funds after invoices are received. The grantee directs funds to subrecipients.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

It is a goal of the Federal Transit Administration to obligate grants within 36 days of the submission of a complete grant application.

### **Appeals:**

Not Applicable.

### **Renewals:**

Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Terms and conditions are delineated in the grant agreement. Funds are awarded using an electronic financial management system as funds are expended and invoices received. See the following for information on how assistance is awarded/released: Funds are appropriated annually. Grants may be amended to add newly available funds for a continuing project.

### **Reports:**

No reports are required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Pursuant to requirements established by the Office of Management and Budget (OMB), nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year with certain exceptions as determined by the

OMB. The Federal Transit Administration may also conduct its own audits.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

(Formula Grants) FY 11 \$92,307,555; FY 12 est \$92,500,000; and FY 13 est \$404,594,000 - (Grants) FY 11 \$92,307,555; FY 12 est. \$92,500,000; and FY 13 In FY 2013 Budget renamed Consolidated Grant program which includes New Freedom, Job Access and Elderly \$404,594,000.

**Range and Average of Financial Assistance:**

Project funding varies based on competitive selection process at State or urbanized area level. Urbanized area apportionments range from \$111 to \$2.2 M. for an average of \$150K. State apportionments for small urbanized areas range from \$644 to \$1.5 M for an average of \$115K, and for rural areas from \$459 to \$701K for an average of 160K.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FTA obligated 584 grant applications for \$80 million. Fiscal Year 2012: FTA expects to obligate approximately 575 grants for \$82 million. Fiscal Year 2013: FTA anticipates obligating approximately 575 for \$82 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

1.) Federal Transit Administration Transit Program Changes, Authorized Funding Levels and Implementation of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, 70 Fed. Reg. 71950, 71968 (Nov. 30, 2005). 2) FTA Circular 9045.1, New Freedom Program Guidelines and Application Instructions, enacted May 1, 2008.

**Regional or Local Office:**

See Regional Agency Offices. Region 1, Transportation Systems Center, Kendall Square, 55 Broadway, Suite 920 Cambridge, MA 02142-1093. Telephone: (617) 494-2055 Region 2, One Bowling Green, Room 429, New York, NY 10004-1415. Telephone: (212) 668-2170, Region 3, 1760 Market Street, Suite 500, Philadelphia, PA 19103-4124. Telephone: (215) 656-7100, Region 4, Atlanta Federal Center, Suite 17T50, 61 Forsyth St., S.W. Atlanta, GA 30303. Telephone: (404) 562-3500, Region 5, 200 West Adams Street, Suite 320, Chicago, IL 60606. Telephone: (312) 353-2789, Region 6, 819 Taylor Street, Room 8A36, Fort Worth, TX 76102. Telephone: (817) 978-0550, Region 7, 901 Locust Ste. 404, Kansas City, MO 64106. Telephone: (816) 329-3920, Region 8, 12300 West Dakota Ave. Suite 310 Lakewood, CO 80228-2583. Telephone: (720) 963-3300 Region 9, 201 Mission Street, Room 2210 San Francisco, CA 94105-1839. Telephone: (415) 744-3133 Region 10, Jackson Federal Building, 915 Second Avenue, Suite 3142, Seattle, WA 98174-1002. Telephone: (206) 220-7954 LOWER MANHATTAN RECOVERY OFFICE (LMRO), 1 Bowling Green, Room 436 New York, NY, 10004. Telephone: (212) 668-1770.

**Headquarters Office:**

Gil Williams 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Phone: (202) 366-0797

**Website Address:**

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3549.html](http://www.fta.dot.gov/funding/grants/grants_financing_3549.html)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects are characterized as Trip Based, Information Based and Capital Investment projects. Fiscal Year 2012: Projects are characterized as Trip Based, Information Based and Capital Investment projects. Fiscal Year 2013: Projects are characterized as Trip Based, Information Based and Capital Investment projects.

**CRITERIA FOR SELECTING PROPOSALS:**

Per Congressional designation, recipients must conduct a competition to determine which projects should be funded.

**20.522 ALTERNATIVES ANALYSIS**

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), 109 Stat. 59, 49 U.S.C 533.

**OBJECTIVES:**

To assist in financing the evaluation of all reasonable modal and multimodal alternatives and general alignment options for identified transportation needs in a particular, broadly defined travel corridor.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to assist State and local governmental authorities in conducting alternatives analyses as part of the early planning for capital projects for new fixed guideway systems and extensions to existing fixed guideway systems. 100% are set aside for activities.

**Applicant Eligibility:**

Public agencies, including States; municipalities and other subdivisions of States; public agencies and instrumentalities of one or more States; and public corporations, boards, and commissions established under State law. Applicant must have legal, financial, and technical capacity to carry out proposed project and maintain facilities and equipment purchased with Federal assistance. Private non-profit organizations are not directly eligible recipients.

**Beneficiary Eligibility:**

The general public, both users and non-users of public transportation and public agencies. Private consultants may participate through contractual arrangements with a public agency grantee.

**Credentials/Documentation:**

Resolution by an authorized public body approving the filing for an application; projects must be included in an urbanized area's Unified Planning Work Program (UPWP) and approved by FTA and FHWA. Applicant must complete certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement may be required for this program. An environmental impact statement may also be required upon completion of the review. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Award Procedure:**

Project funds may be allocated by Congress for specific projects. When applicable, a Notice of Funding Availability is published to announce the availability of discretionary funds and application process. The notification and application are also available at <http://www.grants.gov>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

FTA awards more than 80 percent of grants within 60 days of receipt of a

completed application, with an average processing time of 36 days or less.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is made available annually through the appropriations process. Grants may be amended to add newly available funds for a continuing project.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Funds for Alternatives Analysis projects are allocated based on statutory or discretionary basis. A grant may be made for up to 80 percent of total project cost.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Terms and conditions are contractually agreed on between FTA and the applicant. The grants may be awarded in one lump sum or in smaller increments as specified by the grantee. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Progress reports; (2) Financial status reports. SF-425. (1) Progress reports; (2) Financial status reports. SF-425. (1) Progress reports; (2) Financial status reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of final expenditure report, pending resolution of audit findings, all project contract documents, financial records, and supporting documents.

**Account Identification:**

69-8350-0-7-401.

**Obligations:**

(Project Grants (for specified projects)) FY 11 \$24,947,988; FY 12 est \$25,000,000; and FY 13 est \$0 - FY 11 act \$24,947,988; FY 12 \$25,000,000; and FY 13 \$0.

**Range and Average of Financial Assistance:**

In FY 2006 Congressional designations range from \$300,000 to \$2,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit the Federal Transit Administration (FTA) website or contact the appropriate FTA Region office for more information. See Federal Register/ Vol.70, No. 229/ Wednesday, November 30, 2005/ Notices.

**Regional or Local Office:**

See Regional Agency Offices. See list of regional office contacts located in Appendix IV.

**Headquarters Office:**

Maurice Foushee 1200 New Jersey Ave., S.E , Washington, District of Columbia 20590 Phone: (202) 366-1636

**Website Address:**

<http://www.fta.dot.gov>.

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction; 20.500 Federal Transit\_Capital Investment Grants; 20.505 Federal Transit\_Metropolitan Planning Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Major, non-recurring capital investment Congressional designation.

**20.523 CAPITAL ASSISTANCE PROGRAM FOR REDUCING ENERGY CONSUMPTION AND GREENHOUSE GAS EMISSIONS**

Transit Investments for Greenhouse Gas and Energy Reduction or "TIGGER" Grants

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

The Consolidated Appropriations Act, 2010 , Public Law 111-117.

**OBJECTIVES:**

To assist public agencies that provide transit service in financing the acquisition of capital assets to reduce energy consumption or greenhouse gas emissions.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Eligible projects include the purchase of transit capital assets that will reduce energy consumption or greenhouse gas emissions. Public Transportation Agencies. Applicants must have the legal, financial, and technical capacity to carry out the proposed project and maintain in a state of good repair any facilities and equipment purchased with federal assistance. The program is a 100% discretionary program.

**Applicant Eligibility:**

Only public transportation agencies are eligible recipients.

**Beneficiary Eligibility:**

Only public transportation agencies are eligible recipients.

**Credentials/Documentation:**

Grants and cooperative agreements: Initial proposal should include project objectives, background, and project description, including time schedule, budget, and applicant's organizational experience. Legal opinion and compliance with labor requirements are required later. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. This program is subject to the provisions of 49 CFR Part 18 for State and local governments.

**Award Procedure:**

After a competitive selection process, the Federal Transit Administrator, Federal Transit Administration, selects projects to be allocated funds. An FTA grant or cooperative agreement award obligating Federal funds is reflected in a grant agreement or cooperative agreement. To access funds, the recipient must execute the grant agreement or cooperative agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.



**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies with the complexity of the project. ARRA funded projects must be fully expended by September 30, 2015. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

(1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final by electronic filing. SF-425. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred. SF-425. (1) Quarterly financial; (2) quarterly or monthly progress; and (3) interim and final. Electronic filing is preferred.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients shall retain records for three years following submission of a final expenditure report, pending resolution of audit findings, all project contracts documents, financial records, and supporting records.

**Account Identification:**

69-1101-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$49,900,000; FY 12 est \$0; and FY 13 est \$50,000,000

**Range and Average of Financial Assistance:**

\$250,000 to \$10,800,000. Average: \$2,300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fiscal Year 2010 Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements; Notice published October 1, 2009. For other fiscal years, contact the FTA Office of Research Demonstration and Innovation to obtain the publication dates. FTA website [www.fta.dot.gov](http://www.fta.dot.gov). Other information will be made available upon request.

**Regional or Local Office:**

See Regional Agency Offices. Vince Valdes, Associate Administrator for Research, Demonstration and Innovation (TRI-1), Federal Transit Administration, Department of Transportation, 1200 New Jersey Avenue, S.E., Washington, DC 20590. Telephone: (202) 366-4052. Linda Wolfe, Office of Research, Demonstration and Innovation, (202) 366-8511.

**Headquarters Office:**

Linda Wolfe 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Phone: (202) 366-8511

**Website Address:**

<http://www.fta.dot.gov/research>

**RELATED PROGRAMS:**

20.500 Federal Transit\_Capital Investment Grants; 20.507 Federal Transit\_Formula Grants; 20.515 State Planning and Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected on the following criteria: energy savings of the project and/or greenhouse gas emission reductions of the project; innovation; cost; national applicability, project readiness, project management capabilities, return

on investment, and geographic diversity.

**20.524 PASSENGER RAIL INVESTMENT AND IMPROVEMENT (PRIIA) PROJECTS FOR WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (WMATA)**

PRIIA -- WMATA

**FEDERAL AGENCY:**

Federal Transit Administration (FTA), Department of Transportation

**AUTHORIZATION:**

Section 601 of the Passenger Rail Investment and Improvement Act of 2008, Public Law 110-432.

**OBJECTIVES:**

To assist in financing part of the capital and preventive maintenance projects included in the Capital Improvement Program approved by the Board of Directors of the Washington Metropolitan Area Transit Authority. The grants are used to address needed safety improvements including track repairs, track control systems, new rail cars, and escalator repairs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding provides for projects of the highest priority, that will improve the safety of the system, including but not limited to fixing the track signal system, replacing 1000 series cars, installing guarded turnouts, buying equipment for wayside worker protection, and installing rollback protection on cars that are not equipped with the safety feature. Grants shall not be used to increase the mileage of the rail system. The provisions of the federal grants are subject to the provisions of the equal annual contributions of capital funds from the District of Columbia, the Commonwealth of Virginia and the State of Maryland. Furthermore, the Federal grant shall be for 50 percent of the net project cost of the project involved, and the matching fund shall be provided in cash from sources other than Federal funds or operating revenues. The use of the funds shall be subject to the requirements applicable to capital projects for which funds are provided under Chapter 53 of title 49, United States Code, except to the extent that the Secretary of Transportation determines that the requirements are inconsistent with the purpose of the grants.

**Applicant Eligibility:**

This program is only for the Washington Metropolitan Area Transit Authority (Public Law 110-432, Section 601 of the Passenger Rail Investment and Improvement Act of 2008) for construction, renewal, and rehabilitation.

**Beneficiary Eligibility:**

WMATA was created by interstate compact, authorized by the United States Congress, and is jointly funded by the District of Columbia and jurisdictions in suburban Maryland and northern Virginia.

**Credentials/Documentation:**

Resolution by the Board of Directors of Washington Metropolitan Area Transit Authority (WMATA) approving the filing of application; projects must be included in the Capital Improvement Program approved by the Board of Directors of the WMATA; information must be provided on labor and relocation; legal opinion; coordinated regional planning documentation; maintenance certification; and compliance with certifications and assurances as compiled in FTA's Annual List of Certifications and Assurances. Cost will be in accordance with OMB Circular No. A-87 for State and local governments. Federal Register Notice FTA Fiscal Year Apportionments, Allocations, and Program Information, published annually contain the capital investment apportionments. For fiscal year 2012, the Federal Register notice with the full year's apportionment was published in January 2012. For other fiscal years, contact the FTA Regional Office to obtain the publication dates or the FTA website: [www.fta.dot.gov/](http://www.fta.dot.gov/). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. WMATA must submit a list of eligible projects for review and approval by the Secretary of Transportation or his/her designee prior to the submittal of a formal application. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-87 and 49 CFR Part 18 and FTA Circular 9300.1B. Applications are made to Washington Metropolitan Area Transit Authority (WMATA) by regional offices of the Federal Transit Administration listed in Appendix IV of the Catalog.

**Award Procedure:**

An FTA grant award obligating Federal funds is reflected in a grant agreement. Grants are awarded electronically using FTA's Transportation Electronic Award Management (TEAM) system, <http://ftateamweb.fta.dot.gov/fta-flash2b.html>. In order to access this system, a user name and password are needed and can be obtained by contacting the regional offices. Once the funds are reserved in TEAM and the project information has been reviewed and approved by Headquarters, the recipient must execute the grant agreement to access the funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 45 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding is made available annually through the appropriation process. The total amount authorized in the Passenger Rail Investment and Improvement Act of 2008 shall not exceed \$1,500,000,000 to be available in increments over 10 fiscal years beginning in fiscal year 2009, or until expended. A separate grant application is executed for each fiscal year as funds are appropriated by Congress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50.%. Matching Requirements: WMATA shall provide 50 percent of the net project cost to match each Federal grant provided. The matching funds shall be provided in cash from sources other than Federal Funds or revenues from the operation of public mass transportation systems. The provisions of the federal grants are subject to the provisions of the equal annual contributions of capital funds from the District of Columbia, the Commonwealth of Virginia and the State of Maryland. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are available until spent. See the following for information on how assistance is awarded/released:

**Reports:**

No program reports are required. No cash reports are required. Quarterly Milestone status reports are required. Quarterly Federal Financial Reports are required. FTA staff must review and sign off on all quarterly FFRs.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must record and maintain all financial transactions for a period of 3 years after the close of a grant. The grantee must maintain an asset inventory for the useful life of an capital acquisitions.

**Account Identification:**

69-1128-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$149,700,000; FY 12 est \$150,000,000; and FY 13 Estimate Not Available - FTA is processing the grant application for the FY11 funds.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Replace 1000 series rail cars with 7000 series rail cars. Rehabilitate tracks, rail cars, rail shop equipments, escalators, and elevators. Enhance rail car safety and reliability. Replace the Generation 2 General Railway Signal with a new system that will in compliance with NTSB recommended R-10-8. Rehabilitate rail segment from National Airport to Stadium Armory. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FTA Circular 5010.1D for Grants Management  
FTA Circular 4220.1F for Third-Party Procurements

**Regional or Local Office:**

See Regional Agency Offices. FTA Washington, DC Metropolitan Office  
1990 K Street NW, Suite 510  
Washington, DC 20006-1178

FTA Region 3 Office  
1760 Market Street, Suite 500  
Philadelphia, PA 19103-4124.

**Headquarters Office:**

Sylvia L. Marion, 1200 New Jersey Ave. S.E., Washington, District of Columbia 20590 Phone: (202) 366-6680.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Replacement rail cars, track maintenance equipment, train control and traction power equipment. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

No Data Available.

**20.600 STATE AND COMMUNITY HIGHWAY SAFETY**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1966, as amended, 23 U.S.C 402.

**OBJECTIVES:**

To provide a coordinated national highway safety program to reduce traffic crashes, deaths, injuries, and property damage.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Formula grant funds may be used for problems identified within the nine national priority program areas of Alcohol and other Drug Countermeasures, Police Traffic Services, Occupant Protection, Traffic Records, Emergency Medical Services, Motorcycle Safety, Pedestrian/Bicycle Safety, Speed Control and Roadway Safety. Other program areas identified by a State as constituting a highway safety problem in that State, e.g., pupil transportation safety programs, may be eligible for Federal funding, as encompassing a major highway safety problem in the State and for which effective countermeasures have been identified. The law provides that at least 40 percent of these Federal funds apportioned to a State for any fiscal year will be expended by the political subdivisions of such State. The law provides that at least 40 percent of these

Federal funds apportioned to a State for any fiscal year will be expended by the political subdivisions of such State.

**Applicant Eligibility:**

States, federally recognized Indian tribes, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, and the Virgin Islands.

**Beneficiary Eligibility:**

Political subdivisions, through the State Highway Safety Agencies.

**Credentials/Documentation:**

Performance plan approved by the agency is required and Highway Safety plan, certification statement, and Program Cost Summary. State Plan due date is September 1 for the formula grant program. 2 CFR Part 225 Cost Principles for State, Local, and Indian Tribal Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NHTSA Regional Administrators and FHWA Division Administrators review each State's Performance Plan and Highway Safety Plan. This program is exempt from the standard application forms required by the Government-wide Common Grant Rule for State, Local, and Indian Tribal Governments. Assistance from NHTSA and FHWA is continuously available to participants in this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Submission of Highway Safety Plan covering State and community highway safety activities for the year to NHTSA regional offices.

**Award Procedure:**

Awards are made by NHTSA Regional Administrators.

**Deadlines:**

Sep 01, 2012: The Highway Safety Plan is the Application. It is due to the Regional Office by September 1. Highway Safety Plans must be submitted by September 1 each year.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. N/A.

**Appeals:**

Appeals of decisions by NHTSA Regional Administrators are to the NHTSA Associate Administrator for Regional Operations and Program Delivery.

**Renewals:**

Each year, States submit Performance Plans and Highway Safety Plans as part of continuing formula grant program.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 CFR, Chapter 1240.11, 1240.12, 1240.13. Matching Requirements: Percent: 75%. 75 percent apportioned on total resident population; 25 percent apportioned against public road mileage in States. Federal share shall not exceed 80 percent or applicable sliding scale. This program does not have MOE requirements. No MOE, however has total allocations of over \$100 million.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of funds method. Funds placed under obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

States are required to submit annual program reports to the Federal Highway Administration and to the National Highway Traffic Safety Administration. No cash reports are required. Progress reports are not applicable. SF-425, expenditure reports are done electronically in the NHTSA Grants Tracking System. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records relating to the program shall be retained for a period not less than 3 years from the date of submission of final financial report.

**Account Identification:**

69-8020-0-7-401; 69-8019-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$235,000,000; FY 12 est \$235,000,000; and FY 13 est \$235,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: All States, Territories, DC and the BIA received Section 402 funds to improve traffic safety programs to reduce deaths and injuries on our highways. Fiscal Year 2012: Additional funds will be awarded to all States, Territories, DC and the BIA received Section 402 funds to improve traffic safety programs to reduce deaths and injuries on our highways. Fiscal Year 2013: Additional funds will be awarded to all States, Territories, DC and the BIA received Section 402 funds to improve traffic safety programs to reduce deaths and injuries on our highways.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR Chapter II, State and Community Highway Safety Grant Program; Manual on Uniform Traffic Control Devices; Handbook of Highway Safety Design and Operating Practice, available from Government Printing Office, Washington, DC 20402. SAFETEA-LU.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of National Highway Traffic Safety Administration regional office addresses.

**Headquarters Office:**

Mary D. Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Phone: (202) 366-2715.

**Website Address:**

<http://www.nhtsa.whatsapp/fedassist/index.html>

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funds are being used for selective traffic enforcement programs including equipment, training of police personnel and overtime salaries; upgrading of emergency medical services including training of EMS personnel and salaries for statewide EMS coordinators; programs to reduce alcohol-related crashes including equipment, training, personnel, studies and public education; traffic records systems including surveys, system designs and implementation, equipment, personnel and training; occupant protection programs including public education relating to the use of safety belts and child safety seats, program implementation such as child safety seat checkpoints and loaner programs, personnel and training. Fiscal Year 2012: Funds will be used for programs to increase occupant restraint use including safety belts and child safety seats, decrease the incidence of impaired driving, to develop and improve traffic records systems, to improve EMS programs, to reduce the number of pedestrian and bicycle crashes, to improve motorcycle rider safety and for selective traffic enforcement programs. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Federal/State relationship for the highway safety grant program is a partnership. Each State is given flexibility in the administration of its own highway safety program. Federal funds are obligated in support of a highway

safety program based on problems identified by the State. States have latitude in determining projects upon which they spend their Federal monies.

## **20.601 ALCOHOL IMPAIRED DRIVING COUNTERMEASURES INCENTIVE GRANTS I**

### **FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Section 2007, Public Law 109-59, 23 U.S.C 410.

### **OBJECTIVES:**

To encourage States to adopt effective programs to reduce crashes resulting from persons driving while under the influence of alcohol.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement effective programs to reduce drunk and drugged driving, in compliance with established criteria.

### **Applicant Eligibility:**

States, Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. States are provided with two alternative means to qualify for a Section 410 grant. Under the first alternative, States may qualify as a low fatality rate State if they have an alcohol-related fatality rate of 0.5 or less per 100 million vehicle miles traveled (VMT). Under the second alternative, States may qualify as a programmatic State if they demonstrate that they meet three of eight grant criteria for fiscal year 2006, four of eight grant criteria for fiscal year 2007, and five of eight grant criteria for fiscal years 2008, 2009 And for the remainder of the current authorization. Qualifying under both alternatives would not entitle the State to receive additional grant funds. SAFETEA-LU directs that States with low alcohol-related fatality rates, based on the agency's Fatality Analysis Reporting System (FARS), be awarded grants without the need to satisfy any of these programmatic criteria. There is also an additional Section 410 grant available to assist the 10 States with the highest impaired driving related fatalities as determined by the most recent FARS data. A High fatality rate State may also apply as a programmatic State.

### **Beneficiary Eligibility:**

State Highway Safety Agency.

### **Credentials/Documentation:**

State submits certification and application that it meets eligibility requirements; after being informed by the National Highway Traffic Safety Administration (NHTSA) that it is eligible for a grant, the State describes the programs it will implement and fund in the Annual Highway Safety Plan. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. High Fatality Rate States only must submit a plan for grant expenditures with the application.

### **Award Procedure:**

The State submits information that reflects its eligibility for the award based on the criteria for which it is applying. NHTSA staff review the information to determine the eligibility of the State. If the State is deemed eligible to receive an award, it will be notified by the Region and will also receive an official letter of award from the NHTSA Administrator. The release of grant funds shall be

subject to the availability of funds for that fiscal year.

### **Deadlines:**

Aug 01, 2012 Applications would be required to be submitted to the agency no later than August 1 of the fiscal year in which the States are applying for grant funds.

### **Range of Approval/Disapproval Time:**

From 30 to 60 days. Applicant should receive a response, from the agency, between 30 to 60 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

States are eligible for up to 4 years under the 410 program or until the end of the current authorization. Certification and plan must be approved each year.

### **Formula and Matching Requirements:**

Statutory Formula: Title 23 CFR, Chapter 4, Part 1313.

Matching Requirements: The first and second year of the grant the States provide a 25% match. For the third and fourth year the States provide a 50% match and for the fifth, sixth, seventh and eighth year the States provide a 75% match.

This program has MOE requirements, see funding agency for further details.

### **Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Annual program plan for next year's funding. No cash reports are required. A progress report on the prior year's program and accomplishments is required in the application. for high fatality rate States only. All other States must report in their Annual Highway Safety Report. No expenditure reports are required. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Records relating to the program shall be retained for a period not less than 3 years from the date of submission of final financial report.

### **Account Identification:**

69-8020-0-7-401.

### **Obligations:**

(Project Grants) FY 11 \$138,500,500; FY 12 est \$138,500,500; and FY 13 Estimate Not Available - FY 2011-138,500,000 for grants plus \$500,00 for RPD  
FY2012 - based on funding provided but should be 138,500,000 for grants plus \$500,00 for RPD.

### **Range and Average of Financial Assistance:**

\$972,388 to \$17,973,219.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 2011 awarded 28 States and the District of Columbia are low fatality rate States. Fiscal Year 2012: 2012 not awarded but projection is 29 States and the District of Columbia are low fatality rate States. Fiscal Year 2013: No Current Data Available

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR Chapter 4 Part 1313.

### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of

National Highway Traffic Safety Administration regional office addresses.

**Headquarters Office:**

Mary D. Gunnels, 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

www.nhtsa.dot.gov

**RELATED PROGRAMS:**

20.600 State and Community Highway Safety

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Driving while intoxicated (DWI) prevention programs with special emphasis on law enforcement of drunk driving laws, and public awareness, advertising and education about such laws; police training in a variety of drunk and impaired driving issues; underage drinking, establishment of DWI course and the procurement of technology and equipment, including video equipment, and passive alcohol sensors. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States must meet a certain number of criteria established by statute and regulation each year including, for example, prompt license suspension for drunk driving, mandatory sentencing for repeat drunk driving offenders and self-sustaining drunk driving prevention programs, improvement in Blood Alcohol Content (BAC) testing rates, an increase in the number of DWI courts and improvements in statewide high visibility enforcement coverage.

**20.602 OCCUPANT PROTECTION INCENTIVE GRANTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59, 23 U.S.C 402.

**OBJECTIVES:**

To encourage States to adopt effective programs to reduce highway deaths and injuries resulting from individuals riding unrestrained or improperly restrained in motor vehicles.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to implement and enforce occupant protection programs, in compliance with established criteria.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, American Samoa, Guam, Northern Marianas, Virgin Islands, and the Bureau of Indian Affairs.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

A State submits certification and application that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

NHTSA Regional Administrator coordinates qualification process with the Office of Injury Control Operations and Resources. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Certifications, signed by the Governor's Representative for Highway Safety, are due no later than February 15 of each fiscal year to the appropriate NHTSA Regional Administrator. To apply for grant funds in a fiscal year, a State must submit the certification required by Federal Register, Vol. 7, No. 218, Monday, November 14, 2006, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 405 grant. The letter also describes the amount of the grant award.

**Deadlines:**

Feb 15, 2013 Application proposals and certifications are due by February 15 of each year.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Program plan and funds should be obligated within 30 days of receipt of award letter.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for up to 6 years under this program. They must be certified and a plan must be submitted each year.

**Formula and Matching Requirements:**

Statutory Formula: Title 23 CFR, Chapter 401, Part 1345.

Matching Requirements: Under the 405 program, basic grant funding is up to 100 percent of their Section 402 apportionment for FY 2003. The Federal share shall not exceed 75 percent in the first and second years, 50 percent in the third and fourth years, and 25 percent in the fifth and subsequent years.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments. Cash reports are not applicable. Annual program plan for next year's funding must include a progress report on the prior year's program and accomplishments. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants) FY 11 \$25,000,000; FY 12 est \$25,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The range is \$ 74,843 3,109,419.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 39 States, DC, PR, VA, CMNI, Guam, and AS received S. 405 grants in FY 2011. Accomplishments will be reported on in their Fy 2011 HSP Annual Report that was due 12/31/11. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Part 1345, Section 2004, Public Law 109-59, as amended, 23 U.S.C. 402.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi D. Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: Maggi.Gunnels@dot.gov Phone: (202) 366-2121

**Website Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 39 States, DC, PR, VA, CMNI, Guam, and AS received S. 405 grants in FY 2011. Accomplishments will be reported on in their Fy 2011 HSP Annual Report was due 12/31/11. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States must meet 4 out of 6 criteria established by statute and regulation including safety belt use law for all passengers, primary safety belt use law, minimum fine or penalty points, statewide special traffic enforcement programs, child passenger protection education program, and child passenger protection law.

**20.607 ALCOHOL OPEN CONTAINER REQUIREMENTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1998, as amended, 23 U.S.C 154.

**OBJECTIVES:**

To encourage States to enact and enforce an alcohol open container law.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A State may elect to use all or part of its transferred funds for activities eligible under Section 154 Hazard Elimination program. Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A State may elect to use all or part of its transferred funds for activities eligible under Section 154 Hazard Elimination program.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

If a State has not enacted and is not enforcing an Open Container Law, then a State is subject to the penalty transfer program. After being informed by NHTSA that it is subject to the penalty transfer, the State submits to the agency a split letter advising the agency of the intent to split funds between alcohol programs or hazard elimination programs (FHWA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Office of Regional Operations and Program Delivery coordinate the transfer penalty funding process with the Federal Highway Administration. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs

**Award Procedure:**

Once the State provides the agency with a split letter to NHTSA, the State will be given access to the transfer and can obligate the funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 1270.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$120,000,000; FY 12 est \$119,776,230; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funding of projects for alcohol-impaired driving countermeasures, funding of law enforcement agencies for enforcement of laws, training of law enforcement for alcohol-impaired driving countermeasures, purchase of equipment, sobriety checkpoints and implementation of impaired driving special enforcement emphasis. Fiscal Year 2012: Projection \$120,000,000. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR 1270.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of NHTSA.

**Headquarters Office:**

Mary D. Gunnels, 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://www.nhtsa/whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funded DUI focused traffic bureau, DUI enforcement, media campaigns, DUI courts, judicial and prosecutor training, and impaired driving prevention programs. Fiscal Year 2012: Continue to fund impaired driving enforcement, media campaigns, DUI courts, DWI tracking systems, ignition interlock monitoring, and law enforcement training. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.608 MINIMUM PENALTIES FOR REPEAT OFFENDERS FOR DRIVING WHILE INTOXICATED**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1998 as amended, 23 U.S.C 164.

**OBJECTIVES:**

To encourage States to enact and enforce Repeat Intoxicated Offender laws.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws. A state may elect to use all or part of its transferred funds for activities eligible under Section 152 Hazard Elimination program. Funds transferred from NHTSA must be used for alcohol-impaired driving countermeasures or enforcement of driving while intoxicated (DWI), driving under the influence (DUI) and other related laws.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety agencies.

**Credentials/Documentation:**

If a State has not enacted and is not enforcing a Repeat Intoxicated Driver Law, then a state meets eligibility requirements. After being informed by NHTSA

that it is subject to the penalty transfer eligible for a grant, the State submits to the agency a split letter advising the agency of the intent to split funds between alcohol programs or hazard elimination programs (FHWA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. NHTSA Office of Regional Operations and Program Delivery coordinated the program with the Federal Highway Administration. The program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs.

**Award Procedure:**

Once the State provides a split letter to NHTSA, the State will be given access to the transfer funds and can obligate the funds.

**Deadlines:**

Sep 30, 2012 States must have a compliant law by September 30 each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response from the agency between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Part 164.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual report required under the section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. No cash reports are required. No progress reports are required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 11 \$214,624,672; FY 12 est \$215,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The grants range from \$2,489,000 - \$54,546,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funds have been used for alcohol-impaired driving countermeasures as well as funding law enforcement agencies for enforcement of laws prohibiting driving while intoxicated or driving under the influence and other related laws. Fiscal Year 2012: Projection: \$215,000,000. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

23 CFR 1270.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of NHTSA.

**Headquarters Office:**

Mary D. Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: Maggi.gunnels@dot.gov Phone: (202) 366-2121

**Website Address:**

<http://www.nhtsa/whatsup/fedassist/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Law enforcement training and education: DWI enforcement Media Campaigns, DWI Courts, Breath Test Enhancement, Youth Coordinator and Ignition Interlock Programs. Fiscal Year 2012: Continue impaired driving prevention, including enforcement, equipment and education and funding of DUI prosecutors. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.609 SAFETY BELT PERFORMANCE GRANTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 406, 23 U.S.C 408.

**OBJECTIVES:**

Increase safety belt use by encouraging States to enact and enforce primary safety belt laws. A primary safety belt law permits law enforcement officers to stop and cite motorists for failing to wear safety belts without requiring that some other motor vehicle violation first be observed.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A state may use grant funds for any safety purpose under Title 23 or for any project that corrects or improves a hazardous roadway location or feature or proactively addresses highway safety problems. However, at least \$1 million of amounts received by States must be obligated for behavioral highway safety activities. At least \$1 million of amounts received by States must be obligated for behavioral highway safety activities.

**Applicant Eligibility:**

The 50 States, District of Columbia, Puerto Rico, American Samoa, the Commonwealth of the Northern Mariana Islands, Guam and the Virgin Islands are eligible to apply for a grant.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

States that apply as either New Primary Law States or Pre-2003 Primary Law States must submit a certification that their primary safety belt law is in effect and is being enforced, and must also provide a citation where a copy of the law may be obtained for review. States that apply as Safety Belt Performance

States must submit the result of a statewide safety belt observational survey for each of the two calendar years preceding the fiscal year of the grant application, along with certifications that the surveys were conducted in conformance with NHTSA's Uniform Criteria for State Observational Surveys of Seat Belt Use (23 CFR Part 1340). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State is eligible for a grant if it did not have a conforming primary safety belt law for all passenger motor vehicles in effect on or before December 31, 2002, and either: Enacts for the first time after December 31, 2002, and has in effect and is enforcing a conforming primary safety belt law for all passenger motor vehicles (States meeting this criterion are called New Primary Law States); or, After December 31, 2005, has a State safety belt use rate of 85 percent or more for each of the 2 consecutive calendar years immediately preceding the fiscal year of the grant (States meeting this criterion are called Safety Belt Performance States). A State that meets either of the above two criteria will receive a one-time grant equal to 475 percent of the State's apportionment under Section 402 for fiscal year 2003. If a State does not meet either of the above two criteria, and if funds remain after grants have been awarded to all States that do meet either of the two criteria by July 1 each year, the State will qualify for a one-time grant equal to 200 percent of its apportionment under Section 402 for fiscal year 2003 if it has in effect and is enforcing a conforming primary safety belt law for all passenger motor vehicles that was in effect before January 1, 2003 (States in this category are called Pre-2003 Primary Law States). States that are applying as either New Primary Law States or Pre-2003 Primary Law States must submit the required certification and citation (see Credentials / Documentation above) by July 1 of the year of the grant application. States applying as Safety Belt Performance States must submit the survey result and related certification for each of the two consecutive calendar years preceding the year of the grant application by March 1 of the calendar year immediately following the year in which the survey was conducted.

**Award Procedure:**

NHTSA will review the information contained in each State's application for compliance with Section 406 and notify qualifying States in writing of grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 406.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the



prior year's Section 406 program for behavioral highway safety activities. No cash reports are required. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's Section 406 program for behavioral highway safety activities. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$1,000,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The range for these grants are \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the full 406 amount (\$1M) was obligated to Child Passenger Safety to be used for outreach and education grants to be given to organizations that work with minorities. This would include to development of culturally appropriate safety messages, increasing use of appropriate child passenger safety restraint systems among children under eight, and increasing awareness of the booster seat law. Fiscal Year 2012: In FY2012, the full 406 funds in the amount of (1M) has been designated to be used for the Child Passenger Safety Program. Funds to sub-grants should be awarded by the end of the fiscal year. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59; 23 U.S.C. 408.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No new projects were funded with FY2011 money. All current projects were funded by past obligations. Fiscal Year 2012: Rhode Island Highway Safety Office, received seventeen applications. They are now undergoing review. Selections will be made prior to the end of FY2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications from States attempting to qualify as New Primary Law States or Pre-2003 Primary Law States will be reviewed to determine if the State is enforcing a primary safety belt use law that applies to all passenger motor vehicles. Applications from States attempting to qualify as Safety Belt Performance States will be reviewed to determine if the State' safety belt use

rate was at or above 85 percent during each of the two consecutive calendar years immediately preceding the year of the grant application.

**20.610 STATE TRAFFIC SAFETY INFORMATION SYSTEM IMPROVEMENT GRANTS**

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, 23 U.S.C 408.

**OBJECTIVES:**

Encourage States to adopt and implement effective programs to improve the timeliness, accuracy, completeness, uniformity, integration and accessibility of State data; to evaluate the effectiveness of efforts to make such improvements; to link these State data systems, including traffic records, with other data systems within the State; and to improve the compatibility of the State data systems with national data systems and data systems of other States to enhance the ability to observe and analyze national trends in crash occurrences, rates, outcomes, and circumstances.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A State may use grant funds only to implement data improvement programs. A State may use grant funds only to implement data improvement programs.

**Applicant Eligibility:**

To qualify for a first-year grant, a State must demonstrate that it has an established multi-disciplinary highway safety data and traffic records coordinating committee; a developed multi-year safety data and traffic records strategic plan, approved by the coordinating committee and containing performance-based measures; certify that the State has adopted and is using the model data elements determined by the Secretary to be useful, or certify that grant funds will be used toward adopting and using the most elements practicable. To qualify for a subsequent-year grant, a State must certify that an assessment or audit of the State traffic records system has been conducted or updated within the preceding 5 years; certify that the coordinating committee continues to operate and supports the multi-year plan; specify how the grant funds and any other funds of the State will support the multi-year strategic plan; demonstrate measurable progress toward achieving the goals and objectives identified in the multi-year plan; and submit a report, showing measurable progress in the implementation of the multi-year plan. The 50 States, District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and Indian tribes through the Bureau of Indian Affairs are eligible to apply for a grant.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

A State would submit information unique to each criterion for which it chooses to demonstrate compliance. After being informed by NHTSA that it is eligible for a grant, the state submits to the agency a plan that describes the programs the state will implement using these funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To apply for a first fiscal year grant, a State must submit the certification required by Appendix 1, signed by the Governor's Representative for Safety, to the appropriate NHTSA

Administrator no later than June 15 of the fiscal year. To apply for a successive fiscal year grant, a State must submit the certification required by Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Administrator no later than June 15 of the fiscal year.

**Award Procedure:**

NHTSA will review each State's application for compliance with section 408 and notify qualifying States in writing of grant awards. SAFETEA-LU provides that the amount of each first fiscal year grant shall be the higher of \$300,000 or an amount determined by multiplying the amount appropriated to carry out the section 408 Program for that fiscal year by the ratio that the funds appropriated to the State under Section 402 for FY 2003 bears to the funds apportioned to all eligible States under Section 402 for FY 2003. Each State that qualifies for a successive fiscal year shall be eligible to receive the higher of \$500,000 or an amount determined by multiplying the amount appropriated to carry out the Section 408 Program for that fiscal year by the ratio that the funds apportioned to all eligible States under Section 402 for FY 2003.

**Deadlines:**

June 15, 2012 States must submit their certifications by June 15 (each year).

**Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

States are eligible for this grant for up to four years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. SF-425. The Annual Report required under Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. SF-425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-0605-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$34,500,000; FY 12 est \$34,500,000; and FY 13 Estimate Not Available - FY 2011 estimate: \$34,500,000.

**Range and Average of Financial Assistance:**

The range is \$500.00- \$2,344,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Estimated 65 documented instances of the improvement of some attribute of data quality (accuracy, timeliness, completeness, uniformity,

accessibility or integration) in one or more core traffic records database (Crash, Driver, Vehicle, Roadway, Citation / Adjudication or EMS / Injury Surveillance), collectively across 50 States, DC, Puerto Rico and 4 territories). Fiscal Year 2012: A minimum of 56 documented instances of the improvement of some attribute of data quality in one or more core traffic records database, collectively across 50 States, DC, Puerto Rico and 4 territories, assuming the program continues through FY 2012. Expenditure of \$34,500,000 in grant awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Public Law 109-59; 23 U.S.C. 408.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Mary D. Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://webster.nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Approximately 1,000 projects pursuing improvement of one or more attribute of data quality (accuracy, timeliness, completeness, uniformity, accessibility and integration) in one or more core traffic records database (Crash, Driver, Vehicle, Roadway, Citation / Adjudication and EMS / Injury Surveillance), collectively across 50 States, DC, Puerto Rico and 4 territories. Fiscal Year 2012: Approximately 1,000 projects pursuing improvement of one or more attribute of data quality (accuracy, timeliness, completeness, uniformity, accessibility and integration) in one or more core traffic records database (Crash, Driver, Vehicle, Roadway, Citation / Adjudication and EMS / Injury Surveillance), collectively across 50 States, DC, Puerto Rico and 4 territories, assuming the program continues through FY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the section 408 by demonstrating that it has an established Traffic Records Coordinating Committee (TRCC), a multi-year safety data and traffic records strategic plan approved by the TRCC, certify that the State has adopted and is using the Model Minimum Uniform Crash Criteria (MMUCC) or certify that it will use grant funds toward adopting and using the most elements practicable. To qualify in subsequent years, a State must certify that an assessment or audit of the State traffic records system has been conducted in the past five years, certify that the TRCC continues to support and operate the multi-year plan and submit a report showing measurable progress in the implementation of the multi-year plan.

**20.611 INCENTIVE GRANT PROGRAM TO PROHIBIT RACIAL PROFILING**

(Section 1906)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Public Law 109-59, 23 U.S.C 402.

**OBJECTIVES:**

Encourage States to enact and enforce laws that prohibit the use of racial profiling in the enforcement of traffic laws on Federal-aid highways, and to maintain and allow public inspection of statistics on motor vehicle stops.

**TYPES OF ASSISTANCE:**

## Formula Grants

### **USES AND USE RESTRICTIONS:**

Incentive grant funds are available to States to enact and enforce laws to prohibit racial profiling, in compliance with the following established criteria. Law States may use Section 1906 grant funds for: collecting and maintaining data on traffic stops; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. Assurances States may use Section 1906 grant funds for: funding activities to prohibit racial profiling in the enforcement of State laws regulating the use of Federal-aid highways; collecting, maintaining and providing public access to traffic stop data; evaluating the results of such data; and developing and implementing programs to reduce the occurrence of racial profiling, including programs to train law enforcement officers. A State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State. A State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an Assurances State.

### **Applicant Eligibility:**

This Grant is available to the 50 states, the District of Columbia, Puerto Rico, the Virgin Islands, Guam American Samoa, and the Commonwealth of the Northern Mariana Islands.

### **Beneficiary Eligibility:**

State Highway Safety agencies.

### **Credentials/Documentation:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. All certifications must be submitted by July 1 for each fiscal year. To apply for grant funds in a fiscal year, a Law State must submit the certification required by Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006, Appendix 1 and an Assurances State must submit the certification required by Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006, Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

### **Award Procedure:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

### **Deadlines:**

Jul 01, 2012 Applications must be received by the appropriate NHTSA Regional Office on or before July 1 of the fiscal year for which a State seeks a grant.

### **Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Certifications must be submitted each year; however, a State may not receive a grant for more than two fiscal years if it is qualifying for the grant as an

Assurances State.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

### **Reports:**

No program reports are required. No cash reports are required. The Annual Report required under the Section 402 State and Community Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments. No expenditure reports are required. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

### **Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

### **Account Identification:**

69-8020-0-7-401.

### **Obligations:**

(Formula Grants) FY 11 \$1,188,437; FY 12 est \$7,500,000; and FY 13 Estimate Not Available

### **Range and Average of Financial Assistance:**

Grant award ranges from \$885,460- \$454,170. Average grant is for \$668,544.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 1906, Pub. L. 109-59, as amended, 23 U.S.C. 402. Federal Register, Vol. 71, No. 22, Thursday, February 2, 2006.

### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

### **Headquarters Office:**

Mary D. Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

### **Website Address:**

<http://www.nhtsa.dot.gov>.

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

### **CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the Section 1906 Program in one of two ways: (a) by enacting and enforcing a law that

prohibits the use of racial profiling in the enforcement of State laws regulating the use of Federal-aid highways and maintaining and allowing public inspection of statistical information on the race and ethnicity of the driver and any passengers for each such motor vehicle stop made by a law enforcement officer on a Federal-aid highway (a Law State); or (b) by providing satisfactory assurances to the Secretary that the State is undertaking activities to prohibit racial profiling and to maintain and provide public access to data on the race and ethnicity of the driver and passengers for each motor vehicle stop made by a law enforcement officer on a Federal-aid highway (an Assurances State).

## **20.612 INCENTIVE GRANT PROGRAM TO INCREASE MOTORCYCLIST SAFETY**

(Section 2010)

### **FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Public Law 109-59.

### **OBJECTIVES:**

Encourage States to adopt and implement effective programs to reduce the number of single and multi-vehicle crashes involving motorcyclists.

### **TYPES OF ASSISTANCE:**

Formula Grants

### **USES AND USE RESTRICTIONS:**

As specified in SAFETEA-LU, a State may use Section 2010 grant funds only for motorcyclist safety training and motorcyclist awareness programs, including: (1) Improvements to motorcyclist safety training curricula; (2) Improvements in program delivery of motorcycle training to both urban and rural areas (including procurement or repair of practice motorcycles; instructional materials; mobile training units; and leasing or purchasing facilities for closed-course motorcycle skill training); (3) Measures designed to increase the recruitment or retention of motorcyclist safety training instructors; and (4) Public awareness, public service announcements, and other outreach programs to enhance driver awareness of motorcyclists. A State may use Section 2010 grant funds only for motorcyclist safety training and motorcyclist awareness programs, including: (1) Improvements to motorcyclist safety training curricula; (2) Improvements in program delivery of motorcycle training to both urban and rural areas (including procurement or repair of practice motorcycles; instructional materials; mobile training units; and leasing or purchasing facilities for closed-course motorcycle skill training); (3) Measures designed to increase the recruitment or retention of motorcyclist safety training instructors; and (4) Public awareness, public service announcements, and other outreach programs to enhance driver awareness of motorcyclists.

### **Applicant Eligibility:**

This Grant is available to the 50 states, the District of Columbia, and Puerto Rico.

### **Beneficiary Eligibility:**

State Highway Safety Agencies.

### **Credentials/Documentation:**

Eligibility for the Section 2010 grants is based on 6 specified grant criteria. To qualify for a Section 2010 grant for the first fiscal year the State seeks to qualify, it must demonstrate compliance with at least 1 of the 6 grant criteria. To qualify for a Section 2010 grant for the second and subsequent fiscal years that it seeks to qualify, a State must demonstrate compliance with at least 2 of the 6 grant criteria. A State would submit information unique to each criterion for which it chooses to demonstrate compliance. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. To apply for grant funds in a fiscal year, a State must submit a completed application to the appropriate NHTSA Regional Administrator by the due date. NHTSA will review each State's application for compliance with Section 2010 and notify qualifying States in writing of grant awards. Upon initial review of the application, the proposed procedures would allow NHTSA to request additional information from the State prior to making a determination of award in order to clarify compliance with the statutory criteria and grant application procedures. SAFETEA-LU specifies that the amount of a grant made to a State for a fiscal year under this grant program may not be less than \$100,000 and may not exceed 25 percent of the amount apportioned to the State for fiscal year 2003 under section 402 of title 23, United States Code. However, the release of the full grant amounts under Section 2010 is subject to the availability of funding for each fiscal year.

### **Award Procedure:**

NHTSA will review each State's application for compliance with Section 2010 and notify qualifying States in writing of grant awards. Once the State is notified, it will submit to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended.

### **Deadlines:**

Aug 01, 2012 Applications must be received by the appropriate NHTSA Regional Office on or before August 1 of the fiscal year for which a State seeks a grant.

### **Range of Approval/Disapproval Time:**

Applicant should receive a response, from the agency, between 30 to 90 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Certifications must be submitted each year showing that changes have not been made to any information related to the criterion or criteria previously satisfied. A State may certify each subsequent year of the grant program.

### **Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 402.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

### **Reports:**

No program reports are required. SF-425. No progress reports are required. Expenditure reports are entered directly into the ROPD Grants Management System. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

### **Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract

documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants) FY 11 \$7,000,000; FY 12 est \$7,000,000; and FY 13 est \$3,975,000

**Range and Average of Financial Assistance:**

The range for these grants are \$100,000 - \$482,959.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Awarded funding to 48 States and Puerto Rico. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2010, Public Law 109-59. Regulations are forthcoming and will be published in the 23 CFR Part 1350.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Maggi Gunnels, 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://www.nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funding awarded to 48 States and Puerto Rico. Accomplishments are the in the 2012 HSP Annual Evaluation Report. Fiscal Year 2012: Expect to award funding to 48 States and Puerto Rico. Accomplishments will be reported in their FY 2013 Annual Evaluation Report. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

SAFETEA-LU provides that a State may qualify for a grant under the Section 2010 by satisfying one or more of six criteria. States must satisfy one criterion in the first year and two criteria in the subsequent years. In sum, the criteria are: (1) offering effective motorcycle rider training courses, (2) developing an effective motorcyclists awareness program, (3) showing a reduction in of fatalities and crashes involving motorcycles, (4) implementing an impaired driving program, (5) showing a reduction of fatalities and accidents involving impaired motorcyclists, and/or (6) showing that all fees collected from motorcyclists are used for motorcyclists safety training and motorcycle awareness. A State must submit documents unique to each criterion the State wishes to qualify showing how the State demonstrates compliance with the criterion.

**20.613 CHILD SAFETY AND CHILD BOOSTER SEATS INCENTIVE GRANTS**

(Section 2011)

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Public Law 109-59, 23 U.S.C 402.

**OBJECTIVES:**

To encourage States to enact and enforce a child restraint law that requires children up to 65 pounds and under 8 years of age to be properly restrained in a child restraint, unless they are 4' 9" tall.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

No more than 50 percent of the grant a State receives in a fiscal year shall be used to fund programs for purchasing and distributing child safety seats and restraints to low income families. The remaining amounts can be used to carry out child safety seat and child restraint program, including the following: enforcement of child restraint laws; training child passenger safety professionals, police officers, fire and emergency medical personnel, educators and parents concerning child safety seats and child restraints; and educating the public concerning the proper use and installation of child safety seats and child restraints. No more than 50 percent of the grant a State receives in a fiscal year shall be used to fund programs for purchasing and distributing child safety seats and restraints to low income families.

**Applicant Eligibility:**

The grant program is available to the 50 States, the District of Columbia and Puerto Rico.

**Beneficiary Eligibility:**

State Highway Safety Agencies.

**Credentials/Documentation:**

States submit certifications that it meets eligibility requirements no later than July 1 of each fiscal year. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Certifications, signed by the Governor's Representative for Highway Safety, are due no later than July 1 of each fiscal year to the appropriate NHTSA Regional Administrator. To apply for grant funds in a fiscal year, a New or Changed Law State must submit the certification required by Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006, Appendix 1 and an Unchanged Law State must submit the certification required by Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006, Appendix 2, signed by the Governor's Representative for Highway Safety, to the appropriate NHTSA Regional Administrator.

**Award Procedure:**

A State submits certification that it meets eligibility requirements; after being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted to the Electronic Transfer of Funds method. Funds placed in obligation are available until expended. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 2011 grant. The letter also describes the amount of the grant award.

**Deadlines:**

Jul 01, 2012 Certifications must be received by the appropriate NHTSA Regional Administrator no later than July 1 of each fiscal year.

**Range of Approval/Disapproval Time:**

Applicants should receive a response from the agency between 30 to 90 days of receipt of certification whether their child passenger safety laws meet the Section 2011 criteria.

**Appeals:**

Not Applicable.

**Renewals:**

Certifications must be submitted each year no later than July 1 of that fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 402.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal share is reimbursed on claims submitted in vouchers covering the eligible costs incurred. All participants have converted to the Electronic Transfer of Funds method. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. Grants Tracking System. The Annual Evaluation Report required under the Section 402 State and Ccommunity Highway Safety formula grant program must include a progress report on the prior year's program and accomplishments of the Section 2011 grant program. Grants Tracking System. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with the Federal Acquisition Regulations.

**Records:**

Project sponsor shall retain records for 3 years, following submission of a final expenditure report and other project deliverables, all product contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Project Grants) FY 11 \$7,000,000; FY 12 est \$7,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The range is normally \$100,000 -\$700,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: It is anticipated that at least 24 States and the District of Columbia will qualify for these grants in FY 2012 and that funds will be used to purchase car seats for low income families and provide training in child passenger safety for law enforcement, fire and emergency medical personnel, educators and parents concerning child safety seats and restraints; child safety seat education programs will be offered to the public on the proper installation of child safety seats and restraints. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005, Section 2011, Public Law 109-59, as amended, 23 U.S.C. 402. Federal Register, Vol. 71, No. 20, Tuesday, January 31, 2006.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the addresses of the Regional Offices of the National Highway Traffic Safety Administration.

**Headquarters Office:**

Mary D. Gunnels, 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://nhtsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Child safety seat and child restraint programs. Fiscal Year

2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A certification from the Governor's Representative that the State is enforcing a child restraint law that conforms to the criteria established in Section 2011.

**20.614 NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION (NHTSA) DISCRETIONARY SAFETY GRANTS**

Highway Safety Research and Development

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Highway Safety Act of 1966, as amended, and Public law 109-59 the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) , Public Law 109-59, 23 U.S.C 403.

**OBJECTIVES:**

- (1) Conduct research on all phases of highway safety and traffic conditions, including accident causation, highway or driver characteristics, communications , and emergency care;
- (2) Conduct ongoing research into driver behavior and its effect on traffic safety;
- (3) Conduct research on, launch initiatives to counter, and conduct demonstration projects on fatigued driving by drivers of motor vehicles and distracted driving in such vehicles, including the effect of electronic devices and other factors have on driving;
- (4) Conduct training or education programs in cooperation with other federal departments and agencies, States, private sector persons, highway safety personnel, and law enforcement personnel;
- (5) Conduct research on, and evaluate the effectiveness of, traffic safety countermeasures, including seat belts and impaired driving initiatives;
- (6) Conduct research on, evaluate, and develop best practices related to driver education programs (including driver education curricula, instructor training and certification, program administration and delivery mechanisms) and make recommendations for harmonizing driver education and multistage graduated licensing systems;
- (7) Conduct research, training, and education programs related to older drivers
- (8) Conduct demonstration projects; and
- (9) Conduct research, training, and programs relating to motorcycle safety, including impaired operating and conduct safety research into drugs and driving behavior.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements can only be used for those projects as authorized under Section 403 of Public law 109-59. The grants and cooperative agreements can only be used for those projects as authorized under Section 403 of Public law 109-59.

**Applicant Eligibility:**

Grantee application eligibility will be developed on an on individual grant or cooperative agreement basis by the NHTSA Purchase Team.

**Beneficiary Eligibility:**

Public Non-Profit Institutions/Organizations; Sponsored Organizations; State; Local; Other Public Institutions; Federal Recognized Indian Tribal Government; U.S. Territory or Possession; Private Non-Profit Institution/Organizations; Quasi-Public Non-Profit Institutions/Organizations; Native American Organizations.

**Credentials/Documentation:**

Proposals with statement of work and estimated budget. Cost will be determined in accordance with OMB Circular Nos. A-87 for State and Local governments, A-21 for Educational Institutions, A-122 for Non-Profit and For-Profit Organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded

from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant and cooperative agreement application submissions shall be submitted to the grantee via grants.gov. Grantees will be required to complete the suite of SF 424 forms and the appropriate representations and certifications.

**Award Procedure:**

The application package shall be returned via grants.gov. Award will be made by NHTSA Office of Acquisition Management personnel.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None. The deadlines shall be established in each grant or cooperative agreement application package.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals and/or extension may be available. Requests must be submitted to the NHTSA Office of Acquisition Management for approval.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length is specific to each grant or cooperative agreement. The funds can be released in a lump sum, but normally the grantees are reimbursed for funds expended. See the following for information on how assistance is awarded/released: Cost Reimbursement.

**Reports:**

Quarterly progress reports are required. Quarterly progress and expenditures reports are required. The final report is due at the end of the grant or cooperative agreement. Quarterly progress and expenditures reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For direct procurement contracts, audits will be conducted in accordance with federal Acquisition Regulations.

**Records:**

Records are due in accordance with the terms and conditions of each grants or cooperative agreement. Records will be retained in accordance with provisions of OMB Circular No. A-110 for Institutions of Higher Education, Other Nonprofit Organizations, and Commercial Organizations and in accordance with 15 CFR Part 24 for State and Local Governments.

**Account Identification:**

69-0650-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$40,000,000; FY 12 est \$40,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Numerous technical assistance reports, guidelines, results of demonstration projects and research papers in various driver behavior topics. See www.nhtsa.gov for most relevant information. Fiscal Year 2012: No

Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Highway Safety Act of 1966, as amended (23 U.S.C. Chapter 4) or Section 403 of Public Law 109-593.

**Regional or Local Office:**

None. NHTSA Office of Acquisition Management.

**Headquarters Office:**

Lloyd S. Blackwell, 1200 New Jersey Avenue, S.E., NTI-140, Washington, District of Columbia 20590 Phone: (202) 366-3485.

**Website Address:**

lloyd.blackwell@dot.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Numerous technical assistance reports, guidelines, results of demonstration projects and research papers in various driver behavior topics. See www.nhtsa.gov for most relevant products. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grantee criteria for selecting proposals will be developed on an on individual grant or cooperative agreement basis by the NHTSA Purchase Team.

**20.616 NATIONAL PRIORITY SAFETY PROGRAMS**

National Priority Safety Programs

**FEDERAL AGENCY:**

National Highway Traffic Safety Administration (NHTSA), Department of Transportation

**AUTHORIZATION:**

Moving Ahead for Progress in the 21st Century (P.L. 112-141), Title I- Motor Vehicle and Highway Safety Improvement Act of 2012, Section 31105.

**OBJECTIVES:**

To encourage States to address national priorities for reducing highway deaths and injuries through occupant protection programs, state traffic safety information system improvements, impaired driving countermeasures, passage of effective laws to reduce distracted driving, implementation of motorcyclist safety programs, and the implementation of graduated driving licensing laws.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funding can be used to address national highway safety priority programs to reduce the number of highway deaths and injuries. Yes- Amounts made available through the Highway Trust Funds may not be used by State and local governments for construction purposes.

**Applicant Eligibility:**

With the exception of the Motorcyclist Safety Program, the 50 States, District of Columbia, Puerto Rico, U.S. territories (American Samoa, Guam, Northern Marianas, and Virgin Islands) are eligible for funding. Under the Motorcyclist Safety Program, the 50 States, District of Columbia, and Puerto Rico are eligible for grant awards.

**Beneficiary Eligibility:**

Funding is provided to State Highway Safety agencies.

**Credentials/Documentation:**

A State submits certification and application materials that meet eligibility requirements. After being informed by NHTSA that it is eligible for a grant, the State submits to the agency a plan that describes the programs the State will implement using the funds. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or

her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application materials and applicable certifications, signed by the Governors Representative for Highway Safety, are due to the appropriate NHTSA Regional Administrator each fiscal year.

**Award Procedure:**

Applications are reviewed by subject matter experts to determine if the State meets the specified eligibility requirements. After being informed that the State has been approved for grant award, the State submits to the agency a plan that describes the programs the State will implement using the funds. NHTSA notifies the Governor in a letter that the State has met the requirements for a Section 405 grant award. The letter also describes the amount of the grant award. Federal share is reimbursed on claims submitted in vouchers covering costs incurred. All participants have converted the Electronic Transfer of Funds method.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

MAP-21 authorizes the National Priority Safety Programs for FY 2013 and FY 2014.

**Formula and Matching Requirements:**

Statutory Formula: Title 23, Chapter 4, Part 405.

Matching Requirements: Percent: 80%. For all program under Section 405, the Federal share of the costs of the activities funded using amounts from grants awarded under this subsection may not exceed 80 percent for each fiscal year for which a State receives a grant.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Federal share is reimbursed on claims submitted in vouchers covering costs incurred; all participants have converted to the electronic transfer of funds method of payment. Funds placed in obligation are available until expended. Method of awarding/releasing assistance: lump sum.

**Reports:**

Funding recipients are required to provide an annual program report detailing program activities and accomplishments. Cash reports are not applicable.

Funding recipients are required to provide an annual program report detailing program activities and accomplishments. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Project sponsor shall retain records for 3 years following submission of a final expenditure report and other project deliverables, all project contract documents, financial records, and supporting documents pending resolution of audit findings.

**Account Identification:**

69-8020-0-7-401.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$265,000,000 - Actual FY 2012- not applicable

Budget- FY 2013 -- \$265,000,000

Fiscal- FY 2014 - \$272,000,000.

**Range and Average of Financial Assistance:**

\$33,125 - \$8,046,147.33.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Moving Ahead for Progress in the 21st Century (P.L. 112-141), Title I- Motor Vehicle and Highway Safety Improvement Act of 2012., Section 31105; to be codified in 23 USC, chapter 4, section 405.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for addresses of Regional Offices of the National Highway Safety Administration.

**Headquarters Office:**

Mary D. Gunnels 1200 New Jersey Avenue, S.E., NTI-200, Washington, District of Columbia 20590 Email: maggi.gunnels@dot.gov Phone: (202) 366-2121.

**Website Address:**

<http://nhtsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria outlined in statute and regulation and vary for each program.

(a) Occupant Protection: meet requirements for a high or low seat belt use categories.

(b) State Traffic Safety Information System Improvements: have traffic records coordinating committee that meet 3 times a year; designated TRCC coordinator; an approved State traffic records strategic plan; certify that assessment was done in preceding 5 years; and demonstrate quantitative measureable progress to program attribute of accuracy, completeness, timeliness, uniformity, accessibility or integration.

(c) Impaired Driving Countermeasures: meet requirements for low-range state, mid-range state, or high-range state; State can also receive funding for adoption and enforcement a mandatory alcohol-ignition interlock law.

(d) Distracted Driving Grant: enacts and enforces a law that prohibits texting while driving or prohibits youth cell phone use while driving.

(e) Motorcyclist Safety: meet 2 of the following criteriamotorcycle rider training course, motorcyclist awareness program, reduction of fatalities and crashes involving motorcycles, impaired driving program, reduction of fatalities and accidents involving impaired motorcyclists, and fees collected from motorcyclists for motorcycle programs

(f) State graduated driver licensing incentive grant: State has a graduated driver licensing law that requires novice drivers younger than 21 years of age to comply with the 2-stage licensing process.

**20.700 PIPELINE SAFETY PROGRAM STATE BASE GRANT**

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

The Federal Pipeline Safety Statutes, 49 U.S.C 60107.

**OBJECTIVES:**

To develop, support and maintain State gas and hazardous liquid pipeline safety programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Federal Pipeline Safety Law authorizes Federal reimbursement of up to 80



percent of a State's expenditure during the year for personnel, equipment, and activities reasonably required by the State agency for the conduct of its pipeline safety program. The Law further stipulates the State expenditures in any given year, without Federal assistance, cannot be less than the average amount expended by the State for gas and hazardous liquid safety programs for the 3 fiscal years prior to the fiscal year in which the Secretary makes the payment, except when the Secretary waives this requirement. The State agency must also agree to provide the remaining cost of the safety program(s). Within these limitations, the available funds are allocated by a method designed to reflect the degree to which a State has met certain established goals. The allocation is determined by assigning point values to the States for having achieved certain levels of program participation, dividing this point score by the sum of the States' point scores, and multiplying this ratio by the funding amount available for the distribution. PHMSA distributes remaining funds according to certain criteria designed to seek improvements in State programs. The criteria used by PHMSA is the extent of intrastate jurisdiction, inspector qualifications, recommended number of inspection person-days, State adoption of applicable Federal regulations, and other relevant criteria. In 2011, the Federal allocations represented 77.49 percent of the total estimated State requests in the natural gas program (range: 463.72 to 80.00 percentage of request). The Federal allocation in the hazardous liquid program represented 77.34 percent of the total estimated State requests (range: 69.60 to 80.00 percent). Funds must be dedicated to the Certified Pipeline Safety Program and are based on the State performance scores.

**Applicant Eligibility:**

State must have a 60105 Certification or 60106 Agreement with PHMSA. The Department provides Federal funds, up to 80 percent of the State's total program costs to any State agency with a certificate under Section 60105 of Title 49, United States Code, an agreement under Section 60106 of Title 49, United States Code, or to any State acting as a DOT agent on interstate pipelines. State must agree that the aggregate expenditures of State funds, exclusive of Federal funds, on the pipeline program for the calendar year to which the Federal funds apply are/not less than the average level of such expenditures for the previous 3 years.

**Beneficiary Eligibility:**

State, District of Columbia, and Puerto Rico.

**Credentials/Documentation:**

Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and "Procedural Guide for the Pipeline Safety Grant Program." Application (plan) due date is September 30. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State submits with its annual application a summary of estimated program costs by calendar year covering the State gas and/or hazardous liquid pipeline safety activities to the Pipeline and Hazardous Materials Safety Administration, DOT. The State certifies it is complying with the requirements of the Certification and/or Agreements under 49 USC Sections 60105 and 60106. The estimated budgets and Certification/Agreements are reviewed by State Program Staff for reasonableness and completeness. Applications are due by September 30th of each year. All State Programs Certifying to PHMSA they are meeting the program requirements applications are accepted. The Certification and/or Agreement requirements are specified in 49 USC Sections 60105(b) and 60106(a). If a States Certification or Agreement is not accepted the State is notified in writing of the reason for rejection.

**Award Procedure:**

Awards are made by the Secretary of Transportation by approving the grant

award amounts. Congress then has 5 days to object to the award.

PHMSA makes the Grant Application available to each state agency in August of each year. The deadline for filing this application is September 30th. (Note: This deadline is established in Chapter 601 Title 49 of the United States Code).

Grant Applications are submitted on-line through the Federal State Tracking and Reporting (FedSTAR) database.

Grant Applications are reviewed by PHMSA State Program staff to assure the costs submitted are necessary and reasonable expenses for the proper and efficient administration of the pipeline safety program.

The Appropriated grant funding, contingent on an enacted budget, is Allocated (awarded) to individual State Pipeline Safety Programs in the following months; In May based on reached States most recent Program Evaluation and Certification scores and the grant allocation formula.

Payment Agreements are sent to the individual state agencies in May notifying them of the amount of the State Base Grant available to them to pay the individual states cost for the calendar year.

States may request reimbursement of up to 50 percent of their program costs based on actual expenses in June (Mid-year Payment).

In January of each year, PHMSA makes available through FedSTAR the OMB Standard Form 270 - Request for Advance or Reimbursement to each State agency for submission of their total pipeline safety program costs for the previous calendar year.

Requests for reimbursement (End of Year Payments) submitted by each State agency are reviewed and approved by PHMSA before being forwarded to the DOT accounting office for payment.

Grant funds will be electronically deposited into a bank account established for receipt of Federal funds.

**Deadlines:**

Aug 01, 2012 to Sep 30, 2012 Applications are due by September 30 for the next calendar year. Director of State Programs may extend this deadline based on good cause.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days from date of receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 49 C.F.R., Part 198, Subpart 13.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Expenditures made by a State during the calendar year are eligible for Federal reimbursement. States receiving Federal assistance submit claims for reimbursement in February for the Federal share of the cost of actual expenditures between January 1 and December 31 of the year. See the following for information on how assistance is awarded/released: Electronic Funds Transfer.

**Reports:**

No program reports are required. SF-270. End of Year Payment Report. List State Actual Costs and reasons for deviation from estimated program costs. SF-270. Program Evaluation and Certification.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records relating to the program shall be retained for a period of not less than 3 years from the date of submission of the End of Year Payment Report.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Formula Grants (Health Incentive Grants)) FY 11 \$34,810,294; FY 12 est \$48,627,893; and FY 13 est \$59,155,000

**Range and Average of Financial Assistance:**

The range of grants awarded \$8,895 - \$3,247,622. Average -- \$556,404.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: PHMSA received forty-nine applications (63 individual gas and liquid programs) from State agencies for the fiscal year 2011 Natural Gas and Hazardous Liquid Safety Programs. State agencies continue to use funds to conduct safety audits and field inspections of pipeline operators for compliance with federal pipeline safety regulations. State agencies also use funds in damage prevention activities to increase public awareness and prevention of damages to underground facilities. Fiscal Year 2012: PHMSA received forty-nine applications from the State agencies for fiscal year 2012 Natural Gas and Hazardous Liquid Safety Programs. Fiscal Year 2013: PHMSA anticipates receiving forty-nine applications from the State agencies for fiscal year 2012 Natural Gas and Hazardous Liquid Safety Programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 190, 191, 192, 193, 195, 198 and 199. Individual copies available from the Transportation Safety Institute, Pipeline Safety Program, Oklahoma City, Oklahoma 73125. "Procedural Guide for the Pipeline Safety Grant Program." "Guidelines for States Participating in the Pipeline Safety Program." "Guidance Manual for Operators of Small Gas Systems."

**Regional or Local Office:**

None.

**Headquarters Office:**

Zach Barrett, 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Phone: (405) 834-8344.

**Website Address:**

<http://www.phmsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 49 State Pipeline Safety Programs will participate in the grant resulting in safety oversight for over 2 million miles of pipeline. The State Base Grant is to support State Pipeline Safety Programs which are Certified through PHMSA to inspect and enforce the pipeline safety regulations under the States safety authority. All States currently participate in the pipeline safety program except Alaska and Hawaii. This is a reoccurring grant which has been in place for over 30 years. The Grantees are provided with specific notification of the grant availability and webinars supporting their grant applications. Fiscal Year 2012: Expecting 49 State Pipeline Safety Programs will participate in the grant resulting in safety oversight for over 2 million miles of pipeline. The State Base Grant is to support State Pipeline Safety Programs which are Certified through PHMSA to inspect and enforce the pipeline safety regulations under the States safety authority. All States currently participate in the pipeline safety program except Alaska and Hawaii. This is a reoccurring grant which has been in place for over 30 years. The Grantees are provided with specific notification of the grant availability and webinars supporting their grant applications. Fiscal Year 2013: Expecting 49 State Pipeline Safety Programs will participate in the grant resulting in safety oversight for over 2 million miles of pipeline. The State Base Grant is to support State Pipeline Safety Programs which are Certified through PHMSA to inspect and enforce the pipeline safety regulations under the States safety authority. All States currently participate in the pipeline safety program except Alaska and Hawaii. This is a reoccurring grant which has been in place for over 30 years. The Grantees are provided with specific notification of the grant availability and webinars supporting their grant applications.

**CRITERIA FOR SELECTING PROPOSALS:**

All reasonable expenses from Certified State pipeline safety regulatory agencies are considered for funding to the limit of available grant funding. This is a formula grant and funding is distributed among Certified State Pipeline Safety

Programs based on their performance scores.

**20.701 UNIVERSITY TRANSPORTATION CENTERS PROGRAM  
FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2004, Title 49, Part 5338, 5505-5506.

**OBJECTIVES:**

To provide grants to nonprofit institutions of higher learning for the purpose of establishing and operating university transportation centers that conduct research, education, and technology transfer programs addressing regional and national transportation issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The University Transportation Centers will address surface transportation problems and issues and will seek solutions to both long-range and immediate transportation problems. See below for information about grant matching requirements.

**Applicant Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Beneficiary Eligibility:**

For the program's competitive grants, public and private nonprofit institutions of higher learning that have established transportation research programs. Non-competitive grants must also be to public and private nonprofit institutions of higher learning but may or may not have established programs.

**Credentials/Documentation:**

A formal application outlining in detail how the institution meets program mission and goals; proposed management of the center; detailed delineation of organization, staff, faculty, and budget. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Two competitive selections for new grants will be held during 2006 for 1) one grant in each of ten standard Federal regions of the U.S. and 2) ten other grants with no locational restrictions. Applications will consist of standard Federal grant application and related forms and a proposal prepared to specifications that the agency will provide.

**Award Procedure:**

Applications will be reviewed by a Departmental panel. Selection will be made by the RITA Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive grants are for a four-year period; noncompetitive grants are for periods stated in the authorizing legislation. Grants are renewable each year upon satisfactory completion of prior-year work.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%. The Federal share of a grant shall be 50 percent of the costs of establishing and operating the university transportation center.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Three, four, or five years as designated in the authorizing legislation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Final technical report at the end of each research project. SF-270 (Request for Advance or Reimbursement). Semi-annual and annual progress and financial reports. SF-425 (Financial Reporting Form). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Consistent with OMB Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-8083-0-7-401; 69-1136-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$85,000,000; FY 12 est \$0; and FY 13 est \$85,000,000

**Range and Average of Financial Assistance:**

The range for grants awarded are \$500,000 -\$3,500,000 per center per fiscal year depending upon language in the authorizing legislation.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Accomplishments of the UTC Program are expected to continue advancing the capabilities of the nations universities to conduct needed transportation research on local, regional and national issues, and educate the future transportation workforce, while continuing to enhance the degree of collaboration between and among universities, develop partnerships with state and local government. Fiscal Year 2012: Accomplishments of the UTC Program continue advancing the capabilities of the nations universities to conduct needed transportation research on local, regional and national issues, and educate the future transportation workforce, while continuing to enhance the degree of collaboration between and among universities, develop partnerships with state and local government. Fiscal Year 2013: FY 2013 program accomplishments will be based on language in the new [anticipated] authorizing legislation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Posted on the University Transportation Centers Program website at <http://utc.dot.gov>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Denise E. Dunn, Research and Innovative Technology Administration, Office of Innovation, Research, and Education (RDT-30); Department of Transportation; 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Email: [Denise.E.Dunn@dot.gov](mailto:Denise.E.Dunn@dot.gov) Phone: (202) 366-4985. Fax: 202-493-2993

**Website Address:**

<http://utc.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects funded under the FY 2011 competition support one or more of the Secretary's Strategic Goals: Safety, State of Good Repair, Economic Competitiveness, Livable Communities and Environmental Sustainability. Fiscal Year 2012: 2012 Not applicable no new/additional funding awarded during FY 2012. Fiscal Year 2013: 2013 Not applicable - FY 2013 program accomplishments will be based on language in the new [anticipated] authorizing legislation.

**CRITERIA FOR SELECTING PROPOSALS:**

Resources available to conduct work of center; leadership in transportation; established transportation programs in prior years; ability to disseminate results (full text found in authorizing legislation at 49 U.S.C. 5506).

**20.703 INTERAGENCY HAZARDOUS MATERIALS PUBLIC SECTOR TRAINING AND PLANNING GRANTS**

Hazardous Materials Emergency Preparedness Training and Planning Grants, (HMEP)

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Federal Hazardous Materials Transportation Act, Public Law 49-5101 et seq.

**OBJECTIVES:**

To increase State, local, territorial and Native American tribal effectiveness to safely and efficiently handle hazardous materials accidents and incidents; enhance implementation of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA); and encourage a comprehensive approach to emergency planning and training by incorporating response to transportation standards.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The grant program will be used to increase the emphasis on transportation in ongoing efforts and to improve the capability of communities to plan for and respond to the full range of potential risks posed by accidents and incidents involving hazardous materials. The grants have two principal uses: First, to assist States, Territories and Native American Tribes in developing, improving and implementing emergency response plans under EPCRA; including the determination of flow patterns of hazardous materials within a State, between States and Native American lands; determining the need for regional hazardous materials response teams. Second, to stimulate support for training of Public Sector employees to respond to accidents and incidents involving hazardous materials. HMEP Grant funds can be used for expenses associated with planning and training for response to hazardous materials incidents in transportation.

**Applicant Eligibility:**

States, U. S. Territories and Federally recognized Native American Tribes may apply for either or both planning and training grants. The Governor or Official of each eligible applicant has been asked to designate an agency responsible for managing the program. DOT will work with the designated organization.

**Beneficiary Eligibility:**

All segments of the U.S. including Territories and Native American tribal populations that are involved with management of or possible exposure to hazardous materials are benefited. Specifically Federal, State, and local responsibilities are assisted through the HMEP grant program. Students and trainees in emergency response and local emergency planning activities are program beneficiaries since grant funds will be used to benefit local programs.

**Credentials/Documentation:**

Applicants must certify that they meet or exceed a nonfederal maintenance of effort level equivalent to the average of aggregate nonfederal applicant expenditures for the preceding 2 years. They must also certify that the State, Territory or Native American Tribe is complying with sections 301 and 303 of

EPCRA. Those States, Territories or Native American Tribes must agree to make at least 75 percent of the Federal planning funds awarded available to Local Emergency Planning Committees (LEPCs) for developing, improving, or implementing emergency plans, and 75 percent of the benefit of training funds available to local emergency responders. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact his or her, State, Territory or Native American Tribe for more information on the process required to follow in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants are to complete and submit an application through [www.grants.gov](http://www.grants.gov). Funded applications will be subject to the Public Sector Planning and Training Grants Program regulation 49 Code of Federal Regulations (CFR), part 110, and 49 CFR, part 18, the A-102 based regulation, which governs all DOT grant programs.

**Award Procedure:**

The decision to fund will be made by the HMEP Grants Manager after considering internal review.

**Deadlines:**

Apr 01, 2012 to Jun 01, 2012 The deadline for submitting applications is June 1. Grant awards will be made in September.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20.%. Nonfederal cost sharing of at least 20 percent of total project costs is required under provisions of HMEP, Section 117A(d). This program has maintenance of effort requirements; see funding agency for further details.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of project periods may extend from time of initial award through fiscal year 2011; however phased accomplishments or budget periods will limit the time frame for the funds awarded. Payments will generally be reimbursable, paid based on submission of a Request For Advance or Reimbursement Form 270 using DOT automated clearinghouse electronic transfer procedures. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. SF-425 and SF-270. Final report accountability questions required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. N/A

**Records:**

Records of technical and financial accomplishments must be maintained for 3 years after submission of an acceptable final Financial Status Report, or until any unresolved audit issues are resolved.

**Account Identification:**

69-5282-0-2-407.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$26,800,000; FY 12 est \$26,800,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The grant award ranges are \$12,713 - \$1,642,592. The average is \$346,284.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, PHMSA awarded HMEP awards to every state, 3 territories, and 7 federally recognized tribes to provide planning and training grants to assist States, Territories, and Native American Tribes in performing their hazmat response duties, and are a critical component in developing, improving, and implementing emergency plans for local communities. HMEP funds were used to determine the training needs of emergency responders and provide needed training. HMEP Grant awards are dedicated to aiding grantees in the development of effective emergency planning and preparedness. Fiscal Year 2012: In FY2012, PHMSA is proposing to fund 50 states, 5 territories and 5 federally recognized tribes. Activities to take place during FY 2012 (October 2011 September 2012) include the Development of Local Jurisdiction E-Plan for Emergency Responses, as well as the implementation of Planning and Investigation Courses. Grantees will also provide Train-the-trainer programs, to include Land Based Marine Fire Fighting in Multi-Modes of Transportation. Other grantees will conduct annual, combined LEPC/Tribal Hazardous Materials Workshop for all state Local Emergency Planning Committees (LEPCs) and Tribes, while inviting responders from neighboring states. Training programs are diverse and will include Hazardous Materials Awareness Courses, Hazardous Materials Awareness-Operations Train-the-Trainer Course, Hazardous Materials Technician Courses, Hazardous Materials-On Scene Incident Command Classes, and Hazardous Materials Safety Officer Courses. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 Code of Federal Regulations, Part 110, Hazardous Materials Public Sector Training and Planning Grants; 49 Code of Federal Regulations, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and Indian tribes. A grant application kit is available from DOT that includes all guidance, regulatory and administrative requirements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kyra Stewart 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: [kyra.stewart@dot.gov](mailto:kyra.stewart@dot.gov) Phone: (202) 366-8752 Fax: (202) 366-3753

**Website Address:**

<http://www.phmsa.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: HMEP Grant funds are used to fund hazardous materials transportation incident planning and training activities at the local level, designed to meet the varying needs of the Nations communities. During FY 2011 (October 2010 September 2011), the program funded various successful efforts, included passing through funds to Local Emergency Planning Committees (LEPCs) for training efforts that align with program priorities. Detailed program accomplishments are compiled and included in the Annual Report to Congress, provided on Hazmat Grant Program web site. Fiscal Year 2012: Activities to take place during FY 2012 (October 2011 September 2012) include the Development of Local Jurisdiction E-Plan for Emergency Responses, as well as the implementation of Planning and Investigation Courses. Grantees will also provide Train-the-trainer programs, to include

Land Based Marine Fire Fighting in Multi-Modes of Transportation. Other grantees will conduct annual, combined LEPC/Tribal Hazardous Materials Workshop for all state Local Emergency Planning Committees (LEPCs) and Tribes, while inviting responders from neighboring states. Training programs are diverse and will include Hazardous Materials Awareness Courses, Hazardous Materials Awareness-Operations Train-the-Trainer Course, Hazardous Materials Technician Courses, Hazardous Materials-On Scene Incident Command Classes, and Hazardous Materials Safety Officer Courses. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable for grants to States and Territories. Grants made from the set aside for Native American Tribes will be in accordance with the following selection criteria: (1) Potential Benefit (30 points); (2) Priority Need (40 points); (3) Number of Public Sector Employees Trained (20 points); (4) Long Term Benefit to Tribe (10 points); (5) Past Performance (10 points).

**20.710 TECHNICAL ASSISTANCE GRANTS**

TAGs or TAG Program

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Pipeline Safety, Regulatory Certainty, and Job Creation Act of 2011, Public Law 112-90, 49 U.S.C 60130.

**OBJECTIVES:**

Development of engineering and other scientific analysis of pipeline safety issues, including the promotion of public participation in official proceedings.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The grant program is intended to allow communities and non-profit groups to obtain funding for technical assistance in the form of engineering or other scientific analysis of pipeline safety issues and to help promote public participation in official proceedings. Grant funds may not be used for lobbying, for direct advocacy for or against a pipeline construction or expansion project, or in direct support of litigation.

**Applicant Eligibility:**

Use with Transportation .

**Beneficiary Eligibility:**

Public nonprofit institution/organization and Local.

**Credentials/Documentation:**

A written application addressing the evaluation criteria. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Through the website at [www.Grants.gov](http://www.Grants.gov). Also see the annual solicitation for application procedures.

**Award Procedure:**

A committee of stakeholders will review applications. Grants will be awarded to applicants with the highest merit until the available funds are exhausted.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applications due 60 to 90 days after opportunity is posted to [www.Grants.gov](http://www.Grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One year from date of award. See the following for information on how assistance is awarded/released: Grant.

**Reports:**

Program reports are not applicable. SF-425 and SF-270. Each grant recipient will be required to provide a mid-term and a final report to PHMSA demonstrating completion of the work as outlined in the grant agreement. Further, each recipient of a grant must ensure that: (1) The technical findings made possible by the grants are made available to the relevant operators; and (2) Open communication is maintained between the grant recipients, local operators, local communities and other interested parties. SF-425. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipient must maintain, for a period of 3 years beyond the end of the grant project period of performance.: (a) documentation supporting the cost incurred under the grant, (b) information regarding any sub-awards made using grant funds.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,000,000; FY 12 est \$1,000,000; and FY 13 est \$1,500,000 - FY2011 & FY2012 -- 1,000,000; FY2013 1,500,000.

**Range and Average of Financial Assistance:**

The range is \$0 - \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: PHMSA solicited applications and awards were made on or before September 30, 2011. Fiscal Year 2012: PHMSA solicited FY2012 applications from January through March 2012. Awards will be made on or before September 30, 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 192.614, 49 CFR 192.616, 49 CFR 195.440, 49 CFR 195.442, 49 CFR 198.37, and 49 CFR 198.39 Individual copies of regulations may be requested from: Office of Pipeline Safety, Pipeline and Hazardous Materials Safety Administration, Department of Transportation, 1200 New Jersey Avenue, SE, East Building, 2nd Floor, Washington, DC 20590, Telephone: (202) 366-4595, Fax: (202) 366-4566.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christie Murray 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Email: [christie.murray@dot.gov](mailto:christie.murray@dot.gov) Phone: (202) 366-4996

**Website Address:**

<http://primis.phmsa.dot.gov/tag>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: PHMSA solicited FY2012 applications from January through March 2012. Awards will be made on or before September 30, 2012. Fiscal Year 2012: Projects awarded in FY 2012 will be similar in scope to the projects awarded in FY 2011. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

In keeping with Congressional intent, PHMSA has developed proposal evaluation criteria to be used to rate and select competing proposals. Together, these criteria are intended to identify projects that target high-risk areas; offer well-defined plans; foster open communication with a local community and/or affected pipeline operators; and produce results that are measurable and transferable to other communities and/or technology development.

The evaluation criteria are as follows:

1. The extent to which the Applicants project scope is focused on areas where a pipeline failure could pose a significant risk to people or to unusually sensitive environmental areas;
2. The extent to which the proposed project scope demonstrates an understanding of the specific concern the Applicant wishes to address, as well as the range of risks affected pipelines pose to the affected geographic area and the risks the community poses to the pipelines;
3. The extent to which the proposal demonstrates the Applicants experience with and commitment to open communication with affected operators and to partnerships with other key members of the community;
4. The extent to which the Applicants project is designed to improve performance and safety over time in areas such as engineering, damage prevention, land use, public education, emergency response, and community awareness;
5. The extent to which the Applicants project plan establishes clear goals, objectives, milestones, and estimates of project costs;
6. The extent to which the Applicant has a plan for evaluating and disseminating results; and
7. The extent to which the Applicants project scope provides the potential for learning or technology transfer to other groups and communities.

#### **20.720 STATE DAMAGE PREVENTION PROGRAM GRANTS**

(SDPP Grants)

##### **FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

##### **AUTHORIZATION:**

PIPES Act Section 2(b), which added Section 60134 to the Pipeline Safety Law.

##### **OBJECTIVES:**

To improve State Damage prevention programs, which are intended to protect underground facilities from excavation damage.

##### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

##### **USES AND USE RESTRICTIONS:**

Personnel, equipment, and activities that are needed by the State authority to enhance damage prevention programs. Grant funds may not be used for lobbying or in direct support of litigation. Grant funds may not be used for lobbying or in direct support of litigation.

##### **Applicant Eligibility:**

Any State (including U.S. Territory or possessions) authority designated by the Governor is eligible to apply for a grant as long as an agency within the State (including U.S. Territory or possessions) has an annual Section 60105 (49 U.S.C.) certification or Section 60106 (49 U.S.C.) agreement in effect with PHMSA. If a State (including U.S. Territory or possessions) does not have a certification or agreement with PHMSA, then no State (including U.S. Territory or possessions) authority can receive a grant.

##### **Beneficiary Eligibility:**

State Government, U.S. Territory and possessions would receive the ultimate benefit from this program.

##### **Credentials/Documentation:**

A written application describing the current status of the State Damage

Prevention Program and plans for improvements. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Through the website at [www.Grants.gov](http://www.Grants.gov) and [fedstar.phmsa.dot.gov](http://fedstar.phmsa.dot.gov) Also see the annual solicitation for application procedures.

##### **Award Procedure:**

Panel of stakeholders will review and score applications. Grants will be awarded to applicants with the highest score until the available funds are exhausted.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

120 days after application deadline.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

There is a restriction on the time permitted to spend the money awarded. It must be spent within one year of the award. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

A final report within 30 days of the end of the grant period. No cash reports are required. Status report is due 6 months after the start date of the grant. SF-425. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

Grant recipient must maintain for a period of three years: (a) documentation supporting the cost incurred under the grant, and (b) information regarding any sub-awards made using grant funds.

##### **Account Identification:**

69-5172-0-2-407.

##### **Obligations:**

(Project Grants (Discretionary)) FY 11 \$2,009,634; FY 12 est \$1,574,452; and FY 13 est \$1,500,000

##### **Range and Average of Financial Assistance:**

The grants awarded range \$6,800-\$100,000. The average is \$71,566.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For 2011, 25 applications were received and \$2,009,634 in grants were awarded to 24 states. See <http://primis.phmsa.gov>. Fiscal Year 2012: For 2012, 22 applications were received and it is anticipated that 22 grants will be awarded with funding totaling \$1,574,452. See <http://primis.phmsa.gov>. Fiscal Year 2013: It is anticipated that 25 states will submit applications with

available funding of approximately \$1.5 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 192.614, 49 CFR 192.616, 49 CFR 195.440, 49 CFR 195.442, 49 CFR 198.37, and 49 CFR 198.39 Individual copies of regulations may be requested from: Office of Pipeline Safety, Pipeline and Hazardous Material Safety Administration, Department of Transportation, 1200 New Jersey Avenue, SE East Building, 2nd Floor, Washington, DC 205901, Telephone: (202) 366-4595 Fax: (202) 366-4566.

**Regional or Local Office:**

None.

**Headquarters Office:**

Annamarie Robertson, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Email: annmarie.robertson@dot.gov Phone: (317) 253-1622.

**Website Address:**

<http://www.phmsa.dot.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects to improve state damage prevention programs were funded and include education and outreach programs, enforcement programs and other safety programs. Please see <http://primis.phmsa.dot.gov> for descriptions of projects and funding. Fiscal Year 2012: Projects to improve state damage prevention programs will be funding and include educational programs, enforcement programs, technology and other safety programs. Fiscal Year 2013: Projects to improve state damage prevention programs will be funding and are anticipated to include enforcement, education and outreach and other safety programs.

**CRITERIA FOR SELECTING PROPOSALS:**

All proposals from eligible state agencies are considered for funding based on their statewide damage prevention program (or a detailed plan to develop a program within 4 years) that implements the 9 elements of an effective damage prevention program identified in Section 2(b) of the PIPES Act (Pipeline Safety Laws 49 U.S.C. Section 60134).

**20.721 PHMSA PIPELINE SAFETY PROGRAM ONE CALL GRANT**

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Pipeline Inspection, Protection, Enforcement and Safety Act of 2006, Public Law 109-468, 49 U.S.C 6106 and 6107.

**OBJECTIVES:**

To provide funding to State agencies in promoting damage prevention, including changes with their State underground damage prevention laws, related compliance activities, training and public education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible programs will cover such areas as compliance enforcement, legal assistance with enforcement actions, new equipment to support on-going enforcement programs, compliance monitoring, one call center statistics, compliance/noncompliance statistics, One-call membership initiatives, computer equipment, communication improvements, development and/or conduct of state-provided training programs for locators, development and/or distribution of promotional items or materials, damage prevention awareness campaigns, public service announcements, informational mailings, advertisements and One Call center promotional items.

**Applicant Eligibility:**

A state is eligible if it qualifies under section 6104 (b).

**Beneficiary Eligibility:**

State (Includes District of Columbia and Puerto Rico) Also, State agency with a Certification or Agreement under 60105 or 60106 of Title 49 USC.

**Credentials/Documentation:**

Appropriate State legal official must approve legality of agency application and agreement. Costs will be determined in accordance with OMB Circular Number A-87 for State and local governments, and "One Call Application Instructions". Application (plan) is opened on October 15 and due November 21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. U.S. Department of Transportation  
Pipeline & Hazardous Materials Safety Administration  
Pipeline Safety, PHP-50  
1200 New Jersey Avenue, SE  
Washington, DC 20590

Each State submits a detailed description of the proposed project activity in one of the three priority categories listed in the criteria section with estimated costs on how the money would be spent. The application will be specific regarding what the funding would buy, and what otherwise unmet need the funding would help resolve. If the proposed activity was previously submitted and approved, the applicant will be required to provide a description of results from previous action of the activity.

**Award Procedure:**

Proposed projects are reviewed by a group of peers for their completeness with estimated project criteria as described in the criteria section (180) listed below.

**Deadlines:**

Oct 15, 2012 to Nov 21, 2012 Applications are submitted by November 21 for the next calendar year. The Director of State Programs may extend or modify the date base on good cause.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days of receipt. Award is contingent on a current fiscal year appropriation and enacted budget.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Expenditures must be used by March 30th of the following year. Funds not used will be deducted from the State agencies Pipeline Safety Program End-Year reimbursement request. See the following for information on how assistance is awarded/released: Electronic Funds Payment.

**Reports:**

No program reports are required. SF-270. Annual activity or initial progress report must be submitted by early January 2013 showing progress and funds spent on the projects as of December 31, 2012 with a final progress report due by April 15, 2013 to confirm all funds have been spent by March 30, 2013. SF-270. Triennial grant review is performed on all States to assure funds were spent on proposed projects and in accordance with OMB requirements. Each State progress report is reviewed prior to award of future grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records relating to the projects must be retained for a period of not less than 3 years from the date of submission of fund expenditure report.

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,062,000; FY 12 est \$1,061,253; and FY 13 est \$1,062,000

**Range and Average of Financial Assistance:**

The range for grants awarded \$10,000 to \$45,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: PHMSA received 33 applications for the PHMSA Pipeline Safety Program One Call Grant for CY 2012. The application totaled \$1,179,178 and the appropriation for these grants is \$1,058,000. With the addition of carry over funds from past uncompleted projects the total available is \$1,061,253. Five of the 33 State agencies applying had proposed projects that were not funded because they did not meet the grant criteria. The final allocation provides 100% funding for the priority 1, 2, and 3 projects that were approved. Grants to eligible programs have covered areas in compliance enforcement, legal assistance with enforcement actions, new equipment to support on-going enforcement programs, compliance monitoring, one call center statistics data, compliance/non-compliance data, One Call membership initiatives, computer equipment, communication improvements, development and/or conduct of state-provided training programs for excavators and locators, development and/or distribution of educational items or materials, damage prevention awareness campaigns, public service announcements, informational mailings, advertisements and One Call center educational items. These programs and other similar projects assist states in reducing accidents and hits to underground natural gas and hazardous liquid pipelines and the services they provide. Fiscal Year 2012: PHMSA anticipates receiving more than 30 applications for the PHMSA Pipeline Safety Program One Call Grant for CY 2013. It is anticipated the application request will total more than \$1.5 million dollars. Fiscal Year 2013: 2012 PHMSA anticipates receiving more than 30 applications for the PHMSA Pipeline Safety Program One Call Grant for CY 2013. It is anticipated the application request will total more than \$1.5 million dollars.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pipeline Safety Regulations, 49 CFR 190, 191, 192, 193, 195, 198 and 199. Individual copies available from the Transportation Safety Institute, PHMSA Training and Qualification, Oklahoma City, Oklahoma 73125. "Guidelines for States Participating in the Pipeline Safety Program."

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of Pipeline and Hazardous Materials Safety Administration regional office addresses.

**Headquarters Office:**

Zach Barrett 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (405) 834-8344.

**Website Address:**

<http://www.phmsa.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Implementation of Damage Information Reporting Tool (DIRT), Web Based Damage Tracking Database & Locator Training and Certification. Several grantees will continue past efforts in monitoring and analyzing data on damage prevention in an effort to ensure compliance with state laws. Agency personnel will attend regular meetings at the One Call

Center to obtain data on causes of damages to underground facilities. Agency will contract for local radio and television announcements to be used with advertisements in local newspapers about protecting the underground infrastructure by using the state One Call system. Several grantees will continue the aggressive enforcement program provided by previous One Call awards from PHMSA. Grant funds will be used to hire individuals to investigate and review damages to underground facilities and prosecute violators of state damage prevention laws. Fiscal Year 2012: Compliance Enforcement and Monitoring, One Call Membership Initiatives for Operators, Implementation of One Call Laws and Regulations, Excavator and Public Awareness, Public Service Announcements, Equipment to support on-going enforcement program. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Eligibility is determined by Section 6104.

Please describe criteria for selecting proposals:

**PRIORITY 1**

1. Compliance Enforcement
  - Legal assistance with enforcement actions
  - Cost of enforcement and/or complaint investigations
  - Cost of enforcement actions
2. State agency collection and analysis of data
  - One Call center statistics
  - One Call center membership
  - Compliance/Noncompliance statistics
  - Causes of noncompliance
  - Frequency, cause, and consequences of dig-ins
  - Identification of problem areas or individuals
  - Incorporation of excavation damage data tools (such as DIRT, virtual DIRT, etc.) into state monitoring and compliance program
  - Submission of state-collected excavation damage data to other data collection systems (such as DIRT and Virtual DIRT)
3. Legislation and Rulemaking
  - Obtaining input from affected interests
  - Assistance drafting language
  - Testimony before legislative/rulemaking bodies
  - Studies to identify legislative needs
4. Implementation of One Call Laws and Regulations\*\*
  - Start-up costs for the state agency only, mandated by new law or rules
  - Equipment (including computer programming and software)
  - Records systems and databases
  - Procedures
  - First-year information campaign on new/changed law or rules

\*\* A state cannot request grant funds to implement proposed legislation - the legislation must have already been passed by both houses and signed into law by the Governor.

**PRIORITY 2**

1. One Call Membership Initiatives for Operators, such as:
  - Initial membership fees
  - Fax machines
  - Computer equipment
  - Communication improvements
  - E-mail access
  - Dedicated phone line
  - Locating equipment and training
2. Consolidation of Multiple One Call Centers (only costs incurred by the state agency)
  - State agency expense to encourage consolidation
  - One Call Center consolidation expenses
  - First year awareness campaigns for new one-call center and/or phone number
3. Training of state inspection or enforcement personnel in -



- Facility locating methods and technology
- Provisions of state One Call law or regulations
- 4. Equipment to support on-going enforcement program (including computer programming and software.)
- 5. Location Capabilities
  - Development and/or conduct of training for locators
  - Field trials or demonstrations of new technology locating equipment
- 6. Efforts to encourage operators to contribute to data collection systems such as DIRT

**PRIORITY 3**

1. Development and/or conduct of state-provided training programs for excavators
2. Development and/or conduct of state-provided training programs for operators
3. Development and/or distribution of educational items or materials
4. Development and/or conduct of damage prevention awareness campaigns, such as:
  - Public service announcements
  - Informational mailings
  - Advertisements
  - One Call center awareness and outreach
  - Booths/exhibits for damage prevention outreach
  - 811 awareness campaigns
5. Record retention and recording capabilities for One Call notification systems; and making the data available to the state.

All proposals from eligible State utility regulatory agencies are considered for funding to the limit of available grant money. The maximum amount requested per state is limited to \$45,000.

**20.723 PHMSA PIPELINE SAFETY RESEARCH AND DEVELOPMENT OTHER TRANSACTION AGREEMENTS**

PHMSA Pipeline Safety Research and Development

**FEDERAL AGENCY:**

Pipeline and Hazardous Materials Safety Administration, Department of Transportation

**AUTHORIZATION:**

Accountable Pipeline Safety and Partnership Act, , Public Law 104-304, 49 U.S.C 60117(k).

**OBJECTIVES:**

To sponsor research and development projects focused on providing near-term solutions that will improve the safety, reduce environmental impact, and enhance the reliability of the Nations pipeline transportation system.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This research program is used for: fostering the development of new technologies so that pipeline operators can improve safety performance and more effectively address regulatory requirements; targeting and feeding new knowledge into the process of keeping standards relevant to their purpose; and generating and promoting general knowledge to decision makers. At least 30% cost sharing is required of awardees.

Section 32 (f) of The Pipeline Safety, Regulatory Certainty, and Job Creation Act of 2011 signed into law in January 2012 (PUBLIC LAW 11290JAN. 3, 2012) amends Section 12 of the Pipeline Safety Improvement Act of 2002 (49 U.S.C. 60101 note) by adding subsection d including 12(d)(3)( C) FUNDING FROM NON-FEDERAL SOURCES.The Secretary shall ensure at least 30 percent of the costs of program-wide research and development activities are carried out using non-Federal sources.

The 2011 Act also amends Section 12 of the Pipeline Safety Improvement Act of 2002 (49 U.S.C. 60101 note), subsection (f), by striking 2003 through

2006. And inserting 2012 through 2015..

**Applicant Eligibility:**

Universities and other academic institutions, individual, profit organization, nonprofit organization, State (includes D.C.), U.S. Territories and possessions, Indian tribes, local government, other entities are eligible to apply.

**Beneficiary Eligibility:**

Anyone/general public can receive benefits from the eligible applicant.

**Credentials/Documentation:**

Prior to submission of a White Paper each applicant must first complete (electronically) a registration form the location of which will be stated in the PHMSA Research Announcement (PRA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Yes, if the awardee is a state or local government. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Yes, if the awardee is an Institution of Higher Education, Hospital, or Other Non-Profit Organization.

**Award Procedure:**

In response to a PHMSA Research Announcement (PRA) applicants submit White Papers which are evaluated against specific evaluation criteria identified in the PRA. Those deemed worthy of further consideration are notified, and provided detailed guidelines for submitting a full proposal. Full proposals must include cost sharing of at least 30%. If selected for award an Other Transaction Agreement (OTA) is awarded by PHMSA.

Section 32 (f) of The Pipeline Safety, Regulatory Certainty, and Job Creation Act of 2011 signed into law in January 2012 (PUBLIC LAW 11290JAN. 3, 2012) amends Section 12 of the Pipeline Safety Improvement Act of 2002 (49 U.S.C. 60101 note) by adding subsection d including 12(d)(3)( C) FUNDING FROM NON-FEDERAL SOURCES.The Secretary shall ensure at least 30 percent of the costs of program-wide research and development activities are carried out using non-Federal sources.

The 2011 Act also amends Section 12 of the Pipeline Safety Improvement Act of 2002 (49 U.S.C. 60101 note), subsection (f), by striking 2003 through 2006. And inserting 2012 through 2015..

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

30-45 days for review of White Papers. 30-45 days for review of proposals (if requested).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 49, Chapter 12, Part 60101, Public Law 112-90. Full proposals must include cost sharing of at least 30%. If selected for award an Other Transaction Agreement (OTA) is awarded by PHMSA.

Section 32 (f) of The Pipeline Safety, Regulatory Certainty, and Job Creation Act of 2011 signed into law in January 2012 (PUBLIC LAW 11290JAN. 3, 2012) amends Section 12 of the Pipeline Safety Improvement Act of 2002 (49 U.S.C. 60101 note) by adding subsection d including 12(d)(3)( C) FUNDING FROM NON-FEDERAL SOURCES.The Secretary shall ensure at least 30

percent of the costs of program-wide research and development activities are carried out using non-Federal sources.

The 2011 Act also amends Section 12 of the Pipeline Safety Improvement Act of 2002 (49 U.S.C. 60101 note), subsection (f), by striking 2003 through 2006. And inserting 2012 through 2015..

Matching Requirements: Percent: 30.%. Cost sharing of at least 30% is required. Full proposals must include cost sharing of at least 30%. If selected for award an Other Transaction Agreement (OTA) is awarded by PHMSA.

Section 32 (f) of The Pipeline Safety, Regulatory Certainty, and Job Creation Act of 2011 signed into law in January 2012 (PUBLIC LAW 11290JAN. 3, 2012) amends Section 12 of the Pipeline Safety Improvement Act of 2002 (49 U.S.C. 60101 note) by adding subsection d including 12(d)(3)(C) FUNDING FROM NON-FEDERAL SOURCES. The Secretary shall ensure at least 30 percent of the costs of program-wide research and development activities are carried out using non-Federal sources.

The 2011 Act also amends Section 12 of the Pipeline Safety Improvement Act of 2002 (49 U.S.C. 60101 note), subsection (f), by striking 2003 through 2006. And inserting 2012 through 2015..

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of an Other Transaction Agreement is normally between 1 and 3 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Draft final project report, Final project report. No cash reports are required. Quarterly status and progress report. Invoices are to be submitted no more frequently than quarterly. Peer Reviews are conducted on the project. They normally occur during the first quarter of each calendar year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. If the awardee is a state or local government, or a non-profit organization.

**Records:**

Financial records are subject to Government examination or audit, and must be maintained for 3 years from the completion of the Other Transaction Agreement..

**Account Identification:**

69-5172-0-2-407.

**Obligations:**

(Project Grants) FY 11 \$725,000; FY 12 est \$6,920,000; and FY 13 est \$12,931,000

**Range and Average of Financial Assistance:**

The range of awards is \$40,000 to \$856,000. The average is \$189,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For FY 2011- see <http://primis.phmsa.dot.gov/rd/success.htm> for success stories. Fiscal Year 2012: For FY 2012- see <http://primis.phmsa.dot.gov/rd/success.htm> for success stories. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

An in depth description of the PHMSA Pipeline Safety R&D Program can be found at <http://primis.phmsa.dot.gov/rd/>. A listing of OTA awards can be found at: <http://primis.phmsa.dot.gov/matrix/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Merritt. U.S. DOT, Pipeline and Hazardous materials safety

Administration, Office of Pipeline Safety, 793 Countrybriar Lane, Highlands Ranch, Colorado 80129. Email: James.Merritt@dot.gov Phone: 303-683-3117. Fax: 303-346-9192.

**Website Address:**

[www.phmsa.dot.gov/](http://www.phmsa.dot.gov/); <http://primis.phmsa.dot.gov/rd/>

**RELATED PROGRAMS:**

20.700 Pipeline Safety Program Base Grants; 20.710 Technical Assistance Grants; 20.720 State Damage Prevention Program Grants; 20.721 PHMSA Pipeline Safety Program One Call Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Described projects are located at: <http://primis.phmsa.dot.gov/matrix/>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific evaluation criteria, for each PHMSA Research Announcement, is located in the announcement document.

**20.761 BIOBASED TRANSPORTATION RESEARCH**

(Biobased R&D)

**FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA- LU), Public Law 109-59, 119 Stat. 1781.

**OBJECTIVES:**

Carry out biobased research of national importance at the National Biodiesel Board and at research centers identified in section 9011 of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8109).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-59, August 10, 2005 119 Stat. 1781) Subtitle B Title V Section 5101 (m) The Department's role will be to manage the grants, coordinate with the grantees to best address related DOT program needs, and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Earmark recipients as designated in SAFTEA- LU , Public Law 109-59, August 10, 2005 119 Stat. 1781, Subtitle B Title V Section 5101 (m).

**Beneficiary Eligibility:**

Public and private nonprofit institutions of higher learning and industry trade groups.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular A-21. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. No new grants will be awarded during the program's remaining authorization (through 2009).

**Award Procedure:**

No new grants will be awarded during the program's remaining authorization (through 2009).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. Fifteen working days from receipt of proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20.%. The Federal share of this grant shall be 20 percent of the funds received by the grantee.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Four years as designated in: SAFTEA-LU (Public Law 109-59, August 10, 2005, 119 Stat. 1781) Subtitle B Title V Section 5101 (m). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Final technical report at the end of each research project. SF-270. Quarterly progress reports and annual project reports. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit findings, all grant products, financial records, and supporting documents.

**Account Identification:**

69-8083-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 Estimate Not Available - FY 2011 -- This program did not receive funding for the current fiscal year.

FY2012 -- This program is not projected to receive funding in fiscal year 2012.

**Range and Average of Financial Assistance:**

The range is between \$9,000,000 -\$13,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Sun Grant Centers and the National Biodiesel Board are continuing their research projects on cellulosic and biodiesel feedstock conversion and distribution. Fiscal Year 2012: The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59), enacted in 2005, Section 5201(m). Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Public Law 109-59), enacted in 2005, Section 5201(m).

**Regional or Local Office:**

None.

**Headquarters Office:**

Shawn Johnson, 1200 New Jersey Avenue, S.E, E33-470, Washington, District of Columbia 20590 Email: shawn.johnson@dot.gov Phone: (202) 366-1762.

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Research projects on cellulosic and biodiesel feedstock conversion and distribution. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.762 RESEARCH GRANTS****FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA\_LU), Public Law 109-59, 423 U.S.C 117 and 502.

**OBJECTIVES:**

A. Rural Transportation Research Initiative, North Dakota State University's Upper Great Plains Transportation Institute must carry out the Rural Transportation Research Initiative. B. Hydrogen-Powered Transportation Research Initiative, University of Montana must carry out the Hydrogen-Powered Transportation Research Initiative. C. Cold Region and Rural Transportation Research, Maintenance, and Operations, Montana State University's Western Transportation Institute is to develop a research facility in Lewistown, Montana, for basic and applied research and testing on surface transportation issues facing rural and cold regions. D. Advanced Vehicle Technology, University of Kansas Transportation Research Institute is to research and develop advanced vehicle technology concepts, focused on vehicle emissions, fuel cells and catalytic processes, and intelligent transportation systems. E. Renewable Transportation Systems Research, University of Vermont is to research, develop and field test of hydrogen fuel cell and biofuel transportation technology. F. Alternative Fuels and Life Cycle Engineering, Rochester Institute of Technology are to conduct applied research for alternative fuel vehicle testing and analysis and manufacturing technology.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The grantees will conduct research according to the provisions provided in SAFETEA-LU (Public Law 109-59), August 10, 2005, 119 Stat. 1406. The Department's role will be to manage the grants, provide technical collaboration, coordinate with the grantee to best address related DOT program needs and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Legislated grants in SAFETEA-LU Section 5513(d),(g) and (i).

**Beneficiary Eligibility:**

All listed beneficiaries will benefit from results produced by these research efforts.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

None. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. It is recommended that applicants use the procedures prescribed in grants.gov to facilitate an electronic application process. This will allow applicants the opportunity to submit all required forms, along with the necessary technical and cost proposals as prescribed in the relevant Opportunity description.

**Award Procedure:**

This is a Congressional earmark grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

See award procedures.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20.%. There is a 20% matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

See SAFETEA-LU (Public Law 109-59) for additional information. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Quarterly reports. SF-425. Annual reports are required. SF-425. RITA monitors all grant awards with site visits and report reviews.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions of higher education or other non-profit organizations are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133.

**Records:**

Grantee is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit finding, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1136-0-1-401.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$500K to \$5M. Average \$2.25M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A. Rural Transportation Research Initiative Conducting two projects in support of rural transportation: Agricultural Freight Decision Support Center for the Upper Midwest and the Surface Mobility Application Real-Time Simulation Environments; B. Hydrogen- Powered Transportation Research Initiative Commence construction of a maglev 30 guideway for testing of two person vehicle powered by renewable hydrogen; C. Cold Region and Rural Transportation Research, Maintenance and Operations Continue with previous year research efforts, install wireless communications system, construct communications tower; and pursue additional research efforts related to enhancing transportation safety in rural transportation and cold regions; D. Advanced Vehicle Technology Continue working on projects that could yield patentable technologies and continue investigating the thermodynamics of an Ionic Liquid-Based Absorption Refrigeration/Air-conditioning system for increased fuel efficiency and reduced emissions; E. Renewable Transportation Systems Research Grant should be in close-out process for the upcoming fiscal year; and F. Alternative Fuels and Life Cycle Engineering Determining the use of higher levels of Ethanol or E20 without converting engines to increase demands for more filling station and assist with neutralizing the carbon

footprint. Fiscal Year 2012: A. Rural Transportation Research Initiative Conducting two projects in support of rural transportation: Agricultural Freight Decision Support Center for the Upper Midwest and the Surface Mobility Application Real-Time Simulation Environments; B. Hydrogen- Powered Transportation Research Initiative Commence construction of a maglev 30 guideway for testing of two person vehicle powered by renewable hydrogen; C. Cold Region and Rural Transportation Research, Maintenance and Operations Continue with previous year research efforts, install wireless communications system, construct communications tower; and pursue additional research efforts related to enhancing transportation safety in rural transportation and cold regions; D. Advanced Vehicle Technology Continue working on projects that could yield patentable technologies and continue investigating the thermodynamics of an Ionic Liquid-Based Absorption Refrigeration/Air-conditioning system for increased fuel efficiency and reduced emissions; E. Renewable Transportation Systems Research Grant should be in close-out process for the upcoming fiscal year; and F. Alternative Fuels and Life Cycle Engineering Determining the use of higher levels of Ethanol or E20 without converting engines to increase demands for more filling station and assist with neutralizing the carbon footprint. Fiscal Year 2013: Continuing two projects in support of rural transportation: Agricultural Freight Decision Support Center for the Upper Midwest and the Surface Mobility Application Real-Time Simulation Environments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

\*: 2 CFR Part 220 Cost Principles for Educational Institutions and 2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dawn Tucker-Thomas, 1200 New Jersey Avenue, E33-464, Washington, District of Columbia 20590 Email: dawn.tucker-thomas@dot.gov Phone: (202) 366-1300.

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: A. Rural Transportation Research Initiative projects include 1.) selecting, designing, and implementing a sustainable knowledge foundation needed for transportation investments, systems planning, and policy decision that enrich economic development in rural areas and 2.) develop a plan for surface mobility application real-time simulation environments. B. Cold Region and Rural Transportation Research, Maintenance and Operations projects include 1.) evaluating friction measuring devices during winter conditions, 2.) investigating the longevity of corrosion inhibitors in solid and aqueous deicers, 3.) a road animal detection system testbed, and 4.) California Department of Transportation is sponsoring research to establish best practices for removing snow and ice from California roadways. C. Hydrogen Power Research projects include 1.) developing hydrogen safety training materials and training site to provide training for first responders, 2.) develop an operational demonstration of a life sized hydrogen powered personal rapid transit non-guideway operating on magnetic levitation, and 3.) developing commercially viable membrane technology capable of separating 99.999 pure hydrogen gaseous environments. D Renewable Transport Systems grant closed in 2011. E. Advanced Vehicle Technology project includes promoting alternatively fueled race cars at NASCAR events and investigating thermodynamics of an ionic liquid. F. Alternative Fuels and Life Cycle Engineering project includes expanding modeling capability to different segments of alternative fuels. Fiscal Year 2012: A. Rural Transportation Research Initiative projects include 1.) selecting, designing, and implementing a sustainable knowledge foundation needed for transportation investments, systems planning, and policy decision that enrich economic development in rural areas and 2.) develop a plan for surface mobility application real-time simulation environments. B. Cold Region and Rural Transportation Research, Maintenance and

Operations projects include 1.) evaluating friction measuring devices during winter conditions, 2.) investigating the longevity of corrosion inhibitors in solid and aqueous deicers, 3.) a road animal detection system testbed, and 4.) California Department of Transportation is sponsoring research to establish best practices for removing snow and ice from California roadways.

C. Hydrogen Power Research grant closed.

D. Renewable Transport Systems - grant closed.

E. Advanced Vehicle Technology project includes promoting alternatively fueled race cars at NASCAR events and investigating thermodynamics of an ionic liquid.

F. Alternative Fuels and Life Cycle Engineering project includes expanding modeling capability to different segments of alternative fuels. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.764 HYDROGEN STORAGE RESEARCH AND DEVELOPMENT**

(RIT H2 Life Cycle)

**FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

**AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005 (SAFTEA-LU), Public Law 109-59, 1406 Stat. 3891.

**OBJECTIVES:**

To conduct research to develop hydrogen storage technologies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grantee will conduct research according to the provisions provided in SAFTEA- LU (Public Law 109-59, August 10, 2005, 119 Stat. 1406) number 3891. The Department's role will be to manage the grants, provide technical collaboration, coordinate with the grantee to best address related DOT program needs and ensure that no unnecessary duplication of effort exists with other DOT projects.

**Applicant Eligibility:**

Universities eligible for these grants are identified in Congressional legislation.

**Beneficiary Eligibility:**

All listed beneficiaries will benefit from results produced by these research efforts.

**Credentials/Documentation:**

A formal application outlining how the institution will meet the project scope; detailed delineation of organization, staff, faculty, and budget. Costs are determined in accordance with OMB Circular No. A-21. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

This is a Congressional earmark.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 15 days. 15 working days from receipt of proposal.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20.%. The Federal share of this grant shall be 20 percent of the funds received by the grantee.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

SAFTEA- LU (Public Law 109-59, August 10, 2005, 119 Stat 1406. Number 3891. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

A final technical report at the end of each research project. SF-425. Quarterly progress reports and annual project reports. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions of higher education or other non-profit organizations are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, Audits of State, Local Governments, and Non-Profit Organizations.

**Records:**

Grantee is required to retain intact, for 3 years following submission of the final expenditure report, pending resolution of audit finding, all grant products, financial records, and supporting documents.

**Account Identification:**

69-1730-0-1-407.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No new funding but previously obligated funds enables activities to continue.

**Range and Average of Financial Assistance:**

\$350K to \$500K.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Established a Center for Hydrogen Storage Research at Delaware State University for the preparation and characterization of selected complex metal hydrides and the determination their suitability for hydrogen storage. Developed methods for the synthesis, characterization, and modeling of complex hydrides using LiBH<sub>4</sub>/MgH<sub>2</sub> as a model system. Identified the most promising types of complex hydrides destabilized hydrides and demonstrate the optimum temperature/pressure range and sorption kinetics of the hydrides under a variety of conditions.

Continue to study the hydrogen sorption characteristics and determine their suitability for hydrogen storage. Continuing to do thermodynamics, kinetics and modeling studies. New catalysts will be tested including one based on niobium fluoride. Continue studying several new destabilized studies based on first principles calculations to have good potential for hydrogen storage. These will include a study of some amide based hydrogen storage systems. Thermodynamics, kinetics, and modeling will be done on these systems. Continue collaboration with the University of Delaware on a new project involving a hydrogen storage containment system for vehicular transportation. Fiscal Year 2012: During fiscal year 2012, the grant recipient reported on the thermodynamics, kinetics and modeling study of MgH<sub>2</sub> mechanically alloyed with certain additives. They have expanded these studies to include the MgH<sub>2</sub>/LiNH<sub>2</sub> system. This is a system that has been identified by Department of Energy as one with excellent potential for hydrogen storage. TPD and kinetics have been initiated on this system. Results have shown that KH is a very effective catalyst for the desorption of hydrogen from the MgH<sub>2</sub>/2LiNH<sub>2</sub> system. We have also determined activation energies for the

MgH<sub>2</sub>/2LiNH<sub>2</sub> system with and without a KH catalyst using Kissinger analysis. Results show that the KH lowers the activation energy. Fiscal Year 2013: Working with collaborators at the University of Delaware on the design, fabrication and testing of a hydride-based hydrogen storage system for fuel cell applications. Developing ways to improve the rate at which the hydrogen gas can be charged into a hydride-based hydrogen storage tank, and to improve the hydrogen storage density.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR Part 220 Cost Principles for Educational Institutions and 2 CFR Part 215 Uniform Administrative Requirements for Grants and Agreements with Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dawn Tucker-Thomas, 1200 New Jersey Avenue, S.E, Washington, District of Columbia 20590 Email: dawn.tucker-thomas@dot.gov Phone: (202) 366-8018.

**Website Address:**

<http://chem.desu.edu/researchCenter.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Center for Hydrogen Storage Research at Delaware State University has been successful in identifying a number of new materials that have high gravimetric and volumetric hydrogen densities. The most promising classes of materials are alanates, borohydrides, and amides. All of these materials have enough hydrogen storage capacity for a 300 mile trip. However, in order for them to be suitable for hydrogen storage, they must be able to absorb and release the hydrogen rapidly at moderate conditions of temperature and pressure. These materials can all absorb and release hydrogen rapidly at temperatures in excess of 300 oC. The challenge has been finding suitable catalysts that can lower reaction temperatures and improve reaction rates. The Center has found several catalysts that have greatly improved reaction rates and lowered reaction temperatures to below 200 oC. However this is still higher than the 80 oC that is desirable for fuel cell operation. Kinetic modeling results have identified the process that is limiting the overall reaction rates and newer catalysts are still being developed to improve reaction rates and lower reaction temperatures ever further. Partners at the University of Delaware have constructed a model hydrogen containment system. Tests have been valuable in determining the efficiency of the system in dissipating the heat that is formed upon hydrogen absorption. University of Delaware has developed ways to improve thermal conductivity and dissipate this heat of reaction.

1. Establish a Center for Hydrogen Storage Research at Delaware State University for the preparation and characterization of selected complex metal hydrides and the determination their suitability for hydrogen storage.
2. Develop methods for the synthesis, characterization, and modeling of complex hydrides using a modeling system.
3. Identify the most promising types of complex hydrides and demonstrate the optimum temperature/pressure range and sorption kinetics under a variety of conditions.
4. Determine their cyclic suitability and develop improved sorption catalysts.
5. Perform kinetic modeling studies and develop methods for improving kinetics and lowering reaction temperatures. Fiscal Year 2012: 1. Establish a Center for Hydrogen Storage Research at Delaware State University for the preparation and characterization of selected complex metal hydrides and the determination their suitability for hydrogen storage.
2. Develop methods for the synthesis, characterization, and modeling of complex hydrides using a modeling system.
3. Identify the most promising types of complex hydrides and demonstrate the optimum temperature/pressure range and sorption kinetics under a variety of conditions.
4. Determine their cyclic suitability and develop improved sorption catalysts.
5. Perform kinetic modeling studies and develop methods for improving kinetics and lowering reaction temperatures. Fiscal Year 2013: 1. Determine their cyclic stability and develop improved sorption catalysts. 2. Perform kinetic modeling studies and develop methods for improving kinetics and

lowering reaction temperatures. 3. Extend the studies to include several new destabilized systems that have been predicted, based on first principles calculations, to have good potential for hydrogen storage. 4. Extend the studies to include carbon-based materials such as metal organic frameworks (MOFs) that have great potential for hydrogen storage. 5. Develop a viable storage system using flow, reaction kinetics and thermal modeling, followed by system design, fabrication and performance evaluation.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.802 FEDERAL SHIP FINANCING GUARANTEES**

(Title XI)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Federal Credit Reform Act, 46 U.S.C 537.

**OBJECTIVES:**

To provide competitive financing through the issuance of guarantees of debt issued for the purpose of financing or refinancing the construction, reconstruction or reconditioning of vessels built in United States shipyards and guarantee obligations for advanced shipbuilding technology and modern shipbuilding technology of a general shipyard facility located in the United States to stimulate commercial ship construction for domestic and export sales, encourage shipyard modernization, and support increased productivity.

**TYPES OF ASSISTANCE:**

GUARANTEED/INSURED LOANS

**USES AND USE RESTRICTIONS:**

Guarantees are available to aid in financing of: (1) advanced shipbuilding technology and modern shipbuilding technology of a general shipyard facility located in the United States, and (2) vessels (including eligible export vessels) which are designed for research or for commercial use (a) in coastwise or intercoastal trade; (b) on the Great Lakes or on bays, sounds, rivers, harbors, or inland lakes of the United States; (c) in foreign trade; (d) as an ocean thermal energy conversion facility or plantship; (e) as floating drydocks, or (f) with respect to an eligible export vessel, in world-wide trade. Any vessel of not less than 5 net tons, (other than a towboat, barge, scow, lighter, car float, canal boat or tank vessel of less than 25 gross tons) is eligible.

**Applicant Eligibility:**

An individual with the ability, experience, financial resources, and other qualifications necessary for the adequate operation and maintenance of a vessel or an eligible shipyard.

**Beneficiary Eligibility:**

U.S. and foreign shipowners, or eligible U.S. shipyards.

**Credentials/Documentation:**

Financial history, economic feasibility of project, operating history, citizenship of applicant. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Informal preapplication meeting is recommended. This program is excluded from coverage under OMB Circular No. A-102. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application Form MA-163 must be filed with the Office of Marine Financing, Maritime Administration, 1200 New Jersey Avenue, S.E., Washington, DC 20590.

**Award Procedure:**

Final approval granted by the Maritime Administrator.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The Maritime Administration is required to approve or deny an application within two years of receiving a signed application.

**Appeals:**

none.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance provided as ship/shipbuilding technology is constructed and/or throughout life of ship/shipbuilding technology, but in any case not to exceed 25 years from vessel delivery or economic life of the assets being financed. See the following for information on how assistance is awarded/released: Guarantee of private-sector debt.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. See "Index of Current Regulations," Maritime Administration.

**Records:**

Financial reports as per contract. Annual reports regarding citizenship, no default certificates, vessel requirements.

**Account Identification:**

69-1752-0-1-403.

**Obligations:**

(Salaries) FY 11 \$3,587,029; FY 12 est \$3,740,000; and FY 13 est \$3,750,000. (Guaranteed/Insured Loans) FY 11 \$141,771,189; FY 12 est \$70,223,908; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Historically projects have ranged from less than \$1 million to several hundred million. (Average is not entered, because it would not be typical of the breadth of the program.).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011 approved over \$797 million of new guarantees. Fiscal Year 2012: In 2012 authority to guarantee over \$750 million of new guarantees. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR Part 298. Booklet entitled, "Federal Ship Financing Program."

**Regional or Local Office:**

See Regional Agency Offices. See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Daniel Ladd 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-1859

**Website Address:**

<http://www.marad.dot.gov>

**RELATED PROGRAMS:**

11.415 Fisheries Finance Program; 20.808 Capital Construction Fund

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In 2011 MARAD approved loan guarantees to finance five offshore service vessels for service in Brazil, two articulated tug-barges for lightering service in the Delaware River and three articulated tug-barges for service in the Gulf of Mexico. Fiscal Year 2012: No projections available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Projects which involve the construction, reconstruction or reconditioning of vessels in the United States and advanced and modern shipbuilding technology

for a general shipyard facility are eligible for Title XI financing. In order to receive approval, applicants must possess the necessary ability, experience, financial resources and other qualifications. The financial resources necessary for the project are determined by the project's costs and the financial position and resources available to the applicant. Additionally, all projects must be determined to be economically feasible before approval can be granted. Applications are generally processed with a view towards accommodating the time frame of each and every applicant.

**20.803 MARITIME WAR RISK INSURANCE**

(Title XII, MMA, 1936)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Public Law 110-417, 46 U.S.C 539.

**OBJECTIVES:**

To provide war risk insurance whenever it appears to the Secretary of Transportation that adequate insurance for waterborne commerce cannot be obtained on reasonable terms and conditions from licensed insurance companies in the United States.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

Insurance binders or policies on certain vessels in operation or under construction are provided for nominal cost in peacetime.

**Applicant Eligibility:**

All U.S. flag vessels, and certain foreign flag vessels meeting specific criteria as determined by the Maritime Administrator.

**Beneficiary Eligibility:**

Covered beneficiaries include vessel owners, their crews, and certain designated beneficiaries of deceased crew members.

**Credentials/Documentation:**

Applications, vessel data, unqualified contract of commitment, and other supporting data as required by 46 CFR Part 308. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complete and proper filing of applications, supporting documents, and payment of appropriate binding fees or promises as specified in 46 CFR Part 308.

**Award Procedure:**

Binders issued only to those applicants that qualify.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 5 to 15 working days.

**Appeals:**

Not Applicable.

**Renewals:**

This program has been extended until December 31, 2015.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Indeterminate; depends on war situation and posture of the country. Method of

awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable in peacetime.

**Account Identification:**

69-4302-0-3-403.

**Obligations:**

(Insurance) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Applicable only in designated combat areas, subject to terms of the binder.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Rules and Regulations are set forth under 46 CFR 308 (as published under authority of Public Law 101-115) and 309 as amended from time to time in the Federal Register.

**Regional or Local Office:**

See Regional Agency Offices. American War Risk Agency, 30 Broad Street 7th floor, New York, NY 10004 Telephone: (212) 405-2814.

**Headquarters Office:**

George M. Zoukee 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202)366-9595

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**20.806 STATE MARITIME SCHOOLS**

State Maritime Schools or Academies (SMA)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Maritime Education and Training Act, Public Law 96-453, 46 U.S.C 51501 - 51511.

**OBJECTIVES:**

To educate and train future merchant marine officers at the State Maritime Academies (SMA). These graduates education and training prepares them to enter the maritime industry in numerous capacities, including crewing merchant vessels and also to be available during national emergencies or contingencies.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Operation and maintenance of State Maritime Schools/Academies; maintenance and repair of training vessels loaned by Federal Government; student incentive payments to selected U.S. qualified students. Students, meeting eligibility requirements.

**Applicant Eligibility:**

State institutions of higher education. Assistance is limited to one maritime academy in any one State.

**Beneficiary Eligibility:**

Students, meeting eligibility requirements.

**Credentials/Documentation:**

Formal application from State Governor setting forth evidence of establishment of school; State appropriation for the school; suitable curriculum and facilities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Letter from a State Governor to the Secretary of Transportation or the Maritime Administrator. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

Need for training must be established. The final award is approved by the Maritime Administrator.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Federal/State contracts for assistance automatically extended year by year unless cancelled.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Annual assistance payment of \$4,500,000 to regional academies if matched by State appropriations and if out-of-State students are enrolled. Federal assistance consists of (1) lump-sum annual assistance payment to schools, (2) loan of vessel and payment for its maintenance, and (3) student incentive payments. States are required to show that their annual funding for the school at least matches the Federal lump sum assistance payment. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Annual payments to the schools are given on a lump-sum basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator. SF-272. Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator. SF-425. Monthly enrollment by class. Annual cost analysis of school operation. Other at request of the Maritime Administrator.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Pertaining to each school, its officers, faculty and students, the vessel and crew, and the shore base are required to be kept for the period of employment/enrollment, plus 6 years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**



(Direct Payments for Specified Use) FY 11 \$16,146,678; FY 12 est \$17,100,000; and FY 13 est \$16,045,000

**Range and Average of Financial Assistance:**

Annual assistance payment of \$400,000 to each regional school provided State matches funds and admits eligible out-of-state student. An allowance of \$8,000 per academic year, not to exceed 4 years, paid to selected students in good standing in the student incentive payment program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 10% licensed graduate increase this fiscal year over 2010. Fiscal Year 2012: 2012 Estimated 10% licensed graduate increase this fiscal year over 2011 and increased Enrollment projected for the licensed programs at the SMAs. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 310A; Standard college catalogs are available from the schools listed below .

**Regional or Local Office:**

See Regional Agency Offices. (a) Federal Government: none; (b) standard information for prospective students: Maine Maritime Academy, Castine, ME 04421; Massachusetts Maritime Academy, Buzzards Bay, MA 02532; State University of New York Maritime College, Fort Schuyler, NY 10465; Texas Maritime Academy, Galveston, TX 77550; California Maritime Academy, Vallejo, CA 94591; Great Lakes Maritime Academy, Traverse City, MI 49684.

**Headquarters Office:**

Anne Wehde 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-5469.

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 20.807 U.S. Merchant Marine Academy

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 2011 - SMA Program consisting of SIP Program 2.15M; Direct Support Payment 2.55M and Schoolship Maintenance Funded at 11.2 M Total for the SMA Program \$15.94M. Fiscal Year 2012: 2012 SMA Program consisting of SIP Program 2.4M; Direct Support Payment 3.6M and Schoolship Maintenance Funded at 11.1 M Total for the SMA Program \$17.1M. Fiscal Year 2013: Not Approved By Congress (Similar to last year).

**CRITERIA FOR SELECTING PROPOSALS:**

See Credentials/Documentation section of this program.

**20.807 U.S. MERCHANT MARINE ACADEMY**

(Kings Point)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Maritime Education and Training Act, Public Law 46-51301-51316.

**OBJECTIVES:**

To educate and train merchant marine officers.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

This program is a federally operated maritime academy providing education, training, subsistence, books, quarters, uniforms, medical care, and program travel to its U.S. citizen students. Appropriations restricted to the above and the operation and maintenance of the school. International students may attend, at the expense of their sponsoring nation. Federal education grants and/or student loans are available to cover the cost of midshipman fees for supplies and services of a personal nature (estimated at a total of \$3,014 over four years for the Class of 2016).

**Applicant Eligibility:**

High school graduates who are U.S. citizens and international students in accordance with legislation. In general, criteria are similar to those generally

used for college admission.

**Beneficiary Eligibility:**

High school graduates who are U.S. citizens and eligible international students.

**Credentials/Documentation:**

Usual documents for college admission and a comprehensive physical examination. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

U.S. citizens desiring appointment to the school apply to Senate or House of Representative members or Maritime Administrator for nomination. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Nominating officials submit nominations to school's Office of Admission. Selection is competitive by merit.

**Award Procedure:**

Appointment approved by the Maritime Administrator.

**Deadlines:**

Aug 01, 2012 to Jan 31, 2013: Nominations. Nominations must be submitted by January 31 of the year preceding that in which admission is desired. Applications must be submitted by March 1 of the year in which admission is desired.

**Range of Approval/Disapproval Time:**

From 3 to 8 months.

**Appeals:**

To the school.

**Renewals:**

Applicants not accepted may reapply the following year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Students are furnished with required uniforms and textbooks during their tenure at the Academy. Federal education grants and/or student loans are available to cover the cost of midshipman fees for supplies and services of a personal nature. See the following for information on how assistance is awarded/released: Federal grants or loans are distributed in accordance with US Department of Education policies (usually at the start of each academic term).

**Reports:**

At the request of the Maritime Administration. SF-425. At the request of the Maritime Administration. SF-425. At the request of the Maritime Administration.

**Audits:**

Not Applicable.

**Records:**

Copies will be furnished at the request of the Maritime Administration. Those pertaining to its officers, faculty, staff and midshipmen shall be kept for the period of enrollment plus eight years.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$60,768,815; FY 12 est \$85,168,000; and FY 13 est \$77,253,000

**Range and Average of Financial Assistance:**

Annual assistance payment of \$400,000 to each regional school provided State matches funds and admits eligible out-of-state student. An allowance of

\$48,000 per academic year, not to exceed 4 years, payment to selected students in good standing in the student incentive payment program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, USMMA graduated 206 new licensed merchant marine officers in the Class of 2011, and welcomed 292 new Midshipmen in the Class of 2015. USMMA continued its capital repair and modernization efforts, including work on Mallory Pier (the primary berthing location for its training vessels), initial design work on refurbishment of the commercial kitchen servicing Delano Hall (the midshipman dining facility), and replacement of the surface of Tomb Field (the primary parade ground and athletic field) was completed. The USMMA successfully completed a USCG/MARAD audit of its merchant marine officer licensing programs, and was described as having a model program of performance assessment. Additional areas of focus have included major program review of overhaul of its internal controls systems and business practices; completion of its annual Sexual Harassment and Sexual Harassment report; and other program and policy changes to address recommendations included in the FY 2009 GAO audit report. Fiscal Year 2012: In FY 2012, USMMA graduated 219 new licensed merchant marine officers in the Class of 2012, and welcomed 276 new Midshipmen in the Class of 2016. USMMA issued a Strategic Plan in mid-summer, outlining its strategic goals and objectives for the next five years. USMMA continued its capital repair and modernization efforts, initiating work on Mallory Pier (the primary berthing location for its training vessels), the Delano Hall galley (the commercial kitchen servicing the midshipman dining facility), and Rogers Hall (the fifth of six student dormitories to be rehabilitated) The USMMA successfully completed its five-year periodic accreditation review by the Middle States Commission on Higher Education, and made a number of key hires (Superintendent, Academy Counsel, Risk Management Officer, Director of External Affairs, and Sexual Assault Response Coordinator) It will also continue to address management and internal controls deficiencies identified by the GAO in their 2009 and 2011 reports. Fiscal Year 2013: In FY 2013, USMMA intends to graduate approximately 210 new licensed merchant marine officers in the Class of 2013, and welcome 289 new Midshipmen in the Class of 2017; meet milestones for completion of renovations to Mallory Pier, Delano Hall, and Rogers Hall; complete a comprehensive Building Evaluation Report; and initiate rehabilitation on Cleveland Hall (the sixth and final student dormitory); and continue to undertake design studies and Initiate renovations to numerous academic and infrastructure systems on campus. It will also continue to address management and internal controls deficiencies identified by the GAO in their 2009 and 2011 reports.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 310 Subpart C; Standard college catalogs and brochures.

**Regional or Local Office:**

None. Director of Admissions  
U.S. Merchant Marine Academy  
300 Steamboat Road, Admissions Center  
Kings Point, New York 11024-1699

USMMA Admissions Office and Field Representatives listed in the Catalog.

**Headquarters Office:**

Anne Wehde 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-5469.

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 20.806 State Maritime Schools

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: For FY 2011: instructional program requirements (\$3.6 million); midshipman program needs (including food, uniforms, travel, health services) (\$8.6 million); information technology (\$3.7 million); program administration (including security, admissions, general operations) (\$1.8 million); general maintenance and repair (including utilities, grounds and facilities maintenance) (\$7.1 million); midshipman dining hall and kitchen renovation (Phase I) (\$14.0 million); deferred maintenance and capital repair projects (\$2.9 million); faculty and staff compensation (\$32.4 million);

midshipman fee refunds (\$6.0 million). Fiscal Year 2012: For FY 2012: instructional program requirements (\$3.9 million); midshipman program needs (including food, uniforms, travel, health services) (\$9.5 million); information technology (\$5.8 million); program administration (including security, admissions, general operations) (\$2.1 million); campus operations (including utilities, janitorial, and support services) (\$7.2 million); facilities maintenance and repair (\$5.9 million); Rogers Hall dormitory renovation (\$15.0 million); deferred and capital repair projects (\$2.0 million); faculty and staff compensation (\$33.8 million). Fiscal Year 2013: For FY 2013 (Presidents Budget): instructional program requirements (\$4.9 million); midshipman program needs (including food, travel, health services) (\$10.2 million); information technology (\$5.8 million); program administration (including security, admissions, general operations) (\$2.1 million); campus operations (including utilities, janitorial, and support services) (\$7.2 million); facilities maintenance and repair (\$3.1 million); capital repair projects (\$10.0 million); and faculty and staff compensation (\$34.3 million).

**CRITERIA FOR SELECTING PROPOSALS:**

See Credentials/Documentation section of this program.

**20.808 CAPITAL CONSTRUCTION FUND**

(CCF)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Section 607, Public Law 91-469, 1018 Stat. , 46 U.S.C 53501 - 53517.

**OBJECTIVES:**

To provide for replacement vessels, additional vessels or reconstructed vessels, built and documented under the laws of the United States for operation in the United States foreign, Great Lakes, Marine Highways or noncontiguous domestic trades.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The capital construction fund program is a program created to help rejuvenate the American Merchant Marine. The assistance provided is not through payment of appropriated funds, but rather allows the fund holder to defer a portion of tax monies that would otherwise be paid to the U.S. Government during the tax year. The extension of tax deferral privileges encourages the accomplishment of the program objective by allowing the fund holder to accumulate and use otherwise taxable earnings for the purposes of acquiring, constructing or reconstructing vessels built and documented in the United States and operated in the United States foreign, Great Lakes or noncontiguous domestic trade and in the fisheries.

**Applicant Eligibility:**

An applicant must be a U.S. citizen, own or lease one or more eligible vessels, have a program for the acquisition, construction or reconstruction of a qualified vessel and demonstrate the financial capabilities to accomplish the program.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Be able to provide proof of requirements called for in the Applicant Eligibility section of this program. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Contact the Maritime Administration, Office of Financial Approvals and Marine Insurance. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. See Federal Register Notice (46 CFR Part 390, Appendix I) dated January 29, 1976.

Persons seeking to enter into a Capital Construction Fund Agreement may make application by letter to the headquarters office shown below.

**Award Procedure:**

The Office of Financial Approvals and Marine Insurance reviews the application to determine the citizenship of the applicant, whether the applicant owns or leases one or more eligible vessels, has an acceptable program for the acquisition, construction or reconstruction of a qualified vessel and has the financial capability to accomplish the program. Approved by the Associate Administrator for Business and Finance Development.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Depends upon the individual program agreed to between the Maritime Administration and the applicant. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports specified in the agreement and the rules and regulations. SF-425. Annual reports specified in the agreement and the rules and regulations. SF-425. Annual reports specified in the agreement and the rules and regulations.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All financial records are subject to audit by the Internal Revenue Service and/or the Maritime Administration, Department of Transportation.

**Records:**

See Reports.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - None. Company's own funds are used for the program.

**Range and Average of Financial Assistance:**

Applicant receives tax benefits for depositing assets in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Capital Construction Fund Agreement; Parts 390 and 391, Title 46, CFR; Part 3, Title 26, CFR.

**Regional or Local Office:**

See Regional Agency Offices. See Maritime Administration Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

George M. Zoukee 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202)366-9595

**Website Address:**

<http://www.dot.gov>.

**RELATED PROGRAMS:**

20.802 Federal Ship Financing Guarantees; 20.812 Construction Reserve Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See Award Procedure section of this program.

**20.812 CONSTRUCTION RESERVE FUND**

(CRF)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Merchant Marine Act of 1936, Section 511, Public Law 74-835, 46 U.S.C 1161.

**OBJECTIVES:**

To promote the construction, reconstruction, reconditioning, or acquisition of merchant vessels built and documented under the laws of the United States for purposes of national defense and the development of U.S. commerce.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The Construction Reserve Fund (CRF), authorized under Section 511 of the Act, is a financial assistance program which provides tax deferral benefits to U.S. flag operators. The CRF permits the fundholder to deposit gains attributable to the sale of, or indemnification for, loss of vessels and to defer tax on such gains provided the gains are to be reinvested in vessels. Also the CRF allows the accumulation of earnings from operations of vessels documented in the U.S., or the earnings from the investment of the Fund. The ability to accumulate funds and the tax deferral provision have enabled fundholders to construct or reconstruct in the United States, and documented under the laws of the United States, larger and better-equipped vessels, to reduce mortgage debt on the vessels, and to construct a greater number of vessels than would be possible without the program.

**Applicant Eligibility:**

A Construction Reserve Fund (CRF) may be established by any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S., or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual may establish a CRF.

**Beneficiary Eligibility:**

Any citizen of the United States who owns, in whole or in part, a vessel or vessels operating in the foreign or domestic commerce of the U.S. or in the fisheries. Additionally, any citizen who is operating such vessel or vessels owned by another individual.

**Credentials/Documentation:**

Be able to provide proof of requirements called for in Applicant Eligibility section of this program. The program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Contact the Maritime Administration, Office of Financial Approvals and Marine Insurance. This program is excluded from coverage under OMB Circular No. A-102. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. You may manually enter in any other application procedures not found above See Federal Register Notice (46 CFR 287.4). Persons seeking to establish a Construction Reserve Fund may make application by letter to the headquarters office shown below. This program is excluded from coverage under OMB Circular No. A-102 and A- 110.

**Award Procedure:**

Review of the application by the Office of Financial Approvals and Marine

Insurance to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Depends on each individual program agreed upon between the Maritime Administration and the applicant. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

See Reports section of this program.

**Account Identification:**

69-1750-0-1-403.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Company's own funds are used for the program.

**Range and Average of Financial Assistance:**

Defer tax on gains by depositing the gains attributable to the sale of or indemnification for loss of vessels in accordance with the program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Part 287, Title 46 CFR; Order and Form of Resolution which outlines details pertaining to the establishment and maintenance of the Construction Reserve Fund.

**Regional or Local Office:**

See Regional Agency Offices. Offices listed in appendix IV of the Catalog.

**Headquarters Office:**

George M. Zoukee 1200 New Jersey Avenue, S.E. , Washington, District of Columbia 20590 Phone: (202)366-9595

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

20.802 Federal Ship Financing Guarantees; 20.808 Capital Construction Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Review of the application by the Office of Financial Approvals and Marine Insurance to determine citizenship of the applicant, if applicant is owner or operator of the vessel and if the proposed objective of construction, reconstruction or acquisition is acceptable.

**20.813 MARITIME SECURITY FLEET PROGRAM**

(Maritime Security Program)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

The Maritime Security Act of 2003, Public Law 108-136.

**OBJECTIVES:**

The MSP program helps sustain a fleet of 60 active, commercially viable, militarily useful, privately-owned vessels operating under U.S. registry to meet national defense and other security requirements. Participating operators are required to make their ships and commercial transportation resources available upon request by the Secretary of Defense during times of war or national emergency.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Vessel's Operations restricted to U.S. foreign trade.

**Applicant Eligibility:**

U.S. citizens and operators of U.S. flag vessels .

**Beneficiary Eligibility:**

Ownership and operation of vessels and facilities useful to the United States in time of war or national emergency.

**Credentials/Documentation:**

Ownership of U.S. documented vessels. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Solicitation for applications in the Federal Register.

**Award Procedure:**

Office of Sealift Support and the Department of Defense review applications against criteria established in the Maritime Security Act of 2003.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 Days from closing of application.

**Appeals:**

Decisions concerning administration of the Maritime Security Program will be referred to the Maritime Administrator.

**Renewals:**

Program is based on 1-year contracts renewable each year, subject to funding, and not to extend past fiscal year 2015.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One year contracts, renewable yearly, payable in monthly installments. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Maritime Security Program subject to both internal and external audit. These audits will be made by the Office of the Inspector General (DOT) in accordance with the General Accounting Office guidelines, "Standards for Audit of Government Organizations, Programs, Activities and Functions," and additional

OMB guidance.

**Records:**

Vouchers on a monthly basis.

**Account Identification:**

69-1711-0-1-054.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$174,000,000; FY 12 est \$174,000,000; and FY 13 est \$184,000,000 - (Direct payments) FY 11 \$174,000,000; FY 12 \$174,000,000; FY 2013 \$184,000,000.

**Range and Average of Financial Assistance:**

\$3.1 million per vessel per year (FY 2012-2015).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 174,000,000. Fiscal Year 2012: 174,000,000. Fiscal Year 2013: 184,000,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR Part 296.

**Regional or Local Office:**

None. Director, Office of Sealift Support.

**Headquarters Office:**

Bill Kurfehs 1200 New Jersey Avenue, S.E. , Washington, District of Columbia 20590 Phone: (202) 366-2318.

**Website Address:**

<http://www.marad.dot.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Maritime Security Program payments are paid to vessels operating in U.S. foreign commerce. Vessels include containerships, Roll-on/Roll-off vessels (RO/RO), tankers and heavy lift ships. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Vessel is required to maintain U.S.-flag presence in foreign commerce and/or necessary for meeting military sealift requirements; (2) Applicant possesses operational expertise and intermodal assets useful to the United States in meeting its sealift requirements; (3) Maritime Security Program participants are required to commit sealift and intermodal capacity to the Emergency Preparedness Program (EPP), approved by the Secretary of Defense (SECDEF).

**20.814 ASSISTANCE TO SMALL SHIPYARDS**

(Small Shipyard Grants)

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

Section 3508 National Defense Authorization Act, Public Law 110-417.

**OBJECTIVES:**

To award grants for capital improvements and related infrastructure improvements at qualified shipyards that will facilitate the efficiency, cost effectiveness, and quality of domestic ship construction for commercial and Federal Government use.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

For capital and related infrastructure improvements. Cannot be used for physical facility construction or land acquisition unless specifically approved by Administrator as consistent with capital and infrastructure improvements. Federal funds cannot exceed 75 percent of project cost unless (1) cost is less than \$26,075, or (2) determination is made that project merits support and requires additional assistance. Cannot be used for physical facility construction or land acquisition unless specifically approved by the Administrator as consistent with capital infrastructure improvements.

Federal funds cannot exceed 75 percent of project costs unless a determination is made that project merits support and requires additional assistance.

**Applicant Eligibility:**

Either a shipyard or a State or local government on behalf of a shipyard can apply. The shipyard must be one in a single geographical location, located in or near a maritime community, that (1) is a small business concern within the meaning of section 3 of the Small Business Act (15 U.S.C. 632); and (2) does not have more than 600 production employees. Other factors taken into account when grants are awarded will be (a) the economic circumstances and conditions of the maritime community near to which a shipyard is located; and (B) the local, State and regional economy in which such community is located.

**Beneficiary Eligibility:**

Shipyard.

**Credentials/Documentation:**

As required by application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. SF-424 application form must be filed with the Maritime Administration. There are specific agency instructions for additional information which should be provided as an addendum to Form SF-424. These instructions were published in the Federal Register on January 10, 2008, in Vol.73, No. 7, pp.1912-1913. Applicants can go to [www.grants.gov](http://www.grants.gov) to apply.

**Award Procedure:**

Awards will be made by the Maritime Administrator in such amounts and under such conditions as he determines.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. Public Law 110-417 provides that no more than 75 percent of a project's cost may be paid from Federal Funds. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

To be individually determined based on project. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. SF-425 is required. There will be Progress Reports, Annual Reports, and/or Status Reports depending on the nature of the project and the period of time it is expected to take. No expenditure reports are required. Monitoring is based done by the audit requirements. Grants over \$500,000 have mandatory audits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipient is required to retain intact, for 3 years following submission of the

final expenditure report, pending resolution of audit findings, all project contract documents, financial records and supporting documents.

**Account Identification:**

69-1770-0-1-021.

**Obligations:**

(Project Grants) FY 11 \$10,000,935; FY 12 est \$9,980,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards can be in any amount up to \$9,980,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Successfully completed 80 of 33 funded projects. The projects help small shipyard upgrade their facilities and buy new equipment, such as all types of cranes, welding machines, plasma cutters, panel lines, drydocks and training programs. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Register publication on January 10, 2008 in Vol.73, No.7, pp.1912-1913. Implementing legislation: Section 3506 of the National Defense Authorization Act for Fiscal Year 2006 (Public Law 109-163) and section entitled "Assistance to Small Shipyards" in Consolidated Appropriations Act, 2008.

**Regional or Local Office:**

None.

**Headquarters Office:**

David.Heller 1200 New Jersey Ave, Room W21-318  
, Washington, District of Columbia 20590 Email: David.heller@dot.gov  
Phone: (202) 366-5737 Fax: (202) 366-6988.

**Website Address:**

<http://www.marad.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: 1. Allen Marine, Inc. (Sitka, Alaska) - will use a \$163,500 grant to purchase a Welding Fume and Particulate Extraction System needed to meet Occupational Safety and Health Administration requirements for air changes per minute and to maintain the proper environment for aluminum welding operations.

2. Bludworth Marine, LLC (Houston, Texas) - will use a \$610,266 grant to purchase a rubber tire gantry crane to lift and transport barges, large modules, and materials throughout the yard.

3. Bollinger Shipyards, Lockport (Lockport, Louisiana) - will use a \$188,887 grant to purchase a robotic plasma pipe-cutting machine for fast and accurate pipe cutting, a big top tent structure to protect a vessel structure from the environment and to protect the environment from contaminants, and an induction heating distortion control system to reduce plate deflection and distortion.

4. Chesapeake Shipbuilding Corporation (Salisbury, Maryland) - will use a \$423,752 grant to purchase air compressors, personnel lifts, and a mobile grit recovery system to remove blasting grit from buildings and outfitting areas. In addition, the company will implement a cross training program to improve skill sets and utilize existing workforce more efficiently.

5. Conrad Shipyard, LLC (Amelia, Louisiana) - will use a \$1,117,019 grant for drydock modernization and upgrade to expand their 280-foot 10,000-ton floating drydock by 2,500 tons in capacity and 70 feet in length.

6. Detyens Shipyards, Inc. (Charleston, South Carolina) - will use a \$1,176,776 grant to purchase two 20-ton tower cranes that will be set at both ends of an existing drydock to facilitate increased and safer service to the drydock.

7. Foss Maritime Company, Foss Seattle Shipyard (Seattle, Washington) - will

use a \$578,402 grant to purchase two 45-foot manlifts, a 14,000 CFM dust collection system to allow the yard to blast and paint without contaminating the atmosphere, a 3-ton forklift, and shelters for additional work overflow.

8. Duclos Corporation DBA Gladding-Hearn Shipbuilding (Somerset, Massachusetts) - will use a \$389,195 grant to fund shipyard infrastructure upgrades.

9. Gulf Marine Repair Corporation (Tampa, Florida) will use a \$1,083,055 grant to modernize and upgrade their 14,000-ton drydock.

10. Kvichak Marine Industries (Seattle, Washington) - will use a \$987,307 grant to purchase a water-jet cutting table to cut and bevel ferrous and non-ferrous plates, a hydraulic swing beam shear for accurate cutting in place of skill saws and band saws, lighting enhancements, a jib crane column replacement, and welding equipment. In addition, the grant will fund a training program in boatbuilding skills.

11. LEEVAC Shipyards, LLC (Jennings, Louisiana) - will use a \$667,324 grant to purchase a pipe and tube bending system that will bend pipes to the correct geometry required, eliminating the need to weld pipe sections by hand.

12. Liquid Waste Technology, LLC (New Richmond, Wisconsin) - will use a \$558,843 grant to purchase two forklifts, a 50-ton rubber tire gantry crane for transporting dredges and modules throughout the yard, and a training simulator room with two computers and software.

13. Navatek Ship Construction (Honolulu, Hawaii) - will use a \$248,805 grant to purchase wind turbines and towers that will provide clean renewable electrical service to the yard.

14. The Great Lakes Towing Company DBA Great Lakes Shipyard (Cleveland, Ohio) - will use a \$1,068,474 grant to purchase lighting, a burn table for automatic cutting, a scissor lift, welding equipment, scaffolding, a high pressure lifting skid to lift and move heavy components, boom lift, generator, and a self-propelled transporter to move vessels and modules throughout the yard.

15. Trinity Industries, Inc. (Caruthersville, Missouri) - will use a \$718,395 grant to purchase a one-side welding system that will fabricate stiffened panels using a butt-welding station, a stiffener fitting station and a stiffener welding station. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) How well the project will facilitate the efficiency, cost-effectiveness, and quality of domestic ship construction for commercial and Federal Government use, and (2) the economic factors set forth in section 081 above.

**20.816 AMERICAS MARINE HIGHWAY GRANTS**

Marine Highway Program

**FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

**AUTHORIZATION:**

2010 National Defense Authorization Act (Section 3515), Public Law 111-84, 46 U.S.C 55601 (g).

**OBJECTIVES:**

Mitigate landside congestion and realize public benefit and external cost savings by awarding Marine Highway grants to qualified applicants to implement projects or components of a designated Marine Highway project. This meets the objectives of the National Defense Authorization Act of FY 2010 (111th Congress, Public Law 111-84), which amends the Energy Independence and Security Act of 2007 (110th Congress, Public Law 110-140).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The assistance will be used to provide waterborne alternative to available landside transportation services using documented vessels and provide

transportation services for passengers or freight (or both) that may reduce congestion on landside infrastructure, realize public benefit and/or reduce external costs using documented vessels. Components of projects that are eligible for grant funding include, but are not limited to the following:

- Port and terminal infrastructure (wharves, docks, terminals, paving, etc.)
- Cargo, passenger and/or vessel handling equipment
- Efficiency or capacity improvements in ports, terminals, aboard vessels, intermodal connectors, etc.

**Investments that improve environmental sustainability; and**

New or used vessel purchase or vessel modifications, 100 percent are discretionary funds.

**Applicant Eligibility:**  
Grant applicants must be public agencies at the state, regional or local level including, but not limited to, Metropolitan Planning Organizations, State governments (including State Departments of Transportation) and port authorities. They must also have had their projects for which they are requesting funds be designated as Marine Highway Projects under Americas Marine Highway Program (110th Congress, Public Law 110-140).

In order to receive a grant under this program, applicants must submit an application to the Secretary and demonstrate that the project is financially viable, the funds will be spent efficiently and effectively, and that a market exists for the services of the proposed project as evidenced by contracts or written statements of intent from potential customers. An applicant shall provide at least 20 percent of the project costs from non-Federal sources. In awarding grants under the program, the Secretary shall give a preference to those projects or components that present the most financially viable transportation services and require the lowest percentage Federal share of the costs." Eligible applicants include those entities defined within OMB A-87, excluding Federal agencies due to matching-fund regulatory requirements. Sponsored organizations may apply if an MOU/MOA exists with a public agency defined by OMB A-87.

**Beneficiary Eligibility:**

Eligible beneficiaries include those entities defined in OMB A-102 and Circular A-122.

**Credentials/Documentation:**

The following documentation is required:

1. First page of application:

- A. Marine Highway Project name (as stated in the Departments Letter of Designation)
- B. Primary point of contact for applicant
- C. Amount of dollars of Grant Funds the applicant is seeking, sources and share of other matching funds.
- D. Summary of what the grant funding will be used for
- E. Project parties
- F. Recipients of Marine Highway grants and their first-tier sub-awardees will be required to have a DUNS number (<http://www.dnb.com>) and a current registration in the Central Contractor Registration (<http://www.ccr.gov>). While these items do not need to be provided as part of the application, a Marine Highway Grant will not be awarded if a recipient or first-tier sub-awardee does not have these items.

2. Contact Information: An application should include the name, phone number, e-mail address and organization address of the primary point of contact for the applicant. The Department will use this information to inform parties of the Departments decision regarding selection of grantees, as well as to contact parties in the event that the Department needs additional information about the application.

3. Grant Funds and Sources and Uses of Project Funds: An application should include information about the amount of grant funding requested, sources and uses of all project funds, total project costs, percentage of project costs that would be paid for with Marine Highway Grant funds and the identity and percentage shares of all parties providing funds for the project (including Federal funds provided under other programs).

4. Selection Criteria: In general, applications will be evaluated based on the information provided in the original application for designation as a Marine Highway Project as set forth in the (final rule). However, as addressed in section (IV) Selection Criteria of this notice, applicants may provide

additional information. This information should be provided in the order it was solicited in the (final rule).

5. National Environmental Policy Act Requirement: An application must detail whether the project will significantly impact the natural, social and/or economic environment. If the NEPA process is completed, an applicant must indicate the date of, and provide a Web site link or other reference to, the final Categorical Exclusion, Finding of No Significant Impact or Record of Decision. If the NEPA process is underway but not complete, the application must detail where the project is in the process, indicate the anticipated date of completion and provide a website link or other reference to copies of any NEPA documents prepared.

6. Environmentally Related Federal, State and Local Actions: An application must indicate whether the proposed project is likely to require actions by other agencies (e.g., permits), indicate the status of such actions and provide a website link or other reference to materials submitted to the other agencies, and/or demonstrate compliance with other Federal, State and local regulations as applicable.

7. Certification Requirements: In order for an application to be considered for a grant award, the Chief Executive Officer of the applicant is required to certify, in writing, to the following:

- A. That, except as noted in this grant application, nothing has changed from the original application for formal designation as a Marine Highway Project.
- B. The project sponsor will administer the project and any funds received will be spent efficiently and effectively.
- C. Applicants will provide information, data and reports as required by the grantor. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

As stated in the Notice of Funding Availability, The 2010 National Defense Authorization Act directs the Secretary of Transportation to establish and implement a short sea transportation grant program to implement projects or components of projects designated as a Marine Highway Project. The Final Rule for Americas Marine Highway Program (46 CFR Part 393)) provides the criteria to submit an application to become a designated Marine Highway Project. From the Notice of Funding Availability, Requirements of the National Environmental Policy Act (NEPA) may apply. Applicants should consult 40 CFR Section 1500 if there are any questions regarding NEPA requirements. An application must detail whether the project will significantly impact the natural, social and/or economic environment. If the NEPA process is completed, an applicant must indicate the date of, and provide a Web site link or other reference to, the final Categorical Exclusion, Finding of No Significant Impact or Record of Decision. If the NEPA process is underway but not complete, the application must detail where the project is in the process, indicate the anticipated date of completion and provide a website link or other reference to copies of any NEPA documents prepared. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. See guidance provided herein throughout.

**Award Procedure:**

All applicable Federal laws, rules and regulations will apply to projects that receive Marine Highway Grants. How soon after award a project is expected to expend Grant Funds and start construction, acquisition or procurement will be considered on a case-by case basis and will be specified in the project-specific grant agreement. The Department reserves the right to revoke any award of Marine Highway Grant funds and to award such funds to another project to the extent that such funds are not timely expended and in accordance with the project schedule. The Departments ability to obligate funds for Marine Highway Grants expired on September 30, 2010.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. Contingent on publication date. The end date is 3 weeks following publication.

**Appeals:**

Not Applicable.

**Renewals:**

The Department's ability to obligate funds for Marine Highway Grants under the National Defense Authorization Act of FY 2010 expired on September 30, 2010.

**Formula and Matching Requirements:**

Statutory Formula: Public Law 111-84.

Matching Requirements: Percent: 20%. Applicants are required to provide at least 20 percent of the project costs from non-Federal sources.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants shall demonstrate to the satisfaction of the Secretary that the funds received will be spent efficiently and effectively. How soon after award a project is expected to expend Grant Funds and start construction, acquisition, or procurement will be considered on a case-by-case basis and will be specified in the project-specific grant agreement. See the following for information on how assistance is awarded/released: Grants are expended upon invoicing.

**Reports:**

According to the Notice of Funding Availability, Applicants will provide information, data, and reports as required by the grantor. The grantee shall submit an electronic copy of the SF-270 form, no more frequently than monthly for Advance or Reimbursement, and the SF-425 Federal Financial Report which replaces the SF-269 and the SF-272. Quarterly Project Reports are due to the Government beginning on the first day of the first full quarter following execution of the grant agreement. (SF-425). Monthly per SF-425.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In the section of the grant agreement cited Other Reports in accordance with the purposes of the Recovery Act, the grantee may be required to submit additional information in responses to requests from DOT, OMB, the Congressional Budget Office, the Government Accountability Office of the DOT inspector General. The Government will inform grantees if and when such additional reports are required.

**Records:**

Records must be maintained as outlined in the Federal Acquisition Regulations and OMB A-136 (Financial Reporting Requirements).

**Account Identification:**

69-1750-0-1-403 - Operations and Training Account.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Grants can be up to \$7 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The three studies are underway and will be completed by FY 2012. The grants are underway, with equipment being purchased in the third quarter of FY2011. We began tracking new containerized freight moving on M-64. We expect a second new marine highway service to be operational by the fourth quarter of FY 2012. Fiscal Year 2012: By FY 2012 all three Corridor studies will be completed, with reports published. One new Marine Highway service will be operational and another will have expanded as a direct result of this program. Each grant has performance measure reporting requirements built into them, allowing us to measure the results of each grant for three years after the projects have been completed. We will measure ton-miles removed from

each of three congested highway corridors. Fiscal Year 2013: Two of the three grants may be completed in FY 2013. Subject to funds availability, additional grant applications will be solicited consistent with the purpose and intent of the program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Existing literature includes MARAD 2010-0035 (April 9, 2010). In addition, the Maritime Administration solicited a call for projects on April 15, 2010 (Federal Register, Vol. 75, No. 68; p. 18095).

**Regional or Local Office:**

See Regional Agency Offices. Maritime Administration Gateway Offices.

**Headquarters Office:**

Lauren Brand Maritime Administration, Office of Marine Highways and Passenger Services, 1200 New Jersey Ave., Mail Stop 201, Washington, District of Columbia 20590 Email: lauren.brand@dot.gov Phone: (202)366-7057

**Website Address:**

[http://marad.dot.gov/ships\\_shipping\\_landing\\_page/mhi\\_home/mhi\\_home.htm](http://marad.dot.gov/ships_shipping_landing_page/mhi_home/mhi_home.htm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Equipment purchased by public port authorities for the efficient handling and processing of cargo transported in conjunction with established Marine Highway services. Barge purchases for operation in established Marine Highway services.

Funding was not provided in FY2011. The projects and studies funded during FY 2010 commenced in FY 2011 and completed in FY 2012.

No new projects were funded in FY 2011. Fiscal Year 2012: Funding was not provided for FY2012. Fiscal Year 2013: No new funds are anticipated to be made available for program grants during FY2013.

**CRITERIA FOR SELECTING PROPOSALS:**

Three criteria will be considered in the evaluation process, which were established in the final rule. This information will have been provided by applicants during the project designation process. No additional applicant input is required to address these criteria. These criteria establish the degree to which projects are expected to:

1. Reduce external cost and provide public benefit,
2. Offer a lower-cost alternative to increasing land-based capacity in the Corridor, and
3. Demonstrate the likelihood of becoming self-supporting in a specified and reasonable timeframe.

Applicants may, however opt to provide additional information specific to the above criteria if they desire. In evaluating this option, applicants should consider paragraph (g)(2)(B) of section 3515 of the National Defense Authorization Act of 2010, which requires that, in order to receive a grant under the program, the following factors will be taken into consideration:

1. Applicants shall demonstrate to the satisfaction of the Secretary that the funds received will be spent efficiently and effectively,
2. Applicants shall demonstrate to the satisfaction of the Secretary that a market exists for the services of the proposed project as evidenced by contracts or written statements of intent from potential customers,
3. An applicant shall provide at least 20 percent costs from non-Federal sources, and,
4. In awarding grants under the program, the Secretary shall give preference to those projects or components that present the most financially viable transportation services and require the lowest percentage Federal share of the costs.

While the criteria above were generally addressed in the original Marine Highway Project application requirements (Section 393.4(e)(1)(G); Proposed Project Timeline; and (F)(ii) and (i); Business Planning, respectively), these more specific requirements may warrant submission of additional information



in response to this Notice of Funding Availability. It is important that this information is available to the Department during the grant evaluation process.

## **20.817 AIR EMISSIONS AND ENERGY INITIATIVE**

### **FEDERAL AGENCY:**

Maritime Administration (MARAD), Department of Transportation

### **AUTHORIZATION:**

Nationals Defense Authorization Act, 2010, Title 49, Section 109, 49 U.S.C 109.

### **OBJECTIVES:**

MARAD will use projects results and data for a variety of purposes including further support of air emissions reduction research, demonstration, and pilot projects. In addition, the result will be used to evaluate the public benefits of providing incentives to adopt new technologies and alternative energy in the maritime sector.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

This funding will be used to fund studies in the development of air emissions reduction and alternative fuels/ technologies that will be used to evaluate public benefits of providing incentives to adopt new technologies and alternative energy in the maritime sector.

### **Applicant Eligibility:**

Eligible applicants include vessel owners, operators, or public sponsors. Shore side equipment upgrade or shore power projects are not eligible for funding.

### **Beneficiary Eligibility:**

The benefit of this project will be for the federal government as well as anyone in the general public.

### **Credentials/Documentation:**

Proposals submitted with Statement of Work and estimated budget Costs will be determined in accordance with OMB Circular Nos. A-87 for State and Local Governments and A-122 for Non-Profit and For-Profit Organizatins. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

### **Award Procedure:**

MARAD solicits a request for proposals (RFP), in grants.gov, applicants submits proposals through grants.gov. Evaluation of proposals by program office, selected proposals awarded by the Grants Specialist in the Office of Acquisition.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Not Applicable.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no matching requirements. This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

The funding is available for one year after date of award. See the following for information on how assistance is awarded/released: Funds are disbursed on a quarterly basis by submission of SF-270 invoices.

### **Reports:**

No program reports are required. No cash reports are required. Reports are in accordance with the terms and conditions of each Cooperative Agreement. The recipient shall provide Financial Status report, SF-425. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Record keeping requirements are in accordance with the terms and conditions of each Cooperative Agreement.

### **Account Identification:**

69-1750-0-1-403.

### **Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$1,000,000; and FY 13 Estimate Not Available - \$1,000,000.00 for current budget fiscal year.

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Delores Bryant 1200 New Jersey Avenue, S.E.W26/410, Washington, District of Columbia 20590 Email: delores.bryant@dot.gov Phone: 202-366-2660 Fax: (202)366-3029

### **Website Address:**

No Data Available

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

### **CRITERIA FOR SELECTING PROPOSALS:**

Applicants must demonstrate a reduction of emissions of nitrogen oxides (NOx), sulfur oxides (SOx), particulate matter (PM), or carbon through an approved emission testing scheme. Data such as emissions, costs, and fuel consumption must be made available to MARAD and can be used publically. Shore side equipment updrage or shore power projects are not eligible for funding.

## **20.900 TRANSPORTATION\_CONSUMER AFFAIRS**

Transportation\_Aviation Consumer Protection

### **FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

### **AUTHORIZATION:**

Federal Aviation Act of 1958, Section 1002, Public Law 85-726, 49 U.S.C 1301.

### **OBJECTIVES:**

To improve service provided to the public by U.S. and foreign air carriers.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

The Aviation Consumer Protection Division provides assistance and information to consumers, including air travelers with disabilities, trying to resolve complaints against airlines, travel agents, and air tour operators. The Division also investigates alleged violations of airline passengers' civil rights and provides information about specific air travel service problems such as lost baggage, oversold flights, scheduling problems and overcharges, and may refer people to local Small Claims courts if informal mediation efforts fail.

**Applicant Eligibility:**

All users of air transportation.

**Beneficiary Eligibility:**

All users of air transportation.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Division requests that complainants first contact the airline in an attempt to resolve the complaint. If that is unsuccessful, they can call or email the Division or send a letter stating pertinent facts about the incident that caused the complaint as well as copies (never originals) of tickets or baggage tags, if these documents help to explain the nature of the problem. Please include with your letter of complaint a daytime telephone number.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

69-0102-0-1-407.

**Obligations:**

(Investigation of Complaints) FY 11 \$2,143,411; FY 12 est \$2,281,234; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 13,607 complaints, information requests, opinions, and compliments were included. Fiscal Year 2012: 14,000 includes complaints, information requests, opinions, and compliments. Fiscal Year 2013: May include 14,000 complaints, information requests, opinions, and compliments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Copies of the pamphlet "Fly-Rights, A Guide to Air Travel in the U.S." are available from the Consumer Information Center-6A, P.O. Box 100, Pueblo, CO 81002. Enclose check or money order payable to Superintendent of Documents in the amount of \$1.75 per copy with a 25 percent discount on orders of 100 copies or more. Copies of the "Air Travel Consumer Report" issued monthly and "Plane Talk", a series of air travel fact sheets, are available free of charge by writing to the headquarters office listed. These publications can also be found on the Department of Transportation's world wide web site at: <http://airconsumer.ost.dot.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Alaska Aviation Statistics Field Office, Department of Transportation, 801 B Street Room 506, Anchorage, AK 99501-23657. Telephone: (907) 271-5147.

**Headquarters Office:**

Norman Strickman, 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Email: [norman.strickman@dot.gov](mailto:norman.strickman@dot.gov) Phone: (202) 366-2220.

**Website Address:**<http://airconsumer.ost.dot.gov>**RELATED PROGRAMS:**

33.001 Shipping\_Dispute Resolution and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 13,607 complaints, information requests, opinions, compliments were addressed. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.901 PAYMENTS FOR ESSENTIAL AIR SERVICES**

EAS

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Airline Deregulation Act of 1978, 49 U.S.C 41731-41748.

**OBJECTIVES:**

To assure that air transportation is provided to eligible communities by subsidizing air carriers when necessary to provide service.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

When necessary subsidy payments are made to air carriers providing air services at certain points. Subsidy is paid to cover the carrier's prospective operating loss, plus a profit element.

**Applicant Eligibility:**

Air carrier must be found fit and be selected by the Department to perform the subsidized service.

**Beneficiary Eligibility:**

Air carriers and eligible local communities.

**Credentials/Documentation:**

Financial statements and detailed operating statistics. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In accordance with 14 CFR, Part 271, and specific Department requests in docketed cases.

**Award Procedure:**

Evaluation of applications according to factors established in 49 U.S.C. 41731, et seq., and any Department-established factors.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 2 to 4 months.

**Appeals:**

In accordance with 14 CFR, Part 302.14.

**Renewals:**

Application procedures are repeated.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In accordance with Department evaluation and determination of demonstrated need. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Air carriers are subject to audits of financial and operational fitness, of major contested claims of compensation for continued service, and of monthly billings to the Department for subsidy.

**Records:**

Air carriers must retain all books, records and other source and summary documentation for 7 years to support subsidy claims.

**Account Identification:**

69-8304-0-7-402.

**Obligations:**

(Salaries) FY 11 \$200,000,000; FY 12 est \$214,000,000; and FY 13 est \$216,657,000

**Range and Average of Financial Assistance:**

For continental United States: range from \$352,058 - \$3,047,972 annually; an average of \$1,866,047 annually per community per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: (1)American Eagle Airlines Essential Air Service at Watertown, New York. (2)Cape Air Essential Air Service at Mayaguez, Puerto Rico. (3)Colgan Air Essential Air Service at Victoria, Texas. Fiscal Year 2012: (1) SkyWest Airlines Essential Air Service at Cody, Wyoming. (2) PenAir Essential Air Service at Presque Isle, Maine. (3) Delta Air Lines Essential Air Service at Chisholm/Hibbing, Minnesota 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 U.S.C. 41731, et seq.; 14 CFR, Parts 204, 271, 323, 325, 398.

**Regional or Local Office:**

None.

**Headquarters Office:**

Todd Homan Office of Aviation Analysis, X-50, Department of Transportation, 1200 New Jersey Ave S.E., Washington, District of Columbia 20590 Phone: (202) 366-5903.

**Website Address:**

<http://ostpxweb.dot.gov/aviation/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1)American Eagle Airlines Essential Air Service at Watertown, New York. (2)Cape Air Essential Air Service at Mayaguez, Puerto Rico. (3)Colgan Air Essential Air Service at Victoria, Texas. Fiscal Year 2012: 2012 (1) SkyWest Airlines Essential Air Service at Cody, Wyoming (2)PenAir Essential Air Service at Presque Isle, Maine (3) Delta Air Lines Essential Air Service at Chisholm/Hibbing, Minnesota. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Established by statute and by precedent in individual docketed cases.

**20.904 BONDING ASSISTANCE PROGRAM**

Bonding Assistance Program

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To encourage, promote, and assist minority entrepreneurs and businesses in getting transportation-related contracts, subcontracts, and projects by providing bonding assistance to obtain bid, payment, and performance bonds.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Assistance is provided in support of training, technical assistance, and support to the small business community to educate them about how to obtain a surety bon for transportation-related contracts.

**Applicant Eligibility:**

The recipient of bonding assistance must be a small and disadvantaged business. Hereafter, the term small and disadvantaged business will refer to: 8(a), small disadvantaged business (SDB), disadvantaged business enterprises (DBE), women owned small business (WOB), HubZone, service disabled veteran owned business (SDVOB), and veteran owned small business (VOSB).

**Beneficiary Eligibility:**

The recipient of bonding assistance must be a small and disadvantaged business. Bonding Assistance provided under the American Recovery and Reinvestment Act of 2009 (ARRA) is only available to Disadvantaged Business Enterprises (DBE) certified under 49 Code of Federal Regulations Part 26.

**Credentials/Documentation:**

The recipient of bonding assistance must provide proof of certification by the certifying agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Insurance/Surety Bonds: Applications are submitted directly to a local bond agent for the DOT Bond Guarantee Program participating surety companies. Applicants may obtain a copy of the application and the contact information for the local bond agents for participating surety companies at <http://www.osdbu.dot.gov> .

Provision of Specialized Services/Technical Assistance: Applications may be submitted directly to the participating SBTRC. Applicants may obtain a copy of the application and a list of the participating SBTRCs and their contact information at <http://www.osdbu.dot.gov> .  
Direct Assistance/Bonding Fee Subsidy: Application procedures may be found at <http://www.dot.gov/recovery/ost/> .

**Award Procedure:**

Not Applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Provision of Specialized Services/Technical Assistance: The goal to help the small businesses become bond ready.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Provision of Specialized Services/Technical Assistance: Services are provided until they are no longer required by the participant or the participant is no longer eligible. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Monthly, internal OSDBU reports; Reports to the Secretary of Transportation on all bond approvals. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Provision of Specialized Services/Technical Assistance: Participant records are maintained by the participating SBTRCs with access provided to DOT.

**Account Identification:**

69-0102-0-0-119.

**Obligations:**

(Training) FY 11 \$6,300,000; FY 12 est \$6,370,826; and FY 13 est \$6,370,000 - 2011-BEP \$6,300,000  
2012-BEP \$6,370,826.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provision of Specialized Services/Technical Assistance: Pilot program expanded nationwide. There are eleven, ten-week workshops with a goal of obtaining bonding for the participants. Fiscal Year 2012: Provision of Specialized Services/Technical Assistance: Pilot program continues to be expanded nationwide. There will be 12 ten-week workshops with a goal of obtaining bonding for the participants. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 97-449, 49 U.S.C.332.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bonding Manager, 1200 New Jersey Ave, S.E., Washington, District of Columbia 20590 Phone: (800) 532-1169.

**Website Address:**

<http://osdbu.dot.gov> .

**RELATED PROGRAMS:**

59.006 8(a) Business Development Program; 59.016 Surety Bond Guarantees

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Every bonding class has produced 1-3 success stories. When the participant is able to get bonding then he or she is able to obtain a transportation contract which is part of OSDBUs mission and function. Fiscal Year 2012: The number of success stories has increased to 4 to 5 per workshop. When the participant is able to get bonding then he or she is able to obtain a transportation contract which is part of OSDBUs mission and function. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.905 DISADVANTAGED BUSINESS ENTERPRISES\_SHORT TERM LENDING PROGRAM**

(Short Term Lending Program)

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

American Recovery and Reinvestment Act , Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To advance the opportunities for small, minority-owned disadvantaged businesses, including women and service-disabled veteran owned businesses and Disadvantaged Business Enterprises (DBE) (to obtain accounts receivable financing for the performance of eligible transportation-related contracts originating from the Department of Transportation (DOT), its grantees, recipients, their contractors and subcontractors.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

The line of credit is for account receivable financing to support the work being performed on eligible transportation related contracts. The line of credit cannot be used for equipment purchase or other long term uses; contract mobilization; refinancing of existing debt; payment of taxes; or distribution to stock holders. A transportation-related contract is one for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the nations modes of transportation with any public or commercial provider of transportation or any federal, state or local transportation agency.

**Applicant Eligibility:**

The recipient of a line of credit must be a certified DBE, or certified small business, including; 8(a); Small Disadvantaged Business (SDB); HUBZONE; Women-Owned Small Business (WOSB); and Service-Disabled Veteran-Owned Business (SDVOB). For DBE's, this certification must be performed under DOT guidelines, 49 CFR Part 26. The applicant must be in business for 2-3 years. This program is not for start-up businesses There must be an existing transportation- related contract(s). Transportation-related contract is a contract for the maintenance, rehabilitation, restructuring, improvement, or revitalization of any of the Nation's modes of transportation with any public or commercial provider of transportation or any Federal, State or local transportation agency.

**Beneficiary Eligibility:**

Small Business/Small Business Person.

**Credentials/Documentation:**

STLP application dated and signed; 3 years of business financial statements and taxes; 3 years of personal income taxes and current personal financial statement; current work-in-progress; cash flow projection to cover the length of the term of the loan (one year); current DBE or SBA certification; business formation information; company history; resume of key management; business and trade reference letters; and a copy of the signed transportation related contract(s). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application and checklist can be found at [www.osdbu.dot.gov/financialassistance/shortterm lendingprogram.cfm](http://www.osdbu.dot.gov/financialassistance/shortterm lendingprogram.cfm) Information, consultation is available at <http://osdbu.dot.gov> or by calling the DOT Office of Small and Disadvantaged Business Utilization (OSDBU) at 1-800-532-1169. Potential applicants may also contact OSDBU or their local U.S. DOT Small Business Transportation Resource Center (SBTRC) for assistance in the preparation of the application package. SBTRC locations may be found at <http://www.osdbu.dot.gov/regional/index.cfm>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted directly to one several Participating Leaders (PLs). Applicant may obtain a copy of the application and identify the bank servicing their region from the OSDBU internet site at <http://osdbuweb.dot.gov>.

**Award Procedure:**

All lines of credit are approved through separate decisions by the Participating Lender (PL) and by DOT. Lines of credit are serviced by approving PL.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Small Business Transportation Resource Centers and OSDBU staff can review the application for completeness. This review can be within 5 business days. Once it has been determined that the applicant is eligible and the application is ready to be submitted to the PL, the applicant will submit to the PL a \$150.00 application fee along with the complete application. Decisions are made within 30 to 60 days from the time the complete application is submitted to the PL.

**Appeals:**

Not Applicable.

**Renewals:**

Applicant may apply for renewal of line of credits as long as they remain eligible (certification is current and they have a current transportation related contract). Renewals and increases in the line of credit are possible. The maximum period of eligibility is 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Approved lines of credit are for one year terms with the possibility of renewal for four additional years. See the following for information on how assistance is awarded/released: Line of credit disbursed by certified invoices presented to the Participating Lender.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DOT has the right to audit its accounts with the banks.

**Records:**

OSDBU maintains records of all applicant files, such as approvals, pending review, loan readiness, denials, etc. All line of credit approvals will be maintained for 7 years and non-approvals will be maintained for 3 years.

**Account Identification:**

69-0155-0-1-407.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$4,530,000; FY 12 est \$8,500,000; and FY 13 est \$12,500,000

**Range and Average of Financial Assistance:**

The maximum line of credit is \$750,000. There is no minimum line of credit amount.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: More than twelve new Participating Lenders were recruited to increase the number to 24 PLs in helping to reach the goal of 100% coverage across the United States. We projected a 25% increase in the amount of new loans versus renewal loans. However, the final result was a 75% increase in new loans. Fiscal Year 2012: Anticipate recruiting a total of more than twenty new PLs to reach 85% of 100% coverage across the United States. Anticipate a 85% increase in the amount of new loans versus renewal loans. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 97-449, 49 U.S.C. 332.

**Regional or Local Office:**

None.

**Headquarters Office:**

Manager Financial Assistance Division, 1200 New Jersey Ave., S.E., Washington, District of Columbia 20590 Phone: (800) 532-1169.

**Website Address:**

<http://www.osdbuweb.dot.gov>.

**RELATED PROGRAMS:**

59.006 8(a) Business Development Program; 59.043 Women's Business Ownership Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The STLP program was able to assist 14 various businesses working in on US Department of Transportation federally funded projects around the country. The STLP was able to assist these 14 businesses retain 288 jobs and create 61 jobs for FY 2011. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**20.907 ENTREPRENEURIAL TRAINING AND TECHNICAL ASSISTANCE WOMEN AND GIRLS PROGRAM****FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

Executive Order 13506 Establishing a White House Council on Women and Girls, Dated March 11, 2009, Public Law 97-449, 49 U.S.C 332.

**OBJECTIVES:**

To enter into successful partnerships between OSDBU and chambers of commerce, community-based organizations, colleges and universities, community colleges, or trade associations to encourage and assist women and girl students at all levels of education to pursue opportunities in the transportation-related industry and provide them with the education and tools necessary to seize those opportunities and become successful transportation-related contractors through the use of internships and outreach activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance under this section may be used to design and carry out programs to encourage and assist women and girl students at all levels of education to pursue opportunities in the transportation-related industry and provide them with the education and tools necessary to seize those opportunities and become successful transportation-related contractors through the use of internships and outreach activities.

**Applicant Eligibility:**

Design and carry out programs to encourage and assist women and girl students at all levels of education to pursue opportunities in the transportation-related industry and provide them with the education and tools necessary to seize those opportunities and become successful transportation-related contractors through the use of internships and outreach activities.

**Beneficiary Eligibility:**

Women and Girls from all levels of education meeting eligibility requirements.

**Credentials/Documentation:**

Must be an established 501 C(3) or 501 C(6) tax exempt organization and provide documentation as verification. No application will be accepted without proof of tax exempt status. Have at least one year of documented and continuous experience prior to the date of application in providing advocacy, outreach, and technical assistance to women-owned small businesses within the region in which proposed services will be provided. Have an office physically located within the proposed city in the designated headquarters state in the region for which applicant is submitting the proposal, that is readily accessible to the public. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants responding to a notice on [www.grants.gov](http://www.grants.gov) must submit their applications electronically to OSDBU via [etawgp@dot.gov](mailto:etawgp@dot.gov).

**Award Procedure:**

Applications are evaluated by an review panel. Decisions on acceptability are made by the Director, OSDBU. Department of Transportation will award the cooperative agreements. Only one project will be awarded to an organization; therefore, institutions with multiple locations within the designated region should coordinate and submit only one application per organization. Further, in order to avoid duplication of efforts, only one cooperative agreement will be awarded in any State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Selections for award are announced on [www.osdbu.gov](http://www.osdbu.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Awards will be re-competed at a minimum of every three years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for awards is base year plus two option years depended upon performance and availability of funds. See the following for information on how assistance is awarded/released: When funding is available it is obligated annually.

**Reports:**

Program reports are not applicable. SF -425. Quarterly and Final progress reports are required. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DOT's Inspector General and the Comptroller General of the United States may at all reasonable times investigate and audit, in the offices of the grantee, all documents, papers, books and records relevant to the execution and implementation of the conditions of this agreement.

**Records:**

Recipient is required to retain all documents, files, books, and records relevant to the execution and implementation of the conditions of this agreement for a period of no less than 3 years, except when dispute, exception, or audit have been initiated, the records and other materials shall be retained until the litigation, dispute, exception, or audit has judicially or administratively been made final.

**Account Identification:**

69-0119-0-1-407.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Martin, 1200 New Jersey Avenue, SE, W56-460, Washington, District of Columbia 20590 Email: [patricia.martin@dot.gov](mailto:patricia.martin@dot.gov) Phone: (202) 366-5337.

**Website Address:**

<http://osdbu.dot.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are rated on a 100- point numerical scale and are weighted using the following factors: Approach (25 points); Linkages (25 points); Organizational Capability (25 points); Staff Capabilities and Experience (15 points); and Cost (10 points).

**20.910 ASSISTANCE TO SMALL AND DISADVANTAGED BUSINESSES****FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

The Small Business Act and the Small Business Investment Act of 1958, Title 49, Section 332, Public Law 95-507.

**OBJECTIVES:**

To enter into successful partnerships between OSDBU and chambers of commerce, community-based organizations, colleges and universities, community colleges, or trade associations, to establish regional Small Business Transportation Resource Centers (SBTRCs) to provide business assessment, technical assistance, technical assistance referrals, business training, and the dissemination of information regarding DOT and DOT funded contracting opportunities, as well as OSDBU services to the Disadvantaged Business Enterprise (DBE) and Small Business (SB) community in their regions.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Regional SBTRCs work with OSDBU's Financial Assistance Division and STLP participating lenders to organize seminars and workshops on this accounts receivable financial access program that is available to eligible DBEs and small businesses. The seminars and workshops cover the entire STLP process, from completion of STLP loan application and preparation of the loan package to approval and loan management.

**Applicant Eligibility:**

Established 501 C(6) tax-exempt Chambers of Commerce, Trade Associations and 501 C(3) nonprofit organization, community colleges, minority educational institutions, tribal colleges and universities that have the documented experience and capacity necessary to successfully operate and administer a coordinated, Small Business Transportation Resource Center (SBTRC) within their regions.

**Beneficiary Eligibility:**

For the purpose of this program, the term small businesses refers to: 8 (a), small disadvantaged business (SDB), disadvantaged business enterprises (DBE), women-owned small business (WOB), HubZone, service-disabled veteran-owned business, and veteran owned small business.

**Credentials/Documentation:**

Must be an established 501 C(3) or 501 C(6) tax exempt organization and provide documentation as verification. No application will be accepted without proof of tax exempt status. Have at least one year of documented and continuous experience prior to the date of application in providing advocacy, outreach, and technical assistance to small businesses within the region in which proposed services will be provided. Have an office physically located within the proposed city in the designated headquarters state in the region for which applicant is submitting the proposal, that is readily accessible to the public. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants responding to a notice on www.grants.gov must submit their applications electronically to OSDBU via sbtrc@dot.gov

**Award Procedure:**

Applications will be reviewed by a selection panel and selection will be made based upon the evaluation criteria included in the announcement. The Department of Transportation, Office of Small and Disadvantaged Business Utilization will award the Cooperative Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Selections for award are announced on www.osdbu.gov.

**Appeals:**

Not Applicable.

**Renewals:**

Awards will be re-competed at a minimum of every 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are generally made for a minimum of 12 months with 2 option years depended on performance and funds availability. See the following for information on how assistance is awarded/released: Obligated annually.

**Reports:**

Implementation Plan and Monthly Reports; Implementation Plans are due within 7 days of the effective date of the Cooperative Agreement. Monthly

Reports are due on the 5th day of each subsequent month. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DOT's Inspector General and the Comptroller General of the United States may at all reasonable times investigate and conduct audits in the offices of the recipient, all documents, papers, books and records, relevant to the execution and implementation of the conditions of this agreement.

**Records:**

Recipient is required to retain all documents, files, books, and records relevant to the execution and implementation of the conditions of this agreement for a period of not less than 3 years, except, if any litigation, dispute, exception, or audit is commenced, the records and other materials shall be retained until the litigation, dispute, exception, or audit is judicially or administratively made final.

**Account Identification:**

69-0119-0-1-407.

**Obligations:**

(Salaries) FY 11 \$1,650,000; FY 12 est \$1,650,000; and FY 13 est \$1,650,000

**Range and Average of Financial Assistance:**

Average of \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: a) Conferences: SBTRCs participated in conferences to share resources and knowledge within/beyond the transportation learning community and communicating to the public transportation needs and contributions. Also, to build partnership linkages in order to promote transportation programs in a seamless manner. Accomplishments: In FY 2011/2012 the SBTRCs participated in over 50 conferences and provided procurement assistance to an estimated 5,000 DBEs.

(b) Short-Term Lending (STLP) Workshops: SBTRCs worked with OSDBU's STLP participating lenders to organize seminars and workshops on accounts receivable financial access program that is available to eligible DBEs and small businesses. The seminars and workshops cover the entire STLP process, from completion of STLP loan application and preparation of the loan package to approval and loan management. In FY 2011/2012 the NC A&T held 55 STLP workshops.

(c) Working Groups: SBTRCS worked with a variety of industry experts to gain valuable insight into the needs of DBEs in their region. In addition to representatives from the transportation industry, they work with business leaders, economic development specialists, community leaders and government officials. They rely on information and advice from members of the Regional Planning Committee, the Technical Assistance Working Group, the Bonding Education Program stakeholders and the Strategic Partners to assist in developing the client base and in designing the programs and services to best meet the needs of the population they serve. Accomplishment In FY 2011/2011 and created 11 working group to assist the DBEs and small businesses.

(d) Bonding Education Program: SBTRCs create a partnership with the Surety and Fidelity Association of America (SFAA) which combines classroom instruction and one-on-one meetings with surety professionals to help small businesses obtain a bonding line and apply that capacity to transportation related projects. This effort is facilitated by DOT's network of regional offices, the SBTRCs around the country, as program partners whose role is to provide outreach, logistics, technical assistance and coordination for the local program efforts. Accomplishments: The SBTRC held over 100 BEP workshops in over 50 cities during FY2011/2012 to assist DBEs in obtaining bonds.

(e) The Women and Girls internship Program: SBTRC created a transportation-focused career awareness program designed to encourage young women to pursue careers in science, engineering and technology. The program also advances the development of human potential by providing quality educational experiences, training and employment opportunities to minority students interested in transportation related careers. Accomplishments: Students participating in the program were placed in small disadvantaged businesses, Federal, state, and local transportation agencies. The students gain valuable work experience to assist them in future career choices. Also, stipends up to 1,000.00 was paid to students participating in the program. In FY2011/2012 the SBTRCs recruited estimated 249 students to participate in the program. Fiscal Year 2012: a) Conferences: SBTRCs participated in conferences to share resources and knowledge within/beyond the transportation learning community and communicating to the public transportations needs and contributions. Also, to build partnership linkages in order to promote transportation programs in a seamless manner. Accomplishments: In FY 2011/2012 the SBTRCs participated in over 50 conferences and provided procurement assistance to an estimated 5,000 DBEs.

(b) Short-Term Lending (STLP) Workshops: SBTRCs worked with OSDBU's STLP participating lenders to organize seminars and workshops on accounts receivable financial access program that is available to eligible DBEs and small businesses. The seminars and workshops cover the entire STLP process, from completion of STLP loan application and preparation of the loan package to approval and loan management. In FY 2011/2012 the NC A&T held 55 STLP workshops.

(c) Bonding Education Program: SBTRCs create a partnership with the Surety and Fidelity Association of America (SFAA) which combines classroom instruction and one-on-one meetings with surety professionals to help small businesses obtain a bonding line and apply that capacity to transportation related projects. This effort is facilitated by DOT's network of regional offices, the SBTRCs around the country, as program partners whose role is to provide outreach, logistics, technical assistance and coordination for the local program efforts. Accomplishments: The SBTRC held over 100 BEP workshops in over 50 cities during FY2011/2012 to assist DBEs in obtaining bonds.

(d) The Women and Girls internship Program: SBTRC created a transportation-focused career awareness program designed to encourage young women to pursue careers in science, engineering and technology. The program also advances the development of human potential by providing quality educational experiences, training and employment opportunities to minority students interested in transportation related careers. Accomplishments: Students participating in the program were placed in small disadvantaged businesses, Federal, state, and local transportation agencies. The students gain valuable work experience to assist them in future career choices. Also, stipends up to 1,000.00 was paid to students participating in the program. In FY2011/2012 the SBTRCs recruited estimated 249 students to participate in the program. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

DOT Code of Federal Regulations Parts 26 and 23 as Disadvantaged Business Enterprises; Public Law 95-507; Section 8,15, and 31 of the Small Business Act as amended; OMB Circular A-110.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Arthur D. Jackson, 1200 New Jersey Avenue, S.E., Washington, District of Columbia 20590 Phone: (202) 366-1930 Fax: (202) 366-7228.

#### **Website Address:**

<http://www.osdbu.dot.gov>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See program accomplishments for projects. Fiscal Year 2012: See program accomplishments for projects. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are rated on a numerical point scale using the following factors: Approach and Strategy; Linkages; Organizational Capability; Staff Capabilities and Experience; and Cost.

#### **20.930 PAYMENTS FOR SMALL COMMUNITY AIR SERVICE DEVELOPMENT**

Small Community Program or SCASDP Payments for Small Community Air Service Development

#### **FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

#### **AUTHORIZATION:**

Public Law 106-181; Wendell H. Ford Aviation Investment and Reform Act for the 21st Century (AIR-21), Public Law 106-181, 49 U.S.C 41743.

#### **OBJECTIVES:**

To help smaller communities enhance their air service and increase access to the national transportation system.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants for specified use, provided on a reimbursable basis. Grant funds can be used to cover a variety of expenses depending on the approved project. For example, funds can be expended for marketing, advertising or promotional activities, new studies designed to measure air service deficiencies, or to measure traffic loss or diversion to other communities; employment or use of consulting firms, universities, public relations firms, and new, dedicated air service development staff on a long term basis. In addition, grant funds may also be used for financial incentives, including subsidy or revenue guarantees to cover the air carrier's prospective operating loss, or to ground service providers in providing access to air transportation services.

#### **Applicant Eligibility:**

1. As of calendar year 1997, the airport serving the community was not larger than a small hub airport, and it has insufficient air carrier service or unreasonably high air fares,
2. The airport serving the community presents characteristics, such as geographic diversity or unique circumstances that demonstrate the need for, and feasibility of, grant assistance from the Small Community Program;
3. An applicant may not receive an additional grant to support the same project from a previous grant;
4. An applicant may not receive an additional grant, prior to the completion of its previous grant;
5. No more than 4 communities or consortia of communities, or a combination thereof, from the same State may be selected to participate in the program in any fiscal year; and
6. No more than 40 communities or consortia of communities, or a combination thereof, may be selected to participate in the program in each year for which the funds are appropriated.

In addition to the statute, the Department applies the following eligibility conditions:

Communities without existing air service. Communities that do not currently have commercial air service are also eligible, but air service providers must have met or be able to meet in a reasonable period all Departmental requirements for air service certification, including safety and economic authorities.

Essential Air Service communities. Small communities that meet the basic criteria and currently receive subsidized air service under the Essential Air Service (EAS) program are eligible to apply for funds under the Small Community Program. However, grant awards to EAS-subsidized communities



are limited to marketing or promotion projects that support existing or newly subsidized EAS. Grant funds will not be authorized for EAS-subsidized communities to support any new competing air service. Furthermore, no funds will be authorized to support additional flights by EAS carriers or changes to those carriers existing schedules. These restrictions are necessary to avoid conflicts with the EAS program.

**Consortium applications.** The statute permits individual communities and consortia of communities to apply for grant awards under this program. In some instances in the past, several communities in a State have filed a single application as a consortium, but in effect the application was a collection of individual community requests involving different projects. This is not a consortium. An application from a consortium of communities must be one that seeks to facilitate the efforts of the communities working together toward a joint grant project. In other words, the application must set forth one grant project, with one joint objective, and establish one entity to ensure that the joint objective is accomplished according to the terms of a grant agreement. For example, several communities surrounding an airport may apply together to improve air services at that airport, with a joint objective of securing new or additional service to that airport. Or, surrounding airports may apply together in support of a regional plan to lower fares or reverse a decline in traffic.

**Prior grant recipients.** Communities or members of a consortia that were awarded grants in previous years and want to apply for a grant this year should be aware that they are precluded from seeking new funds for projects for which they have already received an award under the Small Community Program.

To provide to small communities access to the National transportation system.

**Beneficiary Eligibility:**

Not Applicable.

**Credentials/Documentation:**

Communities must apply for the grant program by submitting a project proposal with required data to justify its proposal in accordance with the Department-issued Request for Proposals. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A request for proposals (RFP) soliciting applications from eligible communities is issued each year. The RFP can be accessed on the internet through <http://www.grants.gov> Additionally, the solicitation is published in the Federal Register and served on the Council of Mayors, the National League of Cities, the National Governors Association, the National Association of State Aviation Officials, the Association of County Executives, the American Association of Airport Executives (AAAE), and the Airports Council International-North America (ACI).

**Award Procedure:**

Applications will be evaluated according to factors established in the RFP and under the guidance of the Vision 100-Century in Aviation Reauthorization Act, Public Law 108-176.

**Deadlines:**

May 11, 2012 to Jun 11, 2012: Deadlines vary from year to year depending on the timing of the release of the Request for Proposal. The deadline for filing of proposals is established and specified for each fiscal year in the RFP and can vary from year to year.

**Range of Approval/Disapproval Time:**

Can vary from year to year. However, the target is to awards grants within 120 days from the established application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Application procedures are repeated each year. However, grant recipients are precluded by statute from seeking additional grants in support of the same project. A community can only have one Small Community Program grant at any time. 49 U.S.C. Section 41743(c)(4).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of time for awards will vary with the complexity of the project. Minimum grant duration is one year. The statute limits use of grant funds for air carrier subsidy to a maximum period of three years. The same limitation applies to other forms of ongoing support for air carrier programs. Financial assistance is provided on a reimbursable basis; cash advances will not be made. Funds obligated remain available until expended. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly progress reports, and a final report is required. Cash reports are not applicable. Grantees are required to submit quarterly progress and a final report. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. SCASDP also is subject to the A-123 review process.

**Records:**

The grant recipient is expected to retain all documents relevant to the grant award for a period of 3 years from completion of all projects undertaken pursuant to the Grant Agreement and receipt of final reimbursement from the Treasury.

**Account Identification:**

69-8106-0-7-402.

**Obligations:**

(Salaries) FY 11 \$15,000,000; FY 12 est \$6,000,000; and FY 13 est \$0 - FY2012 -- Up to \$14,000,000 available including prior year recoveries.

**Range and Average of Financial Assistance:**

Range: \$100,000 to \$1,000,000 Average: \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 29 Communities were selected for grant awards totaling \$14,984,000. Fiscal Year 2012: This grant program is discretionary and funding varies each year. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

49 U.S.C. 41743; 14 CFR 302.12 (Rule 12); 49 CFR 1.56a(f); 49 CFR Part 18; Public Law 106-181; Public Law 108-176; Public Law 108-477.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aloha Ley, 1200 New Jersey Ave., SE W86-310, Washington, District of Columbia 20590 Email: [aloha.ley@dot.gov](mailto:aloha.ley@dot.gov) Phone: (202) 366-2347 Fax: (202) 366-7638.

**Website Address:**

[http://ostpxweb.dot.gov/aviation/X-50%20Role\\_files/smallcommunity.htm](http://ostpxweb.dot.gov/aviation/X-50%20Role_files/smallcommunity.htm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 29 Communities were selected for grant awards totaling \$14,984,000. Fiscal Year 2012: The program is currently undergoing evaluation

and selection and the selection order will be available July 27. Currently no projects have been identified as funded. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Priority factors considered. The law directs the Department to give priority consideration to those communities or consortia where:

- air fares are higher than the national average air fares for all communities;
- the community or consortium will provide a portion of the cost of the activity from local sources other than airport revenue sources;
- the community or consortium has established or will establish a public-private partnership to facilitate air carrier service to the public;
- the assistance will provide material benefits to a broad segment of the traveling public, including business, educational institutions, and other enterprises, whose access to the national air transportation system is limited;
- and
- the assistance will be used in a timely manner.

Additional factors considered. Applications will be evaluated against the priority considerations listed above. Our experience has been that more applications are received than can be funded under the Small Community Program. Consequently, consistent with the criteria stated above, the selection process will take into consideration such additional factors as:

- the geographic location of each applicant, including the communitys proximity to larger centers of air service and low-fare service alternatives;
- the proposed federal grant amount requested compared with the local share offered;
- whether the applicant community has previously received a grant award under this program and, if so, whether its application includes an explanation of how the communitys proposed project differs from its previously funded project;
- the communitys demonstrated commitment to and participation in the proposed grant project;
- the extent to which the applicants proposed solution(s) to solving the problem(s) is new or innovative;
- the population and business activity as well as the relative size of each applicant community;
- the communitys existing level of air service and whether that service has been increasing or decreasing;
- whether the communitys proposal, if successfully implemented, could serve as a working model for other communities;
- the grant amount requested compared with total funds available for all communities;
- whether the community has a viable plan to use the funds in a timely manner;
- the uniqueness of an applicants claimed problems and whether the proposed project clearly addresses the applicants claimed problems; and
- whether the communitys proximity to an existing or prior grant recipient could adversely affect either its proposal or the project undertaken by the other recipient.

Full community participation is a key goal of this program as demonstrated by the statutes focus on local contributions and active participation in the project. Therefore, applications that demonstrate broad community support will be more attractive. For example, communities providing proportionately higher levels of cash contributions from other than airport revenues will have more attractive proposals. Communities that provide multiple levels of contributions (state, local, airport, cash and in-kind contributions) also will have more attractive proposals. Similarly, communities that demonstrate participation in the development and execution of the proposed air service project will enhance the attractiveness of their proposals.

Established by statute and annual Department order soliciting grant proposals.

#### **20.931 TRANSPORTATION PLANNING, RESEARCH AND EDUCATION**

Innovative and Advanced Transportation Research

##### **FEDERAL AGENCY:**

Research and Innovative Technology Administration, Department of Transportation

##### **AUTHORIZATION:**

Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005.

##### **OBJECTIVES:**

To provide funds to conduct research and development on innovative transportation systems and related applied technologies.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

The grants may be used for innovative technology based projects directed towards application on national transportation infrastructure development and construction in planning, design and operations.

##### **Applicant Eligibility:**

These grants are mandated by Congress in DOT's Annual Appropriation Legislation. Therefore, only those organizations specifically identified in the appropriation legislation can apply.

##### **Beneficiary Eligibility:**

Public Non-Profit Institutions/Organizations; Sponsored Organizations; State; Local; Other Public Institutions; Federal Recognized Indian Tribal Government; US Territory or Possession; Private Non-Profit Institutions/Organizations; Quasi-Public Non-Profit Institutions/Organizations; Native American Organizations.

##### **Credentials/Documentation:**

Proposals with statement of work and estimated budget. Costs will be determined in accordance with relevant OMB circulars (i.e. Circular Nos. A-87 for State and Local Governments, A-21 for Educational Institutions and A-122 for Non-Profit and For-Profit Organizations). OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Broad Agency Announcement containing the solicitation shall be submitted via FedBizOpps.gov. Grantees will be required to complete the suite of SF 424 forms and the appropriate representations and certifications.

##### **Award Procedure:**

The award procedure typically requires two-step process White Papers and Full Technical and Cost Proposals.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

The deadlines, if any, shall be established in each grant application package.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Renewals and/or extension may be available. Requests must be submitted to the Program Office for approval.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 50.%. Fifty (50) percent non-Federal matching requirements per SAFETEA-LU legislation language. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

The typical length of the cooperative agreements is 2.5 years and expenditures are reimbursed on a quarterly basis. See the following for information on how assistance is awarded/released: Funds are reimbursed.

##### **Reports:**

Mandatory quarterly reports; final project report. SF-270. Mandatory quarterly reports. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Reports are due in accordance with the terms and conditions of each grant. Records will be retained in accordance with provisions of OMB Circular No. A-110 for institutions of higher education, other nonprofit organizations, and commercial organizations and in accordance with 15 CFR Part 24 for State and local governments.

**Account Identification:**

69-0102-0-1-407.

**Obligations:**

(Salaries) FY 11 \$7,457,500; FY 12 est \$4,688,970; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The range is between \$500,000 to \$1.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Conducted applied research in commercial remote sensing and spatial information technologies for application to national transportation infrastructure development and construction. The Program investigated, developed and validated new applications and provided products to monitor and assess infrastructure condition of bridges, pavements and other transportation infrastructure. In addition, the Program developed remote sensing applications to optimize freight movements in urban areas and in and around ports. Spatial information technologies, such as GIS and GPS systems, were deployed to assist in these research investigations. Fiscal Year 2012: Conducted applied research in commercial remote sensing and spatial information technologies for application to national transportation infrastructure development and construction. The Program investigated, developed and validated new applications and provided products to monitor and assess infrastructure condition of bridges, pavements and other transportation infrastructure. In addition, the Program developed remote sensing applications to optimize freight movements in urban areas and in and around ports. Spatial information technologies, such as GIS and GPS systems, were deployed to assist in these research investigations. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caesar Singh 1200 New Jersey Avenue, SE, Washington, District of Columbia 20950 Email: Caesar.Singh@dot.gov Phone: (202) 366-3252.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1. Georgia Tech. Research Corporation - A remote Sensing and GIS-Enabled Asset Management System (RS-GAMS) Phase II  
2. Michigan Tech. Univ. - Characterization of Unpaved Road Conditions Through Use of Unmanned Aerial Vehicles  
3. Michigan Tech. Univ. - Bridge Condition Assessment Using Remote Sensors - Field Implementation & Outreach  
4. Missouri Univ. of Science & Tech. - Real-Time Bridge Scour Management with Wireless Smart Rocks as Mitigation Measures and Field Agents for Monitoring and Prediction

5. University of Alaska Fairbanks - Close-Range SAR for Monitoring and Automatically Detecting Pavement Conditions and Improving Visual Inspection Procedures
6. Univ. of Massachusetts Lowell - Multi-modal Remote Sensing System (MRSS) for Transportation Infrastructure Inspection and Monitoring
7. Univ. of Massachusetts Dartmouth - Use of Remote Sensing for Seasonal Load Restrictions (SLR): Application & Removal
8. Univ. of Maryland - Development of a Self-Sustained Wireless Integrated Structural Health Monitoring System for Highway Bridges
9. Univ. of Virginia - Sinkhole Detection for Transportation Infrastructure by Automated Analysis of Interferometric Synthetic Aperture Radar Images
10. Rensselaer Polytechnic Institute - Integrative Freight Demand Management In The New York City Metropolitan Area Implementation Phase. Fiscal Year 2012: 1. Arizona State University Multi-level Adaptive Remote Sensing Package for Total Bridge Health Management  
2. George Mason University Using Social Networks And Commercial Remote Sensing To Assess Impacts Of Natural Events On Transportation Infrastructure  
3. University of Colorado Boulder Road Network Information Derived From High Agility Satellite Platforms  
4. Michigan Tech Automated Scour Detection Arrays Using Bio-Inspired Magnetostrictive Flow Sensors  
5. University of Minnesota Using Commercial Truck GPS Data For Freight Performance Analysis In The Twin Cities Metropolitan Area (TCMA)  
6. University of North Carolina Charlotte CRS&SI Technologies For Reliable Transportation Systems  
7. University of Massachusetts Lowell An Automated System for Rail Transit Infrastructure Inspection  
8. University of Vermont Rapid Exploitation of Commercially Remote Sensed Imagery for Disaster Response & Recovery. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Concept, technical approach, cost, background, and partnerships.

**20.932 SURFACE TRANSPORTATION \_ DISCRETIONARY GRANTS FOR CAPITAL INVESTMENT.**

TIGER Grants (Transportation Investment Generating Economic Recovery).

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

The American Recovery and Reinvestment Act of 2009 (Recovery Act), Title XII Transportation and Housing and Urban Development, and Related Agencies, Department of Transportation, Office of the Secretary, Supplemental Discretionary Grants for a National Surface Transportation System., Public Law 111-5, 123 Stat. 115.

**OBJECTIVES:**

The purposes of the Recovery Act include, among other things: (i) to preserve and create jobs and promote economic recovery and (ii) to invest in transportation infrastructure that will provide long-term economic benefits. The Act requires that grants be provided for surface transportation projects that will have a significant impact on the Nation, a metropolitan area, or a region.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Under this program, \$1,500,000,000 was available through September 30, 2011, for the Department to make grants on a competitive basis for projects that would have a significant impact on the Nation, a metropolitan area, or a region. Projects eligible for funding provided under this program included, but were not limited to, highway or bridge projects eligible under title 23, United States Code, including interstate rehabilitation, improvements to the rural collector road system, the reconstruction of overpasses and interchanges, bridge replacements, seismic retrofit projects for bridges, and road realignments; public transportation projects eligible under chapter 53 of title 49, United States Code, included investments in projects participating in the New Starts or Small Starts programs that would expedite the completion of those projects and their

entry into revenue service; passenger and freight rail transportation projects; and port infrastructure investments, including projects that connect ports to other modes of transportation and improve the efficiency of freight movement. The Department also used an amount not to exceed \$200,000,000 for the purpose of paying the subsidy and administrative costs of projects eligible for federal credit assistance under chapter 6 of title 23, United States Code, if the Department finds that such use of the funds would advance the purposes of this program. In distributing funds available under this program, the Department must take measures to ensure an equitable geographic distribution of funds and an appropriate balance in addressing the needs of urban and rural communities. Grants provided under this program generally were not less than \$20,000,000 and not greater than \$300,000,000, however, the Department waived the \$20,000,000 minimum grant size for the purpose of funding significant projects in smaller cities, regions, or States. Not more than 20 percent of the funds made available under this program would be awarded to projects in a single State. The Federal share of the costs for which an expenditure was made under this program may be up to 100 percent, however, the Department gave priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects were expected to be completed by February 17, 2012. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects that are expected to be completed by February 17, 2012.

**Applicant Eligibility:**

The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package, and to projects that are expected to be completed by February 17, 2012.

**Beneficiary Eligibility:**

The ultimate benefits of this program may be received by, among others, State or local governments, transit agencies, builders/contractors/developers, major metropolitanises, and other urban, suburban, or rural areas.

**Credentials/Documentation:**

Recipients and their first-tier sub-awardees were required to have a DUNS number ([www.dnb.com](http://www.dnb.com)) and a current registration in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)). Recipients of Recovery Act funds had to have systems and internal controls that allow them to separately track and report Recovery Act funds even if the funds are being used to fund an existing project/activity. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Complete applications for TIGER Discretionary Grants must be submitted by September 15, 2009 (the Application Deadline). While applicants are encouraged to submit applications in advance of the Application Deadline, applications will not be evaluated, and awards will not be made, until after the Application Deadline. Due to the need to expedite the grant award process to meet the requirements and purposes of the Recovery Act (as defined below), the Department will evaluate all applications and announce the projects that have been selected to receive Grant Funds (as defined below) as soon as possible after the Application Deadline, but no later than February 17, 2010. In addition, in the event that this solicitation does not result in the award and obligation of all available funds, the Department may decide to publish an additional solicitation.

**Award Procedure:**

TIGER Discretionary Grants will be awarded to projects with a demonstrated or potential ability to: (i) Deliver programmatic results; (ii) achieve economic stimulus by optimizing economic activity and the number of jobs created or saved in relation to the Federal dollars obligated; (iii) achieve long-term public benefits by, for example, investing in technological advances in science and health to increase economic efficiency and improve quality of life; investing in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; fostering energy independence; or improving educational quality; and (iv) satisfy the Recovery Acts transparency and accountability objectives..

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula. Not more than 20 percent of the funds made available under this program will be awarded to projects in a single State. The Federal share of the costs for which an expenditure is made under this program may be up to 100 percent, however, the Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package.

While this program does not require a State match, the Maintenance of Effort provisions of section 1201 of the Act apply to projects that receive funding under this program to the extent that a State planned to expend State funds on such a project as of February 17, 2009. Specifically, section 1201(a) requires that for amounts distributed to a State or State agency from an appropriation in the Act for a covered program (including this program), the Governor of the State shall certify to the Secretary of Transportation that the State will maintain its effort with regard to State funding for the types of projects funded by the appropriation. As part of this certification, the Governor was required to submit a statement identifying the amount of funds the State planned to expend from State sources as of February 17, 2009, during the period beginning on February 17, 2009, through September 30, 2010, for the types of projects funded by the appropriation.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds available under this program are available through September 30, 2011. The Department will give priority to projects that are expected to be completed by February 17, 2012. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

All ARRA reporting requirements. All ARRA reporting requirements. To include all ARRA reporting requirements. SF 425. Monitoring with be conducted based on OMB ARRA guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Any awarding procedures, documentation of expenditures and copies of reports as well as policies and procedures for the life of the grant.

**Account Identification:**

69-0106-0-1-407.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Grants provided under this program generally were not less than \$20,000,000 and not greater than \$300,000,000, however, some cases the Department waived the minimum grant size for the purpose of funding significant projects in smaller cities, regions, or States.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The TIGER program has been able to make strides in areas such as: performance Measures through data tracking, performance based decision making, and efficient use of funds; accelerated project delivery through methods such as design/build and deadlines; capacity building at the local level through debriefs and technical assistance; providing funding opportunities to those who directly control transportation infrastructure that traditionally did not qualify for Department funding; and incentives for public-private partnerships by leveraging federal investments by facilitating innovative financing mechanisms. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Henry Greenidge 1200 New Jersey Ave, SE, Washington, District of Columbia  
20590 Email: henry.greenidge@dot.gov Phone: 202-366-1091 Fax:  
202-366-0263

**Website Address:**

<http://www.dot.gov/recovery/ost/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See <http://www.dot.gov/TIGER> for information on TIGER I Projects selected under the Recovery Act. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

TIGER Discretionary Grants was awarded based on the selection criteria as outlined below. There were two categories of selection criteria, Primary Selection Criteria and Secondary election Criteria. The Primary Selection Criteria include (1) Long-Term Outcomes and (2) Jobs Creation & Economic Stimulus. The Secondary Selection Criteria include (1) Innovation and (2) Partnership. The Primary selection Criteria were intended to capture the primary objectives of the TIGER Discretionary Grants provision of the Recovery Act, which include near-term economic recovery and job creation, maximization of long-term economic benefits and impacts on the Nation, a region, or a metropolitan area, and assistance for those most affected by the current economic downturn. The Secondary Selection Criteria were intended to capture the benefits of new and/or innovative approaches to achieving programmatic objectives.

**20.933 NATIONAL INFRASTRUCTURE INVESTMENTS**

TIGER Discretionary Grants

**FEDERAL AGENCY:**

Office of the Secretary (OST) Administration Secretariate, Department of Transportation

**AUTHORIZATION:**

The Consolidated and Further Continuing Appropriations Act, 2012 (Pub. L. 112055, Nov. 18, 2011) (FY 2012 Appropriations Act).

**OBJECTIVES:**

The grants for National Infrastructure Investments in the FY 2012 Appropriations Act are for capital investments in surface transportation infrastructure grants to be awarded to a State, local, or Tribal governments,

including U.S. territories, tribal governments, transit agencies, port authorities, metropolitan planning organizations (MPOs), other political subdivisions of State or local governments, and multi-State or multijurisdictional groups applying through a single lead applicant on a competitive basis for surface transportation projects (including, but not limited to: (1) Highway or bridge projects eligible under title 23, United States Code; (2) public transportation projects eligible under chapter 53 of title 49, United States Code; (3) passenger and freight rail transportation projects; and (4) port infrastructure investments) that will have a significant impact on the Nation, a metropolitan area, or a region.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Under the FY 2012 Appropriations Act TIGER Discretionary Grants, \$500,000,000 is available through September 30, 2013, for the Department to make grants on a competitive basis for projects that will have a significant impact on the Nation, a metropolitan area, or a region. Projects eligible for funding provided under this program include, but are not limited to, highway or bridge projects eligible under title 23, United States Code, including interstate rehabilitation, improvements to the rural collector road system, the reconstruction of overpasses and interchanges, bridge replacements, seismic retrofit projects for bridges, and road realignments; public transportation projects eligible under chapter 53 of title 49, United States Code, including investments in projects participating in the New Starts or Small Starts programs that will expedite the completion of those projects and their entry into revenue service; passenger and freight rail transportation projects; and port infrastructure investments, including projects that connect ports to other modes of transportation and improve the efficiency of freight movement. The Department may also use an amount not to exceed \$175,000,000 for the purpose of paying the subsidy and administrative costs of projects eligible for federal credit assistance under chapter 6 of title 23, United States Code, if the Department finds that such use of the funds would advance the purposes of this program. In distributing funds available under this program, the Department must take measures to ensure an equitable geographic distribution of funds and an appropriate balance in addressing the needs of urban and rural communities. Grants provided under this program shall generally be not less than \$10,000,000 and not greater than \$200,000,000, however, projects located in rural areas, the minimum grant size shall be \$1,000,000. The Federal share of the costs for which an expenditure is made under this program may be up to 80 percent, however, the Department may increase the Federal share of costs above 80 percent for projects located in rural areas. The Department will give priority to projects that require a contribution of Federal funds in order to complete an overall financing package. The Department has developed selection criteria and requirements for this program. Information about selection criteria and requirements is available in the Departments Notice of Funding Availability that has been published the Federal Register (available at <http://www.dot.gov/tiger/>). Grants provided under this program shall generally be not less than \$10,000,000 and not greater than \$200,000,000, however, projects located in rural areas, the minimum grant size shall be \$1,000,000. The Federal share of the costs for which an expenditure is made under this program may be up to 80 percent, however, the Department may increase the Federal share of costs above 80 percent for projects located in rural areas. 100% of the funding is discretionary. These are TIFIA loans and Title 23 loans.

**Applicant Eligibility:**

State, local, and tribal governments, including U.S. territories, tribal governments, transit agencies, port authorities, metropolitan planning organizations (MPOs), other political subdivisions of State or local governments, and multi-State or multi-jurisdictional groups applying through a single lead applicant (for multi-jurisdictional groups, each member of the group, including the lead applicant, must be an otherwise eligible applicant as defined in this paragraph).

**Beneficiary Eligibility:**

The ultimate benefits of this program may be received by, among others, States or local governments, transit agencies, builders/contractors/developers, major metropolises, and other urban, suburban, or rural areas.

**Credentials/Documentation:**

Recipients and their first-tier sub-awardees will be required to have a DUNS number ([www.dnb.com](http://www.dnb.com)) and a current registration in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)) submitted as part of the submitted application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The application cycle for TIGER Discretionary Grants has two stages:

**Pre-Application:** In Stage 1, applicants must submit a pre-application form to the DOT. This step qualifies applicants to submit an application in Stage 2. No application submitted during Stage 2 that does not correlate with a properly completed Stage 1 pre-application will be considered. Pre-applications must be submitted by February 20, 2012, at 5:00 p.m. EST through the [www.dot.gov/TIGER](http://www.dot.gov/TIGER) website. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application cycle for TIGER Discretionary Grants has two stages:

**Pre-Application:** In Stage 1, applicants must submit a pre-application form to the DOT. This step qualifies applicants to submit an application in Stage 2. No application submitted during Stage 2 that does not correlate with a properly completed Stage 1 pre-application will be considered.

**Application:** In Stage 2, applicants must submit a complete application package through [Grants.gov](http://Grants.gov). If an applicant is seeking a TIGER TIFIA payment, applicants must submit electronically a TIFIA letter of interest to the TIFIA office at [TIFIAcredit@dot.gov](mailto:TIFIAcredit@dot.gov). TIFIA letters of interest must comply with all of the programs standard requirements (the TIFIA program guide can be downloaded from <http://tifia.fhwa.dot.gov/>).

Pre-applications must be submitted to DOT by the Pre-Application Deadline, which is February 20, 2012, at 5:00 p.m. EST. Final applications must be submitted through [Grants.gov](http://Grants.gov) by the Application Deadline, which is March 19, 2012, at 5:00 p.m. EST. The [Grants.gov](http://Grants.gov) Apply function will open on February 22, 2012 allowing applicants to submit applications. While applicants are encouraged to submit pre-applications in advance of the Pre-Application Deadline, pre-applications will not be reviewed until after the Pre-Application Deadline. Similarly, while applicants are encouraged to submit applications in advance of the Application Deadline, applications will not be evaluated, and selections for awards will not be made, until after the Application Deadline.

Pre-applications (stage 1) must be submitted to the DOT. The pre-application form will be available on the DOT website at [www.dot.gov/TIGER](http://www.dot.gov/TIGER) on or before February 13, 2012, together with instructions for submitting the pre-application form electronically to DOT.

Applications (Stage 2) must be submitted through [Grants.gov](http://Grants.gov). To apply for funding through [Grants.gov](http://Grants.gov), applicants must be properly registered. Complete instructions on how to register and submit applications can be found at [www.grants.gov](http://www.grants.gov). Please be aware that the registration process usually takes 2-4 weeks and must be completed before an application can be submitted. If interested parties experience difficulties at any point during the registration or application process, please call the [Grants.gov](http://Grants.gov) Customer Support Hotline at 1-800-518-4726, Monday-Friday from 7:00 a.m. to 9:00 p.m. EST. Additional information on applying through [Grants.gov](http://Grants.gov) is available in Appendix B, attached hereto.

To help ensure that applicants submit only those applications that are most likely to align well with the departments selection criteria, each applicant may submit no more than three applications for consideration under the TIGER Discretionary Grant Program. While applications may include requests to fund more than one project, applicants should not bundle together unrelated projects in the same application for purposes of avoiding the three application limit that applies to each applicant. Please note that the three application limit applies

only to applications where the applicant is the lead applicant, and there is no limit on applications for which an applicant can be listed as a partnering agency. Also, DOT will not count any application for a multistate project against the three application limit to the extent multiple states are partnering to submit the application.

**Award Procedure:**

DOT will award TIGER Discretionary Grants to projects that are well-aligned with one or more of the selection criteria and that satisfy the statutory distributional requirements while remaining as consistent as possible with the competitive ratings.

**Deadlines:**

Feb 20, 2012 to Mar 19, 2012 Pre-applications must be submitted by February 20, 2012, at 5:00 p.m. EST (the Pre-Application Deadline). Final applications must be submitted through [Grants.gov](http://Grants.gov) by March 19, 2012, at 5:00 p.m. EDT (the Application Deadline). The DOT pre-application system will open on or before February 13, 2012, to allow prospective applicants to submit pre-applications. Subsequently, the [Grants.gov](http://Grants.gov) Apply function will open on February 22, 2012, allowing applicants to submit applications. While applicants are encouraged to submit pre-applications in advance of the Pre-Application Deadline, pre-applications will not be reviewed until after the pre-application deadline. Similarly, while applicants are encouraged to submit applications in advance of the Application Deadline, applications will not be evaluated, and awards will not be made, until after the Application Deadline. The funding for this program will remain available through September 30, 2013.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. This program has matching requirements. The Federal share of the costs for which an expenditure is made under this program may be up to 80 percent, however, the Department may increase the Federal share of costs above 80 percent for projects located in rural areas. The Department will give priority to projects for which Federal funding is required to complete an overall financing package and projects can increase their competitiveness by demonstrating significant non-Federal contributions. Additionally, not more than 25 percent of the funds made available under this program (or \$131.736 million) will be awarded to projects in a single State. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds available under this program are available for obligation through September 30, 2013. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

Quarterly progress reports, annual budget reports, and performance measurement reports are due in accordance with the terms and conditions of the grant agreement. No cash reports are required. Quarterly reports are required. SF-425. Grantees will provide information on the performance outcomes of the capital investments they make with TIGER funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees will be required to keep all project accounts and records that fully disclose the amount and disposition by the Grantee of the proceeds of the grant, the total cost of the project in connection with which the grant is given or used,

and the amount or nature of that portion of the cost of the project supplied by other sources, and such other financial records pertinent to the project. The accounts and records shall be kept in accordance with an accounting system that will facilitate an effective audit in accordance with the Single Audit Act of 1984, as amended (31 U.S.C. 7501-7507).

**Account Identification:**

69-0143-0-1-407.

**Obligations:**

(Salaries) FY 11 \$526,944,000; FY 12 est \$500,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Grants provided under this program shall generally be not less than \$10,000,000 and not greater than \$200,000,000, however, projects located in rural areas will have a minimum grant size of \$1,000,000 and the Secretary may increase the Federal share of costs above 80 percent.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: See <http://www.dot.gov/TIGER> for information on projects selected based on similar criteria under similar appropriations for TIGER Discretionary Grants (Recovery Act), TIGER II Discretionary Grants, and FY 2011 TIGER Discretionary Grants. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Howard Hill 1200 New Jersey Avenue, SE, Washington, District of Columbia 20590 Email: [TIGERGrants@dot.gov](mailto:TIGERGrants@dot.gov) Phone: (202) 366-0301

**Website Address:**

<http://www.dot.gov/TIGER>

**RELATED PROGRAMS:**

20.932 Surface Transportation \_ Discretionary Grants for Capital Investment.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See <http://www.dot.gov/TIGER> for information on projects selected based on similar criteria under similar appropriations for TIGER Discretionary Grants (Recovery Act), TIGER II Discretionary Grants, and FY 2011 TIGER Discretionary Grants. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

TIGER Discretionary Grants will be awarded based on the selection criteria as outlined below. TIGER Discretionary Grants will be awarded based on the following selection criteria. There are two categories of selection criteria, Primary Selection Criteria and Secondary Selection Criteria. The Primary Selection Criteria include (1) Long-Term Outcomes and (2) Jobs Creation & Near-Term Economic Activity. The Secondary Selection Criteria include (1) Innovation and (2) Partnership. The Primary Selection Criteria are intended to capture the primary objective of the TIGER IV provisions of the FY 2012 Appropriations Act, which is to provide capital investments in surface transportation projects that will have a significant impact on the Nation, a metropolitan area, or a region. The Secondary Selection Criteria are intended to capture the benefits of new and/or innovative approaches to achieving the programmatic objective. Information about selection criteria and requirements is available in the Departments Notice of Funding Availability that has been published in the Federal Register <http://www.dot.gov/tiger/>.

1. Primary Selection Criteria:

(a) Long-Term Outcomes

DOT will give priority to projects that have a significant impact on desirable long-term outcomes for the Nation, a metropolitan area, or a region.

Applications that do not demonstrate a likelihood of significant long-term benefits in this criterion will not proceed in the evaluation process. The following types of long-term outcomes will be given priority:

(i) State of Good Repair: Improving the condition of existing transportation facilities and systems, with particular emphasis on projects that minimize life-cycle costs.

(ii) Economic Competitiveness: Contributing to the economic competitiveness of the United States over the medium- to long-term.

(iii) Livability: Fostering livable communities through place-based policies and investments that increase transportation choices and access to transportation services for people in communities across the United States.

(iv) Environmental Sustainability: Improving energy efficiency, reducing dependence on oil, reducing greenhouse gas emissions and benefitting the environment.

(v) Safety: Improving the safety of U.S. transportation facilities and systems.

(b) Job Creation & Near-Term Economic Activity

While the TIGER Discretionary Grant program is not a Recovery Act program, job creation and near-term economic activity remain a top priority of this Administration; therefore, DOT will give priority (as it did for the TIGER and TIGER II Discretionary Grant programs) to projects that are expected to quickly create and preserve jobs and promote rapid increases in economic activity, particularly jobs and activity that benefit economically distressed areas as defined by section 301 of the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3161) (Economically Distressed Areas) .

2. Secondary Selection Criteria

(a) Innovation

DOT will give priority to projects that use innovative strategies to pursue the long-term outcomes outlined above.

(b) Partnership

DOT will give priority to projects that demonstrate strong collaboration among a broad range of participants and/or integration of transportation with other public service efforts.

**DEPARTMENT OF THE TREASURY**

**21.003 TAXPAYER SERVICE**

**FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Internal Revenue Code, as amended, 26 U.S.C. 7801.

**OBJECTIVES:**

To assist taxpayers and taxpayer organizations in locating services and Federal tax information.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

The Internal Revenue Service (IRS) produces and provides publications, forms and other tax materials and information to help taxpayers meet their tax responsibilities. Taxpayers are encouraged to visit the IRS website at [www.irs.gov](http://www.irs.gov) where they can find this information, download forms and publications, and check the status of their refunds. The site is easy, quick and secure. Taxpayers can also call our toll-free TeleTax system at (800) 829-4477, available 24 hours a day, 7 days a week. This service provides recorded tax information on more than 150 subjects to taxpayers who have touchtone telephones. For a directory of topics, taxpayers should listen to topic #123. Taxpayers may receive free assistance in preparation of their tax returns through IRS-sponsored Volunteer Income Tax Assistance and Tax Counseling for the Elderly programs. These volunteer-based programs are designed to help those taxpayers who cannot afford the services of paid preparers. Sites are generally open from January through April, with some open throughout the year. Go to [www.irs.gov](http://www.irs.gov) and type the word VITA in the search engine and click on Free tax return preparation for you by volunteers for available locations. Tax Counseling for the Elderly sites may be accessed through AARP. To assist tax professionals the IRS holds annual Nationwide Tax Forums, provides an electronic newsletter called e-news for Tax Professionals and regularly updates the Tax Professionals page on the IRS website with tax information. IRS Taxpayer Assistance Centers (TACs) in 50 states, the District of Columbia and Puerto Rico provide face-to-face help for account or tax law matters that are best handled in person. Visit [www.irs.gov/localcontacts/index.html](http://www.irs.gov/localcontacts/index.html) for TAC locations, services and hours of operation.

**Applicant Eligibility:**

Any individual interested in the federal tax system or with questions about their federal tax return(s).

**Beneficiary Eligibility:**

Taxpayers.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Advisory Services and Counseling) FY 11 \$2,437,719,000; FY 12 est \$2,377,445,000; and FY 13 est \$2,395,875,000

**Range and Average of Financial Assistance:**

No data available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

IRS regulations, guidelines and literature are available at [www.irs.gov](http://www.irs.gov).

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Regional or Local Office:

See [www.irs.gov/localcontacts/index.html](http://www.irs.gov/localcontacts/index.html) for Taxpayer Assistance Center locations, services and hours of operation. Jim Southwell, Wage & Investment Business Operating Division, 401 West Peachtree Street NW, Atlanta, GA 30308. Email [james.e.southwell@irs.gov](mailto:james.e.southwell@irs.gov) Phone: (404) 338-7005.

**Headquarters Office:**

Jim Southwell, Wage & Investment Business Operating Division, 401 West Peachtree Street NW, Atlanta, GA 30308. Email [james.e.southwell@irs.gov](mailto:james.e.southwell@irs.gov)

Phone: (404) 338-7005.

**Headquarters Office:**

James E. Southwell 401 W. Peachtree St. NW, Atlanta, Georgia 30308 Email: [james.e.southwell@irs.gov](mailto:james.e.southwell@irs.gov) Phone: (404) 338-7005 Fax: (404) 338-7218

**Website Address:**

<http://www.irs.gov> .

**RELATED PROGRAMS:**

21.004 Exchange of Federal Tax Information With State Tax Agencies; 21.006 Tax Counseling for the Elderly; 21.008 Low-Income Taxpayer Clinics; 21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**21.004 EXCHANGE OF FEDERAL TAX INFORMATION WITH STATE TAX AGENCIES****FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Internal Revenue Code, Executive Order As Amended, Title 26, Part 6103, Section d, 26 U.S.C 6103(d).

**OBJECTIVES:**

To increase state tax revenues and taxpayer compliance, and to reduce duplicate resource expenditures.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

State tax agencies and their contractors may use the tax data provided for state tax administration purposes only, pursuant to Internal Revenue Code (IRC) Section 6103. Any unlawful disclosure of Federal tax data subjects the violator to both criminal and civil penalties specified in IRC Sections 7213, 7213A and 7431. State tax agencies and their contractors may use the tax data provided for state tax administration purposes only, pursuant to Internal Revenue Code (IRC) Section 6103. Any unlawful disclosure of Federal tax data subjects the violator to both criminal and civil penalties specified in IRC Sections 7213, 7213A and 7431.

**Applicant Eligibility:**

Any agency responsible for tax administration within any of the 50 States, the District of Columbia, certain U.S. Territories, Regional Income Tax Agencies and municipalities with populations in excess of 250,000 that impose taxes on income or wages and with which the Commissioner of Internal Revenue has entered into a disclosure agreement with safeguard and confidentiality protections.

**Beneficiary Eligibility:**

State Governments, U.S. Territories, Regional Income Tax Agencies and Municipal Governments.

**Credentials/Documentation:**

Agency head or his/her designee must enter into Agreement with the Commissioner of IRS regarding disclosure. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There are a variety of application procedures depending on the circumstances. For the Governmental Liaison Data Exchange Program which includes recurring aggregate data extracts, applicants complete an Annual Registration Form. For



specialty programs, applicants sign a Memorandum of Understanding (MOU). For individual or one-time requests, applicants send a written request to the Disclosure Office. The address can be found by clicking "IRS Disclosure Offices" on <http://www.irs.gov/foia/>.

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Annual Governmental Liaison Data Exchange Program Enrollment Form must be completed annually by state agencies and must also be approved by the Disclosure Manager. For specialty programs, applicants sign a Memorandum of Understanding (MOU). For individual or one-time requests, applicants send a written request to the Disclosure Office. The address can be found by clicking "IRS Disclosure Offices" on <http://www.irs.gov/foia/>.

**Appeals:**

Not Applicable.

**Renewals:**

Governmental Liaison Data Exchange Program Enrollment Form must be submitted by state agencies and approved annually by the Disclosure Manager. For specialty programs, and other programs that require a Memorandum of Understanding (MOU) procedures vary based on the terms of the MOU.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Agency Officials are required to submit a Safeguard Procedures Report (SPR) 45 days prior to receipt of Federal tax data, and an annual Safeguard Activity Report (SAR). All records must be maintained as required by IRC 6103(p)(4).

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Provision of Specialized Services) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - In 1994, IRS decided to waive the fees charged to State and local agencies. These agencies can obtain tax data extract information through various IRS disclosure offices for free.

**Range and Average of Financial Assistance:**

NA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories, regional income tax agencies and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use this information for compliance purposes generating significant tax revenues. Fiscal Year 2012: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories, regional income tax agencies and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use this information for compliance purposes generating significant tax revenues. Fiscal Year 2013: The Internal Revenue Service has written agreements with state agencies representing 50 states, the District of Columbia, US territories, regional income tax agencies and qualifying municipalities on the exchange of Federal Tax Information for the purposes of tax administration. The states use this information for compliance purposes generating significant tax revenues.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

- Internal Revenue Manual 11.3.32, Disclosure of Official Information, Disclosure to States for Tax Administration Purposes, found at <http://www.irs.gov/irm/part11/>
- Publication 1075, Tax Information Security Guidelines, found at <http://www.irs.gov/pub/irs-pdf/p1075.pdf>.
- Tax Information Security Guidelines Title 26 Code of Federal Regulations

**Regional or Local Office:**

See Regional Agency Offices. Disclosure Manager, in all area jurisdictions, found at <http://www.irs.gov/foia/article/0,,id=120681,00.html>.

**Headquarters Office:**

Theodore Armstrong 1301 Clay Street, Oakland, California 94612 Email: Ted.Armstrong@irs.gov Phone: (415) 837-6599

**Website Address:**

<http://www.irs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**21.006 TAX COUNSELING FOR THE ELDERLY**

**FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Revenue Act of 1978, Executive Order Public Law 95-600, 92 Stat. 2810, Title 26, Part 601, Section 163, Public Law 600-95, 19 Stat. 141, 26 U.S.C 601.

**OBJECTIVES:**

To authorize the Internal Revenue Service to enter into agreements with private or public nonprofit agencies or organizations; to establish a network of trained volunteers to provide free income tax information and return preparation assistance to elderly taxpayers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding may be used for reimbursing volunteers for their out-of-pocket expenses including transportation, meals, and other expenses incurred by them in providing tax counseling assistance at locations convenient to the taxpayers.

**Applicant Eligibility:**

Tax Counseling for the Elderly sponsors must be private or public nonprofit organizations with experience in coordinating volunteer programs. Federal, State, and local governmental agencies and organizations are not eligible to sponsor a program. Applicants must be tax compliant and not debarred or suspended.

**Beneficiary Eligibility:**

Elderly taxpayers, age 60 or older.

**Credentials/Documentation:**

Applicants must provide proof of their tax exempt status. The following OMB Requirements apply to this program:

- 2 CFR 215 (formerly OMB Circular No. A-110), Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations;
- OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations; and
- 2 CFR 230 (formerly OMB Circular A-122), Cost Principles for Non-Profit Organizations. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application procedures are included in IRS Publication 1101, Application Package and Guidelines for Managing a TCE Program. Eligible organizations are to submit their applications through grants.gov by May 31, 2012.

**Award Procedure:**

All complete applications meeting eligibility requirements will be evaluated on technical merit, capacity to reach targeted audience, their prior performance (if returning sponsor) and how the organization plans to provide Federal tax return assistance and electronic filing service to elderly individuals in the community.

**Deadlines:**

May 01, 2012 to May 31, 2012

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Applicants will notify applicants of their acceptance or non-selection of their grant application, as well as those that did not qualify for the program generally by October 1 of each year. The schedule for notification will be determined based on the Congressional appropriation of funding for the TCE Program, meaning if we are operating under a Continuing Resolution, applicant notification may be delayed pending approval of TCE funds.

**Appeals:**

The selection of the grantees for this program is left to the discretion of the IRS - there is no appeals process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative Agreements expire on September 30 of each year unless an earlier date is set-forth in the Cooperative Agreement. TCE grant funds are released on an immediate need or reimbursement basis - meaning an organization should request reimbursement from the IRS as they disburse funds for TCE program activities. See the following for information on how assistance is awarded/released: Reimbursement.

**Reports:**

TCE Program recipients are required to submit a quarterly and year-end Federal Financial Report (FFR) Cash Transaction Report Standard Form 425 to the Payment Management System. In addition, Form 8654, Tax Counseling for the Elderly Semi-Annual/Annual Program Report is required to be submitted annually to the Grant Program Office. No cash reports are required. No cash reports are required. Form 8654, Tax Counseling for the Elderly Semi-Annual/Annual Program Report is required to be submitted annually and is prepared as cumulative, reflecting expenditures for entire program period. In addition, on-line Federal Financial reports are required through the Payment Management System on a quarterly basis to reflect expenditures that are being requested for reimbursement through the system. No performance monitoring is required. Grantees are responsible for monitoring volunteer compliance with program regulations and requirements, Section 163 of the Revenue Act of 1978, the Cooperative Agreement, and compliance with OMB circulars and regulations.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Federal Audit Clearinghouse operates on behalf of the Office of Management and Budget (OMB) and its

primary purpose is to disseminate audit information to Federal agencies and the public. If the most recent audit showed an unfavorable finding, it will not automatically disqualify you from consideration; however, more information may be requested to ensure any deficiencies noted in the audit have been corrected.

**Records:**

Grant recipients are required to have a record keeping system in place to support all information reported. Supporting receipts and other documentation should be maintained for a minimum of 3 years following the submission of the final report.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$6,100,000; FY 12 est \$5,600,000; and FY 13 est \$5,600,000 - none.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1,319,761 returns prepared. Fiscal Year 2012: Fiscal Year 2012: No current data is available. Fiscal Year 2013: Fiscal Year 2013: A conservative growth rate of 5 percent is projected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publication 1101, Application Package and Guidelines for Managing a TCE Program

**Regional or Local Office:**

None.

**Headquarters Office:**

Grant Program Office - TCE Internal Revenue Service  
5000 Ellin Road  
NCFB C4-110, Lanham, Maryland 20706 Email: tce.grant.office@irs.gov  
Phone: (404) 338-7894

**Website Address:**

<http://www.irs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Quality of Programs and Service for age 60 and over 30 points  
Geographic coverage and extent of coverage for age 60 and over 20 points  
Electronic Filing services for age 60 and over 20 points  
Prior experience in Federal Tax Return Counseling and Tax Preparation 10 points  
Quality of Cooperative Agreement Administration and Internal Accounting Procedures 10 points  
Past Performance 10 points

**Grant Program Office Evaluation**

The Grant Program Office evaluation involves a more in-depth review of the applicants budget information and accounting processes. The proposed geographic coverage and target audiences are also taken into consideration.

**21.008 LOW INCOME TAXPAYER CLINICS**

**FEDERAL AGENCY:**

Internal Revenue Service (IRS), Department of the Treasury

**AUTHORIZATION:**

Internal Revenue Code, as amended, 26 U.S.C 7526.

**OBJECTIVES:**

To provide matching grants to organizations providing: (1) Representation of

low income taxpayers in controversies with the Internal Revenue Service (IRS), or (2) programs to inform individuals for whom English is a second language about their taxpayer rights and responsibilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards under this program are issued to provide financial assistance that enhances the awardees' ability to represent low income taxpayers in controversies with the Internal Revenue Service (IRS) or inform individuals for whom English is a second language of their taxpayer rights and responsibilities. Each awardee is required to enter into an assistance agreement that requires the awardee to comply with program goals and abide by other terms and conditions pertinent to assistance received under this program.

**Applicant Eligibility:**

Qualifying organizations that represent low income taxpayers involved in controversies with the IRS and organizations that provide education and outreach on the taxpayer rights and responsibilities of U.S. taxpayers to individuals who speak English as a second language. IRC Section 7526 requires clinics to provide services for free or for no more than a nominal fee. The term "clinic" includes, but is not limited to, a clinical program at an accredited law, business, or accounting school in which students represent low income taxpayers in controversies with the IRS, and an organization described in IRC Section 501(c) and exempt from tax under IRC Section 501(a) that either directly represents taxpayers or refers taxpayers to qualified representatives.

**Beneficiary Eligibility:**

Low-income taxpayers with incomes which do not exceed 250 percent of the Federal Poverty Guidelines published annually by the Department of Health and Human Services, or taxpayers for whom English is a second language.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each Low Income Taxpayer Clinic applicant must complete a Low Income Taxpayer Clinic Application Package. See IRS Publication 3319, Low Income Taxpayer Clinic Grant Application Package and Guidelines, which you may obtain by calling 1-800-TAX-FORM (1-800-829-3676) or by visiting [www.irs.gov](http://www.irs.gov). This program is subject to the provisions of OMB Circulars No. A-110, A-133, A-21, and A-122. Access [www.irs.gov](http://www.irs.gov) or call 1-800-TAX-FORM (1-800-829-3676) to obtain a copy of Publication 3319.

**Award Procedure:**

The IRS reviews applications and selects grant recipients.

**Deadlines:**

Jun 15, 2012 An annual notice of funds availability, published in the Federal Register, announces deadline dates for submission of applications. Deadline dates are generally 45 days subsequent to the notice publication date.

**Range of Approval/Disapproval Time:**

Grantees are generally selected 120 days after the application submission deadline.

**Appeals:**

None.

**Renewals:**

A multi-year award may be issued up to 3 years maximum.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100%. All awards of financial assistance

shall be matched by the recipient on a dollar-for-dollar basis. In general, funds from sources (other than from other federal government sources) can be counted as matching funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, an award may be issued up to 3 years maximum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Each awardee will submit two reports, an interim report due approximately 30 days after the calendar mid-year and an annual report due approximately 90 days after the end of the award year. Each awardee will submit two reports, an interim report due approximately 30 days after the calendar mid-year and an annual report due approximately 90 days after the end of the award year. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

Award recipients are required to maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must be retained in accordance with the provisions of OMB Circular No. A-110.

**Account Identification:**

20-0912-0-1-803.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$10,000,000; and FY 13 est \$10,000,000

**Range and Average of Financial Assistance:**

Range of grant: \$10,000 to \$100,000.  
2012 Average: 64,516.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY 2011 we were able to bring in several new clinics in designated areas to provide the type assistance an LITC is required to provide. Fiscal Year 2012: For 2013, we will continue to work toward ensuring that each state (plus the District of Columbia and Puerto Rico) continues to be served by at least one clinic; ensuring grant recipients demonstrate that they are serving geographic areas that have sizable populations eligible for and requiring LITC services; and expanding coverage in geographic areas that do not have both controversy representation and ESL education and outreach. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

IRS Publication 3319, Low Income Taxpayer Clinic Grant Application Package and Guidelines.

**Regional or Local Office:**

None.

**Headquarters Office:**

William C Beard 1111 Constitution Avenue NW, Room 1034, Washington, District of Columbia 20224 Email: [beard.william@irs.gov](mailto:beard.william@irs.gov) Phone: (202) 622-8972 Fax: (202) 622-4318.

**Website Address:**

<http://www.irs.gov/advocate>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) Quality of the programs offered by the clinic, including the qualifications of the clinic's administrators and representatives as well as the clinic's record in providing service to low-income or ESL taxpayers; (2) Quality of grant administration and internal accounting procedures; (3) Number of low income or ESL taxpayers in geographic area and proposed efforts to reach these taxpayers; and (4) Other factors deemed appropriate under

this program.

## **21.009 VOLUNTEER INCOME TAX ASSISTANCE (VITA) MATCHING GRANT PROGRAM**

### **FEDERAL AGENCY:**

Department of the Treasury

### **AUTHORIZATION:**

Executive Order Consolidated Appropriations Act, 2012, P.L. 112-74.

### **OBJECTIVES:**

To provide direct funding that will enable VITA initiatives to extend services to underserved populations and hardest-to-reach areas, both urban and non-urban; specific objectives as they relate to the VITA Program which include: increasing the capacity to file returns electronically, heighten quality control, enhance training of volunteers, and significantly improve the accuracy rate of returns prepared by VITA sites.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Grant funds can be used to cover ordinary and necessary expenses for operating a VITA tax preparation program. Such expenses are only allowable if they are reasonable, allocable, and in accordance with the OMB Cost Principles Circulars.

### **Applicant Eligibility:**

Non-profit organization or Government Entity.

### **Beneficiary Eligibility:**

Providing assistance to low to moderate income individuals and families.

### **Credentials/Documentation:**

Applicants must provide proof of their entity status (i.e. tax-exempt organization/government agency). Matching funds must be documented. Applicants must be tax compliant and not debarred or suspended. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Complete application procedures are included in IRS Publication 4671, Volunteer Income Tax Assistance Grant Program Overview and Application Package. Applicants must provide proof of their entity status (i.e. tax-exempt organization/government agency). Matching funds must be documented. The following OMB Requirements apply to this program:

2 CFR 215 (formerly OMB Circular No. A-110), Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations;

OMB Circular A-102, Grants and Cooperative Agreements With State and Local Governments;

OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations;

2 CFR 220 (formerly OMB Circular A-21), Cost Principles for Educational Institutions;

2 CFR 225 (formerly OMB Circular A-87), Cost Principles for State, Local and Indian Tribal Governments; and

2 CFR 230 (formerly OMB Circular A-122), Cost Principles for Non-Profit Organizations.

### **Award Procedure:**

All complete applications meeting initial eligibility requirements will be evaluated/ranked on technical merit, capacity to reach the targeted audiences, and geographic coverage. Applicants will be notified of their acceptance or rejection of a grant award.

### **Deadlines:**

May 01, 2012 to May 31, 2012 Applicants are to submit the VITA Grant Program Application Package, as explained in Publication 4671 via Grants.gov.

All applications submitted must be received through grants.gov by May 31, 2012.

### **Range of Approval/Disapproval Time:**

From 90 to 120 days. The IRS will notify applicants of the acceptance or non-selection of their grant application, as well as those that did not qualify for the program by October 1 of each year.

### **Appeals:**

The selection of the grantees for this program is left to the discretion of the IRS - there is no appeals process for non-selection.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 100.%.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

The grant period extends from July 1st of a given year through June 30th of the subsequent year. See the following for information on how assistance is awarded/released: Once awarded, VITA grant funds are released on an immediate need or reimbursement basis. Funding is deposited in an account managed by the Division of Payment Management and recipients may request/receive funds electronically after account establishment.

### **Reports:**

VITA Grant recipients are required to submit quarterly Federal Financial Report (FFR) Cash Transaction Report Standard Form 425 through the Payment Management System (PMS) 30 days after quarter end. A year-end FFR Financial Status Report is also required to be submitted through the PMS by September 30. No cash reports are required. Additional year-end reporting is required to be submitted by September 30. These reports as detailed in the grant agreement must be submitted to the Grant Program Office using specific forms within the Performance Progress Report family, a narrative, final listing of sites opened and budget summary. Grant recipients are also expected to prepare and submit quarterly on-line Federal Financial Reports to the Payment Management System. A report is due 30 days after the end of each quarter. Grantees are responsible for monitoring volunteer compliance with program regulations and requirements, the Grant Agreement, and compliance with applicable OMB Circulars and regulations.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Federal Audit Clearinghouse operates on behalf of the Office of Management and Budget (OMB) and its primary purpose is to disseminate audit information to Federal agencies and the public. If the most recent audit showed an unfavorable finding, it will not automatically disqualify you from consideration; however, more information may be requested to ensure any deficiencies noted in the audit have been corrected.

### **Records:**

Grant recipients are required to have a record keeping system in place to support all information reported. Supporting receipts and other documentation should be maintained for a minimum of three years following the submission of the final report.

### **Account Identification:**

20-0912-0-1-803.

### **Obligations:**

(Project Grants (Discretionary)) FY 11 \$12,000,000; FY 12 est \$12,000,000; and FY 13 est \$12,000,000

### **Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1,004,562 returns prepared. Fiscal Year 2012: No current data available. Fiscal Year 2013: A conservative growth rate of 5 percent is projected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publication 4671, VITA Grant Program Overview and Application Package

**Regional or Local Office:**

None.

**Headquarters Office:**

Grant Program Office Grant Program Office, 401 West Peachtree Street, NW, Stop 420-D, Atlanta, Georgia 30308 Email: Grant.Program.Office@irs.gov Phone: (404) 338-7894

**Website Address:**

<http://www.irs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection of proposals is based on a two-tiered evaluation process:

1. Experience with low income and/or return preparation 40 points
2. Strength of program 40 points
3. VITA target audience and delivery 40 points
4. Ability to partner or collaborate with multiple organizations 20 points
5. Sustainability and growth strategy 10 points
6. Quality control process 40 points
7. Program measures 10

**Grant Program Office Evaluation**

The Grant Program Office evaluation involves a more in-depth review of the applicants budget information and accounting processes. The proposed geographic coverage and target audiences are also taken into consideration.

**21.010 FINANCIAL EDUCATION AND COUNSELING PILOT PROGRAM**

FEC

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

Section 1132(c) of The Housing and Economic Recovery Act of 2008 Public Law 110-289.

**OBJECTIVES:**

To provide a range of financial education and counseling services to prospective homebuyers; to identify successful methods resulting in positive behavioral change for financial empowerment; and to establish program models for organizations to carry out effective counseling services.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The CDFI Fund awards grants to eligible organizations to provide financial education and counseling services to: (1) increase the financial knowledge and decision making capabilities of prospective homebuyers; (2) assist prospective homebuyers to develop monthly budgets, build personal savings, finance or plan for major purchases, reduce their debt, improve their financial stability, and set and reach their financial goals; (3) help prospective homebuyers to improve their credit scores by understanding the relationship between their credit histories and their credit scores; and (4) educate prospective homebuyers about the options available to build savings for short- and long-term goals. Each awardee enters into an assistance agreement that specifies the terms and conditions related to expenditures (including eligible uses) of the grant funds, requires compliance with performance goals, and requires reporting on performance outcomes.

**Applicant Eligibility:**

Applicants must be 1) certified in accordance with section 106(e)(1) of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701x(e)); or 2) certified by the Office of Financial Education of the Department of the Treasury. In addition, such organizations must be able to demonstrate that they meet minimum threshold requirements with respect to their experience and ability to provide financial education and counseling services which result in documented positive behavioral changes.

**Beneficiary Eligibility:**

Low-income, moderate-income and low-wealth individuals who are prospective homebuyers.

**Credentials/Documentation:**

An applicant must provide information necessary to establish that it is an eligible organization in order to apply for assistance. This information is included as part of the application materials. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each applicant must complete an application package. The CDFI Fund provides the application package format.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards set forth in the Notice of Funding Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The NOFA, is published in the Federal Register, announces the deadlines for submission of applications. Application deadlines are from 30 to 60 days subsequent to the NOFA publication date. Award approval/disapproval determinations may be made within 180 days after the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awardees must use all funds within three years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports provide the explanation of noncompliance with a statement addressing the failure to achieve program goals. No cash reports are required. Progress Reports cover the following areas: Institutional Performance Reporting; Transactional Performance Reporting; and the utilization of the award funds for Financial and/or Technical assistance. Expenditure Reports are included in the SF-425 Expenditure of Financial Assistance Report. Performance Monitoring is accomplished with the financial review of Audited Financial Statements; and the OMB Circular A-133 Single Audit findings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must maintain records to substantiate total costs incurred and to assure that all performance measures were met. Records must be retained in accordance with the provisions of applicable OMB guidance and the terms of the assistance agreement.

**Account Identification:**

20-1881-0-1-451.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$0; and FY 13 est \$0 - The CDFI Fund does not propose to fund the FEC Program in FY 2012 and FY 2013.

**Range and Average of Financial Assistance:**

During FY 2010, the CDFI Fund made awards to five awardees, \$400,000 each, including the FY 2009 appropriation; During FY 2011, the CDFI Fund made awards to three awardees, ranging from \$200,000 to \$400,000, totaling \$1,000,000 and one award of \$3,150,000 to an organization in Hawaii, utilizing the FY 2010 appropriation.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEC Pilot Program NOFA; FEC Pilot Program Application. Website: [www.cdfifund.gov](http://www.cdfifund.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Jodie Harris 1801 L Street, NW, 6th Floor, Washington, District of Columbia 20036 Email: [harrisj@cdfi.treas.gov](mailto:harrisj@cdfi.treas.gov) Phone: (202) 622-4499 Fax: (202) 622-7754

**Website Address:**

<http://www.cdfifund.gov>

**RELATED PROGRAMS:**

21.011 Capital Magnet Fund; 21.020 Community Development Financial Institutions Program; 21.021 Bank Enterprise Award Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated based upon: (1) the quality of their implementation strategy; (2) the proposed impacts, including potential for program replication; (3) the organizational capacity; (4) the strategy for the proposed uses of funds and (5) other factors set forth in the NOFA and application materials.

**21.011 CAPITAL MAGNET FUND**

CMF

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

The Housing and Economic Recovery Act of 2008, Section 1339.

**OBJECTIVES:**

To attract financing for and increase investment in affordable housing for low-income, very low-income, and extremely low-income people and certain related economic and community development activities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The CDFI Fund awards Capital Magnet Fund grants to certified Community

Development Financial Institutions (CDFIs) and certain nonprofit organizations to finance: (1) the development, preservation, rehabilitation, or purchase of affordable housing for primarily extremely low-, very low-, and low-income families; and (2) economic development activities or community service facilities, such as day care centers, workforce development centers, and health care clinics, which in conjunction with affordable housing activities implement a concerted strategy to stabilize or revitalize a low-income area or underserved rural area. Each awardee enters into an assistance agreement that specifies the terms and conditions related to expenditures (including eligible uses) of the grant funds, requires compliance with performance goals, and requires reporting on performance outcomes.

**Applicant Eligibility:**

Applicants must be (1) a Treasury certified CDFI; or (2) a nonprofit organization having as one of its principal purposes the development or management of affordable housing.

**Beneficiary Eligibility:**

Low income, very low-income, and extremely low-income people as directed in 12 C.F.R. 1807.

**Credentials/Documentation:**

An applicant must provide information necessary to establish that it is an eligible organization in order to apply for assistance. This information is included as part of the application materials. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete an application package. The CDFI Fund provides the application package format.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process, set forth in the Notice of Funds Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The NOFA, published in the Federal Register, announces the deadline for submission of applications. Award approval/disapproval determinations are generally made within 180 days after the application deadline. The application deadline is 30 days subsequent to the NOFA publication date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. Certain leverage requirements apply. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awardees must commit all funds within two years; begin initial expenditure of funds within three years; and place the projects into service within five years of the award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports provide the explanation of noncompliance with a statement addressing the failure to achieve program goals. No cash reports are required. Progress Reports cover the following areas:

Institutional Performance Reporting; Transactional Performance Reporting; and the utilization of the award funds for Financial and/or Technical assistance. Expenditure Reports are included in the SF-425 Expenditure of Financial Assistance Report. Performance Monitoring is accomplished with the financial review of Audited Financial Statements; and the OMB Circular A-133 Single Audit findings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must maintain records to substantiate total costs incurred and to assure that all performance measures are met. Records must be retained in accordance with the provisions of applicable OMB guidance and the terms of the assistance agreement.

**Account Identification:**

20-1881-0-1-451.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$0; and FY 13 est \$0 - The CDFI Fund has proposed not to fund the CMF in FY 2011, FY 2012, and FY 2013, but will monitor and evaluate the community development impact and performance of the FY 2010 awards.

**Range and Average of Financial Assistance:**

The maximum allowable award is 15% of the annual available funding.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2012, the CDFI Fund baselined awardees' performance reporting. Awardees will be required to report annually: number of affordable housing units developed or produced; number/percentage of low-income renters/owners; number/percentage of very low-income renters/owners; number of jobs produced; leverage ratio; and development rate. In FY 2012 the FTE job creation/maintenance measures and the two administrative cycle time measures will be consolidated into CDFI Fund-wide measures reflecting the outcomes of all programs. Fiscal Year 2012: The CDFI Fund does not propose to fund the CMF Program in FY 2012. Fiscal Year 2013: The CDFI Fund does not propose to fund the CMF Program in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Proposed Rule (12 CFR 1807); NOFA; CMF Application. Website: [www.cdfifund.gov](http://www.cdfifund.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

John Moon 1801 L Street, NW  
6th Floor  
, Washington, DC, District of Columbia 20036 Email: [moonj@cdfi.treas.gov](mailto:moonj@cdfi.treas.gov)  
Phone: 202-622-7024 Fax: 202-622-2445

**Website Address:**

<http://www.cdfifund.gov>.

**RELATED PROGRAMS:**

21.020 Community Development Financial Institutions Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are evaluated based upon criteria set forth in the proposed rule, the NOFA and application materials.

**21.012 NATIVE INITIATIVES**

NI

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

Riegle Community Development and Regulatory Improvement Act of 1994, 12 U.S.C 4701 et.seq; American Recovery and Reinvestment Act of 2009, "Recovery Act", Public Law 111-5.

**OBJECTIVES:**

To promote economic revitalization and community development through financial and technical Financial assistance to Native Community Development Financial Institutions (CDFIs) and a complementary series of training programs called Expanding Native Opportunities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Financial Assistance (FA) and Technical Assistance (TA) awards are provided to build the capacity of new or existing Native CDFIs serving Native Communities. The complementary capacity-building initiatives seek to foster the development of Native CDFIs through training and technical assistance. Each awardee enters into an assistance agreement that requires it to achieve performance goals and abide by other terms and conditions. No awards may be issued to Federal Government agencies, departments or instrumentality's, State governments local governments or any agency or instrumentality thereof. Under Section 1512 of OMB's Recovery Act guidance, each awardee is required to report specific data elements (including job creation information) 10 days after the end of each calendar quarter.

**Applicant Eligibility:**

An organization wishing to apply for FA only or a combination of FA and TA awards through the NACA Program must be either a certified Native CDFI or be able to be certified by the Fund at the time of application. Organizations that are Emerging Native CDFIs or Sponsoring Entities may only apply for TA awards.

**Beneficiary Eligibility:**

Targeted Populations as defined in 12 CFR 1805.

**Credentials/Documentation:**

An organization wishing to apply for FA only or a combination of FA and TA awards through the NACA Program must be either a certified Native CDFI or be able to be certified by the Fund at the time of application. Organizations that are Emerging Native CDFIs or Sponsoring Entities may only apply for TA awards. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pursuant to 12 C.F.R. 1815. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete a NI Program application which includes a Comprehensive Business Plan.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process, set forth in the Notice of Funds Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The NOFA published in the Federal Register, announces the deadlines for submission of applications. Application deadlines are from 60 to 90 days subsequent to the NOFA publication date. Award approval/disapproval determinations may be made within 180 days after the application deadline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. The American Reinvestment and Recovery Act of 2009 waived the requirement that the CDFI Fund make awards to applicants in a "like form" to the matching funds secured by the awardee; thus, FY 2009, 2010 and 2011 NI Program awards are not required to be matched by non-Federal sources. The Recovery Act also waived the 3-year, \$5million cap on awards for FY 2009, 2010 and 2011.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awardees must use all funds within three years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports provide the explanation of noncompliance with a statement addressing the failure to achieve program goals. No cash reports are required. Progress Reports cover the following areas: Institutional Performance Reporting; Transactional Performance Reporting; and the utilization of the award funds for Financial and/or Technical assistance. Expenditure Reports are included in the SF-425-Expenditure of Financial Assistance Report.

Performance Monitoring is accomplished with the financial review of Audited Financial Statements and the OMB Circular A-133 Single Audit findings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must maintain records to substantiate total costs incurred and to assure that all performance measures are met. Records must be retained in accordance with the provisions of OMB Circular No. A-110 and the terms of the assistance agreement.

**Account Identification:**

20-1881-1-2-451 - Regular Appropriation.

**Obligations:**

(Project Grants) FY 11 \$11,976,000; FY 12 est \$12,000,000; and FY 13 est \$12,000,000

**Range and Average of Financial Assistance:**

FY 2010 Range of Financial Assistance Awards - \$458,000 - \$650,000;

FY 2010 Average Financial Assistance Awards were \$597,000 and capped at \$650,000.

FY 2010 Range of Technical Assistance Awards - \$22,000 - \$150,000;

FY 2010 Average Technical Assistance Awards were \$122,000 and capped at \$150,000.

FY 2011 Range of Financial Assistance Awards - \$279,000 - \$725,000;

FY 2011 Average Financial Assistance Awards were \$651,000 and capped at \$725,000.

FY 2011 Range Technical Assistance Awards - \$25,000 - \$150,000;

FY 2011 Average Technical Assistance Awards were \$130,000 and capped at \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the total assets measure is being replaced by two new measures on the number and amount of loans originated by NACA Program awardees. These two new measures will be baselined in FY 2011. In addition, in FY 2011 the FTE job creation/maintenance measures and the two administrative cycle time measures will be consolidated into CDFI Fund-wide measures reflecting the outcomes of all programs. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

12 CFR Part 1805; Notice of Funding availability; Native Initiatives Program Application.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Jaure, 1801 L Street, NW, 6th Floor, Washington, District of Columbia 20005 Email: jaurer@cdfi.treas.gov Phone: (202) 622-9156 Fax: (202) 622-7754.

**Website Address:**

http://www.cdfifund.gov

**RELATED PROGRAMS:**

21.011 Capital Magnet Fund; 21.020 Community Development Financial Institutions Program; 21.021 Bank Enterprise Award Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FY 2011 - The CDFI Fund received 82 applications and awarded 14 FA awards for a total of \$9,111,854 and 21 TA awards for a total of \$2,735,725. Fiscal Year 2012: FY 2012 - The CDFI Fund received 66 applications and awarded 15 FA awards for a total of \$9,039,700 and 18 TA awards totaling \$2,433,947. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) financial strength and organizational capacity of applicant, (2) external resources or matching fund commitment/ability to obtain commitments, (3) community impact and (4) other factors as set forth in the NI Program regulations, NOFA and application materials.

**21.014 COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS BOND GUARANTEE PROGRAM**

CDFI Bond Guarantee Program

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

The Small Business Jobs Act of 2010, Section 1134, 1703, Public Law 111-240.

**OBJECTIVES:**

To support community development lending and investment by providing a new source of long-term capital to certified Community Development Financial Institutions (CDFIs) for economic and community development in low-income communities and underserved rural areas.

**TYPES OF ASSISTANCE:**

Guaranteed/Insured Loans

**USES AND USE RESTRICTIONS:**

Through the CDFI Bond Guarantee Program (BG Program), the U.S. Department of the Treasury will provide a 100 percent guarantee on the principal and interest of Bonds issued by Qualified Issuers. No guarantee amount may be less than \$100,000,000, provided the total of all such guarantees in any one fiscal year may not exceed \$1 billion. By legislative design, the BG Program is a zero subsidy credit program. As such, in accordance with Federal credit policy, the Federal Financing Bank will purchase Bonds issued by Qualified Issuers. The maximum maturity of the bonds is 30 years and the bonds are taxable. Qualified Issuers will lend the bond proceeds to Eligible CDFIs. The loans to Eligible CDFIs must be used for Eligible Community or Economic Development Purposes, as authorized by sections 1134 and 1703 of the Small Business Jobs Act of 2010 (Pub. L. 111-240; 12 U.S.C. 4713a). Bond and Bond Loan rates and terms will vary.

**Applicant Eligibility:**

The Act defines Eligible CDFIs and authorizes the CDFI Fund to determine which entities may serve as Qualified Issuers.

**Beneficiary Eligibility:**

Eligible CDFIs must use the Bond Proceeds for Eligible Community and Economic Development Purposes. This may include, but is not limited to



lending activities in low-income communities and underserved rural areas such as: multi-family housing projects, charter schools, and municipal and community entity lending, among others.

**Credentials/Documentation:**

Eligible CDFIs must be certified by the CDFI Fund. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application procedures will be set forth in the CDFI Bond Guarantee Program regulations, the applicable Notice of Guarantee Availability (NOGA), and application materials.

**Award Procedure:**

The CDFI Fund reviews applications and authorizes the provision of Guarantees based on an established merit-based review process, set forth in the CDFI Bond Guarantee Program regulations, NOGA, and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

The appeals procedure will be governed by the CDFI Fund in its sole discretion.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The CDFI Bond Guarantee Program is authorized through the end of fiscal year 2014. Guaranteed Bonds may have terms up to 30 years. See the following for information on how assistance is awarded/released: Procedures for Bond Loan disbursements are set forth in the CDFI Bond Guarantee Program regulations and the NOGA.

**Reports:**

Reporting is required of Qualified Issuers and Eligible CDFIs regarding the use of Bond and Bond Loan proceeds. No cash reports are required. Progress reports are required. Expenditure reports may be required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Record keeping will be required.

**Account Identification:**

20-1881-3-4-451.

**Obligations:**

(Guaranteed/Insured Loans) FY 11 \$0; FY 12 est \$0; and FY 13 est \$1,000,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations will be published by the end of FY 2012.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lisa M. Jones 1500 Pennsylvania Avenue NW, Washington, District of Columbia 20220 Email: jonesl@cdfi.treas.gov Phone: 202-622-8691

**Website Address:**

<http://www.cdfifund.gov>

**RELATED PROGRAMS:**

21.010 Financial Education and Counseling Pilot Program; 21.011 Capital Magnet Fund; 21.012 Native Initiatives; 21.020 Community Development Financial Institutions Program; 21.021 Bank Enterprise Award Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The application review and evaluation process is merit-based and based on established standard operating procedures, which may include interviews and/or site visits.

**21.020 COMMUNITY DEVELOPMENT FINANCIAL INSTITUTIONS PROGRAM**

(CDFI)

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

Riegle Community Development and Regulatory Improvement Act of 1994, 12 U.S.C 4701 et.seq.

**OBJECTIVES:**

To promote economic revitalization and community development through investment in and assistance to Community Development Financial Institutions (CDFIs).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial Assistance (FA) awards enhance the awardee's ability to make loans and investments and to provide financial services that promote economic revitalization and community development. Each awardee enters into an assistance agreement that requires it to achieve performance goals and abide by other terms and conditions. Technical Assistance (TA) awards build the awardee's internal capacity. No awards may be issued to Federal Government agencies, departments or instrumentalities, State governments local governments or any agency or instrumentality thereof. Under Section 1512 of OMB Recovery Act guidance, each awardee is required to report specific data elements (including job creation information) 10 days after the end of each calendar quarter.

**Applicant Eligibility:**

Private nonprofit institutions/organizations, other private institutions/organizations, profit organizations. Only certified CDFIs are eligible to apply for Financial Assistance awards; entities seeking to become certified CDFIs may apply for Technical Assistance awards.

**Beneficiary Eligibility:**

Investment Areas and Targeted Populations, as defined in 12 CFR 1805.

**Credentials/Documentation:**

FA applicants must be certified CDFIs. TA applicants must provide proposed plans to become certified CDFIs. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Pursuant to 12 CFR 1815. An environmental impact assessment is required for

this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete a CDFI Program Application which includes a Comprehensive Business Plan.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process, set forth in the Notice of Funds Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The NOFA, published in the Federal Register, announces the deadlines for submission of applications. Application deadlines are from 60 to 90 days subsequent to the NOFA publication date. Award approval/disapproval determinations may be made within 180 days after the application deadline.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The American Reinvestment and Recovery Act of 2009 waived the requirement that the CDFI Fund make awards to applicants in a "like form" to the matching funds secured by the awardee; thus, FY 2009, 2010 and 2011 CDFI Program awards are not required to be matched by non-Federal sources. The Recovery Act also waived the 3-year, \$5 million cap on awards for FY 2009, 2010 and 2011.

For FY 2012, the CDFI is required to match its Financial Assistance award dollar-for-dollar with non-federal funds of the same type as the award itself. This requirement enables CDFIs to leverage private capital to meet the demand for affordable financial products and services in economically distressed communities.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awardees must use all funds within three years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports provide the explanation of noncompliance with a statement addressing the failure to achieve program goals. No cash reports are required. Progress Reports cover the following areas: Institutional Performance Reporting; Transactional Performance Reporting; and the utilization of the award funds for Financial and/or Technical assistance. Expenditure Reports are included in the SF-425 - Expenditure of Financial Assistance. Performance Monitoring is accomplished with the financial review of Audited Financial Statements and the OMB Circular A-133 Single Audit findings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must maintain records to substantiate total costs incurred and to assure that all performance measures are met. Records must be retained in accordance with the provisions of OMB Circular No. A-110 and the terms of the assistance agreement.

**Account Identification:**

20-1881-1-2-451 - Regular Appropriation.

**Obligations:**

(Project Grants) FY 11 \$167,300,000; FY 12 est \$168,035,000; and FY 13 est \$152,953,000

**Range and Average of Financial Assistance:**

FY 2010 Range of Financial Assistance Awards \$169,000- \$750,000; FY 2010 Average Financial Assistance Awards were \$693,659 and capped at \$750,000.

FY 2010 Range of Technical Assistance Awards \$46,000 - \$100,000; FY 2010 Average Technical Assistance Awards were \$89,561 and capped at \$100,000.

FY 2011 Range of Financial Assistance Awards: \$150,000 - \$3,000,000; FY 2011 Average Financial Assistance Awards were \$1,262,721 and capped at \$3,000,000.

FY 2011 Range of Technical Assistance Awards \$13,000 - \$100,000; FY 2011 Average Technical Assistance Awards were \$85,106 and capped at \$100,000.

FY 2012 Range of Financial Assistance Awards: \$53,806 - \$1,453,806; FY 2012 Average Financial Assistance Awards were \$1,269,378 and capped at \$1,453,806.

FY 2012 Range of Technical Assistance Awards: \$54,384 - \$100,000; FY 2012 Average Technical Assistance Awards were \$92,417 and capped at \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the leveraged private investment measure is being replaced by two new measures on the number and amount of loans originated by CDFI awardees. These two new measures will be baselined in FY 2011. In addition, in FY 2011 the FTE job creation/maintenance measures and the two administrative cycle time measures will be consolidated into CDFI Fund-wide measures reflecting the outcomes of all programs. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

12 CFR Part 1805, Notice of Funding Availability. Community Development Financial Institutions Program Application. Website: [www.cdfifund.gov](http://www.cdfifund.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Ruth Jaure, 1801 L Street, N.W., 6th Floor, Washington, District of Columbia 20036 Email: [jaurer@cdfi.treas.gov](mailto:jaurer@cdfi.treas.gov) Phone: (202) 622-9156 Fax: (202) 622-7754.

**Website Address:**

<http://www.cdfifund.gov>.

**RELATED PROGRAMS:**

21.011 Capital Magnet Fund; 21.021 Bank Enterprise Award Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FY 2011 - Received 391 applications and awarded 130 FA awards that totaled \$164.2 million and 37 TA awards that totaled \$3.2 million. Fiscal Year 2012: FY 2012 - Received 389 applications and awarded 156 FA awards that totaled \$172.2 and 33 TA awards that totaled \$3.0 million. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation factors include: (1) financial strength and organizational capacity of applicant, (2) external resources or matching fund commitment/ability to obtain commitments, (3) community impact, and (4) other factors set forth in the CDFI Program regulations, NOFA and application materials.

**21.021 BANK ENTERPRISE AWARD PROGRAM**

BEA

**FEDERAL AGENCY:**

Community Development Financial Institutions Fund, Department of the Treasury

**AUTHORIZATION:**

12 U.S.C. 1834a; 12 U.S.C. 4713.

**OBJECTIVES:**

To encourage insured depository institutions to increase their level of community development activities in the form of loans, investments, services and technical assistance within distressed communities and to provide assistance to Community Development Financial Institutions (CDFIs) through grants, equity investments, loans, deposits and other forms of financial and technical assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The CDFI Fund makes grants to selected applicants that: (1)invest in or otherwise support CDFIs; (2)increase lending and investment activities within distressed communities; and/or (3)increase the provision of certain services and technical assistance within distressed communities. An award is based upon a percentage of the increase in qualifying activities that are carried out by the applicant between an established baseline period and assessment period. This information is announced in the annual Notice of Funds Availability published in the Federal Register. Only Federal Deposit Insurance Corporation insured banks and savings associations may apply for an award under this program.

**Applicant Eligibility:**

Profit Organization and Other Private Institution/Organization in the form of FDIC insured depository institutions.

**Beneficiary Eligibility:**

Distressed communities as defined in 12 C.F.R. 1806.

**Credentials/Documentation:**

An applicant must provide it's Federal Deposit Insurance Corporation certificate number. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Each applicant must complete a Bank Enterprise Award Application.

**Award Procedure:**

The CDFI Fund reviews applications and makes awards based on an established awards review process, set forth in the Notice of Funds Availability (NOFA) and application materials.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The annual NOFA published in the Federal Register announces the deadlines for the submission of applications. Award approval/disapproval determinations may be made within 180 days after the application deadline. Application deadlines are from 30 to 90 days subsequent to the NOFA publication date.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds must be used within one year on BEA qualified activities. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Reports are used to identify and record the utilization of the award funds. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance Monitoring is accomplished with the financial review of Audited Financial Statements.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Award recipients (insured depository institutions) are excluded from coverage under OMB Circular A-133 (Revised, June 27, 2003) "Audits of States, Local Governments, and Non-Profit Organizations". Costs incurred for awards issued as part of this program are subject to audit in accordance with the award terms and conditions.

**Records:**

Award recipients must maintain records to substantiate all award costs incurred and to assure that all performance measures are met. Records must be retained in accordance with the provisions of applicable OMB guidance and the terms of the award agreement.

**Account Identification:**

20-1881-1-2-451.

**Obligations:**

(Project Grants) FY 11 \$21,956,000; FY 12 est \$18,000,000; and FY 13 est \$15,000,000

**Range and Average of Financial Assistance:**

FY 2009 Range of awards \$6,000 to \$700,000; Average Award \$406,042  
FY 2010 Range of awards \$6,000 to \$600,000; Average Award \$357,249  
FY 2011 Range of awards \$6,000 to \$500,000; Average Award \$285,143.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In the fiscal year 2011 funding round, 82 applicants requested more than \$68 million in awards for increasing their support of CDFIs or their activities in distressed communities throughout the country. The CDFI Fund selected 77 FDIC-insured institutions to receive approximately \$22 million in BEA Program awards. The average award was \$285,143. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Revised Interim Rule (12 CFR 1806); NOFA; and application materials.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mia Sowell 1801 L Street, 6th Floor, Washington, DC, District of Columbia 20036 Email: sowellm@cdfi.treas.gov Phone: 202-622-8879

**Website Address:**

www.cdfifund.gov.

**RELATED PROGRAMS:**

21.020 Community Development Financial Institutions Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Award recipients are selected based upon a priority ranking of qualified activities as set forth in the BEA regulations, the NOFA, and application materials. Qualified activities include, in order of importance, the following: (1) Community Development Financial Institution Related Activities; (2) Distressed Community Financing Activities; and (3) Service Activities.

**APPALACHIAN REGIONAL COMMISSION**

**23.001 APPALACHIAN REGIONAL DEVELOPMENT (SEE INDIVIDUAL APPALACHIAN PROGRAMS)**

(Appalachian Program)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704.

**OBJECTIVES:**

To help the regional economy become more competitive by putting in place the building blocks for self-sustaining economic development, while continuing to provide special assistance to the Region's most distressed counties and areas.

This program focuses on activities which support ARC's mission to be a strategic partner and advocate for sustainable community and economic development. Activities funded must advance ARC's strategic plan. Specific program goals are: (1) Increase job opportunities and per capita income in Appalachia to reach parity with the nation; (2) Strengthen the capacity of the people of Appalachia to compete in the global economy; (3) Develop and improve Appalachia's infrastructure to make the Region economically competitive; and (4) Build the Appalachian Development Highway System to reduce Appalachia's isolation. Specific objectives were developed for each goal. Grants are made either directly by the Commission or grants may supplement other Federal grants.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Appalachian funds enable the States and local areas to develop networks of facilities and services. Individual programs following this description illustrate the types of investments that can be made. In considering programs and projects to be given assistance under this Act, and in establishing a priority ranking of the requests for assistance presented to the Commission (ARC), the ARC follows procedures insuring consideration of the following factors: (1) The relationship of the project or class of projects to overall regional development and the reduction of economic distress; (2) the population and area to be served including the relative per capita income and the unemployment rates in the area; (3) the relative financial resources available to the State or political subdivision or instrumentalities thereof which seek to undertake the project; (4) the importance of the project or class of projects in relation to other activities which may compete for the same funds; (5) the prospects that the project for which assistance is sought will improve the opportunities for sustained employment, income growth, or socioeconomic development of the area; and (6) the degree and manner of private sector involvement. No financial assistance can be used to assist establishments relocating from one area to another. Each State is required to file a State Appalachian development plan, appraising prospects for development in its Appalachian area and relating to them a strategic program for which Appalachian funding is requested in that year. Once an application is submitted for the individual projects and given final approval, the grant is administered either by the basic Federal agency involved in that type of program or directly by the ARC. The counties (including any political subdivision located within such area) in which investment under the Appalachian Act (40 U.S.C. 14102) can be made are: in Alabama, the counties of Bibb, Blount, Calhoun, Chambers, Cherokee, Chilton, Clay, Cleburne, Colbert, Coosa, Cullman, DeKalb, Elmore, Etowah, Fayette, Franklin, Hale, Jackson, Jefferson, Lamar, Lauderdale, Lawrence, Limestone, Macon, Madison, Marion, Marshall, Morgan, Pickens, Randolph, Saint Clair, Shelby, Talladega, Tallapoosa, Tuscaloosa, Walker, and Winston; in Georgia, the counties of Banks, Barrow, Bartow, Carroll, Catoosa, Chattooga, Cherokee, Dade, Dawson, Douglas, Elbert, Fannin, Floyd, Forsyth, Franklin, Gilmer, Gordon, Gwinnet, Habersham, Hall, Haralson, Hart, Heard, Jackson, Lumpkin, Madison, Murray, Paulding, Pickens, Polk, Rabun, Stephens, Towns, Union, Walker, White, and Whitfield; in Kentucky, the counties of Adair, Bath, Bell, Boyd, Breathitt, Carter, Casey, Clark, Clay, Clinton, Cumberland, Edmonson, Elliott, Estill, Fleming, Floyd, Garrard, Green, Greenup, Harlan, Hart, Jackson, Johnson, Knott, Knox, Laurel, Lawrence, Lee, Leslie, Letcher, Lewis, Lincoln, McCreary, Madison, Magoffin, Martin, Menifee, Metcalfe, Monroe, Montgomery, Morgan, Nicholas, Owsley, Perry, Pike, Powell, Pulaski, Robertson, Rockcastle, Rowan, Russell, Wayne, Whitley, and Wolfe; in Maryland, the counties of Allegany, Garrett, and Washington; in Mississippi, the counties of Alcorn, Benton, Calhoun, Chickasaw, Choctaw, Clay, Itawamba, Kemper, Lee, Lowndes, Marshall, Montgomery, Monroe, Noxubee, Oktibbeha, Panola, Pontotoc, Prentiss, Tippah, Tishomingo, Union, Webster,

Winston, and Yalobusha; in New York, the counties of Allegany, Broome, Cattaraugus, Chautauqa, Chemung, Chenango, Cortland, Delaware, Otsego, Schoharie, Schuyler, Steuben, Tioga, and Tompkins; in North Carolina, the counties of Alexander, Alleghany, Ashe, Avery, Buncombe, Burke, Caldwell, Cherokee, Clay, Davie, Forsyth, Graham, Haywood, Henderson, Jackson, McDowell, Macon, Madison, Mitchell, Polk, Rutherford, Stokes, Surry, Swain, Transylvania, Watauga, Wilkes, Yadkin, and Yancey; in Ohio, the counties of Adams, Ashtabula, Athens, Belmont, Brown, Carroll, Clermont, Columbiana, Coshocton, Gallia, Guernsey, Harrison, Highland, Hocking, Holmes, Jackson, Jefferson, Lawrence, Mahoning, Meigs, Monroe, Morgan, Muskingum, Noble, Perry, Pike, Ross, Scioto, Trumbull, Tuscarawas, Vinton, and Washington; in Pennsylvania, the counties of Allegheny, Armstrong, Beaver, Bedford, Blair, Bradford, Butler, Cambria, Cameron, Carbon, Centre, Clarion, Clearfield, Clinton, Columbia, Crawford, Elk, Erie, Fayette, Forest, Fulton, Greene, Huntingdon, Indiana, Jefferson, Juniata, Lackawanna, Lawrence, Luzerne, Lycoming, McKean, Mercer, Mifflin, Monroe, Montour, Northumberland, Perry, Pike, Potter, Schuylkill, Snyder, Somerset, Sullivan, Susquehanna, Tioga, Union, Venango, Warren, Washington, Wayne, Westmoreland, and Wyoming; in South Carolina, the counties of Anderson, Cherokee, Greenville, Oconee, Pickens, and Spartanburg; in Tennessee, the counties of Anderson, Bledsoe, Blount, Bradley, Campbell, Cannon, Carter, Claiborne, Clay, Cocke, Coffee, Cumberland, De Kalb, Fentress, Franklin, Grainger, Greene, Grundy, Hamblen, Hamilton, Hancock, Hawkins, Jackson, Jefferson, Johnson, Knox, Lawrence, Lewis, Loudon, McMinn, Macon, Marion, Meigs, Monroe, Morgan, Overton, Pickett, Polk, Putman, Rhea, Roane, Scott, Sequatchie, Sevier, Smith, Sullivan, Unicoi, Union, Van Buren, Warren, Washington, and White; in Virginia, the counties of Alleghany, Bath, Bland, Botetourt, Buchanan, Carroll, Craig, Dickenson, Floyd, Giles, Grayson, Henry, Highland, Lee, Montgomery, Patrick, Pulaski, Rockbridge, Russell, Scott, Smyth, Tazewell, Washington, Wise, and Wythe; all the counties of West Virginia.

**Applicant Eligibility:**

States, and through the States, public bodies and private nonprofit organizations. All proposed projects must meet the requirements of the State Appalachian plan and the annual State strategy statement, both of which must be approved annually by the Commission.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

(See individual Appalachian program descriptions.). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The following describes the general nature and Administration of Appalachian Regional Development Program. The Appalachian Regional Development program is a joint Federal-State partnership for the development of the Appalachian region. Responsibility for the development of plans and programs authorized under the Act is vested in the ARC, composed of the 13 State Governors (who may appoint alternates) and a Federal Co-Chairman. General policies and procedures, and the allocation of Appalachian funds among the various programs and States are established by the ARC. Application for assistance may only be made through a State member of the ARC. The State Alternate's Offices are the coordinators for the Governors for Appalachian investments. Preapplication conferences can determine within a few weeks if the project conforms to the State Appalachian Development Plan. The appropriate local development district director should be the first contact. The State Alternate's Offices will provide guidance on specific problems and technical assistance in the preparation of applications. (See individual Appalachian program descriptions.)

Only infrastructure projects require an environmental review. Please see 40 U.S.C. 14507. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications for individual projects must be submitted through and with the approval of the State Alternate to the Appalachian Regional Commission (listed in the appendix). (See individual Appalachian program description.)

**Award Procedure:**

Upon receipt of project applications approved by the State, the Federal Co-Chairman determines that the project satisfies all requirements for assistance under the Act and approves the application. If a basic Federal agency will administer the project, it is then notified and will disburse funds when appropriate. The ARC notifies Congressional offices and the office of the Governor of grant awards. (See individual Appalachian program descriptions.).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

(See individual Appalachian program descriptions.).

**Appeals:**

There are no appeal procedures as such, project review allows for full and free interchange with applicants.

**Renewals:**

Generally renewals are not applicable except for administrative expenses, including technical services, of local development districts (23.009).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: For the Area Development program, grants are generally limited to 50% of project costs. For projects in counties designated as At Risk, this limit can be raised to 70% and in economically Distressed counties, it can be raised to 80%. For projects in counties designated as Competitive (those approaching national economic norms), funding is usually limited to 30% of project costs. Funding is usually not available for projects located in counties that have attained or exceeded national economic norms. For the Appalachian Development Highway System, funding for work is allowed at 80%, wherever the project is located. Administrative grants to Local Development Districts are generally funded at 50%. These grants may be increased to 75% upon request by a state in Districts where distressed counties are located. See the ARC Code for additional information. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

See individual Programs. See the following for information on how assistance is awarded/released: See individual Programs.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are required by the basic Federal agency and the Commission.

**Records:**

Records generally are required by the basic Federal agency, but see local development districts (23.009).

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$66,846,961; FY 12 est \$76,000,000; and FY 13 est \$73,000,000 - Sections 23.002, 23.009 and 23.011 provide a detailed break-out of these funds.

**Range and Average of Financial Assistance:**

See Individual programs.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution);

"Appalachian Regional Commission Project Guidelines" (limited distribution); applicable State Appalachian Plans and Guidelines; "Appalachia" - a Journal devoted to the special problems of regional development; Performance and Accountability Reports, no charge.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Jill Wilmoth 1666 Connecticut Ave NW Suite 600, Washington, District of Columbia 20009 Email: jwilmoth@arc.gov Phone: 202-884-7713

**Website Address:**

http://www.arc.gov.

**RELATED PROGRAMS:**

11.300 Investments for Public Works and Economic Development Facilities; 11.307 Economic Adjustment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**23.002 APPALACHIAN AREA DEVELOPMENT**

(Supplemental and Direct Grants)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704.

**OBJECTIVES:**

To help the regional economy become more competitive by putting in place the building blocks for self-sustaining economic development, while continuing to provide special assistance to the Region's most distressed counties and areas. This program focuses on activities which support ARC's mission to be a strategic partner and advocate for sustainable community and economic development. Activities funded must advance ARC's strategic plan. Specific program goals are: (1) Increase job opportunities and per capita income in Appalachia to reach parity with the nation; (2) Strengthen the capacity of the people of Appalachia to compete in the global economy; (3) Develop and improve Appalachia's infrastructure to make the Region economically competitive; and (4) Build the Appalachian Development Highway System to reduce Appalachia's isolation. Specific objectives were developed for each goal. Grants are made either directly by the Commission or grants may supplement other Federal grants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grants may be used for providing supplemental funds under Federal grant-in-aid programs. To be eligible for special basic grants, projects must be of high priority in the State's Appalachian development plan and be either of critical importance to a phased investment and development program for a multicounty area, or of unusual economic benefit to such area. Refer to "General Provisions for Area Development Program" of the Appalachian Regional Commission Code and ARC Project Guidelines for additional use restrictions. Also, please see www.arc.gov. The Appalachian Regional Commission awards grants and contracts from funds appropriated to the Commission annually by Congress. At least half of ARC's Area Development grant funding is directed to projects that benefit counties and areas in the Appalachian Region designated by ARC as economically distressed. Most program grants originate at the state level. Potential applicants should contact their state ARC program manager to request a preapplication package.

**Applicant Eligibility:**

States, their subdivisions and instrumentalities and private nonprofit agencies.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Any finding, report, certification, or documentation required to be submitted to the head of the department, agency, or instrumentality of the Federal Government responsible for the administration of the basic Federal grant-in-aid program shall be accepted by the Federal Co-chairman with respect to a supplemental grant for any project under such program. Projects must conform to the ARC Code, the ARD Act, the State Appalachian Plan and annual State Strategy Statement. The Appalachian State Development Plan and the annual State Strategy Statement must be submitted by the Governors and approved by the Commission. Costs will be determined in accordance with OMB Circular applicable to the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Alternate's Office is the coordinator for Appalachian investments. Preapplication conferences with the Appalachian local district director or the State Alternate's Office can determine within a few weeks if the project can be related to the State Appalachian development plan. The State Alternate's Office will provide guidance on specific problems and technical assistance in preparation of applications. An environmental impact statement may be required for this program, depending on the basic Federal grant-in-aid program being assisted. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

Only infrastructure projects require an environmental review. Please see 40. U.S.C. 14507. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted and approved by the State member of the ARC. All proposed projects must conform to the State Strategy Statement submitted annually. Guidelines and forms for funding Appalachian development projects are available from the local development district director and the State Alternate's Office. A letter of transmittal signed by the State member and an executed ARC Form 1 may be required with the submission (contact individual State Offices as appropriate).

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Strategy Statement, the Federal Co-Chairman determines that the project satisfies all Federal requirements. If a basic Federal agency will administer the project it is then notified and will disburse the grant funds when appropriate. The ARC notifies Congressional Offices and the Office of the Governor of grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days after the receipt of the application at the Commission.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Generally grants are limited to 50% of project costs. For projects in counties designated as At Risk, this limit can be raised to 70%, and in economically distressed counties, it can be raised to 80%. For projects in counties designated as competitive (those that are approaching national economic norms), funding is usually limited to 30% of project costs. Funding is usually not available for projects located in counties that have attained or exceeded national economic norms. If otherwise eligible for funding, projects involving construction assistance for housing under the Appalachian Regional Development Act (ARDA) (40 U.S.C. 14503) cannot exceed 10% of total project costs regardless of location. The ARC Code and "Appalachian Regional Commission Project Guidelines" furnish details. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is provided until completion; funds are transferred to the basic Federal agency and disbursed as appropriate. ARC reserves the right to withdraw grants for projects not under contract within 18 months of approval. See the following for information on how assistance is awarded/released: Generally, most funds are awarded on a quarterly basis. Grant monies are released in a timely fashion through coordination with the applicant.

**Reports:**

No program reports are required. No cash reports are required. Grantees of non-construction projects submit quarterly reports outlining progress throughout the award period. Grantees of non-construction projects submit quarterly expenditure reports along with their progress reports. Grantees of non-construction assess performance in their final closing report. Performance is measured against estimated projections in the initial application.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records as required by the basic Federal agency. Under the total audit concept, audits will be made on an organization-wide basis (rather than grant-by-grant) under GAO guidelines, Standards for Audit of Governmental Organizations, Programs, Activities and Functions, and for programs covered by A-102, Attachment P.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$66,846,961; FY 12 est \$76,000,000; and FY 13 est \$73,000,000

**Range and Average of Financial Assistance:**

Range: \$0.01 - \$1,500,000

Average: \$8,349.

**PROGRAM ACCOMPLISHMENTS:**

- Fiscal Year 2011: 1) Jobs Created/Retained: Actual= 22,816  
2) Private Sector Dollars Leveraged: Actual= 3:1  
3) Households served Water/Wastewater: Actual= 20,986  
4) Students/Workers Trained: Actual= 18,335. Fiscal Year 2012: 1) Jobs Created/Retained: Projected = 20,000  
2) Private Sector Dollars Leveraged: Projected = 4:1  
3) Households served Water/Wastewater: Projected = 20,000  
4) Students/Workers Trained: Projected = 20,000. Fiscal Year 2013: 1) Jobs Created/Retained: Projected = 20,000  
2) Private Sector Dollars Leveraged: Projected = 4:1  
3) Households served Water/Wastewater: Projected = 20,000  
4) Students/Workers Trained: Projected = 20,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution);  
"Appalachian Regional Commission Project Guidelines" (limited distribution);  
applicable State Appalachian Plans and Guidelines; "Appalachia" - a journal devoted to the special problems of regional development; Performance and Accountability Report, no charge.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Jill Wilmoth 1666 Connecticut Ave NW Suite 600, Washington, District of Columbia 20009 Email: jwilmoth@arc.gov Phone: 202-884-7713

**Website Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.003 APPALACHIAN DEVELOPMENT HIGHWAY SYSTEM**

(Appalachian Corridors)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 201, Public Law 89-4, as amended, 40 U.S.C. 14501.

**OBJECTIVES:**

To provide a highway system which, in conjunction with other federally-aided highways, will open up areas with development potential within Appalachia where commerce and communication have been inhibited by lack of adequate access.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grants may be used for preliminary engineering, right-of-way, and construction of highways meeting the objectives stated above. Total highway construction may not exceed 3,090 miles for the 13-State system. The highways must be accepted and maintained as a Federal-aid highway. Refer to general use restrictions stated in the Appalachian Regional Development program (23.001).

**Applicant Eligibility:**

State governments only are eligible for development highways within their Appalachian portions.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Segments must be approved by the ARC and projects must be processed in accordance with State Highway department and Federal Highway Administration procedures. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. The State highway department coordinates with the Federal Highway Administration, Department of Transportation (DOT), as in the case of federally aided highway construction. The District Director or State Alternate's Office will provide guidance on specific problems and technical assistance in the preparation of applications. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The ARC has established a corridor system. The Appalachian State office designated by the State Member submits an application for construction within this system to the Commission for consideration. ARC must concur in detailed highway locations and construction centerlines. Upon such approval, State highway departments may submit plans to implement projects to the State-level office of Federal Highway Administration.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian Highway Plan, the Federal Co-chairman notifies FHWA of centerline approval after determining that the project satisfies all Federal requirements. The Department of Transportation is then notified, administers the grants and disburses the funds.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Funding for work on the Appalachian Development Highway System is allowed at 80%, wherever the project is located. Please see the ARC Code for more details.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Assistance is provided as required. See the following for information on how assistance is awarded/released: Funds are distributed by formula based on the current "cost to complete" report estimate.

**Reports:**

Grantees are required to submit data in preparation for an annual status report. Grantees are required to reconcile obligations against progress. Grantees are required to detailed construction status reports. Grantees are required to reconcile obligations against progress. Performance is measured and reported each year in accordance with the goals and strategies of ARC's Strategic Plan 2005-2010.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Federal Highway Administration, DOT, supervises audits for the Commission.

**Records:**

Records and time of record maintenance as required by the Federal Highway Administration, DOT.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$366,260,207; FY 12 est \$470,000,000; and FY 13 est \$470,000,000 - Ranges and averages vary with type of use. Allocations are within predetermined system of highways. Funding is provided from the Highway Trust Fund.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 42.5 Miles of ADHS opened to traffic. Fiscal Year 2012: Open 25 miles of the ADHS to traffic. Fiscal Year 2013: Open 25 miles of the ADHS to traffic.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The ARC Code (available at [www.arc.gov](http://www.arc.gov)); "Appalachian Regional Commission Project Guidelines" (also available at [www.arc.gov](http://www.arc.gov)); applicable State Appalachian Plans and Guidelines; "Appalachia" a journal devoted to the special problems of regional development; Performance and Accountability Reports, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Inquiries and proposals for projects should be submitted first to the Appalachian State office designated by the Governor. (See Appendix IV of the Catalog.) Other inquiries may be addressed to: Executive Director, Appalachian Regional Commission, 1666 Connecticut Ave., NW., Washington, DC 20009. Telephone: (202) 884-7700. Use the same number for FTS.

**Headquarters Office:**

Jill Wilmoth 1666 Connecticut Ave NW Suite 600, Washington, District of Columbia 20009 Email: jwilmoth@arc.gov Phone: 202-884-7713

**Website Address:**

http://www.arc.gov .

**RELATED PROGRAMS:**

20.205 Highway Planning and Construction

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.009 APPALACHIAN LOCAL DEVELOPMENT DISTRICT ASSISTANCE**

(LDD)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended, 40 U.S.C. 14321.

**OBJECTIVES:**

To provide planning and development resources in multicounty areas; to help develop the technical competence essential to sound development assistance; and to meet the objectives stated under the program entitled Appalachian Regional Development (23.001).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For administrative expenses, including technical services of certified local development districts; in addition to the uses and use restrictions detailed in the Appalachian Regional Development Program (23.001), the local development district may use grant funds for the purchase of real estate and vehicles; and for space improvement and construction only with the express approval of ARC. Funds may be used only in the performance of grantees program and in accordance with the budget, and amendments thereto, as approved by the Commission. See restrictions listed under the Appalachian Regional Development Program (23.001). For administrative expenses, including technical services of certified local development districts.

**Applicant Eligibility:**

Multicounty organizations certified by the State.

**Beneficiary Eligibility:**

Multicounty organizations.

**Credentials/Documentation:**

Certificate by the Governor. State Appalachian Plan and Strategy Statement must describe the procedures for the participation of local development districts in the Appalachian development planning process. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Alternate's Office is the coordinator for the Governor for Appalachian investments. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications approved by the State Member of ARC and the Federal Co-Chair. All proposed projects must meet the requirements of the State Appalachian Plan and Strategy Statement. Strategy statements are submitted to the Commission for approval annually prior to the Fall Commission meeting. A letter of transmittal signed by the State Member and Standard Form 424 are required.

**Award Procedure:**

Upon determination that the State approved project is eligible within a Commission approved Appalachian State Development Plan and Strategy Statement, the Federal Co-chairman determines that the project satisfies all Federal requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Usually within 45 days after the receipt of the application at the Commission.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals and amended applications follow the same procedures as the original application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Administrative grants may be funded at 50%, wherever the local development district is located, except that a state may request that ARC participation be increased to as much as 75 percent for a local development district that includes a distressed county or counties within its service area or to as much as 70 percent for a local development district that includes an at-risk county or counties within its service area. See the ARC Code and ARC Project Guidelines for more details.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is provided annually for 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

A final report is required at the end of each calendar year from each local development district that includes an analysis of performance activities and financial expenditures. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Commission, the Federal Co-chairman of the Commission, and the Comptroller General of the United States shall have access for the purpose of audit and examination.

**Records:**

The grantee shall keep records for not less than 3 years which fully disclose the purpose, amount and disposition of ARC funds and other contributions.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$7,288,755; FY 12 est \$7,000,000; and FY 13 est \$7,000,000

**Range and Average of Financial Assistance:**

Range: \$286 - \$234,000

Average: \$11,988.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (available at www.arc.gov); "ARC Travel Regulations;" "ARC Section 302A Guidelines" and "Audit Guide for Grants Made Under Section 302(A)(1) of the Appalachian Regional Development Act of 1965, as amended", and applicable OMB Circulars.



**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog.

**Headquarters Office:**

Jill Wilmoth 1666 Connecticut Ave NW Suite 600, Washington, District of Columbia 20009 Email: jwilmoth@arc.gov Phone: 202-884-7713

**Website Address:**

http://www.arc.gov .

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: 73 local development districts will be aided. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**23.011 APPALACHIAN RESEARCH, TECHNICAL ASSISTANCE, AND DEMONSTRATION PROJECTS**

(State Research)

**FEDERAL AGENCY:**

Appalachian Regional Commission

**AUTHORIZATION:**

Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended; 40 U.S.C. 14321.

**OBJECTIVES:**

To expand the knowledge of the region to the fullest extent possible by means of research (including investigations, studies, technical assistance and demonstration projects) in order to assist the Commission in accomplishing the objectives of the Act, and implementation of the ARC strategic plan.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To research the feasibility of plans and programs for concerted economic and community development. Priority will be given to research and technical assistance related to job creation projects. Project activities can include investigations, research, studies, evaluations, and assessments of needs, potentials, or attainments of the people of the region. All developments resulting from such research must be made freely available to the general public. Existing research by other agencies is to be utilized as much as possible. Research projects are subject to the uses and use restrictions described under the Appalachian Regional Development program (23.001). The purpose of these funds are to research or demonstrate the feasibility of plans and programs for concerted economic and community development.

**Applicant Eligibility:**

Qualified candidates with subject matter experience who respond to Commission issued requests for proposals that are advertised on the Appalachian Regional Commission website (www.arc.gov).

**Beneficiary Eligibility:**

States and local public bodies.

**Credentials/Documentation:**

Projects must conform to the Appalachian Regional Commission Strategic Plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The Appalachian Regional Commission reviews and prioritizes research and evaluation projects necessary to further the goals of the agency's strategic plan. The Executive Director approves individual contractors. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Candidates with subject matter expertise can respond to

publicly advertised requests for proposals. Requests for proposals are located on the ARC website: www.arc.gov. The Commission reviews and prioritizes research projects to be completed each year.

**Award Procedure:**

Upon determination that the approved project is eligible within a Commission approved Appalachian Strategic Plan, the Executive Director determines that the project satisfies all Federal requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 60 days after the receipt of the application at the Commission.

**Appeals:**

Not Applicable.

**Renewals:**

Yes, renewals are possible. They are processed in the same manner as the original application.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. No other matching information is available.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Usually 12 months. Assistance is provided as required. See the following for information on how assistance is awarded/released: A schedule for payment is included in the contract proposal. However, ARC retains 10% of funds until the project is completed.

**Reports:**

General reports are required throughout the research period, as required by the terms of the individual contract. A cost estimate of the project is required upon initiation of the research contract. As the contract progresses, researchers are asked to update ARC on their progress. Drafts are sent to ARC for review. Expenditure updates are required for reimbursement. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As required by the Commission, in accordance with the Single Audit Act Amendments of 1996, Public Law 104-156.

**Records:**

As required by the terms of the contract.

**Account Identification:**

46-0200-0-1-452.

**Obligations:**

(Project Grants) FY 11 \$1,045,036; FY 12 est \$1,000,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

Range: \$0.01 - \$249,641

Average: \$3,460.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: - Completed: Analysis of Oral Health Disparities and Access to Dental Services in Appalachia July 2012

- Work is underway on Capital and Credit in Appalachia

- Work is underway on analysis of American Community Survey data. Fiscal Year 2012: Work will continue in these areas:

Review and analysis of American Community Survey from Census Bureau Economic Diversification in distressed areas of Appalachia

Assessment of Appalachian Natural Assets: land and water. Fiscal Year 2013:  
No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The Appalachian Regional Commission Code" (limited distribution);  
"Appalachian Regional Commission Project Guidelines" (limited distribution);  
Research Program Prospectus (limited distribution).

**Regional or Local Office:**

See Regional Agency Offices. Refer to Appendix IV of the Catalog.

**Headquarters Office:**

Jill Wilmoth 1666 Connecticut Ave NW Suite 600, Washington, District of  
Columbia 20009 Email: jwilmoth@arc.gov Phone: 202-884-7713

**Website Address:**

<http://www.arc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current  
Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See APPLICATION AND AWARD PROCESS.

**EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**

**30.001 EMPLOYMENT DISCRIMINATION\_TITLE VII OF THE CIVIL  
RIGHTS ACT OF 1964**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Title VII of the Civil Rights Act of 1964 (Public Law 88-352), as amended, 42  
U.S.C. section 2000e et seq.

**OBJECTIVES:**

Title VII prohibits employment discrimination against applicants or employees  
based on race, color, religion, sex (including pregnancy), and national origin.  
Title VII also prohibits retaliation against applicants or employees who oppose  
employment practices that discriminate based on race, color, religion, sex or  
national origin or for filing a discrimination charge, testifying, or participating in  
any way in an investigation, proceeding, or litigation under Title VII.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Federal Employment;  
INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of race, color,  
religion, sex (including pregnancy) and national origin by employers with 15 or  
more employees, including state and local governments, employment agencies,  
labor organizations and the federal government. The EEOC Assessment  
System, available at <https://egov.eeoc.gov/eas/>, enables individuals to  
determine whether EEOC is the appropriate agency to contact regarding  
discrimination, harassment or retaliation. Charges of discriminatory  
employment practices can be filed at the field offices by or on behalf of an  
individual or group of individuals claiming to be aggrieved. Mediation may be  
offered to the parties involved. If mediation is not used or is not successful,  
further investigation may ensue. If after its investigation the Commission does  
not find reasonable cause, the charging party is issued a right to sue letter. If  
the Commission determines that there is reasonable cause to believe that  
discrimination has occurred, it will attempt to resolve the charge informally  
through conciliation. If conciliation proves to be unsuccessful and the  
employer is not a state or local government, the Commission may bring a civil  
action against respondent(s) named in the charge or issue a right to sue letter to  
the party who filed the charge, giving him or her the right to file a civil action in  
federal court. If conciliation fails on a charge against a state or local  
government, EEOC refers the case to the Department of Justice for  
consideration of litigation or issuance of a right to sue letter. A federal  
government applicant or employee who believes that his or her employment

rights have been violated under this statute and wants to make a claim against a  
federal agency must file a complaint with that agency and follow the procedures  
set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, organization, or agency filing on  
behalf of an aggrieved individual, who has reason to believe that an unlawful  
employment practice within the meaning of Title VII, as amended, has been  
committed by an employer with 15 or more employees, including a state or  
local government, an employment agency, labor organization, or joint  
labor-management committee controlling apprenticeship or other training or  
retraining, including on-the-job training programs. Any aggrieved individual  
who believes he or she has been retaliated against for opposing employment  
practices that discriminate based on race, color, religion, sex (including  
pregnancy) or national origin or who files a charge of discrimination, testifies,  
or participates in any way in an investigation, proceeding, or litigation under  
Title VII.

**Beneficiary Eligibility:**

Applicants, current employees, or former employees of the named  
respondent(s) who have been subjected to employment practices based on race,  
color, religion, sex, or national origin by the named respondent(s), and/or who  
have been subjected to retaliation for opposing discrimination or participating  
in a Title VII investigation, proceeding, or litigation.

**Credentials/Documentation:**

A claim of unlawful employment practice(s) may be made in person, by mail or  
by fax. An allegation must be in writing, signed, and/or notarized when  
necessary to meet state or local requirements. Charge forms (EEOC Form 5,  
Charge of Discrimination) are available to all persons from all field offices of  
the Commission. Individuals may also consult EEOC's website at  
<http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about  
filing a charge. Complaints against the federal government should be filed at  
the relevant agency's EEO office. Each agency is required to post information  
about how to contact the agency's EEO office. Federal government applicants  
or employees should consult EEOC's website at  
[http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm)  
for details about filing an employment discrimination complaint against a federal  
agency. This program is excluded from coverage under OMB Circular No.  
A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact  
information is not required for this program. This program is excluded from  
coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This  
program is excluded from coverage under OMB Circular No. A-110. A charge  
may be filed by any aggrieved individual, any individual on behalf of an  
aggrieved individual, or by any organization, i.e., labor union, association, legal  
representative, etc., either as an aggrieved entity or on behalf of an aggrieved  
individual. Charges may be filed in person, by mail or by fax at the nearest  
field office of the EEOC. Complaints against the federal government should be  
filed at the relevant agency's EEO office. Each agency is required to post  
information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making  
the charge a written signed statement that includes an allegation of  
discrimination, the name(s) of the parties involved, and a request that the EEOC  
act to protect the applicant or employees rights or otherwise settle a dispute  
between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Title VII requires that charges be filed within 180 days of the date of the  
alleged violation, within 300 days if the charge is also covered by a state or  
local anti-discrimination law, or within 30 days after the receipt of notice of  
termination of state or local proceedings, whichever is earlier. If the evidence  
does not establish that discrimination occurred, charging parties will be given

written notice of their right to sue. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. Under Title VII, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. When a right to sue letter is issued at the request of the charging party, EEOC usually stops its investigation. Federal employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 11 \$366,940,113; FY 12 est \$360,000,000; and FY 13 est \$374,000,000 - Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EEOC field legal units filed 261 merits lawsuits including 177 individual suits, 61 multiple-victim suits (with fewer than 20 victims) and 23 systemic suits. Of these new filings, 162 contained Title VII claims, 80 contained Americans with Disability Act claims, 26 contained Age Discrimination in Employment Act claims, and 2 contained Equal Pay Act claims. Legal staff resolved 276 merits lawsuits for a total monetary recovery of \$90.9 million. Of these resolutions, 214 contained Title VII claims, 42 contained Americans with Disabilities Act claims, 26 contained Age Discrimination in Employment Act, and 2 contained EPA claims. In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$54.2 million in Title VII resolutions, \$8.4 million in ADEA resolutions, \$27.1 million in ADA resolutions, and \$1.1 million in resolutions involving more than one statute. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact the EEOCs Publication Center at 1-800-669-3362 (voice) or 1-800-800-9902 (TTY). Regulations include: 29 CFR 1601, Procedural Regulations and Guidelines; 29 CFR 1602, Recordkeeping and Reporting Requirements under Title VII and the ADA; 29 CFR 1604, Guidelines on Discrimination Because of Sex; 29 CFR 1605, Guidelines on Discrimination Because of Religion; 29 CFR 1606, Guidelines on Discrimination Because of National Origin. Enforcement guidances and policy documents include: Unlawful Disparate Treatment of Workers with Caregiving Responsibilities; Vicarious Employer Liability for Unlawful Harassment by Supervisors; Application of EEO Laws to Contingent Workers Placed by Temporary Employment Agencies and Other Staffing Firms; Sex Discrimination in the Compensation of Sports Coaches in Educational Institutions. Compliance Manual: Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation; Section 10:

Compensation Discrimination; Section 12: Religious Discrimination; Section 13: National Origin Discrimination; Section 15: Race and Color Discrimination.

Technical assistance documents, fact sheets, and other relevant material include: Best Practices for Eradicating Religious Discrimination in the Workplace; Commission Decision on Coverage of Contraception; Employer Best Practices for Workers with Caregiving Responsibilities; Employment Tests and Selection Procedures; The Family and Medical Leave Act, the Americans with Disabilities Act, and Title VII of the Civil Rights Act of 1964; Questions and Answers About Employer Responsibilities Concerning the Employment of Muslims, Arabs, South Asians, and Sikhs; Questions and Answers About the Workplace Rights of Muslims, Arabs, South Asians, and Sikhs Under the Equal Employment Opportunity Laws; Fact Sheet: Employment Discrimination Based on Religion, Ethnicity, or Country of Origin; Fact Sheet: National Origin Discrimination; Fact Sheet: Race/Color Discrimination; Fact Sheet: Religious Discrimination; Fact Sheet: Sexual Harassment Discrimination.

**Regional or Local Office:**

See Regional Agency Offices. See map of field offices available at <http://www.eeoc.gov/field/index.cfm>. EEOC offices are also listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4191/202-663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.008 Employment Discrimination\_Age Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination\_Title I of The Americans with Disabilities Act; 30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.005 EMPLOYMENT DISCRIMINATION\_PRIVATE BAR PROGRAM  
FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Civil Rights Act of 1964.

**OBJECTIVES:**

(a) To assist individuals who have filed a charge with the Commission, or on whose behalf a charge has been filed, in contacting members of the private bar; (b) to provide technical assistance to aggrieved individuals and their attorneys in Title VII, Equal Pay Act, Age Discrimination in Employment Act, Genetic Information Nondiscrimination Act and Americans with Disabilities Act cases; (c) to establish the attorney referral mechanism; and (d) to coordinate the strategies of the private bar with those of the Commission.

**TYPES OF ASSISTANCE:**

PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Upon request, provide assistance to individuals in locating lawyers who are prepared to litigate Title VII, Americans with Disabilities Act, Equal Pay Act, Genetic Information Nondiscrimination Act and Age Discrimination in Employment Act issues.

**Applicant Eligibility:**

Any individual who has filed a charge with the Commission, or on whose behalf a charge has been filed.

**Beneficiary Eligibility:**

Any individual who has filed a charge with the Commission, or on whose behalf a charge has been filed.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Requests for assistance may be made in writing or orally to nearest EEOC District Office listed in Appendix IV of the Catalog.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 11 \$366,940,113; FY 12 est \$360,000,000; and FY 13 est \$374,000,000 - (Salaries and expenses) not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EEOC field legal units filed 261 merits lawsuits including 177 individual suits, 61 multiple-victim suits (with fewer than 20 victims) and 23 systemic suits. Of these new filings, 162 contained Title VII claims, 80 contained Americans with Disability Act claims, 26 contained Age Discrimination in Employment Act claims, and 2 contained Equal Pay Act claims. Legal staff resolved 276 merits lawsuits for a total monetary recovery of \$90.9 million. Of these resolutions, 214 contained Title VII claims, 42 contained Americans with Disabilities Act claims, 26 contained Age Discrimination in Employment Act, and 2 contained EPA claims. In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$54.2 million in Title VII resolutions, \$8.4 million in ADEA

resolutions, \$27.1 million in ADA resolutions, and \$1.1 million in resolutions involving more than one statute. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EEOC Compliance Manual, Section 81 - Private Bar Referral Program.

**Regional or Local Office:**

See Regional Agency Offices. EEOC District Offices (see Appendix IV of the Catalog for addresses).

**Headquarters Office:**

Jerome Scanlan 131 M Street, NE, Washington, District of Columbia 20507  
Phone: 202-663-4719

**Website Address:**

<http://www.eeoc.gov>.

**RELATED PROGRAMS:**

30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964;  
30.008 Employment Discrimination Age Discrimination in Employment;  
30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 30.013 Employment Discrimination Title II of the Genetic Information Nondiscrimination Act of 2008

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.008 EMPLOYMENT DISCRIMINATION AGE DISCRIMINATION IN EMPLOYMENT**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Age Discrimination in Employment Act of 1967, (P.L. 90-202), as amended, 29 U.S.C. section 621 et seq.

**OBJECTIVES:**

The Age Discrimination in Employment Act (ADEA) prohibits discrimination based on age (40 or older) with respect to any term, condition, or privilege of employment, including hiring, firing, promotion, layoff, compensation, benefits, job assignments, training and harassment. The ADEA also prohibits retaliation against an individual for opposing employment practices that discriminate based on age or for filing an age discrimination charge, testifying, or participating in any way in an investigation, proceeding, or litigation under the ADEA.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Federal Employment;  
INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals 40 years of age or older are protected from age discrimination by employers with 20 or more employees, all state and local governments, employment agencies, labor organizations and the federal government. It is unlawful for covered employers to post advertisements indicating any preference, limitation, or specification based on age. Limited exceptions apply: in situations in which age is a bona fide occupational qualification reasonably necessary to the normal operation of the business; in situations in which the differentiation is based on reasonable factors other than age; or if an otherwise prohibited practice is in observance of the terms of a bona fide seniority system or employee benefit plan (except that no such seniority system or employee benefit plan shall excuse the failure to hire, or require or permit the involuntary retirement of any covered individual). Exemptions and exceptions also apply for highly compensated employees, public officials, firefighters and law enforcement officers. The EEOC Assessment System, available at <https://egov.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding their specific claims of discrimination, harassment or retaliation. If a charge is filed, mediation may be offered to the parties involved. If mediation is not used or is not successful,

further investigation may ensue. The Commission will attempt to eliminate any alleged unlawful practice by informal methods of conciliation, conference and persuasion. If conciliation fails, the charging party should be notified that he or she can file a civil action. If the Commission's proceedings with regard to a charge are terminated, the Commission will notify the complainant who shall then have the right to bring a civil action. A federal government applicant or employee who believes that his or her employment rights have been violated under this statute and wants to make a claim against a federal agency must file a complaint with that agency and follow the procedures set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individuals age 40 and over, or any individual, organization, or agency filing on behalf of an aggrieved individual who has reason to believe that a covered employer has committed an unlawful employment practice within the meaning of the ADEA, as amended.

**Beneficiary Eligibility:**

Applicants, current employees, or former employees of the named respondent(s) who are age 40 or older and who have been subjected to unlawful employment practices based on age by the named respondent(s), and/or who have been subjected to retaliation for opposing age discrimination or participating in an ADEA investigation, proceeding, or litigation.

**Credentials/Documentation:**

An allegation of unlawful employment practice(s) may be made in person, by mail or by fax. An allegation must be in writing, signed, and notarized when necessary to meet state or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. Individuals may also consult EEOCs website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge. Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office. Federal government applicants or employees should consult EEOCs website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual or by any organization, i.e. labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail or by fax at the nearest field office of the EEOC.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The ADEA requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state anti-discrimination law and a state agency enforcing the law, or within 30 days after the receipt of notice of termination of state proceedings, whichever is earlier. A civil action may be commenced at any time 60 days after a charge

has been filed with the EEOC. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. If the charging party files an ADEA lawsuit, EEOC usually stops its investigation.

Federal employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 11 \$366,940,113; FY 12 est \$360,000,000; and FY 13 est \$374,000,000 - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EEOC field legal units filed 261 merits lawsuits including 177 individual suits, 61 multiple-victim suits (with fewer than 20 victims) and 23 systemic suits. Of these new filings, 162 contained Title VII claims, 80 contained Americans with Disability Act claims, 26 contained Age Discrimination in Employment Act claims, and 2 contained Equal Pay Act claims. Legal staff resolved 276 merits lawsuits for a total monetary recovery of \$90.9 million. Of these resolutions, 214 contained Title VII claims, 42 contained Americans with Disabilities Act claims, 26 contained Age Discrimination in Employment Act, and 2 contained EPA claims. In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$54.2 million in Title VII resolutions, \$8.4 million in ADEA resolutions, \$27.1 million in ADA resolutions, and \$1.1 million in resolutions involving more than one statute. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available for downloading on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Office of Communications and Legislative Affairs at (202) 663-4191 or (202) 663-4494 (TTY). Regulations: 29 C.F.R 1625, Age Discrimination in Employment Act; 29 C.F.R 1626, Procedures Age Discrimination in Employment Act; 29 C.F.R 1627, Records to be made or kept relating to age: notices to be posted: administrative exemptions. Policy documents and fact sheets include: Compliance Manual Section 2: Threshold Issues; Compliance Manual Section 3: Employee Benefits; Compliance Manual Section 8: Retaliation; Compliance Manual Section 10: Compensation Discrimination; Fact Sheet: Age Discrimination.

**Regional or Local Office:**

See Regional Agency Offices. See map of field offices available at <http://www.eeoc.gov/field/index.cfm>. EEOC Offices are also listed in

Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4191/202-663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 30.013 Employment Discrimination Title II of the Genetic Information Nondiscrimination Act of 2008; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.010 EMPLOYMENT DISCRIMINATION EQUAL PAY ACT**

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Equal Pay Act of 1963, (P.L. 88-38), as amended, 29 U.S.C. section 206(d).

**OBJECTIVES:**

The Equal Pay Act (EPA) prohibits sex discrimination in the payment of wages to men and women performing jobs that require substantially equal skill, effort and responsibility, under similar working conditions within the same establishment. The EPA also prohibits retaliation against applicants or employees who oppose compensation practices that discriminate based on sex or who file a discrimination charge, testify, or participate in any way in an investigation, proceeding, or litigation under the EPA.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Federal Employment; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Employers engaged in commerce or in the production of goods for commerce (i.e. subject to The Fair Labor Standards Act of 1938, as amended, 29 U.S.C. 201, et seq.), including the federal government, and state and local governments, are prohibited from paying unequal wages to men and women performing jobs that require substantially equal skill, effort and responsibility under similar working conditions within the same establishment. Labor organizations representing employees of a covered employer are prohibited from causing or attempting to cause employers to violate the Act. Exceptions are permitted only where payment is made pursuant to a seniority system, a merit system, a system that measures earnings by quantity or quality of production, or a differential based on any other factor other than sex. The EEOC Assessment System, available at <https://egov.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding their specific claim of wage discrimination or retaliation. The Commission may investigate allegations of violations of the Act and may initiate and conduct litigation. A federal government applicant or employee who believes that his or her employment rights have been violated under this statute and wants to make a claim against a federal agency must file a complaint with that agency and follow the procedures set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, organization, or agency filing on behalf of an aggrieved individual, who has reason to believe that a covered employer has committed an unlawful employment practice within the meaning of the EPA. An employee who believes he or she has been retaliated against for

opposing compensation practices that discriminate based on sex or who files a discrimination charge, testifies, or participates in any way in an investigation, proceeding, or litigation under the EPA.

**Beneficiary Eligibility:**

Applicants, current employees, or former employees of the named respondent (s) who have been subjected to unlawful compensation practices based on gender by the named respondent (s), and/or who have been subjected to retaliation for opposing gender-based compensation discrimination or participating in an EPA investigation, proceeding, or litigation.

**Credentials/Documentation:**

The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit (see Deadlines 095). An allegation of unlawful employment practice(s) may be made in person, by mail or by fax. An allegation must be in writing, signed, and/or notarized when necessary to meet state or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. Individuals may also consult EEOCs website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge. Complaints against the Federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office. Federal government applicants or employees should consult EEOCs website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit (see range of approval/disapproval times). A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail or by fax at the nearest EEOC field office. Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The EPA does not require aggrieved parties to file a charge of discrimination with EEOC before filing a private lawsuit. The time limit for filing an EPA charge with the EEOC and the time limit for going to court are the same: within two years of the alleged unlawful compensation practice or in the case of a willful violation, within three years. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file a charge of discrimination under both laws within the appropriate time limit. (Title VII requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local

anti-discrimination law, or within 30 days after the receipt of notice of termination of state or local proceedings, whichever is earlier.) A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. Under Title VII, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. When a right to sue letter is issued at the request of the charging party, EEOC usually stops its investigation. Federal employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 11 \$366,940,113; FY 12 est \$360,000,000; and FY 13 est \$374,000,000 - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EEOC field legal units filed 261 merits lawsuits including 177 individual suits, 61 multiple-victim suits (with fewer than 20 victims) and 23 systemic suits. Of these new filings, 162 contained Title VII claims, 80 contained Americans with Disability Act claims, 26 contained Age Discrimination in Employment Act claims, and 2 contained Equal Pay Act claims. Legal staff resolved 276 merits lawsuits for a total monetary recovery of \$90.9 million. Of these resolutions, 214 contained Title VII claims, 42 contained Americans with Disabilities Act claims, 26 contained Age Discrimination in Employment Act, and 2 contained EPA claims. In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$54.2 million in Title VII resolutions, \$8.4 million in ADEA resolutions, \$27.1 million in ADA resolutions, and \$1.1 million in resolutions involving more than one statute. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Publication Center at 1-800-669-3362(voice) or 1800-800-3302 (TTY). Regulations include: 29 CFR 1620, Equal Pay Act Interpretive Regulations; 29 CFR 1621, Equal Pay Act Procedural Regulations; 29 CFR 1604, Guidelines on Discrimination Because of Sex. Compliance Manual: Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation; Section 10: Compensation Discrimination. EEOC-ESA Memorandum of Understanding Providing for Cross-Training, Referrals and Information Sharing on Compensation Discrimination Cases.

**Regional or Local Office:**

See Regional Agency Offices. See map of field offices available at

<http://www.eeoc.gov/field/index.cfm>. EEOC Offices are listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NW, Washington, District of Columbia 20507 Phone: 202-663-4191/663-4494 (TTY)

**Website Address:**

<http://www.eeoc.gov>

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.008 Employment Discrimination Age Discrimination in Employment; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 30.013 Employment Discrimination Title II of the Genetic Information Nondiscrimination Act of 2008; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.011 EMPLOYMENT DISCRIMINATION TITLE I OF THE AMERICANS WITH DISABILITIES ACT  
FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

Americans with Disabilities Act, Title I & V, as amended Public Law 101-336, Public Law 110-325 42, U.S.C. 12101-12117; 12201-12213; Section 501 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 791-794a.

**OBJECTIVES:**

The Americans with Disabilities Act (ADA) prohibits employment discrimination against applicants or employees based on disability. The ADA also prohibits retaliation against an individual for opposing employment practices that discriminate based on disability or for filing a discrimination charge, testifying, or participating in any way in an investigation, proceeding, or litigation under the ADA. The Rehabilitation Act provides federal employees with the same protections.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; Federal Employment; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of disability by employers with 15 or more employees, including state and local governments, employment agencies, and labor organizations. Federal employees and applicants are covered under section 501 of the Rehabilitation Act of 1973, which applies the same standards as the ADA. The EEOC Assessment System, available at <https://egov.eeoc.gov/eas/>, enables individuals to determine whether EEOC is the appropriate agency to contact regarding their specific claims of discrimination, harassment or retaliation. Charges of discriminatory employment practices can be filed by or on behalf of an individual or group of individuals claiming to be aggrieved. Mediation may be offered to the parties involved. If mediation is not used or is not successful, further investigation may ensue. If after its investigation, the Commission does not find reasonable cause, the charging party is issued a right to sue letter. If the Commission determines that there is reasonable cause to believe that discrimination has occurred, it will attempt to resolve the charge informally through conciliation. If conciliation proves to be unsuccessful and the employer is not a state or local government, the Commission may bring a civil action against respondent(s) named in the charge or issue a right to sue letter to the party who filed the charge, giving him or her the right to file a civil action in federal court. If conciliation fails on a charge against a state or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance

of a right to sue letter.

A federal employment applicant or employee who believes that his or her employment rights have been violated under Section 501 of the Rehabilitation Act must file a complaint with that agency and follow the procedures set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, or any organization, or agency filing on behalf of an aggrieved individual, who has reason to believe that an unlawful employment practice within the meaning of Title I of the ADA has been committed by an employer with 15 or more employees, including state or local governments, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining, including on-the-job training programs. Any aggrieved individual who believes he or she has been retaliated against for opposing employment practices that discriminate based on disability or who files an ADA charge, testifies, or participates in any way in an investigation, proceeding, or litigation under the ADA. Federal employees are protected from disability discrimination under section 501 of the Rehabilitation Act.

**Beneficiary Eligibility:**

Applicants, for employment, current employees, and former employees of the named respondent(s) in a charge who have been subjected to unlawful employment practices based on disability by the named respondent (s), and/or who have been subjected to retaliation for opposing disability discrimination or participation in an ADA or Rehabilitation Act investigation, proceeding, or litigation.

**Credentials/Documentation:**

A claim of unlawful employment practice(s) may be made in person, by mail or by fax. An allegation must be in writing, signed, and/or notarized when necessary to meet State or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from all field offices of the Commission. Individuals may also consult EEOCs website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge. Complaints against the Federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

Federal government applicants or employees should consult EEOCs website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail or by fax at the nearest field office of the EEOC.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

The ADA requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days after the receipt of notice of termination of state or local proceedings, whichever is earlier. If the evidence does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. Persons can also ask for a notice of right to sue before EEOC finishes its investigation. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from EEOC, as stated above. Under the ADA, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. When a right to sue letter is issued at the request of the charging party, EEOC usually stops its investigation.

Federal employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 11 \$366,940,113; FY 12 est \$360,000,000; and FY 13 est \$374,000,000 - (Salaries and expenses) Not separately identifiable.

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EEOC field legal units filed 261 merits lawsuits including 177 individual suits, 61 multiple-victim suits (with fewer than 20 victims) and 23 systemic suits. Of these new filings, 162 contained Title VII claims, 80 contained Americans with Disability Act claims, 26 contained Age Discrimination in Employment Act claims, and 2 contained Equal Pay Act claims. Legal staff resolved 276 merits lawsuits for a total monetary recovery of \$90.9 million. Of these resolutions, 214 contained Title VII claims, 42 contained Americans with Disabilities Act claims, 26 contained Age Discrimination in Employment Act, and 2 contained EPA claims. In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$54.2 million in Title VII resolutions, \$8.4 million in ADEA resolutions, \$27.1 million in ADA resolutions, and \$1.1 million in resolutions involving more than one statute. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC web site ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Publication Center at 1-800-669-3362 or 1-800-800-3302 (TTY). Regulations include: 29 CFR 1601, Procedural Regulations and Guidelines; 29 CFR 1602,



Recordkeeping and Reporting Requirements under Title VII and the ADA; 29 CFR 1630, Substantive Regulations; 29 CFR 1640, Coordination Regulations with the Department of Justice; 29 CFR 1641, Coordination Regulations with the Department of Labor. Enforcement guidances and policy documents include: Unlawful Disparate Treatment of Workers with Caregiving Responsibilities; Revised Enforcement Guidance: Reasonable Accommodation and Undue Hardship Under the Americans With Disabilities Act; Enforcement Guidance: Application of the ADA To Contingent Workers Placed By Temporary Agencies And Other Staffing Firms; EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation; Enforcement Guidance on Disability-Related Inquiries and Medical Examinations of Employees Under the Americans with Disabilities Act (ADA); EEOC Policy Guidance on Executive Order 13145: To Prohibit Discrimination in Federal Employment Based on Genetic Information; EEOC Enforcement Guidance on the Americans with Disabilities Act and Psychiatric Disabilities; EEOC Enforcement Guidance: Workers Compensation and the ADA; ADA Enforcement Guidance: Pre-employment Disability-Related Questions and Medical Examinations; Interim Enforcement Guidance on the Application of the Americans with Disabilities Act of 1990 to Disability-based Distinctions in Employer Provided Health Insurance; Enforcement Guidance on Application of Title VII and the Americans with Disabilities Act to Conduct Overseas and to Foreign Employers Discriminating in the United States. Compliance Manual: Section 902: Definition of the Term Disability; Section 2: Threshold Issues; Section 3: Employee Benefits; Section 8: Retaliation. Technical assistance documents, reports and fact sheets include: Questions and Answers: Promoting Employment of Individuals with Disabilities in the Federal Workforce; Applying Performance and Conduct Standards To Employees With Disabilities; Veterans with Service-Connected Disabilities in the Workplace and the ADA-A Guide for Employers; Reasonable Accommodations for Attorneys with Disabilities; The Family and Medical Leave Act, the ADA, and Title VII of the Civil Rights Act of 1964; The ADA: A Primer for Small Business; The ADA: Your Responsibilities as an Employer; The ADA: Your Employment Rights as an Individual With a Disability; Job Applicants and the ADA; Small Employers and Reasonable Accommodation; Work At Home/Telework as a Reasonable Accommodation; Obtaining and Using Employee Medical Information as Part of Emergency Evacuation Procedures; How to Comply with the Americans with Disabilities Act: A Guide for Restaurants and Other Food Service Employers; Final Report on Best Practices For the Employment of People with Disabilities In State Government; Questions and Answers about Health Care Workers and the Americans with Disabilities Act; Questions and Answers about Deafness and Hearing Impairments in the Workplace and the Americans with Disabilities Act; Questions and Answers about Blindness and Vision Impairments in the Workplace and the ADA; Questions and Answers about the Association Provision of the Americans with Disabilities Act; Questions and Answers About Diabetes in the Workplace and the Americans with Disabilities Act; Questions and Answers About Epilepsy in the Workplace and the Americans with Disabilities Act; Questions and Answers About Persons with Intellectual Disabilities in the Workplace and the Americans with Disabilities Act; Questions and Answers About Cancer in the Workplace and the Americans with Disabilities Act.

**Regional or Local Office:**

See Regional Agency Offices. See map of field offices available at <http://www.eeoc/field/index.cfm>. EEOC Offices are also listed in Appendix IV of the Catalog.

**Headquarters Office:**

Equal Employment Opportunity Commission 131 M Street, NE, Washington, District of Columbia 20507 Phone: 202-663-4191/202-663-4494(TTY)

**Website Address:**

<http://www.eeoc.gov>

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 16.200 Community Relations Service; 17.301 Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors; 17.303 Wage and Hour Standards; 17.700 Women's Bureau; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination\_Title VII of the Civil Rights Act of 1964; 30.008 Employment Discrimination\_Age

Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 30.013 Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**30.013 EMPLOYMENT DISCRIMINATION-TITLE II OF THE GENETIC INFORMATION NONDISCRIMINATION ACT OF 2008**

GINA Title II

**FEDERAL AGENCY:**

Equal Employment Opportunity Commission

**AUTHORIZATION:**

The Genetic Information Nondiscrimination Act of 2008, Title II, Public Law 110-233, 42 U.S.C 2000ff.

**OBJECTIVES:**

Title II of GINA prohibits the use of genetic information in making employment decisions, restricts employers and other entities covered by Title II (employment agencies, labor organizations and joint labor-management training and apprenticeship programs) from requesting, requiring or purchasing genetic information, and strictly limits the disclosure of genetic information. Title II of GINA also prohibits retaliation against applicants or employees for filing a charge of discrimination, participating in a discrimination proceeding (such as a discrimination investigation or lawsuit), or otherwise opposing discrimination. Genetic information includes information about an individuals genetic tests and the genetic tests of an individuals family members, as well as information about the manifestation of a disease or disorder in an individuals family members (i.e. family medical history). Genetic information also includes an individual's request for, or receipt of, genetic services, or the participation in clinical research that includes genetic services by the individual or a family member of the individual, and the genetic information of a fetus carried by an individual or by a pregnant woman who is a family member of the individual and the genetic information of any embryo legally held by the individual or family member using an assisted reproductive technology.

**TYPES OF ASSISTANCE:**

Advisory Services and Counseling; Federal Employment; Investigation of Complaints

**USES AND USE RESTRICTIONS:**

Individuals are protected from discrimination on the basis of genetic information by employers with 15 or more employees, federal agencies, employment agencies, labor organizations, and joint labor-management training and apprenticeship programs. The EEOC has an assessment tool, available at <https://egov.eeoc.gov/eas/>, to enable individuals to determine whether EEOC is the appropriate agency to contact regarding discrimination, harassment, or retaliation at the hands of a private sector employer or state or local government. Charges of discriminatory employment practices by a private sector employer or a state or local government can be filed by or on behalf of an individual or group of individuals claiming to be aggrieved. Mediation may be offered to the parties involved. If mediation is not used or is not successful, an investigation may ensue. If, after its investigation, the Commission determines that there is reasonable cause to believe that discrimination has occurred, it will attempt to resolve the charge informally through conciliation. If conciliation proves to be unsuccessful and the employer is not a state or local government, the Commission may bring a civil action against the respondent(s) named in the charge or issue a right to sue letter to the party who filed the charge, giving him or her the right to file a civil action in federal court. If conciliation fails on a charge against a state or local government, EEOC refers the case to the Department of Justice for consideration of litigation or issuance of a right to sue letter. If the Commission does not find reasonable cause, the charging party is issued a right to sue letter.

A federal government applicant or employee who believes that his or her employment rights have been violated on the basis of genetic information and

wants to make a claim against a federal agency must file a complaint with that agency and follow the procedures set forth at 29 C.F.R. part 1614.

**Applicant Eligibility:**

Any aggrieved individual, or any individual, labor union, association, legal representative, or organization filing on behalf of an aggrieved individual, who has reason to believe that an unlawful employment practice within the meaning of Title II of GINA has been committed by an employer, federal agency, an employment agency, labor organization, or joint labor-management committee controlling apprenticeship or other training or retraining, or on-the-job training programs.

Any aggrieved individual who believes that he or she has been retaliated against for opposing employment practices that discriminate on the basis of genetic information or who files a charge of discrimination, testifies, or participates in any way in an investigation, proceeding, or litigation under Title II of GINA.

**Beneficiary Eligibility:**

Applicants, current employees, or former employees of the named respondent(s) who have been subjected to employment practices based on genetic information by the named respondent(s), and/or who have been subjected to retaliation for opposing discrimination or participating in a Title II of GINA investigation, proceeding, or litigation.

**Credentials/Documentation:**

A claim of unlawful employment practice(s) may be made in person, by mail, or by fax. An allegation must be in writing, signed, and or notarized when necessary to meet state or local requirements. Charge forms (EEOC Form 5, Charge of Discrimination) are available to all persons from field offices of the Commission. Individuals may also consult EEOCs website at <http://www.eeoc.gov/employees/howtofile.cfm> for detailed information about filing a charge.

Federal government applicants or employees should consult EEOCs website at [http://www.eeoc.gov/federal/fed\\_employees/complaint\\_overview.cfm](http://www.eeoc.gov/federal/fed_employees/complaint_overview.cfm) for details about filing an employment discrimination complaint against a federal agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A charge may be filed by any aggrieved individual, any individual on behalf of an aggrieved individual, or by any organization, i.e., labor union, association, legal representative, etc., either as an aggrieved entity or on behalf of an aggrieved individual. Charges may be filed in person, by mail, or by fax at the nearest field office of the EEOC.

Complaints against the federal government should be filed at the relevant agency's EEO office. Each agency is required to post information about how to contact the agency's EEO office.

**Award Procedure:**

A charge is sufficient when the Commission receives from the person making the charge a written signed statement that includes an allegation of discrimination, the name(s) of the parties involved, and a request that the EEOC act to protect the applicant or employees rights or otherwise settle a dispute between the applicant or employee and the employer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Title II of GINA requires that charges be filed within 180 days of the date of the alleged violation, within 300 days if the charge is also covered by a state or local anti-discrimination law, or within 30 days of receipt of notice of termination of state or local proceedings, whichever is earlier. If the evidence

does not establish that discrimination occurred, charging parties will be given written notice of their right to sue. A charging party may file a lawsuit within 90 days after receiving a notice of a right to sue from the EEOC. Under Title II of GINA, a charging party also can request a notice of right to sue from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. When a right to sue letter is issued at the request of the charging party, EEOC usually stops its investigation.

Federal job applicants or employees must generally contact the agency's EEO Counselor within 45 days from the date the discrimination occurred.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

45-0100-0-1-751.

**Obligations:**

(Salaries) FY 11 \$366,940,113; FY 12 est \$360,000,000; and FY 13 est \$374,000,000

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EEOC field legal units filed 261 merits lawsuits including 177 individual suits, 61 multiple-victim suits (with fewer than 20 victims) and 23 systemic suits. Of these new filings, 162 contained Title VII claims, 80 contained Americans with Disability Act claims, 26 contained Age Discrimination in Employment Act claims, and 2 contained Equal Pay Act claims. Legal staff resolved 276 merits lawsuits for a total monetary recovery of \$90.9 million. Of these resolutions, 214 contained Title VII claims, 42 contained Americans with Disabilities Act claims, 26 contained Age Discrimination in Employment Act, and 2 contained EPA claims. In terms of dollars recovered in direct, indirect and intervention lawsuits by statute, EEOC recovered \$54.2 million in Title VII resolutions, \$8.4 million in ADEA resolutions, \$27.1 million in ADA resolutions, and \$1.1 million in resolutions involving more than one statute. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Publications are available on the EEOC website ([www.eeoc.gov](http://www.eeoc.gov)). To request documents in alternative formats (Braille, large print, etc), contact EEOCs Publication Center at 1-800-669-3362 (voice) or 1-800-800-3302 (TTY). Regulations include 29 CFR 1635: Regulations under the Genetic Information Nondiscrimination Act of 2008 and 29 CFR 1614: Federal Sector Equal Employment Opportunity. There are no enforcement guidances or policy documents discussing Title II of GINA. Technical assistance documents include: Background Information for EEOC Final Rule on Title II of the Genetic Information Nondiscrimination Act of 2008 and Questions and Answers for Small Businesses: Title II of the Genetic Information Nondiscrimination Act of 2008, both available at <http://www.eeoc.gov/laws/types/genetic.cfm>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Office of Communication and Legislative Affairs 131 M Street, N.E.,  
Washington, District of Columbia 20507 Phone:  
202-663-4191/202-663-4494TTY

**Website Address:**

<http://www.eeoc.gov/laws/types/genetic.cfm>

**RELATED PROGRAMS:**

16.101 Equal Employment Opportunity; 29.001 Clearinghouse Services, Civil Rights Discrimination Complaints; 30.001 Employment Discrimination Title VII of the Civil Rights Act of 1964; 30.005 Employment Discrimination Private Bar Program; 30.008 Employment Discrimination Age Discrimination in Employment; 30.010 Employment Discrimination Equal Pay Act; 30.011 Employment Discrimination Title I of The Americans with Disabilities Act; 93.001 Civil Rights and Privacy Rule Compliance Activities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## FEDERAL MARITIME COMMISSION

**33.001 SHIPPING DISPUTE RESOLUTION AND INVESTIGATION OF COMPLAINTS****FEDERAL AGENCY:**

Federal Maritime Commission

**AUTHORIZATION:**

Shipping Act of 1984, as amended, 46 U.S.C 40101; Administrative Dispute Resolution Act of 1996, 5 U.S.C 571.

**OBJECTIVES:**

To provide assistance to those engaged in international ocean shipping, including those making household goods shipments. Assistance may include helping locate missing cargo and helping resolve issues with respect to costs or service. To provide a forum for settling commercial and legal disputes between or among carriers, shippers, and ocean transportation intermediaries through the use of various means of alternative dispute resolution. To provide information to passengers seeking reimbursement of payments when dealing with cruise line issues.

**TYPES OF ASSISTANCE:**

Resolution of Disputes

**USES AND USE RESTRICTIONS:**

The Commission assists disputing parties with achieving voluntary settlements. The Commission also may award reparations for financial injury resulting from violations of the Shipping Act of 1984.

**Applicant Eligibility:**

Any person may seek voluntary dispute resolution, and also may pursue reparations to compensate for financial losses upon proving a violation of the Shipping Act of 1984.

**Beneficiary Eligibility:**

Anyone/General public.

**Credentials/Documentation:**

A complaint alleging specific violations of the Shipping Act of 1984 or Commission regulations should be supported by facts sustaining such allegations. For household goods shipments and other cargo issues, submit bills of lading and other contractual documents. For canceled cruises, passengers need to document payments and provide identifying passenger and/or voyage information. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Informal complaints or requests for the mediation or other alternative dispute resolution (ADR) procedures may be submitted to the Commission in an e-mail to [complaints@fmc.gov](mailto:complaints@fmc.gov). To the extent available, all complaints other than cruise complaints should include the following information: Bill of lading/dock receipts/arrival notices/invoices; Description of cargo; Origin; Port of origin (may be the same as origin); Destination; Port of destination (may be the same as destination); Date of shipment or sailing; Name of individual(s) filing complaint (if you are representing a complainant, what is your name and your relationship to the complainant); Company name of complainant(s); Contact information for complainant(s) (and/or representative(s)) include telephone, fax, address including zip code, and email; Name of shipping company or party against whom the complaint is being filed; Contact information for that company or party, (including name(s) of responsible individuals, telephone and fax numbers, address including zip code and email); Description of issue and desired solution. Include as much information as you believe we will need when we contact the other party(s) to the complaint. Explain what you would like to see accomplished - getting cargo released, negotiating a monetary solution, etc. Cruise complaints should include the following information: Ticket/passenger invoice; Date of sailing; Length and nature of cruise; Port of origin; Port of destination; Did you purchase transportation from your home to the port of origin from the cruise line? Did you purchase transportation from the port of destination to your home from the cruise line? Questions regarding these matters may be directed to the Office of Consumer Affairs and Dispute Resolution Services at (202) 523-5807; 1-866-448-9586 (toll free); fax: (202) 275-0059; email: [Complaints@fmc.gov](mailto:Complaints@fmc.gov). A formal complaint, as well as a complaint requesting informal (small claims) adjudication may be submitted pursuant to Section 11 of the Shipping Act of 1984 to the Secretary, Federal Maritime Commission. (See the Commission's Rules of Practice and Procedure at 46 CFR Part 502). Questions regarding those procedures may be directed to the Office of the Secretary, at (202) 523-5725; fax: (202) 523-0014; or email: [Secretary@fmc.gov](mailto:Secretary@fmc.gov). The Federal Maritime Commission is located at: 800 North Capitol Street, N.W., Washington, DC 20573. Visit our website at [www.fmc.gov](http://www.fmc.gov).

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

65-0100-0-1-403.

**Obligations:**

(Salaries) FY 11 \$1,693,000; FY 12 est \$1,789,000; and FY 13 est \$1,953,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

46 CFR 502.401 et. seq.; brochure available from Headquarters Office.

**Regional or Local Office:**

See Regional Agency Offices. Federal Maritime Commission Area Representatives: South Florida: Andrew Margolis and Eric Mintz, P. O. Box 813609, Hollywood, FL 33081-3609. Telephone: (954) 963-5362. Fax: (954) 963-5630. E-mail: AMargolis@fmc.gov, EMintz@fmc.gov. Seattle: Michael A. Moneck, The Fabulich Center, Suite 508, 3600 Port of Tacoma Road, Tacoma, WA 98424-1044. Telephone: (253) 922-7622. Fax: (253) 922-7859. E-mail: MMoneck@fmc.gov. New Orleans: Bruce N. Johnson, Sr., P.O. Box 700, Saint Rose, LA 70087-0700. Telephone: (504) 589-6662. Fax: (504) 589-6663. E-mail: BJohnson@fmc.gov. Los Angeles: Oliver E. Clark and Nash D. Asandas, P.O. Box 230, San Pedro, CA 90733-0230. Telephone: (310) 514-4905. Fax: (310) 514-3931. E-mail: OClark@fmc.gov, NAsandas@fmc.gov. New York: Joseph A. Castellano, Bldg. No. 75, Room 205-B, JFK International Airport, Jamaica, NY 11430-1827. Telephone: (718) 553-2223, Fax: (718) 553-2229. E-mail: JCastellano@fmc.gov. Houston: Debra A. Zezima, 650 N. Sam Houston Parkway, #230, Houston, TX 77060-5908. Telephone: (281) 591-6088. Fax: (281) 591-6099. E-mail: DZezima@fmc.gov.

**Headquarters Office:**

Jennifer M. Gartlan 800 North Capitol Street, N.W., Washington, District of Columbia 20573 Email: complaints@fmc.gov Phone: 202-523-5807 Fax: 202-275-0059

**Website Address:**

<http://www.fmc.gov>

**RELATED PROGRAMS:**

20.900 Transportation\_Consumer Affairs; 36.001 Fair Competition Counseling and Investigation of Complaints

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## GENERAL SERVICES ADMINISTRATION

**39.002 DISPOSAL OF FEDERAL SURPLUS REAL PROPERTY****FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Executive Order Public Buildings, Property and Works, Public Law 102-517.

**OBJECTIVES:**

To assist State and local governments, and certain eligible (501(c)(3) tax-exempt status) non-profit organizations with acquiring surplus Federal real property for various public uses that benefit communities.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

Based on a determination by GSA of a property's highest and best use, surplus Federal real and related personal property may be conveyed to State and local governments and, in some cases, certain eligible non-profit organizations for various public purposes or uses as allowed by law. These conveyances are called Public Benefit Conveyances (PBC). Under the law, PBCs are completed without monetary consideration or at discounts of up to 100 percent of the fair market value; and, depending on the PBC, the use of the property is restricted for a period of up to 30 years or in perpetuity. Property may be conveyed at a

discount of up to 100 percent for Homeless assistance use; if the property is conveyed by deed, it must be used for homeless assistance purposes for 30 years; if it is conveyed by lease or permit the property must be used for a period according to the terms of the lease or permit, which is generally not less than one year. Surplus Federal real property is also conveyed at discounts of up to 100 percent for public park or recreation use (restriction: perpetuity); public health or educational purposes (restriction: 30 years for both); historic monument (restriction:perpetuity); correctional (restriction: perpetuity); law enforcement (restriction: perpetuity); emergency management response use, including fire and rescue services (restriction: perpetuity); self-help housing (restriction: 30 years); port facility use (restriction: perpetuity), wildlife conservation (restriction: perpetuity); public airport (restriction: perpetuity) and public highway use (restriction: none); public airport use (restriction: perpetuity); wildlife conservation (restriction: perpetuity); correctional facility use (restriction: perpetuity), and historic monument use (restriction: perpetuity).

**Applicant Eligibility:**

State and local government agencies are eligible to apply for surplus real property for park, recreation, correctional facility, law enforcement, historic monument, public airport, health, educational, homeless, self help housing, emergency management and port facilities. Eligibility for property for wildlife conservation use, other than for migratory birds, is limited to the States. Tax-supported and nonprofit medical and educational institutions which have been held exempt from taxation under 501(c)(3) of the Internal Revenue Code are also eligible to apply for property for health, educational and homeless use.

**Beneficiary Eligibility:**

General public may apply.

**Credentials/Documentation:**

The applicant must submit an application describing the proposed program of use for the property and evidence of its ability to finance the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for health and homeless assistance use are submitted to the Department of Health and Human Services (HHS) which requests assignment of the property from GSA; applications for educational use are submitted to the Department of Education which requests assignment of the property from GSA; applications for both park and recreation and historic monument uses are submitted to the National Park Service, Department of the Interior. The National Park Service requests assignment of the property from GSA for park and recreation use; applications for correctional and law enforcement uses are submitted to the Office of Justice Programs, Bureau of Justice Assistance, Department of Justice; applications for emergency management response uses are submitted to the Federal Emergency Management Agency, Department of Homeland Security; applications for self-help housing are submitted to the Department of Housing and Urban Development; applications for port facilities are submitted to the Maritime Administration, Department of Transportation; applications for highway use are submitted to the Federal Highway Administration, Department of Transportation; for public airport use and wildlife conservation use, GSA supplies the applications, which are then submitted to the Federal Aviation Administration, Department of Transportation and the Fish and Wildlife Service, Department of the Interior, respectively.

**Award Procedure:**

Typically, the sponsoring agency responsible for reviewing and approving the application makes the award; however, for wildlife conservation and public airport uses, GSA makes the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 1 to 2 months.

**Appeals:**

From 1 to 15 days.

**Renewals:**

From 60 to 90 days.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

47-0110-0-1-804.

**Obligations:**

(Salaries) FY 11 \$3,455,060; FY 12 est \$4,013,658; and FY 13 est \$3,867,334

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Public benefit conveyance - 16 properties having an actual value of \$50.1 million. Fiscal Year 2012: Public benefit conveyance- 35 properties having an estimated value of \$12.2 million. Fiscal Year 2013: Public benefit conveyance- 35 properties having an estimated value of \$12.2 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Director, Office of Property Disposal, General Services Administration. Applicant's initial contact should be at the regional level. See the Office of Property Disposal for each Region listed in Appendix IV of the Catalog.

**Headquarters Office:**

David Stinson, 1800 F Street NW, Washington, District of Columbia 20405  
Email: david.stinson@gsa.gov Phone: (202) 208-0324.

**Website Address:**

<http://propertydisposal.gsa.gov/property>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**39.003 DONATION OF FEDERAL SURPLUS PERSONAL PROPERTY**

(Donation Program)

**FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Older Americans Act of 1965, 40 U.S.C. 549; Section 213, as amended, Section 502, Public Law 100-77; E.O. 12999, April 17, 1996, Public Law 105-50.

**OBJECTIVES:**

To donate Federal personal property no longer required for Federal use to public agencies and qualifying nonprofit entities in order to maximize the use of Federal property and reduce the cost of State and local government.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

Surplus items are used by State and local public agencies for carrying out or promoting one or more public purposes, such as conservation, parks and recreation, education, public health, public safety, economic development and programs for older individuals; by certain nonprofit, tax-exempt activities for public health or educational purposes, including research for such purposes, and for use in programs for older individuals; or by public airports for airport development, operation or maintenance. Federal restrictions require that, at a minimum, all surplus property be placed into use by the donee within 1 year of acquisition and be used at least for 1 year thereafter. Other restrictions, terms and conditions are imposed by GSA and the agencies determining eligibility (shown under Applicant Eligibility, section below) for items with original acquisition value above \$5,000 and for certain commodities, such as vehicles and aircraft. There are restrictions on use during the period of conditional title. Recipients only acquire full, unrestricted title after an established period of time, 12 months, 18 months, 60 months, or in perpetuity, depending on the individual property.

**Applicant Eligibility:**

(a) State participation is contingent upon the acceptance by the General Services Administration (GSA) of a State plan of operation as being in conformance with Public Law 107-217. This State plan must establish a State agency which is responsible for the distribution of Federal surplus personal property to eligible recipients within the State on a fair and equitable basis. Eligible donee categories for the distribution of property through the State Agencies for Surplus Property are defined as: (1) Public agencies which include any (i) State or department, agency, or instrumentality thereof; (ii) political subdivision of the State, including any unit of local government or economic development district, or any department, agency or instrumentality thereof; (iii) instrumentality created by compact or other agreement between State or political subdivisions; (iv) multijurisdictional sub-State district established by or pursuant to State law; and (v) Indian tribe, band, group, pueblo, or community located on a State reservation. Eligibility for public agencies is determined by the State Agency for Surplus Property. (2) Nonprofit, tax-exempt activities such as schools, colleges, universities, public libraries, schools for the mentally challenged or physically challenged, educational radio or TV stations, child care centers, museums, medical institutions, hospitals, clinics, health centers, drug abuse treatment centers, providers of assistance to the homeless, providers of assistance to the impoverished and programs for older individuals. (b) Service educational activities as determined by the Deputy Under Secretary of Defense (L/SCI). (c) Public airports. Eligibility is determined by the Federal Aviation Administration.

**Beneficiary Eligibility:**

State and local public agencies; nonprofit educational or public health institutions or organizations, including providers of assistance to the homeless; nonprofit and public programs for the elderly; educational activities of special interest to the armed services; and public airports.

**Credentials/Documentation:**

Contact appropriate State or Federal agency shown under Applicant Eligibility section of this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For information on how to participate in the Federal Surplus Personal Property Donation Program, contact the State Agency for Surplus Property (SASP) in your state. Contact information for each SASP can be found at: [www.gsa.gov/sasp](http://www.gsa.gov/sasp). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact appropriate agency shown under Preapplication Coordination section of this program.

**Award Procedure:**

Upon determination of eligibility, applicant maintains contact with the appropriate agency shown under Preapplication Coordination section of this program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Applicants participating through State agencies for surplus property may appeal a determination of ineligibility through the State agency for review by GSA.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Prescribed by agencies shown under Applicant Eligibility section of this program.

**Records:**

Prescribed by agencies shown under Applicant Eligibility section of this program.

**Account Identification:**

47-0110-0-1-804.

**Obligations:**

(Salaries) FY 11 \$13,000,000; FY 12 est \$12,700,000; and FY 13 Estimate Not Available(Exp: Budget not yet approved) - Utilization & Donation Program Obligations: Personnel Compensation/benefits; travel; contractual services; other. These figures are for the Utilization & Donation (U&D) Program. The Donation Program is not funded separately from U&D.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Property with an acquisition cost of \$460 million was donated. Fiscal Year 2012: It is estimated that property with an acquisition cost of \$403 million will be donated. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

41 CFR 102-37, "Donation of Surplus Personal Property," available for purchase from Superintendent of Documents, Government Printing Office, Washington, DC 20402. Pamphlet, "The Federal Surplus Personal Property Donation Program," available from General Services Administration at no charge.

**Regional or Local Office:**

See Regional Agency Offices. Initial contacts (except Service Educational Activities) should be at regional or local level. See Appendix IV of the Catalog

for addresses of GSA Federal Acquisition Service Regional Property Division serving the geographical area of interest. Individual units of Service Educational Activities national organizations such as Boy Scout or Girl Scout troops, Boys and Girls Clubs, etc., should contact their regional or national headquarters; Service Educational Activity Schools should contact their sponsoring military service.

**Headquarters Office:**

Sunny Kwa 1275 First Street, N.E., Washington, District of Columbia 20417  
Email: sunny.kwa@gsa.gov Phone: 202-501-1700

**Website Address:**

<http://www.gsa.gov/property>

**RELATED PROGRAMS:**

12.700 Donations/Loans of Obsolete DOD Property; 39.002 Disposal of Federal Surplus Real Property; 39.007 Sale of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**39.007 SALE OF FEDERAL SURPLUS PERSONAL PROPERTY**

(Sales Program)

**FEDERAL AGENCY:**

General Services Administration

**AUTHORIZATION:**

Public Law 81-152, 63 Stat. 377, 40 U.S.C. 541 et. seq.

**OBJECTIVES:**

To sell personal property no longer needed by the Government in an expeditious, economical and efficient manner and to obtain the maximum net return from sales. General Services Administration conducts the sale of personal property for most of the civil agencies; the Department of Defense handles the sale of its own surplus property.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

This program provides individuals, business concerns, and other organizations with the opportunity to enter competitive bids for purchase of a wide variety of personal property whenever it is determined surplus to the needs of the Federal Government and available for sale. Included are vehicles, aircraft, hardware, electronic and medical equipment, furniture, office supplies and equipment, exotic gifts and collectables, and many other items. This program has been expanded offering assets available to the general public via online capabilities. GSA Auctions ([www.gsauctions.gov](http://www.gsauctions.gov)) provides the general public with an Internet website to bid electronically on a wide variety of federal personal property. The website allows GSA to offer assets located across the country to any interested buyer, regardless of location. GSA Auctions provides item descriptions and pictures of items available for sale. Successful bidders can also make payments online. Normally, there are no use restrictions on property purchased from the Government. Other laws may restrict those eligible to participate or place conditions on property.

**Applicant Eligibility:**

Competitive bid sales are open to the general public, however bidders must be at least 18 years of age. Individuals cannot successfully register to bid on items without providing a TIN. A TIN is defined as an individual's Social Security Number (SSN) or business entity's Employer Identification Number (PIN).

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

A credit card is required for all registered users in our online community. Credit card validation assists in the prevention of fraudulent bidding activity and ensures that bidders are prepared to accept responsibility for their bidding activity and all submitted bids are valid. This card number is recorded but will

not be automatically charged if a bidder is the successful bidder of an item. For security reasons and to prevent fraudulent bidding activities, all registered bidders are subject to billing address verification. No P.O. Box address will be accepted unless accompanied by a street address. By entering the credit card information, you are attesting you are an authorized user of the card. It is required that the bidder creates and secures their username and password. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Interested individuals may participate in GSA sales of Federal personal property by visiting the GSA Auctions website at [www.gsaauctions.gov](http://www.gsaauctions.gov), or may visit [www.surplussales.fss.gov](http://www.surplussales.fss.gov) for information on sales not conducted on the internet. Also, information is available at the Federal Asset Sales website at [www.govsales.gov](http://www.govsales.gov).

**Award Procedure:**

Property is awarded to that responsible bidder whose bid, conforming to the invitation, is most advantageous to the Government, price and other factors considered. For internet sales, the successful bidders will be notified by email and must make payment within 2 business days from the date & time the award email notification was sent. Bid results from other sale types may be furnished by U.S. mail notification, via telephone, fax, or at [www.surplussales.fss.gsa.gov](http://www.surplussales.fss.gsa.gov). It is the bidder's responsibility to follow-up on the status of his/her bid and to ensure that his/her email address and all registration data are kept accurate and up-to-date.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

It is the policy of GSA Auctions to monitor bids and other activity to ensure the proper use of our site. The Government reserves the right to reject any and all bids. Bids can be rejected for any reason, especially those containing inaccurate, incomplete or unverifiable information, or information which is deemed to have been given in bad faith. Indebted bidders will be ineligible for contract awards. Bidders will not be able to bid on items specified on GSA Auctions until all debts have been cleared, and will not be awarded items when participating in other methods of sale, such as sealed bid or fixed price.

**Appeals:**

Disputes, claims and/or refunds request are not a frequent issues at GSA. Contracts resulting from the sale of any offer, and particularly GSA Auctions are subject to the Contract Disputes Act of 1978 (41 U.S.C. 601-613). A claim or request for refund must be substantiated in writing to the Contracting Officer for issues regarding mis-described property, missing property and voluntary defaults.

**Renewals:**

If at any time, a participant's information changes, it is their responsibility to update the appropriate information with GSA and in GSA Auctions.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

47-4530-0-4-804.

**Obligations:**

(Salaries) FY 11 \$9,300,000; FY 12 est \$11,500,000; and FY 13 Estimate Not Available(Exp: Budget not yet approved) - Sales program operates under a revolving fund, and obligations are not applicable. Sales operating expenses would be the equivalent personnel compensation/benefits; travel; contractual services; other.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: actual revenue was \$23.4 million. Fiscal Year 2012: The estimated revenue is \$23.3 million. Fiscal Year 2013: The estimated revenue is 24.6 million.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

41 CFR 101-45, Sale, Abandonment, or Destruction of Personal Property. FMR 102-38, Sale of Personal Property. FMR 102-39, Replacement of Personal Property Pursuant to the Exchange/Sale Authority. Pamphlet "For Public Sale! Used Federal Government Personal Property."

**Regional or Local Office:**

See Regional Agency Offices. Federal Acquisition Service, General Services Administration, (select address from Appendix IV of the Catalog for the GSA Federal Acquisition Services, Office of Personal Property Management Sales Program Division which serves the geographical area of interest); or DLA Disposition Services (for Department of Defense surplus property), National Sales Office, 74 Washington Ave. North, Battle Creek, MI 49017-3092. Internet: <http://www.gsa.gov>.

**Headquarters Office:**

Sunny Kwa, 1275 First Street, N.E., Washington, District of Columbia 20417  
Email: [sunny.kwa@gsa.gov](mailto:sunny.kwa@gsa.gov) Phone: (202) 501-1700

**Website Address:**

<http://www.gsa.gov> ; [www.gsaauctions.gov](http://www.gsaauctions.gov); and [www.govsales.gov](http://www.govsales.gov).

**RELATED PROGRAMS:**

12.700 Donations/Loans of Obsolete DOD Property; 39.003 Donation of Federal Surplus Personal Property

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES**

**45.201 ARTS AND ARTIFACTS INDEMNITY**

**FEDERAL AGENCY:**

Federal Council on the Arts and the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 971 et seq.; Arts and Artifacts Indemnity Act, Public Law 094-158.

**OBJECTIVES:**

To provide for indemnification against loss or damage for eligible art works, artifacts, and objects (1) when borrowed from abroad for exhibition in the U.S.; (2) when borrowed from the U.S. for exhibition abroad, preferably when there is an exchange exhibition from a foreign country; (3) when borrowed from the U.S. for exhibition in the U.S. as part of exhibitions from abroad which include foreign-owned objects; and 4) when borrowed from U.S. collections for exhibition in the U.S.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

Certificates of Indemnity will be issued for the following items insuring them against loss or damage: (1) works of art, including tapestries, paintings, sculpture, folk art, graphics, and craft arts; (2) manuscripts, rare documents,

books, and other printed or published materials; (3) other artifacts or objects; and (4) photographs, motion pictures, or audio and video tape. Items must be of educational, cultural, historical or scientific value; and their exhibition, in the case of international exhibitions, must be certified by the Department of State to be in the national interest. No indemnity agreement for a single exhibition shall exceed \$1.2 billion for international exhibitions, or \$750 million for domestic exhibitions. Deductible amounts are on a sliding scale based on the value of certificate, as follows: \$15,000 deductible for valuations up to \$2 million; \$25,000 deductible for valuations from \$2 million to \$10 million; \$50,000 deductible for valuations from \$10 million to \$125 million; \$100,000 deductible for exhibitions with valuations from \$125 to \$200 million; \$200,000 deductible for valuations of \$200 million to \$300 million; \$300,000 deductible for valuations of \$300 million to \$400 million; \$400,000 for valuations above \$500 million. The total amount of indemnities that can be outstanding at any one time is \$10 billion for international exhibitions and \$5 billion for domestic exhibitions.

**Applicant Eligibility:**

Federal, State, and local government entities, and nonprofit agencies and institutions may apply.

**Beneficiary Eligibility:**

Federal, State, and local government entities, and nonprofit agencies and institutions will benefit. Audiences of indemnified exhibitions will also benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Prior to applying, potential applicants are encouraged to consult with the Indemnity Administrator, National Endowment for the Arts, Washington, DC 20506-0001. All applicants must consult the Arts and Artifacts Indemnity Guidelines available at [www.arts.gov](http://www.arts.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must obtain guidelines and application instructions from the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov), and apply through [Grants.gov](http://Grants.gov).

**Award Procedure:**

The Federal Council on the Arts and the Humanities makes final decisions on all awards based on recommendations from consulting panels of professionals in the field.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The length of time between application and notification is dependent on the scheduling of meetings of the Federal Council on the Arts and the Humanities; approximately 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for extensions and renewals must compete against new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The time during which Indemnity coverage is in effect varies depending on the schedule of the particular exhibition. See the following for information on how assistance is awarded/released: This program provides indemnification against loss or damage, not grant support.

**Reports:**

Reports of any loss or damage are due by the termination of the indemnity period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Final audits may be made at the discretion of the Federal Council on the Arts and the Humanities for up to 3 years after the termination of the indemnity period.

**Records:**

Applicants are responsible for complete packing, shipping, security and condition reports on all indemnified items. These should be kept for 90 days beyond the end date of the indemnity period.

**Account Identification:**

59-0101-0-1-503.

**Obligations:**

(Insurance) FY 11 Not Separately Identifiable; FY 12 est \$0; and FY 13 Not Separately Identifiable - The figures in this section relate to claim payments, not obligations.

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Forty-two certificates of indemnity were issued for 42 exhibitions. Fiscal Year 2012: Forty-five certificates of indemnity have been issued for 45 exhibitions. Fiscal Year 2013: It is anticipated that 45 certificates of indemnity will be issued for 45 exhibitions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidelines are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Loiko 1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Email: [loikop@arts.gov](mailto:loikop@arts.gov) Phone: 202-682-5541

**Website Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.024 Promotion of the Arts\_Grants to Organizations and Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Indemnified exhibitions were listed on the Web site at [www.arts.gov](http://www.arts.gov). Fiscal Year 2012: Indemnified exhibitions are listed on the Web site at [www.arts.gov](http://www.arts.gov). Fiscal Year 2013: Indemnified exhibitions will be listed on the Web site at [www.arts.gov](http://www.arts.gov).

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Indemnity Administrator.

**NATIONAL ENDOWMENT FOR THE ARTS**

**45.024 PROMOTION OF THE ARTS\_GRANTS TO ORGANIZATIONS AND INDIVIDUALS**

**FEDERAL AGENCY:**

National Endowment for the Arts

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 951 et seq.

**OBJECTIVES:**

To support the creation of art that meets the highest standards of excellence, public engagement with diverse and excellent art, lifelong learning in the arts, the strengthening of communities through the arts, and increased public knowledge and understanding about the contributions of the arts.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS



**USES AND USE RESTRICTIONS:**

The NEA's grants support projects that include: opportunities for artists to create, refine, perform, and exhibit their work; the presentation of artistic works of all cultures and periods; opportunities for arts organizations and artists to expand and diversify their audiences; innovative uses of new models or technology to create work or engage audiences; the preservation of significant works of art and cultural traditions; innovative creative placemaking that contributes to community livability; opportunities for individuals to experience and participate in a wide range of art forms and activities; opportunities to enhance the effectiveness of arts organizations and artists; development, production and national distribution of innovative media projects about the arts and of media projects that can be considered art; standards-based arts education activities for K-12 students; lifelong learning in the arts for individuals of all ages; professional development for artists and arts-related educators; the recognition of artists for their contributions to our nation's artistic heritage; partnerships with other government agencies and foundations to carry out quality projects or initiatives of mutual interest including international cultural exchange; other activities that acquaint foreign artists and cultural officials with the best of American culture; research that analyzes the value and impact of the arts in the United States; and NEA initiatives intended to address special needs or opportunities.

Consult the current funding opportunities, guidelines, or program announcements for the area of interest for complete information (see [www.arts.gov](http://www.arts.gov)). Grant funds must be used for the purposes outlined in the relevant guidelines or program announcement, and in accordance with the National Endowment for the Arts General Terms and Conditions for Grants and Cooperative Agreements. All of the funds under "Promotion of the Arts - Grants to Organizations and Individuals" are discretionary.

**Applicant Eligibility:**

Tax-exempt organizations meeting the following conditions may apply: (1) No part of any earnings may benefit a private stockholder or individual, and (2) donations to the organization are allowable as charitable deductions under Section 170(c) of the Internal Revenue Code. Examples of eligible organizations are arts institutions, arts service organizations, local arts agencies, official units of state and local governments, federally recognized tribal communities and Indian tribes. Generally, an organization may submit only one application for a single project under one of the category deadlines; must have a three-year history of programming prior to the application deadline; and must have submitted acceptable final reports by the due date for all Arts Endowment grants previously received. Individuals must be U.S. citizens or permanent residents and, according to 20 U.S.C. 954 (c), must demonstrate exceptional talent. Currently, the only individuals eligible to apply directly are published creative writers and translators. Certain master artists who have made extraordinary contributions to the arts in the United States are eligible for honorary fellowships awarded on the basis of nominations. See respective funding opportunities, guidelines, or program announcements for further information.

**Beneficiary Eligibility:**

Nonprofit organizations, state and local governments, local arts agencies, local education agencies (school districts), federally recognized tribal communities and Indian tribes, literary artists, and master artists. Through activities and services supported, beneficiaries include artists and the general public.

**Credentials/Documentation:**

Applicants should review relevant funding opportunities, guidelines, or program announcements at [www.arts.gov](http://www.arts.gov) for full requirements.

For individuals, Literature fellowship applicants must be published writers. Nominators of candidates for NEA honorary fellowships for master artists must document the candidate's significant contribution to the applicable art form.

For institutions of higher education, allowable costs will be determined according to OMB Circular No. A-21; for other nonprofit organizations making application, allowable costs will be determined according to OMB Circular No. A-122. For local and state governments: OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants should consult current funding opportunities, guidelines, or program announcements for the funding area under which they intend to apply. Relevant items are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must obtain current Arts Endowment funding opportunities, guidelines, or program announcements (available at [www.arts.gov](http://www.arts.gov)). Applicants must adhere to instructions, and must submit their applications through [Grants.gov](http://Grants.gov).

**Award Procedure:**

Applications generally receive three independent levels of review. First, they are reviewed by independent, national panels of artists and other arts experts. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of approval/disapproval time varies by funding category. Dependent on deadline dates and meetings of the National Council on the Arts. Details can be found in the funding opportunities, guidelines, and program announcements available at [www.arts.gov](http://www.arts.gov).

**Appeals:**

Information on requests for reconsideration may be obtained from the headquarters office.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grant awards to organizations generally must be matched at least 1:1. Awards to individuals do not require a match. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of time the assistance is available and money awarded can be spent varies according to project or grant category. Most grants have a one-year period of support; some extend longer. See the following for information on how assistance is awarded/released: Grantees must submit a request for payment to cover immediate allowable project expenses. Generally, these requests for payment may be submitted at any time during the period of support.

**Reports:**

Most grantees must submit a Final Descriptive Report no later than 90 days following the end of the grant period. No reports are required from recipients of NEA honorary fellowships for master artists. No cash reports are required. All organizational grantees must submit a Progress Report at the point that the request for payment exceeds two-thirds of the total grant amount. All organizational grantees are required to submit a Final Federal Financial Report no later than 90 days following the end of the grant period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. No audits are required for Arts Endowment awardees who are individuals.

**Records:**

Award-related records must be retained by the grantee for 3 years following submission of the Final Federal Financial Report.

**Account Identification:**

59-0100-0-1-503.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$81,475,305; FY 12 est \$66,668,250; and FY 13 est \$70,653,000 - The FY 2013 figure is based on the FY 2013 budget request. Each year's figures include funds for the Challenge America: Reaching Every Community and Our Town initiatives.

**Range and Average of Financial Assistance:**

Most of the Arts Endowment's regular grants range from \$10,000 to \$100,000. Grants of \$100,000 or more are made only in rare instances, and only for projects that the Arts Endowment determines demonstrate exceptional national or regional significance and impact. In the past few years, well over half of the Agency's grants have been for amounts less than \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Arts Endowment received approximately 6,000 applications and made more than 2,300 awards in all 50 States and six special jurisdictions for a broad variety of arts projects. Fiscal Year 2012: The Arts Endowment anticipates receiving approximately 6,000 applications and making more than 2,100 awards in all 50 States and six special jurisdictions for a broad variety of arts projects. Fiscal Year 2013: The Arts Endowment anticipates receiving approximately 6,000 applications and making more than 2,100 awards in all 50 States and six special jurisdictions for a broad variety of arts projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Visit the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov) for funding opportunities, guidelines, or program announcements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patrice Walker Powell 1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Phone: 202-682-5441

**Website Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.025 Promotion of the Arts\_Partnership Agreements; 45.201 Arts and Artifacts Indemnity

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Listings for FY 2011 are posted on [www.arts.gov](http://www.arts.gov). Fiscal Year 2012: Listings for FY 2012 will be posted on [www.arts.gov](http://www.arts.gov) once grants are obligated. Examples include: 1) the creation and performance of a dance theater work; 2) a chamber music series; 3) a series of community design workshops aimed at neighborhood revitalization; 4) an afterschool artist residency; 5) a curated film and video series; 6) a folk & traditional arts festival; 7) the commissioning of a new American play; and 8) a musical special exhibition and accompanying catalogue. Fiscal Year 2013: Listings for FY 2013 will be posted on [www.arts.gov](http://www.arts.gov) once grants are obligated.

**CRITERIA FOR SELECTING PROPOSALS:**

The primary criteria by which all applications are assessed are artistic excellence and artistic merit. For additional criteria, consult respective funding opportunities, guidelines, or program announcements available at [www.arts.gov](http://www.arts.gov).

**45.025 PROMOTION OF THE ARTS\_PARTNERSHIP AGREEMENTS  
FEDERAL AGENCY:**

National Endowment for the Arts

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 089-209, 20 U.S.C 951 et seq.

**OBJECTIVES:**

To develop and maintain partnerships with the state and jurisdictional arts agencies (SAAs) and their regional arts organizations (RAOs) to advance the mission of the National Endowment for the Arts.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Partnership Agreements support elements of a state or regional plan addressing state or regional priorities that: 1) enhance opportunities for the creation of art that meets the highest standards of excellence; 2) foster public engagement with excellent art; 3) provide Americans of all ages with arts learning opportunities; 4) incorporate the arts and design into strategies to improve the livability of communities; and 5) increase public knowledge and understanding of the various ways the arts contribute to positive outcomes for individuals and communities. Limited Partnership funds also are available for national services provided by membership organizations of SAAs and RAOs. Partnership Agreement funds must be used to supplement and not to supplant non-Federal funds.

**Applicant Eligibility:**

Agencies that are officially designated as the state arts agency by the state government in each of the 50 States and six special U.S. jurisdictions, and that meet the NEA eligibility requirements for SAAs as outlined in the Partnership Agreements guidelines on the NEA's Web site; regional arts organizations that represent state arts agencies and that meet the NEA eligibility requirements for RAOs as outlined in the Partnership Agreements guidelines on the NEA's Web site; and organizations providing support services to state and regional arts agencies at a national level.

**Beneficiary Eligibility:**

The official arts agencies of the 50 states and six U.S. jurisdictions, regional arts organizations, and organizations providing support services to SAAs and RAOs at the national level. Through activities and services supported, beneficiaries include local arts agencies, nonprofit organizations, artists, and the general public.

**Credentials/Documentation:**

The State Partnership Agreement requires that the agency be legally designated as the official state arts agency and that it meet all NEA eligibility requirements. The Regional Partnership Agreement stipulates that the regional organization must be authorized by three or more state arts agencies to apply for funds on their behalf and that it meet all NEA eligibility requirements. An SAA can belong to only one RAO. OMB Circular No. A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants should consult the Partnership Agreements guidelines (available at [www.arts.gov](http://www.arts.gov)). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must obtain current Partnership Agreements guidelines at [www.arts.gov](http://www.arts.gov) and adhere to instructions. Applications must be submitted through [Grants.gov](http://Grants.gov).

**Award Procedure:**

Applications receive three independent levels of review. First, they are reviewed by an independent, national panel of individuals with expertise in the arts and the state and regional arts agency field. Panel recommendations are forwarded to the National Council on the Arts, which then makes recommendations to the Chairman of the National Endowment for the Arts. The Chairman reviews the Council's recommendations and makes the final decision on all grant awards. Partnership Agreements receive panel review on a three-year cycle -- one-third of the SAAs and RAOs are reviewed each year -- with funding subject to annual recommendation and approval by the Council and the Chairman.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Partnership Agreements deadline is generally in late September/early October. Applications are generally reviewed by the National Council on the Arts and approved by the NEA Chairman in late March. See the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov) for specific dates.

**Appeals:**

Information on requests for reconsideration may be obtained from the headquarters office.

**Renewals:**

The Arts Endowment uses staggered, multi-year review for Partnership Agreements. Funding is subject to annual review and approval.

**Formula and Matching Requirements:**

Statutory Formula: Title National Foundation on the Arts and the Humanities Act of 1965, as amended, Part 20 USC 954, Subpart (g), Public Law 089-209. Matching Requirements: Partnership Agreement awards must be matched at least 1:1 with non-federal funds. The state arts agency must be financially supported by its state government and be designated as officially responsible for coordinating and administering all financial support received from the NEA and the state in conjunction with the state arts agency Partnership Agreement. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each award is for the full fiscal year or as designated. Partnership Agreement awards support activities scheduled to begin on or after July 1 of the year following the application deadline. See the following for information on how assistance is awarded/released: Generally, requests for payment to cover immediate allowable project expenses may be received at any time during the grant period.

**Reports:**

For Partnership Agreements, a Final Descriptive Report is due no later than 90 days following the end date of the period of support. No cash reports are required. Progress reports are required for all grants and must be submitted at the time the cumulative amount of grant funds requested exceeds two-thirds of the grant amount. Final Federal Financial Reports are due no later than 90 days following the end date of the period of support. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant-related records are to be retained by grantees for three years following submission of the Final Federal Financial Report.

**Account Identification:**

59-0100-0-1-503.

**Obligations:**

(Project Grants (with Formula Distribution)) FY 11 \$52,257,656; FY 12 est \$49,061,640; and FY 13 est \$51,252,000 - The FY 2013 figure is based on the FY 2013 budget request. Funds are allotted in accordance with the NEA's mandate and based on the strength of plans and accomplishments in relation to the review criteria. Funds that strengthen state support of the folk & traditional arts are awarded competitively and generally range from \$20,000 to \$45,000. See the Partnership Agreements guidelines at [www.arts.gov](http://www.arts.gov) for details.

**Range and Average of Financial Assistance:**

FY 2012 Partnership Agreements for SAAs range from \$298,700 to \$1,092,300, averaging approximately \$740,000. The range of RAO awards is \$1,058,300 to \$1,624,800, averaging \$1,338,083.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Arts Endowment made 62 Partnership awards. SAAs and RAOs used their state and federal funds to support a variety of arts projects in communities throughout the nation. Fiscal Year 2012: The Arts Endowment made 62 Partnership awards to enable SAAs and RAOs to support a variety of arts projects nationwide. Fiscal Year 2013: The Arts Endowment anticipates making 64 Partnership awards to enable SAAs and RAOs to support a variety of arts projects nationwide.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Partnership Agreements guidelines are available on the Arts Endowment's Web site at [www.arts.gov](http://www.arts.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura A. Scanlan 1100 Pennsylvania Ave, NW, Washington, District of Columbia 20506 Phone: 202-682-5583

**Website Address:**

[www.arts.gov](http://www.arts.gov).

**RELATED PROGRAMS:**

45.024 Promotion of the Arts\_Grants to Organizations and Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Partnership Agreements enable the SAAs and RAOs to support a variety of arts activities nationwide. See the Arts Endowment's Web site for grant listings. Fiscal Year 2012: Partnership Agreements with the SAAs and RAOs continue to enable the support of a variety of arts activities in communities across the nation. See the Arts Endowment's Web site for grant listings. Fiscal Year 2013: Partnership Agreements with the SAAs and RAOs will continue to enable the support of a variety of arts activities in communities across the nation. Grant listings will be posted once grants are obligated.

**CRITERIA FOR SELECTING PROPOSALS:**

For Partnership Agreements: Quality of the planning process; quality of the plan; and quality of accomplishments and implementation in relation to the plan. For additional criteria, consult the Partnership Agreements guidelines.

**NATIONAL ENDOWMENT FOR THE HUMANITIES****45.129 PROMOTION OF THE HUMANITIES\_FEDERAL/STATE PARTNERSHIP****FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

**OBJECTIVES:**

To promote local, statewide, and regional humanities programming through annual grants to humanities councils in each of the 50 States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Northern Mariana Islands, Guam, and American Samoa. The 56 councils conduct humanities projects and grant programs for local nonprofit organizations, institutions, and groups, and occasionally for individuals. Under the provisions of 20 U.S.C. 956(f)(8), only one entity in each State may receive assistance from NEH as the State humanities council.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to fund local, statewide, and regional humanities projects, subject to guidelines determined by each State humanities council.

**Applicant Eligibility:**

Nonprofit citizen councils in the several States and territories which conform to the requirements of 20 U.S.C. 956(f). If the State matches a certain percentage of the Federal grant and meets other legislated requirements, the Governor may designate the existing Council as a State agency. The resulting agency becomes an eligible applicant.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government general; minority organizations; other specialized groups; and quasi-public nonprofit institutions which apply directly to the State Humanities Council.

**Credentials/Documentation:**

Submission of an annual compliance plan and a self-assessment every five years from the council. Compliance requirements are outlined in 20 U.S.C. 956(f). Costs will be determined in accordance with OMB Circular No. A-122 as amended for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Filing of a compliance plan is required from all councils annually and a self-assessment every five years

**Award Procedure:**

Compliance plans are reviewed by Federal/State Partnership staff. Self-assessments are reviewed by teams of visiting scholars and other professionals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

Jun 01, 2013 June 1 for annual compliance plans. Timetable for submission of self-assessment material is flexible.

**Range of Approval/Disapproval Time:**

> 180 Days. Variable: Six months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: As established by the Congressional funding formula, each State council receives \$200,000 of the definite funds appropriated to Federal/State Partnership. Of the remaining funds, 44 percent is divided equally among the States which have a population of 200,000 or more, 22 percent is allocated to each council on the basis of population, and 34 percent is awarded at the discretion of the Chairman of the agency. Total matching of the grant on a one-to-one basis is required. Source: 20 U.S.C. 956 (f)(4). This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Thirty-six months. Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Compliance plans are required annually. A cash report is required quarterly. No progress reports are required. An expenditure report is required quarterly and a final expenditure report is due within 90 days after completion or termination of project support by NEH. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. "Audits of Institutions of Higher

Education and Other Nonprofit Organizations." have been mandated for the program. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$44,769,939; FY 12 est \$40,435,000; and FY 13 est \$40,350,000 - FY '11 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

In FY 2010 the range of assistance was \$301,830 to \$2,080,000. Average was \$741,632.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Not available. Fiscal Year 2012: Support for the programs and operations of 56 state humanities councils made possible high quality state and local humanities projects throughout the nation including, 16,769 reading and discussion programs; 2,335 exhibitions; 6,489 literacy programs; 4,092 speakers bureau presentations; 2,654 teacher institutes and workshops; 5,419 conferences and symposia; 1,759 Chautauqua events; 27,523 media and technology projects; 767 preservation projects; and 5,240 local history projects. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Information about the National Endowment for the Humanities and program guidelines are available online at <http://www.neh.gov/> or upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign). Addresses and phone numbers for the 56 State humanities councils are available from Federal/State Partnership, NEH, Room 603, Washington, DC 20506, and from the NEH web site, <http://www.neh.gov>.

**Regional or Local Office:**

See Regional Agency Offices. Located in each State. Addresses available from National Endowment for the Humanities.

**Headquarters Office:**

Federal/State Partnership, National Endowment for the Humanities, 1100 Pennsylvania Avenue, Room 603, Washington, District of Columbia 20506  
Email: [fedstate@neh.gov](mailto:fedstate@neh.gov) Phone: (202) 606-8254.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.164 Promotion of the Humanities\_Public Programs; 45.168 Promotion of the Humanities\_We the People

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: 1 The Maryland Humanities Council continued an initiative that focused on civic discourse and democracy, Practicing Democracy, by focusing on community issues on Marylands Eastern Shore. The Arizona Humanities Council continued their Project Civil Discourse initiative focused on fostering civil discourse on difficult, yet important community and national issues. 2 K-12 teacher development is a key element for humanities councils. The Florida Humanities Council hosts summer and full-day workshops, available to all school districts in the state. Its website hosts a teacher resource center. The Idaho Humanities Council supports K-12 teachers by providing an annual summer institute, Teacher Incentive Grants of up to \$1,000 for curriculum enhancement, curriculum guides and other resources, awards for outstanding teachers, and a Teachers Night Out to introduce teachers from the Treasure Valley area around Boise to resources available to them from local organizations.

3 The Missouri Humanities Council partnered with the Missouri Warrior Writers Project/Warriors Arts Alliance to carry out writing workshops that help veterans of Americas wars tell the stories of their experiences. In the words of one volunteer in the program, They seek hope, acceptance and understanding. Some write to save their lives.

4 Humanities Montana organized a two-day conference of moderated conversations to celebrate the 40th anniversary of Montanas constitution. These conversations were wide-ranging, thoughtful, and engaging, dealing with issues central to the civic lives of Montanans. The topics provide the basis for on-going conversations around the state.

5 Various state councils provided support to projects focused on Native American themes and issues. The Minnesota Humanities Center, in partnership with the Minnesota Indian Affairs Council and the National Museum of the American Indian, created a community-based exhibition Why Treaties Matter that gives an unfiltered, authentic Dakota and Ojibwe voice, telling their own stories of sovereignty and adaptability. The South Dakota Humanities Council supported the Center for Western Studies 44th Annual Dakota Conference. The conference theme was Wounded Knee 1973: Forty Years Later.

6 The Virginia Foundation for the Humanities continued to use electronic media to initiate discussions through their Backstory with the American History Guys radio call -in show, which features three prominent historians providing perspective on events happening around us every day. It is now broadcast weekly and free podcasts are available. The complete archive is available for electronic download. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each State council sets its own guidelines and criteria for assessing proposals, which are widely disseminated within the State. The criteria for State council funding from NEH are established in the National Foundation on the Arts and the Humanities Act of 1965, as amended, 20 U.S.C. Section 950, 956, and by the NEH Federal/State Partnership.

#### **45.130 PROMOTION OF THE HUMANITIES\_CHALLENGE GRANTS**

##### **FEDERAL AGENCY:**

National Endowment for the Humanities

##### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C 951.

##### **OBJECTIVES:**

To support educational and cultural institutions and organizations in order to increase their financial stability and to sustain or improve the quality of humanities programs, services, or resources. Normally, institutions requesting an NEH challenge grant must raise three dollars in new donations from nonfederal sources to receive each Federal dollar A special category of challenge grants is designed to help 2-year colleges secure long-term improvements in humanities activities. Two-year colleges, along with Historically Black Colleges and Universities and Tribal Colleges and Universities, are required to raise two times the Federal award in new donations from nonfederal sources.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds may be applied to a variety of institutional needs which an applicant has demonstrated serve both the humanities and the institution's long-term objectives. The major purpose of an NEH Challenge Grant is to help institutions and organizations attain or sustain a high level of quality in humanities programs or activities by building long-term capital resources. The most common expenditure of grant and matching funds is the creation or augmentation of endowments. Also possible are direct expenditures such as library acquisitions, technological enhancement, construction and renovation, and other costs clearly attributable to improvements in humanities programs and activities. Funds may not be used directly for general operating support or undergraduate scholarships and prizes or for short-term projects or projects eligible for support from other NEH programs.

##### **Applicant Eligibility:**

Any public or private U.S. nonprofit institution or organization working wholly or in part within the humanities may apply, including the following: two-year and four-year colleges; universities; museums; historical societies; research libraries; public libraries; advanced study centers; media organizations; university presses; professional societies; or state humanities councils. State and local governments and U.S. Territories are eligible to apply on their own behalf or on behalf of nonprofit institutions, associations or organizations within their jurisdictions. Individuals and public and private elementary and secondary schools or school districts are not eligible to apply.

##### **Beneficiary Eligibility:**

All applicant organizations and institutions and all users of their humanities resources, programs, or activities.

##### **Credentials/Documentation:**

. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

None required, but preliminary discussion with Endowment staff and the submission of a draft application at least six weeks before the deadline are strongly encouraged. The standard application forms as furnished by the Endowment and required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-110. Applications to NEH must be submitted via Grants.gov. Guidelines and application instructions are available online at <http://www.neh.gov/grants/grants.html>.

##### **Award Procedure:**

Applications are reviewed by administrators of humanities institutions, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

##### **Deadlines:**

May 01, 2013: Challenge Grants. May 02, 2012 for all challenge grants, except applications made for a special initiative for two-year colleges, which have a February 1, 2012 deadline. Deadlines are receipt deadlines. Write or call the NEH Office of Challenge Grants.

##### **Range of Approval/Disapproval Time:**

> 180 Days. Seven months (approximately 210 days) after the deadline.

##### **Appeals:**

None, but applicants may request written reasons for rejection and reapply at the next appropriate deadline with a revised proposal.

##### **Renewals:**

> 180 Days. Eligibility to apply for a subsequent award begins in the third year after the close of the previous challenge grant.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: All challenge grant funds are matching funds.

Grantees must raise three nonfederal dollars for every federal dollar offered, except that Historically Black Colleges and Universities, Tribal Colleges and Universities, and two-year colleges are required to raise two times the Federal award.

This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

From one to five years. Funds must be expended during the grant period. Funds expended include funds deposited into an income earning account. See the following for information on how assistance is awarded/released: Federal funds up to the amount offered in any year are released as matching amounts are certified to the Endowment and minimum annual matching requirements are met.

##### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Narrative progress reports are required biennially; reports on nonfederal contributions raised and sources of giving are required annually. Final narrative and financial reports are due within 90 days after the grant ending date. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

To be retained by the grantee for three years from the date of submission, with copies to be submitted with gift certifications, of the final narrative and financial reports. Records include financial documentation on all matching gifts and on all expenditures of Federal and matching funds.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$10,789,406; FY 12 est \$8,357,000; and FY 13 est \$8,750,000 - FY'11 obligations include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Applicants may request up to \$1,000,000 in Federal funds over 4 years. In fiscal year 2010, the largest award offered was \$750,000, the smallest was \$250,000; and the average award was approximately \$470,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 151 applications were received and 29 grants were awarded. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> and upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of Challenge Grants, Room 420, National Endowment for the Humanities, Washington, District of Columbia 20506 Email: [challenge@neh.gov](mailto:challenge@neh.gov) Phone: (202) 606-8309.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: 1) Hastings Center (Garrison, NY) \$425,000 in federal funds (to match \$1,275,000 in nonfederal gifts) To support endowment for a Senior Humanities Research Scholar and travel costs for visiting scholars as part of the Hastings Center Humanities Research Initiative.

2) Bentley University (Waltham, MA) \$395,000 in federal funds (to match \$1,185,000 in nonfederal gifts) To support endowment for programs that integrate the humanities with business education, including a research seminar and affiliated fellowships in the humanities; visiting humanities scholars programs; and an undergraduate fellows seminar.

3) Winterthur Museum (Winterthur, DE) \$425,000 in federal funds (to match

\$1,275,000 in nonfederal gifts) To support endowment for the Director of Conservation position at Winterthur to enhance the museum's extensive programs in conservation.

4) Lewis and Clark Community College (Godfrey, IL) \$250,000 in federal funds (to match \$500,000 in nonfederal gifts) To establish and endow activities in a new Institute for the Humanities in Culture, to be guided by the over-arching motif "Sense of Place."

5) Northwest College (Powell, WY) \$131,00 (to match \$262,000 in nonfederal gifts) To purchase and renovate a building to house an Intercultural Center and to endow humanities programming at the college and in surrounding communities. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

To reach decisions about funding, all reviewers of Challenge Grants applications are asked to evaluate the existing and potential quality of an applicant's programs in the humanities, its needs, management, and fund-raising capability. In light of the goals of the Challenge Grants Program, reviewers assess each application in accordance with the following criteria: (1) The significance of existing and planned humanities activities. (2) The appropriateness of institutional resources and plans. (3) The impact of challenge grant funds. (4) The feasibility of fund raising. Applicants for second or subsequent awards must describe and assess the effects of their prior awards.

**45.149 PROMOTION OF THE HUMANITIES\_DIVISION OF PRESERVATION AND ACCESS**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended,, 89 Stat. 209, 20 U.S.C 951.

**OBJECTIVES:**

To fund projects that will promote preserving, creating, and providing intellectual access to resources held in libraries, museums, archives, historical organizations, and other collections that are important for research, education, and public programming in the humanities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants support: the digitization, arrangement, description, and preservation of archival collections, still and moving images, and recorded sound collections; the documentation of collections of art and material culture; projects to produce research tools and reference works such as databases and electronic archives, bibliographies, dictionaries, and encyclopedias; professional training in preservation administration and in the care of collections; preventive conservation of humanities collections; the work of regional preservation services; general preservation assessments and special consultations for smaller cultural institutions; research and development projects to develop technical standards, best practices, and tools for preserving and creating access to humanities collections; projects to document endangered languages; and a national program for the digitization of historic U.S. newspapers. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel, and per diem.

**Applicant Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; and other specialized groups; quasi-public nonprofit institutions.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; and other specialized groups; quasi-public nonprofit institutions.

**Credentials/Documentation:**

OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for commercial and nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Guidelines and application instructions are available online at <http://www.neh.gov/grants/grants.html>.

**Award Procedure:**

Applications are evaluated by scholars in the humanities, professionals with expert knowledge of preservation and access methodologies, and administrators of libraries, archives, and museums. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

Jul 18, 2013: Humanities Collections and Reference Resources.

**Range of Approval/Disapproval Time:**

> 180 Days. Approximately 7 months.

**Appeals:**

None, but applicant may reapply with a revised proposal.

**Renewals:**

Renewal grants are processed and awarded in competition with and in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months. Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. Cash reports are required quarterly. Progress reports are required semiannually or annually. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH. Final progress and expenditures reports are due within 90 days after completion or termination of project support by NEH. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Salaries) FY 11 \$20,229,572; FY 12 est \$15,176,000; and FY 13 est \$15,700,000 - FY 11 obligations Include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 12 from \$6,000 to \$500,000; average \$74,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 781 applications were received and 237 grants awarded. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants.html> or upon request from National Endowment for the Humanities, Washington, DC 20506. It is also available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Preservation and Access 1100 Pennsylvania Avenue, NW, Room 411, Washington, District of Columbia 20506 Email: [preservation@neh.gov](mailto:preservation@neh.gov) Phone: (202) 606-8570.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.164 Promotion of the Humanities\_Public Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) an award to a university to digitize 100,000 pages of historic state newspapers; (2) an award to a historic house museum to explore sustainable strategies for preserving its collections of historic objects, books, and manuscripts; (3) an award to a university to train hundreds of librarians, archivists, and museum specialists in digital preservation; (4) an award to a university to develop guidelines for the handling and storage of flammable nitrate film stock; (5) an award to a historical society to conduct a preservation assessment and develop a long-range plan for preserving its library, archival, and material culture collections; (6) an award to a university to develop an online and print dictionary for an endangered Mexican language; (7) an award to university to develop an electronic resource on Buddhist art. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria used to determine funding priorities include the significance and potential impact of the project, either for creating, preserving, and establishing intellectual access to important humanities resources or for improving the infrastructure for preservation and access activities in the country's academic and cultural institutions; the soundness of the project's methodology, including its adherence to accepted professional and technical standards or practice; the viability, efficiency, and productivity of the project's plan of work; the professional training and experience of the project's staff in relation to the activity for which support is requested; and the appropriateness of the project's budget. Preference is given to projects that provide free, online access to digital materials produced with grant funds.

**45.160 PROMOTION OF THE HUMANITIES\_FELLOWSHIPS AND STIPENDS**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

Fellowships and Summer Stipends provide support for scholars to undertake full-time independent research and writing in the humanities. Grants are available for 6-to-12-month fellowships and 2 months of summer study. Awards for Faculty programs support research work conducted by faculty at Historically Black Colleges and Universities, Institutions with

High Hispanic Enrollment, and Tribal Colleges and Universities for periods of 2 to 12 months.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Fellowships and Summer Stipends: Projects may contribute to scholarly knowledge or to the general public's understanding of the humanities. The proposed study or research may be completed during the grant period or it may be part of a longer project. Supported applications typically result in publication. The Awards for Faculty program assist faculty

members as they engage in advanced research in the humanities.

These awards are restricted to faculty members at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment, and Tribal Colleges and Universities as designated by the White House offices charged with the implementation of Executive Orders 12876, 13230, 13021. Applications for planning institutional curricula, for educational research projects, for the creation or performance of works of art, and that lack humanities content or methodology are not eligible.

**Applicant Eligibility:**

All applicants must be U.S. citizens, native residents of U.S. jurisdictions, foreign nationals who have been legal residents in the U.S. or its jurisdictions for at least the three years immediately preceding the application deadline. Fellowships: Faculty members at colleges and universities, individuals affiliated with other institutions, independent scholars, and others who work in the humanities are eligible. Applicants need not have advanced degrees, but they must have completed their formal academic training. Active candidates for degrees and persons seeking support for work leading to degrees are not eligible. Summer Stipends: University and college faculty members must be nominated by their academic institutions. Faculty members with terminating appointments, independent scholars, and nonfaculty college and university staff members are exempt from nomination and may apply directly. Awards for Faculty are offered to full-time faculty members at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment, and Tribal Colleges and Universities as designated by the White House offices charged with the implementation of Executive Orders 12876, 13230, 13021.

**Beneficiary Eligibility:**

Fellowships and Stipends: College and university faculty and staff, individuals affiliated with institutions other than colleges and universities, and scholars and writers working independently. Awards for Faculty: faculty members at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment, and Tribal Colleges and Universities.

**Credentials/Documentation:**

. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications to NEH must be submitted via Grants.gov. Fellowships, Summer Stipends, and Awards for Faculty application materials are available online at <http://www.neh.gov> and from the headquarters office.

**Award Procedure:**

Applications are reviewed by panels of scholars and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

Oct 01, 2013: Summer Stipends. Deadlines are approximate; interested

individuals should check the NEH website for deadlines. Fellowships: Annual receipt deadline of May 1, for projects beginning after January 1 of the following year. Summer Stipends: annual receipt deadline of October 1, for projects beginning after May 1 of the following year. Awards for Faculty: Annual receipt deadline of April 16 for projects beginning after January 1 of the following year.

**Range of Approval/Disapproval Time:**

> 180 Days. Five to seven months.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Fellowships are held from 6 to 12 months, with payment in quarterly installments. Summer Stipends are held for 2 consecutive months, with stipends disbursed in one payment. Awards for Faculty may support activities from 2 to 12 months, with payments in quarterly installments. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. A final report is required within 90 days after the end of the tenure period describing the results of the work done during the period of the award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Not applicable.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants (Fellowships)) FY 11 \$6,288,000; FY 12 est \$5,114,000; and FY 13 est \$5,655,000 - FY 2011 obligations include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Fellowships and Awards for Faculty: An award of \$4,200 per month for a grant period of from 3 to 12 months. Summer Stipends: All awards are \$6,000 for a grant period of 8 weeks.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 2,821 applications were received and 212 awarded. Fiscal Year 2012: Approximately 2,540 application and 180 awards. Fiscal Year 2013: Approximately 2,540 application and 180 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship, Awards for Faculty, and Summer Stipends guidelines are available online at <http://www.neh.gov/grants/grantsbydivision.html#research>. For assistance, contact the National Endowment for the Humanities, 1100 Pennsylvania Ave., NW., Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**



National Endowment for the Humanities, Division of Research Programs 1100 Pennsylvania Avenue, Washington, District of Columbia 20506 Email: fellowships@neh.gov Phone: (202) 606-8200.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.161 Promotion of the Humanities\_Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Fellowships and Summer Stipends: Theodore Catton, University of Montana, received a 12-month fellowship to conduct research on the history of the fur trade along the border of the United States and Canada. Kathryn Miller, Stanford University, received a 12-month fellowship to write a history of prisoner exchange practices between Christians and Muslims in the medieval Mediterranean; Jessica Winston, Idaho State University, received a 12-month Fellowship to write a book on lawyers and literary culture at Inns of Court in late Renaissance England; Michael Hooper, Prairie View A&M University, received a 6-month Award for Faculty at Historically Black Colleges and Universities to complete a book on pragmatism among African-American authors in the 19th and early-20th centuries; Caroline Campbell, University of North Dakota, received a Summer Stipend to study the history of extremist politics in France leading to World War II; and Christine Hahn, Kalamazoo College, received a Summer Stipend to write a history of Korean art during the 20th century. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Are the criteria based on the cost of the project, qualification of principal investigator and institution, relevance to program's objectives and uses, or merit? Is there an order of priority? If the Code of Federal Regulations is used for this section extract the salient points of interest to an applicant. Do not cite the Code verbatim.

For Fellowships, Summer Stipends: 1) The intellectual significance of the proposed project, including its value to scholars, general audiences in the humanities, or both; 2) the quality or promise of quality of the applicant's work as an interpreter of the humanities; 3) the quality of the conception, definition, organization, and description of the project and the applicant's clarity of expression; 4) the feasibility of the proposed plan of work, including, when appropriate, the soundness of the dissemination and access plans; and, 5) the likelihood that the applicant will complete the project.

Awards to Faculty at Historically Black Colleges and Universities, Institutions with High

Hispanic Enrollment, and Tribal Colleges and Universities: 1) The intellectual significance of the proposed project, including its value to scholars, students, or general audiences in the humanities; 2) the quality or promise of quality of the applicant as a humanities teacher and researcher; 3) the quality of the conception, definition, organization, and description of the project and the clarity of expression in the application; 4) the feasibility of the proposed plan of work, including, when appropriate, the soundness of the dissemination and access plans for the proposed audience or audiences; and 5) the likelihood that the applicant will complete the project.

**45.161 PROMOTION OF THE HUMANITIES\_RESEARCH**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

To strengthen the intellectual foundations of the humanities through the collaboration of scholars and the support of post-doctoral fellowship programs

at independent research institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Collaborative Research and Scholarly Editions and Translations grants support up to three years of research. Awards support direct costs, including salaries, travel, supplies, and appropriate research assistance and consultation. Grants also support fellowships offered through independent research centers and institutions.

**Applicant Eligibility:**

For Collaborative Research and Scholarly Editions and Translations, institutions of higher education, nonprofit professional associations, scholarly societies, and other nonprofit organizations in the United States may apply, as may eligible individuals (U.S. citizens and foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application). For support of fellowship programs, U.S. independent research centers, scholarly societies, and international research organizations with existing fellowship programs may apply. Individual scholar eligibility is the same as described above.

**Beneficiary Eligibility:**

U.S. citizens and residents, State and local governments, sponsored organizations, public and private nonprofit institutions/organizations, other public institutions/organizations, Federally recognized Indian tribal governments, Native American organizations, U.S. territories; non-governmental-general; minority organizations, other specialized groups; and quasi-public nonprofit institutions benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 for nonprofit organizations and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program staff for advice on preparing the proposal, and for review of draft proposals. These draft reviews are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted no later than six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by e-mail attachment to [research@neh.gov](mailto:research@neh.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via [Grants.gov](http://www.grants.gov). NEH application instructions are available online at <http://www.neh.gov/grants/grants.html>.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals outside the agency. Awards are made by the Chairman of the National Endowment for the Humanities after recommendation by the National Council on the Humanities.

**Deadlines:**

Aug 17, 2013: Fellowship Programs at Independent Research Institutions. December 12, 2012, for Collaborative Research, Scholarly Editions and Translations; August 17, 2012, for Fellowship Programs at Independent Research Institutions.

**Range of Approval/Disapproval Time:**

> 180 Days. For Collaborative Research, Scholarly Editions and Translations, and fellowship programs offered through independent research centers and international research organizations, approximately seven months. For Fellowships at Digital Humanities Centers, approximately six months.

**Appeals:**

None, but applicant may reapply with a revised proposal.

**Renewals:**

Renewal applications are eligible; they are evaluated in competition with new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost sharing consists of the cash contributions made to the project by the applicant, third parties and other federal agencies, as well as third party in-kind contributions, such as donated services and goods. Cost sharing includes third party gift money that will be raised to release federal matching funds. Cost sharing is not required. NEH, however, is rarely able to support the full costs of projects approved for funding. Consult the individual program guidelines for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months for Collaborative Research, Scholarly Editions and Translations, and Fellowship Programs at Independent Research Institutions. See the following for information on how assistance is awarded/released: Funds are released as required and must be expended during the grant period.

**Reports:**

Program reports are not applicable. Cash reports are required quarterly. For Collaborative Research, Scholarly Editions and Translations, and Fellowship Programs at Independent Research Institutions: Progress reports are required at least annually, no more frequently than quarterly. Final progress are due within 90 days after completion or termination of project support by NEH. Final expenditure reports are due within 90 days after completion or termination of project support by NEH. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$11,523,550; FY 12 est \$9,388,000; and FY 13 est \$9,600,000 - FY 11 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 11 from \$50,000 to \$515,000; \$205,000 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 201 applications were received and 49 grants awarded. Fiscal Year 2012: No current information is available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> and upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None. Not Applicable.

**Headquarters Office:**

National Endowment for the Humanities, Division of Research Programs, 1100

Pennsylvania Avenue, NW, Room 411, Washington, District of Columbia 20506 Email: [collaborative@neh.gov](mailto:collaborative@neh.gov) Phone: (202) 606-8200.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.149 Promotion of the Humanities\_Division of Preservation and Access;  
45.160 Promotion of the Humanities\_Fellowships and Stipends

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Collaborative Research: the George Washington University received \$290,000 in outright funds to develop an online database of 19th-century immigrant savings records and write a book on the ability of immigrants to move from rags to riches; University of Michigan received \$250,000 for continued archaeological field work at Gabi, a major Bronze Age trade and political city east of Rome; Emory University received \$310,000 in outright funds and \$30,000 in federal matching funds, to support the ongoing research and publication of the correspondence of Irish playwright Samuel Beckett; the State University of New York, Stony Brook, received \$125,000 in outright funds for an edition and translation of a corpus of secular music written by Luca Marenzio during the Italian Renaissance; the American Center of Oriental Research located in Amman, Jordan, received \$78,600 in outright funds to support the research of one fellows per year over three years. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

For Collaborative Research, the principal criteria considered by evaluators are: (1) Intellectual significance of the project, including its potential contribution to scholarship in the humanities; the likelihood that it will stimulate new research; its relationship to larger themes in the humanities; and the significance of the material on which the project is based. (2) Pertinence of the research questions being posed, the appropriateness of research methods or conference design; the appropriateness of the technology employed in the project; the feasibility of the work plan; and the appropriateness of the field work to be undertaken, the archival or source materials to be studied, and the research site. (3) Qualifications, expertise, and levels of commitment of the project director and key project staff or contributors. (4) Soundness of the dissemination and access plans, including benefit to the audience identified in the proposal and the strength of the case for employing print, digital format, or a combination of media; and in the case of archaeology projects, the likelihood that the project will produce an interpretive study. All other considerations being equal, preference will be given to projects that provide free, online access to digital materials produced with grant funds. (5) Potential for success, including the likelihood that the work proposed will be completed within the projected time frame; where appropriate, the project's previous record of success; and the reasonableness of the proposed budget in relation to anticipated results.

For Scholarly Editions and Translations, the principal criteria considered by evaluators are: (1) The intellectual significance of the proposed work, including its potential contribution to scholarship in the humanities; the likelihood that it will stimulate new research; its relationship to larger themes or issues in the humanities; and the significance of the material on which the project is based. (2) The appropriateness of the research methods, critical apparatus, and editorial policies; in the case of translation projects, the translation approaches; the appropriateness of selection criteria; the thoroughness and feasibility of the work plan; the quality of the samples, e.g., their content, accuracy; readability, and the clarity and helpfulness of annotation. (3) The qualifications, expertise, and levels of commitment of the project director and key project staff or contributors. (4) The soundness of the dissemination and access plans, including benefit to the audience identified in the proposal; the strength of the case for producing print volumes, electronic format, or a combination of media; and the appropriateness of the technology to be used. All other considerations being equal, preference will be given to projects that provide free, online access to digital materials produced with grant funds. (5) The potential for success, including the likelihood that the proposed project will be successfully completed within the projected time frame; when appropriate, the edition or translations previous record of success; and the reasonableness of the budget in relation to its likely results.

For Fellowship Programs at Independent Research Institutions, the principal criteria considered by evaluators are: (1) How important to the advancement of the humanities is the fellowship program for which funding is requested? (2) Are fellows likely to pursue their research more successfully because of the research collections, facilities, services, and other resources provided by the applicant institution? In the case of centers with residential programs, does the application provide evidence that the fellows' projects benefit significantly from the location of the center and the intellectual exchange among the fellows? (3) How strong is the institution's previous record in offering fellowships? Have former fellows been productive? Have the scholarly contributions resulting from their FPIRI fellowships been of value to scholars and general audiences in the humanities? (4) Is the fellowship selection process, including the choosing of selection committee members, expert and objective? (5) Does the application make a persuasive case for the amount of NEH support requested for fellowships? (6) How effective is the publicity for the competition for fellowships? (7) How effective is the administration of the fellowship program? Is the institution's research misconduct policy adequate? (8) Are there ways in which the fellowship program could be improved?.

#### **45.162 PROMOTION OF THE HUMANITIES TEACHING AND LEARNING RESOURCES AND CURRICULUM DEVELOPMENT FEDERAL AGENCY:**

National Endowment for the Humanities

#### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

#### **OBJECTIVES:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities are designed to strengthen humanities teaching and learning at these institutions. Enduring Question Course Grants support the development of new humanities courses at the undergraduate level that examine fundamental questions of the humanities.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities provide funds for faculty study programs, institutional planning, and the acquisition of library and advanced technology resources that can assist institutions in enhancing humanities opportunities for their students and their communities, typically through strengthening the capacity of faculty to engage student or community beneficiaries in substantive study of the humanities. Humanities Initiatives awards are restricted to Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities (as designated by appropriate government agencies) and to faculty members at these institutions. Projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content are not normally supported.

Enduring Questions Course Grants encourage faculty and students at the undergraduate level to grapple with the most fundamental concerns of the humanities, and to join together in deep, sustained programs of study in order to encounter influential thinkers over the centuries and into the present day; these questions include What is the good life? What is dignity? What is good government? What are the limits of scientific understanding? What are the origins of the modern world?.

#### **Applicant Eligibility:**

Humanities Initiatives at Presidentially Designated Colleges and Universities offer Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities, as designated by the White House offices charged with the implementation of Executive Orders 12876, 12900, 13021.

#### **Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions

will benefit.

#### **Credentials/Documentation:**

Costs will be determined in accordance OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Guidelines are available online (<http://www.neh.gov>) or upon request to the headquarters office.

#### **Award Procedure:**

Applications are reviewed by panels of scholars, teachers, and educational administrators at all academic levels and by other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice of the National Council on the Humanities.

#### **Deadlines:**

Jun 27, 2013: Humanities Initiatives. Humanities Initiatives: June 27, 2013, for projects beginning after January 1, 2014. Enduring Questions: September 15, 2012, for projects beginning after May 1, 2013, September 15, 2013 for projects beginning after May 1, 2014.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Approximately 4-6 months.

#### **Appeals:**

None, but applicant may reapply with a revised proposal.

#### **Renewals:**

Applications for renewal must compete against new applications. Applications for renewal must demonstrate a record of success and the potential to serve new audiences.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula. Source: Program Guidelines. Contact: See Headquarters Office below. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Funds must be expended during the grant period. Funds are released as required. For Humanities Initiatives, grants are available for projects for a maximum of 3 years. For Enduring Questions, grants are available for eighteen to twenty-four months. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Final progress are due within 90 days after completion or termination of project support by NEH. Final expenditure reports are due within 90 days after completion or termination of project support by NEH. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

#### **Records:**

Documentation of expenditures and other fiscal records must be retained for three years following the submission of the final expenditure report.

#### **Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$1,655,544; FY 12 est \$1,647,000; and FY 13 est \$1,694,000 - FY 11 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

Humanities Initiatives at Historically Black, High Hispanic Enrollment, and Tribal Colleges and Universities do not exceed \$75,000. Enduring Questions Course Grants do not exceed \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 301 applications were received and 35 grants awarded. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. The publication entitled "National Endowment for the Humanities Grant Programs, 2000-2001" is available upon request from the National Endowment for the Humanities, Washington, DC 20506. It is also available online at <http://www.neh.gov>. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Education Programs 1100 Pennsylvania Avenue, N.W., Room 302, Washington, District of Columbia 20506 Email: [hi@neh.gov](mailto:hi@neh.gov) Phone: (202) 606-8463.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.129 Promotion of the Humanities\_Federal/State Partnership; 45.130 Promotion of the Humanities\_Challenge Grants; 45.149 Promotion of the Humanities\_Division of Preservation and Access; 45.160 Promotion of the Humanities\_Fellowships and Stipends; 45.161 Promotion of the Humanities\_Research; 45.163 Promotion of the Humanities\_Professional Development; 45.164 Promotion of the Humanities\_Public Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Humanities Initiatives:(1) A Historically Black University received a two year project to equip professors in the humanities and sciences with knowledge of narrative theory and practice to benefit students in the health care professions, particularly nursing. (2) A Tribal College received an award to support a three-year project to collect and preserve oral history narratives from elders of the community and to develop curricular resources from this material (3) A Hispanic Serving Institution received an award to conduct a three-year summer bridge program engaging at-risk high school students in diverse humanities studies at the university, followed by additional school year support. Professors would lead students to examine ethics through current news articles, and to focus on the study of the Caribbeans music, writing and cultural history and its connections to West Africa. The summer workshop would require daily writing and oral presentations from students to strengthen their analytical and communication skills, and would engage them in working with resources in the university library, museum and Hispanic Studies Seminar Room. Enduring Questions: (1) A four-year college was awarded a grant to create a new course exploring the question Is virtue its own reward? The course will explore the question through analysis of philosophical works from Jewish, Islamic, Christian and non-religious philosophical traditions as well as works of fiction, beginning with ancient texts from Aristotle and continuing through the modern period. (2) An independent four-year university was awarded a grant to fund the development of an undergraduate course on the question, What is free will? The course would consist of a writing- and discussion-intensive seminar that would explore the problem of free will over centuries and across cultural

traditions. The course would explore topics including early Greek philosophy, medieval monotheisms, Chinese Confucian and Daoist philosophy, Buddhist thought, Enlightenment philosophy, contemporary philosophy and cognitive science. (3) A four-year college was awarded a grant to fund the development of a course exploring the enduring question: What is time? The course would investigate how multiple notions of the structure, measurement and perception of time vary across cultures and historical periods. Readings in history and philosophy would be complimented by the study of literature, art, and film. Designed for an interdisciplinary honors program, the course would support the colleges newly defined goal of increasing the number of humanities majors. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are read and evaluated on whether the intellectual quality of the project is excellent; whether the project is well designed; and whether the project will have significant results. See the program guidelines for detailed criteria. For Humanities Initiatives at Historically Black Colleges and Universities, Institutions with High Hispanic Enrollment and Tribal Colleges and Universities, projects will be selected for funding on the basis of the quality of planned activities and the potential of these activities to strengthen the humanities capacity of the institution; the ability of the institution to carry out the proposed plan; the qualifications of project leaders and consultants; and the cogency of the plan to evaluate the outcomes of the project. For Enduring Questions, projects will be selected for funding based on their intellectual content, feasibility and impact on the intended academic audience.

**45.163 PROMOTION OF THE HUMANITIES\_PROFESIONAL DEVELOPMENT**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

Seminars and Institutes promote better teaching and research in the humanities through faculty development. Landmarks of American History and Culture promote better teaching of American history and culture through intensive, rigorous faculty and staff development workshops at historical sites, colonial settlements, battlefields, artists' and writers' homes--while enabling the participants to gain experience in conveying the importance of historical places and while enhancing their teaching materials.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants support Summer Seminars and Institutes, Landmarks of American History and Culture Workshops, Picturing America School Collaboration Projects. Awards support direct costs, including salaries, participant stipends, selection costs, travel, and supplies. Projects should engage participants in deepening the knowledge of the subjects they teach and strengthen their capacity to engage students in substantive study of the humanities. Projects that deal solely with pedagogical theory or that are intended to improve writing, speaking, or thinking skills apart from a focus on specific humanities content are not normally supported.

**Applicant Eligibility:**

Distinguished scholar/teachers in the humanities may apply through a sponsoring institution to direct a seminar or institute for college teachers or school teachers. For Landmarks in American History and Culture, the following may apply: State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general; minority organizations; other specialized groups; and quasi-public nonprofit institutions.

**Beneficiary Eligibility:**

For Seminars and Institutes and Landmarks of American History and Culture--primarily K-12 or college teachers, depending on the particular

project--as well as their colleagues and students.  
Credentials/Documentation.

**Credentials/Documentation:**

For educational institutions, costs will be determined in accordance with OMB Circular No. A-21 and Circular No. A-122 for nonprofit organizations. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Proposal instructions are available on line (<http://www.neh.gov>) or from the headquarters office.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

Mar 04, 2013: To direct a seminar or institute during the summer of the following year.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately 4 to 5 months; 6 weeks for participants in Seminars and Institutes, Landmarks of American History and Culture Workshops, and Picturing America School Collaboration Projects.

**Appeals:**

None, but director/applicant may request a critique of the proposal and reapply.

**Renewals:**

Applications for renewal must demonstrate a record of success and the potential to serve new audiences. These applications compete against new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Funds must be expended during the grant period. Funds are released as required. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are due quarterly. A final narrative report and a final expenditures report are required within 90 days after completion or termination of the grant period. In addition, reports are required from the scholars participating in the seminar assessing the value of the seminar for their professional development. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$11,277,806; FY 12 est \$11,532,000; and FY 13 est \$11,856,000 - FY 11 obligations include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 251 applications were received and 70 grants awarded. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov> or upon request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$30.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Education Programs 1100 Pennsylvania Avenue, NW, Room 302, Washington, District of Columbia 20506 Email: [sem-inst@neh.gov](mailto:sem-inst@neh.gov) Phone: (202) 606-8463.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) Bridging Cultures: Diversity and Unity in the Pueblo World: A three-week institute for twenty-five school teachers on the origins and cultural history of the Pueblo Indian peoples of the American Southwest. (2) Voices from the Misty Mountains: Appalachian Writers and Mountain Culture a three-week seminar for sixteen high school teachers that would explore Appalachia through its literary heritage and cultural traditions. (3) Metaphysics and Mind: a five-week seminar for sixteen college and university teachers on a variety of interrelated issues in fundamental metaphysics and philosophy. (4) The History of Political Economy: A three-week institute for twenty-five college and university faculty on the history and development of economic thought. (5) Empires of the Wind: Exploration of the United States Pacific West Coast: two one-week Landmarks workshops for eighty school teachers to address the importance of the West Coast and Pacific exploration in the development of the nation. (6) But for Birmingham The Rise of the Magic City and the Evolution of the Civil Rights Movement: two one-week Landmarks workshops for eighty school teachers on the civil rights struggles in Birmingham, Alabama. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In evaluating proposals, the following criteria apply: (1) Intellectual quality and significance; (2) Impact; (3) Feasibility. Applicants to Workshops, Seminars and Institutes selected to receive stipends are those who can derive the greatest benefit from participation in and who can make the greatest contribution to the program.

**45.164 PROMOTION OF THE HUMANITIES\_PUBLIC PROGRAMS**

**FEDERAL AGENCY:**

National Endowment for the Humanities

**AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq. , Public Law 89-209, 20 U.S.C 951.

**OBJECTIVES:**

To provide opportunities for the American public to explore human history and culture through humanities programs in museums, historical organizations,

libraries, community centers, and other gathering places, as well as on public television and radio and/or other digital media.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to support planning, development, production, and implementation costs.

**Applicant Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general, minority organizations and other specialized groups; quasi-public nonprofit institutions may apply.

**Beneficiary Eligibility:**

State and local governments; sponsored organizations; public and private nonprofit institutions/organizations; other public institutions/organizations; Federally recognized Indian tribal governments; Native American organizations; U.S. Territories; non-government-general, minority organizations and other specialized groups; quasi-public nonprofit institutions will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications to NEH must be submitted via Grants.gov. Application forms and guidelines are available online (<http://www.neh.gov/grants/grants.html>) and upon request from the headquarters office.

**Award Procedure:**

Applications are reviewed by subject area specialists, panels of scholars, and other appropriate individuals. Awards are made by the Chairman of the National Endowment for the Humanities after advice from the National Council on the Humanities.

**Deadlines:**

Jun 12, 2013: for Bridging Cultures through Film: International Topics and for Digital Topics. August 14, 2013: for planning and implementation for America's Historical and Cultural Organizations, and for development and production for America's Media Makers.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Approximately 4 to 6 months.

**Appeals:**

None, but applicant may reapply.

**Renewals:**

Renewals may be granted and are processed as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but usually 6 months to 3 years. Funds must be obligated during the grant period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required at least annually but no more frequently than quarterly.

Final progress reports are due within 90 days after completion or termination of the project. Expenditure reports are due within 90 days after completion or termination of the project. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

**Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

**Account Identification:**

59-0200-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$19,140,266; FY 12 est \$13,404,000; and FY 13 est \$13,900,000 - FY 11 obligations include additional funding provided by NEH Treasury matching grants and by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

**Range and Average of Financial Assistance:**

FY 11 from \$40,000 to \$600,000; \$203,649.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 826 applications were received and 162 grants were awarded. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Guidelines are available online at <http://www.neh.gov/grants/grants.html> or by request from the National Endowment for the Humanities, Washington, DC 20506. Available from the Superintendent of Documents, Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$30.00 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Division of Public Programs, 1100 Pennsylvania Avenue, NW, Room 426, Washington, District of Columbia 20506 Email: [publicprograms@neh.gov](mailto:publicprograms@neh.gov) Phone: (202) 606-8269.

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.129 Promotion of the Humanities\_Federal/State Partnership; 45.168 Promotion of the Humanities\_We the People

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: A film production company received a grant To produce a documentary film and companion website exploring the political, Economic, religious, and historical forces that led to the formation and Migration of the Pilgrims and the first decade of their colony in New England.

A museum received a grant to implement a permanent exhibition on the history of African American efforts to gain freedom and equality and the interpretation of the Lorraine Motel historic site.

An archaeologist who specializes in ancient Mayan sites received a prototyping grant to begin work on a digital model of the site that would allow users to explore reconstructed architecture and cities from a first-person perspective in order to highlight the ways that the real-world landscape was designed to tell complex stories. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

A successful application will demonstrate national significance or impact, outreach to groups of Americans not often engaged in public humanities projects, collaboration among cultural institutions and organizations as well as other similar or different groups, and use of a broad spectrum of the most effective formats, technologies, and venues for lifelong learning in the humanities. Although every proposal will not be expected to meet all of the criteria outlined above, the Division will give priority to applications that further these objectives. As part of the We the People initiative, the division currently has two special initiatives: Family and Youth Programs in American History and America's Historic Places. See program guidelines for details.

#### **45.169 PROMOTION OF THE HUMANITIES\_OFFICE OF DIGITAL HUMANITIES**

##### **FEDERAL AGENCY:**

National Endowment for the Humanities

##### **AUTHORIZATION:**

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.

##### **OBJECTIVES:**

To support innovative humanities projects that utilize or study the impact of digital technology for research, preservation, access, education, and public programming.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grants support large-scale training institutes or seminars on advanced topics in the digital humanities that explore new technology-driven methodologies; innovative start-up projects that are in the first phases of planning, brainstorming, and creating prototypes that explore the use or impact of digital technology for the humanities; the broader implementation of innovative projects in the digital humanities that have moved beyond the start-up phase; projects that explore and enrich humanities materials using digital technology, thereby enhancing teaching, research, and public access. Expenses may include salaries and wages, consultant and other contract services, supplies and limited equipment purchases, travel, and per diem.

##### **Applicant Eligibility:**

U.S. nonprofit organizations or institutions; state and local governmental agencies and Native American tribal organizations; and U.S. citizens or foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application.

##### **Beneficiary Eligibility:**

U.S. nonprofit organizations or institutions; state and local governmental agencies and Native American tribal organizations; and U.S. citizens or foreign nationals who have been living in the United States or its jurisdictions for at least the three years immediately prior to the time of application.

##### **Credentials/Documentation:**

Costs will be determined in accordance with OMB A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations apply. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Prior to submitting a proposal, applicants are encouraged to contact program officers who can offer advice about preparing the proposal, and review draft proposals. These comments are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants in other programs have found them helpful in strengthening their applications. Program staff recommend that draft proposals be submitted six weeks before the deadline. Time restraints may prevent staff from reviewing draft proposals submitted after that date. Draft proposals may be submitted by E-mail attachment (odh@neh.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for this program must be submitted via Grants.Gov. Before using

Grants.gov for the first time, each organization must register with the Web site to create an institutional profile.

##### **Award Procedure:**

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. The Endowment's staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman on grants. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will be notified by mail within six months after the submission of the application.

##### **Appeals:**

Applicant may request written reasons for rejection and reapply with revised proposal to a subsequent application deadline.

##### **Renewals:**

Renewal grants are processed and awarded in competition with and in the same manner as new applications.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Typically 6 to 24 months. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

Program reports are not applicable. A Federal Cash Transactions Report will be due within 30 days of the end of each calendar quarter. A final Financial Status Report will be due within 90 days after the completion date of the award period. Final performance reports will be required. Expenditure reports are not applicable. No performance monitoring is required.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by NEH and other Federal officials.

##### **Records:**

Documentation of expenditures and other fiscal records must be retained for 3 years following the submission of the final expenditure report.

##### **Account Identification:**

59-0200-0-1-503.

##### **Obligations:**

(Project Grants) FY 11 \$4,334,509; FY 12 est \$4,143,000; and FY 13 est \$4,250,000 - FY 11 obligations include additional funding provided by We the People. See 45.168 PROMOTION OF THE HUMANITIES-WE THE PEOPLE.

##### **Range and Average of Financial Assistance:**

FY 09 from \$5000 to \$250000.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 309 applications were received and 66 grants awarded. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1100 and 1105. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402, is the Endowment's official publication, "Humanities" by subscription (6 issues annually, \$24.00 domestic, \$33.60 foreign).

**Regional or Local Office:**

None.

**Headquarters Office:**

National Endowment for the Humanities, Office of Digital Humanities 1100 Pennsylvania Avenue, NW Room 402, Washington, District of Columbia 20506 Email: odh@neh.gov Phone: 202-606-8400

**Website Address:**

<http://www.neh.gov>.

**RELATED PROGRAMS:**

45.149 Promotion of the Humanities\_Division of Preservation and Access

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Past recipients of Office of Digital Humanities grant awards may be found in the NEHs Funded Projects Query Form, found at: <https://securegrants.neh.gov/publicquery/main.aspx>. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria used to determine funding priorities include the (1) intellectual significance of the long-term project, including its potential to enhance research, teaching, and learning in the humanities; the likelihood that it will stimulate new research or approaches to the humanities or use new digital technologies to communicate humanities scholarship to broad audiences; its relationship to larger themes in the humanities; and the significance of the material on which the project is based; (2) the appropriateness of the proposed methods; the appropriateness of the technology employed in the project; the feasibility of the work plan; (3) qualifications, expertise, and levels of commitment of the project director and key project staff or contributors; (4) promise of quality, usefulness to the targeted audience, and/or impact on scholarship of the long-term project; soundness of the dissemination plans, including benefit to the audience identified in the proposal and the strength of the case for employing print, microform, digital format, or a combination of media; (5) quality of the assessment and evaluation of the activities, and the potential contribution of this evaluation to the realization of the long-term goals; and (6) potential for success, including the likelihood that the work proposed will be completed within the projected time frame; where appropriate, the project's previous record of success; and the reasonableness of the proposed budget in relation to anticipated results.

## NATIONAL LABOR RELATIONS BOARD

### 46.001 LABOR-MANAGEMENT RELATIONS

(NLRB)

**FEDERAL AGENCY:**

National Labor Relations Board

**AUTHORIZATION:**

Labor-Management Relations Act of 1947, as amended, Public Law 86-257, 29 U.S.C. 141 et seq.; Public Law 91-375, 39 U.S.C. 1201-1209; Public Law 93-95, 29 U.S.C. 186; Public Law 93-360, 29 U.S.C. 152, 158, 168, 169, 171, 183; Public Law 96-245, 29 U.S.C. 161 (4); Public Law 96-593; Public Law 97-375, 29 U.S.C. 153(c).

**OBJECTIVES:**

To avoid or substantially minimize industrial strife affecting interstate commerce by providing orderly and peaceful procedures to protect the rights of employers, employees, labor organizations, and the general public, and to prevent unlawful interference with these rights.

**TYPES OF ASSISTANCE:**

INVESTIGATION OF COMPLAINTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

(1) Determines and implements, through secret-ballot elections, the free

democratic choice by employees as to whether they wish to be represented by a union in dealing with their employer and, if so, by which union; and (2) prevents and remedies unlawful acts, called unfair labor practices, by either employers or unions or both. NLRB may seek injunctive relief where a labor dispute results in violence, disruption of employment, or disruption of business relations, potentially in violation of the Labor Management Relations Act. The NLRB does not initiate actions or investigations on its own volition. NLRB processes start only when a covered individual, organization, or employer files an unfair labor practice charge or a petition for an election.

**Applicant Eligibility:**

Any covered employer, employee, labor organization, or other person who believes a violation of the Labor Management Relations Act has occurred, or who desires the Board to determine whether a labor organization is to be the choice of employees for purposes of representation, may receive information or assistance. The Act limits the term "employee" to exclude: agricultural laborers; domestic workers; individuals employed by spouse or parent; independent contractors; supervisors (as defined by the Act) and individuals employed by an employer subject to the Railway Labor Act or employed by any person who is not an employer as defined by the Act. The United States Government, State governments, political subdivisions of U.S. and State governments, government corporations (except the U.S. Postal Service), Federal Reserve Banks and employers subject to the Railway Labor Act are ineligible employers.

**Beneficiary Eligibility:**

The covered employer, employee, or the labor organization will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Charges of unfair labor practices and petitions for determination of representatives are the two principal forms for the purpose of initiating agency action. Such charges and petitions shall be in writing and signed, and shall be sworn to and filed with the Regional Director for the region in which the unfair labor practice allegedly has occurred or in which the proposed or actual bargaining unit exists.

**Award Procedure:**

Not applicable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Charges: If the Regional Director refuses to issue an unfair labor practice complaint, an appeal may be filed with the General Counsel in Washington, DC, within 10 days. Petitions: If the Regional Director dismisses the representation petition, an appeal may be filed with the Board in Washington, DC, within 10 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 29, Chapter 1, Part 100 - 103. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The NLRB does not award monetary assistance. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**



Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

63-0100-0-1-505.

**Obligations:**

(Salaries) FY 11 \$282; FY 12 est \$278; and FY 13 est \$293

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"The National Labor Relations Board and YOU (Unfair Labor Practices)", "The National Labor Relations Board and YOU (Representation Cases)", "Your Government Conducts an Election for You on the Job", "The National Labor Relations Board, What It Is, What It Does", "A Guide to Basic Law and Procedure Under the NLRA", NLRB Annual Reports, "Classified Index of National Labor Relations Board Decisions and Related Court Decisions."

Most documents are available through the NLRB Web site

<http://www.nlr.gov>.

Documents are available in English and Spanish and other selected languages.

To give the public and persons appearing before the NLRB a better understanding of the National Labor Relations Act and the Board policies, procedures, and services, Washington and regional office personnel participate as speakers or panel members before bar associations, labor, educational, civic, or management organizations and other groups. Requests for speakers may be made to Washington officials or to the appropriate regional director.

**Regional or Local Office:**

See Regional Agency Offices. Contact should be made directly with the appropriate regional office of the National Labor Relations Board listed in Appendix IV of the Catalog.

**Headquarters Office:**

Kym Heinzmann, 1099 14th Street NW, Washington, District of Columbia 20570 Email: [kym.heinzmann@nlrb.gov](mailto:kym.heinzmann@nlrb.gov) Phone: (202) 273-3887 Fax: (202) 273-2928.

**Website Address:**

<http://www.nlr.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## NATIONAL SCIENCE FOUNDATION

### 47.041 ENGINEERING GRANTS

(ENG)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S. C. 1861 et seq.

**OBJECTIVES:**

NSF's Directorate for Engineering (ENG) seeks to improve the quality of life and the economic strength of the Nation by fostering innovation, creativity, and excellence in engineering education and research. Specifically, ENG enables the Nation's long- term capacity to perform by: (1) Investing in the creation of

new engineering knowledge and the development of human capital within disciplines and at their interfaces; (2) making critical investments to enable an intelligent, agile and adaptable physical infrastructure for engineering education and research; (3) improving the quality and effectiveness of engineering education and research through the integration of and systemic reform of these processes; and (4) enabling knowledge transfer connections among diverse constituencies and communities. Areas of research include: tissue engineering; metabolic pathway engineering; bioinformatics; protein drug processing, fluid flow; combustion; heat transfer; fuel cells; sensors; integrated modeling of the behavior of materials and structures; civil infrastructure; structures and mechanical systems; engineering in geologic materials; reducing risks of natural and technological hazards; enterprise-level integration technologies; innovative design strategies; manufacturing processes and materials; production systems; microelectronic, nanoelectronic, micromagnetic, photonic, and electromechanical devices and their integration into circuits and microsystems; design and analysis of systems and the convergence of control, communications and computation; Engineering Research Groups; Engineering Research Centers; Industry/University Cooperative Research Centers; Engineering Education; Human Resources Development; cross cutting activities and special studies and analyses. Support is also provided for undergraduate student research, graduate research fellowships, research equipment and instrumentation, Small Business Innovation Research (SBIR), and Grant Opportunities for Academic Liaison with Industry (GOALI). ENG also provides support for Foundation-wide programs including the Faculty Early Career Development (CAREER) program and the Integrative Graduate Education and Research Training (IGERT) Program, and Small Business Technology Transfer Program (STTR).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for paying costs to conduct research, such as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs. This program does not provide support for inventions, product development, marketing, pilot plant efforts, technical assistance, or research requiring security classifications. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; for-profit organizations; State and local governments; and unaffiliated individuals. See the NSF Grant Proposal Guide, Chapter I.E. for a full description of eligibility requirements: [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

**Beneficiary Eligibility:**

NA.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, No. A-87 (2CFR Part 225) for State and local governments, and A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Reapplication coordination may be required. Environmental impact information may be required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this

program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide.  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=ggp](http://www.nsf.gov/publications/pub_summ.jsp?ods key=ggp)

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal or application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF program officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award durations of up to 5 years. Method of awarding assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Unless otherwise specified in the award, Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis

through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=aag](http://www.nsf.gov/publications/pub_summ.jsp?ods key=aag). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$763,330,000; FY 12 est \$826,170,000; and FY 13 est \$876,330,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals,  
2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan, and  
3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low \$3,000  
Range High \$20,300,000  
Average \$135,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 12,296 proposals were received, and 2,047 awards were made. Fiscal Year 2012: In Fiscal Year 2012, approximately 12,600 proposals will be received and about 2,220 awards will be made. Fiscal Year 2013: In Fiscal Year 2013, approximately 12,850 proposals will be received and 2,370 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide ([http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods key=papp)), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Darren Dutterer 4201 Wilson Blvd, Stafford I-505, Arlington, Virginia 22230  
Email: [dduttere@nsf.gov](mailto:dduttere@nsf.gov) Phone: 7032924494 Fax: 7032929013

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=eng>

**RELATED PROGRAMS:**

15.807 Earthquake Hazards Reduction Program; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>.

## CRITERIA FOR SELECTING PROPOSALS:

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts?; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## 47.049 MATHEMATICAL AND PHYSICAL SCIENCES (MPS)

### FEDERAL AGENCY:

National Science Foundation

### AUTHORIZATION:

National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.

## OBJECTIVES:

To promote the progress of the mathematical and physical sciences and thereby strengthen the Nation's scientific enterprise; to increase the store of scientific knowledge and enhance understanding of major problems confronting the Nation. Most of the research supported is basic in character. The program includes support of research project grants in the following disciplines: astronomical sciences, chemistry, materials research, mathematical sciences, physics, as well as support for symposia and conferences. Basic research in multidisciplinary areas related to these disciplines is especially encouraged. Support is also provided for state-of-the-art user facilities in astronomy, physics, and many areas of materials science; science and technology centers; institutes; undergraduate student research; faculty enhancement; curriculum development; instrumentation; laboratory improvement; and for research opportunities for women, minority, and disabled scientists and engineers.

## TYPES OF ASSISTANCE:

### PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Grant funds may be used for paying costs necessary to conduct research or studies, such as salaries and wages, permanent equipment, expendable materials and supplies, travel, participant support; publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

### Applicant Eligibility:

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; for-profit organizations; State and local governments; and unaffiliated individuals. See the NSF Grant Proposal Guide, Chapter I.E. for a full description of eligibility requirements: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

### Beneficiary Eligibility:

Not applicable.

### Credentials/Documentation:

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, No. A-87 (2 CFR Part 225) for State and local governments, and A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination may be required. Environmental impact information may be required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide; <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

### Award Procedure:

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with

the advice of scientist, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal or application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window.

Principal investigators are encouraged to discuss renewal proposals with the NSF program officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award duration of up to 5 years. Method of awarding/releasing assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Progress Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide:

<http://www.nsf.gov/publications/pubsumm.jsp?odskey=aag>. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$1,312,422,000; FY 12 est \$1,308,940,000; and FY 13 est \$1,345,180,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals;

2) FY 2012 Obligation estimates are the FY 2012 Current Plan; and

3) FY 2013 Obligation estimates are from the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low \$2,500

Range High \$21,180,000

Average \$145,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 8,798 proposals were received, and 2,355 awards were made. Fiscal Year 2012: In Fiscal Year 2012, approximately 9,000 proposals will be received and about 2,355 awards will be made. Fiscal Year 2013: In Fiscal Year 2013, approximately 9,200 proposals will be received, and 2,375 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposals and Award Policies and Procedures Guide (<http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp>), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Dean Evasius 4201 Wilson Blvd., Stafford I-1005, Arlington, Virginia 22230  
Email: [devasius@nsf.gov](mailto:devasius@nsf.gov) Phone: 7032928132 Fax: 7032929151

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=mps>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts?; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens—women and men, underrepresented minorities, and persons with disabilities—is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

#### **47.050 GEOSCIENCES**

(GEO)

##### **FEDERAL AGENCY:**

National Science Foundation

##### **AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.

##### **OBJECTIVES:**

To strengthen and enhance the national scientific enterprise through the expansion of fundamental knowledge and increased understanding of the integrated Earth system through the support of basic research in the atmospheric, earth and ocean sciences. Major objectives include the discovery of new knowledge of the atmosphere from the sun to the Earth's surface over the entire spectrum of physical and chemical phenomena; a better understanding of the physical, chemical, and biological character of the Earth and the processes that govern its evolution; and increased insight into the world's oceans, their composition, structure, behavior, and tectonics. Support is also provided for science and technology centers, undergraduate Student research, facility enhancement, instrumentation, and laboratory equipment; and for research opportunities for women, minority, and disabled scientists and engineers.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment and supplies,

computer services, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

##### **Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated individuals. See the Grant Proposal Guide, Chapter I.E., for a full description of eligibility requirements.

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

##### **Beneficiary Eligibility:**

Not applicable.

##### **Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, No. A-87 (2 CFR Part 225) for State and local governments, and A-122 (2 CFR part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact information may be required for this program. This program is eligible for coverage under E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg)

##### **Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators, and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

##### **Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal or application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF program officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award duration up to 5 years. Method of awarding assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Report should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=aag>. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$885,319,000; FY 12 est \$885,270,000; and FY 13 est \$906,440,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals; 2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan; and 3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low	\$5,000
Range High	\$29,512,000
Average	\$183,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 4,512 proposals were received, and 1,413 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 5,100 proposals will be received and about 1,500 awards will be made. Fiscal Year 2013: In Fiscal Year 2013, approximately 5,100 proposals will be received, and 1,500 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide (<http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp>), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Melissa Lane 4201 Wilson Blvd., Stafford I-705, Arlington, Virginia 22230  
Email: [mlane@nsf.gov](mailto:mlane@nsf.gov) Phone: 7032928500 Fax: 7032929042

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=geo>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.430 Undersea Research; 47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11)

Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens—women and men, underrepresented minorities, and persons with disabilities—is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

#### **47.070 COMPUTER AND INFORMATION SCIENCE AND ENGINEERING**

(CISE)

##### **FEDERAL AGENCY:**

National Science Foundation

##### **AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.

##### **OBJECTIVES:**

To support investigator-initiated research in all areas of computer science and engineering and related fields and contribute to the education and training of future generations of computing professionals, ensuring a supply of qualified technical personnel commensurate with national needs.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Grant funds may be used to pay costs of conducting research, and obtaining access to advanced computing and networking capabilities, salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

##### **Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; For-profit organizations; State and Local Governments; and unaffiliated individuals. See the NSF Grant Proposal Guide, Chapter I.E., for a full description of eligibility requirements: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

##### **Beneficiary Eligibility:**

Not applicable.

##### **Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, No. A-87 (2 CFR Part 225) for State and local governments, and A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact

information may be required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and, in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. [www.nsf.gov/publications/pubsumm.jsp?odskey=gpg](http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg).

##### **Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

##### **Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal or application.

##### **Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF program officer prior to submission.

##### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Award durations of up to 5 years. Method of awarding assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

##### **Reports:**

No program reports are required. No cash reports are required. Unless otherwise specified in the award, Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project

Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained the Award and Administration Guide: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=aag>. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$636,065,000; FY 12 est \$653,590,000; and FY 13 est \$709,720,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals; 2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan; and 3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low	\$2,500
Range High	\$15,780,000
Average	\$164,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 5,996 proposals were received, and 1,378 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 6,500 proposals are expected to be received and about 1,420 awards made. Fiscal Year 2013: In Fiscal Year 2013, approximately 7,000 proposals are expected to be received, and 1,540 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide (<http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp>), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Carmen Whitson 4201 Wilson Blvd., Stafford I - Suite 1105, Arlington, Virginia 22230 Email: [cwhitson@nsf.gov](mailto:cwhitson@nsf.gov) Phone: 7032928900 Fax: 7032929074

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=cise>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2013: Award

search available on the NSF website: <http://www.nsf.gov/awardsearch/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.); (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

Integration of Research and Education One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.074 BIOLOGICAL SCIENCES**

(BIO)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**



National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To promote the progress of the biological sciences and thereby strengthen the Nation's scientific enterprise; to increase scientific knowledge and enhance understanding of major problems confronting the Nation. Most of the research supported is basic in character. The program includes support of research project grants in the following disciplines: molecular and cellular biosciences, integrative organismal biology; environmental biology; biological infrastructure; and plant genome research. Support is also provided for the purchase of multi-user scientific equipment and instrument development, and for research workshops, symposia, and conferences. In addition, awards are made to improve the quality of doctoral dissertations in environmental biology and integrative organismal biology; for postdoctoral fellowships in biological informatics and postdoctoral fellowships to minority scientists in all areas of research supported by the biological sciences.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment, expendable materials and supplies, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated individuals. See the NSF Grant Proposal Guide, Chapter I.E., for a full description of eligibility requirements:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, No. A-87 (2 CFR Part 225) for State and local governments, and A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact information may be required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg)

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether the proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award durations of up to 5 years. Method of awarding assistance Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FRR). Information about reporting requirements is contained in the Award and Administration Guide:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=aag](http://www.nsf.gov/publications/pub_summ.jsp?ods key=aag). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$712,270,000; FY 12 est \$712,380,000; and FY 13 est \$733,860,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals; 2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan; and 3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low	\$4,000
Range High	\$27,534,000
Average	\$180,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 7,440 proposals were received, and 1,311 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 7,640 proposals are expected to be received, and about 1,350 awards will be made. Fiscal Year 2013: In Fiscal Year 2013, approximately 8,000 proposals are expected to be received, and about 1,440 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide ([http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Joanne G. Rodewald 4201 Wilson Blvd, Stafford I - Suite 605, Arlington, Virginia 22230 Email: [jrodewal@nsf.gov](mailto:jrodewal@nsf.gov) Phone: 7032927912 Fax: 7032929154

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=bio>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts?; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens - women and men, underrepresented minorities, and persons with disabilities - is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.075 SOCIAL, BEHAVIORAL, AND ECONOMIC SCIENCES (SBE)****FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S.C 1861 et seq.

**OBJECTIVES:**

To contribute to the scientific strength and welfare of the Nation through the promotion of basic research and education in the social, behavioral and economic sciences and through monitoring and understanding the resources invested in science and engineering in the United States. Supported activities include research and education in the following disciplines: Anthropological and geographic sciences; cognitive, psychological and language sciences; economics, decision risk and management sciences; sociology, political sciences; innovation and organizational change, measurement methods and statistics, law and social science and society. Other SBE grants build infrastructure, and develop methods, support science and technology centers, including climate change and science of learning centers, and fund research workshops, symposia, and conferences. Educational activities include awards to improve the quality of doctoral dissertations in the behavioral and

social sciences; grants for graduate traineeships and postdoctoral fellowships; and grants to promote K-12 education in the SBE sciences. Support is also provided for junior faculty and mid-career development opportunities, undergraduate student research, and for research opportunities for women, minorities, and the differentially abled. The Directorate also funds science studies; studies of scientists and engineers, R&D funding and expenditures, and educational attainment in science, mathematics and engineering.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Programs in social, behavioral and economic sciences and in science resources statistics provide funds that may be used for paying costs necessary to conduct research or studies, such as salaries and wages, equipment and supplies, travel, publication costs, and other direct and indirect costs. Primary responsibility for the supervision of grant activities rests with the grantee institution; the project director or principal investigator is responsible for the execution of the research activities, as well as for submitting progress and final reports on research activities. Grants are made on a competitive basis. Funds must be used for purposes specified in the proposal.

**Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated individuals. See the NSF Grant Proposal Guide, Chapter I.E., for a full description of eligibility requirements: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, No. A-87 (2 CFR Part 225) for State and local governments, and A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact information may be required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide. <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators, and other appropriate persons who are specialists in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. This time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award duration of up to 5 years. Method of awarding assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide:

<http://www.nsf.gov/publications/pubsumm.jsp?odskey=aag>. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$247,326,000; FY 12 est \$254,250,000; and FY 13 est \$259,550,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations

Actuals;

- 2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan; and
- 3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low	\$3,000
Range High	\$18,000,000
Average	\$83,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 5,111 proposals were received, and 997 awards made. Fiscal Year 2012: In Fiscal Year 2012, approximately 5,300 proposals will be received, and about 1,190 awards will be made. Fiscal Year 2013: In Fiscal Year 2013, approximately 5,500 proposals are expected to be received, and 1,220 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide (<http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp>); which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah Livingston 4201 Wilson Blvd, Stafford I - Ste. 905, Arlington, Virginia 22230 Email: [dlivings@nsf.gov](mailto:dlivings@nsf.gov) Phone: 7032928700 Fax: 7032929083

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=sbe>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which

the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.); (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. **Integrating Diversity into NSF Programs, Projects, and Activities** Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.076 EDUCATION AND HUMAN RESOURCES (EHR)**

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S.C 1861 et seq.

**OBJECTIVES:**

To provide leadership and ensure the vitality of the Nation's science, technology, engineering and mathematics (STEM) education enterprise. The Education and Human Resources (EHR) component of the National Science Foundation sponsors programs that support the development of models and strategies for providing all students with access to high-quality STEM education. The portfolio of EHR programs in STEM education is comprised of efforts spanning pre-K to 12 (with special emphasis on projects that join institutions of higher education with K-12 education units), undergraduate, graduate and post-doctoral levels, as well as informal education and life-long learning. Long-term goals include: Supporting infrastructure (especially broad-based collaborative partnerships) that will enable development of high-quality educational experiences for all students; ensuring that our educational pathways yield an adequately educated and diverse corps of individuals for both the highly technical workplace and the professional STEM community; developing a cadre of professionally educated and well-trained teachers and faculty; and providing the research necessary to inform educational practice. The strength of EHR programming resides in its ability to integrate research and education, combining the expertise of the research and education communities. Its programs include support for STEM workforce development; educational materials, including use of learning technologies, effective in increasing student achievement; research on learning and teaching that informs education practice; strategies for developing deep content knowledge and teaching skills for K-12 teachers; and informal science education. EHR programs are subject to continuous improvements based on

program reviews, evaluation, dissemination of best practices, and educational research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs necessary to conduct research, educational activities or studies, including salaries and expenses, permanent equipment, expendable materials and supplies, travel, publication costs, and other direct and indirect costs. Some programs provide funds for undergraduate scholarships managed by the awardee institution. Primary responsibility for general supervision of all grant activities rests with the grantee institution. Funds may not be used for purposes other than those specified in the award. Graduate fellowships provide for stipends and allowances to be paid to the awardee through his/her institution; a fixed cost-of-education allowance is paid directly to the institution.

**Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated individuals. See the NSF Grant Proposal Guide Chapter I.E. for a full description of eligibility requirements:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular No. A-21 (2 CFR part 220) for colleges and educational institutions, No. A-87 (2 CFR Part 225) for State and local governments, and No. A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact information may be required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientists, engineers, educators and other appropriate persons who are specialists in the fields covered by the proposals. External reviewers, who are conversant with the fields covered by the applications, review and evaluate all graduate fellowship applications. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that reconsider its action in declining or returning any proposal or application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Award durations of up to 5 years. Method of awarding assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Unless otherwise specified in the award, Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=aag](http://www.nsf.gov/publications/pub_summ.jsp?ods key=aag). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements apply to fellowships.

**Account Identification:**

49-0106-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$861,036,000; FY 12 est \$829,000,000; and FY 13 est \$875,610,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals;

- 2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan; and  
3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low \$1,000  
Range High \$16,509,000  
Average \$260,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide: ([http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=papp](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp)), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Amanda Edelman 4201 Wilson Blvd., Stafford I - Ste 805, Arlington, Virginia 22230 Email: [aedelman@nsf.gov](mailto:aedelman@nsf.gov) Phone: 7032927306 Fax: 7032929179

**Website Address:**

<http://www.nsf.gov/dir/index.jsp?org=ehr>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research ; 84.120 Minority Science and Engineering Improvement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer

(individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.); (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?, and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.078 POLAR PROGRAMS**

(OPP)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To strengthen and enhance the national scientific enterprise through the expansion of fundamental knowledge and increased understanding of the polar regions. To encourage and support basic research in the Arctic and Antarctic focused on the solid earth, glacial and sea ice, terrestrial ecosystems, the oceans, the atmosphere and beyond. Major objectives include understanding of the natural phenomena and processes in the Antarctic and Arctic regions and their role in global systems. To provide postdoctoral fellowships for the development and training of new investigators in polar regions research with goals to support innovative research in emerging areas, encourage interdisciplinary research, foster activities that create broader impacts for science and society, and to increase the participation of underrepresented groups. Support is also provided for science and technology centers, undergraduate student research, facility enhancement, instrumentation, laboratory equipment; and for research opportunities for women, minority, and disabled scientists and engineers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for paying costs necessary to conduct research or studies such as salaries and wages, permanent equipment and supplies, computer services, travel, publication costs, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility

criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated individuals. See the NSF Grant Proposal Guide Chapter I.E. for a full description of eligibility requirements: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular No. A-21 (2 CFR Part 220) for educational institutions, No. A-87 (2 CFR Part 225) for State and local governments, and A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact information may be required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific reviews criteria. In most cases review are undertaken with the advice of scientist, engineers, educators and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or

consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award duration of up to 5 years. Method of awarding assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide:

<http://www.nsf.gov/publications/pubsumm.jsp?odskey=agg>. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0551-0-1-251; 49-0100-0-1-251; 49-0100-0-1-054.

**Obligations:**

(Project Grants) FY 11 \$440,699,000; FY 12 est \$435,870,000; and FY 13 est \$449,740,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals;

2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan; and

3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low	\$1,000
Range High	\$41,400,000
Average	\$313,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 680 proposals were received, and 297 awards were made. Fiscal Year 2012: In Fiscal Year 2012, approximately 674 proposals will be received, and about 288 awards will be made. Fiscal Year 2013: In Fiscal Year 2013, approximately 786 proposals are expected to be received, and 336 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide (<http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp>), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Winifred Reuning 4201 Wilson Blvd, Stafford I - Ste 740, Arlington, Virginia  
22230 Email: wreuning@nsf.gov Phone: 7032928033 Fax: 7032929079

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=opp>

**RELATED PROGRAMS:**

11.417 Sea Grant Support; 11.430 Undersea Research; 47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website:

<http://www.nsf.gov/awardsearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

Integration of Research and Education One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens—women and men, underrepresented minorities, and persons with disabilities—is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.079 INTERNATIONAL SCIENCE AND ENGINEERING (OISE)**

(International)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To enable the U.S. research community to maintain its excellence in science, engineering, and leadership within the global scientific community by strengthening international partnerships that foster the advancement of scientific discovery and thereby contribute to the continued scientific strength and welfare of the Nation; to promote research excellence through international collaboration; to develop a diverse, globally engaged U.S. science and engineering workforce by providing U.S. students and junior faculty with international research and education experience. The research supported is basic in character. The program includes support of international research and education projects that are innovative and catalytic. OISE programs are designed to complement and enhance the Foundation's research and education portfolio and to overcome barriers involved in international collaboration. Grants are made in all the disciplinary fields supported by NSF. Support is provided for international collaborative research; research workshops and planning visits; activities that will develop the next generation of U.S. scientists and engineers such as graduate traineeships, postdoctoral fellowships, special opportunities for junior faculty for research support, and dissertation enhancements; and for U.S. Government support to key multilateral organizations to enable U.S. scientists to participate in such global efforts. Support is also provided for undergraduate student international research and education experiences, and for research opportunities for women, minorities, and disabled scientists and engineers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

International cooperative scientific activities provide funds for U.S. scientists and engineers to carry out studies abroad, to conduct research, to engage in joint research projects with foreign counterpart organizations, and to support international workshops focused on well-defined scientific opportunities in the United States and abroad; travel must be on U.S. flag carriers. In some programs, support is provided by paying costs necessary to conduct research, such as salaries, equipment, supplies, travel, publications, and other direct and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution; the project director or principal investigator is responsible for the execution of the research activities. Grants are made on a competitive basis. For all programs, funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated individuals. See the NSF Grant Proposal Guide Chapter I.E. for a full description of eligibility requirements: <http://www.nsf.gov/publications/pub>



summ.jsp?ods key=gpg.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, No. A-87 (2 CFR Part 225) for State and local governments, and A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact information may be required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov of a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide:  
[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=gpg](http://www.nsf.gov/publications/pub_summ.jsp?ods key=gpg).

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The interval ends when the Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award durations of up to 5 years. Method of awarding assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=aag](http://www.nsf.gov/publications/pub_summ.jsp?ods key=aag). No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$49,030,000; FY 12 est \$49,850,000; and FY 13 est \$51,280,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals.

2) FY 2012 Obligation estimates are the FY 2012 NSF Current Plan.

3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low	\$700
Range High	\$2,300,000
Average	\$30,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 1,215 proposals were received, and 405 awards were made. Fiscal Year 2012: In Fiscal Year 2012, approximately 1,235 proposals will be received and about 410 awards will be made. Fiscal Year 2013: In Fiscal Year 2013, approximately 1,270 proposals will be received and about 425 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide:

(<http://www.nsf.gov/publications/pubsumm.jsp?ods key=papp>), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

David Stonner 4201 Wilson Blvd., Stafford II, Ste 1155, Arlington, Virginia 22230 Email: [dstonner@nsf.gov](mailto:dstonner@nsf.gov) Phone: 7032928710 Fax: 7032929067

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=oise>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences;

47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.080 Office of Cyberinfrastructure; 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements.

All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF

is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

**47.080 OFFICE OF CYBERINFRASTRUCTURE**

(OCI)

**FEDERAL AGENCY:**

National Science Foundation

**AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.

**OBJECTIVES:**

To coordinate and support the acquisition, development and provision of state-of-the-art cyberinfrastructure resources, tools and services essential to the conduct of frontier 21st century science and engineering research and education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to pay costs of conducting research, product development, resources, tools and services, as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs. Primary responsibility for general supervision of all grant activities rests with the grantee institution: the principal investigator is responsible for the scientific work. Funds may not be used for purposes other than those specified in the proposal.

**Applicant Eligibility:**

Except where a program solicitation establishes more restrictive eligibility criteria, individuals and organizations in the following categories may submit proposals: Universities and colleges; Non-profit, non-academic organizations; For-profit organizations; State and local governments; and unaffiliated individuals. See the NSF Grant Proposal Guide Chapter I.E. for a full description of eligibility requirements: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, A-87 (2 CFR Part 225) for State and local governments, and A-122 (2 CFR Part 230) for nonprofit organizations. Applicants for fellowship support must show evidence of ability such as academic records, letters of recommendation, graduate record examination scores, and grade point average. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact information may be required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via [FastLane.gov](http://FastLane.gov) or Grants.gov or a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=gpg>.

**Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable,

solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later. The interval ends when the Division Director accepts the Program Officer's recommendation.

**Appeals:**

The principal Investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award durations of up to 5 years. Method of awarding assistance: Standard or continuing grant, fellowship, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. No expenditure reports are required. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide: <http://www.nsf.gov/publications/pubsumm.jsp?odskey=aag>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$300,749,000; FY 12 est \$211,640,000; and FY 13 est \$218,270,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals;  
2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan; and  
3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Rnage Low \$13,000  
Range High \$192,781,000  
Average \$544,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 706 proposals were received and 151 awarded. Fiscal Year 2012: In Fiscal Year 2012, approximately 680 proposals are expected to be received and 135 awards will be made. Fiscal Year 2013: In Fiscal Year 2013, approximately 690 proposals are expected to be received, and 145 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide: (<http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp>), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristen Oberright 4201 Wilson Blvd, Stafford I, Ste 1145, Arlington, Virginia 22230 Email: [koberrig@nsf.gov](mailto:koberrig@nsf.gov) Phone: 7032928970 Fax: 7032929060

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=oci>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.081 Office of Experimental Program to Stimulate Competitive Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website: <http://www.nsf.gov/awardsearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awardsearch>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awardsearch>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria

include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens—women and men, underrepresented minorities, and persons with disabilities—is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

#### **47.081 OFFICE OF EXPERIMENTAL PROGRAM TO STIMULATE COMPETITIVE RESEARCH**

020 (EPSCoR)

##### **FEDERAL AGENCY:**

National Science Foundation

##### **AUTHORIZATION:**

National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.

##### **OBJECTIVES:**

As an investment strategy, Co-funding enables members of the research communities within EPSCoR jurisdictions not only to improve their ability to compete for National Science Foundation (NSF) program funds, but also to increase their active participation and visibility as members of the national scientific research and education enterprise. To assist those jurisdictions that has historically received lesser amounts of academic research and development funding. The NSF EPSCoR Office established the Co-funding Initiative in FY 1998 to accelerate the movement of more researchers and institutions from EPSCoR jurisdictions into the mainstream of NSF support, and thereby contribute to the NSF EPSCoR concept of a Trajectory for Sustainable Scientific Success.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds may be used to pay the costs of conducting research, product development, resources, tools and services, as salaries and wages, equipment and supplies, travel, publication costs, other direct costs, and indirect costs. Primary responsibility for general supervision of all grant activities rests with

the grantee institution. Funds may be used for purposes other than those specified in the proposal.

##### **Applicant Eligibility:**

EPSCoR eligibility is based on two primary considerations: (1) a jurisdiction's demonstrated commitment to develop its research bases and to improve the quality of science, technology, engineering, and mathematics (STEM) research conducted at its universities and colleges, and (2) a jurisdiction's most recent three-year history of research funds awarded by NSF relative to the Foundation's total research budget for the same period.

Regarding the second consideration, a jurisdiction is eligible to participate in EPSCoR programs if its level of research support is equal to or less than 0.75 percent of the total NSF research budget for that same period. Adjustments are made in the rare instances where a single large NSF-funded national or international facility skews the data.

##### **Beneficiary Eligibility:**

Not applicable.

##### **Credentials/Documentation:**

Proposals must be signed electronically by an official authorized to commit the institution or organization in business and financial affairs and who can commit the organization to certain proposal certifications. Costs will be determined in accordance with OMB Circular Nos. A-21 (2 CFR Part 220) for educational institutions, A-87 (2 CFR Part 225) for State and local government, and A-122 (2 CFR Part 230) for nonprofit organizations. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Preapplication coordination may be required. Environmental impact information may be required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By electronic submission via FastLane or Grants.gov or a formal proposal, and in some programs, a preliminary proposal, describing the planned project and the proposed amount of the grant. For guidelines, see specific funding opportunities and the Grant Proposal Guide: [http://www.nsf.gov/publications/pub\\_summ.jsp?ods key=ggp](http://www.nsf.gov/publications/pub_summ.jsp?ods key=ggp).

##### **Award Procedure:**

NSF staff members review and evaluate all proposals based on a set of criteria established by the National Science Board and, if applicable, solicitation-specific review criteria. In most cases reviews are undertaken with the advice of scientist, engineers, educators and other appropriate persons who are specialist in the fields covered by the proposals. NSF makes awards on a competitive basis. Notification of an award is transmitted electronically to the submitting organization by a NSF Grants and Agreements Officer in the Division of Grants and Agreements.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

After scientific, technical and programmatic review and consideration of appropriate factors, the NSF Program Officer recommends to the cognizant Division Director whether the proposal should be declined or recommended for award. NSF is striving to be able to tell applicants whether their proposals have been declined or recommended for funding within six months. The time interval begins on the deadline or target date, or receipt date, whichever is later.

The time interval ends when the Division Director accepts the Program Officer's recommendation.

##### **Appeals:**

The principal investigator may request, in writing, within 90 days of a declination or return, that NSF reconsider its action in declining or returning any proposal application.

**Renewals:**

A renewal proposal competes with all other proposals and must be developed fully as though the proposer is applying for the first time. Renewal proposals must be submitted at least six months before additional funding is required or consistent with an established deadline, target date or submission window. Principal investigators are encouraged to discuss renewal proposals with the NSF Program Officer prior to submission.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Mandatory cost sharing will only be required for NSF programs when explicitly authorized by the NSF Director, the National Science Board, or legislation. In those rare instances, cost sharing requirements will be clearly identified in the program solicitation. Inclusion of voluntary, committed cost sharing is prohibited. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award durations of up to 5 years. Method of awarding assistance: Standard or continuing grant, or cooperative agreement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual Project Reports should be submitted at least 90 days prior to the end of the current budget period. Within 90 days following the expiration of the award, a Final Project Report and a Project Outcomes Report for the General Public must be submitted. Grantees are required to report the status of funds received from NSF on a quarterly basis through the submission of a Federal Financial Report (FFR). Information about reporting requirements is contained in the Award and Administration Guide:

<http://www.nsf.gov/publications/pubsumm.jsp?odskey=aag>. Expenditure reports are required at the end of the project. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records, supporting documents, statistical records, and other records pertinent to a grant must be retained by the grantee for a period of 3 years from submission of the Final Project Report. Special record keeping requirements may apply to fellowships.

**Account Identification:**

49-0100-0-1-251.

**Obligations:**

(Project Grants) FY 11 \$146,820,000; FY 12 est \$150,900,000; and FY 13 est \$158,190,000 - 1) FY 2011 Obligations are the FY 2011 Appropriations Actuals;

2) FY 2012 Obligations estimates are the FY 2012 NSF Current Plan; and

3) FY 2013 Obligations estimates are the FY 2013 NSF Congressional Request.

**Range and Average of Financial Assistance:**

Range Low	\$100,000
Range High	\$20,000,000
Average	\$1,640,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

NSF Website: [www.nsf.gov](http://www.nsf.gov); 48 CFR Chapter 25; 45 CFR Chapter VI; Proposal and Award Policies and Procedures Guide: (<http://www.nsf.gov/publications/pubsumm.jsp?odskey=papp>), which incorporates the Grant Proposal Guide (GPG) and Award & Administration Guide (AAG).

**Regional or Local Office:**

None.

**Headquarters Office:**

Simona Gilbert 4201 Wilson Blvd., Stafford I, Ste 935, Arlington, Virginia 22230 Email: [sgilbert@nsf.gov](mailto:sgilbert@nsf.gov) Phone: 7032927216 Fax: 7032929040

**Website Address:**

<http://nsf.gov/dir/index.jsp?org=oa>

**RELATED PROGRAMS:**

47.041 Engineering Grants; 47.049 Mathematical and Physical Sciences; 47.050 Geosciences; 47.070 Computer and Information Science and Engineering; 47.074 Biological Sciences; 47.075 Social, Behavioral, and Economic Sciences; 47.076 Education and Human Resources; 47.078 Polar Programs; 47.079 International Science and Engineering (OISE); 47.080 Office of Cyberinfrastructure

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Award search available on the NSF website:

<http://www.nsf.gov/awaresearch/>. Fiscal Year 2012: Award search available on the NSF website: <http://www.nsf.gov/awaresearch/>. Fiscal Year 2013: Award search available on the NSF website: <http://www.nsf.gov/awaresearch/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals received by NSF are assigned to the appropriate NSF program where they will be reviewed if they meet NSF proposals preparation requirements. All proposals are carefully reviewed by a scientist, engineer, or educator serving as an NSF Program Officer, and usually by three to ten other persons outside NSF who are experts in the particular fields represented by the proposal. These reviewers are selected by Program Officers charged with the oversight of the review process. Proposers are invited to suggest names of persons they believe are especially well qualified to review the proposal and/or persons they would prefer not review the proposal. These suggestions may serve as one source in the reviewer selection process at the Program Officers discretion. Submission of such names, however, is optional. Care is taken to ensure that reviewers have no conflicts of interest with the proposal.

All NSF proposals are evaluated through use of the two National Science Board (NSB)-approved merit review criteria: intellectual merit and the broader impacts of the proposed effort. In some instances, however, NSF will employ additional criteria as required to highlight the specific objectives of certain programs and activities.

The two NSB-approved merit review criteria are listed below. The criteria include considerations that help define them. These considerations are suggestions and not all will apply to any given proposal. While proposers must address both merit review criteria, reviewers will be asked to address only those considerations that are relevant to the proposals being considered and for which the reviewer is qualified to make judgments. Relevant questions are: (1) What is the intellectual merit of the proposed activity?; (2) How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields?; (3) How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of the prior work.); (4) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts; (5) How well conceived and organized is the proposed activity?; (6) Is the sufficient access to resources?; (7) What are the broader impacts of the proposed activity?; (8) How well does the activity advance discovery and understanding while promoting teaching, training, and learning?; (9) How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)?; (10) To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships?; (11) Will the results be disseminated broadly to enhance scientific and technological understanding?; and (12) What may be the benefits of the proposed activity to

society?

NSF staff will give careful consideration to the following in making funding decisions:

**Integration of Research and Education** One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects, and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives. Integrating Diversity into NSF Programs, Projects, and Activities Broadening opportunities and enabling the participation of all citizens women and men, underrepresented minorities, and persons with disabilities is essential to health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

## RAILROAD RETIREMENT BOARD

### 57.001 SOCIAL INSURANCE FOR RAILROAD WORKERS

#### FEDERAL AGENCY:

Railroad Retirement Board

#### AUTHORIZATION:

Railroad Retirement Act of 1974, Public Law 93-445, 88 Stat. 1305, 45 U.S.C 231; Railroad Unemployment Insurance Act, Public Law 75-722, 52 Stat. 1094, 45 U.S.C 351; American Recovery and Reinvestment Act of 2009, Title II, Part A, Section 2006, Public Law 111-005, 45 U.S.C 352; Social Security Act of 1935, Public Law 74-271, 49 Stat. 620, 42 U.S.C 7; Worker, Homeownership, and Business Assistance Act of 2009, Public Law 111-92, 45 U.S.C 352; Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act of 2010, Public Law 111-312, 45 U.S.C 352; Middle Class Tax Relief and Job Creation Act of 2012, Public Law 112-96, 45 U.S.C 352; Temporary Payroll Tax Cut Continuation Act of 2011, Public Law 112-78, 45 U.S.C 352.

#### OBJECTIVES:

To pay rail social security level benefits (tier I), benefits based on rail service alone (tier II), vested dual benefits, supplemental annuities, annuities based on total or occupational disability, and sickness and unemployment benefits to railroad workers and, in some cases, their families to assist with expenses of daily living.

#### TYPES OF ASSISTANCE:

DIRECT PAYMENTS WITH UNRESTRICTED USE

#### USES AND USE RESTRICTIONS:

Under the provisions of the Railroad Retirement Act and the Railroad Unemployment Insurance Act, benefits are provided for: (1) workers who retire because of age or disability, including supplemental annuities for career railroad employees; (2) eligible spouses and divorced spouses of retired employees; (3) surviving widows, widowers, divorced spouses, children, and dependent parents of deceased employees; (4) unemployed workers; and (5) workers who are sick or injured. In addition, the Railroad Retirement Board participates in the administration of the Medicare program, which covers railroad retirement beneficiaries on the same basis as other eligible persons. The American Recovery and Reinvestment Act also authorized extended unemployment benefits for certain individuals through December 31, 2009, and the Worker, Homeownership, and Business Assistance Act continued the authorization through December 31, 2010. The Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act continued the authorization through December 31, 2011. The Temporary Payroll Tax Cut Continuation Act of 2011 continued this authorization through February 29, 2012, and the Middle Class Tax Relief and Job Creation Act of 2012 continued it through December 31, 2012.

#### Applicant Eligibility:

Under the Railroad Retirement Act, for employee, spouse and survivor benefits the employee must have had 10 or more years of railroad service or, for annuities beginning January 2002 or later, 5 years of railroad service rendered

after 1995. For survivors to be eligible for benefits, the employee must also have been insured at death. Under the Railroad Unemployment Insurance Act, an employee must have earned at least \$3,325.00 in calendar years 2010 and 2011 (counting no more than \$1,330 per month) or \$3,412.50 in 2012 (counting no more than \$1,365 per month) and, if a new employee, must have worked for a railroad at least 5 months in a calendar (base) year to be a qualified employee in the applicable benefit year.

#### Beneficiary Eligibility:

Individuals, families, pension recipients.

#### Credentials/Documentation:

Proof of age must be provided for retirement benefits. For spouse and survivor benefits, proof of marriage and familial relationship is required. Medical evidence is necessary for disability and sickness benefits. Registration is required in order to receive unemployment benefits. Other proofs, such as military service, must also be submitted as required by law. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for retirement, disability, survivor, unemployment or sickness benefits should be made to any office of the Railroad Retirement Board. Individuals can call (1-877) 772-5772 for the location of the nearest office. Application for unemployment benefits can also be made on-line see [www.rrb.gov](http://www.rrb.gov).

#### Award Procedure:

The Office of Programs makes awards under the Railroad Retirement Act and the Railroad Unemployment Insurance Act. After review of the application is completed, the applicant will be notified by mail.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

Varies depending upon complexity of claim.

#### Appeals:

From 30 to 60 days. Initial appeals are made to the agency's Reconsideration Section, with subsequent appeals to the Bureau of Hearings and Appeals, the Board and the U.S. Court of Appeals.

#### Renewals:

Not Applicable.

#### Formula and Matching Requirements:

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### Length and Time Phasing of Assistance:

Benefits are paid on a one-time or recurring basis as long as eligibility is maintained. The death of the recipient generally terminates payment of benefits. See the following for information on how assistance is awarded/released: Section 093 (ante) provides information on the award process, with payments released on a monthly, periodic or lump sum basis.

#### Reports:

Any change in address or eligibility requirements (such as the death of a recipient, work status, excess earnings, marital/family status, medical condition or school attendance) should be reported to the Railroad Retirement Board when it occurs. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### Audits:

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

60-8011-0-7-601 - Railroad Retirement Account; 60-8051-0-7-603 - Railroad Unemployment Insurance Account; 60-0111-0-1-601 - Dual Benefits Payments Account; 60-0114-0-1-603 - Railroad Unemployment Insurance Extended Benefit Payments, Recovery Act; 60-0117-0-1-603 - Railroad Unemployment Insurance Extended Benefit Payments; 60-8010-0-7-601 - Social Security Equivalent Benefit Account.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$11,061,000,000; FY 12 est \$11,468,000,000; and FY 13 est \$11,828,000,000 - less than \$1 million in 2011 is attributable to RUIA portion of the Recovery Act, with \$8 million in 2011 and \$7 million in 2012 and \$4 million in 2013 attributable to the RUIA portion of the Workforce, Homeownership and Business Assistance Act of 2009, as amended by the Tax Relief, Unemployment Insurance Reauthorization, and Job Creation Act of 2010, the Temporary Payroll Tax Cut Continuation Act of 2011, and the Middle Class Tax Relief and Job Creation Act of 2012.

**Range and Average of Financial Assistance:**

(1) Employee age annuities-monthly maximum \$4,450, average \$2,349; (2) employee disability-monthly maximum \$4,398, average \$2,328; (3) employee supplemental annuities-monthly maximum \$70, average \$42; (4) married spouse benefits-monthly maximum \$2,126, average \$887; (5) widows and widowers-monthly maximum \$4,253, average \$1,407; (6) widowed mothers and fathers-monthly maximum \$3,754, average \$1,687; (7) children-monthly maximum \$2,470, average \$979; (8) unemployment and sickness-weekly maximum for benefit year 2012 to 2013 \$330, expected average \$330.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: About 578,000 individuals received benefits under the Railroad Retirement Act and nearly 28,000 received unemployment and sickness benefits. Fiscal Year 2012: An estimated 573,000 individuals should receive benefits under the Railroad Retirement Act and 25,000 should receive unemployment and sickness benefits. Fiscal Year 2013: An estimated 570,000 individuals should receive benefits under the Railroad Retirement Act and 27,000 should receive unemployment and sickness benefits.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Benefits paid under the Railroad Retirement Act and the Railroad Unemployment Insurance Act are covered in Chapter 20 of the Code of Federal Regulations, Parts 200 through 350. Information on benefits is also available in press releases and various publications. They can be obtained free of charge at any Railroad Retirement Board office and on the agency web site ([www.rrb.gov](http://www.rrb.gov)). Information on extended unemployment benefits is also available at the Recovery Act web site ([www.recovery.gov](http://www.recovery.gov)).

**Regional or Local Office:**

See Regional Agency Offices. The Railroad Retirement Board has 53 local offices around the country. To contact or obtain the address for the nearest office, call (1-877) 772-5772.

**Headquarters Office:**

Railroad Retirement Board 844 North Rush Street, Chicago, Illinois 60611-2092 Email: [opa@rrb.gov](mailto:opa@rrb.gov) Phone: (312) 751-4777 Fax: (312) 751-7154

**Website Address:**

<http://www.rrb.gov>.

**RELATED PROGRAMS:**

17.225 Unemployment Insurance; 57.005 Economic Recovery Payments; 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 96.001 Social Security\_Disability Insurance; 96.002 Social Security\_Retirement Insurance; 96.004 Social Security\_Survivors Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**57.005 ECONOMIC RECOVERY PAYMENTS****FEDERAL AGENCY:**

Railroad Retirement Board

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5; Railroad Retirement Act of 1974, as amended, Public Law 93-445, 45 U.S.C. 231 et seq.

**OBJECTIVES:**

To make one-time payments to eligible beneficiaries of Railroad Retirement benefits, most of whom subsist on a fixed income, in order to assist with living expenses and contribute to the nations economic recovery.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

A one-time payment of \$250 will be paid to eligible recipients of benefits under the Railroad Retirement Act. There are no restrictions on the use of the payment. If an individual has a representative payee acting in a fiduciary capacity, that payee is required to use the payment for the benefit of that individual. The American Recovery and Reinvestment Act also authorized such payments for certain recipients of Social Security and Veterans benefits, but an individual may not receive more than one \$250 payment. The amount of the payment may be offset by the Department of the Treasury to collect delinquent child support and debts owed to State and Federal agencies.

**Applicant Eligibility:**

Specialized group (e.g. health professionals, students, veterans)-Income Security/Social Service/Welfare.

**Beneficiary Eligibility:**

Individual/Family,Specialized group (e.g. health professionals, students, veterans).

**Credentials/Documentation:**

In order to receive the one-time payment, an individual must have been entitled to the underlying Railroad Retirement benefit during November 2008, December 2008, or January 2009. Proof of age must be provided for retirement benefits. For spouse and survivor benefits, proof of marriage and familial relationship is required. Medical evidence is necessary for disability benefits. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. No application is necessary for the one-time payment. The Railroad Retirement Board will certify the individuals entitled to the one-time payment and provide the Department of the Treasury with the information needed for disbursement. Application for the underlying Railroad Retirement benefits can be made at any office of the Railroad Retirement Board. Individuals can call 1-877-772-5772 for the location of the nearest office.

**Award Procedure:**

The Department of the Treasury will make the payments to individuals certified as eligible by the Railroad Retirement Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Individuals who did not receive the payment because recurring benefits were suspended for a reason other than death receive payments as part of periodic catch-up processing runs.

**Appeals:**

Individuals who are eligible for a one-time payment but have not received it should contact the Railroad Retirement Board at 1-877-772-5772. In terms of eligibility determinations for the underlying Railroad Retirement benefits,

initial appeals are made to the agency's Reconsideration Section, with subsequent appeals to the Bureau of Hearings and Appeals, the Board and the U.S. Court of Appeals.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

60-0115-0-1-601 - Economic Recovery Payments.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 \$41,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Eligible Railroad Retirement beneficiaries will each receive a one-time payment of \$250.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: About 200 individuals received payments. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Code of Federal Regulations, Parts 200 through 295, covers benefits paid under the Railroad Retirement Act. Information on Railroad Retirement benefits and the one-time payment is also available in press releases, similar documents and various publications. They can be obtained free of charge at any Railroad Retirement Board office and on the agency web site ([www.rrb.gov](http://www.rrb.gov)). Information on the one-time payment is also available at the Recovery Act web site ([www.recovery.gov](http://www.recovery.gov)).

**Regional or Local Office:**

See Regional Agency Offices. The Railroad Retirement Board has 53 local offices around the country. To contact or obtain the address for the nearest office, call 1-877-772-5772.

**Headquarters Office:**

Railroad Retirement Board, 844 North Rush Street, Chicago, Illinois 60611-2092 Email: [opa@rrb.gov](mailto:opa@rrb.gov) Phone: (312) 751-4777.

**Website Address:**

<http://www.rrb.gov>

**RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**SMALL BUSINESS ADMINISTRATION**

**59.062 INTERMEDIARY LOAN PROGRAM**

ILP

**FEDERAL AGENCY:**

Small Business Administration

**AUTHORIZATION:**

Small Business Jobs Act of 2010, Title 13, Part 109, Section 1131, Public Law

111-240.

**OBJECTIVES:**

Three year pilot program in which SBA will make direct loans of up to \$1 million at an interest rate of 1 percent to up to 20 nonprofit lending intermediaries each year, subject to the availability of funds. Term of ILP loans will be for a maximum period of 20 years with deferred payments for the first two years. Intermediaries will then use the ILP loan funds to make loans of up to \$200,000 to startup, newly established, or growing small business concerns. No small business (including affiliates) may have more than \$200,000 outstanding under this program at one time.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

Loans shall be made for startup, newly established, and growing small business concerns for working capital, real estate, and the acquisition of materials, supplies, furniture, fixtures, and equipment. \$20 million was set aside for this program each in FY 2011 and FY 2012. Three year pilot program in which SBA will make direct loans of up to \$1 million at an interest rate of 1 percent of up to 20 nonprofit lending intermediaries each year, subject to the availability of funds. Term of loans will be for a maximum period of 20 years with deferred payments for the first two years. No ILP loan may be made to an eligible intermediary if the total amount of outstanding and committed to the eligible intermediary would, as a result of the loan, exceed \$1 million during the participation of the eligible intermediary in the program. Individual loans may not be made for purchase of real estate intended for resale or to be leased.

**Applicant Eligibility:**

An applicant must be a private nonprofit entity with not less than one year of experience of making loans to startups, newly established or growing small businesses. The applicant must have directly funded the loans and not simply provided referrals to loans made by another entity. If an applicant is made up of a consortium of organizations, each member of the consortium must be individually eligible. Intermediaries that currently participate in SBA's microloan program are not eligible to become ILP intermediaries. However, affiliates of microloan intermediaries may apply. Refer to Federal Register Notice Vol. 76, No. 63, dated Friday, April 1, 2011 starting on page 18007 for additional information.

**Beneficiary Eligibility:**

Not necessary.

**Credentials/Documentation:**

Generally applicants must initially submit an application which includes financial statements, certificate of good standing, resumes of individuals associated with the organization, business plan, at least one year experience of making small business loans \$50,000 to \$200,000, documentation supporting non-profit status, and plan for distributing loan funds within two years. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Refer to Federal Register Notice Vol. 76, No. 63, dated Friday, April 1, 2011 starting on page 18007.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Refer to Federal Register Notice Vol. 76, No. 63, dated Friday, April 1, 2011 starting on page 18007.

**Appeals:**



Not applicable.

**Renewals:**

Only one award of \$1 million is available to each intermediary.

**Formula and Matching Requirements:**

Statutory Formula: Title Small Business Administration, Chapter 13, Part 109, Public Law P.L. 111--240. Not applicable.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All funds must be disbursed within the first two years of award. Program is currently funded through FY 2012. See the following for information on how assistance is awarded/released: Award is provided in not less than two installments with first installment not more than \$500,000.

**Reports:**

Quarterly ILP program activity reports accompanied with bank statements. Audited financial statements. Portfolio identification reports that must be submitted within 7 days of closing of the loan. Portfolio status reports that update payments and balance information on the ILP's portfolio. Expenditure reports are not applicable. Reports for any changes to the ILP's intermediary organization or financing.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Each ILP must submit audited financial statement annually.

**Records:**

Refer to Federal Register Notice Vol. 76, No. 63, dated Friday, April 1, 2011 starting on page 18007.

**Account Identification:**

73-1154-0-1-376.

**Obligations:**

(Direct Loans) FY 10 \$0; FY 11 est \$20,000,000; and FY 12 est \$20,000,000 - Not applicable.

**Range and Average of Financial Assistance:**

\$1 million each for 20 ILP's with average of \$1 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: \$20 million is projected to be awarded in FY 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to Federal Register Notice Vol. 76, No. 63, dated Friday, April 1, 2011 starting on page 18007.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Jody Raskind 8th. Floor  
409 3rd. Street, S.W.  
, Washington, District of Columbia 20416 Email: Jody.Raskind@sba.gov  
Phone: 202-205-7076

**Website Address:**

<http://www.sba.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to Federal Register Notice Vol. 76, No. 63, dated Friday, April 1, 2011 starting on page 18007.

**DEPARTMENT OF VETERANS AFFAIRS**

**64.005 GRANTS TO STATES FOR CONSTRUCTION OF STATE HOME FACILITIES**

(State Home Construction)

**FEDERAL AGENCY:**

VA Health Administration Center, Department of Veterans Affairs

**AUTHORIZATION:**

Public Laws 88-450, 89-311, 90-432, 91-178, 93-82, 94-581, 95-62, 96-151, 96-330, 97-251, 97-295, 98-528, 99-166, 99-576, and 100-322, 38 U.S.C. 8131-8137, Public Law 111-05.

**OBJECTIVES:**

To assist States to acquire or construct State home facilities for furnishing domiciliary or nursing home care to veterans, and to expand, remodel, or alter existing buildings for furnishing domiciliary, nursing home, or hospital care to veterans in State homes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds must be used for: The construction of new domiciliary or nursing home buildings or acquisition of such facilities; the expansion, remodeling, or alteration of existing buildings for the provision of domiciliary, nursing home, or hospital care in State homes, and the provision of initial equipment for any such buildings. All new domiciliary buildings must be constructed according to nursing home care standards for convertibility. Construction cost means the amount found by the Secretary to be necessary for a construction project, including architect fees, but excluding land acquisition costs.

**Applicant Eligibility:**

Any State may apply after assuring that the assisted facility will be owned by the State; and will be used primarily for veterans.

**Beneficiary Eligibility:**

Veterans meeting VA and State admission criteria.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by Title 38, CFR Part 43, "Uniform Administrative Requirements" must be used for this program. (Standard Form 424, Application for Federal Assistance for Construction Programs, with attachments.).

**Award Procedure:**

Formal approval of the award of the assistance grant to the State is made by the Secretary of Veterans Affairs with program administered by Chief Consultant, Geriatrics and Extended Care Strategic Healthcare Group.

**Deadlines:**

Aug 15, 2009 Initial application is due by April 15 for all projects. State assurance of matching funds is due by August 15 to receive priority group one status.

**Range of Approval/Disapproval Time:**

From 30 to 60 workdays after receipt of bid tabulations, revised budget page

based on bid, and signed Memorandum of Agreement.

**Appeals:**

No application will be disapproved without the opportunity of a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Accounts are canceled five years after appropriation expires. Appropriations received in fiscal year 1994 or later do not expire. Reimbursement payments are made to the State based on Federal share of cost incurred. Method of awarding/releasing assistance: quarterly.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records should be maintained for the period established by Memorandum of Agreement (7 to 20 years depending upon the amount of the grant). If any claim or audit is started before the expiration of this time period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

**Account Identification:**

36-0181-0-1-703.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available. (Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Thomas Graves 810 Vermont Avenue, N.W.

, Washington, District of Columbia 20420 Phone: 202-461-6751

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.026 VETERANS STATE ADULT DAY HEALTH CARE**

**FEDERAL AGENCY:**

VA Health Administration Center, Department of Veterans Affairs

**AUTHORIZATION:**

Veterans Millennium Health Care and Benefits Act, Public Law 106-117.

**OBJECTIVES:**

To provide a community-based program designed to meet the needs of adults with impairments through individual plans of care. This type of structured, comprehensive, nonresidential program provides a variety of health, social, and related support services in a protective setting. By supporting families and caregivers, an adult day services program enables the person to live in the community. An adult day services program assesses the needs of the persons served and offers services to meet those needs. The persons served attend on a planned basis. Nothing in this generic description of adult day services may be construed to modify the specific services or eligibility requirements referenced in the definition of adult day care and adult day health.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Adult day health is a supervised daytime program providing skilled nursing and rehabilitative therapy services in addition to core services outlined in Public Law 106-117 Section 101. (1) Adult day health services are only appropriate for adults with medical or disabling conditions that require the intervention or services of a registered nurse or licensed rehabilitative therapist acting under the supervision of the client's physician. (2) The adult day health center must offer and provide on site the following services: (a) All core services under PL 106-117 Section 101; (b) Skilled nursing services other than routine health monitoring with nurse consultation; (c) At least one of the following skilled therapy services: physical therapy, occupational therapy, or speech-language pathology or audiology, as those services are defined under PL 106-117 Section 101 respectively; and (d) Psychological or counseling services, including assessing for psycho-social therapy need, dementia, abuse or neglect, and alcohol or drug abuse; making appropriate referrals; and providing brief, intermittent supportive counseling. (a) The following personal care services as defined in PL 106-117 Section 101, "personal care services," or its successor: (i) Ambulation; (ii) Body care; (iii) Eating; (iv) Positioning; (v) Self-medication; (vi) Transfer; (vii) Toileting; (viii) Personal hygiene at a level that ensures client safety and comfort while in attendance at the program; and (ix) Bathing at a level that ensures client safety and comfort while in attendance at the program. (b) Social services on a consultation basis, which may include: (i) Referrals to other providers for services not within the scope of Medicaid reimbursed adult day care services; (ii) Caregiver support and education; or (iii) Assistance with coping skills. (c) Routine health monitoring with consultation from a registered nurse that a consulting nurse acting within the scope of practice can provide with or without a physician's order. Examples include: (i) Obtaining baseline and routine monitoring information on a client's health status, such as vital signs, weight, and dietary needs; (ii) General health education such as providing information about nutrition, illnesses, and preventive care; (iii) Communicating changes in the client's health status to the client's caregiver; (iv) Annual and as needed updating of the client's medical record; (v) Assistance as needed with coordination of health services provided outside of the adult day care program. (d) General therapeutic activities that an unlicensed person can provide or that a licensed person can provide with or without a physician's order. These services are planned and provided as an integral part of the client's plan of care and are based on the client's abilities, interests and goals. Examples include: (i) Recreational activities; (ii) Diversionary activities; (iii) Relaxation therapy; (iv) Cognitive stimulation; (v) Group range of motion or conditioning exercises. (e) General health education that an unlicensed person can provide or that a licensed person can provide with or without a physician's order, including but not limited to topics such as: (i) Nutrition; (ii) Stress management; (iii) Disease management skills; (iv) Preventive care. (f) A nutritional meal and snacks provided each four-hour period at regular times comparable to normal meal times, including modified diet if needed and within the scope of the program, as provided under Public Law 106-117 Section 101; (g) Supervision and/or protection for clients who require supervision or protection for their safety; (h) Assistance with arranging transportation to and from the program; and (i) First aid and provisions for obtaining or providing care in an emergency.

**Applicant Eligibility:**

52.50 Eligible veterans. A veteran is an eligible veteran under this part if VA

determines that the veteran meets the definition of a veteran in 38 U.S.C. 101, is not barred from receiving this VA care under 38 U.S.C. 5303, 5303A, needs adult day health care, and is within one of the following Categories listed below: Public Law 106-117 Section 101, Adult Day Health-Eligibility. (a) Veterans with service-connected disabilities; (b) Veterans who are former prisoners of war; (c) Veterans who were discharged or released from active military service for a disability incurred or aggravated in the line of duty; (d) Veterans who receive disability compensation under 38 U.S.C. 1151; (e) Veterans whose entitlement to disability compensation is suspended because of the receipt of retired pay; (f) Veterans whose entitlement to disability compensation is suspended pursuant to 38 U.S.C. 1151, but only to the extent that such veterans continuing eligibility for adult day health care is provided for in the judgment or settlement described in 38 U.S.C. 1151; (g) Veterans who VA determines are unable to defray the expenses of necessary care as specified under 38 U.S.C. 1722(a); (h) Veterans of the Mexican Border period or of World War I; (i) Veterans solely seeking care for a disorder associated with exposure to a toxic substance or radiation or for a disorder associated with service in the Southwest Asia theater of operations during the Gulf War, as provided in 38 U.S.C. 1710(e); (j) Veterans who agree to pay to the United States the applicable co-payment determined under 38 U.S.C. 1710(f) and 1710(g), if they seek VA (Department of Veterans Affairs) hospital, nursing home, or outpatient care. (Authority: 38 U.S.C. 101, 501, 1741, 1743).

**Beneficiary Eligibility:**

A veteran eligible for care in a VA facility needing adult day health care and meeting one of the following conditions: (a) has a service-connected disability for which such care is being provided; (b) has a non-service connected disability and sates under oath his inability to defray the expenses of necessary adult day health care; (c) was discharged or related from active military, naval and air services for a disability incurred or aggravated in the line of duty; or (d) is in receipt of, or but for the receipt of retirement pay would be entitled to receive disability compensation. A veteran must also meet State admission criteria.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Letter of application from State addressed to the Chief Consultant, Geriatrics and Extended Care (114) Department of Veterans Affairs, 810 Vermont Avenue, N.W. Washington DC 20420.

**Award Procedure:**

Recognition by the Secretary of Veterans Affairs for purposes of VA aid pursuant to Title 38 U.S.C. Section 1741.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: 38 U.S.C. 1741, For each veteran provided adult day health care, formula payments to the State are \$68.13 per diem, or one-half the cost of care, whichever is less. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

There is no length limitation; grant payments are made monthly to the state. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Cost records on which quarterly statements are based and attendance records to support report for days of care provided to veteran.

**Account Identification:**

36-0160-0-1-703.

**Obligations:**

(Formula Grants) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

\$22,686 to \$165,077; average \$93,882.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

VA Manual M-1, Part I, Chapter 3, State Veterans Homes, and M-5, Part VIII.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Veterans Hospital Facilities.

**Headquarters Office:**

Thomas Graves Department of Veterans Affairs, Washington, District of Columbia 20420 Phone: 202-461-6771

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.027 POST-9/11 VETERANS EDUCATIONAL ASSISTANCE**

Post 9/11 GI Bill - Chapter 33 - Veterans Benefits Administration

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

Post-9/11 Veterans Educational Assistance Act of 2008, 38 U.S.C Chapter 33.

**OBJECTIVES:**

To help servicepersons adjust to civilian life after separation from military service, assist in the recruitment and retention of highly qualified personnel in the active and reserve components in the Armed Forces by providing education benefits, and to provide educational opportunities to the dependents of certain service members and veterans.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Participants may pursue approved programs of education offered by an institution of higher learning (IHL). Participants may also receive reimbursement for an approved licensing or certification test.

**Applicant Eligibility:**

What follows is not a complete list of eligibility requirements. For more information on the latest changes to the Post-9/11 GI Bill go to the VA web-site address listed below. Individuals who entered active duty after September 10, 2001 may be eligible for the Post-9/11 GI Bill. Individuals can use the Post-9/11 GI Bill after serving 90 days on active duty (excluding entry level

and skill training). Only periods of active duty under title 10 will be used to establish eligibility for the Post 9/11 GI Bill. A high school diploma or equivalency certificate is always required for eligibility. Individuals who are eligible for the Montgomery GI Bill Active Duty (chapter 30), the Montgomery GI Bill Selected Reserve (chapter 1606), or the Reserve Educational Assistance Program (REAP) will have to make an irrevocable election to relinquish eligibility under one of those benefit programs to establish eligibility under the Post-9/11 GI Bill. The dependent children of a person who died in the line of duty while serving as a member of the Armed Forces may be eligible to use benefits under the Fry Scholarship provision of the Post-9/11 GI Bill. The spouse and/or child(ren) of a veteran or service member may be eligible for the Post 9/11 GI Bill if the veteran or service member transfers entitlement to those dependents. Eligibility to transfer entitlement to dependents is determined by the Department of Defense.

**Beneficiary Eligibility:**

As stated above under Applicant Eligibility.

**Credentials/Documentation:**

Military discharge certificate (DD 214) is sometimes required; enrollment certification by institution offering training is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Service members and veterans may apply for Post-9/11 GI Bill benefits by completing and submitting the Application for VA Education Benefits (VA Form 22-1990). Dependent children may apply for Fry Scholarship provision of the Post-9/11 GI Bill benefits by completing and submitting the Dependents Application for Education Benefits (VA Form 22-5490). Dependent spouses and children may apply to use transferred benefits by completing and submitting the Application for Family Member to use Transferred Benefits (VA Form 22-1990e).

Applications may be obtained and completed online via the GI Bill website at [www.GIBill.va.gov](http://www.GIBill.va.gov). Applications are also available at all VA Regional Offices.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. A least 76.97 percent of applications were processed within 90 days or less in fiscal year 2009.

**Appeals:**

From 90 to 120 days. Appeals are available through a special board; average response time was 116.9 days in 2009.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Lump sum payments for tuition and fees and the Yellow Ribbon Program are issued directly to the IHL on behalf of the student. Students generally receive monthly payments of the housing allowance and a lump sum payment of the books and supplies stipend. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress

reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments for Specified Use) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

The amount of educational assistance an individual is entitled to varies based on the amount of time served on active duty, the amount of tuition and fees charged, and the Basic Allowance for Housing payable for an E-5 with dependents in the zip code where the student attends school. In most cases, the benefits last for 36 (48 months when combined with other VA education benefits) calendar months of full-time training. The work-study allowance is limited to the higher of the Federal minimum wage or the State minimum wage where the work is performed. Tutorial assistance may not exceed \$1200 and reimbursement for a licensing or certification test may not exceed \$2000. The rural benefit is a one-time payment of \$500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Actuals for 2011 are 510149. Fiscal Year 2012: The student estimates for fiscal years 2010 and 2011 are 461,676 and 510,149, respectively. Fiscal Year 2013: 510,149.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.9500-21.9770

**Regional or Local Office:**

See Regional Agency Offices. 1-888-GI-BILL-1 (1-888-442-4551).

**Headquarters Office:**

Michelle Staton, Department of Veterans Affairs, Central Office, Washington, District of Columbia 20420 Email: [michelle.staton@va.gov](mailto:michelle.staton@va.gov) Phone: (202) 461-9800.

**Website Address:**

<http://www.GIBILL.va.gov>.

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.028 POST-9/11 VETERANS EDUCATIONAL ASSISTANCE**

Post-9/11 GI Bill - Chapter 33 - Veterans Benefits Administration

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

Supplemental Appropriations Act, 2008, Public Law 110-252, 38 U.S.C 33.

**OBJECTIVES:**

To help servicepersons adjust to civilian life after separation from military service, assist in the recruitment and retention of highly qualified personnel in the active and reserve components in the Armed Forces by providing education benefits, and to provide educational opportunities to the dependents of certain service members and veterans.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Participants may pursue approved programs of education offered by an institution of higher learning (IHL). Participants may also receive

reimbursement for an approved licensing or certification test. Participants may pursue approved programs of education offered by an institution of higher learning (IHL). Participants may also receive reimbursement for an approved licensing or certification test.

**Applicant Eligibility:**

What follows is not a complete list of eligibility requirements. For more information on the latest changes to the Post-9/11 GI Bill go to the VA web-site address listed below.

Individuals who entered active duty after September 10, 2001 may be eligible for the Post-9/11 GI Bill. Individuals can use the Post-9/11 GI Bill after serving 90 days on active duty (excluding entry level and skill training). Only periods of active duty under title 10 will be used to establish eligibility for the Post 9/11 GI Bill. A high school diploma or equivalency certificate is always required for eligibility. Individuals who are eligible for the Montgomery GI Bill Active Duty (chapter 30), the Montgomery GI Bill Selected Reserve (chapter 1606), or the Reserve Educational Assistance Program (REAP) will have to make an irrevocable election to relinquish eligibility under one of those benefit programs to establish eligibility under the Post-9/11 GI Bill. The dependent children of a person who died in the line of duty while serving as a member of the Armed Forces may be eligible to use benefits under the Fry Scholarship provision of the Post-9/11 GI Bill. The spouse and/or child(ren) of a veteran or service member may be eligible for the Post 9/11 GI Bill if the veteran or service member transfers entitlement to those dependents. Eligibility to transfer entitlement to dependents is determined by the Department of Defense.

**Beneficiary Eligibility:**

As stated above under Applicant Eligibility.

**Credentials/Documentation:**

Military discharge certificate (DD 214) is sometimes required; enrollment certification by institution offering training is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Service members and veterans may apply for Post-9/11 GI Bill benefits by completing and submitting the Application for VA Education Benefits (VA Form 22-1990). Dependent children may apply for Fry Scholarship provision of the Post-9/11 GI Bill benefits by completing and submitting the Dependents Application for Education Benefits (VA Form 22-5490). Dependent spouses and children may apply to use transferred benefits by completing and submitting the Application for Family Member to use Transferred Benefits (VA Form 22-1990e). Applications may be obtained and completed online via the GI Bill website at [www.GIBill.va.gov](http://www.GIBill.va.gov). Applications are also available at all VA Regional Offices.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A least 76.97 percent of applications were processed within 90 days or less in fiscal year 2009.

**Appeals:**

Appeals are available through a special board; average response time was 116.9 days in 2009.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Lump sum payments for tuition and fees and the Yellow Ribbon Program are issued directly to the IHL on behalf of the student. Students generally receive monthly payments of the housing allowance and a lump sum payment of the books and supplies stipend. See the following for information on how assistance is awarded/released: Lump sum payments for tuition and fees and the Yellow Ribbon Program are issued directly to the IHL on behalf of the student. Students generally receive monthly payments of the housing allowance and a lump sum payment of the books and supplies stipend.

**Reports:**

Educational assistance will not be paid until VA receives certification of enrollment from the IHL. Beneficiaries are required to notify the IHL and VA of any changes to enrollment. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702 - Post-9/11 Veterans Educational Assistance.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 Not Separately Identifiable; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

The amount of educational assistance an individual is entitled to varies based on the amount of time served on active duty, the amount of tuition and fees charged, and the Basic Allowance for Housing payable for an E-5 with dependents in the zip code where the student attends school. In most cases, the benefits last for 36 (48 months when combined with other VA education benefits) calendar months of full-time training. The work-study allowance is limited to the higher of the Federal minimum wage or the State minimum wage where the work is performed. Tutorial assistance may not exceed \$1200 and reimbursement for a licensing or certification test may not exceed \$2000. The rural benefit is a one-time payment of \$500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 510,149 trained. Fiscal Year 2012: 510,149. Fiscal Year 2013: 510,149.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.9500-21.9770.

**Regional or Local Office:**

See Regional Agency Offices. 1-888-GI-BILL-1 (1-888-442-4551).

**Headquarters Office:**

Michelle Staton, 810 Vermont Ave., NW, Washington, District of Columbia 20420 Email: [michelle.staton@va.gov](mailto:michelle.staton@va.gov) Phone: (202) 461-9800.

**Website Address:**

<http://www.GIBILL.va.gov>

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 64.120 Post-Vietnam Era Veterans' Educational Assistance; 64.124 All-Volunteer Force Educational Assistance; 64.125 Vocational and Educational Counseling for Servicemembers and Veterans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **64.029 PURCHASE CARE PROGRAM**

Purchase Care Program - VA Health Administration Center

### **FEDERAL AGENCY:**

VA Health Administration Center, Department of Veterans Affairs

### **AUTHORIZATION:**

Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 1997, Public Law 104-204, 38 U.S.C 1752-1756.

### **OBJECTIVES:**

The Chief Business Office represents a single accountable authority for development of the administrative processes, policy, regulations, and the directives associated with the delivery of VA health benefit programs. As a principal health benefits administration advisor to the Under Secretary for Health, CBO develops, implements, and supports various aspects of administrative health care issues.

### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

### **USES AND USE RESTRICTIONS:**

Uses generally cover medically necessary health care for eligible recipients. Restrictions are detailed in the underlying authority for each congressionally authorized program.

### **Applicant Eligibility:**

What follows is not a comprehensive listing of eligibility requirements. For detailed eligibility requirements the USC and CFRs of each program should be consulted.

For Veterans generally eligibility is established by evidence of service by DD Form 214 or through the Veterans Benefits Administration. Benefits provided are based on eligibility as established at 8 levels approved by the VHA Deputy Under Secretary for Health. For Non Veteran Beneficiaries eligibility is established by adjudication of the Sponsoring Veteran as Permanently and Totally disabled (P&T) (38 CFR 17.52(a)(1)(iii)) and that the Non Veteran Beneficiary is a dependant of the Veteran by the VBA and is eligible for Chapter 35 Benefits.

### **Beneficiary Eligibility:**

As stated above under Applicant Eligibility.

### **Credentials/Documentation:**

Military Discharge Certificate (DD Form 214), VBA Adjudication of disability rating for Veteran beneficiaries, VBA Adjudication of eligibility for Chapter 35 Benefits for Non Veteran Beneficiaries. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are initiated and authorized from the VA Regional Office processing the benefits claim. All subsequent benefit administration refers to the VARO adjudication of eligibility or to the status of the Veteran or Non Veteran Beneficiary as established by the VBA.

### **Award Procedure:**

Veterans initiate benefits eligibility claims through their serving VA Regional Office under the Veterans Benefits Administration. Where there is no disability claim involved the Veterans serving Veterans Administration Medical Center (VHA/VAMC) or Community Based Outreach Clinic (VHA/CBOC) establishes benefits eligibility through the VHA/CBO/Health Eligibility Center. Secondary validation of eligibility is performed for Non Veteran Beneficiaries by the administering Program Office.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

From 30 to 60 days. There are no deadlines for award of eligibility. When adjudication of a disability establishes the disability at a date prior to the date of adjudication each program has in place mechanisms to provide retroactive benefits. For programs requiring additional adjudication beyond that of the VBA ~89% of all applications were approved within 30 days in FY09.

### **Appeals:**

From 90 to 120 days. Appeals are available within each program beginning with local formal appeal, a second appeal process is provided by policy and upon adverse determination of a second appeal the final level of appeal is provided through the Board of Veterans Appeals.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Once eligibility is established the benefit is available for the life of the Veteran Beneficiary. For Non Veteran Beneficiaries where eligibility is based on adjudication as a dependant the benefit is terminated if dependant status is not maintained. The full spectrum of benefits are immediately available upon adjudication of eligibility. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Not Applicable.

### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Each program has multiple levels of audits. Audits are conducted at the program level, at the Agency Inspector General level, and annually in accordance with the Improper Payments Information Act of 2002 (Public Law 107-300).

### **Records:**

Eligibility records are permanent. Records archive is performed according to VA Handbook 6300.1, Chapter 7. Definitions of Records are outlined in Attachment 1 (VA Handbook 6300.1, Chapter 7). Records Handling procedures are outlined in Attachments 1 (VA Handbook 6300.1 chapters 1-7), 2 (VA Privacy Act System of Records) and 3 (Subchapter B of the NARA portion of the Code of Federal Regulations 1220-1238). Records Storage procedures are outlined in Attachments 1 (VA Handbook 6300.1 Chapter 6) and 4 (VA Records Control Schedule, section XXXVIII). Vital Records Program procedures are outlined in Attachment 5 (VA Handbook 6300.2). Freedom of Information Act Implementation, Program Management and Request for Information under FOIA are outlined in Attachment 6&7 (VA Handbooks 6300.3 and 6300.4). Managing a Privacy Act System of Records is outlined in Attachments 7&8 (VA Handbook 6300.4 and VA Handbook 6300.5). Release of Veterans and Dependents Personal Information (Names and Addresses) is outlined in Attachment 9 (VA Handbook 6300.6). Computer Matching Programs are outlined in Attachment 10 (VA Handbook 6300.7). Electronic Records Management is outlined in Attachment 11 (VA Handbook 6301). Procedures for the Dissemination of Government Information are outlined in Attachment 12 (VA Handbook 6360.1). Implementation for the Government Information Locator program is outlined in Attachment 13 (VA Handbook 6360.2).

### **Account Identification:**

36-0152-0-1-741.

### **Obligations:**

(Direct Payments for Specified Use) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

### **Range and Average of Financial Assistance:**

The amount of medical benefits paid for Veterans varies according to the need of the individual. Some eligibles make no claim in a benefit year. Others have claims paid as required. The NonVA Purchase Care Program paid an average of \$4051.00 for each of 920,404 unique patients in FY09.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 U.S.C. 1703 & 38 CFR 17.52 17.56./38 U.S.C. 1728 & 38 CFR 17.120  
17.132/38 U.S.C. 1725 & 38 CFR 17.1000-.1008/38 U.S.C. 1781/38 U.S.C.  
1724, 38 CFR 17.35, and 17.141

Literature available at <http://vaww1.va.gov/cbo/> or <http://www1.va.gov/cbo/>

**Regional or Local Office:**

See Regional Agency Offices. David Isaacks [david.isaacks@va.gov](mailto:david.isaacks@va.gov)  
Will Beatty [Willard.beatty@va.gov](mailto:Willard.beatty@va.gov) 303-370-5061

**VHA CBO Field Office**

3773 Cherry Creek North Drive, Ste 910  
Denver, CO 80209.

**Headquarters Office:**

Michelle Staton, Department of Veterans Affairs, Chief Business Office (16),  
810 Vermont Avenue, NW, Washington, District of Columbia 20420 Email:  
[michelle.staton@va.gov](mailto:michelle.staton@va.gov) Phone: (303) 370-5061.

**Website Address:**

<http://vaww1.va.gov/CBO/index.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.030 LIFE INSURANCE FOR VETERANS FACE AMOUNT OF  
NEW LIFE INSURANCE POLICIES ISSUED****FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

The Servicemens Indemnity and Insurance Act of 1951, Public Law 82-23, 38  
U.S.C 1903-1922; The Veterans Benefits Act of 1992, Public Law 102-568;  
The Housing and Economic Recovery Act of 2008, Public Law 110-289; The  
Mortgage Protection Life Insurance Act of 1971, Public Law 92-95.

**OBJECTIVES:**

To provide life insurance protection for other than dishonorably discharged  
Veterans who are service-disabled separated from active duty on or after April  
25, 1951, and to provide mortgage protection life insurance for Veterans and  
Servicemembers who have received a grant for specially adapted housing.  
These programs represent new contingent liabilities of VA and are reported  
under this CFDA program. VA Insurance also administers four other life  
insurance programs and supervises four additional programs for the benefit of  
Servicemembers, Veterans, their families and their beneficiaries. The four  
administered programs are closed to new issues. The supervised programs are  
not contingent liabilities of VA, and are therefore not reported under this  
CFDA.

**TYPES OF ASSISTANCE:**

Insurance

**USES AND USE RESTRICTIONS:**

Life insurance settlement is paid upon death of insured. The face amount of the  
policy, less any indebtedness on the policy, is payable to the designated  
beneficiary upon the insureds death under a regular life policy, and only to the  
mortgage holder under Veterans Mortgage Life Insurance coverage.

**Applicant Eligibility:**

A Veteran discharged under other than dishonorable conditions from active  
military duty, on or after April 25, 1951, who has been granted a service  
connection for a new disability, and who, if not for the disability would be  
otherwise insurable in accordance with the established standards of good health,  
applies for coverage within 2 years from the date of notice of the VA  
service-connected rating may be issued Service-Disabled Veterans Insurance.  
The time period in which to apply is limited to one year from the date of notice  
of the VA serviceconnected rating if the notice was provided before  
September 1, 1991. A Veteran insured under Service-Disabled Veterans

Insurance who qualifies for waiver of premiums, who is under age 65, and who  
applies within one year from date of notice from VA that he/she qualifies for  
waiver of premiums, may be issued Supplemental Service-Disabled Veterans  
Insurance coverage. A Veteran or Servicemember who has been given a VA  
grant for specially adapted housing will be sent notice that he/she is  
automatically insured for mortgage protection unless he/she elects in writing  
not to be so insured, or fails to respond within 60 days after a final request for  
information on which premium can be based is mailed to him/her.

**Beneficiary Eligibility:**

If the Veteran is mentally incompetent, a VA-recognized fiduciary may apply  
on his/her behalf for Service-Disabled Veterans Insurance. Service Disabled  
Veterans Insurance may also be granted under certain conditions to mentally  
incompetent Veterans who were otherwise eligible for such insurance, but due  
to their incompetency, died without filing an application.

Service-Disabled Veterans Insurance is issued by the Philadelphia Regional  
Office and Insurance Center to any Veterans meeting the requirements listed  
under Applicant Eligibility above. Veterans Mortgage Life Insurance is  
automatically issued to all Veterans and Servicemembers receiving a grant for  
specially adapted housing.

**Credentials/Documentation:**

A Veteran may apply for Service-Disabled Veterans Insurance by submitting  
the application on VA Form 29-4364 or VA Form 29-0151. A Veteran may  
also apply online using the VAs AutoForm application.

Veterans and Servicemembers who receive a grant for specially adapted  
housing are automatically approved for Veterans Mortgage Life Insurance.  
They must submit the following mortgage documentation for VA to establish  
premiums for coverage: Settlement Statement; Truth-In-Lending Disclosure  
Statement; and current mortgage account statement. Failure to provide these  
documents in a timely manner will result in coverage not being issued. This  
program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact  
information is not required for this program. This program is excluded from  
coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This  
program is excluded from coverage under OMB Circular No. A-110. Upon  
receipt of VAs notice of eligibility for Service-Disabled Veterans Insurance, a  
Veteran may apply by submitting the application on VA Form 29-4364. Upon  
receipt of notice from VA that he/she qualifies for waiver of premiums, an  
individual insured under Service-Disabled Veterans Insurance may apply for  
additional supplemental coverage by submitting an application on VA form  
29-0190. He/she may be guided by VA Pamphlet 29-9 in selecting the type of  
policy. The form and pamphlet may be obtained from the nearest VA office  
(listed in Appendix IV of the Catalog) and submitted to the Philadelphia VA  
Regional Office and Insurance Center, P.O. Box 7208, Philadelphia, PA 19101.  
A Veteran or Servicemember eligible for Veterans Mortgage Life Insurance  
need only submit information and documentation to the Philadelphia VA  
Regional Office and Insurance Center, P.O. Box 7208, Philadelphia, PA 19101.

**Award Procedure:**

Individuals will be notified of the acceptance/issuance of their insurance policy  
by VA or the appropriate designated entity.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approvals/disapprovals will be issued from 1 to 3 months  
upon application for Service-Disabled Veterans Insurance after VAs notice of  
the service-connected rating. Veterans Mortgage Life Insurance is effective  
immediately upon approval of a specially adapted housing grant.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-8150-0-1-701.

**Obligations:**

(Insurance) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. For all States, contact the Department of Veterans Affairs, P.O. Box 42954, Philadelphia, PA 19101.

**Headquarters Office:**

Michelle Staton, P.O. Box 42954, Philadelphia, Pennsylvania 19101 Email: michelle.staton@va.gov Phone: (1-800) 669-8477.

**Website Address:**

<http://www.insurance.va.gov>

**RELATED PROGRAMS:**

64.103 Life Insurance for Veterans; 64.105 Pension to Veterans Surviving Spouses, and Children; 64.106 Specially Adapted Housing for Disabled Veterans; 64.109 Veterans Compensation for Service-Connected Disability; 96.001 Social Security\_Disability Insurance; 96.004 Social Security\_Survivors Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.031 LIFE INSURANCE FOR VETERANS - DIRECT PAYMENTS FOR INSURANCE****FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

War Risk Insurance Act, Public Law 65-90, 38 U.S.C 1903-1941; National Service Life Insurance Act, Public Law 76-801; Servicemen's Indemnity and Insurance Act, Public Law 82-23; World War Veterans Act, Public Law 68-242.

**OBJECTIVES:**

To provide direct insurance payments, including advance payments disbursed as loans, to Veterans and their beneficiaries for claims based on death or other qualifying circumstance. Payments may be authorized for Veterans of World War I, World War II, Korean conflict, Vietnam conflict, Gulf era conflicts and service-disabled Veterans separated from active duty on or after April 25, 1951, and for mortgage protection life insurance for those disabled Veterans who are given a VA grant to secure specially adapted housing under Chapter 21, Title 38, U.S.C.

**TYPES OF ASSISTANCE:**

Insurance

**USES AND USE RESTRICTIONS:**

Life insurance settlement is payable upon death of the insured, or the insured may personally surrender a permanent plan policy for cash. The insured may also be granted a loan for up to 94 percent of the cash surrender value of a permanent plan policy. Interest on United States Government Life Insurance (WWI) policy loans is charged at the rate of 5 percent per annum. Interest is charged at a variable rate, which may change annually, for National Service Life (WWII), Veterans Special Life (Korean conflict), Service-Disabled Veterans (Korean Conflict and Continuing) and Veterans Reopened Insurance policies. The variable rate equals the yield on the Ten-Year Constant Maturities Index for U.S. Treasury securities for the month of June of each year rounded down to the next whole percentage. This loan rate is effective from the first day of October of each year and will not exceed 12 percent or be lower than 5 percent per annum. The face amount of the policy, less any indebtedness on the policy, is payable to the designated beneficiary upon the insureds death under a regular life policy, and only to the mortgage holder under Veterans Mortgage Life Insurance coverage. Other direct payments may include dividend cash option payments or other payments as authorized.

**Applicant Eligibility:**

Veterans who have purchased one of the named life insurance policies and their beneficiaries. Payment cannot be made if it would cause the insurance proceeds to revert back to a State (in the case where there are no heirs to pay).

**Beneficiary Eligibility:**

Payment may be made on a claim to a principal beneficiary, a contingent beneficiary, a representative of the estate, a minor or incompetent, or another designee filing for benefits. A beneficiary may assign all or a portion of his or her share of the insurance to a restricted class of the insureds relatives. Payments may also be made to the policyholder for loan or dividend amounts.

**Credentials/Documentation:**

Dependent on the beneficiary, the following documentation is required for payment of an insurance claim: For a principal beneficiary, a photocopy of death certificate showing date and cause of death of insured, and Claim Form, VA Form 29-4125, Claim for One Sum Payment. For a contingent beneficiary, death certificates for the insured and principal beneficiary(ies), and the Claim Form, VA Form 29-4125, Claim for One Sum Payment. For a representative of the Veterans estate, the death certificate(s), copies of letters testamentary, letters of administration, or a court order of distribution along with claims from the entitled parties, and a claim form signed by the executor or administrator of the estate. For a minor or incompetent, death certificate(s); a claim from the next of kin, personal representative (guardian, custodian, etc.) or logical person to receive payment for the minor or incompetent; letters of guardianship, conservatorship, (if any); and the address of minor or incompetent. If filing for VMLI benefits, the following documentation is needed: insureds death certificate, and a payoff statement from the Veterans or Servicemembers mortgage lender showing the outstanding mortgage balance owed as of the Veterans or Servicemembers death. An insureds will can be used as evidence that he or she intended a lump sum payment, regardless of when it was executed. The will does not have to specifically mention the insurance, nor must it be probated. A letter claiming the proceeds and showing a mailing address for the check may be used instead of a VA Claim Form (29-4125). The claimant should be sure to show the insurance file number and to sign the letter.

An insured can surrender the policy for its cash value by submitting VA Form 29-1546, page 1. An insured can request a loan against the cash value of the policy by submitting VA Form 29-1546, page 2, or by applying online. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Department of Veterans Affairs Regional Office and Insurance Center (VAROIC) manages the six insurance programs administered directly by VA



(USGLI, NSLI, VSLI, VRI, S-DVI and VMLI). The Insurance Center is responsible for processing loans, and paying death and disability claims. For these programs, all death claims should be mailed or faxed to the Insurance Center in Philadelphia, PA.

**Award Procedure:**

Direct Insurance payments can be directly deposited into a claimants account. The claimant must provide their checking or savings deposit account number as well as their social security number. Claimants must also provide the name, address, phone number, and the routing transit number for their financial institution. If the award check is to be mailed to the claimants bank account, the account number and type of account (checking or savings) must be shown on the claim in addition to the name and address of the bank.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Most death awards are authorized by the Insurance Center within 10 days of receipt of the documents needed for payment.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-8150-0-1-701; 36-8132-0-1-701; 36-0120-0-1-701; 36-4010-0-1-701; 36-4012-0-1-701; 36-8455-0-1-701.

**Obligations:**

(Insurance) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Death claims, disability claims, mature endowments, cash surrender, dividends, interest paid on dividend credits and deposits, policy liens established.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. For all States, contacts the Department of Veterans Affairs, P.O. Box 42954, Philadelphia, PA 19101. This office should also be contacted about Veterans Mortgage Protection Life Insurance.

**Headquarters Office:**

Michelle Staton P.O. Box 42954, Philadelphia, Pennsylvania 19101 Email: michelle.staton@va.gov Phone: 1-800-669-8477

**Website Address:**

<http://www.insurance.va.gov>

**RELATED PROGRAMS:**

64.103 Life Insurance for Veterans; 64.105 Pension to Veterans Surviving

Spouses, and Children; 64.106 Specially Adapted Housing for Disabled Veterans; 64.109 Veterans Compensation for Service-Connected Disability; 96.001 Social Security\_Disability Insurance; 96.004 Social Security\_Survivors Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.032 MONTGOMERY GI BILL SELECTED RESERVE; RESERVE EDUCATIONAL ASSISTANCE PROGRAM**

Montgomery GI Bill - Selected Reserve (MGIB-SR)  
Reserve Educational Assistance Program (REAP)

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

Federal Funding Accountability and Transparency Act, 10 U.S.C 1606-1607.

**OBJECTIVES:**

To encourage membership in units of the Selected Reserve of the Ready Reserve and to provide educational assistance to members of the reserve components called or ordered to active service in response to a war or national emergency declared by the President or Congress.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Participants may receive payment for pursuit of approved educational assistance programs. Participants may receive payment for pursuit of approved educational assistance programs.

**Applicant Eligibility:**

What follows is not a complete list of eligibility requirements. For more information on MGIB-SR and REAP visit <http://www.gibill.va.gov>. Generally, to qualify for benefits under MGIB-SR you must (1) Have a six-year obligation to serve in the Selected Reserve signed after June 30, 1985. If you are an officer, you must have agreed to serve six years in addition to your original obligation. For some types of training, it is necessary to have a six-year commitment that begins after September 30, 1990; (2) Complete your initial active duty for training (IADT); (3) Meet the requirement to receive a high school diploma or equivalency certificate before completing IADT. You may not use 12 hours toward a college degree to meet this requirement; and (4) Remain in good standing while serving in an active Selected Reserve unit. Generally, to qualify for benefits under REAP you must have served at least 90 consecutive days on active duty as a result of a call or order to active duty from a reserve component in response to a war or national emergency declared by the President or Congress.

**Beneficiary Eligibility:**

As stated above under Applicant Eligibility.

**Credentials/Documentation:**

Notice of Basic Eligibility (NOBE), or eligibility notification from the Department of Defense. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Reservist may apply for MGIB-SR and REAP benefits by completing and submitting the Application for VA Education Benefits (VA Form 22-1990). Applications may be obtained and completed online via the GI Bill website at [www.GIBill.va.gov](http://www.GIBill.va.gov). Applications are also available at all VA Regional Offices.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office. Participants may use benefits while serving in an active selected reserve unit. MGIB-SR participants released due to disability will have 14 years from their date of eligibility to use benefits. REAP participants generally have 10 years from their release date to use education benefits.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In fiscal year 2010, 90 percent of original applications under MGIB-SR, and 86 percent of original applications under REAP were processed within 90 days or less. In fiscal year 2010, 98 percent of supplemental applications under MGIB-SR and 97 percent of supplemental applications under REAP were processed within 90 days or less.

**Appeals:**

Appeals are available through a special board; average response time was 116.9 days for MGIB-SR and REAP in 2009.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Reservists receive monthly payments in most instances. Accelerated payments (one-time payments) equal to 60% of the cost of the course are available for certain high cost courses. Advance payment of the first 2 months of benefits for an enrollment period may be available. See the following for information on how assistance is awarded/released: Reservists receive monthly payments in most instances. Accelerated payments (one-time payments) equal to 60% of the cost of the course are available for certain high cost courses. Advance payment of the first 2 months of benefits for an enrollment period may be available.

**Reports:**

Educational assistance will not be paid until VA receives certification of enrollment from the school. Beneficiaries are required to notify the school and VA of any changes to enrollment. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments for Specified Use) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - (Direct Payments) MGIB-SR: FY 09 \$163,962,000; FY10 \$195,223,000; FY 11 EST \$230,630,000 REAP: FY 09 \$177,705,000; FY 10 \$109,026,000; FY 11 EST \$90,834,000.

**Range and Average of Financial Assistance:**

The amount of educational assistance an individual is entitled to under chapter 1606 is \$337, based on full time training for FY 2010. Assistance under chapter 1607 for FY 2010 is \$1,140.80 for consecutive service of 2 or more years, \$855.60 for one year, but less than two, and \$570.40 for 90 days but less than a year of service. Chapter 1607 rates are based on MGIB chapter 30 three year rate.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: MGIB-SR: The student estimate for fiscal year 2011 is 78,666. REAP: The student estimate for fiscal year 2011 is 24,929. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 10, U.S. Code, chapters 1606 and 1607.

**Regional or Local Office:**

See Regional Agency Offices. 1-888-GI-BILL-1 (1-888-442-4551).

**Headquarters Office:**

Michelle Staton Department of Veterans Affairs, Central Office, Washington, District of Columbia 20420. Phone: (202) 461-9800.

**Website Address:**

<http://www.GIBILL.va.gov>.

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 64.120 Post-Vietnam Era Veterans' Educational Assistance; 64.124 All-Volunteer Force Educational Assistance; 64.125 Vocational and Educational Counseling for Servicemembers and Veterans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.033 VA SUPPORTIVE SERVICES FOR VETERAN FAMILIES PROGRAM**

**FEDERAL AGENCY:**

VA Health Administration Center, Department of Veterans Affairs

**AUTHORIZATION:**

Veterans Mental Health and Other Care Improvements Act of 2008, Public Law 110-387, 38 U.S.C 2044.

**OBJECTIVES:**

To provide supportive services grants to private non-profit organizations and consumer cooperatives who will coordinate or provide supportive services to very low-income Veteran families who: (i) are residing in permanent housing, (ii) are homeless and scheduled to become residents of permanent housing within a specified time period, or (iii) after exiting permanent housing within a specified time period, are seeking other housing that is responsive to such very low-income Veteran families needs and preferences.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Section 604 of the Veterans Mental Health and Other Care Improvements Act of 2008 (Public Law 110-387) established VAs Supportive Services for Veteran Families (SSVF) Program. The SSVF Program provides grants to private non-profit organizations and consumer cooperatives that will coordinate or provide supportive services to Veterans and their families who have less than 50% area median income and (i) are residing in permanent housing, (ii) are homeless and scheduled to become residents of permanent housing within a specified time period, or (iii) after exiting permanent housing within a specified time period, are seeking other housing that is responsive to such very low-income Veteran families needs and preferences. Grantees are responsible for providing outreach, case management, linkages to VA benefits, and linkages to other public benefits with the supportive services grant funds. Grantees may choose to provide temporary financial assistance on behalf of the Veteran family for certain costs. Limitations on the use of supportive services grant funds, including time and amount limitations, are described in 38 CFR Part 62.

**Applicant Eligibility:**

Applicants eligible for grants must be either a private non-profit organization or a consumer cooperative. The SSVF Program defines a private non-profit organization as: 1. An incorporated private institution or foundation that (a) has no part of the net earnings that inure to the benefit of any member, founder, contributor, or individual; (b) has a governing board that is responsible for the operation of the supportive services; and (c) is approved by VA as to financial responsibility; 2. A for-profit limited partnership, the sole general partner of which is an organization that (a) has no part of the net earnings that inure to the benefit of any member, founder, contributor, or individual; (b) has a governing board that is responsible for the operation of the supportive services; and (c) is approved by VA as to financial responsibility; 3. A corporation wholly owned

and controlled by an organization that (a) has no part of the net earnings that inure to the benefit of any member, founder, contributor, or individual; (b) has a governing board that is responsible for the operation of the supportive services; and (c) is approved by VA as to financial responsibility; or 4. A tribally designated housing entity (as defined in section 4 of the Native American Housing Assistance and Self-Determination Act of 1996 (25 U.S.C. 4103)). The SSVF Program defines a consumer cooperative as having the meaning given such term in section 202 of the Housing Act of 1959 (12 U.S.C. 1701q).

**Beneficiary Eligibility:**

Veteran families, meaning families in which the head of household or the spouse of the head of household served in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable. Eligible Veteran families must be very-low income, meaning their annual income, as determined in accordance with 24 CFR 5.609, does not exceed 50 percent of the median income for an area or community. Eligible Veteran families must also fall within one of the following categories: (i) residing in permanent housing; (ii) homeless and scheduled to become a resident of permanent housing within 90 days pending the location or development of housing suitable for permanent housing; or (iii) exited permanent housing within the previous 90 days to seek other housing that is responsive to the very low-income Veteran families needs and preferences.

**Credentials/Documentation:**

Proof of private non-profit organization or consumer cooperative status is required. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-122 is applicable. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

VA Form 10-0508 is the application. Once per year if funds are available for the program, VA will publish in the Federal Register a notice of fund availability, soliciting applications for the grant program and information on applications for requesting eligibility to receive SSVF grant funds. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. VA Form 10-0508 and any other forms furnished by VA must be used for the program. Applications will only be accepted when received within the timeframe and meeting the requirements described in a notice of fund availability published in the Federal Register. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102.

**Award Procedure:**

Formal approval of the award of assistance is made by the Secretary of Veterans Affairs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines for program applications are established in the notices of fund availability.

**Appeals:**

If an application would have been selected but for a procedural error committed by VA, VA will select that application for potential funding when sufficient funds become available, if there is no material change in the information that resulted in its selection. A new application will not be required for this purpose.

**Renewals:**

Subject to the availability of funds, grants may be renewed. Grantees would be required to submit a renewal application within the time frame established in a notice of fund availability.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length of time limitations are established in the notice of fund availability. Grantees will receive payments electronically through the U.S. Department of Health and Human Services Payment Management System (HHS PMS). Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly and annual financial and performance reports are required. Grantees are required to enter data into a Homeless Management Information System (HMIS) Web-based software application. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years.

**Account Identification:**

36-0160-0-1-705.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Range and average to be determined final grant award list awaiting concurrence.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For FY 2011, VA received 382 applications in response to the SSVF Program NOFA published in December 2010. Applications were received from 47 states, the District of Columbia and Puerto Rico and the total amount of funds requested was more than \$240 million. VA anticipates awarding grants to selected applicants in summer FY 2011. Fiscal Year 2012: For FY 2011, VA received 382 applications in response to the SSVF Program NOFA published in December 2010. Applications were received from 47 states, the District of Columbia and Puerto Rico and the total amount of funds requested was more than \$240 million. VA anticipates awarding grants to selected applicants in summer FY 2011. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 38 Code of Federal Regulations, Part 62 Supportive Services for Veteran Families Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Vince Kane VA National Center on Homelessness Among Veterans, SSVF, 4100 Chester Avenue, Suite 201, Philadelphia, Pennsylvania 19104. Phone: 877-737-0111.

**Website Address:**

<http://www.va.gov/HOMELESS/SSVF.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As required by 38 CFR 62.23, applications are reviewed, rated, and ranked in priority order. Selection criteria include: (i) background, qualifications,

experience, and past performance; (ii) program concept and supportive services plan; (iii) quality assurance and evaluation plan; (iv) financial capability and plan; and (v) area or community linkages and relations. Ranked scores of applicants are the primary basis for selection. However, in accordance with 38 CFR 62.23(d), VA will utilize the following considerations to select applicants for funding:

i. Preference applicants that provide or coordinate the provision of supportive services for very low-income Veteran families transitioning from homelessness to permanent housing; and ii. To the extent practicable, ensure that supportive services grants are equitably distributed across geographic regions, including rural communities and Tribal lands.

#### **64.035 VETERANS TRANSPORTATION PROGRAM**

Veterans Transportation Program/Grants for Transportation in Highly Rural Areas

**FEDERAL AGENCY:**

Department of Veterans Affairs

**AUTHORIZATION:**

Caregivers and Veterans Omnibus Health Services Act of 2010, Public Law 111-163.

**OBJECTIVES:**

This program furthers the Departments mission by establishing a program to provide grants to eligible recipients to assist veterans in highly rural areas through innovative transportation services to travel to Department of Veterans Affairs Medical Centers, and to otherwise assist in providing transportation services in connection with the provision of VA medical care to these veterans.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

VA will award grants to eligible entities to assist veterans in highly rural areas to travel to VA medical centers, and otherwise assist in providing transportation in connection with the provision of VA medical care of these veterans. A highly rural area would be defined as an area consisting of a county or counties having a population of less than seven persons per square mile, consistent with paragraph (c)(1) of section 307 of the 2010 Act. VA currently monitors and maintains a specific listing of such highly rural areas, and grants will only be awarded to applicants whose programs will service one or more of these areas, as identified in the application and notice of funding availability.

**Applicant Eligibility:**

The Secretary may award the grants to an eligible entity which is defined as either a Veterans Service Organization or State Veterans Service Agency, in accordance with paragraphs (a)(2)(A)-(B) of section 307 of the 2010 Act.

**Beneficiary Eligibility:**

A participant would be defined as a veteran in a highly rural area who receives transportation services from a grantee.

**Credentials/Documentation:**

Applicants are required to submit a complete grant application package to be considered for an initial grant. The NOFA would specify the initial grant application procedures to be followed. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The VA will publish, in the Federal Register, a notice of fund availability, soliciting applications for the grant program and information on applications for requesting eligibility to receive grant funds. VA will establish scoring and selection categories for the award of grants in accordance with the mandate in paragraph (b)(1) of section 307 of the 2010 Act, which requires that VA prescribe regulations to evaluate grant applications. VA will specify the

scoring criteria for initial grant applications. These criteria are weighted according to their probability of influencing an applicants development of a successful program, as well as meeting the requirement for innovation in paragraph (a)(1) of section 307 of the 2010 Act. Forms furnished by VA must be used for the program. Applications will only be accepted when received within the timeframe and meeting the requirements described in a notice of fund availability published in the Federal Register.

**Award Procedure:**

VA will specify in the NOFA, the process VA will use to award initial grants, where VA would score applications using a criteria and rank applications that receive at least the minimum amount of total points and points per category set forth in the NOFA. VA would then award grants for the highest ranked applications for which funding is available.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. VA will publish, in the Federal Register, a notice of fund availability, soliciting applications for the grant program and information on applications for requesting eligibility to receive grant funds.

**Appeals:**

Not Applicable.

**Renewals:**

VA would publish in the NOFA renewal grant information. Similarly weighted as those for initial grant applications, but are specific to renewal grant applications to assist VA in evaluating those programs which would already be operating. Accordingly, points would be awarded based on a grantees programs success, cost effectiveness, and compliance with the grant agreement and other applicable laws and regulations, subject to the availability of funds. Grantees would be required to submit a renewal application within the time frame established in a notice of fund availability.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length-of-time limitations are established in the notice of fund availability. Grantees will receive payments electronically through the U.S. Department of Veterans Affairs Financial Management System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly and annual financial and performance reports are required. In addition, an annual report to the Secretary of the VA is required no later than 60 days after the end of the fiscal year detailing the use of the grant funds. Monthly performance measure reports will also be required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years after the end of the grant period.

**Account Identification:**

36-0160-0-1-700.

**Obligations:**

(Project Grants) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 est \$275,000

**Range and Average of Financial Assistance:**

The grant amounts will be specified in the Notice of Fund Availability, but that no single grant will exceed \$50,000, to comply with paragraph (a)(4) of section 307 of the 2010 Act.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Staton 2957 Clairmont Road, Suite 200, Atlanta, Georgia 30329  
Email: michelle.staton@va.gov Phone: 404-828-5380

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Scoring and selection categories for the award of grants in accordance with the mandate in paragraph (b)(1) of section 307 of the 2010 Act, which requires that VA prescribe regulations to evaluate grant applications. VA would specify the scoring criteria for initial grant applications. The criteria are weighted according to their probability of influencing an applicants development of a successful program, as well as meeting the requirement for innovation in paragraph (a)(1) of section 307 of the 2010 Act.

**64.036 VETERANS RETRAINING ASSISTANCE PROGRAM (VRAP) (VRAP)**

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

Veterans Retraining Assistance Program (VRAP), Public Law 112-56.

**OBJECTIVES:**

To provide training in a program that leads to a high demand occupation and employment assistance to unemployed Veterans.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Participants may pursue an approved program of education offered by a community college or technical school that leads to an associate degree or a certificate (or other similar evidence of the completion of the program of education or training) and is designed to provide training for a high-demand occupation.

**Applicant Eligibility:**

An eligible Veteran must:

&#61550; Be at least 35 but not more than 60 years old,  
&#61550; Be unemployed,  
&#61550; Have last been discharged under other than dishonorable conditions,  
&#61550; Not be eligible for any other VA education benefit programs,  
&#61550; Not be in receipt of VA compensation due to unemployability, and  
&#61550; Not be or have been in the last 180 days, enrolled in a Federal or state job training program.

**Beneficiary Eligibility:**

Participants may pursue an approved program of education offered by a community college or technical school that leads to an associate degree or a certificate (or other similar evidence of the completion of the program of education or training) and is designed to provide training for a high-demand occupation.

**Credentials/Documentation:**

Military discharge certificate (DD 214) is sometimes required; enrollment

certification by institution offering training is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Individuals may apply for assistance under the Veterans Retraining Assistance Program by completing and submitting an electronic application available via VAs Online Application (VONAPP) website (<http://vabenefits.vba.va.gov/>).

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Participants may use benefits during the period beginning July 1, 2012, and ending March 31, 2014. The authority for the program terminates effective March 31, 2014.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Veterans receive monthly payments of retraining assistance. Method of awarding/releasing assistance: quarterly.

**Reports:**

Retraining assistance will not be paid until VA receives certification of enrollment from the educational institution and monthly verification of such enrollment from the Veteran. Veterans are required to notify the educational institution and VA of any changes to enrollment. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-0137-0-1-702.

**Obligations:**

(Direct Payments for Specified Use) FY 11 Not Available; FY 12 est \$198,900,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Individuals may receive up to 12 months of retraining assistance equal to the monthly amount payable under section 3015(a)(1) of title 38, United States Code.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 211 of Public Law 112-56; 38 CFR 21.9800-21.9920

**Regional or Local Office:**

See Regional Agency Offices. 1-888-GI-BILL-1 (1-888-442-4551).

**Headquarters Office:**

Department of Veterans Affairs 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-9800

**Website Address:**

<http://vabenefits.vba.va.gov/>

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 64.125 Vocational and Educational Counseling for Servicemembers and Veterans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.103 LIFE INSURANCE FOR VETERANS**

(GI Insurance)

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

War Risk Insurance Act, as amended, Public Law 65-90; World War Veterans Act, P.L. 68-242, as amended; National Service Life Insurance Act, P.L. 76-801, as amended; Servicemen's Indemnity and Insurance Act, P.L. 82-23; P.L. 88-664; P.L. 92-95; as amended; Servicemembers' Group Life Insurance, P.L. 89-214., Public Law 65-90.

**OBJECTIVES:**

To provide life insurance protection for veterans of World War I, World War II, Korean conflict, Vietnam conflict, Gulf era conflicts and service-disabled veterans separated from active duty on or after April 25, 1951, and to provide mortgage protection life insurance for those disabled veterans who are given a VA grant to secure specially adapted housing under Chapter 21, Title 38, U.S.C. Also to provide life insurance protection for current members of the uniformed services with coverage on their lives and the lives of their spouses and children.

**TYPES OF ASSISTANCE:**

Insurance

**USES AND USE RESTRICTIONS:**

Life insurance settlement upon death of insured; or the insured may personally surrender a permanent plan policy for cash; or the insured may be granted a loan up to 94 percent of the cash surrender value of a permanent plan policy. Interest on United States Government Life Insurance (WWI) policy loans is charged at the rate of 5 percent per annum. Interest is charged at a variable rate which may change annually for National Service Life (WWII), Veterans Special Life (Korean conflict), Service-Disabled Veterans (Korean Conflict and Continuing) and Veterans Reopened Insurance policies. The variable rate equals the yield on the Ten-Year Constant Maturities Index for U.S. Treasury Securities for the month of June of each year rounded down to the next whole percentage. This loan rate is effective from the first day of October of each year and will not exceed 12 percent or be lower than 5 percent per annum. Dividends are paid on United States Government Life (WWI), National Service Life (WWII), Veterans Special Life (Korean Conflict), and Veterans Reopened Insurance. Dividends are not paid on Service-Disabled Veterans Insurance (Korean Conflict and continuing), or the Veterans Mortgage Life Insurance. The face amount of the policy, less any indebtedness on the policy, is payable to the designated beneficiary upon the insured's death under a regular life policy, and only to the mortgage holder under Veterans Mortgage Life Insurance coverage. In Servicemembers' Group Life Insurance, life insurance settlement upon death of insured, insured's spouse or insured's dependent children and the Accelerated Benefits Option can be used on both the member's own coverage and coverage of the member's spouse. In Veterans' Group Life Insurance, life insurance settlement upon death of the insured.

**Applicant Eligibility:**

All of the programs are closed for new issues except Service-Disabled Veterans Insurance, Veterans Mortgage Life Insurance, Service members' Group Life Insurance and Veterans Group Life Insurance. A veteran discharged from active military duty, on or after April 25, 1951, who has been granted a service connection for a new disability, and who, if not for the disability would be

otherwise insurable in accordance with the established standards of good health, applies for such coverage within 2 years from the date of notice of the VA service-connected rating, may be issued Service-Disabled Veterans Insurance. (The time period in which to apply is limited to one year from the date of notice of the VA service-connected rating if the notice was provided before September 1, 1991.) A veteran insured under Service-Disabled Veterans Insurance who qualifies for waiver of premiums, who is under age 65 and who applies within one year from date of notice from VA that he/she qualifies for waiver of premiums, may be issued Supplemental Service-Disabled Veterans Insurance coverage. A veteran who has been given a VA grant for specially adapted housing will be sent notice that he/she is automatically insured for mortgage protection unless he/she elects in writing not to be so insured, or fails to respond within 60 days after a final request for information on which premium can be based is mailed to him/her. Service members are automatically covered for the maximum coverage amount of life insurance on themselves and a spouse, unless the member declines or reduces the coverage in writing. Service members are also automatically covered by Servicemembers' Traumatic Injury Protection (TSGLI), which provides automatic traumatic injury coverage to all service members under SGLI. TSGLI provides for payment between \$25,000 and \$100,000 (depending on the type of injury) to SGLI members who sustain a traumatic injury that results in certain severe losses. Coverage of children is on "dependent" children and no premium is paid. Veterans are eligible to convert their Service members' Group Life Insurance in an amount up to the coverage held on their date of discharge. If a veteran is totally disabled at time of discharge, the veteran is eligible for a one-year disability extension of their Service members' Group Life Insurance and the conversion to Veterans' Group Life Insurance.

**Beneficiary Eligibility:**

The veteran may apply for either type of insurance. However, if the veteran is mentally incompetent, a VA recognized fiduciary may apply on his/her behalf for Service-Disabled Veterans Insurance. Service-Disabled Veterans Insurance may also be granted under certain conditions to mentally incompetent veterans who were otherwise eligible for such insurance, but due to their incompetency, died without filing an application.

**Credentials/Documentation:**

The veteran may apply for either type of insurance. However, if the veteran is mentally incompetent, a VA recognized fiduciary may apply on his/her behalf for Service-Disabled Veterans Insurance. Service-Disabled Veterans Insurance may also be granted under certain conditions to mentally incompetent veterans who were otherwise eligible for such insurance, but due to their incompetency, died without filing an application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

None. This program is excluded from coverage under E.O. 12372.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Service-Disabled Veterans Insurance is issued by the Philadelphia Regional Office and Insurance Center to any veteran meeting the requirements listed under Applicant Eligibility above. Veterans Mortgage Life Insurance is automatically issued to all veterans receiving a grant for specially adapted housing. Veterans' Group Life Insurance and Disability Extension of Service members' Group Life Insurance are issued by the Office of Service members' Group Life Insurance to any veteran meeting the requirements listed under the Applicant Eligibility above.

**Appeals:**

Generally within 2 years following the date of notice of VA's service-connected

rating for Service-Disabled Insurance (the time period in which to apply is limited to one year from the date of notice of the VA Service-Connected rating if the notice was provided before September 1, 1991.) Check with local VA office for exceptions. For Service-Disabled Veterans Insurance supplemental coverage, the time period in which to apply is one year from the date of VA's notice that the veteran qualifies for waiver of premiums. For Veterans Mortgage Life Insurance the veteran must apply before age 70. For Veterans' Group Life Insurance, the veteran has 120 days from discharge to convert with no requirement of good health. A veteran has another year in which conversion can be done, but good health required. For the Disability Extension of Servicemembers' Group Life Insurance, the veteran must make application within the two-year period for which the extension would be granted. There are currently no time limits for TSGLI claims.

**Renewals:**

From 60 to 90 days. From 1 to 3 months upon application for Service-Disabled Veterans Insurance after VA's notice of the service-connected rating. The time frame for approval/disapproval after an application for Supplemental Service Disabled Veterans Insurance coverage is received in VA is 1 month. Mortgage Protection Life Insurance is effective immediately upon approval of a specially adapted housing grant. The time frame for approval/disapproval after an application for Veterans' Group Life Insurance or Disability Extension of Servicemembers' Group Life Insurance is received by the Office of Servicemembers' Group Life Insurance is 2 to 4 weeks.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

N/A. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-8132-0-7-701; 36-4012-0-3-701; 36-8150-0-7-701; 36-4010-0-3-701; 36-8455-0-8-701; 36-0120-0-1-701.

**Obligations:**

(Insurance) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. For all States, contact the Department of Veterans Affairs, P.O. Box 42954, Philadelphia, PA 19101. This office should also be contacted about Mortgage Protection Life Insurance, Servicemembers' Group Life Insurance and Veterans' Group Life Insurance.

**Headquarters Office:**

Michelle Staton P.O. Box 42954, Philadelphia, Pennsylvania 42954 Phone: 1-800-669-8477

**Website Address:**

<http://www.insurance.va.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.116 VOCATIONAL REHABILITATION FOR DISABLED VETERANS**

(Vocational Rehabilitation)

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

Veterans' Rehabilitation and Education Amendments of 1980, Public Law 96-466, 38 U.S.C 3102.

**OBJECTIVES:**

To provide all services and assistance necessary to enable service-disabled veterans and service persons hospitalized or receiving outpatient medical care services or treatment for a service-connected disability pending discharge to get and keep a suitable job. When employment is not reasonably feasible, the program can provide the needed services and assistance to help the individual achieve maximum independence in daily living.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS WITH UNRESTRICTED USE

**USES AND USE RESTRICTIONS:**

The program offers the services and assistance necessary for an individual to increase their level of independence in daily living, or obtain and retain suitable employment. This is employment that matches the individual's aptitudes, interests, and abilities and does not worsen the individual's disabilities. An individual may reach an employment goal directly by receiving job seeking and job placement services. If direct placement is not possible, the program provides education or training to qualify the individual for employment. If the individual requires education or training, the program provides for direct payment to service providers for the entire cost of tuition, books, fees, supplies, and other services. As part or all of a rehabilitation program, individuals may receive services and training designed to help them increase their level of independence in their homes and communities. Counseling services are provided to the individual throughout his or her participation in the program. In addition to disability compensation, the veteran receives a monthly subsistence allowance when participating in training at least half-time. Advances of up to \$1,041.48 may be made to veterans to meet unexpected financial difficulties. These advances do not bear interest and are repaid out of future VA benefit payments. Although no set repayment period is established, the monthly rate of repayment may not generally be less than 10 percent. In general, a new advance may not be made until a previous advance has been fully repaid. Usually, the training phase of the rehabilitation program may not exceed the equivalent of 48 months of full-time benefits nor may training be provided more than 12 years after the individual becomes eligible to apply for the program. Following training, or sometimes as the whole of a rehabilitation program, the veteran may also receive up to 18 months of counseling, job placement and post-placement services. The veteran may receive an employment adjustment allowance equal to 2 months of subsistence during this period of services, but only if employability was achieved as a result of services received in a program which included training. Veterans who meet certain requirements may receive assistance to become self-employed.

**Applicant Eligibility:**

Veterans of World War II and later service with a service-connected disability or disabilities rated at least 20 percent compensable and certain service-disabled servicepersons pending discharge or release from service if VA determines the servicepersons will likely receive at least a 20 percent rating and they need vocational rehabilitation because of an employment handicap. Veterans with a 10 percent service-connected disability may be eligible if they first applied for vocational rehabilitation prior to November 1, 1990, and they have an employment handicap. In addition, veterans with compensable ratings of 10 percent may also be eligible if they are found to have a serious employment handicap.

**Beneficiary Eligibility:**

Veterans of World War II and later service with a service-connected disability or disabilities rated at least 20 percent compensable and certain service-disabled servicepersons pending discharge or release from service if VA determines the

servicepersons will likely receive at least a 20 percent rating and they need vocational rehabilitation because of an employment handicap. Veterans with compensable ratings of 10 percent may also be eligible if they are found to have a serious employment handicap.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Obtain an application (VA Form 28-1900) from any VA office or regional office (see Appendix IV of the Catalog) and submit it to the nearest VA regional office. Applications can also be filed on line at <http://vabenefits.vba.va.gov/vonapp/main.asp>.

**Award Procedure:**

Awards are authorized at the regional office for direct distribution to beneficiaries.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Average is 47.4 days.

**Appeals:**

Available through special board. Average time to process an appeal is 622 days. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification.

**Renewals:**

Under certain limited circumstances, a veteran's eligibility period can extend beyond 12 years and entitlement to training and subsistence can be longer than 48 months.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

36-4112-0-3-702; 36-0137-0-1-702; 36-4114-0-3-702.

**Obligations:**

(Direct Loans) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Loan Advances. (Direct Payments for Specified Use) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Full cost of tuition, books, fees, supplies and rehabilitation services. Monthly full-time allowances for veterans participating in training during fiscal year 2009 range from \$541.05 for a single veteran to \$790.87 for a veteran with two dependents, plus \$57.65 for each dependent in excess of two. Non-interest bearing loans of up to \$1,082.10 and a work-study allowance not to exceed the higher of 25 times the Federal or State minimum hourly wage times the number of weeks in the enrollment.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

38 CFR 21.40-21.47; "Federal Benefits for Veterans and Dependents," VA Pamphlet 80-0-01, \$5.00, available from Superintendent of Documents, P.O. Box 371954, Pittsburgh, PA 15250-7954. The stock number is: 051-000-00233-4. "Vocational Rehabilitation - Your Key to an Independent Future," VA Pamphlet 28-82-1, free, available from any VA regional office, and "Vocational Rehabilitation and Employment Program Quick Series", LUXART COMMUNICATIONS - GSA contract: GS-02F-0276P, [www.quickseries.com/mil](http://www.quickseries.com/mil), Telephone: (1 800) 361-4653.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-9600

**Website Address:**

<http://www.va.gov>. <http://www.vetsuccess.gov>

**RELATED PROGRAMS:**

27.002 Federal Employment Assistance for Veterans; 64.013 Veterans Prosthetic Appliances; 84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Direct payment for specified use; payments are made directly to the providers of goods or services for program participants; payments include tuition, fees, books, supplies, tutoring, professional services, and medical care if not available in a VA facility; advances are made to program participants to meet unexpected financial obligations which might hinder continued program progress.

**64.120 POST-VIETNAM ERA VETERANS' EDUCATIONAL ASSISTANCE**

(Voluntary-Contributory Matching Program)

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

An Act to amend title 38, United States Code, to set a termination date for veterans' educational benefits under chapters 34 and 36, to increase vocational rehabilitation subsistence allowances, educational and training assistance allowances, and special allowances paid to eligible veterans and persons under chapters 31, 34, and 35; to extend the basic educational assistance eligibility for veterans and for certain dependents from thirty-six to forty-five months; , Public Law 94-502.

**OBJECTIVES:**

To provide educational assistance to persons entering the Armed Forces after December 31, 1976, and before July 1, 1985; to assist persons in obtaining an education they might otherwise not be able to afford; and to promote and assist the all volunteer military program of the United States by attracting qualified persons to serve in the Armed Forces.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Participants may pursue: (1) courses at colleges and universities leading to associate, bachelor or graduate degrees (including courses taken via accredited independent study, provided those courses lead to a standard college degree or a certificate that reflects educational attainment offered by an institution of higher learning); (2) courses leading to a certificate or diploma from colleges or universities or from business, technical or vocational schools; (3) apprenticeship or on-the-job training programs for individuals not on active duty; (4) correspondence courses, under certain conditions; (5) flight training, if



the individual holds a private pilot license and meets the medical requirements upon beginning the training program; (6) state-approved teacher certification programs; (7) preparatory courses for tests necessary for admission to a college or graduate school; (8) reimbursement for licensing and certification tests approved for veterans; (9) entrepreneurship training; (10) reimbursement for national exams for admission to college or for college credit.

**Applicant Eligibility:**

The participant must have entered on active duty on or after January 1, 1977, and before July 1, 1985, and either served on active duty for more than 180 continuous days receiving an other than dishonorable discharge, or have been discharged after January, 1, 1977 because of a service-connected disability. Also eligible are participants who serve for more than 180 days and who continue on active duty and have completed their first period of obligated service (or 6 years of active duty, whichever comes first). Participants must also have satisfactorily contributed to the program. (Satisfactory contribution consists of monthly deduction of \$25 to \$100 from military pay, up to a maximum of \$2,700, for deposit in a special training fund.) Participants may make lump-sum contributions. No individuals on active duty in the Armed Forces may initially begin contributing to this program after March 31, 1987.

**Beneficiary Eligibility:**

Post-Vietnam era veterans.

**Credentials/Documentation:**

Military discharge certificate, certification of enrollment by educational institution in approved courses leading to an educational, professional or vocational objective and such other certifications as may be developed by VA and the Department of Defense. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application form (VA Form 22-1990) may be obtained from any VA office or regional office and submitted to the appropriate VA regional processing office.

**Award Procedure:**

Awards are authorized at the designated VA Regional Processing Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. At least 84.76 percent of applications are processed within 90 days or less in 2006 and 99.59 percent in 2007.

**Appeals:**

Appeals are available through a special board; response time is 109.0 days in 2006 and 112.4 days in 2007.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Available within ten years of first date of discharge or release from service or until the amount of money in the special fund, converted to months of entitlement (to a maximum of 36) is exhausted. Assistance checks generally to be released on a monthly basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-8133-0-7-702.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Veterans Benefits Administration Field Offices.

**Headquarters Office:**

Department of Veterans Affairs 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-9700

**Website Address:**

<http://www.GIBILL.va.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**64.128 VOCATIONAL TRAINING AND REHABILITATION FOR VIETNAM VETERANS' CHILDREN WITH SPINA BIFIDA OR OTHER COVERED BIRTH DEFECTS**

**FEDERAL AGENCY:**

Veterans Benefits Administration, Department of Veterans Affairs

**AUTHORIZATION:**

Executive Order To provide vocational training and rehabilitation to certain children born with spina bifida or other covered birth defects who are children of Vietnam veterans and some Korean veterans., 38 U.S.C 1804.

**OBJECTIVES:**

To provide vocational training and rehabilitation to certain children born with spina bifida or other covered birth defects who are children of Vietnam veterans and some Korean veterans.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

Program must lead to a vocational goal that it is feasible for the child to achieve. The child should be able to achieve the vocational goal within 24 months of services and assistance, although an extension of up to 24 months is possible under certain conditions.

**Applicant Eligibility:**

A child born with spina bifida or other covered birth defects, except spina bifida occulta, who is the natural child of a Vietnam veteran and some Korean veterans, regardless of the age or marital status of the child, conceived after the date on which the veteran first served in the Republic of Vietnam during the Vietnam era and in particular areas near the DMZ in the Korean conflict. VA must also determine that it is feasible for the child to achieve a vocational goal.

**Beneficiary Eligibility:**

Children born with spina bifida.

**Credentials/Documentation:**

Birth certificate and military discharge certificate are required. The child must be born with spina bifida and be the natural child of a Vietnam veteran and some Korean veterans. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application may be submitted to the Regional Office. There is no prescribed form, but the applicant must provide the child's full name, VA claim number, address, the veteran parent's name, and VA claim number. The letter must clearly identify the benefit sought or use VA Form 21-0304.

**Award Procedure:**

Awards are authorized at the Regional Office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not available at this time.

**Appeals:**

Available through special board. In the event of a denial, claimants are advised of appeal rights and procedures at the time of notification. Average time to process an appeal is 622 days.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not available at this time. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

36-0102-0-1-701.

**Obligations:**

(Direct Payments with Unrestricted Use) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Veterans Benefits Administration field offices.

**Headquarters Office:**

Department of Veterans Affairs 810 Vermont Ave., N.W., Washington, District of Columbia 20420 Phone: 202-461-9700

**Website Address:**

<http://www.va.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**ENVIRONMENTAL PROTECTION AGENCY**

**66.001 AIR POLLUTION CONTROL PROGRAM SUPPORT**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act of 1990, Section 105, Public Law 101-549.

**OBJECTIVES:**

The objectives of the 105 program are to assist State, Tribal, Municipal, Intermunicipal, and Interstate agencies in planning, developing, establishing, improving, and maintaining adequate programs for the continuing prevention and control of air pollution and/or in the implementation of national primary and secondary air quality standards.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

By nature, much of the work occurring in FY 2011, including the implementation of mobile, area and stationary source pollution controls, will continue into FY 2012. However, several new developments will alter the priorities for the program across the country in FY 2012 - the response to the revised national ambient air quality standards (NAAQS) for ozone, lead, fine particulates (PM2.5), nitrogen dioxide (NO2), CO and sulfur dioxide (SO2). Recipients will continue to review air quality reports and take appropriate actions dealing with new violating areas with any of the NAAQS; submit re-designation requests including maintenance plans for areas with clean air quality data as appropriate; work with local area stakeholders to support innovative and local initiatives; continue to implement 1997 8-hr ozone NAAQS by submitting State Implementation Plans (SIPs); and submitting any outstanding ozone SIP elements (including prior commitments). Although not required to do so, recipients may also choose to prepare recommendations on designations for the revised 2008 ozone NAAQS. For PM2.5, recipients will submit any outstanding PM2.5 SIP elements as needed and implement PM2.5 plans designed to attain the 1997 NAAQS. They will continue SIP planning for attaining the 2006 PM2.5 NAAQS standards. Some states will work with local agencies to implement woodstove change-out programs in areas where change-outs could significantly reduce ambient particle concentrations. Areas may also explore feasibility of changing out existing outdoor wood-fired boilers to significantly reduce PM2.5 concentrations. Recipients will also work on monitoring and SIP planning to attain the Lead (Pb) NAAQS. As in FY 2011, for ambient monitoring, all state/local primary quality assurance organizations operate monitors and submit NAAQS pollutant data, Photochemical Assessment Monitoring Stations (PAMS), and quality assurance (QA) data to AQS directly or indirectly through another organization according to schedule in 40 CFR Part 58. Data must also meet quality assurance requirements according to Appendix A to 40 CFR Part 58. These organizations will also submit their required annual (monitoring) network plans by July 1, 2012. They must also certify their 2010 NAAQS pollutant data in AQS and provide supporting documentation by May 1, 2012 (state/local only, unless tribal work plan requirement). Additionally, monitoring organizations will report real time ozone and PM2.5 data to the AirNOW system for cities required to report the Air Quality Index (AQI) (state/local only). Air quality reporting, including particle pollution forecasting, will be expanded to additional cities. States affected by CAIR continue to contribute a portion of their grant funds to support a centrally-administered emissions budget and trading program as part of their PM and NOx State Implementation Plans. For regional haze, States and other stakeholders will continue to work with EPA on issues related to

submitted regional haze SIPs and will continue to implement Best Available Retrofit Technology (BART) requirements. As in FY 2011, funds for air toxics purposes are provided to: operate existing air toxics monitoring networks operated by State, Tribal, and local agencies in order to better characterize air toxics risks and assess the effectiveness of control strategies. Recipients will collect data for the annual integrated criteria air pollutant (CAP) and hazardous air pollutant (HAP) emissions inventory; implement delegated or approved section 112, 111(d) and 129 standards, as appropriate, for major sources and area sources; implement delegated residual risk standards; and work with communities to develop and implement local air toxics programs that address outdoor, indoor, and mobile sources with emphasis on areas with potential environmental justice concerns. State and local air pollution control agencies work with EPA to operate the national fine particulate (PM<sub>2.5</sub>) monitoring network to accurately assess and characterize the nature and extent of fine particulates (PM<sub>2.5</sub>) across the country. This assessment is necessary to determine the air quality status of an area in relation to the national PM<sub>2.5</sub> ambient air quality standard. At least three years of quality-assured data are required in order to determine an area's attainment status. The air quality status of an area will determine the nature and complexity of its attainment plan, its associated control strategies, and its implementation schedule. The immediate goals of this multi-year program are: appropriate spatial characterization of PM<sub>2.5</sub> NAAQS; public reporting of PM<sub>2.5</sub> in the Air Quality Index; characterization of PM<sub>2.5</sub> chemical speciation data for long term trends; development and accountability of emission control programs and tracking of regional haze, and limited support of health studies; implementation of NCore CO, SO<sub>2</sub>, NO<sub>2</sub>/NO<sub>y</sub> trace-level monitoring to support characterization of PM precursors; assessment of PM<sub>2.5</sub> data quality; and procurement and testing of PM<sub>2.5</sub> filters. Grant funds are used to provide support to eligible state and local air agencies for continued operation of high value federal reference method (FRM) and speciation monitoring sites; additional investments in PM<sub>2.5</sub> mass and speciation continuous monitoring and associated data management systems for timely reporting of high quality data; and continued investments in precursor gas analyzers, data analyses, and quality assurance activities that will support better understanding of particle formation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs specifically incurred in the conduct of a State/Local/Tribal Air Pollution Control Program in accordance with the purposes enumerated in the approved application. These include personnel costs, supplies, equipment, training of personnel, travel, and other necessary expenditures during the approved project period. Funds may not be used for construction of facilities, nor for expenses incurred other than during each approved award period. Grant funds may not be used to subsidize the costs of Title V operating permit programs or to supplant otherwise available recipient resources. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://www.epa.gov/geospatial/>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Municipal, Intermunicipal, State, Federally Recognized Indian Tribe, or Interstate or Intertribal with legal responsibility for appropriate air pollution planning, development, establishment, implementation, and maintenance of Clean Air Act air pollution control activities, including management of grant support for those activities, provided such organization furnishes funds for the current year that are equal to or in excess of its recurrent expenditures for the previous year for its approved section 105 air pollution program. The determination of expenditures is subject to decisions based on provisions of the

Clean Air Act and applicable grant regulations. This program is available to each State, territory and possession of the U.S., including the District of Columbia. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Municipalities (local governments), Intermunicipalities, States, Federally Recognized Indian Tribes, and Interstate and Intertribal agencies.

**Credentials/Documentation:**

The application must supply evidence of legal authority for air pollution control including responsibility for carrying out the implementation plan requirements under 110 of the Clean Air Act; evidence of the availability of nonfederal matching funds; assurance that federal funds do not supplant available recipient funds, evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan; and a workable program officially adopted for the agency. Principles for determining allowable costs are set forth in applicable Federal management circulars described in the general grant regulations and procedures 40 CFR Part 31 of the Federal Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussion with the applicable EPA Regional Office is advised for air program grant applications. The standard application forms as furnished by the Environmental Protection Agency and required by OMB Circular No. A-102 must be used for this program. Applications are subject to the State's review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Branch. Application must meet the requirements of the grant regulations and will be reviewed to determine merit and relevancy of the proposed project particularly with regard to the most recently available national program and grant guidance. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Procedures for awards are outlined in General Grant Regulations 40 CFR Part 31. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts."

Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Clean Air Act does not prescribe a specific statutory funding formula but does direct that the factors of population, the extent and severity of the air pollution problem, and financial need, be considered in the allocation of available resources by the Agency. The current allocation approach is currently under review for updating by the Agency. EPA is undertaking the review in consultation with eligible recipients. State, Interstate, and Local programs may receive up to 60 % Federal funding for the total approved program costs. The Grantee must contribute a minimum of 40% as well as meet a maintenance of effort (MOE) requirement. The amount of Federal share of grant costs should be determined by reference to the criteria set forth in Section 105 of the Clean Air Act and in 40 CFR 35.145, 40 CFR 35.146, and 40 CFR 147. Not more than 10 % of the funds available shall be granted for air pollution control programs in any one State. Not less than one-half of one % of the funds are to be made available as a minimum to a State (overall) for application. However, award of these levels of funds will be made only if the agencies within the State meet the requirements of the Act and grant regulations. For Indian Tribes establishing eligibility pursuant to Section 35.573, the Regional Administrator may provide financial assistance in an amount up to 95 % of the approved costs of planning, developing, establishing, or improving an air pollution control program, and up to 95 % of the approved costs of maintaining that program. After 2 years from the date of each Tribe's initial grant award, the Regional Administrator will reduce the maximum federal share to 90 %, as long as the Regional Administrator determines that the Tribes meet certain economic indicators that would provide an objective assessment of the tribe's ability to increase its share.

This program has MOE requirements, see funding agency for further details. This program does have a maintenance of effort (MOE) requirement which requires that a recipient's recurring expenditures must meet or exceed the level of the prior year's recurring expenditures.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of award. See the following for information on how assistance is awarded/released: Assistance agreements may be fully funded by a lump sum or funded incrementally (quarterly).

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Grant and administrative reporting requirements are also identified in the Grant Regulations Part 30 and Part 32. Programmatic reporting requirements are outlined in Part 31 and in the applicable national program manager annual guidance. Requirements for the evaluation of recipient performance are discussed in 40 CFR 35.115.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$171,745,884; FY 12 est \$172,139,243; and FY 13 est \$254,030,000

**Range and Average of Financial Assistance:**

From approximately \$71,471 to \$6,689,317 per recipient; average approximately \$1,545,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, approximately 110 applications were received from State, Local and Tribal agencies to help support their continuing air quality programs. These programs plan and implement measures to improve, protect, monitor and report air quality in their communities. The plans integrate state and local measures with federal measures - including advances in environmental technologies (e.g., cleaner fuels, vehicle and industrial technology), in addressing and reducing air pollution and in meeting National Ambient Air Quality Standards (NAAQS). The NAAQS are regularly reassessed to assure that public health and welfare is being adequately protected. The designations for the 1997 ozone NAAQS occurred in 2004 and 101 of the original 126 ozone areas are now meeting that NAAQS based on data collected during 2008-2010. For PM, the Agency designated 86 areas, with a total population of 35.8 million people, as nonattainment for PM10 in 1992 and 45 of those areas remain in nonattainment. In April 2005, EPA designated 39 areas as nonattainment for the 1997 PM2.5 standard based on air quality data collected during 2001-2003 and 33 of those areas are now meeting the NAAQS based on data collected during 2008-2010. In October 2009, EPA designated 31 areas as nonattainment for the 2006 24-hour PM2.5 standard based on air quality data collected during 2006-2008. EPA designated one additional area nonattainment for the 2006 24-hour PM2.5 standard in January 2011 based on 2007-2009 data. 12 of these areas are now meeting the NAAQS based on data collected during 2008-2010. In April/May of 2012, EPA designated 46 areas as nonattainment for the 2008 ozone NAAQS, including two separate tribal areas. For the revised lead NAAQS, EPA designated a total of 21 areas as nonattainment in two "rounds" of designations (the first round took place in 2010, and the second round in November 2011). EPA designated all areas of the country as unclassifiable/attainment for the revised 2010 NO2 NAAQS in January 2012. Updates on designations for the SO2 and PM2.5 standards will be provided once the designations are completed. Fiscal Year 2012: FY 2012 program accomplishments data not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Air Pollution Control Program Grants, EPA, 40 CFR Part 35 (revised January 9, 2001); Interim Rule published January 4, 1995 (FR V.60 No.2, pp.366-372); General Grant Regulations and Procedures, EPA, 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jeff Whitlow Office of Air and Radiation, Office of Air Quality Planning and Standards; 109 T.W. Alexander Drive, MC C404-02, Research Triangle Park,

North Carolina 27709 Email: whitlow.jeff@epa.gov Phone: (919) 541-5523

**Website Address:**

<http://www.epa.gov/air/>

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Continuing program grants are provided to State, Local and Tribal air pollution control agencies for the purpose of operating programs that plan and implement activities to achieve ambient air quality standards. These programs cover: planning for attainment of updated national air quality standards including fine particulates and ozone; state implementation plan development; ambient monitoring; emission inventories; air and emissions modeling; source permitting; certain compliance and enforcement activities related to mobile and non-Title V stationary and area sources; public outreach and education activities; development and implementation of air quality regulations; implementation of market-based, early action compacts and other innovative air pollution reduction or prevention strategies; technical training; risk and data analyses; information management; and program evaluation, progress reporting and other program operation and maintenance activities.

Fiscal Year 2012: Continuing program grants are provided to State, Local and Tribal air pollution control agencies for the purpose of operating programs that plan and implement activities to achieve ambient air quality standards. These programs cover: planning for attainment of updated national air quality standards including fine particulates and ozone; state implementation plan development; ambient monitoring; emission inventories; air and emissions modeling; source permitting; certain compliance and enforcement activities related to mobile and non-Title V stationary and area sources; public outreach and education activities; development and implementation of air quality regulations; implementation of market-based, early action compacts and other innovative air pollution reduction or prevention strategies; technical training; risk and data analyses; information management; and program evaluation, progress reporting and other program operation and maintenance activities.

Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for awarding air pollution control program assistance grants are provided in the 1990 Clean Air Act, Section 105, and set forth in State and local assistance grant regulations (40 CFR 35). Some of the criteria considered for award include the following: 1) No grant may be awarded unless the program contained in the grant application meets the requirements of Section 35.140 (program purposes and associated regulations) and has been approved by the Regional Administrator. Sections 35.104 and 35.107 describe what an agency needs to do to prepare an adequate application. This usually includes the use of annual program technical and grant guidance from EPA and is generally done in consultation with the EPA Regional Office. 2) No grant may be awarded until the Regional Administrator has consulted with the official designated by the Governor(s) of the State(s) affected by such award pursuant to Section 105(b) of the Clean Air Act. Such consultation should consider the role of the applicant in the enforcement of any applicable implementation plan and confirm that the applicant's program will be generally compatible with the objectives of the applicable implementation plan. 3) The requirements of this Section shall not apply to Indian Tribes that have established eligibility pursuant to Section 35.573 and intertribal agencies made up of such Tribes. 4) No grant may be awarded unless the Regional Administrator has determined that the agency has adequate air pollution control authority and necessary regulations to implement such authority. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.032 STATE INDOOR RADON GRANTS**

(SIRG)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Indoor Radon Abatement Act, Section 306, 15 U.S.C 2661.

**OBJECTIVES:**

Title III of the Toxic Substances Control Act (TSCA), the Indoor Radon Abatement Act (IRAA), Section 306, authorizes EPA to assist States and Federally Recognized Indian Tribes to develop and implement programs to assess and mitigate radon-related lung cancer risk. In FY 2013 EPA will encourage state and tribal grant recipients to work collaboratively with their (non-EPA) Federal Departments and Agencies participating in the Federal Radon Action Plan (FRAP) [http://www.epa.gov/radon/action\\_plan.html](http://www.epa.gov/radon/action_plan.html).

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

In FY 2012 the State Indoor Radon Grants (SIRG) program will continue to emphasize radon risk reduction through increased action by home buyers and sellers, homeowners, real estate professionals, radon services professionals, homebuilders, tribes, non-governmental organizations, and Federal, state and local governments. Projects funded by SIRG should focus on achieving the following outcomes:

- Building homes to include radon-reducing features, especially in high-radon potential areas,
- Reducing the radon level in existing homes to below 4pCi/L, and
- Building new schools to include radon-reducing features, and reducing radon in existing schools to below 4pCi/L.

To achieve these outcomes and increase results, the SIRG program aims to: (1) improve the effectiveness of state-local/tribal radon programs; (2) focus on high radon potential areas, especially for new home building, building code adoption, and green and healthy homes programs; (3) encourage testing and mitigation within residential property transfers; and (4) encourage SIRG recipients to be strategic in their risk reduction efforts and results reporting, e.g., by institutionalizing risk reduction practices and policies, utilizing best practices, and developing better sources of data and information.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The following activities are eligible for funding under SIRG: radon surveys, public information and educational materials, radon control programs, purchase of radon measurement equipment or devices, purchase and maintenance of analytic equipment, training, program overhead and administration, data storage and management, mitigation demonstrations, and toll-free hotlines. Funding for these eligible activities may be used to develop State radon response programs. States may, at the Governor's direction, provide assistance to local governments for public information and educational materials, radon control programs and training. RESTRICTIONS: The statute places the following restrictions on the use of Federal funds: 1) SIRG recipients must perform satisfactorily in the preceding budget period to be eligible to receive additional funding; 2) State expenditures for measurement equipment/devices and mitigation demonstrations cannot exceed 50 percent of the grant amount in a budget period; 3) State expenditures for general overhead and program administration cannot exceed 25 percent in a budget period; and 4) SIRG applicants may use grant funds for financial assistance to persons only to the extent that such assistance is related to approved demonstration projects or the purchase and analysis of radon measurement devices.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible entities include States (including District of Columbia (DC)), Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, Federally recognized Indian Tribes and Tribal consortia, or any other U.S. Territory or possession.

**Beneficiary Eligibility:**

State agencies: local, municipal, district, or area wide governments and organizations; U.S. territories or possessions, Federally Recognized Indian Tribes, colleges, universities, multi-state agencies, nonprofit organizations, low-income individuals, homeowners, and the general public.

**Credentials/Documentation:**

An applicant's application must: 1) describe the seriousness and extent of radon exposure; 2) identify the lead State agency with primary responsibility for the radon program that will receive the grant, with a description of the lead agency's role and responsibilities, and those of any other State agencies, and any municipal, district or area wide organizations involved in the radon program; 3) submit a work plan describing the activities and programs to be funded; 4) provide a budget specifying the Federal and applicant share of the funding for each work plan element. First time applicants must have a 3-year work plan outlining long range program goals and objectives, the tasks necessary to achieve them, the resource requirements including anticipated SIRG applicant funding levels and the desired Federal funding level. Costs are determined in accordance with OMB Circular A-87, "Cost Principles for State, Local and Tribal Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application assistance is available through Regional radon coordinators and their Regional grants specialist counterparts. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Visit [www.epa.gov/iaq/wherelive.html](http://www.epa.gov/iaq/wherelive.html) for state specific information on the state radon programs and how to contact them. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency and the appropriate EPA Regional Office listed in Appendix IV of the Catalog, or through the Grants and Interagency Agreements Management Division, 3903F, Washington, DC 20460. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each state or tribal SIRG application is subjected to an administrative and prior period performance evaluation to determine the recipients eligibility to receive continued funding. An applicant's proposed projects and work plan are evaluated for projected results and alignment with the Agency's radon program goals and priorities. SIRG award decisions are non-competitive and made at the EPA Regional level, based on a formula moderated by Regional management discretion utilizing prior performance and results. A state or tribe able to provide the required 40% in matching funds is eligible to apply to the Regional EPA office for a grant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals of awards will be conducted in accordance with the provisions of Section 306 and the SIRG Guidance (SIRGG).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA may provide States a maximum of 60% of allowable costs of approved SIRG Program activities. TSCA Section 306 requires a progressive match for States and Tribes; 25% in the first year; 40% in the second year; and, 50% in the third and subsequent years of participation. However, in the FY 2006 appropriation, Congress permanently reduced the recipient match requirement from a maximum of 50% to 40% for participants with two or more years in the program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards funded made under TSCA Section 306, are normally for a period of 12-36 months; EPA strongly encourages 36-month (3-year) SIRG project periods. EPA negotiates project periods appropriate to a suite of projects or specific project. However, EPA project periods are limited to a maximum of five years. Grants and cooperative agreements may be fully funded or incrementally (partially) funded. See the following for information on how assistance is awarded/released: Assistance agreements are fully funded by a lump sum.

**Reports:**

Required reports from grant recipients include: performance reports, no more often than quarterly; Financial Status Reports, (Standard Form 269); Federal Cash Transactions Reports (for grants paid by letter of credit); and if applicable, Request for Advance or Reimbursement (Standard Form 270). To monitor the performance of each grant recipient, the EPA Project Officer and other Agency personnel may conduct mid-year (or more frequent) site visits to inspect program activities first hand.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$8,058,000; FY 12 est \$8,045,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

In FY 2012 Federal funding can range from \$15,000 to a maximum of \$807,400 (by law 10% of the annual appropriation amount) per State/Tribal applicant. The average SIRG award is \$180,000. Minimum awards are \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The SIRG program awarded approximately 44 state and tribal assistance agreements totaling \$8,058,000. The SIRG program also awarded ten (10) grants to Tribes in FY2011 worth \$385,053. In calendar year 2011, an estimated 60,129 existing homes were mitigated to reduce high radon levels. In calendar year 2010, approximately 79,100 new homes were built with radon-reducing features. Much of this progress resulted from the work of coalitions and partnerships comprised of local governments, national and local non-profit organizations, industry, radon advocates and other leaders. The SIRG program continues to stress the importance of achieving and measuring results in: the number of homes, schools, and other buildings mitigated for radon; in the number of new homes and schools built with radon-reducing features. Recipients are required to include the SIRG results measures template in their work plans, and projects with clear risk reduction benefits are to be preferred over projects projected to have lesser risk reducing results. Persons and organizations looking for ways to participate in the national radon risk-reduction effort should visit [www.RadonLeaders.org](http://www.RadonLeaders.org). Fiscal Year 2012: Accomplishments information for FY 2012 on homes mitigated will become available in the second quarter of FY 2013. Accomplishments information for FY 2011 on new homes built radon-resistant will become available in the first quarter of FY 2013. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA regulations that govern State activities under the SIRG Program are contained in the following Parts of 40 CFR: (1) Part 4, "Implementation of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1980"; (2) Part 7, "Nondiscrimination in Programs Receiving Federal Assistance from the Environmental Protection Agency"; (3) Part 29, "Intergovernmental Review of Environmental Protection Agency Programs and Activities"; (4) Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"; (5) Part 32, "Debarment and Suspension under EPA Assistance Programs", and (6) Part 35; "State and Local Assistance". Applicable OMB Circulars include (1) Circular A-87, "Cost Principles for State and Local Governments," and (2) Circular A-102, "Uniform Requirements for Assistance to State and Local Governments". Other materials applicable to SIRG include: (1) Administrative Guidance for the State Indoor Radon Grants Program under Section 306, Indoor Radon Abatement Act (January 2005); (2) Indoor Radon and Radon Decay Product Measurement Device Protocols (EPA 402-R-92-004); and, (3) Protocols for Radon and Radon Decay Products Measurements in Homes (EPA 420-R-93-003). Visit <http://www.epa.gov/radon/sirgprogram.html> for more information.

**Regional or Local Office:**

See Regional Agency Offices. For questions of a programmatic/technical nature, contact the appropriate Regional Radon Office representative listed in Appendix IV of the Catalog. The individual Regional radon SIRG project officers can be found at <http://www.epa.gov/radon/sirgprogram.html>.

**Headquarters Office:**

Philip Jalbert, Office of Radiation and Indoor Air, Environmental Protection Agency, 1310 L Street, NW., Mail Code 6609J, Washington, District of Columbia 20005 Email: [jalbert.philip@epa.gov](mailto:jalbert.philip@epa.gov) Phone: (202) 343-9431.

**Website Address:**

<http://www.epa.gov/radon/sirgprogram.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The State and Tribal Indoor Radon Grant (SIRG) program has awarded grants to States and Tribes to: 1) establish effective radon programs among states, territories, and federally recognized Indian tribes; 2) increase the number of homes, schools, and other buildings tested and mitigated

from radon; 3) implement radon resistant construction standards in high risk areas; 4) encourage radon testing and disclosure in connection with real estate transfers; and 5) promote environmental justice through programs and outreach efforts directed at low-income and/or culturally-diverse populations. The Agency encourages recipients to partner with other public health and environmental organizations to increase program effectiveness. Fiscal Year 2012: The State and Tribal Indoor Radon Grant (SIRG) program has awarded grants to States and Tribes to: 1) establish effective radon programs among states, territories, and federally recognized Indian tribes; 2) increase the number of homes, schools, and other buildings tested and mitigated from radon; 3) implement radon resistant construction standards in high risk areas; 4) encourage radon testing and disclosure in connection with real estate transfers; and 5) promote environmental justice through programs and outreach efforts directed at low-income and/or culturally-diverse populations. The Agency encourages recipients to partner with other public health and environmental organizations to increase program effectiveness. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The EPA will base its review of SIRG applications on whether they reflect the program's goals and promote integrity in States' use of grant funds. Pursuant to TSCA Section 306(e), if State applications exceed the funds appropriated for award in a fiscal year, EPA will prioritize State activities based on the following criteria: (1) the seriousness and extent of the radon contamination problem to be addressed; (2) the potential for the activity or project to bring about reduction in radon levels; (3) the potential for the development of innovative radon assessment techniques, mitigation measures as approved by the Administrator, or program management approaches which may be of use to other States; (4) the potential for the activity to implement EPA's model radon-resistant building standards; (5) the potential for the development of radon programs in high-risk areas; and (6) the potential for the activity to improve the effectiveness and viability of the State program. EPA may establish additional criteria related to demonstration activities or other aspects of the SIRG program. All other requirements of the SIRG program are applicable to the States and Tribes unless otherwise stated in TSCA 306.

**66.033 OZONE TRANSPORT COMMISSION****FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act of 1990, Section 106 and 111, Public Law 101-549, 42 U.S.C 1406.

**OBJECTIVES:**

To develop or recommend air quality implementation plans for air quality control regions designated pursuant to Section 106 (interstate pollution) or Section 111 (interstate ozone pollution) of the Clean Air Act of 1990.

The Ozone Transport Commission (OTC) will continue to provide a forum for the states within the Ozone Transport Region (New England and Middle Atlantic states) to develop and adopt air quality implementation plans for reducing ozone pollution pursuant to Section 106 of Section 111 of the Clean Air Act of 1990.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance funds may be used for costs specifically incurred in the conduct of interstate pollution projects in accordance with the purposes enumerated in the approved application. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to

conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

An agency or commission designated by the Governors of the affected States, which is capable of recommending to those Governors' plans for implementation of national primary and secondary ambient air quality standards and which includes representation from the States and the appropriate political subdivisions within the affected air quality control region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Municipalities, intermunicipalities, States, interstate agencies or commissions, and Federally recognized Indian tribes.

**Credentials/Documentation:**

The application must supply evidence of legal authority for air pollution control; evidence of the availability of non-federal matching funds, evidence that the Governor or his designated State agency has been given the opportunity to comment on the relationship of the program to be funded to the State plan and a workable program officially adopted for the agency. Principles for determining allowable costs are set forth in applicable Federal management circulars described in the general grant regulations and procedures 40 CFR Part 30 of the Federal Regulations. Costs will be determined in accordance with OMB Circular No. A-87 for State and Local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with the Headquarters Program Office concerning program preparation are advisable. The standard application forms as furnished by the Federal Agency and required by OMB Circular No. A-102 must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Office (See Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in

accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicant must reapply.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Upon initial designation by the Governors of the affected States, pursuant to Sections 106 or 111 of the Clean Air Act of 1990, the Administrator is authorized to pay for up to 2 years, and up to 100 percent of the air quality planning program costs of a designated commission or interstate agency. After the initial 2-year period, the Administrator is authorized to make grants to such agency or such commission in amounts up to 3/5 of its air quality management plan costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Assistance agreements are fully funded by a lump sum.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial and equipment reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0200-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$635,000; FY 12 est \$635,000; and FY 13 est \$635,000



**Range and Average of Financial Assistance:**

There is only one cooperative agreement awarded under this program. The cooperative agreement will range from \$600,000 to \$650,000/fiscal year with an average award of \$635,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Ozone Transport Commission was established by the Clean Air Act Amendments of 1990 and provides policy guidance to its member states and the District of Columbia on actions needed to reduce ozone pollution within the ozone transport region. They provide air pollution assessment, technical support and forums through which their member states can harmonize their pollution reduction strategies. This is accomplished through the development of multi-state agreements such as the NOx emissions reductions, the Clean Energy Initiative, education and outreach efforts and similar activities. In addition to providing policy guidance to its member states and the District of Columbia on actions needed to reduce ozone pollution within the ozone transport region, they provide air pollution assessment, technical support and forums through which their member states can harmonize their pollution reduction strategies. OTC has also provided Testimony on EPA proposed Ozone NAAQS reconsideration and on Proposed Clean Air Amendments in 2010. In FY 2010, one grant was awarded for \$1,270,000 for a two year period. Fiscal Year 2012: In 2012 OTC worked with its member states on the development of multi-state agreements and education and outreach efforts to reduce ozone emissions in the region. These include reviewing controls for idling restrictions for nonroad diesel engines, as well as emissions reductions from solvent degreasing and consumer products. OTC also participates in national forums such as the Clean Air Act advisory Committee and the Air Quality Management workgroup representing its member states. This CFDA issues one grant annually in response to the Clean Air Act Amendments to establish an Ozone Transport Commission which perform the activities stated herein annually. In FY 2010, a two year grant was awarded for \$1,270,000. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administration Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Pat Childers, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W. Mail Code 6102A, Washington, District of Columbia 20460 Email: childers.pat@epa.gov Phone: (202) 564-1082.

**Website Address:**

<http://www.otcair.org/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Operation of the Ozone Transport Commission for the past 20 years. Fiscal Year 2012: Operation of the Ozone Transport Commission for the past 21 years. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated and selected in accordance with the Agency's competition policy.

**66.034 SURVEYS, STUDIES, RESEARCH, INVESTIGATIONS, DEMONSTRATIONS, AND SPECIAL PURPOSE ACTIVITIES RELATING TO THE CLEAN AIR ACT****FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F), Public Law 91-190, 42 U.S.C 4332; Clean Air Act of 1963, Section 103, Public Law 95-95, 42 U.S.C 7401.

**OBJECTIVES:**

To support Surveys, Studies, Research, Investigations, Demonstrations and Special Purpose assistance relating to the causes, effects (including health and welfare effects), extent, prevention, and control of air pollution to include such topics as air quality, acid deposition, climate change, global programs, indoor environments, radiation, mobile source technology and community-driven approaches to transportation and emissions reduction.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

(1) Indoor Environments. Activities will support surveys, studies, research, training, outreach, education, investigations or demonstrations performed by organizations that lead to effective outreach strategies to educate key audiences about indoor air pollutants, their associated health risks and encourage effective mitigation and control strategies. Currently, the Program focuses on several critical aspects of indoor air quality that pose significant risks to public health, and in particular, to children and other disproportionately impacted segments of society. Program focus includes, but is not limited to, reducing the exposure of children and others with asthma to indoor triggers that worsen their condition; promoting the adoption of operation and maintenance practices in schools, homes and other buildings throughout the nation to reduce the harmful effects of poor indoor air quality on the health of the public, students and staff; promoting voluntary radon testing by homeowners to identify elevated levels and fix them when they are found; as well as working with homebuilders to incorporate radon resistant construction features into new homes; and encouraging adult smokers to protect their children from the adverse health effects of environmental exposure to secondhand smoke by making a conscious decision to smoke outside and keep their homes and cars smokefree.

(2) Radiation. Activities support technical, outreach, and educational projects relating to environmental radiation. Activities also support the national environmental radiation monitoring program. This program prepares for and responds to incidents involving nuclear or radiological material, oversees the safe disposal of radioactive waste, maintains two laboratories that perform radiological sampling and analyses, and provides standards for protecting human health and the environment from radioactive material. Program focus includes, but is not limited, to the following activities: performance testing and evaluation, development of analytical procedures, purchasing of radiation laboratory equipment and support and enhancement of radiological laboratory capability and capacity across the nation to reduce the gap in analyzing environmental samples following a significant national radiological incident.

(3) Community-Scale Air Toxics Ambient Monitoring (CSATAM). The CSATAM Grant Program results in two-year projects designed to assist state, local and tribal communities in identifying and profiling air toxics sources, characterizing the degree and extent of local air toxics problems and tracking progress of air toxics reduction activities in specific local areas without reliance on often uncertain estimates of emissions and air dispersion models. Further, projects typically allow the recipient state, local and tribal air pollution control agencies to establish or enhance hazardous air pollutant monitoring networks, thus providing long term capability to investigate and assess specific local air quality scenarios of concern. The program will continue working with grant recipients that received funding in previous years.

(4) Mobile Sources Technologies. Projects encompass studies and investigations utilizing state-of-the-art experimental techniques in advanced engine development technology, including hydraulic hybrid drive-trains, to optimize fuel economy, reduce exhaust emissions (including PM and NOx) and improve performance. In addition, projects may support studies identifying barriers to technological innovation, analyzing innovative strategies for overcoming these barriers, encouraging the development and adoption of new vehicle and fuel technologies for the control of emissions.

(5) Heavy Duty Truck Fuel Consumption and Emissions Reductions. This program studies and analyzes fuel consumption and emissions reductions

associated with the use of innovative technologies for heavy duty diesel trucks. Projects involve truck fleets that operate under varying conditions in order to evaluate the effectiveness of the various technologies.

(6) National Internet-based On-Board Diagnostic (OBD) Information Exchange. This program supports activities that maintain, update and improve the Internet-based information clearinghouse to facilitate accurate and timely exchange of technical information related to on-board diagnostic (OBD) between state inspection/maintenance programs, the automotive industry and the general public.

(7) Integrated Assessment of Transportation-Related Policies on Greenhouse Gases, Land Use Change, and Other Economy-Wide Impacts (Integrated Assessment). This program is designed to improve the public data underlying well-established integrated assessment models used to analyze both climate change impacts and the linkages between renewable fuels and climate change. Additionally, projects are intended to further the public's understanding of the interaction of the economic, energy, and environmental impacts of increased renewable fuel usage in the U.S. transportation sector using a robust modeling framework.

(8) Climate Change. The Climate Change Division (CCD) supports activities relating to improving economic, technical and programmatic understanding of climate change. CCD supports technical, outreach, and education projects regarding climate change impacts, mitigation and adaptation options in order for private and public sectors may more effectively and comprehensively address their climate goals. Additionally, CCD supports projects that break down market barriers that may limit investment in technologies that reduce methane and non-CO2 greenhouse gases; address the technical issues surrounding sequestration and carbon storage; address collection and analyses of economic data relating to climate change; and the Methane to Markets program (M2M) that support climate technology transfer in developing and transition countries. The Methane to Markets Partnership is an international public-private initiative that advances cost effective, near-term methane recovery and use as a clean energy source in four sectors: agriculture, coal mines, landfills, and oil and gas systems. M2M projects reduce greenhouse gas emissions in the near term and provide a number of important environmental and economic co-benefits. Co-benefits include stimulating local economic growth, creating new sources of affordable alternative energy, improving local air and water quality with associated public health benefits and increasing industrial worker safety. CCD also supports the Greenhouse Gas Reporting program that will help facilities that participate in voluntary, state-based and federal GHG reporting programs better understand the requirements of voluntary and state GHG reporting programs in comparison to the federal rule, and identify options for how data collected through state and federal reporting requirements may be used to inform state GHG programs and facility-level efforts to identify emissions-reduction opportunities.

(9) Climate Protection Partnerships. EPA funds Global Climate Change programs which are voluntary government/industry partnership programs designed to capitalize on the opportunities that consumers, businesses, and organizations have for making sound investments in efficient equipment, policies and practices. The Global Climate Change program will manage a number of efforts to remove barriers in the marketplace and to deploy technology faster in the residential, commercial, and industrial sectors of the economy. Our programs work by overcoming widely acknowledged barriers to energy efficiency: lack of clear, reliable information on technology opportunities; lack of awareness of energy efficient products and services; lack of financing options to turn lifecycle energy savings into initial cost savings for consumers; and low incentives to manufacturers for efficiency research and development. In addition, our Global Climate Change programs will provide technical assistance, training, information exchange and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment regionally and globally.

(10) Gulf Coast Community Outreach Study for Communities Impacted by the Deepwater Horizon Oil Spill. Development and implementation of a community outreach study to help inform and empower Gulf Coast communities, focusing on the air quality impacts resulting from the Deepwater

Horizon Oil Spill.

(11) Near-road Nitrogen Dioxide (NO2) Monitoring. In accordance with the final NO2 National Ambient Air Quality Standards (NAAQS), state and local air pollution control agencies (grantees) are required to establish near-road monitoring stations to ensure the collection of data necessary for determining compliance with the standard as well as to protect human health and the environment. Grantees will purchase capital equipment and work with local Department of Transportation agencies to ensure unique siting criteria are met in the establishment of the new monitoring stations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Surveys, Studies, Research, Investigations, Demonstrations and Special Purpose plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. Eligibility for projects awarded or competed exclusively with State and Tribal Assistance Grant (STAG) funds is limited to air pollution control agencies, as defined in section 302(b) of the Clean Air Act that are also eligible to receive grants under section 105 of the Clean Air Act, and/or federally recognized tribes and inter-tribal consortia, consisting of federally recognized tribe members. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372,

"Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for Surveys, Studies, Research, and Investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: While there is no statutory or regulatory cost sharing requirement for this program, as a matter of policy the Agency may impose a cost sharing requirement in specific competitions. If the Agency decides to do this, the cost sharing terms will be stated in Section III of the competitive announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants are generally fully funded or on an incremental funding basis. Successful applicants will be notified either via U.S. mail or electronically. Such notification is contingent upon information contained in the resulting solicitation. See the following for information on how assistance is awarded/released: Assistance agreements may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to

submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$15,000,000; FY 12 est \$13,810,000; and FY 13 est \$15,000,000

**Range and Average of Financial Assistance:**

EPA generally award grants ranging in value from \$5,000 to \$750,000 per fiscal year. The average value of each grant is \$150,000 per fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Indoor Environments - Produced effective outreach strategies to educate key audiences about indoor air pollutants and their associated health risks, convincing them to adopt effective mitigation and control strategies. These outreach strategies focused on several critical aspects of indoor air quality that pose significant risks to public health, and in particular, to children and to other disproportionately impacted segments of society. These include: reducing the exposure of children and others with asthma to indoor triggers that worsen their condition; promoting the adoption of operation and maintenance practices in schools throughout the nation to reduce the harmful effects of poor indoor air quality on the health of students and staff; promoting voluntary radon testing by homeowners to identify elevated levels and fix them when they are found, as well as working with homebuilders to incorporate radon resistant construction features into new homes; and encouraging adult smokers to protect their children from the adverse health effects of environmental exposure to secondhand smoke by making a conscious decision to smoke outside and keep their homes and cars smokefree. Radiation - Assistance provided support and enhancement for radiological laboratory capability and capacity across the nation to reduce the gap in analyzing environmental samples following a significant national radiological incident. Key activities include audits and proficiency testing, provision of radiological instrumentation, supplies, training, and limited facilities upgrades. The USEPA's Methane to Markets Partnership Grants program provides cooperative agreements to recipients around the globe to build capacity and promote international capture and use of methane. The grants have become an integral and important capacity building instrument of the Methane to Markets Partnership, a public-private partnership (of more than 33 partner governments) that reduces greenhouse gas (GHG) pollution by

promoting the cost-effective, near-term recovery and use of methane, a GHG that is more than 20 times more potent than carbon dioxide. Methane capture and use projects supported by the partnership through grants and other means are currently reducing emissions by more than 27.3 million metric tons of carbon dioxide equivalent ~ annually equivalent to the annual emissions from 5 million passenger vehicles. The USEPA's Greenhouse Gas (GHG) Reporting Grants program will help facilities that participate in voluntary, state-based and federal GHG reporting programs better understand the requirements of voluntary and state GHG reporting programs in comparison to the federal rule; and identify options for how data collected through state and federal reporting requirements may be used to inform state GHG programs and facility-level efforts to identify emissions-reduction opportunities. Fiscal Year 2012: FY 2012 program accomplishments data not yet available. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, Research, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

#### **Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

#### **Headquarters Office:**

Maureen Hingeley Office of Air and Radiation, Ariel Rios North Building, 1200 Pennsylvania Avenue, N.W., Mail Code 6102A, Washington, District of Columbia 20460 Email: hingeley.maureen@epa.gov Phone: 202-564-1306

#### **Website Address:**

<http://www.epa.gov/air/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Conducting training courses and outreach activities for environmental health professionals on indoor air quality topics including asthma triggers, schools, radon, indoor air quality in homes, large buildings, and community outreach; Assistance provided support and enhancement for radiological laboratory capability and capacity across the nation to reduce the gap in analyzing environmental samples following a significant national radiological incident; Climate change tribal impacts, communications, and outreach; Activities that advance methane recovery and use as a clean energy source; Integrated assessment of multiple greenhouse gases, climate impacts, and pollution; Implementation of energy-efficient standards and labeling programs in developing countries; Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; Projects that involve regional outreach and education benefits of renewable energy, encouraging state and local governments to make green power purchases; Demonstrating the effectiveness and viability of retrofit technologies in reducing harmful air emissions from existing diesel highway, heavy-duty vehicles and to achieve actual local emission reductions; Educating the business and consumer sectors on the benefits of improving energy performance; Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; Projects that involve regional outreach and education on the benefits of renewable energy, encouraging state and local governments to make green power purchases, and; Projects that reduce emissions through improved greenhouse gas management and clean energy programs. Fiscal Year 2012: Conducting training courses and outreach activities for environmental health professionals on indoor air quality topics including asthma triggers, schools, radon, indoor air quality in homes, large buildings, and community outreach; Assistance provided support and enhancement for radiological laboratory capability and capacity across the nation to reduce the gap in analyzing environmental samples following a significant national radiological incident; Climate change tribal impacts, communications, and outreach; Activities that advance methane recovery and use as a clean energy source; Integrated assessment of multiple greenhouse gases, climate impacts, and pollution; Implementation of energy-efficient standards and labeling programs in

developing countries; Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; Projects that involve regional outreach and education benefits of renewable energy, encouraging state and local governments to make green power purchases; Demonstrating the effectiveness and viability of retrofit technologies in reducing harmful air emissions from existing diesel highway, heavy-duty vehicles and to achieve actual local emission reductions; Educating the business and consumer sectors on the benefits of improving energy performance; Market transformation projects that will increase public awareness of the health benefits and cost savings associated with the use of energy efficient products and services; Projects that involve regional outreach and education on the benefits of renewable energy, encouraging state and local governments to make green power purchases, and; Projects that reduce emissions through improved greenhouse gas management and clean energy programs. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed Surveys, Studies, Research, and Investigations projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.035 COMMUNITY ACTION FOR A RENEWED ENVIRONMENT (CARE) PROGRAM**

(CARE)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Safe Drinking Water Act, Section 1442(a)&(c)(A); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a), Public Law 106-74; Clean Water Act, Section 104(b)(3); Toxics Substances Control Act, Section 10, Public Law 106-74; Marine Protection, Research, and Sanctuaries Act, Section 203; Clean Air Act, Section 103(b)(3); Solid Waste Disposal Act, Section 8001; National Environmental Policy Act, Section 102(2)(F).

#### **OBJECTIVES:**

To support analyses, studies, evaluations, surveys, investigations, conferences, demonstrations and special purpose projects which empower communities to reduce risks from exposures to toxic pollutants in the air, in the water, and on the land through collaborative action at the local level.

Funding Priority - Fiscal Year 2012: The CARE program aims to: (1) Reduce exposures to toxic pollutants through collaborative action at the local level; (2) Help communities gain an understanding of all potential sources of exposure to toxic pollutants; (3) Work with communities to set priorities for risk reduction activities; and, (4) Create self sustaining, community based partnerships that will continue to improve the local environment.

The following program strategies will be used: (1) Provide information and a variety of tools to help communities understand and assess toxic risks; (2) Collaborate with community stakeholder groups to prioritize plans for risk reduction; (3) Mobilize local resources and utilize EPA voluntary programs to implement risk reduction activities; (4) Link EPA programs together to efficiently support communities; (5) Create a positive environment that encourages all members of the community including businesses and colleges and universities to join the collaborative partnership; (6) Facilitate networking among CARE communities to share experiences and lessons learned; and, (7) Build long term community capacity to continue improving the local environment.

A CARE Request for Proposals will not be issued in 2012.

Funding Priority - Fiscal Year 2013: The CARE program aims to: (1) Reduce exposures to toxic pollutants through collaborative action at the local level; (2) Help communities gain an understanding of all potential sources of exposure to toxic pollutants; (3) Work with communities to set priorities for risk reduction activities; and, (4) Create self sustaining, community based partnerships that

will continue to improve the local environment.

The following program strategies will be used: (1) Provide information and a variety of tools to help communities understand and assess toxic risks; (2) Collaborate with community stakeholder groups to prioritize plans for risk reduction; (3) Mobilize local resources and utilize EPA voluntary programs to implement risk reduction activities; (4) Link EPA programs together to efficiently support communities; (5) Create a positive environment that encourages all members of the community including businesses and colleges and universities to join the collaborative partnership; (6) Facilitate networking among CARE communities to share experiences and lessons learned; and, (7) Build long term community capacity to continue improving the local environment.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Cooperative Agreements are available to support recipients' allowable direct costs related to approved surveys, analyses, studies, evaluations, conferences, investigations, demonstrations and special purpose projects plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Local, Public non-profit institution/organizations, Federally Recognized Indian Tribal Government, Native American Organizations, Private nonprofit institution/organization, Quasi-public nonprofit institution/organization, local government, colleges, universities, interstate and intrastate. Proposals to renew or supplement existing projects are eligible to compete. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Local, Public non-profit institution/organizations, Federally Recognized Indian Tribal Government, Native American Organizations, Private nonprofit institution/organization, Quasi-public nonprofit institution/organization, local government, colleges, universities, interstate and intrastate.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the announcement of the competitive funding opportunity. Competition will be conducted in accordance with EPA

policies/regulations for competing assistance agreements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, D.C. 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

None. Generally, EPA incrementally funds cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the projects to EPA's priorities, availability of funds, and Agency policy on the cooperative agreement process.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

EPA normally funds cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements and most CARE awards will be for 18 to 36 months. EPA limits project periods to 5 years. Any resulting cooperative agreement awards will normally be awarded on a quarterly basis. Applicants will be notified of an award in accordance with the information specified in any resulting solicitation. See the following for information on how assistance is awarded/released: Assistance agreements will be fully funded by a lump sum or partially funded yearly.

#### **Reports:**

EPA includes reporting requirements for cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations (Part 30 and Part 31).

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations (40 CFR Part 31). Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations (40 CFR Part 31). Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations (40 CFR Part 31). No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations (40 CFR Part 31).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profit and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in cooperative agreements available to personnel authorized to examine EPA recipients cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,595,945; FY 12 est \$0; and FY 13 est \$2,069,000

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Cooperative agreements awarded based on Level I agreements will range from \$75,000 to \$100,000 with an average Level I award of \$90,000. Level II agreements will range from \$150,000 to \$300,000 with an average Level II award of \$275,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The CARE program uses two sets of cooperative agreements. In the smaller Level I agreements, the community, working with EPA, creates a collaborative problem solving group made up of the various stakeholders in the community. That group assesses the community's toxic exposure problems and begins to identify potential solutions. In the larger Level II agreements, the community, working with EPA selects and funds projects that reduce risk and improve the environment in the community. CARE communities have implemented a variety of EPA Partnership Programs and reduced citizen's exposure to toxics including lead, diesel emissions, solid waste, indoor air, mercury, drinking water pollutants, waste water contamination, and environmental tobacco smoke. The communities have also reduced emissions of green house gases.

In FY 2011, 125 applications were received and 10 projects were funded, including three Level I projects graduating to a Level II project. Fiscal Year 2012: The CARE program uses two sets of cooperative agreements. In the smaller Level I agreements, the community, working with EPA, creates a collaborative problem solving group made up of the various stakeholders in the community. That group assesses the community's toxic exposure problems and begins to identify potential solutions. In the larger Level II agreements, the community, working with EPA selects and funds projects that reduce risk and improve the environment in the community. CARE communities have

implemented a variety of EPA Partnership Programs and reduced citizen's exposure to toxics including lead, diesel emissions, solid waste, indoor air, mercury, drinking water pollutants, waste water contamination, and environmental tobacco smoke. The communities have also reduced emissions of green house gases. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions and FAR Part 31 for profit makers.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Marva King, EPA Headquarters, Ariel Rios Building , 1200 Pennsylvania Avenue, N. W. , Mail Code: 6101A , Washington, District of Columbia 20460 Email: king.marva@epa.gov Phone: (202) 564-2599.

**Website Address:**

<http://www.epa.gov/care/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects funded under the CARE program include: (1) the development of an assessment of toxins and pollution sources used to educate residents about their impact on local health and the environment; (2) assisting owners of homes with lead-based paint in obtaining remediation funds and development of a neighborhood toxic education program; (3) the study of all potential local sources of toxic risk in order to develop a long-term voluntary toxics management system to reduce the generation of toxic pollutants; (4) the creation of a Community Partnership that is a multi-stakeholder group - that includes industries, communities, small business owners - to conduct a community capacity building program to identify the concerns of the communities and to discuss how to address them; and (5) a collaborative project with community agencies to address the negative environmental and public health impact that small automotive repair and body shops have on their employees and neighbors, while avoiding putting shops out of business by regulatory enforcement. Fiscal Year 2012: Not applicable as no funding will be provided in FY 12. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals will be selected in accordance with announced criteria. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives and; for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.037 INTERNSHIPS, TRAINING AND WORKSHOPS FOR THE OFFICE OF AIR AND RADIATION**

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103(b)(3), Public Law 42-7403; National Environmental Policy Act of 1969, Section 102(2)(F), Public Law 91-190, 42 U.S.C 4332.

**OBJECTIVES:**

To provide, Internships, Training, Workshops, and Technical Monitoring in support of the Clean Air Act. These activities aim to: (1) support the

development of career-oriented personnel qualified to work in occupations involving environmental protection and air pollution abatement and control; (2) provide technical training for State, local, territorial, and Indian Tribal environmental control agencies; (3) enhance the capability of state and local agencies responsible for environmental pollution control or other agencies with similar pollution control responsibilities; (4) provide educational renewal for career oriented personnel to achieve additional knowledge through academic professional training; (5) provide both undergraduate and graduate students in science, engineering, and other relevant fields with education and training opportunities to enhance their understanding of air quality-related topics; and, (6) to increase the quality and number of people into the environmental control field.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

This program will continue to provide environmental education training to a wide range of audiences regarding all aspects of air quality; development of workshops and environmental education programs in air quality based on identified needs; provide technical support to ensure quality information is available to support programs; and utilize knowledge developed in training workshops to wider audience.

US-Mexico Border Environmental Education, Outreach and Support Program. Designed for students in elementary, secondary and higher education, as well as others in the community, to focus on air quality impacts and environmental justice issues in the US Mexico Border region. The program also includes outreach to local communities on air quality and related environmental justice issues and the development of a website to disseminate the environmental education curriculum.

Tribal Environmental Education, Outreach and Support Program. Provides outreach, training and environmental education to American Indian students, educators and communities on a variety of air quality topics and opportunities to participate and pursue environmental careers, particularly in air quality management.

The American Indian Air Quality Training Program. Provides workshop training, internships and technical support to tribal governments to investigate, develop and establish air quality management programs for lands under their jurisdiction. The Tribal Air Monitoring Support Center is a component of this program and provides a full spectrum of technical support to tribes undertaking air quality monitoring and related activities.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Assistance agreements are available to support recipients' allowable direct costs incident to approved projects for internships, training and workshops related to environmental issues plus allowable indirect costs, in accordance with established EPA policies and regulations. This requirement does not involve geospatial information.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S., including the Federally Recognized Indian Tribal Government, District of Columbia and

possessions of the U.S., international organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and Federally Recognized Indian Tribal Governments.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424, Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog or downloaded from <http://www.epa.gov/ogd/forms/forms.htm>. Applicants must submit their requests for training assistance on EPA Standard Form 424 and the fellowship assistance on EPA Standard Form 5770-2. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days after the deadline for the Request for Applications.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

None. All projects will be fully funded.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

If the grant is not fully funded at time of award, EPA normally funds grants on a 12-month incremental basis. Each grant is limited to a 3-year duration. See the following for information on how assistance is awarded/released: Assistance Agreements are typically fully funded by a lump sum.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial and equipment reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,586,196; FY 12 est \$1,586,196; and FY 13 est \$1,586,000

**Range and Average of Financial Assistance:**

EPA generally awards grants ranging in value from \$50,000 to \$500,000 per fiscal year. The average amount is \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Enhanced tribal air quality management programs and increasing environmental protection for areas under their jurisdiction. Increased participation of federally recognized Indian tribes in matters related to air quality policy and regulation, in order to fully implement the CAA in Indian county in a manner consistent with the legal relationship between the United States and those Indian tribes. Increased number of tribes commenting on EPA's Office of Air and Radiation policy and regulatory actions. Increased tribal representation on advisory boards, committees and workgroups advising EPA on air quality activities. Increased number of Native Americans engaged in post-secondary study of air quality and environmental management. Increased

activity and representation of tribal interests in local, regional and national air quality management. Implementing an environmental education program to students focusing on air quality impacts and environmental justice issues in the US Mexico Border region, and providing outreach to local communities of environmental education program. Fiscal Year 2012: Enhanced tribal air quality management programs and increasing environmental protection for areas under their jurisdiction. Increased participation of federally recognized Indian tribes in matters related to air quality policy and regulation, in order to fully implement the CAA in Indian county in a manner consistent with the legal relationship between the United States and those Indian tribes. Increased number of tribes commenting on EPA's Office of Air and Radiation policy and regulatory actions. Increased tribal representation on advisory boards, committees and workgroups advising EPA on air quality activities. Increased number of Native Americans engaged in post-secondary study of air quality and environmental management. Increased activity and representation of tribal interests in local, regional and national air quality management. Implementing an environmental education program to students focusing on air quality impacts and environmental justice issues in the US Mexico Border region, and providing outreach to local communities of environmental education program. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training grants are subject to EPA's General Grant Regulations 40 CFR Part 30 and Part 31; 40 CFR Part 45; and EPA Annual Program Guidance provided to State and Local agencies.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Maureen Hingeley Office of Air and Radiation, Ariel Rios North Building, 1200 Pennsylvania Avenue, N.W., Mail Code 6101A, Washington, District of Columbia 20460 Email: hingeley.maureen@epa.gov Phone: 202-564-1306

**Website Address:**

<http://www.epa.gov/air>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects include providing comprehensive air quality policy and regulatory analysis consisting of support and national coordination activities to assist tribes in understanding, participating in and responding to US EPA's Office of Air and Radiation (OAR) policy and regulatory activities; ensuring American Indian students, educators, and communities are properly informed of, and provided with opportunities to participate in, and pursue environmental careers in the field of air quality management; the American Indian Air Quality Training Program (AIAQTP), which includes workshop training, internships and technical support to tribal governments seeking to investigate, develop and establish air quality management programs for lands under their jurisdiction; US/Mexico Border Environmental Education Program; University of Texas, El Paso's 'Buen Ambiente, Buena Salud' program for a 3-12 environmental education curriculum; and undergraduate and graduate internships focusing on air quality and environmental justice issues in the US Mexico Border region. The program will also include outreach to local communities on air quality and related environmental justice issues and the development of a website to disseminate the environmental education curriculum. Fiscal Year 2012: Projects include providing comprehensive air quality policy and regulatory analysis consisting of support and national coordination activities to assist tribes in understanding, participating in and responding to US EPA's Office of Air and Radiation (OAR) policy and regulatory activities; ensuring American Indian students, educators, and communities are properly informed of, and provided with opportunities to participate in, and pursue environmental careers in the field of air quality management; the American Indian Air Quality Training Program (AIAQTP), which includes workshop training, internships and technical support to tribal governments seeking to investigate, develop and establish air quality management programs for lands under their jurisdiction; US/Mexico Border Environmental Education Program; University of Texas, El Paso's 'Buen



Ambiente, Buena Salud' program for a 3-12 environmental education curriculum; and undergraduate and graduate internships focusing on air quality and environmental justice issues in the US Mexico Border region. The program will also include outreach to local communities on air quality and related environmental justice issues and the development of a website to disseminate the environmental education curriculum. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.038 TRAINING, INVESTIGATIONS, AND SPECIAL PURPOSE ACTIVITIES OF FEDERALLY-RECOGNIZED INDIAN TRIBES CONSISTENT WITH THE CLEAN AIR ACT (CAA), TRIBAL SOVEREIGNTY AND THE PROTECTION AND MANAGEMENT OF AIR QUALITY**

(Tribal CAA 103 Project Grants)

#### **FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Air Act of 1963, Section 103, Public Law 95-95, 42 U.S.C 7403.

#### **OBJECTIVES:**

To support Federally-recognized Indian Tribes' efforts to understand, assess and characterize air quality; design methods and plans to protect and improve air quality on tribal lands through surveys, studies, research, training, investigations, and special purpose activities. To ensure tribes have appropriate levels of support and opportunity to understand their air quality and take proactive measures to preserve, restore and protect air quality for their reservations and other lands over which they have jurisdiction through tribal program implementation, CAA implementation, radiation protection, mobile source controls, and voluntary programs to address outdoor and indoor air and other concerns. To ensure that all tribes have the tools they need to understand and participate in local, regional and national issues, regulatory and policy developments, and to protect their air quality from activities off the reservation that may affect or impact them. To improve the ability of tribes to understand, define, design and participate in activities that affect their air quality.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority - Fiscal Year 2012: EPA and Tribes, in partnership, will protect public health, the environment, and unique Tribal air resources, consistent with the CAA, its Amendments, and EPA's trust responsibilities. This program will ensure Tribes have appropriate levels of support and opportunity to understand their own air quality and take proactive measures to preserve, restore, and protect air quality for their reservations and other lands over which they have jurisdiction through CAA implementation, radiation protection, mobile source controls, and voluntary programs to address indoor and outdoor air and other concerns. Activities will ensure that all Tribes have the tools they need to understand and participate in local, regional, and national issues and to protect their air quality from changes off reservation that may impact them. Key activities include: (1) Training and Program Development - this area includes technical, administrative, and policy related training conducted in-person, on-line, and/or by any remote technological method supporting the enhancement of skills that contribute to development of tribal air quality management activities; (2) Assessment and Monitoring - activities related to assessment may include short or long term efforts to define, design, understand, and assess in a qualitative or quantitative manner (such as through an emission or source inventory) the impacts of air pollutants to human health, the environment, and items of cultural importance. Monitoring includes numerous activities that gather data about the state of the environment and measuring the concentrations and potential effects of criteria and/or toxic air pollutants; (3) Developing capacity or a plan for eligibility under the Tribal Authority Rule - developing capacity includes activities that increase the

experience and expertise of tribes to understand and assess air quality, including technical, administrative, policy, regulatory, education and outreach, communication skills, training, and building contacts, networks and experience. Capacity includes carrying-out these programs and activities, interacting with the national air program and providing input, guidance, and perspective to efforts to develop policies, regulations, and guidance at the local, regional, and national level including reading, report writing, grant writing and reporting, budgeting, public speaking, developing presentations, preparing comments, editing documents, operating and maintaining equipment, and participating in meetings. Developing a plan for eligibility under the Tribal Authority Rule (TAR) includes report reading and writing, grant writing and reporting, budgeting, public speaking, presentation development, comment preparation, document editing, equipment operation and maintenance, and meeting participation; (4) Delegation or Ongoing Capability Development - This activity includes developing technical, administrative, and management skills, knowledge, and abilities through experience, training, and education to enable activities such as reading and interpreting federal regulations, operating equipment, preparing and presenting technical information and reports, interacting with tribal communities and governments, federal bureaucrats and bureaucracy, providing outreach and education, public speaking, conducting public hearings, collecting and analyzing data, developing plans and innovative approaches to pollution control in a culturally sensitive manner; and (5) Tribal Implementation Plan development - tribes may conduct all aspects of air quality management at an advanced level, including data analysis, analyzing, interpreting and commenting on administrative and regulatory requirements and activities at local, state, regional and national levels, developing advanced technical, policy and planning document preparation, and tribal government representation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipient's allowable direct costs incident to approved Tribal air resources activities that will protect public health and the environment, plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Executive Order 12372 does not apply to the program.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is generally available to Federally-recognized Indian Tribes and Intertribal Consortia, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Air and Radiation's mission. Tribal CAA 103 Project Grants have been determined by the Agency as exempt from competition under EPA Order 5700.5A1.

#### **Beneficiary Eligibility:**

Federally-recognized Indian Tribes and Intertribal Consortia.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants. For additional

information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will review and evaluate applications, proposals, and/or submissions in accordance with EPA policies/regulations for non competitive assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds assistance agreements for Training, Investigations, and Special Purpose. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policies.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds assistance agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements are generally fully funded or on an incremental funding basis. Successful applicants will be notified either via U.S. mail or electronically. See the following for information on how assistance is awarded/released: Assistance agreements are fully funded (lump sum) or incrementally (quarterly) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations found at 40 CFR Part 30 or 31, as applicable.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients are subject to the retention and access requirements for records under 40 CFR Part 31.42. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grant and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$13,300,000; FY 12 est \$13,300,000; and FY 13 est \$13,300,000

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance; the maximum is \$7,750,000. The general range of the amount of assistance is \$25,000 to \$500,000. The average is \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY2011 this program continued to award tribal governments with funding to develop capacity and conduct approved activities. Funded tribes developed tribal air quality management programs, increased environmental protection for areas under their jurisdiction, and their accomplishments include greatly increased activity and representation of tribal interests in local, regional and national air quality management. Tribes continued to develop Tribal Implementation Plans and requests for CAA eligibility for both administrative and programmatic CAA elements. Fiscal Year 2012: In FY2012 this program provided 115 tribal governments with funding to develop capacity and conduct approved activities under the CFDA. Funded tribes are developing tribal air quality management programs, increasing environmental protection for areas under their jurisdiction, through development of programs to implement Clean Air Act and other air quality protections for Indian country, and their accomplishments include greatly increased activity and representation of tribal interests in local, regional and national air quality management, a desirable outcome. In addition, more tribes completed TAS CAA eligibility determinations in FY12, a significant accomplishment towards enhanced environmental protection in Indian country, bringing the cumulative total number of tribes with completed TAS to 38. Tribes also completed a number of activities, including developing Tribal Implementation Plans, completing requests for CAA eligibility for both administrative and programmatic CAA elements. Fifteen specialized tribal training workshops have been conducted training 136 individuals from 98 tribes across the nation. This brings the cumulative total number of tribal students trained by ITEP to over 4,000. Over 125 individuals and 11 different tribes have requested and received individualized technical support, information or assistance on a variety of air quality management topics. Out of 50 applicants and 26 host requests, eight interns were placed in air quality management offices nationwide, including at tribal government and US EPA Offices to advance their air quality management skills. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training, Investigations, and Special Purpose grants and cooperative agreements are subject to EPA General Grant Regulations 40 CFR Part 31. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Darrel Harmon, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W., Mail Code: 6101A, Washington, District of Columbia 20460  
Email: harmon.darrel@epa.gov Phone: (202) 564-7416.

**Website Address:**

<http://www.epa.gov/air/tribal>

**RELATED PROGRAMS:**

66.001 Air Pollution Control Program Support; 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants awarded to fund tribal air quality management program development, air quality assessments, air pollution emission inventory development, tribal air quality monitoring for ozone, particulate matter, sulfur dioxide, nitrogen oxides, acid deposition, and mercury; management of indoor air quality including radon; development and implementation of TAS authority under the Tribal Authority Rule and CAA program development and implementation of administrative and programmatic elements of the CAA.

Fiscal Year 2012: One hundred fifteen grants awarded to fund tribal air quality management program development, air quality assessments, air pollution emission inventory development, tribal air quality monitoring for ozone, particulate matter, sulfur dioxide, nitrogen oxides, acid deposition, and mercury; development and implementation of TAS authority under the Tribal Authority Rule and CAA program development and implementation of administrative and programmatic elements of the CAA; specific examples include smoke management plans; Tribal Implementation Plans; Air Quality Management Program development; Indoor Air Quality management and assessment; and, the American Indian Air Quality Training Program including the Tribal Air Monitoring Support Center, a partnership between tribes, EPA and Northern Arizona University to provide training and technical support to tribes monitoring air quality and implementing the Clean Air Act and other air quality management projects and programs; and, the Environmental Education Outreach Program at Northern Arizona University, to encourage tribal students to pursue careers in air quality, where they are significantly under-represented.

Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications and proposals are selected for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. Tribal CAA 103 Project Grants have been determined exempt from competition under EPA Order 5700.5A1.

**66.039 NATIONAL CLEAN DIESEL EMISSIONS REDUCTION PROGRAM**

(DERA National Program)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

Energy Policy Act of 2005, Title VII, Part G, 42 U.S.C 16131; Energy Policy Act of 2005 as amended (The Diesel Emissions Reduction Act), Title 7(G), 42 U.S.C 16131.

**OBJECTIVES:**

The Diesel Emissions Reduction Act, 42 U.S.C. 16131 et seq., as amended, authorization includes the authority for EPA to award grants and low-cost revolving loans to eligible entities to fund the costs of a retrofit technology that significantly reduces emissions through implementation of a certified engine configuration, verified technology, or emerging technology for buses (including school buses), medium heavy-duty or heavy heavy-duty diesel trucks, marine engines, locomotives, or nonroad engines or diesel vehicles or equipment used in construction, handling of cargo (including at port or airport), agriculture, mining, or energy production. In addition, eligible entities may also use funds awarded for programs or projects to reduce long-duration idling using verified technology involving a vehicle or equipment described above, or the creation of

low-cost revolving loan programs to finance diesel emissions reduction projects. The objective of the assistance under this program is to achieve significant reductions in diesel emissions in terms of tons of pollution produced and reductions in diesel emissions exposure, particularly from fleets operating in areas designated by the Administrator as poor air quality areas.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

This program aims to work aggressively to reduce the pollution emitted from diesel engines across the country through the implementation of varied control strategies and aggressive involvement of national, state, and local partners. Priority shall be given to projects which: Maximize public health benefits; Are the most cost-effective; Serve areas with the highest population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns); Serve areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, construction sites, schools and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions; Include a certified engine configuration, verified technology, or emerging technology that has a long expected useful life; Will maximize the useful life of any certified engine configuration, verified technology, or emerging technology used or funded by the eligible entity; and Conserve diesel fuel.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance agreements are available to support recipient's allowable costs incident to supporting projects to reduce emissions from diesel engines, plus allowable indirect costs, in accordance with established EPA policies and regulations. No grant or loan provided under this section shall be used to fund the costs of emissions reductions that are mandated under Federal law. Voluntary or elective emission reduction measures shall not be considered "mandated", regardless of whether the reductions are included in the State implementation plan of a State. Distribution of Funds: 1) not less than 95 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for projects using a certified engine configuration or a verified technology and 2) not more than 5 percent of funds available for a fiscal year under the DERA National Program shall be provided to eligible entities for the development and commercialization and implementation of emerging technologies.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

A regional, State, local or tribal agency or port authority with jurisdiction over transportation or air quality; and a nonprofit organization or institution that represents or provides pollution reduction or educational services to persons or organizations that own or operate diesel fleets; or has, as its principal purpose, the promotion of transportation or air quality are eligible for assistance under this program. City, county, or municipal agencies, school districts, and metropolitan planning organizations (MPOs) that have jurisdiction over transportation or air quality are all eligible entities under this program to the extent that they fall within the definition above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Anyone/General Public.

**Credentials/Documentation:**

Costs will be determined in accordance with Office of Management and Budget (OMB) Circular A-87, found at 2 CFR 225, for State and local governments and Indian Tribes, OMB Circular No. A-21, found at 2 CFR 220, for educational institutions, and OMB Circular No. A-122, found at 2 CFR 230, for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. By law Section 792 includes application requirements. In addition, EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA's Office of Air and Radiation and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Generally, EPA fully funds assistance agreements under this program.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: There is no requirement for a matching contribution from applicants other than for certain projects (engine upgrades, idle reduction technologies, aerodynamic technologies and low rolling resistance tires, engine repowers, vehicle/equipment replacements, and drayage vehicle replacements). Proposed projects involving engine upgrades, idle reduction technologies, aerodynamic technologies and low rolling resistance tires, engine repowers, vehicle/equipment replacements, and drayage vehicle replacements are subject

to funding limitations, which are:

Engine Upgrade - EPA will fund up to 50% of the cost of an eligible engine upgrade.

Idle Reduction Technologies - EPA will not fund stand-alone idle reduction technologies, except for shore connection systems, truck stop electrification technologies, and idle reduction technologies applied to locomotives as described below. EPA will fund up to 100% of the cost an eligible, verified idle reduction technology, if that technology is combined on the same vehicle with a new eligible verified exhaust control.

Shore Connection Systems and Truck Stop Electrification Technologies - EPA will fund up to 25% of the cost of eligible shore connection systems and truck stop electrification technologies.

Locomotive Idle Reduction Technologies - EPA will fund up to 50% of the cost of an eligible idle reduction technology installed on a locomotive.

Aerodynamic Technologies and Low Rolling Resistance Tires - EPA will not fund stand-alone aerodynamic technologies or low rolling resistance tires. If aerodynamic technologies or low rolling resistance tires are combined on the same vehicle with an eligible verified exhaust control, up to 100% funding will be provided for the entire package.

Engine Repower - EPA will fund up to 50% of the cost of an eligible engine repower.

Vehicle/Equipment Replacement - EPA will fund up to 25% of the cost of a newer, cleaner vehicle or piece of equipment powered by a 2011 or newer model year certified diesel engine (except for drayage vehicles; see below).

Drayage Vehicle Replacement - EPA will fund up to 50% of the cost of eligible drayage trucks with a 2007 model year or newer heavy duty engine, or a 2004-2006 model year heavy duty engine and equipped with a diesel particulate filter that produces at least an 85% reduction in particulate matter (or equipped with a catalyst in the case of a CNG engine).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance agreements funded under the National Clean Diesel Emissions Reduction Program typically have a two-year project period with the possibility for extension up to a five-year project period. FY 2012 is the fifth year of funding for this Program, in addition to the FY 2009 supplemental funding received under the American Recovery and Reinvestment Act (ARRA or Recovery Act). See the following for information on how assistance is awarded/released: Assistance agreements may be fully (lump sum) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations 40 CFR Part 30 and 40 CFR Part 31.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30 and OMB Circular No.A-102 or OMB Circular No.A-110.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$35,000,000; FY 12 est \$19,000,000; and FY 13 est \$10,500,000

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. Smaller grants typically range from \$100,000 - \$300,000 with an average award of \$125,000. Larger grants typically range from \$500,000 - \$2 million with an average award of \$650,000.

Recovery Act Funding under the National Clean Diesel Emissions Reduction Program totaled \$205,800,000.

National Clean Diesel Emissions Reduction Program is divided into 3 competitive categories: (1) National Clean Diesel Funding Assistance Program; (2) Clean Diesel Emerging Technologies Program; (3) SmartWay Clean Diesel Finance Program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For FY 2011, \$35,000,000 was dispersed through approximately 49 grants nationwide. For a list of awarded grants, visit [www.epa.gov/cleandiesel](http://www.epa.gov/cleandiesel) and click on "Grants and Funding." Fiscal Year 2012: In FY 2012, the DERA program awarded 26 grants nationwide, for a total of approximately \$20,000,000. For a list of awarded grants, visit [www.epa.gov/cleandiesel](http://www.epa.gov/cleandiesel) and click on "Grants and Funding." Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Diesel Emissions Reduction program assistance agreements are subject to EPA's general grant regulations (40 CFR Part 30 and Part 31, as applicable).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller.

**Headquarters Office:**

Jennifer Keller, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6405J, Washington, District of Columbia 20460 Email: [keller.jennifer@epa.gov](mailto:keller.jennifer@epa.gov) Phone: (202) 343-9541.

**Website Address:**

<http://www.epa.gov/cleandiesel>

**RELATED PROGRAMS:**

66.040 State Clean Diesel Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects include a variety of diesel emissions reductions

solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Eligible vehicles, engines and equipment may include: buses (including school buses); medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production (including stationary engines such as generators or pumps). Fiscal Year 2012: Projects include a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Eligible vehicles, engines and equipment may include: buses (including school buses); medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production (including stationary engines such as generators or pumps). Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.040 STATE CLEAN DIESEL GRANT PROGRAM**

(DERA State Program)

**FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

**AUTHORIZATION:**

The Energy Policy Act of 2005 as amended (The Diesel Emissions Reduction Act), Title 7(G), 42 U.S.C 16131.

**OBJECTIVES:**

The Diesel Emissions Reduction Act, 42 U.S.C. 16131 et seq., as amended, authorizes EPA to award assistance agreements to States to develop and implement such grant, rebates, and low-cost revolving loan programs in the State as are appropriate to meet State needs and goals relating to the reduction of diesel emissions.

Projects should also focus on addressing environmental justice (EJ) concerns in communities. EJ is the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Funding Priority - Fiscal Year 2012: In providing grants, rebates, and loans under this program, States must give priority to projects which: Maximize public health benefits; Are the most cost-effective; Serve areas with the highest population density, that are poor air quality areas (including nonattainment or maintenance of national ambient air quality standards for a criteria pollutant; Federal Class I areas; or areas with toxic air pollutant concerns); Serve areas that receive a disproportionate quantity of air pollution from diesel fleets, including truck stops, ports, rail yards, terminals, construction sites, schools, and distribution centers or that use a community-based multi-stakeholder collaborative process to reduce toxic emissions; will only include a certified engine configuration, verified technology, or emerging technology that has a long expected useful life; Maximize the useful life of any certified engine configuration, verified technology, or emerging technology used or funded by the eligible entity; and Conserve diesel fuel.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support the development and implementation of such grant, rebate, and low-cost revolving loan programs in a State as are appropriate to meet State needs and goals relating to the reduction of diesel emissions. A grant or loan funded by the State using funds from the DERA State Program must be used for projects involving EPA-verified and/or California Air Resources Board (CARB) verified diesel

emissions reduction technologies and/or EPA certified engines, or emerging diesel emissions reduction technologies or strategies. Funds received under the DERA National Program (see CFDA 66.039) may not be used to pay a matching share under this program. States must use the same statutory priorities as the national competitive program when selecting projects. States receiving funding under this program must comply with public notification requirements.

Recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is available to the 50 states and the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands.

**Beneficiary Eligibility:**

State, Local, Public Nonprofit Institution/Organization, Anyone/General Public.

**Credentials/Documentation:**

Costs for State governments will be determined in accordance with Office of Management and Budget (OMB) Circular A-87, found at 2 CFR 225. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov), or from EPA Regional Collaborative assistance agreement websites. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA's Office of Air and Radiation and/or the 10 EPA Regions will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the Federal Register Notice of Availability of Funds for this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days after the request for applications.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Permitted. Generally, EPA incrementally funds cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project

progress, continued relevance of the projects to EPA's priorities, availability of funds, and Agency policy on the cooperative agreement process.

**Formula and Matching Requirements:**

Statutory Formula: Title 42 U.S.C. 16133(c).

This program has no matching requirements. This program has a statutory allocation formula (42 U.S.C. 16133(c)). There is no match requirement for this program. However, there is an incentive match provision (42 U.S.C. 16133(c)(3)).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements funded under this program may have up to a seven-year project period. See the following for information on how assistance is awarded/released: Assistance agreements may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 31. Recipients must make a public notification listing project information on their State websites within 60 days of a grant, rebate, or loan. Website postings must include the total number and dollar amount of rebates, grants, or loans provided, as well as a breakdown of the technologies funded.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries in accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipient grants and cooperative agreement records. Recipients must maintain all records until 3 years from the date of submission of the final expenditure reports. If questions, such as those raised as a result of an audit remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$15,000,000; FY 12 est \$8,900,000; and FY 13 est \$4,500,000

**Range and Average of Financial Assistance:**

There is no minimum or maximum amount of assistance. The range is estimated from \$28,000 (Island Base Amount) to approximately \$168,000 (non-Island State Base Amount), depending on whether all eligible states participate in FY 2012. If fewer than 53 eligible states participate, the base amount of the non participating states will be distributed among the participating states according to population, in accordance with 42 U.S.C. 16133(c)(2)(C).

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 49 States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands participated in the program. Each State was awarded a cooperative agreement for clean diesel activities. Fiscal Year 2012: In FY 2012, 39 States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands will participate in the program. Each State will be awarded a cooperative agreement for clean diesel activities. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

State Clean Diesel Grant Program grants and cooperative agreements are subject to EPA's general grant regulations (40 CFR Part 31).

#### **Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or Jennifer Keller.

#### **Headquarters Office:**

Jennifer Keller, Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6405J, Washington, District of Columbia 20460 Email: keller.jennifer@epa.gov Phone: (202) 343-9541.

#### **Website Address:**

<http://www.epa.gov/cleandiesel>

#### **RELATED PROGRAMS:**

66.039 National Clean Diesel Funding Assistance Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: States may use funds under this program to develop and implement grant and loan programs that are designed to achieve significant reductions in diesel emissions and are appropriate to meet State needs and goals relating to the reduction of diesel emissions. State grant and loan programs may fund projects relating to a certified engine configuration or a verified technology for vehicles, engines and equipment, including: buses; medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production. Projects under the State's grant program may include, but are not limited to, a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Fiscal Year 2012: States may use funds under this program to develop and implement grant and loan programs that are designed to achieve significant reductions in diesel emissions and are appropriate to meet State needs and goals relating to the reduction of diesel emissions. State grant and loan programs may fund projects relating to a certified engine configuration or a verified technology for vehicles, engines and equipment, including: buses; medium-duty or heavy-duty trucks; marine engines; locomotives; and nonroad engines or vehicles used in: i) construction; ii) handling or cargo (including at a port or airport); iii) agriculture; iv) mining; or v) energy production. Projects under the State's grant program may include, but are not limited to, a variety of diesel emissions reductions solutions such as: add-on emission control retrofit technologies; idle reduction technologies; cleaner fuel use; engine repowers; engine upgrades; and/or vehicle or equipment replacement; and the creation of low-cost revolving loan programs to finance diesel emissions reduction projects. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for awards under this CFDA description will be described in the FY 2012 State Program Guidelines, in accordance with 42 U.S.C. 16133(b).

## **66.042 TEMPORALLY INTEGRATED MONITORING OF ECOSYSTEMS (TIME) AND LONG-TERM MONITORING (LTM) PROGRAM**

### **TIME/LTM**

#### **FEDERAL AGENCY:**

Office of Air and Radiation, Environmental Protection Agency

#### **AUTHORIZATION:**

National Environmental Policy Act, Section 102(2)(F); Clean Air Act, Section 103(b)(3); Clean Water Act, Section 104(b)(3).

#### **OBJECTIVES:**

Clean Air Act section 103(b)(3) authorizes EPA to conduct and promote the coordination and acceleration of research, investigations, experiments, demonstrations, surveys, studies relating to the causes, effects (including health and welfare effects), extent, prevention and control of air pollution. Clean Water Act section 104(b)(3) authorizes EPA to award grants to conduct and promote the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys and studies relating to the causes, effects, extent, prevention, reduction and elimination of pollution. EPA will award cooperative agreements to study the ecological response to pollution reduction and emissions control programs. The programs will assist in understanding biogeochemical changes in sulfur, nitrogen, mercury, and carbon in streams and lakes in relation to changing pollutant emissions and deposition, as well as other factors, such as potential climate change (e.g., temperature, precipitation, timing of storm events).

The TIME/LTM programs will support initiatives that demonstrate the potential for tracking and understanding the ecological response to air pollution reduction programs in acid-sensitive regions of the U.S. Funding will be available for applicants that demonstrate the ability to provide consistent, reliable, quality-assured data from lakes and streams for a variety of surface water chemistry parameters (e.g., pH, sulfate and nitrate concentrations, acid neutralizing capacity, aluminum concentrations, base cations).

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

EPA will implement this grant authority by awarding cooperative agreements to state and local governments, institutions of higher education, and quasi-public and non-profit organizations that demonstrate the capability to perform the sampling, measurement, and parameter characterization of the lakes and streams in this long-term ecological system response program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; intertribal consortia; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. An intertribal consortium must meet the definition of eligibility in the Environmental Program Grants for Tribes Final Rule, at 40 CFR 35.504 (66 FR 3782, January 16, 2001) (FRL-6929-5) and be a non-profit organization within the meaning of OMB Circular A-122. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the

Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments in acid-sensitive regions of the U.S., institutions of higher education, scientific research community, general public.

**Credentials/Documentation:**

OMB Circular A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 are applicable. In addition, EPA requires final applications to be made on Standard Form 424, Application for Federal Assistance. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460. Standard Form 424 is also available for download at EPA's Office of Grants and Debarment (OGD) web site, <http://www.epa.gov/ogd/AppKit/application.htm>, from [www.grants.gov](http://www.grants.gov). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. While there is no statutory or regulatory cost sharing requirement for this program, as a matter of policy the Agency may impose a cost sharing requirement in specific competitions. If the Agency decides to do this, the cost sharing terms will be stated in Section III of the competitive announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds assistance agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 7 years. See the following for information on how assistance is awarded/released: Assistance agreements

may be incrementally (quarterly) or fully (lump sum) funded.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31, as applicable.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30, as applicable. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30, as applicable. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30, as applicable. No expenditure reports are required. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 or 40 CFR Part 30, as applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients' grants or cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$366,000; FY 12 est \$382,000; and FY 13 est \$391,500

**Range and Average of Financial Assistance:**

There is no minimum amount of assistance. EPA anticipates awards ranging in total value of \$640,000 to \$1,400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The two grantees successfully fulfilled their assistance agreement project performance and financial obligations. Approximately 750 lake and stream samples from 108 TIME and LTM sites in NY and VT were collected and analyzed, thus continuing a 30-year data set for the TIME/LTM sites. Fiscal Year 2012: The two grantees successfully fulfilled their assistance agreement project performance and financial obligations. Approximately 750 lake and stream samples from 108 TIME and LTM sites in NY and VT were collected and analyzed, thus continuing a 30-year data set for the TIME/LTM sites. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

TIME/LTM assistance agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31, as applicable).

**Regional or Local Office:**

None.

**Headquarters Office:**



Clara Funk US Environmental Protection Agency, 1200 Pennsylvania Avenue, N.W., Mail Code: 6204J, Washington, District of Columbia 20460 Email: funk.clara@epa.gov Phone: (202) 343-9622

**Website Address:**

<http://www.epa.gov/airmarkets/assessments/surfacewater.html>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects consisted of monitoring of small headwaters streams in undeveloped watersheds; monitoring of lakes smaller than four hectares with low acid neutralizing capacity levels in acid-sensitive regions; monitoring of lake and stream sulfate and nitrate concentrations in acid-sensitive regions of the eastern U.S. Fiscal Year 2012: Projects consisted of monitoring of small headwaters streams in undeveloped watersheds; monitoring of lakes smaller than four hectares with low acid neutralizing capacity levels in acid-sensitive regions; monitoring of lake and stream sulfate and nitrate concentrations in acid-sensitive regions of the eastern U.S. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EPA selects proposed TIME/LTM projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.050 POTOMAC HIGHLANDS IMPLEMENTATION GRANTS**

**FEDERAL AGENCY:**

Region 3, Environmental Protection Agency

**AUTHORIZATION:**

EPA's Fiscal Year 2010 Appropriation Act ("Department of the Interior, Environment, and Related Agencies Appropriation Act, 2010") , Public Law 111-88.

**OBJECTIVES:**

To protect and restore the resources of the Potomac Highlands through implementation of conservation and restoration work. The Mid-Atlantic Highland's Action Program (HAP) is the foundation for the Potomac Highlands Implementation Grant. The Mid-Atlantic Highlands encompasses 79,000 square miles in the Central Appalachians of Maryland, Pennsylvania, Virginia, and West Virginia. The region hosts some of the most diverse and globally important resources on Earth. It is rich in natural and cultural heritage where the environment plays an important role in the quality of life. After years of resource extraction and lack of regard for natural resources, the Mid-Atlantic Highlands has become an area in need of attention. Congress recognized the uniqueness of the area and the need to perform restoration, conservation and protection projects. In 2002, Congress funded the Mid-Atlantic Highland Action Program (HAP).

HAP uses the best available science including strategic conservation, to improve the natural resources and socio-economic conditions in the Highlands. Strategic conservation aims to build networks and connections between high value ecosystems by protecting intact resources and enhancing or restoring other areas. This strategic approach provides a framework for revitalizing and connecting forested headwaters and lands through river corridors and natural stream channel design, wetlands, working lands, ridge lines, steep slopes, riparian buffers, and flood plains. HAP is working toward achieving the following program goals:

-Highlighting, protecting, and conserving special places that have ecological and cultural importance;

-Highlighting important connections between these special places;

-Revitalizing damaged ecosystems especially in key ecological corridors;

-Empowering citizens and communities to strengthen the linkages among cultural heritage, economic viability and the condition of the environment;

-Enhancing opportunities for the restoration industry in the Highlands, which will enhance lasting employment opportunities for its residents; and

-Leveraging existing resources to support all these goals.

Potomac Highlands Implementation Grants will support the HAP goals within the geographic boundaries as defined above.

Funding Priority - Fiscal Year 2021: This program is not being funded in FY12.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds are used to support on-the-ground project work relating to protection of ecological resources and services to improve the Potomac Highlands ecosystem. For the purposes of the Potomac Highlands implementation grants, EPA considers the Potomac Highlands to be the Potomac Watershed west of and above the fall line plus the eight counties in the east central portion of West Virginia defined as the WV Potomac Highlands by the WV Department of Commerce. The eight counties are: Mineral, Hampshire, Grant, Tucker, Randolph, Pendleton, Pocahontas, and Hardy.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

Funds are awarded to eligible entities that best meet the selection criteria described in the Request for Proposals.

**Applicant Eligibility:**

Assistance under this program will be available to State and local governments, as defined in 40 CFR Part 31.3, universities and colleges and other public and private nonprofit organizations. For-profit commercial entities are not eligible. Nonprofit organizations described in Section 501 (c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Assistance under this program will be available to State and local governments, as defined in 40 CFR Part 31.3, universities and colleges and other public and private nonprofit organizations.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate that they have appropriate background, academic training, experience in the field and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular Nos. A-21, A-87, and A-122 apply to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally

specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. See [http://www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/) to find out who your contact is in your state. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application procedures will be provided in the competitive announcement issued by EPA.

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Applicants are required to provide a minimum non-federal match of 25 percent of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 CFR 31.24 or 40 CFR 30.23). This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the assistance agreement shall be one to two years. However, EPA Region III can negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Awards are released through an electronic funds transfer method.

**Reports:**

In addition to the general reporting requirements under 40 CFR, EPA includes specific reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31. Program reports are required. Cash reports are not applicable. Progress reports are required. Expenditure reports are required. Performance monitoring reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits or litigation remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$200,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

In FY11 one cooperative agreement was funded for \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11 funds were awarded to expand the number of the on-the-ground implementation projects to support the goals of the Highlands Action Program. Fiscal Year 2012: This program was not funded in FY12. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices. EPA, Region 3, Mail Code 3EA00, 1650 Arch Street, Philadelphia, PA 19103

Tom DeMoss, 410-295-1356, Email: [demoss.tom@epa.gov](mailto:demoss.tom@epa.gov)

Susan Spielberger, 215-814-5356, fax 215-814-5718

Email: [spielberger.susan@epa.gov](mailto:spielberger.susan@epa.gov).

**Headquarters Office:**

Danielle Algazi, EPA, Region 3, Mail code 3EA00, 1650 Arch Street, Philadelphia, PA 19103, Philadelphia, Pennsylvania 19103 Email: [algazi.danielle@epa.gov](mailto:algazi.danielle@epa.gov) Phone: (215) 814-2722 Fax: (215) 814-5718.

**Website Address:**

<http://www.epa.gov/region03/grants/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: One Cooperative Agreement was awarded to develop the

Potomac Highlands Implementation Program. The purpose of this agreement is to fund projects that protect and restore the Potomac Highlands ecosystem, while benefiting its human communities. Eligible projects include protection and restoration of forests, wetlands and streams such as: conservation of un-fragmented forestlands; wetlands protection and restoration; conservation easements; protection of non-impaired streams; protection of headwater streams; aquatic habitat improvements (physical and chemical); habitat management structures; watershed protection and restoration; stream and floodplain barrier removal; riparian corridor/buffer improvements; non-structural best management practices; floodplain restoration and protection; non-traditional reclamation of abandoned mine land; and traditional reclamation of abandoned mine land. Fiscal Year 2012: This program was not funded in FY12. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.110 HEALTHY COMMUNITIES GRANT PROGRAM**

(Healthy Communities)

##### **FEDERAL AGENCY:**

Region 1, Environmental Protection Agency

##### **AUTHORIZATION:**

Toxic Substances Control Act, Section 10; Safe Drinking Water Act, Section 1442(a)&(c); Clean Water Act, Section 104(b)(3); Solid Waste Disposal Act, Section 8001; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Marine Protection, Research, & Sanctuaries Act, Section 203; Clean Air Act, Section 103(b)(3); Indian Environmental General Assistance Program Act.

##### **OBJECTIVES:**

The statutory authorities for this program restrict the use of assistance agreements to support the following activities: conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, and elimination of water pollution. Demonstrations must involve new or experimental technologies, methods, or approaches, and it is encouraged that the results of these projects will be disseminated so that others can benefit from the knowledge gained. A project that is accomplished through the performance of routine, traditional, or established practices, or a project that is simply intended to carry out a task rather than transfer information or advance the state of knowledge, however worthwhile the project might be, is not considered a demonstration project. Implementation projects are not eligible for funding under this program.

Grants are awarded to support projects that meet two criteria: 1) They must be located in and directly benefit one or more Target Investment Areas (Environmental Justice Areas of Potential Concern, Places with High Risks from Toxic Air Pollution, Sensitive Populations, and/or Urban Areas); and 2) They must achieve measurable environmental and public health results in one or more of the Target Program Areas (generally defined in the annual competitive funding announcement). Funds for all projects should support activities to provide education, outreach, or training, in the Target Program Areas. The Regional Office will only accept submissions for projects that affect the States, Tribes, and Territories within the six New England States: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont. Projects that are National in scope are not eligible for funding under this Regional Program.

**Asthma:** Projects that increase the number of people with asthma who take actions to reduce their exposure to environmental triggers (improved self-management of asthma). Projects should identify, disseminate and promote the use of existing or innovative education and outreach products and services with proven effectiveness. Projects can target geographic areas and various settings (e.g., communities, schools, homes/housing, etc.) and address indoor air quality issues. Healthy homes approaches should include interventions to reduce environmental triggers such as integrated pest management and reduction of indoor air pollutants (e.g. particulate matter, dust, mold, environmental tobacco smoke, etc. Applicants are encouraged to integrate environmental trigger avoidance into comprehensive asthma management

programs, as recommended by the National Asthma Education Prevention Program (NAEPP) <http://www.nhlbi.nih.gov/about/naepp/>. Applicants are further encouraged to integrate comprehensive asthma management programs into holistic "Healthy Homes" approaches to environmental diseases as well as partnerships with managed care organizations and health care payers to incorporate the environmental aspects of asthma into provider referral and reimbursement systems. Additionally, collaboration among stakeholders is encouraged if it provides a means to reduce the burden of asthma on a state or regional level. While it is appropriate to place environmental trigger avoidance into the broader context of medical management in EPA-funded activities, where non-environmental asthma management (e.g., medical management) activities are proposed, applicants must be prepared to document alternative funding sources for such activities.

**Capacity Building on Environmental and Public Health Issues:** Projects that organize and sponsor community training events, or other forums that increase citizen involvement in understanding or addressing the causes, effects, extent, reduction, prevention and/or elimination of at least one of the following environmental and public health issues: environmental justice, indoor/ambient air quality, lead, asthma, pesticides, urban rivers/wetlands, chemical risks, recycling, energy conservation, renewable energy, and/or stormwater management; train and educate groups of community stakeholders on methods to identify, reduce, prevent or eliminate exposures to pollution in soil, air or water; train groups, community/neighborhood stakeholders, and/or residents in holistic and comprehensive approaches for promoting pollution prevention efforts in a sustainable manner that improves, protects and/or enhances the ecological health of urban natural resources; integrate environmental justice, green jobs, or green technology to support healthy communities; increase regional, state, tribal, community, and neighborhood access to information, dialogue, collection and use of data (e.g. GIS mapping, risk evaluation, risk mitigation, collecting emissions data, etc.), and/or improve methods of risk characterization; increase collaboration with businesses to improve their environmental performance (including compliance); increase collaboration among residents, businesses, and municipal governments to address community environmental issues (e.g., infrastructure, protecting community assets, etc.), and/or build new or strengthen existing coalitions to address schools, States, or regional programs and at least one or more of the environmental and public health issue(s) previously mentioned are encouraged.

**Clean Energy:** Projects that promote clean energy, through energy efficiency measures that reduce energy consumption, or through the generation of energy from renewable resources, including solar, wind, biomass, and geothermal sources are priorities for EPA. Priority sectors for energy efficiency and renewables include municipalities, schools, and colleges and universities. Municipal projects should focus on reducing energy consumption within municipal buildings, including offices, schools and wastewater treatment plants. In general, these projects should focus on more efficient use of energy, and water, as well as the potential use of renewable energy to supply electricity or heat to a facility in place of power provided by the local utility.

**Healthy Indoor/Outdoor Environments:** Projects that focus on reducing and/or preventing childhood lead poisoning, reducing asthma triggers, promoting integrated pest management; reducing childhood exposure to one or more toxins (PCBs, dioxin, mercury, lead, pesticides, etc.), promoting comprehensive healthy homes and other indoor and/or outdoor environments are encouraged. Projects that reduce indoor or ambient air toxics in a city, community or county, including those to create and implement risk management plans, conduct risk screening, build technical training capacity to help reduce community exposure to indoor and or outdoor air toxics are also encouraged. Projects that promote pollution prevention, source reduction, energy conservation, renewable energy, and/or innovative approaches to stormwater management are also encouraged under this category.

**Healthy Schools:** Projects that train K-12 school teams to implement EPA's Indoor Air Quality Tools for Schools program (<http://www.epa.gov/iaq/schools/tookit.html>) through state-wide, regional, or local workshops; develop or support a systems approach to improving environmental conditions in schools which would include developing a school district wide IAQ management system analogous to TfS; train K-12 school

teams to address asthma triggers, deploy integrated pest management techniques particularly in urban areas and/or tribal schools ([www.epa.gov/iaq/schools/asthma](http://www.epa.gov/iaq/schools/asthma)); or efforts which combine several project areas described in this grant solicitation are encouraged. For more information on creating healthy school environments, please visit [www.epa.gov/schools](http://www.epa.gov/schools).

**Narragansett Bay Watershed-Based Water Quality Management:** Projects that address priorities and recommendations identified in the draft and/or final Narragansett Bay Region Integrated Plan for the Narragansett Bay watershed, including support for water quality improvement and monitoring, watershed planning and management, and planning for coordinated approaches to address the water quality impacts of nutrients, climate change, stormwater management, invasive species, nonpoint source pollution, water efficiency, and environmental management systems.

**Pollution Prevention and Recycling:** Projects that prevent pollution at the source of production through toxic use reduction and the more efficient use of materials, energy, water, and natural resources; and projects that reduce environmental impacts by promoting recycling, composting, waste minimization, beneficial reuse, market development, and sustainable purchasing practices. Priority sectors for pollution prevention and recycling include K-12 schools, hospitals and healthcare facilities, marinas, and colleges and universities. K-12 schools projects should focus on more efficient use of energy, water, reduction of waste generation and/or natural resources including recycling, composting, and/or chemical management ([www.epa.gov/sc3](http://www.epa.gov/sc3)).

**Smart Growth:** Projects that encourage compact, mixed-use, transit-oriented, pedestrian-friendly development in urban areas. Smart growth can improve air quality by replacing some motor vehicle trips with walking, biking, and other clean forms of transportation, reducing exposure to airborne pollutants and risk of respiratory illnesses. Smart growth also can improve water quality by reducing impervious surfaces and preserving green spaces both of which can reduce exposure to waterborne pollutants. Examples of smart growth projects include development of plans on ways to reduce vehicle miles traveled, public education and outreach on smart growth.

**Urban Natural Resources:** Projects that train and educate urban community stakeholders on ways to identify, prevent, reduce, and/or eliminate toxic substances and contamination on vacant lots and open/green space; train and educate the general public or other community stakeholders on causes, effects, extent, reduction, prevention and/or elimination of pollution in urban rivers and other urban natural resources; train and educate groups of urban community stakeholders on methods to identify, reduce, prevent or eliminate exposures to pollution in soil, air or water; train groups, community/neighborhood stakeholders, and/or residents in holistic and comprehensive approaches for promoting pollution prevention efforts in a sustainable manner that improves, protects and/or enhances the ecological health of urban natural resources.

**Water Quality Monitoring or Analyses:** Projects that focus on determining the quality of a particular water body or watershed, identifying water quality problem(s), and/or determining the cause of pollution through water quality monitoring and/or analyses of water bodies. Projects should involve community groups, educational institutions, watershed groups and/or other organizations. Projects can provide and/or support educational opportunities for students, interns or citizens to learn more about the causes, effects, extent, reduction, prevention and elimination of water pollution.. Projects focusing on urban and/or environmental justice areas are encouraged.

**Other Topics and Issues:** On an annual basis, the competitive announcement may identify additional funding priorities.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is available to State, Local, public nonprofit institutions/organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, Federally Recognized Indian Tribal Governments, K-12 schools or school districts; and non-profit organizations (e.g. grassroots and/or community-based organizations). Funding will be considered for a college or university to support a project with substantial community involvement. Private businesses, federal agencies, and individuals are not eligible to be grant recipients; however, they are encouraged to work in partnership with eligible applicants on projects. Applicants need not be located within the boundaries of the EPA regional office to be eligible to apply for funding but must propose projects that affect the States, Tribes, and Territories within their Region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State, Local, Federally Recognized Indian Tribal Governments, public nonprofit institutions/organizations, private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, anyone/general public.

#### **Credentials/Documentation:**

Tribes may be asked to demonstrate that they are federally recognized. Interstate organizations may be asked to provide a citation to the statutory authority, which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. Non-profit applicants are not required to have a formal Internal Revenue Service (IRS) non-profit designation, such as 501(c)(3) or 501(c)(4); however they must present their letter of incorporation or other documentation demonstrating their non-profit or not-for-profit status. This requirement does not apply to public agencies or Federally Recognized Indian Tribes. Failure to enclose the letter of incorporation or other documentation demonstrating non-profit or not-for-profit status will render full proposal submissions incomplete and they will not be reviewed. Applicants who have an IRS 501(c)(4) designation are not eligible for grants if they engage in lobbying, no matter what the source of funding for the lobbying activities. For-profit enterprises are not eligible to receive sub-grants from eligible recipients, although they may receive contracts, subject to EPA's regulations on procurement under assistance agreements, 40 CFR 30.40 (for non-governmental recipients) and 40 CFR 31.36 (for governments). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

For competitive awards, a one page summary format is provided in the competitive announcement. Applicants invited to submit a full proposal are required to submit the SF 424, 424A, 424B, and the pre-award compliance report. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Interested applicants should review information on the Internet at: <http://www.epa.gov/ne/eco/uep/hcgp.html>. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Healthy Communities Grant Program has a two step process for evaluating competitive applications which is described in the annual Request for Initial Proposals. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to the Region I Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants will be notified within 60 days of receipt of submission for funding.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

All competitive grant awards should be prepared and submitted as new projects, which will be evaluated based on criteria specified in annual competitive funding announcement. Renewals or extensions of existing projects may be available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The grant program generally allows a match of up to 5% of the total budget but it is not required. Any exceptions will be identified in the competitive funding announcement. Award recipients can use contributions from entities other than themselves as a match. However, other Federal money cannot be used as the match for this grant program. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement work plan. Any restrictions on the use of grant funds (e.g., prohibition of land acquisition with grant funds) also apply to the matching funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are normally funded on a 12 (annual) or 24 month basis, at the discretion of the applicant. There is no restriction placed on the time permitted to spend the money awarded as long as the money is spent within the budget and project periods of the award specified in the workplan and the budget worksheet in the SF 424. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for cooperative agreements in the terms and conditions of the agreements. Cooperative agreements require quarterly and final progress and expenditure reports; program evaluations and other reports as detailed by the specific terms and conditions of the agreements. Progress reports are required on a quarterly basis. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$532,000; FY 12 est \$0; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$24,999 to \$39,235/fiscal year; \$27,526/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: All projects funded through the Healthy Communities Program reduce environmental risks, and protect and improve human health and the quality of life to create healthy communities and ecosystems. Specific outputs, services and results vary based on each project and Target Program Area(s) identified. Overall program accomplishments include, but are not limited to: reduction in childhood lead poisoning, increased education and outreach related to environment and public health issues, reduction in asthma emergency room visits, and increased water quality data and information on urban rivers and wetlands. In 2011, 96 initial submissions were received and of those 36 applicants submitted full proposals. Nineteen awards were granted in fiscal year 2011. Fiscal Year 2012: It is anticipated that 0 awards will be granted in 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements awarded under the Healthy Communities Grant Program are subject to EPA's General Grant Regulations, and Procedures (40 CFR Parts 30 and 40 CFR Parts 31). Costs will be determined on accordance with OMB Circular A-87 for State and Local governments and Indian Tribes, OMB Circular A-21 for educational institutions and OMB Circular A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. Jennifer Padula, US EPA Region I, 1 Congress Street, CPT, Suite 1100, Boston, MA 02114. Phone: 617-918-1698. Toll Free: 888-372-7341. TTY: 617-918-2028. Fax: 617-918-0698. E-Mail: [Padula.Jennifer@epa.gov](mailto:Padula.Jennifer@epa.gov).

**Headquarters Office:**

Jennifer Padula US EPA Region I  
1 Congress Street, CPT, Suite 1100, Boston, Massachusetts 02114 Email: [Padula.Jennifer@epa.gov](mailto:Padula.Jennifer@epa.gov) Phone: 617-918-1698

**Website Address:**

<http://www.epa.gov/region01/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples include: MA/RI Municipal Stormwater Management Assistance Initiative; Up to Code Providence; Reducing Exposure to Residual Nicotine Among Children; Cleaning & Greening Lawrence; and Contractor and Landlord Lead Educational Outreach. Summaries of these projects and additional examples can be found at <http://www.epa.gov/ne/eco/uep/hcgp.html>. Fiscal Year 2012: This program is

not being funded in FY12. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.113 REGION 3 ENVIRONMENTAL PRIORITY PROJECTS**

##### **FEDERAL AGENCY:**

Region 3, Environmental Protection Agency

##### **AUTHORIZATION:**

Clean Water Act, Section 104; Solid Waste Disposal Act, Section 8001; Clean Air Act, Section 103; Toxic Substances Control Act, Section 10; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Safe Drinking Water Act, Section 1442.

##### **OBJECTIVES:**

Assistance agreements awarded under this program must support, surveys, studies, investigations, training, demonstrations and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, or pesticides: (a) to identify, develop, and demonstrate necessary pollution control techniques; (b) to prevent, reduce, and eliminate pollution; (c) to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; and (d) to promote collaboration on projects and activities within the states and enable wider and more coordinated state input on national environmental issues. Awards under this program must be performed within the Region III area of Delaware, Maryland, Pennsylvania, Virginia, West Virginia and/or District of Columbia.

Funding Priority - Fiscal Year 2012: The Fiscal Year 2012 priority is to fund a co-sponsor(s) to work with the Environmental Protection Agency (EPA) in support of the 2011-2013 Mid-Atlantic Region Student Environmental Development Program.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Assistance awards in the form of grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, training, demonstrations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

##### **Applicant Eligibility:**

Assistance under this program is generally available to state and local governments and the District of Columbia. Assistance is also available to public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions (Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.) For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

##### **Beneficiary Eligibility:**

State and local governments, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions within Region III's geographical area.

##### **Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Region III representatives may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

EPA, Region 3 awards grants and cooperative agreements supporting surveys, studies, investigations, training, demonstrations and special purpose assistance under this program description in response to an EPA competitive solicitation. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA Region 3 requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Region 3, 1650 Arch Street, Philadelphia, PA 19103, Grants and Audit Management Branch (3PM70). Additional information on the EPA assistance package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. For competitive awards the funding announcement will specify application procedures.

##### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Approximately 180 days.

##### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

##### **Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. EPA can incrementally fund grants and cooperative agreements for surveys, studies, and investigations, training, demonstrations and special purpose assistance. The approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to Region 3 priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis. However, EPA Region III can negotiate the project period with each applicant based on project requirements, consistent with legislative rules and EPA policy. See the following for information on how assistance is awarded/released: Full or partial awards may be made. Awards are released through an electronic funds transfer method.

**Reports:**

No program reports are required. In addition to the general reporting requirements under 40 CFR, EPA includes specific reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31. Cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits or litigation remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$105,000; FY 12 est \$105,000; and FY 13 est \$105,000

**Range and Average of Financial Assistance:**

Three awards were made in FY 2011 for \$35,000 each and we anticipate making three awards in FY 2012 for \$35,000 each.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Under the FY 2011 grant competition for the Student Environmental Development Program, four proposals were received and three were approved for funding. We expect to fund these proposals over a three year period. We do not anticipate posting any funding announcements in FY 2012 or FY 2013. Fiscal Year 2012: Under the FY 2011 grant competition for the Student Environmental Development Program, four proposals were received and three were approved for funding. We expect to fund these proposals over a three year period. We do not anticipate posting any funding announcements in FY 2012 or FY 2013. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative

Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices. EPA, Region 3, 1650 Arch Street, Philadelphia, PA 19103, Kathleen Blinebury, 215-814-5395, fax 215-814-5271, blinebury.kathleen@epa.gov.

**Headquarters Office:**

Kathleen Blinebury EPA Region 3  
1650 Arch Street, Philadelphia, Pennsylvania 19103 Email:  
blinebury.kathleen@epa.gov Phone: 215-814-5395

**Website Address:**

<http://www.epa.gov/region03/grants/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Three grants were awarded to non-profit organizations to co-sponsor the Student Environmental Development Program with EPA. Through the program students are guided through the process of identifying environmental problems and how they effect the community as a whole. The students do background research and collect experimental data which are used to guide them through a full environmental research project. Fiscal Year 2012: No funds have been awarded to date in FY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.119 WEST COAST ESTUARIES INITIATIVE****FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Act for Fiscal Year 2008, Public Law 110-161.

**OBJECTIVES:**

The West Coast Estuaries Initiative is a focused effort that evolved from the Environmental Protection Agency's Targeted Watersheds Grants Program. The initiative is designed to promote and support the protection and restoration of high value coastal aquatic resources in geographic areas that are subject to the pressures of population and economic growth through comprehensive watershed protection and management practices at the local level.

The projects receiving assistance will support the EPA's goals for Region 10's coastal watersheds from Alaska to Oregon's southern border. These goals include:

(1) clean and safe water through the protection of water quality and (2) healthy communities and ecosystems through the restoration and protection of ecosystems.

Funding Priority - Fiscal Year 2012: No funds were appropriated for this program for FFY 2012. No new solicitations or awards are expected in FFY 2012.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Local and tribal governments are at various stages of developing and applying effective and robust watershed programs. Some need to improve the scientific understanding of their watersheds. Others understand how their watersheds work and need assistance implementing a plan. Therefore, a wide range of activities will be eligible including, but not limited to, activities that:

(1) Enhance and implement watershed protection and restoration plans, land use and transportation plans, basin plans, storm water controls and/or land development standards to maintain native vegetation and natural hydrology by protecting and restoring wetland, riparian, upland and near shore habitats and ecological processes.

(2) Implement watershed protection by enhancing local planning processes under the state's Coastal Zone Management Program through the development of watershed land use designations, development standards and other regulations or incentive programs that protect and restore coastal watersheds.

(3) Refine and implement watershed land use plans based on watershed models predicting hydrological impacts of alternative future land cover conditions, development scenarios and resulting aquatic resource conditions.

(4) Develop and carry out laws, ordinances and incentive programs to implement watershed programs such as systematic implementation of low impact development in sensitive basins, land acquisition or transfer of development rights approaches and techniques.

More details on the restrictions for this program will be provided in the request for proposals which will be published on the Region 10 web site.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Certain projects or activities are ineligible for West Coast Estuaries funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and required activities under Phase I and II Stormwater permits will not be funded. Activities implementing the non-regulatory component of TMDLs are eligible (e.g., the elements of a watershed plan that address non-point source pollution).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Federally recognized Indian Tribal governments located within or governing territory within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam, are eligible to apply. Local governments located within or governing territory within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam, are also eligible to apply. Also eligible to apply are special purpose districts including, but not limited to, irrigation districts, conservation districts and water & sewer districts located within the coastal watersheds west of the Cascade Mountain divide of Washington and Oregon, including those watersheds entering the Columbia River below Bonneville Dam. Similar entities in three specific coastal watersheds in Alaska will also be eligible to apply. Those watersheds are the Lower Susitna, Matanuska and Anchorage Borough watersheds.

State agencies, institutions of higher education and nongovernmental entities are not eligible to receive a direct award under this announcement. However, they are encouraged to work as collaborators (subrecipients or subcontractors) with eligible applicants. Federal agencies are ineligible for subaward or subcontract work under this announcement.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Anyone/General Public.

#### **Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their respective applications and proposals. The EPA will respond to questions from individual applicants regarding threshold eligibility criteria, administrative issues related to the submission of a proposal and requests for clarification about the request for proposals. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will be required to submit a formal grant application. The standard application forms as furnished by the EPA and required by OMB Circular A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants Administration Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/Region+10+Grants+Administrati+on+Unit>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all proposals or applications and make no awards under any RFP issued under this program.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

The Region expects that its review of the applications received will be completed within 120 to 150 days following the deadline for the submission of applications.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Under the Targeted Watershed Grants program, of



which this initiative is a component, it is the Agency's policy to require applicants to demonstrate a minimum non-federal match of 25% of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). Tribes may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose an undue economic hardship on the Tribe. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the cooperative agreement will be determined at the time the financial assistance is awarded. See the following for information on how assistance is awarded/released: The assistance would be awarded by a grant or cooperative agreement. Typically, assistance recipients draw cash on a quarterly basis to obtain reimbursement for allowable costs incurred to date.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included. Other specific reporting requirements will be defined in the Assistance Agreement based on the statement of work described in the application. Expenditure reports are required. Recipients of this funding are required to use EPA's Puget Sound Financial and Ecosystem Accounting Tracking System (FEATS), which is the primary mechanism for performance monitoring. Key grant outputs will be tracked on a semi-annual basis through FEATS, as well as progress towards project milestones and deliverables. FEATS provides linkages to EPA Puget Sound performance measures and Dashboard Indicators. FEATS allows award recipients to share challenges, solutions, lessons learned, and reflections associated with their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Five awards were made under this solicitation in FFY 2009. The awards were for projects in each of Region 10's coastal states and totaled \$2,737,098. Each award is in the form of a cooperative agreement. Descriptions of the projects can be found at this web site:

<http://yosemite.epa.gov/r10/water.nsf/Office+of+Water/WEI08RFP>.

**Range and Average of Financial Assistance:**

Individual awards are expected to range in size from \$400,000 to \$600,000. If the EPA receives proposals for seven (7) approvable projects, the mean award size would be \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: An innovative watershed management strategies report describing potential market based mechanisms and non-market programs for

implementation was completed. Also, a map of private stormwater facilities and educational materials describing maintenance practices and an educational resource guide have been developed. Fiscal Year 2012: One of the projects funded won a 2012 Governor's Smart Communities Award recognizing outstanding local planning and community development efforts from projects throughout the state. The project is one of just two projects selected statewide for the Smart Vision Award category, recognizing exceptional examples of comprehensive planning. The project's first and second phases, conducted between 2009 and 2011, culminated in the release of the citizen committee's final report and recommendations in October 2011. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with local governments, tribal governments and special purpose districts, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

**Regional or Local Office:**

See Regional Agency Offices. Angela Bonifaci, Team Leader  
Puget Sound Team  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-0322  
1-800 424-4EPA, extension 3-0322  
e-mail: [bonifaci.angela@epa.gov](mailto:bonifaci.angela@epa.gov).

**Headquarters Office:**

Angela Bonifaci Puget Sound Team  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
, Seattle, Washington 98101 Email: [bonifaci.angela@epa.gov](mailto:bonifaci.angela@epa.gov) Phone: (206) 553-0322

**Website Address:**

<http://yosemite.epa.gov/r10/water.nsf/Office+of+Water/WEI08RFP>

**RELATED PROGRAMS:**

66.439 Targeted Watersheds Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No appropriation was received for this program for FFY 2011. Fiscal Year 2012: No appropriation was received for this program for FFY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP). Projects will be selected based on a competitive process which may include factors such as relevancy to the EPA's mission, technical merit, the geographic diversity represented by the array of possible projects and the likelihood of success. In making the final funding decisions, the Approving Official may also consider national and regional programmatic priorities, the Region 10 strategy and the balance of funds available. The actual selection criteria to be used will be identified in the RFP.

**66.120 PUGET SOUND WATERSHED MANAGEMENT ASSISTANCE  
FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title III, Section 320, Public Law 106-457, 33 U.S.C 1330; Omnibus Appropriations Act, 2009, Public Law 111-8; Clean Water Act, Title III, Section 320, Public Law 94-117, 33 U.S.C 1330.

**OBJECTIVES:**

The overall goal of the National Estuary Program is to attain and maintain

water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water. Puget Sound has been designated as one of the 28 estuaries of National Significance under section 320 of the Clean Water Act. The goal of the Puget Sound National Estuary Program's approved Comprehensive Conservation and Management Plan (CCMP) (the 2020 Action Agenda) is to restore and maintain the Puget Sound estuary's environment by 2020 so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds were provided to develop and implement programs that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources of pollution and habitat restoration work. Programs and projects have promoted the use of comprehensive watershed protection and management practices at the local level to achieve nonpoint source pollution reduction and protection and restoration of habitat and aquatic resources in watersheds that are subject to the pressures of development and growth.

By 2011, EPA Region 10, working with its key State, Tribal and local partners committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

- 1,000 acres of shellfish bed growing areas impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;
- 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place; and
- 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected.

EPA is committed to working with the Mangement Conference to protect and improve water quality and minimize the adverse impacts of rapid development in the Puget Sound Basin by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

Funding Priority - Fiscal Year 2012: The Region does not plan on making any solicitations under this program in FFY 2012.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Local and tribal governments are at various stages of developing and applying effective and robust water quality programs in their watersheds. Some need to improve their scientific understanding of their watersheds. Others understand how their watersheds work and need assistance implementing a watershed plan. Therefore, a wide range of activities will be eligible for funding under this program including, but not limited to activities that: (1) Develop, demonstrate, enhance and implement watershed protection and restoration plans, land use and transportation plans, basin plans, storm water controls and/or land development standards to maintain native vegetation and natural hydrology by protecting and restoring wetland, riparian, upland and nearshore habitats and ecological processes. (2) Promote watershed protection by enhancing local planning processes authorized by the State's Coastal Zone Management Program such as the development of watershed land use designations, development of standards and other regulations or incentive programs that protect and restore coastal watersheds. (3) Refine and implement watershed land use plans based on watershed models that predict the hydrological impacts of alternative future land cover practices and on development scenarios and their projected impacts on aquatic resources. (4) Develop, carry out and study the effectiveness of laws, ordinances and incentive programs to implement watershed programs such as systematic implementation of low-impact development in sensitive basins, land acquisition or transfer of development

rights approaches and techniques.

Restrictions: All uses of these funds must be consistent with the goals and objectives of the 2020 Puget Sound Action Agenda. Activities permitted under the Clean Water Act are not eligible for funding under this program. Specifically, required activities under NPDES Phase I and II stormwater permits are not eligible for funding under this program.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Units of local government, under Washington State law, and federally recognized Indian Tribes located within the greater Puget Sound basin are eligible to apply. Also eligible to apply are special purpose districts, as defined by Washington State law at R.C.W. 36.93.020, including but not limited to, irrigation districts, and water and sewer districts that are located in or govern land and water resources within the greater Puget Sound basin. Conservation districts located in or governing land and water resources within the greater Puget Sound Basin are also eligible to apply for assistance under this program. The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

Federal and state agencies, institutions of higher learning, watershed planning units formed under RCW 90.82.040 and RCW 90.82.060, local management boards organized under RCW 90.88.030, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement groups organized pursuant to RCW 77.95.060, Marine Resource Committees organized pursuant to RCW 36.125 and nongovernmental entities are not eligible to directly receive financial assistance awards under this announcement. Business enterprises and individuals or families will also not be eligible applicants.

However, EPA strongly encourages local and tribal governments to solicit participation from these types of entities as local collaborators. All of these types of entities are eligible to apply for subawards or subcontracts from a successful award recipient.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. The specific types of eligible applicants will be identified in the individual Requests for Proposals.

#### **Beneficiary Eligibility:**

The ultimate beneficiary of the assistance offered under this program will be the general public that lives and works in the Puget Sound region.

#### **Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will be required to submit application materials as described in the Request For Proposals. The Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circular A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all proposals or applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Puget Sound Watershed Management Assistance program has no statutory formula for allocating the funds. All of the grants will be for implementation projects under the Puget Sound Comprehensive Conservation and Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under the competitions conducted under this program, the Puget Sound Management Conference, represented by the Puget Sound Partnership, has agreed to provide 67% of the 50% required non-federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, in order to meet the match requirement for the competitive solicitations issued under this program, EPA Region 10 will require that all selected recipients provide a match amount that is equal to 33% of the 50% required match. Thus, for each proposal funded under this program, the required 50% match will be met. The match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). The example below illustrates how this will work.

**Match Example:**

For an applicant requesting \$600,000 in federal funds under a competition, the total match required would be \$600,000. Under the competition, the applicant will be required to provide a match of \$198,000, or 33% of the required 50%

match. The remaining \$402,000 (\$600,000 - \$198,000) of the required 50% match will be met at the aggregate level by the Puget Sound Partnership.

Contact the Puget Sound Partnership office or EPA Regional Office contact identified in this program description for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during Federal Fiscal Year 2010. Funds will be disbursed to assistance recipients in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms specified in the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that the assistance recipient has made towards achieving each major goal or objective identified in the approved statement of work. The report will also discuss the progress that has been made towards each interim milestone. Progress reports will discuss any difficulties or problems that the assistance recipient has encountered and how those problems have been or are being resolved. Other specific reporting requirements will be defined in the Assistance Agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the user to confirm that matching requirements are being met and that all assistance payments (disbursements to the assistance recipient) are for costs that have been incurred in compliance with applicable cost principles. Recipients of this funding will be required to use EPA's Puget Sound Financial and Ecosystem Accounting Tracking System (FEATS), which is the primary mechanism for performance monitoring. Key grant outputs will be tracked on a semi-annual basis through FEATS, as well as progress towards project milestones and deliverables. FEATS provides linkages to EPA Puget Sound performance measures and Dashboard Indicators. FEATS allows award recipients to share challenges, solutions, lessons learned, and reflections associated with their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Region 10 awarded funding for 24 projects under the one solicitation that has been conducted to date. The Region obligated a total of \$19,808,896 in FFY 2009 and FFY 2010 funds to these projects. All of the awards took the form of Cooperative Agreements with the assistance recipients.

The Region did not conduct additional solicitations in FFY 2011 or FFY 2012 and does not anticipate conducting additional solicitations in FFY 2013 in this program. We expect that similar projects, in the future, will be funded by the Watershed Restoration Lead Organization (the Washington Department of Ecology) which was selected under the solicitation completed for Puget Sound Ecosystem Restoration Lead Organizations under CFDA 66.123.

**Range and Average of Financial Assistance:**

The range for awards in the Request for Proposals issued under this CFDA listing is between \$300,000 and \$1,000,000. The average award is approximately \$700,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Here is a list of some accomplishments under these grants:

One county grantee has planted 13.2 acres, and 43 acres of invasive species have been treated/removed.

One county grantee has removed a bulkhead and has updated their Shoreline Master Program.

One conservation district grantee has created a Sub-watershed Master Program.

One of the projects funded won a 2012 Governor's Smart Communities Award recognizing outstanding local planning and community development efforts. The project is one of just two projects selected State-wide for the Smart Vision Award category, recognizing exceptional examples of comprehensive planning. The project's first and second phases, conducted between 2009 and 2011, culminated in release of the citizen committee's final report and recommendations in October 2011. Fiscal Year 2012: One of the projects funded won a 2012 Governor's Smart Communities Award recognizing outstanding local planning and community development efforts. The project is one of just two projects selected State-wide for the Smart Award category, recognizing exceptional examples of comprehensive planning. The project's first and second phases, conducted between 2009 and 2011, culminated in release of the citizen committee's final report and recommendations in October 2011. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with local governments, tribal governments and special purpose districts, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments."

OMB Circular A-87 has been codified as 2 CFR Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Angela Bonifaci, Team Leader  
Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
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**Headquarters Office:**

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**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No projects were funded in FY 2011. Fiscal Year 2012: No projects were funded in FY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP).

**66.121 PUGET SOUND PROTECTION AND RESTORATION: TRIBAL IMPLEMENTATION ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009, Public Law 111-8; Clean Water Act, Title III, Section 320, Public Law 94-117, 33 U.S.C 1330; Clean Water Act, Title III, Section 320, Public Law 106-457, 33 U.S.C 1330; Continuing Appropriations Act, Public Law 112-74; Continuing Appropriations Act, Public Law 111-242.

**OBJECTIVES:**

Puget Sound has been designated as one of 28 estuaries of National Significance under 320 of the Clean Water Act. The goal of the National Estuary Program is to attain and maintain water quality in designated estuaries that would assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water. The Puget Sound National Estuary Program's approved Comprehensive Conservation and Management Plan (CCMP) is the Action Agenda. The goal of the Action Agenda is to restore and maintain the Puget Sound estuarine environment by 2020 so that it will support balanced indigenous populations of shellfish, fish and wildlife and support the extensive list of recognized uses of Puget Sound.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds are provided to develop and implement programs and projects that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound basin including activities linked to nonpoint sources of pollution and habitat restoration projects.

By 2011, EPA Region 10, working with its key State, tribal and local partners, committed to attaining the following environmental outcomes for the Puget Sound basin through 2011:

" 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

" 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place; and

" 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected.

The Puget Sound Protection and Restoration: Tribal Implementation Assistance Program is aimed at assisting the Indian Tribes of the greater Puget Sound basin in their efforts to carry out work critically needed for Puget Sound protection and restoration. This work includes activities identified in, or consistent with, the Action Agenda such as efforts called for by established salmon recovery plans in the Puget Sound basin. EPA has a trust responsibility to Federally recognized Indian Tribes. EPA also recognizes that Federally recognized Indian Tribes in the greater Puget Sound basin have a critical role in the protection and restoration of the ecosystem and its resources. EPA seeks to provide financial assistance to these Tribes to help them implement priority strategies and actions in or consistent with the approved Clean Water Act 320 CCMP for Puget Sound.

Funding Priority - Fiscal Year 2012: Tribal Capacity - Continued funding to

support each Tribe and Consortium to participate in the Puget Sound Management Conference. Eligible tasks include identifying limiting factors to habitat protection and salmon and shellfish recovery.

Tribal Project Lead Organization - Eligible subaward work includes watershed and marine/estuary habitat restoration projects. We anticipate that many of these projects will directly address salmon and shellfish recovery, consistent with the existing Tribal projects funded through the Northwest Indian Fisheries Commission (NWIFC).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This assistance may be used by Tribes to plan for and implement work that is critically needed for Puget Sound restoration and protection. Such work includes priority actions or strategies in or consistent with the approved 320 CCMP for Puget Sound including, but not limited to, projects called for by established salmon recovery plans, except where the proposed work is inconsistent with applicable Federal law, regulation or published EPA policy.

Additional information on use restrictions, if any, for the Puget Sound Protection and Restoration: Tribal Implementation Assistance Program, will be provided in each request for proposals published on the EPA Region 10 website.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

All federally recognized Indian Tribes located within the greater Puget Sound basin, and any consortium of these eligible Tribes, may apply for funding under the program. The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

An eligible Intertribal consortium is one that demonstrates that: 1) a majority of its members meet the eligibility requirements for this program; 2) all members that meet the eligibility requirements authorize the consortium to apply for and receive the grant; and 3) only members that meet the eligibility requirements will benefit directly from the grant project and the consortium agrees to a grant condition to that effect.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes' authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

Federal and state agencies, institutions of higher learning, units of local government, special purpose districts, conservation districts, watershed planning units organized pursuant to RCW 90.82.040 and 060, local management boards organized pursuant to RCW 90.88.030, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement group organized pursuant to RCW 77.95.060 and nongovernmental entities are not eligible to directly receive financial assistance awards under this announcement. Business enterprises and individuals or families will also not be eligible applicants

However, EPA strongly encourages eligible applicants to solicit participation from these types of entities as local collaborators. All of these types of entities are eligible to apply for subawards or subcontracts from a successful award recipient.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The beneficiary of this assistance under this program would be the Federally recognized Indian Tribes or the consortia of these Tribes that receive the assistance. Ultimate beneficiaries would include the tribal members and the general public (due to the general public's interest in restoring and protecting the resources of Puget Sound).

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants will be required to submit application materials as described in the Request For Proposals. The Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circular A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. EPA reserves the right to reject all applications and make no awards under any RFP issued under this program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. The Region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 days following the deadline for the submission of applications for each

Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Puget Sound Protection and Restoration: Tribal Implementation Assistance program has no statutory formula for allocating the funds. All of the assistance agreements will be for planning and implementation projects under the Puget Sound Comprehensive Conservation Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for assistance agreements under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under this program, the Puget Sound Management Conference, represented by the Puget Sound Partnership, has agreed to provide all of the required non-federal match for successful project proposals for FFY 2010, 2011 and 2012 under a separate cooperative agreement with EPA. Accordingly, eligible applicants will not be required to provide any of the required non-federal match.

Contact the Puget Sound Partnership office or EPA Regional Office contact identified in this program description for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during FFY 2010. Funds will be disbursed to assistance recipients in accordance with the terms specified in their respective assistance agreements. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms of each assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule of interim milestones and the outputs that will be completed by the end of the project period will also be included. Progress reports will typically discuss the progress that has been made on each major task and on each interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that have been encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the report user to confirm that matching requirements, if any, are being met and that all assistance payments (disbursements to assistance recipients) are for costs that have been incurred in compliance with applicable costs principles. Recipients of this funding will be required to use EPA's Puget Sound Financial and Ecosystem Accounting Tracking System (FEATS), which is the primary mechanism for performance monitoring. Key grant outputs will be tracked on a semi-annual basis through FEATS, as well as progress towards project milestones and deliverables. FEATS provides linkages to EPA Puget Sound performance measures and Dashboard Indicators. FEATS allows award recipients to share challenges, solutions, lessons learned, and reflections associated with their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be maintained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$9,480,000; FY 12 est \$7,600,000; and FY 13 Estimate Not Available - EPA has made three distinct categories of awards under this CFDA program:

- 1) FFY 2009 (\$5M) and FFY 2010 (0.33M) funds were competitively awarded to 13 Tribes for projects to protect and restore Puget Sound.
- 2) FFY 2010 funds (\$3M) were competitively awarded to the Lead Organization for Puget Sound recovery tribal implementation projects. An additional \$5.48M in incremental funding was added to this assistance agreement in FFY 2011 and \$3.6M in FY2012.
- 3) FFY 2010 funds (\$3.75M) were awarded to the 19 federally recognized Puget Sound Tribes and three tribal consortia to help build their capacity to engage with the Management Conference on efforts to protect and restore Puget Sound. An additional \$4M in incremental funding was added to these assistance agreements in FFY 2011 and \$4M in FY2012.

Funding for FFY 2013 is unknown as this time.

**Range and Average of Financial Assistance:**

The range and average of expected awards is subject to the annual appropriation. In past years, the average capacity award for individual tribes and consortia has been ~\$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the period 10/1/10-9/30/11, program accomplishments are available from the semiannual reports for the awards made under this program.

Three groups of awards have been made under this program: grants to support tribal capacity to participate with the Management Conference in Puget Sound protection and restoration; grants to support implementation of high priority tribal projects to protect and restore Puget Sound; and the "Lead Organization" award.

Notable accomplishments under the cooperative agreements to support implementation of high priority tribal projects to protect and restore Puget Sound includethe following anticipated outputs:

- Replacement of two fish passage barriers in the Red Creek system affecting upstream migration to salmon habitat to restore natural hydro-geomorphic processes essential to successful downstream floodplain restoration activities.
- Comprehensive post-restoration monitoring of the largest tidal marsh restoration project in Puget Sound. The Tribe is partnering with the U.S. Geological Survey to assess the effectiveness of the estuarine restoration, examining processes, habitats, and the capacity of the Delta for supporting Chinook salmon and other fish.
- A project using landscape analysis and community outreach to develop Smart

Growth planning and Low Impact Development guidelines and incentives to develop permit/regulatory requirements to be included in an updated Tribal Development Code. This project explores options for managing onsite septic systems in a high groundwater area to close a current regulatory gap.

- A project to produce an air photo assessment of riparian conditions along marine shorelines and selected major river corridors/floodplains of the Strait of Juan de Fuca and Hood Canal sub-basins. Riparian maps and datasets are planning tools that will inform tribes and partners in updating Shoreline Master Programs and Critical Area Ordinances; they will help refine salmon and nearshore habitat protection and landowner stewardship priorities; and these datasets will represent a baseline from which trends in riparian conditions can be measured.

Accomplishments under the capacity cooperative agreements include effective and consistent representation of tribal expertise and interests in the formal National Estuaries Program to protect and restore the Sound, leading to substantive improvements in the Management Conference's approach to estuary protection.

Under the Lead Organization cooperative agreement, 21 Puget Sound tribes and tribal consortiums are currently utilizing FFY10 and FFY11 funds to implement 61 projects that are identified in or consistent with the Action Agenda, are of high Tribal priority, and contribute directly to the protection and restoration of Puget Sound. Many of these projects are multi-year projects that build on the previous fiscal year's work, while others are discrete projects that will be fully completed within one to two years. The focus of these subawards is expansive with projects contributing to a wide range of categories including, but not limited to habitat restoration and monitoring; research into sediment impacts on salmon habitat and runs; engineered logjam placement for salmon habitat; salmon abundance and distribution monitoring; nutrient and water quality monitoring; stormwater monitoring, Shoreline Management Plan updates, stormwater retrofit projects; climate change modeling and ocean acidification research; invasive species management; and property acquisition for the protection and restoration of ecosystem processes.

The following tribal projects represent a small sample of the accomplishments that have occurred and will occur under this important funding:

- Nooksack Indian Tribe's FFY10 Project - Implementation of High Priority Salmon Recovery Projects: The Nooksack Indian Tribe successfully built 31 log jams on the North Fork Nooksack River to address factors most limiting Nooksack early Chinook and other salmonid populations and restore habitat conditions and habitat-forming processes.

- Makah Nation's FFY10 Project - Consistent and Vocal Policy Presence on Freshwater/Terrestrial Issues and Integration of Regional Research/Recovery Priorities: The Makah Nation successfully completed the Pysht River Restoration project, completing the demolition and removal of an existing derelict structure from the site, revegetation and noxious weed mitigation. The Makah Nation also engaged in a subcontract with the Washington Department of the Ecology to re-activate the Sekiu and Clallam streamflow stations so that streamflow magnitude, duration, and frequency are once again being monitored and analyzed.

- Swinomish Indian Tribe's FFY10 Project - Coast Salish Tribal Journey Water Quality Project (TJWQP): The Swinomish Indian Tribe, in partnership with the United States Geological Survey, conducted water-quality surveys in Puget Sound, collecting 28,627 data points along three routes of the 2011 Inter-tribal Canoe Journey. Data quality procedures were completed, trend charts and GIS data layers were generated, and data was posted near real-time on the web ([www.usgs.gov/coastsalish](http://www.usgs.gov/coastsalish)) using GoogleMaps.

- Jamestown S'Klallam Tribe's FFY10 Project - Determining the magnitude, extent, contributing sources, and possible impacts of elevated nutrients in Sequim and Dungeness Bays: Ten months of sampling was successfully completed, the data analysis has begun, and the literature review is underway. Additionally, a land-use inventory and an eel grass and macroalgae survey of Sequim Bay were conducted and a final report synthesizing information from

nutrient assessment, land-use survey, and macroalgae and eelgrass survey will be produced.

- Lower Elwha Klallam Tribe's FFY11 Project - Elwha Floodplain Revegetation and Fisheries Monitoring Support: While this project is in the very early stages of development, the Tribe has engaged in an extensive amount of project planning and can count the following accomplishments: developed cooperative agreement with NOAA; successfully updated permits; negotiated landowner agreements for two smolt trap sites and constructed and installed two smolt traps (through this process, the presence of juvenile coho salmon has been documented in Indian Creek and Little River, which has advanced the trapping schedule by one year); and permitted work in Olympic National Park for the floodplain revegetation. Fiscal Year 2012: For the period 10/1/11-9/30/12, program accomplishments are similar to those described for FY11. Many of the projects funded under this program are multi-year projects. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with tribal governments and intertribal organizations, assistance recipients must comply with 40 C.F.R. Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 C.F.R. Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments." OMB Circular A-87 has been codified as 2 C.F.R. Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 C.F.R. Part 31.

#### **Regional or Local Office:**

See Regional Agency Offices. Angela Bonifaci, Team Leader  
Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
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#### **Headquarters Office:**

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#### **Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

#### **RELATED PROGRAMS:**

66.456 National Estuary Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY 2011, EPA awarded an \$18M Lead Organization award (to be incrementally funded over 6 years) to develop and administer a subaward program to eligible tribes and consortia of these eligible tribes for Puget Sound protection and restoration projects of high tribal priority. A list of subawards (using FY 2010 funds, but mainly awarded during FY 2011) under the Lead Organization can be found at the following website:

<http://blogs.nwifc.org/psp/files/2009/01/FY10-PSP-EPA-Tribal-Protect-Summaries-6.3.111.pdf>. Fiscal Year 2012: The Lead Organization award grantee made a second round of subawards (using FY 11 funds). A list of these projects can be found here:

<http://blogs.nwifc.org/psp/files/2009/01/FY11-PSP-EPA-Tribal-Project-Summaries-1.9.121.pdf>. Some of these projects are continuations of subawards made the previous year, but others are new projects.

No reports from the third round of funding using FFY 2012 funds since the

funding was awarded in late FFY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be published in the announcement of the competitive funding opportunity (the Request for Proposals or RFP).

**66.122 PUGET SOUND ACTION AGENDA OUTREACH, EDUCATION AND STEWARDSHIP SUPPORT PROGRAM**

**FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Omnibus Appropriations Act, 2009, Public Law 111-8; Omnibus Appropriations Act, 2, Public Law 111-88; Clean Water Act, Title 3, Section 320, Public Law 106-457, 33 U.S.C 1330; Clean Water Act, Title 3, Section 320, Public Law 94-117; Continuing Appropriations Act, 2011, Public Law 111-242; Continuing Appropriations Act, 2012, Public Law 112-74.

**OBJECTIVES:**

Puget Sound has been designated as one of 28 estuaries of National Significance under section 320 of the Clean Water Act. The goal of the National Estuary Program is to attain and maintain water quality in designated estuaries that will assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water. The Puget Sound National Estuary Program's approved Comprehensive Conservation and Management Plan (CCMP), the Action Agenda, has a goal to restore and maintain the Puget Sound Estuary's environment by 2020.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds were provided to develop and implement programs that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint source pollution and habitat restoration work. Programs and projects are to promote the use of comprehensive watershed protection and management practices at the local level to achieve nonpoint source pollution reduction and protection and restoration of habitat and aquatic resources in watersheds that are subject to the pressures of development and growth.

In the FFY 2010 Omnibus Appropriations Act, Congress appropriated an additional \$50 million to support the Puget Sound Program.

By 2011, EPA Region 10, working with its key state, tribal and local partners committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

- 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;
- 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;
- 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected.

In addition, by 2011, the EPA is committed to protecting and improving water quality and minimizing the adverse impacts of rapid development in the Puget Sound Basin. These commitments include protecting the watersheds and waters of Puget Sound by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

An essential element of a successful estuary conservation and management program is a well-informed citizenry that is willing and able to take individual and community action to protect and enhance the estuary. This program is aimed at building and sustaining coordinated efforts for outreach and education

to increase public awareness and encourage individual stewardship to protect both local and basin-wide ecosystems.

Funding Priority - Fiscal Year 2012: Educating the public on the importance of habitat to the preservation of the Sound; Training members of the public on how to conduct habitat restoration activities; Providing the public with information on wetland and shoreline modification requirements and where to report violations to enhance federal, tribal, state, and local enforcement efforts.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Puget Sound restoration funds were appropriated by Congress in conjunction with the Clean Water Act for development and implementation of programs that will improve water quality, air quality, and minimize the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint pollution sources and habitat restoration work. Any public education, outreach or stewardship project receiving assistance under this program must contribute to or support the general implementation of the 2020 Action Agenda for Puget Sound.

Additional information on use restrictions, if any, for the Puget Sound Action Agenda Education, Outreach, and Stewardship Support Program, will be provided in each Request for Proposals issued under this program.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the Government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible applicants for this program include:

Washington State agencies; public and private institutions of higher education; units of local government in the greater Puget Sound Basin and Nongovernmental Organizations (NGOs) specifically including NGOs that are nonprofits within the meaning of 501(c)(3) of the Internal Revenue Code.

Also eligible to apply under this program are all Federally-recognized Indian Tribal governments located within the greater Puget Sound basin and any consortium of these eligible Tribes.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

The greater Puget Sound basin is defined as all watersheds draining into the U.S. waters of Puget Sound, the southern Georgia Basin and the Strait of Juan



de Fuca.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The direct beneficiary will be the entities that receive financial assistance under this program. Due to the fact that the program is designed and intended to assist in the restoration and protection of the Puget Sound estuary, the ultimate beneficiaries will be the residents of the greater Puget Sound region.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as the "Information Contact" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be required to submit application materials as described in the Request for Proposals that will be issued under this program. The Request for Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Region expects that its review of the applications received will be completed within 120 to 150 calendar days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Puget Sound Action Agenda Education, Outreach and Stewardship program has no statutory formula for allocating the

funds. All of the grants will be for implementation projects under the Puget Sound Comprehensive Conservation and Management Plan (CCMP) under CWA 320(g)(2) and 320(g)(3)(ii). There is a statutory match of 50% of the total project costs for implementation project grants under CWA 320(g)(3)(ii) and CWA Section 320 allows for an aggregate match.

For the awards to be made under the competition conducted under this program, the Puget Sound Management Conference, represented by the Puget Sound Partnership, agreed to provide 67% of the 50% required non-federal match for successful project proposals for the 2010-2011 biennium under a cooperative agreement with EPA. Accordingly, in order to meet the match requirement for the competitive solicitations issued under this program, EPA Region 10 will require that all selected recipients provide a match amount that is equal to 33% of the 50% required match. Thus, for each proposal funded under this program, the required 50% match will be met. The match may be cash or in-kind consistent with the regulation governing match requirements (40 C.F.R. 31.24 or 40 C.F.R. 30.23, as applicable). The example below illustrates how this will work.

**Match Example:**

For an applicant requesting \$600,000 in federal funds under a competition, the total match required would be \$600,000. Under the competition, the applicant will be required to provide a match of \$198,000, or 33% of the required 50% match. The remaining \$402,000 (\$600,000 - \$198,000) of the required 50% match will be met at the aggregate level by the Puget Sound Partnership.

Contact the Puget Sound Partnership office or EPA Regional Office contact identified in this program description for more information.

Special Note: The EPA anticipates funding the award made under this program incrementally. Match requirements, and how they will be met, for the out-year increments (FFY 2011 and beyond) will be determined prior to awarding those increments. For a further description of incremental funding, please see the later sections on "Total Allocations", "Obligations" and "Range and Average of Financial Assistance."

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance will be awarded during Federal Fiscal Year 2010. Funds will be disbursed to the assistance recipient in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms of the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

**Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule showing interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that the assistance recipient has made on each major task and interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that the assistance recipient has encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same intervals as progress reports. The expenditure reports will document expenditures to date, including expenditures of any matching funds, in a manner that allows the reader to confirm that matching requirements are being met and that all assistance payments (disbursements to the assistance recipient) are for costs that have been incurred in compliance with applicable cost principles. Recipients of this funding will be required to use EPA's Puget Sound Financial and Ecosystem Accounting Tracking System (FEATS), which is the primary mechanism for performance monitoring. Key grant outputs will be tracked on a semi-annual basis through FEATS, as well as progress towards project milestones and deliverables. FEATS provides linkages to EPA Puget Sound performance measures and Dashboard Indicators. FEATS allows award recipients to share challenges, solutions, lessons learned, and reflections associated with their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until the expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,000,000; FY 12 est \$1,000,000; and FY 13 Estimate Not Available - The EPA anticipates obligating additional incremental funding in FFY 2013 to this agreement, contingent upon the availability of future appropriations, the assistance recipient's performance and the needs of the CCMP for Puget Sound.

**Range and Average of Financial Assistance:**

The EPA made an initial award of \$2,000,000 under this program. The resulting assistance agreement will include the potential for incremental funding of \$1,000,000 per year for up to four additional years beyond the initial funding period. This incremental funding is contingent upon the availability of future appropriations, the assistance recipient's performance and the needs of the CCMP for Puget Sound.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Seven organizations received subawards for specific targeted awareness work; three grantees focused on rural residents and four grantees focused in areas updating their Shoreline Management Program.

A subaward was put into place to continue to develop K-12 training, mentoring, and capacity building around Puget Sound. Eighty classes and at least 2,500 students have conducted action projects. Forty volunteer and professional mentors will support student project work in communities around Puget Sound.

A subaward to implement the Beachwatchers program was awarded. Fiscal Year 2012: No accomplishments to report with this year's funding since the incremental funding was awarded in late FY 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with state agencies, Tribal governments and intertribal consortia, the recipient must comply with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;" 40 CFR Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies," and OMB Circular A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments." OMB Circular A-87 has been codified at 2 CFR Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 CFR Part 31. For grants and cooperative agreements with institutions of higher education and non-profit organizations, the assistance recipient must comply with 40 CFR Part 30, "Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations," 40 CFR Part 30 and OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations." OMB Circular A-110 is codified at 2 CFR Part 215. For grants

and cooperative agreements with institutions of higher education, the assistance recipient must comply with OMB Circular A-21, codified at 2 CFR 220, "Cost Principles for Educational Institutions." For grants and cooperative agreements with non-profit organizations, the assistance recipient must comply with OMB Circular A-122, codified as 2 CFR Part 230, "Cost Principles for Non-Profit Organizations."

**Regional or Local Office:**

See Regional Agency Offices. Angela Bonifaci, Team Leader  
Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-0332  
1-800 424-4EPA, extension 3-0332  
E-mail: bonifaci.angela@epa.gov.

**Headquarters Office:**

Angela Bonifaci Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
, Seattle, Washington 98101 Email: bonifaci.angela@epa.gov Phone: (206) 553-0332

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.120 Puget Sound Watershed Management Assistance ; 66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program ; 66.456 National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Seven organizations received subawards for specific targeted awareness work; three grantees focused on rural residents and four grantees focused in areas updating their Shoreline Management Program.

A subaward was put into place to continue to develop K-12 training, mentoring, and capacity building around Puget Sound. Eighty classes and at least 2,500 students have conducted action projects. Forty volunteer and professional mentors will support student project work in communities around Puget Sound.

A subaward to implement the Beachwatchers program was awarded. Fiscal Year 2012: No accomplishments to report with this year's funding since the incremental funding was awarded in late FY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this program description will be published in the announcement of the competitive funding opportunity (e.g., the Request for Proposals or RFP).

**66.123 PUGET SOUND ACTION AGENDA: TECHNICAL INVESTIGATIONS AND IMPLEMENTATION ASSISTANCE PROGRAM FEDERAL AGENCY:**

Region 10, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title 1, Section 104(b), Public Law 106-457, 33 U.S.C 1254(b); Clean Water Act, Title 1, Section 104, Public Law 106-457, 33 U.S.C 1254(a); Clean Water Act, Title 1, Section 104(b), Public Law 94-117, 33 U.S.C 1254(b); Omnibus Appropriations Act, 2009, Public Law 111-8; Clean Water Act, Title 3, Section 320(g)(3)(A)(ii), Public Law 94-117, 33 U.S.C 1330; Clean Water Act, Title 3, Section 320(g)(3)(A)(ii), Public Law 106-457, 33 U.S.C 1330; Department of the Interior, Environment and Related Agencies Appropriations Act of 2010, Public Law 111-88; Clean Water Act, Title 1, Section 104, Public Law 94-117, 33 U.S.C 1254(a); Consolidated Appropriations Act, 2012, Public Law 112-74; Continuing Appropriations Act, 2011, Public Law 111-242.

**OBJECTIVES:**

Puget Sound has been designated as one of 28 estuaries of National Significance under section 320 of the Clean Water Act. The goal of the National Estuary Program is to attain and maintain water quality in designated estuaries that will assure protection of public water supplies and the protection and propagation of a balanced, indigenous population of shellfish, fish and wildlife and allows recreational activities in and on the water. The Puget Sound National Estuary Program's approved Comprehensive Conservation and Management Plan (CCMP), the Action Agenda, has a goal to restore and maintain the Puget Sound Estuary's environment by 2020.

In the FFY 2009 Omnibus Appropriations Act, Puget Sound restoration funds were provided to develop and implement programs that will help meet the Clean Water Act goal of improved water quality as well as improved air quality and minimization of the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint source pollution and habitat restoration work. Programs and projects are to promote the use of comprehensive watershed protection and management practices at the local level to achieve nonpoint source pollution reduction and protection and restoration of habitat and aquatic resources in watersheds that are subject to the pressures of development and growth.

In the FFY 2010 Omnibus Appropriations Act, Congress appropriated an additional \$50 million to support the Puget Sound Program.

By 2011, EPA Region 10, working with its key state, tribal and local partners committed to attaining the following environmental outcomes for the Puget Sound Basin through 2011:

" 1,000 acres of shellfish bed growing areas, currently impacted by degraded or declining water quality, show improved water quality and corresponding lifting of harvest restrictions;

" 200 acres of prioritized contaminated sediments are remediated and upstream source controls are put in place;

" 3,500 acres of tidally or seasonally influenced estuarine wetlands are restored and protected.

In addition, by 2011, the EPA committed to protecting and improving water quality and minimizing the adverse impacts of rapid development in the Puget Sound Basin. These commitments include protecting the watersheds and waters of Puget Sound by protecting the fundamental watershed processes that provide and create aquatic habitats and by reducing the generation and release of toxic, nutrient and pathogen pollution.

This program has the following main objectives:

First, a central component of the approved CCMP for Puget Sound is its Biennial Science Workplan which identifies some of the core scientific work that must be completed in order for the Puget Sound Management Conference's implementation efforts to succeed in the recovery and protection of the Sound. A primary objective of this program is to support the technical studies and investigations that are needed to help direct implementation priorities.

Second, the Scientific Studies and Technical Investigations awards through this program will help support identification and achievement of specific environmental outcomes and the development of tracking and evaluation approaches for implementation activities, so that together they will contribute significantly to the restoration and protection of Puget Sound by 2020.

Funding Priority - Fiscal Year 2012: No new solicitation for FY 2012 funding is planned for the scientific and technical studies and investigations.

Priorities for the five Lead Organization awards include: Nearshore and Marine Lead Organization; Protecting habitat through promoting effective regulation of marine and nearshore areas; Enhancing enforcement of and compliance with regulations governing habitat alteration, including shoreline modification; Restoring habitat, including shorelines, estuaries, and feeder bluffs/drift cell function; Developing programs to reduce shoreline armoring and, where

armoring is needed, promote soft armoring techniques to achieve a net gain of unarmored shoreline.

Watersheds (for stormwater): Focus on protection and restoration of floodplains, stream shorelines, riparian areas and primary creeks; Focus on levees and flood revetments; Enforcement of Critical Area Ordinances; Address stormwater impacts to the hydrological regime by working with local government to limit impervious surface and manage flows; Work with local governments to develop ecosystem service markets (placing value on ecosystem services and functions); Stormwater facility design and prioritization.

Toxics and Nutrients Lead Organization: Implement key findings from the Toxics Loading Study to prevent and reduce toxic loadings to Puget Sound; Implement key findings from Ecology reports on nutrient programs in Puget Sound and address sources of nutrients on agricultural lands; Support of the Governor's Blue Ribbon Panel on Ocean Acidification.

Pathogens Lead Organization: Focus on recoverable shellfish beds; Work with local governments to create effective ordinances and enforcement programs; Develop sustainable funding in each health district for on-site septic system (OSSS) repair and maintenance programs; Complete no discharge zone designation.

Management of Action Agenda Implementation Lead Organization: Funding in support of the habitat-related efforts of the Northwest Straits Commission; Direct funding for Local Integrating Organization habitat protection and restoration projects; Integration of science into the CCMP, performance management, monitoring, and managing the required matching funds provided by the Management Conference.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

The Puget Sound restoration funds were appropriated by Congress in conjunction with the Clean Water Act for development and implementation of programs that will improve water quality, air quality, and minimize the adverse impacts of rapid development in the Puget Sound Basin, including activities linked to nonpoint sources or habitat restoration projects.

The assistance offered can be used to finance scientific work identified in the Puget Sound Partnership's Biennial Science Work Plan or otherwise needed to effectively implement the Puget Sound Action Agenda. Assistance may be used to finance technical studies and investigations necessary to achieve environmental outputs and/or outcomes identified in the Action Agenda or by either the Puget Sound Partnership or other agencies within the Management Conference with implementation or tracking responsibilities.

Assistance may also be used to manage, monitor, oversee, or participate in the implementation of the 2020 Action Agenda for Puget Sound, including Tribal participation in the implementation and maintenance processes of the CCMP. Such assistance may also include managing and overseeing the implementation of the Science Work Plan and any technical studies or investigations undertaken in support of implementation and/or further development of the Action Agenda.

Finally, if requested, the assistance may be used to finance general implementation of the 2020 Action Agenda for Puget Sound. This implementation work could either be funded directly or through a Lead Organization which could then fund subawards for Action Agenda implementation activities. Funding may also be used by Lead Organizations to manage progress and outcomes for a particular management issue or geographic area.

Additional information on use restrictions, if any, for this program, will be provided in each Request for Proposals published on the EPA Region 10 website.

Assistance agreement awards under this program may involve or relate to

geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Federal government agencies and Washington state government agencies are eligible to apply under this program.

Public and private institutions of higher education located in the United States are eligible to apply under this program.

Units of local government organized under Washington state law and located within the Greater Puget Sound basin are eligible to apply. Also eligible to apply are special purpose districts, as defined by Washington State law at R.C.W. 36.93.020, including but not limited to, irrigation districts, and water and sewer districts that are located in or govern land and water resources within the greater Puget Sound basin. Conservation districts located in or governing land and water resources within the greater Puget Sound Basin are also eligible to apply for assistance under this program.

Watershed planning units formed under RCW 90.82.040 and RCW 90.82.060, local management boards organized under RCW 90.88.030, salmon recovery lead entities organized pursuant to RCW 77.85.050, regional fisheries enhancement groups organized pursuant to RCW 77.95.060 and Marine Resource Committees organized pursuant to RCW 36.125.010 and RCW 36.125.020 are eligible to apply if they are located within or their jurisdictions include waters and/or lands within the Greater Puget Sound basin.

-Intrastate organizations such as associations of cities, counties or conservation districts in the Greater Puget Sound basin are also eligible to apply.

Nonprofit nongovernmental entities are also eligible to apply.

Intrastate organizations such as associations of cities, counties or conservation districts in the Greater Puget Sound basin are also eligible to apply.

Federally recognized Indian Tribes located within the greater Puget Sound basin and any consortium of these eligible tribes are also eligible to apply.

An Intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, Intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An Intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

The greater Puget Sound basin is defined as all watersheds draining to the U.S. waters of Puget Sound, southern Georgia Basin, and the Strait of Juan de Fuca.

- For profit business entities, private individuals and families are not eligible to apply. However, all of these types of entities could partner with an eligible

applicant as a subawardee.

- For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The direct beneficiaries would be the entities receiving the assistance. Due to the fact that the program is designed and intended to assist in the restoration and protection of the Puget Sound estuary, the ultimate beneficiaries will be the residents of the greater Puget Sound region.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. For competitive awards, applicants will be required to submit application materials as described in the Request For Proposals. The Request For Proposals will also specify the submission methods which generally include an electronic and hard copy submission option. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the EPA Region 10 Grants Administration web site at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Region expects that its review of the applications received in response to competitive solicitations will be completed within 120 to 150 calendar days following the deadline for the submission of applications for each Request for Proposals issued under this program.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Clean Water Act 104(a) and 104(b) have no statutory formula for match; that is, no match is required by the statute.

Therefore, for awards under this program to be made under these authorities, the EPA will not require any non-federal match by any successful applicant.

If awards are made for general projects that implement the CCMP or that exercise management and oversight over the implementation of the CCMP, there will be a match requirement pursuant to CWA 320. For those projects funded under CWA 320(g)(2) and 320(g)(3)(ii), there is a statutory match of 50% of the total project costs. CWA 320 allows for an aggregate match; that is, the match requirement for federal financial assistance for national estuary program projects applies to the estuary's Management Conference as a whole. Thus, any spending of nonfederal funds by the Management Conference within a fiscal year can be used as match for federal financial assistance.

The EPA expects to structure the Request for Proposals issued under this program so that applicants can identify expenditures of nonfederal funds on projects that implement the CCMP by themselves as well as by other Management Conference members as proposed nonfederal match for the financial assistance being requested.

Contact the EPA Regional Office contact identified in this program description for more information.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The assistance will be awarded during FFY 2010, FFY 2011, and FY 2012. Funds will be disbursed to individual assistance recipients in accordance with the terms specified in the assistance agreement. See the following for information on how assistance is awarded/released: Assistance will be disbursed in accordance with the terms specified in the assistance agreement. Typically, assistance recipients draw funds at either monthly or quarterly intervals based on their incurred costs.

#### **Reports:**

No program reports are required. No cash reports are required. Progress report requirements will be a part of each assistance agreement. A schedule of interim milestones and the outputs that will be completed by the end of the project period will also be included. Typical progress reports will discuss the progress that has been made on each major task and on each interim milestone identified in the approved statement of work. Progress reports will also discuss any difficulties or problems that have been encountered and how they have been or are being resolved. Other specific reporting requirements will be defined in the assistance agreement based on the statement of work described in the application. Expenditure reports will typically be required at the same time intervals as progress reports. The expenditure reports will document expenditures to date in a manner that allows the report user to confirm that all assistance payments (disbursements to assistance recipients) are for costs that have been incurred in compliance with applicable costs principles and, for assistance agreements in which a matching contribution is required, the reports will also document expenditures of that matching contribution. Recipients of this funding will be required to use EPA's Puget Sound Financial and Ecosystem Accounting Tracking System (FEATS), which is the primary mechanism for performance monitoring. Key grant outputs will be tracked on a semi-annual basis through FEATS, as well as progress towards project milestones and deliverables. FEATS provides linkages to EPA Puget Sound performance measures and Dashboard Indicators. FEATS allows award recipients to share challenges, solutions, lessons learned, and reflections associated with their work.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised by an audit, related records shall be maintained until the matter is completely resolved.

#### **Account Identification:**

68-0108-0-1-304.

#### **Obligations:**

(Project Grants) FY 11 \$21,600,000; FY 12 est \$19,200,000; and FY 13 Estimate Not Available - EPA awarded approximately \$9.0 million for scientific studies and technical investigations in FFY 2011 from FFY 2010 funds based on one competitive solicitation. The projects are identified on an annotated list at this web page:

<http://www.epa.gov/pugetsound/funding/index.html#science>

The Region also awarded nearly \$4.0 million in FFY 2010 funds, to the University of Washington's Puget Sound Institute pursuant to Congressional direction in the FFY 2010 appropriation.

The Region awarded \$6,000,000 in FFY 2010 funds to the Puget Sound Partnership to manage the implementation of the Action Agenda, pursuant to Congressional direction in the EPA's FFY 2010 appropriation.

The Region awarded approximately \$3.1 million each in four awards to state agencies to lead Puget Sound ecosystem recovery efforts. Two of these awards were to the Washington State Department of Ecology to lead efforts for both "Toxics and Nutrients" and "Watershed Protection". A third award was made to the Washington State Department of Health for "Pathogen Control". The fourth award was made to the Washington State Department of Fish and Wildlife for "Marine and Nearshore Habitat Protection".

The Region awarded approximately \$5.5m in incremental funding in FFY 2011 funds to each of these ecosystem Lead Organizations, totaling \$21,600,000.

In FY 2012, the Region awarded approximately \$3,600,000 in incremental funding to the four ecosystem lead organizations and \$3,000,000 for the Management of Action Agenda Implementation Lead Organization, totaling ~\$17,400,000. The watershed Lead Organization also received an additional \$1,800,000 for stormwater retrofit project prioritization and design. FY12 funding totaled \$19,200,000.

Additional incremental awards in FY 2013 are dependent on the appropriations the EPA receives.

#### **Range and Average of Financial Assistance:**

The EPA expects to make awards for scientific and technical studies in the range of \$200,000 - \$700,000. Awards for implementation assistance and for managing and monitoring the implementation of the CCMP could range from \$200,000 to \$10,000,000 each. Some of these awards may be incrementally funded with appropriations from future fiscal years.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: See below for a few of the FY 2011 accomplishments under these Lead Organization grants.

Under the Pathogen Lead Organization grant:

Six PIC (Pollution Identification and Correction) programs were funded. PIC programs comprehensively manage multiple pathogen sources using a variety of approaches ranging from community outreach, technical assistance, incentives, and enforcement.

During the spring and summer of 2011, the BEACH program monitored 31 beaches, surpassing the goal of monitoring 20 additional beaches.

With subaward funding, one county conducted onsite sewage system (OSSS) management investigations in an area which drains into a shellfish growing area. In the first six months of the project, 87 OSSS inspections were completed, 17 unknown OSSS were identified and converted into the "known" status, 87 individuals attended an OSSS workshop, 20 OSSS inspection vouchers were issued (with three redeemed), 13 monitoring stations were established, and two failing OSSS were identified and are in the process of being fixed.

Under its subaward, another county offered workshop training and rebates to OSSS owners in a marine recovery area. 479 OSSS owners attended a Septic 101 class (project goal is 100 attendees), 234 attended a Septic 201 class (project goal is 50), 15 riser and lid installation rebates were redeemed (project goal is 17), and 175 OSSS inspection rebates were redeemed (project goal is 68).

Using FY 2010 and FY 2011 funds, the Marine/Nearshore Lead Organization has made several subawards for the following:

Nine effective regulation and stewardship subaward projects were selected across Puget Sound. Some of the types of projects are: Marine Shoreline Monitoring and Compliance Pilot Project; Targeted Outreach to Reduce Impacts from Shore Hardening; Protecting Nearshore and Marine Habitat by Improving Permit Processes, Enforcement of Existing Regulations, and Public Outreach; Protecting the Strait of Juan de Fuca Nearshore through Shoreline Master Program Improvements; and 20% More Eelgrass by 2020: Restoration Site Selection and Testing, and Resolving Regulatory and Social Barriers.

One subaward was selected to work on Assessment of Biofouling Threats to Puget Sound.

Using FY 2010 and FY 2011 funds, the Toxics and Nutrients Lead Organization has funded 19 projects to prevent, manage, and control toxics and nutrient pollution from entering Puget Sound fresh and marine waters. Another 11 projects will be funded soon for a combined \$12.3 million investment in the control of toxics and nutrients. With these funds, local and state governments, academia, and other entities are hiring inspectors to address non-point sources of pollution, providing technical assistance to small businesses that use toxic chemicals, studying new nitrogen-removing septic system technologies, identifying safer alternatives to commonly-used toxic chemicals, removing derelict pilings that leach toxic chemicals, and conducting other work essential to address toxics and nutrients. One of those projects, addressing fish consumption rates, is now complete. More information is available at [http://www.ecy.wa.gov/puget\\_sound/grants\\_fed\\_toxics.html](http://www.ecy.wa.gov/puget_sound/grants_fed_toxics.html).

The Watershed Lead Organization has funded a variety of projects that are intended to concentrate population growth in urban areas, steer development to improve environmental outcomes, and protect and restore watershed processes and functions. This work includes watershed-based assessment, planning, implementation, and monitoring approaches that protect and restore key areas critical to maintaining the integrity of natural processes of local watersheds. Funded projects are currently:

- Establishing four local transfer of development rights programs
- Developing pilot methods in two major watersheds for marketing ecosystem services
- Developing planning documents based on a watershed framework in at least two counties
- Planning for improved stormwater management and retrofit projects
- Researching the effectiveness of, and providing practical tools to improve our use of low impact development methods in managing stormwater
- Implementing solutions to improve stormwater quality in one urban and one rural watershed
- Developing decision-making tools for floodplain management

Implementing habitat restoration including riparian planting and installing woody debris jams

Improving fish occurrence data and stream typing to better manage streams

A total of 24 competitive awards were made with FFY 2010 and 2011 funds. Funding is also going to an interagency technical assistance team that provides direct help to these sub-recipients in implementing a watershed approach in land use planning. The team is newly formed but has already provided watershed assessment assistance to 11 different entities.

Accomplishments under the Puget Sound Action Agenda Implementation Management Lead Organization award since July, 2011 include significant progress under five of the six major work elements in the approved workplan. Highlights include the development of the Puget Sound Vital Signs, a suite of 21 Dashboard Indicators to track the status of the Puget Sound ecosystem, and performance targets for 18 of these Vital Sign Indicators. An updated Biennial Science Plan was published in addition to a series of Puget Sound Partnership Technical Memorandum publications. An updated Action Agenda for cleaning up, restoring, and protecting Puget Sound by 2020 was finalized in August 2012. Nine (of ten) Local Integrating Organizations were formed and approved to function as watershed-level implementers of the Action Agenda. Support for the NW Straits Commission was strengthened to support citizen based marine resource committees and help mobilize science to focus on key priorities for the marine ecosystem. For additional information see: <http://www.psp.wa.gov/>

Since September 2010, under the Puget Sound Ecosystem Research Initiative, the Puget Sound Institute has been formed and has provided an independent scientific review of the Hood Canal dissolved oxygen study and the science related to hypoxia and eutrophication, and developed and web-published the Encyclopedia of Puget Sound, a dynamic on-line resource that is a trove of scientific papers, species information, news, maps and photos. For more information see: [http://seattletimes.com/html/fieldnotes/2018865587\\_take\\_a\\_look\\_a\\_new\\_onlin\\_e\\_encyclopeia\\_of\\_puget\\_sound.html](http://seattletimes.com/html/fieldnotes/2018865587_take_a_look_a_new_onlin_e_encyclopeia_of_puget_sound.html). Fiscal Year 2012: No accomplishments to report with this year funding since the incremental funding was awarded in late FY 2012. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and cooperative agreements with State agencies, units of local government (including special purpose districts), tribal governments and intertribal organizations, assistance recipients must comply with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35 "Environmental Program Grants-State, Interstate and Local Government Agencies", and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments." OMB Circular A-87 has been codified as 2 CFR Part 225. EPA's requirements under OMB Circular A-102 are codified at 40 CFR Part 31. For grants and cooperative agreements with institutions of higher education and non-profit organizations, the assistance recipient must comply with 40 CFR Part 30, "Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations," 40 CFR Part 30 and OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations." OMB Circular A-110 is codified at 2 CFR Part 215. For grants and cooperative agreements with institutions of higher education, the assistance recipient must comply with OMB Circular A-21, codified at 2 CFR 220, "Cost Principles for Educational Institutions." For grants and cooperative agreements with non-profit organizations, the assistance recipient must comply with OMB Circular A-122, codified as 2 CFR Part 230, "Cost Principles for Non-Profit Organizations." Additionally, any awards made under Clean Water Act Section 104 authorities would be subject to the EPA regulations on Research and Demonstration grants at 40 CFR Part 40.

#### **Regional or Local Office:**

See Regional Agency Offices. Angela Bonifaci, Team Leader  
Puget Sound Team

Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
Seattle, WA 98101  
(206) 553-0332 or 1-800-424-4EPA, extension 3-0332  
E-Mail: bonifaci.angela@epa.gov.

**Headquarters Office:**

Angela Bonifaci Puget Sound Team  
Office of Ecosystems, Tribal and Public Affairs  
U.S. Environmental Protection Agency, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-086  
, Seattle, Washington 98101 Email: bonifaci.angela@epa.gov Phone: (206)  
553-0332

**Website Address:**

<http://yosemite.epa.gov/R10/ecocomm.nsf/puget+sound/funding>

**RELATED PROGRAMS:**

66.120 Puget Sound Watershed Management Assistance ; 66.121 Puget Sound  
Protection and Restoration: Tribal Implementation Assistance Program ; 66.456  
National Estuary Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Please see the discussion of obligations in sections 122 and  
131 for a description of some of the projects funded in FFY 2011. Fiscal Year  
2012: No accomplishments to report with this year's funding since the  
incremental funding was awarded in late FY 2012. Fiscal Year 2013: No  
Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA  
program description will be published in each announcement of a competitive  
funding opportunity (e.g., the Request for Proposals or RFP).

**66.124 COASTAL WETLANDS PLANNING PROTECTION AND  
RESTORATION ACT**

CWPPRA (The Breaux Act)

**FEDERAL AGENCY:**

Region 6, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist the State, local government, college or university in planning and  
implementing projects that create, protect, restore and enhance wetlands in  
coastal Louisiana.

Funding Priority - Fiscal Year 2012: EPA supports projects that protect, restore,  
and enhance coastal wetlands ecosystems through strategic "natural"  
reintroduction of river water, barrier island/shoreline restoration and application  
of innovative technologies such as pipeline delivery of new sediment.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to be used to protect, restore and enhance coastal wetlands  
ecosystems through strategic "natural" reintroduction of river water, barrier  
island/shoreline restoration and application of innovative technologies such as  
pipeline delivery of new sediment. Assistance agreement awards under this  
program may involve or relate to geospatial information. Further information  
regarding geospatial information may be obtained by viewing the following  
website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies  
that ban text messaging while driving company-owned or rented vehicles or  
government owned vehicles, or while driving privately-owned vehicles when  
on official government business or when performing any work for or on behalf  
of the government. Grant recipients and sub-recipients are encouraged to  
conduct initiatives of the type described in section 3(a) of the Federal  
Leadership on Reducing Text Messaging While Driving Executive Order that

was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible applicants for assistance include State and local governments,  
including their universities and colleges.

**Beneficiary Eligibility:**

State and local governments, including their universities and colleges involved  
in administering coastal wetlands protection, restoration and/or management  
programs or programs related to or complement coastal wetlands protection  
programs.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State  
and local governments and OMB Circular No. A-21 for colleges and  
universities. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination with the appropriate office is encouraged. The  
standard application forms as furnished by the Federal agency and required by  
OMB Circular No. A-102 must be used for this program. Environmental impact  
information is not required for this program. This program is eligible for  
coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."  
An applicant should consult the office or official designated as the single point  
of contact in his or her State for more information on the process the State  
requires to be followed in applying for assistance, if the State has selected the  
program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. Completed applications should be submitted to the  
appropriate EPA Regional Office contact.

**Award Procedure:**

Applications are evaluated by the appropriate EPA office and are subject to  
review for technical merit, soundness of design, and reasonableness of proposed  
costs. Approved projects are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within five months of receipt of a complete  
application.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: CWPPRA projects require a 15 percent match of the  
State or local government. Colleges or Universities awarded a grant in support  
of a CWPPRA project requires a 5% match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of grant award. See the  
following for information on how assistance is awarded/released: Assistance  
disbursement will be determined at the time of award.

**Reports:**

No program reports are required. The recipient will be required to submit  
quarterly cash reports to the EPA Project Officer. The recipient will be required  
to submit quarterly progress reports to the EPA Project Officer. The recipient  
will be required to submit quarterly expenditure reports to the EPA Project  
Officer. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June  
27, 2003), "Audits of States, Local Governments, and Non-Profit  
Organizations," nonfederal entities that expend financial assistance of \$500,000  
or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

\$100,000 to \$30,000,000. If a Phase I (E&D) project is selected for funding, the estimated amount could be from \$1-\$6 million. If it is a Phase II (construction) project, the estimate could be up to \$30 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were no program accomplishments during FY11 that were awarded under this CFDA. Fiscal Year 2012: There were no program accomplishments during FY12 that were awarded under this CFDA. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Sondra McDonald, Project Officer, 6WQ-AT, USEPA Region 6, 1445 Ross Avenue, Dallas, TX 75202, Office: (214) 665-7187 Fax: (214) 665-6490 Email: mcdonald.sondra@epa.gov.

**Headquarters Office:**

Sondra McDonald, USEPA Region 6, 6WQ-AT, 1445 Ross Avenue, Dallas, Texas 75202 Email: mcdonald.sondra@epa.gov Phone: (214) 665-7187.

**Website Address:**

<http://www.epa.gov/region6/water/at/sttribal.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: There were no projects awarded under this CFDA during FY11. Fiscal Year 2012: There were no projects awarded under this CFDA during FY12. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

CWPPRA projects to be funded are selected through an annual, publicly-vetted process and ultimately approved by a multi-agency Task Force.

**66.125 LAKE PONTCHARTRAIN BASIN RESTORATION PROGRAM (PRP)**

Lake Pontchartrain Restoration Program

**FEDERAL AGENCY:**

Region 6, Environmental Protection Agency

**AUTHORIZATION:**

Lake Pontchartrain Basin Restoration Act of 2000; Clean Water Act, Section 121.

**OBJECTIVES:**

The purpose of the program shall be to restore the ecological health of the Basin by developing and funding restoration projects and related scientific and public education projects.

Funding Priority - Fiscal Year 2012: The program will work to restore the ecological health of the Lake Pontchartrain Basin by conducting the following activities:

- o Completing plans and studies as identified in the Lake Pontchartrain Basin Program Comprehensive Management Plan (LPBCMP) which supports the following goals:

- Planning and design of consolidated wastewater treatment systems which support the Agency's Sustainable Infrastructure goal;
- Repair and replacement studies to improve existing wastewater systems; and
- Investigation and design of storm water management systems.

- o Conducting outreach and public education projects that address the goals of the LPBCMP, such as:

- Improving the management of animal waste lagoons by educating and assisting the agricultural community on lagoon maintenance techniques;
- Protecting and restoring critical habitats and encouraging sustainable growth by providing information and guidance on habitat protection and green development techniques; and
- Reducing pollution at its source.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Administrator may make grants (1) for restoration projects and studies recommended by a management conference convened for the basin under section 320, and (2) for public education projects recommended by the management conference.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

The grants for this program are awarded to the Management Conference, also known as the PRP, for restoration projects, studies and public education projects. Eligible sub-grantees for this program include the Parishes and Cities within the 16 parishes area of the Lake Pontchartrain Basin Watershed and the Lake Pontchartrain Basin Foundation.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Eligible applicants for assistance include the Parishes and Cities within the Lake Pontchartrain Basin Watershed and the Lake Pontchartrain Basin Foundation.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**



The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Completed applications should be submitted to the appropriate EPA Regional Office contact. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Applications are evaluated by the appropriate EPA office and are subject to review for technical merit, soundness of design, and reasonableness of proposed costs. Approved projects are awarded by the Regional Administrator.

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within five months of receipt of a complete application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 5%. Regional policy requires a 5% match. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Assistance disbursement will be determined at the time of award.

**Reports:**

Program report information is included in the semi-annual reports submitted to the Region 6 Project Officer. No cash reports are required. The recipient will be required to submit semi-annual progress reports to the EPA Region 6 Project Officer. The recipient will include expenditure reports in the semi-annual reports submitted to the EPA Region 6 Project Officer. Progress reports are submitted semi-annually and yearly program-grant reviews are conducted by EPA Region 6 for the program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,100,000; FY 12 est \$1,912,000; and FY 13 est \$955,000

**Range and Average of Financial Assistance:**

Since the inception of the program in 2002, the funds have ranged from a high of \$4,000,000 to a low of \$950,000. The total funds awarding up to 2011 has been \$15,986,670. The award for FY 2011 was \$1,100,000 and the anticipated award for FY 12 is \$1,912,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Pontchartrain Basin Restoration Program funded 11 projects. The activities funded included monitoring and assessment of the basin water, wetland restoration project, redesign and updates for several sewer systems, pollution education program, evaluation and survey of infiltration/inflow problems, pollution reduction determinations, and lift station rehabilitation. Fiscal Year 2012: Information is not yet available for FY 12. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Sylvia Ritzky  
Project Officer, 6WQ-AT  
USEPA Region 6  
1445 Ross Avenue  
Dallas, TX 75202  
214-665-8189 office  
214-665-6490 fax  
[ritzky.sylvia@epa.gov](mailto:ritzky.sylvia@epa.gov).

**Headquarters Office:**

Sylvia Ritzky, USEPA Region 6, 6WQ-AT, 1445 Ross Avenue, Dallas, Texas 75202 Email: [ritzky.sylvia@epa.gov](mailto:ritzky.sylvia@epa.gov) Phone: (214) 665-8189.

**Website Address:**

<http://www.epa.gov/region6/water/at/sttribal.htm>

**RELATED PROGRAMS:**

66.120 Puget Sound Watershed Management Assistance ; 66.437 Long Island Sound Program ; 66.456 National Estuary Program; 66.475 Gulf of Mexico Program; 66.481 Lake Champlain Basin Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The funds will be used to restore the ecological health of the Lake Pontchartrain Basin by conducting the following activities:

- o Completing plans and studies as identified in the Lake Pontchartrain Basin Program Comprehensive Management Plan (LPBCMP) which supports the following goals:

- Planning and design of consolidated wastewater treatment systems which support the Agency's Sustainable Infrastructure goal;

- Repair and replacement studies to improve existing wastewater systems; and
  - Investigation and design of storm water management systems.
- o Conducting outreach and public education projects that address the goals of the LPBCMP, such as:
- Improving the management of animal waste lagoons by educating and assisting the agricultural community on lagoon maintenance techniques;
  - Protecting and restoring critical habitats and encouraging sustainable growth by providing information and guidance on habitat protection and green development techniques; and
  - Reducing pollution at its source.

Specific projects funded included monitoring and assessment of the basin water, wetland restoration project, redesign and updates for several sewer systems, pollution education program, evaluation and survey of infiltration/inflow problems, pollution reduction determinations, and lift station rehabilitation. Fiscal Year 2012: The Pontchartrain Restoration Program Committee selected 12 projects for funding in FY 2012. The projects included sewer collection lines plans and specifications, wastewater wetland restoration, sewer force main study and design, sewer system rehabilitation, lift station network upgrade, sewer system evaluation survey for identification of infiltration and inflow, sanitary sewer outreach program, monitoring and assessment of the basin's water, and regionalization/consolidation of multiple systems. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

PRP projects to be funded are selected through an annual, publicly-vetted process with the selection of project made by the PRP Executive committee and ultimately approved by a internal regional EPA review.

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.126 THE SAN FRANCISCO BAY WATER QUALITY IMPROVEMENT FUND**

SF Bay grant program

**FEDERAL AGENCY:**

Region 9, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 320, 33 U.S.C 1330.

**OBJECTIVES:**

The goals of the SF Bay grant program are to protect and restore the water quality and aquatic habitat of the San Francisco Bay and its watersheds through comprehensive watershed management. Funded projects will achieve significant improvement in water quality, aquatic habitat, and attainment of beneficial uses. Emphasis is on projects encouraging innovation, cost-effectiveness, leveraging of additional resources, and fostering widespread implementation.

Funding Priority - Fiscal Year 2012: Funding priorities for FY12 are for the restoration of impaired waters and the enhancement of aquatic habitat- but other project types will be considered.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Projects must demonstrate consistency with the San Francisco Estuary Partnership's Comprehensive Conservation and Management Plan (CCMP).

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State, local government agencies, districts, and councils; regional water pollution control agencies and entities; State coastal zone management agencies; and public and private universities and colleges, public or private non-governmental, non-profit institutions are eligible to apply, unless restricted by the authorizing statutes. Non-profit organizations must have documentation of non-profit status from the U.S. Internal Revenue Service or their state of incorporation, except that non-profits organizations as defined in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying as defined in Section 3 of the Lobbying Disclosure Act of 1995 or superseding legislation are ineligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The outcomes from the SF Bay grant program will ultimately benefit the urban resident and business populations of nine county San Francisco Bay Area, as well as the State of California in general.

**Credentials/Documentation:**

Non-profit organizations must have documentation of non-profit status from the U.S. Internal Revenue Service or their state of incorporation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

The Environmental Programs and Management appropriation account for the SF Bay grant program has historically required the grants be awarded on a competitive basis (a modification of the Clean Water Section 320 grant requirements). For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days from receipt of final application, through selection and notification, and development and approval of work plan, to award of funds.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal

Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In FY11 and previous years, the San Francisco Bay language in the Environmental Programs and Management appropriation account modified the CWA section 320 requirement of a 50% match for implementation projects to a match of no less than 25%.

In FY12, the SF Bay Fund RFP will follow the CWA section 320 match requirement of 50%.

For future appropriations, the CWA section 320 match of 50% stands unless modified by appropriations act language.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements generally fund projects for 3-4 years with a maximum project period of five years. Funds are issued electronically through automated funds transfer. Method of awarding/releasing assistance: lump sum. See the following for information on how assistance is awarded/released: Funds are issued electronically through automated funds transfer. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required in accordance with 40 CFR Part 30 and 31. Reporting frequency may be specified in the terms and conditions of the award. EPA may include reporting requirements in the terms and conditions of the assistance agreements, which may require quarterly, interim, and final performance reports, and financial, equipment, and inventory reports. Quarterly progress reports are expected to be required for large-scale projects of long duration sought by this grant fund. The Federal Financial Status Reports must be submitted to EPA in accordance with 40 CFR Part 30 and 31, and terms and conditions of the award. Expenditure Reports by the grantee are required to submit for reimbursement. Performance monitoring will be required in the form of grantee reports on outputs and outcomes of their funded projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must demonstrate financial management capability, keep financial records including documentation for entries on accounting and for any changes in grant requirements, and make records available to personnel authorized to examine assistance recipients' records. Recipients must maintain all records for a minimum of three years from the date of submission of the final report and until all questions regarding the assistance agreement, such as those arising from audits, are resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$5,333,000; FY 12 est \$5,847,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Projects funded from the SF Bay Fund range from a low of \$200,000 to a high of \$5 mil. The average amount of awards is approximately \$3mil.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In response to an October 2010 Request for Proposals, EPA received 24 proposals requesting \$24,810,412 for an available \$1.8 million of FY2010 funds. EPA is awarding three new grants under the SFBWQIF totaling \$1.8 million. With these new projects underway, the SFBWQIF will be supporting 31 projects with 40 partners, and leveraging almost \$19 million. The three new projects will collectively restore 130 acres of tidal wetlands in the South Bay, improve water quality in Coyote Creek by addressing trash hotspot sources, and restore almost a mile of the Napa River's eroding riverbank identified in its sediment Total Maximum Daily Load (TMDL) implementation plan.

Three additional projects selected from the FY 2010 RFP process were funded with FY 2011 funds. These projects are collectively restoring 1,549 acres of tidal marsh in the North Bay along San Pablo Bay; restoring 270 acres of tidal marsh, 20 acres of riparian wetlands habitat, and 100 acres of open subtidal waters along Dutch Slough in eastern Contra Costa County; and developing an innovative partnership between seven municipalities and the California State Department of Transportation to employ green stormwater technologies to treat polluted stormwater runoff from over 7 acres along a 12.5 mile stretch of State Highway 123.

In response to two Request for Proposals issued in February 2012, EPA received seven proposals requesting \$1.6 million for an available \$1 million of FY 2011 funds and seven proposals requesting \$9,434,467 for an available \$5.494 million of FY 2012 funds. EPA will award five new grants under each RFP for a total of 10 new grants equaling \$6.494 million. With these new projects underway the SFBWQIF will be supporting 48 projects with 68 partners, leveraging over \$50 million.

The new FY 2011 funded projects will lead to the following water quality and habitat benefits:

Conduct a large-scale media outreach campaign to reduce urban stream toxicity by targeting residential pesticide use.

Work with local businesses to reduce the largest source of trash to San Francisco Bay takeout food packaging.

Restore access to 40 miles of stream for steelhead spawning and rearing in San Francisquito Creek.

Enhance approximately 300 acres of tidal marsh by improving tidal exchange of Sonoma Creek marsh with San Pablo Bay and reduce pesticide applications to control mosquitoes by >75%.

Work with ranchers in the Alameda Creek watershed, an important watershed for native anadromous fish; to establish stream buffers; restore channels and riparian areas; and conduct grazing management and/or railroad improvement to manage sediment. Fiscal Year 2012: In response to the FY12 RFIP, EPA received 20 initial proposals, requested 7 full proposals in the second phase, and is in the process of awarding 5 grants totalling \$5,494,000.

The new FY 2012 funded projects will lead to the following water quality and habitat benefits:

Redesign flood control channels to restore wetland habitat, water quality, and shoreline resilience at three creek mouths: San Francisquito, Lower Novato, and Lower Walnut Creeks, restoring over 100 acres of tidal marsh.

Restore the Quartermaster Reach located in the San Francisco by creating 4.7 acres of wetlands and 3.3 acres of coastal scrub upland, and daylighting a 1,050-foot length of stream channel.

Restore over 1.5 miles long the Napa River implementing high priority sediment reduction measures as described in the Napa River Watershed Sediment TMDL.

Commence pre-breach activities at Sears Point to restore 960 acres of tidal marsh the San Pablo Bay national wildlife refuge.

Fund mercury studies in the 15,000 acre South Bay Salt Pond Project area to provide information needed to determine the management regime of Pond A8 (the pond with the highest mercury concentrations) as well as other future management of the ponds as they are restored to tidal wetlands. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Recipients must comply with 40 CFR Part 30 for universities and nonprofit organizations and Part 31 for states, tribes, and local governments. The recipient must comply with the applicable cost principles under 2 CFR Part 225 (OMB Circular A-87) for state, tribal and local governments and 2 CFR 220 (OMB Circular A-21) for universities and 2 CFR Part 230 (OMB Circular A-122) for nonprofit organizations.

#### **Regional or Local Office:**

See Regional Agency Offices. Luisa Valiela  
EPA Region 9 (WTR-3)  
San Francisco, CA 94105  
415-972-3400 (ph) 415-947-3537 (fax)  
valiela.luisa@epa.gov

Sam Ziegler  
EPA Region 9 (WTR-3)  
San Francisco, CA 94105  
415-972-3399 (ph) 415-947-3537 (fax)  
ziegler.sam@epa.gov

#### **Headquarters Office:**

Luisa Valiela, USEPA Region 9, 75 Hawthorne Street, San Francisco, California 94105 Email: valiela.luisa@epa.gov Phone: (415) 972-3400.

#### **Website Address:**

<http://www.epa.gov/region9/water/watershed/sfbaywqfund/index.html>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: South Bay Salt Pond Project- will restore a former salt pond to 130 acres of tidal wetlands in the South Bay

Coyote Creek Trash Reduction Project- will improve water quality in Coyote Creek by addressing trash hotspot sources and illegal dumping with community partners

Napa River Sediment Reduction Project- will restore almost a mile of the Napa River's eroding riverbank at the Rutherford Reach, an identified priority project in the sediment Total Maximum Daily Load (TMDL) implementation plan. Fiscal Year 2012: Five FY 2012 awards will be made by September 30, 2012, and work will commence in FY 2013. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.127 SOUTHEASTERN U.S. REGIONAL TARGETED WATERSHED INITIATIVE**

#### **FEDERAL AGENCY:**

Region 4, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 95-217, 33 U.S.C 1251.

#### **OBJECTIVES:**

To support the coordination and acceleration of research, investigations,

experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution.

Funding Priority - Fiscal Year 2012: There is no funding available for Fiscal Year 2012.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs in approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. The funds will support conducting and promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution.

EPA has chosen to declare certain projects or activities ineligible for funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and Phase II Stormwater projects will not be funded. Activities implementing the non-regulatory component of TMDLs (e.g., the elements of a watershed plan that address non-point source pollution), however, are eligible. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, Indian Tribes; public and private universities and colleges; and public or private nonprofit institutions. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, and other public and private nonprofit institutions.

#### **Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regional review will typically be completed within approximately 120 - 180 days following the deadline for submissions.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Applicants are required to demonstrate a minimum non-federal match of 25 percent of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 CFR 31.24 or 40 CFR 30.23). Tribes and tribal watershed groups may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose undue economic hardship. This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$145,745; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$10,000 to \$70,000; 50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Three projects were selected in FY11. Fiscal Year 2012: No projects were funded in FY12. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies" and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

**Regional or Local Office:**

See Regional Agency Offices. U.S. Environmental Protection Agency, Region 4  
ATTN: Mary Jo Bragan  
61 Forsyth Street  
Atlanta, GA 30303  
Phone (404) 562-9275.

**Headquarters Office:**

Marjan Farzaad U.S. Environmental Protection Agency, Region 4,  
61 Forsyth Street  
, Atlanta, Georgia 30303 Email: [Farzaad.Marjan@epamail.epa.gov](mailto:Farzaad.Marjan@epamail.epa.gov) Phone:  
404-562-9420.

**Website Address:**

<http://www.epa.gov/region4>

**RELATED PROGRAMS:**

66.439 Targeted Watersheds Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Three projects were selected: 1. Integrating watershed and habitat protection into local land use planning; 2. Accelerating the restoration of impaired coastal shellfish and swimming waters to sustain healthy coastal communities and economics; 3. Implementing permeable pavement in extremely clayey soils to reduce runoff volume and nutrient load. Fiscal Year 2012: No projects were funded in FY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA

description will be described in the competitive announcement.

## **66.128 SOUTHEASTERN MULTI-MEDIA AND GEOGRAPHIC PRIORITY PROJECTS**

### **FEDERAL AGENCY:**

Region 4, Environmental Protection Agency

### **AUTHORIZATION:**

Pollution Prevention Act, Section 6605; Clean Air Act, Section 103; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Toxic Substances Control Act, Section 10; Safe Drinking Water Act, Section 1442; Clean Water Act, Section 104; Comprehensive Environmental Response, Compensation, and Liability Act, Section 104&311; National Environmental Education Act, Section 6; Solid Waste Disposal Act, Section 8001; Resource Conservation and Recovery Act, Section 8001; Marine Protection, Research, and Sanctuaries Act, Section 203.

### **OBJECTIVES:**

To fund projects, including surveys, studies, investigations, demonstrations, training, outreach, human health and the environment to (1) prevent, reduce and eliminate pollution through the promotion of environmental sustainability; (2) build capacity on environmental sustainability and public health issues; (3) support the development and implementation of sustainability strategies and enhance environmental literacy; (4) promote coordination and collaboration between and among federal, state, and local governmental and non-governmental organizations as well as build environmental education capacity at institutions of higher education.

Funding Priority - Fiscal Year 2012: The projects should be centered around providing a forum for academic advisors and sustainability coordinators to collaborate with industry, college and graduate level students to establish and broaden environmental learning opportunities that promote capacity building on environmental sustainability and public health issues, including the creation of hands-on instructional learning of sustainable practices including pollution prevention, water and energy conservation, watershed protection, and environmental stewardship. The project should also serve to foster an environmental literacy plan to ensure that students have an understanding of environmental sustainability and how it interconnects with the green economy.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### **Applicant Eligibility:**

Projects conducted within the geographic boundaries of EPA's Region 4, which comprises the states and tribal lands of Alabama, Georgia, Florida, Kentucky, Mississippi, North Carolina, South Carolina and Tennessee, are eligible for funding when it is available. Interstate, state, tribal, intrastate, and local government agencies, districts, and councils; and public and private universities and colleges, laboratories, and research facilities; and public or private non-governmental, non-profit institutions are eligible to apply, unless restricted by the authorizing statutes. Non-profit organizations must have documentation of non-profit status from the U.S. Internal Revenue Service or their state of incorporation, except that non-profits organizations as defined in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying as defined in Section 3 of the Lobbying Disclosure Act 1995 or superseding legislation are ineligible

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### **Beneficiary Eligibility:**

Interstate, state, tribal, intrastate, and local government agencies, districts, and councils; public and private universities and colleges, laboratories, and research facilities; and public or private non-governmental, non-profit institutions are eligible to apply, unless restricted by the authorizing statutes.

### **Credentials/Documentation:**

EPA may require applicants and principle investigators to demonstrate appropriate background, academic training, experience in the field, and necessary equipment to carry out projects, and to provide curriculum vitae and relevant publications. EPA may require nonprofit organizations to provide documentation of nonprofit status accorded by the Internal Revenue Service or their state of incorporation. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 180 days from receipt of final application, through selection and notification, and development and approval of work plan, to award of funds.

### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### **Renewals:**

EPA can fund grants and cooperative agreements for surveys, studies, investigations, demonstrations, training, education, limited research, outreach, and/or special-purpose activities incrementally. Approval of incremental

funding depends on satisfactory project progress as well as continued relevance of the project and availability of funds. The application procedure is identical to applying for a new grant, with the same funds source, selection criteria, and review procedure.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of the grant award. See the following for information on how assistance is awarded/released: Funds are issued electronically through automated funds transfer. Method of awarding/releasing assistance: reimbursement.

**Reports:**

No program reports are required. No cash reports are required. EPA may include reporting requirements in the terms and conditions of the assistance agreements, which may require quarterly, interim, and final performance reports, and financial, equipment, and inventory reports. Progress reports are required under this program. A final Federal Financial Report financial status report will be required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must demonstrate financial management capability, keep financial records including documentation for entries on accounting and for any changes in grant requirements, and make records available to personnel authorized to examine assistance recipients' records. Recipients must maintain all records for a minimum of three years from the date of submission of the final report and until all questions regarding the assistance agreement, such as those arising from audits, are resolved.

**Account Identification:**

68-0107-0-1-304; 68-0108-0-1-304; 86-8153-0-1-304; 68-8145-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$180,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$15,000 to \$100,000, with an average of approximately \$90,000 per project.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No grants were awarded under this program in FY 11. Fiscal Year 2012: Information for FY 12 is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance agreements under this program are subject to EPA's General Grant Regulations, 40 CFR Part 30 and 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Caroline Robinson  
Senior Advisor  
Office of the Regional Administrator  
Region 4, U.S. Environmental Protection Agency  
61 Forsyth Street, SW, Atlanta, Georgia 30303  
Email: robinson.caroline@epa.gov

Phone: 404 562-8976.

**Headquarters Office:**

Caroline Robinson Office of the Regional Administrator  
Region 4, U.S. Environmental Protection Agency  
61 Forsyth Street, SW, Atlanta, Georgia 30303 Email:  
robinson.caroline@epa.gov Phone: 404 562-8976

**Website Address:**

<http://www.epa.gov/region4>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No grants were awarded under this program in FY 11. Fiscal Year 2012: This is the first year that RFPs are being submitted. Therefore, no examples of funded projects are available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.202 CONGRESSIONALLY MANDATED PROJECTS**

(CONGRESSIONAL EARMARKS)

**FEDERAL AGENCY:**

Office of the Chief Financial Officer, Environmental Protection Agency

**AUTHORIZATION:**

Executive Order Executive Order 13457 "Protecting American Taxpayers from Government Spending of Wasteful Earmarks".

**OBJECTIVES:**

To implement special Congressionally directed projects or programs identified in EPA's annual appropriations act, committee reports incorporated by reference into the annual appropriation act, and other statutes mandating that EPA provide financial assistance agreements to designated recipients for projects or programs. These assistance agreements support special projects earmarked by Congress for specific recipients which are not requested by EPA in its annual budget request to Congress. The projects may be associated with: (1) various environmental requirements (e.g., wastewater treatment, drinking water treatment); (2) identifying, developing, and/or demonstrating necessary pollution control technologies and techniques to prevent, reduce, and eliminate pollution; or (3) evaluating the economic and social consequences of alternative environmental pollution strategies, technologies, or mechanisms for use by those in economic, social, governmental, and environmental management positions. Funding priorities are to award these assistance agreements to the designated recipients as quickly as possible within statutory and regulatory requirements.

Funding Priority - Fiscal Year 2012: There are no funding priorities for Fiscal Year 2012 since no appropriated funds were enacted for Congressionally designated projects and programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support specific projects or programs specified by Congress for designated recipients. Allowable direct and indirect costs are included, in accordance with established EPA policies and requirements for assistance agreements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal

Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible applicants are specified in the statute authorizing the earmark. Examples of recipients that may receive assistance under this program include local, state, intrastate, interstate, U.S. territories or possessions, public or nonprofit institutions/organizations, public/private nonprofit institutions/organizations, quasi-public nonprofit institutions/organizations, institutions of higher education, Federally Recognized Indian Tribal Governments, Native American Organizations, and international organizations.

**Beneficiary Eligibility:**

Beneficiaries vary with the project Congress has directed EPA to fund. For example, an earmark for a wastewater treatment plant or sewer system would benefit the community in which the project is constructed. An earmark for a training project would benefit the individuals receiving the training under the assistance agreement.

**Credentials/Documentation:**

EPA may ask principle investigators for earmarked research projects to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to awards under this program description, EPA will generally specify the nature of any pre-application/pre-proposal assistance. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will evaluate each application to determine (a) the adequacy of the proposed project to meet the specified purpose of the Congressionally mandated project and compliance with other applicable laws. EPA's R&D Office conducts a peer review of all applications by outside experts. EPA will also review the application in relation to EPA's general grant regulations and OMB guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new application which will be reviewed in the same manner as the original application. EPA may incrementally fund grants and cooperative agreements depending on the nature of the project and the terms of the earmark.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula for distribution of Federal funds, therefore, matching requirements are defined in each Appropriations Act or other statute authorizing the earmark. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the assistance agreement shall be determined at time of award. The length and time phasing of the assistance agreement will be determined by the duration of the availability of appropriated funds. See the following for

information on how assistance is awarded/released: The terms of the assistance agreement shall be determined at time of award. The length and time phasing of the assistance agreement will be determined by the duration of the availability of appropriated funds.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require annual, quarterly, interim, and/or progress reports, final results reports, expenditure/financial reports, equipment reports, and invention reports. Reporting requirements are also identified in the Grant Regulations 40 CFR Part 30 and 40 CFR Part 31. EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final program reports. No cash reports are required. EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final progress reports. EPA assistance agreements may, in the terms and conditions, require annual, quarterly, interim, and/or final expenditure/financial reports. Performance monitoring of Congressionally mandated special project or program assistance agreements are required per EPA administrative grant orders.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits, remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0110-0-1-304; 68-0107-0-1-304; 68-0108-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2010 - Range: \$25,000 - \$10,000,000; Average: \$867,822

FY 2011 - No range since no appropriated funds were enacted for Congressionally designated projects and programs.

FY 2012 - To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Fiscal Year 2011 program accomplishments since no appropriated funds were enacted for Congressionally designated projects and programs. Fiscal Year 2012: No program accomplishments are planned in Fiscal Year 2012 since no appropriated funds were enacted for Congressionally designated projects and programs. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Congressional mandated earmarks are subject to EPA's General Grant Regulations 40 CFR Part 30 and 40 CFR Part 31. Costs will be determined in accordance with OMB Circular No. A-87 for state and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. For program information, contact the following



designated Program Office officials:

- Office of Air and Radiation - Courtney Hyde, 202-564-1227, hyde.courtney@epa.gov;

- Office of Water - Kimberley Roy-Davis, 202-564-4633, roy-davis.kimberley@epa.gov;

- Office of Wastewater Management - Barry Benroth, 202-564-0672, benroth.barry@epa.gov;

- Office of Ground Water and Drinking Water - Emmanuel Ekwo, 202-564-1547, ekwo.emmanuel@epa.gov;

- Office of Chemical Safety and Pollution Prevention - Lenee Morina, 202-564-5304, morina.lenee@epa.gov;

- Office of Solid Waste and Emergency Response - Kari Bilal, 202-566-1891, bilal.kari@epa.gov;

- Office of Enforcement and Compliance Assurance - John Warren, 202-564-2452, warren.johnm@epa.gov;

- Office of Research and Development - Dana Bruce, 202-564-3344, bruce.dana@epa.gov;

- Office of Environmental Information - Laura Palmer, 202-564-0726, palmer.laura@epa.gov;

- Office of International and Tribal Affairs - Paul Trevino, 202-564-1627, trevino.paul@epa.gov;

- Office of the Administrator - Diane Bazzle, 202-564-0444, bazzle.diane@epa.gov; and

- Office of the Inspector General - Peter Dragon, 202-566-2657; dragon.peter@epa.gov;

Addresses may be reached by mail at the following common address and fax number: USEPA Headquarters, 1200 Pennsylvania Avenue, N.W., Washington, DC, 20460, 202-564-1838 (fax).

**Headquarters Office:**

Jeff Swartz USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 2732A , Washington, District of Columbia 20460  
Email: swartz.jeff@epa.gov Phone: (202) 564-1230

**Website Address:**

<http://www.epa.gov/ocfo/budget/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No projects were funded in Fiscal Year 2011. Fiscal Year 2012: No projects have been funded to date in Fiscal Year 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Addresses the specific purpose designated by the Congressional earmark in EPA's annual Appropriations Act or other statute. All Congressionally mandated earmarks must meet the following criteria: (a) address the specified Congressionally directed support or action described in the annual appropriations act or committee report incorporated by reference into the appropriations act or other statutes mandating that EPA provide financial assistance agreements to designated recipients for projects or programs; and (b) have an approved workplan and processed assistance agreement before the appropriated funds expire.

**66.203 ENVIRONMENTAL FINANCE CENTER GRANTS**

(EFC Grant Program)

**FEDERAL AGENCY:**

Office of the Chief Financial Officer, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act, Section 1442(b)(3)&1420; Solid Waste Disposal Act, Section 8001(a); Clean Water Act, Section 104(b)(3); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Marine Protection, Research and Sanctuaries Act, Section 203; Toxics Substances Control Act, Section 10; Clean Air Act, Section 103(b)(3).

**OBJECTIVES:**

The Environmental Finance Center Grant Program provides funding to support Environmental Finance Centers (EFCs) that provide multi-media environmental finance expertise and outreach to the regulated communities. The EFCs work with state and tribal governments, local governments and the private sector to address the growing costs of environmental protection. The EFCs provide finance-related training, education, and analytical studies to help these regulated parties develop solutions to the difficult "how-to-pay" issues associated with meeting environmental standards.

The EFCs educate state, tribal, and local governments and businesses on lowering environmental costs, increasing environmental investments, improving financial capacity, encouraging full cost pricing, and identifying and evaluating environmental financing options. A central goal of the EFCs is to create sustainable systems. Sustainable systems have the financial, technical, and institutional resources and capabilities to operate in compliance with environmental requirements and in conformance with accepted environmental practices over the long term. EFCs focus on helping these smaller parties find ways to obtain financing for their environmental protection responsibilities.

Funding Priority - Fiscal Year 2012: Providing education, training, technical assistance, and analytic support to state, tribal, and local officials and businesses on: (1) building the capacity of these regulated communities to develop appropriate financial solutions to environmental challenges using tools/approaches such as asset management and energy efficiency; (2) implementing web-based platforms to provide financial outreach tools to communities (particularly small ones) to help them more effectively manage watersheds and water systems; (3) creating partnerships with and among tribal governments to build the financial and planning expertise needed to support effective environmental and energy efficiency approaches; (4) promoting green infrastructure approaches as cost-effective components of sustainable redevelopment and smart growth efforts; (5) supporting cost-effective and strategic approaches for communities to protect their natural assets and achieve environmentally and economically sustainable revitalization; (6) developing sustainable financing models for state and tribal wetlands permitting and protection programs; (7) improving water and wastewater utility efficiency, management and planning; (8) building a framework for an innovative, long-term financing program for clean diesel trucks covering a growing number of Middle Atlantic ports; (9) developing financial mechanisms to support state and local governments' clean energy and efficiency programs; (10) providing technical assistance and capacity building services to individuals, organizations and agencies for implementing urban agriculture in safe and sustainable manner; and (11) refining and expanding coastal adaptation finance toolset and outreach strategies for climate change adaptation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to recipients to support their allowable direct costs incident to approved environmental financial technical assistance and outreach work plus allowable indirect costs, in accordance with established EPA policies and regulations. EPA provides incremental funding for these grants or cooperative agreements on an annual basis. As part of EPA's substantial involvement, the appropriate EPA regional and/or headquarters office reviews and approves each annual project phase consistent with the scope of work for the grant or cooperative agreement.

As provided in 2 CFR Part 220, recipients of grants or cooperative agreements under this program may not charge fundraising costs to their grants or

cooperative agreements. Funding for research under this program does not include research within the purview of EPA's Office of Research and Development. Under this program, EPA does not fund research, training, and technical assistance to facilitate the inventory of brownfields sites, site assessments, remediation of brownfields sites, community involvement, and site preparation. These activities are covered by the EPA grant program established at CFDA 66.814.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodat.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is available to public and private non-profit universities and colleges and to nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, tribes, local governments, businesses and community organizations and the general public are the beneficiaries of this program.

**Credentials/Documentation:**

Applicants must demonstrate that they meet eligibility requirements. In addition, EPA may request applicants to demonstrate that they have the appropriate background, academic training, experience in the field, and necessary staff and equipment to carry out the project work. The Agency may also ask principal analysts named in applicants' proposals to provide curriculum vitae and other documentation of relevant experience. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. If the applicant does not know who their Single Point of Contact is, the applicant may call the appropriate EPA regional contact listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at (202) 564-5325. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the U.S. Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or to the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, announcements for competitive funding opportunities will specify application

procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Annually, subject to the budget and project periods specified in the awards.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Agency may, as a matter of policy, require cost sharing when such a requirement is specified in the announcement of the competitive funding opportunity.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. The project period for the grants or cooperative agreements may range up to seven years. EPA will provide incremental funding for the cooperative agreements each fiscal year (on a 12-month basis) over the duration of the grants or cooperative agreements. See the following for information on how assistance is awarded/released: Annual lump sum by electronic funds transfer.

**Reports:**

A final program or technical report shall be completed within 90 calendar days of the completion of the period of performance for each award. No cash reports are required. Quarterly or semiannual progress reports may be required as determined by EPA after the award. Quarterly or semiannual expenditure reports may be required as determined by EPA after the award. Quarterly or semiannual performance monitoring may be required as determined by EPA after the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) apply. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those brought up in an audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,000,000; FY 12 est \$1,750,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

Range: \$165,000 to \$265,000/fiscal year

Average: Approximately \$175,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The ten university-based Environmental Finance Centers (EFCs) worked with the public and private sectors to develop and implement a wide range of responsible and sustainable solutions to environmental challenges. Accomplishments included: (1) University of Southern Maine EFC - developed cutting edge financial analysis software that coastal municipalities can use to prepare for extreme weather events; (2) Syracuse University EFC - created a green infrastructure partnership in Onondaga County, NY to implement a sustainable communities pilot project; (3) University of Maryland EFC - led the Port of Baltimore steering committee project to replace, repower, and retrofit outdated trucks' cargo handling equipment, locomotives, and harbor craft (Emissions reductions from the project included 771 tons in nitrous oxide and 38.5 tons in particulate matter); (4) University of North Carolina at Chapel Hill EFC - in partnership with the State of Georgia, the EFC collected and analyzed water and wastewater rate structures from 90% of the public service providers in Georgia that demonstrated to local officials the need to raise rates and the consequences of not doing so; (5) University of Louisville EFC - published a series of guides for citizens and officials ranging from water pricing and rates to sustainable construction practices to urban gardening practices to the potential costs to communities of concentrated animal feedlot operations; (6) Great Lakes EFC at Cleveland State University - worked with the Cuyahoga Land Bank to develop strategies to use the 42,000 vacant lots in Cleveland, Ohio and the surrounding inner-ring suburbs in Cuyahoga County to reduce the flow of stormwater into the sewer system; (7) EFC at the New Mexico Institute of Mining and Technology - recognized leader in water and wastewater training and technical assistance expanded its area of operations in to the six state of U.S. EPA's Region 8 (UT, CO, WY, MT, ND, and SD); (8) Wichita State University EFC - conducted assessments of numerous water and wastewater systems to identify efficiencies to reduce the energy use at these facilities that annually comprise 30 to 50 percent of municipal energy use; (9) Dominican University of California EFC - evaluated solar energy opportunities for the Torres Martinez Tribe in California and the Navajo Tribe in Arizona, identified recycling and green business opportunities for 20 tribes in Northern Nevada, and developed multiple environmental business plans for the La Jolla Tribe in California; and (10) Boise State University EFC - added wastewater and stormwater dashboards to its extensive suite of online tools allowing managers and operators to view their finances in simple, easy to understand formats. Fiscal Year 2012: Data for FY 12 is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education). Costs for educational institutions will be determined in accordance with 2 CFR Part 220 (OMB Circular No. A-21). Information pertinent to the EFC grant program can be found at [www.epa.gov/envirofinance/efcn.html](http://www.epa.gov/envirofinance/efcn.html). Written materials on the program can be obtained by calling Timothy McProuty at (202) 564-4996.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog and the Headquarters program contacts listed below.

**Headquarters Office:**

Timothy McProuty, Environmental Protection Agency, Office of the Chief Financial Officer, Center for Environmental Finance, 2731R, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: [mcprouy.timothy@epa.gov](mailto:mcprouy.timothy@epa.gov) Phone: (202) 564-4996.

**Website Address:**

<http://www.epa.gov/envirofinance>

**RELATED PROGRAMS:**

66.611 Environmental Policy and Innovation Grants; 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY 2011, EPA funded ten university-based Environmental Finance Centers (EFCs) covering each of the ten EPA Regions located across the nation. Each participating university operated an EFC or EFCs that provided technical assistance and outreach services to the regulated communities (States, tribal, local governments and businesses). Fiscal Year 2012: In FY 2012, EPA funded ten university-based Environmental Finance Centers (EFCs) covering each of the ten EPA Regions located across the nation. Each participating university operated an EFC or EFCs that provided technical assistance and outreach services to the regulated communities (States, tribal, local governments and businesses). Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the announcement of the competitive funding opportunity.

**66.305 COMPLIANCE ASSISTANCE SUPPORT FOR SERVICES TO THE REGULATED COMMUNITY AND OTHER ASSISTANCE PROVIDERS**

(Compliance Assistance Centers)

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act of 1972, Section 104, Public Law 92-500, 33 U.S.C 1254; Resource Conservation and Recovery Act of 1976, Section 8001, Public Law 94-580, 42 U.S.C 6981; Clean Air Act of 1970, Section 103, Public Law 91-604, 42 U.S.C 7403.

**OBJECTIVES:**

The EPA has sponsored partnerships with industry, academic institutions, environmental groups, and other agencies to launch sector-specific Compliance Assistance Centers. Each Compliance Assistance Center addresses real world issues in language that is used by the regulated entities.

This program's objective is to provide financial assistance to private nonprofit institutions, universities, and public agencies to develop and maintain Compliance Assistance Centers to improve environmental compliance within an identified industrial/government sector or environmental topic.

Funding Priority - Fiscal Year 2012: Funding will support the web-based Compliance Assistance Centers. Through Internet Websites, telephone assistance lines, e-mail discussion groups and more, the Centers will help businesses, local governments, and federal facilities understand federal environmental requirements and save money through pollution prevention techniques.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

FY 12 funds will support ongoing Center work, with an emphasis on maintaining and updating the existing Center Websites.

It is expected that common communications channels used by the industry/government will continue to quickly distribute information to the targeted audience. The sector entry pages will serve as portals to relevant information developed by the Centers and other organizations as appropriate (e.g. EPA). Individual sector entry pages will use navigation structures specific to the sector thereby providing easy access to relevant environmental content. EPA funding must be used only for activities specified in the approved scope of work; discretionary funding will not be provided.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Applicants must be nonprofit organizations as that term is defined in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 Note. Colleges, universities, and community colleges are eligible to apply. EPA will also accept applications from state, tribal and local governments. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Additionally, for certain funding opportunities under this CFDA, applicants may have to demonstrate how they meet the following factors for threshold eligibility purposes: 1) That they have an indirect cost rate that has been approved or is pending approval by a federal agency or has a cost allocation system that meets the requirements in the applicable OMB Circular; 2) That they have had a previous working relationship(s) with experts and national organizations devoted to the relevant industrial, commercial or governmental sector, or intends to partner with an organization with such expertise; 3) An understanding of the environmental needs of the relevant industrial, commercial or governmental sector through past activities, or intends to partner with an organization with such expertise; 4) That they, or a partnering organization, has familiarity with applicable federal, state and local environmental regulations and experience in developing tools (e.g., training, plain-language guides, fact-sheets, Agency contact locators, etc) to improve the audiences' understanding of their regulatory obligations; 5) previous experience (or intends to partner with an organization with experience) in developing and maintaining web-based services.

**Beneficiary Eligibility:**

The primary beneficiaries are small businesses, local governments and colleges/universities that are being serviced by the grantees. Other beneficiaries include state, local, general public, and the regulated business community.

**Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. The Agency may also request that applicants demonstrate they have appropriate background, experience in the field, organizational capacity and necessary equipment to carry out projects. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in

accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the date of submission of the final proposal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, cooperative agreements will be awarded for a five year project period. EPA will partially fund each budget period and will consider funding the balance of budget requests contingent upon satisfactory progress as certified by the EPA Project Officer, the availability of funds, and EPA priorities.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. Applicants will be advised of other matching requirements, if any, in Requests for Applications or Requests for Initial Proposals. Although EPA may not require matching funds, applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they would commit to manage a Compliance Assistance Center. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods to 5 years. EPA will partially fund each budget period and will consider funding the balance of budget requests contingent upon satisfactory progress as certified by the EPA Project Officer, the availability of funds, and EPA priorities. See the following for information on how assistance is awarded/released: Other.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts.

All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$588,000; FY 12 est \$332,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

\$5,000/year - \$35,000/year. An approximate average of the annual financial assistance awards that will be made this current fiscal year is \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the Centers Websites were visited over 3,500,000 times by their target audiences and the public, and experienced over 7.8 million requests for web pages and compliance assistance documents. There were no new awards in FY 11. Fiscal Year 2012: FY 12 information is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Compliance Assistance Centers are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for non-profit institutions, and FAR Part 31 for profit makers. Additional information pertinent to the Centers program can be found at [www.assistancecenters.net](http://www.assistancecenters.net). Centers brochures and/or fact-sheets can be obtained by calling the EPA Compliance Assistance Centers Team Leader at (202) 564-7076.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Tracy Back, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 2224A, Washington, District of Columbia 20460  
Email: [back.tracy@epa.gov](mailto:back.tracy@epa.gov) Phone: (202) 564-7076.

**Website Address:**

<http://epa.gov/compliance/assistance/centers/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FY 11 funding supported the maintenance and updates of sector-based Compliance Assistance Centers and State Resource Locators available at [www.assistancecenters.net](http://www.assistancecenters.net). Each Center provides access to resources help industry and government sectors prevent and resolve environmental issues. In addition, new Websites were launched for the veterinary and transportation sectors. Fiscal Year 2012: FY 12 funding supported the maintenance and updates of sector-based Compliance Assistance Centers and State Resource Locators available at [www.assistancecenters.net](http://www.assistancecenters.net). Each Center provides access to resources help industry and government sectors prevent and resolve environmental issues. In addition, new Websites are underdevelopment for the natural gas extraction and dental sectors. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives.

**66.309 SURVEYS, STUDIES, INVESTIGATIONS, TRAINING AND**

**SPECIAL PURPOSE ACTIVITIES RELATING TO ENVIRONMENTAL JUSTICE**

(EJSS)

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10(a); Solid Waste Disposal Act, Section 8001(a); Clean Water Act, Section 104(b)(3); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Safe Drinking Water Act, Section 1442(c)(3); Marine Protection, Research, and Sanctuaries Act, Section 203; Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), Section 311(c); Clean Air Act, Section 103(b)(3).

**OBJECTIVES:**

The program's mission/objective is to provide funding in support of surveys, studies and investigations, and special purpose assistance programs as they relate to environmental and/or public health issues, with a particular emphasis on environmental justice.

Funding Priority-Fiscal Year 2012: Activities that support surveys, studies and investigations, and special purpose assistance for the award of grants and cooperative agreements that address environmental justice concerns. EPA defines "environmental justice" as the fair treatment and meaningful involvement of all people regardless of race, color, national origin or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no one group of people, including racial, ethnic, or socioeconomic groups, should bear a disproportionate share of the negative environmental consequences resulting from industrial, municipal, and commercial operations or the execution of federal, state, local, and tribal environmental programs and policies. Meaningful involvement means that: (1) potentially affected community residents have an appropriate opportunity to participate in decisions about a proposed activity that will affect their environment and/or health; (2) the public's contribution can influence the regulatory agency's decision; (3) the concerns of all participants involved will be considered in the decision-making process; and (4) the decision-makers seek out and facilitate the involvement of those potentially affected. Assistance agreements may be associated with climate change, green jobs, green development, smartgrowth and green business.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, intertribal consortia, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions which submit applications proposing projects concerning environmental justice issues with significant technical merit and relevance to EPA's mission. Some of EPA's statutes may limit assistance to specific types of interested applications. See

"Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, and other public or private nonprofit institutions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are normally funded on a 12-month basis (annual). Most of OEJ awarded grants and cooperative agreements have project periods ranging from one year to five years, and generally, grants and cooperative agreements are fully funded at the time of award. See the following for information on how assistance is awarded/released: Grant award fully funded at time of award and recipient will draw down funds on an as needed basis.

**Reports:**

Semi-annual reports must be submitted to the Project Officer for the duration of the project period. Final reports must be submitted to the Project Officer upon completion of the project. The EPA Project Officer will determine whether additional reports are appropriate and necessary. Program reports are required. No cash reports are required. At a minimum, semi annual progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-8145-0-7-304; 68-0107-0-1-304; 68-0103-0-1-304; 68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$15,000; FY 12 est \$0; and FY 13 est \$30,000

**Range and Average of Financial Assistance:**

\$15,000 to \$150,000/fiscal year; \$15,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Grant funds supported the Sixth Annual Environmental Justice Conference. The conference focused on the health impacts of petroleum dependency on low-income communities and communities of color. The attendees were environmental justice leaders from across the state of Connecticut. They learned about health impacts in order to better educate their communities. The conference presented eight workshops under the theme of oil and the environment, with such topics as "Petroleum's Role in the Food Production Process" and "Toxic Petrochemicals in Consumer Products.". Fiscal Year 2012: No projects funded in FY 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Region 1 Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont: Primary Contact: Amy Braz (617) 918-1346, [braz.amy@epa.gov](mailto:braz.amy@epa.gov), USEPA Region 1 (RAA), One Congress Street - Suite 1100, Boston, MA 02203-0001; Region 2 New Jersey, New York, Puerto Rico, U.S. Virgin Islands: Primary Contact: Terry Wesley (212) 637-5027, [wesley.terry@epa.gov](mailto:wesley.terry@epa.gov), USEPA Region 2, 290 Broadway, 26th Floor, New

York, NY 10007; Secondary: Tasha Frazier (212) 637-3861, frazier.tasha@epa.gov. Region 3 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia: Primary Contact: Reginald Harris (215) 814-2988, harris.reggie@epa.gov. USEPA Region 3 (3DA00), 1650 Arch Street, Philadelphia, PA 19103-2029. Region 4 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee: Primary Contact: Daphne Wilson (404) 562-9890, wilson.daphne@epa.gov. USEPA Region 4 Main Office (404) 562-8407, 61 Forsyth Street, Atlanta, GA 30303-8960; Secondary: Ella McLendon (404) 562- 8316, mclendon.ella@epa.gov. Region 5 Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin: Primary Contact: Margaret Millard (312) 353-1440, millard.margaret@epa.gov, USEPA Region 5 (DM7J), 77 West Jackson Boulevard, Chicago, IL 60604-3507. Region 6 Arkansas, Louisiana, New Mexico, Oklahoma, Texas: Primary Contact: Shirley Quinones (214) 665-2713, quinones.shirley@epa.gov, USEPA Region 6, Fountain Place, 13th Floor, 1445 Ross Avenue (RA-D), Dallas, Texas 75202-2733; Region 7 Iowa, Kansas, Missouri, Nebraska: Primary Contact: Althea Moses (913) 551-7649, moses.althea@epa.gov, USEPA Region 7, 901 North 5th Street (RGAD/ECO), Kansas City, KS 66101. Region 8 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming: Primary Contact: Nancy Reish (303) 312-6040, reish.nancy@epa.gov, USEPA Region 8 (8ENF-EJ), 999 18th Street, Suite 300, Denver, CO 80202-2466; Secondary: Jean Belille (303) 312-6556, belille.jean@epa.gov. Region 9 Arizona, California, Hawaii, Nevada, American Samoa, Guam: Primary Contact: Sharon Lin, (919), lin.sharon@epa.gov, USEPA Region 9 CMD-1, 75 Hawthorne Street, San Francisco, CA 94105. Region 10 Alaska, Idaho, Oregon, Washington: Primary Contact: Sheryl Stohs (206) 553-, stohs.sheryl@epa.gov, USEPA Region 10 (OMP-143), 1200 Sixth Avenue, Seattle, WA 98101

All EPA Regions and program offices may provide financial assistance under this assistance program.

**Headquarters Office:**

Sheila Lewis, USEPA, Office of Environmental Justice, 1200 Pennsylvania Avenue, NW., Mail Code 2201A, Washington, District of Columbia 20460  
Email: lewis.sheila@epa.gov Phone: (202) 564-0152

**Website Address:**

<http://www.epa.gov/environmentaljustice>

**RELATED PROGRAMS:**

66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers ; 66.604 Environmental Justice Small Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grant funds supported the Sixth Annual Environmental Justice Conference. The conference focused on the health impacts of petroleum dependency on low-income communities and communities of color. The attendees were environmental justice leaders from across the state of Connecticut. They learned about health impacts in order to better educate their communities. The conference presented eight workshops under the theme of oil and the environment, with such topics as "Petroleum's Role in the Food Production Process" and "Toxic Petrochemicals in Consumer Products.". Fiscal Year 2012: No projects funded in FY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.310 CAPACITY BUILDING GRANTS AND COOPERATIVE AGREEMENTS FOR COMPLIANCE ASSURANCE AND ENFORCEMENT ACTIVITIES IN INDIAN COUNTRY AND OTHER TRIBAL AREAS**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103; Clean Water Act, Section 104; Federal Insecticide,

Fungicide, and Rodenticide Act, Section 20; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10; Solid Waste Disposal Act, Section 8001; Marine Protection, Research and Sanctuaries Act, Section 203; Indian Environmental General Assistance Program Act; National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

Providing financial resources to build and improve the compliance assurance and enforcement capacity of federally-recognized Indian tribes (tribes), inter-tribal consortia, or tribal organizations. Such capacity building efforts may include economic, social science, statistical research, development, studies, surveys, demonstrations, investigations, public education, training, and fellowships to the extent authorized under the federal environmental laws listed above. This Catalog of Federal Domestic Assistance (CFDA) number covers EPA's Environmental Programs and Management (EPM) resources targeted for compliance assurance and enforcement in Indian country and other tribal areas, including those in Alaska.

Funding Priority - Fiscal Year 2012: In fiscal year 2012, EPA's Office of Enforcement and Compliance Assurance facilitated the Regional funding of Senior Environmental Program to provide compliance and technical assistance and conduct compliance monitoring activities under the Clear Air Act, the Safe Drinking Water Act, and the Toxic Substances Control Act.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

The funding is for fixed or known periods associated with specific projects. Project grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants. OECA identifies special focus areas each funding cycle (annually). Previous years have included calls for proposals focusing on conducting sanitary surveys at tribal public water systems, compliance assistance to tribal solid waste programs, and innovative enforcement and compliance assurance projects, including performance measurement, data quality, and public access to information. Consistent with existing statutory authority, the funds are used to support compliance assistance, compliance monitoring, and enforcement activities.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Tribal Organizations, Inter-tribal Consortia, Federal, and State Organizations, Colleges and Universities, and non-for-profit organizations; eligible applicants must also have enforcement and compliance assurance responsibilities in Indian country and/or other tribal areas or provide support for enforcement and compliance assurance projects in Indian country and/or other tribal areas. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to: (1) tribes and intertribal consortia located in the Region where a project is going to be performed; and/or (2) applicants that have access to Indian country or other tribal areas.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments; Inter-tribal Consortia and Tribal Organizations; Federal, State, and Multi-jurisdictional State Organizations; colleges and universities; and non-for-profit organizations.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive

funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days from the date of submission of the final proposal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. e resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is normally provided in one lump sum. Projects may span multiple years. There is no restriction on the time permitted to spend the money awarded, although money must be spent prior to expiration associated with the specified federal fiscal year. See the following for information on how assistance is awarded/released: Other.

**Reports:**

Semi-annual reports must be submitted to the Project Officer for the duration of the project period. Final reports must be submitted to the Project Officer upon completion of the project. The EPA Project Officer will determine whether additional reports are appropriate and necessary. Program reports are required. No cash reports are required. Progress reports are required. Expenditure Reports may be required under this program. Performance monitoring is required by this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement, must be kept

available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$128,000; FY 12 est \$97,000; and FY 13 est \$190,000 - FY 2011 \$128,000; FY 2012 \$97,000; FY 2013 estimate \$190,000. If available and distributed, EPA's Office of Enforcement and Compliance Assurance uses these resources to enable the EPA Regions to fund projects that are designed to improve compliance and enforcement in Indian country.

**Range and Average of Financial Assistance:**

\$3000 to \$40,000/fiscal year; \$40,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY11 funding enabled the EPA Regions to fund projects that were designed to improve compliance and enforcement in Indian country.

Fiscal Year 2012: In FY 2012, EPA's Office of Enforcement and Compliance Assurance has not yet made funding decisions for CFDA 66.310. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicable EPA Uniform Administrative Requirements covered in the Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations (40 CFR Part 30), February 15, 1996; Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (including Indian and Tribal Governments) (40 CFR Part 31), March 11, 1988; and State and Local Assistance: Provides program-specific requirements for State, tribal, and local grants (40 CFR Part 35, Subparts A and B), October 12, 1982.

**Regional or Local Office:**

See Regional Agency Offices. For EPA Region 1 contact Kristi Rea at (617) 918-1595 or [rea.kristi@epa.gov](mailto:rea.kristi@epa.gov); for EPA Region 2 contact Rebecca Jamison at (212) 637-3949 or [jamison.rebecca@epa.gov](mailto:jamison.rebecca@epa.gov); for EPA Region 4 contact Serdar Ertap at (404) 562-9683 or [ertrap.serdar@epa.gov](mailto:ertrap.serdar@epa.gov); for EPA Region 5 contact Andrew Anderson at (312) 353-9681 or [anderson.andrew@epa.gov](mailto:anderson.andrew@epa.gov), for EPA Region 6 contact Connie Overbay at (214) 665-7274 or [overbay.connie@epa.gov](mailto:overbay.connie@epa.gov); for EPA Region 7 Wolfgang Brandner contact at (913) 551-7381 or [brandner.wolfgang@epa.gov](mailto:brandner.wolfgang@epa.gov); for EPA Region 8 contact Kaye Mathews at (303) 312-6889 or [rogers.liz@epa.gov](mailto:rogers.liz@epa.gov); for EPA Region 9 contact Angela Baranco at (415) 947-4262 or [baranco.angela@epa.gov](mailto:baranco.angela@epa.gov), and for EPA Region 10 contact Donald Dossett at (206) 553-8257 or [dossett.donald@epa.gov](mailto:dossett.donald@epa.gov).

**Headquarters Office:**

Jonathan Binder, Office of Compliance, Environmental Protection Agency, Ariel Rios Building, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: [binder.jonathan@epa.gov](mailto:binder.jonathan@epa.gov) Phone: (202) 564-2516.

**Website Address:**

<http://www.epa.gov/compliance/state/grants/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FY11 funding enabled the EPA Regions to fund projects that were designed to improve compliance and enforcement in Indian country.

Fiscal Year 2012: Information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

If funds are made available in FY 2012, the evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.313 INTERNATIONAL COMPLIANCE AND ENFORCEMENT PROJECTS**

**FEDERAL AGENCY:**



Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Public Law 92-516, 7 U.S.C 136; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Safe Drinking Water Act, Section 1442(a)&(c), Public Law 93-523; Solid Waste Disposal Act, Section 8001; Clean Air Act, Section 103, Public Law 95-95, 42 U.S.C 7401; National Environmental Policy Act, Section 102(2)(F); Marine Protection, Research and Sanctuaries Act of 1972, Section 203.

**OBJECTIVES:**

The primary purpose of the proposed capacity building projects is to protect human health and the environment while advancing U.S. national interests through international environmental collaboration on environmental compliance and enforcement. This mission is supported by these strategic objectives: 1) Reduce Exposure to Toxic Chemicals; 2) Improve Urban Air Quality; 3) Reduce Hazardous Waste and Improve Waste Management; 4) Limit Global GHG Emissions and Other Climate-Forcing Pollutants; 5) Improve access to Clean Water; and 6) Build Strong Environmental Institutions and Legal Structures.

International capacity building plays a key role in protecting human health, communities and the environment by providing technical cooperation to help countries improve environmental compliance and enforcement in order to reduce air pollution, better manage air quality and global climates, manage drinking and surface water quality, and restore the land and mitigate sources of land pollution. OECA will work to transfer appropriate compliance and enforcement tools and techniques to key countries and regions as we collaborate with partners to improve compliance with domestic environmental laws in those countries. In addition, we will continue efforts to strengthen domestic, regional, and global networks on criminal and civil/administrative enforcement, build capacity in developing countries to monitor and enforce compliance with environmental laws, and raise awareness of the role of enforcement in ensuring sustainable development.

OECA plays a key role in ensuring trade-related activities support environmental protection, particularly related to effective enforcement of environmental laws. Initiatives relating to environmental trade and investment are carried out bilaterally, multilaterally or in connection with multilateral institutions such as the International Network for Environmental Compliance and Enforcement (INECE) and associated regional networks, INTERPOL's Environmental Crime Program, the World Trade Organization (WTO), World Bank, European Union (EU), and others. Also, OECA will support protection of human health and the ecosystem of North America through the United States participation in the North American Agreement on Environmental Cooperation and through leadership in the Enforcement Working Group of the Commission on Environmental Cooperation (CEC), the Organization for Economic Cooperation and Development (OECD), and other international entities. OECA will provide targeted capacity building support under the environmental cooperation agreements developed parallel to U.S. free trade agreements.

Funding Priority - Fiscal Year 2012: EPA expects to continue funding for ongoing activities that advance environmental compliance worldwide. Possible funding priorities include efforts to build capacity for compliance and enforcement in Africa, South America, and other parts of the world; support for international conferences on compliance and enforcement; and specific projects such as preventing the transboundary shipments of hazardous wastes and e-wastes, addressing compliance and enforcement issues in global climate change schemes, and international studies of best practices to exchange information among enforcement practitioners and policy makers.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Discretionary funds are available for the awards under this program. Grants and cooperative agreements are available to support recipients' allowable direct cost expenditures associated with the approved project plus allocable portions of

allowable indirect costs of the institution, in accordance with established EPA policy, 40 CFR parts 30 and 31. Funding awarded for international research under these projects does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of Enforcement and Compliance Assurance's mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions.

**Credentials/Documentation:**

Office of Enforcement and Compliance Assurance (OECA) may require applicants to submit documentation of non-profit status. OECA may request applicants to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OECA may also ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424.

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Under EPA Order No. 5700.5A1, Policy for Competition in Assistance Agreements (9/12/02), Assistance awards

to Foreign Governments and to United Nations agencies and similar International Organizations, such as the Organization of American States and Organization for Economic Cooperation and Development (OECD), may be exempted from competition at the discretion of OECA. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For non-competitive awards, OECA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and a technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to OECA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. See the following for information on how assistance is awarded/released: Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement.

**Reports:**

No program reports are required. No cash reports are required. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Progress reports are required under this program. Expenditure Reports are required under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer

and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,129,000; FY 12 est \$621,500; and FY 13 est \$200,000

**Range and Average of Financial Assistance:**

Range: \$30,000 - \$2,000,000; Average: FY 2010 est. \$400,000, FY 2011 est. \$300,000, and FY 2012 est. \$920,000. Annual amounts fluctuate greatly because OECA usually issues a single large grants for multiple years with interim awards for other projects at much lower levels.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No awards were made in FY 2011, but incremental funding was applied to awards made in previous years. In FY 2011, the program supported a major international environmental compliance and enforcement conference with approximately 200 participant from over 60 different countries and organizations. The program also supported a conference on environmental forensics for criminal investigators. Multiple training courses were offered in Chile and Kenya as well as support for global and regional environmental enforcement networks. Fiscal Year 2012: No additional awards were made in FY 2012, but incremental funding was made to awards made in previous years. In 2012, the program has completed training courses and enforcement policy development in Chile, Peru, and Tanzania. The program supported inspection events in Asia and other countries to curtail the illegal transport of hazardous wastes. In addition, the program supports regional and global enforcement networks worldwide. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

None. All assistance agreements issued under this CFDA will originate in the Office of Enforcement and Compliance Assurance (OECA) at EPA Headquarters.

**Headquarters Office:**

David Swack USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 2201A, Washington, District of Columbia 20460 Email:  
swack.david@epa.gov Phone: 202-564-9963.

**Website Address:**

<http://www.epa.gov/Compliance/>

**RELATED PROGRAMS:**

66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas; 66.931 International Financial Assistance Projects Sponsored by the Office of International Affairs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects funded in FY 2011 included support for international training on environmental governance, inspections, and adjudication of environmental laws. It also included workshops on Financial Assurance in

Mining, Public Participation in environmental laws, and environmental education. In addition, funding supported the International Network for Environmental Compliance and Enforcement (INECE) and the Seaport Environmental Security Network. Fiscal Year 2012: Projects funded in FY 2012 will include support for the East African Network for Environmental Compliance and Enforcement (EANECE) as well as the global International Network for Environmental Compliance and Enforcement (INECE). Specifically, the funding will support training courses in East Africa on environmental governance, as well as continued training on environmental adjudication, development of policies and tools to calculate penalties for environmental violations, inspection training, and workshops on public participation and environmental education. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.418 CONSTRUCTION GRANTS FOR WASTEWATER TREATMENT WORKS**

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 101(e)&109(b), Public Law 92-500; American Recovery and Reinvestment Act of 2009, Public Law 111-5; Clean Water Act, Section 210-212&215-219, Public Law 92-500; Clean Water Act, Section 201-205, 207, Public Law 92-500; Clean Water Act, Section 502,511,516(b), Public Law 92-500; Clean Water Act, Section 208(d)&304(d)(3), Public Law 92-500; Clean Water Act, Section 313,319,320,501, Public Law 92-500.

#### **OBJECTIVES:**

To assist and serve as an incentive in construction of municipal wastewater treatment works which are required to meet State and/or Federal water quality standards and improve the water quality in the waters of the United States. From fiscal year (FY) 2004 onwards, American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia may use up to four percent of the funds appropriated under Title VI for administration and closeout of their construction grant program.

Funding Priority - Fiscal Year 2012: Funds will be awarded to assist in construction of municipal wastewater treatment works which are required to meet State and/or Federal water quality standards and improve the water quality in the waters of the United States. Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office. Funds were also made available to American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia for construction of municipal wastewater treatment works under the American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding were targeted toward projects for green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds are used for construction of municipal wastewater treatment works including privately owned individual treatment systems, if a municipality applies on behalf of a number of such systems. Such works may serve all or portions of individual communities, metropolitan areas, or regions. A project may include, but may not be limited to, treatment of industrial wastes. The grantee must require pretreatment of any industrial wastes which would otherwise be detrimental to efficient operation and maintenance, or the grantee must prevent the entry of such waste into the treatment plant. The grantee must have or initiate an acceptable system of user charges. From FY 2004 onwards, American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia may use up to four percent of the funds appropriated under Title VI for administration and closeout of their construction

grant program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Any state, local, intrastate agency, or interstate agency, or Federally-Recognized Indian tribal government, having jurisdiction over waste disposal. At present, new funding for the construction grants program exists only in American Samoa, Commonwealth of Northern Mariana Islands, Guam, Virgin Islands, and the District of Columbia because they are exempt by the U.S. Congress from establishing a State Revolving Fund (SRF). Grants are awarded to only these territories and the District of Columbia from the SRF funds (Title VI grants), which are awarded as Title II grants. Funding requests for construction of wastewater treatment facilities are now to be made to the SRF representative of the State in which the construction is proposed.

#### **Beneficiary Eligibility:**

Anyone/General Public. Anyone to be served by a wastewater treatment works assisted by this program.

#### **Credentials/Documentation:**

(1) Certified copy of authorization and assurances from the applicant's governing body. Authorization must be current, and must designate by name and title the individual who will represent the applicant; (2) current description of the project; (3) statement explaining exact nature of local, State, and any other Federal funds which may be used to finance the project; (4) applicant assurance (which is acceptable to the Regional Administrator) that any necessary discharge permit has been or will be obtained in accordance with Section 401, of Public Law 92-500, as amended; (5) conformance with requirements set forth in 40 CFR Part 35; Subpart I. Application may be made for grant assistance for building and erection of the treatment works with an allowance for planning and design costs at the time that the grant for construction is made. Costs will be determined in accordance with OMB Circular No. A-87, "Costs Principles for State, Local, and Indian Tribal Governments.". OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

This is an existing program which is winding down as the funding is now being provided under the Clean Water State Revolving Fund Program for construction of wastewater treatment facilities. An environmental assessment is required for this program, which may require the development of an environmental impact statement by EPA. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted through the State water pollution control agency to the appropriate EPA Regional Office. The standard application forms as furnished by the Federal agency must be used for this program. EPA requires final applications to be made on the Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at:

[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to

use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Projects considered for award must be approved by the State water pollution control agency and also certified by such agency as a priority over any other eligible projects. Award is made following such certification and approval by a Regional Office of EPA. Funds authorized by the Congress are allotted to the States in accordance with The Clean Water Act, as amended. Grant awards within individual States are limited by the funds which have been allotted to such States.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 45 days, for EPA Regional Office action after certification by delegated State.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program operates under Section 202 of the Clean Water Act. This program has no statutory formula. The Federal grant may be for up to 55 percent for grants awarded after September 30, 1984 or for 75 percent of eligible project costs for grant assistance awarded before October 1, 1984. The States may lower these percentages with the concurrence of the Regional Administrator pursuant to Section 202(a)(1) of the Clean Water Act as amended by Public Law 100-4. For innovative or alternative treatment processes and techniques referred to in section 201(g)(5) the funding shall be 20 per centum greater than the above approved percentage, but in no event greater than 85 per centum of the cost of construction of the project being funded with the grant. The grantee must assure that they will provide funds for all remaining costs. Some States assist grantees in providing all or part of the non-Federal share. American Samoa, Guam, Northern Marianas Islands, and Virgin Islands will receive the funds allocated up to 100 percent of the cost of construction. Recovery Act funds allotted to the District of Columbia, American Samoa, Guam, Northern Mariana Islands, and Virgin Islands have no match requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Any Title VI sums that are allotted as Title II to the District of Columbia, American Samoa, Guam, Northern Mariana Islands, and Virgin Islands will be available for obligation for a period of one year after the close of the fiscal year for which the sums are authorized. The term of the grant shall be determined at the time of grant award. Grant payments are based on work completed, equipment delivered, or sometimes off-site manufacturing or services rendered. Final grant payment is made after construction is completed and satisfactory final inspection and performance evaluation are carried out. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

Annual inspection by the State agency for compliance with permit requirements including a written report concerning operation and maintenance of waste treatment facility, and certification one year after beginning operation that the works are meeting project performance standards. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years after project closeout, and if questions still remain, such as those raised in a court appeal, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; 68-0102-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$29,652,000; FY 12 est \$28,422,000; and FY 13 est \$30,000,000 - Title II obligations available for construction grants to District of Columbia, American Samoa, Guam, Northern Mariana Islands, and the Virgin Islands are: FY 11 \$29,652,000; FY 12 \$28,422,000; and FY 13 est. \$30,000,000.

**Range and Average of Financial Assistance:**

CWA Title II grants \$100,000 to \$10,000,000/fiscal year; \$5,000,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 6 grants for \$34.7 million were awarded including the earlier year funds. Projects funded included new and expanded wastewater treatment plants, infiltration/inflow correction, new interceptors, new collector sewers, and correction of CSO projects. Fiscal Year 2012: In Fiscal Year 2012, it is anticipated that 5 grants for \$28 million will be awarded. Projects to be funded include new and expanded wastewater treatment plants, infiltration/inflow correction, new interceptors, new collector sewers, and correction of CSO projects. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants for Construction of Treatment Works, Environmental Protection Agency (40 CFR Part 35, Subpart E (and Subpart I), applicable to grants awarded after May 12, 1982); General Grant Regulations and Procedures, EPA (40 CFR Part 31); "Construction Grants 1985 (Guidelines for applicants and grantees)"; and Construction Grants Handbook of Procedures (Guidelines for Project Officers)." For these and other publications, please contact EPA's Office of Wastewater Management, Municipal Support Division, MC-4204M, 1200 Pennsylvania Ave., NW, Washington, DC 20460.

**Regional or Local Office:**

See Regional Agency Offices. Information regarding appropriate waste treatment requirements and State and Federal assistance may be obtained from the State water pollution control agency. Individuals may also communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Also, contact your State agency concerning possible assistance under a State revolving fund (Title VI) of the 1987 Amendments of the Clean Water Act.

**Headquarters Office:**

Gajindar Singh, Sustainable Communities Branch (4204M), Municipal Support Division, Office of Wastewater Management, Environmental Protection Agency, EPA East, 1200 Pennsylvania Ave., N.W., Washington, District of Columbia 20460 Email: [singh.gajindar@epa.gov](mailto:singh.gajindar@epa.gov) Phone: (202) 564-0634.

**Website Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

**RELATED PROGRAMS:**

66.458 Capitalization Grants for Clean Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: New and expanded wastewater treatment plants, infiltration-inflow correction, new interceptors, new collector sewers, and correction of CSO projects. Fiscal Year 2012: New and expanded wastewater treatment plants, infiltration-inflow correction, new interceptors, new collector sewers, and correction of CSO projects. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Annual funding priorities are determined by the State in which the grantee is located. The project must be given priority by the State water pollution control agency through its project priority system and recommended for funding for approval by the EPA Regional Office.

**66.419 WATER POLLUTION CONTROL STATE, INTERSTATE, AND TRIBAL PROGRAM SUPPORT**

(106 Grants)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 106, Public Law 95-217, 33 U.S.C 1251.

**OBJECTIVES:**

To assist States (including territories, the District of Columbia, and Indian Tribes qualified under CWA Section 518(e)), and interstate agencies in establishing and maintaining adequate measures for prevention and control of surface and ground water pollution from both point and nonpoint sources.

Funding Priority - Fiscal Year 2012: States and Tribes will continue to focus on fulfilling their basic responsibilities under the CWA and, based upon a shared understanding with EPA of the environmental progress expected, will identify program activities that will best support attaining targeted environmental improvements. State priority efforts will include: (1) implementing monitoring strategies and the statistically-valid surveys to determine water quality status and trends; (2) fostering a watershed approach, including total maximum daily loads (TMDLs) and watershed plans designed to meet water quality standards; and (3) implementing concentrated animal feeding operations (CAFOs) and storm water permitting programs. States and Tribes will work toward adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury in their water quality standards. States NPDES Programs will support EPA in: (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations. Water quality programs will also target actions to strengthen permitting and enforcement efforts. States will also conduct source water protection actions to protect both ground water and surface waters used for drinking water. Tribes will continue to conduct watershed assessments and will maintain and improve their capacity to implement water quality programs through monitoring, assessments, planning, data management and standards development.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Water pollution control grants are intended to provide continuing support for the prevention and abatement of surface and ground water pollution from point and nonpoint sources. Continuing and recurrent water quality management program activities funded include water quality planning and standards; monitoring and assessments; inspections and enforcement; permitting; training; advice and assistance to local agencies; and public information. Funds cannot be used for construction, operation, or maintenance of waste treatment plants, nor can they be used for costs financed by other Federal grants. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when

on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible entities include States (including the District of Columbia and territories), interstate water pollution control agencies as defined in the Federal Water Pollution Control Act, and Indian tribes qualified under CWA Section 518(e). Agencies making application for funds must annually submit their pollution-control program to the appropriate EPA Regional Administrator for approval. Requirements of the program are based on Section 106 of the Act, and 40 CFR Parts 31, 35, and 130. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States (including the District of Columbia), Territories, interstate water pollution control agencies and Indian tribes qualified under Section 518(e) of the Clean Water Act (CWA).

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, tribal, and local governments. State and interstate agencies and Indian tribes qualified under Section 518(e) of the Clean Water Act must show compliance with 40 CFR 35, Subpart A and Subpart B. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Informal meetings are held between regional office, State, territorial, and Indian tribe applicant agencies concerning program preparation. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. The grant agreement must adequately reflect the priorities identified in the State/EPA Agreement. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grants application must be submitted to the appropriate EPA Regional Office, Grants Administration Branch (see Appendix IV of the Catalog). The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Applications are reviewed by the appropriate EPA Regional Office and if approved, are signed by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act, Chapter CFR 35.162.

Matching Requirements: The regulation that implements the formula can be found at CFR 35.162. As stated in the Clean Water Act, appropriated funds are allotted among the State and Interstate Water Pollution Control Agencies on the basis of the extent of the pollution problems in the respective States. The six components in the Section 106 State allotment formula selected to reflect the extent of the water pollution control problems in the United States are: (1) surface water area; (2) ground water use; (3) water quality impairment; (4) point sources; (5) non-point sources; and (6) population of urbanized areas. The set-aside for Interstate Water Pollution Control Agencies is 2.6 percent of the total State monies appropriated under Section 106. The interstate allotment formula consists of two parts: (1) a funding floor, and (2) a variable portion. To receive a Section 106 Water Pollution Control grant, a State or interstate agency must expend annually for recurrent Section 106 program expenditures an amount of non-federal funds at least equal to expenditures during the fiscal year ending June 30, 1971. A portion of the annual Section 106 appropriation is set-aside for eligible Indian Tribes qualified under CWA Section 518(e), and an allocation formula is used to distribute these funds to the EPA Regions. The Tribal allocation formula consists of both a base portion (which is currently equal to approximately \$65,000 times the total number of Tribes with Treatment in a manner similar to a State [TAS] approval for Section 106 grants in each EPA Region), plus a weighted variable portion. The variable portion is based upon the total tribal water area (50 percent), land area (25 percent), and reservation population (25 percent) in each EPA Region. Tribal work plan costs include the costs of planning, developing, establishing, improving, and maintaining a water pollution control program. The Regional Administrator may provide up to 95 percent of the approved work plan costs for Tribes or intertribal consortia establishing a Section 106 water pollution control program. The Regional Administrator may increase the maximum Federal share if the tribe or intertribal consortium can demonstrate in writing to the satisfaction of the Regional Administrator that fiscal circumstances within the Tribe or within each Tribe that is a member of an intertribal consortium are constrained to such an extent that fulfilling the 5 percent match requirement would impose undue hardship. Since 2005, additional funds have been allocated for the purposes of strengthening State and Territorial water quality monitoring programs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One year; payments are approved quarterly and disbursed monthly. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable.

Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program.

Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$262,732,500; FY 12 est \$238,403,000; and FY 13 est \$265,264,000

**Range and Average of Financial Assistance:**

\$30,000 to \$12,775,000/fiscal year; \$5,000,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In each fiscal year, grants are awarded to conduct Water Pollution Control programs by the 50 States, 6 Territories, the District of Columbia, 6 Interstate Commissions, and Indian Tribes qualifying under CWA Section 518(e). FY 11 funds were used to continue to support State and Tribes' efforts to fulfill their basic responsibilities under the CWA and identify program activities that best support attaining targeted environmental improvements. States and tribes continued working on: implementing monitoring strategies and the development of statistically-valid surveys to determine water quality status and trends; fostering a watershed approach including total maximum daily loads (TMDLs) and the development of watershed plans designed to meeting water quality standards; and the implementation of concentrated animal feeding operations (CAFOs) and storm water permitting programs. At a minimum, Regional watershed based strategies give priority to: 1) fostering the development of watershed plans under State nonpoint source programs; 2) assuring that high priority permits are current; 3) tracking permitting for environmental results program integrity follow-up actions; 4) developing TMDLs for impaired waters; and 5) organizing restoration plans on a waterbody basis. Fiscal Year 2012: In each fiscal year, grants are awarded to conduct Water Pollution Control programs by the 50 States, 6 Territories, the District of Columbia, 6 Interstate Commissions, and Indian Tribes qualifying under CWA Section 518(e). FY 12 funds will be used to continue to support State and Tribes' efforts to fulfill their basic responsibilities under the CWA and identify program activities that best support attaining targeted environmental improvements. States and tribes will continue working on: implementing monitoring strategies and the development of statistically-valid surveys to determine water quality status and trends; fostering a watershed approach including total maximum daily loads (TMDLs) and the development of watershed plans designed to meeting water quality standards; and the implementation of concentrated animal feeding operations (CAFOs) and storm water permitting programs. At a minimum, Regional watershed based strategies give priority to: 1) fostering the development of watershed plans under State nonpoint source programs; 2) assuring that high priority permits are current; 3) tracking permitting for environmental results program integrity follow-up actions; 4) developing TMDLs for impaired waters; and 5) organizing restoration plans on a waterbody basis. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 31); Handbook of Procedures, State and Interstate Program Grants; Environmental Protection Agency, State and Local Assistance

Programs, Grants for Water Quality Planning, Management and Implementation (40 CFR Part 130 and 40 CFR Part 35 Subpart A and B); Office of Water National Program Guidance for FY 2005. .

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Robyn Delehanty, Office of Wastewater Management (4201M), Environmental Protection Agency, EPA East Building, 1201 Constitution Avenue, N.W., Washington, District of Columbia 20460 Email: delehanty.robyn@epa.gov Phone: (202) 564-3880

**Website Address:**

<http://www.epa.gov/owm/cwfinance/pollutioncontrol.htm>

**RELATED PROGRAMS:**

66.454 Water Quality Management Planning; 66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants are made to States, interstate agencies, and tribes qualified under CWA Section 518(e), for the administration of State and tribal programs for the prevention, reduction, and control of water pollution. Activities funded include administration of State and tribal water quality planning programs; water quality standards programs; water quality monitoring and assessments; National Pollutant Discharge and Elimination System (NPDES) permitting programs; compliance and enforcement programs, and ground water protection programs. More specifically, adoption and implementation of new comprehensive monitoring strategies, as stated in the March 2003 Elements of a State Water Monitoring and Assessment Guidance, and the development of statistically valid monitoring networks to help target activities and determine water quality status and trends; enhancement of the quality and timeliness of state/tribal water quality standards triennial reviews so that standards are based on sound science and EPA guidance; adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury into state water quality standards; effective management of the permit program through State participation on (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations; implementation of program enhancements identified in the FY 2004 comprehensive assessment of NPDES program integrity; and State storm water and concentrated animal feeding operations (CAFO) permitting programs, wet weather issues and combined sewer overflows (CSOs). Fiscal Year 2012: Grants are made to States, interstate agencies, and tribes qualified under CWA Section 518(e), for the administration of State and tribal programs for the prevention, reduction, and control of water pollution. Activities funded include administration of State and tribal water quality planning programs; water quality standards programs; water quality monitoring and assessments; National Pollutant Discharge and Elimination System (NPDES) permitting programs; compliance and enforcement programs, and ground water protection programs. More specifically, adoption and implementation of new comprehensive monitoring strategies, as stated in the March 2003 Elements of a State Water Monitoring and Assessment Guidance, and the development of statistically valid monitoring networks to help target activities and determine water quality status and trends; enhancement of the quality and timeliness of state/tribal water quality standards triennial reviews so that standards are based on sound science and EPA guidance; adoption of nutrient criteria for fresh waters, adoption of the 1986 bacteria criteria, and adoption of fish tissue criteria for mercury into state water quality standards; effective management of the permit program through State participation on (1) developing and strengthening systems to ensure the integrity of the program; (2) achieving and measuring environmental results; and (3) incorporating efficiencies in permitting program operations; implementation of program enhancements identified in the FY 2004 comprehensive assessment of NPDES program integrity; and State storm water and concentrated animal feeding operations (CAFO) permitting programs, wet weather issues and combined sewer overflows (CSOs). Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA

description will be described in the competitive announcement. Section 106 funds are awarded to State, territory, interstate, and Indian tribal agencies in accordance with overall water quality management needs, the requirements of programs covered by these agreements, and EPA Program guidance.

**66.424 SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS, AND TRAINING GRANTS - SECTION 1442 OF THE SAFE DRINKING WATER ACT**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Policy Act , Section 102(2)(F); Safe Drinking Water Act , Section 1442, Public Law 104-182.

**OBJECTIVES:**

(1) To support surveys, studies, investigations, demonstrations, and training associated with source water and drinking water; (2) To develop and expand capabilities of programs to carry out the purposes of the Safe Drinking Water Act (SDWA).

Funding Priority - Fiscal Year 2012: Funding priorities include providing assistance for the following: (1) research on the occurrence of contaminants in drinking water; (2) source water protection and treatment methods; measures to protect water quality in the distribution system and at the tap; (3) tribal source water protection program support; tribal operator certification program support; (4) tribal capacity development program support; and (5) assistance to tribes in administration of the Drinking Water Infrastructure Grants to identify health effects associated with drinking water contaminants. Funding priorities also include providing assistance for the following training and technical assistance activities: (1) training personnel who manage or operate public water systems; (2) training personnel for occupations involving the public health aspects of providing safe drinking water; (3) training to develop and expand the capabilities of states and municipalities to carry out the SDWA; and (4) technical assistance to enable small public water systems to meet the requirements of SDWA.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds will support research, investigations, studies, demonstrations, and training associated with source water and drinking water. Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit

eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions and individuals.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. This program is subject to the provisions of OMB Circulars No. A-102 and No. A-110. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at:

[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, announcements for competitive funding opportunities will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for water surveys, studies, demonstrations, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and

Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304; 68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$2,482,028; FY 12 est \$12,975,000; and FY 13 est \$3,900,000

**Range and Average of Financial Assistance:**

\$300,000 to \$6,900,000/fiscal year; \$3,900,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. Competitive announcements typically include the number of anticipated awards. Five grants were awarded in FY 11 in support of drinking water and source water initiatives associated with developing and expanding capabilities of programs to carry out the purposes of the SDWA. Fiscal Year 2012: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. Competitive announcements typically include the number of anticipated awards. In FY 12, it is anticipated that additional support for drinking water and source water initiatives will be provided. Fiscal Year 2013: No Current Data Available



## REGULATIONS, GUIDELINES, AND LITERATURE:

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Training grants and cooperative agreements are subject to EPA's Regulations for Training Assistance (40 CFR Part 45).

### Regional or Local Office:

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

### Headquarters Office:

Joe Jackson, Environmental Protection Agency, Office of Ground Water and Drinking Water, 1200 Pennsylvania Avenue, Washington, District of Columbia 20460 Email: jackson.joe-a@epa.gov Phone: (202) 564-3817.

### Website Address:

<http://www.epa.gov/safewater>.

## RELATED PROGRAMS:

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development; 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator; 66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies

## EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2011: Assisting states in effective implementation of SDWA requirements; assistance to states in ground water protection and conservation; developing utility planning tools; capacity development support; and source water protection through prevention. Fiscal Year 2012: Assisting states in effective implementation of SDWA requirements; assistance to states in ground water protection and conservation; developing utility planning tools; capacity development support; and source water protection through prevention. Fiscal Year 2013: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.432 STATE PUBLIC WATER SYSTEM SUPERVISION

### FEDERAL AGENCY:

Office of Water, Environmental Protection Agency

### AUTHORIZATION:

Safe Drinking Water Act Amendments of 1996, Public Law 104-182; Public Health Service Act; Safe Drinking Water Act Amendments of 1986; Safe Drinking Water Act of 1974, Public Law 93-523; Safe Drinking Water Act of 1974, Public Law 96-16; Safe Drinking Water Act of 1974, Public Law 96-502; Safe Drinking Water Act of 1974, Public Law 95-190.

### OBJECTIVES:

The objective of these grants is to provide financial assistance to eligible States and Tribes (those that have Primary Enforcement Responsibility for the Public Water System Supervision (PWSS) Program), for implementation and enforcement of the requirements of the Safe Drinking Water Act that apply to public water systems. In cases where a State or a Tribe does not have a Primary Enforcement Responsibility program, EPA is authorized to use funds that would have otherwise been made available to the State or the Tribe to assist it in direct implementation of the PWSS program. The fundamental goal of the PWSS Program, and the grants, is to ensure that public water systems comply with the National Primary Drinking Water Regulations listed in 40 CFR 141 (<http://www.gpo.gov/fdsys/pkg/CFR-2011-title40-vol23/pdf/CFR-2011-title40-vol23-part141.pdf>). State drinking water agencies, which have Primary Enforcement Responsibility for the Public Water System Supervision (PWSS) Program, and Indian Tribes that receive PWSS grants are to use them to ensure that public drinking water systems, of all types, and of all sizes: (1) are currently in compliance with the drinking water regulations and remain in

compliance, (2) are working towards and in the process of achieving compliance when these systems are noncompliant, and (3) are preparing for future compliance with any new drinking water regulations that will be taking effect in the current or following year. Furthermore, State drinking water agencies, which have Primary Enforcement Responsibility for the Public Water System Supervision (PWSS) Program, and Indian Tribes that receive PWSS grants are required to use the funds to update and maintain its PWSS program to comply with the National Primary Drinking Water Regulations Implementation requirements listed in 40 CFR 142 (<http://www.gpo.gov/fdsys/pkg/CFR-2011-title40-vol23/pdf/CFR-2011-title40-vol23-part142.pdf>) to ensure that the State or Tribal PWSS program is capable of conducting oversight of all public water systems as new drinking water rules, new public water systems, and/or drinking water program requirements become effective.

Funding Priority - Fiscal Year 2012: The priority for the PWSS grants is to ensure that the population served by community water systems will receive drinking water that meets all applicable health-based drinking water standards. This includes ensuring public water systems implement and comply with the new drinking water rules: Stage 2 Disinfectants and Disinfection Byproducts Rule, Long Term 2 Enhanced Surface Water Treatment Rule, and Ground Water Rule. The primary components of a State or Tribal PWSS program are: (1) the adoption and implementation of State and Indian Tribe drinking water regulations at least as stringent as the Federal regulations; (2) the development and maintenance of database(s) of an inventory of public water systems and housing of public water system compliance information; (3) the conduct of sanitary surveys, which identifies sanitary deficiencies and requires that these deficiencies to be addressed, at public water systems; (4) the establishment and maintenance of a laboratory certification program for approval of laboratories to perform analyses of drinking water contaminants/analytes, including the assurance of adequate laboratory capacity to perform drinking water analyses; (5) the review of public water system plans and specifications; (6) the establishment of legal enforcement and authority to assess penalties to compel public water systems' compliance with the National Primary Drinking Water Regulations; (7) the adoption of regulations consistent with 40 CFR part 3 which deals with electronic documents; and (8) the adoption and implementation of an adequate plan for providing safe drinking water during emergency circumstances.

## TYPES OF ASSISTANCE:

### FORMULA GRANTS

### USES AND USE RESTRICTIONS:

The funds are to be used to develop and implement a public water system supervision program adequate to enforce the requirements of the Safe Drinking Water Act. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### Applicant Eligibility:

Eligibility is limited to the governments of the fifty States; the District of Columbia; the Commonwealth of Puerto Rico; the Northern Mariana Islands; the Virgin Islands; Guam; American Samoa; and federally recognized Tribes, that have either assumed primary enforcement responsibility for the PWSS Program or that want to develop a program that will allow them to seek delegation for a PWSS Program. EPA may also use funds allotted for a State or Tribal program, if the State or Tribe does not have, or is not developing, primary enforcement responsibility. Eligibility is also limited to a single agency within each State, Territory, or Tribe - an agency that has been designated by the jurisdiction's Governor or Chief Executive Officer. Primary Enforcement

Responsibility for the Public Water System Supervision Program is provided for in 40 CFR 142

([http://www.access.gpo.gov/nara/cfr/waisidx\\_02/40cfr142\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/40cfr142_02.html)).

**Beneficiary Eligibility:**

The beneficiaries are the agencies within the fifty States; the District of Columbia; the Commonwealth of Puerto Rico; the Northern Mariana Islands; the Virgin Islands; Guam; American Samoa; and federally recognized Tribes, that have been designated by the jurisdiction's Governor or Chief Executive Officer as being responsible for the supervision of water supplies within the State, Territory, or Tribe.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Tribal Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application, including a Program Plan, must be submitted to the appropriate EPA Regional Administrator. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

The grant application and Program Plan are reviewed by the appropriate EPA Regional Office, and if approved, are signed by the Regional Administrator, who then awards the funds to the recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Maximum of 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR Parts 30.63 or 40 CFR Part 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act of 1974, Public Law 93-523. Matching Requirements: State allotments are computed through use of a formula, as prescribed in Public Law 93-523 Section 1443 (a)(3) and (a)(4), 40 CFR 35.172. Funds appropriated each year are allotted on the basis of: (a) State, Territory, or Tribal population (20 percent) as contained in the most currently available (published) U.S. Census Bureau data; (b) State, Territory, or Tribal geographical area (10 percent) as contained in the most currently available (published) U.S. Census Bureau data; (c) the number of active community and non-transient non-community water systems being regulated by the State, Territory, or Tribe that are on record in EPA's data system (56 percent); and (d) the number of active transient non-community water systems being regulated

by the State, Territory, or Tribe that are on record in EPA's data system (14 percent). All States, the District of Columbia, and Puerto Rico are eligible for a minimum of \$334,500 (which is equal to 1 percent of the FY 1989 PWSS Program appropriation). The American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands are eligible for a minimum of \$111,500 (which is equal to 1/3 percent of the FY 1989 PWSS Program appropriation). Up to seven percent of the amount appropriated for the PWSS Program is set-aside to support Public Water System Supervision programs on Indian lands (including grants to Tribes) in accordance with EPA Grant Regulations. The formula factors of population and land area are statutory. The other factors, and all of the weightings, are Agency imposed. Federal assistance is limited to 75 percent of total, eligible program costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual grants. There is no restriction placed upon the time permitted to spend the award. Awards are released through letters of credit or reimbursement. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report or until any audit exceptions have been resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$105,700,000; FY 12 est \$105,320,000; and FY 13 est \$105,700,000

**Range and Average of Financial Assistance:**

The range of the PWSS grants allotted to States and Tribes (those that have Primary Enforcement Responsibility for the Public Water System Supervision Program) for the following years are:

FY 2011 \$125,000 to \$6,603,000  
FY 2012 \$124,000 to \$6,700,000

The average amount allotted are as follows:

FY 2011 \$1,784,018  
FY 2012 \$1,777,581.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: During FY 2011, 49 States, five territories, one Indian Tribe,

and the District of Columbia were awarded grant funding under the PWSS Program. The majority of the grant funds were used for State, territorial, or Tribal governmental salaries to allow the governments to: develop and maintain State drinking water regulations; develop and maintain an inventory of public water systems throughout the State; develop and maintain a database housing compliance information on public water systems; conduct sanitary surveys on the public water systems; review public water system plans and specifications to ensure systems meet State design standards; provide technical assistance and training to water system managers and operators to ensure they are knowledgeable of the State requirements and best treatment and operation practices; conduct of a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; inspect and certify laboratories that are allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and conduct an enforcement program to ensure that the public water systems comply with all of the requirements. States, territories, and Tribes also use the grant funds to upgrade and maintain the data systems that are used to store and track information on public water systems. Fiscal Year 2012: During FY 2012, 49 States, five territories, one Indian Tribe, and the District of Columbia were awarded grant funding under the PWSS Program. The majority of the grant funds were used for State, territorial, or Tribal governmental salaries to allow the governments to: develop and maintain State drinking water regulations; develop and maintain an inventory of public water systems throughout the State; develop and maintain a database housing compliance information on public water systems; conduct sanitary surveys on the public water systems; review public water system plans and specifications to ensure systems meet State design standards; provide technical assistance and training to water system managers and operators to ensure they are knowledgeable of the State requirements and best treatment and operation practices; conduct of a program to ensure that the public water systems keep their consumers informed about the quality of the water they are providing; inspect and certify laboratories that are allowed to perform the analysis of drinking water that will be used to determine compliance with the drinking water regulations; and conduct an enforcement program to ensure that the public water systems comply with all of the requirements. States, territories, and Tribes also use the grant funds to upgrade and maintain the data systems that are used to store and track information on public water systems. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial Assistance for Continuing Environmental Programs (40 CFR 35, Subpart A); General Grant Regulations and Procedures (40 CFR Part 30).

#### **Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

#### **Headquarters Office:**

Nancy Ho Drinking Water Protection Division  
Office of Ground Water and Drinking Water  
Office of Water, (4606M)  
Environmental Protection Agency  
1200 Pennsylvania Avenue, NW., , Washington, District of Columbia 20460  
Email: ho.nancy@epa.gov Phone: (202) 564-3896 Fax: (202) 564-3755

#### **Website Address:**

<http://www.epa.gov/safewater/pws/pwsgrant.html>

#### **RELATED PROGRAMS:**

66.433 State Underground Water Source Protection; 66.468 Capitalization Grants for Drinking Water State Revolving Funds

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Funding was awarded to each of the 49 States, five territories, and one Indian Tribe that has primary enforcement responsibility for the PWSS Program. The grants were used by these governments, primarily for governmental salaries to: develop State drinking water regulations, inventory drinking water systems, manage information on public water systems, ensure public participation regarding drinking water systems, provide technical assistance to public water systems, and enforce drinking water quality standards as required to comply with the National Primary Drinking Water Regulations Implementation requirements listed in 40 CFR 142

(<http://www.gpo.gov/fdsys/pkg/CFR-2011-title40-vol23/pdf/CFR-2011-title40-vol23-part142.pdf> ) to thereby ensure that the State or Tribal PWSS program is capable of conducting oversight of all public water systems as new drinking water rules, new public water systems, and/or drinking water program requirements become effective. Fiscal Year 2012: Funding was awarded to each of the 49 States, five territories, and one Indian Tribe that has primary enforcement responsibility for the PWSS Program. The grants were used by these governments, primarily for governmental salaries to: develop State drinking water regulations, update and maintain an inventory of drinking water systems, manage information on public water systems, ensure public participation regarding drinking water systems, provide technical assistance to public water systems, and enforce drinking water quality standards as required to comply with the National Primary Drinking Water Regulations Implementation requirements listed in 40 CFR 142

(<http://www.gpo.gov/fdsys/pkg/CFR-2011-title40-vol23/pdf/CFR-2011-title40-vol23-part142.pdf> ) to thereby ensure that the State or Tribal PWSS program is capable of conducting oversight of all public water systems as new drinking water rules, new public water systems, and/or drinking water program requirements become effective. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of State's annual program plan for the adoption and enforcement of drinking water regulations which are no less stringent than the national primary drinking regulations as listed in 40 CFR 141 and 40 CFR 142. (2) Designation of a State agency to receive the grant and be responsible for conducting the public water system supervision program. (3) Compliance with requirements of 40 CFR 30 and 40 CFR 35.

#### **66.433 STATE UNDERGROUND WATER SOURCE PROTECTION FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Safe Drinking Water Act Amendments of 1986, Public Law 99-339; Safe Drinking Water Act of 1974, Public Law 93-523; Safe Drinking Water Act Amendments of 1996, Public Law 104-182, 42 U.S.C 300; Safe Drinking Water Act of 1974, Public Law 96-63; Safe Drinking Water Act of 1974, Public Law 96-502.

#### **OBJECTIVES:**

To foster development and implementation of underground injection control (UIC) programs under the Safe Drinking Water Act (SDWA). The objective of the grant program is to provide financial assistance, to eligible States and Tribes, for the implementation of their UIC Program. The fundamental goal of the program, and the grants, is to ensure that underground sources of drinking water are protected from endangering injection activities.

Funding Priority - Fiscal Year 2012: The program will fund the major components of State UIC programs which include: the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection well activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

The funds are to be used to develop and implement an underground injection control program adequate to enforce the requirements of the Safe Drinking Water Act. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to

conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States and Indian Tribes that qualify as Programs that have delegated primary Enforcement Authority pursuant to SDWA amendments of 1986.

**Beneficiary Eligibility:**

States and Indian Tribes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applications are subject to State and area wide clearinghouses review pursuant to procedures in the proposed 40 CFR Part 19. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application must be submitted to the appropriate EPA Regional Administrator. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

Applications are reviewed by the appropriate EPA Regional Office and, if approved, the funds are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act.

Matching Requirements: This program operates under a formula which uses criteria set forth in the SDWA, Section 1443(b)(4). Except for Indian Tribes, Federal assistance is limited to 75 percent of eligible costs, not to exceed the State allotment. The statistical factors used for allocation include: (1) population of State, based on the most recent Census Bureau data; (2) State land area, based on the most recent Census Bureau data; and (3) injection practices by State, based on data reported by States and maintained by EPA as of the most recent fiscal year prior to allocation development. For Indian Tribes, Federal assistance is limited to 90 percent of eligible costs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method

of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report, or until any audit exceptions have been resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$9,621,000; FY 12 est \$10,852,000; and FY 13 est \$11,109,000

**Range and Average of Financial Assistance:**

\$13,000 to \$973,000/fiscal year; \$176,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: This program provides funding support to states, territories, and tribes that have delegated primary enforcement authority pursuant to the SDWA amendments of 1986. The grant funds are used by the States, Territories, and Tribes to support operation of their ongoing UIC programs including: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection wells activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities. Fiscal Year 2012: This program provides funding support to states, territories, and tribes that have delegated primary enforcement authority pursuant to the SDWA amendments of 1986. The grant funds are used by the States, Territories, and Tribes to support operation of their ongoing UIC programs including: the development and maintenance of UIC regulations; the development and maintenance of inventories of injection systems; the development and maintenance of databases housing compliance information on underground injection wells activities; the implementation of UIC permitting activities; and the implementation of enforcement programs to ensure that underground sources of drinking water are protected from endangering injection activities. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants for State Underground Water Source Protection Programs (40 CFR 35); General Grant Regulations and Procedures (40 CFR Part 30).

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Jeff Jollie Prevention Branch, Drinking Water Protection Division  
Office of Ground Water and Drinking Water  
Office of Water, (4606M)  
Environmental Protection Agency  
1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460  
Email: jollie.jeff@epa.gov Phone: (202) 564-3886 Fax: (202) 564-3756

**Website Address:**

<http://www.epa.gov/safewater/uic/grants.html>

**RELATED PROGRAMS:**

66.432 State Public Water System Supervision

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grant funds are used by the States for such purposes as State regulation review, program plan developments, data management, inventory of injection facilities, public participation, technical assistance and review, permit approval and enforcement, and surveillance and investigation. Fiscal Year 2012: Grant funds are used by the States for such purposes as State regulation review, program plan developments, data management, inventory of injection facilities, public participation, technical assistance and review, permit approval and enforcement, and surveillance and investigation. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Adequacy of State's annual program plan for an enforceable underground injection control program; (2) compliance with requirements of 40 CFR 30 and 35, and Executive Order No. 12367 (Revised); (3) designation of a State agency to receive the grant and be responsible for coordinating the underground water source protection program; and (4) evidence that Federal grant funds will not supplant the State's nonfederal funding committed to underground water source protection efforts. For Indian Tribes: (1) demonstration of Tribal adequacy; and (2) demonstration of the tribe's intent, adequate legal authority, and resources to implement specific program elements outlined in 40 CFR 144, 145, 146, and 148.

**66.436 SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS, AND TRAINING GRANTS AND COOPERATIVE AGREEMENTS - SECTION 104(B)(3) OF THE CLEAN WATER ACT FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 95-217, 33 U.S.C 1251; National Environmental Policy Act, Section 102(2)(F).

**OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution.

Funding Priority - Fiscal Year 2012: Funding priorities include, but are not limited to training, surveys, studies, investigations, and demonstration projects to support water quality improvement, watershed planning and management, nonpoint source planning, wetlands protection, coastal and estuarine planning, treatment technologies, water efficiency, and environmental management systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs in approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. The funds will support conducting and promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and

elimination of water pollution. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia); public and private universities and colleges; hospitals; laboratories; public or private nonprofit institutions; intertribal consortia; and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. An intertribal consortium must meet the definition of eligibility in the Environmental Program Grants for Tribes Final Rule, at 40 CFR 35.504 (66 FR 3782, January 16, 2001) (FRL-6929-5) and be a non-profit organization within the meaning of OMB Circular A-122. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies, and investigations based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards,

Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits

remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,604,000; FY 12 est \$4,000,000; and FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

\$10,000 to \$580,000/fiscal year; \$295,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will typically include the number of anticipated awards. In FY 11, EPA funded 12 projects to support training, surveys, studies, investigations, and demonstrations for water quality improvement, watershed planning and management, treatment technologies, water efficiency, and environmental management systems. Fiscal Year 2012: Competitions are held throughout the year at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will typically include the number of anticipated awards. In FY 12, EPA will continue to fund projects to support training, surveys, studies, investigations, and demonstrations for water quality improvement, watershed planning and management, treatment technologies, water efficiency, and environmental management systems. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, investigations, demonstrations, and training grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices. For information on grant applications and procedures, contact:

Environmental Protection Agency, Grants and Interagency Agreement Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460. For program information contact: Office of Wetlands, Oceans and Watersheds, Connie Cahanap, Phone: (202) 566-1382; FAX: (202) 566-1147; e-mail: [cahanap.concepcion@epa.gov](mailto:cahanap.concepcion@epa.gov). Office of Wastewater Management, Barry Benroth, Phone: (202) 564-0672; FAX: (202) 501-2397; e-mail: [benroth.barry@epa.gov](mailto:benroth.barry@epa.gov). Office of Science and Technology, Agnes Ortiz, Phone: (202) 566-1303; FAX: (202) 566-0441; e-mail: [ortiz.agnes@epa.gov](mailto:ortiz.agnes@epa.gov).

**Headquarters Office:**

Kimberley Davis Environmental Protection Agency  
Office of Water  
1200 Pennsylvania Avenue, N. W. (4101M)  
, Washington, District of Columbia 20460 Email:  
[roy-davis.kimberley@epa.gov](mailto:roy-davis.kimberley@epa.gov) Phone: (202) 564-4633

**Website Address:**

<http://www.epa.gov/ow>

**RELATED PROGRAMS:**

66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Development of innovative watershed education tools, development of wetland protection guides for local communities, demonstration projects for watershed management, development of sustainable approaches to water quality management, and training on environmental management systems. Fiscal Year 2012: Development of innovative watershed education

tools, development of wetland protection guides for local communities, demonstration projects for watershed management, development of sustainable approaches to water quality management, and training on environmental management systems. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria.

**66.437 LONG ISLAND SOUND PROGRAM**

Long Island Sound Study (LISS)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 119(d).

**OBJECTIVES:**

To (1) implement the Long Island Sound Study (LISS) Comprehensive Conservation and Management Plan (CCMP) and (2) assist the states of Connecticut and New York, and other public or nonprofit entities in conducting research, experiments, investigations, training, demonstration, surveys, or studies related to reducing pollution and improving the quality of the environment to sustain living resources in the Long Island Sound.

Funding Priority - Fiscal Year 2012: EPA's funding priority is to award grants that support the Long Island Sound Study (LISS) National Estuary Program. Section 119(d) of the Clean Water Act as amended by the Long Island Sound Restoration Act of 2000, P.L. 106-457 authorizes the Administrator to award grants to eligible entities to implement the LISS Comprehensive Conservation and Management Plan (CCMP), with special emphasis on implementation, research and planning, enforcement, and citizen involvement and education projects. The LISS management conference, with participants from state, interstate and regional environmental agencies, local governments and other public or nonprofit private agencies, research institutions and individuals, develops programs to protect and restore Long Island Sound. The LISS program characterizes the problems in the estuary, determines relationships between pollutant loading and impacts on living resources, maintains a comprehensive plan recommending solutions to priority problems, and implements actions addressing priority problem areas. Activities in Fiscal Year 2012 will focus on six areas identified in the plan as requiring special attention, including: the impact of hypoxia on aquatic life, effects of toxic contamination, pathogen contamination and floatable debris pollution on the living resources and environment of the Sound, the impact of habitat degradation on the health of living resources, land use and development policies and their effect on the ecology, and scientific research in support of these areas as appropriate.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to implement elements of the LISS CCMP. Special emphasis shall be given to CCMP implementation projects, research and planning, enforcement, and citizen involvement and education projects. The Administrator may give priority to a distressed community as defined in 33 USC 1269(e)(1). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State, interstate, and regional water pollution control agencies, and other public or nonprofit private agencies, institutions, and organizations are eligible. Private profit-making entities, and individuals, are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Assistance under this program generally benefits state, interstate, and regional water pollution control agencies and other public or nonprofit private agencies, institutions, and organizations. The general public and Long Island Sound user groups such as swimmers, beach goers, sport and commercial fishermen, boaters, and shellfishes, benefit from the results of the program through cleaner water, restored and protected habitat, and preserved and enhanced ecosystems.

**Credentials/Documentation:**

Nonprofit private agencies, institutions and organizations may be required to provide documentation of their organizational status upon application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The EPA Long Island Sound Office (LISO) issues annual guidance on the form and content of pre-proposals. All pre-proposals or work statements should be consistent with LISO's guidance. Consultation or technical assistance may be available upon request from the LISO to aid applicants in preparing their pre-proposal. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. An environmental impact statement or environmental impact assessment is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The EPA LISO annually releases a request for base program pre-proposals in the Fall. Pre-proposals are due to the LISO generally by early January or as specified in guidance. The LISS management committee reviews pre-proposals in late January to identify areas of concern and to request additional information or clarification on proposals through the LISO. The LISO coordinates review of pre-proposals among the several LISS technical work groups and teams to ensure consistency with program goals and objectives as outlined in the CCMP and other priorities as directed by the management committee. If necessary, applicants are contacted by the LISO to provide the additional information or clarification. The LISO coordinates review of the revised proposals and develops funding recommendations for the management committee's consideration in April. The management committee makes final recommendations on funding pre-proposals at that time, or as otherwise specified. Applicants are advised of the status of their request by the LISO within 30 days of the management committee's final decisions. Successful applicants are required to submit formal grant applications using the standard federal grant application forms. The deadline for submitting applications may vary by EPA Region, but is generally June 1. Applications not received by the deadline are not further considered for funding. Unallocated funds are carried over or otherwise used to further the purposes of this program at the discretion of the management committee. Federal grant application forms may be obtained on the EPA website, <http://www.epa.gov/ogd/AppKit/index.htm> or requested from either the EPA Region I or II grants management office as follows: for Connecticut, EPA Region I, Grants Management Office, 5 Post Office Square, Boston, MA 02109; for New York, EPA Region II, Grants and Contracts Management Branch, 290 Broadway, New York, NY 10007-1866. The standard federal grant application forms as required by OMB Circular No. A-102 must be used for this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The completed grant

application should be submitted to the appropriate EPA Regional grants management office, with a copy to the LISO to assist with processing.

**Award Procedure:**

Each federal assistance application and final work plan will be evaluated by the LISO to determine the adequacy of the application under LISS priorities and objectives, including technical merit and relevance of the project to the implementation of the CCMP and for consistency with the pre-application proposal. Each federal assistance award application will also be subject to an administrative review by the EPA Region I or II grants management office as appropriate. Funds are awarded by the EPA Region I or II Administrator as appropriate. Grantees will receive a final assistance award package from the appropriate EPA Regional grants management office that must be accepted and signed by an authorized official of the recipient organization and returned to the GMO as specified in the EPA award document. Awards may be made on an advance or reimbursement basis. Awards that are not signed and returned by the deadline specified in the assistance award document may be subject to cancellation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification of action on pre-proposals is provided approximately 120 days after the deadline for pre-proposal submission. Final grantees are notified of approval approximately 90 days after the submission of the application for federal assistance.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of EPA.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: This program has no statutory formula (33 USC 1269(d)(3)). Federal costs for citizen involvement and education grants shall not exceed 95 percent of the costs of such work; for all other grants and cooperative agreements, federal costs shall not exceed 50 percent of the research, studies, or work. EPA has determined that annual matching requirements for LISS grant awards shall be met in the aggregate for all funds awarded as specified in the approved annual work plan.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are generally made for a one-year period corresponding to the federal fiscal year, October-September. Awards may be made for longer periods upon justification and with the approval of EPA. Awards may be made by advance or reimbursement at the discretion of EPA. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements require semi-annual and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$2,962,000; FY 12 est \$3,956,000; and FY 13 est \$2,962,000

**Range and Average of Financial Assistance:**

\$20,000 to \$500,000/fiscal year; \$50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: EPA grantees hold competitions throughout the year based on available funds and Long Island Sound Study priorities. The number of applications and the number of awards made is dependent on the announcement issued. The announcement includes the number of anticipated awards. In FY 11, 12 awards were made totalling \$5,818,681. In FY 11, the LIS program reduced the areal extent of the hypoxic event in Long Island Sound from a pre-TMDL 13-year average of 208 square miles to a post-TMDL 11 year average of 179 square miles; restored or protected 1,361 acres of coastal habitat; and reopened 13 river miles to anadromous fish passage. Fiscal Year 2012: EPA grantees for the Long Island Sound Futures Fund grant program and the Long Island Sound Scientific Research grant program hold competitions throughout the year based on available funds and Long Island Sound Study priorities. The number of applications and the number of awards made is dependent on the announcement issued. The announcement includes the number of anticipated awards. FY 12 data is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

LISS grants and cooperative agreements are subject to EPA's General Grant Regulations, 40 CFR Part 35, 40 CFR Part 30, or 40 CFR Part 31; annual EPA Office of Water National Estuaries Program guidance; the LISS CCMP, and Long Island Sound 2003 or successor Agreement.

**Regional or Local Office:**

See Regional Agency Offices. USEPA Long Island Sound Office, Government Center, 888 Washington Boulevard, Suite 9-11, Stamford, Connecticut 06904; Telephone, (203) 977-1541; FAX, (203) 977-1546. Attention: Mark Tedesco. E-mail: tedesco.mark@epa.gov.

**Headquarters Office:**

Paul Cough USEPA Office of Water; Office of Wetlands, Oceans and Watersheds; Oceans and Coastal Protection Division; USEPA West, 1301 Pennsylvania Avenue, NW, Washington, District of Columbia 20004 Email: cough.paul@epa.gov Phone: (202) 566-1200

**Website Address:**

<http://www.epa.gov/region01/eco/lis>

**RELATED PROGRAMS:**

10.904 Watershed Protection and Flood Prevention; 10.914 Wildlife Habitat Incentive Program; 11.419 Coastal Zone Management Administration Awards; 11.420 Coastal Zone Management Estuarine Research Reserves; 15.608 Fish



and Wildlife Management Assistance; 15.611 Wildlife Restoration; 15.614 Coastal Wetlands Planning, Protection and Restoration Act; 15.615 Cooperative Endangered Species Conservation Fund; 15.616 Clean Vessel Act; 15.630 Coastal Program; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.460 Nonpoint Source Implementation Grants; 66.463 Water Quality Cooperative Agreements

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants and cooperative agreements awarded to states and local governments, colleges, universities, interstate agencies and nonprofit organizations are for nonpoint source implementation, scientific research, water quality monitoring and modeling, public education and outreach, living resources management, habitat restoration and program support. Examples are listed as follows: (1) Hypoxia: sustain and accelerate efforts to meet the LISS nutrient reduction goals in the nitrogen Total Maximum Daily Load to attain water quality conditions necessary to support the living resources of the Sound; (2) Habitat Restoration: restore and protect living resources, their habitats and ecological relationships; (3) Water Quality Monitoring: collect water quality samples at monitoring stations in Long Island Sound and interpret data on Long Island Sound and embayments. (4) Communication/Outreach: Provide communication, outreach and education components of the LISS partnership; (5) Modeling: develop, calibrate, and manage the application of linked airshed-watershed-estuarine hydrodynamic-water quality-living resources models to support the LISS for understanding the nutrient and sediment affects in the Long Island Sound estuary system and (6) Research: investigate causes and effects of eutrophication on water quality and living marine resources; study factors affecting abundance and distribution of submerged aquatic vegetation, food web dynamics, and tidal wetland loss. Fiscal Year 2012: Grants and cooperative agreements awarded to states and local governments, colleges, universities, interstate agencies and nonprofit organizations are for nonpoint source implementation, scientific research, water quality monitoring and modeling, public education and outreach, living resources management, habitat restoration and program support. Examples are listed as follows: (1) Hypoxia: sustain and accelerate efforts to meet the LISS nutrient reduction goals in the nitrogen Total Maximum Daily Load to attain water quality conditions necessary to support the living resources of the Sound; (2) Habitat Restoration: restore and protect living resources, their habitats and ecological relationships; (3) Water Quality Monitoring: collect water quality samples at monitoring stations in Long Island Sound and interpret data on Long Island Sound and embayments. (4) Communication/Outreach: Provide communication, outreach and education components of the LISS partnership; (5) Modeling: develop, calibrate, and manage the application of linked airshed-watershed-estuarine hydrodynamic-water quality-living resources models to support the LISS for understanding the nutrient and sediment affects in the Long Island Sound estuary system and (6) Research: investigate causes and effects of eutrophication on water quality and living marine resources; study factors affecting abundance and distribution of submerged aquatic vegetation, food web dynamics, and tidal wetland loss. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.439 TARGETED WATERSHEDS GRANTS**

##### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

##### **AUTHORIZATION:**

Consolidated Appropriations Act 2005, Public Law 108-447; Continuing Appropriations Resolution 2007, Public Law 110-5; Dept. of Interior, Environmental and Related Agencies Appropriations Act, 2006, Public Law 109-54; Consolidated Appropriations Act 2008, Public Law 110-161.

##### **OBJECTIVES:**

To support innovative, community-based watershed approaches aimed at preventing, reducing, or eliminating water pollution. The Targeted Watersheds Grant Program provides resources in the form of grants or cooperative agreements to support watershed organizations in their efforts to expand and

improve existing water protection measures. In separate competitive announcements funds are awarded to assist watershed partnerships comprised of State, Tribal, local, and interstate agencies, and public or nonprofit organizations in developing, implementing, and demonstrating: 1) on-the-ground projects to improve or maintain water quality; and 2) organizational and technical capacity building projects to prime organizations to be in a position to implement on-the-ground watershed projects.

Funding Priority - Fiscal Year 2012: To build upon the existing activities of watershed organizations to engage communities in capacity building activities to foster an increased connection, understanding, and ownership of their waters.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Funds are used to support both on-the-ground and educational activities relating to the prevention, reduction, and elimination of water pollution. Funds are awarded to eligible entities that best meet the selection criteria described in the Request for Proposals. Successful candidates will have a thorough knowledge of their watershed, have a watershed management plan in place, propose a specific project to address identified problems or barriers to water quality, demonstrate broad-based support from a number of public and private entities, and have a demonstrated record of managing watershed project(s). Eligible activities should be able to show tangible outputs and outcomes within a relatively short time period of two to five years. For implementation grants, candidates must also have a specific water quality monitoring and evaluation plan demonstrating measurable environmental outputs and outcomes, and a strong peer and/or public outreach and education component. EPA has chosen to declare certain projects or activities ineligible for funding. These include activities required or regulated under the CWA. For example, activities for the development of Total Maximum Daily Loads (TMDLs) and Phase II Stormwater projects will not be funded. Activities implementing the non-regulatory component of TMDLs (e.g., the elements of a watershed plan that address non-point source pollution), however, are eligible. Specific uses and restrictions on funds will be described in detail in the competitive announcements. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

##### **Applicant Eligibility:**

States, local governments, public and private nonprofit institutions/organizations, federally recognized Indian tribal governments, U.S. territories or possessions, and interstate agencies are eligible. For-profit commercial entities and all federal agencies are ineligible. Nonprofit organizations described in Section 501 (c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

##### **Beneficiary Eligibility:**

Anyone/General Public.

##### **Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally

specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be required to submit a formal grant application. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-110 and A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mail Code 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regional or Headquarters review will typically be completed within approximately 120 - 150 days following the deadline for submissions.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Applicants are required to demonstrate a minimum non-federal match of 25% of the total cost of the project or projects. Match may be cash or in-kind consistent with the regulation governing match requirements (40 CFR 31.24 or 40 CFR 30.23). Tribes and tribal watershed groups may be exempt from this match requirement if they are constrained to such an extent that fulfilling the match requirement would impose undue economic hardship. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program.

Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,663,960; FY 12 est \$0; and FY 13 est \$0 - National Targeted Watersheds Grants Program: FY 11 \$780,300; FY 12 est. \$0; and FY 13 est. \$0. Western Estuaries Initiative: FY 11 \$283,660; FY 12 est. \$0; and FY 13 est. \$0. Urban Waters Initiative: FY 11 \$600,000; FY 12 est. \$0; FY 13 est. \$0.

**Range and Average of Financial Assistance:**

National Targeted Watersheds Grant Program: \$400,000 to \$900,000/fiscal year; \$650,000/fiscal year.

Western Estuaries Initiative: \$90,000 to \$280,000/fiscal year; \$185,000/fiscal year.

Urban Waters Initiative: \$600,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Targeted Watersheds Grant program builds on the successes of existing partnerships that are ready to implement actions to protect critical watersheds. In the next few years, EPA will see environmental results such as the return of native fish species, clearer lakes, and increased recreational opportunities. EPA issued a competitive announcement in FY 10 to engage communities in capacity building activities to foster an increased connection, understanding, and ownership of their waters. In FY 11, 1 award for \$600,000 was made to establish and manage a national-scale, competitive urban watershed subaward program and provide urban watershed technical services to subawardees. Fiscal Year 2012: Not applicable as no funding will be provided in FY 12. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies" and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102, "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed below.

Region I: Connecticut, Maine, Massachusetts, Rhode Island, Vermont, New Hampshire; Contact: Rob Adler telephone 617-918-1396; e-mail adler.robert@epa.gov.

Region II: New Jersey, New York, Puerto Rico, U.S. Virgin Islands; Contact: Cyndy Kopitsky, telephone 212-637-3832; e-mail kopitsky.cyndy@epa.gov.

Region III: Delaware, Maryland, Pennsylvania, Virginia, West Virginia, Washington, DC; Contact: Contact: Ralph Spagnolo, telephone 215-814-2718; e-mail spagnolo.ralph@epa.gov.

Region IV: Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina, Kentucky, Tennessee; Contact: Franklin Baker, telephone 404-562-9757; e-mail baker.franklin@epa.gov.

Region V: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin; Contact: Paul Thomas, telephone 312-886-7742; e-mail thomas.paul@epa.gov.

Region VI: Louisiana, Texas, Oklahoma, Arkansas, New Mexico; Contact: Brad Lamb, telephone 214-665-6683; e-mail lamb.brad@epa.gov.

Region VII: Iowa, Kansas, Missouri, Nebraska; Contact: Mandy Whitsitt, telephone 913-551-7311; e-mail whitsitt.mandy@epa.gov.

Region VIII: Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming; Contact: Stacey Eriksen, telephone 303-312-6692, e-mail eriksen.stacey@epa.gov .

Region IX: Arizona, California, Hawaii, Nevada, American Samoa, Mariana Islands, Guam; Contact: Ephraim Leon-Guererro, telephone 415-972-3444; e-mail leon-guererro.ephraim@epa.gov.

Region X: Alaska, Idaho, Oregon, Washington; Contact: Bevin Horn, telephone 206-553-1566; e-mail horn.bevin@epa.gov.

#### **Headquarters Office:**

Felicia Palmer-Greene Office of Wetlands, Oceans, and Watersheds, U.S. EPA, Room 7410, EPA West, 1200 Pennsylvania Avenue NW., Washington, District of Columbia 20460 Email: Palmer-Greene.Felicia@epa.gov Phone: 202-564-5382

#### **Website Address:**

<http://www.epa.gov/twg>

#### **RELATED PROGRAMS:**

66.119 West Coast Estuaries Initiative; 66.127 Southeastern U.S. Regional Targeted Watershed Initiative; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: A cooperative agreement was awarded to a watershed organization to engage communities in capacity building activities to foster an increased connection, understanding, and ownership of their urban waters. Information is available at <http://www.epa.gov/twg>. Fiscal Year 2012: Grants and cooperative agreements have been awarded to watershed organizations for watershed restoration and protection projects, such as implementing agricultural best practices, conducting streambank restoration, establishing pollutant credits, and demonstrating innovative nutrient management schemes. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.440 URBAN WATERS SMALL GRANTS**

##### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

##### **AUTHORIZATION:**

National Environmental Policy Act, U.S.C 102(2)(F); Clean Water Act,

Section 104(b)(3), Public Law 95-217, 33 U.S.C 1251.

#### **OBJECTIVES:**

The objective of EPA's Urban Waters Program is to protect and restore America's urban waterways. EPA's funding priority is to achieve the goals and commitments established in the Agency's Urban Waters Strategic Framework (<http://www.epa.gov/urbanwaters/StrategicFramework.pdf>). This program has an emphasis on engaging communities with environmental justice concerns.

The objective of the Urban Waters Small Grants is to fund projects that will foster a comprehensive understanding of local urban water issues, identify and address these issues at the local level, and educate and empower the community. In particular, the Urban Waters Small Grants seek to help restore and protect urban water quality and revitalize adjacent neighborhoods by engaging communities in activities that increase their connection to, understanding of, and stewardship of local urban waterways.

Funding Priority - Fiscal Year 2012: In FY 2012, EPA's funding priority for Urban Waters Small Grants is to fund projects that improve water quality by conducting or promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Implementation projects are not eligible for funding.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs in approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. The funds will support conducting and promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. Specific uses and restrictions on funds will be described in detail in the competitive announcements.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under the Urban Waters Small Grants is generally available to States, local governments, territories, Indian Tribes, and possessions of the U.S. (including the District of Columbia), public and private universities and colleges, public or private nonprofit institutions, intertribal consortia, and interstate agencies. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. An intertribal consortium must meet the definition of eligibility in the Environmental Program Grants for Tribes Final Rule, at 40 CFR 35.504 (66 FR 3782, January 16, 2001) (FRL-6929-5) and be a non-profit organization within the meaning of OMB Circular A-122. The OMB Circular A-122 is available at [http://www.whitehouse.gov/omb/circulars\\_a122\\_2004/](http://www.whitehouse.gov/omb/circulars_a122_2004/)

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Residents of urban areas adversely impacted by water pollution, State and local governments, U.S. territories and possessions, Indian Tribes, other public and private nonprofit institutions, intertribal consortia, and interstate agencies.

**Credentials/Documentation:**

EPA may request that applicants demonstrate their eligibility. Documentation of nonprofit status may be required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies, and investigations based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Matching requirements, if any, will be described in the competitive announcement.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA may negotiate the project period with each applicant based on project requirements. The term of the grant shall be determined at the time of grant

award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$2,700,000; and FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

Approximately \$40,000 to \$60,000/fiscal year; \$50,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, a competitive Request for Proposals was issued for Urban Waters Small Grants for projects that seek to help restore and protect urban water quality and revitalize adjacent neighborhoods by engaging communities in activities that increase their connection to, understanding of, and stewardship of local urban waterways. Nearly 600 proposals were received in response to the Request for Proposals. Fiscal Year 2012: In FY 12, 46 awards totaling approximately \$2.7 million were made for projects that seek to help restore and protect urban water quality and revitalize adjacent neighborhoods by engaging communities in activities that increase their connection to, understanding of, and stewardship of local urban waterways. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, investigations, demonstrations, and training grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes (codified at 2 CFR Part 225), OMB Circular No. A-21 for educational institutions (codified at 2 CFR Part 220), and OMB Circular No. A-122 for nonprofit institutions (codified at 2 CFR Part 230).

**Regional or Local Office:**

None.

**Headquarters Office:**

Ji-Sun Yi Office of the Assistant Administrator (Mail Code 4101M), Office of Water, U.S. Environmental Protection Agency, Washington, District of Columbia 20460 Email: yi.ji-sun@epa.gov Phone: (202) 566-0730

**Website Address:**

<http://www.epa.gov/urbanwaters>

**RELATED PROGRAMS:**

66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Not applicable as no funding was provided in FY 11. Fiscal Year 2012: Funded projects will help restore and protect urban water quality and revitalize adjacent neighborhoods by engaging communities in activities that increase their connection to, understanding of, and stewardship of local urban waterways. Examples of selected projects include youth education on watershed science and stewardship of urban waterways, water quality monitoring and studies, community engagement and outreach to promote best management practices in restoring urban waters, urban watershed assessments to develop a community action plan, and hands-on learning workshops to educate the public on the importance of urban waters. More information on specific projects selected for funding can be found at [www.epa.gov/urbanwaters/funding](http://www.epa.gov/urbanwaters/funding). Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Competitive applications and proposals will be selected in accordance with announced criteria.

**66.454 WATER QUALITY MANAGEMENT PLANNING**

(205(j)(2)) or 604(b)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 205(j)&604(b), Public Law 97-117; Water Quality Act of 1987, Public Law 100-4; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To assist States (including territories and the District of Columbia), Regional Public Comprehensive Planning Organizations (RPCPOs), and Interstate Organizations (IOs) in carrying out water quality management (WQM) planning.

Funding Priority - Fiscal Year 2012: Funds are allotted by State in accordance with Section 604(b) of the Clean Water Act. Grant funds are used to determine the nature and extent of point and non-point source water pollution and to develop water quality management plans. States are encouraged to give priority to watershed restoration planning. EPA is requesting States to emphasize a watershed approach in developing their State workplans. This will complement the Agency's overall watershed effort as stated in the Agency's Strategic Plan. Grant funds to determine the nature and extent of point and non-point source water pollution and to develop water quality management plans were also made available under the American Recovery and Reinvestment Act (Recovery Act) of 2009. EPA encouraged States to use Recovery Act funds to conduct appropriate planning activities with regard to green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Section 604(b) funds are awarded under Section 205(j)(2) to State water quality management agencies to carry out WQM planning. Pursuant to Section 205(j)(3) of the CWA, as amended, States are required to allocate at least 40 percent of funds awarded under 205(j)(2) to eligible RPCPOs and IOs. EPA may approve a State's request to pass through less than 40 percent if, after

consultation with its RPCPOs and IOs, the Governor determines that pass through of at least 40 percent will not: (1) result in significant participation by RPCPOs and IOs in WQM planning; and (2) significantly assist in development and implementation of the state's WQM plan. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State Water Quality Management Agencies.

**Beneficiary Eligibility:**

State Water Quality Management Agencies.

**Credentials/Documentation:**

Compliance with 40 CFR 31. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Neither environmental impact statements nor environmental impact assessments are required for activities funded under Section 205(j) and 604(b) since these funds are used for water quality planning and not implementation. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The grant application must be submitted to the appropriate EPA Regional Administrator's Office. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm).

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and, if approved, the funds are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act. Each fiscal year, the Administrator shall reserve under Section 604(b) of the CWA for each State an amount not to exceed one percent of the amount allotted and available for obligation for Clean Water State Revolving Fund or \$100,000, whichever is greater, for the purposes of making grants to the States to carry out water quality management planning. Under Section 205(j)(3), at least 40 percent of a State's annual award under 205(j)(2) must be allocated to eligible RPCPOs and IOs, unless EPA approves a lesser amount.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

As determined in accordance with Section 604(c)(1) of the Clean Water Act (CWA). Sums allotted to a State under this section for a fiscal year shall be available for EPA's obligation to the State during the fiscal year for which sums are authorized and during the following fiscal year. Recovery Act funds were available for EPA's obligation to the State until September 30, 2010. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records kept for 3 years from date of submission of the annual financial status report. If questions remain, records retained until matter is completely resolved.

**Account Identification:**

68-0102-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$15,419,000; FY 12 est \$15,500,000; and FY 13 est \$15,500,000 - FY 11 \$15,419,000; FY 12 est. \$15,500,000; FY 13 est. \$15,500,000. Recovery Act funds - FY 11 \$0; FY 12 est. \$0; and FY 13 est. \$0.

**Range and Average of Financial Assistance:**

\$100,000 to \$2,200,000/fiscal year; \$369,321/fiscal year. Recovery Act funds - \$100,000 to \$4,369,100/fiscal year; \$708,786/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Section 604(b) funding provides the financial source for States and territories to pursue water quality planning under Sections 205(j) and 303(e) of the Clean Water Act. This program provides a planning framework to support watershed restoration and protection activities. In FY 11, a total of 56 grants were awarded to States and territories to support water quality planning activities. Outputs included new/updated water quality management plans, new/revised water quality standards, Total Maximum Daily Loads (TMDLs),

ambient monitoring data to support water quality assessments, and integrated 304(b)/303(d) reports. Fiscal Year 2012: Section 604(b) funding provides the financial source for States and territories to pursue water quality planning under Sections 205(j) and 303(e) of the Clean Water Act. This program provides a planning framework to support watershed restoration and protection activities. In FY 12, a total of 56 grants were awarded to States and territories to support water quality planning activities. Outputs included new/updated water quality management plans, new/revised water quality standards, Total Maximum Daily Loads (TMDLs), river planning projects, ambient monitoring data to support water quality assessments, and integrated 304(b)/303(d) reports. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA General Grant Regulations and Procedures, 40 CFR Part 31 and 40 CFR Part 35, Subpart A.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Meghan Klasic Assessment and Watershed Protection Division (4503T)  
Office of Wetlands, Oceans, and Watersheds  
Office of Water, USEPA  
1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460  
Email: klasic.meghan@epa.gov Phone: (202) 564-8221 Fax: (202) 566-1331

**Website Address:**

<http://www.epa.gov/owow/funding.html>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants are allocated to States for: 1) development of water quality management plans, watershed plans, and waste load allocations for impaired waterbodies; 2) reviews and revisions of water quality standards; and 3) collection and analysis of ambient monitoring data. Fiscal Year 2012: Grants are allocated to States for: 1) development of water quality management plans, watershed plans, and waste load allocations for impaired waterbodies; 2) reviews and revisions of water quality standards; and 3) collection and analysis of ambient monitoring data. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funds are awarded to State agencies in accordance with Sections 205(j) and 303(e) of the Clean Water Act, 40 CFR 130.5-6, and EPA program guidance.

**66.456 NATIONAL ESTUARY PROGRAM**

(NEP)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title 3, Section 320, Public Law 94-117, 33 U.S.C 466; Clean Water Act, Title 3, Section 320, Public Law 106-457, 33 U.S.C 466.

**OBJECTIVES:**

The National Estuary Program (NEP) goal is to protect and restore the water quality and estuarine resources of estuaries and associated watersheds designated by the EPA Administrator as estuaries of national significance. The NEPs work to implement estuarine ecosystem-based management; for example, each NEP characterizes the priority problems in its estuary and surrounding watershed, develops a Comprehensive Conservation and Management Plan listing and describing actions to address those problems, and identifies partners, including lead entities, to implement the actions. Implementation of those long-term plans can include the following actions: protecting and restoring habitat, including wetlands; supporting water quality protection and restoration, including Total Maximum Daily Load (TMDL) plan implementation; monitoring for, assessing the extent of toxics loadings and pathogen contamination, and taking steps to address excess loadings and source; implementing stormwater management and reducing non-point source pollution impacts; preventing the spread of aquatic invasive species and/or managing their impacts; developing and implementing nutrient reduction strategies;

developing and implementing climate change adaptation strategies and tools; and developing and implementing strategies to provide opportunities for residents of urban minority and/or under-served communities to have greater access to urban waters, participate in urban ecosystem restoration, and participate in capacity-building/educational activities.

Funding Priority - Fiscal Year 2012: EPA's funding priority is to award assistance agreements that support the 28 National Estuary Programs' (NEPs) efforts to address their estuarine watersheds' priority problems identified in each of the 28 long-term management plans known as Comprehensive Conservation and Management Plans (CCMPs). EPA will provide focused support for NEPs to address priority problems identified by NEP management conferences and to document accomplishments and environmental results. NEP efforts address such problems as: (1) impacts on estuarine water quality and living resources of nutrient, toxics (chemical, heavy metals), pathogen contamination, and sediment attributable to excess loadings and non-point stormwater runoff; e.g., excess nutrient loadings can result in nutrient over-enrichment and hypoxic conditions in estuarine water bodies; (2) habitat loss/degradation; (3) need to build regional, local, and Tribal officials' capacity to address climate change impacts on estuarine watersheds and to promote community resilience; activities that build capacity include conducting vulnerability assessments of communities and local development and implementation of climate adaptation strategies and programs; 4) need to build the capacity of local public officials and managers in estuarine communities to implement sustainable land use, green infrastructure, and low-impact development best practices.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Section 320 authorizes issuance of assistance agreements used to meet Section 320 requirements to develop and implement CCMPs. Annual workplans, which address priority actions in the CCMPs, lay out projects to be undertaken during the fiscal year. They are developed and approved by each management conference. Twenty-eight estuaries have been designated as estuaries of national significance, including: Long Island Sound, Puget Sound, Buzzards Bay, Narragansett Bay, New York-New Jersey Harbor, Delaware Bay, Delaware Inland Bays, Sarasota Bay, Galveston Bay, Santa Monica Bay, Albemarle-Pamlico Sounds, San Francisco Estuary, Casco Bay, Massachusetts Bays, Indian River Lagoon, Tampa Bay, Peconic Bay, San Juan Bay, Coastal Bend Bays, Tillamook Bay, the Barataria-Terrebonne Estuarine Complex, New Hampshire Estuaries, Barnegat Bay, Maryland Coastal Bays, Charlotte Harbor, Mobile Bay, Morro Bay, and Columbia River Estuary. NEPs and their partners carry out such actions as: (1) protecting and restoring habitat; (2) identifying research needs and conducting research as needed to obtain new data to address priority problems; (3) monitoring estuarine conditions to detect changes in water quality; and (4) providing technical assistance to States and local communities to address impacts from nutrient over-enrichment, stormwater, sedimentation, toxics, pathogens, and aquatic invasive species and to develop climate change adaptation strategies and tools. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance agreements are issued only to those estuaries designated by the Administrator. The Administrator is authorized to make grants to State, interstate, and regional water pollution control agencies and entities; State coastal zone management agencies; interstate agencies; and other public and private nonprofit agencies, institutions, organizations, and individuals (Section 320(g)(l)). Profit making organizations are not eligible for grants. For certain

competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Anyone/General Public.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication assistance may be obtained from the appropriate EPA Regional Office. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. All work plans should be developed in response to the priority tasks identified in the management conference annual work plan. Work plans should also be developed in response to negotiated schedules for commitments to meet the purpose of a management conference outlined in the Act for the estuary. Each work plan will be considered by the appropriate management conference and the EPA Regional program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). The completed application, including the final proposal approved by the estuary management committee, should be submitted to the appropriate Regional program office for processing. This program is subject to the provisions of OMB circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application is reviewed by EPA Regional Offices to determine the adequacy of the application under grant regulations and National Estuary Program objectives, including technical merit and relevance of the project. Awards are issued by the EPA Regional Offices after approval by the appropriate Division Director. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts."

Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of the individual estuary management organization. Contact the appropriate EPA Regional office for guidance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Public Law 106-457, which amended Section 320(g) of the Water Quality Act of 1987, limits the amount of grants to 75 percent of the aggregate CCMP development project costs for each estuary program and to 50 percent of the aggregate CCMP implementation project costs for each estuary program, and requires that the nonfederal share be provided from nonfederal sources. The nonfederal share can be contributed by any of the participants in the management conference. Contact the appropriate management conference program office or EPA Regional Office for more information.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are typically funded on a 12-month basis (yearly). Project period may cover up to 36 months, with continuations possible for certain types of projects. Payments will be on a letter of credit or advance basis. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements and in the annual NEP Funding Guidance. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$20,326,100; FY 12 est \$16,773,400; and FY 13 est \$16,800,000

**Range and Average of Financial Assistance:**

For FY 11, each of the NEPs received base funding in the amount of \$600,000. For FY 12, each of the NEPs will receive base funding in the amount of \$600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Maintaining high-quality habitat is one way of ensuring the health of the nation's estuaries. Since 2000, the NEPs and their partners have

protected and restored over 1.3 million acres of habitat in the 28 NEP estuarine watersheds. The acreage protected and restored by the NEPs and their partners enhances the 28 NEPs' capacity to support healthy populations of wildlife and near-coastal and marine organisms, including many commercially-valuable shellfish and finfish. That acreage also enhances the 28 estuarine watersheds' capacity to support the economic and ecosystem services and aesthetic qualities provided by estuarine environments and on which coastal populations depend for their livelihoods and well-being. In FY 11, the NEPs and their partners protected and restored over 62,500 acres of estuarine habitat in their estuarine watersheds. Fiscal Year 2012: In FY 12, grants will support the NEPs' CCMP implementation by funding NEP efforts that include: protecting and restoring up to 100,000 acres of estuarine habitat; protecting and restoring estuarine water quality in NEP study areas; conducting vulnerability assessments and/or implementing climate adaptation strategies in over 50% of NEP study areas, and collaborating with other EPA programs and with agencies like the National Oceanic and Atmospheric Administration to build regional, local, and Tribal coastal community resilience to impacts of climate change on coastal ecosystems, public health, and economies; and building local capacity to reach out to and involve urban community residents who typically may not have had access to water bodies in NEP study areas nor have been actively engaged in urban water body protection and restoration. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR 30 and 40 CFR 31). Federal Register, Vol. 59, 61124, November 29, 1994, Technical Amendment Financial Assistance Requirements for the National Estuary Program (40 CFR, Part 35). Saving Bays and Estuaries, a Primer for Establishing and Managing Estuary Projects, EPA/503/8-89-001, is available from the Oceans and Coastal Protection Division, Office of Wetlands, Oceans, and Watersheds (4504T) EPA, 1200 Pennsylvania Ave., NW., Washington, DC 20460. Forms and instructions for filing are included in an application kit available from the Grants and Interagency Agreements Management Division (3903R), Office of Grants and Debarment, EPA, 1200 Pennsylvania Ave., NW., Washington, DC. 20460.

**Regional or Local Office:**

See Regional Agency Offices. Office of Ecosystem Protection, EPA, Region I, 1 Congress Street, Boston, MA 02114-2023; Telephone:(617) 918-1511. Division of Environmental Planning and Protection, EPA, Region II, 290 Broadway, New York, NY 10007-1866; Telephone:(212) 637-3724. Water Protection Division, EPA, Region III, 1650 Arch Street, Philadelphia, PA 191103-2029; Telephone:(215)814-2989. Water Management Division, EPA, Region IV, 61 Forsyth St., S.W., Atlanta, GA 30303; Telephone:(404) 562-9345. Water Quality Protection Division, EPA, Region VI, 1445 Ross Ave., Dallas, TX 75202-2733; Telephone:(214) 665-7101. Water Division, EPA, Region IX, 75 Hawthorne Street, San Francisco, CA 94105; Telephone: (415)744-1860. Office of Ecosystems, Tribal, and Public Affairs; and Office of Water & Watersheds, EPA Region X, 1200 Sixth Ave., Seattle, WA 98101; Telephone:(206) 553-4181.

**Headquarters Office:**

Bernice L. Smith, Coastal Management Branch (4504T), Oceans and Coastal Protection Division, Office of Wetlands, Oceans, and Watersheds, EPA, Washington, District of Columbia 20460 Email: smith.bernicel@epa.gov Phone: (202) 566-1244.

**Website Address:**

<http://www.epa.gov/owow/estuaries/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants; 66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Assistance agreements awarded to States, interstate agencies, academic institutions and other nonprofit organizations to implement NEP Comprehensive Conservation and Management Plans (CCMPs). Activities associated with CCMP implementation include those that: (1) protect and restore water quality by conducting monitoring, assessing water quality



conditions, implementing best management practices that help restore degraded waters to healthy conditions, and reducing loadings of pollutants like nutrients and toxics to estuarine water bodies; (2) protect and restore habitat and living resources by implementing local stormwater management programs, eradicating invasive species, removing dams that obstruct fish passage, and providing technical assistance on low-impact development practices that reduce sediment loadings to water bodies; (3) conduct climate change vulnerability assessments and develop and implement climate adaptation strategies; (4) revise CCMPs to reflect new local priorities; (5) develop annual work plans and design and maintain systems to track and report on priority action implementation, deliverables, and environmental results; and (6) evaluate and report on CCMP implementation progress and environmental results. Fiscal Year 2012: Assistance agreements awarded to States, interstate agencies, academic institutions and other nonprofit organizations to implement NEP Comprehensive Conservation and Management Plans (CCMPs). Activities associated with CCMP implementation include those that: (1) protect and restore water quality by conducting monitoring, assessing water quality conditions, implementing best management practices that help restore degraded waters to healthy conditions, and reducing loadings of pollutants like nutrients and toxics to estuarine water bodies; (2) protect and restore habitat and living resources by implementing local stormwater management programs, eradicating invasive species, removing dams that obstruct fish passage, and providing technical assistance on low-impact development practices that reduce sediment loadings to water bodies; (3) conduct climate change vulnerability assessments and develop and implement climate adaptation strategies; (4) revise CCMPs to reflect new local priorities; (5) develop annual work plans and design and maintain systems to track and report on priority action implementation, deliverables, and environmental results; (6) evaluate and report on CCMP implementation progress and environmental results; and (7) reach out to and build local capacity of urban community residents to participate in estuarine urban waters protection and restoration; those residents may not have had access to water bodies in NEP study areas nor have been actively engaged in urban water body protection and restoration. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Grants are awarded to the NEPs that satisfy the requirements outlined in the application procedure section.

#### **66.458 CAPITALIZATION GRANTS FOR CLEAN WATER STATE REVOLVING FUNDS**

(CW State Revolving Fund)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act (CWA), as amended, Public Law 95-217; Water Quality Act of 1987, Section 601-607, 205(m), Public Law 100-4; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

#### **OBJECTIVES:**

To create State Revolving Funds (SRFs) through a program of capitalization grants to States which will provide a long term source of State financing for construction of wastewater treatment facilities and implementation of other water quality management activities.

Funding Priority - Fiscal Year 2012: Capitalization grants are available to each State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary comprehensive conservation and management plan under Section 320. The capitalization grant is deposited in the State's SRF, which is used to provide loans and other types of financial assistance, to local communities and intermunicipal and interstate agencies. Up to 4 percent of the grant amounts may be used by the States for the cost of administering the SRF. States determine priorities for funding within their State in accordance with the CWA. Capitalization grants to each State were also made available under the

American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding were targeted toward green infrastructure, water and energy efficiency, and environmentally innovative projects. Similar to the Recovery Act, a portion of the FY 2012 funding must be targeted toward green infrastructure, water and energy efficiency, and environmentally innovative projects. The program supports the Agency's strategic goal of ensuring Clean and Safe Water.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Capitalization grants are available to each State for the purpose of establishing a Clean Water SRF for providing assistance for: (1) construction of publicly owned wastewater treatment works; (2) implementing nonpoint source management activities included in State Plans developed pursuant to Section 319; and (3) developing and implementing an estuary conservation and management plan under Section 320. The capitalization grant is deposited in the state's SRF, which is used to provide loans and other types of financial assistance, but not grants, to local communities and intermunicipal and interstate agencies. Assistance may be provided to persons for implementing nonpoint source and estuary management activities provided for in State Plans developed under Sections 319 and 320. Up to 4 percent of the grant amounts may be used by the states for the cost of administering the SRF. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

States and Puerto Rico are eligible to receive capitalization grants under Title VI. Indian tribes are eligible to receive grants from Title VI for the construction of municipal wastewater facilities. The District of Columbia, territories, possessions of the U.S. are eligible to receive grants from Title VI for the construction of municipal wastewater facilities (see CFDA 66.418).

#### **Beneficiary Eligibility:**

For loans and other financial assistance (but not grants) for wastewater treatment facilities: local communities, intermunicipal, State, interstate agencies, and Indian tribes. For nonpoint source management programs and estuary activities in approved State Nonpoint Source Management Programs and Comprehensive Conservation and Management Plans: the public agencies listed above, individuals, and programs.

#### **Credentials/Documentation:**

To receive a capitalization grant, a State shall enter into an agreement with the EPA Regional Administrator which shall include, but not be limited to, the 10 specifications set forth in Section 602(b) of the CWA. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments" applies to State grantees. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

An applicant (State) should seek preapplication assistance from the appropriate EPA Regional Office. The State is required to prepare and provide for public comment a plan identifying the intended uses of the funds in the SRF (an intended use plan) and how those uses support the goals of the SRF. The plan is to be submitted no later than the application. An environmental impact statement is not required prior to grant award; however, a State environmental review process must be applied to all subsequent state assistance for wastewater facilities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information

on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application for EPA non-construction grant assistance (SF424-A and B) is submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The State must certify in its application that it has the legal, managerial, technical, and operational capabilities to administer the SRF program competently and that it will comply with Federal anti-discrimination laws and other applicable Federal statutes. Regulation 40 CFR Part 31 applies to the State. Establishment of the SRF is a prerequisite for a grant award.

**Award Procedure:**

A grant application is reviewed by the appropriate Regional Office and, if approved, the grant is awarded by the Regional Administrator under a delegation of authority from the Administrator of EPA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time averages 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

For those portions of the State program that do not change from year to year, a subsequent grant application may incorporate by reference relevant portions of the previous year's application which have not changed or an operating agreement approved by the region.

**Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act.

Matching Requirements: The Regional Administrator may award capitalization grants from funds appropriated for this purpose. Allotments to the States are determined by a table of decimal fractions ("formula") in Section 205(c)(3) of the CWA. The required State match is 20 percent of the amount of each Federal grant payment. For Recovery Act funds, the required State match of 20 percent of the amount of each Federal grant payment was waived. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for EPA's obligation to the State during the fiscal year in which they are allotted and during the following year. Recovery Act funds were available for EPA's obligation to the State until September 30, 2010. The State must agree to enter into binding commitments with recipients to provide financial assistance from the SRF in an amount equal to 120 percent of each quarterly grant payment. The State is also required to agree to expend all funds in the SRF in an expeditious and timely manner. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

Beginning the first fiscal year after receiving payments, the State shall provide an annual report to the Regional Administrator in accordance with the schedule established in the grant agreement (generally not later than 90 days after the end of the fiscal year in which the payments were received). The annual report shall describe how the State has met the goals and objectives for the preceding fiscal year, as identified in its intended use plan, including identification of loan recipients, loan amounts, and loan terms and similar details on other forms of financial assistance provided from the SRF. For Recovery Act funds, States are required to input loan information into the CWSRF Benefits Reporting (CBR) data base within one week of finalizing the loan. CBR includes data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Inputting loan data into CBR is required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A State must, at a minimum, comply with the provisions of the Single Audit Act Amendments of 1996, and the OMB Circular No. A-133 and Compliance Supplement. States are also encouraged to conduct annual independent audits. State-conducted audits may be performed in conjunction with the Single Audit Act. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

As part of the annual review conducted by the agency to assess the State's performance against activities identified in the intended use plan and annual report, and to determine compliance with the terms of the capitalization grant agreement, the State or loan recipient shall make available to EPA such records as the Regional Administrator reasonably requires to review and determine State compliance with the requirements of the CWA.

**Account Identification:**

68-0103-0-1-304; 68-0102-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$1,905,386,600; FY 12 est \$1,427,580,000; and FY 13 est \$1,129,075,000 - FY 11 \$1,905,386,600; FY 12 est. \$1,427,580,000; and FY 13 est. \$1,129,075,000. Recovery Act funds - FY 11 \$0; FY 12 est. \$0; and FY 13 est. \$0.

**Range and Average of Financial Assistance:**

\$6,500,000 to \$147,000,000/fiscal year; \$26,000,000/fiscal year. Recovery Act funds - \$500,000 to \$175,000,000/fiscal year; \$28,000,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Each year, 51 grants are awarded to states and Puerto Rico. The program funds an estimated 10 to 20 percent of the nation's annual wastewater capital projects. The program has provided over \$89 billion in cumulative assistance since 1988. Assistance has included funding to prevent polluted runoff, upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment to reduce pollutant loads, and improve water quality on a watershed basis. In FY 11, the program provided \$5.3 billion in assistance. This included \$1.4 billion for secondary treatment to reduce pollutant loads, \$1.2 billion to upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment, and over \$1.9 billion to prevent polluted runoff. Fiscal Year 2012: Each year, 51 grants are awarded to states and Puerto Rico. Assistance in FY 12 will include funding to prevent polluted runoff, upgrade wastewater treatment plants from secondary level treatment to advanced (tertiary) treatment to reduce pollutant loads, and improve water quality on a watershed basis. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program guidance was issued January 28, 1988. A State Revolving Fund Management Manual was distributed in November, 1988. Regulations include 40 CFR Part 31 and SRF regulations 40 CFR Part 35, Subpart K which were issued in March 1990.

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Sheila Platt, Environmental Protection Agency, State Revolving Fund Branch, Municipal Support Division, (4204M), Office of Wastewater Management, Washington, District of Columbia 20460 Email: [platt.sheila@epa.gov](mailto:platt.sheila@epa.gov) Phone: (202) 564-0686.

**Website Address:**

<http://www.epa.gov/owm/cwfinance/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: State revolving loan fund; wastewater projects involving advanced treatment, secondary treatment, infiltration/inflow correction, replacement/upgrade of pipe and equipment and expansion of existing wastewater treatment plants; nonpoint source and estuary protection projects (for example, septic system rehabilitation, leaking underground storage tank removal, contaminated soil removal, agricultural BMPs, conservation easements, wetlands protection/rehabilitation, and prevention of agricultural runoff). Fiscal Year 2012: State revolving loan fund; wastewater projects involving advanced treatment, secondary treatment, infiltration/inflow correction, replacement/upgrade of pipe and equipment and expansion of existing wastewater treatment plants; nonpoint source and estuary protection projects (for example, septic system rehabilitation, leaking underground storage tank removal, contaminated soil removal, agricultural BMPs, conservation easements, wetlands protection/rehabilitation, and prevention of agricultural runoff). Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to States that satisfy the requirements outlined in the application procedure section.

**66.460 NONPOINT SOURCE IMPLEMENTATION GRANTS**

(319 Program)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Title 3, Section 319(h).

**OBJECTIVES:**

To assist States, the District of Columbia, American Samoa, Guam, Northern Marianas, Puerto Rico, Pacific Trust Territories, Virgin Islands (hereinafter referred to as States), and qualified Indian Tribes and intertribal consortia in implementing EPA-approved Section 319 nonpoint source management programs.

Funding Priority - Fiscal Year 2012: EPA's funding priority is to award grants that promote the development and implementation of watershed-based plans, focusing on watersheds with water quality impairments caused by nonpoint sources, which result in improved water quality in impaired waters. These watershed plans are a mechanism to coordinate monitoring and planning on a watershed basis and will build a foundation for effective implementation actions using federal and other funding. Nonpoint Source implementation projects include best management practice (BMP) installation for animal wastes, sediment, pesticide and fertilizer control, a variety of other structural and non-structural practices, watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are provided to eligible applicants to carry out nonpoint source projects and programs pursuant to Section 319 of the Clean Water Act as amended by the Water Quality Act of 1987. Requirements under Section 319(h) include: nonfederal matching funds of at least 40 percent of project cost (match is an overall grant requirement; in a few cases, the match requirement for an individual project may be waived. In-kind services may be used as match); maintenance of effort; grants may be used for financial assistance to individual persons in the case of demonstration projects only; annual reporting; and EPA determinations of adequate recipient progress before additional funding. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies

that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible entities include States and qualified Indian Tribes and intertribal consortia who have approved nonpoint source assessment and management plans. To be qualified, Tribes must have treatment in a manner similar to a state (TAS) status for the 319 Program. Grants to States are awarded by formula. The State allotment is awarded to a single agency in each State designated by the chief executive as the lead nonpoint source agency. The lead nonpoint source agency may distribute grant funds to other organizations in accordance with its work program, which is approved by EPA. Eligible Tribes are allocated a base allotment by formula; the remaining Tribal portion of the 319(h) appropriation is competed among qualified Indian Tribes and intertribal consortia. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and local governments; interstate and intrastate agencies; federally recognized Indian tribal governments; intertribal consortia; the following US territory or possessions: the District of Columbia, American Samoa, Guam, Northern Marianas, Puerto Rico, Pacific Trust Territories, Virgin Islands; public and private nonprofit organizations and institutions. The lead nonpoint source agency may distribute grant funds to other organizations in accordance with a work program which is approved by EPA.

**Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments" apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination with the appropriate EPA Regional Office, listed in Appendix IV of the Catalog, is recommended. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications by States must be submitted to the appropriate EPA Regional Office (refer to Appendix IV of the Catalog for a list of Regional Offices). Grant applications by subgrantees within a State (after EPA has made a grant award to the State) must be submitted to the State agency that administers Section 319 grants. The list of State nonpoint source contacts for subgrantees is available on the Web at <http://www.epa.gov/owow/nps/contacts.html>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications must be submitted by the State to the appropriate EPA Regional Office to determine the overall adequacy of the application to meet the statutory objectives. Funds are awarded to States by formula. Award procedure by States to subgrantees varies by State. The list of State nonpoint source contacts is available on the Web at

<http://www.epa.gov/owow/nps/contacts.html>. Eligible Tribes get a base grant; Tribes compete for the rest of the Tribal portion of the total 319(h) appropriation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

EPA generally awards grants to States within 60 days after the application is submitted.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Clean Water Act.  
Matching Requirements: Nonfederal match of at least 40 percent of project or program costs is required except for grants to Indian Tribes, where following demonstration of financial hardship, the nonfederal match may be reduced to as low as 10 percent of project or program costs. States must also meet maintenance of effort requirements contained in statute. EPA awards grants to all eligible States and Tribes which apply for funding based on an allocation formula that the Agency developed. The allocation formula is described in current operational grant guidelines published in a Federal Register notice (68 FR 75776) issued on October 23, 2003. The guidelines can be found at <http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

As determined in accordance with Section 319 (h). See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final progress reports, and expenditure/financial, equipment, and invention reports. Progress reports are generally required at least semi-annually. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to

personnel authorized to examine EPA grant accounts. All records must be kept for three years from date of submission of the annual financial status report. If questions remain, records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$201,615,800; FY 12 est \$164,493,000; and FY 13 est \$164,757,000

**Range and Average of Financial Assistance:**

States/Territories: \$521,100 to \$10,302,300; \$3,443,900. Indian Tribes: base grants \$30,000 to \$50,000; competitive grants up to \$150,000. Ranges vary year-to-year based on size of appropriation (and also varies depending on number of applicants for grants to Indian Tribes or intertribal consortia).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Grants are awarded annually to all States and selected Tribes. Grant funds were used by States and Tribes to implement portions of their NPS management programs. In FY 11, 56 grant awards were made to States and Territories. Additional information regarding selected projects is available in Section 319 Success Stories, available online at <http://www.epa.gov/owow/nps/Success319/>. An estimate of load reductions resulting from CWA Section 319(h) funded projects from the time period February 2011 - February 2012 is as follows: nitrogen - 12.8 million pounds; phosphorus - 4.8 million pounds; and sediment - 2.0 million tons. These load reduction totals are mostly from FY 11 grant funded projects. Fiscal Year 2012: Grants are awarded annually to all States and selected Tribes. Grant funds are used by States and Tribes to implement portions of their NPS management programs. Additional information regarding selected projects is available in Section 319 Success Stories, available online at <http://www.epa.gov/owow/nps/Success319/>. Data for FY 12 funded projects is not available at this time. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Current operational grant guidelines are Nonpoint Source Program and Grants Guidelines for States and Territories (Oct. 23, 2003). The guidelines can be found at <http://www.epa.gov/fedrgstr/EPA-WATER/2003/October/Day-23/w26755.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog. A list of specific EPA Regional nonpoint source contacts is available on the Web at: <http://www.epa.gov/owow/nps/contacts.html>. The list of specific EPA Tribal nonpoint source contacts is available on the Web at: <http://www.epa.gov/owow/nps/tribal>.

**Headquarters Office:**

Nancy Yoshikawa Nonpoint Source Control Branch  
Assessment and Watershed Protection Division  
Office of Wetlands, Oceans and Watersheds, (7313H)  
EPA, Ariel Rios Building  
1200 Pennsylvania Avenue NW, Washington, District of Columbia 20460  
Email: [yoshikawa.nancy@epa.gov](mailto:yoshikawa.nancy@epa.gov) Phone: (202) 566-3012 Fax: (202) 566-1333

**Website Address:**

<http://www.epa.gov/owow/nps>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Nonpoint Source implementation projects funded include BMP installation for animal wastes, sediment, pesticide and fertilizer control, urban runoff, and a variety of other structural and non-structural practices; watershed planning, monitoring, watershed coordinators, technology demonstration, and a variety of education/outreach programs, among others. Fiscal Year 2012: Nonpoint Source implementation projects funded include BMP installation for animal wastes, sediment, pesticide and fertilizer control, urban runoff, and a variety of other structural and non-structural practices; watershed planning, monitoring, watershed coordinators, technology

demonstration, and a variety of education/outreach programs, among others.  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Funds are awarded to States in accordance with Section 319 (h). For selection processes within individual States, contact the appropriate State NPS coordinators. A list of these coordinators is available at:  
<http://www.epa.gov/owow/nps/contacts.html>.

**66.461 REGIONAL WETLAND PROGRAM DEVELOPMENT GRANTS  
FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist State, Tribal, local government (S/T/LG) agencies, and interstate/intertribal entities in building programs which protect, manage, and restore wetlands. The primary focus of the grants is to build state and tribal wetland programs. A secondary focus is to build local (e.g. county or municipal) programs.

Funding Priority - Fiscal Year 2012: Under the Regional Wetland Program Development Grant (WPDG) competition, EPA has identified the following four Core Elements for improving State/Tribe/local governments' (S/T/LGs) ability to protect and restore their wetlands: (1) Monitoring and Assessment; (2) Voluntary Restoration and Protection; (3) Regulatory Approaches Including CWA 401 Certification; and (4) Wetland-Specific Water Quality Standards. EPA will include as an appendix to each Regional Request For Proposals (RFP) a list of actions and activities under each Core Element that will develop or refine a S/T/LG's wetlands program. In addition, EPA has identified two funding Tracks. Track One is for States and Tribes that propose to develop a Wetlands Program Plan (WPP) as described at <http://water.epa.gov/type/wetlands/wpp.cfm> or carrying out projects from an EPA-approved WPPs. Track Two is for states, tribes, local governments, interstate agencies, intertribal consortia, and universities that are agencies of a state that submit proposals that are consistent with the Four Core Elements as described above. Regions may add additional Region specific priorities that are compatible and consistent with the core element(s) and action(s) in the attached Appendix of development and refinement actions.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

These grants are intended to encourage comprehensive wetlands program development by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects build the capacity of States, Tribes, and local governments to effectively protect wetland and riparian resources. Projects funded under this program support the initial development of a wetlands protection, restoration, or management program or support enhancement/refinement of an existing program. Interstate agency and intertribal consortia projects must be broad in scope and encompass more than one State, Tribe, or local government. The Regional Office will accept submissions only for projects that affect the States, Tribes, and Territories within their Region. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Additional uses and restrictions on funds will be described in detail in the competitive announcements. Projects that are national in scope are not eligible for funding under this Regional program but may be eligible for funding under EPA's National Wetland Program Development Grants program (CFDA 66.462). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies

that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States, Tribes, local government agencies, interstate agencies, and intertribal consortia are eligible to apply to the Regions. Past recipients include, but are not limited to, wetland regulatory agencies, water quality agencies (Section 401 water quality certification), planning offices, wild and scenic rivers agencies, departments of transportation, fish and wildlife or natural resources agencies, agriculture departments, forestry agencies, coastal zone management agencies, park and recreation agencies, non-point source or storm water agencies, and city or county and other S/T/LG governmental agencies that conduct wetland-related activities. In order to be eligible for WPDG funds, Tribes must be federally recognized, although "Treatment as a State" status is not a requirement. The term "interstate agency" is defined in CWA Section 502 as "an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator." Intertribal consortia that meet the requirements of 40 CFR Part 35.504 are eligible for direct funding. Intertribal consortia projects must be broad in scope and encompass more than one State, Tribe, or local government. Universities that are agencies of a State government are eligible to receive funds through these competitions. Universities must include documentation showing that they are chartered as a part of a State government in their proposal. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants need not be located within the boundaries of the EPA regional office to be eligible to apply for funding but must propose projects that affect the States, Tribes, and Territories within the Region.

**Beneficiary Eligibility:**

State, Tribal, and local governments involved in administering wetlands protection, restoration and/or management programs, or programs related to or that complement wetlands protection programs.

**Credentials/Documentation:**

Tribes may be asked to demonstrate that they are Federally recognized. Interstate organizations may be asked to provide a citation to the statutory authority which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. Universities must include documentation showing that they are chartered as a part of a State government in their proposal. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Each EPA Regional Office will set up its own competitive process for awarding WPDGs. Interested applicants should review information on the WPDG at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each EPA Regional Office will establish a process for awarding WPDGs. Regional Offices will accept

applications only for projects selected through the competitive process that affect the States, Tribes, and Territories within their Region. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Applicants can also receive a copy of the current announcement by calling the EPA Regional Coordinator. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office and, if approved, the grant is awarded by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Grants are usually approved within 4 months of receipt of completed application.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** The applicant must provide a minimum of 25 percent of the total cost of the work plan to the extent allowed by 40 CFR 31.24, 35.385, and 35.615. To determine if the minimum match is met, EPA will use the following formula: amount (in dollars) of federal funds requested from EPA divided by 3 = minimum match (in dollars) or Total project costs divided by 4 = minimum match (in dollars). For example, if the applicant requests \$75,000 of federal funds or a Total project cost of \$100,000 for the three-year project period, it must be able to provide \$25,000 in matching funds or services. A reduced match may be available for Tribal grantees that place the Wetland Program Development Grant funds in a Performance Partnership Grant. (See regulations at 40 CFR 536(c).) Please contact your EPA Regional contact person listed in Section VII if you have any questions about calculating the match requirement. We encourage States and Tribes to provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). Award recipients can meet the match requirement with in-kind or monetary contributions from entities other than themselves. However, other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement work plan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the matching funds.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

#### **Reports:**

EPA includes reporting requirements for grants and cooperative agreements in

the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

#### **Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

#### **Account Identification:**

68-0103-0-1-304.

#### **Obligations:**

(Cooperative Agreements) FY 11 \$26,138,100; FY 12 est \$24,444,813; and FY 13 est \$15,167,000

#### **Range and Average of Financial Assistance:**

\$21,500 to \$635,000/fiscal year; \$205,750/fiscal year.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Nine of the ten EPA Regional Offices issued a competitive announcement based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcements include the number of anticipated awards. In FY 11, approximately 5 to 25 proposals were received by each Region under the nine Regional competitive announcements with approximately 3 to 15 cooperative agreements or grants awarded under each Regional competitive announcement. No awards were made non-competitively in FY 11. In FY 11, projects were funded to support activities such as: developing state or tribal Wetland Program Plans (WPPs); to update the statewide Wetland Monitoring Plan and incorporating refined wetland condition indicators using information now available due to prior work, including development of the validated Rhode Island Assessment Method (RIRAM); development of a protocol for determining to what degree small, relatively geographically isolated wetlands in the Piedmont ecoregion have a significant nexus based on hydrological and biological connectivity with headwater and perennial streams, ponds and other traditional navigable waterways; development of remote sensing technologies for farmed wetlands in the Prairie Pothole Region; providing the scientific and policy background information and analysis to support the development of the California Wetland Area Protection Policy that will include statewide beneficial uses to protect wetland-related functions, and a stream definition for regulatory use; and development of a stream mitigation framework in Oregon. Fiscal Year 2012: Each of the ten EPA Regional Offices issues a competitive announcement based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcements include the number of anticipated awards. In FY 12, ten Regional competitive announcements will be issued. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Parts 30, 31 and 35.610 through 35.615); OMB Circulars A-87 and A-122, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. REGIONAL WETLAND GRANT COORDINATORS: Region 1 - CT, ME, MA, NH, RI, VT: Kate Renahan, US EPA Region 1, 1 Congress Street, MC CSP, Suite 100, Boston, MA, 02114. Phone: 617-918-1491. renahan.kate@epa.gov. Region 2 - NJ, NY, PR, VI: Kathleen Drake, US EPA Region 2, 290 Broadway, NY, NY, 10007. Phone: 212-637-3817. drake.kathleen@epa.gov. Region 3 - DE, MD, PA, VA, WV, DC: Anita Provenzano, US EPA Region 3, 1650 Arch Street, MC 3EA30, Philadelphia, PA, 19103. Phone: 215-814-5180. provenzano.anita@epa.gov. Region 4 - AL, FL, GA, KY, MS, NC, SC, TN: Morgan Jackson, US EPA Region 4, 61 Forsyth Street, SW, Atlanta, GA, 30303. Phone: 404-562-9393. jackson.morgan@epa.gov. Region 5 - IL, IN, MI, MN, OH, WI: Kristen Faulhaber, US EPA Region 5, 77 West Jackson Blvd., MC WW16J, Chicago, IL, 60604. Phone: 312-353-4378. faulhaber.kristen@epa.gov. Region 6 - AR, LA, NM, OK, TX: Sondra McDonald, US EPA Region 6, 1445 Ross Avenue, MC 6WQ-AT, Dallas, TX, 75202. Phone: 214-665-7187. mcdonald.sondra@epa.gov. Region 7 - IA, KS, MO, NE: Jennifer Ousley, US EPA Region 7, 901 North Fifth Street, Kansas City, KS, 66101. Phone: 913-551-9311. ousley.jennifer@epa.gov. Region 8 - CO, MT, ND, SD, UT, WY: Cynthia Gonzales, US EPA Region 8, 999 18th Street, Suite 300, Denver, CO, 80202. Phone: 303-312-6569. gonzales.cynthia@epa.gov. Region 9 - AZ, CA, HI, NV, AS, GU: Suzanne Marr, US EPA Region 9, 75 Hawthorne Street, San Francisco, CA 94105. Phone: 415-972-3468. marr.suzanne@epa.gov. Region 10 - AK, ID, OR, WA: Becky Fauver, US EPA Region 10, 1200 Sixth Ave, MC: AWT-107, Seattle, WA, 98101. Phone: 206-553-1353. fauver.becky@epa.gov.

**Headquarters Office:**

Myra Price, Wetlands Division (4502T), Office of Oceans, Wetlands, and Watersheds, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: price.myra@epa.gov Phone: (202) 566-1225.

**Website Address:**

[http://water.epa.gov/type/wetlands/initiative\\_index.cfm](http://water.epa.gov/type/wetlands/initiative_index.cfm)

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant; 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The WPDG database provides project information for grants funded through this program since 2005 (<http://iaspub.epa.gov/pls/grts/f?p=101:1>). Examples of funded projects include: developing state or tribal Wetland Program Plans (WPPs); to update the statewide Wetland Monitoring Plan and incorporating refined wetland condition indicators using information now available due to prior work, including development of the validated Rhode Island Assessment Method (RIRAM); development of a protocol for determining to what degree small, relatively geographically isolated wetlands in the Piedmont ecoregion have a significant nexus based on hydrological and biological connectivity with headwater and perennial streams, ponds and other traditional navigable waterways; development of remote sensing technologies for farmed wetlands in the Prairie Pothole Region; providing the scientific and policy background information and analysis to support the development of the California Wetland Area Protection Policy that will include statewide beneficial uses to protect wetland-related functions, and a stream definition for regulatory use; and development of a stream mitigation framework in Oregon. Fiscal Year 2012: The WPDG database provides project information for grants funded through this program since 2005 (<http://iaspub.epa.gov/pls/grts/f?p=101:1>). Examples of funded projects include: wetland and stream mitigation studies; development of wetland or watershed conservation plans; wetland management training workshops; developing a monitoring and assessment program; development of wetland monitoring and assessment methods and programs; training for

State/Tribal/local government staff in monitoring techniques or wetland science such as delineation; wetland mapping to build 404 permit enforcement programs, wetland inventory and classification projects to determine restoration sites; and database development to track 404 permit action and compliance. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.462 NATIONAL WETLAND PROGRAM DEVELOPMENT GRANTS AND FIVE-STAR RESTORATION TRAINING GRANT**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist State, Tribal, local government (S/T/LG) agencies, and interstate/intertribal entities in building programs which protect, manage, and restore wetlands. The primary focus of the grants is to build state and tribal wetland programs. A secondary focus is to build local (e.g. county or municipal) programs.

Funding Priority - Fiscal Year 2012: For the National WPDGs: EPA has identified the following national priorities - National Priority Area 1: Core Elements Framework and National Priority Area 2: Tribal Wetland Monitoring and Assessment Training Workshops. National Priority Area 1 is based on the four core elements of a Comprehensive State/Tribal Wetlands Program: 1) Monitoring and Assessment; 2) Voluntary Wetland Restoration and Protection; 3) Regulatory Approaches Including CWA 401 Certification; and 4) Wetland-Specific Water Quality Standards. Further explanation of all of the elements can be found at the following website address: <http://www.epa.gov/owow/wetlands/initiative/estp.html>. The Wetlands Program Development Grants (WPDG) program strives to develop State/Tribal/local government programs that will incorporate each of these elements. For the Five-Star Restoration Training Grants, EPA funds an intermediary organization to provide subawards to eligible subawardees to bring together citizen groups, corporations, youth conservation corps, students, landowners, and government agencies to undertake projects that achieve environmental training through voluntary, community/watershed-based wetland restoration projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The National WPDGs are intended to encourage comprehensive, national wetlands program development by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects build the capacity of States, Tribes, and local governments programs to effectively protect wetland and riparian resources. Activities must help S/T/LGs develop and refine wetland programs. Projects funded under this program support the initial development of a national wetlands protection, restoration or management program, or support enhancement/refinement of an existing national program. Projects must be broad in scope and include more than one EPA Region or be national in scope and cannot be limited to activities that affect such entities in only one EPA region. For example, projects and tasks can involve advancing science or collecting and making available through publications and other appropriate means, such as training on information about how various wetland programs across the nation protect, manage, and restore their wetland resources and about initiatives to improve S/T/LG wetland programs. Projects that are local or encompass only one EPA Region in scope are not eligible for funding under this program but may be eligible for funding under EPA's Regional Wetland Program Development Grants program (CFDA 66.461). Funds cannot be used for the purchase of land or conservation easements. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Assistance agreement awards under this program may involve or relate to geospatial information. Further information

regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. EPA's Five Star Restoration Training Grant is anticipated to fund one cooperative agreement to an organization to manage the Five Star Restoration Training Grant subaward process that will award subgrants to achieve environmental training through voluntary, community/watershed-based wetland restoration projects. Projects funded under the subgrant process must be limited to activities that conduct or promote the coordination and acceleration of training relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Other activities under section 104(b)(3) will not be considered for funding. Funds cannot be used for the purchase of land or conservation easements. Funds cannot be used for implementation of individual mitigation projects, mitigation banks, or in-lieu-fee mitigation programs. Wetland restoration training projects cannot include wetlands constructed for the purposes of treating wastewater or stormwater only. The assistance agreement award under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Non-profit, non-governmental organizations, Interstate agencies, and Intertribal consortia which are capable of undertaking activities that advance wetland programs on a national basis are eligible to compete in this program. The term "interstate agency" is defined in CWA Section 502 as "an agency of two or more States established by or pursuant to an agreement or compact approved by the Congress, or any other agency of two or more States, having substantial powers or duties pertaining to the control of pollution as determined and approved by the Administrator." Intertribal consortia must meet the requirements of 40 CFR Part 35.504. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State, Tribal, and local governments involved in administering wetlands protection, restoration, and/or management programs or programs related to or complement wetlands protection programs.

**Credentials/Documentation:**

Non-profit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Interstate organizations may be asked to provide a citation to the statutory authority, which establishes their status. Intertribal consortia may be asked to provide documentation that they meet the requirements of 40 CFR Part 35.504. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms, as furnished by the Federal agency and required by OMB Circular A-102, must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The EPA Headquarters (HQ) Office will conduct the competitive process for awarding National Wetland Program Development Grants. Interested applicants should review information on the National Wetland Program Development Grants at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Submittal instructions can be found in the competitive announcement. The EPA Headquarters (HQ) Office will conduct the competitive process for awarding the Five-Star Restoration Training Grant. Interested applicants should review information on the Five-Star Restoration Training Grant at: <http://www.epa.gov/owow/wetlands/grantguidelines/>. Submittal instructions can be found in the competitive announcement. All applicants will be notified by the HQ Office on whether or not the applicant has been selected for funding. The notification is not an authorization to begin performance. The Grant Award document signed by the appropriate grant official in the EPA HQ Office is the authorizing document. Applicants selected for funding must submit a final workplan and grant application forms. Application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> and by mail upon request to the Grants and Interagency Agreements Management Division at (202) 564-5305. Completed applications should be submitted to HQ. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within 4 months of receipt of completed application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The applicant must provide a minimum of 25 percent of the total cost of the workplan to the extent allowed by 40 CFR 31.24, 35.385, and 35.615. To determine if the minimum match is met, EPA will use the following formula: amount (in dollars) of federal funds requested from EPA divided by 3 = minimum match (in dollars) or Total project amount (in dollars) divided by 4 = minimum match (in dollars). For example, if the applicant requests \$75,000 of federal funds or has a total project cost of \$100,000 for a three-year project period, it must be able to provide \$25,000 in matching funds or services. A reduced match may be available for Tribal grantees that place the Wetland Program Development Grant funds in a Performance Partnership Grant. (See regulations at 40 CFR 536(c)). States and Tribes can provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). Award recipients can meet the match requirements with in-kind or monetary contributions from entities other than themselves. However, other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. Matching funds are considered grant funds. They must be used for the reasonable and necessary expenses of carrying out the assistance agreement workplan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the matching funds. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**



The terms of the grant shall be determined at time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. All final reports must be accompanied by a 1-2 page summary electronic document on the project. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$500,000; FY 12 est \$2,000,000; and FY 13 est \$0 - National Wetlands Program Development Grants: FY 11 \$500,000; FY 12 est. \$1,000,000; and FY 13 est. \$0. Five-Star Restoration Training Grant: FY 11 \$0; FY 12 est. \$1,000,000; and FY 13 est \$0.

**Range and Average of Financial Assistance:**

National Wetlands Program Development Grants: \$75,000 to \$300,000/every two years; \$187,500/every two years; Five-Star Restoration Training Grant: \$1,000,000 every four years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 10, 19 proposals were received in response to the National WPDG competitive announcement and 7 awards were made in FY 11. Grants have been awarded to: develop a comprehensive approach to wetland program development with state and tribes; advance state and local wetland program capacity to identify restoration and conservation efforts; develop model approaches to the watershed approach which includes wetland compensatory mitigation and restoration; improve wetland restoration permitting success; advance coordination between states, tribes, local governments, and land trusts on stewardship of compensatory mitigation sites, build capacity on the mitigation requirements for ephemeral, intermittent, and perennial streams; and testing and evaluating a study design developed to assess the success of compensatory mitigation. Fiscal Year 2012: Headquarters will conduct the FY 12 competitive process for the National WPDGs and the Five-Star Restoration Training Grants. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcements will include the number of anticipated awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, 40 CFR Parts 30 and 31, 40 CFR

35.610, OMB Circular A-122, or OMB Circular A-87, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Myra Price, Wetlands Division (4502T), Office of Oceans, Wetlands, and Watersheds, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: price.myra@epa.gov Phone: (202) 566-1225.

**Website Address:**

<http://www.epa.gov/owow/wetlands/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants; 66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Wetland Program Development Grant database will provide project information for the National WDPGs (<http://iaspub.epa.gov/pls/grts/f?p=101:1>). Examples of funded projects include: wetland and stream mitigation studies; development of market-based wetland protection tools; wetland management training workshops; development of wetland modeling tools; studies on the functions and values of wetland ecosystems; planning and holding national meetings on CWA Section 404 mitigation issues; and development of education information on wetlands for state/tribal/local government officials and/or the public. Fiscal Year 2012: The Wetland Program Development Grant database will provide project information for the National WDPGs (<http://iaspub.epa.gov/pls/grts/f?p=101:1>). Examples of funded projects include: wetland and stream mitigation studies; development of market-based wetland protection tools; wetland management training workshops; development of wetland modeling tools; studies on the functions and values of wetland ecosystems; planning and holding national meetings on CWA Section 404 mitigation issues; and development of education information on wetlands for state/tribal/local government officials and/or the public. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.463 WATER QUALITY COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist States, Indian Tribes, interstate agencies, and other public or nonprofit organizations in developing, implementing, and demonstrating innovative approaches relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution through both permitted and non-permitted areas.

Funding Priority - Fiscal Year 2012: Funding priorities include, but are not limited to: watershed approaches for solutions to wet weather activities (i.e., combined sewer overflow, sanitary sewer overflows, storm water discharge, and animal feeding operations); pretreatment and biosolids (sludge) program activities, decentralized systems; and alternative ways to enhance or measure the effectiveness of point source programs. Trading, water efficiency, asset management, and sustainable infrastructure are also areas of consideration. No appropriation authority was provided for FY 2006 or later. However, if unobligated carryover funds are available in FY 2012, projects will be funded in accordance with the funding priorities. Any awards made with carryover funds will be in accordance with the Agency's competition policy.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

These grants are intended to encourage efforts to improve water quality by promoting the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. Projects must attain tangible results. EPA may award grants to fund internships for high school students to work at wastewater treatment plants under the Youth and the Environment sub-program in EPA Regions 1, 2, 3, 5, 6, 7, 8, 9 and 10. In the case of Regional competitions, eligible projects may be limited in geographic scope to benefit the citizens of States, Tribes, or Territories within those Regions. Other specific uses of funds will be described in Requests for Proposals for this program. EPA will not award grants to fund ongoing State, Tribal, or local program activities, construction, or to purchase land. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### Applicant Eligibility:

State water pollution control agencies, interstate agencies, Tribes, colleges and universities, individuals, and other public or nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

Individuals and organizations affected by water pollution, including State Water Pollution Control Agencies, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations.

### Credentials/Documentation:

Nonprofit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Interstate organizations may be asked to provide a citation to the statutory authority which establishes their status. Intertribal consortia must meet the requirements of 40 CFR Part 35.504. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competition procedures vary by Region and Headquarters Office. EPA will generally publish a Request for Proposals (RFP), evaluate the proposals under the criteria contained in the RFP, and request that selected applicants submit a full application. RFPs are synopsisized at [www.grants.gov](http://www.grants.gov), and may be posted on Agency websites or in the Federal Register. All competitions will be conducted in accordance with EPA policy for competing assistance agreements. For Headquarters competitions, applicants submit a proposal, and EPA evaluates and scores the proposals and invites selected applicants to submit a formal application. Regional procedures may vary, in accordance with the terms of Regional Request for Proposals.

Application forms and completed applications may be requested from and submitted to the appropriate EPA Headquarters or Regional Office. The standard Federal application forms must be used for this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### Award Procedure:

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

Regional or Headquarters review will normally be done within approximately 60 days following the deadline for submissions.

### Appeals:

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

The terms of the assistance shall be determined at the time of award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

### Reports:

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

### Records:

Record keeping requirements are specified 40 CFR Parts 30 or 31 as applicable. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,335,500; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Projects have historically ranged from \$15,000 to \$270,000/fiscal year; \$142,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competitions are held based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. In FY 2011, eight awards were made to: provide energy assistance to wastewater treatment plants (e.g., conduct demonstration pilot projects, conduct energy audits, provide technical support) and transfer results; assess the effectiveness of the current regulatory mechanisms designed to protect water quality in a basin; pilot an innovative decision support tool; and create frameworks for watershed-based stormwater permits. Fiscal Year 2012: Not applicable as no funding will be provided in FY 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For grants and agreements with States, local governments, and Indian tribal governments, the procedures and requirements shall be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies," OMB Circular Nos. A-87 "Cost Principles for State and Local Governments," and A-102 "Grants and Cooperative Agreements for States and Local Governments." For grants and agreements with other entities the procedures shall be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and OMB Circular Nos. A-122 for Non-Profit Organizations and A-21 for Educational Institutions.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog for information on the grants administration process or the Regional WQCA Coordinator shown at [https://water.epa.gov/grants\\_funding/cwf/Water-Quality-Cooperative-Agreement-Contacts.cfm](https://water.epa.gov/grants_funding/cwf/Water-Quality-Cooperative-Agreement-Contacts.cfm).

**Headquarters Office:**

Barron Benroth, Office of Wastewater Management (4201M), EPA, Room 7126, EPA East, 1200 Pennsylvania Avenue NW, Washington, District of Columbia 20460 Email: Benroth.Barry@epa.gov Phone: (202) 564-0672.

**Website Address:**

[http://water.epa.gov/grants\\_funding/cwf/waterquality.cfm](http://water.epa.gov/grants_funding/cwf/waterquality.cfm)

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Water Quality Cooperative Agreements are competitive awards. In FY 2011, examples of projects funded include: provide energy assistance to wastewater treatment plants (e.g., conduct demonstration pilot projects, conduct energy audits, provide technical support) and transfer results; assess the effectiveness of the current regulatory mechanisms designed to protect water quality in a basin; pilot an innovative decision support tool; create frameworks for watershed-based stormwater permits; and improve water efficiency and take advantage of untapped economies of scale and promote green jobs when making decisions about stormwater pollution control and local development patterns. Fiscal Year 2012: Not applicable as no funding will be provided in FY 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.466 CHESAPEAKE BAY PROGRAM****FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 117.

**OBJECTIVES:**

To expand and strengthen cooperative efforts to restore and protect the Chesapeake Bay. EPA's funding priority is to achieve the goals and commitments established in the Chesapeake 2000 agreement and the final coordinated strategy under Executive Order (EO) 13508. As a means to achieve the goals and commitments, assistance agreements are awarded to: nonprofit organizations, State and local governments, colleges, universities, and interstate agencies. The type of projects that are awarded range from monitoring of bay toxins to environmental education. These projects have helped support the commitments set forth in Executive Council agreements and amendments (The Chesapeake Bay Agreement of 1983 through Chesapeake 2000) and subsequent directives, adoption statements, endorsements and resolutions.

Funding Priority - Fiscal Year 2012: EPA's focus in FY 2012 is to continue to improve the rate of progress in the Chesapeake Bay watershed by meeting the President's expectations as described in Executive Order (EO) 13508, using the Agency's existing statutory authority, implementing the Chesapeake Bay Total Maximum Daily Load (TMDL), developing more rigorous regulations, providing states with the tools necessary for effective regulatory implementation, creating better tools for scientific analysis and accountability, and supporting regulatory compliance and enforcement. EPA will work toward implementing key initiatives under EO 13508, including: implementing the TMDL; developing new regulations for animal feeding operations and stormwater discharges; developing a TMDL tracking and accountability system; deploying technology to integrate discrete Bay data systems and to present the data in an accessible accountability system called ChesapeakeStat; implementing a Bay-specific enforcement and compliance initiative; and moving forward on the Bay's challenges related to toxic contaminants.

A centerpiece of EPA's FY 2012 activities is the implementation of the nation's largest and most complex TMDL for the entire Chesapeake Bay watershed. A TMDL is essentially a plan that defines how much of a particular pollutant may be discharged in to a particular waterbody while allowing the waterbody to meet its water quality standards and designated uses. EPA released the final TMDL in December 2010. Prior to that release, the Bay jurisdictions developed watershed implementation plans (WIPs) that included specific timelines for enhancing programs and implementing actions to reduce pollution, with all measures needed to reach the TMDL pollution load limits in place no later than 2025. In FY 2012, the Chesapeake Bay jurisdictions will be expected to develop and implement second-generation WIPs that define how the jurisdictions' TMDL allocations will be achieved, in part, through local efforts. EPA expects that by 2017, pollution controls will be in place that should result in approximately 60 percent of the required reductions. To support the TMDL, EPA will develop and initiate a tracking and accountability system to ensure that the Bay jurisdictions are effectively implementing the TMDL.

To support accountability under the TMDL, EPA will expand the Chesapeake Bay Program's water-quality monitoring network to better track TMDL progress. The sampling sites will provide better measurements of nutrient and sediment load changes for major sources of pollution in more localities. EPA will invest in bringing more non-traditional monitoring partners, including watershed organization, permittees, and local governments - into the monitoring network, increasing the data available to assess stream and Bay health and responses to management actions. EPA will use its technical and scientific analysis capabilities to provide implementation support and guidance to the states and thousands of local governments that will be affected by the TMDL. EPA will assist the jurisdictions in making scientifically informed determinations of the most effective ways to meet their TMDL obligations that will provide individually tailored solutions. EPA also is developing an offset program under the TMDL.

EPA also will continue the development and implementation of new regulations

to protect and restore the Chesapeake Bay. EPA will continue work on rulemakings under the Clean Water Act to reduce nitrogen, phosphorus, and sediment pollution in the Bay from concentrated animal feeding operations, stormwater discharges from new and redeveloped properties, new or expanded discharges, and other pollutant discharges as necessary. To ensure that the states are able to meet EPA's expectations under the TMDL and new rulemakings, EPA will continue and in some cases expand its broad range of grant programs. EPA will direct investments toward key local governments and watershed organizations based on their ability to reduce nutrient and sediment loads via key sectors such as development and agriculture in urban and rural areas.

ChesapeakeStat is a key element in the next generation of tools EPA is developing to significantly enhance the accountability of program partners. ChesapeakeStat is a web based, geoenabled tool for performance-based interactive decision making for all Bay partners. The system allows the public to track progress and become informed and engaged in restoring the Bay.

Ensuring that the regulated community complies with the appropriate regulations is an essential responsibility for achieving the goals established for the Chesapeake Bay and its watershed. In FY 2012, the Enforcement and Compliance Assurance program will target sources of pollution impairing the Bay. EPA's multi-year, multi-state strategy combines the agency's water, air and waste enforcement authorities to address violations of federal environmental laws resulting in nutrient, sediment and other pollution in the Bay.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

On November 7, 2000, the President signed the Estuaries and Clean Waters Act of 2000, which includes Title II-Chesapeake Bay Restoration. This Act amends Section 117 of the Federal Water Control Act (Clean Water Act) and established new authorities for the Chesapeake Bay Program. These new legal authorities specify the type of work that can be performed with the funds appropriated for the Chesapeake Bay Program, the type of funding vehicles (e.g., assistance agreement) that can be used, and the type of organization eligible to receive funding. The purposes of these amendment authorities are: (1) to expand and strengthen cooperative efforts to restore and protect the Chesapeake Bay; and (2) to achieve the goals established in the Chesapeake Bay Agreement. The term "Chesapeake Bay Agreement" means the formal, voluntary agreements signed by the Chesapeake Executive Council and executed to achieve the goal of restoring and protecting the Chesapeake Bay ecosystem (e.g., the 1987 Chesapeake Bay Agreement, Chesapeake 2000 agreement, various Executive Council directives, etc.).

Assistance Agreements awarded under this program are:

(1) 117(d) Technical Assistance and General Assistance Grants - These grants will be awarded competitively to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies to implement the goals of the Chesapeake Bay Agreements; such as activities to support living resource protection and restoration; vital habitat protection and restoration; water quality protection and restoration; sound land use; and stewardship and community engagement. All applicants applying for grants under Section 117(d) must commit to a cost share ranging from 5 to 50 percent of the total project costs, as determined at the sole discretion of EPA. This determination will be stated in Request for Proposals (RFPs) or Agency policy.

(2) 117(e)(1)(A) and 117(d) - Chesapeake Bay Regulatory and Accountability Grants - As a result of EO 13508, these grants will help each watershed State and the District of Columbia to develop new regulations, design TMDL watershed implementation plans, reissue and enforce permits, and provide technical and compliance assistance to local governments and regulated entities. The grants are to aid the states and DC in implementing and expanding their States' regulatory, accountability and enforcement capabilities, in support of reducing nitrogen, phosphorus and sediment loads delivered to the Bay to meet the water quality goals of the 2000 Chesapeake Bay Agreement. These grants will be awarded non-competitively. State Signatory jurisdictions applying for regulatory and accountability program grants under Section 117(e)(1)(A) must

identify 50% cost share of total project costs (equal match/dollar for dollar) as required by statute. Headwater States applying for regulatory and accountability program grants under Section 117(d) must commit to a cost share of 25% of the total project costs.

(3) Section 117(e)(1)(A) - Implementation Grants - The Chesapeake Bay Implementation Grants are authorized under Section 117(e)(1)(A) to Signatory Jurisdictions. Implementation Grants are for the purpose of implementing the management mechanisms established under the Chesapeake Bay Agreement, with particular emphasis on state programs for control and abatement of non-point source nutrient and sediment pollution (including atmospheric deposition as a non-point source). In May 2009, jurisdictions adopted 2-year milestones to accelerate reductions of nutrient pollution. Grants should support implementation of milestones commitments and comparable actions that support nutrient reduction goals. If jurisdictions do not use 117(e)(1)(A) grants for projects consistent with Chesapeake 2000 Agreement goals, EPA may reallocate, condition or withhold funds. These grants can be awarded non-competitively to any signatory jurisdiction that has or signed the Chesapeake Bay Agreement. State Signatory Jurisdictions applying for implementation and monitoring grants under Section 117(e)(1)(A) must identify 50% cost share of total project costs (equal match/dollar for dollar).

(4) Section 117(e)(1)(B) Monitoring Grants - The Monitoring Grants are authorized under Section 117(e)(1)(B) for Signatory Jurisdictions. These grants support the characterization of water and habitat quality and benthic community conditions for the mainstem Chesapeake Bay and tidal tributaries, characterizing nutrient loading to Chesapeake Bay and its tidal tributaries, and provide data analysis support for water quality and living resources status and trends. The work supports the Chesapeake 2000 goal of "Achieving and maintaining the water quality necessary to support the aquatic living resources of the Bay and its tributaries and to protect human health." These grants can be awarded non-competitively to any signatory jurisdiction that has or signed the Chesapeake Bay Agreement. Signatory Jurisdictions applying for monitoring grants under Section 117(e)(1)(B) must identify 50% cost share of total project costs (equal match/dollar for dollar).

(5) Section 117(g)(2) Small Watershed Grants - The Small Watershed Grants Program was established under Section 117(g)(2), which provides that grants can be awarded under Section 117(d) to local governments, nonprofit organizations, and individuals in the Chesapeake Bay region working on a local level to protect and improve watersheds, while building citizen based resource stewardship. The purpose of the grants program is to demonstrate effective techniques and partnership-building to achieve Chesapeake Bay Program objectives at the small watershed scale. The Small Watershed Grants Program has been designed to encourage the sharing of innovative ideas among the many organizations wishing to be involved in watershed protection activities. Applicants applying for small watershed grants under Section (g)(2) must commit to a cost share of 25% of the total project cost.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Under section 117(d), funds are available for technical and general assistance grants to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies; under section 117(e)(1)(A) and 117e(1)(B), respectively, funds are available for implementation, regulatory and accountability, and monitoring grants to signatory jurisdictions and headwater states; and under section 117(g)(2), funds are available for technical assistance

and assistance grants under the Small Watershed Grants Program to local governments and nonprofit organizations and individuals in the Chesapeake Bay region. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Under section 117(d), funds are available for technical and general assistance grants to nonprofit organizations, State and local governments, colleges, universities, and interstate agencies; under section 117(e)(1)(A) and 117(e)(1)(B), respectively, funds are available for implementation, regulatory and accountability, and monitoring grants to signatory jurisdictions and headwater states; and under Section 117(g)(2), funds are available for technical assistance and assistance grants under the Small Watershed Grants Program to local governments and nonprofit organizations and individuals in the Chesapeake Bay region.

**Credentials/Documentation:**

Compliance with 40 CFR Parts 30 and 31, and with Program Grant Guidance to matching funds. Costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal Governments (Relocated to 2 CFR, Part 225), OMB Circular No. A-122 for nonprofit organizations (Relocated to 2 CFR, Part 230), and OMB Circular No. A-21 for educational institutions (Relocated to 2 CFR, Part 220). All OMB circulars apply to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Preapplication assistance is recommended and should be obtained from the EPA Region III Grants Management Office. All proposals or work statements should be consistent with CBPO's Grant Guidance located at <http://www.epa.gov/region3/chesapeake/grants.htm>. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102 (rev.), Uniform Administrative Requirements for Grants to State and Local Governments, applies to this program. OMB Circular No. A-110, Uniform Administrative Requirements for Grants with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, applies to this program. Competitive Request For Proposals (RFPs) for grants/cooperative agreements are announced widely through the internet and Environmental Protection Agency's CBPO RFP e-mail and mailing database. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. RFPs are listed on the following websites: <http://www.grants.gov>; <http://www.epa.gov/region03/chesapeake/grants.htm>; <http://www.epa.gov/region03/grants/grantopp.htm>; and <http://www.chesapeakebay.net/grantsandrfps.aspx?menuitem=14892>.

Issued Chesapeake Bay Program Office (CBPO) Request For Proposals (RFPs) will seek applicant proposals that identify specific outcomes that will further goals of the Chesapeake 2000 Agreement and the Chesapeake Action Plan (CAP). The RFP will include detailed instructions for submission of proposals. Interested parties who would like to receive a copy of issued CBPO RFPs and be added to the Environmental Protection Agency's CBPO e-mail and/or mailing database should submit their name, address, phone number, and e-mail address to Suzanne Hersh at [hersh.suzanne@epa.gov](mailto:hersh.suzanne@epa.gov) or such requests can be mailed to Suzanne Hersh, Environmental Protection Agency CBPO, 410 Severn Avenue, Suite 112, Annapolis, Maryland 21403. EPA will only accept addresses provided in writing (either by e-mail or letter); no phone calls will be

accepted. Requests for application kits must be submitted to the Environmental Protection Agency, Region 3, 1650 Arch Streets, Philadelphia, PA 19103, Grants and Audit Management Branch (3PM70). Additional information on the EPA assistance package can be found at:

[http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Additional information pertaining to application requirements for EPA's CBPO grants programs can be found in the 2011 CBPO Grant Guidance at: <http://www.epa.gov/region03/chesapeake/grants.htm>.

Interested parties applying for a grant under the Innovative Nutrient and Sediment and Small Watershed Grants Programs should submit their name and address to the National Fish and Wildlife Foundation 1120 Connecticut Avenue, NW, Suite 900, Washington, DC 20026, for purpose of establishing a database to receive RFPs. National Fish and Wildlife Foundation will list the RFP on their website: [www.NFWF.org](http://www.NFWF.org).

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 7 months after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval of EPA.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Under Section 117 (e)(1)(A) and 117(e)(1)(B), respectively, State agencies applying for implementation and monitoring grants must identify 50 percent cost share of total project costs (equal match/dollar for dollar). All applicants applying for technical and general assistance grants under Section 117 (d), must commit to a cost share ranging from 5 percent to 50 percent as determined at the sole discretion of EPA. This determination will be stated in Request For Proposals or Agency policy. EPA will promptly inform the applicant of the selected cost share requirement. Signatory Jurisdictions applying for regulatory and accountability program grants under Section 117(e)(1)(A) must identify 50% cost share of total project costs (equal match/dollar for dollar) as required by statute. Headwater States applying for regulatory and accountability program grants under Section 117(d) must commit to a cost share of 25% of the total project costs. Applicants applying for Small Watershed Grants Program under Section 117(g)(2) must commit to a cost share of 25 percent of the total project cost. State and local governments receiving assistance under any of the provisions of Section 117 must comply with 40 CFR 31.24 and all other applicants must comply with 40 CFR 30.23. In addition to the cost share requirement, applicants must adhere to the requirement in the Clean Water Act, Section 117 - Administrative Costs. This section requires a 10 percent cap for administrative costs. The cost of salaries and fringe benefits incurred in administering the grant cannot exceed 10 percent of the Federal grant amount.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$47,733,315; FY 12 est \$53,652,000; and FY 13 est \$72,600,000

**Range and Average of Financial Assistance:**

\$5,000 to \$13,875,000/fiscal year; \$6,937,500/fiscal year. Ranges vary year to year based on size of appropriation.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, CBPO issued six RFPs. Based on the six RFPs issued, CBPO received thirty-six proposals and awarded nine awards. FY 11 activities included: communications, outreach, and education activities to support the staffing and operations of the Bay Program Communication Office; implementation of state tributary strategies to reduce nutrients and sediments to improve water quality; continued technical support and outreach to address water quality restoration goals and maintain public awareness of Bay restoration; investigation of the nitrogen reduction efficiency and cost effectiveness of nitrogen reducing septic systems within the mid-Atlantic region; evaluation of the impact of phosphorus species on water quality and plant growth; NPDES data synthesis and field monitoring to better estimate loadings of toxics (metals, organics) to Chesapeake Bay through storm water; and Chesapeake Bay modeling, GIS and data analyses support, water quality data analysis/integration support, and nonpoint and point source data management/analysis.

On November 9, 2009, EPA and the other agencies included in EO 13508 released a draft comprehensive strategy for the protection and restoration of the Chesapeake Bay and its watershed as called for in section 203 of the EO. Also in November 2009, EPA and other agencies released individual reports on specific challenges in the Chesapeake Bay as required under section 202 of the EO. The agencies are engaged in a significant public outreach effort to explain the strategy and reports and to hear directly from members of the public as to their perspectives on the ideas contained in these documents.

EPA's recommended actions under the EO include:

-Development of watershed implementation plans by the six Bay watershed states and the District of Columbia;

-Requiring the states and District to develop milestones detailing near-term actions and loading reduction targets to evaluate progress toward water quality goals;

-Undertaking new rulemakings to reduce nutrient and sediment loadings to the Chesapeake Bay from concentrated animal feeding operations, stormwater, new or expanding sources of nutrient and/or sediment, and other pollutant sources as EPA deems necessary; and

-Establishing an enhanced partnership with the U.S. Department of Agriculture to accelerate the adoption of conservation practices by agricultural interests in the Bay watershed.

In November 2009, EPA provided the six states in the Chesapeake Bay watershed and the District of Columbia with rigorous expectations for jurisdictions to reduce pollution in streams, rivers and the Bay to meet water quality standards. EPA's expectations fulfill the mandate of the EO, which calls for a new accountability framework that guides federal, state, and local water quality restoration efforts. The expectations also are a component of the Chesapeake Bay TMDL, which will set pollution limits for point sources and nonpoint sources contributing nitrogen, phosphorus and sediment to the Bay and its tidal creeks, rivers, and embayments. EPA expects the six watershed states and D.C. to identify how they will reduce pollutant loads to levels necessary to meet water quality standards. EPA expects detailed schedules for implementing cleanup actions and achieving pollution reductions. Progress will be measured through benchmarks every two years.

On December 29, 2010, EPA established the Chesapeake Bay TMDL, a historic and comprehensive "pollution diet" with rigorous accountability measures to initiate sweeping actions to restore clean water in the Chesapeake Bay and the region's streams, creeks and rivers. The TMDL is required under federal law and responds to consent decrees in Virginia and D.C. dating back to the late 1990s. It is also a keystone commitment of the EO strategy. The TMDL - the largest ever developed by EPA - includes pollution limits to meet water quality standards in the Bay and its tidal rivers. The TMDL is designed to ensure that all pollution control measures to fully restore the Bay and its tidal rivers are in place by 2025, with 60 percent of the actions completed by 2017. The TMDL is supported by rigorous accountability measures to ensure cleanup commitments are met, including short-and long-term benchmarks, a tracking and accounting system for jurisdiction activities, and federal contingency actions that can be employed if necessary to spur progress.

On May 12, 2010, EPA and the other agencies included in the EO released a comprehensive strategy for the protection and restoration of the Chesapeake Bay and its watershed, as called for in Section 203 of the EO. The agencies are engaged in a significant public outreach effort to explain the strategy and to hear directly from members of the public about their perspectives on the ideas contained in these documents. There have been at least two progress reports and action plans released to explain what we are doing under the EO. Fiscal Year 2012: FY 12 activities will include: communications, outreach, and education activities to support the staffing and operations of the Bay Program Communication Office; implementation of state tributary strategies to reduce nutrients and sediments to improve water quality; continued technical support and outreach to address water quality restoration goals and maintain public awareness of Bay restoration; investigation of the nitrogen reduction efficiency and cost effectiveness of nitrogen reducing septic systems within the mid-Atlantic region; evaluation of the impact of phosphorus species on water quality and plant growth; NPDES data synthesis and field monitoring to better estimate loadings of toxics (metals, organics) to Chesapeake Bay through storm water; and Chesapeake Bay modeling, GIS and data analyses support, water quality data analysis/integration support, nonpoint and point source data management/analysis; and development of new regulations, design of TMDL watershed implementation plans, reissuance and enforcement of permits, and technical and compliance assistance to local governments and regulated entities to meet the water quality goals of the 2000 Chesapeake Bay Agreement. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chesapeake Bay Program Office's Annual Grant Guidance and general regulations (40 CFR Parts 30 and 31) for assistance programs available from EPA. The Chesapeake Bay Program Office's Grant Guidance is available at <http://www.epa.gov/region03/chesapeake/grants.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Veronica Kuczynski, EPA Chesapeake Bay Program Office, 410 Severn Avenue, Suite 112, Annapolis, MD 21403. Telephone: (410) 267-5743; FAX: (410) 267-5777; e-mail: [kuczynski.veronica@epa.gov](mailto:kuczynski.veronica@epa.gov).

**Headquarters Office:**

Veronica Kuczynski, EPA Chesapeake Bay Program Office, 410 Severn Avenue, Suite 112, Annapolis, Maryland 21403 Email: [kuczynski.veronica@epa.gov](mailto:kuczynski.veronica@epa.gov) Phone: (410) 267-5743.

**Website Address:**

<http://www.epa.gov/region03/chesapeake>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.439 Targeted Watersheds Grants; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants and cooperative agreements awarded to States and local governments, colleges, universities interstate agencies, and nonprofit organizations are for nonpoint source implementation, water quality monitoring, education and outreach, watershed management, living resources and habitat restoration, and program support. Examples of funded projects include: (1) enhanced storm water monitoring; (2) communications, outreach, and public education efforts; (3) computer modeling of different population levels of menhaden for multi-species management and potential impact on water quality; (4) nonpoint source pollution programs; (5) Chesapeake Bay point source data management; and (6) regulatory and accountability program grants. Fiscal Year 2012: Grants and cooperative agreements awarded to States and local governments, colleges, universities interstate agencies, and nonprofit organizations are for nonpoint source implementation, water quality monitoring, education and outreach, watershed management, living resources and habitat restoration, and program support. Examples of funded projects include: (1) enhanced storm water monitoring; (2) communications, outreach, and public education efforts; (3) computer modeling of different population levels of menhaden for multi-species management and potential impact on water quality; (4) nonpoint source pollution programs; (5) Chesapeake Bay point source data management; and (6) regulatory and accountability program grants. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.467 WASTEWATER OPERATOR TRAINING GRANT PROGRAM**

(Wastewater O&M Onsite Technical Assistance Grants)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Federal Water Pollution Control Act, Section 104(g)(1), 33 U.S.C 1251.

**OBJECTIVES:**

To substantially enhance the proficiency of personnel engaged in the operations and maintenance of treatment works and related activities by financing pilot programs.

Funding Priority - Fiscal Year 2012: No funds are available in FY 2012. If funds become available, the funding priority will primarily be to provide on-site technical assistance to address the unique performance limiting conditions of wastewater treatment plants. Classroom training may also be provided on a limited basis, if cost-effective, to improve the skills of wastewater treatment plant operators.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is available to support recipients' allowable direct costs incidental to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State agencies or the designated organizations of the States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Marianas, America Samoa, the Trust Territories, and Native American Indian Tribes. Additionally, institutions of higher education and "not for profit institutions" may also apply for funding if acting as a designated organization of the State.

**Beneficiary Eligibility:**

State, Tribal, and local governments and publicly owned treatment works (POTWs). Activities which contribute to Operation and Maintenance (O&M) improvements at POTWs, including pollution prevention activities, may be funded. Legislative history supports using appropriations for onsite O&M technical assistance to the small sized POTWs of less than 5 million gallons per day (MGD) of wastewater flow, since many of these POTWs are exhibiting performance problems and do not have readily available consultant's technical assistance like those of the larger POTWs.

**Credentials/Documentation:**

Costs will be determined in accordance with applicable OMB Circular No. A-87, Cost Principles for State and local governments. Non-profit applicants may be asked to provide documentation that they meet the definition of a non-profit organization in OMB Circular A-122. Tribes may be asked to demonstrate that they are Federally recognized. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard EPA application assistance forms must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-102 Uniform Administration Requirements for Grant-in-Aid to State and Local Government. Request for application forms and completed applications must be submitted to the applicable Regional or Headquarters Grants Administration office. Applications must meet the requirements of the grant regulations and must be reviewed and approved by the appropriate Regional or Headquarters' waste management program office prior to approval by the Grants office. The review must include an administrative and technical evaluation to determine adequacy, merit, and relevance of the proposal. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

An application is reviewed by the appropriate EPA Regional Office and, if approved, is signed by the Regional Administrator or designated Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, 90 days after the grant application is received by EPA.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Generally 25 percent in kind service/goods or matching funds is required; however, this provision may be waived in certain cases.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be awarded for a project period not to exceed 3 years. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Headquarters receives semi-annual status reports, and an annual data submission of the program's progress for the current fiscal year, from all Regional Offices. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records and other records which substantiate the reasonable and allocable charges must be available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status reports. If questions arise, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

For every \$1,000,000 appropriated by the U.S. Congress, a State receives approximately \$30,000/fiscal year to provide funds to onsite technical assistance providers. The historical range and average of financial assistance provided is: \$12,000 to \$40,000/fiscal year; \$25,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Not applicable as no funding was provided in Fiscal Year 2011. Fiscal Year 2012: In Fiscal Year 2012, one grant for \$80,370 was awarded from the deobligated funds from earlier years. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants for technical assistance should review 40 CFR Part 30, the General Grant Regulations and Procedures, and the annual guidance produced by the Headquarters wastewater program office.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog or online for additional information.

**Headquarters Office:**

Gajindar Singh, Office of Wastewater Management (4204M), Office of Water, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: singh.gajindar@epa.gov Phone: (202) 564-0634.

**Website Address:**

[http://water.epa.gov/learn/training/wwoperatortraining/104g\\_index.cfm](http://water.epa.gov/learn/training/wwoperatortraining/104g_index.cfm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Not applicable as no funding was provided in Fiscal Year 2011. Fiscal Year 2012: Not applicable as no funding will be provided in Fiscal Year 2012. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

On-site wastewater O&M technical applications managed by the Regions are evaluated based on the Headquarters wastewater program office's annual guidance, as well as EPA's grants management-related guidance. Other pilot program proposals, with similar objectives, will be considered by the Regional and Headquarters wastewater program offices based on the merits of the proposal, and prior designation by the applicable State agency(s) to receive these funds. Project objectives and requirements for applicants for other pilot project funding will be negotiated on a case-by-case basis.

**66.468 CAPITALIZATION GRANTS FOR DRINKING WATER STATE REVOLVING FUNDS**

(Drinking Water State Revolving Fund)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act (SDWA) Amendments of 1996, Section 130, Public Law 104-182; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Grants are made to States and Puerto Rico to capitalize their Drinking Water State Revolving Funds (DWSRFs) which will provide a long-term source of financing for the costs of drinking water infrastructure. Grants are also made to the District of Columbia, U.S. Territories (Virgin Islands, Mariana Islands American Samoa, and Guam), and Indian Tribes.

Funding Priority - Fiscal Year 2012: The funding priority established by the SDWA are for capitalization grants to each State for infrastructure improvement projects that are needed to achieve or maintain compliance with SDWA requirements, protect public health, and assist systems with economic need. A State may use a portion of the capitalization grant funds for programs that emphasize preventing contamination problems through source water protection and enhancing water system management. States and EPA Regions determine priorities for funding in accordance with SDWA. Capitalization grants to each State were also made available under the American Recovery and Reinvestment Act (Recovery Act) of 2009. A portion of the Recovery Act funding were targeted toward projects for green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities. The program supports the Agency's strategic goal of ensuring clean and safe water.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Capitalization grants are made available to each State and Puerto Rico for the purpose of establishing a DWSRF for providing assistance to drinking water systems for infrastructure improvements. The capitalization grant is deposited in the State's DWSRF, and is used to provide loans and other types of financial assistance to eligible public water systems. A State may elect to use up to 31% of the capitalization grant for other eligible activities, including 4% for



administration of the program. States may also elect to transfer up to one-third of the DWSRF capitalization grant to the Clean Water State Revolving Fund (CWSRF) or an equivalent amount from the CWSRF to the DWSRF program. Grants are also made available to Federally Recognized Indian Tribal Governments, U.S Territories, and the District of Columbia. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States, the District of Columbia, U.S. Territories or Possessions (the Commonwealth of Puerto Rico, Virgin Islands, Mariana Islands American Samoa, and Guam), and Federally Recognized Indian Tribal Governments are eligible for grants from the program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, U.S. Territories or Possessions (the Commonwealth of Puerto Rico, Virgin Islands, Mariana Islands American Samoa, and Guam), Federally Recognized Indian Tribal Governments, local, and intrastate.

**Credentials/Documentation:**

To receive a grant, an applicant enters into an agreement with the EPA Regional Administrator which shall include, but is not limited to, the requirements set forth in Section 130 of the SDWA. Recipients must follow OMB Circular No. A-87, "Cost Principles for State, Local and Indian Tribal Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

States are required to prepare and provide for public comment on a plan identifying the intended uses (Intended Use Plan, or IUP) of the funds in the DWSRF and how those uses support the goals of the DWSRF. The IUP is to be submitted no later than the application. An environmental impact statement is not required prior to grant award; however, a State environmental review process must be applied to all subsequent State assistance for drinking water systems. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 1200 Pennsylvania Avenue, N.W., Mailcode 3903R, Washington, DC 20460 or through the appropriate Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Grants for Tribes, U.S. Territories, and the District of Columbia are selected based on

funding priorities established by EPA Regional Offices. States must certify that they have the legal authority to receive a capitalization grant and that they have the legal authority to operate the program. States must provide assurance in their applications that they have the legal, managerial, technical and operational capabilities to administer the DWSRF program competently and that they will comply with all applicable Federal cross-cutting authorities and Federal statutes. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

A grant application is reviewed by the appropriate Regional Office, and if approved, the grant is awarded by the Regional Administrator under a delegation of authority from the Administrator of EPA. EPA Headquarters retains the authority to review certain applications or parts thereof. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time averages 45 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

For those portions of the applicant's program that do not change from year to year, a subsequent grant application may incorporate by reference relevant portions of the previous year's application which have not changed.

**Formula and Matching Requirements:**

Statutory Formula: Title Safe Drinking Water Act.  
Matching Requirements: The funds available for allotment to State DWSRF programs are those funds appropriated by Congress under the Safe Drinking Water Act (SDWA 1452; 40 CFR 35.3540 and 35.3585). EPA allots funds to each State based on the State's proportional share of total eligible needs reported for the most recent Drinking Water Infrastructure Needs Survey (which is conducted every four years). The minimum proportional share that each State can receive is 1% of total funds available to States. EPA reserves up to 1.5% of the funds available for allotment to the States to provide grants to the U.S. Territories (Virgin Islands, Mariana Islands American Samoa, and Guam). The SDWA also requires the Administrator to reserve 1% of the funds available for allotment to the States to provide grants to the District of Columbia. The SDWA also allows EPA to reserve funds for national set-asides that include: up to 2.0% of the national appropriation for grants to Indian Tribes as well as funding for health effects studies, small system technical assistance, and monitoring of unregulated contaminants. The required State match is 20% of the amount of the capitalization made to the State. States must also provide a match or demonstrate a credit for state funded eligible activities to receive Federal funds for certain program support activities. For Recovery Act funds, the required State match of 20% of the amount of the capitalization grant was waived. For additional information go to <http://www.epa.gov/safewater/dwsrf/allotments/index.html>. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for EPA's obligation to the State during the fiscal year in which they are allotted and during the following year. Recovery Act funds were available for EPA's obligation to the State until September 30, 2010. The term of the grant shall be determined at the time of award. States must agree to enter into binding commitments with loan recipients to provide financial assistance from the DWSRF in an amount equal to the sum of Federal assistance, less amounts used by the State for eligible set-aside purposes, and the State match.

States are also required to agree to commit and expend all funds in the DWSRF as efficiently as possible, and in a timely manner. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

States shall provide biennial reports to the Regional Administrator in accordance with the schedule established in the grant agreement (generally not later than 90 days after the end of the second fiscal year during which the payments were received). The biennial report shall describe how the State has met the goals and objectives for the preceding two fiscal years as identified in its intended use plans for those periods, including identification of loan recipients, loan amounts, and loan terms and similar details on other forms of financial assistance provided from the DWSRF. For grants to Tribes and U.S. Territories, procedures for accounting, auditing, evaluating, and reviewing any program for activities in whole or in part shall be governed by regulations at 40 CFR Parts 31 and 35, "Environmental Program Grants for Tribes," with reports as required by the specific terms of the agreement. For Recovery Act funds, funding reports must be submitted in a prescribed format within 10 calendar days after the end of each calendar quarter, beginning October 10, 2009. These reports will include data elements as prescribed by Public Law 111-5, Section 1512 and OMB Guidance. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year. States must comply with the provisions of the Single Audit Act Amendments of 1996, and the OMB Circular No. A-133 and Compliance Supplement. States are also encouraged to conduct annual independent audits. The audit of the fund to be prepared by the State or an independent auditor must be in accordance with the standards of the Government Accountability Office (known as the Generally Accepted Government Auditing Standards). To the extent that the set-asides are used for project purposes that must be repaid, or are directly related to the DWSRF (e.g., administration) or are revolving funds themselves, they must be part of an audited opinion(s). The audits must provide an auditor's opinion on the DWSRF financial statements, a report on internal controls and a report on compliance with laws and regulations. Those set-aside funds that are not loaned out may be audited in conjunction with audits conducted under the Single Audit Act, as described in OMB Circular No. A-133 and OMB's Compliance Supplement for Single Audits of State and Local Governments.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved. As part of the annual review conducted by the Agency to assess a State's performance against activities identified in the intended use plan and biennial report, and to determine compliance with the terms of the capitalization grant agreement, the State or assistance recipient shall make available to EPA such records as the Regional Administrator reasonably requires to review and determine State compliance with the requirements of the SDWA.

**Account Identification:**

68-0103-0-1-304; 68-0102-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$1,081,106,000; FY 12 est \$917,982,000; and FY 13 est \$850,000,000 - FY 11 \$1,081,106,000; FY 12 \$917,982,000; and FY 13 est. \$850,000,000. Recovery Act funds - FY 11 \$0; FY 12 est. \$0; and FY 13 est. \$0.

**Range and Average of Financial Assistance:**

States: \$8,975,000 to \$83,957,000/fiscal year; \$16,318,800/fiscal year. Tribes: \$6,000 to \$2,400,000/fiscal year; \$480,000/fiscal year. Territories: \$2,057,000 to \$13,573,000/fiscal year; \$4,189,000/fiscal year. Recovery Act funds - States: \$19,500,000 to \$160,000,000/fiscal year. Territories: \$500,000 to \$2,100,000/fiscal year. Tribes: \$15,600 to \$3,200,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: All 50 States and Puerto Rico have established and are implementing DWSRF programs through receipt of a capitalization grant. In FY 11, States made 673 loans to systems for a total of \$21.7 billion to conduct infrastructure improvement projects. Of the total number of loans, 71% of loans went to small water systems that serve 10,000 persons or fewer. States also used funds to prevent drinking water contamination through source water protection and enhanced system management. Fiscal Year 2012: All 50 States and Puerto Rico have established and are implementing DWSRF programs through receipt of a capitalization grant. In FY 12, States, Tribes, and Territories will continue to receive funding to support infrastructure improvement projects. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31) and Drinking Water State Revolving Funds (40 CFR Part 35, Subpart L). Additional program information, including contact information for state program managers, is available online at <http://www.epa.gov/safewater/dwsrf.html>.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog, or online.

**Headquarters Office:**

Peter Shanaghan, Environmental Protection Agency, Infrastructure Branch (4606M), Drinking Water Protection Division, Office of Groundwater and Drinking Water, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: [shanaghan.peter@epa.gov](mailto:shanaghan.peter@epa.gov) Phone: (202) 564-3848.

**Website Address:**

<http://www.epa.gov/safewater/dwsrf.html>

**RELATED PROGRAMS:**

66.458 Capitalization Grants for Clean Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Drinking water projects addressing treatment, storage, source, transmission, distribution and consolidation. Some examples of projects include: construction of an ultra-violet treatment facility; construction of pumping stations; upgrades of water treatment plant; line replacement; and new wells to replace wells that have been contaminated. Fiscal Year 2012: Drinking water projects addressing treatment, storage, source, transmission, distribution and consolidation. Some examples of projects include: construction of an ultra-violet treatment facility; construction of pumping stations; upgrades of water treatment plant; line replacement; and new wells to replace wells that have been contaminated. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.469 GREAT LAKES PROGRAM**

GLNPO

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Policy Act, Section 102(2)(F); Clean Water Act, Section 104&118, 33 U.S.C 1254; The Department of the Interior, Environment, and Related Agencies Appropriations Act, Public Law 112-74.

**OBJECTIVES:**

To restore and maintain the chemical, physical, and biological integrity of the Great Lakes Basin Ecosystem. USEPA leads a consortium of programs, agencies, and public and private institutions in attaining specific objectives and actions that will address the most significant Great Lakes ecosystem problems and efforts in five major focus areas: Toxic Substances and Areas of Concern; Invasive Species; Nearshore Health and Nonpoint Source Pollution; Habitat and Wildlife Protection and Restoration; Accountability, Education, Monitoring, Evaluation, Communication and Partnerships. Funded activities will advance protection and restoration of the Great Lakes ecosystem in support of (i) the Great Lakes Restoration Initiative as described in the Great Lakes Restoration Initiative Action Plan ([http://greatlakesrestoration.us/pdfs/glri\\_actionplan.pdf](http://greatlakesrestoration.us/pdfs/glri_actionplan.pdf)), (ii) the Great Lakes portion of Objective 2.02 (Protect and Restore Watersheds and Aquatic Ecosystems) of EPA's 2011-2015 Strategic Plan, and/or (iii) the Great Lakes Regional Collaboration Strategy to Protect and Restore the Great Lakes (<http://www.glrc.us/strategy.html>).

Funding Priority - Fiscal Year 2012: The Great Lakes Restoration Initiative (GLRI), guided by the Great Lakes Regional Collaboration Strategy, is a coordinated effort among EPA and the Great Lakes Federal Interagency Task Force to fund the highest priority activities in order to protect and restore the Great Lakes.

The President in 2009 announced a new Great Lakes Restoration Initiative, committing the federal government to significantly advance Great Lakes protection and restoration pursuant to that work. EPA has since then led the Interagency Task Force in development of a 2010-2014 Great Lakes Restoration Initiative Action Plan (Action Plan). The Action Plan, built upon the foundation of the GLRC Strategy and developed with stakeholder input from meetings throughout the Great Lakes, targets the most significant environmental problems in the Great Lakes ecosystem. The Action Plan is an action driver, articulating the most significant ecosystem problems and efforts to address them in five major focus areas:

- (i) Toxic Substances and Areas of Concern, including pollution prevention and cleanup of the most polluted areas in the Great Lakes.
- (ii) Invasive Species, including efforts to institute a "zero tolerance policy" toward new invasions.
- (iii) Nearshore Health and Nonpoint Source Pollution, including a targeted geographic focus on high priority watersheds and reducing polluted runoff from urban, suburban, and agricultural lands.
- (iv) Habitat and Wildlife Protection and Restoration, including bringing wetlands and other habitat back to life, and the first-ever comprehensive assessment of the entire 530,000 acres of Great Lakes coastal wetlands for the purpose of strategically targeting restoration and protection efforts in a science-based manner.
- (v) Accountability, Education, Monitoring, Evaluation, Communication and Partnerships, including the implementation of goal- and results-based accountability measures, learning initiatives, outreach and strategic partnerships.

The GLRI is placing a special priority on cleaning up and de-listing Areas of Concern, reducing phosphorus contributions from agricultural and urban lands that contribute to harmful algal blooms and other water quality impairments, and invasive species prevention.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

The statutory authority for awards from 2012/2013 funding is contained in Public Law 112-74 (the Department of the Interior, Environment, and Related Agencies Appropriations Act, 2012, Pub. L. No. 112-74), including administrative provisions authorizing grants "for planning, research, monitoring, outreach, and implementation for grants to and/or cooperative

agreements with governmental entities, nonprofit organizations, institutions, and individuals in furtherance of the Great Lakes Restoration Initiative and the Great Lakes Water Quality Agreement." Great Lakes Restoration Initiative implementation, as described above, includes but is not limited to land use activities, governmental partnerships and informed public participation, technology development, investigations, experiments, training, demonstrations, surveys, and studies to the extent consistent with the Great Lakes Regional Collaboration or the Great Lakes Restoration Initiative Action Plan.

The Statutory Authority to take action to implement the U.S. responsibilities under the Great Lakes Water Quality Agreement, which these awards will support, is contained in Section 118(c) of the Clean Water Act. The principal goal of the Great Lakes Water Quality Agreement is the restoration and maintenance of the chemical, physical, and biological integrity of the Great Lakes Ecosystem. For projects with international aspects the above statutes are supplemented, as appropriate, by the National Environmental Policy Act, Section 102(2)(F).

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved activities plus allowable indirect costs, in accordance with established EPA policies and regulations. Quality System Documentation is required for projects involving measurements or information that describe environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. Section 118 (c)(12) authorizes contaminated sediment remediation in Areas of Concern pursuant to eligible projects under the Great Lakes Legacy Act; however, these will be done through project cooperation agreements, rather than assistance.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Entities eligible to apply for grants include governmental entities, nonprofit organizations, institutions, and individuals. This includes state agencies; any agency or instrumentality of local government; interstate agencies; federally-recognized tribes and tribal organizations; colleges and universities that are subject to 40 CFR Part 30 or 40 CFR Part 31; non-profit organizations; and other public or non-profit private agencies, institutions, and organizations. Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230, means any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible applicants. "For profit" organizations are not eligible applicants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Beneficiaries include governmental entities, nonprofit organizations, institutions, and individuals. This includes state agencies; any agency or instrumentality of local government; interstate agencies; federally-recognized tribes and tribal organizations; colleges and universities that are subject to 40 CFR Part 30 or 40 CFR Part 31; non-profit organizations; and other public or non-profit private agencies, institutions, and organizations. Non-profit organization, as defined by OMB Circular A-122, located at 2 CFR Part 230,

means any corporation, trust, association, cooperative, or other organization which: (1) is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve, and/or expand its operations. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible applicants. "For profit" organizations are not eligible applicants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments," OMB Circular No. A-21 "Cost Principles for Educational Institutions," and of OMB Circular No. A-122 "Cost Principles for Nonprofit Organizations" apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Preapplication assistance is available. Requests for Initial Proposals and Proposals will be accessible on the Internet from GLNPO's home page (<http://www.epa.gov/glnpo/>) and an announcement will be mailed to organizations which have registered with GLNPO. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. As specified in applicable requests for proposals. Application kits may be requested from USEPA GLNPO (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604-3590. Application Packages should be submitted to the same address. Standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Proposals are evaluated by EPA reviewers to determine the adequacy of the application under Great Lakes objectives, including technical merit, relevance of the project, environmental outcomes, and cost. Administrative review is done by the Regional Assistance Branch. Funds are awarded by the Great Lakes National Program Office or Region 2, 3, or 5, as applicable. Great Lakes Restoration Initiative assistance is approved by the Great Lakes National Program Manager. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients

will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the Great Lakes National Program Office for information.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Leveraging, including an applicant's match percentage, will be considered as part of the project selection process for grants and cooperative agreements; however, the program does not expect to require any minimum match requirement. Any such requirement will be specified in the individual Request for Proposals. A minimum 35 percent matching requirement will apply to Legacy Act projects (Section 103 of the Great Lakes Legacy Act of 2002).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally 1-3 years; however, some incremental awards are made up to 5 years. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$69,626,000; FY 12 est \$100,000,000; and FY 13 est \$100,000,000 - Grants and Cooperative Agreements - FY 11 \$55,626,000; FY 12 est. \$50,000,000; and FY 13 est. \$50,000,000. Legacy Act (Project Agreements) - FY 11 \$14,000,000; FY 12 est. \$50,000,000; and FY 13 est. \$50,000,000.

**Range and Average of Financial Assistance:**

Grants and Cooperative Agreements. Range: \$15,000 to \$5,000,000. Average: approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The investments made under the Great Lakes Restoration Initiative (GLRI) are showing promising results in addressing the most critical environmental challenges facing the Great Lakes. Some of the notable achievements from GLRI include:

- The Presque Isle, Pennsylvania Area of Concern (AOC) will be delisted this year, now that all necessary management actions are complete. Eighteen Beneficial Use Impairments (BUIs) at ten different AOCs have been removed since GLRI's inception.

- One million cubic yards of contaminated sediments have been remediated in the basin.

- GLRI has been central to keeping self-sustaining Asian carp populations out of the Great Lakes. No new invasive species populations have been detected in the Great Lakes.

- GLRI funded projects contributed to the delisting of the Lake Erie watersnake under the Endangered Species Act.

- GLRI funded projects have contributed to a five-year low in swimming bans and advisories at Chicago's beaches.

- Over 13,000 acres are being managed in order to keep populations of invasive species controlled to a target level.

- GLRI funding has helped increase the number of acres within the Great Lakes basin subject to USDA conservation practices to approximately 270,000, an increase of more than 50%. GLRI funding is now being targeted at three priority subwatersheds to reduce phosphorus contributions from agricultural and urban lands that contribute to harmful algal blooms and other water quality impairments.

- Hundreds of river-miles have been cleared for fish passage by removing or bypassing barriers. Over 20,000 acres of wetland, coastal, upland, and island habitat have been protected, restored, or enhanced.

- Rapid response capabilities have been improved: six rapid response actions were performed in the fight against Asian carp, and four states have now updated their Aquatic Nuisance Species Management Plans to include rapid response capabilities.

Descriptions of Great Lakes Restoration Initiative projects are available from: [https://restore.glnpo.net/glas\\_pub/qareports.htm](https://restore.glnpo.net/glas_pub/qareports.htm). Fiscal Year 2012: GLNPO holds competitions throughout the year based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement typically includes the number of anticipated awards. In FY 12, GLNPO issued a competitive Request for Applications offering a total of \$20 million for nine categories of projects in the following four areas: Toxic Substances and Areas of Concern; Invasive Species; Nearshore Health and Nonpoint Source Pollution; and Accountability, Education, Monitoring, Evaluation, Communication and Partnerships. In response, applicants submitted 200 applications requesting approximately \$73 million. GLNPO also issues non-competitive grants to States and Tribes for LaMP and RAP activities and funds contaminates sediment remediation projects, in Great Lakes Areas of Concern, under the Great Lakes Legacy Act. Additional information is available from links at <http://www.epa.gov/grtlakes/fund/glf.html>. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Requests for Proposals, examples, and other Great Lakes funding information is available from <http://www.epa.gov/glnpo/fund/>. General regulations for EPA assistance programs are contained in 40 CFR Parts 30 through 47.

#### **Regional or Local Office:**

See Regional Agency Offices. USEPA Great Lakes National Program Office (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604-3590. Patricia Thompson, 312-886-6015, [thompson.patricia@epa.gov](mailto:thompson.patricia@epa.gov) Mike Russ, 312-886-4013, [russ.michael@epa.gov](mailto:russ.michael@epa.gov).

#### **Headquarters Office:**

Mike Russ, EPA, Great Lakes National Program, Office (G-17J), 77 West Jackson Boulevard, Chicago, Illinois 60604 Email: [russ.michael@epa.gov](mailto:russ.michael@epa.gov) Phone: (312) 886-4013.

#### **Website Address:**

<http://www.epa.gov/glnpo/fund/>

#### **RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants and cooperative agreements were awarded to governmental entities, nonprofit organizations, and institutions for planning, research, monitoring, outreach, and implementation in support of the Great Lakes Restoration Initiative. Projects were funded within the focus areas of: (i) Toxic Substances and Areas of Concern, including pollution prevention and cleanup of the most polluted areas in the Great Lakes; (ii) Invasive Species, including efforts to institute a "zero tolerance policy" toward new invasions; (iii) Nearshore Health and Nonpoint Source Pollution, including a targeted geographic focus on high priority watersheds and reducing polluted runoff from urban, suburban and, agricultural sources; and (iv) Accountability, Education, Monitoring, Evaluation, Communication and Partnerships, including the implementation of goal- and results-based accountability measures, learning initiatives, outreach and strategic partnerships. Under the Great Lakes Legacy Act, projects were also funded through contracts for remediation of contaminated sediments in Great Lakes Areas of Concern. Project descriptions will be available from: [https://restore.glnpo.net/glas\\_pub/qareports.htm](https://restore.glnpo.net/glas_pub/qareports.htm). Fiscal Year 2012: Grants and cooperative agreements will be awarded to governmental entities, nonprofit organizations, and institutions for planning, research, monitoring, outreach, and implementation in support of the Great Lakes Restoration Initiative. Projects will be funded within the focus areas of: (i) Toxic Substances and Areas of Concern, including pollution prevention and cleanup of the most polluted areas in the Great Lakes; (ii) Invasive Species, including efforts to institute a "zero tolerance policy" toward new invasions; (iii) Nearshore Health and Nonpoint Source Pollution, including a targeted geographic focus on high priority watersheds and reducing polluted runoff from urban, suburban and, agricultural sources; and (iv) Accountability, Education, Monitoring, Evaluation, Communication and Partnerships, including the implementation of goal- and results-based accountability measures, learning initiatives, outreach and strategic partnerships. Under the Great Lakes Legacy Act, projects will also be funded through contracts for remediation of contaminated sediments in Great Lakes Areas of Concern. Project descriptions will be available from: [https://restore.glnpo.net/glas\\_pub/qareports.htm](https://restore.glnpo.net/glas_pub/qareports.htm). Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Proposals are approved by EPA according to technical merit and relevance to the Great Lakes Water Quality Agreement, Section 118 of the Clean Water Act, and the criteria established in the applicable Request for Proposals.

#### **66.471 STATE GRANTS TO REIMBURSE OPERATORS OF SMALL WATER SYSTEMS FOR TRAINING AND CERTIFICATION COSTS**

(Operator Certification Expense Reimbursement Grants)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Safe Drinking Water Act (SDWA) Amendments of 1996, Section 301, Public Law 104-182.

#### **OBJECTIVES:**

This grant program was established as a one-time grant to states and U.S. territories to train and certify small drinking water system operators.

Funding Priority - Fiscal Year 2012: EPA's funding priority has been to provide funds to states to reimburse the costs of training, including an appropriate per diem for unsalaried operators, and certification for persons operating community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are required to undergo training pursuant to EPA's

operator certification guidelines. The Operator Expense Reimbursement Grant (ERG) program will close at the end of calendar year 2012.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used by states to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification needed to meet EPA guidelines. Unpaid operators may also be reimbursed for per diem costs. States are allowed to use a portion of their grant to administer the program. If a state has reimbursed all such costs, the state may, after notice to the Administrator of EPA, use any remaining funds from the grant for any of the other purposes authorized for Drinking Water State Revolving Fund (DWSRF) capitalization grants under section 1452 of the 1996 SDWA Amendments (CFDA 66.468).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States, Puerto Rico, and U.S. Territories are eligible to receive grants.

**Beneficiary Eligibility:**

States and U.S. Territories are the primary beneficiaries. States and U.S. Territories use funds awarded to them to provide reimbursement to operators of community and nontransient noncommunity public water systems serving 3,300 persons or fewer that are publicly- or privately-owned. Indian tribes and Alaska Native Villages may be eligible to receive funding through state programs if they are subject to state operator certification program requirements.

**Credentials/Documentation:**

To receive a grant, a State or territory enters into an agreement with the EPA Regional Administrator which shall include, but not be limited to, the requirements set forth in Section 1419(d) of the 1996 SDWA Amendments. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments" applies to state grantees. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant (State and U.S. territory) should seek preapplication assistance from the appropriate EPA Regional Office as listed in Appendix IV of the Catalog. An environmental impact statement is not required prior to grant award. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application for EPA non-construction grant assistance (EPA Form SF-424) is submitted to the appropriate Regional Office. The state must receive EPA approval of its operator certification program before it can apply for and receive a grant. The state must provide the assurance in its application that it will comply with all applicable Federal cross-cutting authorities and Federal statutes. EPA grant regulations (40 CFR Part 31) apply to states receiving grants. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

A grant application is reviewed by the appropriate Regional Office, and if approved, the grant is awarded by the Regional Administrator under a delegation of authority (Delegation of Authority 9-68) from the Administrator of EPA. EPA Headquarters retains the authority to review certain applications

or parts thereof.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approval time averages 45 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 66 FR 19939.

Matching Requirements: The Regional Administrator may award expense reimbursement grants from funds appropriated for this purpose. Allotments to the States and U.S. territories are based on a formula, approved by the Assistant Administrator for Water, that allocates the funds based on several factors, including the number of operators of small systems within a State. The allocation methodology was published in the Federal Register on April 18, 2001 (66 FR 19939). There are no matching requirements on the initial grant award. However, if a state reimburses all eligible costs and chooses to use the remaining funds for purposes eligible under the DWSRF program (CFDA 66.468), it will be required to provide a 20 percent match on the remaining amount. The allotment of funds to the States is determined by a formula that reflects the costs to train and certify operators of system serving 3,300 persons or fewer in each state.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

During the two year reimbursement period, 54 awards were made to states for reimbursement of certification and training cost for drinking water operators of small water systems serving populations of 3,300 or less. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and inventory reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records and other records which substantiate the reasonable and allocable charges must be available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status reports. If questions arise, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$14,420 to \$9,642,860/fiscal year; \$4,828,640/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: All states, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program to date. In FY 11, awarded funds were used to reimburse operators of community and non-transient non-community water systems serving 3,300 persons or fewer for the costs of certification (initial certification fees, certification renewal fees, exam fees) and training (training course fees and materials). Fiscal Year 2012: In FY 12, awarded funds will continue to be used to reimburse operators of community and non-transient non-community water systems serving 3,300 persons or fewer for the costs of certification (initial certification fees, certification renewal fees, exam fees) and training (training course fees and materials). Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants for assistance should review 40 CFR Part 31, the General Grant Regulations and Procedures and guidance produced by the Headquarters drinking water program office.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog, or online.

**Headquarters Office:**

Allison Watanabe Protection Branch (4606M), Drinking Water Protection Division, Office of Groundwater and Drinking Water, U.S. Environmental Protection Agency, Washington, District of Columbia 20460 Email: watanabe.allison@epa.gov Phone: (202) 564-0128

**Website Address:**

<http://www.epa.gov/safewater/operatorcertification/>

**RELATED PROGRAMS:**

66.468 Capitalization Grants for Drinking Water State Revolving Funds

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: All States, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program. Funds for this grants program are being used to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification. Examples of eligible reimbursement costs included: initial certification fees, certification renewal fees, examination fees, costs of training courses, and mileage reimbursements. Fiscal Year 2012: All States, Puerto Rico, the Commonwealth of the Northern Mariana Islands, and Guam have received grant funds for this program. Funds for this grants program are being used to reimburse operators of community and nontransient noncommunity water systems serving 3,300 persons or fewer for the costs of training and certification. Examples of eligible reimbursement costs included: initial certification fees, certification renewal fees, examination fees, costs of training courses, and mileage reimbursements. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to States that satisfy the requirements outlined in the application procedure section.

**66.472 BEACH MONITORING AND NOTIFICATION PROGRAM IMPLEMENTATION GRANTS**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 406; Beaches Environmental Assessment and Coastal Health Act of 2000, Public Law 106-284.

**OBJECTIVES:**

To assist Coastal and Great Lakes States and Tribes eligible under Section 518(e) of the Clean Water Act, as amended, in developing and implementing programs for monitoring and notification for coastal recreation waters adjacent to beaches or similar points of access that are used by the public.

Funding Priority - Fiscal Year 2012: EPA's funding priority is to award grants to those applicants whose proposals clearly demonstrate a State's, Tribe's, or local government's ability to monitor recreational waters; notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

These grants are intended to support the development and implementation of recreational water monitoring and notification programs or support enhancement of an existing program. EPA encourages grantees to use implementation grant funds to test various approaches for meeting BEACH Act program requirements. For development grants, programs must clearly demonstrate an increase in a State's, Tribe's, or local government's ability to monitor recreational waters and notify the public of risks; manage programs; and communicate among environmental and public health agencies and the public. To be eligible for implementation grants, programs must also demonstrate that they meet the program performance criteria listed in the National Beach Guidance and Required Performance Criteria for Grants (EPA-823-B-02-004). Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Coastal and Great Lakes States, territories (Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands), and Tribes eligible under Section 518(e) of the Clean Water Act, as amended. The Administrator may make a grant to a local government under this subsection for implementation of a monitoring and notification program only if, after the one-year period beginning on the date of publication of performance criteria under Section 406 (a)(1), the Administrator determines that the State is not implementing a program that meets the requirements of Section 406(a)(1), regardless of whether the State has received a grant under Section 406(a)(1). Interstate agencies and intertribal consortia are not eligible for Beach grants.

**Beneficiary Eligibility:**

States, U.S. territories, Federally recognized Indian Tribal Governments, environmental and public health agencies, and local governments involved in implementing monitoring and notification programs.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, Tribal, and local governments. Recipients must show compliance with 40 CFR Part 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination with the appropriate EPA Regional Office is encouraged. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102, must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms

should be made to the appropriate EPA Regional Grants Management Office identified in Appendix IV of the Catalog. Completed applications should be sent to the appropriate Regional or Headquarters Contact. All proposals or work statements should be developed in response to the criteria identified in CRITERIA FOR SELECTING PROPOSALS. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA Regional Office, and if approved, are awarded by the Regional Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within five months of receipt of complete application.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Renewals are subject to approval by the appropriate EPA Regional or Headquarters Contact. Please contact the appropriate EPA Regional or Headquarters Contact for guidance.

**Formula and Matching Requirements:**

Statutory Formula: Title Beaches Environmental Assessment and Coastal Health Act of 2000. EPA awards grants to all eligible States and territories who apply for funding based on an allocation formula that the Agency developed for allocating BEACH Act grant funds in 2002. The allocation formula uses three factors: (1) beach season length, (2) beach miles, and (3) beach use. This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Beach grants are normally funded on a 12-month basis (yearly). However, EPA may negotiate the project period, grant continuations, and grant amendments with each applicant based on project requirements. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

Recipients must submit annual performance reports and financial reports as required in 40 CFR 31.40 and 31.41. The annual performance report explains changes to the beach monitoring and notification program during the grant year. It also describes how the grant funds were used to implement the program to meet the performance criteria listed in the National Beach Guidance and Required Performance Criteria for Grants (EPA 823-B-02-004). The annual performance report required under 40 CFR 31.40 is due no later than 90 days after the grant year ends. Recipients must also submit annual monitoring and notification reports required by the National Beach Guidance and Required Performance Criteria for Grants (EPA 823-B-02-004). Sections 2.2.3 and 4.3 of the document contain the performance criterion requiring an annual monitoring report, and sections 2.2.8 and 5.4 contain the performance criterion requiring an annual notification report. This document can be found at [http://water.epa.gov/grants\\_funding/beachgrants/guidance\\_index.cfm](http://water.epa.gov/grants_funding/beachgrants/guidance_index.cfm). These reports are required to be submitted to EPA under CWA section 406(b)(3)(A) and the National Beach Guidance and Required Performance Criteria for Grants, and include data collected as part of a monitoring and notification program. As a condition of award of an implementation grant, EPA requires that the monitoring report and the notification report for any beach season be submitted no later than January 31 of the year following the beach season. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$11,001,300; FY 12 est \$9,864,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

States and territories: \$ 150,000 to \$516,000/fiscal year; \$280,000/fiscal year. In FY 12, EPA made \$150,000 available to eligible Tribes. In FY 12, there were three eligible Tribes.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, EPA awarded grants to all 35 coastal and Great Lakes States and territories and two eligible Tribes that qualified for the BEACH Act Grant program. Program benefits from funding in FY 11 include: development and implementation of recreational water quality monitoring protocol (sampling design, indicator organism); decreasing swimmer exposure by improving communication outreach and education to public on swimming advisories; establishing more efficient and timely management decision process for posting swimming advisories; and constructing databases to provide government and public access to data and information. Fiscal Year 2012: In FY 12, grants will continue to support the development and implementation of recreational water quality monitoring and notification programs or support enhancement of an existing program. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Region I (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island) Caitlyn Whittle, USEPA Region 1, 5 Post Office Square, Suite 100 (OEP06-1), Boston, MA 02109-3912; Telephone: (617) 918-1748; FAX: (617) 918-0748; e-mail: [whittle.caitlyn@epa.gov](mailto:whittle.caitlyn@epa.gov)

Region II (New Jersey, New York, Puerto Rico, U.S. Virgin Islands) Helen Grebe, USEPA Region 2, 2890 Woodbridge Ave. MS220, Edison, NJ 08837-3679; Telephone: (732) 321-6797; FAX: (732) 321-6616; e-mail: [grebe.helen@epa.gov](mailto:grebe.helen@epa.gov)

Region III (Delaware, Maryland, Pennsylvania, Virginia) Denise Hakowski, USEPA Region 3, 1650 Arch Street 3WP30, Philadelphia, PA 19103-2029; Telephone: (215) 814-5726; FAX: (215) 814-2318; e-mail: [hakowski.denise@epa.gov](mailto:hakowski.denise@epa.gov)

Region IV (Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina) Joel Hansel, USEPA Region 4, 61 Forsyth St. 15th Floor, Atlanta, GA 30303-3415; Telephone: (404) 562-9274; FAX: (404) 562-9224; e-mail: [hansel.joel@epa.gov](mailto:hansel.joel@epa.gov)

Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin);Holly Wirick, USEPA Region 5, 77 West Jackson Blvd. WT-16J, Chicago, IL 60604-3507; Telephone: (312) 353-6704; FAX: (312) 886-0168; e-mail:



wirick.holiday@epa.gov

Region VI (Louisiana, Texas) Daniel Reid, USEPA Region 6, 1445 Ross Ave. 6WQ-EW, Dallas, TX 75202-2733; Telephone: (214) 665-6536; FAX: (214) 665-6689; e-mail:reid.daniel@epa.gov

Region IX (American Samoa, Commonwealth of the Northern Mariana Islands, California, Guam, Hawaii) Terry Fleming, USEPA Region 9, 75 Hawthorne St. WTR-2, San Francisco, CA 94105; Telephone: (415) 744-1939; FAX: (415) 744-1078; e-mail: fleming.terrence@epa.gov

Region X (Alaska, Oregon, Washington) Rob Pedersen, USEPA Region 10, 120 Sixth Ave. OW-134, Seattle, WA 98101; Telephone: (206) 553-1646; FAX: (206) 553-0165; e-mail: pedersen.rob@epa.gov.

**Headquarters Office:**

Richard Healy, USEPA, 1200 Pennsylvania Ave. NW, (4305T), Washington, District of Columbia 20460 Email: healy.richard@epa.gov Phone: (202) 566-0405.

**Website Address:**

<http://www.epa.gov/waterscience/beaches>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Development and implementation of beach monitoring programs; development of databases and websites; purchase of lab equipment for water quality monitoring; construction and posting of signs on beaches; and purchase of vehicles for monitoring. Fiscal Year 2012: Development and implementation of beach monitoring programs; development of databases and websites; purchase of lab equipment for water quality monitoring; construction and posting of signs on beaches; and purchase of vehicles for monitoring. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

To be eligible for program implementation grants, applicants must meet program performance criteria outlined in National Beach Guidance and Required Performance Criteria for Grants (EPA-823-B-02-004). The performance criteria set forth implementation grant requirements for monitoring and assessing recreation waters and promptly notifying the public of exceedances of water quality for pathogens. As a condition of receipt of a program Implementation Grant under Section 406(b) of the Clean Water Act, a State or local government program for monitoring and notification under this section shall identify: (1) lists of coastal recreation waters in the State, including coastal recreation waters adjacent to beaches or similar points of access that are used by the public; (2) in the case of a State program for monitoring and notification, the process by which the State may delegate to local governments responsibility for implementing the monitoring and notification program; (3) the frequency and location of monitoring and assessment of coastal recreation waters based on: (a) the periods of recreational use of the waters; (b) the nature and extent of use during certain periods; (c) the proximity of the waters to known point sources and nonpoint sources of pollution; and (d) any effect of storm events on the waters; (4)(a) the methods to be used for detecting levels of pathogens and pathogen indicators that are harmful to human health; and (b) the assessment procedures for identifying short-term increases in pathogens and pathogen indicators that are harmful to human health in coastal recreation waters (including increases in relation to storm events); (5) measures for prompt communication of the occurrence, nature, location, pollutants involved, and extent of any exceeding of, or likelihood of exceeding, applicable water quality standards for pathogens and pathogen indicators to: (a) the Administrator, in such form as the Administrator determines to be appropriate; and (b) a designated official of a local government having jurisdiction over land adjoining the coastal recreation waters for which the failure to meet applicable standards is identified; (6) measures for the posting of signs at beaches or similar points of access, or functionally equivalent communication measures that are sufficient to give notice to the public that the coastal recreation waters are not meeting or are not expected to meet applicable water quality standards for pathogens and pathogen indicators; and (7) measures that inform the public of the potential risks

associated with water contact activities in the coastal recreation waters that do not meet applicable water quality standards.

**66.473 DIRECT IMPLEMENTATION TRIBAL COOPERATIVE AGREEMENTS**

(DITCA)

**FEDERAL AGENCY:**

Office of International and Tribal Affairs, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Act, 2006, Public Law 109-54.

**OBJECTIVES:**

Direct Implementation Tribal Cooperative Agreements (DITCAs) enable EPA to award cooperative agreements to federally recognized Indian tribes and eligible intertribal consortia to help carry out the Agency's function to implement directly, Federal environmental programs required or authorized by law in the absence of an acceptable tribal program, notwithstanding the Federal Grant and Cooperative Agreement Act. DITCAs are an increasingly important avenue for EPA and the tribes to realize meaningful environmental protection in Indian Country. DITCAs enable EPA to partner with tribes to help fulfill EPA's direct implementation authorities, yield environmental results, and assist the Agency in meeting its Strategic Plan goals and targets. DITCAs also provide tribes with flexibility and opportunity by allowing tribes, through a workplan with EPA and under federal authority, to choose aspects of a program that address their tribal environmental needs and priorities, to determine the scope and pace of tribal involvement, and to build tribal capacity to implement environmental programs.

Funding Priority - Fiscal Year 2012: The program provides another avenue for tribes and EPA to partner in implementing meaningful environmental protection in Indian Country. DITCAs provide tribes with the flexibility and opportunity to develop staff capacity to manage environmental programs, to address specific tribal environmental needs and priorities that are within EPA's authority for direct implementation, and to determine the scope and pace of tribal involvement. EPA retains final decision-making authority and ultimate responsibility for the environmental programs including all regulatory activities. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: 1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or 2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. Because DITCAs can address a wide range of activities, and the need for implementation of these activities in Indian Country is great, the funding priority is for any eligible activity that addresses a tribal environmental need or priority, and yields meaningful environmental results for the tribe and the Agency.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

DITCAs assist Tribes in helping EPA directly implement Federal environmental programs required or authorized by law in the absence of an acceptable Tribal program, and may only be awarded to Tribes to assist the Administrator in directly implementing Federal environmental programs for Indian Tribes required or authorized by law. EPA may award DITCAs to fund activities for environmental programs that meet either one of the following criteria: 1) federal programs under environmental laws that clearly require EPA to directly implement in the Tribal context; or 2) federal programs under environmental laws that in the state context EPA is required to directly implement in the absence of an acceptable state program. There are several limitations on DITCA awards. Among them are: (1) The statutory authority for DITCA is found in appropriations acts. In the event the appropriation authority is extended by continuing resolution(s), the DITCA authority will also be extended. (2) The project period of the DITCA may extend beyond the period of the appropriations act under which it was created, but all funds must be awarded prior to the expiration of the appropriations act authorizing the DITCA. (3) DITCA funded personnel may not perform inherently Federal functions. (4) EPA personnel can provide assistance to DITCA representatives

based on the written DITCA work plan which may include daily direction. EPA cannot treat DITCA representatives as EPA employees by participating in hiring, disciplining, or firing decisions. (5) DITCA funded personnel cannot operate vehicles which are either owned or leased by the Federal government. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

DITCAs may be awarded to: (1) Federally Recognized Indian Tribal Government, and (2) intertribal consortia consistent with applicable provisions. In order for an intertribal consortium to be eligible to receive cooperative agreements under this authority, an intertribal consortium should be consistent with the provisions in 40 C.F.R. Part 35. See Notice of Guidance Issuance: Direct Implementation Tribal Cooperative Agreements (DITCAs) Guidance, 70 Fed. Reg 1440 (2005).

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Government and intertribal consortia consistent with applicable provisions.

**Credentials/Documentation:**

The provisions of OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments" apply. In order for intertribal consortium to be eligible to receive cooperative agreements under this authority, an intertribal consortium should be consistent with the provisions in 40 CFR Part 35. For additional information see also the Notice of Guidance Issuance, 70 Fed. Reg. 1440 (2005). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. EPA will work with Tribes and Intertribal Consortia to develop work plans consistent with program guidance and any regulations that govern the implementation of the relevant Federal environmental program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The preapplication must be submitted to EPA for review. Successful applicants will be contacted by EPA and will be required to submit "Application for Federal Assistance," SF 424; "Budget Information: Non-Construction Programs," SF 424A, "Assurances-Non-Construction Programs, Certification Regarding Debarment, Suspension and Other Responsibility Matters," SF 424B; "Certification Regarding Lobbying;" "Pre-Award Compliance Review," EPA 4700-4; and other required forms to complete the application process. Eligible applicants should contact the appropriate Regional Office Contact identified in Appendix IV of the Catalog of information regarding preapplications. The forms are available at: <http://www.epa.gov/ogd/AppKit/application.htm>. Completed applications should be submitted to the appropriate Regional Office Contact identified in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA will review each application to determine the adequacy of the application in relation to EPA's grant regulations (40 CFR Part 31) and applicable program regulations and guidance. If the application is approved, EPA will award a cooperative agreement up to the reasonable and necessary cost of the approved work plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applications are generally approved and cooperative agreements awarded within 60 to 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Cooperative agreement amounts awarded will be determined based on the total amount available for awards and the amounts requested by Tribes and Intertribal Consortia.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally awards cooperative agreements for periods of 12 to 36 months.

The term of the grant shall be determined at the time of award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA and Tribes will negotiate the frequency and content of performance and financial status reports. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 35, "Environmental Program Grants for Tribes." Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual Financial Status Report (SF-269). If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,900,000; FY 12 est \$1,900,000; and FY 13 est \$1,900,000

**Range and Average of Financial Assistance:**

EPA expects cooperative agreement amounts to range between \$10,000 and \$100,000/fiscal year; Average: \$55,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were over 30 active cooperative agreements in FY 2011. Examples of projects addressed by DITCAs continued to include regulatory oversight of Public Water Systems, to perform evaluation work, to develop products and to provide training; Source Water assessment and contingency planning; Continued development of Underground Storage Tank (UST) and Leaking Underground Storage Tank (LUST) Prevention programs. Fiscal Year 2012: The information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency and applicable EPA guidance. DITCA guidance is available at <http://www.epa.gov/indian/pdfs/ditca-guidance-2004.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. EPA's Regional Indian Coordinators at <http://www.epa.gov/indian/contactinfo/regcontacts.htm>.

**Headquarters Office:**

Jeff Besougloff, American Indian Environmental Office (2690M), EPA, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: [besougloff.jeff@epa.gov](mailto:besougloff.jeff@epa.gov) Phone: (202) 564-0292.

**Website Address:**

<http://www.epa.gov/indian/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of DITCAs funded activities include: water quality standards promulgation and review; implementation of the National Pollutant Discharge Elimination System permit program under the Clean Water Act; implementation plan development and the Title V permit program under the Clean Air Act; implementation of the Public Water System Supervision program and the Underground Injection Control program under the Safe Drinking Water Act; implementation of the Underground Storage Tank program and the Subtitle C permit program under the Resource Conservation and Recovery Act; certification and training program for pesticide applicators under the Federal Insecticide, Fungicide, and Rodenticide Act; inventory of underground storage tanks; and creation and implementation of a smoke management plan under the Clean Air Act. Fiscal Year 2012: The information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements may be awarded to Tribes which submit applications consistent with EPA regulations and guidance. Potential applicants should work with Regional contacts listed as "Information Contacts" identified in Appendix IV of the Catalog. EPA will work with Tribes and Intertribal Consortia to develop work plans consistent with program guidance and any regulations that govern the implementation of the relevant Federal environmental program.

**66.474 WATER PROTECTION GRANTS TO THE STATES****FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Consolidated Appropriations Resolution of 2003, Public Law 108-7; Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act, 2002, Public Law 107-117; Consolidated Appropriations Resolution of 2004, Public Law 108-199; Safe Drinking Water Act, Section 1442.

**OBJECTIVES:**

The objective of this grant program is to assist States, Territories, and possessions of the United States with critical water infrastructure protection.

Funding Priority - Fiscal Year 2012: EPA's funding priority is to provide grant assistance to the States, Territories, and possessions of the United States to support technical assistance, training, and communication activities on critical water infrastructure protection efforts that include work with drinking water

systems as well as with Federal, State, and local agencies. States, Territories, and possessions of the United States will be able to continue their efforts to coordinate critical water infrastructure protection activities with other homeland security responsibilities. Grant awards support Goal 2, "Clean and Safe Water," of EPA's Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness; communicating vision, mission, and goals of the sector specific plan and the key features of an active and effective security program; helping to ensure security best practices for small systems; promoting outreach and education at small systems; promoting mutual aid compacts development; supporting the development of system redundancy, a national laboratory system and disaster mitigation plans; and developing and overseeing emergency response and recovery plans, including those related to pandemic flu concerns. No new appropriations are available for this program in FY 2012.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funded activities include providing: (1) technical assistance, training, or distribution of tools that would lead to satisfactory vulnerability assessments of drinking water systems; (2) technical assistance, training, or distribution of tools that would lead to drinking water systems creating, amending or updating emergency response plans to meet new requirements or security threats; (3) assistance to improve communications with or between drinking water systems and other agencies or organizations involved with security or emergency response; and (4) other activities focusing on training to enhance security and improving the readiness of individuals and groups involved in first response at drinking water systems. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is available to States, Tribes, Territories, and possessions of the United States.

**Beneficiary Eligibility:**

Water programs of States, Territories, and possessions of the United States.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application assistance is recommended and should be obtained from the Grants Management Office of the pertinent EPA Regional Office listed in Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms, furnished by EPA and required by OMB Circular No. A-102, must be used for this program. Requests for application kits may be directed to the Grants Management Office of the applicable EPA Regional Office listed in Appendix IV of the Catalog. Kits may also be obtained online at <http://www.epa.gov/ogd/AppKit/application.htm>. The completed application, including the final proposal, should be submitted to the appropriate EPA Regional Grants Management Office. Applicants may be able to use

<http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Application is reviewed by the appropriate EPA Regional Office and, if approved, is signed by the Regional Administrator or designated Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title PWSS formula. As was the case in FY 02 through FY 08, for FY 09 a modification of the basic PWSS formula was chosen to allocate the funds, with each State, the District of Columbia, and Puerto Rico receiving a minimum of \$50,000 and each Territory at least \$16,700.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project/budget period on these grants may exceed one year. The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$397,100; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Funds are awarded by each Regional Office. The range of financial assistance

available to States varies according to program and fiscal year. Contact the Grants Management Office of the pertinent EPA Regional Office, listed in Appendix IV of the Catalog, to determine the amount for which applicants are eligible. The range and average of financial assistance provided is: FY 09 - \$16,700 to \$380,300/fiscal year; \$198,500/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, States and Territories continued to develop materials (i.e., documents, training manuals, etc.) focused on improving security and emergency response, ensuring the quality of drinking water vulnerability assessments, and associated security enhancements. Additionally, States and Territories conducted a number of trainings, workshops, and/or conferences to improve infrastructure protection, increase preparedness, promote mutual aid compacts and/or provide information to drinking water utilities. Significant action has been accomplished in helping to support and establish mutual aid compacts, including providing technical support and training exercises related to these agreements. Outcomes included changed management and operation of drinking water utilities based on training and current vulnerability assessments of the utilities; and establishment and improvement of emergency response coordination and communications. During this time, States and Territories continued to use prior allocated funding to accomplish goals, as new money for the initiative was not available. Fiscal Year 2012: In FY 12, States and Territories continued to support security activities to achieve the overall outcome of improving critical water infrastructure protection with an emphasis on smaller systems, mutual aid compacts between systems and States, and better understanding and application of an active and effective security system. During this period, the States and Territories continued to use prior allocated funding to achieve these goals, as no new funding was available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31, General Regulation for Assistance Programs; EPA Annual Program Guidance provided to States.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Grants Management Office of the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Nancy Muzzy, Water Security Division, EPA, (Mail Code 140), 26 W. Martin Luther King Drive, Cincinnati, Ohio 45268 Email: [muzzy.nancy@epa.gov](mailto:muzzy.nancy@epa.gov) Phone: (513) 569-7864.

**Website Address:**

<http://cfpub.epa.gov/safewater/watersecurity/publications.cfm>

**RELATED PROGRAMS:**

66.432 State Public Water System Supervision

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: EPA has supported the following types of drinking water security activities: (1) improving communications to drinking water systems by updating drinking water system contact information and utilizing a mass faxing system; (2) providing onsite assistance for small drinking water systems on security issues; (3) developing and mailing security information kits to drinking water systems; (4) maintaining a duty officer program and toll free number to enable operators to reach state drinking water agency after hours; (5) assisting in the formation of neighborhood watch programs to increase citizen awareness of drinking water security; (6) developing guidance for water utilities to use alternative water supplies; (7) incorporating security considerations into state design standards and State Revolving Fund (SRF) criteria; (8) creating websites to provide easy access to state drinking water security information; (9) designing and conducting on-line training, videos, and materials for the law enforcement community to outline water utility security basics; (10) conducting emergency response exercises and drills; (11) creating ready-to-go complete sampling kits to eliminate delays in obtaining bottles and preparing expedited sampling and transport protocols in preparation for emergency water supply collection needs; (12) assisting in preparation of state plans to implement measures for safe drinking water under emergency circumstances; and (13) facilitating mutual aid compacts in instances of emergency need, between states and water systems. Fiscal Year 2012: EPA has supported the following types of drinking water security activities: (1) improving communications to drinking

water systems by updating drinking water system contact information and utilizing a mass faxing system; (2) providing onsite assistance for small drinking water systems on security issues; (3) developing and mailing security information kits to drinking water systems; (4) maintaining a duty officer program and toll free number to enable operators to reach state drinking water agency after hours; (5) assisting in the formation of neighborhood watch programs to increase citizen awareness of drinking water security; (6) developing guidance for water utilities to use alternative water supplies; (7) incorporating security considerations into state design standards and State Revolving Fund (SRF) criteria; (8) creating websites to provide easy access to state drinking water security information; (9) designing and conducting on-line training, videos, and materials for the law enforcement community to outline water utility security basics; (10) conducting emergency response exercises and drills; (11) creating ready-to-go complete sampling kits to eliminate delays in obtaining bottles and preparing expedited sampling and transport protocols in preparation for emergency water supply collection needs; (12) assisting in preparation of state plans to implement measures for safe drinking water under emergency circumstances; and (13) facilitating mutual aid compacts in instances of emergency need, between states and water systems. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Proposals are approved by EPA according to technical merit and relevance, and availability of funds.

#### **66.475 GULF OF MEXICO PROGRAM**

(Gulf of Mexico Alliance Regional Partnership Projects)

#### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), 33 U.S.C 1254.

#### **OBJECTIVES:**

(1) To assist States, Indian Tribes, interstate agencies, and other public or nonprofit organizations in developing, implementing, and demonstrating innovative approaches relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution; and (2) To expand and strengthen cooperative efforts to restore and protect the health and productivity of the Gulf of Mexico in ways consistent with the economic well-being of the region.

Funding Priority - Fiscal Year 2012: Projects that will deliver significant results to achieve the environmental outcomes of improved health of the Gulf of Mexico by restoring and conserving habitat, restoring water quality, replenishing and protecting living marine resources, enhancing community resilience, and furthering environmental education.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Section 104 (b)(3) of the Clean Water Act, 33 U.S.C. Section 1254 (b)(3) authorizes the awarding of assistance for programs established under the Clean Water Act. Assistance will be targeted to States, Tribes, interstate agencies, and other public or nonprofit organizations that commit to specific activities. Eligible activities should be of a relatively short time frame (6 months to 3 years) and all projects should achieve and demonstrate results. Assistance agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, research, and demonstrations plus allowable indirect costs, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal

Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Funds are available to State and local governments, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments, interstate agencies, Tribes, colleges and universities, and other public or nonprofit organizations.

#### **Credentials/Documentation:**

Compliance with 40 CFR Parts 30 and 31 and with Program Funding Guidance. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-122 for nonprofit organizations, and OMB No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should follow the proposal format and instructions provided in the Funding Announcement. The proposal should be transmitted electronically to the email address and by the date and time published in the Funding Announcement. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 90-180 days following the application deadline as addressed in the competitive funding announcement.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Contact the Gulf of Mexico Program Office for information.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The terms of the assistance shall be determined at time of award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,571,200; FY 12 est \$1,846,000; and FY 13 est \$1,850,000

**Range and Average of Financial Assistance:**

\$36,000 to \$400,000/fiscal year; \$149,460/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, 93 proposals were received in response to a competition to support projects to accomplish short-term actions toward implementation of the Gulf of Mexico Alliance Governors' Action Plan for Healthy and Resilient Coasts. Accomplishments include: dissemination and evaluation of a Coastal Community Resilience Index; development of a StormSmart Coast Network and creation of a Homeowner's Handbook to prepare for natural hazards; support to further the knowledge of living marine resources status in the Gulf of Mexico and coastal observing systems; building cultural competency in experiential environmental education; providing enhanced public awareness and understanding of the Gulf Alliance priority issues through exhibit; assessment and prioritization of Gulf ecosystems affected by alterations in freshwater inflow; development of a pilot nutrient criteria for an estuary in the Western Gulf of Mexico; sources, fate, transport and effects of nutrients on downstream ecological processes in the Galveston Bay estuary; binational training workshops on harmful algal blooms in support of HABSOS; achieving Gulf-wide data comparability through round robins; and assessment of mercury risks and selenium. Fiscal Year 2012: Competitions are held based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For assistance agreements with States, local governments, and Indian tribal governments, the procedures and requirements should be in conformance with

40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and OMB Circular Nos. A-87 "Cost Principles for State and Local Governments" and A-102 "Grants and Cooperative Agreements for States and Local Governments." For assistance agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**Regional or Local Office:**

See Regional Agency Offices. Contact the EPA Region 4 Office listed in Appendix IV of the Catalog for information on the grants administration process. Local Office: EPA/Gulf of Mexico Program Office, Mail Code EPA/GMPO, Stennis Space Center, MS 39529, Attention: Lael Butler. Telephone: 228-688-1576. FAX: 228-688-2709. E-Mail: butler.lael@epa.gov.

**Headquarters Office:**

Gerry Martin EPA/Gulf of Mexico Program Office, Mail Code EPA/GMPO, Stennis Space Center, Mississippi 39529 Email: martin.gerry@epa.gov Phone: 228-688-1281

**Website Address:**

<http://www.epa.gov/gmpo/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Water quality modeling support, wetlands resource management baseline, harmful algal bloom information exchange, seagrass restoration, nutrient control/monitoring of eutrophication, stormwater biofilter demonstration, marshland upwelling system, point source locations, wastewater treatment feasibility study, nutrient modeling, waterbird rookery management, outreach and communications strategy targeted at high-risk consumers of shellfish, invasive species education exhibit, inventory of marine science research, assessment of introduction of nonindigenous aquatic species from ballast water, septic tank maintenance, response plan for harmful algal blooms, assessment of groundwater discharge and sewage impacts, reducing onsite sewage treatment system impacts, nutrient flux from sediments, monitoring and assessment of stormwater diversion, assessment status of invasive species, bacterial source tracking, smart growth planning, wetland inventory, acute pollution event response plan, synoptic survey of total mercury in recreational finfish, ecological assessment and calibration of water quality, mercury levels in harvested fishes, remote sensing of harmful algal blooms, shoreline protection, hydrological modifications impact study. Fiscal Year 2012: Water quality modeling support, wetlands resource management baseline, harmful algal bloom information exchange, seagrass restoration, nutrient control/monitoring of eutrophication, stormwater biofilter demonstration, marshland upwelling system, point source locations, wastewater treatment feasibility study, nutrient modeling, waterbird rookery management, outreach and communications strategy targeted at high-risk consumers of shellfish, invasive species education exhibit, inventory of marine science research, assessment of introduction of nonindigenous aquatic species from ballast water, septic tank maintenance, response plan for harmful algal blooms, assessment of groundwater discharge and sewage impacts, reducing onsite sewage treatment system impacts, nutrient flux from sediments, monitoring and assessment of stormwater diversion, assessment status of invasive species, bacterial source tracking, smart growth planning, wetland inventory, acute pollution event response plan, synoptic survey of total mercury in recreational finfish, ecological assessment and calibration of water quality, mercury levels in harvested fishes, remote sensing of harmful algal blooms, shoreline protection, hydrological modifications impact study. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Projects will be selected based on the criteria and ranking factors established in the GMPO Competitive Funding Announcement. Leveraged funds and resources will be considered during the evaluation scoring process.

**66.478 WATER SECURITY TRAINING AND TECHNICAL**

## **ASSISTANCE AND WATER SECURITY INITIATIVE CONTAMINATION WARNING SYSTEM PILOTS**

### **FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

### **AUTHORIZATION:**

Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act of 2002, Public Law 107-117; The Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Title 4, Public Law 107-188; Safe Drinking Water Act, Section 1433&1434.

### **OBJECTIVES:**

The objective of these grant programs are (1) for financial assistance that is awarded under SDWA Section 1433, to improve water infrastructure security through both training and technical assistance for water utilities and (2) for cooperative agreements that are awarded under SDWA Section 1434, to address the risk of intentional contamination of drinking water distribution systems.

Funding Priority - Fiscal Year 2012: For Section 1433 financial assistance, no funding is anticipated for Fiscal Year 2012. If funds become available, EPA's funding priority is to provide assistance to eligible non-profit organizations that provide training, technical support or other assistance to water utilities. Specifically, EPA is seeking to utilize the ability of non-profit organizations to provide water security technical support and training. For Section 1434 cooperative agreements, no funding is anticipated for Fiscal Year 2012. If funds become available, EPA's funding priority is to provide assistance to community water systems for drinking water contamination warning system pilot projects. Financial assistance awarded under both of these programs support Goal 2, Clean and Safe Water, of EPA's Strategic Plan. Specifically, awards will enhance public health protection by securing critical infrastructure through support for counter-terrorism preparedness.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Funded activities for financial assistance awarded under Section 1433 of the SDWA include: (1) training to gain competence and expertise in the process of developing or completing vulnerability assessments; (2) training to gain competence and expertise in the process of developing, amending, or updating emergency response plans; (3) training to gain competence and expertise in various security enhancements; and (4) providing competent training and technical assistance in the aforementioned areas to help states, tribes, and local authorities in their water infrastructure security efforts. Funded activities for cooperative agreements awarded under Section 1434 of the SDWA may include: (1) demonstration of contamination and warning system monitoring and surveillance components; (2) contamination warning system consequence management plan; and (3) evaluation and transfer of results. Specific uses and restrictions on funds will be described in detail in the competitive announcements for each program. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### **Applicant Eligibility:**

Financial assistance awarded under Section 1433 of the SDWA is available to public non-profit institutions/organizations and private non-profit institutions/organizations, capable of providing training, technical support and/or assistance to drinking water systems. Cooperative agreements awarded under Section 1434 of the SDWA will be limited to local governments or institutions (either public or private nonprofit organizations) that operate

community water systems (as defined in 40 C.F.R. 141.2). Note that 501(c)(4) non-profit organizations that lobby are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### **Beneficiary Eligibility:**

For financial assistance awarded under both Sections 1433 and 1434 of the SDWA, the beneficiaries are the drinking water systems, the water programs of the State or Tribe, and the public which will benefit from these programs through safer and more secure drinking water.

### **Credentials/Documentation:**

EPA may request that applicants demonstrate their eligibility. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Section 1434 cooperative agreements are a new grant program that has not been included in the agency's list of programs subject to Intergovernmental review. However, EPA recommends that applicants for these cooperative agreements should consult the office or official designated as the single point of contact in its State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program also does not require an environmental impact statement or assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must submit an "Application for Federal Assistance," SF 424, "Budget Information: Non-Construction Programs," SF 424A, "Assurances: Non-Construction Programs," SF 424B, "Certification Regarding Debarment, Suspension and Other Responsibility Matters," "Certification Regarding Lobbying," "Pre-Award Compliance Review Report," EPA 4700-4, and other required forms to complete the application process. Application kits should be requested from the U.S. Environmental Protection Agency, Grants and Interagency Agreements Management Division, Mail Code 3903R, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including an application kit, required forms, and a check list, may also be found at <http://www.epa.gov/ogd/AppKit/index.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Applications should be submitted in accordance with the procedures stated in the competitive announcement.

### **Award Procedure:**

Applications are reviewed by EPA, where subsequent grant awards are made to successful applicants. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 30 to 90 days after deadline for application submittal.

### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients

will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Any continuation of funding will be described in the terms of the assistance agreement.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements, if any, will be described in the competitive announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable.

Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program.

Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-0-1-304 - For financial assistance awarded under Section 1433 of the SDWA, 68-0107-0-1-304 and 68-0108-0-1-304; S&T and EPM. For cooperative agreements awarded under Section 1434 of the SDWA, 68-0107-0-1-304; S&T.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - For financial assistance awarded under Section 1433 of the SDWA, FY 11 \$0; FY 12 est. \$0; and FY 13 est. \$0. For cooperative agreements awarded under Section 1434 of the SDWA, FY 11 \$0; FY 12 est. \$0; and FY 13 est. \$0.

**Range and Average of Financial Assistance:**

For financial assistance awarded under Section 1433 of the SDWA, no funding was provided in FY 11 and none is anticipated for FY 12. For cooperative agreements awarded under Section 1434 of the SDWA, no funding was provided in FY 11 and none is anticipated for FY 12.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competitions are held at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. In FY 11, for Section 1433 awards, no competitive announcements were issued and no new awards were made. For Section 1434 awards, this was a financial

assistance pilot program. In FY 07, EPA issued a competitive announcement to award up to four cooperative agreements to support drinking water contamination warning system demonstration pilots. These pilots are part of the Agency's Water Security Initiative, which seeks to develop a warning system that achieves timely detection of and appropriate response to drinking water contamination incidents. The pilots include specified monitoring and surveillance components, a consequence management plan, and an evaluation plan. The anticipated outcome is that these pilots will generate information that allows community water systems nationally to practice effective techniques to detect and respond to possible contamination events. Drinking water consumers will experience a reduction in risk associated with drinking water contamination and improved water quality. Fiscal Year 2012: Competitions are held at Headquarters and in the Regions based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. Currently for FY 12, EPA has no funds available; however, should funding become available, projects that will improve the security of drinking water systems will be the focus of the awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Safe Drinking Water Act, Sections 1433 and 1434; "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations," 40 CFR Part 30, and. "Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments," 40 CFR Part 31.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Grants Management Office of the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Nancy Muzzy, EPA, Water Security Division, Mail Code 140, 26 W. Martin Luther King Drive, Cincinnati, Ohio 45268 Email: muzzy.nancy@epa.gov Phone: 513-569-7864.

**Website Address:**

<http://cfpub.epa.gov/safewater/watersecurity/>

**RELATED PROGRAMS:**

66.474 Water Protection Grants to the States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY 11, no funding was awarded for projects to be awarded under Section 1433 of the SDWA. For cooperative agreements awarded under Section 1434 of the SDWA, activities continue to be conducted under four contamination warning system demonstration pilots (i.e., designing, installing, and operating) that include monitoring and surveillance components of the Water Security design, a consequence management plan, and an evaluation plan. Fiscal Year 2012: In FY 12, no funding is anticipated for projects to be awarded under Section 1433 of the SDWA. For cooperative agreements awarded under Section 1434 of the SDWA, activities continue to be conducted under four contamination warning system demonstration pilots (i.e., designing, installing, and operating) that include monitoring and surveillance components of the Water Security design, a consequence management plan, and an evaluation plan. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.479 WETLAND PROGRAM GRANTS - STATE/TRIBAL ENVIRONMENTAL OUTCOME WETLAND DEMONSTRATION PROGRAM**

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3), Public Law 92-500, 33 U.S.C 1254(b)(3).

**OBJECTIVES:**

To assist State and Tribal government agencies protect, manage, and restore wetlands.



Funding Priority - Fiscal Year 2012: This one-time pilot program, funded in FY 05 through FY 07, provided grants for states and tribes to implement regulatory and nonregulatory activities to assess whether financial assistance for wetland program implementation yields positive environmental outcomes. Grantees annually report the programmatic and environmental outcomes resulting from their grants. This program represents a one-time pilot effort; EPA does not plan on funding any new projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State/Tribal Environmental Outcome Wetland Demonstration Grants provide eligible applicants an opportunity to conduct projects that promote the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, reduction, and elimination of water pollution. This pilot program will demonstrate that supporting the implementation of State and Tribal wetland programs will have positive environmental results and will support the no net loss/net gain of wetland acreage goal and support increased involvement of State and Tribal protection of vulnerable waters. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States and Tribal wetland agencies are eligible for the State/Tribal Environmental Outcome Wetland Demonstration Program competition pilot. Local agencies and non-for-profits are not eligible for participation. Tribes must be federally recognized, although "Treatment as a State" status is not a requirement. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State and tribal governments involved in administering wetlands protection, restoration, and/or management programs or programs related to or complementing wetlands protection programs.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State, Tribal, and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Information is available on the EPA website at: <http://www.epa.gov/owow/wetlands/grantpilot/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain

grant opportunities under this CFDA.

**Award Procedure:**

The EPA Headquarters (HQ) Office established criteria against which State and Tribal wetland programs were evaluated and ranked. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants are usually approved within 120 days of receipt of completed application.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: State and Tribal government agencies must provide a minimum of 25 percent of each award's total project costs in accordance with 40 CFR 31.24, 35.385, and 35.615. We encourage States and Tribes to provide a larger share of the project's cost whenever possible (i.e., in excess of the required 25 percent of total project costs). 40 CFR 35.536(c) (the Environmental Program Grants for Tribes Regulation), States that "the required cost share shall be five percent of the allowable cost of the work plan budget for that program" if the Tribal applicant puts the funds into a PPG. Tribal applicants can submit budgets with a 5 percent match if the Tribe is going to put the funds into a PPG. The following term and condition will be included in the assistance agreement awarded to the Tribe: If the Wetlands Program Grant Funds are not or could not be included in a PPG, then the Tribe must provide a 25 percent match. The match requirement can be met with contributions from entities other than the award recipient. Other Federal money cannot be used as the match for this grant program unless authorized by the statute governing the award of the other Federal funds. However, Indian tribes can use funds provided under the Indian Self-Determination and Education Act (25 USC 450 et seq.) to provide the required matching funds to the extent authorized by that Act and implementing regulations. Matching funds are considered grant funds. They may be used for the reasonable and necessary expenses of carrying out the work plan. Any restrictions on the use of grant funds (i.e., prohibition of land acquisition with grant funds) also apply to the use of matching funds. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$200,000 to \$300,000/fiscal year; \$250,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funding is for projects designed to investigate and demonstrate whether wetland program implementation results in positive environmental and programmatic outcomes. This is a one-time pilot grant program. In FY 05, EPA received 51 proposals in response to the competitive announcement released November 5, 2004. EPA awarded 26 one-time pilot grants to 22 states and one tribe. Projects include: activities to track no net loss of wetland acres in the 404 regulatory program and net gain in wetland acres and functions; monitoring and assessment; compliance inspections and enforcement of state regulatory programs; state permit reviews; inventory and mapping of wetland resources; compensatory mitigation; and development of rules, policies, and procedures to restore and protect vulnerable wetlands. At the end of each year of funding, projects report the outcomes resulting from activities funded by the pilot grants. To date, pilot grant recipients have submitted approximately thirty-eight annual reports and the final report in FY 11. The following represents a sample of results reported to date; these numbers will increase when the pilot projects are complete: Restoration - three grantees have restored over 190 wetland acres and 1,542 stream feet; Inventory and Mapping - eight grantees have inventoried or mapped over 7.0 million acres of wetland resources and surrounding lands; Data Systems - Because of updated and reconfigured data tracking systems, 44 more programs, agencies, and organizations in 9 states are using wetland data systems; Monitoring and Assessment - five grantees have monitored and/or assessed over 730,000 wetland acres; and Regulation - eight grantees have adopted and implemented three new rules and 12 policies or procedures to better protect wetlands resources through state programs. Fiscal Year 2012: Funding is for projects designed to investigate and demonstrate whether wetland program implementation results in positive environmental and programmatic outcomes. This is a one-time pilot grant program. Projects include: activities to track no net loss of wetland acres in the 404 regulatory program and net gain in wetland acres and functions; monitoring and assessment; compliance inspections and enforcement of state regulatory programs; state permit reviews; inventory and mapping of wetland resources; compensatory mitigation; and development of rules, policies, and procedures to restore and protect vulnerable wetlands. At the end of each year of funding, projects report the outcomes resulting from activities funded by the pilot grants. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations, and Procedures (40 CFR Parts 31 and 35).

**Regional or Local Office:**

See Regional Agency Offices. Region 1 - CT, ME, MA, NH, RI, VT: Trish

Garrigan. US EPA Region 1, 1 Congress Street, MC CSP, Suite 1100, Boston, MA, 02114. Phone: 617-918-1583. garrigan.trish@epa.gov. Region 2 - NJ, NY, PR, VI: Kathleen Drake, US EPA Region 2, 290 Broadway, NY, NY, 10007. Phone: 212-637-3817. drake.kathleen@epa.gov. Region 3 - DE, MD, PA, VA, WV, DC: Anita Provenzano, US EPA Region 3, 1650 Arch Street, MC 3EA30, Philadelphia, PA, 19103. Phone: 215-814-5180. provenzano.anita@epa.gov. Region 4 - AL, FL, GA, KY, MS, NC, SC, TN: Morgan Jackson and Rhonda Evans, US EPA Region 4, 61 Forsyth Street, SW, Atlanta, GA, 30303. Phone: 404-562-9393 (M. Jackson); 404-562-9369 (R. Evans). jackson.morgan@epa.gov; evans.rhonda@epa.gov. Region 5 - IL, IN, MI, MN, OH, WI: Sue Elston, US EPA Region 5, 77 West Jackson Blvd., MC WW16J, Chicago, IL, 60604. Phone: 312-886-6115. elston.sue@epa.gov. Region 6 - AR, LA, NM, OK, TX: Sondra McDonald, US EPA Region 6, 1445 Ross Avenue, MC 6WQ-AT, Dallas, TX, 75202. Phone: 214-665-7187. mcdonald.sondra@epa.gov. Region 7 - IA, NE,KS, MO: Jennifer Ousley, US EPA Region 7, 901 North Fifth Street, MC WWPDP/WPIB, Kansas City, KS 66101. Phone: 913-551-7498. ousley.jennifer@epa.gov. Region 8 - CO, MT, ND, SD, UT, WY: Toney Ott, US EPA Region 8, 1595 Wynkoop Street, 8EPR-EP, Denver, CO, 80202. Phone: 303-312-6909. ott.toney@epa.gov. Region 9 - AZ, CA, HI, NV, AS, GU: Suzanne Marr and Paul Jones, US EPA Region 9, 75 Hawthorne Street, WTR-3, San Francisco, CA 94105. Phone: 415-972-3468 (S. Marr); 415-972-3470 (P. Jones). marr.suzanne@epa.gov; jones.paul@epa.gov. Region 10 - AK, ID, OR, WA: Yvonne Vallette, US EPA Region 10, Oregon Operations Office, 811 S.W. 6th Ave, 3rd Floor, OOO, Portland, OR, 97204. Phone: 503-326-2716. vallette.yvonne@epa.gov.

**Headquarters Office:**

Romell Nandi, Wetlands Division (4502T), Office of Oceans, Wetlands, and Watersheds, Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: nandi.romell@epa.gov Phone: (202) 566-1203.

**Website Address:**

<http://www.epa.gov/owow/wetlands/grantpilot/>

**RELATED PROGRAMS:**

66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.454 Water Quality Management Planning; 66.456 National Estuary Program; 66.458 Capitalization Grants for Clean Water State Revolving Funds; 66.461 Regional Wetland Program Development Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: This is a one-time pilot grant program. Examples of funded projects include: monitoring/assessment for vernal wetlands, enforcement activities, state permit review, mapping, program assessments, compensatory mitigation assessment and tracking, and protection of vulnerable wetlands. Fiscal Year 2012: This is a one-time pilot grant program. Examples of funded projects include: monitoring/assessment for vernal wetlands, enforcement activities, state permit review, mapping, program assessments, compensatory mitigation assessment and tracking, and protection of vulnerable wetlands. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Decisions of which States and Tribes will receive funding under this pilot will be determined by how the State or Tribe's program rank using established criteria and factors. These criteria will be published on the HQ Office's website ([www.epa.gov/owow/wetlands/grantpilot](http://www.epa.gov/owow/wetlands/grantpilot/)). States and Tribes will be evaluated and ranked according to these criteria and factors. Funding under this pilot program will be provided to the States and Tribes that rank the highest.

**66.480 ASSESSMENT AND WATERSHED PROTECTION PROGRAM GRANTS**

(AWPPG)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104(b)(3).

**OBJECTIVES:**

To support the coordination and acceleration of research, investigations, experiments, training, demonstrations, surveys, and studies relating to the causes, effects (including health and welfare effects), extent, prevention, reduction, and elimination of water pollution. The two main goals of the Assessment and Watershed Protection Program Grants (AWPPGs) include supporting a watershed approach to better address water quality problems in the U.S. and building the capacity of all levels of government to develop and implement effective, comprehensive programs for watershed protection, restoration, and management.

Fiscal Year 2012: Funding under this program area may include:

Watershed/Total Maximum Daily Load (TMDL) Program - (1) Assessment and TMDL Workshops; (2) Impaired Waters Recovery and Results Analysis; (3) Tools and Products Training for the Watershed Approach; and (4) Tools, Incentives and Trainings that Foster Financing of Water Quality, Habitat Restoration/Protection on a Watershed Scale. Nonpoint Source Program - (1) National Conference and Outreach Program to Promote Clean Lakes. No funding is anticipated for fiscal year 2012.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incidental to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Specific uses and restrictions on funds will be described in detail in the competitive announcements.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is available to States and local governments, Federally recognized Indian Tribes, territories and possessions of the U.S. (including the District of Columbia), interstate associations or intertribal consortia, public or private nonprofit, nongovernmental institutions, and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, Federally recognized Indian Tribes, territories and possessions of the U.S. (including the District of Columbia), interstate associations or intertribal consortia, public or private nonprofit, nongovernmental institutions, and individuals.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Costs will be determined in accordance with OMB Circular no. A-21 for educational institutions, OMB Circular Nos. A-122 for nonprofit organizations, and A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting research, investigations, experiments, training, demonstrations, surveys, and studies and based on competitive applications submitted in response to EPA solicitations. Regarding pre-application/pre-proposal assistance with respect to competitive

funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by the Federal agency and required by OMB Circular Nos. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Ave., NW, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). The Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for water surveys, studies, demonstrations, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the grant shall be determined at the time of grant award. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is

required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients' grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$10,000 to \$150,000/fiscal year; \$75,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competitions are held at Headquarters based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. No new awards were made in FY 11. Fiscal Year 2012: Competitions are held at Headquarters based on available funds and Agency priorities. The number of applications and the number of awards made is dependent on the competitive announcement issued. The announcement will include the number of anticipated awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, Studies, and Investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Connie Cahanap, US EPA Office of Wetlands, Oceans and Watersheds, 1200 Pennsylvania Ave., NW (MC 4501T), Washington, District of Columbia 20460  
Email: cahanap.concepcion@epa.gov Phone: (202) 566-1382.

**Website Address:**

<http://www.epa.gov/owow/funding.html>

**RELATED PROGRAMS:**

66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of projects funded include: workshops on innovative TMDL water quality assessment; workshops on innovative TMDL modeling techniques; training handbook(s) on low impact development; demonstration studies on new techniques to control agricultural drainage; and lake restoration outreach activities. Fiscal Year 2012: Examples of projects funded include: workshops on innovative TMDL water quality assessment;

workshops on innovative TMDL modeling techniques; training handbook(s) on low impact development; demonstration studies on new techniques to control agricultural drainage; and lake restoration outreach activities. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.481 LAKE CHAMPLAIN BASIN PROGRAM**

(Lake Champlain Program)

**FEDERAL AGENCY:**

Office of Water, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act , Section 120, Public Law 107-303.

**OBJECTIVES:**

To implement the Lake Champlain Basin Management Plan Opportunities for Action: An Evolving Plan for the Future of the Lake Champlain Basin, and to assist the states of New York and Vermont in protecting and preserving the Lake Champlain ecosystem.

Funding Priority - Fiscal Year 2012: Efforts in Lake Champlain will continue to support the successful interstate, interagency, and international partnership undertaking the implementation of "Opportunities for Action," a plan designed to address various threats to the Lake's water quality, including phosphorus loadings, invasive species, and toxic substances. Grants under this program shall be made for assisting research, surveys, studies, modeling, technical, field, restoration, education, outreach, and other supporting work necessary for the development and implementation of the Lake Champlain Basin Management Plan. Funding priorities include phosphorus control and environmental education and outreach.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

As described in Section 120 of the CWA, funds may be used to implement elements of the Lake Champlain Basin Management Plan, Opportunities for Action. Projects outside of the Lake Champlain Basin are not eligible for funding under this program. Grant awards must be made in consultation with the Lake Champlain Basin Program Steering Committee, and must support activities consistent with the goals of Opportunities for Action. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State, interstate, and regional water pollution control agencies, and public or nonprofit agencies, institutions, and organizations are eligible to receive grants from EPA through this program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Assistance under this program generally benefits State environmental, health, and agriculture agencies; interstate water pollution control agencies; public nonprofit institutions and organizations; sponsored organizations; Federal agencies; local agencies; intrastate agencies; public and private nonprofit institutions and organizations; private organizations; small businesses; and quasi-public nonprofit institutions.

**Credentials/Documentation:**

Nonprofit private agencies, institutions, and organizations may be required to provide documentation of their organizational status upon application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. A pre-application form is not required. Informal pre-application discussions or conferences with the Lake Champlain Basin Program Steering Committee, and EPA Regions 1 and 2 are required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Lake Champlain Basin Program Steering Committee, in conjunction with EPA Regions 1 and 2, develops the annual budget and task list. This budget and task list is then divided between the States of Vermont and New York and the New England Interstate Water Pollution Control Commission. From this information, these three organizations then prepare grant applications and workplans for submittal to EPA Region 2 or Region 1. The standard application forms, as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110, must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in "Regional or Local Office" section for information contacts. Detailed information and assistance, including and application kit, required forms, and a checklist may also be found on the web (<http://www.epa.gov/ogd/AppKit/application.htm>). Applications must be submitted to the appropriate EPA Regional Office identified in "Regional or Local Office" section for information contacts. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each federal assistance application and final work plan will be evaluated by EPA Region 1 or Region 2 to determine the adequacy of the application under the established EPA grants program requirements and guidelines, including, but not limited to, the requirements set forth in 40 CFR Parts 30 and 31. Technical merit and the relevance of the project to the priorities and objectives established in Opportunities for Action will also be considered. Each application will also be subject to an administrative review by the EPA Region 1 or 2 grants management office as appropriate to determine whether all administrative requirements have been met. The workplan is submitted to the EPA Region 1 and 2 Regional Administrators for approval prior to the award of any assistance agreement. Once a Regional Office approves the annual workplan, funds are awarded by the EPA Region 1 or 2 Regional Administrator as appropriate. Grantees will receive an award package from the appropriate EPA Regional grants management office that must be accepted and signed by an authorized official of the recipient organization and returned to the grants management office within 30 days. Awards may be made on an advance or reimbursement basis. Awards that are not signed and returned by the deadline may be subject to cancellation. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification of action on proposals varies depending on the timing of funds release to the EPA Regional Offices from Headquarters. Interval from submission to notification may vary from two months to eight months.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

No cost extensions and amendments may be available subject to the approval of EPA. Approval of subsequent funding is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has a statutory matching requirement; see CWA section 120 (f)(3). For all assistance (grants and cooperative agreements) agreements made under this program, federal costs shall not exceed 75 percent of the total cost of the agreement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are generally made for a multi-year period at the discretion of EPA. Start dates for assistance agreements are variable and are established at the discretion of EPA. Generally however, it is intended that start dates closely follow award dates of the assistance agreement. Awards are fully funded, recipients draw down funding as cost are incurred, typically monthly. See the following for information on how assistance is awarded/released: The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and expenditure/financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 30 and 40 CFR Part 31, as applicable. Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the final expenditure report. If questions still remain, such as those that arose as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$6,723,000; FY 12 est \$2,395,000; and FY 13 est

\$1,399,000

**Range and Average of Financial Assistance:**

\$20,000 to \$2,712,841/fiscal year; \$1,356,421/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Since 1991, EPA's funding of the Lake Champlain Basin Program has led protection and restoration of the Lake Champlain basin through coordination with federal, provincial, state, and municipal agencies and local citizens. The main program goals, as laid out in the Lake Champlain Management Plan Opportunities for Action, are as follows: reducing phosphorus inputs to Lake Champlain; decreasing toxic contamination; minimizing the risks to humans from water-related health hazards; and controlling the introduction, spread, and impact of nonnative nuisance species. EPA works with the Lake Champlain Basin Program Steering Committee to determine funding priorities and distributes funds accordingly. The following three entities typically receive funding on an annual basis: New England Interstate Water Pollution Control Commission (NEIWPCC), Vermont Department of Environmental Conservation, and the New York Department of Environmental Conservation. They may choose to compete all or part of the funds. Competitive announcements typically include the number of anticipated awards.

In FY 11, funds were used to support protection and restoration of the Lake Champlain Basin. Specific examples of accomplishments include: conducting water quality monitoring programs with the collection of at least 3,500 water chemistry samples; a boat inspection and education program to reduce the spread of invasive species; removal of thousands of pounds of invasive water chestnuts; and other tasks. Fiscal Year 2012: Since 1991, EPA's funding of the Lake Champlain Basin Program has led protection and restoration of the Lake Champlain basin through coordination with federal, provincial, state, and municipal agencies and local citizens. The main program goals, as laid out in the Lake Champlain Management Plan Opportunities for Action, are as follows: reducing phosphorus inputs to Lake Champlain; decreasing toxic contamination; minimizing the risks to humans from water-related health hazards; and controlling the introduction, spread, and impact of nonnative nuisance species. EPA works with the Lake Champlain Basin Program Steering Committee to determine funding priorities and distributes funds accordingly. The following three entities typically receive funding on an annual basis: New England Interstate Water Pollution Control Commission (NEIWPCC), Vermont Department of Environmental Conservation, and the New York Department of Environmental Conservation. They may choose to compete all or part of the funds. Competitive announcements typically include the number of anticipated awards.

In FY 12, expected accomplishments include: further removal of invasive water chestnuts; conducting water quality monitoring programs; continued development of an adaptive management system; studies on internal recycling of phosphorus from lake sediments; development of aquatic invasive species colonization prevention plans that are pro-active and targeted within the Lake Champlain Basin; and an analysis of the long-term benefits of river corridor and floodplain protection and restoration that will help quantify the economic benefits derived from the natural functions of wetlands, river corridors, floodplains and riparian areas. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Lake Champlain program grants and cooperative agreements are subject to EPA's general grant regulations, 40 CFR Part 30 or 40 CFR Part 31. All assistance agreements must support the goals and objectives of the Lake Champlain Management Plan, Opportunities for Action. A copy of this document is available on request from the Lake Champlain Basin Program, 54 West Shore Road, Grand Isle, VT 05458, Phone 802-372-3213 and is also available online at <http://www.lcbp.org>.

**Regional or Local Office:**

See Regional Agency Offices. Jeanne Voorhees, US EPA Region 1, 5 Post Office Square, Suite 100, Mail Code OEP 6-1, Boston, MA 02109-3912. Phone: (617) 918-1686; FAX: (617) 918-0686; e-mail: [voorhees.jeanne@epa.gov](mailto:voorhees.jeanne@epa.gov). Mario Paula, US EPA Region 2, 290 Broadway, 24th Floor, New York, NY 10007-1866. Phone: (212) 637-3819; FAX: (212) 637-3889; e-mail: [paula.mario@epa.gov](mailto:paula.mario@epa.gov).

**Headquarters Office:**

Jeanne Voorhees US EPA Region 1, 5 Post Office Square, Suite 100, Mail Code OEP 6-1, Boston, Massachusetts 02109 Email: [voorhees.jeanne@epa.gov](mailto:voorhees.jeanne@epa.gov) Phone: (617) 918-1686 Fax: (617) 918-0686

**Website Address:**

<http://www.epa.gov/NE/eco/lakechamplain/index.html>

**RELATED PROGRAMS:**

12.100 Aquatic Plant Control; 66.419 Water Pollution Control State, Interstate, and Tribal Program Support; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.454 Water Quality Management Planning; 66.460 Nonpoint Source Implementation Grants; 66.463 Water Quality Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants and cooperative agreements awarded to states, interstate agencies, universities, and nonprofit organizations are for implementation of the Lake Champlain Management Plan. Grants awarded to States of Vermont and New York and NEIWPCC generally cover multiple tasks and projects per grant. Examples of work carried out by these grants include: (1) funding for the overall program coordination, the full-time New York and Vermont Lake Champlain Basin Program coordinators employed by their respective states, and continued development of an adaptive management system; (2) annual lake and tributary monitoring for phosphorus and other parameters by professional limnologists; (3) phosphorus reduction: research on phosphorus carried downstream by eroding stream banks, research on policy options for further phosphorus reduction from point and nonpoint sources, tracking implementation of best management practices on farms, geomorphic studies, riparian restoration work, and studies on internal recycling of phosphorus from lake sediments; (4) removal of invasive species such as water chestnuts; (5) toxins: synoptic monitoring for mercury and PCBs in fish tissue; and (6) examining the impact of shoreline development on the littoral habitat. Fiscal Year 2012: Grants and cooperative agreements awarded to states, interstate agencies, universities, and nonprofit organizations are for implementation of the Lake Champlain Management Plan. Grants awarded to States of Vermont and New York and NEIWPCC generally cover multiple tasks and projects per grant. Examples of work carried out by these grants include: (1) funding for the overall program coordination, the full-time New York and Vermont Lake Champlain Basin Program coordinators employed by their respective states, and continued development of an adaptive management system; (2) annual lake and tributary monitoring for phosphorus and other parameters by professional limnologists; (3) phosphorus reduction: research on phosphorus carried downstream by eroding stream banks, research on policy options for further phosphorus reduction from point and nonpoint sources, tracking implementation of best management practices on farms, geomorphic studies, riparian restoration work, and studies on internal recycling of phosphorus from lake sediments; (4) removal of invasive species such as water chestnuts; (5) development of aquatic species colonization prevention plans; (6) nutrient management plan assistance to farmers in New York, and (7) analysis of long-term benefits of river corridor and floodplain protection and restoration programs. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. The Steering Committee recommends projects to EPA for funding based on the technical merit of the proposal and its relevance to the Lake Champlain Basin Management Plan. EPA approves applications after Steering Committee recommendation based on the technical merit of the application and its relevance to the Lake Champlain Basin Management Plan.

**66.508 SENIOR ENVIRONMENTAL EMPLOYMENT PROGRAM (SEE)**

**FEDERAL AGENCY:**

Office of Administration and Resources Management, Environmental Protection Agency

**AUTHORIZATION:**

Environmental Programs Assistance Act of 1984, Public Law 98-313, 42 U.S.C

4368a.

**OBJECTIVES:**

To use the talents of Americans 55 years of age or older to provide technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control to achieve the Agency's goals of Clean Air; Clean and Safe Water; Land Preservation and Restoration; Healthy Communities and Ecosystems; and Compliance and Environmental Stewardship.

Funding Priority - Fiscal Year 2012: The Environmental Programs Assistance Act of 1984 (Pub. L. 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the EPA in support of its projects ranging from inspections of underground storage tanks, to support for a Headquarters staff office. This allows for the coverage of all types of SEE program positions from professional to clerical. Annual funding priorities are not established at the SEE program level. Rather, Senior Resource Officials from the participating 65 program offices establish priorities requiring SEE program support.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The SEE Act states that only nonprofit organizations which are designated by the Secretary of Labor under Title V of the Older Americans Act can participate. These cooperative agreements are to utilize the talents of older Americans in temporary full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control."

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965.

**Beneficiary Eligibility:**

Federal, State, and local environmental agencies and individuals 55 years old or older.

**Credentials/Documentation:**

The Environmental Programs Assistance Act of 1984 requires a certification by the Federal, State, or local agency that is to receive the SEE workers that the grant/cooperative agreement will not displace any Federal or State workers, prevent the rehiring of any laid-off Federal/State workers, or affect existing service contracts. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Requests for application forms must be submitted to: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460. Completed applications must be sent to the same address, and a copy of

the completed application should also be sent to: Susan Street, Manager, SEE Program, Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff (3600-M), Washington, DC 20460. This program is subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. Basic steps of the application procedure are outlined in the application package containing the application forms.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to assistance regulations, and to program objectives.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance covers a period of one to three years and is awarded in increments during that period. See the following for information on how assistance is awarded/released: Assistance is incrementally awarded throughout the life of the agreement to support ongoing activities.

**Reports:**

No program reports are required. Recipients must furnish quarterly reports on expenditures by cooperative agreement. Progress reports are required on a quarterly schedule. Expenditure reports are required on a quarterly schedule. Performance monitoring is required as a normal part of project officer post award monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and which substantiate changes to each assistance agreement must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until expiration of three years from the date of submission of the final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$60,471,032; FY 12 est \$50,000,000; and FY 13 est \$50,000,000

**Range and Average of Financial Assistance:**

New awards and amendments: \$1,265 to \$1,475,063/FY 2011; Average

\$192,583/FY 2011;\$4,800 TO \$900,000/FY 2012; Average \$127,037/FY 2012; estimated \$6,000 to \$621,400/FY 2013; Average \$137,000/FY 2013.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: To date, in Fiscal Year 2011, 353 cooperative agreements/amendments were awarded. Fiscal Year 2012: As of April 2012, 168 cooperative agreement/amendments were awarded. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance Administration Manual, available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; 40 CFR Part 30, General Regulation for Assistance Programs; Office of Administration and Resources Management for the Management of the Senior Environmental Employment Program.

**Regional or Local Office:**

See Regional Agency Offices. Susan Street, Manager, SEE Program, (3600M) Environmental Protection Agency, Office of Administration and Resources Management, 1200 Pennsylvania Ave., N. W., Washington, D. C. 20460. Telephone: (202) 564-0410, FAX: (202) 564-0735; e-mail: street.susan@epa.gov. Web Site: <http://epa.gov/epahrist/see/brochure>.

**Headquarters Office:**

Susan Street, SEE Program, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff, 3600 M, Environmental Protection Agency, 1200 Pennsylvania Ave, N.W., Washington, District of Columbia 20460 Email: street.susan@epa.gov Phone: (202) 564-0410.

**Website Address:**

<http://epa.gov/epahrist/see/brochure>

**RELATED PROGRAMS:**

66.518 State Senior Environmental Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Provide funding to eligible Grantee organizations to provide senior citizens who conduct national non-agricultural pesticide surveys, provide technical assistance to tribes, outreach on renovation, repair, and painting rule, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and work on other general administrative and clerical tasks. Fiscal Year 2012: Provide funding to eligible Grantee organizations to provide senior citizens who conduct national non-agricultural pesticide surveys, provide technical assistance to tribes, outreach on renovation, repair, and painting rule, provide review and monitoring support for the Import Car Program, monitor the anti-fuel switching program, conduct research, and work on other general administrative and clerical tasks. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must demonstrate that the Organizations have the capability of operating nationwide; can manage the program within the prescribed administrative funding limits; and can provide a quality fringe benefit package to enrollees under the proposal (including health insurance).

**66.509 SCIENCE TO ACHIEVE RESULTS (STAR) RESEARCH PROGRAM**

**FEDERAL AGENCY:**

Office of Research and Development (ORD), Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Policy Act of 1969, Section 102(2)(F); Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Clean Air Act, Section 103, 42 U.S.C 7403; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Clean Water Act, Section 104, 33 U.S.C 1254; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981.

**OBJECTIVES:**

To (1) support research to determine the environmental and human health effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective

pollution control techniques; and (3) support research to explore and develop strategies and mechanisms for those in the social, governmental, and environmental arenas to use in environmental management decisions.

Funding Priority - Fiscal Year 2012: The STAR Program will fund the highest quality academic research in the following priority areas:

(1) Air, Climate and Energy: Anthropogenic Influences on Organic Aerosol Formation and Regional Climate Implications; Measurements and Modeling for Quantifying Air Quality and Climatic Impacts of Residential Biomass or Coal Combustion for Cooking, Heating, and Lighting.

(2) Chemical Safety and Sustainability: Center for Sustainable Molecular Design; Center for Material Life Cycle Safety; Human Exposure to Chemicals in Consumer Products and Indoor Environments; Development and Use of Adverse Outcome Pathways that Predict Adverse Developmental Neurotoxicity.

(3) Safe and Sustainable Water Resources: Sustainable Chesapeake: A Community-Based Approach to Stormwater Management Using Green Infrastructure; Performance and Effectiveness of Green Infrastructure Stormwater Management Approaches in the Urban Context: A Philadelphia Case Study; H2O Research on National Priorities Related to a Systems View of Nutrient Mgmt.

(4) Safe and Healthy Communities: Formative Center-Understanding Environmental Factors to Improve Children's Health in Child Care Environments; Children's Environmental Health and Disease Prevention Research Centers (with NIEHS); Science for Sustainable and Healthy Tribes; Healthy and Sustainable Schools: Environmental Factors, Children's Health and Performance, and Sustainable Building Practices.

In addition to the solicitations identified above, other solicitations may be announced in the coming year. Please check the NCER website: <http://www.epa.gov/ncer> for an updated listing of all solicitations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The National Center for Environmental Research (NCER) generally does not accept unsolicited proposals for the STAR program. All STAR awards are made in response to competitive requests for applications (RFAs) or requests for initial proposals (RFIPs). Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Some solicitations issued under this CFDA may allow for the submittal of Multiple Investigator applications. The applicability of Multiple Investigator applications will be described in the solicitations. For further information, please see the EPA Implementation Plan for Policy on Multiple Principal Investigators (<http://rbm.nih.gov/toolkit.htm>).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition



Policy.

Public nonprofit institutions/organizations (includes public institutions of higher education and nonprofit hospitals) and private nonprofit institutions/organizations (includes private institutions of higher education and nonprofit hospitals) located in the U.S., state and local governments, Federally Recognized Indian Tribal Governments, and U.S. territories or possessions are eligible to apply. Profit-making firms are not eligible to receive assistance agreements from the EPA under this program.

Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122, located at 2 CFR Part 230. However, nonprofit organizations described in Section 501(c) (4) of the Internal Revenue Code that lobby are not eligible to apply.

Foreign governments, international organizations, and non-governmental international organizations/institutions are not eligible to apply.

National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its assistance agreement from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism.

Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement, and may not receive salaries or augment their Agency's appropriations in other ways through awards made under this program.

The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector to the extent authorized by law. Examples are purchase of satellite data, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included.

Some solicitations issued under this CFDA may propose early career projects which support investigators with outstanding promise at the Assistant Professor or equivalent level. Principal investigators from applicant institutions applying for the early career portion of the applicable solicitation must meet the following eligibility requirements:

\* Hold a doctoral degree in a field of science or engineering by the closing date of the RFA;

\* Be untenured at the closing date of the RFA;

\* By the award date, be employed in a tenure-track position (or tenure-track-equivalent position) as an assistant professor (or equivalent title) at an institution in the U.S., its territories, or possessions. Note: For a position to be considered a tenure-track-equivalent position, it must meet all of the following requirements: (1) the employing department or organization does not offer tenure; (2) the appointment is a continuing appointment; (3) the appointment has substantial educational responsibilities; and (4) the proposed project relates to the employee's career goals and job responsibilities as well as to the goals of the department/organization.

Senior researchers may collaborate in a supporting role for early career projects. Early career applications should not propose significant resources for senior researchers and may not list senior researchers as co-PIs. Applicants will be asked to verify their early career status.

See RFAs at: <http://www.epa.gov/ncer> for additional information pertaining to eligibility requirements.

#### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations located in the U.S.; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

#### **Credentials/Documentation:**

The EPA may request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask applicants to provide curriculum vitae and relevant publications. EPA may also ask the lead principal investigator/contact principal investigator for information documenting past performance. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs or RFIPs for grants/cooperative agreements are announced widely through the Internet, university and scientific organizations, among other mechanisms. Applicants must propose EPA mission relevant research based on excellent science as determined through peer review by experts drawn from the national and international scientific community. Other more specialized scientific areas may be solicited via joint RFAs with other Federal agencies. The STAR program may fund research centers that focus on long-term, multi-disciplinary research. This program is subject to the provisions of OMB Circulars No. A-102 and No. A-110. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact the Lead Principal Investigator/Contact Principal Investigator to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Office of Research and Development reserves the right to impose a policy-based cost share requirement under certain competitions. See individual RFAs at <http://www.epa.gov/ncer/> for additional information pertaining to matching/cost share requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded for a minimum of 2 years. Total approved project period may not exceed 5 years. Grants are generally fully funded or incrementally funded (on an annual basis). See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. A grant recipient must agree to provide annual progress reports, with associated summaries for posting on NCER's web site, and a final report with an executive summary for web posting. A grant recipient must agree to provide copies of any peer reviewed journal article(s) resulting from the research during the project period. The recipient also agrees to provide expenditure and invention reports as appropriate. Progress Reports are required under this program. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$51,900,000; FY 12 est \$52,700,000; and FY 13 est \$67,100,000

**Range and Average of Financial Assistance:**

New awards range from \$250,000 to \$8,000,000 total per grant and average

\$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Applications received for the STAR Program - FY 11: 303. New awards for the STAR Program - FY 11: 53. Abstracts of current grant awards, and annual interim and final summary results of the research are available on the homepage: <http://www.epa.gov/ncer>. Fiscal Year 2012: Applications received for the STAR Program - FY 12 est.: 72. New awards for the STAR Program - FY 12 est.: 40. Abstracts of current grant awards, and annual interim and final summary results of the research are available on the homepage: <http://www.epa.gov/ncer>. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contacts listed in the solicitations. Solicitations are located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

James Gentry 2777 Crystal Drive, One Potomac Yards, Arlington, Virginia 22202 Email: [gentry.james@epa.gov](mailto:gentry.james@epa.gov) Phone: 703-347-8093

**Website Address:**

<http://www.epa.gov/ncer>

**RELATED PROGRAMS:**

66.511 Office of Research and Development Consolidated Research/Training/Fellowships

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1. Examine the link between specific immune indicators and ambient air pollution exposure to characterize the relationship between immune indicators and health outcomes of asthma.

2. Characterize the transformation and fate of engineered nanoparticles and any resultant by-products during biological wastewater treatment and incineration.

3. Compile and curate a database of information on biological and chemical information related to hepatotoxicity; develop predictive models based on this information; and make freely available both models and data on a web portal.

4. Extend development of an accurate indicator of methylmercury (MeHg) risk in order to provide a critical link between mercury exposure and the biological effects of fish consumption.

5. Elucidate the relative spatial distributions of key psychosocial stressors and air pollution exposures in NYC and examine the synergistic effects of community stressors and traffic-related pollution on childhood asthma exacerbation. Fiscal Year 2012: 1. Examine how changes in drought frequency and duration affect air quality. Several drought-air quality links will be examined, including changes in emissions from vegetation, changes in dry deposition of species from the atmosphere, changes in atmospheric mixing, and changes in emissions from agricultural operations.

2. Develop (1) a technology to separate oil from water by using affinity specific membranes combined with hydrocyclonic flow and (2) a community outreach program to communities affected by recent oil spills.

3. Understand the sensitivity of extreme pollution concentrations to changes in emissions and climate. To accomplish this objective, extreme value models based on measurements and model simulations of the past few decades will be developed and then applied to simulations of future climate conditions and

future emission scenarios.

4. Fabricate multi-layered nanofiber mats that will be integrated into a filtration unit to enhance the filters ability to perform as a chemically active filtration technology. The technology will target arsenic, agrochemicals and pharmaceuticals in rural drinking water systems.

5. Test the ability of ferrate oxidation to solve a wide range of water quality and treatment problems faced by small systems. The researchers will assess whether ferrate oxidation is more effective than conventional technologies, such as chlorination, for water treatment. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for the RFAs.

#### **66.510 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE GRANTS WITHIN THE OFFICE OF RESEARCH AND DEVELOPMENT**

##### **FEDERAL AGENCY:**

Office of Research and Development (ORD), Environmental Protection Agency

##### **AUTHORIZATION:**

Clean Air Act, Section 103, Public Law 95-95, 42 U.S.C 7401; Comprehensive Environmental Response, Compensation, and Liability Act of 1980, Section 311; National Environmental Policy Act of 1969, Section 102(2)(F); Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6981; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 92-516, 7 U.S.C 136r&136u; Safe Drinking Water Act, Section 1442, 93 U.S.C 523; Marine Protection, Research, and Sanctuaries Act, Section 203; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 94-140, 7 U.S.C 136; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 95-396, 7 U.S.C 136.

##### **OBJECTIVES:**

To (1) support surveys, studies and investigations and special purpose assistance to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides (2) identify, develop, and demonstrate effective pollution control techniques; and (3) fund innovative regional projects that address a stated problem or opportunity relating to sustainability and use science to inform design, planning and decision-making at the local, state and industrial levels.

Funding Priority - Fiscal Year 2012: FY 2012 priorities include conducting air pollutants research, improving the science behind risk assessment, water quality research, drinking water research, research to improve human health and the environment, and research related to Homeland Security. Surveys, studies, and investigations to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, endocrine disrupting chemicals, and pesticides will also be funded under this category. Additionally, this funding priority provides support for conferences relating to the areas above.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to performance plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or

government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

##### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals or foreign entities. Profit-making firms are not eligible to receive assistance agreements from the EPA under this program.

Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122, located at 2 CFR Part 230. However, nonprofit organizations described in Section 501(c) (4) of the Internal Revenue Code that lobby are not eligible to apply.

National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its assistance agreement from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism.

Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement, and may not receive salaries or augment their Agency's appropriations in other ways through awards made under this program.

The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector to the extent authorized by law. Examples are purchase of satellite data, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included.

##### **Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; anyone/general public; education professionals; students/trainees; graduate students; scientists/researchers; hospitals; foreign entities; and individuals.

##### **Credentials/Documentation:**

The Agency may request that applicants demonstrate they have appropriate background, academic training experience in the field, and the necessary equipment to carry out the research. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. EPA may ask principal investigators for information documenting past performance. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional

information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs (requests for applications) or RFIPs (requests for initial proposals) for grants in these areas are announced widely through the Internet, university and scientific organizations, among other mechanisms. Although the programs identified are the formal assistance programs that ORD funds, there are periodic RFAs/RFIPs disseminated on other topics that are not part of the formal program. These new programs are also part of 66.510 but cannot be presently identified. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate Grants Management Office at the Environmental Protection Agency or as shown in the specific RFAs/RFIPs, which are accessible through the EPA/ORD website at <http://www.epa.gov/ord/htm/grantopportunity.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** The Office of Research and Development reserves the right to impose a policy-based cost share requirement under certain competitions. See individual RFAs for additional information pertaining to matching/cost share requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis (annual). Total approved project period may not exceed 7 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. Progress reports are required under this program. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$3,400,000; FY 12 est \$3,200,000; and FY 13 est \$3,200,000

**Range and Average of Financial Assistance:**

New grants/cooperative agreements range from \$10,000 to \$300,000 and average \$55,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 13 grants/cooperative agreements were awarded in FY 11. Data of the number of applications received are not available. Summary information of the funded research is available in the EPA Grant Awards Database, [http://yosemite.epa.gov/oarm/igms\\_egf.nsf/HomePage?ReadForm](http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm). Fiscal Year 2012: An estimated 15 grants/cooperative agreements are made each year. Data of the number of applications received and the exact number of awards made in FY 12 are not available. Summary information of the funded research is available in the EPA Grant Awards Database, [http://yosemite.epa.gov/oarm/igms\\_egf.nsf/HomePage?ReadForm.lable](http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm.lable). Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be

determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the RFA.

**Headquarters Office:**

Walter Stutts U.S. Environmental Protection Agency, 26 West Martin Luther King Drive., WG-12, Cincinnati, Ohio 45268 Email: stutts.walter@epa.gov Phone: 513-569-7487 Fax: 513-487-2584

**Website Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>

**RELATED PROGRAMS:**

66.509 Science To Achieve Results (STAR) Research Program; 66.511 Office of Research and Development Consolidated Research/Training/Fellowships

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) This assistance agreement will support a workshop on the subject of bioaccumulation assessment for environmental contaminants that accumulate in humans and animals, fostering an exchange of methods, models, and data and providing an opportunity to discuss the current status of the science and how to move science into the regulatory framework of various governmental institutions. 2) This cooperative agreement will place recent graduates of Association of Schools of Public Health member accredited schools in EPA for one or two year fellowships, allowing fellows to gain practice-based training experiences and perform activities under the mentorship of EPA experts in the field of environmental health. 3) This assistance agreement will support a symposium on the chemistry of drinking water treatment, providing an opportunity for researchers, waste and wastewater utility officials, government representatives, engineering consultants, and suppliers of technologies to the industry to share knowledge on the transportation of microorganisms, natural and engineered nanoparticles and the role of surface inactivation among other topics. Fiscal Year 2012: 1) The focus of the Environmental Justice (EJ) Workshop is to develop approaches for measuring the successes of EJ programs aimed at reducing or eliminating disproportionate environmental and health impacts among minority, low income, other socially disadvantaged populations and communities. 2) The study will evaluate the relative importance of environmental and behavioral approaches for reducing the incidence of Lyme disease and Babesiosis in a high risk island setting. The project will take advantage of ongoing human cohort studies on the epidemiology of Lyme disease and Babesiosis. 3) The conference will bring experts from around the world to discuss cutting-edge Environmental Endocrine Disruptors (EED) research. Topics of research discussed include links between EED exposures and human disease; critical developmental windows of exposure; and molecular mechanisms for EED effects such as environmental epigenetics and hormone pathways. 4) The Trans-Atlantic Research and Development Interchange on Sustainability (TARDIS) 2012 Workshop will address the topic of time and time-frames for sustainability under joint sponsorship of the Austrian Federal Ministry of Education, Science and Culture and the EPA Office of Research and Development. Sustainability or sustainable development is a recognition of the need for societies to develop within the constraints of the physical and biological limits of the Earth. 5) The International Conference on Sustainability Science (ICSS) will advance sustainability science knowledge and practice across disparate disciplines and institutions. The conference will employ an innovative case study approach for an in-depth engagement of participants to examine state-of-the-art sustainability science practice. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.511 OFFICE OF RESEARCH AND DEVELOPMENT  
CONSOLIDATED RESEARCH/TRAINING/FELLOWSHIPS  
FEDERAL AGENCY:**

Office of Research and Development (ORD), Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; National Environmental Policy Act of 1969, Section 102(2)(F); Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 92-516, 7 U.S.C 136r&136u; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 311, Public Law 95-510; Safe Drinking Water Act, Section 1442, Public Law 93-523; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6901; Marine Protection, Research, and Sanctuaries Act, Section 203; Clean Air Act, Section 103&104, Public Law 95-95, 42 U.S.C 7401; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Solid Waste Disposal Act, Section 8001; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 94-140, 7 U.S.C 136; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Public Law 99-499.

**OBJECTIVES:**

The Office of Research and Development (ORD) supports research and development to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; (3) perform risk assessments to characterize the potential adverse health effects of human exposures to environmental hazards; and (4) the facilitation of training and fellowships in these areas. Investigator initiated grants/ cooperative agreements may be funded in broad areas such as environmental chemistry and physics, environmental engineering, and health and ecological effects of pollution. The ORD conducts leading-edge research to provide a solid underpinning of science and technology for the Agency. Applied research builds our understanding of how to protect and enhance the relationship between humans and the ecosystems of earth. ORD conducts a comprehensive research program to protect air, water, land, and human health and ecosystems, to improve environmental compliance and stewardship, and to conduct and promote coordination and acceleration of training for individuals relating to the protection and enhancement of the relationship between humans and the ecosystems of earth as well as to improve environmental compliance and stewardship.

Funding Priority - Fiscal Year 2012: ORD's research supports EPA's five strategic goals. Brief descriptions of this research are as follows: (1) Clean air research investigates risks associated with exposure to hazardous air pollutants (HAPs) and criteria pollutants, such as particulate matter (PM). Our goal is to work with other Federal and state agencies, major universities and institutions, and the private sector to develop a better understanding of the causes and effects of air pollution, and provide the scientific underpinnings to improve air quality in the U.S. (2) ORD provides the science needed to ensure drinking water is safe and to restore and maintain oceans, watersheds, and aquatic ecosystems to protect human health, support economic and recreational activities, and provide healthy habitats for fish, plants, and wildlife. Our water research program provides the science needed for effectively implementing the Safe Drinking Water Act (SDWA) and Amendments and the Clean Water Act (CWA). (3) Preserving land quality and remediating contaminated land is another of ORD's major goals. Left uncontrolled, hazardous and non-hazardous wastes on land can migrate to the air, ground water, and surface water, contaminating drinking water supplies, and threatening healthy ecosystems in urban, rural, and suburban areas. Efforts to preserve and restore land are supported through contaminated sediments and groundwater research. (4) ORD also continues to better understand environmental risks and develop tools and management options for improving environmental conditions. To promote healthy communities and ecosystems, ORD brings together a variety of programs, including human health research, endocrine disruptors research, computational toxicology research, global change research, pesticides and toxic substances research, and research on homeland security, as well as promoting and facilitating training in these areas to stimulate interest among students in careers involving environmental research and to provide hands-on experience. (5) Finally, ORD has developed and evaluated tools and technologies to monitor, prevent, control, and clean up pollution throughout its history. Since the Pollution Prevention Act of 1990, the Agency has increasingly focused on preventative and sustainable approaches to health and environmental problems. ORD's domestic assistance efforts in this area support research specifically

designed to address the issue of advancing sustainability goals of EPA's Science and Technology for Sustainability (STS) program.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with the established policies of EPA. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals or foreign entities. Profit-making firms are not eligible to receive assistance agreements from the EPA under this program.

Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122, located at 2 CFR Part 230. However, nonprofit organizations described in Section 501(c) (4) of the Internal Revenue Code that lobby are not eligible to apply.

National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its assistance agreement from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism.

Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement, and may not receive salaries or augment their Agency's appropriations in other ways through awards made under this program.

The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector to the extent authorized by law. Examples are purchase of satellite data, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included.

**Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized

Indian Tribal Governments; U.S. territories or possessions; anyone/general public; education professionals; students/trainees; graduate students; scientists/researchers; hospitals; foreign entities; and individuals.

**Credentials/Documentation:**

The EPA may request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask applicants to provide curriculum vitae and relevant publications. EPA may also ask the lead principal investigator/contact principal investigator for information documenting past performance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive RFAs (requests for applications) or RFIPs (requests for initial proposals) for grants in these areas are announced widely through the Internet, university and scientific organizations, among other mechanisms. Although the programs identified are the formal assistance programs that ORD funds, there are periodic RFAs disseminated on other topics that are not part of the formal program. These new programs are also part of 66.511 but cannot be presently identified. Funds may be available to support research activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Funds may also be used for training and fellowships. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/htm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate Grants Management Office at the Environmental Protection Agency or as shown in the specific RFAs, which are accessible through the EPA/ORD website at <http://www.epa.gov/ord/htm/grantopportunity.htm>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Office of Research and Development reserves the right to impose a policy-based cost share requirement under certain competitions. See RFAs for additional information pertaining to matching/cost share requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are normally funded on a 12-month basis (annual). Total approved project period may not exceed 5 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports.

Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. A discussion of expenditures is required in progress reports under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$15,000,000; FY 12 est \$17,000,000; and FY 13 est \$17,000,000

**Range and Average of Financial Assistance:**

Awards range for new grants/cooperative agreements from \$75,000 to \$1,000,000, and average \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Two grants/cooperative agreements were awarded in FY 11. Data of the number of applications received are not available. Summary information of the funded research is available in the EPA Grant Awards Database, [http://yosemite.epa.gov/oarm/igms\\_egf.nsf/HomePage?ReadForm](http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm). Fiscal Year 2012: Six (est.) grants/cooperative agreements are to be awarded in FY 12. Data of the number of applications received are not available. Summary information of the funded research is available in the EPA Grant Awards Database, [http://yosemite.epa.gov/oarm/igms\\_egf.nsf/HomePage?ReadForm](http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm). Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the RFA.

**Headquarters Office:**

Walter Stutts U.S. Environmental Protection Agency, 26 West Martin Luther King Drive., WG-12, Cincinnati, Ohio 45268 Email: [stutts.walter@epa.gov](mailto:stutts.walter@epa.gov) Phone: 513-569-7487 Fax: 513-487-2584

**Website Address:**

<http://www.epa.gov/ord/htm/grantopportunity.htm>

**RELATED PROGRAMS:**

66.509 Science To Achieve Results (STAR) Research Program; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) This assistance agreement will contribute to the protection of human health and the environment by linking together existing institutions and personnel to work on shared goals, including sound environmental management, improved human health risk reduction of environmental hazards, pollution prevention, and sustainable economic development. 2) To develop relationships between measures of ecological condition to the delivery of ecosystem services by freshwater systems (e.g., flowing waters, wetlands, and lakes) that can be used in conjunction with surveys of ecological condition. Methods for using indicators of and data on wetland condition to quantify the services provided by freshwater systems are vital if land managers, especially the States and Tribes, are to ensure continued benefit from those services. 3) To produce, evaluate, and summarize the cost, performance, and long-term reliability of coupling energy and water conservation technologies, modeling capabilities, and decision-support tools to reduce and optimize energy consumption in the treatment, conveyance, and use of water while utilizing water in the most efficient manner possible and in turn, increasing water supplies by virtue of reusing wastewater, stormwater, and preventing excess runoff. 4) To provide training opportunities for undergraduates, graduates and postdoctoral fellows on-site at EPA's Research Triangle Park and/or Chapel Hill, North Carolina facilities. Trainees will learn how to better determine toxicological hazards, define dose-response relationships, and estimate human exposure characteristics. 5) To produce, evaluate, and summarize performance, cost, and value data and information about innovative technologies (i.e., systems, devices, procedures) that will assist the user community to reduce the cost and improve the effectiveness of design, operation, maintenance, rehabilitation, and replacement of aging/failing wastewater/stormwater/drinking water conveyance and treatment infrastructure. Fiscal Year 2012: 1) This project seeks to quantify the radiative forcing of aerosols and tropospheric ozone in relation to changes in emissions of aerosol and ozone precursor emissions and is expected to provide information on sources of short-lived climate forces as well as a means to estimate the impacts of future emissions associated with changes in air quality and climate mitigation actions. This work will extend the existing adjoint method, which is generally used to attribute atmospheric concentrations of pollutants to various sources, to the radiative

forcing and climatic effects due to those same pollutants. 2) The objective is to develop a technique for extraction and analysis of engineered nanoparticles for characterization of their aggregation state in soil and sediment pore water. 3) This research is for the development of effective risk communication strategies for post-incident decontamination and clearance activities associated with an intentional biological environmental contamination. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.513 GREATER RESEARCH OPPORTUNITIES (GRO) FELLOWSHIPS FOR UNDERGRADUATE ENVIRONMENTAL STUDY FEDERAL AGENCY:**

Office of Research and Development (ORD), Environmental Protection Agency

#### **AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r; Clean Air Act, Section 103, 42 U.S.C 7403; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Clean Water Act, Section 104, 33 U.S.C 1254; National Environmental Policy Act of 1969, Section 102(2)(F); Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Toxic Substances Control Act, Section 10, 15 U.S.C 2609.

#### **OBJECTIVES:**

The National Center for Environmental Research (NCER) offers undergraduate fellowships to students in environmentally related fields of study. This program is intended to strengthen the environmental research capacity of institutions of higher education that receive limited funding to build such capacity.

Funding Priority - Fiscal Year 2012: The Greater Research Opportunities Fellowship Program will support undergraduate fellowships in the following areas: Natural and Life Sciences (includes pollution prevention and/or control-related study in Biology, Ecology, Microbiology, Molecular Sciences, etc.); Environmental Sciences and Interdisciplinary Programs (includes pollution prevention and/or control-related study in Environmental Studies, Urban Sustainability and Land Use Planning, Environmental Health, Environmental Policy, Environmental Education, Native/Tribal Environmental Science, etc.); Engineering (includes pollution prevention and/or control-related study in Environmental Engineering, Waste Management, Green Building Engineering, Biotechnology, etc.); Social Sciences (includes pollution prevention and/or control-related study in Economics, International Environmental Studies, Anthropology, Sociology, Psychology, Environmental Justice, etc.); Physical Sciences and Earth Sciences (includes pollution prevention and/or control-related study in Atmospheric Sciences, Chemistry, Geology, Geography, Soil Science, Biogeochemistry, Water Quality, etc.); Mathematics and Computer Science (includes pollution prevention and/or control-related study in Environmental Information Science, Mathematics and Statistics, Bioinformatics, etc.).

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Fellowship awards are made in response to a competitive solicitation. Funds are to provide resources to allow for fellowships related to environmental issues. No matching funds are required. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories) for the fellowship period. Individuals must be citizens of the U.S. or its territories or possessions, or be lawfully admitted to the U.S. for permanent residence. Resident aliens must include their green card number in their application. You must have your green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security.

The GRO Undergraduate Fellowship is intended for students entering their last two years of full time study before obtaining their first bachelor's degree. Students who have already earned one bachelor's degree and are pursuing additional degrees are not eligible. The fellowship tenure is for 2 full academic years (9 months each) with a required paid summer internship after their first year. Thus, only students who will be entering their last two years of college will be considered eligible.

In order to receive the fellowship, the student must attend a fully accredited four year U.S. institution of higher education. This school must be among those that are not highly funded for research and development capacity. For the purposes of this solicitation, EPA considers ineligible those institutions receiving more than \$35 million in annual federal research and development funding. Institutions who exceed this threshold can be identified in the National Science Foundation's publication "Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: FY 2008," Table 12 column 2. These data can be found at: <http://www.nsf.gov/statistics/nsf12316/pdf/nsf12316.pdf>.

Applicants attending eligible institutions with substantial minority enrollment are particularly encouraged to apply. Examples of such schools are those that the U.S. Department of Education lists as "Accredited Postsecondary Minority Institutions" consistent with Executive Orders 13125 (Increasing Participation of Asian Americans and Pacific Islanders in Federal Programs), 13230 (President's Advisory Commission on Educational Excellence for Hispanic Americans), 13256 (White House Initiative on Historically Black Colleges and Universities), and 13270 (Executive Order on Tribal Colleges and Universities), which seek to advance the development of the Nation's full human potential, advance equal opportunity in higher education, strengthen the capacity of these institutions to provide the highest quality education, and increase opportunities for these institutions to participate in and benefit from Federal programs. Note however, that not all of these schools receive \$35 million or less annually in Federal Research and Development expenditures. For specific information regarding Federal funding to minority-serving institutions, see "Federal S&E Obligations to Three Types of Minority-Serving Institutions Decline in FY 2007," <http://www.nsf.gov/statistics/infbrief/nsf09319/nsf09319.pdf>.

Students attending two-year institutions, community colleges, and not in attendance at an institution of higher education may be eligible to apply. However, in order to receive the fellowship, students attending two-year institutions, community colleges, or not in attendance at the time of application will need to show evidence of having received their Associate's degree, will need to demonstrate that they only have two years left of undergraduate studies for completion of the Bachelor's degree, and will need to demonstrate that they have been accepted to attend an accredited eligible four year institution. This requirement is considered satisfied if the student is transferring to a four-year institution which has an Articulation Agreement with the two-year institution, thus meaning that all credits will transfer towards requirements for the Bachelor's degree. An Articulation Agreement is a signed contract between a community or technical college and a four-year college or university that guarantees that a student who earns an associate degree at a participating two-year institution can transfer all of the general education core credits to the four-year institution toward the completion of baccalaureate degree requirements. More information can usually be obtained directly from the institution's Registrar. Alternately, a student with an Associate's degree may



provide a letter from the Registrar of the accredited four-year institution verifying that upon matriculation, the student will only have two remaining years of undergraduate study to complete the first Bachelor's degree.

Students must be pursuing a bachelor's degree in an environmentally related field. Students must have two (2) years remaining from the start of the Fall semester (Fall 2013) before receiving their initial bachelor's degree. Students must have at least a "B" average overall.

Acceptance of this fellowship does not necessarily preclude acceptance of another scholarship, fellowship, traineeship, or grant aid. However, this fellowship does preclude receiving other federal fellowships.

The exact term (start and end dates) of the undergraduate fellowship is negotiated with the student and covers a period of nine months for each fellowship year. Students seeking a bachelor's degree may be supported for a maximum of two years.

Employees of the U.S. government must be able to prove separation from Federal service before accepting this fellowship.

EPA recognizes the need for scientists and engineers from diverse cultural backgrounds. Broadening opportunities for, and enabling participation of all individuals, including women, men, minorities and persons with disabilities, are essential to the health and vitality of science and in particular, the environmental research and development enterprise. For this reason, EPA strongly encourages women, minorities, and persons with disabilities to apply.

**Beneficiary Eligibility:**

Individual/Family; Student/Trainee.

**Credentials/Documentation:**

EPA may request that fellows document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out the fellowship. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. NCER invites applications for undergraduate fellowships in academic disciplines including engineering, environmental science, and physical science. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For regular mail, completed paper applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725P); Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. For express mail and couriers, completed paper applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725P), Funding Opportunity Number: (include appropriate number as shown in the solicitation); 2777 Crystal Drive (One Potomac Yards), 6th Floor South Building, Arlington, VA 22202. Specific details on the application process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 210 days from the close of the solicitation.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of the fellowship is negotiated with the student and covers a period of nine months for each fellowship year. Students seeking a bachelor's degree may be supported for a maximum of two years. If selected to receive a fellowship, the fellow will be contacted no later than seven months after the close of the solicitation and should subsequently receive official notification of award by no later than 9 months after the close of the solicitation for the fall term. Please note that this schedule may be changed without notification due to factors that were not anticipated at the time of announcement. The official notification of an award will be made by the EPA's Grants and Interagency Agreement Management Division. See the following for information on how assistance is awarded/released: Assistance is incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. EPA includes reporting requirements for fellowships in the terms and conditions of the agreements. Reporting requirements are also identified in the fellowship regulations, 40 CFR Part 46. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 46 are applicable. All records related to a fellowship agreement must be maintained for three years after the completion date inserted on the "Completion of Studies Notice" (EPA Form 5770-9). EPA, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, has the right of timely and unrestricted access to documents, papers, or other records related to a fellowship, in order to make audits, examinations, excerpts, transcripts and copies of such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,900,000; FY 12 est \$1,700,000; and FY 13 est \$2,100,000

**Range and Average of Financial Assistance:**

The undergraduate fellowship provides up to \$20,700 per year of academic support and \$8,600 for internship support for a combined total of up to \$50,000 over the life of the fellowship. Awards range from \$31,000 to \$50,000 total per fellowship and average \$39,000 total.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Applications received for the Greater Research Opportunities Undergraduate Fellowship Program- FY 11: 107. New awards for the Greater Research Opportunities Undergraduate Fellowship Program- FY 11: 40. Fiscal Year 2012: Applications received for the Greater Research Opportunities Undergraduate Fellowship Program- FY 12: 139. New awards for the Greater Research Opportunities Undergraduate Fellowship Program-Information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship Regulations, Environmental Protection Agency (40 CFR Part 46).

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contacts listed in the solicitations. Solicitations are located at: <http://www.epa.gov/ncer>.

**Headquarters Office:**

Georgette Boddie, USEPA, Potomac Yards, South 2777 Crystal Drive, Rm# S11948, Arlington, Virginia 22202 Email: [boddie.georgette@epa.gov](mailto:boddie.georgette@epa.gov) Phone: 703-347-8049

**Website Address:**

<http://www.epa.gov/ncer>

**RELATED PROGRAMS:**

66.514 Science To Achieve Results (STAR) Fellowship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1. Support student's education in the field of Environmental Studies with a concentration in Botany and Tropical Ecology. Student's environmental interest will focus on climate change and society's ability to adapt.

2. Support student's education in the field of environmental Engineering. Student's environmental interest will focus on Environmental Law to work in waste discharge regulations and prevention.

3. Support student's education in the field of Environmental Justices and Civic Engagement. Student's environmental interest will focus on issues of environmental and social justices.

4. Support student's education in the field of Physical Sciences. Student's environmental interest will focus on researching methanol fuel cells to aid in decreasing air pollution vehicles are generating.

5. Support student's education in the field of Biology. Student's environmental interest will focus on the effects of global warming. Fiscal Year 2012: Information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for the RFAs.

**66.514 SCIENCE TO ACHIEVE RESULTS (STAR) FELLOWSHIP PROGRAM****FEDERAL AGENCY:**

Office of Research and Development (ORD), Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; National Environmental Policy Act of 1969, Section 102(2)(F); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136; Clean Water Act,

Section 104, 33 U.S.C 1254; Clean Air Act, Section 103, 42 U.S.C 7403; Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1.

**OBJECTIVES:**

The National Center for Environmental Research (NCER), as part of its Science to Achieve Results (STAR) program, offers graduate fellowships for master's and doctoral level students in environmentally related fields of study. The purpose of the fellowship program is to encourage promising students to obtain advanced degrees and pursue careers in environmentally related fields. This goal is consistent with the mission of EPA, which is to provide leadership in the nation's environmental science, research, education, assessment, restoration, and preservation efforts. This program will benefit both the public and private sectors which will need a steady stream of well-trained environmental specialists if society is to meet the environmental challenges of the future. These fellowships are intended to help defray costs associated with advanced environmentally-oriented study leading to a master's or doctoral degree.

Funding Priority - Fiscal Year 2012: The STAR Fellowship Program will support graduate fellowships in the following areas: Emerging Environmental Approaches & Challenges: Environmental Entrepreneurship; Emerging Environmental Approaches & Challenges: Information Science; Emerging Environmental Approaches & Challenges: Social Sciences; Air, Climate & Energy: Clean Air; Air, Climate & Energy: Global Change; Air, Climate & Energy: Green Energy/Natural Resources Production & Use; Chemical Safety for Sustainability: Green Engineering/Building/Chemical Products & Processes/Materials Development; Chemical Safety for Sustainability: Nanotechnology; Chemical Safety for Sustainability: Pesticides and Toxic Substances; Human Health Risk Assessment: Public Health; Human Health Risk Assessment: Risk Assessment and Risk Management; Safe and Sustainable Water Resources: Drinking Water; Safe and Sustainable Water Resources: Water Quality--Coastal and Estuarine Processes; Safe and Sustainable Water Resources: Water Quality--Hydrogeology and Surface Water; Safe and Healthy Communities: Ecosystem Services--Aquatic Systems Ecology; Safe and Healthy Communities: Ecosystem Services--Terrestrial Systems Animal Ecology; Safe and Healthy Communities: Ecosystem Services--Terrestrial Systems Soil and Plant Ecology; Safe and Healthy Communities: Built Environment and Land Use/Protection; Safe and Healthy Communities: Tribes and American Indian/Alaska Native/Pacific Islander Communities. All projects must describe the relationship of these topic areas to the statutorily required purpose of pollution prevention and/or control.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

All STAR fellowship awards are made in response to a competitive solicitation. Funds are to provide resources to allow for fellowships related to environmental issues. No matching funds are required. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

Applicants must attend a fully accredited U.S. college or university (located in the U.S. or its territories). Individuals must be citizens of the U.S. or its territories or possessions, or be lawfully admitted to the U.S. for permanent

residence. Resident aliens must include their green card number in their application. Resident alien applicants must have their green card at the time of application to be eligible for this Fellowship opportunity. EPA may verify this number with the U.S. Citizenship and Immigration Service of the Department of Homeland Security.

Applicants do not need to be enrolled in or formally accepted into a full time graduate program at the time they apply for a fellowship, but proof of enrollment or acceptance must be produced prior to the award of the fellowship. Applicants must be pursuing a master's or doctoral degree in an environmental field of specialization at a fully accredited U.S. college or university (based in the U.S. or its territories).

Applicants who are in a graduate program at the time of application and meet either of the following two criteria as of the solicitation closing date ARE NOT eligible to receive a fellowship: 1) have completed more than one year in their current master's program; or 2) have completed more than four years in their current doctoral program. However, applicants enrolled in a master's program who intend to pursue a doctoral degree beginning in the fall of 2013 may apply for a doctoral fellowship.

This fellowship does preclude receiving other federal fellowships simultaneously. However, acceptance of this fellowship does not necessarily preclude acceptance of another private, state, regional, local, or non-profit scholarship, fellowship, traineeship, or grant aid.

Employees of the U.S. government may apply, but must be able to prove separation from Federal service before accepting this fellowship.

EPA recognizes the need for scientists and engineers from diverse cultural backgrounds. Broadening opportunities for, and enabling participation of all individuals, including women, men, minorities and persons with disabilities, are essential to the health and vitality of science and in particular, the environmental research and development enterprise. For this reason, EPA strongly encourages women, minorities, and persons with disabilities to apply.

**Beneficiary Eligibility:**

Individual/Family; Student/Trainee and Graduate Student.

**Credentials/Documentation:**

EPA may request that fellows document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out the fellowship. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. NCER invites applications for graduate fellowships in academic disciplines relating to environmental research including engineering, public health, and ecological sciences. An application provides the information needed for the review of its merit. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For regular mail, completed paper applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725P); Funding Opportunity Number: (include appropriate number as shown in the solicitation), 1200 Pennsylvania Avenue, NW, Washington, DC 20460. For express mail and couriers, completed paper applications must be submitted to the following address: U.S. Environmental Protection Agency, Peer Review Division (8725P); Funding Opportunity Number: (include appropriate number as shown in the solicitation); 2777 Crystal Drive (One Potomac Yards), 6th Floor South Building, Arlington, VA 22202. Specific details on the application

process are described in the solicitations which are located at: <http://www.epa.gov/ncer>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 210 days from the close of the solicitation.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The term of a graduate fellowship is negotiated with students and customarily covers a period of 9 to 12 months for each fellowship year. Students seeking a master's degree may be supported for a maximum of two years. Students seeking doctoral degrees may receive support for a maximum of three years, available over a period of four years. If selected to receive a fellowship, the fellow will be contacted no later than seven months after the close of the solicitation and should subsequently receive official notification of award by no later than 9 months after the close of the solicitation for the fall term. Please note that this schedule may be changed without notification due to factors that were not anticipated at the time of announcement. The official notification of an award will be made by the EPA's Grants and Interagency Agreement Management Division. See the following for information on how assistance is awarded/released: Assistance is incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. EPA includes reporting requirements for fellowships in the terms and conditions of the agreements. Reporting requirements are also identified in the fellowship regulations, 40 CFR Part 46. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 46 are applicable. All records related to a fellowship agreement must be maintained for three years after the completion date inserted on the "Completion of Studies Notice" (EPA Form 5770-9). EPA, the Inspector General, Comptroller General of the United States,

or any of their duly authorized representatives, has the right of timely and unrestricted access to documents, papers, or other records related to a fellowship, in order to make audits, examinations, excerpts, transcripts and copies of such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$10,500,000; FY 12 est \$13,900,000; and FY 13 est \$14,000,000

**Range and Average of Financial Assistance:**

A maximum of \$84,000 (\$42,000/year) will be provided for master's fellows (two years) and up to \$126,000 (three years) for doctoral fellows. Awards range from \$55,000 to \$126,000 total per fellowship and average \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Applications received for the STAR Fellowship Program: FY 11: 1475. New Awards for the STAR Fellowship Program: FY 11: 110. Fiscal Year 2012: Applications received for the STAR Fellowship Program: FY 12: 1501. New Awards for the STAR Fellowship Program: FY 12: Information not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fellowship Regulations, Environmental Protection Agency (40 CFR Part 46).

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed in the solicitation. The solicitation is located at:

<http://www.epa.gov/ncer>.

**Headquarters Office:**

Brandon Jones, USEPA, Potomac Yards South, 2777 Crystal Drive, Rm# S11772, , Arlington, Virginia 22202 Email: [jones.brandon@epa.gov](mailto:jones.brandon@epa.gov) Phone: 703-347-8053

**Website Address:**

<http://www.epa.gov/ncer>

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1 - Project will provide integrated spatial products to be used in regional management of headwater stream systems and the ecosystem services they provide.

2 - Project seeks to develop and implement enzymatic treatment of municipal waste water, which could significantly reduce the release of PPCPs (pharmaceuticals and personal care products) into the environment, and consequently reduce their presence in drinking water sources.

3 - Project will generate recommendations to control worker exposures to engineered nanomaterials and help prevent potential human health impacts, as well as evaluate pathways for environmental release and potential downstream public health impact.

4 - Measures generated by this project will enable researchers, planners, policy makers and community advocates to better identify and understand the double burden of historically inequitable distribution of resources and current vulnerability to climate change impacts.

5 - Project focuses on investigating high lipid producing algae species for biofuel applications, with emphasis on modeling predicted algal response (nutrient uptake, cell viability and lipid production) in agricultural wastewater. Fiscal Year 2012: Information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web

page (<http://www.epa.gov/ncer>) for additional information on the evaluative criteria for this RFA.

**66.516 P3 AWARD: NATIONAL STUDENT DESIGN COMPETITION FOR SUSTAINABILITY**

**FEDERAL AGENCY:**

Office of Research and Development (ORD), Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104, 33 U.S.C 1254; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Clean Air Act, Section 103, 42 U.S.C 7403; National Environmental Policy Act of 1969, Section 102(2)(F).

**OBJECTIVES:**

EPA offers this competition to respond to the technical needs of the developed and developing world in moving towards the goal of sustainability. P3 highlights people, prosperity, and the planet - the three pillars of sustainability - as the next step beyond P2 or pollution prevention. The P3 Award program is a partnership between the public and private sectors to progress toward sustainability by achieving the mutual goals of economic prosperity, protection of the natural systems of the planet, and providing a higher quality of life for its people.

Funding Priority - Fiscal Year 2012: The United States Environmental Protection Agency (EPA) invites submissions to the P3 Award: A National Student Design Competition for Sustainability. The P3 competition will provide grants to teams of college students to research, develop, and design solutions to challenges to sustainability.

The P3 Award Program is composed of two phases that award grants on a competitive basis. The first phase of the P3 Award Program is a competition for one-year grants of up to \$15,000 to test scientific hypotheses and principles by developing scientific or engineering designs that will promote sustainable development. Challenges from a wide range of categories will be considered. These include: Energy (e.g., Clean Cookstoves, Green Energy, Biofuels and Waste to Energy); Built Environment (e.g., Green Buildings, Smart Growth, Urban Water Infrastructure); Materials and Chemicals (e.g., Sustainable Materials, Sustainable Chemistry); Water (e.g., Drinking Water, Wastewater and Water Reuse).

In the spring following Phase I grant awards, Phase I grantees are required to present their designs at the annual National Sustainable Design Expo on the National Mall in Washington, DC where they will have an opportunity to compete for Phase II grant awards of up to \$90,000. The Phase II grant awards are to support the demonstration and further development of the sustainability designs created in the first phase of the program. The competitors for the P3 Phase II grants will be limited to those selected to receive support as a result of the Phase I competition. Additional instructions for the Phase II proposals, which will be due approximately 8 months after the Phase I grants are awarded, will be distributed to Phase I recipients following award of the Phase I grants. Those projects identified for receipt of a Phase II grant are also recognized as "P3 Award".

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards are made in response to an announced competitive request for applications (RFA). Funds awarded via grant agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies

that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

Public nonprofit institutions/organizations (limited to degree-granting public institutions of higher education) and private nonprofit institutions/organizations (limited to degree-granting private institutions of higher education) located in the U.S. (includes U.S. territories and possessions) are eligible to apply to be the recipient of a grant to support teams of undergraduate and/or graduate students. Profit-making firms are not eligible to receive assistance agreements from the EPA under this program. The students on the teams supported by the institution receiving the grant must be enrolled in the college, university, or post-secondary educational institution they will be representing at the time the proposal is submitted. Institutions are allowed to submit more than one application where each application represents a unique design concept and student team. For the purposes of grant administration, the team's faculty advisor will be designated the Principal Investigator throughout the P3 grant award and competition process. In addition to the Principal Investigator, each team selected for award will also be asked to provide contact information for a student lead.

Eligible nonprofit organizations include research institutes, corporations, or foundations that are part of a U.S. institution of higher education. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible to apply.

Foreign governments, international organizations, and non-governmental international organizations/institutions are not eligible to apply.

National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its assistance agreement from the EPA to an FFRDC for, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this mechanism.

Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on an assistance agreement, and may not receive salaries or augment their Agency's appropriations in other ways through awards made under this program.

The applicant institution may enter into an agreement with a Federal Agency to purchase or utilize unique supplies or services unavailable in the private sector. Examples are purchase of satellite data, census data tapes, chemical reference standards, analyses, or use of instrumentation or other facilities not available elsewhere. A written justification for federal involvement must be included in the application. In addition, an appropriate form of assurance that documents the commitment, such as a letter of intent from the Federal Agency involved, should be included.

Collaboration with colleges and universities outside the United States is permitted, but only U.S. institutions will be eligible for awards. Up to 40% of the total grant may be sub-awarded to another educational institution (domestic or foreign) as described in instructions for submitting to this RFA. If foreign work will be performed, in the process of funding the grant, EPA's Office of

Research and Development is required to obtain clearance from EPA's Office of International and Tribal Affairs and the U.S. Department of State before any funded foreign work or travel is performed.

See RFA at: <http://www.epa.gov/ncer/p3/> for additional information pertaining to eligibility requirements.

**Beneficiary Eligibility:**

Public Nonprofit Institutions/Organizations, Private Nonprofit Institutions/Organizations, Anyone/General Public, Education Professional, Student/Trainee, Graduate Student, Scientists/Researchers.

**Credentials/Documentation:**

EPA may request that students document their affiliation with an eligible institution. The EPA may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out the research. EPA may ask principal investigators for information documenting past performance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circular No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of OMB Circular No. A-110. Specific details on the application process are described in the solicitation which is located at: <http://www.epa.gov/ncer/p3/>. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Customarily, applicants are notified of award decisions within six months of the close of the RFA. After being recommended for award, applicants will be required to submit additional certifications and an electronic version of the revised project abstract, and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate proposal revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. The official notification of an award will be made by the Agency's Grants and Interagency Agreement Management Division.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts."

Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

P3 Awards will be fully funded. Project period for Phase I will normally not exceed 1 year. Project period for Phase II will normally not exceed 2 years. See the following for information on how assistance is awarded/released:  
Assistance is fully funded (lump sum).

**Reports:**

No program reports are required. No cash reports are required. Phase I Report, Phase II report, and invention reports as appropriate. Phase II awards require progress reports. No expenditure reports are required. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 are applicable. Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$700,000; FY 12 est \$1,500,000; and FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

Phase I Awards range from \$9,300 to \$15,000. Average awards total \$9,800.  
Phase II Awards range from \$74,500 to \$90,000. Average awards total \$74,750.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Applications received for the P3 Phase I Award: FY 11: 167. New awards for the P3 Phase I Award: FY 11: 45. Applications received for the P3 Phase II Award: FY 11: 54. New awards for the P3 Phase II Award: FY 11: 10. Abstracts of grant awards, and final summary results of the research will be available on the NCER P3 homepage:  
<http://www.epa.gov/ncer/p3/success/index.html>. Fiscal Year 2012: Applications received for the P3 Phase I Award: FY 12: 128. New awards for the P3 Phase I Award: FY 12: Information not yet available. Applications received for the P3 Phase II Award: FY 12: 44. New awards for the P3 Phase II Award: FY 12: Information not yet available. Abstracts of grant awards, and final summary results of the research will be available on the NCER P3 homepage:  
<http://www.epa.gov/ncer/p3/success/index.html>. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30) and Research and Demonstration Grant Regulations,

Environmental Protection Agency (40 CFR Part 40).

**Regional or Local Office:**

See Regional Agency Offices. Applicants are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog or the contact listed on the solicitation. The solicitation may be found at:  
<http://www.epa.gov/ncer/p3>.

**Headquarters Office:**

Cynthia Nolt-Helms, USEPA Potomac Yards South, 2777 Crystal Drive, Rm# S11781, Arlington, Virginia 22202 Email: [nolt-helms.cynthia@epa.gov](mailto:nolt-helms.cynthia@epa.gov) Phone: 703-347-8102

**Website Address:**

<http://www.epa.gov/ncer/p3>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1. Raise awareness of pollution associated with the production, use and disposal of plastic films/ sheeting used as mulch, and work with farmers and industry partners to develop a biodegradable, sustainable alternative to plastic mulch.

2. Develop a process that converts animal wastes into manure-based bio-solids that burn like coal but cleaner than fossil fuels.

3. Design a robust, reliable, point of use filter that can safely treat high turbidity surface waters to provide safe drinking water for households and small communities that lack access to municipally treated water.

4. Develop a simple, non-toxic technology for the development of flame retardants.

5. Develop a means to quickly break down waste products containing cellulose/lignin wastes (specifically paper waste) into a soil amending compost and to isolate fungal strains that can promote biofuel production. Fiscal Year 2012: Information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. See the Web page (<http://es.epa.gov/ncer/p3>) for additional information on the evaluative criteria for this RFA.

**66.517 REGIONAL APPLIED RESEARCH EFFORTS (RARE)**

**FEDERAL AGENCY:**

Office of Research and Development (ORD), Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001; Marine Protection, Research, and Sanctuaries Act, Section 203; Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6981; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311, Public Law 95-510; Safe Drinking Water Act, Section 1442, Public Law 93-523; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20&23, Public Law 92-516, 7 U.S.C 136r&136u; National Environmental Policy Act of 1969, Section 102(2)(F); Clean Air Act, Section 103&104, Public Law 95-95, 42 U.S.C 7401; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 95-396, 7 U.S.C 136; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311, Public Law 99-499; Federal Insecticide, Fungicide, and Rodenticide Act, Public Law 94-140, 7 U.S.C 136.

**OBJECTIVES:**

To (1) support surveys, studies and investigations and special purpose assistance to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) identify, develop, and demonstrate effective pollution control techniques; and (3) fund

innovative regional projects that address a stated problem or opportunity relating to sustainability and use science to inform design, planning and decision-making at the local, state and industrial levels.

Funding Priority - Fiscal Year 2012: FY 2012 Priorities include conducting high priority air pollutants research, ecological risk assessment, water quality, watersheds and drinking water research, research to improve human health (including children's) risk assessment, pollution prevention and new technologies/Economic and Social Science research. Support surveys, studies and investigations and special purpose assistance actions to determine the environmental effects of air quality, drinking water, water quality, hazardous waste, toxic substances, and pesticides; and identify, develop, and demonstrate effective pollution control techniques will all be funded under this category.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Funds awarded via grants/cooperative agreements are available for allowable direct cost expenditures incident to the performance of research plus allocable portions of allowable indirect costs of the institutions, in accordance with established EPA policies and regulations. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

These programs are available to each State, territory and possession, and Tribal nation of the U.S., including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals who have demonstrated unusually high scientific ability.

**Beneficiary Eligibility:**

Public nonprofit institutions/organizations and private nonprofit institutions/organizations; state and local governments; Federally Recognized Indian Tribal Governments; U.S. territories or possessions; Scientists/Researchers, Hospitals, and Individuals.

**Credentials/Documentation:**

The Agency may request that applicants demonstrate they have appropriate background, academic training experience in the field, and the necessary equipment to carry out the research. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. EPA may ask principal investigators for information documenting past performance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. When applicable, an environmental impact assessment is made by the Office of Research and Development as required by the National Environmental Protection Act. The standard application forms as furnished by the EPA and required by OMB Circulars No. A-102 and No. A-110 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Funds may be available to support activities including but not limited to experiments, surveys, studies, investigations, public education programs, and monitoring where authorized by specific statutes, in both science and engineering disciplines. Please check the Federal Register or the EPA/ORD website <http://www.epa.gov/ord/hm/grantopportunity.htm> for an updated listing of these programs. Completed applications must be submitted to the appropriate laboratory, center or office within ORD specified in the announcement.

**Award Procedure:**

The official notification of an award will be made by the Agency's Grants and Interagency Agreements Management Division. Customarily, applicants are notified about award decisions within six months of the solicitation deadline. After being recommended for award, applicants will be required to submit additional certifications and may be requested to provide responses to comments or suggestions offered by the peer reviewers, a revised budget, past performance documentation, and/or make appropriate revisions. EPA Project Officers will contact Principal Investigators to obtain these materials. Before or after award, certain applicants will be expected to provide additional quality assurance documentation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

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**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12-month basis (annual). Total approved project period typically does not exceed 2 years. See the following for information on how assistance is awarded/released: Assistance is either fully funded (lump sum) or incrementally funded on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and 31. Progress reports are required under this program. A discussion of expenditures is required in progress reports under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until three years from the date of submission of the final

expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0107-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,500,000; FY 12 est \$500,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

New grants/cooperative agreements range from \$23,000 to \$200,000 and average \$128,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Five grants/cooperative agreements were made in FY 2011. Contact the Regional Science Liaison of the specific region for the results of the research. Fiscal Year 2012: Information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Part 30 and 40 CFR Part 31); Research and Demonstration Grant Regulations, Environmental Protection Agency (40 CFR Part 40). Costs will be determined in accordance with OMB Circular No. A-87 (relocated to 2 CFR Part 225) for State and local governments, OMB Circular No. A-21 (relocated to 2 CFR Part 220) for educational institutions, and OMB Circular No. A-122 (relocated to 2 CFR Part 230) for nonprofit organizations.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Susan Peterson U.S. Environmental Protection Agency, 1200 Pennsylvania Ave. , Washington, District of Columbia 20460 Email: peterson.susan@epa.gov Phone: 202-564-1077 Fax: 202-565-2911

**Website Address:**

<http://www.epa.gov/ord/osp/regions/rare.htm>

**RELATED PROGRAMS:**

66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) This project will develop a lifecycle analysis (LCA) of biofuel and co-products produced from Pacific Northwest biomass feedstocks, with a focus on oil seed crops in the Brassicaceae family. The LCA will evaluate the lifecycle greenhouse gas emissions, emissions of criteria pollutants and air toxics, and waste and water impacts associated with biodiesel productions, as well as meal, glycerol, and other co-products. 2) This project explores alternative development scenarios for the State of Maryland and provides estimates of how land development can affect energy consumption and water quality. 3) This project shall measure hydrologic and ecologic processes in peatlands. Outcomes shall lead to a set of defensible assessment methods that are currently lacking, thereby improving the protection and management of wetlands in the rapidly developing area of south-central Alaska. 4) This project will investigate the use of a new and innovative natural floodplain, stream, and riparian best management practice (BMP) through planning, monitoring and implementation of the BMP to establish credibility of use of this method to reduce nutrients and sediments entering the Chesapeake Bay watershed. Fiscal Year 2012: Information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**66.518 STATE SENIOR ENVIRONMENTAL EMPLOYMENT PROGRAM**

(SEE)

**FEDERAL AGENCY:**

Office of Administration and Resources Management, Environmental Protection Agency

**AUTHORIZATION:**

Environmental Programs Assistance Act of 1984, Public Law 98-313, 42 U.S.C 4368a.

**OBJECTIVES:**

To use the talents of Americans 55 years of age or older to provide technical assistance to State environmental agencies for projects of pollution prevention, abatement, and control to achieve the Agency's goals of Clean Air; Clean and Safe Water; Land Preservation and Restoration; Healthy Communities and Ecosystems; and Compliance and Environmental Stewardship.

Funding Priority - Fiscal Year 2012: The Environmental Programs Assistance Act of 1984 (Pub. L. 98-313) authorized the Administrator of the EPA "to make grants to, or enter into cooperative agreements with private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965." These cooperative agreements are to utilize the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control." "Technical assistance" may include any activity performed for the State in support of its projects ranging from inspections of large capacity cesspools, to support for a State Environmental staff office. This allows for coverage of all types of SEE program positions from professional to clerical. .

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The SEE Act states that only nonprofit organizations which are designated by the Secretary of Labor under Title V of the Older Americans Act can participate. These cooperative agreements are to utilize the talents of older Americans in temporary full time or part time positions "providing technical assistance to Federal, State and local environmental agencies for projects of pollution prevention, abatement, and control."

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Private, nonprofit organizations designated by the Secretary of Labor under Title V of the Older Americans Act of 1965.

**Beneficiary Eligibility:**

State environmental agencies and individuals 55 years old or older.

**Credentials/Documentation:**

The Environmental Programs Assistance Act of 1984 requires a certification by the Federal, State, or local agency that is to receive the SEE workers that the grant/cooperative agreement will not displace any Federal or State workers, prevent the rehiring of any laid-off Federal/State workers, or affect existing service contracts. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Requests for application forms must be submitted to: Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460. Completed applications must be sent to the same address, and a copy of the completed application should also be sent to: Susan Street, Manager, SEE Program, Office of Human Resources, Program Management and Communications Staff (3600M), Washington, DC 20460. This program is



subject to the provisions of OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. Basic steps of the application process are outlined in the application package.

**Award Procedure:**

Each application shall be subjected to administrative evaluation to determine adequacy of application in relation to assistance regulations and to program objectives.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance covers a period of one to three years and is awarded in increments during that period. See the following for information on how assistance is awarded/released: Assistance is awarded throughout the life of the Agreement to support ongoing activities.

**Reports:**

No program reports are required. Recipients must furnish quarterly reports on expenditures by cooperative agreement. Cash reports are required on a quarterly schedule. Progress reports are required on a quarterly schedule. Expenditure reports are required on a quarterly schedule. Performance monitoring is required as a normal part of Project Officer Post Award Monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents which support entries on accounting records and which substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until expiration of three years from the date of submission of the final financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$899,697; FY 12 est \$900,000; and FY 13 est \$900,000

**Range and Average of Financial Assistance:**

New awards and amendments: \$30,000 to \$340,000/FY 2011; Average \$128,528/FY 2011; \$50,000 to \$290,000/FY 2012; Average \$182,500/FY 2012; estimated \$50,000 to \$250,000/FY 2013; Average \$185,000/FY 2013.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, seven cooperative agreements were awarded. Fiscal Year 2012: As of April 30, 2012, four cooperative

agreements/amendments had been awarded. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Assistance Administration Manual, available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; 40 CFR Part 30, General Regulation for Assistance Programs; Office of Administration and Resources Management for the Management of the Senior Environmental Employment Program.

**Regional or Local Office:**

See Regional Agency Offices. Susan Street, Manager SEE Program (3600M), Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff, 1200 Pennsylvania Ave, N.W., Washington DC 20460. Telephone: (202) 564-0410 FAX: (202) 564-0735; e-mail: street.susan@epa.gov.

**Headquarters Office:**

Susan Street, SEE Program (3600M), Environmental Protection Agency, Office of Administration and Resources Management, Office of Human Resources, Program Management and Communications Staff, 1200 Pennsylvania Ave, N.W, Washington, District of Columbia 20460 Email: street.susan@epa.gov Phone: (202) 564-0410.

**Website Address:**

<http://epa.gov/epahrist/see/brochure>

**RELATED PROGRAMS:**

66.508 Senior Environmental Employment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Focus is on State level programs. Cooperative Agreements utilized the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control". "Technical Assistance" may include any activity performed for the State in support of its projects ranging from inspections of large capacity cesspools, to support for a State Environmental staff office. This allows for the coverage of all types of SEE program positions from professional to clerical. Fiscal Year 2012: Focus is on State level programs. Cooperative Agreements utilized the talents of older Americans in temporary, full time or part time positions "providing technical assistance to Federal, State, and local environmental agencies for projects of pollution prevention, abatement, and control". "Technical Assistance" may include any activity performed for the State in support of its projects ranging from inspections of large capacity cesspools, to support for a State Environmental staff office. This allows for the coverage of all types of SEE program positions from professional to clerical. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must demonstrate that the Organizations have the capability of operating nationwide; can manage the program within the prescribed administrative funding limits; and can provide a quality fringe benefit package to enrollees under the proposal (including health insurance).

**66.600 ENVIRONMENTAL PROTECTION CONSOLIDATED GRANTS FOR THE INSULAR AREAS - PROGRAM SUPPORT**

(Consolidated Program Support Grants)

**FEDERAL AGENCY:**

Region 9, Environmental Protection Agency

**AUTHORIZATION:**

Omnibus Territories Act , Public Law 95-134, 48 U.S.C 1469a; Safe Drinking Water Act, Section 1443(a)&1443(b); Pollution Prevention Act, Section 6605; Solid Waste Disposal Act, 42 U.S.C 6908; Federal Insecticide, Fungicide, and Rodenticide Act, Section 23(a)(1)&(a)(2); Toxic Substances Control Act, Section 28(a),404(g); Clean Water Act, Section 104(b)(3)&106; National Environmental Policy Act, Section 102(2)(F); Clean Water Act, Section 205(g)&205(j)2; Toxic Substances Control Act, Section 306; Clean Water Act, Section 319(h); Omnibus Territories Act , Public Law 95-348, 48 U.S.C 1469a; Comprehensive Environmental Response, Compensation, and Liability Act ,

Public Law 96-510; Omnibus Territories Act , Public Law 96-205, 48 Stat. 1469a; Brownfields Law, Section 128a, Public Law 107-118; Resource Conservation and Recovery Act; Omnibus Territories Act , Public Law 99-396, 48 U.S.C 1469a.

**OBJECTIVES:**

The consolidated program support grant is an alternative assistance delivery mechanism which allows an Insular Territory responsible for continuing pollution control programs to develop an integrated approach to pollution control. An agency eligible for assistance for two or more pollution control programs may consolidate its assistance requests into a single application and receive a single consolidated award in an effort to reduce administrative and application costs. The consolidated grants program does not represent funding in addition to grants provided under individual authorities, but merely represents the amount of consolidation taking place within the Agency's total grant appropriations.

Funding Priority - Fiscal Year 2012: To provide technical, managerial and financial support in relation to our consolidated environmental program and Drinking Water and Clean Water grants for the protection of public health and welfare in the Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands (hereinafter referred to as "Insular Areas"). Funding priorities for the fiscal year include: 1) Clean and Safe Water: (a) Safe Drinking Water - To provide on-site technical assistance, training, and funding towards building capacity at water utilities and environmental protection agencies, and addressing funding shortages for drinking water infrastructure improvements. We will work with DOI's Office of Insular Affairs and other federal agencies to explore ways of addressing the growing gap between available federal funding and the capital needs for sound infrastructure (b) Clean Water - To provide on-site technical assistance, training, funding, capacity building to utilities and environmental agencies for construction of wastewater treatment facilities; to assist government agencies in the development of surveillance, monitoring, and enforcement programs for streams, lakes, marine water, marine sediment, and coral reef protection through our comprehensive Watershed Management program that protects human health and the environment. 2) Preserve Land: To provide on-site technical assistance, training, and information exchange with other governments and international agencies to establish a regional recycling program that would reduce waste and the need for landfill area and eliminate possible incineration; to continue inspections and establish training to prevent petroleum releases by working with environmental agencies, utilities, and Department of Defense by instituting comprehensive training, inspection, and on scene coordination concerning emergency responses. 3) Healthy Communities and Ecosystems: Reduce chemical and biological risks - To provide on-site technical assistance, training, capacity building, funding to eliminate the exposure to hazardous and nonhazardous chemicals, toxic waste, and pesticides for the protection of public health and the environment. Assist government with the removal and remediation of toxic and pesticide wastes; eliminate the illegal importation and improper use of pesticides; promote sustainable development; provide an information exchange and partnership for the utilization of international treaties regarding the transport and disposal of hazardous materials and waste. 4) Compliance and Environmental Stewardship: To provide on-site technical assistance, training, capacity building, and funding to continue to establish and develop key partnerships with territorial government agencies and federal agencies for enforcement issues concerning land based pollution, illegal toxic releases, and protection of the marine environment. As a result of EPA's continuing leadership and on-site assistance, the territorial governments look to EPA as a leader for all issues concerning environmental management and protection.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are awarded to Insular Area agencies under the above referenced authorities to provide technical and managerial support in relation to continuing environmental program grants that serve to protect the public health and welfare of the Insular Areas.

Assistance agreement awards under this program may involve or relate to

geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

The Territories of Guam, American Samoa, and the Virgin Islands, and the Commonwealth of the Northern Mariana Islands are eligible to receive and administer funds for more than one environmental program. For certain competitive funding opportunities under this description, the Agency may limit eligibility to a particular subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

The Territories of Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication communications should be directed to the appropriate EPA Regional office. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and 40 CFR 31.10 must be used for this program. An applicant should consult the Regional office or official designated as the single point of contact for their Insular Area for more information on the process the Insular Area needs to follow when applying for assistance.

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. U.S. Insular area agencies will be notified to submit grant application packages identifying required forms including a work plan. The application package should be submitted to the appropriate EPA Regional Office. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

U.S. Insular area agencies will be notified of Federal assistance awards through the appropriate EPA Regional Office. For competitive awards, EPA will review and evaluate applications, proposals and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements may be waived by the Agency pursuant to the Omnibus Territories Act.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is usually awarded for a 1-year or longer period. The Automated Standard Application for Payments (ASAP) is the preferred payment method.

See the following for information on how assistance is awarded/released:

Assistance is awarded as fiscal year program funds become available. Typically 2-3 awards/amendments are made per year.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly and final performance reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments - 40 CFR Part 31. Additionally, progress reporting by the Insular Area agency and performance monitoring by EPA will be the minimum necessary for sound program management. Reporting requirements may vary with each Insular Area agency depending upon the specific agency's demonstrated management abilities. A financial status report is required within 90 days of the end of the budget period. Program Reports are required. Cash Reports are required. Progress Reports are required. Expenditure Reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

All records including documents to support entries on accounting records and to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If any litigation, claim or audit is started before the end of the 3-year period, the records must be retained until the litigations, claims or audit findings have been resolved.

**Account Identification:**

20-8153-0-7-304; 20-8145-0-7-304; 68-0108-0-1-304; 68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$33,800,000; FY 12 est \$32,100,000; and FY 13 est \$28,000,000 - Grants obligated for American Samoa, Commonwealth of the Northern Mariana Islands, and Guam were the following: FY11 \$33.8M; FY12 \$32.1M; FY13 Est. \$28M.

**Range and Average of Financial Assistance:**

In general, financial assistance has increased annually depending on program funding that is consolidated into the grant. Financial assistance has generally ranged from \$2,000,000 to \$3,300,000/territory/fiscal year for environmental program assistance. The total estimated average is \$8,000,000/fiscal year.

For FY11 and beyond, territorial Drinking Water and Clean Water SRF grant funds are being consolidated into grants for the territories of Guam, CNMI and

American Samoa. For FY11 and 12, SRF financial assistance for the territories of Guam, CNMI and American Samoa has ranged from \$7M - \$9M annually per territory.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Island environmental agencies have significantly bolstered water, air, RCRA, superfund, and pesticides programs through the consolidated grants. The grants have allowed island governments to focus on environmental results without being overly burdened by administering multiple smaller grants. FY11 drinking water and clean water funding was awarded to the territorial utility consolidated grant. Consolidation of the grant funds allow utilities to focus limited funding on the highest drinking water and clean water priorities. Fiscal Year 2012: FY12 funding has not been currently awarded. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 40 CFR Part 35, Subpart A, Environmental Program Grants; EPA annual Program Guidance.

**Regional or Local Office:**

See Regional Agency Offices. EPA Region 2 Contact: Victor M. Trinidad, Chief, Environmental Management Branch, EPA Region 2, Caribbean Environmental Protection Division, Centro Europa Building, Suite 417, 1492 Ponce de Leon Avenue, San Juan, Puerto Rico 00907-4127; Phone: (787) 977-5870; FAX: (787) 729-7747; EPA Region 9 Contacts: Guam: Alba Espitia, Grants Management Specialist, Grants Management Office (PMD-7), U.S. EPA Region 9, 75 Hawthorne St., San Francisco, CA 94105; Ph: 415-972-3667; Fax: 415-947-3556; E-mail: espitia.alba@epa.gov; CNMI and American Samoa: Renee Chan, Grants Management Specialist, Grants Management Office (PMD-7), U.S. EPA Region 9, 75 Hawthorne St., San Francisco, CA 94105; Ph: 415-972-3675; Fax: 415-947-3556; E-mail: chan.renee@epa.gov.

**Headquarters Office:**

Alba Espitia, Grants Management Office (PMD-7), EPA Region 9, 75 Hawthorne St., San Francisco, California 94105 Email: espitia.alba@epa.gov Phone: (415) 972-3667.

**Website Address:**

<http://www.epa.gov/region9/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects have been funded which combined as few as two to several eligible programs. Environmental program grants are awarded annually to Insular Area agencies which consolidate a number of different program funds. In FY11 projects have been funded for the territorial utility agencies for construction of drinking water and clean water infrastructure projects. Fiscal Year 2012: Projects will continue to be funded which combined as few as two to several eligible programs. Environmental program grants are awarded annually to Insular Area agencies which consolidate a number of different program funds. In FY12 projects will continue to be funded for the territorial utility agencies for construction of drinking water and clean water infrastructure projects. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be approved if: (1) funds are available; (2) if the application satisfies the requirements of 40 CFR Parts 31 and 35 and applicable statutes; and (3) if the proposed work program is feasible and compatible with the program priorities in EPA annual guidance. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.604 ENVIRONMENTAL JUSTICE SMALL GRANT PROGRAM (EJSG)****FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Safe Drinking Water Act, Section 1442(c)(3); Clean Air Act, Section 103(b)(3);

Solid Waste Disposal Act, Section 8001(a); Marine Protection, Research, and Sanctuaries Act, Section 203; Toxic Substances Control Act, Section 10(a); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20(a); Clean Water Act, Section 104(b)(3); Comprehensive Environmental Response, Compensation and Liability Act, Section 311(c).

#### **OBJECTIVES:**

The primary purpose of proposed projects should be to develop a comprehensive understanding of environmental and public health issues, identify ways to address these issues at the local level, and educate and empower the community. The long-term goals of the program are to help build the capacity of the affected community and create self-sustaining, community-based partnerships that will continue to improve local environments in the future.

Funding Priority - Fiscal Year 2012: An estimated \$1,250,000 will be used to support non-profit organizations with activities that address environmental justice concerns, including but not limited to: increase awareness of and lessen impacts from stormwater; actively address harmful air particles that affect the health and well being of residence; build capacity of community leaders, adults and youth through health data collection activities and watershed education; promote the connection of health issues to environmental quality through comprehensive outreach and education; reduce pesticide exposure and improve health of farm-workers by training health care providers about pesticide exposure; monitoring farm-workers' working conditions; and encourage healthy, environmentally friendly alternatives to industrially produced agriculture.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, and investigations plus allowable direct costs in accordance with established EPA policies and procedures. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. The recipient cannot use these funds for the following activities under this program: litigation against the Federal government or any other government entity; construction; lobbying; matching funds for other Federal grants; travel for Federal employees; and human health studies (taking blood or other information from humans).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. An eligible applicant MUST BE: an incorporated non-profit organization; OR a Native American tribal government (Federally recognized) (AND) located within the same state(s), territory, commonwealth, or tribe that the proposed project will be located. In addition, an eligible applicant must be able to demonstrate that it has worked directly with the affected community. An "affected community" for the purposes of this assistance agreement program, is a community that is disproportionately impacted by environmental harms and risks and has a local environmental and public health issue that is identified in the proposal. The following entities are INELIGIBLE: colleges and universities; hospitals; state and local governments; quasi-governmental entities (e.g., water districts, utilities)\*; and national non-profit organizations that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995.

\*Generally, a quasi-governmental entity is one that: (1) has a close association with the government agency, but is not considered a part of the government agency; (2) was created by the government agency, but is exempt from certain legal and administrative requirements imposed on government agencies; or (3) was not created by the government agency but performs a public purpose and is significantly supported financially by the government agency.

#### **Beneficiary Eligibility:**

Non-Profit organizations as described in 081 above.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 for non-profit organizations and OMB Circular A-102 for local governments. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the U.S. Environmental Protection Agency, Office of Environmental Justice, Mail Code 2201A, 1200 Pennsylvania Avenue, N.W., Washington, DC 20460 or the appropriate EPA Regional Office identified under Information Contacts. Detailed information and assistance including an application may also be found at <http://www.epa.gov/compliance/environmentaljustice/grants/index.html>. For grant awards, Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

About 150 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project grant will be awarded for a 1 year project period. Activities must be completed within the timeframe of the project's budget period and all grants will be fully funded at the time of award. See the following for information on how assistance is awarded/released: Grants are fully funded at award and recipients request funds on an as needed basis.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require interim and final progress reports and financial reports. Reporting requirements are also identified in the Grant Regulations Part 30 and Part 31. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of three years from the date of submission of the Financial Status Report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,254,000; FY 12 est \$1,250,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

\$20,000 to \$50,000/fiscal year; average \$25,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 216 applications were received and 46 awards were made. Fiscal Year 2012: In FY 2012, 221 applications were received and we anticipate up to 46 awards will be made. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 30.

**Regional or Local Office:**

See Regional Agency Offices. Region 1 Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont: Primary Contact: Amy Braz (617) 918-1346, USEPA Region 1 (RAA), One Congress Street - Suite 1100, Boston, MA 02203-0001; Region 2 New Jersey, New York, Puerto Rico, U.S. Virgin Islands: Primary Contact: Terry Wesley (212) 637-5027, wesley.terry@epa.gov, USEPA Region 2, 290 Broadway, 26th Floor, New York, NY 10007; Secondary: Tasha Frazier (212) 637-3861, frazier.tasha@epa.gov. Region 3 Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia: Primary Contact: Reginald Harris (215) 814-2988, harris.reggie@epa.gov, USEPA Region 3 (3DA00), 1650 Arch Street, Philadelphia, PA 19103-2029. Region 4 Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee: Primary Contact: Elvie Barlow (404)562-9650, barlow.elvie@epa.gov, USEPA Region

4 Main Office (404) 562-8407, 61 Forsyth Street, Atlanta, GA 30303-8960; Secondary: Ella McLendon (404) 562- 8316, mclendon.ella@epa.gov. Region 5 Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin: Primary Contact: Margaret Millard (312) 353-1440, millard.margaret@epa.gov, USEPA Region 5 (DM7J), 77 West Jackson Boulevard, Chicago, IL 60604-3507. Region 6 Arkansas, Louisiana, New Mexico, Oklahoma, Texas: Primary Contact: Shirley Quinones (214) 665-2713, quinones.shirley@epa.gov, USEPA Region 6, Fountain Place, 13th Floor, 1445 Ross Avenue (RA-D), Dallas, Texas 75202-2733; Secondary Contact: Nelda Perez (214) 665-2209, perez.nelda@epa.gov. Region 7 Iowa, Kansas, Missouri, Nebraska: Primary Contact: Althea Moses (913) 551-7649, mooses.althea@epa.gov, USEPA Region 7, 901 North 5th Street (RGAD/ECO), Kansas City, KS 66101; Secondary: Kimberly Jones (303)551-7280: Region 8 Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming: Primary Contact: Nancy Reish (303) 312-6040, reish.nancy@epa.gov, USEPA Region 8 (8ENF-EJ), 999 18th Street, Suite 300, Denver, CO 80202-2466; Secondary: Jean Belille (303) 312-6556 belille.jean@epa.gov. Region 9 Arizona, California, Hawaii, Nevada, American Samoa, Guam: Primary Contact: Karen Henry (415) 972-3844, henry.karen@epa.gov, USEPA Region 9 CMD-1, 75 Hawthorne Street, San Francisco, CA 94105. Region 10 Alaska, Idaho, Oregon, Washington: Primary Contact: Running Grass (206) 553-2899, grass.running@epa.gov, USEPA Region 10 (OMP-143), 1200 Sixth Avenue, Seattle, WA 98101.

**Headquarters Office:**

Sheila Lewis, Office of Environmental Justice, (2201A), Environmental Protection Agency, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: lewis.sheila@epa.gov Phone: (202) 564-0152.

**Website Address:**

[http://www.epa.gov/compliance/environmentaljustice/grants/ej\\_smgrants.html](http://www.epa.gov/compliance/environmentaljustice/grants/ej_smgrants.html)

**RELATED PROGRAMS:**

66.309 Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: An example of different types of project funded through this program include: the development of a georeferenced inventory of wells and septic systems, assist in repairs of failing systems, and educate tribal members about proper maintenance; conducting an analysis of soil lead in the community; identify airborne particulate hot spots in the community; using data results to educate members of communities about safe urban gardening and protecting children from lead poisoning; teaching parents of Head Start children the dangers and effects of exposure to lead; yearlong habitat wetland restoration and marine debris removal training program; creating a community learning garden and greening activities for residents of all ages; educate and train migrant farm workers about the risk of exposing themselves as well as their families to pesticides and assisting newer farm workers in implementing Worker Protection Standards; and engaging youth using an educational approach that will help ensure that the lesson plans created about environmental justice issues relative to the Clean Water Act are lively, fun, and ideal for informal educational environments. Fiscal Year 2012: An example of different types of project funded through this program include: a project to reduce lead exposure and provide community education about the local risks and sources of lead exposure, especially for children by including outreach of home repair programs to connect residents with lead abatement services, soil testing for all vacant lots in the community, identifying lead hot spots and assisting community groups in planning gardens and other vacant land reuse projects, and hiring young adults to gain job skills while providing services to their community; provide hands-on water quality testing and investigations, water quality monitoring activities, and community outreach leading to traditional applications for caring for and protecting tribal waters; Engage tribal youth to be a steward of clean water practices; work with 7 rural communities to find solutions to address the pollution impacts from Concentrated Animal Feeding Operations (CAFOs) through active and meaningful involvement in environmental permitting, compliance, enforcement, land use, zoning, and open government processes applicable to CAFOs; Plan and implement two Fracking 101 trainings and two citizen town hall meetings; the trainings will include four key topic areas: the health implications of fracking, testing your drinking water supply, legislation and agency rules governing fracking in the state and farm

and landowner issues. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.605 PERFORMANCE PARTNERSHIP GRANTS**

(PPGs)

##### **FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

##### **AUTHORIZATION:**

Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies Appropriations Act of 1998, Public Law 105-65; Omnibus Consolidated Rescissions and Appropriations Act of 1996, Public Law 104-134.

##### **OBJECTIVES:**

Improving EPA's partnership with the States and Tribes is critical to accelerating environmental outcomes. Performance Partnership Grants (PPGs) are the cornerstone of the National Environmental Performance Partnership System (NEPPS) -- EPA's strategy to strengthen partnerships and build a results-based management system. PPGs are innovative grant delivery tools that allow States and Tribes to combine up to 20 eligible STAG program grants into a single grant with a single budget. PPGs can reduce administrative transaction costs, provide the flexibility to direct resources toward the highest priority environmental problems, and support cross-media approaches and initiatives. EPA's overarching goal is to optimize the leveraging power of PPGs to focus strategically on the joint priorities of EPA, States and Tribes. PPGs do not include any funding in addition to the state and tribal assistance grants provided under other statutory authorities.

Funding Priority - Fiscal Year 2012: Many state environmental agencies are experiencing severe budget cuts and will be challenged to maintain core programs. In this climate, EPA's regional offices will give priority to flexibility and opportunities to work collaboratively with States and Tribes. The Agency will continue to focus on our ongoing goals for the PPG program, which are: (1) strengthen partnerships between EPA, the States, Tribes, and interstate agencies through joint planning and priority setting to deploy resources more effectively; (2) provide States, Tribes, and interstate agencies with the flexibility to direct resources where they are needed most to address environmental and public health priorities; (3) link program activities more effectively with environmental and public health goals and environmental outcomes; (4) foster implementation of innovative approaches such as pollution prevention, ecosystem management, and community-based environmental protection strategies; and (5) provide savings by streamlining administrative requirements. .

##### **TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

PPGs are a type of modified block grant, where recipients may combine funds from categorical grants to accomplish their joint and several purposes, so long as recipients meet program requirements for each categorical grant combined into the PPG. The 20 categorical grants eligible for PPGs are a mixture of continuing program grants and competitive project grants. Eligible recipients can combine two or more of the following 20 categorical grants programs identified in EPA's State and Tribal Assistance Grants (STAG) appropriation into a PPG: (1) Air Pollution Control (Clean Air Act [CAA] Section 105); (2) Water Pollution Control (Clean Water Act [CWA] Section 106); (3) Nonpoint Source Management (CWA Section 319); (4) Water Quality Cooperative Agreements (CWA Section 104(b)(3)); (5) Wetlands Program Development (CWA Section 104(b)(3)); (6) Public Water System Supervision (Safe Drinking Water Act [SDWA] Sections 1443(a) and 1451(a)(3)); (7) Underground Water Source Protection (SDWA Section 1443(b)); (8) Hazardous Waste Management (Solid Waste Disposal Act, Section 3011(a)); (9) Underground Storage Tank (Solid Waste Disposal Act, Section 2007(f)(2)); (10) Radon Assessment and Mitigation (Toxic Substances Control Act [TSCA] Section 306); (11) Lead-based Paint Activities (TSCA Section 404(g)); (12) Toxic Substances Compliance Monitoring (TSCA Section 28); (13) Pollution Prevention

Incentives for States (Pollution Prevention Act [PPA] Section 6605); (14) Pesticide Cooperative Enforcement (Federal Insecticide, Fungicide, and Rodenticide Act [FIFRA] Section 23(a)(1)); (15) Pesticides Program Implementation (FIFRA Section 23(a)(1)); (16) Pesticide Applicator Certification and Training (FIFRA Section 23 (a)(2)); (17) Environmental Information Network Exchange Grants (Consolidated Appropriations Resolution for the Departments of Veterans Affairs, Housing and Urban Development, and Independent Agencies of 2003, Public Law 108-7; Consolidated Appropriations Act of 2004, Public Law 108-199); (18) Brownfields State and Tribal Response Program Grants (Comprehensive Environmental Response, Compensation, and Liability Act of 1980 [CERCLA], Section 128(a), as amended; Public Law 107-118; Small Business Liability Relief and Brownfields Revitalization Act); (19) Capacity Building Grants and Cooperative Agreements for States and Tribes (CWA, Section 104; FIFRA, Section 20; CAA, Section 103; Solid Waste Disposal Act, Section 8001; SDWA, Section 1442; TSCA, Section 10; Marine Protection, Research and Sanctuaries Act, Section 203; CERCLA, Section 311; National Environmental Policy Act [NEPA], Section 102(2)(F) [for international awards]; and (20) General Assistance Grants to Indian Tribes (Indian Environmental General Assistance Program Act of 1992; only eligible Tribes can propose to include these funds in a PPG application). Recipients may use PPGs to fund activities that are within the cumulative eligibilities of the 20 categorical grants programs listed above for which they are eligible.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

##### **Applicant Eligibility:**

All States, interstate agencies, U.S. territories, the District of Columbia, and federally recognized Indian Tribes eligible to receive more than one of the 20 categorical grants programs referred to in "Uses and Use Restrictions" above are eligible to apply for PPGs. Any duly authorized State or tribal entity that currently receives or is eligible to receive EPA categorical program grants may request a PPG for the funds it administers. This may include agencies other than environmental agencies (for example, agricultural and health agencies), where authorized by state or tribal law. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

##### **Beneficiary Eligibility:**

States, U.S. territories, federally recognized Indian tribal governments, and interstate agencies.

##### **Credentials/Documentation:**

All recipients are agencies of state, local, tribal, or territorial governments. All documentation requirements for recipients are presented at 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and 40 CFR Part 35, "State and Local Assistance." OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

Applicants interested in pursuing PPGs should coordinate with their appropriate EPA regional office to develop a PPG through joint negotiations (See Appendix IV of the Catalog). Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for

coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for applications should be made to the appropriate EPA regional grants management office. Applicants will negotiate the content of their PPG with their EPA regional office and submit an application for the PPG based on these negotiations. Applicants for PPGs must submit an "Application for Federal Assistance: State and Local Non-Construction Programs," (Standard Form 424), including the required supporting documents. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Grant applications are reviewed by the appropriate EPA regional office, and if approved, awarded by the Regional Administrator. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. After the applicant is chosen for the competitive award, the applicant will work with the EPA regional office to add those competitive grant funds to the PPG if requested by the state. The workplan and supporting documentation that were the basis of the competitive award also will be added to the PPG.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Major portions of the PPGs are by statutory formula. The allocation for a PPG consists of the cumulative allocations for the categorical grants included in the PPG. Recipients should calculate a single, composite minimum cost share (based on the match or maintenance of effort requirements of the categorical grants included in the PPG) for each of their PPGs. To calculate the minimum cost share for a PPG, start with the amount of federal dollars from each program (source of funds) going into the PPG. The minimum required cost share for each portion is determined by identifying the cost share requirements of the relevant categorical grant program. The minimum recipient cost share for the PPG is the sum of the minimum cost shares of the contributed categorical grants. Tribal governments and intertribal consortia may be eligible for match requirement waivers based on demonstrated hardship. Such waiver eligibility will be determined by the Regional Administrator and will be based on socio-economic criteria. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the PPG shall be determined during pre-application negotiations and at the time of the award. Applicants may choose to submit either annual or multi-year work plans and project periods. Budget periods will be for 12 months with the applicant having the flexibility to select, in consultation with the Regional Administrator, the specific start and end date for the budget period. Grant awards are made after review and approval of the application.

Grantees are reimbursed for actual expenses based on submissions in financial status reports. See the following for information on how assistance is awarded/released: Annually.

**Reports:**

Applicants must provide reports and conduct joint evaluations in accordance with 40 CFR Part 31 and 40 CFR Part 35, Subparts A and B. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs (see section [70] for a list). Cash reports may be required. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs. Progress reports may be required. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs. Expenditure reports may be required. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs. Performance monitoring may be required. Refer to the program descriptions for the individual STAG program grants eligible for inclusion in PPGs.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants) FY 11 \$424,000,000; FY 12 est \$425,000,000; and FY 13 est \$425,000,000 - FY 11 \$424,000,000; FY 12 est \$425,000,000; FY 13 est \$425,000,000

NOTE: See General Objectives, section [50], for a description of PPGs. The amounts cited above are inclusive of, not in addition to, obligations reported under individual STAG program grants eligible for inclusion in PPGs (see section [70] for a list).

**Range and Average of Financial Assistance:**

There is no low-end limit for PPG awards, which may be as small as combining two programs and thousands of dollars to Tribes, or as large as combining up to 19 categorical grants to States. PPG totals for larger States can exceed \$10 million. In FY 2011, state PPGs generally contained six or seven categorical grants, with award amounts averaging around \$5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: PPGs have allowed States to take advantage of administrative and program efficiencies and innovations to achieve greater environmental and program results. States and Tribes have used PPGs to address critical emergencies and unplanned events (for example, responses to the BP oil spill, recent tornadoes and Mississippi River flooding), and have used PPG flexibility to overcome periodic budget needs or high program demands in specific programs. States and Tribes have used PPGs to implement multi-program initiatives and innovations that impact many environmental programs. They also have taken advantage of streamlined administrative procedures to make grant processes more efficient. PPGs have allowed Tribes to develop and implement environmental programs in situations where it would have been more difficult using categorical grants. Nearly all PPG applicants receive a

grant, since they generally fund ongoing environmental programs. The total number of PPGs in effect in FY 2011 was 172, including 41 to state environmental agencies; 26 to state agricultural agencies; and 105 to tribal agencies.

Also refer to the descriptions of accomplishments for the individual STAG program grants eligible for inclusion in PPGs (see section [70] for a list). Fiscal Year 2012: PPGs have allowed States to take advantage of administrative and program efficiencies and innovations to achieve greater environmental and program results. States and Tribes have used PPGs to address critical emergencies and unplanned events (for example, responses to recent tornadoes and Mississippi River flooding), and have used PPG flexibility to overcome periodic budget needs or high program demands in specific programs. States and Tribes have used PPGs to implement multi-program initiatives and innovations that impact many environmental programs. They also have taken advantage of streamlined administrative procedures to make grant processes more efficient. PPGs have allowed Tribes to develop and implement environmental programs in situations where it would have been more difficult using categorical grants. Nearly all PPG applicants receive a grant, since they generally fund ongoing environmental programs. The total number of PPGs in effect thus far in FY 2012 is 173, including 42 to state environmental agencies; 26 to state agricultural agencies; and 105 to tribal agencies.

Also refer to the descriptions of accomplishments for the individual STAG program grants eligible for inclusion in PPGs (see section [70] for a list). Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 35 Subparts A and B; 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

#### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for EPA Regional Office contacts.

#### **Headquarters Office:**

Michael Osinski, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 1306A, Washington, District of Columbia 20460 Email: osinski.michael@epa.gov Phone: (202) 564-3792.

#### **Website Address:**

<http://www.epa.gov/ocir/nepps/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) Grantee uses funding from multiple grants to develop integrated data reporting infrastructure; (2) Grants tap funding from media programs combined in the PPG to fund pollution prevention activities; (3) Grantee negotiates with the regional office to use unexpended prior year funds for special projects to meet state priorities. Fiscal Year 2012: (1) Grantee uses funding from multiple grants to develop integrated data reporting infrastructure; (2) Grants tap funding from media programs combined in the PPG to fund pollution prevention activities; (3) Grantee negotiates with the regional office to use unexpended prior year funds for special projects to meet state priorities. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applicants must meet selection criteria for the categorical grants to be combined in the PPG. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.608 ENVIRONMENTAL INFORMATION EXCHANGE NETWORK GRANT PROGRAM AND RELATED ASSISTANCE**

Exchange Network Grant Program

#### **FEDERAL AGENCY:**

Office of Environmental Information, Environmental Protection Agency

#### **AUTHORIZATION:**

Clean Water Act, Section 104(b)(3); National Environmental Policy Act, Section 102(2)(F); Solid Waste Disposal Act, Section 8001; Comprehensive Environmental Response, Compensation, and Liability Act, Section 104; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Marine Protection, Research and Sanctuaries Act, Section 203; Safe Drinking Water Act, Section 1442; Toxic Substances Control Act, Section 10.

#### **OBJECTIVES:**

EPA, states, territories, and tribes are working together to develop the National Environmental Information Exchange Network, a secure, Internet- and standards-based way to support electronic data reporting, sharing, and integration of both regulatory and non-regulatory environmental data. States, tribes and territories exchanging data with each other or with EPA, should make the Exchange Network and the Agency's connection to it, the Central Data Exchange (CDX), the standard way they exchange data and should phase out any legacy methods they have been using. More information on the Exchange Network is available at [www.exchangenetwork.net](http://www.exchangenetwork.net). The Exchange Network Grant Program provides funding to states, territories, tribes, and inter-tribal consortia to develop the information technology and information management capabilities they need to actively participate in the Exchange Network. This program supports the exchange of data; mentoring, planning and training activities; and collaborative work within the Exchange Network. This grant program may also be used to fund the standardization, exchange and integration of geospatial information to address environmental, natural resource, and human-health challenges.

Projects supported by the FY 2012 Exchange Network Grant Program, which are funded through EPA's STAG account, must address at least one priority activity from one of the following tiers: Tier 1- development and deployment of Air Quality System (AQS), Resource Conservation and Recovery Act Information System (RCRAinfo), Underground Injection Control (UIC), data exchanges, network publishing using web services to allow EN partners and the public to access, integrate, and analyze information from sources across the Network. Collaborative Opportunity: a partnership application that includes joint State and/or Tribal efforts to map to the SDWIS schema, expanded to include compliance monitoring (e.g., parametric, sampling schedules) data, and development and deployment of web services that Exchange Network partners can use to consume the data specified in this expanded schema. Collaborative Opportunity: Transitioning to one of the cloud based node platforms that EPA will implement. Tier 2-Development and deployment of data exchanges for national priority systems, other than those in tier 1, including: Emission Inventory System (EIS), Electronic GHG Reporting Tool (e-GGRT), Integrated Compliance Information System - National Pollutant Discharge Elimination System (ICIS-NPDES), Net Discharge Monitoring Reports, Assessment TMDL Tracking and Implementation System (ATTAINS), eBeaches, Safe Drinking Water Information System (SDWIS) (the standard SDWIS data exchange for reporting violation data), Water Quality Exchange (WQX), Facility Registry System (FRS), Toxic Release Inventory System (TRIS). Development and implementation of applications using web services to allow data access to EN partners and the public; projects must use EN technology that can be shared by EN partners. Enhancement (adding new data elements, expanding geographic coverage, additional parameters, historical data) of existing priority data exchanges. Integration of FRS web services into state data systems. Expansion of national priority system data exchanges already implemented by the applicant to potential network partners that are ineligible to apply for Exchange Network grants on their own (e.g., states partnering with locally delegated governments) through collaborative re-use of existing tools and services. Development and deployment of a Cross-Media Electronic Reporting Rule (CROMERR) system upgrade, described in a CROMERR application previously approved by EPA. Collaborative Opportunity: Partnership to develop multi-program CROMERR application for states that currently do not have an enterprise-wide approach; application should seek to leverage existing solutions approved by EPA. Collaborative Tribal Opportunity: Tribal governments and inter-tribal consortia are eligible to apply for Exchange Network grants to build tribal capacity that will result in enhancing environmental programs on tribal lands and the ability to share environmental data electronically with EN partners. Collaborative tribal capacity building applications must include multiple tribes and identify tribes with existing



capacity that can serve as mentor. Collaborative tribal capacity applications must identify specific outputs and outcomes that result in the increased ability to share environmental information/data electronically with EPA and/or other EN partners (e.g., developing a backend database for a priority data system). Tier 3 -Development and deployment of other innovative data exchanges (e.g., emergency response, open dump, surface coal mining data integration and reporting, support for sustainable development through sharing data related to transit, zoning/master plan, building permits and LEED buildings and infrastructure initiatives such as water quality laboratory data reporting) that are applicable to multiple partners. Geo-enabling national priority system data exchanges. Implementation of new, open-source Node 2.0-compliant tribal nodes or node clients (tribal requests for resources should be limited to hardware needs and installation/configuration in applicants environment); please note that grant resources are not available in FY 2012 to support upgrading existing nodes to the Node 2.0 specification.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funding is available for direct costs associated with carrying out grant-supported projects and for allocations of allowable indirect costs, in accordance with established EPA policies. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Eligible applicants for the Exchange Network Grant Program include states, the District of Columbia, U.S. territories (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands), federally recognized Indian tribes, and intertribal consortia of federally recognized tribes. An intertribal consortium is eligible to apply for assistance from the Exchange Network Grant Program by meeting the following criteria: a) the majority of the consortium members are federally recognized Indian tribes; b) all consortium federally recognized tribal members have authorized the consortium to apply for and receive assistance (if awarded) from the Exchange Network Grant Program; and c) the intertribal consortium has adequate accounting controls to manage awarded funds while ensuring that only federally recognized tribal members will benefit directly from the award. Regional air pollution control districts may apply for assistance if they are legally considered to be agencies or instrumentalities of the state under applicable state laws. Recipients of five or more active Exchange Network Grants are not eligible to apply for FY 2013 grants. An active grant is any grant where the final technical report has not yet been approved by EPA. The following entities are not eligible to apply for funding from the competitive Exchange Network Grant Program: state/territorial/tribal universities; city, town, county, or regional governments; nonprofit organizations, including organizations that represent the interests of co-regulators/co-implementers in executing environmental programs. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. In addition to issuing competitive awards to states/territories/tribes and intertribal consortia, EPA may use a portion of the Exchange Network Grant Program funds to issue one or more non-competitive awards for associated program support to a co-regulator/co-implementer organization. A co-regulator/co-implementer organization is one that represents the interests of governmental units (for example, state or regional governments) in executing a national or regional environmental program. The membership of such a national or regional organization is composed of officials of the co-regulator or co-implementer

entities (for example, state environmental commissioners). Eligible applicants for non-competitive awards that relate to the Exchange Network and are funded through EPA's EPM account include non-profit organizations that are co-regulator/co-implementer organizations and groups that serve to expand tribal participation in the Exchange Network.

#### **Beneficiary Eligibility:**

Federal, state, territory, city, town, county, and regional governments; federally recognized Indian tribes and intertribal consortia of federally recognized tribes; public institutions and industries subject to EPA regulatory reporting requirements; and the public.

#### **Credentials/Documentation:**

Costs will be evaluated in accordance with OMB Circular No. A-87, "Cost Principles for State, Local, and Indian Tribal Governments," or OMB Circular No. A-122, "Cost Principles for Non-Profit Organizations," as appropriate. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Please contact Marla Sheppard (202) 564-5954 for questions involving Intergovernmental Review. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants for the FY 2012 Exchange Network Grant program must submit an application package to EPA by November 4, 2011. EPA will accept applications for National Environmental Information Exchange Network grants in one of two ways: 1) a hardcopy mailed or delivered application, including one original and two copies or 2) an application submitted electronically through the [grants.gov](http://grants.gov) website. EPA will confirm receipt of each application with an e-mail to the contacts listed in the cover letter. The specific requirements of the application package can be found in Appendix D, which outlines the format for the project narrative (no more than ten-single-spaced pages) and provides detailed application instructions. Appendix G provides a checklist of required documents to submit. Fillable versions of these forms are available at <http://www.epa.gov/ogd/AppKit/application.htm>. EPA may require applicants approved for funding to submit additional or updated documents to complete the funding package. EPA will provide further instructions for submittal of additional or updated documents at that time.

The narrative should describe the major goals, outputs and outcomes leading to environmental results of the two-year project. To achieve outcomes that lead to environmental results, applicants should propose a project that contains one or more goals (for example, implement a WQX data exchange or publishing AQ5 data to neighboring partners) that will have outcomes supporting timely access to high quality environmental data. Projects can also support environmental results by improving the efficiency and security of data sharing (for instance, D-3 making state electronic reporting systems CROMERR compliant for priority reports). EPA will evaluate the major technical and non-technical outputs of the proposed work and the outcomes, leading to environmental results, these outputs support. The schedule of outputs must be detailed enough to demonstrate an applicant's ability to track progress toward each goal. Each proposed goal must have at least one outcome leading to an environmental result. Examples of project outputs might include technical products such as schema or EN data access tools and services. Non-technical outputs might include the creation of workgroups, issuance of RFPs or other major project actions or events. Examples of outcomes that support environmental results include: improving the timeliness and accuracy of environmental data; reducing the burden and costs of data management and reporting; strengthening environmental decision making by enhancing data access for environmental professionals and the public. Applicants can find a sample narrative with goals, outputs and outcomes in Appendix E.

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

EPA will evaluate the project proposal based the evaluation criteria in section V-A of the 2012 Solicitation Notice. Please note that in evaluating applicants under this criteria, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). In making the final funding decisions from among the most highly scored proposals, the EPA selection official may also consider one or more of the following factors: A. EPA programs' ability and/or readiness to support proposed project activities; B. geographic distribution of funding; C. prioritization of data exchange and priority activities over other assistance activities; D. ensuring participation in the Exchange Network by federally recognized Indian tribes and inter-tribal consortia; and E. EPA's capacity to provide any requested in-kind services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants whose applications are denied for funding will be notified approximately five months after the application deadline. Applicants whose applications are recommended for funding will be notified, initially to request additional documentation to finalize the application, and, later, when the assistance agreements are issued and mailed by EPA's Grants and Interagency Agreements Management Division, which is expected to be approximately eight to nine months after the application deadline.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance will be provided through grants and cooperative agreements. EPA may provide support in the form of direct funding and/or in-kind assistance, in lieu of direct funding. EPA plans to issue awards for applications that are recommended for funding approximately seven months after the application deadline. The standard period of performance for projects funded by the Exchange Network Grant Program is two years. EPA may consider requests from award recipients for project/budget period extensions; and if deemed appropriate by EPA, the Grants and Interagency Agreements Management Division may issue amendments extending the project/budget periods. See the following for information on how assistance is awarded/released: Assistance will be provided through lump sum allocations which grantees can draw down upon through programmatic invoices.

**Reports:**

Award recipients must submit semi-annual progress reports and a final project report that covers the entire project period. The semi-annual progress reports must be submitted within one month of the end of each semi-annual reporting period. The reporting periods are from October through March and April through September of each fiscal year. Award recipients must submit the final project report and a final Financial Status Report (Standard Form 269) to EPA

within 90 days after the end of the project/budget period. Program reports are required. Cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all accounting records that substantiate the charges to each grant, must be maintained and accessible to personnel authorized to examine EPA grant accounts. If certain financial records are part of an audit investigation, then they must be retained until the matter under investigation has been completely resolved. Award recipients must retain complete records documenting their projects for a period of seven years after the close-out of the agreement. Such records include, but are not limited to, financial records, technical reports, periodic performance progress reports, project management files, correspondence with other project partners, and correspondence with EPA. Final products and deliverables that result from the project are considered to be permanent records and should be retained indefinitely.

**Account Identification:**

68-0103-0-1-304; 68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$10,140,000; FY 12 est \$10,124,000; and FY 13 est \$15,200,000 - STAG Account: FY 2011 \$9,980,000; FY 2012 est \$9,964,000. EPM Account FY 2011 \$160,000; FY 2012 est \$160,000. FY 13 estimate \$15,200,000. EPA will set aside approximately ten percent of appropriated funding for tribal assistance agreements to further facilitate expanded tribal participation in the Exchange Network.

**Range and Average of Financial Assistance:**

STAG Account: Award amounts will range from \$50,000 to \$350,000 for the entire two-year project period. The average award amount will be \$200,000 for the entire two-year project period. EPM Account: The average award amount will be \$200,000 for the entire two-year project period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY 2012 is the tenth year of the Exchange Network Grant Program. From FY 2002 to FY 2011, EPA has provided approximately \$162 million for state, tribal, and territorial awards and associated program support through the grant program. In a relatively short period, the Exchange Network has become a reality. As of March 2012, all 50 states, 91 tribes and five territories have participated in developing the Exchange Network at some level. Using Grant funds, EPA and its partners are currently using or planning to use the Exchange Network to exchange a broad range of data, including, but not limited to the following: 30% Beaches (beaches water quality and closure data), 24% Air Quality System (AQS), 98% Emissions Inventory System (EIS), 52% Facility Registry System (FRS), 35.5% Integrated Compliance Information System/National Pollutant Discharge Elimination System (ICIS-NPDES), 34.3% Resource Conservation and Recovery Act Information System (RCRA Info), 38.5% Safe Drinking Water Information System (SDWIS), 128% Toxics Release Inventory System (TRIS), Underground Injection Control (UIC), and 88% Water Quality Exchange (WQX). As of Q4 2011, the Exchange Network program has accomplished 61.7% progress in submitting regulatory data to EPA. Eighty-eight tribes are currently reporting water and air quality data to EPA. For detailed information on state, territorial, and tribal activities, please see the grant activities that are described at <http://www.epa.gov/exchangenetwork/grants/index.html>. For information on the progress of the data exchanges, please see <http://www.exchangenetwork.net>. Fiscal Year 2012: Program Accomplishment data for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

## REGULATIONS, GUIDELINES, AND LITERATURE:

The Exchange Network Grant Program assistance agreements issued to state, territorial, and tribal governments are governed by EPA's regulations at 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." The assistance agreements issued to nonprofit organizations (i.e., co-regulator/co-implementer organizations) for associated program support for the Exchange Network Grant Program or other Exchange Network activities are governed by EPA's regulations at 40 CFR Part 30, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations." General information and guidance documents regarding the Exchange Network are available at <http://www.epa.gov/exchangenetwork>. Information about the Exchange Network Grant Program and previously funded activities is available at <http://www.epa.gov/exchangenetwork/grants>.

### Regional or Local Office:

See Regional Agency Offices.

### Headquarters Office:

Jonathan Jacobson, Information Exchange Partnership Branch, Office of Information Collection, Office of Environmental Information, Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Mail Code (2823-T), Washington, District of Columbia 20460 Email: [Jacobson.jonathan@epa.gov](mailto:Jacobson.jonathan@epa.gov) Phone: (202) 566-1984.

### Website Address:

<http://www.epa.gov/oei>

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2011: A State Environmental Services Agency proposes to continue to maintain and enhance the 1:24,000-scale of their Hydrography Dataset by integrating stormwater and wastewater infrastructure into the existing hydrographic network in a geographic area where water quality impacts are a priority concern.

A State Department of Environmental Protection proposes to replace an emission inventory and compliance system with EPA's CERS XML format, CROMERR, and other EPA Emission Inventory System (EIS) requirements; expand and improve emissions and compliance data collection and reporting; utilize the Exchange Network to implement expedient, automated data exchange with EPA for criteria pollutants and toxics; and publish emissions data in an e-Government model.

Another State Department of Environmental Protection proposes to enable the ambient monitoring data and associated metadata for ambient monitoring to use the Exchange Network for submittal of the regulatory ambient air monitoring data for their State.

An Alaskan Native Village proposes to expand their Water Quality Exchange (WQX) network node to include geospatial data collected by tribal personnel, as well as water quality data from the Kachemak Bay Area, Alaska, collected from other local environmental organizations. Fiscal Year 2012: The FY 2012 Award process was not completed before June, 2012 and so no example projects are available. Fiscal Year 2013: No Current Data Available

### CRITERIA FOR SELECTING PROPOSALS:

The evaluation criteria for the FY 2012 Exchange Network Grant program were described in Section V of the FY 2012 Solicitation Notice. The evaluation criteria included such factors as expected project outputs/outcomes, the feasibility and approach of the work plan, the relevance and significance of the proposed project to the Exchange Network, the adequacy of resources and key personnel, and past performance. EPA may also consider various qualitative criteria when determining which applications to recommend for funding. Examples of such qualitative criteria may include, but are not limited to, factors such as achieving a balance among projects, distributing funds among different states/territories/ tribes, and having EPA programmatic support for the project. Applications for non-competitive awards to co-regulator/co-implementer organizations, funded by the Exchange Network Grant program through EPA's

STAG appropriation, will be evaluated based on the ability of the applicant to provide the following: outreach, communications, technical assistance, and other support to states/tribes that are participating in, or may wish to participate in, the Exchange Network; and support for state participation in the Network Operations Board and related workgroups. Applications for non-competitive awards to a co-regulator/co-implementer organization, funded through EPA's EPM appropriation, will be evaluated based on the applicant's ability to support state participation in the EITLC, support for state and tribal participation in the Exchange Network Leadership Council, tribal participation in the Network Operations Board and its workgroups, and the work of the Tribal Governance Group.

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

## 66.609 PROTECTION OF CHILDREN FROM ENVIRONMENTAL HEALTH RISKS

Children's Environmental Health

### FEDERAL AGENCY:

Office of the Administrator, Environmental Protection Agency

### AUTHORIZATION:

Solid Waste Disposal Act, Section 1442; Solid Waste Disposal Act, Section 8001; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311; Clean Air Act, Section 103; Clean Water Act, Section 104; Toxic Substances Control Act, Section 10; National Environmental Policy Act, Section 102(2)(F); Marine Protection, Research, and Sanctuaries Act, Section 203.

### OBJECTIVES:

To support efforts by organizations; educational institutions; and/or State, local, and tribal governmental agencies to establish or enhance their ability to take actions that will reduce environmental risks to the health of children.

Funding Priority - Fiscal Year 2012: It is not anticipated that any awards will be made under CFDA 66.609 for FY 2012.

### TYPES OF ASSISTANCE:

Cooperative Agreements

### USES AND USE RESTRICTIONS:

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations, and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### Applicant Eligibility:

Assistance under this program is generally available to States or state agencies, territories, the District of Columbia, American Indian Tribes (federally recognized), and possessions of the U.S. It is also available to public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and 501(c)(3) organizations. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in

lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State agencies and local governments, U.S. territories and possessions, American Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions and organizations.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. The Office of Children's Health Protection may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, the Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding

increments is dependent on satisfactory project progress, continued relevance of the project to the Office of Children's Health Protection's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA Section 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the Section 311(b)(3) cost-sharing requirement in appropriate cases. Matching funds requirements may be established in program guidance or in the terms of competitive solicitations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12 or 24-month basis. However, the Office of Children's Health Protection can negotiate the project period with each applicant based on project requirements. EPA limits project periods to five (5) years. Grants and cooperative agreements may be incrementally funded or fully funded. This determination is made by EPA. See the following for information on how assistance is awarded/released: Assistance will be awarded in a lump sum and will be released on a reimbursement basis.

**Reports:**

No program reports are required. No cash reports are required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports. Reporting requirements are also identified in EPA's grants regulations at 40 CFR Parts 30 and 31. Quarterly progress reports are required to be sent to the EPA Project Officer within 30 days after each reporting period. These reports will cover work status, work progress, difficulties encountered, preliminary data results and a statement of activity anticipated during the subsequent reporting period, including a description of equipment, techniques, and materials to be used or evaluated. The report shall also include any changes of key personnel concerned with the project. Quarterly progress reports are required to be sent to the EPA Project Officer within 30 days after each reporting period. A discussion of expenditures along with a comparison of the percentage of the project completed to the project schedule and an explanation of significant discrepancies shall be included in the report. The EPA Project Officer is required to conduct baseline monitoring of each active award. For awards with original project periods 18 month or less in duration, the initial baseline monitoring will take place no later than six months from the award date. For awards with original project periods greater than 18 months in duration, the initial baseline monitoring will take place no later than 1 year from the award date. After the initial baseline monitoring, all subsequent baseline monitoring will occur within 12 months of the last baseline or advanced monitoring activity.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep

financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,300,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range: \$10,000 to \$150,000 per grant. Average: \$100,000 per grant (2 year grants).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Thirteen cooperative agreements collectively valued at \$1.3 million were awarded in FY 2011. These capacity building assistance agreements promote children's environmental health in underserved communities. Brief project descriptions are posted on the EPA website at: <http://yosemite.epa.gov/ochnp/ochpweb.nsf/content/childenvhealth.htm>. Fiscal Year 2012: It is not anticipated that any awards will be made in FY 2012 under CFDA 66.609. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and federally recognized tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

LaVonne Switzer, Office of Children's Health Protection; USEPA; Mail Code: 1107T; 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: [switzer.lavonne@epa.gov](mailto:switzer.lavonne@epa.gov) Phone: (202) 564-2711.

**Website Address:**

<http://www.epa.gov/children>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Thirteen (13) cooperative agreements were awarded to build capacity to promote children's environmental health in underserved communities. These projects include place-based approaches for reducing environmental hazards in indoor settings including healthy homes, healthy schools and healthy child cares. Descriptions of the work supported under these cooperative agreements is posted on the EPA website at: <http://yosemite.epa.gov/ochnp/ochpweb.nsf/content/childenvhealth.htm>.

A grant for development and deployment of a training program to raise awareness among youth about children's environmental health issues was awarded to an organization that provides support services to children living in underserved communities. Fiscal Year 2012: It is not anticipated that any awards will be made in FY 2012 under CFDA 66.609. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project, (2) adequacy of overall project design, (3) competency of proposed staff, (4) suitability of applicant's available

resources, (5) appropriateness of the proposed project period and budget, and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project, and (2) relationship to program objectives.

**66.610 SURVEYS, STUDIES, INVESTIGATIONS AND SPECIAL PURPOSE GRANTS WITHIN THE OFFICE OF THE ADMINISTRATOR  
FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 8001; Safe Drinking Water Act, Section 1442(a)&(c); National Environmental Policy Act, Section 102(2)(F); Toxic Substances Control Act, Section 10; Clean Air Act, Section 103; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Public Law 106-74; Marine Protection, Research, and Sanctuaries Act, Section 203; Clean Water Act, Section 104; Comprehensive Environmental Response, Compensation, and Liability Act, Section 311.

**OBJECTIVES:**

(1) To support surveys, studies, investigations, and special purpose assistance associated with air quality, acid deposition, drinking water, water quality, hazardous waste, toxic substances, and pesticides; (2) to identify, develop, and demonstrate necessary pollution control techniques; (3) to prevent, reduce, and eliminate pollution; (4) to evaluate the economic and social consequences of alternative strategies and mechanisms for use by those in economic, social, governmental, and environmental management positions; and (5) to promote collaboration on projects and activities within the states and enable wider and more coordinated state input on national environmental issues.

Funding Priority - Fiscal Year 2012: Priorities continue to include support for environmental health information and analysis to state legislatures; support to build state capacity to reduce environmental hazards that may affect health and the environment; support of environmental education training; support to promote and enhance state collaboration by focusing on communication and the sharing of environmental information among states; support to detail environmental outcome oriented indicators, measures, and goals that promote innovative environmental protection; and support to increase efficiency in the state environmental protection programs that results in cost-effective, sustainable environmental protection.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved surveys, studies, investigations and special purpose assistance, plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to State agencies, territories, the District of Columbia, Indian Tribes, and possessions of the U.S. Assistance is also available to public and private universities and colleges,

hospitals, laboratories, and other public or private nonprofit institutions. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applications. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State agencies and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, and other public and private nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. Office of the Administrator may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). For competitive awards, the Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Office of the Administrator's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA's Appropriation Act requires that applicants submitting unsolicited research grant proposals share in the cost of conducting research. The amount of the cost share will be based on the mutuality of interest between the Government and the applicant. This requirement cannot be waived by EPA. In addition, CERCLA Section 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost-sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the Section 311(b)(3) cost-sharing requirement in appropriate cases. Matching fund requirements may be established in program guidance or in the terms of competitive solicitations.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, the Office of the Administrator can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements may be incrementally funded or fully funded. This determination is made by the EPA. See the following for information on how assistance is awarded/released: Other.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in EPA's grant regulations 40 CFR Parts 30 and 31. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and institutions of higher education) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records which support substantial changes to the grant, available to personnel authorized to examine EPA recipients' grants and cooperative agreement records. Recipient must maintain all records for a period of three (3) years from the date of submission of final expenditures reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is fully resolved.

**Account Identification:**

68-1810-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$257,000; FY 12 est \$225,000; and FY 13 est \$110,000

**Range and Average of Financial Assistance:**

Range \$500 to \$500,000 per grant. Average amount of award approximately \$150,000 per grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011 the accomplishments of ongoing grants are: (1) "Building of state capacity to improve results based management" - Specifically working on improved planning alignment between EPA and the states and continued engagement in EPA National Program Guidance process, with an eye towards better integration of multi-media approaches that achieve quantifiable environmental outcomes. (2) Mercury Abatement - Grantee developed a "Quicksilver Caucus" Action Plan with dozens of planned activities, and EPA is in cooperative agreement with them to implement the plan. Some specific actions which are underway are a continued effort to help States educate and engage key public and private sector leaders on the actions taken to reduce and manage mercury in the environment, and continue to help implement a National Voluntary Mercury Switch Removal Program. Fiscal Year 2012: In FY 2012 the accomplishments of ongoing grants are: (1) "Building of state capacity to improve results based management" - Specifically working on improved planning alignment between EPA and the states and continued engagement in EPA National Program Guidance process, with an eye towards better integration of multi-media approaches that achieve quantifiable environmental outcomes. (2) Working with EPA towards grant streamlining and standardization; the timely award and expenditure of grant funds; grant burden reduction; grant performance measures, workplan requirements and other accountability mechanisms; Office of Management and Budget initiatives on administrative flexibility. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA general grant regulations (40 CFR Parts 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," and 40 CFR Part 31, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). Costs will be determined in accordance with OMB Circular A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for "for profit" entities.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Anthony Raia, Environmental Protection Agency, Office of the Administrator, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: Raia.Anthony@epamail.epa.gov Phone: (202) 564-2758.

**Website Address:**

<http://www.epa.gov/adminweb/>

**RELATED PROGRAMS:**

66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks; 66.611 Environmental Policy and Innovation Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: States project involved improved planning alignment between U.S. EPA and the states. Meaningful state engagement on the Strategic Plan and supporting annual planning efforts and its support of ongoing interaction between states and EPA. This involved continued engagement in NPM guidance process and insights for the annual planning and budgeting process. The states provided a written report on changes made as a result of state input to the National Program Manager Guidance and Strategic Plan update. Fiscal Year 2012: States project involved improved planning alignment between U.S. EPA and the states. Meaningful state engagement on the Strategic Plan and supporting annual planning efforts and its support of ongoing interaction between states and EPA. This involved continued engagement in NPM guidance process and insights for the annual planning and budgeting process. The states provided a written report on changes made as a result of state input to the National Program Manager Guidance and Strategic Plan update. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project, (2) adequacy of overall project design,

(3) competency of proposed staff, (4) suitability of applicant's available resources, (5) appropriateness of the proposed project period and budget, and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project, and (2) relationship to program objectives.

**66.611 ENVIRONMENTAL POLICY AND INNOVATION GRANTS  
FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Clean Water Act, Section 104, 33 U.S.C 1254; Toxics Substances Control Act, Section 10, 15 U.S.C 2609; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136(r); Clean Air Act, Section 103, 42 U.S.C 7403; Comprehensive Environmental Response, Compensation, and Liability Act, Section 104(k)(6)&311, 42 U.S.C 9660; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Safe Drinking Water Act, Section 1441, 42 U.S.C 300j-1; National Environmental Policy Act, Section 102(2)(F), 42 U.S.C 4332; Annual Appropriations Act.

**OBJECTIVES:**

(1) To support analyses, studies, evaluations, workshops, conferences, and demonstration projects that lead to reduced pollutants generated and conservation of natural resources; (2) to improve economic information and analytic methods to support studies, surveys, analyses, evaluations, conferences, workshops, and demonstration projects on the benefits, costs, and impacts of environmental programs; and (3) to improve economic information and analytic methods to support studies, surveys, analyses, evaluations, conferences, workshops, and demonstration projects of incentive-based and voluntary environmental management strategies and mechanisms; and (4) to support research to explore and develop strategies and mechanisms for those in the economic, social, governmental, and environmental arenas to use in environmental management decisions.

Funding priority - Fiscal Year 2012: The funding priorities for this program include continued support for innovative projects related to exploring, testing, or implementing smart growth policies and other environmental preferable approaches to development.

One or more new solicitations related to implementing smart growth policies and other environmentally preferable approaches will be issued in FY12.

As a consequence of reductions in appropriations and the impacts on the budget decisions, no new economic research solicitations were issued in FY2012.

Despite the absence of new funds, research priorities in the field of environmental economics and related research continue to include: work on improvements in the valuation of environmental benefits, including human health and ecological services; measuring economic costs and impacts to society from regulations; integrating economic and natural science models for purposes of assessing environmental risks and consequences, including those associated with GHG emissions and potential consequences for climate change; and utilization of alternative regulatory management and economic incentive approaches to achieve environmental objectives.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved Environmental Policy and Innovation plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:

<http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, interstate organizations, intrastate organizations, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are generally not eligible for funding. Some of EPA's statutes may limit assistance to specific types of interested applicants. See "Authorization" listed above. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. National laboratories funded by Federal Agencies (Federally-Funded Research and Development Centers, "FFRDCs") may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation and regulations. They may participate in planning, conducting, and analyzing the research directed by the applicant, but may not direct projects on behalf of the applicant organization. The institution, organization, or governance receiving the award may provide funds through its grant from the EPA to an FFRDC for research personnel, supplies, equipment, and other expenses directly related to the research. Federal Agencies may not apply. Federal employees are not eligible to serve in a principal leadership role on a grant, and may not receive salaries or augment their Agency's appropriations in other ways through grants made by this program.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, individuals, and international organizations.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424, "Application for Federal Assistance." Requests for application kits must be submitted to the Environmental Protection Agency, Grants and

Interagency Agreements Management Division, (3903R), Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Additional information on the EPA grant package can be found at: [http://www.epa.gov/ogd/grants/how\\_to\\_apply.htm](http://www.epa.gov/ogd/grants/how_to_apply.htm). Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For competitions involving research that are administered as part of the Economic and Decision Sciences program, OP will continue to adhere to the policies established by ORD, NCER and their Science to Achieve Results (STAR) program, which includes engaging an external technical peer review panel to evaluate the technical merits of research proposals.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days for most competitive solicitations. For competitive solicitations administered under the Economic and Decision Sciences program, the time for notification is approximately 240 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA may sometimes choose to either fully or incrementally fund awarded grants and cooperative agreements for Environmental Policy and Innovation. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, availability of funds, and Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: CERCLA 311(b)(3) requires that "to the maximum extent possible," EPA enter into an appropriate cost sharing arrangement with recipients of grants and cooperative agreements relating to innovative and alternative treatment technologies. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases. Matching requirements may be established in program guidance or the terms of competitive solicitations. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Grants and cooperative agreements may be incrementally or fully funded. This determination will be made by the EPA. See the following for information on how assistance is awarded/released: Most assistance awarded under this CFDA will either be released as a lump sum payment, paid on a quarterly basis, or paid on a monthly basis.

**Reports:**

For the economic research grants, recipients are required to prepare final written reports that summarize their research project and findings, and cite work (presentations, publications) supported with the EPA grant. No cash reports are



required. EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Specific reporting requirements are also identified in the Grant Regulations 40 CFR Parts 30 and 31.

In general, it is the policy of the Office of the Administrator to require Progress Reports from recipients on a routine schedule - either quarterly, semiannually or on an annual basis. This requirement, or a different requirement when applicable, will be spelled out in solicitations issued under this CFDA, and confirmed in the Terms and Conditions section for funded assistance agreements. Grant recipients are required to provide financial information to confirm that actual spending is consistent with the approved budget and allowable uses of EPA funds. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. Recipients must maintain all records until 3 years from the date of submission of final expenditure reports. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,612,000; FY 12 est \$1,100,000; and FY 13 est \$2,700,000 - OBLIGATIONS: For awards directed at smart growth issues, the total amount awarded through new awards and incremental funding was \$1.1 million in FY 2011. Projected new awards and incremental funding are expected to be \$1.1 million in FY 2012 and \$1.5 million in FY 2013.

For awards directed at economic analysis and research topics, including funding provided under the Economic and Decision Sciences program, the following distributions and projections are as follows: in FY2011, total awards through new awards and incremental funding totalled \$512 thousand; for FY 2012 there were no new awards and incremental funding of existing assistance agreements; and for FY2013 new awards and incremental funding is anticipated to total \$1.2 million (subject to appropriations and available funding).

**Range and Average of Financial Assistance:**

For awards related to smart growth, the range is from \$90,000 to \$363,000, with an average of \$180,000.

For recent awards in the area of economics - related to Environmental Economic Workshops: range is \$35,000 - \$95,000, with an average award of ~\$70,000. Related to Environmental Economics Dissertations and Early Career Research: range is \$35,000 - \$75,000, with an average of ~\$60,000. Related to Environmental Economic Research: range is \$75,000-\$300,000, with an average of ~\$250,000. There were no earmarks included in FY2010, FY2011 or FY2012. We do not anticipate any earmarks in FY2013.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No new economic solicitations were issued in FY2011.

Several grants were awarded in FY2011 which were developed in response to solicitation issued in FY2010 on "Environmental Economics Workshops, and Data Gathering for Dissertation and Early Career Research on the Pollution Control Aspects of Environmental Economics" which elicited 21 proposals, of which 5 were selected for funding. The solicitation seeks to strengthen the quality and completeness of the scientific information used in preparing economic analyses.

Examples of the type of research awarded in FY2011 included:

- Research to formally gather and synthesize expert knowledge on market and non-market damages due to the level and rate of climate change in developed and developing countries and advance the state-of-the-art in expert elicitation of deep uncertainty. The calculation of the costs and benefits of climate policy has received increased importance since 2007 when the U.S. Supreme Court found that greenhouse gases are pollutants covered under the Clean Air Act. Performing cost-benefit analysis of climate policy ultimately concerns assessing exposure to poorly defined long term risk, an exercise highly dependent on estimates of the magnitude of potential damage. Damages, however, are difficult to observe and attribute directly to climate change. Consequently, estimates available to analysts are often model specific, making comparison of uncertainty across studies difficult. In such cases it is often useful to elicit expert judgment. Despite over 30 years of research on the economics of climate change, only one elicitation of expert judgment has been recorded in the literature. Focusing on deep expert uncertainty will allow for the creation of a dataset in which sources of regular and deep uncertainty are transparent. Consequently, the results will be amenable to inclusion in cost-benefit analysis, as well as for benchmarking the results of new damage studies.

Three new grants were awarded to institutions supporting environmental economics workshops in FY2011. Topics for these workshops included the following subjects:

- A workshop of national scope on Government and Firm led Voluntary Pollution Control (VPC) Initiatives. While mandatory regulation remains the central tenet of US environmental policy, the regulatory landscape has changed in recent years with the increased recourse by federal and state agencies to VPC initiatives to improve environmental performance. The purpose of the proposed workshop is to provide a national forum for businesses, policy makers, and researchers in environmental economics and environmental policy related disciplines to assess current knowledge and debate the latest research on the determinants, effects, and effectiveness of VPC programs with a particular focus on their positive and negative spillover effects. VPC programs are an increasingly common feature of the contemporary approach to environmental protection in the U.S., so this workshop is designed to gauge the benefits or costs of such approach that have not been recognized before by policy makers and academics.

- Exploring the intersection of environmental and transportation policies and advance understanding of the analytical tools required to assess the economic and environmental impact of transportation policy, especially in light of environmental challenges or policies (e.g., expected climate change policies). This project will engage a group of experts in environmental economics and law, together with transportation planners and practitioners for a one day event focused on the use of cost-benefit analysis and environmental economics in assessing transportation policy at the national, regional, and local levels with particular emphasis on aligning economic and environmental goals in transportation policy, covering such issues as the social cost of carbon, the rebound effect, behavioral economics, and consumer welfare issues as they relate to transportation policy. Methods for estimating and monetizing the positive environmental impacts from transportation policies will be examined, with the goal of assuring more accurate evaluation of regulation and government projects in the transportation sector. Ultimately, more informed decision making in the transportation sector can lead to increased environmental and consumer welfare by identifying those policies that generate maximum social benefits in the most cost effective manner possible.

- Workshops to strengthen the field of environmental and resource economics through a series of small conferences on narrowly defined topical issues. The workshops are intended to facilitate communication among researchers in specific areas of environmental economics and help junior researchers develop better research programs that are more connected to policy. The workshops explore the state-of-the-art of a specific topic, bringing together the world's most prominent researchers on the topic, for intense exploration of the frontier of research. Possible topics include: comparative experiences with cap & trade; advances in measuring economic costs of air pollution; climate change and development; advances in the economics of integrated assessment; innovation and environmental regulation; and water research collaboration among economists, political scientists, hydrologists, and geologists. These workshops will help to improve the research and presentation skills of the environmental economics community, and increase researchers capability to conduct empirical work on the interplay between environmental regulation and environmental outcomes, including developing better methods for quantifying benefits to human health and welfare.

Several previously awarded research and workshop grants received supplemental funding during FY2011:

- Research using contingent valuation (CV) methods to measure the total value of ecological improvements from reduced acidification in the Adirondacks. The project is using a choice experiment (CE) survey in the Adirondacks, and both a CV and a CE survey in the Southern Appalachian Mountain region. The research provides an opportunity to compare results from these surveys, including testing for construct validity and convergence of the two valuation approaches. To address benefit transfer issues, the survey results from each survey type in one area will be transferred to another area and compared to the direct survey results for that other area. Some of these transfers will be conducted by using the functional benefit transfer approach, which adjusts for both demographic and attribute differences across areas. Traditional and Bayesian pooling techniques will also be used in another set of transfer exercises. Further, shadow prices estimated in the CE studies will be compared for shared attributes. In addition to developing methodologies for some of the above activities, we will examine approaches to treating uncertainty in ecological outcomes in a CE analysis (i.e., by making uncertainty an attribute) and a new approach to addressing prior beliefs by respondents (what we term "expansive priors"). The research will provide estimates of WTP for ecological changes resulting from reduced acidification in the Adirondack Park and Southern Appalachian region on a geographic and temporal scale that would be expected to result from current legislative or regulatory proposals. This would provide first ever comprehensive data for benefit cost analysis with respect to the effects of acidification, which for three decades has been a central issue in air pollution policy. Important methodological advances include benefit transfer methods using small sample studies that could reduce the cost of valuing benefits in new regions.

- Camp Resources, a highly successful workshop for development of young researchers in environmental and resource economic, was originally developed fifteen years ago, and continues to provide a forum for graduate students, young professionals, and advanced undergraduate students considering graduate study, to present research at its early stages and receive significant feedback from senior researchers. Since its inception, Camp Resources provides an opportunity for young researchers to expand their research and presentation skills by interacting in a small, less formal workshop with top scholars in the field of environmental economics. It also helps to create a network for future interactions and collaborations among those who attended. This workshop improves the capabilities of young environmental economists to conduct state-of-the-art research, thus advancing our knowledge on a wide array of environmental economics principles and tools.

- The Heartlands Environmental and Resource Economics Workshop, brings together economists working on environmental and resource problems in the Midwest, to exchange research ideas, to critically assess each others work, and to encourage collaborative efforts. The workshop agenda is centered around important public policy issues and research topics relevant to environmental and resource economics in the Midwest, and helps to inform economists working in this area on the newest research on these topics. The workshop also

provides a forum for graduate students in environmental and resource economics to present completed (or nearly completed) research to obtain critical feedback and for less advanced graduate students to become acquainted with current work in the field and to explore research ideas.

Accomplishments associated with grants funded in FY11 include the following:

- Delivery of the 11th Annual New Partners for Smart Growth Conference in San Diego, California, which attracted nearly 1500 attendees who convened to discuss practical and policy solutions to implementing smart growth in their communities. Attendees include local government officials, community stakeholders, practitioners, state and federal government representatives, and students.

- Continued presence of the [www.smartgrowth.org](http://www.smartgrowth.org) website, which provides resources, calendar of events, and notices of funding and technical assistance availability to the public on smart growth issues.

- More than 50 technical assistance site visits have been delivered to communities across the US through four grantees on topics ranging from walkability, to use of LEED-ND to improve public policy, to local code audits to identify regulatory barriers to more sustainable development approaches. Fiscal Year 2012: There were no new solicitations or new economic research awards made in FY2012. Several research and workshop projects were funded with prior fiscal year resources, and they continue as a result of their being established as multi-year projects.

Smart growth grant awards made in FY2011 have led to several dozen directed technical assistance site visits delivered to communities across the US on topics ranging from walkability, to use of LEED-ND to improve public policy, to local code audits to identify regulatory barriers to more green and sustainable development approaches.

Continuation of earlier grant awards funded in FY12 continue to support extensive outreach and education on smart growth and green building issues through an annual conference attracting nearly 1500 participants and an active website that provides critical resources to the public on the topics of smart growth.

New smart growth grants awarded in FY12 will likely result in one or more state-level workshops on how to ensure that public investments result in environmental and public health improvements. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Environmental Policy and Innovation grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers.

#### **Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

#### **Headquarters Office:**

Brett Snyder, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W., Mail Code: 1809T, Washington, District of Columbia 20460  
Email: [snyder.brett@epa.gov](mailto:snyder.brett@epa.gov) Phone: (202) 566-2261.

#### **Website Address:**

<http://www.epa.gov/op>

#### **RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and

## Hazardous Substance Research Grants

### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2011: Completed competitive solicitation for new workshops and research proposals supporting student dissertations or recent graduates of programs pursuing research topics.

Examples of work supported include:

(I) Workshop on the topic of transportation and environmental economics, focusing on: (1) best practices for implementing environmentally sound and economically feasible projects that align transportation goals with environmental policies; (2) building consensus on how best to incorporate environmental goals when conducting cost-benefit analyses; and (3) understanding when the social cost of carbon valuation framework may be used to estimate benefits associated with various projects.

(II) Workshop bringing together economists, corporate managers, and environmental policy makers to critically assess the determinants, effects, and effectiveness of VPC initiatives. Expect event to enable researchers to discuss the methodological challenges in evaluating impacts of VPC initiatives and give an opportunity to PhD students and young scholars develop their research idea into a high-quality academic product with feedback from world-class scholars and environmental policy experts acting as discussants and participants.

(III) Series of annual research workshops of 15-20 people, focused on a narrowly defined research topic of interest to the environmental economics community and of policy relevance to the environmental management organizations and departments at different levels of government. The goal of the workshops would be to explore the state-of-the-art of specific topics, bringing together the world's most prominent researchers on the topic, for intense exploration on the frontiers of environmental economic research.

Details on these and other economic workshop and research awards can be found at the web address:

<http://yosemite.epa.gov/ee/epa/eed.nsf/Webpages/Grants.htm>. Fiscal Year 2012: No new environmental economic research grants were funded in FY2012, as a result of reduced appropriations that resulted in limited funding, and other priorities in the office.

Smart growth grant awards result in several dozen directed technical assistance site visits delivered to communities across the US, as well as state-level workshops on how to ensure that public investments that result in environmental and public health improvements. They also support extensive outreach and education on smart growth issues through an annual conference and an active website, both of which provide critical resources to the public on the topics of smart growth. Fiscal Year 2013: No Current Data Available

### CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

Non-competitive proposals are judged for: (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives.

## 66.612 SURVEYS, STUDIES, INVESTIGATIONS, TRAINING DEMONSTRATIONS AND EDUCATIONAL OUTREACH RELATED TO ENVIRONMENTAL INFORMATION AND THE RELEASE OF TOXIC CHEMICALS

Support for TRI Capacity Building, Education and Outreach, and Clearinghouse  
**FEDERAL AGENCY:**

Office of Environmental Information, Environmental Protection Agency

### AUTHORIZATION:

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Clean Air Act, Section 103; Clean Water Act, Section 104; Safe Drinking Water Act, Section

1442; Solid Waste Disposal Act, Section 8001; Toxic Substances Control Act, Section 10.

### OBJECTIVES:

The program's objective is to provide funding in support of surveys, studies, investigations, training/demonstrations, educational outreach and special purpose assistance as they relate to environmental information and the release of toxic chemicals. The purpose of this program is to educate the public on the how to obtain access to and effectively use environmental information, including information about toxic chemical releases and other waste management activities. Through this grant program, EPA intends to enhance the public's understanding of environmental information generally and the potential risks and hazards of releases of toxic chemicals to their communities as they relate to facilities covered under the Toxic Release Inventory Program; support efforts to assist state, tribal and local governments improve management of environmental information; identify priorities and opportunities for the public and state, tribal and local governments to work with industry to reduce toxic chemical disposal or other releases and potential risks associated with them; and establish reduction targets and measure progress toward reduction goals.

Funding Priority - Fiscal Year 2012: Topics and activities include, but are not limited to the following: Expansion of TRI stakeholder education and outreach. Population, maintenance and monitoring of the collaborative website ([www.chemicalright2know.org](http://www.chemicalright2know.org)), which will allow various stakeholders to access information about the TRI program, post discussion topics, position papers, and original research and analyses on an array of TRI and other related topics. Used forums such as the National Training Conference, and TRI-related webinars, to promote small grant opportunities. A request for proposal will be issued to award small grants that will focus on pollution prevention efforts and the promotion of TRI on the state level. Training opportunities will include at least on-line webinars focused on TRI. The preparation and execution of the 2012 TRI National Training Conference took place in the Spring of 2012.

### TYPES OF ASSISTANCE:

Cooperative Agreements

### USES AND USE RESTRICTIONS:

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### Applicant Eligibility:

Assistance under this program is generally available to states, the District of Columbia, US territories (for example, American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, Puerto Rico, and the US Virgin Islands), federally recognized Indian tribes, intertribal consortia of federally recognized tribes, public and private colleges and universities, and other public or private nonprofit organizations. Nonprofit organizations exempt from taxation under Section 501(c)(4) of the Internal Revenue Code that lobby are not eligible for financial assistance. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

### Beneficiary Eligibility:

State, territory, city, town, county, and regional governments; federally recognized Indian tribes and intertribal consortia of federally recognized tribes;

public institutions and industries subject to EPA regulatory reporting requirements; and the public.

**Credentials/Documentation:**

Applicants must demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA will ask applicants or principle investigators to provide curricula vitae and relevant publications. EPA may ask for documentation of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting surveys, studies and investigations, demonstrations, educational outreach and special purpose projects that consider the relevance to EPA's mission and the likelihood of the success of proposed projects. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. See the following for information on how assistance is awarded/released: The Agency anticipates annual incremental funding (for five years) for this assistance award.

**Reports:**

No program reports are required. No cash reports are required. EPA includes

reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31.

Quarterly progress reports and a detailed final report are required. Quarterly progress reports summarize technical progress, planned activities for next quarter and summary of expenditures. A summary of expenditures should be included in the quarterly progress reports. Annual performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$344,848; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Estimated \$15,000 to \$350,000 with an average of \$200,000 annually.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Prepared for and executed one TRI training Webinar, maintained and monitored the collaborative website and utilized it for promotion of TRI training events, and expanding stakeholder outreach. Prepared for and executed the Fall 2010 TRI National Training Conference and prepared for the 2012 TRI National Training Conference. Fiscal Year 2012: Expanding TRI stakeholder education and outreach. Populating, maintaining and monitoring of the collaborative website ([www.chemicalright2know.org](http://www.chemicalright2know.org)), utilizing it to promote the National Training Conference, TRI-related Webinars and small grants. Issuing a request for proposal to award small grants opportunities that will focus on pollution prevention efforts and the promotion of TRI at the state level. Planned for an executed one on-line webinar focused on TRI and the Spring 2012 TRI National Training Conference. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Surveys, studies, and investigations grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined on accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. Research and demonstration projects are subject to 40 CFR Part 40. Training grants are subject to 40 CFR Part 45.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in [http://www.epa.gov/tri/contacts\\_regional.htm](http://www.epa.gov/tri/contacts_regional.htm) or in Appendix IV of the Catalog,

and the Headquarters program contacts listed below.

**Headquarters Office:**

Christine Arcari, EPA Headquarters, EPA West, 1200 Pennsylvania Avenue, N. W. Mail Code: 2842T, Washington, District of Columbia 20460 Email: Arcari.Christine@epa.gov Phone: (202) 566-1746.

**Website Address:**

<http://www.epa.gov/oei>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Preparing for and executing one TRI training Webinar, maintaining and monitoring the collaborative website and utilizing it for promotion of TRI training events, expanding stakeholder outreach, preparing for and executing the Fall 2010 TRI National Training Conference and preparing for the 2012 TRI National Training Conference. Fiscal Year 2012: No projects were funded in 2012. The agreement was fully funded in 2011.

The 2011 funding was used to support projects in 2012, such as:

- Expansion of TRI stakeholder education and outreach;
- Population, maintenance and monitoring of the collaborative website ([www.chemicalright2know.org](http://www.chemicalright2know.org)), utilizing it to promote the National Training Conference, TRI-related Webinars and small grants;
- Issuance of a request for proposal to award small grant opportunities;
- Planning and execution of on-line webinars; and,
- the Spring 2012 National Training Conference. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. EPA selects proposed Surveys, Studies, and Investigations projects for funding based on factors such as relevancy to EPA's mission, technical merit, and the likelihood of success. If EPA issues a solicitation for applications for a particular project or group of projects, the solicitation will identify specific criteria.

**66.700 CONSOLIDATED PESTICIDE ENFORCEMENT COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

**AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 23, Public Law 92-516, 7 U.S.C 136; Federal Insecticide, Fungicide, and Rodenticide Act, Section 23, Public Law 95-396, 7 U.S.C 136; Federal Insecticide, Fungicide, and Rodenticide Act, Section 23, Public Law 94-140, 7 Stat. 136.

**OBJECTIVES:**

To: (a) Assist states, territories and possessions of the U.S., including the District of Columbia and Indian tribes, in developing and maintaining comprehensive pesticide programs that address all aspects of pesticide enforcement, and special pesticide initiatives; (b) sponsor cooperative surveillance, monitoring and analytical procedures; and (c) encourage regulatory activities within the states. State, territorial, and tribal agencies participating in this cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities.

Funding Priority - Fiscal Year 2012: Two specific compliance monitoring and enforcement activities have been identified as major priorities for this program: reducing chemical risks and protecting the under served and vulnerable populations. Other typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices; inspections of pesticide products at producing facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements; and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Available for costs specifically incurred in purchasing inspectional supplies and equipment; reimbursing State travel and per diem expenses associated with the performance of grant outputs; purchasing essential laboratory equipment and supplies; paying salaries for personnel performing inspectional, analytical and/or managerial functions related to grant activities, and for administrative costs associated with the performance of grant outputs. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. There are no specific restrictions on the use of this assistance.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State agencies having pesticide compliance program responsibilities in each State, territory and possession of the United States, including the District of Columbia and Indian Tribes.

**Beneficiary Eligibility:**

States, Federally Recognized Indian Tribal Governments, U.S. Territories and the District of Columbia.

**Credentials/Documentation:**

The application must supply evidence of legal authority to conduct pesticide compliance activities contemplated under the grant and a workable program officially adopted for the agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with Regional program offices concerning program preparation are advisable. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application form and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV of the Catalog). The enforcement program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. States will be notified of Federal Assistance Awards through the Federal Assistance Awards Data System (FAADS). Applicants may use <http://www.grants.gov> to

electronically apply for certain grant opportunities under this CFDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicants must reapply.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released:  
Other.

**Reports:**

As requested in the Annual Program Guidance for inclusion in the grant award; quarterly with mid-year and year-end evaluations. Program reports are required. No cash reports are required. Progress reports are required. Expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$19,930,900; FY 12 est \$18,644,000; and FY 13 est \$19,085,000

**Range and Average of Financial Assistance:**

\$32,000 (territory) to \$800,000; average \$260,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Consolidated Pesticide Enforcement Cooperative Agreements are continuing environmental program grants. In fiscal year 2011, 74 applications for pesticide enforcement grants were received and 75 grants awarded. Agencies participating in the federal cooperative agreement program receive funds to support and strengthen pesticide compliance monitoring, inspection, and enforcement activities. Typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at production facilities and in the retail marketplace to ensure

industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices. The states will also develop implementation plans for special pesticide initiatives. States will be responsible for dissemination of information and materials related to these pesticide initiatives. States, territories, and tribes that are participating in the pesticide enforcement cooperative agreements program conducted 84,103 compliance monitoring inspections in FY 2011. These inspections were conducted at agricultural establishments, pesticide producers and retailers, ports of entry, at pesticide applicators, as well as at other site where pesticides were distributed, sold, or used. As a result of these inspections, 12,622 enforcement actions were initiated in FY 2011 [civil and criminal actions, license suspensions or revocation, warning letters]. Fiscal Year 2012: The Consolidated Pesticide Enforcement Cooperative Agreements are continuing environmental program grants. It is anticipated that 74 applications for pesticide enforcement grants will be received and 74 grants awarded in fiscal year 2012. Agencies participating in the federal cooperative agreement program receive funds to support and strengthen pesticide compliance monitoring, inspection, and enforcement activities. Typical program activities include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at production facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, and initiation of appropriate enforcement action when violations are detected including civil and criminal prosecution, stop sale orders, seizures, recalls, and warning notices. The states will also develop implementation plans for special pesticide initiatives. States will be responsible for dissemination of information and materials related to these pesticide initiatives. States, territories, and tribes that are participating in the pesticide enforcement cooperative agreements program are expected to conduct approximately 85,000 compliance monitoring inspections in FY 2012. These inspections will be conducted at agricultural establishments, pesticide producers and retailers, ports of entry, at pesticide applicators, as well as at other site where pesticides were distributed, sold, or used. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency, State and Local Assistance (40 CFR Part 35 Subpart A), October 12, 1982.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Julie Simpson Office Of Compliance, Office of Enforcement and Compliance Assurance (2225A), EPA, Washington, District of Columbia 20460 Email: simpson.julie@epa.gov Phone: 202-564-0085

**Website Address:**

<http://www.epa.gov/compliance/state/grants/fifra.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: State agencies participating in the federal/state cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities as well as special pesticide initiatives activities. Typical program activities, include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at production facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, inspections and investigations at ports of entry to assess compliance with import and export requirements, and initiation of appropriate enforcement action when violations are detected, including civil and criminal prosecution, stop sale orders, seizures, recalls and notices. The special pesticide initiatives are new projects, which include the development of state management plans for the protection of groundwater and

endangered species from pesticides and development of worker protection programs. Fiscal Year 2012: State agencies participating in the federal/state cooperative agreement program receive funds to support and strengthen their pesticide compliance programs, including pesticide compliance monitoring, inspection and enforcement activities as well as special pesticide initiatives activities. Typical program activities, include inspections and observations at pesticide application sites to ensure user compliance with label directions and acceptable use practices, inspections of pesticide products at production facilities and in the retail marketplace to ensure industry compliance with registration, classification, and labeling requirements, inspections and investigations at ports of entry to assess compliance with import and export requirements, and initiation of appropriate enforcement action when violations are detected, including civil and criminal prosecution, stop sale orders, seizures, recalls and notices. The special pesticide initiatives are new projects, which include the development of state management plans for the protection of groundwater and endangered species from pesticides and development of worker protection programs. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by the Environmental Protection Agency according to the following criteria: 1) Need: The need for the development, improvement and/or maintenance of a comprehensive pesticides enforcement program within the State/Tribe that includes enforcement, new initiative programs, and programs that address existing environmental problems, potential problems, and/or existing exposed populations related to the use of pesticides. 2) State/Tribal Pesticide Activity: The relative amount of pesticide production, formulation and use in a State/Tribe, and the potential risk to human health and the environment from pesticide misuse or abuse. 3) Long-Term Impact: The potential of the cooperative agreement to have a long-term beneficial impact on human health and the environment resulting from the comprehensive pesticide program. 4) Effectiveness of program: The past level and effectiveness of the State/Tribal pesticide program. 5) Level of activity; As indicated by such factors as numbers of farms and numbers of applicators. 6) Magnitude of effort; Need to accomplish expected outputs and products; and 7) Ability to accomplish output goals.

#### **66.701 TOXIC SUBSTANCES COMPLIANCE MONITORING COOPERATIVE AGREEMENTS**

##### **FEDERAL AGENCY:**

Office of Enforcement and Compliance Assurance, Environmental Protection Agency

##### **AUTHORIZATION:**

Toxic Substances Control Act (TSCA), Section 28&404(g), Public Law 102-550, 15 U.S.C 2601.

##### **OBJECTIVES:**

1) To assist States, including the District of Columbia, the Commonwealth of Puerto Rico, Guam, America Samoa, the Northern Marianas, the Trust Territories of the Pacific Islands, the Virgin Islands and Indian Tribes in developing and maintaining compliance monitoring programs to prevent or eliminate unreasonable risks to health or the environment associated with chemical substances or mixtures within the States, specifically Asbestos, PCB, and Lead-based paint; 2) encourage regulatory activities within the States to establish their own programs for Lead-based paint and Asbestos (waiver programs); and 3) fund enforcement activities for Asbestos waiver state programs and Lead-based paint programs. EPA may provide funding for cooperative compliance monitoring grants to States and Tribes under TSCA to conduct inspections to ensure compliance with the PCB regulations, the Asbestos-in-Schools requirements (inspections at charter schools, public schools, private, non-profit schools and religious schools), the Model Accreditation Plan (MAP), TSCA section 6 Ban and Phase Out Rule, and the TSCA Asbestos Worker Protection Standards and to conduct Lead-based paint activities. Authorized States also conduct enforcement for the Lead-based program. States that have obtained an EPA waiver from the Asbestos regulation (Subpart E of Part 763) also have enforcement responsibilities.

Funding Priority - Fiscal Year 2012: Funding priorities in FY 2012 for the TSCA PCB and Asbestos programs will be: 1) existing compliance monitoring programs to ensure they continue to meet established standards; 2) activities

leading to waiver status for Asbestos programs; 3) activities as necessary for meeting training requirements necessary for obtaining and keeping EPA credentials in those programs which require the use of EPA credentials (the PCB compliance monitoring programs and Asbestos programs in non-waiver states); 4) new programs that provide inspection activity where there is an identified need including, but not limited to, Environmental Justice areas; and 5) activities that further the use of new technology for conducting field inspections, e.g., use of PC Tablets and PCB inspection software to improve the efficiency of inspections. States may use funds to develop inspection software and/or purchase PC Tablets for asbestos inspections.

Funding priorities in FY 2012 for States with authorized Lead-based paint programs will focus on individuals and firms which conduct lead abatement and renovation and their continuance with the training and certification, and work practice standards requirements. States with authorized renovation notice rules will also monitor those requirements.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Grant funds are available for costs specifically incurred by States and Tribes to develop, enhance and maintain comprehensive compliance monitoring/enforcement programs under TSCA, specifically PCBs, Asbestos, and Lead-based paint. Funded activities may include inspector training, inspection supplies, and laboratory costs, including personnel and equipment; reimbursement for salaries, travel, training, and per diem expenses for inspectors, analysts, and program managers; and other functions related to grant activities. For those programs where inspections are conducted using EPA credentials, prior to conducting inspections under the Grant, the State/Tribe must have an authorization agreement and the inspectors must complete the minimum inspector training, including health and safety training, and conduct inspections pursuant to the September 2004 Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA. They must also have a signed authorization agreement with EPA.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

##### **Applicant Eligibility:**

For the PCB and Asbestos programs, States/Tribes should have toxic substance compliance responsibilities and be designated as the lead agency with the authority to enter into these cooperative agreements. For the Lead-based paint program, state agencies, Indian tribes, and tribal consortiums that have toxic substance compliance responsibilities, who have the authority to enter into these cooperative agreements, and who have their own lead laws in place are eligible to apply for assistance under the TSCA Compliance Monitoring Grant.

##### **Beneficiary Eligibility:**

For PCB, Asbestos and the Lead-based paint programs: States, including the District of Columbia, the Commonwealth of Puerto Rico, Guam, America Samoa, the Northern Marianas, the Trust Territories of the Pacific Islands, the Virgin Islands and Indian Tribes.

##### **Credentials/Documentation:**

The applicant must supply evidence of legal authority to conduct toxic substance compliance program activities contemplated under the grant and a workable program officially adopted for the agency. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with Regional program offices concerning program preparation are advisable. The standard application forms as furnished by the federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office (see Appendix IV of the Catalog). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Each application shall be subjected to administrative coordination to determine adequacy in relation to grant regulations, and to technical and program evaluation to determine merit and relevancy of the project. States will be notified of Federal Assistance awards through the Federal Assistance Awards Data System (FAADS). Applicants may use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicant must reapply.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Under TSCA Section 28, no grant may exceed 75 percent of the establishment and operation costs of such a program during the period for which the grant is made. Thus, recipients must contribute 25% of the total costs for activities conducted under Section 28 of TSCA (i.e., the PCB and Asbestos grants).

There are no cost-sharing or matching fund requirements for Lead-based Paint enforcement grants under Section 404(g).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative Agreements are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis; recipients must request the initial advance payment on the form SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released: Other.

**Reports:**

As required in the annual National Program Guidance for inclusion in the grant award, grantees must submit mid-year and year-end evaluations. For inspections conducted using credentials issued by EPA to the state or tribal employee, the inspection report must be submitted to the regional office for review pursuant to the authorization agreements. Program reports are required. No cash reports are required. Progress reports are required. No expenditure reports are required. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United

States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each cooperative agreement, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$5,551,700; FY 12 est \$5,081,000; and FY 13 est \$5,201,000

**Range and Average of Financial Assistance:**

For PCB and Asbestos: \$19,000 to \$225,000/year; \$122,000/year average.

For Lead: \$47,000 per state/tribe.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Twenty-six Asbestos, nine PCB, and forty-two Lead cooperative agreements were awarded to States in FY 2011. A similar number are expected to be awarded in FY 12. Agencies participating in the TSCA Compliance Monitoring Cooperative Agreements program receive funds to support and enhance toxic substance compliance monitoring, assurance and enforcement activities.

Typical program activities for the Asbestos grant program include compliance inspections at facilities regulated under the AHERA program plus preparation of inspection reports. For waiver states, work includes case preparation and taking enforcement action. Non-waiver states using EPA credentials submit their inspection reports to EPA for case review and appropriate enforcement action. In FY 11, 950 compliance monitoring inspections were conducted. EPA expects similar inspection numbers in FY 12.

Typical program activities for the PCB grant program include compliance inspections at facilities regulated under the TSCA PCB program, and submission of inspection reports to EPA for review and enforcement action, if appropriate. In FY 11, 350 inspections were conducted. EPA expects similar inspection numbers in FY 12.

Typical program activities for the Lead-based paint grant program include compliance inspections at facilities regulated under the TSCA Lead-based paint program plus initiation of appropriate enforcement action by authorized states or referral to EPA for case review and appropriate enforcement action when violations are detected. Fiscal Year 2012: Program accomplishments for FY 2012 are not available at this time. FY 2012 continues until September 30, 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency, State and Local Assistance (40 CFR Part 35 Subpart A), October 12, 1982; "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. Contact appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Julie Simpson Pesticides, Waste and Toxics Branch, Monitoring, Assistance and Media Programs Division, Office of Enforcement and Compliance Assurance, (2223A), U.S. EPA, 1200 Pennsylvania Ave. NW., Washington, District of Columbia 20460 Email: [impspn.julie@epa.gov](mailto:impspn.julie@epa.gov) Phone: 202-566-1980

**Website Address:**



<http://www.epa.gov/compliance/tsca.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: State agencies participating in the Toxic Substances Compliance Monitoring Cooperative Agreement program receive funds to support and conduct compliance monitoring (inspection) and enforcement activities, as appropriate for the specific program. Examples of program activities that may be funded include, targeting activities, inspections/investigations to evaluate compliance, follow-up inspections, initiation of appropriate enforcement action when violations are detected, equipment for inspections, development of compliance monitoring strategies/targeting approaches, development of software or e-forms capable of automating inspection data collection activities in the field, and training/workshops. The majority of the funds are used by the states to conduct compliance monitoring inspections. Those states that are authorized to enforce the Lead-based paint program or are "waiver" states under the AHERA program use the grant money to enforce the regulation, as appropriate.

In addition, EPA encourages states/tribes to purchase PC Tablets that are compatible with the PCB inspection software developed for conducting inspections and writing inspection reports. The Office of Enforcement and Compliance Assurance developed a PCB Inspection software program to make inspections more efficient and consistent by allowing the inspector to use computer hardware and software to collect data electronically. The software prints EPA notification forms; collects inspection data for opening and closing conferences, records reviews, and walkthroughs; makes available necessary reference materials; and assists in inspection report writing. States and Tribes may request the PCB inspection software and training through their regional project officer. In FY 11, EPA provided funds to Massachusetts to develop a software package for use on Windows OS computers that collects compliance field data from an AHERA inspection to populate forms and create an inspection report. Fiscal Year 2012: State agencies participating in the Toxic Substances Compliance Monitoring Cooperative Agreement program receive funds to support and conduct compliance monitoring (inspection) and enforcement activities, as appropriate for the specific program. Examples of program activities that may be funded include, targeting activities, inspections/investigations to evaluate compliance, follow-up inspections, initiation of appropriate enforcement action when violations are detected, equipment for inspections, development of compliance monitoring strategies/targeting approaches, development of software or e-forms capable of automating inspection data collection activities in the field, and training/workshops. The majority of the funds are used by the states to conduct compliance monitoring inspections. Those states that are authorized to enforce the Lead-based paint program or are "waiver" states under the AHERA program use the grant money to enforce the regulation, as appropriate. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by the Environmental Protection Agency according to criteria including the following: (1) Need: The need for the development, improvement, and/or maintenance of a comprehensive compliance monitoring/enforcement program within the State; (2) Level of Activity: The amount of regulated chemicals and facilities, and the potential risk to human health and the environment; (3) Long-Term Impact: The potential of the cooperative agreement to have a long-term beneficial impact on human health and the environment resulting from the compliance program; and (4) Effectiveness of program: The past level and effectiveness of the State regulatory program, number of inspections conducted by the state and number of trained inspectors that have completed the minimum training set forth in the September 30, 2004 "Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA."

**66.707 TSCA TITLE IV STATE LEAD GRANTS CERTIFICATION OF LEAD-BASED PAINT PROFESSIONALS**

(State Lead Certification Grants)

**FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 404(g).

**OBJECTIVES:**

The goal of EPA's lead-based paint program is to eliminate childhood lead poisoning. The program is comprised of four strategies designed to achieve the following goals: 1) Establish standards to define where lead hazards are present in paint, dust and soil; 2) Give the public information about lead hazards and steps to protect themselves; 3) Ensure that information about known lead-based paint hazards is disclosed to individuals buying or renting pre-1978 housing, and that owners and occupants of pre-1978 housing are provided information on lead-based paint hazards before renovation activities take place; 4) Establish lead-safe work practice standards and require lead-based paint professionals to be trained and certified. The objective of this grant program is to assist States, Tribes, and Territories in developing and carrying out authorized programs that: (a) certify contractors engaged in lead-based paint activities and accredit lead-based paint activities training programs; (b) certify contractors engaged in renovation, repair and painting activities that disturb painted surfaces in most target housing; and/or (c) require distribution of lead-hazard information prior to renovation (pre-renovation education program).

Funding Priority - Fiscal Year 2012: The priority for FY 2012 is to continue to provide assistance to authorized State, Tribal, and Territorial lead-based paint activities training and certification programs and pre-renovation education programs. As appropriate, the Agency will use grant funding to provide assistance to a State, Tribal, or Territorial program looking to develop or administer an authorized Renovation, Repair, and Painting Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to authorization under TSCA Title IV. Supported activities must contribute or lead to the attainment or maintenance of authorization pursuant to TSCA Title IV. Funds cannot be used for general program activities not related to the attainment or maintenance of authorized programs.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, and any other territory or possession of the United States may receive assistance under Section 404(g) of TSCA. Federally recognized Indian governing bodies are also eligible to apply for and receive assistance. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

State governments, Federally recognized Indian governing bodies, U.S. Territories and possessions.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussions or informal meetings with the appropriate EPA Regional Office concerning program preparation are advisable. The standard application form as furnished by the Federal agency and required by OMB Circular No. A-102

must be used for this program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications should be submitted to the appropriate EPA Regional Office. The following forms and certifications must be included in all final grant applications: Standard Form 424 (Application for Federal Assistance); Standard Form 424A (Budget Information -- Non-Construction Programs); Standard Form 424B (Assurances -- Non-Construction Programs); Certification Regarding Lobbying and SF LLL, if applicable; Certification Regarding Debarment and Suspension; EPA Form 4700-4 (Compliance Review Report Form); and Quality Assurance Narrative Statement, if applicable. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applicants must reapply for grant funding each fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative agreements are normally funded for a 12-month period. Payments will be on an advance letter of credit or reimbursement basis. See the following for information on how assistance is awarded/released: Grantees usually receive either a lump sum payment or draw down funds as their Agency allows.

**Reports:**

No program reports are required. No cash reports are required. Pursuant to 40 CFR 31.40, grantees shall, at a minimum, submit annual performance reports to the appropriate EPA Regional Office. These requirements were approved by the Office of Management and Budget (OMB) under OMB Control Number 2030-0020 (General Administrative Requirement for Assistance Programs). The individual Regional Offices may require that these reports be submitted on a quarterly or semiannual basis, but not more frequently than quarterly. The specific information contained within the report will include, at a minimum, a comparison of actual accomplishments to the objectives established for the period. Regional Offices may ask for the inclusion of specific data (e.g.,

providing to EPA specific address information associated with the abatement notifications that are received by the grantee) as part of the annual performance report from the grantees which may be useful for Agency reporting under the Government Performance and Results Act. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$14,534,000; FY 12 est \$14,512,000; and FY 13 est \$14,855,000

**Range and Average of Financial Assistance:**

\$16,000 to \$350,000; average of \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: As of May 2011, 39 States, 3 Tribes, Puerto Rico, and D.C. have received EPA approval to administer a lead-based paint activities training and certification program.

11 States have received authorization to administer and enforce a Renovation, Repair and Painting Program. Fiscal Year 2012: As of June 2012, 39 States, 3 Tribes, Puerto Rico, and D.C. have received EPA approval to administer a lead-based paint activities training and certification program.

12 States have received authorization to administer and enforce a Renovation, Repair and Painting Program. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Lead Contact Person in the appropriate EPA regional office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Michelle Price, National Program Chemicals Division 7404T, Office of Pollution Prevention and Toxics, Environmental Protection Agency, 1200 Pennsylvania Ave. NW, Washington, District of Columbia 20460 Email: [price.michelle@epa.gov](mailto:price.michelle@epa.gov) Phone: (202) 566-0744.

**Website Address:**

<http://www.epa.gov/lead/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Over the past fourteen years, EPA has provided financial

assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint activities training and certification rule (40 CFR part 745, subpart L). The following is a list of previously funded activities: (a) core lead-based paint activities and enforcement capacity development; (b) developing the appropriate infrastructure to administer and enforce a lead-based paint activities program successfully; (c) overseeing the conduct of contractors engaged in lead-based paint activities; (d) overseeing and controlling training program activities; (e) ensuring compliance with requirements for post-abatement clearance sampling; (f) monitoring compliance with the work practice standards of regulations for the conduct of abatement; (g) implementing lead-based paint compliance assistance; (h) implementing the lead-based paint activities sampling techniques; and (i) implementing lead-based paint activities tracking tips and complaints efforts.

Since FY09, EPA has also provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint renovation, repair and painting rule (40 CFR part 745, subpart E). Fiscal Year 2012: Over the past fifteen years, EPA has provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint activities training and certification rule (40 CFR part 745, subpart L). The following is a list of previously funded activities: (a) core lead-based paint activities and enforcement capacity development; (b) developing the appropriate infrastructure to administer and enforce a lead-based paint activities program successfully; (c) overseeing the conduct of contractors engaged in lead-based paint activities; (d) overseeing and controlling training program activities; (e) ensuring compliance with requirements for post-abatement clearance sampling; (f) monitoring compliance with the work practice standards of regulations for the conduct of abatement; (g) implementing lead-based paint compliance assistance; (h) implementing the lead-based paint activities sampling techniques; and (i) implementing lead-based paint activities tracking tips and complaints efforts.

Since FY09, EPA has also provided financial assistance to the States, Territories and Indian Tribes aimed at the development, implementation and enforcement of approved programs under the final EPA lead-based paint renovation, repair and painting rule (40 CFR part 745, subpart E). Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

### **66.708 POLLUTION PREVENTION GRANTS PROGRAM**

(P2 Grant Program)

#### **FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

#### **AUTHORIZATION:**

Pollution Prevention Act of 1990, Section 6605, Public Law 101-508.

#### **OBJECTIVES:**

This CFDA announcement applies to the Pollution Prevention (P2) and the Pollution Prevention Information Network (PPIN) grant programs.

Both programs were enacted under the Pollution Prevention Act of 1990. The P2 grant program funds grants/cooperative agreements that implement pollution prevention technical assistance services for businesses. The PPIN grant program funds grants/cooperative agreements through a national network of Pollution Prevention Resource Exchange (P2Rx) Centers. The Centers work to deliver pollution prevention information, resources and tools to state technical assistance providers, businesses and industry sectors. Under both grant programs, EPA is authorized to support projects that utilize pollution prevention techniques to reduce and/or eliminate pollution from air, water and/or land.

1. To help business and industry incorporate P2 techniques into their day-to-day

business operations as a means of reducing or eliminating harmful pollutants from entering the air, water or land;

2. To encourage education and training in P2/source reduction techniques and applications; and

3. Support P2 information sharing among State and local technical assistance programs and businesses.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

##### **USES AND USE RESTRICTIONS:**

Under the P2 and PPIN grant programs funding is received by Congressional appropriation. The programs support innovative projects that address the transfer of potentially harmful pollutants across all environmental media: air, water, and land. The grant programs support the establishment and expansion of state and tribal P2 programs and address various sectors of concern such as industrial toxics, agriculture, energy, transportation, etc.

Specifically, the P2 grant program supports state and tribal P2 approaches and methodologies. The program is focused on institutionalizing multimedia P2 as an environmental management priority, establishing prevention goals, providing direct technical assistance to businesses, conducting outreach, supporting innovative research, and collecting and analyzing data.

Under the PPIN grant program, EPA supports projects that help to coordinate work among state and local technical assistance providers, disseminate P2 information, offer training to state and local technical assistance providers and businesses, promote new and innovative P2 technologies, and take a broad reading of what P2 activities are occurring across the nation in order to minimize any duplication of effort.

The P2 and PPIN grant programs do not support projects that focus on recycling, waste removal or any activity which alters the physical, chemical, or biological characteristics or the volume of a hazardous substance, pollutant, or contaminant through a process or activity which is not integral to and necessary for the production of a product or essential to providing a service. For more information, refer to PPA Section 6603 and 40 CFR Sections 35.343 and 35.662.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. In accordance with the Pollution Prevention Act of 1990, eligible applicants for purposes of funding under these grant programs include the fifty states, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, and any territory or possession of the United States, any state agency or instrumentality of a state including state colleges and universities, federally-recognized tribes and intertribal consortia.

Local governments, private universities, private nonprofit entities, private businesses, and individuals are not eligible to apply for funding.

#### **Beneficiary Eligibility:**

State agencies, state colleges and universities that are instrumentalities of the state and federally-recognized tribes are encouraged to establish partnerships with businesses and environmental assistance providers to deliver seamless P2 assistance. The most successful applicants will be those that make the most efficient use of government funding. In many cases, this has been accomplished through partnerships. As a result, those who are eligible can provide P2 benefits

to the following entities: states, interstate and local agencies or organizations/universities, federally-recognized tribes, intertribal consortia, public or private nonprofit organizations/institutions, private businesses, quasi public nonprofit organizations, and the general public.

**Credentials/Documentation:**

In cases where the applicants credentials are not clear, the applicant must provide proof that the applicant is indeed a state agency/organization, federally-recognized tribe, or intertribal consortium. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. If the applicant does not know who their Single Point of Contact is, they may call the appropriate EPA regional coordinator listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325. Federally-recognized Tribal governments are not required to comply with this procedure. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Requests for general information may be made to EPA Headquarters or to the appropriate EPA regional pollution prevention program office listed in Appendix IV of this Catalog.

Under the P2 grant program, proposals and applications must be submitted to the appropriate EPA regional pollution prevention program office in order to be considered for an award.

Under the PPIN grant program, proposals and final applications must be submitted to EPA Headquarters in order to be considered for an award.

Applications must abide by EPA grant policy and programmatic requirements in order to be considered for funding.

Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 120 to 150 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Pollution Prevention Act of 1990.

Matching Requirements: The statutory formula for P2 and PPIN grants is authorized by the Pollution Prevention Act of 1990. Organizations receiving grant funds through the P2 and PPIN grant programs are required to match federal funds by at least 50 percent. The federal government will provide half of the total allowable cost of the project, and the state will provide the other half. Thus, a federal grant of \$100,000 would support a total allowable project cost of \$200,000, with the state providing the remaining half equal to \$100,000. State contributions may include: dollars, in kind goods and services, and/or third party contributions. In a detailed budget, the use of the matching funds must be documented. The match requirement may be applied at the time of award or at specified intervals during the project period. The grant applicant must document in the itemized budget plan the type of match to be applied and how it will be used. The grant project officer in the Region or Headquarters will monitor the grant recipient's compliance. If the match requirement is not met or is not applied at specified intervals during the project period, federal funding will cease and the recipient will be held liable for all incurred costs.

With concern to P2 grants only: If a tribe or intertribal consortium is selected for an award and their workplan will be included in a performance partnership grant (PPG), then the required tribal match will be reduced to 5% as it applies to the total allowable P2 project cost. This reduction in match will be applied to the first two years of the PPG. After two years, the EPA Regional Administrator is required to determine through objective assessment whether the tribe or intertribal consortium still meets the socioeconomic needs test to warrant keeping the cost share at 5 percent. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance agreements are awarded for a project period not to exceed 3 years. Funds are released by a letter of credit. See the following for information on how assistance is awarded/released: Financial assistance under the P2 and PPIN grant programs is provided in the form of a grant or a cooperative agreement issued as a letter of credit by the federal government to the eligible grantee.

**Reports:**

No program reports are required. The P2 and PPIN grant programs require grantees to submit budget information to the grant project officer. The information should be included in the grantees' semi-annual progress report. Organizations that are awarded grants will be required to submit semi-annual progress reports during the life of the project to the grant project officer. The report should summarize funds expended, tasks accomplished, and results achieved to date. A final technical report is also required at the end of the grant/cooperative agreement. The final technical report should explain the prospect for continuation, further development of the pollution prevention effort, and offer a project evaluation. The P2 and PPIN grant programs require the grantee to submit semi-annual progress reports to the grant project officer. The report should explain the work executed under the project(s), whether or not the project's milestones were achieved, and the staff and budget plan for any remaining work. Expenditure reports are required at the end of the grant/cooperative agreement. The grantee should submit this information to the grant project officer when submitting their final technical report. If the grantee proposes work that involves gathering, measuring, or tracking environmental data the grantee is required to report its environmental performance to EPA. The information should be provided in the grantees' semi-annual progress report and final technical report. The reports should be submitted to the grant project officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer

and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$4,393,574; FY 12 est \$4,922,000; and FY 13 est \$4,922,000

**Range and Average of Financial Assistance:**

Range for P2 grants in FY 2011: \$20,500 - \$212,000; Average award in FY 2011: \$86,243.

Range for PPIN grants in FY 2011: \$68,000 - \$115,000; Average award in FY 2011: \$107,197.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EPA awarded 41 P2 Grants totaling \$3,535,996. P2 Grants are made available to state institutions and federally-recognized tribes to develop projects to provide pollution prevention technical assistance. In FY 2011, EPA awarded 8 PPIN Grants totaling \$857,578. PPIN Grants are issued to promote P2 information sharing and training among state and local technical assistance programs as well as facility-based P2 information users. Fiscal Year 2012: The P2 grant program is in the process of making final grant selections. EPA anticipates awardees will be notified by the end of August 2012. The program, however, anticipates program accomplishments similar to those attained in FY 2011.

The PPIN grant program has not yet released a FY 2012 request for proposals. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32; and "EPA Assistance Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT), Mail Code: OESO4-1,

5 Post Office Square, Suite 100, Boston, MA 02109-3912,

Contact: Lee Fiske, phone: (617) 918-1847; fax: (617) 918-1810; email: fiske.lee@epa.gov.

U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands), Mail Code: SPMMB, 290 Broadway 25th Floor, New York, NY 10007-1866, Contact: Alex Peck, phone: (212) 637-3758; fax: (212) 637-3771; email: peck.alex@epa.gov.

U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.), Mail Code: 3E100, 1650 Arch Street, Philadelphia, PA 19103-2029, Contact: Mindee Lemoine, phone: (215) 814-2736; fax: (215) 814-3274; email: lemoine.mindy@epa.gov.

U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN), Atlanta Federal Center, 61 Forsyth Street S.W., Atlanta, GA 30303, Contact: Pamela Swingle: phone: (404) 562-8482; fax: (404) 562-9066; email: swingle.pamela@epa.gov.

U.S. EPA Region 5 (IL, IN, MI, MN, OH, WI), Mail Code: DW-8J, 77 West Jackson Blvd. Chicago, IL 60604-3590; Contact: Christine Anderson, phone: (312) 886-9749; fax: (312) 353-4788; email: andersona.christine@epa.gov.

U.S. EPA Region 6 (AR, LA, NM, OK, TX), Mail Code: 6EN-XP, 1445 Ross Ave. Suite 1200, Dallas, TX 75202, David Bond, phone: (214) 665-6431;

fax: (214) 665-7446; email: bond.david@epa.gov.

U.S. EPA Region 7 (IA, KS, MO, NE), Mail Code: ARTD/TSPP, 901 N. 5th Street, Kansas City, KS 66101, Contact: Marcus Rivas, phone: (913) 551-7669; fax: (913) 551-7065; email: rivas.marcus@epa.gov.

U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY), Mail Code: 8P-P3T, 999 18th Street, Suite 300, Denver, CO 80202-2466, Contact: Linda Walters, phone: (303) 312-6385; fax: (303) 312-6044; email: walters.linda@epa.gov.

U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law), Mail Code: WST-7, 75 Hawthorne Street, San Francisco, CA 94105, Contact: Jessica Counts-Arnold, phone: 415-972-3288; fax: (415) 947-3530; email: counts-arnold.jessica@epa.gov.

U.S. EPA Region 10 (AK, ID, OR, WA), Mail Code: AWT-128, 1200 Sixth Avenue, Suite 900, Contact: Carolyn Gangmark, phone: (206) 553-4072; fax: (206) 553-8338; email: gangmark.carolyn@epa.gov.

**Headquarters Office:**

Michele Amhaz, Office of Pollution Prevention and Toxics Pollution Prevention Division, Environmental Protection Agency, 1200 Pennsylvania, Ave., N.W., (MC 7409-M), Washington, District of Columbia 20460 Email: amhaz.michele@epa.gov Phone: (202) 564 8857.

**Website Address:**

<http://epa.gov/p2/pubs/grants/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The following summaries provide examples of P2 grants funded in FY 2011:

EPA grant: \$87,000

The recipient will partner with Maine businesses to create a sustainability program that mirrors the national Stewardship Action Council. The program will provide on-site technical assistance to Maine businesses that will help them comply with environmental regulations, employ innovative technologies, reduce energy and chemical usage, and save money. The recipient will also create a Sustainability Action Council for the state of Maine; administer environmental leader certifications; administer Maine's Clean Government Initiative; and administer the P2 Compliance Advisory Panel.

EPA grant: \$90,000

The recipient will provide P2 outreach to limited service hotels in Atlantic and Cape May counties housing less than 100 rooms. The P2 outreach will involve developing educational materials, conducting surveys, providing technical assistance site visits and performing ten P2 audits.

EPA grant: \$73,000

The recipient will support an Environmental Stewardship Initiative named the Lean and Green Techniques to Achieve Sustainability. The initiative encourages facilities to go beyond compliance and strive for continual improvement by establishing and using environmental management systems and expanding lean and green techniques.

EPA grant: \$60,000

The recipient will work with the state's By-Product Synergy Program to assist with the reuse of one company's unused materials as raw material for another company. It is anticipated that the program will provide a cost benefit to businesses and the government of Michigan. Fiscal Year 2012: As of this CFDA update information on FY 2012 P2 and PPIN grants is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description are described in the competitive announcements of the P2 and PPIN grant programs.

## **66.714 REGIONAL AGRICULTURAL IPM GRANTS**

(Regional Ag Grants)

### **FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

### **AUTHORIZATION:**

Federal Insecticide, Fungicide, and Rodenticide Act, Section 20.

### **OBJECTIVES:**

The Objective is to support Integrated Pest Management (IPM) implementation and approaches that reduce the risks associated with pesticide use in agriculture in the United States. This program is competed and the grants are awarded by EPA's Regional grant offices.

Funding Priority - Fiscal Year 2012: The Regional Agricultural IPM Grants will support the implementation of Integrated Pest Management (IPM) approaches to reduce pesticide risk in agricultural settings in the United States. Projects must address the national pesticide program stewardship priorities related to pest management needs and IPM program implementation.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Grants may be used to fund projects that further the implementation of Integrated Pest Management (IPM) in agriculture. The type of projects that will be considered include research, monitoring, demonstration, and related activities. Projects must include efforts to implement IPM practices which lead to pest and pesticide risk reduction. There are no discretionary funds available to fund projects.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Eligible applicants include the 50 States, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, any Territory or Possession of the United States, any agency or instrumentality of a State including State Universities, and all Federally recognized Native American Tribes. Local governments, private universities, private nonprofit entities, private businesses, and individuals are not eligible. The organizations excluded from applying directly are encouraged to work with eligible applicants in developing proposals that include them as participants in the projects.

### **Beneficiary Eligibility:**

Any State, U.S. Territory/Possession, Native American Organization, or other entities working in conjunction with these eligible applicants.

### **Credentials/Documentation:**

The application should present a well thought out work plan with established infrastructure to execute the work plan. Key officials should have and document appropriate work experience or education to effectively carry out the proposed work plan or research. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Grants are awarded on the basis of merit. The call for proposals is announced in

Grants.gov and on the EPA's Office of Pesticide Programs' website and by other established mechanisms early in the fiscal year. The proposal format is specified in the call. Proposals not using the published format will not be considered. National criteria are established in the call. Once the grant process is announced nationally, interested applicants are urged to contact the appropriate EPA Regional Office for detailed instructions. Proposals are submitted to an EPA Regional Office. All proposals received are rated using the published criteria and compete for funding against all acceptable proposals received. Consultation or assistance in filling out a project proposal is available from any of the EPA Regional Offices either by phone, mail, fax or electronic mail. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Successful applicants will be notified and invited to complete and sign a Standard Form 424, (an application form) which will be supplied upon notification. Questions about this form will be answered by the Regional representative who contacts the applicant. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

About 60 days.

### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Grants are awarded for a project period not to exceed 2 years. Method of awarding/releasing assistance: by letter of credit.

### **Reports:**

Organizations that are awarded grant/cooperative agreement funds will be required to submit progress reports, as frequently as quarterly or at least annually, during the life of the project, to and as directed by the EPA Project Officer. Each report will summarize funds expended, tasks accomplished, and results achieved to date. A summary final report will also be required at the end of the project period. This final report should include a discussion of the prospects of continuation, further development of the effort, project evaluation and future direction. Grantees are required to submit program reports to their regional Project Officer. Grantees are required to submit financial reports to their regional Project Officer. Grantees are required to submit progress reports to their regional Project Officer. Grantees are required to submit expenditure

reports. Grantees are required to perform performance monitoring as part of their requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for 3 years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-2-1-304.

**Obligations:**

(Project Grants) FY 11 \$492,600; FY 12 est \$500,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

\$20,000 to \$50,500. Average: \$50,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, ten projects were awarded. These projects supported Integrated Pest Management (IPM) efforts leading to pesticide risk reduction in agricultural and non-agricultural settings. Selected projects involved assessing the needs and promoting the Adoption of IPM for Dodder Control in Cranberry Production; a webinar series and interactive grower outreach for pesticide resistance management in greenhouses; an IPM program using non-chemical controls to manage parasites in honey bee colonies; IPM for the control of annual bluegrass in southern turfgrass; Rapid response to spotted wing drosophila threat to berry crops; development of a real-time Mexican rice borer population monitoring program; using mobil technologies to forecast and track natural enemy effectiveness on cereal aphids in changing landscapes; reducing pesticide use in potatoes by use of green manure crops; PURE-eIPM an online interactive system to advance IPM adoption; and reducing the risk from fumigation practices at the rural/urban interface. Fiscal Year 2012: In FY 2012, 10 awards will be made. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32 and "EPA Assistance Administration Manual," available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. The applicant may contact the appropriate EPA Regional PESP Coordinator to obtain clarification and guidance. EPA Regional PESP Coordinators are: Region I (Connecticut, Massachusetts, Maine, New Hampshire, Rhode Island, Vermont), Andrea Szylvian, 1 Congress St Ste 1100 (SEP), Boston, MA 02114-2023. Telephone: (617) 918-1198, szylvian.andrea@epa.gov. Region II (New York, New Jersey, Puerto Rico, Virgin Islands), Audrey Moore, 2890 Woodbridge Ave (MS-500), Edison, NJ 08837-3679. Telephone: (732) 906-6809, moore.audrey@epa.gov. Region III (Delaware, Maryland, Pennsylvania, Virginia, West Virginia, District of Columbia), John Butler, 1650 Arch St (3WC32), Philadelphia, PA 19103-2029. Telephone: (215) 814-2127, butler.john@epa.gov. Region IV (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee), Patricia Livingston, 61 Forsyth St SW, Atlanta, GA 30303-8960. Telephone: (404) 562-9171, livingston.patricia@epa.gov. Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin), Heather Anhalt, 77 W

Jackson Blvd (DT-8J), Chicago, IL 60604-3507. Telephone: (312) 886-3572, anhalt.heather@epa.gov. Region VI (Arkansas, Louisiana, New Mexico, Oklahoma, Texas), Gregory Weiler, 1445 Ross Ave Ste 1200 (6PD-P), Dallas, TX 75202-2733. Telephone: (214) 665-7564, weiler.gregory@epa.gov. Region VII (Iowa, Kansas, Missouri, Nebraska), Heather Duncan, 901 N Fifth St. (WWPDTOPE), Kansas City, KS 66101. Telephone: (913) 551-7640, duncan.heather@epa.gov. Region VIII (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming), Barbara Barron, 1595 Wyncoop ST.(8P-P3T), Denver, CO 80202-2466. Telephone: (303) 312-6617, barron.barbara@epa.gov. Region IX (Arizona, California, Hawaii, Nevada, American Samoa, Guam), Mary Grisier, 75 Hawthorne St (CED-1), San Francisco, CA 94105, Telephone: (415) 947-4213, grisier.mary@epa.gov. Region X (Alaska, Idaho, Oregon, Washington), Sandra Halstead, WSU-IAREC, 24106 N. Bunn Road, Prosser, WA 99350. Telephone: (509) 786-9225, halstead.sandra@epa.gov.

**Headquarters Office:**

Frank Ellis, Biopesticides and Pollution Prevention Division (7511P), Office of Pesticide Programs, Environmental Protection Agency, 1200 Pennsylvania Ave. NW, Washington, District of Columbia 20460 Email: ellis.frank@epa.gov Phone: (703) 308-8107.

**Website Address:**

<http://www.epa.gov/pestwise/grants>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Selected projects involved assessing the needs and promoting the adoption of IPM for Dodder Control in Cranberry Production; a webinar series and interactive grower outreach for pesticide resistance management in greenhouses; an IPM program using non-chemical controls to manage parasites in honey bee colonies; IPM for the control of annual bluegrass in southern turfgrass; rapid response to spotted wing drosophila threat to berry crops; development of a real-time Mexican rice borer population monitoring program; using mobil technologies to forecast and track natural enemy effectiveness on cereal aphids in changing landscapes; reducing pesticide use in potatoes by use of green manure crops; PURE-eIPM an online interactive system to advance IPM adoption; and reducing the risk from fumigation practices at the rural/urban interface. Fiscal Year 2012: In FY 2012, 10 awards will be made. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.715 LEAD EDUCATIONAL OUTREACH AND BASELINE ASSESSMENT OF TRIBAL CHILDREN'S EXPOSURE AND RISKS ASSOCIATED WITH LEAD**

(Tribal Lead Grants)

**FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Title 10.

**OBJECTIVES:**

The Tribal Lead Grant Program for outreach and education is supported by EPA's goal to reduce childhood lead poisoning. The grant projects should support this goal by providing lead poisoning prevention education and blood-lead screening of Tribal children.

Funding Priority - Fiscal Year 2012: Program will not be offered in FY 2012.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to blood-lead screening of tribal children and outreach efforts to educate Indian families about the dangers of exposure to lead-based paint hazards among children.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Eligible recipients are Federally recognized Indian Tribes or Tribal consortiums (an association or partnership with one or more Federally recognized Indian Tribes) only.

**Beneficiary Eligibility:**

Federally recognized Indian Tribes.

**Credentials/Documentation:**

Tribal consortiums must submit letters of interest and support from Tribal Chair that is being represented in the proposal. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Such applications must also include standard forms as listed in the grants.gov instructions. Proposals may also be submitted to EPA via regular or overnight mail. Proposals must address all elements in the evaluation criteria listed in the Request for Proposals. Proposals submitted by mail are not required to include any standard forms as in the grants.gov submittals.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for proposal submittal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are expected to be completed within 2 years from award of grant. Assistance is awarded in lump sum amounts. Method of awarding/releasing assistance: lump sum.

**Reports:**

Quarterly reports summarizing technical progress, planned activities for next quarter and summary of expenditures are required within 30 days of each quarter. No cash reports are required. Quarterly progress reports and a detailed final report will be required. Applicants are further required to make a commitment to share all data collected with EPA for assessment on a regional level. The Final report shall be completed within 90 calendar days of the completion of the project period. The final report should encompass a complete overview/summary of all of the activities conducted within the grant project period; including any and all data results as well as a justification for impediments. Quarterly reports summarizing expenditures are required within 30 days of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The overall range for outreach awards are between \$49,000 and \$200,000 when funds are available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No grants were issued. Fiscal Year 2012: No grants were issued. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR part 31); Environmental Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service (NTIS), Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Darlene Watford, National Program Chemicals Division, Office of Pollution Prevention and Toxics,(7404T), Environmental Protection Agency, Ariel Rios Bldg., 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: [watford.darlene@epa.gov](mailto:watford.darlene@epa.gov) Phone: (202) 566-0516.

**Website Address:**

<http://www.epa.gov/lead/>



**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Program was not offered in FY 2011. Fiscal Year 2012: No grants were issued. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.716 RESEARCH, DEVELOPMENT, MONITORING, PUBLIC EDUCATION, TRAINING, DEMONSTRATIONS, AND STUDIES  
FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10, Public Law 106-74; Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), Section 20; National Environmental Policy Act, Section 102(2)(F); Toxic Substances Control Act, Section 10, Public Law 105-174.

**OBJECTIVES:**

Grants are awarded to support Research, Development, Monitoring, Public Education, Training, Aid, Demonstrations, and Studies assistance relating to the protection of public health and the environment from pesticides and potential risk from toxic substances.

Funding Priority - Fiscal Year 2012:

Office of Pollution Prevention and Toxics (OPPT) FY2012 -

Health Communities and Ecosystems: International Capacity Building (reduce chemical and biological risks) - To continue providing technical assistance, training, information exchange and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment regionally and globally.

Increase cooperation in various aspects of chemical risk management and pollution prevention.

FY 2012 - OPP: Projects for safer use of pesticides, including worker protection, certification and training of pesticide applicators, protection of endangered species, tribal pesticide programs, integrated pest management, environmental stewardship, Pesticide Registration Renewal Act (PRIA 2) Partnership grants; Pesticide Regulatory Education Program (PREP), Integrated pest management in Schools Regional grants, and Bed Bug Education/Outreach and Environmental Justice. Types of activities: develop and implement programs to reduce pesticide risks; analysis and development of pilot pesticide safety programs and materials; Tribal Pesticide Program Council (TPPC); National train-the-trainer program to educate farmworkers on how to reduce risks from pesticides; continue the National Pesticide Information Center (NPIC); PREP education program for states and tribes, Environmental Justice Bed Bug Projects; and implement verifiable integrated pest management in schools programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' allowable direct costs incident to approved scopes of work plus allowable indirect costs, in accordance with established EPA policies and regulations. Funding awarded for research does not include research within the purview of EPA's Office of Research and Development.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf

of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States, U.S. territories or possessions, federally recognized Indian tribal governments and Native American Organizations, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, local governments, and individuals and international entities. For profit organizations are not eligible. Non-profit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. EPA may also limit eligibility for certain competitive funding opportunities under this CFDA to a subset of eligible applicants and/or to tribes, Alaska native villages, and intertribal consortia located in the Region where a project is going to be performed. For Tribal funding opportunities to be funded with the State and Tribal Assistance Grant (STAG) appropriation, eligibility will be limited to States, Tribes, Alaska native villages, and intertribal consortia to support the Office of Prevention, Pesticides and Toxic Substances' Tribal Program. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Also, for certain competitive opportunities offices may limit eligibility to tribes in a region.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, federally recognized Indian tribal governments and Native American Organizations, universities and colleges, hospitals, laboratories, other public and private nonprofit institutions, general public, and other Non-Governmental Organizations.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87, 2 CFR Part 225 for State and local governments and Indian Tribes, OMB Circular No. A-21, 2 CFR Part 220 for educational institutions, and OMB Circular No. A-122, 2 CFR Part 230 for nonprofit institutions. Applicants may be requested to demonstrate that they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. Non-profits are required to demonstrate non-profit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

EPA awards grants and cooperative agreements supporting research, development, monitoring, public education, training, demonstrations, and studies based on competitive applications submitted in response to EPA solicitations, considering relevance and likelihood of success of proposed projects. When making competitive awards, EPA will specify the nature of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For this reason, we recommend that potential applicants discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. See Appendix IV of the Catalog. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the

Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Application kits should be requested from and submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, 1200 Pennsylvania Avenue, N. W., Washington, DC 20460 or the appropriate EPA Regional Office identified in Appendix IV of the Catalog. Detailed information and assistance, including the application kit, required forms, and a check list may also be found at: <http://www.epa.gov/ogd/AppKit/>. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Generally, EPA incrementally funds grants and cooperative agreements for research, development, monitoring, public education, training, demonstrations and studies. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds, and the Agency policy on the competitive grant process.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Funds are released by a letter of credit. See the following for information on how assistance is awarded/released: EPA normally funds grants and cooperative agreements on a 12 month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Funds are released by a letter of credit.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Agreements may require quarterly, interim, and final progress reports, and financial, equipment, and invention reports. Reporting requirements are also identified in the Grant Regulations, 40 CFR Parts 30 and Part 31. Under OPP, grantees are required to submit program reports. Under OPPT, grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantees are required to submit financial reports. Under OPPTS, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems

requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantees are required to submit progress reports. Under OPPTS, grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantees are required to submit expenditure reports. Under OPPTS, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31. Under OPP, grantees are required to perform performance monitoring as part of their requirements. Under OPPTS, grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Parts 30 and 31 are applicable depending upon the identity of the recipient. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions, such as those raised as a result of audits remain following the 3-year period, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304; 68-0107-2-1-304; 68-0103-2-1-304.

**Obligations:**

(Project Grants) FY 11 \$5,750,419; FY 12 est \$5,397,500; and FY 13 est \$3,400,000 - The Office of Pesticide Programs(OPP) - FY 2011 \$5,105,000; FY 2012 est. \$4,647,500, FY 2013 - est. \$3,000,000

The Office of Pollution Prevention and Toxics (OPPT)

FY2011- \$645,419; FY2012 est. 750,000 FY2013 - est. \$400,000.

**Range and Average of Financial Assistance:**

\$1,000 to \$1,500,000. Average: \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY 2011 OPP made 13 awards (3 for PRIA2; 6 for IPM in Schools; 4 for others) to conduct projects to protect human health and the environment. Fiscal Year 2012: OPPT - No new awards were issued in FY12.

For 2012, OPP made 12 incremental funding actions to conduct projects to protect human health and the environment. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research, development, monitoring, public education, training, demonstrations and studies grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for non-profit institutions.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Sharon Clark, USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 7401M  
, Washington, District of Columbia 20460 Email: clark.sharon@epa.gov Phone:  
(202) 564- 3810.

**Website Address:**

<http://www.epa.gov/oppts.html>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act; 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act; 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act; 66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development; 66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Office of Pollution Prevention and Toxics: Development of national mercury product and emission inventory, Conducting situation analysis and capacity assessment (in support of mercury inventory development), Conducting awareness-raising and skills building workshop, Drafting mercury risk management plan, and Performing facility assessment/audit of mercury-containing equipment and products. We also assisted both foreign entity governments and the chemicals industry in identifying the most cost-effective way of reducing the risks posed by chemicals. Its approach, of working together to harmonize policies and instruments for their implementation, avoids duplicative efforts, reduces animal testing, saves time and money, and minimizes non-tariff barriers to trade. The resulting global net savings (after deducting costs) for harmonizing the testing and assessment of new pesticides and industrial chemicals and the systematic investigation of high production volume chemicals are estimated to be approximately \$202 million a year. Support to States so that they can develop authorized programs to implement the Renovation, Repair and Painting (RRP) regulation.

Office of Pesticide Programs (OPP) funded the following projects: developed and implemented programs to reduce pesticide risks; developed pesticide safety programs and materials; provide a toll-free number that serves the U.S., Puerto Rico, and the Virgin Islands seeing impartial information about pesticides; Pesticide Regulatory Education Program (PREP, Pesticide Registration Renewal Act (PRIA 2)) Partnership Grants; develop a national program providing training to healthcare providers; Integrated Pest Management (IPM) in Schools program; and support the Tribal Pesticide Program Council (TPPC). Fiscal Year 2012: Office of Pollution Prevention and Toxics: Development of national mercury product and emission inventory, Conducting situation analysis and capacity assessment (in support of mercury inventory development), Conducting awareness-raising and skills-building workshops for mercury, Drafting mercury risk management plan, Performing facility assessment/audit of mercury-containing equipment and products and Conducting awareness-raising and skills-building workshops for nanotechnology and nanomaterials. Continue to set-up interim steering committee and face-to-face meetings to facilitate information exchange and get feedback on programs. Also continue to focus on multiple program areas including work on industrial chemicals, pesticides, biocides, biotechnology and nanotechnology. The program will work to ensure high quality chemical testing and evaluation, to increase the efficiency and effectiveness of chemical management, and to minimize non-tariff barriers to trade in chemicals and products containing chemicals.

Office of pesticide Programs (OPP): Develop and provide educational tools and programs for the certification and recertification of restricted use of pesticide (RUP) applicators; develop and implement programs to reduce risks; develop pesticide safety programs and materials; provide a toll-free number that serves the U.S., Puerto Rico, and the Virgin Islands seeing impartial information about pesticides; Pesticide Regulatory Education Program (PREP), Pesticide

Registration Renewal Act (PRIA 2) Partnership Grants; Integrated pest Management (IPM) in Schools program; and support the Tribal Pesticide Program Council (TPPC). Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.717 SOURCE REDUCTION ASSISTANCE****FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection Agency

**AUTHORIZATION:**

Toxic Substances Control Act, Section 10; Solid Waste Disposal Act, Section 8001(a); Clean Air Act, Section 103(b); Clean Water Act, Section 104(b)(3); Federal Insecticide, Fungicide, and Rodenticide Act, Section 20; Safe Drinking Water Act, Section 1442(a)(1)&(c).

**OBJECTIVES:**

Under this CFDA announcement, EPA administers two grant programs - the Source Reduction Assistance (SRA) grant program and the Regional Pollution Prevention Information Network Centers (RP2INC) grant program. The goal of the SRA program is to provide grants to support pollution prevention (P2, source reduction and/or resource conservation activities). The goal of the RP2INC program is to fund an organization which will serve as the national coordinator of the regional P2 Resource Exchange Centers. The national coordinator will provide leadership in: framing national P2 initiatives, strengthening collaboration among the regional centers, evaluating P2 information, tools and products, and marketing the centers' services nationally.

For purposes of the grant programs, P2 is defined as any practice which reduces or eliminates the creation of pollutants through: increased efficiency in the use of raw materials, energy, water, or other resources, or protection of natural resources by conservation activities. EPA is interested in funding projects which assist in reducing hazardous substances, pollutants, or contaminants entering waste streams or otherwise released into the environment (including fugitive emissions) prior to recycling, treatment, or disposal. Grant activities may involve, but are not limited to the following: equipment or technology modifications, process or procedure modifications, reformulation or redesign of products, substitution of raw materials, improvements in housekeeping, maintenance, training, inventory control, etc.

Funding Priority - Fiscal Year 2012: To support source reduction, pollution prevention and resource conservation activities that comply with the statutory authorities of the Clean Air Act, Section 103(b), as amended; Clean Water Act, Section 104(b)(3), as amended; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended; Safe Drinking Water Act, Section 1442 (a)(1) and (c), as amended; Solid Waste Disposal Act, Section 8001(a), as amended; and the Toxic Substances Control Act, Section 10, as amended.

Projects must consist of activities within the statutory terms of these EPA grant authorities. The statutes authorize grants for the following activities: "research, investigations, experiments, education/training, demonstrations of new or innovative techniques, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing awareness. Applicants should emphasize this "learning" concept in their proposals. All activities in the proposal must be eligible under one or more of the statutory authorities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

EPA is interested in supporting pollution prevention, source reduction and resource conservation projects that will provide an overall benefit to the environment by preventing pollutants at the source. Source reduction projects can include but are not limited to: 1) improving facility and institutional operations that reduce pollutant use and exposure, 2) reformulating and procuring products to reduce toxic constituents, 3) providing direct technical assistance to businesses and other organizations, 4) encouraging green product design and manufacturing, 5) conducting outreach, 6) collecting and analyzing

data, and 7) integrating pollution prevention concepts into state, regional and tribal environmental multimedia programs. Grant activities must be consistent with the grant guidelines of the statutory authorities listed for this program. The statutory authorities are listed in this CFDA announcement and in the applicable grant solicitations. The statutes authorize EPA to award assistance agreements to support the following activities: "research, investigations, experiments, education/training, demonstrations of new or innovative techniques, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing the state of knowledge. Grant proposals should emphasize this "learning" concept, as opposed to "fixing" an environmental problem via a well-established method. For example, a proposal to install a more energy efficient heating system in the applicant's facility in order to conserve energy, would not, in itself fall within research, studies, demonstrations, etc. All activities in the applicant's proposal must be eligible under one or more of the statutory authorities listed.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Assistance under this program is available to the fifty States, the District of Columbia, the United States Virgin Islands, the Commonwealth of Puerto Rico, any territory or possession of the United States, local governments, city or township governments, independent school district governments, state controlled institutions of higher education, federally-recognized tribal governments, non-profits other than institutions of higher education, private institutions of higher education, and community-based grassroots organizations. Nonprofit organizations must be able to demonstrate that they are eligible through documentation of nonprofit status provided the U.S. Internal Revenue Service or their state of incorporation. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

#### **Beneficiary Eligibility:**

Any State, Federally-recognized Tribal government, Intertribal Consortia, college/university, non-profit organization, local government or independent school district.

#### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A 87 for State and local governments and federally recognized tribal governments, OMB Circular No. A 21 for educational institutions, OMB Circular No. A 122 for nonprofit institutions. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Standard grant forms are required, as provided by the EPA and must be used for both grant programs. Forms may be obtained via the Internet by visiting: <http://www.epa.gov/ogd/AppKit/application.htm>.

Please consult the SRA and RPPINC program notices, posted to EPA's Pollution Prevention Grant web site at <http://www.epa.gov/p2/pubs/grants> for more information. If the applicant does not know who their Single Point of

Contact is, they should contact the appropriate EPA Regional Pollution Prevention Program office listed in the Information Contacts section, or call the EPA Headquarters Grant Policy Information and Training Branch at 202-564-5325. Federally-recognized Tribal governments are not required to comply with this procedure. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This CFDA program description is designed to benefit national and regional source reduction, pollution prevention, and resource conservation activities. Grant proposals must meet the requirements outlined in the national and regional Source Reduction Assistance solicitation notices. EPA will conduct the grant competition by posting a Request for Proposals (RFP) on-line. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Source Reduction Assistance grants and cooperative agreements are subject to the availability of funds. EPA will issue awards contingent upon the criteria specified in this CFDA program description and within the corresponding solicitations. EPA reserves the right to reject any or all proposals and issue no awards. Procedures for awards are outlined in the General Grant Regulation 40 CFR Part 30.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA requires a minimum 5% match of the total allowable project cost. For example, the Federal government will provide 95% of the total allowable cost of the project and the recipient will provide the remaining 5%. The match may be issued in the form of cash and/or in-kind contributions, e.g., donated services, charges for real property and equipment or the value of goods and services directly benefiting the EPA funded project. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Assistance agreements are awarded for a project period not to exceed 2 years. See the following for information on how assistance is awarded/released: Grant and cooperative agreement funds issued under the SRA and RPPINC grant programs are released by letter of credit to the eligible grant recipient.

#### **Reports:**

No program reports are required. Budget information should be submitted to the grant project officer. This information should be included in the semi-annual progress report and the final technical report. Uniform reporting requirements for institutions of higher education and other non-profit organizations. The recipient and the Grant Project Officer will develop a process for jointly

evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR part 30, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see sections 30.51 through 30.53). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Grant Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Grant Project Officer and the recipient will negotiate a resolution. The recipient may request a review of the Grant Project Officer's decision under the dispute resolution process under (40 CFR 30.63).

Uniform reporting requirement for state, local and tribal governments. The recipient and the Grant Project Officer will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. The work plans and reporting must be consistent with the requirements of 40 CFR 31, subpart C. A description of the evaluation process and a reporting schedule must be included in the work plan (see sections 31.40 through 30.42). The reporting schedule requires the recipient to submit, at a minimum, annual progress reports, during the life of the project, to the Grant Project Officer. Recipients should provide discussion of accomplishments as measured against work plan commitments; a discussion of cumulative effectiveness of the work performed under all work plan components; a discussion of existing and potential problem areas; and suggestions for improvement, including where feasible, schedules for making improvements. If evaluation reveals the recipient has not made sufficient progress under the work plan, the Grant Project Officer and the recipient will negotiate a resolution that addresses the issues. If issues cannot be resolved through negotiation, the Grant Project Officer may take appropriate action (see sections 31.43 through 31.44.) The recipient may request a review of the Grant Project Officer's decision under the dispute resolution process under 40 CFR, Part 31, subpart F.

Semi-annual progress reports are required. Grantees should explain the work executed to date, provide environmental performance data, if available, describe the future direction of the project and describe staff and budget plans. Expenditure information should be included in the semi-annual progress report and the final technical report. Performance monitoring is required if the grantee produces environmental data. In the semi-annual progress report and in the final technical report the grantee should explain how environmental data was gathered, measured, tracked and documented.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records to substantiate charges to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance agreement accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,063,074; FY 12 est \$1,470,000; and FY 13 est \$1,470,000 - SRA grant program: FY 2011: \$968,074; FY 2012: estimated obligation: \$1,470,000; FY 2013 estimated obligations \$1,470,000.

RP2INC (Regional P2 Information Network Coordinator) grant program: FY FY 2011: \$95,000; FY 2012: grant funding was not awarded.

**Range and Average of Financial Assistance:**

SRA award range in FY 2011: \$20,000 - \$130,000. Average award: \$92,197.

RP2INC awarded one grant for \$95,000 in FY 2011.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The SRA program awarded 21 grants totaling \$968,074 in FY 2011. Similar results are anticipated for FY 2013.

The RP2INC grant for \$95,000 was awarded in March 2011. Fiscal Year 2012: FY 2012 program accomplishments are not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 29, 30, 31, 32; and "EPA Assistance Administration Manual," are available from the National Technical Information Services, Department of Commerce, Springfield, VA 22161 on a subscription basis, Order No.: NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. RPPINC grant program -

U.S. EPA HQ - Mail Code 7409M: 1200 Pennsylvania Ave, NW,

Washington, DC, 20460; Contact: Beth Anderson, phone: (202)564-8833; fax (202)564-8901; email: anderson.beth@epa.gov

SRA grant program -

U.S. EPA Region 1 (CT, ME, MA, NH, RI, VT), Mail Code: OES04-1

5 Post Office Square, Suite 100, Boston, MA 02109-3912; Contact: Lee Fiske, phone: (617) 918-1847; fax: (617) 918-1810; email: fiske.lee@epa.gov.

U.S. EPA Region 2 (NJ, NY, PR, U.S. Virgin Islands), Mail Code: SPMMB,290 Broadway 25th Floor, New York, NY 10007-1866; Contact: Alex Peck, phone: (212) 637-3758; fax: (212) 637-3771; email: peck.alex@epa.gov.

U.S. EPA Region 3 (DE, MD, PA, VA, WV, D.C.), Mail Code: 3EA40, 1650 Arch Street, Philadelphia, PA 19103-2029; Contact: Mindee Osno, phone: (215) 814-2074; fax: (215) 814-3274; email: osno.mindee@epa.gov.

U.S. EPA Region 4 (AL, FL, GA, KY, MS, NC, SC, TN), Atlanta Federal Center, 61 Forsyth Street S.W. Atlanta, GA 30303; Contact: Pamela Swingle: phone: (404) 562-8482; fax: (404) 562-9066; email: swingle.pamela@epa.gov.

U.S. EPA Region 5 (IL, IN, MI, MN, OH, WI), Mail Code: DW-8J, 77 West Jackson Blvd. Chicago, IL 60604-3590; Contact: Donna Twickler, phone: (312) 866-6184; fax: (312) 353-4788; email: twickler.donna@epa.gov.

U.S. EPA Region 6 (AR, LA, NM, OK, TX), Mail Code: 6EN-XP, 1445 Ross Ave. Suite 1200, Dallas, TX 75202; Contact: David Bond, phone: (214) 665-6431; fax: (214) 665-7446; email: bond.david@epa.gov.

U.S. EPA Region 7 (IA, KS, MO, NE), Mail Code: ARTD/TSP, 901 N. 5th Street, Kansas City, KS 66101; Contact: Marcus Rivas, phone: (913) 551-7669; fax:(913) 551-7065; email: rivas.marcus@epa.gov.

U.S. EPA Region 8 (CO, MT, ND, SD, UT, WY), Mail Code: 8P-P3T, 999 18th Street, Suite 300,Denver, CO 80202-2466; Contact: Linda Walters, phone: (303) 312-6385; fax: (303) 312-6044; email:walters.linda@epa.gov.

U.S. EPA Region 9 (AZ, CA, HI, NV, and Pacific Islands and Tribal Nations subject to U.S. law), Mail Code: WST-7, 75 Hawthorne Street, San Francisco,

CA 94105; Contact: Jessica Counts-Arnold, phone: 415-972-3288; fax: (415) 947-3530; email: counts-arnold.jessica@epa.gov.

U.S. EPA Region 10 (AK, ID, OR, WA), Mail Code: AWT-128, 1200 Sixth Avenue, Suite 900, Seattle, WA 98101; Contact: Carolyn Gangmark, phone: (206) 553-4072; fax: (206) 553-8338; email: gangmark.carolyn@epa.gov.

**Headquarters Office:**

Michele Amhaz, Office of Pollution Prevention and Toxics, Pollution Prevention Division, Environmental Protection Agency, 1200 Pennsylvania Ave., N.W., (7409-M), Washington, District of Columbia 20460 Email: amhaz.michele@epa.gov Phone: (202) 564-8857.

**Website Address:**

<http://www.epa.gov/p2/pubs/grants/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: For the RP2INC program in FY 2011:

EPA grant: \$95,000

The recipient will support the coordination and collaboration of the regional P2 information centers. Each center specializes in specific topics and expertise that is shared nationally utilizing web-based tools such as: RSS feeds, webinars and blogs in addition to more traditional conferences and training.

For the SRA program in FY 2011:

EPA grant: \$29,977

The grant recipient will work to transform high school chemistry curriculum by reducing the use of hazardous chemicals in classrooms. The work will involve developing new lesson plans for teachers that focus on green chemistry alternatives and greener classroom principles. The lessons will focus on using environmentally preferable chemical alternatives as a means to reduce the use of hazardous chemicals in classrooms. The recipient will design five lesson plans intended to replace the five most hazardous high school lessons used in classrooms today.

EPA grant: \$28,000

The grant recipient will create a reproducible model of voluntary state and local partnerships that will enable local government partners to augment the State of Florida's Green Lodging program. The initiative will train local partners to provide technical assistance and conduct site assessments on sustainable lodging and hospitality.

EPA grant: \$56,684

The grant recipient will work with four hospitals in southwest Missouri to refine and implement a sustainability program tool designed to improve hospital operations, reduce wastes and conserve resources. The sustainability program tool will provide training for hospital employees on P2 methods and planning.

EPA grant: \$58,347

The grant recipient will hold a P2 and Sustainability Conference in EPA Region 9. Fiscal Year 2012: Information on funded projects is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.718 NATIONAL COMMUNITY-BASED LEAD OUTREACH AND TRAINING GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Chemical Safety and Pollution Prevention, Environmental Protection

Agency

**AUTHORIZATION:**

Toxic Substances Control Act , Section 10, Public Law 105-174; Toxic Substances Control Act , Section 10, Public Law 106-74.

**OBJECTIVES:**

This lead outreach grant program is supported by EPA's goal to reduce childhood lead poisoning. The projects support this goal by providing lead poisoning outreach to low income communities.

Funding Priority - Fiscal Year 2012: No Funding was available for FY2012.

The project will (print and broadcast) raise awareness of the dangers of lead-based paint dust, especially from renovation or repair activities, and to encourage parents and caregivers to take notice of the paint conditions in their home and connect with local and national resources to ensure their home and family is safe from this potent neurotoxin.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be available for activities which relate to outreach efforts to educate communities about the dangers of children's exposure to lead hazards.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Eligible recipients include national organizations, local governments, community-based organizations, nonprofit organizations, faith-based organizations, community action agencies, institutions of higher learning, school groups, trainers, and environmental consultants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Local,Public Nonprofit Institution/Organization,Health Professional, Education Professional, Builder/Contractor/Developer, Homeowner, Land/Property Owner, Preschool, Low Income, Rural.

**Credentials/Documentation:**

OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. The following forms must be provided if proposal is submitted via grants.gov: Standard Form 424 (Application for Federal Assistance); Standard Form 424A (Budget Information - Non-Construction Programs). No forms are required to be provided if submitting via mail to the EPA Headquarters contact.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated

in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 days after the deadline for the proposal.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are expected to be completed within 1 year. Funds are drawn down.

See the following for information on how assistance is awarded/released:

Funds are drawn down.

**Reports:**

No program reports are required. No cash reports are required. Recipients are required to provide EPA with written progress reports within 30 days after the end of each quarter and a final report within 90 calendar days of the completion of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to cooperative agreements, must be kept available to personnel authorized to examine EPA accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report, or longer if questions still remain, such as those raised as a result of audit.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range Range \$100,000 to \$750,000, average \$281,019.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No new awards were made in FY2011. Fiscal Year 2012: No new awards were issued in FY 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EPA Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (40 CFR Part 31); Environmental

Protection Agency. "EPA Assistance Administration Manual," available from the National Technical Information Service (NTIS), Springfield, VA 22161 on a subscription basis; Order No. NTIS UB/031.

**Regional or Local Office:**

See Regional Agency Offices. See EPA Regional Offices listed in Appendix IV of the Catalog.

**Headquarters Office:**

Darlene Watford, National Program Chemical Division (7404T), Office of Pollution Prevention and Toxics (OPPT), Environmental Protection Agency, 1200 Pennsylvania Ave., NW., Washington, District of Columbia 20460 Email: watford.darlene@epa.gov Phone: (202) 566-0516.

**Website Address:**

<http://www.epa.gov/lead>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Not applicable. Fiscal Year 2012: Not applicable. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.801 HAZARDOUS WASTE MANAGEMENT STATE PROGRAM SUPPORT**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act, Section 3011(a)&(c), Public Law 94-580, 42 U.S.C 6901.

**OBJECTIVES:**

To assist State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous wastes.

Funding Priority - Fiscal Year 2012: Assistance to State governments in the development and implementation of an authorized hazardous waste management program for the purpose of controlling the generation, transportation, treatment, storage and disposal of hazardous waste.

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Under Section 3011, funds may be used for development and implementation of authorized State hazardous waste programs.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State agencies responsible for hazardous waste management within the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and interstate agencies established by the appropriate states and approved by the EPA Administrator under Section 1005 of the Solid Waste Disposal Act are eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to a particular subset of eligible applicants consistent with the Agency's competition policy.

**Beneficiary Eligibility:**

State agencies responsible for hazardous waste management within the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and interstate agencies established by the appropriate states and approved by the EPA Administrator under Section 1005 of the Solid Waste Disposal Act.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. The State work plan is to be sent to the appropriate EPA Regional Office by the date 60 days before the beginning of the budget period (typically by August 1 of each year, if the budget period is the Federal fiscal year). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Requests for application forms and completed applications must be submitted to the appropriate EPA Regional Grants Administration Office. The hazardous waste management staff of the appropriate EPA Regional Office (listed in the address appendix of the Catalog) is available to assist in preparation of the application. This program is excluded from coverage under OMB Circular No. A 110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA reviews each application. They shall be subjected to administrative evaluation to determine adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevancy of the project or program. For competitive awards, EPA will review applications, proposals or submissions in accordance with the terms, conditions, and criteria in the solicitation/announcement of the competitive funding opportunity. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For applicants under Section 3011, 60 days.

**Appeals:**

As described in 40 CFR Part 31, Subpart F. Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

For applicants under Section 3011, grants and cooperative agreements are renewed annually, provided all requirements are met.

**Formula and Matching Requirements:**

Statutory Formula: Title Solid Waste Disposal Act. This program operates under a formula. Statistical factors used for allocation include: 1) State population, as determined by the most recent Census; 2) number of hazardous waste management facilities in States, based on studies conducted by EPA, Office of Resource Conservation and Recovery; 3) number of Large Quantity Generators (LQGs), based on studies conducted by EPA, Office of Resource Conservation and Recovery; and 4) the number of facilities requiring corrective action, based on studies conducted by EPA, Office of Solid Waste. By law, all States and trust territories are eligible for funding. The formula is based on each State's population (17 percent); (LQG) number of facilities proceeding amount of waste produced (16 percent); number of hazardous waste management

facilities (52 percent); and the number of facilities requiring corrective action (15 percent).

Matching Requirements: Maximum Federal share of approved costs is 75 percent; State must provide at least 25 percent of approved costs. (Regional Administrators will determine each State allotment.).

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are normally funded on a 12 month basis (Federal or State fiscal year). The total project period varies according to program requirements. Assistance is awarded by advance payment method. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required on an annual basis. Cash reports are required. Interim and final progress reports are required. No expenditure reports are required. Performance monitoring is conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial reports, including all documents to support entries on the accounting records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant accounts in an institution. All records must be maintained for 3 years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 11 \$103,346,000; FY 12 est \$102,974,000; and FY 13 est \$103,412,000

**Range and Average of Financial Assistance:**

Most fiscal years range \$250,000 to \$8,500,000; average: \$2,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, States continued to develop and implement programs providing cradle to grave control of hazardous wastes (under Section 3011). Fiscal Year 2012: In fiscal year 2012, States continued to develop and implement programs providing cradle to grave control of hazardous wastes (under Section 3011). Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency, 40 CFR Part 31; State and Local Assistance, EPA, 40 CFR Part 35; "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161 on a subscription basis.

**Regional or Local Office:**

See Regional Agency Offices. State agencies are encouraged to communicate with the appropriate EPA Regional Administrator listed in Appendix IV of the Catalog.

**Headquarters Office:**

Wayne Roepe, USEPA Headquarters  
Ariel Rios Building  
1200 Pennsylvania Avenue, N. W.  
Mail Code: 5303P



, Washington, District of Columbia 20460 Email: roepe.wayne@epa.gov  
Phone: (703) 308-8630.

**Website Address:**

<http://www.epa.gov/epawaste/>

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: State projects to develop a hazardous waste program designed to meet the substantive and procedural requirements of an "authorized" program. (Section 3006). Specific types of activities conducted by states include 1) issuance of hazardous waste management permits, 2) oversight of corrective action at hazardous waste management facilities, 3) inspections of hazardous waste management facilities, 4) inspections of hazardous waste generators, and 5) waste minimization activities. Fiscal Year 2012: State projects to develop a hazardous waste program designed to meet the substantive and procedural requirements of an "authorized" program. (Section 3006). Specific types of activities conducted by states include 1) issuance of hazardous waste management permits, 2) oversight of corrective action at hazardous waste management facilities, 3) inspections of hazardous waste management facilities, 4) inspections of hazardous waste generators, and 5) waste minimization activities. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant's annual work program provides the basis for determining whether the applicant's hazardous waste program continues to be eligible for approval and is being implemented by the applicant (Section 3011).

**66.802 SUPERFUND STATE, POLITICAL SUBDIVISION, AND INDIAN TRIBE SITE-SPECIFIC COOPERATIVE AGREEMENTS  
FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 104(d), 42 U.S.C 9604(d).

**OBJECTIVES:**

To (1) conduct site characterization activities at potential or confirmed hazardous waste sites; (2) undertake response planning and implementation actions at sites on the National Priorities List (NPL) to clean up the hazardous waste sites that are found to pose hazards to human health; and (3) effectively implement the statutory requirements of CERCLA 121(f) which mandates substantial and meaningful State involvement.

Funding Priority - Fiscal Year 2012: Funding must be used at specific hazardous waste sites to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites as listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and (8) oversee PRP cleanups.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding may be used to: (1) conduct non time critical removal actions; (2) perform site characterization activities such as preliminary assessments, site inspections, remedial investigations, feasibility studies, and remedial design activities at potential or confirmed hazardous waste sites; (3) conduct remedial actions (i.e., clean up) at uncontrolled hazardous waste sites listed on the National Priorities List (40 CFR 300); (4) support CERCLA implementation activities; (5) identify Potentially Responsible Parties (PRPs); (6) conduct settlement negotiations; (7) take enforcement actions against PRPs; and, (8)

oversee PRP cleanups. Funding may not be used to conduct tasks or activities not authorized by CERCLA. Funds may not be used for non-site-specific Core Program activities (see 66.809). Funds made available by the Recovery Act are prohibited from uses relating to casinos and other gambling establishments, aquariums, zoos, golf courses, or swimming pools. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Beneficiary Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Credentials/Documentation:**

Costs will be determined in accordance with 40 CFR 35, Subpart O and OMB Circular No. A 87, "Cost Principles for State, Local, and Indian Tribal Governments," and other supporting documentation provided by the Agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Consultation and preapplication conference(s) are recommended. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA regional Superfund program offices will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. Final approval of application and supporting documentation and offer of award is made by the EPA Regional Administrator unless redelegated to the Regional Division Director.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately ninety (90) days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Extensions are available but not guaranteed. The original cooperative agreement is amended by using EPA Standard Form 424 and submitting it to the Regional Administrator.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: None required for pre NPL activities or for remedial planning at any site if the site was privately owned and operated at the time of disposal of hazardous wastes. Matching Requirements: 10 percent State, 90 percent Federal, for remedial action if the site is privately owned and operated at the time of disposal of hazardous wastes. Minimum 50 percent State, 50 percent Federal, of all response costs if the site was State/locally operated at time of any disposal of hazardous waste (Note: percentage may vary). CERCLA section 104(c)(3). Tribal governments are not required to share in the costs of Superfund actions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded for duration of project, subject to time constraints imposed by EPA. Money is released on a draw down or a letter of credit basis. See the following for information on how assistance is awarded/released: In order to receive payment by the letter of credit method, the recipient must comply with the requirements regarding letter of credit described in 40 CFR 31.20 (b)(7) and 31.21(b). The recipient must identify and charge costs to specific sites, activities, and operable units, as applicable, for drawdown purposes as specified in the Cooperative Agreement. If the recipient is unable to meet letter of credit requirements, EPA will pay the recipient by reimbursement. The recipient must comply with the requirements regarding reimbursement described in 40 CFR 31.21(d).

**Reports:**

Progress reports, notification of significant developments, property inventory reports, procurement reports, financial reports, and final reports are required pursuant to 40 CFR 35, Subpart O. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Progress reports are required. Financial status reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 and Part 35, Subpart O are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records. If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten year period, whichever is later.

**Account Identification:**

68-8145-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$64,000,000; FY 12 est \$40,000,000; and FY 13 est \$40,000,000

**Range and Average of Financial Assistance:**

\$12,000 to \$9,000,000. Average \$281,513.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, all 10 EPA Regional Offices awarded or continued to fund cooperative agreements to lead cleanup actions, or to support EPA-lead cleanup actions, at hazardous waste sites. Cooperative agreements were awarded to lead the evaluation of newly discovered sites, to assess and investigate sites that have been identified as needing further action, to select, in partnership with EPA, the appropriate technologies and cleanup actions for these sites, to design the selected technologies and cleanup actions, and to construct the designed remedy. Funding was used to start or continue long term remedial actions to treat ground water where remediation goals have not yet been reached. Finally, funding was provided to meaningfully and substantially participate in cleanup actions where EPA led the cleanup. Fiscal Year 2012: In fiscal year 2012, all 10 EPA Regional Offices awarded or continued to fund cooperative agreements to lead cleanup actions, or to support EPA-lead cleanup actions, at hazardous waste sites. Cooperative agreements were awarded to lead the evaluation of newly discovered sites, to assess and investigate sites that have been identified as needing further action, to select, in partnership with EPA, the appropriate technologies and cleanup actions for these sites, to design the selected technologies and cleanup actions, and to construct the designed remedy. Funding was used to start or continue long term remedial actions to treat ground water where remediation goals have not yet been reached. Finally, funding was provided to meaningfully and substantially participate in cleanup actions where EPA led the cleanup. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 30; 40 CFR 31; 40 CFR 35, Subpart O; 25 CFR 20; and Program Guidance Documents.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrators: See Appendix IV of the Catalog.

**Headquarters Office:**

Yolanda Singer Site Assessment and Remedy Decisions Branch, Assessment and Remediation Division, Office of Superfund Remediation and Technology Innovation, Office of Solid Waste and Emergency Response, Mail Code 5204P, EPA, Washington, District of Columbia 20460 Email: singer.yolanda@epa.gov Phone: (703) 603-8837

**Website Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Preliminary Assessments/Site Inspections; Remedial Investigation; Feasibility Study; Remedial Design; Remedial Action (i.e., clean up); PRP searches; RI/FS negotiations; RD/RA Negotiations; PRP oversight; Non Time Critical Removal Actions; State participation in federal lead projects. Fiscal Year 2012: Preliminary Assessments/Site Inspections; Remedial Investigation; Feasibility Study; Remedial Design; Remedial Action (i.e., clean up); PRP searches; RI/FS negotiations; RD/RA Negotiations; PRP oversight; Non Time Critical Removal Actions; State participation in federal lead projects, Long Term Remedial action support, Implementation of institutional controls. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For fund-lead remedial action, the site must appear on the National Priorities List of the National Oil and Hazardous Substances Contingency Plan (NCP) (40 CFR 300). Removal actions require a planning period of six months or more. Each project is examined and selected on a case-by-case basis based upon site ranking, availability of matching funds from the State, availability of Trust funds, receipt of application and other criteria as determined by EPA.

**66.804 UNDERGROUND STORAGE TANK PREVENTION, DETECTION AND COMPLIANCE PROGRAM**

UST Prevention, Detection and Compliance Program

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection

Agency

**AUTHORIZATION:**

Energy Policy Act of 2005, Title XV, Section 1521-1533, Public Law 109-58, 42 U.S.C 15801; Energy Policy Act of 2005, 42 U.S.C 6916(f)(2); Superfund Reauthorization Amendments of 1986, Title I, Section 2007(f); Ethanol And Motor Fuels, Title B, Section 1521, Public Law 109-58, 42 U.S.C 15801; Solid Waste Disposal Act (SWDA) of 1976, Section 2007; EPA's Annual Appropriations Act; Energy Policy Act of 2005, Title XV, Section 1521-1533, Public Law 105-276, 42 U.S.C 15801; Ethanol And Motor Fuels, Title B, Section 1521-1533, Public Law 105-276, U.S.C 15801.

**OBJECTIVES:**

To assist States, Territories, Tribes and/or Intertribal Consortia (LUST Prevention only for Tribes and/or Intertribal Consortia) that meet the requirements at 40 CFR 35.504, in the development and implementation of underground storage tank (UST) programs and for leak prevention, compliance and other activities authorized by the Energy Policy Act (EPA) of 2005; Public Law 105-276; and EPA's annual appropriations acts.

Funding Priority - Fiscal Year 2012: Assistance agreements to states under Section 2007 of the Solid Waste and Disposal Act will support core program underground storage tank (UST) activities, implement their leak prevention and detection programs, as well as the 2005 Energy Policy Act (EPA) leak prevention activities. High priority tasks include providing financial assistance to states for: 1) approving specific technologies to detect leaks from tank systems; 2) ensuring that tank owners and operators are complying with notification and other requirements; 3) ensuring equipment compatibility; 4) conducting UST inspections; 5) implementing operator training; 6) prohibiting delivery for non-complying facilities; 7) seeking state program approval to operate the UST program in lieu of the Federal program; and 8) requiring secondary containment or financial responsibility for tank manufacturers and installers.

LUST Prevention assistance agreements to states and tribes, and/or intertribal consortia for activities authorized by EPA will support states with inspections and other release prevention and compliance assurance activities for Federally-regulated UST systems, as well as for enforcement activities related to release prevention. For tribes, the LUST Prevention assistance agreements will assist with all aspects of the Tribal programs, e.g., inspection capacity. High priority tasks include providing financial assistance to states and tribes for: 1) inspecting UST facilities to complete the three-year inspection requirement; 2) developing inspection capacity for Tribes; 3) assisting states in adopting measures (e.g., delivery prohibition, secondary containment, operator training, etc.), as required by EPA and EPA's grant guidelines; 4) enforcement activities related to release prevention; 5) development of leak prevention regulations, and other program infrastructure; 6) helping tribes develop the capacity to administer UST programs, such as providing funding to support training for Tribal staff and educating owners and operators in Indian Country about UST requirements. These activities are geared toward bringing all UST systems into compliance with release detection and release prevention requirements and minimizing future releases. Priority will be given to providing funds to enable the States to meet their responsibilities under Title XV, Subtitle B of the Energy Policy Act of 2005. States that have entered into assistance agreements with EPA must have the authority to inspect and take other compliance and related enforcement actions to prevent releases from USTs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal

Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

States and Tribes may use financial assistance under this program for eligible and allowable costs incurred under assistance agreements for leak prevention, detection, and compliance, as described in the Section:50 Funding Priority. Assistance agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations.

Unlike State and Tribal Assistance Grant (STAG) funding under Section 2007(f) of the Solid Waste Disposal Act (SWDA), the LUST prevention funding under Section 9011 and other applicable provisions of Subtitle I of the SWDA is not eligible for inclusion in Performance Partnership Grants under 40 CFR 35.133. EPA may award combined STAG funded UST prevention, detection, and compliance assistance agreements authorized by Section 2007(f) with LUST prevention assistance agreements authorized by Subtitle I if the combined agreement is not included in a PPG.

**Applicant Eligibility:**

Prevention, detection and compliance assistance agreements are only available to States and Territories and to Federally-recognized Tribes and Intertribal Consortia that must meet the requirements, as described in the Federal Register Notice, Vol. 67, No. 213, pp. 67181-67183, "Update to EPA Policy on Certain Grants to Intertribal Consortia." These assistance agreements may also be used for EPA to help States, who request it, to obtain SEE enrollees through a SEE assistance agreement to work on the State's underground storage tanks and to support direct UST implementation programs.

**Beneficiary Eligibility:**

States, Territories, Tribes and Intertribal Consortia.

**Credentials/Documentation:**

States and Territories must either submit certification indicating the State or Territory meets the applicable Energy Policy Act provisions, or submit documentation describing the State or Territory's efforts to meet the requirements, in accordance with EPA's Energy Policy Act grant guidelines ([http://www.epa.gov/oust/fedlaws/epact\\_05.htm](http://www.epa.gov/oust/fedlaws/epact_05.htm)). The EPA Regional Offices maintain the credentials/documentation for State and Territorial programs and federally-recognized Tribes and Intertribal Consortia. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Tribes and Intertribal Consortia are excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Tribes apply for funds through EPA regional offices. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. EPA may award combined or separate assistance agreements for leak prevention.

**Award Procedure:**

These funds are awarded non-competitively. However, if EPA elects to hold competitions for Tribal and/or Intertribal Consortia assistance agreements, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

Applications will be subjected to administrative evaluation to determine the adequacy of the application in relation to assistance agreement regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will advise the applicant if funding is being considered. A final work plan will be negotiated with the applicant. An assistance agreement

must be signed between EPA and the State or Territory or EPA and the Tribe or Intertribal Consortia. EPA awards the assistance agreements to states through a previously established allocation process, issued under national guidance rather than through competition (see 40 CFR 35.332 and EPA Order 5700.5, Section 6(c)(1)).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, from 3 to 4 months.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the appropriate Regional Office. See <http://www.epa.gov/swrust1/regions/index.htm>.

**Formula and Matching Requirements:**

This program has no statutory formula.

**Matching Requirements:** The UST prevention, detection, and compliance Solid Waste Disposal Act 2007(f) assistance agreement (STAG) program has no statutory formula or matching requirement. However, there is a 25 percent matching requirement (cost share) for States under 40 CFR 35.335. State matches (cost shares) may include in-kind contributions. Under 40 CFR 35.332, EPA regions allocate funds to states based on their programmatic needs and applicable EPA guidance. Factors include the number of active federally regulated petroleum underground storage tanks. LUST Prevention funding is awarded under Section 9011 and other applicable provisions of Subtitle I of the Solid Waste Disposal Act subject to an allocation process developed by the Agency. The Agency distributes funds based on the number of federally-regulated petroleum USTs in a State and other indicators of State needs. States will provide a 25 percent match (cost share) for assistance agreements awarded under Section 9011 and other applicable provisions of Subtitle I. If EPA awards a State a combined UST prevention, detection, and compliance (STAG) and LUST prevention assistance agreement, the 25 percent cost share will apply to total project costs for the combined assistance agreement. There is no matching requirement (cost share) for prevention, detection and compliance assistance agreements for Tribes or Intertribal Consortia awarded pursuant under Public Law 105-276 or the Agency's annual appropriation act.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the assistance agreement shall be determined at the time of award by the specific EPA Regional Office. Assistance agreements can be awarded on a single- or multiple-year basis up to seven years. See the following for information on how assistance is awarded/released: Financial assistance is awarded in a lump sum. States use the Automated Standard Application for Payment System to request cash drawdowns based on a projected cash requirement.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA Regional Offices may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Recipients submit annual reports which include a description of the progress made towards meeting environmental goals as expressed by the environmental indicators and program measures. Recipients report program performance results semi-annually that provide updates for commitments and priorities. No cash reports are required. Progress reports are required. States must certify that they are meeting or are making progress in meeting the Energy Policy Act requirements. States are required to provide expenditure reports for overall funding for UST prevention, detection and compliance (STAG) assistance agreements. For LUST Prevention assistance agreements, States are required to submit Federal Financial Reports (SF-425) to the Las Vegas Finance Center. Annual reviews are conducted to determine recipients' progress in meeting overall program goals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304; 68-8153-0-7-304.

**Obligations:**

(Formula Grants) FY 11 \$36,854,000; FY 12 est \$31,997,000; and FY 13 est \$33,920,000 - STAG Obligations - Grants to States (for state staff oversight of UST activities identified in Section :50): FY 11 actual: \$2,495,000; FY 12 actual: \$1,548,000; and FY 13 estimate: \$1,490,000.

LUST Prevention Obligations - Assistance Agreements to State and Tribes (for state staff oversight and inspection activities related to the UST program; for Tribal staff to build capacity and provide training for prevention activities identified in Section :50): FY 11 actual: \$34,359,000; FY 12 actual: \$30,449,000; and FY 13 estimate: \$32,430,000.

**Range and Average of Financial Assistance:**

Range for States and Territories: The STAG and LUST prevention financial assistance is based on states' needs.

In FY 2011, STAG funding - Range for States and Territories: \$17,000 to \$540,000; Average for States and Territories = \$139,000. In FY 2011, there is no STAG distribution for Tribes. Previous fiscal year STAG funding was used in a competitive Tribal cooperative agreement in the amount of \$92,900 in FY 2011. LUST Prevention Funding - Range for States and Territories: \$98,000 to \$1,990,000; Average for States and Territories = \$621,519. Range for Tribes: \$25,000 to \$566,000; Average for Tribes = \$106,368.

In FY 2012, STAG funding - Range for States and Territories: \$25,000 to \$302,000; Average for States and Territories = \$111,000. In FY 2012, there is no STAG distribution for Tribes. LUST Prevention Funding - Range for States and Territories: \$7,000 to \$1,710,000; Average for States and Territories = \$517,000. Range for Tribes: \$19,000 to \$784,000; Average for Tribes = \$136,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 18 states submitted applications and were awarded STAG assistance agreements; one tribal consortia assistance agreement was awarded previous year's STAG funding. For the LUST Prevention assistance agreements, 52 states (including DC and Puerto Rico) and four territories and 18 tribes and/or tribal consortia submitted applications and were awarded LUST Prevention assistance agreements. Program accomplishments can be found at [http://www.epa.gov/swrust1/cat/ca\\_11\\_34.pdf](http://www.epa.gov/swrust1/cat/ca_11_34.pdf). Fiscal Year 2012: In FY 2012, it is anticipated that 14 states will submit applications and will be awarded STAG assistance agreements. For the LUST Prevention assistance agreements, it is anticipated that 51 states (including DC and Puerto Rico) and four (4) territories and 16 tribes and/or tribal consortia will submit applications and will be awarded LUST Prevention assistance agreements.

At this time, there are no program accomplishments to report for FY 2012.

Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Parts 30 or 31, as applicable), State and Local Assistance (40 CFR Part 35.330 et. seq. for States and 40 CFR 35.730 et. seq. for Tribes and Intertribal Consortia). Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes and OMB Circular A-122 (2 CFR Part 230) for Intertribal Consortia that follow the assistance regulations for nonprofit organizations. Contact Regional UST Program Manager for documents.

#### **Regional or Local Office:**

See Regional Agency Offices. For state-specific opportunities, EPA encourages potential state applicants to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers (see <http://www.epa.gov/swrust1/regions/index.htm>).

#### **Headquarters Office:**

Lynn Depont, USEPA Headquarters; 1200 Pennsylvania Avenue, N. W.; Mail Code: 5401P, Washington, District of Columbia 20460 Email: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov) Phone: (703) 603-7148.

#### **Website Address:**

<http://www.epa.gov/swrust1/index.htm>

#### **RELATED PROGRAMS:**

66.805 Leaking Underground Storage Tank Trust Fund Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: UST prevention, detection, and compliance assistance agreements' funded projects include functions necessary for the development and/or implementation of a State or Indian underground storage tank (UST) program. Those functions included the development and/or implementation of enforcement and inspection programs, outreach, and training related to the underground storage tanks program. Specific examples of funded projects in FY 2011 were state inspections, enforcement, development of regulations and other program infrastructure. These assistance agreements were also used for EPA to help states, who requested it, to obtain SEE enrollees through a SEE assistance agreement to work on the state's underground storage tanks (UST) and to support direct tribal UST implementation programs. Fiscal Year 2012: UST prevention, detection, and compliance assistance agreements' funded projects include functions necessary for the development and/or implementation of a State or Indian underground storage tank (UST) program. Those functions included the development and/or implementation of enforcement and inspection programs, outreach, and training related to the underground storage tanks program. Specific examples of funded projects in FY 2012 were state inspections, enforcement, development of regulations, other program infrastructure, and to support direct tribal UST implementation programs. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

This program allocates funding to States and Tribes non-competitively under the allocation system referenced in Section:101. Funding provided to states for release prevention must be expended in accordance with grant guidelines EPA issued to implement the Title XV, Subtitle B of the Energy Policy Act of 2005, [http://www.epa.gov/swrust1/fedlaws/epact\\_05.htm](http://www.epa.gov/swrust1/fedlaws/epact_05.htm).

#### **66.805 LEAKING UNDERGROUND STORAGE TANK TRUST FUND CORRECTIVE ACTION PROGRAM**

Leaking UST Corrective Action Program

#### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

Solid Waste Disposal Act of 1976 (SWDA), as amended, Section 9003(h), Public Law 105-276; American Recovery and Reinvestment Act of 2009 ; Solid Waste Disposal Act of 1976 (SWDA), as amended, Section 2007(f)(2).

#### **OBJECTIVES:**

To support State (including Territories that are included in the definition of "State" in the Solid Waste Disposal Act) and Tribal corrective action programs

that address releases from underground storage tanks.

Funding Priorities - Fiscal Year 2012: Assistance agreements to states and Tribes will support activities in making progress in cleaning up petroleum leaks by initiating and completing cleanups, and reducing the backlog of sites not yet cleaned up. In FY 2012, not less than 80 percent of LUST cleanup appropriated funds will be provided to states to carry out the LUST cleanup program. High priority tasks include better site characterization efforts, remedy selection review, other technical assistance and management, oversight and enforcement activities at unaddressed LUST sites.

The LUST program received funding in the FY 2009 American Recovery and Reinvestment Act (ARRA) of 2009. All of these funds were obligated; however, \$9.2 million was returned by one state and subsequently rescinded by Congress. The ARRA funds will continue to be outlaid in FY 2012. Additional details can be found at <http://www.epa.gov/recovery/> and <http://www.recovery.gov/>.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

States and Tribes may use financial assistance under this program for eligible and allowable costs incurred under cooperative agreements for corrective action, as described in Section: 54 Funding Priority and Section: 180 Criteria for Selecting Proposals. This financial assistance program is not eligible for inclusion in Performance Partnership Grants under 40 CFR 35.133. EPA will award cooperative agreements for corrective action activities. The applicable provisions in OSWER Directive 9650.10A, "LUST Trust Fund Cooperative Agreement Guidelines" apply to states receiving funds under this program. See <http://www.epa.gov/swrust1/directiv/d965010a.htm>.

LUST Trust Funds for corrective action will not be used to implement any provision of the Energy Policy Act (EPAct) of 2005, Title XV, Subtitle B, that is not also a leaking underground storage tank activity authorized by Section 205 of the Superfund Amendments and Reauthorization Act. Funds made available by the Recovery Act are prohibited from uses relating to casinos and other gambling establishments, aquariums, zoos, golf courses, or swimming pools.

#### **Applicant Eligibility:**

Cooperative agreements are only available to States and Territories that have UST programs. Additionally, these cooperative agreements are only available to Federally-recognized Tribes and Intertribal Consortia that must meet the requirements, as described in the Federal Register Notice, Vol. 67, No. 213, pp. 67181-67183, "Update to EPA Policy on Certain Grants to Intertribal Consortia."

#### **Beneficiary Eligibility:**

States, Territories, Tribes and Intertribal Consortia and the communities and industries affected by leaks from underground storage tanks.

#### **Credentials/Documentation:**

Even though the LUST corrective action assistance agreements are only used for traditional cleanup activities under Section 9003(h), States and Territories must either submit certification indicating the State or Territory meets the applicable Energy Policy Act provisions, or submit documentation describing the State or Territory's efforts to meet the requirements, in accordance with

EPA's Energy Policy Act grant guidelines ([http://www.epa.gov/oust/fedlaws/epact\\_05.htm](http://www.epa.gov/oust/fedlaws/epact_05.htm)). The EPA Regional Offices maintain the credentials/documentation for State and Territorial programs and federally-recognized Tribes and Intertribal Consortia. Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Tribes and Intertribal Consortia are not required to follow intergovernmental review procedures. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Tribes apply for funds through EPA regional offices under this CFDA.

**Award Procedure:**

These funds are awarded non-competitively. Applications will be subjected to administrative evaluation to determine the adequacy of the application in relation to assistance agreement regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will advise the applicant if funding is being considered. A final work plan will be negotiated with the applicant. A cooperative agreement must be signed between EPA and the State or Territory or EPA and the Tribe or Intertribal Consortia. EPA awards the cooperative agreement to states through a previously established allocation process, issued under national guidance rather than through competition. See EPA Order 5700.5, Section 6(c)(1).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally from 3 to 4 months.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Contact the appropriate Regional Office. See <http://www.epa.gov/swrust1/states/index.htm>.

**Formula and Matching Requirements:**

Statutory Formula: Title Solid Waste Disposal Act. LUST corrective action funding awarded under Section 9003(h)(7) of the Solid Waste Disposal Act is subject to an allocation process developed by the Agency. By guidance, the Agency has established a process for allocating funds to states under Section 9003(h)(7) based on the cumulative numbers of confirmed UST releases, total number of existing registered petroleum UST systems, cleanups initiated, cleanups completed, the percentage of the population using groundwater for drinking water, and the number of states with approved UST programs. This program allocates funding to Tribes and Intertribal Consortia non-competitively based on their programmatic needs and national guidance.

Matching Requirements: States must provide a 10 percent cost share for cooperative agreements awarded under Section 9003(h)(7). There is no matching requirement for corrective action cooperative agreements for Tribes or Intertribal Consortia awarded pursuant to Public Law 105-276. Cooperative agreements awarded with Recovery Act funds were not subject to cost share requirements under section 9003(h)(7)(B) of the SWDA. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of the grant award by the specific EPA Regional Office.

Cooperative agreements awarded with Recovery Act funds were awarded on a two and one-half year budget and performance period. The budget and performance period may be extended on a limited basis to allow work to be

performed on eligible sites.

Cooperative agreements awarded with Recovery Act funds may be awarded on a two and one-half year budget and performance period (e.g., 4/1/2009 to 9/30/2011). The budget and performance period may be extended on a limited basis to allow work to be performed on eligible sites. See the following for information on how assistance is awarded/released: LUST Trust Fund Corrective Action assistance agreements are awarded to states annually on a multi-year cycle. Financial assistance is awarded in a lump sum. States use the Automated Standard Application for Payment System to request cash drawdowns based on a projected cash requirement.

**Reports:**

Recipients provide performance and financial reports as authorized by 40 CFR 31.40 and 31.41. In accordance with section 1512 of the Recovery Act, recipients of Recovery Act funding must provide quarterly reports containing information required under the Act and OMB Regulations at 2 CFR 176.50 until the assistance agreement ends. For the LUST Trust Fund Corrective Action assistance agreements, states report program performance results semi-annually and progress reports as part of the yearly review with EPA. For the LUST Trust Fund Recovery Act assistance agreements, states will report program performance results on a quarterly basis until the assistance agreements end. No cash reports are required. Progress reports are required. States are required to submit Federal Financial Reports (SF-425) to the Las Vegas Finance Center. Performance monitoring is conducted to determine states' progress towards meeting overall program goals.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 (governmental units) or 40 CFR Part 30 (non-profit intertribal consortia) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

Recipients must account for Recovery Act funds separately.

**Account Identification:**

68-8153-0-7-304 - LUST 68-81-53-0-7-304 and for LUST Recovery Act funding 68-8196--0-7-304.

**Obligations:**

(Formula Grants) FY 11 \$63,306,000; FY 12 est \$59,156,000; and FY 13 est \$57,402,000 - LUST Obligations - Assistance Agreements to States and Tribes (for state and tribal staff oversight of initiating and cleaning up contamination from leaking underground storage tanks): For LUST State Cooperative Agreements: FY 2011 actual: \$63,066,000; FY 2012 actual: \$58,956,000; and FY 2013 estimate: \$57,402,000. For LUST Tribal Cooperative Agreements: FY 2011 actual: \$240,000; FY 2012 actual: \$200,000; FY 2013 estimate: unknown at this time.

**Range and Average of Financial Assistance:**

For FY 2011, the Range for Territories and States: \$51,000 - \$3,658,000;

Territory Average \$87,000; State Average: \$1,213,000. There were a total of approximately 10 Tribal cooperative agreements in FY 2011. Range for Tribes and Intertribal Consortia: \$115,000 to \$125,000; Average: \$120,000.

For FY 2012, the Range for Territories and States: \$50,000 - \$3,202,000; Territory Average: \$83,000; State Average: \$1,134,000. There were approximately 10 Tribal cooperative agreements in FY 2012 for a total of \$200,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 52 States (including DC and Puerto Rico) and four territories and approximately 10 Indian Tribes submitted assistance agreement applications and were awarded LUST corrective action assistance agreements. For performance measure results, please see [http://www.epa.gov/swerst1/cat/ca\\_11\\_34.pdf](http://www.epa.gov/swerst1/cat/ca_11_34.pdf). Fiscal Year 2012: In FY 2012, 52 States (including DC and Puerto Rico) and four territories and approximately 10 Indian Tribes submitted assistance agreement applications and were awarded LUST corrective action assistance agreements. Final performance measure results are not available at this time. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations governing the award and administration of the Recovery Act Leaking Underground Storage Tanks cooperative agreements and the Leaking Underground Storage Tank corrective action cooperative agreements are the "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" set forth at 40 CFR Part 31 ([www.access.gpo.gov/nara/cfr/waisidx\\_00/40cfr31\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr31_00.html)). Non-profit recipients are subject to 40 CFR Part 30.

Guidelines: Leaking Underground Storage Tanks Trust Fund. Cooperative Agreement Guidelines. Energy Policy Act of 2005 Grant Guidelines, [http://www.epa.gov/swerst1/fedlaws/epact\\_05.htm](http://www.epa.gov/swerst1/fedlaws/epact_05.htm). Guidance To Regions For Implementing The LUST Provisions Of The American Recovery And Reinvestment Act of 2009 and the Supplemental Guidance To Regions Clarifying Applicability Of Davis Bacon Act To Private Wells, <http://www.epa.gov/swerst1/eparecovery/lustproguide.htm>.

Costs will be determined in accordance with OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes and OMB Circular A-122 (2 CFR Part 230) for Intertribal Consortia that follow the assistance regulations for nonprofit organizations. Contact Regional LUST Program Manager for documents.

#### **Regional or Local Office:**

See Regional Agency Offices. For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers (see <http://www.epa.gov/swerst1/regions/index.htm>).

#### **Headquarters Office:**

Lynn Depont, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 5401P, Washington, District of Columbia 20460  
Email: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov) Phone: (703) 603-7148

#### **Website Address:**

<http://www.epa.gov/swerst1/index.htm>

#### **RELATED PROGRAMS:**

66.804 State and Tribal Underground Storage Tanks Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY 2011, states conducted site assessment/site characterization; reviewed site characterization reports; reviewed corrective action plans; conducted enforcement actions; provided assistance to Tribes to help develop and implement the LUST program; and conducted cleanups and provided oversight of responsible party cleanups. Fiscal Year 2012: It is anticipated that in FY 2012, states will conduct site assessment/site characterization; review site characterization reports; review corrective action plans; conduct enforcement actions; provide assistance to Tribes to help develop and implement the LUST program; and conduct cleanups and provide oversight of responsible party cleanups. Fiscal Year 2013: No Current Data

Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

This program allocates funding to States and Tribes non-competitively under the allocation system referenced in Section 101. Guidelines for LUST corrective action cooperative agreements are found in OSWER Directive 9650-10A, and at OUST's website <http://www.epa.gov/swerst1/directiv/d965010a.htm>.

#### **66.806 SUPERFUND TECHNICAL ASSISTANCE GRANTS (TAG) FOR COMMUNITY GROUPS AT NATIONAL PRIORITY LIST (NPL) SITES**

(TAG)

#### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499, 42 U.S.C 9617; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Section 117(e), Public Law 96-510.

#### **OBJECTIVES:**

The statutory authority for this project is CERCLA 117(e) as amended by 42 USC 9617(e); it authorizes Technical Assistance Grants to be awarded to groups of individuals affected by or threatened by a release at a Superfund site so that they can obtain independent technical assistance to interpret site-related documents and share this information to the rest of the community. The objective of each TAG is to procure an independent technical advisor(s) to review and inform the community on EPA documents related to cleaning up the Superfund site that is affecting them. The goal of each TAG is that the technical advisor's information aids the community in the preparation of public comments and assists the community to more meaningfully participate in the cleanup decision-making process.

Funding Priority - Fiscal Year 2012: Only one grant is available per site, at any time. EPA does not prioritize among eligible sites. All TAG applications are given equal priority as long as the site and group are eligible. The applicant group must meet minimum administrative and management capability requirements by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management. In addition, all applications must address: plans for using a technical advisor's services, plans and ability to inform other members of the community, and the group's membership (representative of the different individuals/groups affected by the site). Funding must be used to provide resources so that community groups can obtain technical assistance to better understand technical issues related to the cleanup of the Superfund site affecting them and to provide comments on technical, cleanup-related documents. Technical issues for which groups obtain technical assistance may include: the nature of the environmental and public health hazards at the site; the various stages of health and environmental investigations; cleanup and operation and maintenance activities for a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of remedial action, operation and maintenance, and removal.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

All or most of the Federal funds must be used, at sites listed on the National Priorities List (NPL) or proposed for listing under the National Contingency Plan (NCP) where a response action has begun under CERCLA, to procure a technical advisor(s) to help in understanding the nature of the environmental and public health hazards at the site, the various stages of health and environmental investigations and activities, cleanup, and operation and maintenance of a site, including exposure investigation, health study, surveillance program, health promotion activities (for example, medical monitoring and pediatric health units), remedial investigation, and feasibility study, record of decision, remedial design, selection and construction of

remedial action, operation and maintenance, and removal. Limitations: (a) Federal funds cannot be used to develop new primary data, such as conducting independent testing and monitoring activities at a site. (b) Under CERCLA, as amended, grant funds cannot be used for lawsuits or other legal actions, or attorney fees for services connected to any legal action or that could result in a relationship to which attorney/client privileges applies. (c) Grant funds cannot be applied towards a technical advisor's time spent assisting an attorney in preparing a legal action or preparing and serving as an expert witness at any legal proceedings. (d) Grant funds cannot be used for any activities or expenditures for recipient group members' travel. (e) Grant funds cannot be used for political activity and lobbying. (f) Grant funds cannot be used for generation of new health data through biomedical testing (for example, blood or urine testing), clinical evaluations, health studies, surveillance, registries, and/or public health investigations. (g) Grant funds cannot be used for activities that are unallowable under the cost principles stated in Office of Management and Budget (OMB) Circular No. A-122. (h) Grant funds cannot be used for tuition or other training expenses for recipient group's members. (i) Grant funds cannot be used to reopen or challenge final EPA decisions.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

A technical assistance grant (TAG) is available to any qualified group of individuals which: may be "affected" by a release or threatened release at any facility listed on the NPL or proposed for listing under the NCP where a "response action" under CERCLA has begun; meets minimum administrative and management capability requirements found in 40 CFR 30.12 by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to TAG management; and incorporates as a nonprofit for the specific purpose of the representing "affected" individuals at the site. "Affected" means subject to actual or potential health, economic or environmental threat. A group is ineligible if: (a) The group is a "potentially responsible party" (PRP), receives money or services from a PRP, or represents a PRP; (b) The group is affiliated with a national organization; (c) The group is an academic institution; (d) The group is a political subdivision; (e) The group was established or is presently sustained by any of the ineligible entities listed above; or (f) The group is not incorporated as a nonprofit organization for the specific purpose of representing affected people except as provided in 40 CFR 35.4045.

#### **Beneficiary Eligibility:**

This program benefits groups of individuals affected by Superfund hazardous waste sites. Groups should be representative of the community affected by the Superfund site, which may include homeowners, land/property owners, local businesses, as well as any other individuals in the general public who live near a site.

#### **Credentials/Documentation:**

At the time of the award, a recipient must either be incorporated or demonstrate that they have taken all necessary and appropriate actions to do so. Recipients must show proof of incorporation no later than the time of the group's first request for reimbursement for costs incurred. This program is excluded from coverage under OMB Circular No. A-87. This program is subject to the provisions of OMB Circular No. A-122. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

1) Groups wishing to apply for a TAG must first submit to EPA a letter of intent (LOI). Groups interested in applying for a TAG are encouraged to contact their regional TAG coordinator(s), listed in Appendix IV of the Catalog. 2) If site work is already underway or scheduled to begin, EPA will publish a notice in the local newspaper to formally notify other interested parties that they may contact the first group that sent the LOI to form a coalition or they may submit a separate LOI. 3) Competing groups are encouraged to

consolidate and submit a single application. 4) Prior to submitting their application to EPA (or concurrently), the applicant must submit the application package for their State's intergovernmental review process. This intergovernmental review may take up to 60 days. This program is excluded from coverage under OMB Circular No. A-102. This program is subject to the provisions of OMB Circular No. A-110. For more information regarding the procedures for submitting a LOI or for application assistance, contact the TAG coordinator(s) for your region (in Appendix IV of the Catalog) or the individuals listed under "Information Contacts.". Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. An applicant for a TAG must submit the following materials in accordance with 40 CFR 35.4125 of the Final Rule: 1) An original EPA Form 424, Application for Federal Assistance. The application must have the original signature of the project manager. 2) A budget showing the proposed expenditure of funds, how the funds and other resources, including the required 20 percent match, will be used to complete the project, and how the budget figures were derived. 3) A scope of work which states how the group will organize, use procured personnel, and share and disseminate information to the larger affected community. In addition, the scope of work must explain project milestones and how the group's board of directors, technical advisors(s) and "project manager" will interact with each other. 4) Assurances, certifications and other preaward paperwork as 40 CFR part 30 requires. Currently, opportunities under this CFDA are not available and electronic submissions are not accepted through [www.grants.gov](http://www.grants.gov).

#### **Award Procedure:**

1) A TAG review team in the EPA Regional Office to which the application is submitted reviews the application and sends a letter containing written comments telling the applicant what, if any, changes need to be made to the application to make it complete. 2) An applicant group has 90 days from the date of the EPA letter to make the changes to their application and resubmit it to EPA. If the changes are not submitted within the 90-day period, the application will be returned unprocessed. 3) EPA determines the applicant's eligibility under 40 CFR 35.4020 and considers whether and how successfully the group meets three equally weighted criteria in 40 CFR 35.4155 (see 180, "criteria for selecting proposals," below). When multiple groups apply, EPA will rank each applicant relative to other applicants using the three equally weighted criteria. 4) If an applicant is not going to be awarded a TAG, the EPA will send a letter of rejection to the applicant. 5) If an application is approved for an award, a grant agreement document (EPA Form 5700-20A) is signed by the EPA award official. This document becomes an offer from EPA to the applicant. Award offers are mailed to the recipient five working days after the award official signs the agreement. 6) The applicant must sign and return the agreement to EPA within three weeks of the date the agreement is postmarked or request an extension. EPA will review applications in accordance to terms, conditions and criteria in the TAG regulations and EPA's policy for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 4 to 9 weeks.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. Before a group obtains judicial review of the dispute, they must have requested the Regional Administrator to review the dispute decision official's determination under 40 CFR 31.70(c), and if the group still has a dispute, they must request the Assistant Administrator for the Office of Solid Waste and Emergency Response to review the Regional Administrator's decision under 40 CFR 31.70(h).



**Renewals:**

Grant waiver requests are made at the end of the budget period and are based on the requirements of 40 CFR 35.4065, which lists criteria which must be met.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. As directed by statute (Section 117(e) of CERCLA, as amended by 42 USC 9617(e)) there may be only one grant per site, there is a \$50,000 award limit unless waived, and recipient must contribute a 20 percent match (including in-kind contributions).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A grant may be available from the time a site is proposed for listing under the NCP (with a response action underway) until the site is delisted from the NPL - this time span varies based on the complexity of the site cleanup; a group may submit an LOI to apply for a TAG at any eligible site at any point in the site cleanup. For each award, the grant period is determined by the time needed to complete the scope of work stated in the grant application and through negotiations with EPA (this is generally a period of three years or greater). Grants under this CFDA are reimbursement-based; a grantee may draw down funds to cover grant-related expenses they have incurred (such as a technical advisor's invoice for services/expenses). See the following for information on how assistance is awarded/released: Assistance is awarded as a lump sum, however, the funds are released on a reimbursement basis (recipients draw down funds as costs are incurred).

**Reports:**

No program reports are required. Federal Cash Transaction Reports (OMB SF272) are required of TAG grant recipients. 1) Progress reports. Each recipient shall submit quarterly progress reports to EPA for the technical assistance grant project 45 days after the end of each calendar quarter. Progress reports shall fully describe in chart or narrative format the progress achieved in relationship to the approved schedule, budget, and the technical assistance grant project milestones. Special problems encountered must be explained. 2) Financial status report. Each recipient shall submit to EPA a financial status report annually, within 90 days of the anniversary date of the start of the TAG project. These reports shall include the status of project's funds through identification of project transactions and within 90 days after the end of the TAG funding period. 3) Final report. Each recipient shall submit to EPA the final report within 90 days after the end of the project. The report shall describe project goals and objectives, activities undertaken to achieve goals and objectives, difficulties encountered, technical advisors' work products and funds spent. 4) Requests for Reimbursement or Federal Cash Transactions Reports. Depending on the method of payment, each recipient shall submit periodic requests for reimbursement as funds are needed, or shall submit to EPA a federal cash transaction report semiannually, within 15 working days following the end of the semiannual period which ends June 30 and December 31 of each year. These reports shall include the amount of funds advanced to the TAG recipient or electronically transferred to the TAG recipient's bank account, and a description of how the funds were spent. 5) Minority-Owned Business Enterprise/Women-Owned Enterprise (MBE/WBE) Utilization. Each recipient shall submit to EPA a MBE/WBE Utilization report annually, even if no contracts have been signed. Each recipient is required to disclose whether they have contracted with a MBE/WBE in the past Federal fiscal year, the value of the contract, if any, and the percentage of the total project dollars on MBE/WBEs. 6) Each recipient shall comply with any reporting requirements in the terms and conditions of the "grant agreement". 7) Each recipient shall comply with any reporting and record keeping requirements in OMB Circular A-122 and 40 CFR part 30. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United

States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

(1) Each recipient shall keep complete financial records accurately showing how the Federal funds were used and the match, whether it is in the form of cash or in-kind assistance. (2) Each recipient shall comply with any reporting and record keeping requirements of OMB Circular A-122 and 40 CFR Part 30. (3) Each recipient must keep TAG financial records for ten years from the date of the final Financial Status Report, or until any audit, litigation, cost recovery, and/or disputes initiated before the end of the ten-year retention period are settled, whichever is longer. At the ten-year mark, the TAG financial records may be disposed of after first getting written approval to do so from the EPA. Alternately, a recipient may choose to submit financial records to the EPA for safekeeping when the final Financial Status Report is submitted. (4) Each recipient must send to EPA a copy of each final written product prepared by their technical advisor as part of the TAG. EPA will send the final written products to the local Superfund site information repository(ies) where all site-related documents are available to the public.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$905,000; FY 12 est \$650,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

Initial awards for assistance agreements awarded under this CFDA number will not exceed \$50,000. After the initial award, additional funding may be awarded based on the criteria detailed under 40 CFR 35.4065, and subject to the availability of funds. The average additional award is \$40,000 (per agreement). Since 1988, 333 TAGs have been awarded. Of these, 205 grantees were awarded \$50,000 or less; 83 grantees have received awards with a cumulative value between \$51,000 and \$150,000; 40 grantees have received awards with a cumulative value ranging between \$151,000 and \$250,000; and 15 grantees have received awards whose cumulative value totals of more than \$250,000. The cumulative award value includes the initial award and any supplemental funding awards over the life of the agreement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Since the program began on March 24, 1988, 333 awards have been issued by EPA, totaling more than \$29,600,000 in TAG awards (including new awards, additional funds, waivers and deviations). In most cases, EPA receives only one application for a site and in most cases an award is made. In FY 2011, 11 new grants have been awarded (\$550,000 total) and 13 established grantees were awarded additional funds (\$355,000 total). The grant includes an outreach component wherein the grantee helps to educate the broader community on issues related to the site cleanup. Under this grant, grantees have developed community newsletters, developed web sites, conducted community meetings to help other community members better understand technical information related to the site cleanup and to better respond to site-related technical documents during public comment periods. Technical comments provided to EPA under this grant assist EPA in meeting Superfund strategic targets of identifying and controlling unacceptable human exposures from site contamination; monitoring and controlling migration of contaminated ground water; and identifying a final remedy suitable for stated reuse (under Goal 3.2.2 of EPA's Strategic Plan). Fiscal Year 2012: Since the program began on March 24, 1988, 333 awards have been issued by EPA, totaling more than \$29,600,000 in TAG awards (including new awards, additional funds, waivers and deviations). In most cases, EPA receives only one application for a site and in most cases an award is made. In FY 2012, as of June 30, 2012, three new grants have been awarded (\$75,500 total) and 14 established grantees were awarded additional funds (\$492,900 total). EPA estimates that there will be two more awards of supplemental funds to existing grantees by the end of the fiscal year, bringing the total projected additional awards to 16 grantees, totaling around \$550,000 in funding. The grant includes an outreach component wherein the grantee helps to educate the broader community on issues related to the site cleanup. Under this grant, grantees have developed community newsletters, developed web sites, conducted community meetings to help other community members better understand technical

information related to the site cleanup and to better respond to site-related technical documents during public comment periods. Technical comments provided to EPA under this grant assist EPA in meeting Superfund strategic targets of identifying and controlling unacceptable human exposures from site contamination; monitoring and controlling migration of contaminated ground water; and identifying a final remedy suitable for stated reuse (under Goal 3.2.2 of EPA's Strategic Plan). Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 31; 40 CFR Part 30; 40 CFR Part 35.( Subpart M); and TAG Program Guidance Documents.

#### **Regional or Local Office:**

See Regional Agency Offices. Freya Margand; Community Involvement and Outreach Branch, Office of Superfund Remediation & Technology Innovation, Mail code: 5204P, U.S. Environmental Protection Agency; Ariel Rios Bldg., 1200 Pennsylvania Ave.; NW, Washington, DC 20460. Telephone: (703) 603-8889. Fax: (703) 603-9102. E-mail address: margand.freya@epa.gov Questions may also be directed to the EPA Regional Office serving a particular state. All TAG paperwork should be submitted directly to the EPA Regional Office. A list of the Regions and their States, plus the name(s) and telephone number(s) for the Regional TAG contact can be found in Appendix IV of the CFDA. A list of EPA Regional TAG contacts can also be found at the web site address: <http://www.epa.gov/superfund/community/tag/contacts.htm>.

#### **Headquarters Office:**

Freya Margand, Community Involvement and Program Initiatives Branch, Office of Superfund Remediation & Technology Innovation, Mail code: 5204P, Environmental Protection Agency, Ariel Rios Bldg., 1200 Pennsylvania Ave.; NW, Washington, District of Columbia 20460 Email: margand.freya@epa.gov Phone: (703) 603-8889.

#### **Website Address:**

<http://www.epa.gov/superfund>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: TAG allows a group to procure independent technical advisors to help in interpreting and commenting on site-related information and decisions. Examples of how a technical advisor can help a group include, but are not limited to: (a) Reviewing preliminary site assessment/site investigation data; (b) Participating in public meetings to help interpret information about site conditions, proposed remedies, and the implementation of a remedy; (c) Visiting the site vicinity periodically during cleanup, if possible, to observe progress and provide technical updates to the group; (d) Interpreting information related to redevelopment; and (e) Evaluating future land use options based on land use assumptions found in the remedial investigation/feasibility study. Fiscal Year 2012: TAG allows a group to procure independent technical advisors to help in interpreting and commenting on site-related information and decisions. Examples of how a technical advisor can help a group include, but are not limited to: (a) Reviewing preliminary site assessment/site investigation data; (b) Participating in public meetings to help interpret information about site conditions, proposed remedies, and the implementation of a remedy; (c) Visiting the site vicinity periodically during cleanup, if possible, to observe progress and provide technical updates to the group; (d) Interpreting information related to redevelopment; and (e) Evaluating future land use options based on land use assumptions found in the remedial investigation/feasibility study. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description are described in the programmatic regulations (40 CFR Part 35) as follow. In selecting a proposal: 1) EPA will determine if a group meets the following eligibility criteria: (a) The community group is a group of people who may be "affected" by a release or a threatened release at any facility listed on the NPL or proposed for listing under the NCP where a response action is underway; and (b) The group meets the minimum administrative and management capability requirements found in 40 CFR 30.21 by demonstrating they have or will have reliable procedures for record keeping and financial accountability related to managing the TAG. 2) EPA will also determine if

there are factors which make the group ineligible. A group is ineligible if: (a) The group is a "potentially responsible party" (PRP), receives money or services from a PRP, or represents a PRP; (b) The group is "affiliated" with a national organization; (c) The group is an academic institution; (d) The group is a political subdivision; (e) The group was established or is presently sustained by any of the ineligible entities listed above; or (f) The group is not incorporated as a nonprofit organization for the specific purpose of representing affected people except as provided in 40 CFR 35.4045. 3) Once EPA determines if eligibility requirements have been met, the Agency considers whether and how successfully a group meets the following, equally weighted, criteria: (a) Representation of groups and individuals affected by the site; (b) The group's plans to use the services of a technical advisor throughout the Superfund response action; and (c) The group's ability and plan to inform others in the community of the information provided by the technical advisor. 4) Additionally, a group must incorporate as a nonprofit for the purpose of participating in decision making at the Superfund site for which the TAG was granted (for exception see 40 CFR 35.4045). Applicant groups should consult the Superfund TAG Handbooks, "Applying for a Grant" and "The Application Forms with Instructions," for detailed instructions on applying for a TAG.

#### **66.808 SOLID WASTE MANAGEMENT ASSISTANCE GRANTS**

##### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

##### **AUTHORIZATION:**

Resource Conservation and Recovery Act of 1976, Public Law 94-580, 42 U.S.C 6901; Solid Waste Disposal Act, Section 8001.

##### **OBJECTIVES:**

To promote use of integrated solid waste management systems to solve solid waste generation and management problems at the local, regional and national levels.

Funding Priority - Fiscal Year 2012: Partnerships - Establishing and developing partnerships with states, local governments and other non profit organizations to assist them in advancing their waste management programs, including recycling and reduction of wastes, appropriate management of wastes that are generated, and developing integrated waste management plans. Education and Outreach - Developing and providing education, training, and outreach materials to educate and inform Americans about waste's impact on resource and energy use and pollution. Fostering a better understanding of the environmental ramifications of collective actions including how individual purchasing and manufacturing decisions are connected to the environment and to enable Americans to make better choices resulting in increased recycling, less waste and greater energy savings.

##### **TYPES OF ASSISTANCE:**

Cooperative Agreements

##### **USES AND USE RESTRICTIONS:**

Available for the allowable direct cost expenditures incident to program performance plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policies. Projects can include the following types of activities: training, surveys, education materials and programs, studies, and demonstrations; assistance to such projects shall not include any element of construction, or any acquisition of land or interest in land, or any subsidy for the price of recovered resources. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

State (including the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands), local, Tribal, interstate, and intrastate government agencies and instrumentalities; and non-profit organizations that are not 501(c)(4) organizations that lobby, including non-profit educational institutions and non-profit hospitals. Individuals and for-profit organizations are not eligible. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Additionally, EPA may limit competition under this CFDA to Tribes and Inter-Tribal Consortia.

**Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, the public, and interstate agencies.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular No. A-87. Nonprofits need to provide proof of their status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discussion with EPA Headquarters or the appropriate EPA Regional Office is advisable. (See Appendix IV of the Catalog for list of Regional Contacts). Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application form as furnished by the Federal agency and required by OMB Circular No. A 102 must be used for this program. Requests for application forms and submission of completed applications should be directed to EPA Grants and Interagency Agreements Management Division(3903R), Washington, DC 20460, or the appropriate EPA Regional Office listed in Appendix IV of the Catalog. This program is subject to the provisions of OMB Circulars No. A 110 and No. A102. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA reviews each application. They shall be subjected to administrative evaluation to determine the adequacy of the application in relation to grant regulations and program evaluation criteria to determine the merit and relevance of the project. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted, which will be reviewed in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will normally be funded on a 12 month basis (yearly). The total approved project period is generally no longer than 3 years. See the following for information on how assistance is awarded/released: Assistance under this program can be awarded in various ways, but will usually be awarded in lump sum or annually.

**Reports:**

No program reports are required. No cash reports are required. Quarterly, interim and final progress, expenditure, equipment and invention reports. Progress Reports are required under this program. Generally they are quarterly or monthly. Expenditure Reports are required and usually accompany the progress reports. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised during the three year project period as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,402,679; FY 12 est \$500,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

(Fiscal year 2011) \$11,000 to \$1,000,000; \$126,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, 19 projects were awarded. Quantifiable data on the number and ratio of past applications not available. Fiscal Year 2012: In fiscal year 2012, 4 projects are estimated to be awarded. Quantifiable data on the number and ratio of past applications not available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures, Environmental Protection Agency (40 CFR Parts 30, 31 and 33); "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA 22161, on a subscription basis.

**Regional or Local Office:**

See Regional Agency Offices. Individuals are encouraged to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Nick Vizzone, USEPA Headquarters, Ariel Rios Building, 1200 Pennsylvania Avenue, N. W. Mail Code: 5305P, Washington, District of Columbia 20460

Email: [vizzone.nick@epa.gov](mailto:vizzone.nick@epa.gov) Phone: (703) 308-8460.

**Website Address:**

<http://www.epa.gov/epawaste/index.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) Provide training, technical assistance, research and studies for the formulation of Federal/Tribal environmental policies in Indian country related to EPA's solid waste programs; (2) Provide opportunity for discussion and development of plans to reduce local environmental impacts from solid waste in North Texas; (3) Provide funding to recruit, train and place unemployed residents of Missouri in environmental careers to conduct remediation work at solid waste sites; (4) Provide funding to integrate a food waste compost program into an existing organic gardening/garden therapy program. Fiscal Year 2012: (1) To promote and stimulate information exchange among State hazardous and solid waste officials, other State officials and EPA officials to jointly resolve RCRA implementation issues and identify emerging issues at State and Federal levels; (2) Provide training, technical assistance, research and studies to support the participation of tribal co-regulators in the formulation of Federal/Tribal environmental policies for solid waste. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.809 SUPERFUND STATE AND INDIAN TRIBE CORE PROGRAM COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 104(d), 42 U.S.C 9604(d).

**OBJECTIVES:**

To effectively implement the statutory requirements of CERCLA Section 121(f) for State involvement. To provide funds to conduct CERCLA activities which are not assignable to specific sites, but support a recipient's site-specific response program.

Funding Priority - Fiscal Year 2012: Funding may be used for a variety of activities that include: (1) procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and, (5) activities that support EPA/recipient interaction.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Core Program Cooperative Agreements are offered to ensure that each State, or Federally Recognized Indian Tribe or intertribal consortia can substantially participate in CERCLA response actions. Recipients negotiate with EPA Regions to receive funding for a variety of activities that include: (1) Procedures for emergency response actions and remediation of environmental and health risks; (2) provisions for satisfying all requirements and assurances; (3) development of legal authorities and enforcement support; (4) hiring and training staff; and (5) activities that support EPA/Recipient interaction. Recipients with Regional approval may receive awards for multi year budget and project periods at the Region's discretion. Funding for the entire project may be made as a lump sum or incrementally over time. Recipients must demonstrate progress towards the goals stated in the Core Program Cooperative Agreement in order to be eligible for continued funding. Only one Core Program Cooperative Agreement will be awarded to each eligible State or Tribe or intertribal consortia through the Single Point of Contact. Funds must be used for non-site-specific activities as described above.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Beneficiary Eligibility:**

States (and political subdivisions thereof), Commonwealths, U.S. Territories and Possessions, and Federally Recognized Indian Tribal Governments, including intertribal consortia.

**Credentials/Documentation:**

Costs will be determined in accordance with 40 CFR Part 35 Subpart O and OMB Circular No. A 87, "Cost Principles for State, Local, and Indian Tribal Governments," and other supporting documentation required by the Agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency and required by OMB Circular No. A 102 must be used for this program. Consultation and pre-application conference are recommended. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA regional Superfund program offices review the applications for cooperative agreements. Final approval of application and supporting documentation and offer of award is made by the EPA Regional Administrator unless re-delegated to the Regional Division Director.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately ninety (90) days.

**Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Applications for additional funding need to include only the revised pages from EPA Form 424.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. As required by 40 CFR Part 35 Subpart O, State recipients of Core Program Cooperative Agreements must provide a 10 percent cost share of the total project cost on all awards. This match may be made from either direct, non-federal funds, non-reimbursed fund, or with in-kind contributions. CERCLA credits earned at other Superfund sites cannot be used to meet the 10 percent match. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is awarded as a lump sum, or may be incrementally funded.

Recipients with Regional approval may receive cooperative agreement awards for multi year budget and project periods at the Region's discretion. Continued funding of tasks in subsequent years is based on an evaluation of demonstrated progress towards the goals in the Core Program Cooperative Agreement Statement of Work. See the following for information on how assistance is awarded/released: In order to receive payment by the letter of credit method, the recipient must comply with the requirements regarding letter of credit described in 40 CFR 31.20 (b)(7) and 31.21(b). The recipient must identify and charge costs to specific sites, activities, and operable units, as applicable, for drawdown purposes as specified in the Cooperative Agreement. If the recipient is unable to meet letter of credit requirements, EPA will pay the recipient by reimbursement. The recipient must comply with the requirements regarding reimbursement described in 40 CFR 31.21(d).

**Reports:**

No program reports are required. No cash reports are required. The recipients must submit progress reports no more frequently than quarterly, but at a minimum annually. The recipients must submit financial status reports annually, and a final report. Financial status reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 31 and Part 35, Subpart O are applicable. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. The recipient must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records. If any litigation, claim, negotiation, audit, cost recovery, or other action involving the records has been started before the expiration of the ten year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular ten-year period, whichever is later.

**Account Identification:**

68-8145-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$9,000,000; FY 12 est \$7,000,000; and FY 13 est \$7,000,000

**Range and Average of Financial Assistance:**

\$7,441 to \$604,013; average award amount: \$156,847.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, the types of activities funded included: hiring staff, administrative salaries, clerical help, financial accounting, data management, program management, medical monitoring, health and safety training for field employees, computer systems purchases, training, legal assistance and legislative development. Outputs include reports, accounting and tracking systems, hired and trained staff, cost recovery procedures and techniques, laws and regulations for hazardous waste control. In FY 2011, 29 applications were received and 29 awards were made. Fiscal Year 2012: In Fiscal Year 2012, the types of activities funded included: hiring staff, administrative salaries, clerical help, financial accounting, data management, program management, medical monitoring, health and safety training for field employees, computer systems purchases, training, legal assistance and legislative development. Outputs include reports, accounting and tracking

systems, hired and trained staff, cost recovery procedures and techniques, laws and regulations for hazardous waste control. In FY 2012, to date, 58 applications were received and 58 awards were made. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR 31, 40 CFR Part 35, Subpart O, Program Guidance Documents.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Yolanda Singer Site Assessment and Remedy Decisions Branch, Assessment and Remediation Division, Office of Superfund Remediation and Technology Innovation, Mail Code 5204P, EPA, Washington, District of Columbia 20460 Email: singer.yolanda@epa.gov Phone: (703) 603-8835

**Website Address:**

<http://www.epa.gov/superfund>

**RELATED PROGRAMS:**

66.802 Superfund State, Political Subdivision, and Indian Tribe Site\_Specific Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Administrative and program development, accounting systems development, legal authorities and enforcement support, hiring and training of State response staff, procedures for emergency response actions. Fiscal Year 2012: Administrative and program development, accounting systems development, legal authorities and enforcement support, hiring and training of State response staff, procedures for emergency response actions, identifying sites in the State affected by the release of hazardous substances, program management and planning; financial administration, reconciliation of records and financial report preparation; budget preparation/management, procurement and labor allocation accounting and reporting services; and state records and archives representation, cost recovery records maintenance, and cost recovery report preparation. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For Core Program Cooperative Agreements, recipients must demonstrate a need for non-site specific funds to support activities not covered by other site-specific awards. Each project is examined and selected on a case-by-case basis based upon availability of funds, receipt of application, and other criteria as determined by EPA.

**66.810 CHEMICAL EMERGENCY PREPAREDNESS AND PREVENTION (CEPP) TECHNICAL ASSISTANCE GRANTS PROGRAM**

(CAA 112 and SARA Title III State Grants Program)

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103(b)(3); Toxic Substances Control Act, Section 10(a)&28(a), Public Law 94-469, 15 U.S.C 2601.

**OBJECTIVES:**

To provide financial assistance to States, Local agencies, and Indian Tribes for chemical accident prevention activities that relate to the Risk Management Program under the Clean Air Act Section 112(r). To provide financial assistance to Tribes for chemical emergency planning, and community right-to-know programs which are established to prevent or eliminate unreasonable risk to the health and environment of communities within the State.

Anticipated Funding Priority - Fiscal Year 2012 to be similar to previous years, with focus on Capacity Building at the State, Tribe, or local level to implement and enforce the Chemical Accident Prevention provisions of the Clean Air Act Section 112(r) and to address community issues such as development of model technical assistance materials for use by States/Tribes or Local Emergency Planning Committees (LEPCs) to evaluate potential chemical risks to their communities. Additionally, funding will focus on strengthening partnerships

among States/Tribes and Local Emergency Planning Committees (LEPCs), industry, emergency responders, and the general public to foster collaboration and build credibility for chemical prevention and preparedness activities. This program will be offered in EPA's Region 1.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Innovative Technical Assistance Grants are offered to improve the ability of States, Tribes and local communities to protect public health and safety and involve the development of technical assistance or similar materials that could be used directly or adapted by other States/Tribes or Local Emergency Planning Committees (LEPCs). Projects which address implementing the Risk Management Program under the Clean Air Act Section 112(r) are especially of interest. The grant money may not supplant State or Tribal funds already being spent. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

States, Local agencies and Federally Recognized Indian Tribes located within EPA Region 1. This includes for Region 1 the States of Maine, New Hampshire, Vermont, Massachusetts, Connecticut, and Rhode Island.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States, Tribes, Local Emergency Planning Committees, and local emergency responders.

**Credentials/Documentation:**

OMB Circular No. A-87 is required for this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Potential applicants should contact the CEPP Regional contact listed below to determine if grants are available in a specific Region. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States, Local agencies, and Indian Tribes must submit the original completed application package and one copy to the appropriate EPA Regional Office. The Regional office will review the application package to ensure completeness. States must comply with all applicable requirements. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Grant applications will undergo the following review process: EPA Regional Office staff will evaluate each application and, based on the criteria established will select proposal(s) for funding. EPA Regional offices will be awarding the grants. The review process will concentrate on choosing the best project concepts. Once the grant is awarded to the State Emergency Response Commission (SERC), Tribal Emergency Response Commission (TERC), directly to the local agencies such as the Local Emergency Planning Committee (LEPC), or other State agency with SERC coordination as appropriate, the recipient will be notified by phone or email. EPA will monitor the work in progress and provide project guidance and oversight to the State, Local agencies, and Tribes.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. There is a 25 percent match requirement for assistance agreements awarded to States under the Toxic Substances Control Act, Section 28. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will normally be funded on a 12 to 24 month basis. Total approved project period should not exceed 2 years for a particular project. A call for letters of intent and applications will be advertised annually via the Regions notifying States, Local agencies, and Tribes. Recipients will be notified by phone call or email that their proposal will be funded. The grants may be awarded in a lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports will be required on a quarterly basis to describe applicant's progress. Annual program reports are conducted. Final financial status report is required. Quarterly and final reports are required. Expenditure reports are part of the annual financial status report. Performance monitoring is accomplished through the quarterly progress reports, ongoing EPA involvement with recipient, and on-site reviews as needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial reports, including all documents to support entries on the accounting

records and to substantiate charges to each grant or cooperative agreement must be kept available to personnel authorized to examine EPA grant recipient accounts. All records must be maintained for 3 years from the date of the submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$145,000; FY 12 est \$145,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

For Region 1 the amount is \$60,000 with the range from \$20,000 to \$60,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Region 7 had an RFP announced that closed, May 13, 2011. The Region awarded \$60,000 in grant funds to two state agencies. The accomplishments for Region 7's FY11 grant activities is estimated that a total of 95 RMP compliance assistance visits will be conducted within two states (Missouri and Iowa) and stronger Federal and State partnerships with the Emergency Response Commissions will be established. Also 2 RMP outreach seminars will be held in the State of Iowa and both states will update and maintain Risk Assessment Databases.

Region 1 has not published their RFP but expects to award up to 2 awards totaling \$75,000. Fiscal Year 2012: No FY12 Program Accomplishments at this time. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Government (40 CFR Part 31).

**Regional or Local Office:**

See Regional Agency Offices. Tina Wilkins, Lead EPS, R7/AWMD/IO, 901 North 5th St., Kansas City, Kansas, 66101 telephone 913-551-7964 fax 913-551-7065 email: wilkins.tina@epa.gov

Len Wallace, Environmental Scientist, R1/OES/ERFF, 5 Post Office Square, Boston, MA 02109 telephone 617-918-1835 fax 617-918-0835 email: wallace.len@epa.gov.

**Headquarters Office:**

Sherry Fielding, OSWER/OEM/POCD (5104A), EPA HQ, Ariel Rios Building, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: fielding.sherry@epa.gov Phone: (202) 564-6174.

**Website Address:**

<http://www.epa.gov/emergencies>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Region 7 grants that were awarded in FY11 consist of the following 2 projects: 1. SEMA will conduct a comprehensive review of databases in the State of Missouri and cross-reference them with the RMP chemical list to compare facilities and determine who should file RMP plans. Any facility that the MERC is unable to validate has less than a reportable amount will have a scheduled on-site compliance assistance visit. 50 compliance assistance visits will be conducted; and

2. IDALS will conduct a multi-component project including: risk management program compliance assistance outreach, ANSI K61.1 changes and effect on RMP, assistance with eSubmit, coordination and implementation of RMP material, and reports of release or incident. Under this, 45 on-site compliance assistance visits will be conducted, with follow-up to at least 8 of the reviewed sites. In addition, IDALS will partner with the Iowa Emergency Response Commission (IERC) to hold two (2) seminars for LEPCs. Materials developed will be distributed to seminar attendees as well as to every LEPC in the State of Iowa. Fiscal Year 2012: No examples of projects funded in FY12 at this time. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.812 HAZARDOUS WASTE MANAGEMENT GRANT PROGRAM FOR TRIBES**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Department of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriation Act, Public Law 105-276.

**OBJECTIVES:**

The purpose of the Hazardous Waste Management Grant Program for Tribes is to provide financial assistance to Tribal governments and Inter-Tribal Consortia for the development and implementation of hazardous waste programs; for building capacity to improve and maintain regulatory compliance; and for developing solutions to address hazardous waste impacting Tribal lands.

Funding Priority - Fiscal Year 2012: Develop and implement hazardous waste management programs that improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. Build capacity to improve and maintain regulatory compliance and develop solutions to address hazardous waste mismanagement impacting Tribal lands. Development and institutionalization of hazardous waste program capacity for Tribal governments and the communities they serve.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This grant program will support projects designed to develop and implement hazardous waste management programs. These programs must improve the applicant's ability to properly identify, manage, or dispose of hazardous waste. All hazardous waste management activities that address the Resource Conservation and Recovery Act (RCRA) Subtitle C "cradle to grave" approach are eligible. Each of the following hazardous waste management program activities are considered central to a "cradle to grave" program: Hazardous Waste Identification; Hazardous Waste Generator Siting, Monitoring, & Compliance (Large Quantity, Small Quantity, and Conditionally Exempt Small Quantity Generators); Hazardous Waste Minimization, Recycling, Used Oil, and Universal Wastes; Hazardous Waste Transportation; Treatment, Storage, and Disposal Facility Siting, Permitting, Monitoring, Corrective Action, & Enforcement; Land Disposal Restrictions; Combustion. Assistance will be provided under this program only for activities which EPA determines are appropriate to carry out the purposes of RCRA. Assistance under this program does not include any element of municipal solid waste management, chemical emergency planning and preparedness or superfund program cleanup.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

The following are eligible to receive financial assistance: (a) an Indian tribal government; and (b) an intertribal consortium or consortia. An Indian tribal government is any tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act, 43 U.S.C. 1601, et seq.), which is recognized by the U.S. Department of the Interior as eligible for the special services provided by the United States to Indians because of their status as Indians. A consortium is a partnership between two or more Indian tribal governments authorized by the governing bodies of those tribes to apply for and receive assistance under this program.

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments.

**Credentials/Documentation:**

This program is subject to the provisions of OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Potential applicants should consult the designated Regional Tribal hazardous waste program coordinator. It is strongly suggested that potential applicants consult with the designated Regional point of contact. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The annual competitive announcement outlines specific procedures for submitting proposals. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

In order to receive renewals, significant progress on previously awarded grant must be demonstrated.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The terms of the grant shall be determined at the time of the grant award. See the following for information on how assistance is awarded/released:  
Assistance agreements will be fully funded by a lump sum.

**Reports:**

Annual Regional Review. Grantees must provide financial and performance activity reports according to the terms negotiated with the Regional program. Copies of the reports should also be sent to the EPA Office of Resource Conservation and Recovery headquarters representative.

Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Typically expenditure reports are not required. However, grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Records and accounts must be maintained to reflect the operations of the project. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$299,100; FY 12 est \$311,000; and FY 13 est \$300,000

**Range and Average of Financial Assistance:**

Range = \$18,00 to \$100,000; Average = \$56,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the Office of Resource Conservation and Recovery (ORCR) - formerly OSW - distributed funds to Tribes and Inter-Tribal Consortia in support of activities that facilitate the development of comprehensive management programs to properly identify, manage, or dispose of hazardous waste; build capacity to improve and maintain regulatory compliance; and identify and/or implement solutions that will address hazardous waste mismanagement. In FY 2011, ORCR received 13 proposals. To assist Tribes through the FY 2011 Hazardous Waste Management Grant Program for Tribes, \$299,100 in STAG funding was distributed to Regions 6, 9, and 10. A total of 4 awards were made through these Regions. Fiscal Year 2012: In FY 2012, the Office of Resource Conservation and Recovery (ORCR) - formerly OSW - distributed funds to Tribes and Inter-Tribal Consortia in support of activities that facilitate the development of comprehensive management programs to properly identify, manage, or dispose of hazardous waste; build capacity to improve and maintain regulatory compliance; and identify and/or implement solutions that will address hazardous waste mismanagement. In FY 2012, ORCR received 18 proposals. Out of the 18 proposals that were received, all except one were considered eligible and were reviewed. To assist Tribes through the FY 2012 Hazardous Waste Management Grant Program for Tribes, \$311,000 in STAG funding was distributed to



Regions 6, 8, and 10. A total of 4 awards were made through these Regions.  
Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Part 30), "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA. Contact designated Regional program coordinator for other documents, including the "Hazardous Waste Management Grant Program for Tribes: Guidance for Applicants."

#### **Regional or Local Office:**

See Regional Agency Offices. Designated Regional Tribal Hazardous Waste Management Program Contacts: Region, Address, Name, E-mail Address, Phone, Fax. Region I, U.S. EPA, 1 Congress Street, Boston, MA 02114-2023, Juiyu Hsieh, Hsieh.Juiyu@epa.gov, (617) 918-1302,(617) 918-1646. Region II, U.S. EPA, 290 Broadway, 22nd Floor, New York, NY 10007-1886, Lorraine Graves, Graves.Lorraine@epa.gov,(212) 637-4099,(212) 637-4437. Region IV, U.S. EPA, Atlanta Federal Center, 61 Forsyth Street, Atlanta, GA 30303, Davy Simonson, Simonson.Davy@epa.gov,(404) 562-8457, (404) 562-8439. Region V, U.S. EPA, 77 W. Jackson Blvd, Chicago, IL 60604, Margaret Millard, Millard.Margaret@epa.gov, (312) 353-1440,(312) 353-6519. Region VI, U.S. EPA, 1445 Ross Avenue, Dallas, TX 75202-2733, Nick Stone (Technical), Stone.Nick@epa.gov, Terrie Wright(Grants), wright.terrie@epa.gov, (214) 665-7226, (214) 665-7216, (214) 665-8453, (214) 665-6762. Region VII, U.S. EPA, 901 N. 5th Street, Kansas City, KS 66101, Gayle Hubert, Hubert.Gayle@epa.gov, (913) 551-7439,(913) 551-9669. Region VIII, U.S. EPA, 1595 Wynkoop Street, Mail Code: 8P-HW, Denver, CO 80202-1129, Susanna Trujillo, Trujillo.Susanna@epa.gov, (303) 312-7008, (303) 312-6341. Region IX, U.S. EPA, 75 Hawthorne Street, Mail Code: WST-7, San Francisco, CA 94105, Charles Swanson, Swanson.Charles@epa.gov, (415) 947-4219,(415) 947-3530. Region X, U.S. EPA, 1200 6th Avenue, Mail Code: WCM-128; Seattle, WA 98101, Fran Stefan, Stefan.Fran@epa.gov, (206) 553-6639, (206) 553-8509.

#### **Headquarters Office:**

Denise Roy, Office of Resource Conservation and Recovery, Environmental Protection Agency, 1200 Pennsylvania Ave., NW., (5303P), Washington, District of Columbia 20460 Email: Roy.Denise@epa.gov Phone: (703) 308 8458.

#### **Website Address:**

<http://www.epa.gov/tribalmw/>

#### **RELATED PROGRAMS:**

66.473 Direct Implementation Tribal Cooperative Agreements; 66.605 Performance Partnership Grants; 66.701 Toxic Substances Compliance Monitoring Cooperative Agreements; 66.708 Pollution Prevention Grants Program; 66.801 Hazardous Waste Management State Program Support; 66.808 Solid Waste Management Assistance Grants; 66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program; 66.926 Indian Environmental General Assistance Program (GAP)

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY 2011, the following activities are suggestive and do not limit the range of activities considered eligible under this grant program. These activities are eligible when they are performed in support of developing and implementing a tribal program to manage hazardous waste: Develop and implement codes, regulations, and ordinances, policies, and/or guidance to regulate hazardous waste management activities and facilities, such as generators, transporters, and treatment, storage and disposal facilities. Develop and implement hazardous waste program enforcement policies and procedures to ensure regulatory compliance, including monitoring and inspection schemes. Develop legal and administrative infrastructure adequate to implement and maintain regulatory and/or non-regulatory hazardous waste management programs. Includes support for Tribal Emergency Response Committees (TERC). Identify and assess hazardous waste generation and ongoing management of concern to the community, including: inventory active and inactive dump/disposal sites and assess contamination potential; characterize hazardous waste stream, including illegal dump-sites; and identify sensitive sites with potential or actual impacts on water bodies, soil, air, cultural/historic resources, threatened or endangered species, etc. Develop and implement tribal integrated hazardous waste management plans (including, but not limited to,

source reduction/recycling, household hazardous waste collection programs, pesticide container collection, ). Implement used oil collection/re-use and other programs to reduce the mismanagement of hazardous waste in the community. Implement household hazardous waste collection events or programs that provide sustainable or long-term solutions for disposal of household hazardous waste for the community. Develop outreach/education documents and other resource materials to plan and conduct hazardous waste management seminars for tribal leaders, community members, business and civic organizations, etc. Establish qualifications for environmental management personnel relative to the tribes needs and plan for program implementation. Establish a communications plan for hazardous waste management program activities. Identify multi-jurisdictional opportunities for hazardous waste management, including feasibility for intergovernmental (Tribal, Federal, State, local) cooperative efforts. Fiscal Year 2012: In FY 2012, the following activities are suggestive and do not limit the range of activities considered eligible under this grant program. These activities are eligible when they are performed in support of developing and implementing a tribal program to manage hazardous waste: Develop and implement codes, regulations, and ordinances, policies, and/or guidance to regulate hazardous waste management activities and facilities, such as generators, transporters, and treatment, storage and disposal facilities. Develop and implement hazardous waste program enforcement policies and procedures to ensure regulatory compliance, including monitoring and inspection schemes. Develop legal and administrative infrastructure adequate to implement and maintain regulatory and/or non-regulatory hazardous waste management programs. Includes support for Tribal Emergency Response Committees (TERC). Identify and assess hazardous waste generation and ongoing management of concern to the community, including: inventory active and inactive dump/disposal sites and assess contamination potential; characterize hazardous waste stream, including illegal dump-sites; and identify sensitive sites with potential or actual impacts on water bodies, soil, air, cultural/historic resources, threatened or endangered species, etc. Develop and implement tribal integrated hazardous waste management plans (including, but not limited to, source reduction/recycling, household hazardous waste collection programs, pesticide container collection, ). Implement used oil collection/re-use and other programs to reduce the mismanagement of hazardous waste in the community. Implement household hazardous waste collection events or programs that provide sustainable or long-term solutions for disposal of household hazardous waste for the community. Develop outreach/education documents and other resource materials to plan and conduct hazardous waste management seminars for tribal leaders, community members, business and civic organizations, etc. Establish qualifications for environmental management personnel relative to the tribes needs and plan for program implementation. Establish a communications plan for hazardous waste management program activities. Identify multi-jurisdictional opportunities for hazardous waste management, including feasibility for intergovernmental (Tribal, Federal, State, local) cooperative efforts. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.813 ALTERNATIVE OR INNOVATIVE TREATMENT TECHNOLOGY RESEARCH, DEMONSTRATION, TRAINING, AND HAZARDOUS SUBSTANCE RESEARCH GRANTS FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311(b)&(c), Public Law 95-510, 42 U.S.C 9660; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Section 311(b)&(c), Public Law 99-499, 42 U.S.C 9660.

#### **OBJECTIVES:**

To support grants and cooperative agreements for (1) a program of research, evaluation, testing, development, and demonstration of alternative or innovative treatment technologies which may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment;

(2) a technology transfer program including the development, collection, evaluation, coordination, and dissemination of information relating to the utilization of alternative or innovative treatment technologies for response actions; (3) a program of training and evaluation of training needs in the procedures for the handling and removal of hazardous substances for employees who handle hazardous substances and training in the management of facilities at which hazardous substances are located and in the evaluation of the hazards to human health presented by such facilities for State and local health and environmental agency personnel, and (4) a program of research with respect to the detection, assessment, and evaluation of the effects on and risks to human health of hazardous substances and detection of hazardous substances in the environment.

Funding Priority - Fiscal Year 2012: 1) To promote and stimulate research for use by state environmental officials to address Superfund policy and implementation issues of importance to states. The project will provide support for state co-regulators' participation in developing policies, procedures and guidance to promote efficient cleanup work by states under the Superfund Program. It will promote state participation in appropriate conferences, meetings, and other related activities, as well as an opportunity for review and comment on guidance and training materials developed by EPA. 2) To conduct research on hazardous substance policy and technical issues in Indian country. 3) To support the Removal Action Focus Group with research on resources, capabilities and successes of State removal and environmental emergency response programs to participate in Superfund large-scale emergencies. 4) To support research and provide training in alternative and innovative treatment technologies that facilitate information exchange and coordination among state agencies responsible for the cleanup of contaminated federal facilities. 5) To support interstate teams that evaluate innovative and alternative treatment and characterization technologies for hazardous site remediation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Funds awarded under Section 311(b)(3) of CERCLA must be used for projects relating to innovative or alternative treatment technologies that may be utilized in response actions to achieve more permanent protection of human health and welfare and the environment. Types of discrete projects may include: land use controls research; health effects in construction workers; studies of above ground storage tank inspection practices; remediation technologies and strategies; and support for State forums to share information on research on hazardous substances waste remediation. Funding awarded for research under CERCLA 311(c) does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Assistance under this program is generally available to States, territories, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, and individuals. In some instances, EPA will consider applications from profit makers, proposing projects with significant technical merit and relevance to EPA's Office of Solid Waste and Emergency Response. Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3

of the Lobbying Disclosure Act of 1995 are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State and local governments, U.S. territories and possessions, Indian Tribes, universities and colleges, hospitals, laboratories, industry, and other public and private institutions and individuals.

#### **Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. The Agency may also request that applicants demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. EPA may ask applicants or principle investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Applicants considering submitting proposals are advised to discuss proposed projects with or submit pre-applications to staff in the appropriate EPA technical program offices. When making competitive awards, EPA will specify the nature of the pre-application assistance, if any, that will be available to applicants in the Requests for Initial Proposals or Requests for Applications. For information contacts, see Appendix IV of the Catalog. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For non-competitive awards, EPA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 180 days.

#### **Appeals:**

For non-competitive awards: Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable. For competitive awards: Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630

(January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: EPA supports two types of projects under this Section:

1. Alternative or innovative treatment demonstration projects [311(b)(3)],

When making awards under Section 311(b)(3), "Alternative or innovative treatment technology research and demonstration program, Contracts and grants", the Administrator shall, to the maximum extent possible, enter into appropriate cost sharing arrangements. EPA may waive the 311(b)(3) cost sharing requirement in appropriate cases if a justification is provided and accepted.

This program has no statutory cost sharing formula, however, there are funding restrictions. For example, the Administrator shall not provide any Federal assistance for any part of a full-scale field demonstration project unless the applicant can demonstrate that it cannot obtain appropriate private financing on reasonable terms and conditions sufficient to carry out the demonstration project. The total Federal funds for any full-scale field demonstration project shall not exceed 50 percent of the total cost of such project estimated at the time of the award. Furthermore, the Administrator shall not expend more than \$10,000,000 for assistance under the program in any fiscal year and shall not expend more than \$3,000,000 for any single project.

2. Hazardous substance research [311(c)].

Assistance awarded under Section 311(c), "Hazardous substance research" has no cost sharing requirements or funding restrictions.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements in a lump sum on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. Incremental funding may be available. EPA generally limits project periods to 5 years. The Office of Congressional Liaison is notified of the award. They in turn notify the appropriate House and Senate members that the assistance agreement has been awarded. This notification period lasts 5 days. After the 5 Day Congressional notification period, the original award document will be sent to the recipient. A copy of the award document will be sent to the Project Officer and the Las Vegas Financial Management Center or the Regions Financial Management Office. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Grantees are required to submit program reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit progress reports in accordance with Agency policy and the Monitoring and Reporting Program Performance requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102. Grantees are required to submit financial reports in accordance with Agency policy and the Financial Reporting and Financial Management Systems requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB

Circular No.A-102. Grantees are required to perform performance monitoring in accordance with Agency policy and requirements stated in Federal Grant Regulations 40 CFR Part 31 and OMB Circular No.A-102.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (nonprofits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. EPA may require that for profit recipients follow 40 CFR Part 30. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-8145-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$900,000; and FY 13 est \$500,000

**Range and Average of Financial Assistance:**

For each fiscal year it is \$20,000 - \$600,000, Average \$320,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11 no new funds were awarded. However, there were 9 active projects (5 in HQ, 3 in Region 5, and 1 in Region 7). The work in these projects built on ongoing work by examining long-term stewardship, institutional controls, and site reuse. The desire is to partner with recipients to facilitate the reuse of sites with residual contamination that can be reused is a priority. Fiscal Year 2012: In FY 12 a total of \$804,395 has been awarded.

In FY 12 there are 9 active projects (5 in HQ, 3 in Region 5, and 1 in Region 7). The work in these projects builds on ongoing work by examining long-term stewardship, institutional controls, and site reuse. The desire is to partner with recipients to facilitate the reuse of sites with residual contamination that can be reused is a priority. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Alternative or innovative treatment technology and hazardous substance research grants are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit institutions, and FAR Part 31 for profit makers.

**Regional or Local Office:**

See Regional Agency Offices. EPA encourages potential applicants to communicate with the appropriate EPA Regional Office listed in Appendix IV of the Catalog, and the Headquarters program contacts listed below.

**Headquarters Office:**

Barbara McDonough, Contracts Management Branch, Resources Management Division, Office of Superfund Remediation & Technology Innovation, USEPA (5202-P), 1200 Pennsylvania Ave., N.W., Washington, District of Columbia 20460 Email: mcdonough.barbara@epa.gov Phone: (703) 603-9042.

**Website Address:**

<http://www.epa.gov/superfund/index.htm>

**RELATED PROGRAMS:**

66.808 Solid Waste Management Assistance Grants; 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements ; 66.815 Brownfield Job Training Cooperative Agreements

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: To promote and stimulate research for use by state environmental officials to address Superfund policy and implementation issues of importance to states. To support research and provide training in alternative and innovative treatment technologies that facilitate information exchange and coordination among state agencies responsible for the cleanup of contaminated federal facilities. Fiscal Year 2012: The work in these projects built on ongoing work by examining long-term stewardship, institutional controls, and site reuse. The desire is to partner with recipients to facilitate the reuse of sites with residual contamination that can be reused is a priority. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Competitive applications and proposals will be selected in accordance with announced criteria. Non-competitive proposals are judged for (a) technical merit in terms of: (1) strengths and weaknesses of the project; (2) adequacy of overall project design; (3) competency of proposed staff; (4) suitability of applicant's available resources; (5) appropriateness of the proposed project period and budget; and (6) probability that the project will accomplish stated objectives; and, for (b) program interest in terms of: (1) the need for the proposed project; and (2) relationship to program objectives. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.814 BROWNFIELDS TRAINING, RESEARCH, AND TECHNICAL ASSISTANCE GRANTS AND COOPERATIVE AGREEMENTS**

Brownfields 104(k)(6) Grants

#### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Section 101(39)&104k(6), 42 U.S.C 9604(k)(6).

#### **OBJECTIVES:**

CERCLA 104(k)(6) provides EPA with authority for a program of training, research, and technical assistance to individuals and organizations to facilitate the inventory of brownfields properties, assessments, cleanup of brownfields properties, community involvement, or site preparation. Brownfield sites are real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant.

Funding Priority - Fiscal Year 2012: EPA may solicit proposals for training, research, and technical assistance and will incrementally fund projects with satisfactory project progress selected in previous 104(k)(6) training, research, and technical assistance competitions. The Agency gives preference to the ten statutory ranking criteria, as applicable, found at CERCLA 104(k)(5)(C) (see [180] CRITERIA FOR SELECTING PROPOSALS, below) when evaluating applications for research, training and technical assistance funding. In addition to the statutory criteria, EPA also evaluates applicants based on their ability to manage grants and other policy-based factors intended to promote effective stewardship of Federal funds. By statute, 25% of the funding for CERCLA 104(k), must be used for characterization, assessment, and remediation of Brownfields sites contaminated by petroleum or petroleum products. No more than 15% of the funding appropriated for CERCLA 104(k) grants may be used to fund training, research, and technical assistance grants authorized by CERCLA 104(k)(6). In FY12, EPA expects to solicit proposals, select and award a cooperative agreement for the 2013 National Brownfields Conference Co-Sponsorship, with anticipated award amount of \$900,000. EPA expects to solicit proposals in support of brownfields training, research, and technical assistance through the Technical Assistance to Brownfields (TAB) Communities Program. Through that funding opportunity EPA anticipates awarding up to 10 cooperative agreements that will help guide communities through the cleanup and redevelopment process at brownfield properties. EPA

also expects to solicit proposals for the Brownfields Area-Wide Planning (BF AWP) Program. Through that funding opportunity EPA anticipates awarding approximately 20 cooperative agreements to facilitate community involvement and conduct research, training and technical assistance necessary to develop area-wide plans and implementation strategies which will help facilitate brownfields assessment, cleanup and subsequent reuse. For both the TAB and BF AWP Programs, EPA expects to solicit proposals in FY12 but make awards in FY13. For certain competitive funding opportunities, the Agency may limit eligibility to a particular subset of eligible applicants. The amount of financial assistance will vary. The total funding amount for the TAB program will not exceed \$10 million, or up to \$500,000 per grant per year of award. The total funding amount for the BF AWP program is anticipated to be approximately \$4 million, or up to \$200,000 per grant award.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds awarded under Section 104(k)(6) of CERCLA must be used for training, research, and technical assistance to individuals and organizations, to facilitate the inventory of brownfields properties, site assessments, cleanup of brownfields properties, community involvement, or site preparation. Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable programmatic costs, in accordance with established EPA policies and regulations. Costs incurred under CERCLA 104(k)(6) grants or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of Brownfields sites.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

CERCLA 104(k)(6) cites eligible entities as: a general purpose unit of local government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government; a government entity created by a State legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; a State (note CERCLA 107(27) defines term "State" to include territories or possessions over which the United States has jurisdiction); an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Nonprofit organizations are also eligible for training, research, and technical assistance grants. Nonprofit organizations must meet the definition of that term in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 Note: Under this definition, colleges, universities, and community colleges are eligible to apply. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For profit organizations are not eligible to apply. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

State, Tribal (an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community), and local governments, communities with Brownfields sites and their residents, community groups, universities and colleges, industry, and other public and private institutions and individuals.

**Credentials/Documentation:**

EPA may request that applicants document their non-profit status. The Agency may also request that applicants demonstrate they have appropriate background, academic training, and experience in the field to carry out projects. EPA may ask applicants for research projects to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. See Appendix 1 for additional information regarding SPOC's. If there is no single point of contact for the state, or the state has not selected this program for review, applicants must contact directly affected state area-wide regional and local entities prior to award. (See 40 CFR 29.7(b)). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. This is a competitive grant program. Requests for Initial Proposals or Requests for Applications will specify application procedures. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

EPA is required by statute to conduct this assistance program competitively. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds. Incremental funding is subject to review and approval by the Office of Brownfields and Land Revitalization, Office of Solid Waste and Emergency Response. The funded grants and cooperative agreements are not eligible for renewal.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: For training, research and technical assistance grants, EPA will not require that applicants include a match or cost share unless

required by the terms of a competitive announcement. Even if EPA decides not to require matching funds, a statutory factor in ranking applications under Section 104(k)(6) is the extent to which EPA financial assistance will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse of Brownfields sites. Applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they, or a project partner, would commit to efforts receiving EPA financial assistance. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA generally funds grants and cooperative agreements on a 12 month basis, however, EPA may fully fund the agreements at the time of award. EPA will negotiate the project period with each applicant based on project requirements. The project period can range anywhere from two to five years. The anticipated period of performance for the TAB cooperative agreements is five years. See the following for information on how assistance is awarded/released: EPA generally funds the research, training, and technical assistance grants and cooperative agreements incrementally on a 12-month basis. However, EPA can negotiate the assistance award with each applicant based on project requirements.

**Reports:**

No program reports are required. No cash reports are required. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Quarterly progress reports are generally required as part of the terms and conditions of the grants and cooperative agreements. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$3,899,854; FY 12 est \$900,000; and FY 13 est \$14,000,000 - For FY 2011 the program obligated \$3,899,854. Of this amount, approximately \$3.8M was awarded for the Brownfields Area-Wide Planning Pilot Program and \$100K for state implementation assistance. The funding estimated to be awarded in FY 2012 is for approximately \$900,000 to a National Brownfields Conference Co-Sponsorship grantee selected via a grant competition. At this time the total funding estimated for FY 2013 is \$14,000,000, of which \$10,000,000 is designated for Technical Assistance to Brownfields (TAB) cooperative agreements and \$4,000,000 for Brownfields Area-Wide Planning cooperative agreements. The solicitations for TAB and BF AWP will open in FY 2012 but grants will be selected and awarded in FY2013.

**Range and Average of Financial Assistance:**

Historically, the Brownfields Training, Research, and Technical Assistance

cooperative agreements have ranged anywhere from \$115,000 to \$2,000,000 per cooperative agreement, depending on the specific focus area of that year's solicitation. The approximate average of financial assistance award, based on the actual awards made in the past fiscal year (FY2011) is \$162,498. Awards for FY2012 at this time average \$900,000 (award made to one grantee for the National Brownfields Conference Co-Sponsorship).

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The cooperative agreements awarded in FY11 included 23 pilots under the new Brownfields Area-Wide Planning program (solicited and selected in FY10 but awarded in FY11) and one award for Section 128(A) State Implementation Support. EPA also provided incremental funding to projects awarded in previous years. The incrementally funded grants provided training, community education and technical assistance to support brownfields assessment and cleanup efforts by state, local and tribal governments, communities, nonprofit organizations and private sector entities. The grants also resulted in research reports, case studies, and documents assisting communities with brownfields projects. Fiscal Year 2012: The cooperative agreement solicited and awarded in FY12 included one grantee recipient for the National Brownfields Conference Co-Sponsorship grant. EPA also provided incremental funding to projects awarded in previous years. The incrementally funded grants provided training, community education and technical assistance to support brownfields assessment and cleanup efforts by state, local and tribal governments, communities, nonprofit organizations and private sector entities. The grants also resulted in research reports, case studies, and documents assisting communities with brownfields projects. EPA also plans to solicit proposals under the Technical Assistance to Brownfields (TAB) and Brownfields Area-Wide Planning (BF AWP) grant programs in FY2012, with those cooperative agreements to be awarded in FY2013. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Brownfields training, research, and technical assistance grants are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for non-profit institutions. EPA will provide applicants with guidance on statutory prohibitions on the use of grant and cooperative agreement funds in Requests for Initial Proposals, Requests for Applications, or by other means. EPA will provide assistance regarding clarification of the grant proposal guidelines. Potential applicants may submit written requests to OBLR for clarification. Significant clarifications to the guidelines will be posted on the brownfields website <http://www.epa.gov/brownfields>. This is the only form of pre-application assistance available. EPA will not meet with applicants to discuss draft proposals or provide informal comments on proposals.

#### **Regional or Local Office:**

See Regional Agency Offices.

#### **Headquarters Office:**

David Lloyd, Office of Brownfields and Land Revitalization, OSWER, EPA, 1200 Pennsylvania Ave, NW, Washington, District of Columbia 20460 Email: [lloyd.davidr@epa.gov](mailto:lloyd.davidr@epa.gov) Phone: (202) 566-2777.

#### **Website Address:**

<http://www.epa.gov/brownfields>

#### **RELATED PROGRAMS:**

66.815 Brownfield Job Training Cooperative Agreements; 66.817 State and Tribal Response Program Grants; 66.818 Brownfields Assessment and Cleanup Cooperative Agreements

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY11, EPA awarded Brownfields (k)(6) funding for research, training and technical assistance pertaining to piloting local community approaches to brownfields area-wide planning; to provide state implementation support of the Section 128(A) program; and incremental funding of existing cooperative agreements funded in previous years. EPA awarded area-wide planning funds to 23 communities (via local government, tribal, regional planning commission, and non-profit organizations) in under-served and economically disadvantaged areas. These entities are

facilitating community involvement in developing area-wide plans and implementation strategies to help address local brownfield sites. The award for the state implementation support grant is promoting and stimulating information exchange among state officials managing solid, hazardous and brownfields response programs and EPA officials to jointly resolve CERCLA Section 128(a) issues, and identifying emerging response program issues that are of interest to states. Fiscal Year 2012: In FY12, EPA solicited and awarded a cooperative agreement for the National Brownfields Conference Co-Sponsorship. EPA also provided incremental funding to projects awarded in previous years. The incrementally funded grants provided training, community education and technical assistance to support brownfields assessment and cleanup efforts by state, local and tribal governments, communities, nonprofit organizations and private sector entities. The grants also resulted in research reports, case studies, and documents assisting communities with brownfields projects. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

This is a competitive grant program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

#### **66.815 ENVIRONMENTAL WORKFORCE DEVELOPMENT AND JOB TRAINING COOPERATIVE AGREEMENTS**

Environmental Workforce Development and Job Training Program

#### **FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

#### **AUTHORIZATION:**

The Comprehensive Environmental Response, Compensation, and Liability Act, Section 311(b)(3)(9); The Comprehensive Environmental Response, Compensation, and Liability Act, Section 104k(6); Solid Waste Disposal Act, Section 8001; Clean Water Act, Section 104(g)(3)(A); Toxic Substances Control Act, Title 1-4&6, 15 U.S.C 2601.

#### **OBJECTIVES:**

The objective of the Environmental Workforce Development and Job Training Program is to recruit, train, and place unemployed and under-employed, predominantly low-income and minority, residents of solid and hazardous waste-impacted communities with the skills needed to obtain full-time, sustainable employment in site assessment, cleanup, and the environmental field at large. Furthermore, this program promotes the facilitation of activities related to assessment, cleanup, or preparation of contaminated sites for reuse, while simultaneously building a local workforce with the skills needed to perform remediation work that are supportive of environmental protection and health and safety.

Funding Priority - Fiscal Year 2012: In FY12, under the Environmental Workforce Development and Job Training Grant Application Guidelines, formerly referred to as the Brownfields Job Training Grant Application Guidelines, applicants were provided the opportunity to deliver training outside the traditional scope of just brownfields hazardous waste training. As a result of this, applicants were now provided the opportunity to deliver additional training in areas such as: solid waste management and recycling, emergency management and oil spill cleanup, Superfund cleanup related training, innovative and alternative treatment technologies, wastewater treatment and stormwater management, chemical safety, enhanced environmental health and safety training, and underground storage tank removal and leak prevention. Other types of supplemental environmental training are also eligible as this list is not exhaustive. Under the FY12 competition, energy auditing, solar installation, and weatherization were not eligible. Applicants in FY12 were also evaluated heavily on the extent to which they had partnered with employers willing to hire graduates and the extent to which they had conducted labor market assessments.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds awarded under Section 104(k)(6) of CERCLA must be used for training, research, and technical assistance to individuals and organizations, to facilitate

the inventory of brownfields properties, site assessments, cleanup of brownfields properties, community involvement, or site preparation. Funds under Section 311(b)(3)(9) of CERCLA must be used for training in innovative and alternative treatment technologies. For Environmental Workforce Development and Job Training grants however, individuals are not eligible to apply. (See eligibility requirements in Section 080) Grants and cooperative agreements are available to eligible entities throughout the United States. Eligible applicants are allowed to design their own curricula. However, in FY12 applicants were required to include the following types of training in their curriculum: OSHA 29 CFR 1910.120 40-hour Hazardous Waste Operations and Emergency Response (HAZWOPER); leaking underground storage tank prevention awareness training; solid waste management or cleanup related awareness training (i.e. recycling center operator training, landfill remediation and capping, demolition and debris collection and recycling, etc.); wastewater related training; chemical safety or enhanced environmental health and safety training; and, innovative and alternative treatment technologies related training (i.e. preparation of contaminated sites for solar installation, green remediation techniques, phytoremediation, soil amendments, advanced sampling instrument operator training, or bioswale system site preparation, etc.) Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>. Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable programmatic costs, in accordance with established EPA policies and regulations. Costs incurred under CERCLA 104(k)(6) grant or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of sites.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Proposals will be accepted from either eligible governmental entities as defined in CERCLA Section 104(k)(1) or eligible nonprofit organizations as defined in Public Law 106-107, the Federal Financial Assistance Management Improvement Act. Eligible governmental entities include a general purpose local unit of government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of government; a governmental entity created by a state legislature; a regional council or group of general purpose units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a state; a state; an Indian Tribe (other than in Alaska), or an Alaskan Native Regional Corporation and an Alaska Native Village Corporation as those terms are defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601 and following); and the Metlakatla Indian Community. Intertribal consortia, except consortia comprised of ineligible Alaskan tribes, are eligible to apply as well. Eligible nonprofit organizations include any corporation, trust, association, cooperative, or other organization that is operated mainly for scientific, educational, service, charitable, or similar purpose in the public interest; is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operation of the organization. Workforce Investment Boards that meet these criteria may be eligible nonprofit organizations. Public and nonprofit private educational institutions are eligible to apply. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. For-profit or proprietary training organizations or trade schools are not eligible to apply. Evidence of nonprofit status under Federal, state or tribal law must be provided at the time the proposal is submitted. For certain competitive funding

opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Applicants that received an Environmental Workforce Development and Job Training grant from EPA in Fiscal Year 2011 were not eligible to apply in FY12 for regular appropriation funds. A list of environmental workforce development and job training grants awarded in Fiscal Year 2011 and 2012 can be found on the Brownfields Website, <http://www.epa.gov/brownfields/pilot.htm#previous>. Applicants who received a Brownfields Job Training Grant under ARRA are eligible to apply in FY12. Please visit the following website for more details: [http://www.osha.gov/pls/oshaweb/owadispl.show\\_document?p\\_table=STANDARDS&p\\_id=9765](http://www.osha.gov/pls/oshaweb/owadispl.show_document?p_table=STANDARDS&p_id=9765).

#### **Beneficiary Eligibility:**

Environmental Workforce Development and Job Training grants will provide environmental job training and help individuals of solid and hazardous waste-impacted neighborhoods take advantage of job opportunities created as a result of the management, assessment and cleanup of contaminated properties, as well as employment in wastewater and chemical safety related positions.

#### **Credentials/Documentation:**

EPA requires that applicants document their nonprofit status at the time of application. The Agency may also request that applicants demonstrate that they have appropriate background, academic training, experience in fields, and necessary equipment to carry out training projects. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

This is a competitive grant program. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed Section VII as "Information Contacts." Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. By statute, EPA must award Environmental Workforce Development and Job Training grants competitively. EPA will specify application procedures in Requests for Initial Proposals or Request for Applications. As stipulated in the Requests for Applications, successful grant applicants must provide, in addition to the SF 424, a Dun and Bradstreet Data Universal Numbering System (DUNS) number, which is now required when applying for federal grants or cooperative agreements on or after October 1, 2003. For more information go to: <http://www.grants.gov>. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Section 7 of the application guidelines. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. Final approval of applications for job training grants and supporting documentation is made by EPA. Award of grant funds are made by EPA Regional Award Officials.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

For job training grants, the range of approval/disapproval time will be approximately 90 days.

#### **Appeals:**

Assistance agreement competition-related disputes will be resolved in

accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities and availability of funds. Renewals and extensions of funding are not available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: For Environmental Workforce Development and Job Training Grants, EPA does not require that applicants include a match or cost share. However, evidence of leveraged funds is encouraged. Furthermore, a statutory factor in ranking applications under Section 104(k)(6) is the extent to which EPA financial assistance will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse of Brownfields sites. Applicants may be encouraged to provide information regarding resources (cash/in-kind services) that they, or a project partner, would commit to efforts receiving EPA financial assistance. EPA may take these commitments into account in ranking proposals.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The performance period for job training grant funds is generally three years. Grant cooperative agreements may be amended to provide additional funding and additional time for grant recipients demonstrating significant success in training efforts depending upon the availability of funding. Proposal funding is not guaranteed at any stage of the proposal process until the Cooperative Agreement, including workplan, is completed and the final award is made. All awards are made in a lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Quarterly progress reports are generally required as part of the terms and conditions of the cooperative agreements. No expenditure reports are required. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$6,500,000; FY 12 est \$3,000,000; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

Average: \$200,000. In FY11, grant awards made at \$300,000 each. For job training grants awarded in FY12, grant awards were made at \$200,000 each. The performance period for these grants in FY12 is generally 3 years.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 22 cooperative agreements were awarded in FY11 with amounts of \$300,000 each. Fiscal Year 2012: 15 grant awards were made in FY12 at \$200,000 each. In FY12, 76 applications were received and 15 were funded. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For job training grants, costs must be in accordance with OMB Circulars Nos. A-87 (state, tribal and local governments), A-21 (universities) and A-122 (nonprofit organizations), depending on the recipient. Recipients must comply with 40 CFR Part 30 for universities and nonprofit organizations, and Part 31 for states, tribes, and local governments. In addition, recipients must comply with applicable provisions of EPA training grant regulations at 40 CFR Part 45. EPA will also provide applicants with guidance on statutory prohibitions on the use of grant and cooperative agreement funds in Requests for Initial Proposals, Requests for Applications, or by other means.

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Offices are listed in Section 7 in the Application Guidelines for Brownfields Job Training Grants.

**Headquarters Office:**

Joseph Bruss, Office of Brownfields and Land Revitalization, OSWER, EPA, Washington, District of Columbia 20460 Email: bruss.joseph@epa.gov Phone: (202) 566-2772.

**Website Address:**

<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

66.808 Solid Waste Management Assistance Grants; 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants; 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements ; 66.817 State and Tribal Response Program Grants; 66.818 Brownfields Assessment and Cleanup Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In Fiscal Year 2011 the EPA awarded cooperative agreements to a variety of eligible entities and nonprofit organizations to provide local residents with the skills needed to gain employment in careers related to the assessment and cleanup of hazardous and solid waste sites. These cooperative agreements included training and instruction in a variety of subjects, including: OSHA health and safety training, HAZWOPER and HAZMAT certification, lead and asbestos abatement, forklift operations, phytoremediation, mold remediation, site assessment, sampling, field investigation, instrumentation, and treatment technologies. Furthermore, these cooperative agreements provided job training programs the funds needed to perform recruitment and community outreach to residents in low-income and minority neighborhoods impacted by contaminated sites. Fiscal Year 2012: In Fiscal Year 2012 the EPA awarded cooperative agreements to a variety of eligible entities and nonprofit organizations to provide local residents with the skills needed to gain employment in careers related to the assessment and cleanup of hazardous and solid waste sites, wastewater management, and chemical safety. These cooperative agreements included training and instruction in a variety of subjects, including: OSHA health and safety training, HAZWOPER and HAZMAT certification, lead and asbestos abatement, forklift operations, phytoremediation, mold remediation, site assessment, sampling, wastewater management, chemical safety, leaking underground storage tank prevention, field investigation, instrumentation, and treatment technologies. Furthermore, these cooperative agreements provided job training programs the funds needed to perform recruitment and community outreach to residents in



low-income and minority neighborhoods impacted by contaminated sites. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.816 HEADQUARTERS AND REGIONAL UNDERGROUND STORAGE TANKS PROGRAM**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Solid Waste Disposal Act of 1976, Section 8001(a)&(b), Public Law 98-616, U.S.C 8001; Resource Conservation and Recovery Act of 1976; Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499, 42 U.S.C 6991; EPA's Annual Appropriations Act.

**OBJECTIVES:**

To support activities that promote the prevention, compliance, and identification of underground storage tanks, and to support activities that promote corrective action, enforcement and management of releases from underground storage tank systems.

Funding Priority - Fiscal Year 2012: High priority tasks include: (1) Training Support: Provide State and tribal underground storage tanks (UST) and leaking underground storage tanks (LUST) programs and the regulated community mechanisms by which state and federal "co-regulator" communication, assistance (which may include research and studies) and training on UST/LUST program implementation can occur on both a regional and national scale; (2) Electronic Newsletter: Provide state and tribal regulators, the general public and the regulated community with technical information on underground storage tank (UST) systems; and (3) State/Federal Partnerships: Provide technical assistance and forums for information exchange to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official Government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

Grants and cooperative agreements are available to support recipients' eligible and allowable direct costs incurred under an approved work plan plus allowable indirect costs, in accordance with established EPA policies and regulations. Use Restrictions are that funds awarded under Section 8001(a) and (b) of RCRA must be used for projects that may include the following types of activities: research presentations, educational materials, surveys, training, studies, demonstrations, investigations, special projects and the development or use of methods to improve UST systems management and performance to reduce the actual and potential risks to human health and the environment.

**Applicant Eligibility:**

For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

These assistance agreements are only available to public authorities (State, interstate, intrastate, agencies designated by States or Territorial Governors to receive UST notifications, federally-recognized Tribes and Intertribal Consortia, and local), public agencies and institutions; private non-profit organizations and agencies that meet the requirements of Section 8001(a) and (b) of the Solid Waste Disposal Act. Profit-making organizations and the general public are not eligible.

**Beneficiary Eligibility:**

State and local governments, territories and possessions, interstate agencies, Tribes, Intertribal Consortia, members of the regulated community and residents in areas impacted by federally regulated underground storage tanks.

**Credentials/Documentation:**

EPA may request that applicants document their nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. EPA may incrementally fund grants and cooperative agreements under this program. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cost sharing is not required, unless noted in request for applications or initial proposals.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length and time phasing of the assistance agreement shall be determined prior to the award. Assistance agreements are awarded either as non-competitive or competitive, subject to EPA Order 5700.5A1. The length of the assistance agreements may be from one year to seven years. See the following for information on how assistance is awarded/released: The funding

is released to the recipient according to the recipient's accounting requests, e.g., quarterly, monthly, etc.

**Reports:**

Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. No cash reports are required. No progress reports are required. Recipients are required to submit Federal Financial Reports (SF-425) to the Las Vegas Financial Center. EPA conducts baseline and advanced post-award monitoring of the recipient's performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$1,265,000; FY 12 est \$1,115,000; and FY 13 Estimate Not Available - EPM: FY 2011 actual: \$707,000; FY 2012 actual: \$770,000; FY 2013 estimate: unknown  
LUST: FY 2011 actual: \$558,000; FY 2012 actual: \$345,000; FY 2013 estimate: unknown.

**Range and Average of Financial Assistance:**

FY 2011 Range: \$20,000 - \$422,000; Average: \$158,000.

FY 2012 Range: \$20,000 - \$382,000; Average: \$124,000.

Assistance agreements are awarded on a multiple year basis, with incremental funding.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Five applications were received and were awarded as incremental and supplemental funding on existing assistance agreements. Recipients provided states and/or tribal staff with opportunities for training and dissemination of information to help with meeting the program's UST and LUST performance measures, as identified in the FY 2011 National Program Guidance, see <http://www.epa.gov/planandbudget/archive.html>. Fiscal Year 2012: Five applications were received and were awarded as incremental and supplemental funding on existing assistance agreements. Recipients provided states and/or tribal staff with opportunities for training and dissemination of information to help with meeting the program's UST and LUST performance measures, as identified in the FY 2012 National Program Guidance, see <http://www.epa.gov/planandbudget.html>. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

General Grant Regulations and Procedures (40 CFR Part 30, 31, and 34); "EPA Assistance Administration Manual," available from the National Technical Information Service, Springfield, VA, on a subscription basis. Costs will be

determined in accordance with OMB Circular No. A-21 (2 CFR Part 220) for educational institutions, OMB Circular No. A-87 (2 CFR Part 225) for State and local governments and Indian Tribes, and OMB Circular No. A-122 (2 CFR Part 230) for non-profit institutions.

**Regional or Local Office:**

See Regional Agency Offices. For state-specific opportunities, EPA encourages potential applications to communicate with the appropriate EPA Regional Underground Storage Tanks Regional Program Managers, see <http://www.epa.gov/swerust1/index.htm>.

**Headquarters Office:**

Lynn Depont, 1200 Pennsylvania Avenue, NW, Mail Code 5401P, Washington, District of Columbia 20460 Email: [depont.lynn@epa.gov](mailto:depont.lynn@epa.gov) Phone: (703) 603-7148.

**Website Address:**

<http://www.epa.gov/swerust1/index.htm>

**RELATED PROGRAMS:**

66.804 State and Tribal Underground Storage Tanks Program; 66.805 Leaking Underground Storage Tank Trust Fund Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Training Support: Provide underground storage tanks (UST) and leaking underground storage tanks training activities for states and tribes, e.g., Tribal Conference, training on the effective implementation strategies and the tools utilized among the states with regulatory programs underway, program initiatives, compliance with UST systems, and UST releases. 2) Electronic Newsletter (LUSTLine): Provide state and tribal regulators, the general public and the regulated community with technical information on UST systems. 3) State/Federal Partnerships: Provide technical assistance, topic-oriented meetings and forums for information exchanges to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible. 4) Studies: Gather information and provide a summary on technical issues, e.g., study on the impact of using on-site measurement technologies for site assessment and contaminant conceptualization at petroleum release sites. 5) Disseminate technical information to states, tribes and Intertribal Consortia on UST/LUST program implementation. Fiscal Year 2012: 1) Training Support: Provide underground storage tanks (UST) and leaking underground storage tanks training activities for states and tribes, e.g., Tribal Conference, training on the effective implementation strategies and the tools utilized among the states with regulatory programs underway, program initiatives, compliance with UST systems, and UST releases. 2) Electronic Newsletter (LUSTLine): Provide state and tribal regulators, the general public and the regulated community with technical information on UST systems. 3) State/Federal Partnerships: Provide technical assistance, topic-oriented meetings and forums for information exchanges to assist States in developing their program capabilities to manage their UST/LUST programs in the most efficient and effective manner possible. 4) Studies: Gather information and provide a summary on technical issues, e.g., study on the impact of using on-site measurement technologies for site assessment and contaminant conceptualization at petroleum release sites. 5) Disseminate technical information to states, tribes and Intertribal Consortia on UST/LUST program implementation. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.817 STATE AND TRIBAL RESPONSE PROGRAM GRANTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

Small Business Liability Relief and Brownfields Revitalization Act; Comprehensive Environmental Response, Compensation, and Liability Act, Section 128(a), Public Law 107-118.

**OBJECTIVES:**

EPA's CERCLA Section 128(a) grant program funds activities that establish or enhance state and tribal response program capacity, capitalize revolving loan funds (RLFs), and support insurance mechanisms. The goal of this funding is to provide financial support to establish and enhance the four elements of an effective state or tribal response program as specified in CERCLA Section 128 and to ensure that states and tribes maintain a public record of sites included in their programs.

Funding Priority - Fiscal Year 2012: In FY 2012, funding will be prioritized as follows: (1) Funding for program development activities to establish or enhance the four elements of a state or tribal response program and to enable states and tribes to comply with the public record requirement, including activities related to institutional controls. (States and tribes that have established one or more of the four elements will not be prejudiced in funding distributions if their work plan includes activities that enhance the four elements. States with Voluntary Cleanup Program Memorandum of Agreement will not be prejudiced in funding distributions if their work plan does not include tasks related to establishing or enhancing the four elements.) (2) Funding for program development activities to enhance the response program or the cleanup capacity of a state or tribal response program. (3) Funding for site-specific activities at eligible brownfields sites. (4) Funding for environmental insurance mechanisms. (5) Funding to capitalize brownfields cleanup RLFs.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

States and tribes can use Section 128 funding to (1) establish or enhance four statutory elements of a response program, as per CERCLA 128(a)(2), (2) capitalize a Revolving Loan Fund program for brownfields cleanup, pursuant to CERCLA 104(k)(3), (3) purchase environmental insurance or develop a risk sharing pool, an indemnity pool, or insurance mechanism to provide financing for response actions under their programs, (4) maintain and update, at least annually, a public record of sites, pursuant to CERCLA 128(b), that includes the name and location of sites at which response actions have been completed during the previous year and the name and location of sites at which response actions are planned to be addressed in the next year; and (5) conduct limited site-specific activities. "Establish" includes activities necessary to build the foundation for the four elements of a state or tribal response program or may also include activities that keep their program at a level that meets the four elements. "Enhance" is related to activities that add to or improve a state or tribal response program or increase the number of sites at which response actions are conducted under a state or tribal response program. States and tribes may use Section 128(a) funds for activities that establish and enhance their response programs, even if their response programs address petroleum-contamination. Restrictions apply to site-specific activities, such as assessment and cleanup. Assessments and cleanups must be conducted at eligible brownfields sites, as defined in CERCLA 101(39).

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

States (as defined in CERCLA Section 101(27) and tribes (as defined in CERCLA Section 101(36) are eligible for funding under Section 128(a). To be eligible to receive funding under CERCLA Section 128(a), a state or tribe must demonstrate that its response program includes, or is taking reasonable steps to include, the four elements of a response program. States or tribes that are parties to voluntary response program memoranda of agreement (MOAs) are automatically eligible for Section 128(a) funding. Additionally, states and tribes, including those with MOAs, must maintain and make available to the public a record of sites at which response actions have been completed in the previous year and are planned to be addressed in the upcoming year in order to qualify for Section 128(a) funding.

#### **Beneficiary Eligibility:**

Beneficiaries include individuals living in recipient states', territories', and tribes' jurisdiction.

#### **Creditentials/Documentation:**

States and tribes must provide documentation that they have met or are making reasonable progress towards meeting the four statutory elements, or have a Voluntary Cleanup Program Memorandum of Agreement with EPA, and have established and are maintaining the public record. States and tribes must define their "Section 128(a) response program", and may designate a component of the state or tribe that will be EPA's primary point of contact for negotiations on their proposed work plan. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Annually, states and tribes will work with the EPA regional offices to develop their work plans and funding requests for the upcoming year. Each cooperative agreement must have an annual budget period tied to an annual work plan. Annual funding guidance provides the requirements for submitting requests. No specific forms are required. Informal assistance is available through regional offices. States are subject to requirements under E.O. 12372, "Intergovernmental Review of Federal Programs" as implemented in 40 CFR Part 29. Tribes are exempt. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and tribes submit requests to EPA regional offices for funding on an annual basis by submitting a proposed work plan. Annual funding guidance provides the information that should be submitted to the regional office. Once initial requests are submitted, EPA headquarters consolidates requests and provides a final allocation based on factors provided in the funding guidance. No specific form is required for submission of request.

#### **Award Procedure:**

EPA regional offices will negotiate and enter into a single cooperative agreement with interested states or tribes. States and tribes may distribute these funds among the appropriate state and tribal agencies to meet their specific needs within their state or tribal agency structures. At least annually, the regional offices must verify that a public record as described above exists for each of the state or tribal response programs that are receiving funding.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 90 days are required for the application request to be approved or disapproved.

#### **Appeals:**

Disputes will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

#### **Renewals:**

Each state and tribal cooperative agreement will be evaluated on an annual basis to ensure that the requirements to receive funding are being met. If funding is not used, it may be carried over into the next budget period.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: States and tribes are not required to provide matching funds for grants awarded under Section 128(a). However, if the state or tribe uses Section 128(a) funds to capitalize a Brownfields RLF under CERCLA 104(k)(3), a 20% cost share is required on the amount of Section 128(a) funds used to capitalize an RLF. This program has no statutory formula, but does take into account use of prior years' funding in determining future awards. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

EPA regions will evaluate cooperative agreements annually to ensure that

requirements to receive funding are being met. EPA regional offices will determine the project period for each cooperative agreement. These may be for multiple years depending on the regional office's grants policies. Each cooperative agreement must have an annual budget period tied to an annual work plan. Funds are awarded on an annual basis and may be drawn down according to regional financial processes. See the following for information on how assistance is awarded/released: This assistance is generally awarded lump sum.

**Reports:**

No program reports are required. No cash reports are required. States and tribes will provide progress reports under 40 CFR 31.40, in accordance with terms and conditions of the cooperative agreement negotiated with EPA regional offices. At a minimum, state or tribal progress reports must include both a narrative discussion and performance data relating to the state's or tribe's accomplishments with Section 128(a) funding. Depending upon the activities included in the state's or tribe's scope of work, an EPA regional office may request that a progress report include other elements as described in the Grant Funding Guidance for State and Tribal Response Programs. The regional offices may also request other information be added to the progress reports, as appropriate, to properly document activities described by the cooperative agreement work plan. Expenditure information should be provided in the progress reports. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

In addition to the statutory public record requirement, states and tribes must comply with record keeping requirements of 40 CFR Part 31 and any applicable requirements under state and tribal laws. Recipients must keep financial records, including all documents supporting entries on accounting records and to substantiate changes in grants, available to personnel authorized to examine EPA recipients grants and cooperative agreements records. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions remain following the three-year period, such as those raised as a result of an audit or an on-going enforcement action, recipients must retain records until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$49,396,000; FY 12 est \$49,300,000; and FY 13 est \$47,300,000

**Range and Average of Financial Assistance:**

Most fiscal years range from \$50,000 to \$1,200,000; average approximately \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY11, 139 requests for funding were received, all were funded. Fiscal Year 2012: In FY12, 150 requests for funding were received, all were funded. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 31; OMB Circular A-87 applies to the program. EPA anticipates that it will annually publish national Grant Funding Guidance for State and Tribal Response Programs. Fiscal Year 2012 guidance may be found at [www.epa.gov/brownfields](http://www.epa.gov/brownfields).

**Regional or Local Office:**

See Regional Agency Offices. EPA Regional Brownfields Coordinators: Region 1: Diane Kelley, Phone: 617-918-1424, Fax: 617-918-1291, [kelly.diane@epa.gov](mailto:kelly.diane@epa.gov); Region 2: Lya Theodoratos, Phone: 212-637-3230, Fax: 212-637-4360, [theodoratos.lya@epa.gov](mailto:theodoratos.lya@epa.gov); Region 3: Tom Stolle, Phone: 215-814-3129, Fax: 215-814-5518, [stolle.tom@epa.gov](mailto:stolle.tom@epa.gov); Region 4: Phil Vorsatz, Phone: 404-562-8789, Fax: 404-562-8439, [vorsatz.phil@epa.gov](mailto:vorsatz.phil@epa.gov); Region 5: Deborah Orr, Phone: 312-886-7576, Fax: 312-886-7190, [orr.deborah@epa.gov](mailto:orr.deborah@epa.gov); Region 6: Mary Kemp, Phone: 214-665-8358, Fax: 214-665-6660, [kemp.mary@epa.gov](mailto:kemp.mary@epa.gov); Region 7: Susan Klein, Phone: 913-551-7786, Fax: 913-551-8688, [klein.susan@epa.gov](mailto:klein.susan@epa.gov); Region 8: Dan Heffernan, Phone: 303-312-7074, Fax: 303-312-6955, [heffernan.daniel@epa.gov](mailto:heffernan.daniel@epa.gov); Region 9: Noemi Emeric-Ford, Phone: 213-244-1821, Fax: 213-244-1850, [emeric-ford.noemi@epa.gov](mailto:emeric-ford.noemi@epa.gov); Region 10: Susan Morales, Phone: 206-553-7299, Fax: 206-553-0124, [morales.susan@epa.gov](mailto:morales.susan@epa.gov).

**Headquarters Office:**

David R. Lloyd, Office of Brownfields and Land Revitalization, OSWER, EPA, 1200 Pennsylvania Ave, NW, Washington, District of Columbia 20460 Email: [lloyd.davidr@epa.gov](mailto:lloyd.davidr@epa.gov) Phone: (202) 566-2777.

**Website Address:**

<http://www.epa.gov/brownfields>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Program development activities to establish the four elements of a state or tribal response program, including conducting an inventory of brownfields sites; developing or enhancing oversight and enforcement mechanisms; establishing mechanisms to approve cleanup plans; and providing opportunities and resources for public involvement. Establishing and maintaining a public record of sites, including making information available on the Internet and maintaining and monitoring institutional controls; capitalizing an RLF for brownfields cleanup; purchasing environmental insurance; developing legislation, regulations, procedures, and guidance that would establish or enhance the administrative and legal structure of their response programs; and undertaking-site specific related activities, such as conducting assessments at selected brownfields sites and auditing completed site cleanups in states that administer a licensed site professional program. Fiscal Year 2012: Program development activities to establish the four elements of a state or tribal response program, including conducting an inventory of brownfields sites; developing or enhancing oversight and enforcement mechanisms; establishing mechanisms to approve cleanup plans; and providing opportunities and resources for public involvement. Establishing and maintaining a public record of sites, including making information available on the Internet and maintaining and monitoring institutional controls; capitalizing an RLF for brownfields cleanup; purchasing environmental insurance; developing legislation, regulations, procedures, and guidance that would establish or enhance the administrative and legal structure of their response programs; and undertaking-site specific related activities, such as conducting assessments at selected brownfields sites and auditing completed site cleanups in states that administer a licensed site professional program. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

EPA will not fund this program through competitive grant solicitations. Section 128(a) funds will be allocated to eligible states and tribes in accordance with the national Grant Funding Guidance for State and Tribal Response Programs.

**66.818 BROWNFIELDS ASSESSMENT AND CLEANUP COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Office of Solid Waste and Emergency Response, Environmental Protection Agency

**AUTHORIZATION:**

The Small Business Liability Relief and Brownfields Revitalization Act of 2002, Public Law 107-118; American Recovery and Reinvestment Act of 2009; Comprehensive Environmental Response, Compensation, and Liability Act

(CERCLA) of 1980, as amended , 42 U.S.C 9601(39)&9604k.

#### **OBJECTIVES:**

Brownfield sites are real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant. The objectives of the brownfield assessment, revolving loan fund and cleanup cooperative agreements (project grants) are to provide funding: (1) to inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites; (2) to capitalize a revolving loan fund (RLF) and provide subgrants to carry out cleanup activities at brownfield sites; and (3) to carry out cleanup activities at brownfield sites that are owned by the grant recipient.

Funding Priority - Fiscal Year 2012: By statute, 25 percent of the funding for this program must be used for characterization, assessment, and cleanup of Brownfields sites contaminated by petroleum or petroleum products. The Agency must also give preference to statutory ranking criteria found at CERCLA 104(k)(5)(C) (see :180 CRITERIA FOR SELECTING PROPOSALS) when evaluating applications for funding.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

For site specific projects, the site must meet the definition of a brownfields site found at CERCLA 101(39). As part of the application process, EPA provides guidance to assist grant applicants in determining whether sites meet this definition. (1) The brownfields grants may be used to address sites contaminated by petroleum and hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum). (2) Brownfields assessment grant funds may be used to inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites. (3) An RLF project grant recipient must use at least 60 percent of the awarded funds to capitalize and implement a revolving loan fund; an RLF project grant recipient may use no more than 40 percent of the awarded funds for cleanup subgrants and may not subgrant to itself. Revolving loan fund project grants generally are used to provide no-interest or low-interest loans for brownfields cleanups. (4) An RLF project grant recipient may use its funds to award subgrants to other eligible entities, including nonprofit organizations, for brownfields cleanups on sites owned by the subgrantee; (5) Brownfields cleanup grant funds must be used to carry out cleanup activities at brownfield sites that are owned by the grant recipient. (6) Costs incurred under CERCLA 104(k) grants or cooperative agreements may not be used for an administrative cost, penalty or fine, a Federal cost-share requirement, a response cost for which the recipient of the grant or cooperative agreement is potentially liable under CERCLA 107, or the cost of complying with a Federal law, with the exception of the costs of laws applicable to cleanup of Brownfields sites. (7) Brownfields multi-purpose pilot grant recipients may use funding for assessment, cleanup planning and direct cleanup at one site owned by the applicant. All grants under 66.818 are awarded on a discretionary basis. For information on statutory limits on the amount of funding, see :123 Range and Average of Financial Assistance, below. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

#### **Applicant Eligibility:**

Eligibility for Assessment, Revolving Loan Fund, and Cleanup Grants: a general purpose unit of local government; a land clearance authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government; a government entity created by a State legislature; a regional council or group of general purpose

units of local government; a redevelopment agency that is chartered or otherwise sanctioned by a State; a State; an Indian Tribe other than in Alaska; an Alaska Native Regional Corporation, Alaska Native Village Corporation and the Metlakatla Indian Community. Nonprofit organizations that own the property are also eligible for cleanup grants. Nonprofit organizations must meet the definition of that term in Section 4(6) of the Federal Financial Assistance Management Improvement Act of 1999, Public Law 96-107, 31 U.S.C. 6101 (Note: Under this definition, colleges, universities, and community colleges are eligible to apply.) However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Non-profit organizations are not eligible for the brownfields multi-purpose pilot grants. For profit organizations are not eligible to apply for direct funding from EPA. However, for profit organizations may apply for loans made by eligible entities with RLF capitalization grants. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

#### **Beneficiary Eligibility:**

Generally, those eligible entities identified above will benefit from the brownfields grant actions. Specifically, individuals and commercial organizations in brownfields grant communities will benefit from brownfields assessment, cleanup, and revitalization funding. New strategies for promoting environmental cleanup lessons from these grants will provide a growing base of information and knowledge for other communities across the country seeking partnerships with stakeholders to coordinate issues related to brownfields and leverage additional opportunities for redevelopment.

#### **Credentials/Documentation:**

EPA may require that nonprofit organizations or eligible entities other than states, tribes, or general purpose units of local government provide documentation of eligibility. EPA may also require that applicants provide site specific information to determine whether a site qualifies as a Brownfields site under CERCLA 101(39). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This is a competitive grant program. EPA guidelines for Requests for Proposals or Requests for Applications will specify application procedures. For EPA Regional Office contacts, see Appendix IV of the Catalog. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Requests for application kits must be submitted to the Environmental Protection Agency, Grants and Interagency Agreements Management Division, 3903R, Washington, DC 20460 or through the appropriate EPA Regional Office listed in Appendix IV of the Catalog. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

#### **Award Procedure:**

This is a competitive grant program. EPA guidelines for Requests for Proposals or Requests for Applications will specify award procedures. For EPA Regional Office contacts, see Appendix IV of the Catalog. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA

policies/regulations for competing assistance agreements. For the Recovery Act funding, EPA will award separate cooperative agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Recipients of RLF grants may apply for additional funding on a non-competitive basis during any year after the first year the recipient receives an RLF grant. To seek additional funding, RLF grant recipients should contact their EPA Regional Office. In awarding this additional funding the Agency will consider:(I) the number of sites and number of communities that are addressed by the revolving loan fund;(II) the demand for funding by eligible entities that have not previously received an RLF grant;(III) the demonstrated ability of the eligible entity to use the revolving loan fund to enhance remediation and provide funds on a continuing basis; and (IV) Other similar factors, including the availability of funds and the recipient's performance history. Recipients of assessment and cleanup grants generally do not receive additional funding on a non-competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements are not applicable for brownfield assessment grants. Under CERCLA 104(k)(9)(B)(iii) revolving loan fund and cleanup grants require a 20 percent cost share, which may be in the form of a contribution of money, labor, material, or services, and must be for eligible and allowable costs. An RLF or cleanup grant applicant may request a waiver of the 20 percent cost share requirement based on financial hardship. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The performance period for brownfields assessment and cleanup grant funds is three years. The performance period for brownfields revolving loan fund grants is generally five years. Grants are generally announced nationally and awarded by EPA Regional Offices. The Regional Offices work with the applicants to negotiate a workplan and award the cooperative agreement. See the following for information on how assistance is awarded/released: These grants are generally awarded as a lump sum.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress reports, property profiles, notification of significant development, property inventory reports, procurement reports, a final report and financial reports may be required if authorized by 40 CFR Parts 30 and 31. Quarterly progress reports are generally required as part of the terms and conditions of the cooperative agreement. Expenditure information should be provided in the progress reports. Performance monitoring is in accordance with the terms and conditions of the cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Record Retention Requirements of 40 CFR Part 30 (non-profits and universities) and 40 CFR Part 31 (governmental units) are applicable, depending upon the identity of the recipient and the program funded.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$62,500,000; FY 12 est \$58,900,000; and FY 13 est \$56,800,000

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: (1) For assessment grants, an eligible entity may apply for up to \$200,000 to address sites contaminated by hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum) and up to \$200,000 to address sites contaminated by petroleum; most applicants receive this amount. Applicants may request a waiver of the \$200,000 limit up to \$350,000 for sites contaminated by hazardous substances, pollutants, or contaminants (including hazardous substances co-mingled with petroleum) and up to \$350,000 to address sites contaminated by petroleum. Waiver requests must be based on the anticipated level of contamination, size, or ownership status of the site. These limits are mandatory under CERCLA 104(k)(4)(A). A coalition of eligible entities may apply for up to \$1,000,000 to address sites contaminated by hazardous substances or petroleum on a community-wide basis. (2) For revolving loan fund grants, an eligible entity may apply for up to \$1,000,000 for an initial RLF grant. This limit is mandatory under CERCLA 104(k)(4)(A). In addition, coalitions of eligible entities may apply together under one recipient for up to \$1,000,000 per eligible entity. (3) For cleanup grants, an eligible entity may apply for up to \$200,000 per site. The \$200,000 per site limit is mandatory under CERCLA 104(k)(3)(A). Approximate average financial assistance is \$200,000 for cleanup grants, \$200,000 for assessment grants and \$1 million per entity for revolving loan fund grants.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, 1110 sites have been assessed, 58 properties cleaned up, 3034 jobs leveraged, \$987 million leveraged and 2136 acres ready for reuse. Fiscal Year 2012: As of June 2012, 1,200 sites have been assessed, 120 properties cleaned up, 5,000 jobs leveraged, \$1.2 Billion leveraged and 3,000 acres ready for reuse. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For brownfields assessment, revolving loan fund, and cleanup grants, costs will be determined in accordance with OMB Circular No. A-87 for State, tribal, and local governments or A-122 for nonprofit organizations, and OMB Circular A-21 for universities. Recipients must comply with 40 CFR Part 30 (nonprofit organizations) or 40 CFR Part 31 (governmental entities). The Agency will periodically publish guidance for brownfields grant proposals.

**Regional or Local Office:**

See Regional Agency Offices. Regional Brownfields Coordinators: EPA Region 1, New England, Diane Kelley, One Congress Street (HBT), Boston, MA 02114-2023, Phone (617) 918-1424, Fax (617) 918-1291, kelley.diane@epa.gov; EPA Region 2, Lya Theodoratos, 290 Broadway, 18th Floor, New York, NY 10007, Phone (212) 637-3260, Fax (212) 637-4360, theodoratos.lya@epa.gov; EPA Region 3, Tom Stolle, 1650 Arch Street, Philadelphia, Pennsylvania 19103, Phone (215) 814-3129, Fax (215) 814-5518, stolle.tom@epa.gov; EPA Region 4, Philip Vorsatz, Sam Nunn Atlanta Federal Center, 61 Forsyth Street, Waste Management Division, Brownfields/State Support Section, Atlanta, GA 30303, Phone (404) 562- 8789, Fax (404) 562-8628, vorsatz.philip@epa.gov; EPA Region 5, Deborah Orr, 77 West Jackson Boulevard, Chicago, Illinois 60604-3507, Phone (312) 886-7576, Fax (312) 886-7190, orr.deborah@epa.gov; EPA Region 6, Monica Chapa Smith, First Interstate Bank Tower at Fountain Place, 1445 Ross Avenue, Suite 1200 (6SF-PB), Dallas, Texas 75202-2733, Phone (214) 665-6780, Fax (214) 665-6660, smith.monica@epa.gov; EPA Region 7, Susan Klein, 901 N. 5th Street, Kansas City, Kansas 66101, Phone (913) 551-7786, Fax (913) 551-8688, klein.susan@epa.gov; EPA Region 8, Dan Heffernan, 1595 Wynkoop Street (EPR-B), Denver, Colorado 80202-1129, Phone (303) 312-7074, Fax (303) 312-6067, heffernan.daniel@epa.gov; EPA Region 9, Noemi Emeric-Ford, 600 Wilshire Blvd, Suite 1460, Los Angeles, California 90017, Phone (213)

244-1821, Fax (213) 244-1850, amaro.laurie@epa.gov; EPA Region 10, Susan Morales, 1200 Sixth Avenue, Seattle, Washington 98101, Phone (206) 553-7299, Fax (206) 553-0124, morales.susan@epa.gov.

**Headquarters Office:**

David Lloyd, Office of Brownfields and Land Revitalization, OSWER, EPA, Washington, District of Columbia 20460 Email: Lloyd.DavidR@epa.gov Phone: (202) 566-2777.

**Website Address:**

<http://www.epa.gov/brownfields>.

**RELATED PROGRAMS:**

66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements ; 66.815 Brownfield Job Training Cooperative Agreements; 66.817 State and Tribal Response Program Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Three Examples of Projects that were funded in FY11 are:

(1) \$600,000 for hazardous substances: EPA has selected an organization for three brownfields cleanup grants. Hazardous substances grant funds will be used to clean up 3 sites. The sites are part of a complex developed in the late 1800s for manufacturing watches and clocks. The complex was later used to manufacture tools, plastics, and clothing. The 39 Cherry Street site is contaminated with toluene, volatile and semi-volatile organic compounds, and heavy metals. The 177 Cherry Street and 215 Cherry Street sites are contaminated with PCBs and volatile and semi-volatile organic compounds. Grant funds also will be used to conduct community involvement activities.

(2) Assessment Grant - \$750,000 for hazardous substances; \$250,000 for petroleum: EPA has selected an organization for a brownfields assessment coalition grant. Community-wide hazardous substances and petroleum grant funds will be used to conduct about 12 Phase I and eight to 10 Phase II environmental site assessments. Grant funds also will be used to develop cleanup plans, conduct a brownfields site inventory, and support community involvement activities.

(3) Revolving Loan Fund Grant - \$600,000 for hazardous substances; \$400,000 for petroleum: EPA has selected an organization for a brownfields revolving loan fund grant. The grant will be used to capitalize a revolving loan fund from which will provide loans and subgrants to support cleanup activities for sites contaminated with hazardous substances and petroleum. Grant funds will be used for marketing, management, and community outreach activities. Fiscal Year 2012: Information not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This is a competitive grant program. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Selection criteria will be outlined in the proposal guidelines and will be based on a system that includes the following ten statutory ranking criteria:(i) The extent to which a grant will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse, of an area in which one or more brownfield sites are located.(ii) The potential of the proposed project or the development plan for an area in which one or more brownfield sites are located to stimulate economic development of the area on completion of the cleanup.(iii) The extent to which a grant would address or facilitate the identification and reduction of threats to human health and the environment, including threats in areas in which there is a greater-than-normal incidence of diseases or conditions (including cancer, asthma, or birth defects) that may be associated with exposure to hazardous substances, pollutants, or contaminants.(iv) The extent to which a grant would facilitate the use or reuse of existing infrastructure.(v) The extent to which a grant would facilitate the creation of, preservation of, or addition to a park, a greenway, undeveloped property, recreational property, or other property used for nonprofit purposes.(vi) The extent to which a grant would meet the needs of a community that has an inability to draw on other sources of funding for environmental remediation and subsequent redevelopment of the area in which a brownfield site is located because of the small population or low income of the community.(vii) The extent to which the applicant is eligible for funding

from other sources.(viii) The extent to which a grant will further the fair distribution of funding between urban and nonurban areas.(ix) The extent to which the grant provides for involvement of the local community in the process of making decisions relating to cleanup and future use of a brownfield site.(x) The extent to which a grant would address or facilitate the identification and reduction of threats to the health or welfare of children, pregnant women, minority or low-income communities, or other sensitive populations. In addition, applicants will be required to demonstrate that site specific activities are carried out at sites that meet the definition of a Brownfields site at CERCLA 101(39).

**66.926 INDIAN ENVIRONMENTAL GENERAL ASSISTANCE PROGRAM (GAP)**

(GAP for Tribes)

**FEDERAL AGENCY:**

Office of International and Tribal Affairs, Environmental Protection Agency

**AUTHORIZATION:**

Indian Environmental General Assistance Program Act of 1992, Section 11, Public Law 102-497, 42 U.S.C 4368b.

**OBJECTIVES:**

To provide general assistance program (GAP) grants to Indian tribal governments and intertribal consortia to build capacity to administer environmental regulatory programs on Indian lands, and provide technical assistance from EPA to Indian tribal governments and intertribal consortia in the development of multimedia programs to address environmental issues on Indian lands.

Funding Priority - Fiscal Year 2012: Funding is for the purposes of planning, developing, and establishing the administrative, technical, legal, enforcement, communications, and environmental education and outreach structure of a tribal environmental program. In FY 2012, the goal is to provide access to funding and technical assistance so that approximately 100 percent of the federally-recognized tribal governments and intertribal consortia have at least one person working in their community to build a strong, sustainable environment for the future. The vital work performed includes locally assessing the status of a tribe's environmental condition, utilizing available federal information, building an environmental program tailored to the tribe's needs, developing environmental education programs, developing solid waste management plans, assisting in the building of tribal environmental capacity, and alerting EPA to serious conditions involving immediate public health and ecological health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Activities eligible for funding under this program are those for planning, developing, and establishing capability to implement environmental protection programs including development of solid and hazardous waste programs. General assistance agreements offer the opportunity for a tribe to develop an integrated environmental program, develop the capability to manage specific programs and establish a core program for environmental protection. These assistance agreements provide the opportunity for the tribes to define and develop administrative and legal infrastructures; to conduct assessments, monitoring, planning, and other actions; and to undertake additional activities within a simplified administrative framework. The primary purpose of these assistance agreements is to support the development of elements of a core environmental program, such as: providing for tribal capacity-building to assure an environmental presence for identifying programs and projects, including developing proposals for environmental program grants and managing environmental work; fostering compliance with Federal environmental statutes by developing appropriate tribal environmental programs, ordinances, and services; and establishing a communications capability to work with Federal, State, local and other tribal environmental officials. Restrictions: The principal focus of this program is on the development of general tribal environmental capability. Assistance will be provided under this program only for activities which the agency determines are appropriate to carry out the purposes of the Act. No single grant awarded under this program may be for an amount

exceeding ten percent of the total annual funds appropriated under Section (h) of the Act. As with many of EPA's grants to States and Tribes, GAP grants may now be combined with one or more other EPA grants into a Performance Partnership Grant for administrative savings and, with EPA concurrence, programmatic flexibility. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

The following are eligible to receive financial assistance: (a) An Indian tribal government; and (b) an intertribal consortium or consortia. An Indian tribal government is any tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation (as defined in or established pursuant to the Alaska Native Claims Settlement Act, 43 U.S.C. 1601, et seq.), which is recognized by the U.S. Department of the Interior as eligible for the special services provided by the United States to Indians because of their status as Indians. An intertribal consortium is a partnership between two or more Indian tribal governments authorized by the governing bodies of those tribes to apply for and receive assistance under this program. An intertribal consortium is eligible to receive a GAP grant if the consortium demonstrates that: (1) A majority of its members meets the eligibility requirements for GAP grants; (2) all members that meet the eligibility requirements authorize the consortium to apply for and receive the grant; and (3) only members that meet the eligibility requirements will benefit directly from the grant project and the consortium agrees to a grant condition to that effect. An intertribal consortium must have adequate documentation of the existence of the partnership and the authorization of the member Tribes to apply for and receive assistance. Documentation that demonstrates the existence of the partnership of Indian Tribal governments may consist of Tribal council resolutions, intertribal consortia resolutions in conjunction with a Tribal council resolution from each member Tribe, or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists. Documentation that demonstrates that member Tribes authorize the consortium to apply for and receive assistance may consist of a Tribal council resolution from each Tribe or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that the Tribe authorizes the consortium to apply for and receive the grant on behalf of the Tribe. An intertribal consortium resolution is not adequate documentation of the member Tribes authorization of the consortium unless it includes a written certification from a duly authorized representative of each Tribal government.

**Beneficiary Eligibility:**

Federally Recognized Indian Tribal Governments and eligible Intertribal Consortia.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use the "Application for Federal Assistance: State and Local Non-Construction Programs" (Standard Form 424). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities

under this CFDA.

**Award Procedure:**

Applications are reviewed by the appropriate Regional Office and, if approved, financial assistance is awarded by the Regional Administrator or his/her delegated official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days after deadline for application submission.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

In order to receive renewals, significant progress must be demonstrated. Renewals are subject to approval of EPA. Contact the EPA Regional contact identified in Appendix IV of the Catalog for additional information.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Award amount remains available until expended in accordance with the term of the award. The term of an award may exceed one year, but may not exceed four years. The term of the grant shall be determined at the time of the grant award. See the following for information on how assistance is awarded/released: Other. The method of fund disbursement will be determined at the time of award.

**Reports:**

EPA includes reporting requirements for grants and cooperative agreements in the terms and conditions of the agreements. Specific reporting requirements are also identified in the Grant Regulations at 40 CFR Part 31 and 40 CFR Part 35 (B), "Environmental Program Grants for Tribes." Program reports are required under this program. Cash reports are required under this program. Progress reports are required under this program. Expenditure reports are required under this program. Performance monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate charges to each grant, must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained for three years from the date of submission of the annual financial status report. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0103-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$69,000,000; FY 12 est \$67,631,000; and FY 13 est



\$96,375,000

**Range and Average of Financial Assistance:**

The minimum award for the first year of the grant is \$75,000/fiscal year, max. \$400,000/fiscal year; avg. \$110,000/fiscal year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, GAP funding was provided to over 500 eligible tribal governments and intertribal consortia to continue to develop and expand their environmental management programs and the work initiated in FY 11 and prior years. Project accomplishments included participation in water quality assessment training; participation in watershed management coordination projects, and the assessment of baseline environmental conditions. Fiscal Year 2012: The information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 102-497, Section 11, 42 U.S.C.4368(b), as amended by Public Law 103-155, November 24, 1993. The Agency published a notice for the Final Guidelines on the Award and Management of General Assistance Agreements for Indian Tribes at <http://www.epa.gov/indian/tgrant.htm>.

**Regional or Local Office:**

See Regional Agency Offices. EPA's Regional Indian Coordinators at <http://www.epa.gov/indian/region.htm>; George Frantz, Regional Indian Program Manager EPA Region 1 (CSP), 1 Congress Street, Suite 1100, Boston, MA 02114-2023 T: 617-918-1883/FAX: 617-918-1505/[frantz.george@epa.gov](mailto:frantz.george@epa.gov); Christine Yost, Regional Indian Program Coordinator, USEPA Region 2, 290 Broadway, New York, New York 10007-1866, T: 212-637-3564/FAX: 212-637-3772/[yost.christine@epa.gov](mailto:yost.christine@epa.gov); W. J. (Bill) Patton, Tribal Relations Program Coordinator, USEPA Region 4, Atlanta Federal Center, 61 Forsyth Street, Atlanta, Georgia 30303, T: 404-562-8632/FAX: 404-562-9961/[patton.bill@epa.gov](mailto:patton.bill@epa.gov); Luke Jones, Director, Indian Environmental Office, USEPA Region 5, 77 W. Jackson Boulevard, Chicago, IL 60604-3507, T: 312-353-2087/FAX: 312-353-9533/[jones.luke@epa.gov](mailto:jones.luke@epa.gov); Randy Gee, Acting Tribal Affairs Team Leader and Regional Indian Coordinator Office of Environmental Justice and Tribal Affairs, USEPA Region 6, 1445 Ross Ave. (6RA-DT, Dallas, TX 75202 T: 214-665-8355/FAX: 214-665-6648/[gee.randy@epa.gov](mailto:gee.randy@epa.gov); Wolfgang Brandner, Region 7 Tribal Program Coordinator, USEPA Region 7, PLMG/POIS, 901 N. 5th Street, Kansas City, KS 66101, T: 913-551-7381/FAX: 913-551-7053/[brandner.wolfgang@epa.gov](mailto:brandner.wolfgang@epa.gov); Alfreda Mitre, Tribal Assistance Program Director, EPA Region 8 Tribal Assistance Program Mail Code 8P-TA, 1595 Wynkoop Street, Denver, Colorado 80202-1129 T: 303-312-6343/FAX: 303-312-6116/[mitre.alfreda@epa.gov](mailto:mitre.alfreda@epa.gov); Jean Gamache, Tribal Program Manager, USEPA Region 9 (CMD-3), 75 Hawthorne Street, San Francisco, CA 94105, T: 415-972-3554/[gamache.jean@epa.gov](mailto:gamache.jean@epa.gov); Sally Thomas, Manager, Tribal Trust and Assistance Unit, USEPA Region 10, 1200 Sixth Ave., Seattle, WA 98101 T: 206-553-2102/FAX: 206-553-0151/[thomas.sally@epa.gov](mailto:thomas.sally@epa.gov).

**Headquarters Office:**

Luke Jones American Indian Environmental Office (2690 M) U.S. Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: [jones.luke@epa.gov](mailto:jones.luke@epa.gov) Phone: (202) 564-4013

**Website Address:**

<http://www.epa.gov/indian/contactinfo/regcontacts.htm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of past funded projects include: establishment of a water quality assessment program; an environmental assessment inventory; establishment of an environmental code; establishment of a multi-media program to address water quality, air quality, safe drinking water, solid waste, hazardous waste and pesticides; establishment of a management plan with emphasis on wastewater sludge reclamation and tire recovery; and establishment of a program to address underground storage tanks, SARA Title III, and radon. Fiscal Year 2012: The information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are approved by the individual EPA Regional offices according to the applicant's ability to achieve objectives outlined in Public Law 102-497, Section 11, the interim final regulation for programs implementation in the Federal Register on December 2, 1993, 40 CFR Part 35, Indian Tribes; and the Final Guidelines on the Award and Management of General Assistance Agreements for Indian Tribes. Proposals should contain schedules for progress reports that will contribute towards development of environmental management capacity building; provide for an on-going coordination and problem resolution; and show an adequate ability to meet the proposed objectives, record keeping, and reporting requirements.

**66.931 INTERNATIONAL FINANCIAL ASSISTANCE PROJECTS SPONSORED BY THE OFFICE OF INTERNATIONAL AND TRIBAL AFFAIRS**

**FEDERAL AGENCY:**

Office of International and Tribal Affairs, Environmental Protection Agency

**AUTHORIZATION:**

Clean Air Act, Section 103, Public Law 95-95, 42 U.S.C 7401; Solid Waste Disposal Act, Section 8001; National Environmental Policy Act, Section 102(2)(F); Marine Protection, Research and Sanctuaries Act of 1972, Section 203; Clean Water Act, Section 104, Public Law 95-217, 33 U.S.C 1251; Toxic Substances Control Act, Section 10, Public Law 94-469, 15 U.S.C 2601; Safe Drinking Water Act, Section 1442(a)&(c), Public Law 93-523; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, Public Law 92-516, 7 U.S.C 136.

**OBJECTIVES:**

To protect human health and the environment while advancing U.S. national interests through international environmental collaboration. This mission is supported by these strategic objectives: 1) Reducing Exposure to Toxic Chemicals; 2) Improving Air Quality; 3) Cleaning Up Electronic Waste (E-Waste); 4) Combating Climate Change by Limiting Pollutants; 5) Expanding access to Clean Water; and 6) Building Strong Environmental Institutions and Legal Structures.

Funding Priority - Fiscal Year 2012: EPA Safeguards air, water, and land for all Americans. International capacity-building plays a key role in protecting human health, communities and the environment by providing technical cooperation to help countries reduce air pollution, better manage air quality global climates, reduce the global use and emission of mercury, manage drinking & surface water quality, and provide technical assistance to restore the land and mitigate sources of land pollution. OITA will work to transfer appropriate air management tools and techniques to key countries and regions as we collaborate with partners to improve air quality. In addition, we will continue efforts to reduce global sources of persistent bioaccumulative toxins. Long-range and transboundary atmospheric transport and deposition of such toxics as Mercury, Persistent Organic Pollutants (POPs) such as polychlorinated biphenyls (PCBs), pesticides, dioxins, and furans continue to threaten human health and ecosystems. OITA will continue to promote the development of activities for managing drinking and surface water quality and provide technical cooperation, expertise, and assistance to help communities and countries preserve and restore the land and to mitigate sources of land pollution.

OITA plays a key role in ensuring trade-related activities sustain environmental protection. Initiatives relating to environmental trade and investment are carried out bilaterally, multilaterally or in connection with multilateral institutions such as the World Trade Organization (WTO), World Bank, European Union (EU), or Asia-Pacific Economic Cooperation Forum (APEC). Also, OITA will support protection of human health and ecosystem for North America through the United States participation in the North American Agreement on Environmental Cooperation and through leadership in the Commission on Environmental Cooperation (CEC), the Organization for Economic Cooperation and Development (OECD), and other international entities. EPA will provide targeted capacity building support under the environmental cooperation agreements developed parallel to U.S. free trade agreements.

U.S.-Mexico Border (to sustain and restore community health and preserve the ecological systems that support them) program is implemented in partnership

with the ten Border States and the government of Mexico with its corresponding states and tribes. It addresses the Agency's major themes of clean air, clean water, and clean land. The key areas of focus for the Border 2012 Program include improving water quality in the region; improving availability of low sulfur diesel fuel on the border; the stabilization of abandoned hazardous waste sites; removal of used tire piles along the U.S.-Mexico Border; defining baseline and alternative scenarios for air emissions reductions along the border region; and binational emergency preparedness drills and exercises at border sister cities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Discretionary funds are available for the awards under this program. Grants and cooperative agreements are available to support recipients' allowable direct cost expenditures incident to approved project plus allocable portions of allowable indirect costs of the institution, in accordance with established EPA policy, 40 CFR parts 30 and 31. Funding awarded for international research under these projects does not include research within the purview of EPA's Office of Research and Development. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications proposing projects with significant technical merit and relevance to EPA's Office of International Affairs' mission. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

States and local governments, territories and possessions, foreign governments, international organizations, Indian Tribes, and possessions of the U.S., including the District of Columbia, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions.

**Credentials/Documentation:**

Office of International and Tribal Affairs (OITA) may require applicants to submit documentation of non-profit status. OITA may request applicants to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. OITA may also ask applicants or principal investigators to provide curriculum vitae and relevant publications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 and A-110 must be used for this program. EPA requires final applications to be made on Standard Form 424. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA. Under EPA Order No. 5700.5A1, Policy for Competition in Assistance Agreements (9/12/02), Assistance awards to Foreign Governments and to United Nations agencies and similar International Organizations, such as the Organization of American States and Organization for Economic Cooperation and Development (OECD), may be exempted from competition at the discretion of OITA. For competitive awards, Requests for Initial Proposals or Requests for Applications will specify application procedures.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. For non-competitive awards, OITA will conduct an administrative evaluation to determine the adequacy of the application in relation to grant regulations and to technical and program evaluation to determine the merit and relevance of the project. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. A standard grant application should be prepared and submitted as a new grant, which will be reviewed in the same manner as the original application and will compete for available funds. Generally, EPA incrementally funds grants and cooperative agreements. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to OITA's priorities, and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

EPA normally funds grants and cooperative agreements on a 12-month basis. However, EPA can negotiate the project period with each applicant based on project requirements. EPA limits project periods to 5 years. Payments will be on an advance letter of credit or reimbursement basis; recipient must request the initial advance payment on SF 270, Request for Advance or Reimbursement. See the following for information on how assistance is awarded/released:  
Assistance is awarded by project.

**Reports:**

No program reports are required. No cash reports are required. Reporting requirements are identified at 40 CFR Parts 30 and 31. EPA may include additional information regarding the content and frequency of reporting requirements in the terms and conditions of the agreements. Progress reports are required under this program. Expenditure Reports are required under this program. Performance Monitoring is required under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

The record retention requirements of 40 CFR Part 30 (non-profits and universities) or 40 CFR Part 31 (governmental units) are applicable depending upon the identity of the recipient. Financial records, including all documents to support entries on accounting records and to substantiate changes to each grant must be kept available to personnel authorized to examine EPA grant accounts. All records must be maintained until expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as a result of audit, related records must be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$3,000,000; FY 12 est \$3,000,000; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

Range: \$15,000 - \$300,000; Average: FY 2010 \$200,000, FY 2011 \$200,000 and FY 2012 est. \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Some examples of OITA accomplishments: OITA funded several international assistance agreement projects during FY 2011, for the protection of human health and the environment in support of goal 4: 1) EPA initiated a partnership with the United Nations University through an assistance agreement that will advance efforts to address problems related to electronic waste that is leaving developed countries and causing negative effects on human health and the environment primarily in developing countries. 2) EPA awarded an assistance agreement to improve urban air quality management in Central America and the Dominican Republic through enhanced knowledge of air quality management, information and programs. 3) EPA awarded an assistance agreement to fund a global initiative promoting cleaner fuels and vehicles in developing and transitioning countries. 4) EPA awarded an assistance agreement to provide support in efforts to develop and undertake scientific, technical and administrative activities needed to implement programs, partnerships and/or projects called for by the UNEP Governing Council, and to provide support for the effective functioning of multilateral environmental agreements, whose secretariats are administered by UNEP. Fiscal Year 2012: The information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These grants and cooperative agreements are subject to EPA's General Grant Regulations (40 CFR Part 30 and 40 CFR Part 31). Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and Indian Tribes, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit institutions.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Paul Trevino Office of International Affairs, USEPA, 1200 Pennsylvania Ave., N.W., Washington, District of Columbia 20460 Email: trevino.paul@epa.gov Phone: (202) 564-1627

**Website Address:**

<http://www.epa.gov/oia/>

**RELATED PROGRAMS:**

66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special

Purpose Activities Relating to the Clean Air Act; 66.469 Great Lakes Program; 66.609 Protection of Children and Older Adults (Elderly) from Environmental Health Risks; 66.808 Solid Waste Management Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of OITA awarded international projects were to assist in: 1) "Promoting Environmentally Sound management Worldwide"; 2) "Clearing-House/Partnership-Clean Fuels"; 3) "Urban Air Quality Program in Central America"; and 4) "Collaboration/Electronics and Sustainable Production". Fiscal Year 2012: The information for FY 2012 is not yet available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.950 NATIONAL ENVIRONMENTAL EDUCATION TRAINING PROGRAM**

Teacher Training Program

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Education Act, Section 5, Public Law 101-619.

**OBJECTIVES:**

To train educational professionals in the development and delivery of environmental education programs. As required by Public Law 101-619, funds are provided to universities, non-profit organizations, or a consortia of such institutions to deliver environmental education training and support for education professionals.

EPA awards only one cooperative agreement to a university, non-profit organization, or a consortia to operate the program on a multi-year basis. The current cooperative agreement is to be operated from October 1, 2010 through September 30, 2015. The training and support must be provided for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials. The training program must provide training and support for both formal and non-formal educators, occur in both pre-service and in-service settings, and reach geographically and culturally diverse audiences across the U.S. The outputs should include: delivering in-service and pre-service educator training, promoting the national environmental education guidelines, supporting state capacity building, developing and institutionalizing a materials review process, supporting the accreditation of teachers, supporting state educator certification efforts, and supporting internet access to information and materials.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used to establish an education and training program which shall include, at a minimum: (1) classroom training in environmental education and studies including environmental sciences and theory, educational methods and practices, environmental career or occupational education, and topical environmental issues and problems; (2) demonstrations of the design and conduct of environmental field studies and assessments; (3) development of environmental education programs and curricula, including programs and curricula to meet the needs of diverse ethnic and cultural groups; (4) sponsorship and management of international exchanges of teachers and other educational professionals between the United States, Canada, and Mexico involved in environmental programs and issues; (5) maintenance or support of a library of environmental education materials, information, literature, and technologies, with electronic as well as hard copy accessibility; (6) evaluation and dissemination of environmental education materials, training methods, and related programs; (7) sponsorship of conferences, seminars, and related forums

for the advancement and development of environmental education and training curricula and materials, including international conferences, seminars, and forums; (8) supporting effective partnerships, networks, and the use of distant learning technologies; and (9) such other activities as the Administrator determines to be consistent with the policies of the Act. No funds made available for this program shall be used for the acquisition of real property (including buildings) or the construction or substantial modification of any building. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website:  
<http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is available to universities, non-profit organizations, or a consortia of such institutions to deliver environmental education training and support for education professionals. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy.

**Beneficiary Eligibility:**

Education (0-8), education (9-12), education (13+), nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants may be requested to demonstrate they have appropriate background, academic training, experience in the field, and necessary equipment to carry out projects. The Office of Environmental Education may ask applicants or principal investigators to provide curriculum vitae and relevant publications. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

A solicitation notice is issued for this program once every five years. The notice identifies the application process. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The solicitation notice which described the application procedure for the training program that will operate from 10/1/10 through 9/30/15, subject to the availability of funds, was posted on <http://www.grants.gov> in late Spring 2010. The solicitation notice previous to that one was issued March 18, 2005. The solicitation process for this program is conducted every five years. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

This program is subject to the provisions of OMB Circular No. A-110. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

It can take up to a year from time of application submission to award of an assistance agreement. The last award was made in early summer 2011 (for the solicitation published in Spring 2010). The next date that a solicitation notice for this program is anticipated to be published is in the Spring of 2015.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Generally, EPA incrementally funds grants and cooperative agreements for surveys, studies, and investigations. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to the Environmental Education Division's program priorities, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In accordance with the National Environmental Education Act (Public Law 101-619), federal funds for any project under this section shall not exceed 75 percent of the total cost of such project. The project has a 25 percent non-federal match required by statutory formula. For the purposes of this section, the non-Federal share of project costs may be provided by cash or by in-kind contributions and other non-cash support.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The training program consists of an initial one year budget and project period subject to annual supplemental funding agreements for up to five years. See the following for information on how assistance is awarded/released: This program operates on a five year basis. Funds are initially awarded for a one year project period. Subsequent supplemental funding awards on an annual basis for the next four years.

**Reports:**

No program reports are required. No cash reports are required. The grantee must submit bi-annual and final progress reports. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of 3 years from the date of submission of the final expenditure report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,259,500; FY 12 est \$2,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

This is a 5-year program, one recipient is selected every 5 years. The project is funded on an annual basis and the amount of the annual funding depends on Congressional appropriation. The range and average financial assistance for the full 5-year project period is approximately \$8.5 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1) Six webinars for educators focused on the "Guidelines for Excellence" series. 2) Three state consortia developed statewide strategic diversity plans. 3) Five day national professional development workshop held with 55 participants from various state consortia. 4) Leaders from NAAEE affiliates trained at annual conference to incorporate diversity training more broadly in their environmental education certification programs. 5) Two online courses reached 50 educators. 6) 500,000 visitors accessed EELinked resources, some newly developed as specialized networks for research and planning, and 5,000 EE professionals used EELinked interactive and personalized features. 7) Launched EE Capacity website. Fiscal Year 2012: Work Plan for 2012 is in progress. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 30, 31, 32, 33, 45, 47; program guidance; Federal Register (Invitation for Pre-proposal, July 2, 1991); Public Law 101-619.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog.

**Headquarters Office:**

Javier Araujo Office of Environmental Education, (1704A), Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: araujo.javier@epa.gov Phone: (202) 564-2642

**Website Address:**

<http://www.epa.gov/enviroed>

**RELATED PROGRAMS:**

66.951 Environmental Education Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: One cooperative agreement is funded every five years. The current cooperative agreement is entitled EE Capacity and focuses on environmental education activities such as training for in-service and pre-service educators; promotion of the national environmental education guidelines; support for state capacity building; the development of a materials review process; support for accreditation efforts at universities; support for state educator certification programs; support for internet access to information and materials; and support for the agency's overarching strategy of expanding the conversation on environmentalism by diversifying the population of teachers and students participating in environmental education. Fiscal Year 2012: One cooperative agreement is funded every five years. The current cooperative agreement is entitled EE Capacity and focuses on environmental education activities such as training for in-service and pre-service educators; promotion of the national environmental education guidelines; support for state capacity building; the development of a materials review process; support for accreditation efforts at universities; support for state educator certification programs; support for internet access to information and materials; and support for the agency's overarching strategy of expanding the conversation on environmentalism by diversifying the population of teachers and students participating in environmental education. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priorities for selecting proposals are listed in Section 5 of Public Law 101-619, National Environmental Education Act. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.951 ENVIRONMENTAL EDUCATION GRANTS**

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

National Environmental Education Act, Section 6, Public Law 101-619.

**OBJECTIVES:**

The Environmental Education Grants Program supports projects to design, demonstrate, and/or disseminate practices, methods, or techniques related to environmental education and teacher training. As required by Public Law 101-619, this grant program provides financial support for environmental education projects implemented by schools, universities, state and local government environmental and educational agencies, tribal education agencies, and nonprofit 501 (c)(3) organizations that increase public awareness and knowledge about environmental issues and provide the skills that participants in its funded projects need to make informed environmental decisions and take responsible actions toward the environment.

Funding Priority - Fiscal Year 2012: In FY 2012 there will be one award made per region in the EE Sub-Award program in order to fulfill the part of the National Environmental Education Act that requires 25% of the grants budget be spent on small grants of \$5000 or less. There will also be a regional grants program; the priorities and direction of that program are being determined.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Grant funds shall be used to establish an education program which shall include, at a minimum: (1) design, demonstration, or dissemination of environmental curricula and materials on specific topics for which there are no existing materials; (2) design and demonstration of field methods, practices, and techniques, including review of environmental and ecological conditions and analysis of environmental and pollution problems; (3) projects to understand and evaluate a specific environmental issue or a specific environmental problem; (4) provision of training or related education for teachers, faculty, or related personnel in a specific geographic area or region; and (5) design and demonstration of projects to foster international cooperation in addressing environmental issues and problems involving the United States and Canada or Mexico. Priority will be given to those projects which will develop: (a) a new or significantly improved environmental education practice, method, or technique; (b) an environmental education method which may have wide application; (c) an environmental education method which addresses skills or scientific fields identified as a priority in the report developed by the National Environmental Education Advisory Council; and (d) an environmental education project which addresses an environmental issue which, in the judgment of the Administrator, is of a high priority. More specific priorities are listed above under Objectives and are specified in the annual Solicitation Notice. Restrictions: No funds made available for this program shall be used for technical training of environmental management professionals; for advocacy or lobbying; for acquisition of real property (including buildings); or the construction or substantial modification of any building. Assistance agreement awards under this program may involve or relate to geospatial information. Further information regarding geospatial information may be obtained by viewing the following website: <http://geodata.epa.gov>.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Assistance under this program is generally available to local education agencies, colleges and universities, state education and environmental agencies, nonprofit organizations described in Section 501(c)(3) of the Internal Revenue Service, and noncommercial educational broadcasting entities as defined and licensed by the Federal Communications Commission. Applicant organizations must be located in the United States or territories and the majority of the educational activities must take place in the United States, Canada, or Mexico. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition

Policy.

**Beneficiary Eligibility:**

Education (0-8), education (9-12), education (13+), nonprofit institutions.

**Credentials/Documentation:**

Documentation of nonprofit status may be required. Applicants must demonstrate that they have appropriate background, academic training, and experience in the field, and may be asked to demonstrate the necessary equipment or facilities to carry out the project. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The annual solicitation notice for proposals and grant writing tips are available on the Agency's website listed below. Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are accepted for one or two solicitations on an annual grant cycle and are due at the deadline(s) stated below. Applicants submit an application package in the format required in the annual Solicitation Notice(s). Applicants submit an application package to the appropriate EPA Regional Grants Management Offices depending on where the project activities will take place. Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA, or they may submit applications and attachments on paper via mail or delivery services.

**Award Procedure:**

Applications for assistance agreements are to be submitted to and evaluated by the appropriate EPA Regional Offices based on where the proposed project will take place. For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements. The Agency will then advise the applicant if funding is being considered. A final work plan will then be negotiated with the applicant. All awards are competed through the annual announcement(s) and no proposals are awarded non-competitively.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

None. Grants proposals are solicited and evaluated annually on a competitive basis. Therefore, applicants should not plan for renewals.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In accordance with the National Environmental Education Act (Public Law 101-619), federal funds for any project under this section shall not exceed 75 percent of the total cost of such project. The project has a 25 percent non-federal match required by statutory formula. For the purposes of this section, the non-federal share of project costs may be provided by cash or by in-kind contributions and other non-cash support.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The majority of the grants awarded in this program have been completed in a one-year project period. However, up to two year project periods are possible depending upon the nature and complexity of the project. Activities must be completed within the time frame of the budget period. Two or more concurrent grants to the same organization for the same project are not allowed in this program. Grants may be incrementally or fully funded. This determination is made by the EPA. See the following for information on how assistance is awarded/released: As requested by the grantee periodically.

**Reports:**

No program reports are required. No cash reports are required. Recipients of grants are expected to submit progress reports on at least a semi-annual basis. Final reports and two copies of all grants products are due within 90 days of the close of the budget period. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer and the Grants Specialist may occur each year.

**Records:**

Financial records, including all documents to support entries on accounting records and to substantiate changes to each assistance agreement, must be kept available to personnel authorized to examine EPA assistance accounts. All records must be maintained until the expiration of three years from the date of submission of the final expenditure report. If questions still remain, such as those raised as the result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$3,475,000; FY 12 est \$3,660,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range in past years was \$5,000 to \$200,000 per grant. In FY 2011 the range was \$15,000 to \$100,000 per grant under one RFP, and about \$150,000 per grant under a separate RFP. Average financial assistance: Regional grants averaged around \$50,000 each in 2011, and about \$150,000 per grant per Region in a new subgrant program. In 2012, the subgrant program awarded one grant in each region for about \$150,000 in late spring, and a new regional grant program is anticipated to award one grant in each region for about \$200,000 during the winter of 2012/2013.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011 the range of grants awarded under the Regional EE Grants Program was \$15,000 to \$100,000 per grant (for an average of about \$50,000 each), and about \$150,000 per grant under the EE Sub-Grants Program. The EE Sub-Grants Program was new in FY2011 and fulfilled a goal of awarding 25% of the annual grant budget to projects of \$5000 or less. The Regional Grant Program received about 900 applications and awarded 89 grants. The Sub-Grant Program received about 50 applications and awarded 10 grants. Fiscal Year 2012: So far in FY 2012, 10 grants have been awarded in the EE Sub-Award Program from a pool of approximately 40 applications. A Request for Proposals will be issued in August 2012, from which it is anticipated that 10 awards will be made from a pool of at least 100 applications. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Parts 7, 12, 30, 31, 32 Subpart F, 33, 47; Public Law 101-619, and the Office of Environmental Education annual Grant Program Solicitation Notice(s).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate EPA Regional Office listed in Appendix IV of the Catalog and on the website [www.epa.gov/enviroed/grants](http://www.epa.gov/enviroed/grants).

**Headquarters Office:**

Karen Scott, Environmental Education Grant Program 1704A), Environmental Protection Agency, 1200 Pennsylvania Ave., NW, Washington, District of Columbia 20460 Email: [scott.karen@epa.gov](mailto:scott.karen@epa.gov) Phone: (202) 564-2194.

**Website Address:**

<http://www.epa.gov/enviroed>

**RELATED PROGRAMS:**

66.950 Environmental Education and Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Several projects focused on building capacity in states to coordinate environmental education across formal and non-formal venues in order to ensure quality programs and consistency of content.

A couple projects focused on developing environmental literacy plans in states in order to standardize expectations and content in formal environmental education programs.

Most of the rest of the projects funded in 2011 focused on developing and disseminating environmental education programs and materials; providing opportunities for teacher training in environmental education best practices; providing students in formal and non-formal settings with experiential, place-based, service-learning projects on environmental topics; or providing community-based environmental education to encourage sustainable living and environmental stewardship. Fiscal Year 2012: No awards have been made in FY 2012 as of this point in time. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Basis and priorities for selecting proposals are listed in Section 6 of Public Law 101-619, National Environmental Education Act, and in the annual Solicitation Notice which can be accessed at [www.epa.gov/enviroed](http://www.epa.gov/enviroed) on the internet. The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement.

**66.952 NATIONAL NETWORK FOR ENVIRONMENTAL MANAGEMENT STUDIES FELLOWSHIP PROGRAM**

(NNEMS Fellowship Program)

**FEDERAL AGENCY:**

Office of the Administrator, Environmental Protection Agency

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act, Section 311, 42 U.S.C 9660; National Environmental Education Act, Section 7, Public Law 101-619; Clean Water Act, Section 104(b)(5)&(g)3B, 33 U.S.C 1254(b)(5)&g3B; Safe Drinking Water Act, Section 1442, 42 U.S.C 300j-1; Toxic Substances Control Act, Section 10, 15 U.S.C 2609; Solid Waste Disposal Act, Section 8001, 42 U.S.C 6981; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, 7 U.S.C 136r; Clean Air Act, Section 103(b)(5), 42 U.S.C 7403(b)(5).

**OBJECTIVES:**

To provide students an opportunity to participate in a research project that is directly related to their field of study. To foster a growing interest among higher education students in environmental careers. To help defray the costs associated with the pursuit of academic programs related to the field of environmental protection, such as pollution control, science, engineering, technology, social science, and specialty areas.

Funding Priority - Fiscal Year 2012: The funding priorities for FY 2012 are to support research projects in the following categories: 1) Environmental Policy, Regulation and Law, 2) Environmental Management and Administration; 3) Environmental Science; and 4) Public Relations and Communications.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The funds are to provide resources to allow for training and research fellowships relating to environmental issues. No matching funds are required.

Grant recipients and sub-recipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or government-owned vehicles, or while driving privately-owned vehicles when on official government business or when performing any work for or on behalf of the government. Grant recipients and sub-recipients are encouraged to conduct initiatives of the type described in section 3(a) of the Federal Leadership on Reducing Text Messaging While Driving Executive Order that was signed on October 1, 2009.

**Applicant Eligibility:**

Applicant Eligibility: A NNEMS Fellowship is available to any associate, undergraduate, graduate, or advanced student who meets the general criteria listed below, as well as those identified for associate, undergraduate, graduate and advanced students. At a minimum, all applicants must be: 1) A citizen of the United States, its territories or possessions, or lawfully admitted to the United States for permanent residency. 2) Enrolled for academic credit at a college or university, or distance-learning institution accredited by a regional or national accrediting organization recognized by the United States Department of Education or the Council for Higher Education Accreditation. Associate and Undergraduate Students: Students attending 2- or 4-year institutions or distance learning institutions must meet the following requirements: 1) 3.0 cumulative grade point average (GPA) based on a scale of 4.0 at the time that the application is due. 2) Completion of at least four courses related to the field of environmental studies. Graduate and Advanced Students: Students enrolled in graduate or doctoral programs must meet the following requirements: 1) Currently enrolled in a graduate or Ph.D. program or can provide proof of acceptance and enrollment to a graduate or Ph.D. program at the time of fellowship award. 2) Completion of at least one semester of graduate or Ph.D. work, or at least four undergraduate courses related to the field of environmental studies. For certain competitive funding opportunities under this CFDA description, the Agency may limit eligibility to compete to a number or subset of eligible applicants consistent with the Agency's Assistance Agreement Competition Policy. Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR 3629,3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Beneficiary Eligibility:**

Any student from a 2 or 4 year college or university that meets the criteria of the program.

**Credentials/Documentation:**

Students are required to submit an official transcript from each 2- or 4-year college or university, or distance learning institution attended. A student must submit verification of acceptance and/or enrollment in a graduate or Ph.D. program if the applicant is a graduating senior. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Regarding pre-application/pre-proposal assistance with respect to competitive funding opportunities under this program description, EPA will generally specify the nature of the pre-application/pre-proposal assistance, if any, that will be available to applicants in the competitive announcement. For additional information, contact the individual(s) listed as "Information Contacts" or see Appendix IV of the Catalog. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Students who are interested in applying for a NNEMS fellowship must submit three complete application packages (one original and two copies) that include: 1) A completed NNEMS application, 2) SF 424, 3) A resume, 4) A completed NNEMS reference form, 5) A completed NNEMS Disclosure and Waiver Statement, 6) Verification of acceptance and/or enrollment in a graduate or

Ph.D. program if the applicant is a graduating senior, and 7) An official transcript for each 2- or 4-year college or university, or distance learning institution attended. Official transcripts should be opened and photocopied as two copies of the transcript are required for each complete application. NNEMS application forms can be obtained on our web site at: [www.epa.gov/enviroed](http://www.epa.gov/enviroed). Applicants must submit their completed application package to: NNEMS Fellowship Program, Tetra Tech EM Inc., 1881 Campus Commons Drive, Suite 200, Reston, VA 20191. Students selected for a NNEMS Fellowship must fill out a Fellowship Application (EPA Form 5770-2) and a Fellowship Facilities and Commitment Statement (EPA Form 5770-3). Applicants may be able to use <http://www.grants.gov> to electronically apply for certain grant opportunities under this CFDA.

**Award Procedure:**

For competitive awards, EPA will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the competitive announcement. Competitions will be conducted in accordance with EPA policies/regulations for competing assistance agreements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005). Copies of these procedures may also be requested by contacting the individual(s) listed as "Information Contacts." Disputes relating to matters other than the competitive selection of recipients will be resolved under 40 CFR 30.63 or 40 CFR 31.70, as applicable.

**Renewals:**

Grants are solicited through competitions and are not renewed.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

NNEMS Fellowships are generally awarded for three months full-time and up to three years part-time. Students receive payment in the form of a stipend typically paid in equal monthly payments throughout the duration of the fellowship period. See the following for information on how assistance is awarded/released: Stipends are awarded according to Project Officer's disbursement plan.

**Reports:**

Reporting requirements will be stated in the Terms and Conditions of the official grant award documents. Recipients must submit original final reports to the EPA Project Officer. The final report should be submitted on the last day of the fellowship. Unless directed otherwise by the EPA Project Officer, the final report should summarize the specific project undertaken by the student and the project results. Program reports are required. No cash reports are required. Progress reports are required per the NNEMS post award monitoring plan provided by the project officer. No expenditure reports are required. Performance monitoring is required per the NNEMS post award monitoring plan posted by each project officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspections and audits by the Comptroller General of the United States, the EPA Office of Inspector General, other EPA staff, or any authorized representative of the Federal government. Reviews by the EPA Project Officer

and the Grants Specialist may occur each year.

**Records:**

Pursuant to 40 CFR Part 46- Fellowships, Subpart E-46.230, Closeout Procedures: NNEMS Fellows must retain all records related to the fellowship for 3 years following the completion date identified on the Completion of Studies Notice. The EPA, the Inspector General, and the Comptroller General of the United States, and any duly authorized representatives have the right of timely and unrestricted access to a student's documents, papers, or other records related to a fellowship in order to make audits, examinations, excerpts, transcripts, and copies of such documents. The rights of access in this paragraph are not limited to the required retention period but shall last as long as those records are retained.

**Account Identification:**

68-0108-0-1-304.

**Obligations:**

(Project Grants) FY 11 \$133,520; FY 12 est \$132,518; and FY 13 est \$100,000

**Range and Average of Financial Assistance:**

Recipients of NNEMS fellowships receive a grant award in the form of a stipend, based on the student's level of education and the duration and location of the project. Grant awards range from approximately \$7,400.00 to \$12,600.00 per award for a 3-month, full-time period. The average award is for approximately \$12,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For FY 2011, 9 applicants received a NNEMS fellowship.  
Fiscal Year 2012: For FY 2012, 6 students received a NNEMS fellowship.  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

40 CFR Part 46-Fellowships and 40 CFR Part 30-General Regulations for Assistance Programs.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Ginger Potter, Office of Environmental Education MC1703A), Environmental Protection Agency, 1200 Pennsylvania Avenue, NW, Washington, District of Columbia 20460 Email: [potter.ginger@epa.gov](mailto:potter.ginger@epa.gov) Phone: (202) 564-0453.

**Website Address:**

<http://www.epa.gov/enviroed/>

**RELATED PROGRAMS:**

66.509 Science To Achieve Results (STAR) Research Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Project: As states, local agencies, and tribes move forward to develop and implement programs to improve air quality and address climate change, it is important to have a good understanding of the interactions among global climate, air quality, and regional climate. Tropospheric ozone, black carbon, and sulfates are strongly linked to both climate and air quality. Knowledge of the linkages between climate and air quality will help develop effective programs to further improve air quality, while also addressing impacts of these programs on climate change. The fellow selected for this project will design and implement a research project involving linkages between climate and air quality and related policy issues. Relevant policy questions that may be of interest include: (1) how might air quality management strategies be adapted in a changing climate? (2) what effect will air quality programs in the United States have on the climate? (3) what opportunities are there to devise and implement strategies that improve both climate and public health? (4) how can capacity for integrated climate and air quality assessments be improved (such as air quality, economic, health, and ecological), especially in light of differences in temporal and geographic scales between greenhouse gases and traditional air pollution? (5) what are the health and climate impacts of fine particle emissions from residential cook stoves, brick kilns, and other emissions sources in developing countries? and (6) what are the impacts on Arctic warming from black carbon and ozone precursor emissions in the United States?

The fellow will meet with experts across EPA (including the Office of Air and



Radiation and the Office of Research and Development), government, and in academia to gather relevant peer-reviewed data and literature and to conduct policy-relevant analysis.

**Project:** As part of EPA's National Air Toxics Assessment (NATA) activities, EPA conducts national-scale assessments. In early 2011, the Agency is expected to release the NATA representative of emissions for the year 2005. NATA helps evaluate potential human health risks from breathing air toxics across the United States. It is widely published and quoted as one of the premier source of air toxic concentrations and risks nationwide. The next NATA will focus on 2008 emissions and is now in the planning stages.

The fellow will work with the EPA risks assessment team in many stages of planning and development of the 2008 NATA. The fellow will research the allocation of mobile and nonpoint source emissions from a county inventory to a more refined modeling level, such as census tract, roadway segment, or other appropriate geographic scale. The fellow will review the allocation approach utilized in previous analyses and will be expected to review current databases and GIS techniques that can be used to allocate the emissions.

**Project:** The purpose of the project is to use database tools, such as Microsoft (MS) Access and MS Excel, as well as the reporting features of the Emission Inventory System (EIS), a data system which houses the National Emissions Inventory (NEI) data, to develop analyses on point source data. One area of potential analysis involves comparison of NEI facility data to data collected as part of regulation development. The data collected as part of regulation development are not included in EIS; these data are often stored in MS Access or Excel. One use of rule development data comparisons is to analyze and improve regulatory codes in the NEI. For example, the fellow may use the Boiler MACT rule development Excel database to review regulatory codes in EIS for units subject to the Boiler MACT rule.

The fellow may also conduct general data analyses of emissions data in an effort to conduct estimates from specific source categories. An example of such data analysis would be comparisons of organic compound (OC), part of fine particulate emissions, by source category to ambient OC data that has been apportioned to sources using receptor modeling studies. Fiscal Year 2012: Environmental Policy, Regulation and Law

#### 1)Project Overview:

The national ambient air quality standards (NAAQS) for criteria pollutants are reviewed every 5 years. If a NAAQS is revised, areas of the United States in violation of the revised NAAQS must be identified through a process called air quality designations. The NAAQS for several pollutants including ozone, lead, nitrogen dioxide and sulfur dioxide have recently been revised. Under this project, the fellow will conduct research on U.S. air pollutants and pollution issues, as well as the activities undertaken by EPA and state and local air pollution agencies to manage air quality to achieve national standards. The fellow also will work with OAQPS staff as they plan and produce outreach and communications materials on air quality designations for state and local air pollution.

#### Project Goals:

The fellow will increase his or her knowledge of air pollution issues and activities undertaken by the EPA and state and local air pollution agencies to manage air quality to achieve national standards. When the project is complete, the fellow will have accomplished one or more of the following: (1) analyzed air pollutant issues in local areas, (2) researched designation activities to reduce air pollution, and (3) developed skills needed to advance program guidance and implementation for local application.

#### 2)Project Overview:

Tribal governments often have difficulty applying national, general guidance to their particular situation. To enhance capacity building on tribal lands, it is necessary to develop more specific documents that illustrate tribal issues and concerns. The fellow selected will conduct research on U.S. air pollutants and

pollution issues, as well as the activities undertaken by the EPA and state, tribal, and local air pollution agencies to manage air quality and implement national standards on tribal lands. The fellow also will research program-specific outreach and communications guidance for tribal programs.

#### Project Goals:

The fellow can expect to increase his or her knowledge of criteria and air toxics pollutant control, policy analysis, the community tribal program and the federal regulatory process. When the project is complete, the fellow will have accomplished one or more of the following: (1) analyzed air pollutant issues in local areas, (2) reviewed implementation activities to reduce air pollution, and (3) developed skills needed to advance program guidance and implementation for local application.

#### Environmental Management and Administration

#### 3)Project Overview:

The fellow will support the Waste Materials Management and Stewardship Team in its mission to support more sustainable use of materials and waste management in the Pacific Northwest and Alaska. The fellow will work with members of the team to integrate materials management into climate change discussion, policies and programs. For example, the fellow will work with the team as it develops resources and tools to promote sustainability, recycling and green building practices. The fellow will develop case studies, research best practices and participate in a web-based educational series on effective sustainability, recycling and green building practices and programs. In addition, the fellow will meet with state, local and tribal partners to research how these improved environmental practices have been integrated into their businesses. Finally, the fellow will support development of product stewardship initiatives and implementation of climate actions into federal facilities.

#### Project Goals:

The fellow will gain understanding in a new and exciting area of work sustainable materials management. The fellow will understand the impact of materials management on our climate footprint and will be able to translate that understanding into effective communications.

#### Environmental Science

#### 4)Project Overview:

Green Infrastructure (GI) and Low Impact Development (LID) approaches are increasingly being used as Best Management Practices (BMP) in attempts to regulate hydrology, manage water quantity and quality, and offset ecological impacts of urbanization and land use change. GI and LID include methods such as swales, detention ponds, green roofs, riparian buffers, rain gardens and constructed wetlands. Water quality managers require science-based assistance for making management decisions because there may be considerable variability in benefits associated with these approaches.

Under this project, the fellow will research and prepare a decision support tool for urban watershed planning that will prioritize the selection and location of effective GI and LID approaches intended to improve water quality and quantity in urban watersheds. The ultimate objective of this decision support tool is to provide a systematic mechanism that will improve the cost effectiveness of siting and implementing GI- and LID-based management approaches.

The fellow will take a hierarchical approach to the project, including: (1) identifying and synthesizing land use data and city engineering plans for a city of interest that will form a case study for proof of principle; (2) creating maps and geographic information system (GIS) layers to display city infrastructure, roads, residential and commercial construction, streams, green space, and other features, and developing criteria for selection of GI and LID based on hydrology and nutrient removal effectiveness as reported in the literature; (4) developing decision mechanisms such as if-then statements, decision trees, and

neural networks or algorithms designed to systematically and automatically select sites with best potential for GI or LID implementation; and (5) testing the decision tool and assessing sensitivity by ground-truthing selected sites. The fellow should expect an iterative approach for developing the decision support tool and will work with EPA staff throughout the development process.

#### Project Goals:

The fellow will conduct cutting-edge research into the land use science and ecology of urban streams and the effects of ecosystem restoration by applying GI or LID methods. The fellow will be mentored by EPA scientists and academic researchers in an apprenticeship context. The primary goals of the project are for the fellow to explore the feasibility of creating sustainable, urban ecosystems and to develop an understanding of the growing field of urban ecology, planning and design. The fellow will receive training by leading researchers that will augment his or her current graduate program.

#### Public Relations and Communications

##### 5)Project Overview:

The Community Involvement Program seeks to build capacity in communities so that citizens may effectively participate in the Superfund process. Building capacity in communities may focus on technical assistance or on providing communities the opportunity to form advisory groups to discuss site activities and resolve issues.

In addition, the Community Involvement and Program Initiatives Branch works to establish dialogue with members of the public on critical issues facing communities near Superfund sites. During this project, the fellow will become familiar with the Superfund process and learn how public participation processes are implemented during cleanups.

The specific project will depend on the emerging issues at the time of application and selection. Students applying for this fellowship must have good writing skills and be able to perform basic research, critical analysis and synthesis of information from multiple sources. In addition, the students should have knowledge of community involvement and conflict resolution.

#### Project Goals:

The fellow will learn critical issues facing a government agency as it seeks to involve the public in decision making. In addition, the fellow will learn to analyze emerging issues and topics and work with EPA staff in developing strategies for managing the issues and topics. Fiscal Year 2013: No Current Data Available

#### CRITERIA FOR SELECTING PROPOSALS:

The evaluation and selection criteria for competitive awards under this CFDA description will be described in the competitive announcement. Applicants must meet all of the basic eligibility requirements. Eligible applications then will be reviewed by panels comprised of EPA staff members. Applications will be evaluated based on the following criteria: 1) relevancy of classroom experience of the student as it relates to the EPA research project, 2) the student's understanding of the proposed EPA research project subject matter, 3) relevancy of work experience of the student (whether volunteer activities, internships, or paid jobs) as it relates to the EPA research project, 4) relevancy of the student's academic studies as it relates to the EPA research project, 5) leadership skills, written communication skills, and demonstrated success at working well in an office, laboratory, or field environment, as appropriate to the project, and 6) potential for success, as reflected by academic records, letters of reference, and other relevant information. Applications that are scored highly by the panels of reviewers are sent to NNEMS staff and EPA project officers for selection consideration.

### NUCLEAR REGULATORY COMMISSION

#### 77.006 U. S. NUCLEAR REGULATORY COMMISSION NUCLEAR EDUCATION GRANT PROGRAM

Nuclear Education Grant Program - Curricula Development

#### FEDERAL AGENCY:

Nuclear Regulatory Commission

#### AUTHORIZATION:

The Energy Policy Act of 2005, Section 651(c)(1), Public Law 109-58, 119 Stat. 801, 42 U.S.C 2051.

#### OBJECTIVES:

To provide assistance to accredited U.S. colleges and universities in support of courses, studies, training, curricula, and disciplines relevant to nuclear safety, nuclear security, nuclear environmental protection, or any other field that the Commission determines to be critical to its regulatory mission..

#### TYPES OF ASSISTANCE:

PROJECT GRANTS

#### USES AND USE RESTRICTIONS:

Financial support in whole or in part may be provided for such purposes as the salaries, materials and supplies, equipment, limited travel, publication costs and services required for conducting the curricula development related activities. Restrictions on use of funds are specified in the funding opportunity announcement or the award document. Funding is provided for the purpose of improving or supporting curricula that does not necessarily duplicate work already in process or contemplated by NRC, is not already known to NRC, or has previously unrecognized merit.

#### Applicant Eligibility:

Applicants must be a U.S. public or private institution of higher education, accredited by the U.S. Department of Education.

#### Beneficiary Eligibility:

Accredited U.S. public or private institutions of higher education will benefit.

#### Credentials/Documentation:

Administration and cost will be determined in accordance with guidance in 2 CFR 215 and 2 CFR 220, respectively, for institutions of higher education. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Apply using the electronic application package required in the Funding Opportunity Announcement (FOA). Responding to a FOA ensures that the correct application package is used and enables NRC to receive the application from Grants.gov.

\*NOTE: FOA is Grants.gov's terminology for what NRC refers to as Program Announcement (PA), Agency Announcement (AA) or Funding Notice (FN).

#### Award Procedure:

Applications are screened for compliance with the FOA, reviewed for relevance, scientific and technical merit by qualified individuals based on a set of criteria stated in the FOA. Recommendations for award are made by the review panel via the U. S. Nuclear Regulatory Commission Office of the Chief Human Capital Officer, and the selected applications are forwarded to the U.S. Nuclear Regulatory Commission, Office of Administration, Division of Contracts, for grant negotiation and award.

#### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### Range of Approval/Disapproval Time:

From 120 to 180 days. Contact information can be found in the Funding Opportunity Announcement (FOA).

#### Appeals:

Not Applicable.

#### Renewals:

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Matching is not required but encouraged.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of performance for grants are normally up to 2 years and cannot exceed 3 years; intervals are determined at the time of award. Funds must be expended by the recipient organization within the project period of performance or as specified in the award. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. The semi-annual progress report (reported on SF-PPR, SF-PPR-B, and SF PPR-E) requirements will be stipulated in the terms of award in compliance with 2 CFR 215.51. The Recipient must submit a "Federal Financial Report" (SF-425) at intervals specified in the award to the Grants Officer and Program Office in compliance with 2 CFR 215.52. Performance monitoring is conducted by NRC staff as stipulated in the terms of award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients must comply with 2 CFR 215.53, "Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Project Grants) FY 11 \$4,600,000; FY 12 est \$4,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Award amounts range from \$45,000.00 to \$301,000.00 in FY 2011 with an average of \$148,000.00 for up to two years of financial assistance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 U.S.C. 2051(b); 2 CFR 215 and 220. Technical and administrative information for this program are available at <http://www.nrc.gov/about-nrc/grants.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanya Parwani-Jaimes 11555 Rockville Pike,  
Mail Stop: W5-A6  
, Rockville, Maryland 20852 Email: [tanya.parwani-jaimes@nrc.gov](mailto:tanya.parwani-jaimes@nrc.gov) Phone: 301-492-2308

**Website Address:**

<http://www.nrc.gov>

**RELATED PROGRAMS:**

77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: For prior year NRC grant awards, please click on the following link: <http://www.nrc.gov/about-nrc/grants/awards.html>. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria, including exclusions as stated in the funding opportunity announcement, for support is based on the soundness of the proposed approach including objectives, methodology, plan of operation, timetable, expected products and results, evaluation, and dissemination plans. The applicant's capability to perform the project is assessed to the degree that the project will strengthen its teaching capacity; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives.

**77.008 U.S. NUCLEAR REGULATORY COMMISSION SCHOLARSHIP AND FELLOWSHIP PROGRAM**

NRC Scholarship/Fellowship and Faculty Development Program

**FEDERAL AGENCY:**

Nuclear Regulatory Commission

**AUTHORIZATION:**

Energy Policy Act of 2005.

, Public Law 109-58, 119 Stat. 801, 42 U.S.C 2051.

**OBJECTIVES:**

This Scholarship and Fellowship program provides funding for undergraduate scholarships, graduate fellowships, trade school and community college scholarships. In addition, faculty development grants are funded under this authority as explained below. The program allows students to pursue an education in science, engineering, or another field of study that the Commission determines is in a critical skill area related to its regulatory mission. The trade school and community college scholarship program supports certificates or Associate degrees in crafts/disciplines necessary for developing and maintaining a nuclear workforce.

This activity is intended to benefit the nuclear industry broadly. NRC requires scholarship and fellowship students to serve not less than 1 time and not more than 3 times the period for which the assistance was provided in nuclear-related employment. However, the NRC may establish criteria for the partial or total waiver or suspension of any obligation of service or payment incurred by a student. The employment may be with the NRC, other Federal agencies, State agencies, nuclear-related industry, or academia in the students sponsored fields of study. Recipients of scholarship and fellowships must commit to the service obligation agreement.

The program also supports faculty development in the nuclear-related fields of Nuclear Engineering, Health Physics, Radiochemistry and related disciplines as determined by the NRC. The program specifically targets probationary, tenure-track faculty in these academic areas during the first 6 years of their career.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides funding to accredited post-secondary schools and institutions of higher education to provide scholarships, fellowships, and stipends to develop a cadre of professionals, and a workforce capable of supporting the design, construction, operation, and regulation of nuclear facilities and the safe handling of nuclear materials. Faculty development grants provide support for developing applications for research, small amounts for initiating or continuing research projects in their areas of expertise, and expenses associated with an institutions faculty development plan.

Funds are managed by the awardee institution. Primary responsibility for general supervision of all grant activities rests with the grantee institution. Funds may not be used for purposes other than those specified in the award. Fellowships, scholarship and stipends are paid to the students and fellows directly through his/her institution. Scholarship and fellowship recipients are required to comply with a service obligation agreement for a period of 6 months for every year or partial year of support received.

**Applicant Eligibility:**

Applicants must be a U.S. public or private institutions of higher education, accredited by the U.S. Department of Education.

**Beneficiary Eligibility:**

Individual Recipients must be undergraduate and graduate students of accredited U.S. public or private institutions of higher education. Candidates for the Faculty Development program are targeted for probationary, tenure-track faculty in nuclear related fields during the first 6 years of their career. All recipients must be U.S. citizens or noncitizen national of the U.S. or have been lawfully admitted to the U.S. for permanent residence.

**Credentials/Documentation:**

Administration and cost will be determined in accordance with guidance in 2 CFR 215 and 2 CFR 220, respectively, for institutions of higher education. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Apply using the electronic application package required in the Funding Opportunity Announcement (FOA). Responding to a FOA ensures that the correct application package is used and enables NRC to receive the application from Grants.gov.

\*NOTE: FOA is Grants.gov's terminology for what NRC refers to as Program Announcement (PA), Agency Announcement (AA) or Funding Notice (FN).

**Award Procedure:**

Applications are processed by the assigned staff and approved by the NRC, based on a set of criteria established by the NRC, as stated in the Funding Opportunity Announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Contact information can be found in the Funding Opportunity Announcement (FOA).

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for project grants shall be between 1 and 4 years (depending on the program); intervals are determined at the time of award. Funds must be expended within the active period of performance. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual progress reports (reported on SF-PPR, SF-PPR-B, and SF-PPR-E) and final report requirements will be stipulated in the terms of award in compliance with 2 CFR 215.51. The recipient shall submit a "Federal Financial Report," SF-425 at intervals specified in the terms of award in compliance with 2 CFR 215.52. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees must comply with 2 CFR 215.53, "Retention and Access Requirements for Records."

**Account Identification:**

31-0200-0-1-276.

**Obligations:**

(Project Grants) FY 11 \$5,000,000; FY 12 est \$15,000,000; and FY 13 Estimate Not Available - Funds availability are subject to annual appropriations.

**Range and Average of Financial Assistance:**

FY 10, \$15 million; FY 11, \$5,000,000; and FY 12 and FY 13, est \$15 million - Funds availability are subject to annual appropriations.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Reports, brochures, guidelines, and frequently asked questions are available at <http://www.nrc.gov/about-nrc/grants.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nancy Hebron-Isreal 11555 Rockville Pike  
Mail Stop: W5-A6, Rockville, Maryland 20852 Email:  
[nancy.hebron-isreal@nrc.gov](mailto:nancy.hebron-isreal@nrc.gov) Phone: 301-492-2231

**Website Address:**

<http://www.nrc.gov>

**RELATED PROGRAMS:**

77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: For examples of prior year grant awards, click on the following link: <http://www.nrc.gov/about-nrc/grants/awards.html>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Capacity and ability of the institution to effectively conduct the program. Number and quality of students that will be served by the program. Justification for number of students served and amount of stipend and scholarship support. Quality and feasibility of recruitment and marketing strategies. Quality of technical programs for scholarship or fellowship programs. Type of student support, i.e. mentoring or advisor assistance feasibility and completeness of an evaluation plan that will measure the effectiveness of the scholarship or fellowship program Institutional support for the program and the extent to which the institution is committed to making the program an organizational focus. Plans for sustainability. Additional merit review considerations apply. See the selection criteria as stated in the funding opportunity announcement.

**DEPARTMENT OF ENERGY****81.022 LABORATORY EQUIPMENT DONATION PROGRAM**

(Used Equipment Grants)  
(LEDP)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, Section 31(a) and (b), as amended, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

To assist United States institutions of higher education in equipping their

science and engineering laboratories for energy-related research and/or instructional purposes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Used energy-related laboratory equipment is granted to nonprofit educational institutions of higher learning for use in energy-oriented research or instructional programs in the life, physical, and environmental sciences and engineering. The donated equipment must remain in the United States. The donated equipment must not be sold or placed on eBay for sale.

**Applicant Eligibility:**

Nonprofit educational institutions of higher learning, such as universities, colleges, junior colleges, hospitals, and technical institutes or museums located in the United States and interested in establishing or upgrading energy oriented educational and research programs in the life, physical, and environmental sciences and engineering may apply. All LEDP program applicants are required to provide a statement that validates their capabilities to use the requested scientific equipment. The program reserves the right to deny an applicants' request if it appears that the applicants' ability to successfully use the equipment is lacking.

**Beneficiary Eligibility:**

Nonprofit institutions of higher education benefit.

**Credentials/Documentation:**

Institutions complete the on-line application. This application includes: (1) Identification of institution and school and/or department where equipment would be used; (2) the objectives to be met through use of the equipment; (3) a detailed listing of the equipment requested; (4) a brief description of energy-oriented course offerings and numbers of graduate and undergraduate students enrolled; (5) data on qualifications of faculty members to make effective use of the equipment; (6) reference to any prior grant for equipment (financial or otherwise) to the same or to a related department; (7) the name and title of the person preparing the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of eligible institutions should contact Department of Energy (DOE) Laboratory Equipment Donation Program (LEDP) web site located at: <http://www.osti.gov/ledp/index.jsp>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The guideline and application are on the website. The application will be automatically submitted to the appropriate DOE field office via electronic mail.

**Award Procedure:**

Award is on basis of first-received, first- qualified proposal.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. From 30 days.

**Appeals:**

From 1 to 15 days. A written appeal must be submitted within 15 days after a freeze is placed on an item.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not Applicable. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

At the end of the first year of use, institution must report on the manner in which equipment was used in establishment, expansion, or enhancement of energy research and/or energy related courses. Cash reports are not applicable. At the end of the first year of use, institution must report on the manner in which equipment was used in establishment, expansion, or enhancement of energy research and/or energy related courses. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits are performed on a selective basis.

**Records:**

Donor Equipment Award Information, and item ID Number.

**Account Identification:**

89-0222-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$100; FY 12 est \$100; and FY 13 est \$100

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The LEDP program will accomplish its goal of seeing more colleges, universities, and other nonprofit educational institutions of higher learning in the United States with an increase of better performance of important research. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: 25.000.000.00.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The "Laboratory Equipment Donation Program (LEDP) Guidelines" are available via the Internet at <http://www.osti.gov/ledp/index.jsp>. The grantee must not sell or place DOE donated equipment on eBay for sale.

**Regional or Local Office:**

None.

**Headquarters Office:**

Vera A. O'Connor 1000 Independence Ave., SW  
, Washington, District of Columbia 20585 Email:  
[vera.oconnor@science.doe.gov](mailto:vera.oconnor@science.doe.gov) Phone: (202) 586-9742 Fax: (202) 586-0019.

**Website Address:**

<http://www.osti.gov/ledp/index.jsp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.036 INVENTIONS AND INNOVATIONS**

(I&I)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Federal Nonnuclear Energy Research and Development Act of 1974, Section 14, Public Law 577-93, 88 Stat. 1894, 42 U.S.C 5913; Department of Energy Organization Act of 1977, Public Law 95-91, 42 U.S.C 7101.

**OBJECTIVES:**

To encourage the development and commercialization of energy-saving inventions by providing financial and technical assistance to projects that have a potential for significant energy savings and future commercialization markets through a competitive solicitation process.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The assistance provides financial assistance for research and development of innovative, energy-saving ideas and invention. Inventions and Innovations support energy efficiency and renewable energy technology development in focus areas that align with the Office of Energy Efficiency and Renewable Energy programs. Further Program information can be found at <http://www.eere.energy.gov/inventions>.

**Applicant Eligibility:**

Individuals that are U.S. citizens, either native-born or naturalized, small businesses that are U.S. owned as defined in 10 CFR 600.501.

**Beneficiary Eligibility:**

Individual inventors and small businesses will benefit.

**Credentials/Documentation:**

This Program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Only proposals prepared in response to the requirements contained in the annual competitive solicitation will be accepted. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>.

**Award Procedure:**

Imported Data is accurate.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Unsuccessful applicants are entitled to a debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Cost sharing is not required however cost sharing is highly encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods range from 1 to 2 years. See the following for information on how assistance is awarded/released: Funds awarded are subject to Congressional Appropriation.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

Access to process implementation and efficiency data must be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology.

**Account Identification:**

89-0203-0-1-270.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$1,970,000; FY 12 est \$240,000; and

FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$500,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No awards Planned through the Golden Field Office. Awards issued through Office of Science. Fiscal Year 2012: No awards Planned through the Golden Field Office. Awards issued through Office of Science. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: DOE Financial Assistance Regulations 10 CFR 600; <http://www.eere.energy.gov>

**Regional or Local Office:**

None. EERE Information Center (877) 337-3463.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Uniqueness, technical feasibility, marketability, energy relationship (including energy savings).

**81.041 STATE ENERGY PROGRAM**

SEP

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

National Energy Conservation Policy Act of 1978, Public Law 95-619 and Public Law 101-440; Department of Energy Organization Act of 1977, Public Law 95-91, 42 U.S.C. 7101; Energy Policy and Conservation Act, Public Law 94-163, 42 U.S.C. 6321-6326; Balanced Budget Down Payment Act II of 1996, Public Law 104-134. ; American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

The program provides financial and technical assistance to State governments to create and implement a variety of energy efficiency and conservation projects in order to provide leadership to maximize the benefits of energy efficiency and renewable energy through communications and outreach activities, technology deployment, and accessing new partnerships and resources across the geographic panorama of the United States and its territories. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To reduce the total energy use of the eligible entities; and
- \* To improve energy efficiency in the transportation, building, and other sectors.

**TYPES OF ASSISTANCE:**

Dissemination of Technical Information; Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Grants are to be used by States for the development, implementation, or modification of State plans submitted to and approved by DOE. To be eligible for Federal assistance, each State plan must contain the five program activities required by the Energy Policy and Conservation Act, Public Law 94-163; and may also include a wide range of optional activities.

A wide variety of activities are eligible for use of the grant funds including:

- \* Developing/implementing an energy efficiency and conservation strategy and retaining technical consultant services to assist in the development of such a strategy.

- \* Conducting residential and commercial building energy audits.
- \* Establishing financial incentive programs for energy efficiency improvements (e.g., loan programs, rebate programs, waive permit fees.)
- \* Providing grants to nonprofit organizations to perform energy efficiency retrofits.
- \* Developing/implementing programs to conserve energy used in transportation (e.g., flex time by employees, satellite work centers, promotion of zoning requirements that promote energy efficient development, transportation infrastructure: bike lanes/pathways, pedestrian walkways, and synchronized traffic signals).
- \* Developing and implementing building codes and inspection services to promote building energy efficiency.
- \* Implementing energy distribution technologies.
- \* Developing public education programs to increase participation and efficiency rates for recycling programs.
- \* Purchasing/implementing technologies to reduce and capture methane and other greenhouse gases generated by landfills or similar sources.
- \* Installing light emitting diodes (LEDs).
- \* Developing, implementing, and installing renewable energy technologies on or in any government building.
- \* Any other activity as determined by the Secretary of Energy in consultation with the Secretaries of Transportation and Housing and Urban Development and the Administrator of the Environmental Protection Agency. Funds cannot be used for the purchase of land, buildings or any interest therein; construction of buildings or structures; research, development or demonstration of non-commercially available technology; or subsidies of public transportation, fares, utility rate demonstrations or State tax credits for energy conservation.

**Applicant Eligibility:**

All States plus the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

The ultimate potential beneficiaries will be the people affected by the plan each State develops. This is anticipated to be the State's population.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. Only one application from each State, however a separate application is required for ARRA funds; compliance with State and local environmental statutes and regulations. Costs will be determined in accordance with 10 CFR Part 600 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. A copy of the final State plan must accompany the grant application from the State. Consultation and assistance will be available from the DOE in the preparation of the application. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States submit applications and plans (or amendment to plans) in response to 10 CFR 420.

Applicants must register with FedConnect to submit their application. FedConnect website: [www.fedconnect.net](http://www.fedconnect.net)

The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding

opportunity announcement.

Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>

**Award Procedure:**

Grant applications will be reviewed by DOE Office of Energy Efficiency and Renewable Energy personnel. Grant procedures are in accordance with Federal government regulations. Notification of grant awards will be issued by a DOE Procurement Office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds. Assistance will be provided from sums appropriated for any fiscal year only upon annual application.

**Formula and Matching Requirements:**

Statutory Formula: Title 10 Vol 3, Chapter II, Part 420, Subpart B Section 420.11, Public Law Energy Policy and Conservation Act 42 USC 6321 et seq. Matching Requirements: Percent: 20.%. There is a 20 percent match requirement for the SEP, however leveraging of funds on the part of the recipient is encouraged. This requirement is waived for ARRA funding. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Authorized funding is established by ECPA, NECPA, ESA and ARRA. Funds awarded annually are subject to Congressional appropriation, with no restriction on spending period, except ARRA requires all funds be spent within 36 months of award. Funds are released through the Electronic Transfer System. Annual budget periods are set by each grantee within parameters established by DOE. See the following for information on how assistance is awarded/released: See award procedures above.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and financial status reports are required along with a final report at the end of the project. Quarterly financial status reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133.

In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

In accordance with 10 CFR 600.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Formula Grants) FY 11 \$38,982,551; FY 12 est \$21,875,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$1-\$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Advance policies, programs, and market strategies that accelerate job creation and reduce energy bills, while achieving energy and climate security for the nation. Fiscal Year 2012: Advance policies, programs, and market strategies that accelerate job creation and reduce energy bills, while achieving energy and climate security for the nation. Fiscal Year 2013:

Advance policies, programs, and market strategies that accelerate job creation and reduce energy bills, while achieving energy and climate security for the nation.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009 and 10CFR 420.

**Regional or Local Office:**

None. EERE Information Center, (877) 337-3463.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: james.cash@go.doe.gov Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.042 Weatherization Assistance for Low-Income Persons; 81.119 State Energy Program Special Projects; 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: State Energy Program Strengthening Building Retrofit Markets and Stimulating Energy Efficiency Action. Fiscal Year 2012: State Energy Program Strengthening Building Retrofit Markets and Stimulating Energy Efficiency Action. Fiscal Year 2013: State Energy Program Strengthening Building Retrofit Markets and Stimulating Energy Efficiency Action.

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. In addition, each State energy conservation plan must contain the five program activities required by the Energy Policy and Conservation Act, Public Law 94-163, and may also contain a wide range of optional activities.

**81.042 WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS**

WAP

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009; Title IV, Energy Conservation and Production Act; 10 CFR Part 440 ; Energy Policy Act of 2005; Energy Independence and Security Act of 2007; 10 CFR Part 600.

**OBJECTIVES:**

To improve home energy efficiency for low-income families through the most cost-effective measures possible. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities; and
- \* To reduce the total energy use of the eligible units while ensuring their health and safety.

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Improvement of the thermal efficiency and cooling of dwellings by the installation of weatherization materials such as attic insulation, caulking,

weather-stripping, furnace efficiency modifications, certain mechanical measures to heating and cooling systems, and replacement furnaces, boilers, and air-conditioners. Grantees may average expenditures per dwelling unit for materials, program support and labor costs not to exceed an average per unit of \$6,500 adjusted annually for inflation. Up to 10 percent of each grant may be spent by a Grantee and its subgrantees for administrative expenses ( in the Formula Grants a Grantee may not use more than 5 percent of the total State grant for such purposes).

**Applicant Eligibility:**

States, including the District of Columbia, and in certain instances, Native American tribal organizations. In the event a State does not apply, a unit of general purpose local government, or community action agencies and/or other nonprofit agencies within that State becomes eligible to apply.

**Beneficiary Eligibility:**

All low-income households are eligible to receive weatherization assistance. A low-income household is one whose combined income falls at or below 200 percent of the poverty level determined by the Office of Management and Budget's poverty income guidelines or the basis on which Federal, State, or local cash assistance payments have been made. A State may also elect to make all homes eligible under the HHS Low-income Home Energy Assistance Program (LIHEAP) eligible for weatherization assistance and may use either 150 percent of poverty or 60 percent of State median income.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. The Department of Energy (DOE) requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Rules available at 10 CFR Section 440 et al and from DOE offices. For Formula Grants, Governors or their designated agencies must apply for grants to the appropriate DOE office and submit State Plans and applications pursuant to State applications at 10 CFR part 440.12. Any household at or below 200% of poverty, per the modified statute, is considered low-income. About 15 million of all eligible households are good candidates for Weatherization. Priority service is given to the elderly, people with disabilities, and families with children. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. A copy of the final State plan must accompany the grant application from the State. Consultation and assistance will be available from the DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State applications for the WAP Program must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at <http://www.fedconnect.net>

Application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

It is the responsibility of the applicant to verify successful transmission.

ARRA Applications will be reviewed and awarded in accordance with the final 2009 Recovery Act Formula Allocations, set forth in the Weatherization Assistance Program Notice 09-1B

**Award Procedure:**

Formula Grants: States and tribes will submit applications for available allocation. Grant applications will be reviewed by DOE Office of Energy



Efficiency and Renewable Energy (EERE) personnel. Grant procedures will be in accordance with Federal government regulations. Notification of grant awards will be issued DOE Procurement Office and/or EERE personnel serving the applicant State. Project Grants: Evaluations will be conducted by an independent merit review committee and federal employees. Final decisions to approve are made by ASEE, Program Manager and/or Designee. DOE Field Offices are then instructed to negotiate and prepare the grant award documents.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**Appeals:**

As required under 42 U.S.C. 6861 et al and 10 CFR Section 440.

**Renewals:**

Renewals are subject to review by the DOE EERE Project Management Center and the headquarters program office and subject to the availability of funds. Financial assistance will be provided from sums appropriated for any fiscal year only upon annual application.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Authorized funding is established by ECPA, NECPA and ESA. See the following for information on how assistance is awarded/released: No information was provided.

**Reports:**

No program reports are required. Cash reports are not applicable. Quarterly progress and financial status reports are required along with a final report at the end of the project. Quarterly financial reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR Part 600 and 10 CFR Part 440.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants) FY 11 \$171,620,827; FY 12 est \$50,225,920; and FY 13 Estimate Not Available - 3 Billion in FY09 funding was appropriated under the American Recovery and Reinvestment Act of 2009.

**Range and Average of Financial Assistance:**

\$2,500 to \$6,500 per dwelling unit.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Over 500,000 Weatherized between January 2009 and February 2011. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. Weatherization Assistance guidelines published June 1, 1977. Amendments to guidelines published January 2, 1979, August 29, 1979, February 27, 1980, June 1, 1981, March 1, 1982, January 27, 1984, January 4, 1985, December 5, 1985, March 4 1993,

June 5, 1995, and December 8, 2000.

**Regional or Local Office:**

None. EERE Information Center, (877) 337-3463.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.119 State Energy Program Special Projects; 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG)

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Weatherization Assistance for Low-Income Persons (WAP) weatherization services consist of cost-effective energy efficiency measures for existing residential and multifamily housing with low-income residents. Under this definition, it includes a wide variety of energy efficiency measures that encompass the building envelope, its heating and cooling systems, its electrical system, and electricity consuming appliances.

WAP serves low-income families free of charge and limits the amount of money that can be spent on any single residence as determined by federal rules. (The average expenditure is \$6,500.) As a result, only the most cost-effective measures are included in the upgrade of a particular home.

Weatherization services typically include an energy assessment of the building, followed by long term measures that will reduce energy use and ensure occupant safety. Funding to States and US Territories are allocated on a formula basis using three factors: low-income population, climatic conditions, and residential energy expenditures by low-income households. Fiscal Year 2012: The Weatherization Assistance for Low-Income Persons (WAP) weatherization services consist of cost-effective energy efficiency measures for existing residential and multifamily housing with low-income residents. Under this definition, it includes a wide variety of energy efficiency measures that encompass the building envelope, its heating and cooling systems, its electrical system, and electricity consuming appliances.

WAP serves low-income families free of charge and limits the amount of money that can be spent on any single residence as determined by federal rules. (The average expenditure is \$6,500.) As a result, only the most cost-effective measures are included in the upgrade of a particular home.

Weatherization services typically include an energy assessment of the building, followed by long term measures that will reduce energy use and ensure occupant safety. Funding to States and US Territories are allocated on a formula basis using three factors: low-income population, climatic conditions, and residential energy expenditures by low-income households. Fiscal Year 2013: As the Weatherization Assistance for Low-Income Persons (WAP) weatherization services awards are formula type grants, it is projected that the WAP program awards will continue to serve the same population and be of roughly the same dollar value in the 2013 Federal Fiscal Year.

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009. DOE requires that grantees meet certain statutory and administrative requirements which can be found in the Weatherization Program Guidelines at <http://apps1.eere.energy.gov/weatherization/>.

**81.064 OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION (OSTI)**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Policy Act of 2005 (Public Law 109-58), Section 982, Department of Energy Organization Act of 1977 (Public Law 95-91), Energy Reorganization Act of 1974 (Public Law 93-438), Atomic Energy Acts of 1946 (Public Law

79-585) and 1954, as amended (Public Law 83-703), America COMPETES Act of 2007 (Public Law 110-69), Section 1009 and Section 3191, Public Law 109-58, 42 U.S.C 5916, 7112.

**OBJECTIVES:**

To advance science and sustain technological creativity by making research and development (R&D) results available, findable and useable to the Department of Energy (DOE) researchers and the public. To collect, preserve, disseminate, and leverage the scientific and technical information (STI) resources of DOE in order to provide access to national and global STI for use by DOE, the scientific research community, academia, US industry, and the public to expand the knowledge base of science and technology. To acquire domestic and international information of interest to DOE and the scientific community through partnerships with U.S. agencies and over 120 countries and international organizations.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION

**USES AND USE RESTRICTIONS:**

The scientific and technical information (STI) produced through DOE and its predecessor agencies includes information from the broad range of science disciplines of interest to the Energy Department mission. OSTI is the sole source of specialized collections containing results of closed-out DOE R&D projects. OSTI provides information services to DOE and DOE contractor organizations and makes Energy Department information publicly available through a suite of OSTI web tools and services. Most information services are provided electronically through databases and full-text compilations at no cost. Some collections result from partnerships with other national and international governmental agencies.

**Applicant Eligibility:**

State and local governments and universities that are DOE contractors are provided electronic access to Energy Department information in specific areas of concern. Energy information exchange agreements may be made with non-DOE affiliates, universities and other organizations involved in energy-related research. Public access to R&D documents is also available through the National Technical Information Service (NTIS) and the Government Printing Office (GPO).

**Beneficiary Eligibility:**

DOE federal employees and contractors are primary beneficiaries of DOE STI collections in their specific areas of concern. Although most web-based collections are available to the general public through official government outlets, limited-access databases contain information restricted by international exchange agreements or other access restrictions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. By written or telephone inquiry to the information contacts shown below.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

89-0230-0-1-270.

**Obligations:**

(Salaries) FY 11 \$9,432,000; FY 12 est \$8,200,000; and FY 13 est \$8,900,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeffrey Given 1 Science.gov Way, Oak Ridge, Tennessee 37830 Email: givenj@osti.gov Phone: 865-576-1146

**Website Address:**

<http://www.osti.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.079 REGIONAL BIOMASS ENERGY PROGRAMS**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Act of 1977, Public Law 91-95; Water Development Appropriations Act, Public Law 500-99.

**OBJECTIVES:**

Help meet the President's goal of significantly increasing America's use of fuels, chemicals, materials, and power made from domestic biomass on a sustainable basis. This is a Congressionally-directed project. Funding is not available to the general public.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be used to develop and transfer any of several biomass energy technologies to the scientific and industrial communities. For regional programs, such technologies will be appropriate for the needs and resources of particular regions of the United States.

**Applicant Eligibility:**

Profit organizations; private nonprofit institutions/organizations; intrastate, interstate, State and local government agencies, and universities may apply.

**Beneficiary Eligibility:**

Profit organizations; private nonprofit institutions/organizations; intrastate, interstate, State and local government agencies, universities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This is a Congressionally-directed program. Application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement. Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>. It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

Varies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Varies.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Renewals are subject to review by the headquarters program office and subject to the availability for funds.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Cost sharing is not required however cost sharing is strongly encouraged. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies. See the following for information on how assistance is awarded/released: Awards are executed by DOE EERE Golden Field Office.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133, (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 Estimate Not Available - This is a Congressionally directed program. FY2013 budget is unconfirmed at this time however will be updated upon confirmation.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://management.energy.gov/policy\\_guidance.htm](http://management.energy.gov/policy_guidance.htm)

**Regional or Local Office:**

None. EERE Information Center, (877) 337-3463.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a Congressionally-directed program. Merit of the proposal is determined by: (1) Technical relevance to program objectives; (2) potential contribution of the feedstock or conversion process to the energy needs of the region; (3) environmental and employment considerations; and (4) amount of cost-sharing by recipient.

**81.086 CONSERVATION RESEARCH AND DEVELOPMENT**

(Conservation)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; American Recovery and Reinvestment Act of 2009; Department of Energy Organization Act of 1977, as amended; Public Law 95-911 and Public Law 97-377.

**OBJECTIVES:**

To conduct a balanced, long-term research effort in Buildings Technologies, Industrial Technologies, Vehicle Technologies, and Hydrogen and Fuel Cell Technologies. Grants will be offered on a competitive basis to develop and transfer various energy conservation technologies to the nonfederal sector. Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance may be used in the form of cooperative agreements, or grants to nonprofit institutions and organizations to develop and transfer energy conservation technologies to the scientific and industrial communities, States, and local governments.

**Applicant Eligibility:**

Profit organizations, private nonprofit institutions/organizations, State and local governments may apply.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, State and local governments benefit.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by Energy Efficiency and Renewable Energy (EERE) program personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Field Offices. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov/> From 60 to 120 days.

**Appeals:**

None.

**Renewals:**

Grants may be modified or extended.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This program has no statutory formula, but cost sharing is encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods range from 2 months to 2 years. See the following for information on how assistance is awarded/released: No additional information is provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and expenditure reports, and a final report at the conclusion of the grant time period. As previously mentioned quarterly expenditure reports, and a final report at the conclusion of the grant time period are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

None.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$138,896,693; FY 12 est \$69,696,119; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Advancements in Solid State Lighting; Vehicle Technologies Program Wide Funding Opportunity. Fiscal Year 2012: Advancements in Solid State Lighting; Vehicle Technologies Program Wide Funding Opportunity. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov/>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance/financial\\_assistance.htm](http://www.management.energy.gov/policy_guidance/financial_assistance.htm)

**Regional or Local Office:**

None. Golden Field Office  
1617 Cole Blvd  
Golden Colorado 80401  
(720) 356-1800

Building Technologies, Industrial Technologies, and Fuel Cells and Infrastructure.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 3-4 awards planned under the Vehicle Technologies Program Wide Funding Opportunity. Fiscal Year 2012: 3-4 awards planned under the Vehicle Technologies Program Wide Funding Opportunity. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation law and reports and as otherwise specified in specific solicitation document(s).

**81.087 RENEWABLE ENERGY RESEARCH AND DEVELOPMENT**

(Renewable Energy)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009; Public Law 101-218; Department of Energy Organization Act of 1977; Public Law 95-238, Section 207.

**OBJECTIVES:**

To conduct balanced research and development efforts in the following energy technologies: solar, biomass, hydrogen, fuel cells and infrastructure, wind and hydropower, hydrogen, and geothermal. Grants will be offered to develop and transfer to the nonfederal sector various renewable energy technologies on a competitive basis.

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov/>.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance may be used to develop and transfer renewable energy technologies to the scientific and industrial communities, State, and local governments.

Assistance may be used to develop and transfer renewable energy technologies to the scientific and industrial communities, State, and local governments.

**Applicant Eligibility:**

Profit organizations, private nonprofit institutions/organizations, intrastate,

interstate, and local agencies and universities may apply.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, intrastate, interstate, State and local agencies and universities will benefit.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Application due dates will be posted in the individual funding opportunity announcements posted at <http://www.grants.gov>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The cost principles and award regulations that apply to this program are dependent upon the type of entity applying for financial assistance

The application forms must be downloaded from the specific funding opportunity announcement posted on the [grants.gov](http://www.grants.gov) website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation(s) or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by Energy Efficiency and Renewable Energy (EERE) program personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Field Offices. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Submission deadlines will be published in the funding opportunity announcements at <http://www.grants.gov>  
From 60 to 180 days.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory Formula: Title Energy Policy Act 2005, Chapter Section 998.  
Education and Outreach projects have a cost share requirement of 0%

Research projects have a cost share requirement of 20%

Demonstration and Commercialization projects have a cost share requirement of 50%.

Matching Requirements: Education and Outreach projects have a cost share requirement of 0%

Research projects have a cost share requirement of 20%

Demonstration and Commercialization projects have a cost share requirement of 50%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Award project periods range from 2 months to 1 year. See the following for information on how assistance is awarded/released: No further information is available.

**Reports:**

No program reports are required. No cash reports are required. Quarterly progress and expenditure reports, and a final report at the conclusion of the grant time period. As described above. Quarterly expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

None.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$393,145,051; FY 12 est \$76,699,391; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Renewable Energy Projects: Biomass, Solar, Wind/Water, Geothermal, Fuel Cells. Fiscal Year 2012: Renewable Energy Projects: Biomass, Solar, Wind/Water, Geothermal, Fuel Cells. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: American Recovery and Reinvestment Act of 2009; EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations(10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance/financial\\_assistance.htm](http://www.management.energy.gov/policy_guidance/financial_assistance.htm)

**Regional or Local Office:**

None. Golden Field Office, 1617 Cole Blvd, Golden Colorado, 80401, (720) 356-1800 Solar Energy Technologies, Wind and Hydropower, Geothermal Technologies, Biomass, and Fuel Cells.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://www.eere.doe.gov>

**RELATED PROGRAMS:**

81.079 Regional Biomass Energy Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Renewable Energy Projects: Biomass, Solar, Wind/Water, Geothermal, Fuel Cells. Fiscal Year 2012: Renewable Energy Projects: Biomass, Solar, Wind/Water, Geothermal, Fuel Cells. Fiscal Year 2013: Renewable Energy Projects: Biomass, Solar, Wind/Water, Geothermal, Fuel Cells.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation laws, reports, and as otherwise specified in specific solicitation document(s).

**81.105 NATIONAL INDUSTRIAL COMPETITIVENESS THROUGH ENERGY, ENVIRONMENT, AND ECONOMICS**

(NICE3)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, as amended, Public Law 95-91; Energy Policy Act of 1992, as amended, Public Law 102-486.

**OBJECTIVES:**

This program is in close-out. Financial assistance will not be provided in the future.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

Both state and local governments benefited from these grants. Commercial firms with expertise in waste reduction and pollution prevention, large and small businesses, and others in the business of preventing pollution and energy conserving technologies also benefited.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. NICE3 is in close-out mode. There is no appropriation for grant project funding.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Unsuccessful applicants from the competitive solicitation were entitled to a written debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects covered a period of up to 3 years with release of funding subject to work progress. Access to process implementation and efficiency data is to be available for 10 years after project completion to measure performance against expectation and to support commercialization of the technology. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Access to process implementation and efficiency data must be available for 10

years after project completion to measure performance against expectation and to support commercialization of the technology.

**Account Identification:**

89-0215-0-1-250.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Not Available; and FY 13 Not Available - Funding is not available at this time.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

LaTonya A. Poole, 1000 Independence Ave., SW, Washington, District of Columbia 20585 Email: latonya.poole@ee.doe.gov Phone: (202) 586-3835.

**Website Address:**

<http://www.eere.energy.gov>; <http://www1.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.112 STEWARDSHIP SCIENCE GRANT PROGRAM**

(Defense Science)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.

**OBJECTIVES:**

(1) To grow the U.S. scientific community through university involvement in areas of fundamental science and technology relevant to stockpile stewardship; (2) to promote and sustain scientific interactions between the academic community and scientists at the NNSA laboratories; (3) to train scientists in specific areas of long-term research relevant to stockpile stewardship; (4) to increase the availability of unique experimental facilities sited at NNSA's laboratories to the academic community, particularly for collaborations in areas of relevance to stockpile stewardship; and (5) to develop and maintain a long-term recruiting pipeline to NNSA's laboratories by increasing the visibility of NNSA's Defense Program's scientific activities to the U.S. faculty and student communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Financial support in whole or in part may be provided for such purposes as the salaries, materials and supplies, equipment, travel, publication costs, training costs, and services required for conducting research, training, related activities, and advanced technology projects or assessments. Funding is provided for basic and applied research in the field of physical science in support of the DOE stockpile stewardship program. Restrictions on use of funds depend on grant provisions. Funding is provided for the purpose of exploring an idea that does not unnecessarily duplicate work already in progress or contemplated by DOE,

is not already known to DOE, or has previously unrecognized merit. Some solicitations are open to institutions of higher education only.

**Applicant Eligibility:**

Some solicitations are open to institutions of higher education only and others include nonprofit organizations and for profit commercial organizations. See individual funding opportunity announcements for details on eligibility.

**Beneficiary Eligibility:**

Depending upon the eligibility requirements of the individual solicitation, U.S. public and private institutions of higher education and/or nonprofit organizations and for profit commercial organizations will benefit. The Federal government will also benefit from the research of these grants.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Proposals should be submitted as specified in the funding opportunity announcement posted at <http://www.grants.gov/>.

**Award Procedure:**

Proposals will be screened for stewardship relevance and then reviewed for scientific and technical merit by qualified individuals. The review and selection process for each funding opportunity are included in the solicitation. Decisions to approve are made by a Headquarters program official within the Program Office. Selected proposals will be forwarded to the NNSA Albuquerque Complex for grant development, negotiation and award.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Program Office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, grants are approved for two-year or three-year project periods and funded one year at a time. Depending upon specific circumstances, grant project periods may range from one year to five years, at the discretion of the program office. Cooperative Agreements typically have five-year project periods and are funded one year at a time. See the following for information on how assistance is awarded/released: The NNSA Albuquerque Complex will make determination of method of funding release at the time of award.

**Reports:**

No program reports are required. SF425 quarterly. Progress Reports annually. No expenditure reports are required. Performance monitoring is required for Cooperative Agreements.

**Audits:**

No audits are required for this program.

**Records:**

Recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0240-0-1-053.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$82,487,731; FY 12 est \$130,000,000; and FY 13 est \$130,000,000

**Range and Average of Financial Assistance:**

grants \$50,000 - \$750,000 per year  
Cooperative agreements \$1,000,000-\$63,000,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs. Fiscal Year 2012: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs. Fiscal Year 2013: The research supported helps to increase U.S. efforts in physical science relevant to stockpile stewardship and trains future scientific talent in these areas. Results and accomplishments of basic research performed under these programs are reported in open scientific literature. University research programs often support graduate students who assist principal investigators with research programs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10 CFR 600, Federal Statutes, OMB Circulars, and other Government-wide guidance implementing 10 CFR 600, DOE Acquisition Policy and Guidance, DOE Guide to Financial Assistance.

**Regional or Local Office:**

None.

**Headquarters Office:**

Terri Lynn Stone 19901 Germantown Road, germantown, Maryland 20874  
Email: [terri.stone@nnsa.doe.gov](mailto:terri.stone@nnsa.doe.gov) Phone: 3019037423

**Website Address:**

<http://www.nnsa.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Center for Pulsed-Power-Driven High-Energy-Density Plasmas; University of Texas Center for High Energy Density Science; A Center of Excellence for High Pressure Science and Technology; Center of Excellence for Radioactive Ion Beam Studies for Stewardship Science; Cross Section Level Densities and Strength Functions; Developing Surrogate Reaction Techniques to Determine Neutron Capture Rates; Relativistic Study of X-ray Polarization Spectroscopy for Fusion Plasmas. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Alignment with the areas of technical scope; (2) Scientific/technical merit of the project, including innovativeness and originality; (3) Expected impact on the area of technical scope addressed; (4) Consistency with the objective of this academic alliances program to focus on advanced experimental investigations; (5) Qualifications of the Applicant's personnel and adequacy of proposed resources; (6) Feasibility of plans for carrying out the proposed research, considering such factors as: appropriateness of the technical method and approach, facility compatibility, other commitments, competition and timing; (7) For projects currently receiving funding under this program, the quality and scientific impact of recent results and accomplishments; (8) Level of interaction with NNSA/DP laboratory personnel and the potential to train students in scientific areas defined by the technical scope in order to build a long-term recruiting pool for the NNSA/DP laboratory complex. Generally, a higher degree of interaction both quantitatively and qualitatively is considered desirable; (9) Leverage provided by cost sharing with other funding sources.

## **81.113 DEFENSE NUCLEAR NONPROLIFERATION RESEARCH**

Defense Nuclear Nonproliferation Research and Development

### **FEDERAL AGENCY:**

Department of Energy

### **AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189, 103 Stat. 1684, 42 U.S.C. 2051, Section 3157, 1684 Stat. 42, 2051 U.S.C.; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817, Title I, Section 107, 1240 Stat. 42, 5817 U.S.C.; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; 7101 U.S.C.; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577.

### **OBJECTIVES:**

To conduct basic and applied research and development that enhances U.S. national security and reduces the global danger from the proliferation of weapons of mass destruction and special nuclear materials through needs-driven research and development. The emphasis is on developing the requisite technologies to detect and deter nuclear proliferation and to meet U.S. nuclear detonation detection goals. Research focuses on advanced detection systems and concepts to support current and future USG policies. Support also-address the pressing shortfalls in trained professionals capable of supporting crucial nuclear nonproliferation missions such as nuclear forensics and international safeguards.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, materials, supplies, equipment, travel, publication costs, services required for conducting nonproliferation research and development to reduce the global danger from the proliferation of weapons of mass destruction. Construction or related costs are not allowed under these project grants. All work must comply with export control regulations.

### **Applicant Eligibility:**

Universities (public and private), institutions of higher education, whose activities benefit the general public through results which are available to the National Nuclear Security Administration (NNSA), other U.S. government agencies, and universities and institutions of higher learning may apply.

### **Beneficiary Eligibility:**

The NNSA, other U.S. government agencies, universities and institutions of higher learning will benefit.

### **Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher learning. For Non-government organizations, Costs will be determined in accordance with OMB Circular No. A-122. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The NNSA Service Center in Albuquerque, New Mexico issues Funding Opportunity Announcements (FOAs) under which formal applications may be submitted by a scientist or principal investigator who will conduct or lead the research team. The FOAs will be posted to Grants.gov which can be accessed at: <http://www.grants.gov>.

### **Award Procedure:**

Evaluations will be conducted by technical staff assigned to the Office of Defense Nuclear Nonproliferation Research and Development or at the DOE national laboratories. Final decisions for approval are made by the source selection authority. DOE/NNSA Procurement is then instructed to negotiate and

prepare the grant award documents. Program management responsibilities may be delegated as a whole or in part to the NNSA Service Center or NNSA Site Offices.

### **Deadlines:**

Not Applicable.

### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Deadlines will be provided in the individual FOAs posted at Grants.gov.

### **Appeals:**

Not Applicable.

### **Renewals:**

Grants will be modified and extended as required. Renewals are subject to an annual review by the Headquarters and/or NNSA Service Center.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

The grant period is for up to three years depending upon available appropriations. The schedule of payments is arranged at the time of award, but it is expected that proposals will be fully funded for their three year lifecycles in one lump sum. See the following for information on how assistance is awarded/released: Depending on the program some can be awarded lump sum or incrementally funded.

### **Reports:**

No program reports are required. Cash reports are not applicable. Quarterly Progress reports, and final reports are required. Also progress is reported annually at the University Industry Technical Interchange meeting for the life of the project. In the first year creation of a poster for project presentation is required and formal presentations are required thereafter. All projects are subject to this audit process. Expenditure reports are not applicable. Independent performance and merit reviews are required in the second year of the lifecycle. All projects are subject to this audit process.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

None.

### **Account Identification:**

89-0243-0-1-053.

### **Obligations:**

(Project Grants) FY 11 \$16,988,777; FY 12 est \$15,033,832; and FY 13 est \$15,000,000

### **Range and Average of Financial Assistance:**

The expected range of Awards is approximately \$200k to \$750k for the lifecycle of the project.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 7 grants awarded. Fiscal Year 2012: We expect 10 grants to be awarded. Fiscal Year 2013: 14 grants awarded.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

See Code of Federal Regulations (CFR); 10 CFR 600 and OMB Circulars

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Ivy D. Martin, 1000 Independence Ave SW, Washington, District of Columbia 20585 Email: [ivy.martin@hq.doe.gov](mailto:ivy.martin@hq.doe.gov) Phone: (202) 586-2246 Fax: (202)



586-0485.

**Website Address:**

<http://www.nnsa.doe.gov/na-20>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: High Sensitivity Detector for Nuclear Materials based on Doubled Pulsed Laser-Induced breakdown Spectroscopy, to Dr. Sivanandan Harilal, Purdue University for \$861,270  
FY12: Automatically Optimized High-Fidelity Few-Group Cross Sections for SNM Detection Applications, to Dr. Yi Ce, Georgia Institute of Technology, for \$521,877. Fiscal Year 2012: Pulsed Neutron imaging and diffraction study of CdZnTe materials under realistic growth conditions, to Dr. John Lares, University of Tennessee, for \$749,512. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined on the following criteria: 1) mission relevance; 2) overall scientific and technical merit; 3) research duplication and 4) management approach.

**81.117 ENERGY EFFICIENCY AND RENEWABLE ENERGY INFORMATION DISSEMINATION, OUTREACH, TRAINING AND TECHNICAL ANALYSIS/ASSISTANCE**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Department of Energy Organization Act of 1977, 42 U.S.C 712; Energy Reorganization Act of 1974, 42 U.S.C. 5813(6)(7)(8); ARRA 2010, 42 U.S.C 5813 (6-8); Energy Policy Act 1992 , 42 U.S.C 13231.

**OBJECTIVES:**

The Department of Energy (DOE) seeks to provide financial assistance for information dissemination, outreach, training and related technical analysis/assistance which will: (1) stimulate increased energy efficiency in transportation, buildings, industry and the Federal sector and encourage increased use of renewable and alternative energy; and (2) accelerate the adoption of new technologies to increase energy efficiency and the use of renewable and alternative energy through the competitive solicitation of applications.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives as described in a single competitive solicitation or multiple competitive solicitations. The solicitation(s) will provide funding in various program areas within the Office of Energy Efficiency and Renewable Energy: Solar, Wind and Hydropower, Geothermal, Biomass, Industrial Technologies, FreedomCAR, Building Technologies, Weatherization and Intergovernmental, Federal Energy Management Program, and the Office of the Assistant Secretary for Energy Efficiency and Renewable Energy. Restrictions on use of funds depend on the provisions of the specific project agreement.

**Applicant Eligibility:**

Profit organizations, individuals, private nonprofit institutions/organizations, public nonprofit institutions/organizations, State and local governments, Native American organizations, Alaskan Native corporations and universities may apply. DOE Laboratories are not eligible.

**Beneficiary Eligibility:**

Profit organizations, individuals, private nonprofit institutions/organizations, public nonprofit institutions/organizations, State and local governments, Native American organizations, Alaskan Native corporations and universities benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/>. A separate application must be submitted for each DOE Energy Efficiency and Renewable Energy (EERE) Program Area of Interest.

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. Objective Merit Review Committees will evaluate applications based on the evaluation criteria set forth in the competitive solicitation. After the Merit Review Committee has completed its evaluations, an EERE Office Director or other Program Official will evaluate the applications against program policy factors set forth in the competitive solicitation. Final decisions will be made by the EERE Assistant Secretary, Deputy Assistant Secretaries, and the Director of the Federal Energy Management Program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. None.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time phasing of assistance will vary with the program phase and activity. The maximum term of awards varies among the Program Areas of Interest and ranges from 6 months to 5 years. See the following for information on how assistance is awarded/released: Funds are released through the Electronic Transfer System. Annual budget periods are set by each grantee within parameters established by DOE.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual reporting is required. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the grant period and before final close-out.

**Records:**

A grantee is expected to maintain auditable records to substantiate the total costs incurred under the grant.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants) FY 11 \$26,821,573; FY 12 est \$23,406,626; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Vary.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Education, Outreach, and Technology Transfer projects.  
Fiscal Year 2012: Education, Outreach, and Technology Transfer projects.  
Fiscal Year 2013: Education, Outreach, and Technology Transfer projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: EERE Federal Register notices; EERE Solicitations, which may be accessed through the EERE homepage at: <http://www.eere.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://management.energy.gov/policy\\_guidance.htm](http://management.energy.gov/policy_guidance.htm)

**Regional or Local Office:**

None. EERE Information Center (877) 337-3463.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection will be based on an objective merit review recommendation, program policy factors, the amount of funds available, provisions of appropriation law and reports and as otherwise specified in the solicitation document.

**81.119 STATE ENERGY PROGRAM SPECIAL PROJECTS**

SEP Competitive Grants

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 710; ARRA 2009, Public Law 91-95, 42 U.S.C 7101; National Energy Conservation Policy Act of 1978, Public Law 95-619; ARRA 2009, Public Law 619-95; Energy Policy and Conservation Act; ARRA 2009, Title III, Part C, Section 361-366, Public Law 163-94, 42 U.S.C 6321-6326; Balanced Budget Down Payment Act II of 1996; ARRA 2009, Public Law 134-104.

**OBJECTIVES:**

To allow States to submit proposals to implement specific Department of Energy (DOE) Office of Energy Efficiency and Renewable Energy deployment activities and initiatives as Special Projects under the State Energy Program. States will compete for funding to implement activities relating to a number of programmatic areas such as building codes and standards, alternative fuels, industrial efficiency, building efficiency, and solar and renewable technologies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, materials, and supplies, equipment, travel, publication costs, and services required for implementing the activities described in the application.

**Applicant Eligibility:**

All States plus the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, Samoa, and the Commonwealth of the Northern Mariana Islands may apply.

**Beneficiary Eligibility:**

States and their project partners will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with 10 CFR 600 for State and local

Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web-site: at <http://www.grants.gov>. Applicants for sub-awards from the states should consult the office or official designated as the single point of contact within the State for more information on the process the State requires to be followed in applying for assistance.

**Award Procedure:**

Evaluations will be conducted by staff of the Office of Energy Efficiency and Renewable Energy end-use sectors participating in the annual solicitation. Final decisions to approve are made by Assistant Secretary Office of Energy Efficiency and Renewable Energy. DOE Field Offices are then instructed to negotiate and prepare the grant award documents.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines are set forth in the solicitation.

**Appeals:**

None.

**Renewals:**

Renewals are subject to review by the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Cost sharing is not required however strongly encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Vary. See the following for information on how assistance is awarded/released: Funds are released through the Electronic Transfer System.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs will be verified and subject to audit according to standard government practice and in accordance with OMB Circular No A-102.

**Records:**

In accordance with 10 CFR 600.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Project Grants) FY 11 \$6,950,123; FY 12 est \$1,784,537; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

500,000 - 1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the American Recovery and Reinvestment Act of 2009 and Program requirements issued in Federal Register prior to actual invitation and solicitation to the States.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: james.cash@go.doe.gov Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.041 State Energy Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined by the criteria announced in the annual solicitation.

**81.121 NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION**

(NE RD&D)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C 5817; Atomic Energy Act, Section 31, Public Law 83-703, 42 U.S.C 2051; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 88 Stat. 1240, 42 U.S.C 7101; Atomic Energy Act of 1954, as amended, Section 32, Public Law 83-703, 68 Stat. 919, 42 U.S.C 2051.

**OBJECTIVES:**

Provide financial assistance to address key issues affecting the worldwide use of nuclear energy through the research, development, and demonstration of science and technology fields related to nuclear energy and its underlying sciences.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial assistance, opportunities are defined in individual solicitations available on the DOE website or Grants.gov. Notices published on Grants.gov define research, development, and demonstration areas that the Department intends to support such as: advanced reactors, fuel and reactor concepts that minimize proliferation risks, nuclear fuel and fuel cycles, advanced instrumentation, controls, simulation, modeling and analyses, nuclear waste management, construction, manufacturing and fabrication technologies, and related fundamental nuclear science areas in materials, reactor physics, chemistry, radiochemistry, health physics, and thermal hydraulics and fluid dynamics. Notices published on Grants.gov define development or demonstration projects and study areas activities that the Department intends to support such as: advanced designs, technologies or techniques, new regulatory or licensing requirements, and economic analyses. For a given solicitation, financial assistance may be available in whole or in part, for the following in support of nuclear energy research and related fields in development and demonstration activities: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical activities, market analyses, financing plans and other activities necessary to achieve the objective. Restrictions on use of funds depend on solicitation and award provisions.

**Applicant Eligibility:**

Federal, State, local governments, universities, consortia, nonprofit institutions,

commercial corporations, and individuals may apply.

**Beneficiary Eligibility:**

Any individual, partnership, corporation, association, joint venture, institution of higher education, or nonprofit organization will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for institutions of higher education. Costs will be determined in accordance with OMB Circular No. A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. DOE solicitations set forth award procedures. Refer to [www.ne.doe.gov](http://www.ne.doe.gov) for additional information.

**Award Procedure:**

DOE solicitations set forth award procedures. Applications will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation. Evaluations will be coordinated by a Merit Review Chair and conducted by a review board. This responsibility will be performed by the Office of Nuclear Energy or delegated to a DOE Operations Office. Final decisions will be made by the approved Program Officer or the delegated Source Selection Official. For additional information, please refer to [www.ne.doe.gov](http://www.ne.doe.gov).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Normally 6 to 9 months.

Deadlines for submissions will be posted in the individual funding opportunities posted at <http://www.grants.gov>.

**Appeals:**

Not Applicable.

**Renewals:**

Proposals for renewal are subject to review and acceptance by the Program Director or Selection Official.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: As stated in each solicitation.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The period of performance and schedule of DOE payments is arranged at the time of award. See the following for information on how assistance is awarded/released: ASAP Method of Payment.

**Reports:**

As stated in each solicitation. Cash reports are not applicable. As stated in each solicitation. Normally quarterly financial status reports will be required. Performance monitoring is tracked and reported according to set procedures dictated in each solicitation.

**Audits:**

Not Applicable.

**Records:**

Award recipient is expected to maintain auditable records to substantiate total costs incurred under the agreement and as required by the financial assistance award.

**Account Identification:**

89-0319-0-0-000.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$171,991,000; FY 12 est \$296,216,000; and FY 13 est \$248,871,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Researchers performed R&D to help develop and demonstrate methods to recycle used fuel to enable the safe, secure and sustainable expansion of nuclear energy, while minimizing proliferation and terrorism risks. Research conducted through this program is focused on developing options that use resources efficiently, reduce waste generation and enable effective waste management. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Idaho Operations Office, 1955 Fremont Avenue, Idaho Falls, ID 83415. Nuclear Programs Support Division, Contact: Ken Osborne, Telephone: (208) 526-0805.

**Headquarters Office:**

Kenny K. Osborne, 1000 Independence Ave, SW, Washington, District of Columbia 20585 Email: osbornkk@id.doe.gov Phone: (208) 526-0805.

**Website Address:**

<http://www.ne.doe.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Researchers will model heat transfer through fluid flows within a nuclear reactor, improving reactor safety and design. The resulting data will be made available in a consolidated database for nuclear energy industry experts and researchers, supporting a wide range of related studies and reducing future testing costs. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each proposal will be evaluated based on an objective merit review in accordance with the requirement of "DOE Financial Assistance Regulations" (10 CFR 600) and the evaluation criteria set forth in the competitive solicitations. These criteria will include: appropriateness of the proposal method or approach, competency of research personnel and adequacy of proposed resources, reasonableness and appropriateness of the proposed budget, and other appropriate factors.

**81.122 ELECTRICITY DELIVERY AND ENERGY RELIABILITY, RESEARCH, DEVELOPMENT AND ANALYSIS  
FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Security Act of 1980, Public Law 96-294; Department of Energy Organization Act of 1977, as amended, Public Law 95-91; Energy Independence and Security Act of 2007 (EISA), Public Law 110-140; Energy Policy Act of 1992 (EPACT), Public Law 102-486; American Recovery and Reinvestment Act of 2009 (ARRA); Public Law 111-5 ; Energy Policy Act of 2005 (EPACT), Public Law 109-58; Superconductivity and Competitiveness Act of 1988, Public Law 100-697; Energy Tax Act of 1978, Public Law 95-618.

**OBJECTIVES:**

Through research, development, demonstration, technology transfer, and education and outreach activities, lead national efforts to modernize the electric grid; enhance security and reliability of the energy infrastructure; and mitigate the impact of, and facilitate recovery from, disruptions to the energy supply. Develop cost-effective technology that enhances the reliability, efficiency, and resiliency of the electric grid, while enabling the effective utilization of emerging and renewable generation sources and promoting the rapid deployment and integration of advanced digital "Smart Grid" technology that is

needed to modernize the nations electric delivery network for enhanced operational intelligence and connectivity.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Assistance provided as cost-shared cooperative agreements or grants to nonprofit and profit institutions and organizations to develop, demonstrate and transfer technologies or information developed to utilities, energy companies, energy regulators, state and local governments and other stakeholders.

**Applicant Eligibility:**

All types of domestic entities are eligible to apply, such as profit organizations, private nonprofit institutions/organizations, universities, research organizations, and state and local governments. Not eligible are Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

**Beneficiary Eligibility:**

Profit organizations, private nonprofit institutions/organizations, universities, research organizations, and state and local governments benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms as furnished by DOE and required by 10 CFR Part 600 must be used to apply for financial assistance, as further specified in competitive solicitation(s). The application forms must be downloaded from the specific funding opportunity announcement posted on the Grants.gov web site: <http://www.grants.gov/>

**Award Procedure:**

All applications which pass an initial review will receive an objective merit review. The objective merit review will be based on evaluation criteria set forth in the competitive solicitation(s) or criteria set forth in 10 CFR Part 600 for Unsolicited Proposals. Evaluations will be conducted by the Office of Electricity Delivery and Energy Reliability personnel at DOE Headquarters in Washington, DC. This responsibility may also be delegated to DOE Operations Offices and technical experts. Final decisions will be made by the Assistant Secretary, Office of Electricity Delivery and Energy Reliability.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants and cooperative agreements may be modified or extended.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: As Specified under Section 988 of the Energy Policy Act of 2005 and EISA, with exceptions, a minimum of 20% cost share is required for research and development. A minimum of 50% is required for demonstration. Higher cost share may be requested. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for up to five years, as specified in the solicitation. See the following for information on how assistance is awarded/released: To be determined.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports required as specified in the grant or cooperative agreement. Typically these reports consist of quarterly progress and a final report at the conclusion of the grant or cooperative agreement time period. Expenditure reports required as specified in the grant or cooperative agreement. Typically these reports consist of quarterly expenditure reports and a final report at the conclusion of the grant or cooperative agreement time period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None.

**Account Identification:**

89-0318-0-1-999 - OE Annual Appropriations.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$25,450,117; FY 12 est \$22,200,000; and FY 13 est \$50,000,000 - Annual Appropriations.

**Range and Average of Financial Assistance:**

FY11 award obligations for annual appropriations range from \$100,000 to \$3,000,000 with the average at \$680,000. FY12 award obligations for annual appropriations range from \$100,000 to \$3,000,000 with the average at \$650,000. The estimated ranges for FY13 will be similar to those of FY12.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 48 awards that received over \$25 million of annual appropriations in the areas of Power Electronics, Smart Grid, and Advanced Computation and Grid Modeling. Fiscal Year 2012: Over \$22 million was obligated in the areas of Smart Grid Research and Development, Advanced Modeling Grid Research, Transmission Reliability, and Cyber Security for Energy Delivery Systems R&D. Fiscal Year 2013: Nearly \$50 million is estimated to be obligated to awards, including new awards in the areas of Transmission Reliability, Cyber Security for Energy Delivery Systems R&D, and the award of a new Smart Grid Technology and Systems Hub.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following list represents an overview of regulations, guidelines, and literature: Office of Electricity Delivery and Reliability homepage, at <http://www.oe.energy.gov>; DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance.htm](http://www.management.energy.gov/policy_guidance.htm).

**Regional or Local Office:**

None. National Energy Technology Laboratory: <http://www.netl.doe.gov>.

**Headquarters Office:**

Office of Electricity Delivery and Energy Reliability, 1000 Independence Ave SW, Washington, District of Columbia 20585 Phone: (202) 586-1411.

**Website Address:**

<http://www.oe.energy.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Annual appropriations were awarded in the areas of Smart Grid R&D for Cost Reduction of Electric Vehicle Chargers, Smart Grid Data Access, and Advanced Computational and Modeling Research for the Electric Power System. Fiscal Year 2013: Annual appropriations will be awarded in the areas of Cyber Security for Energy Delivery Systems R&D as well as Smart Grid Technology and Systems Hub.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection is based on an objective merit review, program policy factors, the availability of funds, provisions of appropriation law and reports and as otherwise specified in specific solicitation document(s).

**81.123 NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) MINORITY SERVING INSTITUTIONS (MSI) PROGRAM**

National Nuclear Security Administration

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189; 103 Stat. 1684, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; National Nuclear Security Administration Act, Public Law 106-65, as amended; Consolidated Appropriations Act, 2005, Public Law 108-447; Energy and Water Development Appropriations Act, 2006, Public Law 109-103; Revised Continuing Appropriations Resolution, 2007, Public Law 110-5, as amended; Executive Order 13230, President's Advisory Commission on Educational Excellence for Hispanic Americans, October 12, 2001, as amended; Executive Order 13256, White House Initiative on Historically Black Colleges and Universities, February 12, 2002, as amended; Executive Order 13270, Tribal Colleges and Universities, July 3, 2002, as amended.

**OBJECTIVES:**

The program's primary focus is to engage minority serving institutions (MSIs) in NNSA mission activities, collaborative research projects throughout the NNSA complex, and future workforce development.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, stipends, materials and supplies, equipment, travel, publication and training, and services required for conducting research, training, and related activities. Funding is provided for the purpose of exploring an idea that does not duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. Restrictions on the use of funds depend on grant provisions.

**Applicant Eligibility:**

Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs) and non-profit institutions servicing HBCUs, HSIs and TCUs.

**Beneficiary Eligibility:**

The general public, scientists, researchers, student/trainee, graduate students, institutions of higher learning, NNSA, and other US government agencies will benefit. Middle and high school will also benefit due to the institutions of higher learning's programs supported by NNSA.

**Credentials/Documentation:**

Documentation for indirect cost rates and any other documentation required by 10CFR Part 600 and CFR Title 2. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms and instructions are available upon request from the Associate Administrator for Management Administration and Budget Office (NA-MB-1-60); National Nuclear Administration (NNSA) U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, D.C. 20585; phone: (202) 586-6019.

**Award Procedure:**

NNSA's technical staff conduct technical evaluations in accordance with the 10CFR Part 600 and 2CFR. If the proposal meets the pre-established CFR criteria, then a grant and/or cooperative agreement is awarded.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The range is from 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 120 to 180 days. Grants will be modified or extended as required. Renewals are subject to an annual review by the NNSA's Headquarters and/or Operations' program offices.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percent: 20%. According to 10CFR Part 30(2)(b), 20% matching funds for applied research are required. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grant period ranges from 1 to 5 years depending upon available appropriations. Expenditure of funds is allowed during the budget period specified in the grant document. The payment type and schedule are arranged at the time of award. Funding is provided to the grantee on a reimbursable basis unless the grant provisions specify otherwise. See the following for information on how assistance is awarded/released: reimbursement.

**Reports:**

The DOE Federal Assistance Reporting Checklist (DOE F 4600.2) is incorporated into the grant document at the time of award. This checklist specifies the programmatic and financial reports that are required as well as the timeframe for report submission. Standard Form 425 is completed and submitted on a quarterly basis. The grantee completes the SF-425 to specify the cumulative cash receipts, disbursements and on-hand balance. Quarterly Progress reports indicative of the progress made, planned activity and estimated expenditures for the subsequent quarters are required. A quarterly expenditure report specifying expenses for the quarter, cumulative expenditures and on-hand balance. Progress reports are monitored to measure grantee's progress and expenditures are monitored to ensure that there is a correlation between work performed and expenditures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Costs incurred are subject to audit throughout the grant period and/or before final payment in accordance with grant provisions and 10CFR Part 600 and CFR Title 2.

**Records:**

The grantee is required to maintain auditable records in accordance with CFR Part 2 Subpart 215.53.

**Account Identification:**

89-0299-0-1-050.

**Obligations:**

(Project Grants) FY 11 \$4,600,000; FY 12 est \$8,000,000; and FY 13 est \$14,700,000 - A competitive solicitation is anticipated in Fiscal Year 2013.

**Range and Average of Financial Assistance:**

Grant awards range from \$750K to \$4.7M over a five year period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Actual dollars awarded in grants/cooperative agreements equaled \$4,600,000.00. Fiscal Year 2012: No Current Data Available Fiscal

Year 2013: Subject to congressional appropriations, \$14,700,000.00 is projected for Fiscal Year 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10CFR Part 600 and CFR Part 2.

**Regional or Local Office:**

None.

**Headquarters Office:**

Malika S. Hobbs, 1000 Independence Avenue S.W., Washington, District of Columbia 20585 Email: malika.hobbs@nnsa.doe.gov Phone: (202) 586-6174 Fax: (202) 287-5737.

**Website Address:**

<http://www.nnsa.doe.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Educating engineers and scientists, scientific research, K-12 Science, Technology, Engineering, and Mathematics (STEM) initiatives, minority faculty and student summer internships, and scientific research related to the NNSA mission requirements. Fiscal Year 2012: Educating engineers and scientists, scientific research, K-12 Science, Technology, Engineering, and Mathematics (STEM) initiatives, minority faculty and student summer internships, and scientific research related to the NNSA mission requirements. Fiscal Year 2013: Educating engineers and scientists, scientific research, K-12 Science, Technology, Engineering, and Mathematics (STEM) initiatives, minority faculty and student summer internships, and scientific research related to the NNSA mission requirements.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process is based on the following criteria: 1) Potential impact and relevance of proposed work; 2) technical merit; 3) qualifications of the proposed investigators; 4) quality of the proposed research plan; 5) proposed schedule, budget and available resources.

**81.127 ENERGY EFFICIENT APPLIANCE REBATE PROGRAM (EEARP)**

EEARP

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Energy Policy Act of 2005, Title 1, Part B.

**OBJECTIVES:**

The program provides financial and technical assistance to States to establish residential energy star rated appliance rebate programs. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To improve energy efficiency in the residential sector.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Establish or continuation of State energy efficient appliance rebate program to provide rebates to residential consumers for the purchase of residential Energy Star products to replace used appliances of the same type.

**Applicant Eligibility:**

Assistance available to States and US Territories and possessions.

**Beneficiary Eligibility:**

Individuals and families are the ultimate beneficiaries.

**Credentials/Documentation:**

Compliance with State and local environmental statutes and regulations. Costs will be determined in accordance with 10 CFR Part 600 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Energy Efficient Appliance Rebate Program must be submitted through FedConnect to be considered for award. Information on how to submit applications via FedConnect can be found at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf) It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

States submit application for available allocation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the solicitation.

**Appeals:**

As required under the American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant periods under this program will be twenty four months. All funds must be expended within this period. See the following for information on how assistance is awarded/released: No information is provided.

**Reports:**

No program reports are required. Financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the project period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Quarterly progress reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the project period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the Energy Independence and Security Act of 2007 and DOE procurement procedures.

**Account Identification:**

89-0331-2-1-272.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Range: 500k-6 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. Energy Efficiency and Renewable Energy Clearinghouse (1-877) EERE-INFO or (1-877) 337-3463 (Toll Free).

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://https://www1.eere.energy.gov/informationcenter/>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.119 State Energy Program Special Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Formula Grant allocations to supplement State Programs.

**81.128 ENERGY EFFICIENCY AND CONSERVATION BLOCK GRANT PROGRAM (EECBG)**

EECBG

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

The Energy Efficiency and Conservation Block Grant Program (EECBG) was authorized in Title V, Subtitle E of the Energy Independence and Security Act (EISA), signed into Public Law 110-140 on December 19, 2007.

**OBJECTIVES:**

The program provides financial and technical assistance to assist State and local governments create and implement a variety of energy efficiency and conservation projects. The programs objectives are:

- \* To reduce fossil fuel emissions created as a result of activities within the jurisdictions of eligible entities;
- \* To reduce the total energy use of the eligible entities; and
- \* To improve energy efficiency in the transportation, building, and other sectors.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants (Special)

**USES AND USE RESTRICTIONS:**

A wide variety of activities are eligible for use of the grant funds including:

- \* Developing/implementing an energy efficiency and conservation strategy and retaining technical consultant services to assist in the development of such a strategy.
- \* Conducting residential and commercial building energy audits.
- \* Establishing financial incentive programs for energy efficiency improvements (e.g., loan programs, rebate programs, waive permit fees.)
- \* Providing grants to nonprofit organizations to perform energy efficiency retrofits.
- \* Developing/implementing programs to conserve energy used in transportation (e.g., flex time by employees, satellite work centers, promotion of zoning requirements that promote energy efficient development, transportation infrastructure: bike lanes/pathways, pedestrian walkways, and synchronized traffic signals).
- \* Developing and implementing building codes and inspection services to promote building energy efficiency.
- \* Implementing energy distribution technologies.
- \* Developing public education programs to increase participation and

efficiency rates for recycling programs.

\* Purchasing/implementing technologies to reduce and capture methane and other greenhouse gases generated by landfills or similar sources.

\* Installing light emitting diodes (LEDs).

\* Developing, implementing, and installing renewable energy technologies on or in any government building.

\* Any other activity as determined by the Secretary of Energy in consultation with the Secretaries of Transportation and Housing and Urban Development and the Administrator of the Environmental Protection Agency.

**Applicant Eligibility:**

State and local governments including US Territories and Possessions.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of 2007. This program is covered by applicable Cost Principles contained in the Code of Federal Regulations, TITLE 2--Grants and Agreements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication form or conference is required by DOE. Consultation and assistance will be available from DOE in the preparation of the application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application forms must be downloaded from the specific funding opportunity announcement posted on the grants.gov website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

Applicants must register with FedConnect to submit their application. FedConnect website: [www.fedconnect.net](http://www.fedconnect.net)

Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>

It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

States and eligible units of local governments and Tribes will submit applications for available allocation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are identified in the Funding Opportunity Announcement.

**Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: There is no local match requirement for the EECBG, however leveraging of funds on the part of the recipient is encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant periods under this program will be eighteen months. Funds must be under contract within eighteen months. See the following for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

No program reports are required. No cash reports are required. Quarterly project and financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Quarterly project and financial status reports are required. Quarterly financial reports required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

In accordance with the Energy Independence and Security Act of 2007 and DOE procurement procedures.

**Account Identification:**

89-0331-2-1-272.

**Obligations:**

(Formula Grants) FY 11 \$1,049,100,000; FY 12 est \$0; and FY 13 Estimate Not Available - All obligations under this program will be made with Recovery Act funds.

**Range and Average of Financial Assistance:**

Varies.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, EECBG continued to deploy energy efficiency across the county through its grants to over 2,300 state and local governments through its funding by the American Reinvestment and Recovery Act of 2009 (ARRA). Milestones accomplished in FY 11 include performance of energy upgrades of over 40,000 buildings, installation of 5,000 solar energy systems, and installation of over 300,000 energy efficient traffic and streetlights since the passage of the ARRA. Fiscal Year 2012: In FY 2012, EECBG continued to deploy energy efficiency across the county through its grants to over 2,300 state and local governments through its funding by the American Reinvestment and Recovery Act of 2009 (ARRA). Milestones accomplished in FY 11 include performance of energy upgrades of over 40,000 buildings, installation of 5,000 solar energy systems, and installation of over 300,000 energy efficient traffic and streetlights since the passage of the ARRA. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. Energy Efficiency and Renewable Energy Clearinghouse (1-877) EERE-INFO or (1-877) 337-3463 (Toll Free).

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.041 State Energy Program; 81.042 Weatherization Assistance for



Low-Income Persons

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As described under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

**81.129 ENERGY EFFICIENCY AND RENEWABLE ENERGY TECHNOLOGY DEPLOYMENT, DEMONSTRATION AND COMMERCIALIZATION**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

EPACT 1992, EPACT 2005, EISA 2007, ARRA 2009.

**OBJECTIVES:**

This program provides financial assistance for the technology deployment, demonstration, and commercialization of Energy Efficiency and Renewable Energy technologies. This includes Biomass, Building Technologies, Federal Energy Management, Geothermal Technologies, Projects involving Hydrogen, Fuel Cells and Infrastructure Technologies, Industrial Technologies, Solar Energy Technologies, Vehicle Technologies, Weatherization and Intergovernmental, and Wind and Hydropower technologies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

No information provided.

**Applicant Eligibility:**

Anyone who meets the requirements specified in the funding opportunity announcement at <http://www.grants.gov> may apply.

**Beneficiary Eligibility:**

Beneficiaries are states and local governments and other public and private institutions.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms must be downloaded from the specific funding opportunity announcement posted on the [grants.gov](http://www.grants.gov) website at <http://www.grants.gov/> and submitted per instructions in the funding opportunity announcement.

Applicants must register with FedConnect to submit their application. FedConnect website: [www.fedconnect.net](http://www.fedconnect.net)

Submission deadlines will be published in the funding opportunity announcement at <http://www.grants.gov>

It is the responsibility of the applicant to verify successful transmission.

**Award Procedure:**

Applications which pass an initial review will receive an objective merit review. An objective Merit Review Committee will evaluate applications in accordance with the evaluation criteria set forth in the competitive solicitation.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Unsuccessful applicants from the competitive solicitation are entitled to a written debriefing by DOE program officials with a clear explanation of why the proposal was not accepted for funding.

**Renewals:**

Renewals are subject to review by the DOE Project Management Center and the headquarters program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 50%. Federal funds may be awarded to applicants that can match DOE Federal funds at 50 percent. Other matching requirements may be determined by specific legislation or as allowed by the Secretary of Energy.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

No information provided. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Quarterly project and financial status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. No cash reports are required. Quarterly project status reports are required. Additional terms and conditions are invoked by ARRA 2009. A final report is required at the end of the contract period. In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. A 10-year tracking and follow-up reporting mechanism may be required. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit procedures in accordance with OMB Circular No. A-133. In addition, audit requirements need to comply with the Energy Independence and Security Act of 2007 and DOE procurement procedures as well as with 10 CFR 600.

**Records:**

In accordance with the Energy Independence and Security Act of 2007, EPACT 1992 and 2005, ARRA 2009 and DOE procurement procedures. Access to process implementation and efficiency data may be required to be available for 10 years after project completion to measure performance against expectation and support commercialization of the technology. The grantee is expected to maintain records to fulfill auditing needs.

**Account Identification:**

89-0321-0-1-270.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,000,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE financial assistance Rules and 10 CFR 600 applies.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Cash 1617 Cole Blvd., Golden, Colorado 80401 Email: [james.cash@go.doe.gov](mailto:james.cash@go.doe.gov) Phone: 720-356-1456

**Website Address:**

<http://www.eere.energy.gov>

**RELATED PROGRAMS:**

81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Under the Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization program, the Departments Building Technologies Program has projects addressing a wide range of building technologies, including control systems (IT), energy simulation, insulation and windows, HVAC, appliances, water heating, and workforce development. As a result, significant progress is being made in the development of numerous building technologies relating to energy efficiency. One example of these types of projects is a residential water heater that will approximately double the efficiency of a typical gas fired water heater. Upon completion, this will be a significant step forward in reducing the energy consumption of one of the largest consumers of energy in the home. Fiscal Year 2012: Under the Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization program, the Departments Building Technologies Program has projects addressing a wide range of building technologies, including control systems (IT), energy simulation, insulation and windows, HVAC, appliances, water heating, and workforce development. As a result, significant progress is being made in the development of numerous building technologies relating to energy efficiency. An example of these types of projects is Johnson Controls Integrated Building Management System, which was completed on 7/1/2012. The project met all project goals and the technology has been deployed commercially as part of their Panoptix suite of applications for increasing building efficiency. The DOE project enabled Johnson Controls to develop their Continuous Diagnostics Advisor, a module within Panoptix that allows for fault detections like abnormal energy consumption, anomalies in peak demand, and issues with poor performance in HVAC systems. With this tool, building operators can capture an almost real-time picture of system performance regarding energy consumption of their HVAC systems and issues that need attention. Fiscal Year 2013: As this series of Recovery Act grants reaches its conclusion, it is expected that similar buildings technologies advancements will be completed on schedule.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Awards are restricted to the entities listed in the Applicant Eligibility portion of this program listing. All election criteria will conform to EISA 2007, EPACT 1992 and 2005, and ARRA 2009 requirements as applicable to the specific project authorization.

#### **81.135 ADVANCED RESEARCH AND PROJECTS AGENCY ENERGY FINANCIAL ASSISTANCE PROGRAM**

ARPA-E

#### **FEDERAL AGENCY:**

Department of Energy

#### **AUTHORIZATION:**

This agency was chartered and authorized in 2007 in the America COMPETES Act (Public Law 110-69), and re-authorized in the America COMPETES Reauthorization Act of 2010 (Public Law 111-358).

#### **OBJECTIVES:**

To support the Presidents National Objectives for the Department of Energy, and the Objectives contained in the authorizing legislation.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

ARPA-E will fund research and development of transformational energy related technologies. As described in the Funding Opportunity Announcement.

#### **Applicant Eligibility:**

As described in the Funding Opportunity Announcement.

#### **Beneficiary Eligibility:**

General public.

#### **Credentials/Documentation:**

Compliance with Federal, State and local environmental statutes and regulations, as required under the Energy Independence and Security Act of

2007. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Pre-application required in the form of a Concept Paper (unless directed differently in the Funding Opportunity Announcement). This program is not eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for ARPA-E must be submitted through ARPA-E eXCHANGE to be considered for award. Information on how to submit application via ARPA-E eXCHANGE can be found at: <http://arpa-e.energy.gov/>. It is the responsibility of the applicant to verify successful transmission.

#### **Award Procedure:**

All eligible applications will be considered through the Departments Merit Review Process.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Deadlines are identified in the Funding Opportunity Announcement.

#### **Appeals:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Cost Share Requirements are as follows:

- For a domestic educational institution or domestic nonprofit applying as a Standalone Applicant, the cost share is Greater than or Equal to 5% of the Total Project Cost
- For Project Teams composed exclusively of domestic educational institutions, domestic nonprofits, and/or FFRDCs, the cost share is 5% of the Total Project Cost
- For Project Teams where domestic educational institutions, domestic nonprofits, and/or FFRDCs perform 80%, but less than 100%, of the work under the funding agreement, as measured by the Total Project Cost, the cost share is 10% of the Total Project Cost
- For Technology Investment Agreements and other transactions agreements, the cost share is 50% of the Total Project Cost
- For All other projects, the cost share is 20% of the Total Project Cost

There is a requirement for cost sharing of at least 20%, a higher percentage may be required for individual Funding Opportunity Announcements. Educational institutions that are sole grantees, and teams/consortia consisting exclusively of educational institutions that receive funding may be eligible for a reduced cost share of not less than 10% of the total allowable project costs.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

As required under the Energy Independence and Security Act of 2007 and American Recovery and Reinvestment Act of 2009, as applicable. See the following for information on how assistance is awarded/released: Most often under a Cooperative Agreement as reimburseable.

#### **Reports:**

In accordance with the Energy Independence and Security Act of 2007, DOE procurement procedures and the Recovery Act of 2009. Quarterly progress reports will be required along with a final report. Cash reports are not applicable. Progress reports are not applicable. Quarterly financial reports will be required along with a final report (and as described in the Funding Opportunity Announcement). Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements laid out in the OMB Circulars apply to the ARPA-E Program. Circulars are available at the White House website.

**Records:**

In accordance with the Energy Independence and Security Act of 2007, DOE procurement procedures and the Recovery Act of 2009.

**Account Identification:**

89-0337-0-1-270 - Energy Transformation Acceleration Fund ;  
89-0336-0-1-270 - Energy Transformation Acceleration Fund - Recovery Act.

**Obligations:**

(Cooperative Agreements) FY 11 \$165,000,000; FY 12 est \$255,000,000; and FY 13 est \$368,000,000 - Energy Transformation Acceleration Fund - Recovery Act.

**Range and Average of Financial Assistance:**

\$500,000 to \$10,000,000 (average range is \$3-\$4 million).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funded 75 transformational energy technology research and development projects. Fiscal Year 2012: Fund 120 transformational energy technology research and development projects. Fiscal Year 2013: Fund 150 transformational energy technology research and development projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

As described under the Energy Independence and Security Act of 2007, America COMPETES Act of 2007, the America ReCOMPETES Act of 2010, and the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Antony DiGiovanni Department of Energy, 1000 Independence Avenue, S.W., Washington, District of Columbia 20585 Phone: (202) 287-1030

**Website Address:**

<http://www.arpa-e.energy.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

As described in the Funding Opportunity Announcement.

**81.136 LONG-TERM SURVEILLANCE AND MAINTENANCE**

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

Atomic Energy Act of 1954, Section 31, as amended, Public Law 83-703; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) as amended; Uranium Mill Tailings Radiation Control Act of 1978, Public Law 95-604; Department of Energy Organization Act of 1977, as amended Public Law 96-573; Superfund Amendments and Reauthorization Act of 1986, Public Law 99-499; Resource Conservation and Recovery Act (RCRA), Public Law 95-480; Executive Order 12898, Federal Actions To Address Environmental Justice in Minority Populations and Low-Income Populations.

**OBJECTIVES:**

The objectives of the Office of Legacy Management are to manage the Departments post-closure responsibilities and ensure the future protection of human health and the environment. This Office has control and custody for

legacy lands, structures, and facilities and is responsible for maintaining them at levels suitable for their long-term use. This Office also provides environmental assistance to enable communities around DOE sites to address environmental issues.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives. Restrictions on the use of funds depend on the provisions of the specific project agreement. Applicants must meet the guidelines established by DOE or contained in the specific Congressional authorization for a particular program being supported.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

These determinations will be made by DOE Headquarters. An environmental impact statement may be required depending on the program and project. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. After informal communication with DOE Headquarters Office, a formal proposal by the organization interested in doing the work must be submitted through an appropriate official of the corporate entity, organization or institution. A Standard Form 424, Application for Federal Assistance, Standard Form 424A, Budget Information for Non-Construction Programs, Standard Form 424B, Assurances for Non-Construction Programs, and a written proposal should be submitted to the project office and include: a title, objectives, time frame, and a budget breakdown.

**Award Procedure:**

Projects are reviewed at the Office of Legacy Management and award decisions are made throughout the fiscal year.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

90 to 180 days.

**Appeals:**

None.

**Renewals:**

Awards may be modified or extended as required.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Varies with each grant/cooperative agreement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time period for a grant or cooperative agreement is dependent upon the individual project proposed. See the following for information on how assistance is awarded/released: Varies with each grant/cooperative agreement.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. A final report may be due at the end of the grant or cooperative agreement. SF 425, Federal Financial Report is required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

A recipient is expected to maintain auditable records to substantiate the total costs incurred under the grant or cooperative agreement.

**Account Identification:**

89-0243-0-1-270.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$3,527,875; FY 12 est \$2,824,401; and FY 13 est \$3,339,261 - The 81.136 CFDA program belongs to the Office of Legacy Management which took over awards that transferred from a variety of program offices after the Legacy Management program was established during FY04.

**Range and Average of Financial Assistance:**

The range is \$4,000 to \$450,000. The average is ~\$89,736.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 26 Grants and 11 Cooperative Agreements. Fiscal Year 2012: 25 Grants and 10 Cooperative Agreements. Fiscal Year 2013: 26 Grants and 10 Cooperative Agreements.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

DOE Financial Assistance Regulations (10 CFR 600); and the DOE Guide to Financial Assistance, both of which may be accessed through the DOE Office of Management home page at [http://www.management.energy.gov/policy\\_guidance.htm](http://www.management.energy.gov/policy_guidance.htm)

**Regional or Local Office:**

None.

**Headquarters Office:**

Nicholas Keith Office of Legacy Management  
1000 Independence Ave. S.W.  
, Washington, District of Columbia 20585 Email: [nicholas.keith@hq.doe.gov](mailto:nicholas.keith@hq.doe.gov)  
Phone: 202-586-8018

**Website Address:**

<http://www.lm.doe.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals are selected based on statutory eligibility and work that is beneficial to the overall accomplishment of the Office of Legacy Management goals and objectives.

- Goal 1: Protect human health and the environment
- Goal 2: Preserve, protect, and share records and information.
- Goal 3: Meet commitments to the contractor work force
- Goal 4: Optimize the use of land and assets
- Goal 5: Sustain management excellence

In most cases, the criteria for award on the specific scope are associated with the site and the local entities. All grants/cooperative agreements are awarded to entities specifically associated with a respective site and regulatory agreements (i.e., State has oversight rights). Grants/cooperative agreements are almost always sole-source. Criteria may include cost of the project, applicants qualifications, and applicability to LMs mission. To manage the Department's post-closure responsibilities and ensure the future protection of human health and the environment. Legacy Management has control and custody for legacy lands, structures, and facilities and is responsible for maintaining them at levels consistent with Departmental long-term plans.

**81.137 MINORITY ECONOMIC IMPACT**

Minority Education Awards Program

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

National Energy Conservation Act, Title NECPA, Section 641, 42 U.S.C 7141; Executive Order Executive Order 13592, Tribal Colleges and Universities, December 8, 2011 as amended; Executive Order Executive Order 13532, President's Advisory Commission on Educational Excellence for Hispanic Americans, October 19, 2010, as amended; Executive Order Executive Order 13515, Asian Americans and Pacific Islanders, October 14, 2009 as amended; Executive Order Executive Order 13532, White House Initiative on Historically Black Colleges and Universities, February 26, 2010, as amended.

**OBJECTIVES:**

The program's primary focus is to engage minority serving institutions (MSIs) in DOE mission activities, collaborative research projects throughout the DOE, and future workforce development.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial support, in whole or in part, may be provided for salaries, stipends, materials and supplies, equipment, travel, publication and training, and services required for conducting research, training, and related activities. Funding is provided for the purpose of exploring an idea that does not duplicate work already in progress or contemplated by DOE, is not already known to DOE, or has previously unrecognized merit. Restrictions on the use of funds depend on grant provisions.

**Applicant Eligibility:**

Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs), Asian American Pacific Islander (AAPI) Serving Institutions, and non-profit institutions servicing HBCUs, HSIs, TCUs, and AAPIs.

**Beneficiary Eligibility:**

The general public, scientists, researchers, student/trainee, graduate students, institutions of higher learning, DOE, and other US government agencies will benefit. Middle and high school will also benefit due to the institutions of higher learning's programs supported by DOE.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Various.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two Years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

89-0228-0-1-050.

**Obligations:**

(Salaries) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

10CFR Part 600 and cfr Part Part 2

**Regional or Local Office:**

None.

**Headquarters Office:**

Annie Whatley 1000 Independence Ave. SW., Washington, District of Columbia 20585 Email: diversity@hq.doe.gov Phone: 2025868383 Fax: 2025863075

**Website Address:**

<http://energy.gov/diversity>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.138 STATE HEATING OIL AND PROPANE PROGRAM**

(SHOPP)

**FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

97-258, 31 U.S.C 6304.

**OBJECTIVES:**

SHOPP is a joint data collection effort between large heating oil and propane consuming States in the Northeast and Midwest and the U.S. Department of Energy/U.S. Energy Information Administration (EIA).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

SHOPP provides State and Federal governments, the press, policy makers, consumers, analysts and others with up-to-date information on retail heating fuels prices during the heating season. These funds are to be used only for activities relating to the State Heating Oil and Propane Program. Expenses which qualify as eligible toward the program cost include, but are not limited to, the cost of personnel, fringe benefits, travel, equipment, supplies, and indirect charges related to data collection or the analysis and understanding of market conditions which may impact heating oil and propane prices. This program is also based on a 50-50 cost sharing agreement between the States and EIA, which means that total program costs must be split equally between State and Federal funds.

**Applicant Eligibility:**

SHOPP is a joint data collection effort between large heating oil and propane

consuming states in the Northeast and Midwest and the U.S. Department of Energy/Energy Information Administration (EIA).

**Beneficiary Eligibility:**

Beneficiaries are States and their agencies that have the resources to conduct the program, and consume significant amounts of heating oil and/or propane for residential purposes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An email expressing intent to apply should be sent to the survey manager prior to application for States which are not currently participating in SHOPP. The U.S. EIA may not be able to accommodate all requests for participation. No formal preapplication forms are necessary. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

This award is a five-year cooperative agreement between EIA and the State. Every five years, applicants are required to fill out forms per OMB Circular A-102 and other forms as stated on EIAs website at: [http://www.eia.gov/petroleum/heatingoilpropane/faq\\_stateofficials.cfm](http://www.eia.gov/petroleum/heatingoilpropane/faq_stateofficials.cfm).

**Deadlines:**

May 15, 2012: May 15th of each year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

NA.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance is available for expenditures made during the current award year up to 2 years after the end of the current grant year. Although they may be accessed for a time period after the award year, funds for each grant year may only be spent on program activities for that specific year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Management Reporting Progress Report; Scientific/Technical Report DOE F 241.3; Financial Reporting SF 425. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

89-0216-0-1-276.

**Obligations:**

(Salaries) FY 11 \$184,257; FY 12 est \$200,000; and FY 13 est \$200,000

**Range and Average of Financial Assistance:**

FY 2009 - \$188,825, FY 2010 - \$187,257, FY 2011 - \$184,257 \$200,000 is allocated annually for financial assistance to States for SHOPP.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marcela Rourk 1000 Independence Ave, Washington, District of Columbia  
20585 Email: Marcela.rourk@eia.gov Phone: 2025864412

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**81.214 ENVIRONMENTAL MONITORING/CLEANUP, CULTURAL AND RESOURCE MGMT., EMERGENCY RESPONSE RESEARCH, OUTREACH, TECHNICAL ANALYSIS****FEDERAL AGENCY:**

Department of Energy

**AUTHORIZATION:**

National Historic Preservation Act of 1966 (Public Law 89-665; 16 U.S.C. 470 et seq.). Subsequent amendments to the Act include Public Laws 91-243, 93-54, 94-422, 94-458, 96-199, 96-244, 96-515, 98-483, 99-514, 100-127, 102-575, 103-437, 104-333, 106-113, 106-176, 106-208, 106-355, 109-453.

Archaeological Resources Protection Act of 1979 (Public Law 96-95; 16 U.S.C. 470aa-mm)

Native American Graves Protection And Repatriation Act of 1990 (Public Law 101-601)

Comprehensive Environmental Response, Compensation, and Liability Act (Superfund) of 1980 42 U.S.C. 9601 et seq.

Solid Waste Disposal Act of 1965, (Public Law 102-386; 42 U.S.C 6961), Section 6001

Atomic Energy Act of 1954 as amended, Public law 83-703; Stat. 9191: 42 U.S.C. 2011 et seq; Department of Energy Organization Act, 42 U.S.C. 7101 Public Law 95-91

Emergency Planning and Community Right to Know Act (42 U.S.C.

11001-11050) of 1986 (Title III of Superfund Amendments and

Reauthorization Act (PL 99-499)

Energy Policy Act of 1992

Freedom of Information Act and Privacy Act, 5 U.S.C. 552 and 5 U.S.C. 552a

, Executive Order White House Initiative On Historically Black Colleges and Universities, Executive Order 13532, February 26, 2010

White House Initiative On Education Excellence for Hispanics, Executive Order 13555, October 19, 2010

Federal Actions To Address Environmental Justice In Minority Populations And Low-Income Populations, Executive Order, 12898, February 11, 1994.

**OBJECTIVES:**

Provides technical and financial assistance to State and local government entities for the conduct of projects/activities to support DOE missions; requirements to manage cultural resources and commitments to provide the public assurances that implemented DOE programs are protective of human health and the environment and educational training and EMs goals to reduce legacy footprint, lifecycle cost and accelerate cleanup and offer research opportunities in science technology, engineering and mathematical (STEM) fields.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Financial assistance is provided in support of the program objectives.

Restrictions on the use of funds depend on the provisions of the specific project agreement. Applicants must meet the guidelines established by DOE or contained in the specific Congressional authorization for a particular program being supported.

**Applicant Eligibility:**

Research and Development  
Environmental Restoration.

**Beneficiary Eligibility:**

State, Local US Territory/Possession, Minority Group, Low Income.

**Credentials/Documentation:**

Costs will be determined in accordance with 10 CFR 600 for State and local Governments. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular A-102 applies to this program. OMB Circular No. A-11 applies to this program. The application forms must be downloaded from the Grants.gov website at <http://www.grants.gov>. Applicants for sub-awards from the states should consult the office of the official designated as the single point of contact within the State for more information on the process the State requires to be following in applying for assistance.

**Award Procedure:**

Evaluations will be conducted by the staff of the Office of Acquisition Management and the applicable Program Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. None.

**Appeals:**

None.

**Renewals:**

From 90 to 120 days. Renewals are subject to review by the program office and subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. This program has no matching requirements. Cost sharing is not required, however, strongly encouraged. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Vary. See the following for information on how assistance is awarded/released:

Funds are released through the Electronic Transfer System. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly reports and technical progress reports containing accomplishments and information on cost status, reported per task is required. Additionally, a final technical report is due 90 days after the end of the performance period. Performance monitoring is achieved through submission of progress reports and site visits. Quarterly project Financial Cash Transaction Reports are required. Quarterly reports and technical progress reports containing accomplishments and information on cost status, reported per task is required. Quarterly Spend Plan

Quarterly project Financial Cash Transaction Reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Retention of records will be required in accordance with 10 CFR 600.

**Account Identification:**

89-1191-0-1-250.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$517,100; and FY 13 est \$502,000 - Subject to funds availability. Three previous CFDA 81.520 - Miscellaneous and one CFDA 81.003 - Granting of Patent Licenses will now be placed in this category.

**Range and Average of Financial Assistance:**

\$0.00 to \$517,100.00. Subject to the availability of funds.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No awards. Fiscal Year 2012: Subject to the availability of funds. Two previous CFDA 81.502 - Miscellaneous. Fiscal Year 2013: Two previous CFDA 81.502 - Miscellaneous.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Financial assistance actions will be completed in accordance with 10 CFR 600, OMB Circulars A-102 and A-133, 2 CFR 180, and all applicable National Policies (Laws and Executive Orders).

**Regional or Local Office:**

See Regional Agency Offices. Department of Energy, Savannah River Operations Office, P. O. Box A, Aiken, SC 29802.

**Headquarters Office:**

Angelia Adams Department of Energy, Savannah River Operations Office, P. O. Box A, Aiken, South Carolina 29802 Email: angelia.adams@srs.gov Phone: 803-952-8593 Fax: 803-952-7710

**Website Address:**

<http://www.srs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Educational opportunities in interdisciplinary, environmental and waste management education, research and technology transfer. Fiscal Year 2013: State cultural and resource management  
Environmental justice.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process will be determined by the criteria announced in the solicitation, if any.

**DEPARTMENT OF EDUCATION**

**84.002 ADULT EDUCATION - BASIC GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Adult Education and Family Literacy Act, (AEFLA), (Title II of the Workforce Investment Act of 1998), 20 U.S.C. 9201 et seq.

**OBJECTIVES:**

To fund local programs of adult education and literacy services, including workplace literacy services, family literacy services, and English literacy and integrated English literacy-civics education programs. Participation in these programs is limited to adults and out-of-school youths aged 16 and older who do not have a high school diploma or equivalent and who are not enrolled or required to be enrolled in a secondary school under State law. See 20 USC 9202(1).

**TYPES OF ASSISTANCE:**

**FORMULA GRANTS**

**USES AND USE RESTRICTIONS:**

The Act lists specific performance measures on which States are assessed. These include: demonstrated improvements in literacy skill levels in reading, writing, and speaking the English language, numeracy, problem-solving, English language acquisition and other literacy skills; placement in, retention in, or completion of postsecondary education, training, unsubsidized employment, or career advancement; receipt of a high school diploma or its equivalent; other objective, quantifiable measures, as identified by the State agency. Not more than 12.5 percent of the State allotment may be used for State leadership activities, including professional development; 82.5 percent or more of the State allotment must be used to support local programs and corrections education and other institutionalized individuals. Not more than 8.25 percent of the State allotment may be used for correctional education and other institutionalized individuals; not more than 5 percent (or \$65,000, whichever is greater) of the State allotment may be used for State administrative costs. Annual appropriations have in recent years set aside an amount that is reserved for English literacy and civics education services to immigrants and other limited English proficient populations. In FY12, the amount was \$75 million. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Formula grants are made to designated eligible State agencies that under State law are responsible for administering or supervising statewide policy for adult education and literacy, including such entities as State educational agencies (SEAs), postsecondary agencies, or workforce agencies. State agencies must provide direct and equitable access to: local educational agencies; public or private nonprofit agencies; community-based organizations of demonstrated effectiveness; institutions of higher education; volunteer literacy organizations of demonstrated effectiveness; libraries; public housing authorities; nonprofit institutions not described above that have the ability to provide literacy services to adults and families; and consortia of the entities described above.

**Beneficiary Eligibility:**

Adults and out-of-school youths who are 16 years of age and older, who are not enrolled or required to be enrolled in secondary school under State law, and who lack sufficient mastery of basic educational skills to enable them to function effectively in society or do not have a secondary school diploma or its recognized equivalent, and have not achieved an equivalent level of education, or are unable to speak, read, or write the English language.

**Credentials/Documentation:**

A 5-year State plan as provided for in Section 224 of the AEFLA, Education Department General Administrative Regulations, 34 CFR 74, 76, 77, 79, 80, 81, 82, 85, and 86 and 34 CFR Part 462. The State plan must include a certification from a State official that all provisions and amendments thereto are consistent with the Act. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The Director of Adult Education and Literacy will provide guidance on specific problems and technical assistance in the preparation of State Plans. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each eligible educational agency must submit to the Secretary of Education a 5-year State plan that sets forth the manner and procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act.

**Award Procedure:**

The Department approves the 5-year State plan and any amendment thereto and makes allocations to the State each July 1.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

States are afforded an opportunity for hearings.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Initial Allotment: Eligible outlying areas receive an initial allotment of \$100,000 and eligible states, including the District of Columbia and Puerto Rico, receive an initial allotment of \$250,000.

Matching Requirements: Generally, the remainder is allotted to all eligible agencies on the basis of the ratio of adults and youths age 16 and older who are not enrolled or required to be enrolled in secondary school under State law and who do not hold a high school diploma or equivalent. No agency may receive less than 90 percent of its allotment from the preceding fiscal year. The data source is a special tabulation of American Community Survey (ACS) data by the Bureau of the Census. Matching Requirements: To receive a grant, States, the District of Columbia, and Puerto Rico must provide a nonfederal contribution in an amount equal to 25 percent of the total amount of funds expended for adult education and literacy activities in the State. To receive a grant, eligible outlying agencies must provide a nonfederal contribution in an amount equal to 12 percent of the total amount of funds expended for adult education and literacy activities. The program has a nonsupplanting requirement, and therefore the applicant must use a restricted indirect cost rate, which is referenced under 34 CFR 76 564-76.569. For assistance call the Office of the Chief Financial Officer / Indirect Cost Group on 202-708-7770. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds must be obligated within 27 months of their date of availability. States draw funds as needed under the Electronic Transfer System. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR, and as approved by OMB. Cash reports are not applicable. Progress reports: Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR as approved by OMB. Expenditure reports: Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR. Performance Monitoring: Annual Financial and Program Performance Reports in accordance with the provisions in EDGAR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years from the date of submission of the final Financial Status Report.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$596,120,370; FY 12 est \$594,993,333; and FY 13 est \$594,993,333

**Range and Average of Financial Assistance:**

FY 12: \$22,878-\$90,933,921; \$10,254,174 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Go to <http://www.nrsweb.org/>. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Adult Education General Provisions and State-Administered Basic Grant Program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anthony Corio, 400 Maryland Ave., Washington, District of Columbia 20202  
Email: Anthony.Corio@ed.gov Phone: (202) 245-6836.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html>

**RELATED PROGRAMS:**

84.191 Adult Education\_National Leadership Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Go to <http://www.nrsweb.org/> for State-reported data and to <http://www2.ed.gov/about/offices/list/ovae/resource/index.html> to review the annual report to Congress. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.004 CIVIL RIGHTS TRAINING AND ADVISORY SERVICES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Civil Rights Act of 1964, Title IV, as amended.

**OBJECTIVES:**

To provide technical assistance and training services to school districts and other responsible governmental agencies to cope with educational problems occasioned by race, gender, and national origin desegregation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds support Equity Assistance Centers to provide technical assistance and training, upon request, in the areas of race, sex, and national origin to public school districts and other responsible governmental agencies to promote equitable education opportunities. The centers work in the areas of civil rights and equity. This assistance helps schools and communities ensure that equitable education opportunities are available and accessible for all children.

**Applicant Eligibility:**

Any private, nonprofit organization or any public agency (other than a State educational agency or school board) may apply.

**Beneficiary Eligibility:**

Educational personnel and elementary and secondary students in local school districts benefit.

**Credentials/Documentation:**

More detailed information may be found in the regulations. OMB Circular No. A-122 for nonprofit organizations applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.



**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

After completion of competitive peer review of applications, the Department makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30 to 90 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Equity assistance centers receive 3-year awards if they meet the criteria for annual continuation in the regulations. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are appropriated on an annual basis. Renewals are subject to the availability of appropriations. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

In accordance with OMB Circular No. A-102 (Attachments H and I) and ED General Administrative Regulations for Direct Project Grant and Contract Programs, 34 CFR 74, 75. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$6,975,022; FY 12 est \$6,961,817; and FY 13 est \$6,961,817

**Range and Average of Financial Assistance:**

In FY 12, \$571,170-\$751,304, year 1; \$688,261 - average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department made 10 new awards. Fiscal Year 2012: The Department will make continuation awards. Fiscal Year 2013: The Department anticipates making continuation awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 270, 271, and 272 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Fran Walter Department of Education, OESE, School Support and Technology Programs, Office of Elementary and Secondary Education, 400 Maryland Ave.

S.W., Washington, District of Columbia 20202 Email: fran.walter@ed.gov  
Phone: (202) 205-9198

**Website Address:**

<http://www.ed.gov/programs/equitycenters/index.html> or  
<http://www.ed.gov/about/contacts/gen/othersites/equity.html>

**RELATED PROGRAMS:**

84.165 Magnet Schools Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Applicants addressed competitive priorities for improving the effectiveness and distribution of effective teachers or principals and/or for improving school engagement, school environment, and school safety, and improving family and community engagement. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

New equity assistance center applications are evaluated on the basis of selection criteria, in Section 272.30(a)-(g), addressing mission and strategy, organizational capability, plan of operation, quality of key personnel, budget and cost-effectiveness, evaluation plan, and adequacy of resources. The highest-ranking application for each geographical service area is selected for an award. A competition was conducted in FY11.

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS**

(FSEOG)

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 3, 20 U.S.C. 1070b-1070b-3.

**OBJECTIVES:**

To provide need-based grant aid to eligible undergraduate postsecondary students to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Grants are for undergraduate study, and range from \$100 to \$4,000 per academic year. However, if reasonable study abroad costs exceed the cost of attendance at the home institution, the amount of the grant may exceed the \$4,000 maximum by as much as \$400. A student is eligible to receive a FSEOG for the period of time needed to complete the first undergraduate baccalaureate course of study being pursued by that student. If it awards grants to students in that year an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000, expended, plus 4 percent of expenditures greater than \$2,750,000 but less than \$5,500,000, plus 3 percent of expenditures in excess of \$5,500,000.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements may apply.

**Beneficiary Eligibility:**

Undergraduate students enrolled or accepted for enrollment as regular students; are maintaining satisfactory academic progress in accordance with the standards and practices of the institution, have financial need, do not owe a refund on a Title IV grant, are not in default on a Title IV loan, file a statement of educational purpose, file a statement of registration compliance (Selective Service) and meet citizen/resident requirements may benefit.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation (see listing of ED Regional Offices in Appendix IV). Students

should contact the institution(s) they attend or wish to attend. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Participating institutions submit the Fiscal Operations Report/Application to Participate in Federal Student Financial Aid Programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Federal Student Aid office. New institutions submit only the application form.

**Award Procedure:**

The Federal Student Aid office determines final awards and notifies participating institutions. Postsecondary institutions determine individual student awards.

**Deadlines:**

Oct 01, 2011 Deadlines are specified on the application (usually October 1). Contact the program office for additional information.

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1, and final award notifications sent by April 1.

**Appeals:**

Not Applicable.

**Renewals:**

There are annual renewals.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part A, Subpart 3.  
Matching Requirements: Funds are allocated to institutions on the basis of the institution's base guarantee and pro rata share and then on demonstrated need for funding. Institutions award funds to students on the basis of financial need as determined by the Federal Needs Analysis Methodology specified in statute. This program requires institutional matching funds. The Federal share may not exceed 75 percent unless waived based on objective criteria established in regulations.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: Specified in the award document.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (ED 646-1) is submitted by each institution at the close of each award year (June 30). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits are performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

All records pertaining to the activities of a given fiscal year must be retained for a period of three years following the institution's submission of its Fiscal Operations Report for an award year or until resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$931,633,000; FY 12 est \$929,872,000; and FY 13 est \$929,872,000

**Range and Average of Financial Assistance:**

The average award in FY 2011 was \$669. The average award for FY 2011 and FY 2012 is estimated to be \$669.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately 1,393,000 recipients are expected. Fiscal Year 2012: Approximately 1,390,000 recipients are expected. Fiscal Year 2013: Approximately 1,390,000 recipients are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 676, Student Guide fact sheet, no charge; Student Financial Aid Handbook, no charge; Notification to Members of Congress, list of grantees, published annually or as required, no charge; Federal Needs Analysis Methodology Booklet, no charge; Verification Handbook, no charge; training materials, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Students should contact the educational institution(s) they attend or plan to attend. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV of the Catalog).

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>; [www.studentaid.gov](http://www.studentaid.gov)

**RELATED PROGRAMS:**

64.117 Survivors and Dependents Educational Assistance; 84.031 Higher Education Institutional Aid; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.010 TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES**

(Title I Basic, Concentration, Targeted and Education Finance Incentive Grants)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title I, Part A, 20 U.S.C 6301.

**OBJECTIVES:**

To help local educational agencies (LEAs) improve teaching and learning in high-poverty schools in particular for children failing, or most at-risk of failing, to meet challenging State academic achievement standards.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Use of funds varies, depending on whether a school is operating a schoolwide program under Section 1114 of Title I of the ESEA or a targeted assistance program under Section 1115 of the ESEA. A school with at least a 40 percent poverty rate may choose to operate a schoolwide program under Section 1114, which allows Title I funds to be combined with other Federal, State, and local funds to upgrade the school's overall instructional program. Schoolwide program schools must receive the amount of non-Federal resources they would have received in the absence of Title I funds. All other participating schools must operate targeted assistance programs, which provide extra instruction to

those children failing, or most at risk of failing, to meet challenging State academic achievement standards. Targeted assistance programs must ensure that Title I services supplement, not supplant the regular education programs normally provided with non-Federal funds by local educational agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs) and the Secretary of the Interior. Local educational agencies (LEAs) and Indian tribal schools are subgrantees.

**Beneficiary Eligibility:**

Children in high-poverty schools who are failing, or most at risk of failing, to meet challenging State academic standards.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. SEAs apply for funds as part of Title I, Part A, State plans submitted to the Department of Education in accordance with Section 1111 of ESEA or as part of a consolidated State plan submitted under Section 9302 of ESEA. The plan remains in effect for the duration of the State's participation in Title I, Part A, but must be updated to reflect substantive changes. Participating LEA's must file an approved plan with their SEAs.

**Award Procedure:**

The Department of Education (ED) makes grants through SEAs to LEAs using statutory formulas based primarily on Census Bureau estimates of the number of children from low-income families in each LEA.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

If an LEA's plan is disapproved by the SEA it may appeal to the SEA and then to the Department of Education under Section 432 of the General Education Provisions Act (GEPA).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part A. The statute includes four separate formulas for allocating Title I Grants to LEAs. Under the statute, Basic and Concentration Grants are funded approximately at the 2001 appropriation level. Basic Grants are allocated to almost all local educational agencies based on each State's per-pupil expenditure for education and the number of school-aged children from low-income families. Concentration Grants are allocated to LEAs having more than 6,500 children from low-income families or a poverty rate of more than 15 percent. In addition, funds appropriated in excess of the fiscal year 2001 level are to be allocated as Targeted Grants, which make higher payments to LEAs with higher numbers or percentages of poor children. The law also includes a separately authorized Education Finance Incentive Grants formula, which incorporates factors designed to measure a State's commitment to provide sufficient education funding, as well as how equitably that funding is distributed across districts. Allocations from all four formulas are combined into a single award to eligible LEAs. Within LEAs, funds are targeted to schools with the greatest percentages of poor children.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

The maintenance-of-effort requirements in sections 1125A(e) and 9521 of the

ESEA apply to Title I, Part A.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure under section 421(b) of GEPA, subject to the carryover limitation of section 1127 of the ESEA. See the following for information on how assistance is awarded/released: Contact program office.

**Reports:**

States submit annual performance reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR) in the Appendix to 34 CFR, Part 80, requires State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with section 443(a) of the General Education Provisions Act, States and LEAs must maintain certain program records for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$14,442,926,000; FY 12 est \$14,516,457,000; and FY 13 est \$14,516,457,000

**Range and Average of Financial Assistance:**

The estimate range of awards in FY 2011 is \$32,515,664 - \$1,625,235,701. The average award is \$274,895,097. The estimated range of awards in FY 2012 is \$33,627,421 - \$1,653,520,233. The average award is \$276,295,161. The estimated range of awards in FY 2013 is \$332,627,406 - \$1,666,050,792. The average award is \$276,294,854.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. For Title I guidance and other information, contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan Wilhelm, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, SW., Washington, District of Columbia 20202 Email: susan.wilhelm@ed.gov Phone: (202) 260-0984.

**Website Address:**

<http://www.ed.gov/programs/titleiparta/index.html> .

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.013 Title I Program for Neglected and Delinquent Children; 84.377 School Improvement Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **84.011 MIGRANT EDUCATION\_STATE GRANT PROGRAM**

##### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

##### **AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part C, 20 U.S.C 6391.

##### **OBJECTIVES:**

To assist States in ensuring that migratory children have the opportunity to meet the same challenging State content and performance standards that all children are expected to meet.

##### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

##### **USES AND USE RESTRICTIONS:**

Program funds are used to support high-quality and comprehensive educational programs that address the needs of migratory children. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569.

##### **Applicant Eligibility:**

State educational agencies or consortia of State educational agencies.

##### **Beneficiary Eligibility:**

Children, ages 0 through 21, of migratory agricultural workers or migratory fishers, including children (i.e. persons age 21 or under) who are agricultural workers or migratory fishers or who are the spouses of migratory workers or migratory fishers, who have moved across school district lines within the past 36 months to obtain temporary or seasonal employment in agriculture or fishing work.

##### **Credentials/Documentation:**

States are responsible for ensuring that information documenting a child's eligibility is recorded on a Certificate of Eligibility. OMB Circular No. A-87 applies to this program.

##### **Preapplication Coordination:**

The State educational agency works closely with local educational agencies, institutions of higher education (IHEs), and public and nonprofit private agencies that serve migratory children. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. State educational agencies submit applications to the Department of Education that meet the requirements of the Elementary and Secondary Education Act and applicable regulations. OMB Circular No. A-87 applies to this program.

##### **Award Procedure:**

The Department of Education notifies an approved State educational agency of its award through a Grant Award Notification (GAN).

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 90 to 120 days.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory Formula: Title I, Part C. Sec 1303, ESEA.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Awards are for a period of twelve months. Unspent funds may be carried over into the next fiscal year. See the following for information on how assistance is awarded/released: Electronic funds transfer.

##### **Reports:**

Each SEA receiving funds is required to submit an annual report that provides information on the number of children identified as eligible for the program, characteristics of children served the services provided, staff, and student performance. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

##### **Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain program records must be maintained for 3 years.

##### **Account Identification:**

91-0900-0-1-501.

##### **Obligations:**

(Formula Grants) FY 11 \$393,981,458; FY 12 est \$393,236,376; and FY 13 est \$393,236,000

##### **Range and Average of Financial Assistance:**

The range of awards in FY 2012 was \$69,015 - \$134,760,620.

##### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided services to 323,085 Individuals. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Frances Moran, Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202-6135 Email: frances.moran@ed.gov Phone: (202) 260-1164.

##### **Website Address:**

<http://www.ed.gov/programs/mep/index.html>

##### **RELATED PROGRAMS:**

84.141 Migrant Education\_High School Equivalency Program; 84.144 Migrant Education\_Coordination Program; 84.149 Migrant Education\_College Assistance Migrant Program

##### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Programs operating during the school day, extended-day school projects, and summer/intersession projects. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

##### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **84.013 TITLE I STATE AGENCY PROGRAM FOR NEGLECTED AND DELINQUENT CHILDREN AND YOUTH**

##### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part D.

**OBJECTIVES:**

To help provide educational continuity for neglected and delinquent children and youth in State-run institutions for juveniles and in adult correctional institutions, so that these youth can make successful transitions to school or employment once they are released.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Title I, Part D, Subpart 1, State Agency Neglected and Delinquent program provides formula grants to State educational agencies (SEAs) that then make subgrants to state agencies. State agencies use funds for supplementary education services to help provide education continuity for children and youths in state-operated institutions for children and youths, in community day programs for neglected and delinquent children and youths, and in adult correctional institutions so that these children and youths can make successful transitions to school or employment once they are released. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

SEAs. State agencies responsible for providing free public education for children and youth (1) in institutions for neglected or delinquent children and youth; (2) attending community day programs for neglected or delinquent children and youth; or (3) in adult correctional institutions may apply to their SEA for subgrants.

**Beneficiary Eligibility:**

Children and youth in institutions for neglected or delinquent children and youth, in community day programs for neglected or delinquent children and youth, and adult correctional institutions.

**Credentials/Documentation:**

There are cost principles for this program. See 34 CFR 80.22, which incorporates OMB Circular A-87 (Cost Principles for State, Local and Indian Tribal Governments), now codified at 2 CFR Part 225. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An SEA may apply for State Agency Neglected and Delinquent funds as (1) part of its Title I, Part D, State plan submitted to the Department under Section 1414 of the ESEA or (2) as part of a consolidated State plan under Section 9302 of the ESEA. To receive funds, State agencies must apply to the SEA and provide the information and assurances required in Section 1414 of the ESEA.

**Award Procedure:**

The Department of Education's Office of Elementary and Secondary Education awards grants to State educational agencies, that in turn award subgrants to the State agencies that have submitted applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

Not Applicable.

**Renewals:**

Although State plans are effective for the duration of Title I's authorization, SEAs are required to update plans to reflect changes. State agencies must

update their applications annually to receive funds.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part D, Subpart 1.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Generally, awards to States are made from July 1 to September 30 of the following year. Funds remain available to the State for an additional fiscal year for obligation and expenditure. See the following for information on how assistance is awarded/released: Contact the program office for information on how funding is awarded.

**Reports:**

Each State agency conducting a Title I, Part D, Subpart 1 program is required to evaluate the program's impact on students served at least once every 3 years. Generally, States report annually on the number of neglected or delinquent students obtaining a secondary school diploma or its recognized equivalent while in the N and D program, the number of neglected or delinquent students earning high school course credits, and the number of long-term neglected or delinquent students who improve mathematics and reading skills as measured through State-approved assessments. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit requirements for this program are set forth in 34 CFR 80.26, which requires grantees to comply with the Single Audit Act Amendment of 1996 and OMB Circular A-133 (Audits of States, Local Governments and Non-Profit Organizations). 80.26(b) also requires grantees to determine whether subgrantees have complied with the Act and OMB Circular A-133.

**Records:**

In accordance with the General Educational Provisions Act and the Education Department General Administrative Regulations, certain project records must be maintained for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$50,326,146; FY 12 est \$50,230,884; and FY 13 est \$50,231,000

**Range and Average of Financial Assistance:**

2011: Range: \$75,668 - \$2,883,542; Average: \$943,615.

2012: Range: \$83,501 - \$3,002,698; Average: \$941,829.

2013: Range: \$83,501 - \$3,002,705; Average: \$941,831.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 200. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

John McLaughlin, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Rm. 3C130, Washington, District of Columbia 20202 Email: john.mclaughlin@ed.gov Phone: (202) 401-0962.

**Website Address:**

<http://www.ed.gov/programs/titleipartd/index.html>

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 93.645 Child Welfare Services\_State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

State agencies are eligible to receive assistance if they are providing free public education for children who are (1) in institutions for neglected or delinquent children; (2) attending community day programs for neglected or delinquent children; or (3) in adult correctional institutions.

**84.015 NATIONAL RESOURCE CENTERS PROGRAM FOR FOREIGN LANGUAGE AND AREA STUDIES OR FOREIGN LANGUAGE AND INTERNATIONAL STUDIES PROGRAM AND FOREIGN LANGUAGE AND AREA STUDIES FELLOWSHIP PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part A, Section 602.

**OBJECTIVES:**

Centers: To promote instruction in modern foreign languages and area and international studies that are critical to national needs by supporting the establishment, strengthening and operation of such programs at colleges and universities. Centers may focus on undergraduate training only or may be comprehensive, including undergraduate, graduate, and professional training components. Fellowships: To meet the needs of the United States for experts in modern foreign languages combined with area studies and world affairs by supporting fellowships for undergraduate and graduate study at institutions of higher education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Centers: Funds may be used for instructional costs of language and area and international studies programs, administration, lectures, conferences, library resources and staff, outreach, and travel. Fellowships: Funds may be used for academic year and summer fellowships to institutions of higher education (IHEs) in order to assist graduate students in acquiring foreign language and either area or international studies competencies. A fellowship awarded to an undergraduate student may include an allowance for educational programs in the United States or education programs abroad that meet certain criteria.

**Applicant Eligibility:**

Centers: U.S. institutions of higher education or consortia of institutions of higher education are eligible to apply. Applying institutions provide evidence of existing resources and institutional commitment to language and area and international studies through a curriculum that provides instruction dealing with a particular country or world area and its languages, or with international studies and modern foreign languages, including the international aspects of professional or other fields of study. Fellowships: Accredited U.S. institutions of higher education or consortia of institutions of higher education offering area or international studies programs combined with language study are eligible to apply for allocations of fellowships.

**Beneficiary Eligibility:**

Centers: U.S. institutions of higher education or consortia of institutions of higher education will benefit. Fellowships: Undergraduate and graduate students enrolled in funded centers and programs will benefit. Student candidates must be U.S. citizens or nationals or permanent residents training in area or international studies and in modern foreign languages programs that have or are developing performance-based language instruction. Undergraduate students must be engaged in intermediate level study or above of a less commonly taught language. Training must be undertaken through an institution that has an allocation of Foreign Language and Area Studies (FLAS) Fellowships.

**Credentials/Documentation:**

Contact program office. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for the funding of centers only, fellowships only, or both when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of proposals are available from the Office of the International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Centers: Final recommendations are made to the Secretary following evaluations from panels of experts that evaluate applications according to published selection criteria. Fellowships: The student should contact his/her sponsoring institution for information concerning application forms, deadlines, and related matters. Institutional proposals are approved or disapproved by the Secretary, following the same procedures as for Center applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Higher education institutions receiving funds for four year phased program support must submit annual performance reports for the second, third and fourth year for continuation of such support. Students seeking fellowships apply to their institutions for each summer or academic year award period. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Centers: Grants are awarded for project period of up to 48 months. Payments are made as stipulated in the grant. Renewals are subject to the availability of funds. Fellowships: Academic year and summer fellowship awards to student recipients are made by the institutions on a competitive basis. If summer fellowships are issued, they will be for a summer session in which the equivalent of an academic year's foreign language study is completed. Payments are made by the grantee institution. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

Centers: Centers submit interim and annual performance reports through the International Resource Information System (IRIS). Centers submit a final performance report 90 days after the project end date. Fellowships: FLAS granting institutions report on fellowship award recipients at the beginning and end of each award period. Institutional final reports (awards lists) and budget reports are required annually. Staff monitor grants drawdown using agency financial reports. Cash reports are not applicable. Contact program office. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grant or relating to the accountability for awarded funds must be available upon request: (1) for 3 years after close of the fiscal year in which the grant expired or (2) until the grantee is notified of completion of Federal financial audit, whichever is later. Fellowships: All records bearing on the receipt and expenditure of funds under the program must be available for inspection by the Department: (1) for 3 years after the fiscal year in which grant funds are spent, (2) until audited or for 5 years after grant, or (3) until resolution of any audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$18,048,762; FY 12 est \$18,048,762; and FY 13 est \$20,048,762 - For Centers. (Project Grants) FY 11 \$35,398,500; FY 12 est \$35,398,500; and FY 13 est \$35,398,500 - For Fellowships.

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655, 656, and 657, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carla White, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, Washington, District of Columbia 20006 Email: carla.white@ed.gov Phone: (202) 502-7631.

**Website Address:**

<http://www.ed.gov/programs/iegpsnrc/>; or  
<http://www.ed.gov/programs/iegpsflas/>.

**RELATED PROGRAMS:**

84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

34 CFR 655, 656, and 657 apply to the Centers and Fellowships Programs. Selection criteria for evaluating applications and selecting centers are listed in the Title VI, International and Foreign Language Education Program Regulations in 34 CFR 655.31, 656.21 or 656.22. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. 34 CFR 657.21 gives the criteria for selection of institutional awards for fellowship allocations. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

**84.016 UNDERGRADUATE INTERNATIONAL STUDIES AND FOREIGN LANGUAGE PROGRAMS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part A, Section 604.

**OBJECTIVES:**

The Undergraduate International Studies and Foreign Language Program supports awards to institutions of higher education and public and nonprofit private agencies and organizations. The awards assist: (1) institutions of higher education to plan, develop, and carry out a program to strengthen and improve undergraduate instruction in international studies and foreign languages; and (2) associations and organizations to develop projects that will make an especially significant contribution to strengthening and improving undergraduate instruction in international studies and foreign languages.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Each program assisted with Federal funds must primarily enhance the international academic program of the institution. Eligible activities may include but are not limited to: development of a global or international studies program that is interdisciplinary in design; development of a program that focuses on issues or topics, such as international business or international health; development of an area studies program and its corresponding foreign languages; creation of innovative curricula that combine the teaching of international studies with professional and pre-professional studies, such as engineering; research for and development of specialized teaching materials, including language instruction, i.e., business French; establishment of internship opportunities for faculty and students in domestic and overseas settings; and development of study abroad programs. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

Accredited colleges and universities, and public and nonprofit private agencies and organizations.

**Beneficiary Eligibility:**

Accredited colleges and universities, and public and nonprofit private agencies and organizations will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. When funds are available for the support of new programs, announcements are issued in the Federal Register. Application forms and guidelines for submission of proposals are available from the Office of International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants in accordance with the published criteria.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Institutions of higher education and associations and organizations currently receiving funds for two- or three-year phased program support must submit performance reports for continuation funding according to instructions

established by the Department. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The non-Federal share of the cost of the programs assisted may be provided in cash from the private sector corporations or foundations in an amount equal to one-third of the total cost of the programs or may be provided as an in-cash or in-kind contribution from institutional and noninstitutional funds, including State and private sector corporation or foundation contributions, equal to one-half of the total cost of the programs assisted herein. The Secretary may waive or reduce the matching requirement for institutions that are eligible to receive assistance under part A or B of Title III or under Title V of the Higher Education Act of 1965, as amended. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12-month periods, subject to renewals of one or two years. Payments are made as stipulated in the grant. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: The information is included in the grant award documents.

**Reports:**

All programs must provide final reports upon completion of the program. Staff monitor grants drawdown using agency financial reports. Cash reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report. Expenditure reports are not applicable. Contact program office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under a grant or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which contract was liquidated; or (2) until the grantee is notified of completion of Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$1,042,562; FY 12 est \$1,785,433; and FY 13 est \$3,188,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655 and 658, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christine Corey, Office of International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1190 K Stret, NW, Washington, District of Columbia 20006 Email: Christine.corey@ed.gov Phone: (202) 502-7629.

**Website Address:**

<http://www.ed.gov/programs/iegpsugisf/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.018 Overseas Programs\_Special Bilateral Projects; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In addition to evaluation on the basis of criteria found in the Education Division General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, and 78 the Secretary will further evaluate applications for Federal support for international studies programs in accordance with the criteria published in 34 CFR 655, 658, and 45 CFR 86872.

**84.017 INTERNATIONAL RESEARCH AND STUDIES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended (HEA), Title VI, Part A, Section 605.

**OBJECTIVES:**

To improve foreign language, area, and other international studies training through support of research, studies, development of specialized instructional materials, and the publication of specialized materials developed as a result of research conducted under this program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program supports research and studies that may include but are not limited to: (1) Studies and surveys to determine needs for increased or improved instruction in modern foreign languages, area studies, or other international fields including the demand for foreign language, area, and other international specialists in government, education, and the private sector; (2) research on more effective methods of providing instruction and achieving competency in foreign languages, area studies, or other international fields; (3) research on applying performance tests and standards across all areas of foreign language instruction and classroom use; (4) developing and publishing specialized materials for use in foreign language, area studies, and other international fields or for training foreign language, area, and other international specialists; (5) studies and surveys to assess the use of graduates or programs supported under title VI of the HEA by governmental, educational, and private-sector organizations and other studies assessing the outcomes and effectiveness of supported programs; (6) comparative studies of the effectiveness of strategies to provide international capabilities at institutions of higher education; (7) evaluations of the extent to which programs assisted under title VI of the HEA that address national needs would not otherwise be offered; (8) studies and surveys of the use of technologies in foreign language, area studies, and international studies programs; (9) studies and evaluations of effective practices in the dissemination of international information, materials, research, teaching strategies, and testing techniques throughout the educational community, including elementary and secondary schools; (10) evaluations of the extent to which programs assisted under title VI of the HEA reflect diverse perspectives and a wide range of views and generate debate on world regions and international affairs, as described in the grantees application; (11) systematic collection, analysis, and dissemination of data that contribute to achieving the purposes of title VI, part A of the HEA; and (12) support for programs or activities to make data collected, analyzed, or disseminated under title VI, part A publicly available and easy to understand. Funds awarded under this program may not be used for the training of students and teachers.

**Applicant Eligibility:**

Public and private agencies, organizations, institutions, and individuals may apply.



**Beneficiary Eligibility:**

Public and private agencies, organizations, institutions, and individuals will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-122 for Non-Profit Organizations, and OMB Circular No. A-21 for Educational Institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. Formal applications should be prepared in response to announcements of mandatory program requirements and closing dates in the Federal Register. Application forms and guidelines for the submission of applications are available from the Office of International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Applications are reviewed by Department of Education officials and review panels of scholars.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From six to seven months.

**Appeals:**

Not Applicable.

**Renewals:**

Projects conducted under a grant may be phased, with the phases following the first phase subject to renewal on a non-competitive basis. Renewals of grants, which were not included in the original negotiations, will be considered in competition with all other new applications and are dependent on the submission of reports that demonstrate that substantial progress has been made. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Depends on project, but is generally from 12 to 36 months. Phasing of projects is determined during the negotiation process. See the following for information on how assistance is awarded/released: This information is included in the grant award document.

**Reports:**

A final report or subject data as established through negotiation. Interim progress reports and a financial report are required. No cash reports are required. Staff monitor grant drawdown using agency financial reports. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) For three years after close of the fiscal year of grant expiration or (2) until the grantee is notified of completion of the Federal audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$2,422,500; FY 12 est \$1,700,889; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are available at 34 CFR 655, 660, and the Education Department General Administrative Regulations. Contact the program office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beth MacRae, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, Washington, District of Columbia 20006 Email: beth.macrae@ed.gov Phone: (202) 502-7596.

**Website Address:**

<http://www.ed.gov/programs/iegpsirs/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.018 Overseas Programs\_Special Bilateral Projects; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals is stated in 34 CFR 655.31, 660.31, 660.32, and 660.33. The Secretary will evaluate applications in accordance with the published criteria. An applicant may receive as many as five or fifteen points or as few as zero points under each criterion. (20 U.S.C. 1121-1127, 3063-3065.)

**84.018 OVERSEAS PROGRAMS\_SPECIAL BILATERAL PROJECTS  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To increase mutual understanding and knowledge between the people of the United States and those in other countries by offering qualified U.S. educators opportunities to participate in short-term study seminars abroad on topics in the social sciences and the humanities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds provide round-trip economy airfare, room and board, tuition and fees for seminars. Actual locations may vary from year-to-year. No dependents are to accompany awardees participating in seminars.

**Applicant Eligibility:**

Applicants must (1) be U.S. citizens or have permanent resident status; (2) hold at least a bachelor's degree from an accredited college or university; (3) have at least 3 years full-time in teaching, administering or supervising in the humanities, the social sciences or social studies subjects; (4) be currently

employed full-time in teaching, administering or supervising in the aforementioned areas; (5) meet any language requirements if applicable (see the application booklet for details). If selected, awardees must furnish evidence of good health and emotional maturity.

**Beneficiary Eligibility:**

(1) Undergraduate faculty members of 4 year colleges/universities and 2-year community colleges in the fields of the humanities and social sciences; (2) supervisors and secondary (grades 9 through 12) and elementary and junior high school (grades K through 8) teachers of social studies and humanities; and (3) curriculum development specialists, administrators of local and State education agencies who have direct responsibility for developing curriculum in the subject areas encompassed by the social sciences and the humanities.

**Credentials/Documentation:**

Applicants' basic data; education and professional preparation; present and previous employment; specific statement of objectives; plans to utilize the knowledge and experience gained from the seminar; involvement in educational/professional/civic groups, associations/organizations; personal traits; honors/awards/publications, etc. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

International Education Graduate Programs Service, Department of Education, publishes an annual announcement of opportunities and conducts open competition to select participants. Binational commissions or foundations or other appropriate agencies receive funding to conduct the seminars. The standard application forms as furnished by the Federal agency and as required by OMB Circular No. A-102 must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible applicants may submit applications for a position in one of the seminars when the announcement of a new competition is made through journals, newsletters, educational associations, individuals, etc.

**Award Procedure:**

Recommendations are made to the Secretary of Education following advice from a panel of consultants. All recommended selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants notified in March of selection for seminars.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From 4 to 6 weeks. See the following for information on how assistance is awarded/released: The information is included in the award documents.

**Reports:**

Individual curriculum projects, outreach activities and program evaluations from participants are submitted. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Contact program office.

**Audits:**

No audits are required for this program.

**Records:**

Retained for one year.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$2,466,272; FY 12 est \$1,099,758; and FY 13 est \$636,150

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. Program announcements and related information are available from the Program Officer for International Education, Department of Education.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carly Borgmeier International Education Programs Service, Department of Education, 1990 K St NW, Suite 6080, Washington, District of Columbia 20006 Email: carly.borgmeier@ed.gov Phone: (202) 502-7691

**Website Address:**

<http://www.ed.gov/programs/iegpsap/>

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.021 OVERSEAS PROGRAMS - GROUP PROJECTS ABROAD**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Mutual Educational and Cultural Exchange Act of 1961, as amended, Section 102(b)(6), Public Law 87-256.

**OBJECTIVES:**

To contribute to the development and improvement of the study of modern foreign languages and area studies in the United States by providing grants to support overseas projects in training, research, and curriculum development in modern foreign languages and area studies for teachers, students, and faculty engaged in a common endeavor.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The grant does not provide funds for project-related expenses within the United States. The grant funds may be used in the country of study for the following: maintenance stipend; round-trip international travel; project-related local travel; artifacts; books and other teaching materials; rent for instructional facilities; and clerical and professional services. Projects must focus on the humanities, social sciences and languages, and must focus on one or more of the following areas: Africa, East Asia, South Asia, Southeast Asia and the Pacific, the Western Hemisphere (Central and South America, Mexico, and the Caribbean), East

Central Europe and Eurasia, and the Near East. Applications that propose projects focused on Canada or Western Europe will not be funded.

**Applicant Eligibility:**

Institutions of higher education, State departments of education, private nonprofit educational organizations, and a consortium of institutions, departments, and organizations.

**Beneficiary Eligibility:**

A participant must be: a citizen, or permanent resident of the United States, currently employed full-time in a United States school system, institution of higher education, local education agency or state education agency (not applicable to students), and at least one of the following:

- A teacher in an elementary or secondary school (please see note below);
- A faculty member who teaches modern foreign languages or area studies;
- An experienced education administrator responsible for planning, conducting, or supervising programs in modern foreign languages or area studies at the elementary, secondary, or postsecondary levels;
- A graduate student or junior or senior in an institution of higher education, who is a prospective teacher in the areas of social sciences, humanities and foreign languages. The student should meet the provisions set by his or her local and state education agencies; or
- For the Advanced Overseas Intensive Language Training project, the participating student, other than those planning a teaching career, should be planning to apply their language skills and knowledge of countries vital to the United States national security in fields outside teaching, including government, the professions, or international development.

**Credentials/Documentation:**

Cost will be determined in accordance with OMB Circular No. A-87 for State and local governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An institution or organization interested in the program should plan and propose a group project that would significantly improve its program in foreign language and area studies. Specific guidelines for preparation of proposals as published in the Federal Register are available upon request from the International Education Programs Service (IEPS). The institution or organization must give assurance that the individuals it nominates to undertake the projects are appropriately qualified.

**Award Procedure:**

With the advice of a panel of academic consultants and an assessment of the feasibility and suitability of each proposal by U.S. Embassies and Binational Commissions in the proposed countries of study, the IEPS will make initial selections, and preliminary recommendations of grant recipients to the Secretary. All recommended selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For short-term seminar, curriculum development, and group research or study, projects range from 5 weeks to 12 months; projects are up to 48 months for advanced intensive language training projects. See the following for information on how assistance is awarded/released: The information is included in the grant award document.

**Reports:**

Interim progress, terminal program, and financial reports from the grantee are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements as described in 34 CFR 74.26 do not pertain to this program. All fiscal records are subject to audit at any time within five years after close of the fiscal year in which expenditures are made.

**Records:**

Documents bearing on receipt and expenditure of grant funds must be made available for inspection by the Department: (1) For three years after the close of the fiscal year in which expenditures are made if departmental audit has occurred by that time; (2) until audit or for five years following the end of budget period in which grant expired, whichever is later; or (3) until resolution of outstanding audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$4,891,373; FY 12 est \$2,990,000; and FY 13 est \$3,451,000

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 664 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Guilfoil, International Education Programs Service, Office of Postsecondary Education, Department of Education, 1990 K St. NW, 6th Floor, Washington, District of Columbia 20006 Email: michelle.guilfoil@ed.gov Phone: (202) 502-7625.

**Website Address:**

<http://www.ed.gov/programs/iegpsgpa/>.

**RELATED PROGRAMS:**

19.400 Educational Exchange\_Graduate Students; 19.401 Educational Exchange\_University Lecturers (Professors) and Research Scholars; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

## CRITERIA FOR SELECTING PROPOSALS:

The selection criteria for this program are from 34 CFR 664.31 and are as follows: (a) Plan of operation (20 points), (b) quality of key personnel (10 points), (c) budget and cost effectiveness (10 points), (d) evaluation plan (20 points), (e) adequacy of resources (5 points), (f) potential impact of the project on the development of the study of modern foreign languages and area studies in American education (15 points), (g) relevance to the institution's educational goals and its relationship to its program development in modern foreign languages and area studies (5 points), (h) the extent to which direct experience abroad is necessary to achieve the project's objectives and the effectiveness with which relevant host country resources will be utilized (10 points), and (i) the extent to which the proposed project addresses the competitive preference priorities (10 points). Subject to change. Contact program officer for further information.

## 84.022 OVERSEAS PROGRAMS - DOCTORAL DISSERTATION RESEARCH ABROAD

### FEDERAL AGENCY:

Office of Postsecondary Education, Department of Education

### AUTHORIZATION:

Mutual Educational and Cultural Exchange Act of 1961, as amended, Section 102(b)(6), Public Law 87-256.

### OBJECTIVES:

To provide opportunities for graduate students to engage in full-time dissertation research abroad in modern foreign language and area studies with the exception of Western Europe. This program is designed to contribute to the development and improvement of the study of modern foreign languages and area studies in the United States.

### TYPES OF ASSISTANCE:

PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Funds will be available to enable doctoral candidates to complete field research for their dissertations. Generally awards will not be available for projects focusing primarily on Western Europe or countries where the United States has no diplomatic representation. Financial provisions include basic stipend computed on the cost-of-living in the country where research is to be conducted; cost of international round trip jet economy air fare for fellow only; baggage allowance, dependents allowance for accompanying dependents based on cost-of-living in host country; project allowance to be utilized for the purchase of expendable materials, services, and supplies, tuition payments to foreign institutions, and local travel expenditures; funds to secure health and accident insurance.

### Applicant Eligibility:

Institutions of higher education may apply.

### Beneficiary Eligibility:

A candidate for Doctoral Dissertation Research Abroad Fellowship must: (1) be a (a) citizen or national of the United States; or (b) permanent resident of the United States; (2) be a graduate student in good standing at an institution of higher education who, when the fellowship period begins, has been admitted to candidacy in a doctoral degree program in modern foreign languages and area studies at that institution; (3) plan a teaching career in the United States upon graduation; (4) possess adequate skills in the foreign language(s) necessary to carry out the dissertation research project.

### Credentials/Documentation:

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### Preapplication Coordination:

The institutional project director will be responsible for accepting, screening, and forwarding through the Department of Education's Application system to the Advanced Training and Research Team those individual applications which meet the institution's technical and academic criteria and the program's eligibility requirements. Candidates for dissertation research fellowships apply directly to the institutions at which they are enrolled in a Ph.D. program, not to the Department of Education. Environmental impact information is not required

for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Institutions should request application materials from the Advanced Training and Research Team. Students should address requests for application forms institutional project director at the graduate schools at which they are enrolled in a Ph.D. program.

### Award Procedure:

The Advanced Training and Research Team will make initial selection and recommendation of fellowship recipients with the advice of a panel of specialists in foreign language and area studies and comments by U.S. embassies and binational commissions in the proposed countries of research. Selections are subject to review and final approval by the presidentially appointed J. William Fulbright Foreign Scholarship Board. The grant covering successful graduate students is made to the applicant, i.e., institutions of higher education.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

About 180 days.

### Appeals:

Not Applicable.

### Renewals:

Not Applicable.

### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### Length and Time Phasing of Assistance:

Awards are made for at least 6 but not more than 12 months. See the following for information on how assistance is awarded/released: This information is included in the award document.

### Reports:

Fellows: Pre-Fellowship reports through the grantee institution are due no later than 30 days prior to travel to begin research. Final reports through the grantee institution are due no later than 90 days after the termination date of the award. Institutions: fiscal reports. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance monitoring is not applicable.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

### Records:

Records bearing on receipt and expenditure of funds to be made available for inspection by the Department for 3 years after close of fiscal year in which expenditures are made if departmental audit has occurred by that time, until audit or for five years following the end of the budget period in which the grant expired (whichever is later) or until resolution of any outstanding audit questions.

### Account Identification:

91-0201-0-1-502.

### Obligations:

(Project Grants) FY 11 \$0; FY 12 est \$3,237,656; and FY 13 est \$3,234,161

### Range and Average of Financial Assistance:

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Final regulations published in 34 CFR 662, and in the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Amy Wilson, International Education Programs Service, Office of Postsecondary Education, Department of Education, 1990 K St NW, Room 6084, Washington, District of Columbia 20006 Email: ddra@ed.gov Phone: (202) 502-7689.

**Website Address:**

<http://www.ed.gov/programs/iegpsddrap/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.021 Overseas Programs - Group Projects Abroad; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for this program are from 34 CFR 662.21 and are listed in the following paragraphs. The maximum score for all of the criteria, including the competitive preference priority, is 105 points. The maximum score for each criterion is indicated in parentheses. Quality of proposed project (60 points): In determining the quality of the research project proposed by the applicant, the Secretary considers: (1) The statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used (10 points); (2) the relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's originality and importance in terms of the concerns of the discipline (10 points); (3) the preliminary research already completed in the United States and overseas or plans for such research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries (10 points); (4) the justification for overseas field research and preparations to establish appropriate and sufficient research contacts and affiliations abroad (10 points); (5) the applicant's plans to share the results of the research in progress and a copy of the dissertation with scholars and officials of the host country or countries (10 points); and (6) the guidance and supervision of the dissertation advisor or committee at all stages of the project, including guidance in developing the project, understanding research conditions abroad, and acquainting the applicant with research in the field (10 points). Qualifications of the applicant (40 points): In determining the qualifications of the applicant, the Secretary considers (1) the overall strength of the applicant's graduate academic record (10 points); (2) the extent to which the applicant's academic record demonstrates strength in area studies relevant to the proposed project (10 points); (3) the applicant's proficiency in one or more of the languages (other than English and the applicant's native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers (15 points); and (4) the applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's references or previous overseas experience, or both (5 points). Subject to change. Contact program officer for further information.

**84.027 SPECIAL EDUCATION GRANTS TO STATES****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Sections 611-618, 20 U.S.C 1411-1418.

**OBJECTIVES:**

To provide grants to States to assist them in providing special education and related services to all children with disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States must distribute all grant funds that the State does not reserve for administration of the program or other State-level activities to eligible local educational agencies. Funds are used by State and local educational agencies, in accordance with the IDEA, to help provide the special education and related services needed to make a free appropriate public education available to all eligible children and, in some cases, to provide early intervening services.

**Applicant Eligibility:**

State educational agencies in the 50 States, District of Columbia, Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Guam and Virgin Islands, the Department of the Interior, and freely associated States. Local educational agencies apply to their State educational agency for subgrants.

**Beneficiary Eligibility:**

Children with disabilities will benefit.

**Credentials/Documentation:**

No State or jurisdiction may receive a grant unless the Secretary has approved the annual application and statement of assurances. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are eligible to receive funds under this program if the State establishes eligibility for funds under Section 612 of Part B of the IDEA. Local education agencies establish eligibility by meeting local application eligibility requirements of Section 613 of Part B of the IDEA.

**Award Procedure:**

Once the State application has been approved, a grant award is forwarded to the State department of education. Notification of the award is made to Chief State School Officer. States make subgrants to eligible local educational agencies from their initial grant award after setting aside funds for administration and state-level activities.

**Deadlines:**

May 10, 2013: The submission date for State applications is May 10 to expedite funding, but plans or amendments are accepted throughout the fiscal year.

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Department must not take final action to disapprove an application until the State is provided reasonable notice and an opportunity for a hearing. The State must request a hearing no later than 30 days after it receives notice of the proposed final determination that the State is not eligible to receive its award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Statutory citation: IDEA Part B Sec. 611.

Funds are allocated among States, including the District of Columbia and Puerto Rico, in accordance with a variety of factors. First, each State is allocated an amount equal to the amount that it received for fiscal year 1999. If the total program appropriation increases over the prior year, 85 percent of the remaining funds are allocated based on the number of children in the general population, between the ages of 3 through 21, in the age range for which the States guarantee a free appropriate public education (FAPE) to children with disabilities. Fifteen percent of the remaining funds are allocated based on the number of children living in poverty, between the ages of 3 through 21, that are in the age range for which the States guarantee FAPE to children with disabilities.

The statute also includes several maximum and minimum allocation requirements when the amount available for distribution to States increases. If the amount available for allocation to States remains the same from one year to the next, States receive the same level of funding as in the prior year. If the amount available for allocation to States decreases from the prior year, any amount available for allocation to States above the 1999 level is allocated based on the relative increases in funding that the States received between 1999 and the prior year. If there is a decrease below the amount allocated for 1999, each States allocation is ratably reduced from the 1999 level. This program has no matching requirements. However, there are non-supplanting and excess cost requirements. MOE requirements for this program apply to both State Educational Agencies and local educational agencies. Contact the program office for further details. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each fiscal year. The Federal obligation period is a 15-month period from July 1 through September 30. States and local education agencies have an additional 12-month period to obligate funds they receive. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

State Performance Plans (SPPs) and Annual Performance Reports (APR) are submitted to the Department of Education from the State departments of education. No cash reports are required. No progress reports are required. 34 CFR 80.40. 34 CFR 80.41.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$11,465,960,974; FY 12 est \$11,577,855,236; and FY 13 est \$11,677,855,236

**Range and Average of Financial Assistance:**

In FY 2012, regular annual allotments to States, including DC and Puerto Rico, ranged from \$16.9 million to \$1.21 billion, with an average award of \$197 million. Grants to outlying areas ranged from \$4-5 million to \$14 million. The Department of Interior received \$92 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are at 34 CFR 300, and 34 CFR 76-77,79,80-82,84-86, and 97-99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gregg Corr Office of Special Education Programs, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: gregg.corr@ed.gov Phone: (202) 245-7309

**Website Address:**

<http://www.ed.gov/about/offices/list/osep/index.html>

**RELATED PROGRAMS:**

84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States and other eligible entities qualify for funding based upon applications approved under IDEA, Section 612.

**84.031 HIGHER EDUCATION\_INSTITUTIONAL AID**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended (HEA). Title III, Part A and Part F, HEA, Title V.

**OBJECTIVES:**

To help eligible colleges and universities to strengthen their management and fiscal operations and to assist such institutions to plan, develop, or implement activities including endowment building to strengthen the academic quality of their institutions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Eligible institutions may apply under Part A, Part B or Part F of Title III of the HEA or Title V of the HEA. Title III Part A includes Strengthening Institutions Program (SIP), American Indian Tribally Controlled Colleges and Universities (TCCUs), Alaska Native and Native Hawaiian serving (ANNH) institutions, Asian American and Native American Pacific Islander-serving Institutions (AANAPISI), Native American-Serving Nontribal Institutions (NASNTI) and Predominantly Black Institutions (PBIs). Title III Part B includes the Historically Black Colleges and Universities (HBCUs) program and the Historically Black Graduate Institutions (HBGIs) program. Title III Part A provides funds to eligible institutions to plan, develop, and implement activities for development of faculty, fund, and administrative management, and improvement of academic programs, acquisition of equipment for use in strengthening academic programs and institutional management, and joint use of facilities such as libraries, laboratories, and student services. Title III Part B provides funds to undergraduate HBCUs and graduate HBGIs. Funds may be used for purchase, rental, or lease of scientific equipment; construction, maintenance, renovation, improvement in classroom, library and other instructional facilities; support of faculty exchanges and fellowships; academic instruction in disciplines in which African Americans are underrepresented, purchase of library books, periodicals, and other educational materials; tutoring, counseling, and student services; funds and administrative management;

acquisition of equipment for use in funds management; endowment funds; and joint use of facilities. Title V Part A, Developing Hispanic Serving Institutions (HSIs) program provides funds to eligible HSIs for activities such as: faculty development; funds and administrative management; development and improvement of academic programs; endowment funds; curriculum development; scientific or laboratory equipment for teaching; construction or renovation of instructional facilities; joint use of facilities; academic tutoring; counseling programs; student support services, purchase of educational materials; articulation agreements; creating facilities for distance learning technologies; teacher education programs; K-12 community outreach programs; and the expansion of graduate and professional programs. Title V Part B, Promoting Postbaccalaureate Opportunities for Hispanic Americans program provides funds to eligible HSIs for activities such as: purchase or rental of scientific or laboratory equipment; construction or renovation of instructional facilities; purchase of educational materials; support for low-income postbaccalaureate students; support of academic instruction and faculty and curricular development; creating facilities for distance learning technologies; and collaboration with other institutions of higher education to expand postbaccalaureate offerings. Title III, Part F, Section 371 authorizes funds for Hispanic-serving Institutions STEM and Articulation Programs to support the kinds of activities being supported under the existing Title V program, except that priority is given for applications that propose to increase the number of Hispanic and other low-income students attaining degrees in fields of science, technology, engineering, and mathematics (STEM) and to applications that propose to develop model transfer and articulation agreements between the 2-year and 4-year HSIs in such fields. Funds provided for Title III and Title V may not be used for activities other than those in an approved application, activities that are inconsistent with any applicable State plan of higher education or State plan for desegregation, a school or department of divinity or any religious worship or sectarian activity; general operating and maintenance expenses; indirect costs; or supplanting of other funds available to the institution. These programs are subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

An institution of higher education (IHE) that qualifies as eligible using criteria as specified in the regulations. Under Part A, specific and basic requirements as stated in the program regulations must be met. Eligible applicants include institutions that have: (1) A low average per full-time equivalent (FTE) educational and general expenditures; (2) a substantial percentage of students having Pell Grants or other Federal need-based financial aid. However, a waiver of the low educational and general expenditure requirement and the needy student enrollment requirement may be granted to institutions meeting the criteria specified in the existing regulations. Under Part B HBCUs, historically Black institutions that were established prior to 1964, whose principal mission was, and is, the education of African Americans are eligible. A listing of those institutions is published in program regulations; these HBCUs are also eligible under the Endowment Challenge Grant Program. Institutions eligible for PBI program grants are defined in Title III Section 318(b) of the HEA. Institutions eligible for HBGI program grants are specified in Title III Section 326(e)(1) of the HEA. Under the Title V programs, an HSI is defined as an institution that has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic as specified in Section 502 of the HEA.

**Beneficiary Eligibility:**

Applicant institutions of higher education, including those in the territories and possessions that meet statutory eligibility requirements will benefit.

**Credentials/Documentation:**

Institutions must document that they are accredited by a nationally recognized accrediting agency or that they are making satisfactory progress toward such accreditation. A 4-year institution must have authority to award a bachelor's degree. A 2-year institution must offer a program acceptable for full credit towards a bachelor's degree, or a 2-year program in engineering, mathematics, or the physical or biological sciences designed to prepare the student to work as a technician at a semiprofessional level. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for funding are available from the Institutional Services office at the Department of Education. Application deadlines are published in the Federal Register.

**Award Procedure:**

Title III Part A applicants in the SIP, ANNH, AANAPISI, and NASNTI programs and Title V applications are evaluated by external reviewers who are experts in postsecondary education. The Department makes final awards based primarily on the scores assigned to the applications by the external reviewers and the recommendations submitted by the staff of the Institutional Service, Office of Postsecondary Education at the Department of Education.

Title III applicants in the TCCUs, PBIs, HBCUs, and HBGIs programs makes final awards based on a statutory formula.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six months.

**Appeals:**

Not Applicable.

**Renewals:**

Under the SIP, priority is given to applicants who are not already receiving a grant. Institutions that received a 5-year individual development grant are not eligible to receive an additional grant until 2 years after the date on which the 5-year terminates. After fulfilling the wait-out requirement, institutions applying for another grant under the SIP must reapply for eligibility.

**Formula and Matching Requirements:**

Statutory Formula: Funds are allocated to TCCUs, PBIs, HBCUs, and HBGIs based on a statutory formula. Title III, Part A, Section 316(d); Title III Part A, Section 320; Title III, Part B, Sections 324 and 326(f) of the HEA. Matching Requirements: Under the SIP, TCCUs, HBCUs, and HSIs, institutions of higher education may use no more than 20 percent of grant funds to establish or increase an institution's endowment fund. The endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. Under the HBGIs program, eligible institutions that have project grants over \$1,000,000 must match the entire Federal share on a dollar-for-dollar basis. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the SIP, TCCUs, ANNH, AANAPISI and HSIs, planning grants are for a period of up to 1 year, individual development grants are for a period of 5 years. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

As required by the Special Grant Terms and Conditions. Staff monitor grants drawdown using agency financial reports. No cash reports are required. Progress reports are required. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. Subject to a Federal audit any time during the term of the grant and within a period of 3 years after the termination of Federal support.

**Records:**

Must be retained for 5 years after the end of the fiscal year during which the expenditures were made or until the grantee is notified that the records are no longer needed.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$56,820,252; FY 12 est \$55,713,310; and FY 13 est \$55,713,310 - Strengthening TCCUs. (Project Grants) FY 11 \$30,084,000; FY 12 est \$27,858,651; and FY 13 est \$30,054,000 - Strengthening ANNH. (Project Grants) FY 11 \$104,394,792; FY 12 est \$100,431,824; and FY 13 est \$117,194,000 - Developing Hispanic-Serving Institutions. (Project Grants) FY 11 \$321,991,068; FY 12 est \$312,980,301; and FY 13 est \$351,053,000 - Strengthening HBCUs. (Project Grants) FY 11 \$3,600,000; FY 12 est \$119,094; and FY 13 est \$3,593,000 - Strengthening AANAPISI. (Project Grants) FY 11 \$3,198,590; FY 12 est \$3,119,094; and FY 13 est \$3,593,000 - Strengthening NASNTI. (Project Grants) FY 11 \$20,836,290; FY 12 est \$22,000,000; and FY 13 est \$9,010,937 - PPOHA. (Project Grants) FY 11 \$61,302,150; FY 12 est \$58,958,358; and FY 13 est \$58,958,358 - Strengthening HBGIs. (Project Grants) FY 11 \$100,000,000; FY 12 est \$100,000,000; and FY 13 est \$100,000,000 - HSI STEM. (Project Grants) FY 11 \$9,601,758; FY 12 est \$9,262,461; and FY 13 est \$9,262,461 - Strengthening PBIs. (Project Grants) FY 11 \$83,832,000; FY 12 est \$80,623,333; and FY 13 est \$80,623,333 - Strengthening Institutions (Part A).

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 607, 608, 609, 628, the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Leonard Haynes Department of Education, Office of Postsecondary Education, Office of Higher Education Programs, Institutional Service, 1990 K. St., N.W., Washington, District of Columbia 20006 Email: leonard.haynes@ed.gov Phone: (202) 502-7549

**Website Address:**

<http://www.ed.gov/about/offices/list/ope/idades>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

(a) Under Title III and Title V, the Department appoints review panels to provide comments and recommend ratings for the applications. The reviewers numerically rate each application assigned and provide the Secretary with comments on each. Criteria are published in the Federal Register along with the point value for each criterion. (b) Under TCCUs, HBCUs, HBGIs, and PBIs, funds are allocated based on a statute-driven formula. For Strengthening TCCUs, applicants are limited to tribal colleges and universities, including institutions qualifying for funding under the Tribally Controlled College or University Assistance Act of 1978 or the Navajo Community College Assistance Act of 1978, or cited in section 532 of the Equity in Educational Land Grant Status Act of 1994. To be eligible to receive a grant under the Strengthening HBCUs program, an institution must be designated by the Secretary of Education as a Historically Black College or University. HBGIs

receiving discretionary grants are specified in the program statute. To be eligible to receive a grant under the Strengthening PBIs program, an institution must have an enrollment of undergraduate students that is at least 40 percent Black American students; that is at least 1,000 undergraduate students of which not less than 50 percent of the undergraduate students enrolled at the institution are low-income individuals or first-generation college students (as that term is defined in Section 402A(g)); and of which not less than 50 percent of the undergraduate students are enrolled in an educational program leading to a bachelors or associates degree that the institution is licensed to award by the State in which the institution is located.

**84.033 FEDERAL WORK-STUDY PROGRAM**

**FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part C; 42 U.S.C. 2751-2756a.

**OBJECTIVES:**

To provide part-time employment to eligible postsecondary students to help meet educational expenses and encourage students receiving program assistance to participate in community service activities.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The Federal share of compensation paid to students does not exceed 75 percent for work on campus, or work in a public agency or private nonprofit organization, unless waived by the Secretary. The Federal share of compensation paid to students does not exceed 50 percent for jobs with a private-for-profit organization. No more than 25 percent of an institution's work-study allocation may be used for private-for-profit organizations. If it provides FWS employment to its students in that year, an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000 of its program expenditures, plus up to 4 percent for expenditures greater than \$2,750,000 but less than \$5,500,000, plus up to 3 percent of expenditures in excess of \$5,500,000. An institution is required to use at least 5 percent of its total FWS allocation to pay the Federal share of wages to students employed in community service jobs unless it receives a waiver.

**Applicant Eligibility:**

Higher education institutions (public, private nonprofit, postsecondary vocational, and proprietary) meeting eligibility requirements may apply.

**Beneficiary Eligibility:**

Undergraduate, graduate, or professional students enrolled or accepted for enrollment as regular students; are maintaining satisfactory academic progress in accordance with the standards and practices of the institution; have financial need; do not owe a refund on a Title IV grant; are not in default on a Title IV loan; file a statement of educational purpose; file a statement of registration compliance (Selective Service); and meet citizen/resident requirements may benefit.

**Credentials/Documentation:**

Institutions must document their eligibility and students must demonstrate financial need. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Representatives of the appropriate ED Regional Office are available for consultation. See listing of ED Regional Offices in Appendix IV of the Catalog. Students should contact the institution(s) they attend or plan to attend. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Participating institutions submit a Fiscal Operations Report/Application to Participate in Federal Student Financial Aid programs (ED Form 646-1) which is mailed to institutions of postsecondary education each summer by the Office of Federal Student Aid.



New institutions submit only the application form.

**Award Procedure:**

The Office of Student Financial Aid determines final awards and notifies participating institutions. Postsecondary institutions determine individual student awards.

**Deadlines:**

Oct 01, 2011: Deadlines are specified on the application (usually October 1).

**Range of Approval/Disapproval Time:**

Notices of tentative awards sent by February 1 and final award notifications sent by April 1.

**Appeals:**

Not Applicable.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part C.

Matching Requirements: Under the funding formula, funds are distributed to institutions, first, on the basis of the institution's base guarantee plus the pro rata share received during the 1999-2000 award year under the FWS Program and, then, on the basis of the aggregate need of the eligible students in attendance. Employers of FWS recipients must contribute 25 percent of the funding, (except in the case of private, for-profit organizations, which must match 50 percent) and in the case of established criteria for which the matching requirement is waived.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for use by participating institutions for one award year at a time following the year of application. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (DE 646-1) is submitted by each institution at the close of each award year (June 30). Cash reports are not applicable. Progress reports are not applicable. A single combined Fiscal Operations Report/Application form for Federal Perkins Loans, FSEOG, and FWS (DE 646-1) is submitted by each institution at the close of each award year (June 30). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions must have a nonfederal audit done on at least an annual basis at its own expense. Audits may also be performed at Government expense by the Department of Education's Office of the Inspector General as often as its time schedule will allow or when deemed necessary by the Secretary.

**Records:**

All records pertaining to activities of a given fiscal year must be retained for a period of 3 years following the institution's submission of its Fiscal Operations Report for an award year or until final resolution of an applicable audit, whichever is later.

**Account Identification:**

91-0200-0-1-502; 91-0199-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$1,168,428,000; FY 12 est \$1,161,150,000; and FY 13 est \$1,348,820,000

**Range and Average of Financial Assistance:**

The average award in FY 2011 was \$1,700. The average award in FY 2012 and FY 2013 is estimated at \$1,700.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately 684,000 recipients are expected. Fiscal Year 2012: Approximately 683,000 recipients are expected. Fiscal Year 2013: Approximately 793,000 recipients are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 675. Notification to Members of Congress, list of grantees, published annually or as required, no charge; Student Guide, no charge; Student Financial Aid Handbook, no charge; Federal Needs Analysis Methodology, no charge; Verification Handbook, no charge; Training Materials, no charge.

**Regional or Local Office:**

See Regional Agency Offices. Students should contact the educational institution(s) they attend or plan to attend. Public and private nonprofit organizations should contact grantee educational institutions in their own State or multi-State areas. Educational institutions should contact the Regional Administrator for Student Financial Assistance in the appropriate ED Regional Office (see Appendix IV of the Catalog).

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>; [www.studentaid.ed.gov](http://www.studentaid.ed.gov)

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.031 Higher Education Institutional Aid; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.040 IMPACT AID\_FACILITIES MAINTENANCE**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VIII, Section 8008.

**OBJECTIVES:**

To maintain school facilities used to serve federally connected military dependent students that are owned by the Department of Education and operated by local educational agencies (LEAs), and to transfer those facilities to the LEAs, where appropriate.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To maintain federally owned school facilities and restore or improve them where appropriate to enable an LEA to accept ownership. The Department directly oversees construction projects, unless the LEA has agreed to accept transfer of the facility, in which case funds may be provided to the LEA to complete the project after the transfer.

**Applicant Eligibility:**

LEAs that operate school facilities owned by the Department of Education.

**Beneficiary Eligibility:**

Public elementary and secondary school children benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. There is no application form for Section 8008 grants. Contact the program office for information.

**Award Procedure:**

The Department of Education makes final decisions to fund projects.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Contact the program office for this information.

**Appeals:**

Not Applicable.

**Renewals:**

Approved construction projects may be revised during construction, subject to appropriate approvals.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length and terms of an award will be established prior to the award. See the following for information on how assistance is awarded/released: This information is included in the award document.

**Reports:**

In accordance with OMB Circular No. A-102 (Attachments H and I) and Education Department General Administrative Regulations (EDGAR) for direct project grant and contract programs, Part 100a, Subpart F. See 34 CFR 74, Subpart H, Standards for Grantees Financial Management Systems. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with OMB Circular No. A-102 (Attachment C) and Education Department General Administrative Regulations, for direct project grant and contract programs, Part 100a, Subpart F. See 34 CFR 74, Subpart H, Standards for Grantees Financial Management Systems.

**Account Identification:**

91-0102-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$4,854,272; FY 12 est \$4,844,826; and FY 13 est \$4,845,000

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published at 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alfred Lott Department of Education, OESE Impact Aid Programs, 400 Maryland Ave., S.W., Rn, 3/e105, Washington, District of Columbia 20202  
Email: impact.aid@ed.gov Phone: (202) 260-3858

**Website Address:**

<http://www.ed.gov/about/offices/list/oease/impactaid/index.html>.

**RELATED PROGRAMS:**

84.041 Impact Aid

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Emergency repairs are funded as needed. Priority for more extensive projects is given to LEAs that agree to accept transfer of the school facility.

**84.041 IMPACT AID**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (OESE), as amended, Title VIII.

**OBJECTIVES:**

To provide financial assistance to local educational agencies (LEAs) where affected by Federal activities, i.e., where the tax base of a district is reduced through the Federal acquisition of real property (Section 8002, ESEA), and where the presence of certain children living on Federal property places a financial burden on the LEAs that educate them (Sections 8003 and 8007, ESEA).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Under formula awards, most assistance becomes part of the general operating fund of the LEAs. Districts usually deposit the Federal payment in the general operating funds account in accordance with State laws, together with all State and local funds available for current operating expenses and use this combined account to finance the school program in the district. Special additional payments made to LEAs related to enrollments of federally connected children with disabilities must be used for programs and projects designed to meet the special educational and related needs of these children. Payments for construction may be used for construction and renovation, debt service, or other capital fund activities. Under discretionary construction awards, funds must be used for the project grant described in the application and grant award notification. The discretionary construction grant program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Local educational agencies that provide free public elementary or secondary education may apply. Under Section 8002, generally, assistance is provided to districts where an aggregate of 10 percent or more of the assessed valuation of all real property in the school district as of the time(s) of acquisition has been acquired by the Federal Government since 1938 and the district is not being substantially compensated by revenue from activities on the eligible Federal property. Under Section 8003, assistance is provided to districts where at least three percent or 400 of the total number of eligible federally connected children in average daily attendance (ADA) live on Federal property including Indian lands and/or have a parent who works on Federal property or is on active duty in the uniformed services. Under Section 8007(b), "heavily impacted" LEAs that enroll a high proportion (at least 40 percent) of federally connected children, or have little or no funding capacity, may be eligible for a competitive construction award.

**Beneficiary Eligibility:**

Public elementary and secondary school children benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State

and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are submitted to the Secretary of Education and a copy is sent to the State educational agency (SEA). Applications become available on the Department's e-Grants web site annually, typically in mid November. Applications must show the membership of federally connected children on the survey date chosen by the school district within the period prescribed by the Secretary.

**Award Procedure:**

Funds are generally made available when an appropriation is made.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Contact the Program Office for this information.

**Appeals:**

An administrative law hearing is available for any LEA or State adversely affected by any action of the Secretary. The hearing must be requested under the time frame included under the program regulations.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title VIII, Sections 8002, 8003, and 8007(a).  
Matching Requirements: Under Section 8002, payments are determined under a statutory formula that considers the assessed valuation of the property acquired by the Federal government and the LEA's local tax rate for current expenditures. Under Section 8003, payments are determined under a statutory formula that considers the average daily attendance of federally connected students for the previous year, the per-pupil expenditure average from the third preceding year, the weight in the statute attached to certain categories of federally connected students, the total current expenditures of the LEA, and the total membership of the LEA. Under Section 8007(a), payments are determined under a statutory formula that considers the average daily attendance of children living on Indian lands and dependents of the military living on and off base. Under Section 8007(b), payments are awarded on a competitive basis to certain eligible LEAs that receive Impact Aid.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments are made annually to eligible LEAs. See the following for information on how assistance is awarded/released: This information is included in award documents.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The program staff conducts mail-in or on-site reviews to verify application data and collect additional required information.

**Records:**

In accordance with the General Education Provision Act and program regulations, an LEA generally must retain records supporting its payment amount for 3 years after the last payment for a fiscal year.

**Account Identification:**

91-0102-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$67,073,584; FY 12 est \$66,947,230; and FY 13 est \$66,947,000 - This is specific to Section 8002, Federal Property Payments. (Formula Grants) FY 11 \$1,201,702,778; FY 12 est \$1,201,953,007; and FY 13 est \$1,201,953,000 - This is specific to Section 8003 & 8007(a). (Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$17,440,974; and FY 13 est \$17,441,000 - This is specific to Section 8007(b).

**Range and Average of Financial Assistance:**

For FY 2013, the estimated range of awards for Basic Support payments is expected to be between \$100-\$55,000,000 with an average award of \$975,000; for Payments for Children With Disabilities, the estimated range of awards is expected to be between \$500-\$1,200,000 with an average award of \$54,000; for Payments for Federal Property, the estimated range of payments is expected to be \$150-\$5,500,000 with an average award of \$320,000. For Impact Aid Construction, the estimated range of payments is expected to be \$600-\$1,900,000 with an average award of approximately \$97,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1,311 applicants. Fiscal Year 2012: 1,281 applicants. Fiscal Year 2013: Est. 1,300 applicants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are included in 34 CFR 222.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alfred Lott Department of Education, OESE Impact Aid Programs, 400 Maryland Ave., SW, Rm. 3E105, Washington, District of Columbia 20202  
Email: impact.aid@ed.gov Phone: (202) 260-3858

**Website Address:**

<http://www.ed.gov/about/offices/list/oeese/impactaid/index.html>.

**RELATED PROGRAMS:**

84.040 Impact Aid\_Facilities Maintenance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Payments are computed on the basis of the statutory formula. Payments are prorated if appropriations are insufficient.

**84.042 TRIO STUDENT SUPPORT SERVICES**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402D.

**OBJECTIVES:**

To provide supportive services to disadvantaged college students to enhance their potential for successfully completing the postsecondary education program in which they are enrolled and increase their transfer rates from 2-year to 4-year institutions. To foster an institutional climate supportive of the success of disadvantaged college students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All projects must provide academic tutoring, advice on postsecondary course selection, financial aid counseling, services to improve financial and economic literacy, assistance in applying for graduate and professional programs, and activities to help students in 2-year institutions enroll in 4-year programs. Projects may also provide personal and career counseling; exposure to cultural events; mentoring; services to secure temporary housing during academic

breaks for students who are homeless; activities for students with disabilities or limited English proficiency, homeless students, and students in foster care; and grant aid (not to exceed 20 percent of a project's funds).

**Applicant Eligibility:**

Institutions of higher education and combinations of institutions of higher education may apply.

**Beneficiary Eligibility:**

Low-income, first generation college students or disabled students who are enrolled or accepted for enrollment at the institution that is the recipient of the grant and who are in need of academic support in order to successfully pursue a program of postsecondary education. At least two-thirds of the project participants must be disabled or must be low-income individuals who are first generation college students. The remaining participants must be disabled, low-income individuals, or first generation college students. One-third of the disabled participants must be low-income. Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with Education Department General Administrative Regulations (EDGAR). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education; no State Plan is required. Requests for program applications should be made to the Office of Federal TRIO Programs, College and University Support Team. This program is subject to the provisions of EDGAR.

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 646.21 and 646.22. Grants are awarded through the Federal TRIO Programs office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

Yes. The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process in accordance with the process specified in 34 CFR 646.24. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

The grant period is 5 years. Continuation awards for up to five years are approved on an annual basis; subject to the availability of funds and evidence that the grantee is meeting the conditions of the grant and making substantial progress towards meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Any grantee that uses funds for student grant aid must match the funds, in cash, from non-Federal funds, in an amount that is not less than 33 percent of the total amount of student grant aid funds, unless the grantee is eligible for a waiver to the match. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, with annual continuation awards. Continuation awards are subject to the availability of funds and satisfactory progress by the grantee. See the following for information on how assistance is awarded/released: Contact the program office.

**Reports:**

Performance reports are required on an annual basis. No cash reports are required. Progress reports are required for a project in its first year of funding. Staff monitor grant drawdown using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with Education Department General Administrative Regulations, 34 CFR 75.702 and 74.61.

**Records:**

In accordance with Education Department General Administrative Regulations, 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$290,835,000; FY 12 est \$291,455,000; and FY 13 est \$291,455,000

**Range and Average of Financial Assistance:**

Awards in 2011 ranged from \$58,000 to \$1.39 million; the average award was approximately \$282,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations, 34 CFR 646 and Education Department General Administrative Regulations (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah Walsh, Department of Education, Office of Postsecondary Education, Federal TRIO Programs, 1990 K St, NW, 7th Floor, Washington, District of Columbia 20006-8510 Email: deborah.walsh@ed.gov Phone: (202) 502-7694.

**Website Address:**

<http://www.ed.gov/programs/triostudsupp/>

**RELATED PROGRAMS:**

84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Continuation awards are made on the basis of 34 CFR 75.253. For new awards, applicants will be selected under this part on the basis of the criteria set forth in 34 CFR 646.21. Contact the program office for additional information.

**84.044 TRIO\_TALENT SEARCH**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402B, 20 U.S.C 1070a-12.

**OBJECTIVES:**

To identify qualified disadvantaged youths with potential for postsecondary education; to encourage them in completing secondary school and in enrolling in programs of postsecondary education; to publicize the availability of, and facilitate the application for, student financial aid; and to increase the number of secondary and postsecondary school dropouts who reenter and complete an educational program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to institutions of higher education, public and private agencies and organizations, combinations of such entities, and secondary schools, to identify qualified disadvantaged youths with potential for postsecondary education, encourage them to complete secondary school and undertake postsecondary educational training, and publicize existing forms of student aid. Projects must provide connections to academic tutoring services, advice on and assistance in selecting secondary and college courses, assistance in preparing for college entrance exams and in completing college applications, information on student financial aid and assistance in completing financial aid applications, connections to services designed to improve financial and economic literacy, and guidance and assistance in re-entering and completing secondary school. Projects may also provide academic tutoring personal and career counseling; information on career options, exposure to college campuses, workshops and counseling for families of students served, mentoring programs involving school teachers and counselors; and services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care. A grantee may not use the project as a part of its recruitment program.

**Applicant Eligibility:**

Institutions of higher education (IHEs), public and private agencies and organizations including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and as appropriate to the purposes of the program, secondary schools.

**Beneficiary Eligibility:**

Individuals residing in the target area or attending a target school who have potential for education at the postsecondary level and who can benefit from one or more of the services provided by the project. Two-thirds must be low-income individuals who are also potential first generation college students. Project participants must be between 11 and 27 years old (exceptions allowed). Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education; no State plan is required. Requests for program applications should be made to the Federal TRIO Programs. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the

selection criteria specified in 34 CFR 643.21 and 34 CFR 643.22. New regulations are being developed. Consult the program office for details. Grantees will be selected on the basis of satisfactory proposals and availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process in accordance with the process specified in 34 CFR 643.24. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for five year project periods. Continuation awards are approved on an annual basis, subject to the availability of funds and the grantee meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statute establishes a minimum grant amount.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, annual awards. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. No cash reports are required. Progress reports (form ED 524B) are required for a project in its first year of funding. Staff monitor grantees' drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR (74.26, 75.702, 75.910, 74.61.)

**Records:**

In accordance with EDGAR 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$135,969,000; FY 12 est \$135,893,000; and FY 13 est \$135,893,000

**Range and Average of Financial Assistance:**

Varies by competition. In FY 11, awards ranged from approximately \$227,000 to \$681,000; the average award was approximately \$301,000. The statutory minimum is \$200,000, unless the applicant requests a smaller amount.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 34 Code of Federal Regulations Part 643

Education Department General Administrative Regulations (EDGAR), 34 CFR

Parts 74, 75, 77, 79, 82, 84, 85, and 86.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Loretta Brown, Student Service Division, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, 7th Floor, Washington, District of Columbia 20006-8510 Email: lorettabrown@ed.gov Phone: (202) 502-7539.

**Website Address:**

<http://www.ed.gov/programs/triotalent/> .

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, the Department will select applicants under the criteria set forth in 643.21 of the program regulations. Contact the program office for additional information.

**84.047 TRIO\_UPWARD BOUND**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Subpart 2, Title IV, Part A, Section 402C, 20 U.S.C 1070a-13.

**OBJECTIVES:**

To generate skills and motivation necessary for success in education beyond high school among low-income and potential first-generation college students and veterans. The goal of the program is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue and complete a postsecondary educational program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects must provide academic tutoring services, advice on and assistance in selecting secondary and college courses, assistance in preparing for college entrance exams and in completing college applications, information on student financial aid and assistance in completing financial aid applications, services designed to improve financial and economic literacy, and guidance and assistance in re-entering and completing secondary school. Projects may also provide exposure to cultural events, academic programs and other activities not usually available to disadvantaged youth; personal and career counseling; information on career options; summer college campus residential programs; services specially designed for students with disabilities or limited English proficiency, homeless children and youth, and students in foster care; and to pay stipends to students, not to exceed \$40 a month during the academic year and \$60 a month during the summer. A grantee may not use the project as part of its recruitment program. Separate projects provide special services for veterans and for students with a special interest in math and science.

**Applicant Eligibility:**

Institutions of higher education, public and private agencies and organizations including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and as appropriate to the purposes of the program, secondary schools.

**Beneficiary Eligibility:**

Low-income individuals and potential first generation college students who have a need for academic support in order to successfully pursue a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first generation college students. The

remaining one-third must be either low-income, first-generation college students, or students who have a high risk for academic failure. Required low-income criteria are stated in application materials. Except for veterans, who can be served regardless of age, project participants must be between 13 and 19 years old and have completed the eighth grade but have not entered the twelfth grade (exceptions allowed).

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. OMB Circular No. A-122 applies to this program (non-profit organization). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, application and timetables issued by the Secretary of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Programs, College and University Preparation and Support Team. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers who are not employees of the Federal Government evaluate new proposals on the basis of the selection criteria specified in 34 CFR 645.31 and 34 CFR 645.32. Grantees will be selected on the basis of rank order of total scores and availability of funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department is developing regulations to implement a second review process for unsuccessful applicants. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Continuation awards for up to 5 years approved on an annual basis; subject to the availability of funds and the grantee is meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statute establishes a minimum grant amount.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects; annual awards. See the following for information on how assistance is awarded/released: Contact the program office for the information.

**Reports:**

Performance reports are required on an annual basis. No cash reports are required. Progress reports are required for a project in its first year of funding. Expenditure reports are required. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.702, 74.61.

**Records:**

In accordance with (EDGAR) 34 CFR 75.730, 75.731, and 75.732 and 34 CFR 645.43(c).

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$352,832,000; FY 12 est \$324,863,000; and FY 13 est \$322,957,000

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulations 34 CFR 645.

**Regional or Local Office:**

See Regional Agency Offices. Department of Education regional offices. See Appendix IV in the Catalog.

**Headquarters Office:**

Gaby Watts, Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 1990 K St., NW, 7th Floor, Washington, District of Columbia 20006-8510 Email: gaby.watts@ed.gov Phone: (202) 502-7545.

**Website Address:**

<http://www.ed.gov/programs/trioupbound/>.

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO\_Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, applicants will be selected on the basis of the criteria set forth in 34 CFR 645.31. Contact the program office for additional information.

**84.048 CAREER AND TECHNICAL EDUCATION -- BASIC GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV), Title I, 20 U.S.C 2321.

**OBJECTIVES:**

To develop more fully the academic, career, and technical skills of secondary and postsecondary students who elect to enroll in career and technical education programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used by eligible agencies and their eligible recipients (local subgrantees), in accordance with Perkins IV, to provide career and technical education. Each State must distribute at least 85 percent of its award to local agencies to fund secondary and postsecondary institutions that provide career

and technical education services, from which the State may choose to award an amount equivalent to 10 percent of its award to make awards to local agencies in rural areas, areas with high percentages of career and technical education students, and areas with high numbers of career and technical education students. Each State may keep up to 5 percent (or \$250,000, whichever is greater) of its award for State administration and up to 10 percent of its award to fund leadership activities (and from that amount, it must reserve an amount equivalent to 1 percent of its award to assist individuals in State institutions and between \$60,000 and \$150,000 to fund services to prepare individuals for non-traditional fields). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, pursuant to 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

The Department of Education makes formula grants to State boards for career and technical education. Eligible recipients for subgrants include local educational agencies and postsecondary institutions.

**Beneficiary Eligibility:**

A wide range of individuals pursuing career and technical education will benefit.

**Credentials/Documentation:**

The establishment of a State Board for Career and Technical Education is required. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A 5-year State plan for career and technical education, which is also subject to public hearings. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-21 applies to this program. Eligible agencies submit 5-year State plans for career and technical education, and annual revisions, to the Department pursuant to section 122 of Perkins IV. However, the outlying areas, except for Palau, are eligible to submit an application for Perkins IV funding under the Consolidated Grants to Insular Areas Program. See CFDA 84.403. Eligible recipients submit local plans to the eligible agency in their States pursuant to section 134 of Perkins IV.

**Award Procedure:**

Once the Secretary approves an eligible agency's 5-year State plan or annual revisions, the Department forwards the grant award to the State official designated by the eligible agency and notifies the State director for CTE. States make subgrants to eligible recipients from their grant awards after setting aside funds for State administration and State leadership activities.

**Deadlines:**

Mar 30, 2013 The submission date for the State plan or annual revisions is generally late March or early April is set in guidance issued annually by the Department.

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Secretary shall not finally disapprove a State plan, except after giving the eligible agency notice and opportunity for a hearing.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Sec. 111 of the Carl D. Perkins Career and Technical Education Act of 2006. The funding formula is based on State per-capita income and population in three age cohorts (15-19,20-24, and 25-65). The

formula provides for a minimum State allocation, and a "hold-harmless" provision in the formula ensures that no State's share of the appropriation is less than its share of the fiscal year 1998 appropriation. A special provision limits the increase a State with an initial allocation of the 0.5 percent minimum may receive, resulting in a number of States that receive an allocation of less than 0.5 percent of the total. If appropriations result in the amount of funds for allocation to States exceeding the amount of funds allocated to States from the FY 2006 appropriation, up to one-third of the additional funds are allotted to States with FY 2006 grants that are less than the minimum 0.5 percent grant amount and the remainder flows to the other States. In addition, the outlying areas (except the Virgin Islands) receive 0.13 percent of the total appropriated for State Grants to operate the same kinds of career and technical education programs as the States. Also, 1.25 percent of the total appropriation for State Grants is set aside for grants to federally recognized Indian tribes and tribal organizations, and 0.25 percent is set aside for competitive grants to organizations that primarily serve and represent Native Hawaiians. The Bureau of the Census supplies the population data; the Department of Labor supplies the per-capita income data.

**Matching Requirements:** Section 112(b) of the Perkins Acts requires 50/50 matching for State administration, which is also subject to the hold-harmless requirement imposed by section 323. An outlying area that submits an application for its Perkins IV funds under the Consolidated Grants to Insular Areas Program is not required to match. See CFDA 84.403.

Section 311(b) of the Perkins Act describes maintenance-of-effort requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Generally, annual grants to eligible agencies are made from July 1 to September 30 of the following year. In addition, funds remain available to the eligible agencies for an additional fiscal year for obligation and expenditure under section 421(b) of the General Education Provisions Act, as amended (GEPA). Contact the headquarters office for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: States draw funds as needed under the Electronic Funds Transfer System.

**Reports:**

OVAE's Consolidated Annual Report (CAR) for Perkins IV requires annual financial status reports, performance data reports, and program narrative reports. Eligible agencies must also submit Office for Civil Rights Compliance Reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76.730-76.731). Generally, the eligible agency and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review. See also section 443 of GEPA.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$1,105,434,533; FY 12 est \$1,104,724,881; and FY 13 est \$1,003,403,511

**Range and Average of Financial Assistance:**

The range of awards in FY 2012 was \$573,136 to \$123,513,546, including the 50 States, the District of Columbia, Puerto Rico, and the Virgin Islands.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding to 53 states and to outlying areas. Fiscal Year 2012: Provided funding to 53 states and to outlying areas. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Records (EDGAR) at 34 CFR Parts 74, 76-77, 79, 80-82, 84-86, and 97-99, 74, 76 (except 76.103), 77, 79, 80, 81, 82, and 85; OCR Guidelines for Vocational Education and CFR Parts 100-101, 104-106, 108, and 110.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Lee Miller, Department of Education, OVAE Division of High School, Postsecondary and Career Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: sharon.miller@ed.gov Phone: (202) 245-7846.

**Website Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/cte/index.html>.

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.051 Career and Technical Education -- National Programs; 84.101 Career and Technical Education - Indian Set-aside; 84.245 Tribally Controlled Postsecondary Career and Technical Institutions ; 84.259 Native Hawaiian Career and Technical Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Career and technical education programs for secondary and postsecondary students. Fiscal Year 2012: Career and technical education programs for secondary and postsecondary students. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Eligible agencies qualify for funding based upon their State plans and annual revisions approved under Perkins IV, section 122.

**84.051 CAREER AND TECHNICAL EDUCATION -- NATIONAL PROGRAMS**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Section 114 of the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV), 20 U.S.C 2324.

**OBJECTIVES:**

To provide support, directly or through grants, contracts, or cooperative agreements, for research, development, demonstration, dissemination, evaluation, assessment, capacity-building, and technical assistance activities aimed at improving the quality and effectiveness of career and technical education (CTE) programs authorized under the Perkins Act IV.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards are made to support activities designed to improve career and technical education. Announcements of grant competitions are published in the Federal Register. Contract competitions are announced in the FedBizOps.

**Applicant Eligibility:**

Depending on the activity to be funded, eligible applicants may include institutions of higher education or consortia of institutions of higher education, public or private nonprofit organizations, or consortia thereof, and State boards designated as the sole State agencies for the administration of State career and technical education, or consortia thereof.

**Beneficiary Eligibility:**



CTE sole State agencies; local educational agencies; CTE providers, and CTE students.

**Credentials/Documentation:**

Signature by authorized designated officials on the grant application or contract proposal. For State agencies, allowability of costs is determined in accordance with OMB Circular No. A-87 "Cost Principles for State, Local and Indian Tribal Governments"; For costs incurred by non-profit organizations allowability is determined in accordance with OMB Circular A-122, "Cost Principles for Non-Profit Organizations"; and for costs incurred by institutions of higher education allowability is determined in accordance with OMB Circular A-21, "Cost Principles for Educational Institutions". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications for grants must be prepared in accordance with the regulations in 34 CFR Part 75, the Department's notices inviting applications, and any notices announcing requirements, priorities, and selection criteria that the Department may publish. Proposals for contracts must be prepared in accordance with program announcements published in the FedBizOps.

**Award Procedure:**

Applications are reviewed in accordance with section 114 of Perkins IV and with the requirements set forth for application notices and any notices announcing requirements, priorities, and selection criteria that the Department may publish in the Federal Register for a given competition and the regulations at 34 CFR Part 75.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 to 120 days.

**Appeals:**

There are no appeal rights for denial of grants funded under section 114 of Perkins IV. For contracts the Federal Procurement Regulations, 41 CFR 1, 2, 407, and 408 apply.

**Renewals:**

Terms for continuation awards are specified in the Federal Register notices inviting grant applications. Continuation awards are subject to the availability of appropriations and the grant recipient's performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Maximum award period varies by activity. Annual continuation awards are subject to the availability of appropriations and contingent on recipient performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specific contract reporting requirements are contained in the Request for Proposals and contract documents. Reporting requirements for grants are required in the regulations at 34 CFR 74 and 75. Reports are required annually. Reports are required annually. Reports are required annually. Reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Under OMB Circular A-133, recipients that are institutions of higher education, other non-profit organizations, or State and local governments, are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years after completion of the activity for which the funds are used.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$7,844,280; FY 12 est \$7,829,175; and FY 13 est \$7,829,000

**Range and Average of Financial Assistance:**

Varies by program competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding for the National Research Center on Career and Technical Education and to 6 states to establish rigorous programs of study. Fiscal Year 2012: Provided funding for the National Research Center on Career and Technical Education and to 6 states to establish rigorous programs of study. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and Federal Register program notices, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ricardo Hernandez, Department of Education, OVAE Policy, Research and Evaluation Staff, 400 Maryland Ave., S.W., Washington, District of Columbia 22202 Email: Ricardo.Hernandez@ed.gov Phone: (202) 245-7818.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/programs.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: A National Research Center on Career and Technical Education and projects to assist States in establishing rigorous programs of study. Fiscal Year 2012: A National Research Center on Career and Technical Education and projects to assist States in establishing rigorous programs of study. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Each request for proposal and notice inviting grant applications contains either evaluation criteria or selection criteria, which are applied in the review and selection of contract or grant applications for funding. (See also 34 CFR Part 75 for the menu of the Department's generic selection criteria.)

**84.060 INDIAN EDUCATION\_ GRANTS TO LOCAL EDUCATIONAL AGENCIES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title VII, Part A, Subpart 1.

**OBJECTIVES:**

To address the unique education and culturally related academic needs of Indian students, including preschool children, so that these students can achieve to the same challenging state performance standards expected of all students. This program is the Department's principal vehicle for addressing the particular needs of Indian children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants supplement the regular school program, helping Indian children sharpen their academic skills, assisting students in becoming proficient in the core content areas, and providing students an opportunity to participate in enrichment programs that would otherwise be unavailable. Funds support such activities as after-school programs, tutoring, and dropout prevention. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Local educational agencies (LEAs) that enroll at least 10 Indian children or in which Indians constitute at least 25 percent of the total enrollment. These requirements do not apply to LEAs serving Indian children in Alaska, California, and Oklahoma or located on, or in proximity to, an Indian reservation. Schools that receive funding from the Department of Interior (DOI) Bureau of Indian Education (BIE) under Section 1130 of the Education Amendments of 1978, 25 U.S.C. 2001, are eligible to participate in this program. If an eligible LEA does not apply, an Indian tribe that makes up at least half of the LEAs Indian students may apply in lieu of the LEA.

**Beneficiary Eligibility:**

Eligible Indian children enrolled in eligible local educational agencies, and BIE-funded schools.

**Credentials/Documentation:**

The applicant must certify the number of eligible Indian children enrolled. The grant award is computed based on this information. An applicant must also assure that it has carried out a number of other required activities, including: holding a public hearing, establishing an Indian parent committee, and making arrangements for an evaluation of the effectiveness of the project. No grant will be made unless the applicant has the written approval of the applicant's Indian parent committee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The standard application forms as furnished by the Federal agency must be used for this program. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The LEA annually submits to the Department of Education an application describing its proposed project. Application forms are available from the headquarters office.

**Award Procedure:**

Awards are issued annually directly to the LEA. Awards are made to all applicants that meet the applicable requirements of the Act and that have designed a project that the Secretary of Education determines will substantially increase the educational opportunities of the Indian children served by the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title ESEA, Title VII, Part A, Subpart 1, Section 7113. Matching Requirements: The Department calculates the amount of a grant that an LEA receives by multiplying the number of Indian children enrolled in the LEA's schools by the average per-pupil expenditure for the State in which the applicant is located, or 80 percent of the national average per pupil expenditure, whichever is greater. In setting the actual amount of a grant, an applicant's formula amount is adjusted on the basis of available appropriations. Grantees must receive a minimum grant of \$4,000.

**Maintenance-of-Effort Requirements:**

In order for an LEA to receive a grant, the appropriate State educational agency (SEA) must certify that the combined fiscal effort of that LEA and the State with respect to the provision of free public education by that LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort for that purpose for the second preceding fiscal year. If an LEA does not meet this requirement and the Secretary does not grant a waiver for unusual circumstances, the LEA's grant award is reduced in the proportion by which the LEA failed to meet the combined fiscal effort requirement. DOI/Bureau of Indian Education grantees are exempt from the combined fiscal effort requirement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 60 months and funds must be spent or obligated within the project period. Payments are made by direct deposit upon request by LEAs. See the following for information on how assistance is awarded/released: Contact the program office for this information.

**Reports:**

Financial and performance reports are due within 90 days of the termination of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained 3 years after the completion of the activity for which grant funds were used.

**Account Identification:**

91-0101-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$104,122,338; FY 12 est \$105,921,429; and FY 13 est \$105,921,429

**Range and Average of Financial Assistance:**

Range of New Awards: \$4,000-\$2,880,540; Average New Award: \$81,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Department would award approximately 1,300 grants. Fiscal Year 2013: The Department would award approximately 1,300 grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 78, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bernard Garcia, Office of Indian Education, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: bernard.garcia@ed.gov Phone: (202) 260-1454.

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/oie/programs.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Department would award approximately 1,300 grants. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in EDGAR; contact the program office for additional information.

**84.063 FEDERAL PELL GRANT PROGRAM****FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, Title IV, Part A, Subpart 1, as amended.

**OBJECTIVES:**

To provide eligible undergraduate postsecondary students who have demonstrated financial need with grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The student must be a U.S. citizen or eligible noncitizen who has been accepted for enrollment in, and is making satisfactory academic progress at an eligible institution of higher education. Eligible schools may be public or private nonprofit institutions of higher education, (such as colleges, universities, vocational-technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance, except those enrolled in an eligible program leading to a professional certification in teaching. Applicants must demonstrate need according to Part F of the Higher Education Act of 1965, as amended.

**Applicant Eligibility:**

Undergraduate students and students pursuing a teaching certificate enrolled as regular students in an eligible program at an eligible institution of higher education and making satisfactory academic progress. The applicants must be U.S. citizens or eligible noncitizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program offered.

**Beneficiary Eligibility:**

Undergraduate students and students pursuing a teaching certificate that are U.S. citizens or eligible noncitizens and meet financial need criteria. Students must be: regular students in an eligible program and enrolled in institutions of higher education, making satisfactory academic progress. Incarcerated students, except those incarcerated in local penal facilities, are ineligible. Students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Student

completes a "Free Application for Federal Student Aid" and submits it to the agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's financial eligibility for assistance and the agency to which the student sent the application returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the Federal Pell Grant, using a payment schedule developed by the Department of Education that determines the amount of the award based on the student's expected family contribution, cost of attendance, and enrollment status.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days.

**Appeals:**

An institution, on the basis of supplemental documentation, may rule that an applicant is self-supporting, even though under the standard criteria, the applicant would normally be considered financially dependent on his or her parents. An institution may adjust on a case-by-case basis a student's data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Students who have applied in the previous award year may be eligible to complete a paper or electronic renewal application which contains preprinted student data and requires students only to update certain information. However, eligibility is still annually determined.

**Formula and Matching Requirements:**

Statutory Formula: Title IV, Part F.

Matching Requirements: Federal Pell Grant eligibility determinations are based on Part F of the HEA, as amended. This national need analysis formula determines financial eligibility for Federal Pell grants and other Federal student aid and is applied uniformly to all applicants. This formula determines a student's "expected family contribution" (EFC). The fundamental elements of this need analysis formula are the parents' and/or the student's income and assets (excluding home), the family's household size, and the number of family members attending postsecondary institutions. The EFC is determined as the sum of: (1) A percentage assessment of net income (remaining income after subtracting allowances for basic living expenses) and (2) a percentage assessment of net assets other than a home (remaining assets after subtracting an asset protection allowance).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Students are able to receive one Federal Pell Grant during any award year (July 1 through June 30). Funds for the Federal Pell Grant are usually disbursed at least twice during an award year. Students may only receive a Federal Pell Grant until they have received a bachelor's degree. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions will be required to furnish reports periodically on the disbursement of funds, as well as to furnish any other reports the Secretary requires. No reports are required of students. Cash reports are not applicable. Progress reports are not applicable. Institutions will be required to furnish reports periodically on the disbursement of funds, as well as to furnish any other reports the Secretary requires. No reports are required of students. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records pertaining to the eligibility of each Federal Pell Grant recipient and all fiscal management records must be maintained by the institutions for a period of 3 years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0200-0-1-502; 91-0199-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$35,685,485,000; FY 12 est \$35,648,965,000; and FY 13 est \$36,580,260,000

**Range and Average of Financial Assistance:**

For FY 2011, grants will range from \$555-\$5,550; the average grant is estimated at \$3,678.

For FY 2012, grants will range from \$555-\$5,550; the average grant is estimated at \$3,711.

For FY 2013, grants will range from \$555-\$5,635; the average grant is estimated at \$3,753.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately 9,703,000 recipients are expected. Fiscal Year 2012: Approximately 9,607,000 recipients are expected. Fiscal Year 2013: Approximately 9,748,000 recipients are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Pell Grant Expected Family Contribution formula is set forth in Part F of the Higher Education Act of 1965 as amended. Regulations governing administration of the Pell Grant Program are found in 34 CFR 600, 668, and 690. The Student Guide; Free Application for Federal Student Aid (no charge); "The Expected Family Contribution Formula"; "The Student Financial Aid Handbook."

**Regional or Local Office:**

See Regional Agency Offices. Federal Student Aid Information Center. Telephone: 1-800-433-3243. Regional Director, Federal Student Aid, the Director of Student Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Expected Family Contribution formula is set forth in Part F of the Higher Education Act of 1965, as amended.

**84.066 TRIO EDUCATIONAL OPPORTUNITY CENTERS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402F.

**OBJECTIVES:**

To provide information on financial and academic assistance available for

qualified adults desiring to pursue a program of postsecondary education and to assist them in applying for admission to institutions of postsecondary education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to institutions of higher education, public and private agencies and organizations, and combinations of such entities for the establishment and operation of centers to collect and disseminate information concerning financial aid and academic programs available to participants seeking to pursue postsecondary education and to assist participants in preparing admission and financial aid applications. Centers may also provide, to secondary school dropouts, guidance on secondary school reentry or entry to an alternative education program. Centers may also provide tutoring, mentoring, and counseling services. A grantee may not use the center as a part of its recruitment program.

**Applicant Eligibility:**

Institutions of Higher Education, public and private agencies and organizations including community-based organizations with experience in serving disadvantaged youth, combinations of such institutions, agencies and organizations, and as appropriate to the purposes of the program; secondary schools.

**Beneficiary Eligibility:**

Persons residing in the target area who need one or more of the services provided by the project in order to pursue a program of postsecondary education and who desire to pursue or who are pursuing a program of postsecondary education. Two-thirds of the participants must be low-income individuals who are also potential first-generation college students. Project participants must be at least nineteen years old (exceptions allowed). Required low-income criteria for participants are stated in application materials.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular A-21 applies. OMB Circular A-122 applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with regulations, applications, and timetables issued by the Secretary of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Programs, College and University Preparation and Support Team. This program is subject to the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected non-Federal field readers evaluate new proposals based on the selection criteria established in program regulations 34 CFR 644.21 and 34 CFR 644.22. Grantees will be selected on the basis of satisfactory proposals and availability of funds. Grants are awarded through Federal TRIO Programs office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process in accordance with the process specified in 34 CFR 644.24. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the

Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for five years. Continuation awards are approved on an annual basis, subject to the availability of funds and evidence that the grantee is meeting the conditions of the grant and making substantial progress towards meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The statute establishes a minimum grant amount.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five-year projects, annual awards. Continuation awards are subject to the availability of funds and evidence that the grantee is making satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. No cash reports are required. Progress reports are required for a project in its first year of funding. Expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR), 34 CFR 74.26, 75.702, 75.910, and 74.61.

**Records:**

In accordance with Education Department General Administrative Regulations, 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$47,677,000; FY 12 est \$46,925,000; and FY 13 est \$46,925,000

**Range and Average of Financial Assistance:**

Varies by competition. In 2011, awards ranged from \$214,000 to \$1,173,000; the average award was approximately \$372,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulation 34 CFR 644. New regulations are under development. Contact the program office for additional details.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rachel Couch, Federal TRIO Programs, Office of Postsecondary Education, Department of Education, 1990 K St., NW, 7th Floor, Washington, District of Columbia 20006-8510 Email: rachel.couch@ed.gov Phone: (202) 502-7655.

**Website Address:**

<http://www.ed.gov/programs/trioeoc/>.

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.103 TRIO Staff Training Program; 84.217 TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards the Selection Criteria in 34 CFR 644.21 are considered. Contact the program office for additional information.

**84.101 CAREER AND TECHNICAL EDUCATION - GRANTS TO NATIVE AMERICANS AND ALASKA NATIVES**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Title I, Section 116, 20 U.S.C 2326.

**OBJECTIVES:**

To make grants, cooperative agreements, or enter into contracts with Indian tribes, tribal organizations, Alaska Native entities, plan, conduct, and administer programs or portions of programs authorized by and consistent with the Carl D. Perkins Career and Technical Education Act of 2006.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide career and technical education opportunities for Native Americans and Alaska Natives. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, in accordance with 34 CFR 76.253. For assistance with restricted indirect cost rates call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

Federally recognized Indian tribes, tribal organizations, Alaska Native entities, and consortia of any of these entities may apply. Additionally, Bureau-funded schools proposing to use their award to assist secondary schools operated and supported by the U.S. Department of the Interior to carry out career and technical education programs may apply.

**Beneficiary Eligibility:**

Federally recognized Indian tribes, tribal organizations, and Alaska Natives, and Bureau-funded schools except for Bureau-funded schools proposing to use their grants to support secondary school CTE programs.

**Credentials/Documentation:**

Allowability of costs is determined in accordance with OMB Circular No. A-87 "Costs Principles for State, Local and Indian Tribal Governments" and OMB Circular No. A-21 "Cost Principles for Educational Institutions.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application notices and Application Packages are published in the Federal Register. Applications must be prepared and submitted in accordance with program announcements and Application Packages are published in the Federal Register.

**Award Procedure:**

Applications are approved using the selection criteria established in the program's notice inviting applications for new awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

After receiving written notice that the Department of Education will not award

a grant, the eligible applicant has 30 calendar days to request, in writing, a hearing to review the Department's decision. (20 U.S.C. 2326(b)(2); 25 U.S.C. 450(f)).

**Renewals:**

Continuation awards are made annually, for a maximum of 5 years, subject to the availability of appropriations and each grant recipient's performance as shown in end-of-year performance reports.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 5 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specific reporting requirements are contained in the notice inviting applications and in grant award documents. Reports required annually. Reports required annually. Reports required annually. Reports required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years from the time that work carried out under the project is completed.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$14,045,740; FY 12 est \$14,037,878; and FY 13 est \$12,750,375

**Range and Average of Financial Assistance:**

Range: \$300,000-\$600,000  
Average award: \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding for 30 continuation awards. Fiscal Year 2012: Provided funding for 30 continuation awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74,75,77,80,81,82,84,85,86,97,98 and 99. EDGAR, NACTEP Federal Register notice of MARCH 23, 2007 (72 FR 13770 and Application Package.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Mayo, Department of Education, OVAE Division of Academic and Technical Education 400 Maryland Ave., S.W., Washington, District of Columbia 20202-7241 Email: linda.mayo@ed.gov Phone: (202) 245-7792.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/programs.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Career and technical education programs for secondary, postsecondary, and adult students. Fiscal Year 2012: Career and technical education programs for secondary, postsecondary, and adult students. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria were published in the notice inviting applications published in the Federal Register on March 23, 2007 (72 FR 13770).

**84.103 TRIO STAFF TRAINING PROGRAM**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402G.

**OBJECTIVES:**

To provide training for staff and leadership personnel employed in, or preparing for employment in, projects funded under the Federal TRIO Programs (program numbers 84.042, 84.044, 84.047, 84.066, and 84.217.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to eligible entities to provide training for project directors and staff of funded Federal TRIO Programs projects. The grants may provide support for conferences, seminars, internships, workshops, and the publication of manuals designed to improve the operation of Federal TRIO Programs projects.

**Applicant Eligibility:**

Institutions of higher education and other public and private nonprofit institutions and organizations.

**Beneficiary Eligibility:**

Leadership personnel, full-time and part-time staff members of projects under the Federal TRIO Programs, and individuals preparing for employment as staff or leadership personnel in projects under the Federal TRIO Special Programs will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with the Education Department General Administrative Regulations (EDGAR). OMB Circular No. A-21 applies to this program. OMB Circular No. A-122 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with program regulations, applications, and timetables issued by the Department of Education. No State plan is required. Requests for program applications should be made to the Federal TRIO Program, College and University Support Team. This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR).

**Award Procedure:**

Selected nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 642.21 and 34 CFR 642.22. Grants are awarded through the Federal TRIO Programs Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process for unsuccessful

applicants in accordance with 34 CFR 642.25. An unsuccessful applicant requesting a second review must provide evidence that the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

The grant period is 2 years. Grantees may receive one continuation award (for the second year of the grant), subject to the availability of funds and the grantee meeting the conditions of the grant and making substantial progress toward the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grant period is two years. Grantees may receive one continuation award approved on an annual basis subject to the availability of funds and grantee meeting the conditions of the grant and making substantial progress toward meeting the project objectives. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are submitted on an annual basis. No cash reports are required. Required for a project in the first year of funding using form ED 524B. Staff monitor grants drawdown using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR and 34 CFR 75.702, 74.61.)

**Records:**

In accordance with 34 CFR 75.730, 75.731, and 75.732.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$3,529,000; FY 12 est \$1,400,000; and FY 13 est \$1,400,000

**Range and Average of Financial Assistance:**

FY 11, awards ranged from \$337,000 to \$376,000. The average award was approximately \$353,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR and regulations 34 CFR 642.

**Regional or Local Office:**

None.

**Headquarters Office:**

Suzanne Ulmer, Federal Trio Programs, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, 7th Floor, Washington, District of Columbia 20006 Email: [suzanne.ulmer@ed.gov](mailto:suzanne.ulmer@ed.gov) Phone: (202) 502-7789.

**Website Address:**

<http://www.ed.gov/programs/triotrain/>.

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.217

TRIO\_McNair Post-Baccalaureate Achievement

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department will select applicants to be funded for new awards under this part on the basis of criteria set forth in 34 CFR 642.21. Contact the program office for additional information.

**84.116 FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION**

(FIPSE)

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII, Part B, 20 U.S.C. 1138.

**OBJECTIVES:**

To provide assistance for innovative programs that improve access to and the quality of postsecondary education.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The Fund provides project grants for activities sponsored by institutions and agencies that develop and demonstrate more effective approaches to the postsecondary teaching and learning. Each year, the Department establishes funding competitions and priorities. Funded projects are action-oriented, focusing on improvements in practice rather than support for basic research.

**Applicant Eligibility:**

Eligible applicants include institutions of higher education, other public and private non-profit institutions and agencies and combinations of these institutions and agencies. A range of providers of postsecondary educational services is thus eligible including but not limited to: 2 and 4-year colleges and universities, community organizations, libraries, museums, consortia, and student groups.

**Beneficiary Eligibility:**

Postsecondary educational institutions and their students will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Application announcements and resources for applicants are available at the FIPSE home page: <http://www2.ed.gov/about/offices/list/ope/fipse/index.html>. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date.

**Award Procedure:**

Proposals are reviewed by field readers, by staff, and by appropriate Department officials. State Postsecondary Education Commissions must be given an opportunity to comment on projects funded in their States.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 8 months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Fund will support multi-year projects; grants are awarded on a 1-to 4-year basis. Funds are released as required. Renewals are subject to the availability of appropriations. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual financial and progress reports must be submitted as required by grant award terms and conditions. Staff also monitor drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 5248. Cash reports are not applicable. Annual progress reports are required as a part of the submittal of form ED 5248. Annual expenditure reports are required as a part of the submittal of form ED 5248. Annual performance monitoring are required as a part of the submittal of form ED 5248.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to maintain standard financial records.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$1,607,000; FY 12 est \$3,493,000; and FY 13 est \$70,000,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Education Department General Administrative Regulations (EDGAR) in 34 CFR 74, 75, 77, 79, 82, 84, 85, 86, 97, 98, and 99 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sarah Beaton Fund for the Improvement of Postsecondary Education, Office of Postsecondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20020 Email: sarah.beaton@ed.gov Phone: (202) 502-7506

**Website Address:**

<http://www2.ed.gov/about/offices/list/ope/fipse/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Examples of

funded projects may be found using the searchable database of projects funded since 1994 on the program Website. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Grantees are selected based on the project's significance in improving postsecondary education; feasibility; and appropriateness.

**84.120 MINORITY SCIENCE AND ENGINEERING IMPROVEMENT (MSEIP)**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title III, Part E, Subpart 1.

**OBJECTIVES:**

To (1) effect long-range improvement in science and engineering education at predominantly minority institutions and (2) increase the participation of underrepresented ethnic minorities, particularly minority women, in scientific and technological careers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Program funds are generally used to implement institutional projects, special projects and cooperative grants. Institutional grants support the implementation of a comprehensive science improvement plan, which may include any combination of activities for improving the preparation of minority students for careers in science. Special project grants to minority institutions support activities that improve the quality of training in science and engineering at minority institutions. Special project grants to non-minority eligible applicants support activities that provide a needed service to a group of eligible minority institutions. Cooperative grants assist groups of non-profit accredited colleges and universities in working together to conduct a science improvement program. Grant funds may be used for a broad range of activities that address specific barriers that eliminate or reduce the entry of minorities into science and engineering fields. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

Private and public nonprofit accredited (or successfully working toward accreditation) institutions of higher education that award baccalaureate degrees; and are minority institutions; public or private accredited (or successfully working toward accreditation) nonprofit institutions of higher education that award associate degrees, and are minority institutions that have a curriculum that includes science and engineering subjects; and enters into a partnership with public or private nonprofit institutions of higher education that award baccalaureate degrees in science or engineering. Applications may also be submitted by nonprofit science-oriented organizations, professional scientific societies, and institutions of higher education that award baccalaureate degrees, that provide a needed service to a group of minority institutions; or provide in-service training for project directors, scientists, and engineers from minority institutions; or consortia of organizations, that provide needed services to one or more minority institutions, the membership of which may include: institutions of higher education which have a curriculum in science or engineering; institutions of higher education that have graduate or professional programs in science or engineering; research laboratories of, or under contract with the Department of Energy; private organizations that have science or engineering facilities; or quasi-governmental entities that have a significant scientific or engineering mission.

**Beneficiary Eligibility:**

Private or public accredited (or successfully working toward accreditation) 2- and 4-year institutions of higher education whose enrollments of a single minority or a combination of minorities exceed 50 percent of the total enrollment. Minorities means American Indian; Alaskan Native; Black (not of Hispanic origin); Hispanic (including persons of Mexican, Puerto Rican, Cuban, and Central or South American origin); Pacific Islander; or other ethnic



group who are underrepresented in science and engineering.

**Credentials/Documentation:**

Institutions must provide the information necessary to establish their eligibility for participation in MSEIP. The data on enrollment furnished to the Office for Civil Rights to satisfy requirements for the "Fall Enrollment and Compliance Report of Institutions of Higher Education" are acceptable. Applications must be signed by an authorized organizational official. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An eligible institution may submit a proposal for funding of a planned project and proposed amount of the grant when announcement of a new competition appears in the Federal Register. See 34 CFR 637 and the specific program guidelines. Application forms are available from the MSEIP.

**Award Procedure:**

Panels of outside experts with knowledge of the fields covered by the application review all eligible applications. Grant awards are recommended to the Secretary by the program office, in the order of merit.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed for up to 2 years, renewals subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

One to three years. Funds are awarded annually and disbursed as required. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The program requires interim and annual performance reports. A final performance report is required within 90 days upon completion of the project for all funded projects. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Compliance with standard Department of Education requirements.

**Records:**

Grantees are required to maintain standard programmatic and financial records. Records are subject to inspection during the life of the grant and for three years thereafter.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$9,483,994; FY 12 est \$9,466,075; and FY 13 est \$9,484,000

**Range and Average of Financial Assistance:**

FY 2009: Average new award was \$176,000; Average continuation award was \$149,000. Awards ranged from approximately \$100,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 637 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bernadette Hence, Office of Postsecondary Education, Institutional Services, Office of Higher Education, Department of Education, 1990 K. Street, NW, 6th Floor, Washington, District of Columbia 20006 Email: bernadette.hence@ed.gov Phone: (202) 219-7038.

**Website Address:**

<http://www.ed.gov/programs/iduesmsi/>.

**RELATED PROGRAMS:**

84.031 Higher Education\_Institutional Aid; 84.116 Fund for the Improvement of Postsecondary Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Decisions are based primarily on the scientific and educational merits of described activities and conformance with the objectives of the program. Priority is given to applicants which have not previously received funding from the MSEIP program and to previous grantees with a proven record of success, as well as to proposals that contribute to achieving balance among projects with respect to geographic region, academic discipline, and project type.

**84.126 REHABILITATION SERVICES\_VOCATIONAL REHABILITATION GRANTS TO STATES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Part A and B, Section 100-111.

**OBJECTIVES:**

To assist States in operating comprehensive, coordinated, effective, efficient and accountable programs of vocational rehabilitation; to assess, plan, develop, and provide vocational rehabilitation services for individuals with disabilities, consistent with their strengths, resources, priorities, concerns, abilities, capabilities, and informed choice so they may prepare for and engage in competitive employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal and State funds are used to cover the costs of providing vocational rehabilitation services which include: assessment, counseling, vocational and other training, job placement, reader services for the blind, interpreter services

for the deaf, medical and related services and prosthetic and orthotic devices, rehabilitation technology, transportation to secure vocational rehabilitation services, maintenance during rehabilitation, and other goods and services necessary for an individual with a disability to achieve an employment outcome. Services are provided to families of disabled individuals when such services will contribute substantially to the rehabilitation of such individuals who are being provided Vocational Rehabilitation services. Funds can also be used to provide Vocational Rehabilitation services for the benefit of groups of individuals with disabilities including the construction and establishment of community rehabilitation programs.

**Applicant Eligibility:**

State agencies in all States (including territories/possessions) designated as the sole State agency to administer the vocational rehabilitation program may receive funds with the submission of an approved State plan in the Rehabilitation Act of 1973, as amended.

**Beneficiary Eligibility:**

In order to be eligible for vocational rehabilitation services, an individual must have a physical and/or mental impairment, which, for such an individual, constitutes or results in a substantial impediment to employment, and requires vocational rehabilitation services to achieve an employment outcome.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State Vocational Rehabilitation agencies are required to submit a State Plan describing the manner in which they will administer the VR and Supported Employment programs in their States. The State is not required to submit any policies, procedures or descriptions related to its State Plan that have been previously approved and demonstrate that the State currently meets the requirements of the Act. However, State agencies are required to annually update and submit State Plan attachments related to: (1) the comprehensive system of personnel development; State assessments, estimates, goals and priorities, and reports of progress; (2) innovation and expansion activities; and (3) a description of the State's plans with respect to the distribution of State Supported Employment Title VI, Part B funds.

**Award Procedure:**

Grant awards are made to State VR agencies with an approved State plan. States are notified of their annual allotment under the funding formula. Grant funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Jul 01, 2012 State VR agencies must submit State Plans to the Rehabilitation Services Administration for approval by July 1 each year.

**Range of Approval/Disapproval Time:**

The State plan must be approved before the State agency can receive its allotment of funds. If a State plan is disapproved, and after reasonable effort has been made to resolve a dispute, the State agency may request a hearing. If dissatisfied with the hearing officer's initial decision, the State agency may seek the Secretary's review of the decision.

**Appeals:**

A State may appeal the Secretary's decision to disapprove the State plan by filing a petition for review with the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Part A, Subpart 110. (29 USC 730). Funds are distributed based on population weighted by per capita income. The statistical factors for fund allocation are: per capita income 3-year average by State (Bureau of Economic Analysis estimates) and U.S. total and State population (Annual Population Estimates, Bureau of the Census).

Matching Requirements: The program's matching requirement is 78.7 percent Federal and 21.3 percent Non-Federal funds. This program has a maintenance of effort (MOE) requirement. The MOE level is based on the amount of the State's non-Federal expenditures under the VR program for the Federal fiscal year two years earlier; see funding agency for further details.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds become available for obligations for the fiscal year for which they are appropriated and may remain available for an additional year if the matching requirement is met in the year of the appropriation. Grant awards are issued biannually (1st and 4th quarter). See the following for information on how assistance is awarded/released: Electronic Transfer.

**Reports:**

Program report: Annual and quarterly reports. No cash reports are required. Progress report: Annual and quarterly reports. Expenditure reports: quarterly financial reports (Federal Financial Report (SF-425)). Performance monitoring: The Rehabilitation Act requires the conduct of annual reviews and periodic on-site monitoring of whether a State VR agency is complying substantially with the provisions of its State plan and with the program's performance indicators established under section 106 of the Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Conducted by ED Office of Inspector General and by site visits of regional staff. Both are periodic but no set schedule.

**Records:**

Case service records for individual consumers. Financial and programmatic records must be kept for a prescribed period of three years (34 CFR 80.42).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$3,041,146,000; FY 12 est \$3,083,814,000; and FY 13 est \$3,191,748,000

**Range and Average of Financial Assistance:**

In FY 2011 annual allotments to States, including D.C. and Puerto Rico ranged from \$10.2 million to \$289.2 million, with a median award of \$43 million. Grants to outlying areas ranged from \$1.1 million to \$3.0 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Approximately 1,009,300 persons received services. About 54 percent of the individuals who exited the program in FY 2011 after receiving services achieved an employment outcome (RSA 113 Caseload Report, FY 2011). Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Vocational Rehabilitation Regulations (34 CFR part 361). Rehabilitation Services Policy Directives and Technical Assistance Circulars.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Dobak, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Carol.Dobak@ed.gov Phone: (202) 245-7325.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 64.013 Veterans Prosthetic Appliances; 64.116 Vocational Rehabilitation for Disabled Veterans; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.161 Rehabilitation Services\_Client Assistance Program; 84.169 Independent Living\_State Grants; 84.187 Supported Employment Services for Individuals with Significant Disabilities; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.250 Rehabilitation Services\_American Indians with Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.128 REHABILITATION SERVICES\_SERVICE PROJECTS****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended,, Section 304 and 305.

**OBJECTIVES:**

To provide discretionary grant funds to State vocational rehabilitation agencies and public nonprofit organizations for special projects and demonstrations which hold promise of expanding and otherwise improving services to individuals with disabilities over and above those provided by the Vocational Rehabilitation Grants to States program (84.126) administered by States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Migrant and seasonal farm workers (subsection 304 of the Rehabilitation Act) and recreational programs (subsection 305 of the Rehabilitation Act). Grants support vocational rehabilitation services to migrant and seasonal farm workers and projects that establish and operate recreational programs for individuals with disabilities.

**Applicant Eligibility:**

Recreational projects are awarded to States, public agencies and nonprofit organizations. Grants cannot be made directly to individuals. Migrant and seasonal farm worker projects are funded by grants to a State designated agency (including territories/possessions) and to nonprofit and local agencies in collaboration with the State agencies.

**Beneficiary Eligibility:**

Individuals with disabilities and individuals with significant disabilities as defined in Sections 7(20)(A) and 7(21)(A), respectively, of the Rehabilitation Act of 1973, as amended.

**Credentials/Documentation:**

Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. Applications should be submitted to the Department e-Grants Website or to the Department of Education, Application Control Center, 400 Maryland Ave. S.W.,

Washington, DC 20202-4725, according to instructions specified in the Notice Inviting Applications. The standard application kit as furnished by the Department of Education must be used for this program.

**Award Procedure:**

Awards are made on approval of the Commissioner of Rehabilitation Services and the Assistant Secretary, OSERS for new projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance. Renewals are available only through a new application process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Generally matching is required; the Migratory Worker program requires 10 percent matching. The Federal share of the costs of the Recreation program shall be 100 percent for the first year, 75 percent for the second year, and 50 percent for the third year with corresponding matching requirements for the second and third years.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project support may be available for up to 3 to 5 years depending upon satisfactory performance and availability of funds. Funds are granted on a 12-month basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial reports and progress reports must be submitted as prescribed by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR Part 75) records related to grant funding, compliance and performance must be maintained for a period of five years after completion of the grant activity.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$1,856,280; FY 12 est \$1,261,611; and FY 13 est \$0 - (migrant and seasonal farm workers).

**Range and Average of Financial Assistance:**

varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34

CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86; and the regulations for this program in 34 CFR 369 apply. Specific guidelines and literature may be obtained from the RSA headquarters offices.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sonja Turner, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W, Washington, District of Columbia 20202 Email: sonja.turner@ed.gov Phone: (202) 245-7557.

**Website Address:**

<http://www.ed.gov/programs/rsamigrant/index.html>; or  
<http://www.ed.gov/programs/rsarecreation/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are announced in the Federal Register. Grants for migrant and seasonal farmworker projects are made to a designated State agency and to nonprofit and local agencies working in collaboration with the State agencies. Applications for discretionary grants are subjected to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program regulations 34 CFR 75.210.

**84.129 REHABILITATION LONG-TERM TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302.

**OBJECTIVES:**

To support projects to provide academic training in areas of personnel shortages identified by the Secretary to increase the number of personnel trained in providing vocational rehabilitation services to individuals with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational rehabilitation and independent living of individuals with disabilities, such as rehabilitation counseling, independent living, rehabilitation medicine, physical and occupational therapy, prosthetics-orthotics, speech-language, pathology and audiology, rehabilitation of individuals who are blind and individuals who are deaf, and rehabilitation technology. A grantee must use at least 75 percent of the total award for scholarships.

**Applicant Eligibility:**

Institutions of Higher Education, State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations.

**Beneficiary Eligibility:**

Individuals preparing for employment in the field of rehabilitation of individuals with disabilities.

**Credentials/Documentation:**

An application should show evidence of current accreditation by or seeking of accreditation from the designated accreditation agency in the respective professional field. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-4725. Attn: 84.129.

**Award Procedure:**

New and continuation grants are awarded by the Rehabilitation Services Administration. New awards are made based upon the results of a peer review process and the review and approval of applications by staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10.%. The Federal share may not be more than 90 percent of the total cost of a project under this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects are generally supported for a maximum of 5 years; with budget periods of 12 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper records must be maintained for a period of time equal to the time required to fulfill the obligations of each grantee to determine whether a scholar has met the work-or-repay provision in 34 CFR 386.34, or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$19,759,777; FY 12 est \$19,445,000; and FY 13 est \$18,427,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Parts 385 and 386 and the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the purpose of the content and the training project to the administratively established mission of the public rehabilitation program and the objectives of the Rehabilitation Services Administration. The methodology to be employed in implementing the project and its feasibility for the achievement of the established educational objectives. The existence of a working relationship with the State vocational rehabilitation agency and other agencies and rehabilitation facilities providing vocational rehabilitation services. Criteria for evaluating applications are published in program regulations 34 CFR Parts 385 and 386.

**84.132 CENTERS FOR INDEPENDENT LIVING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part C.

**OBJECTIVES:**

To support a Statewide network of centers for independent living (centers or CILs) and provide financial assistance to centers that comply with the standards and assurances in section 725(b) and (c) of the Rehabilitation Act of 1973, as amended (Rehabilitation Act) consistent with the design included in the State Plan for Independent Living for establishing a statewide network of centers. Centers are consumer-controlled, community-based, cross-disability, nonresidential, private nonprofit agencies that are operated in local communities by individuals with disabilities and provide an array of IL services that are designed to enhance independence and productivity of individuals with significant disabilities and to promote their full inclusion and integration into the mainstream of American society.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Federal funds awarded under this program, the CIL program, are used for the establishment and operation of centers for independent living which offer a wide range of independent living (IL) services. Services must include independent living core services which are information and referral services, independent living skills training, peer counseling, including cross-disability peer counseling, and individual and systems advocacy. As appropriate, IL services include a combination of any other independent living services

specified in the Rehabilitation Act and 34 CFR Section 364.4 of the IL program regulations. Section 721(b) of the Rehabilitation Act specifies that not less than 1.8 percent and not more than two percent of Federal funds appropriated for the CIL program must be reserved each fiscal year to provide training and technical assistance under contracts with entities who have experience in the operation of centers for independent living.

**Applicant Eligibility:**

Private non-profit organizations. An eligible agency under the CIL program is a consumer-controlled, community-based, cross-disability, nonresidential, private nonprofit agency or a state agency in states in which no eligible private non-profit organization applies for a grant. The Rehabilitation Act and regulations require the Commissioner of the Rehabilitation Services Administration to make awards based on a statutory order of priority. A States allotment for IL Part C funds is determined according to a population-based formula. To the extent funds are available, the order of priority is as follows: existing centers that meet the standards and assurances in section 725(b) and (c) of the Act must receive the level of funding each center received in the prior year. Existing centers that meet the Acts standards and assurances then receive a cost-of-living increase consistent with section 721(c)(3) of the Act. If there are sufficient excess funds in a States allotment, and there are areas in the State that are unserved or underserved by centers, the Commissioner must fund new centers. If there are insufficient funds to fund new centers, the excess funds may be distributed to existing centers or reallocated to other States.

**Beneficiary Eligibility:**

Individuals with significant disabilities as defined in section 7 of the Rehabilitation Act and 34 CFR 364.4 of the IL program regulations. This refers to an individual with a severe physical, mental, cognitive or sensory impairment whose ability to function independently in the family or community or whose ability to obtain, maintain, or advance in employment is substantially limited and for whom the delivery of IL services will improve the ability to function, continue functioning, or move toward functioning independently in the family or community or to continue in employment.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations). If the center is operated by a State agency, OMB Circular A-87 is used to determine the allowability of costs. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80, if a state agency receives the award, apply to this program. Applications should be submitted to the Department e-Grants Website or to the Department of Education, Application Control Center, 400 Maryland Ave. S.W., Washington, DC 20202-4725, according to instructions specified in the Notice Inviting Applications. The standard application kit as furnished by the Department of Education must be used for this program.

**Award Procedure:**

New awards are made based upon the results of a competitive peer review process of applications and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects may be continued based on the submission of an annual performance report (the section 704 report), and RSAs determination that the center has met the standards and assurances under section 725(b) and (c) of the Rehabilitation Act, and the availability of funds. Amounts of continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory Formula: Rehabilitation Act Section 721(c) and 722(e).

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Existing projects are approved on an annual basis with funding on a twelve month basis. New projects are funded for five years with funding approved on a 12-month basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual and fiscal progress reports and self-evaluations (section 704 reports) must be submitted as prescribed by Section 725 (c)(8) of the Rehabilitation Act, and grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for non-profit recipients (34 CFR Part 74) records related to grant funding, compliance and performance must be maintained for a period of three years after completion of the grant activity and the final financial report is submitted or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$80,105,468; FY 12 est \$79,953,602; and FY 13 est \$79,953,602

**Range and Average of Financial Assistance:**

In FY 2012, the range is \$1,793 to \$1,368,247. The average award is \$217,668.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, and 97; Program Regulations in 34 CFR Parts 364 and 366.

**Regional or Local Office:**

None.

**Headquarters Office:**

Veronica Hogan, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: veronica.hogan@ed.gov Phone: (202) 245-7378.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.169 Independent Living\_State Grants; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for this program include extent of need for the project, past performance, satisfaction of the standards and assurances set forth in Section 725, quality of key personnel, budget and cost-effectiveness, evaluation plan, plan of operation, and involvement of individuals with significant disabilities. Criteria for evaluating applications are published in program regulations at 34 CFR 366.

**84.133 NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title II.

**OBJECTIVES:**

To support and coordinate research and its utilization in order to improve the lives of people of all ages with physical and mental disabilities, especially persons with severe disabilities, through: (1) identifying and eliminating causes and consequences of disability; (2) maximizing the health, physical, and emotional status of persons with disabilities and their functional ability, self-sufficiency, self-development and personal autonomy; (3) preventing or minimizing personal and family, physical, mental, social, educational, vocational, and economic effects of disability; and (4) reducing and eliminating physical, social, educational, vocational, and environmental barriers to permit access to services and assistance and to use their abilities in daily life.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for research, demonstration, dissemination/utilization projects of national significance, and career training projects. All applications must meet standards of excellence in research and evaluation design. Fellowships support individual investigators in pursuing research in rehabilitation.

**Applicant Eligibility:**

States, public, private, or nonprofit agencies and organizations, institutions of higher education, and Indian tribes and tribal organizations are eligible for research projects and specialized research activities related to the rehabilitation of individuals with disabilities; fellowships may be awarded to individuals.

**Beneficiary Eligibility:**

Individuals with disabilities may benefit directly or indirectly from research and other activities conducted by grantees, such as technical assistance and dissemination.

**Credentials/Documentation:**

Applicants should present written evidence of other agencies' willingness to cooperate when the project involves their acceptance or the utilization of their facilities or services. Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The NIDRR long-range research plan serves as the basis for program announcements that are published in the Federal Register and Requests for Proposals that are published in the Commerce Business Daily. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the

review and approval of applications by staff in various offices within the Department. Official notice of approved applications is made through issuance of a Notice of Grant Award or an official letter of fellowship award. Grants and fellowships are awarded by the Secretary, Department of Education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Ranges from 30 to 120 days. Generally, solicited grants, fellowships, and contracts will be acted upon within 120 days.

**Appeals:**

There are no formal appeal procedures.

**Renewals:**

Grantees must submit annual progress reports in order to receive continuation funding. Awards may be renewed annually for up to five years throughout the project period of the award. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees funded under Sections 204(a) and 202(k) of the Rehabilitation Act, as amended, are required to share in the cost of projects. The amount of cost-sharing is negotiable. Cost-sharing for other grantees is at the Secretary's option.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded in 12 month budget periods. Support beyond the first 12 month budget period is contingent upon evidence that the grantee has made substantial progress toward achieving the objectives and outcomes for a project, and availability of appropriations. Awards may be made for a maximum of five years. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Annual reports of progress and annual expenditures are required on all projects. Comprehensive final reports are due 90 days after the end of the project. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant or contract number including all receipts and expenditures, must be maintained for three years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$109,022,518; FY 12 est \$108,816,947; and FY 13 est \$106,817,000

**Range and Average of Financial Assistance:**

The range and average vary greatly according to the competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grant administrative policies for programs and fellowships may be obtained from the program office. NIDRR program regulations are contained in 34 CFR Parts 350-359.

**Regional or Local Office:**

None. Contact Headquarters Office.

**Headquarters Office:**

Lynn Medley Department of Education, OSERS National Institute on Disability and Rehabilitation Research, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: lynn.medley@ed.gov Phone: (202) 245-7338

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/nidrr/index.html>.

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 84.129 Rehabilitation Long-Term Training; 84.224 Assistive Technology

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Objectives of projects and programs must be in consonance with and should contribute to achievement of the goals and objectives of the Institute. Adequate facilities must be available or planned to carry out the specific project or program. Personnel must be trained and qualified to carry out the proposed programs, and staffing patterns must be appropriate. Demonstrations of adequate plans and procedures for ensuring the relevance to current needs in rehabilitation and the potential for project results must be effectively utilized. Commitment of available resources on the part of the applicant and evidence that the applicant has knowledge of rehabilitation issues as well as knowledge of past and present related research activities. A statement showing that the estimated cost to the government is reasonable in relation to anticipated project results. Demonstrate the ability and capacity to achieve stated goals. Demonstrate, coordinate and cooperate with regional programs, State agency programs, and private rehabilitation facilities. Specific weighted selection criteria are contained in program regulations. For fellowships, criteria are specified in program regulations, 34 CFR Part 356. These criteria include the education and experience of the individual and the quality of the fellowship proposal.

**84.141 MIGRANT EDUCATION\_HIGH SCHOOL EQUIVALENCY PROGRAM**

(HEP)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Section 418A.

**OBJECTIVES:**

To assist students who are engaged, or whose immediate family is engaged, in migrant and other seasonal farm work to obtain the equivalent of a secondary school diploma and subsequently to gain employment or be placed in an institution of higher education or other postsecondary education or training.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to recruit and provide academic and support services (including counseling, health services, stipends, and placement) to migrant students to obtain the equivalent of a secondary school diploma and to subsequently gain employment or be placed in an institution of higher education or other postsecondary education or training.

**Applicant Eligibility:**

Institutions of higher education or private nonprofit agencies in cooperation with institutions of higher education may apply.

**Beneficiary Eligibility:**

Persons who are engaged or whose immediate family is engaged in migrant and other seasonal farmwork or who have participated or have been eligible to participate in the Title I, Migrant Education Program or the Department of Labor's National Farmworker Jobs Program. Eligible beneficiaries are age 16 and older or beyond the age of compulsory school attendance, and lacking a

high school diploma or its equivalent.

**Credentials/Documentation:**

To be eligible to participate in HEP, the applicant or his or her immediate family member must: (1) Have worked a minimum of 75 days during the past 24 months in migrant on seasonal farmwork, or have been eligible to participate or have participated within the past 2 years in Title I, Migrant Education Program or the Department of Labor's National Farmworker Jobs Program; (2) not have earned a secondary school diploma or its equivalent; (3) not be currently enrolled in an elementary or secondary school; (4) be 16 years of age or older, or above the age of compulsory school attendance in the State where the project is located; and (5) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. OMB Circulars No. A-21 for IHEs and No. A-122 for nonprofit organizations apply to this program. Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations also applies to recipients of this program. Application forms are available from the Department of Education as announced in a Notice Inviting Applications (NIA). An eligible applicant submits its application to the Department of Education no later than the date announced by the Department in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. Applications are reviewed and evaluated by a panel for selection and possible funding.

**Award Procedure:**

The Department reviews each application using selection criteria published in the Federal Register. The Department of Education sends a Grant Award Notification (GAN) to the successful applicants. The Department conducts a budget analysis of allowable activities and costs and recommendations for new grants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately four months.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for up to 60 months. Continuation awards are subject to the availability of funds and recipient performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is up to 60 months. Funds are awarded for 12-month budget periods. Continuations are subject to the availability of funds and recipient performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

An Annual Performance Report (APR) showing satisfactory performance is required to receive a continuation award each year and a final performance report is required 90 days after completion of a project. No cash reports are

required. No progress reports are required. Expenditure summarizations are required annually by the APR annual and final instructions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (34 CFR 74, 75, and 80), grantees must maintain certain project records for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$19,908,535; FY 12 est \$19,948,431; and FY 13 est \$19,948,000

**Range and Average of Financial Assistance:**

Range: \$180,000-\$475,000 Average: \$446,438.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding to 44 projects. Fiscal Year 2012: Provided funding to 43 projects. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(a) 34 CFR 74, 75, 77, 79, 82, 84, 85, 86, 97, and 99. (b) The regulations in 34 CFR part 206. (c) The definitions in 34 CFR 200.81.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tara Ramsey Office of Migrant Education, Office of Elementary and Secondary Education, US Department of Education, 400 Maryland Avenue, S.W., Room 3E309, Washington, District of Columbia 20202 Email: tara.ramsey@ed.gov Phone: (202) 260-2063

**Website Address:**

<http://www.ed.gov/program/hep/index.html>

**RELATED PROGRAMS:**

84.047 TRIO\_Upward Bound; 84.144 Migrant Education\_Coordination Program; 84.149 Migrant Education\_College Assistance Migrant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects that help migrant individuals attain a high school equivalency degree. Fiscal Year 2012: Projects that help migrant individuals attain a high school equivalency degree. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department publishes criteria in a notice inviting applications published in the Federal Register. For the purpose of making grants under the program, the Secretary must consider prior experience of service delivery by expiring projects that submit an application under this program and award up to a maximum of 15 additional points to an application that meets the prior experience of service delivery competitive preference priority.

**84.144 MIGRANT EDUCATION\_COORDINATION PROGRAM**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, Title I, Part C, Section 1308(d), 20 U.S.C 6398.

**OBJECTIVES:**

To provide financial incentives to State Educational Agencies (SEAs) to



participate in consortia that provide high-quality project designs and services to improve the interstate or intrastate coordination of migrant education programs by addressing key needs of migratory children who have their education interrupted.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to implement the consortium activities to improve interstate and intrastate coordination of migrant education programs by addressing key needs of migratory children whose education is interrupted or to carry out any other activities authorized under the Migrant Education formula program (MEP). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies (SEAs) receiving MEP Basic State Formula grants, in a consortium with another State or other appropriate entities.

**Beneficiary Eligibility:**

Migratory children of migratory agricultural workers or migratory fishers, or individuals under 21 years old who are migratory agricultural workers or migratory fishers, or spouses of such workers or fishers whose education is interrupted benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. The applications are reviewed and evaluated by a panel of peer reviewers. Awards are made on a competitive basis.

**Award Procedure:**

The Department reviews each application using selection criteria and priorities published in Federal Register notices and the application package. The U.S. Department of Education sends Grant Award Notification (GAN) to successful applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: An SEA may receive only one incentive grant award regardless of the number of consortia in which it participates. Consortium incentive grant awards are calculated on the basis of a two-tiered formula: SEAs whose MEP allocations are \$1 million or less will, in general, receive a grant award that is twice the amount of the award provided to SEAs whose MEP allocations are greater than \$1 million. Within each tier, awards will be of equal size. However, no SEA will receive an incentive grant award that exceeds

the amount of its Title I, Part C, MEP formula grant or \$250,000, whichever is less.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Consortium Incentive Grants for interstate and intrastate coordination activities will be awarded for up to two years, subject to the availability of funds. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Annual performance reports are required from SEAs participating in consortium incentive grants and from other grant recipients. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administration Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, grantees must maintain certain project records for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$3,000,000; FY 12 est \$3,000,000; and FY 13 est \$3,000,000

**Range and Average of Financial Assistance:**

Range: \$66,666-\$133,333.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding to 33 States. Fiscal Year 2012: Provided funding to 33 States. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 75, 76, and 80.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Moreno Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, SW, Room 3E257, Washington, District of Columbia 20202 Email: michelle.moreno@ed.gov Phone: (202) 401-2928

**Website Address:**

<http://www.ed.gov/about/offices/list/oese/ome/index.html>.

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.141 Migrant Education\_High School Equivalency Program; 84.149 Migrant Education\_College Assistance Migrant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects to improve the interstate or intrastate coordination of migrant education programs. Fiscal Year 2012: Projects to improve the interstate or intrastate coordination of migrant education programs. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for interstate/intrastate coordination grants are consistent with 34 CFR 75.

#### **84.145 FEDERAL REAL PROPERTY ASSISTANCE PROGRAM**

##### **FEDERAL AGENCY:**

Office of Human Resources and Administration, Department of Education

##### **AUTHORIZATION:**

Department of Education Organization Act of 1979; Federal Property and Administrative Services Act of 1949, Section 203(k), as amended.

##### **OBJECTIVES:**

To convey surplus Federal Real Property for educational purposes at fair market value.

##### **TYPES OF ASSISTANCE:**

SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS

##### **USES AND USE RESTRICTIONS:**

Must be used for education purposes including but not limited to higher education, elementary and secondary education, libraries, central administrative facilities, educational television and radio, rehabilitation and training, vocational education and research, correctional education centers.

##### **Applicant Eligibility:**

Those groups, organizations, entities, or institutions providing educational programs including: States; their political subdivisions and instrumentalities; and tax supported organizations or private nonprofit institutions held exempt from taxation under Section 501(C)(3) of the Internal Revenue Code of 1954 may apply.

##### **Beneficiary Eligibility:**

Program participants receiving educational opportunities will benefit.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

All potentially eligible entities are notified of the availability of property including State and local officials or any known educational entity authorized to operate within the general geographical area. Upon receipt of a notice of intent to file an application, a preapplication conference is possible. An environmental impact assessment is required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application guides and deadlines for filing applications are provided on a case by case basis. All applicants must demonstrate the legal, financial, and technical ability to conduct the educational programs proposed.

##### **Award Procedure:**

Written notification with follow-up issuance of formal transfer of title.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Thirty to 90 days for tentative decisions, after receipt of the application, and 90 to 360 days to the formal transfer of a title.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### **Length and Time Phasing of Assistance:**

Up to 30 years. The fair market value (FMV) of the property is amortized over a period of time established based on the type of property acquired. Public benefit discount of the FMV is granted when public educational programs are being conducted. See the following for information on how assistance is awarded/released: electronic transfer.

##### **Reports:**

An annual written report of activities by the recipient. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

##### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. On-site audits are conducted during the period of restriction to assure operation as specified in the application and deed of transfer.

##### **Records:**

Record requirements will be included in award documents.

##### **Account Identification:**

91-0800-0-1-503.

##### **Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

##### **Range and Average of Financial Assistance:**

Not available.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: 34 CFR 12; Pamphlet: How to Acquire Surplus Federal Real Property for Educational Purposes; Guidelines: Application outline and preparation assistance can be obtained at the zone office level.

##### **Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a list of regional offices.

##### **Headquarters Office:**

Federal Real Property Assistance Program, Office of the Administrator for Management Services, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Phone: (202) 260-4558

##### **Website Address:**

<http://www.FRPA@ed.gov>

##### **RELATED PROGRAMS:**

Not Applicable.

##### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

##### **CRITERIA FOR SELECTING PROPOSALS:**

All applications must establish eligibility of the institution and its program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) Proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, not met needs, integrated research, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accommodated.

#### **84.149 MIGRANT EDUCATION\_COLLEGE ASSISTANCE MIGRANT PROGRAM**

(CAMP)

##### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Section 418A, 20 U.S.C 1070d-2.

**OBJECTIVES:**

To assist students who are engaged, or whose immediate family is engaged, in migrant and other seasonal farmwork, are enrolled or are admitted for enrollment on a full-time basis, at institutions of higher education and are in the first academic year at such an institution.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project funds may be used to provide supportive and instructional services, including tutoring and counseling services and assistance in obtaining student financial aid (including stipends, tuition, and room and board) to first-year college students, assist those students in obtaining financial aid for their remaining undergraduate years, and provide follow-up services, such as monitoring and reporting students' first-year and subsequent year academic progress, and referrals to counseling services, academic assistance, or financial aid.

**Applicant Eligibility:**

Institutions of higher education or private nonprofit agencies in cooperation with institutions of higher education may apply.

**Beneficiary Eligibility:**

First-year college students who are engaged, or whose immediate family member is engaged, in migrant and other seasonal farmwork or who have participated or been eligible to participate in the Title I, Migrant Education Program, or the Department of Labor's National Farmworker Jobs program.

**Credentials/Documentation:**

To be eligible to participate in a CAMP project, the applicant must: (1) be enrolled or admitted for enrollment as a full-time student at a participating institution of higher education; (2) not be beyond the first academic year of a program of study at the institution of higher education, as determined under the standards of the institution; and (3) be determined by the grantee to need the academic and supporting services and financial assistance provided by the project in order to complete an academic program of study at the institution of higher education. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms are available from the Department of Education, as announced in a Notice Inviting Applications (NIA). An eligible applicant submits its application to the Department of Education no later than the date announced by the Department in the Federal Register. An application must be prepared and submitted in accordance with the regulations, instructions, and forms included in the grant application package. Applications are reviewed and evaluated by a panel of peer reviewers. OMB Circulars A-21 and A-122 apply to this program.

**Award Procedure:**

The Department reviews each application using selection criteria published in the Federal Register. The Department of Education, sends a Grant Award Notification (GAN) to successful applicant of its award. The Department conducts a budget analysis of allowable activities and costs and recommendations for new grants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately four months.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded up to 60 months. Continuation awards are subject to the availability of funds and recipient performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is up to 60 months; funds are awarded for 12-month budget period. Continuations are subject to the availability of funds and recipient performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

An Annual Performance Report (APR) showing satisfactory performance is required to receive a continuation award each year, and a final performance report is required 90 days after completion of a project. No cash reports are required. No progress reports are required. Expenditure summarizations are required annually by the APR annual and final instructions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (34 CFR 74, 75, and 80), grantees must maintain certain project records for three years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$16,503,156; FY 12 est \$16,472,116; and FY 13 est \$16,472,191

**Range and Average of Financial Assistance:**

Range: \$180,000-\$425,000. Average: \$410,615.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding to 40 projects. Fiscal Year 2012: Provided funding to 39 projects. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(a) 34 CFR 74, 75, 77, 79, 82, 84, 85, 86, 97, and 99. (b) The regulations in 34 CFR part 206. (c) The definitions in 34 CFR 200.81.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tara Ramsey Office of Migrant Education, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., room 3E309, Washington, District of Columbia 20202 Email: tara.ramsey@ed.gov Phone: (202) 260-2063

**Website Address:**

<http://www.ed.gov/programs/camp/index.html>.

**RELATED PROGRAMS:**

84.011 Migrant Education\_State Grant Program; 84.042 TRIO\_Student Support Services; 84.047 TRIO\_Upward Bound; 84.141 Migrant Education\_High School Equivalency Program; 84.144 Migrant Education\_Coordination Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Programs that help migrant individuals finish their year of college. Fiscal Year 2012: Programs that help migrant individuals finish their year of college. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The Department publishes criteria in a notice inviting applications published in the Federal Register. For the purpose of making grants under this program, the Secretary must consider prior experience of service delivery by expiring projects that submit an application under this program and award up to a maximum of 15 additional points to an application that meets the prior experience of service delivery competitive preference priority.

**84.153 BUSINESS AND INTERNATIONAL EDUCATION PROJECTS****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part B, Section 611.

**OBJECTIVES:**

To promote innovation and improvement in international business education curricula at institutions of higher education (IHEs) and promote linkages between IHEs and the business community.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Institutions eligible for discretionary grant funding must enter into an agreement with a business enterprise, trade organization or association engaged in international economic activity, or a consortium of the named entities. Eligible activities include but are not limited to: improving the business and international education curriculum of institutions to serve the needs of the business community, including the development of new programs for mid-career or part-time students; developing programs to inform the public of increasing international economic interdependence and the role of U.S. businesses within the international economic system; internationalizing curricula at the junior and community college level and at undergraduate and graduate schools of business; developing area studies and interdisciplinary international programs; establishing export education programs; conducting research and developing specialized teaching materials appropriate to business-oriented students; establishing student and faculty fellowships and internships or other training or research opportunities; creating opportunities for business and professional faculty to strengthen international skills; developing research programs on issues of common interest to IHEs and private sector organizations and associations engaged in or promoting international economic activity; establishing internships overseas to enable foreign language students to develop their foreign language skills and knowledge of foreign cultures and societies; establishing links overseas with IHEs and organizations that contribute to the education objectives of this program; and establishing summer institutes in international business, foreign areas, and other international studies designed to carry out the purposes of this program. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 377-3838.

**Applicant Eligibility:**

Accredited institutions of higher education may apply. Institutions must enhance their own international academic programs and provide appropriate services to the business community to expand U.S. exports abroad.

**Beneficiary Eligibility:**

Students and faculty at accredited institutions will benefit. Business community will also benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for funding of projects when the announcement of a new competition appears in the Federal Register. Application forms and guidelines are available from the Office of International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants, developed according to procedures in regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project period may last up to 24 months. Applicants submit performance reports for continuation funding according to instructions established by the Department. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The total cost of carrying out a program supported by a grant under the Business and International Education Program must be no less than 50 percent of the total cost of the project in each fiscal year. The non-Federal share of the cost may be provided either in-kind or in cash.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12 or 24 month period. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions must provide final reports upon completion of the program. Staff monitor grants drawdown using agency financial reports. No cash reports are required. Contact program office. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available upon request: (1) for three years after close of the fiscal year in which the grant was closed out; or (2) until the grantee is notified of the completion of a Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$883,708; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655, 661, Education Department General Administrative Regulations. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanyelle Richardson, Office of International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, Washington, District of Columbia 20006 Email: tanyelle.richardson@ed.gov Phone: (202) 502-7626.

**Website Address:**

<http://www.ed.gov/programs/iegpsbie/>.

**RELATED PROGRAMS:**

84.220 Centers for International Business Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 661.31. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

**84.160 TRAINING INTERPRETERS FOR INDIVIDUALS WHO ARE DEAF AND INDIVIDUALS WHO ARE DEAF-BLIND****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302(f).

**OBJECTIVES:**

To support projects that increase the numbers and improve the skills of manual, oral, and cued speech interpreters providing services to individuals who are deaf and individuals who are deaf-blind.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to eligible entities to provide training for manual, tactile, oral and cued speech interpreters. This training may include classroom instruction, workshops, seminars, and field placement. Curriculum may include specialty areas such as interpreting in legal, medical, or rehabilitation settings or for deaf-blind, speech-impaired or developmentally disabled persons.

**Applicant Eligibility:**

Public or private nonprofit agencies and organizations, including institutions of higher education are eligible for assistance.

**Beneficiary Eligibility:**

Individuals preparing for employment as interpreters for individuals who are deaf and individuals who are deaf-blind who are presently serving as interpreters and wish to maintain or raise the level of their skills, and the persons who will receive the services of interpreters are beneficiaries of this program.

**Credentials/Documentation:**

OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for non-profit organizations applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. Application is made to Department of Education, Application Control Center, 400 Maryland Ave., S.W., Washington, DC 20202-4725.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are required to share in the cost of projects with a portion subject to individual negotiations.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be supported for a maximum of 5 years, with budget periods of 12 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR Part 75) records related to grant funding, compliance and performance must be maintained for a period of five years after completion of the grant activity.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$2,099,977; FY 12 est \$2,063,000; and FY 13 est \$2,100,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Training of Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind Regulations (34 CFR Part 385); (34 CFR Part 396); the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/students/college/aid/rehab/catinter.html>.

**RELATED PROGRAMS:**

None.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the project to the stated objectives of the interpreter training program. The number of trainees expected to be involved; demonstrated capacity or potential for providing interpreter training, the past record of existing training programs; and the geographical area expected to be served.

**84.161 REHABILITATION SERVICES\_CLIENT ASSISTANCE PROGRAM**

(CAP)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title I, Part B, Section 112, 29 U.S.C 732.

**OBJECTIVES:**

(1) To provide assistance in informing and advising clients and client applicants of available benefits under the Rehabilitation Act; (2) to assist and advocate for clients and client applicants in their relationships with projects, programs and services provided under this Act, including assistance and advocacy in pursuing legal, administrative and other appropriate remedies; (3) to provide information on available services under the Act and Title I of the Americans with Disabilities Act to any individual with disabilities in the State.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for services to help clients and applicants understand the rehabilitation services available under the Rehabilitation Act, and to provide information to individuals with disabilities in the State. The CAP is not allowed to bring class action suits.

**Applicant Eligibility:**

States and Territories (through the Governor) are eligible for awards. The Governor shall designate a public or private agency to conduct the State's program.

**Beneficiary Eligibility:**

Clients and client applicants receiving services or interested in seeking assistance under the Rehabilitation Act of 1973, as amended, will benefit from CAP services.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Governor submits assurances that meet the requirements established under the Rehabilitation Act, as amended, and Federal regulations.

**Award Procedure:**

Notice of annual allotment to States, quarterly grant award notices and funds are withdrawn under the Electronic Transfer System or by Treasury check.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The State may appeal to the Office of Administrative Law Judges (34 CFR 81).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: In accordance with the Act Federal funds are distributed on the basis of the relative population of each State, except no State shall receive less than \$50,000, Territories \$30,000. When total funds available for this program exceed \$7,500,000, the minimum allotment is \$100,000 for States and \$45,000 for Territories.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded for one fiscal year. Funds that are not obligated by the end of the fiscal year may be carried over for obligation in the year succeeding the year in which the funds were awarded. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are required annually. Cash reports are required quarterly. Progress reports are not applicable. Expenditure reports are required annually. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in OMB Circular No. A-133.

**Records:**

Information on clients and client applicants served as cases should be maintained.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$12,263,424; FY 12 est \$12,239,823; and FY 13 est \$12,240,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: CAPS responded to 52,376 requests for information and provided extensive services to 6,965 individuals. Fiscal Year 2012: No Data Yet Available. Fiscal Year 2013: No Data Yet Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Client Assistance Program Regulations (34 CFR part 370).

**Regional or Local Office:**

None.

**Headquarters Office:**

Jim Doyle, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: jim.doyle@ed.gov Phone: (202) 245-6630.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.128 Rehabilitation Services\_Service Projects; 84.132 Centers for Independent Living; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind; 84.187 Supported Employment Services for Individuals with Significant Disabilities; 84.240 Program of Protection and Advocacy of Individual Rights

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.165 MAGNET SCHOOLS ASSISTANCE****FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part C.

**OBJECTIVES:**

To provide grants to eligible local educational agencies (LEAs) to establish and operate magnet schools that are operated under a court-ordered, agency-ordered, or federally approved voluntary desegregation plans. Magnet programs aim to eliminate, reduce, or prevent minority-group isolation in elementary and secondary schools while strengthening students' academic achievement.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used, among other things, for planning and promotional activities directly related to the development, expansion, continuation, or enhancement of academic programs offered at magnet schools; for purchasing books, materials, equipment; and for paying or subsidizing the salaries of teachers and instructional staff in magnet schools. Funds may not be used for transportation or activities that do not augment academic improvement. A grantee may use not more than 50 percent of funds in 6th the first year of the grant, and not more than 15 percent in the second and third years, for planning. Applicants must use a restricted indirect cost rate which is referenced under 34 CFR 75.

**Applicant Eligibility:**

LEAs that are implementing court-ordered, agency-ordered or federally approved voluntary desegregation plans that include magnet schools are eligible to apply.

**Beneficiary Eligibility:**

LEAs and participating students will benefit.

**Credentials/Documentation:**

Applicants must submit a copy of the desegregation plan they are implementing, or will implement, if assistance is made available. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application notices are published in the Federal Register and applications must be sent to the Education Department on or before the closing date.

**Award Procedure:**

Recommendations for the approval of applications are made by the program staff on the basis of published criteria, statutory priorities, State comments received under the E.O. 12372 process, and with the advice and assistance of a panel of independent reviewers. In addition, no application may be approved unless the Assistant Secretary for Civil Rights determines that all required assurances will be met.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is anticipated to be 90 to 120 days from the closing date.

**Appeals:**

Not Applicable.

**Renewals:**

The project period for a Magnet School award may not exceed 36 months. To receive continuation funding, grantees must demonstrate substantial progress toward meeting their goals and objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of grants will be up to 36 months, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As part of the continuation award funding process, grantees must submit performance reports annually. Final performance reports must be submitted within 90 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Under section 443 of the General Education Provisions Act grantees must maintain records for 3 years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$99,800,000; FY 12 est \$96,733,284; and FY 13 est \$99,611,000

**Range and Average of Financial Assistance:**

Range of awards: \$350,000-\$4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information on regulations (34 CFR 280).

**Regional or Local Office:**

None.

**Headquarters Office:**

Rosie Kelley, Department of Education, Office of Innovation and Improvement Parental Options and Information, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: rosie.kelley@ed.gov Phone: (202) 260-0911.

**Website Address:**

<http://www.ed.gov/programs/magnet/index.html>

**RELATED PROGRAMS:**

84.004 Civil Rights Training and Advisory Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Interested parties should contact the Headquarters Office as listed above for information on funded projects. Fiscal Year 2012: Interested parties should contact the Headquarters Office as listed above for information on funded projects. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are used to evaluate the applicant's project design, project services, personnel, budget and resources, evaluation plan, and commitment and capacity. Competitive priority is given to applicants that demonstrate the greatest need for assistance; that carry out new or significantly revised magnet schools; and that select students to attend magnet schools through methods such as lottery, rather than academic examination. For funds appropriated for the program in excess of \$75 million, competitive priority is given to those applicants that did not receive funds under the program in the previous fiscal year.

**84.169 INDEPENDENT LIVING STATE GRANTS****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 1, Part B.

**OBJECTIVES:**

To provide financial assistance to States for expanding and improving the provision of independent living (IL) services to individuals with significant disabilities by promoting and maximizing their full integration and inclusion into the mainstream of American society.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds received under this program may be used to carry out the purposes of the Independent Living State Grants Program described in section 713 of the Rehabilitation Act and 34 CFR Section 365.1 of the IL program regulations. These purposes include to support the operation of the Statewide Independent Living Council (SILC), to provide individuals with significant disabilities the core independent living services to demonstrate ways to expand and improve independent living services; to support the operations of centers for independent living that are in compliance with the standards and assurances in section 725 (b) and (c) of the Rehabilitation Act; to support activities to increase the capacities of public or nonprofit agencies and organizations and other entities to

develop comprehensive approaches or systems for providing independent living services; to conduct studies and analyses, gather information, develop model policies and procedures, and present information, approaches, strategies, findings, conclusions, and recommendations to Federal, State, and local policymakers in order to enhance independent living services for individuals with significant disabilities; to train individuals with significant disabilities, individuals with disabilities, and individuals providing services to individuals with disabilities and other persons regarding the independent living philosophy; and to provide outreach to populations that are unserved or underserved by programs under Title VII of the Rehabilitation Act, including minority groups and urban and rural populations.

**Applicant Eligibility:**

Any designated State Unit (DSU) in a State with an approved State Plan for Independent Living (SPIL) may apply for assistance under this program. The DSU is the State agency designated as the State unit to administer the State's independent living services program. DSUs in the 50 States and the District of Columbia and the territories (Commonwealth of Puerto Rico and Virgin Islands) and the outlying areas (Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) are eligible to apply.

**Beneficiary Eligibility:**

Individuals with significant disabilities as defined in section 7 of the Rehabilitation Act and 34 CFR 364.4 of the IL program regulations. This refers to an individual with a severe physical, mental, cognitive or sensory impairment whose ability to function independently in the family or community or whose ability to obtain, maintain, or advance in employment is substantially limited and for whom the delivery of IL services will improve the ability to function, continue functioning, or move toward functioning independently in the family or community or to continue in employment.

**Credentials/Documentation:**

The State agency must certify the availability of State funds for matching purposes. The match for this program may be cash or in-kind. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 76 and 80 apply to this program. In order to be eligible for an allotment under this program, States must submit a State Plan for Independent Living (SPIL) meets requirements in section 704 of the Rehabilitation Act and 34 C.F.R. Part 364 of the IL program regulations. State applicants must submit a 3-year State plan which must be submitted not later than July 1, of the fiscal year preceding the first fiscal year of the forth coming 3-year period.

**Award Procedure:**

A notice of annual allotment to the State is issued. Initial distributions are subject to reallocation at the end of the fiscal year if the Commissioner of the Rehabilitation Services Administration determines that the State will not expend its allotment. States receive annual grant award notices and funds may be withdrawn under the Electronic Transfer System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

34 CFR 76.703 governs the approval/disapproval time of State plans in relation to when a State may begin to obligate funds.

**Appeals:**

After reasonable effort has been made to resolve the questions involved, and the State has pursued a hearing before the Office of the Administrative Law Judge,



the State may appeal to the United States Court of Appeals for the circuit in which the State is located pursuant to the IL program regulations at 34 CFR 364.12.

**Renewals:**

Awards are made on an annual basis and may be renewed for up to 2 additional years, for a total of 3 years under an approved State Plan for Independent Living.

**Formula and Matching Requirements:**

Statutory Formula: Section 711 of the Rehabilitation Act contains the formula the Department uses for the allocation of funds to each State. Federal funds are distributed based on the percentage each State's population constitutes of the total population of the United States. The source is the Annual Population Estimates, Bureau of the Census.

Matching Requirements: Under section 712(b) of the Rehabilitation Act, the States must contribute 10% of the cost of the program, in cash or in kind. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by 34 CFR Sections 80.40 and 80.41 of the Education Department General Administrative Regulations (EDGAR) performance reports and financial reports are required annually. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Education Department periodically conducts audits and site visits of designated State unit programs funded under the IL State Grants Program.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 3 years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$23,403,100; FY 12 est \$23,358,768; and FY 13 est \$23,359,000

**Range and Average of Financial Assistance:**

In FY 2012, the range is \$28,906 to \$2,079,442. The average award is \$412,950.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 76, 77, 79, 80, 81, 82, 84, 85, and 97; Program Regulations in 34 CFR Parts 364 and 365.

**Regional or Local Office:**

None. .

**Headquarters Office:**

Veronica Hogan, Office of Special Education and Rehabilitation Services Administration, Department of Education, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: veronica.hogan@ed.gov Phone: (202) 245-7378.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An approved State plan is a condition for receipt of funds under the IL State Grants program under the Rehabilitation Act. State plan requirements are contained in section 704 of the Rehabilitation Act and 34 CFR 364.

**84.170 JAVITS FELLOWSHIPS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII, Part A, Subpart I.

**OBJECTIVES:**

To provide fellowships for graduate study in the arts, humanities, and social sciences to individuals of superior ability selected on the basis of demonstrated achievement, financial need, and exceptional promise. Fellowships are awarded to students intending to pursue a doctoral degree and may be awarded to students pursuing a master's degree in those fields in which the master's degree is commonly accepted as the terminal degree.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A recipient is entitled to use the fellowship in a graduate program at any accredited institution of higher education in which the recipient may decide to enroll. For each fellowship awarded, the institution receives an institutional allowance determined in accordance with the statutory formula in Section 703 of the Higher Education Act of 1965, as amended. The student receives a stipend set at the level of support based on that provided by the National Science Foundation graduate fellowships. No stipend may exceed the Fellow's demonstrated level of need according to measurements of need set forth in Part F of Title IV of the Higher Education Act. An individual receives payments only during the periods that he or she maintains satisfactory progress in his or her program of study and devotes essentially full time to study or research in the field in which the fellowship was awarded.

**Applicant Eligibility:**

Eligibility is limited to U.S. citizens or nationals, permanent residents of the United States, and citizens of any one of the Freely Associated States. Applicants must be enrolled or eligible to be enrolled in a graduate program in an approved field of study at an accredited institution of higher education. Sixty percent of these new fellowships shall be awarded to applicants in the humanities, twenty percent to applicants in the social sciences, and twenty percent to applicants in the arts.

**Beneficiary Eligibility:**

Citizens and nationals of the United States, permanent residents of the United States, and citizens of any one of the Freely Associated States.

**Credentials/Documentation:**

Regulations were published in the Federal Register on January 19, 1998. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted in accordance with the notice of closing date published in the Federal Register.

**Award Procedure:**

The Education Department will make awards in accordance with the criteria established by the Javits Fellowship Board. Contact the program office for additional information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for continuation of support are made on an annual basis by the institution at which the fellow is pursuing graduate study, but may not exceed 48 months. Continuation awards are subject to the availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the grant is one year, but renewable for up to a total of 48 months, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Certification from an appropriate official at an institution of higher education approved by the Secretary, stating that the fellow is making satisfactory progress and has devoted essentially full time to study or research in the field in which the fellowship was awarded. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records bearing on the receipt and expenditure of funds under this program must be available for inspection by the Education Department. Records must be held for three years after the fiscal year in which expenditures are liquidated, or five years after the grant, or until resolution of any audit questions.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$9,687,000; FY 12 est \$8,083,800; and FY 13 est \$0

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 650. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carmen Gordon, Teacher and Student Development Programs Service, Office 1990 K St NW, 6th Floor, Washington, District of Columbia 20006-8524  
Email: OPE\_Javits\_Program@ed.gov Phone: (202) 219-7138.

**Website Address:**

<http://www2.ed.gov/programs/jacobjavits/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are established by the Fellowship Board. Fellowship applications are evaluated based on scholarly achievements, including Graduate Record Examination (GRE) scores on the general test only if applying in the humanities, social sciences, multi-or interdisciplinary fields of art history or creative writing; awards; honors; narratives describing personal goals; and three letters of recommendation.

**84.173 SPECIAL EDUCATION\_PRESCHOOL GRANTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Section 619; 20 U.S.C. 1419.

**OBJECTIVES:**

To provide grants to States to assist them in providing special education and related services to children with disabilities ages 3 through 5 years, and at a State's discretion, to 2- year- old children with disabilities who will reach age three during the school year.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States must distribute all grant funds that the State does not reserve for administration of the program or other State-level activities to eligible local educational agencies. Funds are used by State and local educational agencies, in accordance with the IDEA, to provide special education and related services to children with disabilities ages 3 through 5, and at the State's discretion, to 2-year -old children with disabilities who will reach age 3 during the next school year; and in some cases, early intervening services.

**Applicant Eligibility:**

State educational agencies in the 50 States, the District of Columbia, and Puerto Rico. Local educational agencies apply to their State educational agency for sub-grants.

**Beneficiary Eligibility:**

Children aged 3 through 5 with disabilities, and (at the State's option) 2-year-old children with disabilities that will reach age 3 during the school year, that require special education and related services will benefit.

**Credentials/Documentation:**

No State or jurisdiction may receive a grant unless the Secretary has approved the annual application and statement of assurances. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are eligible to receive funds under this program if the State establishes eligibility under Section 612 of Part B of the IDEA and if the State makes a free appropriate public education available to all children ages 3 through 5 years with disabilities residing in the State. Local educational agencies establish eligibility for Preschool Grant funds by meeting local application eligibility requirements in section 613 of Part B of the IDEA.

**Award Procedure:**

Once the State application has been approved, a grant award representing the total preschool grant amount for that fiscal year is forwarded to the State's

department of education. Notification of the award is made to the Chief State School Officer. States make subgrants to eligible local educational agencies from their initial grant award after setting aside funds for administration and state-level activities.

**Deadlines:**

May 10, 2013 The submission date for the State applications is May 10 to expedite funding, but plans or amendments are accepted throughout the school year.

**Range of Approval/Disapproval Time:**

Within 90 days.

**Appeals:**

The Department must not take final action to disapprove an application until the State is provided reasonable notice and an opportunity for a hearing. The State must request a hearing no later than 30 days after it receives notice of the proposed final determination that the State is not eligible to receive its award.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Statutory citation: IDEA Part B Sec. 619(c)

In general, funds are distributed to eligible entities through a formula based on general population and poverty. Under the formula, each State is first allocated an amount equal to its fiscal year 1997 allocation. For any year in which the appropriation is greater than the prior year level, 85 percent of the funds above the fiscal year 1997 level are distributed based on each States relative percentage of the total number of children aged 3 through 5 in the general population. The other 15 percent is distributed based on the relative percentage of children aged 3 through 5 in each State who are living in poverty.

The statute also includes several maximum and minimum allocation requirements when the amount available for distribution to States increases. If the amount available for allocation to States remains the same from one year to the next, States receive the same level of funding as in the prior year. If the amount available for allocation to States decreases from the prior year, any amount available for allocation to States above the 1997 level is allocated based on the relative increases in funding that the States received between 1997 and the prior year. If there is a decrease below the amount allocated for 1997, each States allocation is ratably reduced from the 1997 level.

This program has no matching requirements. No match requirement. However, there are non-supplanting and excess cost requirements.

This program has MOE requirements, see funding agency for further details. MOE requirements for this program apply to both State Educational Agencies and local educational agencies. Contact the program office for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each fiscal year. The Federal obligation period is a 15-month period from July 1 through September 30. State and local educational agencies have an additional 12-month period to obligate funds they receive. See the following for information on how assistance is awarded/released: Contact the program office for information on how assistance is awarded/released.

**Reports:**

State Performance Plans (SPPs) and Annual Performance Reports (APRs) are submitted to the Department of Education from the State Departments of Education. No cash reports are required. No progress reports are required. 34 CFR 80.41. Performance monitoring is applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731).

Generally, the State and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$373,350,802; FY 12 est \$372,645,369; and FY 13 est \$372,645,369

**Range and Average of Financial Assistance:**

For FY 2011, regular annual allotments to States, including DC and Puerto Rico, ranged from \$239,418 to \$37,746,603, with an average award of \$7,179,823.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are at 34 CFR Part 300, and 34 CFR Parts 76-77, 79, 80-82, 84-86, and 97-99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gregg Corr Office of Special Education Programs, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: gregg.corr@ed.gov Phone: (202) 245-7309

**Website Address:**

<http://www.ed.gov/about/offices/list/osep/osep/programs.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.181 Special Education-Grants for Infants and Families

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States and other eligible entities qualify for funding if they submit approvable applications under IDEA, section 612 and if they make a free appropriate public education available to all children with disabilities ages three through five years, residing in the State.

**84.177 REHABILITATION SERVICES\_INDEPENDENT LIVING SERVICES FOR OLDER INDIVIDUALS WHO ARE BLIND**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VII, Chapter 2.

**OBJECTIVES:**

To provide any independent living services that are described in 34 CFR Section 367.3(b) of the IL program regulations to older individuals who are blind that improve or expand services for these individuals; and conduct activities to help improve public understanding of the problems of these individuals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The designated State unit may use funds awarded under the OIB program to carry out the activities described in the program objectives section of this document. Among the independent living services that can be provided to older individuals who are blind are those services to help correct blindness, provision

of eyeglasses and other visual aids, services and equipment to enhance mobility and self-sufficiency, mobility training, Braille instruction, and other services and equipment to help older persons who are blind adjust to blindness, guide services, reader services and transportation, and any other appropriate services to help an older person who is blind in coping with daily living activities, IL core services including IL skills training, information and referral, peer counseling and individual and systems advocacy; and other IL services as defined in the Rehabilitation Act and the IL program regulations.

**Applicant Eligibility:**

Any State agency in the 50 States and the District of Columbia and territories (Commonwealth of Puerto Rico and Virgin Islands) and outlying areas (Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) designated by the State as the State agency and authorized to provide rehabilitation services to blind individuals may apply. In order to receive assistance under this program, a designated state agency (DSA) must submit in a timely manner and obtain approval from the Department of an application containing the agreements, assurances, and information that the Department determines to be necessary to carry out this program.

**Beneficiary Eligibility:**

Older individuals who are blind, as defined in 34 C.F.R. 367.5 of the OIB program regulations are the primary beneficiaries of assistance under this program. This term means An individual aged 55 or older whose severe visual impairment makes competitive employment extremely difficult to obtain but for whom independent living goals are feasible."

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 76 and 80 apply to this program. In order to be eligible for an allotment under this program, States must submit an application for a grant under the OIB program in the form and manner prescribed by the Department and the application must contain the assurances listed in 367.11 of the OIB program regulations and section 752(i) of the Rehabilitation Act, including an assurances that the DSA will seek to incorporate any new methods and approaches relating to services for older individuals who are blind into the State Plan for Independent Living.

**Award Procedure:**

A notice of annual allotment to the State is issued. Initial distributions are subject to reallocation at the end of the fiscal year if the Commissioner determines that the State will not expend its allotment. States receive annual grant award notices and funds may be withdrawn under the Electronic Transfer System.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

34 CFR 76.703 governs the approval/disapproval time of State plans in relation to when a State may begin to obligate funds.

**Appeals:**

After reasonable effort has been made to resolve the questions involved, and the State has pursued a hearing before the Office of the Administrative Law Judge, the State may appeal to the United States Court of Appeals for the circuit in which the State is located pursuant to the 34 CFR 76.202 and 76.902.

**Renewals:**

Awards are made on an annual basis and may be renewed for up to two

additional years, for a total of three years under an approved OIB application and the availability of funds.

**Formula and Matching Requirements:**

Statutory Formula: Section 752(j) of the Rehabilitation Act contains the formula the Department uses for the allocation of funds to each State. Matching Requirements: Under section 753(f) of the Rehabilitation Act, the States must contribute \$1 for each \$9 of Federal grant funding, in cash or in kind. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis under an approved 3-year OIB application. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by 34 C.F.R. 80.40 and 80.41 of the Education Department General Administrative Regulations (EDGAR), performance reports and financial reports are required annually. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76). Generally, States and subgrantees must retain records related to grant funds and compliance for a period of 3 years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$34,082,698; FY 12 est \$34,018,583; and FY 13 est \$34,018,583

**Range and Average of Financial Assistance:**

For FY 2012, the range was \$40,000 to \$3,397,041 and the average award was \$601,400.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 76, 77, 79, 80, 81, 82, 84, 85, and 97; Program Regulations in 34 CFR Parts 367 and selected sections of 34 CFR 364 and 365, listed in 34 CFR 367.4.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Akinola, Office of Special Education and Rehabilitative Services, Department of Education, Rehabilitation Services Administration, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: elizabeth.akinola@ed.gov Phone: (202) 245-7303.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.132 Centers for Independent Living; 84.169 Independent Living\_State Grants; 84.240 Program of Protection and Advocacy of Individual Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current

Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

An approved OIB application is a condition for receipt of funds under the OIB program under Chapter 2 of Title VII of the Rehabilitation Act. Application requirements are contained in section 752(i) of the Rehabilitation Act and 34 CFR 367.10 and 367.11.

**84.181 SPECIAL EDUCATION-GRANTS FOR INFANTS AND FAMILIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, 20 U.S.C. 1431-1444, Part C.

**OBJECTIVES:**

To provide grants to States to assist them to implement and maintain a Statewide, comprehensive, coordinated, multidisciplinary, interagency system to make available early intervention services to infants and toddlers with disabilities and their families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to assist States in implementing and maintaining their Statewide systems of early intervention services. Funding may also be used to provide direct services for eligible infants and toddlers with disabilities aged birth through 2 and their families that are not otherwise provided by other public or private sources, to expand and improve services for infants and toddlers with disabilities that are otherwise available and to provide a free appropriate public education, in accordance with Part B of IDEA, to children with disabilities from their third birthday to the beginning of the following school year. States also have the discretion to provide services to infants and toddlers who are at risk of having substantial developmental delays if they do not receive appropriate early intervention services. The Individuals with Disabilities Education Improvement Act of 2004 amended IDEA to allow states, at their discretion, to continue to serve children with disabilities under this program beyond age three until the children enter or are eligible to enter kindergarten or elementary school, if such children are otherwise eligible for services under the Preschool Grants Program (84.173), and previously received services under the Part C program.

**Applicant Eligibility:**

Eligible applicants are the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Secretary of the Interior and the following four outlying area jurisdictions: Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Infants and toddlers with disabilities aged birth through 2 and their families will benefit.

**Credentials/Documentation:**

. In general, each State or jurisdiction must submit an application, including certifications, policies and procedures, and statement of assurances to receive IDEA Part C FY 2009 funds; however no separate application were required for States to receive IDEA Part C ARRA funds. Each State lead agency is designated by the Governor of that State or jurisdiction. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Specific application procedures are provided in the application form for the program. The State lead agencies, the applicants for this program, are designated by the Governor.

**Award Procedure:**

Once the State application is approved, a grant award representing the total State allocation is forwarded to the State lead agency. This is a forward funded program, in which funds become available for obligation on July 1st of the fiscal year for which they are appropriated and remain available to States for 15 months through September of the following year and an extra twelve months.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The time for reviewing the State's application is determined by EDGAR (in 34 CFR 76.703) and ranges from 45 to 90 days.

**Appeals:**

The Department may not disapprove an application unless the Department determines, after notice and opportunity for a hearing, that the applicant has failed to meet an eligibility requirement.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Awards are based on each State applicant's proportionate share of children, aged birth through two years, in the general population, based on the most recent satisfactory data available from the United States Bureau of the Census. No State may receive less than 0.5 percent of the total funds available for all States. The Department of Interior receives 1.25 percent of the amount available to States. The Outlying Areas combined receive up to 1 percent of the funds appropriated. This program has nonsupplanting and MOE requirements. 20 USC 1443.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are issued each year. The Federal obligation period is a 15-month period from July 1 through September 30 of the following fiscal year. State and local education agencies have an additional 12-month period to obligate their funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

State lead agencies must submit an Annual Performance Report under IDEA sections 616 and 642. An annual report to the Governor and to the Secretary by the State Interagency Coordinating Council on the status of early intervention programs operated within the State as required under Section 641(e)(1)(D) of the Act, and other information that the Secretary may require, including information required under Section 618 of the Act. Annual State Performance Plans and Annual Performance Reports are submitted to the Department of Education by the lead agency on an annual basis. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by GEPa and EDGAR for State-administered programs (in 34 CFR 76.730-731), generally, the State lead agency and its contractors must retain records related to grant funds and compliance for a period of 5-years.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$438,548,000; FY 12 est \$442,709,694; and FY 13 est \$462,710,000

**Range and Average of Financial Assistance:**

For 2012, regular annual allotments to States, including DC and Puerto Rico ranged from, \$2,170,000 to \$54,039,000; with an average award of \$8,348,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 303.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gregg Corr Office of Special Education Programs, Department of Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: gregg.corr@ed.gov Phone: (202) 245-7309

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/programs.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

State lead agencies designated by the Governor are eligible applicants and must submit an approved application under Part C of the IDEA for regular IDEA Part C funds.

**84.184 SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES NATIONAL PROGRAMS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title IV, Part A, Subpart 2, Section 4121-4130.

**OBJECTIVES:**

To enhance the Nation's efforts to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students at all educational levels; and to support programs to reduce alcohol abuse among secondary school students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Projects funded under this program support alcohol abuse reduction, drug and violence prevention and education, and school emergency preparedness activities. The Secretary may fund applications that address specific priorities and requirements published in the Federal Register. Maintenance-of-effort provisions apply to local educational agencies (LEAs); an LEA may receive a grant only if its State educational agency finds that either the combined fiscal effort per student or the aggregate expenditures of the LEA and the State with respect to the provision of free public education by the LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year. If applicable, all grantees must use an indirect cost rate that is consistent with the provisions in 34 CFR 75.560 through 75.564.

**Applicant Eligibility:**

Public and private organizations, and individuals.

**Beneficiary Eligibility:**

Higher education institutions, State educational agencies (SEAs), local educational agencies (LEAs), and nonprofits will benefit, as will students, teachers, and parents.

**Credentials/Documentation:**

Contact the headquarters for credential/documentation requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications or proposals must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

After completion of competitive peer review of applications, the Department of Education makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated amount of time needed to approve/disapprove an application is five months following the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon the availability of funding and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants will generally be made for a period of 12 to 48 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specified reporting requirements are included in the grant, cooperative agreement or contract document. Cash reports are not applicable. Contact program office. Contact program office. Contact program office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Auditors should use Part 7 of that Circular - (Guidance for Auditing Programs Not Included in the Compliance Supplement) for reference when auditing this program.

**Records:**

As required by EDGAR, 34 CFR 74.53 and 75.730-732.

**Account Identification:**

91-0203-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$119,226,070; FY 12 est \$84,877,150; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the Department made 103 awards. Fiscal Year 2012: In FY 2012, an estimated 40 awards are expected. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations applicable to this program are in the Department of Education's General Administrative Regulations (34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99, and 299).

**Regional or Local Office:**

None.

**Headquarters Office:**

David Esquith Department of Education, Office of Elementary and Secondary Education, Potomac Center Plaza, Room 10089, Washington, District of Columbia 20202 Email: david.esquith@ed.gov Phone: (202) 245-7336

**Website Address:**

<http://www2.ed.gov/about/offices/list/osdfs/programs.html>

**RELATED PROGRAMS:****EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Available at Website address. Fiscal Year 2012: Available at Website address. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include: (1) Need for the project; (2) significance; (3) quality of project design; (4) adequacy of resources; (5) quality of the management plan; and (6) quality of project evaluation.

**84.187 SUPPORTED EMPLOYMENT SERVICES FOR INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES**

(Supported Employment State Grants)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title VI, Part B.

**OBJECTIVES:**

To provide grants for time limited services leading to supported employment for individuals with the most significant disabilities to enable such individuals to achieve the employment outcome of supported employment.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds are used to: (1) complement services under Title I of the Rehabilitation Act of 1973, as amended; (2) provide skilled job trainers who accompany the worker for intensive on-the-job training; (3) provide systematic training; (4) provide job development; (5) provide follow-up services; (6) provide regular observation or supervision at training sites; and (7) provide other services needed to support an individual in employment. Funds may not be used to provide the required extended services once an individual transitions from the time limited services provided under Title VI-B.

**Applicant Eligibility:**

State vocational rehabilitation (VR) agencies (including territories and possessions) designated in the State plan to administer the Vocational Rehabilitation Program.

**Beneficiary Eligibility:**

Individuals with the most significant disabilities who have been determined eligible for vocational rehabilitation services under Title I of the Rehabilitation Act of 1973, as amended, and who has identified supported employment as an employment outcome.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State agency must submit a State plan supplement as part of the State plan under Title I of the Rehabilitation Act. Vocational rehabilitation agencies submit the State Plan and supplement to RSA.

**Award Procedure:**

Grant awards are made to State VR agencies with an approved State plan. States are notified of their annual allotment under the funding formula. Grant funds are withdrawn under the Electronic Transfer System.

**Deadlines:**

Jul 01, 2011 A State plan supplement to the State plan for vocational rehabilitation services is submitted to the RSA for approval by July 1 of each year.

**Range of Approval/Disapproval Time:**

State plans must be approved within 90 days of being submitted to RSA. The State Plan and Supported Employment supplement must be approved prior to allotment of program funds to state VR agencies.

**Appeals:**

A State may appeal the Secretary's decision to disapprove the State plan by filing a petition for review with the United States Court of Appeals for the circuit in which the State is located.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Rehabilitation Act of 1973, as amended, Title VI, Part B. Federal funds are distributed based on the U.S. total populations and State population and the source is the Population Estimates Annual, Bureau of the Census. No State shall receive less than \$300,000 or one-third of one percent of the sums made available for the fiscal year, whichever is greater. The minimum allotment for Territories is 1/8 of 1 percent of the amount appropriated. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds become available for obligations for the fiscal year for which they are appropriated and may remain available for obligation for an additional year. Grant funds are withdrawn under the Electronic Transfer System. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Annual and quarterly progress reports and annual budget (Standard Form 425) are required. Cash reports are not applicable. Progress reports are not applicable. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Case records on individual consumers, fiscal records for a prescribed period for audit purposes and retention of records for three years are required.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$29,122,638; FY 12 est \$29,067,957; and FY 13 est \$29,068,000

**Range and Average of Financial Assistance:**

In FY 2011, range of awards is \$36,403 to \$2,955,242. The average State award, excluding territories is \$551,650.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: About 51 percent of the individuals who had a goal of supported employment and whose service records were closed in FY 2011 after receiving supported employment services that were, at least in part, paid for with funds under the Supported Employment State Grants program achieved an employment outcome (RSA 911 Case Service Report, FY 2011). About 92 percent of those individuals who achieved an employment outcome achieved a supported employment outcome. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Supported Employment Services for Individuals with the Most Significant Disabilities (34 CFR part 363).

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Dobak, Department of Education, OSERS Rehabilitation Services Administration 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Carol.Dobak@ed.gov Phone: (202) 245-7325.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

64.007 Blind Rehabilitation Centers; 64.013 Veterans Prosthetic Appliances; 64.116 Vocational Rehabilitation for Disabled Veterans; 84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.128 Rehabilitation Services\_Service Projects; 84.132 Centers for Independent Living; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.161 Rehabilitation Services\_Client Assistance Program; 84.169 Independent Living\_State Grants; 84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable (Catalog users should contact the State Vocational Rehabilitation agency for criteria).

**84.191 ADULT EDUCATION\_NATIONAL LEADERSHIP ACTIVITIES**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Adult Education and Family Literacy Act, (AEFLA), Title II of the Workforce Investment Act of 1998, Section 243, 20 USC 9253.

**OBJECTIVES:**

To support applied research, development, demonstration, dissemination, evaluation, and related activities that contribute to the improvement of adult education and literacy activities nationally.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use; Project Grants; Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

To support activities to enhance the quality of adult education and literacy activities nationwide. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

Postsecondary education institutions, public or private agencies or organizations, or consortia of these institutions, agencies, or organizations are eligible.

**Beneficiary Eligibility:**

Basic education and literacy programs for adults seeking to obtain an education at the primary or secondary levels will benefit through national evaluation, research, leadership, and/or technical assistance efforts.

**Credentials/Documentation:**

Legal signature by a designated official on the application or proposal. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed when applying for a competitive grant. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted to the Department of Education in accordance with program announcements and established deadlines which are published in the Federal Register.

**Award Procedure:**

Proposals or applications are reviewed in accordance with regulations for the Adult Education Act. After negotiation, a notification for award is sent to the successful recipient.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding will usually cover a 12-18 month period. See the following for information on how assistance is awarded/released: electronic transfer.

**Reports:**

Financial status and performance reports required by the Education Department General Administrative Regulations, 34 CFR 75.720. Specific reporting requirements are contained in the award document. Subject to the terms of the award document, cash reports, progress reports, expenditure reports and performance monitoring may or may not be applicable. No cash reports are required. No progress reports are required. No expenditure reports are required. Contact program office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**



In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for three years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants (Contracts)) FY 11 \$11,323,808; FY 12 est \$11,301,600; and FY 13 est \$11,301,600

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Go to <http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html> for information on investments supported by this program. Fiscal Year 2012: Go to <http://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html> for information on investments supported by this program. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are found in 34 CFR 460 and 34 CFR 75.730-75.734. EDGAR

**Regional or Local Office:**

None.

**Headquarters Office:**

Christopher Coro Department of Education, OVAE Division of Adult Education and Literacy 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: [christopher.coro@ed.gov](mailto:christopher.coro@ed.gov) Phone: (202) 245-7717

**Website Address:**

<http://www.ed.gov/about/offices/list/ovae/pi/AdultEd/index.html>.

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications should address each criterion: (1) Plan of operation; (2) quality of key personnel; (3) budget and cost-effectiveness; (4) evaluation plan; (5) adequacy of resources; (6) national need; and (7) adequacy of resources. Contact the program office for additional information.

**84.196 EDUCATION FOR HOMELESS CHILDREN AND YOUTH FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B.

**OBJECTIVES:**

To ensure that all homeless children and youth have equal access to the same free, appropriate public education available to other children, the Education for Homeless Children and Youth program provides assistance to States to: (1) establish or designate an Office of Coordinator for Education of Homeless Children and Youths; (2) develop and carry out a State plan for the education of homeless children; and (3) make subgrants to local educational agencies (LEAs) to support the education of those children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State educational agencies (SEAs) may use grant funds for State-level activities (including activities of the Office of Coordinator for Education of Homeless Children and Youths) and to make subgrants to LEAs. LEAs may use subgrant funds for activities allowable under section 723(d) of the McKinney-Vento Homeless Assistance Act that facilitate the educational success of homeless children and youth. Such activities include but are not limited to: enriched supplemental instruction, transportation, health care referral services, and professional development for teachers. Services provided with these funds

cannot replace the regular academic program and must expand upon or improve services provided as part of the regular academic program.

**Applicant Eligibility:**

State educational agencies in the 50 States, the District of Columbia, and Puerto Rico may apply. Funds are also reserved for the Outlying Areas and the Department of Interior/Bureau of Indian Education. LEAs are eligible for State subgrants.

**Beneficiary Eligibility:**

Homeless children and youth in elementary and secondary schools (and homeless preschool children and their parents benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A State that desires to receive a grant under this program must submit a plan to the Department that meets the requirements of section 722(g) of the McKinney-Vento Homeless Assistance Act.

**Award Procedure:**

The Department awards grants to States by formula. States then award subgrants competitively to LEAs.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

Statutory Formula: McKinney-Vento Homeless Assistance Act, Title VII, Subpart B, section 722(c). Each State receives an amount that bears the same ratio to the amount appropriated for this program as the amount allocated to the State under Section 1122 of the Elementary and Secondary Education Act bears to the total allocations made under Section 1122, except that no State shall receive less than the greater of \$150,000, 0.25 percent of the total program appropriation, or the amount of the State's fiscal year 2001 award. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

States receive formula grants annually. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$65,296,146; FY 12 est \$65,172,591; and FY 13 est \$65,173,000

**Range and Average of Financial Assistance:**

FY 2012 average State award: \$1,223,144.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance for the Education for Homeless Children and Youth program may be obtained from the Headquarters Office contact below.

**Regional or Local Office:**

None.

**Headquarters Office:**

John McLaughlin, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: john.mclaughlin@ed.gov Phone: (202) 401-0962.

**Website Address:**

<http://www.ed.gov/programs/homeless/index.html>.

**RELATED PROGRAMS:**

10.553 School Breakfast Program; 10.555 National School Lunch Program; 10.556 Special Milk Program for Children; 84.010 Title I Grants to Local Educational Agencies; 84.011 Migrant Education\_State Grant Program; 84.013 Title I Program for Neglected and Delinquent Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds. Fiscal Year 2012: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States receive grants noncompetitively by formula. LEA subgrants are awarded competitively by States on the basis of need and the quality of applications.

**84.200 GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII, Part A, Subpart 2.

**OBJECTIVES:**

To provide fellowships through graduate academic departments, programs, and units of institutions of higher education to graduate students of superior ability who demonstrate financial need for the purpose of sustaining and enhancing the capacity for teaching and research in academic areas of national need, as designated by the Secretary.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards made to institutions under this part shall be used exclusively to provide direct fellowship aid that will include need-based stipends, based on the support level of National Science Foundation fellowships and an institutional allowance

for each individual awarded a fellowship to be adjusted annually in accordance with the Department of Labor's Consumer Price Index. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at 202-708-7770.

**Applicant Eligibility:**

Academic departments and programs of IHEs that provide courses of study leading to a graduate degree may apply. Nondegree granting institutions may submit joint proposals with degree-granting IHEs.

**Beneficiary Eligibility:**

Graduate students receiving fellowships must demonstrate financial need, have excellent academic records, plan to pursue the highest degree in the field, and be a U.S. citizen or a National, or a permanent resident of the U.S., or intend to become a U.S. citizen, be a permanent resident of the Trust Territory of the Pacific Islands, or a citizen of any one of the Freely Associated States.

**Credentials/Documentation:**

A properly formatted application must be filed with the Secretary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Instructions and forms concerning application procedures are available on the program website following publication of the Notice Inviting Application funding criteria in the Federal Register.

**Award Procedure:**

Panels of experts from outside the Government will appraise all applications. The program office will recommend funding to the Secretary, who will make the final decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately three months.

**Appeals:**

Not Applicable.

**Renewals:**

Noncompeting continuation applications must be given funding preference subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. A grantee must match the award by 25 percent. Federal funds and matching funds must be used for stipends, tuition fees, and other educational costs of students. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of the award is three years, subject to yearly appropriations. However students may receive support for up to five years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual fiscal and performance reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Audit requirements as described in 34 CFR 74.26 do not apply to this program.

**Records:**

None.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$30,967,940; FY 12 est \$30,909,471; and FY 13 est \$30,909,471

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations were published in the Federal Register on December 16, 1993. The application package including forms and regulations are available on the GAANN website. See program website for further information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gary Thomas, Teacher & Student Development Programs Service, Graduate Assistance in Areas of National Need Program, Office of Postsecondary Education, Department of Education, 1900 K St, NW, 6th Floor, Washington, District of Columbia 20006 Email: ope\_gaann\_program@ed.gov Phone: (202) 502-7767.

**Website Address:**

<http://www.ed.gov/programs/gaann/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

This program uses the selection criteria contained in program regulations made available in the application package. Contact the program office for additional information. See program website for further information.

**84.215 FUND FOR THE IMPROVEMENT OF EDUCATION**

(FIE)

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title V, Part D, Subpart 1.

**OBJECTIVES:**

To conduct nationally significant programs to improve the quality of education, assist all students to meet challenging State content standards, and contribute to the achievement of elementary and secondary students.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

Funds may be used to support a wide range of projects under the Fund for the Improvement of Education (FIE) general authority for programs, and additional specific program authorities. Competitions are announced in the Federal Register. Specific limitations and restrictions for each competition are provided in the Federal Register notice.

**Applicant Eligibility:**

State educational agencies, local educational agencies, institutions of higher education, public and private organizations and institutions may apply.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, institutions of higher education, public and private organizations and institutions will benefit.

**Credentials/Documentation:**

OMB Circular No. A-21; OMB Circular No. A-122. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application procedures are described in application notices published annually in the Federal Register. Contact the headquarters offices listed below for application packages containing the announcement, application, and assurance forms and for further information about the specific programs.

**Award Procedure:**

Awards are competitively selected following review by nonfederal experts in accordance with Subpart D of Part 75 of the Education Department General Administrative Regulations (EDGAR).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant program (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in the meeting of the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Following an initial, competitively selected award, additional non-competing continuation awards may be made. The possible length of the project is announced in the application notice in the Federal Register. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required. Cash reports are not applicable. Annual performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED524B. Staff also monitors grants drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Institutions of higher education

and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and the ED regulations implementing OMB Circular No. A-133.

**Records:**

As required by EDGAR for direct grant programs (34 CFR part 75). Generally, records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$12,008,934; FY 12 est \$40,822,699; and FY 13 est \$59,235,000

**Range and Average of Financial Assistance:**

Varies by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Department will make 21 continuation grants under the Full Service Community Schools program; the Department will make approximately 35 new grants under the Innovative Approaches to Literacy initiative. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. OMB Circulars A-21, A-87, A-110, A-122, and A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Lyons, Office of Innovation and Improvement (OII), 400 Maryland Avenue S.W., Washington, District of Columbia 20202 Email: carol.lyons@ed.gov Phone: (202) 205-4760.

**Website Address:**

<http://www2.ed.gov/programs/fie/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Full Service Community Schools continuation grants; Education Facilities Clearinghouse continuation grants; Data Quality Initiative; and Innovative Approaches to Literacy new grants. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria for these programs are contained in Section 75.210 of the Education Department General Administrative Regulations (EDGAR). The specific criteria to be used for particular grant competitions are announced in the application package or application notice in the Federal Register.

**84.217 TRIO\_MCNAIR POST-BACCALAUREATE ACHIEVEMENT**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1 Section 402E.

**OBJECTIVES:**

To provide grants for institutions of higher education to prepare participants for doctoral studies through involvement in research and other scholarly activities. Participants are from disadvantaged backgrounds and have demonstrated strong academic potential. Institutions work closely with participants as they complete their undergraduate requirements. Institutions encourage participants to enroll in graduate programs and then track their progress through to the successful completion of advanced degrees. The goal is to increase the attainment of Ph.D. degrees by students from underrepresented segments of society.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used by the participating institution to provide eligible participants with opportunities for research and other scholarly activities; summer internships; seminars; tutoring; academic counseling; and activities designed to help students secure admission and financial assistance for graduate study. Funds may be used for : services to improve students' financial and economic literacy, mentoring and exposure to cultural events. At least two-thirds of the project participants must be low-income individuals who are first-generation college students. The remaining participants may be from a group that is underrepresented in graduate education.

**Applicant Eligibility:**

Institutions of higher education or combinations of institutions of higher education may apply.

**Beneficiary Eligibility:**

2/3 of participants must be low-income first generation college students. The remaining participants must be students from groups underrepresented in graduate education. All participants must be enrolled in a degree program at an eligible institution of higher education.

**Credentials/Documentation:**

Costs will be determined in accordance with Education Department General Administrative Regulations and the program regulations, Section 647 of the Code of Federal Regulations. OMB Circular A-21 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Develop a proposal in accordance with legislation, regulations, applications, and timetables issued by the Secretary of Education. No State plan is required. Requests for applications should be made to the Federal TRIO Program. This program is subject to the provisions of the Education Department General Administrative Regulations.

**Award Procedure:**

Nonfederal field readers evaluate new proposals on the basis of the selection criteria specified in 34 CFR 647.21. Grants are awarded by the Federal TRIO Programs office.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 90 to 180 days.

**Appeals:**

The program statute authorizes a second review of unsuccessful applications. The Department implements the second review process in accordance with 34 CFR 647.24. An unsuccessful applicant requesting a second review must provide evidence for the Department, an agent of the Department, or a peer reviewer made a technical, administrative, or scoring error in the processing or review of its application.

**Renewals:**

Awards are for 5-year project periods. Continuation awards are made annually. Generally, continuation awards are made if sufficient funds have been appropriated and the grantee is meeting the conditions of the grant and making substantial progress toward meeting the project objectives.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Five year projects, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report. No cash reports are required. Progress reports (ED 524B) are required for a project in its first year of funding. Staff monitor grants drawdown using agency financial reports. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States, local governments, and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. In accordance with Education Department General Administrative Regulations, 34 CFR 61, 74, 75, and 702.

**Records:**

In accordance with the Education Department General Administrative Regulations, 34 CFR 75, 730, 75.731, and 75.732 and 647.32 of the program regulations.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$46,223,000; FY 12 est \$36,119,000; and FY 13 est \$36,119,000

**Range and Average of Financial Assistance:**

Varies by competition. In FY 2011, awards ranged from approximately \$209,000 to \$356,000; the average award was approximately \$231,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 647 and Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Pinkney, Department of Education, Student Service, Federal TRIO Programs, GEAR UP and Undergraduate and Graduate Programs, Office of Postsecondary Education, 1990 K Street, NW, 7th Floor, Washington, District of Columbia 20006 Email: virginia.pinkney@ed.gov Phone: (202) 502-7735.

**Website Address:**

<http://www.ed.gov/programs/triomcnair/>.

**RELATED PROGRAMS:**

84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.066 TRIO\_Educational Opportunity Centers; 84.103 TRIO Staff Training Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For new awards, the Department will select applicants under the criteria set forth in 647.21 of the program regulations. Contact the program office for additional information.

**84.220 CENTERS FOR INTERNATIONAL BUSINESS EDUCATION  
FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part B, Section 612.

**OBJECTIVES:**

To provide a comprehensive university approach to improve the teaching of international business by bringing together faculty from numerous disciplines and to engage in research to promote the international competitiveness of U.S. business.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The centers funded will: be national resources for the teaching of improved business techniques, strategies, and methodologies that emphasize the international context in which business is transacted; provide instruction in critical foreign languages and international fields needed to provide an understanding of the cultures and customs of U.S. trading partners; provide research and training in the international aspects of trade, commerce, and other fields of study; provide training to students enrolled in the institution or institutions in which a center is located; serve as regional resources to local businesses by offering programs and providing research designed to meet the international training needs of such businesses; and serve other faculty, students, and institutions of higher education located within their respective regions. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on 202-377-3838.

**Applicant Eligibility:**

Accredited public and nonprofit private institutions of higher education, or consortia of such institutions, that establish a center advisory council before the date Federal assistance is received may apply. This council will conduct extensive planning concerning the scope of the center's activities and the design of its program prior to establishing the center.

**Beneficiary Eligibility:**

Students and faculty of accredited institutions of higher education will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit proposals for funding of projects when the announcement of a new competition appears in the Federal Register. Application forms and guidelines are available from the Office of International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary of Education following advice from a panel of consultants developed according to procedures defined by the Education Department General Administrative Regulations.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project period may last up to 48 months. Applicants submit performance reports for continuation funding according to instructions published by the Department. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The Federal share of the cost of centers is: (a) Not more than 90 percent for the first year in which Federal funds are furnished; (b) not more than 70 percent for the second year; and (c) not more than 50 percent for the third year and succeeding years. The nonfederal share for planning, establishing and operating the center may be provided by in-cash or in-kind assistance.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 48 month period, subject to the availability of funds.

See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions must provide final reports upon completion of the program. Staff monitor drawdown using agency financial reports. Cash reports are not applicable. Progress reports are required. Expenditure reports are not applicable. Reporting measures is required as part of the submittal of the required annual performance report.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available upon request for 3 years after close of the fiscal year in which the grant was closed out or until the grantee is notified of the completion of a Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$5,731,864; FY 12 est \$5,731,864; and FY 13 est \$5,731,864

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 74, 75, 77, 82, 84, 85, 86, 97, 98, and 99 (Education Department General Administrative Regulations).

**Regional or Local Office:**

None.

**Headquarters Office:**

Susanna C. Easton, Office of International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, Washington, District of Columbia 20006 Email: Susanna.easton@ed.gov Phone: (202) 502-7628.

**Website Address:**

<http://www.ed.gov/programs/iegpscibe/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.153 Business and International Education Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part B, Section 612 of the Higher Education Act of 1965, as amended.

**84.224 ASSISTIVE TECHNOLOGY**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Assistive Technology Act of 1998, as amended.

**OBJECTIVES:**

To provide States with financial assistance that supports programs designed to maximize the ability of individuals of all ages with disabilities and their family members, guardians, advocates, and authorized representatives to obtain assistive technology devices and assistive technology services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to carry out the functions authorized under the Act. States may provide assistance to Statewide community-based organizations or directly to individuals with disabilities of all ages. Technical assistance contracts support States and other entities. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

States, including the District of Columbia, Puerto Rico, and outlying areas may apply. Applicants are designated by Governors.

**Beneficiary Eligibility:**

Individuals with disabilities, States, and community-based organizations providing services to individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 76 and 80 apply. Unless otherwise directed in the Federal Register Announcement, applications should be submitted to the Department of Education, Application Control Center, 400 Maryland Avenue, SW., Washington, DC 20202.

**Award Procedure:**

State plans are reviewed by Department of Education staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. States and territories are allocated a base amount that is not less than the amount they received in FY 2004. Funds appropriated in excess of the base are divided in half and distributed equally to each State, and by a State population-based formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual reports are required. Quarterly cash reports are required. Progress reports are not applicable. Annual expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recordkeeping requirements and regulations are included in the statute.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$25,608,680; FY 12 est \$25,560,599; and FY 13 est \$25,561,000

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robert Groenendaal, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: robert.groenendaal@ed.gov Phone: (202) 245-7393.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/nidrr/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in the regulations. Contact the Program Office for more information.

**84.229 LANGUAGE RESOURCE CENTERS****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Title VI, Part A, Section 603.

**OBJECTIVES:**

To provide grants for establishing, strengthening, and operating centers that serve as resources for improving the nation's capacity for teaching and learning foreign languages through teacher training, research, materials development, and dissemination projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Centers funded must carry out activities to improve the teaching and learning of foreign languages. These activities must include effective dissemination efforts, whenever appropriate, and may include--(a) the conduct and dissemination of research on new and improved methods for teaching foreign languages, including the use of advanced educational technology; (b) the development and dissemination of new materials for teaching foreign languages, to reflect the results of research on effective teaching strategies; (c) the development, application, and dissemination of performance testing that is appropriate for use in an educational setting to be used as a standard and comparable measurement of skill levels in foreign languages; (d) the training of teachers in the administration and interpretation of foreign language performance tests, the use of effective teaching strategies, and the use of new technologies; (e) a significant focus on the teaching and learning needs of the less commonly taught languages, including an assessment of the strategic needs of the United States, the determination of ways to meet those needs nationally, and the publication and dissemination of instructional materials in the less commonly taught languages; (f) the development and dissemination of materials designed to serve as a resource for foreign language teachers at the elementary and secondary school levels; and (g) the operation of intensive summer language institutes to train advanced foreign language students, to provide professional development, and to improve language instruction through preservice and inservice language training for teachers. Equipment costs may not exceed 15 percent of the grant total.

**Applicant Eligibility:**

An institution of higher education or a consortia of institutions of higher education is eligible to receive an award.

**Beneficiary Eligibility:**

Institutions of higher education or combinations of such institutions and individuals will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible institutions may submit applications for funding when the announcement of a new competition is issued in the Federal Register. Application forms and guidelines for the submission of applications are available from the Advanced Training and Research Team in the Office of International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Institutions of higher education selected to receive funds for the 4-year phased program must submit annual performance reports for the continuation of support. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to a 48-month period. Continuation awards are made if the grantee has made substantial progress in achieving the objectives outlined in its application and are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Funded centers must provide final reports upon completion of the 48 month project period. Interim and annual progress reports are required throughout the grant's duration. Staff monitor grants drawdown using agency financial reports. No cash reports are required. No progress reports are required. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to the accountability for awarded funds must be available upon request: (1) For 3 years after close of the fiscal year in which the grant expired or (2) until the grantee is notified of the completion of the Federal financial audit, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$2,548,528; FY 12 est \$2,548,528; and FY 13 est \$2,548,528

**Range and Average of Financial Assistance:**

To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 655 and 669, and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cynthia Dudzinski, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, NW, 6th Floor, Washington, District of Columbia 20006 Email: cynthia.dudzinski@ed.gov Phone: (202) 502-7589.

**Website Address:**

<http://www.ed.gov/programs/iegpslrc/>

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current

Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 655.31, 669.21, and 669.22. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register.

**84.235 REHABILITATION SERVICES DEMONSTRATION AND TRAINING PROGRAMS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 303(b)-(d).

**OBJECTIVES:**

To provide financial assistance to projects and demonstrations for expanding and improving the provision of rehabilitation and other services authorized under the Act or that further the purposes of the Act, including related research and evaluation activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Authorized activities under this program include carrying out special demonstrations for expanding and improving the provision of rehabilitation and other services authorized under this Act and that further the purposes of the Act.

Projects may include demonstrations to increase client choice; technical assistance; systems change; special studies and evaluations; demonstrations of service delivery; model demonstrations; transition services; supportive employment; services to underserved populations and/or unserved or underserved areas; services to low-incidence disabilities; transportation; and other projects designated by the Secretary. Other authorized programs include Parent Information and Training and Braille training projects.

**Applicant Eligibility:**

Eligible applicants are States and public or nonprofit organizations. Grants cannot be made directly to individuals.

**Beneficiary Eligibility:**

Individuals with disabilities.

**Credentials/Documentation:**

Costs will also be determined in accordance with OMB Circular No. A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. Applications should be submitted to the Department of Education, Application Control Center. Attention: (CFDA 84-235), 400 Maryland Avenue, S.W., Washington, DC 20202. The standard application kit as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program. ED No. 80-0013 must also be submitted.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of applications by staff in various offices within the Department.

**Deadlines:**



Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 150 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with multi-year periods may be continued based on annual review of accomplishments and availability of appropriated funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for up to 60 months. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (34 CFR Part 75). Annual performance reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See 34 CFR 74.26.

**Records:**

As required by EDGAR for direct grant programs (34 CFR Part 75). Generally records related to grant funds, compliance, and performance must be maintained for a period of 5 years after completion.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$6,459,056; FY 12 est \$5,324,917; and FY 13 est \$5,325,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations: (A) The Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86; and (B) the regulations for this program in 34 CFR Part 373 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA/Programs/Discretionary/demotrain.html>

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States;  
84.128 Rehabilitation Services\_Service Projects

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding priorities are published in the Federal Register. Applications for discretionary grants are subject to peer review procedures leading to recommendations for approval or disapproval by Federal and nonfederal experts. Criteria for evaluating applications are published in program and department regulations (34 CFR 369).

**84.240 PROGRAM OF PROTECTION AND ADVOCACY OF INDIVIDUAL RIGHTS**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended , Title V, Section 509.

**OBJECTIVES:**

To provide grants for States to support systems for protection and advocacy for the rights of individuals with disabilities who are ineligible for advocacy services from the other protection and advocacy programs or whose problems fall outside the scope of services available from the Client Assistance Program (CAP). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Federal funds are used to support a system in each State to protect the legal and human rights of individuals with disabilities who need services that are beyond the scope of the Client Assistance Program (CAP) under Section 112 of the Rehabilitation Act of 1973, as amended (the Act), and are ineligible for the protection and advocacy programs under Part C of the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (DDA) and the Protection and Advocacy for Individuals with Mental Illness Act (PAIMI).

**Applicant Eligibility:**

Only designated protection and advocacy agencies in each State and Territory may apply. The Governor designates the protection and advocacy agency.

**Beneficiary Eligibility:**

Individuals with disabilities will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Any application for a grant must contain assurances that the eligible protection and advocacy system will: (1) have in effect a system to protect and advocate for the rights of eligible individuals with disabilities; (2) have the same general authorities as outlined in Part C of the DDA; (3) have the authority to pursue legal, administrative, and other appropriate remedies to ensure the protection of the rights of individuals with disabilities; (4) provide information and referral services to individuals with disabilities in the State; (5) develop a priorities and objectives statement each year; (6) seek public comment about their proposed priorities and objectives

statement; (7) establish a grievance procedure for clients and prospective clients of the eligible protection and advocacy system; (8) use the funds available for this program to supplement nonfederal funds that would otherwise be available for this purpose; and (9) utilize, to the maximum extent possible, mediation and other alternative dispute resolution procedures before resorting to formal administrative or legal remedies.

**Award Procedure:**

Once the applications have been approved, awards are made on the basis of the relative population of each State. The minimum allotment is \$100,000 for States and \$50,000 for Territories.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The State may appeal to the Office of Administrative Law Judges.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: In accordance with the Act Federal funds are distributed on the basis of the relative population in each State, except no State shall receive less than \$100,000, Territories \$50,000.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance reports are required annually. A report describing the types of services and activities being undertaken by programs funded under the program, the total number of individuals served, the types of disabilities represented by such individuals, and the types of issues being addressed on behalf of such individuals. Required quarterly. No progress reports are required. No expenditure reports are required. Performance reports are required annually.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Final records must be maintained for 3 years after the grant ends or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$18,064,798; FY 12 est \$18,030,857; and FY 13 est \$18,031,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations were published at 34 CFR Part 381.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jessica Smith, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: jessica.smith@ed.gov Phone: (202) 245-6493.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.161 Rehabilitation Services\_Client Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.245 TRIBALLY CONTROLLED POSTSECONDARY CAREER AND TECHNICAL INSTITUTIONS**

**FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Section 117, 20 U.S.C 2327.

**OBJECTIVES:**

To make grants to eligible tribally controlled postsecondary career and technical institutions to provide career and technical education (CTE) services and basic support for the education and training of Indian students.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds may be used to train teachers, purchase equipment, provide instructional services, and provide institutional support related to CTE activities carried out under the grant. This program is subject to non-supplanting requirements. However, the statute authorizes grantee institutions not to use a restricted indirect cost rate (20 U.S.C. 2327(c)(3)). For assistance call the Office of the Chief Financial Officer/Indirect Cost Group (202) 708-7770.

**Applicant Eligibility:**

A tribally controlled postsecondary career and technical institution that: (1) Is formally controlled, or has been formally sanctioned or chartered, by the governing body of an Indian tribe or Indian tribes; (2) offers a technical degree- or certificate-granting program; (3) is governed by a board of directors or trustees, a majority of whom are Indians; (4) demonstrates adherence to stated goals, a philosophy, or a plan of operation, that fosters individual Indian economic and self-sufficient opportunity, including programs that are appropriate to stated tribal goals of developing individual entrepreneurship and self-sustaining economic infrastructures on reservations; (5) has been in operation for at least 3 years; (6) holds accreditation with or is a candidate for accreditation by a nationally recognized accrediting authority for postsecondary vocational and technical education; (7) enrolls the full-time equivalent of not less than 100 students, of whom a majority are Indians; and (8) receives no Federal funds under the Tribally Controlled College or University Act of 1978 or the Navajo Community College Act may apply.

**Beneficiary Eligibility:**

Indian students and tribally controlled postsecondary career and technical institutions not receiving Federal funds under the Tribally Controlled College or University Act of 1978 or the Navajo Community College Act may benefit.

**Credentials/Documentation:**

Signature by authorized designated official on the application is required. Allowability of costs is determined in accordance with OMB Circular No. A-21 "Cost Principles for Educational Institutions.". This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted to the Department of Education in accordance with program announcements and established deadlines as published in the Federal Register.

**Award Procedure:**

Applications are reviewed in accordance with Federal Register program notices inviting applications and the regulations in 34 CFR Part 75.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

The statute authorizing this program provides applicants with a statutory complaint resolution procedure for grant determinations and calculations (20 U.S.C. 23279(g)).

**Renewals:**

Continuation awards are made to grantees contingent upon the availability of appropriations and subject to grantees submitting acceptable performance reports, in accordance with 34 CFR 75.253.

**Formula and Matching Requirements:**

Statutory Formula: Title 20 U.S.C. 2327(c)(1). This program has a statutory formula that is triggered in any year in which the sums appropriated for the program are not sufficient to pay in full the total amount that approved applicants are eligible to receive. (20 U.S.C. 2327(c)(1)).

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is 5 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit financial status, performance, and expenditure reports, as required by the Department of Education General Administrative Regulations, 34 CFR 75.720. Specific reporting requirements are discussed in the program's Federal Register program announcements and in the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. The Department monitors grantee performance under this program.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years from the time that work carried out under the project is completed.

**Account Identification:**

91-0201-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$8,145,676; FY 12 est \$8,130,604; and FY 13 est \$8,130,000

**Range and Average of Financial Assistance:**

Estimated range: \$3,000,000-\$4,500,000; Estimated average: \$3,683,000; Actual range: \$3,681,695-\$4,463,981; Actual average: \$4,072,838.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding for 2 tribal postsecondary institutions.

Fiscal Year 2012: Provided funding for 2 tribal postsecondary institutions.

Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74, 75, 77, 80, 81, 82, 84, 85, 86, 97, 98 and 99 and the Tribally Controlled Postsecondary Career and Technical Institutions Program Federal Register notice inviting applications of May 15, 2007 (72 FR 27297) and Application Package.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gwen Washington Department of Education, OVAE Division of Adult and Technical Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: gwen.washington@ed.gov Phone: (202) 245-7790

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/programs.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Postsecondary career and technical education programs.

Fiscal Year 2012: Postsecondary career and technical education programs.

Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria were published in the notice inviting applications published in the Federal Register on May 15, 2007. (72 FR 27297).

**84.246 REHABILITATION SHORT-TERM TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302.

**OBJECTIVES:**

To support special seminars, institutes, workshops, and other short-term courses in technical matters relating to the delivery of vocational, medical, social, and psychological services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are provided in fields directly related to the vocational rehabilitation and independent living of individuals with disabilities, such as rehabilitation disciplines and program areas supported under the Rehabilitation Training program. Conferences and meetings where training is not the primary focus may not be supported under this program.

**Applicant Eligibility:**

State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations, including institutions of higher education may apply.

**Beneficiary Eligibility:**

Individuals preparing for or employed in positions relating to the rehabilitation of individuals with disabilities will benefit. Projects under this program are designed to provide short-term training and technical instruction in areas of special significance to the delivery of vocational, medical, social, and psychological rehabilitation services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. OMB Circular No. A-21 for educational institutions, and OMB No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should

consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.246.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of applications by staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is from 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine adequate performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects are generally supported for one to five years. Funds are granted on a twelve month basis. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by the grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years.

**Records:**

As required by the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$449,993; FY 12 est \$200,000; and FY 13 est \$200,000

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Part 385 and 34 CFR Part 390.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.129 Rehabilitation Long-Term Training; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Quality of key personnel, plan of operation, budget and cost-effectiveness, adequacy of resources, evidence of need, relevance to the State/Federal rehabilitation service program, and nature and scope of training program content are included in the selection criteria.

**84.250 REHABILITATION SERVICES\_AMERICAN INDIANS WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, Title I, Part C, Section 121.

**OBJECTIVES:**

To provide vocational rehabilitation services to American Indians with disabilities that reside on or near Federal or State reservations, consistent with their individual strengths, resources, priorities, concerns, abilities, capabilities, and informed choice, so that they may prepare for and engage in gainful employment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Projects provide financial assistance to the governing bodies (and consortia of such governing bodies) of Federal or State Recognized Tribes for the establishment and operation of vocational rehabilitation services projects for American Indians with disabilities residing on or near tribal reservations.

**Applicant Eligibility:**

Governing bodies of Indian tribes or consortia of those governing bodies located on or near Federal and State reservations may apply.

**Beneficiary Eligibility:**

American Indians with disabilities residing on or near a Federal or State reservation who meet the definition of an individual with a disability in Section 7 (8) (A) of the Rehabilitation Act.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80, apply to this program. Applications should be submitted to the Department e-Grants Website or to the Department of Education, Application Control Center, 400 Maryland Ave. S.W., Washington, DC 20202-4725, according to instructions specified in the Notice Inviting Applications. The standard application kit as furnished by the Department of Education must be used for this program.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department. In making grants, the Department gives priority consideration to applications for the continuation of programs which have been funded under the program. The Commissioner of the Rehabilitation Services Administration approves continuation awards for existing projects.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Projects with multi-year project periods may be continued based on review of the annual performance report and in accordance with 34 CFR Part 75-253 and the availability of adequate funds.

**Formula and Matching Requirements:**

Statutory Formula: The amount of funds available annually for this program is reserved from the amount appropriated for the State VR program in an amount not less than 1 percent and not more than 1.5 percent under section 110(c)(1) of the Rehabilitation Act.

Matching Requirements: Percent: 10.0%. Projects are required to contribute ten percent of the cost of the project in cash or in-kind, unless the Commissioner of RSA waives the matching requirement under 34 CFR 371.40(b) if the applicant demonstrates that it does not have sufficient resources to contribute the non-Federal share of the cost of the program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project support is available for up to 60-months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial reports and progress reports must be submitted as prescribed by grant award terms and conditions. Cash reports are not applicable. Progress reports: Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR Part 80.40 and 80.41. Expenditure reports are not applicable. Performance monitoring: Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Case records are for individual program participants. Fiscal records must be kept for audit purposes. Retention of records is required for three years.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$43,550,117; FY 12 est \$37,898,000; and FY 13 est \$39,224,000

**Range and Average of Financial Assistance:**

Range of awards in FY 2011 is \$295,000 to \$1,800,000; Average award: \$451,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Data for FY 2011 show that 63 percent of the 8,000 individuals with disabilities who exited the program after receiving services achieved an employment outcome. In FY 2011 the Department received 11 applications for 9 new awards. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR) in 34 CFR 75, 77, 80, 81, 82, 84, 85, and 97. Vocational Rehabilitations Service Projects regulations 34 CFR 369 and Vocational Rehabilitations Services Projects for American Indians with Disabilities regulations 34 CFR 371.

**Regional or Local Office:**

None.

**Headquarters Office:**

Alfreda Reeves, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: alfreda.reeves@ed.gov Phone: (202) 245-7485.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/rsa/index.html>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The availability of funds is published in the Federal Register. Applications for discretionary grants are subject to peer review procedures by Federal and nonfederal experts that lead to recommendations for approval or disapproval. The selection criteria for this competition are from 34 CFR 75.210 of EDGAR and are listed in the application package. Selection criteria include extent of need for the project, significance, quality of the project design, quality of the project services, quality of project personnel, adequacy of resources, and quality of the management plan.

**84.256 TERRITORIES AND FREELY ASSOCIATED STATES EDUCATION GRANT PROGRAM**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part A, Section 1121 (a), (b) and (c).

**OBJECTIVES:**

To support activities consistent with the purposes of the Elementary and Secondary Education Act, including teacher training, curriculum development, instructional materials or general school improvement and school reform, and direct educational services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for activities consistent with the purposes of the Elementary and Secondary Education Act.

**Applicant Eligibility:**

Local educational agencies (LEAs) in the Republic of Palau and in the outlying areas (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands).

**Beneficiary Eligibility:**

LEAs in the Republic of Palau and in the outlying areas (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Provided by the Pacific Resources for Education and Learning (PREL). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Section 1121 of Title I requires that the Department reserve up to \$5 million from Title I Grants to LEA funds each fiscal year for competitive grants to local educational agencies in the outlying areas (American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands), and the Republic of Palau. Of this amount, the Secretary may reserve not more than 5 percent to pay the administrative costs of the Pacific Resources for Education and Learning (PREL) regarding activities assisted under this program. PREL conducts the award competition and makes recommendations to the Secretary regarding the award of grants.

**Award Procedure:**

Applications for continuations are submitted to the Department of Education, Office of Elementary and Secondary Education, School Support and Technology Programs, Washington, DC. PREL conducts the competition for grants and submits recommendations of applications for funding to the Secretary of Education. The Secretary awards grants taking into consideration the recommendations of PREL.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation awards of 12 months each may be made for a total of 36 months. Continuances are contingent upon evidence of satisfactory progress toward goals and objectives and subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months with annual continuances. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports are required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The Single Audit Act applies.

**Records:**

Records must be maintained as necessary for audit and for three years after the program ends.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$5,000,000; FY 12 est \$5,000,000; and FY 13 est \$5,000,000 - Funds are provided on a multi-year basis and, for this program, awards are made in the fiscal year following the appropriation, i.e., the FY11 appropriation is used for awards in FY12.

**Range and Average of Financial Assistance:**

to be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Contact the PREL office.

**Headquarters Office:**

Jenelle Leonard School Support and Rural Programs, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., LBJ Bldg. Room 3W203, Washington, District of Columbia 20202 Email: jenelle.leonard@e.gov Phone: (202) 401-3641

**Website Address:**

<http://www.ed.gov/programs/TFasegp/index.html> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed in accordance with criteria in the application package.

**84.259 NATIVE HAWAIIAN CAREER AND TECHNICAL EDUCATION FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Carl D. Perkins Career and Technical Education Act of 2006, Section 116(h), 20 U.S.C 2326(h).

**OBJECTIVES:**

To make grants to organizations primarily serving and representing Native Hawaiians for programs or portions of programs authorized by, and consistent with, the Carl D. Perkins Career and Technical Education Act of 2006.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

To provide career and technical education opportunities for Native Hawaiians. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, in accordance with 34 CFR 76.253. For assistance with restricted indirect cost rates call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

Community-based organizations primarily serving and representing Native Hawaiians may apply.

**Beneficiary Eligibility:**

Native Hawaiians individuals will benefit.

**Credentials/Documentation:**

Allowability of costs is determined in accordance with OMB Circular No. A-122 "Cost Principles for Non-Profit Organizations," which applies to nonprofit grantees. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared

and submitted in accordance with program announcements which are published in the Federal Register.

**Award Procedure:**

The Department reviews each application using the selection criteria in the program notice published in the Federal Register, in accordance with 34 CFR Part 75, and sends the Notification of Grant Award to each recipient selected for funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 to 150 days after deadline for transmitting applications.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation awards may be made, subject to acceptable performance reports and the availability of appropriations. Maximum award period is 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period is 3 years. Renewals are subject to the availability of funds and grantee performance. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specific reporting requirements are contained in 34 CFR parts 74 and 75 and in the grant award documents. Reports are required annually. Reports are required annually. Reports are required annually. Reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years from the time that work carried out under the project is completed.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$2,809,148; FY 12 est \$2,807,576; and FY 13 est \$2,550,075

**Range and Average of Financial Assistance:**

Estimated range: \$250,000-\$500,000; Estimated average: \$289,827; Actual range: \$258,219-\$513,638; Actual average: \$362,220.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding for 8 continuation awards. Fiscal Year 2012: Provided funding for 8 continuation awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Parts 74 and 75 and program Federal Register notices.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Mayo, Department of Education, OVAE Division of Academic and Technical Education 400 Maryland Ave., S.W., Washington, District of

Columbia 20202-7241 Email: linda.mayo@ed.gov Phone: (202) 245-7792.

**Website Address:**

<http://www2.ed.gov/about/offices/list/ovae/programs.html>

**RELATED PROGRAMS:**

84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Career and technical education programs for secondary, postsecondary, and adult students. Fiscal Year 2012: Career and technical education programs for secondary, postsecondary, and adult students. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria were published in the notice inviting applications published in the Federal Register on March 24, 2009. (74 FR 12341).

**84.264 REHABILITATION TRAINING\_CONTINUING EDUCATION**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Title III, Section 302.

**OBJECTIVES:**

To support training centers that serve either a Federal region or another geographical area and provide for a broad integrated sequence of training activities that focus on meeting recurrent and common training needs of employed rehabilitation personnel throughout a multi-State geographical area.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are limited to support of continuing education programs for personnel such as rehabilitation counselors, administrators, independent living specialists, audiologists, rehabilitation teachers for individuals who are blind, rehabilitation technology specialists who provide vocational, independent living, and client assistance services to individuals with disabilities.

**Applicant Eligibility:**

Institutions of higher education, State vocational rehabilitation agencies (including territories), and other public or nonprofit agencies and organizations.

**Beneficiary Eligibility:**

Individuals employed in positions related to the rehabilitation of individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attn: 84.264.

**Award Procedure:**

New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are required to share in the cost of projects with the proportion subject to individual negotiation.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects may be supported for a maximum of 5 years, 12-month budget periods. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

Proper records must be maintained as required by the Education Department General Administrative Regulations (EDGAR) or until all audit questions are resolved.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$8,039,244; FY 12 est \$8,088,368; and FY 13 est \$8,087,814

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Parts 385 and 389.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program and priorities for projects in the application notice are considered. Criteria for evaluating applications are published in program regulations 34 CFR Parts 385 and 389.

**84.265 REHABILITATION TRAINING STATE VOCATIONAL REHABILITATION UNIT IN-SERVICE TRAINING****FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Executive Order Title III, Section 302(g)(3).

**OBJECTIVES:**

This program is designed to support special projects for training State vocational rehabilitation unit personnel in program areas essential to the effective management of the unit's program of vocational rehabilitation services or in skill areas that enable personnel to improve their abilities to provide vocational rehabilitation services to individuals with disabilities. Projects are designed to: (1) address recruitment and retention of qualified rehabilitation professionals; (2) provide for succession planning; (3) provide for leadership development and capacity building; and (4) provide training on the Rehabilitation Act of 1973, as amended.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants may only be made to agencies designated to administer the State vocational rehabilitation program. Fifteen percent of the funds appropriated for the Rehabilitation Services Administration Training program must be allocated for In-Service Training.

**Applicant Eligibility:**

State vocational rehabilitation agencies, including territories, may apply.

**Beneficiary Eligibility:**

Individuals employed by designated State rehabilitation agencies will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to the Department of Education, Application Control center, 400 Maryland Avenue, S.W., Washington, DC 20200-4725. Attn: 84.265.



**Award Procedure:**

Grants are awarded by the Rehabilitation Services Administration. New awards are made based upon the results of a peer review process and the review and approval of staff in various offices within the Department.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 160 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees with Basic Awards over the minimum allotment are required to match ten percent of the cost of projects. Grantees with Basic Awards at the minimum allotment must match 4%.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may generally be supported for a maximum of 5 years, with 12-month budget periods. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years.

**Records:**

As required by the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 75, 77, 79, 80, 81, 82, and 85.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$5,337,254; FY 12 est \$5,337,254; and FY 13 est \$5,337,254

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Parts 385 and 388.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services

Administration, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States; 84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.264 Rehabilitation Training\_Continuing Education; 84.275 Rehabilitation Training\_General Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The relevance of the content of the training to the mission of the public rehabilitation program is considered. Priorities for certain projects are stated in the application notice. Criteria for evaluating applications are published in program regulations 34 CFR Parts 385 and 388.

**84.268 FEDERAL DIRECT STUDENT LOANS****FEDERAL AGENCY:**

Office of Student Financial Assistance Programs, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part D.

**OBJECTIVES:**

To provide loan capital directly from the Federal government (rather than through private lenders) to vocational, undergraduate, and graduate postsecondary school students and their parents.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

To help defray costs of education at a participating school. Repayment on Federal Stafford loans begins six months after the student ceases to carry at least one-half the normal full-time academic workload. Repayment of principal and interest on PLUS loans generally begins within 60 days of disbursement of the last installment; repayment of a Consolidation loan begins within 60 days after the proceeds of the loan have been used to discharge the liability of the borrower on the loans selected for consolidation. Deferments and forbearance of payment may be granted for certain authorized periods.

**Applicant Eligibility:**

The applicant must be a U.S. citizen, national, or person in the United States for other than a temporary purpose. A student borrower must be enrolled or accepted for enrollment in a degree or certificate program on at least a half-time basis as an undergraduate, graduate, or professional student at a participating postsecondary school. An otherwise eligible student is eligible for loans during a single twelve-month period in which the student is enrolled in a non-degree/non-certificate course of study that the school has determined is necessary in order for the student to enroll in a program leading to a degree or certificate. Under the Direct PLUS program, parents may borrow for dependent students. Also, graduate and professional students are eligible to borrow PLUS Loans. Direct Unsubsidized and PLUS loans are non-need based programs. In order to receive a Direct Subsidized Loan, all borrowers must undergo a financial need analysis to determine eligibility for Federal interest. The Budget Control Act of 2011 eliminated the eligibility of graduate and professional students to receive Federal Direct Subsidized Loans as of July 1, 2012. A student that is presently enrolled at a participating institution must be maintaining satisfactory academic progress in the course of study that they are pursuing. The borrower may not owe a refund on any Title IV grant or be in default on any Title IV loan received for attendance at any school. The borrower must also file a Statement of Registration compliance (Selective Service). Borrowers that are unable to obtain consolidation loans from lenders under FFEL or who are unable to obtain a consolidation loan with income sensitive repayment terms acceptable to the borrower from a lender, shall be

eligible for a Direct Consolidation Loan.

**Beneficiary Eligibility:**

Vocational, undergraduate, and graduate postsecondary school students and their parents.

**Credentials/Documentation:**

The borrower will need certification of eligibility from the school and may be required to supply documentation to verify the accuracy of data used in the Direct Subsidized loan need analysis. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the Direct Subsidized and Unsubsidized loans are obtained from the school. Direct consolidation loan applications are obtained from the Department of Education. To obtain a Direct Subsidized or Unsubsidized loan, a student shall complete and submit a Free Application for Federal Student Aid (FAFSA). All applications (with the exception of PLUS) for Direct Loans are processed by the Central Processor System (CPS) in the initial step to determine a student's Title IV eligibility. Schools will receive official output from the CPS, and then will be able to assemble a financial aid award package. A school participating in the Direct Loan program may award Direct Loans as part of the financial aid package. If a Direct Loan is not included in the aid package, a student may contact the school to request loan information.

**Award Procedure:**

Schools participate in the Direct Loan program either by originating loans or by using an alternative originator to originate loans. The school must certify the borrower's eligibility to receive the funds. To obtain a Direct PLUS Loan, the parent completes an application and authorizes a credit check. If the parent does not have an adverse credit history the loan may be disbursed. Schools may disburse funds by crediting them directly to the student's account at the school, issuing a check or cash, or by initiating an electronic fund transfer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Applicants may apply for a loan for any year of school. The interest rate on new Stafford Loans starting July 1, 2012 is fixed at 3.4 percent. The Moving Ahead for Progress in the 21st Century Act (P.L. 112-141) extends for one year the interest rate established in the College Cost Reduction and Access Act (CCRAA) of 2007, meaning the interest rate will become 6.8 percent beginning July 1, 2013. As of July 1, 2006, the interest rate for both Unsubsidized Stafford and Direct PLUS loans is fixed at 6.8 percent. There are four repayment plans that are available for Direct Loan borrowers: (1) A standard repayment plan with a fixed monthly payment amount over a period of up to 10 years; (2) an extended repayment plan with a fixed monthly payment amount paid over a period of 12 to 30 years, depending on the amount owed; (3) a graduated repayment plan with a monthly payment that will increase generally every 2 years. The repayment period varies from 12 to 30 years, depending on the amount owed; and (4) except for Direct PLUS Loan borrowers, an income

contingent repayment (ICR) plan with a monthly payment that is adjusted annually based on the income of the borrower and paid over an extended period of time not to exceed 25 years. Any unpaid balance remaining after 25 years in the ICR plan is forgiven by the Secretary of Education. However, under current IRS rules, the amount written off is considered taxable income to the borrower in the year it is written off. CCRAA created a new income-based repayment plan for those borrowers meeting a standard of "partial financial hardship" based on their annual repayment amount in relation to their adjusted gross income. Generally a borrower would not have to repay on a monthly basis more than 15 percent of their discretionary income. Any outstanding balance would be forgiven after 25 years of repayment in the income-based repayment option. A provision in the Patient Protection and Affordable Care Act lowered these limits to 10 percent of discretionary income and forgiveness after 20 years for new borrowers on/after July 1, 2014. CCRAA also created a new loan forgiveness program for Direct Loan borrowers who work in public service during a 10-year period while they are repaying their loans. If these borrowers during repayment have an outstanding loan balance after 10 years of working in public service, the Federal Government will forgive the remaining balance on behalf of the borrower. Public service may include a variety of public disciplines such as education, health, law, military service and public safety. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The Department will produce a variety of management information system accounting, and financial management reports. Schools must submit all reports required by 34 CFR 685 and 34 CFR 668. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Schools are subject to examination and program review by the Department of Education. Program reviews are performed on a fiscal year basis.

**Records:**

Schools must maintain proper administrative and fiscal procedures and all necessary records as set forth in the regulations in 34 CFR 685 and 34 CFR 668. Schools must keep all records involved in any loan, claim, or expenditure questioned by a Federal audit until resolution of any audit questions. In addition to records required by 34 CFR 668, for each Direct Loan received under 34 CFR 685 by or on behalf of this student, a school shall maintain a copy of the loan application and data electronically submitted to the Secretary.

**Account Identification:**

91-0243-0-1-502.

**Obligations:**

(Direct Loans) FY 11 \$23,805,621,000; FY 12 est \$63,477,548,000; and FY 13 est \$28,398,445,000 - (Figures represent Gross Loan volume, without Consolidations). (Direct Loans) FY 11 \$108,926,303,000; FY 12 est \$114,674,091,000; and FY 13 est \$120,822,169,000 - Figures represent DL Gross Consolidation volume.

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Student Loan Reform Act of 1993, Public Law 103-66, 34 CFR 685.

**Regional or Local Office:**

See Regional Agency Offices. See the list of Regional Offices listed in Appendix 5 of the FFEL Catalog.

**Headquarters Office:**

Federal Student Aid Information Center Federal Student Aid (FSA), Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Phone: 800-433-3243

**Website Address:**

<http://www.ifap.ed.gov/>.

**RELATED PROGRAMS:**

84.063 Federal Pell Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.269 INSTITUTE FOR INTERNATIONAL PUBLIC POLICY**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VI, Part C.

**OBJECTIVES:**

To establish an Institute for International Public Policy. This Institute shall conduct a program to enhance the international competitiveness of the United States by increasing the participation of underrepresented populations in the international service, including private international voluntary organizations and the foreign service of the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support: (1) a sophomore-year summer policy institute; (2) a junior-year abroad program; (3) a junior-year summer policy institute; (4) internships--junior year, senior year, and postbaccalaureate; (5) a senior language institute; (6) an advanced degree program in international affairs; and (7) institutional grants to strengthen undergraduate international affairs programs at selected campuses.

**Applicant Eligibility:**

A consortium consisting of one or more of the following entities: An institution eligible for assistance under Part B of Title III of the Higher Education Act of 1965, as amended; an institution of higher education that serves substantial numbers of African Americans or other underrepresented minority students and an institution of higher education with programs in training foreign service professionals.

**Beneficiary Eligibility:**

Institutions of higher education and minority students will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Technical assistance in preparing applications is available from the agency information contact listed below. An informal preapplication conference with the agency information contact is recommended.

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible consortia may submit an application for funding when a new competition is announced in the Federal Register. Application forms and guidelines for the submission of applications are available from the International Studies Team in the Office of International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Final recommendations are made to the Secretary following advice from a panel of consultants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

The project period may last up to 60 months. Applicants must receive annual approval for renewals.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. The Federal share for each fiscal year shall not exceed 50 percent of the cost of each project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A grant is awarded for a 60 month period; subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The Institute shall prepare a report once every two years on the activities of the Institute and shall submit it to the Secretary of Education and the Secretary of State. Interim and final performance reports required. Staff monitor grants drawdown using agency financial reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audit requirements as described in 34 CFR 74.26, to not apply to this program. All fiscal records will be subject to audit by the Department of Education at any time within 3 years after expiration of the grant.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) for 3 years after the close of the fiscal year that the grant expired; or (2) until grantee is notified that the fiscal audit has closed, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$1,551,890; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program regulations are available at 34 CFR 655 and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanyelle Richardson, Office of International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K. Street, NW, 6th Floor, Washington, District of Columbia 20006 Email: [tanyelle.richardson@ed.gov](mailto:tanyelle.richardson@ed.gov) Phone: (202) 502-7626.

**Website Address:**

<http://www.ed.gov/programs/iegpsiipp/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.018 Overseas Programs\_Special Bilateral Projects; 84.021 Overseas Programs - Group Projects Abroad; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part C of the Higher Education Act of 1965, as amended.

**84.274 AMERICAN OVERSEAS RESEARCH CENTERS****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Title VI, Part A, Section 609.

**OBJECTIVES:**

To enable American overseas research centers, that are consortia of higher education institutions, to promote postgraduate research, exchanges, and area studies.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants may be used to pay all or a portion of the cost of establishing or operating a center or program, including the cost of faculty and staff stipends and salaries; faculty, staff, and student travel; the operation and maintenance of overseas facilities; the cost of teaching and research materials; the cost of bringing visiting scholars and faculty to a center to teach or to conduct research; the cost of organizing and managing conferences; and the cost of publishing and disseminating materials for the scholarly and general public.

**Applicant Eligibility:**

The Secretary shall only award grants to centers that: (1) receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under Section 501(a) of the Code.

**Beneficiary Eligibility:**

Consortia of institutions of higher education that (1) receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under Section 501(a) of the Code will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Eligible centers may submit an application for funding when a new competition is announced in the Federal Register. Application forms and guidelines for the submission of applications are available from the Office of International and Foreign Language Education at the Department of Education.

**Award Procedure:**

Applications are evaluated by peer review panels with area studies expertise. Funding recommendations are made to the Secretary based on the outcome of the peer review process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approval time is approximately 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Centers selected to receive funds for the 4-year project period must submit annual performance reports for continuation of support. Continuation grant awards are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for 12-month periods for a total project period of up to 48 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Funded centers submit annual performance reports through the International Resource Information System (IRIS). The annual performance reports provide narratives about the status of project activities, including evaluation efforts, as well as the centers progress toward achieving the objectives for the reporting period. The annual reports also provide information about budget expenditures during the reporting period. A final performance report is due 90 days after the end date of the final budget period of the project. Financial status reports are not required. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

All records supporting claims under grants or relating to accountability for awarded funds must be available on request: (1) for 3 years after the close of the fiscal year that the grant expired; or (2) until the grantee is notified that the fiscal audit has closed, whichever is later.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$650,000; and FY 13 est \$650,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is governed by the authorizing legislation and the Education

Department General Administrative Regulations, 34 CFR 74, 75, 77, 79 through 82, 85, 86, 97, 98, and 99. Contact the program office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cheryl Gibbs, International and Foreign Language Education, Office of Postsecondary Education, Department of Education, 1990 K Street, N.W., Washington, District of Columbia 20006 Email: Cheryl.Gibbs@ed.gov Phone: (202) 502-7634.

**Website Address:**

<http://www.ed.gov/programs/iegpsaorc/>.

**RELATED PROGRAMS:**

84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program; 84.016 Undergraduate International Studies and Foreign Language Programs; 84.017 International Research and Studies; 84.022 Overseas Programs - Doctoral Dissertation Research Abroad; 84.153 Business and International Education Projects; 84.220 Centers for International Business Education; 84.229 Language Resource Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for awards will be evaluated competitively in accordance with the selection criteria published in 34 CFR 75.209 and 75.210. The Secretary will weigh criteria using points indicated in the application package or in a notice published in the Federal Register. Applicants should address the selection criteria only in the context of the program requirements in Title VI, Part A, Section 609 of the Higher Education Act of 1965, as amended.

**84.275 REHABILITATION TRAINING\_GENERAL TRAINING**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, III U.S.C 302.

**OBJECTIVES:**

To ensure that skilled personnel are available to provide rehabilitation services to individuals with disabilities through: (1) Vocational, medical, social, and psychological rehabilitation programs; (2) supported employment programs; and (3) independent living client assistance programs. To support projects that: (1) Maintain and upgrade basic skills and knowledge of personnel employed; and (2) increase the numbers of qualified personnel trained in providing rehabilitation services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are limited to support of education programs for personnel such as rehabilitation counselors, administrators, independent living specialists, audiologists, rehabilitation teachers for individuals who are blind, rehabilitation technology specialists who provide vocational, independent living, and client assistance services to individuals with disabilities.

**Applicant Eligibility:**

State vocational rehabilitation agencies, and other public or nonprofit agencies and organizations, including institutions of higher education may apply.

**Beneficiary Eligibility:**

Individuals employed in positions related to the rehabilitation of individuals with disabilities will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State

and local governments, OMB Circular No. A-21 for educational institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Education Department General Administrative Regulations at 34 CFR Parts 74, 75 and 80 apply to this program. New applications are made to the Department of Education, Application Control Center, 400 Maryland Avenue, S.W., Washington, DC 20202-4725. Attention: 84.275.

**Award Procedure:**

Applications are reviewed by panels of field readers. Each panel will generally include two or more nonfederal members with experience and training in the proposed area of training.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 120 to 160 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years; with 12-month budget period. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by grant award terms and conditions. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$300,000; FY 12 est \$300,000; and FY 13 est \$300,000

**Range and Average of Financial Assistance:**

There's only one award each year - \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found in 34 CFR Part 385.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tom Finch, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: tom.finch@ed.gov Phone: (202) 245-7343.

**Website Address:**

<http://www.ed.gov/offices/OSERS/RSA>.

**RELATED PROGRAMS:**

84.129 Rehabilitation Long-Term Training; 84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind; 84.235 Rehabilitation Services Demonstration and Training Programs; 84.246 Rehabilitation Short-Term Training; 84.264 Rehabilitation Training\_Continuing Education; 84.265 Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in application notices. Contact the Program Office for this information.

**84.282 CHARTER SCHOOLS**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V Part B, Subpart 1.

**OBJECTIVES:**

The program supports the planning, development, and initial implementation, and replication of charter schools and the dissemination of information on charter schools. Charter schools increase educational options for parents and students and, in exchange for stricter academic accountability, are exempt from many statutory and regulatory requirements.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

State educational agencies (SEAs) receiving grants make subgrants to charter school developers; if an eligible SEA does not receive a grant, charter school developers in the State may apply directly to the Secretary for funding. Developers receive up to 3 years of assistance, of which they may use not more than 18 months for planning and program design and not more than 2 years for the initial implementation of a charter school. SEAs may reserve up to 10 percent of their grants to make subgrants to successful charter schools for information dissemination activities; charter schools in eligible States that do not receive a grant may apply directly to the Secretary for funding for information dissemination activities. Charter management organizations and other nonprofit organizations receiving grants use funds for replication and expansion of successful charter school models. Applicants must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202)708-7770.

**Applicant Eligibility:**

SEAs in States in which State law authorizes charter schools are eligible. If an eligible SEA elects not to participate in this program or does not have an

approved application, charter school developers that have applied to an authorized public chartering authority to operate a charter school, and provided adequate and timely notice to that authority, may apply directly to the Secretary. Charter management organizations and other nonprofit organizations with experience operating or managing high-quality quality schools are eligible for grants for replication and expansion of successful charter school models.

**Beneficiary Eligibility:**

School administrators, teachers, and students and their parents are beneficiaries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Contact the program office for application information. Application notices are published in the Federal Register.

**Award Procedure:**

Contact the Headquarters Office as listed below for this information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

To receive continuation funding, grantees must demonstrate substantial progress toward meeting the goals and objectives of their project. Continuation awards are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 3 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. Final performance reports must be submitted within 90 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after the fiscal year in which the expenditure was made by the grantee, or until the grantee is notified of the completion of the Federal fiscal audit. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$255,518,938; FY 12 est \$254,836,069; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range of awards: \$100,000 - \$25,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Stefan Huh Department of Education, Office of Innovation and Improvement, Parental Options and Information, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: stefan.huh@ed.gov Phone: (202) 453-6384

**Website Address:**

<http://www.ed.gov/programs/charter/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Interested parties should contact the Headquarters Office as listed above for information on funded projects. Fiscal Year 2012: Interested parties should contact the Headquarters Office as listed above for information on funded projects. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in program statute. Contact the program office for more information.

**84.283 COMPREHENSIVE CENTERS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Education Technical Assistance Act of 2002, Section 203.

**OBJECTIVES:**

This program supports no fewer than 20 comprehensive centers that provide training and technical assistance, and professional development primarily to State educational agencies. By statute, the Department is required to establish at least one center in each of the 10 geographic regions served by the Department's regional education laboratories. Awards made under the FY 2012 competition will support 22 new centers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The existing Comprehensive Centers consist of 21 centers, including 16 regional centers and 5 content centers. Grantees are required to develop five-year plans for carrying out authorized activities that address State and regional needs. The 16 regional centers provide services primarily to State educational agencies to enable them to assist school districts, regional education agencies, and schools, especially low-performing schools. Each regional center provides training and technical assistance in the implementation and administration of programs authorized under the Elementary and Secondary Education Act and the use of scientifically valid teaching methods and assessment tools in mathematics, science, reading and language arts. The 5 content centers focus on specific areas, with one center in each of five areas: accountability, instruction, teacher quality, innovation and improvement, and high schools. These centers supply much of the research-based information and products in the specific area that regional centers use when working with States. The FY 2012 competition will support 15 regional centers and 7 content centers.

The content centers will be focused in the following 7 areas: standards and assessment implementation; great teachers and leaders; school turnaround; college- and career-readiness and success; building State capacity and productivity; and innovations in learning.

**Applicant Eligibility:**

Research organizations, institutions, agencies, institutions of higher education (IHEs), or partnerships among such entities, or individuals that have the expertise to provide training to States, school districts, and schools may apply.

**Beneficiary Eligibility:**

Agencies supporting or providing elementary and secondary education will benefit, including state and local educational agencies, schools, Indian tribes, community-based organizations, and other recipients of funds under ESEA.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications or proposals must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

After completion of competitive peer review of applications, the Department makes the final decision on the approval and funding of applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made for up to five years, subject to the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be awarded for up to five years subject to the availability of funds and performance by the grantee. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Specified reporting requirements are included in the grant or cooperative agreement document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As required by EDGAR, 34 CFR 74.

**Records:**

Records must be kept for three years after the completion of the activity that

grant funds were used.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$51,210,000; FY 12 est \$51,113,213; and FY 13 est \$51,113,213

**Range and Average of Financial Assistance:**

Range of awards in FY 11: \$814,647 - \$5,721,335; Average: \$2,402,277.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Department is holding a new competition. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations applicable to this program are in the Department of Education's General Administrative Regulations (34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86).

**Regional or Local Office:**

None.

**Headquarters Office:**

Fran Walter Department of Education, OESE, School Support and Technology Programs, 400 Maryland Ave. S.W., Washington, District of Columbia 20202  
Email: fran.walter@ed.gov Phone: (202) 205-9198

**Website Address:**

<http://www.ed.gov/programs/newccp/index.html>.

**RELATED PROGRAMS:**

84.004 Civil Rights Training and Advisory Services

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Go to <http://www2.ed.gov/program/newccp/awards.html> for information on the existing comprehensive center grantees. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria include: (1) Meeting the purpose of the authorizing statute; (2) extent of need for the center; (3) plan of operation; (4) quality of key personnel; (5) budget and cost-effectiveness; (6) evaluation plan; and (7) adequacy of resources.

**84.287 TWENTY-FIRST CENTURY COMMUNITY LEARNING CENTERS**

**FEDERAL AGENCY:**

Office of Educational Research and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title IV, Part B.

**OBJECTIVES:**

To create community learning centers that provide academic enrichment opportunities for children, particularly students who attend high-poverty and low-performing schools. The program is intended to help students meet state and local student standards in core academic subjects, such as reading and math; to offer students a broad array of enrichment activities that complement their regular academic programs; and to offer literacy and other educational services to the families of participating children.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Projects funded under this program must be for the purpose of meeting the needs of the residents of rural and inner-city communities, through the creation or expansion of community learning centers. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies are eligible for funds under this program.

**Beneficiary Eligibility:**

School-aged children and their families.

**Credentials/Documentation:**

Contact program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States must apply for funds either through a program-specific application or by including the program in a consolidated State plan authorized under Title IX of the ESEA. Contact the headquarters office listed below for more information.

**Award Procedure:**

Contact the program office for this information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Funds are allocated to States in proportion to each State's share of funds in the previous fiscal year under Part A of Title I of the ESEA, except that no State may receive less than 0.5 of 1 percent of the amount available to States.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Generally, SEAs are subject to the reporting requirements contained in Title IX of the ESEA consolidated state performance report section 9303(b). Annual progress and financial reports as required by EDGAR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Contact Program Office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the EDGAR, Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year.

**Records:**

As required by the provisions in EDGAR for direct grant programs. Records related to grant funds, compliance, and performance must be maintained for a period of 3 years after completion, subject to the exceptions listed in EDGAR 34 CFR 74.



**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$1,153,853,668; FY 12 est \$1,151,673,216; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Range (FY 12): \$5,643,199-\$124,077,384; Average (FY 12): \$21,704,611.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program supported over 10,000 centers that served approximately 1.9 million students during 2010-11. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations, 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sylvia Lyes Department of Education, Office of Elementary and Secondary Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202  
Email: sylvia.lyes@ed.gov Phone: (202) 260-2551

**Website Address:**

<http://www.ed.gov/programs/21stccle/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information.

**84.293 FOREIGN LANGUAGE ASSISTANCE****FEDERAL AGENCY:**

Office of English Language Acquisition, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title V, Part D, Subpart 9.

**OBJECTIVES:**

To support innovative model programs of foreign language study in public elementary and secondary schools.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program has two program areas: one for local educational agencies (LEAs) and one for State educational agencies (SEAs). The SEA program supports innovative model programs of foreign language study in elementary and secondary schools. The LEA program may include a professional development component and must support projects that show the promise of being continued beyond the grant period. Not less than three-fourths of the appropriation must be used for elementary-level projects. Beginning in FY08, Congress also appropriated funds specifically to award funds to partnerships of institutions of higher education (IHEs) along with LEAs to establish articulated programs of study in critical languages. Critical languages are defined as languages critical to United States national security and include Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families. The program did not receive funding in FY 2012.

**Applicant Eligibility:**

State and local educational agencies and partnerships of institutions of higher education with local educational agencies may apply.

**Beneficiary Eligibility:**

Elementary and secondary school children benefit.

**Credentials/Documentation:**

Contact program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To participate, an organization must have on file with the Secretary of Education, by the designated deadline, an application that complies with the statutory requirements. Contact the program office for specific application information.

**Award Procedure:**

Applications are approved for awards by the Director, Office of English Language Acquisition, Language Enhancement, and Academic Achievement For Limited English Proficient Students, based on evaluations and recommendations of outside experts and an administrative review of the applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on an annual review of the performance data and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. Matching 50 percent of total program funding. Applicants may apply for a waiver of this requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for 3 to 5 years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Financial status and performance reports, as required by EDGAR, 34 CFR 75.720. Specific reporting requirements are contained in the grant documents. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Financial status and performance reports, as required by EDGAR, 34 CFR 75.720. Specific reporting requirements are contained in the grant documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain appropriate records related to grant funds, as required by EDGAR.

**Account Identification:**

18-1000-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$26,874,144; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$50,000-\$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funds supported 113 continuation awards for LEA, SEA, and LEA/IHE grants. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No specific regulations have been developed. EDGAR, 34 CFR 75, 77, 80, 81, 85, 86, 97, 98, 99, and 299.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rebecca Richey, Department of Education, OELA 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Rebecca.richey@ed.gov Phone: (202) 245-7133.

**Website Address:**

<http://www.ed.gov/programs/flap/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Abstracts may be accessed at: <http://www2.ed.gov/about/offices/list/oela/funding.html> . Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria include: need for the project, quality of the project design, management plan, and evaluation.

**84.295 READY-TO-LEARN TELEVISION****FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title II, Part D, Subpart 3.

**OBJECTIVES:**

To facilitate student academic achievement by developing educational programming and digital content, with accompanying educational support materials, for preschool and early elementary school children and their families.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The program makes awards to support the development and distribution of educational video programming and digital content, and related outreach materials. Administrative costs are limited by the authorizing statute. Entities receiving a grant, contract, or cooperative agreement from the Secretary may not use more than five percent of the amounts received for the normal and customary expenses of administering the grant.

**Applicant Eligibility:**

To be eligible to receive a grant, contract, or cooperative agreement, an entity shall be a public telecommunications entity that can demonstrate a capacity to: (1) develop and disseminate educational and instructional television programming nationwide; (2) contract with the producers of children's television programming; (3) negotiate such contracts in a manner that returns an appropriate share of ancillary income from sales of program-related products; and (4) localize programming and materials to meet specific State and local needs.

**Beneficiary Eligibility:**

Programming is to be made widely available, with support materials as appropriate, to young children, their parents, child care workers, and Head Start and Even Start providers.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This procedure is described in the application notice published annually in the Federal Register. Contact the headquarters office listed below for application packages containing the announcement, application, and forms.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the administrative regulations governing the Evaluation of Applications for Grants and Cooperative Agreements (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant program (see 34 CFR 75.253). Generally, for multiple-year awards, continuation awards after the first budget period are made if: sufficient funds have been appropriated; the recipient has either made substantial progress in meeting the goals of the project or obtained approval for changes in the project; the recipient has submitted all required reports; and continuation is in the best interest of the government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Following an initial award of 12 months, four additional 1-year, non-competing continuation awards may be made, for a total term of 5 years. Renewals are subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

The recipient must submit an annual report. At a minimum, the report must describe the program activities including: (1) Programming that has been developed directly or indirectly and the target population of the programs developed; (2) supporting materials that have been developed to accompany the programming and the method by which materials are distributed to consumers and users of the programming; (3) the means by which programming developed has been distributed, including the distinct learning technologies that have been utilized to make programming available and the geographic distribution achieved through such technologies; and (4) the initiatives undertaken to develop public or private partnerships to secure nonfederal support to develop and distribute the broadcasting of educational and instructional programming. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See 34 CFR 74.26. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133. State and local governments are subject to the requirements in the Single Audit Act and ED regulations implementing OMB Circular No. A-133 (see 34 CFR 80).

**Records:**

As required by EDGAR for direct grant programs (34 CFR 75). The grantee must maintain records and other evidence pertaining to all costs incurred, revenues, or other applicable credits acquired under its award as stated or contract terms and conditions. (34 CFR 75.721). Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$27,245,000; FY 12 est \$27,193,507; and FY 13 est \$27,193,507

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department will award 3 continuation grants. Fiscal Year 2012: The Department would award 3 continuation grants. Fiscal Year 2013: The Department would award 3 continuation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The regulations applicable to this program are in the Education Department General Administrative Regulations (EDGAR) 34 CFR, 74, 75, 77, 79, 81, 82, 84,85, 97,98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Brian Lekander Department of Education, Office of Innovation and Improvement, Technology in Education Programs 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: brian.lekander@ed.gov Phone: (202) 205-5633

**Website Address:**

<http://www.ed.gov/programs/rtltv/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: For information see the following link to the Department's press release announcing the Fiscal Year 2010 awards:

<http://www.ed.gov/news/press-releases/education-secretary-arne-duncan-announces-27-million-three-ready-learn-televisio>. No new awards will be made in 2012. Fiscal Year 2013: No new awards will be made in 2013.

**CRITERIA FOR SELECTING PROPOSALS:**

The Department uses the selection criteria contained in the Education General Administrative Regulations (EDGAR) to evaluate applications to this program. The specific criteria to be used for a particular grant competition are selected from among these in 34 CFR 75, Section 75.210, and announced in the application package or the application notice in the Federal Register.

**84.299 INDIAN EDUCATION -- SPECIAL PROGRAMS FOR INDIAN CHILDREN**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VII, Part A, Subpart 2.

**OBJECTIVES:**

To support projects (1) to develop, test, and demonstrate the effectiveness of services and programs to improve educational opportunities and achievement of Indian children; and (2) to increase the number of qualified Indian individuals in teaching or other education professions that serve Indian people, to provide training to qualified Indian individuals to enable such individuals to become teachers, administrators, teacher aides, social workers, and ancillary educational personnel, and to improve the skills of qualified Indian individuals who serve in education professions.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Under the absolute priorities that the Department has implemented for this program, grants support early childhood and kindergarten projects, high school projects that aim to aid students in the transition from secondary to postsecondary education, and professional development projects that increase the number and skills of qualified Indian teachers and administrators who serve Indian people.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Successful applicants are subject to the requirement of applicable OMB Circulars on grant award agreements.

**Award Procedure:**

The Department awards these grants on a competitive basis. Applications are reviewed and ranked by a panel of outside reviewers. The program office notifies successful and unsuccessful applicants of awards and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60-120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to four years. Continuation awards are subject to the availability of appropriations and substantial progress by the grantee.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a period of up to 4 years; continuations awards are

contingent on performance and to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annual must submit to the Secretary a report of its operations and activities. Each annual report must include: (1) An executive summary; (2) project status; (3) budget information; and (4) supplemental information. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits may be conducted by the Department's Office of Inspector General staff make site visits. Audits are periodic with no set schedule.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-0101-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$19,021,880; FY 12 est \$18,986,048; and FY 13 est \$18,986,048

**Range and Average of Financial Assistance:**

In FY 2012 the range of awards would be \$222,182-\$399,998; the average award was \$302,722.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Department will award approximately 22 new grants and 53 continuation grants. Fiscal Year 2013: The Department would award approximately 26 new grants and 54 continuation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 34 CFR 263

**Regional or Local Office:**

None.

**Headquarters Office:**

Lana Shaughnessy, Office of Indian Education, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: lana.shaughnessy@ed.gov Phone: (202) 205-2528.

**Website Address:**

<http://www.ed.gov/programs/indiandemo/index.html>;  
<http://www.ed.gov/programs/indianprofdev/index.html>

**RELATED PROGRAMS:**

84.060 Indian Education\_Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: The Department will award approximately 22 new grants and 53 continuation grants to entities including LEAs and Indian institutes of higher education. Fiscal Year 2013: The Department would award approximately 26 new grants and 54 continuation grants.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in EDGAR and 34 CFR 263; contact the program office for additional information.

**84.305 EDUCATION RESEARCH, DEVELOPMENT AND DISSEMINATION**

**FEDERAL AGENCY:**

Institute of Education Sciences, Department of Education

**AUTHORIZATION:**

Education Sciences Reform Act of 2002, Title I, Parts A, B and D, Sections 133 and 172.

**OBJECTIVES:**

To support the development and distribution of scientifically valid research, evaluation, and data collection that support learning and improve academic achievement.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants will support basic and applied research, development, dissemination, evaluations, and research training in education.

**Applicant Eligibility:**

Applicants that have the ability and capacity to conduct scientifically valid research are eligible to apply. Eligible applicants include, but are not limited to, non-profit and for-profit organizations and public and private agencies and institutions, such as colleges and universities.

**Beneficiary Eligibility:**

Institutions and individuals involved with education will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard Form 424, "Application for Federal Assistance," an application narrative, and required certifications must be submitted by the deadline specified in the Federal Register.

**Award Procedure:**

Applications are reviewed by panels of field readers in accordance with 34 CFR 700, "Evaluation of Applications for Grants and Cooperative Agreements."

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 210 to 240 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years. Funds are granted on a 12 month basis. All grantee obligations shall be liquidated within 90 days following the end of the award period. Payments may be made according to a predetermined schedule or by way of reimbursement. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations

(EDGAR) for direct grant programs (34 CFR 75). Generally, financial reports and program reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Annual progress and performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for 3 years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, 3 years after the date of the award.

**Account Identification:**

91-1100-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$165,000,000; FY 12 est \$105,000,000; and FY 13 est \$165,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: <http://ies.ed.gov/ncer/whatsnew/highlights.asp>. Fiscal Year 2012: <http://ies.ed.gov/ncer/whatsnew/highlights.asp>. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Emily Doolittle, Institute of Education Sciences, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: [Emily.Doolittle@ed.gov](mailto:Emily.Doolittle@ed.gov) Phone: (202) 219-1201.

**Website Address:**

<http://ies.ed.gov/ncer>.

**RELATED PROGRAMS:**

84.324 Research in Special Education

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: <http://ies.ed.gov/ncer/projects>. Fiscal Year 2012: <http://ies.ed.gov/ncer/projects>. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are contained in the Request for Applications that announces the competition. The Request for Applications is posted on the Funding Opportunities home page of the Institute web site: <http://ies.ed.gov/funding/>.

**84.315 CAPACITY BUILDING FOR TRADITIONALLY UNDERSERVED POPULATIONS**

(Capacity Building)

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Rehabilitation Act of 1973, as amended, Section 21.

**OBJECTIVES:**

To enhance the capacity and increase the participation of historically Black colleges and universities, Hispanic serving institutions of higher education, and other institutions of higher education where minority enrollment is at least 50 percent, in competitions for grants, contracts, and cooperative agreements under the Rehabilitation Act, as amended.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are limited to: awards to minority entities and Indian tribes to carry out activities under the programs authorized under titles II, III, VI, and VII of the Rehabilitation Act; awards to minority entities and Indian tribes to conduct research, training, technical assistance, or related activities, to improve services provided under the Rehabilitation Act, especially services provided to individuals from minority backgrounds; and awards to eligible entities to provide outreach and technical assistance to minority entities and Indian tribes to promote their participation in activities funded under the Rehabilitation Act.

**Applicant Eligibility:**

States and public and nonprofit agencies and organizations may apply.

**Beneficiary Eligibility:**

Historically Black colleges and universities; (2) Hispanics serving institutions of higher education; (3) Indian tribal colleges and universities (4) other institutions of higher education whose minority student enrollment is at least 50 percent; and (5) Indian Tribes.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process that the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

All new applications are reviewed by a panel of at least three individuals. Each panel will generally include two or more nonfederal consultants with experience and training in the proposed area of expertise. Each panel will include a person with a disability and an individual from a minority background.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 120 to 150 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are available only through the new application process. Projects with an approved multi-year project period may be continued based on the availability of appropriated funds and an annual review of accomplishments to determine satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for 1 to 5 years, with budget periods of 12-months. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and progress reports must be submitted as required by the grant award's terms and conditions. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits must be conducted on a continuing basis or at scheduled intervals, usually once a year, but at least once every 2 years. Institutions of higher education and nonprofit organizations are subject to the audit requirements of OMB Circular No. A-133.

**Records:**

As required by EDGAR.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$2,106,110; FY 12 est \$2,115,004; and FY 13 est \$2,115,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations. For more information contact the program office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ellen Chesley, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202-2649 Email: ellen.chesley@ed.gov Phone: (202) 245-7300.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/rsa/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in the Education Department General Administrative Regulations are used to evaluate this program.

**84.323 SPECIAL EDUCATION - STATE PERSONNEL DEVELOPMENT**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part D, Subpart 1, Section 651-655, 20 U.S.C 1451-1455.

**OBJECTIVES:**

To assist State educational agencies in reforming and improving their systems for personnel preparation and professional development in early intervention, educational and transition services, to improve results for children with disabilities. As used in this program, personnel means special education teachers, regular education teachers, principals, administrators, related services personnel, paraprofessionals, and early intervention personnel serving infants, toddlers, preschoolers, or children with disabilities, except where a particular category of personnel, such as related services personnel, is identified.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The uses of funds under the State Personnel Development Grants program are described in section 654 of the IDEA (20 U.S.C. 1454). Not less than 90 percent of the grant funds for any fiscal year must be used for spent on professional development activities described in section 654(a) of IDEA (20 U.S.C. 1454(a)), including improving results for children with disabilities through the delivery of high-quality instruction and the recruitment, hiring and retention of highly qualified special education teachers. Not more than 10 percent of grant funds for any fiscal year must be spent on the other activities described in section 654(b) of IDEA (20 U.S.C. 1454(b)), such as reforming special education and regular education teacher certification (including recertification) or licensing requirements and carrying out programs that establish, expand, or improve alternative routes for State certification of special education teachers.

**Applicant Eligibility:**

State Educational Agencies.

A State educational agency of one of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, and the outlying areas (U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) may apply.

**Beneficiary Eligibility:**

Infants and toddlers with disabilities as defined in the IDEA and their families, and children with disabilities as defined in the IDEA and their parents benefit from this program.

**Credentials/Documentation:**

Contact program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The regulations in 34 C.F.R. Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments) implement OMB Circular A-102. The standard application forms as furnished by the Office of Special Education and Rehabilitative Services must be used for this program. Information about submitting applications for this program can be found in the Notice Inviting Applications for this program for a particular fiscal year and in the approved application package. A notice inviting applications is generally published in the Federal Register annually, depending on the availability of appropriations for a particular fiscal year. Awards are made on a competitive basis based on the availability of funds. The regulations in 34 C.F.R. Part 74 (Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations) implement OMB Circular A-110. OMB Circular A-110 is not applicable to SEAs; however, it is applicable to SEA partners, such as institutions of higher education or other non-profit organizations.

**Award Procedure:**

Applications are peer reviewed and grants are made on a competitive basis subject to the approval of the Assistant Secretary, OSERS.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

A continuation awards may be made annually for up to 5 years throughout the project period of an approved multi-year grant, depending upon the availability of appropriations and the OSERS Assistant Secretary's determination that the grantee has made substantial progress in meeting the objectives of the approved application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years, subject to the availability of appropriations and the grantee's compliance with the requirements of the grant. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit an annual performance report (APR) as required under EDGAR (34 CFR Part 80 80.41 and 34 C.F.R. Part 75, 75.720 74.50). Final reports are made at the end of the project period. Cash reports are not applicable. Progress is monitored through the grantee's APR. Expenditure reports are not applicable. Program performance is monitored through APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its grant, as stated in award terms and conditions.

**Account Identification:**

91-0300-0-1-500.

**Obligations:**

(Project Grants) FY 11 \$46,846,000; FY 12 est \$43,917,000; and FY 13 est \$45,011,000

**Range and Average of Financial Assistance:**

For 2011, the range of awards is expected to be between \$500,000 and \$1,750,000; the average award is expected to be about \$1,000,000, excluding outlying areas.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no implementing regulations for the State Personnel Development Grants program. However, the Notice of Final Priority published in the Federal Register on May 20, 2011 at 76.F.R. 29221, sets out the regulatory requirements that are applicable to this program, and the Secretary considers only applications that conform to the absolute priority for this program set out in the FY 2011 Notice of Final Priority for this program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Coffey, Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., SW, Washington, District of Columbia 20202  
Email: jennifer.coffey@ed.gov Phone: (202) 245-6673.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.324 RESEARCH IN SPECIAL EDUCATION****FEDERAL AGENCY:**

Institute of Education Sciences, Department of Education

**AUTHORIZATION:**

Education Sciences Reform Act of 2002, Part E.

**OBJECTIVES:**

To support scientifically rigorous research contributing to the solution of specific early intervention and education problems associated with children with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for research on children with or at risk for disabilities and training in special education research.

**Applicant Eligibility:**

Applicants that have the ability and capacity to conduct scientifically valid research are eligible to apply. Eligible applicants include, but are not limited to, non-profit and for-profit organizations and public and private agencies and institutions, such as colleges and universities.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities or at risk for disabilities benefit from this research.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard Form 424, "Application for Federal Assistance," an application narrative, and required certificates must be submitted by the date specified in the Federal Register.

**Award Procedure:**

Applications will be reviewed by panels of field readers in accordance with 20 U.S.C. 9501 et seq. Education Sciences Reform Act of 2002 section 175.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

240 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are based on the review of annual performance reports and the recommendation of the project officer. All renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from 1 to 5 years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual financial and progress reports must be submitted as required by grant award terms and conditions. Cash reports are not applicable. Annual progress and performance reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor drawdowns using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

**Account Identification:**

91-1100-0-1-500.

**Obligations:**

(Project Grants) FY 11 \$53,213,000; FY 12 est \$49,905,500; and FY 13 est \$49,905,500

**Range and Average of Financial Assistance:**

Average grant award: FY 11: \$565,905; FY12: \$541,000; FY 13: No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: <http://ies.ed.gov/ncser/projects>. Fiscal Year 2012: Refer to Funding Opportunities home page of the Institute website: <http://ies.ed.gov/funding/>. Fiscal Year 2013: Refer to Funding Opportunities home page of the Institute website: <http://ies.ed.gov/funding/>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR 34 CFR 74, 77, 80, 81, 82, 84, 85, 86 (Part 86 applies only to IHEs), 97, 98, and 99. In addition 34 CFR 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robert Ochsendorf, Department of Education, Institute of Education Sciences, National Center for Special Education Research, Office of the Commissioner, 400 Maryland Ave, S.W., Washington, District of Columbia 20202 Email: [Robert.Ochsendorf@ed.gov](mailto:Robert.Ochsendorf@ed.gov) Phone: (202) 219-2234.

**Website Address:**

<http://ies.ed.gov/ncser>.

**RELATED PROGRAMS:**

84.305 Education Research, Development and Dissemination

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: <http://ies.ed.gov/ncser/projects>. Fiscal Year 2012: <http://ies.ed.gov/ncser/projects>. Fiscal Year 2013: Refer to Funding Opportunities home page of the Institute web site: <http://ies.ed.gov/funding/>.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are contained in the Request for Applications that announces the competition. The Request for Applications is posted on the Funding Opportunities home page of the Institute web site: <http://ies.ed.gov/funding/>.

**84.325 SPECIAL EDUCATION - PERSONNEL DEVELOPMENT TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act, Part D, Subpart 2, Section 662, 20 U.S.C 1462.

**OBJECTIVES:**

The purposes of this program are to (1) help address State-identified needs for highly qualified personnel--in special education, related services, early intervention, and regular education--to work with infants, toddlers, and children with disabilities; and (2) ensure that those personnel have the necessary skills and knowledge, derived from practices that have been determined through scientifically based research and experience, to be successful in serving those children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to prepare personnel to serve children with both low and high-incidence disabilities, leadership personnel, and for special projects. Awards are made only to eligible applicants that meet State and professionally recognized standards for the preparation of special education and related services personnel, if the purpose of the project is to assist personnel in obtaining degrees.

**Applicant Eligibility:**

State educational agencies, local education agencies, public charter schools that are LEAs under State law, institutions of higher education, other public agencies, private nonprofit organizations, outlying areas, Indian tribes or tribal organizations, and, if approved by the Secretary, for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities are the primary beneficiaries under this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this



program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award, if the recipient has made substantial progress in meeting the goals of the project, subject to the availability of appropriations. (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: A recipient of a grant, contract, or cooperative agreement may be required to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).).

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.51-53. Expenditure reports are monitored through the APR. Performance reports are monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award, as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion. (34 CFR 74.53 and 34 CFR 75.730-732).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$88,465,714; FY 12 est \$88,298,799; and FY 13 est \$85,799,000

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 304, Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77,79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bonnie Jones, Department of Education, OSERS Office of Special Education Programs, Potomac Center Plaza, 550 12th Street, SW, , Washington, District of Columbia 20202 Email: bonnie.jones@ed.gov Phone: (202) 245-7395.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.326 SPECIAL EDUCATION TECHNICAL ASSISTANCE AND DISSEMINATION TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part D, Subpart 2, Section 663, 20 U.S.C 1463.

**OBJECTIVES:**

The purpose of the Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities program is to promote academic achievement and to improve results for children with disabilities by providing technical assistance, supporting model demonstration projects, disseminating useful information, and implementing activities that are supported by scientifically based research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

State educational agencies (SEAs), local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas,

freely associated States, Indian tribes or tribal organizations, and, if approved by the Secretary, for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations. (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: The Department may require a recipient of a grant, contract, or cooperative agreement to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A)).  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years; subject to the availability of appropriations. See the following for information on how assistance is awarded/released:  
Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the grantee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits

acquired under its award as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion. (34 CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants (Capacity Building and Complaint Processing, Training)) FY 11 \$48,806,192; FY 12 est \$46,781,000; and FY 13 est \$46,781,000

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Est. New Projects Funded: 5. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kelly Worthington, Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: kelly.worthington@ed.gov Phone: (202) 245-7581.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.327 SPECIAL EDUCATION TECHNOLOGY AND MEDIA SERVICES FOR INDIVIDUALS WITH DISABILITIES**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part D, Subpart 3, Section 674.

**OBJECTIVES:**

The purposes of the Technology and Media Services for Individuals with Disabilities program are to: (1) improve results for children with disabilities by promoting the development, demonstration, and use of technology; (2) support educational media services activities designed to be of educational value in the classroom setting to children with disabilities; and (3) provide support for captioning and video description that are appropriate for use in the classroom setting.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

State educational agencies (SEAs), local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and, if approved by the Secretary, for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities and their families benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: A recipient of a grant, contract, or cooperative agreement may be required to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A).)

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years, subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award, as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion. (34 CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$28,643,598; FY 12 est \$29,587,973; and FY 13 est \$29,587,973

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education General Administrative Regulations (EDGAR) 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michael Slade Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: michael.slade@ed.gov Phone: (202) 245-7527

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.328 SPECIAL EDUCATION\_PARENT INFORMATION CENTERS FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended., Part D, Subpart 3, Section 671-673, 20 U.S.C 1471-1473.

**OBJECTIVES:**

The purpose of the program is to ensure that parents of children with disabilities receive training and information to help improve results for their children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Parent organizations, as defined in Section 671(a)(2) of the Individuals with Disabilities Education Act are eligible for parent center awards under IDEA sections 671 and 672. For section 672 funding, these parent centers must meet additional conditions set forth in section 672. For IDEA section 673 State educational agencies (SEAs) local educational agencies (LEAs), public charter schools that are LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and, if the Secretary approves, for-profit organizations.

**Beneficiary Eligibility:**

Infants, toddlers and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award, if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations (See 34 CFR 75.253).

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: The Department may require a recipient of a grant, contract, or cooperative agreement to share in the cost of a project. (See 20 U.S.C. 1482 (a)(2)(A)).  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years; subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on annual basis. Final reports shall be made at the end of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally, records related to grant funds, compliance, and performance must be maintained for a period of five years after completion (34 CFR 75.721).

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$27,971,944; FY 12 est \$28,917,243; and FY 13 est \$28,917,243

**Range and Average of Financial Assistance:**

The range and average vary by competition.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), 34 CFR 74, 75, 77, 79, 80, 81, 82, 85, and 86.

**Regional or Local Office:**

None.

**Headquarters Office:**

Gail Houle, Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202  
Email: gail.houle@ed.gov Phone: (202) 245-7381.

**Website Address:**

<http://www.ed.gov/about/offices/list/osers/osep/index.html>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.329 Special Education\_Studies and Evaluations; 84.373 Special Education\_Technical Assistance on State Data Collection

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210, and announced in the application package or the application notice in the Federal Register.

**84.329 SPECIAL EDUCATION\_STUDIES AND EVALUATIONS  
FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Section 664,

20 U.S.C 1464.

**OBJECTIVES:**

To assess the progress in implementing the Individuals with Disabilities Education Act, including State and local efforts to provide (1) Free appropriate public education to children with disabilities; and (2) early intervention services to infants and toddlers with disabilities who would be at risk of having substantial developmental delays if early intervention services were not provided.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

A State educational agency, a local educational agency, an institution of higher education, any other public agency, a private non-profit organization, an outlying area, an Indian tribe or tribal organization (as defined under section 4 of the Indian Self-Determination and Education Assistance Act), and a for-profit organization, if the Secretary finds it appropriate in light of the purposes of a particular competition for a grant, contract, or cooperative agreement. The Department may limit the entities eligible for an award to categories of these eligible entities.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities, and other individuals with disabilities, and their families benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be reviewed by a panel of experts.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award, depending upon the availability of appropriations. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from one to five years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the project period. Cash balance reports will be required annually.

Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant.

**Account Identification:**

91-1100-0-1-500.

**Obligations:**

(Project Grants) FY 11 \$11,437,080; FY 12 est \$11,415,384; and FY 13 est \$11,415,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jonathan Jacobson, Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: jonathan.jacobson@ed.gov Phone: (202) 208-3876.

**Website Address:**

<http://ies.ed.gov/ncee>

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.184 Safe and Drug-Free Schools and Communities\_National Programs; 84.324 Research in Special Education; 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: "Design of an Impact Evaluation of School-Wide Positive Behavior Supports". Fiscal Year 2013: The Department expects to release contract solicitations for two contract activities under this program in FY 2013. The solicitations will be announced on the Federal Business Opportunities website ([www.fbo.gov](http://www.fbo.gov)).

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.330 ADVANCED PLACEMENT PROGRAM (ADVANCED PLACEMENT TEST FEE; ADVANCED PLACEMENT INCENTIVE PROGRAM GRANTS)**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title I, Part G.

**OBJECTIVES:**

To award grants to State educational agencies, local educational agencies, and national nonprofit educational organizations with expertise in advanced placement services to support State and local efforts to increase access to advanced placement classes and tests for low-income students and to award grants to State educational agencies to cover part or all of the cost of test fees for students from low-income families enrolled in advanced placement courses.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Advanced Placement (AP) Incentive program provides grants to eligible entities for activities that increase the participation of students from low-income families in both pre-advanced placement and advanced placement courses and tests, including teacher training and course development, coordination, and articulation. The AP Test Fee program provides awards to enable States to cover all or part of the cost of test fees for students from low-income families who are enrolled in advanced placement classes. The Elementary and Secondary Education Act requires the Secretary to give priority to funding the Advanced Placement Test Fee program, with remaining funds allocated to Advanced Placement Incentive Grants.

**Applicant Eligibility:**

State educational agencies, local educational agencies, and national nonprofit educational organizations with expertise in advanced placement services may apply for AP Incentive grants. State educational agencies may apply for grants under the AP Test Fee program.

**Beneficiary Eligibility:**

Students from low-income families who are enrolled in an advanced placement class and plan to take an advanced placement test and their teachers benefit.

**Credentials/Documentation:**

The AP Test Fee program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 for State and local governments and OMB Circular No. A-122 for non-profit organizations apply to the AP Incentive program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should secure grant application forms and prepare and address submissions according to directions published in the Federal Register.

**Award Procedure:**

Applications for AP Test Fee are reviewed by Department of Education staff. The selection of AP Test Fee grantees is noncompetitive. Selection of AP Incentive grantees is competitive and based on a nonfederal review of applications using selection criteria published in a notice in the Federal Register. Final decisions on grants are made by the Secretary after considering statutory and other applicable requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 120 days after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Awards under the AP Test Fee program are made for one year only. Awards

under the AP Incentive program are made for a period of up to 3 years; after the first year, grantees may receive annual continuations contingent on project performance and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: A matching requirement applies to the AP Incentive program. Matching requirements are not applicable to the AP Test Fee program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for one year for the AP Test Fee program, and for up to 3 years for the AP Incentive program, contingent on performance and availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Reporting requirements are included in the final grant documents. Grantees also may be subject to national evaluation performed by the Department of Education. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional audit requirements may be specified in the grant award documents.

**Records:**

Records are to be maintained as indicated in the grant award document.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$43,253,320; FY 12 est \$30,027,064; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY11 average AP Test Fee award: \$542,883

FY11 average new AP Incentive award: \$529,025.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 75, 77, 79, 80, 81, 82, 85, 86, and 99. Applicants should contact the headquarters or regional office, as appropriate for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Braden Goetz Department of Education, OESE Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: braden.goetz@ed.gov Phone: (202) 260-0982

**Website Address:**

AP Test Fee program: <http://www.ed.gov/programs/apfee/index.html>, AP Incentive program: <http://www.ed.gov/programs/apincent/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Interested parties should contact the Headquarters Office as listed above for information on funded projects. Fiscal Year 2012: Interested parties should contact the Headquarters Office as listed above for information on funded projects. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection process for AP Test Fee grants is noncompetitive; no selection criteria are used and applicants that submit applications meeting applicable requirements will receive awards.

Selection of AP Incentive grantees is competitive and based on a nonfederal review of applications using selection criteria published in a notice in the Federal Register.

**84.331 GRANTS TO STATES FOR WORKPLACE AND COMMUNITY TRANSITION TRAINING FOR INCARCERATED INDIVIDUALS****FEDERAL AGENCY:**

Office of Vocational and Adult Education, Department of Education

**AUTHORIZATION:**

Higher Education Act Amendments of 1998, as amended, Title VIII, Part D, 20 USC 1151.

**OBJECTIVES:**

To assist and encourage incarcerated individuals who have obtained a secondary school diploma or its recognized equivalent to acquire educational and job skills through coursework in order to prepare such individuals to pursue a postsecondary education certificate, an associates degree, or bachelors degree while in prison; and to provide them with employment counseling and other related services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State correctional education agencies that receive a grant use funds to assist and encourage incarcerated individuals who have obtained a secondary school diploma or its recognized equivalent to acquire educational and job skills through coursework to prepare such individuals to pursue a postsecondary education certificate, an associates degree, or bachelors degree while in prison; and to provide them with employment counseling and other related services. Educational and related services must start during the period of incarceration in prison or prerelease; the related services may continue for not more than two years after release from confinement.

**Applicant Eligibility:**

State correctional education agencies, as designated by the Governor of any of the 50 States, the Commonwealth of Puerto Rico, District of Columbia, Guam, American Samoa, the Virgin Islands, and the Northern Mariana Islands, may apply.

**Beneficiary Eligibility:**

Individuals who: (1) are incarcerated in a State prison; (2) are eligible to be released or paroled within 7 years; (3) are 35 years of age or younger; (4) were not convicted of certain crimes; and (5) have obtained a secondary school diploma or its equivalent.

**Credentials/Documentation:**

A State plan is required. The State plan must include a certification from a State official that all provisions and amendments thereto are consistent with the Act. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Department of Education will provide guidance on specific issues and technical assistance in the preparation of State Plans. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each designated State correctional education agency must submit to the Secretary of Education a State plan, which sets forth the procedures under which the State will carry out activities to achieve its program objectives and priorities and fulfill the purposes of the Act.

**Award Procedure:**

The Secretary approves the State Plan and any amendment thereto and makes allocations to the State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range is approximately 4 weeks from the date of application receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: 20 USC 1151. From the amount appropriated, the Secretary allots to each State an amount that bears the same relationship to the amount appropriated as the total number of eligible individuals in each State bears to the total number of eligible individuals in all States.

Matching Requirements: There is no matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made for a 12-month period. Funds must be expended within 27 months of their date of availability. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual Financial and Program Performance Reports in accordance with the statutory requirements of the program and the provisions in EDGAR. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with Section 443 of the General Education Provisions Act, grantees must maintain records for 3 years.

**Account Identification:**

91-0400-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No additional funding expected for FY 2012 and 2013.

**Range and Average of Financial Assistance:**

FY 10 Range: \$24,714 - \$2,113,155; Average: \$350,735.

FY 11 Range: N/A

FY 12 Range: \$24,714 - \$2,113,155; Average: \$350,735.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The provisions of Title VIII, Part D of the Higher Education Amendments of 1998, the requirements of the General Education Provisions Act (GEPA), and the Education Department General Administrative Regulations (EDGAR), Parts 67, 77, 79, 80, 81, 82, 85, and, 86 apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

John Linton, Department of Education, OVAE 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: john.linton@ed.gov Phone: (202) 245-6592.

**Website Address:**

<http://www.ed.gov/programs/transitiontraining/index.html>

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States; 84.048 Career and Technical Education -- Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.334 GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS**

(GEAR-UP)

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 2.

**OBJECTIVES:**

Provides 6-or 7-year grants to States and partnerships to provide support, and maintain a commitment, to eligible low-income students, including students with disabilities, to help the students obtain a secondary school diploma (or its recognized equivalent) and to prepare for, and succeed in, postsecondary education. GEAR UP has two major service components. All projects provide a comprehensive set of early intervention services including mentoring, tutoring, academic and career counseling, services to increase parental involvement, and other college preparation activities like exposure to college campuses and financial aid information and assistance. Some projects provide college scholarships to participating students.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

(1) State Grants. States receiving funds are required (unless they receive a waiver) to provide both the early intervention services and a scholarship component, targeted to low-income students in grades K-12. At least 50 percent, but not more than 75 percent, of the grant funds must be used to provide scholarships to participating students. Conversely, at least 25 percent, but not more than 50 percent, of the funds must be used for required and permissible activities. To meet the matching requirement, States must cover at least 50 percent of the project costs with cash or in-kind contributions from non-Federal sources. (2) Partnership Grants. Eligible partnerships consist of one or more local educational agencies and one or more degree granting institutions of higher education and not less than two other community organizations or entities such as businesses, professional organizations, State agencies, institutions, or other public or private agencies or organizations. Partnerships receiving funds are not required to provide a scholarship component. However, they are required to provide services to at least one cohort or grade level of students beginning no later than the 7th grade, in a school that has a 7th grade, and in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch, or to an entire grade level of students, not later than the 7th grade, who reside in public housing.

This program is subject to non-supplanting requirements and must use a restricted indirect cost rate, which is referenced under 34 CFR 76.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

A State, or a partnership consisting of one or more local educational agencies one or more degree granting institutions of higher education; and at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, parent groups, and/or nonprofit organizations.

**Beneficiary Eligibility:**

Low-income students and students in high-poverty schools.

**Credentials/Documentation:**

OMB Circular No. A-21 applies. OMB Circular No. A-122 applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies are available on the web page and will also be mailed upon request.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education, and State, and local education agencies having expertise in elementary, secondary, and higher education.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The statute requires a cash or in-kind match from non-Federal sources.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for up to 7 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual performance and financial reports are required. Cash reports are not applicable. Annual performance reports are required as part of the submittal of form ED 524B. Annual expenditures reports are required as part of the submittal of form ED 524B. Staff also monitor grant drawdown using agency financial reports. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

EDGAR for direct grant programs (34 CFR part 75). Generally, records related to grant funds, compliance and performance must be maintained for a period of 3 years after completion of the grant.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$300,783,000; FY 12 est \$299,841,000; and FY 13 est \$299,842,000



**Range and Average of Financial Assistance:**

State grants: Average award in FY 11, \$3,584,000. Partnership grants: Average award in FY 11, \$1,491,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations, EDGAR; 34 CFR 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99 and 34 CFR Part 694; OMB Circulars A-21, A-87, A-110, A-122, and A-133.

**Regional or Local Office:**

None.

**Headquarters Office:**

James Davis, Department of Education, Office of Postsecondary Education, 1990 K Street NW, Washington, District of Columbia 20006 Email: james.davis@ed.gov Phone: (202) 502-7802.

**Website Address:**

<http://www.ed.gov/programs/gearup/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.335 CHILD CARE ACCESS MEANS PARENTS IN SCHOOL****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act, as amended, Title IV, Part A, Subpart 7.

**OBJECTIVES:**

To support the participation of low-income parents in postsecondary education through the provision of campus-based child care services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support or establish child care programs serving low-income students enrolled in postsecondary education. Funds may be used to provide before or after school services to the extent necessary to allow students to pursue a postsecondary career. No funds from grants may be used for construction other than minor renovations to meet State or local health or safety needs.

**Applicant Eligibility:**

An institution of higher education is eligible to apply if the total amount of all Federal Pell Grant funds awarded to students enrolled at the institution of higher education for the preceding fiscal year equals or exceeds \$350,000.

**Beneficiary Eligibility:**

Low-income student parents enrolled in postsecondary programs will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which

funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date. An application package is available from the Office of Higher Education Programs. Copies will be mailed upon request.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education and child care providers having expertise in child care service are designated to review application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within 4 months of the deadline for submission of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds and if the grantee has made substantial progress in achieving the objectives outlined in its application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: The grant amount awarded to an institution shall not exceed one percent of the total amount of all Federal Pell Grant funds awarded to students enrolled at the institution of higher education for the preceding fiscal year.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants shall be awarded for a period of 4 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Staff monitor grants drawdown using agency financial reports. No cash reports are required. Progress reports are required. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the award.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$16,001,932; FY 12 est \$5,969,760; and FY 13 est \$15,969,760

**Range and Average of Financial Assistance:**

\$10,000 - \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Josephine Hamilton, Department of Education, Office of Postsecondary Education, Higher Education Programs, 1990 K Street, NW, Washington, District of Columbia 20006 Email: josephine.hamilton@ed.gov Phone: (202) 502-7583.

**Website Address:**

<http://www.ed.gov/programs/campisp/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will be selected from those in the Education Department General Administrative Regulations (EDGAR). Contact the Program Office for more information.

**84.336 TEACHER QUALITY PARTNERSHIP GRANTS**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title II, Part A.

**OBJECTIVES:**

To improve student achievement; improve the quality of new and prospective teachers by improving the preparation of prospective teachers and enhancing professional development activities for new teachers; hold teacher preparation programs at institutions of higher education (IHEs) accountable for preparing highly qualified teachers; and recruit highly qualified individuals, including minorities and individuals from other occupations, into the teaching force.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards may be used to reform teacher preparation programs through either the Pre-Baccalaureate or fifth year initial licensing Program and/or the Teaching Residency Program. Additionally, funded programs have the option of implementing a School Leadership Program as well as establishing a Partnership with a Digital Education Content Developer.

**Applicant Eligibility:**

States and partnerships that consist of at least one institution of higher education, a school, department or program of education within the partner institution, one school of arts and sciences within the partner institution, one high-need local educational agency, and a high-need school or a consortium of high-need schools served by the high-need local educational agency. A high-need local educational agency; is an agency that serves an elementary school or secondary school located in an area containing: (1) A high percentage of individuals or families with incomes below the poverty line, (2) a high percentage of secondary teachers not teaching in the content area that they were trained to teach, or (3) a high teacher turnover rate. An accredited institution of higher education, with a teacher training program must demonstrate the following: (A) A graduate from the teacher training program exhibits strong performance on State-determined qualifying assessments for new teachers through demonstrating that 80 percent or more of the graduates of the program intending to enter the field of teaching have passed all of the applicable State qualification assessments for new teachers including an assessment of each prospective teacher's subject matter knowledge in the content area or areas in which the teacher intends to teach; (B) be ranked among the highest-performing teacher preparation programs in the State as determined by the State; (C) the teacher training program requires all the students of the program to participate in intensive clinical experience that meets high academic standards in the case of secondary candidates to successfully complete an academic major in the subject area in which the candidate intends to teach; (D) competence through a high level of performance in relevant content area; (F)

successful completion of an academic major in the arts and sciences in the case of elementary school candidates, or (G) competence through a high level of performance in core academic subjects areas. (Note: Entities that may constitute a partnership are specifically listed in the Law.).

**Beneficiary Eligibility:**

Students in high-need schools and school districts are the primary beneficiaries.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. In any fiscal year in which funds are available for new awards, the Department of Education publishes a notice in the Federal Register inviting applications and establishing a deadline date.

**Award Procedure:**

Peer review panels composed of representatives from public and private higher education, State and local educational agencies with expertise in teacher education are designated to review applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification usually is made within four months of the deadline for submission of applicants.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal of multi-year projects are processed and funded before those for new projects. Renewals are subject to the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has statutory requirements as follows: eligible partnerships are required to match 100 percent of the grant. Eligible partnerships may submit a request to waive the 100 percent match requirement for the first two years of the grant. The Secretary has the authority to grant this waiver to eligible partnerships as authorized under section 203(c)(2) of the HEA, as amended.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a performance period of five years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, annual financial and progress reports must be submitted as required by grant award terms and conditions. No cash reports are required. Annual progress reports are required as part of the submittal of form ED 524B. Annual expenditure reports are required as part of the submittal of for ED 524B. Staff also monitor drawdowns using agency financial reports. Annual performance monitoring is required as part of the submittal of for ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records supporting claims under a grant must be maintained for 5 years after termination of the awards.

**Account Identification:**

91-0201-0-1-502; 91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$42,914,000; FY 12 est \$42,832,893; and FY 13 est \$0

**Range and Average of Financial Assistance:**

An average award is \$1.5 million per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department made continuation awards to 28 institutions of higher education. Fiscal Year 2012: The Department did not hold a competition for new awards in FY 2012 and anticipates making continuation awards to 28 institutions of higher education. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Peggi Zelinko, Department of Education, Office of Innovation and Improvement, Teacher Quality Programs, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: peggi.zelinko@ed.gov Phone: (202) 260-2614.

**Website Address:**

<http://www2.ed.gov/programs/tqpartnership/index.html>

**RELATED PROGRAMS:**

84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities; 84.350 Transition to Teaching

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No new awards. Continuation award abstracts available at: <http://www2.ed.gov/programs/tqpartnership/2009awards.html>. Fiscal Year 2012: No new awards. Continuation award abstracts available at: <http://www2.ed.gov/programs/tqpartnership/2009awards.html>. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for this information.

**84.343 ASSISTIVE TECHNOLOGY\_STATE GRANTS FOR PROTECTION AND ADVOCACY**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Section 5 of the Assistive Technology Act of 1998, as amended.

**OBJECTIVES:**

To support protection and advocacy services through the systems established to provide protection and advocacy services under the Developmental Disabilities Assistance and Bill of Rights Act for the purpose of assisting in the acquisition, utilization, or maintenance of assistive technology or assistive technology services for individuals with disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to support protection and advocacy services related to

assistive technology services and devices. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 76-564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group at (202) 708-7770.

**Applicant Eligibility:**

Designated protection and advocacy agencies in States and outlying areas only.

**Beneficiary Eligibility:**

Persons with disabilities who may benefit from assistive technology services and devices.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. 34 CFR parts 74 and 80 applies to this program. The standard application forms are furnished by the Office of Special Education and Rehabilitative Services, Rehabilitation Services Administration. Contact the Program Office for more information.

**Award Procedure:**

Applications are reviewed by Department of Education staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

The grantee may appeal to the Office of Administrative Law/Judges (34 CFR part 81).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Funds are distributed on a State population basis, with a minimum annual grant of \$50,000. Territories receive a minimum of \$30,000.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Annual formula grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress reports are required. Quarterly cash reports are required. Progress reports are not applicable. Annual expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As stated in grant or contract terms and conditions, the awardee shall mail accounts, records, and other evidence pertaining to all costs incurred, review

other applicable credits acquired under this grant.

**Account Identification:**

91-0301-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$4,291,400; FY 12 est \$4,291,000; and FY 13 est \$4,291,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for this information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jessica Smith, Department of Education, OSERS Rehabilitation Services Administration, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: jessica.smith@ed.gov Phone: (202) 245-6493.

**Website Address:**

<http://www.rsa.ed.gov/programs.cfm>

**RELATED PROGRAMS:**

84.240 Program of Protection and Advocacy of Individual Rights

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the Program Office for information.

**84.350 TRANSITION TO TEACHING**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title II, Part C, Subpart 1, Chapter B.

**OBJECTIVES:**

To recruit and retain highly qualified midcareer professionals (including highly qualified paraprofessionals) and recent graduates of institutions of higher education, as teachers in high-need schools, including by recruiting teachers through alternative routes to teacher certification and licensure; and to encourage the development and expansion of alternative routes to certification and licensure under State-approved programs that enable individuals to be eligible for teacher certification and licensure within a reduced period of time, relying on the experience, expertise, and academic qualifications of an individual or other factors in lieu of traditional course work in the field of education.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To develop or enhance State and local programs to recruit, select, prepare, place, support, and retain individuals (mid-career individuals, paraprofessionals, and recent college graduates) to become certified and successful teachers in high-need subjects areas and reduce the need for teachers in high-need schools in high-need local education agencies. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

State educational agencies; high-need local educational agencies; for-profit and nonprofit organizations with proven records of effectively recruiting and

retaining highly qualified teachers, in partnership with high-need local educational agencies or State educational agencies; institutions of higher education, in partnerships with high-need local educational agencies or State educational agencies; regional consortia of State educational agencies; and consortia of high-need LEAs.

**Beneficiary Eligibility:**

Eligible participants must be mid-career professionals from various fields who possess strong subject-matter skills to become teachers, including paraprofessionals with two years of classroom experience and postsecondary education or demonstrated competence in a field for which there is a significant shortage of qualified teachers; recent college graduates (who, in order to teach in secondary school will need a major or equivalent in the academic subjects that the individuals will teach). Schools in which the participants must teach are high-need schools operated by high-need LEAs.

**Credentials/Documentation:**

OMB Circular No. A-21 applies to grantees that are institutions of higher education. OMB Circular No. A-122 applies to grantees that are non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicant must submit the following by the designated deadline: (1) The applicant must provide a written narrative which addresses the selection criteria (and the required application content) that reviewers use in evaluating their applications. This Section must be limited to no more than 50 double-spaced pages. (2) Required forms to be submitted with the application include SF-424; Sections A, B, and C of ED Form 524; Assurance - Non Construction Programs; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions.

**Award Procedure:**

Applications are reviewed by the agency for eligibility and completeness. Applications are reviewed and scored by a panel of experts. Applications are ranked according to score by funding category; i.e., national, State, or local applicant. A funding slate is prepared and the highest-funded applications are recommended for funding. Successful and unsuccessful applicants are notified of outcome. Grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to 5 years. Renewals are subject to the availability of appropriations and a grantee's substantial progress. Renewals after 3 years are based on availability of appropriations and progress made based an interim evaluation each project is required to submit.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects may be funded for a period of 36 months. Renewals are subject to the

availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports must be submitted for each budget period in order to receive continuation awards. Performance reports are due 90 days after expiration or termination of the award. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As provided in 34 CFR 80.42, and 74.53, SEAs, LEAs and non-profit organizations must maintain program records for 3 years from the date those agencies submit to the awarding agency its single or last expenditure report for the period for which it received the funds. A longer retention period is required under specified conditions.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$41,124,586; FY 12 est \$26,053,665; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY11: Range: \$87,000 - \$1,930,000; Average: \$450,000.  
No current data available for FY 2012 & FY 2013.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidelines were published in the Federal Register on April 2004. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beatriz Ceja Department of Education, Office of Innovation and Improvement, Teacher Quality Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: beatriz.ceja@ed.gov Phone: (202) 205-5009

**Website Address:**

<http://www.ed.gov/programs/transitionteach/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are included in the full application package and published in the Federal Register notice inviting applications. Contact the program office for more information.

**84.351 ARTS IN EDUCATION**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title V, Part D, Subpart 15.

**OBJECTIVES:**

To provide competitive grants that support the integration of the arts into the elementary and secondary school curriculum, with particular focus on improving the academic achievement of low-income students.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grants are awarded on a competitive basis to support the following types of activities: (1) development and dissemination of model school-based arts education programs; (2) development of model professional development programs in the arts for teachers and administrators; (3) collaborative activities with Federal agencies or institutions involved in arts education, arts educators, and organizations representing the arts; and (4) model programs to integrate arts education into the regular elementary and secondary school curriculum. This program is subject to non-supplanting requirements and must use a restricted indirect cost rate which is referenced under 34 CFR 75.563. For assistance call the Office of Chief Financial Officer/Indirect Cost Group on 202-708-7770.

**Applicant Eligibility:**

State educational agencies; local educational agencies; institutions of higher education; museums and other cultural institutions; and any other public or private agencies, institutions, or organizations.

**Beneficiary Eligibility:**

Arts educators and administrators, and their students benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The applicant must submit the following by the designated deadline: Written narrative addressing the selection criteria and application content; all required forms: SF 424; A,B,C,D of Form 525; Assurances Non-Construction programs; Certification Regarding Lobbying, Debarment and Suspension; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tiered Covered Transactions.

**Award Procedure:**

Applications are reviewed by the agency for eligibility and completeness; applications are reviewed and scored by a panel of experts; and applications are ranked according to raw scores. A funding slate is prepared, and the highest ranked applications are recommended for funding. Successful and unsuccessful applicants are notified of the outcome, and grant awards are prepared and mailed to successful grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to four years. Continuation awards are subject to the availability of appropriations and substantial progress by the grantee.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants under this program may be awarded for up to 48 months. Continuation awards are subject to the availability of funds and substantial progress by the grantee. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Performance Reports are due within six to ten months of the initial award date; these reports are used to determine whether the grantee has made substantial progress toward meeting the project objectives and should or should not receive continuation funding. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of 3 years.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$27,446,996; FY 12 est \$24,952,750; and FY 13 est \$26,500,000

**Range and Average of Financial Assistance:**

Range of new awards: \$100,000 to \$6,700,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Department would award approximately 6 new grants and 54 continuation grants. Fiscal Year 2013: The Department would award approximately 11 new grants and 49 continuation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department of Education General Administrative Regulations (EDGAR). Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Edith Harvey Arts in Education Grants, Department of Education, Office of Innovation and Improvement, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: edith.harvey@ed.gov Phone: (202) 260-1393

**Website Address:**

<http://www2.ed.gov/programs/artsnational/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the Education Department General Administrative Regulations (EDGAR) 34 CFR 75.210.

**84.354 CREDIT ENHANCEMENT FOR CHARTER SCHOOL FACILITIES**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title V, Part B, Subpart 2.

**OBJECTIVES:**

To provide grants to eligible entities to leverage funds through credit enhancement initiatives in order to assist charter schools in using private-sector capital to acquire, construct, renovate, or lease academic facilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant recipients must deposit the funds received under this program (other than funds used for administrative costs) in a reserve account established and maintained by the entity for this purpose. Amounts deposited in such an account must be used by the entity to help charter schools access private-sector capital for acquiring, renovating, or constructing facilities. Reserve accounts must be used for one or more of the following purposes: (1) Guaranteeing, insuring, and reinsuring bonds, notes, evidences of debt, loans, and interests therein; (2) Guaranteeing and insuring leases of personal and real property; (3) Facilitating financing by identifying potential lending sources and encouraging private lending and other similar activities that directly promote lending to, or are conducted for the benefit of, charter schools; and (4) Facilitating the issuance of bonds by charter schools or by public entities for the benefit of charter schools. This may be accomplished by providing technical, administrative, and other appropriate assistance, including the recruitment of bond counsel, underwriters, and potential investors and the consolidation of multiple charter school projects within a single bond issue.

**Applicant Eligibility:**

A public entity, such as a State or local government entity, a private nonprofit entity, or a consortium of such entities may apply.

**Beneficiary Eligibility:**

Public charter schools as defined in Section 5210, ESEA.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, any priorities included in the application notice, and all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. The program office notifies successful applicants of awards and negotiates and awards grants. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

The Department has historically only made one-time awards under this program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds under this program are available for the Department of Education to obligate by September 30 of the fiscal year in which they are appropriated. Once these funds are obligated, they must be expended from the Federal account in five years. In addition, two years after the grantee's receipt of grant funds, the Secretary may collect any or all funds in a reserve account if the grantee has not made substantial progress or is no longer using the funds for their specified purpose. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each grantee under this program annually must submit to the Secretary a report of its operations and activities. Each such annual report must include-- (1) a copy of the most recent financial statements, and any accompanying opinion on such statements, prepared by the independent public accountant reviewing the financial records of the grantee; (2) a copy of any report made on an audit of the financial records of the grantee that was conducted during the reporting period; (3) an evaluation by the grantee of the effectiveness of its use of the Federal funds in leveraging private funds; (4) a listing and description of the charter schools served during the reporting period; (5) a description of the activities carried out by the grantee to assist charter schools; and (6) a description of the characteristics of lenders and other financial institutions participating in the activities undertaken by the grantee during the reporting period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$10,035,836; FY 12 est \$11,035,836; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range: \$2,671,388 - \$15,000,000. Average: \$8,557,129.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department awarded one new grant. Fiscal Year 2012: The Department awarded one supplemental award and two new grants. Fiscal Year 2013: The Administration is not requesting separate funding for this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristin Lundholm Department of Education, Office of Innovation and Improvement, Parental Options and Information, 400 Maryland Ave., SW., Washington, District of Columbia 20202 Email: kristin.lundholm@ed.gov Phone: (202) 205-4352

**Website Address:**

<http://www.ed.gov/programs/charterfacilities/index.html> .

**RELATED PROGRAMS:**

84.282 Charter Schools

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The sole grantee created a fund that provides direct lending to charter schools and a fund that directly credit enhances tax-exempt municipal bonds, mortgages, and leasehold improvement loans for charter school facilities. Fiscal Year 2012: One new grantee plans to issue guarantees on behalf of charter schools to guarantee a portion of a loan or bond made to improve their school facilities. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. For additional information contact the program office.

**84.356 ALASKA NATIVE EDUCATIONAL PROGRAMS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title VII, Part C.

**OBJECTIVES:**

To support projects that recognize and address the unique educational needs of Alaska Native students and to support supplemental education programs that benefit Alaska Natives.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable activities include, but are not limited to: (1) the development of curricula and education programs that address the educational needs of Alaska Native students; (2) the development and operation of student enrichment programs in science and mathematics; (3) professional development activities for educators; (4) family literacy services; and (5) dropout prevention programs.

An eligible entity may use not more than 5 percent of the funds received under this program for the administrative costs of carrying out its responsibilities under this Subpart.

**Applicant Eligibility:**

Alaska Native organizations, education entities with experience in developing or operating Alaska Native programs or programs of instruction conducted in Alaska Native languages, cultural and community-based organizations with experience in developing or operating programs to benefit Alaska Natives, and consortia of organizations may apply. A State educational agency (SEA) or local educational agency (LEA) may apply as part of a consortium involving an Alaska Native organization. The consortia may include other eligible applicants.

**Beneficiary Eligibility:**

Alaska Natives as defined in the Alaska Native Claims Settlement Act.

**Credentials/Documentation:**

This program is included under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point

of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

**Award Procedure:**

The Department of Education awards these grants on a competitive basis. Applications are reviewed and ranked by a panel of outside reviewers. The Program Office notifies successful applicants of awards and negotiates and awards grants. Contact the Program Office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

**Renewals:**

Renewals are subject to the availability of appropriations and substantial progress by the grantee.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds under this program are available for the Department of Education to obligate by September 30 of the fiscal year for which they are appropriated. Once these funds are obligated, they must be expended from the Federal account by September 30 of the subsequent fiscal year. In addition, two years after the grantee's receipt of grant funds, the Secretary may collect any or all funds in a reserve account if the grantee has not made substantial progress or is no longer using the funds for their specified purpose. Continuation awards are subject to the availability of appropriations and adequate progress on project implementation. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Each eligible entity receiving a grant under this program annually shall submit to the Secretary a report of its operations and activities. Each annual report shall include: (1) An executive summary; (2) information on project status; (3) budget information; and (4) supplemental information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years after the end of the grant.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$33,248,370; FY 12 est \$33,185,161; and FY 13 est \$33,185,161

**Range and Average of Financial Assistance:**

Range of new awards: \$200,000-\$1,000,000; Average new award: \$550,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Department will award approximately 38 new grants and 21 continuation grants. Fiscal Year 2013: The Department would award approximately 2 new grants and 61 continuation grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Almita Reed Department of Education, OESE School Improvement Programs, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: almita.reed@ed.gov Phone: (202) 260-1979

**Website Address:**

<http://www.ed.gov/programs/alaskanative/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Galena School City District applied for a grant to fund Project LEARN (Literacy Enables Achievement Results Now). Project LEARNs focus is on accelerating literacy achievement in the community's high school students, especially the Alaska Native students attending the Galena Interior Learning Academy (GILA), a public boarding school serving nearly 200 high school students from across Alaska and 50 high school students from Sidney Huntington School. The goal of the project is to increase the literacy skills of Alaska Native students attending the Galena Interior Learning Academy so that they will be prepared for post-secondary education.

The Kenaitze Indian Tribe applied for funding to support programs for Alaska Native children, including preparing students for successful entry into Kindergarten, providing age-appropriate, culturally relevant educational programs and language skills development; and improving parent/family support for social/emotional and cognitive development in pre-school children. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.358 RURAL EDUCATION**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Title VI, Part B.

**OBJECTIVES:**

To provide financial assistance to rural districts to carry out activities to help improve the quality of teaching and learning in their schools.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grantees under the Small, Rural School Achievement (SRSA) program component may use program funds to carry out activities authorized under:



ESEA Title I-Part A (Grants to LEAs); Title II- Part A (Improving Teacher Quality State Grants); Title II-Part D (Educational Technology State Grants); Title III (Language Instruction for Limited English Proficient and Immigrant Students); Title IV-Part A (Safe and Drug-Free Schools and Communities State Grants); Title IV-Part B (21st Century Community Learning Centers); and Title V-Part A (State Grants for Innovative Programs). Grantees under the Rural and Low-Income School (RLIS) program component may use program funds for: teacher recruitment and retention; teacher professional development; educational technology; parental involvement activities; activities authorized under ESEA Title IV-Part A (Safe and Drug-Free Schools and Communities); activities authorized under ESEA Title I-Part A (Grants to LEAs); and activities authorized under ESEA Title III (Language Instruction for Limited English Proficient and Immigrant Students). This program is subject to non-supplanting requirements and must use a restricted indirect cost rate that is referenced under 34 CFR 75.564-76.569. For assistance call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

For SRSA, eligible recipients are local educational agencies (LEAs) in which (1) the total number of students in average daily attendance at all of the schools served by the LEA is less than 600 or where each school in the LEA is located in a county with a total population density of less than 10 persons per square mile; and (2) all of the schools served by the LEA are designated as rural by the U.S. Department of Education's National Center for Education Statistics (NCES) using the NCES school locale methodology in place at the time of enactment of the No Child Left Behind Act or the LEA is located in an area of the State defined as a rural by a State governmental agency. For the RLIS, eligible recipients are State educational agencies (SEAs). SEAs then must distribute funds to local educational agencies (LEAs) on a formula or competitive basis. An LEA is eligible to receive a grant under this program only if (1) it is not eligible for funds under the SRSA; (2) at least 20% of the school children ages 5-17 in the LEA come from families with incomes below the poverty line; and (3) all of the schools served by the LEA are designated with a school locale code of 6, 7, or 8 under the NCES school locale methodology in place at the time of NCLB's enactment. If an SEA chooses not to participate in the program, the Secretary uses the State's allocation to make direct grants to eligible LEAs in the State.

**Beneficiary Eligibility:**

Elementary and secondary schools, students, and teachers in rural schools.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. LEAs annually submit applications to the Department of Education. For the SRSA, however, the Department considers the application requirement to be met if the LEA submitted an application in any prior year. Application forms and instructions are available from the headquarters office. For the RLIS, an SEA must submit an application that includes specific, measurable goals and objectives for the activities to be carried out through the grant. If an SEA does not participate in the program, eligible LEAs in the State may submit an application directly to the Department.

**Award Procedure:**

For SRSA, awards are issued annually directly to eligible LEAs on a formula basis. Awards are made to all that apply and meet the applicable requirements of the Act. Contact the program office for more information. For RLIS, awards are issued annually to SEAs, which make subgrants to LEAs. Awards are made to all SEAs that apply and meet the applicable requirements of the Act. If an SEA does not participate, awards are issued to eligible LEAs in the State either competitively or by formula.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: ESEA Title VI, Part B, Sections 6212(b) and Section 6221(a)2. Funds appropriated for the program are divided equally between SRSA and RLIS.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for 1 year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual financial and performance reports are due within 90 days of the termination of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained 3 years after the completion of the activity for which grant funds were used.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$174,532,236; FY 12 est \$179,192,685; and FY 13 est \$179,193,000

**Range and Average of Financial Assistance:**

Range of new awards for SRSA: \$34 - \$60,000; Average new award for SRSA: \$21,000

Range of new subgrants for RLIS: \$1,000 - \$513,000; Average new subgrants for RLIS: \$43,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department awarded 4,195 SRSA grants and 43 RLIS grants to States for 1,797 subgrants to LEAs. Fiscal Year 2012: The Department awarded 4,296 SRSA grants and 44 RLIS grants to States for 2,042 subgrants to LEAs. Fiscal Year 2013: The Department would award approximately 4,312 SRSA grants and 45 RLIS grants to States for 2,409 subgrants to LEAs.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 79, 80, 81, 82, 85, 97, 98 and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eric Schulz, Office of Elementary and Secondary Education, Department of Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: reap@ed.gov Phone: (202) 260-7349.

**Website Address:**

<http://www.ed.gov/programs/reapsrsa/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

See Applicant Eligibility (081), Application Procedure (092), and Award Procedure (093).

**84.360 HIGH SCHOOL GRADUATION INITIATIVE**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part H.

**OBJECTIVES:**

To support effective, sustainable and coordinated dropout prevention and reentry programs in high schools with annual dropout rates that exceed their State average annual dropout rate. Middle schools that have students who continue on to these high schools are also supported.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant recipients must implement proven strategies for reducing the number of students who drop out before completing secondary school and for assisting youth to reenter school after they have dropped out. These strategies may include: (1) identifying students at risk of dropping out; (2) providing at-risk students with services designed to prevent them from dropping out; (3) identifying and encouraging youth who already have dropped out to reenter school; and (4) implementing other comprehensive reform approaches.

**Applicant Eligibility:**

State educational agencies (SEAs) and local educational agencies (LEAs) serving communities with dropout rates above the State's average annual dropout rate are eligible to apply for funding.

**Beneficiary Eligibility:**

School administrators, teachers, students, out-of-school youth, and parents are beneficiaries.

**Credentials/Documentation:**

Information to support annual dropout rate calculations is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the requirements in a notice published in the Federal Register.

**Award Procedure:**

Selection of grantees is competitive and based on a nonfederal review of applications using selection criteria published in a notice in the Federal Register.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 8-12 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are made for a period of not more than 5 years; after the first year, grantees may receive annual continuations contingent on project performance and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a period of not more than 5 years; after the first year, grantees may receive annual continuations contingent on project performance and availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR 75 unless otherwise specified in the award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Generally, records related to grant funds, compliance, and performance must be maintained for a period of 3 years after completion.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$48,902,000; FY 12 est \$48,809,575; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Average new award: \$1,607,265.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR, Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. Applicants should contact the headquarters or regional office, as appropriate, for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Theda Zawaiza, Department of Education, OESE, 400 Maryland Ave., S.W. Room 3E122, Washington, District of Columbia 20202 Email: theda.zawaiza@ed.gov Phone: (202) 205-3783.

**Website Address:**

<http://www.ed.gov/programs/dropout/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Interested parties should visit the website address provided above for examples of funded projects. Fiscal Year 2012: Interested parties should visit the website address provided above for examples of funded projects. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection of grantees is competitive and based on a nonfederal review of

applications using selection criteria published in a notice in the Federal Register.

### **84.361 VOLUNTARY PUBLIC SCHOOL CHOICE**

#### **FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

#### **AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title V, Part B, Subpart 3.

#### **OBJECTIVES:**

To support efforts to establish or expand public school choice programs to provide parents, particularly parents whose children attend low-performing public schools, with expanded education options for their children's education.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

An eligible entity that receives a grant under this subpart may use the grant funds for: (1) planning or designing a program (for not more than 1 year); (2) making tuition transfer payments to public elementary schools or secondary schools to which students transfer under the program; (3) capacity-enhancing activities that enable high-demand public elementary or secondary schools to accommodate transfer requests under the program; (4) carrying out public education campaigns to inform students and parents about the program; and (5) other costs reasonably necessary to implement the program. Grantees may not use the grant funds for school construction, and may use not more than 5 percent of the funds made available through the grant for any fiscal year for administrative expenses.

#### **Applicant Eligibility:**

State educational agencies (SEAs); local educational agencies (LEAs); and partnerships of either (a) one or more SEAs and (b) one or more LEAs or other public, for-profit, or nonprofit entities; or (a) one or more LEAs and (b) one or more public, for-profit, or nonprofit entities.

#### **Beneficiary Eligibility:**

Public school students.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and all required assurances and signatures.

#### **Award Procedure:**

The Department of Education awards these grants on a competitive basis. The program office notifies successful applicants of awards, negotiates final budgets, and awards grants. Contact the Headquarters Office as listed below for more information.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days

following the application deadline.

#### **Appeals:**

The General Education Provisions Act hearing procedures regarding recovery of funds are applicable to this program.

#### **Renewals:**

Continuation awards are subject to the availability of appropriations.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Awards may be made for up to 5 years. Continuation awards are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

#### **Reports:**

As part of the continuation funding process, grantees must submit performance reports annually. Final performance reports must be submitted within 90 days of the end of the grant award period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The financial records of each eligible entity receiving a grant under this subpart shall be maintained in accordance with generally accepted accounting principles and shall be subject to an annual audit by an independent public accountant.

#### **Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

#### **Account Identification:**

91-0204-0-1-501.

#### **Obligations:**

(Project Grants) FY 11 \$25,767,362; FY 12 est \$0; and FY 13 est \$0

#### **Range and Average of Financial Assistance:**

Range of awards: \$720,000-\$2,640,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Jeanne Gilroy, Department of Education, Office of Innovation and Improvement Parental Options and Information 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: jeanne.gilroy@ed.gov Phone: (202) 205-5482.

#### **Website Address:**

<http://www.ed.gov/programs/choice/index.html>

#### **RELATED PROGRAMS:**

84.282 Charter Schools

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Interested parties should contact the Headquarters Office as listed above for information on funded projects. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are

used to evaluate applications.

## **84.362 NATIVE HAWAIIAN EDUCATION**

### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

### **AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title VII, Part B.

### **OBJECTIVES:**

To develop innovative educational programs to assist Native Hawaiians and to supplement and expand programs and authorities in the area of education.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Program funds may be used to carry a variety of authorized activities including, but not limited to: (1) early education and care programs, (2) family-based education centers, (3) beginning reading and literacy programs, (4) activities to address the needs of gifted and talented Native Hawaiian students, (5) professional development for educators, and (6) activities to enable Native Hawaiian students to enter and complete postsecondary education programs. An eligible entity may use not more than 5 percent of the funds received under this program for the administrative costs of carrying out its responsibilities under this subpart.

### **Applicant Eligibility:**

Eligible applicants include: (1) Native Hawaiian educational organizations and community-based organizations; (2) public and private nonprofit organizations, agencies, and institutions with experience in developing or operating Native Hawaiian programs or programs of instruction in the Native Hawaiian language; or (3) consortia of the organizations, agencies, and institutions described above.

### **Beneficiary Eligibility:**

Native Hawaiian children and adults.

### **Credentials/Documentation:**

This program is included under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with a notice published in the Federal Register. By the due date, eligible applicants must submit to the Department of Education a complete application that addresses the purposes of the program, the selection criteria, and any priorities included in the application notice, and includes all required assurances and signatures.

### **Award Procedure:**

The Department of Education awards these grants on a competitive basis. Applications are reviewed and ranked by a panel of outside reviewers. The program office notifies successful applicants of awards and awards grants. Contact the program office for more information.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

### **Appeals:**

Not Applicable.

### **Renewals:**

Renewals are subject to the availability of appropriations.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Awards are made for a period of up to three years; continuation awards are based on the availability of appropriations and adequate progress on project implementation. See the following for information on how assistance is awarded/released: Electronic transfer.

### **Reports:**

Each eligible entity receiving a grant under this program annually must submit to the Department a report of its operations and activities. Each such annual report must include: (1) an executive summary; (2) information project status; (3) budget information; and (4) supplemental information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for three years after the end of the grant.

### **Account Identification:**

91-1000-0-1-501.

### **Obligations:**

(Project Grants) FY 11 \$34,246,370; FY 12 est \$34,181,275; and FY 13 est \$34,181,275

### **Range and Average of Financial Assistance:**

Range of New Awards: \$250,000-\$950,000; Average New Award: \$425,000.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: The Department will award approximately 17 new grants and 31 continuation grants. Fiscal Year 2013: The Department would award approximately 5 new grants and 49 continuation grants.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Joanne Osborne, Department of Education, OESE, Academic Improvement and Teacher Quality Programs, 400 Maryland Ave., S.W., Rm. 3W215, Washington, District of Columbia 20202 Email: joanne.osborne@ed.gov Phone: (202) 260-1265.

### **Website Address:**

<http://www.ed.gov/programs/nathawaiian/index.html>

### **RELATED PROGRAMS:**

Not Applicable.

### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: AvailableThe University of Hawaii applied for a grant to fund the Liko Ae Native Hawaiian Scholarship program. The project will provide approximately 600 scholarships

to Native Hawaiian students while directly and indirectly reaching nearly 7,000 people through program goals and objectives.

Living Life Source applied for a grant to support the Kukui Malama Project, which aims to increase the proportion of Native Hawaiian (NH) charter and immersion school students on Oahu and Kauai who are actively involved in healthcare career development and are pursuing postsecondary healthcare training. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.363 SCHOOL LEADERSHIP**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title II, Part B, Subpart 5, Section 2151(b).

**OBJECTIVES:**

To provide support to eligible entities in the development of innovative programs that recruit, develop, prepare, and mentor principals and assistant principals.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grantees may use program funds to assist high-need local educational agencies in recruiting and training principals (including assistant principals) through such activities as: (1) providing financial incentives to aspiring new principals; (2) providing stipends to principals who mentor new principals; (3) carrying out professional development programs in instructional leadership and management; and (4) providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

**Applicant Eligibility:**

Eligible entities include: (1) high-need local educational agencies; (2) consortia of high-need local educational agencies; and (3) partnerships of high-need local educational agencies, nonprofit organizations, and institutions of higher education.

**Beneficiary Eligibility:**

Local educational agencies and school leaders.

**Credentials/Documentation:**

OMB Circular No. A-21 applies to grantees that are institutions of higher education.

OMB Circular No. A-122 applies to grantees that are non-profit organizations.

OMB Circular No. A-87 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted in accordance with the regulations, instructions, forms, and deadlines published in the Federal Register.

**Award Procedure:**

The Department of Education notifies successful applicants of awards. Negotiation and awarding of grants will be completed by the Department of Education's Office of Innovation and Improvement staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded for up to 5 years. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports must be submitted for each budget period in order to receive continuation awards. Performance reports are due 90 days after expiration or termination of the award. Annual performance reports must be submitted for each budget period in order to receive continuation awards. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the Education Department General Administrative Regulations in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 a year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations, certain records must be retained for three years after the end of the grant.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$29,161,560; FY 12 est \$29,106,884; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 11 Range: \$56,000 - \$1,771,000; Average: \$678,000.

No current data available for FY 2012 & FY 2013.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

**Regional or Local Office:**

None.

**Headquarters Office:**

Beatriz Ceja, Department of Education, Office of Innovation and Improvement, Teacher Quality Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: beatriz.ceja@ed.gov Phone: (202) 205-5009.

**Website Address:**

<http://www.ed.gov/programs/leadership/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria contained in EDGAR, 34 CFR 75.209 and 75.210 are used to evaluate applications. Contact the program office for additional information.

**84.365 ENGLISH LANGUAGE ACQUISITION STATE GRANTS****FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965 (ESEA), as amended, Title III, Part A, Sections 3101-3129.

**OBJECTIVES:**

To help ensure that limited English proficient (LEP) children, including immigrant children and youth, attain English proficiency and meet the same challenging State academic content and student academic achievement standards as all children are expected to meet.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The Department makes awards to States and outlying areas using a formula based on their share of limited English proficient (LEP) children and immigrant children and youth. States/outlying areas must use at least 95 percent of their allocations to award subgrants to local educational agencies to assist limited English proficient children in learning English and meeting challenging State academic content and student academic achievement standards, and may reserve up to 15 percent of their allocations for subgrants to local school districts that have experienced a significant increase in the number of immigrant children and youth. States may reserve up to 5 percent of their allocations for planning, evaluation and administrative costs, professional development activities, and technical assistance to subgrantees. Subgrantees must use funds to increase the English proficiency of LEP children by providing high-quality language instruction educational programs that are based on scientifically based research and effective in increasing LEP students English proficiency and achievement in the core academic subjects. Subgrantees must also provide high-quality professional development to teachers and other educational personnel that is designed to improve instruction and assessment of limited English proficient children, enhance teachers' ability to understand and use curricula, assessment measures, and instructional strategies for LEP students and of sufficient intensity and duration to have a positive and lasting impact. Funds may also be used for identifying, acquiring, and upgrading curricula, instructional materials, educational software, and assessment procedures, tutorials and academic or vocational education, and community participation programs, family literacy services and parent outreach and training activities. Subgrantees awarded funds based on a substantial increase in the number of immigrant children and youth must use the funds to provide activities that provide enhanced instructional opportunities, including tutorials, mentoring, and career counseling. This program is subject to non-supplanting requirements and grantees must use a restricted indirect cost rate, which is referenced under 34 CFR 76.564-76.569. For assistance, call the Office of Chief Financial Officer/Indirect Cost Group on (202) 708-7770.

**Applicant Eligibility:**

States and outlying areas with approved State plans are eligible to receive funds.

**Beneficiary Eligibility:**

Children with limited English proficiency benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States apply for grants by submitting a plan to the Department that describes the process they will use in establishing standards and objectives for raising the level of English proficiency and academic achievement of LEP students, making sub-grants to eligible entities, and holding sub-grantees accountable for meeting annual measurable achievement objectives. Outlying area applicants may apply under the Consolidated Application Process for outlying areas through which they may combine various program funds. An application submitted under the Consolidated Application Process for outlying areas must address the purpose of the grant, priorities, goals and objectives, activities, evaluation, needs, and include a budget indicating how the funds will be used.

**Award Procedure:**

The Department allocates funds to any State or outlying area with an approved plan. States must expend at least 95 percent of their Title III allotments to award subgrants to local educational agencies and other eligible entities to meet the educational needs of LEP and immigrant children and youth.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Section 432 of the General Education Provisions Act provides local educational agencies with a right of appeal in disagreements between State and local educational agencies, including disagreements over funding decisions. Where a local educational agency alleges that the denial of funding is "a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program," it may, within 30 days, request a hearing from the State educational agency. Once the hearing is held and the State educational agency issues its written ruling, the local educational agency may appeal a negative ruling to the Secretary.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: The Secretary makes grants to SEAs and outlying areas with an approved plan based on 80 percent of each State/outlying areas share of LEP children and 20 percent of each State/outlying areas share of immigrant children and youth. No SEA receives less than \$500,000. The total amount allotted to Puerto Rico shall not exceed 0.5 percent of the total amount allotted to all States in any given fiscal year.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance Funds under the State Formula Grant and the Outlying Area Grant programs are 1-year grants. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). Specific for formula grants: States prepare and submit reports every year on the programs and activities carried out by the SEA and the effectiveness of such programs and activities in improving the education of children who are limited English proficient. Local educational agencies that receive sub-grants from SEAs must provide States with an evaluation every second year. The evaluation must include: A description of the programs and activities conducted; a description of the progress made by children in learning English and meeting challenging State academic content and achievement standards; the number and percentage of children in the programs attaining English proficiency by the end of each year; and a description of the progress made by children in meeting State academic content and student achievement standards for each of the 2 years after such children are no longer receiving services. Cash reports are not

applicable. Progress reports are not applicable. Expenditure reports are not applicable. Contact program office.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act.

**Records:**

All grantees must maintain and complete records as provided in EDGAR.

**Account Identification:**

91-1300-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$680,850,550; FY 12 est \$679,554,292; and FY 13 est \$679,554,292

**Range and Average of Financial Assistance:**

FY 12: \$62,587 - \$161,603,338; \$12,134,898 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: See, <http://www2.ed.gov/programs/sfgp/performance.html>.

Fiscal Year 2012: See, <http://www2.ed.gov/programs/sfgp/performance.html>.

Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR; 34 CFR 76. For more information contact the Program Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Supreet Anand Office of Elementary and Secondary Education, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: [supreet.anand@ed.gov](mailto:supreet.anand@ed.gov) Phone: (202) 401-9795.

**Website Address:**

<http://www2.ed.gov/programs/sfgp/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: <http://www.ncela.gwu.edu/data/biennial>. Fiscal Year 2012:

No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.366 MATHEMATICS AND SCIENCE PARTNERSHIPS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title II, Part B.

**OBJECTIVES:**

To improve the academic achievement of students in mathematics and science by encouraging States, institutions of higher education (IHEs), local educational agencies (LEAs), and elementary and secondary schools to participate in programs that: improve and upgrade the status and stature of mathematics and science teaching by encouraging IHEs to improve mathematics and science teacher education; focus on the education of mathematics and science teachers as a career-long process; bring mathematics and science teachers together with scientists, mathematicians, and engineers to improve those teachers' teaching skills; develop more rigorous mathematics and science curricula that are aligned with challenging state and local academic achievement standards and with the standards expected for postsecondary study in engineering, mathematics, and science; and improve and expand training of mathematics and science teachers, including by training such teachers in the effective integration of technology into curricula and instruction.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for authorized teacher education and professional

development activities, including summer workshops or institutes that train teachers to use curricula based on scientific research and aligned with challenging State academic content standards; innovative distance-learning programs; and programs that bring teachers together with working scientists, mathematicians, and engineers to expand teachers subject-matter knowledge and research. Grantees may also use program funds to develop more rigorous mathematics and science curricula that are aligned with challenging State and local academic content standards and recruit individuals with mathematics, science, and engineering majors into the teaching profession through the use of signing and performance incentives, stipends, and scholarships. Funds received under this program must be used to supplement, and not supplant, funds that would otherwise be used for authorized activities.

**Applicant Eligibility:**

If the program appropriation reaches or exceeds \$100 million, as has been the case since fiscal year 2003, the Department provides grants to States by formula; States then award subgrants competitively to eligible partnerships. Eligible partnerships must include an engineering, mathematics, or science department of an IHE; and a high-need LEA. Partnerships may also include another engineering, mathematics, science, or teacher training department of an IHE; additional LEAs, public charter schools, public or private elementary or secondary schools; a business; or a nonprofit or for-profit organization of demonstrated effectiveness in improving the quality of mathematics and science teachers.

**Beneficiary Eligibility:**

University staff, school administrators, teachers, students, and parents benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Partnerships submit a subgrant application to the State if the appropriation is \$100 million or greater, as has been the case since 2003.

**Award Procedure:**

The Department awards grants to States by formula. States then award subgrants competitively to eligible partnerships.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Elementary and Secondary Education Act of 1965, section 2202(a). If the program appropriation reaches or exceeds \$100 million, as has been the case since fiscal year 2003, the Department provides grants to States by formula based on the number of children aged 5 to 17 who are from families with incomes below the poverty line.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

States receive formula grants annually. States award subgrants to eligible partnerships for a period of not more than three years. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76. State grantees must submit annual performance and financial reports as required by the Education Department General Administrative Regulations (EDGAR) at 34 CFR Part 76.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for three years. In all cases of audit questions, records must be maintained until resolution has occurred.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$175,127,044; FY 12 est \$149,716,500; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY10 Range: \$871,257-\$20,102,918; FY10 Average: \$3,111,632.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Interested parties should visit the website address provided below for information on program accomplishments. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EDGAR 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. Applicants should contact the headquarters or regional office, as appropriate, for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Pat O'Connell Johnson Academic Improvement and Teacher Quality Programs, Office of Elementary and Secondary Education, 400 Maryland Avenue, S.W., Washington, District of Columbia 20202 Email: patricia.johnson@ed.gov Phone: (202) 260-7813

**Website Address:**

<http://www.ed.gov/programs/mathsci/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds. Fiscal Year 2012: Interested parties should contact the Headquarters Office as listed above for information on projects funded with subgrant funds. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

States receive grants noncompetitively by formula. States establish guidelines for selecting partnerships for subgrants.

**84.367 IMPROVING TEACHER QUALITY STATE GRANTS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title II, Part A.

**OBJECTIVES:**

To provide grants to State educational agencies (SEAs), local educational agencies (LEAs), State agencies for higher education (SAHEs) and, though SAHEs, to eligible partnerships in order to increase student academic achievement through such strategies as improving teacher and principal quality and increasing the number of highly qualified teachers in the classroom.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

SEAs must use 95 percent of awards for subgrants to LEAs for the following purposes: to assist schools in effectively recruiting and retaining highly qualified teachers; to afford to LEAs the means of recruiting, hiring, and retaining teachers; to make available professional development activities that address subject-matter knowledge; and other activities as set forth in Section 2123 of the ESEA. This program is subject to non-supplanting requirements for all but subgrants to partnerships, and all but partnerships must use a restricted indirect cost rate which is described in 34 CFR 76.563-76.569. For assistance on indirect costs call the Office of the Chief Financial Officer/Indirect Cost Group on (202) 708-7770. SEAs retain 2.5 percent of award to conduct State-level activities and 2.5 percent is given to SAHEs for competitive projects carried out by partnerships of institutions of higher education (IHEs) and high-need LEAs. One percent of the total award for each State is divided between the SEAs and SAHE for administrative activities.

**Applicant Eligibility:**

State educational agencies (SEAs) and State agencies for higher education (SAHEs) in States with approved applications.

**Beneficiary Eligibility:**

Elementary and secondary schools, teachers, and paraprofessionals, principals, students, parents, and pupil services personnel will benefit.

**Credentials/Documentation:**

OMB Circular No. A-21 applies to grantees that are institutions of higher education. OMB Circular No. A-122 applies to grantees that are non-profit organizations. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An SEA is eligible for funding if it submits an application that includes Statewide activities based on scientifically based research and an explanation of why the activities will improve student academic achievement. The plan must: (1) assure compliance by LEAs; (2) assure that the activities are aligned with challenging State academic content, student academic achievement standards, State assessments, and State and local curricula; and (3) describe the use of the funds to improve the quality of the State's teachers and principals. The SEA makes subgrants to local educational agencies (LEAs) on a formula basis. The SAHE makes subgrants, on a competitive basis, to eligible IHE-LEA partnerships to carry out as activities with funding that is reserved for partnerships.

**Award Procedure:**

The Department awards funds to any State whose application the Secretary has approved under Section 2112(c) of the ESEA (in the Title II, Part A program statute) or under section 9302 (consolidated State applications). In FY 11, all SEAs and SAHEs chose to apply for, and receive funds under, criteria the Department established for consolidated applications. Unless the Department chooses to require amendments to consolidated applications, the Department's approval is for the entire period of the ESEA's authorization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application



deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

As all consolidated State applications have been approved, appeal procedures are inapplicable. Appeals regarding SAHE's denial of an application for a subgrant would go to the SAHE, as permitted under State law and procedures.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title II, Part A.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Generally, awards to States are available for obligation at the Federal level from July 1 to September 30 of the following year. In addition, funds remain available to States for an additional fiscal year for obligation and expenditure. See the following for information on how assistance is awarded/released: Electronic transfer. IHE-LEA partnerships that receive funds from a SAHE have the same period for obligation and expenditure of their awarded funds as does the SAHE.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for State-administered programs (34 CFR part 76). Generally, SEAs are subject to the reporting requirements contained in Title IX of the ESEA, Consolidated State Performance Report Section 9303 (b). Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonfederal entities that expend financial assistance less than \$500,000 in a fiscal year must keep records available for review or audit by appropriate officials of the Federal government.

**Records:**

As provided in 34 CFR 80.42, and 74.53, SEAs, SAHEs, LEAs and IHE-LEA partnerships must maintain program records for 3 years from the date those agencies submit to the awarding agency its single or last expenditure report for the period for which it received the funds. A longer retention period is required under specified conditions.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$2,468,054,000; FY 12 est \$2,466,567,300; and FY 13 est \$0

**Range and Average of Financial Assistance:**

2011: Range: \$11,439,373 - \$268,054,823; Average: \$45,804,510.

2012: Range: \$11,493,668 - \$270,253,991; Average: \$46,013,339.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Program Office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth Witt, Office of Elementary and Secondary Education, Academic

Improvement and Teacher Quality Programs, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: elizabeth.witt@ed.gov Phone: (202) 260-5585

**Website Address:**

<http://www.ed.gov/programs/teacherqual/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Inapplicable to SEAs and SAHEs because the Department has approved consolidated State applications through the end of the authorization of the ESEA, and has no plans for requiring amendments. SAHEs determine the criteria for making competitive awards to IHE-LEA partnerships. Contact the SAHE for additional information.

**84.368 GRANTS FOR ENHANCED ASSESSMENT INSTRUMENTS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VI, Part A, Subpart 1, Section 6112.

**OBJECTIVES:**

To enhance the quality of assessment instruments and systems used by States for measuring the achievement of all students. Funded projects must meet one or more of the following priorities: (1) improve the quality, validity, and reliability of State academic assessments; (2) measure student academic achievement using multiple measures of student academic achievement from multiple sources; (3) chart student progress over time; and (4) evaluate student academic achievement through the development of comprehensive academic assessment instruments, such as performance and technology-based academic assessments.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Successful applicants must use funds to carry out the activities described in their approved applications and in accordance with regulations.

**Applicant Eligibility:**

State educational agencies (SEAs) and/or consortia of SEAs are eligible to receive grants.

**Beneficiary Eligibility:**

State educational agencies (SEAs) and/or consortia of SEAs, local educational agencies and local schools will benefit.

**Credentials/Documentation:**

Applicants must prepare and submit applications in accordance with the application package, which includes instructions and guidance for completing and submitting an application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The applicant may work in collaboration with institutions of higher education, other research institutions or other organizations. An application from a consortium of SEAs must designate one SEA as the fiscal agent. The designated SEA submits the application. The application package includes instructions and guidance on submitting an

applications as well as a list of required documents and forms.

**Award Procedure:**

Funds are awarded on a competitive basis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

No-cost extensions are available.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period is up to 48 months. See the following for information on how assistance is awarded/released: Assistance is awarded through electronic transfer.

**Reports:**

Reports must be submitted in accordance with the terms of the award document. Cash reports are not applicable. Progress reports must be submitted in accordance with the terms of the award document. Expenditure reports must be submitted in accordance with the terms of the award document. Performance monitoring will be in accordance with the terms of the award document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Any additional audit requirements will be included in grant award documents.

**Records:**

Records must be maintained in accordance with EDGAR; requirements will be included in grant award documents.

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$9,980,000; FY 12 est \$9,213,993; and FY 13 est \$9,214,000

**Range and Average of Financial Assistance:**

The average award is \$7,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding to develop English language proficiency assessments. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicable regulations may be found at the Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99. Other information may be found at the program website. The Debarment and Suspension regulations in 2 CFR part 3485 also apply.

**Regional or Local Office:**

None.

**Headquarters Office:**

Collette Roney, Student Achievement and School Accountability Programs, Office of Elementary and Secondary Education, Department of Education, 400

Maryland Ave., S.W., Washington, District of Columbia 20202 Email: Collette.Roney@ed.gov Phone: (202) 401-5245.

**Website Address:**

<http://www.2.ed.gov/programs/eag/index.html>

**RELATED PROGRAMS:**

84.369 Grants for State Assessments and Related Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects for improving access to state assessments for limited English proficient students and students with disabilities. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are included in the Notice Inviting Application, which is posted on the program website.

**84.369 GRANTS FOR STATE ASSESSMENTS AND RELATED ACTIVITIES**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title VI, Part A, Subpart I, Section 6111.

**OBJECTIVES:**

The purpose of this program is: (1) To support the development of the additional State assessments and standards required by Section 1111(b) of the Elementary and Secondary Education Act (ESEA), as amended; and (2) if a State has developed the assessments and standards required by Section 1111(b), then to support the administration of those assessments or to carry out other activities related to ensuring that the State's schools and local education agencies are held accountable for results.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State educational agencies must use these funds to carry out the responsibilities described in Section 6111 of the ESEA. Funds may be used to support the development of the additional State assessments and standards required by Section 1111(b) of the ESEA or, if a State has developed the assessments and standards required by Section 1111(b), then to support the administration of those assessments or to carry out other activities related to ensuring that the State's schools and local educational agencies are held accountable for results.

**Applicant Eligibility:**

State educational agencies with either: (1) An approved consolidated application that includes an application for funds under Section 6111 or (2) an approved Title I Part A application that includes an application for funds under Section 6111.

**Beneficiary Eligibility:**

States and local educational agencies.

**Credentials/Documentation:**

This program is included for coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The Department will allocate funds to any State whose State application submission demonstrates that funds will be used for covered activities and that costs associated with those activities are reasonable.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 30-90 days.

**Appeals:**

If the Department disapproves a State's application for funds authorized by Section 6111, the State has the right to a hearing in accordance with Section 76.202 of the Education Department General Administrative Regulations (EDGAR).

**Renewals:**

States with approved applications will automatically receive grant awards for any year for which there is an appropriation for the program.

**Formula and Matching Requirements:**

Statutory Formula: Title VI, Part A, Subpart 1. Under Title VI, Part A, funds appropriated for State Assessment Grants are distributed to the States through a formula under which each State receives \$3 million and any amounts remaining are distributed based on each State's relative share of the total population of children aged 5 through 17.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards of funds are available for obligation for a maximum of 27 months. They become available to the Department on July 1, and are awarded to States on or about that date. They remain available for obligation under the initial period of availability for 15 months (until September 30, of the following fiscal year). Under section 421(b) of the General Education Provisions Act, any funds that remain unobligated may be carried over for obligation for an additional 12 months. Funds for succeeding fiscal years, if appropriated, will follow a similar timeline. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR). States receive awards under this program are required to respond to any questions that the Department asks in its annual Consolidated State Performance Report survey. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All grantees must maintain and complete records in accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR).

**Account Identification:**

91-1000-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$379,970,536; FY 12 est \$380,000,000; and FY 13 est \$380,000,000

**Range and Average of Financial Assistance:**

FY 2012 range of awards to States: \$3,279,829-\$30,238,571; average \$7,234,615.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding to 52 States, the outlying areas, and the Department of the Interior's Bureau of Indian Education. Fiscal Year 2012: Provided funding to 52 States, the outlying areas, and the Department of the Interior's Bureau of Indian Education. Fiscal Year 2013: No Current Data

Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 76, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. 34 CFR Parts 200 and 300. Nonregulatory guidance concerning Title I, Part A assessment requirements is available at <http://www.ed.gov/admins/lead/account/saa.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carlos Martinez Office of Elementary and Secondary Education, Student Achievement and School Accountability Programs, 400 Maryland Avenue, SW, Washington, District of Columbia 20202 Email: [carlos.martinez@ed.gov](mailto:carlos.martinez@ed.gov) Phone: (202) 260-1440

**Website Address:**

<http://www2.ed.gov/admins/lead/account/saa.html>

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies; 84.368 Grants for Enhances Assessment Instruments

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Development and implementation of the State assessments required under Title I of the Elementary and Secondary Education Act. Fiscal Year 2012: Development and implementation of the State assessments required under Title I of the Elementary and Secondary Education Act. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.370 DC SCHOOL CHOICE INCENTIVE PROGRAM**

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

Scholarships for Opportunity and Results (SOAR) Act, (Division C of Public Law 112-10, the Department of Defense and Full-Year Continuing Appropriations Act, 2011).

**OBJECTIVES:**

To provide low-income parents residing in the District of Columbia (District) with expanded options for the education of their children. This program is part of a broader school improvement effort in the District.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

In FY 2009, the Department awarded one grant on a competitive basis to administer the scholarship program for new as well as current student participants. These scholarships of up to \$8,000 per student per school year for grades K-8 and \$12,000 per student per school year for grades 9-12 enable students to attend a participating nonpublic District elementary and secondary school of their choice and may be used to pay tuition and fees and transportation.

**Applicant Eligibility:**

An educational entity of the District of Columbia Government; a nonprofit organization; or a consortium of nonprofit organizations.

**Beneficiary Eligibility:**

To receive an award under this program, an applicant must ensure that a majority of the members of its voting board or governing organization are residents of the District of Columbia. The Secretary gives priority to applications from eligible entities that will most effectively provide students and families with the widest range of educational options; to applications from eligible entities that will most effectively target resources to students and families who lack the financial resources to take advantage of available educational options; and to applications from eligible entities that will most effectively give priority to (A) eligible students who, in the school year preceding the school year in which the student would use the scholarship,

attend an elementary or secondary school identified for improvement, corrective action, or restructuring under section 1116 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6316); (B) students who have been awarded a scholarship in a preceding year under the current authorizing legislation or the DC School Choice Incentive Act of 2003, as such Act was in effect on the day before the date of the enactment of the current authorizing legislation, but who have not used the scholarship, including eligible students who were provided notification of selection for a scholarship for school year 2009-2010, which was later rescinded in accordance with direction from the Secretary of Education; and (C) students whose household includes a sibling or other child who is already participating in the program of the eligible entity under this division, regardless of whether such students have, in the past, been assigned as members of a control study group for the purposes of an evaluation.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to the regulations in 34 CFR Part 79. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit the following by the designated deadline: (1) The applicant must provide a written narrative, which addresses the selection criteria (and the required application content) that reviewers use in evaluating their applications. (2) Required forms to be submitted with the application include SF424; Sections A, B, and C of ED Form 524; Assurance - Non Construction Programs; Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Disclosure of Lobbying Activity; Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions. (3) Applicants for grants under this program are required to submit applications electronically using the Electronic Grant Application System (e-Application) available through the Department's e-GRANTS system. Specific instructions for submitting applications electronically are included in the application notice.

**Award Procedure:**

The Department of Education awards this grant on a competitive basis. The program office notifies the successful applicant of the award, negotiates the final budget, and awards the grant. Contact the program office for more information.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to 12 months. Continuation awards are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to 12 months. Renewals are subject to the availability of appropriations. See the following for information

on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports are required for each budget period. Specific due dates are determined by the Department and forwarded to applicants accordingly. Final performance reports are due 90 days after expiration or termination of the award. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain financial records must be maintained for a period of 3 years.

**Account Identification:**

20-1817-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$15,469,000; FY 12 est \$20,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Average new awards: \$16,348,775.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The grantee provided scholarships to approximately 1,615 students. Fiscal Year 2012: The grantee offered scholarships to approximately 1,800 students. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Department will publish the Notice Inviting Applications (NIA) in the Federal Register. Contact the Program Office for more information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jeanne Gilroy Department of Education, Office of Innovation and Improvement, Parental Options and Information, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: jeanne.gilroy@ed.gov Phone: (202) 205-5482

**Website Address:**

<http://www.ed.gov/programs/dcchoice/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are contained in the NIA.

**84.371 STRIVING READERS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act of 1965, as amended, Title I, Part E, Section 1502, as amended by The Consolidated Appropriations Act, 2012, Public Law 112-74.; FY 2010 Consolidated Appropriations Act , Public Law 111-117.

**OBJECTIVES:**

The objective of the Striving Readers Comprehensive Literacy program is to

advance literacy skills, including pre-literacy skills, reading and writing for students from birth through grade 12, including limited-English-proficient students and students with disabilities.

**TYPES OF ASSISTANCE:**

Formula Grants; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Striving Readers Comprehensive Literacy formula grantees must use these funds to carry out the activities described in their approved applications. Formula grant funds may be used for costs that are reasonable, necessary, and integral in creating or supporting a State Literacy Team with expertise in literacy development and education for children from birth to grade 12 to assist the state in developing a comprehensive literacy plan. (Note that formula grants were funded only in FY 2012.) Striving Readers Comprehensive Literacy competitive grantees must use these funds to create a comprehensive literacy program to advance literacy skills, including pre-literacy skills, reading and writing. These funds must be used for services and activities that have characteristics of effective literacy instruction through professional development, screening and assessment, targeted interventions for students reading below grade level and other research-based methods of improving classroom instruction and practices for all students.

**Applicant Eligibility:**

State and local educational agencies are eligible applicants.

**Beneficiary Eligibility:**

The Striving Readers Adolescent Literacy program benefits adolescent students (in grades 6-12) who are reading below grade level. The Striving Readers Comprehensive Literacy program benefits children and youth from birth through 12th grade.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must prepare and submit an application in accordance with the Application and Instructions published on the Striving Readers Comprehensive Literacy website at <http://www.ed.gov/programs/strivingreaders-literacy/index.html>. OMB required assurances and certifications include: Standard Forms 424B (Assurances for Non-Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood hazards; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders and regulations; lobbying in Department Form 80-0013, Standard Form-LLL, Disclosure Form to Report Lobbying.

**Award Procedure:**

The Department of Education notifies successful applicants of awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the full application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to 5 years. Renewals are subject to the availability of appropriations and satisfactory progress.

**Formula and Matching Requirements:**

Statutory Formula: Applies only to the \$10 million in FY 2010 funds available for State Literacy Teams.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to 5 years. Renewals are subject to the availability of appropriations and satisfactory progress. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual progress reports must be submitted at the end of the budget period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. No expenditure reports are required. Performance monitoring is included in the annual progress report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the Education Department General Administrative Regulations (EDGAR) in 34 CFR 80. State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to EDGAR, Part 80.

**Records:**

In accordance with the General Education Provisions Act and the Education Department General Administrative Regulations (EDGAR), certain records must be retained for 3 years.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$159,697,600; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Project (discretionary) grants in FY12: TBD.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the Department awarded 48 formula grants to States, six competitive grants to States, four grants to Outlying Areas, and completed one transfer to the Bureau of Indian Education. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), 34 CFR Parts 74, 74, 76, 77,79,80,81,82,85,86,97,98,and 99. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sylvia Lyes Department of Education, Office of Elementary and Secondary Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202  
Email: [sylvia.lyes@ed.gov](mailto:sylvia.lyes@ed.gov) Phone: (202) 260-2551

**Website Address:**

<http://www.ed.gov/programs/strivingreaders/index.html>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available  
Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria will be included in the application package. For additional information please visit the website  
<http://www.ed.gov/programs/strivingreaders-literacy/index.html>.

**84.372 STATEWIDE DATA SYSTEMS**

**FEDERAL AGENCY:**

Institute of Education Sciences, Department of Education

**AUTHORIZATION:**

Educational Technical Assistance Act of 2002, Title II, Section 208, Public Law 107-79.

**OBJECTIVES:**

These grants are intended to enable State educational agencies to design, develop, and implement statewide, longitudinal data systems to efficiently and accurately manage, analyze, disaggregate, and use individual student data, consistent with the Elementary and Secondary Education Act of 1965 and to facilitate analyses and research to improve student academic achievement and close achievement gaps. The 2012 grants were awarded to support States work in one of three priority areas: (1) the design, development, and implementation of Statewide, longitudinal kindergarten through grade 12 (K-12) data systems; (2) The development and linking of early childhood data with the States K-12 systems; or (3) the development and linking of postsecondary and/or workforce data with the States K-12 data systems. In addition, funds were used to support contracts to improve data quality, coordination, and use. The eligible entities for contract awards are public or private organizations or entities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, travel, equipment, and supplies as required to carry out design and implementation efforts. Grant funds shall be used to supplement and not supplant other State or local funds used for developing State data systems.

**Applicant Eligibility:**

State educational agencies.

**Beneficiary Eligibility:**

State educational agencies, local educational agencies, non-profit and for-profit organizations, and individuals involved with education will benefit.

**Credentials/Documentation:**

Applicants for these data systems projects must present a plan and furnish evidence that the scientific competence, facilities, equipment, and supplies are appropriate to carry out the project. Applicants must ensure technical quality; provide for the generation of accurate data, and provide for the timely use of such data needed by State and local educational agencies both to comply with the Elementary and Secondary Education Act of 1965 and to facilitate research to improve student academic achievement and close achievement gaps; and, meet voluntary standards and guidelines for linking individual student data. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must include: ED Form 424, "Application for Federal Assistance" and ED 524, "Budget Information Non-Construction Programs." Specific application and submission procedures, as well as additional information about the specific contents, page limits, and page formatting of applications, are provided in the individual

Request for Applications found under "Funding Opportunities" at the Institute of Education Sciences web site: <http://ies.ed.gov/funding>.

**Award Procedure:**

All accepted applications competing for grants are reviewed for technical merit by panels of peer reviewers. Official notice of an approved application is made through issuance of a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately four to six months following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Recipients of multi-year grants must submit an annual performance report for each year funding has been approved. A review of the annual performance report is used to determine whether substantial progress has been made toward meeting the project objectives. Renewals are subject to the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects generally may be supported for one to three years. All grantee obligations shall be liquidated within 90 days following the end of the project period. Payments may be made according to a predetermined schedule or by way of reimbursement. Renewals are subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

As required by the Education Department General Administrative Regulations (EDGAR) for direct grant programs (34 CFR 75). Generally, financial reports and program reports must be submitted as required by grant terms and conditions. Cash reports are not applicable. Progress reports are required. Annual performance reports are required as part of the submittal of form ED 524B. Expenditure reports are required. Annual expenditure reports are required as part of the submittal of form ED 524B. Staff also monitor drawdowns using agency financial reports. Performance monitoring is required. Reporting on performance measures is required as part of the submittal of form ED 524B.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All expenditures by state governments will be audited by the grantee or at the grantee's direction with reasonable frequency, usually once a year but not less than once every two years. The Secretary of Education, the Director of the Institute, and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access, for the purpose of audit and examinations, to all applicable records and to any other pertinent books, documents, papers, and records of the grantee.

**Records:**

Each grantee will keep intact, and accessible, records relating to the receipt and expenditure of Federal funds and the expenditures of the grantee's contribution to the cost of the project, if any. Records will normally be retained for 3 years after the date of the submission of the final expenditure report, or for grants that are reviewed annually, 3 years after the date of the award.

**Account Identification:**

91-1100-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$42,165,500; FY 12 est \$38,076,898; and FY 13 est \$53,077,000

**Range and Average of Financial Assistance:**

The 24 2012 grants ranged in size from \$2.6 million to \$5 million for 3-year projects.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No new awards were made in 2011. Fiscal Year 2012: The Department received 31 applications and will make 24 grant awards from the 2012 competition. Fiscal Year 2013: No new awards anticipated in 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 77, 80, 81, 82, 84, 85, 97, 98, and 99. In addition 34 CFR part 75 is applicable, except for the provisions in 34 CFR 75.100, 75.101(b), 75.102, 75.103, 75.105, 75.109(a), 75.200, 75.201, 75.209, 75.210, 75.211, 75.217, 75.219, 75.220, 75.221, 75.222, and 75.230. For more information, see specific Request for Applications available on Institute website <http://www.ed.gov/programs/edresearch/applicant.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Emily Anthony Department of Education, IES, National Center for Education Statistics, 1990 K Street NW, Room 9023, Washington, District of Columbia 20006 Email: [emily.anthony@ed.gov](mailto:emily.anthony@ed.gov) Phone: (202) 502-7495

**Website Address:**

<http://nces.ed.gov/programs/slds>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: The 2012 competition will result in 9 awards for the design, development, and implementation of a Statewide, longitudinal kindergarten through grade 12 (K-12) data system; 1 award for the development and linking of early childhood data with the States K-12 data system; and 14 awards for the development and linking of postsecondary and/or workforce data with the States K-12 data system. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting applications are contained in the Request for Applications that announces the competition. The Request for Applications is posted on the Funding Opportunities home page of the Institute web site: <http://ies.ed.gov/funding/>.

**84.373 SPECIAL EDUCATION TECHNICAL ASSISTANCE ON STATE DATA COLLECTION**

**FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Sections 611(c) and 616(i), 20 U.S.C 1411.

**OBJECTIVES:**

To provide technical assistance, where needed, to improve the capacity of States to meet the data collection requirements of the IDEA.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds must be used to support the objectives of the program.

**Applicant Eligibility:**

Public and private agencies and organizations, including for profit and

non-profit agencies and organizations.

**Beneficiary Eligibility:**

Infants, toddlers, and children with disabilities benefit from this program.

**Credentials/Documentation:**

OMB Circulars A-21, A-122, and A-87 may apply to grantees under this program depending on the grantee. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications are reviewed and evaluated by outside experts and program staff, in accordance with the Education Department General Administrative Regulations (EDGAR) (34 CFR 75, Subpart D).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

As required by EDGAR, awards may be renewed annually for up to five years throughout the project period of the award if the recipient has made substantial progress in meeting the goals of the project, depending upon the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically from 1 to 5 years. Renewals subject to the availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the grant award period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the grantee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally records related to grant funds, compliance, and performance must be maintained for a period of 3 years from the date the grantee submits its final expenditure report for the funding period. 34 CFR 80.42.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$25,000,000; FY 12 est \$25,000,000; and FY 13 est \$25,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: Est. New Projects Funded: 2. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 300; 34 CFR Parts 74, 75, 76, 77, 79, 80, 81, 82, 85, and 86. (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

David Egnor, Department of Education, OSERS Office of Special Education Programs, 400 Maryland Ave., SW, Washington, District of Columbia 20202  
Email: david.egnor@ed.gov Phone: (202) 245-7334.

**Website Address:**

<http://http://www.ed.gov/about/offices/list/osers/osep/index.html>.

**RELATED PROGRAMS:**

84.027 Special Education\_Grants to States; 84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.323 Special Education - State Personnel Development; 84.324 Research in Special Education; 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities; 84.328 Special Education\_Parent Information Centers; 84.329 Special Education\_Studies and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: <http://www2.ed.gov/programs/osepidea/applicant.html>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting among grant applications will normally be selected from those in the Education Department General Administrative Regulations (EDGAR), 34 CFR Part 75.210.

**84.374 TEACHER INCENTIVE FUND**

(TIF)

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act, as amended, Title V, Part D, Subpart 1; Department of Education Appropriations Acts for Fiscal Years 2006-2012.

**OBJECTIVES:**

To support programs that develop and implement performance-based compensation systems for teachers, principals, and other personnel in high-need schools. These compensation systems must consider growth in student academic achievement as well as classroom evaluations conducted multiple times during each school year, among other factors, and provide educators with incentives to take on additional responsibilities and leadership roles.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Successful applicants must use these funds to carry out the activities described in their approved applications. Grantees may use the funds to develop and implement performance-based compensation systems, including incentives to take on individual responsibilities and leadership roles. Grantees also may use these funds to develop or improve systems and tools (which may be developed

and used for the entire local educational agency) that would enhance the quality and success of the compensation system, such as high-quality teacher evaluations and tools to measure growth in student achievement.

**Applicant Eligibility:**

Eligible applicants are local educational agencies (LEAs), including charter schools that are LEAs in their State, State educational agencies (SEAs), or partnerships of (1) an LEA, an SEA, or both, and (2) at least one non-profit organization.

**Beneficiary Eligibility:**

SEAs, LEAs, non-profit organizations, and students, teachers, principals, and other school personnel in an LEA's high-need schools benefit from the program.

**Credentials/Documentation:**

OMB Circular A-122 applies to grantees that are non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must prepare and submit applications in accordance with the notice published in the Federal Register. By the due date, eligible applicants must submit to the U.S. Department of Education, Application Control Center, a complete application that addresses the purposes of the program, the selection criteria, the competitive priority (if applicable) included in the application notice, and includes all required assurances and signatures. Required assurances and certifications include: Assurances for Non-Construction programs (SF 422B); Certification regarding Lobbying, Disbarment; Suspension and other Responsibility Matter, and Drug-Free Workplace Requirements (ED Form 80-00013); Disclosure of Lobbying Activities (SF LLL) (if applicable); Response to Notice to All Applicants (Section 427, GEPA). Applications should also include a Cover Page (SF 424); the required Budget Form (ED Form 524); an itemized budget and other budget information; a project abstract; and a program narrative that includes responses to selection criteria. Applicants are encouraged to submit one original and two copies of the application.

**Award Procedure:**

If an applicant is successful, the Department of Education will notify the applicant's U.S. Representative and U.S. Senators and will send the successful applicant a Grant Award Notification (GAN). The Department of Education may also notify successful applicants informally.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval/disapproval time is approximately 60 to 120 days following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants may apply for a project period of up to five years. Renewals are subject to the availability of funds and a grantee's satisfactory progress.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. None. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applicants may apply for a project period of up to 5 years. Renewals are subject to the availability of funds and a grantee's satisfactory progress. See the



following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Annual performance reports must be submitted for each budget period in order to receive continuation awards. Final performance reports and the final evaluation report must be submitted after the end of the grant period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As provided in 34 CFR 80.42, and 74.53, SEAs, LEAs and non-profit organizations must maintain program records for 3 years from the date those agencies submit to the awarding agency its single or last expenditure report for the period for which it received the funds. A longer retention period is required under specified conditions.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$399,200,000; FY 12 est \$299,433,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 11 Range: \$1 - \$38,394,000; Average: \$4,740,000.

No current data available for FY 2012 & FY 2013.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Education Department General Administrative Regulations (EDGAR), Parts 74, 75, 77, 79, 80, 81, 81, 82, 84, 85, 97, 98, and 99. Contact the program office for additional information.

**Regional or Local Office:**

None.

**Headquarters Office:**

April Bolton-Smith Office of Elementary and Secondary Education, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: april.bolton-smith@ed.gov Phone: (202) 260-1475

**Website Address:**

<http://www2.ed.gov/programs/teacherincentive/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are in full application package and published in the Federal Register notice inviting applications. Contact the program office for more information.

**84.377 SCHOOL IMPROVEMENT GRANTS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Elementary and Secondary Education Act (ESEA), as amended, Executive Order Section 1003(g), 115 Stat. 1442, 20 U.S.C 6303(g).

**OBJECTIVES:**

To support competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. In general, SEAs must give priority to LEAs with Title I-eligible schools ranked in the bottom five percent of such schools, based on student achievement and lack of progress in improving student achievement, as well as secondary schools with a graduation rate below 60 percent over a number of years. LEAs seeking funding to serve such schools must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

A State educational agency (SEA) must allocate at least 95 percent of the amount of the funds it receives directly to LEAs, primarily to implement specified school intervention models in Title I-eligible schools ranked in the bottom five percent of such schools, based on student achievement and lack of progress in improving student achievement, as well as secondary schools with a graduation rate below 60 percent over a number of years. An SEA may retain up to 5 percent of the grant amount received for administration, evaluation, and technical assistance expenses. At the LEA level, these funds may be used for any reasonable costs associated with implementing required school intervention models, or with carrying out school improvement, corrective action, or restructuring activities described in Section 1116(b).

**Applicant Eligibility:**

SEAs with approved State plan amendments are eligible to receive funds.

**Beneficiary Eligibility:**

To be eligible to receive Title I School Improvement Grant funds, an LEA must have one or more schools identified for school improvement, corrective action, or restructuring under Section 1116(b) of Title I.

**Credentials/Documentation:**

OMB Circular A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Pursuant to Section 76.140 of the Education Department General Administrative Regulations, the U.S. Department of Education (ED) is requiring States to implement application. ED has issued guidance and an electronic application for this program, which may be found at <http://www2.ed.gov/programs/sif/index.html>.

**Award Procedure:**

The Department will allocate funds to any State that submits an application meeting the Department's application requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies with each State.

**Appeals:**

In programs administered by ED, Section 432 of the General Education Provisions Act provides LEAs with a right of appeal when there are disagreements between State and local educational agencies, including disagreements over funding decisions. Where an LEA alleges that the denial of funding is a violation of State or Federal law, rules, regulations, or guidelines governing the applicable program, it may, within 30 days, request a hearing from the SEA. Once the hearing is held and the SEA issues its written ruling, the LEA may appeal a negative ruling to the Secretary.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Under ESEA, ED allocates section 1003(g) School Improvement funds to States through a formula that is based on each State's proportionate share of funds received under ESEA Title I, Part A (Grants to LEAs), Part C (Migrant Education program), and Part D, Subpart 1 (State Agency Neglected and Delinquent program). The Secretary is authorized through FY 2012 appropriations to reserve up to 5 percent of available funds for national activities.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Title I School Improvement funds are available for obligation by State and local educational agencies for 27 months after funds become available on July 1.

Funds become available to the Department on July 1, and will be allocated to States on or after that date. They remain available for obligation by LEAs under the initial period of availability for 15 months. Under section 421(b) of the General Education Provisions Act, any funds that remain unobligated may be carried over for obligation for an additional 12 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Grantees are subject to the reporting requirements contained in Parts 76 and 80 of the Education Department General Administrative Regulations (EDGAR).

Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Grantees must submit program performance information through their annual Consolidated State Performance Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with EDGAR in the Appendix to 34 CFR 80, State and local governments that receive financial assistance of \$500,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$500,000 within the State's fiscal year shall have an audit made in accordance with the Appendix to Part 80, or in accordance with Federal laws and regulations governing the programs in which they participate.

**Records:**

All grantees must maintain and complete records as provided in EDGAR.

**Account Identification:**

91-0900-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$534,561,734; FY 12 est \$533,552,000; and FY 13 est \$533,552,000

**Range and Average of Financial Assistance:**

Fiscal Year 2011: Range: \$1,198,433 - \$63,020,218. Average: \$10,183,650.  
Fiscal Year 2012 (est): Range: \$1,171,017 - \$61,828,852. Average: \$9,656,153.  
Fiscal Year 2013 (est): Range: \$1,174,903 - \$58,907,762. Average: \$9,653,435.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ED is in the process of issuing guidance and instructions for States to use in applying for these funds.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carlas McCauley, 400 Maryland Avenue, SW, 3C116, Washington, District of

Columbia 20202 Email: carlas.mccauley@ed.gov Phone: (202) 260-0824.

**Website Address:**

<http://www.ed.gov/oese> .

**RELATED PROGRAMS:**

84.010 Title I Grants to Local Educational Agencies

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.378 COLLEGE ACCESS CHALLENGE GRANT PROGRAM****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Title VII, Part E, Section 781, 20 U.S.C. 1141.

**OBJECTIVES:**

To foster partnerships among federal, State and local government entities and philanthropic organizations through matching challenge grants aimed at increasing the number of underrepresented students who enter and remain in postsecondary education.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States or philanthropic organizations (if a State does not meet the program's matching requirements) use funds to implement services and activities needed to achieve the goals and objectives of the program. The services and activities authorized in the statute include: providing information to students and families regarding the benefits of, opportunities for, postsecondary education. Providing information to students and families regarding planning for postsecondary education, including educating them about financing options. Providing information to students and parents regarding career preparation; assisting students in completing FAFSA; engaging outreach activities for students at risk of not enrolling in or completing postsecondary education; offering professional development for middle and secondary school guidance counselors, and college admissions counselors and financial administrators; providing need based grant aid; repaying student loans or lower interest rates; and offering tutoring/mentoring services, and other support services. A grantee may use not more than 6 percent of the total amount of the sum of the federal share provided and nonfederal share required for administrative purposes.

**Applicant Eligibility:**

An eligible applicant is the State agency with jurisdiction over higher education, or another agency designated by the Governor of the State. The Secretary may award funds to philanthropic organizations in cases where the State fails to meet program requirements.

**Beneficiary Eligibility:**

The authorized beneficiaries are underrepresented students and families.

**Credentials/Documentation:**

States or philanthropic organizations (if a State does not meet program's matching requirements) must submit an application containing a description of its capacity to administer and report on grant activities and services, a plan for using grant funds to meet program requirements, including any special efforts the grantee will undertake to benefit underrepresented students. The grantee will also describe how the nonfederal share will be provided, as well as the structure the state has in place to administer the activities and services. The governor of a state must designate in writing which State agency is authorized to administer the grant. A letter from the governor (on letterhead, signed and dated) must be included in the application. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Each State must submit an application covering a 2-year period to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. An allotment is awarded to States or philanthropic organizations if the Assistant Secretary determines the application meets necessary requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The estimated range of time need to approve/disapprove an application is usually three months after the deadline for submission.

**Appeals:**

Not Applicable.

**Renewals:**

State applications are amended as needed.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Funds are awarded on a formula basis to States (or philanthropic organizations if a State does not meet program's requirement). Allotments are based on the relative number of persons between the ages of 5 and 17 and 15 and 44 living below the poverty line. Poverty status data for participating States will be obtained from the Census Bureau. The minimum allotment for each State for a fiscal year cannot be an amount that is less than 1 percent of the total amount appropriated for the program. The statute requires a nonfederal matching contribution of not less than 1/3 of the costs of the project activities and services. This may be provided through in-kind and/or cash contributions.

This program has MOE requirements, see funding agency for further details. In order to receive a CACG grant, States must meet the MOE requirement in Section 137 of the Higher Education Act, as amended. See funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are made for up to two years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

States or philanthropic organizations (if a State does not meet program requirements) administering the grant must submit an annual performance report. The report must include: each activity or service that was provided to students and families over the course of the year; the cost of providing each activity or service; and the total contributions from private organizations included as nonfederal share for the fiscal year. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Grantees are subject to audit requirements as described in 34 CFR 74.26.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for three years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Formula Grants) FY 11 \$150,000,000; FY 12 est \$150,000,000; and FY 13 est \$150,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the formula grant program is governed by the statute and EDGAR (34 CFR 76, 77, 79, 80, 81, 82 and 85).

**Regional or Local Office:**

None.

**Headquarters Office:**

Karmon Simms-Coates, Department of Education, Office of Postsecondary Education, College Access Challenge Grant Program, 1990 K Street, NW, 6th Floor, Washington, District of Columbia 20006-8524 Email: karmon.simms-coates@ed.gov Phone: (202) 502-7807.

**Website Address:**

<http://www.ed.gov/programs/cacg/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

State will receive funding based on the submission of an approvable application. The application must present a viable plan to achieve goals and objectives and also comply with statutory and regulatory requirements.

**84.379 TEACHER EDUCATION ASSISTANCE FOR COLLEGE AND HIGHER EDUCATION GRANTS (TEACH GRANTS)**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended, Subpart 9, Title VI, Part A.

**OBJECTIVES:**

To provide annual grants of up to \$4,000 to eligible undergraduate and graduate students who agree to teach specified high-need subjects at schools serving primarily disadvantaged populations for four years within eight years of graduation. For students who do not fulfill their service requirements, grants convert to Direct Unsubsidized Stafford Loans with interest accrued from the date of award.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Undergraduate and graduate students completing coursework or other requirements necessary to begin a career in teaching. Students must attend an institution of higher education that provides high-quality teacher preparation and professional development services; is financially sound; provides, or assists in the provision, of pedagogical coursework; and provides, or assists in the provision, of supervision and support services to teachers.

**Applicant Eligibility:**

Undergraduate and graduate students completing coursework or other requirements necessary to begin a career in teaching. Students must attend an institution of higher education that provides high-quality teacher preparation and professional development services; is financially sound; provides, or assists in the provision, of pedagogical coursework; and provides, or assists in the provision, of supervision and support services to teachers.

**Beneficiary Eligibility:**

This program was created by the College Cost Reduction and Access Act of 2007, Public Law 110-84; it began operation on July 1, 2008. Students must

have a grade-point-average (GPA) comparable to a 3.25 on a scale of zero to 4.0, except that, if the student is in the first year of undergraduate education, the grade point average is determined based on the student's cumulative secondary school grade point average. A student applying for a grant to obtain a graduate degree must be a teacher or a retiree from another occupation with expertise in a field in which there is a shortage of teachers; grants for graduate education may also be obtained by a student who is or was a teacher who is pursuing high-quality alternative certification. In addition, students must sign an agreement to serve as a full-time teacher for not less than four years within eight years of completing the course of study for which they received a TEACH Grant. Service must be performed at a school serving a primarily disadvantaged population and must be in one of the following fields: mathematics, science, a foreign language, bilingual education, special education, as a reading specialist, or in another field documented as high-need. Students must also agree to provide evidence of qualifying employment upon completion of each year of service. Failure to complete the service requirements results in the student's TEACH Grants being treated as Federal Direct Unsubsidized Stafford Loans, with interest accrued from the date of award. Students must also sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Students must complete a FAFSA, complete an agreement to serve and submit it to the Department of Education.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends disburses the TEACH Grants based on the enrollment status of the student.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 2 to 4 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Students who have applied in the previous award year must continue to meet all eligibility requirements and reaffirm their intention to fulfill the service requirements before obtaining subsequent grants.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one TEACH Grant during an academic year. Funds for these grants will likely be disbursed at least twice during an academic year. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions will be required to furnish reports periodically on the disbursement of funds, as well as furnish any other reports the Secretary requires. Students must affirm each year that they intend to fulfill their service requirements and submit a certification for each year of required service. Cash reports are not

applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Annual audits will be made.

**Records:**

All records pertaining to the eligibility of each TEACH Grant recipient and all fiscal management records must be maintained by the institution for a period of three years or until an acceptable audit has been completed, whichever is later. Selected students will have the information on their applications verified.

**Account Identification:**

91-0206-0-1-502.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$136,951,000; FY 12 est \$154,070,000; and FY 13 est \$83,621,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funding will support awards to approximately 42,000 students. Fiscal Year 2012: Funding will support awards to approximately 47,000 students. Fiscal Year 2013: Funding will support awards to approximately 29,000 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Phone: (800) 433-3243.

**Website Address:**

<http://www.ifap.ed.gov>.

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.380 SPECIAL EDUCATION -- OLYMPIC EDUCATION PROGRAMS FEDERAL AGENCY:**

Office of Special Education and Rehabilitative Services, Department of Education

**AUTHORIZATION:**

Special Olympic Sports and Empowerment Act, Section 3(a), 42 U.S.C 15001.

**OBJECTIVES:**

This program promotes the expansion of Special Olympics and the design and implementation of Special Olympics education programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for: (1) Activities to promote the expansion of Special Olympics, including activities to increase the participation of individuals with intellectual disabilities within the United States and (2) The design and implementation of Special Olympics education programs, including character education and volunteer programs that support the purposes of this Act, that can be integrated into classroom instruction and are consistent with academic

content standards.

**Applicant Eligibility:**

Special Olympics is the only eligible recipient of funds.

**Beneficiary Eligibility:**

Individuals with intellectual disabilities.

**Credentials/Documentation:**

OMB Circular No. A-122 applies. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Special Olympics shall submit an application at such time, in such manner, and containing such information as the Department may require.

**Award Procedure:**

Applications will be reviewed by the Department.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be renewed annually for up to five years throughout the project period of the award depending on the availability of appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years subject to availability of appropriations. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Progress reports shall be made on an annual basis. Final reports shall be made at the end of the grant award period. Cash reports are not applicable. Grantees must submit an annual performance report (APR) as required under EDGAR 34 CFR 74.50. Expenditure reports are monitored through the APR. Program performance is monitored through the APR. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR, the awardee shall maintain accounts, records, and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under its award as stated in grant or contract terms and conditions. Generally records related to grant funds, compliance, and performance must be maintained for a period of 3 years from the date the grantee submits its final expenditure report for the funding period. 34 CFR 80.42.

**Account Identification:**

91-0300-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$8,078,810; FY 12 est \$8,000,000; and FY 13 est \$8,000,000

**Range and Average of Financial Assistance:**

One award for \$8,000,810 in FY 12.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR Part 300; 34 CFR Parts 74, 75, 76, 77, 79, 80, 81, 82, 85, and 86. (EDGAR).

**Regional or Local Office:**

None.

**Headquarters Office:**

Terry Jackson, Department of Education, OSERS Office of Special Education Programs 400 Maryland Ave., S.W., Washington, District of Columbia 20202 Email: terry.jackson@ed.gov Phone: (202) 245-6039.

**Website Address:**

<http://www2.ed.gov/programs/osepoly/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.382 STRENGTHENING MINORITY-SERVING INSTITUTIONS**

**FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Title III, Part F, Section 371(b)(2)(c)(ii), 371(b)(2)(D)(iii), and 371(b)(2)(D)(iv); Title VIII, Part AA, Section 897; Higher Education Act of 1965, as amended.

**OBJECTIVES:**

To strengthen Predominantly Black Institutions (PBI); Asian American and Native American Pacific Islander-Serving Institutions (AANAPISI); and Native American-Serving Nontribal Institutions (NASNTI) that propose to carry out activities to improve and expand such institution's capacity to serve low-income and minority students. To further advance educational opportunities for African Americans. For Masters Degree Programs at Historically Black Colleges and Universities (Section 723) and Masters Degree Programs at Predominantly Black Institutions (Section 724) to specified eligible institutions to further advance educational opportunities for African-Americans.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 371: Applicants under the PBI program (Section 371) may use funds to carry out programs in science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males. Applicants under the AANAPISI (Section 371) and NASNTI (Section 371) programs may use funds to assist such institutions with planning, developing, undertaking and carrying out activities to improve and expand the institution's capacity to serve Asian American and Native American Pacific Islanders and Native Americans. More specifically, AANAPISI grantees may use funds to carry out activities described in section 311(c). Applicants under the AANAPISI program may use funds to improve and expand their capacity to serve Asian American and Native American Pacific Islander students and low-income individuals. Grantees may use their funds for the purchase, rental, or lease of scientific or laboratory equipment for educational purposes; renovation and improvement in classrooms, libraries, laboratories, and other instructional facilities; support of faculty exchanges, faculty development, and

faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty; curriculum development and academic instruction; purchase of library books, periodicals, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; joint use of facilities, such as laboratories and libraries; academic tutoring and counseling programs and student support services. Uses of funds are restricted to the allowable activities described in Section 311(c) of the HEA. NASNTI grantees may use funds for the purchase, rental, or lease of scientific laboratory equipment for educational purposes, including instructional and research purposes; renovation and improvement in classroom, library, laboratory, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; the purchase of library books, periodicals, microfilm, and other educational materials, funds and administrative management, and acquisition of equipment for use in strengthening funds management; the joint use of facilities such as laboratories and libraries; and academic tutoring and counseling programs and student support services. Uses of funds under each program are restricted to the allowable activities described in Section 371 of the HEA. Section 897: Institutions in each program may use their funds to plan, develop, and implement activities that support: purchase, rental, or lease of scientific or laboratory equipment for educational purposes; construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities; purchase of library books, periodicals, technical and other scientific journals, microfilm, microfiche, and other educational materials; scholarships, fellowships, and other financial assistance for needy graduate students to permit the enrollment of the students in, and completion of, a masters degree in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines in which African Americans are underrepresented; establishment or maintenance of an institutional endowment; funds and administrative management; acquisition of real property that is adjacent to the campus in connection with the construction, renovation, or improvement of, or an addition to, campus facilities; education or financial information designed to improve the financial literacy and economic literacy of students or the students' families; tutoring, counseling, and student service programs; and faculty professional development, faculty exchanges, and faculty participation in professional conferences and meetings.

**Applicant Eligibility:**

At the time of application, PBIs must have an enrollment of undergraduate students that is at least 40 percent African American students. AANAPISI and NASNTI applicants must have, at the time of application, an enrollment of undergraduate students not less than 10 percent Asian American and Native American Pacific Islanders and Native Americans, respectively. Institutions eligible for Masters Degree Programs at HBCUs and PBIs are specified in Title VII Sections 723 and 724 of the HEA. An institution that is eligible for and receives an award under HEAs Title III Historically Black Graduate Institutions (HBGIs) or Title V Promoting Postbaccalaureate Opportunities for Hispanic Americans (Section 512) for a fiscal year is not eligible to apply for a grant or receive grant funding under Section 897 Masters Degree Programs for HBCUs and PBIs for the same fiscal year.

**Beneficiary Eligibility:**

The authorized beneficiaries are underrepresented; low-income; first-generation; minority; undergraduate students.

**Credentials/Documentation:**

Institutions of Higher Education (IHEs) must submit an application responding to the established selection criteria. Applicants must describe in detail, the need for the project and how the proposed activities will address the goals and objectives of the program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is subject to the requirements of the regulations in 34 CFR Part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review

of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each applicant must submit an application covering a period not to exceed 24-months to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and regulatory requirements. A discretionary grant is awarded to institutions of higher education if they score within funding range and contingent upon funds being available.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

An applicant is notified of award status within 30 days of the end of the competition.

**Appeals:**

Not Applicable.

**Renewals:**

Mandatory appropriations for PBIs, AANAPISIs, and NASNTIs are available for each fiscal year until 2019. Mandatory appropriations for Masters Degree Programs at HBCUs and PBIs are available every fiscal year until 2014. Awards are generally made around June 30 of each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants under Section 371 are made for up to 60 months. Grants under Section 897 are made for 72 months. See the following for information on how assistance is awarded/released: Electronic transfer.

**Reports:**

Institutions of higher education administering these grants must submit an annual performance report at the completion of each 12-month performance period. IHEs are also required to submit final reports ninety (90) days after the end of the grant. Staff monitor grants drawdown using agency financial reports. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Reporting on performance measures is required as part of the submittal of the required annual performance report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for 3 years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$5,000,000; FY 12 est \$5,000,000; and FY 13 est \$5,000,000 - AANAPISI. (Project Grants) FY 11 \$11,500,000; FY 12 est

\$11,500,000; and FY 13 est \$11,500,000 - Master's Degree Programs at HBCUs and PBIs. (Project Grants) FY 11 \$5,000,000; FY 12 est \$5,000,000; and FY 13 est \$5,000,000 - NASNTI. (Project Grants) FY 11 \$15,000,000; FY 12 est \$15,000,000; and FY 13 est \$15,000,000 - PBI.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of grant programs is governed by Sections 371 and 897 of the HEA and the Education Department General Administrative Regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Leonard Haynes Department of Education, Office of Postsecondary Education, Office of Higher Education Programs, Institutional Service, 1990 K. St., N.W., Washington, District of Columbia 20006 Email: leonard.haynes@ed.gov Phone: (202) 502-7549

**Website Address:**

<http://www2.ed.gov/about/offices/list/ope/idades/index.html>

**RELATED PROGRAMS:**

84.031 Higher Education\_Institutional Aid

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria can be found in EDGAR 34 CFR Part 75.210.

**84.403 CONSOLIDATED GRANT TO THE OUTLYING AREAS**

**FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

Title V, Public Law 95-134, 48 U.S.C 1469a.

**OBJECTIVES:**

To make an annual consolidated grant to assist an Insular Area in carrying out one or more State-administered formula grant programs of the Department. (i.e., -ESEA, Title I, Part A-Grants to LEAs; ESEA, Title I, Section 1003(g)-School Improvement Grants; ESEA, Title II, Part A-Teacher Quality Grants; ESEA, Title III, English Language Acquisition Grants; ESEA, Title IV, Part B-21st Century Community Learning Centers Grants; ESEA, Title V, Part A-State Grants for Innovative Programs; Adult Education and Family Literacy Act (AEFLA)-Section 243-Adult Education State Administered Program grants; Perkins Act, Title I-Career and Technical Education Basic State Grants; ESEA, Title VI, Part A-State Assessments; McKinney-Vento Homeless Assistance Act-Title VII-B Grants; ESEA, Title II, Part, B-Mathematics and Science Partnerships grants; ESEA, Title VI, Part B, Rural and Low-Income School Program.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

An Insular Area must use the funds it receives under a consolidated grant to carry out, in its jurisdiction, one or more of the programs included in the grant. (See above programs.). An Insular Area may only use and administer funds under the eligible programs to be consolidated described in section 76.125 (c) of Education Department General Administrative Regulations (EDGAR) during a fiscal year for which the Insular Areas is entitled to receive funds under an appropriation for that program.

**Applicant Eligibility:**

Virgin Islands, Guam, American Samoa and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Contact Program Office.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An Insular Area applies annually for a grant consolidating two or more of the programs eligible to be consolidated in accordance with the application requirements of EDGAR 76.131-76.132.

**Award Procedure:**

The Department awards a single consolidated grant annually to each Insular Area that meets the requirements of EDGAR 76.125 through 76.137 and each program under which the grant funds are to be used and administered. The Department may decide that one or more programs cannot be included in the consolidated grant if it is determined that the Insular Area failed to meet the program objectives stated in its plan for the previous fiscal year in which it carried out the programs. The eligibility of a particular Insular Area to receive grant funds under a Federal education program is determined under the statute and regulations for that program (EDGAR 76.130 (a), (b), (d)).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approval will be granted upon determination that the application meets the requirements of EDGAR 76.131 (1) and (2).

**Appeals:**

The Department shall not disapprove a consolidated grant, before offering the Insular Area an opportunity to revise the application and a hearing. (See 34 CFR 76.202.).

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards generally run for one fiscal year. See the following for information on how assistance is awarded/released: Contact the program office for the information.

**Reports:**

As required by EDGAR 76.132(5), an annual report is required to be submitted to the Secretary containing information covering the program or programs for which the grant is used and administered, including the financial and program performance information as required under 34 CFR 74.51-74.52 and 34 CFR 80.40-80.41. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR 76.132(7), the grantee keeps records, including a copy of the application document under which funds are to be spent, which show how the funds received under the consolidated grant have been spent.

**Account Identification:**

91-1000-0-1-501; 91-0400-0-1-501; 91-0900-0-1-501; 01-0200-0-1-501;  
91-0203-0-1-501; 91-1300-0-1-501.

**Obligations:**

(Formula Grants) FY 11 \$66,092,135; FY 12 est \$69,440,297; and FY 13 est \$0  
- Information for FYs 2013 is not yet available. Contact the program office for  
more information.

**Range and Average of Financial Assistance:**

Awards range from approximately \$8 million to \$20 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current  
Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

34 CFR 76, 77, 80, 81,82, and 85

**Regional or Local Office:**

None.

**Headquarters Office:**

Jenelle Leonard School Support and Rural Programs, Office of Elementary and  
Secondary Education, Department of Education, 400 Maryland Avenue, S.W.,  
LBJ Bldg. Room 3W203, Washington, District of Columbia 20202 Email:  
jenelle.leonard@e.gov Phone: (202) 401-3641

**Website Address:**

<http://www.ed.gov/about/offices/list/oesse/sst/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current  
Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**84.407 TRANSITION PROGRAMS FOR STUDENTS WITH INTELLECTUAL DISABILITIES INTO HIGHER EDUCATION****FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, as amended., Title VII, Part D, Section 767 and  
777(b), 20 U.S.C 1140G.

**OBJECTIVES:**

To support model demonstration programs that promote the successful  
transition of students with intellectual disabilities into higher education.

Funds also will support a coordinating center for institutions of higher  
education that offer inclusive comprehensive transition and postsecondary  
programs for students with intellectual disabilities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

An institution of higher education (IHE) shall use grant funds to establish a  
model comprehensive transition and postsecondary program for students with  
intellectual disabilities that 1) serves students with intellectual disabilities, 2)  
provides individual supports and services for the academic and social inclusion  
of students with intellectual disabilities in academic courses, extracurricular  
activities, and other aspects of the IHEs regular postsecondary program, 3)  
provides a focus on academic enrichment, socialization, independent living  
skills, including self-advocacy, and integrated work experiences and career  
skills that lead to gainful employment, 4) integrates person-centered planning in  
the development of the course of study for each student with an intellectual  
disability participating in the model program, 5) participates with the  
coordinating center established under section 777(b) of the Higher Education  
Act, as amended, in the evaluation of the model program, 6) partners with one

or more local education agencies to support students with intellectual  
disabilities participating in the model program who are still eligible for special  
education and related services under the Individuals with Disabilities Education  
Act, 7) plans for the sustainability of the model program after the end of the  
grant period, and 8) creates and offers a meaningful credential for student with  
intellectual disabilities upon the completion of the model program.

The coordinating center will provide recommendations related to the  
development of standards, provide technical assistance and evaluations for  
model demonstration programs. The center will assist in the development,  
evaluation, funding, outreach, and continuous improvement of model transition  
programs.

**Applicant Eligibility:**

Institutions of Higher Education or a consortia of IHEs are eligible for awards  
under this program.

**Beneficiary Eligibility:**

Grant funds establish model comprehensive transition and postsecondary  
programs for students with intellectual disabilities. Funds also support a  
coordinating center that provides technical assistance, for all comprehensive  
transition and postsecondary programs for students with intellectual disabilities.

**Credentials/Documentation:**

Each IHE or consortia of IHEs desiring a grant under this program shall submit  
an application to the Department at such time, in such manner, and containing  
or accompanied by such information as the Department may reasonably require.  
This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is  
not required for this program. This program is eligible for coverage under E.O.  
12372, "Intergovernmental Review of Federal Programs." An applicant should  
consult the office or official designated as the single point of contact in his or  
her State for more information on the process the State requires to be followed  
in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. Each IHE or consortia of IHEs must submit an  
application covering a 5-year period to the Department of Education.

**Award Procedure:**

Applications are reviewed for quality and compliance with statutory and  
regulatory requirements, and are scored by peer reviewers based on criteria  
included in the application package. The Department determines which  
applications will be funded based on the quality of the applications and the  
following factors: 1) providing for an equitable geographic distribution of  
grants, 2) providing grant funds for model comprehensive transition and  
postsecondary programs for students with intellectual disabilities that will serve  
areas that are underserved by programs of this type, and 3) giving preference to  
applicants that form a partnership with any relevant agency serving students  
with intellectual disabilities such as a vocational rehabilitation agency, integrate  
students with intellectual disabilities into housing offered to nondisabled  
students, or involve students attending the IHE who are studying special  
education, general education, vocational rehabilitation, assistive technology, or  
related fields in the model program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The estimated range of time need to approve/disapprove an  
application is usually 3 months after the deadline for submission.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are awarded for a period of 5 years, subject to the availability of  
appropriations.

**Formula and Matching Requirements:**



Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. Grantees must provide matching funds for model transition programs, in cash or in kind, of at least 25 percent of the cost of the grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are made for up to 5 years, subject to the availability of funds. See the following for information on how assistance is awarded/released: Grants funds are awarded by electronic transfer.

**Reports:**

Grantees must submit an annual performance report at such time, in such manner, and containing or accompanied by such information as the Department may reasonably require. Cash reports are not applicable. Progress report: Report requirements will be included in grant award documents. Expenditure reports: Report requirements will be included in grant award documents. Performance monitoring: Report requirements will be included in grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees must maintain appropriate records pertaining to grant funds, compliance and project performance, for 3 years after the completion of activities for which the grant or subgrant funds were used. This documentation should be sufficient to establish fiscal accountability and facilitate an effective audit.

The administration of the discretionary grant program is governed by the statute and EDGAR (34 CFR 74, 75, 77, 79, 82, 84, 86, 97, 98, and 99).

**Account Identification:**

91-0201-0-1-502.

**Obligations:**

(Project Grants) FY 11 \$10,978,000; FY 12 est \$10,957,252; and FY 13 est \$10,957,252

**Range and Average of Financial Assistance:**

Not currently available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The administration of the discretionary grant program is governed by the statute and EDGAR (34 CFR 74, 75, 77, 79, 82, 84, 86, 97, 98, and 99).

**Regional or Local Office:**

None.

**Headquarters Office:**

James Davis, Department of Education, Office of Postsecondary Education, Transition Programs for Students with Intellectual Disabilities Into Higher Education, 1990 K Street, N.W., Washington, District of Columbia 20006  
Email: james.davis@ed.gov Phone: (202) 502-7802.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for information on selection criteria.

**84.408 POSTSECONDARY EDUCATION SCHOLARSHIPS FOR VETERAN'S DEPENDENTS**

Iraq and Afghanistan Service Grant (IASG)

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

Higher Education Act of 1965, Executive Order Subpart 10, Title IV, Part A, Subpart 10, Section 420R.

**OBJECTIVES:**

To provide eligible veteran's dependent undergraduate postsecondary students with non-need based grant assistance to help meet educational expenses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The student must be an eligible veterans dependent whose parent or guardian was a member of the Armed Forces of the United States and died as a result of performing military service in Iraq or Afghanistan after September 11, 2001. At the time of the parent or guardians death, the student was less than 24 years of age or enrolled at an institution of higher education. The student must also be a U.S. citizen or eligible noncitizen who has been accepted for enrollment in, and is making satisfactory academic progress at an eligible institution of higher education. Eligible schools may be public or private nonprofit institutions of higher education, (such as colleges, universities, vocational-technical schools, hospital schools of nursing), and for-profit institutions (proprietary). Eligible males who are at least 18 years or older and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. Graduate students and students who have already earned a bachelor's degree are not eligible for assistance, except those enrolled in an eligible program leading to a professional certification in teaching.

**Applicant Eligibility:**

The student must be an eligible veterans dependent whose parent or guardian was a member of the Armed Forces of the United States and died as a result of performing military service in Iraq or Afghanistan after September 11, 2001. At the time of the parent or guardians death, the student was less than 24 years of age or enrolled at an institution of higher education. The applicants must be U.S. citizens or eligible noncitizens and have a high school diploma, a GED, or demonstrate the ability to benefit from the program offered. Applicants must apply annually using the Free Application for Federal Student Aid (FAFSA). To be eligible, the applicant must meet all IAS Grant eligibility requirements, and must not have a Federal Pell Grant eligible Expected Family Contribution (EFC).

**Beneficiary Eligibility:**

Eligible veterans dependent undergraduate students, and students pursuing a teaching certificate that are U.S. citizens or eligible noncitizens. Students must be: regular students in an eligible program and enrolled in institutions of higher education, making satisfactory academic progress. Incarcerated students, except those incarcerated in local penal facilities, are ineligible. Students must sign a statement of educational purpose, not owe a refund on a Title IV grant, and not be in default on a Title IV loan. Eligible males that are at least 18 years old and born after December 31, 1959, can receive aid only if they have registered with the Selective Service. The eligible veterans dependent student cannot receive both an Iraq and Afghanistan Service Grant and Federal Pell Grant during the same award year.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Student completes a "Free Application for Federal Student Aid" and submits it to the

processing agency specified on the form. Students may apply using a paper application, an electronic application, or via the Internet. The Department of Education calculates the student's financial eligibility for assistance and returns a notification to the student of his or her eligibility for assistance. The student submits this notification to the institution of his or her choice in order to have his or her award calculated.

**Award Procedure:**

Institutions act as disbursing agents for the Department of Education. The institution that the student attends calculates and disburses the IASG. The Secretary shall award grants under this section in the same manner, and with the same terms and conditions, including the length of the period of eligibility, as the Secretary awards Federal Pell Grants, except that the award rules and determination of need applicable to Federal Pell Grants shall not apply to grants under IASG. The amount of the IASG award is the same as the maximum Pell Grant for the award year, adjusted for the students enrollment status and cost of attendance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

An institution may adjust on a case-by-case basis a student's FAFSA data elements used to calculate his or her EFC and cost of attendance due to unusual circumstances documented by the institution.

**Renewals:**

Eligibility is determined annually.

**Formula and Matching Requirements:**

Statutory Formula: Higher Education Opportunity Act (HEOA), Public Law 110-315; Higher Education Act of 1965, Title IV, Part A, Subpart 10, Section 420R, as amended. The Department shall award grants under this formula section in the same manner, and with the same terms and conditions, including the length of the period of eligibility, as the Department awards Federal Pell Grants, except that the award rules and determination of need applicable to Federal Pell Grants shall not apply to grants under IASG. The amount of the IASG award is the same as the maximum Pell Grant for the award year, adjusted for the students enrollment status and cost of attendance. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Students are limited to one Iraq and Afghanistan Service Grant during any award year (July 1 through June 30). IASG funds are disbursed by each payment period, at least twice during an award year. Students may only receive an IASG until they have received a bachelor's degree, except for those enrolled in an eligible program leading to a professional certification in teaching. Students are limited to a maximum of 18 semesters or equivalent of IASG funding to receive their bachelors degree. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. IAS Grant recipient and all fiscal management records must be maintained by the institutions for a period of 3 years or until an acceptable audit has been completed, whichever is later.

**Records:**

No Data Available.

**Account Identification:**

91-0248-0-1-502.

**Obligations:**

(Formula Grants) FY 11 \$293,000; FY 12 est \$330,000; and FY 13 est \$391,000

**Range and Average of Financial Assistance:**

For FY 2011, grants will range from \$555-\$5,550; the average grant is estimated at \$4,418 For FY 2012, grants are expected to range from \$555-\$5,550; the average grant is estimated at \$4,428. For FY 2013, grants are expected to range from \$555-\$5,635, the average grant is estimated at \$4,476.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Less than 1,000 recipients are expected. Fiscal Year 2012: Less than 1,000 recipients are expected. Fiscal Year 2013: Less than 1,000 recipients are expected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing administration of the IAS Grant Program are expected to be similar to the Pell Grant Program found in 34 CFR 600, 668, and 690. Funding Education Beyond High School; Free Application for Federal Student Aid; "The Student Financial Aid Handbook."

**Regional or Local Office:**

See Regional Agency Offices. Federal Student Aid Information Center. Telephone: 1-800-433-3243. Regional Director, Federal Student Aid, the Director of Student Financial Aid at the institution the student wishes to attend, high school guidance counselors, or directors of State agencies.

**Headquarters Office:**

Federal Student Aid Information Center, Federal Student Aid, Department of Education, 400 Maryland Ave., S.W., Washington, District of Columbia 20202, Phone: (800) 433-3243

**Website Address:**

<http://www.ifap.ed.gov> and [www.FederalStudentAid.ed.gov](http://www.FederalStudentAid.ed.gov)

**RELATED PROGRAMS:**

84.007 Federal Supplemental Educational Opportunity Grants; 84.033 Federal Work-Study Program; 84.042 TRIO\_Student Support Services; 84.044 TRIO\_Talent Search; 84.047 TRIO\_Upward Bound; 84.063 Federal Pell Grant Program; 84.066 TRIO\_Educational Opportunity Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants are awarded to postsecondary education students based on the provisions of the Higher Education Opportunity Act (HEOA), Public Law 110-315; Higher Education Act of 1965, Title IV, Part A, Subpart 10, Section 420R, as amended.

**84.411 INVESTING IN INNOVATION (i3) FUND**

Investing in Innovation (i3) Fund

**FEDERAL AGENCY:**

Office of Innovation and Improvement, Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Title XIV, Public Law 111-5.

**OBJECTIVES:**

To provide competitive grants to (a) local educational agencies (LEAs) or (b) partnerships between a nonprofit organization and one or more LEAs or a consortium of schools with a record of improving student achievement and attainment in order to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Department will award three types of grants: Scale-up, Validation, and Development. Funds will (1) allow eligible entities to expand and develop innovative practices that can serve as models of best practice; (2) allow eligible entities to work in partnership with the private sector and the philanthropic community; and (3) support eligible entities in identifying and documenting best practices that can be shared and taken to scale based on demonstrated success.

**Applicant Eligibility:**

(1) LEAs and (2) nonprofit organizations in partnership with (a) one or more LEAs or (b) a consortium of schools.

**Beneficiary Eligibility:**

High-need students in LEAs will benefit.

**Credentials/Documentation:**

OMB Circulars No. A-110 and A-122 apply to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Department of Education implements application procedures and criteria to award grants on a competitive basis. Applicants must apply for one of three types of grants: Scale-up, Validation, or Development and must apply to one of four absolute priorities. Applicants for all types of grants may choose to write to any of six competitive preference priorities. Applications are reviewed by panels of peer reviewers. Points are awarded on the basis of the published selection criteria, are ranked on the basis of the points awarded, and are selected for funding based on the rank order.

**Award Procedure:**

To be eligible to receive an i3 grant, applicants must implement practices, strategies, or programs for high-need students. An LEA applying on its own must demonstrate that it has: (a) closed achievement gaps or improved achievement for all groups of students, and (b) achieved significant improvement in other areas. A partnership involving a non-profit organization must demonstrate that the organization has a record of significantly improving student achievement, attainment, or retention through its record of work with an LEA or schools. Applicants must also (1) address one of the absolute priorities; (2) secure matching funds from the private sector as specified in the Notice Inviting Applications published in the Federal Register; and (3) meet the evidence requirement applicable to the type of grant for which the applicant applied.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 4 months from receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Matching requirements are applicable to this program. Applicants must secure matching funds from the private sector as specified in the Notice Inviting Applications published in the Federal Register. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Applicants may request awards of 3, 4, or 5 years. For FY 2011, funds for all years will be awarded in 2011. See the following for information on how assistance is awarded/released: The information will be included in the grant award documents.

**Reports:**

Annual performance reports (ED 524B). Report requirements will be included in grant award documents. Report requirements will be included in grant award documents. Report requirements will be included in grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All grantees are subject to the provisions of the Single Audit Act, 31 U.S.C. 75, and OMB circular A-133.

**Records:**

Each recipient must maintain records that fully disclose the total cost of the activity for which the funds are used, and the share of the cost provided from other sources, and other such records as will facilitate an effective financial or programmatic audit. The recipient must maintain such records for three years after the completion of the activity for which funds are used.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$149,700,000; FY 12 est \$149,417,067; and FY 13 est \$150,000,000

**Range and Average of Financial Assistance:**

Range: \$3,000,000-\$25,000,000; Average: \$7,727,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided funding to 23 projects (1 Scale-up, 5 Validation and 17 Development). Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Education Department General Administrative Regulations (EDGAR) in 34CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. The notice of final priorities requirements, definitions, and selection criteria (NFP) for this program published in the Federal Register.

**Regional or Local Office:**

None.

**Headquarters Office:**

Margo Anderson 400 Maryland Ave. S.W., Washington, District of Columbia 20202 Email: Margo.Anderson@ed.gov Phone: 202-205-3010

**Website Address:**

<http://www.ed.gov/programs/innovation/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects focused on promoting science, technology, engineering and mathematics (STEM) education, increasing achievement and high school graduation rates in rural schools, supporting effective teachers and principals, implementing high standards and high-quality assessments, and turning around persistently low-performing schools. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be contained in the program guidance.

**84.412 RACE TO THE TOP EARLY LEARNING CHALLENGE  
RTT-ELC**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Executive Order Division

A, Title XIV, Sections 14005, 14006 and 14013, Public Law 111-5, as amended, Department of Defense and Full-Year Continuing Appropriations Act, 2011, Consolidated Appropriations Act of 2012.

**OBJECTIVES:**

To improve the quality of early childhood programs and to close the achievement gap for high-need children. The RTT-ELC grant competition focuses on improving early learning and development programs for young children by supporting States' efforts to: (1) increase the number and percentage of low-income and disadvantaged children in each age group of infants, toddlers, and preschoolers who are enrolled in high-quality early learning programs; (2) design and implement an integrated system of high-quality early learning programs and services; and (3) ensure that any use of assessments conforms with the recommendations of the National Research Council's reports on early childhood.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The RTT-ELC grants support States efforts increase the number and percentage of low-income and disadvantaged children in each age group of infants, toddlers, and preschoolers who are enrolled in high-quality early learning programs, and to design and implement an integrated system of high-quality early learning programs and services.

**Applicant Eligibility:**

States. Contact the program office for additional eligibility criteria.

**Beneficiary Eligibility:**

Infants, preschool children.

**Credentials/Documentation:**

Contact the program office. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A panel appointed by the Secretary reviews each application and evaluates the application on the basis of selection criteria published in the Federal Register. The program office reviews financial information to ensure that costs reflect required program elements. The Secretary makes awards based on applicant scores. This program is subject to coverage under OMB Circular No. A-102.

**Award Procedure:**

The Secretary of Education and Secretary of Health and Human Services determine which States receive Race to the Top Early Learning Challenge grants and the amount of those grants, on the basis of the States applications under section 1832(b)(1) and other criteria the Secretaries determines to be appropriate.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 days following the deadline for submitting applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period of grants is four years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Details will be included in grant award documents. Details will be included in grant award documents. Details will be included in grant award documents. Details will be included in grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State-administered programs (34 CFR 76.730-731). Generally, the State and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$497,293,648; FY 12 est \$133,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 11: \$44,858,313 - \$69,993,362, average: \$55,254,850; FY 12: To be determined.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department awarded nine grants with FY 2011 funds and expects to award five grants with FY 2012 funds. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

<http://www.ed.gov/programs/racetothetop-earlylearningchallenge>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah Spitz Office of Early Learning, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: [deborah.spitz@ed.gov](mailto:deborah.spitz@ed.gov) Phone: (202) 260-3793

**Website Address:**

<http://www.ed.gov/programs/racetothetop-earlylearningchallenge>

**RELATED PROGRAMS:**

84.173 Special Education\_Preschool Grants; 84.181 Special Education-Grants for Infants and Families; 84.416 Race to the Top - District Grants; 93.575 Child Care and Development Block Grant; 93.600 Head Start; 93.708 ARRA - HEAD START; 93.709 ARRA EARLY HEAD START

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Please see <http://www2.ed.gov/programs/racetothetop-earlylearningchallenge/awards.html>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria were described in the notices inviting applications in 2011 and 2012.

**84.413 RACE TO THE TOP**

**FEDERAL AGENCY:**

Department of Education

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Division A, Title XIV, Sections 14005, 14006 and 14013, Public Law 111-5, as amended; Department of Defense and Full-Year Continuing Appropriations Act, 2011, Division B, Title VIII, Section 1832(b)(1), Public Law 112-10.

**OBJECTIVES:**

To reward States that have made significant progress in achieving equity in teacher distribution; establishing a longitudinal data system; enhancing assessment for English language learners and students with disabilities; improving academic content and achievement standards; and providing effective support to schools identified for corrective action and restructuring.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Race to the Top grants will reward States that have made significant progress in improving the equitable distribution of qualified teachers; establishing longitudinal data systems; enhancing the quality of assessments; improving academic content and achievement standards; and providing effective support to schools identified for corrective action and restructuring. States receiving an incentive grant shall use at least 50 percent of its grants to provide school districts with subgrants based on their most recent relative Title I allocations.

**Applicant Eligibility:**

In fiscal year 2011, eligibility was limited to States that were finalists but did not receive funding under the 2010 Race to the Top Fund Phase 2 competition.

**Beneficiary Eligibility:**

States, local educational agencies, public elementary and secondary schools, students, teachers and parents are potential beneficiaries.

**Credentials/Documentation:**

Contact the program office. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The Secretary proposes the following requirements for awards under Phase 3 of the Race to the Top Fund. The Department will make awards through a two-part process. Under Part I, eligible applicants must submit an application that meets the requirements of section II and the assurances required under section III(a) through (f) in this notice. Section II includes a new requirement for active participation in a Race to the Top assessment consortium, reflecting the importance of high quality assessment systems to the successful implementation of the comprehensive statewide reforms envisioned under the Race to the Top program. Under Part II of the application process, applicants that meet the requirements of Part I and receive notification of the amount of funds they will receive must submit a detailed plan and budget describing the activities selected from the States Race to the Top Phase 2 application that will be implemented with Phase 3 funding, including an explanation of why the applicant has selected these activities and why the applicant believes such activities will have the greatest impact on advancing their overall statewide reform plans. The plan also must include a description of the process for allocating at least 50 percent of Phase 3 funds to participating LEAs and the activities to be implemented with LEA-level funds.

**Award Procedure:**

The Secretary of Education will determine which States receive Race to the Top grants, on the basis of the States applications under section 14005 and other criteria the Secretary determines appropriate, which may include a States need for assistance. The Secretary will make Race to the Top awards in FY 2012.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

The Secretary of Education will determine which States receive grants and the amount of those grants.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be made by December 31, 2011. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports will be required; details will be included in grant award documents. Program reports will be required; details will be included in grant award documents. Program reports will be required; details will be included in grant award documents. Program reports will be required; details will be included in grant award documents. Program reports will be required; details will be included in grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

As required by EDGAR for State administered programs (34 CFR 76.730-731). Generally, the State and its subgrantees must retain records related to grant funds and compliance for a period of 3 years from the date the grantee or subgrantee submits its final expenditure report for that funding period. 34 CFR 80.42. Also, all records supporting claims for Federal funds or relating to the accountability of the grantee for the expenditure of such funds must be accessible for administrative review.

**Account Identification:**

91-0204-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$199,500,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range: \$17,037,544 - \$42,818,707. Average: \$28,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Department made seven awards in 2011. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Guidance and technical assistance are posted at <http://www2.ed.gov/program/racetothetop/phase3-resources.html>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

MeredithFarace Implementation and Support Unit, Office of the Deputy Secretary, U.S. Department of Education, 400 Maryland Ave., SW, Washington, District of Columbia 20202 Email: [meredith.farace@ed.gov](mailto:meredith.farace@ed.gov) Phone: 202-401-8368

**Website Address:**

<http://www2.ed.gov/programs/racetothetop/phase3-resources.html>

**RELATED PROGRAMS:**

84.412 Race to the Top Early Learning Challenge ; 84.416 Race to the Top - District Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Please see <http://www2.ed.gov/programs/racetothetop/phase3-applications/index.html>.  
Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria were contained in the notice inviting applications in 2011.

**84.414 GRADUATE RESEARCH OPPORTUNITIES FOR MINORITY STUDENTS (MINORITIES AND RETIREMENT SECURITY PROGRAM) FEDERAL AGENCY:**

Office of Postsecondary Education, Department of Education

**AUTHORIZATION:**

Social Security Act, Part 1110(a), 42 U.S.C 1310(a).

**OBJECTIVES:**

To support competitive post-graduate grants to apprentice scholars at selected minority serving graduate institutions in the area of retirement security (financial literacy, personal savings, labor force planning, spending patterns, personal debt, etc.) for low- to moderate-income individuals.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grantees will be expected to plan, initiate, and maintain a research program that will broadly cover retirement security issues; disseminate research findings; and train and provide funding support for graduate students to conduct research on retirement security. Eligible institutions must use grant funds for retirement security issues only.

**Applicant Eligibility:**

Eligible institutions include institutions of higher education (IHE) grantees receiving grants from Historically Black Graduate Institutions (HBGIs); Historically Black Colleges and Universities (HBCUs) Masters ; Promoting Postbaccalaureate Opportunities for Hispanic Americans; and the Predominantly Black Institutions programs.

**Beneficiary Eligibility:**

Researchers and graduate students researching retirement security will benefit.

**Credentials/Documentation:**

Applicants must provide evidence of being grantees from the programs listed under the eligible applicant section. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

An informal preapplication conference is recommended. All applicants must go through the Intergovernmental Review of Federal Programs. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications will be screened, reviewed, and scored by the Social Security Administration (SSA) to ensure that SSA standards are met.

**Award Procedure:**

The Department of Education will review the SSA screened applicants and will award grants from the slate of eligible applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be awarded for 1 year of funding. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reporting requirement will be included in the grant award documents.  
Reporting requirement will be included in the grant award documents.  
Reporting requirement will be included in the grant award documents.  
Expenditure reports are not applicable. Reporting requirement will be included in the grant award documents.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Reporting requirement are found in EDGAR 74.53(b).

**Account Identification:**

91-0201-0-1-503.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$481,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

The Department expects to award 4 awards averaging \$120,000 in FY 2012.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The requirements set forth in CFDA 96.007 will be used for this program. Funds are available for obligation by the Department of Education until expended. Funds not obligated in one fiscal year may be carried over into the next fiscal year until all funds are expended by the program.

**Regional or Local Office:**

None.

**Headquarters Office:**

Nalini Lamba-Nieves Institutional Service  
Higher Education Programs  
Office of Postsecondary Education  
1990 K St. NW, Room 6062, Washington , District of Columbia 20006 Email: Nalini.Lamba-Nieves@ed.gov Phone: 202-502-7562

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact the program office for program criteria.

**84.415 STATE TRIBAL EDUCATION PARTNERSHIP (STEP) FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

**AUTHORIZATION:**

ESEA, Title VII, Part A, Subpart 3.

**OBJECTIVES:**

To (a) promote increased collaboration between Tribal Educational Agencies (TEAs) and State educational agencies (SEAs) in the administration of the Elementary and Secondary Act (ESEA) State-administered formula grant programs; and (b) build the capacity of TEAs to (1) perform certain State-level functions under those programs for schools located on reservations, and thereby increase TEAs' role in the education of American Indian/Alaska Native (AI/AN) students, including education to meet their unique educational and cultural needs, and (2) improve the achievement of AI/AN children.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds will be used for the implementation of collaborative agreements, entered into by TEAs and SEAs under which the TEAs perform certain State-level functions under State-administered ESEA formula grant programs for schools located on reservations.

**Applicant Eligibility:**

Eligible entities include a TEA in partnership with an SEA or a consortium of TEAs in partnership with an SEA.

A TEA consortium application must comply with the Department's regulations governing group applications in 34 CFR 75.127-75.129, and must include a signed consortium agreement that identifies each member of the consortium, binds each member of the group to every statement and assurance made by the applicant in the application, and details the activities that each member of the group will perform under the grant. Letters of support from proposed consortium members do not meet the requirement for a consortium agreement.

**Beneficiary Eligibility:**

TEAs and SEAs, Indian students and teachers will benefit.

**Credentials/Documentation:**

To be eligible for an award, an applicant must include evidence that supports the applicant's eligibility including: a) a copy of a written signed Preliminary Agreement between the TEA(s) and the SEA; b) certification by the eligible Indian Tribe that the applicant TEA meets the definition of a TEA; c) certification by the eligible Indian Tribe that the tribe has land that meets the definition of Indian Reservation and specifies the census designation under which it qualifies; and d) confirmation by the SEA that the schools participating in the project are public schools operating on the Indian Reservation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Potential applicants are strongly encouraged to notify the Department of the applicant's intent to apply for funding by sending the following information via email to STEP@ed.gov; (1) applicant name, mailing address and phone number; (2) contact person's name and email address; (3) name of the SEA; (4) whether the applicant intends to apply as a single TEA or a consortium of TEAs.

The Department also plans to hold pre-applications Webinars designed to provide technical assistance to interested applicants. Detailed information regarding the Webinars will be provided in a notice in the Federal Register and at the following Department website:

<http://www2.ed.gov/programs/step/index.html>. Frequently Asked Questions about the program may be found at

<http://www2.ed.gov/programs/step/index.html>. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applications must be prepared and submitted in accordance with applicable program announcements.

**Award Procedure:**

Applications will undergo peer review with the final decision on award approval and funding made by the Secretary.

**Deadlines:**

Aug 09, 2012

**Range of Approval/Disapproval Time:**

The time of approval is expected to be approximately 2 months following the deadline for applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards may be made for up to 3 years subject to satisfactory performance and the availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reporting requirements will be included in the grant award document. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Specific audit requirements are found in Part 80 of EDGAR.

**Records:**

As required by EDGAR, 34 CFR 75.730-734.

**Account Identification:**

91-0101-0-1-501.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$1,996,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

The average award is expected to be \$450,000 for a single TEA or \$600,000 for a consortium of TEAs.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to EDGAR 34 CFR parts 74-75, 77, 79-82, 84-86, 97-99, and the debarment and suspension regulations at 2 CFR Part 3485. Note: Part 79 does not apply to federally-recognized Indian tribes.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joyce Silverthorne Office of Indian Education  
400 Maryland Ave, SW, Washington, District of Columbia 20202 Email:  
Joyce.Silverthorne@ed.gov Phone: 202-401-0767

**Website Address:**

<http://www2.ed.gov/about/offices/list/oese/oie/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are contained in the Education Department General

Administrative Regulations (EDGAR) 34 CFR 75.210.

## **84.416 RACE TO THE TOP - DISTRICT GRANTS**

### **FEDERAL AGENCY:**

Office of Elementary and Secondary Education, Department of Education

### **AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA), Section 14005-14006;  
Consolidated Appropriations Act of 2012, Public Law 112-74.

### **OBJECTIVES:**

To fund local educational agencies in the development and implementation of strategies, structures and systems with personalized, student-focused approaches to teaching and learning that use collaborative, data-based strategies and tools to deliver instruction and supports tailored to the needs and goals of each student, with the goal of enabling all students to graduate college- and career-ready.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

To fund local educational agencies in the development and implementation of strategies, structures and systems with personalized, student-focused approaches to teaching and learning that use collaborative, data-based strategies and tools to deliver instruction and supports tailored to the needs and goals of each student, with the goal of enabling all students to graduate college- and career-ready. Grants will provide funding for local educational agencies (LEAs), or a consortium of LEAs, to create student centered learning environments that are designed to: significantly improve teaching and learning through the personalization of strategies, tools, and supports for teachers and students that are aligned with college- and career-ready standards; increase the effectiveness of educators, and expand student access to the most effective educators in order to raise student achievement; decrease the achievement gap across student groups; and increase the rates at which students graduate from high school prepared for college and careers.

### **Applicant Eligibility:**

Only local educational agencies or a consortium of LEAs are eligible applicants.

### **Beneficiary Eligibility:**

States, local educational agencies, public elementary and secondary schools, students, parents and teachers will benefit.

### **Credentials/Documentation:**

Circular A-87 applies to this program. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants are encouraged to notify the program office of its intent to apply. Applicants will submit an application that meets the eligibility and applications requirements, addresses the absolute priorities, and responds to selection criteria.

### **Award Procedure:**

Peer reviewers will read and score eligible applicants. Awards will be made from a rank-order list of highly scored applications based on quality according to the selection criteria and using other relevant information deemed appropriate.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Funds will be awarded in a lump sum by December 31 for the entire 48 month project period. All funds will expire 4 years from award date. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Contact the program office for details. Contact the program office for details.  
Contact the program office for details. Contact the program office for details.  
Contact the program office for details.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

As required by EDGAR for direct grant programs (34 CFR 75.730-732), the grantee must keep records of funds received under the grant, total cost of the project, and other records to facilitate an effective audit. Additionally, the grantee must keep records of compliance with program requirements, significant project experiences and results, accomplishing project objectives and as necessary, revising project objectives. EDGAR (34 CFR 80.42) also requires that all records be retained from the starting date of the grant to three years from the date the grantee submits its final reports (programmatic and financial).

### **Account Identification:**

91-2024-0-1-501.

### **Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$383,000,000; and FY 13 Estimate Not Available

### **Range and Average of Financial Assistance:**

Varies depending on the number of students served.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see <http://www2.ed.gov/programs/racetothetop-district/index.html>.

### **Regional or Local Office:**

None.

### **Headquarters Office:**

Meredith Farace Implementation and Support Unit  
Office of the Deputy Secretary  
400 Maryland Ave, SW, Washington, District of Columbia 20202 Email:  
Meredith.Farace@ed.gov Phone: 2024018368

### **Website Address:**

<http://www.ed.gov/programs/racetothetop-district>

### **RELATED PROGRAMS:**

84.413 Race to the Top

### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

### **CRITERIA FOR SELECTING PROPOSALS:**

Criteria will be included in the program guidance.



#### **84.417 DIRECTED GRANTS AND AWARDS**

##### **FEDERAL AGENCY:**

Department of Education

##### **AUTHORIZATION:**

Act to Promote the Education of the Blind, 20 U.S.C 101; Education for the Deaf Act; Higher Education Act.

##### **OBJECTIVES:**

Objectives of the programs vary based on the directed grant award. Awards are made to specified institutions for purposes specified in the appropriations or authorization bills.

##### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

##### **USES AND USE RESTRICTIONS:**

Awards are made to specified institutions for purposes specified in the appropriations or authorization bills. Restrictions are included in the award documents for grant.

##### **Applicant Eligibility:**

The use of the grants varies based on the appropriation and authorization language.

##### **Beneficiary Eligibility:**

The National Technical Institute for the Deaf (NTID), American Printing House for the Blind (APHB), Gallaudet University, Howard University, and other institutions and organization will benefit.

##### **Credentials/Documentation:**

Credentials and documentation requirements vary and are included in award documents. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

##### **Award Procedure:**

Award procedures vary by grant and are included in the award documents.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

Not Applicable.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

Not Applicable.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Funds are available for one year unless otherwise specified in grant award documents. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

Reporting requirements are specified in grant award documents. Reporting requirements are specified in grant award documents. Reporting requirements are specified in grant award documents. Reporting requirements are specified in grant award documents. Performance monitoring is not applicable.

##### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133.

Audit requirements are specified in grant award documents.

##### **Records:**

Records requirements are specified in grant award documents.

##### **Account Identification:**

91-0600-0-1-502; 91-0602-0-1-502; 91-0601-0-1-502; 91-0603-0-1-502.

##### **Obligations:**

(Direct Payments for Specified Use) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

##### **Range and Average of Financial Assistance:**

No Data Available.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

##### **Regional or Local Office:**

None.

##### **Headquarters Office:**

Nancy Martin Rm 5W341  
400 Maryland Ave., SW, Washington, District of Columbia 20202 Email:  
NANCY.MARTIN@ED.GOV Phone: 202.401.0292

##### **Website Address:**

No Data Available

##### **RELATED PROGRAMS:**

Not Applicable.

##### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

##### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION**

#### **85.102 CHRISTOPHER COLUMBUS AWARDS**

##### **FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

##### **AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

##### **OBJECTIVES:**

The Christopher Columbus Awards is a national, community-based science and technology program for middle school students. The program challenges the students to work in teams of three to four with an adult coach, to identify an issue in their community and apply the scientific method to create an innovative solution to that problem.

##### **TYPES OF ASSISTANCE:**

Project Grants (Special)

##### **USES AND USE RESTRICTIONS:**

All members of two Gold Medal winning teams are presented with U.S. Savings Bonds and one team wins the Columbus Foundation Community Grant. The grant must be used to further develop the team's solution to the community issue they addressed in the competition. The grant team will work with a community partner on the project throughout the next year.

##### **Applicant Eligibility:**

Applicants are teams of three to four students in sixth through eighth grade with a coach, who identify a problem in their community and solve it using the scientific method.

##### **Beneficiary Eligibility:**

U.S. citizens, middle school students.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application materials may be requested by individuals who meet the eligibility requirements stated above. Entry forms and all competition information are available for download at: [www.christophercolumbusawards.com](http://www.christophercolumbusawards.com) or may be requested by calling (800) 291-6020 ext. 3154. Completed entries must be received by February 6, 2012. The program is sponsored by the Christopher Columbus Fellowship Foundation and managed by MMS Education, 105 Terry Drive, Newtown, PA 18940, Attn: Stephanie Hallman. Entries are accepted from teams of three to four students in grades six to eight from all 50 states, territories and possessions only. All team entries must include: a Christopher Columbus Awards Entry form (signed by team members and the coach), a team-written section and the visual component. To enter, mail the original and two copies of the team's community solution to: Christopher Columbus Awards, 105 Terry Drive, Suite 120, Newtown, PA 18940.

**Award Procedure:**

The Christopher Columbus Awards have three judging phases. The teams' entries are reviewed by a regional panel of judges who select 30 semifinalist teams. Another judging panel selects six finalist teams and their coaches. The finalist teams receive an all-expense-paid trip to Florida to attend The Christopher Columbus Academy and National Championship Week, where they compete for U.S. Savings Bonds and the \$25,000 Columbus Foundation Community Grant. The finals and the Christopher Columbus Academy are held at Walt Disney Resorts, Orlando, FL, from June 10-15, 2012.

**Deadlines:**

Feb 06, 2012 The deadline is in early February each year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

12-18 months. See the following for information on how assistance is awarded/released: U.S. Savings Bonds are presented following the awards ceremony. The grant is paid in installments upon the approval and under the direction of the Program Manager.

**Reports:**

Program reports are not applicable. No cash reports are required. Interim progress reports regarding the grant project. Final report on project. Receipts of all expenses and travel incurred regarding the grant project. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

76-8187-0-7-502.

**Obligations:**

(Project Grants (Special)) FY 11 Not Available; FY 12 est \$265,000; and FY 13 est \$250,000

**Range and Average of Financial Assistance:**

\$2,000 U.S. Savings bonds  
\$25,000 Grant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, the \$25,000 Columbus Foundation Community Grant went to The River Rangers team from Ripley Aquarium, Myrtle Beach, SC. Highlighting the problems brought about by abandoned boats on rivers and the Intercoastal Waterway, the team developed a Community outreach to educate the community about the environmental problems created by abandoned boats, and creation of an alarm system to alert boaters of navigational hazards. The PickUp Patrol team from Mont Vernon Village School, Mont Vernon, NH, won gold medals and \$2,000 U.S. Savings Bonds for each team member. Highlighting the communications problems between parents and school administration when students' end-of-day travel plans change, the team developed the PickUp Patrol, an electronic system that allows parents to change a child's after-school travel plans with the school by computer or mobile device. The Solar Solution to Fossil Fuels team from the Mirman School, Los Angeles, CA, won gold medals and \$2,000 U.S. Savings Bonds for each team member. Highlighting the problem of the diminishing supply of fossil fuels and the pollution they cause, the team developed The Solar Solution to Fossil Fuels, a unique solar collection system that is functional anywhere in the world. Fiscal Year 2012: In 2012, two of the six Finalist teams received Gold Medals and \$2,000 per team member for their winning projects. The competition is designed for teams of middle school-age students, and gives the students experience in solving problems using the scientific process of exploring, analyzing and drawing conclusions. The Incrediveyor! team comprised of three members from Gahanna Middle School, Gahanna, OH and one member from Mont Vernon Village School, Mont Vernon, NH, won Gold Medals and \$2,000 for each team member. Highlighting the problem of dangerous bacteria on grocery store conveyor belts that can contaminate food, the team developed the Incrediveyor, a checkout belt made of hydrophobic, Teflon-coated glass fiber fabric that is continuously sanitized. The Pinelands Eco Scientists team from All Saints Regional Catholic School, Manahawkin, NJ, won Gold medals and \$2,000 for each team member. Highlighting many third world countries' dependence on wood as primary source of fuel, the team developed a low-cost briquette press that utilizes bio-waste products as a new source of cooking fuel. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Judith Shellenberger, 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: [JUDITHMSCOLUMBUS@CS.COM](mailto:JUDITHMSCOLUMBUS@CS.COM) Phone: (315) 258-0090 Fax: (315) 258-0093.

**Website Address:**

<http://www.christophercolumbusawards.com> or <http://www.columbusfdn.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.104 LIFE SCIENCES AWARDS**

**FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

The Life Sciences Awards are designed to encourage and promote cutting

edge innovation in the field of life sciences. Monetary Awards will be presented to an adult scientist; a high school educator; and two high school students.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No restrictions for Direct Payments for award to scientists, high school educator or current high school students.

**Applicant Eligibility:**

This is a competition NOT a grant application. Individuals compete and their accomplishments are judged on how they exemplify excellence in life sciences. Nominees must be involved in the field of life sciences research or life sciences education as follows: scientist; current high school educator; current high school students in Biology, Chemistry or other life sciences courses.

**Beneficiary Eligibility:**

In public/private partnership with the U.S. Chamber of Commerce, the Foundation will present four Life Sciences Awards to U.S. citizens permitted by their employer or any other relevant authority to accept a monetary award bestowed by the Christopher Columbus Fellowship Foundation, a Federal government agency. Four monetary awards will be presented as follows: one \$10,000 award to a scientist; one \$5,000 award to a current high school educator; and two \$1,000 awards to current high school students in Biology, Chemistry or other life sciences course who are judged to exemplify excellence in life sciences.

**Distinguished Life Sciences Scientist Award**

The \$10,000 Distinguished Life Sciences Scientist Award will be presented to a scientist who is making or has recently made a significant and positive contribution related to developing a "cutting edge" innovation in the field of life sciences.

**Life Sciences Educator Awards**

The \$5,000 Life Sciences Educator Award will be presented to a current high school educator, with at least five years of teaching experience, and who is making or has recently made a significant and positive contribution related to promoting the study of life sciences to students.

**Life Sciences Student Awards**

Two \$1,000 Life Sciences Student Awards will be presented to current high school students who are making or have recently made significant and positive contributions related to the study of Biology, Chemistry and other life science courses.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Only Nominations that meet the eligibility requirements are accepted. Nominations will be accepted from all 50 States. All Nominations are received online at [www.columbusfoundationawards.org](http://www.columbusfoundationawards.org). The deadline is Tuesday, March 27, 2012.

**Award Procedure:**

All Nominations are read by the Board of Trustees of the Christopher Columbus Fellowship Foundation to select the Semifinalists. Nominators are notified of the Nominees selection as a Semifinalist and asked to provide background material to support the Nomination. A national Evaluation Committee reviews and comments on the Semifinalists background material. The Foundation Board and the U.S. Chamber ultimately select the winners. The Awards will be presented in Washington, D.C., in July 2012.

**Deadlines:**

Jan 05, 2012 to Mar 27, 2012

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Lump sum payments awarded at ceremony. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

76-8187-0-7-502.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$25,000; FY 12 est \$0; and FY 13 est \$0 - In 2010 and 2011 only, an additional \$25,000 in research funds was presented to the recipient of the Chairmen's Distinguished Life Sciences Award to be used to hire a graduate student to assist with the research or the funds may be used toward the research itself. In order to receive the research funds, a comprehensive outline on the research project must be submitted and approved by the Foundation. (Direct Payments with Unrestricted Use) FY 11 \$95,000; FY 12 est \$17,000; and FY 13 est \$17,000 - In 2008 and 2009, Awards were presented as follows: one \$25,000 Award per year to a scientist/researcher; one \$10,000 Award per year for a high school AP Biology or AP Chemistry teacher; one \$5,000 Award per year for an AP Biology student and one \$5,000 Award per year for an AP Chemistry student.

In 2010 and 2011, the number of awards was increased to seven as follows: one \$25,000 award to an adult scientist or researcher with an additional \$25,000 for research funds; three \$10,000 awards to a current high school educators; and three \$5,000 awards to current secondary high school students who are judged to exemplify excellence in the field of life sciences. Two high school student awards were presented in 2010. In 2012, one \$10,000 Distinguished Life Sciences Scientist Award, one \$5,000 Life Sciences Educator Award and two \$1,000 Awards will be presented.

**Range and Average of Financial Assistance:**

\$1,000-\$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, the Fourth Annual Life Sciences Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation, a Federal government agency, and the U. S. Chamber of Commerce were presented on July 11 in Washington, D.C. The Awards are intended to recognize, through seven monetary awards and research funds, one scientist and provide research funds; three high school educators; and three current high school students who are judged to exemplify excellence in the field of life sciences.

Melissa Knothe Tate, Ph.D., Professor of Biomedical Engineering, Case Western Reserve University, Cleveland, OH, was awarded the \$25,000 Chairmen's Distinguished Life Sciences Scientist Award. Dr. Knothe Tate is an internationally recognized leader in the fields of orthopaedic mechanobiology as well as the development and clinical translation of novel technologies and materials. Dr. Knothe Tate's work involves studying the mechanobiology of living cells and how stresses, strains and mechanical forces affect cell signaling, differentiation, etc. This expands understanding of bone healing and supports development of synthetic tissues. Dr. Knothe Tate will also receive up to \$25,000 in research funds.

Deborah Wasylik, Life Sciences Educator, Dr. Phillips High School, Orlando, FL, was awarded the \$10,000 Life Sciences Educator Award. Creating curiosity in science class is important to Deborah Wasylik. She accomplishes this when she tells her students that before she became a teacher she had climbed inside a pyramid, jumped out of an airplane and sold drugs! She was a pharmaceutical sales rep. For the last 10 years she has enjoyed teaching life sciences at Dr. Phillips High School. Deborah has been the recipient of many awards including being selected last year as a NASA Endeavor STEM Fellow and previously received the Presidential Award of Excellence in Mathematics and Science Teaching from President Bush at the White House.

Coit Hendley, Chemistry Educator, Eleanor Roosevelt High School, Greenbelt, MD, was awarded the \$10,000 Life Sciences Educator Award. Mr. Hendley has been teaching for 32 years, and currently teaches AP Chemistry and Research Practicum. The AP Chemistry program he developed has been recognized by the College Board since 2006 for having the most number of African-American students with a score of 3 or better. A National Board Certified grant writer, Coit has received many grants used to fund such projects as the Watershed Integrated Study Program, in which teams of students measure the water quality of fourteen sites in the area and use the data to study local and general water quality.

Leslie Brinson, Biology Educator, North Carolina School of Science and Mathematics (NCSSM), Durham, NC, was awarded the \$10,000 Life Sciences Educator Award. A teacher for 30 years, Leslie has been teaching at the NCSSM since 1995, and has come to believe that there is no better educational environment than NCSSM. In this residential setting, students are provided a competitive and nurturing pedagogical setting to conduct their own research and pursue a myriad of science competitions within North Carolina and beyond.

The highlight of the school year is when she leads students to Belize where they are immersed in research projects on the coral reef. Inspired by her colleagues, Leslie has also enthusiastically embraced a key mission of the school - providing outreach to biology teachers throughout the State.

Amy Chyao, Junior, Plano East Senior High School, Plano, TX, was awarded the \$5,000 Life Sciences Student Award. Amy became intrigued by science in the first grade. Inspired by Marie Curie's dedication to discoveries and scientific contributions, Amy was determined to follow her example. Amy's passion for science led her to a unique opportunity offered by the University of Texas at Dallas. She joined the 2009 Nano-Explorers summer program and stepped into the intricate world of nanotechnology. Her passion for science propelled her to work hard and to excel as she continues to work toward becoming a next generation scientist. In 2010, she was the winner of the first Gordon Moore Award at the Intel ISEF. She also had the honor to attend President Obama's 2011 State of the Union Address.

Kayla Dowell, Junior, Germann Hills Christian School, Manhattan, KS, was awarded the \$5,000 Life Sciences Student Award. In just the last three years, Kayla Dowell has become proficient in the use of near-infrared spectroscopy (NIRS) technique which measures the traits of biological materials. Kayla learned about NIRS as a student volunteer with the USDA Agricultural Research Service. In 2009, Kayla used her NIRS skills at a malaria research lab in Tanzania, Africa, conducting research on mosquitoes that transmit malaria. In 2010, at a medical clinic at an orphanage in Zimbabwe, she showed that NIRS could be used to determine artemisinin content in extracts of a local plant, *Artemisia annua*, which is used to cure malaria. This research could be used to rapidly evaluate new cultivars of this important cure for a disease that kills over 1 million people each year. Her research has prompted further studies by scientists in Tanzania, Kenya and Nigeria.

Christopher Duncan-Lewis, Senior, Winter Springs High School, Winter Springs, FL, was awarded the \$5,000 Life Sciences Student Award. From a young age, Christopher has shown interest in the medicine and health sciences. Excelling in science courses, Christopher undertook a significant research project during his junior and senior high school years. Christopher believes his research on the harmful effects of certain compounds on the sense of smell provide evidence against the use of such compounds in the nasal passage, and have the potential to increase our understanding of the sense of smell. His research report has been accepted for publication in *Comparative Medicine: a medical journal*. A National Achievement Scholar, AP Scholar, and AXA Achievement Scholar, in addition to many other awards, Christopher won a second prize in medicine and health at the 2011 Intel International Science and Engineering Fair. Christopher will attend the University of Pennsylvania in the Fall, majoring in biochemistry. Fiscal Year 2012: In 2012, the Fifth Annual

Life Sciences Awards, sponsored by the Christopher Columbus Fellowship Foundation and the U.S. Chamber of Commerce were presented on July 19, in Washington, D.C. The Life Sciences Awards are intended to recognize, through four monetary awards, a scientist; one high school educator; and two current high school students all of whom exemplify excellence in the field of life sciences. The 2012 Life Sciences Awards recipients are:

Daniel G. Colley, Ph.D., Professor of Microbiology and Director of the Center for Tropical and Emerging Global Diseases, University of Georgia, Athens, Georgia, was awarded the 2012 \$10,000 Distinguished Life Sciences Scientist Award. Dr. Colley is a renowned scientist most notably in the area of tropical medicine and parasitology, with a main focus on the immunology of schistosomiasis, a debilitating, chronic worm disease that affects 240 million people worldwide, in order to control and eliminate it.

Camilla Walck, Ph.D., International Baccalaureate (IB) Biology Teacher, Princess Anne High School, Virginia Beach, Virginia, was awarded the 2012 \$5,000 Life Sciences Educator Award.

For the past 17 years, Dr. Walck has worked for the City of Virginia Beach Public Schools. Dedicated to teaching and learning both in and out of the classroom, her passion for biology is contagious - engaging and exciting her students to learn about the scientific world. A National Board Certified teacher, an adjunct professor at Virginia Wesleyan College, and an international evaluator for International Baccalaureate biology, Dr. Walck was selected as one of six teachers to visit Cardiff, England to collaborate on the IB grading process.

Vaishnavi Rao, Junior, Canyon Crest Academy, San Diego, California, was awarded the 2012 \$1,000 Life Sciences Student Award. Vaishnavi's passion and love for science, especially for neuroscience and the brain, began in elementary school. Most recently, her pioneering research on neurotransmitter plasticity at the University of California, San Diego, has been recognized as having far-reaching applicability in potential therapies targeting neurological disorders such as stroke, Alzheimer's disease, epilepsy and Parkinson's disease. Her work has received tremendous recognition at local, State as well as International (Intel ISEF) Science Fairs. Recently, she also won the San Diego Brain Bee 2012 and placed 6th overall at the USA National Brain Bee competitions held in Baltimore, Maryland.

Justin Roth, Sophomore, West Branch High School, West Branch, Iowa, was awarded the 2012 \$1,000 Life Sciences Student Award. Taking accelerated math and science classes beginning in elementary school, Justin joined an extra-curricular science club in middle school. As a result of the science club projects he has been involved in, three ordinances have been introduced in the town of West Branch, three bills have been introduced to the Iowa State Legislature (with one being passed), and West Branch High School has started saving \$10,000 annually on its energy costs, brought about by his eighth grade science club team's research into energy cost savings brought about by replacing high-cost, low efficiency T12 fluorescent bulbs to T8 lighting. Justin has also worked with his church to help establish a community clothes pantry to enable those in need to receive clothes and school supplies at no cost to them. He also volunteers in packaging many shipments of food to Africa and Haiti through Kids Against Hunger. In addition, Justin enjoys participating in his high school's extra-curricular activities. He plays football and wrestles and plays trombone in the marching, concert, jazz, and show choir bands. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Judith Shellenberger, 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093.

#### **Website Address:**

<http://www.columbusfoundationawards.org> or <http://www.columbusfdn.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**85.105 AGRISCIENCE AWARDS****FEDERAL AGENCY:**

Christopher Columbus Fellowship Foundation

**AUTHORIZATION:**

Christopher Columbus Quincentenary Coins and Fellowship Foundation, Title IV, Section 400-429, Public Law 102-281, 106 Stat. 139-145, 20 U.S.C 5701-5708.

**OBJECTIVES:**

To encourage and promote "cutting edge" innovation in the field of Agriscience.

**TYPES OF ASSISTANCE:**

Direct Payments with Unrestricted Use

**USES AND USE RESTRICTIONS:**

No restrictions.

**Applicant Eligibility:**

Nominees must be involved in the field of Agriscience research or Agriscience education in one of the following areas: scientist; current high school educator; or current high school students.

**Beneficiary Eligibility:**

In public/private partnership with the American Farm Bureau Federation, the Foundation will present eight Agriscience Awards to U.S. citizens permitted by their employer or any other relevant authority to accept a monetary award bestowed by the Christopher Columbus Fellowship Foundation, a Federal government agency. Four monetary awards will be presented as follows: \$10,000 Distinguished Agriscience Scientist Awards will be presented to a scientist who is making or has recently made significant and positive contributions in the field of agriscience. \$5,000 Agriscience Educator Award will be presented to a current high school educator, with at least 5 years of teaching experience, and who emphasizes concepts, principles and applications in their curriculum to promote the study of agriscience to students. Two \$1,000 Agriscience Student Awards will be presented to current high school students who are making or have recently made significant and positive contributions related to the study of agriscience.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Only Nominations that meet the eligibility requirements stated above are accepted. Nominations will be accepted from all 50 States. All Nominations are received online at [www.agriscienceawards.com](http://www.agriscienceawards.com). The deadline is Tuesday, March 13, 2012.

**Award Procedure:**

The Awards are sponsored by a public-private partnership between the Foundation and the American Farm Bureau Federation. All Nominations are read by the Board of Trustees of the Christopher Columbus Fellowship Foundation to select the Semifinalists. Nominators are notified if a Nominee is selected as a Semifinalist and asked to provide background material to support the Nomination. A national Evaluation Committee reviews, ranks and comments on each Semifinalist. The Board of Trustees ultimately selects the

winners of each award. The Award will be presented in Washington, D.C., on July 10, 2012.

**Deadlines:**

Jan 05, 2012 to Mar 13, 2012

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Direct lump sum payments to recipients at Awards ceremony. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

76-8187-0-7-502.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$50,000; FY 12 est \$0; and FY 13 est \$0 - Two research awards totalling \$50,000 for FY 2010 and FY 2011. Discontinued in FY 2012. (Direct Payments with Unrestricted Use) FY 11 \$95,000; FY 12 est \$17,000; and FY 13 est \$17,000 - Eight direct payments of unrestricted use awards totalling \$95,000 in lump sum payments in FY 2010 and FY 2011. In 2012, four direct payment of unrestricted use totalling \$17,000 will be presented.

**Range and Average of Financial Assistance:**

\$1,000 - \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, the Second Annual Agriscience Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation, a Federal government agency, and the American Farm Bureau Federation were presented on July 12, in Washington, D.C. The Awards are intended to recognize, through eight monetary awards and research funds, two scientists and provide research funds; three high school educators; and three current high school students who are judged to exemplify excellence in the field of agriscience and to highlight the importance of agriculture in the 21st century. Randall Prather, Ph.D., Distinguished Professor of Reproductive Biotechnology, Division of Animal Science, The University of Missouri, Columbia, MO, was awarded the \$25,000 Distinguished Agriscience Scientist Award. Dr. Prather's research has focused on the early mammalian embryo, and he cloned the first pigs and some of the first cattle, by nuclear transfer, while at the University of Wisconsin-Madison. Now at the University of Missouri, his lab has made over 495 cloned pigs representing over 25 different genetic modifications for agriculture and medicine. Dr. Prather is a co-Director of the NIH-funded National Swine resource and Research Center. Dr. Prather will also receive up to \$25,000 in research funds. Andrew H. Paterson, Ph.D., Distinguished Research Professor at the University of Georgia was awarded the \$25,000 Distinguished Agriscience Scientist Award. Dr. Paterson is the head of the Plant Genome Mapping Laboratory, and is jointly appointed in three Departments (Crop and Soil Science, Plant Biology, and Genetics). His research uses genomic tools and approaches to study crop improvement, plant biodiversity, and molecular evolution. His lab has contributed to knowledge of sorghum, cotton, sugarcane, peanut, Miscanthus, switchgrass, Bermuda grass, broccoli, cauliflower, cabbage, rice,

tomato, maize and other crops, as well as several major weeds, one nitrogen-fixing bacterium (*Azospirillum*), and a group of viruses important in poultry. Dr. Paterson will also receive up to \$25,000 in research funds. Michele Sutton, Agriscience Educator and FFA Advisor, Tompkins Seneca Tioga BOCES, Ithaca, NY, was awarded a \$10,000 Agriscience Educator Award. Michele left a ten-year career in government to pursue an education degree when she realized she wanted to work with students in the field of agriculture. During her first secondary school teaching position, she transformed an outdated, struggling program of 13 students into a program of more than 100 students in two short years. She is now a teacher of the BOCES New Visions in Life Sciences program for area high school students at Cornell University where she has taught agricultural science for the past six years.

Melissa Braun, Agriscience Educator and FFA Advisor, Gillett Secondary School, Gillett, WI, was awarded a \$10,000 Agriscience Educator Award. For the last eight years, Melissa has taught agriscience to students in grades 7-12. This Fall she begins a new venture at Shawano High School in the agriculture department. Melissa teaches a wide array of agriscience courses, but has a great interest in the areas of food science, horticulture, and greenhouse management. Her teaching includes many hands-on activities and field trips to reinforce the scientific principles throughout her lessons. She follows an agricultural education model which involves all components--classroom instruction, FFA involvement and a Supervised Agricultural Experience Project.

Paul Heasley, Agriscience Educator and FFA Advisor, State College Area School District, State College, PA, was awarded a \$10,000 Agriscience Educator Award. Mr. Heasley has taught Agricultural Sciences in grades 9-12 for 30 years. The program's courses are grouped in Career Paths including: Ag Mechanics, Animal Science, Natural Resources and Plant Sciences. A senior year option includes a "Dual Enrollment" with The Pennsylvania State University's College of Agricultural Sciences and 18 different agricultural Science courses provided on campus or through the World Campus. The program has active chapters in the FFA and Young Farmers.

Laura Lane, Senior, Aztec High School, Aztec, NM, was awarded a \$5,000 Agriscience Student Award. Laura's love of science inspired her project to tackle indicators of soil ecosystem health for oil and gas reclamation. One out of every three abandoned wellsite does not reestablish plant biodiversity, leaving thousands of acres of undesirable soil that cannot support grazing. Laura has worked with Habitat for Humanity, and last summer went to Guatemala on a build. In the Fall she plans to attend New Mexico Tech to study pre-medical; and major in biochemistry or chemical engineering. After her undergraduate studies, she wants to attend medical school and become a trauma doctor.

Bhiravi Rathinasabapathi, Senior, Eastside High School, Gainesville, FL, was awarded a \$5,000 Agriscience Student Award. Bhiravi's interests include science, service and literature. She is currently researching the biofortification of crops with iron. Biofortification is the breeding or genetic modification of plants to increase their nutrient content. Bhiravi is examining the effects of the overexpression of a ferritin gene on plants' iron content and biomasses. This research may eventually lead to an iron-biofortified crop. Such a crop would combat anemia, which affects an estimated two billion people worldwide.

Stephen Bethel, Senior, Lake Brantley High School, Altamonte Springs, FL, was awarded a \$5,000 Agriscience Student Award. Stephen's research "Evaluation of Ubiquitin Promoter Express Abilities for Potential Use in Transgenic Grape Vine" (*Vitis vinifera*), explored consumer-friendly genetic alternatives to replace viral DNA currently used in genetically modified produce. Stephen met Nobel Laureate, Dr. Martin Chalfie, a biological sciences researcher who first demonstrated the value of GFP, a luminous genetic tag that Stephen used in his work. This Fall, Stephen will attend the University of Florida Honors Program in Aerospace Engineering. Fiscal Year 2012: In 2012, the Third Annual Agriscience Awards, sponsored by the public-private partnership of the Christopher Columbus Fellowship Foundation, a Federal government agency, and the American Farm Bureau Federation were presented on July 10, in Washington, D.C. The Awards are intended to recognize, through four monetary awards, a scientist; one high school educator; and two current high school students who are judged to exemplify excellence in the field of agriscience and to highlight the importance of agriculture in the 21st century. The 2012 Agriscience Awards recipients are:

Andrew Sharpley, Ph.D., Professor in the Department of Crop, Soil and Environmental Sciences, Division of Agriculture, University of Arkansas in Fayetteville, AR, was awarded the \$10,000 Distinguished Agriscience Scientist Award. Dr. Sharpley's research investigates the fate of phosphorus in soil-plant-water systems in relation to soil productivity and the effects of agricultural management on water quality. He also evaluates the role of stream and river sediments in modifying phosphorus transport and response of receiving lakes and reservoirs. He developed decision-making tools for agricultural field staff to identify sensitive areas of the landscape and to target management alternatives and remedial measures that have reduced the risk of nutrient loss from farms. Dr. Sharpley works closely with producers, farmers and action agencies, stressing the dissemination and application of his research findings.

Matthew B. Eddy, Agriscience Educator and FFA Advisor, Southeast Polk High School, Pleasant Hill, IA, was awarded a \$5,000 Agriscience Educator Award. Mr. Eddy has taught agriculture education for 13 years, teaching at Southeast Polk for the past eight years. Participating in the inaugural CASE curriculum institute in 2009, he earned the level of Master Teacher in 2012. Matthew's agriculture program emphasizes STEM concepts in agriculture, a rigorous curriculum that has been recognized on the State and national level. He was recently recognized as having the Iowa Outstanding High School Agriculture Education program and as a finalist for the National FFA Agriscience Teacher Award.

Michelle Chin, Junior, West Shore Jr./Sr. High School, Melbourne, FL, was awarded a \$1,000 Agriscience Student Award. Michelle's science research concentrates on genetic engineering and biotechnology using organic and transgenic crops. Under the supervision of Dr. Sixue Chen at the University of Florida, she worked on her project that uses plants to phytoremediate selenium contaminants, an effective, inexpensive and non-intrusive means of in situ reduction and removal of environmental contaminants. She hopes her research will aid worldwide efforts to alleviate chemical run-off and environmental pollution. In 2011, Michelle won the Green Connection scholarship, sponsored by the French government. Her two week trip to France to study environmental protection fostered her passion for protecting the environment, which led her to create a website to promote sustainability. She was recently selected as one of the 2012 Yings Scholars in the Dr. Nelson Ying Science Competition, which encourages students to help humanity through science research.

Jill Dolowich, Senior, Jericho High School, Jericho, NY, was awarded a \$1,000 Agriscience Student Award. Jill has developed a strong interest in environmentalism and conservation through her extensive entomology research at both Yale University and Michigan State University. She was interested in exploring honeybee populations, and ultimately her goal was to spread the word about the environmental impact of declining insect populations. Jill has been involved in many activities throughout high school. Her passion for writing about scientific and environmental news led to her role as New York Correspondent for Mother Nature Network. She also authored an article entitled, "Flight of the Honeybees," in the Johns Hopkins University national online publication (*Cogito.org*). In the fall, Jill will attend Yale University, where she plans to major in Biology and Environmental Studies. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Judith Shellenberger, 110 Genesee Street, Suite 390, Auburn, New York 13021  
Email: JUDITHMSCOLUMBUS@CS.COM Phone: (315) 258-0090 Fax: (315) 258-0093.

#### **Website Address:**

<http://www.agriscienceawards.com> or <http://columbusfdn.org>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**JAPAN U.S. FRIENDSHIP COMMISSION**

**90.300 JAPAN-U.S. FRIENDSHIP COMMISSION GRANTS**

**FEDERAL AGENCY:**

Japan U.S. Friendship Commission

**AUTHORIZATION:**

Public Law 94-118.

**OBJECTIVES:**

to promote educational, intellectual, artistic and cultural exchange and research between Japan and the United States.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Not applicable. 501(c)3, or other non-profit organization.

**Applicant Eligibility:**

Public and state-controlled institutions of higher education; non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; private institutions of higher education.

**Beneficiary Eligibility:**

Public and state-controlled institutions of higher education; non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; private institutions of higher education.

**Credentials/Documentation:**

Copy of 501(c)(3) or other non-profit status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of proposal conforming to JUSFC guidelines.

**Award Procedure:**

Grants typically made before beginning of project activity.

**Deadlines:**

Aug 01, 2011 August 1 (or next business day when this fall on a weekend) annually.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately six weeks between submission of proposal and decision.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: High expectation of matching funds from outside sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Typically six months to eighteen months. Method of awarding/releasing assistance: lump sum.

**Reports:**

A narrative report describing project undertaken with grant funds. No cash reports are required. No progress reports are required. Final financial report

required detailing how grant funds were spent. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Must be kept by grantee for a three-year period.

**Account Identification:**

89-1191-0-1-300.

**Obligations:**

(Project Grants) FY 10 \$1,700,000; FY 11 est \$1,600,000; and FY 12 est \$1,200,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

see www.jusfc.gov for JUSFC guidelines and literature

**Regional or Local Office:**

None.

**Headquarters Office:**

Margaret Mihori, 1201 15th Street, NW, Suite 330, Washington, District of Columbia 20005 Email: mmihori@jusfc.gov Phone: (202) 653-9800 Fax: (202) 653-9802.

**Website Address:**

www.jusfc.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See www.jusfc.gov.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**93.001 CIVIL RIGHTS AND PRIVACY RULE COMPLIANCE ACTIVITIES**

Office for Civil Rights

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Civil Rights Act of 1964, Title VI, as amended; Rehabilitation Act of 1973, Sections 504 and 508, as amended; Education Amendments of 1972, Title IX, as amended; Age Discrimination Act of 1975, as amended; Nondiscrimination Provisions of the Public Health Service Act, Titles VI, VII, VIII, and XVI, as amended; Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended; Drug Abuse Offense and Treatment Act of 1972, Section 407; Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, Section 321, as amended; Low-Income Home Energy Assistance Act of 1981, 42 U.S.C. 8625; Community Services Block Grant Act, 42 U.S.C. 398; Family Violence Prevention and Services Act, as amended, Section 307 (a)(1) and (2), Public Law 98-457; Americans with Disabilities Act of 1990, Title II, Subtitle A, Public Law 101-336; Small Business Job Protection Act of 1996, Section 1808, Public Law 104-188; Section 1557 of the Patient Protection and Affordable Care Act; Section 1553 of the Affordable Care Act; Federal Health Care Conscience Protection Statutes, which include the Church Amendments, (42 U.S.C. 300a-7); Health Insurance Portability and Accountability Act of 1996 (HIPAA), 42 U.S.C. 1320d-8, 45 CFR Part 160 and Subparts A, C and E of Part 164--Standards for Privacy of Individually Identifiable Health Information (the "Privacy Rule") and Standards for the Protection of Electronic Protected Health Information (the "Security Rule"); Public Health Service Act, Title IX, 42 U.S.C. 299b-22, as amended by the Patient Safety and Quality Improvement Act of 2005, Public

Law 109-41; Part C of title XI of the Social Security Act, 42 U.S.C. 1320d-8, as amended by Section 105 of the Genetic Information Nondiscrimination Act of 2008 (GINA), Public Law 110233; Subtitle D of the Health Information Technology for Economic and Clinical Health (HITECH) Act, Public Law 111-5, 123 Stat. 115 (2009), and 45 CFR Subpart D of Part 164 - Breach Notification for Unsecured Protected Health Information (the "Breach Notification Rule").

**OBJECTIVES:**

The Office for Civil Rights (OCR) in the Department of Health and Human Services (HHS) promotes and ensures that people have equal access to and the opportunity to participate in and receive services from all HHS-funded programs without facing unlawful discrimination, and that the privacy of their health information is protected. OCR protects the civil rights of all individuals who are subject to discrimination in health and human services programs, and protects the health information privacy rights of consumers, and ensures that electronic protected health information is safeguarded against unauthorized use of disclosure through investigations, voluntary dispute resolution, enforcement, technical assistance, policy development and information services.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING; INVESTIGATION OF COMPLAINTS

**USES AND USE RESTRICTIONS:**

The Office for Civil Rights (OCR) in the Department of Health and Human Services (HHS) is responsible for promoting and ensuring that people have equal access to and the opportunity to participate in and receive services from all HHS-funded programs without facing unlawful discrimination, that the privacy of their health information is protected, and that electronic protected health information is safeguarded against unauthorized use or disclosure. These HHS funded programs are provided through state agencies, nursing homes, skilled nursing facilities, medical laboratories, hospitals, day care centers, social service agencies and other providers. Any person who believes that an individual has been discriminated against in the provision of these services because of race, color, national origin, disability, age, sex or religion, may file a complaint with OCR. An individual who believes that discrimination on the basis of disability has occurred in a health or social services program of a state or local government entity may file a complaint with OCR under Title II of the Americans with Disabilities Act of 1990, regardless of whether the entity receives Federal funds. Individuals may also file complaints of denials of health care for reasons other than the need and availability of services, by recipients of Hill-Burton grants and loans. In addition, a person may file a complaint under the Multiethnic Placement Act if 1994, as amended by Section 1808 of the Small Business Job Protection Act of 1996, alleging that an adoption or foster care agency or entity funded by HHS discriminatorily relied on a parents or child's race, color, or national origin in making a placement decision. OCR will investigate complaints and take steps to ensure compliance with applicable civil rights laws.

OCR also enforces the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule and Security Rule as well as the HITECH Breach Notification Rule and the confidentiality provisions of the Patient Safety and Quality Improvement Act (PSQIA) of 2005. OCR's activities under the Privacy, Security and Breach Notification Rules include enforcement actions, including conducting investigations, taking compliance actions, and making penalty determinations, and conducting public education, technical assistance and other outreach activities: to health care providers, health care clearinghouses and health plans, to ensure that they understand their responsibilities under the Rules; to other entities that may be impacted by the Rules, including Federal, State and local government agencies, researchers, and business associates of covered entities; and to consumers, to inform them of their rights under the Privacy Rule. Anyone who believes that a person, agency or organization covered under the HIPAA Privacy and Security Rules ("a covered entity") has violated the Privacy and/or Security Rules may file a complaint with OCR. In addition, the Breach Notification Rule requires HIPAA covered entities to promptly notify affected individuals of a breach, as well as the HHS Secretary and the media in cases where a breach affects more than 500 individuals; OCR is required to publish a list of entities that incur large breaches. OCR's activities under PSQIA include administering an enforcement program regarding the

confidentiality protections, including conducting investigations, taking compliance actions, and making penalty determinations and interpreting standards for confidentiality protections and the enforcement program for guidance and technical assistance to Patient Safety Organizations (PSOs) and providers and public information.

**Applicant Eligibility:**

Anyone who believes he or she has been discriminated against in the manner outlined above or seeks information concerning civil rights, and recipients of Federal financial assistance who desire technical assistance and information for the purpose of assuring their compliance with nondiscrimination laws. Regarding the HIPAA Privacy and Security Rules, anyone who believes that the Privacy and/or Security Rules have been violated in the manner outlined above, or who seeks information about these Rules; consumers that need to know their rights under the Privacy Rule; and entities that need technical assistance and information for the purpose of assuring compliance with the Privacy and Security Rules.

**Beneficiary Eligibility:**

Individuals subject to discrimination and recipients who require technical assistance and information. Regarding the HIPAA Privacy Rule, individuals subject to violation of their health information privacy, covered entities, and others needing or seeking technical assistance and information concerning the Rule.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Complaints of discrimination and alleged violations of the HIPAA Privacy and Security Rules may be filed, and technical assistance information and public education may be requested, at the Headquarters and Regional Office locations of the Office for Civil Rights.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

A complaint must be filed not later than 180 days of the alleged discrimination, unless the time for filing is waived for good cause. Complaints under the Privacy and/or Security Rules must be filed within 180 days of the date when the complainant knew, or should have known, that the act or omission complained of occurred, unless the time limit is waived for good cause.

**Appeals:**

Individuals can appeal a civil rights discrimination complaint determination in some instances by submitting, in writing, a request for reconsideration to the Director, Office for Civil Rights. OCR imposes civil money penalties (CMPs) on a covered entity found to be in violation of the HIPAA Privacy, Security and/or Breach Notification Rules. If CMPs are imposed by OCR, the covered entity may request a hearing in which an HHS administrative law judge (ALJ) decides if the CMPs are supported by the evidence in the case. OCR is required to present the evidence to support the imposition of CMPs to the ALJ. The covered entity may also then appeal the ALJ's decision to the HHS Departmental Appeals Board (DAB) and ultimately to the U.S. Courts of Appeal.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.



This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. The American Recovery and Reinvestment Act of 2009, in Section 13411 of the HITECH Act, requires OCR to conduct periodic audits to ensure covered entities and business associates are complying with the HIPAA Privacy and Security Rules and Breach Notification standards.

**Records:**

None.

**Account Identification:**

75-0135-0-1-751.

**Obligations:**

(Salaries) FY 11 \$40,699,293; FY 12 est \$40,938,000; and FY 13 est \$38,966,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: OCR projects that approximately 12,084 individual complaints were filed in FY 2011 (3,304 civil rights discrimination cases and 8,780 Privacy Rules cases); OCR is projected to complete action on approximately 18,473 complaint cases (4,507 civil rights cases and 13,966 Privacy Rule). Fiscal Year 2012: OCR projects that approximately 12,333 individual complaints will be filed in FY 2012 (2,914 civil rights discrimination cases and 9,558 Privacy Rule cases); OCR is projected to complete action on approximately 13,240 complaint cases (3,231 civil rights discrimination cases and 10,009 Privacy Rule cases). Fiscal Year 2013: OCR projects that approximately 12,950 individual complaints will be filed in FY 2013 (2,914 civil rights discrimination cases and 10,036 Privacy Rule cases); OCR is projected to complete action on approximately 11,916 complaint cases (2,908 civil rights discrimination cases and 9,008 Privacy Rule cases).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title VI of the Civil Rights Act of 1964--the implementing regulation (45 CFR 80), "Your Rights Under Title VI of the Civil Rights Act of 1964 fact sheet, "Know Your Rights" brochure regarding national origin discrimination and limited English proficiency, a video in VHS and DVD formats entitled "Title VI Limited English Proficiency"; Section 504 of the Rehabilitation Act of 1973--the implementing regulation for HHS funded programs and activities (45 CFR 84), and fact sheets "Your Rights Under Section 504," "Your Rights as a Person with HIV Infection, AIDS, or Related Conditions," "Your Rights Under Section 504 and the Americans with Disabilities Act," and the HHS Section 504 federally conducted regulation (45 CFR 85); Age Discrimination Act of 1975--implementing regulations, HHS (45 CFR 91) and government-wide (45 CFR 90), and fact sheet "Your Rights Under the Age Discrimination Act"; Federal Health Care Provider Conscience Protection Statutes (including the Church Amendments, Section 245 of the Public Health Service Act, and the Weldon Amendment) implementing regulation (45 CFR 88), and, "Your Rights Under the Federal Health Care Provider Conscience Protection Laws" fact sheet, Community Service Assurance of the Hill-Burton regulation (42 CFR 124) and fact sheet "Community Service Assurance Under the Hill-Burton Act"; Sex Discrimination in Health-Related Training Programs regulation (45 CFR 83); fact sheets on: Section 1808/Multiethnic Placement Act (MEPA); the Americans with Disabilities Act (ADA); "How to File a Discrimination Complaint with OCR"; "Know Your Civil Rights"; Civil Rights Frequently Asked Questions; a video presentation: OCR guidance on Temporary Assistance for Needy Families (TANF) and Disability; OCR guidance documents and questions and answers on MEPA; various technical assistance materials for Medicare providers and applicants, including a sample nondiscrimination policy, LEP policy, auxiliary aids policy, accessibility

policy, and grievance procedure, and various other civil rights publications.

HIPAA regulations and standards: The Privacy Rule and the Security Rule, 45 CFR Part 160 and Subparts A, C and E of Part 164; the Breach Notification Rule, 45 CFR Subpart D of Part 164; "Your Health Information Privacy Rights"; "Privacy and Your Health Information"; "Guidance on Risk Analysis Requirements Under the Security Rule" fact sheets and guidance on specific aspects of the Privacy and Security Rules, and additional compliance tools such as "Am I a Covered Entity", "the Security Rule Educational Paper Series", and Frequently Asked Questions (FAQs). A complete list of Privacy Rule publications is available. There is also a brochure titled "Protecting Your Civil Rights in Health and Social Services and Your Health Information Privacy Rights," which provides general information about the Office for Civil Rights and its services. All literature is available at no charge; however, because of budgetary constraints and availability of stock, quantities may be limited. Most publications can be downloaded from OCR's website and are available in languages other than English. All publications are available in alternative formats for individuals with disabilities.

**Regional or Local Office:**

See Regional Agency Offices. Region I - Boston (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Peter Chan, Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
Government Center  
J.F. Kennedy Federal Building - Room 1875  
Boston, MA 02203  
Voice phone 800-368-1019  
FAX (617)565-3809  
TDD (617)565-1343

Region II - New York (New Jersey, New York, Puerto Rico, Virgin Islands)  
Linda Colon, Acting Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
Jacob Javits Federal Building  
26 Federal Plaza - Suite 3312  
New York, NY 10278  
Voice Phone 800-368-1019  
FAX (212)264-3039  
TDD (212)264-2355

Region III - Philadelphia (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
Frank Campbell, Acting Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
150 S. Independence Mall West  
Suite 372, Public Ledger Building  
Philadelphia, PA 19106-9111  
Main Line 800-368-1019  
FAX (215)861-4431  
TDD (215)861-4440

Region IV - Atlanta (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Roosevelt Freeman, Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
Atlanta Federal Center, Suite 3B70  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-8909  
Voice Phone 800-368-1019  
FAX (404)562-7881  
TDD (404)331-2867

Region V - Chicago (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Celeste Davis, Regional Manager

Office for Civil Rights  
U.S. Department of Health and Human Services  
233 N. Michigan Ave., Suite 240  
Chicago, IL 60601  
Voice Phone 800-368-1019  
FAX (312)886-1807  
TDD (312)353-5693

Region VI - Dallas (Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Ralph Rouse, Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
1301 Young Street, Suite 1169  
Dallas, TX 75202  
Voice Phone 800-368-1019  
FAX (214)767-0432  
TDD (214)767-8940

Region VII - Kansas City (Iowa, Kansas, Missouri, Nebraska)  
Jorge Lozano, Acting Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
601 East 12th Street - Room 248  
Kansas City, MO 64106  
Voice Phone 800-368-1019  
FAX (816)426-3686  
TDD (816)426-7065

Region VIII - Denver (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Velveta Howell, Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
999 18th St, Suite 417  
Denver, CO 80202  
Voice Phone 800-368-1019  
FAX (303)844-2025  
TDD (303)844-3439

Region IX - San Francisco (American Samoa, Arizona, California, Guam, Hawaii, Nevada)  
Michael Leoz, Acting Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
90 7th Street, Suite 4-100  
San Francisco, CA 94103  
Voice Phone 800-368-1019  
FAX (415)437-8329  
TDD (415)437-8311

Region X - Seattle (Alaska, Idaho, Oregon, Washington)  
Linda Yuu Connor, Regional Manager  
Office for Civil Rights  
U.S. Department of Health and Human Services  
2201 Sixth Avenue - M/S: RX-11  
Seattle, WA 98121-1831  
Voice Phone 800-368-1019  
FAX (206)615-2297  
TDD (206)615-2296.

**Headquarters Office:**

Director, Office for Civil Rights, Hubert H. Humphrey Building - Mail Stop  
Room 509-F6, 200 Independence Ave. S.W., Washington, District of Columbia  
20201 Email: OCRMail@hhs.gov Phone: (202) 619-0403.

**Website Address:**

<http://www.hhs.gov/ocr>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.003 PUBLIC HEALTH AND SOCIAL SERVICES EMERGENCY FUND**

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

None.

**OBJECTIVES:**

To provide supplemental funding for public health and social service emergencies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are available for public health and social service emergencies. Funds are initially appropriated to the Office of the Secretary, but virtually all funding is allocated to HHS agencies for award and use in disaster areas.

**Applicant Eligibility:**

Federal agencies, State and local governments, and other service providers in areas impacted.

**Beneficiary Eligibility:**

Individuals, families, Federal, State, and local government agencies.

**Credentials/Documentation:**

Guidelines and requirements to be determined by agencies administering grant programs and services. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicant should consult the office or official designated as the contact for additional information on the application procedure.

**Award Procedure:**

Awards will be granted by agency or office administering the funds.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. To be determined by agency or office administering the funds.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

To be determined by agency or office administering the funds. Method of

awarding/releasing assistance: lump sum.

**Reports:**

The SF-425 Federal Financial Report is required by SAMHSA, Grants Management Office 120 days after the end of each 12 month period. Quarterly report SF272 required by the Division of Payment Management. Progress report is due 90 days after the end of the budget period. Quarterly report SF 272 required to be submitted to the Division of Payment Management. Performance monitoring will be done through progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-1363-0-1-551.

**Obligations:**

(Salaries) FY 11 \$7,660,663; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2011: 9 awards were made. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not available at this time. Guidelines are expected to be transmitted to recipients by agency or office administering the funds.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To be determined by agency or office administering the funds.

**93.004 COOPERATIVE AGREEMENTS TO IMPROVE THE HEALTH STATUS OF MINORITY POPULATIONS**

(NUCA)

**FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

**AUTHORIZATION:**

OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6, Section 1707 of the Public Health Service Act, as amended.

**OBJECTIVES:**

To provide support for activities which have the potential to improve the health status and/or quality of life of racial/ethnic minorities, with the objective of

reducing the excessive burden and death borne by minority and disadvantaged populations in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to be used for support of projects or activities consistent with the mission of the Office of Minority Health. Funds are not to be used for the provision of health care services, construction, augmentation of on-going Office of Minority Health (OMH) supported demonstrations, or supplementation of on-going project activities.

**Applicant Eligibility:**

Public and private nonprofit entities may apply. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Members of the minority and disadvantaged groups: Blacks; Hispanics; American Indians; Alaska Natives; Asian/American Pacific Islanders; or subgroups of these.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Varies, but a project period is generally limited to 5 years or less. Within a project period, continuation applications must be submitted annually on a noncompeting basis for each year of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The cooperative agreements will have a project period not to exceed 5 years, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedure will be provided at the time the award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis

of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$10,118,342; FY 12 est \$12,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$150,000 to 3,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funded organizations are working to improve access to care for targeted minority populations; addressing determinants of health to achieve health equity for targeted minority populations; increasing diversity of health-related work force; increasing the knowledge base and enhancing data availability for health disparities. Fiscal Year 2012: Eleven National organizations were funded and they are improving access to care for targeted racial and ethnic minority populations; addressing social determinants of health to achieve health equity for targeted minority populations via projects of national significance; increasing the diversity of the health-related work force and; increasing the knowledge base and enhancing data availability for health disparities and health equity activities. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact:  
Office of Minority Health, Division of Program Operations  
Tower Building, Suite 600, 1101 Wootton Parkway  
Rockville, MD 20852. Telephone at (240) 453-8444

Grants Management Contact:  
Office of Grants Management, 1101 Wootton Parkway, Suite 550,  
Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.OMHRC.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.006 STATE AND TERRITORIAL AND TECHNICAL ASSISTANCE CAPACITY DEVELOPMENT MINORITY HIV/AIDS DEMONSTRATION PROGRAM**

(CTA/CD)

**FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

**AUTHORIZATION:**

OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6, Section 1707 of the Public Health Service Act, as amended.

**OBJECTIVES:**

A collaborative effort to demonstrate that the involvement of State and Territorial Offices of Minority Health in coordinating a statewide response to the HIV/AIDS crisis in minority communities can have a greater impact on the communities' understanding of the disease, and the coordination of prevention and treatment services for minority populations, than agencies and/or organizations working independently; and to stimulate and foster the development of effective and durable service delivery capacity for HIV prevention and treatment among organizations closely linked with the minority populations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to support minority-targeted health education and prevention strategies which will help to eliminate or reduce the risk for acquiring or transmitting HIV/AIDS and increase access to services and treatment; and to provide technical assistance and capacity development to community based minority-serving organizations to enhance their delivery capacity for HIV/AIDS prevention and treatment. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or to supplant ongoing project activities.

**Applicant Eligibility:**

State/Territorial Offices of Minority Health or, for those states and territories that do not have established Office of Minority Health, a state or territorial minority health entity located within a State or Territorial Department of Health which functions in the capacity of an Office of Minority Health; and community based, minority-serving organizations.

**Beneficiary Eligibility:**

Members of the minority groups: American Indians or Alaska Natives; Asians; Blacks or African Americans; Hispanics or Latinos; Native Hawaiians or other Pacific Islanders; or subgroups of these populations.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission, where applicable. Documentation to verify official status as a State or Territorial Office of Minority Health signed by a State/territorial level authorizing official (e.g., Governor or designated official, Commissioner of Health or designee) or documentation to verify official status as a State or territorial minority health entity signed by the Commissioner of Health or designee in the Department of Health, as applicable. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Accepted applications will be reviewed by a panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Varies, but a project period is generally limited to 3 years or less. Within a project period, continuation applications must be submitted annually on a noncompeting basis for each year of support.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The grants will have a project period not to exceed 3 years, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedure will be provided at the time the award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$550,000; FY 12 est \$550,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$130,000 to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Four organizations were funded for FY 11 under this CFDA. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact: Office of Minority Health, Division of Program Operations, 1101 Wootton Parkway, Suite 600, Rockville, MD 20852. Telephone: (240) 453-8444. Grants Management Contact: Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.007 PUBLIC AWARENESS CAMPAIGNS ON EMBRYO ADOPTION**

(Embryo)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized by Section 1704 of the Public Health Service Act, 42 U.S.C. Section 300u-3, 42 U.S.C 300u-3.

**OBJECTIVES:**

To fund public awareness campaigns on embryo adoption. The intent is to fund at least one project in each of three distinct categories (1) training for professionals to equip them with the specific knowledge and skills to support the unique needs of embryo donors; (2) regional/local strategies for informing and educating professional audiences; and (3) the use of new media with the goal of increasing public awareness regarding embryo donation and/or adoption. Entities may apply for more than one category; however, a separate application is required for each category identified in this announcement. Applicants should demonstrate experience with embryo donation and/or adoption programs that conform to professionally recognized standards governing embryo donation and/or adoption and other applicable Federal or State requirements. For the purposes of this announcement, embryo donation

and/or adoption is defined as the donation of frozen embryo(s) from one party to a recipient who wishes to bear and raise a child or children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The increasing success of assisted reproductive technologies (ART) has resulted in a situation in which an infertile couple typically creates several embryos through in-vitro fertilization (IVF). During IVF treatments, couples may produce many embryos in an attempt to become pregnant with several being cryopreserved (frozen) for future use. If a couple becomes pregnant without using all of the stored embryos, they may choose to release the remaining unused embryos for donation and adoption allowing other infertile couples the experience of pregnancy and birth. Embryo donation and/or adoption is a relatively new process in which individuals who have extra frozen embryos agree to release the embryos for transfer to the uterus of another woman, either known or anonymous to the donor(s) for the purpose of the recipient(s) attempting to bear a child and be that child's parent.

**Applicant Eligibility:**

Eligible applicants include public agencies, nonprofit organizations, and for-profit organizations. Eligibility to compete for this announcement is limited to particular applicant organizations. Only agencies and organizations, not individuals, are eligible to apply. One agency must be identified as the applicant organization and will have legal responsibility for the project. Additional agencies and organizations can be included as co-participants, subgrantees, subcontractors, or collaborators if they will assist in providing expertise and in helping to meet the needs of the recipients. Faith-based and community-based organizations meeting the eligibility requirements may apply, or they may be included as co-participants, subgrantees, subcontractors, or collaborators if they will assist in providing expertise and in helping to meet the needs of recipients. Eligibility is limited to organizations that can demonstrate previous experience with embryo adoption and are knowledgeable in all elements of the process of embryo adoption.

**Beneficiary Eligibility:**

Potential donors and/or recipients of frozen embryos.

**Credentials/Documentation:**

Proof of nonprofit status is required of nonprofit organizations and institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply, access the announcement through [www.grants.gov](http://www.grants.gov). Enter the CFDA# and follow the website instructions. Applications submitted after the deadlines will not be accepted for review. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via [www.grants.gov](http://www.grants.gov). Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be ineligible will be returned to the applicant. Accepted applications will be evaluated by a technical review panel composed of independent experts. The final funding decision will be determined by the Agency Director, who will take into consideration the recommendations of the review panel; programmatic needs, stated preferences; geographic location; and recommendations of DHHS Regional Health Coordinators. All applicants will be notified in writing of actions taken on their applications. Applications that are approved and funded will be issued A Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Projects are approved for a 5 year project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant Project Periods are for 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their designated authorized officials shall have the right of access to any books, documents, papers, or other records of a grantee, sub-grantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$2,004,000; FY 12 est \$1,996,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$200,000-500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2011 funds supported the continuation of nine cooperative agreements which worked to promote the concept of embryo donation/adoption. In addition to supporting public awareness efforts through a combination of traditional and new media, the Embryo Adoption Public Awareness Campaign helped to fund two ancillary research efforts that revealed that there are over 600,000 frozen embryos in the U.S. as of June 2000, and that over half of women of reproductive age are aware of the process of embryo adoption/donation. Fiscal Year 2012: Fiscal Year 2012 funds to support four continuing cooperative agreement projects with the goal of increasing public awareness of embryo adoption and/or donation. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the

application instructions, the announcement, and the HHS Grants Policy Statement: <http://www.hhs.gov/asrt/og/aboutog/grantsnet.html>

**Regional or Local Office:**

See Regional Agency Offices. Office of Population Affairs, Department of Health and Human Services, 1101 Wootton Parkway, Suite 700, Rockville MD, 20852. Telephone: (240) 453-2828. Project Officer Mr. Robert "Bob" Scholle

DHHS, Office of Assistant Secretary for Health Office of Grants Management 1101 Wootton Parkway, Suite 550, Rockville MD, 20852. Telephone: (240) 453-8822. Grants Specialist Ms. Robin Fuller.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8822.

**Website Address:**

<http://www.opa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1: Objectives and Need for Assistance (30 Points) Applicants must demonstrate a clear understanding of the legislative goals and demonstrate how their approach to the design of a public awareness campaign will contribute to achieve the legislative goals. Criterion 2: Approach (30 Points) In this section, applicants are expected to define goals and specific, measurable objectives for the: (A) Design of the public awareness campaign, (B) implementation, (C) evaluation, and (D) dissemination. 3: Organizational Profile (20 Points) Applicants need to demonstrate that they have the capacity to implement the proposed program. This criterion consists of three broad topics: (A) Management plan, (B) staff qualifications, and (C) organizational capacity and resources. 4: Budget and Budget Justification (20 Points) Applicants are expected to present a budget with reasonable project costs, appropriately allocated across component areas and sufficient to accomplish the objectives. Applicants are expected to allocate sufficient funds in the budget to provide for the project director to attend a two-day orientation meeting in the Washington, DC area.

**93.008 MEDICAL RESERVE CORPS SMALL GRANT PROGRAM (MRC)**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 1703 of the Public Health Service (PHS) Act.

**OBJECTIVES:**

To support the development of Medical Reserve Corps (MRC) units in communities throughout the United States to: (1) increase capacity at the community level to respond during emergencies which have medical consequences, and (2) improve public health in communities through volunteerism on an ongoing basis.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to be used for establishment of community-based, citizen volunteer Medical Reserve Corps. Funds may be used for organizing, volunteer recruitment, assessment of risks and vulnerabilities, strategy development, planning, training, drills/practice, supplies and equipment.

**Applicant Eligibility:**

Eligible applicants for this funding opportunity are national-level nonprofit organizations with significant local, state and national networking connections. The applicant organization must demonstrate.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. Costs will be determined in accordance with 45 CFR 74 and 92. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Final award decisions will be made by the Director of the Office of the Civilian Volunteer Medical Reserve Corps. In making this decision, the Director will fund one cooperative agreement and will consider:  
(1) recommendations of the review panel;  
(2) reviews for programmatic and grants management compliance;  
(3) the reasonableness of the estimated cost to the government considering the available funding and anticipated results; and  
(4) the likelihood that the proposed project will result in the expected benefits.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

This Cooperative Agreement will have a project period not to exceed 5 years, funds will be allotted on 12 month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Necessary instructions regarding payment procedures will be provided at the time of the award. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress reports are required semi-annually, a final performance report is due 90 days following the end of the project period. Cash reports are required for each cash withdrawal or transfer. Progress reports are required for each budget period. Financial Status Reports are due at the end of each budget period, and a final Financial Status Report is due 90 days following the end of the project period. In addition to the required semi-annual progress reports, a final performance report is due 90 days following the end of the project period.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 "Audit of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by HHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit finding(s).

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$6,640,000; FY 12 est \$7,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Only one Cooperative Agreement awarded at the amount of \$6,775,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Brad Austin, MPH, FACHE  
Captain, U.S. Public Health Service  
Senior Program Officer  
Office of the Civilian Volunteer Medical Reserve Corps  
Office of the Surgeon General  
U.S. Department of Health & Human Services  
Room 18C-14, Parklawn Building  
5600 Fishers Lane, Rockville, MD 20857  
Phone (301) 443-1388  
Brad.Austin@hhs.gov.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8449.

**Website Address:**

<http://www.medicalreservecorps.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) Implementation plan which describing linkages to existing community resources, the role the Medical Reserve Corps will most likely have, and the time frame for planning and implementation; 2) Management plan describing the organization's capabilities; 3) Evaluation plan describing program goals and how those goals will be assessed; 4) Supporting documentation detailing how the Medical Reserve Corps is connected to a Citizen Corps Council; and 5) Background on the adequacy of demonstrated knowledge of emergency medical response/care systems and utilization of volunteers.

**93.009 COMPASSION CAPITAL FUND**

(CCF)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Section 1110 of the Social Security Act governing Social Services Research and Demonstration activities; the Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act of 2004. , Public Law 107-116.

**OBJECTIVES:**

To provide grants to charitable organizations to emulate model social service programs and to encourage research on the best practices of social service organizations. This is accomplished through the goal of assisting faith-based and community organizations to increase their effectiveness, enhance their

ability to provide social services, expand their organizations, diversify their funding sources, and create collaborations to better serve those most in need. This is accomplished by funding experienced intermediary organizations in well-defined geographic locations with a proven track record of providing technical assistance to smaller faith-based and community organizations in their communities, providing one-time \$50,000 grants to smaller faith-based and community organizations to build their capacity, and providing grants to strengthen broad-based collaborative community that are working to reduce gang involvement, youth violence, and child abuse and neglect and to foster positive youth development.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Intermediary organizations use the CCF funds to provide two services within their communities: 1) Training assistance to faith-based and community organizations; and 2) Financial support through sub-awards to some subset of the faith-based and community organizations in their communities. Technical assistance activities funded under CCF are to be conducted at no cost to interested faith-based and community organizations. Applicants must have demonstrated experience in the delivery of capacity-building assistance to smaller organizations in several of the following areas: strategic planning, financial management, board development, fund development, and outcome measurement. Technical assistance should be provided on a long-term, on-going basis to smaller organizations. The program goals are further accomplished through the issuance of sub-awards by the funded intermediary organizations to a diverse set of small faith-based and community organizations that seek to increase program and organizational effectiveness for a 12-month period. Sub-award recipients must adhere to the following: sub-award recipients must be chosen from fair and open competitive process; sub-award recipients must not be pre-selected; the awarding process must be fair and open competition and include outreach to both faith-based and community organizations; intermediary organizations must provide on-going technical assistance and capacity-building support to the organizations to which they issue sub-awards; and the criteria for selection must not include consideration of the religious nature of the program it offers. Priority for sub-awards is given to organizations that historically have not received grants from the Federal government. Intermediaries must not require sub-award applicants to provide matching funds even if the applicants offer matching funds in their applications. Intermediaries must not require sub-award applicants to have 501 (c) (3) status or to identify a sponsoring organization with 501 (c) (3) status; Organizations that partner with an intermediary to deliver technical assistance or provide a cost-sharing fund for the proposed project are not to be eligible for sub-awards, unless approved by the Administration for Children and families; Sub-awards should not be used to assist organizations in differing stages of development. Sub-awards may also be provided to promising organizations to expand the reach of existing programs; Sub-awards must not be used to provide direct services, but rather improve the sub-awardee's efficiency and capacity. The Office of Community Services (OCS) will not fund any project, where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant. The applicant must have a substantive role in the implementation of the project for which funding is requested. This prohibition does not bar the making of sub-grants or sub-contracting for specific services or activities needed to conduct the project. CCF monies shall not be used to support inherently religious practices such as religious instruction, worship, or proselytization. Grant or sub-award recipients, therefore, may not and will not be selected based on religious criteria. Neutral, non-religious criteria that neither favor nor disfavor religion must be employed in a selection of a grantee and sub-award recipients.

**Applicant Eligibility:**

Program is no longer accepting grant applications.

**Beneficiary Eligibility:**

Program is no longer accepting grant applications.

**Credentials/Documentation:**

Program is no longer accepting grant applications. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**



Program is no longer accepting applications. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is no longer accepting applications.

**Award Procedure:**

This program is no longer accepting applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Demonstration program award grants for one project period for 12 months. See the following for information on how assistance is awarded/released: Not Applicable.

**Reports:**

CCF recipients are required to submit semi-annual program progress reports. grantees are required to submit semi-annual financial status reports using the required standard form (SF-269) which is located on the Internet at: <http://forms.psc.gov/forms/sf/SF-269.pdf>. CCF recipients are required to submit semi-annual program progress reports. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

CCF complies with 74.50 Purpose of reports and records, 74.51 Monitoring and reporting program performance and 74.52 Financial reporting of the Code of Federal Regulations.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - This program did not receive funding in FY 2011 and no funding was requested in FY 2012 and 2013.

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Program Manager, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, DC 20447.

Contact: Rafael Elizalde, Telephone: (202) 401-5115 (office); (202) 401-4694 (fax); rafael.elizalde@acf.hhs.gov.

**Headquarters Office:**

Rafael J. Elizalde Division of Community Discretionary Programs, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W, Washington, District of Columbia 20447 Email: rafael.elizalde@acf.hhs.gov Phone: (202) 401-5115

**Website Address:**

<http://www.acf.hhs.gov/programs/ccf>

**RELATED PROGRAMS:**

93.711 ARRA STRENGTHENING COMMUNITIES FUND

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.010 COMMUNITY-BASED ABSTINENCE EDUCATION (CBAE) (CBAE)**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Title XI, Section 1110 of the Social Security Act.

**OBJECTIVES:**

To promote abstinence education, as defined by Section 510(b)(2) in Title V of the Social Security Act, for adolescents aged 12 through 18. The entire focus of these programs is to educate young people and create an environment within communities that supports teen decisions to postpone sexual activity until marriage. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Pursuant to Section 510(b)(2) of Title V of the Social Security Act, the term "abstinence education," for purposes of this program means an educational or motivational program that:

- (A) Has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity;
- (B) Teaches abstinence from sexual activity outside marriage as the expected standard for all school age children;
- (C) Teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems;
- (D) Teaches that a mutually faithful monogamous relationship in the context of marriage is the expected standard of human sexual activity;
- (E) Teaches that sexual activity outside of the context of marriage is likely to have harmful psychological and physical effects;
- (F) Teaches that bearing children out-of-wedlock is likely to have harmful consequences for the child, the child's parents, and society;
- (G) Teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and
- (H) Teaches the importance of attaining self-sufficiency before engaging in sexual activity.

**Applicant Eligibility:**

Public and private agencies responsible for the administration (or supervision of the administration) of projects under Section 1110 of the Social Security Act that teach abstinence, using the definitions contained in Section 510(b)(2) of the Act, to adolescents ages 12 through 18. Eligible applicants include: State governments; County governments; City or Township governments; independent school districts; private institutions of higher education; special district governments; public and State-controlled institutions of higher education; Native American Tribal governments (Federally recognized); public

housing authorities/Indian housing authorities; Native American Tribal organizations (other than Federally recognized Tribal governments); non-profits having a 501(c)(3) status with the IRS, other than institutions of higher education; non-profits that do not have a 501(c)(3) status with the IRS, other than institutions of higher education; for-profit organizations other than small businesses; and, small businesses. Faith-based and community organizations that meet the statutory eligibility requirements are eligible to apply under this announcement. Sex education programs that promote the use of contraceptives are not eligible for funding under this program. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made.

**Beneficiary Eligibility:**

Adolescents ages 12 through 18.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Specific instructions are published in a program announcement made available through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau. Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made.

**Appeals:**

Other - Not Specified.

**Renewals:**

From 60 to 90 days. Awards are generally made for a 5-year project period. In the first year of the project, grants will be awarded on a competitive basis. Grant applications will be considered on a noncompetitive basis for years two through five subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are generally made for a 5-year project period. In the first year of the project, grants will be awarded on a competitive basis. Grant applications will be considered on a noncompetitive basis for years two through five subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. Grants will be awarded for 12-month budget periods with a five-year project period. The CBAE program was discontinued in FY10. No new funds will be available and no new awards will be made. See the following for information on how assistance is awarded/released: All grant-funded work must be

completed on or before October 29, 2010.

**Reports:**

Grantees are required to submit cash transaction reports, progress reports, and expenditure reports. Cash reports are not applicable. Grantees are required to submit program progress reports semi-annually throughout the project period. Program progress reports are due 30 days after the reporting period. Final programmatic reports are due 90 days after the close of the project period. Grantees are required to submit financial reports (SF-269) semi-annually throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Performance monitoring occurs by reviewing program progress reports, conducting monitoring phone calls and conducting monitoring site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - The FY10 and FY11 budget makes no provision for the CBAE program. The proposed FY12 budget makes no provision for the CBAE program.

**Range and Average of Financial Assistance:**

N/A.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Family and Youth Services Bureau central office for available literature. You may also get information on the Family and Youth Services Bureau website at the following address:  
<http://www.acf.hhs.gov/programs/fysb>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Debbie Powell, 2150 Maryland Ave., SW, Washington, District of Columbia 20447 Email: [debbie.powell@acf.hhs.gov](mailto:debbie.powell@acf.hhs.gov) Phone: (202) 205-2360.

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.235 Abstinence Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address:  
[http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

**93.011 NATIONAL ORGANIZATIONS OF STATE AND LOCAL OFFICIALS**

NOSLO

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Sections 301 and Title III Sections 330A and 330(l) of the Public Health Service (PHS) Act, as amended; and Section 711(b) of the Social Security Act as amended (42 U.S.C.912(b)).

**OBJECTIVES:**

The National Organizations of State and Local Officials (NOSLO) program has the following goals: (1) integrate primary care and public health activities and examine key issues that affect health care delivery in underserved urban and rural communities; (2) improve public health programs at the national, state, and local levels, by partnering with state and local government entities and programs that contribute to population health and health policy development, (3) incorporate indicators of primary care and public health system integration, such as establishing multi-stakeholder coalitions that align with national and regional health and human services initiatives; (4) address a broad range of cross-cutting issues that affect state and local governments, including policy and data and environmental analyses associated with emerging health reform issues; and (5) leverage key strategic objectives at the state and local level, including safety net provider workforce development, health information technology and exchange, health equity, and safety net funding programs, such as Medicare and Medicaid.

The purpose of the National Organizations of State and Local Officials cooperative agreement is to: (1) engage national organizations, representing state and local officials, to provide training and technical assistance to promote primary care and public health initiatives for their constituencies; (2) strengthen the organizational capacities of state and local health departments, Primary Care Organizations (PCOs), small rural hospitals, State Medicaid agencies, and legislatures through information exchanges that support public and private sector initiatives at the state and local level to improve health and achieve health equity for the communities they serve; and (3) develop technical assistance materials and training activities that benefit health centers providing services to underserved communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

This program will support national organizations that represent the following groups: State/Territorial Health Department Officials, Local County and City Health Department Officials, State Medicaid Directors, and State Legislatures to address cross-cutting, publicly-funded health program integration and health access issues identified by the states and local governments and entities. The NOSLO cooperative agreements are multi-faceted and include opportunities for policy information exchange and collaboration, as well as for providing training and technical assistance to health centers and other health care entities to address the needs of the underserved and targeted populations. The cooperative agreements will also address program priorities for the U.S. Department of Health and Human Services, such as the implementation of health reform activities at the state and local level, including addressing the implications of health reform provisions to achieve improved outcomes for beneficiaries and better services and value for state Medicaid programs.

**Applicant Eligibility:**

Eligible applicants include nonprofit national service organizations that can provide training and technical assistance on a national level. The applicants must have effective organizational infrastructures and capacities (i.e., systems, leadership, resources) to carry out the proposed activities. Applicants must be national in scope and have established long term relationships with the following groups: state legislatures; state government entities such as Primary Care Offices, State Rural Health Associations (SRHA) and State Offices of Rural Health (SORH); state and local health departments; state policymakers; and local county and city government entities.

**Beneficiary Eligibility:**

Eligible beneficiaries include the following entities: Federal; Interstate; Intrastate; State; Local; Public nonprofit institution/organization; Other public institution/organization; Non-Governmental General; Minority group; Specialized group (e.g., health professionals, students, veterans); Small business (less than 500 employees); Private nonprofit institution/organization; Quasi-public nonprofit institution/organization; Anyone/general public; Native American Organizations; Health professional; Black; American Indian; Spanish

origin; Asian; Other non-white; Migrant; U.S. citizen; Refugee/Alien; Veteran/Service; Person/Reservist (including dependents); Women; Disabled (i.e., Deaf, Blind, Physically Disabled).

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

A Notice of Award, signed by the Grants Management Officer, is sent via e-mail to the applicant's Authorized Organization Representative.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Consult the funding opportunity announcement for the period of support. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Refer to the funding opportunity announcement for additional information. Federal Financial Report (FFR) Cash Transaction Reports must be submitted electronically via the Payment Management System within 30 days of the end of each calendar quarter. The report identifies cash expenditures against the authorized funds for the grant or cooperative agreement. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Refer to the funding opportunity announcement for additional information. The Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. Refer to the funding opportunity announcement for additional information on performance monitoring required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Refer to the funding opportunity announcement for information.

**Records:**

Grantees are required to maintain accounting records 3 years after the date they

submit the FFR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 Not Available; FY 12 est \$1,210,000; and FY 13 est \$1,200,000

**Range and Average of Financial Assistance:**

Range of financial assistance: \$302,500. Up to four (4) awards are expected to be made.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Lynnette S. Araki, M.P.H.  
Office of Planning, Analysis and Evaluation  
Health Resources and Services Administration  
Parklawn Bldg., Room 10-49  
5600 Fishers Lane  
Rockville, MD 20857  
Telephone: 301-443-6204; Mobile: 301-252-6908  
FAX: 301-443-2286  
Email: LAraki@hrsa.gov.

**Headquarters Office:**

Lynnette S. Araki, 5600 Fishers Lane, Rockville, Maryland 20895 Email: LAraki@hrsa.gov Phone: (301) 443-6204 Fax: (301) 443-2286.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.129 Technical and Non-Financial Assistance to Health Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Review Criteria are outlined in the funding opportunity announcement.

**93.015 HIV PREVENTION PROGRAMS FOR WOMEN**

(HIV Prevention Programs for Women)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order 42 U.S.C. 300u-2(a)(1), 300u-3, and 300u-6(e), 42 U.S.C 300u-2(a)(1).

**OBJECTIVES:**

HIV Prevention for Women Living in the Rural South: (1) Increase knowledge of accurate HIV prevention information among women living in rural communities in the south; (2) improve and increase access to quality HIV prevention services to women living with or at high risk for HIV infection in rural communities in the south; (3) improve receptivity to and awareness of HIV prevention education, necessary to reduce the stigma among women in rural southern communities; and (4) increase the number of women living in the rural south, who voluntarily receiving HIV testing.

HIV Prevention for Young Women Attending Minority Institutions: (1) Increase on campus activities targeting women at risk for HIV infection; (2) improve HIV prevention education efforts involving women on campus; (3) increase knowledge base of accurate HIV/STD prevention information among women attending minority institutions; and (4) improve access to HIV health related services for women attending minority institutions.

HIV Prevention for Women Living in the Rural and Frontier Indian Country:

(1) Increase knowledge of accurate HIV prevention information among women living in Indian Country; (2) improve and increase access to quality HIV prevention services to women living with or at high risk for HIV infection in rural and frontier Indian Country; (3) improve receptivity to and awareness of HIV prevention education necessary to reduce the stigma among women in rural and frontier Indian Country; and (4) increase the number of women living in rural and frontier Indian Country, who voluntarily receiving HIV testing.

HIV Prevention for Women Incarcerated and Newly Released: (1) Increase the number of incarcerated women receiving pre-release discharge planning, particularly those who are living with HIV or at high risk for HIV infection; (2) increase the number of HIV infected incarcerated women who are connected to drug assistance programs, medical care, and case management services prior to release or at time of release; (3) increase the number of community linkages and networks for ensuring continuum of care for incarcerated and newly released women living with or at high risk for HIV in locations with high rates of HIV infections and incarcerated populations; and (4) increase the number of newly released women receiving support services and HIV care six months post release.

HIV Prevention for Women Living in the U.S. Virgin Islands & Puerto Rico:

(1) Increase access to quality care and treatment for women living with HIV infection; (2) improve and increase access to secondary HIV prevention services to women living with HIV infection and primary prevention for those women at risk for infection; (3) increase understanding of living with HIV, disease management, and treatment adherence; and (4) increase community support activities for women living with HIV and their families.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds shall not be used to fund direct health care services or equipment for patients (e.g. diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

**Applicant Eligibility:**

The applicant must be a Public College or University; a Historically Black College or University; a Hispanic Serving Institution; a Tribal College or University; a Private Non-Profit Community-Based Organization; a Native American Tribal Organization; and/or a Faith-Based Community Organization serving underserved women. Small businesses or organizations not in an official partnership with a qualified institution are not eligible for funding under this announcement.

**Beneficiary Eligibility:**

Underserved women living in the Rural South; Young Women Attending Minority Institutions; Native/American Indian and Alaskan Native Women Living in Rural and Frontier Indian Country; Women Incarcerated and Newly Released Living with or at Risk for HIV/AIDS/STDs; and Women Living in Puerto Rico and the U.S. Virgin Islands, will benefit from this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be

ineligible will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Division for Policy and Program Development, Office on Women's Health and will take into consideration the recommendations of the review panel; program needs, stated preferences; geographic location; and recommendations of DHHS Regional Women's Health Coordinators.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 60 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

Support may be requested for a total project period not to exceed 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support may be requested for a total project period not to exceed 5 years. Non-competing continuation awards of up to the amount specified in the announcement will be made, subject to satisfactory performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress reports are required quarterly; a final performance report is due 90 days following the end of the project period. Cash reports are required for each cash withdrawal or transfer. Progress reports are required for each budget period. NEW FINANCIAL REPORTING REQUIREMENT Federal Financial Reporting (FFR) SF 425:

As of February 1, 2011, the Department of Health and Human Services (DHHS) will begin the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the Office of the Assistant Secretary for Health, Office of Grants Management will return it and require the recipient to complete the SF-425. Copies of the SF-425 can be found on the website at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

1. Grantees must submit quarterly Federal Financial Reports due on one of the standard due dates below by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter. The FFR is due 30 days after the end of each calendar quarter.
2. Also, grantees must submit an annual Federal Financial Report due 90 days after the end of the budget period/project period end date.
3. Reports are to be submitted by hard copy or electronically through GrantSolutions to the assigned Grants Management Specialist in the Office of Grants Management. Please reference the CONTACTS section of the Terms and Conditions for the contact information for these individuals.
4. To determine your due dates, select the row corresponding to the month in which your Budget Period begins, e.g. a June 30 start would correspond to the 1-Jun row.

**Quarterly/Annual Reporting Deadlines**

Budget Period 1st

Quarter FFR Due 2nd

Quarter FFR Due 3rd

Quarter FFR Due 4th

Quarter FFR Due Annual FFR Due

Begin End Date Date Date Date

1-Jan 31-Dec 30-Apr 30-Jul 30-Oct 30-Jan 30-Apr

1-Feb 31-Jan 30-Jul 30-Oct 30-Jan 30-Apr 30-Apr  
1-Mar 28-Feb 30-Jul 30-Oct 30-Jan 30-Apr 30-Jul  
1-Apr 31-Mar 30-Jul 30-Oct 30-Jan 30-Apr 30-Jul  
1-May 30-Apr 30-Oct 30-Jan 30-Apr 30-Jul 30-Jul  
1-Jun 31-May 30-Oct 30-Jan 30-Apr 30-Jul 30-Oct  
1-Jul 30-Jun 30-Oct 30-Jan 30-Apr 30-Jul 30-Oct  
1-Aug 31-Jul 30-Jan 30-Apr 30-Jul 30-Oct 30-Oct  
1-Sep 31-Aug 30-Jan 30-Apr 30-Jul 30-Oct 30-Jan  
1-Oct 30-Sep 30-Jan 30-Apr 30-Jul 30-Oct 30-Jan  
1-Nov 31-Oct 30-Apr 30-Jul 30-Oct 30-Jan 30-Jan  
1-Dec 31-Nov 30-Apr 30-Jul 30-Oct 30-Jan 30-Apr. In addition to the required quarterly progress reports, a final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$4,904,998; FY 12 est \$4,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

For specific Information see the program announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Mary L. Bowers  
OASH/Office on Women's Health  
200 Independence Ave., SW  
Room 7-712E  
Washington, DC  
Phone: 202-260-0020  
email: Mary.Bowers@hhs.gov.

**Headquarters Office:**

Brenda C. Donaldson Tower Building Suite 550, 1101 Wootton Parkway,  
Rockville, Maryland 20852 Email: Brenda.Donaldson@hhs.gov Phone: (240)  
453-8822.

**Website Address:**

<http://www.4woman.gov/owh> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicant must be a Public College or University; a Historically Black College or University; a Hispanic Serving Institution; a Tribal College or University; a Private Non-Profit Community-Based Organization; a Native American Tribal Organization; and/or a Faith-Based Community Organization serving underserved women. Small businesses or organizations not in an official partnership with a qualified institution are not eligible for funding under this announcement. For specific details see the full announcement published in the Federal Register.

### **93.016 POSTAL MODEL FOR MEDICAL COUNTERMEASURES DELIVERY AND DISTRIBUTION**

#### **FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Services Act (42 USC 247d, 300hh-11 )  
Food, Drug and Cosmetic Act (21 United States Code [USC] 301 et seq).

#### **OBJECTIVES:**

To help metropolitan areas augment their capabilities to respond to a large-scale bioterrorism attack. The primary focus is on developing and testing collaborative arrangements whereby the United States Postal Service (USPS) and local law enforcement agencies, under the direction of the local or State public health authority, would deliver self-administrable medical countermeasures (specifically, antibiotic drugs) to every residence in the at-risk area potentially the entire community with the goal of preventing disease and death and thus avoiding a public health catastrophe.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

#### **USES AND USE RESTRICTIONS:**

Grant funds may be used for Postal Model for Medical Countermeasures Delivery and Distribution related activities only. Grants funds may not be used for construction and/or major rehabilitation of buildings. Grants funds may not be used for basic research (e.g. scientific or medical experiments.). When appropriated and apportioned, all funds available will be used for discretionary grant awards.

#### **Applicant Eligibility:**

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education.

#### **Beneficiary Eligibility:**

All entities listed above.

#### **Credentials/Documentation:**

Applicants should review the individual Assistant Secretary for Preparedness and Response (ASPR) funding opportunity announcement (FOA) issued under this CFDA program for any proof of certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular A-122 applies to this program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained through Grants.gov - FIND. Applicants should visit Grants.gov - FIND for the FOA and Grants.gov - APPLY to download application materials to complete and submit their applications in accordance with the FOA.

#### **Award Procedure:**

Applications that successfully proceed through initial screening (as outlined in the FOA) will be objectively reviewed based upon the review criteria specified in the FOA. Applications selected for funding will be processed and the

applicant notified in writing through the issuance of a Notice of Grant Award from the Office of the Assistant Secretary for Preparedness and Response.

#### **Deadlines:**

Sep 30, 2011: Applicable deadlines and due dates are specified in the funding opportunity announcement.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Project periods are limited up to 12 months. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Grant Award, a legal document that informs the awardee that a grant award has been made. See the following for information on how assistance is awarded/released: Awardee may draw down funds in advance of the incurrence of expenditure (up to three days) from the Payment Management System.

#### **Reports:**

Grantees are required to submit program reports, also know as Program Progress Reports. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. The FFR SF425 cash transaction report is due 30 days after the end of each calendar quarter. Grantees are required to submit Program Progress Reports at the completion of each milestone as well as a final Program Progress Report. ASPR requires financial reporting through the Federal Financial Report (FFR), Standard Form 425. Reports are due semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Performance monitoring of awardees is completed by ASPR program staff.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

#### **Account Identification:**

75-0140-0-1-551.

#### **Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$450,000; FY 12 est \$0; and FY 13 est \$0

#### **Range and Average of Financial Assistance:**

\$50,000 Phase 1 and \$200,000 Phase 2 award.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: As a result of the Executive Order (EO) # 13527 signed on December 30, 2009 Section 2 the National Postal Model (NPM--hereafter referred to as the National Postal Model) for the residential delivery of MCM following a biological attack, a joint program was established between HHS and USPS.

The EO tasked HHS for the health safety support process which includes:

1. the provision of Home Antibiotic Kits for the USPS participants and members of their households as well as an Individual Antibiotic Kits to be

stored at the delivery unit for day of usage (requires an Emergency Use Authorization from FDA);

2. medical screening for the administration of antibiotics for the participants and household members;
3. medical evaluation for the use of N95s for the participants;
4. equipment fit testing for N-95s for the participants and;
5. the provision of applicable personal protective equipment (N95, nitrile gloves and disposable clothing).

Spring 2011, a Funding Opportunity Announcement (FOA) was offered by HHS to assist any metropolitan areas (not necessarily a CRI city) to augment their capabilities to respond to a large-scale bioterrorism attack. The Louisville Metropolitan Department of Public Health and Wellness in Kentucky, the Boston Public Health Commission, the Philadelphia Department of Health and the San Diego Health and Human Services Agency each received \$50,000 grants for initial planning and exercises (Phase 1 award). The Minnesota Department of Health, which had completed the National Postal Model planning and initial exercises in 2010, received a \$200,000 grant to conduct a full-scale exercise simulating an anthrax attack in the metropolitan area (Phase 2 award).

ASPR has developed an online screening tool and electronic prescription system to enhance and streamline the collection and safety of medical information collected from the USPS participants.

ASPR has successfully completed a full scale exercise in MSP which demonstrated the feasibility to deliver to postal routes within 8 hours of being deployed. 4 Postal routes completed approximately 37,000 residential deliveries.

Venue specific comprehensive postal plans, strategic security plans and tabletop exercises have been signed and conducted in Minneapolis/Saint Paul, San Diego, Louisville and Philadelphia. Boston will accomplish same by September, 2012.

By September 2012, 5 jurisdictions will have the National Postal Model as an operational capability with the ability to deliver to over 1 million households, approximately 4 million people. Roughly 1,000 USPS participants will be equipped with home medkits (for themselves and their families) and personal protective equipment for day of use. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments, 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, 2 CFR, and the HHS Grants Policy Statement found at <http://dhhs.gov/asfr/ogapa/grantinformation/hhsgrps107.pdf>.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Delaine E Black Countermeasures Dispensing Program, Office of Preparedness and Emergency Operations, Office of the Assistant Secretary for Preparedness and Response, Department of Health and Human Services, 200 Independence Ave., SW, Suite 638G, Washington, District of Columbia 20201 Email: [delaine.black@hhs.gov](mailto:delaine.black@hhs.gov) Phone: 202-401-5829

#### **Website Address:**

<http://www.phe.gov>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Discretionary awards are subject to objective review. Reviewers will individually evaluate and score applications based upon the review criteria specified in the funding opportunity announcement. Scored applications will be ordinarily ranked. The highest ranked applications will receive priority consideration for award within available funding.

#### **93.018 STRENGTHENING PUBLIC HEALTH SERVICES AT THE OUTREACH OFFICES OF THE U.S.-MEXICO BORDER HEALTH**

#### **COMMISSION**

#### **FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act As Amended, Title XVII, Section 1701(e) (1), 22 U.S.C 290n.

#### **OBJECTIVES:**

This initiative addresses and targets outreach and health promotion activities; evaluation and assessments; health data analysis and surveillance; public information, promotion and communication; Healthy Border/Healthy Gente activities; and will work with communities to implement programs to improve the health of border residents; and will publicize the achievements and challenges of border health; and will provide programmatic and administrative support to the members and staff of the United States - Mexico Border Health Commission. This assistance is geared to support current, on-going and proposed public health initiatives in this border region that support the goals and objectives of the United States - Mexico Border Health Commission as it serves to strengthen access to health care, disease prevention, and public health along the state border.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds may be used to cover costs of: personnel; consultants; grant related office supplies and software; grant related travel (domestic only); educational, promotional and evaluation materials; and other grant related costs. Funds shall not be used to fund direct health care services or equipment for patients (e.g. diagnostic tests, screening equipment, treatment, etc.). Also, funds may not be used for: building alterations or renovations, construction, screening supplies or equipment, incentives and prizes, food, fund raising activities, political education and lobbying, and other activities that are not grant related.

#### **Applicant Eligibility:**

This is a single eligibility cooperative agreement offered to the TX, NM, AZ, and CA State Department of Health. The State Department of Health will work with the Border State Outreach Office to accomplish the goals and objectives of the U.S.-Mexico Border Health Commission.

#### **Beneficiary Eligibility:**

Underserved individuals residing in border area communities, and increase assistance to United States- Mexico Border Health Commission.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with HHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be determined by the Director, Office of Global Health Affairs and will take into consideration the recommendations and ratings of the review panel; program needs, and stated preferences.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 60 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

Project period is for 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Grants can have a project period not to exceed 4 years, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the Notice of Grant Award is issued. Method of awarding/releasing assistance: quarterly. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress reports are required semi-annually, a final performance report is due 90 days following the end of the project period. Cash reports are required for each cash withdrawal or transfer. Progress reports are required for each budget period. Progress reports are required semi-annually. Financial Status Reports are due at the end of each budget period, and a final Financial Status Report is due 90 days following the end of the project period. In addition to the required semi-annual progress reports, a final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,300,000; FY 12 est \$1,300,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$400,000 to \$475,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the application instructions, the Federal Register announcement, and the HHS Grants Policy Statement (HHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994); 45 CFR 100 applies.

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. For assistance on programmatic issues, please

contact: Mr. Dan ReynaMSS, MPA

General Manager, U.S. Section; U.S.-Mexico Border Health Commission; Office of Global Health Affairs; Office of the Secretary; Department of Health and Human Services, El Paso, Texas 79901. Telephone (915) 532-1006, ext. 13, FAX (915) 532-1697, e-mail Dan.Reyna@hhs.gov or Office of Global Health Affairs, 200 Independence Ave, SW, Room 639H, Washington, DC 20201.

**Headquarters Office:**

Eric C. West, Tower Building, Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8449.

**Website Address:**

www.globalhealth.gov/oirh.shtml .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be screened by OGHA staff for completeness and for responsiveness to the program guidance. Applicants should pay strict attention addressing these criteria, as they are the basis upon which applications will be judged. Those applications judged to be non-responsive or incomplete will be returned to the applicant without review. Applications that are complete and responsive to the guidance will be evaluated for scientific and technical merit by an appropriate peer review group specifically convened for this solicitation and in accordance with HHS policies and procedures. As part of the initial merit review, all applications will receive a written critique. All applications recommended for approval will be discussed fully by the ad hoc peer review group and assigned a priority score for funding. Eligible applications will be assessed according to the following criteria: Technical Approach, 45 points; Experience and Capabilities of the Organization, 45 points; and Facilities and Resources, 10 points.

**93.041 SPECIAL PROGRAMS FOR THE AGING, TITLE VII, CHAPTER 3 PROGRAMS FOR PREVENTION OF ELDER ABUSE, NEGLECT, AND EXPLOITATION**

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act, Title 7, Section 721.

**OBJECTIVES:**

To support activities to develop, strengthen, and carry out programs for the prevention, detection, assessment, and treatment of, intervention in, investigation of, and response to elder abuse, neglect, and exploitation (including financial exploitation), including: (1) providing for public education and outreach to identify and prevent elder abuse, neglect, and exploitation; (2) providing for public education and outreach to promote financial literacy and prevent identity theft and financial exploitation of older individuals; (3) ensuring the coordination of services provided by area agencies on aging with services instituted under the State adult protection service program, State and local law enforcement systems, and courts of competent jurisdiction; (4) promoting the development of information and data systems, including elder abuse reporting systems, to quantify the extent of elder abuse, neglect, and exploitation in the State; (5) conducting analyses of State information concerning elder abuse, neglect, and exploitation and identifying unmet service, enforcement, or intervention needs; (6) conducting training for individuals, professionals, and paraprofessionals, in relevant fields on the identification, prevention, and treatment of elder abuse, neglect, and exploitation, with particular focus on prevention and enhancement of self determination and autonomy; (7) providing technical assistance to programs that provide or have the potential to provide services for victims of elder abuse, neglect, and exploitation and for family members of the victims; (8) conducting special and on going training for individuals involved in serving victims of elder abuse, neglect, and exploitation, on the topics of self determination, individual rights, State and Federal requirements concerning confidentiality, and other topics



determined by a State agency to be appropriate; (9) promoting the development of an elder abuse, neglect, and exploitation system; (10) examining various types of shelters serving older individuals (in this paragraph referred to as safe havens), and testing various safe haven models for establishing safe havens (at home or elsewhere), that recognize autonomy and self-determination, and fully protect the due process rights of older individuals; and (11) supporting multidisciplinary elder justice activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to State Agencies on Aging to develop and enhance comprehensive and coordinated programs for the prevention and treatment of elder abuse, neglect, and exploitation, consistent with relevant State law and coordinated with State adult protective service activities. A State plan covering 2, 3, or 4 years, with annual revisions as necessary, must be submitted for approval to the Assistant Secretary on Aging. Funds are used to develop, strengthen, and carry out activities for prevention and treatment of elder abuse, neglect and exploitation.

**Applicant Eligibility:**

All States and U.S. Territories which have State Agencies on Aging designated by the governors.

**Beneficiary Eligibility:**

Individuals 60 years of age and older, targeting those older individuals with the greatest social needs and those with the greatest economic needs.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office for State application instructions. (See Appendix IV of the Catalog).

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging after review and evaluation of submitted state plans.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. States are entitled to these grants by statute. However, the grants can be terminated by the Assistant Secretary for Aging if the required State Plan is not approved, or if the required intrastate funding formula is not approved.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

From 60 to 90 days. Applications are submitted for a 2-, 3-, or 4-year period and are revised as necessary.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

Program reports are required. Submitted through the payment management system. No progress reports are required. SF-425. Through the appropriate Regional Office.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$5,032,634; FY 12 est \$5,032,634; and FY 13 est \$5,032,634

**Range and Average of Financial Assistance:**

Average: \$89,368.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

To assist state efforts in developing comprehensive State Plans, the U.S. Administration on Aging provided technical support funding to the National Association of State Units on Aging to develop the TASC planning zone, which includes information on elder abuse prevention programming:

<http://nasua.org/tasc/>

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Barbara Dieker, One Massachusetts Ave., NW, Washington, District of Columbia 20001 Email: [Barbara.Dieker@aoa.hhs.gov](mailto:Barbara.Dieker@aoa.hhs.gov) Phone: (202) 357-0139 Fax: (202) 357-3459.

**Website Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.042 Special Programs for the Aging Title VII, Chapter 2 Long Term Care Ombudsman Services for Older Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.042 SPECIAL PROGRAMS FOR THE AGING TITLE VII, CHAPTER 2 LONG TERM CARE OMBUDSMAN SERVICES FOR OLDER INDIVIDUALS**

(State Grants for Long Term Care Ombudsman Services)

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, as amended, Section 702 (a).

**OBJECTIVES:**

The principal role of this Ombudsman Program is to investigate and resolve complaints made by or on behalf of residents of nursing homes or other long-term care facilities. Ombudsmen also promote policies and practices

needed to improve the quality of care and life in long-term care facilities and educate both consumers and providers about residents' rights and good care practices.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop or strengthen service systems through designated State Agencies on Aging, Area Agencies on Aging and other local entities. Funds under this Title and Chapter are included in State aging plans covering 2, 3, or 4 years, with annual revisions as necessary, submitted for approval to the Assistant Secretary for Aging. Funds are used to design and implement programs for the provision of long-term care ombudsman services for individuals living in long-term care facilities.

**Applicant Eligibility:**

All States and U.S. Territories which have State Agencies on Aging designated by the governors.

**Beneficiary Eligibility:**

Older individuals residing in institutional long-term care facilities or requiring assistance in entering or transferring from such facilities.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office for State application instructions. (See Appendix IV of the Catalog for listing).

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Applications are submitted for a 2-, 3-, or 4-year period and revised as necessary.

**Formula and Matching Requirements:**

Statutory Formula:

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details. This program has minimum funding requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

One year. Method of awarding/releasing assistance: lump sum.

**Reports:**

as noted in the Program Announcement. SF-425. as noted in the Program Announcement. SF-425. as noted in the Program Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$16,749,234; FY 12 est \$16,749,234; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$10,468 to \$1, 693,475; \$299,093.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Louise Ryan One Massachusetts Ave, NW, Washington, District of Columbia 20001 Email: Louise.Ryan@aoa.hhs.gov Phone: 202-357-3503

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.043 Special Programs for the Aging Title III, Part D\_Disease Prevention and Health Promotion Services; 93.044 Special Programs for the Aging Title III, Part B\_Grants for Supportive Services and Senior Centers; 93.045 Special Programs for the Aging Title III, Part C\_Nutrition Services; 93.048 Special Programs for the Aging Title IV\_and Title II\_Discretionary Projects; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made on a non-competitive basis.

**93.043 SPECIAL PROGRAMS FOR THE AGING TITLE III, PART D\_DISEASE PREVENTION AND HEALTH PROMOTION SERVICES FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Title III, Parts A and F, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 87 Stat. 30; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat. 713; Public Law 95-65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97- 115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100- 175, 101 Stat. 926; Section 705, Public Laws 100-628, 102-375, and 106-501, 42 U.S.C. 3022-3030(M).

**OBJECTIVES:**

To develop or strengthen preventive health service and health promotion systems through designated State Agencies on Aging and Area Agencies on Aging. Funds are provided for disease prevention and health promotion services including health risk assessments; routine health screening; nutrition screening;

counseling and educational services for individuals and primary care givers; health promotion; physical fitness; home injury control and home safety screening; screening for the prevention of depression, and referral to psychiatric and psychological services; education on availability of benefits and appropriate use of preventive services; education on medication management; information concerning diagnosis, prevention, and treatment of neurological and organic brain dysfunction; gerontological counseling and counseling regarding social services and follow-up health services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop or strengthen preventive health service and health promotion systems through designated State Agencies on Aging and area Agencies on Aging. A State plan covering 2, 3, or 4 years, with annual revisions as necessary, must be submitted to State agencies for approval. Funds are used to design and implement programs for periodic preventive health services to be provided at senior centers or alternative sites as appropriate. The preventive health services under this part may not include services eligible for reimbursement under Medicare.

**Applicant Eligibility:**

Only States and U.S. Territories which have State Agencies on Aging designated by the governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Older individuals, especially those living in areas of States which are medically underserved and in which there are a large number of older individuals who have the greatest economic need for the services.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office for State application instructions.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to substate level organizations, which they have designated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

Applications are submitted for a 2-,3-, or 4-year period with annual revisions.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 85%. Formula grants are 85 percent Federal and 15 percent nonfederal. The nonfederal contribution may be in the form of cash or in-kind contributions, including plant, equipment, or services.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

Annual Program Performance Report. Submitted through the payment management system. Progress reports are not applicable. SF 425 Status Report (Semi-annual). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$20,983,948; FY 12 est \$20,983,948; and FY 13 est \$20,983,948

**Range and Average of Financial Assistance:**

\$13,141 to \$2,132,032; \$375,464.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funds were provided for disease prevention and health promotion services including health risk assessments; routine health screening; nutrition screening; counseling and educational services for individuals and primary care givers; health promotion; physical fitness; home injury control and home safety screening; screening for the prevention of depression and referral to psychiatric and psychological services; education on availability of benefits and appropriate use of preventive services; education on medication management; information concerning diagnosis, prevention, and treatment of neurological and organic brain dysfunction gerontological counseling and counseling regarding social services and follow-up health services. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Danielle Nelson One Massachusetts Ave, Washington, District of Columbia 20201 Email: Danielle.Nelson@aoa.hhs.gov Phone: 202-357-3512

**Website Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.044 Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made on a non- competitive basis. State Grants are awarded upon approval of a State Plan.

**93.044 SPECIAL PROGRAMS FOR THE AGING TITLE III, PART B GRANTS FOR SUPPORTIVE SERVICES AND SENIOR CENTERS FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Title III, Parts A and B, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 89 Stat. 301; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat 713; Public Law 95- 65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Section 705, Public Law 100-628; 42 U.S.C. 3022-3030d; Public Law 106-501.

**OBJECTIVES:**

To encourage State Agencies on Aging and Area Agencies on Aging to concentrate resources to develop and implement comprehensive and coordinated community-based systems of service for older individuals via Statewide planning, and area planning and provision of supportive services, including multipurpose senior centers. The objective of these services and centers is to maximize the informal support provided to older Americans to enable them to remain in their homes and communities. Providing transportation services, in-home services, and other support services, this program insures that elders receive the services they need to remain independent.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are awarded to States to develop and strengthen comprehensive and coordinated service delivery systems through designated State Agencies on Aging and Area Agencies on Aging. A State plan covering 2, 3, or 4 years, with annual amendments as necessary, must be submitted for approval to the Assistant Secretary for Aging. Area Plans also cover 2, 3, or 4 years, and are to be submitted to State agencies for approval. These funds are distributed by intrastate funding formulas to area agencies in States with planning and service areas and directly to service providers in the 13 States designated as single-planning-and-service-area States. In addition to supportive nutrition services, these funds may be used to support other services including the renovation, acquisition and alteration, and construction of multipurpose senior centers.

**Applicant Eligibility:**

Only State and U.S. Territories which have State Agencies on Aging designated by the Governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Individuals age 60 and over, targeting those older individuals with the greatest economic needs, the greatest social needs, and those residing in rural areas.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is subject only to the State Plan Consolidation Section of E.O. 12372. State plans are covered under this Section, but intergovernmental consultation review is excluded. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office for State application instructions. Also, see 45 CFR 1321.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to substate level organizations, which they have designated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 1321 and Section 2112 of Title 28, U.S.C.

**Renewals:**

State Plans are submitted for a 2-, 3-, or 4-year period with annual revisions as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Formula Grants are 85 percent Federal and 15 percent nonfederal funds. See funding agency for further details.

Matching Requirements: Percent: 15.%.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

SF 425 Financial Status Report (semi-annual) and the Annual Program Performance Report. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$365,402,129; FY 12 est \$365,402,129; and FY 13 est \$365,402,129

**Range and Average of Financial Assistance:**

Average \$6,525,038.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year: 56 awards for a total of \$365,402,129. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Danielle Nelson One Massachusetts Ave, Washington, District of Columbia 20201 Email: Danielle.Nelson@aoa.hhs.gov Phone: 202-357-3512

**Website Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042 Special Programs for the Aging Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals; 93.043 Special Programs for the Aging Title III, Part

D\_Disease Prevention and Health Promotion Services; 93.045 Special Programs for the Aging Title III, Part C\_Nutrition Services; 93.048 Special Programs for the Aging Title IV\_and Title II\_Discretionary Projects; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Noncompetitive. State grants awarded based on approval of State Plan, and intrastate funding formula for States with area agencies.

**93.045 SPECIAL PROGRAMS FOR THE AGING TITLE III, PART C\_NUTRITION SERVICES**

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Parts A and C, Public law 89-73, as amended; Public law 90-42, 81 Stat. 106; Public Law 91-69, 85 Stat. 108; Public Law 92-258, 86 Stat. 88; Public Law 93-87 Stat. 301; Public law 93-351, 88 Stat. 357; Public law 94-135, 89; Stat. 713; Public Law 95-65, 91 Stat. 269; Public law 95-478, 92 Stat. 513; Public law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Title III, Part C, Public Law 100-175; public Law 100-628; 42 U.S.C. 3030e-3030g; Public Law 102-375; Public 106-501.

**OBJECTIVES:**

To provide grants to States to support nutrition services including nutritious meals, nutrition education and other appropriate nutrition services for older Americans in order to maintain health, independence and quality of life. Meals may be served in a congregate setting or delivered to the home, if the older individual is homebound.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Local projects must provide a hot or other appropriate meal which complies with the Dietary Guidelines for Americans and provides one-third of the Dietary Reference Intakes (DRI), at least once per day, 5 or more days per week, except in rural areas where a lesser frequency is determined feasible, to eligible people aged 60 and over and their spouses.

**Applicant Eligibility:**

Only States and U.S. Territories which have State Agencies on Aging designated by the governors are eligible to receive these grants.

**Beneficiary Eligibility:**

Older individuals aged 60 and over and their spouses, especially those older individuals with the greatest social need or those with the greatest economic need, and in certain cases, under age 60, if the individual is handicapped or disabled and resides with an older individual.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Consult the appropriate Regional Office or HQ for State Plan instructions.

**Award Procedure:**

The Administration on Aging awards funds through a statutory formula.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. States are entitled to these grants by statute.

**Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1321, and Section 2112 of Title 28, U.S.C.

**Renewals:**

State Plans are submitted for a 2-, 3-, or 4-year period, with annual revisions as necessary.

**Formula and Matching Requirements:**

Statutory Formula: See statute for formula description.

Matching Requirements: Percent: 15.%. The nonfederal contribution may be in the form of cash or in kind contributions, including plant, equipment, or services.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

3 years. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

Report requirements are identified in the Notice of Award. Recipients will be required to complete cash report information in the Payment Management System when requesting funds. (Semi-annual) and the annual Program Performance Report are required. SF 425 Financial Status Report are required along with the completion of the supplemental form. Site visits, meeting performance measures etc.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$653,192,964; FY 12 est \$653,192,964; and FY 13 est \$653,192,964

**Range and Average of Financial Assistance:**

Congregate Nutrition Services: FY11 \$437,257,831

Home-Delivered Nutrition Services: FY11 \$215,935,133.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Congregate Nutrition Services: FY11 \$437,257,831

Home-Delivered Nutrition Services: FY11 \$215,935,133. Fiscal Year 2012: No

Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 1321.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Jean Lloyd Office of Home and Community-Based Services, Administration on Aging, DHHS

One Massachusetts Avenue, NW, Washington, District of Columbia 20201

Email: Jean.Lloyd@aoa.hhs.gov Phone: 202-357-3582

**Website Address:**

http://www.aoa.gov

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042 Special Programs for the Aging Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals; 93.043 Special Programs for the Aging Title III, Part D\_Disease Prevention and Health Promotion Services; 93.044 Special Programs for the Aging Title III, Part B\_Grants for Supportive Services and Senior Centers; 93.048 Special Programs for the Aging Title IV\_and Title II\_Discretionary Projects; 93.052 National Family Caregiver Support, Title III, Part E; 93.053 Nutrition Services Incentive Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Mandatory formula awards. State grants are awarded based on approval of a State plan.

**93.047 SPECIAL PROGRAMS FOR THE AGING TITLE VI, PART A, GRANTS TO INDIAN TRIBES PART B, GRANTS TO NATIVE HAWAIIANS****FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Title VI, Public Law 89-73, 92 Stat. 1513.

**OBJECTIVES:**

To promote the delivery of supportive services, including nutrition services, to American Indians, Alaskan natives, and Native Hawaiians that are comparable to services provided under Title III.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are available through grants to eligible Indian Tribal Organizations for services comparable to those provided under Title III. Services must include nutrition services and information and referral, and may include transportation and other services authorized under Title III. Funds may be used for staffing senior centers. Indian Tribes receive funds based on a formula that considers the number of eligible elder Indians sixty years of age or older represented by the tribal organizations with population ranges from 50-100, 101-200, 201-300, 301-400, 401-500, 501 to 1,500, and 1,501+. Grants also are available to private or nonprofit organizations having the capacity to provide services to older Native Hawaiians.

**Applicant Eligibility:**

Tribal organizations of Indian tribes eligible for assistance under Section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), and public or nonprofit private organizations which serve Native Hawaiian Elders, which represent at least 50 Indians or Hawaiians 60 years of age or older. Applicants must demonstrate that they have the ability to deliver supportive and nutrition services.

**Beneficiary Eligibility:**

Indians who are 60 years of age and older, and in the case of nutrition services, their spouses. Tribes also have the authority to define Indians under 60 years of age as "older Indian" making them eligible for services.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. In order to receive a grant, the eligible tribal organization, or for Native Hawaiians, the nonprofit private organization serving Native Hawaiians, must submit an application in accordance with instructions published in the Federal Register and/or Grants.gov by the Administration on Aging.

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Usually within 60 to 120 days from closing date or receipt of application.

**Appeals:**

Appeals are processed in accordance with Administration on Aging regulations in 45 CFR 1326 and 1328.

**Renewals:**

Renewals within the grant period are based on satisfactory performance during the prior year, and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for grants are awarded for no less than a 12-month period. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

A program performance and SF-425 financial report are due annually to the funding agency. No performance monitoring is required. Submitted through the Payment Management System. No progress reports are required. A financial report is due annually to the funding agency. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$27,479,621; FY 12 est \$27,479,621; and FY 13 est \$27,479,621

**Range and Average of Financial Assistance:**

Grants to Indian Tribes, Part A range from \$72,520 to \$177,130. Grants to Native Hawaiians, Part B range from \$82,290 to \$1,505,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 256 grants were awarded for a total of \$27,479,621. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1328. Guidelines are issued by the Assistant Secretary for Aging.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services Regional Offices (See Appendix IV of the Catalog).

**Headquarters Office:**

Cynthia LaCounte One Massachusetts Ave, NW , Washington, District of Columbia 20201 Email: Cynthia.LaCounte@aoa.hhs.gov Phone: 202-357-0148

**Website Address:**

<http://www.aoa.gov>.

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging\_ Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042 Special Programs for the Aging\_ Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals; 93.043 Special Programs for the Aging\_ Title III, Part D\_Disease Prevention and Health Promotion Services; 93.044 Special Programs for the Aging\_ Title III, Part B\_Grants for Supportive Services and Senior Centers; 93.045 Special Programs for the Aging\_ Title III, Part C\_Nutrition Services; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made based upon the extent to which the project meets the requirements of the law and regulations.

**93.048 SPECIAL PROGRAMS FOR THE AGING\_ TITLE IV\_ AND TITLE II\_DISCRETIONARY PROJECTS**

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, Title IV, Public Law 89-73, 79 Stat. 218, as amended; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Public Law 100-628, 42 U.S.C. 3031-3037b; Public Law 102-375; Public Law 106-501.

**OBJECTIVES:**

To support the development and testing of innovative programs, services and systems of support that respond to the needs of the nations growing elderly population, to improve knowledge of the problems and needs of the elderly, to help ensure adequately trained personnel in the field of aging, and to demonstrate better ways of improving the quality of life for the elderly, their caregivers and people with disabilities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Each year, AoA/ACL issues multiple Funding Opportunity Announcements. The specific use of funds will vary across these multiple announcements. Depending on the specific program goals and objectives cited in an individual announcement, funds may be used for any one or more, but not necessarily all, of the following: (a) to demonstrate and/or replicate new or proven methods and practices to improve the quality and effectiveness of programs and services; (b) to ensure proven programs and approaches are replicated with fidelity to the original research (c) to evaluate new or existing programs and services; (d) to conduct applied research and analysis to improve access to and delivery of services; (e) to provide training and technical assistance to professionals in the field. Funds may not be used for: (a) construction and/or major rehabilitation of buildings; (b) basic research (e.g., bio-medical experiments); (c) to substitute, supplant or expand funding for Older American Act formula funded programs, including supportive and nutritional services funded under Title III of the Older Americans Act; (d) medical care, institutional care or income maintenance; (e) projects which do not involve innovative approaches, and whose outcomes do not have the potential for national dissemination and replication; (f) equipment purchases unless the equipment is necessary to carry out a project that is otherwise fundable under Title IV.

**Applicant Eligibility:**

Grants may be made to any public or nonprofit private agency, organization, or institution. Contracts may be awarded to any agency, organization or institution. Grants and contracts are not available to individuals.

**Beneficiary Eligibility:**

Older individuals aged 60 and older, family caregivers and grandparents, and older individuals who are relative caregivers, individuals at high-risk of institutional placement, and individuals in need of assistance with or planning ahead for their long-term care needs.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The availability of competitive grant funds under Title IV is announced from time to time via program announcements that are simultaneously published on [www.grants.gov](http://www.grants.gov) and on the AoA/ACL website at <http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>. In addition, announcements intended for a wide audience of applicants may be published in the Federal Register. All required forms and instructions for specific program announcements can be found on the AoA/ACL website. Contract information is published in the "Commerce Business Daily."

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Grant extensions may be requested from the grantee's Program Officer. but approvals are granted by the Grants Management office.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25.%. This program has no statutory formula. Matching requirements may be required of any grantee to the extent deemed appropriate by the Assistant Secretary for Aging/Administrator for Community Living and are generally set at a minimum of 25 percent of the total cost of the project. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, projects are approved for a period of 12 to 36 months. Support beyond the first year is contingent upon the availability of funds and evidence of satisfactory progress. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. SF-425. Semi-annual progress reports and final reports are required of grantees. SF-425. Performance monitoring accomplished through site visits, review of progress reports, and general interaction between the Federal Program Officer and grantee.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$54,335,787; FY 12 est \$54,335,787; and FY 13 est \$54,335,787 - The number of awards in fiscal year 2011 totaled 211. Awards in fiscal year 2011 were made to support: National Resource Center on Nutrition and Aging, National Adult Protective Services Resource Center, National Hispanic Senior Medicare Patrol, Accelerating Integrated Evidence Based and Sustainable Service Systems, Health Care Fraud Prevention Program Expansion, Accelerating Adoption of Consumer/Participant Models, National Center on Elder Abuse, National Legal Resource Center, Disaster Assistance, National Long-Term Care Ombudsman Resource Center, National Consumer Protection Technical Resource Center, National Alzheimer's Call Center, Civic Engagement, Health Disparities Among Minority Elders, Eldercare Locator Information and Referral, Lesbian Gay Bi Transsexual Resource Center, Native American Resource Centers, Retirement Planning for Women, Senior Legal Services, Enhancement of Access Evidence Based Prevention Program.

**Range and Average of Financial Assistance:**

\$3,049 to \$2,517,598.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$54,335,787. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See Chapter XIII, Title 45 of the Code of Federal Regulations on AoA supported projects. Annual guidelines, program information, and application instructions are available from the Administration on Aging, Washington, DC 20201.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging/Administration for Community Living, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for addresses).

**Headquarters Office:**

Lori Gerhard, Department of Health and Human Services, Administration for Community Living, One Massachusetts Ave, N.W., Washington, District of Columbia 20001 Email: Lori.Gerhard@aoa.hhs.gov Phone: (202) 357-3443

**Website Address:**

<http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>.

**RELATED PROGRAMS:**

93.041 Special Programs for the Aging Title VII, Chapter 3\_Programs for Prevention of Elder Abuse, Neglect, and Exploitation; 93.042 Special Programs for the Aging Title VII, Chapter 2\_Long Term Care Ombudsman Services for Older Individuals; 93.043 Special Programs for the Aging Title III, Part D\_Disease Prevention and Health Promotion Services; 93.044 Special Programs for the Aging Title III, Part B\_Grants for Supportive Services and Senior Centers; 93.051 Alzheimer's Disease Demonstration Grants to States; 93.052 National Family Caregiver Support, Title III, Part E; 93.990 National Health Promotion

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 211 awards among 26 programs for a total of \$54,335,787. Fiscal Year 2012: Not Available. Fiscal Year 2013: Not Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Details for evaluating applications are published as part of each Title IV program announcement. Major emphases are: (1) documented need; (2)

expected outcomes and benefits; (3) innovative approach; (4) level of effort; (5) involvement of community-based organizations in planning and implementation activities; and, (6) projects that benefit disadvantaged groups, including low-income, minority and limited English speaking populations.

**93.051 ALZHEIMER'S DISEASE DEMONSTRATION GRANTS TO STATES**

(Alzheimer's Demonstration Program)

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Sec 398 of the Public Health Service Act (P.L. 78-410; 42 U.S.C. 280c-3).

**OBJECTIVES:**

To expand the availability of diagnostic and support services for persons with Alzheimer's Disease and Related Dementias (ADRD), their families, and their caregivers, as well as to improve the responsiveness of the home and community-based care system to persons with dementia.

There are two types of ADSSP grants: Evidence-based grants require states to demonstrate how existing evidence-based interventions that help people with ADRD and their family caregivers can be translated into effective supportive service programs at the community level. Innovation grants require states and their partners to explore innovative approaches to improving the delivery of supportive services at the community-level to people with ADRD and their family caregivers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

(1) Not less than 50 percent of the federal grant must be spent on home health care, personal care, day care, companion services, short-term care in health facilities, and other respite care to individuals with Alzheimer's disease and related disorders. (2) Grant funds cannot be used to replace existing, State, Federal, or private insurance funds. (3) Matching funds are required. (4) Not more than 10 percent of the grant will be expended for administrative expenses.

**Applicant Eligibility:**

State government agencies are eligible for grant awards; the applicant agency is encouraged to have the support and active involvement of the Single State Agency on Aging. Only one application per State will be funded, however, multiple state and local agencies are encouraged to collaborate in planning and carrying out the project.

**Beneficiary Eligibility:**

(1) Individuals with Alzheimer's disease and related disorders; (2) families of those individuals; and (3) care providers of those individuals.

**Credentials/Documentation:**

Applicants must submit: (1) A description of intended use of the grant; (2) information describing programs and activities to be supported; (3) the number of individuals receiving services and the cost of services; and (4) a plan describing coordination of such services. Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant Application for Federal Assistance (Nonconstruction Programs) are in accordance with program announcements developed by the Administration on Aging (AoA)/Administration for Community Living and will be published in Grants.gov when funding is available. As specified in the program announcement, application forms and instructions may be obtained by writing to the US Department of Health and Human Services, Administration on Aging,



Grants Management Office, Washington, DC 20201.

**Award Procedure:**

After review and approval, notification of award will be issued to the grantee, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

As specified in guidelines published in the Program Announcement.

**Appeals:**

Not Applicable.

**Renewals:**

As outlined in the program announcement.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Match Requirements: 25% match (cash and/or in-kind) during the first year, 35% during the second year, and 45% during the third and subsequent years of the grant period. Waivers to these match requirements are not allowed. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are typically 3 years in duration. Length of future awards will be published in the Program Announcement and on Grants.gov. Support beyond the first year is contingent upon the availability of funds and evidence of satisfactory progress. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

As outlined in the program announcement. Semi-annual progress reports and final reports are required of grantees. Financial SF-425, Performance monitoring accomplished through site visits, review of progress reports and general interaction between the Federal Program Officer and grantee. Payment Management System reporting. See Program Announcement. SF425. Through site visits and reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Cooperative Agreements) FY 11 \$10,242,118; FY 12 est \$10,242,118; and FY 13 est \$10,242,118

**Range and Average of Financial Assistance:**

36 grants were awarded for a total of \$10,242,118 in FY11. The average was \$284,503 per award.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 36 grants were awarded for a total of \$10,242,118 in FY11. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Home Health Care and Alzheimer's Disease Amendments of 1990 (Public Law 101-557); Health Professions Education Partnerships Act of 1998 (Public Law 105-392).

**Regional or Local Office:**

None. Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for listings.).

**Headquarters Office:**

Jane Tilly One Massachusetts Ave., N.W., Washington, District of Columbia 20001 Email: Jane.Tilly@AoA.HHS.gov Phone: (202) 357-3438

**Website Address:**

<http://www.aoa.gov/aoaroot/grants/funding/index.aspx>

**RELATED PROGRAMS:**

93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As specified in the program announcement.

**93.052 NATIONAL FAMILY CAREGIVER SUPPORT, TITLE III, PART E**

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act, as amended, Public Law 106- 501, Title III, Part E.

**OBJECTIVES:**

To assist States, Territories in providing multifaceted systems of support services for: (1) Family caregivers; and (2) grandparents or older individuals who are relative caregivers. Services to be provided include: information to caregivers about available services; assistance to caregivers in gaining access to the services; individual counseling, and caregiver training to caregivers to assist the caregivers in making decisions and solving problems relating to their caregiving roles; respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and supplemental services, on a limited basis, to complement the care provided by caregivers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

This authority is for making grants to States under Title III-E to enable the provision of multifaceted systems of support services for family caregivers; and for grandparents or older individuals who are relative caregivers.

**Applicant Eligibility:**

Formula grants: State governments and U.S. Territories, with distribution to designated area agencies on aging through an approved State plan and intrastate funding formula.

**Beneficiary Eligibility:**

Family caregivers, grandparents and older individuals who are relative caregivers will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Formula Grants - This program is subject only to the State Plan Consolidation Section of E.O. 12372. State plans are covered under this Section, but Intergovernmental Consultation Review is excluded. Applicants are encouraged to consult with the Administration on Aging in the development of the application. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Formula Grants - Application Procedures: Consult with the appropriate Regional Office for State application instruction. As specified in the program announcement, application forms and

instructions may be obtained by writing to the Administration on Aging, Grants Management Division, One Massachusetts Avenue, NW Washington, DC 20201.

**Award Procedure:**

Formula Grants - The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to substate level organizations, that they have designated.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Formula Grants - States are entitled to these grants by statute.

**Appeals:**

Formula Grants - Appeals are processed in accordance with the HHS regulations in 45 CFR, Part 1321, and Section 2112 of Title 28, U.S.C.

**Renewals:**

Formula Grants - State plans are submitted for a 2,3,or 4-year period, with annual revisions as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR 1321.49. Formula grants (Title III-E) -- are 75 percent Federal and 25 percent nonfederal. The nonfederal contribution may be in the form of cash or in-kind contributions, including plant, equipment, or services.

Matching Requirements: Percent: 25.%.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

One year. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

Program progress reports are required semi-annually for formula and project grants. Information submitted through the Payment Management System. Annual Reports. A SF-425 Financial report is due at the end of each grant year. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be kept available for 3 years after submission of expenditure reports and 5 years after final disposition of non-expendable property in accordance with the regulations at 45 CFR 74, Subpart D.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$152,986,623; FY 12 est \$152,986,623; and FY 13 est \$152,986,623

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$152,986,623 in total awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Formula and Project Grants: 45 CFR 75, 45 CFR 92.

**Regional or Local Office:**

See Regional Agency Offices. Administration on Aging Regional Administrator, Administration on Aging, Department of Health and Human

Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for listings.).

**Headquarters Office:**

Greg Link Office of Home and Community-Based Services, Administration on Aging, DHHS  
One Massachusetts Avenue, NW, Washington, District of Columbia 20201  
Email: greg.link@aoa.hhs.gov Phone: (202) 357-3515

**Website Address:**

http://www.aoa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.053 NUTRITION SERVICES INCENTIVE PROGRAM**

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act of 1965, as amended, Section 311, 42 U.S.C. 303a, Section 604, 42 U.S.C. 3057.

**OBJECTIVES:**

To reward effective performance by States and Tribes in the efficient delivery of nutritious meals to older adults through the use of cash or commodities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available to State agencies on aging and Indian Tribal Organizations to purchase domestically produced foods or to access commodities from the United States Department of Agriculture (USDA). These foods are to be used in the preparation of congregate and home-delivered meals by nutrition services programs. Commodities available from the USDA may not be sold, exchanged, or otherwise disposed of (authorized distribution excepted) without prior, specific approval of USDA.

**Applicant Eligibility:**

State agencies on aging and Indian Tribal Organizations (ITO) that receive funding through Titles III and VI of the OAA may receive grants of cash from the Administration on Aging (AoA) or commodities from the USDA.

**Beneficiary Eligibility:**

For Title III congregate meals, persons who are older adults (age 60 years and above) or a spouse of an older adult, regardless of age; disabled adults who live in housing facilities primarily occupied by older adults where a congregate site is located; disabled adults under age 60, who reside at home with older adults; and volunteers, regardless of age, who assist in meal service during meal hours. For Title III home-delivered meals, an older individual must be assessed to be homebound. The spouse of a homebound individual regardless of age or condition may receive a meal if receipt of the meal is assessed to be in the best interest of the homebound older adult. For Title VI, all of these criteria apply. In addition, an ITO may select the age that defines who is an older adult.

**Credentials/Documentation:**

State agencies on aging and Indian Tribal Organizations must complete agreements with the AoA. Nutrition Programs must comply with forms established by their State agencies on aging. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All States and Indian Tribal Organizations are eligible.

**Award Procedure:**

issuance of Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. None.

**Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1321, and Section 2112 of Title 28, U.S.C.

**Renewals:**

Title III and Title VI program agreements are indefinite, unless withdrawal is requested or required because of program irregularities.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details. See program statute.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

No program reports are required. Submitted through the Payment Management System. Progress report data submitted. 425 Financial Status reports are due at the end of each grant year. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Adequate to account for all receipts and dispositions; to be retained for 3 years following the close of the fiscal year.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$157,733,557; FY 12 est \$157,733,557; and FY 13 est \$157,733,557

**Range and Average of Financial Assistance:**

Range: \$402 - \$15,419,528  
Average: \$512,122.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: This is an additional funding stream to support meals served through Titles III and VI. Please see those separate programs for accomplishments. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrators, Administration on Aging, Department of Health and Human Services, Region Offices. (See Appendix IV of the Catalog).

**Headquarters Office:**

Jean Lloyd, Office of Home and Community-Based Services, Administration on Aging, DHHS  
One Massachusetts Ave., N.W., Washington, District of Columbia 20201  
Email: Jean.Lloyd@AOA.HHS.GOV Phone: (202) 357-3582.

**Website Address:**

http://www.aoa.gov.

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services;  
93.047 Special Programs for the Aging Title VI, Part A, Grants to Indian Tribes Part B, Grants to Native Hawaiians

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.054 NATIONAL FAMILY CAREGIVER SUPPORT, TITLE VI, PART C, GRANTS TO INDIAN TRIBES AND NATIVE HAWAIIANS**

Native American Caregiver Support Program, Title VI, Part C

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act, Public Law 106-501.

**OBJECTIVES:**

To assist Indian Tribal and Native Hawaiian Organizations in providing multifaceted systems of support services for: (1) Family caregivers; and (2) grandparents or older individuals who are relative caregivers. Services to be provided include: information to caregivers about available services; assistance to caregivers in gaining access to the services; individual counseling and caregiver training to assist the caregivers in making decisions and solving problems relating to their caregiving roles; respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and supplemental services, on a limited basis, to complement the care provided by caregivers.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This authority is for making grants to Indian Tribal and Native Hawaiian Organizations under Title VI-C to enable the provision of multifaceted systems of support services for family caregivers; and for grandparents or older individuals who are relative caregivers.

**Applicant Eligibility:**

Indian Tribal and Native Hawaiian Organizations with approved applications under Title VI, Parts A and B.

**Beneficiary Eligibility:**

Family caregivers, grandparents, and older individuals who are relative caregivers will benefit.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications are submitted in accordance with program announcements developed by the Administration on Aging (AoA) and will be published in the Federal Register and/or Grants.gov.

**Award Procedure:**

After review and approval, notification of award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved approximately 60 to 120 days from closing date or receipt of application.

**Appeals:**

Appeals are processed in accordance with the HHS regulations in 45 CFR Part 1326 and 1328.

**Renewals:**

Renewals within the grant period are based on satisfactory performance during the prior year and the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for grants are awarded for no less than a 12-month period. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

A program performance and SF425 financial report is due annually to the funding agency. No performance monitoring is required. Submitted through the Payment Management System. No progress reports are required. SF-425 Financial status reports are required annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$6,373,027; FY 12 est \$6,373,027; and FY 13 est \$6,373,027

**Range and Average of Financial Assistance:**

Grants for Title VI, Part C averaged \$29,234.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 218 grants were awarded for a total of \$6,373,027. Fiscal Year 2012: not available at this time. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Administration on Aging Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for listings.).

**Headquarters Office:**

Cynthia LaCounte One Massachusetts Ave, NW, Washington, District of Columbia 20201 Email: [Cynthia.lacounte@aoa.hhs.gov](mailto:Cynthia.lacounte@aoa.hhs.gov) Phone: 202-357-0148

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.047 Special Programs for the Aging Title VI, Part A, Grants to Indian Tribes Part B, Grants to Native Hawaiians

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.055 PPHF 2012-APPLIED LEADERSHIP FOR COMMUNITY HEALTH IMPROVEMENT**

PPHF 2012 - Applied Leadership for Community Health Improvement financed in part by 2012 Prevention and Public Health Funds

Applied Leadership for Community Health Improvement

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 301(a) of the Public Health Service Act [42 U.S.C. Sections 241], as amended and Section 4002 of the Patient Protection and Affordable Care Act (ACA).

**OBJECTIVES:**

The purpose of this program is to improve community health through applied, team-based meta-leadership development. Specifically, this program will: Establish a national health applied leadership training program to provide customized public health applied leadership training to local and state public health officials and their allies. Assemble, train and provide technical assistance to local teams of 3-5 leaders to effectively address local public health problems as part of a Community Health Improvement Project. Document and evaluate the applied public health training approach. Foster replication through train the trainer and e-learning models to increase the programs reach and impact. Document and evaluate the Community Public Health Improvement projects used by the teams and to submit the promising and effective strategies and interventions utilized to the CDC for further evaluation and potential dissemination. This program addresses the Healthy People 2020 focus area(s) of Public Health Infrastructure; activities arising from this program may address many other focus areas. Measurable outcomes of the program will be in alignment with one (or more) of the following Department of Health and Human Services and Healthy People 2020 performance goal(s) that the Office for State Tribal Local and Territorial Support undertakes: 1) Strengthen the Nations Health and Human Service Infrastructure and Workforce. 2) To ensure that Federal, State, Tribal, and local health agencies have the necessary infrastructure to effectively provide essential public health services.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restrictions are as follows:

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

Awardees may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Reimbursement of pre-award costs is not allowed. Recipients may not use funds for construction or building projects.

**Applicant Eligibility:**

Assemble, train and provide technical assistance to local teams of 4 leaders to effectively address local public health problems as part of a Community Health Improvement Project.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

resume, curriculum vita, organizational chart(s), signed letter(s) of approval from supervisor, signed letter(s) of support from relevant program/agencies/stakeholders. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-102. This program is covered under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project periods are for 1 to 5 years with 12 month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 to 5 years with 12 month budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim and semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review

by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-1209-4-3-000; 75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$1,000,000; FY 12 est \$1,000,000; and FY 13 est \$1,000,000 - In FY12 the funds are partially PPHF.

**Range and Average of Financial Assistance:**

Expected: \$1,000,000 - \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

John D. Maynard 4770 Buford Hwy, MS E85, Atlanta, Georgia 30341 Email: eoq9@cdc.gov Phone: 404.498.0394

**Website Address:**

<http://www.grants.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding will be directed to a single competitively selected grantee. Non-governmental organizations may also be eligible for funding opportunities. Additional criteria will be listed in individual funding opportunity announcements.

**93.056 INITIATIVE TO EDUCATE STATE AND TERRITORIAL OFFICIALS ABOUT MAINTAINING AND STRENGTHENING PUBLIC HEALTH IN A CHANGING ENVIRONMENT****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 301(a) of the Public Health Service Act [42 U.S.C. Sections 241], as amended.

**OBJECTIVES:**

This program is intended to build the capacity of legislators and relevant legislative health committee experts through an organizational membership that represents legislatures from all 50 states and territories as part of the nations efforts to expand and sustain national investment in prevention and public health programs. The purpose of this 1-year activity is to ensure that legislators have the knowledge, information, and other resources they need to identify, develop, and support policies that maintain essential public health services, while also facilitating the changes needed in the public health system to increase effectiveness and efficiency through better use of resources. This program addresses the Healthy People 2020 focus area of Public Health Infrastructure and the CDC Office for State, Tribal, Local and Territorial Supports mission to increase the capacity and performance of the public health system, available at <http://www.healthypeople.gov>.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restrictions are as follows: Recipients may not use funds for research.

Recipients may not use funds for clinical care. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual. Awardees may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. Reimbursement of pre-award costs is not allowed. Recipients may not use funds for construction or building projects. Applicants can obtain guidance for completing a detailed justified budget on the CDC website, at the following Internet address:  
<http://www.cdc.gov/od/pgo/funding/budgetguide.htm>.

**Applicant Eligibility:**

Eligible applicants that can apply for this funding opportunity are listed below: Two categories of organizations are eligible to apply for this funding opportunity:

Category 1: National non-profit organizations that consist of requisite memberships representing governors from all 50 states and territories. The applicant organizations must provide information, education, publications, and networking forums to Governors and their staff. Category 2: National non-profit organizations that work with State Legislators and relevant health committee experts and consist of requisite memberships representing legislatures from all 50 states and territories. The applicant organizations must have provided information, education, publications, and networking forums to state legislatures, relevant legislative committees and their staff.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must provide a project abstract, project narrative, and provide detail on the appropriate planning, training, and personnel and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-102. This program is covered under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for one year with a 12-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim and semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$75,000; FY 12 est \$500,000; and FY 13 est \$0 - One year budget period.  
Currently funding an extension with funds to complete the project.

**Range and Average of Financial Assistance:**

\$150,000 - \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Andrea W. Wooddall 4770 Buford Hwy, MS E70  
. Atlanta, Georgia 30341 Email: ayw3@cdc.gov Phone: 4044986792

**Website Address:**

<http://www.grants.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding will be directed to one or two competitively selected grantee(s). Non-governmental organizations may also be eligible for funding opportunities. Additional criteria will be listed in individual funding opportunity announcements.

**93.058 TOBACCO REGULATION AWARENESS, COMMUNICATION, AND EDUCATION PROGRAM****FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

**AUTHORIZATION:**

42 USC 300u-3 of the Public Health Service Act and the Family Smoking Prevention and Tobacco Control Act, Public Law 111-31.

**OBJECTIVES:**

The purpose of the Program is to assist entities to establish or expand health education and communication programs at the community level that support the goals of current and future FDA tobacco regulations. The Program will advance public health by supporting community-based programs that work to identify and disseminate evidence-based, community-level best practices for tobacco regulation, communication and education, and increase access to standardized, community-level data. Strong applications would seek to educate and communicate to 1) promote the understanding of tobacco product regulation and the consequences of tobacco use; 2) protect youth from the dangers of tobacco use; and 3) help those who use tobacco to quit. Funding recipients must implement a comprehensive public education and/or communication program that addresses federal tobacco regulations and the public health goals which flow directly from them, as identified in the applicants needs assessment and that will improve health outcomes for members of target population(s).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Programs grant funds would support eligible entities in carrying out their plans to establish or expand health communication and education programs that are congruent with the FDA Tobacco Control Act. Funded communication and education projects would seek to:

Promote the understanding of tobacco product regulation and the consequences of tobacco use;

Protect youth from the dangers of tobacco use; and

Help those who use tobacco to quit.

The public education and/or communication program must include the following activities.

(a) Propose a communication/education project that is evidence-based and relies on:

Previous work in the area of tobacco regulation, prevention, and/or cessation; or

Promising or innovative communication/education strategies to advance the public health consistent with federal tobacco regulation and the public health goals of the Tobacco Control Act.

(b) Collaborate with one State and/or Local governmental entity and at least one community-based partner to identify and implement innovative strategies to help reduce tobacco use and help strengthen and/or sustain new or existing health communication and education infrastructures in the community.

(c) Plan, build, adapt, or expand data collection, management, and reporting protocols for program activities. This data will be used by the funding recipient for program monitoring, continuous program improvements, and accountability.

(d) Evaluate program processes and outcomes, including formative and summative. Program funds may not be used to duplicate or supplant existing tobacco control, prevention, or cessation efforts, but can enhance existing communication/education efforts relevant to FDA/CTP and the Tobacco Control Act. Funds may not be used to fund other tobacco control areas such as surveillance, price and tax measures, clean indoor air laws, tobacco control compliance and enforcement efforts, and treatment services like quit lines, nicotine replacement therapy, or any other pharmaceutical or biomedical

therapy. Funds may not be used to create anti-tobacco industry campaigns.

**Applicant Eligibility:**

Applicants should review the eligibility information in the individual funding opportunity announcement issued under this CFDA.

**Beneficiary Eligibility:**

The Program will assist entities to establish or expand health education and communication programs at the community level that support the goals of current and future FDA tobacco regulations. The general public will ultimately benefit by becoming educated about the risks of tobacco products so that youth are protected from harmful tobacco exposure, and adults can make informed choices about tobacco use for themselves.

**Credentials/Documentation:**

Applicants should review the individual funding opportunity announcement issued under this CFDA program for any required proof of certifications which must be submitted prior to or simultaneous with submission of an application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. It is critical that applicants follow the instructions in the SF424 (R&R) Application Guide, except where instructed in the funding opportunity announcement to do otherwise. Conformance to the requirements in the Application Guide is required and strictly enforced. Applications that are out of compliance with these instructions may be delayed or not accepted for review.

Applicants are encouraged to submit a non-binding Notice of Intent to Apply. Notices of Intent to Apply are not required and an applicants submission or failure to submit a notice has no bearing on the scoring of proposals received. Notices of Intent to Apply are due no later than the date noted in the funding opportunity announcement.

**Award Procedure:**

For competitive awards, FDA/CTP will review and evaluate applications, proposals, and/or submissions in accordance with the terms, conditions, and criteria stated in the funding opportunity announcement issued under this CFDA program. Successful applicants will receive a Notice of Award. Unsuccessful applicants will be notified by letter. All FDA awards are subject to the terms and conditions, cost principles, and other considerations described in the HHS Grants Policy Statement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, FDA/CTPs commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory performance and outcomes by the recipient (as documented in required reports and site visit observations), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards will be made on a competitive basis. The initial budget period will include a 5 month planning period to support project start-up, relationship-building, and capacity-building. Grant applications will be

considered on a noncompetitive basis for years two through four subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. The budget period in future funding years will consist of three twelve-month periods each year for project implementation. The total project period for an application requesting support should not exceed 48 months. See the following for information on how assistance is awarded/released: Awards are released on an annual basis.

**Reports:**

A final program progress report must be submitted within 90 days after the expiration of the project period as noted on the Notice of Grant Award. A final progress report is also required when an award is relinquished, when a recipient changes institutions, or when an award is terminated. The final program progress report must provide full written documentation of the project, and summaries of achievement of project goals, objectives, and performance measures as described in the application. No cash reports are required. For continuing cooperative agreements, an annual progress report is required. Awardees will be required to submit the PHS 2590 annually and financial statements as required in the DHHS Grants Policy Statement. <http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>. Financial Status Reports are due at the end of each budget period, and a final Financial Status Report is due 90 days following the end of the project period. The program project officer will monitor funding recipients periodically. The monitoring may be in the form of telephone conversations, e-mails, or written correspondence between the project office/grants management office and the principal investigator. Periodic site visits with officials of the funding recipient organization may also occur. The results of these monitoring activities will be recorded in the official grant file and will be available to the funding recipient upon request consistent with applicable disclosure statutes and with FDA disclosure regulations. Also, the funding recipient organization must comply with all special terms and conditions of the cooperative agreement, including those which state that future funding of the project will depend on recommendations from the project officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

FDA and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, sub-grantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 11 Not Available; FY 12 est \$22,500,000; and FY 13 est \$45,000,000

**Range and Average of Financial Assistance:**

The total amount of funding available in Fiscal Year 2012 is \$22.5 million. It is estimated that up to 15 cooperative agreements at the level requested will be awarded, but not exceed \$1,500,000 per award in total (direct plus indirect)

costs in FY 2012. The FY 2012 budget period (total of 12 months) will include a planning period of five months to support project start-up, relationship-building, and capacity-building. The total estimated amount of funding in future funding years is \$45 million per year. The estimated future year range of awards is as follows: FY 2013 (up to \$3,000,000); FY 2014 (up to \$3,000,000); FY 2015 (up to \$3,000,000). The maximum size award in future year funding will not exceed \$3,000,000 per award in total (direct plus indirect) costs in FY 2013, FY 2014, and FY 2015. The length of support will depend on the nature of the project. The budget period in future funding years will be for project implementation as follows: FY 2013 (12 months), FY 2014 (12 months), and FY 2015 (12 months).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tracy Galloway FDA/ CTP  
Office of Health Communication and Education  
9200 Corporate Blvd., Rockville, Maryland 20850 Email:  
CTP-OHCE\_CoAg@fda.hhs.gov Phone: 301-796-9210

**Website Address:**

<http://www.fda.gov/tobaccoproducts>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants should review the individual funding opportunity announcement issued under this CFDA program for criteria for selecting proposals.

**93.059 TRAINING IN GENERAL, PEDIATRIC, AND PUBLIC HEALTH DENTISTRY**

S.748 General, Pediatric, and Public Health Dentistry and Dental Hygiene

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 748, 42 U.S.C. 293k-2 as amended as amended by the Patient Protection and Affordable Care Act, Section 5303, P. L. 111-148.

**OBJECTIVES:**

To support the following program areas:  
Pre-doctoral Training in General, Pediatric or Public Health Dentistry, and Dental Hygiene;

Post-doctoral Training in General, Pediatric and Public Health Dentistry;

Faculty Development Training in General, Pediatric and Public Health Dentistry and Dental Hygiene; and

Dental Faculty Loan Repayment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

1) Pre-doctoral Training in General, Pediatric or Public Health Dentistry, and Dental Hygiene  
a. Funds may be used to plan, develop, and operate, or participate in, an approved professional training program in the field of general dentistry, pediatric dentistry, or public health dentistry for dental or dental hygiene students, dental hygienists, or other approved primary care dental trainees, that



emphasizes training for general, pediatric, or public health dentistry.

b. Funds may be used to provide financial assistance to dental or dental hygiene students, or practicing dental hygienists who are in need thereof, and who are participants in any such training program, and who plan to work in the practice of general, pediatric or public health dentistry or dental hygiene.

c. Funds may be used in support of an accredited masters in public health program for dental and dental hygiene students in need of such support. Note that support is limited to students only.

d. Funds may be used to meet the costs of projects to establish, maintain, or improve pre-doctoral training in primary care dentistry (general, pediatric, and public health dentistry and dental hygiene) programs.

#### 2) Post-doctoral Training in General, Pediatric and Public Health Dentistry

a. Funds may be used to plan, develop, and operate, or participate in, an approved professional training program in the fields of general dentistry, pediatric dentistry, or public health dentistry for dental residents, or practicing dentists or other approved primary care dental trainees that emphasizes training for general, pediatric and public health dentistry.

b. Funds may be used to provide financial assistance to dental residents or practicing dentists who are in need thereof, and who are participants in any such training program, and who plan to work in the practice of general, pediatric or public health dentistry.

c. Funds may be used in support of an accredited masters degree in public health program for dental residents in need of such support. Note that support is limited to residents only.

d. Funds may be used to meet the costs of projects to establish, maintain, or improve post-doctoral training in primary care dentistry programs.

#### 3) Faculty Development Training in General, Pediatric and Public Health Dentistry and Dental Hygiene

a. Funds may be used to plan, develop, and operate a program for the training of oral health care providers who plan to teach in general, pediatric, public health dentistry, or dental hygiene.

b. Funds may be used to provide financial assistance in the form of traineeships and fellowships to dentists who plan to teach or are teaching in general, pediatric, or public health dentistry.

c. Funds may be used to meet the costs of projects to establish, maintain, or improve dental faculty development programs.

#### 4) Dental Faculty Loan Repayment

a. Funds may be used to plan, develop, and operate a dental faculty loan repayment program for faculty engaged in primary care dentistry to include general dentistry, pediatric dentistry, public health dentistry, and dental hygiene.

b. Individuals participating in the program must agree to serve as full-time faculty members.

c. The program must agree to pay the principal and interest on the outstanding student loans of the individuals. Upon completion by an individual of each of the first, second, third, fourth, and fifth years of service, the program shall pay an amount equal to 10, 15, 20, 25, and 30 percent, respectively, of the individuals student loan balance as calculated based on principal and interest owed at the initiation of the agreement. This program has a statutory formula only for the Dental Faculty Loan repayment program: The program must agree to pay the principal and interest on the outstanding student loans of the individuals. Upon completion by an individual of each of the first, second, third, fourth, and fifth years of service, the program shall pay an amount equal to 10, 15, 20, 25, and 30 percent, respectively, of the individuals student loan balance as calculated based on principal and interest owed at the initiation of the agreement.

Grants may not be used for new construction or patient services. 100 percent of discretionary funding goes to grant activities.

#### **Applicant Eligibility:**

Eligible applicants are accredited dental or dental hygiene schools, public or private not-for-profit hospitals, or other public or not for profit entities, which the Secretary has determined is capable of carrying out such a grant or contract.

Eligible entities may partner with schools of public health for the education of

dental students, residents or dental hygiene students for a masters in public health in an accredited program.

Training activities must be conducted by an accredited entity; therefore, either the applicant or a partner organization responsible for the dental or dental hygiene training must be accredited.

#### **Beneficiary Eligibility:**

Accredited dental or dental hygiene schools, public or private not-for-profit hospitals, or other public or not for profit entities.

Beneficiaries include also a full range of trainees: dental or dental hygiene students, dental hygienists, dental residents, practicing dentists, and dental faculty.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement (FOA) issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately three months after receipt of applications.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

At the end of the initial five-year project period, grantees may submit competing continuation applications.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project periods for grants are five years with annual budget periods. Awards to support projects beyond the first budget period will be contingent upon availability of appropriated funds, satisfactory progress in meeting the projects approved objectives and a determination that continued funding is in the best interest of the Federal Government. Applicants must submit one-year budgets for each of the five project period years at the time of application. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an

annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records three years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$14,862,707; FY 12 est \$18,900,000; and FY 13 est \$20,000,000

**Range and Average of Financial Assistance:**

Varies by program  
FY 11: Range: \$9,412 to \$723,098; Average award: \$295,647  
FY 12 (estimate) Range: \$759,000. average award: \$375,461.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Fatima Ravat, MPH, Public Health Analyst, Division of Medicine and Dentistry, Bureau of Health Professions, HRSA, 5600 Fishers Lane Room 9A-27 Rockville, MD 20857  
Telephone: 301-443-9035, Fax: 301-443-8890, Email: [fravat@hrsa.gov](mailto:fravat@hrsa.gov)

Thomas Vallin, MPH, Public Health Analyst, Division of Medicine and Dentistry Bureau of Health Professions, HRSA, 5600 Fishers Lane Room 9A-27, Rockville, MD 20857, Telephone: 301-443-1307, Fax: 301-443-8890, Email: [tvallin@hrsa.gov](mailto:tvallin@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry, Bureau of Health Professions, HRSA, DHHS 5600 Fishers Lane, Room 9A-27, , Rockville, Maryland 20857 Phone: (301) 443-6190 Fax: (301) 443-8890

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: One-page abstracts are available of all funded grants at <http://bhpr.hrsa.gov/grants/dentistry/index.html>. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Procedures for assessing the technical merit of grant applications have been instituted to provide an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Competing applications are reviewed by nonfederal reviewers for technical merit recommendations. Refer to Grants.gov to obtain a copy of the pertinent funding opportunity announcement, for specific review criteria.

**93.060 COMPETITIVE ABSTINENCE EDUCATION (CAE)**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Section 1110.

**OBJECTIVES:**

To promote abstinence education, as defined by Section 510(b)(2) in Title V of the Social Security Act, for adolescents. The entire focus of these programs is to educate young people and create an environment within communities that supports teen decisions to postpone sexual activity until marriage.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Pursuant to Section 510(b)(2) of Title V of the Social Security Act, the term "abstinence education," for purposes of this program means an educational or motivational program that:

- (A) Has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity;
- (B) Teaches abstinence from sexual activity outside marriage as the expected standard for all school age children;
- (C) Teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems;
- (D) Teaches that a mutually faithful monogamous relationship in the context of marriage is the expected standard of human sexual activity;
- (E) Teaches that sexual activity outside of the context of marriage is likely to have harmful psychological and physical effects;
- (F) Teaches that bearing children out-of-wedlock is likely to have harmful consequences for the child, the child's parents, and society;
- (G) Teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and
- (H) Teaches the importance of attaining self-sufficiency before engaging in sexual activity.

**Applicant Eligibility:**

"Grants made under the authority of section 510(b)(2)(A)(H) of the Social Security Act shall be made only to public and private entities that agree that, with respect to an adolescent to whom the entities provide abstinence education under such grant, the entities will not provide to that adolescent any other education regarding sexual conduct, except that, in the case of an entity expressly required by law to provide health information or services the adolescent shall not be precluded from seeking health information or services from the entity in a different setting than the setting in which abstinence education was provided..."

Statutory Authority - This program is funded generally under the authority of Section 1110 of the Social Security Act, 42 U.S.C. 1310, and specifically by the appropriation for General Departmental Management for the Office of the Secretary under Division F, Title II of the Consolidated Appropriations Act, 2012, Public Law 112-74.

**Beneficiary Eligibility:**

Adolescents with a focus on those adolescents that are most likely to bear children out-of-wedlock or who live in areas with high birth rates to adolescents.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Specific instructions are published in a program announcement made available through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau. Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

No new funds will be available and no new awards will be made after 12 month program period.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for a project period of 12 months. No new funds will be available and no new awards will be made after 12 month program period. See the following for information on how assistance is awarded/released: Periodic draw downs based on need and project progress.

**Reports:**

Grantees are required to submit cash transaction reports, progress reports, and expenditure reports. Grantees are required to submit program progress reports semi-annually throughout the project period. Program progress reports are due 30 days after the reporting period. Final programmatic reports are due 90 days after the close of the project period. Grantees are required to submit financial reports (SF-269) semi-annually throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Performance monitoring occurs by

reviewing program progress reports, conducting monitoring phone calls and conducting monitoring site visits. No cash reports are required. Competitive grantees under the Abstinence Program will be required to submit progress reports semi-annually. Reports will be due 30 days after the conclusion of the reporting period.

Failure to submit reports on time may be a basis for withholding grant funds, suspension, or termination of the grant. In addition, all funds reported after the obligation period will be recouped.

**Cover Letter**

A cover letter must accompany the Performance Progress Report and must include the CFDA Number 93.060 and Competitive Abstinence Education Program as the priority area to which the grantee is responding.

**Forms**

Performance Progress Report, Performance Narrative, Performance Measures Database

See Appendices for Additional information for the forms and instructions. can be found at:

**Transmittal**

Grantees will submit the progress reports online via the ACF Online Data Collection (OLDC) platform. Successful applicants will receive further reporting guidance. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-0120-0-1-506 - General Departmental Management account.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$4,611,000; and FY 13 est \$4,700,000 - Approximately \$104,000 will be obligated to the Adolescent Pregnancy Prevention Program's training and technical assistance contract, \$4,000 to \$6,000 to be obligated to an MOU with the Office of Information Services for grantees to electronically submit performance measures and performance progress reports, and \$134,000 to be obligated to the ACYF grant review contractor. FY 2012 Award Estimate \$4,700,000.

**Range and Average of Financial Assistance:**

\$200,000 to \$800,000. The average estimate award amount is \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: In FY 2012, 9 grants were awarded. Fiscal Year 2013: In FY 2013, it is anticipated that 9 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Family and Youth Services Bureau central office for available literature. You may also get information on the Family and Youth Services Bureau website at the following address:  
<http://www.acf.hhs.gov/programs/fysb>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Debbie Powell, 1250 Maryland Ave., SW, Washington, District of Columbia  
20447 Email: [debbie.powell@acf.hhs.gov](mailto:debbie.powell@acf.hhs.gov) Phone: (202) 205-2360.

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>

**RELATED PROGRAMS:**

93.092 Personal Responsibility Education Program; 93.235 Abstinence Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address:  
<http://www.grants.gov/>.

**93.061 INNOVATIONS IN APPLIED PUBLIC HEALTH RESEARCH**

Applied Public Health Research

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act , Title 42, Part 247b, Section 317(k)(2).

**OBJECTIVES:**

To foster the new knowledge necessary to develop, enhance, and disseminate effective public health services, programs, and policies that improve health and quality of life for the population.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Applied public health research provides the critical new knowledge to address the CDC priority research needs. Research is focused on improving public health practices to maximize positive health outcomes and impacts.

**Applicant Eligibility:**

Applications may be submitted by public and private nonprofit and for profit organizations and by governments and their agencies, such as: Public nonprofit organizations Private nonprofit organizations, For profit organizations, Small, minority, women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally Recognized Indian Tribal Governments, Indian tribes, Indian tribal organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

Beneficiary will be to public and private nonprofit and for profit organizations and by governments and their agencies, such as: Public nonprofit organizations Private nonprofit organizations, For profit organizations, Small, minority, women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally Recognized Indian Tribal Governments, Indian tribes, Indian tribal organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide located at: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp). Applicants are required to have a Dun and Bradstreet Data Universal Numbering System (DUNS) number to apply for a grant from the Federal Government. The DUNS number is a nine-digit identification number, which uniquely identifies business entities. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1(866) 705-5711.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 150 days.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to 3 years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period. Cash reports are not applicable. Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period. Financial status report is due no more than 90 days after the end of the budget period. A final financial report is due no more than 90 days after the end of the project period. Annual progress report, (PHS 2590, OMB Number 0925-0001, <http://grants.nih.gov/grants/funding/2590/2590.htm>) is due no less than 90 days before the end of the budget period. The progress report will serve as the non-competing continuation application. A final performance report is due no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$5,631,601; FY 12 est \$0; and FY 13 est \$0 - No longer funding research grants.

**Range and Average of Financial Assistance:**

\$450,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92 For more information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address:

<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Juliana Cyril, 1600 Clifton Rd., Atlanta, Georgia 30333 Email: [jcyril@cdc.gov](mailto:jcyril@cdc.gov) Phone: (404) 639-4639.

**Website Address:**

<http://www.cdc.gov> or <http://www.cdc.gov/od/science/quality/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: None. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are complete and responsive to the FOA will be evaluated for scientific and technical merit by an appropriate peer review group in accordance with the review criteria. As part of the initial merit review, all applications may: Undergo a process in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score and receive a written critique.

**93.062 BIOMONITORING PROGRAMS FOR STATE PUBLIC HEALTH LABORATORIES**

Centers For Disease Control and Prevention (CDC) Department of Health and Human Services

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Section 317 of the Public Health Service Act, (42 U.S.C. Section 247 b), as amended., 42 U.S.C 247b.

**OBJECTIVES:**

To support the development or expansion of state-based biomonitoring programs, including necessary infrastructure, that will increase the capability and capacity of state public health laboratories (1) to assess human exposure to environmental chemicals within their jurisdictions; (2) to determine which

chemicals people are exposed to and the levels of those chemicals in peoples bodies; (3) to determine the prevalence of people with levels of chemicals that are above a known toxicity threshold; (4) to determine whether levels of selected chemicals are higher among minorities, children, women of childbearing age, or other potentially vulnerable groups; (5) to assess the effectiveness of state public health actions to reduce the exposure of their residents to specific chemicals of concern; (6) to compare state-generated biomonitoring data with CDC national biomonitoring data; and (7) to track trends in levels of chemicals in a states population or subgroups of that population over time.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements may be made to eligible entities for the support of projects to develop or expand state-based biomonitoring programs. Funding may be used for personnel salaries (for full-time, part-time, or contractor positions), laboratory instruments and supplies, training, travel, and indirect costs. Funds may not be used for research, clinical care, furniture or office equipment, pre-award costs, or the construction of new laboratory space. In addition, the direct and primary recipient in the cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

No additional information.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications that must be submitted with the application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov) or from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Please visit the [Grants.gov](http://Grants.gov) Web site at [www.grants.gov](http://www.grants.gov) to find and apply for all Federal grant/cooperative agreement opportunities.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Appropriate notification is also made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Support is recommended for a specified project period, not to exceed 5 years, with each project period having a 12-month budget period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a twelve month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. Annual progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$5,000,000; FY 12 est \$5,000,000; and FY 13 est \$5,000,000 - Range: \$1 million to \$ 3 million per award  
Approximate average award: \$2.14 million.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. HHS Grants Policy Statement at:  
<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia  
30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.063 CENTERS FOR GENOMICS AND PUBLIC HEALTH  
FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act.

**OBJECTIVES:**

To provide technical assistance to community, State and regional organizations by responding to identified needs and requests for information assistance and training in genomics and population health for the health workforce, with a particular focus on enhancing knowledge and awareness of genomics applications among public health workers, and support the integration of genomics into population health research, policy and practice; provide competency based training, identify opportunities to serve as a credible and impartial provider of current information about genomics, participate in collaborative processes with other Centers, CDC and external partners and evaluate the achievements and impact of the Centers' activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may not be used to support the provision of direct patient care, for facility or capital outlay, or to conduct research involving human subjects.

**Applicant Eligibility:**

Universities, colleges, and research institutions.

**Beneficiary Eligibility:**

Targeted State and community program capacity in genomics and population health will benefit.

**Credentials/Documentation:**

1)access to, and well-defined availability of, staff or collaborators with multidisciplinary expertise (epidemiology, public health practice, genomics, clinical genetics and medicine, policy, health communications and education); 2)demonstrated ability to develop educational and practice collaborations among public, private, and academic partners, with emphasis on public health and health science institutions, State health departments and other agencies, health care organizations and community groups; 3)experience relevant to the specific objectives and activities of the program, particularly direct involvement with public health practice, improving population health, and integrating genomics into practice; and 4) expertise in needs assessment and planning and delivering technical assistance and training to public health workers or other health professionals. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

About 120 days from receipt of application.

**Appeals:**

Other - Not Specified.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient as documented in required reports, and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to four years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. See the following for information on how assistance is awarded/released: Assistance is available for a 12-month budget period within project periods ranging from one to four years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

Program reports are not applicable. No cash reports are required. Current budget period activities objectives, current budget period financial progress, new budget period program proposed activity objectives, budget, additional requested information, measure of effectiveness, financial status report by 90 days after the end of the budget and semi-annual progress report. Current budget period activities objectives, current budget period financial progress, and new budget period program proposed activity objectives. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, support documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - To date no funding has been obligated for this program. Office of Public Health Genomics will archive this program.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No funds were obligated toward this entry in 2011. Fiscal Year 2012: There are currently no projections for 2012. This entry will be archived. Fiscal Year 2013: No funds will be obligated toward this entry in

2013. Entry will be archived.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92. For information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address:

<http://www.accessgpo.gov/nara/cfr-table-search.html>.

**Regional or Local Office:**

See Regional Agency Offices. Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Headquarters Office:**

Myra A. Montalbano 1600 Clifton Road NE  
mailstop E-97

, Atlanta, Georgia 30329 Email: [MMontalbano@cdc.gov](mailto:MMontalbano@cdc.gov) Phone: 4044980081

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.064 LABORATORY TRAINING, EVALUATION, AND QUALITY ASSURANCE PROGRAMS**

(Quality Assurance in Pathology and Laboratory Medicine)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317(k)(2), 42 U.S.C 247b(k)(2).

**OBJECTIVES:**

To improve the quality of laboratory testing practices relevant to clinical and public health settings and to determine standardized approaches to quality assurance in pathology and laboratory medicine that can be applied in multiple, diverse settings (e.g. community hospitals, academic medical centers, and independent laboratories) that demonstrate measurable and sustainable improvements over time.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding opportunities are made available to evaluate quality assurance methods for addressing the pre-analytic, analytic, and post-analytic components of laboratory testing in clinical and public health laboratory settings; and to provide technical assistance and training to public health laboratory scientists and leaders on laboratory standards and quality improvement models applicable to laboratory management services.

**Applicant Eligibility:**

Applications may be submitted by public and private nonprofit organizations and by governments and their agencies, such as: Public nonprofit organizations, private nonprofit organizations, universities, colleges, research institutions, hospitals, community and faith based organizations, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau).

**Beneficiary Eligibility:**

Applicants must have experience in the administration and evaluation of standardized quality assurance programs in multiple, diverse laboratory sites (including community hospitals and academic medical centers). This experience is required for an applicant to be able to assess the effectiveness of these quality assurance programs and to determine best practices.

**Credentials/Documentation:**

Title 2 of the United States Code section 1611 states that an organization described in section 501(c)(4) of the Internal Revenue Code that engages in lobbying activities is not eligible to receive Federal funds constituting an award, grant, or loan. For all other nonprofit grantees, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm) If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: Telephone: (770) 488-2700. Applications must be submitted through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Applications will be evaluated for completeness and responsiveness by the agency program and CDC Procurement and Grants Office (PGO). CDC will not review incomplete and non-responsive applications. After review and approval, a notice of grant award (NoA) will be prepared and processed, along with appropriate notification to the public. Initial award provides funds for the first budget period (usually 12 months) and the NoA will indicate support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative agreement project periods are 1 to 5 years. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of the project period. Cash reports are not applicable. Annual or semiannual progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal governments officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine HHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0947-0-1-551; 75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$4,099,143; FY 12 est \$3,505,853; and FY 13 est \$3,286,239

**Range and Average of Financial Assistance:**

\$100,000 to \$500,000; \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74 and 45 CFR 92; PHS Grants Policy Statement, DHHS publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None. For general questions about this announcement, contact: Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: 770-488-2700. For program technical assistance, contact: Charlene Beach, Centers for Disease Control and Prevention, OSELS, LSPPO, DLSS, 1600 Clifton Road, MS G25. Telephone: (404) 498-0233, Fax: (404) 498-2210, E-mail: [cho1@cdc.gov](mailto:cho1@cdc.gov). For financial, grants management, or budget assistance, contact: Annie Curry, Grants Management Specialist, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2823, E-mail: [ih56@cdc.gov](mailto:ih56@cdc.gov).

**Headquarters Office:**

Charlene H. Beach, CDC/OSLS/LSPPO/DLSS, 1600 Clifton Road, NE Mailstop G25, Atlanta, Georgia 30333 Email: [cho1@cdc.gov](mailto:cho1@cdc.gov) Phone: (404) 498-0233 Fax: (404) 498-2210.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the review criteria described in the Funding Opportunity Announcements (FOAs). In general, the review and selection process of complete and responsive applications to the FOA consists of determination of the scientific and technical merit by objective or peer review, availability of funds, and relevance of program priorities and the priorities of DHHS. Refer to the FOA for additional review criteria.

**93.065 LABORATORY LEADERSHIP, WORKFORCE TRAINING AND MANAGEMENT DEVELOPMENT, IMPROVING PUBLIC HEALTH LABORATORY INFRASTRUCTURE**

APHL-CDC Partnership for Quality Lab Practice

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human



Services

**AUTHORIZATION:**

Section 317(k)(3) of the Public Health Service Act, [42 U.S.C. 247b (k)(3), as amended.

Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. 2421 and 247b (k)(2), as amended, Executive Order N/A, Title 42, Part 247b(k)(3), Section 317(k)(3); Funding is appropriated under Affordable Care Act (PL 111-148), Title IV, Section 4002 (Prevention and Public Health Fund) in Fiscal Year 2011 only. In addition, Under Section 5314, Fellowship Training in Public Health (Part E of title VII of the Public Health Service Act (42 U.S.C.294n et seq., as amended by as amended by section 5206, is further amended by Sec. 778), CDC is authorized to expand existing fellowship training programs in the critical areas of applied public health epidemiology, public health laboratory science and public health informatics.

**OBJECTIVES:**

This program addresses the Healthy People 2010 focus areas of: #8 Environmental Health, #10 Food Safety, #11 Health Communication, #13 HIV, #14 Immunization and Infectious Diseases, # 17 - Medical Product Safety, #20 - Occupational Safety and Health, #23 Public Health Infrastructure, #24 - Respiratory Diseases and #25 Sexually Transmitted Diseases.

Its major objective is to improve public health laboratory infrastructure, maintain a competent and trained laboratory workforce, promote laboratory leadership activities to ensure future laboratory leaders, ensure laboratory preparedness for emerging infectious diseases or other biologic and chemical public health threats, promote technology transfer to ensure up-to-date technologies for the testing laboratory, and to enhance communication linkages between state and local public health laboratories, and the clinical laboratory testing community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The purpose of the program is to enhance the work of public health laboratories in the U.S. and abroad. The program aims to promote quality public health laboratory practice, improve public health laboratory infrastructure, strengthen the public health laboratory system, and to develop a well-trained public health laboratory workforce in the U.S. and globally. It also aims to ensure laboratory preparedness for emerging infectious diseases or other biologic and chemical public health threats, promote technology transfer to ensure up-to-date technologies for the testing laboratory, and enhance communication linkages between state and local public health laboratories and the clinical laboratory testing community. Improvement of public health laboratory infrastructure, state-of-the-art training for the nation's laboratorians to be prepared in dealing with public health threats, improving laboratory leadership capabilities, enhancing inter-laboratory communications.

There are no restrictions.

Additionally, Affordable Care Act (ACA) funding will be used to expand the existing Emerging Infectious Diseases (EID) Laboratory Fellowship Program by supporting additional fellowships through the cooperative agreement between CDC and APHL in Fiscal Year 2011. This project will receive ACA funding for future Fiscal Years-Subject to availability of funds.

**Applicant Eligibility:**

Assistance will be provided only to APHL. CDC approved single eligibility of this award. This group is the appropriate and only qualified organization to address the activities described under this program announcement. Application may be submitted by the APHL consistent with the single eligibility justification that follows. State governments, specifically State public health laboratories, particularly any organization representing state public health laboratories and having an established training network.

In regards to Eligibility for Affordable Care Act (ACA) funding will be limited solely to the Association of Public Health Laboratories (APHL), the current partner in the cooperative agreement with CDC.

**Beneficiary Eligibility:**

This project represents the front line defense against health threats to the nation's public. The nation's public is the ultimate recipient of benefits from this program.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For all other nonprofit grantees, cost will be determined in accordance with HHS Regulations 45 CFR 74 Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity use application form PHS 5161. Application forms and instructions are available on [www.grants.gov](http://www.grants.gov) and/or the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: 770-488-2700. Application forms can be mailed to you.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From two to three months.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to five years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Each funded applicant must provide CDC with an interim progress reports via [www.grants.gov](http://www.grants.gov): 1. The first interim progress report is due at mid year and will serve as the non-competing continuation application, and must contain the following elements: a. Standard Form (SF) 424S Form. b. SF-424A Budget Information-Non-Construction Programs. c. Budget Narrative. d. Indirect Cost Rate Agreement. e. Project Narrative. 2. The second report is due no later than 90 days after the end of the budget period. This report should include a detailed description of specific projects and activities conducted, measurable outcomes achieved and public health impact resulting from projects conducted during the

reporting period. 3. Annual progress report, due 90 days after the end of the budget period. These reports must be submitted to the attention of the Grants Management Specialist. Cash reports are not applicable. Interim progress report, no less than 90 days before the end of the budget period. The progress report will serve as your non-competing continuation application, and must contain the following elements: current budget period activities objectives, current budget period financial progress, new budget period program proposed activity Objectives, budget, additional requested information, and measures of effectiveness;. Financial status report and annual progress report, no more than 90 days after the end of the budget period; and Final financial and performance reports, no more than 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A-133 audits. Financial status report and annual progress report, no more than 90 days after the end of the budget period; and Final financial and performance reports, no more than 90 days after the end of the project period

**Records:**

Financial and personnel records including financial awards, financial status reports, interim reports, and final reports must be maintained for a period of seven years.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$2,387,304; FY 12 est \$3,339,000; and FY 13 est \$3,500,000 - Subject to availability of funds. (Cooperative Agreements) FY 11 Not Separately Identifiable; FY 12 est \$24,000,000; and FY 13 est \$3,500,000 - Approximately \$1,000,000 in Affordable Care Act (ACA) funding will be made available to support additional fellowships under the Emerging Infectious Diseases (EID) Laboratory Fellowship Program thru the existing cooperative agreement with APHL . Fiscal Year 2012: \$2,300,000 in Affordable Care Act (ACA) funding will be made available to support additional fellowships under the Emerging Infectious Diseases (EID) Laboratory Fellowship Program through the existing cooperative agreement with APHL.

Subject to availability of funds, ACA funds will be available to fund future years.

**Range and Average of Financial Assistance:**

Approximate Average Award: \$20 million  
Floor of Individual Award Range: \$10 million  
Ceiling of Individual Award Range: \$30 million  
Anticipated Award Date: July 1, 2010  
Budget Period Length: 12 months  
Project Period Length: 5 years.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Angela Banks, 1600 Clifton Road, Mailstop E21, Atlanta, Georgia 30333  
Email: zww0@cdc.gov Phone: (404) 498-6399.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposed program, Methods, Proposal Adequacy, Evaluation, Program Personnel and Budget (not scored).

**93.066 STATE VITAL STATISTICS IMPROVEMENT PROGRAM**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 304 and 306.

**OBJECTIVES:**

To improve the timeliness, quality and sustainability of the de-centralized vital statistics system by adopting nationally-developed, consensus standards and guidelines; by actively working with states to re-engineer their state-owned and operated systems using these standards/guidelines; and by improving the efficiency of business operations of state vital statistics programs. Working collaboratively between State and Federal agencies, the goal is to facilitate the development and implementation of re-engineered systems in all 57 registration areas. These will be systems that can: (1) provide quality and timely data for public health surveillance and medical research; (2) meet citizen needs for legal copies of their birth and death records, including providing paper copies of records to citizens for their immediate legal or personal use, and at citizens' request, transferring records electronically to local, State or Federal agencies to satisfy an agency's need for a record; meet Federal agencies' needs for record verification and authentication; (3) result in comparable vital registration/statistics systems in each state; (4) use national standards and guidelines, including the 2003 revision of the U.S. Standard Certificates of Birth and Death and the Report of Fetal Death, the ICD-10 classification system, the FIPS geographic coding scheme, and the standard HL-7 vital events messaging; (5) support national security and privacy requirements; (6) integrate or harmonize easily with other public health systems such as Public Health Information Network (PHIN), immunization registries, and newborn screening, and (7) use Internet technology.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restrictions, which must be taken into account while writing your budget, are as follows: Approved project plan required prior to expenditure of funds; all travel will need to be identified in the approved project plan; and purchase of computer hardware and software will require prior approval before expenditure.

**Applicant Eligibility:**

An application may be submitted by public or private nonprofit organization whose primary mission is the support of state vital statistics and vital records programs.

**Beneficiary Eligibility:**

An application may be submitted by public or private nonprofit organization whose primary mission is the support of state vital statistics and vital records programs.

**Credentials/Documentation:**

Applicant are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the cooperative agreement. Measures must be objective and quantitative, and must measure the intended outcome. These measures of effectiveness must be submitted with the application and will be an element of evaluation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity use application form PHS 5161. Application forms and instructions are available on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm).

**Award Procedure:**

Successful applicant will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Jun 21, 2012: The program has been established for 5 years, with each option depending on the availability of funding and performance of the awardee. 5:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Throughout the project period, CDC's commitment to continuation of this award will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient as documented in required reports, and the determination that continued funding is in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Reports about the objectives accomplished. Written reports are required at mid-term of the project year and at the end of the project year. At least quarterly meetings are required of the awardee. Financial status reports are required at the end of the project year. Updates on financial status is provided at mid-term of the project year. At mid-term of the project year, reports are required on the objectives achieved and the objectives to be achieved in the remainder of the project year. At the end of the project year, a progress report is required on the objectives achieved. Reports are provided on the amount spent within the approved budget categories. Performance monitoring is handled in four ways: 1) required quarterly meetings; 2) regular conference calls on specific issues; 3) joint projects with DVS staff; and 4) emails/telephone conversations with the staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, support documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$571,500; FY 12 est \$707,900; and FY 13 est \$685,500

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Activity 1: Provide Training and Marketing Assistance on the Model Law Revision  
During Year 4, NAPHSIS has provided extensive support to the NCHS and the Model Law Committee for the 2011 revision project. We hosted four meetings of the committee and provided content and administrative support; convened a series of 6 telephone meetings by the NAPHSIS Registration Committee to review and recommend revisions; held 4 teleconferences of the Mass Fatality Subcommittee; and coordinated a series of six webinars for the membership on key aspects of the revision. We developed supportive documentation for the Model Law, including an extensive list of definitions that serves as a glossary. We promoted the use of the revisions at the 2010 regional meetings, and will provide presentations for members at the annual meeting. We will also coordinate the process for the membership to vote on endorsing the Model Law revisions.

As part of our technical assistance to challenged jurisdictions, we discuss with the jurisdiction areas of policy and practice that differ from Model Law, and we encourage them to change their legislation and business practices to be in compliance. We have included in our technical assistance reports various recommendations (depending on problems identified) relating to being in compliance with Model Law. The 2011 revisions to the Model Law are expected to be released to the NAPHSIS membership prior to the June joint annual meeting.

Starting with the materials obtained by the Model Law Working Group, NAPHSIS has begun collecting state laws and statutes related to vital statistics for inclusion in an electronic registry for reference of the vital records jurisdictions. The vital records offices are being solicited for their input on this project individually, as each jurisdiction has its laws and statutes in different formats and in varying degrees of availability. This registry will be posted on the public side of the NAPHSIS website and advertised to the membership by the end of Year 4. The registry will consist of a series of web links directly to the statutes posted on state websites. We had originally proposed to identify ten categories of legal information of most interest to the membership cross walked to each jurisdictions laws. After exploring this approach, it did not turn out to be helpful in promoting use of the Model Law revisions.

**Activity 2: Continue Re-engineering Technical Assistance to Jurisdictions**

During Year 4, we have continued to work with non-revised jurisdictions to identify the means and establish a time line for re-engineering to the national standards for birth, death and fetal death reporting. We helped Mississippi and Rhode Island apply for HRSA MCH Integrated Information System Grant funding to re-engineer to the 2003 birth items. We also assisted several jurisdictions, including Hawaii, Mississippi and Rhode Island, in their submission for CDC Infrastructure grants. Hawaii and Tennessee were awarded significant infrastructure grant funding that will be used to re-engineer. Hawaii will update its EDRS and will redevelop its EBRS to become 2003 compliant. Tennessee plans to re-engineer its current client server birth system and build a web-based EBR and EDR.

During Year 4, we developed a front-end application to STEVE to provide automation support for the Pacific Rim territories. STEVE-Electronic Record, or STEVE-ER, is an electronic form-based application that allows the territories to collect 2003 birth and fetal death data directly into an electronic form and follows the business process they are currently using. STEVE-ER complies with all basic NCHS field edits. However, because it is a small-scale application, it does not apply any cross-field edits and uses limited FIPS coding. The application automatically transmits the reportable data through main STEVE to all trading partners. By late 2010, the birth module was completed

and ready to deploy; fetal death was completed in late January 2011.

We traveled to Guam and CNMI in early February 2011 with representatives from SMS to and successfully installed STEVE and STEVE-ER, although both installations were difficult due to infrastructure issues. We made sure that remote connectivity with SMS was in place before our departure to support troubleshooting and updates. We will be completing development of the death module in July 2011 and will remotely update the territorial platforms. We will also be installing the full component of STEVE and STEVE-ER in U.S. Virgin Islands, and the death and fetal death modules in Puerto Rico before August 31st. Several other jurisdictions, including Ohio, Vermont, and Hawaii are exploring using STEVE-ER/Fetal Death as their automation solution. Appendix A contains detailed charts and maps on re-engineering progress to date.

We are actively supporting American Samoa to move to STEVE-ER, but this is a more complicated implementation due to Vital Records being located in the Department of Homeland Security and Vital Statistics being within the Department of Health. Infrastructure platforms are not robust, and the LBJ Hospital is not embracing collecting the full set of 2003 birth items. However, we are continuing to meet with various officials and will move forward with this project in Year 5. Any travel funds from last year dedicated to American Samoa will be requested to roll over to Year 5.

In addition, NAPHSIS has continued to work with NCHS on developing HL-7 standards for vital record electronic transmission. We participated in a committee that developed the Vital Record Domain Analysis Model. We are also participating in the EHR-Vital Record Functional Profile Committee and have supported two HL7 ballot initiatives by conducting a detailed review of all functional items. We assigned each NAPHSIS Board member to convene a review team, and assigned each line item to one of the teams. Collaboratively, we reviewed the final comments and made recommendations to NCHS. We submitted a vote on the September 2010 ballot and will also be voting next week on the May 2011 ballot. We participated in other workgroups, such as the planning team for the January 2011 Connectathon. NAPHSIS has submitted comments to the Meaningful Use Recommendations and the ONC Health Information Technology (HIT) Strategic Plan expressing its caution over aspects of linking vital record data with electronic health records. We will continue to support standardization efforts of the NCHS while advocating for HIT efforts to proceed carefully.

We have not received any requests to date to support the VIEWS project, and therefore have no activity to report on this task.

#### Activity 3: Maintain and Enhance Re-engineering Survey Data

NAPHSIS initially conducted a formal survey in March-May 2006 by interviewing by phone every continental U.S. jurisdiction. Throughout this project year, we have updated this information on a regular basis using information gathered from site visits, regional meeting updates, periodic email inquiries and conversations with jurisdictions about their status. As we have installed STEVE-ER in the territories, we added this information to the database. We provide a snapshot of the most current survey data on the members-only section of the NAPHSIS website and have provided survey information and associated national maps to the NCHS Project Officer on request.

By the end of Year 4, we will complete a comprehensive resurvey of all states and territories and will compile a jurisdictional profile that will be distributed to each member for review and verification. We will do the initial outreach by email, and will follow up with personal phone calls to assure a 100% response. Future updates will continue to be collected via spreadsheet and periodically updated. EBR and EDR utilization maps are posted on the NAPHSIS website for general access. These maps will be kept updated on a regular basis and provided to the NCHS. Appendix A contains the survey information.

#### Activity 4: Provide Business Process Reviews for Challenged Jurisdictions

During Year 4, a team of consultants and staff from NAPHSIS continued to support the Business Process Consultation Program. Lorne Phillips served as

lead consultant, assisted by Chuck Hardester (security); Leesa Shem-Tov (technology); and representatives from the NCHS as needed. Garland Land joined the consulting team in January 2011 after his retirement as NAPHSIS Executive Director. We provided assistance to challenged jurisdictions upon application via on-site visit, with additional conference calls and other kinds of remote technical assistance as needed. During Year 4, site visits have been made to Illinois, the District of Columbia, North Carolina and Wyoming. We also completed the Indiana site visit report and follow up, and have provided remote consulting to Arkansas. Continued consultation has been provided to Nevada, Wyoming, Alaska, Rhode Island and the Pacific Rim territories. Technical assistance reports have been provided under separate cover to the NCHS Project Officer.

#### Activity 5: Facilitate Adoption of Security and Best Practice Guidelines

The draft of the Section on Physical Security Measures for the Security Guidelines Manual was completed, reviewed by the Board, and comments were received from the NAPHSIS membership. The final draft will be reviewed by the Security Committee in May and then posted on the NAPHSIS web site. Initial drafting has begun on the Preservation/Disposition of Records Section and Confidential Information and Amendments/Corrections Section. The Security Committee will start reviewing these sections in the next few months.

The FEWS pilot project was completed and an evaluation report was provided to AAMVA. A MOU was developed and signed between NAPHSIS and AAMVA to give NAPHSIS members access to FEWS. FEWS will be demonstrated at the annual meeting in June and a training webinar(s) will be held after the annual meeting. AAMVA will assist in providing FEWS training to NAPHSIS members.

The American National Standards Institute (ANSI) commissioned the North American Security Products Organization (NASPO) to develop identity proofing standards. Participants on the project include representatives from the largest banks, Microsoft, Intel, Department of Homeland Security, AAMVA and the largest security companies as well as organizations. Because the birth certificate is a primary document for the development of other identity documents, NAPHSIS was invited to participate in the drafting of the standards. The NAPHSIS security guidelines are being considered as part of the identity proofing framework. Additional suggestions for securing birth certificates are also being discussed. Two presentations will be made at the June annual meeting on the project.

#### Activity 6: Support Implementation of the STEVE System

The State and Territorial Exchange of Vital Events (STEVE) System is still in the process of national rollout. We have made slow progress but have not been able to meet our projected number of participants. We had hoped that the announcement at last years annual meeting of the mandatory use of STEVE in the VSCP contract would stimulate more interest in becoming a trading partner. However, jurisdictions have uniformly been impacted by two factors: lack of funding and lack of connectivity with the NCHS.

Currently, there are 17 jurisdictions installed, as shown on the map in Appendix B. The most recent jurisdiction to join the trading partner community is West Virginia, which installed STEVE on May 6, 2011. Our STEVE implementation team (NAPHSIS and SMS) is actively working with 12 additional jurisdictions in various stages of planning and preparation. Most jurisdictions test their files after installation by exchanging with a small number of volunteer states. Once the exchanges are successful, they move to production and exchange on a full scale. There are, however a handful of states that have not moved into production, usually due to other project priorities. Kansas, Utah, and New Jersey and Colorado are currently not active users. Therefore, we have begun to contact those jurisdictions, identify the reasons for non-use, and have provided one-on-one guidance and assistance to move them to a production environment.

We have continued to promote the use of STEVE for inter-jurisdictional exchange throughout Year 4 in newsletters, at regional meetings and through individual meetings and demonstrations with jurisdictions. We have been

promoting the use of the STEVE-ER fetal death modules as an automations solution for jurisdictions that have insufficient volume to install a full electronic fetal death system. We also have promoted the concept of STEVE-ER as a failsafe in case of emergency or catastrophic system failure, as we say earlier this year in Kansas. Several jurisdictions have said they plan to install STEVE in order to have this backup capability.

Establishing connectivity between reNVSS and STEVE remains a high priority but has not met with much progress during Year 4. Shortly after the STEVE Committee met with NCHS representatives at the 2010 annual meeting, we developed a proposal for connectivity and submitted it to NCHS for consideration (see Appendix C). At the time of this report, key issues remain unresolved. We conducted a survey of the jurisdictions on IJE practices, STEVE use and NCHS data submission and provided the survey responses to NCHS, shown in Appendix D. The results of the survey did not conclusively point to any connectivity solution or improvement in NCHS exchange business practice. A partial workaround has been proposed for STEVE (truncation of NCVHS files going to the overflow mailbox) to allow jurisdictions to extract NCHS files and send them manually through the SDN. However, this is far from an ideal solution, and most jurisdictions have said they will continue to submit to NCHS using current methods until point-to-point connectivity can be established.

#### Activity 7: Improve the Timeliness of Data Reporting to NCHS

In prior years, NAPHSIS developed best practice recommendations for improving the timeliness of reporting birth data. We presented the birth timeliness guidelines at the 2010 annual meeting and at regional meetings in the fall of 2009. We have since revised the timeliness guidelines and recommendations to include both birth and death reporting to NCHS, shown as Appendix E. In talking with jurisdictions about death reporting, most of the delays they experience are similar to those encountered with birth. Requirements for local registration, the need for additional paper documents prior to registration, the performance of quality assurance prior to filing are examples of practice common to birth and death reporting. Unique to death reporting are delays caused when the certifying physician does not enter medical data electronically. The subsequent routing, completion on paper and subsequent keying of medical information is the primary cause of delay in reporting deaths to the NCHS.

#### Activity 8: Support NCHS International Outreach

See section 2.2 for the status report on this activity.

#### Activity 9: Assess Jurisdictional Performance

For the past two years NAPHSIS has developed performance measures. Data on the performance measures has been collected from the jurisdictions and individual jurisdiction reports were released at the NAPHSIS annual meeting along with a presentation on the measures. As an outgrowth of the retreats held with the NCHS, NAPHSIS decided to develop jurisdictional vital statistics standards. Five NAPHSIS and two NCHS representatives served on a committee to develop the standards. Garland Land staffed the committee while Executive Director and continued to staff the committee as a consultant.

One hundred standards were developed for the functions of registration, security, issuance, data collection and quality assurance, analysis, data transmission, data analysis and dissemination, staff supervision and training, training of other persons associated with vital records, data and record preservation and policies and procedures. For each standard there is a target, a national best practice guideline, resource or comment and the requirement for documenting that the standard was met. A presentation of the vital statistics standards will be made at the 2011 NAPHSIS annual meeting. The standards will be piloted in 2-3 jurisdictions in each region. Their experiences will be shared at the regional meetings.

#### Activity 10: Support Jurisdictional Response to Draft Birth Certificate Regulations

Several years ago, NAPHSIS provided recommendations to the NCHS on the development of intelligence reform regulations. Those regulations have still not been promulgated. Therefore, there has been no activity on this task, and it was not included in our budget estimates for Year 4.

#### Activity 11: Develop and Deliver Training

NAPHSIS continues to expand on the training materials and resources available to the membership. These materials include birth and death certificate completion training materials for medical certifiers, new hospital staff training materials packets, and electronic registration system tutorials created by the vital records jurisdictions. These materials are collected in electronic or hard copy format and made available to the NAPHSIS members through the NAPHSIS Website and also by request in hard copy. We will continue to provide electronic versions of the training materials under separate cover to NCHS. These training materials were promoted to the membership at the national and regional meetings of the organization and throughout the year in newsletters and member-wide emails announcements. NAPHSIS continually solicits more contributions to this list of resources through these methods, and through contacting individual jurisdictions on a case-by-case basis.

#### Activity 12: New Registrar Training Program

NAPHSIS has noted examples of recently-hired registrars in the vital records jurisdictions who are relatively new to the vital records and statistics field and who have requested education from NAPHSIS on the functions of NAPHSIS, NCHS, the NVSS and key contracts such as the VSCP. During Year 4, NAPHSIS developed a new registrar orientation training program in the format of an orientation for new registrars on the resources that are available through the NCHS and NAPHSIS websites. The orientation is planned to take one day at the state office. This will allow other key staff to also participate who may not be familiar with the resources that are available. Information on new registrar training will soon be posted to the NAPHSIS website and will be promoted at the 2011 annual meeting. During the remainder of Year 4, we will promote and conduct orientations based on requests received and the availability of NAPHSIS consultants.

#### Activity 13: Develop a Generic Training Tool for Physician Cause of Death Certification

The Physician Cause of Death Training Module will be delivered to the jurisdictions prior to the June 2011 annual meeting. A copy will also be provided to NCHS under separate cover. New York City (NYC) had developed a web based training module to assist physicians in completing the cause of death certification. NAPHSIS contracted with NYC to rewrite their module as a generic tool that all vital records jurisdictions could use. NAPHSIS developed the requirements for the new application and NYC followed the requirements to develop the new resource. The tool was reviewed by the NAPHSIS Board prior to its release to the membership. The module was designed to be generic so it can be used by any jurisdiction. However, a jurisdiction may want to modify the module so it has the jurisdictions name or some other local feature. Each jurisdiction will receive the module via a secure HTTP download, so it can be placed on their own website. It will also be accessible via the NAPHSIS website for download sometime after the initial distribution. Fiscal Year 2012: 1. Assist states with the implementation of the Model State Vital Statistics Act and Regulations.

2. Assist states with the planning, development and implementation of web-based systems.
3. Continue to conduct business process reviews for states having difficulty delivering their vital events records to NCHS.
4. Update and maintain the national database on the re-engineering status of states.
5. Develop a web-based training strategy for enhancing the management and other skills of the leadership of the state vital statistics programs.
6. Complete the security manual and facilitate the adoption of the security procedures and best practices guidelines.
7. Continue to implement the the data transfer system and to link that system with the National Vital Statistics System to allow for the easy exchange of records between states and NCHS.

8. Promote the timeliness of reporting to NCHS.
9. Develop new registrars training program.
10. Assess state performance based on agreed upon standards.
11. Support NCHS technical assistance to and training of international countries in registration methods and practices. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Technical Information Management Section, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2700.

**Headquarters Office:**

Julia L. Kowaleski 3311 Toledo Road, Rm. 7317, Hyattsville, Maryland 20782  
Email: jkowaleski@cdc.gov Phone: 3014584323 Fax: 301 458-4034

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.067 GLOBAL AIDS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Sections 307 and 317(k)(2), Public Health Service Act, 42 U.S.C. 242I and 247b(k)(2) as amended; United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, Public Law 110-293, the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, 22 U.S.C 7601.

**OBJECTIVES:**

The U.S. President's Emergency Plan for AIDS Relief (PEPFAR) is the U.S. Government initiative to help save the lives of those suffering from HIV/AIDS around the world. This historic commitment is the largest by any nation to combat a single disease internationally, and PEPFAR investments also help alleviate suffering from other diseases across the global health spectrum. PEPFAR is the cornerstone and largest component of the U.S. Presidents Global Health Initiative. With a special focus on improving the health of women, newborns and children, the Global Health Initiatives goal is to save the greatest number of lives by increasing and building upon what works and, then, supporting countries as they work to improve the health of their own people.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Reimbursement of pre-award costs is not allowed. No funds shall be used to distribute sterile needles or syringes for the hypodermic use of any illegal drug. Funds may be spent for reasonable program purposes, including personnel, travel, operating costs including supplies, fuel for transportation, utilities, staff training costs including registration fees and purchase and rental of training related equipment, renovation of clinical or lab facilities; and purchase of HIV testing reagents, test kits and laboratory equipment for HIV testing and services. Equipment may be purchased if deemed necessary to accomplish program objectives; however, prior approval by CDC officials must be requested in writing. All requests for funds contained in the budget shall be stated in U.S. dollars. Once an award is made, CDC will not compensate foreign grantees for currency exchange fluctuations through the issuance of supplemental awards. The costs that are generally allowable in grants to domestic organizations are allowable to foreign institutions and international

organizations, with the following exception: With the exception of the American University, Beirut, and the World Health Organization (WHO), Indirect Costs will not be paid (either directly or through sub-award) to organizations located outside the territorial limits of the United States or to international organizations regardless of their location. The applicant may contract with other organizations under this program; however the applicant must perform a substantial portion of the activities (including program management and operations, and delivery of prevention services for which funds are required). You must obtain an annual audit of these CDC funds (program-specific audit) by a U.S. - based audit firm with international branches and current licensure/authority in-country, and in accordance with International Accounting Standards or equivalent standard(s) approved in writing by CDC. A fiscal Recipient Capability Assessment may be required, prior to or post award, in order to review the applicant's business management and fiscal capabilities regarding the handling of U.S. Federal funds. Prostitution and Related Activities The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. Any entity that receives, directly or indirectly, U.S. Government funds in connection with this document (recipient) cannot use such U.S. Government funds to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides. A recipient that is otherwise eligible to receive funds in connection with this document to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combating HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the recipient has a religious or moral objection. Any information provided by recipients about the use of condoms as part of projects or activities that are funded in connection with this document shall be medically accurate and shall include the public health benefits and failure rates of such use. In addition, any foreign recipient must have a policy explicitly opposing, in its activities outside the United States, prostitution and sex trafficking, except that this requirement shall not apply to the Global Fund to Fight AIDS, Tuberculosis and Malaria, the World Health Organization, the International AIDS Vaccine Initiative or to any United Nations agency, if such entity is a recipient of U.S. government funds in connection with this document.

**Applicant Eligibility:**

Competition is limited, or single eligibility by authorizing legislation.

**Beneficiary Eligibility:**

This is only for non-research and research activities supported by CDC/ATSDR. For the definition of research, please see the CDC web site at the following Internet address: <http://www.cdc.gov/od/science/quality/resources>.

**Credentials/Documentation:**

Your narrative should address activities to be conducted over the entire project period, and must include the following items in the order listed: 1) Organizational Experience; 2) Goals and Objectives; 3) Plan of Action; 4) Management plan, staffing, and infrastructure; and 5) Budget. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for funding opportunities should be submitted via the website [www.grants.gov](http://www.grants.gov). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at; Telephone: (770) 488-2700. Application forms can be mailed to you. Submit the original and two hard copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. Applications may

not be submitted electronically at this time.

**Award Procedure:**

Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Oct 01, 2011 Applications must be received in the CDC Procurement and Grants Office by 5:00 p.m. Eastern Time on the deadline date.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Renewals are made by competitive applications and Reviews.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years. Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal Government. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. As specified in the Founding Opportunity Announcement. No expenditure reports are required. As specified in the Founding Opportunity Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Foreign recipients are subject to audit requirements specified in 45 CFR 74.26(d). A non-Federal audit is required, if during the recipients fiscal year, the recipient expended a total of \$500,000.00 or more under one or more HHS awards (as a direct recipient and/or as a subrecipient) . The recipient either may have (1) A financial related audit (as defined in the Government Auditing Standards, GPO stock #020-000-00-265-4) of a particular award in accordance with Government Auditing Standards, in those case where the recipient receives awards under only one HHS program; or, if awards are received under multiple HHS programs, a financial related audit of all HHS awards in accordance with Government Auditing Standards; or (2) An audit that meets the requirements contained in OMB Circular A-133. Please forward a copy of the completed audit to the following address: Procurement and Grants Office, Centers for Disease Control and Prevention, Attn: Grants Management Officer, 2920 Brandywine Road, MS-K75, Atlanta, GA 30341. If your audit was completed in accordance with number two (2) above, in addition to the address listed above, you are required to send a copy of the audit report to: Department of Health & Human Services, National External Audit Review Center Lucas Place, Room 514, 323 West 8th Street, Kansas City, MO 64105.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,284,453,152; FY 12 est \$1,090,000,000; and FY 13 est \$1,090,000,000

**Range and Average of Financial Assistance:**

\$25,000 to \$134,000,000. Average \$2,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and Part 92 For more information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address:  
<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>.

**Regional or Local Office:**

See Regional Agency Offices. Cheryl Maddux, Branch Chief, International Branch, (770)488-2864, 2920 Brandywine Road, Atlanta, GA 30341.

**Headquarters Office:**

Kay Lawton 1600 Clifton Road, NE, Mailstop E-84, Atlanta, Georgia 30333  
Email: kel1@cdc.gov Phone: (404) 498-1613

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the Center for Global Health (CGH). Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements. An objective review panel will evaluate complete and responsive applications.

**93.068 CHRONIC DISEASES: RESEARCH, CONTROL, AND PREVENTION**

(Research, Control, and Prevention)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act , Title 42, Part 247b(k)(2), Section 301(a), Public Law USC-242l(a) and (b).

**OBJECTIVES:**

To assist State and local health agencies, health related organizations, and other public and private organizations in their efforts to prevent and control chronic diseases and disorders through research, development, capacity building, and intervention. To utilize research data to improve detection, diagnosis, treatment, and care of chronic diseases and their complications. To generate new knowledge related to chronic diseases that will improve health and quality of life and eliminate health disparities among segments of the population.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with conducting research and surveillance of chronic diseases and their complications. Funds may also be used for program planning and development, to support capacity building, and for evaluation of chronic disease prevention and control programs. CDC will have substantial involvement with the award recipient during performance of

the funded activity.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Foreign institutions may be eligible for some specific programs.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 to 5 years with 12-month budget periods. . Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual or semiannual progress reports are required. Cash reports are not applicable. Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Annual or semiannual progress reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$900,000; FY 12 est \$0; and FY 13 est \$0 - This project has closed out.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Brenda Colley Gilbert, 1600 Clifton Rd, Atlanta, Georgia 30333 Email: bjc4@cdc.gov Phone: (770) 488-8390.

**Website Address:**

<http://www.cdc.gov/> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance. All applications will be peer reviewed.

**93.069 PUBLIC HEALTH EMERGENCY PREPAREDNESS**

(PHEP)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act , Section 319C-1, Public Law 112-10; Public Health Services Act, Section 317(d); Public Health Services Act, Section 317(a).

**OBJECTIVES:**

The PHEP program is a critical source of funding, guidance, and technical assistance for state, territorial, and local public health departments.



Preparedness activities funded by the PHEP program are targeted specifically for the development of emergency-ready public health departments that are flexible and adaptable. These efforts support the National Response Framework (NRF), which guides how the nation responds to all types of hazards including infectious disease outbreaks; natural disasters; biological, chemical, and radiological incidents; and explosions.

To help public health departments with their strategic planning, CDC identified 15 public health preparedness capabilities to serve as national public health preparedness standards. State and local jurisdictions can use CDC's Public Health Preparedness Capabilities: National Standards for State and Local Planning to better organize their work and identify the capabilities they have the resources to build or sustain. These standards help ensure that federal preparedness funds are directed to priority areas within individual jurisdictions.

The 2012 PHEP program is currently funded via a joint cooperative agreement award and aligned with the Hospital Preparedness Program (HPP). PHEP program guidance assists the 62 PHEP awardees in demonstrating measurable and sustainable progress toward achieving the 15 public health preparedness capabilities and other activities that promote safer and more resilient communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The purpose of the Public Health Emergency Preparedness (PHEP) program is to assist state, local, and territorial/freely associated state health departments in demonstrating measurable and sustainable progress toward achieving the 15 public health preparedness capabilities and other activities that promote safer and more resilient communities. Funds can only be used for non-research activities.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the U.S. Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State, County, and Local Health Departments.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. CDC provides an Internet-based system for submitting applications, including narrative and budget, electronically. This system will also enable applicants to complete most required forms electronically, which can then be signed and uploaded into the system. Applicants are required to use this system in lieu of paper-based applications. Under separate cover, CDC will provide detailed instructions on obtaining a digital certificate to access the CDC web portal <https://sdn.cdc.gov> and use the electronic application system. This program is subject to the provisions of 45 CFR Parts 74 and 92, as appropriate.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants

Office, CDC. Also, appropriate notification is made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 5 years with 12-month budget periods. Applications must be submitted in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10.%. This program has a statutory formula.

This program has MOE requirements, see funding agency for further details.

**Maintenance of Funding (MOF)**

PHEP awardees must maintain expenditures for healthcare preparedness and public health security at a level that is not less than the average level of such expenditures maintained by the awardee for the preceding two-year period. This represents an awardee's historical level of contributions or expenditures (money spent) related to federal programmatic activities that have been made prior to the receipt of federal funds. The MOF is used as an indicator of nonfederal support for public health security and healthcare preparedness before the infusion of federal funds. These expenditures are calculated by the awardee without reference to any federal funding that also may have contributed to such programmatic activities in the past. The definition of eligible state expenditures for public health security and healthcare preparedness includes: Appropriations specifically designed to support healthcare or public health emergency preparedness as expended by the entity receiving the award; and

Funds not specifically appropriated for healthcare or public health emergency preparedness activities but which support healthcare or public health emergency preparedness activities, such as personnel assigned to healthcare or public health emergency preparedness responsibilities or supplies or equipment purchased for healthcare or public health emergency preparedness from general funds or other lines within the operating budget of the entity receiving the award.

Please see Agency Funding Opportunity Number CDC-RFA-TP12-1201 for further details on the maintenance of funding requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually and assistance is available for a 12-month budget period. There are five separate budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semiannual and year end progress reports are required. No cash reports are required. Semiannual and year end progress reports are required. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. Performance monitoring is maintained by oversight of Project Officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of three years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0956-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$613,826,342; FY 12 est \$619,447,806; and FY 13 est \$613,759,663

**Range and Average of Financial Assistance:**

FY11 Range - \$323,450 to \$41,661,534

FY11 Average - \$9,900,425.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Van A. King, OPHPR  
1600 Clifton Road, MS-D29, Atlanta, Georgia 30329-4018 Email:  
vbk5@cdc.gov Phone: (404) 639-5276.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The applicants must submit their application in accordance with appropriate program guidance. Applications will be reviewed for completeness by the Procurement and Grants Office staff and for technical acceptability by the Office of Public Health Preparedness and Response and CDC subject matter experts. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified that their application did not meet submission requirements.

**93.070 ENVIRONMENTAL PUBLIC HEALTH AND EMERGENCY RESPONSE**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act Sections 301, 307, 311, 317, and 319C (42 U.S.C. Sections 241, 242l, 243, 247b and 247d-3), as amended, Public Law 109-417, Public Law 109-147, U.S.C 241-2421-243.

**OBJECTIVES:**

To bring public health and epidemiologic principles together to identify, clarify, and reduce the impact of complex environmental threats, including terrorist threats and natural disasters, on populations, domestic and foreign. These programs and activities focus on safeguarding the health of people from environmental threats; providing leadership in the use of environmental health sciences-including environmental epidemiology, environmental sanitation, and laboratory sciences-to protect public health; and responding to issues and sharing solutions to environmental health problems worldwide. To accomplish the above, the CDC: (1) conducts surveillance and investigations that increase the knowledge about the relation between human health and environmental

threats; (2) uses this knowledge to develop national public health programs and policies to prevent or control public health problems; (3) plans, prepares, and responds to emergencies, including terrorist threats, technologic accidents, and natural disasters; (4) provides direct service delivery to partners engaged in environmental health services such as food, safety, rodent control, water quality, and sanitation; (5) develops and applies laboratory science to prevent disease and death caused by exposure to environmental chemicals and to improve the diagnosis, treatment, and prevention of selected chronic diseases; (6) conducts Biomonitoring to assess individual human exposure to environmental chemicals by measuring them in human specimens (e.g. blood and urine); and, (7) conducts activities on emerging environmental threats such as climate change and the built environment.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

NONE.

**Applicant Eligibility:**

.

**Beneficiary Eligibility:**

.

**Credentials/Documentation:**

Applicants should review the individual CDC Funding Opportunity Announcement document issued under this CFDA program for any required proof or certifications that must be submitted prior to, or simultaneous with, submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity use application form HHS-5161-1. Application forms and instructions are available on [www.grants.gov](http://www.grants.gov) and/or the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff at: (770) 488-2700. Application forms can be mailed to you.

**Award Procedure:**

Award Procedure: Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail. Appropriate notification is also made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month renewals. Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that

continued funding is in the best interest of the Federal Government. Applications must be obtained from Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2800.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Length and Time Phasing of Assistance  
Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a twelve month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance  
Support is recommended for a specified project period, not to exceed 5 years. Awards are made annually and assistance is available for a 12-month budget period. There are five budget periods within the 5-year project period. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports are required. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$45,783,414; FY 12 est \$45,773,414; and FY 13 est \$45,783,414

**Range and Average of Financial Assistance:**

\$10,000 to \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. In addition, grants will be available under the authority of and administered in accordance with the HHS Grants Policy Statement available at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner 4770 Buford Hwy, NE, MS F61 , Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure; 93.197 Childhood Lead Poisoning Prevention Projects\_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.071 MEDICARE ENROLLMENT ASSISTANCE PROGRAM**

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

XVIII of the Social Security Act.

**OBJECTIVES:**

To provide outreach to eligible Medicare beneficiaries regarding the benefits available under title XVIII of the Social Security Act, including the Medicare prescription drug benefit under Part D of title XVIII of the Social Security Act and under the Medicare Savings Program, and to coordinate efforts to inform older Americans about benefits available under Federal and state programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may not be used for: (a) construction and/or major rehabilitation of buildings; (b) basic research (e.g., bio-medical experiments); (c) continuation and/or expansion of existing services, and (d) medical care, institutional care or income maintenance. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments, OMB Circular A-21 for Educational Institutions, and OMB Circular A-122 for Non-Profit Organizations.

**Applicant Eligibility:**

Formula grants: State governments and U.S. Territories, with distribution to designated area agencies on aging and Indian Tribal Organizations through an approved State plan. Project grants: Grants may be made to any public or nonprofit private agency, organization, or institution.

**Beneficiary Eligibility:**

Individuals eligible for Medicare benefits, including Part D drug benefits, and older persons eligible for benefits and services provided under Federal and state programs.

**Credentials/Documentation:**

Formula Grants - AoA will utilize appropriate census and Medicare coverage data to identify statutory target populations. Project Grants -- Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This

program is excluded from coverage under OMB Circular No. A-110. Formula Grants - Grant applications are in accordance with program announcements developed by the Administration on Aging (AoA) and will be posted on [www.grants.gov](http://www.grants.gov). Project Grants - The availability of competitive grant funds is announced via program announcement that is simultaneously published on [www.grants.gov](http://www.grants.gov) and on the AoA web site at [www.aoa.gov/doingbus/fundopp/fundopp.asp](http://www.aoa.gov/doingbus/fundopp/fundopp.asp).

**Award Procedure:**

Formula Grants - The Administration on Aging awards funds through a statutory formula to State Agencies on Aging. State agencies approve and award funds to Indian Tribal Organizations, Area Agencies on Aging and Aging and Disability Resource Centers. Project Grants - Notification of award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Formula Grants - State plans are submitted for one-year period, with annual revisions. Project Grants - Grant extensions are available and may be requested.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Percentage Dependent on Statute. This program has MOE requirements, see funding agency for further details. Supplemental form must be completed.

**Length and Time Phasing of Assistance:**

Formula Grants - One year. Project Grants - One to Five Years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records must be kept available for 3 years after submission of expenditure reports in accordance with the regulations at 45 CFR Parts 74 and 92.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog of Federal Domestic Assistance for addresses.).

**Headquarters Office:**

Greg Case Administration on Aging, DHHS, One Massachusetts Ave., Washington, District of Columbia 20001 Email: [Greg.Case@aoa.hhs.gov](mailto:Greg.Case@aoa.hhs.gov) Phone: (202) 357-3442

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Awards are made on a non-competitive basis. State Grants are awarded upon approval of a State Plan.

**93.072 LIFESPAN RESPITE CARE PROGRAM**

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

The Lifespan Respite Care Act of 2006, Public Law 109-442, 42 U.S.C 201.

**OBJECTIVES:**

To expand and enhance respite care services to family caregivers; improve the statewide dissemination and coordination of respite care; and to provide, supplement, or improve access and quality of respite care services to family caregivers, thereby reducing family caregiver strain. The Act also creates a National Lifespan Respite Resource Center designed to maintain a national database on lifespan respite care; provide training and technical assistance to State, community and nonprofit respite care programs; and provide information, referral, and educational programs to the public on lifespan respite care.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used for the development and enhancement of lifespan respite care at the State and local levels; the provision of respite care services for family caregivers caring for children or adults with special needs; training and recruiting of respite care workers and volunteers; the provision of information to caregivers about available respite and support services; and assistance to caregivers in gaining access to such services. Funds may also be used for training programs for family caregivers to assist family caregivers in making informed decisions about respite care services; other services essential to the provision of respite care as may be specified by AoA; or training and education for new caregivers. Funds may also be used to establish a National Resource Center on Lifespan Respite Care. Matching funds are required. Funds may not be used to supplant other Federal, State, or local funds available for respite care services.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Each governor desiring the eligible State agency of his or her State to receive a grant or cooperative agreement under this section shall submit an application on behalf of such agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications for federal assistance (Nonconstruction Programs) are in accordance with program announcements developed by the Administration on Aging

(AoA)/Administration for Community Living (ACL) and will be simultaneously published on Grants.gov ([www.grants.gov](http://www.grants.gov)) and on the AoA/ACL website at <http://www.aoa.gov/AoARoot/Grants/index.aspx> when funding is available.

**Award Procedure:**

Notification of Award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. As specified in each program announcement posted on [www.grants.gov](http://www.grants.gov) and <http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>.

**Appeals:**

Not Applicable.

**Renewals:**

As outlined in the program announcement.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Eligible State agencies must provide a non-Federal cash or in-kind contribution of not less than 25% of the total award.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be made for a period not to exceed 5 years. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

Program progress reports are required semi-annually for project grants. Submitted through the Payment Management System. No progress reports are required. 425 Financial Status reports are due annually. Evaluation of performance made through review of reports and oversight by Project Officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,252,000; FY 12 est \$2,252,000; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

Lifespan Respite Care Program \$160,857 average.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92; Lifespan Respite Care Act of 2006 (Public Law 109-442); HHS Grants Policy Statement (<http://www.aoa.gov/AoARoot/Grants/Terms/index.aspx>).

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog.)

**Headquarters Office:**

Greg Link Office of Home and Community-Based Services, Administration on Aging, DHHS

One Massachusetts Avenue, NW, Washington, District of Columbia 20201  
Email: [Greg.Link@aoa.hhs.gov](mailto:Greg.Link@aoa.hhs.gov) Phone: (202) 357-3545

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.051 Alzheimer's Disease Demonstration Grants to States; 93.052 National Family Caregiver Support, Title III, Part E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competitive. Details for evaluating applications are published as part of the program announcement. Major emphases are: (1) documented need; (2) expected outcomes and benefits; (3) innovative approach; (4) level of effort; (5) involvement of community-based organizations in planning and implementation activities; and (6) projects that benefit disadvantaged groups, including low-income, minority and limited English speaking populations.

**93.073 BIRTH DEFECTS AND DEVELOPMENTAL DISABILITIES - PREVENTION AND SURVEILLANCE**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Executive Order 317(k)(2), Title 42, Part 241(a), Section 301(a), 42 U.S.C 247b(k)(2).

**OBJECTIVES:**

To work with State health agencies, universities, and public and private nonprofit organizations in planning, implementing coordinating or evaluating programs, research or surveillance activities related to improved birth outcomes, prevention of birth defects and developmental disabilities, and the improvement of infant and child health and developmental outcomes. To provide a national, State or local focus for the prevention of conditions of persons with birth defects and developmental disabilities; to employ epidemiological methods to set priorities, build capacity and direct health promotion interventions for persons with birth defects or developmental disabilities; to expand public health training opportunities through fellowships to introduce geneticists, epidemiologists, and clinicians to public health practice through education, training and career-enhancing experiences. To enhance surveillance and research for autism and other developmental disabilities; to prevent congenital heart defects and other major birth defects associated with medication use during pregnancy; to advance neural tube defect prevention; and enhance the quality and usefulness of newborn screening data and programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to strengthen, to expand, to build upon or to enhance research, surveillance, health promotion, education, prevention/intervention activities that contribute to the mission and activities of the Division of Birth Defects and Developmental Disabilities. Funds may be used to improve and strengthen State and local public health infrastructure by providing technical assistance to other appropriate health agencies, organizations, special groups or coalitions. Funds may be used to support capacity building, program planning, development, implementation, evaluation, and surveillance for birth defects, developmental disabilities infant and child health and developmental outcomes, including related health promotion, education and training, prevention/intervention. Funds may also be used to coordinate the dissemination of prevention information to the general public, target populations and among state and local agencies and public and private sector organizations in the United States. Funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

N/A.

**Beneficiary Eligibility:**

State; Consumer; Local; Public nonprofit institution/organization; Federally Recognized Indian Tribal Governments; Individual/Family; Private nonprofit institution/organizations and others.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandy wine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488-2700.

Funding announcements will be posted on [www.grants.gov](http://www.grants.gov). Forms and instructions are available in an interactive format on the Grants.gov web site, at the following Internet address: [www.grants.gov](http://www.grants.gov). Submit the final application using the [www.grants.gov](http://www.grants.gov) website.

**Award Procedure:**

After review and approval, a Notice of Award from the CDC Procurement and Grants Office (PGO) is prepared and signed by an authorized Grants Management Officer and mailed to the recipient officer identified in the application, along with appropriate notification to the public. The initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

Cooperative agreement awards and grants, competitive and single eligibility, are determined by an internal objective committee review process at CDC, including peer reviews for research activities. Awards will be based on evaluation criteria set forth in the respective Funding Opportunity Announcements, the availability of funds, and such other significant factors as deemed necessary and appropriate by CDC.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. Throughout project periods, CDC's commitment to continuation of awards will be conditioned on the availability of funds and evidence of satisfactory progress by recipient as documented in the required reports. If additional support is desired to continue a project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Projects are renewable for periods of 1 to 4 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for 12-month budget periods within project periods ranging from 1 to 5 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: quarterly.

**Reports:**

Quarterly or semiannual progress reports are required. Annual Progress reports and Financial Status Reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. The National Center on Birth Defects and Developmental Disabilities may propose on-site meetings, off-site or other processes for the exchange of information on progress toward objectives of collaborative activities. A plan of proposed activities is required annually. The reporting format and required report content details are specified in Funding Opportunity Announcements. Final financial status and performance reports are required 90 days after the end of the project period. Cash reports are not applicable. Quarterly or semiannual progress reports are required. Annual Progress reports and Financial Status Reports are required no later than 90 days after the end of each budget period. Final financial status and performance reports are required 90 days after the end of a project period. The National Center on Birth Defects and Developmental Disabilities may propose on-site meetings, off-site or other processes for the exchange of information on progress toward objectives of collaborative activities. A plan of proposed activities is required annually. The reporting format and required report content details are specified in Funding Opportunity Announcements. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with the HHS Grants Policy Statement requirements.

**Account Identification:**

75-0958-0-1-550.

**Obligations:**

(Salaries) FY 11 \$62,000,000; FY 12 est \$61,000,000; and FY 13 est \$61,000,000

**Range and Average of Financial Assistance:**

FY 13 range is dependent upon funding availability. Award Amounts range from \$5,000 to \$1,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 61000000. Fiscal Year 2012: 62000000. Fiscal Year 2013: 61000000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. The HHS Grants Policy Statement can be found online at:

<http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Moore 1600 Clifton Road, NE, Atlanta, Georgia 30333 Email: [bpm6@dc.gov](mailto:bpm6@dc.gov) Phone: (404) 498-3911.

**Website Address:**

<http://www.cdc.gov/ncbddd>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

In general, applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and merit of the overall application relative to the types of projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

**93.074 HOSPITAL PREPAREDNESS PROGRAM (HPP) AND PUBLIC HEALTH EMERGENCY PREPAREDNESS (PHEP) ALIGNED COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

HPP: 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) (P.L. 109-417) (2006), PHEP: 319C-1 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) (P.L. 109-417) (2006), and 317(a) and 317(d) of the PHS Act, subject to available funding and other requirements and limitations.

**OBJECTIVES:**

The purpose of the 2012-2017 HPP-PHEP aligned programs cooperative agreement is to provide resources that support state, local, territorial, and tribal public health departments and healthcare systems/organizations in demonstrating measurable and sustainable progress toward achieving public health and healthcare emergency preparedness capabilities that promote prepared and resilient communities. [NOTE: For additional detailed information on the HPP program, please see CFDA 93.889. For additional detailed information on the PHEP program, please see CFDA 93.069].

**TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

The distribution of funds will be to the health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands. The statute specifies appropriate use of funds.

**Applicant Eligibility:**

NA.

**Beneficiary Eligibility:**

NA.

**Credentials/Documentation:**

Applicants should review the individual Funding Opportunity Announcement documents issued under this CFDA for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. NA

**Award Procedure:**

Notification is made in writing through a Notice of Grant Award issued from the program's Grants Management Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. NA.

**Appeals:**

NA.

**Renewals:**

Project periods are for 5 years with 12-month budget periods. Applications must be submitted in the same manner as a new application.

**Formula and Matching Requirements:**

Statutory Formula: Statutory Formula for PHEP - 319C-1 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417. For HPP - Federal Register Notice of May 16, 2008 (Vol. 73, No 96) requires cost sharing (non-federal share) of not less than 10% of federal funds awarded For HPP and PHEP Matching Requirements: Percent: 10.%. These programs have an MOE requirement, see funding agencies for further details.

Matching Requirements: Percent: 10.%. NA.

This program has MOE requirements, see funding agency for further details. This program has MOE requirements. Awardees must maintain expenditures for healthcare preparedness and public health security at a level that is not less than the average level of such expenditures maintained by the awardee for the preceding two-year period.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 5 years. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Award, a legal document that informs the awardee that a grant award has been made. Awardee may draw down funds in advance of the incursion of an expenditure (up to three days) from the Payment Management System.

**Reports:**

No program reports are required. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. Recipients will utilize the Transactions section of SF425 in lieu of the SF272. The FFR SF425 cash Transaction Report is due 30 days after the end of each calendar quarter. Semiannual and year end progress reports are required. Recipients are required to submit the FFR SF425 Federal Financial Report (FFR) semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR Part 92.

**Account Identification:**

75-0943-0-1-550 - PHEP; 75-0140-0-1-551 - HHP.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 11 \$613,610,642; FY 12 est \$619,447,806; and FY 13 Estimate Not Available. (Formula Grants (Cooperative Agreements)) FY 11 \$390,500,000; FY 12 est \$351,644,731; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 12 (Est) HPP: \$271,501 to \$28,752,455; (Est) \$42,839,937.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices. NA.

**Headquarters Office:**

Van A. King CDC OPHPR  
1600 Clifton Rd  
, Atlanta, Georgia 30333 Email: VBK5@cdc.gov Phone: 404-639-5276

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program. The applicants must submit their application in accordance with fiscal year Funding Opportunity Announcement. The applications are reviewed and approved applications are processed immediately. Applications approved with conditions require the applicant to resubmit supporting information within a prescribed time frame. Upon review and approval, the revised application can then be submitted to Grants Management for processing and issuing a notice of grant award.

**93.075 SYSTEMS INTEROPERABILITY\_HEALTH AND HUMAN SERVICES**

State Systems Interoperability and Integration Projects

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010, 123 Stat. 3171.

**OBJECTIVES:**

The Partnership Fund for Program Integrity Innovation at the Office of Management and Budget funds pilot projects to improve the administration of federal assistance programs by: reducing improper payments; improving administrative efficiency; improving service delivery; and protecting and improving program access for eligible beneficiaries.

Supported by the Partnership Fund, these pilot projects will explore and plan improved interoperability and integration in eligibility and enrollment, case management, and other related functions across health and human services information technology systems. Grantees can explore systems design and implementation options, determine the costs and benefits of different options, the potential client outcomes and impacts of each option, and develop concrete implementation plans and options for the grantee to consider, as well as produce a road map noting what could or should be considered by other States. In addition, each grant will demonstrate how enhanced interoperability and integrations can improve service delivery, increase program efficiency, and/or reduce errors and enhance program integrity.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

According to Public Law 111-117, assistance can be used for pilot projects that address Federal programs that have a substantial State role in eligibility determination or administration or where Federal-State cooperation could otherwise be beneficial; in aggregate, save at least as much money as they cost; demonstrate the potential to streamline administration or strengthen program integrity; and do not achieve savings primarily by reducing the participation of eligible beneficiaries..

**Applicant Eligibility:**

State (including the District of Columbia, Guam, Puerto Rico, and the Virgin Islands) human services agencies are eligible to receive assistance.

**Beneficiary Eligibility:**

State (including the District of Columbia, Guam, Puerto Rico, and the Virgin Islands) human services agencies are eligible to conduct pilot projects to support health and human services systems interoperability.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Grant applications will undergo a panel review. Approved grant applications will receive official notice through a grant award detailing the amount of funds awarded, the purpose of the award, the terms and conditions of the award, and the budget period for which support is given.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project and budget period is 12 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Periodic reports are required on the progress of the pilot program. Monitoring is conducted by the Federal Project Officer. Cash reports are not applicable. Grantees under this funding opportunity announcement will be required to submit performance progress and financial reports periodically throughout the project period. Grantees under this funding opportunity announcement will be required to submit performance progress and financial reports periodically throughout the project period. Periodic reports are required on the progress of the pilot program. Monitoring is conducted by the Federal Project Officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000



or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR 92. Subsequent to an audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0035-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$4,500,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 2012, from \$750,000 to \$1,125,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: It is estimated that OCSE will award approximately 4 grants ranging from \$750,000 to \$1,125,000 each. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sheila Drake Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W. , 4th floor East, Washington, District of Columbia 20447  
Email: Sheila.Drake@acf.hhs.gov Phone: 202-401-0904 Fax: 202-205-4342

**Website Address:**

<http://www.acf.hhs.gov/programs/cse>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Objectives 2. Approach 3. Evaluation/Deliverables 4. Reasonable of project costs.

**93.076 TANF PROGRAM INTEGRITY INNOVATION GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010.

**OBJECTIVES:**

The Partnership Fund for Program Integrity Innovation at the Office of Management and Budget funds pilot projects for improving the stewardship of federal dollars in assistance programs through the following measures: reducing improper payments; improving administrative efficiency; improving service delivery; and protecting and improving program access for eligible beneficiaries.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

According to Public Law 111-117, assistance can be used for pilot projects that address Federal programs that have a substantial State role in eligibility determination or administration or where Federal-State cooperation could otherwise be beneficial; in aggregate, save at least as much money as they cost;

demonstrate the potential to streamline administration or strengthen program integrity; and do not achieve savings primarily by reducing the participation of eligible beneficiaries..

**Applicant Eligibility:**

State (including the District of Columbia, Guam, Puerto Rico, and the Virgin Islands) human services agencies are eligible to receive assistance.

**Beneficiary Eligibility:**

State (including the District of Columbia, Guam, Puerto Rico, and the Virgin Islands) human services agencies are eligible to receive assistance to conduct pilot projects to improve the program integrity of their TANF programs, which serve low-income families, and to evaluate those pilot projects.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Grant applications will undergo a panel review. Approved grant applications will receive official notice through a grant award, detailing the amount of funds awarded; the purpose, terms and conditions of the award; and the budget period for which support is given.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project and budget period is 17 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Periodic reports are required on the progress of the pilot program. Monitoring is conducted by the Federal Project Officer. Cash reports are not applicable. Grantees under this funding opportunity announcement will be required to submit performance progress and financial reports periodically throughout the project period. Grantees under this funding opportunity announcement will be required to submit performance progress and financial reports periodically throughout the project period. Periodic reports are required on the progress of the pilot program. Monitoring is conducted by the Federal Project Officer.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or

a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR 92. Subsequent to an audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0035-0-1-506.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$3,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

For Fiscal Year 2012, the grants awarded will range from \$400,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: It is estimated that the Office of Family Assistance will award approximately 3-4 grants in FY 2012, ranging from \$400,000 to \$1,000,000 for each grant. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Deborah List Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 370 LEnfant Promenade, S.W. , Washington, District of Columbia 20447 Email: Deborah.List@acf.hhs.gov Phone: 202-401-5488 Fax: 202-205-5887

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

1. Project Approach and Work Plan
2. Evaluation
3. Organizational Capacity
4. Budget and
5. Bonus Points for including TANF Program Access activities in addition to TANF Program Integrity activities.

**93.077 FAMILY SMOKING PREVENTION AND TOBACCO CONTROL ACT REGULATORY RESEARCH**

NIH-FDA Tobacco Control Regulatory Research

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

The Public Health Service Act and the Family Smoking Prevention and Tobacco Control Act, Public Law 111-31, 42 U.S.C 300u-3.

**OBJECTIVES:**

The Family Smoking Prevention and Tobacco Control Act (TCA) provides the authority to regulate tobacco product manufacturing, distribution and marketing. Regulatory research will provide the scientific evidence to guide the implementation of this authority. Research areas include (1) understanding the diversity of tobacco products, (2) reducing addiction to tobacco products, (3) reducing toxicity and carcinogenicity of tobacco products and smoke, (4) understanding the adverse health consequences of tobacco use, (5) understanding communications about tobacco products, (6) understanding tobacco product marketing, and (7) understanding how economics and policies affect tobacco product use. This regulatory research will help understand

tobacco and its ingredients and constituents, tobacco addiction, tobacco marketing and labeling, and childhood tobacco use. The strategic priorities for these research areas can be found at <http://www.fda.gov/downloads/TobaccoProducts/NewsEvents/UCM293998.pdf>

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (Contracts); Training

**USES AND USE RESTRICTIONS:**

(1) Research project grants provide support for clearly defined projects or a small group of related research activities, and when appropriate, support of research conferences; (2) program project and center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) exploratory/development and clinical exploratory/developmental grants encourage the development of new research activities in categorical program areas; (4) cooperative agreements support single or a group of related research activities with significant involvement of federal staff; (5) small grants support newer, less experienced investigators; investigators at institutions without a well developed research tradition and resources; the testing of new methods or techniques; small-scale exploratory and pilot studies, or exploration of an unusual research opportunity; small grants provide research support of up to \$50,000 direct costs per year for a period of up to 2 years; (6) research training grants including fellowships and institutional training grants, career development grants and loan repayment contracts; and (7) SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of proposed research or research and development efforts to determine the quality of performance of the small business grantees. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercially viable products or processes. Only Phase I awardees are eligible to apply for Phase II support; STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application and the quality of performance of the small business concerns. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application. Research must directly support the Family Smoking Prevention and Tobacco Control Act and the Center for Tobacco Products, Food and Drug Administration Research Priorities found at <http://www.fda.gov/downloads/TobaccoProducts/NewsEvents/UCM293998.pdf>

**Applicant Eligibility:**

Applicants should review the eligibility information in the individual funding opportunity announcements issued under this CFDA.

**Beneficiary Eligibility:**

This Tobacco Control Regulatory Research Program will support research aimed at providing guidance and evidence to develop regulation for tobacco product manufacturing, distribution and marketing. The general public will ultimately benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is generally not applicable, though applicants requesting direct costs of \$500,000 or more for any one year must contact the appropriate NIH Institute or Center no later than 6 weeks before the anticipated submission date. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Most applications must be prepared and submitted electronically. Most applicants use the SF 424 (Research & Related) for electronic submission. Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and

Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). Some institutions may submit the grant data directly (using what is called a system-to-system transfer). For further details, see [grants.gov](http://grants.gov) or eRA Commons. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the NIH Guide to Grants and Contracts and the Grants.gov sites (see URLs listed above). All SBIR and STTR applications must be submitted electronically. The timeline for transition to electronic applications and the new forms may be found at:

<http://era.nih.gov/ElectronicReceipt/>. For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

Consultation on a proposed project may be obtained from the Office of Disease Prevention in the Division of Program Coordination, Planning, and Strategic Initiatives at NIH. Applications are reviewed by principally nonfederal consultants recruited nationwide. The amounts of the award and period of support are determined on the basis of merit of the project and the nature of the grant mechanism. Electronic applications are submitted through the Grants.gov website.

#### **Award Procedure:**

All applications for research grants, cooperative agreements, training, and SBIR and STTR grants are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by the National Advisory Council of the NIH Institute or Center that will manage the award. All competitive applications compete for available funds on the basis of scientific and technical merit, program relevance, and program balance. FDA Center for Tobacco Control will make final decisions on the relevance and program balance.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Review the individual Funding Opportunity Announcement under this CFDA for any application-specific deadlines.

#### **Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH homepage <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

#### **Renewals:**

Renewal grants may only be submitted in response to a specific funding opportunity announcement under this CFDA.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds, with project periods ranging from 1 to 5 years. Funding commitments are made annually. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

#### **Reports:**

Annual progress and financial status reports for continuing projects and final reports on all projects upon conclusion are required. Cash are applicable and will be submitted on the SF425. Annual progress reports for continuing projects are required to access progress. Interim reports may also be required or requested. Expenditure reports are applicable and will be submitted monthly on the SF425. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Expenditures and other financial records, and also administrative records, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the grant period.

Scientific data must be maintained to comply with Circular A-110 Shelby Amendment.

#### **Account Identification:**

75-0846-0-1-552 - FDA FY12-IDDA-NIH-01.

#### **Obligations:**

(Project Grants) FY 11 Not Available(Exp: New Program); FY 12 est \$41,000,000; and FY 13 est \$50,000,000 - Funds provided by the FDA CTP through an IDDA to NIH for the support of Family Smoking Prevention and Tobacco Control Act.

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74; 42 CFR 52; Guidelines are included in Funding Opportunity Announcements. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR Part 52 and 42 CFR Part 52a; Administrative requirements at 45 CFR Part 74.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Della M. Hann, Ph.D. 9000 Rockville Pike; Building 1, Bethesda, Maryland 20892 Email: [TobRegRes@mail.nih.gov](mailto:TobRegRes@mail.nih.gov) Phone: 301-496-1096

#### **Website Address:**

<http://cancercontrol.cancer.gov/nih-fda/index.htm>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Funding decisions are based on scientific merit (42 CFR 52h) and program relevance. Scientific merit review encompasses: the peer review criteria detailed in the specific funding announcement, as well as the significance, approach, and innovation of the proposed research; the competency of the principal investigator; the adequacy of the resources and environment; the proposed budget and requested period of support; and, where applicable, the adequacy of the measures for protecting against adverse effects upon humans, animals, or the environment. Relevance to Tobacco Control Regulatory Research program priorities will also be taken into consideration.

### **93.078 STRENGTHENING EMERGENCY CARE DELIVERY IN THE UNITED STATES HEALTHCARE SYSTEM THROUGH HEALTH INFORMATION AND PROMOTION**

#### **FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 1703 (a), 42 U.S.C. Section 300u-2.

#### **OBJECTIVES:**

To assist in planning or developing emergency care health information and promotion activities, documents or materials that focus on strengthening emergency care and service delivery and the development of regionalized,

coordinated and accountable systems of emergency care in the United States that can address both daily demands and those resulting from a public health emergency or disaster.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds may only be used for planning health information and promotion activities and materials that are related to strengthening emergency care delivery and the development of regionalized, coordinated and accountable systems of emergency care. Grants funds may not be used for basic research (e.g. scientific or medical experiments.). When appropriated and apportioned, all funds available will be used for discretionary grant awards.

**Applicant Eligibility:**

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education.

**Beneficiary Eligibility:**

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education.

**Credentials/Documentation:**

Applicants should review the individual Assistant Secretary for Preparedness and Response (ASPR) funding opportunity announcement (FOA) issued under this CFDA program for any proof of certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular A-122 applies to this program. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should review the individual Assistant Secretary for Preparedness and Response (ASPR) funding opportunity announcement (FOA) issued under this CFDA program for any proof of certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Award Procedure:**

Applications that successfully proceed through initial screening (as outlined in the FOA) will be objectively reviewed based upon the review criteria specified in the FOA. Applications selected for funding will be processed and the applicant notified in writing through the issuance of a Notice of Grant Award from the Office of the Assistant Secretary for Preparedness and Response.

**Deadlines:**

Aug 30, 2012 Applicable deadlines and due dates are specified in the funding opportunity announcement.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. From 30 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements. This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are from 6 months and up to 5 years. Budget periods are from 6 months and up to 12 months. See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Grant Award, a legal document that informs the awardee that a grant award has been made. See the following for information on how assistance is awarded/released: Awardee may draw down funds in advance of the incursion of expenditure (up to three days) from the Payment Management System.

**Reports:**

Grantees are required to submit program reports, also known as Program Progress Reports. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. The FFR SF425 cash transaction report is due 30 days after the end of each calendar quarter. Grantees are required to submit Program Progress Reports at the completion of each milestone as well as a final Program Progress Report. ASPR requires financial reporting through the Federal Financial Report (FFR), Standard Form 425. Reports are due semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Performance monitoring of awardees is completed by ASPR program staff. Specific reporting conditions will be outlined in the terms and conditions of the Notice of Award and may vary. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. The FFR SF425 cash transaction report is due 30 days after the end of each calendar quarter. Specific reporting conditions will be outlined in the terms and conditions of the Notice of Award and may vary. Grantees are required to submit program reports, also known as Program Progress Reports. Specific reporting conditions will be outlined in the terms and conditions of the Notice of Award and may vary. ASPR requires financial reporting through the Federal Financial Report (FFR), Standard Form 425. Reports are due semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Performance monitoring of awardees is completed by ASPR program staff. Specific reporting conditions will be outlined in the terms and conditions of the Notice of Award and may vary. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$50,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristen Finne Office of Policy and Planning, Division of Healthcare Systems and Health Care Policy, Office of the Assistant Secretary for Preparedness and Response, Department of Health and Human Services, Patriots Plaza II, 375 E Street SW, Floor 11, Office 11-1701, Washington, District of Columbia, 20024, Washington, District of Columbia 20024 Email: kristen.finne@hhs.gov Phone: 202-631-2013

**Website Address:**

<http://www.phe.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Discretionary awards are subject to objective review. Reviewers will individually evaluate and score applications based upon the review criteria specified in the funding opportunity announcement. Scored applications will be ordinarily ranked. The highest ranked applications will receive priority consideration for award within available funding.

**93.086 HEALTHY MARRIAGE PROMOTION AND RESPONSIBLE FATHERHOOD GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, Section 403; The Claims Resolution Act of 2010 (CRA), Public Law 111-291.

**OBJECTIVES:**

Included three objectives: (1) To fund Healthy Marriage Promotion activities that will help couples, who have chosen marriage for themselves, gain greater access to marriage education services on a voluntary basis. These services will help couples acquire the skills and knowledge necessary to form and sustain a healthy marriage; (2) To fund Responsible Fatherhood promotion activities specifically designed to promote responsible fatherhood to reverse the rise in father absence and its subsequent impact on our nation's children. ACF will award these funds on a competitive basis to States, territories, Indian tribes and tribal organizations, and public and nonprofit community entities, including faith-based organizations; and (3) Award competitive based demonstration projects designed to test the effectiveness of tribal governments or tribal consortia in coordinating the provision to tribal families at risk of child abuse or neglect of child welfare services and services under tribal programs funded under this part.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Secretary may not award funds on a noncompetitive basis, and may not provide any such funds to an entity for the purpose of carrying out healthy marriage promotion activities or for the purpose of carrying out activities promoting responsible fatherhood unless the entity has submitted to the Secretary an application which describes how the programs or activities proposed in the application will address, as appropriate, issues of domestic violence; and what the applicant will do, to the extent relevant, to ensure that participation in the programs or activities is voluntary, and to inform potential participants that their participation is voluntary; and contains a commitment by the entity to not use the funds for any other purpose; and to consult with experts in domestic violence or relevant community domestic violence coalitions in developing the programs and activities.

**Applicant Eligibility:**

The Healthy Marriage and Responsible Fatherhood grants will be competitively

awarded for a one (1) year budget period and three-year (3) project period. The awards will be made final no later than September 2011 and will run for three consecutive years up through September 2014. There are no subsequent competitive awards for this program. For years two and three, awards will be made via non-competitive continuation application. Eligible organizations for Healthy Marriage Grants in general are public and private entities. This includes, but is not limited to: States; County governments; City or township governments; Special district governments; State controlled institutions of higher education; Native American tribes and tribal organizations; Nonprofit organizations; Private organizations of higher education; For-profit organizations; and faith-based and community organizations. Application Eligibility for Responsible Fatherhood Grants include: States; territories; Indian tribes and tribal organizations; and public and non-profit community entities, including Faith-based organizations. Application Eligibility for Tribal TANF Child Welfare TA Grants includes Native American Tribal governments.

**Beneficiary Eligibility:**

Families, couples, individuals in need of assistance with Healthy Marriage services, including marriage enhancement and relationship education and Responsible Fatherhood activities, including parenting education, economic stability services. In general these funds will assist in the efforts to enhance and expand the ability of States, Native American governments, local governments, for-profit organizations, non-profit community organizations and other public entities to provide family formation and responsible fatherhood services to those in need.

**Credentials/Documentation:**

Any nonprofit agency is required to provide proof of its nonprofit status through one of the following: (a) A reference to the applicant organization's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in the IRS code. (b) A copy of a currently valid IRS tax exemption certificate (c) A statement from a State taxing body, State Attorney General, or other appropriate State official certifying that the applicant organization has a nonprofit status and that none of the net earnings accrue to any private shareholders or individuals. (d) A certified copy of the organization's certificate of incorporation or similar document that clearly establishes nonprofit status. (e) Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is its local nonprofit affiliate. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants needed to complete all the standard forms required for making application for awards under this announcement. Applicants that requested financial assistance submitted Standard Forms 424, 424A, 424B and the associated certifications and assurances. Specific instructions were published in the official program announcement.

**Award Procedure:**

Applications received by the due date will be reviewed and scored competitively. Peer reviewers, generally persons from outside the Federal government, will use the evaluation criteria listed in Section V of the Funding Opportunity Announcement to review and score the applications. The results of the review will be a primary factor in making funding decisions. ACF may also solicit comments from other Federal agencies. ACF may consider a variety of factors in addition to the review criteria identified above, including geographic diversity/coverage and types of applicant organizations, in order to ensure that the interests of the Federal Government are met in making the final selections. The successful applicants will be notified through issuance of a Financial Assistance Award document which sets forth the amount of funds granted, the

terms and conditions of the grant, the budget period for which initial support will be given, and the total project period for which support is contemplated. In accordance with the authorizing legislation, preference will be given to those applicants that were awarded any prior Responsible Fatherhood, Healthy Marriage, or Tribal Child Welfare funds between 2005 and 2010 and that have demonstrated the ability to have successfully carried out their program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time: All grants will be approved/disapproved by no later than September 2011.

**Appeals:**

Not Applicable.

**Renewals:**

Awards will be made for a 3-year project period, funding for years 2 through 3 are not competitive and will depend upon satisfactory performance, availability of funds, and the best interest of the government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grants will be awarded for project periods of up to three years. Awards, however, will be made on a competitive basis, for a one-year budget period. Applications for continuation grants funded under these awards beyond the one-year budget period but within the three-year project period will be entertained in subsequent years on a noncompetitive basis, subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the government. Method of awarding/releasing assistance: lump sum.

**Reports:**

Semi -Annual progress reports. No cash reports are required. Semi -Annual progress reports. SF-269 and SF-272. Semi -Annual progress reports, site visits and annual meetings.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1552-1-0-506.

**Obligations:**

(Salaries) FY 11 \$2,200,000; FY 12 est \$1,927,000; and FY 13 est \$1,935,000. (Project Grants (Discretionary)) FY 11 \$121,000,000; FY 12 est \$123,000,000; and FY 13 est \$123,000,000 - In FY 2011, additional funding in the amount of \$26,000,000 was spent on Reseach, T&TA and the National Fatherhood Clearinghouse.

Funding for Fiscal Year 2013 and beyond is subject to the availability of funds.

**Range and Average of Financial Assistance:**

Healthy Marriage Grants range from \$300,000 to \$2,500,000 depending upon which Funding Opportunity Announcement applicant is applying for and on the scope of the project. Average award: \$450,000 -1,250,000. Responsible Fatherhood Grants will range from \$300,000 to \$2,500,000 depending upon the Funding Opportunity Announcement applicant is applying to and on the scope of the project. Average award: \$450,000 - \$1,250,000. Tribal TANF Child

Welfare Grants will range from \$125,000 to \$250,000. Average Award: \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 120 grants were awarded. Fiscal Year 2012: 121 grants were awarded. Fiscal Year 2013: It is anticipated that 121 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robin McDonald, Office of Family Assistance (OFA), 370 L'Enfant Promenade, S.W., 5th Floor East, Washington, District of Columbia 20447  
Email: Robin.McDonald@acf.hhs.gov Phone: (202) 401-5587.

**Website Address:**

<a href="http://www.acf.hhs.gov/healthymarriage" target="\_blank">http://www.acf.hhs.gov/healthymarriage</a> <a href="http://fatherhood.gov/" target="\_blank">http://fatherhood.gov/</a>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.087 ENHANCE SAFETY OF CHILDREN AFFECTED BY SUBSTANCE ABUSE**

Targeted Grants to Increase the Well-Being of, to Improve the Permanency Outcomes for, and Enhance the Safety of Children Affected by Parental Substance Abuse

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, as amended, Title IV, Part B, Section 437(f), 42 U.S.C 629g.

**OBJECTIVES:**

To provide, through interagency collaboration and integration of programs activities and services that are designed to increase the well-being of, improve permanency outcomes for, and enhance the safety of children who are in an out-of-home placement or are at risk of being placed in an out-of-home placement as a result of a parent's or caretaker's substance abuse.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are provided for services or activities that are consistent with the purpose of section 437(f) of Title IV-B of the Social Security Act and may include the following: (1) family-based comprehensive long-term substance abuse treatment services; (2) early intervention and preventative services; (3) children and family counseling; (4) mental health services; (5) parenting skills training; (6) replication of successful models for providing family-based comprehensive long-term substance abuse treatment services. Other suggested activities and services are listed in the program announcement. 100% of funds are set-aside for discretionary activities.

**Applicant Eligibility:**

State governments, County governments, Local Governments, City or township governments, Regional Organizations, U.S. Territory or Possession, Independent school districts, Public and State-controlled institutions of higher education, Indian/Native American Tribal governments (Federally recognized), Indian/Native American Tribal organizations (other than Federally recognized), Indian/Native American Tribally Designated Organizations, Public/Indian Housing Authorities, Non-profits with 501(c)(3) IRS status (other than institutions of higher education), Non-profits without 501(c)(3) IRS status

(other than institutions of higher education), Private institutions of higher education, For-profit organizations (other than small businesses), Small businesses, Hispanic-Serving Institutions, Historically Black Colleges and Universities (HBCUs), Tribally Controlled Colleges and Universities (TCCUs), Alaska Native and Native Hawaiian Serving Institutions, and Special district governments. Foreign entities are not eligible under this announcement. Applications must represent regional partnerships formed by a collaborative agreement. Applications must identify a primary applicant responsible for administering the grant. The primary applicant must be one of the regional partnership organizations listed above. The primary applicant cannot be an individual. The regional partnership must include either the State child welfare agency that is responsible for the administration of the State plan under title IV-B or title IV-E of the Social Security Act or an Indian tribe or tribal consortium but the regional partnership may not consist of only State entities.

**Beneficiary Eligibility:**

Agencies or organizations serving children and families who have experienced or are at risk of experiencing an out of home placement as a result of a parent's or caregivers substance abuse.

**Credentials/Documentation:**

Non-profit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by DHHS must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is posted to grants.gov. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the fields of child welfare and substance abuse treatment. Final decisions are made by the Commissioner, Administration for Children, Youth and Families (ACYF).

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

This program was announced and grants awarded in FY 2007 for 3 and 5 years. Round 2 will be 5 year grants to be awarded by 09/30/2012.

Current grantees may also apply for a 2 year extension, to be awarded by 09/30/2012.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Projects are awarded with a provision for non-competitive renewal during the selected award period (3 or 5 years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: The required match must increase over the course of the grant period, such that grantees must contribute 15 percent of the costs of grant-funded services and activities in FY 2007 and FY 2008, 20 percent of such costs in FY 2009 and FY 2010, and 25 percent of such costs in FY 2011.

Round 2 have the same match. The 2 year extension grants match is 30% in 2012 and 35% in 2013.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants were available for a 36- or 60-month period. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.

Round 2 grants will be awarded for a 5 year period. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees must select and track performance indicators that measure the extent to which grant-funded activities and services enhance the safety, permanency, and well-being of children and their families. PSC 272. Program progress reports are required semiannually with a final report at completion of the project. Financial expenditure reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$19,999,663; FY 12 est \$20,000,000; and FY 13 est \$20,000,000 - For Round 2 there is \$20,000,000 authorized for grants, contracts and 5% administrative setaside.

**Range and Average of Financial Assistance:**

FY 09 range from \$489,937 to \$750,000 with an average of \$754,000. For FY 2012, expect the range to be from \$500,000 to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 25 grants were issued. Fiscal Year 2012: In FY 2012, 25 grants will be issued. Fiscal Year 2013: In FY 2013, it is estimated that 25 grants will be issued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1340.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elaine Stedt Office on Child Abuse and Neglect, Children's Bureau, 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: elaine.stedt@acf.hhs.gov Phone: (202) 205-7941.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb> .

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The performance indicator data reflects 12,227 children and 8,321 adults, representing 7,100 families served by the 53 grantees through March 31, 2010. The lead agencies (applicants) for the 53 grantees are based in 29 States and include six Tribes, though grantees may be serving families in multiple sites. As of March 31, 2010, approximately 6,300 adults had received substance abuse treatment services. The majority of grantees do not provide substance abuse treatment services to youth who have a substance use disorder; however, 17 grantees reported providing substance abuse treatment services to

approximately 530 youth as of March 31, 2010. Fiscal Year 2012: Over the last four years, the regional partnerships have implemented a wide array of integrated programs and services responsive to the needs outlined in the legislation and gaps in current service delivery systems for vulnerable children and families affected by substance abuse. Approximately 85 percent of grantees are providing either trauma- informed or trauma-specific services to the adults they are serving, and 45 percent of grantees are providing trauma services to the majority of children they serve. As of September 2011, the grantees had served more than 20,000 RPG children and nearly 14,500 adults, representing more than 12,200 families. The Child and Family Services Improvement and Innovation Act (Pub. L. 112-34) includes a provision allowing the Secretary of Health and Human Services to continue funding of previously funded targeted grants program for two years (section 437(f)(3)(B)(ii) of the Act). Therefore, HHS issued FOA-HHS-2007-ACF-ACYF-CU-0022 under Pub. L. 112-34 with eligibility being limited to current Regional Partnership Grantees. HHS also issued HHS-2012-ACF-ACYF-CU-0321 that provides funding for another set of Regional Partnership Grants. Awards made under HHS-2012-ACF-ACYF-CU-0321 will be for five years, with the possibility of receiving a two-year extension. Fiscal Year 2013: TBD.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the program announcement including, but not limited to: (1) demonstration of regional impact of methamphetamine or other substance abuse; (2) organizational capacity to collaborate with other service providers; and (3) relevance of proposed services and activities in enhancing the well-being of children in foster care or at risk of foster care due to a parent's or caretaker's substance abuse.

#### **93.088 ADVANCING SYSTEM IMPROVEMENTS TO SUPPORT TARGETS FOR HEALTHY PEOPLE 2010**

(ASIST2010)

##### **FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

##### **AUTHORIZATION:**

42 U.S.C. 300u-2(a), 42 U.S.C 300u-2(a).

##### **OBJECTIVES:**

To improve surveillance/information systems that allow tracking of program progress on HP 2010 objectives at the grantee level. To develop and implement a plan to sustain the program after OWH funding ends. To use a public health systems approach to improve performance on two or more HP 2010 objectives that target women and/or men in Focus Areas 1, Access to Quality Health Services, 3-Cancer, 5-Diabetes, 7-Educational and Community-Based Programs, and 12-Heart Disease and Stroke.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Funds may be used to implement evidence-based strategies to achieve the applicants and the Office on Women's Health (OWH), OWH's program objectives. Funds may not be used for construction, building alterations, equipment, printing, food, and medical treatment.

##### **Applicant Eligibility:**

none.

##### **Beneficiary Eligibility:**

Women and men across the life span.

##### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

##### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

##### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application kits may be obtained by accessing Grants.gov at <http://www.grants.gov>.

##### **Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete or arrive after the deadline will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with HHS policies. Applications will be evaluated by a technical review panel composed of experts. Funding decisions will be made by the OWH and will take into consideration the recommendations and ratings of the review panel; recommendations made based on the pre-award site visit; program needs, stated preferences; and, geographic location.

##### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline due date.

##### **Appeals:**

Not Applicable.

##### **Renewals:**

> 180 Days. Project period is for 3 year.

##### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

##### **Length and Time Phasing of Assistance:**

Project period is not to exceed 3 years. Method of awarding/releasing assistance: by letter of credit.

##### **Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

##### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

##### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

##### **Account Identification:**

75-0120-0-1-550.

##### **Obligations:**

(Salaries) FY 11 \$3,120,000; FY 12 est \$3,000,000; and FY 13 Estimate Not Available

##### **Range and Average of Financial Assistance:**

\$100,000 to \$575,000.

##### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

##### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal



Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

See Regional Agency Offices. Program Management Contact:  
Office on Women's Health, DHHS  
200 Independence Avenue, SW Room 712E Washington, DC 2020

**Grants Management Contact:**

Office of Grants Management, 1101 Wootton Parkway, Suite 550,  
Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville,  
Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.womenshealth.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To be considered for review, applications must be received by the Office of Public Health and Science, Office of Grants Management by 5:00 p.m. Eastern Time on the due date published in the Dates section of the FR. Applications will be screened upon receipt. Those that are judged to be in compliance will be reviewed for technical merit by a technical panel composed of experts with experience with sex and gender programs, program management, service delivery, outreach, health education, Healthy People 2000 and/or Healthy People 2010, leadership development, and program assessment in accordance with DHHS policy. The technical review of the applications will consider the following factors: Factor 1: Background and Implementation Plan (30 points). Factor 2: Strength of the Public Health System/Collaborative Partnership (Partnership Plan) (20 points). Factor 3: Management Plan (20 points). Factor 4: Evaluation Plan (20 points). Sustainability Plan (10 points) Details regarding the elements to be addressed within each Factor are available in the FR notice.

**93.089 EMERGENCY SYSTEM FOR ADVANCE REGISTRATION OF VOLUNTEER HEALTH PROFESSIONALS**

(ESAR-VHP)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Title III, Section 319I, Public Health Service Act (42 U.S.C. 247d-7b), as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417.

**OBJECTIVES:**

To establish and maintain a national interoperable network of state systems. Each system is maintained by a State or group of States for the purpose of verifying the credentials, certifications, licenses, relevant training, and hospital privileges of health care professionals who volunteer to provide health services during a public health emergency.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Grant funds may be used for ESAR-VHP related activities only. Grants funds may not be used for construction and/or major rehabilitation of buildings. Grants funds may not be used for basic research (e.g. scientific or medical experiments.). When appropriated and apportioned; all funds available will be used for discretionary grant awards.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands,

the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State health departments listed above, hospitals and supporting health care systems.

**Credentials/Documentation:**

Applicants should review the individual ASPR funding opportunity announcement issued under this CFDA program for any proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular A-122 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained through Grants.gov - FIND. Applicants should visit Grants.gov - FIND for the funding opportunity announcement and Grants.gov - APPLY to download application materials to complete and submit their applications in accordance with the funding opportunity announcement (FOA).

**Award Procedure:**

Applications that successfully proceed through initial screening (as outlined in the FOA) will be objectively reviewed based upon the review criteria specified in the FOA. Applications selected for funding will be processed and the applicant notified in writing through the issuance of a Notice of Award from the Office of the Assistant Secretary for Preparedness and Response.

**Deadlines:**

Sep 30, 2010: Applicable deadlines and due dates are specified in the funding opportunity announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. None.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 36 months. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Award, a legal document that informs the awardee that a grant award has been made. Awardee may draw down funds in advance of the incursion of an expenditure (up to three days) from the Payment Management System.

**Reports:**

Grantees are required to submit program reports, also know as Program Progress Reports. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. Recipients will utilize the Transactions section of SF425 in lieu of the SF272. The FFR SF425 cash Transaction Report is due 30 days after the end of each calendar quarter. Grantees are required to submit semi-annual Program Progress Reports as well as final Program Progress Reports. ASPR requires cumulative financial reporting through consecutive funding periods on the SF269 FSR long form. The FFR SF425 was designed to replace the Financial Status Report SF269 and the Federal Cash Transactions Report SF272 with one comprehensive financial reporting form. Until HHS fully migrates to the SF425 FFR, recipients are still required to submit the SF269 Financial Status Report (FSR) semi-annually within 30 days after the first 6 month period and within 90 days of the budget

period end date. Grantees are required to submit final Financial Status Reports (SF-269). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$3,853,617; FY 12 est \$3,471,039; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$58,478 to \$200,000 per award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Jennifer Hannah, National Healthcare Preparedness Programs, Office of Preparedness and Emergency Operations, Office of the Assistant Secretary for Preparedness and Response, Department of Health and Human Services, 395 E Street, S.W., Suite 1075, Washington, District of Columbia 20024 Email: jennifer.hannah@hhs.gov Phone: (202) 245-0722.

**Website Address:**

<http://www.phe.gov/esarvhp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Purpose and Need; (2) Approach, Work Plan and Activities; (3) Project Outcomes, Evaluation/Dissemination; and (4) Level of Effort.

**93.090 GUARDIANSHIP ASSISTANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

as amended; Social Security Act, Title IV, Part E, Section 473.

**OBJECTIVES:**

To provide Federal financial participation (FFP) to States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) who opt to provide guardianship assistance payments for the care of children by relatives who have assumed legal guardianship of eligible children for whom they previously cared as foster parents. This assistance is intended to prevent inappropriately long stays in foster care and to promote the healthy development of children through increased safety, permanency and well-being.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Federal assistance may be used only in support of the care of children who meet the eligibility requirements and their siblings under certain situations as specified in the statute. All relatives assuming guardianship of such children are eligible for the nonrecurring expenses associated with obtaining legal guardianship up to \$2000. States and Tribes may receive Federal financial participation (FFP) only if title IV-E plans have been approved by the Secretary.

**Applicant Eligibility:**

Funds are available to States, the District of Columbia, Puerto Rico, and to Tribes with approved title IV-E plans.

**Beneficiary Eligibility:**

Beneficiaries are children who meet the following requirements: (1) the child has been eligible for title IV-E foster care maintenance payments while residing for at least six consecutive months in the home of the prospective relative guardian; and (2) the State or Tribe has determined that the permanency options of being returned home or adoption are not appropriate for the child; and (3) the child demonstrates a strong attachment to the prospective relative guardian and the prospective guardian is committed to caring permanently for the child; and (4) for children who have attained the age of 14, the child has been consulted regarding the kinship guardianship arrangement. Beneficiaries may also be siblings of eligible children placed in the same kinship guardianship arrangement. FFP is available to States and Tribes for payments made to a relative guardian in accordance with a kinship guardianship agreement that is in writing, negotiated and is binding.

**Credentials/Documentation:**

Costs are to be determined in accordance with OMB Circular No. A-87 and 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. 091-Consultation is available to States and Tribes from ACF Regional Offices.

092-Applications are made in the form of a title IV-E Plan, prepared in the format provided by the ACF Children's Bureau. Title IV-E plans and amendments must be submitted to the ACF Regional Child Welfare Program Manager for approval.

**Award Procedure:**

Quarterly awards are made on the basis of estimated expenditures, which are later revised to include only actual allowable claimed expenditures. Next quarter estimates are due on July 30, October 30, January 30 and April 30 each year. Final decisions and awards are made by the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Health and Human Services (HHS) will approve/disapprove applications (title IV-E plans or amendments to them) within 45 days of receipt by HHS.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Awards remain effective without plan renewal but title IV-E plans may be amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Funding is provided on an open-ended basis in accordance with sec. 474(a) of the Social Security Act.

Formula Grant Funding Level: Federal financial participation (FFP) is equal to

the applicable Federal Medical Assistance Percentage (FMAP) rate (as defined by sec.1905(b) (sec. 479B(d) for Tribes) of the Social Security Act (i.e. from 50% to 83%, depending on the State or Tribe and the fiscal year) and as temporarily enhanced through Section 5001 of Public Law 111-5, the American Recovery and Reinvestment Act of 2009 (ARRA)) for the total expended for kinship guardianship assistance payments; 75% of staff training costs; and 50% of other administrative costs. Short term training provided to kinship guardians is subject to a special FFP rate that varies by fiscal year (60% FFP in FY 2010; 65% for FY 2011, 70% for FY 2012 and 75% for FY 2013 and thereafter).

**Matching Requirements:** The non-Federal share of program costs (difference between total cost and FFP) in each funding category constitutes the required match to be met by the title IV-E agency. Matching funds from State agencies must be appropriated monies raised from non-Federal revenue sources.

Matching funds from Tribal agencies must also be appropriated monies, but may at the option of the Tribe include Federal funds specifically authorized by Federal statutes to be used as match for other Federal programs and, in accordance with 45 CFR 1356.68 for administration and training costs only, in-kind expenditures (or contributions) from allowable third party sources.

**Matching Requirements:** The non-Federal share of program costs (difference between total cost and FFP) in each funding category constitutes the required match to be met by this title IV-E agency. Matching funds from State agencies must be the appropriate monies raised from non-Federal revenue sources.

Matching funds from Tribal agencies must also be appropriated monies, but may at the option of the Tribe include Federal funds specifically authorized by Federal statutes to be used as match for other Federal programs and, in accordance with 45 CFR 1356.68, for administration and training cost only, and in-kind expenditures (or contributions) from allowable third party sources. This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Federal financial participation is available to a State or Tribe operating under an approved title IV-E plan. The title IV-E agency may implement and claim allowable guardianship assistance program costs beginning on the first day of the quarter in which an approvable title IV-E plan amendment is submitted to the Administration for Children and Families (ACF) to implement the guardianship assistance program. See the following for information on how assistance is awarded/released: Method of awarding/releasing assistance: Quarterly, through a letter of credit.

#### **Reports:**

Report on the children assisted. Report of estimates and expenditures. No progress reports are required. Use form CB-496 to report estimates and expenditures; the expenditures report is required 30 days after the end of the quarter; other reports as required by the Secretary. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 92.

#### **Records:**

States and Tribes must maintain all financial and programmatic records necessary for the proper and efficient operation of the program, including records of applications, determinations of eligibility, utilization of awarded grants and other funds for the provision of financial assistance and allocated indirect and direct administrative and training costs in accordance with requirements in Health and Human Services regulations at 45 CFR 92.42, and written guidance from the Administration for Children and Families.

#### **Account Identification:**

75-1545-0-1-609 - ARRA grants: 75-1545-0-1-609.

#### **Obligations:**

(Formula Grants) FY 11 \$375,685; FY 12 est \$80,000,000; and FY 13 est \$90,000,000

#### **Range and Average of Financial Assistance:**

The program became available as an option for States as of October 7, 2008, and for Tribes as of October 1, 2009. Title IV-E agencies began separate financial reporting of program costs for quarters commencing in FY 2011. A number of States also initiated title IV-E guardianship assistance payments during FY 2011. Therefore, meaningful estimates on the range and average of financial assistance are not yet available.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A total of 14 States (including the District of Columbia) received grant awards and reported assisting an average of 2,781 children per month. Fiscal Year 2012: We estimate that 26 States and one Tribe will receive grants. Fiscal Year 2013: We estimate that 30 States and two Tribes will receive grants.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

See program guidance in ACYF-CB-PI-10-01 which can be found at [http://www.acf.hhs.gov/programs/cb/laws\\_policies/policy/pi/2010pi1001.htm](http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2010pi1001.htm). Additional program guidance can be found in ACYF-PI-10-11 at [http://www.acf.hhs.gov/programs/cb/laws\\_policies/policy/pi/2010/pi1011.htm](http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2010/pi1011.htm). Also see the Health and Human Services (HHS) Grants Policy Statement found online at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

#### **Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Child Welfare Program Manager, Administration for Children and Families, HHS, in the appropriate Regional Office. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.)

#### **Headquarters Office:**

Gail Collins 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: [gail.collins@acf.hhs.gov](mailto:gail.collins@acf.hhs.gov) Phone: (202) 205-8552.

#### **Website Address:**

<http://www.acf.hhs.gov/programs/cb>

#### **RELATED PROGRAMS:**

93.599 Chafee Education and Training Vouchers Program (ETV); 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.659 Adoption Assistance; 93.674 Chafee Foster Care Independence Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

#### **93.091 SOCIAL SERVICES AND INCOME MAINTENANCE BENEFITS ENROLLMENT COORDINATION GRANTS**

SSIMB Grants

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

#### **AUTHORIZATION:**

Social Security Act, Section 1110, Public Law 111-117.

#### **OBJECTIVES:**

To provide funds for benefits outreach and enrollment assistance activities awarded competitively to private, nonprofit organizations to support community pilot projects in communities with a high concentration of poverty that could be sustained through other funding sources after an 12-month grant period.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

(1) Grantees receive the discretionary grant to support-on-going facilitated outreach and enrollment assistance to low-income individuals and families to access already existing Federal, State, and local benefit programs. (2) Grantees use award to initiate new benefits enrollment projects especially for the un-served. (3) Project should be sustained through other funding sources after an 12-month grant period.

**Applicant Eligibility:**

The Secretary is authorized to make grants to private-nonprofit organizations with 501(c)(3) or 501(c)(4) status. Foreign entities are not eligible. Faith-based and community organizations are eligible.

**Beneficiary Eligibility:**

Private, nonprofit organizations provide services to low-income individuals and families to support benefits outreach and enrollment assistance activities. While low income populations are the general target population, benefits eligibility for specific Federal, State, and local programs will differ for each program included in the benefits enrollment outreach and assistance pilots.

**Credentials/Documentation:**

Proof of 501 (c)(3) or (4) status is required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis. Announcements concerning the availability of funds along with the application package, including all required forms, will be posted at [www.grants.gov](http://www.grants.gov). Applications to the Office of Community Services for grants under the announcement should be addressed to: OCS Operations Center 1515 Wilson Blvd., Suite 100, Arlington, Virginia 22209. Applicants are urged to inform and coordinate application submissions with State and local governments where such information and coordination is appropriate or necessary for the success of the program. This program is subject to the provisions of Title 45 CFR Part 74 (non-governmental entities). All applications for assistance under this program must contain: (1) SF-424, Application for Federal Assistance; (2) SF-424A, Budget Information; (3) SF-424B, Assurances-Non- Construction Programs; (4) Certificate Regarding Drug Free Workplace Requirements; (5) Certification regarding environmental tobacco smoke; (6) Certification Regarding Debarment, Suspension, and Other Responsibility Matters; and (7) Certification Regarding Lobbying. These must be accompanied by a detailed budget, and a program narrative submitted in accordance with the format detailed in the program announcement.

**Award Procedure:**

Objective review will be made for all grant awards. Selection of applicants will be determined based on the review criteria outlined in the program announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made available for periods of 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

TBD.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$350,000 per grant for 12 month period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marsha Werner, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West, Washington, District of Columbia 20447  
Email: [marsha.werner@acf.hhs.gov](mailto:marsha.werner@acf.hhs.gov) Phone: (202) 401-5281 Fax: (202) 401-5718 .

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each funding opportunity announcement.

**93.092 AFFORDABLE CARE ACT (ACA) PERSONAL RESPONSIBILITY EDUCATION PROGRAM (PREP)****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

The Patient Protection and Affordable Care Act, Title II Role Of Public Programs, Subtitle L, Maternal and Child Health Services , Title V, Section 2953, Public Law 111-148, 42 U.S.C 713(c)(1).

**OBJECTIVES:**

The purpose of this program is to educate adolescents and young adults on both abstinence and contraception for the prevention of pregnancy and sexually transmitted infections, including HIV/AIDS. The Affordable Care Act was established and provided funding for this program through FY 2014.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

To carry out personal responsibility education programs designed to educate adolescents on both abstinence and contraception for the prevention of pregnancy and sexually transmitted infections, including HIV/AIDS. The State program component must fund teen pregnancy prevention and personal responsibility education programs that have been proven on the basis of rigorous scientific research to change behavior, which means delaying sexual activity, increasing condom or contraceptive use for sexually active youth, or

reducing pregnancy among youth. State programs must teach adulthood preparation subjects including healthy relationships, adolescent development, financial literacy, parent-child communication, educational and career success, and healthy life skills. Applicants for innovative program funding should describe the research base for proposed projects, such as the rationale for substantial modifications to evidence-based models and/or developmental research that suggests an innovative model is likely to be effective with a vulnerable or underserved population. The list of evidence-based models developed by the HHS Office of the Assistant Secretary for Planning and Evaluation (ASPE) is published on the OAH website at <http://www.hhs.gov/ash/oah/prevention/research/programs/index.html>. Additionally, the innovative practices component must implement programs to target high-risk, vulnerable, and culturally under-represented youth populations. Such programs must be either significant modifications of the above list of evidence-based models or are based upon other promising approaches with a strong research basis. All programs must agree to participate in a rigorous Federal evaluation of their project. Innovative programs must conduct their own rigorous, independent evaluations unless they are selected for the Federal evaluation. From the \$75,000,000 appropriation, \$10,000,000 (13.3%) is designated for demonstrations of innovative teen pregnancy prevention and personal responsibility education programs; \$3,250,000 (5% of the appropriation after the \$10,000,000 is removed) is set aside for Tribes and Tribal organizations; \$6,500,000 (10% of the appropriation after the \$10,000,000 is removed) is designated for program support and evaluation. The remaining \$55,250,000 (73.7% of the appropriation) is for States to implement evidence-based demonstration projects and is allotted by formula. However, beginning in 2012, funds from States that have not applied for FY10 or FY11 funding may be distributed on a discretionary basis to community-based organizations within those States.

**Applicant Eligibility:**

Funds are allotted to 59 States and Territories to enable them to carry out personal responsibility education programs. Eligible applicants include the 50 United States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Mariana Islands, Micronesia, the Republic of the Marshall Islands, and the Republic of Palau. If any States or Territories do not apply for funding in FY 2010 or 2011, they will no longer be eligible to apply for this program and their allotments will be made available to community-based organizations for the same State or territory.

Funds (\$10,000,000) shall be reserved to award grants to entities to implement innovative youth pregnancy prevention strategies and target services to high-risk, vulnerable, and culturally under-represented youth populations.

Funds shall be reserved for grants to Indian tribes and tribal organizations.

Funds shall be reserved for program support that may be provided directly or through a competitive award process. Program support includes research, training and technical assistance, providing consultation and resources on a broad array of teen pregnancy prevention strategies, and developing materials to support grant activities. Funds shall also be reserved to evaluate programs and activities.

**Beneficiary Eligibility:**

Personal responsibility education programs shall provide services to adolescents and young adults. Applicants are encouraged to serve youth populations that are the most high-risk or vulnerable for pregnancies or otherwise have special circumstances, including youth in and aging of out foster care, homeless youth, youth with HIV/AIDS, pregnant youth who are under 21 years of age, mothers who are under 21 years of age, and youth residing in areas with high birth rates for youth. Applicants must include the most recent pregnancy data for the State for youth ages 10 to 14 and youth ages 15-19, and the most recent birth rates among the same age groups, and trends in those rates for the most recently preceding 5-year period for which data are available.

**Credentials/Documentation:**

A signed letter from the authorized representative must accompany each application; it should include documentation establishing the authorized representatives authority to apply for and administer the Personal Responsibility Education grant program funds on behalf of the State or

Territory.

For other funding available under this CFDA number, non-profit organizations applying for funding are required to submit proof of their non-profit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The PREP program includes formula and competitive grant awards to a range of entities. The OMB circulars that are relevant vary according to the funding opportunity and the kind of organization that will be implementing the grant award.

**Award Procedure:**

For FY 2010 and FY 2011 funds allotted to States and Territories (States), the Administration for Children and Families (ACF) will advise States and Territories of the funding opportunity through a Federal Register notice and/or by a Funding Opportunity Announcement (FOA). Applications were rated Approved, Approved with Conditions, or Approval Pending by Program administrators. Applicants that received an Approved rating received grant awards and did not need to send further information. States that submitted applications that were Approved with Conditions" received grant awards with descriptions of weaknesses and subsequent conditions that were to be met in order to receive Approved status. The States were given a set period to send to a response to ACF that addressed the conditions. States that submitted applications that were rated Approval Pending received a list of weaknesses cited by the reviewer and directions for submitting an amended application that addressed the weaknesses. States and Territories that were awarded FY 2010 and/or FY 2011 funds are to submit a letter of intent in order to receive awards in FY 2012, FY 2013 and FY 2014.

A FOA has been published to award funds to community based organizations in the States and Territories that did not receive FY 2010 and FY 2011 PREP funding. Applications will be reviewed by an Objective Review Committee which will apply the criteria given in the Funding Opportunity Announcement (FOA) in order to derive priority scores. The review will include both expert peer reviewers and Federal staff who will review each application that met the responsiveness and screening criteria. The awards to the eligible applicants are expected to be made by September 30, 2012.

For funds reserved for innovative strategy grants, applications were reviewed on a nationwide basis and in competition with other submitted applications. Eligible applications were reviewed by an Objective Review Committee which applied the criteria given in the Funding Opportunity Announcement (FOA) in order to derive priority scores. The review included both expert peer reviewers and Federal staff who reviewed each application that met the responsiveness and screening criteria. Additionally, the review results formed the basis for development of the programmatic terms and conditions of the cooperative agreement. Applications were provided to the Director of the Office of Adolescent Health and the Commissioner for the Administration on Children, Youth and Families (ACYF) in order by score and rank determined by the review panel. Final award decisions were made collaboratively by the Director of OAH and the Commissioner of ACYF. In making the award decision, the Director and the Commissioner took into account the score and rank order given by the Objective Review Committee, and other considerations given in the FOA.

Funds reserved for grants to Indian tribes and tribal organizations were made in a manner determined by the Secretary, in consultation with Indian tribes and tribal organizations, to be appropriate. In FY 2011, a funding opportunity announcement was issued for the award of the grants. Sixteen applicants were awarded Tribal PREP funding through the discretionary grant review process.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Consult the FOA or contact the headquarters office, as appropriate, for application deadlines.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days.

**Formula and Matching Requirements:**

Statutory Formula: Title V.

Matching Requirements: Cost sharing or matching of non-Federal funds is not required. However, funded programs should build on but not duplicate or replace current Federal programs as well as state, local or community programs, and programs should coordinate with existing programs and resources in the community.

This program has MOE requirements, see funding agency for further details.

This program has an MOE requirement for states and local entities to require that expenditure of non-federal funds for activities, programs or initiatives allowed in this program be no less than such expenditures in FY 09. The intent is to supplement and not supplant the funds expended in FY 09.

**Length and Time Phasing of Assistance:**

Funds allotted to States and Territories for a fiscal year shall remain available for expenditure by the State through the end of the second succeeding fiscal year. If a State or territory does not submit an application for fiscal year 2010 or 2011, they will no longer be eligible to submit an application to receive funds from the amounts allotted to the State for each of fiscal years 2010 through 2014. Those funds shall be used for awarding three year grants to local organizations and entities for the same purpose and in the same geographic region.

Additional information about the availability of funding will be provided in the funding opportunity announcement. Method of awarding/releasing assistance: quarterly.

**Reports:**

Each award recipient will report annual progress. Grantees must submit all required reports in a timely manner and in recommended format (to be provided). The grantees shall submit an annual Financial Status Report (FSR). An FSR is due no later than 90 days after the end of the applicable 12 month period and failure to submit these in a timely manner could affect future funding. The report is an accounting of expenditures under the project that year. There will be data collection, performance measurement, and reporting (e.g., monitoring requirements) for the State and Innovative Practice grantees, as the Secretary determines. However, Federal oversight of the Tribal component may be subject to the outcomes of the Tribal Consultation. The recipient shall submit an annual SF-425 Financial Status Report due no later than 90 days after the end of the applicable 12 month period. The report is an accounting of expenditures under the project that year. More specific information on this reporting requirement will be included in the Notice of Grant Award. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees must comply with the relevant sections of the Code of Federal Regulations and OMB circulars to perform required audits.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Salaries) FY 11 \$71,929,000; FY 12 est \$99,678,423; and FY 13 est

\$75,000,000

**Range and Average of Financial Assistance:**

Each State or Territory shall be allotted at least \$250,000 or an amount determined by a formula using the number of individuals who have attained age 10 but not attained age 20 in the State or Territory to the total number of such individuals in the entire U.S. based on the most recent Census data, whichever is greater. Applicants for which Census data are not available will be eligible for the minimum allocation of \$250,000. The range for State PREP awards to 59 states and territories is \$250,000 to \$5,400,000. The range for the awards to 13 PREP Innovative Strategies grantees is \$400,000 to \$933,907. The range for the awards to 16 Tribal PREP grantees is \$100,000 to \$400,000. The range and average of financial assistance for the Competitive PREP grants and program activities is described in the Funding Opportunity Announcement. The average projected award amount in the Competitive PREP FOA is \$575,000 per budget period based on an expected number of 30 awards. The FOA describes annual award floors and ceilings in each of the 10 eligible jurisdictions..

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: State PREP Awards: \$44,073,273; PREP Innovative Strategies: \$9,348,437; Tribal PREP Awards: \$6,500,000. Fiscal Year 2012: State PREP Awards: \$43,933,959; PREP Innovative Strategies: \$9,348,437; Competitive PREP Awards: Estimated: \$18,652,000; Tribal PREP Awards: Estimated: \$3,250,000. Fiscal Year 2013: State PREP Awards: Estimated: \$44,000,000; PREP Innovative Strategies: Estimated: \$9,348,437; Competitive PREP Awards: Estimated \$18,600,000; Tribal PREP Awards: Estimated \$3,250,000.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

No regulations have been developed at this time. Governing authorities shall be the legislative language and the terms and conditions of the cooperative agreement awards as described in the Request for Application.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marc D. Clark 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: marc.clark@acf.hhs.gov Phone: 202-205-8496 Fax: 202-205-9535

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb/content/programs/top.htm>

**RELATED PROGRAMS:**

93.010 Community-Based Abstinence Education (CBAE) ; 93.235 Abstinence Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funded State programs must replicate evidence-based, effective programs or strategies that substantially incorporate elements of effective programs that have been proven on the basis of rigorous scientific research to change behavior, which means delaying sexual activity, increasing condom or contraceptive use for sexually active youth, or reducing pregnancy among youth. The programs must include activities to educate youth who are sexually active regarding responsible sexual behavior with respect to both abstinence and the use of contraception. Such activities should teach adulthood preparation subjects including healthy relationships, adolescent development, financial literacy, parent-child communication, educational and career success, and healthy life skills. The programs must: be medically-accurate and complete; include activities to educate youth who are sexually active regarding responsible sexual behavior with respect to both abstinence and the use of contraception; place substantial emphasis on both abstinence and contraception for the prevention of pregnancy among youth and sexually transmitted infections; and must provide age-appropriate information and activities. The information and activities carried out under the program must be provided in the cultural context that is most appropriate for individuals in the particular population group to which they are directed.

REQUIREMENTS OF INNOVATIVE STRATEGIES PROJECTS: Proposals

were funded based on how effectively they can develop, replicate, refine, and test innovative strategies for preventing teenage pregnancy. Programs must be medically accurate, age appropriate, and target services to identified vulnerable and at-risk populations. Funded projects are expected to generate lessons learned so others can benefit from these strategies and innovative approaches and increase the capacity of communities to develop, implement, and evaluate interventions for dissemination and replication by others. Funded projects must show that the proposed intervention is: (a) based on some preliminary evidence of effectiveness; (b) a significant adaptation of an evidence-based program; or (c) is a new and innovative approach to teenage pregnancy prevention with a sound basis in research.

**REQUIREMENTS OF TRIBAL PROJECTS:** Criteria for Tribal projects were developed as the Secretary, in consultation with Indian Tribes and Tribal Organizations, deemed appropriate. Tribal PREP funding is directed toward the development of culturally appropriate comprehensive teen pregnancy prevention programs that incorporate medically accurate approaches replicating effective programs or elements of programs that have been demonstrated to change behavior. Tribal PREP focuses on the same fundamental requirements as the State PREP projects—the education of youth on both abstinence and contraception and on other adulthood preparation subjects with the goal of preventing teen pregnancy and sexually transmitted infections (STIs) including HIV/AIDS. Funds support PREP efforts that are dedicated to the development of comprehensive, high quality interventions and services that rely on the best available research evidence to inform and guide practice. Since there are few studies of teen pregnancy prevention programs targeting youth in Tribal communities adaptation and innovation are important. Further, programs that currently serve Native youth have not been rigorously evaluated and may not offer strong models for replication. Tribes and tribal organizations are encouraged, therefore, to adapt evidence-based (EB) models (or elements of EB models) that address the unique cultural needs of their communities. Adaptation must retain core elements of proven effective programs.

**REQUIREMENTS OF COMPETITIVE PREP PROJECTS:** Competitive PREP funds support projects that educate youth between the ages of 10 and 19, and pregnant and parenting youth, under age 21, on abstinence and contraception for teen prevention of pregnancy and sexually transmitted infections (STIs), including HIV/AIDS. Applicants must also provide programming on at least three of six adulthood preparation subjects that will be discussed in the published funding opportunity announcement. Further PREP funding is directed toward the development of comprehensive, teen pregnancy prevention programs that incorporate medically accurate approaches, while replicating evidence-based programs or elements of programs that have been demonstrated to change behavior. FYSB Competitive PREP funding supports efforts that are dedicated to the development of comprehensive culturally appropriate interventions and services that rely on the best available research to inform and guide practice.

### **93.093 AFFORDABLE CARE ACT (ACA) HEALTH PROFESSION OPPORTUNITY GRANTS**

(HPOG)

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

#### **AUTHORIZATION:**

Social Security Act, Title XX, Section 2008, Public Law 111-148, 42 U.S.C 1397.

#### **OBJECTIVES:**

To provide education and training to Temporary Assistance for Needy Families (TANF) recipients and other low-income individuals for occupations in the health care field that pay well and are expected to either experience labor shortages or be in high demand. The Affordable Care Act established the program and will provide funding for it through FY 2014.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

The funds may be used to provide education and training to TANF recipients and other low-income individuals for occupations in the health care field that pay well and are expected to either experience labor shortages or be in high demand. Funds may be used for participant supportive services, including financial aid, child care, and case management. Section 2005(a) (other than paragraph (6)) of the Social Security Act (42 U.S.C 1397d(a)) applies to grants awarded in this program to the same extent and in the same manner as such section applies to payments to States under this Title XX of the Social Security Act (the Social Services Block Grant). The entire \$80,000,000 will be used for discretionary grants.

#### **Applicant Eligibility:**

An eligible applicant is a State, an Indian tribe or tribal organization, an institution of higher education, a local workforce investment board established under section 117 of the Workforce Investment Act of 1998, a sponsor of an apprenticeship program registered under the National Apprenticeship Act or a community-based organization.

#### **Beneficiary Eligibility:**

Eligible individual beneficiaries are individuals receiving assistance under the State TANF program; or other low-income individuals described by the eligible entity in its application for a grant under this section.

#### **Credentials/Documentation:**

Non-profit organizations applying for funding are required to submit proof of their non-profit status. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Applicants must demonstrate that they have consulted with the State agency responsible for administering the State TANF program, the local workforce investment board in the area in which the project is to be conducted (unless the applicant is such board), the State workforce investment board established under section 111 of the Workforce Investment Act of 1998, and the State Apprenticeship Agency recognized under the Act of August 16, 1937 (commonly known as the National Apprenticeship Act) (or if no agency has been recognized in the State, the Office of Apprenticeship of the Department of Labor) and that the project will be carried out in coordination with such entities. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. None.

#### **Award Procedure:**

Grant applications are reviewed and evaluated by objective review panels using the criteria given in the Funding Opportunity Announcement. Each panel is made up of experts with knowledge and experience in the area under review.

#### **Deadlines:**

Jun 21, 2010 to Aug 05, 2010 The program office does not anticipate funding being available for a grant competition in FY 12 and FY 13.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

From 60 to 90 days. Each year following the initial competitive funding, non-competitive continuation applications will be received and processed within 60-90 days.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. None.  
This program does not have MOE requirements. None.

#### **Length and Time Phasing of Assistance:**

The HPOG program uses the project period system of funding. Projects are

programmatically approved for support in their entirety, but are funded in annual increments called budget periods. Through a competitive process HPOG projects were approved for five year project periods. Each new budget period begins September 30. In general, funding for each budget period must be obligated within the budget period. Recipients are required to submit a non-competing continuation application and semi-annual performance progress reports as a prerequisite to approval and funding of each subsequent budget period within the approved project period. Funding for each budget period is contingent on satisfactory progress, the availability of funds, and the continued best interests of the Federal government. See the following for information on how assistance is awarded/released: Funds are drawn down by grantees on a periodic basis, typically each month.

**Reports:**

Grantees must submit semi-annual performance progress reports. Each semi-annual progress report is due no later than 30 days after the end of the reporting period. Grantees must submit an annual Financial Status Report (FSR). An FSR is due no later than 90 days after the end of the applicable 12 month period and failure to submit these timely could affect future funding. The SF 425 FFR will be used to report Financial Status and Cash Transactions. The report is an accounting of expenditures under the project that year. Grantees must submit semi-annual performance progress reports. Each semi-annual progress report is due no later than 30 days after the end of the reporting period. The grantees shall submit an annual Financial Status Report (FSR). An FSR is due no later than 90 days after the end of the applicable 12 month period and failure to submit these timely could affect future funding. The SF 425 FFR will be used to report Financial Status and Cash Transactions. The report is an accounting of expenditures under the project that year. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. This Circular is issued pursuant to the Single Audit Act of 1984, Public Law 98-502, and the Single Audit Act Amendments of 1996, Public Law 104-156. It sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of States, local governments, and non-profit organizations expending Federal awards

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1534-0-1-506.

**Obligations:**

(Salaries) FY 11 \$79,996,573; FY 12 est \$80,000,000; and FY 13 est \$85,000,000 - Actual \$79,196,894 ACA funds obligated in FY 2010. Actual \$79,996,573 ACA funds obligated in FY 2011. Estimated \$80,000,000 ACA funds obligated in FY 2012. Estimated \$85,000,000 ACA funds obligated in FY 2013. Estimated \$85,000,000 ACA funds obligated in FY 2014.

\$85 million is appropriated for this program. In FYs 10-12, \$5 million was delegated to HRSA for the Training and Certification Program. Therefore, HPOG only obligates up to \$80 million for those years. In FYs 13-14, HPOG will obligate up to \$85 million.

**Range and Average of Financial Assistance:**

The range is \$1,000,000 - \$5,000,000. The grant average is \$2,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, 32 grants were awarded. Fiscal Year 2012: In FY 12, it is anticipated that 32 non-competing continuation grants will be awarded. Fiscal Year 2013: In FY 2013, it is anticipated that 32 non-competing continuation grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the Funding Opportunity Announcement and the HHS Grants Policy Statement. The HHS Grants Policy Statement can be found at: <http://www.hhs.gov/asrt/og/aboutog/grantsnet.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Stanley Koutstaal 370 L'Enfant Promenade, SW  
Aerospace Building, 5th Floor East, Washington, District of Columbia 20447  
Email: stanley.koutstaal@acf.hhs.gov Phone: 202-401-5457 Fax: 202-205-5887

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/healthprof/health-index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.103 FOOD AND DRUG ADMINISTRATION RESEARCH**

General Grant Funding Program 93.103

**FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

**AUTHORIZATION:**

2012 Defense Authorization Act (P.L.112-81), Public Law 112-81; Radiation Control for health Safety Act of 1968, Title XVII, Public Law 90-602, 42 U.S.C 300u; Public Health Service Act as amended, Title III, Section 301(c), Public Law 78-410, 42 U.S.C 241 and 263; Pediatric Medical Device Safety and Improvement Act of 2007, Section 305.

**OBJECTIVES:**

To assist institutions and organizations, to establish, expand, and improve research, demonstration, education and information dissemination activities; acquired immunodeficiency syndrome (AIDS), biologics, blood and blood products, therapeutics, vaccines and allergenic projects; drug hazards, human and veterinary drugs, clinical trials on drugs and devices for orphan products development; nutrition, sanitation and microbiological hazards; medical devices and diagnostic products, radiation emitting devices and materials; food safety and food additives. These programs are supported directly or indirectly by the following Centers and Offices: Center for Biologics Evaluation and Research (CBER); Center for Drug Evaluation and Research (CDER); Center for Devices and Radiological Health (CDRH); Center for Veterinary Medicine (CVM), Center for Food Safety and Applied Nutrition (CFSAN), National Center for Toxicological Research (NCTR), the Office of Orphan Products Development (OPD), the Center for Tobacco Products (CTP), and Office of Regulatory Affairs (ORA), and the Office of the Commissioner (OC). Small Business Innovation Research (SBIR) Programs: to stimulate technological innovation; to encourage the role of small business to meet Federal research and development needs; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation by minority and disadvantaged persons in technological innovation. Funding support for scientific conferences that are relevant to the FDA scientific mission and public health are also available.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants; Project Grants (for specified projects)

**USES AND USE RESTRICTIONS:**

Research grants are awarded to eligible institutions in the name of a principal investigator for a discrete project representing the investigator's interest and competence and are responsive to programmatic requirements as stated in the Funding Opportunity Announcement (FOA). Funds are to be used for costs as identified in the FOA and as directly allocable, necessary and reasonable to carry out the proposed research aims and objectives. Small Business Innovation Research (SBIR) Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants for this program are for the



competitive continuation of the research initiated in Phase I, and are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Conference grants provide partial support for domestic scientific conferences related to the FDA mission. As stated in the Funding Opportunity Announcement and Terms and Conditions of award.

**Applicant Eligibility:**

The grants are available to domestic, and may be available to foreign, public or private, for-profit or non-profit entity (including State and local units of government). Federal agencies that are not part of HHS may apply. Organizations that engage in lobbying activities, as described in section 501 (c) (4) of the Internal Revenue Code of 1968, are not eligible. Nonprofit with 501(c)(3) IRS Status (other than Institution of Higher Education); Non-domestic (non-U.S.) entity; Small Business; For-Profit Organization (other than Small Business); State Government; Regional Organization; U.S. Territory or Possession; Indian/Native American Tribal Government (Federal recognized and other than Federally recognized); Indian/Native American Tribally Designated Organization; Faith-based or community based organizations.

**Beneficiary Eligibility:**

Other eligible institutions include Private/Public and State Controlled institutions of higher education including Hispanic serving Institutions; Historically Black Colleges and Universities (HBCUs); Tribally Controlled Colleges and Universities (TCCUs); Alaska Native and Native Hawaiian Serving Institutions;.

**Credentials/Documentation:**

All grant applications must present a research or project specific plan and provide evidence of scientific competence, experimental methods and programmatic relevance, and have access to necessary the facility and resources to accomplish the proposed aims and objectives. Phase I Small Business Innovation Research applications should be an idea or concept with commercial potential; and Phase II applications should provide evidence that commercialization of the research results are plausible; for-profit organizations' with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations (FAR); OMB Circular No. A-21 for educational institutions, 45 CFR 74 Appendix E for Hospitals; OMB Circular No. A-122 for nonprofit organizations and large non-profit organizations listed in Attachment C of OMB circular A-122 are subject to Federal Acquisition Regulation (FAR) 48 CFR Subpart 31.2 (A subawardee would be subject to the cost principles applicable to its type of organization). Applicants should review the individual funding opportunity announcement issued under this CFDA program for any required proof of certification which must be submitted prior to or simultaneous with submission of an application. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application forms referenced in the Funding Opportunity Announcement (FOA) and as required by 45 CFR 72 must be used for this program. The FOA may be published in the NIH Guide or Federal Register. All applications submitted for new, competing continuations or competing supplemental grants must complete the required applications forms through Grants.gov at <http://www.grants.gov>

**Award Procedure:**

Accepted research and non-research grant applications are subject to a dual review process (initial Ad Hoc Review for scientific and technical merit and a second level review by a National Advisory Council or Board) as appropriate and relevant. All approved applications compete for available funds on the basis of scientific merit and programmatic relevance.

Applications accepted under the Radiation Control for Health Safety Act of 1968, Public Law 90-602 and Small Scientific Conference grants, and the Office of Regulatory Affairs programs are evaluated under objective review procedures and not subjected to a second level review by a National Advisory Council or Board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 6 to 9 months for research grant applications. SBIR applications: Approximately 6 to 9 months. Conference applications: Approximately 6 to 9 months.

**Appeals:**

From 15 to 30 days.

**Renewals:**

From 90 to 120 days. Renewals (competing continuation applications) are permitted as indicated in the published Funding Opportunity announcements.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the projects, program relevance and the availability of funds. For those projects with an expected duration of more than 1 year, future recommended support for up to 5 years will depend on (1) performance during the proceeding year and (2) availability of Federal funds.

Small Business Innovation Research Phase I awards are generally for 6 months; Phase II awards are generally for 2 years.

Additional program time frames are stated in the Funding Opportunity Announcements. See the following for information on how assistance is awarded/released: Domestic and some foreign payments are made through the DHHS Payment Management System (PMS).

**Reports:**

As noted in the Funding Opportunity Announcement and the Terms and Conditions of award. Cash reports are not applicable. As noted in the Funding Opportunity Announcement and the Terms and Conditions of award. As noted in the Funding Opportunity Announcement and the Terms and Conditions of award. Reporting requirements are as noted in the FOA and in the Terms and Conditions of Award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Non-Federal entities that expend \$500,000 for fiscal years ending after December 31, 2003 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions in the most recently revised Circular A133.

**Records:**

Progress reports, financial and programmatic records, supporting documents, statistical records and all other records that are required by the terms and conditions of the grant or may be considered pertinent to a grant expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the required final financial reports for the project period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Project Grants) FY 11 \$63,248,910; FY 12 est \$88,152,024; and FY 13 est \$92,031,527

**Range and Average of Financial Assistance:**

Varies by grant mechanism and program specific requirements.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52 - Grants for Research Project; 45 CFR Part 46 - Protection of Human Subjects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement, (Most recent revision) available at <http://dhhs.gov/asfr/ogapa/aboutog/grantsnet.html> and the Public Health Omnibus Solicitation for Small Business Innovation Research Grant applications.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Michelle Hawley Division of Acquisition Support and Grants, Office of Acquisition and Grant Services, Food and Drug Administration, Department of Health and Human Services, HFA-500, Room 2111, 5600 Fishers Lane, Rockville, Maryland 20857 Email: [Michelle.Hawley@fda.hhs.gov](mailto:Michelle.Hawley@fda.hhs.gov) Phone: (301) 827-1991 Fax: (301) 827-7101

**Website Address:**

<http://www.fda.gov>.

**RELATED PROGRAMS:**

93.058 Tobacco Regulation Awareness, Communication, and Education Program; 93.448 Food Safety and Security Monitoring Project; 93.449 Ruminant Feed Ban Support Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include the assessment of: (1) scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy and suitability of the available facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance to programmatic objectives as noted in the FOAs. For Small Business Innovation Research applications, the major elements in evaluating Phase I grant applications include the assessment of: (1) The technical merit of the proposed research; (2) the soundness of the proposed design and methods; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the potential of the proposed research for technological innovation and commercial application; (5) the appropriateness of the budget requested; and (6) the adequacy and suitability of the facilities and research environment. In review of Phase II applications, criteria include those listed above, in addition to the following: (1) the degree in which Phase I objectives were met and the feasibility demonstrated; and (2) the adequacy of the Phase II objectives and methodology for addressing the proposed research. For conference programs, the support of scientific meetings is contingent on programmatic interests and priorities of the individual centers and programs.

**93.104 COMPREHENSIVE COMMUNITY MENTAL HEALTH SERVICES FOR CHILDREN WITH SERIOUS EMOTIONAL DISTURBANCES (SED)**

(CMHS Child Mental Health Service Initiative)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Services Act, Title V, Part E, Section 561, Public Law 102-321, 42 U.S.C.

**OBJECTIVES:**

To provide community-based systems of care for children and adolescents with a serious emotional disturbance and their families. The program will ensure that services are provided collaboratively across child-serving systems; that each child or adolescent served through the program receives an individualized service plan developed with the participation of the family (and, where appropriate, the child); that each individualized plan designates a case manager to assist the child and family; and that funding is provided for mental health services required to meet the needs of youngsters in these systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for salaries, wages and fringe benefits of professional and support staff; travel directly related to carrying out service activities; supplies, communications, and rental of equipment and space; training specifically aimed at one of the following: the development of individualized service plans; the provision of therapeutic foster care, group home care; intensive home-based services, or intensive day treatment services; administration of the system; and appropriate continuing education of two days or less; contracts for performance of activities under the approved project; and other such items necessary to support project activities. Grant funds and required matching funds may not be used for: other required services; to purchase or improve real estate property; provide residential care and/or services in residential treatment centers serving more than 10 children in inpatient hospital settings; any training activities with the exception of those mentioned above; and non-mental health services including mental health medical services, educational services, vocational counseling and rehabilitation, and protection and advocacy. 100% of funds are set aside for discretionary activities.

**Applicant Eligibility:**

States, political subdivisions of a State, such as county or local governments, and Federally Recognized Indian Tribal governments.

**Beneficiary Eligibility:**

Children under age 22 with a diagnosed serious emotional disturbance, serious behavioral disorder, or serious mental disorder.

**Credentials/Documentation:**

In order for an entity to be eligible it must provide the following credentials or documentation along with an application for assistance: (1) Documentation that the State mental health agency of the applicant receives funds from the Center for Mental Health Services Community Mental Health Services Block Grant; (2) documentation that the applicant entity is qualified to deliver services under the State Medicaid Plan and has an agreement to do so, either directly or through a service provider organization; (3) documentation that the State has an approved plan for the development of a system of care for community-based services for children with a serious emotional disturbance approved by the Secretary of the U.S. Department of Health and Human Services. For the purpose of this program, an approved State Mental Health Plan for children and adolescents with serious emotional disturbance submitted in accordance with the requirements of Section 1912 of the Public Health Service Act, will be accepted as such a plan; and (4) matching requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard application forms, as Application for Federal Assistance SF-424 and required by 45 CFR Part 92 for State and local governments, must be used by applicants. Grant application kits may be obtained from: Knowledge Exchange Network (KEN) at 1 (800) 789-2647.

**Award Procedure:**

Applications submitted are reviewed in a two- tiered peer review process. Grants in support of projects recommended for approval by the initial review group and the Center for Mental Health Services Advisory Council are awarded directly to the applicant organization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 100.%.

This program has MOE requirements, see funding agency for further details. A requirement contained in certain legislation, regulations, or administrative policies that a recipient must maintain a specified level of financial effort in the health area for which Federal funds will be provided in order to receive Federal grant funds. This requirement is usually given in terms of a previous base-year dollar amount.

**Length and Time Phasing of Assistance:**

Project will be funded for up to 6 years. Payments will be made under an Electronic Transfer System. See the following for information on how assistance is awarded/released: SAMHSA, awards grants projects for the twelve months budget period release and release at the time award is issued.

**Reports:**

CMHI and CH requires quarterly program reports. No cash reports are required. CMHI and CH requires quarterly program reports. The SF-425 Federal Financial Report is required by SAMHSA, Grants Management Office 120 days after the end of each 12 month period. SAMHSA, monitors the grants programs through monthly conference calls, site visits, continuation application and quarterly progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year record retention requirement: records shall be retained beyond the 3-year period if the final audit has not been done or findings resolved.

**Account Identification:**

75-1363-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$85,262,367; FY 12 est \$62,455,503; and FY 13 est \$44,703,803

**Range and Average of Financial Assistance:**

\$376,096 to \$2,000,000; \$1,329,454.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 67 awards were made. Fiscal Year 2012: it is estimated to fund 38 awards. Fiscal Year 2013: it is estimated 37 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92. Guidelines are provided along with instructions in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Revised April 1, 1994).

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

http://www.samhsa.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following review criteria will be used in evaluating proposals: (1) Potential significance of the proposed project; (2) appropriateness of goals and objectives; (3) adequacy and appropriateness of the proposed approach and activities; (4) evidence of the State's readiness and commitment to the proposed project; (5) commitment to family participation in system development and care of their children and adolescents; (6) degree of cultural competence demonstrated; (7) capability and experience of project director, consultants, and other key staff; (8) adequacy of available resources; (9) reasonableness of the proposed budget; (10) cooperation in the evaluation activities; and (11) evidence of activities directed at developing continues funding support. Award criteria include: (1) quality of proposed project as determined by the review process; (2) geographical distribution; and (3) availability of funds.

**93.107 AREA HEALTH EDUCATION CENTERS POINT OF SERVICE MAINTENANCE AND ENHANCEMENT AWARDS**

AHEC-POSME

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Sec. 751 of the Public Health Service Act (42 U.S.C. 294a), as amended by Sec. 5403 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The Patient Protection and Affordable Care Act, Public Law 111-148, amended the PHS Act, Section 751, Area Health Education Centers. The required program activities in the amended legislation embrace the following goals to: (1) educate and train students to become culturally competent primary care health professionals who will provide healthcare in underserved areas and to health disparity populations; (2) increase the number and variety of primary care health professionals who provide care to underserved populations in Health Professional Shortage Areas (HPSAs) and other medically underserved areas; and (3) recruit into health careers individuals from underrepresented minority populations or from disadvantaged or rural backgrounds. The Area Health Education Centers (AHEC) Point of Service Maintenance and Enhancement awards consist of cooperative agreements with accredited schools of medicine and nursing to maintain and improve the effectiveness and the capabilities of an existing AHEC program, and make other modifications to the program that are appropriate due to changes in demographics and needs of populations served. The AHEC awardees link the academic resources of medical schools and participating health professions schools with local educational and clinical sites, and thereby establish a network of primary care oriented community-based training sites to provide educational services to health professions students, faculty-preceptors and health care providers in underserved areas, and ultimately to improve the delivery of health care in an underserved region or in an entire state. Grantees shall allocate not less than 75 percent of the award to area health education centers to coordinate community-based training and interdisciplinary/interprofessional training in underserved areas and for health disparity populations. AHEC health careers recruitment activities shall be coordinated, where practicable, with Department of Labor workforce investment boards, and shall include an emphasis on careers in public health. Interdisciplinary/interprofessional training shall involve physicians, physician assistants, nurse practitioners, nurse midwives, dentists, psychologists, pharmacists, optometrists, community health workers, public health and allied

health professionals, as practicable.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used to recruit individuals from underrepresented, disadvantaged, or rural backgrounds into the health professions; establish and maintain community-based placements or preceptorships with an emphasis on primary care; conduct interdisciplinary/interprofessional training involving an array of health professionals; deliver or facilitate continuing education; propose and implement outcomes measurement and evaluation strategies. Not less than 75 percent of the total amount provided to an Area Health Education Centers (AHEC) program under subsection 751(a) (2) shall be allocated to the area health education centers participating in the program. The aggregate amount of awards to schools in the State for the fiscal year under Point of Service Maintenance and Enhancement AHEC authority shall be not less than \$250,000 annually per area health education center, including program office funds. If amounts appropriated to carry out Section 751 are not sufficient to comply with the amount stated in the preceding sentence, the Secretary may reduce the per center amount as necessary.

**Applicant Eligibility:**

An entity eligible to apply for AHEC Point of Service Maintenance and Enhancement awards under section 751 (a) (2) means an entity has received funds under this section (751), is operating an area health education center program, including an area health education center or centers, and has a center or centers that are no longer eligible to receive financial assistance under subsection (a)(1). Eligible entities are accredited public or nonprofit schools of allopathic medicine or osteopathic medicine, the parent institution on behalf of such schools, and accredited schools of nursing, which have received funds under section 751 to operate an AHEC program.

**Beneficiary Eligibility:**

Beneficiaries include a full range of trainees: high school students from underrepresented minority populations or from disadvantaged or rural backgrounds, health professions students, faculty and practitioners.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. When making final funding decisions regarding Section 751 awards, consideration will be given to the Sense of the Congress that there be an area health education center program in each state.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

3 to 4 months after the review of the application.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. With respect to the costs of operating a program through a grant under section 751, to be eligible for assistance under section 751, an entity shall make available (directly or through contributions from State, county or municipal governments or the private sector) recurring nonfederal contributions in cash or in kind toward such costs in an amount that is equal to not less than 50 percent of such costs. At least 25 percent of the total required non-Federal contributions shall be in cash.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are available for expenditure during the appropriate budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$21,849,451; FY 12 est \$19,383,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2011 \$100,129 to \$1,201,548; Average Award: \$445,907.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 60 AHEC Program grantees and their 253 affiliated Area Health Education Centers (AHECs) provided health professions training in 48 States, the District of Columbia, and the territories of Guam, Palau, and Puerto Rico. Grantees of the AHEC and the Health Careers Opportunities (HCOP) programs, with legislative mandates to provide high school health career recruitment activities, have established collaborations to improve efficiencies. In addition, through cooperative efforts between SAMHSA and HRSA/BHPr, the AHEC program established a new initiative to address the post-deployment mental and behavioral health and substance abuse issues of veterans and their families. This initiative involves training 200 AHEC program and center staff to expand the participating AHEC programs and centers capacity to provide training on Post-Traumatic Stress Disorders (PTSD), Traumatic Brain Injury (TBI) and other related areas (i.e., preventing prescription medication misuse, military sexual trauma). The participating AHEC programs and centers will provide or facilitate continuing education programs to 10,000 health care providers in the 10 HRSA regions on PTSD and TBI along with other mental and behavioral health issue topics affecting veterans and their families. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Louis D. Coccodrilli, Chief, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9C-05, 5600 Fishers Lane, Rockville, MD 20857. Phone (301)443-6950 and E-mail at [lcoccodrilli@hrsa.gov](mailto:lcoccodrilli@hrsa.gov).

Meseret Bezuneh, Project Officer, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9C-05, 5600 Fishers Lane, Rockville, MD 20857, Phone (301) 443-6950, and E-mail at [mbezuneh@hrsa.gov](mailto:mbezuneh@hrsa.gov).

Michelle Menser, Project Officer, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9C-05, 5600 Fishers Lane, Rockville, MD 20857, Phone (301) 443-6950, and E-mail at [mmenser@hrsa.gov](mailto:mmenser@hrsa.gov).

**Headquarters Office:**

Louis D. Coccodrilli, 5600 Fishers Lane, Room 9C-05, Rockville, Maryland 20857 Email: [lcoccodrilli@hrsa.gov](mailto:lcoccodrilli@hrsa.gov) Phone: (301) 443-6950.

**Website Address:**

<http://bhpr.hrsa.gov/grants/areahealtheducationcenters/index.html>

**RELATED PROGRAMS:**

93.824 Basic/Core Area Health Education Centers

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

NEED - Involves the extent to which the application describes the problem(s) to be addressed and the target population(s) and geographic area(s) to be served by the AHEC(s).

RESPONSE - Involves the degree to which the proposal responds to AHEC legislative and programmatic requirements.

EVALUATE MEASURES - The adequacy of the evaluation strategies to monitor and evaluate project results.

IMPACT- Involves the extent and effectiveness of meeting the primary care workforce needs of the population and geography/region identified for AHEC services and programs, and potential for replication of project activities. Involves the extent to which the project demonstrates past performance success.

RESOURCES/CAPABILITIES - The extent to which personnel are qualified by training and/or experience to implement and carry out the proposal. The capabilities of the applicant organization and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project will be reviewed.

SUPPORT REQUESTED - Involves the reasonableness of the proposed budget and resources in relation to the objectives, scope of the project, complexity of activities, and anticipated results.

See most recent funding opportunity announcement at [www.grants.gov](http://www.grants.gov) for detailed selection criteria.

**93.110 MATERNAL AND CHILD HEALTH FEDERAL CONSOLIDATED PROGRAMS**

Special Projects of Regional and National Significance (SPRANS), including the Community Integrated Service Systems (CISS); Public Health Service Act - Section 399BB Programs under the Combating Autism Act of 2006; The Heritable Disorders Program and the Congenital Conditions Program.

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 502(a)(1) and (b)(1), as amended; 42 U.S.C. 702.; Section 399BB of the Public Health service Act; Section 1109, 1111 and 1112 of the Public Health Service Act and Section 399T of the Public Health Service Act.

**OBJECTIVES:**

To carry out special maternal and child health (MCH) projects of regional and national significance; to conduct training and research; to conduct genetic disease testing, counseling, and information development and dissemination programs; for grants relating to hemophilia without regard to age; and for the screening of newborns for sickle cell anemia, and other genetic disorders. and to support comprehensive hemophilia diagnostic and treatment centers. These grants are funded with a set-aside from the MCH Block grant program. SPRANS grants are funded with 15 percent of the Block Grant appropriation of up to \$600 million. When the appropriation exceeds \$600 million, 12.75 percent of the amount over \$600 million is set aside for the Community Integrated Service Systems grants. 15 percent of the balance remaining over \$600 million is also for SPRANS. The CISS program is to develop and expand the following: (1) Home visitation; (2) increased participation of obstetricians and pediatricians; (3) integrated service delivery systems; (4) maternal and child health centers for women and infants, under the direction of a not-for-profit hospital; (5) services for rural populations; and (6) community-based services for children with special health care needs in order to enhance or develop an integrated services system. In FY 2008 Congress first funded the Combating Autism Act program, which is for early detection, education and intervention activities on autism and other developmental disorders.

First funded in 2004, the Heritable Disorders Program is established to improve the ability of States to provide newborn and child screening for heritable disorders and affect the lives of all of the nations infants and children. Newborn and child screening occur at intervals across the life span of every child. Newborn screening universally provides early identification and follow-up for treatment of infants affected by certain genetic, metabolic, hormonal and/or functional conditions. It is expected that newborn and child screening will expand as the capacity to screen for genetic and congenital conditions expands.

First funded in 2009, the Congenital Conditions program is established to provide information and support services to women and their families that have received a diagnosis for Down Syndrome, Spina Bifida, Dwarfism and other prenatally or postnatally diagnosed conditions.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Training grants are made to institutions of higher learning for training personnel for health care and related services for mothers and children. Research grants are for the purpose of research activities which show promise of a substantial contribution to the advancement of maternal and child health services. Genetic grants are for genetic disease testing, counseling and information development and dissemination. Hemophilia grants are for the support of centers which provide hemophilia diagnostic and treatment services. Other special project grants are designed to support activities of a demonstration nature which are designed to improve services for mothers and children.

**Applicant Eligibility:**

Training grants may be made to public or private nonprofit institutions of higher learning. Research grants may be made to public or private nonprofit institutions of higher learning and public or private nonprofit private agencies and organizations engaged in research or in Maternal and Child Health (MCH) or Children with Special Health Care Needs (CSHCN) programs. Any public or private entity is eligible for hemophilia and genetics grants and other special project grants, including CISS. Eligible entities for the Heritable Disorders Program include a State or a political subdivision of a State; a consortium of 2 or more States of political subdivisions of States; a territory; a health facility or program operated by or pursuant to a contract with or grant from the Indian Health Service; or any other entity with appropriate expertise in newborn screening, as determined by the Secretary. Eligible entities for the Congenital Disorder Program include States or political subdivision of a State; a consortium of 2 or more States of political subdivisions of States; a territory; a health facility or program operated by or pursuant to a contract with or grant from the Indian Health Services, and or non-governmental organizations with expertise in prenatally and postnatally diagnosed conditions.

**Beneficiary Eligibility:**

For training grants: (1) Trainees in the health professions related to MCH; and (2) mothers and children who receive services through training programs. For research grants: public or private nonprofit agencies and organizations engaged in research in MCH or CSHCN programs. For hemophilia, sickle cell, thalassemia or genetics, and other special projects: (1) Public or private agencies, organizations and institutions; and (2) mothers and children, and persons with hemophilia (any age), who receive services through the programs. For the Congenital Disorders program: (1) parents who receive a positive diagnosis prenatally, at birth, or up to 1 year after the affected child's birth; (2) healthcare providers who provide, interpret, and inform parents of the results of positive test diagnosis for congenital conditions; (3) national and local peer-support programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 35%. Please refer to funding opportunity announcement. Opportunities may include Matching Requirements of: 35%. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, annual program service reports, and special reports as required. Annual Federal Financial Report. Quarterly Federal Financial Report Cash Transaction Report. Refer to the funding opportunity announcement for further information. Refer to the funding opportunity announcement for further information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0354-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$129,006,494; FY 12 est \$113,882,967; and FY 13 est \$113,883,000

**Range and Average of Financial Assistance:**

\$15,000 to \$3,997,824; \$254,731.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as

applicable. 42 CFR Part 51a Project Grants for Maternal Child and Health.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Associate Administrator for Maternal and Child Health, Health Resources and Services Administration, Department of Health and Human Services, Room 18-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2170.

**Headquarters Office:**

Associate Administrator for Maternal and Child Health, 5600 Fishers Lane, Room 18-05, Rockville, Maryland 20857 Phone: (301) 443-2170.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

93.234 Traumatic Brain Injury State Demonstration Grant Program; 93.251 Universal Newborn Hearing Screening; 93.365 Sickle Cell Treatment Demonstration Program; 93.926 Healthy Start Initiative; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the program guidance materials provided with application kits. Contact Central Office for details.

**93.113 ENVIRONMENTAL HEALTH**

National Institute of Environmental Health Sciences

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 401, 437, 463 and 487, Public Laws 78-410 and 99-158, as amended, 42 U.S.C. 241, and 42 U.S.C. 288, as amended, SBIR and STTR Reauthorization Act of 2011, Public Law 112-81.

**OBJECTIVES:**

To foster understanding of human health effects of exposure to environmental agents in the hope that these studies will lead to: the identification of agents that pose a hazard and threat of disease, disorders and defects in humans; the development of effective public health or disease prevention strategies; the overall improvement of human health effects due to environmental agents; the development of products and technologies designed to better study or ameliorate the effects of environmental agents; and the successful training of research scientists in all areas of environmental health research. Supported grant programs focus on the following areas: (1) Understanding biological responses to environmental agents by determining how chemical and physical agents cause pathological changes in molecules, cells, tissues, and organs, and become manifested as respiratory disease, neurological, behavioral and developmental abnormalities, cancer, and other disorders; (2) Determining the mechanisms of toxicity of ubiquitous agents like metals, natural and synthetic chemicals, pesticides, and materials such as nanoparticles, and natural toxic substances, and their effects of on various human organ systems, on metabolism, on the endocrine and immune systems, and on other biological functions; (3) Developing and integrating scientific knowledge about potentially toxic and hazardous chemicals by concentrating on toxicological research, testing, test development, validation and risk estimation; (4) Identifying interactions between environmental stressors and genetic susceptibility and understanding biologic mechanisms underlying these interactions, including the study of environmental influences on epigenomics and transcriptional regulation; (5) Conducting environmental public health research, including in areas of environmental justice and health disparities, that requires communities as active participants in all stages of research, dissemination, and evaluation to advance both the science and the development of practical materials for use in communities, with a focus on translating

research findings into tools, materials, and resources that can be used to prevent, reduce, or eliminate adverse health outcomes caused by environmental exposures; (6) Expanding and improving the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (7) Expanding and improving the STTR program to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (8) Providing support for broadly based multi-disciplinary research and training programs in environmental health. These programs include the Environmental Health Sciences Core Centers, which serve as national focal points and resources for research and manpower development. The Centers for Neurodegenerative Science addresses the need for integrated research efforts involving basic and clinical scientists in a quest to discover the causes of and possible treatments for neurodegenerative diseases. The Breast Cancer and the Environment Research Program (co-funded with NCI) studies the impact of prenatal-to-adult environmental exposures that may predispose a woman to breast cancer. A special emphasis is on the impact of environmental factors on a girls pubertal development, a known risk factor for breast cancer. Through these programs, NIEHS expects to achieve the long range goal of developing new clinical and public health applications to improve disease prevention, diagnosis, and therapy. Additional Centers programs developed in recent years, include the Centers for Oceans and Human Health (co-funded with NSF), Children's Environmental Health Centers (co-funded with US EPA) and the Autism Centers of Excellence (co-funded with other NIH Institutes) and the ; (9) Supporting research training programs which serve to increase the pool of trained research manpower with needed expertise in the Environmental Health Sciences through support of Individual and Institutional National Research Service Awards (NRSAs); (10) The Outstanding New Environmental Scientist Program which provides first time research grant funding to outstanding junior scientists in the formative stages of their career who are proposing to make a long term commitment to environmental health sciences research and to address the adverse effects on environmental exposures on human biology, human pathophysiology and human disease.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Research Grants and Cooperative Agreements are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I, scientific and technical merit, and commercial potential of the Phase II application. A number of Career Development awards are supported. The Independent Scientist Award provides up to five years of salary support for newly independent scientists who have recently obtained independent research funding, generally an R01 research grant from NIEHS. The award is intended to allow the candidate protected time to focus on the further development of the independent research career and does not include additional research support. The Mentored Clinical Research Career Development Award provides three to five years of salary support for investigators with clinical degrees (e.g., M.D., D.V.M.). The Transition to Independent Environmental Health Research (TIEHR) Career Development Award provides three years of support for candidates who are within three years of their first independent faculty

appointment and who have not yet obtained significant research grant funding (an R01 or equivalent). The award includes salary support and pilot funding. The Mentored Patient-Oriented Research Career Development Award provides up to five years of support for clinically trained investigators who make a commitment to focus on patient-oriented research. The MidCareer Investigator Award in Patient-Oriented Research provides up to five years of support to outstanding clinical scientists who are actively engaged in patient-oriented research and who are within 15 years of their specialty training. The Mentored Quantitative Research Development Award provides up to five years of support for junior faculty with quantitative scientific and engineering backgrounds outside of biology or medicine that are transitioning to behavioral or biomedical research. The NIH Pathway to Independence Award is divided into two phases. The initial award (K99) provides up to two years of mentored, postdoctoral support. The second phase (R00) provides up to three years of independent research support, when the awardee accepts a full-time tenure track, or equivalent, faculty position. All of these Career Development awards provide salary consistent with the level of effort devoted to the research career development activities, plus fringe benefits, an allowance for career development activities and 8 percent fiscal and administrative costs. All Career Development Awards, with the exception of the NIH Pathway to Independence Award, have a US citizenship requirement. Details of specific restrictions for the Career Development Awards can be found at <http://www.niehs.nih.gov/careers/research/trainingfrom/career/index.cfm>. NIEHS Core Center grants (P30) are primarily intended to provide infrastructure support and the support of core research facilities. In addition, an appropriate facilities and administrative cost is provided as determined by negotiated agreement with the grantee's cognizant government organization. National Research Service Awards (NRSA): Individual predoctoral and postdoctoral training awards are made for the support of fellows who engage in research training in environmental toxicology, environmental pathology, environmental mutagenesis, or environmental epidemiology/biostatistics. In addition to individual training awards, institutional training grants (T32) are made to institutions to enable institutions to make awards to individuals selected by them, for both predoctoral and postdoctoral research training in the aforementioned areas. Each individual who receives a postdoctoral NRSA, either through an institutional or individual training award mechanism, is obligated upon termination of the award to comply with certain service and payback provisions.

**Applicant Eligibility:**

Research Grants, Cooperative Agreements, Science Education Grants, SBIR Grants, Independent Scientist Awards, Mentored Research Scientist Development Award, Mentored Clinical Scientist Development Award, and the Academic Career Awards: A university, college, hospital, State, local or tribal governments, nonprofit research institution, or for-profit organization may submit an application and receive a grant for support of research by a named principal investigator. Candidates for Academic Career Awards and Midcareer Investigator Awards in Patient Oriented Research must have a doctoral degree and peer-reviewed, independent, research support at the time the award is made. Candidates for Mentored Clinical Scientist Development Awards and Mentored Patient Oriented Research Career Development Awards must have a clinical degree or its equivalent and must have initiated post graduate clinical training. Candidates holding a Ph.D. degree are ineligible. Candidates who have served as principal investigators on PHS-supported research projects are ineligible. A candidate for Academic Career Awards must have a clinical or research doctorate degree. Those eligible for the Development Award must be able to devote at least 75 percent effort. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In

both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Centers: A university-based, nonprofit research institution, or for-profit organization proposing an integrated research program established to accomplish a stated mission, covering activities ranging from very basic research to the actual application of research results in the prevention and control of environmental health problems, may submit an application under the direction of a named Center Director. National Research Service Awards: (1) Nonprofit domestic organizations may apply for the Institutional NRSA; (2) Individual NRSA awardees must be nominated and sponsored by a public for-profit or nonprofit private institution having staff and facilities appropriate to the proposed research training program; (3) all awardees must be citizens or have been admitted to the United States for permanent residence; (4) to be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree).

**Beneficiary Eligibility:**

For Research Grants: Any nonprofit or for-profit organization, company, or institution engaged in biomedical research. For Centers and Training Grants: University-based nonprofit institutions; for-profit organizations conducting research; and individuals nominated by a private institution conducting research.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms and instructions for their submission are available at <http://grants.nih.gov/grants/forms.htm>. Applicants are encouraged and in some cases required to consult with NIEHS Program Officials prior to submission of an application. Detailed information about NIEHS grant programs and staff contacts can be found at <http://www.niehs.nih.gov/research/supported/index.cfm>.

**Award Procedure:**

Made on the basis of dual review by peer groups of all applications. The first level of reviews is by a study section for scientific merit. In addition, a national advisory council provides a secondary level of review for all applications. As required by P.L. 109-482, the NIH Health Reform Act of 2006, all research grant and cooperative agreements must undergo Advisory Council/Board review and approval prior to funding. Review of Individual NRSA applications by an Advisory Council/Board is not required. Final approval of these recommendations and decisions concerning funding are made by the Director, NIEHS.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Receipt, review and approval processes range in length from six to nine months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

Research Grants, Cooperative Agreements, Center Grants, and Institutional Training Grants: Renewal applications are subject to same criteria as new



applications. Independent Scientist Awards, Mentored Research Scientist Development Awards, Mentored Clinical Scientist Development Award, Academic Career Awards, and Individual Training grants are non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Research Grants, Cooperative Agreements, Center Grants, and NRSA Institutional grants may be awarded for up to 5 years, generally in 12-month budget periods and may be extended through a competitive renewal. Science Education Grants may be awarded for up to 5 years, in 12-month budget periods, and are not renewable. Independent Scientist Awards are awarded for 5 years in 12-month budget periods, and are non-renewable. Mentored Research Scientist Awards are for up to 5 years, 12-month budget periods, and are non-renewable. Mentored Clinical Scientist Development Awards and Academic Career Awards are for up to 5 years and are renewable. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. National Research Service Awards: Individual awards are non-renewable and may be for 1, 2, or 3 years, but no individual may receive NRSA support at the predoctoral level for more than 5 years and at the postdoctoral level for more than 3 years. See the following for information on how assistance is awarded/released: Funds are released primarily on basis of an Electronic Transfer System.

**Reports:**

Annual and final progress reports are required for all Grant Awards. Annual financial reports are due for a subset of grant awards. Final financial reports are due for all grant awards. Additional reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Cash reports are not applicable. Annual and final progress reports are required for all Grant Awards. Annual financial reports are due for a subset of grant awards. Final financial reports are due for all grant awards. Additional reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Expenditure reports are not applicable. Review of annual performance reports is conducted by appropriate agency staff prior to issuance of additional funding.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submit the last expenditure report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$326,968,000; FY 12 est \$333,486,000; and FY 13 est \$323,976,000

**Range and Average of Financial Assistance:**

Range: \$2,000 to \$2,691,763

Average: \$371,114.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011 NIEHS issued 648 RPG awards (including SBIR and STTR awards), 29 Center awards, 55 Individual NRSA awards and 50 Institutional NRSA awards. In Fiscal Year 2011 several FOAs were issued for new initiatives. An FOA for a new program titled Validation

and Field Testing of New Tools for Characterizing the Personal Environment was released for funding. The objective of this program to conduct field testing and initial validation of existing prototype tools for characterizing the personal environment including chemical exposures, diet, physical activity, psychosocial stress and the use of addictive substance. Five awards were issued as a result of this FOA. An FOA for a new initiative titled Validation and Field Testing of Novel Biomarkers of Response to Environmental Stressors was released for funding. The objective of this initiative is to conduct pilot testing of novel candidate biomarkers and technologies that measure biological responses to chemical toxicants and other environmental stressors. Three awards were issued as a result of this FOA. An FOA for a new initiative titled Deepwater Horizon (DWH) Disaster Research Consortia: Health Impacts and Community Resiliency was released for funding. The objective of this program to create one or more consortia of university-community partnerships to: address health issues of concern to the residents of the Gulf States affected by the DWH disaster; enhance capacity to respond to potential future disasters and to prevent or minimize adverse health effects arising from them. Four awards were issued as a result of this FOA. An FOA for a new initiative titled Epigenomics of Human Health and Disease was released for funding. The objective of this initiative is to discover and define epigenetic marks or features and their possible interactions in cells and tissues that are representative of various human disease states, conditions or processes. Five awards were issued as a result of this FOA. Five awards were issued as a result of this FOA.. An FOA for a new initiative titled Research Consortium for 2-Year Bisphenol A Toxicity Study was released for funding. The objective of this initiative is to develop a research consortium to assess disease endpoints in a chronic BPA toxicity study. Twelve awards were issued as a result of this FOA.. An FOA for a new initiative titled Identification of Biomarkers for Early Detection of Environmentally-Induced Mitochondrial Dysfunction was released for funding. The objective of this initiative is to develop biomarkers of mitochondrial dysfunction using animal models and other experimental models that can help to identify environmental stressors that inhibit normal mitochondrial function, improve our mechanistic understanding of the effects of mitochondrial toxicants, and develop approaches and candidate markers that will serve as the basis for developing biomarkers of early mitochondrial dysfunction in human population studies linking exposure to disease. Five awards were issued as a result of this FOA. Seven awards were issued as a result of this FOA. In addition to these programs, the EHS Core Centers Program and the ONES program were re-announced for funding in FY 2011. Fiscal Year 2012: In fiscal year 2012 it is anticipated that 645 RPG awards (including SBIR and STTR awards), 27 Center grants, 55 Individual and 50 Institutional NRSAs will be made. In Fiscal Year 2012 several FOAs may be issued for new initiatives. Initiatives that will be released or renewed for funding in FY 2012 include an FOA titled Dietary Influence on the Human Health Effects of Environmental Exposures (10 R21 awards anticipated), an FOA entitled Centers for Oceans & Human Health (4 P01 and 4 R01 awards anticipated), an FOA entitled Environmental Influences on Stem Cells in Development, Health, and Disease (2 R21 and 5 R01 awards anticipated), and the ViCTER (5 R01 Awards anticipated) and Climate Change and Health (6 R21 awards anticipated) will be reissued. Fiscal Year 2013: Information is not yet available for Fiscal Year 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; various other publications and application kits, the Division of Extramural Outreach and Information Resources, Office of Extramural Research, NIH, Room 6207, 6701 Rockledge Drive, Bethesda, MD 20892. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Program Contacts: Research Grants: Dr. William A Suk, Director, Center for Risk & Integrated Sciences, DERT, NIEHS, E-mail: suk@niehs.nih.gov. Telephone: (919) 541-0797; or Dr. Cindy Lawler, Acting Chief, Cellular, Organ and Systems Pathobiology Branch, E-mail lawler@niehs.nih.gov. Telephone: (919)316-4671; or Dr. Claudia

Thompson, Chief, Susceptibility and Population Health, E-mail: thomps14@niehs.nih.gov; Telephone: (919)541-4638. Partnerships in Environmental Public Health Grants: Dr. Claudia Thompson, Acting Chief, Susceptibility and Population Health, E-mail: thomps14@niehs.nih.gov; Telephone: (919) 541-4638. Independent Scientist Awards, Mentored Research Scientist Development Awards, Mentored Clinical Research Scientist Development Awards, Academic Career Awards: Dr. Carol Shreffler, Program Administrator, Cellular, Organ and Systems Pathobiology Branch, E-mail: shreffl1@niehs.nih.gov. Telephone: (919)541-1445. SBIR and STTR Grant Programs: Dr. Daniel Shaughnessy, Program Administrator, Susceptibility and Population Health Branch, E-mail: shaughn1@niehs.nih.gov. Telephone: (919)541-2506. P30 Core Centers Program  
Contact: Dr. Leslie Reinlib, Program Administrator, Susceptibility and Population Health Branch, E-mail: reinlib@niehs.nih.gov; Telephone: (919)541-4998; AREA and NRSA Program Administrator: Dr. Michael Humble, Program Administrator, Cellular, Organ and Systems Pathobiology Branch, E-mail: humble@niehs.nih.gov. Telephone: (919) 316-4621. Grants Management Contact: Ms. Dorothy Duke, Chief, Grants Management Officer, Grants Management Branch, E-mail: duke3@niehs.nih.gov. Telephone: (919) 541-2749. For each program contact, the rest of the mailing address is: Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, P.O. Box 12233, Research Triangle Park, NC 27709.

**Headquarters Office:**

Benigno Encarnacion, 111 TW Alexander Drive, Research Triangle Park, North Carolina 27709 Email: encarnal@niehs.nih.gov Phone: (919) 541-5147.

**Website Address:**

<http://www.niehs.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: A detailed listing and description of NIEHS funded projects can be found at

<http://www.niehs.nih.gov/research/supported/whowefund/index.cfm>. Fiscal

Year 2012: A detailed listing and description of NIEHS funded projects can be found at <http://www.niehs.nih.gov/research/supported/whowefund/index.cfm>.

Fiscal Year 2013: A detailed listing and description of NIEHS funded projects can be found at

<http://www.niehs.nih.gov/research/supported/whowefund/index.cfm>.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to stated program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the

facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.116 PROJECT GRANTS AND COOPERATIVE AGREEMENTS FOR TUBERCULOSIS CONTROL PROGRAMS**

Tuberculosis Prevention and Control and Laboratory Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317(a)317E, 42 U.S.C. 247b-b(a), as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Preventive Health Amendments of 1984, Public Law 98-555; Public Health Service Act of 1987, as amended, Public Law 100-177; TB Prevention Amendments Act of 1990, as amended, Public Law 101-368.

**OBJECTIVES:**

To assist State and local health agencies in carrying out tuberculosis (TB) control activities designed to prevent transmission of infection and disease. Financial assistance is provided to TB programs to ensure that the program needs for the core TB prevention and control activities are met: finding all cases of active tuberculosis and ensuring completion of therapy; finding and screening persons who have had contact with TB patients, evaluating them for TB infection and disease, and ensuring completion of appropriate treatment, and conducting TB surveillance and TB public health laboratory activities that are essential to addressing these priorities. Each of these core activities (completion of therapy, contact investigation, TB surveillance, and TB laboratory activities) is essential to effective TB prevention and control, and they are mutually reinforcing. Thus, they constitute a "package" of core activities. These are the highest priority TB prevention and control activities and should be carried out by all State and local TB prevention and control programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used to support both local personnel and individuals in direct assistance (i.e., "in lieu of cash") positions under Section 317 of the Public Health Service Act and to purchase equipment, supplies and services directly related to project activities, particularly directly observed therapy, patient outreach, morbidity surveillance, outreach and program assessment. Project funds may not be used to supplant State or local funds available for tuberculosis control, or to support construction costs or inpatient care.

**Applicant Eligibility:**

Under Section 317 of the Public Health Service Act, official public health agencies or their bona fide agents of State and local governments, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Beneficiary Eligibility:**

Official public health agencies of State and local governments, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operations, describe the evaluation procedures, and provide a budget with justification of funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant

should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the requirements described in 45 CFR 92.

**Award Procedure:**

After officials review and approve applications, a Notice of Award is prepared and processed, and appropriate notification is made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 120 to 180 days.

**Renewals:**

From 60 to 90 days. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the requirements described in 45 CFR 92.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. Although there are no matching requirements, applicants must assume part of the project costs and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(b)(2)317E. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From one to five years. Budget Period: One year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Quarterly or semiannual narrative and performance statistical reports are required of the recipient. Semiannual reports should address the recipients progress of achievement of the stated objectives. Annual financial status reports are also required of the recipient no later than 90 days after the end of each budget period. Final financial status and are required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In

all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0950-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$90,427,723; FY 12 est \$86,863,458; and FY 13 est \$90,804,615

**Range and Average of Financial Assistance:**

\$86,938 to \$9,931,764 with an average of \$1,454,714.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Support continued for 68 cooperative agreements in fiscal year 2011 with continued special emphasis on the completion of treatment, contact investigation, and targeted testing of high-risk populations. Fiscal Year 2012: It is estimated that support will continue for the 68 cooperative agreements in fiscal year 2012 with continued special emphasis on the completion of treatment, contact investigation, and targeted testing of high-risk populations. Fiscal Year 2013: It is estimated that support will continue for the 68 cooperative agreements in fiscal year 2013 with continued special emphasis on the completion of treatment, contact investigation, and targeted testing of high-risk populations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Subpart A of 42 CFR 51b is applicable, including all regulations incorporated by reference under Section 51b.105. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Terry Chorba 1600 Clifton Road, MS E-10, Atlanta, Georgia 30333 Email: tlc2@cdc.gov Phone: 404-639-0909 Fax: 404-639-8958

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: TB cooperative agreements continued to be provided to 68 state, big-city, and territorial health department TB programs to intensify TB elimination and laboratory support operations. Funds were provided to support TB outreach, directly observed therapy, contact investigation and evaluation, and contracts for direct patient services. Fiscal Year 2012: It is anticipated that the TB cooperative agreements will continue to be provided to 68 state, big-city, and territorial health department TB programs to intensify TB elimination and laboratory support operations. Funds will be provided to support TB outreach, directly observed therapy, contact investigation and evaluation, and contracts for direct patient services. Fiscal Year 2013: It is anticipated that the TB cooperative agreements will continue to be provided to 68 state, big-city, and territorial health department TB programs to intensify TB elimination and laboratory support operations. Funds will be provided to support TB outreach, directly observed therapy, contact investigation and evaluation, and contracts for direct patient services.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated in 2012 on 2009 data including the total number of cases reported, the number of bacteriologically confirmed cases reported, the bacteriologically substantiated rate of disease, the number of TB cases among racial and ethnic minorities, significant TB problems among the homeless, cumulative number of TB/AIDS cases, and significant increases in TB morbidity. The number of TB cases under current supervision which have organisms resistant to one or more anti-TB drugs will also be considered in evaluating and prioritizing projects for funding. In addition, the overall potential effectiveness of the applicants plan of operation in meeting the objectives of proposed projects will be considered in evaluating and prioritizing

projects.

### **93.117 PREVENTIVE MEDICINE AND PUBLIC HEALTH RESIDENCY TRAINING PROGRAM, INTEGRATIVE MEDICINE PROGRAM, AND NATIONAL COORDINATING CENTER FOR INTEGRATIVE MEDICINE**

Preventive Medicine and Public Health Residency Training Program (PMR); Integrative Medicine Program (IMP); National coordinating center for Integrative Medicine (NccIM)

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title VII, Sec. 765, 42 U.S.C. 295 and Sec 765, 42 U.S.C. 295 and Sec. 768, 42 U.S.C. 295c, as amended by the Patient Protection and Affordable Care Act (Pub. L 111-148).

#### **OBJECTIVES:**

Grants are intended to promote postgraduate education in the specialty of preventive medicine and to enhance preventive medicine education through incorporation of evidence-based integrative medicine curricula into such programs. A cooperative agreement will establish a national coordinating center for integrative medicine (NCCIM) to provide technical assistance to Integrative Medicine program (IMP) grantees.

Preventive Medicine is the specialty of medical practice which focuses on the health of individuals and defined populations in order to protect, promote, and maintain health and well-being and prevent disease, disability and premature death. It is one of the 24 specialties recognized by the American Board of Medical Specialties. Preventive Medicine encompasses three areas of specialization: (1) General Preventive Medicine and Public Health, (2) Occupational Medicine, and (3) Aerospace Medicine. As articulated by the Institute of Medicine, integrative medicine can be described as orienting the health care process to create a seamless engagement by patients and caregivers of the full range of physical, psychological, social, preventive, and therapeutic factors known to be effective and necessary for the achievement of optimal health throughout the life span.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

#### **USES AND USE RESTRICTIONS:**

Program grants are intended to assist in meeting the costs of planning and developing new preventive medicine programs; maintaining or improving existing residency training programs in preventive medicine; incorporating competency-based integrative medicine curricula in graduate medical education; and providing financial assistance to medical residents enrolled in such programs. The cooperative agreement is intended to assist in providing technical assistance to IMP grantees related to faculty development, trainee support, and planning, developing, and operating training programs; collecting data and evaluating the IMP training program; providing support for the coordination and evaluation of faculty development programs established by the IMP grantees; and disseminating best practices and lessons learned through establishing a national coordinating center for integrative medicine.

Integrative medicine grants may not be used to support trainee costs. Grants may not be used for construction or for the provision of direct patient services.

#### **Applicant Eligibility:**

Eligible applicants are: (1) an accredited school of public health or school of medicine or osteopathic medicine; (2) an accredited public or private nonprofit hospital; (3) a State, local, or tribal health department; or (4) a consortium of 2 or more entities described in (1) through (3). An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

Residency programs must be accredited by the Accreditation Council on Graduate Medical Education (ACGME) or approved by the American Osteopathic Association (AOA).

Eligible applicants for the NccIM are (1) a health professions school, including an accredited school or program of public health, health administration, preventive medicine, or dental public health or a school providing health management programs; (2) an academic health center; (3) a State or local government; or (4) any other appropriate public or private nonprofit entity that has the capacity to provide national technical assistance for IMP grantees and to the broader audience of preventive medicine and primary care residency programs. The applicant must demonstrate expertise in the field of evidence-based CAM treatment modalities for health professions disciplines or be an Integrative Medicine Center

Applicants for the NccIM must have: (a) experience with developing evidence-based integrative health care curricula, (b) faculty with expertise in evidence-based integrative medicine to carry out specialized technical assistance and with experience working in an interprofessional setting, partnering with physicians from other disciplines as well as other integrative medicine providers such as physical therapists, mental health practitioners, nurses, and physician assistants, and (c) expertise in evaluating integrative medicine curricula and programs. All applicants must be actively researching and developing evidence to enhance integrative medicine practice.

#### **Beneficiary Eligibility:**

For Preventive Medicine and Public Health Residency program grants, each trainee receiving stipend support must: (a) be a citizen of the United States, a non-citizen U.S. national, or a foreign national having in his or her possession a visa permitting permanent residence in the United States; (b) be a physician who has graduated from an accredited school of medicine or osteopathic medicine in the United States; or if a graduate from a foreign school, meet the criteria of the Educational Commission for Foreign Medical Graduates, for entry into the program supported by this grant; and (c) plan to complete the grant-supported program and engage in the practice and/or teaching of preventive medicine, especially in positions which meet the needs of medically underserved populations.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 3 to 6 months after receipt of applications.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Competitive continuation applications may be submitted during the final budget period of the approved project period. Applications must be submitted in accordance with instructions and deadlines for competitive applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are up to 5 years for the Preventive Medicine Program. Project periods are for a two year project period with a single budget period for the Integrative Medicine Program and the National coordinating committee for Integrative Medicine. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars).

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0353-0-1-552.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$800,000; and FY 13 est \$0 - National Coordinating Center for Integrative Medicine (NccIM). (Project Grants) FY 11 Not Available; FY 12 est \$2,500,000; and FY 13 est \$0 - Integrative Medicine Project Grants. (Project Grants) FY 11 \$3,408,395; FY 12 est \$3,719,445; and FY 13 est \$3,813,000 - Preventive Medicine and Public Health Residency Project Grants.

**Range and Average of Financial Assistance:**

Preventive Medicine Residency  
FY 2010: \$118,589 to \$655,981 (range) \$295,282 (average)

FY 2011: \$190,000 to \$782,889 (range) \$378,710 (average)  
FY 2012: \$200,000 to \$799,164 (range) \$413,271 (average)  
FY 2013: \$190,000 to \$782,889 (range), \$423,666 (average)  
FY 2014: \$190,000 to \$782,889 (range), \$423,666 (average)

Integrative Medicine Program  
\$130,000 to \$150,000 (range), \$140,000 (average)

NccIM cooperative agreement  
\$800,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 9 non competing continuation grants were funded. Fiscal Year 2012: 9 non competing continuation grants to be funded. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Norma Hatot, Acting Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-26, Rockville, MD 20857. Telephone: 301-443-6950 and Email: [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov).

Elsie Quinones, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-36, Rockville, MD 20857. Telephone: (301) 443-5244 and E-mail: [equinones@hrsa.gov](mailto:equinones@hrsa.gov).

**Headquarters Office:**

Norma Hatot 5600 Fishers Lane, Room 9C-26, Rockville, Maryland 20857  
Email: [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov) Phone: 301-443-6950

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.412 ARRA - Preventive Medicine Residency Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Visit web site [www.hrsa.gov/grants](http://www.hrsa.gov/grants). Fiscal Year 2012: Visit web site [www.hrsa.gov/grants](http://www.hrsa.gov/grants). Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by consultants who make technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of sections 765 and 768 of the PHS Act, as amended by section 5206 of the Patient Protection and Affordable Care Act (PL 111-148). Approval of any application will be based on an analysis of the following factors: responsiveness to the funding opportunity announcement, need and rationale, project plan, project management, fiscal plan, trainee diversity, and project effectiveness. For Preventive Medicine Residency applicants who are currently funded grantees or applicants who are not currently funded, but have received funding within the previous four years, reviewers will examine the progress report summary to determine the current or prior project's: impact on preventive medicine education both locally and nationally; ability to carry out grant-specific objectives and BHP performance objectives; and dissemination activities. Integrative Medicine Program applicants must demonstrate the ability to develop competency-based curricula in integrative medicine to advance the field of integrative medicine and have

potential for replication at other residency programs. NccIM applicants must also demonstrate the capacity to provide technical assistance, data collection, and evaluation activities related to the IMR program grantees.

See most recent funding opportunity announcement at [www.grants.gov](http://www.grants.gov) for detailed review criteria.

### **93.118 ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) ACTIVITY**

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 301(l).

#### **OBJECTIVES:**

To develop and implement HIV prevention programs of public information and education.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Support for cooperative agreements for HIV activities.

#### **Applicant Eligibility:**

Public and private organizations, both nonprofit and for-profit (universities, colleges, research institutions and other public and private organizations); State and local governments, U.S. Territories and possessions; including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, small and minority businesses, and businesses owned by women.

#### **Beneficiary Eligibility:**

Official health and education agencies, as well as individuals subject to AIDS.

#### **Credentials/Documentation:**

Nonprofit institutions: Costs will be determined by HHS Regulations 45 CFR Part 74, for nonprofit organizations. For-profit institutions, costs will be determined by Federal Acquisition Regulations 48 CFR 31. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are made in the form of an application, PHS-5161-1 or PHS 398, to the Centers for Disease Control and Prevention (CDC). The standard application forms, as furnished by CDC and required by 45 CFR, Parts 74 or 92, must be used for this program. This program is subject to the provisions of 45 CFR, Parts 74 or 92, as appropriate.

#### **Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (12 months) and Notice of Award indicates support provided in the initial award and the recommended funding amounts for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

See FOA for details.

#### **Appeals:**

Applicants may resubmit application for next announcement or review.

#### **Renewals:**

As stated in the Terms and Conditions.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

From 1 to 5 years (renewable). Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

See funding opportunity announcement (FOA) for details. No cash reports are required. See FOA for details. No expenditure reports are required. See FOA for details.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

#### **Records:**

Financial records and supporting documents must be maintained for 3 years after the end of each budget period. If questioned, records must be kept until matters are settled.

#### **Account Identification:**

75-0943-0-1-550.

#### **Obligations:**

(Salaries) FY 11 \$3,026,758; FY 12 est \$3,418,165; and FY 13 est \$3,418,165

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Administration of Grants, DHHS; 45 CFR, Part 74; Guidelines established by CDC for AIDS cooperative agreements.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov) Phone: (404) 639-0022.

#### **Website Address:**

<http://www.cdc.gov>.

#### **RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Based on the evaluation, criteria as stated in the Program Announcements.

### **93.121 ORAL DISEASES AND DISORDERS RESEARCH**

Dental and Craniofacial Research.

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301; 2012 Defense Authorization Act.

**OBJECTIVES:**

To improve oral, dental and craniofacial health through research, research training, and the dissemination of health information. The research portfolio supports basic, clinical and transitional research from molecular biology to patient-oriented and community-based clinical investigations. The Developmental Biology and Genetics Program supports research on etiology, pathogenesis, epidemiology, prevention, diagnosis, and treatment of inherited craniofacial-oral-dental diseases and disorders (e.g., ectodermal dysplasia, cleft lip and palate, amelogenesis imperfecta, dentinogenesis imperfecta, osteogenesis imperfecta, and other inherited diseases that have craniofacial-oral-dental manifestations) as well as on normal craniofacial-oral-dental development, and genome-wide association studies. 2. The Translational Genetics and Genomics program supports genetic/genomic research using epidemiologic and family-based methods, gene discovery using high throughput technologies, and gene-environment interactions. 3. The Microbiology Program supports basic and translational research on the role of oral microbes in health and disease including the etiology, pathogenesis, diagnosis, treatment, and prevention of oral infectious diseases. Areas of interest include biofilms and microbial ecology, microbial genomics and metagenomics, microbial virulence and disease pathogenesis, prevention and treatment. 4. The AIDS and Immunosuppression Program supports basic, translational and clinical research on HIV infection and AIDS to advance understanding of the underlying molecular, cellular, and genetic mechanisms that enable or prevent HIV infection and development of oral complications associated with AIDS and AIDS malignancies. 5. The Immunology and Immunotherapy Program supports basic and translational research on the immune aspects of oral diseases such as caries and periodontal diseases. The program includes host responses to microbes, immunology of biofilms, oral inflammation, systemic diseases, immunotherapy, immunopathologies, and host susceptibility to infection. 6. The Epithelial Cell Regulation and Transformation Program supports basic and translational research on the molecular mechanisms of oral epithelial cell regulation as they relate to the development and progression of diseases of the oral mucosa, including head and neck cancer. The program also supports and encourages the application of genomic, proteomic, and imaging technologies through research on the early diagnosis, prevention, and treatment of head and neck cancers. 7. The Mineralized Tissue and Salivary Gland Physiology Program supports basic and translational research on craniofacial skeletal biology and pathobiology including the physiology of tooth, bone and cartilage, and associated disorders and diseases, saliva and salivary glands, and pharmacogenetics. The goal of the program is to promote interdisciplinary and multidisciplinary approaches to advance the understanding of normal and abnormal processes underlying oral, dental and craniofacial diseases and disorders. 8. The Molecular and Cellular Neuroscience Program supports basic and translational research on orofacial pain and neuropathies, temporomandibular joint and muscle disorders, development of biomarkers for diagnostics and prognostics and development of therapeutics. 9. The Tissue Engineering and Dental and Craniofacial Regenerative Medicine Program supports basic and translational research on the reconstruction, remodeling and repair of the oral and craniofacial tissues damaged as a result of disease or injury. The goal of this scientific program is to promote interdisciplinary and multidisciplinary approaches to engineering of biocompatible oral and craniofacial tissue constructs and their functional integration into the host tissue microenvironment. The program also supports efforts that employ bioengineering approaches for restoration, remodeling and regeneration of diseased and injured native host tissues. 10. The Dental and Biomaterials Program supports basic and translational extramural research on dental materials and devices, dental implants, biocompatibility of dental restorative materials, and biomaterials for craniofacial reconstruction. 11. The Behavioral and Social Sciences Research Program supports basic and applied BSS research to promote oral health, to prevent oral diseases and related disabilities, and to improve management of craniofacial conditions, disorders and injury. 12. The Center for Clinical Research supports clinical trials, dental practice based research networks, epidemiology research, and health disparities research. The Research Training and Career Development Program insures the future of dental and craniofacial research by developing an outstanding and diverse

scientific work force through training and fellowship programs designed primarily for graduate, and post-doctoral stages of education, including dual degree (DDS, PhD) programs, as well as for continued career development of scientists and retraining of mid-career scientists. Diversity fellowships serve to expand the diversity of the scientific work force by supporting the training of predoctoral students from underrepresented groups. The Small Business Innovation Research (SBIR) program seeks to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR) program seeks to stimulate and foster scientific and technological innovation and foster technology transfer through cooperative research and development carried out between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Research Grants: Research Grants and cooperative agreements provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation in the oral health sciences. They are awarded to universities, colleges, medical and dental schools, hospitals, and other nonprofit and for-profit institutions. Awards include investigator-initiated project grants, exploratory and developmental grants, small grants, program project grants, center grants, and career development awards. Individual and institutional Dentist Scientist Awards provide support for research career development in both clinical and basic science. National Research Service Awards (NRSAs) provide support directly to individuals for research training in specified biomedical areas, and can be made to institutions to enable them to accept individuals for research training. Individuals who receive NRSAs may be obligated upon termination of the award to comply with service and payback provisions. SBIR Phase I grants (duration of approximately 6 months) provide support to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants support the continuation of the research initiated in Phase I to further develop the commercial products or process initiated in Phase I. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (duration of typically 1 year) support cooperative efforts between small businesses and research institutes to determine the scientific and technical merit, and commercial feasibility of a product or process with potential for commercial application. Phase II funding is based on the results of the research initiated in Phase I and the scientific and technical merit, and commercial potential of the Phase II application.

**Applicant Eligibility:**

Grants: Scientists at universities, medical and dental schools, hospitals, laboratories, and other public or private nonprofit and for-profit institutions. NRSA and career development awards: (1) Nonprofit domestic organizations may apply for institutional awards. (2) Individual candidates or applicants must arrange sponsorship by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. (3) All awardees must be citizens, or non-citizen nationals, of the United States or have been admitted to the United States for permanent residence, except for K99/R00 and T90/R90 grants. (4) To be eligible, postdoctoral NRSA and career development awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Institutional applicants must be able to provide the staff and facilities suitable for the proposed research training. SBIR and STTR grants: Can be awarded only to domestic small businesses that meet the following criteria: 1) is independently owned and operated, is not dominant in the filed of operation in which it is proposing, has a place of business in the United States and operates primarily within the United States or makes a significant contribution to the US economy, and is organized for profit; 2) is at least 51% owned and controlled

by one or more individuals who are citizens of, or permanent resident aliens in, the United States, or for SBIR only, it must be a for-profit business concern that is at least 51% owned and controlled by another for-profit business concern that is at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States; 3) Has, including its affiliates, an average number of employees for the preceding 12 months not exceeding 500, and meets the other regulatory requirements found in 13 C.F.R. Part 121. For STTR awards, the small business must "partner" with a research institution in a cooperative research and development project where at least 40 percent of the project is to be performed by the small business and at least 30 percent by the research institution. In both Phase I and Phase II for both SBIR and STTR, the research must be performed in the U.S. and its possessions. To be eligible for funding, all grant applications must be evaluated for scientific merit and program relevance by a peer scientific review group and the National Advisory Dental and Craniofacial Research Council.

**Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, researchers, any nonprofit or for-profit organization, company or institution engaged in biomedical research.

**Credentials/Documentation:**

Grants: Applications for research grants must include the objectives (specific aims), research strategy, significance, innovation, methodology, and resources for the specific project, and must present the relevant background and experience of the applicant. NRSA and career development awards: (1) Individual Candidates: the applicant's academic record, research experience, citizenship, institutional sponsorship, proposed research area, and plan for training, must be included in the application. (2) Institutional Candidates: the application must include the objectives, methodology, and resources for the research training program, the research qualifications and experience of participating faculty in training students and fellows, and the criteria to be used in selecting individuals for support. Costs will be determined in accordance with OMB Circular No. A-87 for State and Local Governments. Costs for for-profit organizations are determined in accordance with the Federal Acquisition Regulations Subpart 31.2. For other than State and Local Government grantees, costs will be determined by Health and Human Services (HHS) Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business) must present an idea in the research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications for Federal assistance must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide (<http://grants.nih.gov/grants/forms.htm>). Applications may not be submitted in paper format unless required by the Funding Opportunity Announcement (<http://grants.nih.gov/grants/guide/index.html>). A registration process through Grants.gov is necessary before submission. Applicants are strongly encouraged to start the registration process at least four weeks prior to the applications submission date.

**Award Procedure:**

Grants: All accepted applications competing for research project grants, career development awards, and NSRA awards are reviewed by two advisory groups. Primary review is conducted by an initial review group composed of extramural peer scientists, and secondary review by the National Advisory Dental and Craniofacial Research Council (NADCRC). Secondary review of NRSA fellowship applications is conducted by NIDCR staff rather than by the NADCRC. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate initial review group and by the NADCRC. All applications receiving a priority score compete for available

SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Research Project Grants and NSRA: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

From 90 to 120 days. A Principal Investigator (PI) may question the technical or procedural aspects of the review of his/her application by communicating with the program staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page: [http://grants.nih.gov/grants/peer\\_review\\_process.htm#Appeals](http://grants.nih.gov/grants/peer_review_process.htm#Appeals) and in the Notice: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

> 180 Days. Grants: Applications for approval beyond the approved project period must be submitted at least 6 to 9 months in advance of the termination date. NRSA: Institutional Awards may be made up to 5 years. No individual may receive NIH/NRSA support at the postdoctoral level for more than 3 years, unless a specific waiver is requested and approved.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants: Approval of a project includes a determination of support for the authorized project period (generally not to exceed 5 years). Awards to support the project are made on an annual basis. At the time of initial award, the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Grant Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project beyond the approved project period, an application for renewal must be submitted in accordance with the deadline dates and instructions attached to the form. SBIR Phase I awards are generally for 6 months; Phase II awards normally are for 2 years. STTR Phase I awards are generally for 1 year; Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Awards are made annually.

**Reports:**

No program reports are required. No cash reports are required. Annually. Annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0873-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$322,197,000; FY 12 est \$294,409,674; and FY 13 est \$319,170,000

**Range and Average of Financial Assistance:**

FY2010: research project grants: range \$2,900-\$5,860,000, average \$417,000;



NRSA: range \$15,000-\$1,055,000, average \$41,000; SBIR/STTR: range \$100,000-\$886,000, average \$330,000. Career development: range \$87,000-\$181,000, average \$123,000.

FY2011: research project grants: range \$16,000-\$2,842,000, average \$383,000; NRSA: range \$6500-\$919,000, average \$125,000; SBIR/STTR: range \$68,000-\$993,000; average \$308,000. Career development: range \$32,000-\$181,000, average \$120,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants: 42 CFR 66; 45 CFR 74; NIDCR Grants and Funding website (<http://www.nidcr.nih.gov/GrantsAndFunding/>), NIH Grants website (<http://grants.nih.gov/grants/oer.htm>). Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dr. Alicia Dombroski, 6701 Democracy Blvd.; Room 660, MSC 4878, Bethesda, Maryland 20892 Email: [adombroski@nidcr.nih.gov](mailto:adombroski@nidcr.nih.gov) Phone: (301) 594-4805 Fax: (301) 480-8303.

**Website Address:**

<http://www.hhs.gov>; <http://www.nidcr.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects funded by the NIDCR can be found by searching: <http://projectreporter.nih.gov/reporter.cfm>. Fiscal Year 2012: Projects funded by the NIDCR can be found by searching: <http://projectreporter.nih.gov/reporter.cfm>. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The primary criteria for evaluating grant applications include assessment of: (1) the scientific merit, significance and overall impact of the proposed study and its objectives; (2) the competency of the proposed investigator(s) to successfully pursue the project; (3) the innovation and novelty of the concepts, approaches, or methodologies; (4) the technical adequacy of the experimental design and approach; (5) the adequacy of the available proposed facilities and resources; (6) the necessity of the budget components requested in relation to the proposed project; and (7) the relevance and importance to the posted institute program objectives. Also evaluated, where applicable, but not scored are: (1) protections for human subjects; (2) inclusion of women, minorities, and children; (3) animal welfare; and (4) adequate protection of research personnel and/or the environment, biosafety, biocontainment and the security of select agents. In addition, the following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: the potential of the proposed research for commercial application. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the technological innovation, originality, or societal importance of the proposed research; and (4) the potential of the proposed research for commercial application.

NRSA individual fellowship applications will be evaluated for: (1) overall impact/merit; (2) suitability of the applicant; (3) qualifications of the sponsor(s)/collaborator(s); (4) scientific merit of the research training plan; (5) training potential; and (6) institutional environment and commitment to training. NRSA institutional training grants are assessed for: (1) overall impact; (2) merit of the training program and institutional environment; (3) the

experience and success of the training program directors, PIs, and mentors; (4) the trainee recruitment plan and selection; and (5) the training record of the program and/or institution.

Career Development applications will be evaluated for: (1) overall impact; (2) qualifications of the candidate; (3) the career plan and career goals/objectives of the candidate; (4) scientific merit of the research plan. (5) qualifications of the mentor(s), consultant(s) and collaborator(s); and (5) institutional environment and commitment to career development.

**93.123 HEALTH PROFESSIONS PREGRADUATE SCHOLARSHIP PROGRAM FOR INDIANS**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437.

**OBJECTIVES:**

To provide scholarships to American Indians and Alaska Natives for the purpose of completing pre-graduate education leading to a baccalaureate degree only in the following areas: (1) Pre-Medicine: priority as follows: senior, junior, sophomore, freshman; (2) Pre-dentistry: priority as follows: senior, junior, sophomore, freshman.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Scholarship awards are limited to persons of American Indian or Alaska Native descent. Support is limited to 4 years of full-time education, or part-time equivalent for a maximum of 8 years.

**Applicant Eligibility:**

Individuals of American Indian or Alaska Native descent, who have successfully completed high school education or high school equivalency, and have been accepted for enrollment or are enrolled in an accredited pre-graduate program in a pre-medicine or pre-dentistry curriculum.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native descent.

**Credentials/Documentation:**

Students must submit proper documentation of Indian eligibility in order to be considered. The applicant's advisor must also provide verification that the courses to be taken are required for an undergraduate curriculum leading to a bachelor's degree in pre-medicine or pre-dentistry curriculum and represents the number of credit hours which the school requires to be full-time or at least 6 hours of part-time study. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form OMB No. 0917-0006 and instructions are provided by the Indian Health Service and are usually available to interested individuals in February. An application form and required documentation (official transcripts, letter of acceptance by college, curriculum verification, Indian eligibility, tuition verification, faculty evaluations) are submitted to IHS Headquarters for review and approval/disapproval.

**Award Procedure:**

Grants are awarded on a competitive basis. Funding covers only Tuition and Fees. Tuition and fee payments are made to the recipient's college or university.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Management.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted annually. Continued funding is subject to the availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Tuition payments are paid upon receipt of invoices from the universities.

Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Students are required to submit their official transcripts as they are received. Initial progress reports are required for each quarter. Notification of Academic Problem/Change is required at any time a problem or change occurs. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

The Indian Health Service Scholarship Program maintains records on all students. Records must be maintained for 4 years after the final payment has been made.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Training) FY 11 \$162,575; FY 12 est \$195,090; and FY 13 est \$195,090

**Range and Average of Financial Assistance:**

FY 2011 - \$4,078 - \$37,368; avg \$11,518.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.370-36.374. Final Rules and Regulations, the Indian Health Care Improvement Act, Public Law 96-537 (which amends Public Law 94-437, Section 103), published in the Federal Register on February 29, 1984.

**Regional or Local Office:**

None. Program Contact: Dr. Dawn Kelly, IHS Scholarship Program, Indian Health Service, 801 Thompson Avenue, TMP Suite 450A, Rockville, MD 20852. Telephone: (301) 443-6197.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

93.971 Health Professions Preparatory Scholarship Program for Indians; 93.972 Health Professions Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.124 NURSE ANESTHETIST TRAINEESHIPS**

NAT

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 811(a)(2) of the Public Health Service (PHS) Act, (42 U.S.C. 296j(a)(2)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

Grants are awarded to eligible institutions to provide financial support through traineeships for licensed registered nurses enrolled as full-time students in a master's or doctoral nurse anesthesia program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

To meet the costs of traineeships that will pay all or part of the costs of tuition, books, fees, and reasonable living expenses for the program for registered nurses to become nurse anesthetists for up to a maximum of 30 months of full-time study. Restricted uses: Indirect costs and trainee travel are not allowed. The Affordable Care Act (ACA) of 2010 removed the No more than ten percent of the traineeship funds under this section may be obligated for individuals in doctoral degree programs restriction.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education, which provide registered nurses with full-time anesthetist master's or doctoral education and have evidence of accreditation from the American Association of Nurse Anesthetists (AANA) Council on Accreditation of Nurse Anesthesia Education Programs.

**Beneficiary Eligibility:**

Traineeship recipients are selected by the participating institutions. A candidate must be a citizen of the United States, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States, and must be enrolled full-time in an accredited nurse anesthetist master's education program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Notification of award is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 - 8 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Applications may be submitted annually.

**Formula and Matching Requirements:**

Statutory Formula: Formula-Based Program.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Project periods are for (1) year. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Performance Measures Report. Annual Report. No cash reports are required.

Progress reports are not applicable. Expenditure reports are not applicable.

Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 11 \$1,250,000; FY 12 est \$2,250,000; and FY 13 est \$2,250,000

**Range and Average of Financial Assistance:**

FY 12: Range is \$4,854 - \$154,701; average \$ 27,777

FY 11: Range is \$1,000 - \$47,679; average \$16,447

FY 10: Range is \$1,711 - \$41, 983; average \$15,262.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The NAT Program will now support both first year and beyond 12 months of study nurse anesthesia students. Change in the length of support for students. Under the NAT Program, the maximum length of support per student is limited to a cumulative total of 30 months. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Karen Breeden, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, Room 9-61, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5688.

**Headquarters Office:**

Karen Breeden 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857

Phone: (301) 443-5688

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All eligible applicants are considered in a formula for determined awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study. The applicants nurse anesthetist program must be accredited by the Council on Accreditation of the American Association of Nurse Anesthetists.

**93.127 EMERGENCY MEDICAL SERVICES FOR CHILDREN**

EMS for Children

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XIX, Section 1910, (42 U.S.C. 300w-9); as amended by Section 5603 of The Patient Protection and Affordable Care Act, P.L. 111-148.

**OBJECTIVES:**

To support demonstration projects for the expansion and improvement of emergency medical services for children who need treatment for trauma or critical care.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved project in accordance with Section 1910 of the Public Health Service Act.

**Applicant Eligibility:**

State Governments and Accredited Schools of Medicine.

**Beneficiary Eligibility:**

All children will benefit from the project grants administered by this program, including children from minority groups.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made about 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications will be accepted.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are generally for up to 3 years, but may be up to 4 years with an optional 5th year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports are required. No cash reports are required. Annual Financial Reports. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0354-0-1-550.

**Obligations:**

(Salaries) FY 11 \$19,013,532; FY 12 est \$18,787,549; and FY 13 est \$18,787,549

**Range and Average of Financial Assistance:**

\$40,000 to \$2,800,000; \$236,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Elizabeth A. Edgerton, M.D., M.P.H., Chief, EMSC and Injury Prevention Branch, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-38, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

Elizabeth A. Edgerton, M.D., M.P.H. Maternal and Child Health Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 18-A38, Rockville, Maryland 20857 Phone: (301) 443-1321.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grant applications will be reviewed and evaluated by a panel of reviewers experienced in the planning, implementation, and monitoring of emergency medical services and pediatric care. The reviewers will recommend a score for applications; recommend any modifications or conditions to the grant if awarded; and recommend any changes to the proposed budget. Recommendations of the review panel are presented to the Associate Administrator for MCH. Panel recommendations are advisory only, and the Associate Administrator for MCH will be responsible for final decisions regarding awards. Reviewers will use the criteria and questions described in the section on Categories of Grants: Program Narrative and Review Criteria to evaluate proposals. Applicants are urged to address these criteria as directly as possible in the text of the program narrative.

**93.129 TECHNICAL AND NON-FINANCIAL ASSISTANCE TO HEALTH CENTERS**

State and Regional Primary Care Associations and National Cooperative Agreements

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Services Act, as amended, Title III, Section 330(l), (42 U.S.C 254b).

**OBJECTIVES:**

To provide necessary technical and non-financial assistance to potential and existing health centers, including: (1) training and assistance in fiscal and program management (program requirements); (2) operational and administrative support (performance improvement); and (3) the provision of information regarding resources available under Section 330 and how they can best be used to meet the health needs to the communities served by potential and existing health centers (program development/analysis).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Recipients will be expected to provide certain technical and non-financial assistance to health centers and other qualified organizations.

**Applicant Eligibility:**

Eligible applicants include public, non-profit, and for-profit entities with expertise in oral health service delivery that can provide technical assistance on a national basis to community-based organizations, including tribal and faith-based organizations.

State and Regional Primary Care Associations that currently work with BPHC-supported programs or other qualified community-based providers with similar missions throughout their State or region, and National Training and Technical Assistance organizations with a focus on specific target audiences.

**Beneficiary Eligibility:**

This program will benefit medically underserved populations.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement(s) issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the project's goals, and a determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS).

PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reporting is required. A Federal Financial Report (FFR) is required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim,

negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$75,299,745; FY 12 est \$66,600,000; and FY 13 est \$68,000,000

**Range and Average of Financial Assistance:**

\$300,000 to \$6,400,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Eastern Division: 301-594-4488; Central Mid-Atlantic Division; Telephone: (301) 594-4420; Western Division; Telephone: (301) 480-1130.

**Headquarters Office:**

Bureau of Primary Health Care, 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: (301) 443-4300.

**Website Address:**

<http://www.hrsa.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants for funding under Section 330 to provide technical and non-financial assistance to health centers will be evaluated on their ability to perform State or regional-specific assistance in the following areas: (1) training and assistance in fiscal and program management (program requirements); (2) operational and administrative support (performance improvement), and (3) program development/analysis. The application should outline specific activities under each core function. These activities must support and advance the HRSA/BPHC mission goals and focus on HRSA/BPHC supported health centers. The extent and type of activities under each core function should depend on demonstrated health centers needs and HRSA/BPHC/State/regional priorities.

**93.130 COOPERATIVE AGREEMENTS TO STATES/TERRITORIES FOR THE COORDINATION AND DEVELOPMENT OF PRIMARY CARE OFFICES**

State Primary Care Offices (PCO)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 330(k), 330(m) and 333(d).

**OBJECTIVES:**

To coordinate local, State, and Federal resources contributing to primary care service delivery and workforce issues in the State to meet the needs of medically underserved populations through health centers and other community-based providers of comprehensive primary care and the retention,

recruitment, and oversight of health professions for medically underserved populations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Recipients will be expected to perform State-wide primary care planning and resource coordination, including Medicaid, Children's Health Insurance program, State Offices of Rural Health, Ryan White Area Health Education Centers, Maternal and Child Health, etc.; support health systems development, primary care practitioners retention and recruitment, National Health Services Corps monitoring activities, as well as activities relating to other special populations including rural populations; and conduct operational and administrative support activities.

**Applicant Eligibility:**

States or territories, political subdivisions of States, agencies of States, or other public entities that operate solely within one State. or represent multiple territories where appropriate.

**Beneficiary Eligibility:**

Health Professional Service Areas and Medically Underserved Areas/Populations within States will benefit from this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

The Division of Independent Review is responsible for managing objective reviews within Health Resources and Services Administration. Applications will receive an objective and independent review performed by a committee of experts. Applications are reviewed for merit and are recommended for approval or disapproval. Each applicant will receive written notification of the outcome of the objective review process, including summary of the expert committee's assessment of the application's merits and weaknesses, and whether the application was selected for funding. Applicants who are selected for funding may be required to respond in a satisfactory manner to conditions placed on their application before funding can proceed. Final decisions are made jointly by the Associate Administrator for Health Professions, the Associate Administrator for Primary Care, and the Associate Administrator for the Bureau of Clinician Recruitment and Service. Letters of notification do not provide authorization to begin performance.

Notification is made in writing with the Notice of Award, which is signed by Grants Management Officer and is sent to the applicant's agency's Authorized Representative, is the authorizing document.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Support is recommended for a specified project period, not in excess of 5 years. After initial awards are made, projects may be renewed annually depending on the submission and approval of a satisfactory progress report. Future funding is contingent on the availability of funds for such purposes.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit annual progress reports. Federal Financial Reports are required no later than 120 days after the end of each budget period. Final federal financial reports and final summary reports are due within 120 days after the end of a project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$11,000,000; FY 12 est \$11,000,000; and FY 13 est \$11,000,000

**Range and Average of Financial Assistance:**

\$112,000 to \$523,000; Average award per recipient \$207,547.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: It is anticipated that 53 new awards will be funded in FY 12. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Office of Shortage Designation, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human

Services, 5600 Fishers Lane, Room 9A-55, Rockville, Maryland 20857.  
Telephone: (301) 594-0816.

**Headquarters Office:**

Office of Shortage Designation 5600 Fishers Lane, Room 9A-55, Rockville, Maryland 20874 Phone: (301) 594-0816

**Website Address:**

www.hrsa.gov .

**RELATED PROGRAMS:**

93.129 Technical and Non-Financial Assistance to Health Centers; 93.549 Affordable Care Act (ACA) The Primary Care Services Resource Coordination and Development Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated in the following areas: (1) Ability to assess and analyze the State's health policy environment, its unmet need for preventive and primary care services, its health care marketplace and its major disparities in health outcomes; and (2) develop and implement strategies and activities to effectively assist health centers and NHSC delivery sites in their response to these State environmental conditions and needs identified.

**93.134 GRANTS TO INCREASE ORGAN DONATIONS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Section 377 of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f. Clinical Interventions to Increase Organ Procurement (CIOP): Section 377A of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1(b). Social and Behavioral Interventions to Increase Solid Organ Donation: Section 377A(a)-(b) of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1(a)-(b). Public Education Efforts to Increase Solid Organ Donation Program: Section 377A(a)-(b) of the Public Health Service (PHS) Act, as amended, 42 U.S.C. Section 274f-1(a)-(b). Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation (DTCPIOD): Public Health Service Act, Section 377A, as amended, 42 U.S.C. Section 274f-1(d).

**OBJECTIVES:**

To support grants for the purpose of increasing public commitment to organ donation and the number of organs recovered and ultimately transplanted. To that end, the Division of Transplantation has cooperative agreements and grant programs with the following objectives: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: The purpose of this program is to operate a national system to provide reimbursement of travel and subsistence expenses, and other non-medical expenses that may be authorized by the Secretary to individuals making living donations of their organs. Clinical Interventions to Increase Organ Procurement (CIOP): This program provides support for the implementation of highly promising research in clinical management of deceased organ donors. The program supports an evaluation of model interventions for identifying appropriate Donation after Neurological Determination of Death (DNDD) and Donation after Circulatory Determination of Death (DCDD) candidates, evaluating donated organs, maintaining donor stability, and optimizing methods for organ procurement. Recent CIOP research requests have focused upon Donor Management Research primarily in DNDD candidates. Social and Behavioral Interventions to Increase Solid Organ Donation: This program provides support for the implementation and rigorous evaluation of highly promising strategies and approaches for increasing public attitudes, practices and ultimately commitment to organ donation as well as family consent at a relatives time of death. Projects may increase the knowledge of options available through living donation among patients who may need transplants and/or individuals considering serving as a living donor, but may not promote living donation. Public Education Efforts to Increase Solid Organ Donation: The purpose of this program is to support the implementation of public education and outreach

programs that show promise of increasing organ donation. Specifically, this program supports the replication of strategies demonstrated in the Divisions grant program Social and Behavioral Interventions to Increase Solid Organ Donation or through other research efforts to be effective in increasing organ donation. The program also supports the implementation of efforts to increase organ donation that adopt and replicate strategies demonstrated in the public health literature as being effective methods for modifying other health behaviors. The program also supports the implementation of public education and outreach efforts that are based on an established framework for successful public health outreach programs. This grant program is supportive of the Divisions mission to educate the public about deceased and/or living donation and to encourage individuals to document their decision to be a donor in their statewide donor registry or by some other mechanism where a registry is unavailable. Projects may focus on increasing knowledge of opportunities for and the process, risks, advantages and disadvantages of deceased and living donation, but may not promote living donation. Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation (DTCPIOD): This program supports in the planning of strategic development and implementation of a comprehensive group of programs and professional experiences to increase organ donation and transplantation in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Funds made available through this program may not be made available to donating individuals when payment for qualified reimbursement expenses has been made, or can reasonably be expected to be made: (1) under any State compensation program, under an insurance policy, or under any Federal or State health benefits program; (2) by an entity that provides health services on a prepaid basis; or (3) by the recipient of the organ. Clinical Interventions to Increase Organ Procurement: Funds may not be made available to animal or living donor research, long-term transplantation outcomes research, interventions to increase tissue donation alone, practices related to pronouncement of death, and technologies that do not have sufficient benchmarking. Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program, Public Education Efforts to Increase Solid Organ Donation, and Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: Funds under these announcements may not be used for the following purposes: to purchase or improve land, or to purchase, construct, or make permanent improvements to any building except for minor remodeling; to make payments to recipients of services, except for reimbursement of reasonable and allowable out-of-pocket expenses associated with participation in project activities; to support: (a) biomedical and clinical research; (b) the development and/or assessment of the efficacy of new or improved clinical methods of donor management, organ recovery, or organ preservation; (c) fundamental research focused on new or improved evaluation tools and methodologies; (d) fundamental research focused on the development of new behavioral theories relevant to health attitudes, practices, and decision-making; efforts to encourage people to be living organ donors; or (e) interventions inconsistent with existing Federal law; to implement efforts to promote (rather than educate about) living donation; to conduct interventions to increase tissue donation alone; to evaluate clinical outcomes of donation after cardiac death (DCD) organs; to fund staff time devoted to project activities that is being supported by other sources. All Programs: Funds may not be used for activities that are reimbursable under Medicare. Funds must be used in a manner consistent with program policies developed by DoT and with the HHS Grants Policy Statement, January 1, 2007, available at the HRSA grants web site at <http://www.hrsa.gov/grants>.

**Applicant Eligibility:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: As specified in Section 377 of the Public Health Service Act, as amended, eligible applicants include States, transplant centers, qualified organ procurement organizations under section 371, or other public or private entities.

Clinical Interventions to Increase Organ Procurement Grant Program (CIOP): As specified in Section 377A (b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private

entities. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members are expected to comply with the final rule governing the operation of the OPTN Section 121.11(b2).

**Social and Behavioral Interventions to Increase Solid Organ Donation Grant Program:** As specified in Section 377A(b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities for the purpose of carrying out studies and demonstration projects to increase organ donation and recovery rates, including living donation. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members are expected to comply with the final rule governing the operation of the OPTN Section 121.11(b2).

**Public Education Efforts to Increase Solid Organ Donation:** As specified in Section 377A(b) of the Public Health Service Act, as amended, the Secretary may make peer-reviewed grants to public and nonprofit private entities for the purpose of carrying out studies and demonstration projects to increase organ donation and recovery rates, including living donation. If the applicant is an OPTN member, and if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members involved in the project are expected to comply with the final rule governing the operation of the OPTN Section 121.11(b2).

**Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation:** Eligible applicants include nonprofit private or public entities eligible for funds under Section 377A(b) of the PHS Act as amended, (42 U.S.C. 274f-1[b]). Eligible applicants that are public and nonprofit private entities may include state and local governments, Indian Tribal Governments, institutions of higher education, other nonprofit organizations such as faith-based and community-based organizations and Tribal organizations.

For-profit organizations may participate in a grant project but are not eligible to apply as the applicant institution. If the applicant is an Organ Procurement and Transplant Network (OPTN) member, and/or if the applicant is working with a consortium that includes OPTN members, the applicant and all other OPTN members involved in the project are expected to be in compliance with the final rule governing the operation of the OPTN (42 CFR Part 121), which can be found at [http://www.optn.org/policiesAndBylaws/final\\_rule.asp](http://www.optn.org/policiesAndBylaws/final_rule.asp).

**Beneficiary Eligibility:**

**Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation:** Primary beneficiaries are low/moderate income living organ donors and recipients. All other Programs: Beneficiaries are all organ transplant recipients.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Up to 200 days from application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Cooperative Agreement is awarded for a 12-month budget period over a four-year period.

Both Clinical Interventions Research grants and Social and Behavioral Research grants are awarded for a 12-month budget period over a three-year period.

Public Education Efforts to Increase Solid Organ Donation are awarded for a 12-month budget period over a two-year period. Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation Cooperative Agreement is awarded for a 12-month budget period over a three-year period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Two progress reports are required in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. The grantee also submits quarterly updates to HRSA on the number and characteristics of applications received and funded by the Program.

Clinical Interventions to Increase Organ Procurement Grant Program: Two progress reports are required for all awardees in addition annual financial reports. Final progress reports and final financial status reports are due 90 days from the end of the project period.

Social and Behavioral Interventions to Increase Organ Donation Grant Program: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period.

Public Education Efforts to Increase Solid Organ Donation: Two progress reports are required for all awardees in addition to annual financial reports. Final reports and final financial status reports are due 90 days from the end of the project period. No expenditure reports are required. No performance monitoring is required.

Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: Mid-year and end-of-year progress reports are required. Reports indicate progress on proposed activities and plans for the remainder of the budget period. Awardee will receive information electronically about the specific requirements and formats of the reports, and are required to submit the reports electronically. Further information will be provided in the award notice. A final report is due within 90 days after the project period ends. The final report collects program-specific goals and progress on strategies; core performance measurement data; impact of the overall project; the degree to which the awardee achieved the mission, goal and strategies outlines in the program; awardee objectives and accomplishments; barriers encountered; and responses to summary questions regarding the awardee's overall experiences



over the entire project period. The final report must be submitted on-line by awardees in the Electronic Handbooks (EHBs) at <https://grants.hrsa.gov/webexternal/home.asp>. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,756,942; FY 12 est \$2,997,744; and FY 13 est \$2,983,975 - Community of Practice. (Cooperative Agreements) FY 11 Not Available; FY 12 est \$2,300,000; and FY 13 est \$2,000,000 - Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Program. (Project Grants) FY 11 \$3,543,148; FY 12 est \$3,592,656; and FY 13 est \$3,744,363 - Social and Behavioral Interventions to Increase Organ Donation Grant Program. (Project Grants) FY 11 \$2,275,081; FY 12 est \$2,028,866; and FY 13 est \$1,870,061 - Public Education Efforts to Increase Organ Donation Program. (Project Grants) FY 11 \$1,529,752; FY 12 est \$982,845; and FY 13 est \$1,018,500 - Clinical Interventions to Increase Organ Procurement Grant Program.

**Range and Average of Financial Assistance:**

Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: one award \$2,000,000-\$2,300,000  
Clinical Interventions to Increase Organ Procurement Grant Program: \$327,806 to \$655,039; \$396,569  
Social and Behavioral Interventions to Increase Organ Donation Grant Program: \$254,543 to \$369,811; \$319,284.  
Public Education Efforts to Increase Organ Donation: \$232,600 to \$361,175; \$308,941.  
Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: one award \$2,997,744.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Clinical Interventions to Increase Organ Procurement Grant Program:  
No Current Data Available. Fiscal Year 2012: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Program -- the Regents of the University of Michigan in collaboration with the American Society of Transplant Surgeons continue to operate the Program through the National Living Donor Assistance Center (NLDAC) since its inception in October 2007. Through May 2012, the NLDAC has received 2721 applications for reimbursement and has facilitated 1324 living donor transplants. An additional 234 prospective living donors have been approved for reimbursement pending the organ donation procedures. The median household income for transplant recipients who received an organ facilitated by NLDAC is \$25,842.

Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: This program engaged organizations and health professionals in the Donation and Transplantation Community of Practice in improving processes and increasing collaboration to increase conversion of potential organ donors and incorporation of a variety of organ recovery methodologies. In six months since initial award, Collaborative Conversion rate increased from 76.3% to 76.9% and Donation after Circulatory Determination of Death increased from 12.7% to 12.8%. Participation at meetings and educational

offerings held under this cooperative agreement was higher than ever before.

**Clinical Interventions to Increase Organ Procurement Grant Program:**

No data available

The Social and Behavioral Interventions to Increase Solid Organ Donation grant program was launched in FY 1999. From FY 1999-2012, HRSA/DoT has supported 96 research projects totaling \$77 million to test strategies for increasing organ and tissue donation or to replicate successful donation interventions. Since its launch several strategies for increasing organ donation have been shown to be successful and have been disseminated throughout the field of organ donation. One such strategy is the in-house coordinator now widely adopted throughout the country. Another strategy shown to successfully increase registration rates is point-of-decision outreach and education often located in department of motor vehicle offices. The Public Education Efforts to Increase Solid Organ Donation grant program was launched in 2007. Through this grant program HRSA has supported 21 projects totaling over \$12 million. These projects replicate and disseminate strategies that have been proven to be successful through other means, such as the Social and Behavioral Interventions to Increase Solid Organ Donation grant program. Fiscal Year 2013: Clinical Interventions to Increase Organ Procurement Grant Program:  
No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation: Mesmin Germain, MBA, MPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-0053.

Clinical Interventions to Increase Organ Procurement Grant Program: Bernard Kozlovsky, MD, MS, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-0565.

Social and Behavioral Interventions to Increase Organ Donation Grant Program and Public Education Efforts to Increase Solid Organ Donation: Rita Maldonado, MPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-3622.

Public Education Efforts to Increase Solid Organ Donation: Rita Maldonado, MPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-3622.

Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: Teresa Beigay, DrPH, Division of Transplantation, Healthcare Systems Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Room 12C-06, Rockville, MD 20857. Telephone: 301-443-5464.

**Headquarters Office:**

Division of Transplantation, 5600 Fishers Lane, Room C-06, Rockville, Maryland 20857 Phone: (301) 443-7577.

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Reimbursement of Travel and Subsistence Expenses toward Living Organ Donation Program (FY 2010 through FY 2013): HRSA awards a cooperative agreement to the Regents of the University of Michigan to continue the operations of the National Living Donor Assistance Center to provide reimbursement of travel and subsistence expenses to living organ donors who meet the program eligibility guidelines. Transplant centers screen prospective donors for program eligibility requirements and submit applications and supporting documents to the program on behalf of their prospective donors. Donation and Transplantation Community of Practice Initiatives to Increase Organ Donation: This program engages one recipient, the Organ Donation and Transplantation Alliance, in the strategic development and implementation of a comprehensive group of programs and professional experiences to increase organ donation and transplantation in the United States. In the first six months of the project, the Alliance conducted meetings and webinars to improve organ donor management; quality improvement; action team processes; transplant program effectiveness; and support and advocacy for donors, donor families, and staff involved in these cases,

**Clinical Interventions to Increase Organ Procurement Grant Program:**

HRSA funded two projects in FY 2011 to support for the implementation of highly promising research into improvements in clinical management of deceased organ donors.

In 2011 five new Social and Behavioral Interventions to Increase Solid Organ Donation grants were awarded. Four of those grants focused on increasing the number of registered donors among their target populations. Two proposed to reach their target population through primary care physicians, one through the Mexican consulate and the other through challenge campaigns on college campuses. The fifth grant focused on educating Hispanics about living donation through a bilingual, culturally competent Website. In 2011 four new Public Education Efforts to Increase Solid Organ Donation grants were awarded. Two of these grants proposed to increase organ donor registration by providing targeted education in department of motor vehicles offices. Another proposed to increase donor registration through text messaging. The fourth grant is disseminating an education program that has been previously shown to be successful to increase dialysis patients about living donation. Fiscal Year 2012: In 2012 it is anticipated that two Social and Behavioral Interventions to Increase Solid Organ Donation grants will be awarded. Both grants seek to increase knowledge of living donation, one among Native Americans through story-telling and the second among kidney transplant candidates. In 2012 three Public Education Efforts to Increase Solid Organ Donation grants are anticipated to be awarded. The goal of all three grants is to increase organ donor registration among their target audience, one through targeted messaging at department of motor vehicle offices, one through targeted messaging to 50 64 year olds, and the third through an electronic health information system. Fiscal Year 2012: No data available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Please refer to the Program Guidance.

**93.135 CENTERS FOR RESEARCH AND DEMONSTRATION FOR HEALTH PROMOTION AND DISEASE PREVENTION**

(Prevention Research Centers)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Part 330u-5, Section 1706.

**OBJECTIVES:**

(1) To establish, maintain, and operate academic-based centers for high-quality research and demonstration with respect to health promotion and disease

prevention; (2) to establish linkages, where applicable, between ongoing, basic research in a wide array of fields and applied research in disease prevention and health promotion; (3) to bring the knowledge and expertise of academic health centers to bear on practical public health problems; (4) to field test and rigorously evaluate more cost-effective methods and strategies for preventing unnecessary illness and promoting good health; and (5) to shorten the time lag between the development of new and proven effective disease prevention and health promotion techniques and their widespread application. 6) to involve the community in the development, conduct, and implementation of prevention research.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are available for costs directly attributed to the performance of research and demonstration projects pertaining to health promotion and disease prevention plus certain indirect costs of the grantee in accordance with established policies of the Public Health Service. Grantees may not award subgrants but may enter into consortia agreements or contracts as necessary to achieve the aims of the program.

**Applicant Eligibility:**

Eligible applicants are accredited schools of medicine, schools of osteopathy, and schools of public health as defined in Section 701 (4) of Public Health Service Act.

**Beneficiary Eligibility:**

Academic health centers, scientist/researchers, operational public health programs, targeted high risk groups, selected demonstration areas, and the general public.

**Credentials/Documentation:**

Costs will be determined in accordance with HHS Regulations, 45 CFR 74. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form SF 424. Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

Approved grants are funded based on priority score ranking from a scientific review, as well as availability of funds, secondary review and such other significant factors deemed necessary and appropriate by the agency. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 5152-1) indicates support recommended for remainder of project period, allocations of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From six to nine months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications for renewal will be reviewed in the same manner as new applications and will compete for available funds with other applications.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

This program does not have MOE requirements. The Prevention Research Centers Program does not receive allocations over \$100 million in the fiscal year.

**Length and Time Phasing of Assistance:**

From one to five years (renewable, based on competitive applications and availability of funds). See the following for information on how assistance is awarded/released: Lump sum unless there are funding restrictions due to pending issues (e.g., IRB concerns.).

**Reports:**

Interim progress (annually); annual report (three months after end of budget period); final progress report (three months after end of project period); and reprints and copies of resulting publications. No cash reports are required. Interim progress (annually); terminal progress report (three months after end of each budget period); and final progress report (three months after the end of the project period); and reprints and copies of resulting publications. Financial status reports (annual). Interim progress (annually).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, including documents to support entries on accounting records and substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$2,048,154; FY 12 est \$1,734,877; and FY 13 est \$1,661,047 - This fiscal information relates to the funding of salaries and benefits for the federal staff responsible for managing and monitoring the research activities of the 37 centers funded by CDC. (Cooperative Agreements) FY 11 \$22,916,000; FY 12 est \$22,000,000; and FY 13 est \$18,000,000 - The FY 2011 are actual funds awarded to Prevention Research Centers for core research awards only, no special interest project awards were included. The fiscal year 2012 estimate includes funding for only core research awards, no special interest project.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For program accomplishments please see the PRC program website: [www.cdc.gov/prc](http://www.cdc.gov/prc). Fiscal Year 2012: For program accomplishments please see the PRC program website: [www.cdc.gov/prc](http://www.cdc.gov/prc). Fiscal Year 2013: To develop, implement, and evaluate public health prevention research.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kurt Greenlund Centers for Disease Control and Prevention  
4770 Buford Hwy, MS K-45, Atlanta, Georgia 30341 Email: [keg9@cdc.gov](mailto:keg9@cdc.gov)  
Phone: 770-488-2572

**Website Address:**

<http://www.cdc.gov/prc>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: For examples of funded projects, please see the PRC program website: [www.cdc.gov/prc](http://www.cdc.gov/prc). Fiscal Year 2012: For examples of funded projects, please see the PRC program website: [www.cdc.gov/prc](http://www.cdc.gov/prc). Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Prevention Research Center applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, boards of education and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

**93.136 INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY BASED PROGRAMS**

National Center for Injury Prevention and Control

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 317, 391, 392, 393, and 394, as amended, 42 U.S.C. 241.

**OBJECTIVES:**

RESEARCH GRANTS: (1) To support injury control research on priority issues; (2) to integrate aspects of engineering, public health, behavioral sciences, medicine, engineering, health policy, economics and other disciplines in order to prevent and control injuries more effectively; (3) to rigorously apply and evaluate current and new interventions, methods, and strategies that focus on the prevention and control of injuries; (4) to stimulate and support Injury Control Research Centers (ICRCs) in academic institutions which will develop a comprehensive and integrated approach to injury control research and training; and (5) to bring the knowledge and expertise of ICRCs to bear on the development of effective public health programs for injury control. STATE AND COMMUNITY PROGRAM GRANTS/COOPERATIVE AGREEMENTS: (1) To develop and evaluate new methods or to evaluate existing methods and techniques used in injury surveillance by public health agencies; and (2) to develop, expand, or improve injury control programs to reduce morbidity, mortality, severity, disability, and cost from injuries.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are available for costs directly attributed to the performance of research and demonstrations of surveillance or interventions/evaluations programs pertaining to injury prevention and control plus certain direct costs of the grantee in accordance with established policies of the Public Health Service. Grantees may not award subgrants but may enter into contracts as necessary to achieve the aims of the program.

**Applicant Eligibility:**

For INJURY PREVENTION AND CONTROL RESEARCH PROGRAMS, AND INJURY CONTROL RESEARCH CENTERS: Eligible applicants may include any nonprofit or for-profit organization; for STATE AND COMMUNITY PROGRAM GRANTS/COOPERATIVE AGREEMENTS: State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the

Republic of Palau) and political subdivisions of States (in consultation with States), Federally recognized or state-recognized American Indian/Alaska Native tribal governments, American Indian/Alaska native tribally designated organizations, Alaska Native health corporations, Urban Indian health organizations, Tribal epidemiology centers; for COMMUNITY-BASED PROGRAMS: public, private, nonprofit and for-profit organizations may be eligible.

**Beneficiary Eligibility:**

FOR RESEARCH GRANTS: Academic health centers, scientist/researchers, operational public health programs, State and local governments, and public and private organizations involved in injury research. FOR STATE AND COMMUNITY-BASED GRANTS AND COOPERATIVE AGREEMENTS: State and local health departments, and community-based organizations.

**Credentials/Documentation:**

For all nonprofit grantees, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. For-profit organizations' costs are determined in accordance with the Federal Acquisition Regulations, 48 CFR 31. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. Funding Opportunity Announcements for this program are posted on [www.Grants.gov](http://www.Grants.gov), the official federal agency wide e-grant Web site. Application forms and instructions specific to each announcement are posted at that site. Electronic Submission: CDC strongly encourages the applicant to submit applications electronically by utilizing the forms and instructions posted on [www.Grants.gov](http://www.Grants.gov). Registering your organization through [www.Grants.gov](http://www.Grants.gov) is the first step in submitting applications online. Registration information is located in the "Get Started" screen of [www.Grants.gov](http://www.Grants.gov) and the one-time registration process will take three to five days to complete. While application submission through [www.Grants.gov](http://www.Grants.gov) may be optional for various announcements, we strongly encourage you to use this online tool. Please visit [www.Grants.gov](http://www.Grants.gov) at least 30 days prior to filing your application to familiarize yourself with the registration and submission processes. We suggest submitting electronic applications prior to the closing date so if difficulties are encountered, you can resolve them prior to the deadline. For further assistance contact GrantsInfo, Telephone: (301) 435-0714, E-mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). For the hearing impaired: TTY (770) 488-2783. If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIM) staff at: (770) 488-2700. DUNS Number: Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System number as the universal identifier when applying for Federal grants or cooperative agreements. The D&B number can be obtained by calling (866) 705-5711 or through the web site at <http://www.dnb.com/us/>.

**Award Procedure:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff, and for responsiveness by the National Center for Injury Prevention and Control and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. FOR RESEARCH GRANTS: Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by NCIPC in accordance with the review criteria stated below. All applications will: undergo a selection process in which only those

applications deemed to have the highest scientific merit, generally the top half of applications under review, will be discussed and assigned a priority score; receive a written critique; receive a second level of review by the Board of Scientific Counselors. FOR NON-RESEARCH GRANTS/COOPERATIVE AGREEMENTS: Applicants are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the grant or cooperative agreement. Measures of effectiveness must relate to the performance goals stated in the "Purpose" section of the announcement. Measures must be objective and quantitative and must measure the intended outcome. The measures of effectiveness must be submitted with the application and will be an element of evaluation. An objective review panel will evaluate complete and responsive applications according to the criteria listed. The objective review process will follow the policy requirements as stated in the GPD 2.04, <http://198.102.218.46/doc/gpd204.doc>.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Renewals are made by competitive applications and reviews.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

From one to five years (noncompeting renewals based on availability of funds). Method of awarding/releasing assistance: lump sum.

**Reports:**

Equipment inventory (three months after end of project); invention statement (annual) and reprints and copies of resulting publications. No cash reports are required. Interim progress report (annual) and final performance report (three months after end of project). For Injury Control Research Centers, an annual progress report is also required. For Applied Methods in Surveillance, and State and Community-Based Injury Control Programs, semi-annual progress reports are also required. Financial status reports (annual). Final performance report (three months after end of project). For Injury Control Research Centers, an annual progress report is also required. For Applied Methods in Surveillance, and State and Community-Based Injury Control Programs, semi-annual progress reports are also required. Site visits performed as needed/required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of a budget period. If questions still remain, such as those raised as a result of audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0952-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$107,758,688; FY 12 est \$91,503,588; and FY 13 est \$91,503,588

**Range and Average of Financial Assistance:**

Injury Control Research Centers: \$900,618. Injury Control Research Projects: \$200,000 to \$300,000; \$250,000. State and Community Based Injury Control Programs: \$40,000 to \$300,000; \$170,000. Violence Prevention Programs: \$80,609 to \$1,946,399; \$1,013,504. Motor Vehicle Prevention Programs: \$247,500 to \$803,000; \$525,250. Poison Control Programs: \$150,000 to \$803,000; \$476,500.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, CDC provided technical assistance and grant funds to 11 ICRCs and RO1 Grantees to conduct applied research in jury prevention and control. Fiscal Year 2012: Fiscal years 2012 awards are expected to support the same injury-related areas as in fiscal year 2011. Fiscal Year 2013: Fiscal years 2013 awards are expected to support the same injury-related areas as in fiscal year 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; basic grant administration policies of DHHS and PHS are also applicable, 45 CFR 74 and 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None. Injury Control Research Centers: Christine Morrison, Program Manager, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F63), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 cjm3@cdc.gov. Telephone: (770) 488-4233 FAX: (770) 488-1665. R-01 Awards: Walter (Paul) Smutz, Program Manager, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F63), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 pos1@cdc.gov. Telephone: (770) 488-4850 FAX: (770) 488-1665. Community- Based Grant Programs Robin Forbes, Public Health Advisor, Resource Management Team, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (F63), 4770 Buford Hwy. NE Atlanta, Georgia 30341-3724 rjf0@cdc.gov. Telephone: (770) 488-1324 Fax: (770) 488-1662.

**Headquarters Office:**

Robin J. Forbes, 4770 Buford Hwy NE, MS-F63, Atlanta, Georgia 30341-3724 Email: rjf0@cdc.gov Phone: (770) 488-1324.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention being given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as richness, breadth, and scientific merit of the overall application relative to the types of research, demonstrations, and special projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed activities; (3) feasibility and likelihood of producing meaningful results based on the significance of the proposed activities and relevant evaluation procedures; (4) overall match between the proposed programs and the nation's health priorities and needs; and (5) reasonableness of the proposed budget in relation to the work proposed.

**93.137 COMMUNITY PROGRAMS TO IMPROVE MINORITY HEALTH GRANT PROGRAM**

Community Partnership

**FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

**AUTHORIZATION:**

OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6,

Section 1707 of the Public Health Service Act, as amended.

**OBJECTIVES:**

To support minority community health coalitions to develop, implement, and conduct demonstration projects which coordinate integrated community-based screening and outreach services, and include linkages for access and treatment to minorities in high-risk, low-income communities; and to support minority community health coalitions involving non-traditional partners in carrying out projects to increase the educational understanding of HIV/AIDS, increase testing, and improve access to HIV/AIDS prevention and treatment services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to conduct collaborative efforts to modify the behavioral and/or environmental conditions which are implicated in the health problems of minority groups: for example, cancer; cardiovascular disease and stroke; chemical dependency; diabetes; homicide, suicide, and unintentional injuries; infant mortality; human immunodeficiency virus (HIV) infection and acquired immunodeficiency syndrome (AIDS). These projects are to address socio-cultural and linguistic barriers to care and should have the potential for replication in similar communities. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or to supplant ongoing project activities.

**Applicant Eligibility:**

Eligible applicants are private nonprofit community-based minority serving organizations which will serve as the grantee organization for the coalition. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Members of minority groups: American Indians or Alaska Natives; Asians; Blacks or African Americans; Hispanics or Latinos; Native Hawaiians or other Pacific Islanders; or subgroups of these populations.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health, will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 to 120 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Grant projects can have a 3-year project period with 12-month budget periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant projects can have a 3-year project period with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the notice of grant award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$10,150,000; FY 12 est \$15,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$100,000-\$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact: Office of Minority Health, Division of Program Operations, 1101 Wootton Parkway, Suite 600, Rockville, MD 20852. Telephone: (240) 453-8444.  
Grants Management Contact: Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.138 PROTECTION AND ADVOCACY FOR INDIVIDUALS WITH MENTAL ILLNESS**

(PAIMI)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Protection and Advocacy for Individuals with Mental Illness Act of 1986, 42 U.S.C 10801, et seq.; Developmental Disabilities Assistance and Bill of Rights Act, as amended October 30, 2000, 42 U.S.C 6041 et seq.

**OBJECTIVES:**

To enable the expansion of the Protection and Advocacy system established in each State to: (1) Protect and advocate the rights of individuals with mental illness; (2) investigate incidents of abuse and neglect of individuals with mental illness if the incidents are reported to the system or if there is probable cause to believe that the incidents occurred; (3) investigate incidents of serious injury and deaths in public and private care and treatment facilities and non-medical community-based facilities for children and youth; and (4) to receive reports of all serious injuries and deaths related to incidents of seclusion and restraint in public and private care and treatment facilities in the States and Territories.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to assist in meeting the costs of planning, developing, expanding, and implementing activities to support attainment of the protection and advocacy goals. Grant funds must supplement, not supplant, nonfederal funds available in the State in which the protection and advocacy system is established. Not more than 10 percent of an allotment can be used for providing technical assistance and training for staff, and a system which is a public entity cannot be required by the State to obligate more than 5 percent of the allotment for administrative expenses.

**Applicant Eligibility:**

State and local government agencies, public or private organizations designated by the Governor under Part C of the Developmental Disabilities Assistance and Bill of Rights Acts as systems to protect and advocate the rights of persons with developmental disabilities in that State.

**Beneficiary Eligibility:**

Individuals with significant mental illness or severe emotional impairment (children) who are at risk for abuse, neglect, or civil rights violations while residing in care or treatment facilities have service priority. Persons with significant mental illness and severe emotional impairment living in the community, including their own home, may be served as determined by their state protection and advocacy systems PAIMI program funded priorities and objectives and available resources includes persons who are in the process of being admitted to a facility rendering care or treatment, persons being transported to such a facility, or persons who are involuntarily confined in a municipal detention facility, jails, or prisons.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular A-110 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An annual application is required in accordance with 42 CFR Part 51.

**Award Procedure:**

Grants are directly awarded by the Center for Mental Health Services to the system established in the State to protect and advocate the rights of persons with developmental disabilities, as outlined in the "Developmental Disabilities Assistance and Bill of Rights Act of 2000", as amended October 30, 2000 by Public Law 106-420 (45 USC 6041 et seq.) .

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 42, Part 51, Public Law 106-420. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation over a 24-month period; payments are made through an Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

**Reports:**

By January 1, an annual report must be submitted in accordance with the requirements stated in the authorizing Act (Public Law 106-420) at Section 105(a) (7) and Section 114. Federal Financial Report (FFR-425) is due 90 days after the end of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for at least 3 years after the date of submission of required Federal Financial Reports (FFR-425).

**Account Identification:**

75-1363-0-1-551.

**Obligations:**

(Formula Grants) FY 11 \$35,581,095; FY 12 est \$35,513,612; and FY 13 est \$35,513,612

**Range and Average of Financial Assistance:**

\$229,900 - \$3,134,571; \$623,046.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 57 awards were made. Fiscal Year 2012: 57 awards were

made. Fiscal Year 2013: It is estimated 57 awards will be made in FY2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1386 Subpart B (DD regulations) and 42 CFR 51 (PAIMI regulations), Notice of Proposed Rulemaking FR 59739: 64367ff, December 14, 1994, 45 CFR 92 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 45 CFR 74 Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1091, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for allotments must fulfill statutory requirements.

**93.140 INTRAMURAL RESEARCH TRAINING AWARD (IRTA)****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Health Professionals Education Partnerships Act, Title IV, Section 409, 42 U.S.C 282(b)(13).

**OBJECTIVES:**

The National Institutes of Health (NIH) IRTA Traineeships are established for the principal benefit of the participants and to provide opportunities for developmental training and practical research experience in a variety of disciplines related to biomedical research, medical library research and related fields. The IRTA components are: 1) Postdoctoral IRTA - is designed to provide advance practical research experience to physicians and other doctoral researchers who are at the beginning stages of their professional research careers; 2) Predoctoral IRTA - is designed to provide practical research training and experience to students, by supplementing academic course work and/or encouraging pursuit of professional careers in biomedical research to: a) students enrolled in doctoral degree programs in biomedical sciences; b) students who have been accepted into graduate, doctoral, or medical degree programs and wish an opportunity to delay or interrupt their education for an interim research experience before entering school; 3) post baccalaureate IRTA - is designed to provide recent college graduates, particularly minorities, women, and persons with disabilities, an opportunity to postpone application to graduate or medical school and to provide a means to introduce individuals early in their careers to the research field, encourage their pursuit of professional careers in biomedical research, and allow additional time to pursue successful application to either graduate or medical school programs; 4) technical IRTA - is designed to produce a cadre of highly trained research support professionals capable of performing the latest advanced techniques in a laboratory by developing the trainees' skills in the conduct of basic and applied research; and 5) student IRTA - is designed to provide a developmental training experience to promising high school and undergraduate and graduate students who have expressed a strong interest in or are studying disciplines related to biomedical sciences.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Participants in the IRTA Program will be provided access to NIH facilities and

equipment and assistance in their training from senior NIH researchers. Trainees may not engage in primary patient care activities, be assigned official supervisory responsibilities, or sign documents on behalf of the Government. Funding support will come from the individual National Research Institutes, Centers and Divisions (ICD) that comprise the National Institutes of Health. All funding is discretionary and subject to the availability of appropriations and apportionment. The IRTA Program does not include financial loans.

**Applicant Eligibility:**

Candidates for IRTA Program must be U.S. Citizens or Permanent Resident Aliens: 1) Postdoctoral IRTA participants must possess a Ph.D., M.D., D.D.S., D.M.D., D.V.M. or equivalent degree in biomedical, behavioral or related sciences; or certification by a university as meeting all the requirements leading to such a doctorate; and 5 or fewer years of relevant postdoctoral experience and up to 2 additional years of experience not oriented toward research (i.e., clinical training for physicians); 2) predoctoral IRTA participants must be: a) students enrolled in Ph.D., M.D., D.D.S., D.M.D., D.V.M., or equivalent degree programs at fully accredited U.S. universities, which frequently involves dissertation research. The research experience is undertaken as an integral part of the student's ongoing academic preparation and is credited toward completion of degree requirements; or b) students who have been accepted into graduate, doctoral, or medical degree programs and who have written permission from their school either to delay entrance for up to 1 year, or to interrupt their current schooling and to return within 1 year to their degree granting programs; 3) post baccalaureate IRTA participants are individuals who have graduated from a fully accredited college or U.S. university no more than 2 years prior to the activation date of traineeship, and intend to apply to graduate or medical school in biomedical research within the next year or students who have been accepted into graduate, other doctoral or medical degree programs and who have written permission of their school to delay entrance for up to 1 year; 4) technical IRTA participants are individuals who have graduated from a fully accredited U.S. college or university with a bachelor's or master's degree in any discipline; and 5) student IRTA participants are at least 16 years of age and are enrolled at least half-time in high school or have been accepted for or are enrolled as an undergraduate or graduate in an accredited U.S. college or university and are in good academic standing.

**Beneficiary Eligibility:**

The IRTA Program benefits the participants by combining an opportunity for study with practical work experience and valuable research training experience at the NIH.

**Credentials/Documentation:**

These standards are contained in the Applicant Eligibility section. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Postdoctoral applicants submit their materials directly to Institutes and Centers at the NIH; all other applicants submit materials to the NIH Office of Intramural Training & Education via online application systems : 1) Postdoctoral IRTA applicants must submit CV, bibliography, 3 letters of reference, statement of research goals, official copy of transcript, and must provide an official copy of doctoral degree and brief summary of doctoral dissertation; 2) predoctoral IRTA applicants must submit CV, bibliography, 3 letters of reference emphasizing research potential, statement of research goals, an official copy of undergraduate, graduate, and/or medical school transcript, and verification from the university that the applicants is in good academic standing, is enrolled in a doctoral degree program, and that the school is agreeable to the student's participation. In addition, (if applicable), must have written permission from their institutions to interrupt their educational program including a written agreement allowing students to return to their degree program within 1 year; 3) post baccalaureate IRTA applicants must submit CV, bibliography, 3 letters of reference emphasizing potential, statement of research goals, and official copy of undergraduate school transcript; 4) technical IRTA

applicants must submit a resume or CV, 2 letters of reference, statement of career goals, and official copy of undergraduate transcript; and 5) student IRTA applicants must submit a resume or CV, 2 letters of reference, official copy of school transcript, letter from school verifying academic standing, information on honors and achievements, and statement of interest in biomedical research.

**Award Procedure:**

Awards are made by the interested Institutes or Centers based on the information provided by the applicant, the availability of NIH researchers to provide training, and the availability of financial and other resources to support the research training.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Generally, an applicant is advised that an award has or has not been provided within 90 days from submitting an application.

**Appeals:**

Not Applicable.

**Renewals:**

1) Postdoctoral IRTA component: Initial traineeship are for 1 or 2 years with a maximum traineeship of 5 calendar years. 2) Predoctoral IRTA component: Initial traineeship are for 1 month to 2 years with a maximum traineeship of 5 calendar years. 3) Post baccalaureate IRTA component: Initial traineeship is for 1 year with a maximum traineeship of 2 calendar years. 4) Technical IRTA component: Initial traineeship are for 2 years with a maximum traineeship of 3 calendar years. 5) Student IRTA component: Initial traineeship is for 1 month to 1 year. The maximum traineeship period is unlimited as long as the student meets eligibility criteria.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Monthly stipend payments are made directly to awardees. See the following for information on how assistance is awarded/released: Monthly stipend payments are made directly to awardees.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Not Applicable.

**Account Identification:**

75-0846-0-1-552.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 est \$88,265,000; and FY 13 Estimate Not Available - Includes awards to postdocs, graduate students, postbaccs, and summer students.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon L. Milgram, 2 Center Drive, Bethesda, Maryland 20892 Email: milgrams@od.nih.gov Phone: (301) 594-2053.

**Website Address:**



<http://www.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.142 NIEHS HAZARDOUS WASTE WORKER HEALTH AND SAFETY TRAINING**

Superfund Worker Training Program

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, as amended, Title I, Section 126, Public Law 99-499; Public Health Service Act, Section 405(b)(1)(C), as amended, Public Law 99-158.

**OBJECTIVES:**

To provide cooperative agreements and project grant support for the development and administration of model worker health and safety training programs consisting of classroom and practical health and safety training of workers and their supervisors, who are engaged in activities related to hazardous materials, hazardous waste generation, treatment, storage, disposal, removal, containment, transportation, or emergency response. To assist organizations in the development of institutional competency to provide appropriate training and education to hazardous waste workers.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

Cooperative agreements and project grants are intended to support the direct costs of a project, in accordance with an approved budget, plus indirect costs at a pre-established rate. Both the award and use of funds are subject to applicable provisions of basic statutory authorities, appropriations acts, pertinent regulations, and operating policies of the National Institute of Environmental Health Sciences (NIEHS), the National Institutes of Health (NIH), and the Department of Health and Human Services (DHHS).

**Applicant Eligibility:**

A public or private nonprofit entity, including tribal governments, that provide worker health and safety education and training, may submit an application and receive a cooperative agreement or project grant for support of waste worker education and training by a named principal investigator. Recipients/grantees may use services, as appropriate, of other public or private organizations necessary to develop, administer, or evaluate proposed worker training programs, as long as the requirement for awards to nonprofit organizations is not violated. Nonprofit organizations which are incorporated under 501(c)(4) are prohibited from receiving grants.

**Beneficiary Eligibility:**

Any public or private entity providing worker safety and health education and training will benefit from this program.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular A-21 for universities, and A-122 for private nonprofit other than universities. For other recipient/grantees, costs will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and

instructions for their submission are available from the Office of Extramural Outreach and Information, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714; e-mail: [ASKNIH@odrockml.od.nih.gov](mailto:ASKNIH@odrockml.od.nih.gov) and the National Institute of Environmental Health Sciences (MD 3-01), P.O. Box 12233, 104 Alexander Drive, Research Triangle Park, NC 27709. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program by those applicants that are State and local units of government. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate.

**Award Procedure:**

As required in HHS Regulations, 42 CFR Part 65, applications will be reviewed administratively by NIEHS staff for completeness and responsiveness to the program announcement. Applications then will be reviewed on a competitive basis for technical merit by an ad hoc review committee composed primarily of non-government members with expertise in occupational safety and health training and hazardous waste operations convened by the NIEHS. A second level of review will be conducted by the National Advisory Environmental Health Sciences Council. This second level of review will be for program relevance. The final approval of these recommendations and decisions concerning funding is made by the Director, National Institute of Environmental Health Sciences (NIEHS) or, if in conflict, by appropriate NIH staff. Formal award notices are sent to successful applicants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 8 to 9 months.

**Appeals:**

> 180 Days. A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal awards are subject to the same criteria as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Full program cooperative agreements may be awarded for up to 5 years, generally in 12-month budget periods. Funds are released primarily on the basis of an Electronic Transfer System. The Request for Application announcement is expected to be release in the summer of 2014. See the following for information on how assistance is awarded/released: Funds are released primarily on the basis of an Electronic Transfer System.

**Reports:**

A detailed annual cooperative agreement or project grant summary report is required with the renewal application for all program recipients/grantees. Annual and final progress reports, and financial status reports are required for all awardees. Cash reports are not applicable. A detailed annual cooperative agreement or project grant summary report is required with the renewal application for all program recipients/grantees. Annual and final progress reports, and financial status reports are required for all awardees. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial and program records must be retained for 3 years from the day on which the awardee submits the final financial status report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Cooperative Agreements) FY 11 \$27,113,000; FY 12 est \$27,067,000; and FY 13 est \$27,067,000 - Reimbursable funding from the oil spill are not reported.

**Range and Average of Financial Assistance:**

Range: \$80,472 to \$3,475,410

Average: \$875,193.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; NIH Grants Policy Statement October 1, 2010. Other publications, information, and applications and kits are available from the Office of Extramural Research, Outreach and Activities Resources, National Institutes of Health, Bethesda, MD 20892, and the NIEHS (MD EC-22), P.O. Box 12233, 111 Alexander Drive, Research Triangle Park, NC 27709.

**Regional or Local Office:**

None. Headquarters Office: Program Contact: Mr. Joseph T. Hughes, Jr., Program Director, Worker Education and Training Program, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-0217, E-mail: Hughes3@niehs.nih.gov. Grants Management Contact: Pamela B. Clark, Grants Management Specialist, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-7629, E-mail: evans3@niehs.nih.gov.

**Headquarters Office:**

Benigno Encarnacion, 111 TW Alexander Drive, Research Triangle Park, North Carolina 27709 Email: encarna1@niehs.nih.gov Phone: (919) 541-5147.

**Website Address:**

[http://www.niehs.nih.gov/careers/hazmat/about\\_wetp/index.cfm](http://www.niehs.nih.gov/careers/hazmat/about_wetp/index.cfm)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: During the current year (2011), WETP continued to develop and implement services to Spanish-speaking workers - meeting their needs for training they can understand and implement. The WETP continued to prepare for disasters that are certain to occur; for example, curricula and trainers are being prepared for the requirements of a long-term response to a major, chemical disaster. And the WETP continued to maintain a gold standard of safety and health training - real hands-on and classroom training that our evaluations show reduces occupational death, disease, and injury. Fiscal Year 2012: During FY 2012 WETP will continue to develop and implement services to Spanish-speaking workers - meeting their needs for training they can understand and implement. The WETP will continue to prepare for disasters that are certain to occur; for example, curricula and trainers are being prepared for the requirements of a long-term response to a major, chemical disaster. And the WETP will continue to maintain a gold standard of safety and health training - real hands-on and classroom training that our evaluations show reduces occupational death, disease, and injury. Fiscal Year 2013: WETP will continue to provide occupational safety and health education in developing and delivering high quality training to workers who are involved in handling hazardous waste or in responding to emergency releases of hazardous materials. Funded awardee information is available at the following website:

[http://www.niehs.nih.gov/careers/hazmat/programs/hwvt/hwvt\\_awardees/index.cfm](http://www.niehs.nih.gov/careers/hazmat/programs/hwvt/hwvt_awardees/index.cfm).

**CRITERIA FOR SELECTING PROPOSALS:**

The following factors considered for applications for full program cooperative agreements include: (1) Methods and techniques to be used for identifying, describing, and accessing target worker populations and anticipated impact of the proposed program; (2) evidence of the organization's performance and effectiveness in planning, implementing and operating appropriate worker health and safety training and education programs; (3) adequacy of the detailed program plan for curricula development, training of instructors, distribution of course materials, and direct student training; (4) technical and professional expertise of the proposed program director, present or proposed staff, and consultants; (5) methods proposed for evaluating appropriateness, quality, and effectiveness of training; (6) availability of appropriate facilities and equipment to support the described educational and training activities including hands-on instruction and demonstration; (7) evidence of the organization's past performance and effectiveness in planning, implementing, and operating training and education programs for workers; (8) the likelihood that the program will continue beyond the grant period; and (9) reasonableness of the proposed program activities.

**93.143 NIEHS SUPERFUND HAZARDOUS SUBSTANCES\_BASIC RESEARCH AND EDUCATION**

NIEHS Superfund Research Program

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Superfund Amendments and Reauthorization Act of 1986, Title I, Section III, and Title II, Section 209, Public Law 99- 499, as amended; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, Section 311(a), Public Law 96-510; Public Health Service Act, Section 301, Public Law 78-410, as amended; Public Law 99-500.

**OBJECTIVES:**

To establish a unique program linking biomedical research with engineering, geoscience and ecological research. The goals of the Program are to establish and support an innovative program of basic research and training consisting of multi-project, interdisciplinary efforts and individual investigator projects. Areas of research may include: (1) methods and technologies to detect hazardous substances in the environment; (2) advance techniques for the detection, assessment, and evaluation of the effects of hazardous substances on humans; (3) methods to assess the risks to human health presented by hazardous substances; and (4) and basic biological, chemical, and physical methods to reduce the amount and toxicity of hazardous substances. It is intended that advanced or graduate training be integrated into the multi-project research program to provide opportunities in biomedical and environmental health, environmental sciences, ecology, and geosciences. The Program encourages the integration of interdisciplinary training to ensure that its students are prepared to tackle the complex issues presented by hazardous waste sites.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research grants are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Grants made under this program are for university-based programs, and the objective is to establish and maintain coordinated research efforts that link basic biomedical research with related engineering, hydrogeological and ecological studies. In addition, the Superfund Research Program supports small business research through the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs. The award and use of funds are subject to applicable provisions of basic statutory authorities, appropriations acts, pertinent regulations, and operating policies of the National Institute of Environmental Health Science (NIEHS), the National Institutes of Health (NIH), and the Department of Health and Human Services (DHHS).

**Applicant Eligibility:**

An accredited institution of higher education, as defined in the Higher

Education Act, 20 U.S.C. (annotated) 3381, may submit an application and receive a grant for support of research by a named principal investigator. Subcontracts may be made with public and private organizations, including: generators of hazardous wastes; persons involved in the detection, assessment, evaluation, and treatment of hazardous substances; owners and operators of facilities at which hazardous substances are located; and State, local and Tribal governments. Nonprofit organizations which are incorporated under 501(c)(4) are prohibited from receiving grants. Organizations applying for a grant under the SBIR/STTR programs must qualify as a U.S.-owned Small Business Concern (SBC).

**Beneficiary Eligibility:**

Any accredited institution of higher education engaged in biomedical research and/or engineering and ecological research. SBIR and STTR awards are restricted to small business that meet NIH's criteria for SBC. Tribal entities that meet these requirements are eligible to apply.

**Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for universities, and A-122 for private nonprofit other than universities. For-profit organizations, costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Letter of Intent Prospective applicants are asked to submit a letter of intent. Although it is not required, is not binding, and does not enter into the review of a subsequent application, the information that it contains allows IC staff to estimate the potential review workload and plan the review. It is due one month prior to the receipt of the applications. Applications for the Superfund Research Program are accepted in response to funding opportunity announcements (FOA) which are posted on National Institute of Environmental Health Sciences website (<http://www.niehs.nih.gov/research/supported/srp/funding/index.cfm>). Applications submitted in response to a multi component FOA must use the PHS 398 (version dated 6/09) paper submission. Application instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Applications submitted in response to an individual investigator FOA must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. SBIR/STTR grant applications are accepted in response to the NIH Omnibus solicitation using the SF424 electronic application process (<http://www.grants.gov>). The omnibus grant solicitation is released in early spring of each year and has 3 receipt dates: April 5, August 5 and December 5.

**Award Procedure:**

Grants are awarded on the basis of a dual review by peer groups of all applications. The first level of review is by a Special Emphasis Panel of peers for scientific merit. The National Advisory Environmental Health Sciences Council provides a secondary level of review for all applications.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 9 to 12 months.

**Appeals:**

> 180 Days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is

available on the NIH home page  
<http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal requests are subject to the same criteria as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Research Grants for the multi component and individual investigator may be awarded for up to 5 years, generally in 12-month budget periods. See the following for information on how assistance is awarded/released: Funds are released primarily on the basis of an Electronic Transfer System.

**Reports:**

No program reports are required. No cash reports are required. Annual and final progress reports and financial status reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditure and other financial and program records must be retained for 3 years from the day on which the grantee submits the final financial status report for the report period.

**Account Identification:**

75-0862-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$47,921,000; FY 12 est \$47,841,000; and FY 13 est \$47,841,000

**Range and Average of Financial Assistance:**

Range: \$7,500 to \$3,272,308  
Average: \$1,229,605.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Superfund Research Program is committed to protecting the nations citizens by supporting research on the effects of environmental contaminants and developing strategies to reduce exposures and prevent disease.

For example, in Fiscal Year 2011, Program grantees demonstrated the potential for consuming unhealthy amounts of arsenic via rice. The grantees found significant differences in the urinary arsenic concentrations of pregnant women who had eaten rice in the previous two days in comparison those who had not. The Investigators findings highlight the importance to monitor arsenic in the food supply, as both the U.S. and the E.U. do not have statutory limits on arsenic content in rice. This study also reveals the need to determine the potential health impacts from this source of exposure.

In another example for Fiscal Year 2011, Superfund Research Investigators devised a water purification technique that eliminates the need for addition of expensive and harmful chemicals to degrade toxic organic compounds. To accomplish this, Program researchers utilized nanostructured materials immobilized onto a membrane that reacted with simple glucose to degrade toxic organic compounds from groundwater. Fiscal Year 2012: In FY 2012, the Superfund Research Program continued to support research and make advances in the areas germane to its legislative mandates: to develop methods to detect hazardous substances in the environment; advance techniques for the detection, assessment, and evaluation of the effects of hazardous substances on humans;

research methods to assess the risks to human health presented by hazardous substances; and develop basic biological, chemical, and physical methods to reduce the amount and toxicity of hazardous substances. Fiscal Year 2013: In Fiscal Year 2013, the Superfund Research Program will continue to support large, multi-project center grants, individual investigator grants and Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs in order to advance research in accordance with the mandates specified in with the Superfund Amendments and Reauthorization Act (SARA) of 1986.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; NIH Guide to Grants and Contracts; NIH Grants Policy Statement, October 1, 2010. Other publications, information, and applications and kits are available from the Office of Extramural Research, Outreach and Activities Resources, National Institutes of Health, Bethesda, MD 20892, and the NIEHS, P.O. Box 12233, 111 Alexander Drive, Research Triangle Park, NC 27709.

#### **Regional or Local Office:**

None. Program Contact: Dr. William Suk, Director, Superfund Hazardous Substance Basic Research and Training Program, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Public Health Service, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. E-mail: [suk@niehs.nih.gov](mailto:suk@niehs.nih.gov), Telephone: (919) 541-0797. Grants Management Contact: Lisa A. Edwards, Grants Management Officer, Grants Management Branch, Division of Extramural Research and Training, National Institute of Environmental Health Sciences, National Institutes of Health, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, NC 27709. Telephone: (919) 541-0751; E-mail: [archer@niehs.nih.gov](mailto:archer@niehs.nih.gov).

#### **Headquarters Office:**

Benigno Encarnacion, 111 TW Alexander Drive, Research Triangle Park, North Carolina 27709 Email: [encarna1@niehs.nih.gov](mailto:encarna1@niehs.nih.gov) Phone: (919) 541-5147.

#### **Website Address:**

<http://www-apps.niehs.nih.gov/sbrp/>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In Fiscal Year 2011, NIEHS renewed three new multi project grants. One grant provides \$ 12.9 million over a period of five years to enhance the broad understanding of chemical impacts on developing organisms and develop approaches for reducing these impacts. This research concentrates on a mechanistic approach: mechanisms underlying developmental perturbations, mechanisms underlying ameliorations of and adaptations to these effects, and mechanisms underlying engineered solutions for the ultimate removal of these chemicals from the environment. A major cross-cutting theme is that of potential biological "costs" of early life exposures to humans and ecosystems, and of remediation strategies.

In another grant, \$14.7 million over five years will be used to study the human health and environmental risks associated with hazardous waste sites, with the goal of more accurately assessing risks and more efficiently remediating hazardous waste sites. It will focus is research on developing biomarkers of exposure and effect for human and experimental models of environmental disease; applying new molecular and analytical tools in a systems biology framework to understand metabolic pathways critical for environmental disease; elucidating mechanisms that associate maternal cadmium exposure with poor newborn health outcomes and identifying molecular pathways that underlie susceptibility to metal-induced toxicity; determining the genetic and metabolic factors contributing to dermal absorption and the relationship of internal dose to total systemic exposure; elucidating the modes of action for major chlorinated hydrocarbons and polycyclic aromatic hydrocarbons and examining whether modes of action hold constant over the range of likely exposures; evaluating the extent to which remediation and bioremediation practices result in measurable reductions in toxicity and genotoxicity; and developing and evaluating remediation methods in complex, field-relevant systems for their potential to reduce overall human exposures and risks.

In a third grant, \$14.5 million is being directed to using state-of-the-art technology, including 'omics' and nanotechnology, to develop biological

markers and apply them in human population studies, especially those involving susceptible populations such as children and pregnant women; to improve chemical detection; and facilitate and lower the cost of waste site remediation. This highly integrated research endeavor is focusing on environmental exposures currently encountered at hazardous waste sites and several contaminants of emerging human health concern. Specific aims are to develop advanced techniques for the detection, assessment, and evaluation of the effect of hazardous substances on human health and improve methods to assess the risks to human health presented by benzene, arsenic, trichloroethylene and other hazardous substances. It is using nanotechnology to develop methods to detect hazardous substances in the environment in a simple, inexpensive fashion and is developing biological, chemical, and physical methods to remediate waste sites and reduce the amount and toxicity of hazardous substances.

It is anticipated that a fourth grant will be award later in the fiscal year to addresses the synergistic interactions of combustion-generated organic pollutants and particles that increase their chemical and biological activity. Goals include understanding the relationships between the origins, mechanisms of formation, nature of emissions; biological availability; and biological activity of toxic combustion by-products. Research will focus on the origin and health impacts of four classes of pollutants: combustion generated ultra-fine particles (UFPs); persistent free radicals (PFRs); chlorinated hydrocarbons (CHQs); and brominated hydrocarbons (BHG).

In 2011, NIEHS released an RFA, Innovative Bioavailability Assays to Assess the Effectiveness of Contaminated Sediment Remediation for individual investigator project grants. Grants awarded in response to this RFA will be for three years and directed to the development of innovative assays of bioavailability that may be used to determine the effectiveness of sediment remediation in reducing risks to humans. The ultimate goals of funding grants under this solicitation are two-fold: first, to develop and introduce new tools to assess whether remediation efforts are protective of human health; and second, to increase use of bioavailability in risk assessment through providing scientifically-valid, practical, and cost-effective tools. It is anticipated that four five awards will be made in 2011.

In 2011, the Superfund Research Program funded three new Small Business Innovative Research grants for a total of \$1.2 million. The grants will be for the detection and remediation of hazardous substances. Fiscal Year 2012: In Fiscal Year 2012, NIEHS Superfund Research Program renewed three multi-project center grants (<http://tools.niehs.nih.gov/srp/programs/index267.cfm>). One grant provides \$13.2 million over a period of five years to study the health effects and geochemistry of arsenic and manganese. Included in its investigations area longitudinal epidemiologic study to evaluate the effects of arsenic exposure in a population in Bangladesh; consequences of As and Mn exposure on children's health; and impact of nutrition on arsenic-induced epigenetic dysregulation. This research endeavor is intimately intertwined with other research projects that will look at arsenic, iron, sulfur and organic carbon speciation, and their impact on groundwater arsenic; application of enhanced mitigation methods for groundwater As at US Superfund Sites; and defining the sustainable uses of low-As aquifers in Bangladesh.

Another previously funded multi-project grant was awarded \$14.5 million over a period of five years. Under this grant, investigators are gaining new perspectives on the molecular and genetic basis of the biological effects of toxicant exposure leading to new methodologies for gauging health risks and assessing health effects; innovative detection and monitoring systems for toxicity; and novel models for bioremediation. Using the prior observation that chemical exposure leads to alterations in patterns of gene expression, which are controlled and regulated by underlying signal transduction pathways, the researchers will test the hypothesis that alterations in biological response by Superfund site chemicals can be exploited to develop models for the detection and bioremediation of chemical toxicants. The investigators have also formed partnerships with local industry and community groups to develop biological tools for assessment of exposure levels arising from waterborne pollutants in order to predict health risk.

In the third grant renewal, \$11.6 million was awarded over five years to identify receptor-based toxic effects of superfund chemicals on development and reproduction in humans and wildlife. The chemicals under study are organic compounds of special interest to the SRP mandate that initiate their toxic actions by interacting with specific molecules inside cells called receptors that

can lead to cell development alterations. A special feature of this research center is a coordinated set of parallel projects examining molecular and population effects of developmental toxins in the standard laboratory zebra fish model and a widespread environmental sentinel, the killifish. Epidemiological studies of developmental and reproductive outcomes from exposure to the high-prevalence Superfund chemicals perchloroethylene (PCE, tetrachloroethene), PCBs, the pesticide methoxychlor, phthalate, organotins and metals target knowledge gaps identified as special research needs by EPA/ATSDR. A major feature is the development of novel methods to address some of the most difficult problems associated with the typical hazardous waste epidemiological and toxicological datasets, temporal spatial distribution and interaction in mixtures.

In 2011, NIEHS Superfund Research Program released an Request for Applications (RFA), Innovative Bioavailability Assays to Assess the Effectiveness of Contaminated Sediment Remediation for individual investigator project grants. In response to this RFA, in 2012 five grants were awarded for a period of three years. These grants were directed to the development of innovative assays of bioavailability that may be used to determine the effectiveness of sediment remediation in reducing risks to humans. The ultimate goals of funding grants under this solicitation are two-fold: first, to develop and introduce new tools to assess whether remediation efforts are protective of human health; and second, to increase use of bioavailability in risk assessment through providing scientifically-valid, practical, and cost-effective tools. Additional information for these awards can be found at (<http://tools.niehs.nih.gov/srp/programs/r01current.cfm>).

Also in Fiscal Year 2012, the NIEHS Superfund Research Program, funded a new Small Business Innovative Research grant (<http://tools.niehs.nih.gov/srp/programs/index269.cfm>) for a total of \$141,000. The grant will be for detection of hazardous substances. Fiscal Year 2013: No current data are available for Fiscal Year 2013.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Major factors considered in the evaluation of responsive applications include: (1) Scientific merit of each proposed project, including the novelty, originality, and feasibility of the approach and the adequacy of the experimental design; (2) technical merit and justification of each core unit; (3) competence of the investigators to accomplish the proposed research goals, their commitments, and the amount of time they will devote to the program; (4) scope of the overall effort in relation to the objective of the program to create unique interdisciplinary programs to eventually include, not only biomedical components, but also engineering, ecological and/or hydrogenological components; (5) adequacy of the facilities to perform the proposed research; (6) integration of the various projects and core units into an effective program and plans for interactions among investigators; (7) adequacy and commitment of institutional resources to administer an integrated, collaborative program; (8) appropriateness of the budget for the proposed program; (9) relevance of proposed research to problems associated with hazardous waste substances; and (10) progress of program to date for completing renewal applications.

### **93.145 AIDS EDUCATION AND TRAINING CENTERS**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Title XXVI, Sections 2606, 2619, 2654, and 2671, of the Public Health Service Act (42 U.S.C. 300ff-111), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87).

#### **OBJECTIVES:**

The purpose of this funding is to: (1) To train health personnel, including practitioners in programs under this title and other community providers, in the diagnosis, treatment, and prevention of HIV disease, including the prevention of the perinatal transmission of the disease, including measures for the prevention and treatment of opportunistic infections, and including (as applicable to the type of health professional involved), prenatal and other gynecological care for women with HIV/AIDS; (2) To train the faculty of schools of, and graduate departments or programs of, medicine, nursing, osteopathic medicine, dentistry, public health, allied health, and mental health

practice to teach health professions students to provide for the health care needs of individuals with HIV/AIDS; (3) To develop and disseminate curricula and resource materials relating to the care and treatment of individuals with such disease and the prevention of the disease among individuals who are at risk of contracting the disease; and (4) To develop protocols for the medical care of women with HIV/AIDS, including prenatal and other gynecological care for such women.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

#### **USES AND USE RESTRICTIONS:**

Grants will be awarded for the establishment and/or expansion of AIDS Education and Training Centers.

#### **Applicant Eligibility:**

Applicants must have extensive experience in the field of health professional training and adult learning, HIV disease and disease management, and program administration and monitoring.

#### **Beneficiary Eligibility:**

Primary health care personnel and organizations that employ healthcare providers/practitioners/clinicians.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Grant Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Annual noncompetitive, competitive awards typically are for up to 3 years.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Grants are typically awarded for up to a 3 year project period with 12-month budget periods. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment

system for HHS awards.

**Reports:**

Annual program progress reports, OMB-approved data reports, and special reports (if any) are required. A Federal Financial Report (FFR) or SF 245 is to be submitted within 90 days after the close of each budget period and a final Financial Report is required 90 days following the end of the project period. Refer to the funding opportunity announcement re: progress reporting. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$2,784,681; and FY 13 est \$2,984,685

**Range and Average of Financial Assistance:**

\$200,000 to \$4,313,615; \$2,031,232.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Barbara Aranda-Naranjo 5600 Fishers Lane, Room 7-90, Rockville, Maryland 20857 Phone: (301) 443-3726

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.914 HIV Emergency Relief Project Grants; 93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In making grants, the Secretary shall give preference to qualified projects which will -- (A) train, or result in the training of health professionals who will provide treatment for minority individuals with HIV/AIDS and other individuals who are at high risk of contracting such disease; (B) train, or result in the training of minority health professionals and minority allied health professions to provide treatment for individuals with such disease; and (C) train or result in the training of health professionals and allied health professionals to provide treatment for hepatitis B or C co-infected individuals. The acronym

HIV stands for "human immunodeficiency virus", the etiologic agent for acquired immune deficiency syndrome (AIDS).

**93.150 PROJECTS FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS (PATH)**

(PATH)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title V, Part C, Section 521, as amended, 42 U.S.C 290cc-21 et seq; Stewart B. McKinney Homeless Assistance Amendments Act of 1990, Public Law 101-645.

**OBJECTIVES:**

To provide financial assistance to States to support services for individuals who are suffering from serious mental illness or serious mental illness and substance abuse; and are homeless or at imminent risk of becoming homeless. Programs and activities include: (1) Outreach services; (2) screening and diagnostic treatment services; (3) habilitation and rehabilitation services; (4) community mental health services; (5) alcohol or drug treatment services; (6) staff training; (7) case management services; (8) supportive and supervisory services in residential settings; (9) referrals for primary health services, job training, educational services, and relevant housing services; and (10) prescribed set of housing services.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the State to achieve the described objectives except that funds cannot be used: (1) To support emergency shelters or construction of housing facilities; (2) for inpatient psychiatric or substance abuse treatment costs; or (3) to make cash payments to intended recipients of mental health or substance abuse services. Not more than 20 percent of the payment may be expended for housing services; not more than 4 percent of the total allocation may be expended for administrative expenses. The applicants must agree that the payments will be expended solely for making grants to political subdivisions of the State, and to nonprofit private entities (including community-based veterans organizations and other community organizations) for the purpose of providing the services.

**Applicant Eligibility:**

States, District of Columbia, Guam, American Samoa, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the Virgin Islands.

**Beneficiary Eligibility:**

Individuals who have a serious mental illness or serious mental illness and substance abuse; and are homeless or are at imminent risk of becoming homeless.

**Credentials/Documentation:**

This program is subject to 45 CFR 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no preapplication requirement. This program is not subject to the intergovernmental review requirements of E.O. 12372, as implemented through DHHS regulations at 45 CFR 100. However, individual States may require, or an applicant State mental health agency may want to implement, coordination procedures similar to those specified in E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Chief Executive Officer of a State or Territory must apply annually for an allotment. Applications include a completed application form and a set of assurances.

**Award Procedure:**

Applications are reviewed for completeness and for compliance with legislative requirements. Grant awards are issued directly by the Center for Mental Health Services (CMHS) to the designated State agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 8 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Part 92, Public Law 101-645.

Matching Requirements: The formula is cited in Section 524 of the Public Health Service Act, as amended by Public Law 101-645. The formula allots funds on the basis of the population living in urbanized areas of the State, compared to the population living in urbanized areas of the entire United States except that no State receives less than \$300,000 (\$50,000 for Territories). States must agree to make available, directly or through donations from public or private entities, nonfederal contributions equal to not less than \$1 (in cash or in kind) for each \$3 of Federal funds provided in such grant. Territories have no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation for the award period (1-year); payments are made through an Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Each State shall prepare and submit to the Secretary of Health and Human Services annual reports on its activities necessary for securing a record and a description of the purposes for which funds received under Section 521 were spent and the recipients of such funds, and for determining whether such amounts were expended in accordance with the provisions of the legislation. Federal Financial Report (FFR-425) is due 90 days after the end of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it.

**Account Identification:**

75-1363-0-1-551.

**Obligations:**

(Formula Grants) FY 11 \$61,994,000; FY 12 est \$61,877,000; and FY 13 est \$61,877,000

**Range and Average of Financial Assistance:**

\$50,000 to \$9,034,000; \$1,104,946.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 56 awards were made. Fiscal Year 2012: 56 awards were made. Fiscal Year 2013: It is estimated 56 awards will be made in FY201.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1091, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

http://www.samhsa.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill all statutory and regulatory requirements.

**93.153 COORDINATED SERVICES AND ACCESS TO RESEARCH FOR WOMEN, INFANTS, CHILDREN, AND YOUTH**

Ryan White Program Part D Women, Infants, Children and Youth (WICY) Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title XXVI of the Public Health Service Act, Sections 2671 and 2693 (42 U.S.C. 300ff-71 et seq.), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87).

**OBJECTIVES:**

The purpose of this funding is to provide family-centered primary medical care to women, infants, children, and youth (WICY) living with HIV/AIDS when payments for such services are unavailable from other sources. Funding is intended to improve access to primary HIV medical care for HIV-infected women, infants, children, and youth through the provision of coordinated, comprehensive, culturally and linguistically competent services. HIV primary medical care refers to outpatient or ambulatory care, including behavioral health, nutrition, and oral health services. Family-centered care refers to services that address the health care needs of the persons living with HIV in order to achieve optimal health outcomes. Specialty care refers to specialty HIV care and specialty medical care such as obstetrics and gynecology, hepatology, and neurology. Support services may include the following:

- 1 Family-centered care including case management.
- 2 Referrals for additional services including-
  - (a) referrals for inpatient hospital services, treatment for substance abuse, and mental health services; and
  - (b) referrals for other social and support services, as appropriate.
- 3 Additional services necessary to enable the patient and the family to participate in the program established by the applicant pursuant to such subsection including services designed to recruit and retain youth with HIV.
- 4 The provision of information and education on opportunities to participate in HIV/AIDS-related clinical research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds granted must be expended solely for carrying out the approved project in accordance with application guidelines, the conditions of award and the applicable cost principles.

**Applicant Eligibility:**

Public and nonprofit private entities that provide primary care services, either directly or by another entity that is linked with the grantee, either through a contract, written partnership, or other formal agreement. Proof of nonprofit

status is required for nonprofit organizations. Organizations may include State and local governments, their agencies, and Indian Tribes or tribal organizations with or without Federal recognition. Primary care providers must show proof of Medicaid eligibility.

**Beneficiary Eligibility:**

Women, infants, children, and youth with HIV/AIDS and their affected family members.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grants may be made for up to 3-year project periods, subject to availability of funds. After initial awards, projects may be renewed contingent upon submission and approval of a continuation progress report.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards, on a competitive basis will be for a one year budget period, although project periods may be approved for up to three years. Continued support, beyond the first year, is contingent upon satisfactory performance and the availability of Federal funds. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The grantee must submit the annual Ryan White Services Report due the last Monday in March each year, covering the just-ended Jan. 1 - Dec. 31 calendar year. No cash reports are required. No progress reports are required. Grantees must also submit an Allocations Report, 60 days after the start of the budget period, and an Expenditures Report due 90 days after the end of the budget period (OMB 0915-0318). Grantees must submit a Federal Financial Report (FFR) or SF 245 within 90 days after the end of the budget period. Additionally, each funded program must submit a budget period renewal

progress report each year prior to the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$70,559,321; FY 12 est \$72,099,677; and FY 13 est \$72,099,677

**Range and Average of Financial Assistance:**

\$228,080 to \$2,297,660; \$719,125.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Margarita Figueroa-Gonzalez 5600 Fishers Lane, Room 7-AA-30, Rockville, Maryland 20857 Phone: (301) 443-0493

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are included in the program guidance materials provided with application kits. Contact the HRSA Grant Application Center for details.

**93.155 RURAL HEALTH RESEARCH CENTERS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 123 of P.L. 110-275, the Medicare Improvements for Patients and Providers Act of 2008 (MIPPA); Section 711 (b) of the Social Security Act (42 U.S.C. 912(b)) as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003.

**OBJECTIVES:**

To support the operation of rural health research centers, research



dissemination, rural policy analysis, rapid response to quick data turn around requests, and rural health best practices to provide an information base, research dissemination, and policy analysis capability on the full range of rural health services issues, including financing, recruitment and retention of health professionals, access to care, health disparities and rural delivery systems.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of Section 711 of the Social Security Act as amended by section 432 of the Medicare Prescription Drug Improvement and Modernization Act of 2003.

**Applicant Eligibility:**

Research Center eligibility is open to public, private and non-profit organizations, including faith-based and community-based organizations. Principal investigator must have authored or co-authored at least two articles about rural health research published in peer-reviewed scientific journals. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Research Dissemination award eligibility is open to all public and private nonprofit entities. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rural Policy Analysis awards eligibility is open to public, private, and nonprofit organizations including faith-based and community organizations, State Governments and their agencies such as universities, colleges, research institutions, hospitals, and local governments or their bona fide agents. Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations are also eligible. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rapid Response to Requests for Data Analysis eligibility is open to all public and private entities, nonprofit and for-profit. Eligible entities may include, but are not limited to, public and private institutions for higher education, public or private health research organizations, foundations and faith-based entities. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rural Health Best Practices eligibility is open to public, private and non-profit organizations, including faith-based and community-based organizations. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rural Training Track Technical Assistance eligibility is open to any public or private nonprofit entities, including faith-based and community-based organizations, State Governments and their agencies such as universities, colleges, research institutions, hospitals, State and local governments or their bona fide agents along with federally recognized Indian Tribal governments, Indian Tribes, and Indian Tribal organizations. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Frontier Community Care Coordination eligibility is open to current Rural Hospital Flexibility Program grantee under section 1820(g) of the Social Security Act (42 U.S.C. 1395i 4(g)) located in a State in which at least 65 percent of the counties in the State are counties that have 6 or less residents per square mile. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Frontier Community Health Integration eligibility is open to a public or non-profit private entity located in a rural area; a current Rural Hospital Flexibility Program grantee under section 1820(g) of the Social Security Act (42 U.S.C. 1395i 4(g)) and located in a State in which at least 65 percent of the counties in the State are counties that have 6 or less residents per square mile. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

Rural Health Systems Analysis and Technical Assistance eligibility is open to public, private, and nonprofit organizations, including faith-based and community organizations, as well as Federally recognized Indian tribal governments and organizations. Please see individual grant FOA at [www.grants.gov](http://www.grants.gov) for program-specific eligibility.

**Beneficiary Eligibility:**

The entities that will benefit from this program are health care personnel, health research personnel, and the general public.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under these CFDA programs for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Research center awards may be made for up to 4-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Research Dissemination award may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Rural Policy Analysis awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Rapid Response to Requests for Data Analysis may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Rural Health Best Practices award may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an

application, availability of appropriated funds, and awardee's satisfactory performance.

Rural Training Track Technical Assistance may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Frontier Community Care Coordination awards may be made for 1-3 years project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

Frontier Community Health Integration no renewal.

Rural Health Systems Analysis and Technical Assistance may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Awards are normally made in a lump sum for the entire budget period. Payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. Cash reports are not applicable. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$8,470,000; FY 12 est \$8,290,000; and FY 13 est \$8,265,000

**Range and Average of Financial Assistance:**

For Rural Health Research Centers: Range \$600,000 - \$660,000; FY11 \$4,620,000; for FY 12 \$4,620,000, and for FY 13 \$4,620,000

For Research Dissemination

FY: 11 \$120,000; FY12 \$120,000 and for FY13 \$120,000.

For Rural Policy Analysis:

FY11 \$225,000; FY 12 \$255,000 and for FY13 \$225,000.

For Rapid Response to Quick Data Turn Around Requests:

FY11 \$350,000; FY12 \$450,000 and for FY13 \$450,000.

For Rural Health Best Practices:

FY11 \$1,800,000; FY12 \$1,800,000 and for FY13 \$1,800,000.

For Rural Training Track Technical Assistance:

FY11 \$300,000; FY12 \$300,000 and for FY13 \$300,000

For Frontier Community Care Coordination: Range: \$85,000 - \$200,000.

FY11 \$455,000; FY12 \$175,000 and for FY13 \$150,000.

For Frontier Community Health Integration: N/A

For Rural Health Systems Analysis and Technical Assistance:

FY 11 \$0; FY 12 \$600,000 and for FY13 \$600,000;

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Iran Naqvi, Rural Health Research Center and Research Dissemination Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20852. Telephone: (301) 443-0835.

Michelle Goodman; Rural Policy Analysis Program Coordinator, Rapid Response to Quick Data Turn Around Requests; Frontier Community Care Coordination; and Frontier Community Health Integration Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20852. Telephone: (301) 443-0835.

Karen Beckham, Rural Health Best Practices Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20852. Telephone: (301) 443-0835.

Daniel Mareck, Rural Training Track Technical Assistance Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20852. Telephone: (301) 443-0835.

Aaron Fischbach, Rural Health Systems Analysis and Technical Assistance Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20852. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20852 Phone: (301) 443-0835.

**Website Address:**

<http://www.hrsa.gov/ruralhealth>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria is listed in the application guidance.

**93.156 GERIATRIC TRAINING FOR PHYSICIANS, DENTISTS AND BEHAVIORAL/MENTAL HEALTH PROFESSIONALS**

GTPD

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Sec. 753(b) of Public Health Service Act (42 U.S.C-294c), as amended by the Health Professions Education Partnerships Act of 1998 (P.L. 105-392) and the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

Grants are given for faculty training projects in geriatric medicine, dentistry, and behavioral or mental health. The purpose of this grant program is to provide support, including fellowships, for geriatric training projects to train physicians, dentists and behavioral or mental health professionals who plan to teach geriatric medicine, geriatric dentistry or geriatric behavioral or mental health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; Training

**USES AND USE RESTRICTIONS:**

A grant may be made to meet the cost of a project which will propose: (1) a 1-year retraining program in geriatrics for: (a) physicians who are faculty in departments of internal medicine, family medicine (including osteopathic general practice), gynecology, geriatrics, and behavioral or mental health at schools of medicine and osteopathic medicine; (b) dentists who are faculty members at schools of dentistry or at hospital departments of dentistry; and (c) behavioral or mental health professionals who are faculty members in departments of behavioral or mental health; and/or (2) a 2-year internal medicine or family medicine fellowship program providing emphasis in geriatrics which shall be designed to provide training in clinical geriatrics and geriatrics research for: (a) physicians who have completed graduate medical education programs in internal medicine, family medicine (including osteopathic general practice), behavioral or mental health, neurology, gynecology, or rehabilitation medicine; (b) dentists who have demonstrated a commitment to an academic career and who have completed postdoctoral dental training, including postdoctoral dental education programs or who have relevant advanced training or experience; and (c) behavioral or mental health professionals who have completed graduate medical education programs in behavioral or mental health. Each project for which a grant is made must: (1) be staffed by full-time teaching physicians who have experience or training in geriatric medicine or geriatric behavioral or mental health; (2) be staffed, or enter into an agreement with an institution staffed by full-time or part-time teaching dentists who have experience or training in geriatric dentistry; (3) be staffed, or enter into an agreement with an institution staffed by full-time or part-time teaching behavioral or mental health professionals who have experience or training in geriatric behavioral or mental health; (4) be based in a graduate medical education program in internal medicine or family medicine or in a department of geriatrics or behavioral or mental health; (5) provide training in geriatrics and expose fellows to the physical and mental disabilities of elderly individuals through a variety of service rotations, such as geriatric consultation services, acute care services, dental services, geriatric behavioral or mental health units, day and home care programs, rehabilitation services, extended care facilities, geriatric ambulatory care and comprehensive evaluation units, and community care programs for elderly mentally retarded individuals, and (6) provide training in geriatrics through one or both of the two training options. See above. The Patient Protection and Affordable Care Act, Public Law 111-148 expanded the definition of behavioral and mental health professionals to include psychiatry, psychology, psychiatric nursing, social work, substance

abuse disorder prevention and treatment, marriage and family counseling, or professional counseling. The expanded definition applies to the 1-year retraining option. See above.

**Applicant Eligibility:**

Grants may be made to accredited public or private nonprofit schools of medicine, schools of osteopathic medicine, teaching hospitals, or graduate medical education programs. Applicants must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, the Republic of Palau, the Republic of the Marshall Islands, or the Federated States of Micronesia.

**Beneficiary Eligibility:**

Grants may be made to accredited public or private nonprofit schools of medicine, schools of osteopathic medicine, teaching hospitals, or graduate medical education programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Four to six months following receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is up to five years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly

performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$8,385,560; FY 12 est \$9,589,736; and FY 13 est \$97,605,699

**Range and Average of Financial Assistance:**

Fiscal Year 2011: Range: \$418,000 to \$1,434,200. Average: \$648,180.  
Fiscal Year 2012: Range: \$424,865 to \$1,031,204. Average Award: \$593,676.  
Fiscal Year 2013: estimate \$424,865 to \$1,031,204. Average Award: \$593,676.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Academic Year 2010-2011, 13 non-competing continuation grants were supported. A total of 54 geriatric physicians, geriatric dentists, and geriatric psychiatry fellows provided geriatric care to 24,139 older adults across the care continuum. Geriatric physician fellows provided health care to 13,788 older adults; geriatric dental fellows provided health care to 4,835 older adults; and geriatric psychiatry fellows provided health care to 5,516 older adults. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CAPT Young Song, Senior Program Management Consultant, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9C-05, Rockville, MD 20857. Telephone: 301-443-3353.

**Headquarters Office:**

CAPT Young Song 5600 Fishers Lane, Room 9C-05, Rockville, Maryland 20857 Phone: (301) 443-3353

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All competing applications are reviewed by objective reviewers for technical merit who make recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of section 753(b) of the Public Health Service Act. Each reviewer is screened to avoid conflict of interests and is responsible for providing an objective review based on the review criteria published in the funding opportunity. The committee provides expert advice on the merits of each application to program officials responsible for final selection for award. For fiscal year 2010, this grant program had six review criteria: Need, Response, Evaluative Measures, Impact, Resources/Capabilities, and Support Requested. See most recent funding opportunity announcement at [www.grants.gov](http://www.grants.gov) for detailed selection criteria.

**93.157 CENTERS OF EXCELLENCE**

Centers of Excellence (COEs)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 736, 42 U.S.C. 293, as amended by the Patient Protection and Affordable Care Act of 2010 (P.L. 111-148) Section 5401.

**OBJECTIVES:**

The goal of this program is to assist eligible schools in supporting programs of excellence in health professions education for underrepresented minority (URM) individuals. The Centers of Excellence (COE) program is a catalyst for institutionalizing a commitment to under-represented minority (URM) students/faculty and to serve as a national resource and educational center for diversity and minority health issue. Additionally, the COE program will help to strengthen the national capacity to produce a culturally competent healthcare workforce whose diversity is representative of the United States Population.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 736 authorizes awarding funding to health professions schools to: (1) develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities; and establish an education pipeline for health professions careers; (2) establish, strengthen, or expand programs to enhance the academic performance of underrepresented minority students attending the school; (3) improve the capacity of such school to train, recruit, and retain underrepresented minority faculty including the payment of stipends and fellowships as the Secretary may determine appropriate; (4) carry out activities to improve the information resources, clinical education, curricula and cultural competence of the graduates of the school as it relates to minority health issues; (5) facilitate faculty and student research on health issues particularly affecting underrepresented minority groups, including research on issues relating to the delivery of health care; (6) carry out a program to train students of the school in providing health

services to a significant number of underrepresented minority individuals through training provided to such students at community-based health facilities. These facilities provide such health services and are located at a site remote from the main site of the teaching facilities of the school; and (7) provide stipends as the Secretary determines appropriate in the amounts the Secretary determines.

**Applicant Eligibility:**

Eligible applicants include designated Historically Black Colleges and Universities (HBCUs) and health professions schools that are accredited schools of allopathic medicine; osteopathic medicine; dentistry; pharmacy; or a graduate program in behavioral or mental health; or other public and nonprofit health or educational entities that meet the required conditions regarding: underrepresented minorities as described in Section 736 of the Public Health Service Act.

Eligible applicants must also have:

- (1) a significant number of under-represented minority individuals enrolled in the schools;
- (2) been effective in assisting under-represented minority students of the schools to complete the program of education and receive the degree involved;
- (3) been effective in recruiting under-represented minority individuals to enroll in and graduate from the school, including providing scholarships and other financial assistance to such individuals and encouraging under-represented minority students from all levels of the educational pipeline to pursue health professions careers; and
- (4) made significant recruitment efforts to increase the number of under-represented minority individuals serving in faculty or administrative positions at the school.

The second eligibility criteria requires eligible health professions schools to demonstrate effectiveness in the applicant organization meeting or exceeding a specified minimum threshold in the number of URM students graduating with appropriate health professional degree. This is calculated by dividing the total number of URM students graduating from the health professions school with a degree by the total number of students graduating with a degree in a given health professions school.

**Beneficiary Eligibility:**

Designated HBCUs and eligible health professions schools must recruit and train a significant number of underrepresented minority students in medicine, dentistry, and pharmacy; recruit, train, and retain underrepresented minority faculty recruitment; and facilitate faculty and student research activities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Approximately 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for up to five years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$23,431,209; FY 12 est \$21,874,945; and FY 13 est \$21,885,000

**Range and Average of Financial Assistance:**

FY 11: \$379,677 to \$4,913,499; Average: \$1,301,734.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Violet Woo, Chief of the Diversity Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-36, Rockville, Maryland 20857 Phone: (301) 443-8032, E-mail: [vwoo@hrsa.gov](mailto:vwoo@hrsa.gov).

Sadie Silcott, Project Officer, Diversity Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-26, Parklawn Building, Rockville, MD 20857. Program information and assistance may be obtained by calling (301) 443-0133 or e-mailing [ssilcott@hrsa.gov](mailto:ssilcott@hrsa.gov).

**Headquarters Office:**

Violet R.H. Woo 5600 Fishers Lane, Room 9C-26, Rockville, Maryland 20857 Phone: (301) 443-8032

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

93.415 ARRA - Centers of Excellence

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Centers of Excellence has 7 criteria:

(1) NEED (14 points) - The extent to which the application provides a description of a) the problem, and the associated contributing factors. b) the need with respect to students, faculty development, and URMs in the health professions, and c) geographic factors, such as the size of the area that will be served, and any regional issues.

(2) RESPONSE (25 points) The extent to which project responds to the Purpose included in the program description. This includes the clarity of the proposed goals and objectives and their relationship to the identified project and achieving the seven legislative requirements. The extent to which the activities (scientific or other) described in the application are capable of addressing the problem and attaining the project objectives.

For Centers of Excellence, the response should focus on the statutory purposes: a) Competitive Applicant Pool: To develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities and establish an educational pipeline for health professions careers; b) Student Performance: To establish, strengthen, or expand programs to enhance the academic performance of underrepresented minority (URM) students attending the school; c) Faculty Development: To improve the capacity of such schools to train, recruit, and retain URM faculty including payment of such stipends and fellowships as the Secretary may determine is appropriate; d) Information Resources, Clinical Education, Curricula, and Cultural Competence: To carry out activities to improve the information resources, clinical education, curricula and cultural competence of the graduates as they relate to minority health issues; e) Faculty/Student Research: To facilitate faculty and student research on health issues particularly affecting URM groups, including research on issues relating to the delivery of health care; f) Student Training in Providing Health Care Services: To carry out a program that trains students of the school and (g) Stipends: To

provide stipends as the Secretary determines appropriate.

(3) EVALUATIVE MEASURES (20 points) - The effectiveness of the method proposed to monitor and evaluate the project results. Evaluative measures must be able to assess to what extent the program objectives have been met and to what extent these can be attributed to the project.

(4) IMPACT (13 points) - The extent and effectiveness of the dissemination plans for the project results, the degree to which the project results may be national in scope, the degree to which the project activities are replicable, the sustainability of the program beyond the Federal funding and established linkages/collaboration with key stakeholders. It may include the extent to which COE project outcomes and results are disseminated to the Health Professions Education community regionally or nationally.

(5) RESOURCES /CAPABILITIES (10 points) The extent to which project personnel are qualified by training and/or experience to implement and carry out projects. This includes the capabilities of the applicant organization, and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project. This may include whether the health professions school has a significant number of URM individuals enrolled in the school, including individuals accepted for enrollment and successful completion in the school and the extent to which the applicants activities influence the recruitment, training and retention of URM faculty.

(6) SUPPORT REQUESTED (5 points) - The extent to which the overall budget, including non-trainee expenses, is a) cost effective, reasonable, and consistent with the stated objectives and proposed activities, b) expenditures are well justified, and c) in-kind contributions are documented.

(7) CULTURAL COMPETENCE DEVELOPMENT (13 points) The extent to which the COE application reflects the institutions commitment to developing culturally competent health professionals by establishing a system that values the importance of culture in the delivery of health care services to all segments of the population. The practices and initiatives of the applicant institution demonstrate their commitment to increasing the number of culturally competent and diverse health professionals.

**93.161 HEALTH PROGRAM FOR TOXIC SUBSTANCES AND DISEASE REGISTRY****FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Public Law 99-499, as amended; 42 U.S.C. 9604(i); Resource Conservation and Recovery Act, as amended; Public Law 98-616, 42 U.S.C. 6939a., 42 U.S.C 9604(i).

**OBJECTIVES:**

To work closely with State, local, and other Federal agencies to reduce or eliminate illness, disability, and death resulting from exposure of the public and workers to toxic substances at spill and waste disposal sites.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To strengthen State and local environmental health programs. Services may include: (1) Health assessments; (2) health effects studies; (3) exposure and disease registries; (4) technical assistance; (5) consultation; (6) dissemination of technical information; (7) provision of specialized services and assistance, including responses to public health emergencies; (8) training State and other health professionals in broad areas related to environmental health; and (9) research of chemical toxicity.

**Applicant Eligibility:**

States or political subdivisions thereof, to include the District of Columbia, American Samoa, Guam, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Federated States of

Micronesia, the Virgin Islands, the Federated States of Marshall Island, the Republic of Palau, National organizations, Federally-recognized Indian tribal governments, public and private non-profit universities and colleges.

**Beneficiary Eligibility:**

The general public and particularly individuals and families who reside around or near hazardous waste sites.

**Credentials/Documentation:**

For other grantees, costs will be determined by HHS regulations 45 CFR 74, Subpart Q. For-profit organization's costs will be determined in accordance with the Federal Acquisition Regulation, 48 CFR, Chapter I, Subpart 31.2, "Cost Principals for Contracts and Commercial Organizations." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information on the submission of applications may be obtained from the Grants Management Officer, Acquisition and Assistance Branch A, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program. This program is subject to the provisions of OMB Circular No. A-110. By formal agreement, the CDC Grants Management Branch acts on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, Centers for Disease Control and Prevention (CDC), acting as agent for ATSDR, will prepare a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Awards are made for project periods of 1 to 5 years with 12-month budget period. Renewals or continuation awards, with the project period are made on the basis of satisfactory progress and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

It is anticipated that awards will be for a 12-month budget period with a proposed project period ranging from one to five years. Method of awarding/releasing assistance: lump sum.

**Reports:**

See Funding Opportunity for details. Cash reports are not applicable. See Funding Opportunity for details. See Funding Opportunity for details. See Funding Opportunity for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 11 \$9,100,164; FY 12 est \$9,100,164; and FY 13 est \$9,100,164 - Programs under CFDA numbers 93.202 and 93.206 have been consolidated with program 93.161.

**Range and Average of Financial Assistance:**

Average range: \$130,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Toxicological profiles, Federal regulations for interim procedures to petition for Public Health Assessments published in August 18, 1992 issue of the 42 CFR 90, Health Assessments and Health Effects Studies of Hazardous Substances Releases and Facilities; Final Rule; Published in February 13, 1990, issue of the Status of Health Research Report; Case studies in environmental medicine; and ATSDR Annual Report. PHS Policy Statement No. (OASH) 94- 50,000, (Rev.) April 1, 1994 is available. Section 106 and subsection 118(e) of the Great Lakes Critical Programs Act of 1990 33 U.S.C. 1268(e).

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

**Website Address:**

<http://www.atsdr.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Relevance of the proposal to the objective of this program. (2) Demonstrated experience in evaluating human health effects from exposures to hazardous substances in the environment through multimedia exposure pathways. (3) Training and experience of staff to be assigned to and/or hired for the project. (4) Suitability of facilities and equipment available or to be purchased for the project. (5) Appropriateness of the requested budget relative to the work proposed. (6) Capability of the applicant and its consultants to carry out the tasks involved in the project. (7) Soundness and innovation of the proposed approach to the range of activities presented in the project. (8) Capability of the applicant's administrative structure to foster successful scientific and administrative management of the program or study as described in the application. (9) Adequacy of the proposed time frame for completion of programs or studies.

**93.162 NATIONAL HEALTH SERVICE CORPS LOAN REPAYMENT PROGRAM**

NHSC Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

## Human Services

### **AUTHORIZATION:**

Section 338B of the Public Health Service (PHS) Act (42 United States Code Section 2541-1), as amended; Section 331(i) of the PHS Act (42 USC 254d(i)), as amended by Section 10503 of the Affordable Care Act (P.L. 111-148).

### **OBJECTIVES:**

The National Health Service Corp (NHSC) Loan Repayment Programs objective is to increase the supply of primary care physicians, dentists, dental hygienists, behavioral and mental health professionals, certified nurse midwives, primary care nurse practitioners, physician assistants and, if needed by the NHSC, other health professionals in Health Professional Shortage Areas (HPSA) within the U.S.A and its territories by assisting the repayment of qualifying educational loans in return for service to populations located in HPSAs identified by the Secretary of the Department of Health and Human Services.

### **TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

### **USES AND USE RESTRICTIONS:**

Awards provide payments of up to \$60,000 towards participants' qualified government and commercial health professions undergraduate and graduate education loans during the first 2 years of full time practice or 4 years of half time practice at a selected National Health Service Corps (NHSC) Loan Repayment Service Site under a written agreement with this program. Health professions given priority for selection are those identified by communities.

### **Applicant Eligibility:**

Individuals are eligible to apply if they have (1) U.S. citizenship; (2) a health professions degree or are in professional practice (they must hold an unrestricted health professions license from the State in which they will be working, and be eligible for selection for a Federal civil service appointment, or hold an appointment as a commissioned officer in the Regular or Reserve Corps of the U.S. Public Health Service); (3) not had any judgment liens arising from Federal debt ; (4) not been excluded, debarred, suspended, or disqualified by a Federal agency; (5) not been in breach of a health professional service obligation to the Federal, State or local government and (6) no conflicting service obligation. Individuals must also participate or be eligible to participate as a provider in the Medicare, Medicaid, and Childrens Health Insurance Programs, as appropriate. Refer to the NHSC Loan Repayment Program Guidance for specific requirements.

### **Beneficiary Eligibility:**

Primary care, oral health, and mental and behavioral health professions are eligible for the Loan Repayment Program (LRP). Specific specialties within these professions are selected for LRP awards based on community demand for health services.

### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may receive additional information about the application process at <http://nhsc.hrsa.gov/loanrepayment/applicationprocess/index.html>

### **Award Procedure:**

NHSC loan repayment awards are made based on the highest need as determined by descending health professional shortage area scores. Priority will be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health

professional shortage areas. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Approximately 120 Days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Contract continuations will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed.

### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service.

See the following for information on how assistance is awarded/released:

Direct Deposit in recipients accounts through Program Support Center (PSC).

### **Reports:**

The employing facility must complete and send a semi-annual Service Verification Form verifying that the participating health professional is providing service. The certification includes a signature by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

### **Audits:**

Not Applicable.

### **Records:**

Not applicable.

### **Account Identification:**

75-0350-0-1-550.

### **Obligations:**

(Direct Payments for Specified Use) FY 11 \$24,848,000; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

### **Range and Average of Financial Assistance:**

New awards range from \$1,500 to \$60,000, with an average award of \$50,822.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 448 new awards. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see application process for NHSC LRP at <http://nhsc.hrsa.gov/>

### **Regional or Local Office:**

None. National Health Service Corps Loan Repayment Branch, Division of National Health Service Corps, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

### **Headquarters Office:**

Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4400

### **Website Address:**

<http://nhsc.hrsa.gov/>



**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.303 Nursing Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Awards are made to primary care medical, oral health, and mental and behavioral health professionals serving at an NHSC site. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Priority will be given to applicants whose training is in a health or specialty profession determined by the Secretary to be needed by NHSC.

**93.164 INDIAN HEALTH SERVICE EDUCATIONAL LOAN REPAYMENT**

(IHS Loan Repayment Program)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Amendments of 1988, Section 108, Public Law 100-713.

**OBJECTIVES:**

To insure that the Indian Health Service (IHS) has an adequate supply of trained health professionals for Indian health program facilities by providing for the repayment of educational loans for participants who agree (by written contract) to serve an applicable period of time at a facility IHS has designated as a loan repayment priority site or in a designated specialty at a site with an appropriate position.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

This program will provide repayment of loans incurred for health professions educational expenses in exchange for service in a designated loan repayment priority site. Recipients must agree by written contract to serve an applicable period of time in such a site; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied. The minimum period of participation is 2 years. Maximum payment to a program participant is \$20,000 per year and an additional 20 percent of the award amount for tax liability. The minimum period of participation is 2 years. Maximum payment to a program participant is \$20,000 per year and an additional 20 percent of the award amount for tax liability.

**Applicant Eligibility:**

Eligible individuals must be enrolled: (1) In a course of study or program in an accredited institution, as determined by the Secretary, within any State and be scheduled to complete such course of study in the same year such as individual applies to participate in such program; (2) in an approved graduate training program in a health profession; (3) have a degree in health profession and a license to practice a health profession; (4) be eligible for, or hold, an appointment as a commissioned officer in the Regular or Reserve Corps of the Public Health Service (PHS); (5) be eligible for selection for civilian service in the Regular or Reserve Corps of the PHS; (6) meet the professional standards for civil service employment in the IHS; (7) be employed with an Indian health program funded under Public Law 93-638, Indian Self-Determination, Title V of Public Law 94-437 and its amendments or the Buy Indian Act (25 U.S.C. 47); (8) submit an application to participate in the IHS Loan Repayment Program; and (9) sign and submit to the Secretary for Health and Human Services at the time of such application, a written contract agreeing to accept loan repayment of health professions educational loans and to serve for an applicable period of service at loan repayment priority site as determined by the Secretary. The term "State" is defined in Section 331 (i)(4) of the PHS Act.

**Beneficiary Eligibility:**

Health professionals who have Government (Federal, State, local) and commercial unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) A transcript showing final year of study and full-time status; (2) a copy of a health professions degree; (3) a copy of health professions license; (4) a copy of transcript showing completion of graduate education; and (5) a copy of all loan documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants should request an application package, complete the required information, and return it to the Indian Health Service (IHS) Headquarters for review. (See Headquarters Office section below for address.) Once a completed application packet is received, it will be reviewed and the determination of award recipients will be made based upon merit. Award will be made on award dates published in the Federal Register.

**Award Procedure:**

Upon determination of who will receive an award, that individual will be notified in writing by the program. The individual will in turn notify the program in writing of his/her acceptance. Awards will be contingent upon the score that an eligible Loan Repayment Program site receives and score is applied to the individual matched to that site. Upon arriving at his/her duty station, participant must submit proof of employment to the IHS Loan Repayment Program Office. Individuals can be matched to an IHS tribal, urban, or buy Indian site by an IHS area recruiter or the equivalent. Applicants needing to match to an IHS priority site should work with an IHS recruiter in the service area of their choice. When an award occurs, the Secretary will sign the contract and the individual will receive final notification of their award and a copy of their signed contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operations.

**Appeals:**

Not Applicable.

**Renewals:**

If a program recipient satisfactorily completes his/her initial service and continues to have remaining eligible debt, he/she may extend his/her contract on a single-year basis, provided that funds are available and the participant continues to meet the eligibility requirements of the program. A recipient wishing to extend his/her contract must submit a formal request for extension and sign a new 1-year contract.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments will be made to the individuals of the program on an annual basis. See the following for information on how assistance is awarded/released: Payments will be made to the individuals of the program on an annual basis.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. Program participants must be certified annually as performing at an eligible site in an eligible full-time position.

**Audits:**

No audits are required for this program.

**Records:**

The IHS will maintain records of applicants and participants for 3 years after information of expenditure reports are completed.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$25,286,294; FY 12 est \$25,286,294; and FY 13 est \$25,286,294

**Range and Average of Financial Assistance:**

\$3,000 to \$51,672 for a 2-year obligation; \$44,685.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Authorization is contained in Public Law 100-713, as amended by Public Law 102-573; Indian Health Service Educational Loan Repayment Program Information Bulletin; Notice of Availability of Funds.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for IHS Area Offices.

Program Contact: Ms. Jackie Sanitago, Chief, Loan Repayment Program, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-3396.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The IHS defined "Health Profession" to mean family medicine, internal medicine, pediatrics, geriatric medicine, obstetrics and gynecology, podiatric medicine, nursing, public health nursing, dentistry, psychiatry, osteopathy, optometry, pharmacy, psychology, public health, social work, marriage and family therapy, chiropractic medicine, environmental health and engineering, and allied professions. Other factors that will be employed to determine which applicant is selected for awards include: (a) An applicant's length of current employment in the IHS, tribal or urban program; (b) availability for service earlier than other applicants (first come, first served); and (c) date the completed application was received.

**93.165 GRANTS TO STATES FOR LOAN REPAYMENT PROGRAM**

State Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 3381, 42 U.S.C. 254 q-1(h). Section 10503 of the Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

To increase the availability of primary health care in health professional shortage areas (HPSAs) by assisting States in operating programs for the repayment of educational loans of health professionals in return for their practice in HPSAs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds under this grant must only be used to repay the qualifying educational loans of health professionals who have entered into State Loan Repayment Program (SLRP) contract with the States. Funds cannot be used for the following purposes: costs of administering the program, State matching funds, or any other purpose.

**Applicant Eligibility:**

Eligible entities include the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, Palau, the Marshall Islands, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Applicants for State programs must have completed a course of study required to practice independently without supervision, as one of the following health care professionals: Doctors of Allopathic Medicine or Osteopathic Medicine, General Practice Dentists (D.D.S. or D.M.D.), Pediatric Dentists, Primary Care Certified Nurse Practitioners, Certified Nurse-Midwives, Primary Care Physician Assistants, Registered Clinical Dental Hygienists, Health Service Psychologist (formerly Clinical or Counseling Psychologists (Ph.D. or equivalent), Licensed Clinical Social Workers (masters or doctoral degree in social work), Psychiatric Nurse Specialists, Mental Health Counselors, Licensed Professional Counselors (masters or doctoral degree with a major study in counseling), Marriage and Family Therapists (masters or doctoral degree with a major study in marriage and family therapy). The primary care specialties approvable for physicians are: family medicine (and osteopathic general practice), internal medicine, including geriatricians, pediatrics, obstetrics/gynecology, and geriatrics and general psychiatry. General practitioners (physicians who have not completed residency training programs) are not eligible for funding under the SLRP. The primary care specialties approval for nurse practitioners and physician assistants are: adult, family, pediatrics, psychiatry/mental health, geriatrics, or womens health.

Participants must provide full-time clinical service for a minimum of two years in a public or non-profit entity located in a federally designated health professional shortage area (HPSA).

Refer to the NHSC State Loan Repayment Program Guidance for specific requirements.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

SLRP grantees may need State agency approval prior to submitting an application to a Federal agency. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Subsequent funding depends upon the availability of funds and program performance. Renewals are funded through a non-competitive process each year.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Fifty-percent (50%). States must agree to make available (directly or through donations from public or private entities) non-Federal contributions in cash toward SLRP contracts in an amount not less than \$1 for each \$1 of Federal funds provided in the grant. A State may not use any Federal funds or in-kind contributions to satisfy the non-Federal match requirement. A State must verify that contributions from sources other than State appropriated funds are non-Federal. States may use non-Federal funds in excess of the \$1 for \$1 minimum match to supplement the repayment of qualifying loans of health professionals.

The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service Act. States must assume administrative costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

A grant award is for 1 year. Applicants may propose a project period of up to 4 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Recipient States must submit: (1) a Financial Report within 90 days of the end of each budget period; (2) Semi-Annual Field Strength Reports through the HRSA Electronic Handbooks System (EHBs); (3) non-competing continuation application(s) report through the EHBs; (4) a Final Report. All grantees are required to submit a final report within 90 days after the project period ends. No cash reports are required. See above. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$0; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 10 Range of awards: \$72,000 to \$1,000,000; average: \$300,018.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Division of National Health Service Corps, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the number and type of providers the State proposes to support through this program; (c) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (d) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (e) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (f) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (g) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (h) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (i) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (j) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (k) the grantee's history of compliance with reporting requirements.

**93.172 HUMAN GENOME RESEARCH**

Human Genome Project

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 461 and 487, as amended; Public Laws 78-410 and 99-158, 42 U.S.C. 241, as amended; 42 U.S.C. 285k; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

NHGRI supports the development of resources and technology that will accelerate genome research and its application to human health. A critical part of the NHGRI mission continues to be the study of the ethical, legal and social implications (ELSI) of genome research. NHGRI also supports the training of investigators and the dissemination of genome information to the public and to health professionals. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

##### PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The research project grant is awarded to an eligible institution in the name of a principal investigator for a discrete project or group of related projects representing the investigator's interest and competence. Funds may be used for salaries and wages, equipment, supplies, travel and other costs required to carry out the research project. National Research Service Awards are made directly to individuals for research training in disciplines supporting the research areas. In addition, grants may be made to institutions to enable them to select individuals for National Research Service Awards. Each individual who receives a National Research Service Award is responsible for certain service and payback provisions. Responsibilities of grantees and restrictions on use of funds are set forth in the Public Health Service policy statement on grants for research projects, which is available on request from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health (NIH), 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714. Fax (301) 480- 0525. E-mail: asknih.od.nih.gov. Small Business Innovation Research (SBIR) Program: SBIR Phase I grants (of approximately 6 months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

#### **Applicant Eligibility:**

Research Projects: Awards can be made to any public or private, for-profit or nonprofit university, college, hospital, laboratory, or other institution, including State and local units of government, qualifying small businesses (through the Small Business Innovation Research/STTR Programs, and to individuals. To be eligible for funding, a proposal must be approved for scientific merit and program relevance by a scientific review committee and a national advisory council. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be

performed in the U.S. or its territories. To be eligible for funding, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. Non-federal public and private domestic organizations may apply for an Institutional National Research Service Award. Individual National Research Service awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. Doctoral awardees must have completed the baccalaureate degree, and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.O., D.V.M., Sc.D., E.Eng., or equivalent domestic or foreign degree). Applicants to the Small Business Innovation Research/STTR Programs must meet special requirements for small businesses, as defined by the Small Business Administration.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Each applicant for a research project must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. Use grant application form PHS-398 (Rev. May 1995) provided by, the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, Bethesda, MD 20892. For applicants for National Research Service Awards, the academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. The applicant institution must show the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for the award, and a detailed budget and justification for the grant funds requested. For-profit organizations, costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR 74 Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and 6246-2 are used to apply for Phase I and Phase II awards, respectively, or SBIR and STTR programs. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and information concerning the area of science being supported may be obtained from the Division of Extramural Outreach and Information, National Institutes of Health, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910, Telephone (301) 435-0714, e-mail: ASKNIH@odrockml.od.nih.gov. Complete the application and return it to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892 for assessment by a scientific review committee. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit

Organizations", as appropriate. The SBIR and STTR Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH "Small business Funding Opportunities" homepage at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone (301) 206-9385; fax: (301) 206-9722; e-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. Completed SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications for project grants and institutional National Research Service Awards are reviewed for scientific merit by an appropriate initial review group and by the National Advisory Council for Human Genome Research (NACHGR). (Individual NRSA applications are not reviewed by council.) All approved applications compete for available funds on the basis of scientific merit and program emphasis. Awards are issued throughout the year. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a impact score ranging from the best (10) to worst (90) compete for the available SBIR/STTR set-aside funds on the basis of scientific and technical merit (which includes the potential of the proposed research for commercial application), program relevance, and program balance among the areas of research.

**Deadlines:**

Aug 05, 2013: This is the first of three deadlines that occur annually for new research projects. The other two dates are June 5, 2010 and October 5, 2010. New Research Projects (R01) and Renewals: February 5, June 5, and October 5. Program Project Grants and Center Grants: January 25, May 25, and September 25. Other Research Grants (R03, R21, R33, R21/R33, R34, R36): February 16, June 16, and October 16. Individual NRSA: April 5, August 5, and December 10. Institutional NRSA: January 25, May 25, and September 25. SBIR/STTR Applications: April 5, August 5, and December 5. SIP: Contact Headquarters Office.

**Range of Approval/Disapproval Time:**

Project Grants: About 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Renewal grants are competitively awarded.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All awards are made for at least 1 year. Additional support may be available for up to 4 more years depending upon the recommendations of the scientific review group, the National Advisory Council for Human Genome Research, successful annual performance, and availability of funds. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual progress and financial status reports for continuing projects and final reports on all projects upon conclusion are required. Cash reports are not applicable. Annual progress and financial status reports for continuing projects and final reports on all projects upon conclusion are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0891-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$380,917,000; FY 12 est \$382,147,000; and FY 13 est \$380,845,000 - For FY09 and FY10, these figures represent total base dollars for Research Grants, SBIR/STTR, and NRSA training grants plus Recovery and Reinvestment Act funds. For FY11, the figure represents total base dollars for Research Grants, SBIR/STTR, and NRSA training grants only.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure and other miscellaneous program literature are available from Headquarters Office. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Bettie J. Graham 5635 Fishers Lane, Suite 4076, Bethesda, Maryland 20892  
Email: [bettie\\_graham@nih.gov](mailto:bettie_graham@nih.gov) Phone: (301) 496-7531

**Website Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Population Structure Admixture and Selection across the 1000 Genomes Data Set; Rare Variants and Complex Human Phenotypes; Pharmacogenomic studies in VISP: results & implications for clinical trial design; Mapping the first half of the REFERENCE human binary protein interactome; Center for Genomics and Healthcare Equality; Genomic Basis of Vertebrate Diversity; Penn Center for ELSI Research in Emerging Genetic Technologies in Health Care. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed project; and (5) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal

investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget request for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.173 RESEARCH RELATED TO DEAFNESS AND COMMUNICATION DISORDERS**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301, 464 A-F, and 487, as amended; 42 U.S.C. 241, 285m, 285m-3, and 288; Public Law 100-553; 102 Stat. 2769; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

#### **OBJECTIVES:**

To investigate solutions to problems directly relevant to individuals with deafness or disorders of human communication in the areas of hearing, balance, smell, taste, voice, speech, and language. The National Institute on Deafness and Other Communication Disorders (NIDCD) supports research including investigation into the etiology, pathology, detection, treatment, and prevention of disorders of hearing and other communication processes, primarily through the support of basic and applied research in anatomy, audiology, biochemistry, bioengineering, epidemiology, genetics, immunology, microbiology, molecular biology, the neurosciences, otolaryngology, psychology, pharmacology, physiology, psychophysics, speech-language pathology, and other scientific disciplines. The NIDCD supports: (1) Research into the evaluation of techniques and devices used in diagnosis, treatment, rehabilitation, and prevention of disorders of hearing and other communication processes; (2) research into prevention and early detection and diagnosis of hearing loss and speech, voice, and language disorders and research into preventing the effects of such disorders by means of appropriate referral and rehabilitation; (3) research into the detection, treatment, and prevention of disorders of hearing and other communication processes in the elderly population and its rehabilitation to ensure continued effective communication skills; and (4) research to expand knowledge of the effects of environmental agents that influence hearing or other communication processes. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to encourage small business participation in Federal research and development; and to foster participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Project Grants and Centers Grants may be used to provide salaries, equipment, supplies, travel, and other expenses for research. The grantee institution is obliged to expend grant funds prudently for the purposes as stated in the application and award document. Some National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical and behavioral research areas. Other training grants are made to institutions to enable them to make NRSAs to individuals selected by them. Each postdoctoral individual who receives an NRSA may be obligated, upon termination of the award, to comply with certain service and payback provisions. Mentored and unmentored career development awards are made to enhance the independent research capability of highly promising individuals during the formative stages of their careers. Small Business Innovation Research (SBIR) Program: Phase I grants, typically 6 months in duration, are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research efforts initiated in Phase I and that are likely to result in commercial products or processes. STTR Phase I grant, normally of 1-year duration, are to determine the scientific, technical, and feasibility of the proposed cooperative effort. Phase II funding is based on scientific and technical merit and commercial potential of the Phase II application. Grant funds may be expended only for the purpose stated in the application and award document.

#### **Applicant Eligibility:**

Project Grants and Centers Grants: Any public, private, nonprofit, or for-profit institution is eligible to apply. For-profit institutions are not eligible for institutional National Research Service Awards. All proposals are reviewed for scientific merit, for evaluation of the qualifications of the investigators, for adequacy of the research and/or research training environment and for significance of the problem. Approved proposals compete for available funds. Awardees of almost all Research Career Development Programs must be citizens or have been admitted to the United States for permanent residence. Candidates must be nominated for the program by a nonfederal public or private nonprofit institution located in the United States, its possessions or Territories. To be eligible, postdoctoral NRSA trainees and fellows must have a professional or scientific doctoral degree (PhD, MD, DO, DC, DDS, DVM, OD, DPM, ScD, EngD, Dr PHPhD, MD, DO, DC, DDS, DVM, OD, DPM, ScD, EngD, Dr PH, DNSc, ND {Doctor of Naturopathy}, PharmD, DSW, PsyD, AUD or equivalent doctoral degree from an accredited domestic or foreign institution). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, physicians, and other health and allied health professionals.

#### **Credentials/Documentation:**

Project Grants are awarded to an institution in the name of an individual investigator. Centers Grants are also awarded to an institution in the name of an investigator designated as the Program Director. Persons qualified to carry out research related to the NIDCD grant programs described above may apply for funds through their institution to support their investigations. Research career development must be conducted under the direction of a competent sponsor. A candidate for a Career Award must have an earned M.D., Ph.D. or equivalent degree and have had prior research experience. National Research Service Awards: (1) Individual NRSA Fellowship Awards for predoctoral and

postdoctoral training: The candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. (2) Institutional Training Grants for predoctoral and postdoctoral training: The applicant institution must show the objectives, design and resources for the research training program; the qualifications and experience of directing staff and training preceptors; the criteria to be used in selecting individuals for stipend support; and a detailed, justified budget for the numbers and type of trainee positions requested.

For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulation. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF 424 (R&R) is used to apply for SBIR Phase I and Phase II. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the Universal Identifier when applying for Federal grants or cooperative agreements. The DUNS number can be obtained by calling (866) 705-5711 or through the web site at: <http://www.dunandbradstreet.com>. The NIH is converting to SF424 (R&R) Research and Related forms and electronic submission through Grants.gov for the submission of all grant applications. Visit <http://era.nih.gov/ElectronicReceipt> for information and updates on this new process and [www.nidcd.nih.gov/funding/foa](http://www.nidcd.nih.gov/funding/foa) to identify funding opportunity announcements relevant to NIDCD. Research Fellowships: Prior to formal application, a candidate must be accepted at an institution as a doctoral student or postdoctoral fellow and have a sponsor who will supervise the training. Fellows may be sponsored by a (domestic or foreign) nonprofit institution. Application forms and information concerning current areas being supported under the individual and institutional NRSA Fellowship program should be obtained electronically through the NIH's "Extramural Training Mechanisms" home page (<http://grants.nih.gov/training/extramural.htm>). This program is subject to the provisions of 45 CFR, Part 92 for State and local governments, and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page <http://www.nih.gov/grants/funding/sbir.htm>. For further assistance in all above areas, contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

#### **Award Procedure:**

Research grant, career development, and research training program applications are reviewed initially by technical panels composed of scientific authorities, and by the National Deafness and Other Communication Disorders Advisory Council composed of 18 leaders in medicine, science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Research Grants and Centers Grants: Approximately 6 to 9 months. Career Program: From 6 to 9 months. SBIR/STTR applications: About 6 to 9 months. Institutional Training Grants: From 10 to 12 months. Individual

Fellowships: From 4 to 6 months.

#### **Appeals:**

A principal investigator (PI) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>. Final decisions on unresolved appeals are made with the advice of the National Deafness and Other Communication Disorders Advisory Council.

#### **Renewals:**

> 180 Days. By application and review in the same manner as new applications. Research career awards are not renewable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Research Grant awards are made for a 12-month period with recommendation of up to 4 years of additional support. Center Grant awards support may be for a period not to exceed 5 years. Career development awards provide support for up to 5 years. NRSA fellowship and traineeship awards are usually for a 12-month period, with recommendation of additional support of no more than 5 years for predoctoral training and no more than 3 years for postdoctoral training. SBIR Phase I awards are generally for 6 months; Phase II awards normally may not exceed 2 years. STTR Phase I awards are generally for 1 year; Phase II awards normally may not exceed 2 years. See the following for information on how assistance is awarded/released: After the progress report is evaluated and deemed satisfactory, a notice of grant award for each grant is issued annually.

#### **Reports:**

Program reports are not applicable. The grantee organization submits quarterly cash 272 reports. A progress report is required yearly for each grant. A financial status report is due either annually or at the end of the project period, depending upon the type of grant. Performance monitoring is covered in the annual progress report.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

#### **Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

#### **Account Identification:**

75-0890-0-1-552.

#### **Obligations:**

(Project Grants) FY 11 \$320,861,000; FY 12 est \$323,069,000; and FY 13 est \$320,246,000

#### **Range and Average of Financial Assistance:**

Competing Grants: FY11 \$1,800 to \$1,857,411; Average: \$311,397.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 971 Project Grants and Center Grants: 24 SBIR/STTR Grants; and 165 NRSAs. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Project Grants and Centers Grants: 42 CFR 52 or 52a; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42

CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Debra S. Holmes 6120 Executive Boulevard  
EPS - Room 400C, Bethesda, Maryland 20892-7180 Email:  
holmesd@mail.nih.gov Phone: 3014968693 Fax: 3014026250

**Website Address:**

<http://www.nidcd.nih.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Project Grants/Center Grants: FY11 \$320,861,000; NRSAs: FY11 \$14,100,000; SBIR/STTR Grants: FY11 \$9,948,000. Fiscal Year 2012: See NIH's Research Portfolio Online Reporting tools at <http://projectreporter.nih.gov>. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed project; (5) the necessity of budget components requested in relation to the proposed project; (6) the relevance and importance to announced program objectives; (7) innovation; (8) risk to human subjects, including inclusion of minorities and children, and animal protection. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.178 NURSING WORKFORCE DIVERSITY**

NWD

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 821 of the Public Health Service Act (42 U.S.C. 296m), as amended by Section 5404 of the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

To increase nursing education opportunities for individuals who are from disadvantaged backgrounds (including racial and ethnic minorities under-represented among registered nurses) by providing student stipends and

scholarships, stipends for diploma or associate degree nurses to enter a bridge or degree completion program, student scholarships or stipends for accelerated nursing degree programs, pre-entry preparation, advanced education preparation, and retention activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project. Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees. The maximum annual (12-month) amount for stipends is \$6,000 per eligible student. Scholarships are limited to a maximum of \$7,000 per eligible student per year for upper division nursing students. The maximum amount that can be requested for scholarships in a grant is \$40,000 per year.

**Applicant Eligibility:**

Eligible applicants are accredited schools of nursing, nursing centers, academic health centers, State or local governments, an Indian Tribe or Tribal organization, other public or private non-profit entities including faith-based and community organizations, and for-profit entities capable of carrying out the legislative purpose. Schools of nursing providing formal degree programs must be accredited by a national nurse education accrediting agency or State approval agency recognized by the U.S. Department of Education.

**Beneficiary Eligibility:**

Accredited public and nonprofit private schools of nursing and other public or nonprofit private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the third year of the initial project period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.



**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report is required for submission to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. A Federal Financial Report (FFR) must be submitted within 90 days after the end of each budget period. A final financial report must be submitted within 90 days after the end of the project period. See above for reporting requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$16,009,000; FY 12 est \$15,819,000; and FY 13 est \$15,819,000

**Range and Average of Financial Assistance:**

FY 11: Range: \$110,305 \$534,798; Average first year award: \$3,254,616.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY2010-FY2011 project period 3,280 students were enrolled in the program and 6,822 pre-professionals were enrolled. During this period 1,059 were graduates. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Kristen Hansen, MHSA, RN, NE-BC, Project Officer, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Rm. 9-61, Parklawn Bldg, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5688. Email [khansen@hrsa.gov](mailto:khansen@hrsa.gov).

**Headquarters Office:**

Kristen Hansen 5600 Fishers Lane, Rm. 9-61, Parklawn Bldg, Rockville, Maryland 20857 Email: [Emailkhansen@hrsa.gov](mailto:Emailkhansen@hrsa.gov) Phone: (301) 443-2796

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.417 ARRA - Nursing Workforce Diversity

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Project Title: Success  
Organization Name: Alvernia University Department of Nursing  
State: Pennsylvania

Project Title: Caring for Our Own Program (CO-OP)-A Reservation/University Partnership

Organization: Health Services Planning. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section. Review criteria will be included in funding opportunity announcements. Preference may be given to any eligible applicant with a project that will advance in designated health professional shortage areas.

**93.184 DISABILITIES PREVENTION**

(Disability and Health)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Part 241(a), Section Section 301(a), Public Law USC-42 U.S.C. 247(b).

**OBJECTIVES:**

To (1) Provide a national focus for the prevention of secondary conditions in persons within selected disability domains including mobility, personal care, communication, and learning; (2) build State capacity to coordinate program activities and assess the magnitude of disability in States; (3) employ epidemiological methods to set priorities and direct health promotion interventions for persons with disabilities; (4) conduct research projects to understand secondary conditions and measure the impact of the environment on the lives of persons with disabilities, and conduct studies on the effectiveness of interventions in targeted groups of persons with disabilities; (5) fund and support a national limb loss information center; (6) fund and support a national information center on physical activity for persons with disabilities; (7) fund and support a national paralysis and quality of life/health promotion information and resource center; (8) fund and support a national spina bifida information and resource center and (9) fund and support intellectual disability projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CDC issued continuation awards in fiscal year 2012 for 18 State disability and health cooperative agreements. CDC issued competitive awards to four information/resource centers to address the prevention of secondary conditions

and health promotion for persons with disabilities. State capacity cooperative agreements: These awards are providing financial assistance to develop and strengthen health-related disability programs. The support is intended to increase capacity and action in health promotion, health care access and emergency preparedness activities for people with disabilities.

Research project grants: Financial assistance under this program is being used to: 1) Implement and evaluate programs to identify and quantify preventable secondary conditions within disability domains which include physical, medical, cognitive, emotional, and/or psychosocial conditions and their prevention; 2) determine the risk and protective factors in specified populations of persons who have a disability; 3) measure the effectiveness and costs of preventive interventions; and 4) develop measurements of the environment that can facilitate or hinder access to participation for persons with a disability.

National Limb Loss Information Center: Financial assistance has been awarded to operate a national clearinghouse to provide educational materials and self-help guidance to persons with limb loss and limb difference their families, and develop a peer visitation training initiative for the conduct of education and training sessions in hospitals, rehabilitation facilities, and support groups. The National Center on Physical Activity and Disability provides multiple sources of information and references on a vast array of inquiries on exercise, fitness and health promotion activities. Christopher and Dana Reeve Foundation: Financial assistance has been awarded to operate a national resource center for persons with paralysis, their families, and their caregivers. Financial assistance has been awarded to conduct activities to improve the health and wellness of people with intellectual disabilities. In these cases, project funds may not be used to supplant State, local, or institutional funds available for these activities, or for construction costs, or to purchase facilities or space. Grantees may enter into contracts as necessary to help achieve the objectives of their respective programs.

#### **Applicant Eligibility:**

Based on available funding for fiscal year 2012, CDC issued competitive awards for 18 State projects. Eligibility for the programs in the future are State health departments or other official organizational authority (agency or instrumentality) of States, including the District of Columbia, the Commonwealth of Puerto Rico, and any territory or possession of the United States. Also, four national information centers on limb loss, physical activity, paralysis, and spina bifida were funded. Eligible applicants for competing applications in fiscal year 2012 included public and private nonprofit entities, including universities, university-affiliated systems, not-for-profit medical centers, research institutions and rehabilitation hospitals, disability service groups such as advocacy and voluntary organizations and independent living centers, and federally recognized Indian Tribal Governments. For the limb loss information center, the physical activity and intellectual disability resource center projects; competitive applications were solicited for these programs in FY 2012.

#### **Beneficiary Eligibility:**

In addition to the eligible applicants, other groups who will receive benefits from the program include persons with disabilities and family members of persons with disabilities, persons with limb loss, minority populations, refugees, infants, children, youth, adults, senior citizens, women, all educational levels, all income levels, urban, suburban, and rural populations, health/rehabilitation professionals, scientists, educators, and researchers.

#### **Credentials/Documentation:**

State disability and health applicants documented in their fiscal year 2012 competitive applications the need for assistance, indicated the objectives of their projects, presented their approaches to meet set objectives, and outlined the method of operation. Current information centers requested continuation funding to meet original protocols and objectives. For nonprofit recipients, costs will be determined in accordance with HHS Regulation 45 CFR 74. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

The guidelines will indicate whether or not an application is subject to Executive Order 12372. If the application is subject for review per State Executive Order 12372, please follow these instructions:

1. The SPOC should be contacted as early as possible to receive any necessary instructions on the State process. If the project serves more than one State, the

department should contact the SPOC of each affected State.

2. The necessary information should be mailed to the SPOC.

3. Please provide a copy of the cover letter sent to the SPOC to Grants & Contracts along with the hard copy application. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the Grants.gov web site, at the following Internet address: [www.grants.gov](http://www.grants.gov). Submit the final application using the [www.grants.gov](http://www.grants.gov) website. This program is subject to the provisions set forth in 45 CFR 92, for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

#### **Award Procedure:**

State disability and health cooperative agreement competitive awards are determined by an internal objective committee review process at CDC. Research project grant competitive awards are determined by an external peer review. At such times, awards will be based on evaluation criteria set forth in the respective Program Announcements, the availability of funds, and such other significant factors as deemed necessary and appropriate by CDC. Awards for State disability and health projects will be issued for expected project periods of 3 years. Future awards for Research project grants are not expected to be issued until fiscal year 2015 given the funding cycles for those projects. The Notices of Grant Award will indicate financial support for the first budget year, allocations of Federal funds by budget category, and special conditions, if any.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Between 60 to 95 days from the deadline date for submission of applications.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Eighteen State disability and health projects received financial assistance in fiscal year 2012 for three year project periods. Other future solicitations (when announced) will indicate the length of the project periods and program requirements for each of these programs. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Annual progress reports are required. Federal financial reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Cash reports are not applicable. Annual progress reports are required. Federal financial reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Financial status reports are required no later than 90 days after the end of each specified budget period. Final financial status reports and a final program report is required 90 days after the end of the project. Annual progress reports are required. Financial status reports are required no later than 90 days after the end of each specified budget

period. Final financial status reports and a final program report is required 90 days after the end of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0958-1-1-550.

**Obligations:**

(Salaries) FY 11 \$18,771,629; FY 12 est \$21,908,896; and FY 13 est \$19,958,306 - State capacity projects: FY 07 \$4,606,616; FY 08 \$5,209,769; FY 09 \$5,029,769, FY10 \$4,743,140 FY11 \$4,754,044 ; FY12 \$5,300,000. Research Projects: FY 07 \$2,299, 620; FY 08 \$2, 292, 260 and FY09 \$2,922,620; FY12 \$400,000. National Limb Loss Information Center: FY 07 \$1,650,00, FY 08 \$1,650,000; and FY 09 \$1,650,000, FY 10 \$1,650,000. FY11 \$825,000. National Center on Physical Activity and Disability; FY 07 \$800,000; FY08, and FY 09 \$925,000, FY 10 \$925,000, FY 11 \$925,000; Special Olympics FY 07 \$5,500,00; FY 08 \$5,508,084 and FY 09 \$5,479, 271, FY 10 \$4,202,116 FY 11 \$3,500,000. Intellectual Disabilities FY12 \$ 3,500,000. National Spina Bifida Resource Center: FY 07 \$1,250,000; FY 08 \$1,250,000; and FY 09 \$1,250,000 and Christopher and Dana Reeve Paralysis Resource Center, FY 08 \$5,617,350 and FY 09 \$5,254,403; FY 10 \$6,410,000; FY 11 \$5,800,000; FY12 \$ 6,100,000. National Public Health Practice and Resource Center on Health Promotion FY12 \$2,000,000.

**Range and Average of Financial Assistance:**

The competitive awards using fiscal year 2012 funds for the State capacity projects is \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jacqui Butler, MPA, CMC 1825 Century Center Boulevard Rm 4074, Atlanta, Georgia 30345 Email: jabutler@cdc.gov Phone: (404) 498-0274

**Website Address:**

<http://www.cdc.gov/ncbddd/disabilityandhealth/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

New Research projects will be awarded in September 2012. In these cases, applications are reviewed based on evaluation criteria explicit in the respective Program Announcements. Applications must address demonstrated program need, the magnitude of the problem, the management work plan, collaborative associations, and the approach toward setting and meeting overall project objectives and time frames. These future competitive applications would also be evaluated on the capacity of the applicant to demonstrate effective collaborations with other agencies and data sources critical to preventing

secondary conditions, identifying and addressing health promotion needs for persons with disabilities, denoting the capability of the project to address minority and low-income populations in the prevention of secondary conditions, promoting accessibility to all program services for persons with disabilities, and offering sound proposals toward development of surveys and surveillance for useful data bases within outlined targeted disability activities.

**93.185 IMMUNIZATION RESEARCH, DEMONSTRATION, PUBLIC INFORMATION AND EDUCATION TRAINING AND CLINICAL SKILLS IMPROVEMENT PROJECTS**

PPHF- 2012 -The Affordable Care Act: Enhanced Surveillance for New Vaccine Preventable Disease

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs. This program is funded in part by 2012 Prevention and Public Health Funds (PPHF-2012).

**OBJECTIVES:**

The purpose of the program is to support a network of sites that provide surveillance and data collection on new vaccine use, the impact of new and upcoming vaccines and other immunoprophylaxis, new vaccine policies / policies under consideration, through enhanced inpatient and Emergency Department(ED) surveillance, applied epidemiologic research, and investigator-initiated investigations. Measurable outcomes of the program will be in alignment with the following performance goal for NCIRD. The below are the only grantees eligible and approved as NVSN surveillance sites for funding by this F.O.A.;

1. Seattle Childrens Hospital (Seattle, Washington)
2. Childrens Mercy Hospital (Kansas City, Missouri)
3. Texas Childrens Hospital (Houston, Texas)
4. Cincinnati Childrens Hospital Medical Center (Cincinnati, Ohio)
5. Vanderbilt University Medical Center (Nashville, Tennessee)
6. University of Rochester Medical Center (Rochester, New York)

**Outcomes:**

- 1) To evaluate the impact of new or upcoming vaccines and other immunoprophylaxis, and new vaccine policies on disease in site populations.
- 2) To evaluate the impact of new vaccines and new vaccine policies / policies under consideration on administration of vaccines.
- 3) To understand the burden of vaccine preventable diseases (VPDs) or potentially VPDs in the population.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, data collection, organizing, and the implementation of program elements. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

**Applicant Eligibility:**

Entities must be States (or bona fide agents of States), political subdivision of States, or other public or non-profit private entities.

**Beneficiary Eligibility:**

The general public.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45

CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

Allowable costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov)

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application.

Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

From 60 to 90 days. Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period. See the following for information on how assistance is awarded/released: Various avenues.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-550 - TBD.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,656,000; FY 12 est \$1,878,200; and FY 13 est \$1,878,200 - An estimated \$1,878,200 for FY2013 in cooperative agreement funding will be made available. Future year funding is subject to the availability of funds.

**Range and Average of Financial Assistance:**

Awards will range from approximately \$450,000 to \$550,000 with an average of approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Anjella Vargas-Rosales, 1600 Clifton Road, Room 8232, Mailstop A-27, Atlanta, Georgia 30333 Email: [acv6@cdc.gov](mailto:acv6@cdc.gov) Phone: (404) 639-8900 Fax: (404) 639-8626

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.186 NATIONAL RESEARCH SERVICE AWARD IN PRIMARY CARE MEDICINE**

NRSA

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 487 of the Public Health Service Act and Division D, Title II, Section 218 of the Consolidated Appropriations Act of 2010, Public Law 111-117.

**OBJECTIVES:**

The Ruth L. Kirschstein National Research Service Awards (NRSA) in Primary Care Program is a five-year initiative that seeks to develop a diverse and highly trained primary care research workforce by supporting grantees that prepare qualified individuals for careers that will have significant impact on the

nations primary care research agenda. Within the framework of the programs longstanding commitment to excellence and projected need for investigators in particular areas of research, attention must be given to recruiting individuals with proven experience in biomedical and behavioral sciences and health systems.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

NRSA grants are made to approved institutions to enable them to provide up to five years of fellowship support to qualified postdoctoral individuals undertaking primary care research training. Each NRSA trainee is obligated to comply with Federal service and payback provisions. Trainees in the first 12 months of postdoctoral support incur one month of service payback obligation for each month of support. Postdoctoral trainees in the 13th and subsequent months of NRSA support do not incur any further service obligation. In addition, the 13th and subsequent months of postdoctoral training serve to discharge the NRSA payback obligation.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations or institutions may apply for training grants. The applying institution must be an entity that trains primary care providers in medicine or dentistry and has received federal support as evidenced by receipt of a grant under Title VII, section 747 of the Public Health Service Act, designed to prepare the primary care health workforce. State or local governments and U.S. Territories are eligible. For profit organizations are not eligible. All persons supported as fellows or trainees must be citizens or non-citizen nationals of the United States, or have been lawfully admitted for permanent residence.

**Beneficiary Eligibility:**

Individuals and public or private nonprofit organizations or institutions, including State or local governments and U.S. Territories. Participants must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification of award is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 to 3 months from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget period of

the approved project period.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

No individual trainee may receive more than three years of aggregate National Research Service Award support at the post-doctoral level, including any combination of support from institutional and individual awards. Institutional training grants may be awarded for project periods up to five years. Awards are made on an annual basis and it is expected that expenditures will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with the Department of Health and Human Services (DHHS), which may be the Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Training) FY 11 \$7,419,500; FY 12 est \$7,154,840; and FY 13 est \$7,158,840

**Range and Average of Financial Assistance:**

151,331 to \$386,195; \$325,220.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The most recent competition concluded on March 11, 2011. Twenty-eight applications were received and 21 were funded in 2011. The funded grants will reach 96 trainees in 21 states. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Martha Evans, MS, Public Health Analyst, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Room 9A-27, Rockville, Maryland 20857, Telephone: (301) 443-3142, Fax: 301-443-8890, and E-mail: [Mevansl@hrsa.gov](mailto:Mevansl@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry 5600 Fishers Lane, Room 9A-27,

Rockville, Maryland 20857 Phone: (301) 443-6190 Fax: 301-443-8890

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012:

<http://bhpr.hrsa.gov/grants/medicine/index.html>. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal reviewers for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the announcement.

**93.187 UNDERGRADUATE SCHOLARSHIP PROGRAM FOR INDIVIDUALS FROM DISADVANTAGED BACKGROUNDS**

(NIH Undergraduate Scholarship Program; UGSP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act., Title IV, Part G, Section 487D.

**OBJECTIVES:**

To provide service-conditioned scholarships to individuals from disadvantaged backgrounds who agree to pursue undergraduate education at accredited institutions. Individuals must pursue a course of academic study which prepares them for professions needed by the National Institutes of Health (NIH). NIH expects to facilitate interest of these individuals in pursuing careers in the biomedical/biobehavioral sciences at the NIH.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program will provide scholarships to individuals who have completed their first year of studies and are enrolled or accepted for enrollment as full-time students at an accredited undergraduate institution of higher education and who are from disadvantaged backgrounds. Each recipient must agree by written contract to serve as an NIH employee full-time for not less than 10 consecutive weeks of each year during which the individual is attending the undergraduate institution and receiving a scholarship; and, not later than 60 days after obtaining the educational degree, each recipient must begin serving as a full-time NIH employee for one year for each year of NIH scholarship support (a deferment of the service obligation may be obtained if the Director, NIH, determines that such is appropriate). Applicants must submit a proposed academic program for each academic year and agree that this program will not be altered without prior approval. The applicant must be in good academic (maintain a minimum GPA of 3.5) standing with their educational institution for continuation under the scholarship program. Maximum scholarship per academic year is \$20,000. Scholarship funds may only be used for tuition expenses and qualified educational and living expenses incurred while attending school.

**Applicant Eligibility:**

An eligible applicant must be (1) A U.S. citizen, national, or permanent resident; (2) enrolled or accepted for enrollment as a full-time student at an accredited undergraduate institution (4 year school) of higher education; (3) from a disadvantaged background as determined by the Secretary of Health and Human Services; (4) in good academic standing (minimum GPA of 3.5 or be in the top 5 percent) with his/her educational institution; and (5) submit an application to participate in the Undergraduate Scholarship (UGS) Program; (6) agree to serve as a full-time NIH employee for not less than 10 consecutive weeks of each year during which the individual is attending the educational institution and receiving a scholarship; (7) agree to serve as a full-time NIH employee for 12 months for each academic year during which the scholarship was provided, not later than 60 days after obtaining his or her academic degree, unless a service deferment is granted.

**Beneficiary Eligibility:**

Undergraduate students from disadvantaged backgrounds pursuing academic programs supporting professions needed by the NIH.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Verification of enrollment or acceptance to an accredited institution of higher education (4 year school); (2) a proposed academic program for the school year; (3) certification from the academic institution that the applicant is in good academic standing (minimum GPA of 3.5, or be in the top 5 percent); (4) certification from the academic institution that the applicant qualifies for participation in an educational assistance program for individuals from disadvantaged backgrounds as defined by the Secretary of Health and Human Services; and (5) other documentation as may be required by law, statute, or regulation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application, a signed contract, and other required information (as listed in the application packet) are submitted to the Program office. Once an application package is received by the administering Program Office, preliminary eligibility will be determined and highly qualified applicants will be interviewed. Final determination of awards will be made upon review by the Undergraduate Scholarship Program Committee at a regularly scheduled meeting.

**Award Procedure:**

Priority will be given to applicants who are prior recipients. The NIH Undergraduate Scholarship Program Committee will review, rank, and approve or disapprove applications submitted for program participation. Criteria which determine competitive ranking for awards may include: (1) career goal in biomedical/biobehavioral research; (2) academic performance; and (3) letters of recommendation. A student's financial need alone does not affect selection. Applicants approved for award will be notified by the Program Director. The Secretary, and his/her designee will sign the service contract of approved applicants, provide a copy to the participant and under graduate institution notice of approved award amount. Scholarship payments, including room and board, books, fees and transportation are made to the college or university for dispersal.

**Deadlines:**

Jan 31, 2012 Contact the Headquarters Office listed below for application deadlines.

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 3 months.

**Appeals:**

Not Applicable.

**Renewals:**

Annual renewal applications are required to extend the award. Extensions of the scholarship award are subject to availability of funds, acceptable academic and laboratory performance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each award covers 1 calendar year, and may be extended for an additional 3 years, for a maximum of 4 years. No awardee may receive more than 4 years of support. See the following for information on how assistance is awarded/released: beginning of academic term.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Federal Employment) FY 11 \$2,500,000; FY 12 est \$2,030,287; and FY 13 Estimate Not Available - Funds are obligated from the appropriated budget to cover scholarship awards to a maximum of \$20,000 per participant per academic year. Additional funds are used to fund the salaries of participants completing their service obligation, which are performed in exchange for the award they received as an undergraduate.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. contact: Darryl Murray, 301-594-2222, murrayda@mail.nih.gov.

**Headquarters Office:**

Darryl Murray Building 2, Room 2E20  
Two Center Drive, Bethesda, Maryland 20892 Email: murrayda@mail.nih.gov  
Phone: 301-594-2222 Fax: 301-480-5481

**Website Address:**

<http://ugsp.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The NIH Undergraduate Scholarship Program Committee will review, rank, and approve or disapprove applications based on career goals and academic performance. Priority will be given to applicants who have demonstrated good academic performance, demonstrated a career goal to pursue biomedical/biobehavioral research, and have characteristics which support the likelihood they will complete their service obligations.

**93.191 GRADUATE PSYCHOLOGY EDUCATION PROGRAM AND PATIENT NAVIGATOR AND CHRONIC DISEASE PREVENTION PROGRAM**

Graduate Psychology Education (GPE) Program  
Patient Navigator and Chronic Disease Prevention Program (PN)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

GPE: Title VII, section 755 (b)(1)(J) of the Public Health Service Act (42 USC 755 [294e(b)(1)(J)]) as amended by the Health Professions Education Partnership Act of 1998, PL 105-392 and the Patient Protection and Affordable Care Act, PL 111-148.

PN: Section 340A of the Public Health Service Act (42 U.S.C. 256a), as amended by the Patient Protection and Affordable Care Act, Pub. L. 111-148.

**OBJECTIVES:**

GPE: The Graduate Psychology Education Program addresses the interrelatedness of behavior and health and the critical need for integrated health care services. Grants will be awarded to assist eligible entities in meeting

the costs to plan, develop, operate, or maintain graduate psychology doctoral, doctoral internship, and doctoral residency programs accredited by the APA. These programs must foster an integrated approach to health care services and address access for underserved populations by training psychologists to work with underserved populations including children, the elderly, victims of abuse, the chronically ill or disabled; and in areas of emerging needs.

PN: The Patient Navigator Program focuses on improving patients health outcomes through enhanced chronic disease management by using patient navigators and the implementation of PN programs to include recruitment, training, assignment, and employment of such navigators.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

GPE: Funds may be used for predoctoral and postdoctoral stipend support of students. Funds may not be used for student tuition or fees or for direct health care service delivery.

PN: Funds may be used for the recruitment, training, assignment, and employment of patient navigators to perform the following six duties: (1) Acting as contacts, including by assisting in the coordination of health care services (such as screening clinics, diagnosis centers, treatment facilities, and clinical trials) and provider referrals for individuals who are seeking prevention or early detection services for, or who following a screening or early detection service are found to have a symptom, abnormal finding, or diagnosis of cancer or other chronic disease; (2) Facilitating the involvement of community organizations in assisting individuals who are at risk for or who have cancer or other chronic diseases to receive better access to high-quality health care services (such as by creating partnerships with patient advocacy groups, charities, health care centers, community hospice centers, other health care providers, or other organizations in the targeted community); (3) Notifying individuals of clinical trials and, on request, facilitating enrollment of eligible individuals in these trials; (4) Anticipating, identifying, and helping patients to overcome barriers within the health care system to ensure prompt diagnostic and treatment resolution of an abnormal finding of cancer or other chronic disease; (5) Coordinating with relevant health care ombudsman programs to provide information to individuals who are at risk for or who have cancer or other chronic diseases about health coverage, including private insurance, health care savings accounts, and other publicly funded programs (such as Medicare, Medicaid, health programs operated by the Department of Veterans Affairs or the Department of Defense, the Children's Health Insurance Program, and any private or governmental prescription assistance programs); and (6) Conducting ongoing outreach to health disparity populations, including the uninsured, rural populations, and other medically underserved populations, in addition to assisting other individuals who are at risk for or who have cancer or other chronic diseases to seek preventative care. Funds may not be used to fund legal fees or costs, referral fees, research or other services, including the delivery of health care services other than the patient navigator duties, or facilities or real property.

**Applicant Eligibility:**

GPE: Eligible entities are accredited health profession schools, universities, and other public or private nonprofit entities. Only applicants whose training program is accredited by the American Psychological Association (APA) and who provide such documentation can be funded. The eligible entity must demonstrate that the training within an accredited psychology training program will occur in collaboration with one or more disciplines other than psychology. Disciplines include, but are not limited to, family medicine, general internal medicine, and pediatrics. Funding is available for accredited doctoral programs, internships, and post-doctoral training programs.

PN: Eligible applicants include public or non-profit private health centers (including federally qualified health centers), health facilities operated by or pursuant to a contract with the Indian Health Service, hospitals, cancer centers, rural health clinics, academic health centers, and non-profit entities that enter into a partnership or coordinate referrals with such centers, clinics, facilities or hospitals to provide navigation services.

**Beneficiary Eligibility:**

GPE: Public or private nonprofit schools, universities, or other educational entities which provide for graduate psychology education and training or other

public or private nonprofit entities capable, as determined by the Secretary, of carrying out the objectives of the project.

PN: Eligible beneficiaries include health disparity populations who have or are at risk for cancer or other chronic diseases.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

GPE: During the final budget year of the approved project period, competing continuation applications may be submitted.

PN: Competitive continuations may be submitted during the final budget period within an approved project period.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public

Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$3,955,000; FY 12 est \$0; and FY 13 est \$0 - Patient Navigator Program. (Salaries) FY 11 \$2,783,340; FY 12 est \$2,682,823; and FY 13 est \$2,682,823 - Graduate Psychology Education Program.

**Range and Average of Financial Assistance:**

Graduate Psychology Education Program:  
FY 11: Range: \$75,000 to \$190,000; Average: \$114,000.  
FY 12: Range: \$92,205 - \$173,838. Average: \$134,141.  
FY 13: Range: \$92,205 - \$173,838. Average: \$131,141.

Patient Navigator Program:

PN: FY11: Range: \$378,827 to \$400,000; Average: \$394,974.  
PN: FY12: \$0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Graduate Psychology Education Program:  
Fiscal Year 2011: Twenty (20) non-competing continuation awards were made.

Patient Navigator Program:

No Current Data Available. Fiscal Year 2012: Graduate Psychology Education Program:  
Fiscal Year 2012: Twenty (20) non-competing continuation awards were made.

Patient Navigator Program:

No Current Data Available. Fiscal Year 2013: Graduate Psychology Education Program:  
Fiscal Year 2013: Est 20 new awards will be made.

Patient Navigator Program:

No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**



None. Graduate Psychology Education Program:  
Cynthia Harme, Project Officer, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Room 9C-26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-8998, E-mail: charne@hrsa.gov.

Rebecca Wilson, Project Officer, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Room 9C-26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 594-4466. E-mail: rwilson@hrsa.gov.

PN: Alexis Bakos 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857  
Phone: (301) 443-5688.

**Headquarters Office:**

Cynthia Harme 5600 Fishers Lane Parklawn Building Room 9C-26, Rockville, Maryland 20857 Email: charne@hrsa.gov Phone: (301) 443-8998

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Graduate Psychology Education Program:  
All applications are evaluated by and Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact; (5) Resources/Capabilities; (6) Support Requested; and Interdisciplinary Collaboration, Education, and Training.

Patient Navigator Program:  
Not applicable.

**93.193 URBAN INDIAN HEALTH SERVICES**

The Indian Health Service (IHS), Office of Urban Indian Health Programs (OUIHP)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Executive Order Sections 503 , Title V, Section 511, Public Law 94-437; Indian Health Care Improvement Act, Title V, Public Law 102-572.

**OBJECTIVES:**

To provide health-related services to Urban Indians including: (1) Alcohol and substance abuse prevention, treatment, rehabilitation, and education; (2) mental health needs assessment and services; (3) health promotion and disease prevention services; (4) immunization services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

These grants are limited to established urban Indian health services. The recipient organization must be an urban Indian organization with whom the Secretary has entered into a contract or grant under Title V of the Indian Health Care Improvement Act (25 U.S.C. 1651 et seq). 100% funds under the Urban Indian Health Program are discretionary activities.

**Applicant Eligibility:**

Urban Indian organizations with whom the Secretary has entered into a contract or grant under Title V of the Indian Health Care Improvement Act.

**Beneficiary Eligibility:**

Urban Indians residing in the urban centers in which the organization is located.

**Credentials/Documentation:**

The applicant must provide documentation of: (1) Nonprofit status; and (2) that it has a current contract or grant with the Indian Health Service under Title V of the Indian Health Care Improvement Act. Costs will be determined in accordance with OMB Circular No. A-122, Nonprofit Institutions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Grants are awarded to all eligible organizations based on a competitive grant process. Applications are processed and grants are awarded by Indian Health Service Headquarters. Funding level available to an organization is based on specific criteria in the Act to include size of urban Indian population, accessibility to, and utilization of, other health resources available to that population and identification of need for services.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Management.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal of multi-year cooperative agreements is on a year-to-year basis and requires the submission of continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for project periods of up to 5 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required either quarterly or semi-annually with final performance and financial status reports due 90 after the end of the project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grantees are subject to site visits and audits by the Department of Health and Human Services (DHHS) and other Federal officials.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits,

examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$43,053,000; FY 12 est \$42,984,000; and FY 13 est \$42,984,000

**Range and Average of Financial Assistance:**

\$122,832 to \$626,765; \$227,856.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program guidelines, including applicable sections of Public Law 94-437, as amended; 45 CFR 74 and 92; and the HHS Grants Policy Statement, dated 1/07.

**Regional or Local Office:**

None. Program Contact: Ms. Danielle Steward, Health Systems Specialist, Office of Urban Indian Health Programs, Indian Health Service, 801 Thompson Avenue, Suite 200, Rockville, MD 20852. Telephone: (301) 443-4680.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office, 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be reviewed by staff of the Indian Health Service to ensure compliance with the following: (1) Size of the urban Indian population; (2) accessibility to, and utilization of, other health resources available to such population; (3) duplication of existing Indian Health Service or other Federal grants or contracts; (4) capability of the organization to adequately perform the activities required under the grant; (5) satisfactory performance standards for the organization in meeting the goals; (6) identification of need for services; and (7) proposed methodology for accomplishing the stated goals of the program.

**93.197 CHILDHOOD LEAD POISONING PREVENTION PROJECTS STATE AND LOCAL CHILDHOOD LEAD POISONING PREVENTION AND SURVEILLANCE OF BLOOD LEAD LEVELS IN CHILDREN**

(Childhood Lead Poisoning Prevention Program (CLPPP))

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order Section 317 (k)(2) and 3171 of the Public Health Service Act, [42 U.S.C. Sections 247b and 247b-10], as amended, Title 42, Part 247b, Section 247b-10.

**OBJECTIVES:**

To (1) Develop and/or enhance a surveillance system that monitors all blood

lead levels; (2) assure that children who are potentially exposed to lead receive follow up care; (3) assure awareness and action among the general public and affected professionals in relation to preventing childhood lead poisoning in high risk areas in collaboration with other government and community based organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Awards are to be used by State and local government agencies to develop, improve, and expand their capacity to address the problem of childhood lead poisoning in communities with demonstrated high-risk populations. Recipients of awards are expected to: (a) write, implement and evaluate a jurisdiction-wide childhood lead poisoning elimination plan; (b) write, implement and evaluate screening plans to target resources to children at the highest risk for lead poisoning; (c) maintain a jurisdiction-wide childhood lead surveillance program, with an analysis plan for collected data, (d) conduct primary prevention activities for pregnant women and/or families with children at high risk for lead poisoning, (e) develop an assurance plan for timely and appropriate case management of children with elevated blood lead levels, (f) demonstrate strategic partnering with community organizations and with other state/local agencies involved in environmental and child health activities, (g) coordinate with organizations and agencies involved in lead-based paint hazard reduction activities and development of protective policy; and (h) evaluate programmatic impact on childhood lead poisoning within the applicant's jurisdiction. Awards cannot supplant existing funding for childhood lead poisoning prevention programs or activities. Grant awards may not be expended for medical care and treatment, or for environmental remediation of lead sources, however, there must be an acceptable plan to ensure that these program activities are appropriately carried out. The surveillance component of this grant is intended to assist State health departments in implementing or enhancing a complete surveillance system to track all PbB levels in children. This is essential for grant recipients to target interventions to high-risk populations and to track progress toward eliminating childhood lead poisoning.

**Applicant Eligibility:**

Assistance will be provided to State health departments or their bonafide agents and the health departments of the following five local jurisdictions (or their bonafide agents) that have the highest estimated number of children with elevated blood lead levels : New York, NY; Chicago, IL; Detroit, MI; Los Angeles County, CA, and Philadelphia, PA, or their bona fide agents. Also eligible are health departments or other official organizational authorities of the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and federally recognized Indian tribal governments. Competition is limited by authorizing legislation.

**Beneficiary Eligibility:**

In addition to the eligible applicants, others who receive benefits from the program include infants and children from six months to six years of age who are screened for lead poisoning and family members who care for lead-poisoned children. Lead poisoning potentially affects all children, but disproportionately affects minority children and children of low-income families. Since the effects of lead poisoning can be long lasting, benefits of the program can also affect youth and adults, persons at all educational and income levels, and urban, suburban, and rural populations.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, present their approach to meeting the objectives, and outline the methods of operation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application forms are both available from and submitted to the Grants Management Branch, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Standard application forms, as furnished by CDC and required by 45 CFR 92 must be used for this program. This program is subject to the provisions set forth in 45 CFR 92 for State and local governments.

**Award Procedure:**

Approved grants are funded based on a priority score ranking from an objective review process coordinated by the Centers for Disease Control and Prevention. CDC will give funding preference to state programs with significant estimated numbers of children with elevated blood lead levels that direct federal funds to localities with high concentrations of children at risk for childhood lead poisoning. CDC will also give funding preference to the five local jurisdictions with the highest estimated number of children with elevated blood lead levels. Awards are made based on availability of funds and other significant factors as deemed necessary and appropriate by the agency. Funds are awarded for a one-year (12 month period). A Notice of Grant Award (Form PHS 5161-1) is provided which indicates the current award as well as support recommendations for the remainder of the project period (up to three years). The Notice of Grant Award indicates allocations for Federal funds by budget categories and any special conditions, if applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From two to three months.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 90 to 120 days. Renewal requests cannot exceed a five year project period. Priority consideration will be given to noncompeting continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period (July 1 - June 30) with project periods of up to five years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports. Cash reports are not applicable. Refer to the the funding opportunity announcement for details. Refer to the the funding opportunity announcement for details. Refer to the the funding opportunity announcement for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, these grants are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants

Policy Statement requirements.

**Account Identification:**

75-0947-0-1-550.

**Obligations:**

(Salaries) FY 11 \$19,755,101; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for this program are published under 42 CFR 51b. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994. The basic grant administration policies of DHHS and PHS are also applicable.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Caroline Gardner, CDC, NCEH, 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the applicant's ability to identify populations and communities at high risk and the overall balance of the program's design to address the childhood lead poisoning problem. This requires the development of specific and measurable objectives and a sound operational plan that includes screening of high risk populations, medical and environmental management, lead hazard remediation, and health education and risk reduction activities to appropriately address the problem. Applications also will be evaluated on the ability of the program to carry out childhood lead poisoning prevention program activities utilizing the core public health functions as well as establishing working relations or partnerships with other agencies, organizations or groups that have interest in the prevention of childhood lead poisoning.

**93.204 SURVEILLANCE OF HAZARDOUS SUBSTANCE EMERGENCY EVENTS**

**FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended; Superfund Amendments and Reauthorization Act of 1986, Sections 104(i)(1)(E), (9), and (15), Public Law 99-499, 42 U.S.C. 9604., 42 U.S.C 9604.

**OBJECTIVES:**

To assist State health departments in developing a State-based surveillance system for monitoring hazardous substance emergency events. This surveillance system will allow the State health department to better understand the public health impact of hazardous substance emergencies by developing, implementing, and evaluating a State-based surveillance system.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The participant State health agencies will use the information collected to assess the burden of adverse health effects created by these unexpected, sudden

releases of hazardous substances, describe the situations and persons most likely impacted, define the risk factors for adverse health effects, and work with other agencies to implement prevention activities. Funds may be expended for reasonable program purposes, such as personnel, travel, supplies, and services. Equipment may be purchased with cooperative agreement funds; however, justification must be provided which should include a cost comparison of purchase versus lease options. All purchased equipment must be compatible with ATSDR's equipment and shall be returned to ATSDR at the completion of the project.

**Applicant Eligibility:**

Eligible applicants are the official public health departments of the States and the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, the Northern Mariana Islands, and American Samoa and federally-recognized Indian Tribal Governments.

**Beneficiary Eligibility:**

Beneficiaries include Federal, State, local, other public institutions/organizations, federally-recognized Indian tribal governments, U.S. Territories/possessions, and the general public.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use application on [www.Grants.gov](http://www.Grants.gov). By formal agreement, the CDC Grants Management Branch will act on behalf of ATSDR on this matter.

**Award Procedure:**

The Assistant Administrator, ATSDR has final authority to approve funding of applications. When an application is approved for funding, the Grants Management Officer, CDC, acting as agent for ATSDR, will prepare a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 60 to 90 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

From 90 to 120 days. Awards are made for project periods of one to five years with 12-month budget periods. Renewal awards cannot be made beyond the project period without competition.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The awards will be made for 12-month budget periods within a project period of one to five years. Continuation awards within the project period are made on the basis of satisfactory progress and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

See Funding Opportunity for guidance. Cash reports are not applicable. See Funding Opportunity for guidance. See Funding Opportunity for guidance. See Funding Opportunity for guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with EPA's "Superfund Financial Management and Record keeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon the request of the Inspector General.

**Account Identification:**

75-8252-0-1-551.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - This action was moved to CFDA #93.161.

**Range and Average of Financial Assistance:**

Estimate average range per award will be \$60,000 to \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are set forth in 45 CFR 92 and 40 CFR 35. Guidelines are available in the application kit and the PHS Grants Policy Statement No. 94-50,000 (Revised), April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61 , Atlanta, Georgia 30341-3717 Email: [ctg8@cdc.gov](mailto:ctg8@cdc.gov) Phone: (770) 488-0572.

**Website Address:**

<http://www.atsdr.cdc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated according to the following criteria: (1) Appropriateness and knowledge of surveillance systems; (2) Proposed methodology; (3) Capability and coordination efforts; (4) Quality of information collection; (5) Program personnel; and (6) Program budget (not scored).

**93.209 CONTRACEPTION AND INFERTILITY RESEARCH LOAN REPAYMENT PROGRAM**

(CIR LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, 42 U.S.C. 288-2, Title IV (National Research Institutes), Part G (Awards and Training), Section 487B (Loan Repayment Program for Research with Respect to Contraception and Infertility), as amended by Public Law 105-392.

**OBJECTIVES:**

The CIR-LRP is designed to provide an incentive for health professionals to work in areas of reproductive research directly related to contraceptive

development and/or infertility diagnosis and treatment by providing assistance in repaying educational loans for individuals. The CIR-LRP will pay up to \$35,000 of the principal and interest of a participant's educational loans for each year of commitment not to exceed one-half of the remaining loan balance. In addition to the loan repayments, the CIR-LRP may pay participants up to 39 percent of the amount paid to lenders as partial payments on the increased income tax liability caused by the Program's loan repayments. In return for these loan repayments, applicants must agree to commit to a period of obligated service of not less than 2 years conducting research with respect to contraception and/or infertility. The long-range objective of the CIR-LRP is to stimulate the commitment of researchers to sustaining a career focus on contraception and/or infertility research.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The assistance provided by the CIR-LRP is entirely of a financial nature in the form of loan repayments. The monies provided by this program are restricted to the repayment of pre-existing, qualified loans procured by the participant for educational expenses incurred in the pursuit of undergraduate or graduate degrees.

**Applicant Eligibility:**

Applicants must be a U.S. citizen (or U.S. national or permanent resident) and a physician, Ph.D.-level scientist, nurse, physician's assistant, graduate student, or postgraduate research fellow training in the health professions. You must commit to conduct contraception and infertility research for 50% of your time (at least 20 hours weekly based on a 40 hour week) for two years and it must be funded by a domestic nonprofit or U.S. Government (Federal, state or local) entity. Also, the research must not be prohibited by Federal law or NIH policy. Complete eligibility information is available at [http://www.lrp.nih.gov/about\\_the\\_programs/contracept\\_and\\_infertility.aspx](http://www.lrp.nih.gov/about_the_programs/contracept_and_infertility.aspx).

**Beneficiary Eligibility:**

Assistance in the form of loan repayments will be made to qualified health professionals (including graduate students) who are participants in the CIR-LRP.

**Credentials/Documentation:**

In order to be considered for selection into the CIR-LRP, eligible applicants must complete and submit the electronic application materials located at [www.lrp.nih.gov](http://www.lrp.nih.gov), which include: (1) a Loan Verification Form for each loan to be considered for repayment; (2) an institutional statement providing assurance that the applicant will be engaged in employment/training at an NICHD intramural laboratory or in a qualified domestic nonprofit institution (tax-exempt under 26 USC 501), for not less than two years from the anticipated effective date of the NIH Loan Repayment Program Contract between the individual and NICHD (this assurance is conducted electronically); and (3) a signed NIH Loan Repayment Program Contract by which the applicant agrees to serve the obligated minimum period of two years conducting contraception and/or infertility research at an NICHD intramural laboratory or in a qualified domestic nonprofit institution (tax-exempt under 26 USC 501). Renewal applicants may request one-year awards. For these applicants, a one-year institutional statement providing assurance and NIH Loan Repayment Program Contract is sufficient. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Information regarding the CIR-LRP and the preparation of forms for application to the CIR-LRP can be obtained at [http://www.lrp.nih.gov/about\\_the\\_programs/contracept\\_and\\_infertility.aspx](http://www.lrp.nih.gov/about_the_programs/contracept_and_infertility.aspx) and by contacting the LRP Info Center at [www.lrp.nih.gov](http://www.lrp.nih.gov), (866) 849-4047 (Mon-Fri 9AM - 5PM Eastern Time) and [lrp@nih.gov](mailto:lrp@nih.gov). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Qualified individuals interested in participating in the CIR-LRP should visit the NIH Loan Repayment Program Website at [www.lrp.nih.gov](http://www.lrp.nih.gov) for all application forms

and requirements. The application will be evaluated by a Review Committee, convened for this purpose by the Division of Scientific Review, NICHD, NIH, HHS. In selecting applicants for participation in the CIR-LRP, the panel will consider eligibility status, quality of the applicant, and applicant's career plan focus. All selections are subject to final approval by the Director, NICHD. The NICHD will notify the sponsoring grantee institution and the applicant of the outcome of the review.

**Award Procedure:**

Once the applicant is selected to participate in the CIR-LRP, the applicant and the Director, NICHD, as a designate of the Secretary of Health and Human Services, will sign a written binding contract stating the terms and conditions for participating in the CIR-LRP. The effective date of the contract will be the date it is signed by the Director, NICHD, or the date employment/training begins at an NICHD-funded Specialized Contraception or Infertility Research Center, whichever is later.

**Deadlines:**

Sep 01, 2012 to Nov 15, 2012: Application deadlines are given at <http://www.lrp.nih.gov/index.aspx>. Applications can be received at the deadlines established and announced each year at <http://www.lrp.nih.gov/>.

**Range of Approval/Disapproval Time:**

Approximately 270 Days. The selection process takes approximately 9 months following the application deadline.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. A CIR-LRP participant completing the initial 2-year period of obligated service conducting research with respect to contraception and/or infertility has an option to extend the obligatory period of service on an annual basis.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The CIR-LRP will pay equal quarterly payments to the lenders. Each payment will be made shortly after the end of each full quarter of satisfactory service. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

75-0844-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$1,404,810; FY 12 est \$1,285,912; and FY 13 est \$1,345,405

**Range and Average of Financial Assistance:**

In fiscal year 2011 the range of financial assistance was between \$2,726 and \$97,300. The average contract cost was \$45,316.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, the actual funding level for the Contraception and Infertility Research LRP was \$1,404,810 with a total of 31 contracts. Fiscal Year 2012: In fiscal year 2012, the projected funding level for the Contraception and Infertility Research LRP is \$1,285,912 with a projected total of 29 contracts. Fiscal Year 2013: In fiscal year 2013, the projected funding level for the Contraception and Infertility Research LRP is \$1,345,405 with a projected total of 30 contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Proposed Rulemaking was approved by NIH on September 19,

2001, and by the Department of Health and Human Services on December 31, 2001.

**Regional or Local Office:**

None.

**Headquarters Office:**

Eugene G. Hayunga 6100 Executive Blvd., Room 2C01, Bethesda, Maryland 20892-7510 Email: ehayunga@mail.nih.gov Phone: (301) 496-6856.

**Website Address:**

<http://nichd.nih.gov/> .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers; 93.285 National Institutes of Health Pediatric Research Loan Repayment Program; 93.307 Minority Health and Health Disparities Research ; 93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP); 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Review criteria for new CIR-LRP applications consist of:

Review criteria for CIR-LRP renewal applications include the above criteria as well as (1) Assessment of the renewal applicants research accomplishments during the previous LRP award period and (2) Assessment of the renewal applicants development as an independent investigator.

**93.210 TRIBAL SELF-GOVERNANCE PROGRAM: IHS COMPACTS/FUNDING AGREEMENTS**

(OTSG Compacts )

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act (ISDEAA), Title V, Public Law 93-638; Tribal Self-Governance Amendments of 2000, Public Law 106-260, 25 U.S.C 458aaa.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes to enable them to assume programs, functions, services, and activities (PFSA) (or portion thereof) with respect to which Indian tribes or Indians are primary or significant beneficiaries, administered by the Department of Health and Human Services (DHHS) through the Indian Health Service. Such assumptions will be by compact, Funding Agreement or construction project agreement entered into under Title V of the ISDEAA.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds are to be spent in accordance with Pub. L. 93-638, as amended, applicable regulations and negotiated compact, funding agreement, or construction project agreement under Title V terms. Per 42 C.F.R. 137.167 and 137.168, a Self-Governance Tribe must apply the cost principles of the applicable OMB Circular, except as modified by: (a) section 106(k) of the Act (25 U.S.C. 450j-1), (b) other provisions of law, or (c) any exemptions to applicable OMB circulars subsequently granted by the OMB. No other audit or accounting standards shall be required by the Secretary. Per 42 C.F.R. 137.100, pursuant to section 508(h) of the Act 25 U.S.C. 458aaa7(h), a Self-Governance Tribe may retain and spend interest earned on any funds paid under a compact or funding agreement. Per 42 C.F.R. 137.101, a Self Governance Tribe is under a duty to invest and manage the funds as a prudent investor would, in light of the purpose, terms, distribution requirements, and provisions in the compact or Funding Agreement and Title V. This duty requires the exercise of reasonable

care, skill, and caution, and is to be applied to investments not in isolation, but in the context of the investment portfolio and as a part of an overall investment strategy that should incorporate risk and return objectives reasonably suitable to the Self-Governance Tribe. In making and implementing investment decisions, the Self-Governance Tribe has a duty to diversify the investments, unless, under the circumstances, it is prudent not to do so. In addition, the Self-Governance Tribe must: (a) Conform to fundamental fiduciary duties of loyalty and impartiality; (b) Act with prudence in deciding whether and how to delegate authority and in the selection and supervision of agents; and (c) Incur only costs that are reasonable in amount and appropriate to the investment responsibilities of the Self-Governance Tribe.

**Applicant Eligibility:**

Per 42 C.F.R. 137.18, to be eligible to participate in self-governance, any Federally-Recognized Indian tribe must have: (a) successfully completed the planning phase described in 42 C.F.R. 137.20; (b) requested participation in self-governance by resolution or other official action by the governing body of each Indian tribe to be served; and (c) demonstrated, for three fiscal years, financial stability and financial management capability. Per 42 C.F.R. 137.21, the Indian tribe provides evidence that, for the three years prior to participation in self-governance, the Indian tribe has had no uncorrected significant and material audit exceptions in the required annual audit of the Indian tribe's self-determination contracts or self-governance Funding Agreements with any Federal agency. Per 42 C.F.R. 137.26, an Indian tribe does not need to receive a planning or negotiation cooperative agreement to be eligible to participate in self-governance. An Indian tribe may use other resources to meet the planning requirement and to negotiate. For each fiscal year, an additional 50 Indian tribes that meet the eligibility criteria shall be entitled to participate in self-governance.

**Beneficiary Eligibility:**

Federally-recognized Indian tribes and tribal organizations (as defined in 25 U.S.C. 450b(l)) may benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Per 42 C.F.R. 137.18, to be eligible to participate in self-governance, any Federally-Recognized Indian tribe must have: (a) successfully completed the planning phase described in 42 C.F.R. 137.20; (b) requested participation in self-governance by resolution or other official action by the governing body of each Indian tribe to be served; and (c) demonstrated, for three fiscal years, financial stability and financial management capability. Per 42 C.F.R. 137.21, the Indian tribe provides evidence that, for the three years prior to participation in self-governance, the Indian tribe has had no uncorrected significant and material audit exceptions in the required annual audit of the Indian tribe's self-determination contracts or self-governance funding agreements with any Federal agency. Per 42 C.F.R. 137.26, an Indian tribe does not need to receive a planning or negotiation cooperative agreement to be eligible to participate in self-governance. An Indian tribe may use other resources to meet the planning requirement and to negotiate. For each fiscal year, an additional 50 Indian tribes that meet the eligibility criteria shall be entitled to participate in self-governance.

**Award Procedure:**

Funds are transferred to Indian tribes who have successfully negotiated a compact, Funding Agreement, or construction project agreement entered into under Title V.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Management.

**Appeals:**

See 42 C.F.R. 137.410-445, for regulations governing compacts, Funding Agreements, and construction project agreements entered into under Title V.

**Renewals:**

Per 42 C.F.R. 137.35, upon approval and execution of a self governance compact, the compact remains in effect for so long as permitted by Federal law or until terminated by mutual written agreement or retrocession or reassumption of all PSFA. Per 42 C.F.R. 137.55, a Funding Agreement shall have the term mutually agreed to by the parties. Absent notification from an Indian tribe that it is withdrawing or retroceding the operation of one or more PSFA identified in the Funding Agreement, the Funding Agreement shall remain in full force and effect until a subsequent Funding Agreement is executed.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: lump sum.

**Reports:**

See 42 C.F.R. 137.200-207 for reporting requirements for Self-Governance Tribes under Title V. Per 42 C.F.R. 137.200, compacts or Funding Agreements negotiated between the Secretary and a Self-Governance Tribe must include a provision that requires the Self-Governance Tribe to report on health status and services delivery. These reports may only impose minimal burdens on the Self-Governance Tribes. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Per 42 C.F.R. 137.165, under the provisions of section 506(c) of the Act 25 U.S.C. 458aaa5(c), Self-Governance Tribes must undertake annual audits pursuant to the Single Audit Act, 31 U.S.C. 7501 et seq. Per 42 C.F.R. 137.166, exceptions are described in 31 U.S.C. 7502 of the Single Audit Act.

**Records:**

In accordance with 42 CFR - 137.175, Tribes are required to maintain records and provide Federal agency access to those records as provided in 137.177 - 137.176, except to the extent that a Self-Governance Tribe specifies otherwise in its compact or funding agreement, the records of the Self-Governance Tribe shall not be considered Federal records for purposes of chapter 5 of title 5, U.S.C. - 137.177, after 30 days advance written notice from the Secretary, the Self-Governance Tribe must provide the Secretary with reasonable access to such records to enable the Department to meet its minimum legal recordkeeping system requirements under sections 3101 through 3106 of title 44 U.S.C. - 137.178, at the option of a Self-Governance Tribe, patient records may be stored at Federal Records Centers to the same extent and in the same manner as other Department patient records in accordance with section 105(o) of the Act 25 U.S.C. 450j(o). - 137.179, a Self-Governance Tribe may make agreements with the Federal Records Centers regarding disclosure and release of the patient records stored pursuant to 137.178. - 137.180, a Tribe must consider the potential application of Tribal, Federal and state law and regulations that may apply to requests for access to Tribal patient records, such as the provisions 42 CFR 2.1.2.67 pertaining to records regarding drug and/or alcohol treatment.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$1,430,200,000; FY 12 est \$1,440,000,000; and FY 13 est \$1,440,000,000

**Range and Average of Financial Assistance:**

Range \$71,000 to \$137,295,000; Average \$14,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Self-Determination and Education Assistance Act, Tribal Self-Governance Title V, Pub. L. 93-638, as amended. Pub. L. 106-620, 25 U.S.C. 458aaa (2000) and regulations codified at 42 C.F.R. Part 137. According to Section 517 (e) of the Act, 25 U.S.C. 458aaa-16(e), unless expressly agreed to by the participating Indian tribe in the compact or funding agreement, the participating Indian tribe shall not be subject to any agency circular, policy, manual, guidance, or rule adopted by the Indian Health Service, except for the eligibility provisions of section 105(g) and regulations promulgated under section 517.

**Regional or Local Office:**

None. Program Contact: Mr. Benjamin P. Smith, Deputy Director, Office of Tribal Self-Governance, Indian Health Service, 801 Thompson Avenue, Suite 240, Rockville, MD 20852. Phone: (301) 443-7821 Fax: (301) 443-1050.

For Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service; 801 Thompson Avenue, TMP, Suite 360; Rockville, Maryland 20852; Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.211 TELEHEALTH PROGRAMS**

There are three separate telehealth programs as follows:

Telehealth Network Grant Program (TNGP)

Telehealth Resource Center Grant Program (TRCGP)

Licensure Portability Grant Program (LPGP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

The Telehealth Network Grant Program (TNGP) Sec. 330I(d)(1) of Public Health Service Act (42 U.S.C. 254c-14(d)(1), as amended. ; The Telehealth Resource Center Grant Program (TRCGP) is authorized by:

Sec. 330I(d)(2) of Public Health Service Act (42 U.S.C. 254c-14(d)(2), as amended by the Health Care Safety Net Amendments of 2002 (P.L. 107-251); The Licensure Portability Grant Program (LPGP) is authorized by Section 330L of Public Health Service Act as amended, (42 USC 254c-18).

**OBJECTIVES:**

The Telehealth Network Grant Program (TNGP) has two provisions: Telehealth Networks (TNGP-TH) grants demonstrate how telehealth networks improve healthcare services in rural communities. Telehomecare Networks (TNGP-THC) grants fund demonstration or pilot projects for telehomecare, services that may include, but are not limited to, case management by physicians, hospitals, medical clinics, home health agencies, or other health care providers who supervise the care of patients in their homes.

The Telehealth Resource Center Grant Program (TRCGP) is designed to expand the availability of technical assistance in the development of telehealth services, leveraging the experience of mature programs with expertise in

providing and implementing telehealth services.

The Licensure Portability Grant Program (LPGP) supports State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Telehealth Network Grant Program (TNGP) - Funds support the use of telehealth (electronic information and telecommunications technologies to support and promote long-distance health care and ancillary services) in two ways:

- 1) Telehealth Networks, for improving access to health care services; provide a baseline of information for a systematic evaluation of telehealth systems; purchase or lease and install equipment; and to operate and evaluate the telehealth system.
- 2) Telehomecare Networks, for improving access to health services for patients in their homes and for evaluating the cost and effectiveness through provision of clinical care and remote monitoring of patients in their own homes using telehealth technologies. Primary expenses for telehomecare shall be for personnel costs for provision of services and for evaluation. Overall, not more than 40 percent of grant funds may be expended for equipment. Not more than 15 percent of grant funds may be expended for indirect costs. Grant funds may not be used for purchasing and installing telecommunications transmission equipment (e.g., microwave towers, satellite dishes, amplifiers, digital switching equipment or laying cable or telephone lines) or to acquire real property. Construction costs are allowable only for minor renovations related to the installation of equipment.

Important: For both Telehealth and Telehomecare Networks, the Telehealth Network Grant Program (TNGP) seeks to fund non-profit or public organizations with a network of partners in place and committed to the project as of the date of application. Projects with prospective network partners not committed to the project will not be competitive. Applicants failing to submit verifiable information with respect to the commitment of network partners will not be funded. Projects selected for funding must provide clinical services for which performance measures can be developed. In addition, an applicant must provide evidence to show that it will be ready to begin to implement the project upon grant award.

Applicants must provide an evaluation design to measure quantitative outcomes, which should be measured in the following areas: impact on quality of care; appropriateness of use of the technology; whether access was improved; whether clinical outcomes were improved; and, how the cost of service delivery was affected in terms of efficiency and effectiveness of care. Of particular interest will be programs that can clearly measure the costs of their telehealth services and measure the impact of the telehealth program on:

- 1) improving access to health care services for residents of communities that did not have such services locally before the program;
- 2) hospitalization rates and emergency room visit rates per year for patients receiving disease management services for diabetes, congestive heart failure, stroke and other chronic diseases, as well as for patients receiving home care/home monitoring services;
- 3) controlling blood glucose levels in diabetic patients;
- 4) improving the efficiency of health care;
- 5) reducing medical errors; and,
- 6) other clear outcome measures.

Note: For FY 2012, the Agency is conducting a competition for the 4-year project period commencing September 1, 2012 and ending August 31, 2016

Telehealth Resource Center Grant Program (TRCGP) - Funds support the establishment and development of Telehealth Resource Centers (TRCs), which serve as a focus for customizing the provision of telehealth technical assistance across the country. Funds support both Regional Telehealth Resource Centers and two national Telehealth Resource Centers. One National TRC will focus on providing specialized technical assistance in telehealth technology. Technical assistance will be provided in the following areas: requirements for specific technologies to be used for specific clinical applications; advances in m-health

including software and hardware; assessing organizations need for telehealth technology including specific cost effective solutions; multiple software systems and their application in EHRs (not specific product lines); provider and patient medical information and education; direct patient care and remote patient monitoring; and current data delivery mechanisms. The other National TRC will focus on policy issues such as physician and nurse licensure, credentialing and privileging, state and national policies and initiatives regarding Electronic Health Records (EHRs); legal and regulatory issues regarding e-Prescribing; National telecommunications implications for telehealth and the policies of the Federal Communication Commissions (FCC) National Broadband Plan; Medicare and Medicaid reimbursement, and private insurance payment policies. Grant funds are used for salaries, equipment, operating, travel expenses, or other costs for: providing technical assistance, training and support; disseminating information and research findings related to telehealth services; promoting effective collaboration among telehealth resource centers and HRSA; conducting evaluations to determine the best utilization of telehealth technologies to meet health care needs; promoting the integration of the technologies used in clinical information systems with other telehealth technologies; fostering the use of telehealth technologies to effectively provide healthcare information and education for health care providers and consumers; and, implementing special projects that involve collaboration among TRCs to advance the field of telehealth. Grant funds are not used for: acquiring real property; equipment costs of more than 40 percent of total grant funds; for equipment or transmission costs not directly related to the grant purposes; to purchase or install general purpose voice telephone systems; construction costs; and indirect costs exceeding 15 percent of total grant funds.

Per Section 330I(g)(5) of the Public Health Service Act (42 USC 254c-14), applicants must provide information on the source and amount of non-Federal funds that the entity will provide for the project.

Important for both Regional and National TRCs:

The grantee and their partners must have experience in providing technical assistance related to the provision of telehealth services. The grantee must establish a baseline level of activity and then measure performance. Specific areas to measure/address are: Satisfaction, Efficiency, Effectiveness and Sustainability. In addition consortiums must be established and able to demonstrate a history of working together. A signed consortium agreement that outlines tasks must be provided.

The Licensure Portability Grant Program (LPGP) - Grant funds are used for salaries, equipment, software development, operating, or other costs associated with developing legislative, administrative, and technical projects to address licensure barriers that hinder the practice of telemedicine across state lines. Grant funds may also be used for activities involving significant expansion of existing state agreements for cross-state recognition of professional licenses to other states.

**Applicant Eligibility:**

Telehealth Network Grant Program (TNGP) - A grantee must be a nonprofit or public entity that will provide services through a Telehealth Network (TNGP-TH) to rural communities or through a Telehomecare Network (TNGP-THC) to patients in their homes located in either urban underserved or rural communities. Telehomecare Network (TNGP-THC) grantees should have demonstrated experience in providing telehomecare services. For both Telehealth Networks (TNGP-TH) and Telehomecare Network (TNGP-THC) networks, proof of non-profit status is required. Each entity participating in the network may be a nonprofit or for-profit entity. Faith-based and community based organizations are eligible under the Telehealth Network Grant Program (TNGP).

Telehealth Resource Center Grant Program (TRCGP) - A grantee must be a public or private nonprofit organization. Faith-based, tribal and community based organizations are eligible to apply. Services may be provided to rural or urban communities.

Licensure Portability Grant Program (LPGP) - A grantee must be a State professional licensing board, or a national organization of professional licensing boards that provides services to state licensing boards. Note: American Indian



and/or Alaska Native Tribal Organizations are eligible provided those organizations meet the eligibility requirements above.

**Beneficiary Eligibility:**

Telehealth Network Grant Program (TNGP) - Health care providers in rural areas, in medically underserved areas, in frontier communities, and for medically underserved populations. TNGP-TH grantees include in the network at least two (2) of the following entities (at least one (1) of which shall be a community-based health care provider: (a) community or migrant health centers or other federally qualified health centers; (b) health care providers, including pharmacists, in private practice; (c) entities operating clinics, including rural health clinics; (d) local health departments; (e) nonprofit hospitals, including community (critical) access hospitals; (f) other publicly funded health or social service agencies; (g) long-term care providers; (h) providers of health care services in the home; (i) providers of outpatient mental health services and entities operating outpatient mental health facilities; (j) local or regional emergency health care providers; (k) institutions of higher education; or (l) entities operating dental clinics. TNGP-THC grantees are experienced in providing telehealth services, have a substantial caseload, are targeted to patients with chronic illnesses and senior citizens, have a history of doing evaluations and monitoring telehomecare network performance in terms of quality, cost, and effectiveness or services.

Telehealth Resource Center Grant Program (TRCGP) - Health care providers in rural areas, in medically underserved areas, in frontier communities, and medically underserved populations. The regional telehealth resource centers must support the activities of existing or developing telehealth networks in their regions to meet the health care needs of rural or other populations to be served, including the improvement of access to services and the quality of the services received by those populations. Regional TRCs should have expertise in at least seven (7) of the following areas: A wide Range of Clinical Telemedicine Services; Telecommunications Technologies; Critical or Emergency Care; Residential telehealth (home care)/chronic disease management; Nursing Home/Inpatient Care; Distance Education and Training; Telehealth Technologies both Interactive and Store-and-Forward. A Regional TRC collaborates with other TRCs or organizations to address any of the seven areas where the TRC may not be expert. The National Policy TRC exhibits expertise in the following areas: Reimbursement (Medicare, Medicaid, private insurance); Licensure (legislative and regulatory issues); Privacy, security, and confidentiality legislation at federal and state levels; Food and Drug Administration regulation; Telecommunications legal and regulatory issues; and, Private credentialing and accreditation organizations and issues (e.g., Joint Commission on Accreditation of Health Care Organizations). The National Technology TRC exhibits expertise in the following areas: software/hardware for clinical applications; evaluating national technology innovations, multiple software systems and their applications in EHRs (not specific product lines); requirements for specific technologies to be used for specific clinical applications; advances in m-health including software and hardware; assessing organizations need for telehealth technology including specific cost effective solutions; provider and patient medical information and education; direct patient care and remote patient monitoring; and current data delivery mechanisms. Note: American Indian and/or Alaska Native Tribal Organizations are eligible beneficiaries provided those organizations meet the beneficiary requirements above.

Licensure Portability Grant Program (LPGP) - State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine. Non Competing Continuation grants will continue to focus on licensure issues for physicians and nurses. The funded projects are to build on the first year of efforts to develop national models for implementing model agreements to expedite the licensure process and eliminate redundancies associated with applying for physician licenses in multiple jurisdictions.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are generally solicited by a program announcement in the HRSA Preview.

HRSA requires applicants (for new competitions) or grantees/awardees (for continuation applications) to submit applications electronically through Grants.gov.

The program guidance contains detailed application and submission instructions, including information on the non-competitive continuation application and submission process. Grantees/awardees must submit proposals according to the program guidance which specifies required forms, and contains additional general information and instructions for grant applications, including proposal narratives, and budgets. The program guidance, when available, may be obtained by: Downloading from <http://www.grants.gov>; or, Contacting the HRSA Grants Application Center: The Legin Group, Inc., 910 Clopper Road, Suite 155 South Gaithersburg, MD 20878, Telephone: 877-477-2123, [HRSA@hrsa.gov](mailto:HRSA@hrsa.gov). Application information may also be found by visiting <http://www.hrsa.gov/grants/default.htm>.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

For FY 2012, new competitions for the TNGP,TRCGP and LPGP will be conducted. All final funding decisions are made by the Associate Administrator, Office of Rural Health Policy, Health Resources and Services Administration, based on recommendations made by the Director, Office for the Advancement of Telehealth.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

2 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals have not been determined.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Competitions are conducted every four years, with up to a 4-year project period. For projects awarded under a competition, grants are made annually each year for up to 4 years. For example, projects awarded in FY 2012 have a 4-year project period commencing September 1, 2012 and ending August 31, 2016. However, a new competition is being conducted in FY 2012 for a 4-year project period, commencing September 1, 2012 and ending August 31, 2016. The Licensure Portability Grant Programs project period began on July 1, 2012 and ends June 30, 2015. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment

system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Six-month Progress Reports are required. An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. Annual progress and reports are required 90 days from the end of the budget period and the final performance report is due 90 days from the end of the project period.

As required by the Government Performance and Review Act (1993), all federal agencies must develop strategic plans, describing their overall goals and objectives. These "GPRA Plans" must provide annual performance reports containing quantifiable measures of each program's progress in meeting the stated goals and objectives. The performance assessment instruments developed by the Office for the Advancement of Telehealth (OAT) with its grantees fulfill GPRA requirements to report to Congress on the impact of OAT's telehealth network grants and telehealth resource center grant programs. Moreover, OAT hopes to use the information derived from these instruments to demonstrate the "value-added" that telehealth services contribute to improving health care. OAT has incorporated these performance assessment tools into the routine reporting required as part of the "mid-year or mid-cycle" and annual reports required under each grant. Each of the programs will also get reports comparing themselves to the entire set of grantees, on these same measures. There are two data reporting periods each year; during these biannual reporting periods, data is reported for the previous six months of activity. Grantees have approximately six weeks to enter their data during each biannual reporting period. No expenditure reports are required. See above for additional information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$3,678,735; FY 12 est \$4,172,668; and FY 13 est \$1,300,000 - TRCGP program. (Project Grants) FY 11 \$6,063,574; FY 12 est \$5,750,000; and FY 13 est \$5,750,000 - TNGP program. (Project Grants) FY 11 \$350,000; FY 12 est \$350,000; and FY 13 est \$350,000 - LPGP program.

**Range and Average of Financial Assistance:**

TRCGP In FY 10 through FY 12, the financial assistance ranged from approximately \$300,000 to \$325,000. The average award was approximately \$325,000.

TNGP In FY 07 through FY 11, awards each year ranged from approximately \$226,000 to \$270,000, with an average award each year of approximately \$240,000.

LPGP From FY 11 through FY 12 one grantee received \$350,000 a year, each year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Telehealth Resource Center Grant Program has developed a standard set of Performance Measurements to be used across all

TRCs to demonstrate value added in providing services to regions across the nation. Fiscal Year 2012: Data not available. Fiscal Year 2013: Data not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Telehealth programs are subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Carlos Mena, Project Officer (TNGP and LPGP), Telephone: (301) 443-3198; Monica Cowan, Program Coordinator (TRCGP), Telephone: (301) 443-0076; Office for the Advancement of Telehealth, Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-55, Rockville, MD 20857.

**Headquarters Office:**

Carlos Mena, 5600 Fishers Lane, Room 5A-55, Rockville, Maryland 20857 Phone: (301) 443-0076.

**Website Address:**

<http://www.hrsa.gov/ruralhealth/about/telehealth/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For FY 2012, the Agency is conducting competitions for the TNGP and the TRCGP for the project period commencing September 1, 2012 and ending August 31, 2015. For the competing LPGP grant program, the project period will commence on July 1, 2012 and end on June 30, 2015.

**TNGP**

Applications will be funded based on the extent which documentation is provided in the following areas:

Need, the documented need for the project and the likely demand for the proposed services;

Response, the extent to which project objectives, activities and benefits are consistent with the objectives of the grant program and the needs for the project;

Evaluative Measures, the extent to which the project measures success in meeting its goals and objectives;

Impact, the level of local involvement in planning and implementing the project, level of commitment as evidenced by cost participation of applicant, other network members and/or other organizations, and long-term plans for sustainability;

Resources/Capabilities, the ability of network members, including clinicians, to implement the project and the corresponding feasibility of the projects plan of activities;

Support Requested, the reasonableness of the budget to proposed activities and anticipated outcomes/results; and,

Technology/Integrating Administrative and Clinical Systems, the extent to which the applicant proposes to integrate administrative and clinical information systems and effectively deploy technology.

The TNGP will seek to select projects that have demonstrated skill in evaluation. In addition, applicants must evidence a successful track record in providing telehealth services and to demonstrate how the proposed funds will expand services to new communities and/or populations. Applicants must provide an evaluation design to measure process and outcomes. Quantitative outcomes should be measured in the following areas: impact on quality of care; appropriateness of use of the technology; whether access was improved; whether clinical outcomes were improved; and, how the cost of service delivery

was affected in terms of efficiency and effectiveness of care.

Of particular interest will be programs that can clearly measure the costs of their telehealth services and measure the impact of the telehealth program on :  
1) improving access to health care services for residents of communities that did not have such services locally before the program; 2) reducing hospitalization rates and emergency room visit rates per year for patients receiving disease management services for diabetes, congestive heart failure, stroke and other chronic diseases, as well as for patients receiving home care/home monitoring services; 3) controlling blood glucose levels in diabetic patients; 4) improving the efficiency of health care; 5) reducing medical errors; and, 6) other clear outcome measures. Also, of particular interest are networks that include Community Health Centers funded by the Health Resources and Services Administration (HRSA) in the network (i.e.,330 grantees).

#### TRCGP

TRC applicants will be assessed on their current activities and success in addressing the following areas:

- Telecommunications, industry standards, and technology assessment;
- Extensive experience in providing technical assistance at the local, regional, and national levels
- Breadth of clinical services offered by their network and integration of clinical information systems;
- Ability to overcome reimbursement and other policy challenges to achieve sustainability of their networks;
- Comprehensive evaluation strategy (including collecting baseline data) and implementation as evidenced by publications, especially ones that address effectiveness, costs, and productivity;
- Experience in maintaining a strong and efficient operational/management structure; and
- Experience in developing and implementing strategic/business plans.

#### LPGP

The LPGP seeks projects that can clearly serve as national models and have implications for overcoming State statutory and regulatory licensure barriers to cross-state practice of telemedicine for all the health professions, with an emphasis on projects proposed by boards or national organizations of professional licensing that have demonstrated success in pioneering creative programs to address these issues. As a result, grantees must display a clear understanding of the barriers to cross-state practice and a realistic, feasible approach to overcome legislative, regulatory, or administrative barriers to cross-state practice and the clarity of the proposed goals and objectives and their relationship to the identified project.

#### Non-Competing Continuation Funding

For FY 2012 non-competing continuation funding for Telehealth grantees will be based upon an evaluation of each of the grantees first and second years of respective performance, as applicable, the third year program design, and expenditure justifications.

### 93.212 CHIROPRACTIC DEMONSTRATION PROJECT GRANTS

#### CDP

##### FEDERAL AGENCY:

Health Resources and Services Administration, Department of Health and Human Services

##### AUTHORIZATION:

Public Health Service Act, Title VII, Section 755(b)(3), 42 U.S.C. 294e(3)as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392.

##### OBJECTIVES:

The objective of CDP is to carry out demonstration projects in which chiropractors and physicians collaborate to identify and provide effective treatment for spinal and lower back conditions.

##### TYPES OF ASSISTANCE:

PROJECT GRANTS

##### USES AND USE RESTRICTIONS:

Grant funds may be used for personnel, equipment, supplies, domestic travel, consultants and guest lecturers, rental of space, renovations, and other costs directly related to the project as described in the approved application. Program funds may not be used for construction of facilities, acquisition of land, foreign travel, or support of students, including fellowships, stipends, tuition, fees, or travel allowances. Program funds may not be used to support patient care costs.

##### Applicant Eligibility:

To be eligible for a Chiropractic Demonstration Project, the applicant shall be: a health professions school, an academic health center, or a public or private nonprofit accredited school of chiropractic. Applicant organizations must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, the Republic of Palau, the Republic of the Marshall Islands, or the Federated States of Micronesia.

##### Beneficiary Eligibility:

Health professionals will benefit.

##### Credentials/Documentation:

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

##### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

##### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

##### Award Procedure:

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

##### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

##### Range of Approval/Disapproval Time:

From 4 to 6 months from receipt of application.

##### Appeals:

Not Applicable.

##### Renewals:

During the final budget year of the approved project period, competing continuation applications may be submitted.

##### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

##### Length and Time Phasing of Assistance:

Project periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantee draws down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

##### Reports:

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System

within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$1,675,134; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Fiscal Year 2011: \$383,375 to \$534,327. Average Award: \$418,782.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CAPT Young Song, Senior Program Management Officer, Division of Public Health and Interdisciplinary Education, Health Resources and Services Administration, Room 9C-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3353.

**Headquarters Office:**

CAPT Young Song 5600 Fishers Lane, Room 9C-05, Rockville, Maryland 20857 Phone: (301) 443-3353

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact; (5) Resources/Capabilities; and (6) Support Requested.

See most recent funding opportunity announcement at [www.grants.gov](http://www.grants.gov) for detailed selection criteria.

**93.213 RESEARCH AND TRAINING IN COMPLEMENTARY AND ALTERNATIVE MEDICINE**

National Center for Complementary and Alternative Medicine

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 485D, Title VI, Section 601, Public Law 105-277, 112 Stat. 2681-387, 42 U.S.C 281 as amended.

**OBJECTIVES:**

To evaluate complementary medical treatments. The following objectives support this goal: (1) coordinate and facilitate the investigation of complementary medical practices through peer-reviewed grant solicitations; (2) interface with the Center's National Advisory Council; (3) conduct technology assessment conferences for the purpose of establishing areas of Clinical and Pre-clinical research that need to be further developed within complementary medicine; and (4) maintain a comprehensive bibliographic data base in conjunction with the National Library of Medicine.

The National Center for Complementary and Alternative Medicine (NCCAM) regularly examines and redefines its research priorities. In setting research priorities, NCCAM considers its existing research portfolio, its 5-year strategic plan, the recommendations of the National Advisory Council for Complementary and Alternative Medicine, current scientific advances, the plans of other NIH institutes and centers, and input from expert panels and stakeholders. Research constituting a rigorous evidence base for CAM practices will be developed through a range of research strategies including basic and translational research, and clinical investigation.

Current research priorities are shaped by the following considerations regarding Research Approaches, Areas of Special Interest, and Areas of Lower Program Priority.

**Research Approaches**

Basic, translational, efficacy and effectiveness research  
CAM interventions, approaches, and disciplines need to be studied across the continuum of basic, translational, efficacy, and effectiveness research. NCCAM continues to emphasize basic research that defines biological effects and mechanisms of action; clarifies scientific hypotheses; supports development of translational tools to understand biological effects and mechanisms of action. NCCAM also continues to encourage efficacy studies to determine specific clinical effects of CAM interventions under carefully controlled conditions that minimize nonspecific and contextual effects. There is also the need to strengthen translational and preliminary clinical research required to design and implement definitive clinical research and "real world" outcomes and effectiveness research that capitalizes on the reality that many CAM interventions are in widespread public use. NCCAMs support of translational research addresses the need for valid, reliable and relevant research tools, outcome measures, and innovative methodology to enhance the rigor of CAM clinical studies and to ensure that they are maximally informative. NCCAM emphasizes studies that inform the design of future trials such as those that will: develop and validate outcome measures; standardize treatment protocols or algorithms; validate treatment algorithms and/or; develop measures of quality control or treatment fidelity; assess effects of various doses or intervention durations; develop preliminary clinical evidence regarding efficacy and safety to support estimates of sample size; or establish feasibility of interventions or study designs in specific populations for future studies.

NCCAM's clinical research portfolio utilizes clinical trial, case-control, observational, cohort, qualitative, and other experimental methodologies to determine safety and estimate the efficacy of CAM approaches. The clinical research portfolio also includes effectiveness studies of the contribution to improved health and wellness made by CAM interventions as they are practiced in "real-world" settings.

In general phase III clinical trials will be supported under the cooperative agreement mechanism after careful consideration by NCCAM Staff.

Investigators interested in proposing phase III studies are strongly encouraged to contact a relevant NCCAM Program Officer.

#### Areas of Special Interest

Although a wide range of research topics are of interest to NCCAM, studies focusing on CAM interventions used frequently by the American public (including the context(s) in which these interventions are used), and that are amenable to rigorous scientific inquiry are particularly encouraged. These areas include, but are not limited to, investigations of the effects of CAM modalities on chronic pain syndromes and inflammatory processes, and in disease prevention and improving health and wellness. Among all types of studies, attention to a range of endpoints meaningful to improved health, well-being, and quality of life, as well as a biological signature that provides mechanistic information, is strongly encouraged.

In addition to their use to promote health and wellness, CAM approaches are most often used to manage symptoms that may be idiopathic or associated with underlying diseases and conditions, including back pain, neck pain, arthritis, and other musculoskeletal pain. Research to understand more clearly whether and how such interventions add value to existing approaches and to identify the biological and/or behavioral mechanisms by which they exert beneficial effects will advance the science and practice of symptom management.

Newly emerging evidence suggests that CAM use may be associated with greater degrees of positive health behaviors. While causal relationships between CAM use and healthy behavior have not been established, the claims and preliminary data deserve investigation given the formidable public health challenges in motivating behavior change. Research is needed to explore, clarify, and examine the hypothesis that certain CAM approaches or practices can, in fact, be useful in encouraging better self-care, an improved personal sense of well-being, and a greater commitment to a healthy lifestyle.

#### Areas of Scientific Promise

The expanding evidence base includes a large body of intriguing albeit preliminary evidence that points towards specific opportunities to improve health care and health promotion using CAM strategies that have been divided into two groups- mind and body and natural products. Mind and Body interventions, practices and disciplines are based in mental or physical procedures or techniques administered or taught to others by a trained practitioner or teacher. Natural products include a large and diverse group of orally or topically administered substances such as herbal medicines, botanicals, dietary supplements and probiotics.

Examples of important clinical research opportunities and needs in the mind and body portfolio include but are not limited to the development of better, comprehensive strategies for management of chronic back pain and defining the roles of acupuncture, spinal manipulation, and massage in those strategies; exploration of the role of specific promising CAM practices or disciplines (e.g., meditation, yoga, or acupuncture) in developing better strategies for alleviating symptoms (e.g., chronic pain, stress) or in promoting healthier lifestyles; exploration of the association between well-characterized pathways of pain processing and acupuncture analgesia or the placebo response; exploration of the associations of major pathways of cognitive processing and emotional regulation by meditative practices; and studying the influence of the provider-patient/client interaction, context effects, and the placebo response on outcomes of CAM interventions

Examples of important clinical research opportunities and needs in the natural products area include but are not limited to studying the molecular targets and biological effects of potentially beneficial small molecules that are constituents of natural products or diet (e.g., quercetin, curcumin, or other polyphenols and flavonoids); defining the anti-inflammatory actions of omega-3 fatty acids; employing state-of-the-art tools and technologies to study the effects of probiotics on the human microbiome; and developing evidence regarding the safety profile of certain widely used natural products, including interactions with drugs and other herbals or dietary supplements.

Early Stage and New Investigators

NCCAM is strongly committed to assisting new and early stage investigators in establishing a research career. Early stage investigators are those within 10 years of completing their terminal research degree, or their medical residency, or its equivalent. New investigators are those who have yet to compete successfully for a substantial (e.g., R01) NIH research grant. Each Advisory Council round, based on available funds, NCCAM: 1) will consider early stage or new investigator status as one of the criteria for designating grant applications as being of high program priority and 2) may make additional R01 grant awards to new and early stage investigators with percentiles or scores out of payline order..

NCCAM continues to accept applications in areas not listed as a specific priority area via the investigator initiated funding opportunities. All investigators are urged to discuss potential applications with the relevant NCCAM Program Officer.

#### TYPES OF ASSISTANCE:

PROJECT GRANTS; TRAINING

#### USES AND USE RESTRICTIONS:

Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. Individual National Research Service Awards (NRSA) are made to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make NRSA to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research (SBIR) Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. Small Business Technology Transfer (STTR) Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

#### Applicant Eligibility:

Universities, colleges, hospitals, laboratories, and other public or private nonprofit domestic institutions, including State and local units of government, and individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are also eligible, with the exception of NRSA. Individual NRSA awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRSA awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree, and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., ND, DC, D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which researches proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### Beneficiary Eligibility:

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Individual NRSA applications for postdoctoral training must include the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training. Institutional Training grant applications for predoctoral and postdoctoral training must show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. Grant form PHS 398 is used to apply for SBIR and STTR Phase I Phase II and Phase I/Phase II Fast Track. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research grants: Applications must be prepared either electronically through grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (Rev. 06/2009)). Individual funding opportunity announcements will indicate the appropriate application format to be used. A listing of NCCAM and other funding opportunities can be found through the NCCAM web site (<http://www.nccam.nih.gov/grants/funding>), through the Grants.gov web site (<http://www.grants.gov/>), or on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>). For applications that require the PHS 398, the most recent version of the form and instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). For assistance contact GrantsInfo, Telephone: (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). National Research Service Awards: Completed application forms should be submitted to the Office of Research Manpower, Center for Scientific Review, Grants, National Institutes of Health, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Research Funding Opportunities" web page at <http://grants1.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the Grants.gov sites and the NIH Guide to Grants and Contracts (see URLs listed above). All SBIR and STTR applications must be submitted electronically. Electronic applications are submitted through the Grants.gov website. This program is subject to the provisions of 45 CFR Part 92 for State and local

governments, OMB Circular No. A-110 for nonprofit organizations, cost principles of A-21 for educational institutions, and 42 CFR Part 42.

#### **Award Procedure:**

Award Procedure: All accepted applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score ranging from the best (10) to worst (90) compete for available funds based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. . All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Overall from 120 to 300 days. Research Grants and Cooperative Agreements: Approximately 6-10 months; National Service Research Awards: 6-9 months; SBIR/STTR awards 6-7 months.

#### **Appeals:**

A Program Director/Principal Investigator (PD/PI) may question the substantive or procedural aspects of the review of his/her application by submitting an appeal. An appeal is a written communication from a PD/PI and/or applicant institution that meets the following four criteria: 1) is received after issuance of the summary statement and up to 30 calendar days after the second level of peer review, 2) describes a flaw or perceived flaw in the review process for a particular application, 3) is based on one or more of four allowable issues (described below), and 4) displays concurrence from the Authorized Organization Representative (AOR). The four allowable issues are (1) evidence of bias on the part of one or more peer reviewers; (2) conflict of interest, as specified in regulation at 42 CFR 52h.5. Scientific Peer Review of Research Grant Applications and Research and Development Contract Projects, on the part of one or more peer reviewers; (3) lack of appropriate expertise within the SRG; and (4) factual error(s) made by one or more reviewers that could have altered the outcome of review substantially. A description of the NIH Peer Review Policy and Procedures is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

#### **Renewals:**

Research grants: renewals by competitive application and review. Extension by request and administrative action. National Research Service Awards: individual awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project Grants: Awards are usually made for a 12-month period with recommendation of up to 4 years of additional support. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: The Notice of Award (NoA) is the legal document issued to notify the grantee that an award has been made and that funds may be requested from the designated HHS payment system or office. An NoA is issued for the initial budget period. If subsequent budget periods are also approved, the NoA will include a reference to those budgetary commitments. Funding for subsequent budget periods are generally provided in annual increments following the annual assessment of progress. This funding is also contingent on the

availability of funds. The NoA includes all applicable terms of award either by reference or specific statements. It provides contact information for the assigned program officer and grants management specialist. The grantee accepts an NIH award and its associated terms and conditions by drawing or requesting funds from the Payment Management System, or upon the endorsement of a check from the US Treasury for foreign awardees. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Project Grants: Expenditures and other financial records, including documents supporting accounting records and substantive charges to each grant, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. NRSAs: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel and must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions. Expenditure reports on a quarterly basis are sent to the data warehouse. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual financial status reports (FSR) is submitted. For awards under the Streamlined Non-competing Award Process (SNAP) (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General,

the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0896-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$92,687,000; FY 12 est \$93,663,000; and FY 13 est \$92,772,000

**Range and Average of Financial Assistance:**

range from low to high: R21, \$218.4 thousand to P01 \$2.029 million. Average of financial assistance is \$435.0 thousand.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Research Grants: In fiscal year 2011, a total of 278 noncompeting and competing research grants were funded, including 7 SBIR/STTR and 37 NRSA awards. Fiscal Year 2012: Research Grants: In fiscal year 2012 a total of 254 noncompeting and competing research grants are estimated to be funded including 11 SBIR/STTR and 20 NRSA awards. Fiscal Year 2013: Research Grants: In fiscal year 2013 a total of 252 noncompeting and competing research grants are estimated to be funded including 8 SBIR/STTR and 20 NRSA awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Project Grants: Ms Dawn Wayman, MSc; Division of Extramural Research, National Center for Complementary and Alternative Medicine, National Institutes of Health; 6707 Democracy Blvd, Suite 401, Bethesda, MD, 20892-5475; Telephone: (301) 594-9877. Small Business Innovation Research Grants Contact: D. Craig Hopp PhD; Division of Extramural Research, National Center for Complementary and Alternative Medicine, National Institutes of Health; 6707 Democracy Blvd, Suite 401, Bethesda, MD, 20892-5475; Telephone: (301) 496-5825. HIV/AIDS, Training, and Special Populations Portfolios: Alberto L. Rivera-Rentas, Ph.D.; Division of Extramural Research, National Center for Complementary and Alternative Medicine, National Institutes of Health; 6707 Democracy Blvd, Suite 401, Bethesda, MD, 20892-5475; Telephone: (301) 443-8372. Women's Health: D. Lee Alekel, PhD; Division of Extramural Research, National Center for Complementary and Alternative Medicine, National Institutes of Health; 6707 Democracy Blvd, Suite 401, Bethesda, MD, 20892-5475; Telephone: (301) 443-8374.

**Headquarters Office:**

Martin Goldrosen, 6707 Democracy Blvd, Suite 401, Bethesda, Maryland 20817 Email: goldrosen@mail.nih.gov Phone: (301) 594-2014.

**Website Address:**

<http://nccam.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit innovation and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; (6) the relevance and importance to the announced program objectives and when applicable, and (7) the adequacy of assurances detailing the proposed means for safeguarding human or animal

subjects. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.217 FAMILY PLANNING SERVICES**

FP Services

#### **FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

#### **AUTHORIZATION:**

Title X Statute and Regulations: Requirements regarding the provision of family planning services under Title X can be found in the statute (Title X of the Public Health Service Act, 42 U.S.C. 300 et seq.) and in the implementing regulations which govern project grants for family planning services (42 CFR part 59, subpart A.), 42 U.S.C. 300 et seq.

#### **OBJECTIVES:**

To provide educational, counseling, comprehensive medical and social services necessary to enable individuals to freely determine the number and spacing of their children, and by so doing helping to reduce maternal and infant mortality, promote the health of mothers, families and children.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants must be used for family planning services including contraceptive services, infertility services and special services to adolescents. Family planning services include information on all medically approved methods of contraception including natural family planning methods; counseling services, physical examinations including cancer detection and laboratory tests; STD and HIV prevention education, screening and referral; contraceptive supplies, and periodic follow-up examinations. Infertility services include assessment, information, education, and arrangements for referral if necessary. Special services to adolescents include in-depth information, education including abstinence education counseling, and referral to and from other social and medical service agencies, and such ancillary services as are necessary to facilitate clinic attendance for adolescents who need contraceptive services. These family planning services must be available without coercion and with respect for the privacy, dignity, social and religious beliefs of the individuals being served. To the extent possible, entities which receive grants under this subsection shall encourage family participation in projects assisted under this subsection. Funds may not be used in programs where abortion is a method of family planning. Funds may not be used for purchase or construction of buildings; salaries of personnel paid from other Federal grant funds; and certain other miscellaneous items as specified in the regulations. Priority in the provision of services will be given to persons from low-income families. Grants must be used for family planning services including contraceptive services,

infertility services and special services to adolescents. Family planning services include information on all medically approved methods of contraception including natural family planning methods; counseling services, physical examinations including cancer detection and laboratory tests; STD and HIV prevention education, screening and referral; contraceptive supplies, and periodic follow-up examinations. Infertility services include assessment, information, education, and arrangements for referral if necessary. Special services to adolescents include in-depth information, education including abstinence education counseling, and referral to and from other social and medical service agencies, and such ancillary services as are necessary to facilitate clinic attendance for adolescents who need contraceptive services. These family planning services must be available without coercion and with respect for the privacy, dignity, social and religious beliefs of the individuals being served. To the extent possible, entities which receive grants under this subsection shall encourage family participation in projects assisted under this subsection. Funds may not be used in programs where abortion is a method of family planning. Funds may not be used for purchase or construction of buildings; salaries of personnel paid from other Federal grant funds; and certain other miscellaneous items as specified in the regulations. Priority in the provision of services will be given to persons from low-income families.

#### **Applicant Eligibility:**

Any public (including city, county, local, regional, or State government) entity or nonprofit private entity located in a State (including the District of Columbia, Puerto Rico, Guam, the Commonwealth of the Northern Mariana Islands, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of Marshall Islands and the Republic of Palau) is eligible to apply for a grant. Faith based organizations are eligible to apply.

#### **Beneficiary Eligibility:**

Persons who desire family planning services and who would not otherwise have access to them. Priority to be given to persons from low-income families. Individuals from other than low-income families will be charged a fee in accordance with an established fee schedule although inability to pay must not be a deterrent to services.

#### **Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following cost principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular No. A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS and required by 45 CFR 74 (for institutions of higher education, hospitals, and other non-profit organizations), and 45 CFR 92 (for state and local governments) must be used for this program. All other applicants should submit completed Form OPHS-1, (Revised 6/2001), U.S. Department of Health and Human Services Public Health Service Grant Application, documenting the need for the grant and the proposed amount of the grant. The Regional Health Administrator has approval authority for the program. Contact should be made with the appropriate Regional Health Administrator (see name/address in Appendix IV) to obtain the Application Kit. This program is subject to the provisions of 45 CFR 74, 45 CFR 92, as well as OMB Circular No. A-102 (Administrative Guidelines for state and local governments) and OMB Circular No. A-110 (Administrative Guidelines for Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations).

#### **Award Procedure:**

Following approval by the Regional Health Administrator, the Office of Grants Management, OPHS prepares a Notice of Grant Award, secures necessary



clearances and approval signatures, issues the Notice of Grant Award, enters the approved award in the grant payment process, and provides notification of grant approval to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 90 to 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Projects are generally given commitments of funding for 3 to 5 years. Projects must submit a continuation application each non-competitive year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Usually 1 year. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Controller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$276,610,498; FY 12 est \$275,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$1.5 mil to \$3.0 mil.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Grantees have established and operated voluntary projects that provide family planning services to all interested persons, with priority to persons from low-income families. Services include clinical family planning and related preventive health services; information; education; and counseling related to family planning. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy

Statement.

**Regional or Local Office:**

See Regional Agency Offices. Regional Health Administrator, DHHS Regional Offices (See Appendix IV of the Catalog for addresses).

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8449.

**Website Address:**

<http://www.opa.osophs.dhhs.gov>.

**RELATED PROGRAMS:**

93.260 Family Planning Personnel Training; 93.974 Family Planning\_Service Delivery Improvement Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated in terms of which will best promote the purposes of the authorizing legislation, taking into account: (1) the number of patients to be served, especially low-income patients; (2) local need; (3) relative need of the applicant; (4) applicant's ability to make rapid and effective use of Federal assistance; (5) adequacy of the applicant's facilities and staff; (6) availability and commitment of nonfederal resources within the community; and (7) compliance with pertinent regulations and guidelines.

**93.220 CLINICAL RESEARCH LOAN REPAYMENT PROGRAM FOR INDIVIDUALS FROM DISADVANTAGED BACKGROUNDS**

(NIH Clinical Research Loan Repayment Program; CR LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 41631, Public Law 100-43, 288-5 U.S.C.

**OBJECTIVES:**

To recruit and retain health professionals from disadvantaged backgrounds to conduct clinical research at the National Institutes of Health (NIH) by providing for the repayment of educational loans for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in clinical research as employees of the NIH for a minimum two-year period.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged, as employees of the NIH, in clinical research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. One-year continuation contracts are available, dependent upon the level of debt and continued involvement in clinical research. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the Program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree; or hold the position of Physician Assistant; (3) come from a disadvantaged background as determined by the Secretary of Health and Human Services; (4) have qualified educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education, in excess of 20 percent of their annual NIH salary on the program eligibility date; (5) be appointed under any

temporary or permanent employment mechanism in the Intramural Research Program of the NIH, so long as their employment has the potential to last a minimum of 2 years; (6) are not eligible to participate in the CR-LRP if they have an existing service obligation to Federal, State, or other entities, until such obligation is discharged or unless it is deferred during the period of program service; (7) submit an application to participate in the CR-LRP; and (8) sign and submit to the Secretary of Health and Human Services, at the time of agreeing to accept repayment of educational loans, a contract agreeing to engage in clinical research as an employee of the NIH for a minimum of 2 years.

**Beneficiary Eligibility:**

Clinical researchers from disadvantaged backgrounds who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Copies of loan applications and agreements from governmental or commercial educational loans which are being submitted for repayment; (2) copies of the standard student budget from each school attended during period when debt was incurred; (3) copies of recommendations, special skills, certifications, or other copies of loan documentation; (4) certification from the school(s) attended that the applicant qualified for participation in an educational assistance program for individuals from disadvantaged backgrounds which are sponsored by the Secretary of Health and Human Services or self-certification describing circumstances which qualify him/her under the Secretary's definition of an individual from a disadvantaged background; and (5) other documentation as may be required by law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each Institute or Center (IC). Applications approved for program participation by the LRC will be notified by the Program Director. The Secretary, or his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The approximate time for approval/disapproval is 3 months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to employees.

**Renewals:**

From 90 to 120 days. At the conclusion of the initial 2-year contract, participants may apply and be recommended for subsequent 1-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One-year, continuation contracts are available for individuals whose educational debt exceeds the maximum repayable amount for 2 years and whose renewal ranking scores within the funding range. Payments are made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program participants must be certified quarterly as to having satisfactorily performed their research assignments. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$64,252; FY 12 est \$26,389; and FY 13 est \$250,086

**Range and Average of Financial Assistance:**

For initial 2-year contracts, loan repayments range from \$4,000 to \$70,000, Tax reimbursements range from \$1,977 to \$34,598. The average contract cost which includes loan and tax reimbursement is \$68,454.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In 2011, four awards were granted. Fiscal Year 2012: In 2012, two awards were made. Fiscal Year 2013: In 2013, it is projected that 5 awards will be granted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; Section 487E of Public Health Service Act (42 U.S.C. 288-5); Public Law 105-392; Federal Register, Volume 59, No. 201, October 19, 1994; 42 CFR Part 68a

Federal Register, Volume 63, No. 210, October 30, 1998.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD Office of Intramural Training and Education  
National Institutes of Health  
U.S. Department of Health and Human Services  
Building 2, Room 2E18  
2 Center Drive  
, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone:  
3014021283 Fax: 3014802942

**Website Address:**

www.lrp.nih.gov .

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164  
Indian Health Service Educational Loan Repayment; 93.342 Health Professions  
Student Loans, Including Primary Care Loans/Loans for Disadvantaged  
Students; 93.364 Nursing Student Loans; 93.936 National Institutes of Health  
Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current  
Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH Clinical Research Loan  
Repayment Program after the LRC determines that the applicant will conduct  
qualified clinical research and qualifies as being from a disadvantaged  
background. LRC approval, in part, is based upon the scientific merit of the  
research and the credentials of the applicant as they relate to performing  
qualified clinical research.

**93.223 DEVELOPMENT AND COORDINATION OF RURAL HEALTH  
SERVICES**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and  
Human Services

**AUTHORIZATION:**

Social Security Act, Section 711, as amended, (42 U.S.C. 912).

**OBJECTIVES:**

For the development and coordination of rural health services. To (1) advise the  
Secretary on the effects of current policies and proposed statutory, regulatory,  
administrative and budgetary changes in the programs established under Titles  
XVIII and XIX, on the financial viability of small rural hospitals and other  
health care providers, on the ability of rural areas (and rural hospitals in  
particular) to attract and retain physicians, and other health professionals and on  
access to (and the quality of) health care in rural areas; (2) establish and  
maintain an information center for collecting and disseminating information on  
rural health care issues, research findings relating to rural health care and  
innovative approaches to the delivery of health care in rural areas; (3) work  
with States, State hospital associations, private associations, foundations and  
other organizations to find solutions to rural health care delivery problems.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved  
activities in accordance with the intent of the cooperative agreement as  
stipulated in the notice of grant award.

**Applicant Eligibility:**

Public or private entities with a service commitment to and experience with  
rural issues at a national level. Applicant must directly employ a project  
director with a professional record in national rural health and/or social services  
policy issues, and directly employ staff for the Information Center, with  
exceptions only through written agreement with ORHP.

**Beneficiary Eligibility:**

The Rural Assistance Center is a gateway to information on rural health and  
social services for residents in rural areas of the United States and for all others  
interested in these issues.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity  
announcement issued under this CFDA program for any required proof or  
certifications which must be submitted prior to or simultaneous with submission  
of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is  
not required for this program. This program is eligible for coverage under E.O.  
12372, "Intergovernmental Review of Federal Programs." An applicant should  
consult the office or official designated as the single point of contact in his or  
her State for more information on the process the State requires to be followed  
in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. HRSA requires all applicants to apply electronically  
through Grants.gov.

All qualified applications will be forwarded to an objective review committee.  
Based on the advice of the objective review committee, the HRSA program  
official with delegated authority is responsible for final selection and funding  
decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

Up to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually for a project period of up to 5 years. See the  
following for information on how assistance is awarded/released: Grantees  
drawdown funds, as necessary, from the Payment Management System (PMS).  
PMS is the centralized web based payment system for HHS awards.

**Reports:**

An electronic quarterly Federal Financial Report (FFR) is due to the Division of  
Payment Management within 30 days of the end of each quarter. A final FFR  
must be submitted to HRSA via the Electronic HandBooks (EHB) within 90  
days of the end of each budget period. A Final Performance Report is due 90  
days following the end of the project period. No cash reports are required.  
Progress reports are not applicable. No expenditure reports are required. No  
performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June  
27, 2003), "Audits of States, Local Governments, and Non-Profit  
Organizations," nonfederal entities that expend financial assistance of \$500,000  
or more in Federal awards will have a single or a program-specific audit  
conducted for that year. Nonfederal entities that expend less than \$500,000 a  
year in Federal awards are exempt from Federal audit requirements for that  
year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$1,405,378; FY 12 est \$1,508,455; and FY 13 est \$1,500,441

**Range and Average of Financial Assistance:**

Average award is \$1,508,455.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Jennifer Chang, Office of Rural Health Policy, Health Resources and Services Administration, Parklawn Building, Room 5A-29, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

The Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.913 Grants to States for Operation of Offices of Rural Health

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and rated on the applicant's ability to address the following areas: To (1) develop and maintain a rural health and social services information clearinghouse health care; (2) track emerging and ongoing rural health issues and identify ways to solicit and distribute information for key stakeholders concerned about rural health care; (3) work collaboratively with ORHP to prioritize key issues and develop information resources to share with callers and web users; (4) gather, organize, and index information from a wide range of sources that deal with aspects of rural health care and human services; (5) make referrals, avoid duplication of services, and ensure that rural residents are directed to appropriate resources for their information needs; (6) provide support to the Improve Rural Health Care Initiative and play a key role in broadly disseminating promising practices from rural communities; and (7) experience in working with the full range of key rural interest groups, along with knowledge of rural health and social service issues and of the key individuals and organizations involved in ensuring availability of health and social services in rural areas.

**93.224 CONSOLIDATED HEALTH CENTERS (COMMUNITY HEALTH CENTERS, MIGRANT HEALTH CENTERS, HEALTH CARE FOR THE HOMELESS, PUBLIC HOUSING PRIMARY CARE, AND SCHOOL BASED HEALTH CENTERS)**

Health Center Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

Human Services

**AUTHORIZATION:**

Public Health Service Act, (42 U.S.C. 254b), Section 330(e), (g), (h), and (i), as amended by sec. 5601 of P.L. 111-148.

**OBJECTIVES:**

To improve the health of the Nation's underserved communities and vulnerable populations by assuring access to comprehensive, culturally competent, quality primary health care services. Individual health center grant mechanisms include: (1) Community Health Centers; (2) Migrant Health Centers; (3) Health Care for the Homeless; and (4) Public Housing Primary Care Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility, and provision of primary health care services. Funds may not be used for inpatient services, or to make cash payments to intended recipients of services.

**Applicant Eligibility:**

Eligible applicants are public and non-profit private entities, including tribal, faith-based, and community-based organizations that have the capacity to effectively administer the grant.

**Beneficiary Eligibility:**

Population groups in medically underserved areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

Eligible applications submitted as potential new starts, plus applications competing for the same service area, will be forwarded to an objective review committee. In addition, each application is reviewed by HRSA staff. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award (NoA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Or refer to the applicable Funding Opportunity Announcement available through Grants.gov.

**Appeals:**

Not Applicable.

**Renewals:**

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the project's goals, and a determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually. After Notices of Award are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Uniform Data Reporting Annual reports. No cash reports are required. See applicable funding opportunity announcement. No expenditure reports are required. Performance Monitoring Reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$2,190,050,793; FY 12 est \$2,256,000,000; and FY 13 est \$2,412,000,000

**Range and Average of Financial Assistance:**

\$200,000 to \$11,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Northeast Division: (301) 594-4488; Central Southeast Division: (301) 594-4420; Southwest Division: (301) 480-1130; North Central Division: (301) 443-0111.

**Headquarters Office:**

Bureau of Primary Health Care, 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: (301) 594-4110.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.129 Technical and Non-Financial Assistance to Health Centers; 93.526 Affordable Care Act (ACA) Grants for Capital Development in Health Centers; 93.527 Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are available in the funding opportunity guidance document. In addition, all applicants are expected to demonstrate compliance with applicable requirements including the Health Center Program Expectations. In addition to these general requirements, there are specific requirements and expectations for applicants requesting funding under each of the section 330 programs. Applicants are strongly encouraged to demonstrate compliance with these requirements and expectations in the application. Applicants requesting funding under multiple programs are expected to demonstrate compliance with the expectations and requirements of all of those programs.

**93.225 NATIONAL RESEARCH SERVICE AWARDS\_HEALTH SERVICES RESEARCH TRAINING**

**FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, 42 U.S.C 487.

**OBJECTIVES:**

To provide predoctoral and postdoctoral training opportunities in health services research. Individual fellowships will be awarded directly to applicants for postdoctoral research training. Domestic institutions will also be awarded grants to enhance predoctoral and postdoctoral training programs and provide support to trainees selected by them. The purpose of these awards is to provide fellows and trainees with both academic training and actual experience in the application of research methods to the systematic analysis and evaluation of the organization, financing, utilization, and delivery of health care services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Fellowship support is available for full-time health services research training. An institutional allowance is provided to the sponsoring institution for each fellow. Also, research training grants are awarded to institutions to provide support to trainees selected by the training program director at the grantee institution. This support is available for predoctoral and postdoctoral trainees. Offsets for tuition and fees are allowable for trainees, and an amount for training related expenses will be provided. Facilities and administrative costs may be requested at 8 percent of allowable direct costs (less tuition and fees), or the negotiated facilities and administrative cost rate, whichever is less. Postdoctoral fellows and trainees in the first 12 months of postdoctoral NRSA support incur one month of payback obligation for each month of support. The thirteenth and subsequent months of postdoctoral NRSA support are considered payback service for prior postdoctoral support. Predoctoral fellows and trainees do not incur a service payback obligation.

**Applicant Eligibility:**

Domestic public or private nonprofit organizations or institutions may apply for training grants. The applicant institutions must have or expand training programs designed to develop competent investigators in the methods and techniques of conducting health services research. State or local governments and U.S. Territories are eligible. Profit-making organizations are not eligible. Individual applicants for postdoctoral fellowships must have received a clinical or research doctoral degree. All persons supported as fellows or trainees must be citizens or noncitizen nationals of the United States, or have been lawfully admitted for permanent residence.

**Beneficiary Eligibility:**

Individuals and public or private nonprofit organizations or institutions, including State or local governments and U.S. Territories, are the beneficiaries of this program.

**Credentials/Documentation:**

An individual applicant for a postdoctoral fellowship must document receipt of a doctoral degree and acceptance by an appropriate institutional sponsor. Institutional applicants for training grants must document their research and

training experiences, staff, curriculum, facilities, and other resources available. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Information about health services research areas being supported is available from AHRQ. Individual fellowship applicants and institutions should submit Form SF 424 R&R. For State agencies, no State Plan is required. For State and local governments, the standard forms, as furnished by PHS and required by 45 CFR, Part 92, may be used. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments.

**Award Procedure:**

Applications are reviewed for scientific merit by a committee including nonfederal consultants who are selected from appropriate scientific fields. AHRQ considers the recommendations of the review committee, program interest, and the availability of funds in the final selection of grantees. When such decisions are made, applicants are notified and a Notice of Award is issued. Before receiving support, all individual fellows and institutional postdoctoral trainees must submit required forms, including a payback agreement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Contact Headquarters Office for deadline dates for Institutional Training Grants. Individual applications for postdoctoral fellowships are due: April 8, August 8, and December 8.

**Appeals:**

Not Applicable.

**Renewals:**

If additional support is desired to continue a grant beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Generally, no individual may receive more than 3 years of aggregate National Research Service Award support at the postdoctoral level, or 5 years at the predoctoral level, including any combination of support from institutional and individual awards.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Fellowship support at the postdoctoral level is generally limited to 3 years and at the predoctoral level to 5 years. Institutional training grants may be awarded for project periods up to 5 years. Awards are made on an annual basis and it is expected that obligations will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request system. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Grantees must submit quarterly SF425 reports to PSC. Annual and final progress reports are required. For Institutional Training Grants, a final progress report is due at the close of the project period. Annual reports of activities for tracking payback provisions are required of all fellows and trainees upon termination of support. Annual and final Federal Financial Reports (FFR; SF425) are required for Institutional National Research Service Awards. Annual Federal Financial Reports must be submitted within 90 days after the end of the calendar quarter in which the budget period ends. A final FFR must be submitted within 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants records are subject to audit and inspection by Federal auditors.

**Records:**

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved. Records relating to individual payback obligations are retained for one year after the individual has fulfilled or has been excused from fulfilling the payback obligation.

**Account Identification:**

75-1700-0-1-552.

**Obligations:**

(Training) FY 11 \$7,810,000; FY 12 est \$7,810,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

(Individual Fellowships) \$50,000 to \$75,000; \$65,000 average. (Institutions) \$250,000 to \$500,000; \$350,000 average. These figures are total costs.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Eight individual fellowships and 28 institutional training grants were awarded. Fiscal Year 2012: It is estimated that 2-4 individual fellowships and 28 institutional training grants will be awarded. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 42 CFR Part 66; HHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shelley Benjamin 540 Gaither Road, Rockville, Maryland 20850 Phone: 301-427-1528

**Website Address:**

<http://www.ahrq.gov>.

**RELATED PROGRAMS:**

93.226 Research on Healthcare Costs, Quality and Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: see: <http://www.ahrq.gov/fund/training/t32.htm>. Fiscal Year 2012: see: <http://www.ahrq.gov/fund/training/t32.htm>. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

For Individual fellowship applications, the following review criteria will be used: (1) The applicant's past academic and research accomplishments; (2) research goals; (3) research training proposed; (4) qualifications of the sponsor; (5) appropriateness of training environment; and (6) reference reports. For Institutional training grant applications, the following review criteria will be used: (1) goals of the proposed training and probability of achievement; (2) substantive content, including courses offered; (3) qualifications and responsibilities of program director and faculty; (4) ability to recruit trainees; (5) extent of institutional participation through provision of necessary space, curriculum time, financial support, and appropriate facilities; (6) documented cooperation of related agencies in providing research experience; (7) proposed number of students; (8) methods for monitoring and evaluating trainees; and (9) reasonableness of budget. In all cases, AHRQ will consider the recommendations of the review committee, the Council program interests, and availability of funds in making the final selection of grantees.

**93.226 RESEARCH ON HEALTHCARE COSTS, QUALITY AND**

## **OUTCOMES**

### **FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

### **AUTHORIZATION:**

Public Health Service Act, Title IX, 42 U.S.C 299 ff; Affordable Care Act, Public Law 111-148.

### **OBJECTIVES:**

To support research and evaluations, demonstration projects, research networks, and multidisciplinary centers and to disseminate information on health care and on systems for the delivery of such care involving: (1) The quality, effectiveness, efficiency, appropriateness and value of health care services; (2) quality measurement and improvement; (3) the outcomes, cost, cost-effectiveness, and use of health care services and access to such services; (4) clinical practice, including primary care and practice-oriented research; (5) health care technologies, facilities and equipment; (6) health care costs, productivity, organization, and market forces; (7) health promotion and disease prevention, including clinical preventive services; (8) health statistics, surveys, database development, and epidemiology; and (9) medical liability. In support of this research, the Agency has a special interest in health care and its delivery in the inner city, in rural areas, and for priority populations (low-income groups, minority groups, women, children, the elderly, and individuals with special health care needs).

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

The research should contribute to the health services knowledge base from which empirically based information can be derived by policymakers, both immediately and over the coming decades. Grants include funds for direct costs (such as personnel, travel, equipment, or supplies) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs (also referred to as facilities and administrative costs). Unallowable costs are indicated in the HHS Grants Policy Statement.

### **Applicant Eligibility:**

Federal, State or local government agencies, federally-recognized Indian Tribal Governments, U.S. Territories, sponsored organizations, non-government organizations, minority groups, specialized groups, public or private institutions of higher education, and other public or nonprofit private agencies, institutions, or organizations. Research project grants may also be awarded to individuals. For-profit organizations are eligible to apply for these grants only if "cooperative agreement" is the designated funding mechanism. Organizations described in section 501(c)4 of the Internal Revenue Code that engage in lobbying are not eligible.

### **Beneficiary Eligibility:**

Federal, State or local government agencies, federally-recognized Indian Tribal Governments, public or private nonprofit institutions, U.S. territories, Native American organizations, sponsored organizations, consumers, students, minority groups, specialized groups, health or education professionals, individuals, scientist/researchers, and the general public.

### **Credentials/Documentation:**

Nonprofit organizations must submit proof of their nonprofit status when applying for grants. Costs will be determined in accordance with DHHS Regulations 45 CFR 74. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted in response to a Funding Opportunity Announcement (FOA). All FOAs are posted on [www.Grants.gov](http://www.Grants.gov). Refer to the FOA of interest for specific requirements regarding the application procedure as AHRQ is in the process of transitioning to the new SF-424 Research and Related (R&R) grant application form and to

electronic submission through [www.Grants.gov](http://www.Grants.gov) for competing awards. For FOAs for which applications have not yet been transitioned to electronic submission through [Grants.gov](http://Grants.gov), nongovernmental applicants should submit using Form PHS-398 (Rev. November 2007); State and local governments may submit using the standard application forms, as furnished by PHS and required by 45 CFR Part 92. For State agencies, no State Plan is required. Applications are reviewed and evaluated by a group composed primarily of nonfederal scientists. The review is conducted by a panel of experts in the specific study area proposed. This program is subject to the provisions of 45 CFR Part 92 for State and local governments.

### **Award Procedure:**

Applications are reviewed for scientific merit by a committee including nonfederal consultants who are selected from appropriate scientific fields. AHRQ considers the recommendations of the review committee, program interest, and the availability of funds in the final selection of grantees. When such decisions are made, applicants are notified and a Notice of Award is issued.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

> 180 Days.

### **Appeals:**

Not Applicable.

### **Renewals:**

If additional support is desired to continue a project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application.

### **Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Grants may be approved for project periods of up to 5 years, depending on the grant program and based on the availability of funding. Refer to the FOA of interest for information regarding the maximum duration of the project period. Awards are made on an annual basis and it is expected that obligations will be made within the budget period awarded. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request System. Method of awarding/releasing assistance: lump sum.

### **Reports:**

Program reports are not applicable. Grantees must submit quarterly SF425 reports to PSC. Progress reports are required on an annual basis. Some programs also require quarterly progress reports. A final progress report must be submitted within 90 days after the end of a project. Inventions are to be reported immediately. A Final Invention Statement must be submitted within 90 days after the end of a project. An annual Federal Financial Report (FFR; SF425) must be submitted within 90 days after the end of the calendar quarter in which the budget period ends. A final FFR must be submitted within 90 days after the end of the project. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

### **Records:**

Records must be retained for at least three years; records shall be retained

beyond the three year period if audit findings have not been resolved.

**Account Identification:**

75-1700-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$122,106,075; FY 12 est \$115,090,367; and FY 13 est \$98,427,891

**Range and Average of Financial Assistance:**

\$5,000 to \$3,999,999; \$307,215 average. These are total cost figures (direct costs plus associated facilities and administrative costs, if appropriate).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: AHRQ provided \$122.106 million in grant funding (396 grants) of which \$33.679 million supported 142 new grants. Fiscal Year 2012: AHRQ anticipates funding \$115.090 million in grant funding (360 grants). Fiscal Year 2013: AHRQ anticipates funding \$98.428 million in grant funding (275 grants).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 67, Regulations for Grants for Health Services Research, Evaluation, Demonstration, and Dissemination Projects as amended by Public Law 106-129; HHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

George Gardner 540 Gaither Road, Rockville, Maryland 20850 Phone: 301-427-1447

**Website Address:**

<http://www.ahrq.gov>.

**RELATED PROGRAMS:**

93.225 National Research Service Awards\_Health Services Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: AHRQ grants supported the following research: patient-centered health research; health information technology; patient safety research including research on healthcare associated infections; prevention and care management; and quality, effectiveness, and efficiency research. Fiscal Year 2012: Based on the availability of funding, it is anticipated that AHRQ-supported grants will focus on health services research in the area of patient-centered outcomes research, prevention and care management, value research, health information technology, patient safety, and quality, effectiveness and efficiency research. Fiscal Year 2013: Based on availability of funding, it is anticipated that AHRQ-supported grants will focus on health information technology research, patient safety research, prevention and care management, and quality, effectiveness, and efficiency research.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposals must first be reviewed by review groups of peers and recommended for approval on the basis of scientific and technical merit. This includes consideration of the qualifications of the principal investigator and staff to conduct the research using appropriate methodology and budget. Those approved proposals which are most relevant to the identified program priority issues of the AHRQ are funded to the extent that funds are available.

**93.228 INDIAN HEALTH SERVICE\_HEALTH MANAGEMENT DEVELOPMENT PROGRAM**

(Indian Health)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Public Law 83-568, 42 U.S.C. 2001-2004a; Indian Self-Determination and Education Assistance Act, Section 104 (b), Public Law 93-638, 25 U.S.C. 450, Section 9, Public Law 98-250; Public Law 100 - 472.

**OBJECTIVES:**

To improve the quality of the health of American Indians and Alaska Natives by providing a full range of curative, preventive and rehabilitative health

services; and to improve the management capability of American Indians and Alaska Natives to assume operation of all or part of an existing Indian Health Service (IHS) direct-operated health care program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The assistance is used for four types of management related projects: (1) Feasibility Studies; (2) Planning; (3) Tribal Health Management Structure Development; and (4) Evaluation. Tribal management grants may not be used to support operational programs, or to supplant existing public and private resources. This assistance is available to Federally-recognized Indian Tribes and Tribal-sanctioned Tribal organizations.

**Applicant Eligibility:**

Federally-recognized Tribes and Tribally-sanctioned Tribal organizations.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant Tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as Tribal membership, enrollment, residence on tax exempt land, ownership of restricted property, active participation in Tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of Native Indian or Alaskan descent is required for direct services. Provisions of grants under Public Law 93-638 and its amendments require Tribal endorsement in the form of a Resolution to sanction Tribal participation. Costs will be determined in accordance with OMB Circular No. A-122 for Nonprofit Organizations as implemented through program regulations 42 CFR 36 and applicable grant administration regulations 45 CFR, Part 92, (45 CFR 74 for nonprofit organizations). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The applicant package may be found in Grants.gov. or at [http://www.ihs.gov/NonMedicalPrograms/gogp/index.cfm?module=gogp\\_funding](http://www.ihs.gov/NonMedicalPrograms/gogp/index.cfm?module=gogp_funding). Information regarding the electronic application process may be directed to Tammy Bagley, Acting Director, Division of Grants Management at (301) 443-5204. This program is subject to the provisions of 45 CFR 92 for Indian Tribes and OMB Circular No. A-110, if applicant is a nonprofit Tribal organization.

**Award Procedure:**

Grants are awarded on a competitive basis with processing and final approval by Headquarters.

**Deadlines:**

May 01, 2013: For FY 2013 Awards. For Public Law 93-638 grants applications must be submitted 90 days prior to the proposed project start date. Contact Headquarters Office for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. 90 days. Grants are approved/disapproved within ninety (90) days from receipt of application/proposal in IHS Headquarters.

**Appeals:**

From 30 to 60 days. Grant appeals will follow PHS appeals procedures: 42 CFR, Part 50, Subpart D and DHHS appeals procedures: 45 CFR 16.

**Renewals:**

Renewal of grants is on a year-to-year basis and requires the submission of continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula.



This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Depending on services provided, progress and financial reports will be required quarterly or semi-annually with final performance and financial status reports due 90 days after the end of the project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR 92.42, grantees are required to maintain grant records 3 years after they submit their final expenditure report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,586,000; FY 12 est \$2,576,870; and FY 13 est \$2,577,000

**Range and Average of Financial Assistance:**

\$50,000 - \$100,000 Range; \$100,000 Average.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36; 45 CFR 92 and 45 CFR 74, HHS Grants Policy Statement, (Rev.) January, 2007; Program Guidelines for Competitive Projects.

**Regional or Local Office:**

None. Program - Ms. Patricia J. Spotted Horse, Program Analyst, Tribal Management Grant Program, Indian Health Service, 801 Thompson Avenue, Suite 220, Rockville, MD 20852, Phone: (301) 443-1104;

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

http://www.ihs.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.231 EPIDEMIOLOGY COOPERATIVE AGREEMENTS**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437, 25 U.S.C 1621m.

**OBJECTIVES:**

To develop epidemiology centers and public health infrastructure through the augmentation of existing programs with expertise in epidemiology and a history of regional support. Activities should include, but not be limited to, development of surveillance for disease conditions, epidemiological analysis, interpretation, and dissemination of surveillance data, investigation of disease outbreaks, development and implementation of epidemiological studies, development and implementation of disease control and prevention programs, and coordination of activities with other public health authorities in the region. Proposed activities which cover large population and/or geographical areas that do not necessarily correspond with current Indian Health Service (IHS) administrative areas are encouraged.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may be used to develop and conduct activities to achieve at least one epidemiology programs in each of the 12 Areas of Indian country. The recipient activities will coordinate and participate in projects, investigations, or studies of national scope; and share surveillance and other data collected. IHS activities will convene workshops/meetings; provide technical assistance and consultation; provide training; conduct site visits; and coordinate all epidemiological activities on a national basis. Funds will be used to support activities that are directly related to the grant project. All indirect costs will be issued based on the indirect cost rate agreement that is negotiated by the recipient, as appropriate. 100% are discretionary funds.

**Applicant Eligibility:**

Any federally recognized Indian tribe or tribal organization, as defined in Section 4(d) and 4(e) of the Indian Health Care Improvement Act, Public Law 94-437, as amended. An inter-tribal consortium or Indian organization, if it is incorporated for the primary purpose of improving Indian health, and it is representative of the tribes or urban Indian communities in which it is located. An urban Indian organization is defined as a nonprofit corporate body situated in an urban center eligible for services under Title V of the Indian Health Care Improvement Act, Public Law 94-437, as amended.

**Beneficiary Eligibility:**

American Indians and Alaska Natives will benefit.

**Credentials/Documentation:**

The applicant must provide documentation of: (1) Nonprofit status; (2) tribal resolution(s); and (3) letters of support and collaboration with regional IHS, State, or university organizations. Costs will be determined in accordance with OMB Circular No. A-122 (nonprofit organizations), and applicable grant administration regulations 45 CFR 74 and 45 CFR 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The

Contact Center is open 24 hours a day, 7 days a week (except for Federal holidays). Waivers from the electronic process must be made at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package from the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to IHS.

**Award Procedure:**

These awards are issued under a competitive grant process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative agreements will be awarded for project periods of up to 3 years. Within the project period, a continuation application must be submitted via [grants.gov](http://grants.gov) annually on a non-competitive basis for each year of support. Additional support is subject to availability of funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3 year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$6,000,000; FY 12 est \$6,065,000; and FY 13 est \$4,600,000

**Range and Average of Financial Assistance:**

\$350,000 to \$1,000,000; average award \$400,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 94-437, Section 214(a)(1), as amended by Public Law 102-573; 45 CFR 92 and 45 CFR 74; authorizes the cooperative agreement grant awards. HHS Grants Policy Statement, January 2007.

**Regional or Local Office:**

None. Program Contact: Selina Keryte; Division of Epidemiology and Disease Prevention, Indian Health Service, Headquarters West, 5300 Homestead Road, NE; Albuquerque, New Mexico 87110; Telephone: (505) 248-4132.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: [grantspolicy@ihs.gov](mailto:grantspolicy@ihs.gov) Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria are introduction, current capacity and project objectives, approach and results and benefits, project evaluation, organization capabilities and qualifications, and budget. Consideration will be given to applicants: (1) Proposing to provide services to large regions consisting of more than a single IHS administrative area; and (2) demonstrating evidence of past and current epidemiological activities.

**93.232 LOAN REPAYMENT PROGRAM FOR GENERAL RESEARCH**

(NIH General Research Loan Repayment Program; GR-LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part VI, Section 487C, Public Law 100-43, 42 U.S.C 288-3.

**OBJECTIVES:**

To recruit and retain health professionals performing research in fields required by the NIH to carry out its mission by providing educational loan repayment for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in laboratory or clinical research as employees of the NIH for a minimum 3-year period.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged, as employees of the NIH, in laboratory or clinical research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 3 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Continuation contracts for 1-year terms are available, dependent upon the level of debt and continued involvement in research that supports the research and institutional needs and the mission of the NIH. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold."

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree, or hold the position of Physician Assistant; (3) have qualified educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education, in excess of 20 percent of their annual NIH salary on the program eligibility date; (4) be appointed to the NIH Intramural Research Program under any temporary or permanent employment mechanism, so long as the employment has the potential to last a minimum of three years; (5) not be under any existing service obligation to Federal, State, or other entities, until such obligation is discharged or unless it is deferred during the period of program service; (6) submit an application to participate in the Loan Repayment Program for General Research; and (7) sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in research as an employee of the NIH for a minimum of 3 years.

**Beneficiary Eligibility:**

NIH researchers who possess substantial unpaid educational debt relative to income will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: (1) Copies of loan applications and agreements from government or commercial educational loans which are being submitted for repayment; (2) copies of the standard student budget from each school attended during the period in which the debt was incurred; and (3) other documentation as may be required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each Institute or Center (IC). Applications approved for participation by the LRC will be notified by the Program Director. The Secretary, or his designee, will sign the service contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. The approximate time for approval/disapproval is 3 months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to NIH employees.

**Renewals:**

From 90 to 120 days. At the conclusion of the initial 3-year contract, participants may apply and be considered for subsequent 1-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 3-year period. One-year continuation contracts are available for individuals whose educational debt exceeds the maximum repayable amount for 3 years. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation. Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$4,512,471; FY 12 est \$4,500,000; and FY 13 est \$6,000,000

**Range and Average of Financial Assistance:**

(Loan Repayment) For initial 3-year contracts, loan repayment awards may range from \$6,000 to \$105,000; Tax reimbursements range from \$2,966 to

\$51,896. The average contract cost which includes loan and tax reimbursement is \$102,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 75 awards were granted. Fiscal Year 2012: In Fiscal Year 2012, NIH made 77 awards. Fiscal Year 2013: In 2013, it is projected that 80 awards will be granted.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 103-43, Section 1631; Section 487C of the Public Health Service Act (42 U.S.C. 288-3); Public Law 105-392; and Federal Register, Volume 59, No. 201, October 19, 1994. Notice of Proposed Rulemaking is pending.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD Office of Intramural Training and Education  
National Institutes of Health  
U.S. Department of Health and Human Services  
Building 2, Room 2E18  
2 Center Drive  
, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone:  
3014021283 Fax: 3014802942

**Website Address:**

www.lrp.nih.gov.

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.364 Nursing Student Loans; 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH General Research Loan Repayment Program after the LRC determines that the applicant will conduct qualified research and has qualifying educational debt. LRC approval, in part, is based upon the scientific merit of the research, its priority to the research institutes, and the credentials of the applicant.

**93.233 NATIONAL CENTER ON SLEEP DISORDERS RESEARCH  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

NIH Reauthorization Act of 1993, Public Health Service Act, Section 503: Subpart 2, Part C, Title IV, Section 424, 42 U.S.C. 285b et seq.

**OBJECTIVES:**

The National Center on Sleep Disorders Research (NCSDR) supports research and research training related to sleep disordered breathing, and the fundamental functions of sleep and circadian rhythms. The center also stewards several forums that facilitate the coordination of sleep research across NIH, other federal agencies and outside organizations, including the Sleep Disorders Research Advisory Board and a Trans-NIH Sleep Research Coordinating Committee. The center also participates in the translation of new sleep research findings for dissemination to health care professionals and the public. Small Business innovation Research (SBIR) program: to stimulate technological innovation; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research

institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSA) are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRSA to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. . Fast-Track is an option whereby Phase I and Phase II SBIR or STTR projects are submitted and reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II. While the intent of the STIR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research, as well as institutions or companies organized for profit, may apply for grants with the exception of NRSA. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the Project in Phase II. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more that 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

**Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of

the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications are submitted electronically. Visit the following link to obtain application information and instructions (<http://grants1.nih.gov/grants/funding/424/index.htm> )

#### **Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available in the NIH Guide at the following URL <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

#### **Renewals:**

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The Advisory Council may recommend funding for periods from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: The National

Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

#### **Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1.a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2.an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

#### **Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$57,232,832; FY 12 est \$57,729,256; and FY 13 est \$57,509,010 - In fiscal year 2011, 125 research grants and National Research Service Awards were made. The estimates of fiscal year 2012 are 115 research grants and 10 National Research Service awards. The estimates for fiscal year 2013 are 115 research grants and 10 National Research Service Awards. In fiscal year 2011, for new and competing renewal awards: 203 grant applications were received, and of these, 32 were awarded; 15 National Research Service Award applications were received, and of these, 2 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2011, 3 Phase I awards, and 2 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$16,895 to \$2,389,052; \$381,250. SBIR Phase I - \$150,000; Phase II - up to \$1,000,000; STTR Phase I - \$100,000; Phase II - \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Since Sleep Disorders Research Program is now integrated into the Cardiovascular, Lung and Blood Diseases Research Programs, all funding related to sleep research have already been reported under the respective programs.

**Headquarters Office:**

Valerie L Prenger, PhD 6701 Rockledge Drive, Rm 7214, MSC7924, Bethesda, Maryland 20817 Email: prengerv@nhlbi.nih.gov Phone: (301) 435-0270 Fax: (301) 480-0730

**Website Address:**

<http://www.nhlbi.nih.gov/sleep>.

**RELATED PROGRAMS:**

93.837 Cardiovascular Diseases Research; 93.838 Lung Diseases Research; 93.839 Blood Diseases and Resources Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.234 TRAUMATIC BRAIN INJURY STATE DEMONSTRATION GRANT PROGRAM**

TBI

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XII, Section 1252 (42 USC 300d-52) as amended by the Childrens Health Act of 2000, sec.1304, PL 106-310, as further amended by the Traumatic Brain Injury Act of 2008, sec. 6(a), PL 110-206.

**OBJECTIVES:**

To improve access to health and other services for individuals with Traumatic Brain Injury (TBI) and their families.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project grants to States to improve access to health and other Traumatic Brain Injury (TBI)-related services for people of all ages are established within HRSA. Any State seeking TBI grant funds is required to agree to establish or have an advisory board within the appropriate health department of the State or

within another department as designated by the Chief Executive Officer of the State. The Board's composition as specified must include representatives of the involved State agencies; public and nonprofit private health related organizations; disability advisory or planning groups; members of an organization or foundation representing individuals with TBI; State and local injury control programs if they exist, and a substantial number of individuals with TBI and/or their family members. The grants are called "Implementation Partnership Grants." These grants are to be used in building a statewide system to assure access to comprehensive and coordinated TBI services. Grants can address a wide range of activities and should reflect gaps or needed system change identified through the statewide TBI needs assessment.

**Applicant Eligibility:**

Only State and Territorial governments are eligible to apply for funding under the TBI grant program. The application for Implementation Partnership funds may only come from the State agency designated as the lead for TBI services. The State maternal and child health program is expected to be involved in the program. Only one application from each State may enter the review process and be considered for an award under this program.

**Beneficiary Eligibility:**

Individuals with TBI and their families, including those in high risk groups, such as children and youth, the elderly, Native Americans and Alaska natives, military service members and veterans.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 3 to 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

No renewals; grants are approved for up to four years for Implementation Grants.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. States must make available nonfederal cash or in-kind matching funds in an amount that is not less than \$1 for each \$2 of Federal funds provided under the grant. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually in accordance with the project period method of awarding grants. Payments are made through a Letter of Credit or Cash Demand System. Project periods are for 1, 2, 3, or 4 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports are required. Federal financial report cash transaction report. Refer to the funding opportunity announcement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 4 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 4-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 4-year period, whichever is later.

**Account Identification:**

75-0354-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$5,248,134; FY 12 est \$5,253,731; and FY 13 est \$5,253,731

**Range and Average of Financial Assistance:**

\$100,000 to \$250,000; average \$249,911.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 21 awards. Fiscal Year 2012: 21 awards. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

See Regional Agency Offices. LCDR Donelle McKenna, Project Director, Division of Services for Children with Special Health Care Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 13-61, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-9280, E-mail: DMcKenna@hrsa.gov.

**Headquarters Office:**

LCDR Donelle McKenna Room 13-61, 5600 Fishers Lane, Rockville, Maryland 20857 Email: DMcKenna@hrsa.gov Phone: (301) 443-9280

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.127 Emergency Medical Services for Children

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed by nonfederal consultants who make recommendations to the Secretary of the Department. The Secretary will approve projects which best promote the purposes of TBI grants. Review

criteria: The following review criteria apply to the State implementation grant: (1) the adequacy of the State's proposed method for linking its Statewide TBI Action Plan to the findings of the statewide needs assessment; (2) the extent to which the proposal reflects the involvement of necessary public/private organizations and agencies to assure a comprehensive approach and the necessary support to aid sustainability (3) the qualifications, experience, and commitment to the program as indicated by time that will be devoted to the program, of the designated lead person for TBI within the State; (4) the extent to which the proposed plan addresses those groups within the State that are at highest risk of sustaining a TBI, including, these groups, identified by the CDC: Children from 0-4, Adolescents from 15-19, the elderly, Native Americans, and other underserved populations. In addition, there should be a plan to assist veterans and service members and their families who request assistance. (5) reasonableness of the proposed budget, and effectiveness of the proposed plan to accomplish the goals and objectives the State has for its TBI program.

**93.235 AFFORDABLE CARE ACT (ACA) ABSTINENCE EDUCATION PROGRAM**

Abstinence Education Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordable Care Act of 2010, Title II Role Of Public Programs, Subtitle L Maternal and Child Services

The Patient Protection and Affordable Care Act, Title II Role of Public Programs, Subtitle L, Maternal and Child Health Service, Title V, Section 2954, Public Law 111-148, 42 U.S.C. 713(c)(1)., Title V, Section 2954, Public Law 111-148, 42 U.S.C 710.

**OBJECTIVES:**

To enable States to provide abstinence education, and at the option of the State, where appropriate, mentoring, counseling, and adult supervision to promote abstinence from sexual activity, with a focus on those groups which are most likely to bear children out-of-wedlock. The Affordable Health Care Act (ACA) appropriated funding for this program through FY 2014.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Pursuant to Section 510(b)(2) of Title V of the Social Security Act, the term "abstinence education" means an educational or motivational program that: (A) has as its exclusive purpose, teaching the social, psychological, and health gains to be realized by abstaining from sexual activity; (B) teaches abstinence from sexual activity outside marriage as the expected standard for all school age children; (C) teaches that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems; (D) teaches that a mutually faithful monogamous relationship in the context of marriage is the expected standard of human sexual activity; (E) teaches that sexual activity outside of the context of marriage is likely to have harmful psychological and physical effects; (F) teaches that bearing children out-of-wedlock is likely to have harmful consequences for the child, the child's parents, and society; (G) teaches young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances; and (H) teaches the importance of attaining self-sufficiency before engaging in sexual activity.

**Applicant Eligibility:**

Funds are allotted to 59 States and Territories to enable them to carry out abstinence education programs. Eligible applicants include the 50 United States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Mariana Islands, Micronesia, the republic of the Marshall Islands, and the Republic of Palau.

**Beneficiary Eligibility:**

School-age girls and boys, adolescents, at-risk populations subject to out-of-wedlock births, parents, youth serving professionals and families.

**Credentials/Documentation:**

A signed letter from the authorized representative must accompany each application; it should include documentation establishing the authorized representative's authority to apply for and administer the Abstinence Education grant program funds on behalf of the State or Territory. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application procedures will be given in the Funding Opportunity Announcement (FOA).

**Award Procedure:**

ACF will recruit and train Federal staff and contractors to review applications. Program administrators will review, observe, and edit comments of reviewers to ensure they are in compliance with guidelines and Federal law. Applications will be rated Approved, Approved with Conditions, or Approval Pending. States that submit applications that are Approved will receive grant awards and will not need to send further information. States that submit applications that are Approved with Conditions" will receive grant awards with descriptions of weaknesses and subsequent conditions that must be met in order to receive Approved status. The applicants will be given a set time period to send to ACF a response that addresses the conditions. States that submit applications that are rated Approval Pending will receive a list of weaknesses cited by the reviewer and directions for submitting an amended application that addresses the weaknesses. The State will not receive a grant award until the State submits a satisfactory application. The applicants will be notified of a final due date for submission of a satisfactory application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: This statutory formula for this program is based upon census data. Grants awarded to each State are determined by a formula using the State's proportion of low-income children compared to the total number of low-income children in the U.S. based on the most recent Census data for children in poverty. For each fiscal year, the estimated allotment for each State or Territory will be updated based on the most current available census data and will be communicated to States by August 15 of the preceding fiscal year. Census data are unavailable for the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau. Thus, the allocations for these three entities are based on the amounts allocated to them by HHS in prior fiscal years. There is a required match of 43 nonfederal dollars for every 100 federal dollars. For example, if a states federal award is \$100,000, the State must provide a match of \$75,250, which would represent 43% of the total project cost of \$175,000 (counting both federal grant and state match). The match can be reached by use of state dollars, local government dollars, and private dollars including foundation dollars, in-kind support, or any combination thereof.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

In accordance with Section 503 of the Social Security Act, Any amount payable to a State under this title from allotments for a fiscal year which remains unobligated at the end of such year shall remain available to such State for obligation during the next fiscal year. For example, funds appropriated and allocated to the States in FY 2009 (starting October 1, 2008) are available for obligation and expenditures through September 30, 2010. Two-year budget periods are contingent upon Congressional re-authorization or the continued extension of the authorization and funding of the program. Method of awarding/releasing assistance: quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress reports and financial expenditure reports are required. The SF-425 is required. Specific guidance regarding data to be reported will given in the program announcement. Program guidelines allow States to expend abstinence education funds over a two-year period. An interim Financial Status Report (SF-425) is due semi-annually, and a final fiscal report is due 90 days after the end of the project period. Performance monitoring occurs by reviewing program progress reports, conducting monitoring phone calls and conducting monitoring site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. As described in Title V, Section 506(b)(1) of the Social Security Act, each state shall, not less often than once every 2 years, audit its expenditures from amounts received under this title.

**Records:**

Records of the recipient shall be made available to the Secretary to secure an accurate description of the activities for which funds were spent in achieving the purposes of this section. States shall make available copies of reports and audits for public inspection within the State. Within 30 days following the completion of each audit report, the State shall submit a copy of that audit report to the Secretary.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$37,553,000; FY 12 est \$50,000,000; and FY 13 est \$50,000,000 - All funds are available through the Affordable Care Act.

Estimated \$50,000,000 ACA funds will be obligated in FY12  
Estimated \$50,000,000 ACA funds will be obligated in FY13.

**Range and Average of Financial Assistance:**

Range: \$13,000-\$6,162,376  
Average: \$847,458 (\$50 Million divided by 59 eligible States, Territories and the District of Columbia).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, there were 37 grants awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 59 grants will be awarded. Fiscal Year 2013: In FY 2013, it is anticipated that 59 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact the Family and Youth Services Bureau central office for available literature. You may also get information on the Family and Youth Services Bureau website at the following address: <http://www.acf.hhs.gov/programs/fysb>

**Regional or Local Office:**

None.

**Headquarters Office:**

Marc D. Clark 1250 Maryland Ave, SW 8th Floor, Washington, District of Columbia 20024 Email: [marc.clark@acf.hhs.gov](mailto:marc.clark@acf.hhs.gov) Phone: 202-205-8496 Fax: 202-205-9535

**Website Address:**



<http://www.acf.hhs.gov/programs/fysb>

**RELATED PROGRAMS:**

93.010 Community-Based Abstinence Education (CBAE) ; 93.092 Personal Responsibility Education Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Grantees implement a wide range of program types including: in-class abstinence education, after-school abstinence education, parent education, training for abstinence educators, mentoring, counseling, adult supervision, assemblies, community retreats, conferences and other activities. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed for addressing all criteria given in the program announcement.

**93.236 GRANTS TO STATES TO SUPPORT ORAL HEALTH WORKFORCE ACTIVITIES**

Grants to States to Support Oral Health Workforce Activities and Grants for Residency Training in Dental Public Health

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Part D of Title III of the Public Health Service Act as amended, Subpart X, Primary Dental Programs, Section 340 G (42 U.S.C. 256g).

**OBJECTIVES:**

Grants to States to Support Oral Health Workforce Activities assists states to develop and implement innovative programs to address the dental workforce needs of designated dental health professional shortage areas.

Grants for Residency Training in Dental Public Health are no longer funded, but were supported under this CFDA and are now supported under Section 748 of the Patient Protection and Affordable Care Act of 2010.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are intended to assist activities in States and support projects that address the oral health workforce needs of underserved urban and rural populations. Grants funds may not be used to take the place of current funding for the activities. Grants may not be used for construction.

**Applicant Eligibility:**

Eligible applicants include Governor appointed, State government entities. Each State is limited to only one application, and must address one or more of thirteen activities to addressing oral health workforce needs listed in the authorizing statute and program guidance. Applicants must have significant experience with addressing oral health workforce issues in underserved populations.

**Beneficiary Eligibility:**

Beneficiaries include Governor appointed, State government entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement (FOA) issued under this CFDA program for any required proof or certifications which must be submitted prior to, or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and

required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities.

All qualified applications are forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Award notifications are made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted for up to three years of support.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 40%. An entity that receives a grant under this program must contribute non-Federal funds to activities carried-out under this grant to an amount equal to at least 40 percent of the Federal funding in support of the project. Matching funds may be a combination of in-kind contributions, fairly valued, and any other funding from State, local, community, or other organization sources. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods for grants are three years with annual budget periods. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records three years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$16,412,629; FY 12 est \$11,793,257; and FY 13 est \$12,000,000. (Salaries) FY 11 Not Separately Identifiable; FY 12 Not Separately Identifiable; and FY 13 Not Separately Identifiable

**Range and Average of Financial Assistance:**

FY 11: Range of awards: \$149,688 - \$1,000,000, average award amount: \$461,482.

FY 12: (estimate) Range of awards: \$500,000 - \$2,054,000, average award amount: \$452,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 34 non-competing continuation awards and 1 new award. Fiscal Year 2012: Anticipate 10 non-competing continuation awards and 16 new awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Shane Rogers, Public Health Analyst, Oral Health Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-27, Rockville, MD 20857. Telephone: (301) 443-5260 and E-mail address: [SRogers@hrsa.gov](mailto:SRogers@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: 301) 443-6190 Fax: 301-443-8890

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by non-Federal expert consultant(s) for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the HRSA funding opportunity announcement (FOA). See the section on Application Procedure above to obtain a copy of the announcement.

**93.237 SPECIAL DIABETES PROGRAM FOR INDIANS\_DIABETES PREVENTION AND TREATMENT PROJECTS**

(Indian Health)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Balanced Budget Act of 1997, Public Law 105-33, 111 Stat. 574; Medicare Improvements for Patients and Providers Act of 2008, Public Law 110-275; Medicare & Medicaid Extenders Act of 2010, Public Law 111-309; Public Health Service Act, 42 U.S.C 330C(c)(2)(c).

**OBJECTIVES:**

To promote improved health care among American Indians/Alaska Natives through special diabetes prevention and treatment services with objectives and priorities determined at the local level. Extension of SDPI funds for FY 2010 and FY 2011 now includes a new grant application process that directs Community-Directed Diabetes Programs to identify and implement at least one Indian Health Diabetes Best Practice with defined goals, objectives and key measures based on community assessment and results of diabetes care and outcomes audit. The funding mechanism is a competitive grant program. An additional initiative located at CFDA #: 93-442 called the SDPI Diabetes Prevention and Healthy Heart Initiatives cooperative agreements transitions the SDPI Demonstration Projects activities to determine lessons learned, tools and resources and to plan for dissemination into American Indian and Alaska Native communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

P.L. 111-309, Medicare & Medicaid Extenders Act of 2010 extends SDPI funding for (FY 2012-2013 to fund 1) competitive grant programs to implement primary, secondary, and tertiary diabetic prevention and treatment and related data collection and 2) competitive diabetes prevention and healthy heart initiative cooperative agreements to determine lessons learned, tools and resources from the previous demonstration projects and to create dissemination plans into American Indian and Alaska Native communities. The award amount will include both direct and indirect costs. Grant funds may not be used for any other purpose. Funding may not be used as matching funds for other Federal programs.

**Applicant Eligibility:**

The Public Health Service Act, as amended, states that the following groups are eligible to apply for grants: Indian Health Service (IHS) entities: Indian tribes or tribal organizations who operate an Indian Health program. This includes program under a contract, grant, cooperative agreement or compact with the IHS under the Indian Self-Determination Act; and Urban Indian organizations that operate an urban Indian Health program. This includes programs under a grant or contract with the IHS under Title V of the Indian Health Care Improvement Act.

**Beneficiary Eligibility:**

American Indians/Alaskan Natives will be the ultimate beneficiaries of the funded projects through either prevention or direct treatment services.

**Credentials/Documentation:**

Costs will be determined in accordance with Circular No. A-122, for nonprofit organizations or. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through [Grants.gov](http://Grants.gov). However, should any technical problems arise regarding the submission, please contact [Grants.gov](http://Grants.gov) Customer Support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center is open 24 hours a day, 7 days a week (except for Federal holidays). If you require additional assistance please contact Tammy Bagley, Grants Policy Officer at (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the [Grants.gov](http://Grants.gov) website, complete it offline and then upload and submit the application via the [Grants.gov](http://Grants.gov) site. You may not e-mail an electronic copy of a grant application to us. This program is subject to the

provisions of either 45 CFR 92 or 45 CFR 74, depending upon the type of applicant organization. Grant applications will be reviewed under an Objective Review process. Applications will be ranked. Grants will be awarded based on the results of the Objective Review process.

**Award Procedure:**

After review and approval, a notice of this grant award is prepared and processed along with the appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Funds are expected to be awarded no later than 45 days after complete applications are received. Awards could be delayed for applications not meeting initial approval.

**Appeals:**

From 60 to 90 days.

**Renewals:**

The 1997 BBA Public Law 105-33 project period is currently up to 5 years with non-competitive renewals projected annually. The HR 4577 Public Law 106-554 project period is projected to be 3 years with non-competitive renewals projected annually. The SDPI Reauthorization of 2002 Public Law 107-360 project period is up to 5 years with non-competitive grants and competitive grants renewals projected annually. The 2008 Public Law 110-275 is for 2 years extension of SDPI funds for FY 2010 and FY 2011. The 2010 Public Law 111-309, Medicare and Medicaid Extenders Act extends funds for 2 years through FY 2013.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Public Law 105-33 project was limited to 5 years (total) with annual budget periods. The Public Law 106-554 project was limited to 3 years (total) with annual budget periods. The Public Law 107-360 project is limited to 5 years (total) with annual budget periods. The Public Law 110-275 project is limited to 2 years with annual budget periods (FY 2010 and FY 2011). The Public Law 111-309 project is limited to 2 years with annual budget periods (FY 2012 and FY 2013). Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance. Semi-annual Progress and Annual Reports are required from grantees.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records of the grant must be retained for 3 years after submission of the final expenditure report. If questions remain, such as those resulting from an audit, pertinent records must be kept until the matter is resolved. The Secretary, the Inspector General of the Department of Health and Human Services, and the Comptroller General of the United States or any of their authorized

representatives shall have the right to access all records, reports, books, documents, papers, or other records of the grantee, contractor, or subcontractor, or of any entity pertinent to the DHHS grant in order to make audits, examinations, excerpts, and transcripts. In accordance with 45 CFR 92 or 45 CFR 74, Subpart D, as applicable, grantees are required to maintain grant records for 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records have been started before the end of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$135,273,029; FY 12 est \$135,273,029; and FY 13 est \$135,273,029

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74; HHS Grants Policy Statement (Rev.) January, 2007.

**Regional or Local Office:**

None. Program Contact: IHS Division of Diabetes Treatment and Prevention, 5300 Homestead Road NE, Albuquerque, NM 87110; e-mail: diabetesprogram@ihs.gov; telephone: 505-248-4182

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For P.L. 110-275 funds (from FY 2010 & FY 2011) all grant programs reapply for new grants through competition.

**93.239 POLICY RESEARCH AND EVALUATION GRANTS**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 1110, 42 U.S.C. 1310.

**OBJECTIVES:**

To support research that is relevant to policy development and evaluation of current and proposed programs of interest to the Secretary, the Administration, and the Congress. Priorities include: (1) Issues of long-term care, disability, and personal assistance services, including informal care giving; (2) health care delivery issues including health care financing; (3) welfare reform outcomes and policies affecting children and youth; (4) community development; (5) science policy development; and (6) the reduction of poverty.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may not be used for construction or renovation of buildings. This program is subject to the provisions of 45 CFR 74, and 45 CFR 92 as well as

OMB Circular No. A-102 (Administrative Guidelines for States and Local Governments), and OMB Circular A-110 (Administrative Guidelines for Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations).

**Applicant Eligibility:**

Assistance may be provided to State and local governments, institutions of higher education, nonprofit organizations and individuals. Occasionally, awards are made to for-profit organizations when deemed by the Assistant Secretary to be consistent with the legislative intent and purpose of the program.

**Beneficiary Eligibility:**

Federal, State and local governments will benefit. (Note: Projects do not provide any direct assistance to individuals.

**Credentials/Documentation:**

Nonprofit organizations must provide evidence of tax-exempt status. When projects involve the collaborative efforts of more than one organization or require the use of services or facilities not under the direct control of the applicant, written assurances of specific support or agreements must be submitted by the affected parties. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are submitted in response to specific announcements published in the Federal Register. All applications must be submitted using the Department of Health and Human Services Standard Form 424. Each announcement provides specific additional instructions regarding the contents of the narrative description of the project, budget justification and other required information.

**Award Procedure:**

Official notice of approved application is made through the issuance of a Notice of Grant Award or a Notice of Cooperative Agreement.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

None.

**Renewals:**

Extensions to the project period may be made if deemed appropriate by the Assistant Secretary for Planning and Evaluation.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10%. Requires a minimum 10% non-federal match.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are generally funded on a 12-month basis. Support beyond the first year is contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and the availability of funds. See the following for information on how assistance is awarded/released: on demand.

**Reports:**

No program reports are required. Annual FSR, quarterly and annual reports describing progress, delays and next steps. No expenditure reports are required. Program Official reviews quarterly and annual reports to ensure adequate performance.

**Audits:**

No audits are required for this program.

**Records:**

In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are to maintain accounting records for a minimum of 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$2,400,000; FY 12 est \$2,400,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

3 awards of 800,000 each - average award \$800,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Audrey Mirsky-Ashby 200 Independence Ave., Room 408B, Washington, District of Columbia 20201 Email: audrey.mirsky-ashby@hhs.gov Phone: 2024016640

**Website Address:**

<http://aspe.hhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The rating criteria and the weight attached to each criterion is included in the Federal Register announcement that requests project proposals. The criteria typically include such concerns as the significance and usefulness of the project; the appropriateness of the intervention/measurement methodology and design; the qualifications of personnel and the sponsoring organization; and the likelihood that the work plan and budget will produce the intended results.

**93.240 STATE CAPACITY BUILDING**

(Site Specific Activities Cooperative Agreement Program)

**FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Sections 104(i)(1)(E), (4), (6), (7), (9), (14) and (15), as amended; Superfund Amendments and Reauthorization Act of 1986, 42 U.S.C. 9604; Resource Conservation and Recovery Act, Section 3109(b) and (c), as amended; Hazardous and Solid Waste Amendments of 1984, 42 U.S.C. 6939 (b) and (c).  
. 42 U.S.C 6939 (b) and(c).

**OBJECTIVES:**

To fulfill the mandated objectives of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) and the Superfund Amendments and Reauthorization Act (SARA) of 1986, as amended, in coordination with Agency for Toxic Substances and Disease Registry (ATSDR), by assisting public health agencies to build capacity to conduct (1) Health consultations, (2) public health assessments, (3) exposure investigations, (4) community involvement, (5) health education, and (6) public health studies.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

The uses are to strengthen State health agency environmental health programs. Services include public health assessments, consultations, exposure investigations, health education, and follow-up health investigations/studies. Funds may be expended for reasonable program purposes, such as personnel, travel, supplies and services. Funds for contractual services may be requested. However, the awardee, as the direct and primary recipient of PHS grant funds, must perform a substantive role in carrying out project activities and not merely serve as a conduit for an award to another party or provide funds to an ineligible party. Equipment may be purchased with cooperative agreement funds; however, the equipment must meet applicable Federal requirements. These funds may not be used by the recipient to conduct activities at any Federal site where the State is a party to litigation at the site.

### Applicant Eligibility:

Eligible applicants are the official public health agencies of States or their bona fide agents or instrumentalities, to include the District of Columbia, American Samoa, the Commonwealth of Puerto Rico, the Virgin Islands, the Federated States of Micronesia, Guam, the Northern Mariana Islands, the Republic of the Marshall Islands, and the Republic of Palau, and the Federally- recognized Indian tribal governments.

### Beneficiary Eligibility:

Beneficiaries are individuals and/or families living in communities near or in proximity of Superfund sites.

### Credentials/Documentation:

. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must use application Form PHS 5161-1. Application packets are available from: Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Rd., Room 3000, Mailstop K-75, Atlanta, GA 30341. By formal agreement, the CDC Procurement and Grants Office will act for and on behalf of ATSDR on this matter.

### Award Procedure:

The Assistant Administrator, ATSDR, determines applications to be approved and the priorities for funding. When an application is approved for funding, the Grants Management Officer, CDC, acting as the agent for ATSDR, will prepare a Notice of Award.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

From 60 to 90 days. Approximately 60 to 90 days.

### Appeals:

Other - Not Specified.

### Renewals:

From 90 to 120 days. Awards are made for project periods from 1 to 5 years. Renewal awards cannot be made beyond the project period without competition.

### Formula and Matching Requirements:

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

### Length and Time Phasing of Assistance:

The annual awards are for a 12 month budget period within a 3 to 5 year project period. Noncompetitive continuation awards within the project period are made on the basis of satisfactory progress and availability of funds. Method of awarding/releasing assistance: lump sum.

### Reports:

Refer to the Funding Opportunity for guidance. Cash reports are not applicable. Refer to the Funding Opportunity for guidance. Refer to the Funding Opportunity for guidance. Refer to the Funding Opportunity for guidance.

### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### Records:

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for at least 10 years in accordance with EPS's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies". Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit or verification upon request of the office of Inspector General.

### Account Identification:

75-8252-0-1-551.

### Obligations:

(Salaries) FY 11 \$10,324,323; FY 12 est \$10,223,040; and FY 13 est \$10,223,040

### Range and Average of Financial Assistance:

\$150,000 to \$350,000.

### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

### Regional or Local Office:

None.

### Headquarters Office:

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, , Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

### Website Address:

<http://www.atsdr.cdc.gov>.

### RELATED PROGRAMS:

Not Applicable.

### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

### CRITERIA FOR SELECTING PROPOSALS:

Applications for core activities only were reviewed and evaluated based on the following criteria: (1) Proposed Program: (a) Merit scientific and technical merit of the proposed project to perform public health assessments, consultations, exposure investigations, health education and public health studies consistent with ATSDR guidance and in a timely manner. Applicant's ability to evaluate the public health impact of hazardous waste sites using health, environmental, and demographic data, and health-related concerns from the local community. (b) Requirements Applicant's understanding of the requirements, objectives, and complexities of the interactions required for a successful program. c) Collaboration Applicant's plan to collaborate with political and private subdivisions of Federal, State, and local health and environmental agencies and community groups to obtain information needed for evaluating the public health impact of hazardous waste sites, disseminate results of findings, and prevent exposure if identified. (2) Program Personnel:

The principal investigator or project director and his/her ability to devote time and effort to provide effective leadership, and the qualifications of the support staff. (3) Applicant Capability: Adequacy and commitment of institutional resources, facilities, space, and equipment necessary for conducting the project are available and sufficient. (4) Program Budget: Extent to which the budget is reasonable, clearly justified, and consistent with intended use of funds. The priority order for funding cooperative agreements was as follows: (a) Number of proposed and/or listed National Priority List (NPL) sites (Federal and nonfederal) based on the most current EPA list, (b) number of Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) sites (Federal and nonfederal) based on the most current EPA list; (c) applicants who applied for both Core Activities and optional Activities; and (d) geographic distribution across the United States. (5) Human Subjects: Applicant's plan for adequate protection of human subjects. Applications for conducting Core Plus Optional Activities were reviewed and evaluated based on the following criteria: Proposed Program: In addition to the criteria outlined above for Core Activities, the applicant had to indicate an understanding of and capability for conducting human health studies as contained in the proposed site-specific protocol which had to include: (a) The approach, feasibility, adequacy, and rationale for the proposed study design, (b) the technical merit of the proposed study, (c) the proposed timeline, including measurable objectives, (d) proposed method for disseminating the results of the study.

### **93.241 STATE RURAL HOSPITAL FLEXIBILITY PROGRAM**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Continuing Appropriations Act, 2011 (P.L. 111-242); Title XVIII, Section 1820 (g)(6) of the Social Security Act (42 U.S.C. 1395i-4), as amended by Sec. 4201 (a) of P.L. 105-33; and Sec. 121 of the Medicare Improvement for Patients and Providers Act of 2008, P.L. 110-275.

#### **OBJECTIVES:**

The Medicare Rural Hospital Flexibility Grant Program provides funding to state governments to spur quality and performance improvement activities; stabilize rural hospital finance; and integrate emergency medical services (EMS) into their health care systems. Flex funding encourages the development of cooperative systems of care in rural areas -- joining together Critical Access Hospitals (CAHs), EMS providers, clinics, and health practitioners to increase efficiencies and quality of care.

The Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement and Information Services to Rural Hospital Flexibility Program Grantees provide technical assistance, support, monitoring and evaluation to the State Rural Hospital Flexibility Program grantees and Critical Access Hospitals.

The Rural Veterans Health Access Program provides funding to states to develop and strengthen networks and collaborations for health care organizations to meet the needs of rural veterans targeting states with high percentages of veterans to the total population.

The Delta Health Initiative (DHI) Cooperative Agreement Program addresses longstanding unmet rural health needs (access to health care, health education, research, job training, and capital improvements) of the Delta Region in the State of Mississippi.

#### **TYPES OF ASSISTANCE:**

Formula Grants (Cooperative Agreements); PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for the purposes outlined in the approved projects.

#### **Applicant Eligibility:**

Flex and Rural Veterans Grants: Only States with certified Critical Access Hospitals are eligible for this Grant Program. The Governor designates the eligible applicant from each State. All other States need to submit an application to the Regional Administrator of their CMS Regional Office that

expresses the State's interest in developing a Medicare Rural Hospital Flexibility Program before they can apply for grant funds.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement: Eligible applicants include public and private nonprofit entities. Faith-based and community organizations are eligible to apply for this cooperative agreement. Applicants must have experience in analyzing rural health issues as defined by the following: key staff for the project must have authored or co-authored at least two articles about rural health published in peer-reviewed scientific journal(s) (such as Journal of Rural Health, American Journal of Public Health, Journal of Aging and Health). Applicants must also have experience with and access to a variety of key data sets used for analysis of rural hospital data. Applicants that fail to show such experience will not be considered.

Information Services to Rural Hospital Flexibility Program: Any public or private entity is eligible to apply for this Federal funding opportunity. Applicant organizations that are Federally-recognized Native American Tribes or Tribal organizations are eligible to apply. Faith-based and community-based organizations are eligible to apply for this cooperative agreement.

Delta Health Initiative: To be eligible an organization must be a non-Federal, not-for-profit alliance that demonstrates the capacity to determine what programs/projects would have the greatest bearing on reducing health care disparities, along with experience in diabetes education, disease management protocols, other health education practices and wellness attainment strategies for promoting healthy communities in the MS Delta Region.

#### **Beneficiary Eligibility:**

States with at least one hospital located in a non-metropolitan statistical area or county and provides CMS with necessary assurances.

Delta Health Initiative - A not-for-profit, non-governmental organization operating in an alliance in the Delta Region of MS.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

The Medicare Rural Hospital Flexibility Grant Program awards may be made for up to 5-year project periods. Subject to availability of funds, after initial

awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Information Services to Rural Hospital Flexibility Program Grantees- awards may be made for up to 5-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

The Rural Veterans Health Access Program awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Delta Health Initiative Cooperative Agreement Program- awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardees satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A performance progress report is submitted with each noncompeting continuation application. An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. For the Rural Veterans Health Access Program and the Medicare Rural Hospital Flexibility Grant Program, an annual data report is due within 60 days of the end of the budget period. For the Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement a report is due annually on March 31. A final program report is to be submitted within 90 days after the close of the project period. Grantees in the Medicare Rural Hospital Flexibility Grant Program are required to participate in activities related to the Flex Program Evaluation Cooperative Agreement. No cash reports are required. Refer to funding opportunity announcement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before

the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$22,800,000; FY 12 est \$22,911,332; and FY 13 est \$22,911,332 - These figures are for the Medicare Rural Hospital Flexibility Grant Program . (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 Estimate Not Available - These figures are for the Delta Health Initiative Cooperative Agreement Program. Prior obligation FY10 of 33,000,000. (Project Grants) FY 11 \$960,861; FY 12 est \$957,999; and FY 13 est \$960,000 - These figures are for the Rural Veterans Health Access Program. (Project Grants) FY 11 \$1,043,154; FY 12 est \$1,000,000; and FY 13 est \$1,000,000 - These figures are for the Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement. (Project Grants) FY 11 \$625,000; FY 12 est \$1,025,000; and FY 13 est \$1,025,000 - These figures are for the Information Services to Rural Hospital Flexibility Program Grantees.

**Range and Average of Financial Assistance:**

The Medicare Rural Hospital Flexibility Grant Program \$260,000 to \$750,000; \$490,000.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement: \$1,000,000

Information Services to Rural Hospital Flexibility Program Grantees: 1,025,000

Rural Veterans Health Access Program: \$319,333

Delta Health Initiative Cooperative Agreement Program: N/A.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. The Medicare Rural Hospital Flexibility Program Grant Contact: Michael McNeely, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-5812.

Medicare Rural Hospital Flexibility Program Evaluation Cooperative Agreement- Program Contact: Megan Meacham, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-8349.

Information Services to Rural Hospital Flexibility Program Grantees- Program Contact: Michael McNeely, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-5812.

Delta Health Initiative Cooperative Agreement Program- Program Contact: Bridget Ware, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-3822.

Rural Veterans Health Access Program Program Contact: Larry Bryant, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane, Room 5A-05, Rockville, MD 20857. Telephone: (301) 443-0261.

**Headquarters Office:**

Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact Headquarters for selection criteria.

**93.242 MENTAL HEALTH RESEARCH GRANTS****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Small Business Research and Development Enhancement Act of 2000; Public Health Service Act, Title III, Section 301, 42 U.S.C 241.

**OBJECTIVES:**

To support research and research training to understand the biological, psychological, and functional changes that are involved in the causes and course of mental illness; to hasten the translation of science advances into innovations in clinical care; to conduct studies of the risk factors for major psychiatric disorders; to conduct clinical neuroscience studies to elucidate causes and functional effects of these disorders; to conduct research on psychosocial, pharmacological, and somatic treatment development; to support research and research training with the ultimate goal of preventing and curing mental disorders that originate in childhood and adolescence; to conduct research across basic behavioral/psychological processes, environmental processes, brain development, genetics, developmental psychopathology, and therapeutic interventions; to translate knowledge from basic science to discover the developmental origins of mental disorders and effect their prevention and cure. To provide support for integration of research on neurobehavioral mechanisms of psychopathology; understanding of the trajectories of risk/illness; and the design and testing of innovative and personalized treatments. To support research in the areas of basic neuroscience, genetics, basic behavioral science, research training, resource development, technology development, drug discovery, and research dissemination; to support studies that will generate relevant basic science knowledge which can then be utilized to improve diagnosis, treatment, and prevention of mental and behavioral disorders; to support research to evaluate the effectiveness of pharmacologic, psychosocial, rehabilitative, and combination interventions on mental and behavior disorders; to evaluate interventions for children, adolescents, and adults, focusing on acute and long-term therapeutic effects; to conduct mental health services research, including studies of services organization and delivery; interventions to improve the quality and outcomes of care; and research on the dissemination and implementation of evidence-based interventions into service settings; to develop and disseminate behavioral interventions that prevent HIV/AIDS transmission; to clarify the biological, psychological, and functional mental health effects of HIV/AIDS infection and alleviate the associated consequences. Research supported by the National Institute of Mental Health may employ theoretical, laboratory, clinical, epidemiological, and field studies. Studies may involve individuals with a mental disorder diagnosis, individuals with symptom levels that do not meet diagnostic thresholds, and healthy individuals of all ages. Research also may involve animal, computational, and mathematical models appropriate to the system being investigated and the state of the field. Areas eligible for research support are: basic and clinical neuroscience; genetics; geriatrics research; adult psychopathology; experimental therapeutics; developmental, behavioral, clinical, and epidemiological research relevant to mental disorders, behavioral disorders, and HIV/AIDS, in terms of the causes, prevention, treatment, and service delivery; basic (brain and behavior), clinical, and services research on the mental health problems of women, minorities, and rural populations; and research designed to reduce and eliminate mental health disparities both within and outside the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

(1) Research project grants provide support for clearly defined projects by a named investigator in an area representing his/her specific interests and competencies. (2) Exploratory/Development and Clinical Exploratory/Developmental Grants encourage the development of new research activities in categorical program areas; (3) Small Research Grants provide research support specifically limited in time and amount for studies in categorical program areas; (4) Collaborative Clinical Research Grants support evaluations of various methods of therapy and/or prevention; (5) Program Project and Center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; and (6) Cooperative Agreements support single or a group of related research activities with greater involvement of federal staff. Standard small grants are limited to \$50,000 direct costs for a period of 2 years or less, while other small grants are for less time and funds. SBIR and STTR grants are awarded in two stages: Phase I grants are awarded to establish the technical merit and feasibility of a proposed research and development effort; only Phase I awardees are eligible to receive Phase II support.

**Applicant Eligibility:**

Public, private, profit, or nonprofit agencies (including State and local government agencies), eligible Federal agencies, universities, colleges, hospitals, and academic or research institutions may apply for research grants. SBIR grants can be awarded only to domestic small businesses, and STTR grants can be awarded only to domestic small businesses which "partner" with a research institution in cooperative research and development. For further definitions, requirements, and restrictions see the SBIR and STTR Omnibus Solicitations of the NIH, CDC, and FDA for SBIR and STTR Grant Applications.

**Beneficiary Eligibility:**

Public, private, profit, or nonprofit organizations.

**Credentials/Documentation:**

For-profit organizations' costs will be determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For all other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Instructions for electronic submission may be found with the federal SF424 (R&R) form packages that are found in the SBIR/STTR funding opportunity announcements. Instructions are provided for SBIR Phase I and Phase II awards, respectively; as well as for STTR Phase I and Phase II awards, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Most applications must be prepared and submitted electronically. Most applicants use the SF 424 (Research & Related) for electronic submission. Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). Some institutions may submit the grant data directly (using what is called a system-to-system transfer). For further details, see [grants.gov](http://grants.gov) or eRA Commons. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the NIH Guide to Grants and Contracts and the Grants.gov sites (see URLs listed above). All SBIR and STTR applications must be submitted electronically. The timeline for transition to electronic



applications and the new forms may be found at:  
<http://era.nih.gov/ElectronicReceipt/>. For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). Consultation on a proposed project may be obtained from the NIMH branch or office responsible for the research area of interest. Applications are reviewed by principally nonfederal consultants recruited nationwide from the mental health field. The amounts of the award and period of support are determined on the basis of merit of the project and the nature of the grant mechanism. Electronic applications are submitted through the [Grants.gov](http://Grants.gov) website.

**Award Procedure:**

All applications for research grants, cooperative agreements, SBIR and STTR grants are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by the National Advisory Mental Health Council. All competitive applications compete for available funds on the basis of scientific and technical merit, program relevance, and program balance. All SBIR and STTR applications receiving a priority score compete for set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Applications: From 240 to 270 days from submission of application. SBIR/STTR applications: About 7- 1/2 months; Mental Health Education Programs and Various/Small Grants: From 5 to 6 months. AIDS-related research is determined in 180 days.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH homepage <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

Support is recommended for a specified project period, not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a new competing request. Small grants, exploratory, and dissertation grants are for 1-3 years (depending on program) and are not renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, with a project periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Generally, Phase I awards are for 6 months, and Phase II awards are for 2 years. STTR: Generally, Phase I awards are for 1 year and Phase II awards are for 2 years. Information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant for some programs. In addition, immediate and full reporting of any inventions is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of audit that will satisfy the audit requirements either: (1) a financial related audit (as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or (2) an audit that meets the requirements contained in OMB Circular No. A-133(<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

**Records:**

Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 11 \$1,053,067,000; FY 12 est \$1,073,082,000; and FY 13 est \$1,073,082,000

**Range and Average of Financial Assistance:**

\$900 to \$10,360,095; \$430,955.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 2,285 grants were awarded. Fiscal Year 2012: FY12 an estimated 2,300 grants will be awarded. Fiscal Year 2013: FY13 an estimated 2,300 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. NIH Grant Policy Statement (Revised 12/2003). Grants will be available under the authority if and administered in accordance with the PHS Grants Policy Statement and federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Applications; and Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tracy Waldeck Division of Extramural Activities  
National Institute of Mental Health  
6001 Executive Blvd  
Room 6160, Bethesda, Maryland 20892 Email: [waldeckt@mail.nih.gov](mailto:waldeckt@mail.nih.gov) Phone: (301) 443-5047 Fax: (301) 443-9474

**Website Address:**

<http://www.nimh.nih.gov>.

**RELATED PROGRAMS:**

93.281 Mental Health Research Career/Scientist Development Awards; 93.282 Mental Health National Research Service Awards for Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See RePORTer tool to examine funded research grants (<http://projectreporter.nih.gov/reporter.cfm> and <http://report.nih.gov/rcdc/categories/>). Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The following consideration will be used in determining projects to be funded: (1) Technical merit of the proposed project as determined by peer review; (2) Availability of funds; and (3) Relevance to program priorities.

**93.243 SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES\_PROJECTS OF REGIONAL AND NATIONAL**

**SIGNIFICANCE**

(PRNS)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title V, Section 509; 516, 42 U.S.C 290bb; Children's Health Act of 2000, Section 520 A-J,581,582, Public Law 106-310.

**OBJECTIVES:**

Substance Abuse and Mental Health Service Administration (SAMHSA) was reauthorized by the Children's Health Action of 2000, Public law 106-310. Under this reauthorization, SAMHSA was given the authority to address priority substance abuse treatment, prevention and mental health needs of regional and national significance through assistance (grants and cooperative agreements) to States, political subdivisions of States, Indian tribes and tribal organizations, and other public or nonprofit private entities. Under these sections, CSAT, CMHS and CSAP seek to expand the availability of effective substance abuse treatment and recovery services available to Americans to improve the lives of those affected by alcohol and drug additions, and to reduce the impact of alcohol and drug abuse on individuals, families, communities and societies and to address priority mental health needs of regional and national significance and assist children in dealing with violence and traumatic events through by funding grant and cooperative agreement projects. Grants and cooperative agreements may be for (1) knowledge and development and application projects for treatment and rehabilitation and the conduct or support of evaluations of such projects; (2) training and technical assistance; (3) targeted capacity response programs (4) systems change grants including statewide family network grants and client-oriented and consumer run self-help activities and (5) programs to foster health and development of children; (6) coordination and integration of primary care services into publicly-funded community mental health centers and other community-based behavioral health settings funded under Affordable Care Act (ACA).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will provide immediately useful, practical knowledge that service providers need as they wrestle with the rapidly changing health care environment. Refer FY2010 SAMHSA Grants Funding Opportunities at [www.samhsa.gov](http://www.samhsa.gov). 100% of grants funds under this CFDA.

**Applicant Eligibility:**

Public organizations, such as units of State and local governments and to domestic private nonprofit organizations such as community-based organizations, universities, colleges and hospitals.

**Beneficiary Eligibility:**

other non-profits.

**Credentials/Documentation:**

Applicants must provide proof of licensure, accreditation, certification, or chartering to provide substance abuse and/or mental health services or such other credential documentation as specific for a particular topical area. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants must comply with the Executive Order (E.O.) 12372 if their state(s) participates. Review process recommendations from the state Single Point of Contact (SPOC) are due no later than 60 days after application deadline. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. All applicants must use the Application for Federal Assistance SF-424 form. Application kits containing the necessary forms and instructions may be obtained by contacting: the National Clearinghouse for Alcohol and Drug Information, PO Box 2345, Rockville, MD 20847-2345. Phone: (301) 468-26000 or 1 (800) 729-6686 or the National Mental Health Services Knowledge Exchange Network at 1 (800) 789-2647.

**Award Procedure:**

Applications for grants and cooperative agreements recommended for approval by the initial review group and concurred in by the appropriate National Advisory Council and the Center Director(s) are awarded directly by the appropriate Center (CMHS, CSAP, CSAT) to the applicant organization.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. CMHS and CSAT, STOP DFC. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Applications will be accepted for a project period of 1 to 7 years with 12 month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved. See the following for information on how assistance is awarded/released: SAMHSA awards grants projects for the twelve months budget period and release at the time the award is issued.

**Reports:**

Reports are required quarterly, semi-annually, or annually depending on individual program requirements. Quarterly reports are due to the Division of Payment. See above information. The SF-425 Federal Financial Report is required by SAMHSA, Grant Management Office 120 days after the end of each 12 month period. Site Visits, Conference Calls, Program Progress Reports and GPRA Data Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year records retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1364-0-1-551 - 75-1363-0-1-551; 75-1365-0-1-551.

**Obligations:**

(Salaries) FY 11 \$680,638,160; FY 12 est \$441,126,805; and FY 13 est \$305,497,868

**Range and Average of Financial Assistance:**

\$17,692 to \$7,099,783; \$417,410.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1476 awards were made. Fiscal Year 2012: it is estimated to fund 998 awards. Fiscal Year 2013: it is estimated 559 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92 and the HHS Grant Policy Statement, OMB Cost Principles, terms and conditions of award

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Application submitted related to merit, peer review criteria scored, and generally funded in score order.

**93.247 ADVANCED NURSING EDUCATION GRANT PROGRAM**

ANE

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII , Section 811 (a)(1) of the Public Health Service Act, (42 U.S.C. 296j(a)(1)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

Grants are awarded to eligible institutions for projects that support the enhancement of advanced nursing education and practice including master's and doctoral programs, combined RN/ master's degree programs, post-nursing master's certificate programs, or in the case of nurse mid-wives, in certificate programs in existence on November 12, 1998, to serve as nurse practitioners, clinical nurse specialists, nurse-midwives, nurse anesthetists, nurse educators, nurse administrators, public health nurses, or in other nurse specialties determined by the Secretary to require advanced education.

For FY 12 the funding opportunity announcement seeks projects addressing the development and incorporation of technology (e.g., simulation, telehealth, standardized patients, etc.) into advanced nursing education and conducted within an interprofessional education (IPE) model that engages other graduate health professionals in the proposed activity.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To meet the costs of projects that support the enhancement of advanced nursing education and practice. For salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and other expenses related to the project. Restricted uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to eight percent of direct costs. Student support through stipends, tuition, and fees is not eligible for support.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, nursing centers, academic health centers, State or local governments, and other public or private nonprofit entities accredited by a national nurse education accrediting agency recognized by the Secretary of the U.S. Department of Education.

**Beneficiary Eligibility:**

Accredited schools of nursing, academic health centers and other public or private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or

certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All eligible applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations not accepted for FY2012 award cycle.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods for new applications are for 3 years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. Cash reports are not applicable. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. Awardees are required to report all federally-owned property and acquired equipment with an New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$46,796,000; FY 12 est \$38,925,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2011 range = \$106,931 to \$600,931; Average = \$286,301.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 7863 students enrolled and 1840 students graduated from ANE programs; 38% of students enrolled were of minority/disadvantaged backgrounds and 33% of graduates were of minority/disadvantaged backgrounds. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Nancy V. Douglas-Kersellius, and Serina Hunter-Thomas, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-61, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-5688.

**Headquarters Office:**

Nancy V. Douglas-Kersellius or Serina Hunter-Thomas Room 9-61, 5600 Fishers Lane, Rockville, MD 20857, Rockville, Maryland 20857 Phone: (301) 443-5688

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.513 Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Implementation of a CNS Specialty at the University of Southern Indiana, University of Southern Indiana, IN;  
Transforming Nurse Anesthesia Education: Enhancing Cultural Competency to Serve Rural, Underserved and Marginalized Communities, Louisiana State University Health Sciences Center, LA;  
Midwifery: Primary Care and Health Literacy Program Enhancement, New York University, NY. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Project purposes must be consistent with and promote the purpose identified in the Law. Need must be documented, and the capability of achieving project goals must be described. In making awards of grants under this Section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State or local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.249 PUBLIC HEALTH TRAINING CENTERS PROGRAM**

PHTC Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Sections 765 and 766 of the Public Health Service Act (42 U.S.C. 295a), as amended by P.L. 105-392 Health Professions Education Partnerships Act of 1998 and the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.

**OBJECTIVES:**

To improve the Nation's public health system by strengthening the technical, scientific, managerial and leadership competencies and capabilities of the current and future public health workforce. Emphasis is placed on developing the existing public health workforce as a foundation for improving the infrastructure of the public health system and helping achieve the Healthy People 2020 Objectives. With respect to a Public Health Training Center, applicants must agree to: (1) specifically designate a geographic area, including medically underserved populations, e.g., elderly, immigrants/refugees, disadvantaged, to be served by the Center that shall be in a location removed from the main location of the teaching facility of the school participating in the program with a Center; (2) assess the public health personnel needs of the area to be served by the Center and assist in the planning and development of training programs to meet their needs; (3) establish or strengthen field placements for students in public or nonprofit private public health agencies or organizations; and (4) involve faculty members and students in collaborative projects to enhance public health services to medically underserved communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may support salaries, stipends, consultant costs, equipment, and travel as requested to develop and implement a Public Health Training Center. Grant funds may not be used for construction, patient services or student tuition.

**Applicant Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training in public health may apply.

**Beneficiary Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). Please visit the [Grants.gov](http://Grants.gov) Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program

official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods for FY 2010 awards are up to 5 years. For new starts in FY2011 awards are up to a 4 year project period in order to realign grantee cohorts to be the same cycle for the next competition. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Financial status reports are required within 90 days after the end of each budget period. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Electronic reporting requirements can be viewed at [www.HRSA.gov](http://www.HRSA.gov).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until

the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0353-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$19,965,094; FY 12 est \$24,189,000; and FY 13 est \$14,189,000

**Range and Average of Financial Assistance:**

(FY 2011) \$129,748 to \$650,000; \$620,343.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 27 non-competing continuation and 10 competing awards were made. Fiscal Year 2012: Anticipate making 37 non-competing continuation awards. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CAPT Norma Hatot, Acting Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-C-05, 5600 Fishers Lane, Rockville, Maryland 20857 Email: [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov), Phone: (301) 443-6950

Magnus A. Azuine, PhD, MSc, MPH, CHAS, Public Health Analyst, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-C-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6529 and E-mail address at [mazuine@hrsa.gov](mailto:mazuine@hrsa.gov).

**Headquarters Office:**

CAPT Norma Hatot 5600 Fishers Lane, Room 9C-05, Rockville, Maryland 20857 Email: [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov) Phone: (301) 443-6950

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.516 Affordable Care Act (ACA) Public Health Training Centers Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See [www.publichealthtrainingcenters.org](http://www.publichealthtrainingcenters.org). Fiscal Year 2012: See [www.publichealthtrainingcenters.org](http://www.publichealthtrainingcenters.org). Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Procedures for assessing the technical merit of applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Selection criteria can be found in the program guidance at [www.grants.gov](http://www.grants.gov).

**93.250 GERIATRIC ACADEMIC CAREER AWARDS**

Geriatric Academic Career Award (GACA)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Section 753(c) of the Public Health Service Act (42 U.S.C. 294c), as amended by Section 5305(b) of the Patient Protection and Affordable Care Act,

Public Law 111-148.

**OBJECTIVES:**

The purpose of Geriatric Academic Career Award is to support the career development of physicians, nurses, social workers, psychologists, dentists, pharmacists, and allied health professionals as academic geriatric specialists by requiring them to provide training in clinical geriatrics, including the training of interdisciplinary teams of health professionals. The provision of such training shall constitute at least 75 percent of the obligations of such individual under the award. In addition, the individual must provide a documented commitment from the health professions institution where he or she has a full-time faculty appointment to spend 75 percent of his or her total time on teaching and developing skills in interdisciplinary education in geriatrics.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

As provided by Section 753(c)(5) of the authorizing legislation, an individual receiving an award under this subsection shall provide training in clinical geriatrics, including the training of interdisciplinary teams of health care professionals. The provision of such training shall constitute at least 75 percent of the obligations for individuals under this award. See above.

**Applicant Eligibility:**

1. Individuals Eligible to Receive Awards

Eligible project directors are individuals who are applying to the Health Resources and Services Administration for a Geriatric Academic Career Award through the accredited health professions school of allopathic medicine, osteopathic medicine, nursing, social work, psychology, dentistry, pharmacy, or allied health where they have a junior faculty appointment.

To be eligible to receive a GACA award, an individual must be:

- A. Board certified or board eligible in internal medicine, family practice, psychiatry, or licensed dentistry, or have completed any required training in a discipline and be employed in an accredited health professions school that is approved by the Secretary;
- B. Have completed an approved fellowship program in geriatrics or have completed specialty training in geriatrics as required by the discipline and any additional geriatrics training as required by the Secretary; and
- C. Have a junior (non-tenured) faculty appointment at an accredited school of medicine, osteopathic medicine, nursing, social work, psychology, dentistry, pharmacy, or other allied health disciplines in an accredited health professions school that is approved by the Secretary.

2. Institutions Eligible to Submit Applications on Behalf of Eligible Individuals)

Institutions eligible to receive payments and to submit applications on behalf of

individuals applying for a Geriatric Academic Career Award include accredited health professions schools of allopathic medicine, osteopathic medicine, nursing, social work, psychology, dentistry, pharmacy, or allied health.

**Beneficiary Eligibility:**

Junior faculty at an accredited health professions school of allopathic medicine, osteopathic medicine, nursing, social work, psychology, dentistry, pharmacy, or allied health.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under

E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made within 3 to 4 months after receipt of applications. This Program will not have a new competition in FY 2012.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded for a project period of up to five (5) years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$4,949,406; FY 12 est \$5,127,606; and FY 13 est \$5,127,606

**Range and Average of Financial Assistance:**

FY 2011: Each awardee received \$74,991.

FY 2012: Each awardee will receive \$77,691.

FY 2013: Est. each awardee will receive \$77,691.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Academic Year 2010-2011, the GACA Program funded 68 full-time junior faculty awardees. These awardees provided interdisciplinary training in geriatrics to 38,392 health professionals in clinical geriatrics; provided interdisciplinary team training to 6,617 clinical staff in various geriatric clinical settings; and provided geriatric services to 57,364 geriatric patients who are underserved and uninsured patients in acute care, geriatric ambulatory care, long-term care, and geriatric consultation services settings. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. CAPT Young Song, Senior Program Management Consultant, Division of Public Health and Interdisciplinary Education, Health Resources and Services Administration, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-3353.

**Headquarters Office:**

CAPT Young Song 5600 Fishers Lane, Room 9C-05, Rockville, Maryland 20857 Phone: (301) 443-3353

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

There are three (3) review criteria for the Geriatric Academic Career Award:

A. Career Development Plan:

Extent to which the applicants career goals as identified in the career development plan meet the purpose of the Geriatric Academic Career Award to develop into an academic geriatrician who emphasizes teaching geriatrics, including teaching interprofessional teams.

1. Clear acknowledgement that the applicant will uphold the special administrative procedures of the GACA Program.
2. The extent to which the applicant identifies a five-year outcome that will enhance academic clinical geriatrics and the individuals own career as an

academic geriatrician.

3. The specificity of objectives and plans for achieving the overall goal as an academic geriatrics specialist.
4. The extent to which identified objectives and specific plans are likely to lead to meeting the career goal.
5. The specific and detailed interprofessional education plan to train others health professionals in clinical geriatrics.
6. The extent to which specific plans will result in educational publication opportunities and productivity in national professional societies.
7. The extent to which specific plans will result in a) meeting the statutory service requirement (75% time pursuing the goals of the GACA), b) interacting with and learning from other clinician-educators locally and nationally, c) obtaining the necessary pedagogical skills to achieve career goals, and d) addressing HRSA's cultural and linguistic competence.
8. The quality of the applicants plan for assessing his or her own progress toward meeting career goals, including his or her effectiveness as a teacher.

B. Applicants Training and Experience:

The purpose of the GACA is to promote the career development of junior faculty as academic geriatricians. Therefore, applicants should demonstrate that they are early in their academic career as junior faculty member. The extent to which the applicants training and experience will contribute to the achievement of the goals, objectives, and plans described in the applicants Career Development Plan.

1. Length of time as a faculty member.
2. New GACA applicant who never received funding as a GACA recipient
3. Fellowship experience
4. Clinical experience
5. Teaching experience
6. Evidence of commitment to geriatrics through educational publications
7. Likelihood that after completion of the GACA training, the individual will continue as a full-time academic geriatrician whose focus is on the clinician educator role

C. Institutional Support:

The extent to which the commitment and expertise of the mentor and the commitment of the institution to provide a supportive environment for the achievement of the applicants career goals and willingness to meet reporting requirements are demonstrated in the following:

1. Expertise of the primary mentor (The mentor must be an academic geriatric specialist with a full-time faculty appointment. If the mentor is from the discipline of medicine, he or she must be board-certified. The mentor must be located at the same institution where the GACA awardee spends the majority of his/her time.)
2. Adequacy of frequency of meetings with the mentor
3. Clinical assignments and opportunities provided by the institution
4. Teaching assignments and opportunities provided by the institution
5. Protected time provided to achieve the goals of the award
6. Opportunities for leadership provided.

**93.251 UNIVERSAL NEWBORN HEARING SCREENING  
FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 399M of the PHS Act, (42 U.S.C. 280g-1), as amended by the Early Hearing Detection and Intervention Act of 2010.

**OBJECTIVES:**

This program supports state programs for reducing the loss to follow-up of infants who have not passed a physiologic newborn hearing screening examination prior to discharge from the newborn nursery. Although more than 95% of newborns are screened for hearing loss in the first few days of life, nationally about 20-40% of infants for whom further assessment is indicated

cannot be documented as having appropriate follow-up. This funding opportunity is to initiate new activities to significantly reduce this loss to follow-up. Support is also provided to one national technical resource center.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program supports state programs for reducing the loss to follow-up of infants who have not passed a physiologic newborn hearing screening examination prior to discharge from the newborn nursery. Although more than 95% of newborns are screened for hearing loss in the first few days of life, nationally about 20-40% of infants for whom further assessment is indicated cannot be documented to have appropriate follow-up. This funding opportunity is to initiate new activities to significantly reduce this loss to follow-up. Applicants should have a relationship with both the Title V programs and the Early Intervention programs.

**Applicant Eligibility:**

Grants to States and one grant to an organization that will provide technical assistance to the States.

**Beneficiary Eligibility:**

Infants/Families will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made 2 to 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 3 to 5 years. The submission of a progress report and budgetary information will be requested for each continuation year.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually, in accordance with the project period method of awarding grants. Payments are made through a Letter-of-Credit or Cash Demand System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Report. Federal Financial Report Cash Transaction Report. Refer to the funding opportunity announcement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0354-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$17,359,152; FY 12 est \$16,632,886; and FY 13 est \$16,632,886

**Range and Average of Financial Assistance:**

\$18,965 to \$1,004,685; Average award of \$244,495.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Irene Forsman, Integrated Services Branch, Division of Services for Children with Special Health Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18A-18, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-9023.

**Headquarters Office:**

Irene Forsman, 5600 Fishers Lane, Room 18A-18, Rockville, Maryland 20857  
Phone: (301) 443-9023.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The objective review of all applications includes thorough and consistent examinations of each submission by persons knowledgeable in the field for that support is requested and has no direct relationship with the organization or individual submitting the application and do not have personal or invested interest in the award of a grant to that organization or individual. Peer review is a system that uses reviewers that are the professional equals of the principal investigator or program director and will be responsible for directing or conducting the proposed project. That is a form of objective review. Reviewers may be Federal or nonfederal. Final review criteria are included in the



application kit.

### **93.253 POISON CENTER SUPPORT AND ENHANCEMENT GRANT PROGRAM**

Poison Control Centers (PCC)

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Legislative Authority: Section 1273 of the Public Health Service Act, (42 U.S.C. 300d 73 ), as amended by P. L. 110-377, the Poison Center Support, Enhancement, and Awareness Act of 2008, Public Law 110-337.

#### **OBJECTIVES:**

The objectives are (1) to support PCCs efforts to prevent and provide treatment recommendations for poisonings; (2) to comply with operational requirements needed to sustain certification and or achieve certification; and (3) to conduct an evaluation of the strategies and activities undertaken within the project application and other purposes as stated in Section 1273 (b) of Public Law 110-377.

#### **TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

#### **USES AND USE RESTRICTIONS:**

Assistance provided under this program may be used to support PCCs efforts to prevent and provide treatment recommendations for poisonings and to conduct an evaluation of the strategies and activities undertaken within the project application; support accreditation efforts of unaccredited centers in order to improve access to poison education, prevention, and treatment services.

#### **Applicant Eligibility:**

U.S. accredited Poison Control Centers. Unaccredited centers are eligible for a grant waiver if such centers can reasonably demonstrate that they will obtain such accreditation within a reasonable period of time.

#### **Beneficiary Eligibility:**

Residents of the 50 United States, Puerto Rico, the District of Columbia, the U.S. Virgin Islands, Guam, American Samoa, and the Federated States of Micronesia.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package including documentation of maintenance of effort. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions

#### **Award Procedure:**

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Final decisions will be made 2 to 3 months after receipt of applications.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewals will be determined by the Associate Administrator for the Healthcare Systems Bureau and extensions are requested in writing addressed to the Grants Management Specialist.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

Refer to the funding opportunities announcement. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web-based payment system for HHS awards.

#### **Reports:**

A final report is required. No cash reports are required. Progress reports are requested as the need arises. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Salaries) FY 11 \$20,109,034; FY 12 est \$17,004,886; and FY 13 est \$17,004,886

#### **Range and Average of Financial Assistance:**

Range: \$12,466 to \$2,013,160.

Average: \$320,846.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### **Regional or Local Office:**

See Regional Agency Offices. Poison Control Program - Healthcare Systems Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 10-77, 5600 Fishers Lane, Rockville, Maryland 20857. Telephone: (301) 594-4394.

#### **Headquarters Office:**

Poison Control Program, 5600 Fishers Lane, Room 10-77, Rockville, Maryland 20857 Phone: (301) 594-4394

#### **Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Completeness and clarity of the project narrative; practicality and achievability of the plan to use requested grant funds to increase access to services; clarity and appropriateness of the budget and coordinated budget narrative; strength and adequacy of professional staff and subcontractors; clarity and strength of methodology; and strength of letters of support for any collaborative efforts.

**93.254 INFANT ADOPTION AWARENESS TRAINING**

(IAATP)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Children's Health Act of 2000, Title XII, Subtitle A and B, Section 330F and Section 330G, Public Law 106-310.

**OBJECTIVES:**

To develop and implement programs to train designated staff of eligible health centers in providing adoption information and referrals to pregnant women on an equal basis with all other courses of action included in non-directive counseling to pregnant women.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used to plan and implement: (1) approved programs directly or through grants or cooperative agreements with other adoption organizations; (2) a training curriculum, consistent with best practice guidelines; (3) reimbursement to eligible health centers for all costs in obtaining the training. Project funds may not be used for construction.

**Applicant Eligibility:**

Nonprofit private national, regional, or local organizations among whose primary purposes are adoption and are knowledgeable in all elements of the adoption process, e.g., types of adoptions, relevant State and local laws regarding relinquishment procedures and putative father involvement and medical and financial resources for birth mothers, and on providing adoption information and referrals to pregnant women.

**Beneficiary Eligibility:**

Private nonprofit organizations, health professionals, health staff of Federally funded voluntary family planning projects supported under Section 1001 of the Public Health Service Act, staff of community health centers, migrant health centers, and centers providing services to homeless individuals and centers providing services to residents of public housing supported under Section 330 of the Public Health Service Act. PHS-funded school health centers, and public health clinics, or any health professional providing option counseling to pregnant women.

**Credentials/Documentation:**

Demonstration of 501(c)(3) status or status pending with the IRS. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application procedures can be obtained via the World Wide Web at <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Review is conducted by at least three nonfederal professionals. Final funding decisions will be made by Commissioner, ACYF.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Application deadlines can be obtained via the World Wide Web at <http://www.acf.hhs.gov/grants/index.html>.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

One to Five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Recipients will be required to submit programmatic performance reports semi-annually. PSC-272. Progress reports are not applicable. Recipients will be required to submit financial expenditure reports semi-annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of 3 years from the date of submission of the final expenditure report.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 09: \$738,293 to \$4,318,130 with an average of \$1,514,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Matthew McGuire Administration on Children, Youth and Families, Children's Bureau; 1250 Maryland Avenue, SW; 8th Floor., Washington, District of Columbia 20024 Email: [matthew.mcguire@acf.hhs.gov](mailto:matthew.mcguire@acf.hhs.gov) Phone: (202) 205-7270 Fax: (202) 260-9345.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of any application will be based on an analysis of the following factors: (1) The administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; (2) the extent of responsiveness to the project requirements, guidelines, and application requirements; and (3) the potential effectiveness of the proposed project in carrying out the training purposes of Section 330F of the Children's Health Act of 2000. Under Part B of the Health Act, approval of any application will be based on an analysis of the following factors: the administrative and management capability of the applicant to carry out the proposed project in a cost-effective manner; the extent of responsibility to the project requirements, guidelines, and application requirements; and the potential effectiveness of the proposed project in carrying out the purposes of Part B of The Children's Health Act.

### **93.255 CHILDREN'S HOSPITALS GRADUATE MEDICAL EDUCATION PAYMENT**

CHGME Payment Program

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 340E of the Public Health Service Act (42 U.S.C. 256e), as amended by the Children's Hospital GME Support Reauthorization Act of 2006.

#### **OBJECTIVES:**

The Children's Hospitals Graduate Medical Education (CHGME) Payment Program provides funds to children's teaching hospitals to support the training of pediatric and other residents in graduate medical education (GME) programs. Federal funding for graduate medical education (GME) is extensively provided by the Centers for Medicare and Medicaid Services (CMS). Prior to the enactment of the CHGME Payment Program, children's teaching hospitals received a disproportionately low amount of this Federal funding when compared to teaching hospitals that serve adult patients. The purpose of the CHGME Payment Program is to compensate for the disparity in the level of Federal funding for pediatric teaching hospitals versus other types of teaching hospitals. The CHGME Payment Program is administered by the Bureau of Health Professions (BHP), Health Resources and Services Administration (HRSA), Department of Health and Human Services (DHHS).

#### **TYPES OF ASSISTANCE:**

Formula Grants

#### **USES AND USE RESTRICTIONS:**

Funds are restricted to eligible children's hospitals for direct expenses and the other indirect expenses associated with operating approved graduate medical residency programs.

#### **Applicant Eligibility:**

Applicants (children's teaching hospitals) must meet the following eligibility requirements in accordance with the Federal Register Notice, Vol. 66, No. 41 published on March 1, 2001: (1) Participate in an approved graduate medical education program; (2) have a Medicare provider agreement as defined by section 340E(g)(2) of the PHS Act; (3) be excluded from the Medicare Inpatient Prospective Payment System (PPS) under Section 1886(d)(1)(B)(iii), of the Social Security Act and its accompanying regulations; and (4) be a "freestanding" children's hospital.

#### **Beneficiary Eligibility:**

Any public or private nonprofit and profit children's teaching hospital with an accredited residency training program which meets all eligibility requirements may apply.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA will use a two-tier submission process for the CHGME applications via Grants.gov and the HRSA's EHBs.

Please note that applicants can only begin Phase 2 in HRSA's EHBs after Phase 1 in Grants.gov has been completed by the applicable due date and HRSA has assigned the application a tracking number.

All qualified applications are reviewed by HRSA Staff. The CHGME Payment Program statute requires a yearly assessment of the full-time resident counts reported by children's hospitals. Fiscal intermediaries working under contract to HRSA assess those reported counts. Final grant payment determinations are based on the final audited numbers.

#### **Award Procedure:**

Notification is made in writing by a Notice of Award (NOA).

Section 340E(a) requires the Secretary of DHHS to make payments for direct and indirect expenses associated with operating approved graduate medical residency training programs for each fiscal year. The two statutory formulas (direct medical education and indirect medical education) outline payments to eligible children's teaching hospitals.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

Hospitals can appeal the determination of FTE resident counts by CHGME fiscal intermediaries to the Provider Reimbursement Review Board (PRRB) under section 1878 of the Social Security Act.

#### **Renewals:**

Eligible children's hospitals must complete a CHGME Payment Program application for inclusion in the program for each fiscal year that they are applying for funds. They must also submit a reconciliation application that will reflect the Secretary's determination of the Final FTE resident counts carried out by CHGME fiscal intermediaries led by a contractor. The contractor is under contract to the Bureau of Health Professions (BHP) to conduct the assessments of resident counts reported by children's hospitals on their initial applications for funds.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

In accordance with the Healthcare Research and Quality Act, 1999, Public Law 106-129, the Secretary of DHHS shall determine the number of resident FTE counts before the beginning of each fiscal year that payments are made for a hospital. The amounts of the payments for direct and indirect medical education are made to each hospital in 12 equal interim installments during the Federal fiscal year. The Children's Health Act, Public Law 106-310, amends the length of the CHGME Payment Program through fiscal year 2005. Public Law 109-307 re-authorizes the program, through fiscal year 2011. See the following for information on how assistance is awarded/released: Both interim payments (prior to audits) and final payments are computed using a zero sum gain payment model. The calculations of both direct and indirect graduate medical education payments are formula based. Once payments are determined, grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

Public Law 109-307 requires children's hospitals receiving CHGME payments

to submit an annual report that focuses on their GME training programs. The Department is required to submit a report to Congress by 2011. Furthermore, the childrens hospitals comply with the Government Performance Result Act (GPRA) and submit performance data each fiscal year as part of their reconciliation applications for funds. No cash reports are required. No progress reports are required. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. DHHS, or any other authorized Federal agency, may conduct an audit to determine whether the applicant has complied with all governing laws and regulations in its application for funding. Any and all information submitted to DHHS by an applicant or participating hospital during or after the award of funds is subject to review in an audit. Eligible hospitals are subjected to the terms of the Full-Time Equivalent Assessment Process Guidance and Assessments which is available electronically via CHGME Payment Program web site noted in Application Procedure above.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$268,000,000; FY 12 est \$265,000,000; and FY 13 est \$88,000,000

**Range and Average of Financial Assistance:**

\$24,476 to \$17,706,486 ; \$3,819,347 in combined DME and IME payments.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Healthcare Research and Quality Act, 1999 (Public Law 106-129), Section 340E of the Public Health Service Act; The Children's Health Act, 2000 (Public Law 106-310, Title XX); Public Law 108-490; Public Law 109-307; Social Security Act, Section 1886, 42 CFR 412.105; 42 CFR 413.86; FRN Vol. 65, No. 118 published on June 19, 2000; FRN Vol. 66, No. 41 published on March 1, 2001; and FRN Vol. 66, No. 140 published on July 20, 2001, and FRN Vol. 68, No. 204, published on October 22, 2003.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Ayah E. Johnson, Branch Chief, Children Hospitals Graduate Medical Education Training Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Rockville, MD 20857, Telephone: (301) 443-6190, E-mail: [AJohnson@hrsa.gov](mailto:AJohnson@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry 5600 Fishers Lane, Room 9-A27, Rockville, Maryland 20857 Phone: (301) 443-6190 Fax: (301) 443-8890

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov); <http://www.bhpr.hrsa.gov/childrenshospitalgme>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Children's teaching hospitals must meet all of the eligibility criteria before being considered for program funds and must be training residents during the year for which they are applying for funding. This is a formula-based grant payment program. Application review is conducted at HRSA and an independent assessment of residents count is conducted by fiscal intermediaries.

**93.256 STATE HEALTH ACCESS PROGRAM (SHAP)**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 301 of the Public Health Service Act, as amended (42 U.S.C. 241(a)); Public Law 111-8.

**OBJECTIVES:**

The purpose of the State Health Access Program is to support States that demonstrate they are ready to implement a program design which provides the uninsured with access to health insurance. The overarching program goal is to provide support to States to implement program designs already developed which provide access to affordable health care coverage to all or a segment of the uninsured citizens in a State.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The purpose of the State Health Access Program (SHAP) is to support States that are ready to implement a program design to provide the uninsured with access to affordable health care coverage. Eligible States will be required to demonstrate that they have achieved the key State and local statutory or regulatory changes required to implement the new program within twelve months of the grant start date. The types of activities that can be supported through this grant can be widely varied, including but not limited to: three share community coverage (employer, State or local government, and the individual); reinsurance plans that subsidize a certain share of carrier losses within a certain risk corridor; subsidized high risk insurance pools; health insurance premium assistance; creation of a State insurance connector authority to develop new, less expensive, portable benefit packages for small employers and part-time and seasonal workers; development of statewide or automated enrollment systems for public assistance programs; health savings accounts; and innovative strategies to insure low-income childless adults. States may choose to implement one activity or a combination of activities. Other innovative programs that expand insurance to a targeted or comprehensive uninsured population will also be considered.

The majority of awarded funds are to be spent directly on implementation activities to start up program operations that are important to the implementation of the health care coverage program. Examples could include funding the administration of a connector model, designing or expanding a management information system to enhance enrollment capacities, development and dissemination of outreach and enrollment materials, development of a comprehensive website which facilitates education of and enrollment into the program, or to pay the start up costs of providing premium subsidies to those eligible for the program.

The intention behind the funding of these types of activities is to demonstrate how a state can significantly increase the States health care coverage under an expansion program. For example, the funded activity may result in an important increase in enrollment or a measurable improvement in progress toward attracting hard to reach target populations. Thus, an evaluation plan must be included in the application which describes the evaluation design and data collection methods to be used.

Two types of State grants are available under this program: 1) targeted grants of \$2-4 million a year for a 5 year grant period for States focusing health coverage initiatives on a limited sub population(s); and 2) grants of \$7-10 million a year for a 5 year grant period for States planning more comprehensive coverage

initiatives .

**Applicant Eligibility:**

States and US Territories and Possessions.

Eligible applicants are any public State entity designated by the Governor of that State. The Governor must be the requestor of the grant and only one entity per State is permitted to apply. For purposes of this grant program, the term State refers to any of the 50 States, the District of Columbia, Guam, the Commonwealth of Puerto Rico, the Northern Mariana Islands, the Virgin Islands, American Samoa, and the Trust Territory of the Pacific Islands.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

A letter signed by an authorized individual on behalf of the lead State agency or organization designated by the Governor must be included. The letter should indicate the potential grants principal contact person, the amount of funding requested, and the names of all agencies and organizations participating in the proposed program. The project must be directed by a component of State government.

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Each of the applications will undergo an eligibility and conformance review by Federal staff at the State Health Access Program Office. Applications that meet the eligibility and conformance review criteria will be assigned to members of an Objective Review Committee (ORC) that will review them based on the evaluation criteria listed in the application guidance. The results of the ORC reviews will be shared with the Associate Administrator, Healthcare Systems Bureau, who will make the final decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The time required for the applications to be approved or disapproved is projected to be 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Applicants responding to this announcement may request funding for a project period of up to five (5) years. Renewals will be determined by the Associate Administrator, Healthcare Systems Bureau. Extensions must be requested in writing addressed to the Grants Management Specialist.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. States shall be required to demonstrate their seriousness of intent by matching twenty (20) percent of the Federal grant through non-Federal resources, which could be a combination of

State, local, and private dollars from insurers, providers, and other private organizations. Waiver of the matching requirement shall be possible if financial hardship is demonstrated. Evidence of financial hardship should be strongly supported through a letter from the States Budget or fiscal Officer with thorough justification provided. In addition, States are required to demonstrate their ability to financially sustain the health care coverage program without Federal grant funding after the five-year grant period. . MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are available to grantees on an as needed basis throughout the budget period and payments are made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Successful applicants must comply with the administrative requirements outlined in 45 CFR Part 74 (non-governmental) or 45 CFR Part 92 (governmental), as appropriate. Reports are to be provided as outlined in the grant conditions. Reports are to be provided as outlined in the grant conditions. Reports are to be provided as outlined in the grant conditions. Reports are to be provided as outlined in the grant conditions.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range - \$2,000,000-\$10,000,000.  
Average Award - 5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Michelle Herzog, Director, State Health Access Program, Healthcare Systems Bureau, Health Resources and Service Administration, Room 10C-03, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0650. Fax: (301) 443-1221. Email: [mherzog@hrsa.gov](mailto:mherzog@hrsa.gov).

**Headquarters Office:**

Michelle Herzog 5600 Fishers Lane, Room 10C-03., Rockville, Maryland

20857 Phone: (301) 443-0650

**Website Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Please see program guidance.

**93.257 GRANTS FOR EDUCATION, PREVENTION, AND EARLY DETECTION OF RADIOGENIC CANCERS AND DISEASES**

Radiation Exposure Screening and Education Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 417C of the Public Health Service Act, 42 U.S.C. 285a-9, as amended by the Radiation Exposure Compensation Act Amendments of 2000 (P. L. 106-245).

**OBJECTIVES:**

To award grants for the purpose of enabling grantees to carry out programs for: (1) screening individuals described under section 4 (a)(1)(A)(i) or 5(a)(1)(A) of the Radiation Exposure Compensation Act (42 U.S.C. 2210 note) for cancer as a preventative health measure; (2) providing appropriate referrals for medical treatment of individuals screened under paragraph (1) and to ensure, to the extent practicable, the provision of appropriate follow-up services; (3) developing and disseminating public information and education programs for the detection, prevention, and treatment of radiogenic cancers and diseases; and facilitating applicants in the documentation of claims as described in section 5(a) of the Radiation Exposure Compensation Act (41 U.S.C. 2210 note).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to organizations that develop new or expand existing capacity to provide screening, referrals for medical treatment, education, and eligibility assistance for eligible individuals. Restrictions on the Use of Grant Funds: (1) grant funds may not be used to pay for inpatient services; (2) grant funds may not be used to make cash payments to intended recipients of primary health care services or specialty care; (3) grant funds may not be used to supplant other provider/third party coverage payments available to the patient; (4) grant funds may not be used to purchase or improve real property (other than minor remodeling of existing improvements to real property) or to purchase major medical equipment without the approval of the HRSA Grants Management Office; and, (5) not more than 10 percent of any grantee's funds shall be used for legal services to assist users in obtaining benefits under the Radiation Exposure Compensation Program.

**Applicant Eligibility:**

The following entities, (located within the approved States of Arizona, Colorado, Idaho, Nevada, New Mexico, North Dakota, Oregon, South Dakota, Texas, Utah, Washington or Wyoming) are eligible to apply for the funds: (1) National Cancer Institute-designated cancer centers; (2) Department of Veterans Affairs hospitals or medical centers; (3) Federally Qualified Health Centers; (3) agencies of any State or local government that currently provide direct health care services; (4) IHS health care facilities, including programs provided through tribal contracts, compacts, grants, or cooperative agreements with the IHS and which are determined appropriate to raising the health status of Indians; and (5) nonprofit organizations.

**Beneficiary Eligibility:**

For purposes of the RESEP, individuals eligible for health screening, education, medical referral, and appropriate follow-up services include an individual who either: (1) was employed in a uranium mine or uranium mill (including any individual who was employed in the transport of uranium ore or

vanadium-uranium ore from such mine or mill) located in Colorado, Nevada, New Mexico, Arizona, Wyoming, South Dakota, Washington, Utah, Idaho, North Dakota, Oregon, and Texas at any time during the period beginning on January 1, 1942, and ending on December 31, 1971; (2) was a miller or ore transporter who worked for at least 1 year during the period beginning on January 1, 1942, and ending on December 31, 1971; (3) was physically present in the nuclear arms testing area (which includes, in the State of Utah, the counties of Beaver, Garfield, Iron, Kane, Millard, Piute, San Juan, Sevier, Washington, and Wayne; in the State of Nevada, the counties of Eureka, Lander, Lincoln, Nye, White Pine, and that portion of Clark County that consists of townships 13 through 16 at ranges 63 through 71; and in the State of Arizona, the counties of Apache, Coconino, Gila, Navajo, and Yavapai) for a period of at least 2 years during the period beginning on January 21, 1951, and ending on October 31, 1958; (4) was physically present in the nuclear arms testing area, cited in 3. above, for the period beginning on June 30, 1962, and ending on July 31, 1962, or (5) participated onsite in a nuclear arms test involving the atmospheric detonation of a nuclear device, in either the area described in 3. above or within the official boundaries of the Pacific, Trinity, or South Atlantic Test Sites.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at www.grants.gov to both find and apply for all Federal grant opportunities. All applicants are required to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Radiation Exposure Screening and Education Program (RESEP) awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. After funds are issued, funds are released in accordance with payment procedures of DHHS, which may be an Electronic

Transfer System or monthly cash request system. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit an annual report that describes the utilization costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. No cash reports are required. An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. Final progress reports are due 90 days after the end of a project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$1,952,000; and FY 13 est \$1,952,000

**Range and Average of Financial Assistance:**

\$160,213 to \$205,738.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Vanessa Hooker, [vhooker@hrsa.gov](mailto:vhooker@hrsa.gov); 301-594-5105. The Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 5A-55, Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Vanessa Hooker 5600 Fishers Lane, Room 5A-55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

<http://www.hrsa.gov/ruralhealth/about/community/resegrant.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Need and Readiness -- the extent to which the applicant can demonstrate a need for these services in their area and their readiness to provide them; (2) administration -- the extent to which the applicant demonstrates that it has the administrative experience and capacity to successfully implement this program; (3) health care services -- the extent to which the applicant has the capacity to provide or arrange for the required services; (4) collaborative arrangements -- the extent to which the applicant has developed and documented collaborative arrangements with other local providers to conduct outreach, provide services and make referrals; and, (5) appropriateness of budget -- the extent to which the applicant's budget for the scope of the proposed activities.

**93.259 RURAL ACCESS TO EMERGENCY DEVICES GRANT**

RAED

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Improvement Act Title IV Cardiac Arrest Survival, Subtitle B Rural Access to Emergency Devices, Section 413, Public Law 106-505 (42 U.S.C. 254c); Section 313 of the Public Health Service Act, (42 U.S.C. 245); P.L. 107-188 and P.L. 111-8, Section 4.

**OBJECTIVES:**

The purpose of the Rural Access to Emergency Devices (RAED) Grant Program is to (1) purchase automated external defibrillators (AEDs) that have been approved, or cleared for marketing, by the Food and Drug Administration; (2) provide defibrillator and basic life support training in automated external defibrillator usage through the American Heart Association, the American Red Cross, or other nationally recognized training courses, and (3) place the AEDs in rural communities with local organizations.

The Public Access Defibrillation Demonstration Project (PADDP) grant program supports innovative, comprehensive, community-based public access defibrillation demonstration projects that: (1) provide cardiopulmonary resuscitation and automated external defibrillation to cardiac arrest victims in unique settings; (2) provide training to community members in cardiopulmonary resuscitation and automated external defibrillation; and (3) maximize community access to automated external defibrillators (AED).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for the purposes outlined in the approved projects.

**Applicant Eligibility:**

RAED program: Awards will be made to community partnerships for purchase, placement and training for AEDs in eligible rural areas. These partnerships are defined as a consortium of first responders (e.g., EMS, law enforcement and fire departments) and local for-profit and nonprofit entities that may include but are not limited to, long-term care facilities, rural health clinics, community health centers, post offices, libraries and other civic centers, athletic facilities, senior citizen and day care facilities, faith-based organizations and schools without AEDs. An applicant must be part of a statewide, regional or multi-county consortium or rural community organization applying as a community partnership. In addition to eligible rural areas in the 50 States, applicants or members of the partnership can be located in the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Territories of the Virgin Islands, Guam, American Samoa, and the Compact Free Association Jurisdictions of the Republic of the Marshall Islands, the Republic of Palau and the Federated States of Micronesia.

PADDP program: An applicant must be a political subdivision of a State, a federally recognized Native American Tribe, or a Tribal organization.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity

announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six months.

**Appeals:**

Not Applicable.

**Renewals:**

Awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. A final program report will be submitted to the Secretary, DHHS via ORHP within 90 days after the close of the budget period. This report will include a retrospective review of how the AED(s) affected response times, pre-hospital mortality rates, etc. No cash reports are required. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. No expenditure reports are required. A Performance Improvement Measurement System Report will be due by August 30, 2011.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until

the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$248,000; FY 12 est \$774,826; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$46,408 to \$103,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. RAED Program Contact: Michele Pray, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 5A 05, Rockville, MD 20857. Telephone: (301) 443-7320.

PADDP Program Contact: Michele Pray Gibson, Office of Rural Health Policy, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 5A 05, Rockville, MD 20857. Telephone: (301) 443-7320.

**Headquarters Office:**

Office of Rural Health Policy, 5600 Fishers Lane, Room 5A 05, Rockville, Maryland 20857 Phone: (301) 443-0835.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov) .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For additional information, refer to the specific funding opportunities announcement.

**93.260 FAMILY PLANNING PERSONNEL TRAINING**

FP Training.

**FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

**AUTHORIZATION:**

Title X of the PHS Act, 42 U.S.C. 300 et seq, 42 U.S.C 300 et seq.

**OBJECTIVES:**

To provide job specific training for personnel to improve the delivery of family planning services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to provide training to Title X project staffs; to improve utilization and career development of paraprofessional and paramedical manpower in family planning services, particularly in rural areas. Funds may not be used in programs where abortion is a method of family planning. Regulations and Program Guidelines: The regulations set out at 42 CFR part 59, subpart C, govern grants to provide training for family planning service providers. Prospective applicants should refer to the regulations in their entirety. Training provided must be consistent with the requirements for



providing family planning services under Title X. These requirements can be found in the Title X statute, the implementing regulations (42 CFR part 59, subpart A), and the Program Guidelines for Project Grants for Family Planning Services (Program Guidelines) (January 2001). In addition, any training regarding sterilization of clients as part of the Title X program should be consistent with 42 CFR part 50, subpart B (Sterilization of Persons in Federally Assisted Family Planning Projects). Copies of the Title X statute, applicable regulations, and Program Guidelines can be obtained by contacting the OPHS Office of Grants Management, or may be downloaded from the Office of Population Affairs (OPA) web site at <http://www.hhs.gov/opa>, and are provided in the application kit for this announcement.

**Applicant Eligibility:**

Any public entity (including city, county, local, regional, or State government) or nonprofit private entity located in a State (including the District of Columbia, Puerto Rico, the Commonwealth of the Northern Mariana Islands, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of the Marshall Islands and the Republic of Palau) is eligible to apply for a grant under this program. Faith based organizations are eligible to apply.

**Beneficiary Eligibility:**

Personnel delivering family planning services in Title X projects.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allow ability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for state and local governments, and OMB Circular No. A-122 for non-profit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application kits may be requested by contacting the Office of Public Health and Science (OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852. All grant opportunities are posted on [www.grants.gov](http://www.grants.gov)

**Award Procedure:**

The Regional Health Administrator, DHHS, makes the final decision(s) to approve, hold, or reject individual applications. Applicants are notified regarding the final decision on each application. All projects funded are issued a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 90 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Projects are renewed, as required, based on submission of an application including a progress report and evidence of plan compliance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are generally approved for a project period of 3-5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$8,168,524; FY 12 est \$6,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$1.0 MIL TO \$2.0 MIL.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Each of the ten (10) HHS regional offices conducts general training programs to ensure all levels of personnel working in Title X family planning services projects have knowledge, skills and abilities necessary for effective delivery of quality family planning services. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

See Regional Agency Offices. Regional Health Administrator, DHHS Regional Offices. (See Appendix IV of the Catalog for addresses.).

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8822.

**Website Address:**

<http://www.opa.osophs.dhhs.gov> .

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.974 Family Planning\_Service Delivery Improvement Research Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be evaluated to determine which would best promote the purposes of the authorizing legislation, taking into account: (1) The increase in delivery of services to people, particularly low-income groups, with a high percentage of unmet need for family planning services; (2) the promise of the program to fulfill the family planning services needs of the area to be served; (3) capacity to use assistance rapidly and effectively; (4) the administrative and

management capability and competence of the applicant; (5) competence of the project staff; and (6) compliance with pertinent regulations and guidelines.

### **93.262 OCCUPATIONAL SAFETY AND HEALTH PROGRAM**

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Federal Mine Safety and Health Act, Section 501(a), 30 U.S.C 1(NOTE) & 951(a); Occupational Safety and Health Act of 1970, Section 20(a) and 21(a), 29 U.S.C 669(a) & 670(a); Public Health Service Act, Section 301(a) and 405, 42 U.S.C 241 and 284; Executive Order Federal Regulations 42 CFR 52 and 45, Part 74 and 92.

#### **OBJECTIVES:**

To (1) recognize new hazards; (2) define the magnitude of the problem; (3) follow trends in incidence; (4) target exceptional hazardous workplaces for intervention; and (5) evaluate the effectiveness of prevention efforts. The goal of this program is to increase worker safety and health. To develop specialized professional and paraprofessional personnel in the occupational safety and health field with training in occupational medicine, occupational health nursing, industrial hygiene, occupational safety, and other priority training areas. To perform medical monitoring and treatment for World Trade Center Responders and non-Responders and to create a Registry of affected workers.

#### **TYPES OF ASSISTANCE:**

Project Grants; Training

#### **USES AND USE RESTRICTIONS:**

Research grants and cooperative agreements are intended to support the direct costs of a project, in accordance with an approved budget, plus an appropriate amount for indirect costs. Training grants: Funds may be used for long term training programs and/or education and research centers. Support is provided for the direct costs of the program, plus certain indirect costs determined by Public Health Service policy on training programs. Amounts of stipends and other details are in accordance with Public Health Service policy. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support.

#### **Applicant Eligibility:**

Eligible applicants include for-profit or non-profit organizations, public or private institutions, such as universities, colleges, hospitals, and laboratories, units of State and local governments, eligible agencies of the Federal government, domestic or foreign institutions/organizations, faith-based organizations, Indian Tribes, Tribal Government, College and/or Organizations. Racial/ethnic minority individuals, women, and persons with disabilities are encouraged to apply as Principal Investigators. Training Grants: Any public or private educational institution or agency that has demonstrated competency in occupational safety and health training at the technical, professional, or graduate level may apply. Trainees must be admissible to the grantee institution and must be enrolled in occupational safety and health training programs. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). For SBIR grants primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions.

#### **Beneficiary Eligibility:**

Research institutions and agencies as well as workers affected by occupational hazards.

#### **Credentials/Documentation:**

Applications must be signed by appropriate officials of the submitting institution. For-profit organizations' costs are determined in accordance with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR Part 74, Subpart Q. For

SBIR grants applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are prepared and submitted following instructions provided in Funding Opportunity Announcements (FOAs). NIOSH publishes FOAs at <http://www.Grants.gov>, and in the NIH Guide for Grants and Contracts at <http://grants1.nih.gov/grants/guide/index.html>. Grants.gov is the portal for applications. Appropriate forms are specified in each FOA. Research and training programs utilize either the SF-424 R&R for electronic submission or the PHS 398 application form and instructions which are available on the Internet at: <http://grants1.nih.gov/grants/forms.htm>.

#### **Award Procedure:**

Awards are made on the basis of a two-step review of an investigator-prepared application. Applications are initially reviewed for scientific and technical merit by a scientific peer review group. The second level of review is performed by the NIOSH Secondary Review Committee for program relevance. Final approval of funding recommendations is made by the Director, NIOSH.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days. Research Grants and Awards: 7-9 months. Training Grants: 9-10 months. SBIR: 7-8 months.

#### **Appeals:**

From 120 to 180 days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff in the NIOSH Office of Extramural Programs.

#### **Renewals:**

> 180 Days. Support is recommended for a specified project period, usually not in excess of 5 years. Prior to the end of a project period, the grantee may apply for renewal of support for a new project period. Applications for renewal (competing continuation, Type 2) will be reviewed in the same manner as a new application and will compete for available funds with other applications.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Research and Training Grants and Cooperative Agreements may be awarded for project periods ranging from one to five years depending on the recommendations of the scientific review group and the Secondary Review Committee, and on demonstration of successful performance and the availability of funds. SBIR Grants: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Notice of Grant Award.

#### **Reports:**

Terminal progress report (including citations of all resulting publications) within 90 days after end of project support. Cash reports are not applicable. Interim progress reports (including citations of all resulting publications) annually as part of a non-competing continuation application for previously recommended support. Annual financial status report within 90 days after the conclusion of each budget period. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, including documents to support entries on accounting records and to substantiate charges to each grant, must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for three years after the end of each budget period. If questions still remain, such as those raised as a result of an audit, related records should be retained until the matter is completely resolved.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$93,217,508; FY 12 est \$93,400,000; and FY 13 est \$50,500,000 - Occupational Safety and Health Program.

**Range and Average of Financial Assistance:**

General Grants and Cooperative Agreements: \$15,000 to \$4,924,000. Training Grants: \$29,000 to \$1,770,000. SBIR Grants: Phase I - up to \$150,000; Phase II - up to \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The number of awards made in FY2011 was 215. Fiscal Year 2012: The estimated number of awards for FY2012 is 175. Fiscal Year 2013: The estimated number of awards for FY2012 is 175.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Parts 86 and 87. 45 CFR Part 74 or 92, as applicable. OMB Circulars A-21 and A-87. The PHS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period, and the NIH Grants Policy Statement. Funding opportunity announcements as published in the NIH Guide: (<http://grants1.nih.gov/grants/guide/index.html>), the Grants.gov website ([www.grants.gov](http://www.grants.gov)), and the NIOSH OEP web site (<http://www.cdc.gov/niosh/oepp/>). Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Any additional grant program legislation and regulation cited in the Notice of Grant Award.

**Regional or Local Office:**

None. Program Contact: Office of Extramural Programs, National Institute for Occupational Safety and Health, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 1600 Clifton Road, NE., MS-E74, Atlanta, GA 30333. Telephone: (404) 498-2530. Grants Management Contact: Mr. Larry Guess, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Acquisition and Assistance Branch, Centers for Disease Control and Prevention, Department of Health and Human Services, 626 Cochran Mill Road, PO Box 18070, Pittsburgh, PA 15236. Telephone: (412) 386-6826.

**Headquarters Office:**

Stephanie L. Shack, 1600 Clifton Rd., NE, Cubicle 4201.23, Mailstop E-74, Atlanta, Georgia 30333 Email: [SShack@cdc.gov](mailto:SShack@cdc.gov) Phone: (404) 498-2530.

**Website Address:**

<http://www.cdc.gov/niosh/oepp/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue

the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to stated program objectives. Training Grants: Criteria used in evaluating training proposals include: (1) Overall potential contribution of the project toward meeting program objectives; (2) the need for training in the areas outlined in the application; (3) curriculum content and design; (4) previous record of training; (5) evaluation methods; (6) experience and training of the project director and staff; (7) institutional commitment; (8) academic and physical environment; (9) past performance; and (10) appropriateness of budget. The following criteria will be used in considering the scientific and technical merit of SBIR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.264 NURSE FACULTY LOAN PROGRAM (NFLP)**

NFLP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII of the Public Health Service Act, Section 846A (42 U.S.C. 297n-1), as amended by the Patient Protection and Affordable Care Act, Public Law 111-148, Section 5311.

**OBJECTIVES:**

To increase the number of qualified nursing faculty. Schools of Nursing that receive NFLP funding must provide loans to students enrolled in eligible advanced degree nursing programs (masters or doctoral) with an education component(s) that will prepare the student to teach. NFLP loan recipients complete the education program, and following graduation, may cancel up to 85% of the NFLP loan while serving as full-time nurse faculty at an accredited school of nursing.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The school must establish an NFLP loan fund for the purpose of making NFLP loans to eligible students enrolled in advanced degree nursing programs to become faculty and for the costs associated with collection of these loans.

Institutions may award a maximum loan amount of \$35,500 per student for an academic year to support the cost of tuition, fees, books, and other reasonable education expenses, not to exceed five years of NFLP loan support. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time faculty employment in an accredited school of nursing, 20 percent of the principal and interest of the unpaid loan shall be cancelled for each year; upon completion of the fourth year of full-time employment as faculty in an accredited school of nursing, 25 percent of the principal and interest of the unpaid loan shall be cancelled for the fourth year. The school will

establish an NFLP fund to be used only for making NFLP loans to eligible students and for the costs associated with collection of these loans.

**Applicant Eligibility:**

Eligible applicants are accredited public or private collegiate schools of nursing that offer advanced degree nursing education programs (master's or doctoral) to that prepare advanced degree nursing students to serve as nurse faculty.

The school must be located in the 50 States, the Commonwealth of Puerto Rico, the District of Columbia, the Commonwealth of the Northern Mariana Islands, Guam, American Samoa, the Virgin Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

**Beneficiary Eligibility:**

Eligible nursing students must: (1) be a citizen or national of the United States, or a lawful permanent resident of the United States, the Commonwealth of Puerto Rico, the District of Columbia, the Commonwealth of the Northern Mariana Islands, Guam, American Samoa, the Virgin Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; (2) be enrolled in an advanced degree program in nursing to become qualified nursing faculty; (3) not be in default on a Federal debt; and (4) maintain good academic standing.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All applicants are required to apply electronically through Grants.gov.

Grant applications and required forms for this program can be obtained at [www.grants.gov](http://www.grants.gov).

The HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing (electronic) by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 1-3 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications must be submitted annually for additional funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Schools that participate in the loan program must contribute to the loan fund an amount equal to but not less than one-ninth of the fiscal year award.

Funding Factor: As provided under Title VIII of the Public Health Service Act, Section 846A (42 U.S.C. 297n-1), as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148, Section. 5311.847(f) a statutory funding priority will be awarded to School of Nursing Student Loans

that support doctoral nursing students.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for one (1) year beginning July 1 through June 30. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The institution must submit the Nurse Faculty Loan Program, Annual Operating Report (AOR) annually through electronic submission at <https://grants.hrsa.gov/webexternal/login.asp>.

The NFLP Annual Operating Report (AOR) is due each year by August 15, within 45 days following the last day of the project period and should reflect the loan fund activity for the reporting period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Loans) FY 11 \$24,848,000; FY 12 est \$24,553,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 12: Range is \$6,010 to \$1,400,000; Average is \$208,703.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the 2010-2011 project period, 164 NFLP schools provided loan support to 1,280 students; 271 NFLP students graduated during this period and 137 NFLP graduates established employment as nurse faculty. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Denise Thompson, Public Health Analyst, Division of Nursing, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857, Phone: (301) 443-1399, Email: [dthompson@hrsa.gov](mailto:dthompson@hrsa.gov).

**Headquarters Office:**

Denise Thompson Parklawn Building, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857 Email: [dthompson@hrsa.gov](mailto:dthompson@hrsa.gov) Phone: (301)

443-1399

**Website Address:**

www.hrsa.gov

**RELATED PROGRAMS:**

93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements. All eligible applicants are considered in a formula for determining awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.265 COMPREHENSIVE GERIATRIC EDUCATION PROGRAM(CGEP)**

CGEP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 855 of the Public Health Service Act (42 U.S.C. 298), as amended by P.L. 107-205 and the Patient Protection and Affordable Care Act, P.L. 111-148.

**OBJECTIVES:**

To train and educate individuals in providing geriatric care for the elderly.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are used to develop and implement, in coordination with programs under section 753, programs and initiatives to train and educate individuals in providing geriatric care for the elderly. Grants may be used to: provide training to individuals who will provide geriatric care for the elderly; develop and disseminate curricula relating to the treatment of the health problems of elderly individuals; train faculty members in geriatrics; or provide continuing education to individuals who provide geriatric care; or establish traineeships for individuals who are preparing for advanced education nursing degrees in geriatric nursing, long-term care, gero-psychiatric nursing or other nursing areas that specialize in the care for the elderly population. Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential personnel travel expenses and other expenses related to the project. Restricted uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to eight percent of direct costs.

**Applicant Eligibility:**

Eligible applicants are schools of nursing, academic health centers, a health care facility, a program leading to certification as a certified nurse assistant, a partnership of such a school and facility, or a partnership of such a program and facility.

**Beneficiary Eligibility:**

Training is for individuals and faculty members who provide, or will provide, care for the elderly.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Competitive continuations may be submitted during the final budget period of the approved project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Project periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$4,174,431; FY 12 est \$4,051,485; and FY 13 est \$4,051,485

**Range and Average of Financial Assistance:**

(FY 2011) \$120,000 to \$172,000; Average: \$145,000.

(FY2012) \$167,378 to \$270,000; Average: \$238,323.

(FY 2013) \$167,378 to \$270,000; Average: \$238,323.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 27 noncompeting continuation awards were made. Fiscal Year 2012: 17 new awards were made. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Joan Weiss, PhD, RN, CRNP Chief, Geriatrics and Allied Health Branch, Division of Public Health and Interdisciplinary Education, Health Resources and Services Administration, Room 9C-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0430.

**Headquarters Office:**

Carol Corbie 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857  
Phone: (301) 443-7762

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed by a panel of peer reviewers using the following criteria: A clearly stated project purpose; a documented need for the proposed project; the potential effectiveness of the proposed project; a clearly articulated project plan including evaluation of project objectives; a plan for addressing diversity and cultural competence; a comprehensive plan for project management; the reasonableness of the budget and fiscal plan; the presence of established and/or planned linkages with relevant entities. See funding opportunity announcement for specific criteria.

**93.266 HEALTH SYSTEMS STRENGTHENING AND HIV/AIDS PREVENTION, CARE AND TREATMENT UNDER THE PRESIDENT'S EMERGENCY PLAN FOR AIDS RELIEF**

Global HIV/AIDS Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Sections 301(a) and 307 of the Public Health Service Act (42 U.S.C. 241(a), 242I), and the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008 (Public Law 110-293).

**OBJECTIVES:**

Fund lifesaving care and treatment programs and build and strengthen health systems in countries hit hardest by HIV/AIDS through the Presidents Emergency Plan for AIDS Relief (PEPFAR). Objectives include:

- (1) Delivery of essential antiretroviral therapy for HIV infection, medications to prevent and treat common opportunistic infections such as tuberculosis, supportive care for orphans and vulnerable children, and other critical services.
- (2) Training and technical assistance to build and strengthen care programs and health systems, so that affected countries can maintain programs over time and deliver quality HIV/AIDS care; build infrastructures such as clinic monitoring, health information systems, and medical and nursing education.
- (3) Enhance models of medical, nursing and midwifery education.
- (4) Develop partnerships between experts in the U.S. and people and institutions overseas to build skills and prepare host countries so that they may better manage their own programs over the long term.

**Care and Treatment Program:**

Rapid Expansion of Antiretroviral Therapy Programs (Care and Treatment, Track 1.0) (Cooperative Agreement or CoAg).

**Health Systems Strengthening Programs:**

Global HIV/AIDS Nursing Initiative/Nursing Capacity Building Program (CoAg)

Caribbean HIV/AIDS Regional Training (CHART) Network (CoAg)

International Twinning Center (CoAg)

Quality Improvement Center (CoAg)

International AIDS Education and Training Center (CoAg)

Medical Education Partnership Initiative (4 grants)

Medical Education Partnership Initiative Coordinating Center (CoAg).

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Cooperative Agreements or grants will be awarded to organizations to organizations that execute one or more of the objectives above.

**Applicant Eligibility:**

Depending on specific program:

Applicants must have experience providing ART in 3 or more of the targeted countries. Eligible entities are those providing clinical care and anti-retroviral therapy in at least 3 of the 15 focus countries under PEPFAR.

U.S.-based public and private nonprofit entities, including nursing training institutions and nursing or other professional organizations, tribes and tribal organizations, and faith-based and community-based organizations that demonstrate expertise in nursing and midwifery workforce development in low-resource country settings.

Public and nonprofit private entities that demonstrate history of success working with Caribbean partners in the area of public health and working with local, indigenous, Caribbean-based populations, and have at least three years experience providing services and managing programs for local populations in the Caribbean region.

U.S. organizations: public and non-profit private entities, schools and academic health sciences centers, including faith-based and community based organizations that have significant experience establishing Twinning Partnerships in health programs.

Public or non-profit private entities, including schools of medicine, nursing, public health, management and public administration and academic health sciences centers, community-based organizations, and faith-based organizations that can provide capacity for Quality Improvement activities to improve the quality of HIV/AIDS care in HIV health care facilities to people with HIV/AIDS.

U.S. organizations, public and non-profit private entities, schools and academic health sciences centers, including faith-based organization that enhance skills and training capacity in the areas of prevention care and

treatment of HIV disease, including the prevention of perinatal transmission of the disease, treatment of opportunistic infections, appropriate use of antiretroviral therapy and implementation of community home based care.

Foreign Public and Private Institutions of Higher Education with a Medical School based in a Sub-Saharan African country which receives PEPFAR support.

U.S.-based state controlled or private institutions of higher education that will work with their partner(s) to coordinate activities across medical educational institutions in Sub-Saharan Africa, develop an African leadership network to guide, support, and advocate for the effort, and serve as a source of technical support for all aspects of the multi-site initiative.

**Beneficiary Eligibility:**

Beneficiaries are foreign governments, foreign public or private institutions or organizations, or foreign individuals.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

For governmental organizations both the OMB Circular No. A-87 and No. A-102 (45 CFR Part 92) apply to this program. For universities or nonprofit non-governmental organizations, OMB Circular No. A-110 (45 CFR Part 74) and No. A-122 apply.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

3-6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are typically awarded for up to a three or five year project period with 12-month budget periods. Competitive awards are made every 3 to 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are typically awarded for up to a three or five year project period with 12-month budget periods. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports (non-competing continuation applications NCC) are required. No cash reports are required. Quarterly or semi-annual progress

reports may also be required. Reports should provide progress on achieving objectives and modifications or new objectives. The Federal Financial Report is to be submitted within 90 days after the close of each budget period and a final Federal Financial Report is required 90 days following the end of the project period. Expenditure reports may be required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$100,000,000; FY 12 est \$80,000,000; and FY 13 est \$80,000,000

**Range and Average of Financial Assistance:**

ANNUALLY:

Care and Treatment  
Floor \$7,000,000; Ceiling \$10,000,000; Average \$8,500,000

Global HIV/AIDS Nursing Initiative -  
Floor \$500,000; Ceiling \$20,000,000; Average \$10,000,000

CHART Network -  
Floor \$1,800,000; Ceiling \$3,000,000; Average \$2,100,000

International Twinning Center -  
Floor \$500,000; Ceiling \$12,000,000; Average \$6,000,000

Quality Improvement Center -  
Floor \$600,000; Ceiling \$10,000,000; Average \$5,000,000

ITECH -  
Floor \$1,000,000; Ceiling \$60,000,000; Average \$55,000,000

MEPI -  
Floor \$1,000,000; Ceiling \$2,000,000; Average \$1,500,000

MEPI Coordinating Center -  
Floor \$1,000,000; Ceiling \$3,000,000; Average \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: All programs are funded under the Presidents Emergency Plan for AIDS Relief (PEPFAR) and are aligned with the priorities of PEPFAR as articulated by the Department of State Office of the Global AIDS Coordinator (S/GAC). Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy

Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Jose Morales, MD, Global HIV/AIDS Program, HIV/AIDS Bureau, Health Resources and Services Administration, 5600 Fishers Lane, Suite 7-90, Rockville, MD 20857. Telephone: (301) 443-3650.

**Headquarters Office:**

Jose Morales 5600 Fishers Lane, Suite 7-90, Rockville, Maryland 20857 Phone: (301) 443-3650

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.145 AIDS Education and Training Centers; 93.941 HIV Demonstration, Research, Public and Professional Education Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent to which proposed objectives are specific, measurable, time-phased, and consistent with the stated purpose of this program; the extent to which the applicant's capability is sufficient in the areas of clinical care, drug and health commodities, laboratory services, training, community mobilization and behavior, health information systems, health systems strengthening, monitoring and evaluation and sustainability; feasibility of their expansion plan; extent to which the organizational structure, management and staffing is appropriate and sound and the presentation of a reasonable budget.

**93.267 STATE GRANTS FOR PROTECTION AND ADVOCACY SERVICES**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title XII, Section 1253, as amended by the Childrens Health Act of 2000, sec.1304, PL 106-310, as further amended by the Traumatic Brain Injury Act of 2008, sec. 6(b), PL 110-206.

**OBJECTIVES:**

To make grants to Protection and Advocacy systems as established in each State for the purpose of enabling such systems to provide services to individuals with traumatic brain injury which may include: (1) information, referrals, and advice, (2) individual and family advocacy, (3) legal representation, and (4) specific assistance in self-advocacy.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to plan for, develop outreach strategies for, and carry out services for individuals with traumatic brain injury as authorized in the Section 1253 of the PHS Act. Grant funds must supplement, not supplant, nonfederal funds available in the State in which the protection and advocacy system is established.

**Applicant Eligibility:**

State and Territory-designated Protection and Advocacy Systems and the American Indian Consortium are the only eligible applicants for State PATBI funding.

**Beneficiary Eligibility:**

Individuals with traumatic brain injury.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Public Health Service Act, Chapter 1253.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period for these grants is up to 48 months. Each allotment is available for obligation over a 24-month period; payments are made through an Electronic Transfer System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

See the funding opportunity announcement for additional information. See the funding opportunity announcement for additional information. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 4 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 4-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 4-year period, whichever is later.

**Account Identification:**

75-0354-0-1-550.

**Obligations:**

(Formula Grants) FY 11 \$3,272,375; FY 12 est \$3,272,375; and FY 13 est \$3,272,375

**Range and Average of Financial Assistance:**



Based on FY 10  
20,000 to \$184,111; \$57,410.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 57 awards made. Fiscal Year 2012: Projected to make 57 awards. Fiscal Year 2013: Not available at this time.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. LCDR Donelle McKenna, Program Director, Protection and Advocacy for Traumatic Brain Injury Program, Division of Services for Children with Special Healthcare Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Room 13-61, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 301-443-9280; [dmckenna@hrsa.gov](mailto:dmckenna@hrsa.gov).

**Headquarters Office:**

LCDR Donelle McKenna, 5600 Fishers Lane, Room 13-61, Rockville, Maryland 20857 Email: [dmckenna@hrsa.gov](mailto:dmckenna@hrsa.gov) Phone: (301) 443-9280

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.234 Traumatic Brain Injury State Demonstration Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for allotments must fulfill statutory requirements.

**93.268 IMMUNIZATION COOPERATIVE AGREEMENTS**

Immunizations CoAg and Vaccines for Children Program previously published as Immunization Grants and Vaccines for Children Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 317(j) of the Public Health Service Act (42 U.S.C. 247b(j)) reauthorized in Section 4204 of the Patient Protection and Affordable Care Act. Prevention and Public Health Fund (PPHF) funding is authorized under sections 301 and 317 of the Public Health Service Act (PHS Act), 42 USC, 241 and 247b as amended and the Patient Protection and Affordable Care Act (PL 111-148). The Vaccines for Children (VFC) program is authorized under Section 1902(a)(62) of the Social Security Act, 42 U.S.C. section 1396a(a)(62). The VFC Program was established under the authority of Section 1928(a) of the Social Security Act, 42 U.S.C. 1396s(a).

**OBJECTIVES:**

To assist states and communities in establishing and maintaining preventive health service programs to immunize individuals against vaccine-preventable diseases (including measles, rubella, poliomyelitis, diphtheria, pertussis, tetanus, hepatitis B, hepatitis A, varicella, mumps, haemophilus influenza type b, influenza, and pneumococcal pneumonia).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used for costs associated with planning, organizing, and conducting immunization programs directed toward vaccine-preventable diseases and for the purchase of vaccine; and for the implementation of other program elements, such as assessment of the problem;

surveillance and outbreak control; information and education; adequate notification of the risks and benefits of immunization; compliance with compulsory school immunization laws; vaccine storage, supply management, and delivery; citizen participation; and use of volunteers. Vaccine will be available "in lieu of cash" if requested by the applicants. Requests for personnel and other items "in lieu of cash" will also be considered. Vaccine purchased with Cooperative Agreement funds may be provided to private practitioners who agree not to charge for vaccine. Cooperative Agreement funds may be used to supplement (not substitute for) existing immunization services and operations provided by a state or locality.

**Applicant Eligibility:**

Any U.S. state, and in consultation with state health authorities, political subdivisions of states and other public entities and U.S. territories may apply; private individuals and private nonprofit agencies are not eligible for immunization grants.

**Beneficiary Eligibility:**

Any U.S. state, political subdivision (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds. Costs will be determined in accordance with 2 CFR 225 (OMB Circular No. A-87) for state and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2716. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by PHS and required by 45 CFR 92 for state and local governments, must be used for this program.

**Award Procedure:**

After review and approval of an application, a Notice of Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: Variable. Budget Period: About 12 months. See the following for information on how assistance is awarded/released: Periodic grant rounds.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$4,478,391,000; FY 12 est \$4,453,391,000; and FY 13 est \$4,770,288,000 - 317 Grants: FY 2010 \$453,215,435; FY 2011 \$428,828,917; FY 2012 est \$384,433,913; FY 2013 est. \$499,273,000. VFC Grants: FY 2010 \$3,473,510,955; FY 2011 \$3,627,561,850; FY 2012 est. \$3,558,246,394; FY 2013 est. \$4,271,015,000.

**Range and Average of Financial Assistance:**

317 Grants: From \$252,725 to \$48,568,982; \$6,870,723 VFC Grants: From \$1,649,229 to \$368,026,903; \$52,334,322.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: No current data available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aubrey Garner 1600 Clifton Road, NE, MS A-19, Atlanta, Georgia 30033  
Email: agarner@cdc.gov Phone: (404) 639-8086

**Website Address:**

<http://www.cdc.gov/vaccines>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.269 COMPLEX HUMANITARIAN EMERGENCY AND WAR-RELATED INJURY PUBLIC HEALTH ACTIVITIES**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. Section 2421 and 247b(k)(2)], as amended.

**OBJECTIVES:**

To bring public health and epidemiologic principles to the aid of populations affected by complex humanitarian emergencies. Work will focus on the following main program areas: (1) Providing technical assistance including rapid health and nutrition assessments, public health surveillance, epidemic investigations, disease prevention and control, program evaluation and emergency preparedness; (2) Developing, implementing and disseminating findings from operational research projects aimed at developing more effective

public health interventions; (3) Designing, implementing, and evaluating training activities to strengthen the capacity of CDC, other U.S. government agencies, international and private voluntary organizations, other governments, and public health students; (4) Developing and disseminating guidelines on public health issues and technical areas; and (5) Planning and maintaining partnerships with strategic international, bilateral, and non-governmental relief organizations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of projects related to domestic and international complex humanitarian emergencies and war-related injuries. The grants and cooperative agreements may be used for personnel, salaries, consultant costs, survey costs, training, equipment, supplies, travel, patient costs, miscellaneous items, and indirect costs.

**Applicant Eligibility:**

The general public will benefit from the objectives of this program.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities.

**Award Procedure:**

After review and approval of an application, a notice of award is made in writing and issued by the Grants Management Officer, Procurement and Grants Office, CDC. Appropriate notification is also made to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 2 to 3 months.

**Appeals:**

From 60 to 90 days.

**Renewals:**

From 90 to 120 days. Support is recommended for a specified project period, not to exceed 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period, not to exceed 5 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other act involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements is provided in 45 CFR Parts 74 and 92.

**Account Identification:**

75-0955-1-2-550.

**Obligations:**

(Salaries) FY 11 \$1,948,100; FY 12 est \$3,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Keicia L. Reeves 4770 Buford Highway, Mailstop F-60, Atlanta, Georgia 30341 Email: kxs3@cdc.gov Phone: 7704880697

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Funded projects are described in continuation applications from each grantee. Fiscal Year 2013: Funded projects are described in continuation applications from each grantee.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria can be found in the program guidance.

**93.270 ADULT VIRAL HEPATITIS PREVENTION AND CONTROL  
FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Sections 301 and 317N of the Public Health Service Act (42 U.S.C. section 241 and 274b-15), as amended.

**OBJECTIVES:**

To assist State and local health agencies, health related organizations and other governmental and nongovernmental organizations in their efforts to decrease

the incidence of new infections of hepatitis A, hepatitis B and hepatitis C viruses and to decrease risks for chronic liver disease including cirrhosis and liver cancer in persons with chronic hepatitis B and hepatitis C infections.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with establishing and maintaining a hepatitis surveillance and prevention program for the management, coordination, and evaluation of activities directed towards prevention of viral hepatitis infections including the identification, counseling and referral for medical management of persons with chronic HBV or HCV infection and integration of viral hepatitis prevention services into health care and public health services for adults at risk for viral hepatitis.

**Applicant Eligibility:**

Nonprofit with 501C3 IRS status (other than institution of higher education); Nonprofit without 501C3 IRS status (other than institution of higher education); For-profit organizations (other than small business); Small, minority, and women-owned businesses; Universities; Colleges; Research institutions; Hospitals; Community-based organizations; Faith-based organizations; Federally recognized or state-recognized American Indian/Alaska Native tribal governments; American Indian/Alaska native tribally designated organizations; Alaska Native health corporations; Urban Indian health organizations; Tribal epidemiology centers; State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau); Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74 and Part 92. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support is recommended for a specified project period not to exceed 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual financial status reports are required no later than 90 days after the end of each budget period. Financial status reports are required 90 days after the end of a project period. Also see FOA for additional information. Quarterly or semiannual narrative and performance report are required of the recipient. Semiannual reports should address the recipient's progress of achievement of the stated objectives. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Property records must be retained in accordance with the HHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$5,285,250; FY 12 est \$5,500,000; and FY 13 est \$10,500,000

**Range and Average of Financial Assistance:**

\$4,924,888 to \$5,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal Year 2008: developed plans for strengthening communication about viral hepatitis awareness on the national, state and local levels; created anew website for Program Collaboration and Service Integration (PCSI) and developed the first on-demand viral hepatitis training session; supported 53 adult viral hepatitis coordinators in state and local health departments to support integration of viral hepatitis prevention activities in multiple health care settings; and supported development of viral hepatitis prevention plans for each and its implementation.

Fiscal Year 2009: Supported the implementation of the adult hepatitis B vaccination program for at-risk adults and, as a result, over 1 million doses were delivered; supported the development and launch of web pages in each state health department for the dissemination of viral hepatitis education materials broadly; created a slide library which includes presentations on hepatitis A epidemiology, HBV epidemiology, hepatitis B therapeutic agents, HCV genome and protein processing, monitoring hepatitis C treatment, and the new direct acting antiviral therapies for health care providers; and developed 3 primary prevention trainings for hepatitis prevention across prisons, and trained peer health educators in basic hepatitis risk and prevention concepts.

Fiscal Year 2010: implemented adult hepatitis B vaccine in multiple state health department settings including STD clinic, prisons, community health centers as well as other community health organizations, including immigrant

and refugee AAPIs facilities; developed trainings that covered everything from the "ABCs of Hepatitis," "Chronic Hepatitis B in Asian American, Native Hawaiian and Other Pacific Islander Communities," "Recent Advances in Hepatitis C Treatment" to "Hepatitis as an STD - The 2010 STD Treatment Guidelines, Service Integration & Trends" for providers and the general public; and encouraged and facilitated the development of regional planning meetings with the states to disseminate and conduct trainings for health care providers and other regarding viral hepatitis.

Fiscal Year 2011: coordinated multiple on-demand training sessions regarding viral hepatitis that have been viewed by over 3,000 health providers; created and updated 27 case-based modules focusing on viral hepatitis natural history, clinical/diagnosis, management, prevention and counseling for health care providers serving HBV and HCV infected patients. Fiscal Year 2012: Will continue coordinating multiple on-demand training sessions regarding viral hepatitis for health care providers, and will continue to update case-based modules focusing on viral hepatitis natural history, clinical/diagnosis, management, prevention and counseling for health care providers serving HBV and HCV infected patients. Fiscal Year 2013: Will continue coordinating multiple on-demand training sessions regarding viral hepatitis for health care providers, and will continue to update case-based modules focusing on viral hepatitis natural history, clinical/diagnosis, management, prevention and counseling for health care providers serving HBV and HCV infected patients.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carsonn, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: State and local health departments, community-based organizations, universities. Fiscal Year 2012: State and local health departments, community-based organizations, universities. Fiscal Year 2013: State and local health departments, community-based organizations, universities.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by Procurement and Grants Office (PGO) staff, and for responsiveness jointly by Division of Viral Hepatitis (DVH), NCHHSTP. Incomplete applications and applications that are non-responsive to the eligibility criteria in the FOA will not advance through the review process. Applicants will be notified that the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application And Submission Information, subsection "Evaluation Criteria" within the individual funding opportunity announcement (FOA).

**93.273 ALCOHOL RESEARCH PROGRAMS**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Sections 301 and 464H, and 42 U.S.C. 290Gb; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564, Public Law 78-410, 42 U.S.C 241.

**OBJECTIVES:**

To develop a sound fundamental knowledge base which can be applied to the development of improved methods of treatment and more effective strategies for preventing alcoholism and alcohol-related problems. The National Institute

on Alcohol Abuse and Alcoholism (NIAAA) supports research in a broad range of disciplines and subject areas related to biomedical and genetic factors, psychological and environmental factors, alcohol-related problems and medical disorders, health services research, and prevention and treatment research. Small Business Innovation Research (SBIR) program: to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation and technology transfer through cooperative research and development carried out between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

(1) Research Project Grants provide support for clearly defined projects or a small group of related activities, and when appropriate, support of conferences; (2) Program Project Grants are for large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) Small Grants are for small-scale exploratory and pilot studies or exploration of an unusual research opportunity; Small Grants are limited to \$50,000 for direct costs for a period of up to 2 years; (4) Exploratory/Developmental Grants are limited for a period of up to 2 years, and a maximum of \$275,000 for direct costs for the entire 2-year period. Funds may be used only for expenses directly related to the approved research project. SBIR Phase I grants (of approximately 6- months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or processes. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application; (5). Alcohol Research Center Grants, and Alcohol Research Resource Centers provide long-term support for a concerted and multi-disciplinary research effort into the problems of alcohol use and alcoholism by coordinating the activities of investigators from biomedical, behavioral, and social science disciplines around a basic research theme. An alcohol research center is expected to realize its greater potential for contributing to the basic store of knowledge about alcohol and alcoholism and to become a significant regional and national resource; (6) Training and Research Career Development awards - Mentored Research Scientist Development Awards (K01), Mentored Clinical Scientist Development Awards (K08), and Independent Scientist Awards (K02) provide support for individuals with research potential who need additional development and/or experience in a productive research environment. Mentored Patient-Oriented Research Career Development Award (K23) and Mid-career Investigator Award in Patient Oriented Research (K24) and Mentored Quantitative Research Career Development Award (K25) are also available. Senior Scientist Awards (K05) are also available to enable senior investigators to devote full-time to research. Academic Career Awards (K07) are also available for clinical faculty development; and (7)Alcohol National Research Service Awards for Research Training awards to assure the maintenance of an adequate supply of well-trained alcohol researchers through the award of both individual fellowships and grants to training institutions for support of training at both the pre-doctoral and postdoctoral levels and for Senior Fellowships and M.D./Ph.D. Fellowships. Special pre-doctoral fellowships are also available for students with disabilities and for minority students.

#### **Applicant Eligibility:**

Public or private profit and nonprofit agencies, including State, local, or regional government agencies, universities, colleges, hospitals, academic or

research institutions may apply for research grants. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Public, profit and nonprofit private organizations.

#### **Credentials/Documentation:**

For-profit grantees' costs will be determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart C, Section 74.27. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS, must be used by grant applicants. Application kits, containing the necessary forms and instructions, if not available at the applicant institution, may be obtained from the NIAAA. Consultation on proposed projects is also available. Preapplication consultation with NIAAA staff is required before submission of a Program Project grant application or any unsolicited new grant application requesting \$500,000 or more direct costs in any one year. Applications are reviewed by nonfederal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of the merit of the project. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

#### **Award Procedure:**

Research Grants in support of projects recommended for approval by the National Advisory Council on Alcohol Abuse and Alcoholism and approved for payment are awarded directly by the NIAAA to the applicant institution. All

accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Aug 15, 2013 February 1, June 1, and October 1. SBIR: April 15, August 15, and December 15. STTR: December 1, only. AIDS related research applications January 7, May 7, and September 7. Other deadlines as specified in FOAs.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of application for grant support. SBIR/STTR applications about 7-1/2 months. AIDS related research applications about 6 months.

**Appeals:**

A principal investigator may appeal the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeals procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for renewal of support for a new project period. An application for renewal is processed as a competing request. Small Grants and Exploratory/Developmental Grants are not renewable, but grantees may apply for research project grants on the same topics.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small Grants are limited to 2 years or less and are not renewable. Exploratory/Developmental Grants are limited to 3 years or less and are not renewable. Payments will be made either on a Monthly Cash Request System or under an Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued shortly after an award is made. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Awards will be released electronically to applicant institution. Funds are released annually.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Annual progress reports as a part of the continuation application. A final expenditure report is required at the conclusion of the project. The NIAAA Program officers will monitor performance by evaluating the annual progress report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under

SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0894-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$329,544; FY 12 est \$327,726; and FY 13 est \$321,034. (Training) FY 11 \$11,939; FY 12 est \$12,047; and FY 13 est \$12,047

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. Guidelines are included in application kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 90-50,000, (Rev.) April 1, 1994. Specific program announcements are available electronically from the NIAAA World Wide Web Home Page on the Internet at <http://www.niaaa.nih.gov> or from the NIH Home Page under Institutes and Offices. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. The Headquarters Office (National Institute on Alcohol Abuse and Alcoholism) is responsible for the administration of these programs.

**Headquarters Office:**

Ranga V. Srinivas, National Institute on Alcohol Abuse and Alcoholism, National Institutes of Health, 5635 Fishers Lane Room 2085, Rockville, Maryland 20852 Email: [srinivar@mail.nih.gov](mailto:srinivar@mail.nih.gov) Phone: (301) 451-2067 Fax: (301) 443-7043.

**Website Address:**

<http://www.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded: (1) Scientific and technical merit of the proposal; (2) program balance; and (3) relevance to NIAAA priorities and public health issues. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR

Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.275 SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES-ACCESS TO RECOVERY**

ATR I, ATR II

#### **FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

The Public Health Act, Section 501(d)(5), 509, Public Law 106-310, 42 U.S.C 290aad5-290bb-2.

#### **OBJECTIVES:**

To implement voucher programs for substance abuse clinical treatment and recovery support services pursuant to sections 501 (d)(5) and 509 of Public Health Service Act (42 U.S.C. sections 290aa(d)(5) and 290bb-2). This program, called Access to Recovery (ATR), is to provide client choice among substance abuse clinical treatment and recovery support service providers, expand access to a comprehensive array of clinical treatment and recovery support options (including faith-based programmatic options), and increase substance abuse treatment capacity. Monitoring outcomes, tracking costs, and preventing waste, fraud and abuse to ensure accountability and effectiveness in the use of Federal funds are also important elements of the ATR program. Through the ATR grants, States, Territories, the District of Columbia and Tribal Organizations (hereinafter collectively referred to as "States") will have flexibility in designing and implementing voucher programs to meet the needs of clients in the State. The key to successful implementation of the voucher programs supported by the ATR grants will be the relationship between the States and clients receiving services, to ensure that clients have a genuine, free, and independent choice among eligible providers. States are encouraged to support any mixture of clinical treatment and recovery support services that can be expected to achieve the program's goal of achieving cost-effective, successful outcomes for the largest number of people.

#### **TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

#### **USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities. Funds may be used for 15 percent administrative cost and 85 percent voucher. Also follow the policies and procedures that applies to the eligible entity. Funds may be used for 15 percent administrative cost and 85 percent voucher.

#### **Applicant Eligibility:**

Eligibility for Access to Recovery (ATR) grants is limited to the immediate office of the Chief Executive (e.g., Governor) in the States, Territories, District of Columbia; or the head of a Tribal Organization. (A "Tribal Organization" means the recognized governing body of any Indian tribe or any legally established organization of Indians, including urban Indian health boards, inter-tribal councils, or regional Indian health boards, which is controlled,

sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such an organization.) The Chief Executive of the State, Territory, or District of Columbia, or the head of the Tribal Organization must sign the application. Eligibility is limited to the immediate office of these Chief Executives because only they have the authority to leverage funding across the State, implement the necessary policy changes, manage the fiscal responsibilities, and coordinate the range of programs necessary for successful implementation of the voucher programs to be funded through these grants. No more than one application from any one Chief Executive or head of a Tribal Organization will be funded.

#### **Beneficiary Eligibility:**

Eligibility for Access to Recovery (ATR) grants is limited to the immediate office of the Chief Executive (e.g., Governor) in the States, Territories, District of Columbia; or the head of a Tribal Organization" means the recognized governing body of any Indian tribe or any legally established organization of Indians, including urban health boards, inter-tribal councils, or regional Indian health boards, which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such an organization.).

#### **Credentials/Documentation:**

The Chief Executive of the State, Territory, or District of Columbia, or the head of the Tribal Organization must sign the application. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must comply with the following requirements, or they will be screened out and will not be reviewed: Use the Application for Federal Assistance SF-424 form; Application submission requirements in Section IV-3 of this document; and Formatting requirements provided in Section IV-2.4 of this document. Applicants may request a complete application kit by calling SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI) at 1 (800) 729-6686. Applicants also may download the required documents from the SAMHSA Web site at [www.samhsa.gov](http://www.samhsa.gov). Click on "grant opportunities." Includes the face page, budget forms, assurances and checklist. Applicants must use the SF-424 application form. Applications not submitted on the SF-424 will be screened out and will not be reviewed. Request for Applications (RFA)-Includes instructions for the grant application. This document is the RFA.

#### **Award Procedure:**

None.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

None.

#### **Renewals:**

None.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Applications will be accepted for a project period of 1 to 3 years with 12-month budget periods. Annual awards will be made subject to continued availability of funds and progress achieved. See the following for information on how assistance is awarded/released: SAMHSA, Grants Management Office notifies

grantees through a Notice of Award (NoA).

**Reports:**

Monthly program reports are required by the program officials. No cash reports are required. Quarterly progress report are required by the program officials. The SF-425 Federal Financial Report is required by SAMHSA, Grants Management Office 120 days after the end of each 12 month period. SAMHSA monitors the grant program through Government Performance and Result Act (GPRA Government Project Officer), conference calls, site visits, and monthly and quarterly reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year records retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved.

**Account Identification:**

75-1364-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$94,738,937; FY 12 est \$94,899,763; and FY 13 est \$94,895,605

**Range and Average of Financial Assistance:**

\$1,676,000 to \$3,352,000; \$3,159,594.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 30 awards were made. Fiscal Year 2012: it is estimated to fund 30 awards. Fiscal Year 2013: it is estimated to fund 30 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cost Principles, 45 CFR Parts 74 and 92, the HHS Grant Policy Statement, OMB Cost Principles, Request for Application (RFA) and Terms and Conditions of Award.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.276 DRUG-FREE COMMUNITIES SUPPORT PROGRAM GRANTS**

(Drug-Free Community Grants)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Drug-Free Communities Act of 1997, Public Law 105-20; Reauthorized by Public Law 107-82.

**OBJECTIVES:**

To increase the capacity of community coalitions to reduce substance abuse, and over time, to reduce substance abuse among adults through strengthening

collaboration among communities, public, and private entities. To disseminate state-of-the-art information on practices and initiatives that have proven to be effective in reducing substance abuse among youth.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Drug Free Communities Program (DFC) was created by the Drug Free Communities Act, 1997 (Public Law 105-20), reauthorized through the Drug Free communities Reauthorization Act of 2001 (Public Law 107-82) and reauthorized again through the Office of national Drug Control Policy Reauthorization Act of 2006 (Public Law 109-469). The latest reauthorization extended the program for an additional five years until 2012.

**Applicant Eligibility:**

Community coalitions must demonstrate that the community coalition has worked together for a period of not less than 6 months on substance abuse reduction initiatives. The coalition must: meet the composition requirements; ensure that there is substantial community volunteer effort; ensure that the coalition is a nonprofit, charitable, educational organization, or unit of local government, or is affiliated with an eligible organization or entity; possess a strategy to be self-sustaining; provide a 100-150 percent cash or in-kind match; and agree to participate in an evaluation of the coalition's program.

**Beneficiary Eligibility:**

Community coalitions, children, youth, and adults, those at-risk of substance abuse, and private nonprofit, and public community agencies.

**Credentials/Documentation:**

Cost Principles that apply are A-21 for educational institutions, and A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The Drug Free Community (DFC) is a collaborative initiative sponsored by Office of National Drug Control Policy (ONDCP) and Substance Abuse and Mental Health Services Administration (SAMHSA). Applications will be screened initially by ONDCP and SAMHSA to determine whether the applicant meets all the eligibility requirements. Applications submitted by eligible coalitions that meet all requirements will then be evaluated, scored, and rated by a peer review panel.

**Award Procedure:**

Upon approval by the Office of National Drug Control Policy and Substance Abuse and Mental Health Services Administration, a Notice of Award (NoA) signed by SAMHSA's Grants Management Officer is sent to the applicant agency. The NoA is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 1 to 4 months.

**Appeals:**

None.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Drug-Free Communities Support Program grants awarded under the Drug-Free Communities Act do require a 100-150 percent



cash or in-kind match depending on funding.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the Drug-Free Communities Act, awards will be made for one year.  
Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Quarterly report SF272 requires by the Division of Payment Management. Under the Drug-Free Communities Support Grants biannual progress and annual financial reports are required. Expenditure reports are not applicable. classification tool survey is due each year.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years.

**Account Identification:**

75-1365-0-1-551.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$238,600,629; FY 12 est \$191,856,573; and FY 13 est \$150,093,361

**Range and Average of Financial Assistance:**

\$35,000 to \$125,000; \$109,053.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92; also the HHS Grants Policy Statement

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1091, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are judged according to their consistency with the policies and program priorities established by the Drug-Free Communities Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in the Federal Register as part of the individual program announcements. Applications undergo a competitive peer review process as outlined in HHS.

**93.279 DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 302 405, 464L, 464N, 464O and 464P, 42 U.S.C. 241, 42 U.S.C. 284, 42 U.S.C. 285o, 42 U.S.C. 288, 42 U.S.C. 295;

Small Business Act 15 U.S.C 638.

**OBJECTIVES:**

To support biomedical, basic and clinical neuroscience, behavioral and social science, epidemiologic, health services and health disparity research to develop new knowledge and approaches related to the prevention, diagnosis, treatment, etiology, and consequences of drug abuse and addiction, including HIV/AIDS. To support research training and research scientist development. To support dissemination of research findings. Small Business Innovation Research (SBIR) program: to expand and improve the SBIR program. The legislation is intended to expand and improve the SBIR programs to emphasize and increase private sector commercialization of technology developed through Federal SBIR research and development; increase small business participation in Federal research and development; and foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in the SBIR program. The legislation intends that the Small Business Technology Transfer (STTR) program stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

(1) Research project grants provide support for clearly defined projects or a small group of related research activities, and when appropriate, support of research conferences; (2) program project and center grants support large-scale, broad-based programs of research, usually interdisciplinary, consisting of several projects with a common focus; (3) small grants support newer, less experienced investigators; investigators at institutions without a well developed research tradition and resources; the testing of new methods or techniques; small-scale exploratory and pilot studies, or exploration of an unusual research opportunity; small grants provide research support of up to \$50,000 direct costs per year for a period of up to 2 years; (4) research training grants including fellowships and institutional training grants, career development grants and loan repayment contracts; (5) SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of proposed research or research and development efforts to determine the quality of performance of the small business grantees. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercially viable products or processes. Only Phase I awardees are eligible to apply for Phase II support; STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application and the quality of performance of the small business concerns. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

For research grants the following organizations/institutions are eligible to apply: Public/State Controlled Institutions of Higher Education; Private Institutions of Higher Education: Hispanic-serving Institutions, Historically Black Colleges and Universities (HBCUs), Tribally Controlled Colleges and Universities (TCCUs), and Alaska Native and Native Hawaiian Serving Institutions; Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education); Nonprofits without 501(c)(3) IRS Status (Other than Institutions of Higher Education); Small Businesses; For-Profit Organizations (Other than Small Businesses); State Governments; Indian/Native American Tribal Governments (Federally Recognized); Indian/Native American Tribally Designated Organizations; County Governments; City or Township Governments; Special District Governments; Independent School Districts; Public Housing Authorities/Indian Housing Authorities; and Other(s): Eligible Agencies of the Federal Government, Faith-based or Community-based Organizations, U.S. Territory or Possession, Indian/Native American Tribal

Governments (Other than Federally Recognized), Regional Organizations, and Non-domestic (non-U.S.) Entities (Foreign Organizations). Eligible Individuals: Any individual, or individuals (multiple PDs/Pis), with the skills, knowledge, and resources necessary to carry out the proposed research as the PD/PI is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research and/or development must be performed in the U.S. and its possessions. To be eligible, an SBIR grant application must be approved for scientific merit and program relevance by a scientific review group and by a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific and technical merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Public or private profit and nonprofit sponsored organizations and individuals, minority groups, small businesses, health professionals, students, trainees, scientists and general public.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The National Institutes of Health is using [www.grants.gov](http://www.grants.gov) to accept electronic submission of applications. Applications are also available from the NIH web site at [www.nih.gov](http://www.nih.gov). Information concerning NIDA and the types of research supported may be found at [www.drugabuse.gov](http://www.drugabuse.gov) or [www.nida.nih.gov](http://www.nida.nih.gov). Consultation on a proposed project may also be obtained from NIDA. Applications are reviewed by primarily nonfederal consultants recruited nationwide. The amount of the award and period of support are determined on the basis of scientific merit of the project as well as financial and programmatic consideration. SBIR and STTR Grant Solicitations and SBIR Contract Solicitations may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Phone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Grants with which the National Advisory Council on Drug Abuse has concurred with the recommendations of the Scientific Review Groups and approved by NIDA for payment are awarded directly by NIDA to the applicant institution. SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by the National Advisory Council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical

merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of grant application. For AIDS applications the range will not exceed 180 days from cited receipt dates. SBIR/STTR applications: About 225 days.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/notice-files/not-od-11-064.html](http://www.nih.gov/grants/guide/notice-files/not-od-11-064.html) and [not-od-11-101.html](http://not-od-11-101.html).

**Renewals:**

Support is recommended for a specified project period, usually not in excess of 5 years. Prior to termination of a project period, the grantee may apply for additional support via competing continuation application unless otherwise restricted. Small and exploratory/developmental grants are limited to up to 2 years.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Grantee may apply for renewal of support on a competing basis unless otherwise restricted. Within the project period, continuation applications must be submitted on a non-competing basis for each year of approved support. Small grant support is limited to no more than 2 years. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Interim progress reports annually as part of a non-competing application for previously recommended support. Annual financial status report within 90 days after termination of annual grant and immediate and full reporting of any inventions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0893-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$810,125,000; FY 12 est \$821,740,000; and FY 13 est \$821,740,000

**Range and Average of Financial Assistance:**

Range-\$44,640 to \$4,905,498; Average \$156,340.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 2,383 were awarded. Fiscal Year 2012: 2,464 are projected to be awarded. Fiscal Year 2013: 2,464 are projected to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; Guidelines are included in applications kits. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1998. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR Part 52 and 42 CFR Part 52a; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Camilla L. Holland 6001 Executive Blvd., Rm. 4242, Bethesda, Maryland 20892 Email: chollan1@nida.nih.gov Phone: 3014351384

**Website Address:**

<http://www.nih.gov>; [www.drugabuse.gov](http://www.drugabuse.gov); <http://www.nida.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: (1) Epidemiology of drug abuse among minority populations; (2) Studies of AIDS among IV Drug Abusers; (3) Studies of Narcotic-Induced Respiratory Depression; (4) Endorphins: Metabolism, Release, and Tolerance; (5) Neurobiological and Behavior Mechanisms of Addictive and Compulsive Behavior; (6) Maternal/Paternal Effects of Drugs of Abuse; and (7) Effects of Drug Abuse on Adolescent and Development. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded: (1) Scientific and technical merit; (2) the feasibility of the research; (3) potential contribution to the national drug abuse problem; and (4) relevance to NIDA priorities. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technology.

**93.280 NATIONAL INSTITUTES OF HEALTH LOAN REPAYMENT PROGRAM FOR CLINICAL RESEARCHERS**

(NIH LRP-CR)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 U.S.C 288-5A.

**OBJECTIVES:**

To attract and retain health professionals to clinical research careers by offering educational loan repayment for participants who agree by written contract to engage in clinical research in a qualifying nonprofit institution for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged in clinical research. Your research must be supported by a domestic nonprofit foundation, university, professional association, or other nonprofit institution, or a U.S. government agency (federal, state, or local). A domestic foundation, professional association, or institution is considered to be nonprofit if exempt from federal tax under the provisions of Section 501 of the Internal Revenue Code (26 U.S.C. 501). NIH grants and university salaries are considered eligible funding. Your primary employment must be with a nonprofit institution. Any employment or income outside of the nonprofit institution must be separate from your research and cannot represent a significant amount of your total income.

Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. The maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold."

**Applicant Eligibility:**

(1) A U.S. citizen, U.S. national, or permanent resident of the United States; (2) Have a Ph.D., M.D., D.O., D.D.S., D.M.D., D.P.M., Pharm.D., D.C., N.D., O.D. or equivalent doctoral degree from an accredited institution; (3) Have total qualifying educational loan debt equal to or in excess of 20 percent of their institutional base salary on the date of program eligibility (the effective date that a loan repayment contract has been executed by the Secretary of Health and Human Services or designee); (4) Conduct qualifying research supported by a domestic nonprofit foundation, nonprofit professional association, or other nonprofit institution, or a U.S. or other government agency (State or local); (5) Engage in qualified clinical research. Clinical research is patient-oriented clinical research conducted with human subjects, or research on the causes and consequences of disease in human populations involving material of human origin (such as tissue specimens and cognitive phenomena) for which an investigator or colleague directly interacts with human subjects in an outpatient or inpatient setting to clarify a problem in human physiology, pathophysiology or disease, or epidemiologic or behavioral studies, outcomes research or health services research, or developing new technologies, therapeutic interventions, or clinical trials; (6) Engage in qualified clinical research for at least 50 percent of their time, i.e., not less than 20 hours per week based on a 40 hour week; (7) Agree to conduct research for which funding is not prohibited by Federal law, regulation, or HHS/NIH policy, and in accordance with applicable Federal, State and local law (e.g., applicable human subject protection regulations); and (8) Sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in clinical research in a qualifying institution for a minimum of 2 years. Full-time employees of Federal Government agencies are ineligible to apply for LRP benefits. Part-time Federal employees who engage in qualifying research as part of their nonfederal duties for at least 20 hours per week based on a 40 hour week, and who are not compensated as a Federal employee for their research, are eligible to apply for loan repayment if they meet all other eligibility requirements.

**Beneficiary Eligibility:**

Health professionals who are interested in pursuing clinical research careers and who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research

supervisor), and Description of the Research Environment (completed by the research supervisor), Training or Mentoring Plan (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is nonprofit (exempt from tax under 26 USC 501), and (d) provides the applicant's institutional base salary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for review, scoring, and ranking.

**Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Program for Clinical Researchers. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility re-certified by the Institute or Center which approved their application. Contact the NIH via e-mail at [LRP@NIH.GOV](mailto:LRP@NIH.GOV) for further guidance.

**Deadlines:**

Nov 15, 2012: At 8:00 p.m. EST. Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

**Range of Approval/Disapproval Time:**

The approximate time for approval/disapproval is 6 months from the closing date of the annual application period.

**Appeals:**

Not Applicable.

**Renewals:**

At the conclusion of the initial 2-year contract, participants may apply and be considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Eligible renewal applications that score within the funding range receive continuation contracts.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One or 2-year continuation contracts are available. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. See the following for information on how assistance is awarded/released: check with the program office.

**Reports:**

Program participants must be periodically certified by their research supervisor to have been engaged in the qualifying research project for a minimum 50

percent effort (not less than 20 hours per week based on a 40 hour week) during the service period. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-4554-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$40,000,000; FY 12 est \$41,000,000; and FY 13 est \$41,000,000

**Range and Average of Financial Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,298 to \$70,000; Tax reimbursements range from \$896 to \$27,300. The average cost which includes loan and tax reimbursement is \$42,457.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 872. Fiscal Year 2012: 875. Fiscal Year 2013: 875.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 USC 288-5a. The NIH LRP-CR was initially announced by publication of a Notice in the Federal Register (Vol. 66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephen J. Boehlert 6011 Executive Blvd., Suite 206, Bethesda, Maryland 20892 Email: [boehlers@od.nih.gov](mailto:boehlers@od.nih.gov) Phone: (301) 451-4465.

**Website Address:**

<http://www.lrp.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Clinical Research Loan Repayment Program. Applications that are on time, complete and eligible are referred to the appropriate NIH Institute or Center by the NIH Center for Scientific Review. The NIH Institutes and Centers convene panels comprised of non-NIH scientists to review, score and rank applications. In evaluating the application, reviewers are directed to consider the following components as they relate to the likelihood that the applicant will continue in a research career: (1) potential of the applicant to pursue a career in research, and (2) quality of the overall environment to prepare the applicant for a research career.

**93.281 MENTAL HEALTH RESEARCH CAREER/SCIENTIST DEVELOPMENT AWARDS**

(Research Career/Scientist Development )

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III, Section 301, 42 U.S.C 241.

**OBJECTIVES:**

To provide support for research career development relating to causes, risk, diagnosis, genetics, development, epidemiology, prevention, treatment, and services use for mental illness, behavioral disorders, and HIV/AIDS; and relating to basic neuroscience and basic behavioral science research addressing basic and clinical research pertinent to mental disorders; in order to increase the

number of individuals who are competing to advance research supported by the National Institute of Mental Health support, including women, individuals from underrepresented racial and ethnic minority groups, individuals with disabilities and individuals from disadvantaged backgrounds.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Mentored Research Scientist Development Award (K01, MRSDA), Mentored Clinical Scientist Development Award (K08, MCSDA), and Mentored Quantitative Research Career Development Award (K25) provide support for individuals with research potential who need additional mentored development and/or experience in a productive research environment. Awards are available for up to 5 years of salary support (up to \$90,000 per year) for the individual candidate, fringe benefits, and 8 percent F&A costs. Specialized training costs and limited research costs are allowable under justified circumstances. Mentored Patient-Oriented Research Career Development Award (K23) supports the career development of individuals who have made commitment to focus their research endeavors on patient-oriented research. Awards are available for three to five years up to \$90,000 per year to help offset the full time salary requirement of the candidate. The NIH Pathway to Independence (PI) Award (K99/R00) provides up to 2 years of mentored support (K99) for a postdoctoral individual followed by up to 3 years of support after the awardee transitions to research independence (R00). K99/R00 awards are awards for up to 5 years of support. During the K99 phase, awards typically provide up to \$50,000 per year for the salary of the individual candidate as well as fringe benefits, and 8 percent F&A costs. Specialized training costs and limited research costs are allowable under justified circumstances. Salary support for all mentored awards may be supplemented by the sponsoring institution from nonfederal funds. The Independent Scientist Award (K02, ISA) is for independent scientists whose careers are developing rapidly; the Mid-career Investigator Award in Patient-Oriented Research (K24) is for outstanding clinical scientists engaged in patient-oriented research. No specialized training costs are available; limited research costs for K24s and K02s in theoretical areas are available.

**Applicant Eligibility:**

All awards in these series are made to appropriate domestic research centers, medical schools, departments of psychiatry, non-medical academic departments, psychiatric hospitals or hospitals with psychiatric services, community mental health centers, and biomedical research institutes on behalf of individuals who need the opportunity to realize research potential. Except for the NIH Pathway to Independence (PI) Award (K99/R00), the individuals must be citizens or nationals of the United States or have been lawfully admitted for permanent residence. The NIH Pathway to Independence (PI) Award (K99/R00) is open to both U.S. citizens and non-U.S. citizens. Individuals must qualify by scholastic degree and previous training and/or experience.

**Beneficiary Eligibility:**

Public and private profit or nonprofit organizations will benefit.

**Credentials/Documentation:**

For other grantees, costs will be determined in accordance with HHS Regulation 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications must be prepared and submitted electronically using the SF 424 (Research & Related). Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). For further assistance, contact GrantsInfo,

Telephone (301) 435-0714, Email: [grantsInfo@nih.gov](mailto:grantsInfo@nih.gov). Information and instructions may be obtained from the program officials at the National Institute of Mental Health. Applications are reviewed by nonfederal consultants and recommended for support on the basis of merit. This program is subject to the provisions of OMB Circular No. A-21 for educational organizations and 45 CFR, Part 52.

**Award Procedure:**

All "K" Series awards are recommended for approval by the National Advisory Mental Health Council and those approved are awarded directly by NIMH to the applicant institution.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 240 to 270 days from submission of the application. Review of AIDS-related applications is expedited.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeals procedure is available on the NIH home page at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

K01, K08, K23, K25 awards are made for up to 5-year periods with no renewal. K02 and K24 awards are made for a 5-year period, renewable once (unless holder has held a previous K02 or K24 award). K99 awards are made for up to 2-year periods with no renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Varies, with a project periods ranging from 1 to 5 years. Funding commitments are made annually. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the application organization.

**Reports:**

No program reports are required. No cash reports are required. Reports must be submitted as follows: (1) Interim progress reports annually as part of a non-competing application for previously recommended support; (2) terminal progress report within 90 days after end of project support; (3) annual financial status report within 90 days after termination of annual grant for some programs. In addition, immediate and full reporting of any inventions is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials. Per the regulations, a for-profit (commercial) organization is subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant. For-profit organizations have two options regarding the type of audit that will satisfy the audit requirements either: 1. a financial related audit (as defined in the Government Auditing Standards, GPO Stock #020-000-00-265-4, <http://www.gao.gov/govaud/ybk01.htm>) of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements contained in OMB Circular No. A-133(<http://www.whitehouse.gov/OMB/circulars/a133/a133.html>).

**Records:**

Records must be retained at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 11 \$60,397,000; FY 12 est \$59,517,000; and FY 13 est \$59,517,000

**Range and Average of Financial Assistance:**

\$22,813 to \$198,616; \$158,108.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY11, 382 grants were awarded. Fiscal Year 2012: In FY12, an estimated 379 grants will be awarded. Fiscal Year 2013: In FY13, an estimated 379 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52. NIH Grants Policy Statement (Revised 12/2003).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tracy Waldeck Division of Extramural Activities  
National Institute of Mental Health  
6001 Executive Blvd  
Room 6160, Bethesda, Maryland 20892 Email: waldeckt@mail.nih.gov Phone:  
(301) 443-5047 Fax: (301) 443-9474

**Website Address:**

<http://www.nimh.nih.gov>

**RELATED PROGRAMS:**

93.242 Mental Health Research Grants; 93.282 Mental Health National Research Service Awards for Research Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See RePORter tool to examine funded research grants (<http://projectreporter.nih.gov/reporter.cfm> and or <http://report.nih.gov/rcdc/categories/>). Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations are used in determining projects to be funded: (1) priority score and recommendation of the Initial Review Committee; (2) program priorities of the Institute; and (3) the availability of funds.

**93.282 MENTAL HEALTH NATIONAL RESEARCH SERVICE AWARDS FOR RESEARCH TRAINING**

(NRSA Program)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 487, 42 U.S.C 288.

**OBJECTIVES:**

To ensure a continuing and adequate supply of well-trained scientists who are able to conduct research on mental health problems. The program provides training grants to institutions and fellowships to individuals at both the predoctoral and postdoctoral levels. There are awards to medical students proposing to acquire doctoral research degrees in addition to their medical degrees. Awards are made for training in the areas of basic and clinical neuroscience, genetics, developmental, behavioral, clinical, epidemiological, prevention, treatment and services research relevant to mental illnesses, behavioral disorders, and HIV/AIDS. These programs encourage training individuals in mental health research who are from underrepresented racial and ethnic groups, individuals with disabilities, or individuals disadvantaged because of educational or other circumstances that have inhibited their ability to pursue such a career.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Individual fellowships are made to students seeking predoctoral or postdoctoral support for full-time research training or who are enrolled in an formal M.D./Ph.D. program. An institutional allowance will be provided to the sponsoring institution for each awardee. In addition, any domestic public or nonprofit institution may apply for an institutional research training grant in a specified area of research from which a number of stipend awards will be made to individuals selected by the training program director at the institution. Support is available for both predoctoral and postdoctoral trainees and will include an amount for institutional expenses. Indirect costs may be requested at 8 percent of total direct costs, exclusive of tuition and related fees and expenditures for equipment, or actual indirect costs, whichever is less. Postdoctoral students receiving fellowships or stipend support under either individual or institutional grants for 12 months or less are obligated to pay back this support through an equivalent period of continued postdoctoral training or a period of health related research and/or teaching activities after the completion of their training. Postdoctoral individuals in their thirteenth and subsequent months of support will incur no further obligation, and such support will be considered acceptable postdoctoral payback service. Research training support may not be used for internships or other clinical training.

**Applicant Eligibility:**

For a training grant, an institution must be a domestic public or nonprofit private organization. The applicant institution must have, or be able to develop, the staff and facilities to provide the proposed research training in an environment suitable for performing high-quality research. An applicant for individual predoctoral fellowship support must be enrolled in a research doctoral degree program by the proposed activation date of the fellowship. A postdoctoral applicant must have received a Ph.D., Psy.D., M.D., D.D.S., Sc.D., D.N.S., D.O., D.S.W., or equivalent degree from an accredited institution to be eligible for an individual postdoctoral fellowship. An applicant for an M.D./Ph.D. individual fellowship must be enrolled in an M.D./Ph.D. program at an approved medical school, accepted in a related scientific program, and supervised by a mentor in the related scientific field. All individuals to be supported under the NRSA program must be citizens or noncitizen nationals of the United States, or have been lawfully admitted to the United States for permanent residence.

**Beneficiary Eligibility:**

Individuals and nonprofit organizations will benefit.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-21 for educational institutions. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q, and 42 CFR Part 66. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be prepared and submitted electronically using the SF 424 (Research & Related). Information about the SF 424 form may be found on <http://grants.nih.gov/grants/funding/424/index.htm>, but application packages should be accessed through the appropriate funding opportunity announcement, found either on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) or through the Grants.gov website (<http://www.grants.gov/>). For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). Information concerning current areas of science being supported is available from the National Institute of Mental Health (NIMH). Completed paper forms should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed for scientific merit by nonfederal consultants recruited nationwide from the mental health field. Applications other than fellowships must also be reviewed by the National Advisory Mental Health Council. If an institutional training grant is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant institution. If an individual fellowship is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the designated sponsoring institution business official. Postdoctoral students to be supported must submit required appointment forms, including a payback agreement and a Statement of Non-Delinquency on Federal Debt Certification. Predoctoral trainees whose appointments began after June 10, 1993, no longer incur a payback obligation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 5 to 7 months. Review of AIDS-related applications is expedited.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

By law an individual may receive no more than 6 years of support in the aggregate at the predoctoral level and no more than 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). Any exception to these limitations requires a waiver from the Director of the awarding Institute based on review of justification from the awardee and the program director for the institutional grant.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

By law an individual may receive no more than 6 years of support in the aggregate at the predoctoral level and no more than 3 years of support in the aggregate at the postdoctoral level under the NRSA program (through an individual and/or institutional award). For an M.D./Ph.D. fellowship, 6 years may be requested. In practice, recommendations of review committees are generally for 2 or 3 years. Awards for institutional grants may be made for project periods of up to 5 years. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the application organization.

**Reports:**

No program reports are required. No cash reports are required. Annual progress reports are required. Annual reports of activities for tracking payback provisions are required from postdoctoral fellows and trainees upon termination of support. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-0892-0-1-552.

**Obligations:**

(Salaries) FY 11 \$41,362,000; FY 12 est \$41,276,000; and FY 13 est \$41,276,000

**Range and Average of Financial Assistance:**

Predoctoral stipends: \$22,813. Postdoctoral stipends: \$39,264 to \$54,180; \$39,227.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY11, 255 individual grants and 123 institutional grants were awarded. Fiscal Year 2012: In FY12, an estimated 271 individual and 113 institutional grants will be awarded. Fiscal Year 2013: In FY13, an estimated 271 individual and 113 institutional grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 66. NIH Grants Policy Statement (Revised 12/2003).

**Regional or Local Office:**

None.

**Headquarters Office:**

Tracy Waldeck Division of Extramural Activities  
National Institute of Mental Health  
6001 Executive Blvd  
Room 6160, Bethesda, Maryland 20892 Email: [waldeckt@mail.nih.gov](mailto:waldeckt@mail.nih.gov) Phone: 301-443-5047 Fax: 301-443-9474

**Website Address:**

<http://www.nimh.nih.gov>

**RELATED PROGRAMS:**

93.242 Mental Health Research Grants; 93.281 Mental Health Research Career/Scientist Development Awards

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: See RePORTer tool to examine funded research grants (<http://projectreporter.nih.gov/reporter.cfm> and or <http://report.nih.gov/rcdc/categories/>). Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The following considerations will be used in determining projects to be funded. For Training Grants: (1) quality of the proposed training program as determined by peer review; (2) availability of funds; and (3) program priority. For Fellowships: (1) overall merit of the application; (2) relevance of the application to the research priorities and mission of the institute and programs; and (3) availability of funds.

**93.283 THE AFFORDABLE CARE ACT: CENTERS FOR DISEASE CONTROL AND PREVENTION INVESTIGATIONS AND TECHNICAL ASSISTANCE**

CDC\_Investigations, Technical Assistance and Affordable Care Act Projects

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 243, 247b(k)(2).

**OBJECTIVES:**

To assist State and local health authorities and other health related organizations in controlling communicable diseases, chronic diseases and disorders, and other preventable health conditions. Investigations and evaluation of all methods of controlling or preventing disease and disability are carried out by providing epidemic aid, surveillance, technical assistance, consultation, and program support; and by providing leadership and coordination of joint national, State, and local efforts. STEPS- To enable communities to reduce the burden of chronic disease, including: preventing diabetes among populations with pre-diabetes; increasing the likelihood that

persons with undiagnosed diabetes are diagnosed; reducing complications of diabetes; preventing overweight and obesity; reducing overweight and obesity; and reducing the complications of asthma. STEPS will achieve these outcomes by improving nutrition; increasing physical activity; preventing tobacco use and exposure, targeting adults who are diabetic or who live with persons with asthma; increasing tobacco cessation, targeting adults who are diabetic or who live with persons with asthma; increasing use of appropriate health care services; improving the quality of care; and increasing effective self-management of chronic diseases and associated risk factors. REACH - REACH U.S. supports community coalitions that design, implement, evaluate, and disseminate community-driven strategies to eliminate health disparities. Racial and ethnic groups targeted include: African American/Black, American Indian/Alaska Native, Asian, Native Hawaiian/Other Pacific Islander, and Hispanic/Latino. Health priority areas include: breast and cervical cancer; cardiovascular disease; diabetes mellitus; adult/older adult immunization, hepatitis B, and/or tuberculosis; asthma; and infant mortality. ACA funding: Policy Education --To ensure public policy leaders have the tools and knowledge to support improvements in the public health infrastructure so that the public health system is prepared to respond to both acute and chronic threats relating to the Nation's health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To strengthen State and local disease prevention and control programs, such as tuberculosis, childhood immunization, and sexually-transmitted diseases. To support national and local programs to combat disability related to epilepsy through education, partnership development, and enhanced communication. Services and program support: Epidemic aid; technical assistance (field studies and investigations of ongoing disease problems; occupational safety and health); consultation; dissemination of technical information; and provision of specialized services and assistance, including responses to public health emergencies. Training: Training State and local health professionals in broad areas of epidemiology, disability, and research programs such as hospital infections, hepatitis, vector-borne diseases, food-borne diseases, epilepsy, and tuberculosis, at the State or other health related organization's request.) To support capacity building, program planning, development, implementation, evaluation, and surveillance for current and emerging chronic disease conditions related to tobacco use. To achieve four Program Goals through community interventions and mobilization; counter-marketing; policy development and implementation, and surveillance and evaluation. Goals include preventing initiation to tobacco use among young people; eliminate exposure to second hand smoke; promote cessation among adults and young people who use tobacco; and identify and eliminate tobacco-related disparities among specific population groups. Lead regional efforts to prevent and reduce the use of tobacco and exposure to secondhand smoke. Conduct evaluations and implementation of culturally relevant and community competent tobacco control and prevention strategies and continue regional capacity building efforts. To address goal four of the National Tobacco Control Program (Identify and Eliminate Tobacco-Related Disparities). To eliminate health disparities among segments of the population, including differences that occur by gender, race or ethnicity, education, income, disability, geographic location, or sexual orientation. Establish a National Network consortium among six priority populations to coordinate and evaluate tobacco control and prevention initiatives through a broad national strategy to prevent and reduce tobacco use and exposure to second hand smoke and to eliminate tobacco-related disparities among priority populations. To provide funding to establish and/or enhance state-based telephone quitlines to provide tobacco cessation telephone counseling to the public at large. To fund projects that address the promotion of cessation among adults and young people who use tobacco (quitlines.) Address at the National level the promotion of cessation among adults and young people who use tobacco (quitlines). To build state arthritis programs that exponentially expand access and use of evidence-based interventions by embedding intervention programs into existing systems, conducting surveillance and data analysis to inform decision making, and developing state-level intervention, policy, and communication focused partnerships that further program goals. To strengthen state oral health programs and public health core capacity and to reduce inequalities in the oral health of targeted populations. To improve state public health programs, including support for program leadership and staff, to

monitor oral health risk factors, and for developing and evaluating prevention programs. To support evidenced- based interventions to prevent oral disease, including community water fluoridation and school-based dental sealant programs. To identify and disseminate information on best practices for state and community oral health programs. To assess state programs and provide recommendations to address gaps and weaknesses. To collaborate in development of the National Oral Health Surveillance System and to cosponsor the annual National Oral Health Conference. To develop initiatives related to oral disease prevention and chronic disease and health promotion capacity. To improve and strengthen state oral health infrastructure by providing technical assistance to state health agencies and coalitions, developing and implementing a plan to advance the Surgeon General's National Call to Action to Promote Oral Health. To coordinate the dissemination of comprehensive oral disease prevention information and health promotion programmatic expertise among state and local agencies and public and private sector organizations in the United States. To develop and promote policies to address oral disease prevention for high-risk adults. To identify modifiable barriers to optimal care across diverse managed care settings. To promote public awareness and partnership, provide interstitial cystitis (IC) education for the general public and for health care providers, and develop and enhance communication channels to allow for improved interaction and information sharing among those with IC, advocates for persons with IC and their families, those who provide care and services for persons with IC, researchers and public health scientists. To promote public awareness and partnerships, assess the impact and burden of cognitive impairment within states and nationally, describe the characteristics of expanded data on caregivers and care from a public health perspective, provide Alzheimers disease and cognitive health education for the general public and health professionals, and develop and enhance communication channels to allow for improved interaction and information sharing about cognitive impairment and Alzheimers disease.

ACA funding: Conduct policy education aimed at strengthening public health infrastructure and performance including: 1) training/education about health reform as it relates to improvement of public health infrastructure investments; 2) networking between jurisdictions to ensure peer support and intra-jurisdictional learning about the role of public health in health reform; and 3) technical assistance in policy development that supports public health goals.

**Applicant Eligibility:**

States, political subdivisions of States, local health authorities, Federally recognized or state recognized American Indian/Alaska Native tribal governments and organizations with specialized health interests may apply. Colleges, universities, private nonprofit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Beneficiary Eligibility:**

States, political subdivisions of States, local health authorities, and individuals or organizations with specialized health interests will benefit. Colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Credentials/Documentation:**

For other grantees, costs will be determined by HHS regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). To apply for research funding



opportunities, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. State and local governments may use Form 5161. An original and two copies must be submitted. This program is subject to the provisions of 45 CFR Parts 74 or 92, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

If additional support is desired to continue a research project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Projects are renewable for periods of 1 to 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 1 to 5 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial status and progress reports are required annually. Upon completion of the project, final financial status and performance reports are required. Interim reporting requirements may be delineated in the FOA. Cash reports are not applicable. Progress reports are required annually. Interim reporting requirements may be delineated in the FOA. Financial status reports are required annually. Upon completion of the project, final financial status reports are required. Progress reports are required annually. Upon completion of the project, performance reports are required. Interim reporting requirements may be delineated in the FOA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending

resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$937,391; FY 12 est \$937,398; and FY 13 est \$0. (Salaries) FY 11 \$937,391; FY 12 est \$937,391; and FY 13 est \$0 - PPACA Prevention and Public Health Fund (Title IV, Section 4002). (Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Please see fiscal information for years 2010, and 2011 for Racial and Ethnic Approaches to Community Health Cooperative

Agreement:

FY2010

DP07-707 - 24,203,000

DP09-905 - 1,499,589

DP10-1014 - 2,077,050

FY2011

DP07-707 - 9,697,132 (additional funding received from PHPF)

DP09-905 - 750,000

DP10-1014 - 2,055,760

FY2012 - 0 (President's Budget)

Please see fiscal information for years 2009, 2010, and 2011 for the Division of Oral Health for agreements 08-802, 816, 908, 1012 and 10-1012.

FY09

08-802: \$5,071,300

816: \$437,500

908: \$300,00

FY10

08-802: \$5,070,305

816: \$420,000

908: \$376,998

10-1012: \$880,342

FY 11 (Level Funding)

08-802: \$5,071,300

816: \$420,000

908: \$370,000

10-1012: \$880,342

FY10 est \$500,000; FY est not reported - PPACA Prevention and Public Health Fund (Title IV, Section 4002). (Salaries) FY 11 \$937,391; FY 12 est \$937,398; and FY 13 est \$0. (Salaries) FY 11 \$66,937,865; FY 12 est \$67,561,691; and FY 13 est \$0 - DP09-901.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit and identified on the notices of award. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None. DP09-901, DP09-902, DP08-811, HM08-805, DP10-1002.

**Headquarters Office:**

ELYSE HILL 4770 Buford Hwy, Atlanta, Georgia 30341 Phone: 770-488-5314

**Website Address:**

<http://www.cdc.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, boards of education and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed.

### **93.284 INJURY PREVENTION PROGRAM FOR AMERICAN INDIANS AND ALASKAN NATIVES\_COOPERATIVE AGREEMENTS**

Injury Prevention Program for American Indians and Alaskan Natives\_Cooperative Agreements

#### **FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 301a.

#### **OBJECTIVES:**

To improve the quality of the health of American Indians and Alaska Natives by developing the capacity of tribes to address their injury problems.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

The assistance is used for three types of injury prevention related projects: (1) Part I Basic: Build or enhance local injury prevention capacity; and (2) Part II Intervention: Implement a proven or promising injury prevention intervention. This assistance is available to federally-recognized Indian tribes, tribal organizations, and urban Indian organizations. All IHS funds are discretionary funds.

#### **Applicant Eligibility:**

Federally-recognized tribes, tribal organizations, non-profit organizations serving primarily American Indians and Alaska Natives, and urban Indian organizations may apply.

#### **Beneficiary Eligibility:**

Individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership or restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

#### **Credentials/Documentation:**

Certification of American Indian or Alaska descent is required for direct services. Provisions of cooperative agreement require tribal endorsement in the form of Resolution to sanction tribal participation. Costs will be determined in accordance with OMB Circular No. A-87 for State, local, and Indian tribal governments (and Circular No. A-122 for Nonprofit Organizations) implemented through applicable grant administration regulations 45 CFR, 92 (45 CFR, 74 for nonprofit organizations). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Standard application forms, as furnished by IHS and required by 45 CFR, 92, for State and local governments and 45 CFR, 74, for nonprofit organizations, must be used for this program. Injury Prevention Programs are processed and administered by IHS Headquarters. This program

is subject to the provisions of 45 CFR 92 for Indian tribes and Part 74 for Nonprofit organizations.

#### **Award Procedure:**

Cooperative agreements are awarded on a competitive basis with processing and final approved by Indian Health Service Headquarters.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, program office.

#### **Appeals:**

Cooperative agreement appeals will follow PHS appeals procedures: 42 CFR, Part 50 Subpart D and DHHS appeals procedures: 45 CFR, Part 16.

#### **Renewals:**

Renewal of multi-year cooperative agreements is on a year-to-year basis and requires the submission of continuation applications.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

IHS Grants are usually 3 to 5 years for a project period. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

#### **Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, that are pertinent to the HHS grant in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, 92.42, grantees are required to maintain grant records 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0390-0-1-551.

#### **Obligations:**

(Cooperative Agreements) FY 11 \$1,400,000; FY 12 est \$1,400,000; and FY 13 est \$1,400,000

#### **Range and Average of Financial Assistance:**

Injury Prevention: Part I Basic Core Capacity Injury Prevention up to \$75,000; Part II Injury Intervention up to \$10,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74, HHS Grants Policy Statement dated 1/07, ; Program Guidelines for Competitive Projects.

**Regional or Local Office:**

None. See Appendix IV of the Catalog for Indian Health Service Area Offices.

Injury Prevention Program Contact: Ms. Nancy Bill, Injury Prevention Program Manager, Indian Health Service, 801 Thompson Avenue, Suite 120, Rockville, MD 20852. Telephone: (301) 443-1054.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The apparent capability of the applicant to organize and manage the proposed project successfully considering the adequacy of staff, management systems, equipment and facilities; (2) the soundness of the applicant's plan for conducting the project and for assuring effective utilization of grant funds; (3) the adequacy of the budget in relation to the scope of the project and available funds; and (4) the relative effectiveness of the applicant's plan to carry out each of the requirements as set forth in the application.

**93.285 NATIONAL INSTITUTES OF HEALTH PEDIATRIC RESEARCH LOAN REPAYMENT PROGRAM**

(NIH Pediatric Research Loan Repayment Program; PR-LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-310, 42 U.S.C. 288-6, Title IV, Part G, Section 487F, Public Law 106-310, 42 U.S.C 288-6.

**OBJECTIVES:**

To attract and retain health professionals to pediatric research careers by offering educational loan repayment for participants who agree by written contract to engage in pediatric research in a qualifying nonprofit institution for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

To provide repayment of extant educational loans incurred by health professionals engaged in pediatric research in a qualified nonprofit institution or Federal or other domestic government agency (State or local), and who are engaged in research that is supported by a nonprofit foundation, nonprofit professional association, or other nonprofit entity, or a Federal or other domestic government agency (State, local). Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the

period of program service. Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements, plus discretionary state and local tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold."

**Applicant Eligibility:**

Eligible applicants must: (1) be a U.S. citizen, U.S. national, or permanent resident of the United States; (2) have a Ph.D., M.D., D.O., D.D.S., D.M.D., D.P.M., Pharm.D., D.C., N.D., O.D. or equivalent doctoral degree from an accredited institution; (3) have total qualifying educational loan debt equal to or in excess of 20 percent of their institutional base salary on the date of program eligibility (the effective date that a loan repayment contract has been executed by the Secretary of Health and Human Services or designee); (4) conduct qualifying research supported by a domestic nonprofit foundation, nonprofit professional association, or other nonprofit institution, or a U.S. or other government agency (Federal, State, or local); (5) engage in qualified pediatric research (pediatric research is research that is directly related to diseases, disorders, and other conditions in children); (6) engage in qualified pediatric research for at least 50 percent of their time, i.e., not less than 20 hours per week based on a 40 hour week; (7) agree to conduct research for which funding is not prohibited by Federal law, regulation, or HHS/NIH policy, and in accordance with applicable Federal, State and local law (e.g., applicable human subject protection regulations); and (8) sign and submit to the Secretary of Health and Human Services, at the time of application submission, a contract agreeing to engage in pediatric research in a qualifying institution for a minimum of 2 years. Full-time employees of Federal Government agencies are ineligible to apply for LRP benefits. Part-time Federal employees who engage in qualifying research as part of their non-Federal duties for at least 20 hours per week based on a 40 hour week, and who are not compensated as Federal employees for their research, are eligible to apply for loan repayment if they meet all other eligibility requirements.

**Beneficiary Eligibility:**

Health professionals who are interested in pursuing pediatric research careers who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research supervisor), and Description of the Research Environment (completed by the research supervisor), Training or Mentoring Plan (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is non-profit (exempt from tax under 26 USC 501), and (d) provides the applicant's institutional base salary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is

forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for review, scoring, and ranking.

**Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Pediatric Research Loan Repayment Program. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility re-certified by the Institute or Center which approved their application. Contact the NIH via e-mail at LRP@NIH.GOV for further guidance.

**Deadlines:**

Nov 15, 2012: At 8:00 p.m., EST. Review the Loan Repayment Program website [www.lrp.nih.gov](http://www.lrp.nih.gov), or contact the Headquarters Office listed below for the application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. The approximate time for approval/disapproval is 6 months from the closing date of the annual application period.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. At the conclusion of the initial 2-year contract, participants may apply and be considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Eligible renewal applications that score within the funding range receive continuation contracts.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One or 2-year continuation contracts are available for eligible individuals whose renewal applications score within the funding range. Payments will be made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation.

**Account Identification:**

75-4554-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$18,400,000; FY 12 est \$19,000,000; and FY 13 est \$19,000,000

**Range and Average of Financial Assistance:**

For initial 2-year contract periods, loan repayment of 50 percent of education debt up to \$70,000 plus tax payments. For renewal contracts, loan repayment of 50 percent of education debt per year up to \$35,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 412. Fiscal Year 2012: 425. Fiscal Year 2013: 425.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in the Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-310, 42 U.S.C. 288-6. The NIH PR-LRP was initially announced by publication of a Notice in the Federal Register (Vol.

66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephen J. Boehlert, 6011 Executive Blvd., Suite 206, Bethesda, Maryland 20892 Email: [boehlers@od.nih.gov](mailto:boehlers@od.nih.gov) Phone: (301) 451-4465.

**Website Address:**

<http://www.lrp.nih.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.209 Contraception and Infertility Research Loan Repayment Program; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.307 Minority Health and Health Disparities Research ; 93.308 Extramural Loan Repayment for Individuals from Disadvantaged Backgrounds Conducting Clinical Research; 93.364 Nursing Student Loans; 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Pediatric Research Loan Repayment Program. Applications that are on time, complete and eligible are referred to the appropriate NIH Institute or Center by the NIH Center for Scientific Review. The NIH Institutes and Centers convene panels comprised of non-NIH scientists to review, score and rank applications. In evaluating the application, reviewers are directed to consider the following components as they relate to the likelihood that the applicant will continue in a research career: (1) potential of the applicant to pursue a career in research, and (2) quality of the overall environment to prepare the applicant for a research career.

**93.286 DISCOVERY AND APPLIED RESEARCH FOR TECHNOLOGICAL INNOVATIONS TO IMPROVE HUMAN HEALTH  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 401(b)(1) &467z.

**OBJECTIVES:**

To support hypothesis, design, technology, or device-driven research relation to the discovery, design, development, validation, and application of technologies related to biomedical imaging and bioengineering. The program includes biomaterials (biomimetics, bioprocessing, organogenesis, rehabilitation, tissue engineering, implant science, material science, interface science, physics and stress engineering, technology assessment of materials/devices), biosensors/biotransducers (technology development, technology assessment, development of algorithms, telemetry), nanotechnology (nanoscience, biomimetics, drug delivery systems, drug bioavailability, microarray/combinatorial technology, genetic engineering, computer science, technology assessment), bioinformatics (computer science, information science, mathematics, biomechanics, computational modeling and simulation, remote diagnosis and therapy), imaging device development, biomedical imaging technology development, image exploitation, contrast agents, informatics and computer sciences related to imaging, molecular and cellular imaging, bioelectrics/biomagnetics, organ and whole body imaging, screening for diseases and disorders, and imaging technology assessment and surgery (technique development and technology development).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research Grant funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant.

Individual National Research Service Awards (NRSAs) are made directly to individuals for research training in specified areas related to the mission of NIBIB. Institutional NRSAs may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRSA postdoctoral fellowship or traineeship is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research (SBIR) Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Only Phase I awardees are eligible to apply for Phase II support. Small Business Technology Transfer (STTR) Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

Any corporation, public or private institution or agency, or other legal entity, either nonprofit or for-profit, may apply for a research grant. An applicant for an individual NRSA must be a citizen of the United States or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. An eligible institution for an institutional NRSA must be capable of providing predoctoral and/or postdoctoral research training opportunities for engineers, bioengineers or other. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit; are not dominant in the field in which research is being proposed; and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, a grant application must be reviewed for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Credentials/Documentation: Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. For an individual NRSA, the applicant's academic record, research experience, citizenship, and institutional sponsorship should be documented in the application. For an institutional NRSA, the applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular No. A-21, Cost Principles for Educational Institutions and OMB Circular No. A-87 for State and local governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Use of SF424 (R&R) Adobe Version B series or PHS 398 (Rev. 11/2007), and associated forms are required for all applications submitted to the NIH. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application Form PHS 398 (Rev. 11/2007) is the standard form. Application kits are available on-line at <http://grants1.nih.gov/grants/oe.htm>. Completed applications should be submitted via Grants.gov (<http://www.grants.gov>) or to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. The standard application forms, as furnished by PHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. The same application form will be used for all types of applications including training (NRSA), both individual and institutional, and SBIR/STTR. The training (NRSA) program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. SBIR and STTR grant applications should be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) SBIR/STTR Application Guide.

**Award Procedure:**

All applications for research or training are reviewed for scientific merit by an appropriate initial review group and then by a national advisory council. All applications favorably recommended compete for available funds on the basis of scientific merit and program emphasis. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Feb 01, 2009 Research Grants: February 1, June 1, and October 1. Renewals: March 1, July 1, and November 1. Individual NRSAs: April 5, August 5, and December 5. Institutional NRSA's: January 10, May 10 and September 10. SBIR or STTR: April 1, August 1, and December 1.

**Range of Approval/Disapproval Time:**

> 180 Days. Research Grants: From 6 to 9 months. NRSAs: From 6 to 9 months. SBIR/STTR: About 7.5 months.

**Appeals:**

From 30 to 60 days. A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

> 180 Days. Research Grant applications submitted for renewal are reviewed and selected for funding on a competitive basis. NRSA awards may be made for 1 to 5 years. No individual may receive more than 5 years of aggregate NRSA support beyond the predoctoral level, and no individual may receive NRSA support for more than 3 years of support beyond the postdoctoral level. Institutional awards may be renewed.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research Grant awards are usually made annually with no project periods to exceed 5 years in length. NRSA Institutional awards may be made for up to 5 years, and Individual awards may be made for up to 5 years at the predoctoral level, 3 years at postdoctoral level, and 2 years at senior level. Normally SBIR and STTR Phase I awards are for 6 months and Phase II awards are for 2 years.

See the following for information on how assistance is awarded/released:  
Normally, awards are released each fiscal year.

**Reports:**

No program reports are required. Cash reports are not applicable. Annual Progress Reports are required. Instructions are found:  
<http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-09-139.html>. Annual financial status reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For nongovernmental grant recipients, audits are to be carried out in accordance with the provisions set forth in OMB Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0898-0-1-552.

**Obligations:**

(Salaries) FY 11 \$313,787,000; FY 12 est \$338,261,000; and FY 13 est \$336,896,000

**Range and Average of Financial Assistance:**

FY 11, Range: \$3000 - \$2498556 Avg.: \$392413; FY 12 est. Range: \$3,000 - \$2352119; Avg.: \$410344; FY 13 est. Range: \$3,000 - \$2300313; Avg.: \$408362.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 685. Fiscal Year 2012: FY 12 est. of No. of Awards will be: 698. Fiscal Year 2013: 708.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Program Contact: William Heetderks, MD, PhD, National Institute of Biomedical Imaging and Bioengineering, National Institutes of Health, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone Number: (301) 496-9388. Facsimile: (301) 480-4973. Business Contact: Joe Mossiman, National Institute of Biomedical Imaging and Bioengineering, National Institutes of Health, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone Number: (301) 451-4247. Facsimile: (301) 480-4530. Use the same numbers for FTS.

**Headquarters Office:**

Anthony Demsey Office of Research Administration, National Institute of Biomedical Imaging and Bioengineering, 6707 Democracy Blvd. Suite 200, MSC-5477, Bethesda, Maryland 20892-5477 Email: demseya@od.nih.gov Phone: (301) 402-7039 Fax: (301) 480-4973.

**Website Address:**

<http://www.nibib.nih.gov> .

**RELATED PROGRAMS:**

93.113 Environmental Health; 93.121 Oral Diseases and Disorders Research; 93.172 Human Genome Research; 93.173 Research Related to Deafness and Communication Disorders; 93.242 Mental Health Research Grants; 93.273 Alcohol Research Programs; 93.279 Drug Abuse and Addiction Research Programs; 93.361 Nursing Research; 93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.837 Cardiovascular Diseases Research; 93.838 Lung Diseases Research; 93.839 Blood Diseases and Resources Research; 93.846 Arthritis, Musculoskeletal and Skin Diseases Research; 93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research; 93.853 Extramural Research Programs

in the Neurosciences and Neurological Disorders; 93.855 Allergy, Immunology and Transplantation Research; 93.856 Microbiology and Infectious Diseases Research; 93.859 Biomedical Research and Research Training; 93.865 Child Health and Human Development Extramural Research; 93.866 Aging Research; 93.867 Vision Research; 93.879 Medical Library Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge be advanced? What will be the effect of these studies on the concepts or methods that drive this field? (2) Approach: Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? (3) Innovation: Does the project employ novel concepts, approaches or method? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies? (4) Investigator: Is the investigator appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the principal investigator and other researchers (if any)? (5) Environment: Does the scientific environment in which the work will be done contribute to the probability of success? Do the proposed experiments take advantage of unique features of the scientific environment or employ useful collaborative arrangements? Is there evidence of institutional support? (6) the appropriateness of the proposed budget and duration in relation to the proposed research; (7) the relevance and importance to announced program objectives; (8) the adequacy of plans to include both genders, minorities and their subgroups, and children as appropriate for the scientific goals of the research. Plans for the recruitment and retention of subjects will also be evaluated; (9) the adequacy of the proposed protection for humans or the environment, to the extent they may be adversely affected by the project proposed in the application; and (10) the adequacy of the proposed plan to share data, if appropriate. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a)safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.288 NATIONAL HEALTH SERVICE CORPS SCHOLARSHIP PROGRAM**

NHSC Scholarship Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title III, Section 338A of the Public Health Service Act (42 USC 254i), as amended Sections 338C-H of the Public Health Service Act (42 USC 254m-q), as amended Section 10503 of the Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

The National Health Service Corp (NHSC) Scholarship Programs objective is to increase the supply of primary care physicians, dentists, certified nurse midwives, primary care nurse practitioners, and physician assistants and, if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSAs) within the United States by providing service-obligated scholarships to health professions students.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships for full-time students of allopathic (M.D.) and osteopathic (D.O.) medicine, dentistry, primary care nurse practitioner, nurse midwifery, and primary care physician assistants. Other health disciplines may be included if needed by the National Health Service Corps. Scholarships pay tuition and required fees to the school, a stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. Reasonable expenses may include books, supplies, equipment, uniforms, travel for the provision of clinical services, etc. The program requires 1 year of service for each year of scholarship support, with a minimum 2-year service commitment post graduation. A maximum of 4 years of support may be awarded. Service sites are selected by the scholarship recipient from the list of high priority sites in HPSAs identified by the NHSC.

Refer to the NHSC Scholarship Program Guidance for specific requirements.

**Applicant Eligibility:**

At the time of award, the applicant must be a U.S. citizen or national. The applicant must be enrolled or accepted for enrollment in an accredited school in a State, the District of Columbia, or a U.S. Territory as a full-time student in a course of study leading to a health professional degree. The applicant must be eligible for Federal employment, be free of any Federal judgment liens, not be excluded, debarred, suspended or disqualified by a Federal agency, and have no conflicting service obligation. The applicant must submit an application and a signed contract to the National Health Service Corps agreeing to accept payment of scholarship and provide full-time primary health services in a Health Professional Shortage Area.

**Beneficiary Eligibility:**

U.S. citizens or nationals enrolled or accepted for enrollment in a State in a course of study leading to a health professional degree.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may apply online at <https://programportal.hrsa.gov>

**Award Procedure:**

NHSC SP awards are very competitive; the Program anticipates more applicants for scholarship awards than there are funds available. The applications of individuals who meet the eligibility criteria are scored numerically. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification in writing is made to those in the final selection by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification to successful and rejected applicants is made no later than 6 months after deadline from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications are not necessary for students in compliance; contracts may be multi-year funded through graduation (1 to 4 years, if the applicant signs the contract through the graduation date).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each award covers up to 1 to 4 years of support, as requested. No awardees may receive more than 4 years of support. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through PSC.

**Reports:**

Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester.

The employing facility must complete and send a semi-annual Service Verification Form verifying that the participating health professional is providing service. The certification includes a signature by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

Not applicable.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$682,138; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Range of new awards: \$32,000 - \$510,000 with av average award of \$186,971.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 5 new awards. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see application process at <http://nhsc.hrsa.gov/>

**Regional or Local Office:**

None. National Health Service Corps Scholarship Program, Division of National Health Service Corps, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8-37, 5600 Fishers Lane., Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services 5600 Fishers Lane, Room 8A-55, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

<http://nhsc.hrsa.gov/>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.303 Nursing Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Awards are made to health professions students committed to a career in primary care and service in underserved communities of greatest need. Fiscal Year 2012: Not currently available. Fiscal Year 2013: Not currently available.

**CRITERIA FOR SELECTING PROPOSALS:**

By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Second priority will be given to applicants who display characteristics that increase the probability that they will continue professional practice in a Health Professional Shortage Area when they complete their service obligation. Third priority will be given to students who are from a "disadvantaged background."

**93.289 PRESIDENT'S COUNCIL ON FITNESS, SPORTS, AND NUTRITION**

(PCFSN)

**FEDERAL AGENCY:**

President's Council on Fitness, Sports, and Nutrition, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order Executive Order 13265, dated June 6, 2002, as amended by Executive Order 13545, dated June 22, 2010.

**OBJECTIVES:**

There are no funds associated with this announcement. The PCFSN does not have grant-making authority. The objectives of the PCFSN are to expand interest in and awareness of the importance of regular physical activity, fitness, sports participation and good nutrition for Americans of all ages by encouraging the development, improvement, or enhanced coordination of programs that promote healthy lifestyles. These objectives are accomplished by providing consultation and technical assistance, creating partnerships with public, private and non-profit organizations, releasing publications and maintaining a web presence (via web site and social media), and by accessing or capitalizing on a variety of outreach opportunities. The PCFSN does not have authority to make Federal funds available to provide assistance.

**TYPES OF ASSISTANCE:**

ADVISORY SERVICES AND COUNSELING

**USES AND USE RESTRICTIONS:**

Providing public information on physical activity, fitness, sports, and nutrition programs.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public. The PCFSN only provides public information on physical activity, fitness, sports, and nutrition programs. The PCFSN has no grant-making authority.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The PCFSN has no funds available to offer any type of financial assistance. However, requests for technical assistance and/or advisory services can be submitted to the Council in writing or orally. This program is excluded from coverage under E.O. 12372.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not applicable.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. See the following for information on how assistance is awarded/released: Not applicable. The PCFSN has no grant making authority.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$1,225,000; FY 12 est \$1,248,000; and FY 13 est \$1,100,000 - Funds are appropriated to the PCFSN to support program operations, including activities of the Council, only. The PCFSN has no authority to provide financial assistance. The PCFSN has no grant-making authority.

**Range and Average of Financial Assistance:**

Not applicable. The PCFSN has no grant-making authority.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the PCFSN challenged one million Americans to be regularly physically active by earning a Presidential Active Lifestyle Award (PALA). The Million PALA Challenge ended in September 2011. The established goal was met and exceeded; the PALA was earned by 1.7 million Americans, aged six years and older. More than 100 organizations from the private and public sectors worked in partnership with the PCFSN to achieve this outstanding milestone. Through their media presence and by working with a variety of groups, the Council members helped to raise awareness about the need to be regularly physically active. A new version of PALA was launched in September 2011. The Presidential Active Lifestyle Award: Activity + Nutrition (PALA+) promotes regular physical activity and good nutrition to achieve and maintain a healthy lifestyle. Anyone six years and older can earn the PALA+. Fiscal Year 2012: During FY 2012, the PCFSN has promoted participation in PALA+, with assistance from partnering organizations. The Council also has supported First Lady Michelle Obama's "Let's Move!" and Joining Forces initiatives in a variety of capacities with the goal of improving the health of Americans. On September 4, 2012, the Council launched a Physical Activity Outreach initiative that promotes the positive physical and cognitive benefits of regular activity among youth, including improved concentration, and time-on-task skills. On September 10, 2012, the PCFSN launched the new Presidential Youth Fitness Program. The Program promotes the use of health-related assessment and professional tools and recognition items that will encourage adoption of lifelong physical activity habits for improved health. Fiscal Year 2013: In FY 2013 the PAXON will facilitate partnerships that encourage the use or enhancement of its programs and existing resources. Information on these initiatives is posted on the PAXON website ([www.fitness.gov](http://www.fitness.gov)). and on the website of the PAXON President's Challenge Physical Activity, Fitness, and Nutrition Awards Program ([www.presidentschallenge.org](http://www.presidentschallenge.org)).

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.



**Regional or Local Office:**

See Regional Agency Offices. Shannon Feaster, President's Council on Fitness, Sports, and Nutrition; Department of Health and Human Services; 1101 Wootton Parkway; Tower Building, Suite 560; Rockville, MD 20852; Telephone: (240) 276-9857; Fax: (240) 276-9860. Email address: shannon.feaster@hhs.gov.

**Headquarters Office:**

Shannon Feaster Suite 560 Tower Building  
1101 Wootton Parkway, Rockville, Maryland 20852 Email:  
shannon.feaster@hhs.gov Phone: (240) 276-9857 Fax: (240) 276-9860

**Website Address:**

<http://www.fitness.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.290 NATIONAL COMMUNITY CENTERS OF EXCELLENCE IN WOMEN'S HEALTH**

(CCOE or Community Centers of Excellence)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

42 U.S.C. 300u-2(a), 42 U.S.C 300u-2(a).

**OBJECTIVES:**

To provide recognition and funding to community-based programs that unite promising approaches in women's health across the following six components: (1) Comprehensive health service delivery; (2) training for lay and professional health providers; (3) community- based research; (4) public education and outreach; (5) leadership development for women as health care consumers and providers; and (6) technical assistance to ensure the replication of promising models and strategies that coordinate and integrate women's health activities at the community level and improve health outcomes for underserved women. The focus of the CCOE initiative is to integrate, coordinate, and strengthen linkages between activities/programs that are already underway in the community in order to reduce fragmentation in women's health services and activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

A majority of the funds from the CCOE award must be used to support staff and efforts aimed at coordinating and integrating the major components of the CCOE program. The Center Director, or the person responsible for the day-to-day management of the CCOE program, must devote at least a 75 percent level of effort to the program. Additionally, 25 percent of the award funding must target efforts to foster the transfer of lessons learned/successful strategies from the CCOE program (technical assistance). Funds may be used for personnel, consultants, supplies (including screening, education, and outreach supplies), and grant related travel. Items costing less than \$5,000 are considered to be supplies. Funds may not be used for construction, building alterations, medical treatment, equipment, or renovations. All budget requests must be fully justified in terms of the proposed CCOE goals and objectives and include a computational explanation of how costs were determined. Applications from academic health centers or organizations that are part of academic health centers and state, county and local health departments will not be accepted. To ensure a wide geographic distribution of the Center of Excellence in Women's Health model, applications will not be accepted from organizations in States or territories that currently have a CCOE or a CoE program. Applications will not be accepted from organizations in the following States/Territories: AZ, CA, IL, IN, LA, MA, MI, MO, MN, NM, NY, OH, PA, PR, VT, WA, and WI.

**Applicant Eligibility:**

The CCOE applicant must be public or private nonprofit community-based hospitals, community health centers, or community-based organizations serving underserved women. Community entities/organizations, including faith-based organizations, that have alliances, partnerships, networks with, or have other affiliations with an academic health center are also eligible to apply for a CCOE grant as long as the community entity/organization has a leading management role in the activity and maintain control of all funds. Organizations that have previously submitted CCOE applications, but were not funded, are also eligible to reapply for this award.

**Beneficiary Eligibility:**

Underserved women will benefit.

**Credentials/Documentation:**

Each applicant for a cooperative agreement funded under this CCOE announcement must, at a minimum: (1) present a plan to integrate all six components of the CCOE program by the end of the first year of funding, although only four components have to be in place at the time the application is submitted; (2) develop a CCOE advisory board or ensure that their already established advisory board is included in the decision-making process for CCOE program development, identification of community-based research questions, and formulation of CCOE policies; (3) be a sustainable organization with an established network of partners capable of providing coordinated and integrated women's health services in the targeted community; (4) have an established clinical care center/facility, an operating public educational/outreach program, and a community identified as the recipient of technical assistance at the time the application is submitted; (5) demonstrate the ways in which the organization and the care that are coordinated through its partners are women-focused, women-friendly, women-relevant, and sensitive to the importance of patient/provider communication/relationships for medically underserved women of all ages; (6) detail/specify the roles and resources/services that each partner organization brings to the program, the duration and terms of agreement as confirmed by a signed agreement between the applicant organization and each partner, and describe how the partner organizations will operated within the CCOE structure; (7) describe in detail plans for the local evaluation of the CCOE program and when and how information obtained from the evaluation will be used to enhance the CCOE program; and (8) describe in detail the planned community-based research and the research methodology/procedure. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All available grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Application kits may be requested by calling 240-453-8822 or writing to: Office of Assistant Secretary for Health, Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be incomplete, arrive after the deadline, or are from states that already have a CCOE or a CoE program will be returned without comment. Accepted applications will be reviewed for technical merit in accordance with OASH policies. Applications will be evaluated by a technical review panel composed of experts in the fields of program management, community service delivery, community service delivery, community outreach, health education, community-based research, education, training, leadership/career development, and technical assistance to other communities. Funding decisions will be determined by the Director, Division for Program Management, Office on Women's Health and will take into consideration the recommendations and ratings of the review panel; program needs, stated preferences; geographic location; and recommendations of DHHS Regional Women's Health Coordinators. Preference will be given to DHHS regions that do not have a

CCOE or a CoE program and to programs proposed to be implemented in medically underserved areas, enterprise communities, empowerment zones, and applications from Regions IV and VIII.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Project period is for 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Support may be requested for a total project period not to exceed 5 years. Non-competing continuation awards of up to \$150,000 will be made subject to satisfactory performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Quarterly progress and end-of-year reports are required for each budget period. Financial status reports are due quarterly and at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$2,999,742; FY 12 est \$3,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$250,000-\$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact: Department of Health and Human Services, Assistant Secretary for Health (OASH), Office on Women's Health, 200 Independence Ave, SW, Washington, DC 20201.

Grants Management Contact:

Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.4woman.gov/owh/CCOE/index.htm> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications selected for funding will be reviewed using the following criteria: (1) The implementation plan as judged by the appropriateness of the existing community resources and linkages, the appropriateness of the proposed approach, component integration, and specific activities described to address each element of the CCOE program, soundness of the evaluation plan, willingness to anticipate in the national CCOE evaluation, and willingness to contribute to the development of a comprehensive national CCOE "how-to manual." (2) The management plan which describes the applicant organization's capability to manage the project as determined by the qualifications of the proposed staff or requirements for "to be hired" staff, proposed staff level of effort, management experience of the lead agency and the experience, resources, and role of each partner organization. (3) The evaluation plan and its relationship to program goals. (4) Plans for the provision of technical assistance and the potential for replication of the CCOE model in similar populations and communities. (5) The merit of the objectives outlined by the applicant do address the CCOE program in a way relevant to the targeted community needs and available resources. (6) Adequacy of demonstrated knowledge of systems of health care for underserved women at the local level; demonstrated need within the proposed local community and target population of underserved women; demonstrated support and established linkages in place to operate a fully functional CCOE program; demonstrated access to medically underserved women; and documented past efforts/activities outcome with underserved women.

**93.291 SURPLUS PROPERTY UTILIZATION**

(Federal Property Assistance Program)

**FEDERAL AGENCY:**

Program Support Center, Department of Health and Human Services

**AUTHORIZATION:**

Federal Property and Administrative Services Act of 1949, Section 203(k), Public Law 81-152, 40 U.S.C. 484., Section 203(k), Public Law 81-152, 101 Stat. , 40 U.S.C 484; Stewart B. McKinney Homeless Assistance Act of 1987, Section 501, Public Law 100-77, 101 Stat. 509, 42 U.S.C 11301.

**OBJECTIVES:**

To convey or lease all surplus Federal real properties made available by the disposal agency which are needed and usable by eligible organizations and institutions to carry out health programs, including homeless assistance programs.

**TYPES OF ASSISTANCE:**

Sale, Exchange, or Donation of Property and Goods

**USES AND USE RESTRICTIONS:**

Real property must be used for eligible health purposes including research. It may consist of land with or without buildings and other improvements or buildings only. A discount of up to 100 percent based on the proposed program use is granted. This discount applied against the fair value of the property, is earned by approved use over a prescribed period of 30 years for land with or without improvements, and a lesser time for leased facilities and improvements which are sold without land. Allowance of less than 100 percent requires payment of the difference in cash at the time of conveyance. Property must be used for the purpose for which conveyed, and may not be sold, leased, mortgaged, or encumbered without consent of the Department. Property must be used for the approved purpose for a specific period of time (i.e., 30 years);

property can not be sold, encumbered, mortgaged, etc. without prior approval of office; grantee required to submit annual utilization reports; grantee must not discriminate in its use of the property; etc.

**Applicant Eligibility:**

States, their political subdivisions and instrumentalities; tax-supported public health institutions, and nonprofit institutions which (except for institutions which lease property to assist the homeless under Title V of Public Law 100-77) have been held exempt from taxation under Section 501 (c) (3) of the 1986 Internal Revenue Code.

**Beneficiary Eligibility:**

Anyone attending, working with or for, or served by the eligible applicants. Examples of potentially eligible use programs are hospitals, public health clinics, water and sewer systems, institutions for the rehabilitation of mentally or physically handicapped, health research institutions, homeless assistance facilities, and other institutions with basic health programs.

**Credentials/Documentation:**

Applicants must demonstrate current need for properties they request and the ability to carry out the proposed program. Applicants must also provide documentation of its authority to hold title to real property and evidence of tax-exempt status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Notice of availability of surplus real property is sent by the Division of Property Management, Program Support Center (PSC), Department of Health and Human Services (DHHS), to all known potentially interested institutions. When applying for real property, an informal preapplication conference either in person or by telephone is recommended. At that time, consultation and assistance are available to aid in the preparation of an application. Applicants are required to submit factors for consideration of potential environmental impact, in accordance with the Environmental Questionnaire furnished with the application instructions. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants interested in acquiring Federal real properties must contact the Division of Property Management, PSC, DHHS.

**Award Procedure:**

Real property is awarded to the applicant whose programs of use are determined to be in the highest public interest. Land (with or without improvements) is conveyed by quitclaim deed or lease; buildings for off-site removal are by agreement of sale.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Normally, approval or disapproval is made within 30 days after an application has been submitted for real property. For properties to assist homeless individuals under Title V of the McKinney Act, approval or disapproval is made 25 days after a complete application is received.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Deed restrictions run for a period of 30 years and Agreements of Sale are normally for 5 years, after which the transferee has clear title to the property. Restrictions on leased property run for the period of the lease. See the following for information on how assistance is awarded/released: Via deed or lease.

**Reports:**

Transferee is required to submit an annual utilization report on the operation and maintenance of the property. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Department's Audit agency makes periodic audits of the headquarters operation and may make spot checks of the utilization by real property transferees.

**Records:**

Transferees of real property, who expend funds to rebuild, refurbish, or to otherwise improve property under restrictions, should maintain records of these costs in the event they wish to dispose of the property prior to termination of the restriction period.

**Account Identification:**

75-4552-0-1-551.

**Obligations:**

(Sale, Exchange, or Donation of Property and Goods) FY 11 \$587,741; FY 12 est \$632,258; and FY 13 est \$707,906

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title 45, Subtitle A, Part 12, Disposal and Utilization of Surplus Real Property for Public Health Purposes. Literature: The following pamphlet is available from the Division of Property Management: "How to Acquire Federal Surplus Real Property for Public Health Purposes," at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Theresa M. Ritta 5600 Fishers Lane, Parklawn Building  
Suite 12-07, Rockville, Maryland 20857 Email: tritta@psc.gov Phone: (301) 443-2265

**Website Address:**

<http://www.psc.gov/aos/federalprop>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications must establish eligibility of the institution, its programs, and the proposed use to meet the program needs. A public benefit allowance formula, uniformly applied, determines the respective benefits of each program. Basic allowance of 50 percent is allowed to institutions meeting the following: (1) Proof of current need; (2) ability to operate and maintain; (3) suitability of facilities or adaptability for conversion; (4) requirement for utilization through period of restrictions; and (5) nondiscrimination because of race, color, sex, age, handicap, or national origin. Additional allowances are made for tax support, accreditation, hardship, integrated research, outpatient services, public services, and training programs. For competing programs, the one showing the greatest public benefit is selected. Where property can be divided, as many compatible programs as possible are accommodated.

**93.296 STATE PARTNERSHIP GRANT PROGRAM TO IMPROVE MINORITY HEALTH**

State Partnership Program

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707 (e)(1), 42 U.S.C. 300u et seq., Title 17, Section 1707, 42 U.S.C 300u et seq.

**OBJECTIVES:**

To facilitate the improvement of minority health and eliminate health disparities (adult/child immunization, asthma, cancer, diabetes, heart disease and stroke, HIV, infant mortality, and mental health) through the development of partnerships with state and territorial offices of minority health.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used to support the development and implementation of minority-targeted strategies which will facilitate improvement in minority health and address health disparities and gaps. Funds are not to be used for the provision of health care treatment, for construction, or to supplant ongoing project activities.

**Applicant Eligibility:**

State/Territorial Offices of Minority Health (established through legislation, executive order, or a directive process) are eligible to apply.

**Beneficiary Eligibility:**

Members of minority groups: Alaskan Natives; American Indians; Asians; Blacks/African Americans; Hispanics/Latinos; Native Hawaiians and other Pacific Islanders; or subgroups of these.

**Credentials/Documentation:**

Documentation to verify official status as a State or Territorial Office of Minority Health (e.g., copy of Executive Order, statute, or administrative directive) and a signed statement from an authorizing official (e.g., Commissioner of Health or designee in the state/territorial Department of Health). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application kits for this Program may be obtained by accessing Grants.gov at <http://www.grants.gov> or the GrantSolutions system at <http://www.grantsolutions.gov>. To obtain a hard copy of the application kit for this grant program, contact OASH Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852; or by phone at 2404538822. Applications are screened upon receipt for completeness, responsiveness and conformance to the program announcement. Those applications judged to be unacceptable based on this initial screening will be returned. Applications may only be submitted electronically via the electronic submission mechanisms specified in the program announcement. Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the Grants.gov Web Site Portal is encouraged. Information about this system is available on the Grants.gov Web Site.

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Minority Health will make a final decision on funding projects and a notice of grant award will be issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Approximately 90 to 120 days from the application deadline date.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Approximately 90 to 120 days from the application deadline date.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants can have a project period not to exceed 5 years, with 12 month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the Notice of Grant Award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress reports are required semi-annually. Cash reports are required for each cash withdrawal or transfer. Progress reports are required for each budget period. Financial Status Reports are due at the end of each budget period, and a final Financial Status Report report is due 90 days following the end of the project period. Grantees are required to use the PDS evaluation system. In addition to the required semi-annual progress reports, a final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. For State and local governments, audits are to be carried out in accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," or Federal laws and regulations of the programs in which they participate.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$5,451,560; FY 12 est \$5,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

120,000 to 175,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Partnerships were established with 44 state and territorial offices of minority health to facilitate elimination of adult and child health disparities (immunization, asthma, cancer, diabetes, heart disease, HIV, infant mortality and mental health). Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal

Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Headquarters Office: Office of Minority Health, Assistant Secretary for Health (OASH), Office of the Secretary, Tower Building, Suite 600, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-2882.

Program Contact: Ms. Sonsiere Cobb-Souza, Acting Director, Division of Program Operations, Office of Minority Health, Office of Public Health and Science, Office of the Secretary, Tower Building, Suite 600, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-8444.

Grants Management Contact: Office of Grants Management, Office of Public Health and Science, Office of the Secretary, Tower Building, Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of project's objectives relevant to the Program purpose and the federal Office of Minority Health's mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organization's management capability; 4) adequacy of qualifications and experience of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.297 TEENAGE PREGNANCY PREVENTION PROGRAM**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

The statutory authority for awards under this Funding Opportunity Announcement is contained in Division D, Title II of the Consolidated Appropriations Act, 2010 (Public Law 111-117) and Section 513(c)(1) of the Social Security Act (to be codified at 42 U.S.C. 713(c)(1)).

**OBJECTIVES:**

To make competitive grants to public and private entities to (a) fund a wide range of evidence-based teen pregnancy prevention programs, and (b) research and demonstration projects testing additional strategies for preventing teenage pregnancy.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

A wide range of evidence-based programs are eligible for these funds. Grants are available to funding medically accurate and age appropriate programs that reduce teen pregnancy. Of the \$100 million appropriated, \$75 million must be used for programs that have been proven effective through rigorous evaluation to reduce teenage pregnancy, behavioral risk factors underlying teenage pregnancy, or other associated risk factors. The remaining \$25 million must be used for research and demonstration grants to develop, replicate, refine, and test additional strategies for preventing teenage pregnancy. Funds are to support reasonable program purposes including staffing, travel, supplies, and services. Grant funds may not be used for: Building alterations or renovations; Construction; Fund-raising activities; Job training; Political education and lobbying; Vocational rehabilitation.

**Applicant Eligibility:**

Public (including city, county, regional, and State government) organizations and private nonprofit entities.

**Beneficiary Eligibility:**

Teenagers in the US.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program does not require preapplication coordination. The Governor(s) of the State(s) in which the project is to be located is to be given 60 days in which to review and comment on applications for funding under this authority. This program is subject to the Public Health Systems Reporting Requirements. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply, access the announcement thru [www.grants.gov](http://www.grants.gov). Enter the CFDA# and follow the website instructions. Applications submitted after the deadlines will not be accepted for review. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via [www.grants.gov](http://www.grants.gov). Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review.

**Award Procedure:**

Application will be screened upon receipt. Those that are deemed to be ineligible will be returned to the applicant. Accepted applications will be reviewed and evaluated by a panel of independent experts who make recommendations for action to the Office of Adolescent Health. After considering the recommendation of this panel, the Director of the Office of Adolescent Health makes the final decision on the funding of applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

**Deadlines:**

Apr 01, 2010 to Jun 01, 2010

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal awards may be approved pending availability of funding, and evidence of satisfactory progress and compliance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. No matching requirement. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants may not exceed 5 years (subject to the availability of funds). Payments will be made either on a monthly cash request basis or under the Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Each grantee will submit yearly program reports on progress to the project officer. NEW FINANCIAL REPORTING REQUIREMENT Federal Financial Reporting (FFR) SF 425:

As of February 1, 2011, the Department of Health and Human Services (DHHS) will begin the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the Office of the Assistant Secretary for Health, Office of Grants Management will return it and require the recipient to complete the SF-425. Copies of the SF-425 can be found on the website at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

1. Grantees must submit quarterly Federal Financial Reports due on one of the standard due dates below by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter. The FFR is due 30 days after the end of each calendar quarter.

2. Also, grantees must submit an annual Federal Financial Report due 90 days after the end of the budget period/project period end date.

3. Reports are to be submitted by hard copy or electronically through GrantSolutions to the assigned Grants Management Specialist in the Office of Grants Management. Please reference the CONTACTS section of the Terms and Conditions for the contact information for these individuals.

#### Quarterly/Annual Reporting Deadlines

Budget Period Due Date

1st Quarter FFR Due 30-Jan

2nd Quarter FFR Due 30-Apr

3rd Quarter FFR Due 30-Jul

4th Quarter FFR Due 30-Oct

Annual FFR Due 30-Jan. Progress reports are required for each budget period. Expenditure reports are not applicable. A final performance report is due 90 days following the end of the project period.

#### Audits:

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### Records:

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a project period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### Account Identification:

75-0120-0-1-551.

#### Obligations:

(Cooperative Agreements) FY 11 \$100,000,000; FY 12 est \$100,000,000; and FY 13 Estimate Not Available - (Grants) FY 2010 New program \$100 million.

#### Range and Average of Financial Assistance:

Evidence-based Programs:

\$400,000 to \$600,000

\$600,000 to \$1,000,000

\$1,000,000 to \$1,500,000

Research and Demonstration Program:

\$400,000-\$600,000

\$600,000-\$1,000,000.

#### PROGRAM ACCOMPLISHMENTS:

Not Applicable.

#### REGULATIONS, GUIDELINES, AND LITERATURE:

Not Applicable.

#### Regional or Local Office:

See Regional Agency Offices. Program Contact: Ms. Evelyn Kappeler, Acting Director, Office of Adolescent Health, Office of Public Health and Science, Office of the Secretary, Tower Building, 1101 Wootton Pkwy, Rockville, MD 20852; 240-453-2846-.

#### Headquarters Office:

Eric C. West, 1101 Wootton Parkway, Suite 550, Rockville, Maryland 20852  
Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8449.

#### Website Address:

<http://www.hhs.gov/oah>

#### RELATED PROGRAMS:

Not Applicable.

#### EXAMPLES OF FUNDED PROJECTS:

Not Applicable.

#### CRITERIA FOR SELECTING PROPOSALS:

Proposals must contain prevention services requirements specified in the statute. Priority will be given to applicants who: (1) Serve an area (a) where there is a high incidence of adolescent pregnancy, (b) where the incidence of low-income families is high, and (c) where the availability of programs for adolescents as specified in this act is low; (2) show evidence (a) for care services, of ability to deliver wide range of required services on single-site or network basis, or (b) for prevention services, ability to provide services targeted to population; (3) will utilize to maximum extent possible (a) existing programs and facilities, and (b) other sources of funding; (4) can demonstrate community commitment to the project; (5) have involved community in developing the project; (6) will demonstrate replication and innovative programs; and (7) demonstrate the reasonableness of the estimated cost considering the anticipated results.

#### 93.300 NATIONAL CENTER FOR HEALTH WORKFORCE ANALYSIS NCHWA

#### FEDERAL AGENCY:

Health Resources and Services Administration, Department of Health and Human Services

#### AUTHORIZATION:

Public Health Service Act, Title VII; Section 761; 42 U.S.C. 294n, as amended; Health Professions Education Partnerships Act of 1998; Public Law 105-392, as amended by the Patient Protection and Affordable Care Act, Public Law 111-148, Section 5103.

#### OBJECTIVES:

To support health workforce data collection and analysis and the development of information describing the health professions workforce and the analysis of workforce-related issues in order to provide necessary information for decision-making regarding future directions in health professions and nursing programs in response to societal and professional needs.

#### TYPES OF ASSISTANCE:

Cooperative Agreements

#### USES AND USE RESTRICTIONS:

Funds can be used to provide for targeted information collection and analysis activities related to health workforce, research on high priority workforce questions, the development of a nonfederal analytic and research infrastructure related to health workforce-related issues, and to conduct program evaluation and assessment.

#### Applicant Eligibility:

Those eligible to apply are: state or local governments, a state workforce investment board, public health or health professions schools, schools of medicine, schools of nursing, universities, academic health centers, community-based health facilities, and other appropriate public or private nonprofit entities, including faith based and community based organizations.

#### Beneficiary Eligibility:

Those who will ultimately benefit from these grants are the local, State, and Federal legislators and policy makers who will receive the information needed with which to make health workforce decisions.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period awardees may submit a competing continuation application for additional years of support, typically between 3 and 5 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Some cooperative agreements may require a matching requirement for State and local studies.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for between 3 and 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as

outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$500,000; FY 12 est \$500,000; and FY 13 est \$1,700,000

**Range and Average of Financial Assistance:**

\$250,000 to 750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Margaret Glos, Management Analyst, National Center for Health Workforce Analysis, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Department of Health and Human Services, 5600 Fishers Lane, Room 9-57, Rockville, MD 20857. Telephone: (301) 443-3579.

**Headquarters Office:**

Margaret Glos 5600 Fishers Lane, Room 9-57, Rockville, Maryland 20857  
Phone: (301) 443-3579

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) The degree to which an applicant specializes in health workforce research. An applicant will be considered as specializing in health workforce research through identification of it's mission, health workforce research accomplishments, and dedicated staff to health workforce research; (2) The degree to which the applicant demonstrates State and National experience and accomplishments in health workforce issues and research directly supporting the BHP priorities, health workforce distribution, racial/ethnic diversity of the health workforce, geriatrics, and genetics. Experience and accomplishments could be demonstrated through past or currently funded research; (3) The

degree to which the applicant has health workforce research experience relevant to the proposed research project. In terms of workforce discipline-specific studies, the applicant should demonstrate experience in conducting research on the given discipline. For example, for a proposed research project that focuses on a behavioral health workforce issue, the applicant should demonstrate experience in conducting research on behavioral health workforce; and (4) The degree to which the applicant's proposed research includes: a well-developed background statement, clearly stated research objectives, clearly stated project activities and methodology, and a well-developed, reasonable management plan that will enable the successful completion of the project.

### **93.301 SMALL RURAL HOSPITAL IMPROVEMENT GRANT PROGRAM**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 1820(g)(3) of Social Security Act (42 U.S.C. 1395i-4 (g) (3)), as amended by Section 3129 of the Patient Protection and Affordable Care Act (PPACA).

#### **OBJECTIVES:**

To support activities related to quality improvement and investments towards meaningful use of health information technology. Hospitals will utilize funds to: 1) pay for costs related to maintaining accurate PPS billing and coding such as updating chargemasters or providing training in billing and coding, 2) pay for the costs related to delivery system changes as outlined in the ACA such as value-based purchasing (VBP), accountable care organizations (ACO) and payment bundling.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved projects.

#### **Applicant Eligibility:**

All small rural hospitals located in the 50 States and Territories.

#### **Beneficiary Eligibility:**

Eligible small rural hospitals are non-Federal, short-term general acute care facilities that are located in a rural area of the US and the territories, including faith-based hospitals. For the purpose of this program, 1) small is defined as 49 staffed beds or less and 2) rural is defined as either located outside of a Metropolitan Statistical Area (MSA) or located within a rural census tract of a MSA, as determined under the Goldsmith Modification or the Rural Urban Commuting Areas (RUCAs). Hospitals may be for-profit or not-for-profit. Tribally operated hospitals under Titles I and V of P.L. 93-638 are eligible to the extent that such hospitals meet the above criteria. Regardless of geographic location, all designated Critical Access Hospitals (CAHs) are eligible. To determine eligibility and to request a hospital application, hospitals should contact their State Office of Rural Health (SORH).

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee.

Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

#### **Award Procedure:**

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Up to six months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

SHIP awards may be made for up to 3-year project periods. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon submission and approval of an application, availability of appropriated funds, and awardee's satisfactory performance.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Awards are made annually and payment is made through the DHHS Payment Management System. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

No program reports are required. No cash reports are required. A final financial report (FFR) is due within 90 days after end of the project period. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 11 \$14,646,154; FY 12 est \$14,637,075; and FY 13 est \$14,637,075

#### **Range and Average of Financial Assistance:**

\$17,656 to \$ 988,736; \$318,394.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and



tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CDR David Dietz, Office of Rural Health Policy, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD, 20857, 301-443-4081.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated based on: (1) extent to which applicant is responsive to the requirements and purposes of this program; and (2) extent to which application describes need, strategies and investment to address those needs.

**93.303 NURSING SCHOLARSHIP PROGRAM**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 846, as amended, Nurse Reinvestment Act of 2002, Public Law 107-205.

**OBJECTIVES:**

To increase the supply of registered nurses (RN) in approved health care facilities with a critical shortage of nurses by providing service-obligated scholarships to nursing students.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships are awarded to full-time and part-time students of nursing. Scholarships pay tuition and required fees to the school, a monthly stipend to students and a single annual payment to the student to assist with other reasonable educational expenses that include books, supplies, instruments, and uniforms. The program requires 1 year of service for each year of scholarship support, with a minimum 2-year service commitment post graduation. A maximum of four years of educational support may be awarded. Service obligation must be fulfilled at a health care facility with a critical shortage of nurses.

Refer to the Nursing Scholarship Program Guidance for specific requirements.

**Applicant Eligibility:**

The applicant must be a U.S. citizen or national, enrolled or accepted for enrollment in a fully accredited academic institution with a graduate, baccalaureate, associate degree or diploma nursing program located in a State, the District of Columbia, or a U.S. Territory. The applicant must be free of any Federal judgment liens, not have breached a prior service obligation, is not excluded, debarred, suspended, or disqualified by a Federal agency, and have no conflicting service obligations. Financial need is also reviewed as part of the eligibility determination. The applicant must submit an application and a signed contract, agreeing to accept payment of scholarship funds and provide health care services in a health care facility with a critical shortage of nurses for a minimum of two years.

**Beneficiary Eligibility:**

United States citizens or nationals enrolled or accepted for enrollment in a fully accredited graduate, baccalaureate, associate degree or diploma nursing program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants are required to apply electronically. Applicants submit their applications through <https://programportal.hrsa.gov>.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification in writing is made to those in the final selection by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification is made within 4-5 months after deadline for receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications are not necessary for students in compliance. Contracts may be multi-year funded through graduation (up to one to four years) if the applicant signs the contract through the graduation date.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each award covers up to one to four years of educational support, as requested. No awardees may receive more than four years of support. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through PSC.

**Reports:**

Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester.

The employing critical shortage facility must complete and send a semi-annual Service Verification Form verifying that the participating nurse is providing full-time or part-time continuous service as an RN. The certification includes a signature by an appropriate official of the facility. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$28,125,272; FY 12 est \$24,911,374; and FY 13 est \$24,940,500

**Range and Average of Financial Assistance:**

Range of new awards: \$12,400-227,600; Average: \$67,744.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 395 New Awards, 17 Continuations. Fiscal Year 2012: No Data Available. Fiscal Year 2013: No Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see application process at

<http://www.hrsa.gov/loanscholarships/scholarships/Nursing/index.html>

**Regional or Local Office:**

None. Nursing Scholarship Program, Division of Nursing and Public Health, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8A-55, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Service Room 8A-55, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

<http://www.hrsa.gov/loanscholarships/scholarships/Nursing/index.html>

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Awards are made to students pursuing a nursing degree at an accredited school of nursing. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

As provided in the amendment in section 846(e) of the Public Health Service (PHS) Act, a funding preference is given to eligible applicants with the greatest financial need. NSP will use the Department of Education's Student Aid Report (SAR) from the Free Application for Federal Student Aid (FAFSA) to evaluate financial need.

**93.307 MINORITY HEALTH AND HEALTH DISPARITIES RESEARCH  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title III and IV, Part A and Part E, Sections 485E, 485F, 485G; Public Law 99-158 and Public Law 106-525; 42 U.S.C. 287c-31, 42 U.S.C. 287c-32, 42 U.S.C. 287c-33, 42 U.S.C. 241 and 285; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564, Title III, Part A & E, Section 485E 485F 485G, Public Law 99-158, 106 Stat. 525, 42 U.S.C 287c-31.

**OBJECTIVES:**

To support basic, clinical, social, and behavioral research, promote research infrastructure and training; foster emerging programs; disseminate information; and reach out to minority and other health disparity communities. The National Institute on Minority Health and Health Disparities (NIMHD) has established programs to pursue these goals: (1) The Centers of Excellence Program promotes research to improve minority health, and/or reduce and eliminate health disparities, build research capacity for minority health and health disparities research in academic institutions; encourages the participation of health disparity groups and communities in biomedical and behavioral research and prevention and intervention activities; and brings together investigators from relevant disciplines in a manner that will enhance and extend the effectiveness of their research; (2) NIMHD Research Endowment Program builds research capacity and infrastructure at eligible NIMHD Centers of Excellence or eligible Section 736 health professions schools (42 U.S.C. 293) to

facilitate minority health and other health disparities research to close the disparity gap in the burden of illness and death experienced by racial and ethnic minority Americans and other health disparity populations; promotes a diverse and strong scientific, technological and engineering workforce; and emphasizes the recruitment and retention of underrepresented minorities and other socio-economically disadvantaged populations in the fields of biomedical, and behavioral research and other areas of the scientific workforce; (3) Building Research Infrastructure and Capacity (BRIC) Program, formerly Research Infrastructure in Minority Institutions (RIMI) assists non-doctoral degree institutions in developing their research infrastructure primarily through collaborations with research-intensive universities thereby enabling the institutions to develop and enhance their capacity and competitiveness to conduct biomedical or behavioral research; (4) Minority Health and Health Disparities International Research Training Program (MHIRT) awards enable U.S. institutions to tailor short-term basic science, biomedical and behavioral mentored student international research training opportunities to address global issues related to understanding, reducing, and eliminating health disparities; (5) Community-Based Participatory Research (CBPR) Initiative supports the development, implementation and evaluation of intervention research using CBPR principles and methods in targeting diseases of major public health importance in health disparity communities; (6) Small Business Innovation Research (SBIR) Program increases private sector commercialization of innovations derived from Federal research and development; encourages small business participation in Federal research and development; and fosters and encourages participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (7) Small Business Technology Transfer (STTR) Program stimulates and fosters scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; fosters technology transfer between small business concerns and research institutions; increases private sector commercialization of innovations derived from Federal research and development; and fosters and encourages participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation; (8) Health Disparities Research Projects Grants (RPG) supports innovative projects to enhance our understanding of biological mechanisms, social, behavioral, and health services that can directly and demonstrably contribute to the improvement in minority health and the elimination of health disparities; (9) Research Centers in Minority Institutions (RCMI) builds capacity for basic biomedical and/or behavioral research by focusing on institutional resource development, such as supporting core research facilities and staff, purchasing advanced instrumentation, and laboratory renovations/alterations; (10) RCMI Infrastructure for Clinical and Translational Research (RCTR) supports the development of infrastructure required to conduct clinical and translational research by enhancement of, but is not limited to outpatient clinical resources, biostatistical support, core laboratories, and other capacity for patient-oriented research; (11) RCMI Translational Research Network (RTRN) supports a consortium of clinical and translational investigators from RCMI Centers, other academic health centers, providers, and community-based organizations to encourage sharing of resources and expertise in minority health and health disparities; (12) Clinical Research Education and Career Development (CRECD) Awards provide didactic training and mentored clinical research experiences to develop independent researchers who can lead clinical research studies, especially those addressing health disparities; (13) Resource-Related Minority Health and Health Disparities Research supports minority health and health disparities resource-related research in the priority areas of Bioethics Research, Global Health Research, Data Infrastructure and Dissemination, and Healthcare for Rural Populations Research; (14) Science Education Initiative supports educational, mentoring, and/or career development programs for individuals from underrepresented or health disparity populations to facilitate the development of a nationwide cohort of scientists and a multi-disciplinary national pool of health disparities investigators with necessary skills to conduct health disparities research in a diverse range of settings; and (15) NIH Research Conference Grant and NIH Research Conference Cooperative Agreement Programs support high quality conferences that are relevant to the minority health and health disparities.

**TYPES OF ASSISTANCE:**

## PROJECT GRANTS

### USES AND USE RESTRICTIONS:

Grants are intended to support the direct costs of a project in accordance with an approved budget, plus appropriate amount for indirect costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service.

Endowment grants: Some qualifying institutions may use income earned from a research endowment corpus to support institutions in their effort to expand and add teaching programs in the biomedical and behavioral sciences and related areas, to improve facilities, to enhance student and faculty recruitment and retention, to develop instructional delivery systems and information technology in areas that will enhance minority health and other health disparities research activities, and to establish endowed chairs and programs. Other qualifying institutions must use income earned from a research endowment corpus to increase the institutions' investments in the recruitment and retention of underrepresented minority students and students from other health disparity populations that matriculate at such institutions. This includes activities such as increasing student recruitment and retention, creating merit-based and need-based scholarships, establishing or enhancing tutoring, providing counseling, and designing student service programs to improve academic success, and faculty recruitment and retention. SBIR grants: SBIR Phase I grants are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research initiated in Phase I and are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR grants: STTR Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. STTR Phase II grants are based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. See Program Announcements: PA-11-096 and PA-11-097. As specified in each of the program announcements.

### Applicant Eligibility:

Individuals and public and private institutions, both non-profit and for-profit, who propose to establish, expand, and conduct research, promote or engage in research training, and outreach activities that contribute to improving minority health and/or eliminating health disparities. Endowment grants: Only NIMHD Centers of Excellence OR Section 736 health professional schools (see 42 U.S.C. 293) with net endowment assets less than or equal to 50 percent of the national median of endowment funds at institutions that conduct similar biomedical research or training of health professionals are eligible for the research endowment awards. All applicants must have an NIMHD Center of Excellence Award or HRSA Centers of Excellence Award at the time of award of an NIMHD Research Endowment Grant. SBIR grants: Domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. Small business concerns must be at least 51 percent US owned by individuals and independently operated and/or at least 51 percent owned and controlled by another (one) for-profit business concern that is at least 51 percent owned and controlled by one or more individuals. The research must be performed in the U.S. or its possessions. STTR grants: Domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which the research is proposed, and have no more than 500 employees) that "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution.

### Beneficiary Eligibility:

Any non-profit or for-profit organization, company, or institution engaged in biomedical and behavioral research. Endowment grants: NIMHD Centers of Excellence or Section 736 institutions.

### Credentials/Documentation:

Applicants must present a research plan and furnish evidence required for research grant applications, PHS 398, (Rev. 05/01) as specified in the application form. Costs will be determined in accordance with HHS

## Regulations 45

CFR, Part 74, Subpart Q and OMB Circular No. A-21 for Educational Institutions and OMS Circular No. A-87 for state and local governments. For-profit organizations costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. Endowment grants: Requirements for the endowment application are specified in the application form (SF424 R&R). SBIR and STTR grants: Applicant organizations (small business concerns) must present a research plan that includes an idea that has the potential for commercialization, and furnish evidence that the scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. To apply for SBIR Phase I and Phase II Grants, applicants must complete SF424 (R&R) Application for Electronic Submission. For general information on SF424 (R&R) Application and Electronic Submission, see these Web sites: SF424 (R&R) Application and Electronic Submission Information: <http://grants.nih.gov/grants/funding/424/index.htm>. General information on Electronic Submission of Grant Applications: <http://grants.nih.gov/grants/ElectronicReceipt/>. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### Application Procedures:

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications for the various programs should be submitted to the NIH office that is responsible for the receipt of applications, and in such form and manner as the application prescribes. (All information pertaining to grants hereinafter, also apply to Endowment Grants unless otherwise noted). Research Grants: Applications must be prepared either electronically through Grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (Revised 9/2004, Interim Revision 4/2006). The PHS 398 is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. The format is interactive. For NIH planned transition dates of mechanisms for electronic submission, see: [http://grants.nih.gov/grants/ElectronicReceipt/files/timeline\\_NIH\\_transitions.pdf](http://grants.nih.gov/grants/ElectronicReceipt/files/timeline_NIH_transitions.pdf). For further assistance contact Grants Info, Telephone (301) 435- 0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). NRSAs (Individual): Individuals must submit the application form, PHS Individual National Research Service Award (PHS 416-1, rev. 10/05), and include at least three letters of reference. If the applicant has been lawfully admitted to the United States for permanent residence, the appropriate item should be checked on the Face Page of the application. Applicants who have applied for and have not yet been granted admission as a permanent resident should check the Permanent resident block on the Face Page of the PHS 416-1 application, and also write in the word "pending." A notarized statement documenting legal admission for permanent residence must be submitted prior to the issuance of an award. SBIR and STTR: The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR grants, Phase I and Phase II. Application must be made electronically through grants.gov (<http://www.grants.gov>). For further assistance contact Grants Info, Telephone: (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

### Award Procedure:

Each eligible application will be evaluated for scientific and technical merit by an appropriate Scientific Review Group in accordance with NIH policies and procedures. The National Advisory Council on Minority Health and Health Disparities (NACMHD) will conduct the second-level review of the applications.

### Deadlines:

Contact the headquarters or regional office, as appropriate, for application deadlines.

### Range of Approval/Disapproval Time:

> 180 Days. Approximately 6 to 9 months. SBIR and STTR grants:  
Approximately 7 to 8 months.

**Appeals:**

A principal investigator or applicant may question the substantive or procedural aspects of the review of his/her application by communicating with NIMHD staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page  
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

Renewal of grant awards beyond the initial project period of support is contingent upon successful competition by the applicant and upon the appropriation of funds for this purpose.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

All awards have a project period of one to five years. Non-competitive grant awards in successive years (year 2 up to year 5) are awarded based on the applicant's annual performance and the availability of funds. Endowment Grants: Awards have a project period of one to five years. Non-competitive years (year 2 up to year 5) are awarded based on the applicant's annual performance and the availability of funds. SBIR grants: Generally, Phase I awards are for six months, and Phase II awards are for two years. STTR grants: Generally, Phase I awards are for one year, and Phase II awards are for two years. All funds for any award must be obligated within five years from the date of the award. See the following for information on how assistance is awarded/released: See above for information about each program.

**Reports:**

Annual progress and selected financial status reports for continuing projects and final reports on all projects upon conclusion are required. Endowment Grants: The NIMHD will exercise extended monitoring of a participant's annual progress towards meeting the objectives as outlined in the participant's five-year strategic plan for prioritizing the use of endowment income. These reports will extend five years beyond the last year of a participant's project period. Cash reports are not applicable. . . .

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained three years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$233,646,000; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - (1) Centers of Excellence (COE) grants: FY 11 \$69,386,000; FY 12 and FY 13 estimate not reported. (2) NIMHD Research Endowment grants: FY 11 \$26,216,000; FY 12 and FY 13 estimate not reported. (3) Building Research Infrastructure and Capacity (BRIC) grants, formerly Research Infrastructure in Minority Institutions (RIMI) grants: FY 11 \$15,625,000; FY 12 and FY 13 estimate not reported. (4) Minority Health and Health Disparities International Research Training (MHIRT) grants: FY 11 \$5,086,000; FY 12 and FY 13 estimate not reported. (5) Community-Based Participatory Research grants (CBPR): FY 11 \$21,733,000; FY 12 and FY 13

estimate not reported. (6) Small Business Innovation Research (SBIR) and (7) Small Business Technology Transfer Grant Applications (STTR): FY 11 \$5,607,000; FY 12 and FY 13 estimate not reported. (8) Health Disparities Research Project Grants (RPG): FY 11 \$14,255,000; FY 12 and FY 13 estimate not reported. (9) Research Centers in Minority Institutions (RCMI): FY 11 \$34,425,000 FY 12 and FY 13 estimate not reported. (10) RCMI Infrastructure for Clinical and Translational Research (RCTR): FY 11 \$23,827,000; FY 12 and FY 13 estimate not reported. (11) RCMI Translational Research Network (RTRN): FY 11 \$3,494,000; FY 12 and FY 13 estimate not reported. (12) Clinical Research Education and Career Development (CRECD) Awards: FY 11 \$1,491,000; FY 12 and FY 13 estimate not reported. (13) Resource-Related Minority Health and Health Disparities Research: FY 11 \$8,362,000; FY 12 and FY 13 estimate not reported. (14) Science Education: FY 11 \$3,011,000; FY 12 and FY 13 estimate not reported. (15) NIH Research Conference Grant and NIH Research Conference Cooperative Agreement Programs: FY 11 \$1,128,000; FY 12 and FY 13 estimate not reported.

**Range and Average of Financial Assistance:**

(1) Centers of Excellence (COE) grants: total awards made by the NIMHD ranged from \$56,962 to \$1,646,812; average \$1,150,698. (2) Endowment grants: total awards made by the NIMHD ranged from \$2,134,375 to \$5,000,000; average \$4,299,631. (3) Building Research Infrastructure and Capacity (BRIC) grants, formerly Research Infrastructure in Minority Institutions (RIMI) grants: total awards made by the NIMHD ranged from \$475,872 to \$1,039,021; average \$790,882. (4) Minority Health and Health Disparities Research International Research Training (MHIRT) grants: total awards made by the NIMHD ranged from \$53,752 to \$242,920; average \$203,261. (5) Community-Based Participatory Research (CBPR) grants: total awards made by the NIMHD ranged from \$29,342 to \$657,554; average \$495,986. (6) Small Business Innovation Research (SBIR) grants and (7) Small Business Technology Transfer (STTR) Grant Application: total awards made by the NIMHD ranged from \$37,775 to \$679,418. Typically, Phase I awards normally may not exceed \$150,000 total (direct costs, indirect costs and profit/fee) and Phase II awards normally may not exceed \$1,000,000. However, these award levels for time and amounts are statutory guidelines, not ceilings. (8) Health Disparities Research Project Grants (RPG): total awards made by the NIMHD ranged from \$170,335 to \$465,719; average \$322,837. (9) Research Centers in Minority Institutions (RCMI): total awards made ranged from \$1,406,496 to \$3,007,552; average \$3,151,584. (10) RCMI Infrastructure for Clinical and Translational Research (RCTR): total awards made ranged from \$3,494,402 to \$4,218,486; average \$3,971,098. (11) RCMI Translational Research Network (RTRN): single award made was \$3,494,402. (12) Clinical Research Education and Career Development (CRECD) Awards: total awards ranged from \$469,940 to \$531,770; average \$497,013. (13) Resource-Related Minority Health and Health Disparities Research: total awards made by the NIMHD ranged from \$411,996 to \$1,393,604; average \$929,130. (14) Science Education Initiative: total awards made by the NIMHD ranged from \$51,963 to \$379,999; average \$273,763. (15) NIH Research Conference Grant and NIH Research Conference Cooperative Agreement Programs: total awards made ranged from \$20,000 to \$328,583; average \$62,691.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: NIMHD program accomplishments are as follows: (1) Centers of Excellence (COE) grants: total of 51 awarded grants; (2) Endowment grants: total of 6 awarded grants; (3) Building Research Infrastructure and Capacity (BRIC) grants, formerly Research Infrastructure in Minority Institutions (RIMI) grants: total of 22 awarded grants; (4) Minority Health and Health Disparities Research International Research Training (MHIRT) grants: 22 awarded grants; (5) Community-Based Participatory Research (CBPR) grants: 40 awarded grants; (6) Small Business Innovation Research (SBIR) grants and (7) Small Business Technology Transfer (STTR) grants: total of 18 awarded grants; (8) Health Disparities Research Project Grants (RPG): total of 39 awarded grants. (9) Research Centers in Minority Institutions: total of 16 awarded grants. (10) RCMI Infrastructure for Clinical and Translational Research (RCTR): total of 5 awarded grants. (11) RCMI Translational Research Network (RTRN): one awarded grant. (12) Clinical Research Education and Career Development (CRECD) Awards: total of 3 awarded grants. (13) Resource-Related Minority Health and Health Disparities Research: total of 9 awarded grants. (14) Science Education Initiative: total of 11 awarded grants. (15) NIH Research Conference Grant and NIH Research

Conference Cooperative Agreement Programs: total of 18 awarded grants. FY 12 and FY 13: not available. Fiscal Year 2012: Not available. Fiscal Year 2013: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in 42 USC 271c-31 et. Seq.; 42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure; and miscellaneous program literature from the Headquarters Office. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241. Additional loan repayment information can be obtained at [www.lrp.nih.gov](http://www.lrp.nih.gov). SBIR and STTR information can also be obtained from the Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications; and the Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Francisco S. Sy, MD, DrPH NIH/NIMHD, 6707 Democracy Blvd. Suite 800, Bethesda, Maryland 20892-5465 Email: [syf@mail.nih.gov](mailto:syf@mail.nih.gov) Phone: (301) 402-1366 Fax: 301-480-4049

**Website Address:**

<http://www.nimhd.nih.gov>. <http://www.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating all new grant and renewal grant applications include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; and the necessity of the budget components requested in relation to the proposed project, and the relevance and importance to the announced program objectives. SBIR and STTR grants: For Phase I grant applications, the criteria used are: the soundness and technical merit of the proposed approach; the qualifications of the proposed principal investigator, supporting staff, and consultants; the technological innovation of the proposed research; the potential of the proposed suitability of the facilities and research environment; and where applicable, the adequacy of assurances detailing the proposed means for safeguarding human or animal subjects and/or protecting against or minimizing any adverse effect on the environment. For Phase II grant applications, the criteria used are: the degree to which the Phase I objectives were met and feasibility demonstrated; the scientific and technical merit of the proposed approach for achieving the phase II objectives; the qualifications of the proposed principal investigator, supporting staff and consultants; the technological innovation, originality, or societal importance of the proposed research; the potential of the proposed research for commercial application; the reasonableness of the budget requested for the work proposed; the adequacy and suitability of the facilities and research environment; and where applicable, the adequacy of assurances detailing the proposed means for safeguarding human or animal subjects and/or protecting against or minimizing any adverse effect on the environment. All persons interested in any of the DHHS/NIH/NIMHD grant and/or contract program initiatives are strongly encouraged to carefully read the Request for Applications as they are announced annually in order to understand what is required for each unique program as well as meet each deadline in a timely manner.

**93.308 NATIONAL INSTITUTE ON MINORITY HEALTH AND HEALTH DISPARITIES (NIMHD) EXTRAMURAL LOAN REPAYMENT PROGRAMS**

NIMHD Loan Repayment Programs

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act; Title IV, Subtitle D, Part G, Section 487E, as amended; Public Law 106-554; 42 U.S.C. 288-5. , Title IV, Part G, Section 487E, Public Law 106-554, 42 U.S.C 288-5.

**OBJECTIVES:**

The mission of the National Institute on Minority Health and Health Disparities (NIMHD) is to lead scientific research to improve minority health and eliminate health disparities. To accomplish this, NIMHD 1) Plans, reviews, coordinates, and evaluates all minority health and health disparities research and activities of the National Institutes of Health; 2) Conducts and supports research in minority health and health disparities; 3) Promotes and supports the training of a diverse research workforce; 4) Translates and disseminates research information; 5) Fosters innovative collaborations and partnerships.

There are two separate types of loan repayment within NIMHD's Loan Repayment Program: (1) Health Disparities Research Loan Repayment Program (LRP-HDR): recruits and retains highly qualified health professionals to research careers that focus on minority health disparities research or other health disparities research and the (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB), recruits and retains highly qualified health professionals from disadvantaged backgrounds to conduct clinical research.

The objective of these extramural loan repayment programs are to recruit and retain qualified health professionals including those from health disparity populations and those from disadvantaged backgrounds to conduct minority health disparities research and clinical research.

(1) Health Disparities Research may pertain to basic, clinical, or behavioral research on a health disparity population (including individual members and communities of such populations), including the causes of health disparities and methods to prevent, diagnose, and treat such disparities.

(2) Clinical research consists of patient-oriented clinical research conducted with human subjects, or research on the causes and consequences of disease in human populations involving material of human origin (such as tissue specimens and cognitive phenomena) for which the investigator or colleague directly interacts with human subjects in an outpatient or inpatient setting to clarify a problem in human physiology, pathophysiology or disease, or epidemiologic or behavioral studies, outcomes research or health services research, or developing new technologies, therapeutic interventions, or clinical trials.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To provide repayment of existing educational loan debt incurred by health professionals including those from health disparity populations and those from disadvantaged backgrounds to conduct minority health disparities research and clinical research. Recipients must execute a written contract agreeing to engage in such research for a minimum of two years. The Secretary of the Department of Health and Human Services, or the Secretary's designee, may grant extension contracts for a one-year or two-year period after the completion of the initial two-year contract, provided that the participant applies for an extension, continues to engage in qualified research, and there is sufficient repayable debt remaining. The maximum program benefit is \$35,000 per year in loan repayment.

Program payments are made directly to the participants' lenders following each quarter and a verification of satisfactory research service, unless otherwise agreed upon by the participant and the Director, NIMHD.

**Applicant Eligibility:**

The following eligibility requirements applies to both: (1) Health Disparities Research Loan Repayment Program (LRP-HDR): and (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB)

An applicant must: (1) be a United States citizen, national, or permanent

resident; (2) have an M.D., Ph.D., Pharm.D., D.D.S., D.M.D., D.C., N.D., or equivalent doctoral degree from an accredited institution; (3) conduct research that is supported by a non-profit institution, foundation, professional society or U.S. government entity, (4) commit 50 percent or more of his/her time to clinical research; (5) have total qualifying educational debt greater than or equal to 20 percent of his/her institutional base salary at the time of award; (6) conduct research in accordance with applicable Federal, state and local law; (7) not be under any existing service obligations to Federal, State, or other entities, unless and until the existing service obligation is discharged or deferred during the period of program service; (8) not have Federal judgment liens against their property arising from a Federal debt from receiving Federal funds until all judgments have been paid in full or otherwise satisfied; (9) not be a full-time employee of a Federal government agency. Part-time Federal employees who engage in qualifying research as part of their non-Federal duties are eligible to apply for loan repayment if they meet all other eligibility requirements; and (10) have the institution provide an assurance that the applicant will be provided research support for two years, that the applicant will engage in qualified clinical research for 50 percent of his/her time, that the funding foundation, professional society, or institution is considered to be non-profit pursuant to Section 501 of the Internal Revenue Code or is a U.S. government entity, and certify the applicant's annual institutional base salary.

There are additional requirements for the Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB). Eligible applicants must come from an disadvantaged background and adhere to the following guidelines relating to the definition of a disadvantaged background:

An Individual from disadvantaged background means an individual who: (1) Comes from an environment that inhibited the individual from obtaining the knowledge, skill and ability required to enroll in and graduate from a health professions school; or

(2) Comes from a family with an annual income below a level based on low-income thresholds according to family size published by the U.S. Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in all health professions programs. The Secretary periodically publishes these income levels in the Federal Register.

**Beneficiary Eligibility:**

(1) Health Disparities Research Loan Repayment Program (LRP-HDR): and (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) contracts: Qualified health professionals who conduct minority health or other health disparities research or highly qualified health professionals from disadvantaged backgrounds who will conduct clinical research and who possess substantial unpaid educational debt relative to income.

**Credentials/Documentation:**

An applicant to either NIMHD extramural LRP program must submit the following documentation electronically: (1) Applicant Information Statement; (2) Biosketch; (3) Personal Statement, which includes a discussion of career goals and academic objectives; (4) Description of Research Activities; (5) Contact Information of Three Recommenders; (6) Contact Information of Institution Official able to serve as the Institutional Contact; (7) On-line Certification; (8) Loan Information; (9) Notice of Grant/Award (or PHS 2271 for T32 recipients), if applying based on NIH support; and in addition for those applying to the Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) applicants must submit a Certification of Disadvantaged Background [see Federal Register: April 24, 2009 (Volume 74, Number 78)].

The Research supervisor or mentor of applicants to both NIMHD extramural LRP programs must electronically submit the following: (1) Recommendation; (2) Biosketch; (3) Assessment of the Research Activities Statement submitted by the applicant; (4) Description of the Research Environment; and (5) Training or Mentoring Plan. Recommenders must submit their recommendations electronically. Institutional Contacts must electronically submit a certification that: (1) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment

Program Contract is executed; (2) assures that the applicant is or will be engaged in qualifying research for 50 percent of his/her time, i.e., not less than 20 hours per week; (3) certifies that the funding foundation, professional society, or institution is considered to be non-profit as provided under Section 501 of the Internal Revenue Code (26 U.S.C. 501) or is a U.S. government entity (Federal, state or local); and (4) provides the applicant's institutional base salary. Requirements for the loan repayment application, OMB Approval No. 0925-0361, are specified in the electronic application form located at [www.lrp.nih.gov](http://www.lrp.nih.gov). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. An application for participation in the program can be obtained from [www.lrp.nih.gov](http://www.lrp.nih.gov) and should be submitted to the NIH office, which is responsible for the receipt of applications, in such form and manner as the Secretary or the authorized designee may prescribe.

**Award Procedure:**

All eligible and completed applications will be forwarded to the Special Emphasis Panel (SEP) for review. Awards will be made to those applications approved by the SEP, subject to the receipt of an appropriation and/or allocation of funds from the United States Congress, the NIH and/or NIMHD. All selections are subject to final approval by the Secretary or the authorized designee, the Director of NIMHD.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. The approximate time for approval/disapproval is 6-8 months.

**Appeals:**

Not Applicable.

**Renewals:**

(1) Health Disparities Research Loan Repayment Program (LRP-HDR): and (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) contracts: Prior to the expiration of a participant's current award, the participant may apply for a one- or two-year extension provided the participant continues to engage in qualified clinical research or minority health or other health disparities research and has outstanding repayable debt remaining. Health Disparities Loan Repayment and Disadvantaged Individuals Loan Repayment contracts renewal applications are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula or matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

An initial contract provides assistance for a two-year period, and an extension contract provides assistance for a one-year or two-year period. Program payments will be made directly to lenders following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary or authorized designee. Method of awarding/releasing assistance: quarterly.

**Reports:**

Standard annual report from the NIH Division of Loan Repayment. Cash reports are not applicable. Participants must be periodically certified to have satisfactorily performed the duties of their positions. No expenditure reports are required. Participants must be periodically certified to have satisfactorily performed the duties of their positions.

**Audits:**

Not Applicable.

**Records:**

The NIMHD will retain applicant records for three years after rejection and participant records for six years after completion of final service obligation.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$12,204,000; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - (1) Extramural Loan Repayment Program for Health Disparities Research (LRP-HDR) contracts: FY 11 \$10,454,000; FY 12 and FY 13 estimates not reported. (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) contracts: FY 11 \$1,750,000; FY 12 and FY 13 estimates not reported.

**Range and Average of Financial Assistance:**

(1) Health Disparities Loan Repayment Program (LRP-HDR) contracts: total awards made by the NIMHD ranged from \$4,312 to \$103,138; average \$45,046. (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB) contracts: total awards made by the NIMHD ranged from \$4,516 to \$103,138; average \$45,045.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: (1) Extramural Loan Repayment Program for Health Disparities Research (LRP-HDR): A total of 622 applications were received and out of those, 237 were awarded; with a success rate of 38%. (2) Extramural Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (LRP-IDB): A total of 47 new applications were received and out of those, 27 were awarded; with a success rate of 57%. Fiscal Year 2012: Estimate not available. Fiscal Year 2013: Estimate not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 106-554; Section 487E of the Public Health Service Act (42 U.S.C. 288-5).

**Regional or Local Office:**

None.

**Headquarters Office:**

Francisco S. Sy, MD, DrPH NIH/NIMHD, 6707 Democracy Blvd. Suite 800, Bethesda, Maryland 20892-5465 Email: syf@mail.nih.gov Phone: (301) 402-1366 Fax: 301-480-4049

**Website Address:**

<http://www.nimhd.nih.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.209 Contraception and Infertility Research Loan Repayment Program; 93.923 Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP); 93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications/proposals include the assessment of the following: (1) personal statement; (2) proposed research project and its scientific merit (priority will be given to biomedical and behavioral researchers); (3) training plan and environment (which includes the research program, the facilities/environment, the mentor/advisor's training, the applicant's training); (4) loan debt ratio and any associated impediments that may affect the applicant's decision to pursue a research career; and (5) references.

**93.310 TRANS-NIH RESEARCH SUPPORT**

Common Fund Research Support

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301.

**OBJECTIVES:**

To provide support for new initiatives designed to address major opportunities and gaps in biomedical research that no single NIH institute could address alone, but which the agency as a whole can pursue to stimulate the progress of biomedical research and to catalyze changes that will serve to transform new scientific knowledge into tangible benefits for public health. Information on recent and current initiatives is available at <http://commonfund.nih.gov/>.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

**USES AND USE RESTRICTIONS:**

To support research and other projects that will accelerate fundamental biomedical discovery and translation of that knowledge into effective prevention strategies and new treatments.

**Applicant Eligibility:**

Awards can be made to domestic, public or private, for-profit or nonprofit organization, university, college, hospital, laboratory, or other institution, including State and local units of government, and individuals. Some initiatives will accept applications from foreign organizations. Additional details on eligibility are specified in the Common Fund Grants and Funding Opportunities funding announcement, listed at <http://commonfund.nih.gov/>.

**Beneficiary Eligibility:**

Institutions as described above.

**Credentials/Documentation:**

Applications must be submitted in compliance with instructions provided with each initiative. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prepare and submit applications according to instructions provided in the applicable Common Fund Grants and Funding Opportunities announcement, located at <http://commonfund.nih.gov/>. This program is subject to the provisions of 45 CFR 74 including applicable federal cost principles as referenced, the NIH Grants Policy Statement (rev. 11/2003), and the provisions in the funding announcement. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

**Award Procedure:**

Applications are reviewed for scientific and technical merit by a scientific review group and for program relevance by a national advisory council/board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The length of the review cycle is four to nine months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the NIH Scientific/Research contact, as provided on an initiative. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal (competing continuation, type 2) applications to Common Fund programs are not accepted unless specifically accepted by NIH staff.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Almost all awards are made for at least one year, with additional support (up to four more years) depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: drawn from established accounts.

**Reports:**

Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects. Cash reports are not applicable. Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0846-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$543,017,218; FY 12 est \$544,930,000; and FY 13 est \$544,930,000

**Range and Average of Financial Assistance:**

\$10,000 to \$15,462,500 with the average being \$737,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: awards were made to support research projects that accelerate fundamental discovery and translation of that knowledge into effective prevention strategies and new treatments that will lead to better health for U.S. citizens. Lists of the awards that were made are available on the NIH Common Fund web site, at <http://commonfund.nih.gov/grants/fundedresearch.asp>. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Deputy Director of the Office of Strategic Coordination, phone 301-402-7617.

**Headquarters Office:**

Elizabeth Wilder Building One, Room 201, Bethesda, Maryland 20892 Email: Elizabeth.Wilder@nih.gov Phone: (301) 402-7617 Fax: (301) 435-7268.

**Website Address:**

<http://commonfund.nih.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding decisions are based on scientific merit (42 CFR 52h) and program relevance. Scientific merit review encompasses: the peer review criteria detailed in the specific funding announcement, as well as the significance, approach, and innovation of the proposed research; the competency of the principal investigator; the adequacy of the resources and environment; the proposed budget and requested period of support; and, where applicable, the adequacy of the measures for protecting against adverse effects upon humans, animals, or the environment.

**93.313 NIH OFFICE OF RESEARCH ON WOMEN'S HEALTH**

(NIH/ORWH)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

NIH Revitalization Act of 1993, Public Law 107-103-43, 22 Stat. , U.S.C 289 (A)(1).

**OBJECTIVES:**

ORWH will identify projects on women's health that should be conducted or supported by national research institutes; identify multi-disciplinary research related to research on women's health that should be conducted or supported; and promote coordination and collaboration among entities conducting research.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

To support research and other projects that will accelerate biomedical and behavioral discovery and translation of that knowledge into effective prevention



strategies and new treatments. Awards are limited by availability of funds. Specific restrictions are outlined in each funding opportunity announcement.

**Applicant Eligibility:**

Awards can be made to domestic, public or private, non-profit or profit organization, university, hospital, laboratory, or other institution including state and local units of government and individuals. Some initiatives will accept applications from foreign organizations. Additional details on eligibility will be specified in the funding opportunity announcement.

**Beneficiary Eligibility:**

Institutions as described above.

**Credentials/Documentation:**

Applications must be submitted in compliance with instructions provided with each initiative. This program is excluded from coverage under OMB Circular A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Competitive peer reviewed applications are reviewed for scientific and technical merit by a scientific review group; and for program relevance by a national advisory council/board.

Administrative supplements are reviewed for merit and relevance by NIH scientific staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of his/her application by communication with the NIH scientific/research contact as provided in the initiative.

**Renewals:**

Administrative supplements are not renewable.

Other programs may be renewable and applicants must review the funding opportunity announcement for further guidance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Almost all awards are made for at least one year. Applicants should review to the specific funding opportunity announcement for further detail. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Applicants must submit annual progress reports and selected financial reports. Final progress reports, invention statements and expenditure reports are required at the end of the project. Cash reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Grantees must generally retain financial and programmatic records, supporting documents, statistical reports and all other records that are required by the terms of a grant or may reasonably be considered pertinent to a grant for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR is submitted. Those grantees must maintain the records pertinent to the entire competitive segment for 3 years from the date of submission of the annual FSR to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-1208-4-6-000.

**Obligations:**

(Salaries) FY 11 \$35,000,000; FY 12 est \$35,000,000; and FY 13 est \$35,000,000 - This CFDA number will be used for all ORWH-created funding opportunity announcements. The \$35M/year represents the total research funding for ORWH (on average) each year.

**Range and Average of Financial Assistance:**

\$10000 to \$1,500,000. Average \$450,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Office of Research on Women's Health 301 402-1770.

**Headquarters Office:**

Lisa Begg 6707 Democracy Blvd., Suite 400, Bethesda, Maryland 20892  
Email: beggl@od.nih.gov Phone: 301-402-1770 Fax: 301-402-1798

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.338 FOREIGN PUBLIC HEALTH CONSTRUCTION**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act (PHSA), Section 307(b)(10), 42 U.S.C. 242l, as amended., Title PHS, Section 307b10.

**OBJECTIVES:**

PHSA Section 307(b)(10) authorizes the award of grants or cooperative agreements to public or nonprofit private institutions or agencies in foreign countries to acquire, lease, construct, alter, or renovate facilities in their country in furtherance of activities authorized under Public Health Service Act Section 307(a), which includes: (1) biomedical research, health care technology, and the health services research and statistical analysis authorized under 42 U.S.C. Section 242k and 42 U.S.C. Subchapter VII; and (2) biomedical research, health care services, health care research, or other related activities in furtherance of the activities, objectives or goals authorized under the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, 22 U.S.C. 7601. Awards are limited to real property projects, and can not include any other CDC assistance program activities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Support for Construction Projects, Modernization Projects, and Minor Alteration and Renovation Projects only. Construction Projects include construction of a new building of any dollar value, alteration and renovation of any dollar value that changes the footprint of an existing building, acquisition of an existing building of any dollar value, and permanently-installed trailers and modular units. Modernization Projects are limited to alteration and renovation that does not change the footprint of an existing building, and is limited to a single project in excess of \$500,000 or an aggregate of multiple projects for a single facility that total in excess of \$500,000. Minor Alteration and Renovation Projects are limited to alteration and renovation that does not change the footprint of an existing building, and is limited to a single project of \$500,000 or less or an aggregate of multiple projects for a single facility that total \$500,000 or less. All projects are subject to requirements for recipient responsibilities, project manager duties, property title and insurance, project signage, fixed equipment, budget, international use of funds, construction assurance statement, and public policy. Prior approval of individual project design and specifications, contracts, and phases is required. Funding is accompanied by a liability disclaimer. Technical assistance may be provided. Construction and Modernization Projects are subject to additional requirements for notice of federal interest, leased facilities, mortgages, construction insurance, allowable costs, completion, post-completion facility usage, property disposal, and real property status reporting.

**Applicant Eligibility:**

An eligible applicant must: (1) Be a public or nonprofit private institution or agency in a foreign country; and (2) Be located in the same foreign country as the Project. An eligible project must: (1) Be located in the same foreign country as the Recipient; (2) Be limited to approved Construction, Modernization, and Minor Alteration and Renovation activities; and (3) Result upon completion is a facility that is for use by recipient personnel only, and not for use by any U.S. Government personnel; and (4) Fulfill a purpose of Public Health Service Act Section 307(a). Sub-recipients are not authorized.

**Beneficiary Eligibility:**

An eligible applicant must: (1) Be a public or nonprofit private institution or agency in a foreign country; and (2) Be located in the same foreign country as the Project. An eligible project must: (1) Be located in the same foreign country as the Recipient; (2) Be limited to approved Construction, Modernization, and Minor Alteration and Renovation activities; and (3) Result upon completion is a facility that is for use by recipient personnel only, and not for use by any U.S. Government personnel; and (4) Fulfill a purpose of Public Health Service Act Section 307(a). Sub-recipients are not authorized.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). Applicants that do not have access to the Internet or have difficulty accessing the forms on-line should contact the CDC Procurement and Grants Office, Technical Information Management Section (PGO-TIMS), Telephone (770)488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

Applicants must be responsive to the specific requirements in the funding opportunity announcement. Application forms available at [www.Grants.gov](http://www.Grants.gov) include the SF 424 (Application for Federal Assistance); the SF 424-C (Budget Information - Construction Programs); the SF 424-D (Assurances - Construction Programs); the GG Lobbying Form (Certification Regarding Lobbying for applications over \$100,000); the SF-LLL Disclosure of Lobbying Activities (for applications over \$100,000, if required); the Project Narrative Attachment; and the Budget Narrative Attachment. OMB Circular No. A-102 does not apply.

**Award Procedure:**

Applications that are complete and responsive will be evaluated for technical merit and receive support. CDC will not review incomplete or non-responsive applications. Applications that are complete and responsive will undergo an objective review process, receive a written critique, and be scored according to the published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Applications are due by the date established in the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program has no statutory formula. This program has no matching requirement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Individual projects will be incrementally funded in phases with lump sum awards. The initial project period will not exceed five years. Payments are made on an advance or reimbursement basis, as specified in the award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are required as part of the review and approval process for individual project phases. For completed Construction and Modernization Projects, an annual Real Property Status Report is required for the duration of federal interest in the project. Financial Status Reports on expenditures for each budget period and for the overall project period are required. A quarterly Cash Transaction Report is required. A quarterly Cash Transaction Report is required. As noted in the Funding Opportunity Announcement.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with HHS policy, foreign recipients are subject to the same audit requirement as commercial organizations specified in 45 CFR 74.26(d).

**Records:**

Record retention and access requirements for records are specified in 45 CFR 74.53.

**Account Identification:**

75-0955-0-1-550.

**Obligations:**

(Salaries) FY 11 \$2,000,000; FY 12 est \$1,000,000; and FY 13 est \$1,000,000 - FY10 - \$2,000,000 Actual (Haiti); FY11 - \$2,000,000,000 Actual (Haiti); FY12 - \$1,000,000 Estimate (Lesotho).

**Range and Average of Financial Assistance:**

New program with no awards to date.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74. HHS Grants Policy Statement (<http://www.ahrq.gov/fund/hhspolicy.htm>).

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie Naglich CGH  
1600 Clifton Rd NE (Mailstop E39), Atlanta, Georgia 30333 Email:  
VNaglich@cdc.gov Phone: (404) 639-6481

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on the criteria cited in the funding opportunity announcements.

**93.339 PUBLIC HEALTH CONFERENCE SUPPORT**

Centers for Disease Control and Prevention (CDC)  
National Center for HIV, Viral Hepatitis, Sexually Transmitted Disease and Tuberculosis Prevention (NCHHSTP) Public Health Conference Support

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under the Public Health Service Act, section 301(a), 42 U.S.C. 241(a), as amended and section 317(a), 42 U.S.C. 247b (a), as amended.

**OBJECTIVES:**

Program activities under this funding will allow state and local governments, their Bona Fide Agents, non-governmental organizations and the general public to request funds for partial support for public health conferences related to the health promotion, education and prevention of HIV, Viral Hepatitis, STD, and TB Prevention.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with reasonable program planning, including personnel, travel, supplies, and services such as contractual. Project funds may not be used for research, clinical care, or generally for the purchase of furniture or equipment. Reimbursement of pre-award costs is not allowed.

**Applicant Eligibility:**

N/A.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal governments. OMB Circular A102 is

applicable. Allowable cost will be applicable to; A-21 Educational Institutions, A-122 Non-Profit Organizations and A-110. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Cash reports are not applicable. Final financial status and progress reports are due no later than 90 days after the end of the project period. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 11 \$32,297,100; FY 12 est \$28,905,300; and FY 13 est \$32,297,100

**Range and Average of Financial Assistance:**

Awards will range from approximately \$25,000 to \$125,000 with an average of approximately \$30,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011 up to 11 organizations were awarded. Fiscal Year 2012: In FY2012 up to 11 organizations will be awarded. Fiscal Year 2013: It is anticipated in FY2013 that up to 11 applications will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>

**Regional or Local Office:**

See Regional Agency Offices. Reginald Carson  
Public Health Advisor  
Centers for Disease Control and Prevention  
1600 Clifton Road NE, MS E-07  
Atlanta, GA 30333  
404 639-0022  
Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov).

**Headquarters Office:**

Reginald Carson 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov) Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by NCHHSTP/OD and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission Information, subsection Evaluation Criteria within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.342 HEALTH PROFESSIONS STUDENT LOANS, INCLUDING PRIMARY CARE LOANS/LOANS FOR DISADVANTAGED STUDENTS HPSL/PCL/LDS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Part C, Section 721-735, 42 U.S.C. 292q-292y; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To increase educational opportunities by providing long-term, low-interest loans to students in need of financial assistance and in pursuit of a course of study in an approved health discipline.

**TYPES OF ASSISTANCE:**

Project Grants (to capitalize loan funds)

**USES AND USE RESTRICTIONS:**

Funds on deposit can only be used for loans to eligible students pursuing a full-time course of study. The maximum amount a student may borrow is the

cost of attendance (including tuition, other reasonable educational expenses and reasonable living expenses). Third and fourth year medical and osteopathic medicine students may be eligible for additional funding to repay earlier higher-interest educational loans. The interest rate is 5 percent.

Effective July 1, 1993, to be eligible for a Primary Care Loan (PCL), students of allopathic medicine and osteopathic medicine must meet financial need criteria and agree to enter and complete a residency training program in primary health care not later than 4 years after the date on which the student graduates from such school. The PCL borrower must also practice primary health care for 10 years (including the years spent in residency training) or through the date in which the loan is repaid in full, whichever occurs first.

To be eligible for Loans for Disadvantaged Students (LDS) students must meet the Health Professions Student Loans (HPSL) criteria and also be from a disadvantaged background as defined by the Secretary. A school must be carrying out a program for recruiting and retaining students from disadvantaged backgrounds, including racial and ethnic minorities and carrying out a program for recruiting and retaining minority faculty to be eligible for LDS funds. In addition, the school must agree to ensure that adequate instruction regarding minority health issues is in the curricula of the school. Health clinics must provide services to a significant number of individuals who are from disadvantaged backgrounds, including members of minority groups and enter into arrangements with one or more such clinics for the purpose of providing students of the school with experience in clinical services to such individuals. Secondary educational institutions and undergraduate institutions of higher education must enter into arrangements with one or more such institutions for the purpose of carrying out programs regarding the educational preparation of disadvantaged students, including minority students, to enter the health professions and recruit such individuals into the health professions. These institutions should also establish a mentor program for assisting disadvantaged students, including minority students, toward completion of the educational requirements for degrees from the school. .

**Applicant Eligibility:**

Any accredited public or other nonprofit private school of medicine, dentistry, osteopathic medicine, optometry, podiatry, pharmacy, or veterinary medicine which provides a course of study leading to a degree of Doctor of Medicine or Doctor of Osteopathic Medicine for PCL and LDS borrowers, Doctor of Dentistry (or an equivalent degree), Doctor of Optometry (or an equivalent degree), Doctor of Podiatric Medicine (or an equivalent degree), Bachelor of Science in Pharmacy (or an equivalent degree), Doctor of Pharmacy (or an equivalent degree), or Doctor of Veterinary Medicine (or an equivalent degree) for HPSL and LDS borrowers. Additionally, the school must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, or the Federated State of Micronesia.

**Beneficiary Eligibility:**

Student applicants must display financial need and be enrolled or accepted for enrollment in a health professions school to pursue a full-time course of study leading to a degree as specified above. Students must also be citizens, nationals or lawful permanent residents of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, or the Federated State of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Students should apply at financial aid office of school of their choice for assistance in applying for a loan. The school then tabulates requests for financial aid and award loans based on needs of students and available funds.

New applications for this program can be acquired from the Division of Student Loans and Scholarships by calling (301) 443-1173. Annual operating reports serve as the renewal application for current loan recipient institutions.

**Award Procedure:**

Notification is made in writing by a Notice of Award. When Federal Capital Contribution funds are available for re-distribution, a Notice of Award is sent to the School's Contact Person notifying the school of the amount of Federal funds allocated for loans within program and discipline prior to the beginning of the academic year in which the award is to be utilized. Students are notified by the schools financial aid office of approval or disapproval of loans at times determined by schools.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications are required only for new schools. Annual operating reports are required for renewal.

**Formula and Matching Requirements:**

Statutory Formula: Allotment of funds based on statutory formula which takes into account the ratio each school's enrollment bears to the enrollments of all schools making application for funds but never in excess of request of school. Under the Federal Capital Contribution method, a school must match Federal Capital Contribution with an amount equal to one-ninth of the funds drawn down.

Matching Requirements: 11% Matching Requirement.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time required by a student to complete the necessary course of study leading to a degree and subject to the availability of funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Operating Report (AOR) through electronic submission at <http://grants.hrsa.gov>. AOR must be submitted 45 days after the end of each budget period. Cash reports are not applicable. No progress reports are required. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

Financial records must be kept until such time as agreed upon with the Secretary as specified in 42 CFR 57.215.

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until

the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants (to capitalize loan funds)) FY 11 \$8,934,069; FY 12 est \$18,826,993; and FY 13 est \$19,000,000

**Range and Average of Financial Assistance:**

\$3,612 to \$1,944,396 for FY 11: Average: \$141,811 per institution for FY 11.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Jim Essel (PCL), Lesa Bandy (LDS), or Cynthia Johnson (HPSL), Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1173. Use the same number for FTS.

**Headquarters Office:**

Jim Essel (PCL), Lesa Bandy (LDS), or Cynthia Johnson (HPSL) 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-1173

**Website Address:**

<http://bhpr.hrsa.gov/scholarshipsloans/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.350 NATIONAL CENTER FOR ADVANCING TRANSLATIONAL SCIENCES**

(NCATS)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 479-481 487F, Public Law 99-158; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564; Public Health Service Act, Title III, Section 301, Public Law 78-410, 341 U.S.C 287-288.

**OBJECTIVES:**

The mission of the National Center for Advancing Translational Sciences (NCATS) is to catalyze the generation of innovative methods and technologies that will enhance the development, testing, and implementation of diagnostics and therapeutics across a wide range of human diseases and conditions.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Support from NCATS advances the development, testing, and implementation of diagnostics and therapeutics across a wide range of human diseases and conditions. NCATS strives to support research to reduce, remove or bypass costly and time-consuming bottlenecks in the therapeutic development pipeline. NCATS unifies complementary programs in cross-cutting areas.

Clinical and Translational Science Activities include Clinical and Translational Science Awards (UL1), Clinical Research Curriculum Award (K30), and Clinical Research-related activities.

The Office of Rare Disease Research supports a network of research consortia, each targeted to a specific rare disease. ORDR also supports an extensive resource of information for the public on rare diseases.

Re-engineering Translational Sciences activities include developing Tissue Chips for Drug Screening (U18, UH2/UH3) and Discovering New Therapeutic Uses for Existing Molecules (UH2/UH3).

Small Business Innovation Research (SBIR) grants and Small Business Technology Transfer (STTR) grants support domestic small businesses engaging in research and development that has the potential for commercialization.

**Applicant Eligibility:**

CTSA grants: institutions of higher education, research hospitals, and other institutions capable of carrying out well-designed studies in any preclinical or clinical science involving human beings as research subjects in conjunction with investigators funded through the National Institutes of Health (NIH) and other Federal agencies.

**Beneficiary Eligibility:**

Biomedical investigators at any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

The required credentials of the applicant are described in the relevant Funding Opportunity Announcement. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be submitted using the PHS 398 form per the instructions in the NIH Guide for Grants and Contracts. Forms can be found at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. Completed applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, MSC 7710, Bethesda, MD 20892-7710. The standard application forms PHS 398, (Rev. November 1998), as furnished by PHS and required by 45 CFR, Part 92, and OMB Circular No. A-110 must be used for all programs.

**Award Procedure:**

The initial review of applications from eligible investigators and institutions is conducted by committees comprised of authorities in various fields of biomedical research and science education, as appropriate. Each application is given a peer evaluation for merit, and recommendations are forwarded to the NCATS Advisory Council for the second level of review and recommendation for award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

> 180 Days. A principal investigator (P.I.) may question the substantive or procedural aspects of the review of their application by communicating with the NCATS staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

> 180 Days. Grants may be renewed upon successful reapplication.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

1 to 5 years. An Electronic Transfer System is used for transferring funds.

Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period. Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0875-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$501,180,000; and FY 13 est

\$543,909,000 - Clinical and Translational Science activities: FY 12 est \$461,395,000; FY 13 est \$462,503,000  
Rare Disease Research: FY 12 est \$14,530,000; FY 13 est \$14,451,000  
Re-engineering Translational Sciences: FY 12 est \$9,981,000; FY13 est \$49,624,000  
SBIR/STTR: FY 12 est \$15,274,000; FY 13 est \$17,331,000  
(NCATS was established in FY 12, so prior fiscal year information is not available.).

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular No. A-21, "Cost Principles for Educational Institutions." Reference: 44 FR 12368, March 6, 1979; Rev. No. 1, 47 FR 33658, August 3, 1982; Rev. No. 2, 51 FR 20908, June 9, 1986. OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." Reference: 41 FR 32016, July 30, 1976. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." OMB Circular No. A-128, "Audits of State and Local Governments"; Reference: Public Law 98-502, the Single Audit Act of 1984. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments"; Reference: 34 CFR 255. 45 CFR 92. Reference: 42 FR 45828. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." Reference: 45 FR 46022, July 8, 1980. 45 CFR 74; 42 CFR 52h. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal Regulations at 42 CFR 52 and 42 USC 241. Department Staff Manual "Grants Administration"; Indirect Cost Register, DHHS; PHS Grants Policy Statement, DHHS Publications No. (OASH) 94-50,000, (Rev.) April 1, 1994; "NIH Grants Policy Guide," Office for Protection from Research Risks, NIH; "A Guide to Grant and Award Programs of the NIH"; and miscellaneous program literature from Headquarters Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sylvia Parsons 6701 Democracy Blvd, Room 970, Bethesda, Maryland 20892-4874 Email: parsonss@mail.nih.gov Phone: 3014350860

**Website Address:**

<http://www.ncats.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Examples of funded projects can be found at: <http://report.nih.gov>. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.351 RESEARCH INFRASTRUCTURE PROGRAMS**

Comparative Medicine, Instrumentation, Research Infrastructure

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Small Business Research and Development Enhancement Act of 1992, Public Law 102-564; Public Health Service Act, Title IV, Section 487, Public Law 99-158; Public Health Service Act, Title III, Section 301, Public Law 78-410,

341 U.S.C 287-288.

**OBJECTIVES:**

The Office of Research Infrastructure Programs (ORIP) is a new program office in the Division of Program Coordination, Planning, and Strategic Initiatives (DPCPSI) dedicated to supporting research infrastructure and related research programs, and coordinating NIHs science education efforts. ORIP consists of the Division of Comparative Medicine; Division of Instruments, Infrastructure Resources, and Construction; and the Office of Science Education.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Division of Instruments, Infrastructure Resources, and Construction. Instrumentation supports research, access to sophisticated technologies at resource centers nationwide which assist academic, nonprofit organizations in the development, use, and dissemination of innovative technologies useful for the advancement of biomedical science. Infrastructure resources support state-of-the-art research facilities that advance science and medicine but also spur economic growth. Science Education is designed to improve life science literacy throughout the nation through innovative educational programs. Science education projects create partnerships among biomedical and clinical researchers and K-12 teachers and schools, museums and science centers, media experts, and other educational organizations.

The Division of Comparative Medicine (DCM) helps meet the needs of biomedical researchers for high-quality, disease-free animals and specialized animal research facilities. Additionally, DCM seeks to increase small business participation in federally supported research and development as well as the private-sector commercialization of technology developed with federal support. It does this through the federal government's Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs.

**Applicant Eligibility:**

Instrumentation awards will be made to institutions only, not to individuals. Research Career Development: Applications may be submitted on behalf of candidates by domestic, nonfederal organizations, public or private institutions of higher education. Science Education: Public and private for-profit and nonprofit institutions and museums. DCM: Institutions of higher education, hospitals, and other institutions and organizations, both nonprofit and for-profit, seeking to establish, continue, or enlarge programs consistent with the objectives of the program. Applicants for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institutional NRSA. Research Infrastructure: Except where otherwise prohibited by law, any nonprofit organization competent to carry out biomedical research.

**Beneficiary Eligibility:**

Biomedical investigators at any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms may be obtained from the Division of Extramural Outreach and Information, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone (301) 435-0714, e-mail: [ASKNIH@odrockml.od.nih.gov](mailto:ASKNIH@odrockml.od.nih.gov). Completed applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, MSC 7710, Bethesda, MD 20892-7710. The standard application forms PHS 398, (Rev.

November 1998), as furnished by PHS and required by 45 CFR, Part 92, and OMB Circular No. A-110 must be used for all programs. For filing NRSA individual fellowship award applications, Form 416-1 (Rev. October 1991) is needed.

**Award Procedure:**

The initial review of applications from eligible investigators and institutions is reviewed by committees comprised of authorities in various fields of biomedical research and science education, as appropriate. Each application is given a peer evaluation for merit, and recommendations are forwarded to the Council of Councils for final review and recommendation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

From 60 to 90 days. A principal investigator (P.I.) may question the substantive or procedural aspects of the review of their application by communicating with the NIH staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

**Renewals:**

Instrumentation: None. All others may be renewed upon successful reapplication.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

All programs: 1 to 5 years. An Electronic Transfer System is used for transferring funds. See the following for information on how assistance is awarded/released: An Electronic Transfer System is used for transferring funds.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a

period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0846-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$124,206,000; FY 12 est \$122,306,000; and FY 13 est \$122,494,000 - Comparative Medicine Centers (Research Grants). (Project Grants) FY 11 \$131,165,000; FY 12 est \$128,326,000; and FY 13 est \$128,518,000 - Other Research (Research Grants (Capacity Building and Complaint Processing, Training)). (Project Grants (Contracts)) FY 11 \$15,227,000; FY 12 est \$15,619,000; and FY 13 est \$13,512,000 - Research & Development Contracts. (Training) FY 11 \$6,708,000; FY 12 est \$6,411,000; and FY 13 est \$6,539,000 - Research Training (Research Grants (Contracts)).

**Range and Average of Financial Assistance:**

In fiscal year 2011, there were 61 Research Project Grants; In FY 2012, it is estimated that there will be 67 and in FY 2013. It is estimated that there will be 47 in FY 2012 and FY 2013. There were 145 Full Time Training positions in FY 2011. It is estimated that there will be 139 in FY 2012 and FY 2013. There were 22 Research and Development Contracts in FY 2011. It is estimated that there will be 9 in FY 2012 and 5 in FY 2013.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circular No. A-21, "Cost Principles for Educational Institutions." Reference: 44 FR 12368, March 6, 1979; Rev. No. 1, 47 FR 33658, August 3, 1982; Rev. No. 2, 51 FR 20908, June 9, 1986. OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." Reference: 41 FR 32016, July 30, 1976. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." OMB Circular No. A-128, "Audits of State and Local Governments"; Reference: Public Law 98-502, the Single Audit Act of 1984. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments"; Reference: 34 CFR 255. 45 CFR 92. Reference: 42 FR 45828. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." Reference: 45 FR 46022, July 8, 1980. 45 CFR 74; 42 CFR 52h. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal Regulations at 42 CFR 52 and 42 USC 241. Department Staff Manual "Grants Administration"; Indirect Cost Register, DHHS; PHS Grants Policy Statement, DHHS Publications No. (OASH) 94-50,000, (Rev.) April 1, 1994; "NIH Grants Policy Guide," Office for Protection from Research Risks, NIH; "A Guide to Grant and Award Programs of the NIH"; and miscellaneous program literature from Headquarters Office.

**Regional or Local Office:**

None.



**Headquarters Office:**

Patricia Newman 6701 Democracy Boulevard  
Room 994-MSC4874, Bethesda, Maryland 20892-4874 Email:  
pnewman@mail.nih.gov Phone: 3014350864

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.352 CONSTRUCTION SUPPORT**

Extramural Construction

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 404I 404J, 42 U.S.C 288J.

**OBJECTIVES:**

To renovate existing research facilities and build new research facilities to meet basic and clinical space requirements, laboratory safety, biohazard containment, and animal care standards in order to support the facility demands of NIH research programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

New physical resources for research include basic research laboratories, clinical and support facilities, and those related to biohazard control that are integral parts of an overall effort. Proposed facilities must be part of an existing research effort or a developing research program. Facilities shall be used for research pertinent to the NIH mission for as long as needed. The usual period of Federal interest is 20 years. Funds must be used for purposes stated in the approved grant application. See above.

**Applicant Eligibility:**

Construction.

**Beneficiary Eligibility:**

Public nonprofit institution/organization.

**Credentials/Documentation:**

Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, the National Environmental Policy Act, and listing of all relevant licenses, permits, or other approvals required by State and local authorities. Costs will be determined in accordance with OMB Circular No. A-21 for Educational Institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit institutions. For grants issued to hospitals, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals". OMB Circular No. A-87 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication assistance is available from the address noted below under Information Contacts. Environmental impact information is not required for this

program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Prepare and submit applications according to instructions provided in the Funding Opportunities announcement. This program is subject to the provisions of 45 CFR 74 including applicable federal cost principles as referenced, the NIH Grants Policy Statement, and the provisions in the funding announcement. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>. Construction applications are to be submitted on a Standard Form 424, Application for Federal Assistance.

**Award Procedure:**

Applications are reviewed for scientific and technical merit by a scientific review group and for program relevance by a national advisory council/board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the NIH Scientific/Research contact, as provided on an initiative. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 50%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: No information provided. See the following for information on how assistance is awarded/released: An Electronic Transfer System is used for transferring funds.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Grantee is responsible for performance of contractor. Contractor must be covered by performance and payment bonds. Grantees are required to file a Notice of Federal Interest at the time construction begins.

**Audits:**

No audits are required for this program.

**Records:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Account Identification:**

75-0846-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74; 42 CFR 52. NIH Grants Policy Statement, (Rev.) December 1, 2003. The PHS 398 may be obtained from NIH's Extramural Research Home Page: <http://grants1.nih.gov/grants/oer.htm>.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Holly Atherton, 6701 Democracy Blvd., Bethesda, MD 20892-4874. (301) 435-0840; [athertoh@mail.nih.gov](mailto:athertoh@mail.nih.gov).

**Headquarters Office:**

Louise Ramm 6701 Democracy Blvd, Bethesda, Maryland 20892-4874 Email: [ramml@mail.nih.gov](mailto:ramml@mail.nih.gov) Phone: 301-435-0879

**Website Address:**

<http://www.dpcpsi.nih.gov/orip>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are complete and responsive to this program will be evaluated for scientific and technical merit by an appropriate peer review group. The major elements in evaluating proposals include: (1) significance and need of the project, (2) the description of project management and institutional commitment, (3) evaluation of the proposed design, (4) justification for requested equipment, (5) the commitment to sustainable design/environmentally friendly design principles.

**93.358 ADVANCED EDUCATION NURSING TRAINEESHIPS**

AENT

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VIII, Section 811 (a)(2) of the Public Health Service Act, (42 U.S.C. 296j(a)(2)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

Grants are awarded to eligible institutions to provide financial support through traineeships for registered nurses enrolled in advanced education nursing programs to prepare nurse practitioners, clinical nurse specialists, nurse-midwives, nurse anesthetists, nurse administrators, nurse educators, public health nurses and nurses in other specialties determined by the Secretary to require advanced education.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds can only be used to pay all or part of the costs of tuition, books, and fees of the program of advanced nurse education, and reasonable living expenses of the individual during the period for which the traineeship is provided. Trainee travel is not allowed. Indirect Costs of 8% are allowable; the \$350,000 budget

ceiling includes both direct and indirect costs.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public nonprofit entities accredited by a recognized body or bodies or State agency, approved for the purpose of nursing education by the Secretary of Education.

**Beneficiary Eligibility:**

The participating institutions select traineeship recipients. A candidate must be enrolled in an advanced education nursing program for preparation as a nurse practitioner, nurse-midwife, nurse anesthetist, clinical nurse specialist, public health nurse, nurse administrator, nurse educator, or other nurse specialty determined by the Secretary to require advanced education. The candidate must be pursuing a master's or doctoral degree, a combined RN to master's degree, nurse-midwifery certificate in existence on November 12, 1998, or a post-nursing master's certificate. The candidate must be a citizen of the United States, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States. The candidate must be eligible to sit for national nursing certification in the nursing specialty or field of study (as applicable) following graduation. In FY 2012, eligible trainees are students enrolled in primary care nurse practitioner or nurse midwifery programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov and the HRSA EHBs.

**Award Procedure:**

Notification of award is made in writing through a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6-8 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Effective 2012 the project period is 2 years in length. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are not applicable. No cash reports are required. Reporting Requirements have changed. The annual FSR is not required. No expenditure reports are required. Program performance measures are now required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$16,000,000; FY 12 est \$22,750,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 11 Range \$1,445 - \$337,319 average \$45,845.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Transitioned from a formula-based program to an Objective Review grant program. Fiscal Year 2012: Eligibility limited to programs that support Primary Care Nurse Practitioner and Nurse-Midwifery programs. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Karen Breedon, AENT Project Officer, Department of Health and Human Services, Health Resources and Services Administration, Bureau of Health Professions, Division of Nursing, 5600 Fishers Lane, Room 9-61, Parklawn Building, Rockville, MD 20857. Telephone: 301- 443-5688.

**Headquarters Office:**

Karen Breedon 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857 Phone: (301) 443-5688

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement. All eligible applicants are submitted to an Objective Review Committee. Eligible applicants must be accredited and must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.359 NURSE EDUCATION, PRACTICE QUALITY AND RETENTION GRANTS**

NEPQR and Faculty Development: ITNEP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

Human Services

**AUTHORIZATION:**

Title VIII, Section 831 and 831A of the Public Health Service Act (42 U.S.C. 296p and 42 U.S.C. 296p-1), as amended by section 5309 of the Patient Protection and Affordable Care Act, P.L. 111-148.

**OBJECTIVES:**

Nurse Education, Practice, Quality, and Retention Program (NEPQR): Grants are awarded to eligible applicant organizations for projects to strengthen and enhance the capacity for nurse education, practice, quality, and retention to address the nursing shortage. There are three major priority areas (Education, Practice and Retention) and ten purposes associated with the three priority areas. The education priority areas are: Purpose E1) expanding enrollment in baccalaureate nursing programs; and Purpose E2) providing education in new technology, including distance learning methodologies. The practice priority areas are: Purpose P1) establishing or expanding nursing practice arrangements in non-institutional settings to demonstrate methods to improve access to primary health care in medically underserved communities; Purpose P2) providing care for underserved populations and other high-risk groups such as the elderly, individuals with HIV/AIDS, substance abusers, the homeless, and victims of domestic violence; Purpose P3) providing quality coordinated care and other skills needed to practice in existing and emerging organized health care systems; and Purpose P4) developing cultural competencies among nurses.

The retention priority areas are: Purpose R1) career ladder bridge programs which promote career advancement for nursing personnel and registered nurses to become baccalaureate prepared or advanced education nurses; Purpose R2) developing and implementing internship and residency programs in collaboration with an accredited school of nursing to encourage mentoring and the development of specialties; Purpose R3) career ladder programs to assist with entering into and advancing within the nursing profession; and Purpose R4) enhancing patient care delivery systems that is directly related to nursing activities by enhancing collaboration and communication among nurses and other health care professionals, and by promoting nurse involvement in the organizational and clinical decision-making processes of a health care facility.

For FY2012, the NEPQR Program will solicit projects that create and/or expand Interprofessional Collaborative Practice (IPCP) environments where nurses and other professional disciplines join together to provide comprehensive healthcare services for patients and their families. The goal of this solicitation is to strengthen nursing capacity to advance the health of patients, families and communities by supporting the development and implementation of innovative practice models that use collaborative interprofessional teams comprised of nurses and other health professionals.

Faculty Development: Integrated Technology into Nursing Education and Practice Initiative (Faculty Development: ITNEP);

The purpose of this initiative is to provide support to nursing collaboratives for faculty development in the use of information and other technologies in order to expand the capacity of collegiate schools of nursing to educate students for 21st century health care practice. Nursing collaboratives will use healthcare information systems to enhance nursing education and practice, optimize patient safety, and drive improvements in health care quality.

For this initiative, use of information and other technologies in nursing education and practice, includes, but is not limited to, informatics, telehealth, mannequin-based and patient simulators, computer-based instructions, virtual simulation, interactive simulated case studies, advanced 3D graphics, e-Learning technology, and other simulated or virtual methods to enhance nursing education and practice. Since no institution or organization currently offers the full spectrum of information and other technologies necessary to carry out this initiative, the nursing collaboratives must develop linkages and partnerships to undertake this initiative.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the

project; essential travel expenses and student stipends or scholarships; and other expenses related to the project. Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees.

**Applicant Eligibility:**

Eligible applicants are: accredited schools of nursing, health care facilities, a partnership of such a school and a health care facility, nursing centers, academic health centers, State or local governments, and other public or private non-profit entities determined appropriate by the Secretary. The term health care facility means an Indian Health Service health center, a Native Hawaiian health center, a hospital, a Federally qualified health center, a rural health center, a nursing home, a home health agency, a hospice program, a public health clinic, a State or local department of public health, a skilled nursing facility, an ambulatory surgical center, or any other facility designated by the Secretary. The eligible applicant must be capable of carrying out the legislative purpose of the NEPQR program.

Schools of nursing providing undergraduate education and formal degree programs must be accredited by a national nurse education accrediting agency or State approval agency recognized by the Secretary of the U.S. Department of Education. Newly established programs should consult with the U.S. Department of Education and provide appropriate documentation.

**Beneficiary Eligibility:**

Project participants, or students in the demonstration program, must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

NEPQR

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period. A competing continuation application shall be submitted during the beginning of the last year of the initial project period. The submission date is the same for new applications and competing continuation applications. These applications are reviewed in the same manner and at the same time as new competing applications.

Faculty Development ITNEP: The program is not accepting new applications.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NEPQR

Competing and competing continuation grant applications are submitted for up to three (3) years of support, except for the following legislative purpose: (P1) establishing or expanding nurse practice arrangements which is for up to five years of support.

Faculty Development: ITNEP.

Cooperative agreements are submitted for up to five years of support. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. Awardees are required to report all federally-owned property and acquired equipment with an New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. No expenditure reports are required. A Uniform Progress Report (UPR) and Comprehensive Performance Management System (CPMS) Report must be submitted annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,905,209; FY 12 est \$1,372,379; and FY 13 est \$1,905,209 - Faculty Dev-ITNEP. (Project Grants) FY 11 \$35,600,241; FY 12 est \$21,882,484; and FY 13 Estimate Not Available - NEPQR.

**Range and Average of Financial Assistance:**

NEPQR: FY 11 \$29,367 - \$667,445; average \$295,584

ITNEP: \$220,811- \$300,000; average \$272,172.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Janice Young, Kirk Koyoma, and Marian Smithey, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, MD 20857. Telephone: (301) 443-5688.

ITNEP: Nancy Douglas-Kersellus, Nurse Consultant, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Room 9-61, Rockville, MD 20857, 301-443-5688, Fax: 301-443-0791.

**Headquarters Office:**

Division of Nursing 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857 Phone: (301) 443-5688

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference will only be applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.360 BIOMEDICAL ADVANCED RESEARCH AND DEVELOPMENT AUTHORITY (BARDA), BIODEFENSE MEDICAL COUNTERMEASURE DEVELOPMENT**

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, 2010, Division D Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, 2010; Public Health Service Act, Title III, Section 319L.

**OBJECTIVES:**

The purpose of this program is to coordinate the acceleration of countermeasure and product advanced research and development by (A) facilitating collaboration between the Department of Health and Human Services and other Federal agencies, relevant industries, academia, and other persons, with respect to such advanced research and development; (B) promoting countermeasure and product advanced research and development; (C) facilitating contacts between interested persons and the offices or employees authorized by the Secretary to advise such persons regarding requirements under the Federal Food, Drug, and Cosmetic Act and under section 351 of the Public Health Service Act; and (D) promoting innovation to reduce the time and cost of countermeasure and product advanced research and development. The Public Health Service Act at 42 U.S.C. 247d-6a defines a qualified countermeasure as

a drug (as that term is defined by section 321(g)(1) of title 21), biological product (as that term is defined by section 262(i) of this title), or device (as that term is defined by section 321(h) of title 21), that the Secretary determines to be a priority (consistent with sections 182(2) and 184(a) of title 6) to - (i) diagnose, mitigate, prevent, or treat harm from any biological agent (including organisms that cause an infectious disease) or toxin, chemical, radiological, or nuclear agent that may cause a public health emergency affecting national security; or (ii) diagnose, mitigate, prevent, or treat harm from a condition that may result in adverse health consequences or death and may be caused by administering a drug, biological product, or device that is used as described in this subparagraph.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Support international in-country and domestic advanced development and industrialization of human pandemic influenza vaccine. Support activities related to the mitigation of the global shortage of influenza vaccines through awards and sub-awards to developing countries with the potential and capacity to manufacture various influenza vaccines. Basic research (e.g. scientific or medical experiments) is not allowable. 100% of funds are for discretionary activities.

**Applicant Eligibility:**

All types of entities are eligible, including highly qualified foreign nationals outside the United States either alone or in collaboration with American participants when such transactions may inure to the benefit of the American people. Applicants should review the individual funding opportunity announcements issued under this CFDA program.

**Beneficiary Eligibility:**

All individuals including at-risk individuals such as children, pregnant women, elderly, and others at-risk who may be given special priority.

**Credentials/Documentation:**

Applicants should review the individual funding opportunity announcements issued under this CFDA program for any credentials or certifications that must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained through [Grants.gov](http://Grants.gov) FIND, <http://www.grants.gov/>. Applicants should visit [Grants.gov](http://Grants.gov) - FIND for the funding opportunity announcement and [Grants.gov](http://Grants.gov) - APPLY to download application materials to complete and submit their applications in accordance with the funding opportunity announcement (FOA).

**Award Procedure:**

Applications that successfully proceed through initial screening (as outlined in the funding opportunity announcement) will be objectively reviewed based upon the review criteria specified in the FOA. Applications selected for funding will be processed and the applicant notified in writing through the issuance of a Notice of Award from the Office of the Assistant Secretary for Preparedness and Response.

**Deadlines:**

Sep 30, 2010: Applicable deadlines and due dates are specified in each funding opportunity announcement.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 60 months. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Award, a legal document that informs the awardee that a grant award has been made. Awardee may draw down funds in advance of the incurrence of an expenditure (up to three days) from the Payment Management System.

**Reports:**

Program reports are not applicable. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. Recipients will utilize the Transactions section of SF425 in lieu of the SF272. The FFR SF425 cash Transaction Report is due 30 days after the end of each calendar quarter. Grantees are required to submit semi-annual Program Progress Reports as well as final Program Progress Reports. Report formats and submission requirements are outlined in the funding opportunity announcement. ASPR requires cumulative financial reporting through consecutive funding periods on the SF269 FSR long form. The FFR SF425 was designed to replace the Financial Status Report SF269 and the Federal Cash Transactions Report SF272 with one comprehensive financial reporting form. Until HHS fully migrates to the SF425 FFR, recipients are still required to submit the SF269 Financial Status Report (FSR) semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Grantees are required to submit final Financial Status Reports (SF-269). Performance monitoring of awardees is completed by BARDA program staff.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be kept available for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$9,400,000; FY 12 est \$1,500,000; and FY 13 est \$10,000,000

**Range and Average of Financial Assistance:**

\$250,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 109-417, 45 CFR 92, 45 CFR 74, 45 CFR 46, 2 CFR, HHS Grants Policy Statement found at <http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Rick A. Bright Biomedical Advanced Research and Development Authority, 330 Independence Ave SW, Room G-640, Washington, District of Columbia 20201 Email: Rick.Bright@hhs.gov Phone: 202-260-8535

**Website Address:**

<http://www.medicalcountermeasures.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Discretionary awards are subject to objective review. Reviewers will individually evaluate and score applications based upon the review criteria specified in the funding opportunity announcement. Scored applications will be ordinally ranked. The highest ranked applications will receive priority consideration for award within available funding.

**93.361 NURSING RESEARCH****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 464, 487, 42 U.S.C 285q; Public Health Service Act, Public Law 102-564; Public Health Service Act, Public Law 99-158.

**OBJECTIVES:**

The National Institute of Nursing Research (NINR) supports clinical and basic research to build the scientific foundation for clinical practice, prevent disease and disability, manage and eliminate symptoms caused by illness, and enhance end-of-life and palliative care. NINR seeks to extend nursing science by integrating the biological and behavioral sciences, employing new technologies to research questions, improving research methods, and developing the scientists of the future. NINR accomplishes its mission through research on preventing, delaying the onset, and slowing the progression of disease and disability. This includes (a) finding effective approaches to achieving and sustaining a healthy lifestyle and preventing diseases and disability; (b) improving the quality of life for patients, families, and informal caregivers by enhancing the individual's role in managing disease and disability, relieving symptoms, and improving outcomes; (c) eliminating health disparities, including disparities based on race/ethnicity, gender, socio-economic status, geography, cultural factors, and disability, and (d) addressing issues at the end of life, improving palliative care, enhancing the quality of life for the dying patient, and supporting family and informal caregivers. These efforts are crucial in translating scientific advances into cost-effective health care that does not compromise quality. NINR accomplishes its mission by supporting grants to universities and other research organizations as well as by conducting research intramural at laboratories in Bethesda, Maryland. The research fosters interdisciplinary collaborations to ensure a comprehensive approach to research on illness and disabling conditions. This approach is especially relevant in research aimed at developing interventions that address the needs of diverse populations across the life span, adapting and generating new technologies, integrating biological and behavioral science, improving methods for future scientific discoveries. In addition, the Institute supports comprehensive research training programs to prepare individuals with requisite interdisciplinary skills to conduct nursing research. Small Business Innovation Research (SBIR) program: NINR seeks to expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation Small Business Technology Transfer (STTR) program: Through this program, NINR seeks to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Centers Program: To promote interdisciplinary research, offer an environment for research training and career development, and concentrate research through Centers for Nursing Research.

Program areas are as follows: Chronic conditions and infectious diseases,

including health issues of individuals with arthritis, diabetes, urinary incontinence, digestive disorders, and musculoskeletal disorders; Health behavior and minority health, including studies of health disparities, women's health, men's health, and health and risk behaviors research; Cardiopulmonary and critical care science, including research on responses to acute cardiovascular events, chronic management of cardiovascular disease, and responses to acute and chronic pulmonary conditions such as COPD, asthma, and other non-infection-caused conditions; Neuroscience, including research on symptom management and/or prevention of cognitive deficits, neurological conditions, and informal caregiving for persons with these conditions; HIV/AIDS and oncology, including symptom management, self-management, and caregiving of patients with cancer, HIV/AIDS, and immune disorders; Reproductive, child, and family health, including reproduction and child bearing issues, infant development and illness, child and adolescent health promotion and risk reduction, and family health; End of life and long term care, including clinical management of physical and psychological symptoms, communication, ethics and clinical decision-making, caregiver support, and care delivery issues at the end of life.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research Grants: Funds may be used for salaries, consultation, equipment, travel and other usual costs, subject to Federal regulations applicable to the grant. National Research Service Awards (NRSAs) (Individual): Individual awards are made to institutions on behalf of the individual for research training in specified areas related to the mission of NINR. NRSAs (Institutional): Grants may be made to institutions to enable them to accept individuals for research training. Each individual who receives a NRSA postdoctoral fellowship on an NRSA award must comply with all applicable service and payback provisions. SBIR Phase I grants: (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application.

**Applicant Eligibility:**

Research Grants: Any corporation, public or private institution or agency, or other legal entity, either nonprofit or for-profit, may apply. NRSAs (Individual): An applicant must be a registered professional nurse with either a baccalaureate and/or a master's degree in nursing or a related field and must be a citizen of the United States or lawfully admitted for permanent residence. Those on temporary or student visas are not eligible. NRSAs (Institutional): An eligible institution must be capable of providing predoctoral and/or postdoctoral research training opportunities for nurses. SBIR grants: can be awarded only to domestic small businesses (entities that are independently owned and operated for profit; are not dominant in the field in which research is being proposed; and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the United States or its possessions. To be eligible for funding, a grant application must be reviewed for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Individuals and public or private institutions.

**Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are appropriate to carry out the plan. NRSAs (Individual): The applicant's academic record, research experience, citizenship, licensure as a registered nurse, and institutional sponsorship should be documented in the application. NRSAs (Institutional): The applicant organization must show the objectives, methodology and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for awards, and detailed budget justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular A-21, Cost Principles for Educational Institutions. For-profit organizations' costs are determined in accordance with 48 CFR Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR, Phase I and Phase II. Application is made electronically through Grants.gov (<http://www.grants.gov>). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research Grants: Applications must be prepared either electronically through Grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (rev. 4/2006). The PHS 398 is available at <http://grants.nih.gov/grants/funding/phs398/phs398.html>. The format is interactive. For assistance contact GrantsInfo, Telephone (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). NRSAs (Individual): Individuals must submit the application form, PHS Individual National Research Service Award (PHS 416-1, rev. 10/05), and include at least three letters of reference. If the applicant has been lawfully admitted to the United States for permanent residence, the appropriate item should be checked on the Face Page of the application. Applicants who have applied for and have not yet been granted admission as a permanent resident should check the Permanent resident block on the Face Page of the PHS 416-1 application, and also write in the word "pending." A notarized statement documenting legal admission for permanent residence must be submitted prior to the issuance of an award. SBIR and STTR: The SF 424 (Research and Research-Related) application forms and the SF 424 SBIR/STTR Application Guide are used to apply for both SBIR and STTR grants, Phase I and Phase II. Application must be made electronically through grants.gov (<http://www.grants.gov>). For further assistance contact GrantsInfo, Telephone: (301) 435-0714, E-mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov).

**Award Procedure:**

Research Grants and NRSAs (Institutional): All accepted applications are reviewed for scientific merit by an appropriate initial review group and then by a national advisory council. (Individual NRSA applications are not reviewed by council.) All applications favorably recommended compete for available funds on the basis of scientific merit and mission/program relevance. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, mission/program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Research Grants: From 6 to 9 months. NRSAs: From 6 to 9 months.  
SBIR/STTR: About 7-1/2 months. AIDS Grants: About 6 months.

**Appeals:**

Research Grants: A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the NINR.

**Renewals:**

Research Grants: Renewal applications are accepted. NRSAs: Awards may be made for 1 to 5 years. No individual may receive more than 5 years of aggregate NRSA support beyond the predoctoral level, and no individual may receive NRSA support for more than 3 years of support beyond the postdoctoral level. Institutional awards may be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research Grants: Awards are usually made annually with no project periods to exceed 5 years in length. NRSAs: Institutional awards may be made for up to 5 years, and Individual awards may be made for up to 5 years at the predoctoral level, 3 years at postdoctoral level, and 2 years at senior level. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Grant awards are made annually.

**Reports:**

Final reports including the financial status report on all projects are required within 90 days after their conclusion. No cash reports are required. Progress reports where applicable are required annually for continuing projects. Financial status reports where applicable are required annually for continuing projects. Progress reports where applicable are required annually for continuing projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable

access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0889-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$110,463,000; FY 12 est \$109,770,000; and FY 13 est \$109,583,000 - Research Grants. (Training) FY 11 \$9,087,000; FY 12 est \$9,087,000; and FY 13 est \$9,053,000 - National Research Service Awards (NRSA).

**Range and Average of Financial Assistance:**

(Research Grants) \$67,065 to \$981,543; \$386,000 avg. cost; (NRSAs) Individual Awards \$3,436 to \$63,182; \$33,000 avg. cost of FTTP/Awd.; Institutional Awards \$52,810 to \$478,529; \$48,000 average cost of FTTP.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 286 research grants, 81 NRSA Individual FTTPs, 132 NRSA Institutional FTTPs were awarded for 2011. Fiscal Year 2012: 296 research grants, 81 NRSA Individual FTTPs, 132 NRSA Institutional FTTPs are projected to be awarded for 2012. Fiscal Year 2013: 296 research grants, 77 NRSA Individual FTTPs, 126 NRSA Institutional FTTPs are projected to be awarded for 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research Grants: Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Denise Russo 31 Center Drive, Bethesda, Maryland 20892 Email: denise.russo@nih.hhs.gov Phone: 301-402-7889

**Website Address:**

<http://www.ninr.nih.gov/>

**RELATED PROGRAMS:**

93.226 Research on Healthcare Costs, Quality and Outcomes; 93.242 Mental Health Research Grants; 93.359 Nurse Education, Practice and Retention Grants; 93.399 Cancer Control; 93.866 Aging Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Early vs. Later Palliative Cancer Care: Clinical and Biobehavioral Effects 2) Outcomes of Nursing Management Practice in Nursing Homes 3) Phase III Trial of Pocket PATH: A Computerized Intervention to Promote Self-Care 4) Cost Effectiveness and Quality of Life in Heart Failure Patients with Diabetes 5) Epigenetic Modifications of BDNF and trkB Genes Underlie Pain Plasticity 6) Decisionmaking in Pediatric Advanced Care 6) Nursing Management of IBS: Improving Outcomes 7) End-of-Life Quality of Care in Nursing Homes 8) Ethnic Specific Midlife Women's Attitudes Toward Physical Activity 9) Prevention of Nosocomial Infections and Cost-Effectiveness Refined (P-NICER) 10) Pandemic or Mass Casualty Aseptic Shared Ventilation 11) Reducing Health Disparities Through Informatics 12) Telephone Assessment and Skill-Building Intervention for Stroke Caregivers. Fiscal Year 2012: Please see 2011 for a representation of the general science areas covered. Fiscal Year 2013: Please see 2011 for a representation of the general science areas covered.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? (2) Approach: Are the conceptual framework, design, methods, and



analyses adequately developed, well-integrated, well-reasoned, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? For applications designating multiple PIs, is the leadership approach, including the designated roles and responsibilities, governance, and organizational structure, consistent with and justified by the aims of the project and the expertise of each of the PIs? (3) Innovation: Is the project original and innovative? Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches or methodologies, tools, or technologies for this area? (4) Investigators: Are the PD/PIs and other key personnel appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level(s) of the principal investigator(s) and other researchers? Do the PD/PIs and investigative team bring complementary and integrated expertise to the project (if applicable)? (5) Environment: Do(es) the scientific environment(s) in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment(s), or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? In addition to the above criteria, the following items will continue to be considered in the determination of scientific merit and the priority score: Resubmission Applications (formerly revised/amended applications): Are the responses to comments from the previous scientific review group adequate? Are the improvements in the resubmission application appropriate? Protection of Human Subjects from Research Risk: The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed. Inclusion of Women, Minorities and Children in Research: The adequacy of plans to include subjects from both genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated. Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the adequacy of the plans for care and use of vertebrate animals to be used in the project will be assessed. Biohazards: If materials or procedures are proposed that are potentially hazardous to research personnel and/or the environment, determine if the proposed protection is adequate. Applications compete for available funds with all other recommended applications. The following will be considered in making funding decisions: Scientific merit of the proposed project as determined by peer review; Availability of funds; Relevance of program priorities. The following criteria will be used in considering the scientific and technical merit of all SBIR/STTR grant applications: Significance: Does the proposed project have commercial potential to lead to a marketable product, process or service? Does this study address an important problem? What may be the anticipated commercial and societal benefits that may be derived from the proposed research? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced? What will be the effect of these studies on the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field? Does the application lead to enabling technologies (e.g., instrumentation, software) for further discoveries? Will the technology have a competitive advantage over existing/alternate technologies that can meet the market needs? Approach: Are the conceptual or clinical framework, design, methods, and analyses adequately developed, well-integrated, well-reasoned, and appropriate to the aims of the project? Is the proposed plan a sound approach for establishing technical and commercial feasibility? Are the milestones and evaluation procedures appropriate? Does the applicant acknowledge potential problem areas and consider alternative tactics? For applications designating multiple PDs/PIs, is the leadership approach, including the designated roles and responsibilities, governance, and organizational structure, consistent with and justified by the aims of the project and the expertise of each of the PDs/PIs? Innovation: Is the project original and innovative? For example: Does the project challenge existing paradigms or clinical practice; address an innovative hypothesis or critical barrier to progress in the field? Does the project develop or employ novel concepts, approaches, methodologies, tools, or technologies for this area? Investigator(s): Are the PD/PI(s) and other key personnel appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the PD/PI(s) and other researchers, including consultants and subcontractors (if any)? Do the PD/PIs and investigative team bring complementary and integrated expertise to the project (if applicable)? Are the

relationships of the key personnel to the small business and to other institutions appropriate for the work proposed? Environment: Do(es) the scientific and technological environment in which the work will be done contribute to the probability of success? Do the proposed studies benefit from unique features of the scientific environment, or subject populations, or employ useful collaborative arrangements? Is there evidence of institutional support? Is there sufficient access to resources (e.g., equipment, facilities)? In addition to the above criteria, Phase II grant applications will be reviewed based upon the following criteria: 1. How well did the applicant demonstrate progress toward meeting the Phase I objectives, demonstrating feasibility, and providing a solid foundation for the proposed Phase II activity? 2. Did the applicant submit a concise Commercialization Plan that adequately addresses the specific areas described in the SF424 (R&R) SBIR/STTR Application Guide and the SBIR/STTR Information component? 3. Does the project carry a high degree of commercial potential, as described in the Commercialization Plan? In addition to the above criteria, the following items will continue to be considered in the determination of scientific merit and the priority score: Resubmission Applications: Are the responses to comments from the previous scientific review group adequate? Are the improvements in the resubmission application appropriate? Protection of Human Subjects from Research Risk: The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed. Inclusion of Women, Minorities and Children in Research: The adequacy of plans to include subjects from both genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated. Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the adequacy of the plans for their care and use will be assessed. Biohazards: If materials or procedures are proposed that are potentially hazardous to research personnel and/or the environment, determine if the proposed protection is adequate. SBIR/STTR applications compete for available funds with all other recommended SBIR/STTR applications. The following will be considered in making funding decisions: Scientific and technical merit of the proposed project as determined by peer review; Availability of funds; Relevance of the proposed project to program priorities.

### **93.364 NURSING STUDENT LOANS**

NSL

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 835-842, 42 U.S.C. 297a-i, as amended; Health Professions Education Partnership Act of 1998, Public Law 105-392.

#### **OBJECTIVES:**

To increase educational opportunities by providing long-term, low-interest loans to students in need of financial assistance and in pursuit of a course of study in an approved nursing program.

#### **TYPES OF ASSISTANCE:**

DIRECT LOANS

#### **USES AND USE RESTRICTIONS:**

The maximum amount a student may borrow is \$3,300 for an academic year for each of the first two years, \$5,200 for each of the final 2 years, or the amount of the student's financial need, whichever is less. The total of all Nursing Student Loans to any student is limited to \$17,000. Loans will be made to full and half-time nursing students enrolled after June 30, 2000 who are citizens, nationals, lawful permanent residents of the United States, the District of Columbia, the Commonwealths of Puerto Rico, the Mariana Islands, the Virgin Islands, Guam, the American Samoa, the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated States of Micronesia. Funds are made to schools of nursing to capitalize loan.

#### **Applicant Eligibility:**

All accredited public and nonprofit private schools of nursing that prepare students for practice as registered or graduate nurses, and that do not discriminate against students because of race, color, origin, sex, or

handicapping conditions, are eligible to apply for funds to be disbursed to qualified nursing students.

**Beneficiary Eligibility:**

The Nursing Student Loan Program provides financial assistance to nursing students who are citizens, nationals or lawful permanent residents of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, and the Federated State of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. New applications for this program can be acquired from the Division of Student Loans and Scholarships by calling (301) 443-1173.

Annual operating reports serve as the new year application for current NSL recipient institutions.

**Award Procedure:**

The Notice of Award is sent to the School's Contact Person notifying the school of the amount of Federal funds allocated for loans prior to the beginning of the academic year in which the award is to be utilized. Student is notified by student aid office of approval or disapproval at times determined by schools.

The HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Applications are required for new schools. Annual operating reports are required for renewals.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching Requirements: Percent: 11%. Schools participating in loan programs must match the Federal contribution with an amount not less than one-ninth of the Federal allotment.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and time of assistance depends upon the time required by the student to complete the necessary course of study leading to a degree and is subject to availability of funds. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Operating Report (AOR) through electronic submission at <http://grants.hrsa.gov>. AOR must be submitted 45 days after the end of each budget period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Loans) FY 11 \$1,354,127; FY 12 est \$1,629,296; and FY 13 est \$1,629,296

**Range and Average of Financial Assistance:**

Range:\$1,341 to \$191,586 (FY2011); Average: \$17,141 per institution for FY 11.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Christopher Grosso or Courtney Phippen, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1173. Use same number for FTS.

**Headquarters Office:**

Christopher Grosso or Courtney Phippen 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-1173

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

84.063 Federal Pell Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements.

**93.365 SICKLE CELL TREATMENT DEMONSTRATION PROGRAM SCDTDP**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 712(c) of the American Jobs Creation Act of 2004, P.L. 108-357.

**OBJECTIVES:**

To support demonstration projects for the development and establishment of

systemic mechanisms and partnerships to improve the prevention and treatment of sickle cell disease (SCD) through coordination of service delivery, genetic counseling and testing, bundling of technical services, training of health professionals, patient and provider education and identifying and establishing other efforts related to the expansion and coordination of education, treatment and continuity of care programs for individuals living with sickle cell disease.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved projects in accordance with Section 712 of the Public Law 103-357.

**Applicant Eligibility:**

Eligible entities include, Federally-qualified health center, as defined in section 1905(10)(2)(B) of the Social Security Act (42 U.S.C. 1396d(10)(2)(B)), nonprofit hospital or clinic, or university health center that provides primary health care, that: (1) has a collaborative agreement with a community-based Sickle Cell Disease organization or a nonprofit entity with experience in working with individuals who have Sickle Cell Disease; and (2) demonstrates that either the Federally-qualified health center, the nonprofit hospital or clinic, the university health center, the community-based Sickle Cell Disease organization or the Sickle Cell Disease experts who serve as consultants to the project have at least 5 years of experience in working with individuals who have Sickle Cell Disease.

**Beneficiary Eligibility:**

Projects will benefit individuals with Sickle Cell Disease and health professionals who provide care for individuals with Sickle Cell Disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 2-3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made on an annual basis for the duration of the grant period, and payments are made through an Electronic Transfer System or Cash Demand System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports. Refer to funding opportunities announcement. Refer to funding opportunities announcement. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Review (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0354-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$3,402,432; FY 12 est \$3,478,383; and FY 13 est \$3,402,432

**Range and Average of Financial Assistance:**

Based on FY 2012  
\$378,048 to \$390,000; \$384,024.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The SCDTDP program has data related to the following:  
Over 5,000 individuals received some type of services: education, counseling, and/or access to medical home  
Almost 2800 health providers have received training and education  
A increase in the number of individuals taking hydroxurea  
A decrease in the number of individuals experiencing complications from sickle cell disease including pain, fever, severe infection, stroke, kidney damage, leg ulcers, eye damage, gall bladder attack, spleen problems, priapism, hand-foot syndrome, seizures  
A decrease of 12% in regularly scheduled blood transfusions  
A slight decrease in the number of emergency room visits, and hospital length of stay. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Office: R. Lorriane Brown, RN, BS, CPHP, Genetic Services Branch, Division of Services for Children with Special Health Needs, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room

18A-19, 5600 Fishers Lane, Rockville, MD 20857; Telephone: (301) 443-9775.

**Headquarters Office:**

R. Lorriane Brown, RN, BS, CPHP 5600 Fishers Lane, Room 18-A19, Rockville, Maryland 20857 Phone: (301) 443-9775

**Website Address:**

www.hrsa.gov.

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 9 comprehensive sickle cell treatment programs funded nationally. Fiscal Year 2012: 9 comprehensive sickle cell treatment programs funded nationally. Fiscal Year 2013: 9 comprehensive sickle cell treatment programs funded nationally.

**CRITERIA FOR SELECTING PROPOSALS:**

General criteria are described in Program Regulations 45 CFR 51, and specific criteria are included in the funding opportunity announcement materials provided with application kits.

**93.389 NATIONAL CENTER FOR RESEARCH RESOURCES**

(DBT, DCRR, DCM, DRI)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Small Business Research and Development Enhancement Act of 1992, Public Law 102-564; Public Health Service Act, Title IV, Section 479-480 487, Public Law 99-158; Public Health Service Act, Title III, Section 301, Public Law 78-410, U.S.C 341, 287-288.

**OBJECTIVES:**

The National Center for Research Resources (NCRR) provides laboratory scientists and clinical researchers with the environments and tools they need to understand, detect, treat, and prevent a wide range of diseases. This support enables discoveries that begin at a molecular and cellular level, move to animal-based studies, and then are translated to patient-oriented clinical research, resulting in cures and treatments for both common and rare diseases. NCRR connects researchers with one another and with patients and communities across the nation to harness the power of shared resources and research.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Division of Biomedical Technology supports research, development and access to sophisticated technologies at resource centers nationwide which assist academic, nonprofit organizations in the development, use, and dissemination of innovative technologies useful for the advancement of biomedical science. Awards are provided under a variety of funding mechanisms composed of Biomedical Technology Resource(BTR) grants, Research Project Grants, Shared Instrumentation Grants (SIG), High End Instrumentation (HEI) Program and other mechanisms, such as Exploratory Grants to develop new technologies for biomedical research, Small Business Innovation Research (SBIR) grants, and Small Business Technology Transfer (STTR) grants. The Division for Clinical Research Resources makes it possible to apply knowledge gained through basic research to the development of lifesaving drugs, devices, and therapies that protect the health of our nation's citizens by providing research infrastructure for clinical investigators. These specialized institutional resources are equipped to be flexible and responsive to changing scientific and economic environments and to unforeseen research challenges. The Division for Clinical Research Resources helps translate scientific knowledge into effective patient care through General Clinical Research Centers (GCRC), Research Career Development (K23, K24), Clinical Research Curriculum Award (CRCA, K30), Clinical Research-related activities, Small Business Innovation Research (SBIR) grants and Small Business Technology Transfer (STTR) grants; and improves pre-college science education and the public's understanding of science through the Science Education Partnership Award (SEPA) Program. Additionally, a new consortium, funded through Clinical and Translational Science Awards

(CTSAs), will transform how clinical and translational research is conducted, ultimately enabling researchers to provide new treatments more efficiently and quickly to patients. The Division of Comparative Medicine supports research and resource projects, as well as centers that enable biomedical scientists to use high quality, disease-free animals effectively in research on human health problems. Support is also available for the development of a wide range of other research models, particularly marine invertebrates and lower vertebrates, and access to an array of important biological materials. These objectives are accomplished through activities of National Primate Research Centers (NPRC), Laboratory Animal Science (LAS), and Biological Models and Materials Research (BMMR). The Division of Research Infrastructure addresses the under representation of minority investigators; enhances the research environment at minority colleges and universities in the health sciences; broadens the geographic distribution of research grant funding to states with historically low NIH success rates; and improves biomedical research facilities through matching grants for construction and renovation. These objectives are accomplished through activities of the Research Centers in Minority Institutions (RCMI) program, the RCMI Clinical Research Infrastructure Initiative (RCRII), and the Institutional Developmental Award (IDeA). The Office of Construction supports the Research Facilities Improvement Program (RFIP) and the Animal Facilities Improvement Program.

**Applicant Eligibility:**

BTR Grants: Nonprofit health professional schools; other academic institutions; hospitals; State and local health agencies; and research organizations with programs in biomedical technology research located in the United States and its territories. SIG and HEI awards will be made to institutions only, not to individuals. GCRC and CTSA grants: schools, research hospitals, and other institutions capable of carrying out well-designed studies in any preclinical or clinical science involving human beings as research subjects in conjunction with investigators funded through the National Institutes of Health (NIH) and other Federal agencies. Research Career Development: Applications may be submitted on behalf of candidates by domestic, nonfederal organizations, public or private institutions of higher education. Clinical Research Scholar Program Award: Applications will be accepted from domestic, nonprofit organizations, public and private institutions of higher education that have strong, well-established clinical research and training program. SEPA: Public and private for-profit and nonprofit institutions and museums. DCM: Institutions of higher education, hospitals, and other institutions and organizations, both nonprofit and for-profit, seeking to establish, continue, or enlarge programs consistent with the objectives of the program. Applicants for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institutional NRSA. RCMI: Institutions with more than 50 percent minority enrollment that award an M.D., D.D.S., D.V.M., or other doctoral degree in the health professions and/or a Ph.D. in the health-related sciences. This program is open only to institutions within the United States and its territories. RCRII: RCMI eligible institutions affiliated with medical schools. IDeA: Domestic public and private for profit and nonprofit institutions in States in which the success rate for applications to the NIH has been historically low. RFIP and Animal Facilities Improvement: Except where otherwise prohibited by law, any nonprofit organization competent to carry out biomedical research.

**Beneficiary Eligibility:**

Biomedical investigators at any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

SIG, HEI: A major user group of three or more investigators should be identified. Each major user must have NIH peer-reviewed research support at the time of the award. The application must show a clear need for the instrumentation by projects supported by multiple NIH research awards and demonstrate that these projects will require at least 75 percent of the total usage of the instrument. Applications for NRSA must be citizens of the United States or be admitted to the United States for permanent residency. Applicants must be nominated and sponsored by a public or private nonprofit institution with staff and facilities suitable for the proposed research training. Nonprofit domestic organizations may apply for the institution NRSA. RCMI, RCRII, and CCRC:

Applicants must certify eligibility (see Applicant Eligibility requirements), IDeA, and Animal Facilities Improvement: None. RFIP: Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, The National Environmental Policy Act, and listing of all relevant licenses, permits or other approvals required by State and local authorities. Costs will be determined in accordance with OMB Circular Nos. A-122, "Cost Principles for Nonprofit Organizations," and in the case of SIG & HEI No. A-87 for State and local governments or A-21 for Educational Institutions, and HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms may be obtained from the Division of Extramural Outreach and Information, 6701 Rockledge Drive, MSC 7910, Bethesda, MD 20892-7910. Telephone (301) 435-0714, e-mail: [ASKNIH@odrockml.od.nih.gov](mailto:ASKNIH@odrockml.od.nih.gov). Completed applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, MSC 7710, Bethesda, MD 20892-7710. The standard application forms PHS 398, (Rev. November 1998), as furnished by PHS and required by 45 CFR, Part 92, and OMB Circular No. A-110 must be used for all programs. For filing NRSA individual fellowship award applications, Form 416-1 (Rev. October 1991) is needed. CTSA: Special instructions for preparing applications should be requested from the Division for Clinical Research Resources, One Democracy Plaza, 6701 Democracy Blvd., National Center for Research Resources, National Institutes of Health, Bethesda, MD 20892-4874. RFIP: Construction applications are to be submitted on a Standard Form 424, Application for Federal Assistance.

#### **Award Procedure:**

The initial review of applications from eligible investigators and institutions is reviewed by committees comprised of authorities in various fields of biomedical research and science education, as appropriate. Each application is given a peer evaluation for merit, and recommendations are forwarded to the National Advisory Research Resources Council for final review and recommendation.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

> 180 Days.

#### **Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of their application by communicating with the NCRR staff. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/1997/97.11.21/n2.html](http://www.nih.gov/grants/guide/1997/97.11.21/n2.html).

#### **Renewals:**

K23, K24, SIG, HEI, Animal Facilities Improvement, and RFIP: None. All others may be renewed upon successful reapplication.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

All programs except for RFIP: 1 to 5 years. An Electronic Transfer System is used for transferring funds. RFIP: Construction must be completed within the time specified in grant award. The initial budget period is usually 2 years in length, although extensions may be requested. All funds must be obligated

within 5 years from the date of award. See the following for information on how assistance is awarded/released: All programs except for RFIP: 1 to 5 years. An Electronic Transfer System is used for transferring funds. RFIP: Construction must be completed within the time specified in grant award. The initial budget period is usually 2 years in length, although extensions may be requested. All funds must be obligated within 5 years from the date of award.

#### **Reports:**

No program reports are required. No cash reports are required. Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period. Reports are required after termination of NRSA to ascertain compliance with the service and payback provisions. RFIP: The grantee is responsible for performance of the contractor. The contractor must be covered by performance and payment bonds. Annual progress and financial status reports are required for all grants. Final performance and financial reports are required 90 days following the end of the project period. Reports are required after termination of NRSA to ascertain compliance with the service and payback provisions. RFIP: The grantee is responsible for performance of the contractor. The contractor must be covered by performance and payment bonds. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

#### **Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0848-1-1-552.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Other Research. (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Comparative Medicine Centers. (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Research Centers in Minority Institutions Centers. (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - General Clinical Research Centers/Clinical and Translational Science Awards Centers. (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Biomedical Technology Research Centers. (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Research Project Grants. (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Special Comprehensive Centers. (Project Grants (Capacity Building and Complaint Processing, Training)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Research Training. (Project Grants (Contracts)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Research & Development Contracts.

**Range and Average of Financial Assistance:**

In fiscal year 2010, there were 129 Research Project Grants; In FY 2011, it is estimated that there will be 125 and in FY 2012, 121. There were 13 General Clinical Research Centers in FY 2010 and it is estimated that there will be 3 in FY 2011 and 0 in FY 2012. There were 55 Clinical and Translational Science Awards Centers in FY 2010 and it is estimated that there will be 60 in FY 2011 and FY 2012. There were 50 Biomedical Technology Resource Centers in FY 2010 and it is estimated there will be 53 in FY 2011 and FY 2012. There were 97 Specialized Comprehensive Centers in FY 2010 and it is estimated that there will be 97 in FY 2011 and 98 in FY 2012. There were 50 Comparative Medicine Centers in FY 2010. It is estimated that there will be 46 in FY 2011 and FY 2012. There were 23 Research Centers in Minority Institutions in FY 2010 and it is estimated that there will be 22 in FY 2011 and FY 2012. There were 358 Other Research Grants in FY 2010. It is estimated that there will be 369 in FY 2011 and 355 in FY 2012. There were 139 Full Time Training positions in FY 2010. It is estimated that there will be 134 in FY 2011 and FY 2012. There were 91 Research and Development Contracts in FY 2010. It is estimated that there will be 92 in FY 2011 and FY 2012.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

BT: OMB Circular No. A-21, "Cost Principles for Educational Institutions." Reference: 44 FR 12368, March 6, 1979; Rev. No. 1, 47 FR 33658, August 3, 1982; Rev. No. 2, 51 FR 20908, June 9, 1986. OMB Circular No. A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations." Reference: 41 FR 32016, July 30, 1976. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." OMB Circular No. A-128, "Audits of State and Local Governments"; Reference: Public Law 98-502, the Single Audit Act of 1984. OMB Circular No. A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments"; Reference: 34 CFR 255. 45 CFR 92. Reference: 42 FR 45828. OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations." Reference: 45 FR 46022, July 8, 1980. 45 CFR 74; 42 CFR 52h. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal Regulations at 42 CFR 52 and 42 USC 241. Department Staff Manual "Grants Administration"; Indirect Cost Register, DHHS; PHS Grants Policy Statement, DHHS Publications No. (OASH) 94-50,000, (Rev.) April 1, 1994; "NIH Grants Policy Guide," Office for Protection from Research Risks, NIH; "A Guide to Grant and Award Programs of the NIH"; and miscellaneous program literature from Headquarters Office.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia Newman, 6701 Democracy Boulevard, Room 994-MSC4874, Bethesda, Maryland 20892-4874 Email: pnewman@mail.nih.gov Phone: (301) 435-0864.

**Website Address:**

<http://www.ncrr.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. RFIP: Factors considered in making awards include the merit of the proposal, the needs of the institution, with special consideration for institutions designated as centers of excellence, the commitment of the institution, the availability of funds, and the overall program priorities.

**93.393 CANCER CAUSE AND PREVENTION RESEARCH****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410 and 411, Public Law 78-410, as amended, 42 U.S.C. 241, 42 U.S.C. 285 - 285a-1; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To identify cancer risks and risk reduction strategies, to identify factors that cause cancer in man, and to discover and develop mechanisms for cancer prevention in man. Research programs include: (1) epidemiology; (2) chemical, physical and molecular carcinogenesis; (3) early detection biomarkers; (4) nutrition and bioactive food components; (5) immunology and vaccines; (6) field studies and statistics; (7) chemoprevention; (8) agent development; and (9) organ site studies. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation on socially and economically disadvantaged small business concern and women-owned small business concern in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development and economically disadvantage small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are

reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concern (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant applicant must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research on cancer.

**Credentials/Documentation:**

For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan and idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424(R&R) (Rev. January 2010) is used to apply for SBIR Phase I and Phase II and STTR Phase I and Phase II. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Depending on the grant mechanism, either form PHS-398 (Rev. June 2009) or form SF424(R&R) (Rev. January 2010) is the standard application form. Both forms can be obtained online at <http://grants.nih.gov/grants/forms.htm>. The standard application forms, as furnished by DHHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments. SBIR and STTR Grant Solicitations and SBIR Contract Solicitations may be obtained electronically through the NIH's Small Business Funding Opportunities home page at <http://www.nih.gov/grants/funding/sbir.htm>. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications must be submitted electronically to the NIH via Grants.gov (<http://www.grants.gov/>).

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533-2) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications

receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

(Grants) Approximately 10 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available online through the NIH home page at <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal must be reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and Cooperative Agreements: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or Letter of Credit. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after end of budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Causation Research.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$688,289,000; FY 12 est \$687,837,000; and FY 13 est \$681,262,000 - (Grants) For RPG: FY2011 \$688,289,000; FY2012 est \$687,837,000; and FY2013 est \$681,262,000. For SBIR/STTR: FY2011 \$5,609,000; FY2012 est \$8,030,000; and FY2013 est \$7,489,000.

**Range and Average of Financial Assistance:**

Range: \$5,579 to \$4,958,531  
Average: \$447,813.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competing FY2011 RPG act. - 358 awards which were 15.3% of applications received.

Competing FY2011 SBIR/STTR act. - 5 awards which were 7.7% of applications received. Fiscal Year 2012: FY 2012 est. 1,518 total awards. Fiscal Year 2013: FY 2013 est. 1,516 total awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 74; 45 CFR 92; NIH Grants Policy Statement (10/1/11); Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistic@mail.nih.gov Phone: 3015941088

**Website Address:**

<http://www.nih.gov>; <http://cancer.gov>; <http://cancercontrol.cancer.gov>; <http://prevention.cancer.gov>.

**RELATED PROGRAMS:**

93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.399 Cancer Control

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.394 CANCER DETECTION AND DIAGNOSIS RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410, and 411, Public Law 78-410, as amended, 42 U.S.C. 241; Public Law 100-607, 42 U.S.C. 285 and 285a; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To improve screening and early detection strategies and to develop accurate diagnostic techniques and methods for predicting the course of disease in cancer patients. Screening and Early Detection research includes development of strategies to decrease cancer mortality by finding tumors early when they are more amenable to treatment. Diagnosis research focuses on methods to determine the presence of a specific type of cancer; to predict its course and response to therapy, both a particular therapy or a class of agents; and to monitor the effect of the therapy and the appearance of disease recurrence. These methods include diagnostic imaging and direct analyses of specimens from tumor or other tissues. Support is also provided for establishing and maintaining resources of human tissue to facilitate research. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological

innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultants costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or organization, unit of tribal government, or a for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424 is used to apply for SBIR Phase I and Phase II, respectively. Grant form SF424 is also used to apply for STTR Phase I and Phase II, respectively. See the website for more information on electronic submission of grants.

<http://grants.nih.gov/grants/funding/424/index.htm>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact



information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The NIH is in the process of a transition to fully electronic grant submission through Grants.gov (see <http://era.nih.gov/ElectronicReceipt> for details). Depending on the grant mechanism, either form PHS-398 (Rev. June 2009) or form SF424(R&R) (January 2010) is the standard form. Both can be obtained at <http://grants.nih.gov/grants/forms.htm>. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications must be submitted electronically via Grants.gov The following is a website address for NIH electronic submission of grant application information: <http://era.nih.gov/ElectronicReceipt/index.htm>.

**Award Procedure:**

Approved grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

(Regular Grants) Approximately 10 months. SBIR/STTR: About 7-1/2 months. See website: <http://grants1.nih.gov/grants/funding/submissionschedule.htm>.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula or matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years and a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after

the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of the project. No expenditure reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Detection and Diagnosis Research.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$278,457,000; FY 12 est \$314,711,000; and FY 13 est \$317,272,000 - (Grants) (RPG) FY2011 \$278,457,000; FY2012 est \$314,711,000; and FY2013 est \$317,272,000. For SBIR/STTR: FY2011 \$27,822,000; FY2012 est \$27,137,000 and FY2013 est \$27,218,000.

**Range and Average of Financial Assistance:**

Range: \$27,767 to \$7,455,878

Average: \$408,894.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competing FY2011 RPG actual: 217 awards which were 13.6% of applications received.

Competing FY2011 SBIR/STTR actual: 18 awards which were 4.4% of applications received. Fiscal Year 2012: FY2012 estimate: 786 awards. Fiscal Year 2013: FY2013 estimate: 790 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94- 50,000, (Rev.) April 1, 1994. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institute of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: (301) 594-1088 Fax: (301) 402-0275.

**Website Address:**

<http://www.prevention.cancer.gov/programs-resources/groups/ed> and <http://prevention.cancer.gov/programs-resources/groups/cb>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.395 CANCER TREATMENT RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410, and 411, Public Law 78-410, 42 U.S.C. 241, as amended, Public Law 100-607, 42 U.S.C 285(a); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To develop the means to cure as many cancer patients as possible and to control the disease in those patients who are not cured. Cancer Treatment Research includes the development and evaluation of improved methods of cancer treatment through the support and performance of both fundamental and applied laboratory and clinical research. Research is supported in the discovery, development, and clinical testing of all modes of therapy including: surgery, radiotherapy, chemotherapy, and biological therapy including molecularly targeted therapies, both individually and in combination. In addition, research is carried out in areas of nutritional support, stem cell and bone marrow transplantation, image guided therapies and studies to reduce toxicity of cytotoxic therapies, and other methods of supportive care that may supplement and enhance primary treatment. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution, or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned, and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that

are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

For-profit organizations' cost are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424 is used to apply for SBIR Phase I and Phase II, respectively. Grant form SF424 is also used to apply for STTR Phase I and Phase II, respectively. See the website for more information on electronic submission of grants.

<http://grants.nih.gov/grants/funding/424/index.htm>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application form PHS-398 is the standard form which may be obtained electronically from: <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. The standard application forms required by 45 CFR, Part 92 for State and local governments, must be used for this program. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at <http://www.nih.gov/grants/funding/sbir.htm> on the Web. Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040-MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

Approved grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and if they are recommended for further consideration, by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 10 months. SBIR Applications: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application with the staff of the Institute. A

description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements: Average 3 to 4 years, maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funds are provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by the DHHS. Terminal reports are required 6 months after the end of the project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Treatment Research.

**Obligations:**

(Salaries) FY 11 \$498,296,000; FY 12 est \$480,433,000; and FY 13 est \$482,445,000 - (Grants) For RPG: FY2011 \$498,296,000; FY2012 est. \$480,433,000 and FY2013 est. \$482,445,000. For SBIR/STTR: FY2011 \$41,609,000; FY2012 est \$37,826,000; and FY2013 est \$39,660,000.

**Range and Average of Financial Assistance:**

Range: \$11,803 to \$6,695,670  
Average: \$431,425.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competing FY2011 RPG actual: 240 awards which were 11.1% of applications received. Competing FY2011 SBIR/STTR actual: 33 awards which were 5.8% of applications received. Fiscal Year 2012: It is estimated that 1,168 total awards will be made in FY 2012. Fiscal Year 2013: It is estimated that 1,157 total awards will be made in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: (301) 594-1088. Fax: 301-402-0275

**Website Address:**

<http://www.nci.nih.gov>.

**RELATED PROGRAMS:**

93.393 Cancer Cause and Prevention Research; 93.394 Cancer Detection and Diagnosis Research; 93.396 Cancer Biology Research; 93.399 Cancer Control

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.396 CANCER BIOLOGY RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 410, and 411, Public Law 78-410, 42 U.S.C. 241, as amended; Public Law 100-607, 42 U.S.C. 285 and 285a; Small Business Research and Development Enhancement, Act of 1992, as amended, Public Law 102-564.

**OBJECTIVES:**

To provide fundamental information on the cause and nature of cancer in people, with the expectation that this will result in better methods of prevention, detection and diagnosis, and treatment of neoplastic diseases. Cancer Biology Research includes the following research programs: cancer cell biology, cancer etiology, structural biology and molecular applications, DNA and chromosomal aberrations, tumor biology and metastasis, and immunology and hematology.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and Facilities

and Administrative Costs (formerly known as indirect costs).

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant for support of research by a named principal investigator. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. See the website for more information on the electronic submission of grants. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The NIH is in the process of a transition to fully electronic grant submission through Grants.gov (see <http://era.nih.gov/ElectronicReceipt> for details). Depending on the grant mechanism, either form PHS-398 (Rev. June 2009) or form SF424(R&R) (January 2010) is the standard form. Both can be obtained at <http://grants1.nih.gov/grants/forms.htm>. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments. The following is a website address for NIH electronic submission of grant application information: <http://era.nih.gov/ElectronicReceipt/index.htm>.

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. The initial grant award provides funds for the first budget period (usually 12 months) and letter Notice of Award indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories and special conditions, if any.

**Deadlines:**

Aug 05, 2012 All Grants including renewals and supplements: April 5, August 5, December 5. Cooperative Agreements and contracts are usually submitted in response to a Request for Applications (RFA) or a Request for Proposals (RFP). The receipt date is stipulated in the RFA or RFP.

**Range of Approval/Disapproval Time:**

Regular Grants: Approximately 10 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page [www.nih.gov/grants/guide/notice-files/not97-232.html](http://www.nih.gov/grants/guide/notice-files/not97-232.html).

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and Cooperative Agreements: Average 3 to 4 years, and a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based

on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Biology Research.

**Obligations:**

(Salaries) FY 11 \$534,885,000; FY 12 est \$532,921,000; and FY 13 est \$534,840,000 - (Grants) RPG: FY2011 act. \$534,885,000; FY2012 est. \$532,921,000; and FY2013 est \$534,840,000. SBIR/STTR: FY2011 \$9,016,000; FY2012 est. \$11,060,000; and FY2013 est. \$9,687,000.

**Range and Average of Financial Assistance:**

Range: \$7,698 to \$4,592,515

Average: \$356,115.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Competing FY2011 RPG actual: 292 awards which were 14.9% of applications received.  
Competing FY2011 SBIR/STTR actual: 4 awards which were 2.7% of applications received. Fiscal Year 2012: It is estimated that 1,477 total awards will be made in FY2012. Fiscal Year 2013: It is estimated that 1,404 total awards will be made in FY2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: [battistc@mail.nih.gov](mailto:battistc@mail.nih.gov) Phone: (301) 594-1088 Fax: (301) 402-0275

**Website Address:**

<http://www.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **93.397 CANCER CENTERS SUPPORT GRANTS**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 305(a), 410, 411, and 414, Public Law 78-410, 42 U.S.C. 241, as amended; Public Law 100-607, 42 U.S.C. 285, 285a and 285a-3; Public Law 99-500.

#### **OBJECTIVES:**

To provide an organizational focus and stimulus for the highest quality cancer research that effectively promotes interdisciplinary cancer research aimed toward the ultimate goal of reducing cancer incidence, mortality and morbidity. The Cancer Center Support Grant (CCSG) provides the resources and infrastructure to facilitate the coordination of interdisciplinary programs across a broad spectrum of research from basic laboratory research to clinical investigation to population science. The CCSG supports salaries for scientific leadership of the Center, shared resources for funded center investigators, certain administrative costs, planning and evaluation, and developmental funds for new recruitments and feasibility studies.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

In general, CCSGs do not support research projects directly but are used to enhance the ongoing cancer research and to strengthen the existing research base according to the "Policies and Guidelines Relating to the Cancer Center Support Grant."

#### **Applicant Eligibility:**

Any nonprofit institution within the United States with a peer-reviewed cancer research base of 4.0 million dollars in direct costs may apply for a Cancer Center Support Grant.

#### **Beneficiary Eligibility:**

University, college, public agency or research institution in the U.S.

#### **Credentials/Documentation:**

The application requests documentation concerning the qualifications of the principal investigators and associates, pertinent budget information and justification for the support of this proposed grant. Methods to be utilized are outlined in the application materials. Costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q, and for State and local governments in accordance with OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Method of Application: Form PHS-398 (Rev. June 2009) can be obtained from the [grant.nih.gov/grants/forms.htm](http://grant.nih.gov/grants/forms.htm) website (click on PHS-398). In addition, supplemental instructions for applications are contained in the Cancer Center Support Grant Guidelines which can be obtained by writing to the Office of Cancer Centers, 6116 Executive Boulevard, Suite 700, MSC 8345, Bethesda, MD 20892-8345 (301-496-8531 or [http://cancercenters.cancer.gov/grants\\_funding/index.html](http://cancercenters.cancer.gov/grants_funding/index.html)). Generally, the potential applicant should send a letter of intent to the National Cancer Institute, Office of Cancer Centers, submitting a CCSG application to the same address for review (see Guidelines for CCSGs). Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

#### **Award Procedure:**

Grants are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for the first budget

period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for the remainder of the project period, allocation of Federal funds by budget categories and special conditions, if any.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Core Grants: Approximately 10 months.

#### **Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html> and NIH Policy Manual Release date: February 7, 2012 <http://oma.od.nih.gov/manualchapters/grants/54513/index.html>.

#### **Renewals:**

Same procedure as new applications.

#### **Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Up to 5 years of support may be requested. Grants may be awarded up to 5 years based on competitive peer review. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An annual financial status report is requested 90 days after the end of the budget period. Special reports may be requested by DHHS. Terminal reports are required 90 days after the end of a project. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

#### **Account Identification:**

75-0849-0-1-550 - Cancer Center Support Grants532273000.

#### **Obligations:**

(Salaries) FY 11 \$577,019,000; FY 12 est \$564,135,000; and FY 13 est \$560,610,000 - (Grants) (TotalCenters) FY2011 \$577,019,000; FY2012 est. \$564,135,000; and FY2013 est. \$560,610,000.

#### **Range and Average of Financial Assistance:**

Range: \$5,000 to \$13,185,550  
Average: \$2,245,210.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY2011 Centers funded: 257 Total Centers: 66 CORE, 61 SPORE and 111 Specialized Centers. Fiscal Year 2012: Fiscal year 2012 will fund an estimated 234 total Centers which will include 67 CORE, 61 SPORES and 111 Specialized Centers. Fiscal Year 2013: Fiscal year 2013 will fund an estimated 232 total Centers which will include 67 CORE, 61 SPORES and 111 Specialized Centers.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 45 CFR 74; 45 CFR 92; PHS Grants Policy Statement, DHHS Publication No. (OASH) 90- 50,000, (Rev.) October 1, 1990.

**Regional or Local Office:**

None. None.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistc@mail.nih.gov Phone: (301) 594-1088. Fax: (301) 402-0275

**Website Address:**

<http://cancercenters.cancer.gov/>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating applications include the following: (1) An adequate base of established programs of high quality in laboratory and clinical cancer research; (2) research activity in a variety of disciplines, and evidence of high degree of interdisciplinary coordination, interaction and cooperation among center members; (3) appropriate and adequate organization and facilities for the conduct and evaluation of center activities; (4) a qualified director with adequate authority; and (5) an adequate commitment of the parent institution or institutions to the cancer center. The center should be recognized as a major element within the organizational structure.

**93.398 CANCER RESEARCH MANPOWER****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 413 and 487, as amended, Public Law 100-607, 42 U.S.C. 285a, 42 U.S.C. 288.

**OBJECTIVES:**

To make available support to nonprofit and for-profit institutions interested in providing biomedical training opportunities for individuals interested in careers in basic, clinical, and prevention research important to the National Cancer Program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Research Manpower program provides support for research training in all scientific fields related to cancer. The Ruth L. Kirschstein National Research Service Awards (NRSA) for Individual Fellows, are made directly to individuals for research training in biomedical sciences areas. In addition, the National Institutes of Health (NIH) will award the Ruth L. Kirschstein NRSA Institutional Research Training grants to institutions, to enable them to make NRSA awards to individuals selected by them. Each individual who receives a postdoctoral NRSA is obligated, upon termination of the award, to comply with certain service and payback provisions. Cancer Education Grants are designed to promote education programs carried out by organizations engaged in health-related education, research, or training, located in the United States, its possessions, or territories. Various Career awards are designed to sponsor the development of independent scientists. Individual short-term support for students is available under the Cancer Education Program.

**Applicant Eligibility:**

University, college, hospital, public agency, or nonprofit research institution for institutional grants and individuals for fellowships. The applicant institution must be able to provide the staff and facilities and be responsible for the selection of trainees and overall direction of the training. Selected awardees must be citizens of the United States or be admitted to the United States for permanent residency. Career and Cancer Education awards may be given to for-profit institutions.

**Beneficiary Eligibility:**

University, college, hospital, public agency, nonprofit research institution or for-profit institution.

**Credentials/Documentation:**

(1) Individual Ruth L. Kirschstein NRSA: The applicant's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. (2) Institutional Ruth L. Kirschstein NRSA: Applicants must show the objectives, methodology, and resources for the training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award and a detailed budget and justification for the amount of grant funds requested. (3) Institutional Cancer Education Grants: Applicants must describe the organization and administration of the proposed program, list and define institutional objectives, methodology, resources and techniques of evaluation, as well as a justification of proposed expenditures. (4) For Career awards, the applicant must provide documentation on the candidate, sponsor, career development plan, research proposed, and institutional commitment. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications for the Individual Ruth L. Kirschstein NRSA must be prepared using the PHS 416-1 application form and instructions for Individual National Research Service Award Fellowships (rev. 10/05). The PHS 416-1 is available at <http://grants.nih.gov/grants/funding/416/phs416.htm>. For further assistance, direct inquiries may be made to GrantsInfo@nih.gov or (301) 435-0714. Applications for the Institutional Ruth L. Kirschstein NRSA must be prepared using the PHS 398 Form (Revised 9/2004). Refer to Section IV of the instructions titled Instructions For Preparing An NRSA Application. The PHS 398 Form (Revised June 2009) is available at <http://grants.nih.gov/grants/forms.html>. Applications for Cancer Education and Career grants must be prepared using the PHS 398 Form. Refer to Section III of the instructions, Preparing An Individual CDA Application. Applicants are advised to consult the "Submitting an Application" section of the Program Announcement, since each award has distinct application criteria. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040, Bethesda, Maryland 20892-7710 (Bethesda, MD 20817 for express/courier service).

**Award Procedure:**

Applications are reviewed for scientific merit by an appropriate study section, committee, or advisory council. If recommended for approval and a decision to make award is made, a formal award notice will be sent to the applicant.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 10 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available under the Review Criteria section of the NIH Office of Extramural Research website at [http://grants2.nih.gov/grants/policy/nihgps\\_2003/NIHGPs\\_Part3.htm](http://grants2.nih.gov/grants/policy/nihgps_2003/NIHGPs_Part3.htm).

**Renewals:**

Cancer Education Grants may be made for periods of up to 5 years and renewals may be submitted when appropriate. Research training grants may be renewed for additional project periods of 5 years. Only the following Career awards are renewable: K05 and K24 only a one-time renewal after a 5-year project period, and the K12 up to 5 years (Trainees 2-7 years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Up to 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. An annual financial status report is required 90 days after the end of the budget period. Special reports may be requested by the grantor. Terminal reports are required 6 months after the end of a project. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Manpower Research.

**Obligations:**

(Salaries) FY 11 \$173,858,000; FY 12 est \$175,076,000; and FY 13 est \$175,975,000 - (Grants/Manpower) FY2011 \$173,858,000; FY2012 est. \$175,076,000; and FY2013 est. \$175,975,000.

**Range and Average of Financial Assistance:**

Range: \$3,692 to \$1,134,000

Average: \$196,672.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY2011 Individual FTTP: 184 FTTP/Awards (Full Time Training Positions). Of the 184, 81 were competing awards totalling \$3,699,000.

FY2011 Institutional FTTP: 172 Awards with 1446 FTTPs (Full Time Training Positions). Of the 172, 37 were competing awards totalling \$11,630,000.

FY 2011 Career awards: 438 awards totalling \$73,615,000.

FY 2011 Cancer Education awards: 90 awards totalling \$32,589,000. Fiscal Year 2012: FY 2012 Manpower Award estimate that 896 awards will be made.. Fiscal Year 2013: FY 2013 Manpower Award estimate that 867 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 6; 42 CFR 66; 45 CFR 74; Application kit, National Institutes of Health; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

See Regional Agency Offices. None.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistc@mail.nih.gov Phone: (301) 594-1088. Fax: 301-402-0275

**Website Address:**

<http://www.cancer.gov/researchandfunding/training>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include the assessment of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach;

(3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.399 CANCER CONTROL****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 410 and 412, Public Law 78-410, as amended, Public Law 99-500, Public Law 100-607, 42 U.S.C. 241, 42 U.S.C. 285 - 285a-1; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To reduce cancer risk, incidence, morbidity, and mortality and enhance quality of life in cancer survivors through an orderly sequence from research on interventions and their impact in defined populations to the broad, systematic application of the research results through dissemination and diffusion strategies. Primary emphasis is on the inclusion of cancer prevention and control intervention(s) in any proposed study. Cancer Prevention and Cancer Control research studies are classified into one of five phases: (1) Hypothesis development; (2) methods development and testing; (3) controlled intervention trials to establish cause-and-effect relationships; (4) research in defined populations; and (5) demonstration and implementation studies. Primary interests are in research on cancer control interventions in Phases 2 through 5, and on cancer prevention research in all phases. Cancer Prevention and Control programs include those in the following areas: (1) chemoprevention; (2) cancer communications; (3) nutrition, diet, and physical activity; (4) screening and early detection, including biomarker discovery, development and validation; (5) biobehavioral mechanisms; (6) tobacco control; (7) health disparities research; (8) supportive care and survivorship; (9) health services and outcomes research; and (10) surveillance research. Both Cancer Prevention and Cancer Control use the Small Business Innovation Research (SBIR) and the Small Business Technology Transfer (STTR) programs to encourage research participation by the small business community. The goals of each program are as follows. SBIR: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. STTR: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Grants and cooperative agreements may be made to eligible institutions for the support of cancer research projects. The grants and cooperative agreements may be used for personnel, consultant costs, equipment, supplies, travel, patient costs, animals, alterations and renovations, miscellaneous items, and indirect costs. Restrictions are imposed against the use of funds for entertainment, foreign travel (unless specifically authorized), office equipment, and other items not normally necessary for the effective prosecution of such research. SBIR Phase I grants (of approximately 6- months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I, and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed

cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. The SBIR Fast-Track Initiative provides additional assistance to applicants by expediting the decision and award of SBIR Phase II funding for scientifically meritorious applications for projects that have a high potential for commercialization. Fast-Track is a parallel review option whereby Phase I and Phase II projects are reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II.

**Applicant Eligibility:**

The awardee will be a university, college, hospital, public agency, nonprofit research institution or for-profit organization that submits an application and receives a grant or cooperative agreement for support of research by a named principal investigator. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

University, college, hospital, public agency, nonprofit research institutions or for-profit organizations will benefit.

**Credentials/Documentation:**

For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form SF424(R&R) (Rev. January 2010) is used to apply for SBIR Phase I and Phase II and STTR Phase I and Phase II. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Depending on the grant mechanism, either Form PHS-398 (Rev. June 2009) or Form SF424(R&R) (Rev. January 2010) is the standard application form. Both forms can be obtained online at <http://grants.nih.gov/grants/forms.htm>. The standard application forms, as furnished by DHHS and required by 45 CFR Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations, as appropriate. SBIR and STTR Grant Solicitations and SBIR Contract Solicitations may be obtained electronically through the NIH Small Business Funding Opportunities home page at <http://www.nih.gov/grants/funding/sbir.htm>. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. All competing SBIR and STTR grant applications should be submitted electronically to the NIH via Grants.gov (<http://www.grants.gov/>).

**Award Procedure:**

Grants and cooperative agreements are funded based on scientific merit, program relevance, and program balance and are made annually. Initial award provides funds for first budget period (usually 12 months) and Notice of Grant Award (Form PHS 1533) indicates support recommended for remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Regular Grants: Approximately 10 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available online through the NIH home page at <http://www.grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Applications submitted for renewal are reviewed and selected for funding on a competitive basis.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements average from 3 to 4 years, up to a maximum of 5 years. Renewals may be awarded for additional periods of up to 5 years based on competitive peer review. Funding is provided through Monthly Demand Payment System or an Electronic Transfer System. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required each year. Annual financial status report is required 90 days after the end of a budget period. Special reports may be requested by DHHS. Terminal reports are required 6 months after the end of a project. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0849-0-1-550 - Cancer Control.

**Obligations:**

(Salaries) FY 11 \$115,408,000; FY 12 est \$123,986,000; and FY 13 est \$126,028,000 - (Grants) FY2011 \$115,408,000; FY2012 est \$123,986,000; and



FY2013 est \$126,028,000.

**Range and Average of Financial Assistance:**

Range \$3,600,862 to \$5,337,596

Average: \$1,240,946.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY2011 competing applicant - 15 of which 8 were funded or 53%

Total competing and noncompeting - 93 awards. Fiscal Year 2012: It is estimated that 101 total awards will be made in FY2012. Fiscal Year 2013: It is estimated that 101 total awards will be made in FY2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants: 42 CFR 52; 45 CFR 74 and NIH Grants Policy Statement (10/1/2011).

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine M. Battistone, 6116 Executive Blvd., Rm. 8044, Rockville, Maryland 20852 Email: battistc@mail.nih.gov Phone: (301) 594-1088 Fax: (301) 402-0275.

**Website Address:**

<http://www.nih.gov>; <http://cancer.gov>; <http://cancercontrol.cancer.gov>;

<http://prevention.cancer.gov>.

**RELATED PROGRAMS:**

93.393 Cancer Cause and Prevention Research; 93.394 Cancer Detection and Diagnosis Research; 93.395 Cancer Treatment Research; 93.396 Cancer Biology Research; 93.398 Cancer Research Manpower

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives.

**93.400 NATIONAL HEALTH SERVICE CORPS SCHOLARSHIP PROGRAM**

ARRA - National Health Service Corps Scholarship Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Title II, Public Law 111-5. , Title II, Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the National Health Service Corps (NHSC) Scholarship Programs objective is to increase the supply of primary care physicians, dentists, certified nurse midwives, primary care nurse practitioners, and physician assistants and , if needed by the National Health Service Corps, other health professionals in Health Professional Shortage Areas (HPSAs) within the U.S. by providing service-obligated scholarships to health professions students.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Service-obligated scholarships for full-time students of allopathic (M.D.) and osteopathic (D.O.) medicine, dentistry, primary care nurse practitioner, nurse midwifery, and primary care physician assistants. Other health disciplines may be included if needed by National Health Service Corps. Scholarships pay tuition and required fees to the school, a stipend to students and a single annual

payment to the student to assist with other reasonable educational expenses. Reasonable expenses may include books, supplies, equipment, uniforms, travel for the provision of clinical services, etc. Program requires 1 year of service for each year of scholarship support with a minimum 2-year service commitment post graduation. A maximum of 4 years of support may be awarded. Service sites are selected by the scholarship recipient from the list of high priority sites in HPSAs identified by the NHSC.

Refer to the NHSC Scholarship Program Guidance for specific requirements.

**Applicant Eligibility:**

At the time of award, the applicant must be a U.S. citizen or national. The applicant must be enrolled or accepted for enrollment in an accredited school in a State, the District of Columbia, or a U.S. Territory as a full-time student in a course of study leading to a health professional degree. The applicant must be eligible for Federal employment, be free of any Federal judgment liens, not be excluded, debarred, suspended or disqualified by a Federal agency, and have no conflicting service obligation. The applicant must submit an application and a signed contract to the National Health Service Corps agreeing to accept payment of scholarship and provide full-time primary health services in a Health Professional Shortage Area.

**Beneficiary Eligibility:**

U.S. citizens or nationals enrolled or accepted for enrollment in a State in a course of study leading to a health professional degree.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants are required to submit their applications electronically through <https://programportal.hrsa.gov>.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing to those in the final selection by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Notification to successful and rejected applicants is made no later than 6 months after deadline from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications are not necessary for students in compliance; contracts may be multi-year funded through graduation (up to 1 to 4 years, if the applicant signs the contract through the graduation date).

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each award covers up to 1 to 4 years of support, as requested. No awardees

may receive more than 4 years of support. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through PSC.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester.

The employing facility must complete and send a semi-annual Service Verification Form verifying that the participating health professional is providing service. The certification includes a signature by an appropriate official of the facility. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$43,537; FY 12 Estimate Not Available(Exp: ARRA); and FY 13 Estimate Not Available(Exp: ARRA)

**Range and Average of Financial Assistance:**

Continuation Award: \$43,537.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1 Continuation Award. Fiscal Year 2012: No program offered. Fiscal Year 2013: No program offered.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see application process at <http://nhsc.hrsa.gov/>

**Regional or Local Office:**

None. National Health Service Corps Scholarship Program, Division of National Health Service Corps, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services, Room 8-37, 5600 Fishers Lane, Rockville, Maryland 20857. Phone: (301) 594-4400. For 24-hour toll-free calls from outside MD: 1-800-221-9393, use for requesting applications.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Department of Health and Human Services 5600 Fishers Lane Room 8A-55, Rockville., Maryland 20857 Phone: (301) 594-4400.

**Website Address:**

<http://nhsc.hrsa.gov/>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.165 Grants to States for Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program; 93.303 Nursing Scholarship Program; 93.972 Health Professions Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Awards are made to health professions students committed to a career in primary care and service in underserved communities of greatest need. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Second priority will be given to applicants who display characteristics that increase the probability that they will continue professional practice in a Health Professional Shortage Area when they complete their

service obligation. Third priority will be given to students who are from a "disadvantaged background..

**93.401 ARRA - NATIONAL HEALTH SERVICE CORPS LOAN REPAYMENT**

ARRA - NHSC Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5. , Public Law 111-5.

**OBJECTIVES:**

The National Health Service Corp (NHSC) Loan Repayment Programs objective is to increase the supply of primary care physicians, dentists, dental hygienists, behavioral and mental health professionals, certified nurse midwives, primary care nurse practitioners, certified family nurse practitioners, and physician assistants and, if needed by the NHSC, other health professionals in Health Professional Shortage Areas (HPSAs) within the U.S.A and its territories by assisting the repayment of qualifying educational loans in return for service to populations located in HPSAs identified by the Secretary of the Department of Health and Human Services.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Awards provide an initial payment of up to \$60,000 towards participants' qualified government and commercial health professions undergraduate and graduate education loans during the first 2 years of full time practice or 4 years of half time practice at a selected National Health Service Corps (NHSC) Loan Repayment Service Site under a written agreement with this program. Health professions given priority for selection are those identified by communities.

**Applicant Eligibility:**

Individuals are eligible to apply if they have (1) U.S. citizenship; (2) a health professions degree or are in professional practice (they must hold an unrestricted health professions license from the State in which they will be working, and be eligible for selection for a Federal civil service appointment, or hold an appointment as a commissioned officer in the Regular or Reserve Corps of the U.S. Public Health Service); (3) not had any judgment liens arising from Federal debt ; (4) not been excluded, debarred, suspended, or disqualified by a Federal agency; (5) not been in breach of a health professional service obligation to the Federal, State or local government and (6) no conflicting service obligation. Individuals must also participate or be eligible to participate as a provider in the Medicare, Medicaid, and Childrens Health Insurance Programs, as appropriate.

Refer to the NHSC Loan Repayment Program Guidance for specific requirements.

**Beneficiary Eligibility:**

Primary care medical, oral health, and mental and behavioral health professions are eligible for the Loan Repayment Program (LRP). Specific specialties within these professions are selected for LRP awards based on community demand for health services.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applicants are required to submit their applications electronically through <https://programportal.hrsa.gov>.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. NHSC loan repayment awards are made based on the highest need as determined by descending health professional shortage area scores. Priority will be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health professional shortage areas.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Contract continuations will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Deposit in recipients accounts through Program Support Center (PSC).

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. The employing facility must complete and send a semi-annual Service Verification Form verifying that the participating health professional is providing service. The certification includes a signature by an appropriate official of the facility. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$56,700,000; FY 12 est \$0; and FY 13 Not Separately Identifiable(Exp: No Program Offered)

**Range and Average of Financial Assistance:**

New awards range from \$1,500 to \$60,000, with an average award being \$50,822.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 1,053 New Awards. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see application process for NHSC LRP at <http://nhsc.hrsa.gov/>

**Regional or Local Office:**

See Regional Agency Offices. National Health Service Corps Loan Repayment Branch, Division of National Health Service Corps, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, Room 8-37, 5600 Fishers Lane., Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications. , Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

<http://nhsc.hrsa.gov/>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.165 Grants to States for Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Awards are made to primary care medical, oral health, and mental and behavioral health professionals serving at an NHSC site. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Priority will be given to applicants who are individuals whose training is in a health profession or specialty determined by the Secretary to be needed by NHSC.

**93.402 ARRA - STATE LOAN REPAYMENT PROGRAM**

ARRA - State Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) Public Law 111-5, , Public Law 111-5.

**OBJECTIVES:**

For medically underserved populations, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA). To increase the availability of primary health care in health professional shortage areas (HPSAs) by assisting States in operating programs for the repayment of educational loans of health professionals in return for their practice in HPSAs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

Funds under this grant must only be used to repay the qualifying educational loans of health professionals who have entered into State Loan Repayment Program (SLRP) contract with the States. Funds cannot be used for the following purposes: costs of administering the program, State matching funds, or any other purpose.

**Applicant Eligibility:**

Eligible entities include the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, Palau, the Marshall Islands, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

Applicants for State programs must have completed a course of study required

to practice independently without supervision, as one of the following health care professionals: Doctors of Allopathic Medicine or Osteopathic Medicine, General Practice Dentists (D.D.S. or D.M.D.), Pediatric Dentists, Primary Care Certified Nurse Practitioners, Certified Nurse-Midwives, Primary Care Physician Assistants, Registered Clinical Dental Hygienists, Health Service Psychologist (formerly Clinical or Counseling Psychologists (Ph.D. or equivalent), Licensed Clinical Social Workers (masters or doctoral degree in social work), Psychiatric Nurse Specialists, Mental Health Counselors, Licensed Professional Counselors (masters or doctoral degree with a major study in counseling), Marriage and Family Therapists (masters or doctoral degree with a major study in marriage and family therapy). The primary care specialties approvable for physicians are: family medicine (and osteopathic general practice), internal medicine, including geriatricians, pediatrics, obstetrics/gynecology, and geriatrics and general psychiatry. General practitioners (physicians who have not completed residency training programs) are not eligible for funding under the SLRP. The primary care specialties approval for nurse practitioners and physician assistants are: adult, family, pediatrics, psychiatry/mental health, geriatrics, or womens health.

Participants must provide full-time clinical service for a minimum of two years in a public or non-profit entity located in a federally designated health professional shortage area (HPSA).

Refer to the NHSC State Loan Repayment Program Guidance for specific requirements.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

SLRP grantees may need State agency approval prior to submitting an application to a Federal agency. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Subsequent funding depends upon the availability of funds and program performance. Renewals are funded through a non-competitive process each year. It is anticipated that there will be no ongoing support of SLRP grant activities after the end of the two-year project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 50%. Matching Requirement: Fifty-percent

(50%). States must agree to make available (directly or through donations from public or private entities) non-Federal contributions in cash toward SLRP contracts in an amount not less than \$1 for each \$1 of Federal funds provided in the grant. A State may not use any Federal funds or in-kind contributions to satisfy the non-Federal match requirement. A State must verify that contributions from sources other than State appropriated funds are non-Federal. States may use non-Federal funds in excess of the \$1 for \$1 minimum match to supplement the repayment of qualifying loans of health professionals.

The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service Act. States must assume administrative costs.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

A grant award is for 1 year. Applicants may propose a project period of up to 2 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

Recipient States must submit: (1) a Financial Report within 90 days of the end of each budget period; (2) Semi-Annual Field Strength Reports through the HRSA Electronic Handbooks System (EHBs); (3) non-competing continuation application(s) report through the EHBs; (4) a Final Report along with an annual financial report in the format approved under OMB Circular 0915 0004. All BHPgrantees are required to submit a final report within 90 days after the project period ends. Cash reports are not applicable. See above. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$0; and FY 13 Not Separately Identifiable(Exp: No Program Offered)

**Range and Average of Financial Assistance:**

FY 10 Range of awards: \$100,000 to \$2,000,000; average: \$351,231.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No data available. Fiscal Year 2012: No data available. Fiscal Year 2013: No data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Division of National Health Service Corps, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4400. Public Information Phone: (1-800) 221-9393.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Department of Health and Human Services 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4400

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the extent to which special consideration will be extended to federally designated HPSAs with large minority populations; (c) the number and type of providers the State proposes to support through this program; (d) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (e) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (f) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (g) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (h) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (i) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (j) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (i) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (ii) the grantee's history of compliance with reporting requirements.

**93.403 ARRA GRANTS FOR TRAINING IN PRIMARY CARE MEDICINE AND DENTISTRY TRAINING AND ENHANCEMENT**

Primary Care Medicine Training

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Section 747, Public Health Service Act, as amended by the Patient Protection and Affordable Care Act of 2010 (Pub. L. 111-148), and The American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5), Public Law 111-5.

**OBJECTIVES:**

Grants are awarded for the following purposes: (1) Academic Administrative Units in Primary Care-- to establish, maintain, or improve academic administrative units (which may be departments, divisions, or other entities) to provide clinical instruction in family medicine, general internal medicine, and/or general pediatrics; (2) Predoctoral Training in Primary Care-- to plan, develop, and operate or participate in programs (including provision of financial assistance to students) that teach medical students primary care skills through experiences in family medicine, general internal medicine, and/or general pediatrics; (3) Residency Training in Primary Care-- to plan, develop, and operate or participate (including provision of financial assistance to residents) in approved residency programs in family medicine, general internal medicine and/or general pediatrics; (4) Physician Faculty Development in Primary Care-- to plan, develop, and operate programs (including provision of financial assistance to trainees) that prepare of physicians who teach or plan to teach in family medicine, general internal medicine and/or general pediatrics training programs; (5) Physician Assistant Training in Primary Care-- to plan, develop, and operate programs (including provision of financial assistance to students) that train physician assistant students and that train individuals who will teach physician assistant students; (6) Interdisciplinary and Interprofessional Graduate Joint Degree -- to plan, develop, and operate joint degree programs to provide interdisciplinary and interprofessional graduate training in public health and other health professions and that teach environmental health, infectious disease control, disease prevention and health promotion, epidemiological studies and/or injury control.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants may not be used for new construction or patient services.

**Applicant Eligibility:**

The applicant organization must meet the eligibility requirements as indicated for each program area: Residency Training in Primary Care, Physician Faculty Development in Primary Care, Physician Assistant Training in Primary Care, Interdisciplinary and Interprofessional Graduate Joint Degree: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, accredited, academically affiliated physician assistant education programs, or public or private nonprofit entities are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply. Joint Degree applicants must be able to confer both a health profession degree and a graduate public health degree and support the integration of public health into primary care education for health professionals.

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

**Beneficiary Eligibility:**

For the following programs: Residency Training in Primary Care, Physician Faculty Development in Primary Care, Physician Assistant Training in Primary Care, Interdisciplinary and Interprofessional Graduate Joint Degree: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, or public or private nonprofit entities are eligible to apply.

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply.

**Credentials/Documentation:**

Each program has its own funding opportunity announcement issued under this CFDA program that applicants should review to identify any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Project periods for grants are five years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Awards were funded for five years in FY10.

**Range and Average of Financial Assistance:**

The average total award for the 5 year project period is \$891,835.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 62 continuing grants. Fiscal Year 2012: 62 continuing grants. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should review the individual HRSA funding opportunity announcement (FOA) issued under this CFDA program for any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Shannon K. Bolon, MD, MPH, Chief, Primary Care Medical Education Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857, Telephone: (301) 443-1467, Fax: 301-443-8890, E-mail: [SBolon@hrsa.gov](mailto:SBolon@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry, Bureau of Health Professions, HRSA, DHHS 5600 Fishers Lane, Room 9-A27, Rockville, Maryland 20857 Phone: (301) 443-6190 Fax: 301-443-8890

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.884 Grants for Training in Primary Care Medicine and Dentistry

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedures in the application guidance.

**93.404 ARRA DENTAL PUBLIC HEALTH RESIDENCY TRAINING GRANTS**

ARRA Dental Public Health Residency Training Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) Public Law 111-5, Public Law 111-5.

**OBJECTIVES:**

To plan and develop new residency training programs and to maintain or improve existing residency training programs in dental public health; and to provide financial assistance to residency trainees enrolled in such programs, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs to plan, develop (including develop curricula), operate or participate in dental public health residency training programs in prevention or public health dentistry, and provide financial assistance to trainees enrolled in the programs. Grants may not be used for construction or for providing direct patient services.

**Applicant Eligibility:**

An entity that offers a Dental Public Health Training Program accredited by the American Dental Association Commission on Dental Accreditation, such as a School of Public Health or Dentistry, is eligible to apply.

**Beneficiary Eligibility:**

Same as above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement (FOA) issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards were forwarded funded for three years in FY 09. No additional competition is planned.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for three years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is

required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records three years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Awards were funded for three years in FY 09.

**Range and Average of Financial Assistance:**

Total award amounts range from \$215,321 to \$300,000 per grantee. The average total award for the 3 year project period is \$270,308.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Thomas Vallin, MPH, Public Health Analyst, Oral Health Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857, Telephone: (301) 443-1307, Fax: 301-443-8890, E-mail: TVallin@hrsa.gov.

**Headquarters Office:**

Division of Medicine and Dentistry, Bureau of Health Professions, HRSA 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-6190 Fax: (301) 443-8890

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.236 Grants for Dental Public Health Residency Training

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by non-federal reviewers for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Procedure above to obtain a copy of the application, and the respective factors delineated in the application.

**93.405 ARRA - PUBLIC HEALTH TRAINEESHIP PROGRAM**

ARRA - Public Health Traineeship Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5 and Public Health Service Act, Title VII, section 767, 42 U.S.C. 294; Health Professions Education Partnerships Act of 1998, Public Law 105-392.

**OBJECTIVES:**

To support students pursuing a graduate degree in fields with a severe shortage of health professionals, such as epidemiology, environmental health, toxicology, nutrition, biostatistics, and maternal and child health through the provision of tuition, fees, stipends and allowances.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Grant funds may be used only to support students enrolled in grant-eligible graduate programs for severe shortage public health professions. Students pursuing joint degrees such as the MPH/MD, MPH/MSN, MPH/MSA, etc., are eligible for traineeship support for completion of their public health degree only. Funding may not be sought for courses or other expenses related to their non-public health degree curriculum. Funding may not be used to support residency requirements. Traineeship expenditures are limited to payment of stipends, tuition and fees in accordance with the institutions established rates, and a transportation allowance on an individual trainee basis when prior approval has been obtained from the Grants Management Officer. Grantees may not spend grant funds for sectarian instruction or for any religious purpose. Use of traineeship funds for indirect cost (overhead) of the trainee institution is not authorized.

**Applicant Eligibility:**

Eligibility for this funding opportunity is limited to the current grantees/awardees receiving funds under this activity code. Eligible applicants must be any school of public health, and/or other public or nonprofit private entities, including faith-based and community-based organizations, accredited by the Council on Education for Public Health (CEPH), and other public or nonprofit private institutions accredited by a body recognized for the purpose of providing specialized training in public health by the Secretary of the Department of Education.

**Beneficiary Eligibility:**

Eligibility for this funding opportunity is limited to the current grantees/awardees receiving funds under this activity code. Eligible applicants must be any school of public health, and/or other public or nonprofit private entities, including faith-based and community-based organizations, accredited by the Council on Education for Public Health (CEPH), and other public or nonprofit private institutions accredited by a body recognized for the purpose of providing specialized training in public health by the Secretary of the Department of Education.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants applying for funding opportunities to apply electronically through Grants.gov. This is a formula-based award. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

Applications will be reviewed by program staff. The awards will be determined by a formula. The HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods are for 1 year. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted via on-line for the current reporting period via the Bureau of Health Profession's web page [www.bhpr.hrsa.gov/grants](http://www.bhpr.hrsa.gov/grants), click on Grantee Reports. Cash reports are not applicable. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$4,808 to \$399,090; \$99,500.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.



**Regional or Local Office:**

None. Marian Ladipo, Public Health Analyst, Division of Public Health Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-05, Rockville, MD 20857. Telephone: (301) 443-7756 and Email: mladipo@hrsa.gov.

**Headquarters Office:**

CAPT Norma Hatot 5600 Fishers Lane, Room 9C-05, Rockville, Maryland 20857 Email: nhatot@hrsa.gov Phone: (301) 443-6950

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.964 Public Health Traineeships

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

After staff review, funds are awarded on a formula basis among the eligible applicant schools of public health and other accredited public or private nonprofit institutions based on the number of students preparing to enter occupations for which there exist severe shortages.

**93.406 NURSING EDUCATION LOAN REPAYMENT PROGRAM (NELRP)**

ARRA - Nursing Education Loan Repayment Program (NELRP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5. , Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the objective of the Nurse Education Loan Repayment Program (NELRP) is to assist in the recruitment and retention of professional registered nurses (RN) in approved critical shortage areas to increase access to quality health care by offering loan repayment in return for full-time service at an eligible health care facility with a critical shortage of nurses.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The program offers RNs substantial economic assistance to repay their qualifying educational loans in exchange for full-time service at a health care facility with a critical shortage of nurses. NELRP participants enter into a contract agreeing to provide full-time service at an approved Critical Shortage Facility (CSF) for two years. In return, NELRP will pay 30 percent of the Participant's total qualifying loan balance each year (total of 60 percent). A participant may be eligible to continue his/her two-year NELRP contract to serve for a third (optional) year at a CSF. If a participant works full-time for a third year in a CSF, the NELRP will pay an additional 25 percent of the participant's original qualifying loan balance, bringing the total up to 85 percent of eligible loan balances. Loan repayments for 2 years of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service. For specific service-obligated educational loan repayment.

**Applicant Eligibility:**

Individuals who satisfy the following criteria are eligible to apply: (1) have received a baccalaureate or associate degree in nursing (or an equivalent degree), a diploma in nursing or a graduate degree in nursing; (2) have unpaid qualifying loans obtained for nursing education; (3) a U.S. citizen, national or a permanent legal resident of the United States; (4) employed full-time (32 hours or more per week) at a critical shortage facility (CSF); (5) have a current unrestricted license in the State in which they intend to practice or be authorized to practice in the State under the Nurse Licensure Compact; and (6)

submit a complete application, including a signed contract to work full-time as a registered or advanced practice nurse for 2 years at an eligible health care facility with a critical shortage of nurses.

**Beneficiary Eligibility:**

Beneficiaries include registered nurses who have received a diploma, an associate degree, a baccalaureate degree or a graduate degree in nursing from an accredited school of nursing.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may apply online at <https://programportal.hrsa.gov>

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals for the third year of service will be considered based on the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Deposit into recipients account through PSC.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

The employing CSF must complete and send to the NELRP a semi-annual Service Verification Form certifying that the participating nurse has engaged in a year of full-time continuous service as a registered nurse. The certification includes an endorsement by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 Not Separately Identifiable(Exp: No Program Offered); FY 12 est \$0; and FY 13 Not Separately Identifiable(Exp: No Program Offered)

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see application process for NELRP at <http://www.hrsa.gov/loanscholarships/repayment/nursing/>

**Regional or Local Office:**

None. Nursing Education Loan Repayment Program, Division of Nursing and Public Health, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4130.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, Nursing Education Loan Repayment Program, 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4130.

**Website Address:**

<http://www.hrsa.gov/loanscholarships/repayment/nursing/>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding preference is defined as the funding of a specific category of group of approved applicants ahead of other categories or groups of approved applicants. As provided in section 846(e) of the PHS Act, as amended, a funding preference is given to eligible applicants with the greatest financial need. Awards are made to the highest ranked applicants until funds are expended. Please review the HRSA Preview or BCRS website at [www.hrsa.gov](http://www.hrsa.gov) for important information regarding funding preferences.

**93.407 ARRA - SCHOLARSHIPS FOR DISADVANTAGED STUDENTS**

ARRA - Scholarships for Disadvantaged Students

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) promotes diversity among health professions students and practitioners by providing scholarships for students from disadvantaged backgrounds. Eligible health professions and nursing schools apply for funds to provide scholarships to students from disadvantaged backgrounds who have financial need and are enrolled, or accepted for enrollment, as full-time students at the schools.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

SDS ARRA funds awarded to schools must be used to award full or partial scholarships to eligible students enrolled in health professions programs on a full-time basis.

Scholarships may only be expended for tuition expenses, other reasonable

educational expenses, and reasonable living expenses incurred while in attendance for the year. The Secretary is required to make available at least 16 percent of the funds to schools that will provide scholarships only for nursing students. Schools are required to agree that, in providing scholarships under this program, preference shall be given to students from disadvantaged backgrounds for whom the costs of attending the school would constitute a severe financial hardship and disadvantaged students. The Secretary may not make a grant to a school unless the school is carrying out a program for recruiting and retaining students from disadvantaged backgrounds and have met the eligibility criteria of demonstrating the success of outcome measures.

SDS ARRA funds must be kept separate from regularly appropriated SDS funds and should not be comingled for tracking and reporting purposes. No one student may receive both SDS-ARRA funds and annual SDS appropriated funds in the same budget/project period.

**Applicant Eligibility:**

- 1) At least 10 percent of the total enrollment (full-time enrolled) of a program during the specified academic year must be students from disadvantaged backgrounds; and
- 2) At least 10 percent of the total graduates (who were full-time students) of a program during the specified academic year must have been from disadvantaged backgrounds; and
- 3) A school must have at least one full-time economically disadvantaged student enrolled and graduated during the specified academic year.

**Beneficiary Eligibility:**

Students from disadvantaged backgrounds enrolled full-time in health professions or nursing schools who are citizens, nationals, or lawful permanent residents of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa or the Trust Territory of the Pacific Islands, the Republic of Palau, the Republic of the Marshall Islands, the Federated States of Micronesia.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification of Award is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Annual applications are required for all schools.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each scholarship award is made for 1 year. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

The Scholarships for Disadvantaged Students Performance Report (SDSPR) must be submitted 45 days after the end of the budget period through electronic submission, at <http://www.grants.hrsa.gov/webexternal/home.asp>. In addition, a Federal Financial Report (SF-425 is required within 90 days of the end of the budget period. Cash reports are not applicable. see prior. see prior. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - All awards funded in FY10.

**Range and Average of Financial Assistance:**

For FY10: \$1,000 to \$650,000. Average award amount per discipline in FY10: \$39,878.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Hai Le, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Park lawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1541. Use the same numbers for FTS.

**Headquarters Office:**

Hai Le 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857 Phone: (301) 443-1541

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.342 Health

Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.908 Nursing Education Loan Repayment Program ; 93.925 Scholarships for Health Professions Students from Disadvantaged Backgrounds

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.408 ARRA - NURSE FACULTY LOAN PROGRAM**

ARRA-NFLP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 846A, 42 U.S.C. 297n-1 and the American Recovery and Reinvestment Act of 2009, Public Law 111-5, as amended by the Affordable Care Act of 2010, Public Law 111-148, Section 5311.

**OBJECTIVES:**

The purpose of the Nurse Faculty Loan Program (NFLP) as supported through the American Recovery and Reinvestment Act (ARRA) is to increase the number of qualified nursing faculty and direct resources to address health professions workforce shortages. The ARRA funding was made available in FY 09-10 to augment the regularly appropriated NFLP funding level for the purpose of directing emergency resources to increase the number of qualified nursing faculty. These funds are dedicated to strengthening the nurse educator workforce in order to (1) meet the demand for nurse faculty and (2) remove a major barrier to accepting as many as qualified nursing students as possible thus helping to alleviate the Nations nursing shortage.

Schools of Nursing that receive ARRA-NFLP funds must use funds to provide loans to students enrolled in eligible advanced degree nursing programs (masters or doctoral) with an education component(s) that will prepare the student to teach. NFLP loan recipients complete the education program, and following graduation, may cancel up to 85% of the NFLP loan while serving as full-time nurse faculty at an accredited school of nursing.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The school must establish an ARRA-NFLP fund for the purpose of making NFLP loans to eligible students and for the costs associated with collection of these loans. Institutions may award a maximum loan amount of \$35,500 per student for an academic year to support the cost of tuition, fees, books, and other reasonable education expenses - not to exceed five years of NFLP loan support. Upon completion of the program, an amount up to 85 percent of the loan may be cancelled by the institution as follows: upon completion of the first, second, and third year of full-time faculty employment in an accredited school of nursing, 20 percent of the principal and interest of the unpaid loan shall be cancelled for each year; upon completion of the fourth year of full-time employment as faculty in an accredited school of nursing, 25 percent of the principal and interest of the unpaid loan shall be cancelled for the fourth year.

ARRA-NFLP funds must be kept separate from regularly appropriated NFLP funds and should not be commingled for tracking and reporting purposes. No one student may receive both ARRA-NFLP funds and regularly appropriated NFLP funds in the same budget/project period.

**Applicant Eligibility:**

Eligible applicants include all accredited public or private collegiate schools of nursing that offer an advanced degree nursing education program (masters or doctoral) to prepare advanced degree nursing students to serve as faculty.

The school must be located in the 50 States, the Commonwealth of Puerto Rico, the District of Columbia, the Commonwealth of the Northern Mariana Islands,

Guam, American Samoa, the Virgin Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

**Beneficiary Eligibility:**

Eligible nursing students must: (1) be a citizen or national of the United States, or a lawful permanent resident of the United States, Eligible nursing students must: (1) be a citizen or national of the United States, or a lawful permanent resident of the United States, the Commonwealth of Puerto Rico, the District of Columbia, the Commonwealth of the Northern Mariana Islands, Guam, American Samoa, the Virgin Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau. (2) be enrolled in an advanced degree program in nursing to become qualified nursing faculty; and (3) not be in default on a Federal debt; and (4) maintain good academic standing.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov Web site at [www.grants.gov](http://www.grants.gov). Applications are generally solicited by a program announcement on the HRSA web site at <http://www.bhpr.hrsa.gov/grants/>.

The HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 1-3 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal applications must be submitted annually for new funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Schools that participate in the loan program must contribute to the loan fund an amount equal but to not less than one-ninth of the fiscal year award.

Funding Factor: As provided under Title VIII of the Public Health Service Act, Section 846A (42 U.S.C. 297n-1), as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148, Section 5311 847(f) and the American Recovery and Reinvestment Act of 2009, Public Law 111-5, a statutory funding priority will be awarded to School of Nursing Student Loans that support doctoral nursing students. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 year beginning July 1 through June 30. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting

requirements as outlined in Section 1512 of the Recovery Act. The institution must submit the Nurse Faculty Loan Program, Annual Operating Report (AOR) annually through electronic submission at <https://grants.hrsa.gov/webexternal/home.asp>. The NFLP Annual Operating Report (AOR) is due each year within 45 days following the last day of the project period and should reflect the loan fund activity for the reporting period. Institutions must comply with ARRA reporting requirements. Additional ARRA reporting requirements are as mandated by Section 1512 of the Recovery Act and OMB guidance made available at [www.recovery.gov](http://www.recovery.gov) for required reporting information. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - All funding awarded in FY 10.

**Range and Average of Financial Assistance:**

All funds awarded in FY10.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the 2010-2011 project period, 83 ARRA-NFLP schools provided loan support to 483 students; 116 NFLP students graduated during this period and 50 NFLP graduates establishment employment as nurse faculty. Fiscal Year 2012: Not available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Denise Thompson, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857, Phone: (301) 443-1399, Email: [dthompson@hrsa.gov](mailto:dthompson@hrsa.gov).

**Headquarters Office:**

Denise Thompson, Parklawn Building, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857 Email: [dthompson@hrsa.gov](mailto:dthompson@hrsa.gov) Phone: (301) 443-1399

**Website Address:**

<http://www.hrsa.gov/>

**RELATED PROGRAMS:**

93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness and accuracy, and to determine if applicant schools meet minimum program requirements. All eligible applicants are considered in a formula for determining awards. Eligible applicants must meet all applicable Federal guidelines and/or graduates must be eligible for national nursing organization certification, and/or programs must meet other national organizational guidelines, as appropriate, in the nursing field of study.

**93.409 FACULTY LOAN REPAYMENT PROGRAMS**

ARRA - Faculty Loan Repayment Programs (FLRP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) Public Law 111-5, Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the Faculty Loan Repayment Program (FLRP) provides a financial incentive for degree-trained health professionals from disadvantaged backgrounds to pursue academic careers in the following disciplines: allopathic, osteopathic, podiatric or veterinary medicine; dentistry, pharmacy, optometry, nursing (RN or higher), physician assistants, allied health or graduate programs in public health or behavioral and mental health for a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds will be used to repay eligible health professions educational loans incurred by the applicant in return for serving a minimum of 2 years as a full-time faculty member at an accredited health professions college or university, in one of the following disciplines: allopathic, osteopathic, podiatric or veterinary medicine; dentistry, pharmacy, optometry, nursing (RN or higher), physician assistants, allied health or at a school offering graduate programs in public health or behavioral and mental health. Recipients of a FLRP award will receive a contract signed by the Secretary of HHS or his/her designee. The Faculty Loan Repayment Program will pay up to \$20,000 a year in return for a two year service obligation, based on the participants outstanding balance of qualifying educational loans (the maximum amount is \$40,000 for 2 years).

**Applicant Eligibility:**

Individuals from disadvantaged backgrounds who:

(1) are U.S. citizens (either U.S. born or naturalized), U.S. nationals or Lawful Permanent Residents; 2) have a degree in one of the following disciplines: allopathic, osteopathic, podiatric or veterinary medicine; dentistry, pharmacy, optometry, nursing (RN or higher), physician assistants, allied health or graduate programs in public health or behavioral and mental health; or are enrolled in an approved graduate training program in one of the health professions listed above, or are enrolled as full-time students (in the disciplines listed above) at an accredited health professions institution and are in the final course of study or program leading to a degree from that institution; (3) have a minimum 2-year employment commitment from an eligible college or university for a full-time faculty position; (4) have an agreement with the eligible college or university for equivalent loan repayment; and (5) be currently repaying qualifying educational loans.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FLRP applications are generally solicited by a program announcement posted on the HRSA Web site at [www.HRSA.gov](http://www.HRSA.gov)

**Award Procedure:**

The Faculty Loan Repayment Program will pay up to \$20,000 a year in return for a two year service obligation, based on the participants outstanding balance of qualifying educational loans (the maximum amount is \$40,000 for 2 years). Recipients of a FLRP award will receive a contract signed by Secretary of HHS or his/her designee.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for 2 years and the time is specified in the contract. See the following for information on how assistance is awarded/released: Direct Deposit into recipients account through PSC.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 Not Separately Identifiable(Exp: No program offered); FY 12 est \$0; and FY 13 Not Separately Identifiable(Exp: No program offered)

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Faculty Loan Repayment Program, Division of Nursing and Public Health, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4130.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: 301-594-4130

**Website Address:**

<http://www.hrsa.gov/loanscholarships/repayment/faculty/>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.908 Nursing Education Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.410 ARRA LICENSURE PORTABILITY GRANT PROGRAM**

ARRA - Licensure Portability Grant Program (LPGP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5 (through 2/28/12), Public Law 111-5.

**OBJECTIVES:**

Provide support for State professional licensing boards to carry out programs under which licensing boards of various States cooperate to develop and implement State policies that will reduce statutory and regulatory barriers to telemedicine.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

LPGP - Grant funds are used for salaries, equipment, software development, operating, or other costs associated with developing legislative, administrative, and technical projects to address licensure barriers that hinder the practice of telemedicine across state lines. Grant funds may also be used for activities involving significant expansion of existing state agreements for cross-state recognition of professional licenses to other states.

**Applicant Eligibility:**

Eligible applicants include State professional licensing boards, including national organizations of professional licensing boards that provide services to State licensing boards.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee.

Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Refer to the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Two-year project period. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual progress and financial reports are required 90 days from the end of the budget period and the final performance report and final financial reports are due 90 days from the end of the project period. Progress reports are to be submitted every 6 months. Cash reports are not applicable. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA projects began on March 1, 2010 with one-time funding total of \$997,900.

**Range and Average of Financial Assistance:**

ARRA LPGP Average award approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy

Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Carlos Mena, MS, Public Health Analyst, Office for the Advancement of Telehealth, Office of Health Information Technology, Health Resources and Services Administration (HRSA), Parklawn Bldg., 5600 Fishers Ln, RM 10B-11 Rockville, MD 20857, Tel: (301) 443-3198.

**Headquarters Office:**

Carlos Mena, 5600 Fishers Lane, Room 10B-11, Rockville, Maryland 20857 Phone: (301) 443-3198.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.211 Telehealth Network Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For non-competing continuation funding for Telehealth grantees will be based upon an evaluation of each of the grantees first two years of performance, the third year program design, and expenditure justifications. For FY 2010, the Agency developed program guidance to facilitate a competition for the 3-year FY 2010 through FY 2012 project period.

**93.411 ARRA EQUIPMENT TO ENHANCE TRAINING FOR HEALTH PROFESSIONALS**

ARRA - Equipment for Training of Health Professionals (ETHP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 768 (42 U.S.C. 295c), and the American Recovery and Reinvestment Act of 2009, Pub.L. 111-5, Public Law 111-5.

**OBJECTIVES:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) supports the purchase of equipment through a grant program that will enhance infrastructure supporting health professions training programs. The Equipment to Enhance Training for Health Professionals (EETHP) program provides funding to purchase training equipment for health professions training programs. The goals of the program include: (1) investing in the educational infrastructure, through the purchase of equipment, to enhance the quality of health professions education; (2) strengthening the National capacity for health professions education through the purchase of health professions training equipment; and (3) increasing the number of highly skilled health workforce professionals in the United States or its territories through the availability and use of training equipment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Applications must request the purchase of equipment that will be used to expand and improve the quality of the training program. The EETHP equipment purchases should enhance a structured clinical learning experience within a health professions training program. Funding to support the operations of the equipment (such as staffing, software, maintenance and supplies) is prohibited under the EETHP program, unless it is part of an equipment purchase package.

**Applicant Eligibility:**

A health professions training program as defined by this program is one of 21 programs authorized under Titles III, VII and VIII of the PHS Act which focus all or in part on the training of health professionals. Refer to the funding opportunity announcement for more specifics.

**Beneficiary Eligibility:**

Training programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are generally solicited by a program announcement in [www.hrsa.gov/grant](http://www.hrsa.gov/grant). Application information may be downloaded from [www.grants.gov](http://www.grants.gov). All applications are required to be submitted electronically through [Grants.gov](http://Grants.gov).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification of award is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be made in FY 2010 for up to a two-year project period. After Notices of Grant Award are issued, funds are released in accordance with DHHS payment procedures. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. No cash reports are required. A progress report must be submitted annually within the approved project period. Expenditure reports are not applicable. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before

the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - All funds awarded in FY10.

**Range and Average of Financial Assistance:**

FY 10 - \$5,000 to \$300,000. All funds awarded in FY 10.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. The National Environmental Policy Act (NEPA), 42 U. S. C. 4321-4370d also applies. HRSA grant awards are also subject to the requirements of the HHS Grants Policy Statement (HHS GPS, found at <http://www.hrsa.gov/grants/>), that are applicable to the grant based on recipient type and purpose of award. ARRA-funded awards are also subject to the HHS ARRA Standard Terms and Conditions.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Gail Lipton, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, 5600 Fishers Lane, Room 9-05, Rockville, Maryland 20857 Email: [glipton@hrsa.gov](mailto:glipton@hrsa.gov) Phone: (301) 443-6509.

**Headquarters Office:**

Gail Lipton, Bureau of Health Professions, Health Resources and Services Administration, Parklawn Building, 5600 Fishers Lane, Room 9-05, Rockville, Maryland 20857 Email: [glipton@hrsa.gov](mailto:glipton@hrsa.gov) Phone: (301) 443-6509.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications are available in the funding opportunity guidance document, in the following broad categories: (1) the extent to which the application describes its needs and links the purchase of the equipment to the enhancements of health professions programs; (2) the extent to which the application describes the proposed goals and objectives and their relationship to the purchase of equipment; (3) the extent to which the applicant describes the expected impact of the equipment on the training program; and (4) the budget justification logically documents how and why each equipment purchase supports the goals and activities of the training program.

**93.412 ARRA - PREVENTIVE MEDICINE RESIDENCY PROGRAM**

ARRA - Preventive Medicine Residency Program (ARRA-PMR)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

To promote the post-graduate education of physicians in preventive medicine and public health as funded under the American Recovery and Reinvestment

Act of 2009 (ARRA). Preventive Medicine includes the specialties of preventive medicine and public health, occupational medicine and aerospace medicine.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants are intended to assist in meeting the costs of planning and developing new preventive medicine programs; maintaining or improving existing residency training programs in preventive medicine; and providing financial assistance to residents enrolled in such programs. Grants may not be used for construction or for the provision of direct patient services. See guidance at [www.grants.gov](http://www.grants.gov) for additional restrictions, including trainee stipends.

**Applicant Eligibility:**

Eligible applicants are: (1) an accredited school of public health or school of medicine or osteopathic medicine; (2) an accredited public or private nonprofit hospital; (3) a State, local, or tribal health department; or (4) a consortium of 2 or more entities described in (1) through (3). An applicant must demonstrate to the Secretary that it has or will have available full-time faculty members with training and experience in the fields of preventive medicine and support from other faculty members trained in public health and other relevant specialties and disciplines.

**Beneficiary Eligibility:**

U.S. citizens, noncitizen nationals, and those foreign nationals who possess a visa permitting permanent residence in the United States may receive a stipend under this program.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is available for up to 3 years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.



**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

Grant recipients must submit periodic progress reports. A final progress report and final financial status report must be submitted within 90 days after the end of the project period.

All BHPr grantees are required to submit a final report within 90 days after the project period ends. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - All funds awarded in FY10.

**Range and Average of Financial Assistance:**

FY10 for a three year project period: range: \$626,647 to \$1,424,450; average: \$831,447.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 8 continuing grantees. Fiscal Year 2012: 8 continuing grantees. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Norma Hatot, Acting Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-26, Rockville, MD 20857. Telephone: 301-443-6950 and Email: [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov).

Elsie Quinones, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-26, Rockville, Maryland 20857 Email: [equinones@hrsa.gov](mailto:equinones@hrsa.gov) Phone: (301) 443-5244.

**Headquarters Office:**

Elsie Quinones 5600 Fishers Lane, Room 9C-26, Rockville, Maryland 20857 Email: [equinones@hrsa.gov](mailto:equinones@hrsa.gov) Phone: (301) 443-5244

**Website Address:**

<http://www.HRSA.gov>

**RELATED PROGRAMS:**

93.117 Grants for Preventive Medicine

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by consultants who make technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of section 768 of the PHS Act. Approval of any application is based on an analysis of the following factors: PREVENTIVE MEDICINE - purpose, need and rationale, project plan, project management, fiscal plan, trainee diversity, and project effectiveness. For applicants who are currently funded grantees or applicants who are not currently funded, but have received funding within the previous four years, reviewers will examine the progress report summary to determine the current or prior project's: impact on preventive medicine education both locally and nationally; ability to carry out grant-specific objectives and BHPr performance objectives; and dissemination activities.

See grant guidance at [www.grants.gov](http://www.grants.gov) for detailed selection criteria.

**93.414 ARRA - STATE PRIMARY CARE OFFICES**

ARRA State Primary Care Office (PCO)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act). Public Law 111-5. , Public Law 111-5.

**OBJECTIVES:**

To coordinate local, State, and Federal resources contributing to primary care service delivery and workforce issues in the State to meet the needs of medically-underserved populations through health centers and other community-based providers of comprehensive primary care and the retention, recruitment, and oversight of health professions for medically underserved populations, as funded under the American Recovery and Reinvestment Act of 2009 (ARRA).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Recipients will be expected to perform State-wide primary care planning and resource coordination, including Medicaid, Children's Health Insurance program, State Offices of Rural Health, Ryan White Area Health Education Centers, Maternal and Child Health, etc.; support health systems development, primary care practitioners retention and recruitment, National Health Services Corps monitoring activities, as well as activities relating to other special populations including rural populations; and conduct operational and administrative support activities.

**Applicant Eligibility:**

States or territories, political subdivisions of States, agencies of States, or other public entities that operate solely within one State.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded

from coverage under OMB Circular No. A-110. HRSA is requiring applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards are made annually. After awards are issued, funds are released in accordance with HHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Semi-annual program reports, federal financial reports, and special reports are required as requested. Federal Financial Reports are required as requested. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$9,357,651; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$42,000 to \$689,000

Average award per recipient \$217,620.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and

tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Office of Shortage Designation, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-55, Rockville, Maryland 20857. Telephone: (301) 594-0816.

**Headquarters Office:**

Office of Shortage Designation 5600 Fishers Lane, Room 9A-55, Rockville, Maryland 20857 Phone: (301) 594-0816.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices; 93.162 National Health Service Corps Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be evaluated in the following areas: (1) Ability to assess and analyze the State's health policy environment, its unmet need for preventive and primary care services, its health care marketplace and its major disparities in health outcomes; and (2) develop and implement strategies and activities to effectively assist health centers and NHSC delivery sites in their response to these State environmental conditions.

**93.415 ARRA - CENTERS OF EXCELLENCE**

ARRA - COE

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the Centers of Excellence program assists eligible schools in supporting programs of excellence in health professions education for underrepresented minority(URM) individuals. The COE program is a catalyst for institutionalizing a commitment to URM students/faculty and to serve as a national resource and educational center for diversity and minority health issue. Additionally, the COE program will help to strengthen the national capacity to produce a culturally competent healthcare workforce whose diversity is representative of the United States Population.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds must be used by health professions schools to: (1) develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities; and establish an education pipeline for health professions careers; (2) establish, strengthen, or expand programs to enhance the academic performance of underrepresented minority students attending the school; (3) improve the capacity of such school to train, recruit, and retain underrepresented minority faculty including the payment of stipends and fellowships as the Secretary may determine appropriate; (4) carry out activities to improve the information resources, clinical education, curricula and cultural competence of the graduates of the school as it relates to minority health issues; (5) facilitate faculty and

student research on health issues particularly affecting underrepresented minority groups, including research on issues relating to the delivery of health care; (6) carry out a program to train students of the school in providing health services to a significant number of underrepresented minority individuals through training provided to such students at community-based health facilities. These facilities provide such health services and are located at a site remote from the main site of the teaching facilities of the school; and (7) provide stipends as the Secretary determines appropriate in the amounts the Secretary determines.

**Applicant Eligibility:**

Eligible applicants include designated Historically Black Colleges and Universities (HBCUs) and health professions schools that are accredited schools of allopathic medicine, osteopathic medicine, dentistry, pharmacy, graduate programs in behavioral or mental health, or other public and nonprofit health or educational entities that meet the required conditions regarding underrepresented minorities as described in Section 736(c) of the Public Service Act:

Eligible applicants must also have: (1) a significant number of underrepresented minority individuals enrolled in the schools; (2) been effective in assisting underrepresented minority students of the schools to complete the program of education and receive the degree involved; (3) been effective in recruiting underrepresented minority individuals to enroll in and graduate from the school, including providing scholarships and other financial assistance to such individuals and encouraging under-represented minority students from all levels of the educational pipeline to pursue health professions careers; and (4) made significant recruitment efforts to increase the number of under-represented minority individuals serving in faculty or administrative positions at the school.

**Beneficiary Eligibility:**

Designated HBCUs and eligible health professions schools must recruit and train a significant number of under-represented minority students in medicine, dentistry, and pharmacy; faculty recruitment, training and retention; and faculty and student research activities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for approximately 3 years. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A uniform progress report must be submitted annually within the approved project period. Cash reports are not applicable. A final progress report and final financial report must be submitted within 90 days after the end of the project period. Financial Reports are required within 90 days after the end of each budget period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - All funds awarded in FY10.

**Range and Average of Financial Assistance:**

\$2,131,256 to \$2,768,183 with an average award of \$2,449,719.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Violet Woo, Chief, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9C-36, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. (301) 443-8032.

Sadie Silcott, Project Officer, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-36, Rockville, Maryland 20857 Phone: (301) 443-0133 E-mail: [ssilcott@hrsa.gov](mailto:ssilcott@hrsa.gov).

**Headquarters Office:**

Violet Woo 5600 Fishers Lane, Room 9C-36, Rockville, Maryland 20857

Phone: (301) 443-8032

**Website Address:**

<http://bhpr.hrsa.gov/grants/diversity.htm>

**RELATED PROGRAMS:**

93.157 Centers of Excellence

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Centers of Excellence have 7 criteria:

(1) **NEED** - The extent to which the application provides a description of a) the problem, and the associated contributing factors, b) the need with respect to students, faculty development, and URMs in the health professions, and c) geographic factors, such as the size of the area that will be served, and any regional issues.

(2) **RESPONSE** The extent to which project responds to the Purpose included in the program description. This includes the clarity of the proposed goals and objectives and their relationship to the identified project and achieving the seven legislative requirements. The extent to which the activities (scientific or other) described in the application are capable of addressing the problem and attaining the project objectives.

For Centers of Excellence, the response should focus on the statutory purposes:

a) **Competitive Applicant Pool:** To develop a large competitive applicant pool through linkages with institutions of higher education, local school districts, and other community-based entities and establish an educational pipeline for health professions careers; b) **Student Performance:** To establish, strengthen, or expand programs to enhance the academic performance of underrepresented minority (URM) students attending the school; c) **Faculty Development:** To improve the capacity of such schools to train, recruit, and retain URM faculty including payment of such stipends and fellowships as the Secretary may determine is appropriate; d) **Information Resources, Clinical Education, Curricula, and Cultural Competence:** To carry out activities to improve the information resources, clinical education, curricula and cultural competence of the graduates as they relate to minority health issues; e) **Faculty/Student Research:** To facilitate faculty and student research on health issues particularly affecting URM groups, including research on issues relating to the delivery of health care; and f) **Student Training in Providing Health Care Services:** To carry out a program that trains students of the school in providing health care services to a significant number of URMs at community-based health facilities that provide such health care services and are located at a site away from the main teaching facilities of the school; and g) **Stipends:** To provide stipends as the Secretary determines appropriate.

(3) **EVALUATIVE MEASURES** - The effectiveness of the method proposed to monitor and evaluate the project results. Evaluative measures must be able to assess to what extent: 1) the program objectives have been met; and 2) these can be attributed to the project.

(4) **IMPACT** - The extent and effectiveness of the dissemination of the project results, the extent to which the project results may be national in scope, the degree to which the project activities are replicable, and the sustainability of the program beyond the Federal funding, and established linkages/collaboration with key stakeholders. It may include the degree to which COE project outcomes and results are disseminated to the Health Professions Education community regionally or nationally.

(5) **RESOURCES /CAPABILITIES** The extent to which project personnel are qualified by training and/or experience to implement and carry out projects. This includes the capabilities of the applicant organization, and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project. This may include whether the health professions school has a significant number of URM individuals enrolled in the school, including individuals accepted for enrollment and successful completion in the school, and the extent to which the applicants activities influence the recruitment, training and retention of URM faculty.

(6) **SUPPORT REQUESTED** - The extent to which the overall budget, including non-trainee expenses, is a) cost effective, reasonable, and consistent with the stated objectives and proposed activities, b) expenditures are well justified, and c) in-kind contributions are documented.

(7) **CULTURAL COMPETENCE DEVELOPMENT** The extent to which the application reflects the institutions commitment to developing culturally competent health professionals by establishing a system that values the importance of culture in the delivery of health care services to all segments of the population. The practices and initiatives of the applicant institution their commitment to increasing culturally competent and diverse health professionals.

**93.416 ARRA - HEALTH CAREERS OPPORTUNITY PROGRAM**

ARRA - HCOP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

**OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), the HCOP program strives to develop a more competitive applicant pool to build diversity in the health professions. The program's goal is to provide students from economically and educationally disadvantaged backgrounds an opportunity to develop the skills needed to successfully compete to enter and graduate from health professions schools, allied health professions schools, graduate programs in behavioral and mental health, and programs for the training of physician assistants.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Section 739 provides for assisting individuals from disadvantaged backgrounds to undertake education to enter a health or allied health profession. Grant funds may be used for: (1) recruitment; (2) facilitating entry; (3) counseling, mentoring and other services; (4) preliminary education and health research training; (5) financial aid information dissemination; (6) primary care exposure activities; (7) development of a more competitive applicant pool; and (8) stipends. Funds under this Section may not be used for: (1) Direct compensation of payment to parents who participate in HCOP activities; (2) Training expenses for faculty or staff; (3) Tuition of fees for students, including test taking fees for health professions schools; (4) Dependency allowances; (5) Construction of facilities, acquisition of land, or fund raising; (6) Interview trips to health and allied health professions schools; (7) Support of courses that are offered as part of the regular academic curriculum; (8) Sectarian instruction or for any religious purpose; (9) Job placement activities; (10) Activities for health professionals (e.g. internships, externships, residencies); (11) Remedial courses; (12) Faculty support for full-time course work during the academic year; (13) Pilot projects, planning projects, feasibility studies, or activities of a similar nature; (14) Entertainment activities (including meals, beverages, lodging, and transportation).

**Applicant Eligibility:**

Grants may be made to accredited schools of medicine, osteopathic medicine, public health, dentistry, veterinary medicine, optometry, pharmacy, allied health, chiropractic, podiatric medicine, public or nonprofit private schools that offer graduate programs in behavioral and mental health, programs for the training of physician assistants, and other public or private nonprofit health or educational entities.

**Beneficiary Eligibility:**

Students who meet the definition of either educationally or economically disadvantaged, and who express an interest in pursuing a health degree program are eligible for participation in an HCOP program during their primary, secondary pre-professional, and professional education. Students must be U.S. citizens, non-citizen nationals, or foreign nationals who possess a visa

permitting permanent residence in the United States. An individual will be determined to be disadvantaged if he or she comes from a background that has inhibited the individual from obtaining the knowledge, skills, and abilities required to enroll in and graduate from a health professions school or program providing education or training in an allied health profession; or comes from a family with an annual income below a level based on low income thresholds according to family size published by the Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in health professions programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA is requiring applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is approximately 3 years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Uniform Progress Report must be submitted for a second or subsequent budget period within a previously approved project period. Cash reports are not applicable. A final progress report and final financial status report must be submitted within 90 days after the end of the project period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - All funds awarded in FY10.

**Range and Average of Financial Assistance:**

\$976,747 to \$1,527,351, with an average award of \$1,252,049.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments; and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Violet R. H. Woo, Chief, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Rm. 9C-26, Rockville, MD 20857, by telephone at 301-443-8032 and E-mail at [vwoo@hrsa.gov](mailto:vwoo@hrsa.gov).

Kyle Peplinski, Public Health Analyst, Diversity Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane Rm. 9C-26, Rockville, MD 20857, by telephone at 301-443-7758 and E-mail at [kpeplinski@hrsa.gov](mailto:kpeplinski@hrsa.gov).

**Headquarters Office:**

Kyle Peplinski 5600 Fishers Lane, Room 9C-26, Rockville, Maryland 20857  
Email: [kpeplinski@hrsa.gov](mailto:kpeplinski@hrsa.gov) Phone: (301) 443-3043.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.822 Health Careers Opportunity Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Overview: (1) The applicant's record in developing, training, and strengthening the academic performance of disadvantaged students throughout the educational pipeline, including health professions schools; (2) the needs assessment study; (3) the established relationship between the program's stated needs, objectives, and outcomes; (4) the project's plan for developing and expanding the pool of competitive health professions school applicants; (5) the qualifications and experience of the faculty and staff to implement and manage an HCOP program, as well as the experience of the faculty and staff in working with the proposed target group; (6) evidence that formal linkages have been established in order to create a more comprehensive HCOP program; (7) the project activities and their reasonability given the proposed level of staff effort, length of project period and budget requested, resources available, and linkages established; (8) the proposed methods for evaluating the project (including data collection, analysis and reporting procedures, quality control methods and type of personnel involved); (9) the demonstrated knowledge and expertise the applicant possess for coordinating activities with school districts and other community based entities, as well as identifying and leveraging resources from

private, philanthropic, business and other government entities; and 10) the budget demonstrates effective use of grant funds and is reasonable, based on: (a) a detailed justification for each line item, (b) the level of in-kind support and other sources of funds, both Federal and non-Federal, the applicant proposes to utilize for carrying out the program, (c) the applicant's proposed plan for continuation of the proposed project beyond the federally-funded project period.

**REVIEW CRITERIA.** All competitive applications will be reviewed and ranked on the basis of 7 review criteria are used to review and rank applications.

**1. RESOURCES/ CAPABILITIES:** a) the applicant demonstrates a commitment to disadvantaged students and/or underserved communities; b) the applicant provides documentation of evidence utilizing institutional resources and activities aimed at developing, training and strengthening the academic performance and cultural competence of disadvantaged students throughout the educational pipeline, including health professions schools; c) the applicant demonstrates a commitment to disadvantaged students and/or underserved communities; d) the applicant provides documentation of evidence utilizing institutional resources and activities aimed at developing, training and strengthening the academic performance and cultural competence of disadvantaged students throughout the educational pipeline, including health professions schools; e) project personnel are qualified by training and/or experience to implement and carry out the project; and f) the capabilities of the applicant organization, and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project.

**2. IMPACT:** a) the applicant clearly describes the plan for disseminating and implementing HCOP project results to the education and/or health professions community, regionally and/or nationally; b) the applicant clearly delineates specific venues, media, timelines, etc.; c) the applicant describes the extent to which the project activities are replicable; and d) the applicant describes the probability of the program, or significant components of the program, being maintained beyond HCOP funding.

**3. NEED:** a) the extent to which the application describes the problem and associated contributing factors to the problem, with support data provided; b) the targeted disciplines mirror the health professions workforce needs of the geographic area to be served; and c) support data includes information on the academic performance and social needs of students in the targeted area and demographics for health professionals in the geographic area.

**4. RESPONSE:** a) an effective, well-delineated plan for carrying out all seven (7) of the HCOP program purposes. The plan explicitly identifies the targeted health disciplines and includes measurable objectives that are clearly written with corresponding methodology, evaluation and budget sections that describe in detail how they will be carried out, evaluated and supported by HCOP grant dollars and/or other sources; b) the extent to which the proposed project responds to the Purpose included in the program description; c) the clarity of the proposed goals and objectives and their relationship to the identified project; d) the extent to which the activities described in the application are capable of addressing the problem and attaining the project objectives; and e) the extent to which the projects objectives are appropriate, measurable, logical, time-framed, and provide baseline data.

**5. CULTURAL COMPETENCE DEVELOPMENT:** a) the proposed project must clearly define goals and objectives for teaching cultural competence, including educational and training activities for each educational level; and b). the objectives must be measurable and attainable.

**6. SUPPORT REQUESTED:** a) the overall proposed budget, including non-trainee expenses, should be cost effective, reasonable and consistent in relation to the objectives, the proposed activities and the anticipated results; and b) expenditures should be justified and in-kind contributions documented.

**7. PROGRESS SUMMARY OF EVALUATIVE MEASURES (FOR**

**COMPETING CONTINUATIONS):** a) the progress summary reveals that the applicant was able to successfully manage the grant and met the objectives of the current HCOP grant; b) lists the original grant objectives and provides outcomes for each objective in measurable terms; and c) provides an evaluation of the outcomes and lists corrective actions taken to remedy objectives that were not met.

### **93.417 ARRA - NURSING WORKFORCE DIVERSITY**

ARRA-NWD

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act) , Public Law 111-5.

#### **OBJECTIVES:**

As funded under the American Recovery and Reinvestment Act of 2009 (ARRA), these funds will be used to increase nursing education opportunities for individuals who are from disadvantaged backgrounds (including racial and ethnic minorities under-represented among registered nurses) by providing student stipends and scholarships, pre-entry preparation and retention activities. To support projects focused on creating registered nurses.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Funds may be used for salaries of personnel specifically employed for the project; consultant fees; supplies and equipment necessary to conduct the project; essential travel expenses and student stipends or scholarships; and other expenses related to the project.

Restricted Uses: Indirect costs are allowed for administrative costs incurred as a result of the project, limited to 8 percent of direct costs exclusive of equipment and tuition and fees. Stipends are \$250 per month to qualifying students who participate full time in structured project activities. The maximum annual (12-month) amount for stipends is \$3000 per student. Scholarships are limited to a maximum of \$7,000 per student per year for qualifying full or part time nursing majors. The maximum amount that can be requested for scholarships in a grant is \$40,000 per year.

#### **Applicant Eligibility:**

Eligible applicants are accredited schools of nursing, nursing centers, academic health centers, State or local governments, an Indian Tribe or Tribal organization, other public or private non-profit entities including faith-based and community organizations, and for-profit entities capable of carrying out the legislative purpose. Schools of nursing providing formal degree programs must be accredited by a national nurse education accrediting agency or State approval agency recognized by the U.S. Department of Education.

#### **Beneficiary Eligibility:**

Project participants must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. Budget periods are for 1 year. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

All projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. A Bureau of Health Professions Progress Report must be submitted annually. Cash reports are not applicable. Final progress and financial reports must be submitted within 90 days after the end of the project period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No funds awarded since 2009.

**Range and Average of Financial Assistance:**

FY 09: Range: \$791,491 - \$1,002,550 Average: \$872,615.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For the FY2010-FY2011 project period 156 students were enrolled in the program and 48 pre-professionals were enrolled. During this period 81 were graduates. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and

tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Kristen Hansen, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Rm. 9-61, Parklawn Bldg, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 301-443-2796, Email: [khansen@hrsa.gov](mailto:khansen@hrsa.gov).

**Headquarters Office:**

Kristen Hansen 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857  
Email: [khansen@hrsa.gov](mailto:khansen@hrsa.gov) Phone: (301) 443-2796

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.178 Nursing Workforce Diversity

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Title: Alaska Nursing Workforce Diversity Program  
Organization: School of Nursing, University of Alaska Anchorage.  
State: Alaska. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The purpose of the project must be consistent with and promote the activities identified in the law. Need must be documented, and the capability for achieving project goals must be described. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments. This preference is applied to applications that rank above the 20th percentile of applications recommended for approval.

**93.420 ARRA - COMMUNITY HEALTH APPLIED RESEARCH NETWORK**

Includes the following two programs:  
Community Health Applied Research Network (CHARN);  
CHARN Central Data Management and Coordinating Center (CDMCC)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Pub.L. 111-5 and Section 301 of the Public Health Service Act., Public Law 111-5.

**OBJECTIVES:**

To provide infrastructure support for consortia of safety net\* providers and academic institutions to develop the capacity to undertake community-based comparative effectiveness research (CER). It is anticipated that by the end of the grant period, the funded consortia would be able to conduct high quality observational and interventional studies on priority comparative effectiveness topics.

\*The term Safety-Net Provider means a provider that by mandate or mission organizes and delivers a significant level of healthcare and other health-related services to the uninsured, Medicaid, and other vulnerable populations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Funds are to support CER Data Infrastructure activities or investments that develop, build, or maintain data, information systems, or tools to support CER research and analysis. These investments could also include data linkages to administrative databases and registries, operational and administrative support,

including scientific and technical personnel. None of the funds appropriated or otherwise made available in ARRA may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604)

Grantees are not permitted to issue subgrants. ARRA-funded awards are also subject to the HHS Standard Terms and Conditions as described in Appendix D on the web at:  
<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

**Applicant Eligibility:**

CHARN: Health Center Consortia, such as a health center as defined and funded under Section 330 of the Public Health Service (PHS) Act, as amended (42 U.S.C. 254b), applying on behalf of a managed care Network or plan, that has received Federal grants under subsection 330(e)(1)(A) for at least the two consecutive preceding years; or a health center as defined and funded under Section 330 of the Public Health Service (PHS) Act, as amended (42 U.S.C. 254b), applying on behalf of a Practice Management Network. Applicants must have a formal relationship with an academic research institution, through mechanisms such as MOU, MOA, etc. The United States institution/organization must be located in the 50 states, territories and possessions of the U.S., Commonwealth of Puerto Rico, Trust Territory of the Pacific Islands, or District of Columbia.

CHARN CDMCC: Academic research institutions, such as public or nonprofit universities, laboratories, hospitals, and other public or private institutions.

**Beneficiary Eligibility:**

The beneficiaries of this support are going to be the funded entities themselves, such as the health center consortia or health center controlled networks; the collaborating institutions that are the Affiliates of the funded entities, such as academic institutions and other research organizations; and, ultimately, the patient populations that are served by the funded entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Jun 09, 2010

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Applicants can locate funding opportunities along with deadline information at  
<http://www.hrsa.gov/grants/default.htm> and [www.grants.gov](http://www.grants.gov).

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The assistance is available for no more than 3 years. ARRA restrictions require that money awarded must be spent by the end of the third year of the project, no later than September 30, 2013. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Progress Reports are required with information on grantee progress on program-specific goals. A financial report is required within 90 days of the end of each year. The report is an accounting of expenditures under the project. Quarterly reports must be compliant with the provisions set in the Recovery Act. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5),  
[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=111\\_cong\\_bills&docid=f:h1enr.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=111_cong_bills&docid=f:h1enr.pdf), including reporting requirements outlined in Section 1512 of the Act.

All CHARN grantees are required to submit a final report within 90 days after the project period ends. All information required by Section 1512 of the Recovery Act must be submitted through [FederalReporting.gov](http://FederalReporting.gov). Submit a quarterly electronic PSC-272 via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. All CHARN grantees are required to submit a final report within 90 days after the project period ends. All information required by Section 1512 of the Recovery Act must be submitted through [FederalReporting.gov](http://FederalReporting.gov). Grantees are required to submit a quarterly electronic PSC-272 via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. Grantees will be required to participate, where appropriate, in an on-site performance review of their HRSA funded program(s). Grantees will be required to participate, where appropriate, in an on-site performance review of their HRSA funded program(s) by a review team from HRSA's Office of Regional Operations (ORO).

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Successful applicants must comply with audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. Recipients agree to separately identify the expenditures for each grant award funded under ARRA on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC).

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550 - CHARN; 75-0350-0-1-550 - CHARN CDMCC.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - The American Recovery and Reinvestment Act of 2009 (ARRA or Recovery Act) provides funds for the Office of the Secretary for comparative effectiveness research (CER) activities.

**Range and Average of Financial Assistance:**

The range of the five awards was \$1,983,468 to \$2,000,000; the average award was \$1,990,575.

**PROGRAM ACCOMPLISHMENTS:**



Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. Any identifiable patient health information collected by grantees under this award will also be obtained and managed in accordance with 45 CFR Parts 160 and 164. Information on these requirements can be found at <http://hhs.gov/ocr/hipaa>. Federal regulations at 45 CFR Part 46 require that research involving human subjects must be evaluated in accordance with those regulations. For guidelines on compliance with 45 CFR 46 see <http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Robert Mills, 5600 Fishers Lane, Room 7-90, Rockville, Maryland 20857 Email: [rmills@hrsa.gov](mailto:rmills@hrsa.gov) Phone: (301) 443-3899.

**Headquarters Office:**

Robert Mills, 5600 Fishers Lane, Room 7-90, Rockville, Maryland 20857 Email: [rmills@hrsa.gov](mailto:rmills@hrsa.gov) Phone: (301) 443-3899.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications were evaluated by an Objective Review Committee. Please refer to the funding opportunity announcements for specific information on review criteria.

**93.440 NATIONAL PROJECT MANAGEMENT OF THE HEALTHCARE COMMUNITIES KNOWLEDGE GATEWAY**

Knowledge Gateway, Healthcare Communities

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Sections 330(l), 340B, and 377 of the Public Health Service Act (42U.S.C. 254b).

**OBJECTIVES:**

The objectives of this collaborative agreement is to provide technical assistance to HRSA grantees and other providers of healthcare services by supporting the Healthcare Communities Knowledge Gateway, a robust knowledge and content management system portal, and related quality improvement efforts that bridge healthcare, public health, local and state based community organizations in improvement efforts across the United States. Healthcare Communities Knowledge Gateway provides support to the following: (a) Patient Safety and Clinical Pharmacy Services Collaborative (PSPC) participant organizations and related community based activities; (b) the Donation and Transplantation Community of Practice (DTCP) continued growth and success in saving lives and increasing awareness of the need for additional donors; and (c) information resources for the State Health Access program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The cooperative agreement recipient operates and manages the Healthcare Communities Knowledge Gateway main portal and resources center, results-sharing site, and help desk or create an equivalent system without disruption of service to the current users such as eligible organizations and a variety of HRSA grantees including but not limited to: health centers, Counties

and States, transplant hospitals and centers, qualified organ procurement organizations, educational institutions, state and local health departments, public health and other private entities. Refer to the funding opportunity announcement for specific terms of the cooperative agreement.

**Applicant Eligibility:**

Public, private, for profit and not-for-profit entities are eligible to apply. The applicant must have the ability to provide technical support and development; national project management of community based improvements, results sharing with automated analysis, and associated resources; and improve community resources including payer and health information technology systems.

**Beneficiary Eligibility:**

Beneficiaries include current users such as eligible organizations and a variety of HRSA grantees including but not limited to: health centers, Counties and States, transplant hospitals and centers, qualified organ procurement organizations, educational institutions, state and local health departments, public health and other private entities.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

This cooperative agreement will provide funding for up to 3 years. Approximately \$1,000,000 is expected to be available annually to fund one cooperative agreement. Applicants may request up to \$1,000,000 per year. Funding beyond the first year is dependent on the availability of appropriated funds in subsequent fiscal years, awardee satisfactory performance, and a decision that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This cooperative agreement will provide funding for up to 3 years. Approximately \$1,000,000 is expected to be available annually to fund one cooperative agreement. Applicants may request up to \$1,000,000 per year. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS).

PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee must submit a progress report to HRSA on a quarterly basis. Sample text describing the report: This report has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data including performance measurement data to measure the progress and impact of the project. Further information will be provided in the award notice. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the award. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. See above. See above. See above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FFR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$1,148,672; FY 12 est \$998,772; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

Approximately \$1,000,000 is expected to be available annually to fund one cooperative agreement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Office of Pharmacy Affairs, HRSA, Healthcare Systems Bureau, Parklawn Building, Room 10C-03, 5600 Fishers Lane, Rockville, MD 20857  
Telephone: (301) 594-4353, Fax: (301) 594-4982.

**Headquarters Office:**

Office of Pharmacy Affairs 5600 Fishers Lane, Room 10C-03, Rockville, Maryland 20857 Phone: (301) 594-4353

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.107 Model State-Supported Area Health Education Centers; 93.134 Grants to Increase Organ Donations

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunities announcement for further information.

**93.441 INDIAN SELF-DETERMINATION**

(Indian Self-Determination 638 Contracts)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act, Title 1, Section 102, Public Law 93-638.

**OBJECTIVES:**

To enable Indian tribes to assume the management and operation of programs, functions, services, and activities (PFSA) for the delivery of health care to Indian people. To enter into a self-determination contract or contracts with Indian tribes or tribal organizations (T/TO) interested in transferring the responsibility for the administration and provision of health services from the government to tribal leadership.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Funds are for the tribes to provide the PFSA's transferred from the Indian Health Service (IHS). The funds are not available for construction unless specifically authorized by Congress. Tribes can reallocate funds within their budget from one line item to another without contract modifications. Tribes also receive administrative funds for the contracted programs.

**Applicant Eligibility:**

Any federally-recognized tribe that formally requests, through a governing body action, a resolution, to enter into a self-determination contract or contracts for the purpose of planning, conducting, and administering programs, or portions thereof, including construction programs, provided that the T/TO submits a contract proposal that conforms to the requirements contained in 25 CFR 900.8 may apply.

**Beneficiary Eligibility:**

Indian tribes will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The Agency shall, within 30 days of receipt of a notice of intent to contract, provide the tribe pre-proposal technical assistance, if requested to do so. The Agency will also notify the tribe of the amount of funds available to contract, under 106(a) of the ISDA, and begin planning for the transfer of responsibilities and funding to the tribe. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A tribe or tribal organization may submit a proposal for a self-determination contract or a proposal to amend or renew an existing contract. Unless there is a declination issue the Secretary shall within 90 days after receiving the proposal, approve the proposal and award a contract to the tribe. Declination issues are: (A) The service to be rendered to the Indian beneficiaries of the particular program or function to be contracted will not be satisfactory; (B) adequate protection of trust resources is not assured; (C) the proposed project or function to be contracted for cannot be properly completed or maintained by the proposed contract; (D) the amount of funds proposed under the contract is in excess of the applicable funding level for the contract as determined under Section 106(a); or (E) the program, function, service, or activity (or portion thereof) that is the subject of the proposal is beyond the scope of programs, functions, services, or activities covered under paragraph (1) because the proposal includes activities that cannot lawfully be carried out by the contractor.

**Award Procedure:**

The agency negotiation team and the representatives of the tribe shall develop

the agenda for the contract negotiation session(s). The agency negotiation team should assure that any issues identified during the proposal review stage, together with any agency recommendations for overcoming these issues, are raised at the negotiations. Title I contracts are generally awarded at the area office level. They are awarded for a definite period of time (1 to 3 years) or may be designated as "mature" and awarded for a definite or indefinite period of time.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Section 102 of the ISDA and Subpart L of the regulations are the basic sections covering the appeal procedures. Section 900.150 of 25 CFR lists the decisions a T/TO can appeal under Subpart L (25 CFR 900.150-169). The procedures here apply to those appeals. Also, 25 CFR Section 900.151 of the regulations describes appeals that are covered under Subpart N of the regulations and other appeals. The T/TO has three options in appealing a decision under 25 CFR 900-150. The T/TO can request an informal conference and/or can file a formal appeal. The T/TO also has the option of going directly to the Federal court at any time.

**Renewals:**

Annual funding agreements are renegotiated and renewed annually. Title I contracts may be designated as "mature" and awarded for a definite or indefinite period of time.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: A T/TO may use funds provided under a Title I contract to meet matching or close participation requirements under other Federal and nonfederal programs.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

n/a. Method of awarding/releasing assistance: quarterly.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Section 5(f) of the ISDA requires a T/TO to submit an annual "Single Audit Act" as required by Chapter 75 of Title 31 U.S.C. OMB Circular No. A-133, Audits of States, Local Governments and Nonprofit Organizations, revised June 24, 1997, rescinded circular No. A-128 and superseded the Prior version of A-133. Revised circular No. A-133 now applies to T/TO.

**Records:**

Department of Health and Human Services (DHHS) and the Comptroller General of the United States or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS award, in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain accounting records 3 years after the end of the budget period of the award. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0391-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$509,600,000; FY 12 est \$509,600,000; and FY 13 est \$509,600,000

**Range and Average of Financial Assistance:**

\$31,963 to \$25,950,652; \$1,722,872.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Public Law 93-638, as amended, Internal Agency Procedures Manual for Contracting Under Title I of the Indian Self-Determination and Education Assistance Act; Indian Health Circular No. 2000-01, "Contract Support Costs apply."

**Regional or Local Office:**

See Regional Agency Offices. Aberdeen Area IHS, Alaska Area IHS, Albuquerque Area IHS, Bemidji Area IHS, Billings Area IHS, California Area IHS, Nashville Area IHS, Navajo Area IHS, Oklahoma City Area IHS, Phoenix Area IHS, Portland Area IHS, and Tucson Area IHS.

**Headquarters Office:**

Grants Policy Office, 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204.

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants who meet the requirements of Section 102 of Public Law 93-638, as amended, and provide a proposal in accordance with 25 CFR 900 will be funded.

**93.442 SPECIAL DIABETES PROGRAM FOR INDIANS (SDPI) COMPETITIVE GRANT PROGRAM**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Balanced Budget Act of 1997, Public Law 105-33; Consolidated Appropriations Act of 2001, Public Law 106-554; Reauthorization of SDPI 2002, Public Law 107-360; Medicare, Medicaid, and SCHIP Extension Act of 2007, Public Law 110-173; Medicare Improvements for Patients and Providers Act of 2008, Public Law 110-275.

**OBJECTIVES:**

The Indian Health Service (IHS) announces a new initiative under the Special Diabetes Program for Indians (SDPI). This funding mechanism is a competitive cooperative agreement program that will provide funding to selected SDPI grantees for a demonstration project to implement and evaluate defined activities in one of two areas (primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and allowable indirect costs) may be used only for expenses clearly related and necessary to carry out approved activities that will support the implementation and evaluation of demonstration projects under this competitive grant program.

**Applicant Eligibility:**

Applicants eligible to receive an award under this announcement are SDPI grant recipients. The applicant must be one of the following entities: IHS hospital or clinic, federally recognized Tribes, Title V Urban Indian Health Programs or consortia of any of the above. A SDPI grant recipient can apply only once as a single entity or as part of consortium. An application submitted by consortium of SDPI grant recipients must be submitted by one of the SDPI

grant recipients sanctioned as the principal applicant. A letter of support must be included in the application from each SDPI grantee the principle applicant is representing. The letter must specifically state that the principal applicant is officially representing that SDPI grantee in this application. Applicants for consortium who do not submit these letters of support at the time of the application receipt date will not be reviewed and are ineligible for the award. Smaller applicants are encouraged to apply as part of consortium, especially their diabetes registry is less than 250. Applicants are strongly encouraged to establish eligibility of their proposed applications prior to submission. Inquires about eligibility should be addressed to Gordon Quam, SDPI Demonstration Projects Grant Project Officer, IHS Division of Diabetes Treatment and Prevention at 505-248-4182; email to [diabetesprogram@ihs.gov](mailto:diabetesprogram@ihs.gov). Applicants that are not SDPI grant recipients are not eligible. Non-profit tribal organizations or national/area health boards are not eligible, consistent with recent tribal consultation on this issue. Applications that do not meet these eligibility requirements will be returned to the applicant without further review.

**Beneficiary Eligibility:**

American Indians and Alaska Natives will be the ultimate beneficiaries of the funded demonstration projects through either prevention or direct treatment services.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular Circular No. A-122, "Cost Principles for Non-Profit Organizations." OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications can be found at <http://www.grants.gov>. Applications will also be available on request from the IHS Division of Diabetes Treatment and Prevention at the following address: 5300 Homestead Road, NE, Albuquerque, NM 87110. Telephone: (505) 248-4182, fax 505-248-4188, email address: [diabetesprogram@ihs.gov](mailto:diabetesprogram@ihs.gov). The application will be posted on the IHS Division of Diabetes Treatment and Prevention web site at [www.diabetes.ihs.gov](http://www.diabetes.ihs.gov) and on the HHS Grants web site at <http://www.grants.gov>. Applicants may submit one application for one or both demonstration projects. A separate application is required for each demonstration project. Applicants will be funded for only one project (primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes).

Tribal Approval of Application/Letter of Support: It is the policy of the IHS that all projects involving AIAN tribes be approved by the Tribal governments with jurisdiction. Therefore, the following documentation is required as part of this application: 1) For federally recognized Indian tribe - a resolution of support from the Tribal government must be a part of the application. Applications that involve more than one Indian tribe must include resolutions of support from all participating tribes. 2) For an eligible consortium of tribes - a resolution of support from each tribe of the consortium must be included. 3) For Title V Urban Indian Health Programs - a letter of support from the program's board must be included. 4) For IHS hospitals or clinics - a letter of support from the Service Unit Director or Chief Executive Officer must be included. 5) For all applicants - letters of support from all partners and collaborating entities.

The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center is open 24 hours a day, 7 days a week (except Federal holidays). If you require additional assistance please contact Tammy Bagley, Grants Policy Officer; Telephone: (301) 443-5204 at least ten days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may

not e-mail an electronic copy of a grant application to us. Upon receipt, IHS will administratively review applications by completeness and responsiveness. Applications that are incomplete, non-responsive to this RFA, do not meet eligibility criteria or do not follow the guidelines of the SF 424 will be returned to the applicant without further consideration. Applications will be evaluated for technical merit by appropriate peer review groups convened by the IHS National Diabetes Program in accordance with established criteria.

**Award Procedure:**

Applicants will only be eligible to receive one award for funding in one area (i.e. primary prevention of diabetes or prevention of cardiovascular disease in people with diabetes). Priorities for funding will be based on the technical merit of the application, the assessed potential of the applicant and the likelihood of the applicant to successfully implement the defined interventions. Awards will be made only to organizations with financial management systems and management capabilities that are acceptable under PHS Policy. Awards will be administered under the PHS Grants Policy Statement. Awards will be subject to the availability of funds and grants will be administered in accordance with applicable Office of Management and Budget (OMB) Circulars, Department of Health and Human Services grant regulations at 45 CFR Parts 74 and 92, the Public Health Service Grants Policy Statement and other applicable IHS policies and procedures such as the regulations governing protection of human subjects at 45 CFR Part 46. Grants Management will not award a grant without an approved application in conformance with regulatory and policy requirements and which describes the purpose and scope of the project to be funded. When the application is approved for funding, the Grants Management Office will prepare a Notice of Grant Award with special terms and conditions binding upon the award and refer to all general terms applicable to the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The anticipated date for the announcement of selectees is 60 days after the application due date.

**Appeals:**

Not Applicable.

**Renewals:**

This funding will be awarded as a cooperative agreement, renewable annually for up to one additional year (FY 2011). The IHS will determine if cooperative agreements are renewable after these 2 years depending on funding levels and congressional actions.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available during the stated Project Periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

All records of the grant must be retained for 3 years after submission of the final expenditure report. If questions remain, such as those resulting from an audit, pertinent records must be kept until the matter is resolved. The Secretary, the Inspector General of the Department of the Health and Human Services, and the Comptroller General of the United States or any of their authorized representatives shall have the right to access all records, report, books, document, papers or other records of the grantee, contractor, or subcontractor or of any entity pertinent to the DHHS grant in order to make audits, examinations, excerpts and transcripts.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 11 \$23,182,200; FY 12 est \$23,182,200; and FY 13 est \$23,182,200

**Range and Average of Financial Assistance:**

\$137,500 - \$397,000; average award is \$340,915.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Gordon Quam, RN, Division of Diabetes Treatment and Prevention, 5300 Homestead Road, NE., Albuquerque, New Mexico 87110. Telephone: (505) 248-4129. Fax: (505) 248-4188.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.443 HEALTH PROMOTION/DISEASE PREVENTION PROGRAM FOR AMERICAN INDIANS AND ALASKA NATIVES**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Authorized by 25 U.S.C. 13, Synder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001.

**OBJECTIVES:**

To create healthier American Indian/Alaska Native (AI/AN) communities by developing, implementing, and coordinating innovative and effective community and clinic-based interventions programs designed to promote health and prevent chronic disease and disability.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit American Indians and Alaska Natives into health and allied health professional schools.

**Applicant Eligibility:**

Federally-recognized tribes, tribal organizations, nonprofit organizations primarily American Indians and Alaska Natives, and urban Indian organizations may apply.

**Beneficiary Eligibility:**

Individuals who are members of an eligible applicant tribe, band, or group or village and who may be regarded as within the scope of the Indian Health and medical service program and who are regarded as an Indian by the community in which he lives as evidenced by such factors as tribal membership, enrollment, residence on tax exempt land, ownership or restricted property, active participation in tribal affairs or other relevant factors in keeping with general Bureau of Indian Affairs practices in the jurisdiction.

**Credentials/Documentation:**

Certification of American Indian or Alaska descent is required for direct services. Costs will be determined in accordance with Circular No. A-122 for Tribal nonprofit organizations codified through applicable grant administration regulations 45 CFR Part 92 and as applicable 45 CFR Part 74. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at 1-800-518-4726 or support@grants.gov. The Contact Center is open 24 hours a day, 7 days a week (except for Federal holidays). If you require additional assistance please contact Tammy Bagley, Grants Policy Officer at (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. Health Promotion/Disease Prevention program are processed and administered by IHS Headquarters. This program is subject to the provisions of 45 CFR Part 92 for Indian tribes and Part 74 for Nonprofit organizations, and OMB Circulars No. A-110, A-122, A-87, and A-102.

**Award Procedure:**

Grants are awarded on a competitive basis with processing and final approval by Indian Health Service Headquarters.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Grants are approved or disapproved within 90 days of receipt of grant applications by the Indian Health Service, Division of Grants Operation.

**Appeals:**

Other - Not Specified.

**Renewals:**

Project periods are for 3 years with 12-month budget periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for project periods up to 3 years. Method of

awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grantees are subject to site visits and audits by the Department of Health and Human Services (DHHS) and other Federal officials.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audit, examinations, excerpts, and transcripts. In accordance with 45 CFR Parts 74 and 92, grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Salaries) FY 11 \$1,300,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under the provisions of 45 CFR Part 92 and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Contact: Ms. Alberta Becenti, Division of Clinical & Preventive Services, Indian Health Service, 5300 Homestead Rd NE, Albuquerque, New Mexico 87110, Phone: (301) 443-4305.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.444 TRIBAL SELF-GOVERNANCE PROGRAM: PLANNING AND NEGOTIATION COOPERATIVE AGREEMENT**

(Tribal Self Governance)

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Self-Determination and Education Assistance Act (ISDEAA), Title V, Public Law 93-638.

**OBJECTIVES:**

To make financial assistance awards to Indian tribes to enable them to assume programs, functions, services, and activities (PFSA) (or portions thereof) with respect to which Indian tribes or Indians are primary or significant beneficiaries, administered by the Department of Health and Human Services (HHS) through the Indian Health Service (IHS). In preparation for additional tribes each fiscal year, the IHS will make Planning and Negotiation Cooperative Agreements available. The Planning Cooperative Agreements allow Tribes to gather information to determine the current types and extent of PFSA and funding levels available within its service areas and to plan for the types and extent of PFSA and funding to be made available to the tribe under a compact. The Negotiation Cooperative Agreements provide tribes with additional funding to negotiate Self-Governance compacts pursuant to Title V of the ISDEAA.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Establishing and operating programs to provide planning and negotiation resources to tribes interested in participating in the Tribal Self-Governance Program (TSGP) or expanding current Self Governance activity.

**Applicant Eligibility:**

For Planning Cooperative Agreements, any Federally-recognized tribe which (1) formally requests, through a governing body action, a Planning Cooperative Agreement for the purpose of preparing to enter the TSGP and (2) has furnished organization-wide single audit reports as prescribed by Public Law 96-502, the Single Audit Act of 1984, as amended, for the previous 3 years that contain no uncorrected significant and material audit exceptions. See OMB Circular No. A-133 (June 27, 2003 and June 26, 2007). For Negotiation Cooperative Agreements, in addition to the two criteria listed above, applicants must have successfully completed the planning phase as described at 42 C.F.R. 137.20.

**Beneficiary Eligibility:**

Federally-recognized Indian tribes and tribal organizations (as defined in 25 U.S.C. 450b(1)) may benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The preferred method for receipt of applications is electronic submission through <http://www.Grants.gov>. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support by telephone at (800) 518-4726 or by electronic mail at [support@grants.gov](mailto:support@grants.gov). Customer Support is available 24 hours a day, 7 days a week (except for Federal Holidays). If you require additional assistance please contact Ms. Tammy Bagley, Grants Policy Officer at (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please

use the Internet Website located at <http://www.Grants.gov>. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. An electronic copy of a grant application submitted by electronic mail to the IHS will not be accepted.

**Award Procedure:**

Cooperative agreements are made directly by the IHS to the Indian tribal applicants, based on results of a competitive review process.

**Deadlines:**

Jul 29, 2011 Contact the Headquarters Office listed below for deadline dates.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Within 45 days of IHS deadline.

**Appeals:**

From 30 to 60 days. Per 42 C.F.R. 137.416, decisions relating to the award of Cooperative Agreements may be appealed under 45 C.F.R. Part 5.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Not applicable. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required to be submitted semi-annually and within 30 days after the budget period ends. A final report must be submitted within 90 days of expiration of the budget/ project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Please refer to the DPM website (<http://www.dpm.psc.dov/>) for additional guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States, or any of their authorized representatives, shall have the right to access any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS award, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain accounting records 3 years after the end of the budget period of the award. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$840,000; FY 12 est \$840,000; and FY 13 est \$840,000

**Range and Average of Financial Assistance:**

Range \$30,000 to \$75,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: IHS estimates it will award approximately 16 (8 planning and 8 negotiation) awards, subject to the availability of funds. Fiscal Year 2012: IHS estimates it will award approximately 16 (8 planning and 8 negotiation) awards, subject to the availability of funds. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Self-Determination and Education Assistance Act, Tribal Self-Governance Title V, Pub. L. 93-638, as amended. Pub. L. 106-260, 25 U.S.C. 458aaa (2000) and regulations codified at 42 C.F.R. Part 137.

**Regional or Local Office:**

None. Anna Johnson, Program Analyst, Office of Tribal Self-Governance, Indian Health Service, 801 Thompson Avenue Suite 240, Rockville, Maryland 20852. Email: [anna.johnson2@ihs.gov](mailto:anna.johnson2@ihs.gov) Phone: (301) 443-7821 Fax: (301) 443-1050.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: [grantspolicy@ihs.gov](mailto:grantspolicy@ihs.gov) Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

For Planning Cooperative Agreements, the criteria are: Goals/Objectives; Methodology; Management of Health Program(s); Organizational Capabilities and Qualifications; and Budget Justification. For Negotiation Cooperative Agreements, the criteria are: Demonstration of Previous Planning Activities; Thoroughness of Approach, Project Outcome; and Administrative Capabilities.

**93.445 INDIAN HEALTH SERVICE SANITATION FACILITIES CONSTRUCTION PROGRAM**

IHS SFC Program

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

25 U.S.C. 13 Snyder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001, Public Law 86-121, Indian Sanitation Facilities Act; and Title III of Public Law 94-437, Indian Health Care Improvement Act, as amended.

**OBJECTIVES:**

To provide essential sanitation facilities, such as safe drinking water and adequate waste disposal systems, for Indian homes and communities. The IHS Sanitation Facilities Construction Program, an integral component of the IHS disease prevention activity, has carried out those authorities since 1960 using funds appropriated for Sanitation Facilities Construction to provide potable water and waste disposal facilities for AI/AN people. As a result, the rates for infant mortality, the mortality rate for gastroenteritis and other environmentally related diseases have been dramatically reduced, by about 80 percent since 1973. The IHS physicians and health professionals credit many of these health status improvements to IHS' provision of water supplies, sewage disposal facilities, development of solid waste sites, and provision of technical assistance to Indian water and sewer utility organizations. The provision of Indian sanitation facilities is a very important component of the overall effort required to achieve a reduction in infant mortality, a goal highlighted in Healthy People 2010 "The Year 2010 Objectives for the Nation. Safe drinking water supplies and adequate waste disposal facilities are essential preconditions for most health promotion and disease prevention efforts, as well as being a major factor in the quality of life of Indian people.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Sanitation Facilities Construction (SFC) program provides essential sanitation facilities including water supply, sewage and solid waste disposal facilities to

American Indian and Alaska Native (AI/AN) homes and communities. The SFC budget supports Indian Health Service (IHS) health priorities by providing water supply, sewage, and solid waste disposal facilities to AI/AN homes and communities. These services will implement strategies/activities to address the health disparities that exist in these areas. The funds must be expended for the specific purpose outlined in the Public Law 86-121 Arrangements. The funds must be expended for the specific purpose outlined in the Public Law 86-121 Arrangements.

**Applicant Eligibility:**

Not Applicable.

**Beneficiary Eligibility:**

Not Applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Projects are selected from a priority list.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Funds are not recurring.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Average project length is 4 years. Funds are non-recurring. Obligated funds are disbursed upon receipt of approved invoices. See the following for information on how assistance is awarded/released: Funds are disbursed upon receipt and approval of invoices for work completed.

**Reports:**

No program reports are required. The Director of the SFC Program, sends a list to IHS Finance Office, which allots the specified amounts to Area Finance offices. Each Area SFC Program creates obligations for projects selected. The mechanism for allocating, allotting, obligating, invoicing, and paying is the Department's Unified Financial Management System (UFMS) which provides reports as required to those who have access to the system. IHS Finance provides weekly reports to the Department. Quarterly. No expenditure reports are required. Yes, by the appropriate IHS staff for the performance and financial reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Public Law 86-121 projects are subject to inspection and audits by HHS and other Federal government officials as required by applicable law or regulation.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a recipient, subrecipient, contractor, or subcontractor, that are pertinent to the project in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR 92.42, recipients are required to maintain project records 3 years after they submit their final expenditures report. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0391-0-1-551.

**Obligations:**

(Provision of Specialized Services) FY 11 \$95,000,000; FY 12 est \$95,000,000; and FY 13 est \$95,000,000

**Range and Average of Financial Assistance:**

\$7,000 to \$2,800,000. Average project cost was about \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Indian Health Manual Part 5 Chapter 2; Internal Agency Procedures-- Memorandum of Agreement Guidelines Working Draft June 2003 Version 1.01; Criteria for the Sanitation Facilities Construction Program Version 1.01; Sanitation Deficiency System Working Draft May 2003; Environmental Review Manual for Indian Health Service Indian Health Manual Part 5 Chapter 2; Internal Agency Procedures-- Memorandum of Agreement Guidelines Working Draft June 2003 Version 1.01; Criteria for the Sanitation Facilities Construction Program Version 1.01; Sanitation Deficiency System Working Draft May 2003; Environmental Review Manual for Indian Health Service Programs January 2007.

**Regional or Local Office:**

See Regional Agency Offices. see <http://www.ihs.gov/index.cfm?module=AreaOffices>.

**Headquarters Office:**

Division of Sanitation Facilities Construction, 801 Thompson Avenue, Suite TMP 610, Rockville, Maryland 20852 Phone: (301) 443-1046

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects are selected from a priority list mandated by Public Law 94-437, as amended, in consultation with the applicable Tribe. Contact the appropriate IHS Area Office referenced above or in Appendix IV for additional information.

**93.448 FOOD SAFETY AND SECURITY MONITORING PROJECT**

FERN Grant Program

**FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

**OBJECTIVES:**

To complement, develop and improve State, Indian Tribal, and local food safety and security testing programs through the provision of supplies, personnel,



facility upgrades, training in current food testing methodologies and participation in proficiency testing to establish additional reliable laboratory sample analysis capacity and analysis of surveillance samples. New programs will be included to complement, develop and improve State, Indian Tribal, and local food safety and security analyses of foods and food products related to radiological terrorism or other emergency situations through the provision of supplies, personnel, facility upgrades, training in current food testing methodologies, participation in proficiency testing to establish additional reliable laboratory sample analysis capacity, participation in method enhancement activities to extend analysis capability, and analysis of surveillance samples in the event of a large-scale radiological terrorism event affecting foods or food products.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The grants and cooperative agreements are intended to expand participation in networks to enhance Federal, State, local and tribal food safety and security efforts and continue the promotion of a continuing, reliable capability and capacity for laboratory sample analyses of foods and food products for the rapid detection and identification of toxic chemicals, toxins or radiological terrorism affecting foods or food products. These funds cannot be used to fund or conduct food inspections for food safety regulatory agencies. They may not be used for new building construction, however remodeling of existing facilities is allowed, provided that remodeling costs do not exceed 25% of the grant. Funding restrictions are noted in the Funding Opportunity Announcement and the Terms and Conditions of Award.

**Applicant Eligibility:**

These cooperative agreement and grants programs are only available to State, Local and Tribal government Food Emergency Response (FERN) laboratories.

**Beneficiary Eligibility:**

Successful programs will benefit the general population as more rapid and reliable food testing to enhance food safety efforts is developed. The FERN laboratory network will also benefit from better testing methods, equipment and training.

**Credentials/Documentation:**

Applications must present a project plan and provide evidence that their facilities, personnel and equipment are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The required application forms as referenced in the Funding Opportunity Announcement (FOA) and required by 45 CFR 72, and as posted in Grants.gov must be used for this program. The FOA may be published in the NIH Guide or Federal Register. All applications submitted for new, competing continuations or competing supplemental grants must complete the required applications forms through Grants.gov at <http://www.grants.gov>.

**Award Procedure:**

All accepted applications receive a programmatic and Ad Hoc technical merit review. All approved and recommended applications will be scored and compete for available funds on the basis of score, programmatic/scientific merit and program relevance. Geographic distribution will be a consideration in the award selection process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. 90-120 days.

**Appeals:**

From 15 to 30 days.

**Renewals:**

From 90 to 120 days. The Funding Opportunity Announcement will indicate if "Renewals" are accepted. Procedures are the same as for new applications.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the project, program relevance and the availability of funds. For those projects with an expected duration of more than 1 year, future recommended support, up to five years will depend on: 1) performance during the preceding year and, 2) the availability of Federal funds. See the following for information on how assistance is awarded/released: Recommended and approved projects will receive Notice of Grant Award electronically or in hard copy.

Funds are made available through the Payment Management System (PMS).

**Reports:**

Program reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Cash reports are not applicable. Progress Reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Expenditure reports are required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award. Performance monitoring is required as stated in the Funding Opportunity Announcement and the Terms and Conditions of Award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Progress reports, financial and programmatic records, supporting documents, statistical records and all other records that are required in the terms and conditions of the grant, or may be considered pertinent to grant expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the required final financial reports for the project period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 11 \$10,789,311; FY 12 est \$10,800,000; and FY 13 est \$10,800,000

**Range and Average of Financial Assistance:**

An average of \$250,000 - \$400,000 total cost per award per year (for direct and indirect costs and supplemental funds as necessary, reasonable and allocable) for up to five years as referenced in the Funding Opportunity Announcement or available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52-Grants for Research Projects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of

Higher Education, Hospital, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92-Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement (most recent update) available at <http://dhhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>; Executive Order 12372, Intergovernmental Review of Federal Programs as implemented through 45 CFR Part 100-Intergovernmental Review of Department of Health and Human Services Programs and Activities.

**Regional or Local Office:**

See Regional Agency Offices. See Headquarters Office below.

**Headquarters Office:**

William J. Foust 12420 Parklawn Drive, Room 3017, Rockville, Maryland 20857 Email: [william.foust@fda.hhs.gov](mailto:william.foust@fda.hhs.gov) Phone: 301-796-3470

**Website Address:**

<http://www.fda.gov/ForFederalStateandLocalOfficials/CooperativeAgreementsCRADAsGrants/default.htm>

**RELATED PROGRAMS:**

93.103 Food and Drug Administration\_Research; 93.449 Ruminant Feed Ban Support Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed for completeness by the Grants Management staff and responsiveness by the Office of Regulatory Affairs (ORA). To be responsive, the application must be submitted in accordance with the program guidelines as published in the Funding Opportunity Announcement in the Federal Register Notice and/or NIH Guide. All responsive applications will undergo a programmatic/scientific review and an Ad Hoc Review. Applications may be scored and ranked based on the following criteria: a) adequacy of facilities, expertise of project staff, equipment, support services, commitment to analyze surveillance samples, and quality management practices needed for the project; b) expertise in the use of gas chromatography/mass spectrometry for the analysis of foods or animal tissues; c) expertise in the use of liquid chromatography/mass spectrometry for the analysis of foods or animal tissues; d) expertise in the use of inductively coupled plasma/mass spectrometry for the analysis of foods or animal tissues; e) expertise in the use of ELISA and other antibody based analyses for the identification of toxins in foods or animal tissues; f) current food or animal tissue analysis programs; g) the rationale and design to meet the goals of the cooperative agreement; h) quality control and quality assurance procedures and practices; i) abilities and procedures in place to recall personnel, establish extended work-weeks. All funding decisions will be made by the Commissioner of Food and Drug Administration or his designee.

**93.449 RUMINANT FEED BAN SUPPORT PROJECT**

BSE Grant Program

**FEDERAL AGENCY:**

Food and Drug Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188.

**OBJECTIVES:**

To assist in an increased surveillance presence throughout the commercial feed channels to prevent the introduction or amplification of Bovine Spongiform Encephalopathy (BSE) in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are used for location and visitation of firms involved in the manufacture, distribution and transportation of animal feed, and operations feeding ruminant animals in their jurisdiction, to verify compliance with the ruminant feed ban. Visitations could include annual inspections of renderers, protein blenders and

feed mills that manufacture animal feeds and feed ingredients utilizing materials prohibited under the ruminant feed ban that are not covered under existing FDA contracts and other agreements. Funds can be used for inspections of salvagers of food and feed, and transporters of animal feed and feed ingredients, supplies, training, laboratory equipment for feed sample testing, and as a supplement to the annual State program appropriations. Funds may not be used to replace annual State program funds for these purposes. Specific funding restrictions are as noted in the Funding Opportunity Announcement (FOA) and the Notice of Grant Award.

**Applicant Eligibility:**

This cooperative agreement grant program is only available to State and Tribal Feed/BSE regulatory programs.

**Beneficiary Eligibility:**

The general public, State and Tribal Feed/BSE regulatory programs.

**Credentials/Documentation:**

Applications must present a project plan and furnish evidence that facilities, personnel and equipment are appropriate to carry out the project specific objectives as stated in the Funding Opportunity Announcement (FOA) as published in the Federal Register or NIH Guide. These awards are subject to Executive Order 12372, as it applies. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. The application forms referenced in the Funding Opportunity Announcement (FOA) as required by 45 CFR 72 must be used for this program. The FOA may be published in the NIH Guide or Federal Register. All applications submitted for new, competing continuations or competing supplemental grants must complete the required applications forms through [Grants.gov](http://www.grants.gov) at <http://www.grants.gov>.

**Award Procedure:**

All accepted applications receive a programmatic and Ad Hoc Review Group review for technical merit and responsiveness to the Funding Opportunity funding criteria. All approved, recommended and scored applications compete for available funds on the basis of score, scientific/technical merit as well as programmatic relevance. Geographic distribution will be a consideration in the award selection process.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 15 to 30 days.

**Renewals:**

Renewals are available if allowed in the most recently published Funding Opportunity Announcement.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of support will depend on the nature of the projects, program relevance and the availability of funds. For those projects with an expected duration of more than 1 year, future recommended support for up to 5 years will depend on (1) performance during the preceding year and (2) availability of

Federal funds. See the following for information on how assistance is awarded/released: Notice of Award will be provided electronically or in hard copy.

**Reports:**

Program Reports are required as noted in the FOA and the Terms and Conditions of Award. Cash reports are not applicable. Progress Reports are required as stated in the FOA and the Terms and Conditions of Award. Expenditure Reports are required as stated in the FOA and the Terms and Conditions of Award. Performance Monitoring is required as stated in the FOA and the Terms and Conditions of Award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Awarded grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Progress reports, financial and programmatic records, supporting documents, statistical records and all other records that are required by the terms and conditions of the grant or may be considered pertinent to a grant expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the required final financial reports for the project period. See 45 CFR 74.53 and 92.42 for exceptions and qualification to the 3 year retention requirement. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

**Account Identification:**

75-0600-0-1-554.

**Obligations:**

(Cooperative Agreements) FY 11 \$2,766,282; FY 12 est \$2,695,568; and FY 13 est \$2,572,916

**Range and Average of Financial Assistance:**

An average of \$250,000 to \$350,000 total cost per award/per year (for direct, indirect cost and supplemental funds as available) for up to five years as determined necessary, reasonable and allocable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR Part 52-Grants for Research Projects; 45 CFR Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospital, Other Nonprofit Organizations and Commercial Organizations; and certain grants and agreements with States, Local Governments and Indian Tribal Governments; 45 CFR Part 92-Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; the HHS Grants Policy Statement (most recent revision); Executive Order 12372, Intergovernmental Review of Federal Programs as implemented through 45 CFR Part 100--Intergovernmental Review of Department of Health and Human Services Programs and Activities.

**Regional or Local Office:**

See Regional Agency Offices. See item 152 Headquarters Office below.

**Headquarters Office:**

Wendy Campbell 12420 Parklawn Drive; Room 3026, Rockville, Maryland 20857 Email: wendy.campbell@fda.hhs.gov Phone: 615-310-0483

**Website Address:**

<http://www.fda.gov/ForFederalStateandLocalOfficials/CooperativeAgreementsCRADAsGrants/ucm234348.htm>

**RELATED PROGRAMS:**

93.103 Food and Drug Administration\_Research; 93.448 Food Safety and Security Monitoring Project

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be reviewed for responsiveness by the Grants Management Staff and the Office of Regulatory Affairs (ORA). To be responsive, the application must be submitted in accordance with the requirements of the FOA as published in the NIH Guide or the Federal Register. All responsive applications will be reviewed by an Ad Hoc Review committee. Each application will be scored and ranked based on the following criteria 1) availability of adequately trained staff; 2) detailed description of current feed regulatory program; 3) properly detailed budget that is intended to supplement State or Tribal appropriations; 4) accurate count of all feed facilities, etc., in the State or Tribal nation; 5) detailed description of how inspections are to be performed; 6) detailed descriptions of how current, non-inspected facilities will be identified and added to the State's inspection responsibilities; 7) ability to satisfy the reporting requirements; 8) provision of current funding level certification; 9) detailed methodology for program improvement; 10) justification for hiring new staff; and 11) detailed description of the enforcement of violative facilities; under the cooperative agreement all funding will be made by the Commissioner of the Food and Drug Administration or his designee.

**93.451 THE LINKAGE TO LIFE PROGRAM: REBUILDING BROKEN BRIDGES FOR MINORITY FAMILIES IMPACTED BY HIV/AIDS.**

L2L Program

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707 (e)(1), 42 U.S.C. 300u et seq., Title 17, Section 1707, 42 U.S.C 300u et seq.

**OBJECTIVES:**

The Linkage to Life Program seeks to: (1) demonstrate the effectiveness of a family-centered, integrated health and social service network approach to reducing HIV/AIDS incidence and improving health outcomes among high-risk minority populations in transition from domestic violence, incarceration, and substance abuse treatment; (2) address the health and social barriers that may contribute to HIV/AIDS incidence among high-risk, racial and ethnic minorities; and (3) assist in the prevention of generational cycles of behavior that increases risk of future HIV infection among dependent youth.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to be used to support projects or activities consistent with the mission of the Office of Minority Health of the U.S. Public Health Service, and that facilitate improvement in the HIV/AIDS health outcomes among high-risk minority populations in transition from domestic violence, incarceration, and substance abuse treatment. Funds are not to be used for the provision of health care treatment, for construction, or to supplant ongoing project activities.

**Applicant Eligibility:**

Applicant Eligibility: To qualify for funding, an applicant must: be a private non-profit community-based, minority serving organization with 5 years of experience providing comprehensive HIV/AIDS services to high-risk minority populations. Additionally, applicants must document experience in extensive case management, and coordination of healthcare, social, or supportive services for minority populations (adults and youth) in transition from substance abuse treatment, domestic violence, and/or incarceration; and represent a family-centered integrated health and social services network that includes a variety of local healthcare, social and support service organizations, community-based organizations, and other applicable stakeholders to address gaps in services for high-risk minority populations in transition. At a minimum the HSSR Network must include four geographically proximal partners that includes: the applicant organization; a SAMHSA funded community-based substance abuse treatment, behavioral treatment, or recovery support program; a community-based clinical organization funded by HRSA to provide comprehensive HIV/AIDS treatment, service coordination, and case management; and a local social/support service organization (social and/or

support services may include job placement, alternative education programs for youth, eligibility assistance for health coverage, transitional housing, food, transportation, etc.).

**Beneficiary Eligibility:**

The L2L Program places primary focus on high-risk minority populations in transition from domestic violence, incarceration, and substance abuse treatment; particularly families with dependent youth.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. The application kit for this announcement will contain a listing of States that have chosen to set up a review system and will include a State Single Point of Contact (SPOC) in the State for review. Applicants (other than federally recognized Indian tribes) should contact their SPOCs as early as possible to alert them to the prospective applications and receive any necessary instructions on the State process. For proposed projects serving more than one State, the applicant is advised to contact the SPOC of each affected State. The due date for State process recommendations is 60 days after the application deadline. OASH does not guarantee that it will accommodate or explain its responses to State process recommendations received after that date. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply, access the announcement thru [www.grants.gov](http://www.grants.gov). Enter the CFDA# and follow the website instructions. Applications submitted after the deadlines will not be accepted for review. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via [www.grants.gov](http://www.grants.gov). Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be ineligible will be returned to the applicant. Accepted applications will be evaluated by a technical review panel composed of independent experts. The final funding decision will be determined by the Agency Director, who will take into consideration the recommendations of the review panel; programmatic needs, stated preferences; geographic location; and recommendations of DHHS Regional Health Coordinators. All applicants will be notified in writing of actions taken on their applications. Applications that are approved and funded will be issued A Notice of Grant Award.

**Deadlines:**

Jul 02, 2010 to Aug 02, 2010 To be considered for review, applications must be submitted by the established due date. Applications not meeting the deadline will be considered late and will be returned to the applicant unread.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline date, see announcement for specific dates.

**Appeals:**

Not Applicable.

**Renewals:**

Approximately 90 to 120 days from the application deadline date.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Length and Time Phasing of Assistance: Grants can have a project period not to exceed 4 years, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the Notice of Grant Award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The applicant will submit quarterly progress reports based on the requirements listed on the Notice of Award. The Program Office will provide a Progress Report Format to funded applicants. The purpose of the progress reports is to provide accurate and timely program information to program managers and to respond to Congressional, Departmental, and public requests for information about the program. Grantees must comply with all Financial Reporting Mechanisms and due dates listed on the Notice of Award and in accordance with provisions of the general regulations which apply under Monitoring and Reporting Program Performance, 45 CFR Parts 74 and 92. Cash reports are required for each cash withdrawal or transfer. Quarterly progress reports are required for each budget period. NEW FINANCIAL REPORTING REQUIREMENT Federal Financial Reporting (FFR) SF 425:

As of February 1, 2011, the Department of Health and Human Services (DHHS) will begin the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the Office of the Assistant Secretary for Health, Office of Grants Management will return it and require the recipient to complete the SF-425. Copies of the SF-425 can be found on the website at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

1. Grantees must submit quarterly Federal Financial Reports due on one of the standard due dates below by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter. The FFR is due 30 days after the end of each calendar quarter.
2. Also, grantees must submit an annual Federal Financial Report due 90 days after the end of the budget period/project period end date.
3. Reports are to be submitted by hard copy or electronically through GrantSolutions to the assigned Grants Management Specialist in the Office of Grants Management. Please reference the CONTACTS section of the Terms and Conditions for the contact information for these individuals.
4. To determine your due dates, select the row corresponding to the month in which your Budget Period begins, e.g. a June 30 start would correspond to the 1-Jun row.

**Quarterly/Annual Reporting Deadlines**

Budget Period 1st

Quarter FFR Due 2nd

Quarter FFR Due 3rd

Quarter FFR Due 4th

Quarter FFR Due Annual FFR Due

Begin End Date Date Date Date

1-Jan 31-Dec 30-Apr 30-Jul 30-Oct 30-Jan 30-Apr

1-Feb 31-Jan 30-Jul 30-Oct 30-Jan 30-Apr 30-Apr

1-Mar 28-Feb 30-Jul 30-Oct 30-Jan 30-Apr 30-Jul

1-Apr 31-Mar 30-Jul 30-Oct 30-Jan 30-Apr 30-Jul

1-May 30-Apr 30-Oct 30-Jan 30-Apr 30-Jul 30-Jul

1-Jun 31-May 30-Oct 30-Jan 30-Apr 30-Jul 30-Oct

1-Jul 30-Jun 30-Oct 30-Jan 30-Apr 30-Jul 30-Oct

1-Aug 31-Jul 30-Jan 30-Apr 30-Jul 30-Oct 30-Oct

1-Sep 31-Aug 30-Jan 30-Apr 30-Jul 30-Oct 30-Jan

1-Oct 30-Sep 30-Jan 30-Apr 30-Jul 30-Oct 30-Jan

1-Nov 31-Oct 30-Apr 30-Jul 30-Oct 30-Jan 30-Jan

1-Dec 31-Nov 30-Apr 30-Jul 30-Oct 30-Jan 30-Apr. Grantees are required to

use the web-based PDS evaluation system. In addition to the required quarterly progress reports, a final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with: the provisions of OMB Circular No. A- 133 (Revised, June 26, 2007), Audits of States, Local Governments, and Nonprofit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings. HHS and the Comptroller General of the United States or any of their designated authorized officials shall have the right of access to any books, documents, papers, or other records of a grantee, sub-grantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$2,840,000; FY 12 est \$2,200,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$400,000 to \$475,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 6 cooperative agreements were awarded. Fiscal Year 2012: 6 continuation cooperative agreements to be awarded. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the application instructions, the announcement and the HHS Grants Policy Statement. <http://www.hhs.gov/asrt/og/aboutog/grantsnet.html>

**Regional or Local Office:**

See Regional Agency Offices. Headquarters Office: Office of Minority Health, Office of The Assistant Secretary for Health, Office of the Secretary, Tower Building, Suite 600, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-2882.

Program Contact: Ms. Sonsiere Cobb-Souza, Acting Director, Division of Program Operations, Office of Minority Health, Office of The Assistant Secretary for Health, Office of the Secretary, Tower Building, Suite 600, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-8444.

Grants Management Contact: Office of Grants Management, Office of The Assistant Secretary for Health, Office of the Secretary, Tower Building, Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-8822.

**Headquarters Office:**

Brenda C. Donaldson Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [Brenda.Donaldson@hhs.gov](mailto:Brenda.Donaldson@hhs.gov) Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Program Announcement or can be obtained from the Program contact. Listed below are some criteria used to review applications: 1) consistency of projects objectives relevant to the Program purpose and the federal Office of Minority Healths mission; 2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; 3) strength of proposed grant organizations management capability; 4) adequacy of qualifications and experience of proposed personnel; and 5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.452 HEALTH IMPROVEMENT FOR RE-ENTERING EX-OFFENDERS INITIATIVE (HIRE) HIV/AIDS**

HIRE Program

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707 (e)(1), 42 U.S.C. 300u et seq., 42 U.S.C 300u et seq.

**OBJECTIVES:**

The HIRE Program seeks to improve the HIV/AIDS health outcomes of ex-offenders re-entering the mainstream population (Re-entry Population) by supporting community-based efforts to ensure their successful transition from state or federal incarceration back to their communities. It is expected that applicants will ensure that ex-offenders returning to their communities from incarceration or detention are sufficiently prepared to: maximize their chances for successful reintegration; seek to eliminate the structural and medical barriers to reintegration that are necessary to preserve public safety; acknowledge the roles that families and communities play in the reentry process and ensure that they are sufficiently prepared to take on those responsibilities; and collect the data needed from pre-release and post-release prison medical reports to better evaluate the effectiveness of the project and assist ex-offenders affected by HIV/AIDS.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to be used to support projects or activities consistent with the mission of the Office of Minority Health of the U.S. Public Health Service, and that facilitate improvement in the HIV/AIDS health outcomes of ex-offenders re-entering the mainstream population. Funds are not to be used for the provision of health care treatment, for construction, or to supplant ongoing project activities.

**Applicant Eligibility:**

To qualify for funding, an applicant organization must: be located within one of the three targeted states of New York, Florida, or Texas and have a minimum of five years experience providing HIV/AIDS related health and support services and be a: private nonprofit community-based, minority-serving organization (see definitions) which addresses health, human, or correctional services; or public entity (local government) which addresses health, human or correctional services; or Tribal governmental entity which addresses health, human or correctional services; or faith-based organization which provides comprehensive pre-release, transitional or reentry services.

**Beneficiary Eligibility:**

The HIRE Program places primary focus on the reentry populations in the three

targeted states, with special emphasis on the following reentry subpopulations: substance abusers, men who have sex with men, and individuals impacted by mental health disorders.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply, access the announcement thru [www.grants.gov](http://www.grants.gov). Enter the CFDA# and follow the website instructions. Applications submitted after the deadlines will not be accepted for review. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via [www.grants.gov](http://www.grants.gov). Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review

**Award Procedure:**

Applications will be screened upon receipt. Those that are deemed to be ineligible will be returned to the applicant. Accepted applications will be evaluated by a technical review panel composed of independent experts. The final funding decision will be determined by the Agency Director, who will take into consideration the recommendations of the review panel; programmatic needs, stated preferences; geographic location; and recommendations of DHHS Regional Health Coordinators. All applicants will be notified in writing of actions taken on their applications. Applications that are approved and funded will be issued A Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project period is 1 - 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants can have a project period not to exceed 3 years, with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the Notice of Grant Award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program progress reports are required quarterly. Cash reports are required for each cash withdrawal or transfer. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the Notice of Grant Award is issued. End-of-year progress reports are required and are due 90 days after the end of each budget period. NEW FINANCIAL REPORTING REQUIREMENT Federal Financial Reporting (FFR) SF 425:

As of February 1, 2011, the Department of Health and Human Services (DHHS) will begin the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the Office of the Assistant Secretary for Health, Office of Grants Management will return it and require the recipient to complete the SF-425. Copies of the SF-425 can be found on the website at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

1. Grantees must submit quarterly Federal Financial Reports due on one of the standard due dates below by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter. The FFR is due 30 days after the end of each calendar quarter.
2. Also, grantees must submit an annual Federal Financial Report due 90 days after the end of the budget period/project period end date.
3. Reports are to be submitted by hard copy or electronically through GrantSolutions to the assigned Grants Management Specialist in the Office of Grants Management. Please reference the CONTACTS section of the Terms and Conditions for the contact information for these individuals.
4. To determine your due dates, select the row corresponding to the month in which your Budget Period begins, e.g. a June 30 start would correspond to the 1-Jun row.

**Quarterly/Annual Reporting Deadlines**

Budget Period 1st

Quarter FFR Due 2nd

Quarter FFR Due 3rd

Quarter FFR Due 4th

Quarter FFR Due Annual FFR Due

Begin End Date Date Date Date Date

1-Jan 31-Dec 30-Apr 30-Jul 30-Oct 30-Jan 30-Apr

1-Feb 31-Jan 30-Jul 30-Oct 30-Jan 30-Apr 30-Apr

1-Mar 28-Feb 30-Jul 30-Oct 30-Jan 30-Apr 30-Jul

1-Apr 31-Mar 30-Jul 30-Oct 30-Jan 30-Apr 30-Jul

1-May 30-Apr 30-Oct 30-Jan 30-Apr 30-Jul 30-Jul

1-Jun 31-May 30-Oct 30-Jan 30-Apr 30-Jul 30-Oct

1-Jul 30-Jun 30-Oct 30-Jan 30-Apr 30-Jul 30-Oct

1-Aug 31-Jul 30-Jan 30-Apr 30-Jul 30-Oct 30-Oct

1-Sep 31-Aug 30-Jan 30-Apr 30-Jul 30-Oct 30-Jan

1-Oct 30-Sep 30-Jan 30-Apr 30-Jul 30-Oct 30-Jan

1-Nov 31-Oct 30-Apr 30-Jul 30-Oct 30-Jan 30-Jan

1-Dec 31-Nov 30-Apr 30-Jul 30-Oct 30-Jan 30-Apr. A Final Performance Report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

HHS and the Comptroller General of the United States or any of their designated authorized officials shall have the right of access to any books, documents, papers, or other records of a grantee, sub-grantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a project period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$1,977,511; FY 12 est \$2,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$200,000 to \$250,000 75-0942.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

See Regional Agency Offices. Ms. Sonsiere Cobb-Souza, Acting Director, Division of Program Operations, Office of Minority Health, Office of the Assistant Secretary, Office of the Secretary, Tower Building, Suite 600, 1101 Wootton Parkway, Rockville, Maryland 20852. Telephone: (240) 453-8444.

**Headquarters Office:**

Brenda C. Donaldson Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: Brenda.Donaldson@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.omhrc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Program Announcement or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of projects objectives relevant to the Program purpose and the federal Office of Minority Healths mission; (2) coherence and feasibility of methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organizations management capability; (4) adequacy of qualifications and experience of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.453 COALITION FOR A HEALTHIER COMMUNITY**

Coalition for a Healthier Community (CHC)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended, Title XVII, Section 1707 (e)(1), 42 U.S.C 300u et seq. , 42 U.S.C 300u et seq.

**OBJECTIVES:**

Phase I

1. Provide 1 year of financial and technical support to an existing wellness coalition to develop a strategic action plan and implementation plan to reduce gender based health disparities in targeted communities.
2. Enhance collaborative working partnerships among health organizations, community based and faith based organizations, public and private academic institutions, hospitals, medical groups and practices.
3. Enhance consumer and provider awareness of gender-based health issues in the community;
4. Increase the capacity and strengthen infrastructure among local public health organizations to increase the coordination of services to better serve women and girls

Phase II

5. Provide up to 5 years of financial and technical support for implementation of the strategic action health plan.
6. To develop and implement a health intervention plan which will be sustained

after OWH funding ends.

7. To use a public health systems approach to improve on two or more identified health issues affecting women and/or girls.
8. Improve surveillance/information systems that allow tracking of program progress on gender based morbidity/ mortality objectives at the grantee level.
9. Reduce the incidence and prevalence of adverse health outcomes among women girls in local communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to implement evidence-based strategies to program objectives. Funds may not be used for construction, building alterations, equipment, printing, food, and medical treatment.

Phase II: to implement the approved strategic plan and evaluate the effectiveness of the program.

**Applicant Eligibility:**

Eligible applicants include public and private non profit organizations (public and private academic institutions and hospitals); community-based and faith-based organizations, medical groups/practices and State, city, county, and local health departments, tribes and tribal organizations with expertise/experience in the proposed objectives. The applicant must be part of an existing coalition. At least a third of the partners should have demonstrated experience addressing gender differences through appropriate interventions, programs, or research related to the selected objectives.

Phase II: Eligible applicants are limited to Phase I grantees.

**Beneficiary Eligibility:**

Women and girls across the life span.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be ineligible will be returned to the applicant. Accepted applications will be reviewed for technical merit in accordance with PHS policies. Applications will be evaluated by a technical review panel composed of independent experts. Funding decisions will be made by the OWH and will take into consideration the recommendations of the review panel; program needs; stated preferences; and geographic location. Applicants approved and funded will be issued a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For Phase I, project period is not to exceed 1 year.  
For Phase II, project period is not to exceed 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Progress reports are due quarterly and the end-of-year report is due 30 days after the close of the project period. Cash reports are required for each cash withdrawal or transfer. For Phase I and Phase II, the applicant will submit quarterly progress reports on December 10, 2010, March 10, and June 10, 2011. The purpose of the progress reports is to provide accurate and timely program information to program managers and to respond to Congressional, Departmental, and public requests for information about the program. NEW FINANCIAL REPORTING REQUIREMENT Federal Financial Reporting (FFR) SF 425:

As of February 1, 2011, the Department of Health and Human Services (DHHS) will begin the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the Office of the Assistant Secretary for Health, Office of Grants Management will return it and require the recipient to complete the SF-425. Copies of the SF-425 can be found on the website at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

1. Grantees must submit quarterly Federal Financial Reports due on one of the standard due dates below by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter. The FFR is due 30 days after the end of each calendar quarter.
2. Also, grantees must submit an annual Federal Financial Report due 90 days after the end of the budget period/project period end date.
3. Reports are to be submitted by hard copy or electronically through GrantSolutions to the assigned Grants Management Specialist in the Office of Grants Management. Please reference the CONTACTS section of the Terms and Conditions for the contact information for these individuals.
4. To determine your due dates, select the row corresponding to the month in which your Budget Period begins, e.g. a June 30 start would correspond to the 1-Jun row.

**Quarterly/Annual Reporting Deadlines**

Budget Period	1st	2nd	3rd	4th	Annual FFR Due
Begin	End	Date	Date	Date	Date
1-Jan	31-Dec	30-Apr	30-Jul	30-Oct	30-Jan
1-Feb	31-Jan	30-Jul	30-Oct	30-Jan	30-Apr
1-Mar	28-Feb	30-Jul	30-Oct	30-Jan	30-Apr
1-Apr	31-Mar	30-Jul	30-Oct	30-Jan	30-Apr
1-May	30-Apr	30-Oct	30-Jan	30-Apr	30-Jul
1-Jun	31-May	30-Oct	30-Jan	30-Apr	30-Jul
1-Jul	30-Jun	30-Oct	30-Jan	30-Apr	30-Jul
1-Aug	31-Jul	30-Jan	30-Apr	30-Jul	30-Oct
1-Sep	31-Aug	30-Jan	30-Apr	30-Jul	30-Oct
1-Oct	30-Sep	30-Jan	30-Apr	30-Jul	30-Oct
1-Nov	31-Oct	30-Apr	30-Jul	30-Oct	30-Jan
1-Dec	31-Nov	30-Apr	30-Jul	30-Oct	30-Jan

The strategic action plan will be due on May 13, 2011 and the implementation plan will be due on July 16, 2011. The July 16, 2011 report will serve as the competing renewal application. An original and two copies of the competing renewal application must be submitted no later than July 16, 2011.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$2,999,742; FY 12 est \$3,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

For Phase I, the OWH anticipates making a 1 year award of a \$100,000 (direct and indirect) starting September 1, 2010, and ending August 31, 2011. For Phase II, the OWH anticipates making competitive continuation awards available for up to 5 years for implementation ranging from 300,000-400,000 total cost (indirect and direct). For Phase II, the number of awards made is contingent upon satisfactory progress of Phase I the quality and type of applications received, the amount of funds requested by the applicants and the availability of Federal funds.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Ms. Stephanie Alexander  
DHHS, OWH, DPM  
Hubert Humphrey Building, 733E  
200 Independence Avenue, SW  
Washington, DC 20201  
Phone : (202) 401-9546  
Fax: (202) 401-4005  
Email: stephanie.alexander@hhs.gov.

**Headquarters Office:**

Brenda C. Donaldson Tower Building Suite 550, 1101 Wootton Parkway,  
Rockville, Maryland 20852 Email: Brenda.Donaldson@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.womenhealth.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

To be considered for review, applications must be received by the Office of The Assistant Secretary for Health, Office of Grants Management, c/o LCG by 5:00 p.m. Eastern Time on the due date published in the Dates section of the FR. Applications will be screened upon receipt. Those that are judged to be in compliance will be reviewed for technical merit by a technical panel composed of experts with experience with sex and gender programs, program management, program delivery, outreach, health education and program assessment in accordance with DHHS policy. The technical review of the applications will consider the following factors for Phase I:

- Factor 1: Background and Summary (10 points)
- Factor 2: Coalition and Capacity Plan (20 points)
- Factor 3: Management Plan (25 points)
- Factor 4: Target Population (15 points)
- Factor 5: Evaluation Plan (20 points)
- Factor 6: Sustainability Plan (10 points)

The technical review of the applications will consider the following factors for Phase II:

- Factor 1: Background and Need (20 points)



Factor 2: Implementation Plan (25 points)

Factor 3: Management Plan (20 points)

Factor 4: Evaluation Plan (20 points)

Factor 5: Sustainability Plan (15 points)

Details regarding the elements to be addressed within each Factor are available in the FR notice.

### **93.500 PREGNANCY ASSISTANCE FUND PROGRAM**

Support for Pregnant and Parenting Teens and Women

#### **FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

#### **AUTHORIZATION:**

Patient Protection and Affordable Care Act, Public Law 111-148 SEC. 10212 - 10214.

#### **OBJECTIVES:**

Competitive Grants to States to assist pregnant and parenting teens and women.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

A State may use amounts received under a grant to make funding available to eligible high schools (grades 7-12), community service center, and institutions of higher education to establish, maintain or operate pregnant and parenting students. Funds may be used to supplement, not supplant, existing funding for such services. A State may also make funds available to its Attorney General to assist in providing services for eligible pregnant women who are victims of domestic violence, sexual violence, sexual assault, or stalking, or to provide technical assistance to other organizations. States may also use funds for public awareness and education concerning services available to pregnant and parenting teens and women, in keeping with the intent of the Fund.

#### **Applicant Eligibility:**

A State may apply for a grant. The term State includes the District of Columbia, any commonwealth, possession, or other territory of the United States, any Indian tribe or reservation.

#### **Beneficiary Eligibility:**

Pregnant and Parenting Teens and Women.

#### **Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions and OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

The Governor(s) of the State(s) in which the project is to be located is to be given 60 days in which to review and comment on applications for funding under this authority. An applicant should consult the office or official designated as the single point of contact in the State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. This program is subject to the Public Health Systems Reporting Requirements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The announcement for this grant opportunity may be found on [www.Grants.gov](http://www.Grants.gov) the application forms and guidelines are available for online submission or for downloading and submitting on paper (hardcopy). If assistance is needed, please contact the OPHS Office of Grants Management, Grant Application Center: Telephone: (240) 453-8822(OGM) or 1-888-203-6161(GAC). Submitted Applications are screened upon receipt for completeness, responsiveness and conformance to the program announcement.

Those applications judged to be unacceptable based on this initial screening will be returned. Applications may only be submitted electronically via the electronic submission mechanisms specified in the announcement ([Grants.gov](http://Grants.gov)).

Any application submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted. While applications are accepted in hard copy, the use of the electronic application submission capabilities provided by the [Grants.gov](http://Grants.gov) website portal or the OPHS Grant Solutions system is encouraged.

#### **Award Procedure:**

All applications and proposals are read by a panel of independent experts who make recommendations for action to the Office of Adolescent Health. After considering the recommendation of this panel, the Director of the Office of Adolescent Health makes the final decision on the funding of applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 30 to 60 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewal awards may be approved pending availability of funding, and evidence of satisfactory progress and compliance.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25.%. An eligible institution of higher education that receives funding shall contribute an amount from non-Federal funds equal to 25 percent of the amount of the funding provided. The non-Federal share may be in cash or in-kind, fairly evaluated, including services, facilities, supplies or equipment. The non-Federal contribution does not apply to eligible high schools and community service organizations. This program has MOE requirements, see funding agency for further details. See program announcement for details.

#### **Length and Time Phasing of Assistance:**

Grants may not exceed 5 years (subject to the availability of funds). Payments will be made either on a monthly cash request basis or under the Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

Please see Notice of Grant Award for detailed requirements. Quarterly Cash Reports are required to be filed with the Division of Payment Management. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period, and a final status report is due 90 days following the end of the project period. A final performance report is due 90 days following the end of the project period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings. HHS and the Comptroller General of the United States or any of their designated authorized officials shall have the right of access to any books, documents, papers, or other records of a grantee, sub-grantee, contractor, or subcontractor, which are

pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$23,986,728; FY 12 est \$24,000,000; and FY 13 est \$24,000,000

**Range and Average of Financial Assistance:**

Range: \$50,000-\$500,000; average \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HHS Grants Policy Statement is available online:  
<http://www.hhs.gov/asrt/og/aboutog/grantsnet.html>

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Department of Health and Human Services, Office of Public Health and Science, Office of Adolescent Health; Ms. Evelyn Kappeler; 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-2800. Grants Management Contact: Department of Health and Human Services, Office of Public Health and Science, Office of Grants Management 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov) Phone: (240) 453-8449.

**Website Address:**

<http://www.hhs.gov/oah>

**RELATED PROGRAMS:**

93.297 Teenage Pregnancy Prevention Program; 93.995 Adolescent Family Life\_Demonstration Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must contain prevention services requirements specified in the statute. Priority will be given to applicants who: (1) Serve an area (a) where there is a high incidence of adolescent pregnancy, (b) where the incidence of low-income families is high, and (c) where the availability of programs for adolescents as specified in this act is low; (2) show evidence (a) for care services, of ability to deliver wide range of required services on single-site or network basis, or (b) for prevention services, ability to provide services targeted to population; (3) will utilize to maximum extent possible (a) existing programs and facilities, and (b) other sources of funding; (4) can demonstrate community commitment to the project; (5) have involved community in developing the project; (6) will demonstrate replication and innovative programs; and (7) demonstrate the reasonableness of the estimated cost considering the anticipated results.

**93.501 AFFORDABLE CARE ACT (ACA) GRANTS FOR SCHOOL-BASED HEALTH CENTER CAPITAL EXPENDITURES**

SBHCC

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordable Care Act of 2010, Title IV, Section 4101, Public Law 111-148.

**OBJECTIVES:**

The goal of the program is to award funds made available by the Patient Protection and Affordable Care Act (Health Reform) that will support school-based health center efforts to expand capacity to provide primary healthcare services to school-aged children. This competitive funding opportunity will be available to new and existing school-based health centers to address significant and pressing capital improvement needs, including: construction, repair, renovation, and the purchase of equipment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

An eligible entity shall use funds provided under an awarded grant only for expenditures for facilities (including the acquisition or improvement of land, or the acquisition, construction, expansion, replacement, or other improvement of any building or other facility), equipment, or similar expenditures. No funds provided shall be used for expenditures for personnel or to provide health services. See above and funding opportunity announcement.

**Applicant Eligibility:**

To be eligible for a grant under this subsection, an entity shall be a school-based health center or a sponsoring facility of a school-based health center as defined in section 2110(c)(9) of the Social Security Act (42 USC 1397jj(c)(9)).

A school-based health center is defined as a health clinic that:

1. Is located in or near a school facility of a school district or board of an Indian tribe or tribal organization;
2. Is organized through school, community, and health provider relationships;
3. Is administered by a sponsoring facility;
4. Provides through health professionals primary health services to children in accordance with State and local law, including laws relating to licensure and certification; and
5. Satisfies such other requirements as a State may establish for the operation of such a clinic.

A sponsoring facility includes any of the following:

1. A hospital
2. A public health department
3. A community health center
4. A non-profit health care agency
5. A school or school system
6. A program administered by the Indian Health Service or the Bureau of Indian Affairs or operated by an Indian tribe or a tribal organization.

**Beneficiary Eligibility:**

School-based health centers or a sponsoring facility of a school-based health center.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. 4321 (Public Law 91-190, Section 2, January 1, 1970, 83 Stat., 852), including Public Disclosure, Section 102 of NEPA, and E.O. 11514, requires Federal agencies to assess the environmental impacts of major Federal actions, including construction projects supported in whole or in part through Federal contracts, grants, subsidies, loans, or other forms of funding assistance. HRSA requires that applicants provide information on anticipated environmental impact as part of their applications. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines are included in the Funding Opportunity Announcement. You may also contact the headquarters for application deadlines or <http://www.hrsa.gov/>.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 2 years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web-based payment system for HHS awards.

**Reports:**

A progress report must be submitted quarterly. A final progress report and final Federal Financial Report (FFR) must be submitted within 90 days after the end of the project period. No cash reports are required. A progress report must be submitted quarterly. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to <http://www.dpm.psc.gov/> for additional information. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

07-0352-0-1-035.

**Obligations:**

(Project Grants) FY 11 \$94,993,112; FY 12 est \$17,000,000; and FY 13 est \$75,000,000

**Range and Average of Financial Assistance:**

\$11,000 to \$500,000. \$350,000 average award..

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Matt Kozar, Bureau of Primary Health Care, Health Resources and Services Administration, Room 17C-26, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: (301) 443-1034

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant addresses the Review Criteria outlined in Section V of the funding opportunity announcement.

**93.502 AFFORDABLE CARE ACT (ACA) INFRASTRUCTURE TO EXPAND ACCESS TO CARE**

IEAC - Infrastructure to Expand Access to Care

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title X, Section 10502 of the Patient Protection and Affordable Care Act of 2010 (Public Law 111-148).

**OBJECTIVES:**

Grants are awarded to meet the cost of projects for debt service on, or direct construction or renovation of a health care facility that provides research, inpatient tertiary care, or outpatient clinical services. The facility must be affiliated with an academic health center at a public research university that contains a States sole public academic medical and dental school. The Governor must certify that: (1) the new health center is critical for the greater access to care in the State; (2) the new health center is essential for the continued viability of the medical and dental school and its academic health center; (3) the Federal support is up to 40 percent of the total cost of the project; and (4) the State has an established funding mechanism to provide the remaining funds to complete the project.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds must be used for debt service on or the construction or renovation of a health care facility that provides research, inpatient tertiary care, or outpatient clinical services. The facility must be affiliated with an academic health center at a public research university that contains a States sole public academic medical and dental school. The Federal support is up to 40 percent of the total cost of the project and the State must have an established funding mechanism to provide the remaining funds to complete the project.

**Applicant Eligibility:**

Institutions of Higher Education. Eligible applicants must have a project that requires debt service on, or direct construction or renovation of a health care facility that provides research, inpatient tertiary care, or outpatient clinical

services. The project must be affiliated with an academic health center at a public research university that contains a States sole public academic medical and dental school.

**Beneficiary Eligibility:**

Institutions of Higher Education, General Public.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. The Governor must certify that: (1) the new health center is critical for the greater access to care in the State; (2) the new health center is essential for the continued viability of the medical and dental school and its academic health center; (3) the Federal support is up to 40 percent of the total cost of the project; and (4) the State has an established funding mechanism to provide the remaining funds to complete the project. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. 4321 (Public Law 91-190, Section 2, January 1, 1970, 83 Stat. 852), including Public Disclosure, Section 102 of NEPA, and E.O. 11514, requires Federal agencies to assess the environment impacts of major Federal actions, including construction projects supported in whole or in part through Federal contracts, grants, subsidies, loans, or other forms of funding assistance.

HRSA requires that applicants provide information on anticipated environmental impact as part of their applications. An environmental impact statement is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 60%. 40 percent Federal support and 60 percent State funding mechanism to provide remaining funds to complete the project. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grantee will be given 5 years to complete the project and drawdown the funds from the Payment Management System (PMS). See the following for information on how assistance is awarded/released: Grantee will drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantee must submit quarterly progress reports on the status of the project via the Electronic Handbook. Cash reports are not applicable. Progress reports are

not applicable. The grantee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FFR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$99,943,199; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

One award was made in FY 2011 for \$99,943,199.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at: <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. David Colwander, Chief, Facilities Services Branch, Division of Poison Control and Healthcare Facilities, Healthcare Systems Bureau, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 10-105, Rockville, MD, 301 443-5656.

**Headquarters Office:**

David Colwander, 5600 Fishers Lane, Room 10-105, Rockville, Maryland 20857 Phone: (301) 443-5656.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No funded projects. Fiscal Year 2012: No funded projects. Fiscal Year 2013: No funded projects.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by an Objective Review Committee to determine the extent to which the applicant documents the following, such as: (1) the project is for debt service on, or direct construction or renovation of a health care facility that provides research, inpatient tertiary care, or outpatient clinical services; (2) the facility is affiliated with an academic health center at a public research university that contains a States sole public academic medical and dental school; (3) the Governor certifying that: (a) the new health center is critical for the greater access to care in the State; (b) the new health center is

essential for the continued viability of the medical and dental school and its academic health center; (c) the Federal support is up to 40 percent of the total cost of the project; and (d) the State has an established funding mechanism to provide the remaining funds to complete the project.

### **93.503 AFFORDABLE CARE ACT (ACA) NURSING ASSISTANT AND HOME HEALTH AIDE PROGRAM**

NAHHA

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title VIII, Section 831, 42 U.S.C. 296p, as amended by the Patient Protection and Affordable Care Act (P. L. 111-148); Conference Report, H. Rept. 111-366, Division D, Title II at 997 (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, P.L. 111-117.

#### **OBJECTIVES:**

To train qualified nursing assistants and home health aides to provide care in complex health care environments. These training programs could be offered on-campus, at alternate sites, and through distance education methodologies and could enable the aides to receive college credits for future advancement opportunities. The program will help ensure that we have competent nursing assistants and home health aides with acquired and necessary skills that would be transportable to any job market in the Nation.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Infrastructure training grants are awarded to eligible applicant organizations for projects to strengthen and enhance the capacity of nursing and home health aide training programs. This will enable individuals to enter into a nursing or home health aide position and gain entry into the nursing career ladder. Funds may be used for the development, testing, and demonstration of training programs for nursing home aides and home health aides on-campus, at alternate sites, and through distance education methodologies. Restricted Uses: Indirect costs under training grants to organizations other than state, local or Indian tribal governments will be budgeted and reimbursed at 8 percent of modified total direct costs rather than on the basis of a negotiated rate agreement, and are not subject to upward or downward adjustment.

#### **Applicant Eligibility:**

Grants may be made to colleges or community-based training programs for the development, evaluation, and demonstration of training programs on-campus, at alternative sites, and through telehealth methodologies.

#### **Beneficiary Eligibility:**

Beneficiary Eligibility: Students, the general public, etc.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding

decisions.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

#### **Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for three (3) years of support. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0321-0-1-550.

#### **Obligations:**

(Project Grants) FY 11 \$2,380,692; FY 12 est \$2,378,425; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 10 awards:

Range: \$186,623.00 (min) - \$250,000 (max)

Average: \$241,196

FY 11 awards:

Range: \$152,089 (min) - \$250,000 (max)

Average: \$238,069.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Kirk Koyama, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, MD 20857. Telephone: (301) 443-4926.

**Headquarters Office:**

Kirk Koyama Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857 Phone: (301) 443-4926

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement. In making awards of grants under this section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State in local health departments.

**93.504 AFFORDABLE CARE ACT (ACA) FAMILY TO FAMILY HEALTH INFORMATION CENTERS**

F2F HICs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 501(c)(1)(A)(iii), codified at 42 U.S.C. 701(c), as amended by the Patient Protection and Affordable Care Act of 2010, Section 5507(b) (P.L. 111-148).

**OBJECTIVES:**

To carry out special maternal and child health (MCH) projects of regional and national significance for the development and support of Family to Family Health Information Centers. The Family to Family Health Information Centers (A) assist families of children with disabilities or special health care needs to make informed choices about health care in order to promote good treatment decisions, cost-effectiveness, and improved health outcomes for such children; (B) provide information regarding the health care needs of, and resources

available for, such children; (C) identify successful health delivery models for such children; (D) develop with representatives of health care providers, managed care organizations, health care purchasers, and appropriate State agencies, a model for collaboration between families of such children and health professionals; (E) provide training and guidance regarding caring for such children; (F) conduct outreach activities to the families of such children, health professionals, schools, and other appropriate entities and individuals; and (G) are staffed by such families who have expertise in Federal and State public and private health care systems; and by health professionals.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

All funds granted should be expended solely for carrying out the approved project in accordance with Section 501(c)(A) of the Social Security Act.

**Applicant Eligibility:**

Eligible applicants include public and private entities, including an Indian tribe or tribal organization (as those terms are defined at 25 U.S.C. 450b), faith-based organizations, and community-based organizations. The law limits the site of eligible organizations to the 50 States and the District of Columbia. Although Tribes and tribal organizations may apply, they must meet all applicable requirements, including targeting of all CSHCN across the State for services. Applicants must have experience related to the purpose of the program, must have a focus on health for children and youth with special health care needs (CYSHCN) (as defined by the MCH Bureau), and the effort must be family-staffed/run. If an applicant is a family organization with a history of funding that is condition specific or related to education, mental health or developmental disabilities, as with any applicant, evidence of health for the broad CYSHCN population must be evident in their application. Applicants MUST demonstrate that they have EXISTING and effective fiduciary, administrative and management systems. If a different fiduciary agency is needed, such as a university, activities must still be family-staffed/run for the entire grant period.

**Beneficiary Eligibility:**

Projects will benefit (1) public or private agencies, organizations and institutions engaged in activities for CYSHCN; (2) family members and children who receive services through the program; and (3) professionals and trainees who provide services to CYSHCN.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory continuation application.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Competing and competing continuation grant applications are submitted for up to three (3) years of support and is dependent on the availability of appropriated funds for the program in subsequent fiscal years, grantee satisfactory performance, and a decision that continued funding is in the best interest of the Federal government. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit progress, performance and financial reports on the status of the project. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Annual financial reports and annual narrative progress reports. The annual Federal Financial Report (FFR or SF-425 formerly known as the Financial Status Report) is required within 90 days of the end of each budget period. The report is an accounting of expenditures for the project year. It must be submitted online via the HRSA Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. Failure to submit the report may result in the inability to access grant funds. Successful applicants receiving funding are required to electronically complete performance measures and program specific data reports. These reports capture program-related data (e.g., performance measures, budget breakdowns, project abstract, and other grant summary data) and data needed for Government Performance and Results Act (GPRA) of 1993 (P.L. 103-62). The performance measures and program data report must be filed annually depending on the terms and conditions of award. This report must be submitted online via the HRSA Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$4,862,442; FY 12 est \$4,885,842; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards range from \$90,000 to \$95,700. Average award amount is \$95,352.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 51 projects funded for activities supported under this CFDA.

Fiscal Year 2012: 52 projects funded for activities supported under this CFDA.  
Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments or 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. LaQuanta Smalley, MPH, Integrated Services Branch, Division of Services for Children with Special Health Needs, Health Resources and Services Administration, Department of Health and Human Services, Room 13-61, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2372.

**Headquarters Office:**

LaQuanta Smalley 5600 Fishers Lane, Room 13-61, Rockville, Maryland 20857 Email: [L.Smalley@HRSA.gov](mailto:L.Smalley@HRSA.gov) Phone: (301) 443-2372

**Website Address:**

<http://www.mchb.hrsa.gov>

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.127 Emergency Medical Services for Children; 93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth; 93.234 Traumatic Brain Injury State Demonstration Grant Program; 93.251 Universal Newborn Hearing Screening; 93.365 Sickle Cell Treatment Demonstration Program; 93.926 Healthy Start Initiative; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in the Application Review Information in the funding opportunity announcement.

**93.505 AFFORDABLE CARE ACT (ACA) MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING PROGRAM**

ACA Home Visiting Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 511 (42 U.S.C. 711), as amended by Section 2951 of the Patient Protection and Affordable Care Act of 2010 (P.L. 111-148).

**OBJECTIVES:**

The Maternal, Infant, and Early Childhood Home Visiting Program is designed : (1) to strengthen and improve the programs and activities carried out under Title V; (2) to improve coordination of services for at risk communities; and (3) to identify and provide evidence-based home visiting programs to improve outcomes for families who reside in at risk communities.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Assistance can potentially be used for conducting State needs assessments, developing State Plans for home visiting programs and systems, and enhancing States infrastructure for improving coordination of services for at-risk communities and identifying and providing comprehensive services to improve outcomes for families who reside in at-risk communities, as well as for implementing State home visiting service programs. A portion of the funding may not be drawn down until the Needs Assessment and Updated State Plan are

submitted and approved. 100%.

**Applicant Eligibility:**

Eligibility for funding is limited to a single application from each State, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, the Northern Mariana Islands, and American Samoa. The Governor has the responsibility and authority to designate which entity or group of entities will apply for and administer home visiting program funds on behalf of the State or US Territories.

Regardless of the entity or entities designated by the Governor, this application must contain the concurrence and signatures of the:

- Director of the States Title V agency;
- Director of the States agency for Title II of the Child Abuse Prevention and Treatment Act (CAPTA);
- The States child welfare agency (Title IV-E and IV-B), if this agency is not also administering Title II of CAPTA;
- Director of the States Single State Agency for Substance Abuse Services;
- The States Child Care and Development Fund (CCDF) Administrator;
- Director of the States Head Start State Collaboration Office, and
- The States Advisory Council on Early Childhood Education and Care authorized by 642B(b)(1)(A)(i) of the Head Start Act.

**Beneficiary Eligibility:**

Eligible families residing in communities in need of such services, as identified in a State needs assessment

- Low-income eligible families
- Eligible families who are pregnant women under age 21
- Eligible families with a history of child abuse or neglect or have had interactions with child welfare services
- Eligible families with a history of substance abuse or need substance abuse treatment
- Eligible families that have users of tobacco products in the home
- Eligible families that are or have children with low student achievement
- Eligible families with children with developmental delays or disabilities
- Eligible families who, or that include individuals serving or formerly serving in the Armed Forces, including those with members who have had multiple deployments outside the US

Eligible family:

- o A woman who is pregnant, and the father of the child if available, or
- o A parent or primary caregiver of the child, including grandparents or other relatives and foster parents serving as the child's primary caregiver from birth until kindergarten entry, including a noncustodial parent with an ongoing relationship with, and at times provides physical care for the child.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Formula Grants: All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Competitive Grants: All qualified applications will be forwarded to an independent objective review committee. Based on the advice of the independent objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Contact the Headquarters or Regional Office as appropriate for application deadlines or view the specific funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Competing continuation applications may be submitted for continuance of a grant beyond the initial project period.

**Formula and Matching Requirements:**

- This program has no statutory formula.
- This program has no matching requirements.
- This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded to an eligible entity for a fiscal year remain available for expenditure through the end of the second succeeding fiscal year after award. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

Additional information about the availability of funding will be provided in the funding opportunity announcement.

**Reports:**

Grantees are required to submit progress and financial reports on the status of the project using the Electronic Handbooks System (<https://grants.hrsa.gov/webexternal/home.asp>). Refer to the specific funding opportunity announcement for further information. Submit a quarterly electronic Federal Financial Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Successful applicants receiving funding will be required, within 90 days from the end of the project period, to electronically complete the program specific data forms. The requirement includes providing expenditure data for the final year of the project period, the project abstract and award summary data as well as final indicators/scores for the performance measures. A Financial Report is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year. It must be submitted on-line by grantees in the HRSA Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>. More specific information will be included in the award notice. It must be submitted on-line by grantees in the HRSA Electronic Handbooks system at <https://grants.hrsa.gov/webexternal/home.asp>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim,



negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0321-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$4,892,059; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Formula (2012):

\$1,000,000 \$12,735,584 (estimated)

Competitive (2012):

A Expansion \$6,600,000 \$71,900,000

B Development \$2,750,000 \$12,000,000.

C. Non-Profit (North Dakota) up to \$1,589,685

D. Non-Profit (Wyoming) up to \$2,567,800.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Angela Ablorh-Odjidja, JD, MHS ; Health Resources and Services Administration; Maternal and Child Health Bureau; 5600 Fishers Lane, 10-86; Rockville MD 20857; (301) 443-8932; [aablorh-odjidja@hrsa.gov](mailto:aablorh-odjidja@hrsa.gov).

**Headquarters Office:**

Angela Ablorh-Odjidja 5600 Fishers Lane, 10-86, Rockville, Maryland 20857  
Email: [aablorh-odjidja@hrsa.gov](mailto:aablorh-odjidja@hrsa.gov) Phone: (301) 443-8932

**Website Address:**

<http://mchb.hrsa.gov/programs/homevisiting/>

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

In FY2011, awards will be made on both a formula and competitive basis. All formula applications will be reviewed internally by grants management officials (business and financial review) and program staff (technical review) for eligibility, completeness, accuracy, and compliance with the requirements outlined in this announcement. The program review will include the States response to the Program Narrative section of the funding opportunity announcement. Of particular concern will be:

o The capacity and commitment of the entity designated by the Governor to administer an evidence-based home visiting program under the Maternal, Infant, and Early Childhood Home Visiting Program.

o The clarity and feasibility of the States approach to conducting and submitting the needs assessment and the degree to which this approach complies with the specific requirements for an application under this FOA, as outlined above and in accordance with section 511(b) of Title V, as amended by the PPACA.

o The clarity of the States plan for ensuring coordination and collaboration among entities and stakeholders.

o The clarity of the States description of anticipated technical assistance needs.

All competitive applications will be reviewed internally by grants management officials (business and financial review) and program staff (technical review) for eligibility, completeness, accuracy, and compliance with the requirements outlined in this announcement. All qualified applications will be forwarded to an independent objective review committee. Based on the advice of the independent objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. The program review will include the States response to the Program Narrative section of the funding opportunity announcement. Of particular concern will be:

o The capacity and commitment of the entity designated by the Governor to administer an evidence-based home visiting program under the Maternal, Infant, and Early Childhood Home Visiting Program.

o The clarity and feasibility of the States approach to implementing their Updated State Plan based on the needs assessment and the degree to which this approach complies with the specific requirements for an application under this FOA, as outlined above and in accordance with section 511(b) of Title V, as amended by the PPACA.

o The clarity and feasibility of the States approach to implementing the selected Home Visiting Program Priority Elements.

o The clarity of the States plan for ensuring coordination and collaboration among entities and stakeholders.

o The clarity of the States description of anticipated technical assistance needs.

**93.506 ACA NATIONWIDE PROGRAM FOR NATIONAL AND STATE BACKGROUND CHECKS FOR DIRECT PATIENT ACCESS EMPLOYEES OF LONG TERM CARE FACILITIES AND PROVIDERS FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

The Affordable Care Act , Title VI, Part III, Section 6201, Public Law 111-148.

**OBJECTIVES:**

The program is intended to establish a nationwide program to identify efficient, effective, and economical procedures for long term care facilities and providers to conduct background checks on a statewide basis on all prospective direct patient access employees.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

CMS is conducting a nationwide program that will identify efficient, effective and economical procedures for long term care facilities and providers to conduct background checks on prospective direct patient/resident access employees. In order to participate in this nationwide program, a State must guarantee that it will make available non-Federal funds to cover a portion of the cost to be incurred by the State to carry out the program in their State.

**Applicant Eligibility:**

CMS is inviting proposals from all States and U.S. territories to be considered for inclusion in this National Background Check Program which will be in effect through 2012. Federal matching funds are available to all States and U.S. territories.

**Beneficiary Eligibility:**

Beneficiary Eligibility: These facilities and providers include skilled nursing facilities, nursing facilities, home health agencies, hospice care providers, long-term care hospitals, personal care service providers, adult day care providers, residential care providers, assisted living facilities, intermediate care

facilities for the mentally retarded (ICFs/MR) and other entities that provide long-term care services, as specified by each participating State.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Participating States must guarantee non-Federal funds to cover a portion of the cost to conduct the program in their State. CMS will provide a three-to-one match for these funds to each grantee up to a maximum of \$3 million for newly applying states and \$1.5 million for states that previously participated in the pilot program. The participating State must require fingerprint checks as part of the criminal background check for all direct patient access employees. The participating State must have a plan to implement the program (a) statewide and (b) in all long term care entities specified in Section 6201 of the ACA, although the State may phase-in the program over a multi-year period, and the phase-in may be accomplished by geographical location, provider type, or other factors determined by the State.

**Award Procedure:**

This is not a competitive grant. All applying States that provide an application that is scored by the Federal technical panel at 69.5 points or greater shall receive a grant. Applications that score below 69.5 points will not be included as grantees.

Funding for this program shall become effective upon CMS approval application. Grants will be awarded to every State that meets the qualifications and terms of agreement described in this solicitation. This includes providing a satisfactory application that meets all provisions of the Law and scores at least 69.5 points or greater (out of 100) from the Federal technical panel review. Grantees may expect to begin receiving funds within 30 days from the Notice of Grant Award.

**Deadlines:**

Jun 01, 2010 to Jun 30, 2011: Deadline to apply under this solicitation is June 30, 2011. Annual budget proposals for Title XVIII are requested before the beginning of the Fiscal Year (FY) from the appropriate State agency as negotiated with Regional Office.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Matching requirements as specified in Section 6201 (a) (5) of the Affordable Care Act:

**(A) NEWLY PARTICIPATING STATES.**

(i) IN GENERAL.As part of the application submitted by a State under paragraph (1)(A)(iii), the State shall guarantee, with respect to the costs to be incurred by the State in carrying out the nationwide program, that the State will make available (directly or through donations from public or private entities) a particular amount of non-Federal contributions, as a condition of receiving the Federal match under clause (ii).

(ii) FEDERAL MATCH.The payment amount to each State that the Secretary enters into an agreement with under paragraph (1)(A) shall be 3 times the amount that the State guarantees to make available under clause (i), except that in no case may the payment amount exceed \$3,000,000.

**(B) PREVIOUSLY PARTICIPATING STATES.H. R. 3590607**

(i) IN GENERAL.As part of the application submitted by a State under paragraph (1)(B)(iii), the State shall guarantee, with respect to the costs to be incurred by the State in carrying out the nationwide program, that the State will make available (directly or through donations from public or private entities) a particular amount of non-Federal contributions, as a condition of receiving the Federal match under clause (ii).

(ii) FEDERAL MATCH.The payment amount to each State that the Secretary enters into an agreement with under paragraph (1)(B) shall be 3 times the amount that the State guarantees to make available under clause (i), except that in no case may the payment amount exceed \$1,500,000 .

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to 36 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees must also agree to respond to requests that are necessary for the evaluation of the National Background Check Program grant efforts to satisfy the statutory requirements for the Federal evaluation enumerated in Section 6201 of the ACA and provide data on key elements of their Background Check Program grant activities. This will include detailed information on the number of background checks requested by various providers, information gathered in the course of background checks, employment decisions made based on this information and their rationale, whether prospective employees challenge the results of adverse decisions and the outcomes of these challenges. It will also include cost accounting information of sufficient quality to allow reliable calculation of the costs of the various components of the background checks programs. Grantees must agree to fully cooperate with any Federal evaluation of the program and provide quarterly or semi-annually any required program progress and financial reports in a form prescribed by CMS (including the SF-269a, Financial Status Report forms). These reports will be designed to outline how grant funds were used and to describe program progress, as well as barriers and measurable outcomes. CMS will provide a format for reporting. Progress reports are not applicable. Expenditure reports are not applicable. Following the awarding of the grants, grantees must submit an operational protocol. The operational protocol must describe in detail the policies and procedures that the State will follow during the program period. The operational protocol should detail the responsibilities of the providers included in the program; the State government personnel and any additional responsible parties (e.g., contractors) involved in the program. Those who receive grant awards will be provided further detail as to the expected contents of the operational protocol prior to or during the first grantee meeting.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

No Data Available.

**Account Identification:**

75-0509-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$24,800,000; FY 12 est \$15,220,000; and FY 13 est \$30,000,000 - \$70.2 million expected to be obligated for the 36 month period.

**Range and Average of Financial Assistance:**

\$1.5 million to \$3 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Cost Principles, the HHS Grant Policy Statement, OMB Cost Principles, Request for Application (RFA) and Terms and Conditions of Award.

**Regional or Local Office:**

See Regional Agency Offices. Debra Spears CMCS/SCG/DNH.

**Headquarters Office:**

Debra Spears 7500 Security Blvd., Baltimore, Maryland 21244 Email: Debra.Spears@cms.hhs.gov Phone: 410-786-7506

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria are as specified in Section 6201 (a) (1) of the Affordable Care Act:

**(1) AGREEMENTS. H. R. 3590604**

**(A) NEWLY PARTICIPATING STATES.**The Secretary shall enter into agreements with each State

(i) that the Secretary has not entered into an agreement with under subsection (c)(1) of such section 307;

(ii) that agrees to conduct background checks under the nationwide program on a Statewide basis; and

(iii) that submits an application to the Secretary containing such information and at such time as the Secretary may specify.

**(B) CERTAIN PREVIOUSLY PARTICIPATING STATES.**The Secretary shall enter into agreements with each State

(i) that the Secretary has entered into an agreement with under such subsection (c)(1), but only in the case where such agreement did not require the State to conduct background checks under the program established under subsection (a) of such section 307 on a Statewide basis;

(ii) that agrees to conduct background checks under the nationwide program on a Statewide basis; and

(iii) that submits an application to the Secretary containing such information and at such time as the Secretary may specify .

**93.507 PPHF 2012 NATIONAL PUBLIC HEALTH IMPROVEMENT INITIATIVE****FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Act and Prevention and Public Health Fund (PPHF), Section 301 and 317, 42 U.S.C 241 and 247b ; Patient Protection and Affordable Care Act and Prevention and Public Health Fund (PPHF), Title IV, Section 4002, Public Law 111-148.

**OBJECTIVES:**

The National Public Health Improvement Initiative is part of the Centers for Disease Control and Preventions larger effort to increase the performance management capacity of public health departments in order to ensure that public health goals are effectively and efficiently met. On March 30, 2010, President Obama signed into law the Affordable Care Act (ACA) (PL 111-148).

This legislation established a Prevention and Public Health Fund (Title IV, Section 4002) to provide for expanded and sustained national investment in prevention and public sector health care costs. ACA and the Prevention and Public Health Fund make improving public health a priority with investments to improve public health services, establish meaningful and measurable health indicators, and to achieve long-term improvement in health outcomes. The 5-year Strengthening Public Health Infrastructure for Improved Health Outcomes cooperative agreement program is designed to support innovative changes in key areas that improve the quality, effectiveness and efficiency of the public health infrastructure to better enable the delivery of public health services and programs as specified within ACA. In this continuation announcement, the CDC proposes to award approximately \$33.7 million to usfund 74 grantees using a formula. Eligible applicants are limited to current Awardees.

In this continuation funding is available to ALL current awardees to provide support for:

accelerating public health accreditation readiness activities  
providing additional support for performance management and improvement practices and,  
developing, identifying and disseminating innovative and evidence-based policies and practices.

This program supports the Healthy People 2020 focus area of addressing Public Health Infrastructure (<http://www.healthypeople.gov/hp2020/>).

Cross-jurisdictional (state, local, tribal, territorial, regional, community, and border) collaborations are encouraged to increase the impact of limited resources, improve efficiency, and to leverage other related health reform efforts/projects.

Measurable outcomes of the program align with the following performance goals:

- 1) Increased efficiencies of program operations,
- 2) Increased use of evidence-based policies and practices, and,
- 3) Increased readiness for applying to and achieving accreditation by the Public Health Accreditation Board PHAB. (More information on accreditation activities can be found on the PHAB web site at <http://www.phaboard.org/>).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, and the implementation of other program elements to strengthen State, Tribal, Local, and Territorial public health core infrastructure. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

**Applicant Eligibility:**

Eligible applicants include all 50 states, Washington, D.C., 9 large local health departments supporting cities with populations of 1 million or more inhabitants (Chicago, Illinois; Dallas, Texas; Houston Texas; Los Angeles, California; New York City, New York; Philadelphia, Pennsylvania; Phoenix, Arizona; San Antonio, Texas; San Diego, California), 5 U.S. Territories 3 U.S. Affiliated Pacific Islands, and up to 7 federally-recognized tribes with an established public health departments structure (or their equivalent) that provide public health services to their tribal members or their bona fide agents.

**Beneficiary Eligibility:**

State health departments, large local health departments supporting cities with populations of 1 million or more inhabitants, the District of Columbia, U.S. Territories, tribal health organizations and the general public.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov)

**Award Procedure:**

Applications that are complete and responsive will be evaluated for scientific

and technical merit and receive support. CDC will not review incomplete and non-responsive applications. Applications that are complete and responsive will undergo an objective review process, receive a written critique and be scored according to the published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer. Initial award provides funds for the first budget period (usually 12 months) and the NOA will indicate support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Each funded applicant must provide an interim and annual progress report. The interim progress report is due no less than 90 days before the end of the specified budget period. The Interim Progress Report will serve as the non-competing continuation application. Semi-annual progress reports are also required. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are required, no more than 90 days after the end of the project period. No later than 10 days after the end of each calendar quarter, starting with the quarter ending December 31, 2010 and reporting by January 10, 2010 the recipients must submit a calendar quarter cash transaction report (SF-272 or top portion of the SF-425 Financial Report Form) to the Payment Management System (PMS). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$33,568,532; FY 12 est \$33,500,000; and FY 13 est \$33,500,000

**Range and Average of Financial Assistance:**

Component I: This amount is based on population and will continue for each year of the cooperative agreement:

Below 1.5 million = \$100,000  
1.5 million - 5 million = \$200,000  
5 million - 8 million = \$300,000  
Above 8 million = \$400,000.

Component II: \$1M - \$2.95M.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: . Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhsolicy.htm>

**Regional or Local Office:**

See Regional Agency Offices. Local Office - Program Contact: Kristin Brusuelas, Branch Chief, Government Relations Branch, Office for State, Tribal, Local and Territorial Support, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE, Mailstop K86, Atlanta, GA 30333. Telephone: (770) 488-1624. Fax: (770) 488-1600. E-mail: [KMB0@cdc.gov](mailto:KMB0@cdc.gov); Grants Management Contact: Annie Camacho- Harrison, Procurement and Grants Office, Center for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Room 1126, Atlanta, GA 30341. Telephone: (770) 488-2098.

**Headquarters Office:**

Andrea Wooddall 2500 Century Pkwy, Atlanta, Georgia 30329 Email: [ayw3@cdc.gov](mailto:ayw3@cdc.gov) Phone: (404) 498-6792

**Website Address:**

<http://www.cdc.gov>; [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) clearly provide a plan that include quantitative process and outcome measures (2) provide adequate and clear information to enable the reviewer to gain a reasonable understanding of the applicants recent and current efforts to address the issues and (3) provide a realistic plan with activities that can be achieved in year one and subsequent years. Other criteria will be listed in the individual funding opportunity announcement.

**93.508 AFFORDABLE CARE ACT (ACA) TRIBAL MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING PROGRAM**

Tribal Home Visiting (HV) Program and Tribal Research Center on Early Childhood (TRCEC)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act as amended by the Patient Protection and Affordable Care Act, Title V, Section 511(h)(2)(A); Head Start Act as Amended by Improving Head Start for School Readiness Act, Section 648, 42 U.S.C 9843-9844; Social Security Act as amended by the Patient Protection and Affordable Care Act, Title V, Section 511(h)(3) & (j).

**OBJECTIVES:**

The Tribal Maternal, Infant, and Early Childhood Home Visiting Program (TMIECHV) is being administered by The Administration for Children and Families (ACF), Office of Child Care (OCC), in collaboration with the Health Resources and Services Administration (HRSA) and is supported by Affordable Care Act (ACA). Assistance is available to eligible Tribes (or consortia of Tribes), Tribal Organizations, and Urban Indian Organizations, to strengthen and improve maternal and child health programs, improve service coordination for at-risk communities, and identify and provide comprehensive evidence-based home visiting services to families who reside in at-risk communities.

The ACF, Office of Planning, Research and Evaluation (OPRE), in collaboration with HRSA, is administering the Tribal Research Center for Early Childhood (TRCEC), which will provide leadership and support to promote excellence in community-based participatory research and evaluation of ACF early childhood initiatives that serve Tribal communities (i.e., Home Visiting, Head Start, Early Head Start). The TRCEC is expected to engage in a variety of activities that are designed to identify and develop effective practices and systems for home visiting, Head Start, and Early Head Start programs in Tribal communities; to establish the culturally meaningful processes and outcomes of those programs; to build research capacity within Tribal communities; and to build the capacity of researchers to conduct research and evaluation in partnership with Tribal communities. TRCEC will provide leadership and support to promote excellence in community-based research and evaluation of Tribal MIECHV, Head Start, and EHS initiatives that serve AI/AN children and families. TRCEC is expected to engage in activities that support the identification and development of effective practices and systems for integrated services for Tribal MIECHV, Head Start, and EHS in tribal communities.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Assistance for the Tribal HV Program will be used to: conduct a needs assessment that considers community characteristics and the quality and capacity of existing home visiting programs and other supportive services; is coordinated with other relevant needs assessments; and involves community stakeholders as appropriate; collaborative planning efforts to address identified needs by developing capacity and infrastructure; providing high-quality, evidence-based home visiting services to pregnant women and families with young children aged birth to kindergarten entry; and conducting rigorous local evaluations that may include examining effectiveness of home visiting models in serving Tribal populations, adaptations of home visiting models for Tribal communities, or questions regarding implementation of infrastructure necessary to support evidence-based home visitation models in Tribal communities.

Consistent with statutory authority, Home Visiting funds for the TRCEC will be used for: (a) activities to promote excellence in research and evaluation of Tribal MIECHV programs in tribal communities; and (b) measurement development activities that will expand the evidence base around home visiting programs for AI/AN populations. Consistent with the relevant statutory authority, Head Start funds for the TRCEC will be used for research and evaluation activities to: (a) foster continuous improvement in the quality of the Head Start programs and in their effectiveness in enabling participating AI/AN children and their families to succeed in school and otherwise; and (b) develop, test, and disseminate new ideas based on existing scientifically valid research, for addressing the needs of AI/AN children and their families and communities. Costs of organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are unallowable.

Grant awards will not allow reimbursement of pre-award costs.

Construction and purchase of real property are not allowable activities or expenditures under this grant award.

The statute requires that grantees supplement and not supplant funds from other HV initiatives.

Awards issued under this announcement are subject to the uniform

administrative requirements and cost principles of 45 CFR Part 74 (Awards and Subawards to Institutions of Higher Education, Hospitals, Other Non-Profit Organizations, and Commercial Organizations), or 45 CFR Part 92 (Grants and Cooperative Agreements to State, Local, and Tribal Governments).

An application funded with the release of Federal funds through a grant award, does not constitute, or imply, compliance with Federal regulations. Funded organizations are responsible for ensuring that their activities comply with all applicable Federal regulations.

Grantees are subject to the limitations set forth in 45 CFR Part 74.81 (Prohibition against profit), which states that, "... no HHS funds may be paid as profit to any recipient even if the recipient is a commercial organization. Profit is any amount in excess of allowable direct and indirect costs."

Grantees are also subject to the requirements of 45 CFR Part 87, Equal Treatment for Faith-Based Organizations: "Direct Federal grants, sub-award funds, or contracts under this ACF program shall not be used to support inherently religious activities such as religious instruction, worship, or proselytization. Therefore, organizations must take steps to separate, in time or location, their inherently religious activities from the services funded under this program. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which includes the prohibition against Federal funding of inherently religious activities, can be found at the HHS web site at: <http://www.hhs.gov/fbc/waisgate21.pdf>.

A faith-based organization receiving HHS funds retains its independence from Federal, State, and local governments, and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs. For example, a faith-based organization may use space in its facilities to provide secular programs or services funded with Federal funds without removing religious art, icons, scriptures, or other religious symbols. In addition, a faith-based organization that receives Federal funds retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents in accordance with all program requirements, statutes, and other applicable requirements governing the conduct of HHS funded activities." Additional information on "Understanding the Regulations Related to the Faith-Based and Community Initiative" can be found at: <http://www.hhs.gov/fbc/regulations/index.html>.

The Code of Federal Regulations (CFR) is available at <http://www.gpoaccess.gov/CFR/>.

Awards issued under this announcement are subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to [http://www.acf.hhs.gov/grants/award\\_term.html](http://www.acf.hhs.gov/grants/award_term.html).

TRCEC awards are subject to the availability of Federal funds. Please note that funds for MIECHV are not currently appropriated for the full length of the identified project period.

The Federal share of TRCEC project costs shall not exceed \$600,000 for any of the 12-month budget periods, inclusive of indirect costs (\$250,000 will be from the Tribal HV Program and \$350,000 will be from Head Start research funds).

Funds and their associated activities/costs supported by funds from MIECHV Tribal Home Visiting and OHS for the TRCEC must be tracked separately; and must be accounted for on an ongoing basis and expenditures attributed to either Tribal HV or Head Start portions of the project. All funds are discretionary under these programs.

#### **Applicant Eligibility:**

Only Tribes (or a consortium of Indian Tribes), Tribal Organizations, or Urban Indian Organizations, as defined by Section 4 of the Indian Health Care Improvement Act, Public Law 94-437, are eligible applicants for the Tribal HV Grant Program.

For the TRCEC, only the following are eligible applicants: a) public and State controlled institutions of higher education; b) nonprofits having a 501(3)(3) status with the IRS, other than institutions of higher education; c) nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education; (d) private institutions of higher education; e) for profit organizations other than small businesses; and f) small businesses.

**Beneficiary Eligibility:**

For the Tribal HV program:

Eligible families residing in at-risk American Indian/Alaskan Native communities in need of such services, as identified in a needs assessment;

Low-income eligible families;

Eligible families who are pregnant women under age 21;

Eligible families with a history of child abuse or neglect or have had interactions with child welfare services;

Eligible families with a history of substance abuse or need substance abuse treatment;

Eligible families that have users of tobacco products in the home;

Eligible families that are or have children with low student achievement;

Eligible families with children with developmental delays or disabilities; and

Eligible families who, or that include individuals serving or formerly serving in the Armed Forces, including those with members who have had multiple deployments outside the US.

Eligible family:

A woman who is pregnant, and the father of the child if available, or

A parent or primary caregiver of the child, including grandparents or other relatives and foster parents serving as the child's primary caregiver from birth until kindergarten entry, including a noncustodial parent with an ongoing relationship with, and at times provides physical care for the child.

**Credentials/Documentation:**

Applicants should review each of the individual funding opportunity announcements issued under this CFDA program for any required proof or certifications, which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants should review each of the individual funding opportunity announcements issued under this CFDA program for any additional application procedures, which must be followed when submitting an application package.

**Award Procedure:**

For the Tribal HV program: each application will be screened to determine whether it was received by the closing date and time and whether the requested amount exceeds the award ceiling. Applications that are designated as late or those with requests that exceed the award ceiling will be returned to the applicant with a notation that they were deemed non-responsive and will not be reviewed.

Applications competing for financial assistance will be reviewed and evaluated by objective review panels using the criteria described in the funding opportunity announcement. Each panel is made up of experts with knowledge and experience in the area under review. Generally, review panels are composed of three reviewers and one chairperson.

Results of the competitive objective review are taken into consideration by ACF in the selection of projects for funding; however, objective review scores and rankings are not binding and are one element of the decision-making process.

ACF may elect to not fund applicants with management or financial problems

that would indicate an inability to successfully complete the proposed project. Applications may be funded in whole or in part. Successful applicants may be funded at an amount lower than that requested. ACF reserves the right to consider a preference to fund organizations serving emerging, unserved, or under-served populations, including those located in pockets of poverty, and to consider the geographic distribution of Federal funds in its funding decisions.

ACF may refuse funding for projects with what it regards as unreasonably high start-up costs for facilities or equipment, or for projects with unreasonably high operating costs. In addition, federal staff will conduct an administrative review of the applications and the results of the competitive review and will make recommendations for funding to the Director, Office of Child Care (OCC) With the results of the competitive review and information from federal staff, the Director of OCC, in consultation with Deputy Assistant Secretary and Inter-Departmental Liaison for Early Childhood Development, will make the final funding decisions.

For the TRCEC, grant awards are subject to the availability of Federal funds. Note that funds for the Tribal MIECHV are not appropriated for the full length of the specified project period.

The Federal share of project costs shall not exceed \$600,000 for any of the 12-month budget periods, inclusive of indirect costs (\$250,000 will be from the Tribal MIECHV Program and \$350,000 will be from Head Start research funds). Consistent with statutory authority, Home Visiting funds will be used for: (a) activities to promote excellence in research and evaluation of Tribal MIECHV programs in tribal communities; and (b) measurement development activities that will expand the evidence base around home visiting programs for AI/AN populations. Consistent with the relevant statutory authority, Head Start funds will be used for research and evaluation activities to: (a) foster continuous improvement in the quality of the Head Start programs and in their effectiveness in enabling participating AI/AN children and their families to succeed in school and otherwise; and (b) develop, test, and disseminate new ideas based on existing scientifically valid research, for addressing the needs of AI/AN children and their families and communities.

No grant award will be made under this announcement on the basis of an incomplete application. No grant award will be made to an applicant or sub-recipient that does not have active CCR registration ([www.ccr.gov](http://www.ccr.gov) or 1-866-606-8220).

Each application will be screened to determine whether it was received by the closing date and time and whether the requested amount exceeds the award ceiling. Applications that are designated as late, or those with requests that exceed the award ceiling, will receive a screen-out letter noting that the application was deemed non-responsive and will not be considered for competitive review or funding. For those applications that have been deemed disqualified under the initial ACF screening, notice will be given of such determination by postal mail.

Applications competing for financial assistance will be reviewed and evaluated by objective review panels using the criteria described in the funding opportunity announcement. Each panel is made up of experts with knowledge and experience in the area under review. Generally, review panels are composed of three reviewers and one chairperson.

Results of the competitive objective review are taken into consideration by ACF in the selection of projects for funding; however, objective review scores and rankings are not binding. They are one element in the decision-making process.

Applications recommended for approval that were not funded under the competition because of the lack of available funds, may be held over by ACF and re-considered in a subsequent review cycle if a future competition under the program area is planned. These applications will be held over for a period of up to one year and will be re-competed for funding with all other competing applications in the next available review cycle. For those applications that have been deemed as approved but unfunded, notice will be given of such determination by postal mail.

Announcement of awards and the disposition of applications will be provided to applicants at a later date.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. For the the TRCEC, successful applicants will be notified through the issuance of a Financial Assistance Award (FAA) document that sets forth the amount of funds granted, the terms and conditions of the grant, the effective date of the grant, the budget period for which initial support will be given, the non-Federal share to be provided (if applicable), and the total project period for which support is contemplated. The FAA will be signed by the Grants Officer and transmitted via postal mail. Following the finalization of funding decisions, organizations whose applications will not be funded will be notified by letter, signed by the Program Office head.

Other correspondence announcing to a Principal Investigator or Project Director that an application was selected is not an authorization to begin performance. Costs incurred before receipt of a FAA are at the recipient's risk and may be reimbursed only to extent considered allowable as approved pre-award costs.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

For the Tribal HV, grants (cooperative agreements) are generally awarded for a 5-year project period. In the first year of the project, grants will be awarded on a competitive basis. Pending successful completion of Year 1 activities, submission of a plan that meets requirements, and approval of this plan, applications will be considered on a noncompetitive continuation basis for Years 2-5 subject to availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. Grants will be awarded for 12-month budget periods with a 5-year project period.

Funds awarded to grantees under this program will be made available for expenditure through the end of the second succeeding fiscal year after award.

For the TRCEC, grants (cooperative agreements) are generally awarded with a project period of up to five years. The initial award will be for the first 12-month budget period. Budget requests for the second through fifth year of funding within the project period should be identified in the current application (on SF-424A), but such requests will be considered in subsequent years on a noncompetitive basis, subject to the applicant's eligibility status, the availability of funds, satisfactory progress of the grantee, and a determination that continued funding would be in the best interest of the Federal Government. Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees under this announcement will be required to submit performance progress and financial reports periodically throughout the project period.

The frequency of required reporting is described in each funding opportunity announcement. Final reports may be submitted in hard copy to the Grants Management Office Contact identifiable post-award. Instructions on submission of reports electronically will be provided with award documents.

ACF grantees are required to submit the SF-PPR Cover Page. ACF Programs that utilize reporting forms or formats in addition to, or instead of, the SF-PPR have listed the reporting requirements.

Grant award documents will inform grantees of the appropriate performance progress report form or format to use. Grantees should consult their award documents to determine the appropriate performance progress report format required under their award. Performance progress reports are due 30 days after the end of the reporting period.

Final program performance reports are due 90 days after the close of the project period. The SF-PPR may be found at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html).

Further instructions will be provided, as necessary, with award terms and conditions that will address specific reporting periods and due dates on an award-by-award basis. Additional information on frequency of reporting is available on the ACF Funding Opportunities web site at [http://www.acf.hhs.gov/grants/msg\\_sf425.html](http://www.acf.hhs.gov/grants/msg_sf425.html). Federal Financial Report (FFR) - Federal Cash Transaction Report. Progress reports are not applicable. As of February 1, 2011, the Department of Health and Human Services (HHS) began the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the ACF will return it and require the recipient to complete the SF-425.

The transition strategy is allowing individual HHS Operating Divisions to select--from a limited number of options--the approach that best fits their programs and business process. This transition does not affect completion or submission of the cash reporting to the HHS Division of Payment Management's Payment Management System (PMS). The primary features of this transition for recipients are that OPDIVs that previously required electronic submission of the SF-269 will receive the SF-425 expenditure reports electronically and, until further notice, OPDIVs that have been receiving expenditure reports in hard copy will continue to do so.

All expenditure reports will be due on one of the standard due dates by which cash reporting is required to be submitted to PMS OR at the end of a calendar quarter as determined by the Operating Division. As a result, a recipient that receives awards from more than one OPDIV may be subject to more than one approach, but will not be required to change its current means of submission or be subjected to more than eight standard due dates.

Beginning with budget periods which end from January 1 - March 31, 2011, and for all budget periods thereafter, all affected ACF grantees will be required to submit an SF-425 report as frequently as is required in the terms and conditions of their award using due dates for reports to PMS.

Fillable versions of the SF-425 form in Adobe PDF and MS-Excel formats, along with instructions, are available at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms), [www.forms.gov](http://www.forms.gov), and on the ACF Funding Opportunity website Forms page.

Further instructions will be provided, as necessary, with award terms and conditions that will address specific reporting periods and due dates on an award-by-award basis. Additional information on frequency of reporting is available on the ACF Funding Opportunities web site at [http://www.acf.hhs.gov/grants/msg\\_sf425.html](http://www.acf.hhs.gov/grants/msg_sf425.html).

Awards issued as a result of this funding opportunity may be subject to the Transparency Act subaward and executive compensation reporting requirements of 2 C.F.R. Part 170. See ACF's Award Term for Federal Financial Accountability and Transparency Act (FFATA) Subaward and Executive Compensation Reporting Requirement implementing this requirement and additional award applicability information. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. None.

**Records:**

Awards issued under this program are subject to the uniform administrative requirements of 45 CFR Part 74 (Awards And Subawards To Institutions Of Higher Education, Hospitals, Other Nonprofit Organizations, And Commercial Organizations) or 45 CFR Part 92 (Grants And Cooperative Agreements To State, Local, And Tribal Governments).

**Account Identification:**

75-0321-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$7,500,000; FY 12 est \$10,500,000; and FY 13 est \$12,000,000 - All funding is available through the Affordable Care Act.

ACA Funding Data for the Tribal HV: Three percent of annual appropriations under Section 511(h)(2)(A) of Title V of the Social Security Act, as amended by Section 2951 of the Affordable Care Act (ACA) (Public Law 111-148) shall be reserved for purposes of making grants to eligible entities that are Indian Tribes (or a consortium of Indian Tribes), Tribal organizations, or Urban Indian Organizations. Tribes (or a consortium of Indian Tribes), Tribal Organizations, or Urban Indian Organizations are those defined by Section 4 of the Indian Health Care Improvement Act, Public Law 94-437.

\$3,000,000 ACA funds were obligated in FY10 for Tribal home visiting grants; \$7,500,000 ACA funds were obligated in FY11 for Tribal home visiting grants; Estimated \$10,500,000 ACA funds will be obligated in FY12 for Tribal home visiting grants; and Estimated \$12,000,000 ACA funds will be obligated in FY 13 for Tribal home visiting grants.

For the TRCEC:

None was awarded in FY 10;  
\$250,000 was awarded in FY 11;  
\$350,000 was awarded in FY12;  
\$350,000 is estimated to be awarded in FY 13.

**Range and Average of Financial Assistance:**

For the Tribal HV, the range of funding is \$100,000-\$500,000 per budget period.

For the TRCEC, the range of funding is up to \$600,000 per budget period and the average is \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 19 Tribal HV grants were awarded in FY 2011 .  
The TRCEC awarded one grant in FY 2011. Fiscal Year 2012: It is estimated that 26 Tribal HV grants will be awarded in FY 2012.  
One TRCEC grant will be awarded in FY 2012. Fiscal Year 2013: It is estimated that 26 Tribal HV grants will be awarded in FY 2013.  
It is estimated that one TRCEC grant will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carol Gage Child Care Bureau, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W. , Washington, District of Columbia 20447 Email: carol.gage@acf.hhs.gov Phone: 202-690-6243 Fax: 202-690-5600

**Website Address:**

<http://www.acf.hhs.gov/programs>

**RELATED PROGRAMS:**

93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in each funding opportunity announcement.

**93.509 AFFORDABLE CARE ACT (ACA) STATE HEALTH CARE WORKFORCE DEVELOPMENT GRANTS**

ACA State Health Care Workforce Development Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 5102 of the Affordable Care Act; and section 4002 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The primary focus of this program is to address health workforce shortages within each State and nationally. Of secondary importance but essential in order to develop viable Statewide plans and identify key shortage areas, is the need to support the development of uniform data collection across States on licensed health professionals. This uniform data collection will be used to develop baseline numbers on the current supply of the health care workforce in order to evaluate the impact and success of this program. Efforts to develop and implement State health care workforce plans across State and Federal organizations (including the Departments of Health and Human Services, Labor, and Education) should result in increases in the number of health care providers available to address the nations health care needs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may only be used to for the purposes of enabling (1) State partnerships to complete comprehensive health care workforce development planning and (2) to implement those plans or carry out activities as defined by the State application in order to address current and projected workforce demands within the State. Applicants may not receive both a planning and an implementation award. Funds will be competitively awarded in the form of discretionary grants.

**Applicant Eligibility:**

Planning Grant Eligibility -- To be eligible to receive a planning grant, a State must have an eligible partnership. An eligible partnership is a State Workforce Investment Board, that includes or modifies the members to include at least one representative from each of the following: health care employer, labor organization, a public 2-year institution of higher education, a public 4-year institution of higher education, the recognized State federation of labor, the State public secondary education agency, the State P16 or P20 Council (statewide assemblies of education, business, and community leaders charged with developing strategies to better coordinate, integrate, and improve education for preschool through college students), if such a council exists, and a philanthropic organization that is actively engaged in providing learning, mentoring, and work opportunities to recruit, educate, and train individuals for, and retain individuals in, careers in health care and related industries.

Implementation Grants Eligibility. To be eligible for an implementation grant, a State partnership (including the members stated above) shall have (1) received a planning grant as specified under subsection (c) of Section 5102, P.L. 111-148 and completed all requirements of such grant; or (2) completed a satisfactory application, including a plan to coordinate with required partners and complete the required activities during the two year period of the implementation grant.

**Beneficiary Eligibility:**

Those who will ultimately benefit from these grants are the local, rural, State, and Federal legislators and policy makers who will receive the information needed with which to make health workforce decisions.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or



certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Planning Grants Match -- Each State partnership receiving a planning grant shall provide an amount, in cash or in kind, that is not less than 15 percent of the amount of the grant, to carry out the activities supported by the grant. The matching requirement may be provided from funds available under other Federal, State, local or private sources to carry out the activities.

Implementation Grants Match -- Each State partnership receiving an implementation grant shall provide an amount, in cash or in kind that is not less than 25 percent of the amount of the grant, to carry out the activities supported by the grant. The matching funds may be provided from funds available from other Federal, State, local, or private sources to carry out such activities. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Planning grants will be awarded for a period of one year. Implementation grants will be awarded for a period of two years, except in those cases where the Health Resources and Services Administration (HRSA) determines that the grantee is high performing and the activities supported by the grant warrant up to 1 additional year of funding. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act

(FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-055.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Planning Grant: \$150,000 maximum per award. One-year project period. Implementation Grant: \$2,500,000 average per award. Two-year project period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Virginia Sutton, 5600 Fishers Lane, Room 9A-49, Rockville, Maryland 20857 Phone: (301) 443-0078.

**Headquarters Office:**

Virginia Sutton 5600 Fishers Lane, Room 9A-49, Rockville, Maryland 20857 Phone: (301) 443-0078.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement.

**93.510 AFFORDABLE CARE ACT (ACA) PRIMARY CARE RESIDENCY EXPANSION PROGRAM**

ACA PCRE

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 747, as amended by the Patient Protection and Affordable Care Act (Public Law 111-148); and the Public Health Prevention Act Section 4002, Conference Report, H. Rept. 111-366, Division D (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, Public Law 111-117.

**OBJECTIVES:**

The Primary Care Residency Expansion program is a five-year initiative to increase the number of physicians trained in family medicine, general internal medicine, and general pediatrics residency programs. Grantees are primary care residency programs that commit to increasing their number of training positions by one to four new post-graduate year one positions for five consecutive years. Awards facilitate this expansion by providing \$80,000 per expanded position per year.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Awards may only be used to fund an accredited family medicine, general internal medicine, or general pediatric residency program. Applicants may request support for only one residency program (discipline).

Approved uses of Primary Care Residency Expansion grant funds are resident salary including fringe benefits and indirect costs, training expenses, and resident physician travel. Personnel, staffing, consultant cost, equipment, supplies, subcontracts and other items are strictly prohibited under this grant award.

**Applicant Eligibility:**

Eligible applicants include public or nonprofit private hospitals, schools of medicine or osteopathic medicine or a public or private nonprofit entity of which the Secretary has determined is capable of carrying out such grants. Applicants may request support for only one residency program (discipline).

**Beneficiary Eligibility:**

Primary care residency training programs in family medicine, general internal medicine, and general pediatrics.

Project participants (residents) must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are funded for five (5) years of support. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Awards were funded for five years under ACA in FY 10.

**Range and Average of Financial Assistance:**

Total award amounts range from \$960,000 to \$3,840,000 per grantee. The average total award for the 5 year project period is \$1,440,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The most recent competition concluded on July 19, 2010. 80 of the 82 original grantees successfully filled their additional post graduate year 1 (PGY1) residency positions in the 2011 National Residency Matching Program. These 80 grantees will enroll 864 additional primary care resident physicians from 2011 to 2015 in 28 states. Fiscal Year 2012: 78 remaining grantees will enroll 844 additional primary care residents from 2011 to 2015 in 27 states. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Lt. Cindy Eugene, MSA, Public Health Analyst, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857, Telephone: (301) 443-3870, Fax: 301-443-8890, Email: [CEugene@hrsa.gov](mailto:CEugene@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry, Bureau of Health Professions, HRSA, DHHS 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-6190 Fax: (301) 443-8890

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Procedures for assessing the technical merit of grant applications have been instituted to provide an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Competing applications are reviewed by nonfederal reviewers for technical merit recommendations.

**93.511 AFFORDABLE CARE ACT (ACA) GRANTS TO STATES FOR HEALTH INSURANCE PREMIUM REVIEW**

Premium Review Grants

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordability Care Act, Section 1003.

**OBJECTIVES:**

A program to assist States in a) in reviewing and, if appropriate under State law, approving premium increases for health insurance coverage, and b) in providing information and certain data requirements to the HHS Secretary on premium increase patterns c) grant funds may also be used to establish data centers that will compile and publish fee schedule information.

Refer to funding opportunity announcement for additional information.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant funds are to be used as outlined in Section 1003 of the Affordable Care Act (ACA). Grant funds that are not fully obligated under this, or subsequent grant programs authorized under Section 1003 of the ACA, by FY 2014 can remain available to the Secretary for grants to States for planning and implementing the insurance reforms and consumer protections outlined in Section 1003 of the ACA.

**Applicant Eligibility:**

Grants to States' (including the District of Columbia) Department of Insurance for premium review.

**Beneficiary Eligibility:**

Grants to States' Department of Insurance for premium review.

**Credentials/Documentation:**

Applicants should review the OCIIO funding opportunity announcement documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). The Office of Consumer Information and Insurance Oversight requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the OCIIO program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Section 1003 of the ACA provides for a 5-year program of grants to states for premium review; subsequent grants under Section 1003 will be awarded on an annual basis.

Refer to funding opportunity announcement for additional information on subsequent grants awarded for premium review authorized under Section 1003 of ACA.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grant funding for this funding opportunity announcement will be available for the remainder of FY 2010 and FY 2011. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual program reports, annual program service reports, and special data reports as required in the funding opportunity announcement. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures

against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Annual financial reports and annual narrative progress reports are required. Submit a Financial Status Report (FSR or SF-269) directly to OS. The report identifies cash expenditures against the authorized funds for the grant. The Financial Status Report must be filed semi-annually or annually depending on the terms and conditions of award. Failure to submit the report may result in the inability to access grant funds. As described in the funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0112-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$114,058,000; FY 12 est \$65,000,000; and FY 13 est \$32,288,000

**Range and Average of Financial Assistance:**

\$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments or 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

OCHIO awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://dhhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Jacqueline R. Roche, Department of Health and Human Services, 200 Independence Avenue, SW, Hubert H. Humphrey Building, Washington DC, District of Columbia 20201 Email: [jacqueline.roche@hhs.gov](mailto:jacqueline.roche@hhs.gov) Phone: (202) 260-6094.

**Website Address:**

<http://www.hhs.gov/ocio>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in Section V--Application Review in the funding opportunity announcement.

**93.512 AFFORDABLE CARE ACT (ACA) PERSONAL AND HOME**

**CARE AIDE STATE TRAINING PROGRAM (PHCAST)**

ACA PHCAST

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 2008 (b) of the Social Security Act, as added by section 5507 (b) of the Affordable Care Act; and section 4002 of the Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

To train individuals as qualified personal and home care aides to provide care in complex health care environments such as home healthcare services, residential care facilities, and private households. Grants will be made to State entities to conduct demonstration projects for purposes of developing core training competencies and certification programs for personal and home care aides. The program helps to ensure that we have competent personal and home care aides with acquired skills that would be transportable to any job market in the Nation, thus strengthening the direct-care worker workforce.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Infrastructure training grants are awarded to eligible applicant organizations for projects to strengthen and enhance the capacity of personal and home care aide training programs. This will enable individuals to enter into a personal and/or home care aide position. Funds may be used for the development, evaluation, and demonstration of training programs for personal and/or home care aides on-campus, at alternate sites, and through distance education methodologies. Restricted Uses: Indirect costs under training grants to organizations other than state, local or Indian tribal governments will be budgeted and reimbursed at 8 percent of modified total direct costs rather than on the basis of a negotiated rate agreement, and are not subject to upward or downward adjustment.

**Applicant Eligibility:**

Eligible entities are States, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, Northern Mariana Islands, and American Samoa. Within the eligible entity, the Governor may designate the appropriate state agency to administer the program, such as a state health department or state workforce investment board.

**Beneficiary Eligibility:**

Project participants, or students in the demonstration program, must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible. Participating States would be responsible for the recruitment of a minimum number of eligible health and long-term care providers to participate in the project.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from [Grants.gov](http://Grants.gov). HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications are forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding

decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Competing grant applications are submitted for three (3) years of support. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. Awardees are required to report all federally-owned property and acquired equipment with a New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. A progress report must be submitted to HRSA on an annual basis. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$4,443,463; FY 12 est \$4,364,325; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY10 awards: Range: \$578,745 (min) - \$749,960 (max)  
Average: \$702,240

FY11 awards: Range: \$703,162 (min) - \$750,000 (max)  
Average: \$740,577.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Kirk Koyama, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, MD 20857. Telephone: (301) 443-4926, Email: [kkoyama@hrsa.gov](mailto:kkoyama@hrsa.gov).

**Headquarters Office:**

Kirk Koyama 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857  
Email: [kkoyama@hrsa.gov](mailto:kkoyama@hrsa.gov) Phone: (301) 443-4926

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal review panels for technical merit recommendations. Approval of an application is based on an analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement.

**93.513 AFFORDABLE CARE ACT (ACA) ADVANCED NURSING EDUCATION EXPANSION INITIATIVE**

ACA ANEE

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 811 of the Public Health Service Act (42 U.S.C. 296j), as amended by the Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The purpose of the Advanced Nursing Education Expansion (ANEE) Initiative is to 1) increase the number of students enrolled full time in accredited primary care Nurse Practitioner and Nurse Midwifery programs, and 2) accelerate the graduation of part time student in such programs by encouraging full time enrollment.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The grantee is responsible for the disbursement of grant funds to eligible students. Stipend grant funds may be used as follows:

- 1) ANEE grant funds are used to support stipends awarded under the terms of the Notice of Award.
- 2) Stipends for students cannot exceed \$22,000 per year.
- 3) Full tuition and fees, reasonable living expenses and other educational costs are allowable costs.
- 4) Trainee travel (including daily commuting costs) is not an allowable expense.

5) Indirect Costs (Facilities and Administrative - F&A Costs) are applicable to the ANEE Program.

**Applicant Eligibility:**

Eligible applicants are collegiate schools of nursing, academic health centers, and other private or public entities accredited by a national nursing accrediting agency recognized by the Secretary of the U.S. Department of Education that offers and has students enrolled in primary care nurse practitioner programs and/or a nurse-midwifery program. The nurse midwifery program must be accredited by the Accreditation Commission on Midwifery Education.

**Beneficiary Eligibility:**

Project participants (students) must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or accreditation which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant application and required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is for up to 5 years and the total 5-year budget period is awarded in the first year of support. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report

is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. Awardees are required to report all federally-owned property and acquired equipment with an New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Funds awarded in FY10 for five year project period.

**Range and Average of Financial Assistance:**

Up to \$22,000 per full-time student for each year of the two-year program enrollment per student.

FY 2010 range: \$704,000 to \$1,425,600; average: \$1,194,009 (award amounts are for 5 years of funding per grantee).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Joan Wasserman, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9B-45, Rockville, MD 20857. Telephone: (301) 443-5688.

**Headquarters Office:**

Joan Wasserman 5600 Fishers Lane, Room 9B-45, Rockville, Maryland 20857  
Phone: (301) 443-5688

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on analysis of the factors set forth in the application. See the section on Application Review in the funding opportunity announcement. In making awards of grants under this Section, preference will be given to any qualified applicant with a project that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State or local health departments.

**93.514 AFFORDABLE CARE ACT (ACA) EXPANSION OF PHYSICIAN ASSISTANT TRAINING PROGRAM**

ACA EPAT

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 747, as amended by the Patient Protection and Affordable Care Act (Public Law 111-148); and the Public Health Prevention Act Section 4002, Conference Report, H. Rept. 111-366, Division D (referencing S. Rept. 111-66), accompanying the Consolidated Appropriations Act, 2010, Public Law 111-117.

**OBJECTIVES:**

The Expansion of Physician Assistant Training Program is a five-year initiative to increase the number of physician assistants in the primary care workforce. Grantees are physician assistant education programs that commit to sustaining an increased number of students for five consecutive years. Awards facilitate this expansion by supporting higher enrollment by funding new student stipends, educational expenses, reasonable living expenses, and indirect costs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds are to be distributed, through a competitive application process, to accredited physician assistant training programs and may only be used to provide stipends, educational expenses, reasonable living expenses, and indirect costs to physician assistant students. Personnel, staffing, fringe benefits, consultant cost, travel, equipment, supplies, subcontracts and other items are strictly prohibited under this grant award. Restricted Uses: Applicants may request support for only one physician assistant education program.

**Applicant Eligibility:**

Eligible applicants include public or nonprofit academically affiliated physician assistant education programs whose purpose is to educate individuals that will be qualified to provide primary care medical services under the supervision of a physician.

**Beneficiary Eligibility:**

Physician assistant students in training. Project participants (students) must be U.S. Citizens, non-citizen nationals, or foreign nationals who possess visas permitting permanent residence in the United States. Individuals on temporary student visas are not eligible.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and

required forms for this program can be obtained from Grants.gov. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification of award is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards were funded for five (5) years of support. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Awards were funded for five year project period in FY 10.

**Range and Average of Financial Assistance:**

The range of total awards is \$641,520 to \$2,117,808.

The average total award for the 5 year project period is \$738,144.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The most recent competition concluded on July 19, 2010. It

was expected that \$32 million would be available to fund 40 new grants. Thirty-two applications were received and 28 were funded in 2010. All funding was provided in the first year, at \$22,000, per additional student. The funded grants will reach 733 trainees in 17 states from 2010-2015. 140 PA students received EPAT funds. Fiscal Year 2012: 288 PA students are currently receiving training in 17 states. 140 will graduate in fiscal year 2012. Fiscal Year 2013: No Current Data Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### **Regional or Local Office:**

See Regional Agency Offices. Sherrilyn Crooks, PA, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Rockville, MD 20857, Telephone: (301) 443-7662, Email: [SCrooks@hrsa.gov](mailto:SCrooks@hrsa.gov).

#### **Headquarters Office:**

Division of Medicine and Dentistry, Bureau of Health Professions, HRSA, DHHS 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-6190 Fax: (301) 443-8890

#### **Website Address:**

<http://www.hrsa.gov>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Procedures for assessing the technical merit of grant applications have been instituted to provide an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Competing applications are reviewed by nonfederal reviewers for technical merit recommendations.

### **93.515 AFFORDABLE CARE ACT (ACA) NURSE-MANAGED HEALTH CLINICS**

ACA NMHC

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 330A-1 of the Public Health Service Act (42 U.S.C. 254b et seq.) as added by Section 5208 of the Patient Protection and Affordable Care Act, Public Law 111-148; and Section 4002 of the Patient Protection and Affordable Care Act, Public Law 111-148.

#### **OBJECTIVES:**

To provide federal funding to support the development and operation of Nurse-Managed Health Clinics (NMHC) to: 1) improve access to primary health care, disease prevention and health promotion in medically underserved areas (including enhancements of outreach strategies); 2) enhance nursing practice by increasing the number of structured clinical teaching sites for undergraduate and graduate nursing students; and 3) enhance electronic processes for establishing effective patient and workforce data collection systems. Under this program, the focus would support the training and practice development site for nurse practitioners to build the capacity of the primary care provider workforce.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Awards may be used to support the operation of nurse managed centers, to enhance electronic data collection systems, to support training programs for nurse practitioner students and students of other health related disciplines, and to support the enhancement of patient care and accessibility.

#### **Applicant Eligibility:**

Eligible applicants must be nurse-practice arrangements managed by advanced practice nurses, that provide primary care or wellness services to underserved or vulnerable populations and is associated with a school, college, university, or department of nursing, federally qualified health center or independent nonprofit health or social services agency.

#### **Beneficiary Eligibility:**

Beneficiaries include the following: individual/family; specialized group; health professionals; education profession; student/trainee; graduate student.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package.

Any Nurse Managed Clinic that will have undergraduate or graduate nursing students receiving clinical education or experiences during this grant period must provide a Memorandum of Agreement with the school(s) of nursing for clinical placement arrangement. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Competing grant applications are submitted for up to a 3-year grant period and the total 3-year budget is awarded in the first year of support. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see



below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. Awardees are required to report all federally-owned property and acquired equipment with an New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - \$15,000,000 in funds awarded in FY10.

**Range and Average of Financial Assistance:**

Range: \$1,400,998 (min) - \$1,500,000 (max)  
Average: \$1,484,809 (award amounts are for 3 years of funding per grantee).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Janice Young, Division of Nursing, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-61, Rockville, MD. Telephone: (301) 443-5688.

**Headquarters Office:**

Janice Young 5600 Fishers Lane, Room 9-61, Rockville, Maryland 20857  
Phone: (301) 443-5688

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on analysis of the factors set forth in the applicants proposal. See the section on Application Review in the funding opportunity announcement. An administrative preference is available for applicants affiliated with a university, college, or department of nursing. NMHCs must ensure that a minimum of 30% of their training slots are available for advanced practice nursing students, and 100% must be available for training for primary/ community health care provider students. The program has a funding preference shall be granted to applicants with projects that will substantially benefit rural or underserved populations, or help meet public health nursing needs in State or local health departments.

**93.516 AFFORDABLE CARE ACT (ACA) PUBLIC HEALTH TRAINING CENTERS PROGRAM, RESOURCES DEVELOPMENT AND ACADEMIC SUPPORT TO THE PUBLIC HEALTH TRAINING CENTERS PROGRAM AND PUBLIC HEALTH INFRASTRUCTURE AND SYSTEMS SUPPORT**

ACA PPHF - PHTC Program , RDAS-PHTC, and PHISS

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Sections 765 and 766 of the Public Health Service Act (42 U.S.C. 295a), as amended by Public Law 105-392 Health Professions Education Partnerships Act of 1998 and the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.

**OBJECTIVES:**

To improve the Nation's public health system by strengthening the technical, scientific, managerial and leadership competencies and capabilities of the current and future public health workforce. Emphasis is placed on developing the existing public health workforce as a foundation for improving the infrastructure of the public health system and helping achieve the Healthy People 2020 Objectives. With respect to a public health training center, applicants must agree to: (1) specifically designate a geographic area, including medically underserved populations, e.g., elderly, immigrants/refugees, disadvantaged, to be served by the Center that shall be in a location removed from the main location of the teaching facility of the school participating in the program with a Center; (2) assess the public health personnel needs of the area to be served by the Center and assist in the planning and development of training programs to meet their needs; (3) establish or strengthen field placements for students in public or nonprofit private public health agencies or organizations; and (4) involve faculty members and students in collaborative projects to enhance public health services to medically underserved communities.

The Resources Development and Academic Support to the Public Health Training Centers Program (RDAS-PHTC) provides resources and academic support for the PHTC Network through a cooperative agreement. The Public Health Infrastructure and Systems Support (PHISS) provides support for the PHTC network infrastructure, prepares tools for faculty to improve the quality of training, supports the convening of the Council on Linkages to develop consensus on public health policies and guidelines, supports the integration of public health and primary health care through enhancing the academic health departments, and develops a catalogue of public health workforce strategic planning objectives and activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may support salaries, stipends, consultant costs, equipment, and

travel as requested to develop and implement a Public Health Training Center. Grant funds may not be used for construction or patient services.

For the RDAS-PHTC, grant funds may be used for web site development and maintenance including PHTC Network workgroup support, collaboration with the PHTCs to prepare their Stories of Impact and Annual Narrative reports, best practices descriptions, and support for the Network workgroups, and analytical support for the program. The PHISS provides tools to evaluate the impact of training, enhances and expands the academic health department learning community to assist with the collaboration between public health and primary care, and identifies public health workforce strategic plans and activities considered by the member organizations of the Council on Linkages and other stakeholders.

**Applicant Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training in public health may apply.

Eligible entities for RDAS-PHTC cooperative agreement are organizations that have academic support relationships with schools and programs of public health.

The eligible entities for the PHISS must be capable of developing resources to improve the quality of public health education and services to protect and improve the health of the populations identified.

**Beneficiary Eligibility:**

Accredited schools of public health or other public or nonprofit private institutions accredited for the provision of graduate or specialized training will benefit.

**Credentials/Documentation:**

Applicants should review the individual HRSA Guidance documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the initial project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods for PHTC FY 2011 awards are for up to 5 years and new starts in FY2011 are for an up to 4 year project period in order to realign grantee cohorts to the same cycle for the next grant competition.

The project period for both the RDAS-PHTC and the PHISS will be for three years with a start date of September, 2013. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Financial Status Report (FSR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0353-0-1-552.

**Obligations:**

(Cooperative Agreements) FY 11 \$19,965,094; FY 12 est \$24,189,000; and FY 13 est \$14,189,000

**Range and Average of Financial Assistance:**

(FY 2011) \$129,748 to \$650,000; \$620,343 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: PHTC: 27 non-competing continuation and 10 competing awards were made. Fiscal Year 2012: Anticipate making 37 non-competing continuation awards. The RDAS-PHTC and PHISS are planned to be awarded in September 2013 for a three-year project period. These are new cooperative agreements. Fiscal Year 2013: No Current Data Available.

## REGULATIONS, GUIDELINES, AND LITERATURE:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

### Regional or Local Office:

None. CAPT Norma Hatot, Acting Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-C-05, 5600 Fishers Lane, Rockville, Maryland 20857  
Email: [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov), Phone: (301) 443-6950

Magnus A. Azuine, PhD, MSc, MPH, CHAS, Public Health Analyst, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-C-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-6529 and E-mail address at [mazuine@hrsa.gov](mailto:mazuine@hrsa.gov).

### Headquarters Office:

CAPT Norma Hatot, Acting Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services Room 9-C-05, 5600 Fishers Lane, Rockville, Maryland 20857  
Email: [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov) Phone: (301) 443-6950

### Website Address:

<http://www.hrsa.gov>

### RELATED PROGRAMS:

93.249 Public Health Training Centers Grant Program

### EXAMPLES OF FUNDED PROJECTS:

Fiscal Year 2011: See [www.publichealthtrainingcenters.org](http://www.publichealthtrainingcenters.org). Fiscal Year 2012: See [www.publichealthtrainingcenters.org](http://www.publichealthtrainingcenters.org). Fiscal Year 2013: No Current Data Available.

### CRITERIA FOR SELECTING PROPOSALS:

See guidance at: [www.grants.gov](http://www.grants.gov).

## 93.517 AFFORDABLE CARE ACT AGING AND DISABILITY RESOURCE CENTER

(ACA ADRC)

### FEDERAL AGENCY:

Administration for Community Living, Department of Health and Human Services

### AUTHORIZATION:

Patient Protection and Affordable Care Act, Title III, Part III, Section 2405, Public Law 111-111-148, III Stat. 930, 1395W U.S.C 3306.

### OBJECTIVES:

ADRCs are designed to serve as visible and trusted sources where people can turn to for objective information on their long-term services and support options and their Medicare benefits. These programs also provide one-on-one counseling and advice to help consumers, including private pay individuals, to fully understand how available options relate to their particular needs, as well as streamlined access to all publicly supported long-term services and support programs. Funding under this Program will help states further develop and strengthen their statewide systems of person-centered information, counseling and access. Through this grant program, states and local aging and disability programs will receive funds to provide outreach and assistance to Medicare beneficiaries on their Medicare benefits including prevention; use additional funds through a competitive process, to provide Options Counseling on health and long term care through ADRCs; use additional funds through a competitive process in existing Money Follows the Person states for Nursing Home

Transitions and Diversions; and finally, AoA and CMS will be funding states, through a competitive process, to strengthen the role of ADRCs in the implementation of Evidence-Based Care Transition models that integrate the medical and social service systems to help older individuals and those with disabilities remain in their own homes and communities after a hospital, rehabilitation or skilled nursing facility visit and avoid unnecessary readmission.

(A) to serve as visible and trusted sources of information on the full range of long-term care options that are available in the community, including both institutional and home and community-based care;  
(B) to provide personalized and consumer friendly assistance to empower people to make informed decisions about their care options;  
(C) to provide coordinated and streamlined access to all publicly supported long-term care options so that consumers can obtain the care they need through a single intake, assessment and eligibility determination process;  
(D) to help people to plan ahead for their future long-term care needs; and  
(E) to assist, in coordination with the State Health Insurance Assistance Program, Medicare beneficiaries in understanding and accessing the Prescription Drug Coverage and prevention health benefits available under the Medicare Modernization Act.

### TYPES OF ASSISTANCE:

Cooperative Agreements (Discretionary Grants)

### USES AND USE RESTRICTIONS:

1. Support the participation of State staff, local ADRC staff, partners, consumers and other stakeholders in the process of developing State-specific standards for ADRC Options Counseling.
2. Implement the standard operating procedures statewide or in at least one ADRC site.
3. Provide training for new or existing options counselors to meet the new standards.
4. Expand options counseling services to a new population or into a new setting or situation.
5. Modify existing IT/MIS client tracking systems and protocols as needed to meet new Options Counseling standards.
6. Gather and analyze service delivery and consumer outcomes data.
7. Gather feedback from ADRC staff and stakeholders about their experience with the new standards to contribute toward future improvement and refinement.
8. Support the participation of State staff, local ADRC staff, partners, consumers and other stakeholders in collaborative process of establishing minimum national standards for options counseling (regular conference calls and two in-person conferences). The following activities are not fundable:   
&#61607; Construction and/or major rehabilitation of buildings  
&#61607; Basic research (e.g. scientific or medical experiments)  
&#61607; Continuation of existing projects without expansion or new and innovative approaches. This is a discretionary grant program that will accept applications and issue awards based on merit. There is \$10M set aside for the ACA - ADRC program.

### Applicant Eligibility:

ADRCs are designed to serve as visible and trusted sources where people can turn to for objective information on their long-term services and support options and their Medicare benefits. These programs also provide one-on-one counseling and advice to help consumers, including private pay individuals, to fully understand how available options relate to their particular needs, as well as streamlined access to all publicly supported long-term services and support programs. Funding under this Program will help states further develop and strengthen their statewide systems of person-centered information, counseling and access. Through this grant program, states and local aging and disability programs will receive funds to provide outreach and assistance to Medicare beneficiaries on their Medicare benefits including prevention; use additional funds through a competitive process, to provide Options Counseling on health and long term care through ADRCs; use additional funds through a competitive process in existing Money Follows the Person states for Nursing Home Transitions and Diversions; and finally, AoA and CMS will be funding states, through a competitive process, to strengthen the role of ADRCs in the implementation of Evidence-Based Care Transition models that integrate the medical and social service systems to help older individuals and those with

disabilities remain in their own homes and communities after a hospital, rehabilitation or skilled nursing facility visit and avoid unnecessary readmission.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

- A. Applicant is a State Agency or instrumentality of the State (e.g., State Unit on Aging, State Medicaid Agency, State Disability Agencies);
- B. Applicant has received an award to implement ADRCs through the AoA and CMS ADRC grants funded in fiscal years 2003, 2004, 2005 and 2009, and/or the CMS Person-Centered Hospital Discharge Planning Model Grants. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. AoA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the AoA program official with delegated authority is responsible for final selection and funding decisions

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the AoA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program does not have MOE requirements. Not Applicable.

**Length and Time Phasing of Assistance:**

Project period 24 months. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

No program reports are required. SF-272 completed at the Payment Management System website. Semi-Annual, due every 6 months from the start of the project period, with a final report due 90 days after the award expiration date. SF-269, due annually. Site visits and standard project monitoring requirements apply.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. See above.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Financial Status Report (FSR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Up to \$500K.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program did not receive funding in FY11. Fiscal Year 2012: Program is not anticipated to receive funding in FY12. Fiscal Year 2013: Program is not anticipated to receive funding in FY12.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. AoA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of program.

**Regional or Local Office:**

None. Not Applicable.

**Headquarters Office:**

Joe Lugo, One Massachusetts Ave., NW, Washington, District of Columbia 20001 Email: Joe.Lugo@aoa.hhs.gov Phone: (202) 357-3417 Fax: (202) 357-3469.

**Website Address:**

<http://http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are scored by assigning a maximum of 100 points across four criteria during the merit review process:

- A. Current Program Status and Proposed Approach - (50 points);
- B. Organizational Capacity - (20 points).
- C. Project Management and Stakeholder Participation - (20 points).
- D. Work Plan and Budget (10 points);.

**93.518 AFFORDABLE CARE ACT - MEDICARE IMPROVEMENTS FOR PATIENTS AND PROVIDERS**

(ACA MIPPA)

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Act: Patient Protection and Affordable Care Act - Part: Part III, Title III: Improving the Quality and Efficiency of Health Care, Executive Order Improving the Quality and Efficiency of Health Care, Public Law 111-111-148 , III Stat. , 1395w U.S.C 23(f).

**OBJECTIVES:**

To provide outreach to eligible Medicare beneficiaries regarding the benefits available under title XVIII of the Social Security Act, including the Medicare prescription drug benefit under Part D of title XVIII of the Social Security Act and under the Medicare Savings Program, and to coordinate efforts to inform older Americans about benefits available under Federal and state programs.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

As a condition for receiving funding, States are required to submit one plan for Sections 1 through 3. States should describe how the SHIP, AAA and ADRC efforts will be coordinated to provide outreach to beneficiaries with limited incomes statewide, for general Part D outreach and assistance to beneficiaries in rural areas, and for outreach aimed at preventing disease and promoting wellness.

Outreach efforts of the SHIP will be coordinated with the related outreach efforts of, AAAs and ADRCs to provide assistance to beneficiaries with limited income for LIS and MSP, and provide general Part D outreach and assistance on Medicare benefits. Specifically, States should expand their efforts to reach beneficiaries through coordinated efforts.

**Applicant Eligibility:**

Not Applicable.

**Beneficiary Eligibility:**

Not Applicable.

**Credentials/Documentation:**

As a condition for receiving funding, all State agencies participating in this announcement will submit one joint plan that will be signed by each participating State agency. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. AoA released a PA on June 2, 2010 and it is posted on grants.gov. States were also notified through a press release and AoA/CMS communications channels.

**Award Procedure:**

States will submit a single state plan that is due to AoA by July 30, 2010. The plan is reviewed and evaluated by the Federal Agency for compliance with the announcement and statute. Notice of Awards issued by the Agency upon approval of the plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Not Applicable.

This program does not have MOE requirements. Not Applicable.

**Length and Time Phasing of Assistance:**

Project period will be 24 months. See the following for information on how assistance is awarded/released: Payment Management System.

**Reports:**

9 month program report and a 24 month project report. SF272 - prepared at PMS. Progress reports are not applicable. Annual SF-425 reports. Site visits and standard project monitoring requirements apply.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Financial Status Report (FSR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Formula Based range for awards.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. AoA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.aoa.gov/AoARoot/Grants/Terms/index.aspx>

**Regional or Local Office:**

None.

**Headquarters Office:**

Greg Case, One Massachusetts Ave., Washington, District of Columbia 20001  
Email: [Greg.Case@aoa.hhs.gov](mailto:Greg.Case@aoa.hhs.gov) Phone: (202) 357-3442 Fax: (202) 357-3467.

**Website Address:**

<http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States are expected to establish and meet measurable performance goals for the various MIPPA funding opportunities. Plans for funding formula under MIPPA under the Affordable Care Act will be reviewed by AoA and CMS based on the requirements of the Program Announcement. AoA and CMS will contact applicants to negotiate any questions or concerns before issuing a Notice of Award.

**93.519 AFFORDABLE CARE ACT (ACA) CONSUMER ASSISTANCE PROGRAM GRANTS**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

The Public Health Service Act Section 2793, as amended by Section 1002 of the ACA.

**OBJECTIVES:**

To assist consumers with filing complaints and appeals, assist consumers with enrollment into health coverage, and educate consumers on their rights and responsibilities. In addition, by law they will collect data on consumer inquiries and complaints to help the Secretary identify problems in the marketplace and strengthen enforcement. Starting in 2014, programs must also help resolve problems with premium credits for Exchange coverage.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grant Funds are to be used as outlined in Section 1002 of the Affordable Care Act (ACA). Section 1002 also includes specific restrictions for these grant funds. ...

**Applicant Eligibility:**

Consumer Assistance program grants are grants to States.

**Beneficiary Eligibility:**

Projects will benefit (1) Consumer Assistance Program.

**Credentials/Documentation:**

Applicants should review the funding opportunity announcement documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications and required forms for this program can be obtained from Grants.gov. CCIIO requires all applicants to apply electronically through Grants.gov

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the CCIIO program with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Section 1002 of the ACA states that grants shall be awarded to States for the creation or expansion of consumer assistance or ombudsman program. Awards made under this grant will be for 12 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

As required under the Public Health Service (PHS) Act Section 2793(d), awardees are expected to submit quarterly data reports to HHS. Quarterly reports will be due 30 days after the end of each quarter. Awardees must also agree to respond to requests and provide data on consumer assistance activities as needed by the Secretary. Awardees must also submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Report must be filed within 30 days of the end of each quarter. An additional Final Financial Report is due within 90 days of the end of the grant period of performance. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Please also refer to the funding opportunity announcement for required reports. Performance monitoring may include training, technical assistance, conference calls, and seminars. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures

against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Refer to funding opportunity announcement for required reports. Submit a Financial Status Report (FSR or SF-269) directly to OS. The report identifies cash expenditures against the authorized funds for the grant. The Financial Status Report must be filed annually. Failure to submit the report may result in the inability to access subsequent grant funds. Performance monitoring may include training, technical assistance, conference calls, and seminars.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records and progress reports 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0511-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$32,459,356; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Available funds per applicant are based on State populations and requested funding amount. The award minimum is \$200,000 unless applicant requests less than the minimum award amount.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In October 2010, approximately \$29 million in grants were awarded to 38 States and Territories. Fiscal Year 2012: \$2,559,356 was available in early FY 2012. An additional \$29,900,000 will be available in late FY 2012 (June 7, 2012 FOA). Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments or 45 CFR Part 74 for institutions of higher education, hospitals, other non profit organizations and commercial organizations, as applicable.

CCIIO awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://dhhs.gov/asfr/ogapa/aboutog/ogpoe.html>

**Regional or Local Office:**

See Regional Agency Offices. Holly Whelan, Consumer Support Group, Center for Consumer Information and Insurance Oversight, Department of Health and Human Services, HHH Building, 200 Independence Ave., S.W., Washington D.C. 20201.

**Headquarters Office:**

Michelle T. Feagins, 200 Independence Ave., SW, Washington, District of Columbia 20201 Email: [michelle.feagins@hhs.gov](mailto:michelle.feagins@hhs.gov) Phone: (202) 260-6121.

**Website Address:**

<http://www.cciio.cms.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## CRITERIA FOR SELECTING PROPOSALS:

Approval of an application will be based on an analysis of the factors set forth in Section V--Application Review in the funding opportunity announcement.

### 93.520 CENTERS FOR DISEASE CONTROL AND PREVENTION AFFORDABLE CARE ACT (ACA) COMMUNITIES PUTTING PREVENTION TO WORK

#### FEDERAL AGENCY:

Centers for Disease Control and Prevention, Department of Health and Human Services

#### AUTHORIZATION:

This program is authorized under section 301(a) and 317(k)(2) Health Care and Education Affordability Reconciliation Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311.

#### OBJECTIVES:

This funding was appropriated under the Health Care and Education Affordability Reconciliation Act of (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) (2) to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. This initiative will address the following: Increased levels of physical activity Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); Decreased smoking prevalence and decreased teen smoking initiation; and Decreased exposure to secondhand smoke.

Communities funded under this announcement will accomplish this by implementing population-based approaches such as policy, systems, and environmental changes across 5 evidence-based strategies access, media, point of decision information, social support services, and price in both schools and communities. Both components are necessary to achieve behavior change in youth that sustain from school settings into family and community settings, and supports sustaining healthy behavior into adulthood. Communities funded by this announcement will receive a menu of evidence-based interventions along with support and tools from the Centers for Disease Control and Prevention (CDC) to strengthen and develop effective strategies tailored to their needs.

The cooperative agreements will address the Healthy People 2010 focus areas of obesity, cardiovascular disease, tobacco, and educational and community-based programs; the Health Protection Goals of Healthy People in Every Stage of Life which states that all people, and especially those at greater risk of health disparities, will achieve their optimal lifespan with the best quality of health in every stage of life, and Healthy People in Healthy Places which states that the places where people live, work, learn, and play will protect and promote their health and safety, especially those at greater risk of health disparities..

#### TYPES OF ASSISTANCE:

Cooperative Agreements

#### USES AND USE RESTRICTIONS:

Of the \$34 million dollars will be used to support intensive community approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions in the following areas; to increased levels of physical activity, improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and to decreased exposure to secondhand smoke.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not spend more than 10% of the total award on nicotine

replacement therapy.

#### Applicant Eligibility:

Eligible applicants that can apply for this funding opportunity are listed below: All grant applications not funded under DP09-912ARRA consisting of Federally recognized Tribal Governments, Regional Area Indian Health Boards, Urban Indian organizations, and Inter-Tribal Councils as designated by the Principal Tribal elected official or chief executive officer County/City Health Departments

The official state health department (or its bona fide agent), or its equivalent, as designated by the Governor, is to serve as the lead/fiduciary agency for Small City and Rural Community applications. For this announcement, the term State includes the 50 states, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

The official local health department (or its bona fide agent), or its equivalent, as designated by the mayor, county executive, or other equivalent governmental official.

All grantees funded under funding opportunity announcement CDC-RFA-DP09-901 and CDC-RFA-DPPO-902 which are all official state health departments (or its bona fide agent) of the 50 states, the District of Columbia, Puerto Rico and the U.S. Virgin Islands, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau.

#### Beneficiary Eligibility:

Any State, local health department (as described above), and other public entities will benefit.

#### Credentials/Documentation:

Applicants will be required to provide the following information: Demonstrate that they have a coalition in place with experience in promoting health promotion or prevention of chronic disease outcomes or experience that relates to improving chronic disease outcomes, including the capacity to influence policy, system and/or environmental changes in the community. Demonstrate that they have an existing community action plan in place related to improving behaviors that lead to chronic diseases through changing policy, systems and/or environment. Provide documentation that they have received a grant of sufficient size to indicate the ability to adhere to Federal requirements and to expend a large amount of funds in the project period outlined by the Communities Putting Prevention to Work Initiative. Ensure that at least 50% of the total award is spent extramurally. Provide letters of support from school districts indicating support for implementing the YRBS survey for baseline and follow-up data.

Successful applicants will also be required to meet quarterly benchmarks for the Communities Putting Prevention to Work Initiative. At the end of each quarter, the grantee will receive a score card that indicates the percentage of benchmarks being met (100%-70% of benchmarks = green; 70%-50% of benchmarks = yellow; less than 50% of benchmarks = red). OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 application forms through Grants.gov/Apply. Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email:

**Award Procedure:**

All applications that were complete and responsive under FOA DP09-912ARRA to this competitive funding opportunity announcement were evaluated for programmatic and technical merit. Applications were reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Chronic Disease Prevention and Health Promotion and PGO. Incomplete applications and applications that were non-responsive to the eligibility criteria did not advance through the review process. Applicants were notified the application did not meet submission requirements.

The panel was comprised of a primary, secondary, and tertiary reviewer that will score the applications and document their strengths and weaknesses. The applications were scored against the criteria not against one another. Successful applicants received a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

A technical review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcements D09-901 and DP09-902.

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding under the Affordable Care Act (ACA).

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: Until April 30, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Health Care and Education Affordability Reconciliation of Act of 2010 must comply with all requirements specified in: (a) The amount of unobligated award balances; (b) A detailed list of all projects or activities for which Health Care Reform Act funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (c) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient. (d) Recipients must account for each Health Care Reform Act award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down Health Care Reform Act funds on an award-specific basis. Pooling of Health Care Reform Act award funds with other funds for drawdown or other purposes is not permitted. (e) Recipients must account for each Health Care Reform Act award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No cash reports are required. Recipients of

Federal awards from funds authorized under Health Care and Education Affordability Reconciliation of Act of 2010 must comply with all requirements specified in: (a) The amount of unobligated award balances; (b) A detailed list of all projects or activities for which Health Care Reform Act funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (c) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient. (d) Recipients must account for each Health Care Reform Act award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down Health Care Reform Act funds on an award-specific basis. Pooling of Health Care Reform Act award funds with other funds for drawdown or other purposes is not permitted. (e) Recipients must account for each Health Care Reform Act award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$4,923,529; FY 12 est \$0; and FY 13 est \$0 - Estimate for FY11 to support ACA Quitline program. 1 year budget/project period.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 4,923,529. Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

MEMORANDUM FOR THE HEADS OF DEPARTMENTS AND AGENCIES: Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009  
Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Mike Waller, 4770 Buford Hwy, NE, Mailstop K45, Atlanta, Georgia 30341



Email: MNW1@cdc.gov Phone: (770) 488-5264.

**Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state and local health departments for Evidenced-Based Clinical and Community-Based Prevention and Wellness activities. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of Health Care Reform Act investments beyond the federal funding provided in the next two years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

**93.521 THE AFFORDABLE CARE ACT: BUILDING EPIDEMIOLOGY, LABORATORY, AND HEALTH INFORMATION SYSTEMS CAPACITY IN THE EPIDEMIOLOGY AND LABORATORY CAPACITY FOR INFECTIOUS DISEASE (ELC) AND EMERGING INFECTIONS PROGRAM (EIP) COOPERATIVE AGREEMENTS;PPHF**

ELC/EIP - 2012 Prevention and Public Health Fund and other Capacity-Building Activities

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordable Care Act (PL 11-148), Title IV, Section 4002 (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs. This program is funded in part by 2012 Prevention and Public Health Funds (PPHF-2012), Section 301 and 317, 42 U.S.C 241 and 247b; Sections 301 and 317 of the Public Health Service Act (PHS Act), 42 USC, 241 and 247b as amended; and Funding is appropriated under Affordable Care Act (PL 111-148), Title IV, Section 4002 (Prevention and Public Health Fund) , Title IV, Section 4002.

**OBJECTIVES:**

The Prevention and Public Health Fund (Title IV, Section 4002) was established under the Patient Protection and Affordable Care Act to provide for expanded and sustained national investment in prevention and public health programs to improve health and help restrain the rate of growth in private and public sector health care costs. The Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) and Emerging Infections Program (EIP) cooperative agreements were formed in 1995 as key components of CDC's national strategy to address and reduce emerging infectious disease (EID) threats. The programs play a critical role in strengthening national infectious disease infrastructure by serving as collaborative platforms for state and local health departments, CDC programs, and academic and various other public health partners to improve the ability to detect and respond to EIDs and other public health threats. Specifically, the programs build epidemiology, laboratory, and information systems capacity, integrate epidemiology and laboratory practice, implement active surveillance, and conduct targeted research aimed at improving methods and informing national surveillance and response activities. Overall, additional funds from multiple sources including PPHF will allow ELC and EIP partner agencies to substantially address gaps in EID epidemiology and laboratory capacity (e.g. number and training level of epi and lab staff, efficient/functional information systems, etc).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, and the implementation of other program elements to build public health

epidemiology, laboratory, and health information systems capacity. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual. Funds may not be used for clinical care.

**Applicant Eligibility:**

Eligible applicants include the current ELC and EIP grantees which consists of all 50 states, Washington, D.C., 5 largest local health departments (Chicago, Illinois; Houston, Texas; Los Angeles, California; New York City, New York; Philadelphia, Pennsylvania;), the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau or their bona fide agents.

**Beneficiary Eligibility:**

State health departments, large local health departments, the District of Columbia, U.S. Territories, and the general public.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

**Award Procedure:**

Applications that are complete and responsive will be evaluated for scientific and technical merit and receive support. CDC will not review incomplete and non-responsive applications. Applications that are complete and responsive will undergo an objective review process, receive a written critique and be scored according to the published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer. Initial award provides funds for the first budget period (usually 12 months) and the NOA will indicate support recommended for the remainder of the project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to five years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. No later than 10 days after the end of each calendar quarter, the recipients must submit a calendar quarter cash transaction report (SF-272 or top portion of the SF-425 Financial Report Form) to the Payment Management System (PMS). The reporting schedule will be based on the requirements listed in the ELC and EIP funding opportunity announcements. Funded applicants must provide an interim and annual progress report. Federal Financial Reports (SF 425) and Final Progress Report are due no more than 90 days after the end of the budget period. All reports must be submitted to the Grants Management Specialist indicated in the NoA. Federal Financial Reports (SF 425) are due no more than 90 days after the end of the budget period. Federal Financial Reports and Progress Reports are required, no more than 90 days after the end of the budget/project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$51,700,000; FY 12 est \$50,450,000; and FY 13 est \$50,450,000 - FY2010: \$31,740,054 was awarded. This consists of \$19,200,000 Affordable Care Act funding and approximately \$12,540,054 other FY11 funding.

FY2011: \$51,700,000 PPHF funds were awarded in FY2011.

FY2012: Approximately \$50,450,000 PPHF funding will be made available.

**Range and Average of Financial Assistance:**

Awards in FY2012 will range from approximately \$150,000 to \$2,500,000 with an average of approximately \$740,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 68 awards issued to ELC and EIP grantees for total of \$51,700,000 PPHF Funding. Fiscal Year 2012: No Current Data Available. It is anticipated in FY2012 that up to 68 applications (58 ELC + 10 EIP) will be received and funded for approximately \$50,450,000 PPHF funding. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Greg J. Jones Scientific and Program Services Branch, Division of Preparedness and Emerging Infections, National Center for Emerging and Zoonotic Diseases,

Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE, Mailstop C18, Atlanta, Georgia 30333 Email: [GJJ1@cdc.gov](mailto:GJJ1@cdc.gov) Phone: (404) 639-4180 Fax: (404) 639-3106

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) clearly provide a plan that includes quantitative process and outcome measures (2) provide adequate and clear information to enable the reviewer to gain a reasonable understanding of the applicants recent and current efforts to address the issues and (3) provide a realistic plan with activities that can be achieved in year one and subsequent years. Other criteria will be listed in the individual funding opportunity announcements.

**93.522 AFFORDABLE CARE ACT (ACA) PREVENTION CENTER FOR HEALTHY WEIGHT**

Prevention Center

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title V, Section 501(a)(2) Social Security Act (42 U.S.C. 701) and Section 4002 of the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

The Department of Health and Human Services (DHHS), Health Resources and Services Administration (HRSA), Office of Planning, Analysis and Evaluation (OPAE) announced the availability of funding for a cooperative agreement in Fiscal Year (FY) 2010 to support the Prevention Center for Healthy Weight (PC) to plan, implement and manage a Healthy Weight Collaborative (HWC) as well as recruit and support approximately 50 community teams participating in the HWC. The authority for this program is Title V, Section 501(a)(2) Social Security Act (42 U.S.C. 701) and Section 4002 of the Patient Protection and Affordable Care Act (P.L. 111-148).

Aligning with Administration and Departmental activities related to Healthy Weight and HRSA's strategic plan, the mission of the HWC is to discover, develop, and disseminate evidence-based community-based and promising clinical interventions to prevent and treat obesity for children and families. The cooperative agreement awardee will do the following:

Plan, implement, and manage the HWC;

Provide technical assistance to community teams to improve approaches to prevent and treat overweight and obesity in their respective communities;

Improve quality of care to prevent and treat overweight and obesity through understanding of quality improvement concepts, tools, and techniques;

Support teams participating in the HWC; and

Demonstrate a commitment to long-term sustainability of the project after the Federal period of support.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The awardee will engage approximately 50 multi-sector, place-based teams from all over the country. At a minimum, these teams will represent primary care, public health, and those from other relevant sectors (e.g., schools, parks, housing, transportation, business). Teams will engage in a variety of activities and interventions to help local communities, states and other interested groups develop practical approaches that link public health and primary care to prevent and treat obesity for children and families. Using established quality improvement techniques, the Prevention Center will provide training and support to teams and track team progress on standardized measures.

The Collaborative will build on the Breakthrough Series methodology, a proven quality improvement approach for rapidly spreading successful changes pioneered by the Institute for Healthcare Improvement. A web portal will facilitate communication within and between teams, as well as provide a vehicle to report and share data about progress. Teams will meet together, either face-to-face or virtually, three times each year, and will receive technical assistance from faculty with expertise in prevention and treatment of obesity and improvement science. Areas of the web site will be accessible to the general public, with information, tools and resources to help communities and families maintain or achieve a healthy weight. The Collaborative will proceed in two phases. In phase one, 10 teams with previous experience in cross-sector collaboration will participate in both in-person and virtual Learning Sessions. In phase two, approximately 40 additional teams will participate in an entirely virtual Collaborative. Funds may not be used to support the following: the delivery of health care services, construction, alteration or renovation.

**Applicant Eligibility:**

Any public or private entity, including an Indian tribe or tribal organization (as those terms are defined at 25 USC 450(b)) is eligible to apply.

**Beneficiary Eligibility:**

See above for additional information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All applicants are required to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Applicants responding to this announcement may request funding for a project and budget period of up to 30 months. See the following for information on how assistance is awarded/released: Awardees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Status Reports:

1) Submit a Financial Report. A financial report is required within 90 days of the end of each budget period. It is submitted electronically through the HRSA EHBs. The report is an accounting of expenditures under the project that year. More specific information will be included in the award notice.

2) Submit a Progress Report(s). Further information will be provided in the award notice.

3) Submit a Final Report.

A final report is due within 90 days after the project period ends. The final report collects program-specific goals, core performance measurement data, awardee objectives and accomplishments, barriers encountered, and responses to summary questions regarding the awardees overall experiences over the entire project period. The final report must be submitted on-line by awardees in the Electronic Handbooks system at

<https://grants.hrsa.gov/webexternal/home.asp>. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the cooperative agreement. The FFR Cash Transaction Reports must be filed within 30 days of the end of the quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Further information will be provided in the award notice. A financial report is required within 90 days of the end of each budget period. It is submitted electronically through the HRSA EHBs. The report is an accounting of expenditures under the project that year. More specific information will be included in the award notice. Further information will be provided in the award notice.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Award recipients are required to maintain cooperative agreement accounting records 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

One Cooperative Agreement funded for \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Recruited approximately 50 multidisciplinary community teams with representatives from primary care, public health, and the community to participate in Phase 1 and Phase 2. Teams represent each of the ten HRSA regions. A full list may be found at:

<http://collaborateforhealthyweight.org/About/Collaborative/Meet-the-HWC-Teams.aspx>.

The key documents (change package, implementation guide) were developed and updated using expert input, evidence and experience-based practices.

Completed Phase 1 (June 2011 July 2012) of the Collaborative.

Launched Phase 2 (March 2012- March 2013) of the Collaborative

Launched the Improvement Lab (iLab), an online reporting mechanism for team data reports, resource sharing, and discussion.

Launched the [www.collaborateforhealthyweight.org](http://www.collaborateforhealthyweight.org) website.

Hosted bimonthly Partner Action Call webinars on critical obesity topics.

Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Eliza Heppner and Natasha Coulouris 5600 Fishers Lane, Room 14-57  
, Rockville, Maryland 20857 Phone: (301) 443-8747

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by nonfederal objective review panels for technical merit recommendations. Approval of an application will be based on an analysis of the factors set forth in the application. See Section V - Application Review Information in the funding opportunity announcement.

**93.523 THE AFFORDABLE CARE ACT: HUMAN IMMUNODEFICIENCY VIRUS (HIV) PREVENTION AND PUBLIC HEALTH FUND ACTIVITIES**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Executive Order This program is authorized under Sections 301, 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended, 42 U.S.C 247b,247b(k)(2); Patient Protection and Affordable Care Act - This program is authorized under the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs. , Executive Order This program is authorized under the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs. , Title IV, Section 4002, Public Law 111-148, Stat. 124-1025, 42 U.S.C.

**OBJECTIVES:**

Program activities under this funding will allow for CDC partnership with state and local health departments and other agencies to substantially reduce HIV risk and incidence. Specifically, the program activities may include but are not limited to:

1. Expanded and improved surveillance activities, including a laboratory reporting supplement to the current surveillance program to enable state and local health departments to improve the reporting of HIV laboratory data with special emphasis on CD4 and VL test results.
2. Increased HIV testing and linkage to care services.
3. Comprehensive HIV prevention activities, including the implementation of a structured, evidence-based collection of HIV prevention interventions in a limited number of jurisdictions with the most cases of AIDS. Interventions will include HIV testing, linkage and retention in care, Prevention with Positives including antiretroviral therapy and behavioral interventions, prioritized behavioral interventions for people at highest risk of HIV infection, condom distribution, and enhanced policy, systems, and environmental approaches.
4. Activities to support the above efforts, including program monitoring and evaluation, capacity building, and technical assistance.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, data collection, organizing, and the implementation of program elements to build HIV

prevention and public health capacity. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

**Applicant Eligibility:**

Eligible applicants include state and local governments or their Bona Fide Agents.

**Beneficiary Eligibility:**

State and local health departments, U.S. Territories, and the general public will benefit.

**Credentials/Documentation:**

No credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87. Costs will be determined by 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov)

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application.

Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. About 120 days from receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period. See the following for information on how assistance is awarded/released: See the FOA for information on how assistance is awarded/released.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where

applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-1043-0-1-550.

**Obligations:**

(Salaries) FY 11 \$19,578,028; FY 12 est \$11,578,076; and FY 13 est \$0 - Please note FY 2011 and 2012 funds are not PPHF.

**Range and Average of Financial Assistance:**

Awards will range from approximately \$85,000 to \$1,700,000 with an average of approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 74 and 45 CFR 92, and also HHS Grants Policy Statement, as applicable, at <http://www.ahrq.gov/fund/hhspolicy.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov) Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>; [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by Division of HIV/AIDS Prevention (DHAP), NCHHSTP and PGO. Incomplete applications and

applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission Information, subsection Evaluation Criteria within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.524 THE AFFORDABLE CARE ACT (ACA): CAPACITY BUILDING ASSISTANCE TO STRENGTHEN PUBLIC HEALTH INFRASTRUCTURE AND PERFORMANCE**

CBA to Strengthen Public Health Infrastructure and Performance

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under sections 301 and 317 of the Public Health Service Act (PHS Act), 42 U.S.C. 241 and 247b as amended, and the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Section 4002 (Prevention and Public Health Fund), Title IV, Section 4002.

**OBJECTIVES:**

This funding was appropriated under the Patient Protection and Affordable Care Act (PPACA) (PL 111-148). The Prevention and Public Health Fund (Title IV, Section 4002) was established under this legislation to provide for expanded and sustained national investment in prevention and public health programs to improve health and help restrain the rate of growth in private and public sector health care costs.

This program will help state, tribal, local and U.S. territorial health departments by making available to them capacity building assistance (including technical consultation, skills building/training, information, and technology transfer assistance) that will improve: 1) the planning, coordination, and implementation of public health infrastructure investments, and 2) the evaluation (including dissemination of best practices) of public health infrastructure investments.

The overall goal of capacity building assistance is to ensure improvements in the public health infrastructure so that it is prepared for responding to both acute and chronic threats relating to the Nations health such as emerging infections, disparities in health status, and increases in chronic disease and injury rates.

This supplement for capacity building assistance will be focused on the provision of technical consultation, skills building/training, information, and technology transfer assistance to ensure successful planning, implementation, coordination and evaluation of the key areas for public health infrastructure investments. This expert assistance will prepare states, tribal, local and territorial health departments to successfully implement PPACA. Some of the capacity building needs are in the following areas:

Improving the public health workforce (e.g., e-learning, other training, and fellowship programs); vital statistics system (electronic birth and death registration); food and water borne disease identification and prevention, prevention of hospital acquired infections, electronic health record/IT systems, communications systems and processes (e.g. information syndication and social media capacity), laboratory and epidemiologic capacity.

Developing information systems to support adoption, implementation, enforcement, and/or evaluation of public health legislation, codes, rules, regulations, ordinances, and other policies.

Improving public health system development/redevelopment by building or engineering of infrastructure to improve networking, coordination, standardization, and centralization of public health services to effectively and efficiently address priority health indicators.

Implementing best health care practices and impact evaluation

Improving information and data system capacity through policy/communication for standardized data collection and analysis systems, information management technology, information dissemination, and

meaningful data use and translation

Improving organizational capacity to effectively and efficiently use resources such as fiscal agents, and intermediaries, and

Improving technical and program guidance and evaluation of preventive services to expand coverage for community and clinical preventive services.

This includes technical consultation and promotion on the adoption and utilization of the recommendations from the Guide for Community Preventive Services.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds will be used for costs associated with providing capacity building assistance to strengthen State, Tribal, Local, and Territorial public health infrastructure investments. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies (including training materials), and services, such as contractual.

Applicants will be required to participate, comply, and cooperate with CDC for any reporting requirements stipulated by, or mandated for, the receipt of PPACA funding. PPACA funding is intended to be used only in support of PPACA programs and projects.

**Applicant Eligibility:**

Applicants funded to provide capacity building assistance (this includes training, technical consultation and services, and information transfer, etc...) are national, non-profit, public health professional organizations and include: the Association of State and Territorial Health Officials (ASTHO), the National Association of County and City Health Officials (NACCHO), the American Public Health Association (APHA), the Council of State and Territorial Epidemiologists (CSTE), the Public Health Foundation (PHF), the National Network of Public Health Institutes (NNPHI), the National Association of Local Boards of Health (NALBOH), and the Association of Maternal and Child Health Programs (AMCHP).

**Beneficiary Eligibility:**

State health departments, large local health departments supporting cities with populations of 1 million or more inhabitants, the District of Columbia, U.S. Territories, tribal health organizations and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Allowable costs will be determined in accordance with OMB Circular No. A-87 for non-profit non-governmental organizations.

Pre-application coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, Intergovernmental Review of Federal Programs. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

Applicants must download supplemental application forms from [www.Grants.gov](http://www.Grants.gov). Supplemental applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov)

**Award Procedure:**

Continuation applications that are complete and responsive will be evaluated for scientific and technical merit and receive support. Applications that are complete and responsive will undergo technical reviews and the grantees will receive recommendations for corrective actions. Grantees receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

Continuation awards provide funds for the budget period (usually 12 months) and the NOA will indicate allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period within project periods ranging from one to three years. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

Each funded applicant must provide an interim and annual progress report. The interim progress report is due no less than 90 days before the end of the specified budget period. The Interim Progress Report will serve as the non-competing continuation application. The annual progress report is due no less than 90 days after the end of the budget year (05/31). No later than 10 days after the end of each calendar quarter, starting with the quarter ending December 31, 2012 and reporting by January 10, 2013, the recipients must submit a calendar quarter cash transaction report (SF-272 or top portion of the SF-425 Financial Report Form) to the Payment Management System (PMS). Each funded applicant must provide an interim and annual progress report. The interim progress report is due no less than 90 days before the end of the specified budget period. The Interim Progress Report will serve as the non-competing continuation application. The annual progress report is due no less than 90 days after the end of the budget year (05/31). Financial Status Reports (SF 269) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are required, no more than 90 days after the end of the project period. grantees will be monitored by project officers to ensure accomplishment of approved objectives and activities (including development and dissemination of deliverables, and number of training and technical assistance episodes delivered), and for capacity building outcomes such as adoption of best practices by state, tribal, local and territorial health departments and increases in the implementation and evaluation of public health infrastructure investments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure

that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$9,749,026; FY 12 est \$8,567,765; and FY 13 est \$7,000,000

**Range and Average of Financial Assistance:**

The range is between \$200,000 and \$1.7 million and the average would be \$535,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The five partners have been involved in work which will identify, synthesize, package, and disseminate evidence based practices for adaptation in the field, and one of the partners has worked to evaluate evidence based practices that increase the effectiveness and efficiency of public health infrastructure investments. Below is a summary of highlighted work:

American Public Health Association (APHA) has provided support to State, Tribal, Local and Territorial Health Departments on the use of evidenced based strategies to improve population health. APHA has worked to increase STLTs ability to identify, synthesize, and disseminate best and promising public health policy and legal practices for performance improvement, and has started to examine evidence in key areas such as childhood obesity, tobacco control, injury, preparedness, and infectious diseases. They developed a webinar series and made a presentation to the Performance Improvement Managers Network. Resources and tools developed include: compendium of policy and law resources, power of policy webinar series, policy innovation contest, policy case studies, policy performance measurements, and a health-in-all policy tool kit.

National Association of County and City Health Officials (NACCHO) developed and refined a toolkit on key functional Health Information Technology services needed by Health Departments. The tool kit includes resources, case studies, best practices, and other key information that can be shared and disseminated to 74 grantees and to all Local health Departments.

Public Health Foundation (PHF) has provided capacity building assistance such as the implementation of the Rapid Cycle Improvement in three STLT health departments and direct technical assistance to 15 other health departments that focused on improving the knowledge and skills related to performance management and quality improvement. Developed and presented the Introduction to Performance Management Webinar, and wrote a one-page overview detailing QI Success Stories.

National Network of Public Health Institutes (NNPHI) provided direct support of the evaluation of the National Public Health Improvement Initiative. They fielded the baseline assessment and achieved 100% participation. They established a collaborative model for evaluation and highlighted 10 implementation stories of grantee successes.

Association of State and Territorial Health Officials (ASTHO) provided technical assistance (on-site or conference calls) to 20 grantees. They completed a study (with NACCHO) of state and local alignment through systems re-engineering. They worked with PIHOA and wrote a sub-contract to support systems re-engineering in Pacific territories. The continued to develop products on Performance and systems re-engineering, materials for workshop, presentations and data sheets. Fiscal Year 2012: Reports will be due this Summer. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Samuel Taveras 1600 Clifton Road, MS-E70, Atlanta, Georgia 30333 Email: [syt2@cdc.gov](mailto:syt2@cdc.gov) Phone: (404) 498-1126 Fax: (404) 498-1112.

**Website Address:**

<http://www.cdc.gov>; [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.507 Strengthening Public Health Infrastructure for Improved Health Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The five partners were assigned specific work lanes and are responsible for identifying, synthesizing, packaging, and disseminating evidence based practices for adaptation in the field. The National Network of Public Health Institutes (NNPHI) will evaluate the entire program to determine the practices that increase the effectiveness and efficiency of public health infrastructure investments. Below is a summary of the work plan for each partner:

American Public Health Association (APHA):

APHA will continue to provide technical assistance to NPHII grantees on the following topics:

Development, use, and assessment of public health policy and legal strategies to improve population health, including but not limited to health in all policies and health impact assessment.

Health reform implementation as a tool to support accreditation readiness, performance improvement, and population health improvement.

Policy- and law-related accreditation issues, and policy and legal initiatives that support accreditation readiness.

They will continue to develop the following products:

Power of Policy Webinar Series (October 2011 May 2012)

Policy Case Studies (October 2011 May 2012)

Policy Innovation Contest (October 2011 May 2012)

Health in All Policies Toolkit (October 2011 May 2012)

Health Reform Resources (October 2011 May 2012)

Association of State and Territorial Health Officials (ASTHO):

ASTHO will continue to provide technical assistance to NPHII grantees on systems design and redevelopment, including (but not limited to):

Comprehensive accreditation readiness, including state incentives to locals for accreditation.

E-health tools and strategies

Return on investment (ROI) and customer satisfaction

Business process redesign (data systems, fiscal impact, contractual, etc.)

Agency realignment and workforce redeployment strategies

State health improvement planning

They will continue to develop the following products:

Provide customizable on-site training series for ASTHO Primary Support Areas.

Conduct customizable Accreditation Readiness Workshops to prepare states for accreditation by conducting an assessment of gaps in existing documentation to meet PHAB standards. Workshops can be on-site visits or via web/teleconference. Workshops are interactive and include a review of PHAB standards/measures and the required documentation documents, and can be customized to meet participants needs. Workshops may also include presentations about championing for accreditation, general PHAB overview, road mapp planning and workforce planning for accreditation.

Assistance with development of PHAB prerequisites (the state health improvement plan, state health assessment and strategic plan), including the

#### ASTHO SHIP Guidance and Resource Document

Develop descriptions of state incentives to locals for accreditation.

#### Public Health Foundation (PHF)

PHF will continue to provide technical assistance to NPHII grantees on the following topics:

Accreditation readiness for PHAB Domains 8 and 9

Developing and implementing QI plans

Outcomes improvement

Strategic planning, and ways to integrate it with other plans (e.g., QI plans and workforce plans)

They will continue to develop the following products:

Refresh the Performance Management Framework Document from Turning Point.

Tools for adoption of best practices. Revise the Performance Management Self-Assessment tool. At least one news item and blog post on PHF website.

Write white paper on selecting and implementing high-impact intervention (improving health outcomes on winnable battles.)

Develop a presentation on creating a health department workforce development plan.

#### National Network of Public Health Institutes (NNPHI):

NNPHI will continue to provide technical assistance to NPHII grantees on the following:

Evaluate progress on NPHII activities,

Develop and track performance measures, and

Differentiate between evaluation and quality improvement activities.

They will continue to work on the following products:

Organize and host a Think Tank meeting and create comprehensive meeting notes that will be reviewed and approved by all Think Tank attendees. Findings from the both meetings will be published in a final summary report. Findings from the Think Tanks will be used to: (1) demonstrate the impact of NPHII; (2) guide future data collection activities; and (3) further identify technical assistance needs and provide support to grantees.

Complete a meta-evaluation that synthesizes data collected through evaluation related activities (assessment and implementation stories) and NPHII administrative data (mid-year progress reports, workplans, and performance measures). Analyze and report data according to the evaluation questions. Build stories as learning tool on activities related to NPHII implementation. Aggregate report of data collected via grantee PMRTs and grantee mid-year and end of year reports will be used to assess grantee progress (individually and in aggregate) toward: (1) accreditation readiness, (2) improved efficiency and effectiveness of business practices and service delivery, (3) grantee use of best and promising practices, and (4) increased program effectiveness.

#### National Association of County and City Health Officials (NACCHO)

NACCHO will continue to provide technical assistance to NPHII grantees on the following

Accreditation readiness

Public Health infrastructure design and redevelopment, HIT

Performance standards

Return on Investment

They will continue to work on the following products:

Check list for Community health assessments, community health improvement plan, and agency strategic plans.

Develop and disseminate inventory of existing accreditation tools

Develop a document on how to incorporate QI into the CHA/CHIP process

Develop a template or tool to support LHDs as they develop workforce development plans

Develop a report of existing, and potential, incentives offered from state to local health departments, incentivizing application to accreditation

Update HIT toolkit for distribution through a marketing plan. Fiscal Year 2012: The five partners were assigned specific work lanes and are responsible for identifying, synthesizing, packaging, and disseminating evidence based

practices for adaptation in the field. The National Network of Public Health Institutes (NNPHI) will evaluate the entire program to determine the practices that increase the effectiveness and efficiency of public health infrastructure investments. Below is a summary of the work plan for each partner:

#### American Public Health Association (APHA):

APHA will continue to provide technical assistance to NPHII grantees on the following topics:

Development, use, and assessment of public health policy and legal strategies to improve population health, including but not limited to health in all policies and health impact assessment.

Health reform implementation as a tool to support accreditation readiness, performance improvement, and population health improvement.

Policy- and law-related accreditation issues, and policy and legal initiatives that support accreditation readiness.

They will continue to develop the following products:

Power of Policy Webinar Series (October 2011 May 2012)

Policy Case Studies (October 2011 May 2012)

Policy Innovation Contest (October 2011 May 2012)

Health in All Policies Toolkit (October 2011 May 2012)

Health Reform Resources (October 2011 May 2012)

#### Association of State and Territorial Health Officials (ASTHO):

ASTHO will continue to provide technical assistance to NPHII grantees on systems design and redevelopment, including (but not limited to):

Comprehensive accreditation readiness, including state incentives to locals for accreditation.

E-health tools and strategies

Return on investment (ROI) and customer satisfaction

Business process redesign (data systems, fiscal impact, contractual, etc.)

Agency realignment and workforce redeployment strategies

State health improvement planning

They will continue to develop the following products:

Provide customizable on-site training series for ASTHO Primary Support Areas.

Conduct customizable Accreditation Readiness Workshops to prepare states for accreditation by conducting an assessment of gaps in existing documentation to meet PHAB standards. Workshops can be on-site visits or via web/teleconference. Workshops are interactive and include a review of PHAB standards/measures and the required documentation documents, and can be customized to meet participants needs. Workshops may also include presentations about championing for accreditation, general PHAB overview, road mapp planning and workforce planning for accreditation.

Assistance with development of PHAB prerequisites (the state health improvement plan, state health assessment and strategic plan), including the ASTHO SHIP Guidance and Resource Document

Develop descriptions of state incentives to locals for accreditation.

#### Public Health Foundation (PHF)

PHF will continue to provide technical assistance to NPHII grantees on the following topics:

Accreditation readiness for PHAB Domains 8 and 9

Developing and implementing QI plans

Outcomes improvement

Strategic planning, and ways to integrate it with other plans (e.g., QI plans and workforce plans)

They will continue to develop the following products:

Refresh the Performance Management Framework Document from Turning Point.

Tools for adoption of best practices. Revise the Performance Management Self-Assessment tool. At least one news item and blog post on PHF website.

Write white paper on selecting and implementing high-impact intervention (improving health outcomes on winnable battles.)

Develop a presentation on creating a health department workforce development



plan.

#### National Network of Public Health Institutes (NNPHI):

NNPHI will continue to provide technical assistance to NPHII grantees on the following:

Evaluate progress on NPHII activities,  
Develop and track performance measures, and  
Differentiate between evaluation and quality improvement activities.

They will continue to work on the following products:

Organize and host a Think Tank meeting and create comprehensive meeting notes that will be reviewed and approved by all Think Tank attendees. Findings from the both meetings will be published in a final summary report. Findings from the Think Tanks will be used to: (1) demonstrate the impact of NPHII; (2) guide future data collection activities; and (3) further identify technical assistance needs and provide support to grantees.

Complete a meta-evaluation that synthesizes data collected through evaluation related activities (assessment and implementation stories) and NPHII administrative data (mid-year progress reports, workplans, and performance measures). Analyze and report data according to the evaluation questions. Build stories as learning tool on activities related to NPHII implementation. Aggregate report of data collected via grantee PMRTs and grantee mid-year and end of year reports will be used to assess grantee progress (individually and in aggregate) toward: (1) accreditation readiness, (2) improved efficiency and effectiveness of business practices and service delivery, (3) grantee use of best and promising practices, and (4) increased program effectiveness.

National Association of County and City Health Officials (NACCHO)  
NACCHO will continue to provide technical assistance to NPHII grantees on the following

Accreditation readiness  
Public Health infrastructure design and redevelopment, HIT  
Performance standards  
Return on Investment

They will continue to work on the following products:

Check list for Community health assessments, community health improvement plan, and agency strategic plans.  
Develop and disseminate inventory of existing accreditation tools  
Develop a document on how to incorporate QI into the CHA/CHIP process  
Develop a template or tool to support LHDs as they develop workforce development plans  
Develop a report of existing, and potential, incentives offered from state to local health departments, incentivizing application to accreditation  
Update HIT toolkit for distribution through a marketing plan. Fiscal Year 2013:  
No Current Data Available

#### CRITERIA FOR SELECTING PROPOSALS:

These awards will be provided for the last year and will not be re-competed. In 2011, however, applications were evaluated based on: (1) demonstrated track record of providing technical consultation, skills building/training, information, or technology transfer assistance to state, tribal, local and territorial health departments, (2) understanding of the capacity building infrastructure development needs of state, tribal, local, and territorial health departments, (3) a clear plan of action with objectives achievable in one year and subsequent years, and (4) a clear assessment strategy (plan) to measure the effectiveness of capacity building assistance in improving the planning, implementation, coordination, evaluation (including dissemination of best practices) of public health infrastructure investments.

#### 93.525 STATE PLANNING AND ESTABLISHMENT GRANTS FOR THE AFFORDABLE CARE ACT (ACA)S EXCHANGES

##### FEDERAL AGENCY:

Centers for Medicare and Medicaid Services, Department of Health and Human Services

##### AUTHORIZATION:

Sections 1311 and 1323 of Patient Protection and Affordable Care Act (P.L.

111-148).

#### OBJECTIVES:

To provide assistance for activities related to establishing a Health Insurance Exchange that facilitates the purchase of qualified health plans, provides for the establishment of a Small Business Health Options Program (SHOP Exchange), and meets the requirements set forth by the Secretary and the Affordable Care Act.

Refer to specific Exchange program funding opportunity announcement (FOA) for additional information on objectives.

#### TYPES OF ASSISTANCE:

Cooperative Agreements

#### USES AND USE RESTRICTIONS:

Grant and cooperative agreement funds are to be used for activities related to setting up a health insurance Exchange. Please see the specific funding opportunity announcement for more information on how funds can be used.

#### Applicant Eligibility:

Eligible applicants for the FOA "State Planning and Establishments Grants for the Affordable Care Acts Exchanges" include the 50 States and the District of Columbia.

Eligible applicants for the FOA "Limited Competition for State Planning and Establishment Grants for the Affordable Care Act's Exchanges" include States which did not receive an award under the prior FOA "State Planning and Establishment Grants for the Affordable Care Act's Exchanges" (i.e. Alaska and Minnesota).

Eligible applicants for the FOA "Territory Cooperative Agreements for the Affordable Care Act's Exchanges" include Territories, i.e. American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and the United States Virgin Islands.

Eligible applicants for the FOA "Cooperative Agreements to Support Innovative Exchange Information Technology Systems" include the 50 States, the District of Columbia, and consortia of States.

Eligible applicants for the FOA "Cooperative Agreement to Support Establishment of State-Operated Health Insurance Exchanges" include States, the District of Columbia, and consortia of States, previously awarded funding under the FOA "State Planning and Establishment Grants for the Affordable Care Acts Exchanges."

Eligible applicants for the FOA Cooperative Agreement to Support Establishment of the Affordable Care Acts Health Insurance Exchange include States, the District of Columbia, and consortia of States.

#### Beneficiary Eligibility:

Projects will benefit States and Territories or entities authorized by the State or Territory that will set up Exchanges in States or Territories. .

#### Credentials/Documentation:

Applicants should review the specific funding opportunity announcement documents issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No A-87 applies to this program. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications and required forms for each program can be obtained from Grants.gov. The Center for Consumer Information and Insurance Oversight (CCIIO) requires all applicants to apply electronically through Grants.gov.

#### Award Procedure:

All qualified applications will be forwarded to an objective review committee. Based on the comments of the objective review committee, the CCIIO program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal Fiscal Year 2010: Grants awarded to 48 States and DC for a one year project period to conduct planning activities related to establishment of their Exchanges.

Federal Fiscal Year 2011: Grant funding for four funding opportunity announcements will be awarded in Federal Fiscal Year 2011 ranging from an up to one year project period to up to a four year project period, beginning on the date of award and up through December 31, 2014.

Federal Fiscal Year 2012: Establishment cooperative agreement funds will be awarded in 2011 and 2012 and may also extend through December 31, 2014.

Federal Fiscal Year 2013: Establishment cooperative agreement funds will be awarded in 2013 and may also extend through 2015.

Federal Fiscal Year 2014: Establishment cooperative agreement funds will be awarded in 2014 and may also extend through 2016.

Federal Fiscal Year 2015: Establishment cooperative agreement funds will be awarded in 2015 and may also extend through 2017.

Federal Fiscal Year 2016: Establishment Cooperative Agreements funds awarded in 2014 and 2015 may extend through 2017.

Federal Fiscal Year 2017: Establishment Cooperative Agreement funds awarded in 2014 and 2015 may extend through 2017.

See the following for information on how assistance is awarded/released:

Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. Submit a quarterly electronic Federal Financial Report (FFR) via the Payment Management System. The report identifies cash transactions against the authorized funds for the grant or cooperative agreement. The FFR must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. Quarterly Progress Reports- includes information on project status, implementation activities initiated, accomplishments, barriers, and lessons learned in order to ensure that funds are used for authorized purposes and instances of fraud, waste, error, and abuse are mitigated. Also includes changes in work plan components and progress on milestones, goals, objectives, and activities. Progress will be evaluated by the Project Officers and determinations regarding the approval of drawdowns will be based on the recipient's progress. Final project reports are also required.

Public Report - Recipients post information about the grants/cooperative agreements on their respective websites. Please see the specific FOA to determine if this is applicable.

Work Plan Updates - As necessary, recipients will provide CMS with documentation of substantive approved changes to their work plans. Please see the specific FOA to determine if this is applicable.

Periodic Establishment Reviews - as described in the applicable funding opportunity announcement.

On an annual basis, the Federal Financial Report (FFR) must also include information on expenditures. Failure to submit the report may result in the inability to access grant funds.

Performance Review as described in the applicable funding opportunity announcement. On an annual basis, the Federal Financial Report (FFR) must also include information on expenditures. Failure to submit the report may result in the inability to access grant funds. Performance Review - as described in the applicable funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No A-133.

**Records:**

Recipients are required to maintain grant accounting records 3 years after the date they submit the final Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0115-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$466,872,922; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Fiscal Year 2012-2015 TBD.

**Range and Average of Financial Assistance:**

No floor or ceiling for award. Amounts are provided based on the wide range and complexity of applications.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: From FY 2010 to date, the Exchange grants program has awarded approximately \$54 million in Planning and Territory grants to 54 states, approximately \$250 million in Early Innovator grants to 7 states, and approximately \$850 million in Establishment grants to 35 states. Fiscal Year 2012: See above. Fiscal Year 2013: Not available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments.

CCIIO awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://dhhs.gov/asfr/ogapa/aboutog/ogpoe.html>.

**Regional or Local Office:**

See Regional Agency Offices. Michelle T. Feagins, Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Department of Health and Human Services, 200 Independence Ave, SW, Washington DC 20201.

**Headquarters Office:**

Michelle T. Feagins, 200 Independence Ave., SW, Washington, District of Columbia 20201 Email: [michelle.feagins@hhs.gov](mailto:michelle.feagins@hhs.gov) Phone: (301) 492-4312.

**Website Address:**

<http://www.cciio.cms.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Approval of an application will be based on an analysis of the factors set forth in Section V -Application Review and Selection Information - of the specific funding opportunity announcement.

**93.526 AFFORDABLE CARE ACT (ACA) GRANTS FOR CAPITAL DEVELOPMENT IN HEALTH CENTERS**

ACA Capital Development Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

The Patient Protection and Affordable Care Act of 2010, Section 10503, P.L. 111-148, Title IV, Section 4101.

**OBJECTIVES:**

To award grants to Health Center Programs for Capital Development Grants for: (1) immediate facility improvements or (2) building capacity.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds will be used (1) to address immediate and pressing capital needs or (2) to support the costs of alteration/renovation or construction of a facility that is consistent with the Health Center Programs mission to provide comprehensive, culturally competent, quality primary healthcare services to medically underserved communities and vulnerable populations.

**Applicant Eligibility:**

Eligibility is limited to currently-funded health centers (see Funding Opportunity Announcement available through Grants.gov for additional eligibility information).

**Beneficiary Eligibility:**

Populations in medically underserved areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcements issued under the relevant program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Eligibility is limited to currently-funded grantees under the Health Center Program.

HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the specific funding opportunity announcements issued for additional information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grant funds will be awarded for up to 2 or 3 year budget/project periods. See the following for information on how assistance is awarded/released: Refer to the relevant funding opportunity announcement for additional information.

After Notices of Award are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System.

**Reports:**

Refer to the relevant funding opportunity announcements for additional information. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$732,445,627; FY 12 est \$728,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Varies. See specific Funding Opportunity Announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, MD 20857. Northeast Division: (301) 594-4488; Central Southeast Division: (301) 594-4420; Southwest Division: (301) 480-1130; North Central Division: (301) 443-0111.

**Headquarters Office:**

Matt Kozar Bureau of Primary Health Care, Health Resources and Services Administration, 5600 Fishers Lane, Room 17C-26, Rockville, Maryland 20857  
Phone: (301) 443-1034

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunity announcement issued under this CFDA program for specific information on the review criteria used in evaluating all applications.

**93.527 AFFORDABLE CARE ACT (ACA) GRANTS FOR NEW AND EXPANDED SERVICES UNDER THE HEALTH CENTER PROGRAM**

ACA Grants for New and Expanded Services under the Health Center Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 330 of the Public Health Service Act as amended (42 U.S.C. 254b), as amended by Section 10503 of The Patient Protection and Affordable Care Act (P.L. 111-148), Public Law 111-148.

**OBJECTIVES:**

To provide for expanded and sustained national investment in community health centers funded under section 330 of the Public Health Service Act.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and provision of primary health care services. Funds should not be used for inpatient services, or to make cash payments to intended recipients of services. Refer to the funding opportunity announcement under this CFDA number for additional information.

**Applicant Eligibility:**

Eligible applicants for funding new access points are public and private non-profit entities, including faith-based and community-based organizations that have the capacity to effectively administer the grant. Eligible applicants for funding expanded services are grantees currently funded as Health Centers under section 330 of the Public Health Service Act. Refer to the funding opportunity announcement under this CFDA number for additional information.

**Beneficiary Eligibility:**

Population groups in medically underserved areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding

decisions. Notification is made in writing by a Notice of Award (NoA).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement under this CFDA program for specific information.

**Appeals:**

Not Applicable.

**Renewals:**

Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, compliance with applicable statutory and regulatory requirements, demonstrated organizational capacity to accomplish the projects goals, and a determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Awards are made annually. After Notices of Award are issued, funds are released in accordance with DHHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Refer to the specific funding opportunity announcement under this CFDA program for additional information. Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access award funds. Go to <http://www.dpm.psc.gov/> for additional information. Refer to the funding opportunity announcement under this CFDA program for additional information. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records for 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit, or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$28,816,384; FY 12 est \$200,000,000; and FY 13 est \$19,000,000

**Range and Average of Financial Assistance:**

No current information.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program is subject to the provision of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 75 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Northeast Division: (301) 594-4488; Central Southeast Division: (301) 594-4420; Southwest Division: (301) 480-1130; North Central Division: (301) 443-0111.

**Headquarters Office:**

Bureau of Primary Health Care, HRSA, 5600 Fishers Lane, Rockville, Maryland 20857 Phone: (301) 594-4110.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting proposals are available in the funding opportunity announcement under this CFDA program. In addition, all applicants are expected to demonstrate compliance with applicable requirements including the Health Center Program Expectations. In addition to these general requirements, there are specific requirements and expectations for applicants requesting funding under each of the section 330 programs. Applicants are strongly encouraged to demonstrate compliance with these requirements and expectations in the application. Applicants requesting funding under multiple programs are expected to demonstrate compliance with the expectations and requirements of all of those programs.

**93.528 NATIONAL FORUM FOR STATE AND TERRITORIAL CHIEF EXECUTIVES**

National Forum

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 301 of the Public Health Service Act, as amended.

**OBJECTIVES:**

The National Forum will assist governors and key policy staff to develop and implement innovative solutions to governance and policy challenges in their jurisdictions. Examples of activities include the following:

- Promote promising and/or evidence-based practices that explore ways to strengthen primary care training programs and delivery systems through the practice of interdisciplinary teams;
- Support states efforts to improve their health services delivery systems with innovative workforce strategies that promote effective use of health care providers and that address health workforce supply and practice and educational and training capacities;
- Support and drive the integration of public health principles into the primary care delivery system. Through public health services and training:
  - o Improve the quality of care;
  - o Reduce health disparities;
  - o Promote evidence-based and promising practices to achieve health equity; and
  - o Identify and address other emerging issues in the states and territories.

The purpose of the National Forum is to convene high level decision makers representing the many state, federal, health and human services providers, and private sector interests around issues of importance to state and territory governors and their senior policy advisors. Through this project, the National Forum will work with their constituencies to address cross-cutting publicly

funded health program integration and health access issues identified by the governors and their representatives. The overall goals of the National Forum program are to: (1) seek alignment of HRSA's Affordable Care Act (ACA) funded programs with State/territorial programs; (2) promote the integration of primary care and public health; (3) strengthen the health workforce, and; (4) reduce health disparities and improve health equity.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Core Functions and Examples of Funded Activities for the National Forum for State and Territorial Chief Executives

- 1) Facilitate communication with states and territories policy makers on current and emerging strategies addressing common priorities
  - Provide a forum for high-ranking state and territorial decision makers to discuss public policy and governance issues affecting states to better leverage limited resources to strengthen and promote integration of public health and primary care systems.
  - Promote public and private sector strategies and best practices that improve access to quality health care and services, assure an adequate supply and effective use of the health workforce through a range of innovative strategies to improve the health status of individuals and populations.
  - Improve planning and program design to complement other public and private sector initiatives.
  - Provide recommendations to enhance the effectiveness of HRSA programs and initiatives to address the needs of the underserved and targeted populations, including the alignment of HRSA's programs with State programs as a result of ACA implementation.
  - Collaborate with the National Organizations of State and Local Officials (NOSLO) cooperative agreement recipients to develop and promote public and private sector strategies and best practices that improve access to quality health care and services.

- 2) Encourage integration of public health practice, primary care delivery systems and public health infrastructures
  - Work with governors and high-ranking state and territorial decision makers to address crosscutting publicly funded health program integration and health access issues, including utilizing promising practices for integration of services and programs to support an improved health care system.
  - Promote and enhance the sharing of information and human expertise to strengthen existing primary care and public health programs through effective collaborations with other governmental and nongovernmental entities and provide support to address gaps in services and resources.
  - Identify cross-cutting publicly funded health programs serving similar populations (e.g., Childrens Health Insurance Program [CHIP], Medicaid, Title V Maternal Child Health Block Grant Program and MCH discretionary programs, Ryan White HIV/AIDS Program, Health Center Program, Rural Health programs, Health Professions grant programs, etc.) to promote effective implementation of these programs in states and territories.
  - Work with governors and high-ranking state and territorial decision makers to improve state health workforce data and information.
  - Support best practice applications of information technology systems in health care settings, building upon integrated health infrastructures that use data to address public health and workforce issues.
  - Convene workshops, summits or Policy Academies to address emerging issues to support the efforts of governors and their staffs to improve the health of the underserved, uninsured, and targeted populations to more effectively address their access to care, health care infrastructure capacities, health workforce needs and capacities, and the quality of care received in the context of ACA implementation.

- 3) Support health and human services policy development/analysis capacity for states and territories
  - Address issues concerning the intended and unintended impact of changes on Medicaid and Childrens Health Insurance Program (CHIP) policies on the viability of safety net providers and the populations they serve.
  - Identify best practices of cost containment strategies in health care to assist the jurisdictions to leverage their financial resources and promote partnerships across different regions, disciplines, funding sources, and sectors.

Provide state-specific technical assistance on policy development for governors and their health policy staff on issues such as implementing ACA provisions as they relate to HRSA programs in their jurisdictions, including providing access to care, health workforce preparedness, Medicaid expansion, primary care, care coordination, home visiting programs, health insurance exchanges, and other aspects of the ACA.

Develop and maintain an information clearinghouse for use by governors and their staff on issues that relate to health care access for underserved and vulnerable populations by reducing health disparities to strengthen the public health infrastructure and safety net systems in the states and territories.

Improve/enhance a website that will provide easy access to analytic research, case studies (including the best practices of states) and other resources for governors offices on a variety of health care issues including health workforce preparedness and health IT development issues to plan for ACA implementation.

Work with governors and high-ranking state and territorial decision makers to assess best practices in effective and efficient deployment of health care workforce.

Develop and distribute issue briefs, articles, reports, or other documents relating to health care access, unmet population needs, health workforce capacity, the uses of existing data systems within states to address health care needs, and the complexity of private sector initiatives for use by governors and their staff.

Prepare issue briefs or convene regional or national meetings of state and territorial executive branch employees and others, as appropriate, for discussion of public and private sector strategies and best practices addressing the unmet needs of the uninsured and under-insured populations.

Serve as a mechanism to implement agency and departmental initiatives, such as oral health, mental health, rural health, homelessness, ACA implementation, and healthcare workforce shortages in states and territories.

Provide consultation as key policy stakeholders from states and territories in implementing a strategic approach for coordinating resources to support the integration of public health with effective, sustainable and accountable primary care services systems.

Provide technical assistance to strengthen the ability of primary care systems to improve the quality of care delivered by health care providers. The full amount will be used to cover the activities described in the funding opportunity announcement.

**Applicant Eligibility:**

Nonprofit, bi-partisan or nonpartisan organization that represents governors and their staff of a broad cross section of states, the Commonwealths of the Northern Mariana Islands and Puerto Rico, the U.S. flag territories of American Samoa, Guam, the U.S. Virgin Islands, and the District of Columbia are eligible to apply.

**Beneficiary Eligibility:**

See eligible beneficiaries listed above.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funding beyond the first year is dependent on the availability of appropriated funds for the National Forum in subsequent fiscal years, awardee satisfactory performance, and a decision that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period is for up to three years. See the following for information on how assistance is awarded/released: Awardees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards. Electronic Federal Financial Report (FFR) Cash Transaction Reports must be submitted electronically via the Payment Management System within 30 days of the end of each calendar quarter. Failure to submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information.

**Reports:**

Refer to the HRSA funding opportunity announcement for additional information. Federal Financial Report (FFR) Cash Transaction Reports must be submitted electronically via the Payment Management System within 30 days of the end of each calendar quarter. The report identifies cash expenditures against the authorized funds for the grant or cooperative agreement. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. The awardee must submit a progress report to HRSA on an annual basis. For multi-year awards: Submission and HRSA approval of the Progress Report(s) triggers the budget period renewal and release of subsequent year funds. The progress report typically has two parts. The first part demonstrates grantee progress on program-specific goals. The second part collects core performance measurement data including performance measurement data to measure the progress and impact of the project. An annual Federal Financial Report is required. The report is an accounting of expenditures under the project that year. More specific information will be included in the Notice of Award. Refer to the HRSA funding opportunity announcement for the roles and responsibilities of the Federal government and the recipient.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$460,000; FY 12 est \$460,000; and FY 13 est \$460,000

**Range and Average of Financial Assistance:**

This program will provide funding for Federal fiscal years 2012-2014.

Approximately \$460,000 is expected to be available annually to fund one (1) recipient. Funding beyond the first year is dependent on the availability of appropriated funds for the National Forum in subsequent fiscal years, recipient satisfactory performance, and a decision that continued funding is in the best interest of the Federal government.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lynnette S. Araki, 5600 Fishers Lane, Rockville, Maryland 20857 Email: Laraki@hrsa.gov Phone: (301) 443-6204. Fax: (301) 443-2286.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.011 National Organizations of State and Local Officials; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Review Criteria are outlined in Section V of the HRSA funding opportunity announcement.

**93.529 PRE-EXISTING CONDITION INSURANCE PROGRAM (PCIP)**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Patient Protection and Affordability Care Act, Section 1101.

**OBJECTIVES:**

The Patient Protection and Affordability Care Act, was enacted on March 23, 2010. The Health Care and Education Reconciliation Act Public Law 111-152, was enacted on March 30, 2010. Collectively, these laws are known as the "Affordable Care Act." Section 1101 of the Affordable Care Act requires that the Secretary of the Department of Health and Human Services (HHS) establish, either directly or through contracts with States or nonprofit private entities, a temporary high risk health insurance program to provide access to coverage for uninsured Americans with pre-existing conditions. (Hereafter, we generally refer to this program as the Pre-Existing Condition Insurance Plan program, or PCIP program, to avoid confusion with the existing State high risk pool programs, which will continue to operate separately.) The PCIP program is intended to remain in place from the time of its establishment until the Exchanges established under sections 1311 or 1321 of the Act go into effect on January 1, 2014.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

Please see State PCIP Model Contract. Please see State PCIP Model Contract [www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf) Under the state-run PCIP contracts, HHS shall exercise each of the option years described in paragraph A.2 according to the model contract by giving a preliminary notice of its intent at least 90 days prior to the end of each performance period and a written notice of exercise at least 60 days prior to the end of each performance period to the Contractor. The 90-day notice will state

HHS's intent to exercise the option, but does not commit HHS to exercising the option.

**Applicant Eligibility:**

The applicants must meet the terms and conditions outlined in the model contract. See the State PCIP Model contract at [www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf).

**Beneficiary Eligibility:**

Eligibility and enrollment rules for the Federal and state-operated PCIP programs can be found at [www.healthcare.gov](http://www.healthcare.gov) or below as set forth in text from our Interim Final Regulation (IFR).

B. Eligibility and Enrollment (Subpart C, Sec. 152.14 Through Sec. 152.15 of the PCIP IFR (45 CFR Part 152).

Section 1101(d) of the Affordable Care Act provides the basic eligibility criteria for the PCIP program, which are set forth under Sec. 152.14. In addition, consistent with the Secretary's general authority under section 1101(c)(2)(D) of the Act to establish requirements for a PCIP, we set forth enrollment and disenrollment requirements in Sec. 152.15.

In general, under section 1101(d) of the Affordable Care Act and subparagraphs (1), (2) and (3) of Sec. 152.14(a) of this interim final rule, an individual is eligible to enroll in a PCIP if he or she: (1) Is a citizen or national of the United States or is lawfully present in the United States as determined in accordance with section 1411 of the Affordable Care Act; (2) has not been covered under creditable coverage, as defined in section 2701(c)(1) of the Public Health Service Act as of the date of enactment, during the 6-month period prior to the date on which he or she is applying for coverage through the PCIP; and (3) has a pre-existing condition, as determined in a manner consistent with guidance issued by the Secretary. We further provide in Sec. 152.14(a)(4) that an individual must be a resident of a State that falls within the service area of a PCIP. Additional detail found in the IFR.

**Credentials/Documentation:**

Applicants should review the OCIIO state model contract issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

In order to be awarded a state contract to run the Pre-existing Condition Program in an individual state, a state must have submitted a notice of intent to apply, a proposal and model contract criteria approved by HHS.

**Deadlines:**

Jul 01, 2010

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details. Yes, see State Solicitation at [www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf).

**Length and Time Phasing of Assistance:**

States have options years through 2013. The funding is proposed to carry the program to 2014, with the last option year of the contract exercised in 2013. See State Model Contract for details. See the following for information on how assistance is awarded/released: Funding is distributed through the Payment Management System to pay for administrative costs and medical claims, monitored by monthly cost-reporting. Please see the State Model Contract for more detail.

**Reports:**

Please see State Model Contract  
[www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf). Please see State Model Contract  
[www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf). Please see State Model Contract  
[www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf). Please see State Model Contract  
[www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf). Please see State Model Contract  
[www.hhs.gov/cciio/Documents/state\\_hrp\\_model\\_contact.pdf](http://www.hhs.gov/cciio/Documents/state_hrp_model_contact.pdf).

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. .

**Records:**

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**Account Identification:**

01-2345-6-7-890.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$843,963,000; FY 12 est \$1,534,905,000; and FY 13 est \$1,615,968,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations can be found at: 45 CFR Part 152, Pre-Existing Condition Insurance Plan, Program; Interim Final Rule.

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle T. Feagins, 200 Independence Ave., SW , Washington, District of Columbia 20201 Email: michelle.feagins@hhs.gov Phone: 301-492-4312

**Website Address:**

<http://www.healthcare.gov> and [www.pcip.com](http://www.pcip.com)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See state model contract requirements.

**93.530 AFFORDABLE CARE ACT - TEACHING HEALTH CENTER GRADUATE MEDICAL EDUCATION PAYMENTS PROGRAM**

THC GME Payment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 340H of the Public Health Service Act, as added by Section 5508 of the Patient Protection and Affordable Care Act of 2010 (Pub. L. 111-148).

**OBJECTIVES:**

Expansion of primary care and dental residency training programs in

community based settings.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Payments are for direct and indirect expenses for expansion of existing or establishment of new residency training programs in qualified teaching health centers. Eligible residencies include family medicine, internal medicine, pediatrics, med-peds, ob/gyn, psychiatry, general and pediatric dentistry, geriatrics. THCGME (Teaching Health Center Graduate Medical Education Program) payments cannot duplicate payments from other GME funding such as Childrens Hospital GME and payments from the Centers for Medicare and Medicaid Services. Payments made under the THCGME program will be coordinated with other payments for residency training, including payments for Childrens Hospital GME and payments from the Centers for Medicare and Medicaid Services for other hospital-based GME.

**Applicant Eligibility:**

Eligible entities include community-based ambulatory patient care centers that operate a primary care residency program. Specific examples of eligible entities include, but are not limited to:

Federally qualified health centers, as defined in section 1905(l)(2)(B) of the Social Security Act

Community mental health centers, as defined in section 1861(ff)(3)(B) of the Social Security Act

Rural health clinics, as defined in section 1861(aa) of the Social Security Act

Health centers operated by the Indian Health service, an Indian tribe, or tribal organization, or an urban Indian organization, as defined in section 4 of the Indian Health Care Improvement Act

An entity receiving funds under Title X of the Public Health Service Act.

In addition, the eligible entity must be listed as the institutional sponsor by the relevant accrediting body, including the Accreditation Council for Graduate Medical Education (ACGME), American Osteopathic Association (AOA), or the Council on Dental Accreditation (CODA).

**Beneficiary Eligibility:**

The program supports high-quality primary care residency training in community based settings.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Applications will be reviewed for eligibility including accreditation status, program approval, qualifications of the Project Director, completeness, accuracy and compliance with the requirements outlined in the funding opportunity announcement. Based on this review, the HRSA program official with delegated authority is responsible for final selection and formula-based funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement for additional information.

**Appeals:**

Not Applicable.



**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are based on a annual assessment. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee must submit an annual report and complete reconciliation at the end of each Federal Fiscal year. Awardees are also required to report annually on specific performance measures. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Refer to the funding opportunity announcement for additional information. Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. DHHS, or any other authorized Federal agency, may conduct an audit to determine whether the applicant has complied with all governing laws and regulations in its application for funding. Any and all information submitted to DHHS by an applicant or participating THC during or after the award of funds is subject to review in an audit. The THCGME statute provides for a reconciliation process at the end of each Fiscal Year, through which overpayments may be recouped and underpayments may be adjusted. (See section 340H (f) of the Public Health Service Act.) The reconciliation process is based on the number of residents reported by the THC for the Federal Fiscal Year to determine the final amount payable to the THC for the Federal Fiscal Year. OMB form 0915-0342 applies to reconciliation.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the final FFR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 11 \$3,600,000; FY 12 est \$17,800,000; and FY 13 est \$44,000,000

**Range and Average of Financial Assistance:**

Formula grants and direct payments for a specific use.

Until the Secretary approves the THCGME payment formula an interim payment of up to \$150,000 per resident full time equivalent (FTE) per year will be paid to eligible entities for: (1). Direct expenses (DME) associated with sponsoring an approved graduate medical residency training program; and (2). Indirect expenses (IME) associated with the additional costs related to teaching residents.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Songhai Barclift, MD, Chief of the Community Based Training Branch Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857, Telephone: (301) 443-8681; Fax: 301 443-1945; E-mail: SBarclift@hrsa.gov.

**Headquarters Office:**

Division of Medicine and Dentistry, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857. Phone: (301) 443-6190 Fax: (301) 443-1945

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Formula grants to all eligible entities.

**93.531 PPHF 2012: COMMUNITY TRANSFORMATION GRANTS AND NATIONAL DISSEMINATION AND SUPPORT FOR COMMUNITY TRANSFORMATION GRANTS - FINANCED SOLELY BY 2012 PREVENTION AND PUBLIC HEALTH FUNDS**

Community Transformation Grants and National Dissemination and Support for Community Transformation Grants

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k) Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) and Title IV Section 4002 Prevention and Public Health Fund.

**OBJECTIVES:**

Community Transformation Grants - To reduce death and disability from the five leading causes of death through the prevention and control these conditions and their risk factors. Recipients will select from a menu of interventions across the health and wellness spectrum, each of which can prevent or control chronic conditions. Each recipient will choose interventions that will help to achieve health equity, eliminate disparities, and improve the health of all groups. More specific goals within these broad goal areas will be provided in funding announcements

National Dissemination and Support for Community Transformation Grants - To support the efforts of the CTG program by funding national non-governmental organizations with a network of community based organizations.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Both programs - Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including

personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Additional guidance may be provided in individual program announcements.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Executive Order 12372 may apply to the Community Transformation Grants, but does not apply to the National Dissemination Support for Community Transformation Grants. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applicable to both programs - An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Both programs will be subject to satisfactory performance as documented through semi-annual progress reports, Project Officer oversight documentation and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Community Transformation Grants are for 1 to 5 years with 12-month budget periods.  
National Dissemination and Support for Community Transformation Grants are for 1-4 years with 12 month budget periods. See the following for information on how assistance is awarded/released: Notice of Award.

**Reports:**

Applicable to both programs - Annual and semiannual progress reports are required. No cash reports are required. Applicable to both programs - Annual or semiannual progress reports are required. Applicable to both programs - Final financial status and performance reports are required 90 days after the end of a budget period. Programmatic performance monitoring is a requirement of these cooperative agreements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Salaries) FY 11 \$107,747,317; FY 12 est \$107,747,317; and FY 13 est \$107,747,317 - 2012 funding est:  
Community Transformation Grants \$103,547,317 and  
National Dissemination and Support for Community Transformation Grants \$4,200,000.

**Range and Average of Financial Assistance:**

Community Transformation Grants Expected: \$50,000 - \$500,000  
National Dissemination and Support for Community Transformation Grants Expected - \$350,000 - 3,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92 and 74

**Regional or Local Office:**

None.

**Headquarters Office:**

Rebecca Bunnell 4770 Buford Hwy, NE, MS K40, NCCDPHP, Atlanta, Georgia 30333 Email: rrb7@cdc.gov Phone: 770-488-2524 Fax: 770-488-5964

**Website Address:**

: <http://www.cdc.gov/> ; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and

Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.533 PREVENTION AND PUBLIC HEALTH FUND (AFFORDABLE CARE ACT): ENHANCED SURVEILLANCE FOR NEW VACCINE PREVENTABLE DISEASE**

Prevention and Public Health Fund Affordable Care Act - Enhanced Surveillance for New Vaccine Preventable Disease (NVSN)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs.

**OBJECTIVES:**

The purpose of the program is to support a network of sites that provide surveillance and data collection on new vaccine use, the impact of new and upcoming vaccines and other immunoprophylaxis, new vaccine policies / policies under consideration, through enhanced inpatient and Emergency Department(ED) surveillance, applied epidemiologic research, and investigator-initiated investigations. Measurable outcomes of the program will be in alignment with the following performance goal for NCIRD. Outcomes:  
1) To evaluate the impact of new or upcoming vaccines and other immunoprophylaxis, and new vaccine policies on disease in site populations.  
2) To evaluate the impact of new vaccines and new vaccine policies / policies under consideration on administration of vaccines. 3) To understand the burden of vaccine preventable diseases (VPDs) or potentially VPDs in the population.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, data collection, organizing, and the implementation of program elements. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

**Applicant Eligibility:**

Applicant Eligibility: Higher Education Institutions: Public/State Controlled Institutions of Higher Education Private Institutions of Higher Education

The following types of Higher Education Institutions are always encouraged to apply for CDC support as Public or Private Institutions of Higher Education:

Hispanic-serving Institutions  
Historically Black Colleges and Universities (HBCUs)  
Tribally Controlled Colleges and Universities (TCCUs)  
Alaska Native and Native Hawaiian Serving Institutions

Nonprofits Other Than Institutions of Higher Education  
Nonprofits (Other than Institutions of Higher Education)

Governments  
State Governments  
County Governments  
City or Township Governments  
Special District Governments  
Indian/Native American Tribal Governments (Federally Recognized)  
Indian/Native American Tribal Governments (Other than Federally Recognized)  
Eligible Agencies of the Federal Government  
U.S. Territory or Possession

Other

Independent School Districts  
Public Housing Authorities/Indian Housing Authorities  
Native American tribal organizations (other than Federally recognized tribal governments)  
Faith-based or Community-based Organizations  
Regional Organizations  
Bona Fide Agents

Entities must be States (or bona fide agents of States), political subdivision of States, or other public or non-profit private entities.

**Beneficiary Eligibility:**

Any U.S. state, political subdivision and U.S. territories (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application.

Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Contact the headquarters, as appropriate, or the funding opportunity announcement for application deadlines.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. This program has no statutory formula. This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial Assistance is available for a 12-month budget period. Method of awarding/releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 425) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. No cash reports are required. The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 425) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports (SF 425) are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Salaries) FY 11 \$1,656,000; FY 12 est \$1,878,200; and FY 13 est \$1,878,200 - (Cooperative Agreements) FY10 Not Available; FY11 \$1,656,000; FY12 Estimate \$1,878,200. Approximately \$1,878,200 (estimate) for FY 2013 in cooperative agreement funding will be made available. Future year funding is subject to the availability of funds.

**Range and Average of Financial Assistance:**

Awards will range from approximately \$450,000 to \$550,000 with an average of approximately \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Terry C Maricle 1600 Clifton Road, NE, MS A-47, Atlanta, Georgia 30333  
Email: [tcm1@cdc.gov](mailto:tcm1@cdc.gov) Phone: 4046392102

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.185 Immunization Research, Demonstration, Public Information and Education\_Training and Clinical Skills Improvement Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the Extramural Research Program Office (ERPO), NCHHSTP and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission Information, subsection Evaluation Criteria within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.534 AFFORDABLE CARE ACT PROGRAM FOR EARLY DETECTION OF CERTAIN MEDICAL CONDITIONS RELATED TO ENVIRONMENTAL HEALTH HAZARDS**

Agency for Toxic Disease Registry, Division of Health Studies

**FEDERAL AGENCY:**

Agency for Toxic Substances and Disease Registry, Department of Health and Human Services

**AUTHORIZATION:**

Affordable Care Act (ACA) Section 10323(b) amends Title XX of the Social Security Act (42 U.S.C. 1397 et seq.) to establish a Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards. (Section 2009 of the Social Security Act, as amended) (42 U.S.C. 1397h).

**OBJECTIVES:**

The overall goals of this program are for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

This program provides screening, health education, and outreach services for residents of a geographic area subject to declared public health emergencies under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA).

**Applicant Eligibility:**

- Eligibility as defined by the authorizing legislation.
- A hospital or community health center.
- A Federally qualified health center.
- A facility of the Indian Health Service.
- A National Cancer Institute-designated cancer center.
- An agency of any State or local government.
- A nonprofit organization.

**Beneficiary Eligibility:**

- Eligibility as defined by the authorizing legislation.
- A hospital or community health center.
- A Federally qualified health center.
- A facility of the Indian Health Service.
- A National Cancer Institute-designated cancer center.
- An agency of any State or local government.
- A nonprofit organization.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and

provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Institutions of Higher Education, Other non-profits and Community Organizations and Hospitals also 45 CFR part 92, State, Local and Tribal Governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and ATSDR. The NOA will be signed by an authorized Grants Management Officer, Centers for Disease Control and Prevention (CDC), acting as agent for ATSDR.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project periods are for 1 to 5 years with 12 month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, acting as agent for ATSDR. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for 1 to 5 years with 12-month budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

May be requested on a quarterly basis. May be requested on a quarterly basis. May be requested on a quarterly basis. May be requested on a quarterly basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Detailed and accurate records of travel expenditures, personnel hours and all other costs will be retained for ten years in accordance with HHS "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies." Such documents may be required to provide the basis of cost recovery actions or other litigation. Additionally, this documentation must be available for audit

or verification upon the request of the Inspector General. Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 10 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0944-0-1-551.

**Obligations:**

(Salaries) FY 11 \$2,490,094; FY 12 est \$2,325,304; and FY 13 est \$2,325,304

**Range and Average of Financial Assistance:**

Expected: \$2,000,000 3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74 and 45 CFR Part 92.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia 30341-3717 Email: ctg8@cdc.gov Phone: (770) 488-0572.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Additional criteria will be listed in individual funding opportunity announcements.

**93.535 AFFORDABLE CARE ACT (ACA) CHILDHOOD OBESITY RESEARCH DEMONSTRATION**

Childhood Obesity Research Demonstration

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 401(a) of the Childrens Health Insurance Program Reauthorization Act of 2009 (CHIPRA, Public Law 111-3), added new section 1139A, to the Social Security Act (the Act). Subsection 1139A(e) of the Social Security Act requires the Secretary of Health and Human Services (HHS) to conduct a Childhood Obesity Demonstration Project ([http://www.ssa.gov/OP\\_Home/ssact/title11/1139A.htm](http://www.ssa.gov/OP_Home/ssact/title11/1139A.htm)). In 2010, the Patient Protection and Affordability Act (ACA) appropriated funding for the Project in section 4306.section 301(a) and 317(k).

**OBJECTIVES:**

The overall goals of this program are to determine whether an integrated model of primary care and public health approaches in the community, such as policy, systems, and environmental supports for nutrition and physical activity, can improve underserved childrens risk factors for obesity. More specific goals will be provided in funding announcement.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to develop, implement, and evaluate multi-sectoral (i.e., childcare, school, community, health care), multi-level (i.e., child, family, organization, community, policy) intervention demonstration projects for

underserved children ages 2-12 years and their families, utilizing the Obesity Chronic Care Model and other similar models, as described in subsection 1139A(e) of the Social Security Act and section 301(a) and 317(k) of the ACA above. The use of and use restrictions are as follows: Recipients may only expend funds to implement and evaluate evidence-based policies, systems and environmental interventions, including personnel, travel, supplies, and services, such as contractual to reduce risk factors and prevent childhood obesity. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. The use of and use restrictions are as follows: Recipients may only expend funds to implement and evaluate evidence-based policies, systems and environmental interventions, including personnel, travel, supplies, and services, such as contractual to reduce risk factors and prevent childhood obesity. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations, Federally qualified health centers, health care providers, and an established consortium or partnership of entities. Additional guidance may be provided in the funding opportunity announcement.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program, with a specific focus on low income children eligible for services under titles XIX and XXI of the Social Security Act; children and their families living at least 150% or higher federal poverty level; or catchment areas where 50% of students are in schools eligible for the National School Lunch Program.

**Credentials/Documentation:**

Applicants must document their reach into the eligible pool of children for this FOA, identify a catchment area and specify a rigorous pre -post design that include at least 1500 children: (1) low income children eligible for services under titles XIX and XXI of the Social Security Act; (2) children and their families living at least 150% or higher federal poverty level; or (3) catchment areas where 50% of students are in schools eligible for the National School Lunch Program. Applicants must state the research aims, the scientific knowledge to be obtained, specify the research methods to be used to test intervention strategies, and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-102. This program is covered under OMB Circular No. A-110. Information

on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

A scientific merit review will be conducted, followed by pre-decisional site visits, and a secondary review, to evaluate the scientific merit, responsiveness, readiness, and feasibility of applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 200-220 days (approximately 7 months).

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Renewals will be based upon the availability of funding and satisfactory programmatic progress. The Project Periods is 4 years with four 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The Project Periods is for 4 years, with four 12-month budget periods. See the following for information on how assistance is awarded/released: The Project Periods is for 4 years, with four 12-month budget periods. Based on availability of funds and performance. Assistance is awarded on an annual basis.

**Reports:**

An interim progress report, financial status reports, and a final report are required. The final financial status and final report are due within 90 days after the end of a Project Period. Cash reports are not applicable. An interim progress report, financial status reports, and a final report are required. The final financial status and final report are due within 90 days after the end of a Project Period. Annual Financial Status Reports are required 90 days after the end of each budget period. An interim progress report, financial status reports, and a final report are required. The final financial status and final report are due within 90 days after the end of a Project Period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records

must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$6,239,599; FY 12 est \$6,071,563; and FY 13 est \$6,250,000 - FY 2011 actual amount: \$5,239,600 for Component A (Demonstration project) and \$999,999 for Component B (third-part Evaluation Center) for a total of \$6,239,599.

FY2012 estimate is \$5,071,564 for Component A and \$999,999 for Component B for a total of \$6,071,563. FY2013 estimate is \$5,250,000 for component A and 1,000,000\$ for component B for a total award of \$6,250,000.

**Range and Average of Financial Assistance:**

Expected: Average award of \$1.75 million (3 awards) for Component A and \$1.0 million for Component B. (1 award).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92.

**Regional or Local Office:**

None. Headquarters Office: Michael E. Dalmat, Dr.P.H., Extramural Research Program Office, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Department of Health and Human Services, 4770 Buford Highway, NE., Mailstop K-92, Atlanta, Georgia, 30341 Email: med1@cdc.gov , Phone: 770-488-6423, Fax: 770-488-8046.

**Headquarters Office:**

Michael Dalmat, 4770 Buford Highway, NE., Mailstop K-92, Atlanta, Georgia 30341 Email: med1@cdc.gov Phone: (770) 488-6423 Fax: (770) 488-8046.

**Website Address:**

: <http://www.cdc.gov/> ; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

: Funding will be directed to tribal, territorial, large county, and state and local health departments for evidenced-based policies, systems, and environmental programmatic activities. Non-governmental organizations may also be eligible for the funding opportunity. Additional criteria will be listed in the funding opportunity announcement.

**93.536 THE AFFORDABLE CARE ACT MEDICAID INCENTIVES FOR PREVENTION OF CHRONIC DISEASE DEMONSTRATION PROJECT**

MIPCD Program

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Affordable Care Act (Public Law 111-148) Section 4108.

**OBJECTIVES:**

Section 4108(a)(1)(A)The Secretary shall award grants to States to carry out initiatives to provide incentives to Medicaid beneficiaries who (i) successfully participate in a program described in paragraph (3); and (ii) upon completion of such participation, demonstrate changes in health risk and outcomes, including the adoption and maintenance of healthy behaviors by meeting specific targets (as described in subsection (c)(2)). (a)(1)(B) The purpose of the initiatives under this section is to test approaches that may encourage behavior modification and determine scalable solutions. (a)(3)(A)The Secretary shall award grants to States to carry out initiatives to provide incentives to Medicaid beneficiaries who successfully participate in a comprehensive, evidence-based,

widely available, and easily accessible program, proposed by the State and approved by the Secretary, that is designed and uniquely suited to address the needs of Medicaid beneficiaries and has demonstrated success in helping individuals achieve ceasing use of tobacco, controlling their weight, lowering cholesterol, lowering blood pressure, and avoiding onset of diabetes. (a)(3)(B) A program under this section may also address co-morbidities (including depression) that are related to any of the conditions described in subparagraph (A). (a)(3)(C) WAIVER AUTHORITY- The Secretary may waive the requirements of section 1902(a)(1) (relating to statewideness) of the Social Security Act for a State awarded a grant to conduct an initiative under this section and shall ensure that a State makes any program described in subparagraph (A) available and accessible to Medicaid beneficiaries. (a)(4)(D) FLEXIBILITY IN IMPLEMENTATION- A State may enter into arrangements with providers participating in Medicaid, community-based organizations, faith-based organizations, public-private partnerships, Indian tribes, or similar entities or organizations to carry out programs described in subparagraph (A). (d)(2) A State awarded a grant to conduct an initiative under this section shall develop and implement a system to(1) track Medicaid beneficiary participation in the program and validate changes in health risk and outcomes with clinical data, including the adoption and maintenance of health behaviors by such beneficiaries; (2) to the extent practicable, establish standards and health status targets for Medicaid beneficiaries participating in the program and measure the degree to which such standards and targets are met; (3) evaluate the effectiveness of the program and provide the Secretary with such evaluations; (4) report to the Secretary on processes that have been developed and lessons learned from the program; and (5) report on preventive services as part of reporting on quality measures for Medicaid managed care programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funding under this program will be used according to the ACA section 4108 statute. States will be reimbursed for approved expenditures through the grant with 100 percent Federal funds. Approvable expenditures will include direct cash incentives, or alternative forms of inducement such as free goods, transportation support, reduced Medicaid program fees, provision of alternative preventive services not normally reimbursable through Medicaid, or payments to family members, friends or community agencies that provide support and facilitation of a participants preventive program attendance and meeting goals of tobacco cessation, controlling or reducing weight, lowering cholesterol, lowering blood pressure, and avoiding the onset of diabetes or improving the management of the condition. Also reimbursement of 100 percent of approved expenditures for the administrative operation of the MIPCD Program is available through the grant. Examples of eligible reimbursable items are: key personnel; MIPCD travel, training, outreach and marketing; IT infrastructure to accommodate the MIPCD reporting requirements; and completing the satisfaction survey requirements. Applicants should review the individual funding opportunity announcement issued under this CFDA program for prohibited uses of grant funding.

**Applicant Eligibility:**

Applicants should review the eligibility information of the individual funding opportunity announcement issued under this CFDA program.

**Beneficiary Eligibility:**

Applicants should review the funding opportunity description of the funding opportunity announcement issued under this CFDA program for information on participant eligibility requirements.

Sec 4108(e) No Effect on Eligibility For, or Amount of, Medicaid or Other Benefits Any incentives provided to a Medicaid beneficiary participating in a program described in subsection (a)(3) shall not be taken into account for purposes of determining the beneficiary's eligibility for, or amount of, benefits under the Medicaid program or any program funded in whole or in part with Federal funds.

**Credentials/Documentation:**

Applicants should review the individual funding opportunity announcement issued under this CFDA program for any required proof of certifications which

must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Sec 4108(4) APPLICATION- Following the development of program criteria by the Secretary, a State may submit an application, in such manner and containing such information as the Secretary may require, that shall include a proposal for programs described in paragraph (3)(A) and a plan to make Medicaid beneficiaries and providers participating in Medicaid who reside in the State aware and informed about such programs. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program.

Applicants are encouraged to submit a non-binding Notice of Intent to Apply. Notices of Intent to Apply are not required and a states submission or failure to submit a notice has no bearing on the scoring of proposals received. Notices of Intent to Apply are due no later than February 3, 2011. Applications are due March 1, 2011. Applicants should review the application and submission information in the funding opportunity announcement for specific instructions to apply for this grant program.

**Award Procedure:**

Successful applicants will receive a Notice of Award. Unsuccessful applicants will be notified by letter. Applicants should review the award administration information of the funding opportunity announcement issued under this CFDA program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Applicants should review the award information of the individual funding opportunity announcement issued under this CFDA program for applicable approval/disapproval time range.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to approval, the grant funding will be renewed annually.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements. This program has no MOE requirements.

**Length and Time Phasing of Assistance:**

Section 4108(f) Funding- Out of any funds in the Treasury not otherwise appropriated, there are appropriated for the 5-year period beginning on January 1, 2011, \$100,000,000 to the Secretary to carry out this section. The funds in this section may be obligated within the 5-year period beginning 1/1/2011. Method of awarding/releasing assistance: quarterly.

**Reports:**

Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting required. Section 4108(2) STATE REPORTING- A State awarded a grant to carry out initiatives under this section shall submit reports to the Secretary, on a semi-annual basis, regarding the programs that are supported by the grant funds. Such report shall include information, as specified by the Secretary, regarding--(A) the specific uses of the grant funds; (B) an assessment of program implementation and lessons learned from the programs; (C) an assessment of quality improvements and clinical outcomes under such programs; and (D) estimates of cost savings resulting from such programs. Applicants should review the individual funding opportunity announcement for information on financial reporting requirements. Applicants should review the individual funding opportunity announcement for

information on programmatic and evaluation reporting requirements.

Applicants should review the individual funding opportunity announcement for information on financial reporting requirements. Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by project number including all receipts and expenditures must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Salaries) FY 11 \$17,700,822; FY 12 est \$29,438,000; and FY 13 est \$22,060,000

**Range and Average of Financial Assistance:**

Estimate 8-10 states, \$1.7-2.1 million/per state in annual grant money and the full 12-month obligation to be made in the FY.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should refer to the funding opportunity announcement for applicable regulations, guidelines and literature.

**Regional or Local Office:**

See Regional Agency Offices. Applicants should refer to the agency contact information of the funding opportunity announcement under this CFDA program for contact information.

**Headquarters Office:**

Ed Hutton, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: Grant@cms.hhs.gov Phone: (410) 786-6616.

**Website Address:**

<http://www.grants.gov> <http://www.cfda.gov>

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant should refer to the funding opportunity announcement under this CFDA program for specific criteria requirements on proposal selection.

**93.537 AFFORDABLE CARE ACT MEDICAID EMERGENCY PSYCHIATRIC DEMONSTRATION**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Affordable Care Act (Public Law 111-148) Section 2707.

**OBJECTIVES:**

Section 2707(a)The purpose of this program is for the Secretary of Health and Human Services (in this section referred to as the Secretary) to establish a demonstration project under which an eligible State (as described in subsection (c)) shall provide payment under the State Medicaid plan under title XIX of the Social Security Act to an institution for mental diseases that is not publicly owned or operated and that is subject to the requirements of section 1867 of the



Social Security Act (42 U.S.C. 1395dd) or the provision of medical assistance available under such plan to individuals who (1) have attained age 21, but have not attained age 65; (2) are eligible for medical assistance under such plan; and (3) require such medical assistance to stabilize an emergency medical condition. To conduct a 3-year Medicaid demonstration project. Participating States would be allowed to provide payment to private institutions for mental disease (IMDs) of 17 or more beds for services provided to Medicaid beneficiaries between the ages of 21 and 65 who are in need of medical assistance to stabilize an emergency psychiatric condition.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The statute permits States selected to participate in the demonstration to provide payment to private institutions for mental disease (IMDs) of 17 or more beds for services provided to Medicaid beneficiaries between the ages of 21 and 65 who are in need of medical assistance to stabilize an emergency psychiatric condition. States will receive only federal matching funds for Medicaid payments made under the demonstration. Funds shall be allocated to eligible States on the basis of criteria, including a States application and the availability of funds, as determined by the Secretary. Funding under the demonstration is intended to be used only for Medicaid payment for services specified under Section 2707. In addition, In no case may the aggregate amount of payments made by the Secretary to eligible States under this section exceed \$75,000,000; or payments be provided by the Secretary under this section after December 31, 2015.

**Applicant Eligibility:**

State Medicaid Agencies.

**Beneficiary Eligibility:**

Enrolled Medicaid beneficiaries between the ages of 21 and 65 who are in need of medical assistance to stabilize an emergency psychiatric condition.

**Credentials/Documentation:**

Yes, applicants should review the solicitation mailed directly to the State Medicaid Directors for any required proof of certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. b) STABILIZATION REVIEW. A State shall specify in its application described in subsection (c)(1) establish a mechanism for how it will ensure that institutions participating in the demonstration will determine whether or not such individuals have been stabilized (as defined in subsection (h)(5)). This mechanism shall commence before the third day of the inpatient stay. States participating in the demonstration project may manage the provision of services for the stabilization of medical emergency conditions through utilization review, authorization, or management practices, or the application of medical necessity and appropriateness criteria applicable to behavioral health. States will be given 60 days to respond with their application. Applications will be reviewed by a panel of experts and panel results forwarded to the Administrator for final selection.

**Award Procedure:**

Applications will be reviewed and the results forwarded to the CMS Administrator for final selection. The selected States will be notified of approval status.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximate range of approval/disapproval is 60 days from the application deadline.

**Appeals:**

Not applicable.

**Renewals:**

Not applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Section 2707(e)(5) of the ACA stipulates that, The Secretary shall pay to each eligible State, from its allocation under paragraph (4), an amount each quarter equal to the Federal medical assistance percentage of expenditures in the quarter for medical assistance provided under the demonstration. In accordance with this provision, CMS will make payments of the federal Medicaid matching share quarterly based on the quarterly submission of State Medicaid expenditures. However, as part of the terms and agreements for participating in the demonstration, State Medicaid Agencies will be advised that once the federal funding limit is reached, States will not receive payment of the federal share of any outstanding Medicaid expenditures. This program does not have MOE requirements. Not applicable.

**Length and Time Phasing of Assistance:**

\$75 million is appropriated for fiscal year 2011 and shall remain available for obligation through December 31, 2015. Method of awarding/releasing assistance: quarterly.

**Reports:**

Section 2707 (5) As a condition of receiving payment, a State shall collect and report information, as determined necessary by the Secretary, for the purposes of providing Federal oversight and conducting an evaluation under subsection (f)(1). No cash reports are required. Applicants should review the solicitation notice for additional information on progress reports required. States are required to submit quarterly expenditure reports. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. .

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Salaries) FY 11 \$749,982; FY 12 est \$22,605,000; and FY 13 est \$23,505,000

**Range and Average of Financial Assistance:**

Funds shall be allocated to eligible States on the basis of criteria, including a States application and the availability of funds, as determined by the Secretary.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should refer to the SMD letter for applicable regulations, guidelines and literature. Applications will be available in the announcement and a downloadable application will be available on the specified demonstration webpage.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Armen Thoumaian, Ph.D 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: armen.thoumaian@cms.hhs.gov Phone: 410-786-6672

**Website Address:**

<http://www.cms.hhs.gov/contracts>; [www.cfda.gov](http://www.cfda.gov)

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

## **CRITERIA FOR SELECTING PROPOSALS:**

Section 2707(c)(3) A State shall be determined eligible for the demonstration by the Secretary on a competitive basis among States with applications meeting the requirements of paragraph (1). In selecting State applications for the demonstration project, the Secretary shall seek to achieve an appropriate national balance in the geographic distribution of such projects. The CMS review process of the State applications will be conducted by a panel of experts. The CMS project officer will coordinate the panels review. Applicant should refer to the solicitation under this CFDA program or contact the CMS project officer for more information regarding the selection process.

## **93.538 AFFORDABLE CARE ACT - NATIONAL ENVIRONMENTAL PUBLIC HEALTH TRACKING PROGRAM-NETWORK IMPLEMENTATION**

National Center for Environmental Health, Division of Environmental Hazards and Health Effects, Environmental Health Tracking Branch

### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

### **AUTHORIZATION:**

Public Health Service Act, Section 317(k)(2)(42 U.S.C. 247b), Patient Protection and Affordable Care Act (ACA), section 4002(42 U.S.C. 300u-11).

### **OBJECTIVES:**

The purpose of this program is to establish and maintain a nationwide tracking network to obtain integrated health and environmental data and use it to provide information in support of actions that improve the health of communities.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

This program provides funding to the states to establish their tracking network.

### **Applicant Eligibility:**

Consistent with appropriation legislative history which began the Tracking initiative in FY 2002, states and local government health departments or their Bona Fide Agents.

### **Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

### **Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Pre-application coordination is not required. This program is eligible for coverage under Executive Order 12372, Intergovernmental Review of Federal Programs.. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. This program is covered under OMB Circular No. A-102. It is subject to the provisions of 45 CFR, Part 92 for State and local governments. The standard application forms must be used for this program. Applicants must register their organizations through [www.Grants.gov](http://www.Grants.gov), the official agency-wide E-grant website, at least 30 days prior to submitting their applications. Registration information is located on the Get Registered screen of [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). Electronic applications will be considered as having met the deadline if the application has been successfully made available to CDC for processing from [www.Grants.gov](http://www.Grants.gov) on the deadline date. The application package can be downloaded from [www.Grants.gov](http://www.Grants.gov). Applicants can complete the application package off-line, and then upload and submit the application via

the [Grants.gov](http://Grants.gov) Web site. The applicant must submit all application attachments using a PDF file format when submitting via [Grants.gov](http://Grants.gov). Directions for creating PDF files can be found on the [Grants.gov](http://Grants.gov) Web site. Use of file formats other than PDF may result in the file being unreadable by staff.

### **Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer, CDC.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

### **Appeals:**

Not Applicable.

### **Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 3 years with 12-month budget periods.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Project period is for 3 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Terms are with in the Notice of Award which is a binding agreement between the grantee and the funding agency and comes from the Procurement and Grants Office.

### **Reports:**

Semi-annual and annual progress reports are required. Final Financial Status and performance reports are required 90 days after the end of a project period. Site visits to ensure program integrity may also be conducted by CDC. Cash reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal Awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

### **Records:**

Records must be retained in accordance with 45 CFR 92.42.

### **Account Identification:**

75-0943-0-1-551.

### **Obligations:**

(Cooperative Agreements) FY 11 \$22,061,603; FY 12 est \$22,061,603; and FY 13 est \$22,061,603

### **Range and Average of Financial Assistance:**

Approximate Average Award is \$700,000. This amount is for the first 12-month budget period, and includes both direct and indirect costs. Floor of Individual Award Range is \$ 500,000. Ceiling of Individual Award Range is \$1,100,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Caroline Gardner, 4770 Buford Hwy, NE, MS F61, Atlanta, Georgia  
30341-3717 Phone: (770) 488-0572.

**Website Address:**

<http://www.cdc.gov/ephtracking>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current  
Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selection of applicants are listed in the funding opportunity  
announcement.

**93.539 PPHF 2012 - PREVENTION AND PUBLIC HEALTH FUND  
(AFFORDABLE CARE ACT) - CAPACITY BUILDING ASSISTANCE TO  
STRENGTHEN PUBLIC HEALTH IMMUNIZATION INFRASTRUCTURE  
AND PERFORMANCE FINANCED IN PART BY 2012 PREVENTION  
AND PUBLIC HEALTH FUNDS**

Prevention and Public Health Fund (Affordable Care Act) - Immunization  
Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human  
Services

**AUTHORIZATION:**

This program is authorized under Section 317 of the Public Health Service Act  
(42 U.S.C. Sections 247b), as amended; and the Patient Protection and  
Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and  
Public Health Fund) for expanded and sustained national investment in  
prevention and public health programs. This program is funded in part by 2012  
Prevention and Public Health Funds (PPHF-2012).

**OBJECTIVES:**

Program activities under this funding will support efforts to transition  
immunization programs supported by Section 317 funding to the healthcare  
environment being transformed by the Affordable Care Act (ACA). Section  
317 grantees manage the public health force that implements and supports  
immunization practices in the public and private sectors. Additionally, the  
importance of monitoring the effectiveness and impact of vaccines is critical for  
maintaining an immunization program that is scientifically and  
programmatically sound. The specific objectives may include but are not  
limited to: 1. Enhance interoperability between electronic health records and  
immunization information systems and reception of Health Level 7 (HL7)  
standard messages into IIS. 2. Develop a vaccine ordering module in an  
immunization information system that interfaces with CDC's VTrckS vaccine  
ordering and management system. 3. Develop and/or implement strategic plans  
for billing for immunization services in health department clinics to enable  
programs to increase program revenue, reach additional populations, provide  
recommended vaccines that are not currently offered, and address  
under-vaccinated populations. 4. Plan and implement adult immunization  
programs to improve adult immunization rates by establishing collaborations  
with employers and pharmacies and other healthcare entities to expand adult  
vaccination activities. 5. Enhance the sustainability of school-located  
vaccination (SLV) to make SLV programs successful, efficient, and sustainable  
through new technologies and innovative systems and third-party payer billing  
to recover program costs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing,  
conducting, and supporting immunization programs directed toward  
vaccine-preventable diseases, and for the implementation of other program  
elements as described in Section 050 above and through CDC allowable and  
unallowable expenses. See above.

**Applicant Eligibility:**

Eligibility is limited to existing grantees under the Immunization Program  
(CFDA 93.268) which includes all 50 U.S. states, the District of Columbia,  
local health departments (Chicago, Houston, New York City, Philadelphia, San  
Antonio) and U.S. territories (Commonwealth of Puerto Rico, Virgin Islands,  
Commonwealth of the Northern Mariana Islands, American Samoa, Guam,  
Federated States of Micronesia, Republic of the Marshall Islands, Republic of  
Palau). Private individuals, private nonprofit agencies, and Indian tribes are not  
eligible.

**Beneficiary Eligibility:**

Any U.S. state, political subdivision and U.S. territories (as described above),  
and other public entities will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the  
project, outline the method of operation, describe the evaluation procedures,  
and provide a budget with justification of funds. Costs will be determined in  
accordance with 2 CFR 225 (OMB Circular No. A-87) for state and local  
governments. OMB Circular No. A-87 applies to this program. OMB Circular  
No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact  
information is not required for this program. This program is excluded from  
coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This  
program is excluded from coverage under OMB Circular No. A-110.  
Pre-application coordination is not required. Environmental impact information  
is not required for this program. This program is eligible for coverage under  
E.O. 12372 Intergovernmental Review of Federal Programs. An applicant  
should consult the office or official designated as the single point of contact in  
his or her state for more information on the process the state requires to be  
followed in applying for assistance, if the state has selected the program for  
review.

This program is excluded from coverage under OMB Circular No. A-110.  
Allowable costs will be determined in accordance with OMB Circular No. A-87  
for non-profit, non-governmental organizations. Applicants must download  
supplemental application forms from [www.Grants.gov](http://www.Grants.gov). Supplemental  
applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).  
If an applicant does not have access to the Internet, or if they have difficulty  
accessing the forms online, contact the CDC Procurement and Grants Office,  
Technical Information Management Section (PGO-TIMS) staff. For this, or  
further assistance, contact PGO-TIMS: Telephone: 770-488-2700, email:  
[PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov). HHS/CDC Telecommunications for the hearing impaired:  
TTY 770-488-2783.

**Award Procedure:**

All applications that are complete and responsive to competitive supplemental  
grant and cooperative agreement announcements will undergo an objective  
review process, receive a written critique and be scored according to published  
review criteria. Successful applicants will receive a Notice of Award (NoA)  
from the CDC Procurement and Grants Office. The NoA shall be the only  
binding, authorizing document between the recipient and CDC. The NoA will  
be signed by an authorized CDC Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period and 24-month project period. Method of awarding/releasing assistance: lump sum.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding opportunity announcement. No cash reports are required. Funded applicants must provide a Monthly Progress Report within 30 days after the award and monthly thereafter. An Annual Progress Report is due 90 days after the end of the budget period. Federal Financial Reports (SF-425) and Final Progress Report are due 90 days after the end of the budget period. Federal Financial Reports (SF-425) are due 90 days after the end of the budget period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$41,899,640; FY 12 est \$23,467,990; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards will range from approximately \$100,000 to \$3,000,000 with an average of approximately \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available for 45 CFR 92 and HHS Grants Policy statement at <http://www.ahrq.gov/fund/hhsolicy.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aaron Borrelli, 1600 Clifton Road, NE, MS A-19, Atlanta, Georgia 30033. Phone: 404-639-8715.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.268 Immunization Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Immunization and Respiratory Diseases and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified if the application did not meet submission requirements. CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application Review Information within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.540 AFFORDABLE CARE ACT STREAMLINED SURVEILLANCE FOR VENTILATOR-ASSOCIATED PNEUMONIA: REDUCING BURDEN AND DEMONSTRATING PREVENTABILITY; AND PREVENTION AND PUBLIC HEALTH FUND  
FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs, IV U.S.C 4002.

**OBJECTIVES:**

Ventilator-associated pneumonia (VAP) is one of the most common and deadly healthcare-associated infections (HAIs). Program activities under this funding will facilitate a study to demonstrate the utility and relevance of sVAP and promote acceptance of sVAP within the critical care community. Implementation of a new, reliable, valid, clinically credible and potentially automatable VAP surveillance definition will provide the foundation for national surveillance and prevention efforts and for pay-for-reporting and pay-for-performance programs, leading to improved patient safety and fewer complications for patients needing mechanical ventilation. Specifically, the objectives of this project are to: 1. Implement prospective sVAP surveillance in 9 acute-care hospitals currently conducting VAP surveillance using existing National Healthcare Safety Network (NHSN) definitions; 2. Compare the total sVAP surveillance burden to the total burden associated with use of existing NHSN VAP definitions; and 3. Implement an evidence-based VAP prevention initiative and evaluate sVAP preventability by assessing the association between sVAP rates and prevention measure compliance rates. Nine hospitals currently engaged in NHSN VAP surveillance will be recruited.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, data collection, organizing, and the implementation of program elements to build HAI prevention and public health capacity. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

**Applicant Eligibility:**

Eligible applicants include recipients funded under the CDC Prevention Epicenters Program (CI11-001):

- a. Chicago Prevention Epicenter
- b. Duke University Prevention Epicenter
- c. Harvard/Irvine Prevention Epicenter
- d. University of Pennsylvania Prevention Epicenter
- e. Washington University Prevention Epicenter.

**Beneficiary Eligibility:**

State and local health departments, U.S. Territories, and the general public.

**Credentials/Documentation:**

Allowable costs will be determined in accordance with OMB Circular No. A-87 for State, Local, and Indian Tribal governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirements.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 18-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. No cash reports are required. The reporting schedule will be based on the requirements listed in the funding announcement. In most cases, funded applicants must provide an interim and annual progress report. Where applicable, the interim progress report is due no less than 90 days before the end of the specified

budget period. Where applicable, the Interim Progress Report (IPR) will serve as the non-competing continuation application. Financial Status Reports are required no more than 90 days after the end of the budget period. Final financial status and progress reports are due no later than 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,544,309; FY 12 est \$30,000; and FY 13 est \$0 - Program has added \$30,000 (non-ACA funds) in FY12 to reinstate a research aim from the initial proposal. The project period is the same and the total funding provided for this project is now \$1,574,309.

**Range and Average of Financial Assistance:**

Approximately \$1,544,309 in FY 2011 is anticipated to fund 1 application. The award period is 24 months. An applicant may request a project period up to 24 months for a total of \$1,544,309 including direct and indirect costs.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None. Not applicable.

**Headquarters Office:**

Tiffanee L. Woodard CDC, 1600 Clifton Rd., MS-A31, Atlanta, Georgia 30333. Phone: 404-639-7093. Fax: 406-639-4046.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by Division of Healthcare Quality Promotion (DHQP), NCEZID and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission Information, subsection Evaluation Criteria within the individual funding

announcement. Applicants will be notified if their application did not meet program requirements.

### **93.541 THE PATIENT PROTECTION AND AFFORDABLE CARE ACT OF 2010 (ACA)**

Racial and Ethnic Approaches to Community Health (REACH)

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k)(2) Patient Protection and Affordable Care Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311, sec 4201.

#### **OBJECTIVES:**

The overall goals of this program are to reduce death and disability from leading causes of death through the prevention and control of these conditions and their risk factors. Racial and ethnic groups targeted include: African American/Black, American Indian/Alaska Native, Asian, Native Hawaiian/Other Pacific Islander, and Hispanic/Latino. Health priority areas include: breast and cervical cancer; cardiovascular disease; diabetes mellitus; adult/older adult immunization, hepatitis B, and/or tuberculosis; asthma; and infant mortality. REACH and Community Health program recipients will design, implement, evaluate, and disseminate community-driven strategies to eliminate health disparities as well as provide capacity-building to increase effectiveness of chronic disease prevention and health promotion programs at the state, territorial and local level through professional development and workforce training, identification, communication and use of effective evidence-based interventions. More specific goals within these broad goal areas will be provided in funding announcements.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not use funds for construction.

#### **Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Additional guidance may be provided in individual program announcements.

#### **Beneficiary Eligibility:**

The general public will benefit from the objectives of this program. Additionally, colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, and faith-based organization, states, political subdivisions of states, local health authorities, and individuals or organizations with specialized health interests will benefit.

#### **Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the

project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is covered under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

#### **Award Procedure:**

An technical review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project periods is for one year with a 12 month budget period. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project periods is for one year with a 12 month budget period. Method of awarding/releasing assistance: lump sum.

#### **Reports:**

Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Cash reports are not applicable. Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must

be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$24,501,000; FY 12 est \$14,997,700; and FY 13 est \$14,997,700 - Obligation reflect on monies to support:  
09-905 - (REACH NMO) \$1,499,770 Funding for FY12 with estimate for FY13; this program ends in 2014

07-707 (REACH) - 21,761,848 - No FY12 funding program ended  
10-1014 - (REACH Core) \$2,239,152 - No FY12 funding program ended.

**Range and Average of Financial Assistance:**

07-707 (REACH) \$400,000 to 850,000;  
09-905 \$250,000 (REACH NMO)  
10-1014 \$200,000 to \$250,000. (REACH Core).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandra L Coulberson 4770 Buford Highway, NE, Mailstop K30  
, Atlanta, Georgia 30341 Email: axc1@cdc.gov Phone: 770-488-5332 Fax:  
770-488-5974.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and  
Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding will be directed to tribal, territorial, large county, and state and local health departments for evidenced-based policies, systems, and environmental programmatic activities. Non-governmental organizations are also eligible for funding opportunities. Additional criteria will be listed in individual funding opportunity announcements.

**93.542 HEALTH PROMOTION AND DISEASE PREVENTION RESEARCH CENTERS: PPHF 2012 - AFFORDABLE CARE ACT PROJECTS**

Prevention Research Centers

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order This program is authorized under Section 4002 of the ACA, Prevention and Public Health Fund, Section 1706 of the PHS Act, 42 U.S.C. 300u-5, and Section 317(k)(2) of the PHS Act, 42 U.S.C. 247b(k)(2).

**OBJECTIVES:**

To: (1) To maintain, and operate academic-based centers for high-quality research and demonstration with respect to health promotion and disease prevention; (2) to establish linkages, where applicable, between ongoing, basic research in a wide array of fields and applied research in disease prevention and health promotion; (3) to bring the knowledge and expertise of academic health centers to bear on practical public health problems; (4) to field test and rigorously evaluate more cost-effective methods and strategies for preventing unnecessary illness and promoting good health; (5) to shorten the time lag between the development of new and proven effective disease prevention and health promotion techniques and their widespread application, and; (6) to involve the community in the development, conduct, and implementation of

prevention research. Prevention Research Centers will: (1) focus on the major causes of death and disability, with an emphasis on underserved and vulnerable populations (2) improve public health practice through community-based participatory research, and (3) design, test, disseminate, or translate effective public health programs at the state and community level. Funding will support key elements of (1) infrastructure and administration, (2) community engagement and partnerships, (3) communication and dissemination, (4) training and education, (5) evaluation, (6) a community-based participatory core research project, and -- for some Prevention Research Centers, 7) special interest projects (SIPS).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for cost associated with planning, data collection, organizing, and the implementation of program elements related to the objectives identified in 050 above. Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual. Recipients may not use funds for clinical care. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible to apply for funding.

**Applicant Eligibility:**

Only applicants who have applied for and have been selected as Prevention Research Centers under CDC Program Announcement DP-09-001 are eligible to apply for the annual continuation funding for the core award and Special Interest Project (SIPS) awards. Funding is limited to Prevention Research Centers under CDC Program Announcement PA DP-09-001 because they are uniquely positioned to perform, oversee, and coordinate community-based participatory research that promotes the field of prevention research due to their established relationships with community partners.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must have applied for and been selected as Prevention Research Centers under CDC Program Announcement DP-09-001. Applicants must document the need for assistance, state the objectives of the proposed project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application Procedure: The CDC Procurement and Grants Office (PGO) will provide a Prevention Research Center (PRC) Program Guidance document to eligibility applicants entitled How to Prepare the PRC Non-Competing Continuation Application and Progress Report. Applicants must manually submit an annual continuation application to PGO by the deadline provided in the Program Guidance document. If the applicant has difficulty, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov.

**Award Procedure:**

CDC will not review incomplete and non-responsive continuation applications for core awards and Special Interest Projects (SIPS) awards. Applications that are complete and responsive will be evaluated for scientific and technical merit by the CDC Scientific Collaborator for the project, the CDC Project Officer for the Prevention Research Center, and a Scientific Program Official within the CDC Extramural Research Program Office. Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants

Management Officer. The award will provide funds for the budget period of 12 months and the NGA will indicate allocation of Federal funds by budget categories and special conditions, if any. The project period for continuation funding is 12 months.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. None.

**Appeals:**

Not Applicable.

**Renewals:**

No renewals; the project period is 12 months.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The program has no statutory formula. The program has no matching requirement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is 12 months with one budget period of 12 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

An interim progress report, financial status reports, and a final progress report are required. The final financial status and final report are due within 90 days after the end of a Project Period. Cash reports are not applicable. An interim progress report, financial status reports, and a final progress report are required.

The final financial status and final report are due within 90 days after the end of a Project Period. An interim progress report, financial status reports, and a final progress report are required. The final financial status and final report are due within 90 days after the end of a Project Period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-1209-4-3-000.

**Obligations:**

(Salaries) FY 11 \$10,000,000; FY 12 est \$9,875,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range from \$300,000 to \$625,000 per award for an average award of \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92 at <http://www.hhs.gov/opa/grants/toolsdocs/45cfr92.html>.

HHS/CDC grants policies as described in the HHS Grants Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joyner Sims NCCDPHP, Chamble Campus, Building 101, Room 3114  
4770 Buford Highway, NE

MailStop F-46, Atlanta, Georgia 30341. Phone: 770-488-3043. Fax:  
770-488-7863.

**Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

CDC will complete a review to evaluate responsive applications according to criteria provided in Section V of the Application Review Information of the Funding Opportunity Announcement (FOA). Applicants will be notified of the evaluation results.

**93.544 THE PATIENT PROTECTION AND AFFORDABLE CARE ACT OF 2010 (AFFORDABLE CARE ACT) AUTHORIZES COORDINATED CHRONIC DISEASE PREVENTION AND HEALTH PROMOTION PROGRAM**

Coordinated Chronic Disease Prevention and Health Promotion Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k) of the Public Health Service Act, 42 U.S.C. 241(a) and 247b.

**OBJECTIVES:**

Coordinated Chronic Disease Prevention and Health Promotion Program - The purpose of the program is to establish or strengthen Chronic Disease Prevention Programs within State and Territory Health Departments, to provide leadership and coordination, and support development, implementation and evaluation of CDC funded programs, including those addressing nutrition, physical activity and obesity, diabetes, heart disease and stroke, arthritis, cancer prevention and control, and diabetes. These inter-related conditions share risk factors and intervention strategies that would benefit from coordinated, collaborative implementation with consolidated leadership and oversight to ensure achievement of outcomes, efficient use of resources, implementation of evidence-based interventions, and dissemination of best practices across programs. The award recipients will be expected to establish or strengthen a Chronic disease Prevention Unit that provides leadership for chronic disease prevention and control, establishes cross cutting policy, communications, epidemiology and evaluation activities with the Chronic Disease Prevention Unit to support an array of categorical programs, foster collaboration and efficient use of resources across existing or new categorical programs addressing chronic diseases and their associated risk factors, best position programs and resources to achieve population level change in proposed chronic disease health and risk factor outcomes, and to identify specific population subgroups that suffer disproportionately from the conditions or risk factors being addressed and narrow the gaps in health status between these population subgroups and the population as a whole.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows:



Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

#### **Applicant Eligibility:**

Eligible applicants that can apply for this funding opportunity are listed below:

Grantees currently funded under D09-901 Collaborative Chronic Disease, Health Promotion, and Surveillance Program Announcement and DP09-902 Affiliated Pacific Island Collaborative Performance Agreement: Healthy Communities, Tobacco Control, Diabetes Prevention and Control, and Behavioral Risk Factor Surveillance System, National Center for Chronic Disease Prevention and Health Promotion.

#### **Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

#### **Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

#### **Award Procedure:**

All eligible applications will be initially reviewed for completeness by the Procurement and Grants Office (PGO) staff. Incomplete applications will not advance through the review process. Applicants will be notified the application did not meet eligibility and/or published submission requirements.

Selection

All approved applications will be funded based on the formula provided in appendix A.

Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

> 180 Days. Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project periods are for 1 to 3 years with 12 month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Project periods are for 1 to 3 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Notice of Award.

#### **Reports:**

Annual and semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a budget period. Cash reports are not applicable. Annual and semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a budget period. Final financial status and performance reports are required 90 days after the end of a budget period. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

#### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

#### **Account Identification:**

75-0094-3-1-550.

#### **Obligations:**

(Salaries) FY 11 \$37,485,194; FY 12 est \$53,000; and FY 13 est \$53,000

**Range and Average of Financial Assistance:**

\$200,000 to 1,800,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

John R. Lehnerr, 4770 Buford Highway, NE., Mailstop K40 , Atlanta, Georgia 30333 Email: jrl5@cdc.gov Phone: (770) 488-5402 Fax: (770) 488-5971.

**Website Address:**

<http://www.cdc.gov/> ; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.545 CONSUMER OPERATED AND ORIENTED PLAN [CO-OP] PROGRAM**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Affordable Care Act Section 1322.

**OBJECTIVES:**

To provide assistance to applicants for activities related to establishing a consumer operated and oriented, nonprofit health insurance issuer. Please refer to the Funding Opportunity Announcement (FOA) for additional information.

**TYPES OF ASSISTANCE:**

Direct Loans

**USES AND USE RESTRICTIONS:**

Start-up Loans: Start-up Loans are intended to assist applicants with the start-up costs associated with establishing a new health insurance issuer, such as: renting or developing administrative technology systems; renting or developing provider networks; hiring counsel and consultants to assist with State licensure requirements; hiring actuaries and management staff; conducting community and prospective member education; developing strategic plans to build enrollment; developing plans for quality improvement, member and provider services, and grievances and appeals systems with feedback loops to improve operations; establishing and participating in a private purchasing council; and other start-up costs. Start-up Loans cannot be used to fund costs associated with construction of facilities, including clinical facilities, nor can Start-up Loans be used for clinical expenses, such as provider salaries or payments, provider clinical space or administrative staff associated with clinical functions, and clinical equipment. These items are intended to be covered by the premiums and reflected in the reimbursement to providers. Solvency Loans: Solvency Loans are intended to assist eligible entities with meeting the solvency and reserve requirements of States in which the applicant seeks to be licensed to issue CO-OP qualified health plans. Loan recipients must use the loans awarded under the CO-OP program to fund the activities proposed and approved in the loan recipients application consistent with the terms of the organizations loan agreement with CMS. Loan recipients are prohibited from using the loans awarded under the CO-OP program to conduct marketing or carry on propaganda and other activities attempting to influence legislation. Start-up Loans: Start-up Loans are required to be repaid five years after each

drawdown of funds. Solvency Loans: Solvency Loans are required to be repaid 15 years after each drawdown of funds. Please refer to the FOA for this program for more detail on each type of loan and the requirements for each type of loans use and repayment.

**Applicant Eligibility:**

Please refer to the FOA for more information.

**Beneficiary Eligibility:**

\*Please refer to the FOA for more information.

**Credentials/Documentation:**

Applicants must provide proof that they have formed a nonprofit member organization and are not prohibited from program participation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

All qualified applications will be forwarded to objective external reviewers. The CMS program official with delegated authority is responsible for final selection and funding decisions. In making these decisions, the program official will take into consideration: recommendations of the external reviewers; reviews for programmatic and grants management compliance; the reasonableness of the size of the loan request and anticipated results of funding the application; ability to repay the loan; and the likelihood that the proposed project will result in the benefits expected. CMS reserves the right to conduct pre-award Budget Negotiations with potential loan recipients. Notification is made in writing by a Notice of Award.

**Deadlines:**

Oct 17, 2011: First Round. First Round Loans

Grants.gov application due date: October 17, 2011;

First loan award date: February 17, 2012. Subsequent Loans will be awarded in 2012 and 2013. After the first round application due date (October 17, 2011), applications will be accepted on a quarterly basis until December 31, 2012.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Loan awards or a response to the application will be provided approximately 75 days after each applicant receives notice that its application is complete.

**Appeals:**

An applicant may request reconsideration of a loan application determination. Any determination made by CMS with respect to that loan application as a result of reconsideration is final and is not subject to reconsideration, appeals, or other administrative or judicial review related to that specific loan application. However, an applicant is not prohibited from submitting an entirely new loan application.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Start-up Loans must be repaid within 5 years of the date of each drawdown and Solvency Loans must be repaid within 15 years of the date of each drawdown. See the following for information on how assistance is awarded/released: The FOA will outline how assistance is awarded/released.

**Reports:**

Start-up and Solvency Loan Recipients. All successful applicants under this announcement must comply with the following reporting and review activities:

a. Semi-Annual Progress Report. Loan recipients must provide the Project Officer information such as, but not limited to: Progress on the goals, objectives, milestones, and activities identified in its Business Plan and the Loan Agreement; Accomplishments, barriers, and lessons learned; Data on the loan recipients responsiveness to member grievance, maintenance of consumer control, and quality of care; Any changes in the Business Plan; and Updated financial reports and pro forma reports. More details of the semi-annual progress report will be outlined in the Loan Agreement and loan recipients will be provided with a reporting template. b. Annual Program Report; In addition to the semi-annual progress report, each loan recipient will be required to submit a program report annually, such as, but not limited to: Updated financial reports and pro forma reports; Certification of compliance with all applicable state insurance regulation or an explanation of any deficiencies or adverse actions or determinations by state insurance regulators and a timeline for resolving all issues with state insurance regulators; An updated Business Plan. More details of the annual report will be outlined in the Loan Agreement and loan recipients will be provided with a reporting template. c. Corrective Action Plan (CAP) If CMS concludes that a loan recipient has not complied with the requirements set forth in Section 1322 of the Affordable Care Act, 45 CFR part 156 subpart F, or in its Loan Agreement, CMS may require the loan recipient, via a notice of violation, to submit a CAP and implement the CAP as approved by CMS. 1. The loan recipient must submit, for CMS approval, a CAP by the deadline indicated on the notice of violation. 2. The CAP must specify the actions that the loan recipient will take to ensure that the loan recipient, its members, its providers and suppliers, and contracted entities performing services or functions on its behalf, will correct any deficiencies and remain in compliance with program requirements. 3. CMS will monitor the loan recipients performance during the CAP process. 4. Failure to submit, obtain approval for, or implement a CAP may result in termination of the loan agreement, as may failure to demonstrate improved performance upon completion of the CAP. d. Enhanced Oversight Plan CMS may place a loan recipient in an enhanced oversight plan if the loan recipient consistently underperforms or repeatedly has difficulty in meeting program milestones and benchmarks, as identified in its loan agreement. Under an enhanced oversight plan, CMS will conduct stronger and more frequent review of the loan recipients operations and financial status. CMS may require the loan recipient to develop and implement a corrective action plan (CAP). In addition, CMS may provide technical assistance if CMS determines that doing so would improve the performance of the loan recipient and increase the likelihood of loan repayment. e. Transparency Act Reporting Requirements New awards issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (P. L. 109282), as amended by section 6202 of Public Law 110252 and implemented by 2 CFR Part 170. Recipients must report information for each first-tier sub award of \$25,000 or more in Federal funds and executive total compensation for the recipients and sub recipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (available online at [www.fsr.gov](http://www.fsr.gov)). Each loan recipient must submit a quarterly electronic SF 425 via the Payment Management System. The report identifies cash transactions and expenditures against the authorized funds for the loan. Please refer to the description provided in Reports (111) a. of this template for information on the semi-annual progress report. Each loan recipient must submit a quarterly electronic SF 425 via the Payment Management System. The report identifies cash transactions and expenditures against the authorized funds for the loan. Please refer to the FOA.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Each loan recipient must submit an audited annual financial report.

#### **Records:**

A loan recipient must comply with the requirements contained in the Funding Opportunity Announcement and its loan agreement. Specifically: (a) Right to audit. The loan recipient must agree, and must require its providers, suppliers,

and contracted entities performing services or functions on behalf of the loan recipient to agree, that HHS, the Comptroller General, the OIG or their designees have the right to audit, inspect, and evaluate any books, contracts, records, documents, and other evidence of the loan recipient, and its providers and suppliers, and contracted entities that pertain to (1) The loan recipients compliance with program requirements; and (2) The ability of the loan recipient to repay loan funds to CMS. (b) Maintenance of records. A loan recipient must agree and must require its providers, suppliers, and contracted entities performing functions or services on behalf of the loan recipient to agree to the following: (1) To maintain and give HHS, the Comptroller General, OIG, or their designees access to all books, contracts, records, documents, and other evidence sufficient to enable the audit, evaluation, and inspection of the loan recipients compliance with program requirements; (2) To maintain such books, contracts, records, documents, and other evidence for a period of 10 years from the final date of the repayment period or from the date of completion of any audit, evaluation, or inspections, whichever is later, unless (i) CMS determines there is a special need to retain a particular record or group of records for a longer period and notifies the loan recipient at least 30 days before the normal disposition date; (ii) There has been a termination, dispute, or allegation of fraud or similar fault by the loan recipient, its providers, suppliers, or contracted entities that perform functions or services on its behalf, in which case the loan recipient must retain records for an additional 6 years from the date of any resulting final resolution of the termination, dispute, or allegation of fraud or similar fault; (iii) There is a reasonable possibility of fraud or similar fault by the loan recipient or its providers and suppliers, or contracted entities performing services or functions on behalf of the loan recipient, in which case CMS may inspect, evaluate, and audit the loan recipient at any time while the loan funds are in repayment; and (3) Notwithstanding any arrangements between or among a loan recipient and its members, providers and suppliers, and contracted entities performing functions or services on its behalf, the loan recipient must have ultimate responsibility for adhering to and otherwise fully complying with all terms and conditions of its loan agreement with CMS, including the requirements set forth in this section.

#### **Account Identification:**

75-0118-0-1-551.

#### **Obligations:**

(Direct Loans) FY 11 Not Available; FY 12 est \$3,400,000,000; and FY 13 Estimate Not Available

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should refer to the FOA for applicable regulations, guidance, and/or literature.

#### **Regional or Local Office:**

See Regional Agency Offices. Health and Human Services, Hubert H. Humphrey Building, Room 737F, 200 Independence Ave., SW, Washington, D.C. 20201.

#### **Headquarters Office:**

Anne Bollinger and Ilana Cohen 200 Independence Ave., SW, Room 737F, Washington, District of Columbia 20201 Email: [anne.bollinger@cms.hhs.gov](mailto:anne.bollinger@cms.hhs.gov) Phone: 301-492-4395 or 301-492-4371

#### **Website Address:**

No Data Available

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

In awarding loans, CMS will evaluate applications (based upon type of loan) using factors identified in the FOA. Please refer to the FOA for additional evaluation criteria.

### **93.546 EARLY RETIREE REINSURANCE PROGRAM**

#### **FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

#### **AUTHORIZATION:**

Patient Protection and Affordability Act, Section 1102.

#### **OBJECTIVES:**

The program provides reimbursement to sponsors of participating employment-based plans for a portion of the cost of health benefits for early retirees and their spouses, surviving spouses, and dependents. The purpose of the reimbursement is to make health benefits more affordable for plan participants and sponsors so that health benefits are accessible to more Americans than they would otherwise be without this program.

#### **TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

#### **USES AND USE RESTRICTIONS:**

ERRP regulation specifies that the sponsor must use the proceeds under this program only for the following purposes: (1) To reduce the sponsors health benefit premiums or health benefit costs, or (2) To reduce health benefit premium contributions, copayments, deductibles, coinsurance, or other out-of-pocket costs, or any combination of these costs, for plan participants, or (3) To reduce any combination of the costs in (1) and (2) Proceeds under this program must not be used as general revenue for the sponsor. (See the ERRP regulation at 45 C.F.R. 149.200). The restrictions include using the funds in a manner other than as follows: (1) To reduce the sponsors health benefit premiums or health benefit costs, or (2) To reduce health benefit premium contributions, copayments, deductibles, coinsurance, or other out-of-pocket costs, or any combination of these costs, for plan participants, or (3) To reduce any combination of the costs in (1) and (2) Proceeds under this program must not be used as general revenue for the sponsor. (See the ERRP regulation at 45 C.F.R. 149.200).

#### **Applicant Eligibility:**

In order to be eligible for the ERRP, a plan sponsor must complete and submit an ERRP application to the ERRP Center on or before May 5, 2011. In summary, the plan sponsor must be an organization that provides health benefits to Early Retirees, have programs and procedures in place that generate cost savings with respect to participants with chronic and high-cost conditions, use reimbursements appropriately, ensure that policies and procedures are in place to protect against fraud, waste and abuse under ERRP, and agree to the Plan Sponsor Agreement included in the ERRP application. The application will be reviewed and either approved or not approved for acceptance in to the program.

#### **Beneficiary Eligibility:**

In order to be eligible to receive reimbursements under the ERRP, a plan sponsor must complete and submit an ERRP application to the ERRP Center on or before May 5, 2011. If approved, both the sponsor, and early retirees and their spouses, surviving spouses and their dependents are direct or indirect beneficiaries of the program. In summary, the sponsor must be an organization that provides health benefits to Early Retirees, have programs and procedures in place that generate (or have the potential to generate) cost savings with respect to participants with chronic and high-cost conditions, use reimbursements appropriately, ensure that policies and procedures are in place to protect against fraud, waste and abuse under ERRP, and agree to the Plan Sponsor Agreement included in the ERRP application. The application will be reviewed and either approved or not approved for acceptance in to the program.

#### **Credentials/Documentation:**

A sponsor must submit an application for the program to the ERRP Center on or before May 5, 2011. After approval into the program, a sponsor must provide the ERRP Center with a list of the Early Retirees and the cost and claims data for which it is requesting in reimbursement. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

#### **Award Procedure:**

Sponsors must complete and submit an application to the ERRP Center on or before May 5, 2011. The application must be approved. An Account Manager and Authorized Representative must then successfully register in the ERRP secure website. Once registration is complete, a sponsor must provide its banking information in the secure website. A sponsor must then provide a list of the Early Retirees and the cost and claims data supporting its reimbursement request. The Authorized Representative is also required to affirm that the sponsor is complying with the program rules. After completing these steps, a sponsor may then actually submit a reimbursement request. The ERRP Center will make a determination of whether the reimbursement is approved or denied. If approved, the reimbursement will be deposited in the bank account chosen by the sponsor. Sponsors may request reimbursement one time, each calendar year quarter, for each plan year.

#### **Deadlines:**

May 05, 2011 The ERRP program started accepting applications June 30, 2010 and the program ends January 1, 2014, or when there are no more funds available for disbursement. Sponsors wishing to apply to the ERRP must submit an application to the ERRP Center on or before May 5, 2011.

#### **Range of Approval/Disapproval Time:**

From 1 to 15 days. Applications are generally processed within 2 weeks. If additional information is required, then the ERRP Center will send communication to the sponsor.

#### **Appeals:**

Sponsors may not appeal an application determination, but may appeal an adverse reimbursement determination.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory Formula: Title Patient Protection and Affordability Care Act, Part 1102, Subpart c. The statute at section 1102(c) of the Affordable Care Act requires the Secretary, upon receipt of a valid claim for health benefits, to make reimbursement in an amount of 80 percent of the portion of the health benefit costs (net of negotiated price concessions) attributable to the claims that exceed \$15,000, but are below \$90,000, during a plan year for a given early retiree or early retirees spouse, surviving spouse, or dependent. The payment thresholds may be adjusted in the future, based on changes in the medical care component of the Consumer Price Index.

Matching Requirements: This program has maintenance of contribution requirements, to ensure that the prohibition against using ERRP funds as general revenue, is complied with. A sponsor may demonstrate that it is maintaining its level of contribution in a number of ways: using aggregate spending trends, per-capita spending trends, or other methods subject to Secretarial approval. These options are set forth in a publicly posted Common Question.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

The reimbursement will be available until January 01, 2014 or until the program no longer has funds available for disbursement. ERRP reimbursement may be requested once per calendar year quarter per each plan year. See the following for information on how assistance is awarded/released: After (1) the Account Manager and Authorized Representative successfully register via the ERRP secure website; (2) the sponsor provides banking information in the website; and (3) the sponsor provides a list of Early Retirees and the cost and claims data supporting reimbursement requests, the sponsor may submit a reimbursement request (after the authorized representative also affirms sponsor is complying with program rules). The ERRP Center will make a determination of whether the reimbursement is approved or denied. If approved, the reimbursement will be deposited in the bank account chosen by the sponsor. Sponsors may request reimbursement one time, each calendar year quarter, for each plan year.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Audits of sponsors will be conducted to ensure sponsors are in compliance with ERRP requirements.

**Records:**

The ERRP does not require specific progress, expenditure, cash reports, or performance monitoring at set intervals. However, the sponsors must comply with record maintenance requirements and provide records upon request in connection with audit or other ERRP integrity related activities. The Sponsors must maintain records for 6 years after the expiration of the plan year in which the costs were incurred, or longer if otherwise required by law. The records that must be retained are as follows (1) All documentation, data, and other information related to the regulations, and (2) Any other records specified by the Secretary. The Secretary may issue additional guidance addressing recordkeeping requirements, including (but not limited to) the use of electronic media. The sponsor must require its health insurance issuer or employment based plan, as applicable, to maintain and produce records upon request.

**Account Identification:**

75-0114-0-1-551.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$2,966,153,000; FY 12 est \$2,057,575,000; and FY 13 est \$34,000,000 - There is appropriated to the Secretary, out of any moneys in the Treasury not otherwise appropriated, \$5,000,000,000 to carry out the program under this section. Such funds shall be available without fiscal year limitation. Program ends January 1, 2014, or when there are no more funds available for disbursement.

**Range and Average of Financial Assistance:**

Smallest: \$165.58; Largest: \$64,993,651.44; Average: \$1,446,135.05 (All data as of 1/9/11).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are available at 45 CFR Part 149. Guidance, Common Questions, and additional literature is posted on the ERRP website: [www.errp.gov](http://www.errp.gov).

**Regional or Local Office:**

None.

**Headquarters Office:**

Michelle Feagins 200 Independence Avenue, SW  
, Washington, District of Columbia 20201. Email: [michelle.feagins@hhs.gov](mailto:michelle.feagins@hhs.gov)  
Phone: 301-492-4312.

**Website Address:**

<http://www.healthcare.gov> and [www.errp.gov](http://www.errp.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.547 AFFORDABLE CARE ACT NATIONAL HEALTH SERVICE CORPS**

ACA - NHSC

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 338B of the Public Health Service (PHS) Act (42 United States Code Section 2541-1), as amended by P.L. 111-148, Affordable Care Act.

**OBJECTIVES:**

The National Health Service Corps (NHSC) assists Health Professional Shortage Areas (HPSAs) in every State, Territory, and Possession of the United States to meet their primary care medical, oral, and mental and behavioral health service needs by increasing the supply of clinicians through the following programs: National Health Service Corps Loan Repayment Program (LRP), National Health Service Corps Scholarship Program (SP), and State Loan Repayment Program (SLRP). The NHSC Loan Repayment Program offers fully trained primary care clinicians the opportunity to receive assistance to pay off qualifying educational loans in exchange for service in a HPSA. The NHSC Scholarship Program awards scholarships to health professions students committed to a career in primary care and service in underserved communities of greatest need. The Students to Service (S2S) Loan Repayment Program provides assistance to pay off qualifying educational loans to medical students in their last year of school in exchange for service in a HPSA. The NHSC State Loan Repayment Program provides matching funds in a form of a grant to States to operate their own repayment programs in HPSAs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; Project Grants

**USES AND USE RESTRICTIONS:**

NHSC Loan Repayment Awards provide payments of up to \$60,000 towards participants' qualified government and commercial health professions undergraduate and graduate education loans during the first 2 years of full time practice or 4 years of half time practice at a selected NHSC Loan Repayment Service Site under a written agreement with this program. NHSC Scholarships pay tuition and required fees to the school, a stipend to students and a single annual payment to the student to assist with other reasonable educational expenses. Students to Service Loan Repayment Program provides payments of up to \$120,000 for the first 3 years of full-time service or 6 years of half-time service. State Loan Repayment Funds under this grant must only be used to repay the qualifying educational loans of health professionals who have entered into SLRP contract with the States. Funds cannot be used for the following purposes: costs of administering the program, State matching funds, or any other purpose. Refer to each of the program funding opportunity announcements that contain specific requirements for the NHSC Loan Repayment, NHSC Scholarship and State Loan Repayment Programs. Please see the applicable program funding opportunity announcements.

**Applicant Eligibility:**

Training.

**Beneficiary Eligibility:**

Health professional  
U.S. citizen  
Education (13+).

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

SLRP grantees may need State agency approval prior to submitting an application to a Federal agency.

Does not apply to NHSC LRP, NHSC SP and S2S LRP. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to SLRP.

HRSA requires SLRP applicants to apply electronically through [Grants.gov](http://Grants.gov).

For the NHSC LRP, SP, and S2S programs, applicants may apply online at <https://programportal.hrsa.gov>.

**Award Procedure:**

NHSC LRP awards are made based on the highest need as determined by descending health professional shortage area scores. Priority will be given to individuals whose training is in a health discipline or specialty determined by the Secretary for Health and Human Services to be needed by the NHSC and who the Secretary determines are committed to service in health professional shortage areas. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

NHSC S2S awards are prioritized based on having a disadvantaged background and characteristics likely to remain in a HPSA as identified by their essay and letters of recommendation.

NHSC SP awards are very competitive; the Program anticipates more applicants for scholarship awards than there are funds available. The applications of individuals who meet the eligibility criteria are scored numerically.

For SLRP awards, all qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For NHSC LRP and SLRP, approximately 120 days.

For NHSC S2S it is anticipated that notification to successful and rejected applicants will be made no later than 6 months after application receipt deadline.

For NHSC SP, notification to successful and rejected applicants is made no later than 6 months after application receipt deadline.

**Appeals:**

Not Applicable.

**Renewals:**

For NHSC LRP, continuation contracts will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed.

For NHSC S2S, continuation contracts will be considered according to the availability of appropriated funds and eligibility criteria applied to the individual and the site at which that individual is employed.

For NHSC SP, Renewal applications are not necessary for students in compliance; contracts may be multi-year funded through graduation (1 to 4 years, if the applicant signs the contract through the graduation date).

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Matching requirement does not apply to NHSC LRP, NHSC SP and S2S LRP.

SLRP Matching Requirements: Percent: 50%. Fifty-percent (50%). States must agree to make available (directly or through donations from public or private entities) non-Federal contributions in cash toward SLRP contracts in an amount not less than \$1 for each \$1 of Federal funds provided in the grant. A State may not use any Federal funds or in-kind contributions to satisfy the non-Federal match requirement. A State must verify that contributions from sources other than State appropriated funds are non-Federal. States may use non-Federal funds in excess of the \$1 for \$1 minimum match to supplement the

repayment of qualifying loans of health professionals.

The Federal share must be used to repay the government and commercial loans of health professionals for tuition, educational expenses and living expenses described in Section 338B(g)(1) of the Public Health Service Act. States must assume administrative costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

NHSC LRP - Loan repayments for 1 year of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service.

NHSC S2S - Loan repayments for 3 years of obligated service will be made no later than the end of the fiscal year in which the individual completes such year of service.

NHSC SP - Each award covers 1 to 4 years of support, as requested. No awardees may receive more than 4 years of support.

SLRP - A grant award is for 1 year. Applicants may propose a project period of up to 4 years. States are asked to commit the full amount of funding for their loan repayment awards to practitioners in the current fiscal year to avoid out-year commitments for additional Federal funds. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

NHSC SP - Annual reports by schools indicating average student educational expenses. The academic institution where the student is enrolled must complete and submit a Verification of Enrollment Form each semester as a full-time student pursuing the program for which the scholarship was awarded.

NHSC SP, NHSC LRP, and S2S LRP - The employing facility must complete and send a semi-annual Employment Certification Form verifying that the participating health professional is providing full-time. The certification includes a signature by an appropriate official of the facility.

SLRP - Recipient States must submit: (1) a Financial Report within 90 days of the end of each budget period; (2) Semi-Annual Field Strength Reports through the HRSA Electronic Handbooks System (EHBs); (3) non-competing continuation application(s) report through the EHBs; (4) a Final Report. All grantees are required to submit a final report within 90 days after the project period ends. No cash reports are required. Progress reporting applies to SLRP only. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Annual reporting does not apply to NHSC LRP, NHSC SP and S2S LRP.

For SLRP, in accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

None for NHSC LRP, NHSC SP and S2S LRP.

For SLRP, Grantees are required to maintain grant accounting records 3 years after the date they submit the final Federal Financial Report. If any litigation,

claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 Not Available(Exp: Please see description for speci); FY 12 Estimate Not Available(Exp: Please see description for speci); and FY 13 Estimate Not Available(Exp: Please see description for speci) - NHSC LRP - (Direct Payments for Specified Use) FY 11 \$172,544,830,  
FY 12 estimate \$165,740,000,  
FY 13 estimate \$174,400,000

NHSC S2S (Direct Payments for Specified Use)

FY11 No Program, Offered,  
FY12 \$9,300,000,  
FY 13 estimate \$12,000,000

NHSC SP - (Direct Payments for Specified Use)

FY 11 \$47,565,700,  
FY 12 estimate \$38,760,000,  
FY 13 estimate \$41,600,000

SLRP - (Project Grants)

FY 11 \$7,800,470,  
FY 12 estimate \$10,000,000,  
FY 13 estimate \$10,000,000.

**Range and Average of Financial Assistance:**

NHSC LRP - \$1,500 to \$60,000, with an average award of \$50,822.

NHSC S2S \$5,000 to \$30,000 per year

NHSC SP - \$32,000 to \$510,000 per year, with an average award of \$186,971.

SLRP - \$72,000 to \$1,000,000, with an average award of \$300,018.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: For FY11:

NHSC LRP 2,612 New Awards; 1,305 Continuations

NHSC SP 248 New Awards; 8 Continuations

SLRP 26 Grants. Fiscal Year 2012: No Current Data Available

2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see application process for NHSC LRP, NHSC SP and S2S LRP at <http://nhsc.hrsa.gov/>

For SLRP:

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Division of National Health Service Corps Health Resources and Services Administration, Department of Health and Human Services, Room 8-37, 5600 Fishers Lane., Rockville, MD 20857. Telephone: (301) 594-4400. For 24-hour toll-free calls from outside MD: (1-800) 221-9393, use for requesting applications.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service (BCRS) Health Resources and Services Administration, Room 8-37, 5600 Fishers Lane, Rockville, Maryland

20857 Phone: (301) 594-4400. For 24-hour toll

**Website Address:**

<http://nhsc.hrsa.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

NHSC LRP - Priority will be given to applicants who are individuals whose training is in a health or specialty profession determined by the Secretary to be needed by NHSC.

NHSC S2S - Priority will be given to applicants who have a disadvantaged background and characteristics likely to remain in a HPSA as identified by their essay and letters of recommendation.

NHSC SP - By statute, first priority will be given to any applicant for such assistance, who has previously received a scholarship under this section or under section 758 of the PHS Act. Priority for consideration will be given to all students who have characteristics which increase the probability they will continue professional practice in a Health Professional Shortage Area when they complete their service obligation. Third priority will be given to students who are from a "disadvantaged background

SLRP - For new and competing continuation grants the following criteria will be used to evaluate State applications to determine which States are to be supported under this notice: (a) The extent of the State's need for health professionals consistent with the health professions and specialties identified later in this notice; (b) the number and type of providers the State proposes to support through this program; (c) the appropriateness of the proposed placements of State LRP recipients (e.g., consistency and coordination with State-based plans to improve access to primary health services for the underserved communities and individuals); (d) the appropriateness of the qualifications, the administrative, and managerial ability of the staff to implement the proposed project; (e) the suitability of the State's approach and the degree to which the plan of a State is coordinated with Federal, State, and other programs for meeting the State's health professional needs and resources, including mechanisms for ongoing evaluation of the program's activities; (f) the source and plans for the use of the nonfederal match (the degree to which the nonfederal match exceeds the minimum requirements or has increased over time and the amount of the match relative to the needs and resources of the State); (g) for competing continuation applicants only, the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (h) an assessment of the reasons for initial breaches by health professionals of repayment contracts; and (i) the grantee's history of compliance with reporting requirements. Noncompeting continuation applications will be evaluated on the grantee's progress in achieving stated goals and objectives for the previous year's grant; this includes a progress report on the impact the State LRP placements have had on the State's short-term and long-term professional needs; (j) and assessment of the reasons for initial breaches by health professionals of repayment contracts; and (k) the grantee's history of compliance with reporting requirements.

**93.548 PPHF 2012: NUTRITION, PHYSICAL ACTIVITY AND OBESITY PROGRAM - FINANCED IN PART BY 2012 PREVENTION AND PUBLIC HEALTH FUNDS (PPHF-2012)**

Nutrition, Physical Activity and Obesity Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 243, 247b(k)(2); and the Patient Protection and Affordable Care Act, Public Health Service Act, 42 U.S. Code

241(a) and 247b (k) 2311, section 4201.

**OBJECTIVES:**

To assist State and local health authorities and other health related organizations in controlling communicable diseases, chronic diseases and disorders, and other preventable health conditions. Investigations and evaluation of all methods of controlling or preventing disease and disability are carried out by providing epidemic aid, surveillance, technical assistance, consultation, and program support; and by providing leadership and coordination of joint national, State, and local efforts. Nutrition, Physical Activity and Obesity Program is to improve healthful eating and physical activity to prevent and control obesity and other chronic diseases by building and sustaining statewide capacity, and implementing population based strategies and interventions. ACA funding: Policy Education -- To ensure public policy leaders have the tools and knowledge to support improvements in the public health infrastructure so that the public health system is prepared to respond to both acute and chronic threats relating to the Nation's health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To support capacity building, program planning, development, implementation, evaluation, and surveillance for current and emerging chronic disease conditions related to preventing obesity and other chronic diseases. To achieve the program goals of increasing health related physical activity through population based approaches; improve those aspects of dietary quality most related to population burden of chronic disease and unhealthy child development and decreasing prevalence of obesity through prevention of excess weight gain and maintenance of healthy weight loss.

**Applicant Eligibility:**

Eligibility is limited to state and territorial health departments because they are uniquely qualified to develop and implement statewide surveillance systems to define and monitor nutrition and physical activity risk factors and the burden of obesity and other chronic diseases throughout the state, to develop and implement a comprehensive statewide nutrition, physical activity, and obesity plan (state plan), to provide overall state coordination of nutrition and physical activity promotion and obesity control activities among partners, to direct and oversee statewide interventions within overarching state policies, and to monitor critical aspects of obesity and the evaluation of the state plan. ACA funding: Conduct policy education aimed at strengthening public health infrastructure and performance including: 1) training/education about health reform as it relates to improvement of public health infrastructure investments; 2) networking between jurisdictions to ensure peer support and intra-jurisdictional learning about the role of public health in health reform; and 3) technical assistance in policy development that supports public health goals.

**Beneficiary Eligibility:**

States, political subdivisions of States, local health authorities, and individuals or organizations with specialized health interests will benefit. Colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, faith-based organizations, and managed care organizations for some specific programs such as Diabetes.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download application forms from www.Grants.gov. Applications must be submitted electronically at www.Grants.gov. HHS/CDC grants policies as described in the HHS Grants Policy Statement will apply to the applications submitted and

awards made in response to this Funding Opportunity Announcement (FOA). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. If additional support is desired to continue a project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application. Projects are renewable for periods of 1 to 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Cost sharing is required from state sources in an amount not less than \$1 for each \$5 of Federal funds awarded. Applicants must provide evidence of cost sharing targeting nutrition or physical activity promotion and disease prevention of at least 17 percent of the total approved budget. A cost sharing requirement may not be met by costs borne by another federal grant.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 1 to 5 years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: lump sum. See the following for information on how assistance is awarded/released: Notice of Award.

**Reports:**

No program reports are required. Cash reports are not applicable. Interim reporting requirements may be delineated in the FOA. Progress reports are required annually. Interim reporting requirements may be delineated in the FOA. Financial status reports are required annually. Progress reports are required annually. Upon completion of the project, performance reports are required. Interim reporting requirements may be delineated in the FOA. Financial status and progress reports are required annually. Upon completion of the project, final financial status and performance reports are required. Upon completion of the project, final financial status reports are required. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend



financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 est \$0; and FY 13 Estimate Not Available - DP08-805 - 10,000,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit and identified on the notices of award. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994. Code of Federal Regulations 45 CFR Part 74.

**Regional or Local Office:**

None.

**Headquarters Office:**

Clair Heiser 4773 Buford Highway, MS K103  
, Atlanta, Georgia 30341 Email: CHeiser@cdc.gov Phone: 770-488-5284

**Website Address:**

<http://www.cdc.gov>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed on the basis of scientific/technical merit, with attention given to such matters as: (1) The degree to which the applicant satisfies the essential requirements and possesses other desired characteristics, such as depth, breadth, and scientific merit of the overall application relative to the types of research and demonstration projects proposed; (2) clarity of purpose and overall qualifications, adequacy and appropriateness of personnel to accomplish proposed prevention research projects and demonstration projects, and the nation's health priorities and needs; (3) ability to generalize, translate and disseminate to State or local health departments, boards of education and other appropriate national regional, and local public health agencies and organizations; (4) reasonableness of the proposed budget in relation to the work proposed. Additional criteria will be listed in individual funding opportunity announcements.

**93.549 AFFORDABLE CARE ACT (ACA) THE PRIMARY CARE SERVICES RESOURCE COORDINATION AND DEVELOPMENT PROGRAM**

State Primary Care Offices (PCO)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and

Human Services

**AUTHORIZATION:**

Public Health Service Act as amended, Title 3, Sections 330 and 333, and the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.

**OBJECTIVES:**

The Primary Care Services Resources Coordination and Development program is intended to support the States and territories in addressing the following overarching goals: 1. Organizational Effectiveness/Fostering Collaboration; 2. Technical Assistance to organizations/communities wishing to expand access; to primary care for underserved populations; 3. Needs Assessment/Data Sharing; 4. Workforce Development for the NHSC and Safety Net/Health Center Network; and 5. Shortage Designation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Primary Care Services Resources Coordination and Development program is intended to facilitate the coordination of activities within a State that relate to the delivery of primary care services and the recruitment and retention of critical health care providers. This includes working with other agencies within the State government, as well as organizations outside of the State government, whose policies affect the health care services. This program does not support the direct delivery of services. TBD.

**Applicant Eligibility:**

Eligible applicants include any State or territory, State agency, or other statewide public or nonprofit entity that operates solely within one State or territory.

**Beneficiary Eligibility:**

Eligible entities include States or territories, State agencies, or other statewide public or nonprofit organizations that operate solely within one State or territory. These entities must provide statewide coverage for primary health care issues and represent or have relationships with the broad range of primary health care delivery systems and programs in the State.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants for this program are required to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification of award is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Two - four months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Primary Care Services Resource Coordination and Development Program will provide funding during Fiscal Years 2009-2013. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Refer to funding opportunity announcement for program reporting requirements. No cash reports are required. Refer to funding opportunity announcement for progress reporting requirements. Expenditure reports are not applicable. Refer to funding opportunity announcement for performance monitoring requirements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$2,000,000; FY 12 est \$2,000,000; and FY 13 est \$2,000,000

**Range and Average of Financial Assistance:**

The amount of the awards may range from approximately \$10,000 to \$37,000. Funding beyond the first year is dependent on appropriated funds from the HRSA's National Health Service Corps (NHSC) and Health Center Programs in subsequent fiscal years, grantee satisfactory performance, and a determination that continued funding is in the best interest of the government.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: It is anticipated that 53 new awards will be funded in FY13.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Health Resources and Services Administration  
Bureau of Health Professions/Office of Shortage Designation  
5600 Fishers Lane Mailroom 9A-55  
301-594-0197.

**Headquarters Office:**

Bureau of Health Professions/Office of Shortage Designation 5600 Fishers Lane Mailroom 9A-55, Rockville, Maryland 20857 Phone: 301-594-4466

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Procedures for assessing the technical merit of grant applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Review Criteria are used to review and rank applications. The Primary Care Services Resource Coordination and Development Program have six (6) review criteria:

I: NEED - The applicant must clearly identify the purpose and state needs for grant support for this project. The need for the project is fully described and documented with relevant data.

II: RESPONSE - The objectives for the project should relate to the identified problems/needs as related to the program goals and objectives. The work plan should clearly articulate and address the specific program expectations outlined in the program narrative section; organizational effectiveness, technical assistance, assessment of need/data sharing, workforce development, and shortage area designations. It is critical that the applicant demonstrate it addresses the broad array of primary care issues, services and organizations throughout the State. Objectives are measurable, realistic, and have specific outcomes indicated with timeframes stated. Outcome measures which are attainable within the states time frame are included.

III: EVALUATIVE MEASURES - Each application will be reviewed on the extent to which the proposal: 1) includes a clear, practical, and viable work plan including timeframes and proposed outcomes; and 2) clearly links project activities to the project objectives and outcomes.

IV: IMPACT - Activities described clearly contribute to the accomplishment of each objective. Proposed activities are reasonable given the level and experience of staff, resources available, and length of the project period to carry out the proposed expectations.

V: RESOURCES/CAPABILITIES - Evidence is provided of the programs commitment, personnel experience, and success in working with State policies and resources addressing primary care for the underserved. VI: SUPPORT REQUESTED - A fiscal plan assuring effective use of grant funds and resources to carry out the project is provided. The proposed budget is reasonable and reflects effective use of funds to carry out the proposed activities. A detailed justification for each overarching goal and line item is provided. Funding plan by years is provided.

**93.550 TRANSITIONAL LIVING FOR HOMELESS YOUTH**

(TLP) Transitional Living for Homeless Youth and (MGH) Maternity Group Homes

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Juvenile Justice and Delinquency Prevention Act of 1974; The Runaway and Homeless Youth Act, Title III, Part B, Section 321, Public Law 110-378, 42 U.S.C 5701-5752.

**OBJECTIVES:**

The overall purpose of the Transitional Living Program (TLP) for Homeless Youth and the Maternity Group Homes (MGH) is to establish and operate transitional living projects for homeless youth, including pregnant and parenting youth. This program is structured to help older homeless youth achieve self-sufficiency and avoid long-term dependency on social services. Transitional living projects provide shelter, skills training, and support services to homeless youth, including pregnant and parenting youth, ages 16 to less than 22. This extends the residential stay for homeless youth to 635 days or 21 months. MGHs provide the same services as the TLP in addition to providing parenting instructions and child care. Other services that are offered include,

but are not limited to, transportation, family planning, and pregnancy prevention services.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Transitional Living Programs are required to provide youth with stable, safe living accommodations and services that help them develop the skills necessary to move to independence. Living accommodations may be host family homes, group homes, Maternity Group Homes, or "supervised apartments." (Supervised apartments are either agency-owned apartment buildings or "scattered site" apartments, which are single-occupancy apartments rented directly by young people with support from the agency.) Eligible applicants include States, localities, private entities, and coordinated networks of such entities unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Indian Tribes that are not federally recognized and urban Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Faith-based organizations and small community-based organizations are eligible to apply for Transitional Living Program grants.

**Applicant Eligibility:**

States, localities, private entities, and coordinated networks of such entities are eligible to apply for a Transitional Living Program grant unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, nonprofit agencies. Faith-based organizations and small community-based organizations are eligible to apply.

**Beneficiary Eligibility:**

Homeless youth (ages 16 to 21).

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administration procedures will be determined in accordance with Parts 74 and 92 or Title 45, Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts, which assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes recommendations to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Awards are made for 5-year project periods; funding after the first year is dependent upon satisfactory performance, availability of funds and

determination that continued funding would be in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 10%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for project periods of 5 years. Funded applicants receive their full award amount each year of the five year funding cycle. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Quarterly using the SF-272 Federal Cash Transaction Report through the payment management system. Funded applicants are required to submit semi-annual program narrative reports, SF-425 financial reports as well as RHYMIS raw data client service reports. A final narrative and SF-425 financial report is due at the completion of the five year funding cycle. Semi-annually using the SF-PPR- Performance Progress Report. Semi-annually using the SF-425 Financial Status Report. An onsite review by federal staff is performed at least once during a project period using the Runaway and Homeless Youth Monitoring Protocol.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$43,902,000; FY 12 est \$43,819,000; and FY 13 est \$43,819,000

**Range and Average of Financial Assistance:**

Range of grant is \$100,000 to \$200,000; the average grant is \$190,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 207 grants funded in FY 11 and \$900,000 in contracts. Fiscal Year 2012: It is anticipated that 208 grants will be funded in FY 12 and \$1,700,000 in contracts. Fiscal Year 2013: It is anticipated that 208 grants will be funded in FY 13 and \$1,800,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, P.O. Box 13505, Silver Spring, MD 20911-3505. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is [www.ncfy.com](http://www.ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Families, Family and Youth Services Bureau, Division of Adolescent Development and Support (See Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis Porter 1250 Maryland Avenue, SW, Washington, District of Columbia 20447 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202-205-8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth; 93.623 Basic Center Grant; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html).

**93.551 ABANDONED INFANTS****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Abandoned Infants Assistance Act of 1988, Section 104, Public Law 100-505, as amended; Abandoned Infants Assistance Act of 1988; Section 104, Public Law, as amended; Section 101, The Child Abuse Prevention and Treatment Act (CAPTA), as amended by Public Law 111-320, the CAPTA Reauthorization Act of 2010., Section 302, 42 U.S.C 670.

**OBJECTIVES:**

Section 50 - To develop, implement and operate projects to demonstrate methods to: (1) prevent the abandonment of infants and young children, including the provision of services to members of the natural family for any condition that increases the probability of abandonment of an infant or young child; (2) identify and address the needs of abandoned infants and young children; (3) assist abandoned infants and young children to reside with their natural families or in foster care, as appropriate; (4) recruit, train and retain foster families for abandoned infants and young children; (5) carry out residential care programs for abandoned infants and young children, who are unable to reside with their natural families, to be placed in foster care; (6) carry out programs of respite care for families and foster families of infants and young children described in subsection (b); (7) recruit and train health and social services personnel to work with natural families, foster care families and residential care programs for abandoned infants and young children; and (8) prevent the abandonment of infants and young children, and to care for the infants and young children who have been abandoned, through model programs providing health, educational, and social services at a single site in a geographic area in which a significant number of infants and young children described in subsection (b) reside (with special consideration given to applications from entities that will provide the services of the project through community-based organizations). This program also funds technical assistance, including training, with respect to the planning, development and operation of the projects.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to accomplish any of the stated program objectives.

**Applicant Eligibility:**

State or local governments; federally- recognized Indian Tribal governments; U.S. Territories and possessions; and nonprofit organizations and universities.

**Beneficiary Eligibility:**

Infants and children impacted by HIV/AIDS and or substance abuse, their parents, families, and other caretakers.

**Credentials/Documentation:**

Requirements will be specified in pertinent Federal Register Announcements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application procedure can be obtained at: <http://www.acf.hhs.gov/grants/index.html> or by contacting Headquarters Office, listed below, for application information.

**Award Procedure:**

Review is conducted by at least three non-federal professionals. Final funding decision will be made by the Commissioner of the Administration on Children, Youth and Families (ACYF).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 180 days.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10.%. This program has no statutory formula for matching.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants will be made for a period up to 48 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Financial and progress reports are required, as follows: Financial reports are required semi-annually, a final expenditure report must be submitted no later than 90 days after the completion of the project. Program progress reports are required semi-annually; a final report is required no later than 90 days after the completion of the project. Expenditures are reported as part of the financial report, detailed above. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$11,458,296; FY 12 est \$11,553,000; and FY 13 est \$11,553,000 - Actual funding in fiscal year (FY) 2011 and projections for 2012 and 2013 reflect the Congressionally mandated budget rescission.

**Range and Average of Financial Assistance:**

Awards range from \$218,996 to \$850,000 with the average award being \$491,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 19 grants were awarded. Fiscal Year 2012: In fiscal year 2012, it is estimated that 21 grants will be awarded. Fiscal Year 2013: In fiscal year 2013, it is estimated that 21 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature.

**Regional or Local Office:**

None.

**Headquarters Office:**

Matthew McGuire Administration on Children, Youth and Families, Children's Bureau; 1250 Maryland Avenue, SW; 8th Floor., Washington, District of Columbia 20024 Email: matthew.mcguire@acf.hhs.gov Phone: (202) 205-7270 Fax: (202) 260-9345.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people. Fiscal Year 2012: Demonstration projects designed to prevent the abandonment of drug-affected and HIV positive infants and young children; to maintain family stability and to reunify and strengthen families impacted by substance abuse and HIV/AIDS; service demonstration projects designed to provide comprehensive, coordinated and community-based social support services to clients in a location accessible to the target population; to provide support for family caregivers, and provide therapeutic services in a recreational setting for HIV-infected or affected children and young people. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Contact Headquarters Office for specific criteria.

**93.556 PROMOTING SAFE AND STABLE FAMILIES****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, as amended under , Title IV, Part B, Section Subpart 2.

**OBJECTIVES:**

To prevent the unnecessary separation of children from their families, improve the quality of care and services to children and their families, and ensure permanency for children by reuniting them with their parents, by adoption or by another permanent living arrangement. This is accomplished through issuance of grants to State child welfare agencies and eligible Indian Tribes to serve families at risk or in crisis, including provision of the following services: reunification and adoption services, preplacement/preventive services, follow-up services after return of a child from foster care, respite care, services designed to improve parenting skills; and infant safe haven programs; to fund community-based family support services that promote the safety and well-being of children and families, to afford children a safe, stable and supportive family environment, to strengthen parental relationships and promote healthy marriages, and otherwise to enhance child development; time-limited family reunification services to facilitate the reunification of the child safely and appropriately within a timely fashion; and adoption promotion and support services designed to encourage more adoptions out of the foster care system, when adoption, promotes the best interests of the child. In addition, a portion of funds also is reserved for a separate formula grant for States and territories to support monthly caseworker visits with children who are in foster care. A small proportion of appropriated funds are reserved for research, evaluation and technical assistance, which may be awarded competitively through contracts or discretionary grants.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

For the main Promoting Safe and Stable Families Formula Grants, a significant

portion of funds must be spent on each of the service categories of family preservation, family support services, time-limited family reunification services and adoption promotion and support services. State grantees must limit administrative costs to 10 percent of the Federal funds.

Caseworker visit formula grants: States and territories are required to spend funds to improve the quality of monthly caseworker visits with children in foster care under the responsibility of the State, with an emphasis on improving caseworker decision making on the safety, permanency, and well-being of foster children, and on activities designed to increase retention, recruitment, and training of caseworkers.

Discretionary Grants: Grants are awarded for research, evaluation and technical assistance activities relating to family support, family preservation, time-limited family reunification and adoption promotion support.

**Applicant Eligibility:**

(1) Formula Grants: States, territories and certain Indian Tribes are eligible applicants. For caseworker visit funds, only States and territories are eligible applicants. (2) Discretionary Grants: States, local governments, tribes, public agencies or private agencies or organizations (or combinations of such agencies or organizations) with expertise in providing, evaluating and/or providing technical assistance related to family preservation, family support, time-limited family reunification and adoption promotion and support.

**Beneficiary Eligibility:**

Families and children who need services to assist them to stabilize their lives, strengthen family functioning, prevent out-of-home placement of children, enhance child development and increase competence in parenting abilities, facilitate timely reunification of the child, and promote appropriate adoptions.

**Credentials/Documentation:**

Formula Grants: The State agency which administers the social services program under Title XX of the Social Security Act (Social Services Block Grant) must also be the agency which administers the Title IV-B programs. Discretionary Grants: Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Discretionary grants under this program are eligible for coverage under E.O. 12372, however, formula grants are not. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application Procedure (1) Formula Grants: A 5-year agency plan must be submitted. A full plan (every five years) or a plan update is due for submission by June 30th of each year. The plan must be jointly developed by the Secretary and the State or Indian Tribe and written after consultation by the agency with appropriate public and non-profit private agencies and community-based organizations. The plan must coordinate the provision of services under Title IV-B with services under other Federal or federally-assisted programs serving the same populations. (2) Discretionary Grants: Announcement of availability of funds is published in the Federal Register. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

(1) Formula Grants: Funds will be approved after the agency plan, or annual update is submitted and approved.(2) Discretionary Grants: Grant applications are reviewed by a panel of nonfederal professionals with expertise in child and family services, evaluation and related fields. Final decisions are made by the Commissioner, Administration for Children, Youth, and Families (ACYF). Contract proposals are reviewed by a panel of Federal Staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Range of Approval/Disapproval Time (1) Formula Grants: The agency plan or its annual update is due June 30 of each year. Approval/disapproval is due September 30 of each year. (2) Discretionary Grants: From 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with Departmental regulations at 45 CFR 16.

**Renewals:**

Discretionary Grants: Grants are generally available for a 12-, 24-, or 36- month period. Some may be renewed for up to a total of 5 years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Statutory Formula: (1) Formula Grants: State allotments are computed based on the number of children receiving food stamps over a three year rolling average. Allotments to Indian Tribes, including Tribal consortia are based on a percent set aside of the total appropriation in each fiscal year and computed based on the number of children in the tribe compared to the total number of children in eligible Indian Tribes.

However, grants will not be made to Indian Tribes whose allotment is less than \$10,000. Allotments to Territories are based on the formula in subpart 1 of Title IV-B. Matching Requirements: FFP is available up to the full allotment at the rate of 75 percent for allowable program expenditures made by the grantee. Grantees must provide a 25 percent match for these expenditures. (2)

Discretionary Grants: The funding formula and matching requirements are described in each program announcement.

This program has MOE requirements, see funding agency for further details. A MOE requirement is applicable to the formula grants to States. Specifically, States may not use the Federal funds under title IV-B, subpart 2, to supplant Federal or non-Federal funds for existing family preservation and family support services as of 1992 (base year). The discretionary grants component of this program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

(1) Formula Grants: Grants are available for obligation and liquidation in the FY granted and in the subsequent FY. Grant awards will be made quarterly on a fiscal year basis through a letter of credit. The Electronic Transfer System will be used for monthly cash draws from Federal Reserve Banks. (2) Discretionary Grants: Grants are generally available for a 12-, 24-, or 36- month period. Some may be renewed for up to a total of 5 years. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

(1) Formula Grants: After the end of each of the first four fiscal years, the States, Territories, and Indian Tribes must submit an interim review of progress toward accomplishment of the goals in the State or tribal plan. After the end of the fifth fiscal year, the States and Indian Tribes must perform a final review of progress toward accomplishment of the goals. An SF-425 financial status report must be submitted for the funds awarded in each Federal fiscal year (FFY) within three months after the close of the FFY in which the funds were granted (interim report) and again within three months after the close of the subsequent FFY (final report). Performance monitoring is conducted through the Children and Family Services Review (CFSR) process in accordance with 45 CFR 1355.31 - 1355.37. (2) Discretionary Grants: Financial and program reports are required semiannually with a final report at completion of the project. PSC-272 and annually, SF-425. PSC-272. (1) Formula Grants: After the end of each of the first four fiscal years, the States, Territories, and Indian Tribes must submit an interim review of progress toward accomplishment of the goals in the State or tribal plan. After the end of the fifth fiscal year, the States and Indian Tribes must perform a final review of progress toward accomplishment of the goals. (2) Discretionary Grants: Financial and program reports are required semiannually with a final report at completion of the project. Annually, SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirement of 45 CFR Part 92.

**Records:**

(1) Formula Grants: Grantees must develop and maintain records which permit review of expenditures in accordance with the provisions of 45 CFR Part 92.20 and 92.42. (2) Discretionary Grants: All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$368,014,210; FY 12 est \$347,902,738; and FY 13 est \$347,902,738 - Actual funding in FY 2011, as well as projections for FY 2012 and FY 2013, reflect the Congressionally mandated budget rescission in FY 2011.

**Range and Average of Financial Assistance:**

Formula Grants for main grant program: States and Territories: \$171,343 to \$32,937,766, with an average of \$5,658,221.

Tribes: \$10,133 to \$1,577,405, with an average of \$84,290.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 184 grants issued. Fiscal Year 2012: It is anticipated that 187 grants will be issued in FY 2012. Fiscal Year 2013: It is anticipated that 187 grants will be issued in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355 and 45 CFR 1357.

**Regional or Local Office:**

See Regional Agency Offices. Consult Children's Bureau (CB) Regional Child Welfare Program Manager. (See Appendix IV of the Catalog for listing.).

**Headquarters Office:**

Eileen West, 1250 Maryland Avenue, SW, Washington, District of Columbia 20024 Email: eileen.west@acf.hhs.gov Phone: (202) 205-8438.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.087 Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse; 93.586 State Court Improvement Program; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.659 Adoption Assistance; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.557 EDUCATION AND PREVENTION GRANTS TO REDUCE SEXUAL ABUSE OF RUNAWAY, HOMELESS AND STREET YOUTH**

(SOP) Street Outreach Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Reconnecting Homeless Youth Act of 2008, Public Law 110-378 Part E.

**OBJECTIVES:**

The Street Outreach Program (SOP) makes grants available to nonprofit agencies for the purpose of providing street-based services to runaway, homeless and street youth who have been subjected to, or are at risk of being

subjected to, sexual abuse, prostitution, or sexual exploitation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provide education and prevention services, directly or through collaboration with other agencies, to runaway, homeless and street youth that have been subjected to or are at risk of sexual exploitation or abuse. The goal and design of these efforts is to help young people leave the streets to build positive relationships.

**Applicant Eligibility:**

Any private, nonprofit agency is eligible to apply. Nonfederally recognized Indian Tribes and urban Indian organizations are eligible to apply for grants as private, nonprofit agencies: (Note: Public agencies are not eligible).

**Beneficiary Eligibility:**

Runaway and homeless street youth will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. An applicant should consult the office or official designated as the Single Point of Contact (SPOC) in his or her State for more information on the process. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts that assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau. Recommendations are made to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are generally made for 3-year project periods; funding for the second and third year is dependent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Grantee must provide a nonfederal share or match of

at least 10 percent of the Federal funds awarded. The nonfederal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a period of 36 months. Method of awarding/releasing assistance: quarterly.

**Reports:**

Progress and fiscal reports must be submitted semi-annually. A final program and expenditure report must be submitted within 90 days after the completion of the project period. Fiscal reports (SF-425) must be submitted semi-annually. A final program and expenditure report must be submitted within 90 days after the completion of the project period. \*See program reports (narratives). \*See cash reports (SF-425). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$17,935,058; FY 12 est \$17,901,102; and FY 13 est \$17,901,000 -

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000 per budget period; Average award is \$103,942.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 155 grants funded and \$1,400,000 in contracts. Fiscal Year 2012: It is anticipated that 155 grants will be funded and \$1,600,000 in contracts. Fiscal Year 2013: It is anticipated that 155 grants will be funded and \$1,600,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, 5515 Security Lane Suite 800 North Bethesda, MD 20852. Telephone: (301) 608-8098. Fax: (301) 608- 8721. The National Clearinghouse on Families and Youth website address is <http://www.http://ncfy.acf.hhs.gov> and general email address is [info@ncfy.com](mailto:info@ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Family, Family and Youth Services Bureau, Division of Adolescent Development and Support. (See Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis Porter 1250 Maryland Avenue, S.W., Washington, District of Columbia 20447 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.623 Basic Center Grant

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: There were 155 grants funded for street-based education and

outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support. Fiscal Year 2012: In FY 12, 155 grants are expected to be funded for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support. Fiscal Year 2013: In FY 13, 155 grants are expected to be funded for street-based education and outreach, emergency shelter, survival aid, individual assessment, treatment and counseling prevention and education activities, information and referral, crisis intervention, and follow-up support.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html). Organizations with experience in providing services to homeless youth are given priority.

### **93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES**

(TANF)

#### **FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

#### **AUTHORIZATION:**

Social Security Act, Title IV, Part A, 42 U.S.C 601 et seq.

#### **OBJECTIVES:**

To provide grants to States, Territories, the District of Columbia, and Federally-recognized Indian Tribes operating their own Tribal TANF programs to assist needy families with children so that children can be cared for in their own homes; to reduce dependency by promoting job preparation, work, and marriage; to reduce and prevent out-of-wedlock pregnancies; and to encourage the formation and maintenance of two-parent families.

#### **TYPES OF ASSISTANCE:**

FORMULA GRANTS

#### **USES AND USE RESTRICTIONS:**

States, Territories, the District of Columbia, and Federally-recognized Indian Tribes operating their own TANF programs have broad flexibility to use the grant funds in any manner that meets the purposes of the program (including providing low-income households with assistance in meeting home heating and cooling costs) and in ways that States and Territories were authorized to use funds received under the predecessor Aid to Families with Dependent Children (AFDC), Job Opportunities and Basic Skills Training (JOBS), and Emergency Assistance (EA) programs. States and Territories may also transfer a limited portion of their assistance grant funds to the Child Care and Development Block Grant (CCDBG) and Social Services Block Grant (SSBG) Programs. Not more than 15 percent of any State grant may be spent on administrative costs, exclusive of certain computerization and information technology expenses. Cash grants, work opportunities, and other services are made directly to needy families with children. For Tribal programs, ACF will negotiate a limitation on administrative costs for the first year of the program's operation not to exceed 35 percent, for the second year of the program's operation not to exceed 30 percent, and then for the third and subsequent years of the program's operation not to exceed 25 percent. For the TANF program, there are certain prohibitions, restrictions, and limitations on the provision of assistance. For example, families may only receive Federally-funded assistance for five years. In addition, Federal funds may not be used to provide medical services, unless they are pre-pregnancy family planning services (Tribes, however, may use Federal funds for medical services if they are job-related).

#### **Applicant Eligibility:**

In general, all States, Territories, the District of Columbia, and all Federally-recognized Tribes in the lower 48 States and 13 specified entities in Alaska are eligible. State and local agencies and Tribes that operate TANF programs must do so under plans determined to be complete (or for Tribes approved) by the Department of Health and Human Services (DHHS). For Contingency Funds, all States and the District of Columbia are eligible if they are determined to be a "needy State" by satisfying either an unemployment trigger or a food stamp trigger. Territories and Tribes are not eligible for

Contingency Funds.

#### **Beneficiary Eligibility:**

Needy families with children, as determined eligible by the State, Territory, or Tribe in accordance with the State or Tribal plan submitted to the Department of Health and Human Services (HHS).

#### **Credentials/Documentation:**

Federal funds go to the State, Territory, or Tribal agency certified by the Chief Executive Officer. Needy families must meet State or Tribal eligibility requirements. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each State, Territory, and the District of Columbia must develop a State plan and include the certifications signed by the Executive Officer (Governor). Applicants must consult with local governments and private organizations and provide them 45 days to comment on the plan. The State plan and certifications must be submitted to the Secretary of HHS. Tribes may apply to the Secretary to receive funds and to administer the TANF block grant. Tribes would submit a 3-year family assistance plan. The Secretary, in consultation with the Tribe, would set program requirements and time-limits for receipt of welfare-related services, consistent with the purposes of the program and economic conditions/resources of each Tribe. Tribes should contact the OFA Regional TANF Program Manager for further Tribal plan submittal procedures. For Contingency Funds, each State must request these funds monthly for each month they meet either the unemployment or food stamp triggers. For Supplemental Grants, there is no application. Supplemental Grants are awarded annually and issued quarterly to the States (in number 17) with exceptionally high population growth in the early 1990s, historic (1994) welfare grants per poor person lower than 35 percent of the national average, or a combination of above average population growth and below average historic welfare grants per poor person.

#### **Award Procedure:**

Once a plan is determined complete, or in the case of a Tribe the plan is approved, by the DHHS, Family Assistance Grants are awarded in quarterly payments. Supplemental Grants are also awarded in quarterly payments. Contingency Fund awards will be made monthly.

#### **Deadlines:**

Not Applicable.

#### **Range of Approval/Disapproval Time:**

States, Territories, the District of Columbia, and Tribes implement their assistance programs according to their State and Tribal plans. The Secretary does not have authority to approve or disapprove a State plan, only to determine its completeness. Tribal plans are subject to approval by the Secretary. For Contingency Funds, approval/disapproval will be from 30 to 60 days after receipt of the request for funds.

#### **Appeals:**

States, Territories, the District of Columbia, and Tribes facing an adverse action by the Secretary may appeal under both administrative and judicial procedures. In addition, States, Territories, the District of Columbia, and Tribes must provide opportunities for recipients who have been adversely affected to be heard in a State or Tribal administrative or appeal process.

#### **Renewals:**

States, Territories, and the District of Columbia must periodically (every 2 or 3 years) renew their funding status by submitting their TANF plan. Tribes must renew their funding status every 3 years. For Contingency Funds, requests for additional funding must be made monthly.

#### **Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Chapter 2, Part 260; 286.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.



**Length and Time Phasing of Assistance:**

States, Territories, the District of Columbia, and Tribes are awarded their assistance grants in quarterly payments. They may reserve grant moneys, without fiscal year limitation, to provide any allowable benefits and services that are consistent with the purposes of the TANF program. With certain exceptions, most families are limited to no more than 5 years of assistance under the Federal grant. Tribes have the flexibility to establish time limits on receipt of assistance. For Contingency Funds, grant awards are issued monthly to States meeting the eligibility criteria stipulated under Section 101. Method of awarding/releasing assistance: quarterly.

**Reports:**

States, Territories, the District of Columbia, and Tribes operating their own Tribal TANF programs are required to collect and report to the Secretary on a quarterly basis case record information on the families receiving assistance. They are also required to report administrative costs and overhead expenditures on programs for needy families, participation by noncustodial parents in work activities, and transitional services provided to former recipients. They may be required to report child poverty information annually in accordance with the methodology the Secretary has established by regulation. No cash reports are required. No progress reports are required. Quarterly financial reports. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted by the Inspector General under Chapter 75 of Title 31, United States Code. If a State or Territory is found to have used funds from the State Family Assistance Grant in violation of the statute, the Secretary shall reduce the grant payable to them for the immediately succeeding fiscal year by that same amount. For Tribes, the Secretary will have the ability to maintain program funding accountability consistent with generally accepted accounting principles and the requirements of the Single Audit Act of 1984 and OMB Circular A-133.

**Records:**

States, Territories, the District of Columbia, and Tribes must maintain records containing information the Secretary may require by regulation.

**Account Identification:**

75-1552-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$77,359,233; FY 12 est \$77,875,000; and FY 13 est \$77,875,000 - (Territory Assistance Grants and Matching Grants). (Formula Grants) FY 11 \$331,960,173; FY 12 est \$612,000,000; and FY 13 est \$292,550,000 - (Contingency Funds--estimated ending balance). (Formula Grants) FY 11 \$16,488,667,235; FY 12 est \$16,488,667,000; and FY 13 est \$16,488,667,000 - (State and Tribal Family Assistance Grants). (Formula Grants) FY 11 \$211,321,628; FY 12 est \$0; and FY 13 est \$319,450,000 - (Supplemental Grants for Population Increases).

**Range and Average of Financial Assistance:**

State and Tribal Family Assistance grants are estimated from \$77,195 to \$3,659,482,790 with an average of \$149,896,973.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, grants were made to 50 States, the District of Columbia, three Territories and 65 Tribes. Fiscal Year 2012: In FY 2012, grants were made to 50 States, the District of Columbia, three Territories, and 66 Tribes. Fiscal Year 2013: In FY 2013, it is anticipated that grants will be made to 50 States, the District of Columbia, three Territories and a projected 75 Tribes.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Temporary Assistance for Needy Families (TANF) Final Rule was originally published in the Federal Register on April 12, 1999 (Vol. 64, No. 69). Publication of the Deficit Reduction Act of 2005 was published in the Federal Register on February 5, 2008 (Vol. 73, No. 24) to incorporate changes resulting

from reauthorization of the TANF program. Program rules for State programs can be found at 45 CFR Parts 260 through 265. The Tribal Temporary Assistance for Needy Families (TANF) Final Rule was published in the Federal Register on February 18, 2000 (Vol. 65, No. 34). Tribal rules can be found at 45 CFR Part 286.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Carol Monteiro, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-2462.

Region II (NJ, NY):

Frank Ceruto, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 133.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

LaMonica Shelton, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2938.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 349, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

Region VIII (CO, MT, ND, SD, UT, WY)

Larry Brendel, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 999 18th Street, South Terrace, Suite 499, Denver, CO 80202. Telephone: (214) 767-6236.

Region IX (AZ, CA, HI, NV):

Julie Fong, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579.

Region X (AK, ID, OR, WA):

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.594 Tribal Work Grants; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.560 FAMILY SUPPORT PAYMENTS TO STATES\_ASSISTANCE PAYMENTS**

(Adult Programs in the Territories)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XVI, 42 U.S.C 1351.

**OBJECTIVES:**

To provide aid to the aged, blind, and the permanently and totally disabled in Guam, Puerto Rico, and the Virgin Islands.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Cash payments are made to eligible needy aged, blind, or disabled persons in Guam, Puerto Rico, and the Virgin Islands. These payments are to cover costs for food, shelter, clothing, and other daily living needs recognized as necessary by each Territory's program. In addition, an individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least 18 years of age and totally disabled to receive aid to the permanently and totally disabled.

**Applicant Eligibility:**

Agencies must operate under Department of Health and Human Services (HHS) approved plans and agreements, which must comply with all Federal statutory and regulatory requirements governing these programs. The applicant must be needy -- i.e., meet specific income and resource requirements. In addition, the individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least 18 years of age and totally disabled to receive aid to the permanently and totally disabled.

**Beneficiary Eligibility:**

The beneficiary must be needy -- i.e., meet specific income and resource requirements. In addition, the individual must be at least age 65 to receive assistance for the aged; must be determined blind to receive aid to the blind; or must be at least 18 years of age and totally disabled to receive aid to the permanently and totally disabled. These programs also have specific unearned and earned income disregards that are applied in determining the amount of assistance payable.

**Credentials/Documentation:**

Federal funds must go to a certified Territorial welfare agency. Individuals must meet all eligibility requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Eligible individuals should apply directly to their Territorial or local welfare agency. The Territories should contact the Regional Temporary Assistance for Needy Families (TANF) program managers for application forms. (See Appendix IV of the Catalog for addresses.) Territories contact the Regional TANF program manager for applications for administrative funds. OFA/Regional TANF program managers have authority to approve applications and amendments; disapproval authority is held by the Director of the Office of Family Assistance, in the Administration for Children and Families.

**Award Procedure:**

Once an application is approved, Territories are awarded funds quarterly based on ACF-approved estimates of maintenance assistance and administrative costs. Notification of awards must be made to the designated Territorial agency. Eligible individuals receive monthly subsistence checks from Territorial welfare agencies.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Welfare agencies must have a time standard for notifying applicants of approval/disapproval; not over 45 days after application, except 60 days for aid to the disabled.

**Appeals:**

From 90 to 120 days. Individuals denied assistance must be given a fair hearing on appeal (45 CFR, Chapter 2, Section 205.10). Territorial agencies may request a hearing before the Assistant Secretary for Family Support regarding adverse decisions (45 CFR, Chapter 2, Section 201.14; 45 CFR, Part 16).

**Renewals:**

> 180 Days. The agency must conduct periodic reviews to determine whether conditions justifying eligibility still exist.

**Formula and Matching Requirements:**

Statutory Formula: Title XVI.

Matching Requirements: Program funds are provided based on a formula linked to the number of recipients receiving benefits each month.

Administrative costs are matched at 50%.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Individuals receive support from the Territorial or local welfare agency until they no longer meet the eligibility requirements. See the following for information on how assistance is awarded/released: Payments to eligible individuals are paid monthly.

**Reports:**

No program reports are required. Cash reports are not applicable. No progress reports are required. Territorial claims must be submitted quarterly to receive Federal matching funds. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Territories must maintain records which substantiate eligibility determination and grants that are made.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$29,929,794; FY 12 est \$33,000,000; and FY 13 est \$33,000,000

**Range and Average of Financial Assistance:**

The range for these three Territories is \$707,436 and \$30,880,328, with an average of \$10,936,095.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, three grants were awarded. Fiscal Year 2012: In FY 2012, three grants will be awarded. Fiscal Year 2013: In FY 2013, it is anticipated that three grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACF regulations are published in the Federal Register, 45 CFR 200 et seq.

**Regional or Local Office:**

See Regional Agency Offices. Region II (Puerto Rico, Virgin Islands)

Frank Ceruto, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 133.

Region IX (Guam)

Julie Fong, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.778 Medical Assistance Program; 96.001 Social Security\_Disability Insurance; 96.006 Supplemental Security Income

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.563 CHILD SUPPORT ENFORCEMENT****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, 42 U.S.C 1673-6103-6.

**OBJECTIVES:**

To enforce the support obligations owed by absent parents to their children, locate absent parents, establish paternity, and obtain child, spousal and medical support.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States and some Tribes provide support enforcement services directly to individuals who are receiving federally-funded Foster Care Maintenance Payments, Medicaid, Temporary Assistance to Needy Families (TANF) (or those who cease to receive TANF), and to individuals not otherwise eligible for such services. TANF, Medicaid, and certain federally-funded Foster Care applicants or recipients must have assigned support rights to the State. Non-TANF individuals other than those who cease to receive TANF and/or who provide authorization to the IV-D agency to continue support enforcement services, must have signed a written application for support enforcement services. The State must provide services to locate absent parents, establish paternity and enforce support obligations.

**Applicant Eligibility:**

All States, the District of Columbia, Puerto Rico, Virgin Islands, and Guam. Each of these jurisdictions is required to establish or designate a single and separate State Child Support Enforcement Agency. Tribes are eligible and we currently have forty-three tribal child support programs and 12 in the start-up phase.

**Beneficiary Eligibility:**

The State must provide support enforcement services to: (1) All applicants for, or recipients of TANF, Foster Care Maintenance Payments, and Medicaid, for whom an assignment to the State of support rights has been made and who are in need of such services; (2) all individuals who cease to receive TANF; (3) individuals who provide authorization to the IV-D agency to continue support enforcement services; and (4) any other individual who is in need of such services and who has applied for them.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

State officials prepare and review state plans and amendments. Regional Office staff are available for consultation or assistance in preparation of State plans and amendments. The standard application forms, as furnished by Department of Health and Human Services (DHHS) and required by OMB Circular No. A-102, must be used for this program. High level State officials review State Plans and amendments before they are submitted. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications are made in the form of a State Plan, prepared in the format provided by the Office of Child Support Enforcement.

**Award Procedure:**

States are awarded funds quarterly based on their estimates of funds needed to provide support enforcement services to individuals eligible under an approved Title IV-D State plan.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. State Plans and amendments submitted as new State Plans, and Plan amendments may require up to 90 days for approval.

**Appeals:**

From 30 to 60 days. The State may request reconsideration of plan disapproval or plan amendment disapproval within 60 days after that disapproval.

**Renewals:**

Once approved, State IV-D plans remain in effect until amended or revised.

**Formula and Matching Requirements:**

Statutory Formula: Title IV-D, Public Law 94-46,94-88,94,365,95-30,95-59,95-171,95-598,96-178,96-265,96-272,96-611, 97-35,97-248,98-369,98-378,100-485,101-508.

Matching Requirements: States receive a 66 percent Federal Financial Participation (FFP). Federally recognized Indian tribes and Alaska Native organizations are eligible to apply for direct funding for Child Support programs. Those with approved applications receive 90 percent FFP of their program needs during the first three years and 80 percent FFP thereafter. Tribes also may apply for two-year start-up grants. There are currently 43 tribal child support program grantees and 12 tribes receiving two-year start-up funding.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal funds are awarded quarterly on a fiscal year basis. The Electronic Transfer System is used for monthly cash draw from Federal Reserve Banks based on quarterly awards. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Periodic audits are made as part of recipient's systems of financial management and internal control in accordance with Public Law 98-502, the single Act of 1984. Cash reports are done on Form 269A. Periodic reports are required on the progress of the programs. Quarterly financial reports of administrative expenditures and child support collections and annual program reports including caseload data are required by OCSE. Periodic audits are conducted.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS Inspector general and State Audit (private groups) and other Federal government officials. OCSE conducts data reliability of variables used to compute performance measures. These audits were mandated by The Child Support Performance and Incentive Act of 1998 (CSPIA).

**Records:**

The IV-D agency must maintain records necessary for the proper and efficient administration of the State IV-D plan.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$4,165,538,000; FY 12 est \$3,780,819,000; and FY 13 est \$3,587,467,000

**Range and Average of Financial Assistance:**

FY11, from \$3,971,865 to \$742,422,618; \$85,069,921; FY 12, from \$3,758,043 to \$689,163,054; \$78,981,055; FY 13, from \$3,601,270 to \$659,149,241; \$75,542,685.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 54 grants were awarded to States and Territories. Tribal programs received \$35.3 million. Child support distributed collections were \$27.296 billion. Fiscal Year 2012: 54 grants are expected to be awarded to States and Territories. Tribal programs are estimated to receive \$42 million. Child support distributed collections are estimated to be \$27.663 billion. Fiscal Year 2013: 54 grants are expected to be awarded to States and Territories. Tribal programs are estimated to receive \$48 million. Child support distributed collections are estimated to be \$28.361 billion.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR, Chapter III, 45 CFR 16, 45 CFR 74, 45 CFR 95, 45 CFR 213, 45 CFR 232.

**Regional or Local Office:**

See Regional Agency Offices. Regional Representative, Department of Health and Human Services. (See Appendix IV of the Catalog for addresses and telephone numbers.).

**Headquarters Office:**

Renee R. Jackson-Hebron 901 D, St. SW, Washington, District of Columbia 20447 Email: rjackson@acf.hhs.gov Phone: 2024015101

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.597 Grants to States for Access and Visitation Programs; 93.658 Foster Care\_Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.564 CHILD SUPPORT ENFORCEMENT RESEARCH****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, Section 1115, 42 U.S.C 1315.

**OBJECTIVES:**

To provide federal funds for experimental, pilot, or demonstration projects that are likely to assist in promoting the objectives of Part D of Title IV. Section 1115 provides that 'the project - 1) must be designed to improve the financial well-being of children or otherwise improve the operation of the child support program; 2) may not permit modifications in the child support program which would have the effect of disadvantaging children in need of support; and 3) must not result in increased cost to the federal government under Part A of such title.' The principal purpose is to carry out the public purpose of implementing a demonstration project that is likely to "improve the financial well-being of children or otherwise improve the operation of the child support program" as stated in the statutory authority. Any responsibility to the federal government is a condition for receiving the grant, but not a principal purpose.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

In FY 2012, Section 1115 resources are dedicated to the OCSE National Child Support Noncustodial Parent Employment Demonstration Projects and to the evaluation of these demonstration projects. The funding will provide states with the opportunity to implement a child support-led model that provides a comprehensive set of services that have previously been associated with successful outcomes as part of a rigorous experimental evaluation in order to learn how to improve child support payments among underemployed or unemployed noncustodial parents. The goal of the demonstration projects is to improve the reliable payment of child support, thereby improving child well-being and avoiding public costs. The federal initiative will also examine the effect of employment services on child support and related outcomes, including the benefits and costs of employment services for noncustodial parents. To accomplish these goals, grantees will administer a package of child support, employment, and fatherhood services for noncustodial parents, and collect and report data on participants and those assigned to the control group, as agreed upon with OCSE. All grants must follow the program requirements and restrictions outlined in the funding opportunity announcement HHS-2012-ACF-OCSE-FI-0298 and follow all of the standard terms and conditions for ACF grant awards, not limited to what is described in the HHS Grants Policy Statement.

**Applicant Eligibility:**

Section 1115 grants may be made only to State Child Support Enforcement agencies or their umbrella agencies.

**Beneficiary Eligibility:**

State agencies, local governments, nonprofit organizations, and for-profit organizations.

**Credentials/Documentation:**

When appropriate, applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or service. Costs will be determined in accordance with 2 CFR 225 for State governments. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used for this program.

Application kits which contain the prescribed application forms and supplemental descriptive information on the priority projects are available from: Administration for Children and Families, Office of Grants Management, Director, Division of Discretionary Grants, 6th Floor East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Telephone: (202) 401-4577. Contact: Daphne Weeden, Director, Division of Discretionary Grants. Eligible interested parties are encouraged to submit applications on grants.gov. To be considered for a grant award, all applications must be submitted on the prescribed application forms and submitted to the Division of Grants Management. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the agency or organization the obligations imposed by the terms and conditions of the grant. As part of the project title (page 1 of the application form, Form SF-424) the applicant must clearly indicate whether the application submitted is in response to a priority project identified in a program announcement and must reference the unique project identifier (e.g., HHS-2010 - ACF - OCSE-FD-0113) for which the application is to compete. Applications are initially screened for relevance to program interests of the Office of Child Support Enforcement (OCSE). Ineligible applications will be returned to the applicant. Eligible applications are reviewed and evaluated by a review panel of not fewer than three knowledgeable people. A limited number of projects may be approved pending available funds and will compete with other nonpriority projects. Written assessment of each application is made.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the term and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 days. Generally, solicited grants will be acted upon within 90 days.

**Appeals:**

There are no formal appeals procedures. If an application for a grant is disapproved, the reasons for disapproval will be fully stated, applicants may request the reasons for disapproval. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval in the future.

**Renewals:**

Extensions and continuations of grants with 1-year project periods are generally not available except under extreme circumstances. If an application is recommended for approval for 2 or more years, the grantee must submit a formal request for continuation each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. but may require an administratively imposed non-federal match.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Section 1115 grants are typically three years in length. FY 2012 grants will be five years in length. For multi-year projects, support beyond the first year is contingent upon acceptable evidence of satisfactory progress and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual program narrative reports and semi-annual expenditure reports are required. Periodic monitoring is conducted by the federal project office when progress reports are reviewed. Semi-annual expenditure reports are required. Quarterly reports are required. Semi-annual expenditure reports are required.

Periodic monitoring is conducted by the Federal Project Officer when progress reports are reviewed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number act number and including all receipts and expenditures must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Project Grants) FY 11 \$580,000,000; FY 12 est \$32,000,000; and FY 13 Estimate Not Available - OCSE and the Centers for Medicare and Medicaid Services (CMS) share equally of the total \$4,000,000 in Section 1115 funds. These funds cover new and continued grants.

**Range and Average of Financial Assistance:**

FY 12 \$100,000 to \$1,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: OCSE awarded 10 new grants. Fiscal Year 2012: OCSE expects to award 8 new grants. Fiscal Year 2013: OCSE will not fund any new grants in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The pamphlets "Research Grants in Social Security," "Grants Administration Policies," and application kits may be obtained from the ACF, Office of Grants Management, Division of Discretionary Grants, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrators. (See Appendix IV of the Catalog for Regional Offices).

**Headquarters Office:**

Lauren Antelo 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: lauren.antelo@acf.hhs.gov Phone: 202 401-5602

**Website Address:**

<http://www.acf.hhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.563 Child Support Enforcement; 93.597 Grants to States for Access and Visitation Programs; 93.601 Child Support Enforcement Demonstrations and Special Projects; 93.647 Social Services Research and Demonstration; 93.779 Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 1) Employment Strategy Grants for IV-D Agencies and 2) University and IV-D Agency Partnership Grants. Fiscal Year 2012: 1) Child Support Noncustodial Parent Employment Demonstration Projects and 2) Evaluation of Child Support Noncustodial Parent Employment Demonstration Projects. Fiscal Year 2013: There will be no new awards in FY 2013.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Program Design; (2) Program Management; (3) Evaluation Design; and (4) Budget and Budget Justification.

**93.566 REFUGEE AND ENTRANT ASSISTANCE\_STATE**

**ADMINISTERED PROGRAMS**

Refugee Cash and Medical Assistance Program and Refugee Social Services Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Refugee Education Assistance Act of 1980, Title V, Section 501(a), Public Law 96-422, 94 Stat. 1799, 8 U.S.C 1522 note; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386; William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008, Section 212-235, Public Law 110-457.

**OBJECTIVES:**

The Refugee Cash and Medical Assistance program reimburses states for the cost of cash and medical assistance provided to refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants during the first eight months after their arrival in this country or grant of asylum. Reimbursement is also provided for care of unaccompanied refugee minors and grantee administrative costs. Social Services formula funding may be used for employment and other social services for same population for five years after their date of arrival or grant of asylum.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance is limited to refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants.

**Applicant Eligibility:**

State agencies, State Replacement Designees, and Wilson/Fish Alternative projects are eligible to apply for these funds.

**Beneficiary Eligibility:**

Refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants are eligible for benefits and services.

**Credentials/Documentation:**

Assistance is authorized for refugees, certain Amerasians from Viet Nam, asylees, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants with documentation on their immigration status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Submittal, and approval of, State plans, annual service plans, and annual State Cash and Medical Assistance estimates.

**Award Procedure:**

Cash and Medical Assistance grants are made to State agencies and State Replacement designees following submittal of approved State plans and annual State expenditure estimates (ORR-1). For Social Services grants, State agencies, State Replacement designees, and Wilson/Fish Alternative projects must submit annual service plans.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Annual submission of Cash and Medical Assistance program expenditure estimates and, for Social Services grants, submission of annual service plans.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Statutory formulas are not applicable to the Cash and Medical Assistance Program. Social Services funds are allocated in accordance with a statutory formula.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded on a quarterly basis. Funds for Cash and Medical Assistance and administrative costs must be obligated within the fiscal year of appropriation and liquidated within the next fiscal year. Funds for services for unaccompanied refugee minors may be obligated and expended in the year of award and in the subsequent year. Funds for social services must be obligated by end of the fiscal year after the fiscal year of appropriation and liquidated within the following fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

State agencies submit program performance reports (ORR-6) three times a year. Cash reports are not applicable. No progress reports are required. Grantees submit Federal Financial Reports (SF-425) four times a year. ORR regularly monitors State-administered programs, including cash and medical assistance, social services, and the unaccompanied refugee minors program. The ORR monitoring team reviews with State staff the eligibility and documentation requirements of beneficiaries and verifies the maintenance of accurate and up-to-date client files. ORR also monitors State financial and aggregate and case-level assistance reports and reviews State Plans and State Plan amendments.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain financial and program records for three years after the grantee submits the last expenditure report for the funding period.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$319,275,000; FY 12 est \$354,315,000; and FY 13 est \$385,268,000

**Range and Average of Financial Assistance:**

In FY 2011, grants for the Refugee Cash and Medical Assistance program ranged from \$5,000 to \$56,800,000; the average was \$5,098,900. Grants for the Refugee Social Services program ranged from \$75,000 to \$20,469,083; the average was \$1,661,394. It is anticipated that this pattern will continue in FY 2012 and FY 2013.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, there were CMA grants to 46 States. There were 51 Social Services grants to States and WilsonFish Alternative projects. Fiscal Year 2012: In FY 2012, there have been CMA grants to 46 States. There will be 51 Social Services grants to States and WilsonFish Alternative projects. Fiscal Year 2013: In FY 2013, there will be CMA grants to 46 States. There will be 51 Social Services grants to States and WilsonFish Alternative projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 400, Subparts A-I.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mitiku Ashebir 370 L'Enfant Promenade SW, 8TH Floor West  
, Washington, District of Columbia 20447 Email: Mitiku.Ashebir@acf.hhs.gov  
Phone: (202) 205-3602 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr> .

**RELATED PROGRAMS:**

93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.567 REFUGEE AND ENTRANT ASSISTANCE\_VOLUNTARY AGENCY PROGRAMS**

Matching Grant Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Consolidated Appropriations Act, 2008 , Public Law 110-161; FY 2009 Omnibus Appropriations Bill , Public Law 111-08; Defense Authorization Act of 2008, Public Law 110-181; Victims of Trafficking and Violence Protection Act of 2000 , Public Law 106-386.

**OBJECTIVES:**

The Matching Grant program assists refugees in becoming self-supporting and independent members of American society by providing grant funds to private nonprofit organizations to support case management, transitional assistance, and social services for new arrivals.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Federal funds of up to \$2,200 per refugee are provided on a matching basis of \$2.20 of Federal funds matched by \$1.10 of private funds and in-kind contributions. Required services include case management, job development, and maintenance assistance for four to six months. Funds may also be used for English language training concurrent with employment services, job training, and cash allowance.

**Applicant Eligibility:**

Grant awards are limited to States and private, nonprofit organizations that have a Reception and Placement Cooperative Agreement with the Department of State or Department of Homeland Security.

**Beneficiary Eligibility:**

Refugees must be enrolled within 31 days of arrival. Entrants/asylees must be enrolled within 31 days of granting of parole or asylum.

**Credentials/Documentation:**

Newly arriving refugees, certain Amerasians, Cuban or Haitian Entrants, asylees, and Iraqi or Afghan Special Immigrants, as evidenced in the documentation from the United States Citizenship and Immigration Services (USCIS) and victims of trafficking with certification documents issued by HHS. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Eligible applicants submit an application to HHS. This document includes a detailed program proposal and budget. Subsequent to review by an independent panel and consideration of past performance, the Director of the Office of Refugee Resettlement makes final funding decisions and grant awards are issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Deadlines are established in the notice of funds availability, which is published on grants.gov and the ORR website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr).

**Appeals:**

Not Applicable.

**Renewals:**

Continuation funding is contingent on funds availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Grants are awarded on a basis of \$2.20 in Federal funds for each \$1.10 of private funds up to a maximum of \$2,200 per refugee. Up to 80 percent of the nonfederal share may be through in-kind donations, with a minimum required cash match of 20 percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded with a 3-year project period and incremental 1-year budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program progress reports are required every four months; and fFederal Financial Reports are required semi-annually. An interim final financial status report is due 90 days after the program period has ended; and a final financial status report is due 210 days after the project period. Cash reports are not applicable. No progress reports are required. SF-425 Federal Financial Reports are required semi-annually. The program has an annual monitoring schedule to conduct site visits to approximately 5-10 percent of all local affiliates. On monitoring visits to local affiliate, the team selects a representative caseload for review and evaluates eligibility for the program, self-sufficiency plan, case notes, and employment outcomes. The team also conducts interviews with staff to assess their knowledge of the program requirements. The team will also interview selected clients and visit local employers of refugee clients to assess local agency-employer-client relations. Also, Matching Grant program guidelines include the requirement that national volags must monitor their affiliates and report back to ORR on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee shall maintain financial and program records for three years following the end of the project period.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Cooperative Agreements) FY 11 \$65,309,000; FY 12 est \$65,309,000; and FY 13 est \$65,309,000

**Range and Average of Financial Assistance:**

In FY 2011, the grants ranged from \$1,432,200 to \$22,165,000, with an average award of \$7,256,555.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the grants ranged from \$1,432,200 to \$22,165,000, with an average award of \$7,256,555. In FY 2011, the program achieved 71% self sufficiency for the individuals receiving services. There were nine grantees. Fiscal Year 2012: Projected FY 2012 funding for the Matching Grant Program is \$97,963,800. This includes \$65.3 million from ORR and \$32.65 million from 9 voluntary agencies participating through cooperative agreements. These agencies are providing Matching Grant Program services at 235 locations in 42 states. The program is expected to serve 29,686 individuals with FY 2012 funding. For more information:

[http://www.acf.hhs.gov/programs/orr/programs/match\\_grant\\_prg.htm](http://www.acf.hhs.gov/programs/orr/programs/match_grant_prg.htm). Fiscal Year 2013: No current data available. It is expected that nine voluntary agencies will receive grants through this program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Munia 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: [ronald.munia@acf.hhs.gov](mailto:ronald.munia@acf.hhs.gov) Phone: (202) 401-4559 Fax: (202) 401-0981.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Matching grant awards are made on the basis of the evaluation criteria in the notice of funding availability.

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Low Income Home Energy Assistance Act of 1981, as amended.; The Omnibus Budget Reconciliation Act of 1981; Energy Policy Act of 2005 , Public Law 109-58.

**OBJECTIVES:**

To make Low Income Home Energy Assistance Program (LIHEAP) grants available to States and other jurisdictions to assist eligible households to meet the costs of home energy. Supplemental Leveraging Incentive Funds may be awarded to reward States and other jurisdictions that provide additional benefits and services to LIHEAP-eligible households beyond what could be provided with Federal funds. Up to 25 percent of the leveraging incentive funds may be set aside for LIHEAP grantees that provide services through community-based nonprofit organizations to help LIHEAP-eligible households reduce their energy vulnerability under the Residential Energy Assistance Challenge Program (REACH). Training and Technical Assistance: To provide training and technical assistance to States and other jurisdictions administering the LIHEAP block grant program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Energy Assistance Block Grants: Funds are awarded to States, Tribes and Tribal Organizations, and Territories, which then make payments directly to an eligible low-income household or, on behalf of such household, to an energy supplier to assist in meeting the cost of home energy. Up to 10 percent of these

funds may be used for State and local planning and administration. Up to 15 percent may be used for low-cost residential weatherization. Grantees may request that HHS grant a waiver for the fiscal year that increases from 15 percent to 25 percent funds that can be allotted for residential weatherization. Depending upon specific appropriations, HHS may allocate supplemental LIHEAP leveraging incentive funds to grantees that have acquired nonfederal leveraged resources in order to provide additional benefits and services to LIHEAP-eligible households to help them meet their home heating and cooling needs. Up to 25 percent of Leveraging Incentive Funds may be allocated by HHS to LIHEAP grantees that provide services through community-based nonprofit organizations to LIHEAP-eligible households to reduce their energy vulnerability, under the Residential Energy Assistance Challenge Program (REACH). Up to \$600,000,000 is authorized as emergency contingency funds to be used to meet additional needs arising from a natural disaster or other emergency. Such funds will be made available only after submission to Congress of a formal budget request for all or part of the funds by the President that designates the amount of the request as an emergency under the Balanced Budget and Emergency Deficit Control Act of 1985. Training and Technical Assistance: the Secretary has authority to set aside up to \$300,000 from each years appropriation for training and technical assistance relating to the Low-Income Home Energy Assistance Program. These T/TA activities are accomplished through: grants, contracts, or jointly financed cooperative or interagency agreements with States, Indian tribes, tribal organizations, public agencies or private nonprofit organizations; through interagency agreements, including with Federal agencies, or through on-site compliance reviews of LIHEAP grantees. The nature of and amount awarded for training and technical assistance vary from year to year.

**Applicant Eligibility:**

Energy Assistance Block Grants: All States, the District of Columbia, federally-and State-recognized Indian Tribal governments which request direct funding, and specified Territories may receive direct grants. The prospective grantee must submit an annual application. Grantees desiring ILveraging Incentive Funds and REACH funds must submit special applications each year. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: States, Indian tribes or tribal organizations, Territories, public agencies, and private nonprofit organizations may apply. Nothing in the statute precludes a business concern that applies jointly with a private nonprofit organization from receiving a training and technical assistance grant.

**Beneficiary Eligibility:**

Energy Assistance Block Grants: All States, the District of Columbia, federally-and State-recognized Indian Tribal governments that request direct funding, and specified Territories may provide assistance to households with incomes up to the greater of 150 percent of the poverty level or 60 percent of the State median income. Grantees may establish lower income eligibility levels, but they may not set the limit below 110 percent of the poverty level. Training and Technical Assistance: States, Indian tribes or tribal organizations, Territories, public agencies, and private nonprofit organizations may apply. Nothing in the Statute precludes a business concern that applies jointly with a private nonprofit organization from receiving a training and technical assistance grant.

**Credentials/Documentation:**

Energy Assistance Block Grants: The chief executive officer of the State, Tribe or Territory or his designee must certify to 16 assurances required by law. Households must meet beneficiary eligibility requirements. Grantees desiring Leveraging Incentive Funds or REACH funds must submit annual applications. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Requirements vary and are at [www.grants.gov](http://www.grants.gov) or [www.fedbizopps.gov](http://www.fedbizopps.gov). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This



program is excluded from coverage under OMB Circular No. A-110. Energy Assistance Block Grants: Applications are submitted by the chief executive officer of a State, Indian Tribe (recognized by the Federal government or a State government), tribal organization, or Territory, or his designee. Applications contain assurances prescribed by law and a plan describing how certain assurances will be carried out, and other information specified by law. Separate applications are required to qualify for Leveraging Incentive Funds and REACH funds. Instructions will be issued if emergency contingency funds are released. Households wishing to apply for benefits should contact the local welfare agency or community action agency for information regarding the agency administering the program in their jurisdiction. Training and Technical Assistance: Requirements that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov) or [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Award Procedure:**

Energy Assistance Block Grants: Grants are made upon receipt of a complete application by the Office of Community Services Headquarters Office. Leveraging Incentive Funds and REACH funds will be awarded based on applications submitted by grantees. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Procedures that apply to each request for proposals vary and are at [www.grants.gov](http://www.grants.gov) or [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Deadlines:**

Sept 01, 2012 Energy Assistance Block Grants: States and Territories must submit their applications by September 1, prior to the fiscal year for which funds are sought, unless the Department agrees to a later date. Tribal applications must also be submitted by September 1, prior to the fiscal year for which the funds are sought, unless the State in which a tribe is located agrees to a later date. All applications must be completed by December 15, of the fiscal year for which funds are sought, unless the Department (in the case of States and Territories) or the State (in the case of tribal grantees) agrees to a later date. Leveraging incentive fund reports are due by November 30 of each year. Reach applications are due by March 30 of each year. Contact Headquarters Office listed below for further information. [www.grants.gov](http://www.grants.gov) or [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Range of Approval/Disapproval Time:**

Energy Assistance Block Grants: The Department reviews plans for completeness and will act on the plans submitted as quickly as possible. Leveraging Incentive and REACH applications will be reviewed and acted upon as quickly as possible. Training and Technical Assistance: Range of time varies, depending upon the nature and complexity of a request for proposals.

**Appeals:**

Energy Assistance Block Grants: Grantees may request a hearing regarding repayment of funds or withholding of funds under Section 2608 of the authorization. Training and Technical Assistance: Not applicable for unsuccessful applicants for grants or cooperative agreements. For contracts, prospective applicants may object to a contract award by filing a protest with the contracting officer or higher authority. The notification issued by the contracting office to unsuccessful bidders contains the procedures and time frame for filing a protest.

**Renewals:**

Energy Assistance Block Grants: Annual applications are required. Separate annual applications are also required for Leveraging Incentive Funds and REACH funds. Instructions will be issued if emergency contingency funds are released. Training and Technical Assistance: Award periods may vary and are at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Formula and Matching Requirements:**

Statutory Formula: Section 2604 of the LIHEAP statute addresses this issue. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Energy Assistance Block Grants: Grant awards are made to grantees with complete applications for carrying out the program within the fiscal year. Up to 10 percent of a fiscal year's grant may be held available for obligation in the subsequent fiscal year. For Leveraging Incentive Funds and REACH funds, obligation must occur by the end of the fiscal year following the year in which the funds are appropriated, without regard to the 10 percent carryover limit. See

the following for information on how assistance is awarded/released: Section 2607 of the Low Income Home Energy Assistance Program, as amended.

**Reports:**

Energy Assistance Block Grants: Grantees must submit an annual report within 90 days of the end of the fiscal year on the amount of funds obligated during the fiscal year and the last date of obligations of funds. A report is required annually on the number and income levels of households served during the previous year, on those households that are served that have members who are elderly, disabled, or young children, and on the number and income levels of all households that apply for assistance whether or not they are served. This report must be included as part of the annual plan before funds are released. A report on the amount of funds that the grantee desires to carry over for obligations in the succeeding fiscal year, the reasons any such funds will not be used during the first fiscal year, the types of assistance to be provided with funds carried over and the amount of funds, if any, to be subject to reallocation must be submitted by August 1 annually. Grant awards for the following fiscal year will not be released until this report is received. No cash reports are required. Training and Technical Assistance: Grantees are required to submit quarterly financial reports and a final progress report. For contracts, contractors are required to submit quarterly financial reports form HHS-646, Financial Report of Individual Project (Contract). A report is required from those grantees expending up to 5 percent of funds under section 2605(b)(16) for services that encourage and enable households to reduce their home energy needs. A report is due by November 30 of each year for those grantees that which to receive Leveraging Incentive Funds, reporting the amount value of leveraged resources they added to the program in the previous fiscal year. For REACH, a financial status report is due 90 days after the end of the program year and a final evaluation is due six months after the end of the program year. Performance monitoring is required for Leveraging Incentive Funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. (As discussed in Appendix I of this Supplement, Federal Programs Excluded from the A-102 Common Rule, LIHEAP is exempt from the provisions of the OMB cost principles circulars. However, according to 45 CFR 96.31(a), LIHEAP grantees and sub-grantees are responsible for obtaining audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, Audits of State, Local Governments, and Non-Profit Organizations. An independent auditor in accordance with generally accepted Government auditing standards covering financial audits shall make the audits. State cost principals requirements apply to LIHEAP.

**Records:**

Grant accounting records must be maintained in accordance with section 2605(b)(10).

**Account Identification:**

75-1502-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$4,500,352,646; FY 12 est \$3,441,764,749; and FY 13 est \$2,790,000,000 - Contingency Fund: FY11 \$200,000,000; FY12 \$0 ; FY13 est. \$200,000,000.

**Range and Average of Financial Assistance:**

FY12 \$4,196,380 to \$375,714,335; Average is \$62,576,888.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 223 grants awarded in FY 2011. Fiscal Year 2012: 252 grants awarded in FY 2012. Fiscal Year 2013: It is anticipated that 252 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96

**Regional or Local Office:**

None.

**Headquarters Office:**

Nick St. Angelo Division of Energy Assistance, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: nick.stangelo@acf.hhs.gov Phone: (202) 401-9351 Fax: (202) 401-5661

**Website Address:**

<http://www.acf.hhs.gov/programs/liheap>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria pertinent to each request for training and technical assistance proposals are published in the Federal Register or Federal Business Opportunities ([www.febsbizopps.gov](http://www.febsbizopps.gov)).

**93.569 COMMUNITY SERVICES BLOCK GRANT**

(CSBG)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant (CSBG) Act.

**OBJECTIVES:**

To provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act) and (1) To provide services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) to provide activities designed to assist low-income participants, including the elderly poor, to: (a) secure and retain meaningful employment; (b) attain an adequate education; (c) make better use of available income; (d) obtain and maintain adequate housing and a suitable living environment; (e) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance; (f) remove obstacles and solve problems which block the achievement of self-sufficiency; (g) achieve greater participation in the affairs of the community; and (h) make more effective use of other related programs; (3) to provide on an emergency basis for the provision of such supplies and services, nutritious foodstuffs, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor; and (4) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

(1) States receive block grants to ameliorate the causes of poverty in communities. The block grant approach gives the States flexibility to tailor their programs to the particular services needs in their communities. (2) States are required to use at least 90 percent of their allocations for grants to "eligible entities" as defined in the Community Services Block Grant (CSBG) Act, as amended; this includes primarily locally-based community action agencies and/or organizations that serve seasonal or migrant farm workers. (2) No more than the greater of \$55,000 or 5 percent of each State's allocation may be used for administrative expenses at the State level.

**Applicant Eligibility:**

The Secretary is authorized to make grants to States. This includes each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Secretary also provides assistance directly to the governing body of an Indian Tribe or Tribal organization upon application by the tribe. Only State-recognized tribes, as evidenced by a statement to that effect by the Governor, or tribes formally recognized by the Secretary of the Interior, under the procedure for such recognition in 25 CFR 54, are eligible to receive direct grants.

**Beneficiary Eligibility:**

States make grants to qualified locally-based nonprofit community antipoverty agencies and other eligible entities which provide services to low-income individuals and families. The official poverty line, as established by the Secretary of Health and Human Services, is used as a criterion of eligibility in the Community Services Block Grant program. When a State determines that it serves the objectives of the block grant, it may revise the income limit, not to exceed 125 percent of the official poverty line.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each State desiring to receive an allotment for a fiscal year is required to submit an application to the Secretary of Health and Human Services (HHS). Each application must contain assurances by the appropriate State designee that the State will comply with Section 676 of the Community Services Block Grant Act and also meet conditions enumerated in Sections 678(B-D). The State is required to hold at least one legislative hearing every three years in conjunction with the development of the State Plan (Section 676(a)(3)). States are also required to conduct public hearings on the proposed use and distribution of funds to be provided under the Act. The latter sets forth the general purpose for which funds will be used, restrictions on administrative expenses, eligible recipients, board requirements for community action agencies and other nonprofit organizations, fiscal control, monitoring, and Federal investigation provisions, coordination between antipoverty programs in each community and certain prohibitions on political activities. The Chief Executive Officer of each State is also required to designate a lead agency to prepare and submit a plan to the Secretary of HHS describing how the State will carry out the assurances in Section 676. This program is excluded from coverage under 45 CFR, Part 1050.

**Award Procedure:**

HHS determines the amount of funds to be allocated as block grants to each State in accordance with the formula set forth in the Community Services Block Grant Act. The Office of Management and Budget (OMB) has the authority to apportion to the HHS through the course of a year the Congressional appropriation for block grants. Consistent with OMB's apportionment of funds, HHS will assign allotments to the States through individual awards or a series of awards, normally on a quarterly basis.

**Deadlines:**

Sep 01, 2009 The application deadline for States and Indian Tribes and Tribal Organizations is September 1 of each fiscal year.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Funds may be withheld from any State which does not utilize its allotment substantially in accordance with the provisions of the Community Services Block Grant Act and the assurances provided in its application. This may be done only after adequate notice and an opportunity for a hearing is conducted within the affected State.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter 96.71, Part 96, Subpart G, Public Law 97-35. Section 674 of the CSBG Act authorizes the Secretary to use one and one-half of one percent of the amount appropriated to be reserved for corrective action activities, training, technical assistance, planning, evaluation, and data collection activities related to programs or projects carried under this subtitle. Such activities may be carried out through grants, contracts, or cooperative agreements with eligible entities or with organizations or associations whose membership is composed of eligible entities or agencies that administer programs for eligible entities. One-half of one percent of the amount appropriated is apportioned on the basis of need among Guam, American Samoa, the Virgin Islands, the Northern and Mariana Islands. Of the remaining amount, each state, (excluding the above, but including the District of Columbia and the Commonwealth of Puerto Rico) is allotted an amount which bears the same ratio as the amount received by the state for fiscal year 1981 under Section 221 of the Economic Opportunity Act of 1964 bore to the total amount received by all states for fiscal year 1981 under Section 221. However, if the appropriation exceeds \$345,000,000 after the amount necessary for purposes of discretionary funding under Section 680 and the one-half of one percent set-aside for territories and insular areas under Section 675(A) are determined, no state receives less than one-half of one percent of the amount appropriated. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Entitlement amounts are for a specific fiscal year and the grant funds allotted to the State will be awarded in accordance with apportionment of funds from the Office of Management and Budget. Amounts unobligated by the State at the end of a fiscal year remain available for obligation during the succeeding fiscal year. See the following for information on how assistance is awarded/released: Each fiscal year.

**Reports:**

All funded grantees and sub-grantees must submit SF- 269 annually, as required by the Code of Federal regulation 45 CFR 96. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to keep records sufficient to permit preparation of the required reports and to permit tracing of funds to a level of expenditure adequate to insure that funds have not been spent unlawfully.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$678,636,410; FY 12 est \$677,357,370; and FY 13 est \$350,000,000

**Range and Average of Financial Assistance:**

\$1,019 to \$55,942,793; average \$5,242,585.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 125 awards were awarded. Fiscal Year 2012: 122 awards were awarded. Fiscal Year 2013: It is anticipated that 122 awards will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 16, 45 CFR 74 and 45 CFR 96.

**Regional or Local Office:**

None.

**Headquarters Office:**

Seth Hassett 901 D Street, S.W., 5th Floor - Room 5A165, Washington, District of Columbia 20447 Email: seth.hassett@acf.hhs.gov Phone: 202-401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs>.

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.568 Low-Income Home Energy Assistance; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.570 COMMUNITY SERVICES BLOCK GRANT\_DISCRETIONARY AWARDS**

Community Economic Development & Rural Community Development Programs

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant (CSBG) Act.

**OBJECTIVES:**

To support program activities to alleviate the causes of poverty in distressed communities which: (1) assist businesses in creating jobs for low-income individuals, i.e., develop employment and business development opportunities for low-income individuals; (2) a better standard of living for rural low-income individuals in terms of water and waste water treatment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds awarded under the Secretary's Discretionary Authority may be used for activities that: improve the quality of the economic and social environment of low-income residents by providing resources to eligible applicants, by arresting tendencies toward dependency, chronic unemployment and community deterioration in urban and rural areas; and by addressing needs of water and wastewater treatment in rural communities. Community Economic Development (CED) grants are awarded to cover project costs for (1) startup or expansion of business, physical improvements, or commercial activities. (2) capital expenditures such as the purchase of equipment or real property; (3) allowable operating expenses; and (4) loans or equity investments. Expenditures must result in the creation of employment or business opportunities for low-income individuals. Generally, the project must be completed within 36 months for non-construction projects and 60 months for construction projects. Projects must document public/private partnership mobilizing cash and/or in-kind contributions; and be located in areas characterized by poverty and other indicators of socioeconomic distress, such as high levels of unemployment, or high levels of violence, gang activity, crime, drug use and/or low-income individuals or designation as an Empowerment Zone or Enterprise Community (EZ/EC). Rural Community Development (RCD) grants are awarded to provide training and technical assistance to small, rural communities concerning their water and waste water treatment needs. RCD grants focus on the development and upgrading of small water and wastewater systems in low-income rural areas. Types of services provided included training of persons responsible for community water and wastewater facilities; assisting communities with problem-solving and planning for facilities; producing and disseminating publications, newsletters, videos, and training manuals about rural waste and wastewater systems; and assisting rural communities in leveraging Federal, State, local, and private sector financing for facilities.

**Applicant Eligibility:**

For Community Economic Development projects, eligibility is restricted to private, locally initiated, nonprofit community development corporations (or affiliates of such corporations) governed by a board consisting of residents of

the community and business and civic leaders. This includes faith based community development corporations. For Rural Community Development Activity projects, which is referred to as Rural Community Facilities projects, eligibility is restricted to multi-state, regional private, non-profit organizations that can provide training and technical assistance to small, rural communities interested in safe water and waste water treatment needs.

**Beneficiary Eligibility:**

A project must be targeted to address the needs of a specific segment of low-income individuals or families. The official poverty line established by the Director of the Office of Management and Budget, published annually by the Department of Health and Human Services is used as a criterion of eligibility in the Community Economic Development Discretionary Grant program.

**Credentials/Documentation:**

Costs will be determined in accordance with the provisions of Title 45 CFR 74. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis. Announcements concerning the availability of funds, requests for applications, along with application form and assurance documents, are at [www.grants.gov](http://www.grants.gov). Applications to the Office of Community Services for grants under the announcement should be addressed to: OCS Operations Center 1515 Wilson Blvd., Suite 100, Arlington, Virginia 22209. Applicants are urged to inform and coordinate application submissions with State and local governments where such information and coordination is appropriate or necessary for the success of the program. This program is subject to the provisions of Title 45 CFR Part 74 (non-governmental entities). All applications for assistance under this program must contain: (1) SF-424, Application for Federal Assistance; (2) SF-424A, Budget Information; (3) SF-424B, Assurances-Non- Construction Programs; (4) Certificate Regarding Drug Free Workplace Requirements; (5) Certification regarding environmental tobacco smoke; (6) Certification Regarding Debarment, Suspension, and Other Responsibility Matters; and (7) Certification Regarding Lobbying. These must be accompanied by a detailed budget, and a program narrative submitted in accordance with the format detailed in the Funding Opportunity Announcement (FOA).

**Award Procedure:**

The Director, Office of Community Services, Administration for Children and Families (ACF), will make the final decision on all grant awards. Selection of applicants will be determined based on the review criteria outlined in the Funding Opportunity Announcement.

**Deadlines:**

Sep 01, 2012 Deadlines for Community Economic Development awards are posted annually in the Funding Opportunity Announcement, found on [www.grants.gov](http://www.grants.gov).

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Generally, solicited grants will be acted upon within 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

From 90 to 120 days. Rural Community Development Activity projects (also referred to as Rural Community Facilities Projects), are awarded for a five year project period with 12 month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, Community Economic Development financial assistance awards are made available for periods of 36 to 60 months; Rural Community Development financial assistance awards are awarded for 12-month budget periods with a five year project period. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. Semi-annual progress reports, semi-annual financial reports and a final report summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required by OCS. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to keep all financial, business and program reports necessary for program review and audit to insure that funds have been expended in accordance with the regulations, grant terms and conditions of this program. Audits and supporting records must be kept on file for at least 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$4,989,997; FY 12 est \$4,980,568; and FY 13 est \$0. (Project Grants (Discretionary)) FY 11 \$17,963,998; FY 12 est \$29,943,300; and FY 13 est \$29,943,000

**Range and Average of Financial Assistance:**

Up to \$800,000 for Community Economic Development and \$722,000 for Rural Community Development Activities.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 25 grants were awarded for CED and 9 grants were awarded for RCD. Fiscal Year 2012: It is anticipated that 35 grants will be awarded for CED and 8 grants will be awarded for RCD. Fiscal Year 2013: It is anticipated that 35 grants will be awarded for CED. No funding is requested for RCD.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements are posted on the web.

**Regional or Local Office:**

None. OCS Liaisons, stationed in - ACF.

**Headquarters Office:**

Lynda Perez 370 L'Enfant Promenade SW, 5th Floor West, Washington, District of Columbia 20447 Email: [lynda.perez@acf.hhs.gov](mailto:lynda.perez@acf.hhs.gov) Phone: (202) 401-9365 Fax: (202) 401-4687

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs>.

**RELATED PROGRAMS:**

93.593 Job Opportunities for Low-Income Individuals

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each Funding Opportunity Announcement.

**93.575 CHILD CARE AND DEVELOPMENT BLOCK GRANT**

Child Care and Development Block Grant (CCDBG)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human

Services

**AUTHORIZATION:**

Child Care and Development Block Grant Act of 1990, as amended, 42 U.S.C 9858; Consolidated Appropriations Act, 2012, Public Law 112-74.

**OBJECTIVES:**

The Child Care and Development Block Grant (CCDBG or Discretionary Funds) is a part of the Child Care and Development Fund (CCDF) program, along with the Child Care Mandatory and Matching Funds (see CFDA 93.596). The CCDBG provides grants to States, Territories, Tribes, and tribal organizations serving federally-recognized tribes (public institutions of higher education and hospitals are not eligible applicants) for child care assistance for low-income families. The current objectives are to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations. Current priorities include: making systemic investments in quality child care to promote child development and health and safety; and creating a system that is child focused, family friendly, and fair to providers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

In the Consolidated Appropriations Act, 2012, Congress directs that funds appropriated for the Child Care and Development Block Grant (CCDBG or Discretionary Funds) must be used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. Lead Agencies must use Discretionary Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG. Certain amounts of Discretionary Funds must be used for specific purposes: quality expansion; infant and toddler quality improvement; and child care resource and referral, including a national toll-free hotline; and school-age child care activities. A portion of the Discretionary Funds is also designated for the U.S. Department of Health & Human Services to carry-out research, demonstration, and evaluation projects. Not more than five percent of the aggregate amount of CCDF Funds expended by the State or Territory (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State or Territory to carry-out all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State or Territory shall use not less than four percent of the CCDF Funds to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. Except for approved construction of child care facilities by tribal grantees, no Discretionary Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading facilities to meet State and local child care standards). No Discretionary Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction. However, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No Discretionary Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school. Lead Agencies shall assure that a substantial portion of the Discretionary Funds will be used to provide assistance to low-income working families who are not receiving assistance under the Temporary Assistance for Needy Families program, attempting through work activities to transition off of temporary assistance programs, nor at risk of becoming dependent on

temporary assistance programs.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, the Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Federally recognized Tribal Governments and consortia.

**Beneficiary Eligibility:**

Children under age 13 (or, at the option of the grantee, up to age 19, if physically or mentally incapable of self-care or under court supervision), who reside with a family whose income does not exceed 85 percent of the State median income for a family of the same size, and who reside with a parent (or parents) who is working or attending job training or educational program; or are in need of, or are receiving protective services.

**Credentials/Documentation:**

Lead Agencies must operate under a CCDF plan approved by the Administration for Children and Families, and must provide assurances that the Grantee will comply with the requirements of the CCDBG Act and all applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each Grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Discretionary Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to the Administration for Children and Families, as well as, financial and other information necessary for the grants process. Each CCDF plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the Child Care and Development Block Grant Act (CCDBG). The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the CCDBG; an outline of the intended use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.

**Award Procedure:**

Grants are awarded after the receipt and approval of the CCDF plan by the Administration for Children and Families.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Administration for Children and Families will review the CCDF plans for approval and will act on the plans within 90 days.

**Appeals:**

Guidelines for appealing the disapproval of CCDF plans are specified in regulations (45 CFR Part 99).

**Renewals:**

CCDF plans must be submitted every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Part 98.61.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made to Lead Agencies with approved CCDF plans. Grantees must obligate all Discretionary Funds in the fiscal year in which they are granted or in the succeeding fiscal year. Those funds must be liquidated no later than the end of the third fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As specified in 45 CFR Part 98, States must report to ACF annually aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. Tribes must also provide an annual count of children and families served through CCDF; average hours of service per child by type of care; average monthly payment and co-payments per child; number of children served by income; and supplemental narratives. No cash reports are required. No progress reports are required. States must also submit quarterly expenditure reports. Territories are required to report estimates and expenditures for the Discretionary Fund only on a quarterly basis. States, DC, and Puerto Rico are required to measure, calculate, and report improper authorizations for payments as well as identify strategies for reducing future improper authorizations for payments. One-third of the 50 States, DC, and Puerto Rico must report annually on a three-year cycle. Tribes report expenditures for the Tribal Mandatory, Discretionary, and Construction/Renovation funds. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional auditing may be necessary.

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1515-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$2,223,000,000; FY 12 est \$2,278,000,000; and FY 13 est \$2,603,000,000 - Above obligations include contracts and grants. These figures do not include CCDF Mandatory Funds and Matching Funds under CFDA 93.596.

**Range and Average of Financial Assistance:**

For States, including DC and Puerto Rico, the range of grants in FY 2012 is: \$2,962,184 to \$244,004,509; the average grant is \$42,399,804. For 258 Tribal grantees, the range of grants in FY 2011 is: \$22,777 to \$4,580,767; the average grant is \$172,297. (The FY 2012 information for Tribes is not yet available.) For the four Territories, the range of grants in FY 2012 is \$4,295,676 to \$1,904,992; the average grant is \$2,847,891. These figures are not inclusive of funds received through CFDA 93.596.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 314 Discretionary grants were awarded. Fiscal Year 2012: It is anticipated that 314 Discretionary grants will be awarded. Fiscal Year 2013: It is anticipated that 314 Discretionary grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Office of Child Care Regional Program Managers (RPMs). A list of the RPMs

and their contact information is available at

[www.acf.hhs.gov/programs/occ/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/occ/ta/raaddr/program_managers.htm). You may also contact the Office of Child Care, Administration for Children and Families at (202) 690-6782 or by Fax at (202) 690-5600.

**Headquarters Office:**

Mary Sprague, Office of Child Care, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., 5th Floor East, Washington, District of Columbia 20447 Email: [mary.sprague@acf.hhs.gov](mailto:mary.sprague@acf.hhs.gov) Phone: (202)-401-4831 Fax: (202) 690-5600.

**Website Address:**

<http://www.acf.hhs.gov/programs/occ>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.576 REFUGEE AND ENTRANT ASSISTANCE\_DISCRETIONARY GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Refugee Education Assistance Act of 1980, Title V, Public Law 96-422, 94 Stat. 1809, 8 U.S.C 1522.

**OBJECTIVES:**

The objectives of the discretionary grant programs include: (1) decreasing the numbers of refugees on public assistance and the length of time refugees require such assistance; (2) encouraging the placement of refugees in locations with good job opportunities and lower costs of living; (3) providing supplemental services to areas with high numbers of arrivals; (4) promoting older refugees' access to aging services; (5) assisting low-income refugees with matching funds for individual development accounts and with financial literacy classes; (6) providing micro-credit to refugees interested in starting new businesses but unable to access commercial sources of capital; (7) providing services to refugees in rural areas; (8) providing preventive health services; and (9) providing school impact assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the notice of funds availability and in the grant award.

**Applicant Eligibility:**

Public and private nonprofit agencies may apply for these grants.

**Beneficiary Eligibility:**

Refugees, certain Amerasians Cuban and Haitian entrants, asylees, certified victims of a severe form of trafficking, and special immigrants from Iraq and Afghanistan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Agencies submit applications which are reviewed and evaluated in accordance with criteria specified in the notice of funds availability. Notices of funds availability may be accessed at Grants.gov or at the Office of Refugee Resettlement website at [www.acf.hhs.gov/programs/orr](http://www.acf.hhs.gov/programs/orr). Application kits can also be accessed at the ORR website.

**Award Procedure:**

Eligible applicants submit an application to HHS. This document includes a detailed program proposal and budget. After review by an independent panel, the Director of the Office of Refugee Resettlement makes final funding decisions and grant awards are issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds made available under this program are for project periods ranging from 17 months to 5 years. Funds are awarded annually during the project period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Performance Reports are required, usually on a quarterly or semi-annual basis. Final program reports summarizing the activities and accomplishments of the project in relation to the original approved goals and objectives are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. Federal Financial Reports (SF-425) are required, usually on a quarterly or semi-annual basis. Final Federal Financial Reports are required 90 days after the end of the project period. Performance monitoring activities include on-site and desk monitoring of projects. On site, the ORR team interviews agency staff and clients and reviews case files and financial documents. In addition to program monitoring, program performance reports and Federal Financial Reports (SF-425) are reviewed to ensure that agencies are spending funds appropriately and are performing in a manner consistent with the approved application and grant.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Nonprofit organizations receiving less than \$25,000 a year in Federal awards are exempt from Federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or subcontracting entity.

**Records:**

Grant recipients are required to keep all financial, business, and program reports necessary for program review and audit for the project period and for three years after the end of the project period.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 11 \$75,108,000; FY 12 est \$40,902,000; and FY 13 est

\$75,692,000

**Range and Average of Financial Assistance:**

The amounts of grants range from a minimum of \$50,000 to a maximum of \$19,000,000 based on the type of funding and services to be provided.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 310 discretionary grants were awarded. Fiscal Year 2012: It is expected that 310 discretionary grants will be awarded in FY 2012. Fiscal Year 2013: It is projected that there will be 310 discretionary grants awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Notices of funds availability are posted on the ACF and ORR website and can also be accessed through Grants.gov. Inquiries may be directed to the Information Contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Munia 370 L'Enfant Promenade SW, Eighth Floor West, Washington, District of Columbia 20447 Email: [ronald.munia@acf.hhs.gov](mailto:ronald.munia@acf.hhs.gov) Phone: (202) 401-4559 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for awarding funds are published in the notice of funds availability.

**93.579 U.S. REPATRIATION**

Repatriation Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 1113, 24 U.S.C 9.

**OBJECTIVES:**

The United States (U.S.) Repatriation Program was established by Title XI, Section 1113 of the Social Security Act (Assistance for U.S. Citizens Returned from Foreign Countries) to provide temporary assistance to U.S. citizens and their dependents who have been identified by the Department of State (DOS) as having returned, or been brought from a foreign country to the U.S. because of destitution, illness, war, threat of war, or a similar crisis, and are without available resources immediately accessible to meet their needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program provides temporary assistance such as cash assistance, medical care, admission into a nursing home or hospital, settling with family or friends, moving into permanent housing, foster care placement, transportation, overnight lodging, food, provision for escort services, clothing, and other goods and services necessary for the health or welfare of individuals to U.S. citizens and their dependents who are without available resources in the U.S. upon their arrival from abroad. This temporary assistance is given in the form of a loan and must be repaid to the U.S. Government. Repatriates sign repayment agreements in which they agree to repay all repatriation costs to the federal government.

**Applicant Eligibility:**

Social service organizations with expertise in mental health, child welfare, the

criminal justice system, and emergency assistance.

**Beneficiary Eligibility:**

ORR authorized staff determines eligibility for citizens and their dependents who have been identified by the Department of State (DOS) as having returned, or been brought from a foreign country to the U.S. because of destitution, illness, war, threat of war, or a similar crisis, and are without available resources immediately accessible to meet their needs. In addition, U.S. nationals of the USA who are determined eligible by an authorized ORR staff in accordance to 211.3.

**Credentials/Documentation:**

Proof of U.S. Citizenship. If applying due to mental condition, a certificate as to mental status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Grants are awarded through the Administration for Children and Families discretionary grants procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for five years with one year budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a five-year project period with annual budget periods. See the following for information on how assistance is awarded/released: Grantees draw down funds, as required, for reimbursement of expenditures from the HHS Payment Management System.

**Reports:**

Program reports are required quarterly; a final report is required 90 days after the end of the project period. No cash reports are required. Progress reports are required quarterly. The progress reports include updates on individual cases and the status of payments and collections. The Federal Financial Report (SF-425) is required. There is ongoing desk monitoring of the grantee and yearly on-site monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain records for three years after the conclusion of the project period.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,000,000; FY 12 est \$1,000,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

One Cooperative Agreement of approximately \$1,000,000 is awarded each year of the project period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: One Cooperative Agreement of approximately \$1,000,000 is awarded each year of the project period. Fiscal Year 2012: One Cooperative Agreement of approximately \$1,000,000 is awarded each year of the project period. Fiscal Year 2013: One Cooperative Agreement of approximately \$1,000,000 is anticipated to be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 211-212. A brochure entitled "Temporary Assistance for Repatriates" is available from the Headquarters Office at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth B. Russell Coordinator, HHS Repatriation Program  
U.S. Department of Health and Human Services  
Administration for Children & Families  
370 L'Enfant Promenade SW, Aerospace Building,  
8th floor West Washington, DC 20447  
, Washington, District of Columbia 20447 Email:  
Elizabeth.Russell@acf.hhs.gov Phone: (202) 401-4845 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria are included in the grant announcement.

**93.581 IMPROVING THE CAPABILITY OF INDIAN TRIBAL GOVERNMENTS TO REGULATE ENVIRONMENTAL QUALITY**

Environmental Regulatory Enhancement (ERE)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

The Native American Programs Act of 1974 (NAPA), Section 803(d), Public Law 93-644, 42 U.S.C 2991b(d), as amended by Indian Environmental Regulatory Enhancement Act of 1990, Public Law 101-408.

**OBJECTIVES:**

To strengthen tribal government capacity to identify, plan, develop and implement environmental programs that bolster regulatory efforts in a manner that is consistent with a Tribe's cultural preservation and natural resource management priorities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for planning, developing and implementing tribal environmental regulatory projects through competitive grants. Types of allowable activities are: to develop regulations, ordinances and laws to protect the environment on Indian land; to build the technical and program capability of the Tribe or organization to perform essential environmental program functions to meet tribal and Federal regulatory requirements; building the technical and program capability of personnel to monitor compliance and enforcement of tribal and Federal environmental regulations, ordinances, and laws; informing the community about regulations and environmental stewardship; establishing demonstration projects to exhibit technologies, which can lead to compliance with environmental regulations. See ANA regulations at 45 CFR 1336.33,



"Eligible applicants and proposed activities which are ineligible."

**Applicant Eligibility:**

Federally-recognized Indian tribes; consortia of Indian tribes; incorporated nonfederally and state-recognized Tribes; Alaska Native villages as defined in the Alaska Native Claims Settlement Act (ANCSA) and/or nonprofit village consortia; and tribal governing bodies (IRA or traditional councils) as recognized by the Bureau of Indian Affairs. These include: Tribal Government Environmental Department programs, other Environmental programs, and Native American/Alaska Native Organizations, including Indian groups, cooperatives, corporations, partnerships, and associations.

**Beneficiary Eligibility:**

American Indians and Alaska Natives.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. All applicants must submit a resolution demonstrating that the applicant's official governing body approves the application submission to ANA for the current grant competition period. Applicants that do not include this documentation will be considered non-responsive and the application will not be considered for competition.

For applicants that are not Tribes or Native Alaska villages, organizations applying for funding must show that a majority of board members approving the project proposal are representative of the Native community to be served. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All applicants must submit a resolution demonstrating that the applicant's official governing body approves the application submission to ANA for the current grant competition period. Applicants that do not include this documentation will be considered non-responsive and the application will not be considered for competition.

For applicants that are not Tribes or Native Alaska villages, organizations applying for funding must show that a majority of board members approving the project proposal are representative of the Native community to be served. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information regarding the availability for grant funds will be published from time to time in the Federal Register as Program Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. The Administration for Native Americans will provide each applicant with the appropriate forms for the application for Federal Assistance and instructions for applying for grants from Administration for Native Americans programs. Applications should be submitted to Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20%. This program has no statutory

formula for distribution of funds. A matching share of 20 percent of the total approved project cost is required unless waived in accordance with criteria which are also published in 45 CFR 1336.50. This program has maintenance of effort requirements; see funding agency for further details. Waiver requirements are contained in 45 CFR, Part 1336.50.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period of 1 to 3 years. Method of awarding/releasing assistance: lump sum per budget period. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Program reports are not applicable. Cash reports are not applicable. ANA does require quarterly progress reports which are known as the Objective Progress Reports (OPR). The OPR is required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). All progress reports are required to be submitted via the GrantSolutions electronic grants management system. The Federal Financial Report form (SF-425) is required quarterly. By statute one third of the grant portfolio must receive on-site impact evaluation towards the end of the project period. The Federal Financial Report (FFR), also known as SF-425, is required to be submitted on a quarterly basis. By statute one third of the grant portfolio must receive on-site impact evaluation towards the end of the project period. In addition, ANA program specialists review the quarterly OPR submissions as part of our efforts to monitor grantee performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$2,135,245; FY 12 est \$1,801,052; and FY 13 est \$1,500,000

**Range and Average of Financial Assistance:**

\$100,000 - \$300,000  
Average = \$200,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY2011, 14 new and continuation grants were awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 10 new and continuation grants will be awarded. Fiscal Year 2013: In FY2013, it is anticipated that 10 new and continuation grant awards will be made for the ERE program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in 45 CFR 1336. Applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92 of the Code of Federal Regulations, which implement the requirements of applicable OMB Circular Nos. A-87, A-21, and A-122.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carmelia A. Strickland Administration for Native Americans  
Administration for Children and Families  
Department of Health and Human Services

Aerospace Building, 2nd Floor West  
370 L'Enfant Promenade  
, Washington, District of Columbia 20447 Email:  
carmelia.strickland@acf.hhs.gov Phone: (877) 922-9262

**Website Address:**

<http://www.acf.hhs.gov/programs/ana/>

**RELATED PROGRAMS:**

66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Creating a Harvest Management Ordinance in conjunction with a Hunters as Stewards class to promote responsible conservation and establish baseline data to track hunting on tribal lands. Fiscal Year 2012: Developing a scientifically defensible conceptual model of the hydrology of the upper Umatilla River Basin groundwater-flow system to ensure development does not harm water flows and existing uses. Fiscal Year 2013: ANA intends to fund similar projects in FY2013.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.583 REFUGEE AND ENTRANT ASSISTANCE\_WILSON/FISH PROGRAM**

Wilson/Fish Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Refugee Education Assistance Act of 1982, Title V, Public Law 96-422, 94 Stat. 1809, 8 U.S.C 1522; Defense Authorization Act, 2008, Public Law 110-181, 122 Stat. 398; Consolidated Appropriations Act, 2008, Public Law 110-161, 121 Stat. 2212; Victims of Trafficking and Violence Protection Act of 2000, Public Law 106-386.

**OBJECTIVES:**

To develop alternative projects which promote early employment of refugees, certain Amerasians from Viet Nam, Cuban and Haitian entrants, asylees, certified victims of a severe form of trafficking, and special immigrants from Iraq and Afghanistan. States, voluntary resettlement agencies, and other resettlement organizations may develop innovative approaches for the provision of refugee cash and medical assistance, otherwise available through the State-administered program. The purpose of the Wilson-Fish program is to provide integrated services that include cash assistance, medical assistance and other related services described above in order to increase refugees' prospects for early employment and self-sufficiency, reduce their level of welfare dependence, and promote coordination among voluntary resettlement agencies and services providers. In addition, the WF program allows ORR to ensure that refugee assistance programs exist in every State where refugees are resettled. Projects must serve all eligible refugees in a community. Wilson/Fish projects comprise two types of projects. (1) Nine projects currently establish or maintain a refugee program in a State where the State is not participating in the refugee program or has withdrawn from the refugee program or a portion of the program. (Alabama, Alaska, Idaho, Kentucky, Louisiana, Nevada, North Dakota, South Dakota, and Tennessee). (2) Four projects currently provide an alternative to the existing system of assistance and services to refugees (Colorado, Massachusetts, Vermont and San Diego).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the grant award. Assistance is limited to refugees, asylees, Cuban and Haitian entrants, certain

Amerasian immigrants, certified trafficking victims, and special immigrants from Iraq and Afghanistan, as defined in the authorizing Acts. The refugee must document his immigration status in order to be eligible for assistance. The scope of services available to refugees from Wilson/Fish grantees is similar to that of the State-Administered Refugee Resettlement Programs, which in turn is similar to regular domestic public assistance programs.

**Applicant Eligibility:**

States, voluntary resettlement agencies, and other nonprofit refugee resettlement organizations may apply to initiate an alternative program. No separate funding is appropriated for Wilson/Fish demonstration projects. Funds are drawn instead from funds earmarked for refugee cash and medical assistance grants and social services allocations for the State-administered program (93.566) according to ORR projections.

**Beneficiary Eligibility:**

Refugees, certain Amerasian immigrants, Cuban/Haitian entrants, asylees, victims of a severe of trafficking, and Iraqi and Afghan Special Immigrants are eligible for services and assistance through funded projects in a community. Cash assistance is transitional for up to 8 months; services may be provided for up to five years.

**Credentials/Documentation:**

Proof of immigration status in the form of an I-94 card or final grant of asylum letter from the U.S. Citizenship and Immigration Services (USCIS), formerly the Immigration and Naturalization Service (INS). For victims of a severe form of trafficking, clients must have a certification or eligibility letter issued by HHS/ORR. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Awards are granted on a competitive basis, as specified in the program announcements. Each agency desiring to respond to a program announcement is required to submit an application. Applications are reviewed and evaluated pursuant to criteria specified in the program announcement.

**Award Procedure:**

Eligible applicants submit an application to HHS. Subsequent to review by an independent panel, the Director of ORR makes the funding decision on all grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon funding availability, grantee performance, and the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are made available for this program for one-year budget period. The project period is up to four years. Funds are awarded all at once at the beginning of each budget period (lump sum). If refugee arrivals and refugee cash and medical assistance recipients exceed those that were estimated at the time of application, a grantee can submit a request for supplemental funding to meet the unanticipated need for refugee cash and medical assistance. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Performance reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required every four months. Cash reports are not applicable. No progress reports are required. Financial reports are required on a quarterly basis. During the monitoring visits, a representative collection of case files are reviewed to ensure clients are receiving appropriate services. Specifically, the ORR WF team reviews client, legal, financial, categorical and time eligibility, the Family self-sufficiency plan, receipt of cash assistance, case management and employment service and outcomes. Also the ORR WF team interviews agency staff and clients to ensure that information gleaned from the case-file, agency staff and clients corroborates with one another. In addition to program monitoring quarterly performance reports, Federal Financial Reports (SF-425) and Annual goal plans are reviewed to ensure WF agencies that agencies are spending funds appropriately and are performing in a manner consistent with the approved application and cooperative agreement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made a part of the system of financial management and internal control to meet terms and conditions of grants and other agreements.

**Records:**

Grant recipients are required to keep all financial, business and program reports necessary for program review and audit for the project period and for 3 years following the end of the project period to ensure that funds have been expended in accordance with the regulations, grant terms, and conditions of the program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Cooperative Agreements) FY 11 \$32,000,000; FY 12 est \$32,000,000; and FY 13 est \$32,000,000

**Range and Average of Financial Assistance:**

Awards range from \$528,608 to \$7,24,0196.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 16,000 refugees and others eligible for refugee benefits received assistance and service under the Wilson Fish program. Awards were made to 13 States and private non-profit organizations. Fiscal Year 2012: It is expected that 13 awards will be made. Fiscal Year 2013: It is expected that 13 awards will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Wilson/Fish Program announcement can be found on the ORR website. All inquiries should be directed to the Information Contacts listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carl Rubenstein, 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: carl.rubenstein@acf.hhs.gov Phone: (202) 205-5933 Fax: (202) 205-5888

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.584 REFUGEE AND ENTRANT ASSISTANCE\_TARGETED ASSISTANCE GRANTS**

Targeted Assistance Grants Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Refugee Act of 1980, Section 412, Public Law 96-212, 94 Stat. 111, 8 U.S.C 1522; Refugee Education Assistance Act of 1980, Public Law 96-422, 8 U.S.C 1522 note; Consolidated Appropriations Act of 2008, Public Law 110-161; Victims of Trafficking Violence and Protection Act of 2000, Public Law 106-386; Defense Authorization Act of 2008, Public Law 110-181; Department of Defense Appropriations Act of 2010, 123 Stat. 3409.

**OBJECTIVES:**

The Targeted Assistance Grant program provides funding for employment-related and other social services for refugees, certain Amerasians from Vietnam, Cuban and Haitian Entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants in areas with large refugee populations. An arrival must be within five years of arriving in this country or grant of asylum to be eligible for services under these grants.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Assistance may be used for employment-related and other social services for refugees, certain Amerasians, Cuban and Haitian entrants, asylees, victims of a severe form of trafficking, and Afghan and Iraqi Special Immigrants.

**Applicant Eligibility:**

State agencies, State Replacement Designees, and Wilson/Fish Alternative projects are eligible to receive funding for assistance to counties and Targeted Assistance Areas where, because of factors such as large refugee population, there exists a need for supplementation of available resources for services to refugees.

**Beneficiary Eligibility:**

Refugees, certain Amerasians, Cuban and Haitian Entrants, asylees, victims of a severe form of trafficking, and Iraqi and Afghan Special Immigrants. Potential beneficiaries must be within five years of arrival in this country or grant of asylum to be eligible for services.

**Credentials/Documentation:**

Documentation on immigration status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Grants are made to State agencies on behalf of qualified counties. Counties are requalified for Targeted Assistance grants every three years based on the number of arrivals in a county.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Grants are for a three-year project period with annual budget periods. A new three-year project period began in FY 2011 when ORR requalified counties and Targeted Assistance Areas for assistance. Counties and Targeted Assistance Areas that qualify in FY 2011 will continue to qualify for Targeted Assistance grants through FY 2013.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are awarded on a yearly basis and must be obligated by the end of the fiscal year following the year of award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Trimesterly program performance reports (ORR-6). Cash reports are not applicable. No progress reports are required. Quarterly expenditure reports (SF-425) are required. ORR on-site monitoring teams review with grantee staff the eligibility and documentation requirements for this program and verify the maintenance of accurate and up-to-date client files. ORR staff also monitor State financial, aggregate services, and case level reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

The grantee must maintain financial and program records for three years after the grantee submits the last expenditure report for the funding period.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$43,644,000; FY 12 est \$21,781,000; and FY 13 est \$43,561,000

**Range and Average of Financial Assistance:**

In FY 2011, awards ranged from \$261,203 to \$11,912,229. The average award was \$2,815,712.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 29 awards were made. Fiscal Year 2012: It is expected that 29 awards will be made in FY 2012. Fiscal Year 2013: It is projected that 29 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Subpart L - 400.310 to 400.319.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mitiku Ashebir 370 L'Enfant Promenade SW, 8th Floor West, Washington, District of Columbia 20447 Email: mitiku.ashebir@acf.hhs.gov Phone: (202) 205-3602 Fax: (202) 401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.586 STATE COURT IMPROVEMENT PROGRAM**

State and Tribal Court Improvement Programs

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-B, Part subpart 2, Section 438.

**OBJECTIVES:**

The program provides three grant opportunities to State courts to improve court efficiency and the quality of legal representation; a bsci grant for assessment work; a grant for data collection and analysis; and a grant to increase training of court personnel, including cross training with agency staff. The program provides State courts flexibility to design assessments which identify barriers to timely and effective decision-making, highlight practices which are not fully successful, examine areas they find to be in need of correction or added attention, and then implement reforms which address the State courts specific needs. State courts are required to collaborate with the State child welfare agency and Tribes in this work. The Child and Family Services Improvement and Innovation Act (P.L. 112-34) of 2011, reauthorized all three Court Improvement Program (CIP) grants through fiscal year (FY) 2016. The Act added provisions encouraging State courts to promote the use of concurrent planning and increases and improve engagement of the entire family in court processes relating to child welfare, family preservation, family reunification and adoption. The Act also allocated one million dollars to establish a Tribal Court Improvement Program.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants under the State Court Improvement Program may be used for assessment and improvement activities, broadly defined, of the child welfare functions of a court system to promote continuous quality improvement with respect to: due process; timeliness and quality of court hearings; quality legal representation; engagement of the entire family in court processes; improved case tracking and analysis of child welfare cases; data collection, analysis and sharing; and training of legal and judicial personnel in child welfare cases, including cross-training with child welfare agency staff and contractors.

Grants under the Tribal Court Improvement Program may be used to conduct assessments of how Tribal courts handle child welfare proceedings and to make improvements to court processes to provide for the safety, permanency, and well-being of children as set forth in the Adoption and Safe Families Act (ASFA) and increase and improve engagement of the entire family in court processes relating to child welfare, family preservation, family reunification and adoption; ensure children's safety, permanence, and well-being needs are met in a timely and complete manner (through better collection and analysis of data); and provide for training of judges, attorneys, and legal personnel in child welfare cases.

**Applicant Eligibility:**

The highest State courts in each of the 50 States, the District of Columbia and Puerto Rico are eligible to apply for funding. The term "highest State court" means the judicial tribunal which is the ultimate court of appeals in the State.

Tribal courts or Tribal governments of federally recognized Tribes may apply for grants. To be eligible, a Tribe must be operating an approved title IV-E program in accordance with section 479B of the Social Security Act (the Act); or plan to operate a title IV-E program and have received a title IV-E plan development grant, as authorized by section 476 of the Act; or have a court responsible for proceedings related to foster care or adoption (section 438(c)(3)(A)(iv) of the Act).

**Beneficiary Eligibility:**

Families and children who are served by State and Tribal courts in proceedings related to foster care, guardianship and adoption.

**Credentials/Documentation:**

All State courts which submit applications as per instructions released by the Children's Bureau, Administration on Children, Youth, and Families (ACYF) are eligible to receive Court Improvement Program grant funds.

Tribal Court Improvement Program grants are discretionary and will be awarded on a competitive basis to federally recognized Tribes. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. For State Formula Grant, program instructions can be obtained from the Children's Bureau, ACYF and the appropriate Health and Human Services (HHS) Regional Offices. For Tribal discretionary grants, announcement of the availability of funds is published on the [www.grants.gov](http://www.grants.gov) website. Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Awards to approved applicants will be made from the Administration for Children and Families, Office of Administration, Office of Grants Management.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Federal approval time will be between 30 and 120 days.

**Appeals:**

Appeals are processed in accordance with HHS Departmental regulations at 45 CFR Part 16.

**Renewals:**

Renewal applications will be accepted every four years for the State Court Improvement Program with the option to apply annually for any grant not previously received. The Tribal Court Improvement Program will be recompeted after 36 months, by the Children's Bureau.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Each State court with an approved application is allotted \$85,000 for fiscal year 2012-2016. In addition to this base amount, the remainder of the amount appropriated for all State courts will be divided among those courts with approved applications according to each State's proportionate share of children under the age of 21. If any State courts do not apply for their share of these funds, the unclaimed amount will be reallocated each year to all other State courts with approved applications. Nonfederal share (or match) is required at the rate of 25 percent of the total budget. The same formula and match requirements apply to funds appropriated for case tracking/analysis and training for fiscal years 2012 through 2016 (\$20,000,000).

This program does not have MOE requirements. There is no match requirement for the Tribal Court Improvement Program.

**Length and Time Phasing of Assistance:**

The Treasury will provide funds for this program. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. No progress reports are required. Both fiscal and program reports are required annually and are due 90 days after the close of the grant year. No progress reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained at least 3 years. Records shall be retained beyond the 3-year period if audit findings have not been resolved.

**Account Identification:**

75-1512-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$32,085,084; FY 12 est \$31,081,167; and FY 13 est \$31,081,167 - (Discretionary Grants, Tribal CIP) FY 2012 est \$1,000,000; FY 2013 est \$1,000,000.

**Range and Average of Financial Assistance:**

State grant awards ranged from \$95,040 to \$91,485 in FY 2012, with the average total State award being \$597,714. The discretionary Tribal Court Improvement grant awards will range between \$50,000 and \$150,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 154 grants were awarded in 2011, including Puerto Rico and the District of Columbia. 50 States received all three grants and two States received two out of the three grants. Fiscal Year 2012: 154 grants were awarded in 2012. Fiscal Year 2013: It is estimated that 154 grants will be awarded to States (including District of Columbia and Puerto Rico) in fiscal year 2013. In addition, a to be determined number of Tribes will receive grant awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACYF-CB-PI-12-02, issued January 11, 2012. The Court Improvement Program is not regulated.

**Regional or Local Office:**

See Regional Agency Offices. Please contact the ACF branch of the appropriate Regional Office. (See Appendix IV of the Catalog.).

**Headquarters Office:**

David Kelly 1250 Maryland Avenue, SW; 8th Floor, Washington, District of Columbia 20024 Email: [david.kelly@acf.hhs.gov](mailto:david.kelly@acf.hhs.gov) Phone: (202) 205-8709.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.643 Children's Justice Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.587 PROMOTE THE SURVIVAL AND CONTINUING VITALITY OF NATIVE AMERICAN LANGUAGES**

Native American Language Preservation and Maintenance (P&M) and the Esther Martinez Initiative (EMI)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

The Native American Programs Act of 1974, as amended by the Esther Martinez Native American Languages Preservation Act of 2006., Section 803(a) and (c) , Public Law 93-644, 42 U.S.C 2991b-3, as amended by Esther Martinez Native American Languages Preservation Act of 2006, Public Law 109-394.

**OBJECTIVES:**

To provide financial assistance to eligible applicants for the purpose of

promoting the survival and continued vitality of native languages. This program area is divided into two categories: (1) Native Language Preservation and Maintenance and (2) Esther Martinez Initiative. The Language Preservation and Maintenance Grants are 12, 24 or 36-month projects that enable communities to conduct assessments of native languages, plan language programs and implement language projects that support the communities long-term language preservation goals. The Esther Martinez Initiative Grants are 36-month projects that will be awarded to applicants that meet the statutory requirements for immersion projects with language nests, restoration programs or language survival schools in accordance with P.L. 109-394.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant awards under this program are for projects that contribute to the social development and self-sufficiency of native communities through the preservation and maintenance of Native American languages. ANA recognizes that applicants have varying levels of capacity and knowledge for language preservation and maintenance techniques and programs. Funds may be used for activities related to the preservation of Native American languages including: collecting and organizing data to assess a community's Native American language status; planning and implementing an immersion, master/apprentice, or distance learning model; training and certifying teachers, interpreters, or translators in a Native American language; developing, printing, and disseminating materials to be used for the teaching and enhancement of a Native American language. This is a discretionary grant program. Funding cannot be used for the following purpose or activities: purchase of real property; costs of organized fundraising, reimbursement of pre-award costs, activities in support of any foreseeable litigations against the United States Government that is unallowable under the Office of Management and Budget Circulars A-87 and A-122, activities that qualify as major renovations and alterations.

**Applicant Eligibility:**

Public and private nonprofit agencies, including but not limited to, Federally-recognized Indian Tribes (as listed by the Bureau of Indian Affairs in an October 21, 1993 Federal Register notice); Incorporated Non-Federally recognized Indian Tribes; Alaska Native villages as defined in the Alaska Native Claims Settlement Act (ANCSA) and/or nonprofit village consortia; Nonprofit Alaska Native Regional Associations with village specific projects; Nonprofit Native organizations in Alaska with village specific projects; Incorporated nonprofit multi-purpose community-based Indian organizations; Urban Indian Centers; Public and nonprofit private agencies serving Native Hawaiians; National or regional incorporated nonprofit Native American organizations with Native American community-specific objectives; Public and nonprofit private agencies serving native peoples from Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands; and Tribally Controlled Community Colleges, Tribally Controlled Post Secondary Vocational Institutions, and colleges and universities located in Hawaii, Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands which serves Native American Pacific Islanders.

**Beneficiary Eligibility:**

American Indians, Alaska Natives, Native Hawaiians, and Native American Pacific Islanders will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. All applicants must submit a resolution demonstrating that the applicant's official governing body approves the application submission to ANA for the current grant competition period. Applicants that do not include this documentation will be considered non-responsive, and the application will not be considered for competition.

For applicants that are not Tribes or Native Alaska villages, organizations applying for funding must show that a majority of board members approving the project proposal are representative of the Native American community to be served. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All applicants must submit a resolution demonstrating that the applicant's

official governing body approves the application submission to ANA for the current grant competition period. Applicants that do not include this documentation will be considered non-responsive, and the application will not be considered for competition.

For applicants that are not Tribes or Native Alaska villages, organizations applying for funding must show that a majority of board members approving the project proposal are representative of the Native American community to be served. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information regarding the availability of grant funds will be posted in Grants.gov and the ACF Funding Opportunities websites as Funding Opportunity Announcements, which will provide details on program objectives for which applications are being solicited and other application requirements. Hard copy applications should be submitted to Administration for Children and Families, Office of Grants Management, Division of Discretionary Grants, Aerospace Building 6th Floor East, 370 L'Enfant Promenade, SW, Washington, DC 20447. Electronic submissions are submitted through Grants.gov.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/Disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. This program has no statutory formula for distribution of funds. A matching share of 20 percent of the total approved project cost is required unless waived in accordance with criteria which are also published in 45 CFR 1336.50. This program has maintenance of effort requirements; see funding agency for further details. Waiver requirements are contained in 45 CFR, Part 1336.50.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period. Preservation and Maintenance projects can be 12, 24 or 36 months and Esther Martinez projects are 36-month grants. Method of awarding/releasing assistance: lump sum per budget period.

. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Cash reports are not applicable. No program reports are required. Cash reports are not applicable. ANA progress reports are also known as the Objective Progress Report (OPR). OPRs are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). Financial Status Reports (SF-425) are required quarterly. By statute, one third of the grant portfolio must receive on-site impact evaluation towards the end of the project period. As indicated above - Financial Status reports (SF-425) are required quarterly. Upon submission of the quarterly OPR, ANA program specialists will review the report as part of our efforts to monitor project performance and achievement towards stated goals and objectives. By statute one third of the grant portfolio must receive on-site impact evaluation towards the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$13,212,713; FY 12 est \$14,656,323; and FY 13 est \$14,000,000

**Range and Average of Financial Assistance:**

Language Preservation and Maintenance - \$100,000 \$300,000; Average = \$250,000 per budget period  
Esther Martinez Initiative - \$100,000 - \$300,000; Average = \$250,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 63 language grants were made for new and continuation awards. Fiscal Year 2012: In FY 2012, it is estimated that 18 new language grants will be awarded and 42 continuation awards. Of the new awards, 13 are for preservation and maintenance projects and 5 are for the Esther Martinez Initiative. Fiscal Year 2013: In FY 2013, ANA estimates to award 12 grants for preservation and maintenance and 6 awards for the Esther Martinez Initiative.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ANA regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carmelia Strickland Administration for Native Americans  
Administration for Children and Families  
Department of Health and Human Services  
370 L'Enfant Promenade  
Aerospace Building, 2nd Floor West, Washington, District of Columbia 20447  
Email: carmelia.strickland@acf.hhs.gov Phone: (877) 922-9262

**Website Address:**

<http://www.acf.hhs.gov/programs/ana>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Developing the final grade levels of the K-12 Lakota language curriculum and providing training to language teachers on use of the materials. Fiscal Year 2012: Cultivating a community of Ojibwemowin speakers through an intense, focused approach of multi-generational teams and developing the infrastructure necessary to support a successful immersion language nest. Fiscal Year 2013: ANA intends to fund similar projects in FY2013.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each program announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the program announcement, project viability, community support, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.590 COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS  
FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act (CAPTA), as amended by P.L.111-320, enacted on December 20, 2010., 42 U.S.C 5116 et.seq.

**OBJECTIVES:**

(1) to support community-based efforts to develop, operate, expand, and enhance, and coordinate initiatives, programs, and activities to prevent child abuse and neglect and to support the coordination of resources and activities to better strengthen and support families to reduce the likelihood of child abuse and neglect; and (2) to foster understanding, appreciation and knowledge of diverse populations in order to effectively prevent and treat child abuse and neglect.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are used to develop, operate, expand, and enhance community-based, prevention focused programs and activities designed to strengthen and support families to prevent child abuse and neglect. One percent is set aside for discretionary grants to migrant and tribal populations and an additional amount to fund a national resource center to provide training and technical assistance to State lead agencies. To receive funds, States must meet eligibility requirements stated in the authorizing legislation.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands are eligible. Tribes may participate through application for grants made available by a 1% (of the entire CBCAP apportionment, of both mandatory and discretionary funds) annual funds set aside, legislated for Tribes, Tribal Organizations and Migrant Programs. These are discretionary competitive grants. Complete information regarding these grants may be found on the Federal website, [www.grants.gov](http://www.grants.gov). Should you wish to speak to someone about this set-aside, see the contact information provided here in section 152.

**Beneficiary Eligibility:**

There are no eligibility requirements. Beneficiaries, which include children and their families, are organizations dealing with community-based, prevention focused programs and activities designed to prevent child abuse and neglect.

**Credentials/Documentation:**

Applications require certification and/or documentation that the State meets the eligibility requirements described in the Act, requiring that: (1) the Governor of the State has designated a lead entity to administer funds under this title for the purposes identified under the authority of this title; (2) the Governor of the State has provided assurances that the lead entity will provide, or be responsible for providing, community-based, prevention-focused programs and activities designed to strengthen and support families to prevent child abuse and neglect; composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from public and private sector members, parents, and public and private nonprofit service providers, individuals and organizations experienced in working in partnership with families with children with disabilities; and (3) the Governor of the State has provided additional assurances that the lead entity has demonstrated certain capacities that ensure the State's ability to meet the purposes of this authority. Applicable costs and administrative procedures will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States and Territories respond to an annual Program Instruction (PI) which announces availability of funds. Applications must include assurance and information required in the PI, as well

as completed forms from the PI.

**Award Procedure:**

Applications are reviewed against all eligibility requirements at the headquarters level. Approval/disapproval is decided by the Commissioner of the Administration on Children, Youth and Families (ACYF).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines will be provided in the annual Program Instruction (PI). Contact the headquarters office listed below for future deadlines.

**Appeals:**

Appeals are processed in accordance with Health and Human Services (HHS) regulations in 45 CFR, part 16.

**Renewals:**

Grants are made annually. A new application is required each year.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: States that meet all of the eligibility requirements will be awarded funds based on the following statutory formula: (a) 70 percent of the total amount appropriated is allotted among the States based on the number of children under the age of 18 in each such State, except that each State shall receive not less than \$175,000; and (b) the remaining 30 percent of the total amount appropriated is allotted in an amount that bears the same proportion to such amount appropriated as the amount leveraged by the State from private, State, or other nonfederal sources, and directed through the State lead agency in the preceding fiscal year bears to the aggregate of the amount leveraged by all States from private, State, or other nonfederal sources, and directed through the lead agency of such States in the preceding fiscal year. There is also a required 20 percent State match.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are awarded by the Director of the Office of Mandatory Grants to the State on an annual basis, as described by the formula information Section. Method of awarding/releasing assistance: lump sum.

**Reports:**

Financial and program progress reporting requirements are described in Program Instructions.

A State receiving a grant under this title, through reports provided to the Commissioner of the Administration on Children, Youth and Families, should include the following:

1) Community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (through networks where appropriate) composed of local, collaborative, public-private partnerships directed by interdisciplinary structures with balanced representation from private and public sector members, parents, adult former victims of child abuse and neglect, and public and private nonprofit service providers and individuals and organizations experienced in working in partnership with families with children with disabilities (section 202(2)(A));

2) Direction to an interdisciplinary, collaborative, public-private structure with balanced representation from private and public sector members, parents, adult former victims of child abuse and neglect, public sector and private nonprofit sector service providers, and parents with disabilities (section 202(2)(B));

3) Direction and oversight through identified goals and objectives, clear lines of communication and accountability, the provision of leveraged or combined funding from Federal, State and private sources, centralized assessment and planning activities, the provision of training, technical assistance, evaluation assistance and reporting and evaluation functions (section 202(2)(C));

4) A demonstrated commitment to parental participation in the development,

operation and oversight of the community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect (section 202(3)(A));

5) A comprehensive strategy to provide a continuum of preventive, family-centered, comprehensive services for children and families, especially to young parents, to parents with young children and to parents who are adult former victims of domestic violence or child abuse and neglect, through public and private partnerships (section 202(3)(B));

6) Operational support (both financial and programmatic) and training, technical assistance and evaluation assistance to community-based child abuse and neglect prevention programs and activities designed to strengthen and support families to prevent child abuse and neglect, through innovative, interagency funding and inter-disciplinary service delivery mechanisms (section 202(3)(C)); and,

7) Integration of its efforts with individuals and organizations experienced in working in partnership with families with children with disabilities, parents with disabilities and with the child abuse and neglect prevention activities of the State, and a financial commitment to those activities (section 202(3)(D)). PSC-272. Program progress reporting requirements are described in Program Instructions (PI). Financial reporting requirements are described in the PI. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records are to be kept in accordance with 45 CFR Parts 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$41,606,000; FY 12 est \$41,527,000; and FY 13 est \$41,527,000

**Range and Average of Financial Assistance:**

In FY 2011, the range of financial assistance was from a low of \$200,000 to a high of \$3,612,075.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 53 grants were awarded. Fiscal Year 2012: It is anticipated that 53 grants will be awarded in FY 2012. Fiscal Year 2013: It is anticipated that 53 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All pertinent instructions are contained in the annual Program Instruction.

**Regional or Local Office:**

None.

**Headquarters Office:**

Rosie Gomez 1250 Maryland Avenue, SW; 8th Floor, Washington, District of Columbia 20024 Email: rosie.gomez@acf.hhs.gov Phone: 202-205-7403

**Website Address:**

<http://www.friendsnrc.org>

**RELATED PROGRAMS:**

93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Voluntary home visiting; Parent education/skills; Parent



mutual support/self-help; Respite care/crisis care; Community outreach and referral; Family resource centers; Family support services. Fiscal Year 2012: Voluntary home visiting; Parent education/skills; Parent mutual support/self-help; Respite care/crisis care; Community outreach and referral; Family resource centers; Family support services. Fiscal Year 2013: Voluntary home visiting; Parent education/skills; Parent mutual support/self-help; Respite care/crisis care; Community outreach and referral; Family resource centers; Family support services.

**CRITERIA FOR SELECTING PROPOSALS:**

States which meet all eligibility requirements will receive funds under this program.

**93.591 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS \_GRANTS TO STATE DOMESTIC VIOLENCE COALITIONS**

Family Violence Prevention and Services Act Grants to State Domestic Violence Coalitions

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Sections 303 and 311 of the Family Violence Prevention and Services Act as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320., 42 U.S.C 10403 and 10411.

**OBJECTIVES:**

To further intervention in and prevention of family violence, domestic violence and dating violence through coordination, training and collaboration with systems that affect both adult and youth victims of family violence, domestic violence and dating violence and to provide services, community education and technical assistance to such programs to establish and maintain shelter and supportive services for victims of family violence, domestic violence, dating violence and their dependents.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

State domestic violence coalitions shall use funds under the Act for administration and operations to support a range of activities, including but not limited to working with local family violence, domestic violence, and dating violence programs and providers of direct services to encourage appropriate responses to domestic violence within the State/Territory; working with judicial and law enforcement agencies to encourage appropriate and comprehensive responses to family violence, domestic violence, and dating violence cases and examine legal issues; working with family law judges, criminal court judges, Child Protective Services agencies, and children's advocates to develop appropriate responses to child custody and visitation issues in family violence, domestic violence, or dating violence cases as well as cases where domestic violence and child abuse are both present and in cases of child exposure to family violence, domestic violence, or dating violence; providing information to the public about prevention of family violence, domestic violence, and dating violence, including information targeted to underserved communities collaborating with Indian tribes and tribal organizations (and corresponding Native Hawaiian groups or communities to address the needs of Indian (including Alaska Native) and native Hawaiian victims of family violence, domestic violence, or dating violence, as applicable in the State/Territory; conducting State/Territory needs assessments; and participating in planning and monitoring the distribution of grants and grant funds within the State/Territory under Section 307(a)(2)(d) of the Act (See CFDA 93.671, Family Violence Prevention and Services: Grants to State and Indian Tribes).

**Applicant Eligibility:**

To be eligible for a grant under this Section, an entity shall be a statewide nongovernmental nonprofit private domestic violence organization organized under section 501(c)(3) of the Internal Revenue Code that has a membership that includes a majority of the primary-purpose domestic violence service providers in the State and which shall carry out the prescribed activities in the Act.

**Beneficiary Eligibility:**

This program will benefit victims of family violence, domestic violence, dating violence, their children and other dependents, their families, other persons affected by such violence including friends, relatives, and the general public. The program will also benefit communities, including the State and business and nonprofit sectors.

**Credentials/Documentation:**

Applications must be submitted for approval by the Secretary of Health and Human Services. Administrative requirements will be determined in accordance with 45 CFR Part 74 for grants and cooperative agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations and Commercial Organizations. Costs will be determined in accordance with OMB A-122 (2 CFR Part 230) Cost Principles for Non-Profit Organizations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications must be submitted to the Administration on Children, Youth and Families/FYSB/Division of Family Violence Prevention and Services. No standard application forms are required; however, the standard certification form: Certification Regarding Lobbying and the standard form (SF-LLL): Disclosure of Lobbying Activities are required. Specific instructions are published via the Internet under the Form section at the following website: <http://www.acf.hhs.gov/grants>. Contact Headquarters Office listed below for further information.

**Award Procedure:**

Funds are awarded directly to designated State Domestic Violence Coalitions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

See 45 CFR 16, Procedures of the Departmental Grant Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter 13, Part 1370.4. No less than 10 percent of the amount appropriated in each fiscal year will be made available to the designated State Domestic Violence Coalition in each of the 50 States, Puerto Rico, the District of Columbia, Guam, the Northern Mariana Islands, American Samoa, and the U.S. Virgin Islands. Each shall receive not less than 1/56 of appropriated funds in each fiscal year.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The annual grant award must be expended by each designated State Domestic Violence Coalition by the end of the fiscal year following the fiscal year for which funds are awarded. Payments are made through the Electronic Transfer System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Per the Subaward and Executive Compensation reporting requirements of the Federal Financial Accountability and Transparency Act, all subawards (as defined in 2 CFR Part 170) over \$25,000 must be reported. Quarterly Cash Transaction Reports are required to be submitted to the Division of Payment Management through the Payment Management System. Recipients must submit an annual Performance Progress Report (SF-PPR) by December 29 of each year. Recipients must submit an annual Federal Financial Report (SF-425) by December 29 of each year. Performance progress reports are reviewed and

selected grantees may be identified for site visits by federal program officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State Coalitions are required to maintain financial and program records necessary for program review and audit to ensure that funds have been expended in accordance with the statute, regulations, grant conditions, and administrative terms of the project funded. Requirements are found in 45 CFR Part 74.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$12,747,419; FY 12 est \$12,954,700; and FY 13 est \$13,500,000

**Range and Average of Financial Assistance:**

In FY12 each State and Territorial coalition received \$231,334.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 55 Statewide Domestic Violence Coalitions received funding. Fiscal Year 2012: In FY 2012, 56 Statewide Domestic Violence Coalitions will be awarded grants. Fiscal Year 2013: In FY 2013, it is estimated that 56 Statewide Domestic Violence Coalitions will be awarded grants.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are codified in 45 CFR 1370.4.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kenneth E. Noyes, Esq. 1250 Maryland Avenue SW, Washington, District of Columbia 20024 Email: kenneth.noyes@acf.hhs.gov Phone: 202-205-7891 Fax: 202-401-7038

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants; 93.994 Maternal and Child Health Services Block Grant to the States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State Domestic Violence Coalition will receive its respective share of funds if the application submitted meets the necessary requirements.

**93.592 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS\_DISCRETIONARY GRANTS**

Family Violence Prevention and Services Act Discretionary Grants

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Sections 303, 310, 312 and 313 of the Family Violence Prevention and Services Act, as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320., 42 U.S.C 10403-10413.

**OBJECTIVES:**

To fund a wide range of discretionary activities for the purpose of providing

resource information, training and technical assistance to improve the capacity of individuals, organizations, government entities, and communities to prevent family violence, domestic violence, and dating violence and to provide effective intervention services; improving the design, delivery, and coordination of services to address family violence, domestic violence and dating violence; gathering information on the incidence and prevalence of family violence, domestic violence and dating violence; and increasing knowledge and understanding of the issues through research, demonstration, and evaluation projects. Specific sections in the Act authorize funding for such discretionary projects as a National Resource Center on Domestic Violence; a National Indian Resource Center Addressing Domestic Violence and Safety for Indian Women; Special Issue Resource Centers; State Resource Centers to Reduce Tribal Disparities; a National Domestic Violence Hotline; Specialized Services for Abused Parents and Their Children; public education and information activities; and research into the most effective programs for the prevention, identification, and intervention of family violence, domestic violence and dating violence.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Discretionary financial assistance may be made to public and private entities and may take the form of a competitive grant, a cooperative agreement, or a contract, depending on the statutory requirements. Applicants must meet the program and administrative requirements specified in the appropriate Federal Register or Commerce Business Daily announcement.

**Applicant Eligibility:**

Depending on the purpose of the project and the statutory requirements, an applicant may be a nonprofit private organization, tribal organization, federally-recognized Indian tribe, Native Hawaiian organization, local public agency, institution of higher education, private organization, Alaska Native Village, or nonprofit Alaska Native Regional Corporation.

**Beneficiary Eligibility:**

These discretionary grants and contracts will benefit victims of family violence, their dependents, families, other interested persons, the general public, and communities and government entities.

**Credentials/Documentation:**

Applicants must submit an application for approval by the Secretary of Health and Human Services. Administrative requirements will be determined in accordance with 45 CFR Part 74 for grants and other agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations and Commercial Organizations, and 45 CFR Part 92 for grants and cooperative agreements with State, Local and Tribal Governments. Costs will be determined in accordance with OMB Circular No. A-21 (2 CFR Part 220) for Educational Institutions, OMB Circular No. A-87 for State, Local and Indian Tribal governments, and OMB Circular No. A-122 (2 CFR Part 230) for Non-Profit Organizations. Costs for contracts will be determined in accordance with 48 CFR Part 31 Contract Cost Principles (Federal Acquisition Regulations). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grants are awarded on a competitive basis. All applications must contain standard forms 424 and 424A and all required certifications, assurances and disclosures. Specific instructions are published via the Internet under the Forms section at the following website: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

The Commissioner, Administration on Children, Youth and Families, will make the final decision on all awards. Selection of applicants will be determined based on the review criteria published on the following website: [http://www.acf.hhs.gov/grants/grants\\_fysb.html](http://www.acf.hhs.gov/grants/grants_fysb.html). Funds are awarded directly to grantees. Contracts are awarded subject to the applicable sections of the Federal

Acquisition Regulations and HHS Acquisition Regulations.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Approximately 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals (continuations), if authorized under the terms of the award, are awarded based on satisfactory performance and availability of funding.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Dependent upon priority application request.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Projects may vary from a 12-month project period to a 5-year project period depending on statutory and programmatic requirements. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients of financial assistance must submit semi-annual Performance Reports (SF-PPR) within 30 days of the end of the reporting period. Recipients of financial assistance must submit semi-annual Federal Financial Reports (SF-425) within 30 days of the end of the 6 month reporting period. Performance progress reports are required and selected grantees may be identified for site visits by federal program officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to keep financial and program records necessary for program review and audit to ensure that funds have been expended in accordance with the statute, regulations, grant conditions, and administrative terms of the project funded.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$13,402,582; FY 12 est \$13,537,534; and FY 13 est \$15,055,375 - FY11 \$ \$13,402,582 which includes \$3,202,582 for the National Domestic Violence Hotline; FY12 est \$13,537,534 which includes \$3,196,946 for the National Domestic Violence Hotline; FY13 est \$15,055,375 which includes \$4,500,000 for the National Domestic Violence Hotline.

(Contracts) FY11: \$1,239,947; FY12: \$1,023,007; FY13 est \$1,175,440.

**Range and Average of Financial Assistance:**

In FY12, the range of assistance was from \$150,000 to \$3,196,946. The range of contracts was from \$51,750 to \$1,023,007.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY2011, 16 discretionary grants were awarded and 3 contracts were funded. Fiscal Year 2012: In FY2012, 15 discretionary grants will be awarded and 2 contracts will be funded. Fiscal Year 2013: In FY2013, it is estimated that 20 discretionary grants will be awarded and 3 contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR 1370. You may also get information on the Family and Youth Services Bureau website at <http://www.acf.hhs.gov/programs/fysb>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shawndell Dawson 1250 Maryland Ave. SW  
8th Floor, Washington, District of Columbia 20024 Email:  
[shawndell.dawson@acf.hhs.gov](mailto:shawndell.dawson@acf.hhs.gov) Phone: 202-205-1476 Fax: 202-401-7038

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.612 Native American Programs; 93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In FY11: One grant to a National Resource Center on Domestic Violence, one grant to a National Indian Resource Center Addressing Domestic Violence and Safety for Indian Women, four Special Issue Resource Center grants, three Culturally Specific Special Issue Resource Center grants serving racial and ethnic minority groups, one grant to the National Domestic Violence Hotline, one grant for Expanding Leadership Opportunities Within the Domestic Violence Field for Members of Underrepresented Groups, four grants and one technical assistance grant for Expanding Services to Children and Youth, public information and education campaigns, and outreach activities to underserved and diverse populations. Fiscal Year 2012: In FY12: One grant to a National Resource Center on Domestic Violence, one grant to a National Indian Resource Center Addressing Domestic Violence and Safety for Indian Women, four Special Issue Resource Center grants, three Culturally Specific Special Issue Resource Center grants serving racial and ethnic minority groups, one grant to the National Domestic Violence Hotline, one grant for Expanding Leadership Opportunities Within the Domestic Violence Field for Members of Underrepresented Groups, and five grants for services and technical assistance related to Children Exposed to Violence. Fiscal Year 2013: Not available at this time.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on the criteria published in the Funding Opportunity Announcement located on the following website:  
<http://www.acf.hhs.gov/grants> or Commerce Business Daily program announcement.

**93.593 JOB OPPORTUNITIES FOR LOW-INCOME INDIVIDUALS**

(JOLI Program)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

as amended, Personal Responsibility and Work Opportunity Reconciliation Act of 1996, Section 112, Public Law 104-193; Family Support Act of 1988, Section 505, Public Law 100-485, 42 U.S.C 1926.

**OBJECTIVES:**

The purpose of the JOLI program is to create new jobs to be filled by low-income individuals. JOLI grantees create jobs through business plans and the provision of technical and/or financial assistance to private employers in the community. Accordingly, JOLI grantees assist in creating new employment and business opportunities for individuals receiving Temporary Assistance for Needy Families (TANF) and for other low-income individuals. Funded projects focus on one of three program strategies to create new job and employment opportunities: (1) new business ventures, (2) business expansion, and (3) self-employment/micro-enterprise.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funded projects must: (1) create new employment and/or business opportunities for TANF recipients and other low-income individuals; (2) enter into a cooperative agreement with the local TANF agency involving client referrals to the applicant project and supportive services for clients, and

applicants are encouraged to establish a formal partnership with the local Child Support Enforcement (CSE) agency involving referrals of non-custodial parents to the applicant; (3) develop a comprehensive project design that describes: the work program and strategy; the participant training design; supportive services and counseling; technical assistance and financial assistance plan; access to business capital; and, follow-up participant support services; and, (4) include an independent, methodologically sound evaluation of the effectiveness of the activities in creating new jobs and/or business opportunities. Funds awarded under this program cannot be used for 1) new construction, 2) the purchase of real property, 3) fundraising, 4) reimbursement of pre-award costs, 5) any project where the role of the applicant is primarily to serve as a conduit for funds to organizations other than the applicant, or 6) a previously funded grantee to carry out the same project in the same geographic area.

**Applicant Eligibility:**

Only nonprofit organizations (including community development corporations, faith based, charitable, and tribal organizations) that are tax-exempt under section 501(a) of the Internal Revenue Code of 1986, by reason of paragraph (3) or (4) of section 501(c) of such Code are eligible to apply.

**Beneficiary Eligibility:**

Only recipients of Temporary Assistance for Needy Families (TANF) benefits and any other individual, whose income level does not exceed 100 percent of the official poverty guidelines, as published by the U.S. Department of Health and Human Services, can be served under this program. Emphasis is placed on serving individuals who are TANF recipients, homeless, unemployed, non-custodial parents, reside in public housing or receive housing assistance.

**Credentials/Documentation:**

Applicants must include with the application written evidence of the local TANF agency's willingness to enter a cooperative agreement. Applicants are strongly encouraged to include with the application written evidence of a partnership with the local CSE agency. All non-profit organizations (including community development corporations, faith based, charitable, and tribal organizations) must include with the application written proof of tax-exempt status under 501(c) (3) or (4) of Internal Revenue Code of 1986. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. All information and forms required to prepare a grant are published in the Federal Register and www.grants.gov website.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Financial Assistance Award. Official notice of an accepted application proposal is made through award of a grant.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Generally, solicited grants will be acted upon within 90-120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are approved for up to a 3-year budget and project period. The maximum grant for the full project and budget period is \$311,000. See the following for information on how assistance is awarded/released: Grant awards are approved for up to a 3-year budget and project period. The maximum grant for the full project and budget period is \$311,000.

**Reports:**

Semi annual progress and expenditure reports are required. Cash reports are not applicable. See above. Expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and other records of the grant are to be kept 3 years after the termination of the grant or until audited, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$1,640,709; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY11 est average award \$225,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 4 grants were awarded. Fiscal Year 2012: No funding was appropriated for the JOLI program. Fiscal Year 2013: The FY 2013 request does not include funding for the JOLI program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The JOLI Funding Opportunity Announcement information is available at: www.grants.gov; and the Poverty Guidelines is available at: <http://aspe.os.dhhs.gov/poverty/index.shtm1>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Lynda Perez 370 L'Enfant Promenade SW, 5th Floor West, Washington, District of Columbia 20447 Email: [lynda.perez@acf.hhs.gov](mailto:lynda.perez@acf.hhs.gov) Phone: (202) 401-9365 Fax: (202) 401-4687

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

93.570 Community Services Block Grant\_Discretionary Awards; 93.601 Child Support Enforcement Demonstrations and Special Projects; 93.645 Child Welfare Services\_State Grants; 93.647 Social Services Research and Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each Funding Opportunity Announcement.

**93.594 TRIBAL WORK GRANTS**

(Native Employment Works; NEW)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part A, Section 412.

**OBJECTIVES:**

To allow eligible Indian Tribes and Alaska Native organizations to operate a program to make work activities available.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Tribes have broad flexibility to use the grant for the purpose of making work activities available.

**Applicant Eligibility:**

An Indian Tribe or Alaska Native organization that conducted a Tribal JOBS (Job Opportunities and Basic Skills Training) Program in fiscal year 1995.

**Beneficiary Eligibility:**

Service areas and populations as designated by the eligible Indian Tribe or Alaska Native organization.

**Credentials/Documentation:**

The grantee's chief executive officer must sign the application for assistance (the grantee's Native Employment Works plan), documenting the Tribe's official support for, and approval of, the application/plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each eligible Indian Tribe or Alaska Native organization must submit a NEW plan to the Secretary for approval.

**Award Procedure:**

The Administration for Children and Families (ACF) will issue grant awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Approximately 45 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are issued annually. Effective for NEW funds awarded on or after July 1, 1999, grantees may carry forward (carry over) unobligated NEW fund balances for use in subsequent fiscal years, without fiscal year limitation. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

The annual program report includes a narrative report in which grantees summarize their activities, achievements, and barriers during the report period, and a statistical report in which grantees report on clients they served during the report period. Cash reports are not applicable. (Please see the description above of the program report. These are annual program progress reports.). Grantees must submit SF 425 (Federal Financial Report) annually. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Secretary will have the ability to maintain program funding accountability consistent with generally accepted accounting principles and the requirements of the Single Audit Act of 1984 and OMB Circular A-133.

**Records:**

Indian Tribes and Alaska Native organizations must maintain records containing information the Secretary may require.

**Account Identification:**

75-1552-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$7,587,980; FY 12 est \$7,633,000; and FY 13 est \$7,633,000

**Range and Average of Financial Assistance:**

From \$5,187 to \$1,752,666; \$96,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 79 NEW grants were awarded. Fiscal Year 2012: In FY 2012, 78 grants were awarded. Fiscal Year 2013: In FY 2013, it is anticipated that 79 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for the Native Employment Works (NEW) program were published on February 18, 2000, and became effective June 19, 2000.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Carol Monteiro, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-2462.

Region II (NJ, NY):

Frank Ceruto, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 133.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

LaMonica Shelton, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2938.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

Region VI (AR, LA, NM, OK, TX):

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

Region VII (IA, KS, MO, NE):

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 349,

601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

**Region VIII (CO, MT, ND, SD, UT, WY)**

Larry Brendel, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 999 18th Street, South Terrace, Suite 499, Denver, CO 80202. Telephone: (214) 767-6236.

**Region IX (AZ, CA, HI, NV):**

Julie Fong, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579.

**Region X (AK, ID, OR, WA):**

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Felicia Gaither 370 L'Enfant Promenade S.W., Washington, District of Columbia 20447 Email: felicia.gaither@acf.hhs.gov Phone: 2022058354

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/dts/>

**RELATED PROGRAMS:**

17.265 Native American Employment and Training; 93.558 Temporary Assistance for Needy Families

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: 79 NEW grantees operated work activity programs using FY 2011 funds. Fiscal Year 2012: It is anticipated that 78 NEW grantees will continue to operate work activity programs using FY 2012 funds. Fiscal Year 2013: It is anticipated that 78 NEW grantees will continue to operate work activity programs using FY 2013 funds.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.595 WELFARE REFORM RESEARCH, EVALUATIONS AND NATIONAL STUDIES**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Deficit Reduction Act of 2005, Public Law 109-171, 42 U.S.C 613 and 710.

**OBJECTIVES:**

To support research on the benefits, effects, and costs of operating different State welfare programs, including studies on the effects of different programs and the operation of such programs on welfare dependency, employment rates, child well-being, family formation and healthy marriage, illegitimacy, teen pregnancy, and others; to assist States in developing and evaluating innovative approaches for reducing welfare dependency and increasing the well-being of minor children living at home.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for innovative research, demonstrations, and evaluations that are responsive to the Administration for Children and Families (ACF) program priorities. All applications must meet standards of excellence in research, demonstration, or evaluation design. Construction or the purchase of real estate are not allowable under these grants or contracts. Further, these funds may not be used to supplement the cost of program operations otherwise capped under the law. Organizations may not use funds under these grants or contracts to engage in inherently religious activities, such as worship, religious instruction, or

proselytizing. In addition, an organization receiving ACF funds shall not, in providing ACF-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which include the prohibition against Federal funding of inherently religious activities, as well as provisions related to nondiscrimination against religious organizations and the ability of religious organizations to maintain their religious character, can be found at either 45 CFR 87.1 or the HHS web site at <http://www.hhs.gov/fbc/waisgate21.pdf>. Through grants, contracts, or interagency agreements, may fund research on the benefits, effects, and costs of operating different State programs funded under the Temporary Assistance for Needy Families Program and evaluations of innovative approaches to reducing welfare dependency and increasing child well-being. All funding is discretionary.

**Applicant Eligibility:**

Grants and cooperative agreements may be made to or with governmental entities, colleges, universities, nonprofit and for-profit organizations (if fee is waived), and faith- and community-based organizations. Grants or cooperative agreements cannot be made directly to individuals. Contracts may be awarded to non-profit or for-profit organizations.

**Beneficiary Eligibility:**

Children, youth, and families, especially low-income families, will benefit.

**Credentials/Documentation:**

Applicants must present written evidence of other agencies' willingness to cooperate when the project involves the use of other agencies, facilities, or services. Nonprofit organizations which have not previously received ACF program support must submit proof of nonprofit status. For State and local governments, costs will be determined in accordance with 45 CFR 92 and other grantees, applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be able to find a synopsis of grant or cooperative agreement opportunities and apply electronically for opportunities via: [www.grants.gov](http://www.grants.gov). Applicants will also be able to find the complete text of grant announcements on the ACF web site located at: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Award (NOA). This provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation. Official notice of an accepted contract proposal is made through award of a contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Grant extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee must submit a formal request for a non-competitive continuation

application each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This process is not applicable to contracts.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grantees are often required to share in the cost of projects. Cost sharing may range up to 25 percent of the total approved project cost for grants or cooperative agreements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are granted on a 1- to 5-year basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. See the following for information on how assistance is awarded/released: Post award, our Division of Payment Management will establish an account from which a grantee may draw down awards. For additional information on this process see:

[http://www.dpm.psc.gov/grant\\_recipient/new\\_grantee\\_information/hhs\\_grantee\\_info.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/new_grantee_information/hhs_grantee_info.aspx?explorer.event=true).

**Reports:**

No program reports are required. No cash reports are required. Grantees are required to submit performance progress reports (ACF-OGM-SF-PPR) throughout the project period. Performance progress reports are due 30 days after the reporting period. Final programmatic reports are due 90 days after the close of the project period. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). Grantees are required to submit program financial expenditure reports throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Grantees will use the Financial Status Report (FSR) SF-425 for required financial reporting. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1553-0-1-609.

**Obligations:**

(Project Grants) FY 11 \$20,980,992; FY 12 est \$15,000,000; and FY 13 est \$21,000,000 - Two funding streams, Welfare Research and the Child Welfare Study, are focused on welfare reform and child welfare. Funding for Welfare Research is: FY 11 \$14,988,922, FY 12 \$15,000,000, and FY 13 est. \$15,000,000. Funding for the Child Welfare Study is: FY 11 \$5,992,070, FY 12 \$0, and FY 13 est. \$6,000,000.

**Range and Average of Financial Assistance:**

\$5,004 to \$4,009,432; \$953,681.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: We funded 2 grants and 20 contracts in FY 2011. Fiscal Year 2012: We anticipate funding 2 grants and 20 contracts in FY 2012. Fiscal Year 2013: We anticipate funding 2 grants and 20 contracts in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A variety of guidance on grants can be found at [www.grants.gov](http://www.grants.gov). Helpful

information on contracts is available at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate ACF Regional Administrator. (See Appendix IV of the Catalog for ACF Regional Offices.).

**Headquarters Office:**

Karl J. Koerper, Office of Planning, Research and Evaluation, Administration for Children and Families, 370 L'Enfant Promenade, SW Floor, West, Washington, District of Columbia 20447 Email: [Karl.Koerper@acf.hhs.gov](mailto:Karl.Koerper@acf.hhs.gov) Phone: (202) 4014535.

**Website Address:**

<http://www.acf.hhs.gov/programs/opre>.

**RELATED PROGRAMS:**

93.009 Compassion Capital Fund ; 93.558 Temporary Assistance for Needy Families; 93.647 Social Services Research and Demonstration; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In fiscal year 2011, these funding streams supported projects to test promising strategies to promote employment and self-sufficiency and reduce welfare utilization, , research on strengthening families, and a nationally representative, longitudinal study of children involved with the child welfare system. More information describing research and evaluation projects supported by these funds can be found at

<http://www.acf.hhs.gov/programs/opre/>. Fiscal Year 2012: We anticipate funding similar types of projects in fiscal year 2012. Fiscal Year 2013: We anticipate funding similar types of projects in fiscal year 2013.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be funded in whole or in part depending on: (1) the ranked order of applicants resulting from competitive review; (2) staff review and consultations; (3) the combination of projects that best meet the information needs of the program; (4) the funds available; and (5) other relevant considerations. Typical criteria include project cost and budget justification, the qualification of the principal investigator and organization, the quality of approach and methodologies employed, and results and the programs objectives and results and benefits expected. Specific criteria for selecting recipients under individual funding announcements under this program are published in [www.Grants.gov](http://www.Grants.gov) for grant announcement and in the solicitation for requests for proposals published in [www.fedbizopps.gov](http://www.fedbizopps.gov) for contracts.

**93.596 CHILD CARE MANDATORY AND MATCHING FUNDS OF THE CHILD CARE AND DEVELOPMENT FUND**

The Child Care Mandatory and Matching Funds of the Child Care and Development Fund (CCDF)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Section 418, 42 U.S.C 618; Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Public Law 104-193); Child Care and Development Block Grant Act of 1990, as amended (Public Law 101-508, 42 USC 9858, et seq); Balanced Budget Act of 1997 (Public Law 105-33); the Deficit Reduction Act of 2005 (Public Law 105-171); and the Middle Class Tax Relief and Job Creation Act (Public Law 112-96).

**OBJECTIVES:**

The Child Care Mandatory and Matching Funds are a part of the Child Care and Development Fund (CCDF) program, along with the Child Care and Development Block Grant (CCDBG) or Discretionary Funds (see CFDA 93.575). The Child Care Mandatory and Matching Funds provide grants to States, Tribes, and tribal organizations for child care assistance for low-income families. The current objectives are to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State including systemic investments in quality child care to promote child development and learning, and to create a system that is child focused, family friendly, and fair to providers; (2) promote parental choice to empower working parents to make their own decisions on the

child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations. Current priorities include: making systemic investments in quality child care to promote child development and health and safety; and creating a system that is child focused, family friendly, and fair to providers.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Title IV of the Social Security Act appropriates funds (Mandatory and Matching Funds) for the purpose of providing child care assistance. Lead Agencies must use Mandatory and Matching Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG Act. Lead Agencies must ensure that not less than 70 percent of the total amount of Mandatory and Matching Funds are used to provide child care assistance to families who are receiving assistance under the Temporary Assistance for Needy Families program, families who are attempting through work activities to transition off of temporary assistance programs, and families who are at risk of becoming dependent on temporary assistance programs. Not more than five percent of the aggregate amount of CCDF Funds expended by the State (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State to carry-out all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State shall use not less than four percent of the CCDF Funds to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. Except for approved construction of child care facilities by tribal grantees, no Mandatory or Matching Funds may be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading of facilities to meet State and local child care standards.) No Mandatory or Matching Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction. However, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No Mandatory or Matching Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, and Federally recognized Tribal Governments, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

Children under age 13 (or, at the option of the grantee, up to age 19, if physically or mentally incapable of self-care or under court supervision), who reside with a family whose income does not exceed 85 percent of the State median income for a family of the same size, and who reside with a parent (or parents) who is working or attending job training or educational program, or are in need of, or are receiving protective services.

**Credentials/Documentation:**

Lead Agencies must operate under a CCDF plan approved by the Administration for Children and Families, and must provide assurances that the grantee will comply with the requirements of the CCDBG Act and all applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Each Grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Mandatory and Matching Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with

the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to the Administration for Children and Families, as well as, financial and other information necessary for the grants process. Each plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the Child Care and Development Block Grant Act (CCDBG). The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the amended CCDBG; an outline of the proposed use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.

**Award Procedure:**

Grants are awarded after the receipt and approval of an application and plan by the Administration for Children and Families.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The Administration for Children and Families will review the CCDF plans for approval and will act on the plans within 90 days.

**Appeals:**

Guidelines for appealing disapprovals of CCDF plans are specified in regulations at 45 CFR Part 99.

**Renewals:**

CCDF plans must be submitted every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 45 CFR, Part 98.53.

Matching Requirements: Allocations of the Mandatory Funds are based on a State's Federal share of the expenditures for the now-repealed AFDC-linked child care programs (AFDC/JOBS Child Care, Transitional Child Care, and At-Risk Child Care) in 1994 or 1995, or the average of 1992 through 1994, whichever was greater. A State is not required to expend any State funds in order to receive its share of the Mandatory Funds. The remaining funds are Matching Funds and are distributed based on the number of children under age 13 in a State compared with the national total of children under age 13. To access Matching Funds, a State must obligate all of its Mandatory Funds allotted in a fiscal year and maintain 100 percent of the State's share of expenditures for the former programs in fiscal year 1994 or fiscal year 1995, whichever is greater. Matching Funds must be matched at the applicable FMAP rate, which is the Medicaid Program matching rate. Not less than one percent, but not more than two percent of the total Mandatory and Matching Funds are reserved for Tribes and tribal organizations based on the number of children living on or near tribal reservations or other appropriate area served by the tribal grantee. Tribes and tribal organizations are not required to provide matching funds. The District of Columbia is treated as a State for purposes of receiving its share of Mandatory and Matching Funds. Territories are not eligible to receive Mandatory or Matching Funds. This program has MOE requirements, see funding agency for further details.



**Length and Time Phasing of Assistance:**

Grant awards are made to Lead Agencies with approved CCDF plans. If Matching Funds are requested, Mandatory Funds must be obligated by the end of the first fiscal year. There is no time limit on liquidation of Mandatory Funds and no time limit on obligation of Mandatory Funds if no Matching Funds are requested. Matching Funds must be obligated by the end of the first fiscal year and liquidated by the second fiscal year. State funds expended toward the Maintenance of Effort requirement must be both obligated and expended by the end of the first fiscal year. Mandatory and Matching Funds awarded to Tribes and tribal organizations must be obligated by the end of the second fiscal year and liquidated by the end of the third fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As specified in 45 CFR Part 98, States must report to the Administration on Children and Families on an annual basis aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. Tribes must also provide an annual count of children and families served through CCDF; average hours of service per child by type of care; average monthly payment and co-payments per child; number of children served by income; and supplemental narratives. No cash reports are required. No progress reports are required. States must also submit quarterly expenditure reports. Territories are required to report estimates and expenditures for the Discretionary Fund only on a quarterly basis. States, DC, and Puerto Rico are required to measure, calculate, and report improper authorizations for payments as well as identify strategies for reducing future improper authorizations for payments. One-third of the 50 States, DC, and Puerto Rico must report annually on a three-year cycle. Tribes report expenditures for the Tribal Mandatory, Discretionary, and Construction/Renovation funds. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Additional auditing may be necessary.

**Records:**

Proper grant accounting records must be maintained.

**Account Identification:**

75-1550-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$2,917,000,000; FY 12 est \$2,917,000,000; and FY 13 est \$2,917,000,000 - These figures do not include CCDF Discretionary Funds under CFDA 93.575.

**Range and Average of Financial Assistance:**

For States, including DC, the range of grants in FY 2012 is: \$5,931,089 to \$293,302,291; the average grant is \$55,909,167. For 242 Tribal grantees, the range of grants in FY 2011 is: \$4,671 to \$7,671,387; the average grant is \$241,074. (The FY 2012 information on Tribes is not yet available.) The Territories do not receive Mandatory funding. These figures are not inclusive of funds received through CFDA 93.575.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, 293 Mandatory grants were awarded. Fiscal Year 2012: It is anticipated that 293 grants will be awarded. Fiscal Year 2013: It is anticipated that 293 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the

Office of Child Care Regional Program Managers (RPMs). A list of the RPMs and their contact information is available at [www.acf.hhs.gov/programs/occ/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/occ/ta/raaddr/program_managers.htm). You may also contact the Office of Child Care, Administration for Children and Families at (202) 690-6782 or by Fax at (202) 690-5600.

**Headquarters Office:**

Mary Sprague, Office of Child Care, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., 5th Floor East, Washington, District of Columbia 20447 Email: [mary.sprague@acf.hhs.gov](mailto:mary.sprague@acf.hhs.gov) Phone: (202)-401-4831 Fax: (202)-690-5600.

**Website Address:**

<http://http://www.acf.hhs.gov/programs/occ>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.575 Child Care and Development Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.597 GRANTS TO STATES FOR ACCESS AND VISITATION PROGRAMS****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part D, Section 469B, Public Law 104-193.

**OBJECTIVES:**

To enable States to create programs which support and facilitate access and visitation by non-custodial parents with their children. Activities may include mediation, counseling, education, development of parenting plans, visitation enforcement and development of guidelines for visitation and alternative custody arrangements.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

A State to which a grant is made under this section may not use the grant to supplant expenditures by the State for allowable activities, but shall use the grant to supplement such expenditures at a level at least equal to the level of such expenditures for fiscal year 1995.

**Applicant Eligibility:**

All States, the District of Columbia, Puerto Rico, Virgin Islands and Guam.

**Beneficiary Eligibility:**

Custodial and non-custodial parents.

**Credentials/Documentation:**

The Governors have designated a single State agency to represent the State in carrying out this responsibility. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are submitted biannually using the standard application form, as furnished by the Department of Health and Human Services. Application kits which contain the prescribed application forms and supplemental descriptive information on the access and visitation grant program are available from: The Office of Child Support Enforcement, Administration for Children and Families, 4th Floor, 370 L'Enfant Promenade, SW., Washington DC 20447.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 days.

**Appeals:**

Governed by 45 CFR Part 16 - "Procedures of the Department Grant Appeals Board".

**Renewals:**

Extensions and continuations of grants are not available.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 10%. 10 percent of the total award. The award amount is based on the number of children in a State living with one biological parent as determined by the Census Bureau.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are awarded for a two-year project period. Method of awarding/releasing assistance: by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual reports are required. Reports are required. Annual progress reports are required. Annual expenditure reports are required by Section 303.109.

Monitoring is done when the progress reports are reviewed for accuracy and completeness.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-1501-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$10,000,000; FY 12 est \$10,000,000; and FY 13 est \$10,000,000 - States have until September 30, 2012 to obligate FY 2011 funds.

**Range and Average of Financial Assistance:**

The amount of funding provided to each grantee is based on an allocation formula with a designated minimum amount provided in statute.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 54 grants were awarded. Fiscal Year 2012: In FY 2012, 54 grants will be awarded. Fiscal Year 2013: OCSE anticipates awarding 54 grants in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration Policies and Application kits may be obtained from: Office of Child Support Enforcement, Administration for Children and Families, 4th Floor, 370 L'Enfant Promenade, S.W., Washington DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for ACF

Regional Offices.

**Headquarters Office:**

Michelle Jadczyk 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: michelle.jadczyk@acf.hhs.gov Phone: 202 401-4578

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse>.

**RELATED PROGRAMS:**

93.563 Child Support Enforcement

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.598 SERVICES TO VICTIMS OF A SEVERE FORM OF TRAFFICKING**

Anti-Trafficking in Persons Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Trafficking Victims Protection Act of 2000, as amended, Public Law 106-386, 114 Stat. 1464, 20 U.S.C 7104-7105.

**OBJECTIVES:**

To provide outreach to, identification of, and service referral to individuals who may be victims of a severe form of trafficking. To enhance anti-trafficking efforts in the U.S. by building regional capacity, developing regional coalitions, conducting public awareness, and providing training and technical assistance on human trafficking issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Office of Refugee Resettlement (ORR) provides funding for outreach to, and identification of, human trafficking victims, in particular among vulnerable populations. Funds are also provided to conduct public awareness and to build and maintain the Rescue and Restore Regional Programs that serve as the focal points for regional public awareness campaign activities and intensification of local outreach to identify victims of human trafficking. Funds may be used only for the purposes set forth in the grant award. Rescue and Restore Regional Program grantees must sub-award 60 percent of grant funds.

**Applicant Eligibility:**

State and local governments and private organizations.

**Beneficiary Eligibility:**

Under the TVPA, as amended by subsequent reauthorizations, alien victims of severe form of trafficking in persons are eligible for benefits and services to the same extent as refugees. Beneficiaries are adult victims of a severe form of trafficking who have been certified by HHS/ORR. Alien children under 18 years of age subjected to a severe form of trafficking who have received letters of eligibility from HHS/ORR are considered eligible for services. Certain family members of victims of a severe form of trafficking are eligible for federally funded or administered benefits and services to the same extent as refugees if they hold "derivative T Visas" (T-2, T-3, T-4, or T-5 visa). Potential victims of trafficking are also eligible for services.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the

program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Each application submitted under this program announcement will undergo a pre-review to determine if (1) the application was received by the closing date and submitted in accordance with the instructions in this announcement and (2) the applicant is eligible for funding.

**Award Procedure:**

Applications that pass the initial Administration for Children and Families (ACF) screening will be evaluated and rated by an independent review panel on the basis of specific criteria that are included in the Notice of Funds Availability. The evaluation criteria are designed to assess the quality of a proposed project and to determine the likelihood of its success.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are generally made available for 3-year project periods with funding on an annual basis. Funds are available to reimburse costs, up to the amount of the award, incurred during the year for which the funds are awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

Performance progress reports are required, usually on a quarterly basis. Final program reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are also required. Cash reports are not applicable. SF-425 Federal Financial Reports are due on a quarterly basis. Final financial reports are also required after the end of the project period. On-site and desk monitoring is done on an ongoing basis. Cash reports are not applicable. No progress reports are required. SF-425 Federal Financial Reports are due on a semi-annual basis. Final financial reports are also required 90 days after the end of the project period. On-site and desk monitoring is done on an ongoing basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. .

**Records:**

Grant recipients are required to keep all financial, business, and program reports necessary for program review and audit during the project period and for 3 years thereafter to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 11 \$6,299,000; FY 12 est \$8,279,000; and FY 13 est \$8,232,000

**Range and Average of Financial Assistance:**

In FY 2011, grants ranged from \$150,000 to \$1,354,812. The average grant

amount was \$419,956.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 15 grants were awarded and 564 victims received certification or eligibility letters. Fiscal Year 2012: It is estimated 15 continuation grants will be awarded and the number of trafficking victims who receive eligibility or certification letters will be approximately the same number as in FY 2011. Fiscal Year 2013: It is estimated that one new grant and 14 continuation grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Maggie Wynne 370 L'Enfant Promenade, S.W., 8th Floor West, Washington, District of Columbia 20447 Email: Maggie.Wynne@acf.hhs.gov Phone: (202) 401-4664 Fax: (202) 401-5487.

**Website Address:**

<http://www.acf.hhs.gov/trafficking>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.676 Unaccompanied Alien Children Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: (1) National Human Trafficking Victim Assistance Program (NHTVAP), (2) Rescue and Restore Victims of Human Trafficking Regional Program, and (3) National Human Trafficking Hotline, Training and Technical Assistance. Fiscal Year 2012: The programs funded in FY 2011 will continue to receive funding in FY2012. Fiscal Year 2013: The NHTVAP and the Rescue and Restore Regional Program will continue to receive funding in FY 2013.

**CRITERIA FOR SELECTING PROPOSALS:**

Information on evaluation criteria for awarding funds can be found in the Funding Opportunity Announcement.

**93.599 CHAFEE EDUCATION AND TRAINING VOUCHERS PROGRAM (ETV)**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part E, Section 477(h); as amended.

**OBJECTIVES:**

To provide resources to States and eligible Indian Tribes to make available vouchers for postsecondary training and education, to youths who have aged out of foster care or who have been adopted or left for kinship guardianship from the public foster care system after age 16.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used to provide vouchers for postsecondary education and training to youth otherwise eligible for services under the State's or Tribe's Chafee Foster Care Independence Program. Vouchers may also be provided to youth who leave foster care for adoption or kinship guardianship after age 16. Vouchers can be provided to youth up to the age of 23, as long as they are participating in the program at age 21 and are making satisfactory progress toward completing their course of study or training. Vouchers provided to individuals may be available for the cost of attending an institution of higher education (as defined in section 472 of the Higher Education Act) and shall not exceed the lesser of \$5,000 per grant year or the total cost of attendance as defined in section 472 of the Higher Education Act.

**Applicant Eligibility:**

State governments, including the 50 States, the District of Columbia and Puerto Rico (hereafter "States"), and eligible Indian Tribes, Indian Tribal organizations, or Indian Tribal consortia (hereafter "Tribes").

**Beneficiary Eligibility:**

Youth otherwise eligible for services under a State's or Tribe's Chafee Foster Care Independence Program. (This includes youth who have left foster care because they attained 18 years of age, and have not yet attained 21 years of age; youth likely to remain in foster care until 18 years of age, commensurate with the State's or Tribe's criteria used to determine eligibility for the program; and former foster care recipients, age 21 and younger.) Vouchers may also be provided to youth who are adopted from foster care or exit foster care to kinship guardianship after attaining age 16 and to youth up to the age of 23, as long as they are participating in the voucher program at age 21 and are making satisfactory progress toward completing their course of study or training.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applications must include the information and assurances required from the States or Tribes. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A 5-year State or Tribal plan must be submitted with annual updates. The plan must coordinate the provision of services under the State's or Tribe's Education and Training Voucher Program with services under other Federal or Federally-assisted programs serving the same population. Plans are submitted to the appropriate Regional Child Welfare Program Manager in the appropriate ACF Regional Office.

**Award Procedure:**

Quarterly awards are made up to the amount of one-fourth of the State's or Tribe's annual allotment.

**Deadlines:**

Jun 30, 2013: June 30 of each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The plan or its annual update is due June 30 of each year. Approval/disapproval is due September 30 of each year.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: States: Each State is allocated an amount of funds which bears the same ratio as the number of children in foster care in that State bears to the total number of children in foster care in all States in the most recent fiscal year for which such information is available. Date submitted by States into the Adoption and Foster Care Analysis and Reporting System (AFCARS) national database will be used to calculate State allotments.

Tribes: Each Tribe with an approved plan is allocated an amount equal to the number of children in foster care under the responsibility of the Tribe (either directly or under supervision of the State) in the most recent fiscal year for which such information is available to the sum of the total number of children in foster care under the responsibility of all Indian Tribes in the State, that have an approved plan.

Matching Requirements: Percent: 20%. The Federal government will pay 80 percent of the total amount of funds expended by the grantee up to the amount of funds allocated for the Educational and Training Vouchers program. The grantee must provide matching contributions to cover the additional 20% of the costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual updates to the State's or Tribe's plan. An SF-425 financial status report must be submitted for the funds awarded in each Federal fiscal year (FFY) within three months after the close of the FFY in which the funds were granted (interim report) and again within three months after the close of the subsequent FFY (final report). Progress reports are not applicable. Submitted to Administration for Children and Families, Office of Administration. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees must develop and maintain records which permit review of expenditures in accordance with the provisions of 45 CFR Part 92.20 and 92.42.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$45,260,000; FY 12 est \$45,174,000; and FY 13 est \$45,174,000 - Actual funding in FY 2011 and projections for FY 2012 and FY 2013 reflect the Congressionally mandated rescission in FY 2011.

**Range and Average of Financial Assistance:**

FY 2012: \$2,652 to \$6,290,879, with an average of \$809,033.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 55 grants were awarded. Fiscal Year 2012: In FY 2012, it is estimated that 55 grants will be awarded. Fiscal Year 2013: In FY 2012, it is estimated that 55 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Instructions (PI): PI-ACYF-CB-PI-10-08, issued April 20, 2010; PI-ACYF-CB-PI-10-09, issued April 20, 2010; PI-ACYF-CB-PI-10-10, issued April 20, 2010; Program Instructions (PI): PI-ACYF-CB-PI-12-05, issued April 11, 2012; PI-ACYF-CB-PI-12-06, issued April 11, 2012.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administrator for Children and Families.

**Headquarters Office:**

Catherine Heath 1250 Maryland Ave, SW; 8th Floor, Washington, District of Columbia 20024 Email: Catherine.Heath@acf.hhs.gov Phone: 202-690-7888

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.600 HEAD START**

Head Start

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007  
, Public Law 110-134, 42 U.S.C 9801.

**OBJECTIVES:**

To promote school readiness by enhancing the social and cognitive development of low-income children, including children on federally recognized reservations and children of migratory farm workers, through the provision of comprehensive health, educational, nutritional, social and other services; and to involve parents in their children's learning and to help parents make progress toward their educational, literacy and employment goals. Head Start also emphasizes the significant involvement of parents in the administration of their local Head Start programs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible; i.e. from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Programs may serve an additional 35 percent of participants with incomes up to 130 percent of poverty if they can demonstrate that they already are meeting the needs of children below the poverty line in the area served. American Indian and Alaska Native programs may enroll additional over-income children if they enroll all children in their service area that are income eligible and predominantly serve children meeting the low income criteria. Training and technical assistance grants are available to Head Start programs.

**Applicant Eligibility:**

Any government, federally-recognized Indian tribe, or public or private nonprofit or for profit agency which meets the requirements may apply for a grant. However, applications will be considered only when submitted in response to a specific announcement, published via the Internet at the following website address: [http://www.acf.hhs.gov/grants/grants\\_hsb.html](http://www.acf.hhs.gov/grants/grants_hsb.html), which solicits proposals to establish new Head Start Programs. Grantee agencies may subcontract with other child-serving agencies to provide services to Head Start children.

**Beneficiary Eligibility:**

Head Start/Early Head Start programs are for children from birth up to the age when the child enters the school system; however, Head Start programs only serve pre-school age children while Early Head Start programs serve children from birth through age three. No less than 10 percent of each Head Start program's enrollment shall be for children with disabilities.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Part 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The Office of Head Start will provide each applicant agency with a completed check list form showing exactly which items must be completed by each applicant and delegate agency.

**Award Procedure:**

All funds are awarded directly to the grantees. Funds for local Head Start/Early Head Start programs, including a portion of training and technical assistance funds, are awarded by the Office of Head Start's Regional Offices. Funds for the following are awarded by the Central Office of Head Start: American Indian and Alaskan Native programs; Migrant programs; research, demonstration and

evaluation efforts and some training and technical assistance efforts.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. This, depending on the nature of the proposal, can vary considerably from 90 days to as much as several months.

**Appeals:**

Grantees who are denied refunding may appeal adverse decisions to the HHS Departmental Appeals Board. There is no appeal for new grants denials.

**Renewals:**

From 90 to 120 days. OHS Headquarters or Regional Offices will inform grantees of the application procedures for renewal.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 20%.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds are available for a 12-month budget period. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check.  
Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual information on the types of children served and the services provided. No cash reports are required. No progress reports are required. Semi-annual spending reports. At least once every three years every agency is monitored. New grantees are monitored after their first year in operation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Grantee must maintain an accounting system adequate to meet the purposes of the grant. Requirements for records are found in 45 CFR, Part 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$7,558,967,000; FY 12 est \$7,968,544,000; and FY 13 est \$8,054,000,000

**Range and Average of Financial Assistance:**

136,000-200,351,000; 4,300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, comprehensive early childhood services were provided to 964,430 children and families. Fiscal Year 2012: In FY 2012, it is anticipated that comprehensive early childhood services will be provided to 962,120 children and families. Fiscal Year 2013: In FY 2013, it is anticipated that comprehensive early childhood services will be provided to 962,120 children and families.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 - 1311. These are available on request at no charge.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Iran Rodriguez, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Linda Savage, Regional Program Manager, Administration for Children and Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Jeff Fredericks, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Kimberly Chalk, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Clarence Small, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY)

Deb Hedin, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Colleen Rathgeb 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: colleen.rathgeb@acf.hhs.gov Phone: 202-205-7378

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb>

**RELATED PROGRAMS:**

93.708 ARRA - HEAD START; 93.709 ARRA EARLY HEAD START

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.601 CHILD SUPPORT ENFORCEMENT DEMONSTRATIONS AND SPECIAL PROJECTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security, Title IV, Part D, Section 452(j), Public Law 104-193, 42 U.S.C 652j.

**OBJECTIVES:**

To provide federal funds for information dissemination and technical assistance to states, training of federal and state staff to improve state child support programs, and research, demonstration, and special projects of regional or national significance relating to the operation of child support programs. In FY 2012, the funds are awarded under the funding opportunity announcement titled Parenting Time Opportunities for Children in the Child Support Program. This is a demonstration grant program for IV-D agencies for four-year projects that plan, pilot, and evaluate strategies to establish parenting time orders at the same time as initial child support orders.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grantees must plan and pilot strategies to establish parenting time responsibilities as part of child support orders. Grantees must: 1) assure that their strategies are sound and appropriate within the state IV-D program structure and process; 2) coordinate with the applicants State Access and Visitation program, authorized by 42 U.S.C. 669(b); and 3) fully integrate effective family violence safeguards into all grant activities. Additionally, grantees must lead an independent site-specific evaluation that measures child support and parenting time outcomes. All grants must follow the program requirements and restrictions outlined in the funding opportunity announcement HHS-2012-ACF-OCSE-FI-0298 and follow all of the standard terms and conditions for ACF grant awards, not limited to what is described in the HHS Grants Policy Statement.

**Applicant Eligibility:**

Eligibility for the FY 2012 grants are open to state (including the District of Columbia, Guam, Puerto Rico, and the Virgin Islands) Title IV-D agencies, county, city or township, special district Title IV-D agencies, and umbrella agencies of Title IV-D agencies. Individuals, foreign entities, and sole proprietorship organizations are not eligible for awards in FY 2012.

**Beneficiary Eligibility:**

Eligibility for the FY 2012 grants are open to state (including the District of Columbia, Guam, Puerto Rico, and the Virgin Islands) Title IV-D agencies, county, city or township, special district Title IV-D agencies, and umbrella agencies of Title IV-D agencies. Individuals, foreign entities, and sole proprietorship organizations are not eligible for awards in FY 2012.

**Credentials/Documentation:**

When appropriate, applicants should present written evidence of other agencies' willingness to cooperate when the project involves their cooperation or the utilization of their facilities or service. For other grantees, costs will be determined in accordance with 2 CFR 220 for educational institutions, 2 CFR 230 for nonprofit organizations, and any amendments to the aforementioned. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application forms and supplemental descriptive information on the priority projects are available from: Administration for Children and Families, Child Support Enforcement

Program, 4th floor, 370 L'Enfant Promenade, SW., Washington, DC 20447. Applications may be submitted to this address or via grants.gov. See the actual program announcement for details. The application shall be executed by an individual authorized to act for the applicant agency or organization and to assume for the agency or organization the obligations imposed by the terms and conditions of the grant. The application must clearly indicate whether the application submitted is in response to a program announcement (e.g. CFDA 93.601) and must reference the announcement number for which the application is to compete. Applications are reviewed and evaluated by a review panel of not less than three knowledgeable people. Written assessment of each application is made.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Grant Award. This provides the amount of funds awarded, the purpose of the award, the term and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 120 days. Generally, solicited grants will be acted upon within 90 days.

**Appeals:**

There are no formal appeals procedures. If an application for a grant is disapproved, the reasons for disapproval will be fully stated, applicants may request the reasons for disapproval. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval in the future. If an applicant is not awarded a grant, the applicant can request a written response that will address: (1) Weak and deficient areas of the proposal; (2) impact of weaknesses or deficiencies in not being selected; and (3) factors that were the basis of the selection of the successful grantee.

**Renewals:**

Generally, project and budget periods vary according to priority area (up to 3 years). Projects of a longer duration will be considered if unique circumstances warrant. If projects are approved for a period longer than 12 months, funding will be provided in discrete 12-month increments, or "budget periods." Funding beyond the first 12-month budget period is not guaranteed. Future funding will depend on the grantee's satisfactory performance and the availability of future appropriations.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Generally, project and budget periods vary according to the priority area (up to 3 years). For multi-year projects, support beyond the first year is contingent upon acceptable evidence of satisfactory progress and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual program narrative reports and semi-annual expenditure reports are required. Periodic monitoring is conducted by the federal project office when progress reports are reviewed. Semi-annual expenditure reports are required. Quarterly narrative progress reports are required. Semi-annual reports of expenditures are required. Periodic monitoring is conducted by the Federal Project Officer when progress reports are reviewed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR 74 or 92. Subsequent to an audit they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1553-0-1-609.

**Obligations:**

(Project Grants) FY 11 \$300,000; FY 12 est \$300,000; and FY 13 Estimate Not Available - These funds are allocated for new grants.

**Range and Average of Financial Assistance:**

\$75,000 to \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, three new grants were awarded. Fiscal Year 2012: It is anticipated that 3 grants will be awarded. Fiscal Year 2013: Information not yet available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

"Grants Administration Policies," and application kits may be obtained from the ACF, Office of Child Support Enforcement, 4th Floor, 370 L'Enfant Promenade, SW., Washington, DC 20447.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administrators. (See Appendix IV of the Catalog for Regional Offices).

**Headquarters Office:**

John Langrock 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: john.langrock@acf.hhs.gov Phone: 202 401-4842

**Website Address:**

<http://www.acf.dhhs.gov/programs/cse/grants>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.563 Child Support Enforcement; 93.564 Child Support Enforcement Research; 93.597 Grants to States for Access and Visitation Programs; 93.647 Social Services Research and Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FY 2011 - Projects to Address the Economic Downturn on IV-D Operations. Fiscal Year 2012: FY 2012 - Parenting Time Opportunities for Children in the Child Support Program. Fiscal Year 2013: Information not yet available.

**CRITERIA FOR SELECTING PROPOSALS:**

1) Program Design; 2) Program Management; 3) Evaluation Design; and 4) Budget and Budget Justification.

**93.602 ASSETS FOR INDEPENDENCE DEMONSTRATION PROGRAM**

AFI Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Assets for Independence Act.

**OBJECTIVES:**

The purpose of the Assets for Independence program is to demonstrate and evaluate the effectiveness of asset-building projects that assist low-income people in becoming economically self-sufficient by teaching them about economic and consumer issues and enabling them to establish matched savings accounts called individual development accounts (IDAs). The program is demonstrating and evaluating the effects of AFI projects and IDAs in terms of increasing the economic self-sufficiency of low-income families; promoting

savings for home ownership, post-secondary education, and small business or micro-enterprise development; and stabilizing families and communities.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

The AFI Act imposes the following limitations on uses of AFI grant funds: Entities that receive AFI grants must reserve at least 85% of the Federal AFI grant amount for matching participants' IDA savings. The grantee entities may use no more than 15% of the Federal AFI grant amount for all other costs such as administering the project, reporting, and recruiting and enrolling participants; training participants in such areas as financial education, economic literacy, budgeting, and credit; providing supports that assist participants to achieve economic self-sufficiency; and providing information to organizations evaluating the AFI demonstration.

**Applicant Eligibility:**

This program supports innovative projects administered by national, State-wide, regional and community-based organizations. Eligible applicants are: (1) Private nonprofit organizations that are tax exempt under Section 501(c)(3) of the Internal Revenue Code; (2) State or local governments or agencies or Tribal governments submitting applications jointly with tax exempt organizations; (3) credit unions designated as low-income credit unions by the National Credit Union Administration; or an organization designated as a Community Development Financial Institution by the Secretary of the Treasury.

**Beneficiary Eligibility:**

The Assets for Independence Act limits eligibility for participation in AFI-funded projects to individuals and families with the following characteristics: 1) Individuals who are members of households that are eligible to receive support under the Federal Temporary Assistance for Needy Families program; 2) Individuals whose adjusted gross household income is less than twice the Federal poverty line, taking into consideration the number of household members, and whose household net worth as of the end of the prior calendar year was less than \$10,000; and 3) Individuals whose adjusted gross household income enables them to qualify for the Federal Earned Income Tax Credit, taking into consideration the number of household members, and whose household net worth as of the end of the prior calendar year was less than \$10,000. When determining the net worth of the household, a household's assets shall not be considered to include the primary dwelling unit and one motor vehicle owned by a member of the household.

**Credentials/Documentation:**

Low Income Credit Unions must submit official documentation that the National Credit Union Administration has designated the organization as such. Community Development Financial Institutions must submit documentation that the Department of the Treasury has designated the organization as such. Private nonprofit organizations that are tax exempt under Section 510(3) of the Internal Revenue Code must provide documentation of nonprofit status. Applications submitted by credit unions and community development financial institutions must demonstrate a strong collaborative relationship with one or more community-based organization(s) that seek to address poverty and the economic needs of community residents. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Competitive applications must be submitted on Standard Forms 424, 424A, and 424B, and include a project narrative as described in the program announcement issued by the Office of Community Services and published on the [www.grants.gov](http://www.grants.gov) website. Required forms are attached to the published announcement. No State plan is required.

**Award Procedure:**

The Director, Office of Community Services makes funding decisions based on recommendations of a panel of experts who review funding proposals. The panel review is based on criteria set forth in the program announcement.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Applications will normally be approved/disapproved and grant awards made within 90 days of application receipt.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 100%. The matching requirement is for a non-federal cash contribution. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

These grants have 5-year budget and project periods. Grantees may access grant funds throughout the period to the extent that they have the required non federal cash support on hand. See the following for information on how assistance is awarded/released: Grantees may access federal grant funds to the extent that they have the required non-federal cash contribution. See the following for information on how assistance is awarded/released: Grantees may access federal grant funds to the extent that they provide proof of the required non-federal cash contribution.

**Reports:**

Standard Form Performance Progress Report (SF-PPR). Standard Form - Federal Financial Report (SF-425). Standard Form Performance Progress Report (SF-PPR). Standard Form - Federal Financial Report (SF-425). Data Report.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Program records, financial records, and all other records pertinent to the award shall be retained for a period of three years from the date of submission of the final expenditure report.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$23,971,555; FY 12 est \$19,869,375; and FY 13 est \$19,869,000

**Range and Average of Financial Assistance:**

The Office of Community Services (OCS) awards grants for this program ranging up to \$1,000,000. The average grant is approximately \$350,000. Eligible entities may apply for new grants up to the statutory limit of \$1,000,000 for 5-year project periods.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 66 grants were awarded. Fiscal Year 2012: 47 grants will be awarded in FY 2012. Fiscal Year 2013: It is anticipated that 47 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The following regulations: Title 45 of the Code of Federal Regulations, Part 16 - DHHS Grant Appeals Process, Part 74 - Administration of Grants (grants with sub grants to entities), Part 75 - Informal Grant Appeal Procedures, Part 76 -



Debarment and Suspension from Eligibility For Financial Assistance, Sub part F - Drug Free Workplace Requirements, Part 80 - Non-discrimination Under Programs Receiving Federal Assistance through Department of Health and Human Services Effectuation of Title VI of the Civil Rights Act of 1964, Part 81 - Practice and Procedures for Hearings Under Part 80 of this Title, Part 83 - Regulation for the Administration and Enforcement of Sections 799A and 845 of the Public Health Service Act, Part 84 - Non-discrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance, Part 85 - Enforcement of Non-discrimination on the Basis of Handicap in Programs or Activities Conducted by Department of Health and Human Services, Part 86 - Non-discrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting from Federal Financial Assistance, Part 91 - Non-discrimination on the Basis of Age in Health and Human Services Programs or Activities Receiving Federal Financial Assistance, Part 92 - Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments (Federal Register, March 11, 1988), Part 93 - New Restrictions on Lobbying, Part 1000 - Individual Development Accounts.

**Regional or Local Office:**

None.

**Headquarters Office:**

Al Fleming 370 L'Enfant Promenade, SW, Suite 500 West, Washington, District of Columbia 20447 Email: al.fleming@acf.hhs.gov Phone: (202) 401-4977 Fax: (202) 401-4687

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/afi>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Organization experience and administrative capability; (2) Sufficiency of the project, design and plan: The degree to which the project described in the application appears likely to aid project participants in achieving economic self-sufficiency through activities requiring one or more of the qualified expenses (home purchase, post secondary education or training, or business capitalization); (3) Adequacy of plan for providing information for evaluation; (4) Commitment of non-federal funds and additional resources; (5) Results or benefits expected; and (6) Significant and beneficial impacts.

**93.603 ADOPTION INCENTIVE PAYMENTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part E, Section 473A; as amended.

**OBJECTIVES:**

To provide incentives to States to increase annually the number of foster child adoptions, special needs adoptions, and older child adoptions.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

A State shall not expend an amount paid to the State under this grant except to provide to children of families any activity or service (including post-adoption services) that may be provided under Part B or E of Title IV of the Social Security Act. Amounts expended by a State in accordance with the preceding sentence shall be disregarded in determining State expenditures for purposes of Federal matching payments under Sections 423, 434, and 474 of the Social Security Act.

**Applicant Eligibility:**

Applications are not required. The States, including Puerto Rico and the District of Columbia, may receive payments. The Children's Bureau (CB) shall determine the numbers of foster child adoptions, the special needs adoptions,

and the older child adoption in a State on the basis of AFCARS data as reported by each State and accepted by CB no later than May 15 of the fiscal year subsequent to the fiscal year in which the adoptions were finalized (i.e., the "earning year").

**Beneficiary Eligibility:**

Beneficiaries are those children and families eligible under Title IV-B and Title IV-E of the Social Security Act, as amended.

**Credentials/Documentation:**

The Children's Bureau (CB) shall determine the numbers of foster child adoptions, the special needs adoptions, and the older child adoptions, as well as the highest ever foster child adoption rate in a State on the basis of data reported by each State to the Adoption and Foster Care Analysis and Reporting System (AFCARS) data and accepted by CB no later than May 15 of the fiscal year subsequent to the fiscal year in which the adoptions were finalized (i.e., the "earning year"). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. States are automatic applicants.

**Award Procedure:**

Incentive payments will be issued annually, in the fiscal year subsequent to the earning year. Payment will be based on AFCARS data submitted no later than May 15 of the fiscal year following the earning year. AFCARS data must be accepted and approved by the Children's Bureau.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

AFCARS reports must be received no later than May 15 of subsequent fiscal years in order to be considered for incentive payments.

**Appeals:**

Not Applicable.

**Renewals:**

Each "earning year" (fiscal years 2008 - 2012), State adoption data received through AFCARS will be considered on its own merit.

**Formula and Matching Requirements:**

Statutory Formula: The adoption incentive payment payable to a State for a fiscal year shall be equal to the sum of (a) \$4,000, multiplied by the number of foster child adoptions in the State during the fiscal year which exceeds the base number of foster child adoptions for the State for the fiscal year; (b) \$8,000 multiplied by the number of foster child adoptions of children age 9 or older in the State during the fiscal year in which exceeds the base number of foster child adoption of children age 9 or older for the State for the fiscal year; and (c) \$4,000, multiplied by the number of special needs adoptions of children under age nine in the State during the fiscal year which exceeds the base number of special needs adoptions of children under age 9 for the State for the fiscal year, if the State receives a bonus under (a) or (b). Awards are pro-rated if insufficient funds are available to make the full awards. In addition, if funds remain available after making the above awards, a State is eligible to earn an additional incentive award by exceeding the highest ever foster child adoption rate in the State between FY 2002 and the immediately preceding fiscal year. The incentive is calculated by multiplying the State's highest ever foster child adoption rate times the number of children in foster care on the last day of the preceding fiscal year and subtracting that number from the number of foster child adoptions in the State in that fiscal year. That number is rounded to the nearest whole number and then multiplied by \$1,000. If a State does not qualify for an incentive payment under (a) or (b), the State may still receive an award for (c) if the State exceeds the highest ever adoption rate. There are no matching requirements for these funds.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Payments to a State in a fiscal year shall remain available for use by the State through the end of the succeeding fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

States must identify in the Child and Family Services Plan (CFSP) or Annual Progress and Services Report (APSR) as applicable (due June 30 of each year), the services they have provided to children and families as a result of the expenditure of adoption incentive payments. Should more than one fiscal year's incentive funds be expended during a given reporting period, the report should reflect the services provided and identify the fiscal year's funds expended. Actual expenditures of incentive funds must be reported annually on SF-425, Financial Status Report. No progress reports are required. Standard form (SF) 425, Financial Status Report (FSR), must be completed and submitted utilizing the established on-line data collection system. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 CFR 92.

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$39,421,000; FY 12 est \$39,346,000; and FY 13 est \$39,346,000

**Range and Average of Financial Assistance:**

For FY 2010 earning year, 32 States earned incentive payments totaling \$40.1 million. The awards ranged from \$16,000 to \$7,092,000 with an average award amount of \$1,254,500 for qualifying States.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 32 States received adoption incentive payments. Fiscal Year 2012: 30 States received adoption incentive payments. Fiscal Year 2013: It is projected that 30 States will receive adoption incentives payments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ACYF-CB-IM-03, issued September 1, 2009.

**Regional or Local Office:**

See Regional Agency Offices. ACF Children's Bureau Regional Child Welfare Program Managers.

**Headquarters Office:**

Gail Collins 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: gail.collins@acf.hhs.gov Phone: 202-205-8552

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E; 93.659 Adoption Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All State Agencies are considered if the number of adoptions exceed the baseline number of adoptions.

**93.604 ASSISTANCE FOR TORTURE VICTIMS**

Services for Survivors of Torture

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Torture Victims Relief Act of 1998, Public Law 105-320.

**OBJECTIVES:**

The Office of Refugee Resettlement (ORR) provides a comprehensive program of support for domestic centers and programs for survivors of torture. The Services for Survivors of Torture Program assists persons who have suffered torture in their home countries to regain their health and independence and build productive lives in the U.S.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Allowable activities include treatment of the physical and psychological effects of torture, social and legal services, and provision of research and training to health care providers to enable them to treat the physical and psychological effects of torture.

**Applicant Eligibility:**

Eligible applicants are public or private non-profit agencies.

**Beneficiary Eligibility:**

Individuals and families, regardless of immigration status, who have suffered torture.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Eligible applicants submit an application to the Administration for Children and Families in accordance with the requirements described in the notice of funding availability.

**Award Procedure:**

Applications are reviewed by a panel of independent experts in accordance with the evaluation criteria included in the notice of funding availability. Funding decisions are made by the Director of ORR based on the review.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded for a three-year project period with one-year budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program Performance Reports are required on a semi-annual basis. Final

Program Performance Reports summarizing the activities and accomplishments of the project over the entire project period are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. SF-425 Federal Financial Reports are required semi-annually. A final SF-425 Federal Financial Report is required 90 days after the end of the project period. Staff of the Office of Refugee Resettlement make site visits to grantees to review the financial and programmatic aspects of the project.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants and other agreements. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant recipients are required to keep all financial and program reports necessary for program review and audit for the project period and for 3 years after the end of the project period to insure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-609.

**Obligations:**

(Project Grants) FY 11 \$10,867,000; FY 12 est \$10,904,000; and FY 13 est \$10,903,000

**Range and Average of Financial Assistance:**

Grant awards range from about \$210,000 to over \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: An estimated 5,000 survivors of torture received treatment. Grants were awarded to 30 grantees. Fiscal Year 2012: It is expected that 4,000 - 5,000 survivors of torture will receive services from this program in FY 2012. It is expected that grants will be awarded to 30 grantees. Fiscal Year 2013: It is expected that 4,000 - 5,000 survivors of torture will receive services from this program in FY 2013. It is projected that grants will be awarded to 30 grantees.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Essey Workie Office of Refugee Resettlement  
370 L'Enfant Prom SW  
Eighth Floor West, Washington, District of Columbia 20447 Email:  
Essey.Workie@acf.hhs.gov Phone: 202-401-5364 Fax: 202-401-0981

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The criteria for selecting proposals are included in the notice of funds availability.

**93.605 FAMILY CONNECTION GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human

Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part B, subpart 1, Section 427.

**OBJECTIVES:**

To provide matching grants to State, local or tribal child welfare agencies and private nonprofit organizations that have experience in working with foster children or children in kinship care arrangements for the purpose of helping children who are in, or at risk of entering, foster care to reconnect with family members.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are provided for services or activities that are consistent with the purpose of section 102, Public Law 110-351, and may include the following: (1) a kinship navigator program to assist kinship caregivers in learning about, finding and using programs and services to meet the needs of the children they are raising and their own needs, and to promote effective partnerships among public and private agencies to ensure kinship caregiver families are served; (2) intensive family-finding efforts that utilize search technology to find biological family members for children in the child welfare system; (3) family group decision-making meetings for children in the child welfare system that enable families to make decisions and develop plans that nurture children and protect them from abuse and neglect; and (4) residential family treatment program that enable parent and their children to live in a safe environment for a period of not less than 6 months. 100% of funds are used for discretionary activities.

**Applicant Eligibility:**

State, local or tribal child welfare agencies and private nonprofit organizations that have experience in working with foster children or children in kinship care arrangements.

**Beneficiary Eligibility:**

Public or private nonprofit agencies or organizations or tribal child welfare agencies, working with foster children, children in kinship care arrangements or children at risk of entering foster care, that help the children reconnect with family members.

**Credentials/Documentation:**

Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by HHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is posted to [www.Grants.gov](http://www.Grants.gov). Eligible applicants submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of non-federal professionals with expertise in the field of child welfare, particularly foster and kinship care.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 6 months. The deadline for the receipt of applications is stated in the Program Announcement.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Projects are awarded with a provision for non-competitive renewal during the approved award period (one to three years).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: The required match must increase over the course of the grant period, such that grantees must contribute 25 percent of the program costs for the first and second year of the grant and 50 percent of the program costs for the third year of the three year grant. (Section 427(d) of the Social Security Act). No more than 50 percent of the non-federal share may be in kind, as required by Section 427(e) of the Act.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are available for 36-month project period with three 12-month budget periods. Renewal funding for multiple-year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grants must select and track performance indicators that measure the extent to which grant-funded activities and services enhance the safety, permanency and well-being of children and their families. PSC-272. Program progress reports are required semiannually with a final report at completion of the project.

Financial reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1512-0-1-609.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$15,000,000; FY 12 est \$15,000,000; and FY 13 est \$15,000,000 - Of the \$15,000,000 appropriated each year, the authorizing legislation requires 3% of the funds to be set aside for evaluation and allows an additional 2% of funds to be set aside for technical assistance, each fiscal year.

**Range and Average of Financial Assistance:**

Awards will range from a floor of \$400,000 to a ceiling of \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 7 new grants were awarded, and 24 grants were continued. Fiscal Year 2012: In FY 2012, it is anticipated that 7 grants will be continued and up to 23 new grants will be awarded. Fiscal Year 2013: It is estimated that 25 grants will be continued.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific program requirements are contained in the Funding Opportunity Announcement, the application instructions, and the HHS Grants Policy Statement. The HHS Grants Policy Statement can be found at: <http://www.hhs.gov/grantsnet/>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cathy Overbagh 1250 Maryland Avenue, S.W., 8th Floor, Washington, District of Columbia 20024 Email: [cathy.overbagh@acf.hhs.gov](mailto:cathy.overbagh@acf.hhs.gov) Phone: (202)205-7273

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare

Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.652 Adoption Opportunities; 93.669 Child Abuse and Neglect State Grants; 93.670 Child Abuse and Neglect Discretionary Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: A cluster of 24 grant projects funded in 2009 continued, with the project period ending 9/29/2012. A second cluster of grant projects was funded by the Children's Bureau: Family Connection Grants: Using Family Group Decision-making to Build Protective Factors for Children and Families. Seven discretionary grant projects were funded for a 36-month project period, with awards ranging up to \$550,000 per year. Projects will test the effectiveness of Family Group Decision-making (FGDM) as a family-centered service approach that helps prevent children and youth from entering or re-entering foster care, thereby reducing the time that these children and families are involved with the child welfare system. Fiscal Year 2012: The cluster of 7 grants funded in FY 2011, Family Connection Grants: Using Family Group Decision-making to Build Protective Factors for Children and Families, will continue. New 36-month awards are anticipated for approximately 7 grants from Child Welfare/TANF Collaboration in Kinship Navigation Programs, averaging \$750,000 per budget period; 5 grants for Combination Family-finding/Family Group Decision-making Projects, averaging \$500,000 per budget period; and 5 grants for Comprehensive Residential Family Treatment Projects, averaging \$600,000 per budget period. Fiscal Year 2013: No current data available.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the program announcement including, but not limited to: (1) organizational capacity to collaborate with other service providers; (2) relevance of proposed services and activities in enhancing the well-being of children in foster care, in kinship care arrangements, or at risk of foster care and in helping the children reconnect with family members; and (3) demonstrated ability to conduct a kinship navigator program; provide intensive family-finding efforts that utilize search technology; conduct family group-decision making efforts and provide residential family treatment programs.

**93.606 AFFORDABLE CARE ACT - PREPAREDNESS AND EMERGENCY RESPONSE LEARNING CENTERS**

Preparedness and Emergency Response Learning Centers (PERLC)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 319F(d), 42 U.S.C 247d-6(d); Patient Protection and Affordable Care Act, Title IV, Section 4002, Public Law 111-148.

**OBJECTIVES:**

The purpose of this program is to address legislative requirements, as stated in section 319F(d) of the Public Health Service (PHS) Act (42 USC 247d-6(d)), as part of a plan to improve the nation's public health and medical preparedness and response capabilities for emergencies, whether deliberate, accidental, or natural. Accredited schools of public health will collaborate, develop and deliver core competency-based training and education that respond to the public health preparedness and response needs of state, local and tribal public health authorities, and emphasize essential public health security capabilities. The intent of this program is to meet the preparedness and response training and educational needs of the U.S. public health workforce by providing assistance to U.S. states, localities and tribal public health authorities within defined service areas.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support public health approaches to public health preparedness and response described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable public health preparedness and response activities, and program

purposes, including personnel, travel, supplies, and services, such as contractual arrangements with educational partners or consultants. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use funding for construction or the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

Reimbursement of pre-award costs is not allowed. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

Eligible applicants for this project are accredited Schools of Public Health, as required by section 319F-2(d) of the Public Health Service Act. Only schools accredited by the Council on Education for Public Health are eligible.

**Beneficiary Eligibility:**

The general public, and federal state, local, and tribal public health preparedness programs that protect the public from all-hazards will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must provide documentation of current accreditation by the Council on Education for Public Health to confirm eligibility. Applicants must document how the proposed research would address stated objectives of the program, outline the research methods to be followed, and provide a budget justification for funds. OMB Circular A-21 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information on the submission of applications was obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms were used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-21 for educational institutions.

**Award Procedure:**

All applications that are complete and responsive to the FOA will undergo an objective review process in accordance with the review criteria stated in the FOA. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer. Unsuccessful applicants will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 5 years with 12 month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 5 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Notice of Award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Final financial status and performance reports are required 90 days after the end of a project period. No cash reports are required. Annual and semiannual progress reports are required. Financial status reports are required 90 days after the end of each budget period. Performance monitoring is maintained by oversight of Project Officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$5,000,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 2011 Actual: \$714,286 to \$714,286 Avg - \$714,286.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74 for higher education, hospitals, or other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Van A. King OPHPR  
N1600 Clifton Road  
MS D-29

, Atlanta , Georgia 30029-4018 Email: vbk5@cdc.gov Phone: 4046395276

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by OPHPR and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements. CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section VI. Application Review Information, subsection Evaluation Criteria within the individual funding opportunity announcement. Applicants will be notified if their application did not meet program requirements.

**93.607 AFFORDABLE CARE ACT - PREPAREDNESS AND EMERGENCY RESPONSE RESEARCH CENTERS: A PUBLIC HEALTH SYSTEMS APPROACH**

Preparedness and Emergency Response Research Centers (PERRC)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 319F(d)(7) , 42 U.S.C 247d-6(d)(7) ; Patient Protection and Affordable Care Act, Title IV, Section 4002, Public Law 111-148.

**OBJECTIVES:**

The overall goal of this program is to support research to improve federal, state, local, and tribal public health preparedness and response capabilities. Recipients use a multidisciplinary public health systems research approach to examine the structure, capabilities, and performance of public health systems preparing for and responding to any and all potential threats and hazards. Research addresses one of the four research priority recommendations identified in an Institute of Medicine (IOM) Letter Report to yield results that achieve near-term impact on public health preparedness and response systems.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used to support public health system research approaches to public health preparedness and response described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable public health preparedness and response research activities, and program purposes, including personnel, travel, supplies, and services, such as contractual arrangements with research partners or consultants. Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

Eligible applicants for this project are accredited Schools of Public Health, as required by section 319F-2(d) of the Public Health Service Act. Only schools accredited by the Council on Education for Public Health are eligible.

**Beneficiary Eligibility:**

The general public, and federal state, local, and tribal public health preparedness programs that protect the public from all-hazards will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must provide documentation of current accreditation by the Council on Education for Public Health to confirm eligibility. Applicants must document how the proposed research would address stated objectives of the program, outline the research methods to be followed, and provide a budget justification for funds. OMB Circular A-21 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information on the submission of applications was obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms were used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-21 for educational institutions.

**Award Procedure:**

Applications that were complete and responsive to the Funding Opportunity Announcement (FOA) were evaluated for scientific and technical merit by an appropriate external peer review group convened by OPHPR in accordance with the review criteria stated in the FOA.

Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewal will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 5 years with 12 month budget periods. Applications were obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 5 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Notice of Award. Method of awarding/releasing assistance: lump sum.

**Reports:**

Final financial status and performance reports are required 90 days after the end of a project period. No cash reports are required. Annual and semiannual progress reports are required. Financial status reports are required 90 days after the end of each budget period. Performance monitoring is maintained by oversight of Project Officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$5,000,000; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 2011 Actual: \$1,147,000 to \$1,509,000 FY 2011 Avg - \$1,250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74 for higher education, hospitals, or

other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Van A. King OPHPR  
1600 Clifton Road  
Mailstop D-29  
, Atlanta, Georgia 30333 Email: vbk5@cdc.gov Phone: 404-639-5276

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The following criteria were considered in making funding decisions:

Scientific merit of the proposed program project as determined by peer review

Availability of funds

Relevance of program priorities and the priorities of the U.S. Department of Health and Human Services

Preference for funding research program projects that address one or more federal, state, local, or tribal public health preparedness priority themes as determined by COTPER.

Preference for funding to achieve coverage of a range of priority themes for public health preparedness and emergency response systems research.

Preference for funding meritorious applications that leverage expertise from a broad range of disciplines to address a theme for public health preparedness and emergency response systems research.

Preference for funding to achieve a geographical or regional distribution of awarded programs.

Preference for funding to achieve a balance for addressing preparedness and emergency response research needs in both urban and rural communities.

**93.609 THE AFFORDABLE CARE ACT MEDICAID ADULT QUALITY GRANTS**

Measuring and Improving the Quality of Maternity Care in Medicaid

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

The Patient Protection and Affordable Care Act (Pub. L. 111-148) Section 2701 Adult Health Quality Measures.

**OBJECTIVES:**

To support State Medicaid agencies in testing, collecting, and reporting the Initial Core Set Measures to CMS. Additionally, the grant funding will also support States efforts to use this data for improving the quality of care for adults covered by Medicaid.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Each participating State Medicaid grantee will be required to implement a grant project with the following three aims:

1. Testing and evaluating methods for collection and reporting of the Initial Core Set Measures in varying delivery care settings (e.g. managed care, fee-for-service, long term care settings such as nursing homes and intermediate care facilities). States are encouraged to demonstrate alignment with existing methods and infrastructures for collection and reporting [e.g., Health Information Technology for Economic and Clinical Health (HITECH), Medicaid Management Information Systems (MMIS)];

2. Developing staff capacity to report the data, analyze, and use the data for

monitoring and improving access and the quality of care in Medicaid; and

3. Conducting at least two Medicaid quality improvement projects related to the Initial Core Set Measures. States are encouraged to consider alignment with CMS or other Federal quality improvement activities such as the National Quality Strategy, Strong Start Initiative, Partnership for Patients, Million Hearts Initiative, etc. States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

**Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the US Territories.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms must be used for this program. Applicants are encouraged to submit a non-binding Letter of Intent to Apply. Letters of Intent to Apply are not required and a states submission or failure to submit a letter has no bearing on the scoring of proposals received. Applicants should review the application and submission information in the funding opportunity announcement for specific instructions on applying for this grant program.

**Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Grantee can receive a second year of funding based on first year performance and progress towards meeting the grant project goals outlined in the application as well as in the terms and conditions.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants agreements are funded on a 12-month basis, with support for the second year and final year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. The maximum time period for funding is 24 months. See the following for information on how assistance is awarded/released: Successful applicants will receive a Notice of Award. Unsuccessful applicants will be notified by letter. Applicants should review the award administration information of the funding opportunity announcement issued under this CFDA program for more information.

**Reports:**

Reports due are: two Semi-annual progress reports; one Annual progress

report; performance measurement data submitted to CMS on at least 15 Initial Core Measures; and one Final report addressing the entire two year grant. Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements. Submit a quarterly electronic Federal Financial Report (FFR) via the Payment Management System. The quarterly report identifies cash transactions against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to - [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. The final FFR, including both cash transactions and expenditures, must be submitted and received within 90 days of the end of the project period. Applicants should review the individual funding opportunity announcement for information on programmatic reporting requirements. Grantees must include expenditures on the annual FFR (submitted at the end of the budget period). The final FFR must be submitted within 90 days after the end of the project period end date and include both cash transactions and expenditures data. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients are required to maintain grant accounting records 3 years after the date the grant is officially closed. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0511-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$56,000,000; and FY 13 est \$56,000,000 - Fiscal Year 2012:\$56,000,000  
Fiscal Year 2013:\$56,000,000  
Fiscal Year 2014: NA.

**Range and Average of Financial Assistance:**

Grant awards up to \$1 million for each 12-month budget period, with an estimated total of up to \$2 million per Grantee over the two-year project period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to the Funding Opportunity Announcement for more information.

**Regional or Local Office:**

None. Michelle Feagins  
Grants Management Officer  
Centers for Medicare and Medicaid Services  
Office of Acquisition and Grants Management  
200 Independence Ave., S.W.  
Room 733H-02  
Washington, DC 20201

Health Insurance Specialist, Mark D. Smith  
Centers for Medicare & Medicaid Services  
7500 Security Boulevard  
Baltimore, MD 21244-1850  
Phone: 410-786-8015  
E-mail: [Mark.Smith@cms.hhs.gov](mailto:Mark.Smith@cms.hhs.gov).

**Headquarters Office:**

Michelle T. Feagins 200 Independence Ave., SW  
Room 733H-02, Washington, District of Columbia 20201 Email:

[michelle.feagins@cms.hhs.gov](mailto:michelle.feagins@cms.hhs.gov) Phone: 301-492-4312

**Website Address:**

<http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Quality-of-Care.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the Funding Opportunity Announcement for more information.

**93.610 HEALTH CARE INNOVATION AWARDS (HCIA)**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 1115A of the Social Security Act (added by Section 3021 of the Affordable Care Act).

**OBJECTIVES:**

This Initiative will fund potential partners who propose compelling new models of service delivery/ payment improvements that hold the promise of delivering the Three-part Aim of better health, better healthcare, and lower costs through improved quality for Medicare, Medicaid, and Childrens Health Insurance Program (CHIP) beneficiaries. Successful models will include plans to rapidly develop and/or deploy the requisite workforce to support the proposed model. Awards will recognize interventions that show capability to improve care within the first 6 months of the award, while creating a sustainable pathway to net Medicare/Medicaid/CHIP savings within two to three years.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The funds shall be used to implement and evaluate the service delivery and payment models that support system transformation toward higher quality care at lower costs.

The Health Care Innovation Challenge will fund applicants who propose the most compelling new service delivery and payment models that will drive system transformation and deliver better outcomes for Medicare, Medicaid, and CHIP beneficiaries. This is not intended to be a prescriptive solicitation but rather an open invitation to applicants to obtain funding and support for those innovations they believe will most effectively achieve the three-part aim. The objectives of this initiative are to

Engage a broad set of innovation partners to identify and test new care delivery and payment models that originate in the field and that produce better care, better health, and reduced cost through improvement for identified target populations.

Identify new models of workforce development and deployment and related training and education that support new models either directly or through new infrastructure activities.

Support innovators who can rapidly deploy care improvement models (within six months of award) through new ventures or expansion of existing efforts to new populations of patients, in conjunction (where possible) with other public and private sector partners.

The funds shall be used to implement and evaluate models that support system transformation toward higher quality of care at lower costs. Award dollars cannot be used for specific components, devices, equipment, or personnel that are not integrated into the entire service delivery and payment model proposal. CMS will not fund proposals that replicate models that CMS is currently testing in other initiatives. Finally, given the breadth of models that could be submitted, CMS will not fund proposals that cannot monitor, evaluate, and report on the progress and impact of their program in a timely manner. The following standard requirements apply to applications and awards under this FOA:



Specific administrative requirements, as outlined in 2 CFR Part 225 and 45 CFR Part 92, apply to cooperative agreement awarded under this announcement.

All awardees under this project must comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:

- o Title VI of the Civil Rights Act of 1964,
- o Section 504 of the Rehabilitation Act of 1973,
- o The Age Discrimination Act of 1975,

- o Hill-Burton Community Service nondiscrimination provisions, and
- o Title II Subtitle A of the Americans with Disabilities Act of 1990,

All equipment, staff, other budgeted resources, and expenses must be used exclusively for the project identified in the awardees original cooperative agreement application or agreed upon subsequently with HHS, and may not be used for any prohibited uses.

**Prohibited Uses of Cooperative Agreement Funds**

To match any other Federal funds.

To provide services, equipment, or supports that are the legal responsibility of another party under Federal or State law (e.g., vocational rehabilitation or education services) or under any civil rights laws. Such legal responsibilities include, but are not limited to, modifications of a workplace or other reasonable accommodations that are a specific obligation of the employer or other party.

To supplant existing State, local, or private funding of infrastructure or services, such as staff salaries, etc.

To be used by local entities to satisfy State matching requirements.

To pay for the use of specific components, devices, equipment, or personnel that are not integrated into the entire service delivery and payment model proposal. The funds shall be used to implement and evaluate models that support system transformation toward higher quality of care at lower costs.

Award dollars cannot be used for specific components, devices, equipment, or personnel that are not integrated into the entire service delivery and payment model proposal. CMS will not fund proposals that replicate models that CMS is currently testing in other initiatives. Finally, given the breadth of models that could be submitted, CMS will not fund proposals that cannot monitor, evaluate, and report on the progress and impact of their program in a timely manner.

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To supplant existing State, local, or private funding of infrastructure or services, such as staff salaries, etc.

To be used by local entities to satisfy State matching requirements.

To pay for the use of specific components, devices, equipment, or personnel that are not integrated into the entire service delivery and payment model proposal.

**Applicant Eligibility:**

The intent of this initiative is to engage with a wide variety of innovators. Interested parties of all types who have developed innovations that will drive

significant improvement in three-part aim outcomes are welcome to apply. Examples of the types of organizations expected to apply are: provider groups, health systems, payers and other private sector organizations, faith-based organizations, local governments, and public-private partnerships. In addition, certain organizations (such as professional associations) could be eligible to apply as conveners assembling and coordinating the efforts of a group of participants. Conveners could serve as facilitators or could be direct award recipients. States are not eligible to apply under this funding opportunity. Legal Status To be eligible, an organization must be recognized as a single legal entity by the state where it is incorporated, and must have a unique Tax Identification Number (TIN) designated to receive payment. The organization must have a governing body capable of entering into a Cooperative Agreement with CMS on behalf of their members.

**Beneficiary Eligibility:**

The Health Care Innovation Challenge will fund applicants who propose the most compelling new service delivery and payment models that will drive system transformation and deliver better outcomes for Medicare, Medicaid, and CHIP beneficiaries. Proposals should be focused on innovative approaches to improving health and lowering costs for high risk/high opportunity populations, including Medicare, Medicaid, and CHIP beneficiaries.

**Credentials/Documentation:**

Applicants should review the solicitation criteria to determine the required documentation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. 1. Standard Forms

2. Cover Letter
3. Project Abstract & Profile

**Application Narrative**

The application is expected to address how the applicant will implement the cooperative agreement program, and ultimately, meet the objectives of this project. The required sections of the application are listed below. Also provided is a brief description of the type of information that is required to be addressed within each specific section. The application must be organized by these headings, noted as the operations element sections, outlined below.

**SECTION ONE: DESIGN**

1.1 Program Goals and Targeting: The application must list, describe, and justify the selected project goals. It must also define the targeted populations (which must include, but need not be limited to, Medicare, Medicaid, and/or CHIP beneficiaries), the number of participants, the services to be delivered, the proposed partners and the geographic area of the proposed project. A detailed discussion should be included that explains the rationale for why the goals, population, and geographic location of the program selected are important in the context of explaining the overall expected impact of the model and potential for scalability. It should also include an explanation of why this project is a strategic match for the applicants overall mission.

1.2 Comprehensive Description of the Model and Supporting Evidence Base: The application must describe the design of the proposed model. The description provided must describe the type, duration, and scope of the services.

The description must describe the theory of action for the model and address how the proposed program is evidence-based. It should also explain how the program will affect the targeted population and demonstrate whether and how the proposed program will impact the underserved, address health disparities, reduce the effect of multiple co-morbidities, and/or modify of risk factors.

Proposals are expected to describe how the proposed model will transform the existing health workforce and describe opportunities for training and education. The applicant should also identify the primary challenges to successful implementation of the project and explain how these anticipated risks will be mitigated.

1.3 Participant Recruitment and Enrollment: The application must include a description of the recruitment strategies that will be employed, including

strategies for identifying and targeting prospective participants. This must include a plan for identifying and managing the applicable population. There should be a discussion of ongoing strategies that promote continuous coverage and retention so that results of the initiative are not confounded due to people cycling through the program during the operational period.

1.4 Education and Outreach: The application must describe the plan for conducting the required outreach and education campaign to ensure potential participants and providers are aware of the program.

1.5 Community Integration: The application must identify and describe the applicants method for involving external stakeholders in the initial implementation of the program and its method for continuing to have them meaningfully involved throughout the program. The application must also describe how the proposed intervention will be integrated into and collaborate with the broader health care community.

## SECTION TWO: ORGANIZATIONAL CAPACITY

2.1 Organization and Administration: The application must describe the guiding principles of the organization and their past experience and track record of performance. It must also demonstrate an understanding of the needs of the community or population that the applicant seeks to target. The application must include a description of the governance, organizational and structural functions that will be in place to implement, monitor, and operate the initiative. The tasks to be conducted by each administrative component must also be described. The organization must demonstrate the financial strength and stability needed to operate the project and the commitment to sustain the project after the completion of the three-year cooperative agreement period. The applicant also demonstrates the organizational capacity across all proposed participants to reach the three-part aims.

2.2 Operational Plan: The applicant must provide a preliminary operational plan that includes a draft work plan showing how it plans to ramp up to operational start and demonstrates the capacity to improve care within six months of receiving funding. The plan should also include roles and responsibilities of key partners and major milestones and dates for successfully executing the operational plan. The applicant must provide an organizational chart that describes the entity that is responsible for the management of this cooperative agreement and must describe the relationship between that entity and all other organizations that will provide services and work with the participants under the project. In addition, the application should show that the organization has the resources and track record needed to operate the project and report on the progress it is making during the operation.

### 2.3 Organization Structure and Staffing:

Organizational Structure: Applicants must include an organizational chart for the entity that is responsible for the management of the cooperative agreement. Staffing: Applicants must provide a staffing plan for governance and leadership that describes and explains

The number, titles of staff, job descriptions, and expected time commitment of staff that will be dedicated to the project, including the roles and responsibilities for each position.

The percentage of time each individual/position is dedicated to the cooperative agreement.

How the proposed key staff members have relevant skills and leadership ability to successfully carry out the project.

Any positions providing In-Kind support to the cooperative agreement.

The number of contracted individuals supporting the cooperative agreement.

A rumof the proposed Project Director

## SECTION THREE: WORKFORCE ANALYSIS

### 3.1 Workforce Development and Deployment Plan:

The application must identify how the proposed model will address the need for a transformed workforce and demonstrate a plan to retool existing health professionals, identify and train new types of workers to enhance care delivery, and/or expand the use of team-based care. The application must include an explicit workforce plan that describes how the proposed workforce model will support the three-part aim. The applicant must provide information on how staff will be recruited, hired, trained, and deployed as well as the specific skills for which additional training may be required. To the extent that proposals address the initial education or training of health professionals, these efforts should be clearly spelled out in the workplan with a detailed timeline. The application should include workforce-related metrics which will be used to assess the impact of the model on the health workforce and to evaluate the

workforce needs associated with system delivery changes.

## SECTION FOUR: EVALUATION AND REPORTING

4.1 Reporting and Evaluation: The application must include a description of the applicants plan for collecting and producing the data and analysis of the program that will be provided to CMS and its evaluation and monitoring contractors. CMS believes that programs that actively self-evaluate will have the greatest opportunities for improvement in quality and reductions in overall healthcare costs. The application must include detailed information on the self-evaluation plan, including design for process assessment and outcome evaluation, variables, and data sources. Careful evaluation of the effect of the intervention on the quality of care received as well as health care outcomes and costs is expected. Programs are also expected to survey patients about their experience with care as well as provider reactions to the innovation, including its impact on professional satisfaction. Evaluation reports must be provided to CMS quarterly and they must include information on the use of cooperative agreement funding and an assessment of program implementation, lessons learned, patient experience, quality improvements, clinical outcomes, and estimates of cost savings. Note that the participants will also be required to fully cooperate with the monitoring and evaluation contractors in reporting data that they require for the project evaluations.

CMS plans to conduct rigorous evaluation of each of these projects through a separate evaluation contract. This work will entail establishing treatment and control or comparison groups and measuring the program effects on costs and outcomes. Applicants will be expected to facilitate evaluation contractor work in these areas by providing information and access to program records, participants, providers, and collaborators. Projects may be required to report information in standard format and measure and report outcomes in a standardized way, if requested by the evaluation contractor.

### v. Budget, Budget Narrative and Financial Plan

## SECTION FIVE: FUNDING AND SUSTAINABILITY

### 5.1 Budget Form SF 424A and Budget Narrative

#### Form SF 424A

All applicants must submit an SF 424A. Instructions for completing the SF 424A can be found on Grants.gov. For this cooperative agreement the application must include budgets for each year of the 3-year project period.

#### Budget Narrative

In addition, applicants must supplement Budget Form SF 424A with a Budget Narrative. The Budget Narrative must include a yearly breakdown of costs for the 3-year project period. Specifically, the Budget Narrative should provide a detailed cost breakdown for each line item outlined in the SF424A by year including a breakdown of costs for each activity/cost within the line item. The proportion of cooperative agreement funding designated for each activity should be clearly outlined and justify the organizations readiness to receive funding through 2015 including complete explanations and justifications for the proposed cooperative agreement activities. The budget must separate out funding that is administered directly by the awardee from any funding that will be subcontracted.

The following budget categories should be addressed (as applicable):

Personnel

Fringe benefits

Contractual costs, including subcontracts

Equipment

Supplies

Travel

Indirect charges, in compliance with appropriate OMB Circulars. If requesting indirect costs in the budget, a copy of the indirect cost rate is required.

Other costs, including those not otherwise associated with training and education.

The Budget Narrative should outline the strategies and activities of the program, and provide cost breakdowns for any subcontracts that will be implemented to achieve anticipated outcomes.

The Budget Narrative should also clearly distinguish the funding source of any given activity/cost, as either Federal or Non-Federal. Applicants should pinpoint those costs funded through in-kind contributions. Applicants must include detailed salary and fringe benefit costs for staff dedicated to the project

through an in-kind contribution, to include yearly salary costs and the percentage of time dedicated to the project (for any given year).

**Organizational Structure:** Applicants must also include with the Budget Narrative an organizational chart for the entity that is responsible for the management of the cooperative agreement. In addition, provide a Narrative Staffing Plan to include:

The number and titles of staff that will be dedicated to the cooperative Agreement program.

Percentage of time each individual/position is dedicated to the cooperative agreement.

Brief description of roles/responsibilities of each position.

How the proposed key staff members have relevant skills and leadership ability to successfully carry out the project.

Any positions providing In-Kind support to the cooperative agreement.

Percentage of time each position will provide to the cooperative agreement.

Number of contracted individuals supporting the cooperative agreement.

A resume of the proposed Project Director

**Note:** Rather than duplicating information in their application, applicants should refer to the information provided in response to the requirements specified in Section IV.2.B.iv (2.3) when writing this section.

## 5.2 Financial Plan and Model Sustainability

### Financial Plan

The Financial Plan as described in Section VIII, Appendices, Appendix 1 is provided so applicants can describe an annual summary of the costs of the project in relation to the expected program savings. Data from Form SF 424A and Financial Plan must match.

Applicants must provide a financial plan narrative and supporting schedules explaining the rationale behind all assumptions used to develop the Financial Plan. Some examples of supporting schedules with accompanying narratives include:

A narrative and supporting schedules explaining the specific mechanisms by which the program will reduce total cost of care (e.g., how cost increases in one category of spend will drive cost reductions elsewhere);

An account of personnel costs, including detailed salary and fringe benefit costs, as well as identification of the costs associated with the training aspects of the innovation;

A schedule describing proposed expansion population and patient characteristics that explain projections of total cost of care (e.g., demographics, risk factors, health disparities, etc.);

A schedule connecting the funding request to detailed expenditures to proposed impact; and

A detailed breakdown of sources of funding that will drive model sustainability after the end of this cooperative agreement.

### Model Sustainability

Each proposal should include a clear description of the expected positive impact on the three-part aim and describe a clear pathway to ongoing sustainability. Each proposal should describe the services being provided, the expected cost of the service provision, and where appropriate, an anticipated approach to reimbursement and/or other financial arrangements that support the business model beyond the 3-year period.

### Award Procedure:

The first round of cooperative agreements will be awarded in March 2012 and will include as much funding as the first round of applications warrant. The second round of cooperative agreements would be awarded in August 2012 and would include as much of the remaining funding (if any) as the second round of applications warrant.

Applications will be scored with a total of 100 points available. The following criteria will be used to evaluate applications received in response to this solicitation.

Design of Project (30 points)

Organizational Capacity and Management Plan (25 points)

Workforce Goals (15 points)

Budget, Budget Narrative, Financial Plan and Sustainability (20 points)

Evaluation and Reporting (10 points)

A team consisting of staff from HHS and other outside experts will review all applications. The review process will include the following:

Applications will be screened to determine eligibility for further review using the criteria detailed in this solicitation. Applications received late or that fail to meet the eligibility requirements as detailed in the solicitation or do not include the required forms will not be reviewed.

The review panel will assess each application to determine the merits of the proposal and the extent to which the proposed program furthers the purposes of the program. CMS reserves the right to request that applicants revise or otherwise modify their proposals and budget based on the recommendations of the panel.

The results of the objective review of the applications by qualified experts will be used to advise the approving HHS official. Final award decisions will be made by an HHS program official. In making these decisions, the HHS program official will take into consideration: recommendations of the review panel; the geographic diversity of awardees; reviews for programmatic and grants management compliance; the range of service delivery and payment models proposed; the reasonableness of the estimated cost to the government and anticipated results; and the likelihood that the proposed project will result in the benefits expected.

Successful applicants will receive one cooperative agreement award issued under this announcement.

CMS intends to fund projects in communities with a wide variety of geographic and socio-economic characteristics, including underserved urban and rural areas.

## 3. Anticipated Announcement and Award Dates

Opportunity Announcement: November 14, 2011

Letter of Intent to Apply Due: December 19, 2011, by 11:59 p.m. Eastern Time  
Electronic Cooperative Agreement Application Due Date: January 27, 2012 by 11:59 p.m. Eastern Time

Anticipated Notice of Cooperative Agreement Award: March 30, 2012

Cooperative Agreement Period of Performance: March 30, 2012 through March 29, 2015

Successful applicants will receive a Notice of Award (NoA) signed and dated by the CMS Grants Management Officer that will set forth the amount of the award and other pertinent information. The award will also include standard Terms and Conditions, and may also include additional specific cooperative agreement terms and conditions. Potential applicants should be aware that special requirements could apply to cooperative agreement awards based on the particular circumstances of the effort to be supported and/or deficiencies identified in the application by the review panel.

The NoA is the legal document issued to notify the awardee that an award has been made and that funds may be requested from the HHS payment system. The awardee award will be sent through the U.S. Postal Service to the awardee organization as listed on its SF 424. Any communication between CMS and awardees prior to issuance of the NoA is not an authorization to begin performance of a project.

Unsuccessful applicants will be notified by letter, sent through the U.S. Postal Service to the applicant organization as listed on its SF 424, no later than April 30, 2012.

### Deadlines:

Dec 19, 2011 to Jan 27, 2012 Letter of Intent to Apply Due (Required):

December 19, 2011

Proposals Due: January 27, 2012.

### Range of Approval/Disapproval Time:

Anticipated Award Date: Awards will be announced March 30, 2012.

### Appeals:

CMS reserves the right to approve or deny any or all proposals for funding. Note that section 3021 of the Affordable Care Act establishes title XI, section 1115A of the Social Security Act, which creates the Center for Medicare and Medicaid Innovations (CMMI). Section 1115A(d)(2) states that there is no administrative or judicial review of the selection of organizations, sites, or participants to test models.

### Renewals:

N/A.

### Formula and Matching Requirements:

This program has no statutory formula.

This program has no matching requirements. N/A.

This program does not have MOE requirements. No MOE Requirements.

**Length and Time Phasing of Assistance:**

The anticipated period of performance for the 3-year project period is March 30, 2012 through March 29, 2015. See the following for information on how assistance is awarded/released: Awards will be made through Cooperative Agreements.

**Reports:**

Awardees must agree to cooperate with any Federal evaluation of the program and provide all of the required quarterly, semi-annual (every six months), annual and final (at the end of the cooperative agreement period) reports in a form prescribed by CMS. Reports will be submitted electronically. These reports will outline how cooperative agreement funds were used, describe program progress, and describe any barriers and measurable outcomes. CMS will provide the format for program reporting and technical assistance necessary to complete required report forms. Awardees must also agree to respond to requests that are necessary for the evaluation of the national efforts and provide data on key elements of their own cooperative agreement activities. No cash reports are required. Awardees must agree to cooperate with any Federal evaluation of the program and provide all of the required quarterly, semi-annual (every six months), annual and final (at the end of the cooperative agreement period) reports in a form prescribed by CMS. Reports will be submitted electronically. These reports will outline how cooperative agreement funds were used, describe program progress, and describe any barriers and measurable outcomes. CMS will provide the format for program reporting and technical assistance necessary to complete required report forms. Awardees must also agree to respond to requests that are necessary for the evaluation of the national efforts and provide data on key elements of their own cooperative agreement activities. Each proposed model in this portfolio is expected to submit a Financial Plan and supplemental narrative and schedules that provide an explanation of how it expects to meaningfully reduce medical cost trend for their identified population. The Financial Plan requires awardees to provide the following:

Uses of Funds: Awardees should enter proposed use of funds in the Financial Plan template. These funds must match Form SF 424A. Applicants should provide yearly line-item projections on how awarded funds will be allocated. The total use of funds will sum to the requested award.

Savings:

o Data under Current Census should describe services currently provided to program participants. Applicants are requested to provide data on the number of participants in applicant programs, the current baseline Per Beneficiary Per Year (PBPY) Total Cost of Care for Participants touched by programs, and the proposed percent cost reduction the award funding will facilitate in those costs.

o Data under Proposed Expansion should describe the impact on the proposed expansion population that award funding will facilitate. Applicants are requested to provide data on the number of participants targeted, the baseline PBPY Total Cost of Care for participants in targeted expansion area, and the proposed percent cost reduction the award funding will facilitate.

Applicants are required to provide supplemental narrative and supporting schedules with detailed information on the specific intervention expected to reduce cost and the estimated reduction in expenditures by funding source resulting from said intervention by service type and by funding source, including estimates for the number of affected individuals. Applicants should provide backup documentation, e.g., research studies, evidence of reduced cost from existing intervention, et cetera, as available. Applicants are encouraged to provide clear, detailed reports to facilitate objective, data-driven reviews. CMS plans to collect data elements to be part of monitoring for all of the different models, and these monitoring and surveillance elements will feed into the evaluation. All awardees will be required to cooperate in providing the necessary data elements to CMS or a CMS contractor. Data for monitoring will include process, safety and performance measures. It will include, but will not be limited to, data on the background characteristics of the target population and target area, data characterizing the activities of the program, and a battery of follow-up data describing relevant characteristics of the target population or target area and metrics at selected intervals after commencement of the program model. Data for monitoring will be collected both from awardees and or CMS

claims data sources. The program monitoring aspect of this initiative will balance the examination of the extent to which awardees demonstrate fidelity to their proposed models of care and the potential need to make mid-course corrections that improve the models of care based on feedback from the monitoring and evaluation findings. Moreover, the evaluation will assess whether there is evidence of harm or unintended consequences as a result of the intervention.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees must agree to cooperate with any Federal evaluation of the program and provide all of the quarterly, semi-annual (every 6 months), annual and final (at the end of the cooperative agreement period) reports in a form prescribed by CMS. Reports will be submitted electronically. These reports will outline how cooperative agreement funds were used, describe program progress, and describe any barriers and measurable outcomes. CMS will provide the format for program reporting and technical assistance necessary to complete required report forms. Awardees must also agree to respond to requests that are necessary for the evaluation of the national efforts and provide data on key elements of their own cooperative agreement activities.

**Account Identification:**

75-0522-0-1-551.

**Obligations:**

(Salaries) FY 11 Not Available(Exp: The first year of obligations wi); FY 12 est \$400,000,000; and FY 13 Estimate Not Available - The first year of obligations will be in FY 2012.

**Range and Average of Financial Assistance:**

The Innovation Center is making up to \$1 Billion in funding available to support a diverse portfolio of new and innovative models for achieving better health, better health care, and lower costs through improved quality. Cooperative agreements will be awarded with consideration to: (1) available funding; (2) geographic diversity; and (3) the quality of each application and the ability to meet the goals of the project. Awardees may not receive the award amount requested and may be asked to revise the work plan and budget to reflect the award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dorothy Teeter, Center for Medicare & Medicaid Innovation 7205 Windsor Blvd., Woodlawn, Maryland 21224 Email: Dorothy.Teeter@cms.hhs.gov Phone: 410-786-7950

**Website Address:**

<http://innovations.cms.gov>

**RELATED PROGRAMS:**

93.536 The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project; 93.537 Affordable Care Act Medicaid Emergency Psychiatric Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See Award Procedures (093) Above.

### **93.611 STRONG START FOR MOTHERS AND NEWBORNS**

#### **FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

#### **AUTHORIZATION:**

The Patient Protection and Affordable Care Act, Public Law 111-148, Section 3021, Innovation Center Authority.

#### **OBJECTIVES:**

The Centers for Medicare and Medicaid Services (CMS), Center for Medicare and Medicaid Innovation (Innovation Center), is interested in testing new care and payment models that have the potential to improve perinatal outcomes for women enrolled in Medicaid who are at high-risk for adverse pregnancy outcomes.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Cooperative agreement awards made to successful applicants will be provided to augment and coordinate with pre-existing State-provided prenatal care services and benefits to test whether more comprehensive prenatal care services, as are to be enabled in these awards, lead to better birth outcomes for high risk women and infants, per inclusion in a rigorous evaluation study framework and program improvement initiative. States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments. This funding may not be duplicative of other Federal funding opportunities for information technology capacity building such as assistance provided through Medicaid, ARRA, HITECH, ONC or other CMS initiatives. The intent of this proposal is to complement, not supplant any of these or other Federal programs. States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments. This funding may not be duplicative of other Federal funding opportunities for information technology capacity building such as assistance provided through Medicaid, ARRA, HITECH, ONC or other CMS initiatives. The intent of this proposal is to complement, not supplant any of these or other Federal programs.

#### **Applicant Eligibility:**

The target applicants for this solicitation are providers (e.g., specific service providers, clinician groups and/or hospitals); States applying in partnership with providers; managed care organizations (MCOs) applying in partnership with providers; and conveners applying in partnership with providers. All applicants not directly providing prenatal care services (i.e. States, MCOs, and conveners) are expected to partner with providers of obstetrical care services and proposed enhanced prenatal care services. Included within the definition of State, for the purposes of this FOA are the District of Columbia and the 5 U.S. Territories: American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands. Faith-based organizations, Community-based organizations, and Tribal organizations are also eligible to apply.

States, managed care organizations, and conveners must include letters of agreement from their provider partners who will be carrying out the intervention as described in the proposal. Partnerships with public health organizations are encouraged, as are multi-state collaborations.

#### **Beneficiary Eligibility:**

Women enrolled in Medicaid and/or CHIP.

#### **Credentials/Documentation:**

Not Applicable. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The standard application form SF-424 and related forms must be used for this program. Applicants

should review the application and submission information in the Funding Opportunity Announcement (FOA) for specific instructions on applying for this cooperative agreement program.

#### **Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS' decision. Applicants approved for an award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Cooperative agreements include three years of service delivery and an additional year for data reporting requirements on births of intervention infants. The awardee must annually submit a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation. Upon notification of the award, awardees will receive initial funding for the first year or 12-months of their program, to be used for implementation of the proposed intervention. Non-competing continuation awards will be awarded for each additional year of the award, contingent upon availability of funding, awardee performance, and demonstrated progress toward the goal of reducing premature births.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Cooperative agreements are generally funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. See the following for information on how assistance is awarded/released: Successful applicants will receive a Notice of Award. Unsuccessful applicants will be notified by letter. Applicants should review the award administration information in the funding opportunity announcement issued under this CFDA program for more information. See the following for information on how assistance is awarded/released: Successful applicants will receive a Notice of Award. Unsuccessful applicants will be notified by letter. Applicants should review the award administration information in the funding opportunity announcement issued under this CFDA program for more information.

#### **Reports:**

Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements. Submit a quarterly electronic Federal Financial Report (FFR) via the Payment Management System. The quarterly report identifies cash transactions against the authorized funds for the cooperative agreement. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access cooperative agreement funds. Go to - [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. The final FFR, including both cash transactions and expenditures, must be submitted and received within 90 days of the end of the project period. Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements. Grantees must include expenditures on the annual FFR (submitted at the end of each budget period). The final FFR must be submitted within 90 days after the end of the project period end date and include both cash transactions and expenditures data. No performance monitoring is required. Submit a quarterly electronic Federal Financial Report (FFR) via the Payment Management System. The quarterly report identifies cash transactions against the authorized funds for the cooperative agreement. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access cooperative agreement funds. Go to -

www.dpm.psc.gov for additional information. The final FFR, including both cash transactions and expenditures, must be submitted and received within 90 days of the end of the project period. Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements. Grantees must include expenditures on the annual FFR (submitted at the end of each budget period). The final FFR must be submitted within 90 days after the end of the project period end date and include both cash transactions and expenditures data. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper accounting records, identifiable by project number including all receipts and expenditures must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0522-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 Not Available; FY 12 est \$0; and FY 13 est \$15,200,000 - FY 14 est \$11,400,000  
FY 15 est \$11,400,000  
FY 16 est \$3,400,000.

**Range and Average of Financial Assistance:**

Approximately \$41.4 million may be awarded over the four-year period of performance (overlapping FFY 2012 into FFY 2016) to implement the approved models. This includes a three year period for service delivery and up to an additional year for data collection and submission. The number of awards will depend upon the number of women applicants propose they can enroll in each of the three models. The Innovation Center intends to fund the cost of care for 30,000 women in each of the three approved models for a total of 90,000 women.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should refer to the funding opportunity announcement for applicable regulations, guidelines and literature.

**Regional or Local Office:**

See Regional Agency Offices. Michelle T. Feagins, Centers for Medicare and Medicaid Services, Office of Acquisition and Grants Management (OAGM), 200 Independence Ave, SW, Room 733H-02, Washington DC 20201.

**Headquarters Office:**

Michelle T. Feagins Centers for Medicare and Medicaid Services  
Office of Acquisition and Grants Management  
200 Independence Ave., SW  
Room 733H-02, Washington, District of Columbia 20201 Email:  
michelle.feagins@cms.hhs.gov Phone: 301-492-4312

**Website Address:**

<http://innovations.cms.gov/initiatives/Strong-Start/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant should refer to the funding opportunity announcement under this CFDA program for specific criteria requirements on proposal selection.

**93.612 NATIVE AMERICAN PROGRAMS**

Social and Economic Development Strategies (SEDS)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Older Americans Act Technical Amendments of 1993, Public Law 103-171; Indian Reorganization Act Amendments, Section 215, Public Law 100-581; Native American Programs Act of 1974 (NAPA), Title VIII, Section 803(a), Public Law 102-375, 42 U.S.C 2991b and b-3.

**OBJECTIVES:**

To promote economic and social self-sufficiency for American Indians, Alaska Natives, Native Hawaiians, and other Native American Pacific Islanders from American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands. The Social and Economic Development Strategies (SEDS) program provides funding for projects to support the health and well-being of Native Americans, including the interests of children and families and to help strengthen communities. The SEDS program supports the principle that social and economic development are inter-related and essential for the development of healthy, self-sufficient Native American communities. The SEDS program funds projects that promote the establishment and expansion of diversified local economies, the preservation of Native American cultures, and programs and services that safeguard the health and well-being of Native Americans.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funding may be used for such purposes as: (1) Governance projects to increase tribal and village governments ability to exercise local control and decision-making over their resources; (2) Economic Development projects, which promote the long term mobilization and management of economic resources necessary to achieve a diversified economy; (3) Strengthening Families projects which incorporate culturally relevant strategies to strengthen families, foster child well-being, and promote responsible fatherhood to nourish and sustain healthy families and (4) Social Development projects which invest in human and social capital to advance the needs of Native Americans while incorporating culturally appropriate activities to enhance tribal, Native community, and Alaska Native village goals. See 45 CFR 1336.33, "Eligible applicants and proposed activities which are ineligible."

**Applicant Eligibility:**

Public and private nonprofit agencies, including but not limited to, Federally-recognized Indian Tribes (as listed by the Bureau of Indian Affairs in an October 21, 1993 Federal Register notice); Incorporated Non-Federally recognized Indian Tribes; Alaska Native Villages as defined in the Alaska Native Claims Settlement Act (ANSCA) and/or nonprofit village consortia; Nonprofit Alaska Native Regional Associations with village specific projects; Nonprofit Native organizations in Alaska with village specific projects; Incorporated nonprofit multi-purpose community-based Indian organizations; Urban Indian Centers; Public and nonprofit private agencies serving Native Hawaiians; National or regional incorporated nonprofit Native American organizations with Native American community-specific objectives; Public and nonprofit private agencies serving native peoples from Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands; and Tribally Controlled Community Colleges, Tribally Controlled Post Secondary Vocational Institutions, and colleges and universities located in Hawaii, Guam, American Samoa, or the Commonwealth of the Northern Mariana Islands which serves Native American Pacific Islanders.

**Beneficiary Eligibility:**

American Indians, Alaska Natives, Native Hawaiians, and Native American Pacific Islanders will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. All applicants must submit a resolution demonstrating that the applicant's official governing body approves the application submission to ANA for the current grant competition period. In addition, if the applicant is a tribally authorized component or division, the application must also include a resolution demonstrating that the governing body of the Tribe approves the application submission to ANA for the current competition period. Applicants that do not include this documentation will be considered non-responsive and the application will not be considered for competition. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All applicants must submit a resolution demonstrating that the applicant's official governing body approves the application submission to ANA for the current grant competition period. In addition, if the applicant is a tribally authorized component or division, the application must also include a resolution demonstrating that the governing body of the Tribe approves the application submission to ANA for the current competition period. Applicants that do not include this documentation will be considered non-responsive and the application will not be considered for competition. Organizations, other than Tribes or Alaska Native villages, applying for funding must provide documentation that a majority of board members approving the project proposal are representative of the Native community to be served. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Information regarding the availability of grant funds will be posted on Grants.gov and the ACF Funding Opportunities websites as funding opportunity announcements. Funding opportunity announcements will provide details on program objectives for which applications are being solicited and other application requirements. Hard copy applications should be submitted to U. S. Department of Health and Human Services, Administration for Children and Families, Office of Grants Management, Mail Stop Aerospace Center 6th Floor-East, 370 L'Enfant Promenade, SW., Washington, DC 20447. Electronic submissions are submitted through Grants.gov.

**Award Procedure:**

All funds are awarded directly to the grantees.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Applicants will receive notice of approval/disapproval approximately 120 days after receipt of application.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

From 60 to 90 days. Continuation awards for multi-year projects will be made on an annual basis. Notification will be made within 90 days of submission for a continuation application.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. This program has no statutory formula for distribution of funds. A matching share of 20 percent of the total approved project cost is required unless waived in accordance with criteria which are also published in 45 CFR 1336.50. This program has maintenance of effort requirements; see funding agency for further details. Waiver requirements are contained in 45 CFR, Part 1336.50. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grantees may apply for competitive continuation support within a project period of 1 to 3 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

As indicated above Objective Progress Reports (OPR) are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). No cash reports are required. ANA progress reports are called Objective Progress Reports and OMB has approved this form. Objective Progress Reports (OPR) are required quarterly using the OPR form which follows closely the Project Objective Work Plan (OWP). Financial Status reports are required quarterly. By statute, one third of the grant portfolio must receive on-site impact evaluation. As indicated above - Financial Status reports are required quarterly. Based on the quarterly reports submitted by grantees, ANA program specialists will review and monitor the progress of all grantees. By statute one third of the grant portfolio must receive an on-site impact evaluation near the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Financial records, supporting documents and all other related records pertinent to ANA grants must be maintained for a period of 3 years. If an audit is not completed by the end of the 3-year period, or if audit findings have not been resolved, records shall be retained until resolution of the audit findings.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$22,451,281; FY 12 est \$22,022,000; and FY 13 est \$22,000,000

**Range and Average of Financial Assistance:**

\$25,000 to \$400,000

Average = \$250,000 per budget period.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 101 new and continuation SEDS grants received funding. Fiscal Year 2012: In FY 2012, it is estimated that 30 new and 67 continuation awards will be made for the SEDS program funding. Fiscal Year 2013: In FY2013, it is estimated that 30 new and 67 continuation awards will receive funding through the SEDS program.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

SEDS program regulations are published in 45 CFR 1336.

**Regional or Local Office:**

None.

**Headquarters Office:**

Carmelia A. Strickland Administration for Native Americans  
Administration for Children and Families  
Department of Health and Human Services  
370 L'Enfant Promenade  
Aerospace Building, 2nd Floor West, Washington, District of Columbia 20447  
Email: carmelia.strickland@acf.hhs.gov Phone: (877) 922-9262

**Website Address:**

<http://www.acf.hhs.gov/programs/ana>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Assisting Native youth in achieving their goals within the areas of high school graduation, college and/or vocational school placement, career opportunities, military, and/or leadership and volunteerism. Fiscal Year 2012: Creating an awareness of the health benefits of traditional Anishinaabe foods by producing a book and DVD that will contain healthy recipes and demonstrations on how to process, preserve and prepare healthy traditional Anishinaabe foods in an effort to combat obesity and reduce the poor health

conditions and non-communicable diseases caused by it. Fiscal Year 2013: We anticipate funding similar types of projects in fiscal year 2013.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific criteria for selecting proposals for funding are stated in each funding opportunity announcement. In general, proposals are judged on the basis of relevance to program objectives as stated in the funding opportunity announcement, project strategy, community support in project design and implementation, reasonable cost estimates, and qualifications of applicant organization and personnel.

**93.613 PRESIDENT'S COMMITTEE FOR PEOPLE WITH INTELLECTUAL DISABILITIES (PCPID)**

(PCPID)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order 13511 as Amended on October 1, 2009.

**OBJECTIVES:**

The Presidents Committee for People with Intellectual Disabilities (PCPID), provides advice to the President and to the Secretary of Health and Human Services through the Commissioner of the Administration on Intellectual and Developmental Disabilities (AIDD), concerning a broad range of topics relating to people with intellectual and developmental disabilities.

**TYPES OF ASSISTANCE:**

Information

**USES AND USE RESTRICTIONS:**

None.

**Applicant Eligibility:**

General public.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. None.

**Award Procedure:**

None.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

NOT APPLICABLE.

**Appeals:**

NOT APPLICABLE.

**Renewals:**

NOT APPLICABLE.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

NOT APPLICABLE. See the following for information on how assistance is awarded/released: NOT APPLICABLE.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

None.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Salaries) FY 11 \$442,336; FY 12 est \$92,139; and FY 13 est \$0 - FY 2012 - PCPID join AIDD (ADD) Midseason

3 Federal Staff on board: (1) GS 14; (1) GS 12; (1) GS 11.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Advisory Committee Act of 11972 as amended, Executive Order 13511 as amended on October 1, 2009, the HHS Charter as amended on May 11, 2011. "The New Freedom Initiative".

**Regional or Local Office:**

None.

**Headquarters Office:**

Sharon Lewis HHH Building 200 Independence Avenue S.W. - 4th Floor, Room 405D  
, Washington, District of Columbia 20201 Email: Sharon.Lewis@acf.hhs.gov  
Phone: 202-690-6590 Fax: 202-205-9519

**Website Address:**

<http://www.acf.hhs.gov/programs/pcpid>

**RELATED PROGRAMS:**

27.005 Federal Employment for Individuals With Disabilities

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.615 AFFORDABLE CARE ACT (ACA) MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING RESEARCH PROGRAMS**

Home Visiting Research Programs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, 511(h)(3), (42 U.S.C. 711(h)(3)), as amended by the Patient Protection and Affordable Care Act, 2951 (P.L. 111-148).

**OBJECTIVES:**

The Maternal, Infant, and Early Childhood Home Visiting Research Programs are designed to: increase knowledge about the implementation and effectiveness of home visiting programs. Research relating to maternal, infant, and early childhood home visiting services will be conducted to advancing knowledge about the implementation and effectiveness of home visiting programs designed to improve life outcomes among mothers, infants, young children, and families who reside in at risk communities. Research and evaluation activities include consultation with independent researchers, State officials, and developers and providers of home visiting programs on topics such as research design and administrative data matching. The MIECHV Research Programs include the MIECHV Research Program and the MIECHV Research Network.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants



**USES AND USE RESTRICTIONS:**

MIECHV Research (Project Grants): Assistance can potentially be used to conduct applied research relating to maternal, infant, and early childhood home visiting services which show promise of advancing knowledge about the implementation and effectiveness of home visiting programs designed to improve life outcomes among mothers, infants, young children, and families who reside in at risk communities. Research and evaluation activities include consultation with independent researchers, State officials, and developers and providers of home visiting programs on topics including research design and administrative data matching. Of the amounts paid to a State recipient, not more than 10 percent may be used for administering the award. Funds are to be used for research and evaluation activities.

MIECHV Research Network (Cooperative Agreement): Assistance can be used to:

Develop a national research agenda designed to improve the implementation and effectiveness of maternal, infant, and early childhood home visiting programs through: (a) research on the components of effective interventions, and (b) research targeted to improving the delivery of home visiting services; this national research agenda will also be used to actively guide the Networks implementation of research studies through both MCHB and external funding sources;

Advance the methods of studying the implementation and effectiveness of home visiting programs;

Develop approaches to data sharing that will expedite the translation of research results into knowledge, products, and procedures;

Disseminate critical information and foster continued education activities on its research findings to inform researchers, professionals, policy makers, other stakeholders in the home visiting field, and the public;

Provide a research environment that is supportive of the professional development of emerging researchers interested in home visiting through: fostering mentoring relationships between faculty members and emerging researchers; and encouraging active communication, networking, and collaboration among researchers. MIECHV Research: Of the amounts paid to a State recipient, not more than 10 percent may be used for administering the award.

**Applicant Eligibility:**

Only public or nonprofit institutions of higher learning and public or private nonprofit agencies engaged in research or in programs relating to maternal and child health and/or services for children with special health care needs may apply for grants, contracts or cooperative agreements for research in maternal and child health services or in services for children with special health care needs.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Funding decisions and award announcements are made prior to the project start date.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Approved projects are awarded a project period of up to three years pending satisfactory awardee performance, the availability of appropriated funds, and a decision that continued funding is in the best interest of the Federal Government. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Upon completion of the project, a comprehensive final report is required. A quarterly electronic Federal Financial Report (FFR) Cash Transaction Report is required via the Payment Management System. Annual non-competing progress reports are required for out-year continuation awards. Annual performance reports that include reporting on financial and expenditure data are required. Annual performance reports that include reporting on performance measures are required. A mid-project progress report is required for awardees of the MIECHV Home Visiting Program. A semi-annual performance report is required for the awardee of the MIECHV Research Network.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Financial Status Report (FSR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0321-0-1-551.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$900,000; and FY 13 est \$900,000

**Range and Average of Financial Assistance:**

Awards of up to \$300,000 total costs per year for up to 3 years.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please visit Grants.gov for complete guidelines. This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Robin Harwood, PhD, or Hae Young Park, MPH Program Officers, MCH Research Program Maternal and Child Health Bureau, HRSA  
5600 Fishers Lane, Room 18A-55  
Rockville, MD 20857  
Email: rharwood@hrsa.gov or hpark@hrsa.gov. Telephone: (301) 443-2207  
Fax: (301) 443-4842  
Administrative Contact: Mickey Reynolds, Grants Management Specialist  
UD5 Home Visiting Research Network Competition HRSA Division of Grants Management Operations, OFAM  
Parklawn Building, Room 11A-55  
5600 Fishers Lane, Rockville, MD 20857  
Telephone: (301) 443-0682.  
Sarah Morgan, Grants Management Specialist  
R62 Home Visiting Research Program, HRSA Division of Grants Management Operations, OFAM  
Parklawn Building, Room 11A-55  
5600 Fishers Lane, Rockville, MD 20857  
Telephone: (301) 443-4584.

**Headquarters Office:**

Robin Harwood Maternal and Child Health Bureau, HRSA  
5600 Fishers Lane, Room 18A-55,  
, Rockville, Maryland 20857 Email: rharwood@hrsa.gov Phone: 301-443-2207

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.505 Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All competitive applications will be reviewed internally by grants management officials (business and financial review) and program staff (technical review) for eligibility, completeness, accuracy, and compliance with the requirements outlined in the funding announcement. All qualified applications will be forwarded to an independent objective review committee for review and rating based on the program elements and review criteria presented in the funding opportunity announcement. Based on the advice of the independent objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**93.616 MENTORING CHILDREN OF PRISONERS**

(MCP) Mentoring Children of Prisoners

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Section 439 of the Social Security Act as amended by the Child and Family Services Improvement Act of 2006 (<http://www.acf.hhs.gov/programs/fysb/content/aboutfysb/documents>), Public Law 109-288.

**OBJECTIVES:**

To provide competitive grants to applicants in areas with significant numbers of children of prisoners to support the establishment and operation of programs using a network of public and private entities and to provide mentoring services for these children.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provide mentoring and support services to urban and/or suburban populations with substantial numbers of children with incarcerated parents.

**Applicant Eligibility:**

Those eligible to apply for funding under this grant competition include applicants in areas where there are substantial numbers of children of prisoners. Applicants must establish or expand and operate programs using a network of public and private entities to provide this mentoring. This includes any State or local government unit, Tribe and Tribal organization, private nonprofit, community and faith based groups.

**Beneficiary Eligibility:**

Children of prisoners ages 4 through 18 will benefit.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Public Law 107-133. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Consultation or assistance is available from the Family and Youth Services Bureau (FYSB), Administration for Children and Families, Department of Health and Human Services. The standard application forms furnished by DHHS and required by OMB Circular No. A-102 must be used for this program. (NOTE: State/territory participation in the intergovernmental review process does not signify applicant eligibility for financial assistance under a program. A potential applicant must meet the eligibility requirements of the program for which it is applying prior to submitting an application to its SPOC). Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applicants are reviewed by a panel of nonfederal experts which assigns scores according to published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes the recommendations to the ACYF Commissioner, who makes the final funding decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

The initial grant award is for a 12-month budget period. A non-competitive application is required for a 12-month continuation grant to be awarded in each of two subsequent years subject to the availability of funds, satisfactory progress on the part of the grantee, and a determination that continued funding would be in the best interest of the Federal Government.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Grantee must provide a nonfederal share or match of at least 25 percent of the total project budget in the first and second years of the project. In the third year, the grantee must provide a nonfederal share or match of at least 50 percent of the total project budget. The nonfederal share may be met by cash or in-kind contributions although applicants are encouraged to meet their Federal match requirements through cash contributions. There is no match requirement for the Mentoring Children of Prisoners Voucher Program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will be awarded for a period of 36 months with 12 month budget periods. Method of awarding/releasing assistance: quarterly.

**Reports:**

Applicants must submit quarterly performance reports, semi-annual financial reports, and agree to submit other required program and financial reports, as instructed by FYSB. Financial SF-425 reports are due semi-annually. Performance reports are due quarterly. Financial SF-425 reports are due semi-annually. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - The FY 11 budget makes no provision for the MCP program.

**Range and Average of Financial Assistance:**

Grants range from \$200,000 to \$1,500,000 depending on the scope of the project.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link.

**Regional or Local Office:**

See Regional Agency Offices. Acting Associate Commissioner, Family and Youth Services Bureau, Administration for Children and Families, Department of Health and Human Services, 1250 Maryland Avenue, S.W., Washington, DC 20447. Contact: Debbie Powell. Telephone: (202) 205-8102. FTS is not available.

**Headquarters Office:**

Curtis Porter 1250 Maryland Ave, SW , Washington, District of Columbia 20447 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: [http://www.acf.hhs.gov/grants\\_fysb.html](http://www.acf.hhs.gov/grants_fysb.html).

**93.617 VOTING ACCESS FOR INDIVIDUALS WITH DISABILITIES\_ GRANTS TO STATES**

(Election Assistance for Individuals with Disabilities (EAID))

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human

Services

**AUTHORIZATION:**

Help America Vote Act, Title II, Part 2, Section 261, Public Law 107-252.

**OBJECTIVES:**

Section 261 of HAVA provides that funds be made available to States to: (1) make polling places, including the path of travel, entrances, exits, and voting areas of each polling facility, accessible to individuals with the full-range of disabilities (e.g., visual impairments, including blindness; hearing impairments, including deafness; the full-range of mobility impairments, including gross and fine motor impairments, emotional impairments, and intellectual impairments); (2) provide the same opportunity for access and participation (including privacy and independence) to individuals with the full-range of disabilities; (3) provide training for election officials, poll workers, and election volunteers on how best to promote the access and participation of individuals with the full-range of disabilities in election for Federal office; and (4) provide individuals with the full-range of disabilities with information about the accessibility of polling places.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

To assist States to provide greater accessibility to individuals with full-range of disabilities as it relates for the four (4) areas of funding. Grant funds are only available for five years after the appropriation year, as required by 31 U.S.C. Section 1552.

**Applicant Eligibility:**

States (including the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, and the Virgin Islands).

**Beneficiary Eligibility:**

Individuals with full-range of disabilities.

**Credentials/Documentation:**

Applicant eligibility: Secretary of State/Chief Election Official of States including the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, and the U.S. Virgin Islands. Beneficiary Eligibility: States and Units of Local Government. Cost will be determined in accordance with 45 CFR Parts 74 and 92. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The reporting requirements information collection for the application and annual report are approved under OMB control number 0970-0327, expiration date 11/30/2010.

**Award Procedure:**

Funds will be awarded annually.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None. Awards are generally made for a 12-month project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. The statistical factor used to fund distribution is the population age 18 and over in each State. No State will receive less than \$100,000. There is no matching requirement. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual narrative report that describes how any funds authorized were used. Report due no later than December 31st of each year. No cash reports are required. Annual progress report. Expenditures are to be reported using a Financial Status Report Short Form (SF-269A). Submission of annual financial reports are due 90 days after the end of each 12-month period (October 1-September 30). Annual progress and financial status report are used as the primary monitoring tools.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements of 45 CFR Parts 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$12,129,692; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Not less than \$100,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 54 grants were awarded. No dollar amount was reported for Guam in FY2011. Fiscal Year 2012: In FY 2012, 0 grants will be awarded. Fiscal Year 2013: In FY 2013, is anticipated that 0 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Grant Administrative Requirements.

**Regional or Local Office:**

None. Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia Wright. Telephone: (202) 690-5557.

**Headquarters Office:**

Melvenia Wright Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, District of Columbia 20201 Email: mwright@acf.hhs.gov Phone: (202) 690-5557.

**Website Address:**

<http://www.acf.hhs.gov/programs.add>

**RELATED PROGRAMS:**

93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.618 VOTING ACCESS FOR INDIVIDUALS WITH**

**DISABILITIES-GRANTS FOR PROTECTION AND ADVOCACY SYSTEMS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Help America Vote Act, Title II, Part 5, Section 291, Public Law 107-252.

**OBJECTIVES:**

Section 291 of HAVA provides that funds be made available to Protection and Advocacy Systems to: (1) ensure full participation in the electoral process for individuals with disabilities; (2) provide education, training and assistance to individuals with disabilities that will promote their participation in the electoral process; (3) participate in advocacy and education efforts revolving around HAVA implementation efforts in their State or Territory; (4) training and education of election officials, poll workers, and election volunteers regarding the rights of the voters with disabilities and best practices in working with individuals with disabilities; (5) assist individuals with disabilities in filing complaints under the State-based administrative grievance procedure required by HAVA and represent individuals with disabilities in any hearing that may be held regarding the complaint; (6) provide assistance to States and other governmental entities regarding the physical accessibility of polling places; and (7) obtain training and technical assistance on voting issues, including education regarding accessible voting equipment and systems. Once educated, the information may be used to inform others of the availability of accessible voting equipment and its use.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

To assist Protection and Advocacy Systems to ensure full participation in the electoral process of individuals with a full-range of disabilities. Grant funds are only available for five years after the appropriation year, as required by 31 U.S.C. Section 1552.

**Applicant Eligibility:**

States and Territories who have a Protection and Advocacy System in place in accordance with the Developmental Disabilities Assistance and Bill of Rights Act of 2000.

**Beneficiary Eligibility:**

Individuals with full-range of disabilities.

**Credentials/Documentation:**

Cost will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The Protection and Advocacy Systems (P&As) for each territory and state must submit an application by the requested deadline as indicated in the Program Instruction. The application may be in the format of its choice addressing the seven areas in emphasis which the Help America Vote Act (HAVA) funds should be used. Funds requested by the P&As are used to provide education, training and assistance to individuals with disabilities that will promote their participation in the electoral process in seven different areas. The application is faxed, emailed and mailed to the Administration on Developmental Disabilities (ADD) for furthering review and processing. The application is reviewed thoroughly in accordance with the eligibility criteria as outlined in the program instruction and processed approved

by the program office.

**Award Procedure:**

Funds will be awarded annually.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

None. Awards are generally made for a 12-month project period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. The Protection and Advocacy System in each State including the District of Columbia or the Commonwealth of Puerto Rico shall receive less than \$70,000 and no Territory will receive less than \$35,000. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual narrative report that describes how any funds authorized are due no later than December 31st of each year. No cash reports are required. Annual program and annual financial status reports required. Expenditures are to be reported using a Financial Status Report Short Form (SF-269A) submission of annual financial reports are due 90 days after the end of each 12-month period (October 1 - September 30). Monitoring is performed through the review of annual program and financial status reports required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements of 45 CFR Parts 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$5,245,488; FY 12 est \$5,235,000; and FY 13 est \$0 - T&TA P&A set-aside FY 2010 \$368,000; FY 20011 \$368,000; and FY 2012 estimate \$0.

**Range and Average of Financial Assistance:**

The awards range from \$35,00 to \$323,000. The average award amount is approximately \$144,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FY 2011, 55 grants to were awarded to P&As and 2 grants for T&TA set-aside for a total of 5 year grant awards. Fiscal Year 2012: In FY2012, 55 grants were awarded. Fiscal Year 2013: In FY2013, TBD pending availability of funds.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Parts 74 and 92, Grant Administrative Requirements.

**Regional or Local Office:**

None. Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, DC 20201. Contact: Melvenia

Wright. Telephone: (202) 690-5557.

**Headquarters Office:**

Melvenia Wright, Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, District of Columbia 20201 Email: mwright@acf.hhs.gov Phone: (202) 690-5557.

**Website Address:**

<http://www.acf.hhs.gov/programs.add>

**RELATED PROGRAMS:**

93.617 Voting Access for Individuals with Disabilities\_Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.621 AFFORDABLE CARE ACT INITIATIVE TO REDUCE AVOIDABLE HOSPITALIZATIONS AMONG NURSING FACILITY RESIDENTS**

Nursing Facility Initiative

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Protection and Affordable Care Act, Public Law 111-148, section 3021.

**OBJECTIVES:**

Under this Initiative, the Centers for Medicare & Medicaid Services (CMS) will select eligible organizations to test a series of evidence-based clinical interventions. The goal of these interventions is to improve the health and health care among nursing facility residents and ultimately reduce avoidable inpatient hospital admissions. Successful applicants will implement such interventions that will have the following objectives:

- Reduce the frequency of avoidable hospital admissions and readmissions;
- Improve resident health outcomes;
- Improve the process of transitioning between inpatient hospitals and nursing facilities; and
- Reduce overall health care spending without restricting access to care or choice of providers.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Under the Cooperative Agreements, CMS would fund enhanced care & coordination providers to implement an intervention that meets the objectives of the Initiative. All interventions must include the following activities:

Hire staff who shall maintain a physical presence at nursing facilities and who shall partner with nursing facility staff to implement preventive services and improve recognition, assessment, and management of conditions such as pneumonia, congestive heart failure, chronic obstructive pulmonary disease and asthma, urinary tract infections, dehydration, skin ulcers, falls, and other common causes of avoidable hospitalizations;

Work in cooperation with existing providers, including residents primary care providers, nursing facility staff, and families to implement best practices and improve the overall quality of nursing facility care, focusing on quality improvement activities that most directly relate to avoidable hospitalizations;

Facilitate residents transitions to and from inpatient hospitals and nursing facilities, including facilitating timely and complete exchange of health information among providers and providing support for residents and nursing facility staff to support successful discharge to the community as appropriate;

Provide support for improved communication and coordination among hospital staff (including attending physicians), nursing facility staff, residents primary care providers and other specialists, and pharmacies; and

Coordinate and improve management and monitoring of prescription drugs to reduce risk of polypharmacy and adverse drug events for residents, including inappropriate prescribing of psychotropic drugs.

All interventions must also:

- Demonstrate a strong evidence base;
- Demonstrate strong potential for replication and sustainability in other communities and institutions;
- Supplement (rather than replace) existing care provided by nursing facility staff;
- Coordinate closely with State Medicaid and State survey and certification agencies and State public health and health reform efforts, including other CMS demonstrations and waivers; and
- Allow for participation by nursing facility residents without any need for residents or their families to change providers or enroll in a health plan. (Residents will be able to opt-out from participating, if they choose.)

The enhanced care & coordination providers will collaborate with State Medicaid and State survey and certification agencies and participating nursing facilities, with each enhanced care & coordination provider implementing its intervention in at least 15 Medicare- and Medicaid-certified nursing facilities in the same State. In addition to implementing the interventions and executing other activities outlined in the Initiative funding opportunity announcement, enhanced care & coordination providers will also participate in ongoing learning and diffusion activities and cooperate with operations support and evaluation efforts, including adapting models based on needed mid-course corrections. The following standard requirements apply to applications and awards under the Initiative funding opportunity announcement:

Specific administrative requirements, as outlined in 2 CFR Part 225 and 45 CFR Part 92 and OMB Circulars A-87, A-102, A-110, and A-133 apply to cooperative agreement awarded under this announcement.

All awardees under this project must comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:

- o Title VI of the Civil Rights Act of 1964,
- o Section 504 of the Rehabilitation Act of 1973,
- o The Age Discrimination Act of 1975,
- o Hill-Burton Community Service nondiscrimination provisions, and
- o Title II Subtitle A of the Americans with Disabilities Act of 1990.

All equipment, staff, other budgeted resources, and expenses must be used exclusively for the project identified in the awardees original cooperative agreement application or agreed upon subsequently with HHS, and may not be used for any prohibited uses.

**Prohibited Uses of Cooperative Agreement Funds**

To match any other Federal funds.

To provide services, equipment, or supports that are the legal responsibility of another party under Federal or State law (e.g., vocational rehabilitation or education services) or under any civil rights laws. Such legal responsibilities include, but are not limited to, modifications of a workplace or other reasonable accommodations that are a specific obligation of the employer or other party.

To supplant existing State, local, or private funding of infrastructure or services, such as staff salaries, etc.

To be used by local entities to satisfy State matching requirements.

To pay for the use of specific components, devices, equipment, or personnel that are not integrated into the application.

To pay for construction or alteration and renovation of real property (A&R).

To pay for information technology (IT) equipment exceeding 10 percent of the total award. Any equipment, which includes IT, over \$5,000 must be approved by CMS.

To pay States for the use of any of their data made available for this Initiative.

#### **Applicant Eligibility:**

Applicants eligible to be enhanced care & coordination providers may include, but are not limited to:

- Organizations that provide care coordination, case management, or related services;
- Medical care providers, such as physician practices;
- Health plans (although this initiative will not be capitated managed care);
- Public or not-for-profit organizations, such as Aging and Disability Resource Centers, Area Agencies on Aging, Behavioral Health Organizations, Centers for Independent Living, universities, or others;
- Integrated delivery networks, if they will extend their networks to include unaffiliated nursing facilities.

Nursing facilities, entities controlled by nursing facilities, or entities for which the primary line of business is the delivery of nursing facility/skilled nursing facility services are excluded from serving as enhanced care & coordination providers under this cooperative agreement.

**Legal Status:** To be eligible, an organization must be recognized as a single legal entity by the State where it is incorporated, and must have a unique Tax Identification Number (TIN) designated to receive payment. The organization must have a governing body capable of entering into a cooperative agreement with CMS on behalf of its members.

#### **Beneficiary Eligibility:**

The primary target population for the clinical interventions is fee-for-service Medicare-Medicaid enrollees in nursing facilities, but fee-for-service long-stay residents who are not yet Medicare-Medicaid enrollees will also benefit (i.e., Medicare beneficiaries not yet eligible for Medicaid, or Medicaid beneficiaries not yet eligible for Medicare but who represent similar opportunities for inpatient reductions).

#### **Credentials/Documentation:**

All applications shall attach letter(s) of support from the State Medicaid director and State survey and certification director from each State in which the applicant is proposing to implement the intervention. They shall also describe Medicare- and Medicaid-certified nursing facilities that have agreed to participate in this initiative and attach letters of intent (LOIs) from partnering nursing facilities. All applications must include LOIs from a minimum of 15 Medicare- and Medicaid-certified nursing facilities in the same State with an average census of 100 residents or more per facility. CMS will only review applications that include these letters of support from the State and LOIs from nursing facilities. All applications shall also include other required forms: standard forms, Tables 1-3 (in the funding opportunity announcement) outlining characteristics of nursing facility partners, and Monthly Financial Plan (which includes Tables 4-7 in the funding opportunity announcement).

In addition to this documentation, the application is expected to address how the applicant will implement the cooperative agreement program, including how it will meet the clinical intervention requirements, and ultimately, meet the objectives of this Initiative. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Not Applicable

#### **Award Procedure:**

The review process will include the following:

Applications will be screened to determine eligibility for further review using the criteria detailed in this solicitation. Applications received late or that fail to meet the eligibility requirements as detailed in the solicitation or do not include the required forms will not be reviewed.

Applications must include the required letters of support from State Medicaid and State survey and certification directors and at least 15 letters of intent from nursing facilities in the same State with an average census of 100 residents per facility. If an application includes these required letters and includes all other required forms (standard forms, Tables 1-3 (in the funding opportunity announcement) outlining characteristics of nursing facility partners, and Monthly Financial Plan (in the funding opportunity announcement), the proposal will be reviewed in the technical review process outlined below. If not, the applicants submission will not receive further consideration and will not be eligible for award.

A team consisting of staff from HHS and other outside experts will review the applications. The review panel will assess each application to determine the merits of the proposal and the extent to which the proposed program furthers the purposes of the program. CMS reserves the option to request that applicants revise or otherwise modify their proposals and budget based on the recommendations of the panel. Applications will be scored with a total of 100 points available. The following criteria will be used to evaluate applications

received in response to this solicitation. More information about each criteria domain can be found in the Initiative funding opportunity announcement.

Proposed Approach (45 points)

Organizational Capacity and Management Plan (25 points)

Budget, Budget Narrative, and Monthly Financial Plan (15 points)

Evaluation and Reporting (15 points)

The results of the objective review of the applications by qualified experts will be used to advise the approving HHS official. Final award decisions will be made by an HHS program official. In making these decisions, the HHS program official will take into consideration: recommendations of the review panel; diversity in the clinical models; diversity in enhanced care & coordination providers; strength of partnerships with nursing facilities and States; number of nursing facility partners and size of target population; the geographic diversity of locations; feasibility of evaluating the proposed interventions; the reasonableness of the estimated cost to the government and anticipated results; likelihood that the proposed project will result in the benefits expected; and availability of funding.

Successful applicants will receive one cooperative agreement award issued under this announcement.

**Deadlines:**

Aug 25, 2012 to Aug 24, 2016 Potential applicants must submit a non-binding Notice of Intent to Apply by April 30, 2012, 3:00 p.m. Eastern Standard Time in order to be eligible for a funding award. Applications must be submitted by June 14, 2012, 3:00 p.m. Eastern Standard Time.

**Range of Approval/Disapproval Time:**

Anticipated notice of cooperative agreement award is August 24, 2012.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. No. This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period of performance is 48-months and is expected to last from August 2012 to August 2016. No restriction is placed on the time permitted to spend the money awarded. See the following for information on how assistance is awarded/released: Awards will be made through cooperative agreements.

**Reports:**

Enhanced care & coordination providers will be funded based on their ability to execute their proposed work plan. The components of the work plan include, but are not limited to:

Meeting proposed milestones and deliverables as outlined in the work plan and communications plan;

Satisfying all Enhanced Care & Coordination Provider Activities, including a) submitting quarterly progress reports as scheduled and providing complete and accurate information for all required data fields in those reports and b) submitting timely, complete, and accurate semi-annual funding reports that show efficient use of cooperative agreement funds;

Participating in ongoing learning and diffusion activities, including those offered through the CMS Learning Community; and

Cooperating with operations support and evaluation efforts, including adapting models based on needed midcourse corrections.

CMS will regularly monitor operations. Awardees will be required to cooperate in providing the necessary data elements to CMS. CMS will contract with independent entities to assist in monitoring the programs and to conduct an independent evaluation. The enhanced care & coordination provider must submit a semi-annual electronic SF 425 via the Payment Management System. The report identifies cash expenditures against the authorized funds for the cooperative agreement. Failure to submit the report may result in the inability to access funds. Enhanced care & coordination providers will be measured and funded based on their ability to execute their proposed work plan. The components of the work plan include, but are not limited to:

Meeting proposed milestones and deliverables as outlined in the work plan and communications plan;

Satisfying all Enhanced Care & Coordination Provider Activities, including a) submitting quarterly progress reports as scheduled and providing complete and accurate information for all required data fields in those reports and b) submitting timely, complete, and accurate semi-annual funding reports that show efficient use of cooperative agreement funds;

Participating in ongoing learning and diffusion activities, including those offered through the CMS Learning Community; and

Cooperating with operations support and evaluation efforts, including adapting models based on needed midcourse corrections.

CMS will regularly monitor operations. Awardees will be required to cooperate in providing the necessary data elements to CMS. CMS will contract with independent entities to assist in monitoring the programs and to conduct an independent evaluation. The enhanced care & coordination provider shall detail how cooperative agreement funds were used for each six-month period. This information shall be provided to CMS using the SF 424A form and the Monthly Financial Plan template (Appendix D of the funding opportunity announcement). CMS will use this information, in addition to quarterly progress reports, to monitor operations. Within 30 calendar days of the end of each six-month period, the enhanced care & coordination provider shall provide the completed SF 424A and relevant table from the Monthly Financial Plan. Enhanced care & coordination providers will be measured and funded based on their ability to execute their proposed work plan. The components of the work plan include, but are not limited to:

Meeting proposed milestones and deliverables as outlined in the work plan and communications plan;

Satisfying all Enhanced Care & Coordination Provider Activities, including a) submitting quarterly progress reports as scheduled and providing complete and accurate information for all required data fields in those reports and b) submitting timely, complete, and accurate semi-annual funding reports that show efficient use of cooperative agreement funds;

Participating in ongoing learning and diffusion activities, including those offered through the CMS Learning Community; and

Cooperating with operations support and evaluation efforts, including adapting models based on needed midcourse corrections.

CMS will regularly monitor operations. Awardees will be required to cooperate in providing the necessary data elements to CMS. CMS will contract with independent entities to assist in monitoring the programs and to conduct an independent evaluation.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Enhanced care & coordination providers must track data required for quarterly progress reports and semi-annual funding reports.

**Account Identification:**

75-0522-0-1-551.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 est \$29,700,000; and FY 13 est \$32,670,000 - Not Applicable.

**Range and Average of Financial Assistance:**

The Medicare-Medicaid Coordination Office expects to make awards ranging from \$5 million to \$30 million each to cover a four-year period of performance, and CMS reserves the right to award less or more depending on the scope and nature of the individual proposals received. Awardees may not receive the total award amount requested and may be asked to revise the work plan and budget to reflect the funding that CMS will award.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The background provided in the funding opportunity announcement describes relevant literature. A list of references is also included.

**Regional or Local Office:**

None. Not Applicable.

**Headquarters Office:**

Melissa Seeley 7500 Security Blvd, Baltimore, Maryland 21214 Email: Melissa.Seeley@cms.hhs.gov Phone: 212-616-2329

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See Award Procedures (093).

**93.622 AFFORDABLE CARE ACT: COORDINATING CENTER FOR INTERPROFESSIONAL EDUCATION AND COLLABORATIVE PRACTICE**

Affordable Care Act: Coordinating Center for Interprofessional Education and Collaborative Practice (CC-IPECP)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 747(a), as amended by Section 5301 of the Patient Protection and Affordable Care Act, P.L. 111-148 and Title VIII, Section 831, as amended by Section 5309 of the Patient Protection and Affordable Care Act, P.L. 111-148.

**OBJECTIVES:**

The purpose of the coordinating center for interprofessional education and collaborative practice (CC-IPECP) is to provide an infrastructure for leadership, expertise, and support to enhance the coordination and capacity building of IPECP among health professions across the U.S. and particularly in medically underserved areas. Through innovative program coordination, scholarly activities, and analytic data collection efforts, the coordinating center will raise the visibility of high-quality, coordinated, team-based care that is well-informed by interprofessional education and best practice models. The CC-IPECP will be a focal point in a growing national effort to foster IPECP among health professions.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Personnel costs, consultant costs, fringe benefits, travel, equipment, supplies, contractual, data collection activities, indirect costs and other expenses. Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, satisfactory progress in meeting the projects objectives, and a determination that continued funding would be in the best interest of the Federal Government. Funds under this announcement may not be used for the following purposes:

Student support including tuition, stipends, scholarships, bonuses, student salaries and travel;

Subsidies or paid release time for project trainees/participants;

Payment of temporary personnel replacement costs for the time trainees/participants are away from usual worksite during involvement in project activities; and

Accreditation, credentialing, licensing, continuing education, and franchise fees and expenses; preadmission costs, student books and fees; promotional items and memorabilia; food and drinks; and animals laboratories.

**Applicant Eligibility:**

Please refer to the funding opportunity announcement for additional information on use of assistance.

**Beneficiary Eligibility:**

Please refer to the funding opportunity announcement for additional information on use of beneficiary eligibility.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. The due date for applications under this CFDA program will be posted in the body of the funding opportunity announcement that is issued under this CFDA. Applications completed online are considered formally submitted when the application has been successfully transmitted electronically by your organizations Authorized Organization Representative (AOR) through Grants.gov and has been validated by Grants.gov on or before the deadline date and time.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25.%.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

This announcement is inviting applications for project periods of five years.

Awards, on a competitive basis, will be for a one-year budget period.

Submission and HRSA approval of your Progress Report(s) and any other required submission or reports is the basis for the budget period renewal and release of subsequent year funds. Funding beyond the one-year budget period but within the five-year project period is subject to availability of funds, satisfactory progress of the awardee, and a determination that continued funding would be in the best interest of the Federal Government. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for details for each required report). The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System. The report identifies cash expenditures against the authorized funds for the grant or cooperative agreement. The FFR Cash Transaction Reports must be filed within 30 days of the end of each calendar quarter. Failure to



submit the report may result in the inability to access award funds. Go to [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. The awardee must submit a progress report to HRSA on an annual basis. For multi-year awards: Submission and HRSA approval of your Progress Report(s) triggers the budget period renewal and release of subsequent year funds. The BHP Progress Report has two parts. The first part demonstrates awardee progress on program-specific goals. The second part collects core performance measurement data including performance measurement data to measure the progress and impact of the project. Further information will be provided in the award notice. Federal Financial Report. The Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. The report is an accounting of expenditures under the project that year. Financial reports must be submitted electronically through EHB. More specific information will be included in the Notice of Award. Yearly performance reports will be required by the awardee. Funding beyond the first year is dependent on the availability of appropriated funds for CC-IPECP in subsequent fiscal years, awardee satisfactory performance, and a determination that continued funding is in the best interest of the federal government.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0353-0-3-553.

**Obligations:**

(Cooperative Agreements) FY 11 Not Separately Identifiable; FY 12 est \$800,000; and FY 13 est \$800,000

**Range and Average of Financial Assistance:**

This program will provide funding for federal fiscal years 20122017. Approximately \$800,000 is expected to be available annually to fund one (1) awardee. Applicants may apply for a ceiling amount of up to \$800,000 per year. The project period is five (5) years. Funding beyond the first year is dependent on the availability of appropriated funds for CC-IPECP in subsequent fiscal years, awardee satisfactory performance, and a determination that continued funding is in the best interest of the federal government.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of the Public Health Service Act, Title VII, Section 747, and 747(a)(b), as amended by Section 5301 of the Patient Protection and Affordable Care Act, P.L. 111-148 and Title VIII, Section 831 and 831A, as amended by Section 5309 of the Patient Protection and Affordable Care Act, P.L. 111-148.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Shanita Williams, PhD, MPH, APRN 5600 Fishers Lane Room 9-61, Rockville, Maryland 20857 Email: [swilliams3@hrsa.gov](mailto:swilliams3@hrsa.gov) Phone: 301-443-1253

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Review criteria: Procedures for assessing the technical merit of grant applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Review criteria are outlined in the funding opportunity announcement with specific detail and scoring points. Review Criteria are used to evaluate and rank applications.

**93.623 BASIC CENTER GRANT**

(BCP) Basic Center Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Reconnecting Homeless Youth Act, Public Law 110-378 A.

**OBJECTIVES:**

The purpose of Part A of the RHY Act (Runaway and Homeless Youth Grant Program) is to establish or strengthen locally controlled community-based programs that address the immediate needs of runaway and homeless youth and their families. Services must be delivered outside of the law enforcement, child welfare, mental health and juvenile justice systems. The goals and objectives of the Basic Center Program are to: 1) Alleviate problems of runaway and homeless youth; 2) reunite youth with their families and encourage the resolution of intra-family problems through counseling and other services; 3) strengthen family relationships and encourage stable living conditions for youth; and 4) help youth decide upon constructive courses of action.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Each Basic Center program is required to provide outreach to runaway and homeless youth; temporary shelter for up to twenty one (21) days; food; clothing; individual, group and family counseling; aftercare and referrals, as appropriate. Basic Center programs are required to provide their services in residential settings for at no more than twenty (20) youth unless a state or local law or regulation requires a higher maximum to comply with licensure requirements for facilities serving child and youth. Some programs also provide part or all of their shelter services through host homes (usually private homes under contract to the centers), with counseling and referrals being provided from a central location. Basic Center programs offer shelter to youth who are less than 18 years of age and who are at risk of separation from their family.

**Applicant Eligibility:**

States, localities, private entities, and coordinated networks of such entities are eligible to apply for a Basic Center Program grant unless they are part of the law enforcement structure or the juvenile justice system. Federally recognized Indian organizations are also eligible to apply for grants as private, non-profit agencies.

**Beneficiary Eligibility:**

Runaway and homeless youth and their families are the beneficiaries. Services can be provided to youth up to the age of 18.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal Assistance, Standard Form 424 must be submitted. Specific instructions are published via the Internet under the Form section at the following website address: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

All applications are reviewed by a panel of nonfederal experts which assigns scores according to the published criteria. The panel's scores are factored into the recommendations for funding. Scores and recommendations are reviewed by the Associate Commissioner of the Family and Youth Services Bureau, who makes recommendations to the ACYF Commissioner, who makes the final funding decisions.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Awards are generally made for 3-year project periods; funding for the second and third year is dependent upon satisfactory performance and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 10%. Federal share of grant is up to 90 percent. The nonfederal share may be in cash or in-kind contributions. The statute contains a formula for allocation of funds by State. It is based on the population of each State under age 18 as a proportion of the current national population under age 18.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded competitively for project periods of up to 3 years. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program performance reports are due semi-annually. A final report is due 90 days after conclusion of project period. SF-425 Financial reports are due semi-annually. A final report is due 90 days after conclusion of project period. Program performance reports are due semi-annually. A final report is due 90 days after conclusion of project period. SF-425 reports are submitted semi-annually. These are performed semi-annually as Program Performance Reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained 3 years after termination of the project or until audit is completed, whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$53,636,512; FY 12 est \$53,536,000; and FY 13 est \$53,637,000

**Range and Average of Financial Assistance:**

\$100,000 to \$200,000 per budget period. Average 141,700.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 341 grants funded in FY 2011 and \$3,043,000 in contracts. Fiscal Year 2012: It is projected that 340 grants will be funded in FY 2012 and \$2,343,000 in contracts. Fiscal Year 2013: It is projected that 340 grants will be funded in FY 2013 and \$2,486,000 in contracts.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Contact Headquarters Office listed below for available literature. You may also get information on the Family and Youth Services Bureau website at the following address <http://www.acf.hhs.gov/programs/fysb> under the "Policy and Legislative Documents" link. Information is also available through the National Clearinghouse on Families and Youth, P.O. Box 13505, Silver Spring, MD 20911-3505. Telephone: (301) 608-8098. Fax: (301) 608-8721. The National Clearinghouse on Families and Youth website address is [www.ncfy.com](http://www.ncfy.com).

**Regional or Local Office:**

See Regional Agency Offices. Contact: Administration for Children and Families, Regional Offices, Family and Youth Services Bureau, Division of Adolescent Development and Support (See Appendix IV of this Catalog for the addresses of the Regional Offices.).

**Headquarters Office:**

Curtis O. Porter 1250 Maryland Avenue, S.W., 8th Fl., Washington, District of Columbia 20024 Email: [curtis.porter@acf.hhs.gov](mailto:curtis.porter@acf.hhs.gov) Phone: 202.205.8306

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made on the basis of the degree to which: (1) The likelihood that the proposal will provide necessary services including shelter, counseling, and aftercare to runaway and other homeless youth and their families; (2) reasonableness of cost of these services; and (3) qualifications of staff. Applications will be evaluated based upon the criteria published in the Funding Opportunity Announcement located on the following website address: <http://www.acf.hhs.gov/grants>.

**93.624 ACA - STATE INNOVATION MODELS: FUNDING FOR MODEL DESIGN AND MODEL TESTING ASSISTANCE**

State Innovation Models (SIM)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 1115A of the Social Security Act (Added by Section 3021 of the Affordable Care Act).

**OBJECTIVES:**

The Center for Medicare and Medicaid Innovation (Innovation Center) announces the State Innovation Models (SIM) initiative. The purpose of the State Innovation Models (SIM) initiative is to test whether new payment and service delivery models will produce greater results when implemented in the context of a state-sponsored State Health Care Innovation Plan. These Plans must improve health, improve health care and lower costs for a states citizens through a sustainable model of multi-payer payment and delivery reform, and must be dedicated to delivering the right care at the right time in the right setting. The Innovation Center has created the SIM initiative for states that are

prepared for or committed to planning, designing, testing, and supporting evaluation of new payment and service delivery models in the context of larger health system transformation.

This initiative is based on the premise that Governor-supported multi-payer models that have broad stakeholder input and engagement will achieve sustainable delivery system transformation that significantly improves health system performance. Because of the unique powers of state governments, Governors and their executive agencies working together with and key public and private stakeholders and the Centers for Medicare & Medicaid Services (CMS) can accelerate community-based health system improvements, with greater sustainability and effect, to produce better results for Medicare, Medicaid, and CHIP beneficiaries.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

This FOA provides two different funding opportunities; states can apply for a Model Design award or a Model Testing award but not both. States can receive only one Model Testing award. States that submit a proposal in round one and are not selected for a Model Testing cooperative agreement may submit a proposal in an expected round two, whether or not they have received a pre-testing assistance award. States may also submit a Model Testing proposal without having received a Model Design cooperative agreement.

Model Design awards will support states that need financial and technical support to engage stakeholders and complete a State Health Care Innovation Plan. A Comprehensive Plan must provide a broad vision of health system transformation and payment reform. The Plan shall describe the states broad strategy for delivery system evolution into community-integrated health care. Based on the State Health Care Innovation Plan, the state should develop a health system model design that includes the participation of multiple payers as part of a new payment and delivery system model. States receiving these awards must complete their Plan and Model Design and submit a Model Testing proposal in the second round Model Testing opportunity expected in the spring of 2013; however, Model Testing funding is not guaranteed.

Funding for Model Design will support the required work. We expect states to:

- 1) bring a broad range of stakeholders into the design process;
- 2) create multi-payer payment and service delivery models that include Medicare, Medicaid, CHIP, and other payers;
- 3) utilize the full range of their executive and legislative authority to facilitate and support new health care delivery models; and
- 4) design models that complement and coordinate with other initiatives sponsored by the CMS and Department of Health and Human Services (HHS), including the new Administration for Community Living.

Model Testing awards will provide funds for the state to implement the State Health Care Innovation Plan and to test and evaluate the proposed service delivery and payment models. CMS expects to offer two separate opportunities for states to apply for Model Testing Awards. This FOA presents the first of these FOA opportunities. Testing new payment and service delivery models in the context of the broader State Health Care Innovation Plan is the central feature of the SIM initiative. Some states may find that new payment and service delivery models that are currently available through CMS, such as the Medicare Shared Savings Program or Innovation Center initiatives, are appropriate to achieve their goals. States may also seek to build upon the new flexibility that CMS, through State Medicaid Director letters and other mechanisms, has provided to states to utilize new payment and service delivery models for the Medicaid population. Model testing proposals based on such established approaches will require less time for CMS to approve. However, we also recognize that in some limited instances, it may be appropriate for a state as part of its SIM proposal to request approval to pursue payment and service delivery models that differ from established CMS pathways. The approval process for such requests could take significantly more time.

Illustrative List of Allowable Model Design Costs Allowable costs associated with state Model Design work could include:

State staff costs to engage in model design  
Staff participation and travel to relevant learning collaboratives and

workshops and other relevant learning and diffusion opportunities  
Investments in State data collection and analysis capacity and cost and utilization pattern analysis  
Consumer and provider engagement and focus group costs  
Actuarial modeling  
Performance measure development and evidence-based improvement research  
Business process analysis and requirement system analysis  
Policy, legal, and regulatory research to address legislative and legal frameworks for models  
Planning and convening for creating a statewide allpayer data bases  
Planning work relating to public health programs including the states Healthy People 2020 plan, and meeting goals for the National Quality and/or National Prevention Strategy  
Model Design costs, including: model scope development, theory of action development, target population research, setting performance targets, financial analysis and analysis of health care trend impacts, budget planning, and travel to SIM workshop and conferences

Illustrative List of Allowable Model Testing Costs Allowable costs associated with state Model Testing work could include:

Technical resources to implement new model  
Model performance data collection, analysis, reporting cost  
Data center costs, and system information processing associated with the model testing  
Provider costs for data collection  
Coordination with Innovation Center rapid cycle evaluation, and costs for collecting and preparing data for Innovation Center evaluator and/or state evaluator  
Staff resources associated with model management and project management, including travel to SIM workshops and conferences  
Simulation and modeling cost  
Provider and beneficiary tracking system cost  
Health information exchange cost associated with the model  
Infrastructure costs to build or expand telemedicine system  
Model beneficiary assignment or reconciliation cost  
Web and internet collaborative learning and communication cost  
Project management and reporting cost  
Business operation associated with the model  
Model contract management and administration  
Building a statewide allpayer database  
Completing work relating to public health programs including the states Healthy people 2020 plan, and meeting goals for the National Quality and/or the National Prevention Strategy  
Impact model evaluation data collection, reporting, beneficiary and provider survey data, and other costs associated with final model evaluation  
In addition, on a limited, case-by-case, basis CMS may consider funding provider payments for performance-based shared savings.  
Other activities necessary to implement the overall State Health Care Innovation Plan that will further the testing of payment and service delivery models and improve outcomes for CMS beneficiaries.

Administrative and National Policy Requirements: The following standard requirements apply to applications and awards under this FOA:  
Specific cost principles and administrative requirements, as outlined in 2 CFR Part 225 and 45 CFR Part 92, apply to cooperative agreements awarded under this announcement.

All awardees under this project must comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to: Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973; The Age Discrimination Act of 1975; and Title II Subtitle A of the Americans with Disabilities Act of 1990,

Terms and Conditions: Cooperative agreements issued under this FOA are subject to the Health and Human Services Grants Policy Statement (HHS GPS) at <http://www.hhs.gov/grantsnet/adminis/gpd/>. Standard terms and special terms of award will accompany the Notice of Award. Potential awardees should be aware that special requirements could apply to awards based on the particular circumstances of the effort to be supported and/or deficiencies identified in the

application by the HHS review panel. The General Terms and Conditions that are outlined in Section II of the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the Notice of Award). CMS will not fund proposals that duplicate models for populations that are already being funded and tested as part of CMS or HHS initiatives. For example, if the state receives a Strong Start for Mothers and Newborns cooperative agreement, SIM funding will only be used in a coordinated manner and not to supplant funding for Strong Start for Mothers and Newborns. States may propose the use of SIM testing funds to support additional costs associated with or created by testing a SIM model.

#### Indirect Costs

If requesting indirect costs, an Indirect Cost Rate Agreement will be required. For this Cooperative Agreement funding opportunity indirect costs are limited to 10%. The provisions of 2 CFR Part 225 (previously OMB Circular A-87) govern reimbursement of indirect costs under this solicitation. A copy of these cost principles is available online at:

[http://www.whitehouse.gov/sites/default/files/omb/fedreg/2005/083105\\_a87.pdf](http://www.whitehouse.gov/sites/default/files/omb/fedreg/2005/083105_a87.pdf)

#### Direct Services

Cooperative Agreement funds may not be used to provide individuals with services that are already funded through Medicare, Medicaid, and/or CHIP

#### Reimbursement of Pre-Award Costs

No cooperative agreement funds awarded under this solicitation may be used to reimburse pre-award costs.

#### Prohibited Uses of Cooperative Agreement Funds

To match any other Federal funds.

To provide services, equipment, or support that are the legal responsibility of another party under Federal or state law (e.g., vocational rehabilitation, criminal justice, or foster care) or under any civil rights laws. Such legal responsibilities include, but are not limited to, modifications of a workplace or other reasonable accommodations that are a specific obligation of the employer or other party.

To supplant existing Federal, state, local, or private funding of infrastructure or services.

To be used by local entities to satisfy state matching requirements.

To pay for the use of specific components, devices, equipment, or personnel that are not integrated into the entire service delivery and payment model proposal.

To lobby or advocate for changes in Federal and/or state law.

#### Applicant Eligibility:

CMS invites the 50 state Governors Offices, United States Territories Governors Offices ( American Samoa, Guam, Northern Mariana Islands, Puerto Rico, and the Virgin islands), and the Mayors Office of the District of Columbia to apply. Only one application from a Governor per state is permitted for Model Design requests, and one application for each round of Model Testing awards (assuming the state applied and was not selected for funding under the first round of Model Testing awards). A state cannot receive multiple Model Design, pre-testing assistance, or Model Testing awards. Each application must include a letter from the Governor (or the Mayor, if from the District of Columbia) officially endorsing the application for a Model Design award or for a Model Testing award.

All states, the District of Columbia, and U.S. Territories may submit applications for Model Design and Model Testing funding through this FOA.

Foreign, international, and faith-based organizations are not eligible to apply.

#### Beneficiary Eligibility:

The emphasis is on targeting Medicare, Medicaid, and CHIP populations.

The proposal describes the target populations, geographic areas, or communities that will be the focus of service delivery and payment model testing, the current quality and beneficiary experience outcomes including current health population status, and the specific improvement targets expected from the model.

#### Credentials/Documentation:

**Employer Identification Number:** All applicants must have a valid Employer Identification Number (EIN) assigned by the Internal Revenue Service.

**Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS number):** All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number in order to apply. The DUNS number is a nine-digit identification number that uniquely identifies business entities. Obtaining a DUNS number is free. To obtain a DUNS number, access the following website: [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1-866-705-5711. See Section IV, Application and Submission Information, for more information on obtaining a DUNS number.

**Central Contractor Registration (CCR) Requirement:** All awardees must provide DUNS and EIN numbers in order to be able to register in the Central Contractor Registration (CCR) database at [www.ccr.gov](http://www.ccr.gov). Applicants must successfully register with CCR prior to submitting an application or registering in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) as a prime awardee user. See Section IV, Application and Submission Information, for more guidance on CCR registration. Prime awardees must maintain a current registration with the CCR database, and may make subawards only to entities that have DUNS numbers. Organizations must report executive compensation as part of the registration profile at [www.ccr.gov](http://www.ccr.gov) by the end of the month following the month in which this award is made, and annually thereafter (based on the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109-282), as amended by section 6202 of Public Law 110-252 and implemented by 2 CFR Part 170)). See Section VI, Award Administration Information, for more information on FFATA. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Letter of Intent to Apply: No letter of intent is required.

**Application Materials:** Application materials will be available for download at <http://www.grants.gov>. Please note that HHS requires applications for all announcements to be submitted electronically through <http://www.grants.gov>. For assistance with [grants.gov](http://www.grants.gov), contact [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726. The Funding Opportunity Announcement can also be viewed on the Innovation Center website at <http://innovations.cms.gov>. Specific instructions for the format and content of applications are included in the FOA.

**Standard Forms:** The following standard forms must be completed with an electronic signature and enclosed as part of the proposal:

- a. SF 424: Official Application for Federal Assistance
- b. SF 424A: Budget Information Non-Construction
- c. SF 424B: Assurances-Non-Construction Programs
- d. SF LLL: Disclosure of Lobbying Activities
- e. Project Site Location Forms(s)
- f. Project Abstract Summary

In order to receive a cooperative agreement for either Model Design or for Model Testing, States must submit an application in the required format, no later than the established deadline date and time. Applications that do not meet all the technical requirements will not be reviewed. If an applicant fails to submit all of the required documents or does not address each of the topics described below, the applicant risks not being awarded a cooperative agreement.

As indicated in Section IV, Application and Submission Information, all State applicants for Model Design awards must submit the following:

- 1) Standard forms
- 2) Letter of Endorsement from Governor

- 3) Project abstract
- 4) Model design strategy
- 5) Description of stakeholder engagement
- 6) Evidence of public and private payer participation
- 7) Project organization information
- 8) Provider Engagement
- 9) Project plan and timeline
- 10) Budget narrative and itemized expenditure plan
- 11) Financial Analysis demonstrating net savings
- 12) Letters of support and participation from major stakeholders

All State applicants for Model Testing awards must submit the following:

- 1) Standard forms
- 2) Letter of Endorsement from Governor
- 3) Project abstract
- 4) State Health Care Innovation Plan
- 5) Description of the model testing strategy
- 6) Description of expected engagement and transformation of major provider entities within the State
- 7) Description of roles of other payers and stakeholders participating in the model
- 8) Description of multi-stakeholder engagement and commitment
- 9) Budget Narrative and expenditure plan
- 10) Financial Analysis demonstrating net savings
- 11) Plan for performance reporting, continuous improvement, and evaluation support
- 12) Model Testing project plan and timeline with milestones
- 13) Letters of support and participation from major stakeholders including key provider groups, and payers committing to transforming their clinical and business models in support of the Model objectives.

#### **Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) signed and dated by the CMS Grants Management Officer. The NoA is the document authorizing the cooperative agreement award and will be sent through electronic mail to the applicant organization as listed on the SF424. Any communication between CMS and applicants prior to issuance of the NoA is not an authorization to begin performance of a project. Unsuccessful applicants are notified within 30 days of the final funding decision for each cooperative agreement and will receive a disapproval letter via the U.S. Postal Service and/or electronic mail.

#### **Deadlines:**

Jul 19, 2012 to Sep 17, 2012: Please see "Other Deadline Information".  
Electronic Cooperative Agreement Application Due Dates:

Model Design Applications: Due September 17, 2012, by 5 p.m., EDT

Round One Model Testing Applications: Due September 17, 2012, by 5 p.m., EDT.

#### **Range of Approval/Disapproval Time:**

Anticipated Notice of Cooperative Agreement Award Dates:

Model Design Phase: Award Date: November 15, 2012

Round One Model Testing: Award Date: November 15, 2012.

#### **Appeals:**

CMS reserves the right to approve or deny any or all proposals for funding. Note that section 1115A of the Social Security Act states that there is no administrative or judicial review of the selection of organizations, sites, or participants to test models.

#### **Renewals:**

N/A.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

##### **Anticipated Period of Performance**

States receiving Model Design awards and pre-testing assistance awards have from announcement of award until May 14, 2013 to complete their State Health Care Innovation Plans and Model Designs. The period of performance and budget period for Model Design and Model Pre-Testing assistance awards will be six months.

States receiving Model Testing awards will be placed on one of two tracks:

Ready-to-go states and New Model States. Ready-to-go Model Testing awards are for 42 months and will be divided into four budget periods. The first budget period will be six months followed by three budget periods of 12 months each. Also note, the period of performance and budget period for States receiving pre-testing assistance awards is six months. The period of performance for New Model Testing awards is 48 months and will be divided into five budget periods. The first budget period will be approximately six months for waiver/plan review followed by six months for implementation and then by three budget periods of 12 months each. Also note, the period of performance and budget period for States receiving pre-testing assistance awards is six months.

##### **Cooperative Agreement Anticipated Period of Performance:**

##### **Model Design:**

-From award date through May 14, 2013.

##### **Model Testing:**

-Ready-to-Go States Up to 6 months for implementation readiness

-36 months for and testing after the date of award, through May 14, 2016.

-New Model States - Approximately 6 months for CMS review and up to 6 months for implementation readiness and 36 months for implementation and testing after the date of award, through November 14, 2016

States in the Ready-to-Go track are expected to implement model testing within 6 months of receiving the award. Each states capacity and readiness to implement its proposed model within the six month period after the award will be assessed. For States in the New Model track, an additional estimated 6 months will be provided for CMS review of needed waivers.

Once the Model Testing period begins 6 months after award for Ready-to-Go States and approximately 12 months after award for New Model States the model will run for three consecutive years. However, should the model fail to meet its performance milestones, including savings targets, CMS may modify or terminate that agreement prior to the completion of the three-year testing period. The Model Testing cooperative agreement with the state will delineate all testing and evaluation support requirements for the model. See the following for information on how assistance is awarded/released: Anticipated date of awards for Model Design or Model Pre-Testing assistance is November 15, 2012. Anticipated date of First round awards for Model Testing is November 15, 2012. All cooperative agreement awards (Model Design, Model Pre-Testing assistance, Model Testing) will have an initial budget period of six months.

#### **Reports:**

Awardees must agree to cooperate with any federal evaluation of the model and performance results and provide required quarterly, semi-annual (every six months), annual and final (at the end of the cooperative agreement period) reports in a form prescribed by CMS. Reports will be submitted electronically. These reports will include how cooperative agreement funds were used, describe project or model progress, and describe any barriers, delays, and measurable outcomes. CMS will provide the format for project and model reporting and technical assistance necessary to complete required report forms. States must also agree to respond to requests that are necessary for the evaluation of the Model Design, pre-testing assistance, or Model Testing efforts

and provide data on key elements of model performance and on results from the cooperative agreement activities.

**Project Monitoring:** CMS will enlist a third party entity to assist us in monitoring the model implementation and testing performance results and outcomes. CMS plans to collect data elements to be part of monitoring for all of the different state models, and these monitoring and surveillance elements will feed into the evaluation. All awardees will be required to cooperate in providing the necessary data elements to CMS or a CMS contractor.

**Evaluation:** The evaluation strategy for this initiative includes three parts: an overall design and data collection phase, rapid cycle evaluation of state models, and an impact evaluation. Broadly, CMS will evaluate each design and each state model and then compare all models to identify themes related to improved care and health outcomes and reduced costs. While states must play an active role in these evaluations, particularly in regard to Medicaid and CHIP benefits, so that these evaluation efforts continue after the model funding has ended, CMS is in charge of the evaluation process and reports.

**Impact Evaluation:** Towards the end of the Model Test, the evaluation contractor will conduct impact evaluations of the effectiveness of each state model on key outcomes for target Medicare, Medicaid, and CHIP beneficiaries. Again, either difference-in-difference or time trend models, using concurrent controls, will be used to evaluate the impact of the models.

**Executive Compensation:** Organizations must report executive compensation as part of the registration profile at [www.ccr.gov](http://www.ccr.gov) by the end of the month following the month in which this award is made, and annually thereafter (based on the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109-282), as amended by section 6202 of Public Law 110-252 and implemented by 2 CFR Part 170)). See Section VI, Award Administration Information, for more information on FFATA.

**Federal Funding Accountability and Transparency Act (FFATA) Subaward Reporting Requirement:** New awards issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252 and implemented by 2 CFR Part 170. Grant and cooperative agreement States must report information for each first-tier sub-award of \$25,000 or more in Federal funds and executive total compensation for the States and sub-recipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (available online at [www.fhrs.gov](http://www.fhrs.gov)). States must submit a quarterly electronic SF-425 via the Payment Management System. The report identifies cash expenditures against the authorized funds for the cooperative agreement. Failure to submit the report may result in the inability to access funds. Awardees must agree to cooperate with any federal evaluation of the model and performance results and provide required quarterly, semi-annual (every six months), annual and final (at the end of the cooperative agreement period) reports in a form prescribed by CMS. Reports will be submitted electronically. These reports will include how cooperative agreement funds were used, describe project or model progress, and describe any barriers, delays, and measurable outcomes. CMS will provide the format for project and model reporting and technical assistance necessary to complete required report forms. States must also agree to respond to requests that are necessary for the evaluation of the Model Design, pre-testing assistance, or Model Testing efforts and provide data on key elements of model performance and on results from the cooperative agreement activities. The Federal Financial Report (FFR or Standard Form 425) has replaced the SF-269, SF-269A, SF-272, and SF-272A financial reporting forms. All grantees must utilize the FFR to report cash transaction data, expenditures, and any program income generated. States must report on a quarterly basis cash transaction data via the Payment Management System (PMS) using the FFR in lieu of completing a SF-272/SF272A. The FFR, containing cash transaction data, is due within 30 days after the end of each quarter.

In addition to submitting the quarterly FFR to PMS, states must also provide, on an annual basis, a hard copy FFR to CMS which includes their expenditures and any program income generated in lieu of completing a Financial Status

Report (FSR) (SF269/269A). Expenditures and any program income generated should only be included on the annually submitted FFR, as well as the final FFR. Annual hard-copy FFRs should be mailed and received within 30 calendar days of the applicable year end date. The final FFR should be mailed and received within 90 calendar days of the project period end date. More details will be outlined in the Notice of Award. CMS will enlist a third party entity to assist us in monitoring the model implementation and testing performance results and outcomes. CMS plans to collect data elements to be part of monitoring for all of the different state models, and these monitoring and surveillance elements will feed into the evaluation. All awardees will be required to cooperate in providing the necessary data elements to CMS or a CMS contractor. The contractor would assist CMS in developing a cost, quality, beneficiary experience, and population health monitoring and review model performance to ensure model design requirements are met; tracking performance across awardees and providing for rapid cycle evaluation and early detection of model performance issues; developing a system to collect, store, and analyze data to assess health care cost and utilization, quality performance, beneficiary experience, and population health improvements and assisting with state implementation, including coordination between states and CMS and its other contractors.

Data for monitoring will include process, safety, and performance measures including beneficiary experience. It will include, but will not be limited to, data on the background characteristics of the target population and target area, data characterizing the activities of the model testing and a battery of follow-up data describing relevant characteristics of the target population or target area and metrics at selected intervals after commencement of the delivery system and/or payment model. This will include detailed information on participant characteristics and outcomes reported in a standard format. Data for monitoring will be collected from awardees and/or CMS claims data, electronic health record, public health or other sources. The model monitoring aspect of this initiative will balance the examination of the extent to which awardees demonstrate fidelity to their proposed delivery system and payment models and the potential need to make mid-course corrections that improve or optimize performance of the delivery system or payment models based on feedback from the monitoring and rapid cycle evaluation findings. The evaluation will also assess whether there is evidence of harm or unintended consequences as a result of the models or testing methods.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees must comply with the audit requirements of Office of Management and Budget (OMB) Circular A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars).

**Account Identification:**

75-0522-0-1-551 - N/A.

**Obligations:**

(Salaries) FY 11 Not Available(Exp: N/A); FY 12 est \$0; and FY 13 est \$117,000,000

**Range and Average of Financial Assistance:**

CMS may award a total of up to \$50 million for up to twenty five (25) states for Model Design cooperative agreements. Any pre-testing assistance awards provided to unsuccessful applicants for Model Testing awards will be counted toward this limit of 25 Model Design cooperative agreements.) CMS may award a total of up to \$225 million in funding for up to five state-sponsored Model Testing cooperative agreements, awarded in this first round. All states, the District of Columbia, and U.S. Territories may submit applications for Model Design and Model Testing funding in round one through this FOA.

Model Design: State Model Design awards will be based on the budget submitted by the state to support its work to produce a Comprehensive Health Care Transformation Plan and Model Design proposal. The range for Model Design cooperative agreement awards is \$1 million to \$3 million. State budget proposals will be reviewed to determine the appropriateness of itemized budget expenditure estimates and the total requested amount. CMS reserves the right to request modifications to the Model Design budget and expenditure plan. Consideration will be given to the size of the Medicaid, CHIP, and Medicare population in the state as well as the overall efficiency and sustainability of the proposal.

Model Testing: Up to five Model Testing cooperative agreements will be awarded under the State Innovation Model initiative in this first round of awards. Each states budget plan will be reviewed to determine appropriateness of the amount requested based on the models complexity, size of the target population, spectrum of state policy activity, level of multi-payer and other stakeholder engagement, the return on investment, and the strength of the evidence base or logic model in supporting the expected impact of the Plan. CMS expects the total award for a Model Testing will range from \$20 to 60 million for the implementation and testing period. This amount would include the cost of testing and evaluating the model. The Innovation Center is responsible for the evaluation for each Model Test. States must also develop their own model evaluation process, under the guidance of the Innovation Center. In general, we expect that Model Testing awards will cover only costs not normally part of a states operational cost, data collection cost, or administrative cost.

States applying for Model Testing awards may receive pre-testing assistance ranging from \$1-3 million if they do not qualify for a full Model Testing award, but meet enough of the Testing award requirements to merit further consideration. The eligibility standards, deliverables and other requirements for pre-testing awards are based on the review of the states Model Testing application.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Cooperative agreements issued under this FOA are subject to the Health and Human Services Grants Policy Statement (HHS GPS) at <http://www.hhs.gov/grantsnet/adminis/gpd/>. Standard terms and special terms of award will accompany the Notice of Award. Potential awardees should be aware that special requirements could apply to awards based on the particular circumstances of the effort to be supported and/or deficiencies identified in the application by the HHS review panel. The General Terms and Conditions that are outlined in Section II of the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the Notice of Award).

**Regional or Local Office:**

None.

**Headquarters Office:**

James T. Johnston 7205 Windsor Blvd, Baltimore, Maryland 21244 Email: [james.johnston@cms.hhs.gov](mailto:james.johnston@cms.hhs.gov) Phone: 410-786-2817

**Website Address:**

<http://www.innovations.cms.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Model Design Awards: States that submit Model Design applications will be reviewed and scored based on the quality of their proposals. The review criteria for Model Design applications are based on a total of 100 points allocated across the following areas:

Model Design Strategy: (30 points)  
Plan for Provider Engagement: (15 Points)

Evidence of Payer and other Stakeholder Engagement: (15 points)  
Organizational Capacity, Project Plan and Timeline (10 points)  
Model Design Budget and Financial Analysis (30 points)

Model Testing Awards: States that submit Model Testing applications will be reviewed and scored based on the quality of their proposals. The Model Testing proposals receiving the highest scores, and meeting other criteria specified under the Review and Section Process section of this FOA, will be offered cooperative agreements to implement and test multi-payer payment and/or service delivery models. States with lower scores signifying that additional implementation work is needed, may be offered pre-testing assistance awards. Part of the review process will include an analysis of the readiness of the state to implement a model within the six months after approval of a cooperative agreement award. Applications will be scored with a total of 100 points possible. The following criteria will be used to evaluate applications received in response to this solicitation:

Model Testing Strategy: (25 points)  
Evidence and Scope of Provider Engagement: (15 Points)  
Participation of Other Payers: (15 points)  
Organizational Capacity, Project Plan and Timeline: (5 points)  
Multi-Stakeholder Commitment: (5 points)  
Model Testing Operational Budget/Financial Analysis and Model Sustainability (25 points)  
Performance Reporting and Rapid Cycle Evaluation and Evaluation Support: (10 points).

**93.626 AFFORDABLE CARE ACT STATE HEALTH INSURANCE ASSISTANCE PROGRAM (SHIP) AND AGING AND DISABILITY RESOURCE CENTER (ADRC) OPTIONS COUNSELING FOR MEDICARE-MEDICAID INDIVIDUALS IN STATES WITH APPROVED FINANCIAL ALIGNMENT MODELS**

SHIP and ADRC Options Counseling for Medicare-Medicaid Individuals in States with Approved Financial Alignment Models

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

This solicitation is being issued under section 1115A of the Social Security Act (added by section 3021 of the Patient Protection and Affordable Care Act (P.L. 111-148)), which authorizes the Innovation Center to test innovative payment and service delivery models to reduce program expenditures under Medicare, Medicaid, and the Childrens Health Insurance Program while preserving or enhancing the quality of care.

**OBJECTIVES:**

The goal of this Funding Opportunity is to provide funding over a three year period to states that have signed a Memorandum of Understanding (MOU) with CMS to implement a CMS-approved State Financial Alignment Initiative. In April 2011, the Medicare-Medicaid Coordination Office awarded design contracts to 15 states to implement State Demonstrations to Integrate Care for Medicare-Medicaid Individuals. Subsequently, CMS released a letter to State Medicaid Directors which discussed two models for integrating care and aligning financial incentives for Medicare and Medicaid as part of CMS Financial Alignment Initiative, a joint initiative of the Innovation Center and the Medicare Medicaid Coordination Office, under which States and CMS will collaborate to integrate care and financing for Medicare-Medicaid individuals. The Financial Alignment Initiative is a unique Federal-state partnership to test aligning the service delivery and financing of the Medicare and Medicaid programs to better serve Medicare-Medicaid individuals. As part of this effort, there is a need for strong beneficiary support education and outreach in each State that is implementing a Financial Alignment model, including options counseling for beneficiaries.

Awardees will develop and implement a coordinated SHIP/ADRC strategy and action plan to provide beneficiaries who are eligible for both Medicare and Medicaid during both the Phase 1 Activities and Ongoing Activities of the program, as described in the funding opportunity announcement - with

objective information and one-on-one counseling on the nature of the states Financial Alignment model. Such activities will include, but are not limited to, providing information and counseling as to how and when the project will be implemented, the options these dual eligible beneficiaries will have for receiving their Medicare and Medicaid services in their state, the appeal rights they will have under the model, and what they need to do to participate in the program. The SHIP/ADRC staff assigned to this project must be able to provide this information and counseling in a way that is easy for beneficiaries to understand and is culturally and linguistically appropriate. These activities must be carried out in a SHIP/ADRC. Also, the SHIP/ADRC should possess a basic understanding of all CMS approved State Financial Alignment Initiatives.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This Funding Opportunity will provide financial assistance to State Health Insurance Assistance Programs (SHIPs) and/or Aging and Disability Resource Centers (ADRCs) to provide options counseling to Medicare-Medicaid Individuals (dual eligibles) to ensure that these individuals have access to an unbiased and consumer friendly source of information and counseling distinct from the Demonstration Plans and Enrollment Brokers to help them make informed decisions about options they have for receiving their Medicare and Medicaid benefits.

**Applicant Eligibility:**

Eligible applicants from the CMS-approved Financial Alignment States include any one of the State agencies that administers the ADRC and/or SHIP programs(s) within the State (e.g. State Unit on Aging, State Department of Insurance, a State Disability Agency, State Medicaid Agency or other State entity).

**Beneficiary Eligibility:**

State Medicaid Agencies and the Medicaid Agencies in the Federal Territories  
This cooperative agreement only serves beneficiaries that are dually eligible for Medicare and Medicaid coverage.

**Credentials/Documentation:**

Yes. In order to apply, applicants must include a copy of the signed MOU with CMS to implement an approved Financial Alignment model. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms must be used for this program. In addition to the standard forms, applicants must provide a copy of the signed MOU with CMS to implement an approved Financial Alignment model. Applicants should review the application and submission information in the funding opportunity announcement for specific instructions on applying for this cooperative agreement program.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NoA) signed and dated by the Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This Cooperative Agreement is being funded for a period of performance of three (3) years, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, and continuing program relevance. See the following for information on how assistance is awarded/released: Successful applicants will receive a Notice of Award. Unsuccessful applicants will be notified by letter. Applicants should review the award administration information of the funding opportunity announcement issued under this CFDA program for more information.

**Reports:**

Yes. Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements. Yes. Submit a quarterly electronic Federal Financial Report (FFR) via the Payment Management System. The quarterly report identifies cash transactions against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to - [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. The final FFR, including both cash transactions and expenditures, must be submitted and received within 90 days of the end of the project period. Yes. Applicants should review the individual funding opportunity announcement for information on programmatic and evaluation reporting requirements. Yes. Grantees must include expenditures on the annual FFR (submitted at the end of each annual year). The final FFR must be submitted within 90 days after the end of the project period end date and include both cash transactions and expenditures data. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit info.

**Records:**

Proper accounting records, identifiable by project number including all receipts and expenditures must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0522-0-1-551.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

The total estimated amount of Federal funds available is \$5,000,000. Individual awards will range from \$250,000 to \$1,000,000. States with a signed Memorandum of Understanding (MOU) that receive awards under this funding opportunity will, per that MOU, be required to support options counseling. Following the initial deadline, based on available funding, applications will be accepted for review and approval throughout fiscal year 2013 according to the due dates outlined in the funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Applicants should refer to the funding opportunity announcement for applicable



regulations, guidelines and literature.

**Regional or Local Office:**

See Regional Agency Offices. Christopher Clark, Office of Acquisition and Grants Management (OAGM), Centers for Medicare and Medicaid Services, 200 Independence Ave, SW, Room 733H-02, Washington DC 20201.

**Headquarters Office:**

Christopher Clark 200 Independence Ave., SW, Room 733H-02, Washington, District of Columbia 20201 Email: Christopher.Clark@cms.hhs.gov Phone: 301-492-4319

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant should refer to the funding opportunity announcement under this CFDA program for specific criteria requirements on proposal selection.

**93.627 AFFORDABLE CARE ACT: TESTING EXPERIENCE AND FUNCTIONAL ASSESSMENT TOOLS**

TEFT

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 2701 of the Affordable Health Care Act.

**OBJECTIVES:**

CMS is offering a Demonstration grant to up to ten qualified State Grantees through a competitive process. CMS will accept one application from each State applicant. The Single State Medicaid Agency (SMA) must be the lead applicant.

The primary goals of this Demonstration Grant are to:

1. Field test an experience survey for validity and reliability on multiple Community-Based Long Term Services and Supports (CB-LTSS) programs;
2. Field test the CARE functional assessment tool for use with beneficiaries of CB-LTSS programs;
3. Demonstrate personal health records with beneficiaries of CB-LTSS; and
4. Curate an electronic Long Term Services and Supports (eLTSS) standard coordinated through the Office of National Coordinators (ONC) Standards and Interoperability Framework.

The Demonstration has the potential to positively impact care coordination efforts, reduce overall health care costs, and integrate health related data sources that go beyond primary and acute medical records.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The State agrees to use the Federal grant funds to field test two instruments , demonstrate personal health records, and participate in the creation of an eLTSS standard for use in electronic health records.

**Applicant Eligibility:**

Applicants must be any single State Medicaid Agency. Only one application can be submitted for a given State. The term State Medicaid program means the State program for medical assistance provided under a State plan under title XIX of the Social Security Act and under any waiver approved with respect to such State plan. A cover letter must accompany the application. The cover letter must be signed by the State Medicaid Director, and must indicate the title of the project, the Principal Investigator, and the amount of federal funding requested.

**Beneficiary Eligibility:**

N/A.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must register on www.grants.gov in order to apply for this grant. Applicants are encouraged to register early as the registration process can take as long as four weeks if all steps are not completed in a timely manner. The standard application form SF-424 and related forms must be used for this program. Applicants must submit their applications electronically through <http://www.grants.gov>. Applicants are encouraged to submit a non-binding Letter of Intent to Apply. Letters of Intent to Apply are not required and a states submission or failure to submit a letter has no bearing on the scoring of proposals received. Applicants should review the application and submission information in the funding opportunity announcement for specific instructions on applying for this grant program.

**Award Procedure:**

An independent review of all applications will be conducted by a panel of experts. The review panel will assess each application to determine the merits of the proposal and the extent to which it furthers the purposes of the demonstration program. The panel will evaluate each application for further review by CMS. CMS reserves the right to request that States revise or otherwise modify certain sections of their proposals based on the recommendations of the panel and the budget. A low score in one or two areas, even if offset by high scores in other areas, may result in a rejection of the proposal. Final approval of demonstration projects will be made by the Administrator of CMS after consideration of the comments and recommendations of the review panelists, program office recommendations, and the availability of funds. CMS reserves the right to approve or deny any or all proposals for funding. CMS seeks to achieve reasonable balance among the grants to be awarded in a particular category in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**Deadlines:**

Aug 22, 2012 to Sep 12, 2012 Electronic Grant Application Due Date: September 12, 2012.

**Range of Approval/Disapproval Time:**

Successful applicants will receive a Notice of Award (NoA) on or before September 30, 2012. Any communication between CMS and applicants prior to issuance of the NoA is not an authorization to begin performance of a project. Unsuccessful applicants will be notified by letter, sent through the U.S. Postal Service to the applicant organization as listed on its SF- 424, after September 30, 2012.

**Appeals:**

Appeals are governed by Title 45--Public Welfare SUBTITLE A--DEPARTMENT OF HEALTH AND HUMAN SERVICES PART 16--PROCEDURES OF THE DEPARTMENTAL GRANT APPEALS BOARD.

**Renewals:**

Grantee can receive a noncompetitive second year of funding based on first year performance and progress towards meeting the grant project goals outlined in the application as well as in the terms and conditions.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants agreements are funded on a 12-month basis, with support subsequent years contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. The maximum time period for funding is 12 months. See the following for information on how assistance is awarded/released: Successful applicants will receive a Notice of Award. Unsuccessful applicants will be notified by letter. Applicants should review the award administration information of the funding opportunity announcement issued under this CFDA program for more information.

**Reports:**

Grantees must provide semi-annual and final (at the end of the grant period) reports. States must submit a quarterly electronic Federal Financial Report (FFR) via the Payment Management System. The quarterly report identifies cash transactions against the authorized funds for the grant. The FFR Cash Transaction Reports must be filed within 30 days of the end of each quarter. Failure to submit the report may result in the inability to access grant funds. Go to - [www.dpm.psc.gov](http://www.dpm.psc.gov) for additional information. The final FFR, including both cash transactions and expenditures, must be submitted and received within 90 days of the end of the project period. The Grantees must participate in monthly TA conference calls (or other periods as defined by CMS), creating the opportunity for States to share lessons learned, develop solutions to address challenges, and provide hands on technical assistance and guidance to Grantees. Grantees must include expenditures on the annual FFR (submitted at the end of the budget period). The final FFR must be submitted within 90 days after the end of the project period end date and include both cash transactions and expenditures data. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Awardees must comply with the audit requirements of Office of Management and Budget (OMB) Circular A-133. Information on the scope, frequency, and other aspects of the audits can be found on the internet at:

[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)

**Records:**

Grantees are required to follow Section 2701 of the Affordable Care Act, 45 CFR 74.53, and all requirements as listed in the Funding Opportunity Announcement to be posted in May 2011. Recipients are required to maintain grant accounting records 3 years after the date the grant is officially closed. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0511-0-1-550.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 est \$20,000,000; and FY 13 est \$8,333,000

**Range and Average of Financial Assistance:**

There is not a predetermined maximum floor or ceiling grant award. CMS reserves the right to reduce the requested grant award, based on the number and size of additional grant awards given under this demonstration, as well as because of concerns contained within a State's application.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 2701 of the Affordable Care Act.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Anita Yuskas 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Anita.Yuskas@cms.hhs.gov](mailto:Anita.Yuskas@cms.hhs.gov) Phone: 410 786-0268

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.791 Money Follows the Person Rebalancing Demonstration

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the Funding Opportunity Announcement for more information.

**93.630 DEVELOPMENTAL DISABILITIES BASIC SUPPORT AND ADVOCACY GRANTS**

(State Councils on Developmental Disabilities and Protection and Advocacy Systems)

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 121, Public Law 106-402, 42 U.S.C 15021-15045.

**OBJECTIVES:**

Developmental Disabilities Basic Support and Advocacy Grants: To enable individuals with developmental disabilities to become independent, productive, integrated and included into their communities. Funding under these programs is to assist States in the development of a plan for a comprehensive and coordinated system of services and other activities to enhance the lives of individuals with developmental disabilities and their families to their maximum potential, and to support a system which protects the legal and human rights of individuals with developmental disabilities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Developmental Disabilities Basic Support and Advocacy Grants: (1) Allotments under the basic developmental disabilities formula grant program may be used by States for priority area and other activities, including administrative costs, to build capacity, to refocus existing services, and to advocate to better meet the needs of individuals with developmental disabilities. The designated State agency in each State receives, accounts for and disburses funds, and provides for required assurances and other administrative support services on behalf of the State Developmental Disabilities Council, which carries out the priority area activity and other activities under an approved five year State Plan. This plan and corresponding budget is developed and administered by the State Developmental Disabilities Council. Federal funds may be expended for up to half the cost of the functions of the designated State agency under this program, but may not exceed five percent of a State's allotment or \$50,000, whichever is less. (2) Allotments under the protection and advocacy program may be used to assist States in supporting a system which will have authority to pursue legal and other remedies to protect the rights of individuals with developmental disabilities within the State.

**Applicant Eligibility:**

State grant agencies are the designated State agencies of the respective States, the District of Columbia, Puerto Rico, Virgin Islands, Guam, Northern Mariana Islands, American Samoa. Under the basic developmental disabilities program, the designated State agency must not provide or pay for services to individuals with developmental disabilities, unless it has held such designation on the date of the enactment of the Developmental Disabilities Assistance and Bill of Rights Act Amendments of 1994, and the Governor of the State (or the legislature, where appropriate and in accordance with State law) determines prior to June 30, 1994, not to change the designation of such agency. The State can only receive funding under the basic developmental disabilities program if it is also participating in the protection and advocacy program. The agency designated to implement the State system under the protection and advocacy

program cannot provide or pay for services to individuals with developmental disabilities, and that agency must have authority to obtain access to records of individuals with developmental disabilities.

**Beneficiary Eligibility:**

To be eligible for a grant, an agency must be designated to administer the program on behalf of the State. The Basic Program benefits individuals with developmental disabilities through systems change. The Protection and Advocacy system benefits individuals with developmental disabilities. Developmental disability is defined here as a severe chronic disability of an individual that is attributable to mental, physical, or a combination of impairments, is manifested before age 22, that is likely to continue indefinitely, that results in substantial functional limitations in three or more of the following major life activities (self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, and economic self-sufficiency), and that reflects an individual's lifelong need for services. Infants and children from birth to age 9, inclusive, are included if they have a developmental delay or condition with a high probability of resulting in developmental disabilities if services are not provided.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Basic Support: Requests for allotments are submitted in the form of a State plan, which must be submitted not less than every 5 years, and must address all of the requirements of the Statute. Protection and Advocacy: Application is made by the State's submission of a description of the Protection and Advocacy system in the State and appropriate assurances as required by law, and by annual submission statement on the goals and priorities.

**Award Procedure:**

Formula awards are processed through a payment management system to the State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Automatic, under approved application.

**Formula and Matching Requirements:**

Statutory Formula: Title I Programs for Individuals with Developmental Disabilities, Public Law 106-402.  
Matching Requirements: Percent: 25%. Match is only for the Councils. No match is required for Protection and Advocacy allotments.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds provided under allotments must be obligated by states by the end of the fiscal year following the fiscal year for which appropriations were received. Such obligation must be liquidated by the end of the following fiscal year. Payments are made through Electronic Transfer System or, when such is not practicable, on basis of payment requests from the State to meet current needs. Method of awarding/releasing assistance: lump sum.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3-year period if all findings have not been resolved.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$74,667,000; FY 12 est \$74,744,000; and FY 13 est \$70,000,000

**Range and Average of Financial Assistance:**

Basic Support: \$450,000; Protection and Advocacy: \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 110 were awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 110 grants will be awarded. Fiscal Year 2013: In FY 2013, it is anticipated that 110 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92, Grant Administrative Requirements; and Program Regulations in Chapter XIII of Title 45 of the Code of Regulations, Parts 1385 and 1386.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Department of Health and Human Services, Regional Offices. (See Appendix IV of the Catalog for list of addresses.).

**Headquarters Office:**

Jennifer Johnson, Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade SW, Washington, District of Columbia 20447 Email: [jjohnson@acf.hhs.gov](mailto:jjohnson@acf.hhs.gov) Phone: (202) 690-5982.

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.631 Developmental Disabilities Projects of National Significance; 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.631 DEVELOPMENTAL DISABILITIES PROJECTS OF NATIONAL SIGNIFICANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 161, Public Law 106-402, 42 U.S.C 15081-15083.

**OBJECTIVES:**

To provide for grants, contracts and cooperative agreements for projects of national significance that create opportunities for individuals with developmental disabilities to directly and fully contribute to, and participate in, all facets of community life; and support the development of national and State policies that reinforce, promote the self-determination, independence, productivity, and integration and inclusion of individuals with developmental

disabilities in all facets of community life.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

PNS Uses and Restrictions: Project grants, contracts, and cooperative agreements are approved for personnel, equipment, travel, supplies, etc. Duplicative Federal assistance is precluded. Uses include: (1) Family support activities; (2) Projects that educate policy makers; (3) projects that conduct data collection and analysis; (4) projects that provide technical assistance for developing information and referral systems; (5) Federal interagency initiatives; (6) technical assistance to self-advocacy organizations of individuals with developmental disabilities; (7) projects that enhance opportunities for individuals with developmental disabilities who are from racial and ethnic minority backgrounds; (8) projects that address the needs of aging individuals with developmental disabilities and caregivers of adults with developmental disabilities; (9) projects concerning the transition of youth with developmental disabilities from school to work and to adult life; and (10) other projects of national significance. Funds are not awarded solely for direct service delivery, construction, or for the continuation or expansion of existing projects, but rather for projects which are considered innovative and likely to have significant national impact.

**Applicant Eligibility:**

In general, any State, local, public or private nonprofit organization or agency may apply.

**Beneficiary Eligibility:**

In general, any State, local, public or private nonprofit organization or agency may apply.

**Credentials/Documentation:**

Proof of community need and consistency with developmental disabilities State Plans. Proof of nonprofit status. Compliance with statutes, regulations, and approval of State agency and DHHS/ACF Regional Offices. Costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Forms and instructions for project grants are available from HHS Central Office and the appropriate DHHS-ACF Regional Office. Forms and instructions for projects of national significance grants are available at [www.grants.gov](http://www.grants.gov). One signed original and two copies of the grant application are required, including all attachments, and must be submitted to the address specified in the application kit. Three additional copies would be useful to facilitate processing. In addition, concurrently, one (1) copy of the application should be submitted to the applicant's DD State Council and two (2) copies to the appropriate State Single Point of Contact (SPOC) for review and comment as per Executive Order 12372, "Intergovernmental Review of Federal Programs." (Addresses for State Developmental Disabilities Councils and SPOCs are included in the application kit.) The application must be signed by an individual authorized to act for the applicant agency and to assume for the agency the obligations imposed by the terms and conditions of the grant award including the regulations for the Projects of National Significance Grants Program.

**Award Procedure:**

Applications are reviewed and recommendations made by the Central Office, Administration on Developmental Disabilities. Successful applicants are notified through the issuance of a Financial Assistance Award which sets forth in writing the amount of funds granted, the purpose of the grant, the terms and conditions of the grant award, the effective date of the award, the budget period

for which support is given and the total grantee participation. The initial award, when applicable, also specifies the project period for which support is contemplated.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 60 to 180 days according to the type of program being requested.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements are specified in each published program announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods for grants are specified in each published program announcement. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress reports are required for each budget period. Final progress report is required 90 days after the end of project period. Expenditure reports are required for each budget period. Performance monitoring includes review of reports and site visits as required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$14,130,000; FY 12 est \$8,317,000; and FY 13 est \$8,333,000

**Range and Average of Financial Assistance:**

The range is \$50,000 to \$300,000; The average is \$184,566.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 52 grants were awarded. Fiscal Year 2012: In FY 2012, it is estimated that 17 grants will be awarded. Fiscal Year 2013: In FY 2013, it is estimated that 17 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in Chapter XIII of Title 45 of the Code of Federal Regulations, Part 1387.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Administration for Children and Families, HHS Regional Offices (See Appendix IV of the Catalog.).

**Headquarters Office:**

Ophelia McLain, Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services; 370 L'Enfant Promenade, S.W., Washington, District of Columbia 20447 Email: [omclain@acf.hhs.gov](mailto:omclain@acf.hhs.gov) Phone: (202) 690-7025.

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Evaluation of ADD's employment systems change efforts. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

No application can be approved unless it shows/provides evidence of its non-profit status and the State in which the applicant's project will be conducted has an approved DD State plan under this Act. Applications are also to be reviewed by the State Developmental Disabilities Council for the State in which it is to be conducted. Project's proposed design is complete and feasible, and includes measurable objectives and an evaluation component. Project does not supplant activities that are funded under other Federal programs. Competing grant applications will be reviewed and evaluated against criteria that are specified in each published program announcement.

**93.632 UNIVERSITY CENTERS FOR EXCELLENCE IN DEVELOPMENTAL DISABILITIES EDUCATION, RESEARCH, AND SERVICE**

(University Centers (UCEDD))

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Developmental Disabilities Assistance and Bill of Rights Act of 2000, Title I, Section 151, Public Law 106-402, 42 U.S.C 15061-15066.

**OBJECTIVES:**

To pay the Federal share of the cost of administration and operation of interdisciplinary centers that: (1) Provide interdisciplinary training for personnel concerned with developmental disabilities; (2) provide community service activities that include training and technical assistance and may include direct services, e.g., family support, individual support, educational, vocational, clinical, health and prevention; (3) conduct research (basic and applied), evaluation and analysis of public policy in areas affecting individuals with developmental disabilities; and (4) disseminate information as a national and international resource.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Salaries for administrators, coordinators, and others needed to operate the Center and expenses required to start up new programs, and faculty for training programs who will meet critical manpower shortages and are not eligible for support from other sources.

**Applicant Eligibility:**

A public or nonprofit entity which is associated with, or is an integral part of a college or university and which provides at least: interdisciplinary training; demonstration of exemplary services, technical assistance, research and dissemination of findings.

**Beneficiary Eligibility:**

Individuals of all ages with developmental disabilities attributable to a mental and/or physical impairment, their families, and personnel and trainees providing services to them.

**Credentials/Documentation:**

Assurance of maintenance of effort; statement of financial resources, especially other federally-assisted programs; identification of personnel needs and resources as found in developmental disabilities State Plans for the applicant's service area; evaluation of present training programs and utilization of space in the facility; and capability of informing researchers and others in development of services related research. Memorandum of Understanding with the

University. Eligible candidate designated in the previous fiscal year as a Center. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

No preapplication form is required. Consultation and assistance in preparing application is available at the DHHS Central Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms are available from the DHHS Central Office. Completed application forms and narrative should be sent to the State Developmental Disabilities Council, Designated State Agency and Protection and Advocacy agency for review and comment. The standard application forms, as furnished by DHHS must be used for this program.

**Award Procedure:**

Applications are evaluated by outside peer reviews and grants are awarded at the DHHS ADD Central Office. Recommendations for funding are made by the Headquarters Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 45 to 90 days.

**Appeals:**

Appeals are processed in accordance with regulations in 45 CFR, Part 16.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

Statutory Formula: Title I, Subpart D, Public Law 106-402.

Matching Requirements: Percent: 75%. If project activities or products target individuals with developmental disabilities who live in an urban or rural poverty area, the Federal share may not exceed 90 percent of the project's necessary costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

University Centers awards are made for 5 years with a 12-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

An annual progress report is required. Final progress report is required upon project completion. Fiscal reports are required as prescribed by grant applications. An annual progress report is required. A Final progress report is required upon project completion. Fiscal reports are required as prescribed by grant specifications. Grantees receive technical assistance through on-site compliance reviews and other supports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be maintained for 3 years.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$38,865,000; FY 12 est \$38,792,000; and FY 13 est \$36,865,000

**Range and Average of Financial Assistance:**

The range is between \$500,000 and \$549,000. The average is \$520,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 71 grants were awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 69 grants will be awarded. Fiscal Year 2013: In FY 2013, it is anticipated that 68 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations are published in Chapter XIII of Title 45 of the Code of Federal Regulations, Part 1388.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jennifer Johnson, Administration on Developmental Disabilities, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade SW, Washington, District of Columbia 20447 Email: jennifer.johnson@acf.hhs.gov Phone: (202) 690-5982.

**Website Address:**

<http://www.acf.dhhs.gov/programs/add>.

**RELATED PROGRAMS:**

93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.631 Developmental Disabilities Projects of National Significance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers. Fiscal Year 2012: Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers. Fiscal Year 2013: Grants are funded to assist in the operation of public or nonprofit facilities which are associated with a college or university and provide training programs and delivery of services for persons with developmental disabilities. In addition, tied to the level of funds appropriated, training grants may be awarded to the University Centers.

**CRITERIA FOR SELECTING PROPOSALS:**

University Centers must address the provisions of the Act and regulations. Geographic dispersion. University Affiliation.

**93.643 CHILDREN'S JUSTICE GRANTS TO STATES****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse and Treatment Act (CAPTA), Section 107, 42 U.S.C 5106 et. seq.

**OBJECTIVES:**

To encourage States to enact reforms which are designed to improve (1) the assessment and investigation of suspected child abuse and neglect cases, including cases of suspected child sexual abuse and exploitation, in a manner that limits additional trauma to the child and the child's family; (2) the assessment and investigation of cases of suspected child abuse-related fatalities and suspected child neglect-related fatalities; (3) the investigation and prosecution of cases of child abuse and neglect, including child sexual abuse and exploitation; and (4) the assessment and investigation of cases involving children with disabilities or serious health-related problems who are suspected victims of child abuse or neglect.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are to be used (a) investigative, administrative, and judicial handling of cases of child abuse and neglect, including child sexual abuse and exploitation,

as well as cases involving suspected child maltreatment related fatalities and cases involving a potential combination of jurisdictions, such as interstate, Federal-State, and State-Tribal, in a manner which reduces the additional trauma to the child victim and the victim's family and which also ensures procedural fairness to the accused; (b) experimental, model, and demonstration programs for testing innovative approaches and techniques which may improve the prompt and successful resolution of civil and criminal court proceedings or enhance the effectiveness of judicial and administrative action in child abuse and neglect cases, particularly child sexual abuse and exploitation cases, including the enhancement of performance of court-appointed attorneys and guardians ad litem for children, and which also ensure procedural fairness to the accused; and (c) reform of State laws, ordinances, regulations, protocols and procedures to provide comprehensive protection for children from abuse, including sexual abuse and exploitation, while ensuring fairness to all affected persons. To receive funds, States must meet eligibility requirements stated in authorizing statute. To receive funds, States must meet eligibility requirements stated in the authorizing statute.

**Applicant Eligibility:**

States, Puerto Rico, District of Columbia, Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Marianas.

**Beneficiary Eligibility:**

Beneficiaries include State governments and victims of child abuse and neglect, particularly child sexual abuse and exploitation.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. Applications require certification and/or documentation that the State meets eligibility requirements described in the Social Security Act (the Act). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

No preapplication is required. Advice and technical assistance to State applicants are available from the Children's Bureau, Office on Child Abuse and Neglect within the Administration on Children, Youth and Families. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. No Federal forms are required, but certain assurances and information described in the Annual Program Instruction must be included.

**Award Procedure:**

Applications will be reviewed against all eligibility requirements contained in the authorizing legislation. All eligible State and territorial governments will receive funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines will be contained in the Program Instruction sent to each State and other eligible entities announcing the availability of funds under this program.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, Part 16.

**Renewals:**

Grants are made annually. A new application is required each year.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: There is no matching requirement. Each State receives a base amount of \$50,000 with an additional amount based on the

population of children under age 18 in each State.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant funds may be expended for a period of 2 years after the end of the fiscal year in which the funds are awarded. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are not applicable. PSC-272. Program progress reporting requirements are described in the Program Instructions. Financial reporting requirements are described in the Program Instructions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be kept in accordance with 45 CFR, Parts 74 and 92.

**Account Identification:**

15-5041-0-2-754.

**Obligations:**

(Formula Grants) FY 11 \$17,000,000; FY 12 est \$17,000,000; and FY 13 est \$17,000,000

**Range and Average of Financial Assistance:**

\$53,348 to \$1,804,779 with an average grant of \$303,571.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, grants were made to 50 States, the District of Columbia, and 5 territorial governments. Fiscal Year 2012: In FY 2012, grants are expected to be made to 50 States, the District of Columbia, and five territorial governments. Fiscal Year 2013: In FY 2013, grants are expected to be made to 50 States, the District of Columbia, and five territorial governments.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All pertinent instructions are contained in the annual Program Instruction.

**Regional or Local Office:**

None.

**Headquarters Office:**

Catherine Luby Office on Child Abuse and Neglect, 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: catherine.luby@acf.hhs.gov Phone: (202) 205-8879

**Website Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants; 93.670 Child Abuse and Neglect Discretionary Activities; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States which meet all eligibility requirements and propose projects which meet the required uses of these funds will receive grants.

**93.645 STEPHANIE TUBBS JONES CHILD WELFARE SERVICES PROGRAM**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human

Services

**AUTHORIZATION:**

Social Security Act, Title IV-B, Part Subpart 1; as amended.

**OBJECTIVES:**

The purpose of the Stephanie Tubbs Jones Child Welfare Services program is to promote State and Tribal flexibility in the development and expansion of a coordinated child and family services program that utilizes community-based agencies and ensures all children are raised in safe, loving families.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used for the following purposes: (a) protecting and promoting the welfare of all children; (b) preventing the abuse, neglect, or exploitation of children; (c) supporting at-risk families through services that allow children to remain with their families or return to their families in a timely manner; (d) promoting the safety, permanence, and well-being of children in foster care and adoptive families; and (e) providing training, professional development, and support to ensure a well-qualified workforce. State and Tribal grantees may spend no more than 10 percent of the Federal allocation under title IV-B, subpart 1 for administrative costs. States may also not spend (or use as required matching funds) more title IV-B, subpart 1, funds for child care, foster care maintenance and adoption assistance payments than the State expended for those purposes in FY 2005. In addition, the amount of State expenditures of non-Federal funds for foster care maintenance payments that may be used as match for the title IV-B, subpart 1 award may not exceed the amount of such non-Federal expenditures applied as State match for title IV-B, subpart 1 for the FY 2005 grant.

**Applicant Eligibility:**

States, the District of Columbia, Indian Tribes, Puerto Rico, the Northern Marianas, the Virgin Islands, Guam, and American Samoa.

**Beneficiary Eligibility:**

Families and children in need of child welfare services will benefit.

**Credentials/Documentation:**

For States, the department which administers the services program under Title XX must be the designated single State agency to administer child welfare services. Costs will be determined in accordance with 45 CFR Part 92.

See Circular No. A-87 (2 CFR Part 225). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372 "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A 5-year plan must be submitted. A full plan (every five years) or a plan update is due for submission by June 30th of each year. The plan must be jointly developed by the Secretary and the State or Indian Tribe and written after consultation with appropriate public and nonprofit private agencies and community-based organizations. The plan must coordinate the provision of services under Title IV-B with services under other Federal or federally-assisted programs serving the same populations.

**Award Procedure:**

Funds will be awarded after the plan, or annual update, is submitted and approved.

**Deadlines:**

Jun 30, 2013: The Plan or update submitted is due by June 30 of each year. States, Territories and Indian Tribes are encouraged to submit application in accordance with Department requirements.

**Range of Approval/Disapproval Time:**

The Plan or update that is due on June 30 of each year. Approval/disapproval is due September 30 of each year.

**Appeals:**

Appeals are processed in accordance with Health and Human Services (HHS) regulations in 45 CFR 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. Statutory Formula: Each State (including territories) receives a base allotment amount of \$70,000. The Stephanie Tubbs Jones Federal Child Welfare Services appropriation is further allotted on a variable formula which takes into account the child population under 21 and the complement of the State per capita income compared to the U.S. per capita income. The statistical factors used to fund allocations are: (1) the population of children under 21 years of age by State and the source is "Current Population Reports", P-25 Bureau of the Census; and (2) 3-year average per capita income by State and the source is the Bureau of Economic Analysis, Department of Commerce. Each eligible Tribes allotment is derived from the allotment for the State in which the Tribe is located and is based on the State population under 21, the number of Indian children in the Tribal population, and the multiplication factor determined by the Secretary in accordance with 45 CFR 1357.40(d)(6). Matching Requirements: Federal financial participation is available up to the full allotment at the rate of 75 percent for allowable program expenditures made by the grantee. Grantees must provide a 25 percent match for these expenditures. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are available for obligation and liquidation in the FY granted and in the subsequent FY. Grant awards are made quarterly on a fiscal year basis through a letter of credit. The Electronic Transfer System will be used for monthly cash draw-downs from Federal Reserve Banks. Method of awarding/releasing assistance: quarterly.

**Reports:**

At the end of the fifth fiscal year, a final review of progress toward accomplishment of goals is due. Interim reviews of progress toward accomplishment of the goals of the plan are due at the end of each of the first four fiscal years. An SF-425 financial status report must be submitted for the funds awarded in each Federal fiscal year (FFY) within three months after the close of the FFY in which the funds were granted (interim report) and again within three months after the close of the subsequent FFY (final report). Performance monitoring is conducted through the Children and Family Services Review (CFSR) process in accordance with 45 CFR 1355.31 - 1355.37. Required financial reporting is described above. Required progress reporting is described above. Required expenditure reporting is described above. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR Part 92.

**Records:**

Grantees must develop and maintain records which permit review of expenditures in accordance with the provisions of 45 CFR Part 92.20 and 92.42.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$281,181,000; FY 12 est \$280,650,000; and FY 13 est \$280,650,000

**Range and Average of Financial Assistance:**

States and Territories FY 11: \$147,885 to \$32,500,912 with an average of \$4,911,241;

Tribes: \$620 to \$755,131 with an average of \$34,838.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 227 grants were awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 227 grants will be awarded. Fiscal Year 2013: In FY 2013, it is anticipated that 227 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355 and 45 CFR 1357.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Child Welfare Program Managers, Administration for Children and Families. (See Appendix IV of the Catalog for a list of addresses of the Regional offices.).

**Headquarters Office:**

Eileen West 1250 Maryland Ave, SW, Washington, District of Columbia 20024  
Email: eileen.west@acf.hhs.gov Phone: 202-205-8438

**Website Address:**

<http://www.acf.hhs.gov/programs/cb> .

**RELATED PROGRAMS:**

93.090 Guardianship Assistance; 93.556 Promoting Safe and Stable Families; 93.600 Head Start; 93.648 Child Welfare Services Training Grants; 93.658 Foster Care Title IV-E; 93.659 Adoption Assistance; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.647 SOCIAL SERVICES RESEARCH AND DEMONSTRATION  
FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Section 1110, 42 U.S.C 1310.

**OBJECTIVES:**

To promote research and demonstrations related to the prevention and reduction of dependency or the administration and effectiveness of programs related to that purpose.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Grants, cooperative agreements, and contracts are awarded for innovative research, demonstrations, and evaluations that are responsive to the Administration for Children and Families' (ACF) program priorities. All applications must meet standards of excellence in research, demonstration, or evaluation design. Construction or the purchase of real estate are not allowable under these grants or contracts. Further, these funds may not be used to supplement the cost of program operations otherwise capped under the law. Organizations may not use funds under these grants or contracts to engage in inherently religious activities, such as worship, religious instructions, or proselytizing. In addition, an organization receiving ACF funds shall not, in providing ACF-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. Regulations pertaining to the Equal Treatment for Faith-Based Organizations, which include the prohibition against Federal funding of inherently religious activities, as well as provisions related to nondiscrimination against religious



organizations and the ability of religious organizations to maintain their religious character, can be found at either 45 CFR 87.1 or the HHS Web site at <http://www.hhs.gov/fbc/waisgate21.pdf>. Discretionary funding may be used for contracts or grants, including cooperative agreements, for the cost of research or demonstration projects, or which will aid in effecting coordination and planning between private and public welfare agencies or which will improve the effectiveness of programs carried on or assisted under the Social Security Act or related programs.

**Applicant Eligibility:**

Grants and cooperative agreements may be made to or with governmental entities, colleges, universities, nonprofit and for-profit organizations (if fee is waived), and faith-based and community organizations. Grants or cooperative agreements cannot be made directly to individuals. Contracts may be awarded to nonprofit or for-profit organizations.

**Beneficiary Eligibility:**

Children, youth, and families, especially low-income families, will benefit.

**Credentials/Documentation:**

Applicants must present written evidence of other agencies' willingness to cooperate when the project involves the use of other agencies, facilities, or services. Nonprofit organizations which have not previously received ACF program support must submit proof of nonprofit status. For State and local governments, costs will be determined in accordance with 45 CFR Part 92 and OMB Circular No. A-87. For other grantees, applicable costs and administrative procedures will be determined in accordance with 45 CFR Parts 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants will be able to find a synopsis of grant or cooperative agreement opportunities and apply electronically for opportunities via: [www.Grants.gov](http://www.Grants.gov). Applicants will also be able to find the complete text of grant announcements on the ACF web site located at: <http://www.acf.hhs.gov/grants/index.html>.

**Award Procedure:**

Official notice of approved grant applications is made through issuance of a Notice of Award (NOA). This provides the amount awarded, the purpose of the award, the terms and conditions of the award, the budget period for which support is given, the total project period for which support is contemplated, and the total grantee participation. Official notice of an accepted contract proposal is made through award of a contract.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 365 days. Generally, solicited grants, cooperative agreements, and contracts will be acted upon within 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Grant extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee must submit a formal request for a non-competitive continuation application each year accompanied by a progress report which will be evaluated prior to a recommendation of continuation. This process is not applicable to contracts.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds are granted on a 1- to 5-year basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. See the following for information on how assistance is awarded/released: Post award, our Division of Payment Management will establish an account from which a grantee may draw down awards. For additional information on this process see: [http://www.dpm.psc.gov/grant\\_recipient/new\\_grantee\\_information/hhs\\_grantee\\_info.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/new_grantee_information/hhs_grantee_info.aspx?explorer.event=true).

**Reports:**

No program reports are required. No cash reports are required. Grantees are required to submit performance progress reports (ACF-OGM-SF-PPR) throughout the project period. Performance progress reports are due 30 days after the reporting period. Final reports are due 90 days after the close of the project period. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). Grantees will be required to submit financial expenditure reports throughout the project period. Financial reports are due 30 days after the reporting period. Final financial reports are due 90 days after the close of the project period. Grantees use the Financial Status Report (FSR) SF-425 for required financial reporting. Reporting forms are available at [http://www.acf.hhs.gov/grants/grants\\_resources.html](http://www.acf.hhs.gov/grants/grants_resources.html). No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the HHS audit agency, and other Federal officials.

**Records:**

Proper accounting records, identifiable by grant number and including all receipts and expenditures, must be maintained for 3 years in accordance with 45 CFR Part 92. Subsequent to audit, they must be maintained until all questions are resolved, or at the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$5,754,782; FY 12 est \$6,787,000; and FY 13 est \$13,762,000 - The Social Services Research and Demonstration funds (\$5.762M in FY11, FY12 and FY13) are focused on prevention or reduction of dependency or the administration of and effectiveness of programs related to that purpose. In FY13 we anticipate funding \$13,762,000 including a study of early care and education programs as part of the Administrations government-wide initiative to strengthen program evaluation.

**Range and Average of Financial Assistance:**

\$3,000 to \$2,000,000; \$319,710.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 2 grants and 16 contracts were awarded in FY 2011. Fiscal Year 2012: It is anticipated that funding for 2 grants and 16 contracts will be awarded in FY 2012. Fiscal Year 2013: It is anticipated that funding for 13 grants and 17 contracts will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A variety of guidance on grants can be found at [www.Grants.gov](http://www.Grants.gov). Helpful information on contracts is available at [www.fedbizopps.gov](http://www.fedbizopps.gov).

**Regional or Local Office:**

See Regional Agency Offices. Appropriate ACF Regional Administrator. (See Appendix IV of the Catalog for ACF Regional Offices.).

**Headquarters Office:**

Karl J. Koerper, Office of Planning, Research and Evaluation, Administration for Children and Families, 370 L'Enfant Promenade, SW, 7th Floor, West, Washington, District of Columbia 20447 Email: Karl.Koerper@acf.hhs.gov Phone: (202) 4014535.

**Website Address:**

<http://www.acf.hhs.gov/programs/opre>

**RELATED PROGRAMS:**

93.009 Compassion Capital Fund ; 93.558 Temporary Assistance for Needy Families; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: In fiscal year 2011 funding was provided to projects related to prevention or reduction of dependency or the administration of and effectiveness of programs related to that purpose. Fiscal Year 2012: In fiscal year 2012 we anticipate continuing to fund projects related to prevention or reduction of dependency or the administration of and effectiveness of programs related to that purpose. Fiscal Year 2013: In fiscal year 2013 we anticipate continuing to fund projects related to prevention or reduction of dependency or the administration of and effectiveness of programs related to that purpose. In FY13 we anticipate funding \$13,762,000 including a study of early care and education programs as part of the Administrations government-wide initiative to strengthen program evaluation. More information describing research and evaluation projects supported by these funds can be found at <http://www.acf.hhs.gov/programs/opre/>.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications may be funded in whole or in part depending on: (1) the ranked order of applicants resulting from competitive review; (2) staff review and consultations; (3) the combination of projects that best meet the information needs of the program; (4) the funds available; and (5) other relevant considerations. Typical criteria include project cost and budget justification, the qualification of the principal investigator and organization, the quality of approach and methodologies employed, and results and the programs objectives and results and benefits expected. Specific criteria for selecting recipients under individual funding announcements under this program are published in [www.Grants.gov](http://www.Grants.gov) for grant announcement and in the solicitation for requests for proposals published in [www.fedbizopps.gov](http://www.fedbizopps.gov) for contracts.

**93.648 CHILD WELFARE RESEARCH TRAINING OR DEMONSTRATION**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Section 426, 42 U.S.C. 626, as amended including, Section 429, 42 U.S.C 628b.

**OBJECTIVES:**

To support research and demonstration projects which are of national or regional significance and special projects for the demonstration of new methods which show promise of substantial contribution to the advancement of child welfare. To demonstrate the utilization of research in the field of child welfare to encourage experimental and special types of child welfare services. To provide professional education opportunities to prospective and current child welfare agency staff and to develop competency-based training curricula and special projects for training child welfare personnel in specific areas.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are made to accredited public or other nonprofit institutions of higher learning, public or other nonprofit agencies and/or organizations and to State or local child welfare agencies for specific projects for training prospective and current personnel for work in the field of child welfare, including trainee-ships with stipends; child welfare demonstration projects of national or regional significance; and for utilization of child welfare research to encourage experimental and special types of welfare services.

**Applicant Eligibility:**

Child Welfare research or demonstration projects of national or regional significance. Utilization of child welfare research to encourage experimental and special types of welfare services.

**Beneficiary Eligibility:**

Grants are made to accredited public or other nonprofit institutions of higher learning, public or other nonprofit agencies and/or organizations and to State or local child welfare agencies for specific projects for training prospective and current personnel for work in the field of child welfare, including trainee-ships with stipends; child welfare demonstration projects of national or regional significance; and for utilization of child welfare research to encourage experimental and special types of welfare services.

**Credentials/Documentation:**

Grants to educational institutions are made only to accredited institutions. Costs are determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. Nonprofit organizations must provide proof of nonprofit status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms, as furnished by HHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications made in the format provided by and at the time specified in the annual Funding Opportunity Announcements of the availability of funds.

**Award Procedure:**

Grants are awarded after review by a panel of mostly nonfederal persons, with final decision by the Commissioner, ACYF in the Headquarters office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 90 to 120 days.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR, 16.

**Renewals:**

Renewals and extensions are available through formal submission of progress reports and continuation applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Duration is specified in announcement. See the following for information on how assistance is awarded/released: The manner of the assistance awarded and/or released is specified in the announcement.

**Reports:**

Program reports are not applicable. Submitted biannually: PSC - 272. Submitted biannually: SF - PPR. Submitted biannually: SF - 269. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are required in accordance with the requirement in 45 CFR 74 and 92.

**Records:**

Financial and other records of the grant are to be kept 3 years after the

termination of the grant or until audited, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$27,153,000; FY 12 est \$26,092,000; and FY 13 est \$31,092,000 - A Congressionally mandated budget rescission in fiscal year (FY) 2011 lowered funds available for grant awards in 2011 and the following fiscal years.

**Range and Average of Financial Assistance:**

Grants ranged from \$250,000 to \$3,300,000 with the average award being \$1,900,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 13 grants were awarded in FY 2011. Fiscal Year 2012: It is expected that 13 grants will be awarded in FY 2012.

Innovative Approaches to Foster Care In addition to the training activity funded under Section 426, \$20 million funds demonstration projects started in FY 2010 that aim to test innovative approaches to reducing long-term foster care placements, particularly among subgroups of children that have higher rates of long term foster care placements. This five-year grant program provides funding to states, localities, tribes, and public or private non-profit institutions for the purpose of expanding the evidence base for practice in this area.

The demonstration program takes a multi-faceted approach to reduce the number of children who stay in foster care for extended periods of time. The demonstration design encourages an upfront investment in evidence-based or evidence-informed services and provides states and localities with flexibility to address the unique needs of children and families at the local child welfare agency level. The demonstration design also provides a financial incentive for grantees to attain successful outcomes, particularly for children who have been in foster care for an extended period of time or who exhibit specific risk factors that make them likely to remain in care for extended periods. These children tend to be older and have significant needs that may have contributed to the length of time they are in care. They may have serious physical and/or mental health needs or behaviors that have contributed to difficulty in finding a suitable permanent placement. The upfront funding provides grantees with resources and flexibility to implement an array of services, including those that are time intensive, in order to achieve better outcomes.

The demonstrations present an opportunity to test innovative approaches to delivering child welfare services. Subsequently, a key component of the demonstration program is conducting a rigorous national cross-site evaluation. A common set of performance measures will be used by the grantees to establish baseline and subsequent comparison values.

Workforce Institute: In 2008, the Children's Bureau funded the Workforce Institute through a five-year cooperative agreement to advance Federal priorities while supporting training systems and workforce initiatives at State and national levels. The goal of the Workforce Institute is to build the capacity of the nation's child welfare workforce and improve outcomes for children, youth, and families through activities that support the development of skilled child welfare leaders. Currently the Workforce Institute conducts a range of activities to support leadership development, skill-building, and professional growth. These activities include facilitation of B.S.W. and M.S.W. traineeships in partnership with 12 universities, development and delivery of child welfare leadership training curricula to child welfare middle managers and supervisors, engagement of peer networks of child welfare trainees, students, and leaders; strategic assessment and dissemination of effective and promising leadership and workforce practices; and an extensive project evaluation.

One specific component of the Workforce Institute's current scope of work is to deliver the 5 day Leadership Academy for Middle Managers (LAMM); the agreement specifies that Workforce Institute will train approximately 800 middle managers by the end of the funding cycle.

In September 2011, the Children's Bureau awarded a single source expansion (project period September 30,2011-September 29, 2012) to the Workforce

Institute to focus more specifically on the needs of the Tribal child welfare workforce. The additional \$600,000 in supports expanded services and supports for university traineeships of Native American students and expanded the Leadership Academy of Middle Managers to increase coaching and supports for Tribal Middle Managers. (\$300,000 in supplemental funding for 5 traineeship universities supporting American Indian students, and approximately \$300,000 to further build the capacity of Tribal middle managers through the provision of coaching for professional development). Fiscal Year 2013: It is estimated that 13 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, ACF.

**Headquarters Office:**

Randi Walters 1250 Maryland Avenue; 8th Floor, Washington, District of Columbia 20024 Email: randi.walters@acf.hhs.gov Phone: 202-205-5588

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645 Child Welfare Services\_State Grants; 93.670 Child Abuse and Neglect Discretionary Activities

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No current data available. Fiscal Year 2012: Data not available. Fiscal Year 2013: Data not available.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made of: (1) The degree to which the proposal shows promise of meeting specific objectives defined in the annual program announcement; (2) reasonableness of cost; and (3) qualifications of the applicant organization and staff, and (4) quality of the methodology.

**93.652 ADOPTION OPPORTUNITIES**

Adoption Opportunities

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, Title II, Section 205; Child Abuse Prevention and Treatment and Adoption Reform Act of 1978, as amended, Section II, Public Law 111-320, The CAPTA Reauthorization Act of 2010., Public Law 111-8, 42 U.S.C 5111 et. seq.

**OBJECTIVES:**

To eliminate of barriers, including geographic barriers, to adoption and to provide permanent, loving home environments for children who would benefit from adoption, particularly children with special needs.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To award grants and contracts to: (1) conduct an education and training program on adoption and prepare, publish and disseminate information and education and training materials regarding adoption, adoption assistance and post-legal adoption services; (2) conduct extensive recruitment efforts on a national level to promote the adoption of children with special needs and develop a national public awareness effort to unite children in need of adoption with appropriate adoptive parents; (3) to operate a national adoption information exchange system; (4) provide technical assistance to programs related to the adoption of special needs children and promote professional leadership training of minorities in the adoption field; (5) encourage corporations and small businesses to establish adoption benefit programs for employees who adopt children; (6) support placement of children in kinship care arrangements, preadoptive or adoptive homes; (7) increase the effective use of public or private agencies for the recruitment of potential adoptive and foster families and to provide assistance in the placement of children for adoption, especially special needs children; (8) consult with other appropriate

Federal departments and agencies to promote the maximum coordination of services relating to adoption; (9) maintain a National Resource Center for Special Needs Adoption; (10) provide programs to increase the numbers of minority children placed in adoptive families with a special emphasis on recruitment of minority families; and (11) provide programs to increase the number of older children placed in adoptive families.

**Applicant Eligibility:**

Grants or Contracts: State, local government entities, public or private licensed child welfare or adoption agencies or community based other organizations, or adoptive family groups, minority groups, sectarian institutions.

**Beneficiary Eligibility:**

Children who are in foster care with the goal of adoption, especially children with special needs, that is, children who are older, minority children and infants and toddlers with disabilities who have a life-threatening condition.

**Credentials/Documentation:**

Nonprofit organizations which have not previously had Office of Management Services or ACF support must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined by 45 CFR 74 and 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Limited consultation available at Headquarters Office. The standard application forms as furnished by DHHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted to the Administration on Children, Youth and Families' (ACYF) Operations Center listed in the program announcement.

**Award Procedure:**

After review and recommendation by a nonfederal panel, the Commissioner, ACYF, makes final decision.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Determined annually and specified in the annual program announcement which is posted to Grants.gov.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Renewals are available for multi-year grants through formal submission of progress reports and continuation applications. Funding for multi-year grants is provided on an annual basis.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: This program has no statutory formula or matching requirements; however, administratively-required matching is described in the annual program announcement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may extend from 3 to 5 years. Average duration is expected to be 5 years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. PSC-272. Semi-annual progress reports. Final progress report due 90 days after completion of grant. Semi-annual financial reports. Final financial report due 90 days after completion of grant. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees are required to keep financial and other grant records for 3 years after the completion of the grant or completion of audit whichever occurs first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$39,252,336; FY 12 est \$39,179,000; and FY 13 est \$39,179,000

**Range and Average of Financial Assistance:**

\$250,000 to \$1,800,000 with an average of \$475,655.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 44 grants were awarded in FY 2011. Fiscal Year 2012: 42 grants were awarded in FY 2012. Fiscal Year 2013: It is anticipated that 28 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Priority statements, application information and submission deadline available at no charge.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jan Shafer 1250 Maryland Avenue, SW; 8th Floor, Washington, District of Columbia 20024 Email: jan.shafer@acf.hhs.gov Phone: 202-205-8172 Fax: 202-260-9345

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An assessment is made of: (1) The degree to which proposal shows promise of meeting specific objectives defined in a program announcement; (2) innovation and advancement of the field, (3) reasonableness of cost; and (4) qualification of staff.

**93.658 FOSTER CARE\_TITLE IV-E**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 470, et seq.; as amended.

**OBJECTIVES:**

The Title IV-E Foster Care program helps States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) to provide safe and stable out-of-home care for children under the jurisdiction of the State or Tribal child welfare agency until the children are returned home safely, placed with adoptive families, or placed in other planned arrangements for permanency. The program provides funds to assist with the costs of foster care maintenance for eligible children; administrative costs to manage the program; and training for public agency staff, foster parents and certain private agency staff. In addition, \$3 million is reserved for technical assistance and plan development/implementation grants to eligible Tribes, beginning in fiscal year 09.

**TYPES OF ASSISTANCE:**

Formula Grants; Project Grants

**USES AND USE RESTRICTIONS:**

Formula grant funds may be used by the State or local (under State supervision) child welfare agency or by the Tribal child welfare agency for Federal Financial Participation (FFP) in foster care maintenance payments on behalf of eligible children; for administrative and training costs; and for costs related to design, implement and operate a statewide data collection system. Funds may not be used for costs of social services such as those that provide counseling or treatment to ameliorate or remedy personal problem, behaviors, or home conditions for a child, the child's family, or the child's foster family. Plan development/implementation grants to Tribes are one-time grants for projects lasting up to 24 months that are to be used to develop a plan to operate a title IV-E program for foster care, adoption assistance and kinship guardianship as specified under section 479B of title IV-E. The Tribe must submit a plan for the title IV-E program within 24 months of receiving the plan development grant or must repay the grant funds, unless the HHS Secretary waives the requirements under section 471 to carry out a program under section 479B. There is \$3 million reserved for technical assistance and plan development/implementation grants to eligible Tribes beginning in FY 09.

**Applicant Eligibility:**

States, the District of Columbia, and Puerto Rico, and Indian Tribes.

**Beneficiary Eligibility:**

Eligible children whose removal and placement in foster care are in accordance with a voluntary placement agreement or judicial determinations to the effect that continuation in the home would be contrary to the child's welfare and that reasonable efforts were made to prevent the removal (or that such efforts were not necessary), and whose placement and care are the responsibility of the State or Tribal agency administering the title IV-E program.

**Credentials/Documentation:**

Formula Grants: Costs are to be determined in accordance with OMB Circular No. A-87 and 45 CFR Part 92. Plan Development/Implementation Grants: Non-profit agencies must submit proof of non-profit status. Applicable costs and administrative procedures will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Formula Grants: Consultation is available to States and Tribes from Regional Administration for Children and Families (ACF) offices. Plan Development/Implementation Grants: Standard application forms as furnished by Health and Human Services must be used. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Formula Grants: Applications are made in the form of a title IV-E Plan, prepared in the format provided by the ACF Children's Bureau. Title IV-E plans and amendments must be submitted to the ACF Regional Child Welfare Program Manager for approval.

Plan Development/Implementation Grants: Announcement of availability of funds for these grants is published on grants.gov and the ACF website, [www.acf.hhs.gov/grants/open](http://www.acf.hhs.gov/grants/open). Eligible applicants must submit applications by specified deadlines.

**Award Procedure:**

Formula Grants: Quarterly awards are made on the basis of estimated expenditures that are later revised accordingly to include only actual allowable claimed expenditures. Next quarter estimates are due on July 30, October 30, January 30, and April 30 each year. Final decisions and awards are made by the headquarters office. Letter-of-credit is issued by the United States Department of Health and Human Services' (HHS) Payment Management System.

Plan Development/Implementation Grants: Applications are reviewed by professional Federal staff with expertise in child and family services, evaluation and related fields. Final decisions are made by the Commissioner of the Administration on Children, Youth and Families.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Formula Grants: HHS approves or disapproves title IV-E plans within 45 days of receipt by HHS.

Plan Development/Implementation Grants: HHS approves or disapproves within 3 to 6 months.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Awards remain effective without plan renewal, but title IV-E plans may be amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Funding is provided on an open-ended basis. Federal financial participation (FFP) is equal to the applicable Federal Medical Assistance Percentage (FMAP) rate (as defined by sec. 1905(b), and sec. 479B(d) of the Social Security Act (i.e., from 50 percent to 83 percent, depending on the State or Tribe and the fiscal year) and as temporarily enhanced through Section 5001 of Public Law 111-5, the American Recovery and Reinvestment Act of 2009 (ARRA) for the total expended for foster care maintenance payments; 75% of staff or provider training costs; and 50% of other administrative costs. Short term training provided to specified professional partners is subject to a special FFP rate that varies by fiscal year (60% FFP in FY 2010; 65% for FY 2011, 70% for FY 2012 and 75% for FY 2013 and thereafter).

Plan Development/Implementation grants are available up to a maximum of \$300,000.

Matching Requirements: The non-Federal share of program costs (difference between total cost and FFP) in each funding category constitutes the required match to be met by the title IV-E agency. Matching funds from State agencies must be appropriated monies raised from non-Federal revenue sources. Matching funds from Tribal agencies must also be appropriated monies, but may at the option of the Tribe include Federal funds specifically authorized by Federal statutes to be used as match for other Federal programs and, in accordance with 45 CFR 1356.68 for administration and training costs only, in-kind expenditures (or contributions) from allowable third party sources.

Plan Development/Implementation Grants: There is no matching requirement. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula Grants: Federal financial participation is available to a State or Tribe operating under an approved title IV-E plan. Method of awarding/releasing assistance: Quarterly, through a letter of credit.

Plan Development/Implementation Grants: Provided on a one-time basis for generally 12 - 24 month project periods. Renewal funding for multiple year grants is dependent upon grantee performance and availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Plan Development/Implementation Grants: Program reports are required in accordance with the program announcement. Plan

Development/Implementation Grants: Financial reports are required in accordance with the program announcement. No progress reports are required. Formula Grants: A report of estimates, expenditures and children assisted (form CB-496) must be submitted 30 days after the end of each quarter. Other reports as required by the Secretary. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in

accordance with the requirements in 45 CFR 92.

**Records:**

Formula Grants: States and Tribes must maintain all financial and programmatic records necessary for the proper and efficient operation of the program, including records of applications, determinations of eligibility, utilization of awarded grants and other funds for the provision of financial assistance and allocated indirect and direct administrative and training costs in accordance with requirements in Health and Human Services regulations at 45 CFR 92.42, and written guidance from the Administration for Children and Families.

Plan Development/Implementation Grants: All financial records are to be maintained for 3 years after termination of the project or until a required audit is completed, whichever comes first.

**Account Identification:**

75-1545-0-1-609 - ARRA grants: 75-1545-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$4,459,366,000; FY 12 est \$4,291,000,000; and FY 13 est \$4,398,000,000

**Range and Average of Financial Assistance:**

Formula Grants: FY 11: \$2,269,233 to \$1,171,306, with an average of \$85,094,522.

Plan Development/Implementation Grants: Estimated as ranging from \$50,000 to \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A total of 51 States (including the District of Columbia) received grant awards and reported assisting an average of 168,609 in-placement and an additional 93,179 candidate children per month. Fiscal Year 2012: It is anticipated that a total of 51 States (including the District of Columbia) and one Tribe will receive grant awards assisting an average of 168,000 in-placement children per month. Fiscal Year 2013: It is anticipated that a total of 51 States (including the District of Columbia) and additional Tribes (to be determined) will receive grant awards assisting an average of 165,000 in-placement children per month.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355-1356.

**Regional or Local Office:**

See Regional Agency Offices. Consult the Children's Bureau Regional Child Welfare Program Manager. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.).

**Headquarters Office:**

Jennifer Butler-Hembree 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: jennifer.butler-hembree@acf.hhs.gov Phone: 225-654-2527

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.560 Family Support Payments to States Assistance Payments; 93.599 Chafee Education and Training Vouchers Program (ETV); 93.645 Child Welfare Services\_State Grants; 93.659 Adoption Assistance; 93.674 Chafee Foster Care Independence Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.659 ADOPTION ASSISTANCE**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV-E, Section 470 et seq; as amended.

**OBJECTIVES:**

To provide Federal Financial Participation (FFP) to States, Indian Tribes, Tribal organizations and Tribal consortia (Tribes) in adoption subsidy costs for the adoption of children with special needs who cannot be reunited with their families and who meet certain eligibility tests. This assistance is intended to prevent inappropriately long stays in foster care and to promote the healthy development of children through increased safety, permanency and well-being.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

All parents adopting special needs children are eligible for the nonrecurring cost of adoption. Federal subsidy may be used only in support of the adoption of children who meet the definition of special needs as specified in the Statute. States and Tribes may receive Federal Financial Participation (FFP) only if title IV-E plans have been approved by the Secretary.

**Applicant Eligibility:**

Funds are available to States, the District of Columbia, and Puerto Rico, and to Tribes with approved title IV-E plans.

**Beneficiary Eligibility:**

Beneficiaries are children who are: (1) in title IV-E foster care, eligible for AFDC (as in effect July 16, 1996) although this requirement is being phased out between 2010 and 2018, SSI recipients, the minor child living with his/her parent who is in title IV-E Foster Care; or was previously adopted and eligible for adoption assistance but the adoption dissolved or the adoptive parents died and (2) have been determined by the State or Tribe to be special needs, e.g., a special factor or condition which makes it reasonable to conclude that they cannot be adopted without adoption assistance; a State or Tribe determination that the child cannot or should not be returned home; and a reasonable effort has been made to place the child without providing financial or medical assistance. FFP is available from the time of placement for adoption in accordance with State, local or Tribal law or final adoption decree to age 18 (21 if the State/Tribe finds that a disability means aid should continue) as long as the parent supports the child. No child adopted prior to the approval of the State or Tribal title IV-E plan is eligible for FFP. No means test applies to adopting parents, but the amount of subsidy is agreed to by agency and parents and may be readjusted by joint agreement.

**Credentials/Documentation:**

The State or Tribe must submit an application for approval by the Secretary of Health and Human Services. Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Consultation to States and Tribes is available from the Administration for Children and Families (ACF) Regional Offices. The standard application forms as furnished by HHS must be used for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications are made in the form of a title IV-E Plan, prepared in the format provided by the ACF Children's Bureau (CB). Title IV-E plans and amendments are submitted to the ACF Regional Child Welfare Program Manager for approval.

**Award Procedure:**

Quarterly awards are made on the basis of estimated expenditures, which are later revised to include only actual allowable claimed expenditures. Next quarter estimates are due on July 30, October 30, January 30, and April 30 each year. Final decisions and awards are made by the Headquarters Office. Letter-of-credit is issued by the HHS Payment Management System (PMS).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

HHS will approve/disapprove applications (title IV-E plans or amendments to them) within 45 days of receipt by HHS.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Awards remain effective without plan renewal but title IV-E plan may be amended as necessary.

**Formula and Matching Requirements:**

Statutory Formula: Funding is provided on an open-ended basis in accordance with sec.474(a) of the Social Security Act.

**Formula Grant Funding Level:**

FFP for adoption assistance is equal to the applicable Federal Medical Assistance Percentage (FMAP) rate as defined in section 1905(b) (sec. 479B(d) for Tribes) of the Social Security Act (i.e., from 50% to 83%, depending on the State or Tribe and the fiscal year) and as temporarily enhanced through Section 5001 of Public Law 111-5, the American Recovery and Reinvestment Act of 2009 (ARRA) for the total expended for adoption assistance payments, 75% of training costs, and 50% of other administrative costs. Short term training provided to specified professional partners is subject to a special FFP rate that varies by fiscal year (60% FFP in FY 2010, 65% for FY 2011, 70% for FY 2012 and 75% for FY 2013 and thereafter).

Matching Requirements: The non-Federal Share of program costs (difference between total cost and FFP) in each funding category constitutes the required match to be met by the title IV-E agency. Matching funds from State agencies must be appropriated monies raised from non-Federal revenue sources.

Matching funds from Tribal agencies must also be appropriated monies, but may at the option of the Tribe include Federal funds specifically authorized by Federal statutes to be used as match for other Federal programs and, in accordance with 45 CFR 1356.68 for administration and training costs only, in-kind expenditures (or contributions) from allowable third party sources. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Federal financial participation is available to a State or Tribe operating under an approved title IV-E plan. See the following for information on how assistance is awarded/released: Quarterly, through a letter of credit.

**Reports:**

Reports as required by the Secretary: Cash reports are not applicable. Progress reports are not applicable. A quarterly report of estimates and expenditures and children assisted (form CB-496) is required 30 days after the end of the quarter. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 92.

**Records:**

States and Tribes must maintain all financial and programmatic records necessary for the proper and efficient operation of the program, including records of applications, determinations of eligibility, the utilization of awarded grants and other funds for the provision of financial assistance and allocated indirect and direct administrative and training costs in accordance with requirements in HHS regulations at 45 CFR 92.42 and written guidance from ACF.

**Account Identification:**

75-1545-0-1-609 - ARRA grants: 75-1546-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$2,315,462,621; FY 12 est \$2,495,000,000; and FY 13 est \$2,537,000,000

**Range and Average of Financial Assistance:**

FY 11: \$869,407 to \$428,922,346 with an average of \$45,401,937,228.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A total of 51 States (including the District of Columbia) received grant awards and reported assisting an average of 409,321 children per month. Fiscal Year 2012: It is estimated that a total of 51 States (including the District of Columbia) and a to be determined number of direct Tribal grantees will receive grant awards and assisting an average of 444,000 children per month. Fiscal Year 2013: It is estimated that a total of 51 States (including the District of Columbia) and a to be determined number of direct Tribal grantees will receive grant awards and assisting an average of 459,000 children per month.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1355-1356.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, ACF, HHS in the appropriate Regional Office. (See Appendix IV of the Catalog for a list of addresses of the Regional Offices.).

**Headquarters Office:**

Eileen West 1250 Maryland Ave, SW; 8th Floor, Washington, District of Columbia 20024 Email: eileen.west@acf.hhs.gov Phone: 202-205-8438

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.556 Promoting Safe and Stable Families; 93.645 Child Welfare Services\_State Grants; 93.652 Adoption Opportunities; 93.658 Foster Care\_Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.667 SOCIAL SERVICES BLOCK GRANT**

SSBG Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XX, as amended; Omnibus Budget Reconciliation Act of 1981, as amended, Public Law 97-35; Jobs Training Bill, Public Law 98-8 and 473; Medicaid and Medicare Patient and Program Act of 1987; Omnibus Budget Reconciliation Act of 1987, Public Law 100-203; Family Support Act of 1998, Public Law 100-485; Omnibus Budget Reconciliation Act of 1993, Public Law 106-66, 42 U.S.C 1397 ET seq.

**OBJECTIVES:**

To enable each State to furnish social services best suited to the needs of the individuals residing in the State. Federal block grant funds may be used to provide services directed toward one of the following five goals specified in the law: (1) To prevent, reduce, or eliminate dependency; (2) to achieve or maintain self-sufficiency; (3) to prevent neglect, abuse, or exploitation of children and adults; (4) to prevent or reduce inappropriate institutional care; and (5) to secure admission or referral for institutional care when other forms of care are not appropriate.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds may be used by States for the proper and efficient operation of social service programs. Except for items (1) and (4) below, for which a waiver from the Secretary may be requested, Federal funds cannot be used for the following: (1) The purchase or improvement of land, or the purchase, construction, or permanent improvement of any building or other facility; (2) the provision of cash payments for costs of subsistence or the provision of room and board (other than costs of subsistence during rehabilitation, room and board

provided for a short term as an integral but subordinate part of a social service, or temporary shelter provided as a protective service); (3) the payment of wages to any individual as a social service (other than payment of wages to welfare recipients employed in the provision of child day care services); (4) the provision of medical care (other than family planning services, rehabilitation services or initial detoxification of an alcoholic or drug dependent individual) unless it is an integral but subordinate part of a social service for which grants may be used; (5) social services (except services to an alcoholic or drug dependent individual or rehabilitation services) provided in and by employees of any hospital, skilled nursing facility, intermediate care facility, or prison, to any individual living in such institution; (6) the provision of any educational service which the State makes generally available to its residents without cost and without regard to their income; (7) any child day care service unless such service meets applicable standards of State and local law; (8) the provision of cash payments as a service; or (9) for payment for any item or service (other than an emergency item or service) furnished by an individual or entity during the period when such individual or entity is excluded pursuant to Section 1128 or Section 1128(A) of the Social Security Act from participation in this program; or at the medical direction or on the prescription of a physician during the period when the physician is excluded based on Section 1128 or 1128(A) from participation in the program and when the person furnishing such item or service knew or had reason to know of the exclusion (after a reasonable time period after reasonable notice has been furnished to the person). A State may transfer up to 10 percent of its allotment for any fiscal year to the preventive health and health services, alcohol and drug abuse, mental health services, maternal and child health services, and low-income home energy assistance block grants.

**Applicant Eligibility:**

The 50 States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, and American Samoa.

**Beneficiary Eligibility:**

Under Title XX, each eligible jurisdiction determines the services that will be provided and the individuals that will be eligible to receive services.

**Credentials/Documentation:**

Prior to expenditure of funds, the State must report on the intended use of the payments the State is to receive, including information on the types of activities to be supported and the categories or characteristics of individuals to be served. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Submission of a pre-expenditure report application is required.

**Award Procedure:**

States are awarded funds quarterly.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

See 45 CFR, Part 16, Procedures of the Departmental Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter 96.71, Part 96, Subpart G, Public Law 97-35. Provides the requirements for the statutory formula and administrative rule.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded quarterly on a fiscal year basis. The Electronic Transfer System will be used based on quarterly grant awards for monthly cash draws from Federal Reserve Banks. Method of awarding/releasing assistance: quarterly.

**Reports:**

An annual report is required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States are required to maintain records documenting the purposes for which expenditures were made.

**Account Identification:**

75-1534-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$1,700,000,000; FY 12 est \$1,700,000,000; and FY 13 est \$1,700,000,000

**Range and Average of Financial Assistance:**

\$48,518 to \$206,071,998 ; \$29,824,563.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 57 grants were awarded in FY 2011. Fiscal Year 2012: 57 grants were awarded in FY 2012. Fiscal Year 2013: It is anticipated that 57 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96.

**Regional or Local Office:**

See Regional Agency Offices. Local Office: Not applicable. Regional Office: Office of Community Services Regional Liaisons in the Office of the Regional Administrator. (See Appendix IV of the Catalog for Regional Offices.)

**Headquarters Office:**

Seth Hassett 901 D Street, S.W., 5th Floor - Room 5A165, Washington, District of Columbia 20447 Email: seth.hassett@acf.hhs.gov Phone: 202-401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/ssbg>.

**RELATED PROGRAMS:**

93.044 Special Programs for the Aging Title III, Part B\_Grants for Supportive Services and Senior Centers; 93.045 Special Programs for the Aging Title III, Part C\_Nutrition Services; 93.600 Head Start; 93.630 Developmental Disabilities Basic Support and Advocacy Grants; 93.645 Child Welfare Services\_State Grants; 93.647 Social Services Research and Demonstration; 93.658 Foster Care Title IV-E; 93.669 Child Abuse and Neglect State Grants; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All States, the District of Columbia, and the five other jurisdictions will receive their share of funds if they submit a pre-expenditure report that meets the requirements.

**93.669 CHILD ABUSE AND NEGLECT STATE GRANTS**

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services



**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act (CAPTA), as amended, Section 106, 42 U.S.C 5101 et seq.

**OBJECTIVES:**

To assist States in the support and improvement of their child protective services systems.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The CAPTA Basic State Grant is a formula grant to States only, to be used for improving child protective services systems.

States can choose from a wide variety of activities as outlined in the legislation.

Each State was required to submit a new State plan for the fiscal year (FY) 2011 grant funds specifying which of the 14 program areas described in section 106(a) of the CAPTA. Examples include the intake, assessment, screening, and investigation of reports of abuse and neglect; creating and improving the use of multidisciplinary teams and interagency protocols to enhance investigations; improving legal preparation and representation, case management; developing, improving, and implementing risk and safety assessment tools and protocols; developing and updating systems of technology; training regarding research-based strategies to promote collaboration with the families, legal duties of such individuals and personal safety training for case workers; improving the skills, qualifications, and availability of individuals providing services to children and families, and the supervisors of such individuals; developing and delivering information to improve public education relating to the role and responsibilities of the child protection system and the nature and basis for reporting suspected incidents of child abuse and neglect; supporting and enhancing interagency collaboration between the child protection system and the juvenile justice system for improved delivery of services and treatment; supporting and enhancing collaboration among public health agencies, the child protection system, and private community-based programs to provide child abuse and neglect prevention and treatment services (including linkages with education systems) and to address the health needs, including mental health needs, of children identified as abused or neglected, including supporting prompt, comprehensive health and developmental evaluations for children who are the subject of substantiated child maltreatment reports, or developing and implementing procedures for collaboration among child protective services, domestic violence services, and other agencies in investigations, interventions, and the delivery of services and treatment provided to children and families, including the use of differential response, where appropriate, and the provision of services that assist children exposed to domestic violence, and that also support the caregiving role of their non-abusing parents.

**Applicant Eligibility:**

States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

There are no eligibility requirements attached to the beneficiaries of these funds (abused and neglected children and their families).

**Credentials/Documentation:**

State plans require certification of the State's eligibility under Section 106(b) of the authorizing legislation. Applicable costs and administrative procedure will be determined in accordance with 45 CFR 74 and 92.

In order to be eligible for the Basic State Grant under CAPTA, there are a variety of assurances that the governor must provide in the form of a certification that the State has in effect and is enforcing a State law, or has in effect and is operating a statewide program.

To the extent practicable, States are encouraged to participate in submitting data to the National Child Abuse and Neglect Data System (NCANDS) project. The Children's Bureau (CB) produces an annual national data report, the most recent of which is entitled Child Maltreatment 2010.

Assurances include provisions or procedures on reporting child abuse and neglect; the intake, assessment, screening, and investigation of reports of abuse

and neglect; an appeals process; policies and procedures (including appropriate referrals to child protection service systems and for other appropriate services) to address the needs of substance exposed newborns; provisions for immunity for individuals making good faith reports; confidentiality of all records to protect the rights of the child and of the child's parents or guardians; disclosure provisions including those which allow for public disclosure of the findings or information about the case of child abuse or neglect which has resulted in a child fatality or near fatality; procedures to promptly expunge unsubstantiated records; provisions for appointment of a guardian ad litem or Court appointed special advocates (CASA) to represent the child in judicial proceedings; expedited termination of parental rights in the case of any infant determined to be abandoned under State law; provisions and procedures for improving the training, retention, and supervision of caseworkers; processes for referral of a child under the age of 3 who is involved in a substantiated case of child abuse or neglect to early intervention services funded under part C of the Individuals with Disabilities Education Act; provisions for requiring criminal background checks for prospective foster and adoptive parents and other adult relatives and non-relatives residing in the household; procedures for responding to medical neglect; prevention efforts, caseworker training, community education, and the establishment of Citizen Review Panels. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Technical assistance is available at the regional level to assist States in meeting conditions specified in the Act. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. State plans and annual updates must be submitted to the Regional Offices. Complete information is furnished annually to the appropriate State office regarding format and timing of State plan applications and updates.

**Award Procedure:**

State plans and updates are reviewed at the Regional level; Children's Bureau Associate Commissioner has approval/disapproval authority for these grants.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The State agency annual update is due June 30 of each year. Approval/disapproval is due September 30 of each year.

**Appeals:**

Other - Not Specified.

**Renewals:**

Grants are made annually. States submit a plan and annual updates are required each year.

**Formula and Matching Requirements:**

Statutory Formula:

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded annually. Method of awarding/releasing assistance: quarterly.

**Reports:**

An annual report on the use of CAPTA funds is required. Financial data and annual reporting requirements are describe in the annual Program Instructions.. Funds under CAPTA must be expended within five years of the end of the FY in which granted. States are required to submit the SF-425 fiscal report for CAPTA at the end of each 12 months (October 1 through September 30) of the five-year expenditure period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Records must be kept in accordance with 45 CFR Parts 74 and 92.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$26,482,000; FY 12 est \$26,432,000; and FY 13 est \$26,432,000

**Range and Average of Financial Assistance:**

In FY 2012 grants ranged from \$55,571 to \$2,970,342 with an average award of \$471,999.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 56 grant awards were awarded. Fiscal Year 2012: It is anticipated that 56 grants will be awarded in FY 2012. Fiscal Year 2013: It is anticipated that 56 grants will be awarded in FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation 45 CFR 1340; annual Program Instruction.

**Regional or Local Office:**

See Regional Agency Offices. Children's Bureau Regional Program Managers.

**Headquarters Office:**

Gail Collins 1250 Maryland Avenue, SW, 8th Floor, Washington, District of Columbia 20024 Email: gail.collins@acf.hhs.gov Phone: 202-205-8552

**Website Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.667 Social Services Block Grant; 93.670 Child Abuse and Neglect Discretionary Activities; 93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States which submit State plans and updates in accordance with the annual updates and statutory requirements.

**93.670 CHILD ABUSE AND NEGLECT DISCRETIONARY ACTIVITIES FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Abuse Prevention and Treatment Act of 1978, Title I, as amended, Public Law 111-320, The CAPTA Reauthorization Act of 2010., 42 U.S.C 5101 et seq.

**OBJECTIVES:**

To improve the national, State, community and family activities for the prevention, assessment, identification, and treatment of child abuse and neglect through research, demonstration, service improvement, evaluation of best practices, dissemination of information, and technical assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

To award grants and contracts to : (1) Provide technical assistance to public and private nonprofit agencies; (2) conduct research and service demonstration

projects to identify, assess, prevent and treat child abuse and neglect, which may include the nature and scope of effective practices relating to differential response, child abuse and neglect issues facing Native American, Alaskan Native and Native Hawaiians, the impact of child abuse and neglect on the incidence and the progression of disabilities; effective approaches to interagency collaboration between child protection, juvenile justice and domestic violence providers; (3) research into the incidence, consequences and prevalence of child abuse and neglect, and (4) disseminate information on the incidence, causes, prevention and treatment of child abuse and neglect which may include the dissemination of best practices to meet the needs of special populations.

**Applicant Eligibility:**

Grants: States, local governments, tribes, public agencies or private agencies or organizations (or combinations of such agencies or organizations) engaged in activities related to the prevention, identification, and treatment of child abuse and neglect. Contracts: Public and private agencies.

**Beneficiary Eligibility:**

Children that have been abused or neglected, or that are at-risk for abuse or neglect, and their families.

**Credentials/Documentation:**

Nonprofit agencies must submit proof of nonprofit status. Applicable costs and administrative procedures will be determined in accordance with Parts 74 and 92 of Title 45 of the Code of Federal Regulations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Standard application forms as furnished by the U.S. Department of Health and Human Services (HHS) must be used for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Announcement of availability of funds is published on grants.gov and the ACF web-site, [www.acf.hhs.gov/grants/open](http://www.acf.hhs.gov/grants/open). Eligible applicants must submit applications by specified deadlines.

**Award Procedure:**

Grant applications are reviewed by a panel of nonfederal professionals with expertise in the child abuse and neglect field. Final decisions are made by the Commissioner, Administration for Children, Youth and Families (ACYF). Contract proposals are reviewed by a panel of Federal staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Deadlines change from year to year. Each program announcement provides specific deadline information. Contact Headquarters Office for details.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Some projects are awarded with a provision for non-competitive renewal. Most grants are one-time awards. Renewals may be subject to a competitive process.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements are described in each program announcement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants are generally available for a 12, 24, 36 or 60-month period. Renewal funding for multiple-year grants is dependent upon grantee performance and

availability of funds. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are required semiannually with a final report at completion of the project. PSC-272. No progress reports are required. Financial reports are required semiannually with a final report at completion of the project. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with requirements in 45 CFR 74 and 92.

**Records:**

All financial records are to be maintained for 3 years after termination of the project or until audit is completed, whichever comes first.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$25,689,354; FY 12 est \$25,744,251; and FY 13 est \$25,744,000 - Congressionally mandated rescissions, beginning with FY 2011, lowered the apportionment for Child Abuse and Neglect Discretionary Activities.

The apportionment for FY 2011 did not include include Congressional Earmarks, which may be appropriated annually. The FY 2012 estimate does not include Congressional Earmarks.

**Range and Average of Financial Assistance:**

Grants ranged between \$150,000 to \$2,000,000, with an average award of \$524,235.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 36 grants were awarded in FY 2011. Fiscal Year 2012: It is anticipated that 16 grants will be continued and up to 5 new grants will be awarded. Continuation funds will be provided to current grantees that have accomplished a variety of activities, including the delivery of effective training and technical assistance to States and agencies on topics such as differential response, implementation of in-home services, and child protective services. Services provided by these continuing grants have contributed and will contribute to the improvement of safety, permanency, and well-being outcomes for children and families involved with the child welfare system. Fiscal Year 2013: It is estimated that 16 grants will continue and that new grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1340.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jan Shafer Division of Program Innovation, Children's Bureau, 1250 Maryland Ave, SW; 8th Floor, Washington, District of Columbia 20024 Email: jan.shafer@acf.hhs.gov Phone: (202) 205-8172.

**Website Address:**

<http://www.acf.hhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.600 Head Start; 93.643 Children's Justice Grants to States; 93.645 Child Welfare Services\_State Grants; 93.648 Child Welfare Services Training Grants; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Examples of currently funded projects include: training and technical assistance providers such as the National Resource Center (NRC) on

Child Protective Services and the NRC on In-Home Services; the Quality Improvement Center on Early Childhood; the National Data Archive on Child Abuse and Neglect, which houses data relevant to the study of child abuse and neglect and makes the data available to researchers for further secondary analysis; and a cluster of grantees that are implementing Rigorous Evaluations of Existing Child Abuse and Neglect Prevention Programs. Fiscal Year 2012: New grants that are anticipated to be awarded in FY 2012 will provide funds to examine and further efforts of the child protective services systems to reduce family separation due to lack of affordable housing, and will promote coordination and collaboration to address the intersection of child welfare and supportive housing services.

Examples of funded projects include: training and technical assistance providers such as the National Resource Center (NRC) on Child Protective Services and the NRC on In-Home Services; the Quality Improvement Center on Early Childhood; the National Data Archive on Child Abuse and Neglect, which houses data relevant to the study of child abuse and neglect and makes the data available to researchers for further secondary analysis; and a cluster of grantees that are implementing Rigorous Evaluations of Existing Child Abuse and Neglect Prevention Programs. Fiscal Year 2013: The Children's Bureau anticipates the continuation of grants expected to be awarded in FY 2012, to provide funds to examine and further efforts of the child protective services systems to reduce family separation due to lack of affordable housing, and that will promote coordination and collaboration to address the intersection of child welfare and supportive housing services.

Examples of funded projects include: training and technical assistance providers such as the National Resource Center (NRC) on Child Protective Services and the NRC on In-Home Services; the Quality Improvement Center on Early Childhood; the National Data Archive on Child Abuse and Neglect, which houses data relevant to the study of child abuse and neglect and makes the data available to researchers for further secondary analysis; and a cluster of grantees that are implementing Rigorous Evaluations of Existing Child Abuse and Neglect Prevention Programs.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are evaluated on the basis of the degree to which proposals meet specific objectives defined in the annual program announcement including, but not limited to: (1) Reasonableness of cost; (2) qualifications of staff; and (3) relevance to stated areas of interest.

**93.671 FAMILY VIOLENCE PREVENTION AND SERVICES/GRANTS FOR BATTERED WOMEN'S SHELTERS\_GRANTS TO STATES AND INDIAN TRIBES**

Family Violence Prevention and Services Act Formula Grants for States and Indian Tribes

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Sections 303, 306, 308 and 309 of the Family Violence Prevention and Services Act, as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320., 42 U.S.C 10403-10409.

**OBJECTIVES:**

To assist States and Indian Tribes in efforts to increase public awareness about, and primary and secondary prevention of family violence, domestic violence, and dating violence; and assist States and Indian Tribes in efforts to provide immediate shelter and supportive services for victims of family violence, domestic violence, or dating violence, and their dependents.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Federal funds are used by States and Tribes to prevent incidents of family violence, domestic violence, and dating violence; to provide immediate shelter, supportive services, and access to community-based programs for victims of family violence, domestic violence, or dating violence, and their dependents; and, to provide specialized services for children exposed to family violence,

domestic violence, or dating violence, underserved populations, and victims who are members of racial and ethnic minority populations. Federal funds are awarded by the States through subgrants to local public agencies and nonprofit private organizations. States and Indian Tribes may not impose an income eligibility standard on individuals receiving services supported by funds appropriated under this Act and Federal funds may not be used as direct payment to any victim of family violence, domestic violence, or dating violence. The receipt of supportive services under this title shall be voluntary. No condition may be applied for the receipt of emergency shelter. No less than 70 percent of the funds distributed by a State must be used for immediate shelter and supportive services to adult and youth victims of family violence, domestic violence, or dating violence and their dependents, and no less than 25 percent distributed by a State for supportive services and prevention services.

**Applicant Eligibility:**

Eligible applicants for the State Grants are the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands and the Northern Mariana Islands. Eligible applicants for the Tribal Grants are the federally recognized Indian Tribes or a tribal organization or nonprofit private organization authorized by an Indian Tribe.

**Beneficiary Eligibility:**

This program will benefit victims of family violence, domestic violence, and dating violence, and their dependents.

**Credentials/Documentation:**

The Chief Executive Officers of the States and Tribally Designated Officials of Indian Tribes must submit an application for approval by the Secretary of Health and Human Services. Administrative requirements will be determined in accordance with 45 CFR Part 92 for grants and cooperative agreements with State, Local and Tribal Governments. Costs will be determined in accordance with OMB Circular No. A-87 for State, Local and Indian Tribal governments. Subawards from States to private nonprofit organizations will be subject to 45 CFR Part 74 (Administrative requirements) and OMB Circular No. A-122 (2 CFR Part 230) (Cost Principles). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applications must be submitted to the Administration on Children, Youth and Families. No standard application forms are required. Specific instructions are published via the Internet at the following website: <http://www.acf.hhs.gov/grants>.

**Award Procedure:**

Formula grants are awarded directly to States, U.S. Territories and insular areas, and eligible Indian Tribes.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

See 45 CFR, Part 16, Procedures of the Departmental Grant Appeals Board.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Part 1370.2. (1) As authorized under Section 303(a) of this Act, each State shall be allotted \$600,000 for a grant under Section 306(a) with the remaining funds to be allotted to each State in an amount that bears the same ratio to such remaining funds as the population of such State bears to the population of all States; (2) Guam, American Samoa, the

United States Virgin Islands, and the Commonwealth of the Northern Mariana Islands shall be allotted not less than one eighth of 1 percent of the amounts available for grants under section 306(a) for the fiscal year for which the allotment is made; and (3) the Secretary shall make available not less than 10 percent of amounts appropriated under Section 303(a) to make grants to Indian Tribes, tribal organizations and nonprofit private organizations approved by an Indian Tribe.

This program has no matching requirements. No grant may be made to any entity other than a State or an Indian Tribe unless the entity agrees that, with respect to costs to be incurred by the entity in carrying out the program or project for which the grant is awarded, the entity will make available non-Federal contributions in an amount that is not less than \$1 for every \$5 of Federal funds provided under the grant. The non-Federal share may be cash or in-kind but may not include any Federal Funds other than provided under this title.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funds may be used for expenditures on and after October 1 of each fiscal year for which they are granted, and will be available for expenditure through September 30 of the following fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Cash reports are not applicable. Recipients must submit an annual Performance Progress Report (SF-PPR) by December 29 of each year. Recipients must submit an annual Federal Financial Report (SF-425) by December 29 of each year. Performance progress reports are required and selected grantees may be identified for site visits by federal program officers.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain records documenting the purposes for which expenditures were made. Requirements are found in 45 CFR Part 74 or 45 CFR Part 92 as applicable to grantee or subgrantee.

**Account Identification:**

75-1536-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$103,833,516; FY 12 est \$103,637,600; and FY 13 est \$108,000,000 - FY11: \$12,979,190 (Tribal) and \$90,854,326(States); FY12 est: \$12,954,700 (Tribal) and \$90,682,900 (States); and, in FY13 est \$13,500,000 (Tribal) and \$94,500,000 (States).

**Range and Average of Financial Assistance:**

States FY11: \$703,499 to \$7,628,674; Indian Tribes FY11: \$23,598 to \$2,064,871.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY2011, 196 grants were awarded. Fiscal Year 2012: In FY 2012, it is anticipated that 196 grants will be awarded. Fiscal Year 2013: In FY2013, it is estimated that 196 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations codified in 45 CFR Part 1370.2

**Regional or Local Office:**

None.

**Headquarters Office:**

Edna James (States) Shena Williams (Tribes) 1250 Maryland Ave. SW 8th Floor, Washington, District of Columbia 20024 Email: [edna.james@acf.hhs.gov](mailto:edna.james@acf.hhs.gov); [shena.williams@acf.hhs.gov](mailto:shena.williams@acf.hhs.gov) Phone: 202-205-7750; 202-205-5932 Fax: 202-401-7038

**Website Address:**

<http://www.acf.hhs.gov/programs/fysb>

**RELATED PROGRAMS:**

93.044 Special Programs for the Aging Title III, Part B Grants for Supportive Services and Senior Centers; 93.556 Promoting Safe and Stable Families; 93.612 Native American Programs; 93.645 Child Welfare Services State Grants; 93.667 Social Services Block Grant; 93.669 Child Abuse and Neglect State Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each State and eligible jurisdiction, including eligible federally-recognized Indian Tribes, will receive its respective share of funds if the application submitted meets the necessary requirements.

**93.674 CHAFEE FOSTER CARE INDEPENDENCE PROGRAM**

CFCIP; Independent Living Program

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title IV, Part E, Section 477.

**OBJECTIVES:**

To assist States and eligible Indian Tribes in establishing and carrying out programs designed to assist foster youth likely to remain in foster care until 18 years of age, youth who leave foster care for adoption or kinship guardianship after attaining age 16, and youth who have left foster care because they attained 18 years of age and have not yet attained 21 years of age, to make the transition from foster care to self-sufficiency.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grants may be used to assist youth: to make the transition to self-sufficiency; to receive education, training and related services; to prepare for and obtain employment; to prepare for and enter postsecondary training and educational institutions; to provide personal and emotional support to youth through mentors and the promotion of interactions with dedicated adults; and to provide financial, housing, counseling, employment, education, other appropriate support and services to current and former foster care recipients up to the age of 21.

**Applicant Eligibility:**

State governments, including the 50 States, the District of Columbia and Puerto Rico (hereafter "States"), and eligible Indian Tribes, Indian Tribal organizations or Indian Tribal consortia (hereafter "Tribes").

**Beneficiary Eligibility:**

Children and youth who are likely to remain in foster care until age 18, youth who left foster care to adoption or kinship guardianship after attaining age 16, and former foster care recipients up to age 21.

**Credentials/Documentation:**

Costs will be determined in accordance with 45 CFR Part 92. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A five-year State or Tribal plan must be submitted with annual updates. The plan must coordinate the provision of services under the State's or Tribe's Chafee Foster Care Independence Program with services under other Federal or Federally-assisted programs serving the same population. Plans are submitted to the appropriate Regional

Child Welfare Program Manager in the appropriate ACF Regional Office.

**Award Procedure:**

Quarterly awards are made up to the amount of one-fourth of the State's annual allotment.

**Deadlines:**

Jun 30, 2013: June 30 of each year.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The plan or its annual update is due June 30 of each year. Approval/Disapproval is due September 30 of each year.

**Appeals:**

Appeals are processed in accordance with HHS regulations in 45 CFR Part 16.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: States: Each State is allotted an amount of funds which bears the same ratio as the number of children in foster care in that State bears to the total number of children in foster care in all States in the most recent fiscal year for which such information is available. Data submitted by States into the Adoption and Foster Care Analysis and Reporting System's (AFCARS) national database will be used to calculate State allotments. The minimum payable amount to a State is \$500,000. See Section 477(c) of the Social Security Act.

Tribes: Tribes with an approved title IV-E plan to directly operate a title IV-E program or Tribes that have a title IV-E Tribal/State cooperative agreement or contract have the option to apply to receive CFCIP funds directly from the Secretary. Each Tribe with an approved plan is allocated an amount equal to the number of children in foster care under the responsibility of the Tribe (either directly or under supervision of the State) in the most recent fiscal year for which such information is available to the sum of the total number of children in foster care under the responsibility of the State within which the Tribe is located and the total number of children in foster care under the responsibility of all Indian Tribes in the State, that have an approved plan. Matching Requirements: Percent: 20%. The Federal government will pay 80 percent of the total amount of funds expended by the grantee up to the amount of Chafee Foster Care Independence Program funds allocated. The grantee must provide matching contributions to cover the additional 20 percent of the costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made quarterly on a fiscal year basis. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual updates to the State's or Tribe's plan. An SF-425 financial status report must be submitted for the funds awarded in each Federal fiscal year (FFY) within three months after the close of the FFY in which the funds were granted (interim report) and again within three months after the close of the subsequent FFY (final report). Cash reports are not applicable. Progress reports are not applicable. SF-425. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR 74 and 92.

**Records:**

Grantees must develop and maintain records which permit review of expenditures in accordance with the provisions of 45 CFR Part 92.20 and 92.42.

**Account Identification:**

75-1545-0-1-609.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$137,900,000; FY 12 est \$137,926,467; and FY 13 est \$137,926,467

**Range and Average of Financial Assistance:**

FY 2012 States: \$500,000 to \$18,866,508 with an average award of \$2,649,877.

FY 2012 Tribes: \$7,953 to \$63,268 with an average award of \$26,467.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 56 grants were made. Fiscal Year 2012: In FY 2012, it is estimated that 56 grants will be made. Fiscal Year 2013: In FY 2013, it is estimated that 56 grants will be made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program Instruction (PI): PI-ACYF-CB-PI-05-06, issued October 12, 2005; PI-ACYF-CB-10-08, issued April 20, 2010; PI-ACYF-CB-PI-10-09, issued April 20, 2010; PI-ACYF-CB-PI-10-10, issued June 7, 2010.

PI-ACYF-CB-12-05, issued April 11, 2012; PI-ACYF-CB-PI-12-06, issued April 11, 2012.

**Regional or Local Office:**

See Regional Agency Offices. Contact Regional Administration for Children and Families. (See Appendix IV of the Catalog for addresses.)

**Headquarters Office:**

Catherine Heath 1250 Maryland Ave, SW, 8th Floor, Washington, District of Columbia 20024 Email: catherine.heath@acf.hhs.gov Phone: 202-690-7888

**Website Address:**

<http://www.acf.dhhs.gov/programs/cb>.

**RELATED PROGRAMS:**

93.550 Transitional Living for Homeless Youth; 93.556 Promoting Safe and Stable Families; 93.599 Chafee Education and Training Vouchers Program (ETV); 93.645 Child Welfare Services\_State Grants; 93.658 Foster Care\_Title IV-E

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

States meeting requirements for entitlement funds will receive grants.

**93.676 UNACCOMPANIED ALIEN CHILDREN PROGRAM****FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 462, Public Law 107-296, 116 Stat. 2202-2205, 6 U.S.C 279; William Wilberforce Trafficking Victims Protection Reauthorization Act of 2008, Section 235, Public Law 110-457, 122 Stat. 5074-5082, 8 U.S.C 1232.

**OBJECTIVES:**

The Unaccompanied Alien Children's program is designed to provide for the care and placement of unaccompanied alien minors who are apprehended in the U.S. by Homeland Security agents, Border patrol officers, or other law enforcement agencies and are taken into care pending resolution of their claims for relief under U.S. immigration law or release to adult family members or responsible adult guardians. Resolution of their claims may result in release, granting of an immigration status (such as special immigrant juvenile or asylum), voluntary departure, or removal.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Funds may be used only for the purposes set forth in the grant and/or contract. Services may be provided only to unaccompanied alien children who are apprehended by agents of the Department of Homeland Security or referred by other federal agencies or departments.

**Applicant Eligibility:**

State and local governments, private non-profit organizations, and private for-profit organizations.

**Beneficiary Eligibility:**

Beneficiaries are unaccompanied alien children who are in Federal custody by reason of their immigration status.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications submitted in response to program announcements under this program will undergo a pre-review to determine if applicant is eligible for funding.

**Award Procedure:**

Applications found to be eligible for funding will undergo an evaluation by an independent review panel. In the case of emergency, staff will review on the basis of specific evaluation criteria to determine applicant qualification based upon published review criteria, quality of services to be rendered, and the likelihood of the program success.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The ORR Director may invite applications, if necessary, due to unusual and compelling urgency of unaccompanied alien children apprehended by law enforcement agents at the Department of Homeland Security or referred by other federal agencies or departments. Deadlines for applications are noted in notices of funds of availability. It is anticipated that the approval/disapproval time will not exceed 30 days in urgent situations and will not exceed 90 days in normal application situations.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon appropriations, grantee performance, and whether continuation of funding is in the best interest of the government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant awards are made on an as needed basis and on an annual budget basis. Method of awarding/releasing assistance: lump sum.

**Reports:**

Final program reports summarizing the activities and accomplishments of the project in relation to the approved goals and objectives are required. No cash reports are required. Monthly progress reports of placements are required. Additional progress reports are required, usually on a quarterly or semi-annual basis, but sometimes more frequently. Federal Financial Reports (SF-425) are required, usually on a quarterly or semi-annual basis. Final financial status reports are also required at the end of the project period. ORR conducts programmatic and financial on-site monitoring of grantees for the purpose of ensuring that the grantee's service delivery program and financial management system meet the requirements and standards of the program. All grantees are visited at least once a year by Project Officer Staff, who regularly make site visits, monitor the care provider grantees, and make recommendations for non-compliance or improvements. ORR regularly requires reports on a daily, weekly, monthly, semi-annual, and annual basis for a variety of functions. In the event deficiencies or needs for improvement are indicated, the items are documented through monitoring reports and corrective action plans are required

from the grantee.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Periodic audits are made as part of the system of financial management and internal control to meet terms and conditions of grants, contracts, and other agreements. Nonprofit organizations receiving less than \$25,000 a year in Federal awards are exempt from federal audit requirements, but records must be available for review by appropriate officials of the Federal grantor agency or sub-granting entity.

**Records:**

Grant and contract recipients are required to keep all financial and program reports necessary for program review and audit during the project period and for three years after the end of the project period to ensure that funds have been expended in accordance with the regulations, grant terms, and conditions of this program.

**Account Identification:**

75-1503-0-1-506.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$117,204,000; FY 12 est \$224,736,259; and FY 13 Estimate Not Available(Exp: no current data available)

**Range and Average of Financial Assistance:**

In FY 2011, award amounts ranged from \$620,000 to \$35,606,660. Average of Awards: \$4,397,111.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 30 grants were awarded. Fiscal Year 2012: In FY 2012, 31 grants will be awarded. Fiscal Year 2013: In FY 2013, it is anticipated 31 grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program announcements can be found at <http://www.acf.hhs.gov/programs/orr>. All inquiries should be directed to the information contact listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jallyn Sualog 370 L'Enfant Promenade SW, 7th Floor East, Washington, District of Columbia 20447 Email: [Jallyn.Sualog@acf.hhs.gov](mailto:Jallyn.Sualog@acf.hhs.gov) Phone: (202) 401-4997 Fax: (202) 401-1022.

**Website Address:**

<http://www.acf.hhs.gov/programs/orr>.

**RELATED PROGRAMS:**

93.566 Refugee and Entrant Assistance\_State Administered Programs; 93.576 Refugee and Entrant Assistance\_Discretionary Grants; 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants; 93.598 Services to Victims of a Severe Form of Trafficking

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Expected types of care include: shelter, staff-secure facilities, secure juvenile detention for children with criminal backgrounds, therapeutic staff-secure, group homes, residential treatment centers for children with severe and acute mental illness, short-term foster care, and long-term foster care. The program also funds post release services to provide referrals to community services and resources. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Notice of evaluation criteria for program funds can be found at <http://www.acf.hhs.gov/programs/orr>. Please refer to the Contact section for additional information.

**93.700 IMR AND NCCIM PROGRAMS**

Integrative Medicine Residency (IMR) Program and the National Coordinating Center for Integrative Medicine (NCCIM)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII of the Public Health Service Act, Sec. 765, 42 U.S.C. 295, and 768, 42 U.S.C. 295c, as amended by section 5206 of the Patient Protection and Affordable Care Act (Public Law 111-148) and Section 4002 (42 U.S.C. 300 u-11) Prevention and Public Health Fund.

**OBJECTIVES:**

Provide support to incorporate competency-based integrative medicine curricula in graduate medical education programs accredited by the Accrediting Council on Graduate Medical Education (ACGME) or the American Osteopathic Association (AOA). Establish a national coordinating center for integrative medicine (NCCIM) to provide technical assistance to Integrative Medicine Residency (IMR) program grantees.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds can be used to incorporate competency-based integrative medicine curricula in graduate medical education and for the establishment of a national coordinating center for Integrative Medicine to provide technical assistance to Integrative Medicine Residency (IMR) programs. Grants may not be used to support trainee costs or for construction or for the provision of direct patient services. The Integrative Medicine Residency Program awards can only be made to graduate medical education programs accredited by the ACGME or the AOA. It is estimated that \$2,200,000 will be available in Fiscal Year 2012 to incorporate competency-based integrative medicine curricula into eligible graduate medical education programs. It is estimated that \$1,000,000 will be available for the establishment of the national coordinating center for integrative medicine.

**Applicant Eligibility:**

Eligible applicants are accredited schools of public health or schools of medicine or osteopathic medicine; an accredited public or private non-profit hospital; a State, local or tribal health department; or a consortium or 2 or more entities as described in paragraphs (1) through (3) of the legislative authority. Residency programs must be accredited by the Accreditation Council on Graduate Medical Education (ACGME) or approved by the American Osteopathic Association (AOA). Applications for the IMR program must be submitted by the accredited residency program who is the primary applicant responsible for carrying out the project. Eligible applicants for the NCCIM are accredited school of public health, school of medicine or osteopathic medicine; an accredited public or private non-profit, hospital; State, local, or Tribal health department; or a consortium of two or more of these entities that can provide specialized technical assistance on a national basis to grantees of the Integrative Medicine Residency (IMR) program; demonstrate expertise in the field of evidence-based complementary and alternative medicine treatment modalities.

**Beneficiary Eligibility:**

Eligible participants must be U.S. citizens, noncitizen nationals, and those foreign nationals who possess a visa permitting permanent residence in the United States; and must be enrolled in an ACGME or AOA accredited/approved graduate medical education program.

**Credentials/Documentation:**

A letter of accreditation from the appropriate body must be included in the application to indicate the program status. Institutional applicants are an accredited school of public health or school of medicine or osteopathic medicine; an accredited public or private non-profit hospital; a State, local or tribal health department; or a consortium or two or more entities described in paragraphs (1) through (3). Residency programs must be accredited by the Accreditation Council for Graduate Medical Education (ACGME) or approved by the American Osteopathic Association (AOA) in preventive medicine Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or

certifications which must be submitted prior to or simultaneous with submission of an application package. Residents must have completed a doctoral degree in medicine (M.D.) or osteopathic medicine (D.O.) prior to admission to an accredited a residency program. Application for admission into a residency program must be made directly with the institution. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the recommendations of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This funding opportunity provides support for a two-year project period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

An annual progress report will be required in addition to reports on performance measures and financial reports for grants. No cash reports are required. See the funding opportunity announcement for further information. No expenditure reports are required. See the funding opportunity announcement for further information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records three years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.

**Account Identification:**

75-0353-0-1-012.

**Obligations:**

(Cooperative Agreements) FY 11 Not Separately Identifiable; FY 12 est

\$1,000,000; and FY 13 Not Separately Identifiable - National Coordinating Center for Integrative Medicine (NCCIM). (Project Grants) FY 11 Not Separately Identifiable; FY 12 est \$2,000,000; and FY 13 Not Separately Identifiable - Integrative Medicine Residency Program.

**Range and Average of Financial Assistance:**

Approximately \$2,000,000 is available to award an estimated 16 IMR program grants to incorporate competency-based integrative medicine curricula in graduate medical education. The IMR program grants have a minimum budget of \$100,000 and a maximum of \$150,000; the estimated average budget is \$125,000. The project period is two years with a one-year budget period. Approximately \$1,000,000 is available to fund a cooperative agreement for establishing a national coordinating center for integrative medicine to provide technical assistance, data collection, and evaluation of the IMR program grantees.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None.

**Headquarters Office:**

CAPT Norma Hatot 5600 Fishers Lane, Room 9C-26, Rockville, Maryland 20857 Email: [nhatoti@hrsa.gov](mailto:nhatoti@hrsa.gov) Phone: 301-443-6950

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by a team of objective reviewers who offer technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of Title VII of the Public Health Service Act, Section 765, 42 U.S.C., 295 and Section 768, 42 U.S.C. 295c, as amended by section 5206 of the Patient Protection and Affordable Care Act, (Pub. L. 111-148). Approval of any application will be based on an analysis of the following factors: responsiveness to the funding opportunity announcement, need and rationale, project plan, project management, fiscal plan, project effectiveness. Applications must demonstrate applicants ability to develop competency-based curricula in integrative medicine to advance the field of integrative medicine and have potential for replication at other residency programs. Applicants must also demonstrate the capacity to provide technical assistance, data collection, and evaluation activities related to the IMR program grantees.

**93.701 TRANS-NIH RECOVERY ACT RESEARCH SUPPORT FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301, 42 U.S.C 241.

**OBJECTIVES:**

To provide support for initiatives funded under The American Recovery and Reinvestment Act of 2009 (ARRA). These projects will provide economic stimulus to the nation while furthering the NIH mission to uncover new knowledge that will lead to better health for everyone.

**TYPES OF ASSISTANCE:**

Project Grants (Capacity Building and Complaint Processing, Training)



**USES AND USE RESTRICTIONS:**

To support research and other projects that will support fundamental biomedical discovery and translation of that knowledge into effective prevention strategies and new treatments while also providing economic stimulus to the nation. See above.

**Applicant Eligibility:**

U.S. Territories and possessions (includes institutions of higher education and hospitals).

**Beneficiary Eligibility:**

Federal, State, Local, Sponsored organization, Public nonprofit U.S. Territories/institution/organization, Other public institution/organization, Federally Recognized Indian Tribal Governments, Specialized group (e.g. health professionals, students, veterans) , Private nonprofit institution/organization Small business, Profit organization, - Quasi-public nonprofit organization, Other private institution/organization, Native American Organizations.

**Credentials/Documentation:**

Applications must be submitted in compliance with instructions provided with each initiative. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Prepare and submit applications according to instructions provided in the applicable ARRA Funding Opportunities announcement. ARRA grant funding announcements for NIH can be found at <http://grants.nih.gov/recovery/>. This program is subject to the provisions of 45 CFR parts 74 and 92, and 42 CFR Part 52 as well as applicable federal cost principles as referenced, the NIH Grants Policy Statement, and the provisions in the funding announcement. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

**Award Procedure:**

Applications are reviewed for scientific and technical merit by a scientific review group and for program relevance by a national advisory council/board.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the NIH Scientific/Research contact, as provided on an initiative. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal (competing continuation, type 2) applications to ARRA programs are not accepted unless specifically announced by the NIH Institute/Center.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

ARRA funds are available for FY2009 & FY2010 only. Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided

to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects. In addition, all projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. Annual progress reports and selected financial reports are required for continuing projects. Final progress reports, invention statements, and expenditure reports are required at the end of the projects. In addition, all projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records, and also administrative records, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the grant period.

**Account Identification:**

75-0846-0-1-552 - TAFS Numbers: 75-0850, 75-0871, 75-0874, 75-0883, 75-0901, 75-0900, 75-0852, 75-0840, 75-0902, 75-0863, 75-0842, 75-0903, 75-0905, 75-0907, 75-0908, 75-0909, 75-0904, 75-0906, 75-0899, 75-0847, 75-0910, 75-0911, 75-0818, 75-0808, 75-0845.

**Obligations:**

(Project Grants (Capacity Building and Complaint Processing, Training)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - the full amount ARRA funding was available for obligation during FY 2009 & FY 2010 and was not assigned to a fiscal year, no funds for competing awards will be available in FY 2011.

**Range and Average of Financial Assistance:**

\$2,300 to \$3,800,000; \$620,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74; 42 CFR 52. NIH Grants Policy Statement, (Rev.) December 1, 2003. The PHS 398 may be obtained from NIH's Extramural Research Home Page: <http://grants1.nih.gov/grants/oer.htm>.

**Regional or Local Office:**

See Regional Agency Offices. Financial or Grants Management contact as provided on the initiative, or Director, Office of Policy for Extramural Research Administration (OPERA), OER, NIH for award policy or application issues: 301-435-0938.

**Headquarters Office:**

OER ARRA, see NIH ARRA Grants Page at Grants Contacts page at <http://grants.nih.gov/recovery/> and the NIH General Grants Contacts page at <http://grants.nih.gov/grants/contacts.htm>, Bethesda, Maryland 20892 Email: OER-ARRA@mail.nih.gov Phone: (301) 435-0714.

**Website Address:**

<http://www.nih.gov/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding decisions are based on scientific merit (42 CFR 52h) and program relevance. Scientific merit review encompasses: the peer review criteria

detailed in the specific funding announcement, as well as the significance, approach, and innovation of the proposed research; the competency of the principal investigator; the adequacy of the resources and environment; the proposed budget and requested period of support; and, where applicable, the adequacy of the measures for protecting against adverse effects upon humans, animals, or the environment.

### **93.702 NATIONAL CENTER FOR RESEARCH RESOURCES, RECOVERY ACT CONSTRUCTION SUPPORT**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 481A, 42 U.S.C 287.

#### **OBJECTIVES:**

To renovate existing research facilities and build new research facilities to meet basic and clinical space requirements, laboratory safety, biohazard containment, and animal care standards in order to support the facility demands of NIH research programs.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

New physical resources for research include basic research laboratories, clinical and support facilities, and those related to biohazard control that are integral parts of an overall effort. Proposed facilities must be part of an existing research effort or a developing research program. Facilities shall be used for research pertinent to the NIH mission for as long as needed. The Recovery Act has modified the usual period of Federal interest from 20 years to 10 years. Funds must be used for purposes stated in the approved grant application. See above.

#### **Applicant Eligibility:**

Construction/Renewal/Rehabilitation.

#### **Beneficiary Eligibility:**

Public nonprofit institution/organization.

#### **Credentials/Documentation:**

Application should include a complete research program description (with staff curricula vitae), space requirements for projected program, an environmental summary of the impact of the proposed facility as detailed in Public Law 90-190, the National Environmental Policy Act, and listing of all relevant licenses, permits, or other approvals required by State and local authorities. Costs will be determined in accordance with OMB Circular No. A-21 for Educational Institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit institutions. For grants issued to hospitals, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals". OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication assistance is available from the address noted below under Information Contacts. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Prepare and submit applications according to instructions provided in the applicable ARRA Funding Opportunities announcement. This program is subject to the provisions of 45 CFR 74 including applicable federal cost principles as referenced, the NIH Grants Policy Statement, and the provisions in the funding announcement. NIH is transitioning to an electronic application by grant mechanism. Details, including the appropriate application form, can be found at <http://era.nih.gov/ElectronicReceipt/>.

#### **Award Procedure:**

Applications are reviewed for scientific and technical merit by a scientific review group and for program relevance by a national advisory council/board.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Not Applicable.

#### **Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the NIH Scientific/Research contact, as provided on an initiative. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
No information provided.

#### **Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Grantee is responsible for performance of contractor. Contractor must be covered by performance and payment bonds. Grantees are required to file a Notice of Federal Interest at the time construction begins. In addition, all projects funded with ARRA funds are subject to special quarterly reporting requirements as outlined in Section 1512 of the Recovery Act.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Expenditures and other financial records, and also administrative records, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the grant period.

#### **Account Identification:**

75-0848-0-1-552.

#### **Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - There will be no available funds for competing awards in FY 2011.

#### **Range and Average of Financial Assistance:**

Awards will range from \$2M to \$20M total costs. The average award is expected to be \$10M.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74; 42 CFR 52. NIH Grants Policy Statement, (Rev.) December 1, 2003. The PHS 398 may be obtained from NIH's Extramural Research Home Page: <http://grants1.nih.gov/grants/oeer.htm>.

#### **Regional or Local Office:**

See Regional Agency Offices. Ms. Quadira Huff, Division Coordinator, Office of Grants Management, NCRR, 6701 Democracy Blvd., Room 1040, Bethesda, MD 20892-4874. (301) 435-0852; [huffq@mail.nih.gov](mailto:huffq@mail.nih.gov).

**Headquarters Office:**

Gregory K. Farber, 6701 Democracy Blvd., Room 960, Bethesda, Maryland 20892-4874 Email: farberg@mail.nih.gov Phone: (301) 435-08778.

**Website Address:**

<http://www.ncrr.nih.gov>

**RELATED PROGRAMS:**

93.310 Trans-NIH Research Support

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that are complete and responsive to this program will be evaluated for scientific and technical merit by an appropriate peer review group. The major elements in evaluating proposals include: (1) significance and need of the project, (2) the description of project management and institutional commitment, (3) evaluation of the proposed design, (4) justification for requested equipment, (5) the commitment to sustainable design/environmentally friendly design principles.

**93.703 ARRA GRANTS TO HEALTH CENTER PROGRAMS**

ARRA Grants to Health Center Programs

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5., Public Law 111-5.

**OBJECTIVES:**

The American Recovery and Reinvestment Act of 2009 (ARRA) provided funds to support grants for the following purposes: (1) to establish new access points that will increase the number of underserved and uninsured persons with access to comprehensive primary and preventive health care (new access point); (2) to enable health centers to increase services at existing sites and to address spikes in demand to serve uninsured persons (increased demand for services); (3) to enable health centers to carry out alteration/repair/renovation projects; construction projects; health information technology and other equipment purchases (capital improvement projects); and (4) to support selected competitively-reviewed applications submitted by health centers to address significant and pressing capital improvement needs, including modernization, renovation, and construction (facility improvement projects).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds may not be used to make cash payments to intended recipients of services. Specific restrictions were applicable to specific opportunities and were specified in applicable award notices. See above.

**Applicant Eligibility:**

Eligible applicants for new access point funding were public and private non-profit entities, including tribal, faith-based and community based organizations that demonstrate the capability to effectively administer the grant. Eligibility for other opportunities were limited to currently-funded health centers (93.224).

**Beneficiary Eligibility:**

Population groups in medically underserved areas.

**Credentials/Documentation:**

Individual HRSA funding opportunity announcements issued under this CFDA program specified any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination was required for the new access points opportunity. An applicant under the new access opportunity was advised to consult the office or official designated as the single point of contact in his or her State for more

information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Preapplication coordination was not required for the other opportunities. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are generally solicited by a program announcement in <http://www.hrsa.gov/grant>. Application were required electronically through <http://www.grants.gov/>.

Application and review procedures varied with the opportunity. Applications for new access points are subject to open competition. All currently-funded health centers were permitted to submit applications for increased demand for services and for capital improvement projects at funding levels targeted to each grantee based on that grantees current patient load.

**Award Procedure:**

All qualified applications were forwarded to an objective review committee if applicable to the opportunity. Based on the advice of the objective review committee, the HRSA program official with delegated authority was responsible for final selection and funding decisions. Notification was made in writing by a Notice of Award.

Applicants who were selected for funding may be required to respond in a satisfactory manner to conditions placed on their application before funding may proceed. Letters of notification do not provide authorization to begin performance.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

After Notices of Award are issued, funds are released after any applicable special conditions of the award are resolved to the satisfaction of the HRSA. After all conditions applicable to a project are resolved, funds are released in accordance with DHHS payment procedure. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. Progress reports must be submitted quarterly for each applicable funded ARRA opportunity. Final Federal Financial Reports (FFR) are due 90 days after the end of each applicable 2-year budget/project period. Other reports/documentations/verifications that must be submitted based on the requirements of a specific opportunity are noted in the application grant award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0351-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range of assistance varies with the opportunity. Range in each case is for 2 year periods.

Awards for new access points range from \$500,000 to \$1.3 million.

Awards for increased demand for services range from \$101,000 to \$2.1 million.

Awards for capital improvement projects range from \$250,000 to \$2,500,000.

Awards for facility improvement projects range from \$800,000 to \$12,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Bureau of Primary Health Care 5600 Fishers Lane, Room 17-105, Rockville, Maryland 20857 Phone: (301) 594-4110

**Website Address:**

<http://www.grants.gov>.

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Two of the four opportunities were assessed by objective review committees; the scoring criteria for these New Access Point and Facility Improvement Project applications were announced in advance in the funding opportunity announcement.

**93.704 TRANS-NIH RECOVERY ACT LOAN REPAYMENT SUPPORT FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 U.S.C 288-5a.

**OBJECTIVES:**

To provide support for NIH loan repayment initiatives funded under The American Recovery and Reinvestment Act of 2009 (ARRA). Initiatives will attract and retain health professionals performing research in fields required by the NIH to carry out its mission by providing educational loan repayment for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in biomedical, behavioral or clinical research in a qualifying nonprofit institution or as an employee of the NIH for 2 years for new intramural and extramural contracts.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

To provide support for NIH loan repayment initiatives funded under The American Recovery and Reinvestment Act of 2009 (ARRA). Initiatives will attract and retain health professionals performing research in fields required by the NIH to carry out its mission by providing educational loan repayment for participants with substantial amounts of educational debt relative to income, who agree by written contract to engage in biomedical, behavioral or clinical research in a qualifying nonprofit institution or as an employee of the NIH for 2 years for new intramural and extramural contracts. Recipients must have qualified educational debt in excess of 20 percent of their annual salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the program participants. Participants may apply for and the Secretary may grant extension contracts for one-year or two-year periods, as determined by the Secretary, if the individual continues to engage in qualifying research beyond their initial contracts. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. Eligible renewal applications that score within the funding range will receive continuation contracts from non-ARRA funding sources. The maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements, plus discretionary State and local tax reimbursements.

**Applicant Eligibility:**

Small business (less than 500 employees).

**Beneficiary Eligibility:**

Specialized group (e.g. health professionals, students, veterans).

**Credentials/Documentation:**

Applicants electronically transmit the following documents to the NIH: Applicant Information Statement, Biosketch, Personal Statement, Description of Research Activities, 3 Recommendations, Loan Information including current account statement(s) and promissory note(s) or disclosure statement(s), Assessment of Research Activities Statement (completed by the research supervisor), and Description of the Research Environment (completed by the research supervisor), Training or Mentoring Plan (completed by the research supervisor). Institutional Contacts electronically transmit a certification that: (a) assures the applicant will be provided the necessary time and resources to engage in the research project for two years from the date a Loan Repayment Program Contract is executed; (b) assures that the applicant is or will be engaged in qualifying research for 50 percent of their time (or not less than 20 hours per week based on a 40 hour week); (c) certifies that the institution is nonprofit (exempt from tax under 26 USC 501), and (d) provides the applicant's institutional base salary. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application via the website [www.lrp.nih.gov](http://www.lrp.nih.gov). Applications submitted to the NIH Division of Loan Repayment are first examined to determine if the basic eligibility requirements are satisfied. If these requirements are met, the application is forwarded to the NIH Center for Scientific Review for a determination regarding which NIH Institute or Center the application will be assigned to for

review, scoring, and ranking.

**Award Procedure:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Program. When an Institute or Center approves an application, the NIH Office of Loan Repayment notifies individuals of their award amount, provides a repayment schedule that covers the period of participation, and a Loan Repayment Program Contract is executed by an authorized representative of the Secretary, DHHS. If the approved research assignment changes, or if the employing research institution changes, the participant must have their continued eligibility recertified by the Institute or Center which approved their application. Contact the NIH via E-mail at LRP@NIH.GOV for further guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

At the conclusion of the ARRA 2-year contract, participants may apply and be considered for subsequent 1 or 2-year continuation contracts under the application and approval procedures specified above. Renewal applications are competitively reviewed and the submission of a renewal application does not assure the award of benefits. Eligible renewal applications that score within the funding range will receive continuation contracts from non-ARRA funding sources.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,298 to \$70,000; Tax reimbursements range from \$1,040 to \$31,679. The average contract cost which includes loan and tax reimbursement is \$48,718. See the following for information on how assistance is awarded/released: Not available.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

No Data Available.

**Account Identification:**

74-4554-0-1-552.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

For initial two-year contract periods, loan repayments awards may range from \$2,298 to \$70,000; Tax reimbursements range from \$1,040 to \$31,679. The average contract cost which includes loan and tax reimbursement is \$48,718.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: no funds expended. Fiscal Year 2012: no funds to be expended. Fiscal Year 2013: no funds to be expended.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Health Service Act, Title IV, Part G, Section 487F, Public Law 106-505, 42 U.S.C. 288-5a. The NIH LRP-CR was initially announced by publication of a Notice in the Federal Register (Vol. 66, No. 173), and updated in Federal Register (Vol. 68, No. 61).

**Regional or Local Office:**

None.

**Headquarters Office:**

Sherry Mills 6011 Executive Blvd., Room 206, MSC 7650, Bethesda, Maryland 20892-7650 Email: lrp@nih.gov Phone: (866) 849-4047 Fax: (866) 849-4046

**Website Address:**

http://www.lrp.nih.gov/

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The NIH Institutes and Centers approve or disapprove applications for participation in the Loan Repayment Programs. Applications that are on time, complete and eligible are referred to the appropriate NIH Institute or Center by the NIH Center for Scientific Review. The NIH Institutes and Centers convene panels comprised of non-NIH scientists to review, score and rank applications. In evaluating the application, reviewers are directed to consider the following components as they relate to the likelihood that the applicant will continue in a research career: (1) potential of the applicant to pursue a career in research, and (2) quality of the overall environment to prepare the applicant for a research career.

**93.706 AGING NUTRITION SERVICES FOR NATIVE AMERICANS**

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 , Public Law 111-5; Older Americans Act of 1965, as amended.

**OBJECTIVES:**

Under the American Recovery and Reinvestment Act of 2009 to provide grants to Native American Tribal Organizations and Native Hawaiian Organizations who are current grantees under Title VI of the Older Americans Act, as amended, to support nutrition services including nutritious meals, nutrition education and other appropriate nutrition services to maintain health, independence and quality of life. Meals may be served in a congregate setting or delivered to the home, if the older individual is homebound.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Funds are available through grants to eligible Indian Tribal Organizations and Native Hawaiian Organizations for services comparable to those provided under Title III. Services must include nutrition services, information and referral. Indian Tribes receive funds based on a formula that considers the number of eligible elder Indians sixty years of age or older represented by the tribal organizations with population ranges from 50-100, 101-200, 201-300, 301-400, 401-500, 501 to 1,500, and 1,501+. Indian Tribes receive funds based on a formula that considers the number of eligible elder Indians sixty years of age or older represented by the tribal organizations with population ranges from 50-100, 101-200, 201-300, 301-400, 401-500, 501 to 1,500, and 1,501+.

**Applicant Eligibility:**

Current Title VI Part A/B grantees eligible to apply for ARRA assistance to provide and expand nutrition services and create or retain jobs.

**Beneficiary Eligibility:**

Applicants must be current Title VI grantees.

**Credentials/Documentation:**

Applicable costs and administrative procedures will be determined in accordance with Part 92 of Title 45 of the Code of Federal Regulations.

Applicant Eligibility: Tribal organizations of Indian tribes eligible for assistance under Section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b), which represent at least 50 Indians or Hawaiians 60 years of age or older. Applicants must demonstrate that they have

the ability to deliver supportive and nutrition services.

**Beneficiary Eligibility:** Indians and Native Hawaiian elders who are 60 years of age and older, and in the case of nutrition services, their spouses. Tribes also have the authority to define Indians under 60 years of age as "older Indian" making them eligible for services. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. No application is required. Current grant recipients under Title VI of the Older Americans Act will be awarded a grant to provide Nutrition Services. Awards will be made base upon the formula established.

**Award Procedure:**

Notification of award will be issued to the grantee.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Appeals are processed in accordance with Administration on Aging regulations in 45 CFR 1326 and 1328.

**Renewals:**

PROGRAM UNDER RECOVERY ACT NOT BEING RENEWED.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds for grants awarded will remain available until September 30, 2010. See the following for information on how assistance is awarded/released: payment management system.

**Reports:**

No program reports are required. Cash reports are not applicable. Required final SF425 and Performance Output Report. Reporting as required under ARRA (Public Law 111-5), M-09-10, and the OAA as amended. Reporting as required under ARRA (Public Law 111-5), M-09-10, the OAA as amended, quarterly Program Performance Report, quarterly SF 269 Financial Status Report, and any additional reports as cited in the Notice of Award. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final expenditure report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: not available. Fiscal Year 2012: not available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92, 45 CFR 1326, Public Law 111-5, M-09-10, NoA.

**Regional or Local Office:**

See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services Regional Offices.

**Headquarters Office:**

Cynthia LaCounte One Massachusetts Ave, NW , Washington, District of Columbia 20201 Email: Cynthia.LaCounte@aoa.hhs.gov Phone: 202-357-0148

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.047 Special Programs for the Aging Title VI, Part A, Grants to Indian Tribes Part B, Grants to Native Hawaiians

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.708 ARRA - HEAD START**

HS, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007, Public Law 110-134; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the school readiness of low-income children. The objective of the Head Start program is to enhance the cognitive, social and emotional development of low-income children through the provision of comprehensive health, educational, nutritional, social and other services and to involve parents in their childrens learning and to help parents make progress toward their educational, literacy and employment goals. Head Start also emphasizes the significant involvement of parents in the administration of their local Head Start programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible, i.e., from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Programs can serve an additional 35 percent of participants with incomes up to 130 percent of poverty if they can demonstrate that they already are meeting the needs of children below the poverty line in the area served. American Indian and Alaska Native programs may enroll additional over-income children if they enroll all children in their service area that are income eligible and predominantly serve children meeting the low-income criteria. Training and technical assistance grants are available to Head Start programs. The State Advisory Council funds will be awarded as one-time startup grants of not less than \$500,000 to those states that submit an acceptable application, consistent with the requirements of Section 642B of the Head Start Act. See above.

**Applicant Eligibility:**

Program is no longer accepting grant applications.

**Beneficiary Eligibility:**

Program is no longer accepting grant applications.

**Credentials/Documentation:**

Program is no longer accepting grant applications. OMB Circular No. A-87

applies to this program.

**Preapplication Coordination:**

This program is no longer accepting applications. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is no longer accepting applications.

**Award Procedure:**

This program is no longer accepting applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 20%. Head Start grantees are required to provide 20 percent of the total cost of the program, although this may be waived wholly or in part if certain conditions pertain. Matching share may be in cash or in-kind fairly evaluated. The Federal share of the cost of State Advisory Councils activities conducted under section 642B of the Head Start Act shall be 30 percent and the state must provide the non-Federal share of 70 percent.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded under the authority of ARRA are available for obligation through September 30, 2010. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Semiannual financial and annual program reports are required. See the following for information on how assistance is awarded/released: State Advisory Council grants will be awarded to the Governors office and awarded centrally by the Office of Head Start.

**Reports:**

Semiannual financial and annual program reports are required. Funded grantees must submit quarterly reports required by Section 1512 of the Recovery Act. No cash reports are required. No progress reports are required. Expenditure data is included as part of the quarterly reporting requirements of Section 1512 of the Recovery Act. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Recipient must maintain information on children and families served, including income data to determine eligibility and data on services provided. Data should be kept for three years.

**Account Identification:**

75-1537-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - This money was all obligated by the end of FY 2010.

**Range and Average of Financial Assistance:**

\$100,000-\$5,000,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 1311. These are available electronically at the following ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements>

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Iran Rodriquez, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Linda Savage, Regional Program Manager, Administration for Children and Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Jeff Fredericks, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Kimberly Chalk, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Clarence Small, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY):

Deb Hedin, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Colleen Rathgeb, 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: colleen.rathgeb@acf.hhs.gov Phone: (202) 205-7378.

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb>.

**RELATED PROGRAMS:**

93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

The degree to which the proposed project will meet the Head Start Program Performance Standards located on the ACF website: <http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements> and other program objectives as specified in the program announcement.

**93.709 ARRA - EARLY HEAD START**

EHS, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007, Public Law 110-134; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the development of infant and toddler age children. The objective of the Early Head Start program is to enhance the cognitive, social and emotional development of low-income children, including children on federally recognized reservations and children of migratory farm workers, through the provision of comprehensive health, educational, nutritional, social and other services and to involve parents in their childrens learning and to help parents make progress toward their educational, literacy and employment goals. Early Head Start also emphasizes the significant involvement of parents in the administration of their local Early Head Start programs.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

At least 90 percent of the enrollees in a program must be income eligible, i.e., from families whose income is below the poverty line, from families receiving public assistance, from homeless families or children in foster care. Programs may serve an additional 35 percent of participants with incomes up to 130 percent of poverty if they can demonstrate that they already are meeting the needs of children below the poverty line in the area served. American Indian and Alaska Native programs may enroll additional over-income children if they enroll all children in their services area that are income eligible and predominantly serve children meeting the low income criteria. Up to 10 percent of the funding is for training and technical assistance grants and up to 3 percent is for monitoring the program. See above.

**Applicant Eligibility:**

Program is no longer accepting applications.

**Beneficiary Eligibility:**

Program is no longer accepting applications.

**Credentials/Documentation:**

Program is no longer accepting applications. OMB Circular No. A-87 applies to

this program.

**Preapplication Coordination:**

This program is no longer accepting applications. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is no longer accepting applications.

**Award Procedure:**

This program is no longer accepting applications.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 20%. Head Start grantees are required to provide 20 percent of the total cost of the program, although this may be waived wholly or in part if certain conditions pertain. Matching share may be in cash or in-kind fairly evaluated.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funds awarded under the authority of ARRA are available for obligation through September 30, 2010. Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Semiannual financial and annual program reports are required. See the following for information on how assistance is awarded/released: Funds are released by monthly allowance on an Electronic Transfer System or by monthly check. Semiannual financial and annual program reports are required.

**Reports:**

Semiannual financial and annual program reports are required. Funded grantees must submit quarterly reports required by Section 1512 of the Recovery Act. No cash reports are required. No progress reports are required. Expenditure data is included in the quarterly reports required by Section 1512 of the Recovery Act. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits are conducted in accordance with the requirements in 45 CFR, Parts 74 and 92.

**Records:**

Grantee must maintain an accounting system adequate to meet the purposes of the grant. Requirements for records are found in 45 CFR, Part 74 and 92.

**Account Identification:**

75-1537-0-1-506.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - These funds were all obligated by the end of FY 2010.

**Range and Average of Financial Assistance:**

\$100,000-\$5,000,000; \$1,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.



**REGULATIONS, GUIDELINES, AND LITERATURE:**

Chapter XIII of Title 45 Code of Federal Regulations, including 45 CFR 1301 1311. These are electronically at the following ACF website:  
<http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirement>

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Louise Eldridge, Regional Program Manager, Administration for Children and Families, Office of Head Start, Boston Regional Office, JFK Building, Rm. 2000, 15 New Sudbury Street, Boston, MA 02203. Telephone: (617) 565-1150.

Region II (NJ, NY, PI, VI):

Iran Rodriguez, Regional Program Manager, Administration for Children and Families, Office of Head Start, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 173.

Region III (DC, DE, MD, PA, VA, WV):

Linda Savage, Regional Program Manager, Administration for Children and Families, Office of Head Start, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4048.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

Jeff Fredericks, Regional Program Manager, Administration for Children and Families, Office of Head Start, Atlanta Regional Office, Atlanta Federal Center, 61- Forsyth Street, SW, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2841.

Region V (IL, IN, MI, MN, OH, WI):

Kay Willmoth, Regional Program Manager, Administration for Children and Families, Office of Head Start, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-7562.

Region VI (AR, LA, NM, OK, TX):

Kimberly Chalk, Regional Program Manager, Administration for Children and Families, Office of Head Start, Dallas Regional Office, 1301 Young Street, Room 914, Dallas, TX 75202. Telephone: (214) 767-8844.

Region VII (IA, KS, MO, NE):

Clarence Small, Regional Program Manager, Administration for Children and Families, Office of Head Start, Kansas City Regional Office, 601 East 12th Street, Rm. 276, Kansas City, MO 64106. Telephone: (816) 426-2275.

Region VIII (CO, MT, ND, SD, UT, WY)

Deb Hedin, Regional Program Manager, Administration for Children and Families, Office of Head Start, Denver Regional Office, 1961 Stout Street, Suite 924, Denver, CO 80294. Telephone: (303) 844-1106.

Region IX (AZ, CA, HI, NV):

Jan Len, Regional Program Manager, Administration for Children and Families, Office of Head Start, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-8447.

Region X (AK, ID, OR, WA):

Nancy Hutchins, Regional Program Manager, Administration for Children and Families, Office of Head Start, Seattle Regional Office, 2201 Sixth Avenue, room 610 - M/S RX-70, Seattle, WA 98121. Telephone: (206) 615-3661.

**Headquarters Office:**

Colleen Rathgeb, 1250 Maryland Avenue, S.W., Washington, District of Columbia 20024 Email: [colleen.rathgeb@acf.hhs.gov](mailto:colleen.rathgeb@acf.hhs.gov) Phone: (202) 205-7378.

**Website Address:**

<http://www2.acf.dhhs.gov/programs/hsb>.

**RELATED PROGRAMS:**

93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

The degree to which the proposed project will meet the Head Start Program Performance Standards located on the ACF website:  
<http://eclkc.ohs.acf.hhs.gov/hslc/Program%20Design%20and%20Management/Head%20Start%20Requirements/Head%20Start%20Requirements> and other program objectives as specified in the program announcement.

**93.710 ARRA - COMMUNITY SERVICES BLOCK GRANT**

CSBG, Recovery Act.

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Community Services Block Grant Act (CSBG Act), as amended by the Community Opportunities, Accountability, Training, and Educational Services Act of 1998, Public Law 105-285; American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well-being of children, youth, families and communities. Objectives are to provide assistance to States and local communities, working through a network of community action agencies and other neighborhood-based organizations, for the reduction of poverty, revitalization of low-income communities, and empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of Title IV of the Social Security Act). Additional objectives are (1) to provide services and activities having a measurable and potential major impact on causes of poverty in the community or those areas of the community where poverty is a particularly acute problem; (2) to provide activities designed to assist low-income participants, including the elderly poor, to: (a) secure and retain meaningful employment; (b) attain an adequate education; (c) make better use of available income; (d) obtain and maintain adequate housing and a suitable living environment; (e) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including health services, nutritious food, housing, and employment-related assistance; (f) remove obstacles and solve problems which block the achievement of self-sufficiency; (g) achieve greater participation in the affairs of the community; and (h) make more effective use of other related programs; (3) to provide on an emergency basis for the provision of such supplies and services, nutritious food, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor; and (4) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Uses and restrictions for CSBG Recovery Act funds differ from the uses and restrictions that apply to allotments to States from regular CSBG annual appropriations with regard to use and percentage of funds retained by the States. As with regular CSBG grants, States receive CSBG Recovery Act funds to ameliorate the causes of poverty in communities. The block grant approach gives the States flexibility to tailor their programs to the particular services needs in their communities. States are required to pass through 99 percent of their Recovery Act allocations for grants to eligible entities, as defined in the

CSBG Act and use the remaining one percent of funds for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families. See Above.

**Applicant Eligibility:**

The Secretary is authorized to make grants to States. This includes each of the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Virgin Island, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Secretary also provides assistance directly to the governing body of an Indian Tribe or Tribal organization upon application by the tribe. Only State-recognized tribes, as evidenced by a statement to that effect by the Governor, or tribes formally recognized by the Secretary of the Interior, under the procedure for such recognition in 25 CFR 54, are eligible to receive direct grants.

**Beneficiary Eligibility:**

States make grants to qualified locally-based nonprofit community anti-poverty agencies and other eligible entities which provide services to low-income individuals and families. The official poverty line, as established by the Secretary of Health and Human Services, is used as a criterion of eligibility in the Community Services Block Grant program. When a State determines that it serves the objectives of the block grant, it may revise the income limit, not to exceed 200 percent of the official poverty line.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Under the regularly-funded CSBG Program, each State desiring to receive an allotment for a fiscal year is required to submit an application to the Secretary of HHS. For Recovery Act funds, States will receive a separate allotment of funds based on the statutory formula. Within 30 days of receiving new grant allotments, each State must submit an application amendment outlining the intended use of Recovery Act funds, to include how the State will carry out the assurances in Section 676(b) of the CSBG Act. The application amendment must be a separate document from the original application and must contain assurances by the Chief Executive Officer of the State that the State will comply with the allowable uses of funds under Section 675C of the CSBG Act, with modifications to allowable uses specified in the Recovery Act. The application amendment must set forth the general purposes for which funds will be used, including a description of the State intended use for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families in Federal, State, and local benefit programs. The State also must describe how it will incorporate monitoring of Recovery Act funds into its regular monitoring of CSBG eligible entities. This includes descriptions of how the State will monitor restrictions on administrative expenses, eligible recipients, board requirements for community action agencies and other nonprofit organizations, fiscal control, monitoring, and Federal investigation provisions, coordination between antipoverty programs in each community and certain prohibitions on political activities. States also must include a description of how they plan to track CSBG funds from ARRA separately from CSBG funds provided through the regular FY 2009 and 2010 appropriations process. In addition, States must indicate how they plan to evaluate the effectiveness of ARRA CSBG funds, including tracking the number of jobs created. This program is excluded from coverage under 45 CFR Part 1050.

**Award Procedure:**

HHS determines the amount of funds to be allocated as block grants to each State in accordance with the formula set forth in the CSBG Act. The Office of Management and Budget (OMB) has the authority to apportion to HHS through the course of a year the Congressional appropriation for block grants. Consistent with OMB's apportionment of funds, HHS will assign allotments to

the States through individual awards or a series of awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Funds may be withheld from any State which does not utilize its allotment substantially in accordance with the provisions of the CSBG Act, the American Recovery and Reinvestment Act, and the assurances provided in its application. This may be done only after adequate notice and an opportunity for a hearing conducted within the affected State.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title 45, Chapter 96.71, Part 96, Subpart G, Public Law 97-35. States are required to pass through 99 percent of their Recovery Act allocations for grants to eligible entities, as defined in the CSBG Act and use the remaining one percent of funds for benefits enrollment coordination activities relating to the identification and enrollment of eligible individuals and families.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Formula grant awards will be made in FY 2009. Grant funds allotted to the State will be awarded in accordance with apportionment of funds from OMB. Amounts unobligated by the State at the end of a fiscal year remain available for obligation during the succeeding fiscal year. See the following for information on how assistance is awarded/released: Formula grant awards will be made in FY 2009.

**Reports:**

Funded grantees must submit quarterly reports required by Section 1512 of the Recovery Act. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. States must conduct financial and compliance audits of block grant funds annually in accordance with Section 678D of the CSBG Act.

**Records:**

States are required to keep records sufficient to permit preparation of the required reports and to permit tracking of funds to a level of expenditure adequate to ensure that funds have not been spent unlawfully.

**Account Identification:**

75-1537-0-1-506 - TAFS: 75-0910-1537.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

TBD based on statutory formula.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 16, 45 CFR Part 74 and 45 CFR Part 96. All ARRA Standard Terms and Conditions will be applicable to the grantee. Also reference the HHS Grants Policy Statement available online at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

Seth Hassett 901 D Street, S.W., 5th Floor - Room 5A165, Washington, District of Columbia 20447 Email: seth.hassett@acf.hhs.gov Phone: 202-401-2333

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/csbg/>

**RELATED PROGRAMS:**

93.045 Special Programs for the Aging Title III, Part C Nutrition Services; 93.048 Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.568 Low-Income Home Energy Assistance; 93.570 Community Services Block Grant Discretionary Awards; 93.600 Head Start

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.711 ARRA STRENGTHENING COMMUNITIES FUND**

SCF, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well-being of children, youth, families, and communities.

The objectives of the Strengthening Communities Fund (SCF) are to (1) fund entities to provide training, technical assistance, and financial assistance to local faith-based and community organizations enabling them to more fully participate in economic recovery and (2) build the capacity of State, Local, and Tribal governments to provide outreach to faith-based and community-based organizations. The funding is used to build capacity of government and nonprofit organizations to partner with local faith-based and community-based organizations, with a focus on expanding economic recovery efforts, increasing community access to public benefits (including ARRA benefits), and helping low- and moderate-income people secure and retain employment.

SCF is composed of two programs:

**(1) SCF Nonprofit Capacity Building Program**

The focus of the SCF Nonprofit Capacity Building Program is to fund organizations that provide training, technical assistance, and competitive financial assistance to faith-based and community-based nonprofit organizations to help them address the broad economic recovery issues present in their communities, including helping low-income individuals secure and retain employment, earn higher wages, obtain better-quality jobs, and increase access to State and Federal benefits and tax credits.

**(2) SFC Government Capacity Building Program**

The focus of the SCF State, Local, and Tribal Government Capacity Building Program is to build the sustainability and effectiveness of the government entities that provide outreach to faith-based and community-based organizations. Ultimately, these partnerships will enable local nonprofit organizations to better serve those in need and to increase nonprofit organizations' involvement in the economic recovery. Government entities or their designees will use program funds to develop their capacity to serve as a resource to nonprofit organizations and other government agencies regarding ARRA funding/benefits to ensure that disadvantaged and hard-to-serve populations are aware of and understand how to access the benefits and services described in the ARRA. Grantees also will use program funds to offer free capacity building services to nonprofit organizations to improve awareness of and access to ARRA efforts/benefits, improve nonprofits organizational capacities to be active participants in ARRA efforts, and facilitate partnerships

between and among nonprofits and other government agencies. For example, grantees could establish a beneficiary benefits clearinghouse for individuals and a funding opportunities clearinghouse for nonprofit organizations, provide outreach and education, and deliver training and technical assistance.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Under the SCF Nonprofit Capacity Building Program, lead organizations assist nonprofit project partners in distressed communities with capacity building activities in four critical areas: (1) organizational development, (2) program development, (3) collaboration and community engagement (4) leadership development and (5) evaluating their effectiveness. Capacity building activities are designed to increase an organization's sustainability and effectiveness, enhance its ability to provide social services, and create collaborations to better serve those in need. Lead organizations use the award funds to provide two services within their communities: (1) training and technical assistance to nonprofit organizations; and (2) competitive financial assistance to some subset of the nonprofit organizations receiving training and technical assistance. Training and technical assistance activities are conducted at no cost to interested nonprofit organizations. Each organization will also provide subawards to local non-profits to help these organizations build the capacity to expand and strengthen programs and services related to helping low-income individuals secure and retain employment, earn higher wages, and obtain better-quality jobs. Examples of these capacity building activities include staff training, technical assistance, and materials and equipment to enhance efficiency or enable the ability to provide a new service. Funds also help organizations build capacity to expand and strengthen programs aimed at increasing low- and moderate-income individuals access to the state and Federal benefits and tax credits for which individuals are eligible. Examples include developing organizational capacity to offer a counselor-assisted centralized electronic screening and application tool, establishing procedures to assess eligibility of prospective and current clients for benefits and tax credits, developing referral protocols with other local service providers, developing a guide/clearinghouse of benefits and tax credits, and developing the capacity to offer free tax preparation assistance.

Under the SCF State, Local, and Tribal Government Capacity Building Program, funds are awarded to State, city, county and tribal government offices (e.g., offices responsible for outreach to faith-based and community organizations or those offices interested in initiating such an effort) or their designees for the purpose of building the sustainability and effectiveness of the government entities, other government agencies and ultimately local nonprofits to better serve those in need. Specifically, funds are used to build the capacity of organizations that are contributing to the economic recovery and help Federal, State, and local governments ensure that the information and services described in the ARRA reach disadvantaged and hard-to-serve populations. Grantees use program funds to provide free capacity building services to nonprofit organizations, such as developing a funding opportunities clearinghouse and/or training and technical assistance to improve access to ARRA funding/benefits and to improve organizational capacity to be competitive applicants for ARRA funding/benefits. Grantees also will use program funds to build their own capacity to provide these services to nonprofits. Priority for awards will be given to State and Indian/Native American Tribal governments and such governments designees. Grantees must also use funds to measure their own effectiveness and help non-profit organizations develop ways to measure their effectiveness. Costs of organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are unallowable under this program. Awards will not allow reimbursement of pre-award costs. Construction is not an allowable activity or expenditure under this program. Purchase of real property is not an allowable activity or expenditure under this program. The SCF grantees and project partners (including subawardees) may not use funds for direct social service provisions. Funds are intended to help grantees and their partners build and strengthen their capacity to provide services. The cost of the augmentation or supplanting of direct services is unallowable. Direct Federal grants, financial assistance funds, or contracts under the Department of Health and Human Services shall not be used to support inherently religious activities such as

religious instruction, worship, or proselytization. Organizations that receive HHS funds may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded with HHS funds. An organization receiving a SCF award shall not, in providing Federally-funded services, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief. SCF program funding may not pay for capacity building activities that support medical and/or health care related activities or items such as medical equipment or supplies or medically-oriented trainings, certifications, or licensures. SCF Nonprofit Capacity Building Program lead organizations may not provide competitive financial assistance to a health care organization. A grantee is not to use award funds to provide a contract to organizations that provide the grantee with a cost share match.

**Applicant Eligibility:**

(SCF Nonprofit Capacity Building Cooperative Agreements): state governments; county governments; city or township governments; special district governments; public and state-controlled institutions of higher education; Indian/Native American Tribal governments (Federally recognized); nonprofits with 501(c)(3) IRS status (other than institutions of higher education); nonprofits without 501(c)(3) IRS status (other than institutions of higher education); private institutions of higher education; for profit organizations (other than small businesses); small businesses; and faith-based and community organizations that meet the statutory eligibility requirements. Application Eligibility (SCF State, Local, and Tribal Government Capacity Building Grants): state governments; county governments; city or township governments; Indian/Native American Tribal governments (federally recognized); nonprofits with or without 501(c)(3) IRS status (other than institutions of higher education), if designated as Authorized Entities by the government entity.

**Beneficiary Eligibility:**

Funds are used to build the capacity of organizations that are contributing to the economic recovery and help Federal, State, and local governments ensure that the information and services described in the ARRA reach disadvantaged and hard-to-serve populations. Funds help organizations build the capacity to expand and strengthen programs and services related to helping low-income individuals secure and retain employment, earn higher wages, and obtain better-quality jobs. Funds also help organizations build the capacity to expand and strengthen programs that increase low- and moderate-income individuals access to the state and federal benefits and tax credits for which individuals are eligible, such as by offering counselor-assisted use of a centralized electronic eligibility screening tool that simplifies the benefit application process. A nonprofit organization receiving training, technical or financial assistance under this program could operate a one-stop center where individuals can obtain free, customized benefits information, tax information, information on ARRA, and/or apply for benefits and file tax returns.

**Credentials/Documentation:**

The ARRA SCF Funding Opportunity Announcements will specify the required documentation that must be submitted with the applications and by time of the award. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

An applicant should consult the office or official designated as the single point of contact in his or her state for more information on the process the state requires to be followed in applying for assistance, if the state has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Prepare and submit applications according to the instructions provided in the applicable ARRA SCF Funding Opportunity Announcement which can be found online at Grants.gov or on the ACF website: <http://www.acf.hhs.gov/grants/>.

**Award Procedure:**

This program is no longer issuing new awards.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 20%. Awardees must provide at least 20 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF (Federal) share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Awardees will be held accountable for commitments of non-Federal resources even if they exceed the amount of the required match. Failure to provide the required amount will result in the disallowance of federal funds. A lack of supporting documentation at the time of application will not exclude the application from competitive review. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

SCF grants and cooperative agreements are for project/budget periods of 24 months. Method of awarding/releasing assistance: lump sum.

**Reports:**

Funded organizations must submit quarterly reports required by Section 1512 of the Recovery Act. In addition, funded grantees are required to submit Performance Progress Reports, and semi-annual financial status reports using the required standard form (SF-269) which is located on the Internet at: <http://forms.psc.gov/forms/sf/SF-269.pdf>. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

SCF complies with 74.50 Purpose of reports and records, 74.51 Monitoring and reporting program performance and 74.52 Financial reporting of Title 45 of the Code of Federal Regulations.

**Account Identification:**

75-1537-0-1-506 - TAFS: 75-0910-1537.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$1,000,000 for 24 months for SCF Nonprofit Capacity Building Program; \$250,000 for 24 months for SCF State, Local, and Tribal Government Capacity Building Program.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Manager, Office of Community Services (OCS), Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, 5th Floor West,

Washington, DC 20447. Contact: Thom Campbell, Telephone: (202) 401-5483 (office); (202) 401-4719 (fax); thom.campbell@acf.hhs.gov.

**Headquarters Office:**

Rafael J. Elizalde Division of Community Discretionary Programs, Office of Community Services, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W, Washington, District of Columbia 20447 Email: rafael.elizalde@acf.hhs.gov Phone: (202) 401-5115 Fax: (202) 401-4719

**Website Address:**

<http://www.acf.hhs.gov/programs/ocs/index.html>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant organizations are evaluated on the following criteria: Project Abstract, Objectives and Need for Assistance, Approach, Organizational Profiles, Evaluation and Budget and Budget Justification. Applicants will be evaluated under the budget and budget justification criteria on the extent to which they include a budget that is clear, easy to understand, and provides a detailed justification for the amount requested.

**93.712 ARRA - IMMUNIZATION**

Immunization Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Health Service Act Section 301, 42 U.S.C. 241, and Section 317, 42 U.S.C. 247b, as amended; Health Services and Centers Amendments of 1978, Public Law 95-626; Omnibus Budget Reconciliation Act of 1981.

**OBJECTIVES:**

The American Recovery and Reinvestment Act (ARRA) appropriated \$300 million to the Section 317 Immunization program (Section 317) which funds 64 immunization programs that include all 50 states, Washington DC, 5 urban areas, the U.S. Territories, and selected Pacific Island nations. Funding supports states and communities in establishing and maintaining preventive health service programs to immunize individuals against vaccine-preventable diseases.

This investment will expand access to vaccines and vaccination services by augmenting current Section 317 activities. Specifically by:

Provision of financial support to state and local immunization programs

Making recommended vaccines available in all states through the existing network of private and public immunization providers and supporting and expanding the network of providers as needed

Expanding access to influenza, zoster, and childhood vaccines through school-associated immunization programs and through innovative vaccine delivery activities in the community

Providing grants to immunization programs to conduct needs assessments and develop plans that will enable health departments to bill private insurance for immunization services provided to insurance plan members

Increasing national public awareness and knowledge about the benefits and risks of vaccines and vaccine-preventable diseases

Enhancing assessments of vaccine coverage, vaccine impact, vaccine effectiveness and vaccine adverse events.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, conducting and supporting immunization programs directed toward vaccine-preventable diseases, and for the implementation of other program elements as described in Section :050: above and through CDC allowable and unallowable expenses.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide for this requirement through [Grants.gov/Apply](http://Grants.gov/Apply). Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. Applicants will not be able to use any other SF424 (R&R) forms (e.g., sample forms, forms from another FOA) although some of the "Attachment" files may be useable for more than one FOA.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

All applications that are complete and responsive to non-competitive supplemental grant announcements will be evaluated for scientific and technical merit and receive support. Support will be need based and may be formula driven. Applications that are complete and responsive to competitive supplemental grant and cooperative agreement announcements will undergo an objective review process, receive a written critique and be scored according to published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the American Recovery and Reinvestment Act.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: until 12/31/2010. Budget Period: 24 months. See the following for information on how assistance is awarded/released: Through a grant and/or cooperative agreement via Notice of Award.

**Reports:**

No program reports are required. Cash reports are not applicable. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below.

Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will posted to Recovery.gov, containing the following information:

- a. The total amount of ARRA funds under this award;
- b. The amount of ARRA funds received under this award that were obligated and expended to projects or activities;
- c. The amount of unobligated award balances;
- d. A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including
  - The name of the project or activity;
  - A description of the project or activity;
  - An evaluation of the completion status of the project or activity;
  - An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
  - For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment.
- e. Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282).

For any sub-award equal to or larger than \$25,000, the following information:

- The name of the entity receiving the sub-award;
- The amount of the sub-award;
- The transaction type;
- The North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number;
- Program source;
- An award title descriptive of the purpose of each funding action;
- The location of the entity receiving the award;
- The primary location of performance under the award, including the city, State, congressional district, and country; and
- A unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.
- f. All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.
- g. Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted.
- h. Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award.

Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in award notices.

Final financial status and performance reports are required 90 days after the end of the project period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The audit must be completed along with a data collection form, and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditors report(s), or 9 months after the end of the audit period. The audit report must be sent to: Federal Audit Clearing House, Bureau of the Census, 1201 East 10th Street, Jeffersonville, IN 47132. Should you have questions regarding the submission or processing of your Single Audit Package, contact the Federal Audit Clearinghouse at: (301) 763-1551, (800) 253-0696 or email: govvs.fac@census.gov The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grant funds received exceed \$500,000). The grantee must also ensure that appropriate corrective action is taken within 6 months after receipt of the sub-recipient audit report in instances of non-compliance with Federal law and regulations. The grantee is to consider whether sub-recipient audits necessitate adjustment of the grantees own accounting records. If a sub-recipient is not required to have a program-specific audit, the Grantee is still required to perform adequate monitoring of sub-recipient activities. The grantee is to require each sub-recipient to permit independent auditors to have access to the sub-recipients records and financial statements. The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0942-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - 2011 and 2012 No ARRA funds available.

**Range and Average of Financial Assistance:**

From \$30,000 to \$7,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55 b. Guidelines are available. 45 CFR 92, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Mr. Michael Detmer, Management Officer, National Center for Immunization and Respiratory Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop E-05, Atlanta, GA 30333. Telephone: (404) 639-8900. Fax: (404) 639-8626. E-mail: MMD4@cdc.gov.; Grants Management Contact: Sharron Orum, Procurement and Grants Office, Centers for Disease Control and Prevention, Department of Health and Human Services, 2920 Brandywine Road, Room 3618, Atlanta, GA 30341. Telephone: (770) 488-2716.

**Headquarters Office:**

Joni Young National Center for Preparedness, Detection, and Control of Infectious Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop A07, Atlanta, Georgia 30333 Email: JYoung@cdc.gov Phone: (404) 639-4025 Fax: (404) 639-4043

**Website Address:**

<http://www.cdc.gov/>; [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.268 Immunization Grants

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) The extent of the problem; (2) the establishment of specific and measurable objectives to address the problem; and (3) the development of a sound operational plan which will ensure the implementation of each program element and appropriate use of ARRA funds. In determining awarded amounts, population characteristics including breakdown of population by age category, poverty status, percentage who are non-English speaking, residence (percentage living in rural versus urban/suburban areas) and immunization coverage levels may be considered. Other criteria will be listed in individual funding opportunity announcements.

**93.713 ARRA CHILD CARE AND DEVELOPMENT BLOCK GRANT**

Child Care and Development Block Grant (CCDBG), Recovery Act Funds.

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Child Care and Development Block Grant Act of 1990, Public Law 101-508, 42 U.S.C 9858; American Recovery and Reinvestment Act of 2009, Public Law 111-5, 42 U.S.C 9858.

**OBJECTIVES:**

The ARRA - CCDBG is a part of the Child Care and Development Fund (CCDF) program, along with Child Care Discretionary Funds (CFDA number 93.575) the Child Care Mandatory and Matching Funds (CFDA number 93.596). This supplemental FY 2009 CCDBG funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5). This funding will provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well being of children, youth, families, and communities. Objectives under the CCDBG Act are: To make grants to States, Territories, Tribes, and tribal organizations for child care assistance for low-income families and to: (1) allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within such State; (2) promote parental choice to empower working parents to make their own decisions on the child care that best suits their family's needs; (3) encourage States to provide consumer education information to help parents make informed choices about child care; (4) assist States to provide child care to parents trying to achieve independence from public assistance; and (5) assist States in implementing the health, safety, licensing, and registration standards established in State regulations.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Congress directs that Recovery Act funds appropriated for the CCDBG must be used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. Lead Agencies must use CCDBG Recovery Act Funds for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, and other activities that realize the goals of the CCDBG Act. Not more than 5 percent of the aggregate amount of CCDF Funds, including CCDBG Recovery Act Funds, expended by the State or Territory (15 percent for Tribes or tribal organizations) may be expended for administrative costs incurred by the State or Territory to carryout all of its functions and duties. The term "administrative costs" does not include the costs of providing direct services. A State or Territory shall use not less than 4 percent of the aggregate CCDF Funds, including CCDBG Recovery Act Funds, to improve child care quality and availability including comprehensive consumer education, activities to increase parental choice, and other activities such as resource and referral services, provider grants and loans, monitoring and enforcement of requirements, training and technical assistance, and improved compensation for child care staff. In addition to the minimum four percent quality expenditures, \$255,186,000 of the CCDBG Recovery Act Funds shall be reserved by the States for quality improvement activities, of which \$93,587,000 shall be for activities that improve the quality of infant and toddler care. Except for approved construction of child care facilities by Tribal Grantees, no CCDBG Recovery Act Funds may be used for the purchase or

improvement of land, or for the purchase, construction, or permanent improvement of any building or facility (other than for minor remodeling and for upgrading facilities to meet State and local child care standards). No CCDBG Recovery Act Funds provided directly to child care providers through grants or contracts may be expended for any sectarian purpose or activity, including sectarian worship or instruction; however, Grantees must give parents the option of receiving vouchers or certificates to allow parents the choice of faith-based or community child care providers. No CCDBG Recovery Act Funds may be provided for any services provided to students enrolled in grades 1 through 12 during the regular school day; for any services for which such students receive academic credit toward graduation; or for any instructional services which supplant or duplicate the academic program of any public or private school. Lead Agencies shall assure that a substantial portion of the total CCDBG (CCDF Discretionary) Funds will be used to provide assistance to low-income working families who are not receiving assistance under the Temporary Assistance for Needy Families program, attempting through work activities to transition off of temporary assistance programs, nor at risk of becoming dependent on temporary assistance programs.

**Applicant Eligibility:**

Eligibility: All 50 States, the District of Columbia, the Virgin Islands, Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and Federally recognized Tribal Governments, including Alaskan Native Corporations.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Grantees must operate under a CCDF plan approved by the Administration for Children and Families (ACF), and must provide assurances that the Grantee will comply with the requirements of the CCDBG and the Recovery Act and all applicable Federal law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

State, Tribal, and Territorial Lead Agencies already receiving FY2009 funds under the CCDBG program (i.e., Discretionary Funds) have received CCDBG Recovery Act Funds. Separate applications for the CCDBG Recovery Act Funds are not required. To receive funds under the CCDBG Act (CFDA number 93.575), each Grantee must designate a Lead Agency to which grants are awarded and that is accountable for the use of the Discretionary Funds provided, the duties of which shall include developing a CCDF plan. In conjunction with the development of the CCDF plan, the Lead Agency must hold at least one public hearing no earlier than nine months before the CCDF plan becomes effective and after at least 20 days of statewide public notice, to provide the public an opportunity to comment on the provision of child care services under the plan. In advance of the hearing, the Lead Agency must make the content of the plan available to the public. The Lead Agency must also coordinate the provision of services under the program with other Federal, State, and local child care and early childhood development programs. Also, the Lead Agency must consult with appropriate representatives of local governments. Tribal Lead Agencies submitting applications for construction must submit an environmental impact assessment. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. State, Tribal, and Territorial Lead Agencies already receiving FY 2009 funds under the CCDBG Act (i.e., Discretionary Funds) will receive CCDBG Recovery Act Funds. Separate applications for the CCDBG Recovery Act Funds are not required. However, should a Grantee decide to make a substantial change to its approved CCDF plan in FY 2009 as a result of the availability of CCDBG Recovery Act Funds, the Lead Agency must submit an amendment to its existing approved FY 2008-2009 CCDF plan within 60 days of making the change. A decision on the approval of the amendment will be made by ACF within 90 days from the date the amendment is received. (An extension of the time period may be made by a written agreement.)

To receive funds under the CCDBG Act, a Lead Agency desiring to receive an allotment for a fiscal year is required to submit a two-year CCDF plan to ACF, as well as, financial and other information necessary for the grants process. Each plan must contain certifications and assurances by the Lead Agency that it will comply with the requirements of the CCDBG Act. The plan must also include: the designation of a Lead Agency; the provision of assurances regarding policies and procedures as stated in Section 658E(c)(2) of the CCDBG Act; an outline of the intended use of block grant funds in compliance with Section 658E(c)(3) of the CCDBG Act; the provision of certification regarding payment rates as stated in Section 658E(c)(4) of the CCDBG Act; and the establishment of a sliding fee scale. Additional requirements are specified by 45 CFR Parts 98 and 99.

**Award Procedure:**

In April 2009, ACF awarded CCDBG Recovery Act Funds to all State, Tribe, and Territory Lead Agencies that were currently receiving FY 2009 funds under the CCDBG Act.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

ACF will review for approval any amendments to approved FY 2008-2009 CCDF plans submitted by Lead Agencies within 90 days after receipt of the amendment. To receive CCDBG Act Funds, CCDF plans must be submitted for approval every two years. FY 2010-2011 CCDF plans will be approved by ACF within 90 days after the due date.

**Appeals:**

Guidelines for appeals of disapprovals of CCDF plans or plan amendments are specified in regulations (45 CFR Part 99).

**Renewals:**

To receive CCDBG Act Funds, CCDF plans must be submitted to ACF for approval every two years.

**Formula and Matching Requirements:**

Statutory Formula: Title 42, Chapter 105, Part II-B, Subpart 9858m, Public Law 101-508.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

CCDBG Recovery Act Funds were made available to Lead Agencies with approved FY 2008-2009 CCDF plans. Grantees must obligate all CCDBG Recovery Act Funds in the fiscal year in which they are granted or in the succeeding fiscal year. Those funds must be liquidated by the third year. Method of awarding/releasing assistance: lump sum.

**Reports:**

Funded grantees must submit quarterly programmatic reports. In addition, as specified in 45 CFR Part 98, States must report to ACF annually aggregate data on families, children in care, providers, payment methods, and consumer education. Quarterly case-level reports are required to provide data on families, children, and providers, and payment information. No cash reports are required. No progress reports are required. Funded grantees must submit quarterly financial reports. Monitoring is in accordance with 45 CFR 98.90.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Proper grant accounting records must be maintained. State, Territorial and Tribal Lead Agencies must separately track and report on expenditures of CCDBG Recovery Act Funds.

**Account Identification:**

75-1516-0-1-609.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - One-fourth of 1 percent of these supplemental CCDBG funds is reserved to provide technical assistance to Grantees via contracts. FY 2010 amounts reflect contract obligations for technical assistance activities.

**Range and Average of Financial Assistance:**

For States, including the District of Columbia and Puerto Rico, the range of CCDBG Recovery Act Funds in FY 2009 was approximately \$2.5 million to \$220 million; the average award was approximately \$38 million. For 260 Tribal Grantees, the approximate range of CCDBG Recovery Act Funds in FY 2009 was: \$3,000 to \$5 million; the average was approximately \$154,000. For the four Territories, the range of CCDBG Recovery Act Funds in FY 2009 was approximately \$1.8 million to \$4 million; the average grant was \$2.5 million (These figures do not include other FY 2009 CCDF funds received through CCDF Mandatory and Matching Funds (93.575) and CCDF Discretionary Funds (93.596)). These funds were not available in Fiscal Year 2008. One-fourth of 1 percent of these supplemental CCDBG funds is reserved to provide technical assistance to Grantees via contracts.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No new grants will be awarded. Fiscal Year 2012: No new grants will be awarded. Fiscal Year 2013: No new grants will be awarded.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

These funds are subject to the Child Care and Development Fund regulations at 45 CFR Parts 98 and 99.

**Regional or Local Office:**

See Regional Agency Offices. Persons are encouraged to communicate with the Office of Child Care (OCC) Regional Program Managers (RPM). Contact information for the RPMs is available at [http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program\\_managers.htm](http://www.acf.hhs.gov/programs/ccb/ta/raaddr/program_managers.htm).

**Headquarters Office:**

Mary Sprague, Office of Child Care, Administration for Children and Families, Department of Health and Human Services, 370 L'Enfant Promenade, S.W., 5th Floor East, Washington, District of Columbia 20447 Email: [mary.sprague@acf.hhs.gov](mailto:mary.sprague@acf.hhs.gov) Phone: (202)-401-4831 Fax: (202)-690-5600.

**Website Address:**

<http://www.acf.hhs.gov/programs/ccb>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.575 Child Care and Development Block Grant; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.714 ARRA EMERGENCY CONTINGENCY FUND FOR TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) STATE PROGRAM**

TANF Emergency Fund, Recovery Act

**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

TANF Emergency Fund, Recovery Act, Title IV, Part A, Section 2101, Public Law 111-5, 42 U.S.C 603(c).

**OBJECTIVES:**

This funding was to provide economic stimulus to the nation while furthering the ACF mission to promote the economic and social well being of children, youth, families, and communities. The objective of the program was to provide up to \$5 billion for jurisdictions (States, Territories, and Tribes) in fiscal year (FY) 2009 and FY 2010 that had an increase in assistance caseloads and/or certain types of expenditures. This Emergency Fund was in addition to the TANF Contingency Fund in section 403(b) of the Act that gives money to



qualifying States (but not Territories or Tribes) during an economic downturn.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Emergency Fund grants are Federal TANF funds. Jurisdictions must use these funds in accordance with section 404 of the Act. This does not include authority to transfer emergency funds to either the Social Services Block Grant (SSBG) or the Child Care and Development Block Grant (CCDBG) because that transfer authority is limited to grants made under section 403(a) of the Act. Emergency funds are available until expended.

Jurisdictions may carry over emergency funds for use in a succeeding fiscal year as authorized under section 404(e) of the Act, i.e., the funds are available until expended. Section 403(c)(5) of the Act imposes a cumulative cap on the amount of emergency funding that a jurisdiction can receive for the two-year period. The capped amount consists of the cumulative combined grants from the existing Contingency Fund (section 403(b)) and the Emergency Fund (section 403(c)) and the total of the two cannot exceed 50 percent of the jurisdictions annual Federal TANF family assistance grant.

The same financial and programmatic rules pertaining to the appropriate use of the jurisdictions Federal TANF block grant funds also apply when using the emergency funds. This also means that all TANF requirements, including work participation requirements and time limits, apply to families receiving assistance with emergency funds exactly as they do to families receiving other Federal TANF-funded assistance. See above.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Federal funds go to the State, Territory, or Tribal TANF agencies. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Funding was available in fiscal years 2009 and 2010 for jurisdictions that were eligible by having an increase in assistance caseloads or certain types of expenditures. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Jurisdictions had to submit applications by September 1, 2010.

**Award Procedure:**

Requests for emergency funds approved by HHS were distributed quarterly.

**Deadlines:**

Sep 01, 2010 Initial requests were submitted by September 1, 2010, for qualifying expenditures made in fiscal years 2009 and 2010, with updates to data allowed until September 30, 2011.

**Range of Approval/Disapproval Time:**

Review and evaluation of applications has been a priority and we acted upon them within an as soon as possible timeframe.

**Appeals:**

Jurisdictions facing an adverse action by the Secretary of HHS may appeal under both administrative and judicial procedures.

**Renewals:**

Funding for the program ended September 30, 2010.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Jurisdictions were awarded their emergency fund grants as applications were

approved. They may reserve grant moneys, without fiscal year limitation. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Progress reports are not applicable. Jurisdictions have to submit information on caseloads and expenditures. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits shall be conducted by the Inspector General and the jurisdictions under Chapter 75 of Title 31, United States Code.

**Records:**

Jurisdictions must maintain records containing information the Secretary may require by regulation. Information submitted in support of a request for Emergency Funds will be tested for reliability and accuracy. Accordingly, jurisdictions are expected, as required by the federal regulations at 45 CFR 92.20 and 45 CFR 92.42, to maintain pertinent documentation related to caseload and expenditure data used to support the request for funds, be able to link the information to the relevant reporting and accounting system, and make such information available in a clear and understandable form that can be validated by an auditor.

**Account Identification:**

75-1523-0-1-506 - TAFS: 75-0910-1523.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Up to \$5 billion was available in FY 2009 and 2010.

**Range and Average of Financial Assistance:**

The range for ARRA actual allocations was \$20,374 and \$837,950,135 with an average of \$58,444,898.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Program rules for State programs can be found at 45 CFR Parts 260 through 265. Tribal rules can be found at 45 CFR Part 286. Guidance for the submittal of applications for the Emergency Fund, was accomplished through issuance of a Policy Announcement and Program Instruction, including reporting forms approved under the Paperwork Reduction Act.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Carol Monteiro, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-2462.

Region II (NJ, NY):

Frank Ceruto, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 133.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

LaMonica Shelton, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2938.

**Region V (IL, IN, MI, MN, OH, WI):**

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

**Region VI (AR, LA, NM, OK, TX):**

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

**Region VII (IA, KS, MO, NE):**

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 349, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

**Region VIII (CO, MT, ND, SD, UT, WY)**

Larry Brendel, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 999 18th Street, South Terrace, Suite 499, Denver, CO 80202. Telephone: (214) 767-6236.

**Region IX (AZ, CA, HI, NV):**

Julie Fong, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579.

**Region X (AK, ID, OR, WA):**

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.594 Tribal Work Grants; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.715 RECOVERY ACT COMPARATIVE EFFECTIVENESS RESEARCH - AHRQ**

**FEDERAL AGENCY:**

Agency for Healthcare Research and Quality, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Part A, Public Law 74-271, 42 U.S.C 1301-1320; American Recovery and Reinvestment Act of 2009, Title 8, Public Law 111-5; Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Title IX, Section 1013, Public Law 108-173, 42 U.S.C 1305; Public Health Service Act, Title IX, 42 U.S.C 299 et seq.

**OBJECTIVES:**

To improve health outcomes by providing evidence to enhance medical decisions made by patients and their medical providers. This goal is pursued by generating research comparing different interventions and strategies to prevent, diagnose, treat and monitor health conditions. Funds are available under the American Recovery and Reinvestment Act of 2009 to support research and evaluations, demonstration projects, research networks and multidisciplinary centers, predoctoral and postdoctoral training opportunities, individual fellowships, and to disseminate rigorous evaluations of the impact of different options that are available for treating a given medical condition for a particular set of patients.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The research will contribute to the health services and clinical knowledge base in comparative effectiveness of different treatment and practices from which empirically based information can be derived by patients, providers, policymakers, and other stakeholders, both immediately and over the coming decades. Grant funds will be available in FYs 2009 and 2010 for costs necessary to carry out an approved project. Unallowable costs, as well as those for which prior written approval is required, are indicated in the HHS Grants Policy Statement. Grantees must comply with all Recovery Act reporting requirements. Approximately 66% of the \$300,000,000 in Recovery Act funds provided to AHRQ for CER research was awarded for discretionary grants.

**Applicant Eligibility:**

Award recipients include a combination of academic institutions, States, community-based organizations, and private or non-profit national organizations.

**Beneficiary Eligibility:**

Funds will be spent to research and provide information on the relative strengths and weaknesses of various medical interventions. Such research will give clinicians and patients valid information with which to make decisions that will improve the performance of the U.S. health care system.

**Credentials/Documentation:**

Nonprofit organizations must submit proof of their nonprofit status when applying for grants. Costs will be determined in accordance with HHS Regulations 45 CFR 74 or 45 CFR 92 as appropriate. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. No new grants will be awarded by AHRQ under the Recovery Act in FY2012 or FY2013, therefore applications are no longer being accepted.

**Award Procedure:**

Following review for scientific merit by a group composed primarily of nonfederal scientists, grant applications may be reviewed by the National Advisory Council for Healthcare Research and Quality, after which AHRQ makes final decisions to support recommended applications. When such decisions are made, applicants are notified directly by AHRQ staff and all required steps are taken to issue the Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants may be approved for project periods up to 4 years. Funds will be awarded for the total project in fiscal year 2009 or 2010. Costs budgeted beyond the initial 12 months of funding will be restricted pending satisfactory progress. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cash Request System.

Method of awarding/releasing assistance: lump sum.

**Reports:**

Grantees must submit quarterly reports in compliance with the American Recovery and Reinvestment Act of 2009. Inventions are to be reported immediately. A final progress report must be submitted within 90 days after the end of the project. Grantees must submit quarterly SF425 reports to HHS' Program Support Center (PSC). Progress reports are required to be submitted to AHRQ on an annual basis and will be based on the PHS 2590 Non-Competing Continuation Progress Report. A Federal Financial Report (FFR; SF425) must be submitted within 90 days after the end of the calendar quarter of each 12 month increment of time. A final FFR must be submitted within 90 days after the project period end date. Quarterly performance monitoring in accordance with the requirements of the Recovery Act.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Records must be retained for at least three years; records shall be retained beyond the three year period if audit findings have not been resolved.

**Account Identification:**

75-0910-1-7-010.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - The \$310,969,115 in Recovery Act funds awarded by AHRQ in FY2010 represent AHRQ ARRA grants (\$199,463,507) and AHRQ OS ARRA grants (\$111,505,608). No new grants will be awarded by AHRQ in FY2011, FY2012, or FY2013 under the Recovery Act.

**Range and Average of Financial Assistance:**

AHRQ ARRA grants: \$563,672 to \$9,898,332; \$3,693,769 average. AHRQ OS ARRA grants: \$361,109 to \$11,881,843; \$2,027,375 average. These are total cost figures.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No new grants were awarded by AHRQ under the Recovery Act. Fiscal Year 2012: No new grants will be awarded by AHRQ under the Recovery Act. Fiscal Year 2013: No new grants will be awarded by AHRQ under the Recovery Act.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

American Recovery and Reinvestment Act of 2009; 42 CFR 67, Regulations for Health Services Research, Evaluation, Demonstration, and Dissemination Projects as amended by Public Law 106-129; HHS Grants Policy Statement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Jean Slutsky, Agency for Healthcare Research and Quality, Department of Health and Human Services, 540 Gaither Road, Rockville, Maryland 20850  
Email: Jean.Slutsky@AHRQ.HHS.gov Phone: (301) 427-1600.

**Website Address:**

<http://effectivehealthcare.ahrq.gov>

**RELATED PROGRAMS:**

93.225 National Research Service Awards\_Health Services Research Training;  
93.226 Research on Healthcare Costs, Quality and Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The proposals must first be reviewed by review groups and recommended for funding on the basis of scientific and technical merit. This includes consideration of the qualifications of the principal investigator and staff to conduct the research using appropriate methodology and budget. Applications may be reviewed for program relevance by the National Advisory Council for Healthcare Research and Quality. Those recommended proposals which are most relevant to comparative effectiveness and promote the goals of the ARRA will be funded to the extent that funds are available.

**93.716 ARRA TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) SUPPLEMENTAL GRANTS**

Supplemental Grants for Population Increases in Certain States, Recovery Act  
**FEDERAL AGENCY:**

Administration for Children and Families, Department of Health and Human Services

**AUTHORIZATION:**

Supplemental Grants for Population Increases in Certain States, Recovery Act, Title IV, Part A, Section 2102, Public Law 111-5, 42 U.S.C 603(a)(3).

**OBJECTIVES:**

These funds will help promote the economic and social well being of children, youth, families, and communities. The objective of the program is to provide supplemental TANF funds for States with exceptionally high population growth in the early 1990s, historic (1994) welfare grants per poor person lower than 35 percent of the national average, or a combination of above average population growth and below average historic welfare grants per poor person.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The Federal TANF Supplemental Grants are in addition to the States annual Federal TANF block fund. Thus, these funds are subject to the same uses and restrictions as the States annual Federal TANF block grant (see CFDA 93.558 Temporary Assistance for Needy Families), and repeated below.

Each State designs and operates its own TANF program, and establishes the specific eligibility criteria that must be met to receive financial assistance payments or other types of benefits and services. Each State has broad flexibility to use the grant funds in any manner that is reasonably calculated to accomplish a purpose of the TANF program (including providing low-income households with assistance in meeting home heating and cooling costs). The purposes of the TANF program are to assist needy families to care for their children in their own homes; reduce dependency of needy parents by promoting job preparation, work and marriage; prevent and reduce the incidence of out-of-wedlock pregnancies; and encourage the formation and maintenance of two-parent families. A State may also use the funds in ways that had been authorized and allowable under its former approved Aid to Families with Dependent Children (AFDC), Job Opportunities and Basic Skills Training (JOBS), and Emergency Assistance (EA) plans. A State may also transfer a limited portion of its Federal TANF funds to the Child Care and Development Block Grant (CCDBG) and Social Services Block Grant (SSBG) Programs. No

State may spend more than 15 percent of its Federal TANF funds on administrative costs, exclusive of certain computerization and information technology expenses. See above.

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

Federal funds go to the State (the grantee). States decide the objective eligibility criteria and verification required to determine eligibility and payment of TANF benefits. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Supplemental Grants, like the annual Federal TANF block grant, are awarded in quarterly payments.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Varies by State (usually within 45 days).

**Appeals:**

States must provide opportunities for recipients who have been adversely affected to be heard in a State administrative or appeal process.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 75.%. The TANF program, which includes the standard TANF block grant and the additional Supplemental Grants for 17 States, has an annual cost-sharing requirement known as maintenance-of-effort (MOE). This means that every fiscal year, each State receiving Federal TANF funds must spend an applicable percentage of its own money to help eligible families in ways that are consistent with the purposes of the TANF program. The applicable percentage depends on whether the State meets the minimum work participation rate requirements for that fiscal year. If the State does not meet the work participation rates, then it must spend 80 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs. If the State meets the work participation rates, then the applicable percentage is 75 percent of the amount it spent for fiscal year 1994 on AFDC and AFDC-related programs. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

States are awarded Supplemental Grants in quarterly payments. Once awarded, the funds are available to the State until expended. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

States receiving the TANF block grant and Supplemental Grants must submit quarterly data reports on families receiving assistance. States must also report expenditures of grant funds on a quarterly basis. Expenditure data related to Supplemental Grants will be reported in a separate category on the quarterly TANF expenditure report for FY 2011. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The TANF program (including the additional TANF supplemental grants) is subject to the Single Audit Act under Chapter 75 of Title 31, United States Code.

**Records:**

States are subject to the uniform administrative requirements in 45 CFR Part 92. In particular, the regulations at 45 CFR 92.20 require that all grantees have a financial management system that can adequately trace expenditures to ensure that the funds have been used appropriately, and not in violation of any programmatic restrictions and prohibitions; and require that accounting records are supported by source documentation to support all expenditures. Also, the regulations at 45 CFR 92.42 and TANF Program Instruction TANF-ACF-PI-2003-1, dated January 28, 2003 (<http://www.acf.hhs.gov/programs/ofa/policy/pi-ofa/2003/pi2003-1.PDF>), address record retention and access requirements applicable to all financial and programmatic records, supporting documents, statistical records, and other records of grantees or subgrantees.

**Account Identification:**

75-1558-0-1-506.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

State Supplemental Grants are from \$1,132,701 to \$60,405,668, with an average of \$18,791,190.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Temporary Assistance for Needy Families (TANF) Final Rule was originally published in the Federal Register on April 12, 1999 (Vol. 64, No. 69). The TANF final rule implementing the statutory changes pursuant to Deficit Reduction Act of 2005 (Public Law 109-171), which reauthorized the TANF program through FY 2010, were published in the Federal Register on February 5, 2008 (Vol. 73, No. 24). The TANF regulations applicable to State TANF Programs are found in 45 CFR Parts 260 through 265.

**Regional or Local Office:**

See Regional Agency Offices. Region I (CT, MA, ME, NH, RI, VT):

Carol Monteiro, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Boston Regional Office, JFK Building, Rm. 2000, Boston, MA 02203. Telephone: (617) 565-2462.

Region II (NJ, NY):

Frank Ceruto, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, New York Regional Office, 26 Federal Plaza, Room 4114, New York, NY 10278. Telephone: (212) 264-2890, ext. 133.

Region III (DC, DE, MD, PA, VA, WV):

Eileen Friedman, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Philadelphia Regional Office, 150 S. Independence Mall West, Suite 864, Philadelphia, Pennsylvania 19106-3499. Telephone: (215) 861-4058.

Region IV (AL, FL, GA, KY, MS, NC, SC, TN):

LaMonica Shelton, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Atlanta Regional Office, 61 Forsyth Street, Suite 4M60, Atlanta, Georgia 30303-8909. Telephone: (404) 562-2938.

Region V (IL, IN, MI, MN, OH, WI):

Steven Krasner, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Chicago Regional Office, 233 N. Michigan Ave. - Suite 400, Chicago, IL 60601. Telephone: (312) 353-3265.

**Region VI (AR, LA, NM, OK, TX):**

Larry Brendel, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Dallas Regional Office, 1301 Young Street, Room 945, Dallas, TX 75202. Telephone: (214) 767-6236.

**Region VII (IA, KS, MO, NE):**

Gary Allen, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Kansas City Regional Office, Rm. 349, 601 E 12 St., Kansas City, MO 64106. Telephone: (816) 426-2236.

**Region VIII (CO, MT, ND, SD, UT, WY)**

Larry Brendel, Acting Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Denver Regional Office, 999 18th Street, South Terrace, Suite 499, Denver, CO 80202. Telephone: (214) 767-6236.

**Region IX (AZ, CA, HI, NV):**

Julie Fong, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, San Francisco Regional Office, 90 7th Street, Ninth Floor, San Francisco, CA 94103. Telephone: (415) 437-7579.

**Region X (AK, ID, OR, WA):**

Frank Shields, Regional Program Manager, Administration for Children and Families, Office of Family Assistance, Seattle Regional Office, 2201 Sixth Avenue, M/S 74, Seattle, WA 98121. Telephone (206) 615-2569.

**Headquarters Office:**

Robert M. Shelbourne Office of the Director, Office of Family Assistance, Administration for Children and Families, Department of Health and Human Services, 5th Floor East, Aerospace Building, 370 L'Enfant Promenade, SW., Washington, District of Columbia 20447 Email: rshelbourne@acf.hhs.gov Phone: (202) 401-5150 Fax: (202) 401-5554

**Website Address:**

<http://www.acf.hhs.gov/programs/ofa/tanf/index.html>

**RELATED PROGRAMS:**

93.558 Temporary Assistance for Needy Families; 93.594 Tribal Work Grants; 93.595 Welfare Reform Research, Evaluations and National Studies; 93.667 Social Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.717 ARRA - PREVENTING HEALTHCARE-ASSOCIATED INFECTIONS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Health Service Act Sections 301(a)[42 U.S.C. 241(a)] American Recovery and Reinvestment Act of 2009, Public Law 111-5, 42 U.S.C 241(a).

**OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5). The ARRA funds are intended to reduce preventable healthcare-associated infections through State health department efforts to prevent HAIs including leveraging the National Health Care Safety

Network to support the dissemination of HHS evidence-based practices within hospitals (\$40 million). Specific goals include: (1) progress towards prevention targets (e.g., 50-70% reduction in bloodstream infections); (2) use of the metrics and supporting systems to assess progress towards meeting the targets; (3) broad implementation of current evidence-based prevention guideline recommendations; (4) develop and implement state public health-healthcare HAI prevention collaboratives to implement prioritized HAI prevention recommendations using CDC's NHSN as the measurement system; (5) enhance and expand participation by hospitals and other healthcare facilities in the NHSN to facilitate reporting of appropriate HAI metrics and progress toward five-year prevention targets to state health departments and CDC, HHS, and other HHS OPDIVs; (6) build a public health workforce in health departments who can coordinate state-wide initiatives to ensure progress towards five-year national prevention targets; (7) assist States in the development and submission of state HAI prevention plans; (8) quickly expand its infrastructure to address a broader array of HAI epidemiology; (9) provide additional training for EIP state staff on HAI epidemiology and surveillance; (10) develop and implement enhanced surveillance tools and methods, and add staff for targeted two year projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CDC will provide 99.5 percent of the funds to eligible states using the following existing Cooperative Agreements: the Epidemiology and Laboratory Capacity for Infectious Disease program, and the Emerging Infections Program.

Project funds may be used for costs associated with planning, organizing, conducting and supporting programs directed toward preventing healthcare associated infections, and for the implementation of other program elements as described in Section :050: above. These funds may be used for the preservation of jobs necessary to build capacity in state and local health departments related to healthcare associated infection prevention. See above.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, describe plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next two years and provide a budget with justification of funds requested. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide for this requirement through [Grants.gov/Apply](http://Grants.gov/Apply). Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. Applicants will not be able to use any other SF424 (R&R) forms (e.g., sample forms, forms from another FOA) although some of the "Attachment" files may be useable for more than one FOA.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office

Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov.

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

All applications that are complete and responsive to non-competitive supplemental grant announcements will be evaluated for scientific and technical merit and receive support. Support will be need based and may be formula driven. Applications that are complete and responsive to competitive supplemental grant and cooperative agreement announcements will undergo an objective review process, receive a written critique and be scored according to published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the American Recovery and Reinvestment Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until December 29, 2011. Budget Period: variable. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to Recovery.gov, containing the following information:

(a) The total amount of ARRA funds under this award; (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities; (c) The amount of unobligated award balances; (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment. (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law

109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.

(f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.

(g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted. (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in award notices. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0144-0-1-550 - TAFS 75 9/10 0144.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - N/A no additional data or dollar figures associated with this CFDA number.

**Range and Average of Financial Assistance:**

From \$100,000 to \$1,600,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55 b. 45 CFR 92, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Joni Young, National Center for Preparedness, Detection, and Control of Infectious Diseases, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop A07, Atlanta, Georgia 30333 Email: JYoung@cdc.gov Phone: (404) 639-4025 Fax: (404) 639-4043.

**Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state health departments for HAI activities and would not be available for other non-related infectious disease activities. For state applicants to be eligible they will have to outline a plan for reporting progress toward HHS Action Plan Prevention Targets using specified metrics, either by participating in NHSN or by using NHSN definitions and surveillance methods in systems compatible with NHSN. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next 2 years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements. This Program requires Congressional Notification. Not Approved.

**93.718 HEALTH INFORMATION TECHNOLOGY REGIONAL EXTENSION CENTERS PROGRAM****FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 3012(c) of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act of 2009, Public Law 111-5 (ARRA).

**OBJECTIVES:**

Establish Health Information Technology Regional Extension Centers to identify and disseminate best practices and provide technical assistance supporting the adoption and meaningful use of health IT to improve care quality while protecting patient privacy. The statutory objective of the regional centers is to enhance and promote the adoption of health information technology through means specified in PHSA 3012(c)(3).

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Funds may be used for the initial and operating expenses incurred in establishing and operating a regional center that provides technical assistance services to providers seeking to adopt, implement, and/or meaningfully use certified electronic health records (EHR) technology. The assistance supported under this health information technology extension program, and carried out by regional centers, is technical assistance and consulting service to providers, and does not include funding to the providers. None of the funds appropriated or otherwise made available in ARRA may be used by a state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

None.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: PHSA 3012(c)(5) states that the Secretary may not provide more than 50 percent of the capital and annual operating and maintenance funds required to create and maintain such a center, except in an instance of national economic conditions which would render this cost-share requirement detrimental to the program and upon notification to Congress as to the justification to waive the cost-share requirements. The Secretary has determined that there are national economic conditions which would render the 50 percent cost share requirement to be detrimental to the program and has provided such notification to Congress. Instead, the Secretary has structured a funding partnership between HHS and recipients, as indicated in the Program Announcement.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

PHSA 3012(c)(5), as added by ARRA, specifies that the Secretary may provide financial support to any regional center created under PHSA 3012(c) for a period not to exceed 4 years. Awards are expected to be for one, 4-year budget period and a four year project period, with a 90/10 matching requirement across all 4 years. See the following for information on how assistance is awarded/released. Subject to meeting performance requirements. See the following for information on how assistance is awarded/released: Subject to meeting performance requirements.

**Reports:**

Program report requirements, if applicable, will be identified in the Program Announcement. The Federal Cash Transaction Report (formerly the PSC-272) is due after the end of each quarter (January 30, April 30, July 30, and October 30). Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. For purposes of reporting, ARRA recipients must also report on ARRA sub-recipient (sub-grantees and sub-contractors under the cooperative agreement) activities. Reporting requirements will be detailed in the program announcement and included in award notices. The frequency of interim progress reports and financial status reports will be identified in the program announcement and will be submitted no later than 30 days following the end of the reporting period to which they pertain. The Federal Financial Report (FFR-425) is due within 90 days after the end of the applicable 12-month period (January 30). ARRA reporting and agency programmatic reporting provisions will require awardees to evaluate performance in view of stated objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$44,296,529; FY 12 est \$29,284,556; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards for regional centers are expected to average \$8.5M.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR part 74 and the HHS Grants Policy Statement located at: <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Mat Kendall 330 C Street, SW, Suite 1100, Washington, District of Columbia 20201 Email: [regional-center-applications@hhs.gov](mailto:regional-center-applications@hhs.gov) Phone: (202)690-7151

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining merit of applications will be made available in the program announcement(s) for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.719 ARRA - STATE GRANTS TO PROMOTE HEALTH INFORMATION TECHNOLOGY****FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA) of 2009, Division A, Title XIII, HITECH Act, Section 3013.

**OBJECTIVES:**

Promote the electronic movement and use of health information among organizations using nationally recognized interoperability standards. Enable providers to qualify for Medicare and Medicaid financial incentives, authorized by ARRA, by providing health information exchange that meets meaningful use requirements. Improve health care quality and efficiency. A subset of grantees received additional funding to focus on breakthrough innovations for health information exchange that can be leveraged widely to support nationwide health information exchange and interoperability.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

This state-based program is targeted specifically towards developing widespread and sustainable health information exchange (HIE) capacity in support of the meaningful use definition that qualifies providers for the

Medicare and Medicaid incentive payments. This program also supports state public health programs to ensure that public health stakeholders prepare for HIE and mobilizes clinical data needed for consumer engagement across all states. Grantees working on breakthrough innovations are focused on: achieving health goals through health information exchange, improving long-term and post-acute care transitions, consumer-mediated information exchange, enabling enhanced query for patient care and fostering distributed population-level analytics.

None of the funds appropriated or otherwise made available in ARRA may be used by an state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

Either a State or State Designated Entity may apply.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

State governments and Qualified State-Designated Entities are eligible to apply.

The program will require a letter from the Governor establishing the Qualified State Designated Entity, if applicable. Documentation must be provided in accordance with the requirements of all applicable OMB Circulars. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: In FY 2010, there is no match required. Beginning with fiscal year 2011, the HITECH Act, Section 3013, requires awardees to make available non-Federal contributions (which may include in-kind contributions) toward the costs of a grant awarded in an amount equal to not less than \$1 for each \$10 of federal funds provided under this grant in fiscal year 2011, not less than \$1 for each \$7 of federal funds provided under this grant in fiscal year 2012 and not less than \$1 for each \$3 of federal funds provided under this grant for all subsequent fiscal years. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are expected to be for a four year period. See the following for information on how assistance is awarded/released: Subject to meeting performance requirements.



**Reports:**

Grantees are required to submit bi-annual progress reports outlining their work in advancing the development of widespread and sustainable health information exchange capacity in support of the meaningful use. Programmatic reporting requirements will be identified in the Program Announcement. Federal Case Transaction Report (formerly PSC-272) is due 30 days after the end of each quarter (January 30, April 30, July 30, and October 30). Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must also report on ARRA sub-recipient (sub-grantee and sub-contractor) activities. Reports required by ARRA will be required quarterly.

Additional reporting requirements, including the frequency thereof, will be detailed in Funding Opportunity Announcements and included in award notices. Federal Financial Report (FFR 425) is due within 90 days after the end of the applicable 12-month period (January 30). ARRA reporting and programmatic reporting will require awardees to evaluate performance in view of stated objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$16,296,562; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Average of each award is estimated at \$10.25M.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Chris Muir 300 C Street, SW, Suite 1100  
, Washington, District of Columbia 20201 Email: christopher.muir@hhs.gov  
Phone: (202) 205-0470

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining merit of applications will be made

available in the funding opportunity guidance document(s) for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.720 ARRA - SURVEY AND CERTIFICATION AMBULATORY SURGICAL CENTER HEALTHCARE-ASSOCIATED INFECTION (ASC-HAI) PREVENTION INITIATIVE**

ASC-HAI Initiative - Recovery Act

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Recovery Act), Section 1864 of the Social Security Act.

**OBJECTIVES:**

- (a) Improve State Agency inspection capability and frequency for onsite surveys of Ambulatory Surgical Centers nationwide;
- (b) Use a new infection control survey tool developed by the Centers for Disease Control and Prevention and CMS;
- (c) Improve the survey process through the use of a CMS tracer methodology; and
- (d) Use multi-person teams for ASCs over a certain size or complexity.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

States will use the funding to conduct additional ASC surveys, save and/or create jobs directly within the State Agency; contract with experienced surveyors who will be trained in the new ASC survey process, enlist the services of State physicians or certified infection control specialists who will accompany surveyors on several of their initial surveys conducted under the new survey process. Funding may not be used to offset costs that are funded through CMS regular survey and certification budget.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Any questions about the Recovery Act ASC HAI Initiative or the application process should be directed to Angela Mason-Elbert at 410-786-8279. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Memorandum S&C-09-43 outlined the Recovery Act ASC-HAI initiative application process. States must submit projected plans and costs eligible for Recovery Act funding. The plans must include the following:

- Identifying information
- Staffing plan
- Capability Expansion and Hiring Plan
- Training Plan
- Survey Plan
- Barriers and Prospective Solutions
- Budget Estimate

**Award Procedure:**

All plans must meet the minimum requirements. Plans will be reviewed and grants awarded based on the amount of funding available.

**Deadlines:**

Jun 30, 2009 to Aug 30, 2009 Submission of Plan for FY 2009 funding: June 30, 2009

Selection of States for FY 2009 Implementation: July 2009

Notice to States of FY 2009 Approval & Funding Levels: July 2009

Start Implementation in FY 2009 for Volunteer States: July 2009

Submission of Plan for FY 2010 funding: August 30, 2009

Notice to States of FY 2010 Approval & Funding Levels: September 2009.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. There is no match requirement for States for the Recovery Act ASC-HAI Initiative. Additionally, cost-sharing does not apply insofar as it pertains to the add-ons to the survey process that are occasioned by the Recovery Act.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Funding is available over two years. Method of awarding/releasing assistance: lump sum.

**Reports:**

All State Agencies must be able to track and report ASC-HAI project activities, program participant data, and spending separate from other survey and certification activities. Reporting requirements include quarterly reports, annual reporting, and close-out reporting. State Agencies are responsible for furnishing data on the number of jobs created or saved.

CMS will produce quarterly reports on what work has been completed, including milestones such as training, outreach efforts, and allotments to State Agencies. CMS will also issue an evaluative report on the new ASC survey process. This report will include State Agency input on the value from the enhanced survey infection control tool and other important aspects of the new survey process. No cash reports are required. No progress reports are required. No expenditure reports are required. Based on State agency input into Survey and Certification databases CMS will capture output and outcome measures such as training of surveyors and an increase of ASC surveys performed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Recipients must follow the Administrative requirements for record keeping as listed in A-102.

**Account Identification:**

75-0518-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 Not Available; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 09: (12 States participating in pilot program); Range for 12 States is from \$11,500-\$125,000; and an average of \$61,163; FY 10: Range of 43 States participating \$17,262 - \$1,365,979; and an average of \$190,715.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

The HHS Grants Policy Statement can be found at:

[http://www.hhs.gov/grantsnet/docs/HHSGPS\\_107.doc](http://www.hhs.gov/grantsnet/docs/HHSGPS_107.doc)

The ARRA Award Terms and Conditions can be found at:

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

See Regional Agency Offices. Angela Mason-Elbert, [angela.mason-elbert@cms.hhs.gov](mailto:angela.mason-elbert@cms.hhs.gov) - (410) 786-8279  
Marilyn Dahl, [Marilyn.dahl@cms.hhs.gov](mailto:Marilyn.dahl@cms.hhs.gov) - (410) 786-8665.

**Headquarters Office:**

Angela Mason-Elbert, 7500 Security Boulevard, Baltimore, Maryland 21207  
Email: [angela.mason-elbert@cms.hhs.gov](mailto:angela.mason-elbert@cms.hhs.gov) Phone: (410) 786-8279.

**Website Address:**

<http://www.cms.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All acceptable proposals will be funded. To the extent that proposals exceed available funds, the funds will be pro-rated downward, beginning with those States that propose to survey more than 33% of non-deemed ASCs.

**93.721 ARRA - HEALTH INFORMATION TECHNOLOGY PROFESSIONALS IN HEALTH CARE**

Health Information Technology Education (HITE)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

Section 3016 of the Public Health Service Act (PHSA), as added by Section 13301 within Title XIII in Division A of the American Recovery and Reinvestment Act (ARRA) of 2009, Public Law 111-5.

**OBJECTIVES:**

PHSA 3016, as added by the Recovery Act, directs the Secretary to provide assistance to institutions of higher education (or consortia thereof) to establish or expand health informatics education programs, including certification, undergraduate, and masters degree programs, for both health care and information technology students to ensure the rapid and effective utilization and development of health information technologies (in the United States health care infrastructure).

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants); Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Activities for which assistance may be provided include the following:  
(1) Developing and revising curricula in medical health informatics and related disciplines.  
(2) Recruiting and retaining students to the program involved.  
(3) Acquiring equipment necessary for student instruction in these programs, including the installation of testbed networks for student use.  
(4) Establishing or enhancing bridge programs in the health informatics fields between community colleges and universities.

None of the funds appropriated or otherwise made available in ARRA may be used by a state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

Financial assistance to institutions of higher education, or consortia thereof, to rapidly develop a health information technology workforce.

**Beneficiary Eligibility:**

Financial assistance to institutions of higher education, or consortia thereof, to rapidly develop a health information technology workforce.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application procedures will be specified in individual funding opportunity announcements. Applicants may consult with the office or official designated as the contact in the funding opportunity announcement for additional information on the application procedures.

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Jan 25, 2010: Program of Assistance for University-Based Training.  
Application deadlines for each program were established in the funding opportunity announcement for each American Recovery and Reinvestment Act: Information Technology Professionals in Health Care program, as follows:  
Curriculum Development Centers January 14, 2010  
Community College Consortia to Educate Health Information Technology Professionals January 22, 2010  
Competency Examination Program January 25, 2010  
Program of Assistance for University-Based Training January 25, 2010.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards were made for program periods ranging from 2 to 4 years. Individual programs' funding opportunity announcements should be consulted for specific information. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports, if required, will be identified in individual funding opportunity announcements. A Federal Cash Transaction Report (formerly the PSC-272) is due 30 days after the end of each quarter (January 30, April 30, July 30, and October 30). Progress and financial reporting requirements will be identified in individual funding opportunity announcements. In addition, recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. The Federal Financial Report (FFR-425) is due within 90 days after the end of the applicable 12-month period (January 30). Performance monitoring, if required, will be identified in

individual funding opportunity announcements.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$35,538,632; FY 12 est \$735,778; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards range from approximately \$1,000,000 - \$11,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR part 74 and the HHS Grants Policy Statement located at:  
<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm> and ARRA terms and conditions:  
<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Chitra Mohla 200 Independence Avenue, SW  
Suite 729D, Washington, District of Columbia 20201 Email:  
[HealthITEducation@hhs.gov](mailto:HealthITEducation@hhs.gov) Phone: 202-205-0690

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications are available in the program-specific funding opportunity announcements for this program. In general, all applicants were required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.722 ARRA - IHS TRIBAL AGREEMENTS**

ARRA IHS Tribal Agreements

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5; Indian Self-Determination and Education Assistance Act, Title 1, Section 102, Public Law 93-638, Title 1, Section 102, Public Law 93-638.

**OBJECTIVES:**

\$500 Million in Recovery Act Funds to Improve Health Care and Boost Economy in Indian Country. These funds will be obligated both through tribal agreements and under contracts subject to the Federal Acquisition Regulation, as summarized in the Agency implementation plans.

The Recovery Act health facility construction funds will be used to complete the construction of the new IHS Eagle Butte Health Center in Eagle Butte, South Dakota and the Norton Sound Regional Hospital in Nome, Alaska. The Eagle Butte Health Center will serve approximately 9,300 American Indians residing on the Cheyenne River Reservation. The facility will replace the existing Eagle Butte IHS Hospital which, at approximately one-third the size of the new facility, is stressed to meet the needs of the entire service population. The new Norton Sound facility replaces a 61-year-old hospital that is stretched to serve an estimated 10,000 users. The project will create a substantial number of new jobs in construction, transportation, and other professions and help fight unemployment in Nome.

Sanitation facilities funds will be used to complete 169 sanitation facilities projects constructed in 24 states. These projects will provide potable water, waste water disposal and solid waste systems to American Indian and Alaska Native homes and communities. An estimated 16,000 homes will be served by these projects, which will also help foster economic growth and create jobs.

The ARRA will also fund 302 maintenance and improvement projects. Many IHS and tribal facilities require structural renovations, additional space, and design updates to accommodate modern health care delivery practices. These projects will help maintain and improve facilities, which will improve patient care. These projects will also result in enhanced energy conservation and provide local jobs and economic stimulus.

Finally, Recovery Act funds will be used to purchase over 200 pieces of medical equipment, including 35 ambulances and 10 Computed Tomography (CT) scanners, all of which will contribute substantially to patient care. Other equipment to be purchased includes cardiac monitoring equipment, equipment for integration of electronic patient records, blood chemistry analyzers, dental equipment, emergency defibrillators, x-ray systems, among other items. The equipment will be distributed across 24 states.

**TYPES OF ASSISTANCE:**

Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

ARRA funds must be expended for the specific purpose outlined in the ARRA Agreement. The recipient understands it is not authorized to rebudget, redesign, reallocate, or reprogram ARRA funds without written authorization from the Awarding Agency. All IHS Funds are discretionary funds.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Contract agreements are submitted to the Office of Tribal Self Governance and approved by the Director and then forwarded to the Area Offices for payment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The parties agree that the Awarding Agency's authority to obligate funds related to this contract expires on September 30, 2010 and that any contractual conditions placed on receipt of payments under this addendum/contract must be met to ensure obligation by that date at the latest or earlier as agreed to in this contract/addendum or in the associated contractual documents. Delay or failure to meet conditions placed on receipt of funds (e.g., completion of specific stage of construction) may place the project or activity at risk of losing ARRA funds. The ARRA funds provided for in this agreement are one-time only, non-recurring funds. By providing ARRA funds, the Awarding Agency is not obligated to provide funding for this project or activity from future appropriations. Method of awarding/releasing assistance: quarterly.

**Reports:**

Pursuant to section 1512(c) of ARRA, the Contractor shall provide a report on a Quarterly Basis, not later than 10 days after the end of each calendar quarter. The information referenced in this section will be posted by the Contractor online at <http://FederalReporting.gov>. The Contractor shall use the reporting instructions and data elements that will be provided on this website and ensure that any information that is pre-filled is corrected or updated as needed. The information referenced in this section may also be posted by the Awarding Agency to [Recovery.gov](http://Recovery.gov). The total amount of ARRA funds received from the Awarding Agency. The amount of ARRA funds received that were expended or obligated to projects or activities. A detailed list of all projects or activities for which ARRA funds were expended or obligated, including: a. the name of the project or activity; b. a description of the project or activity; c. an evaluation of the completion status of the project or activity; and d. an estimate of the number of jobs created and the number of jobs retained by the project or activity. The total amount of ARRA funds received from the Awarding Agency. The amount of ARRA funds received that were expended or obligated to projects or activities. Detailed information on any subcontracts awarded by the Tribe to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director, Office of Management and Budget.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the grant in order to make audits, examinations, excerpts, and transcripts. Grantees are required to maintain grant accounting records for 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3 year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0392-2-0-099 - 75-0389 20092010.

**Obligations:**

(Project Grants (Contracts)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - The IHSs authority to obligate funds related to ARRA contracts expires on September 30, 2010 and any contractual conditions placed on receipt of payments under the ARRA addendum/contract must be met to ensure obligation by that date at the latest or earlier as agreed to in this contract/addendum or in the associated contractual documents.

**Range and Average of Financial Assistance:**

\$0 - \$80 Million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

ARRA, Public Law 111-5, ARRA OMB Guidance ; Public Law 93-638, as amended, Public Law 106-206; Internal Agency Procedures Manual for Contracting Under Title I of the Indian Self Determination and Education Assistance Act; Indian Health Circular No. 2000-01; 25 CFR 900; 42 CFR 36; and the terms and conditions on the HHS website at:

[Http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html](http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html)

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

: CAPT Randall J.F. Gardner, P.E., USPHS 12300 Twinbrook Parkway, Suite 600A  
, Rockville , Maryland 20852 Email: [Randall.Gardner@ihs.gov](mailto:Randall.Gardner@ihs.gov) Phone: (301) 443-1247.

**Website Address:**

<http://www.hhs.gov/recovery/> or <http://www.recovery.gov/>

**RELATED PROGRAMS:**

15.024 Indian Self-Determination Contract Support; 15.025 Services to Indian Children, Elderly and Families; 15.241 Indian Self-Determination Act Contracts, Grants and Cooperative Agreements

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.723 ARRA - PREVENTION AND WELLNESS-STATE, TERRITORIES AND PACIFIC ISLANDS**

Centers for Disease Control and Prevention - ARRA Prevention and Wellness - State, Territories and Pacific Islands Supplemental

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under sections 301(a), 307, 310, 3111 and 317(k) (2) American Recovery and Reinvestment Act of 2009 (ARRA) [Public Law 111.5], Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2, and the Comprehensive Smoking Education Act of 1984, Comprehensive Smokeless Tobacco Health Education Act of 1986.

**OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2). The ARRA funds are intended to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. There will be two program components included in the supplemental award announcement; Nutrition, Physical Activity, and Tobacco Control (component 1) and National Network of Tobacco Quitlines (component 2).

This initiative will address the following areas in component 1:

Increased levels of physical activity  
Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats);

decreased smoking prevalence and decreased teen smoking initiation; and  
Decreased exposure to secondhand smoke. and Component 2

Expand National Network of Tobacco Quitlines. States, Territories, Pacific Islands and the District of Columbia funded under this announcement will accomplish this by planning and implementing interventions and establishing evidence-based policies to support and institutionalize healthy behaviors related to nutrition, physical activity and tobacco prevention among state/territory residents.

These strategies will ultimately help change social norms and make healthier choices easier and more affordable to residents. Programs will focus on policy and environmental changes that both improve state- and territory-wide policies and support community efforts for chronic disease prevention and control.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Of the \$650 million, \$128.1 million will support States and Territories in promoting wellness and preventing chronic disease through state-wide and local policy and environmental change for chronic disease prevention and to expand tobacco quit lines and tobacco counter advertising. This program will support evidence-based policies and interventions at the state and local levels which ultimately help change social norms and make healthier choices easier and more affordable. Programs will focus on policy and environmental changes that both improve statewide policies and support community efforts for chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to support policy and system changes to reduce chronic disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions in the following areas; to increased levels of physical activity, improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and to decreased exposure to secondhand smoke.

To support a core infrastructure for the delivery of quitline services which include proactive counseling and promotion/outreach. Proactive quitlines exist when a trained counselor telephones the smokers to provide support in initiating a quit attempt and maintaining prolonged abstinence.

Funds may be used to expand and promote proactive counseling capacity, enhance and expand integration of online and other electronic information support technologies, expand media and marketing efforts, extend hours of service, expand outreach to specific populations, provide multiple language services, increase collaborations with healthcare systems and providers, and for evaluation.

Purchase of Nicotine Replacement Therapy medications is authorized with these funds. FDA-approved Nicotine Replacement Therapy (e.g., nicotine patch, gum, nasal spray, inhaler, and lozenge) is proven effective in helping people quit smoking.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not spend more than 10 percent of the total award on nicotine replacement therapy.

**Applicant Eligibility:**

Only applicants currently funded under Funding Opportunity Announcement DP09-901 and DP09-902 are eligible to apply for these supplemental funds.

**Beneficiary Eligibility:**

Only applicants currently funded under Funding Opportunity Announcement DP09-901 and DP09-902 are eligible to apply for these supplemental funds.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the

project, outline the method of operation, describe the evaluation procedures, describe plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next two years and provide a budget with justification of funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 application forms through Grants.gov/Apply. Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov. HHS/CDC Telecommunications for the hearing impaired: TTY (770) 488-2783.

**Award Procedure:**

All applications that are complete and responsive to non-competitive supplemental grant announcements will be evaluated for scientific and technical merit and receive support. Support will be need and formula based and demonstrated capacity to accomplish the activities listed in the supplemental announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until October 30, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to Recovery.gov, containing the following information: (a) The total amount of ARRA funds under this award; (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities; (c) The amount of unobligated award balances; (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local

governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity. (f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS. (g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted. (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0942-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Funding for ARRA awards were budgeted for a 2-year budget/project period, and funding was obligated in FY10.

**Range and Average of Financial Assistance:**

Component 1 (State Chronic Disease Policy and System Change - \$300,000 to 3.9 million  
Component 2 (Tobacco Quitline) - \$100,000 to 3.2 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Kevin Collins, 1600 Clifton Road, NE., Mailstop K45, Atlanta, Georgia 30333  
Email: KTCollins@cdc.gov Phone: (770) 488-1218 Fax: (770) 488-1220.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state and local health departments for Evidenced-Based Clinical and Community-Based Prevention and Wellness activities. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next 2 years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

**93.724 ARRA - PREVENTION AND WELLNESS COMMUNITIES PUTTING PREVENTION TO WORK FUNDING OPPORTUNITIES ANNOUNCEMENT (FOA)**

Centers for Disease Control and Prevention ARRA Prevention and Wellness Communities Putting Prevention to Work

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k) 2) American Recovery and Reinvestment Act of 2009, Public Health Service Act, 42 U.S.C. 241(a) and 247b (k) 2311.

**OBJECTIVES:**

This funding was appropriated under the American Recovery and Reinvestment Act of 2009 (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2) to reduce Chronic Disease risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions. This initiative will address the following:

- Increased levels of physical activity
- Improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats);
- Decreased smoking prevalence and decreased teen smoking initiation; and
- Decreased exposure to secondhand smoke.

Communities funded under this announcement will accomplish this by implementing population-based approaches such as policy, systems, and environmental changes across 5 evidence-based strategies access, media, point of decision information, social support services, and price in both schools and communities. Both components are necessary to achieve behavior change in youth that sustain from school settings into family and community settings, and supports sustaining healthy behavior into adulthood. Communities funded by this announcement will receive a menu of evidence-based interventions along with support and tools from the Centers for Disease Control and Prevention (CDC) to strengthen and develop effective strategies tailored to their needs.

The cooperative agreements will address the Healthy People 2010 focus areas of obesity, cardiovascular disease, tobacco, and educational and community-based programs; the Health Protection Goals of Healthy People in Every Stage of Life which states that all people, and especially those at greater risk of health disparities, will achieve their optimal lifespan with the best quality of health in every stage of life, and Healthy People in Healthy Places which states that the places where people live, work, learn, and play will protect and promote their health and safety, especially those at greater risk of health disparities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

Of the \$650 million, \$409.9 million will support intensive community approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease, promote wellness, and better manage chronic conditions in the following areas; to increased levels of physical activity, improved nutrition (e.g. increased fruit/vegetable consumption, reduced salt and trans fats); decreased smoking prevalence and decreased teen smoking initiation; and to decreased exposure to secondhand smoke.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not spend more than 10% of the total award on nicotine replacement therapy.

**Applicant Eligibility:**

See Index.

**Beneficiary Eligibility:**

See Index.

**Credentials/Documentation:**

Applicants will be required to provide the following information:

Demonstrate that they have a coalition in place with experience in promoting health promotion or prevention of chronic disease outcomes or experience that relates to improving chronic disease outcomes, including the capacity to influence policy, system and/or environmental changes in the community.

Demonstrate that they have an existing community action plan in place related to improving behaviors that lead to chronic diseases through changing policy, systems and/or environment.

Provide documentation that they have received a grant of sufficient size to indicate the ability to adhere to Federal ARRA requirements and to expend a large amount of funds in the project period outlined by the Communities Putting Prevention to Work Initiative.

Ensure that at least 50% of the total award is spent extramurally.

Provide letters of support from school districts indicating support for implementing the YRBS survey for baseline and follow-up data. Successful applicants will also be required to meet quarterly benchmarks for the Communities Putting Prevention to Work Initiative. At the end of each quarter, the grantee will receive a score card that indicates the percentage of benchmarks being met (100%-70% of benchmarks = green; 70%-50% of benchmarks = yellow; less than 50% of benchmarks = red). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must download the SF424 application forms through Grants.gov/Apply.

Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov.

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

**Award Procedure:**

All applications that are complete and responsive to this competitive funding opportunity announcement will be evaluated for programmatic and technical merit. Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Chronic Disease Prevention and Health Promotion and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified the application did not meet submission requirements.

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in the funding opportunity announcement. The panel will be comprised of a primary, secondary, and tertiary reviewer that will score the applications and document their strengths and weaknesses. The applications will be scored against the criteria not against one another. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching requirement.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: until April 30, 2012. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will be posted to Recovery.gov, containing the following information:

(a) The total amount of ARRA funds under this award; (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities; (c) The amount of unobligated award balances; (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award;

(2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.

(f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.

(g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted. (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0942-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Funding for ARRA awards were budgeted for a 2-year budget/project period, and funding was obligated in FY10.

Funding reflects - DP09-912- 372,812,500 and Additional Approved but unfunded award 29,400,000.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Mike Waller, 1600 Clifton Rd, Atlanta, Georgia 30333 Email: MNW1@cdc.gov Phone: (770) 488-5264.

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and



Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to state and local health departments for Evidenced-Based Clinical and Community-Based Prevention and Wellness activities. CDC will require state applicants to specifically address in their applications state plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next 2 years. Specifically, states will need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan. Other criteria will be listed in individual funding opportunity announcements.

**93.725 ARRA - COMMUNITIES PUTTING PREVENTION TO WORK: CHRONIC DISEASE SELF-MANAGEMENT PROGRAM**

(CDSMP)

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

The statutory authority for cooperative agreements under this program announcement is contained in Division A, Title VIII of the American Recovery and Reinvestment Act (Recovery Act) of 2009 (Public Law 111.5). , Title VIII, Public Law 111-5.

**OBJECTIVES:**

The American Recovery and Reinvestment Act of 2009 (Recovery Act), signed into law February 17, 2009, is designed to stimulate economic recovery in various ways: to preserve and create jobs; to promote economic recovery; to assist those most impacted by the recession, to stabilize state, territorial and local government budgets to minimize and avoid reductions in essential services and counterproductive state, territorial, and local tax increases; to strengthen the Nations healthcare infrastructure; and to reduce healthcare costs through prevention activities. The Recovery Act includes \$650 million for evidence-based clinical and community-based prevention and wellness strategies that deliver specific, measurable health outcomes. The legislation provides an important opportunity for communities, States, territories, cities, rural areas, and tribes to advance public health across the lifespan and to eliminate health disparities. Of the \$650 million appropriated for this initiative (Communities Putting Prevention to Work), \$32.5 million will support States and territories in promoting wellness by deploying evidence-based chronic disease self-management programs targeted at older adults with chronic conditions. AoA, in collaboration with CDC, is providing Recovery Act funding under this announcement to support state efforts to deploy evidence-based chronic disease self-management (CDSMP) programs that empower older people with chronic diseases to maintain and improve their health status. The community-based collaborative networks setup through these efforts will provide the foundation for an infrastructure and statewide distribution system that States can use for delivering CDSMP and other evidence-based prevention programs to older adults. These statewide distribution systems will include a quality assurance component to ensure the evidence-based prevention programs are being delivered with fidelity and achieving results comparable to those produced in the original research. The ultimate goal is to have States and communities embed these structures into their statewide systems that provide community-based services and supports to older adults to help them maintain their health and independence in the community.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

In general, the use of these funds is to support state efforts to deploy evidence-based chronic disease self-management (CDSMP) programs that empower older people with chronic diseases to maintain and improve their health status. These funds are not to be used for free standing CDSMP programs that are not part of a states larger systems development effort to

delivery community-based evidence-based prevention programs to older adults. In using funds for this award for infrastructure investment, recipients shall give preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds for activities that can be initiated not later than 120 days after the date of the enactment of Recovery Act. Recipients shall also use grant funds in a manner that maximizes job creation and economic benefit (Recovery Act Sec. 1602). The following activities are not fundable: construction and/or major rehabilitation of buildings; basic research (e.g. scientific or medical experiments); and, continuation of existing projects without expansion. Furthermore, none of the funds appropriated or otherwise made available in the Recovery Act may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (Recovery Act Sec. 1604). These funds are not to be used for free standing CDSMP programs that are not part of a states larger systems development effort to delivery community-based evidence-based prevention programs to older adults. The following activities are not fundable: construction and/or major rehabilitation of buildings; basic research (e.g. scientific or medical experiments); and, continuation of existing projects without expansion. Furthermore, none of the funds appropriated or otherwise made available in the Recovery Act may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

**Applicant Eligibility:**

Eligible applicants include all 56 States and territories as follows: in the 24 States with existing AoA Evidence-Based Disease Prevention cooperative agreements, eligibility is limited to the recipient State agency of those existing cooperative agreements; in the 32 States and territories that do not have existing AoA Evidence-Based Disease Prevention cooperative agreements, only State units on aging and State health departments are eligible to apply. Regardless of which agency applies, both the State unit on aging and State health department must be full partners in the development and implementation of the proposed program. The State Medicaid Agency must also be involved in the development and implementation of the program. Only one application will be permitted for each State or territory.

**Beneficiary Eligibility:**

In general, older adults with chronic diseases. Within this population grantees will be asked to define how they will specifically target low-income, minority, and limited English speaking older adults with chronic diseases.

**Credentials/Documentation:**

The application must include a letter of support from the states Governor in support of the appointed lead agency (i.e. the State unit on aging or the State health department). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Only one application will be accepted from each State or territory, and a letter of support from the Governor must be included with the States application. States are expected to coordinate with tribal entities in their jurisdiction, and give special attention to serving low-income, minority and limited English speaking seniors. States are encouraged to link with other community-based efforts with special attention to leveraging other public and private sector resources, including federally funded (including Recovery Act, Older Americans Act, Public Health Services Act, Medicare, and Medicaid funded) activities, State revenue programs, and private philanthropy. This funding opportunity is an opportunity for State units on aging and State health departments to collaborate on the development of distribution and delivery systems for CDSMP and eventually other evidence-based prevention programs that have the potential to improve the quality of life for millions of seniors and reduce health care costs. A State governments State unit on aging or health department will be the lead agency for this cooperative agreement. Regardless of which agency is the lead, the entire grant application, including the work plan, should reflect substantial mutual effort, cooperation, and substantive contributions by both agencies throughout the grant period as well as a significant role for the State Medicaid agency. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications for federal assistance (Nonconstruction Programs) are in accordance with program announcements developed by the Administration on Aging (AoA)/Administration for Community Living (ACL) and will be simultaneously published on Grants.gov ([www.grants.gov](http://www.grants.gov)) and on the AoA/ACL web site at <http://www.aoa.gov/AoARoot/Grants/index.aspx> when funding is available.

**Award Procedure:**

Notification of Award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. This program has no statutory formula or matching requirement.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Cooperative Agreements will be made for a 2 year period. Grant extensions are available and may be requested from the grantee's Program Officer and Grants Management Specialist. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Semi-annual program progress reports are required through the life of the award. Financial Reports are required on a quarterly basis through the life of the award. Final program progress reports and financial reports are due 90 days after the end of the project period. Semi-annual program progress reports are required through the life of the award. Payment Management Systems financial reports are required on a quarterly basis through the life of the award. Final program progress reports and financial reports are due 90 days after the end of the project period. All grantees must also comply with all requirements specified in Division A of the Recovery Act, including the reporting requirements outlined in Section 1512. Section 1512 of the Recovery Act requires reports on the use of Recovery Act funding by grantees no later than the 10th day after the end of each calendar quarter and for the federal agency providing those funds to make the reports publicly available no later than the 30th day after the end of that quarter. A full list of the recipient reporting data elements is available at:

[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21-supp2.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21-supp2.pdf) and the HHS ARRA award terms and conditions are available at: <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - ARRA

funding. No future funding anticipated.

**Range and Average of Financial Assistance:**

\$50,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: As of July 25, 2012, grantees in 45 states, the District of Columbia, and Puerto Rico hosted 9,893 CDSMP workshops at 6,165 unique implementation sites. These workshops reached 108,824 participants, with 81,332 completing at least four of six sessions (retention rate of 75%). More than 60% of participants reporting relevant data indicate having multiple chronic conditions, with the most common conditions being hypertension (43.1%), arthritis (40.9%), and diabetes (30.3%). The average age of a CDSMP participant is 66 years. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All grantees must also comply with all requirements specified in Division A of the Recovery Act, including the reporting requirements outlined in Section 1512. Section 1512 of the Recovery Act requires reports on the use of Recovery Act funding by grantees no later than the 10th day after the end of each calendar quarter and for the federal agency providing those funds to make the reports publicly available no later than the 30th day after the end of that quarter. A full list of the recipient reporting data elements is available at: [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21-supp2.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21-supp2.pdf) and the HHS ARRA award terms and conditions are available at: <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. Regional Administrator, Administration on Aging, Department of Health and Human Services, located at all HHS Federal Regional Offices. (See Appendix IV of the Catalog for addresses.)

**Headquarters Office:**

Michele L. Boutaugh Administration on Aging  
Administration for Community Living  
Department of Health and Human Services  
61 Forsyth Street, St, Suite 5M69  
, Atlanta, Georgia 30303 Email: [Michele.Boutaugh@acl.hhs.gov](mailto:Michele.Boutaugh@acl.hhs.gov) Phone: 404-562-7578 Fax: 404-562-7598

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.048 Special Programs for the Aging Title IV and Title II Discretionary Projects; 93.724 ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements will be awarded on a competitive basis. Specific details for evaluating applications are published as part of the program announcement. Major emphases are: (1) documented need; (2) expected outcomes and benefits; (3) innovative approach; (4) level of effort; (5) coordination and partnerships; and (6) projects that benefit disadvantaged groups, including low-income, minority and limited English speaking populations.

**93.726 ARRA ACCELERATING ADOPTION OF COMPARATIVE EFFECTIVENESS RESEARCH (CER)**

CER

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA), Public Law 111-5; Public Health Services Act, Title 42, Section 301.

**OBJECTIVES:**

Comparative effectiveness research is the conduct and synthesis of research

comparing the benefits and harms of different interventions and strategies to prevent, diagnose, treat and monitor health conditions in real world settings. The purpose of this research is to improve health outcomes by developing and disseminating evidence-based information to patients, clinicians, and other decision-makers, responding to their expressed needs, about which interventions are most effective for which patients under specific circumstances.

The purpose of this program is to develop and test strategies to improve the dissemination of CER information and the resultant translation of this evidence into practice in the non-profit and private sectors. Doing so effectively would demonstrate a return on the CER investment, and, more importantly, improve the health of the patients served by a given organization. Funds will be used to support organizations that 1) develop evidence-informed, yet innovative dissemination and translation strategies; 2) develop proposals that study the implementation of dissemination and translation strategies within their organization.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

This program is subject to the provisions of 45 CFR 74, and 45 CFR 92 as well as OMB Circular No. A-102 (Administrative Guidelines for States and Local Governments), and OMB Circular A-110 (Administrative Guidelines for Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations). Funds may not be used for construction or renovation of buildings.

**Applicant Eligibility:**

Types of institutions or organizations that can apply include integrated health care systems, integrated provider systems, academic medical centers, provider consortia, community health center networks, private payers, other non-governmental organizations that administer or directly provide health care services, and organizations that serve health care consumers. Additional eligible applicants include University-based schools (e.g. School of Public Policy or Public Health) and private research institutes.

Projects must meet the definition of CER in the Federal Coordinating Council Report: <http://www.hhs.gov/recovery/programs/cer/cerannualrpt.pdf>.

**Beneficiary Eligibility:**

Expected beneficiaries include patients, health care providers, policymakers, and healthcare systems.

**Credentials/Documentation:**

Nonprofit organizations must provide evidence of tax-exempt status. When projects involve the collaborative efforts of more than one organization or require the use of services or facilities not under the direct control of the applicant, written assurances of specific support or agreements must be submitted by the affected parties. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications are submitted in response to specific funding opportunity announcements via Grants.gov. Each announcement provides specific additional instructions regarding the contents of the narrative description of the project, budget justification, forms and other required information.

**Award Procedure:**

After the peer review of the application is completed, the Principal Investigator will be able to access his or her Summary Statement (written critique) via the eRA Commons. A formal notification in the form of a Notice of Award (NOA) will be provided to the applicant organization. Once all administrative and programmatic issues have been resolved, the Notice of Award will be generated from the awarding component to the grantee business official. The NOA signed by the grants management officer is the authorizing document.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Extensions to the project period may be made if deemed appropriate by the Assistant Secretary for Planning and Evaluation.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program is funded by ARRA and has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants and cooperative agreements are generally funded on a 12-month basis. Support beyond the first year is contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and the availability of funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. No cash reports are required. When multiple years are involved, grantees will be required to submit the Non-Competing Grant Progress Report (PHS 2590) annually. The annual progress reports must include Sections a through f as described in the general PHS form 2590 instructions, as well as sections g through j as described in Section IV of the 2590 instructions. For details regarding progress report submission, refer to <http://www.ahrq.gov/fund/noncomp.htm>. If instructions on the ASPE website are different from the PHS form 2590 instructions, follow the instructions on the ASPE website. The Progress Report is to include descriptive and evaluative comments on both completed activities and plans for the remainder of that year, including any changes foreseen in the future. At a minimum, the reports will include descriptive comments on: progress to date measured against project aims; methodological changes implemented; key preliminary findings; significant problems and resolutions; inclusion of priority populations; and project related publications, presentations, and dissemination activities. ASPE will provide the timetable for these progress reports. Financial Status Reports (FSRs; SF 269) are required annually by ASPE for ALL grant programs as described in the HHS Grants Policy Statement (see <http://www.ahrq.gov/fund/hhspolicy.htm>). This report must be submitted for each budget period no later than 90 days after the close of the budget period. A hard copy of the report should be submitted to the assigned grants management specialist.

A final Progress Report and Financial Status Report are required when an award ends. For further details regarding grant closeout requirements, refer to <http://www.ahrq.gov/fund/closeout.htm>. In addition to the standard ASPE terms of award, all funding provided under the Recovery Act will be subject to the HHS Standard Terms and Conditions for American Recovery and Reinvestment Act of 2009 (ARRA). The full text of these terms approved for ASPE awards can be found in the following document: Standard Terms and Conditions for ARRA Awards. Recovery Act-related reporting requirements will be incorporated as a special term of award. A final Progress Report and Financial Status Report are required when an award ends. For further details regarding grant closeout requirements, refer to <http://www.ahrq.gov/fund/closeout.htm>.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable as Federal financial assistance are subject to audit by the HHS audit agency and the Office of the Assistant Secretary for Planning and Evaluation and NIH conducts audits.

**Records:**

In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are to maintain accounting records for a minimum of 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0910-1-7-010.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - FY 2010, \$20,345,962 was obligated for the full three years for seven grants.

**Range and Average of Financial Assistance:**

ASPE has designated \$300,000 to \$3,000,000 in FY 2010 to fund 5-10 grants, contingent upon the submission of a sufficient number of scientifically meritorious applications.

Budget proposals are limited to \$1,000,000 in total costs per year for a total of \$3,000,000 in costs over 3 years. Facilities and administrative (F&A) costs requested by applicants are included in the total cost limitation. Applications with project periods that exceed 3 years or budgets that exceed \$1,000,000 total costs per year will not be reviewed.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: All projects are successfully underway with no anticipated problems. Fiscal Year 2012: All projects are successfully underway with no anticipated problems. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cille Kennedy 200 Independence Avenue SW, Room 447-D, Washington, District of Columbia 20201 Email: Cille.Kennedy@hhs.gov Phone: 2022600370

**Website Address:**

<http://aspe.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The rating criteria will be included in the FOA that requests grant proposals. The criteria typically include such concerns as the significance and usefulness of the project; the appropriateness of the intervention/measurement methodology and design; the qualifications of personnel and the sponsoring organization; and the likelihood that the work plan and budget will produce the intended results.

**93.727 ARRA - HEALTH INFORMATION TECHNOLOGY - BEACON COMMUNITIES**

Beacon Community Program

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act (ARRA) of 2009, Division A, Title XIII, Part HITECH Act, Section 3011, Public Law 111-5.

**OBJECTIVES:**

The Beacon Community Program will provide funding to communities to build and strengthen their health information technology (health IT) infrastructure and exchange capabilities to demonstrate the vision of the future where hospitals, clinicians and patients are meaningful users of health IT, and together

the community achieves measurable improvements in health care quality, safety, efficiency, and population health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Awarded communities must use the funding provided under this program to support health IT and information exchange infrastructure and implement performance measurement, quality improvement, and care coordination programs to achieve improvements in health care quality, safety, efficiency, and population health. Funding can build and strengthen existing health IT and information exchange infrastructure and support 1) the use of health information technology by public health departments, 2) adoption of certified electronic health records (by providers not currently eligible for HIT incentive payments or regional HIT extension center assistance), 3) training on and dissemination of information on best practices to integrate health information technology into providers delivery of care, 4) infrastructure and tools for the promotion of telemedicine, 5) community-wide quality reporting repositories and registries, and 6) the protection of health information by all holders of individually identifiable health information. None of the funds appropriated or otherwise made available in ARRA may be used by any state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604).

**Applicant Eligibility:**

The lead applicant which submits a Beacon Community application on behalf of their community must be a US-based non-profit organization or state, local, tribal or territorial government entity, but may represent a consortium of organizations and providers. Private providers and insurers will be encouraged to participate in the consortia.

**Beneficiary Eligibility:**

The identification and dissemination of best practices and lessons learned will directly benefit organizations and communities advancing health information technology and exchange. The knowledge attained by these awarded communities will, in turn, benefit the nations communities as a whole.

**Credentials/Documentation:**

If an applicant is a US-based non-profit entity it must provide documentation of its 501C (3) status or IRS determination letter, IRS tax exemption certificate, or letter from state taxing body verifying tax-exempt status. If the proposal is on behalf of a consortium, there must be letters of commitment from all members of the consortium which include their tax status. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is excluded from Executive Order 12372.

Applications are solicited by a program announcement. The availability of this announcement will be broadly published, including by posting on [www.grants.gov](http://www.grants.gov).

All timely applications from eligible entities that conform to the requirements of the program announcement will be forwarded to an objective review committee which will make funding recommendations, based on the merits of the applications. The selection of awardees will be made by the Secretary of HHS, or designee.

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. There is no match required for this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Awards will be made for a 36 month project period with one 36 month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program report requirements, if applicable, will be identified in the Program Announcement. The Federal Cash Transaction Report (formerly the PSC-272) is due 30 days after the end of each quarter (January 30, April 30, July 30, and October 30). Progress report requirements, if applicable, will be identified in the Program Announcement. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. ARRA reports will be required quarterly. Reporting requirements for ARRA programs can be found at: <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>. The Federal Financial Report (FFR-425) is also due within 90 days after the end of the applicable 12-month period (January 30). Applicants will submit annual progress reports as outlined in the Program Announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3- year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3 year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Salaries) FY 11 \$5,886,580; FY 12 est \$142,549; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards may range from a minimum of \$10,000,000 to a maximum of \$20,000,000. Average award amount is anticipated to be \$15,000,000. 17 awards were granted in Fiscal Year 2010.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74, 45 CFR Part 92, and the HHS Grants Policy Statement located at:

<http://www.hhs.gov/asrt/og/grantinformation/hhsgps107.pdf>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Office of the National Coordinator for Health Information Technology 200 Independence Avenue, SW, Suite 729D  
, Washington, District of Columbia 20201 Email:  
BeaconCommunityGrants@hhs.gov Phone: 202-690-7151

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

93.718 Health Information Technology Regional Extension Centers Program;  
93.719 ARRA - State Grants to Promote Health Information Technology

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications will be made available in the program announcements for this program. In general, all applicants are required to demonstrate capability to achieve specific and measurable health outcomes and health care efficiency objectives consistent with health IT enabled performance monitoring, feedback, practice redesign, and care coordination.

**93.728 ARRA - STRATEGIC HEALTH IT ADVANCED RESEARCH PROJECTS (SHARP)**

(SHARP)

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act), Title XIII, Part A, Section 3011.

**OBJECTIVES:**

To competitively-awarded cooperative agreements to establish Strategic Health IT Advanced Research Projects (SHARP). The awardees will conduct research focusing on where breakthrough advances are needed to address well-documented problems that have impeded adoption of health IT and to accelerate progress towards achieving nationwide meaningful use of health IT in support of a high-performing, learning health care system.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

ONC expects to award four cooperative agreements to support establishment of Strategic Health IT Advanced Research Projects (SHARP) sites for a project period of four years. Each such research site will have a two-part mission:

- (1) to implement a collaborative, interdisciplinary program of research addressing a specific focus area from the list provided below, addressing short-term as well as long-term challenges; and
- (2) to develop and implement a cooperative program between researchers, patient groups, health care providers, and other health IT sector stakeholders to transition the results of research into practice.

Each site will focus on areas where breakthrough improvements are needed to address well-documented problems that have impeded adoption of health IT and thereby accelerate progress on the pathway towards achieving the goals outlined in the strategic plan for health IT developed by the National Coordinator pursuant to PHSA Section 3001(c)(3) as added by the Recovery Act, specifically including the nationwide achievement of meaningful use of health IT to achieve transformational improvement of the health care system.

Each site will implement a collaborative, inter-disciplinary research program addressing one of the specific focus area(s) listed below. An eligible entity may, apply for funding in separate applications to establish more than one site, and thus it is possible a single eligible entity (institution) may receive more than one award under this program. Regardless of the total number of institutions funded to establish sites under this program, it is expected that the

all of the awardees will collaborate with each other, as there will be numerous points of intersection among the sites' agendas.

Within its focus (listed below) area, each site will carry out at least the following set of activities:

Initially define and subsequently update or redefine on a yearly basis, the key issues and research challenges within their respective area(s) of focus. The research areas identified will be those that significantly address barriers and solutions to achieving widespread adoption and meaningful use of health IT. Projects to address the identified issues will be mapped to either a short-term (< 2 years) or long-term (4 years) timeframe. Because this is a cooperative agreement, recipients shall plan and allow for collaboration with ONC and other federal staff with relevant expertise as identified or approved by ONC in establishing and updating the definition of key issues and research challenges in the sites focus area;

Conduct ambitious research addressing these key issues and challenges. This work will draw on the scientific methods and expertise of researchers and practitioners in diverse fields;

Collect specific, uniform data about the research activities and track progress toward milestones;

Facilitate practical and efficient processes that enable translation of research into health care and public health innovations, facilitating the transition of multidisciplinary research outcomes into new healthcare products and services both the short- and long-term;

Partner with industry to rapidly transfer short term results of this research into health IT products;

Publish and otherwise disseminate these research findings, preferably in open source journals that maximize the accessibility of this knowledge to the entire health IT community

Participate in an external evaluation; and

Select desired, measurable outcomes specific to the chosen research issue and methods for attaining results.

#### Research focus areas

In no particular order, the four foci for research identified below will be addressed by this program. The areas have been assigned numbers for ease of reference. Appendix B provides further detail about each of these areas.

**1. Security of Health Information Technology** This research area addresses the challenges of developing security and risk mitigation policies and the technologies necessary to build and preserve the public trust as health IT systems become ubiquitous.

This research area is responsive to paragraphs (1), (4), (5), and (6) of the PHSA 3011(a), as added by the Recovery Act, through the following activities:

Promoting the development and implementation of health information technology solutions that will support the electronic exchange and use of health information in a secure, private manner;

Promoting the development and implementation of technologies and best practices that enhance the protection of health information by all holders of individually identifiable health information;

Enhancing the capabilities and functionalities of tools to support privacy and security of individually identifiable health information as it is exchanged and used; and,

Supporting and enhancing the assurance of privacy needed providers and patients widespread acceptance of telemedicine and robust participation in clinical data repositories and registries.

**2. Patient-Centered Cognitive Support** This research area addresses the challenge of harnessing the power of health IT so that it integrates with, enhances and supports clinicians reasoning and decision making, rather than forcing them into a mode of thinking that is natural to machines but not to people.

PHSA 3011(a), as added by the Recovery Act, directs the support of health IT architecture that will support the use of health information in an accurate manner. Additionally, paragraphs (3) and (5) of the same subsection of the statute authorize use of funding appropriated under PHSA Section 3018, as added by the Recovery Act, to disseminate training and information on best practices to integrate health IT into a providers delivery of care, and to promote the use of clinical data repositories and registries. All of these paragraphs ((1), (3), and (5) of PHSA 3011(a) as added by the Recovery Act)

point to longstanding challenges that require new and creative research related to the accurate and effective use of electronic health information to enhance the safety, quality, efficacy, and thus the overall value of care.

**3. Healthcare Application and Network Platform Architectures** This research area focuses on the development of architectures that are necessary to achieve electronic exchange and use of health information in a secure, private and accurate manner.

PHSA 3011(a)(1), as added by the Recovery Act, authorizes support of health IT architecture that will support the nationwide electronic exchange and use of health information in a secure, private, and accurate manner. This research focus specifically supports the development of new and improved architectures and technology infrastructure needed to achieve the goals outlined in the plan for health IT by the National Coordinator in support of PHSA 3001(c)(3), as added by the Recovery Act, and to support measures for determination of meaningful use of health IT by providers over time (required by Social Security Act (SSA) Sections 1848(o) and 1866(n), as added by Title IV in Division B of the Recovery Act).

**4. Secondary Use of EHR Data** This research area focuses on strategies to enhance the use of health IT in improving the overall quality of health care.

PHSA 3011(a), as added by the Recovery Act, states that the Secretary shall invest in the infrastructure necessary to allow for and promote the electronic exchange and use of health information for each individual in the United States consistent with the goals outlined in the strategic plan developed by the National Coordinator. PHSA 3001(c)(3), as added by the Recovery Act, directs that the National Coordinator shall, in consultation with other appropriate Federal agencies (including the National Institute of Standards and Technology), update the Federal Health IT Strategic Plan (developed as of June 3, 2008) to include specific objectives, milestones, and metrics with respect to a specific set of topic areas. The current Federal Health IT Strategic Plan (developed as of June 3, 2008), as referenced in the statute, advances secondary use as a key mode of information technology use to transform health care. This is consistent with, and will be updated and expanded upon pursuant to the direction of PHSA 3001(c)(3)(i), (vii) and (viii), as added by the Recovery Act, to add to the updated strategic plan such objectives, milestones, and metrics with respect to:

(Reference: PHSA 3001(c)(3)(i)) the electronic exchange and use of health information and the enterprise integration of such information.

(Reference: PHSA 3001(c)(3)(vii)) strategies to enhance the use of health IT in improving the quality of health care, reducing medical errors, reducing health disparities improving public health, increasing prevention and coordination with community resources, and improving the continuity of care among health care settings.

(Reference: PHSA 3001(c)(3)(viii)) the specific plans for ensuring that populations with unique needs, such as children, are appropriately addressed in the technology design, as appropriate.

#### **Applicant Eligibility:**

Any entity submitting an application for this award must be a U.S.-based: public or private institution of higher education; or other public or private institution or organization with a research mission.

#### **Beneficiary Eligibility:**

This Funding Opportunity Announcement (FOA) will result in new competitively-awarded cooperative agreements to establish Strategic Health IT Advanced Research Projects (SHARP). The awardees will conduct research focusing on where breakthrough advances are needed to address well-documented problems that have impeded adoption of health IT and to accelerate progress towards achieving nationwide meaningful use of health IT in support of a high-performing, learning health care system.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from

coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application procedures will be specified in individual program announcements. Applicants should consult with the office or official designated as the contact for additional information on the application procedures.

**Award Procedure:**

Following objective review of applications, those applicants whose applications have been selected by the Secretary of HHS (or designee) for funding will receive a Notice of Award signed by an HHS Grants Management Officer. The Notice of Award, which is sent to the applicants Authorized Organizational Representative, is the only official notification of award. Unsuccessful applicants will be advised by letter.

**Deadlines:**

Jan 25, 2010

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

ONC expects to award four cooperative agreements to support establishment of Strategic Health IT Advance Research Projects (SHARP) for a project period of four years. See the following for information on how assistance is awarded/released: PHSA 3012(c)(5), as added by ARRA, specifies that the Secretary may provide financial support to any regional center created under PHSA 3012(c) for a period not to exceed 4 years. Awards are expected to be for two, 2-year budget periods and a four year project period. The Funding Opportunity Announcement provides additional details on how assistance is awarded/released.

**Reports:**

Reporting and Registration Requirements under Section 1512 of the Recovery Act:

(a) This award requires the recipient to complete projects or activities which are funded under the Recovery Act and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number ([www.dnb.com](http://www.dnb.com)) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in Section 1512(c) using the reporting instructions and data elements that will be provided online at [www.FederalReporting.gov](http://www.FederalReporting.gov) and ensure that any information that is pre-filled is corrected or updated as needed.

The frequency of interim progress reports and financial status reports will be identified in the program announcement and will be submitted no later than 30

days following the end of the reporting period to which they pertain. The final progress report and final financial status report are due no later than 90 days after the end of the project period. ARRA reporting and agency programmatic reporting provisions will require awardees to evaluate performance in view of stated objectives. No cash reports are required. The awardee shall submit annual progress reports related to their projects and overall site performance. A specific Performance Report format will be finalized between the awardee and ONC following the award date.

In accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are incorporated into this award by reference. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Quarterly Financial and Programmatic Reporting: Consistent with the Recovery Acts emphasis on accountability and transparency, reporting requirements under Recovery Act programs will differ from and expand upon HHS standard reporting requirements for grants and cooperative agreements. In particular, Section 1512(c) of the Recovery Act sets out detailed requirements for quarterly reports that must be submitted within 10 days of the end of each calendar quarter.

Recovery Act-Required Performance Measures - To assist in fulfilling the accountability objectives of the Recovery Act, as well as the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this program must provide data that measure the results of their work. Expenditure reports are not applicable. The awardee shall submit annual progress reports related to their projects and overall Center performance. A specific Performance Report format will be finalized between the awardee and ONC following the award date.

In accepting an ONC award, the recipient assumes legal, financial, administrative, and programmatic responsibility for administering the award in accordance with the terms and conditions of the award, as well as applicable laws, rules, regulations, and Executive Orders governing HHS assistance awards, all of which are incorporated into this award by reference. Failing to comply with these requirements may result in suspension or termination of the award and/or ONC's recovery of award funds.

Quarterly Financial and Programmatic Reporting: Consistent with the Recovery Acts emphasis on accountability and transparency, reporting requirements under Recovery Act programs will differ from and expand upon HHS standard reporting requirements for grants and cooperative agreements. In particular, Section 1512(c) of the Recovery Act sets out detailed requirements for quarterly reports that must be submitted within 10 days of the end of each calendar quarter.

Recovery Act-Required Performance Measures - To assist in fulfilling the accountability objectives of the Recovery Act, as well as the Departments responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, applicants who receive funding under this program must provide data that measure the results of their work.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The recipient shall comply with audit requirements of OMB Circular A-133. Information on the scope, frequency, and other aspects of the audits can be found on the Internet at

[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars);

**Records:**

Grantees are required to maintain grant records for a minimum of 3 years from the submission date of the final financial report. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0130-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Awards will be in the form of a cooperative agreement with a 4-year project period. Under this type of award, ONC will work collaboratively with each site to accomplish the goals of the award. Each cooperative agreement will anticipate a total budget of between \$10 million and \$18 million over the full 4-year project period.

**Range and Average of Financial Assistance:**

Awards may range from \$10,000,000 - \$18,000,000.  
Four awards each \$15,000,000 were awarded in FY 2010.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 74 and the HHS Grants Policy Statement located at:  
<http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>. There are no program regulations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wil Yu, 200 Independence, SW , Washington, District of Columbia 22209  
Email: [wil.yu@hhs.gov](mailto:wil.yu@hhs.gov) Phone: (202) 690-5920.

**Website Address:**

<http://healthit.hhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Specific, detailed criteria for determining the merit of applications will be made available in the program announcements for this program. In general, all applicants are required to demonstrate capability to achieve the goals, purposes, and objectives of the program consistent with applicable statutory provisions.

**93.729 ARRA HEALTH INFORMATION TECHNOLOGY AND PUBLIC HEALTH**

(HITECH Public Health)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

Establish activities to support meaningful use of electronic health records through two-way communications between clinicians and national, state and local public health entities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds will be used to improve the interoperability of immunization

information systems and electronic laboratory information exchange between public health and clinical care. Of the HITECH funds that CDC will provide 85% of the funds to eligible states/territories/large local health departments, non-governmental organizations, or not-for-profit organizations using the following Cooperative Agreements: the Epidemiology and Laboratory Capacity for Infectious Disease program, the Laboratory Technical Implementation Assistance for Public Health and the CDC State Immunization Program. Project funds may be used for costs associated with planning, organizing, conducting and supporting programs directed toward meeting meaningful use objectives related to the interoperability of immunization registries with Electronic Health Records (EHR) and electronic laboratory information exchange between public health and clinical care. These funds may be used for the preservation of jobs necessary to build capacity in state and local health departments related to these program areas. CDC will provide 85% of the funds to eligible states/territories/large local health departments, non-governmental organizations, or not-for-profit organizations using the following Cooperative Agreements: the Epidemiology and Laboratory Capacity for Infectious Disease program, the Laboratory Technical Implementation Assistance for Public Health and the CDC State Immunization Program.

**Applicant Eligibility:**

Eligible applicants for grants and cooperative agreements are public health departments that are recipients of Section 317 grantees, Epidemiology and Laboratory Capacity cooperative agreements recipients, or Nonprofit with 501C3 IRS status (other than institution of higher education), Nonprofit without 501C3 IRS status (other than institution of higher education), For-profit organizations (other than small business), Small, minority, and women-owned businesses, Universities, Colleges, Research institutions, Hospitals, Community-based organizations, Faith-based organizations, Federally recognized or state-recognized American Indian/Alaska Native tribal governments, American Indian/Alaska native tribally designated organizations, Alaska Native health corporations, Urban Indian health organizations, Tribal epidemiology centers, State and local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau), Political subdivisions of States (in consultation with States).

**Beneficiary Eligibility:**

State/territory/large local health departments for two cooperative agreements and open competition for one cooperative agreement.

**Credentials/Documentation:**

Applicants should review the individual CDC Guidance documents issued under specific Funding Opportunity Announcement (FOAs) for this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide for this requirement through [Grants.gov/Apply](http://Grants.gov/Apply). Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. Applicants will not be able to use any other SF424 (R&R) forms (e.g., sample forms, forms from another FOA) although some of the Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applicants must download the SF424 (R&R) application forms and SF424 (R&R) Application Guide for this requirement through [Grants.gov/Apply](http://Grants.gov/Apply). Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. Applicants will not be able to use any other SF424 (R&R) forms (e.g., sample forms, forms from another FOA) although some of the "Attachment" files may be useable for more than one FOA.

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office



Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: PGOTIM@cdc.gov.

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

The standard application forms must be used for this program, as furnished by CDC and required by 45 CFR 92 for State and local governmental agencies, and by 45 CFR 74 for nongovernmental applicants. This program is subject to the provisions of 45 CFR 92 for State and local governments and 45 CFR 74 for nonprofit organizations.

**Award Procedure:**

Applications that are complete and responsive to competitive new grant and cooperative agreement announcements will undergo an objective review process, receive a written critique and be scored according to published review criteria. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon availability of funding under the American Recovery and Reinvestment Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

After Notices of Grant Award are issued, funds are released in accordance with HHS payment procedures, which may be through an Electronic Transfer System or a Monthly Cash Request System. Project period: up to two years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below.

Not later than 10 days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit quarterly reports to HHS that will posted to [Recovery.gov](http://Recovery.gov), containing the following information:

- a. The total amount of ARRA funds under this award;
- b. The amount of ARRA funds received under this award that were obligated and expended to projects or activities;
- c. The amount of unobligated award balances;
- d. A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment.

e. Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282).

For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary

location of performance under the award, including the city, State, congressional

district, and country; and (9) a unique identifier of the entity receiving the award

and of the parent entity of the recipient, should the entity be owned by another entity.

f. All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS.

g. Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted.

h. Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award.

Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in award notices.

Final financial status and performance reports are required 90 days after the end of the project period. Expenditure reports are not applicable. See reporting under progress reports above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The audit must be completed along with a data collection form, and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditors report(s), or 9 months after the end of the audit period. The audit report must be sent to: Federal Audit Clearing House, Bureau of the Census, 1201 East 10th Street, Jeffersonville, IN 47132. Should you have questions regarding the submission or processing of your Single Audit Package, contact the Federal Audit Clearinghouse at: (301) 763-1551, (800) 253-0696 or e-mail: [govs.fac@census.gov](mailto:govs.fac@census.gov) The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grant funds received exceed \$500,000). The grantee must also ensure that appropriate corrective action is taken within 6 months after receipt of the sub-recipient audit report in instances of non-compliance with Federal law and regulations. The grantee is to consider whether sub-recipient audits necessitate adjustment of the grantees own accounting records. If a sub-recipient is not required to have a program-specific audit, the Grantee is still required to perform adequate monitoring of sub-recipient activities. The grantee is to require each sub-recipient to permit independent auditors to have access to the sub-recipients records and financial statements. The grantee should include this requirement in all sub-recipient contracts.

**Records:**

113 Records: Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42

requirements or 45 CFR 74.53, accordingly to the type of recipient.

**Account Identification:**

75-1701-0-1-551.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Range of awards will be \$100,000 to \$5,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Laura Conn NCPHI, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, NE., Mailstop E85, Atlanta, Georgia 30333 Email: LConn@cdc.gov Phone: 404-639-2475

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria for selecting applications are available in the funding opportunity announcement guidance document. In addition, all applicants are expected to demonstrate compliance with applicable program requirements. Applicants are strongly encouraged to demonstrate compliance with these requirements and expectations in the application. Applicants requesting funding under multiple programs are expected to demonstrate compliance with the expectations and requirements for all of those programs.

**93.730 ARRA PREVENTION RESEARCH CENTERS COMPARATIVE EFFECTIVENESS RESEARCH PROGRAM**

(RC CER Program)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under the American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5; Public Health Service Act, 42 U.S.C. 241(a) and 247b(k)2 and Public Health Service Act, Title 42, Part 330u-5, Section 1706 , Public Law 111-5.

**OBJECTIVES:**

To support Prevention Research Centers (PRCs) to perform comparative effectiveness research (CER) that compares innovative public health strategies or interventions, in new settings or populations (such as minorities or people with disabilities), and that preferably include new endpoints such as biologic measures or combined clinical and social interventions. The emphasis is to develop new scientific evidence that fills important knowledge gaps. The interventions or strategies should be policy or environmental but are expected to consider what targeted outcome(s) are anticipated and how such outcomes will be achieved and to describe how the intervention will be implemented so it can be replicated by others.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CDC has designated \$10,000,000 in FY 2010 to fund 3-5 cooperative

agreements to PRCs to compare innovative public health strategies or interventions, in new settings or populations (such as minorities or people with disabilities), and that preferably include new endpoints such as biologic measures or combined clinical and social interventions. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual to support policy and system changes to perform comparative effectiveness research that compares innovative public health strategies or interventions, in new settings or populations (such as minorities or people with disabilities) preferably those that assess the impact of policy and environmental interventions, and includes new endpoints such as biologic measures or combined clinical and social interventions. Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. Federal regulations at 45 CFR Part 46 require that applications and proposals involving human subjects research must be evaluated in accordance with those regulations, with reference to the risks to the subjects, the adequacy of protections against these risks, the potential benefits of the research to the subjects and others, and the importance of the knowledge gained or to be gained. Federal funds may not be used on human subjects research until appropriate IRB approvals are in place. .

**Applicant Eligibility:**

The CDC program limits eligibility only to applicants who have applied for and have been selected as PRCs under Funding Opportunity Announcement DP09-001. Competition is limited to PRCs under this CDC Program Announcement because (1) they are uniquely positioned to perform, oversee, and coordinate public health-oriented CER that promotes the field of prevention research due to their established relationships with community partners and previous experience with CER and (2) these PRCs recently competed for prevention research funding and were deemed to be the best applicants among research institutions that include all schools of public health and schools of medicine with preventive medicine residency programs. The current recipients funded under Funding Opportunity Announcement DP09-001 are:

1. Boston University
2. Case Western Reserve University
3. Columbia University
4. Dartmouth College
5. Emory University
6. Harvard University
7. Johns Hopkins University
8. Morehouse School of Medicine
9. New York University School of Medicine
10. Ohio State University
11. Oregon Health and Science University
12. Saint Louis University (with Washington University)
13. San Diego State University (with University of California at San Diego)
14. Texas A&M Health Science Center
15. Tulane University
16. University of Alabama at Birmingham
17. University of Arizona
18. University of Arkansas for Medical Sciences
19. University of California at Berkeley
20. University of California at Los Angeles
21. University of Colorado Denver
22. University of Kentucky
23. University of Maryland
24. University of Massachusetts Medical School
25. University of Michigan
26. University of Minnesota
27. University of New Mexico
28. University of North Carolina at Chapel Hill
29. University of Rochester
30. University of South Carolina
31. University of South Florida
32. University of Texas Health Science Center at Houston
33. University of Washington

- 34. West Virginia University
- 35. Yale University.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The funding opportunity announcement is located on the HHS/CDC website at the following Internet address: <http://www.grants.gov>. Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. Applicants must download the SF424 application forms through [Grants.gov/Apply](http://Grants.gov/Apply). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov). HHS/CDC Telecommunications for the hearing impaired: TTY (770) 488-2783.

**Award Procedure:**

All applications which are complete and responsive to the competitive funding opportunity announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened in accordance with CDC peer review procedures. Incomplete and/or non-responsive applications or applications not following instructions given in the FOA will be returned to the applicant without further consideration. Applicants will be notified the application did not meet submission requirements. As part of the initial merit peer review, all applications will (1) undergo a selection process in which only those applications deemed to have the highest scientific merit will be discussed and assigned a priority score (2) these applications will be reviewed for scientific merit using current NIH/CDC criteria (a scoring system of 1-9 points) to evaluate the methods and scientific quality of the application; and (3) receive a written critique. A second level of review will be conducted by a panel of senior federal officials. This panel will review the ranked proposals to assure maximal impact and balance of the proposed research. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Applications may be up to 2 years in duration. Method of awarding/releasing assistance: lump sum.

**Reports:**

Recipients of Federal awards from funds authorized under Division A of the

ARRA must comply with all requirements specified in Division A of the ARRA Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, ARRA recipients must report on ARRA sub-recipient (sub-grantee and sub-contractor) activities as specified below. Not later than 10 days after the end of each calendar quarter, starting with the quarter ending August 30, 2010 and reporting by September 10, 2010, the recipient must submit quarterly reports to HHS that will be posted to [Recovery.gov](http://Recovery.gov), containing the following information: (a) The total amount of ARRA funds under this award; (b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities; (c) The amount of unobligated award balances; (d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including: (1) the name of the project or activity; (2) a description of the project or activity; (3) an evaluation of the completion status of the project or activity; (4) an estimate of the number of jobs created and the number of jobs retained by the project or activity; and (5) for infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment; (e) Detailed information on any sub-awards (sub-contracts or sub-grants) made by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information will be required: (1) the name of the entity receiving the sub-award; (2) the amount of the sub-award; (3) the transaction type; (4) the North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number; (5) program source; (6) an award title descriptive of the purpose of each funding action; (7) the location of the entity receiving the award; (8) the primary location of performance under the award, including the city, State, congressional district, and country; and (9) a unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity. (f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by HHS. (g) Recipients must account for each ARRA award and sub-award (sub-grant and sub-contract) separately. Recipients will draw down ARRA funds on an award-specific basis. Pooling of ARRA award funds with other funds for drawdown or other purposes is not permitted. (h) Recipients must account for each ARRA award separately by referencing the assigned CFDA number for each award. Additional reporting requirements will be detailed in Funding Opportunity Announcements and included in the award notice. Final financial status and performance reports are required 90 days after the end of the project period. No cash reports are required. No progress reports are required. No expenditure reports are required. An HHS/CDC agency program official or CIO program director will be responsible for the normal scientific and programmatic stewardship of the award and will be named in the Notice of Award. Responsibilities will include carrying out continuous review of all activities to ensure objectives are being met; participating in conference calls for the purpose of assessing overall progress and for program evaluation purposes; providing scientific consultation and technical assistance in the conduct of the project; and conducting site visits to determine the adequacy of the research and to monitor performance against project objectives.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine HHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must

be retained in accordance with 45 CFR 74.53 requirements.

**Account Identification:**

75-1701-0-1-551.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

A total of \$10 million will be awarded with an anticipated 3-5 awards. The total number of awards will depend upon the quality, duration, and costs of the applications received. Because the nature and scope of the proposed research will vary from application to application, it is anticipated that the size and duration of each award also will vary.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: N/A. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74. HHS Grants Policy Statement at: <http://www.hhs.asrt.org/grantinformation/hhsgps107.pdf> Grantees must also comply with the HHS Standard Terms and Conditions for ARRA funds, which can be found at <http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

None.

**Headquarters Office:**

Elizabeth K Patterson, 4770 Buford Highway N.E. Mailstop K92, Atlanta, Georgia 30341 Email: [BPatterson@cdc.gov](mailto:BPatterson@cdc.gov) Phone: (770) 488-6045.

**Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Funding would be specifically directed to Prevention Research Centers to perform comparative effectiveness research that compares innovative public health strategies or interventions, in new settings or populations (such as minorities or people with disabilities), preferably includes CER that assesses the impact of policy and environmental interventions, and includes new endpoints such as biologic measures or combined clinical and social interventions. CDC will require applicants to specifically address in their applications plans for sustaining the impact of ARRA investments beyond the federal funding provided in the next 2 years. The following criteria will be used by the initial merit review panel in order to judge the likelihood that the proposed research will have a substantial impact on the pursuit of stated goals: significance, approach, innovation, investigators and environment. In addition, reviewers will consider the following additional items in the determination of the scientific and technical merit: budget, inclusion (adequacy of plans to address the needs of both genders, racial and ethnic minorities); protection of human subjects from research risk and privacy and security protections for patients. The following will be considered in making funding decisions: scientific merit of the proposed project as determined by peer review; availability of funds; relevance to program priorities; focus is on public health interventions or strategies in two or more of the following areas: community-level behavior change, environmental-level, and policy level; research addresses populations with major health disparities; and selected PRCs ensures geographic distribution of awards. PRCs will also need to demonstrate a continued plan for progress toward meeting HHS Action Plan prevention targets as demonstrated through reporting metrics outlined in the Plan.

**93.731 ARRA - PREVENTION AND WELLNESS - LEVERAGING NATIONAL ORGANIZATIONS**

Communities Putting Prevention to Work (CPPW)- Leveraging National Organizations

**FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized by the American Recovery and Reinvestment Act of 2009 (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2) and 42 U.S.C. 300k-1, 300 sec.1701 of the Public Health Service Act, as amended., Section 1701, 42 U.S.C 300k-1, 300.

**OBJECTIVES:**

Providing resources and promoting prevention efforts to ARRA Communities Putting Prevention to Work funded communities through the national organizations systems and networks.  
Sustaining community prevention efforts beyond Recovery Act CPPW funding;  
Supporting a National Prevention Media Initiative through co-branding and augmenting HHS-developed media campaigns in communities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds are to support reasonable program purposes including staffing, travel, supplies, and services. Grant funds may not be used for: Building alterations or renovations; Construction; Fund-raising activities; Job training; Political education and lobbying; Vocational rehabilitation. Grant funds may not be used for: Building alterations or renovations; Construction; Fund-raising activities; Job training; Political education and lobbying; Vocational rehabilitation.

**Applicant Eligibility:**

Must have an established (two years or longer) national outreach infrastructure with an existing focus on population based approaches such as policy, systems, and environmental change in the areas of tobacco, obesity, nutrition, and/or physical activity.

**Beneficiary Eligibility:**

Public and Private Non-Profit Institutions  
U.S. Citizen (all ages).

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply, access the announcement thru [www.grants.gov](http://www.grants.gov). Enter the CFDA# and follow the website instructions. Applications submitted after the deadlines will not be accepted for review. The submission deadline will not be extended. Applications which do not conform to the requirements of the grant announcement will not be accepted for review and will be returned to the applicant. Applications may only be submitted electronically via [www.grants.gov](http://www.grants.gov) Any applications submitted via any other means of electronic communication, including facsimile or electronic mail, will not be accepted for review.

**Award Procedure:**

Applications will be screened upon receipt. Those that are judged to be ineligible will be returned to the applicant. Accepted applications will be evaluated by a technical review panel composed of independent experts. The final funding decision will be determined by the Agency Director, who will take into consideration the recommendations of the review panel; programmatic needs, stated preferences; geographic location; and recommendations of DHHS Regional Health Coordinators. All applicants will be notified in writing of actions taken on their applications. Applications that are approved and funded will be issued A Notice of Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

24 months from start date of grant award. See the following for information on how assistance is awarded/released: Payments will be made either on a monthly cash request basis or under the Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made.

**Reports:**

Quarterly Progress reports are required and a final performance report is due 90 days following the end of the 2 year project period. NEW FINANCIAL REPORTING REQUIREMENT Federal Financial Reporting (FFR) SF 425:

As of February 1, 2011, the Department of Health and Human Services (DHHS) will begin the transition from use of the SF-269, Financial Status Report (Short Form or Long Form) to the use of the SF-425 Federal Financial Report for expenditure reporting. SF-269s will no longer be accepted for expenditure reports due after that date. If an SF-269 is submitted, the Office of the Assistant Secretary for Health, Office of Grants Management will return it and require the recipient to complete the SF-425. Copies of the SF-425 can be found on the website at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

1. Grantees must submit quarterly Federal Financial Reports due on one of the standard due dates below by which cash reporting is required to be submitted to PMS or at the end of a calendar quarter. The FFR is due 30 days after the end of each calendar quarter.

2. Also, grantees must submit an annual Federal Financial Report due 90 days after the end of the budget period/project period end date.

3. Reports are to be submitted by hard copy or electronically through GrantSolutions to the assigned Grants Management Specialist in the Office of Grants Management. Please reference the CONTACTS section of the Terms and Conditions for the contact information for these individuals.

4. To determine your due dates, select the row corresponding to the month in which your Budget Period begins, e.g. a June 30 start would correspond to the 1-Jun row.

**Quarterly/Annual Reporting Deadlines**

Budget Period 1st

Quarter FFR Due 2nd

Quarter FFR Due 3rd

Quarter FFR Due 4th

Quarter FFR Due Annual FFR Due

Begin End Date Date Date Date

1-Jan 31-Dec 30-Apr 30-Jul 30-Oct 30-Jan 30-Apr

1-Feb 31-Jan 30-Jul 30-Oct 30-Jan 30-Apr 30-Apr

1-Mar 28-Feb 30-Jul 30-Oct 30-Jan 30-Apr 30-Jul

1-Apr 31-Mar 30-Jul 30-Oct 30-Jan 30-Apr 30-Jul

1-May 30-Apr 30-Oct 30-Jan 30-Apr 30-Jul 30-Jul

1-Jun 31-May 30-Oct 30-Jan 30-Apr 30-Jul 30-Oct

1-Jul 30-Jun 30-Oct 30-Jan 30-Apr 30-Jul 30-Oct

1-Aug 31-Jul 30-Jan 30-Apr 30-Jul 30-Oct 30-Oct

1-Sep 31-Aug 30-Jan 30-Apr 30-Jul 30-Oct 30-Jan

1-Oct 30-Sep 30-Jan 30-Apr 30-Jul 30-Oct 30-Jan

1-Nov 31-Oct 30-Apr 30-Jul 30-Oct 30-Jan 30-Jan

1-Dec 31-Nov 30-Apr 30-Jul 30-Oct 30-Jan 30-Apr.

Quarterly Progress reports are required and a final performance report is due 90 days following the end of

the 2 year project period. Cash disbursement reports are due prior to receipt of funds or within designated time frame. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a minimum of 3 years, or longer pending completion and resolution of any audit findings.

HHS and the Comptroller General of the United States or any of their designated authorized officials shall have the right of access to any books, documents, papers, or other records of a grantee, sub-grantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 Estimate Not Available(Exp: 2 year program; no new funds); and FY 13 Estimate Not Available(Exp: 2 year program; no new funds) - FY10 funds only; 2 year program ended 7/14/2012.

**Range and Average of Financial Assistance:**

Up to \$1.5M per award; total available \$10Million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Notice of Grant Award will contain and reference applicable regulations. Information on HHS Grants Policy Statement and 45 CFR Part 74 can be found here: <http://www.hhs.gov/asrt/og/aboutog/grantsnet.html>

Information on ARRA terms and conditions can be found here:

<http://www.hhs.gov/recovery/grantscontracts/recoverytermsconditions.html>

**Regional or Local Office:**

See Regional Agency Offices. Calvin Teel  
Office of The Assistant Secretary for Health  
200 Independence Avenue 730F  
Washington, DC 20201  
202-260-8414  
Calvin.Teel@hhs.gov.

**Headquarters Office:**

Eric C. West Tower Building Suite 550  
1101 Wootton Parkway, Rockville, Maryland 20852 Email: [eric.west@hhs.gov](mailto:eric.west@hhs.gov)  
Phone: 2404538822 Fax: 2404538823

**Website Address:**

<http://www.hhs.gov/recovery/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

CRITERIA FOR SELECTING PROPOSALS:

WORK PLAN (30 points)  
ORGANIZATIONAL CAPACITY AND STRUCTURE (20 POINTS)  
STAFFING AND MANAGEMENT PLAN (15 POINTS)  
PROGRAM REPORTING REQUIREMENTS & EVALUATION PLAN (15 POINTS)  
SUSTAINABILITY (10 POINTS)  
BUDGET (SF 424A) AND BUDGET NARRATIVE (10 POINTS).

### **93.732 PPHF-2012 MENTAL AND BEHAVIORAL HEALTH EDUCATION AND TRAINING GRANTS**

MBHET

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Title VII, Section 756 of the Public Health Service (PHS) Act (U.S.C. 294e), as amended by Section 5306 (a) (1) (2) of the Affordable Care Act (Public Law 111-148) and Section 4002 (42 U.S.C. 300 u-11) of the Prevention and Public Health fund. Section 797 of the Public Health Service Act provides provision for trainee support. Section 791 of the PHS Act authorizes a Medically Underserved Community (MUC) funding preference for the program.

#### **OBJECTIVES:**

Provide support to recruit students for education and clinical experiences in social work and psychology.

#### **TYPES OF ASSISTANCE:**

Project Grants

#### **USES AND USE RESTRICTIONS:**

Support institutions with accredited programs in social work and psychology in order to carry out internship and field experiences to social work (MSW) and psychology (PhD/PsyD) programs that prepare students to deliver clinical behavioral health services to the high need and high demand population, which refers to vulnerable, rural, and/or underserved populations and military personnel, veterans, and their families. Stipends will also be provided to master level social work and doctoral level psychology student trainees. The Mental and Behavioral Health Education and Training Program will only make awards to accredited schools and programs of social work, accredited schools and programs of psychology, and pre-degree internship organizations (public and private nonprofit). Social work training programs must be accredited by the Council on Social Work Education. Psychology training programs, including internship placements, must be accredited by the American Psychological Association (APA). Clinical field experiences must provide services to vulnerable, rural and underserved populations, including current military populations and veterans. It is estimated that \$10,000,000 dollars will be available in Fiscal Year 2012 to recruit students for education and clinical experiences in social work and psychology. Stipends will be available for student field placements.

The minimum stipend support for Master of Social Work (MSW) students is \$10,000 per year and the minimum stipend support provided for pre-degree doctoral level psychology students is \$20,000. Seventy-five percent of the requested funding must be distributed as stipends to the MSW and doctoral psychology students to support the field placements and pre-degree internships, respectively, that each have a clinical focus or component. The remaining 25 percent funding will be to support strategies to recruit new students interested in pursuing a clinical concentration with identified special populations; develop and implement interdisciplinary training; and add to existing, expand, and/or foster the development of new pre-degree internships slots for psychology doctoral students (PhD/PsyD) or field placements for Masters of Social Work (MSW) students.

#### **Applicant Eligibility:**

Eligible applicants for the Mental and Behavioral Health Education and Training program are institutions of higher education with accredited masters level programs in social work and doctoral level programs (PhD/PsyD) in psychology. Accredited pre-degree internship organizations (public and private nonprofit) in the U.S. or the U.S. Territories are also eligible to apply. Student trainees in this program must commit to field experience or accredited

internship working with the high need and high demand communities. Eligible applicant organizations must be located in the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, the Republic of Palau, the Republic of Marshall Islands or the Federated States of Micronesia.

#### **Beneficiary Eligibility:**

Beneficiaries of the award (student trainees) must be citizens of the United States, Nationals of the United States, or must possess a visa permitting permanent residence in the United States. Student trainees must also be enrolled in accredited programs in social work or psychology.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. Applicant institutions are required to include documentation of accreditation in their application. Social work training programs must be accredited by the Council on Social Work Education. Psychology training programs and internship organizations must be accredited by the American Psychological Association (APA). OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 120 to 180 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

This funding opportunity provides support for a three-year project period. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends.

New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the FSR. If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0353-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$10,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

Approximately \$10,000,000 million dollars from the Prevention and Public Health Fund is available in fiscal year 2012 to fund approximately 20 new grantees for a three year project period with a single budget period. The ceiling is \$480,275 per grant for the full three year project period.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable. HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>. All OMB circulars A-133, A-110, A-122 apply to this program.

**Regional or Local Office:**

See Regional Agency Offices. Cynthia Harne, Project Officer, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Room 9C-26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-8998. E-mail: [charne@hrsa.gov](mailto:charne@hrsa.gov).

Rebecca Wilson, Project Officer, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Room 9C-26, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: 594-4466. E-mail: [rwilson@hrsa.gov](mailto:rwilson@hrsa.gov).

**Headquarters Office:**

Division of Public Health and Interdisciplinary Education, BranchOffice of the Director 5600 Fishers Lane, Room 9C-26, Rockville, Maryland 20857 Phone: (301) 443-6950

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Competing applications are reviewed by consultants who make technical merit recommendations based on the potential effectiveness of the proposed project in carrying out the training purposes of the Consolidated Appropriations Act of 2012 (Pub L. 112-74) of the PHS Act. Approval of any application will be based on an analysis of the following factors: responsiveness to the funding opportunity announcement, need and rationale, project plan, project management, fiscal plan, and project effectiveness. See most recent funding opportunity announcement at [www.grants.gov](http://www.grants.gov) for detailed selection criteria.

**93.733 CAPACITY BUILDING ASSISTANCE TO STRENGTHEN PUBLIC HEALTH IMMUNIZATION INFRASTRUCTURE AND PERFORMANCE FINANCED IN PART BY THE PREVENTION AND PUBLIC HEALTH FUND (PPHF-2012)**

Immunization Program 2012 Prevention and Public Health Fund and Other Capacity-Building Activities

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under Section 317 of the Public Health Service Act (42 U.S.C. Sections 247b), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs. This program is funded in part by 2012 Prevention and Public Health Funds (PPHF-2012).

**OBJECTIVES:**

This program will improve the efficiency, effectiveness, and/or quality of immunization practices by strengthening the immunization information technology infrastructure, building capacity for public health department insurance billing, and expanding immunization delivery partnerships so that more children, adolescents, and adults are protected against vaccine-preventable diseases. The specific objectives may include but are not limited to:

1. Develop strategic plans for billing for immunization services in health department clinics;
2. Enhance interoperability between electronic health records (EHRs) and Immunization Information Systems (IIS) and reception of HL7 standard messages in IIS;
3. Develop a vaccine ordering module in an immunization information system that interfaces with CDC's VTrackS vaccine ordering and management system;
4. Vaccine barcode improvement to improve the system functions to capture data from 2-D barcodes on vaccine vials and syringes as well as improve data capture from the Vaccine Information Statements;
5. Improve vaccine management, storage and handling at provider and grantee level;
6. Use immunization information systems to improve adolescent vaccination coverage;
7. Conduct hepatitis B vaccination pilot to reduce the incidence of acute hepatitis B infection among adults through targeted hepatitis B vaccination of adults who present for medical care in high risk settings or who have behaviors that increase their risk of hepatitis B virus (HBV) infection;
8. Conduct school vaccination assessment evaluation to implement substantial improvements in the quality of kindergarten coverage and exemption data collected at state and local levels while building state and local area capacity;
9. Use immunization information systems to conduct small area analysis of vaccination coverage.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, conducting, and supporting immunization programs directed toward

vaccine-preventable diseases, and for the implementation of other program elements as described in Section 050 above and through CDC allowable and unallowable expenses.

**Applicant Eligibility:**

Eligibility is limited to the current 64 CDC Immunization Program grantees and some program areas have more specific criteria. Private individuals; private, nonprofit agencies; and Indian tribes are not eligible.

**Beneficiary Eligibility:**

Any U.S. state, political subdivision and U.S. territories (as described above), and other public entities will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds. Costs will be determined in accordance with 2 CFR 225 (OMB Circular No. A-87) for state and local governments. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-110. Allowable costs will be determined in accordance with OMB Circular No. A-87 for non-profit, non-governmental organizations. Applicants must download supplemental application forms from [www.Grants.gov](http://www.Grants.gov). Supplemental applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov).

If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office, Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone: 770-488-2700, email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov).

HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

**Award Procedure:**

All applications that are complete and responsive to competitive supplemental grant and cooperative agreement announcements will undergo an objective review process, receive a written critique and be scored according to published review criteria. Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized CDC Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under Section 317 of the Public Health Service Act or under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period and 24-month project period. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. The reporting schedule will be based on the requirements listed in the funding opportunity announcement. Funded applicants must provide a Monthly Progress Report within 30 days after the award and monthly thereafter. An Annual Progress Report is due 90 days after the end of the budget period. Federal Financial Reports (SF 425) and Final Progress Report are due 90 days after the end of the budget period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), Audits of States, Local Governments, and Non-Profit Organizations, nonfederal entities that expend financial assistance of \$500,000 or more in the Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audits requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO). The grantee is to also ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or grants funds received exceed \$500,000). The grantee should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 Not Available; FY 12 est \$35,540,000; and FY 13 Estimate Not Available - Approximately \$35,540,000 for FY2012 in cooperative agreement funding will be made available. Future year funding is subject to the availability of funds.

**Range and Average of Financial Assistance:**

Awards will range from approximately \$25,000 to \$900,000 with an average of approximately \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available for 45 CFR 92 and HHS Grants Policy statement at <http://www.ahrq.gov/fund/hhspolicy.htm>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Aaron Borrelli 1600 Clifton Road, NE, MS A-19, Atlanta, Georgia 30033  
Email: [aborrelli@cdc.gov](mailto:aborrelli@cdc.gov) Phone: 4046398715

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

93.268 Immunization Grants; 93.539 Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance

**EXAMPLES OF FUNDED PROJECTS:**



Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Immunization and Respiratory Diseases and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified if the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application Review Information within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.734 EMPOWERING OLDER ADULTS AND ADULTS WITH DISABILITIES THROUGH CHRONIC DISEASE SELF-MANAGEMENT EDUCATION PROGRAMS FINANCED BY 2012 PREVENTION AND PUBLIC HEALTH FUNDS (PPHF-2012)**

Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs financed by 2012 Prevention and Public Health Funds (PPHF-2012)

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Title IV, Section 4002 of the Affordable Care Act (Prevention and Public Health Fund).

**OBJECTIVES:**

The overall purpose of this funding opportunity is to help ensure that evidence-based self-management education programs are embedded into the nations health and long-term services and supports systems. This effort will help preserve and expand the prevention program distribution and delivery systems that were developed through previous AoA grants. This funding opportunity is supportive of the HHS Strategic Framework on Multiple Chronic Conditions in bringing to scale and enhancing sustainability of evidence-based, self-management programs. It also helps to address the Healthy People 2020 objectives to increase the proportion of older adults with one or more chronic health conditions who report confidence in managing their conditions and to increase the proportion of older adults who receive Medicare benefits for Diabetes Self-Management Training. This funding opportunity is designed to achieve the following two major goals:

Goal 1: Significantly increase the number of older and/or disabled adults with chronic conditions who complete evidence-based chronic disease self-management education (CDSME) programs to maintain or improve their health status.

Goal 2: Strengthen and expand integrated, sustainable service systems within States to provide evidence-based CDSME programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

1. The use of these funds is to support state efforts to deploy evidence-based self-management education programs that empower older and/or disabled adults with chronic conditions to maintain and improve their health. Funds may be used to 1) implement or continue evidence-based CDSME programs, and 2) develop an integrated, sustainable service system that can be used to systematically deliver evidence-based CDSME programs, including an effective State-level aging and public health leadership, partnerships to embed CDSME programs into ongoing delivery systems, a delivery infrastructure/ capacity to provide programs throughout the State, centralized or coordinated processes for recruitment, intake, referral, registration/ enrollment, a quality assurance program and ongoing data systems and procedures, and business planning and financial sustainability activities. Funds may also be used for travel at a national grantee meeting and to meet all training, licensing, fees or other requirements, associated with the selected CDSME program to ensure compliance with all the

requirements stipulated by the authorizing entity. The following activities are not fundable: Construction and/or major rehabilitation of buildings, Basic research (e.g. scientific or medical experiments), Continuation of existing projects without expansion, and Pre-award costs.

**Applicant Eligibility:**

Eligible applicants include State Units on Aging and State Public Health departments in all U.S. states and territories; however, priority consideration will be given to:

The State Units on Aging and State Public Health departments within the 48 U.S. states and territories that previously received and successfully completed either an AoA Evidence-Based Disease and Disability Prevention Grant or a Recovery Act Communities Putting Prevention to Work CDSMP grant.

Among the 47 Recovery Act CDSMP grantees, agencies that successfully reached their CDSMP completion target goal by 3/30/12.

Agencies that have made substantial progress towards developing sustainable financing strategies to continue to offer CDSME programs beyond the grant period.

**Beneficiary Eligibility:**

The ultimate beneficiaries of this funding opportunity are older and disabled adults with chronic conditions residing with the States and Territories. Applicants must identify and select a specific targeted population(s) including at least one low-income, minority, rural, limited English speaking or other underserved older and/or disabled group.

**Credentials/Documentation:**

The application must include a letter of support from the States Governor, and letter of commitment from the co-lead State Unit on Aging (SUA) or State Public Health (SPH) department. The SUA/ SPH letter of commitment should describe the departments commitment to substantive contributions in the planning and implementation of the project. The OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Only one application will be accepted from each state or territory and a letter of support from the Governor and letter of commitment from the co-lead State agency must be included with the application. Applications must include a description of existing partnerships including those with agencies that have multiple delivery sites, the involvement of the Aging Network (area agencies on aging, Aging and Disability Resource Centers, senior centers and other provider agencies) and other local agencies, existing partnerships and statewide systems that provide community-based services and supports to older and/or disabled adults, and how this effort will be coordinated and/or integrated with existing CDSME program licensed organizations and other community-based prevention programs being delivered to older and disabled adults in the State. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Grant applications for Federal assistance (Nonconstruction programs) are in accordance with program announcements developed by the Administration on Aging. Application materials will be published on the Grants.gov website (<http://www.grants.gov>) or the AoA website (<http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>). AoA is requiring applications for all announcements to be submitted electronically through <http://www.grants.gov>.

**Award Procedure:**

Notification of Award will be issued to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Please consult <http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx> for Program Announcements.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative agreements will be made for a 3 year period, depending upon funding availability. Grant extensions are available and may be requested from the grantees Project Officer. The method of awarding/ releasing assistance is by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees will be expected to report on the numbers of workshops, sites, participants and completers. Grantees are required to complete the federal cash transactions portion of the SF-425 within the Payment Managements System. Semi-annual progress reports will be required. The PPHF requires quarterly reporting on cash expenditures. Grantees will be expected to develop a quality assurance plan including performance indicators and a process for ongoing performance monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit info.

**Records:**

Records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$8,450,000; and FY 13 est \$10,000,000

**Range and Average of Financial Assistance:**

\$200,000 - \$575,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All grantees must comply with all requirements specified for grants funded through the Prevention and Public Health fund. Grantees also must comply with policies outlined in HHS Grants Policy Statement located at <http://www.hhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None. U.S. Department of Health and Human Services  
Administration for Community Living  
Washington, DC 20201  
Attn: Michele Boutaugh  
email: [michele.boutaugh@aoa.hhs.gov](mailto:michele.boutaugh@aoa.hhs.gov).

**Headquarters Office:**

Michele Boutaugh U.S. Department of Health and Human Services  
Administration for Community Living  
One Massachusetts Avenue, NW, Washington, District of Columbia 20201  
Email: [Michele.Boutaugh@aoa.hhs.gov](mailto:Michele.Boutaugh@aoa.hhs.gov) Phone: 404-562-7578

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.048 Special Programs for the Aging Title IV and Title II Discretionary Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements will be awarded on a competitive basis. Specific details for evaluating applications are published as part of the program announcement. Major emphases are: 1) documented need, 2) expected reach, outcomes and impact, 3) organizational capacity, 4) coordination and partnerships, and 5) level of integration with the states long term supports and services and health systems.

**93.735 STATE PUBLIC HEALTH APPROACHES FOR ENSURING QUITLINE CAPACITY FUNDED IN PART BY 2012 PREVENTION AND PUBLIC HEALTH FUNDS (PPHF-2012)**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, Fiscal Year 2012, Public Law 112-74, for the Departments of Labor, Health and Human Services, and Education and the Department of Interior and Related Agencies; and the Consolidated and Further Continuing Appropriations Act, Fiscal Year 2012, Public Law 112-55 for the United States Department of Agriculture, and Related Agencies. Title IV Section 4002 Prevention and Public Health Fund.

**OBJECTIVES:**

As part of the overall effort to reduce the burden of chronic diseases and chronic disease risk factors, the Centers for Disease Control and Prevention (CDC), National Center for Chronic Disease Prevention and Health Promotion (NCCDPHP), Office on Smoking and Health (OSH) announces the opportunity to apply for funds to ensure and support state quitline capacity, in order to respond to upcoming federal initiatives such as the National Tobacco Education Campaign. <http://www.cdc.gov/tobacco>. This program addresses the Healthy People 2020 focus area of tobacco use and the goal of reducing illness, disability, and death related to tobacco use and secondhand smoke exposure. Preventing tobacco use and helping tobacco users quit can improve the health and quality of life for Americans of all ages. People who stop smoking greatly reduce their risk of disease and premature death. Benefits are greater for people who stop at earlier ages, but quitting tobacco use is beneficial at any age.

This FOA will be a new, 2-year cooperative agreement for all states and territories that currently have a quitline. Funds will be used for the following:

Address the anticipated increase in calls

Expand capacity and eligibility to ensure all callers receive some form of assistance

Increase efficiencies of quitline operations, such as demonstrating how they will connect to or incorporate an interactive voice recording system (IVR) at the state or federal level

Incorporate technological enhancements to provide additional forms of assistance to callers who want to quit

Expand paid and earned media to promote the quitline and increase quit attempts

Develop and/or implement private/public partnerships or other strategies to sustain quitline capacity.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Of the \$22 million dollars will be used to support intensive community approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

Awardees may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Reimbursement of pre-award costs is not allowed.

Funds will not be used to supplant existing state funding for quitlines

A maximum of 10% of funds may be spent on Nicotine Replacement Therapy (NRT), and NRT cannot be provided to any individual for greater than two weeks using these funds.

**Applicant Eligibility:**

Eligible applicants that can apply for this funding opportunity are listed below: Eligibility is limited to currently funded recipients under RFA-DP09-901 and RFA-DP09-902. These include state, District of Columbia, and the U.S. territorial health departments of Guam and Puerto Rico because they are the only entities with the authority to prevent and control tobacco use and which provide quitline services within the states and territories. State and territorial health departments are also uniquely qualified to address the anticipated increase in calls to quitlines due to federal media education campaigns, while expanding capacity and eligibility to ensure all callers receive some form of assistance. These agencies are also uniquely qualified to promote the quitline, increase quit attempts, and increase public and private partnerships to ensure quitline sustainability.

**Beneficiary Eligibility:**

Any State and territorial health department, and other public entities will benefit.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. This program is covered under OMB Circular No. A-102. Applicants must download the SF424 application forms through [Grants.gov/Apply](http://Grants.gov/Apply).

Only the forms package directly attached to a specific Funding Opportunity Announcement (FOA) can be used. If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, contact the CDC Procurement and Grants Office Technical Information Management Section (PGOTIMS) staff. For this, or further assistance, contact PGO TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov). HHS/CDC Telecommunications for the hearing impaired: TTY 770-488-2783.

**Award Procedure:**

Eligible applicants are required to provide measures of effectiveness that will demonstrate the accomplishment of the various identified objectives of the DP12-1214PPHF12. Measures of effectiveness must relate to the performance goals stated in the Purpose section of this announcement. Measures of effectiveness must be objective, quantitative and measure the intended outcome of the proposed program. The measures of effectiveness must be included in the application and will be an element of the evaluation of the submitted application. All applications that are complete and responsive to this competitive funding opportunity announcement will be evaluated for programmatic and technical merit. Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the National Center for Chronic Disease Prevention and Health Promotion and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants were notified the application did not meet submission requirements. Technical reviews will be conducted on complete and responsive applications according to the evaluation criteria listed in funding opportunity

announcement DP12-1214PPHF12. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding under the Public Health Prevention Fund.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

until June 24, 2014. See the following for information on how assistance is awarded/released: Notice of Award.

**Reports:**

Each funded applicant must provide CDC with an annual Interim Progress Report submitted via [www.grants.gov](http://www.grants.gov):

1. The interim progress report is due no less than 120 days before the end of the budget period. The Interim Progress Report will serve as the non-competing continuation application, and must contain the following elements:

- a. Standard Form (SF) 424S Form.
- b. SF-424A Budget Information-Non-Construction Programs.
- c. Budget Narrative.
- d. Indirect Cost Rate Agreement.
- e. Project Narrative.

Additionally, funded applicants must provide CDC with an original, plus two hard copies of the following reports: Annual progress report, due 90 days after the end of the budget period. Information needed in an annual report includes:

- 1 Progress towards objectives.
- 2 Successes.
- 3 Barriers encountered.
- 4 Technical Assistance and training requested.

Final performance and Federal Financial Reports (SF 425)\*, no more than 120 days after the end of each budget year. Cash reports are not applicable. Each funded applicant must provide CDC with an annual Interim Progress Report submitted via [www.grants.gov](http://www.grants.gov):

1. The interim progress report is due no less than 120 days before the end of the budget period. The Interim Progress Report will serve as the non-competing continuation application, and must contain the following elements:

- a. Standard Form (SF) 424S Form.
- b. SF-424A Budget Information-Non-Construction Programs.
- c. Budget Narrative.
- d. Indirect Cost Rate Agreement.
- e. Project Narrative.

Additionally, funded applicants must provide CDC with an original, plus two hard copies of the following reports: Annual progress report, due 90 days after the end of the budget period. Information needed in an annual report includes:

- 1 Progress towards objectives.
- 2 Successes.
- 3 Barriers encountered.
- 4 Technical Assistance and training requested.

Final performance and Federal Financial Reports (SF 425)\*, no more than 120 days after the end of each budget year. Federal Financial Reports (SF 425)\*, no more than 120 days after the end of each budget year. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit

Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$22,282,000; and FY 13 est \$22,282,000

**Range and Average of Financial Assistance:**

\$50,000-\$2,771,803.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: This program is new beginning in Fiscal Year 2012 and is new therefore, no 2011 accomplishment are needed. Fiscal Year 2012: This is a new program and therefore there are no accomplishments at this time. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

[www.cdc.gov/tobacco](http://www.cdc.gov/tobacco)

**Regional or Local Office:**

None.

**Headquarters Office:**

Karla Sneegas 4770 Buford Hwy. NE, Mailstop K-50

, Atlanta, Georgia 30341 Email: [KSneegas@cdc.gov](mailto:KSneegas@cdc.gov) Phone: 770-488-1221

**Website Address:**

<http://www.cdc.gov/>; and [www.Grants.gov](http://www.Grants.gov)

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants will be reviewed on the following criteria.

- I. Executive Summary
  - II. Background and Need
  - III. Program Infrastructure
  - IV. Program Plan : Quitline Capacity, Media, and/or Public and Private Partnerships Recipient Activities
  - V. Monitoring and Evaluation
  - VI. Budget- Should be included in application appendices
- Other criteria will be listed in individual funding opportunity announcements.

**93.736 PREVENTION PUBLIC HEALTH FUND 2012: VIRAL HEPATITIS PREVENTION**

Viral Hepatitis Prevention, Screening, Linkage to Care and Education

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Sections 301(a) and 317N of the Public Health Service Act (42 U.S.C. Section 241(a) and 247b-15) as amended; and Prevention and Public Health Fund (PPHF).

**OBJECTIVES:**

Program activities under this funding will allow for CDC to partner with multiple organizations to benefit individuals by substantially reducing viral hepatitis transmission, identifying those that are chronically infected and linking infected individuals with treatment if appropriate. Specifically, the program activities may include but are not limited to:

1. Increasing the proportion of persons living with HCV and HBV who are aware of their infection and referred for prevention and clinical care services.
2. Expanding and improving efforts to develop and disseminate viral hepatitis training and educational materials targeting the public and private sector health care professionals to build capacity to assess, test and medically manage populations at risk for chronic HCV and HBV infection.
3. Supporting state and local health departments and other organizations in linking HCV infected persons to community health centers, clinics serving injection drug users, and other health organizations seeing individuals potentially infected with chronic viral hepatitis.
4. Additional support will be provided for program monitoring, evaluation, capacity building, and technical assistance.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with establishing and maintaining a prevention and control program directed towards prevention of viral hepatitis infections and its manifestations. Recipients may only expend funds for reasonable policies, systems and program purposes including personnel, travel, supplies and services, such as reducing transmission of HBV and HCV, preventing and delaying the progress of chronic infection, as well as education and training of the general public and health care providers. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award in another party or provider who is eligible.

**Applicant Eligibility:**

Applicants include State or local governments or their Bona Fide Agents, public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Additional guidance may be provided in individual program announcement.

**Beneficiary Eligibility:**

The individual will benefit from the objectives of this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. Applicants must download application forms from [www.Grants.gov](http://www.Grants.gov). Applications must be submitted electronically at [www.Grants.gov](http://www.Grants.gov). If an applicant does not have access to the Internet, or if they have difficulty accessing the forms on-line, contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff. For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700, Email: [PGOTIM@cdc.gov](mailto:PGOTIM@cdc.gov)

**Award Procedure:**

Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer and emailed to the program director and a hard copy mailed to the recipient fiscal officer identified in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 1 year with 12-month budget period. See the following for information on how assistance is awarded/released: Assistance is awarded through Notice of Grant Awards to funded applicants.

**Reports:**

Not Applicable.

**Audits:**

Not Applicable.

**Records:**

Financial records, supporting documents, statistical records, and all other reports pertinent to the program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

09-2950-2-0-121 - Direct Category A funding:Viral Hepatitis.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$6,500,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards will range from approximately \$30,000 to \$500,000 with an average of \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hhspolicy.htm>.

**Regional or Local Office:**

None. Viral Hepatitis Program Contact: Jeffrey L. Efird, MPA, Deputy Director, Division of Viral Hepatitis, National Center for HIV, Viral Hepatitis, STD, and TB Prevention, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, Mailstop G-37,

Atlanta, Georgia, 30333. Email: [jle1@cdc.gov](mailto:jle1@cdc.gov)

Grants Management Contact: Carla Harper, Grants Management Officer, Department of Health and Human Services, CDC Procurement and Grants Office, 2920 Brandywine Road, MS E-15, Atlanta, GA 30341, Telephone 770-488-2439, Email: [CHarper@cdc.gov](mailto:CHarper@cdc.gov).

**Headquarters Office:**

Reginald D. Carson 1600 Clifton Road  
MS E07  
, Atlanta, Georgia 30329 Email: [rdc2@cdc.gov](mailto:rdc2@cdc.gov) Phone: 4046390022

**Website Address:**

<http://www.Grants.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by Division of Viral Hepatitis (DVH), NCHHSTP. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicant will be notified that the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission information, subsection Evaluation Criteria within the individual funding opportunity announcement.

**93.737 PPHF 2012: COMMUNITY TRANSFORMATION GRANTS -SMALL COMMUNITIES PROGRAM FINANCED SOLELY BY 2012 PUBLIC PREVENTION AND HEALTH FUNDS**

Community Transformation Grants Small Communities Program

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, Fiscal Year 2012, Public Law 112-74, for the Departments of Labor, Health and Human Services, and Education and the Department of Interior and Related Agencies; and the Consolidated and Further Continuing Appropriations Act, Fiscal Year 2012, Public Law 112-55 for the United States Department of Agriculture, and Related Agencies. Title IV Section 4002 Prevention and Public Health Fund.

**OBJECTIVES:**

The overarching purpose of this program is to prevent heart attack, stroke, cancer, diabetes and other leading chronic disease-related causes of death or disability through evidence and practice-based policy, environmental, programmatic, and infrastructure changes in small communities that improve health and health behaviors among an intervention population. This program aims to achieve this by creating healthier communities through funding to governmental and nongovernmental agencies and organizations, from multiple sectors, to take actions that align with their mission and ongoing responsibility in partnership with agencies and organizations in other sectors, to enhance the health of the people they serve. This FOA will support key evidence- and practice-based policy, environmental, programmatic and infrastructure changes, in small communities (populations less than 500,000), and tribes, including in rural and frontier areas, to achieve demonstrated progress in one or more the following five outcome measures outlined in the Affordable Care Act: 1) changes in weight, 2) changes in proper nutrition, 3) changes in physical activity, 4) changes in tobacco use prevalence, and 5) changes in emotional well-being and overall mental health, as well as other program-specific measures related to local CTIP performance monitoring and evaluation. Recipients must measure and demonstrate changes in the outcome measures they choose to address. Progress toward the grantee selected ACA outcome

measures must be assessed during each year of funding. A report describing the status of the selected measures addressed under this grant must be submitted to CDC in the first and second year of this grant award.

More specific goals within these broad goal areas will be provided in funding.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible. Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows: Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. Recipients may not use funds for research. Recipients may not use funds for clinical care. Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget. The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

**Applicant Eligibility:**

Applications may be submitted Governmental agencies and non-governmental organizations. This includes, but is not limited to, school districts, local housing authorities, local transportation authorities, health departments, planning and economic development agencies, non-profit and community based organizations, area aging agencies, cooperative extension agencies, and others. Federally recognized American Indian Tribes and Alaska Native Villages Tribal organizations, which include Intertribal Councils and American Indian Health Boards which meet the definition set forth in 25 U.S.C. Section 1603(e) and are under a resolution that such organizations, councils, and boards represent the underlying tribes.

Urban Indian Health Programs, tribal and intertribal consortia that meet the definition set forth in 25 U.S.C. Section 1603(f) or 1603(g).

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC

Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 2 years with 24 month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770 488-2700).

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is for 2 years with 24 -month budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. No cash reports are required. Progress reports are not applicable. FFR due 90 days after the end of budget period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$70,000,000; and FY 13 est \$0 - This is a 24 project and budget period.

**Range and Average of Financial Assistance:**

\$200,000 - \$9,999,980.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92; Code of Federal Regulations 45 CFR Part 74

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Rebecca Bunnell 4770 Buford Hwy, NE, MS K40, NCCDPHP, Atlanta, Georgia 30333 Email: rrb7@cdc.gov Phone: 770-488-2524 Fax: 770-488-5964

**Website Address:**

http://www.cdc.gov

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants must be able to demonstrate the health impact of the program on the intervention population. Monitoring of the impact of the programs is mandated under Section 4201(c) (4) of the ACA, which requires that eligible entities must use funding to conduct activities to measure changes in the prevalence of chronic disease. This may take the form of an assessment of one or more of the five outcome measures in the intervention population at the beginning and end of the project period. Additional criteria will be listed in individual funding opportunity announcements.

**93.738 PPHF 2012: RACIAL AND ETHNIC APPROACHES TO COMMUNITY HEALTH PROGRAM FINANCED SOLELY BY 2012 PUBLIC PREVENTION AND HEALTH FUNDS**

Racial and Ethnic Approaches to Community Health (REACH)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k)(2) Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) and Title IV Section 4002 of the Affordable Care Act (PPHF).

**OBJECTIVES:**

The purpose of the proposed FY2012 REACH program is to support the implementation of projects to reduce racial and ethnic health disparities. Program activities will focus on prevention of chronic diseases and conditions across multiple identified health areas, including: cardiovascular disease, diabetes, breast and cervical cancer, infant mortality, asthma, and child and adult immunizations. The program will build upon the body of knowledge from previous REACH programs. The program is designed to fund national organizations and community-based organizations to implement sustainable evidence- and practice-based strategies in targeted populations. Plans for FY2012 advance REACHs past and successes, provide rigorous evaluation and ensure that the practice-based evidence expands. More specific goals within these broad goal areas will be provided in funding announcements.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not use funds for construction.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Additional guidance may be provided in individual program announcements.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program. Additionally, colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, and faith-based organization, states, political subdivisions of states, local health authorities, and individuals or organizations with specialized health interests will benefit.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is covered under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Pre-application coordination is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 5 years with a 12 month budget period. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is for five years with a 12-month budget period. See the following for information on how assistance is awarded/released: Notice of Award.

**Reports:**

performance reports are required 90 days after the end of a project period. Cash reports are not applicable. Annual or semiannual progress reports are required. and. Final financial status required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$22,000,000; and FY 13 est \$22,000,000

**Range and Average of Financial Assistance:**

2,000,000 4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74.

**Regional or Local Office:**

None.

**Headquarters Office:**

Sandee Coulberson 4770 Buford Highway, NE., Mailstop K30, Atlanta, Georgia 30333 Email: scoulberson@cdc.gov Phone: 404-498-3058

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.739 PPHF2012: CHRONIC DISEASE INOVATION GRANTS - FINANCED SOLEY BY 2012 PUBLIC PREVENTION HEALTH FUNDS**

National Diabetes Prevention Program Evidence-Based Lifestyle Intervention to Prevent Type 2 Diabetes in Underserved Communities

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under the Patient Protection and Affordable Care Act of 2010, 4201 (P.L. 111-148) and title IV Section 4002 of the Affordable Care Act (PPHF).

**OBJECTIVES:**

National Diabetes Prevention Program Evidence-Based Lifestyle Intervention to Prevent Type 2 Diabetes in Underserved Communities - The purpose of the program is to expand the National Diabetes Prevention Program, an evidence-based lifestyle change program in populations at high-risk for developing type 2 diabetes (African American; American Indian/Alaska Native; Hispanic/Latino, Low Social Economic Status; Women with a history of Gestational Diabetes).

The CDC-led National Diabetes Prevention Program (National DPP) is a public-private partnership of community organizations, private insurers, employers, health care organizations, and government agencies working to deliver the type 2 diabetes prevention lifestyle change program. It is an innovative example of linking the community and clinical sectors to cost-effectively improve health outcomes. The National DPP is focused on aligning incentives since third-party payers reimburse for health outcomes. Economic studies indicate that lifestyle change programs (costing about \$400 per person) are cost effective and even cost saving by reducing the cost of treating diabetes and its complications prevented by the program. These favorable costs are the result of employing a lower cost workforce, delivering the program in groups, and consistency in program content.

The award recipients will be expected to develop, implement, market, and evaluate a comprehensive plan for scaling the National DPP lifestyle change program in select communities. The awardees will identify and engage organizations and/or employers that have capacity to offer the National DPP lifestyle change program and facilitate the establishment of the National DPP lifestyle change program, in collaboration with these organizations and/or employers. Awardees will also work with insurance companies to reimburse organizations offering the National DPP lifestyle change program through this cooperative agreement and work with employers and insurers to offer the National DPP lifestyle change program using pay for performance model. Also, they may work with employers to offer the National DPP lifestyle change program as a covered benefit for employees. The awardees will be expected to develop, implement and evaluate marketing and communications strategies to promote the National DPP lifestyle change program, educate health care providers about the program and encourage provider referrals to National DPP lifestyle change programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support scaling the National DPP lifestyle change programs in select communities described in Section 050 above. The use of and use restrictions are as follows:

Recipients may not use funds for research.



Recipients may not use funds for the provision of health care services.  
Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.  
The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.  
Recipients may not use funds for construction.

**Applicant Eligibility:**

Eligible Applicants:  
Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education)  
For-Profit Organizations  
Small, minority, and women-owned businesses  
Indian/Native American Tribal Governments (Federally Recognized)  
Hospitals  
Regional Organizations  
Faith-based or Community-based Organizations.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program. More specifically, populations at high-risk for developing type 2 diabetes (African American; American Indian/Alaska Native; Hispanic/Latino, Low Social Economic Status; Women with a history of Gestational Diabetes) will benefit from the objectives of this program.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the methods of operation, describe the evaluation procedures and provide a budget justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program  
45 CFR Part 74 applies to this program for hospitals, other nonprofit organizations, and commercial organizations.  
45 CFR Part 92 applies to this program for awards for tribal governments.

**Award Procedure:**

All eligible applications will be initially reviewed for completeness by the Procurement and Grants Office (PGO) staff. Incomplete applications will not advance through the review process. Applicants will be notified if the application did not meet eligibility and/or published submission requirements.

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Subject to satisfactory performance as documented through semi-annual progress reports, Project Officer oversight documentation and availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. This program has no matching requirements.  
This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods is for 4 years with 12-month budget periods. See the following for information on how assistance is awarded/released: Assistance is awarded/released as Notice of Award.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$6,000,000; and FY 13 est \$6,000,000 - The specific amount of funding per award will be determined by proposed activities, reach, burden of disease, quality of application, and likelihood of success. Successful applicants serving populations within the same geographic area may be expected to communicate with other successful applicants, to prevent duplication of effort. Throughout the project period, CDC's commitment to continuation of awards will be conditioned on the availability of funds, evidence of satisfactory progress by the recipient (as documented in required reports), and the determination that continued funding is in the best interest of the Federal government.

**Range and Average of Financial Assistance:**

\$750,000 to \$2,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92 and 74

**Regional or Local Office:**

None.

**Headquarters Office:**

Debra Toress 4770 Buford Hwy, NE, MS K10, NCCDPHP, Atlanta, Georgia  
30333 Email: djt4@cdc.gov Phone: 770-488-1097 Fax: 770-488-8550

**Website Address:**

http://www.cdc.gov

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and  
Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be funded in order by score and rank determined by the  
review panel. Other criteria will be listed in the funding opportunity  
announcement.

**93.740 PREVENTION PUBLIC HEALTH FUND 2012: VIRAL  
HEPATITIS EDUCATION**

Viral Hepatitis Provider Education - Supplement

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human  
Services

**AUTHORIZATION:**

Sections 301(a) and 317N of the Public Health Service Act (42 U.S.C. Section  
241(a) and 247b-15) as amended.

**OBJECTIVES:**

Program activities under this funding will allow CDC to partner with  
organizations to expand and improve efforts to develop and disseminate viral  
hepatitis training and educational materials targeting the public and private  
sector health care professionals to build capacity to assess, test and medically  
manage populations at risk for chronic HBV and HCV infection.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with establishing and maintaining a  
prevention and control program directed towards prevention of viral hepatitis  
infections and its manifestations. Recipients may only expend funds for  
reasonable policies, systems and program purposes including personnel, travel,  
supplies and services, such as reducing transmission of HBV and HCV,  
preventing and delaying the progress of chronic infection, as well as education  
and training of the general public and health care providers. Recipients may not  
use funds for clinical care. Recipients may not generally use funding for the  
purchase of furniture or equipment. Any such proposed spending must be  
identified in the budget. The recipient must perform a substantial role in  
carrying out project objectives and not merely serve as a conduit for an award  
to another party or provider who is eligible.

**Applicant Eligibility:**

Applicants include State or local governments or their Bona Fide Agents, public  
and private nonprofit organizations, for profit organizations, small, minority,  
women-owned businesses, universities, colleges, research institutions,  
hospitals, community-based organizations, faith based organizations, Federally  
recognized Indian tribal governments, Indian tribes, and Indian tribal  
organizations. Additional guidance may be provided in the individual program  
announcement.

**Beneficiary Eligibility:**

The individual will benefit from the objectives of this program.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from  
coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact  
information is not required for this program. This program is excluded from  
coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. Applicants must download application forms from  
www.Grants.gov. Applications must be submitted electronically at  
www.Grants.gov. If an applicant does not have access to the Internet, or if they  
have difficulty accessing the forms on-line, contact the CDC Procurement and  
Grants Office Technical Information Management Section (PGO-TIMS) staff.  
For this, or further assistance, contact PGO-TIMS: Telephone (770) 488-2700,  
Email: PGOTIM@cdc.gov.

**Award Procedure:**

Successful applicants will receive a Notice of Award (NOA) from the CDC  
Procurement and Grants Office. The NOA shall be the only binding,  
authorizing document between the recipient and CDC. The NOA will be  
signed by an authorized Grants Management Officer and emailed to the  
program director and a hard copy mailed to the recipient fiscal officer identified  
in the application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Contact the headquarters for application deadline. This  
will be between 30-60 days from date of publication.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and  
are subject to the availability of funds under the Patient Protection and  
Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no matching  
requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 1 year with a 12-month budget period. See the following  
for information on how assistance is awarded/released: Assistance is awarded  
through Notice of Grant Awards to funded applicants.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. Interim and  
annual reports will be required as outlined in the Funding Opportunity  
Announcement (FOA). The reporting schedule will be based on the  
requirements listed in the FOA. Where applicable, the interim progress report  
is due no less than 90 days before the end of the specified budget period.  
Where applicable, the Interim Progress Report will serve as the non-competing  
continuation application. Federal Financial Reports (FFRs) (SF425) are  
required no more than 90 days after the end of the budget period. Final FFR  
and progress reports are due no later than 90 days after the end of the project  
period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June  
27, 2003), "Audits of States, Local Governments, and Non-Profit  
Organizations," nonfederal entities that expend financial assistance of \$500,000  
or more in Federal awards will have a single or a program-specific audit  
conducted for that year. Nonfederal entities that expend less than \$500,000 a  
year in Federal awards are exempt from Federal audit requirements for that  
year, except as noted in Circular No. A-133. Records must be available for  
review or audit by appropriate officials of the Federal agency, pass-through  
entity, and General Accounting Office (GAO). The grantee is to also ensure  
that the sub-recipients receiving CDC funds also meet these requirements (if  
total Federal grant or grants funds received exceed \$500,000). The grantee  
should include this requirement in all sub-recipient contracts.

**Records:**

Financial records, supporting documents, statistical records, and all other  
reports pertinent to the program shall be retained for a minimum of 3 years, or

until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42.

**Account Identification:**

09-2950-2-0-121 - Direct Category A funding: Viral Hepatitis.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$250,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Awards will range from approximately \$125,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b. Guidelines are available. 45 CFR 92, and also HHS Grants Policy Statement at <http://www.ahrq.gov/fund/hspolicy.htm>.

**Regional or Local Office:**

None. Viral Hepatitis Program Contact: Jeffrey L. Efir, MPA, Deputy Director, Division of Viral Hepatitis, National Center for HIV, Viral Hepatitis, STD, and TB Prevention, Centers for Disease Control and Prevention, Department of Health and Human Services, 1600 Clifton Road, Mailstop G-37, Atlanta, Georgia, 30333. Email: [jle1@cdc.gov](mailto:jle1@cdc.gov)

Grants Management Contact: Carla Harper, Grants Management Officer, Department of Health and Human Services, CDC Procurement and Grants Office, 2920 Brandywine Road, MS E-15, Atlanta, GA 30341, Telephone 770-488-2439, Email: [CHarper@cdc.gov](mailto:CHarper@cdc.gov).

**Headquarters Office:**

Elizabeth Wolfe Centers for Disease Control and Prevention  
OID/NCHHSTP/OD/Extramural Non-Research Unit (ENRU)  
1600 Clifton Road, MS E-07  
Corporate Square, Building 8, Room 6121, Atlanta, Georgia 30333 Email: [eow1@cdc.gov](mailto:eow1@cdc.gov) Phone: 4046398531

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by Division of Viral Hepatitis (DVH), NCHHSTP. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicant will be notified that the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application and Submission information, subsection Evaluation Criteria within the individual funding opportunity announcement.

**93.741 BREASTFEEDING PROMOTION AND SUPPORT IMPROVING MATERNITY CARE PRACTICES PROJECT FINANCED SOLELY BY 2012 PUBLIC PREVENTION AND HEALTH FUNDS**

Hospital Collaboratives to Improve Maternity Care Practices Related to Breastfeeding in the U.S.

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, Fiscal Year 2012, Public Law 112-74, for the Departments of Labor, Health and Human Services, and Education and the

Department of Interior and Related Agencies; and the Consolidated and Further Continuing Appropriations Act, Fiscal Year 2012, Public Law 112-55 for the United States Department of Agriculture, and Related Agencies. Title IV Section 4002 Prevention and Public Health Fund.

**OBJECTIVES:**

The overarching purpose of this program is to support breastfeeding mothers and support hospitals in promoting breastfeeding as part of national efforts to improve childhood nutrition and address childhood obesity. This program aims to achieve this by increasing support for system level changes in maternity care practices that optimally support breastfeeding through funding an independent, not-for-profit, organization to take actions that align with their mission and ongoing responsibility in partnership with agencies and organizations in other sectors, to enhance the access and quality of maternity care and reduce barriers related to breastfeeding. This FOA seeks to address key actions identified in the Surgeon Generals Call to Action to Support Breastfeeding for the health care system to ensure that maternity care practices are fully supportive of breastfeeding and which cites the Ten Steps to Successful Breastfeeding. This FOA will support key evidence- and practice- based policy, environmental, programmatic and infrastructure changes, in hospitals to enable hospitals to successfully implement the Ten Steps to Successful Breastfeeding and achieve demonstrated progress in one or more of the following six outcome measures.

- 1) Increase the number of hospitals in the U.S. that are designated as Baby-Friendly.
- 2) Increase the proportion of live births (by state) that occur at Baby-Friendly facilities.
- 3) Increase the proportion of infants who are breastfed.
- 4) Reduce the proportion of breastfed newborns who receive formula supplementation within the first 2 days of life.
- 5) Increase the prevalence of infants who are exclusively breastfed at 6 months age.
- 6) Reduce geographic and race/ethnic disparities in rates as measured by items 3-5 and in mPINC survey scores.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support approaches to chronic disease prevention and control described in section 050 above.

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. The use of and use restrictions are as follows:

- Recipients may not use funds for research.
- Recipients may not use funds for clinical care.
- Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.
- The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.
- Recipients may not use funds for any kind of impermissible lobbying activity designed to influence proposed or pending legislative matters. These restrictions include grass roots lobbying efforts and direct lobbying. Certain activities within the normal and recognized executive-legislative relationships within the executive branch of that government are permissible.

**Applicant Eligibility:**

Current funding available is intended only for grantee previously awarded under Funding Opportunity Number: CDC- RFA-DP11-1116 Hospital Collaboratives to Improve Maternity Care Practices Related to Breastfeeding in the U.S..

**Beneficiary Eligibility:**

The general public will benefit for the objectives of this program.

**Credentials/Documentation:**

Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-110. Submit Interim Progress Reports through [www.Grants.gov](http://www.Grants.gov). If you encounter any difficulties submitting your interim progress report through [www.Grants.gov](http://www.Grants.gov), please contact CDC's Technical Information Management Section at (770) 488-2700 prior to the submission deadline. If further information is needed regarding the application process, please contact the CDC Procurement and Grants Office at (770) 488-2710 located at 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 3 years with 12 month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 3 years with 12 month budget periods. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual or semiannual progress reports are required. Final financial status reports are required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by

personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$2,153,000; and FY 13 est \$2,153,000

**Range and Average of Financial Assistance:**

2153000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: These dollars are used to continue a second year of the initiative to improve breastfeeding-related maternity care practices in hospitals using an evidenced-based model of quality improvement. Fiscal Year 2012: . Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Barnes 4770 Buford Hwy, NE, NCCDPHP, Atlanta, Georgia 30341  
Email: [lbarnes@cdc.gov](mailto:lbarnes@cdc.gov) Phone: 404-867-9697

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The project funded is Hospital Collaboratives to Improve Maternity Care Practices Related to Breastfeeding in the U.S.. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant must be able to demonstrate the health impact of the program on the intervention population. Monitoring of the impact of the programs is mandated under Section 4201(c) (4) of the ACA, which requires that eligible entities must use funding to conduct activities to measure changes in the prevalence of chronic disease. This may take the form of an assessment of one or more of the six outcome measures at the beginning, interim and end of the project period. Additional criteria will be listed in funding opportunity announcements.

**93.742 PPHF 2012: EARLY CHILDCARE AND EDUCATION OBESITY PREVENTION PROGRAM - OBESITY PREVENTION IN YOUNG CHILDREN - FINANCED SOLELY BY 2012 PUBLIC PREVENTION AND HEALTH FUNDS**

Early Care and Education Statewide Collaboratives to Improve Nutrition, Breastfeeding Support, Physical Activity and Screen Time Practices for Obesity Prevention in Young Children

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, Fiscal Year 2012, Public Law 112-74, for the Departments of Labor, Health and Human Services, and Education and the Department of Interior and Related Agencies; and the Consolidated and Further Continuing Appropriations Act, Fiscal Year 2012, Public Law 112-55 for the United States Department of Agriculture, and Related Agencies. Title IV Section 4002 Prevention and Public Health Fund.

**OBJECTIVES:**

The overarching purpose of this program is to improve the quality of obesity prevention practices through evidence and practiced based policy, environmental, programmatic and infrastructure changes in Early Child Care settings (e.g. child care centers, family care homes, Head Start programs, pre-schools, etc.) and facilities. This program aims to achieve this by providing opportunities to ensure equitable access to ECE services that meet the national Preventing Childhood Obesity (PCO) (2nd Ed.) standard components related to nutrition, breastfeeding support, physical activity, and screen time, all of which are key areas for obesity prevention through funding an organization, to take actions that align with their mission and ongoing responsibility in partnerships with agencies and organizations in other sectors, to enhance the health of the people they serve. This FOA seeks to include a small subset of the standard components selected and adapted to be the core goals of First Lady Michelle Obama's national Let's Move Child Care (LMCC) obesity prevention initiative and will support key evidence- and practice- based policy, environmental, programmatic and infrastructure in Early Child Care settings and facilities to achieve demonstrated progress in one or more of the following eight outcome measures:

- 1) Ensure trained ECE providers successfully implement PCO (2nd Ed.) obesity prevention standard components.
- 2) Increase the number of ECE facilities that meet the PCO (2nd Ed.) obesity prevention standard components.
- 3) Increase the proportion of children 0-5 years attending ECE facilities (by state) that meet the PCO (2nd Ed.) obesity prevention standard components.
- 4) Increase the proportion of mothers with infants cared for in ECE facilities who meet their breastfeeding duration goals.
- 5) Increase the proportion of young children who eat fruits and vegetables daily.
- 6) Decrease the proportion of young children who consume sugary drinks daily.
- 7) Increase the proportion of young children who have no more than 30 minutes per week of screen time in ECE facilities.
- 8) Increase the proportion of young children being provided age-appropriate physical activity time each day.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support approaches to chronic disease prevention and control described in Section 050 above. The use are as follows:

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. Uses and Use Restrictions: Funds may be used to support approaches to chronic disease prevention and control described in Section 050 above. The use and use restrictions are as follows:

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not use for any kind of impermissible lobbying activity designed to influence proposed or pending legislative matters. These restrictions include grass roots lobbying efforts and direct lobbying. Certain activities within the normal and recognized executive-legislative relationships within the executive branch of that government are permissible.

**Applicant Eligibility:**

Applications may be submitted Governmental agencies and non-governmental organizations. This includes, but is not limited to, school districts, local housing authorities, local transportation authorities, health departments,

planning and economic development agencies, non-profit and community based organizations, area aging agencies, cooperative extension agencies, and others. Federally recognized American Indian Tribes and Alaska Native Villages Tribal organizations, which include Intertribal Councils and American Indian Health Boards which meet the definition set forth in 25 U.S.C. Section 1603(e) and are under a resolution that such organizations, councils, and boards represent the underlying tribes. Urban Indian Health Programs, tribal and intertribal consortia that meet the definition set forth in 25 U.S.C. Section 1603(f) or 1603(g).

**Beneficiary Eligibility:**

Applications may be submitted Governmental agencies and non-governmental organizations. This includes, but is not limited to, school districts, local housing authorities, local transportation authorities, health departments, planning and economic development agencies, non-profit and community based organizations, area aging agencies, cooperative extension agencies, and others. Federally recognized American Indian Tribes and Alaska Native Villages Tribal organizations, which include Intertribal Councils and American Indian Health Boards which meet the definition set forth in 25 U.S.C. Section 1603(e) and are under a resolution that such organizations, councils, and boards represent the underlying tribes. Urban Indian Health Programs, tribal and intertribal consortia that meet the definition set forth in 25 U.S.C. Section 1603(f) or 1603(g).

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 5 years with 12 month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770 488-2700).

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period is for 5 years with 12 month budget periods. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual or semiannual progress reports are required. Interim reporting requirements may be delineated in the FOA. Final financial status and performance reports are required 90 days after the end of a project period. Interim reporting requirements may be delineated in the FOA. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0094-3-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$4,200,000; and FY 13 est \$4,200,000 - Funding for FY13 based on availability of funds.

**Range and Average of Financial Assistance:**

Expected 3,700,000 - \$4,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 Code of Federal Regulations (CFR) Part 74 and PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994. Any other regulations governing this program are published in the application kit and identified on the notices of award.

**Regional or Local Office:**

None.

**Headquarters Office:**

Linda Barnes 4770Buford Hwy, NE, NCCDPHP, Atlanta, Georgia 30341  
Email: lbarnes@cdc.gov Phone: 404-867-9697

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applicants must be able to demonstrate the health impact of the program on the intervention population. Monitoring of the impact of the programs is mandated under Section 4201(c) (4) of the ACA, which requires that eligible entities must use funding to conduct activities to measure changes in the prevalence of chronic disease. This may take the form of an assessment of one or more of the eight outcome measures in the intervention population at the beginning, in the interim and at the end of the project period. Any additional criteria will be listed in individual funding opportunity announcements.

**93.743 RACIAL AND ETHNIC APPROACHES TO COMMUNITY HEALTH: OBESITY AND HYPERTENSION DEMONSTRATION PROJECTS FINANCED SOLELY BY 2012 PREVENTION AND PUBLIC HEALTH FUNDS**

Racial and Ethnic Approaches to Community Health (REACH)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

This program is authorized under section 301(a) and 317(k)(2) Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) and Title IV Section 4002 Prevention and Public Health Fund.

**OBJECTIVES:**

The purpose of the proposed FY2012 REACH program is to support the implementation of projects to reduce racial and ethnic health disparities. Recipients funded through this FOA will develop and implement replicable and scalable strategies to assure that population-wide policy, systems, and environmental (PSE) changes to reduce obesity and hypertension also decrease health disparities in these morbid outcomes in their jurisdiction. The program will build upon the body of knowledge from previous REACH programs. The program is designed to fund organizations that have a partnership with a local community-based organization, a local public health department (or tribal organization), and a university/academic institution. Plans for FY2012 advance and expand REACHs past program successes and ensure that the practice-based evidence expands.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support intensive approaches to chronic disease prevention and control described in Section 0.50 above. The use of and use restrictions are as follows:

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not use funds for construction.

**Applicant Eligibility:**

Applications may be submitted by State or local governments or their Bona Fide Agents (this includes the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau). Eligible applicants also include public and private nonprofit organizations, for profit organizations, small, minority, women-owned businesses, universities, colleges, research institutions, hospitals, community-based organizations, faith-based organizations, Federally recognized Indian tribal governments, Indian tribes, and Indian tribal organizations. Additional guidance may be provided in individual program announcements.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program. Additionally, colleges, universities, private non-profit and public nonprofit domestic organizations, research institutions, and faith-based organization, states, political subdivisions of states, local health authorities, and individuals or organizations with specialized health interests will benefit.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is covered under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-102. This program is covered under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

An objective review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 5 years with a 12 month budget period. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is for five years with a 12-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Final financial status reports are required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations

**Records:**

Records: Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$10,300,000; and FY 13 est \$10,300,000

**Range and Average of Financial Assistance:**

Range and Average of Financial Assistance: Expected:  
1,500,000 4,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 74.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Rebecca Bunnell 4770 Buford Hwy, NE, MS K40, NCCDPHP, Atlanta, Georgia 30333 Email: rrb7@cdc.gov Phone: 770-488-2524 Fax: 770-488-5964

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be funded to ensure the inclusion of a range of geographic area, types of strategies and outcome measures, communities of varying sizes, and inclusion of populations and areas with a high burden of chronic diseases. Applicants are required to demonstrate a partnership with a local community-based organization, local public health department (or tribal

organization), and a university/academic partner. Applications may be selected to ensure that populations and geographic areas with the highest burden of disease and/or health disparities are reached. Additional criteria will be listed in individual funding opportunity announcements.

**93.744 PPHF 2012: BREAST AND CERVICAL CANCER SCREENING OPPORTUNITIES FOR STATES, TRIBES AND TERRITORIES SOLELY FINANCED BY 2012 PREVENTION AND PUBLIC HEALTH FUNDS**

Breast and Cervical Cancer Screening Opportunities through the National Breast and Cervical Cancer Early Detection Program (NBCCEDP) - PPHF 2012 Funds

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Consolidated Appropriations Act, Fiscal Year 2012, Public Law 112-74, for the Departments of Labor, Health and Human Services, and Education and the Department of Interior and Related Agencies; and the Consolidated and Further Continuing Appropriations Act, Fiscal Year 2012, Public Law 112-55 for the United States Department of Agriculture, and Related Agencies. Title IV Section 4002 Prevention and Public Health Fund.

**OBJECTIVES:**

The purpose of this FOA is to enhance and leverage existing organized systems for breast and cervical cancer screening to provide high quality screening with tracking and follow-up including patient navigation to low income, uninsured and under-insured women. This FOA will leverage the existing infrastructure and organized delivery system of the NBCCEDP.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used to support breast and cervical cancer screening, detection and follow-up as described in Section 0.50 above.

Recipients may only expend funds for reasonable policies, systems and environmental program purposes, including personnel, travel, supplies, and services, such as contractual to reduce risk factors, prevent and delay chronic disease. The use of and use restrictions are as follows:

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may not generally use funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

The recipient must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Recipients may not use funds for construction.

**Applicant Eligibility:**

Eligibility is limited to the currently funded states or their bona fide agents, tribal and territorial recipients under CDC-RFA-DP12-1205 . Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program. Additionally states, tribes and territories funded under DP12-1205 will benefit from this program.

**Credentials/Documentation:**

Applicants must document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification for funds requested. Costs for nonprofit recipients will be determined in accordance with HHS Regulations, 45 CFR Part 74, Subpart Q. This program is covered under OMB Circular No. A-87. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Pre-application coordination is not required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. This program is covered under OMB Circular No. A-102. This program is covered under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants.

**Award Procedure:**

A technical review panel will evaluate complete and responsive applications according to the evaluation criteria listed in funding opportunity announcement. Successful applicants will receive a Notice of Award (NOA) from the CDC Procurement and Grants Office. The NOA shall be the only binding, authorizing document between the recipient and CDC. The NOA will be signed by an authorized Grants Management Officer.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the availability of funding and satisfactory programmatic progress. Project period is for 1 year with a 12 month budget period. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period is for 1 year with a 12-month budget period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual or semiannual progress reports are required. Final financial status and performance reports are required 90 days after the end of a project period. Final financial status reports are required 90 days after the end of a project period. Annual or semiannual progress reports are required. Final performance reports are required 90 days after the end of a project period. Final financial status reports are required 90 days after the end of a project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that



year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program must be kept readily available for review by personnel authorized to examine PHS grant accounts. Financial records, supporting documentation, statistical records, and all other records pertinent to an award shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with 45 CFR 92.42 requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$10,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Expected Approximately: \$15,000 - \$700,000 (estimated based on availability of funds).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Funding for this was not awarded in 2011. Fiscal Year 2012: The CDC funds 67 programs for the NBCCEDP including all 50 states, the District of Columbia, 11 American Indian/Alaska Native tribes, and 5 US territories. The NBCCEDP only reaches a small fraction of women estimated to be eligible for screening by the program. Based on 2007-2009 data from the US Census Bureau and NBCCEDP, the program screened 8.5% of its 18-64 years old women eligible for cervical cancer screening services and 12.5% of it 40-64 years old women eligible for breast cancer screening services. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations 45 CFR Part 92.

**Regional or Local Office:**

None.

**Headquarters Office:**

Tanya M. Hicks 4770 Burford, HWY, MS K-57, NCCDPPH, Atlanta, Georgia 30341 Email: thicks@cdc.gov Phone: 770-488-4326 Fax: 770-488-3230

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

93.919 Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be funded to ensure that women are screened for breast and cervical cancer with priority on low-income, under-served women in priority populations and will ensure that high quality breast and cervical cancer screening services are assured consistent with current clinical guidelines/protocols for screening, follow-up and referral to treatment. Applicants are required to demonstrate their ability to achieve screening targets utilizing the existing breast and cervical cancer screening programs in their jurisdictions. Additional criteria will be listed in individual funding opportunity announcements.

**93.745 PPHF-2012: HEALTH CARE SURVEILLANCE/HEALTH STATISTICS SURVEILLANCE PROGRAM ANNOUNCEMENT: BEHAVIORAL RISK FACTOR SURVEILLANCE SYSTEM FINANCED IN PART BY 2012 PREVENTION AND PUBLIC HEALTH FUNDS (PPHF-2012)**

Behavioral Risk Factor Surveillance System (BRFSS)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Section 301 of the Public Health Service Act (as amended),.

**OBJECTIVES:**

The purpose of this program is to provide assistance to State and Territorial Health Departments to maintain and expand:

- 1) Specific health surveillance using telephone and multi-mode survey methodology for the behaviors of the general population that contribute to the occurrences and prevention of chronic diseases, injuries, and other public health threats;
- 2) The collection, analysis, and dissemination of BRFSS data to State and Territorial Health Department Categorical Programs for their use in assessing trends, directing program planning, evaluating program priorities, developing policy, and targeting relevant population groups.

Specifically, this program will:

- A. Add six questions specifically on health care access and use to the 2013 Behavioral Risk Factor Surveillance System (BRFSS) survey to measure the effect of ACA on the population;
- B. Increase the BRFSS landline sample size to restore the number of completed interviews achieved to 2011 levels. BRFSS programs should develop plans for increasing their sample size of their 2013 surveys which will increase the number of completed interviews achieved which will increase the precision of estimates in small areas and sub-populations;
- C. Increase the proportion of cell phone interviews completed on the 2013 BRFSS survey to maintain coverage and validity achieving at least a 25% completed interview rate by cell phone mode.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, implementing and data collecting surveillance information through the BRFSS for adding six health care access and use questions to the 2013 BRFSS survey, and for implementing other program elements as described in Section 050 above and through CDC allowable and unallowable expenses.

(Are there restrictions upon the use of the assistance? Yes &#9633; Not Applicable. (If you select yes, you must describe the restrictions)

**Restrictions on Funding:**

Section 503(a) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive Order proposed or pending before the Congress or any State Government, State Legislature, or Local Legislative body, other than normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

The prohibitions in subsections (1) and (b) shall include any activity to

advocate or promote any proposed, pending, or future Federal, State, or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale and marketing, including but not limited to the advocacy or promotion of gun control.

Sec. 218. None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

Sec. 253. Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of illegal drugs.

Sec. 738. None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal or State law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent, and made a determination that this further action is not necessary to protect the interests of the Government.

Sec. 739. None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that any unpaid Federal tax liability that had been assessed, for which judicial and administrative remedies have been exhausted or have passed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless the agency has considered suspension of debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

Section 433. None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, made a grant to, or provide a loan or loan guarantee to, any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent and made a determination that this further action is not necessary to protect the interests of the Government.

Section 434. None of the funds made available by this Act may be used to enter into a grant to, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation with respect to which any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless the agency has considered suspension or debarment of the corporation and made a determination that the suspension or debarment is not necessary to protect the interests of the Government.

Recipients may not use funds for research.

Recipients may not use funds for clinical care and pharmaceutical products.

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

Reimbursement of pre-award costs is not allowed. Section 503(a) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any grant or contract recipient, or agent acting for such recipient, related to any

activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive Order proposed or pending before the Congress or any State Government, State Legislature, or Local Legislative body, other than normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

The prohibitions in subsections (1) and (b) shall include any activity to advocate or promote any proposed, pending, or future Federal, State, or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale and marketing, including but not limited to the advocacy or promotion of gun control.

Sec. 218. None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

Sec. 253. Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of illegal drugs.

Sec. 738. None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal or State law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent, and made a determination that this further action is not necessary to protect the interests of the Government.

Sec. 739. None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that any unpaid Federal tax liability that had been assessed, for which judicial and administrative remedies have been exhausted or have passed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless the agency has considered suspension of debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

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Recipients may not use funds for research.

Recipients may not use funds for clinical care and pharmaceutical products.

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

Recipients may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment. Any such proposed spending must be identified in the budget.

Reimbursement of pre-award costs is not allowed.

#### **Applicant Eligibility:**

Eligibility includes all 50 states, Washington D.C., Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, Palau, and the Federated States of Micronesia, who are currently funded through the Behavioral Risk Factor

Surveillance System (BRFSS) Funding Opportunity Announcements (CDC-RFA-SO11-1101 and CDC-RFA-SO11-1102).

**Beneficiary Eligibility:**

Any U.S. State, political subdivision, and U.S. Territories as described above.

**Credentials/Documentation:**

Applicants should document a detailed work plan for meeting the objectives of the project, outline their method of operation, describe their evaluation procedures, and provide a budget with justification of funds requested. Applicants must comply with Administrative Requirements (ARs) outlined in 45 CFR Part 74 or Part 92 as appropriate. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

Applicants must download the SF424 (R&R) application package associated with this supplemental funding opportunity from [www.Grants.gov](http://www.Grants.gov). If access to the internet is not available or if the applicant encounters difficulty accessing the forms on-line, contact the HHS/CDC Procurement and grants Office Technical Information Management Section (PGOTIMS) staff at (770) 477-2700 for further instructions.

HHS/CDC Telecommunications for the hearing impaired or disabled is available at TTY 1-888-232-6348.

If an applicant encounters technical difficulties with [www.Grants.gov](http://www.Grants.gov), the applicant should contact [Grants.gov](http://Grants.gov) Customer Service. The [Grants.gov](http://Grants.gov) Contact Center is available 24 hours a day, 7 days a week, with the exception of all Federal Holidays. The Contact Center provides customer service to the applicant community. The extended hours will provide applicants support around the clock, ensuring the best possible customer service is received any time it is needed. Applicants can reach the [Grants.gov](http://Grants.gov) Support Center at 1-800-518-4726 or by e-mail at [support@grants.gov](mailto:support@grants.gov). Submissions sent by e-mail, fax, CDs or thumb drives of applications will not be accepted.

**Award Procedure:**

Eligible applications will be jointly reviewed for responsiveness by the Office of Surveillance, Epidemiology, and Laboratory Services and the CDC Procurement and Grants Office. Incomplete applications and applications that are non-responsive will not advance through the review process. Recipients will be notified in writing of the results.

A technical review panel within the Division of Behavioral Surveillance (DBS), Office of Surveillance, Epidemiology, and Laboratory Services (OSELs), CDC, will evaluate complete and responsive supplemental applications according to the published review criteria. Successful applicants will receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be only binding, authorizing document between the recipient and the CDC. The NoA will be signed by an authorized Grants Management Officer and e-mailed to the program director. A hard copy of the NoA will be mailed to the recipient fiscal officer identified in the application. Unsuccessful recipients will receive notification of the results of the application review by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

21-45 days after application submission deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based on the conditions in the supplemental funding announcement and are subject to the availability of funds under Section 301 of the Public Health Service Act (as amended) and Section 4002 of the Patient Protection and Affordable Care Act, Public Law 111-148.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is available for a 12-month budget period and a 22-month project period. See the following for information on how assistance is awarded/released: Funds will be awarded as a lump sum through a Notice of Award (NoA) from the agency Procurement and Grants Office.

**Reports:**

Federal Funding Accountability and Transparency Act of 2006 (FFATA): Public Law 109-282, the Federal Funding Accountability and Transparency Act of 2006 as amended (FFATA), requires full disclosure of all entities and organizations receiving Federal funds including grants, contracts, loans and other assistance and payments through a single publicly accessible web site, [www.USASpending.gov](http://www.USASpending.gov). The Web site includes information on each Federal financial assistance award and contract over \$25,000, including such information as:

1. The name of the entity receiving the award
  2. The amount of the award
  3. Information on the award including transaction type, funding agency, etc.
  4. The location of the entity receiving the award
  5. A unique identifier of the entity receiving the award; and
  6. Names and compensation of highly-compensated officers (as applicable)
- Compliance with this law is primarily the responsibility of the Federal agency. However, two elements of the law require information to be collected and reported by recipients: 1) information on executive compensation when not already reported through the Central Contractor Registry; and 2) similar information on all sub-awards/subcontracts/consortiums over \$25,000.

For the full text of the requirements under the Federal Funding Accountability and Transparency Act of 2006, please view the following web site: [http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109\\_cong\\_bills&docid=f.s2590enr.txt.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109_cong_bills&docid=f.s2590enr.txt.pdf). Cash reports are not applicable. Federal Funding Accountability and Transparency Act of 2006 (FFATA): Public Law 109-282, the Federal Funding Accountability and Transparency Act of 2006 as amended (FFATA), requires full disclosure of all entities and organizations receiving Federal funds including grants, contracts, loans and other assistance and payments through a single publicly accessible web site, [www.USASpending.gov](http://www.USASpending.gov). The Web site includes information on each Federal financial assistance award and contract over \$25,000, including such information as:

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For the full text of the requirements under the Federal Funding Accountability and Transparency Act of 2006, please view the following web site:  
[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109\\_cong\\_bills&docid=f.s2590enr.txt.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109_cong_bills&docid=f.s2590enr.txt.pdf). Federal Funding Accountability and Transparency Act of 2006 (FFATA): Public Law 109-282, the Federal Funding Accountability and Transparency Act of 2006 as amended (FFATA), requires full disclosure of all entities and organizations receiving Federal funds including grants, contracts, loans and other assistance and payments through a single publicly accessible web site, [www.USASpending.gov](http://www.USASpending.gov). The Web site includes information on each Federal financial assistance award and contract over \$25,000, including such information as:

1. The name of the entity receiving the award
2. The amount of the award
3. Information on the award including transaction type, funding agency, etc.
4. The location of the entity receiving the award
5. A unique identifier of the entity receiving the award; and
6. Names and compensation of highly-compensated officers (as applicable)

Compliance with this law is primarily the responsibility of the Federal agency. However, two elements of the law require information to be collected and reported by recipients: 1) information on executive compensation when not already reported through the Central Contractor Registry; and 2) similar information on all sub-awards/subcontracts/consortiums over \$25,000.

For the full text of the requirements under the Federal Funding Accountability and Transparency Act of 2006, please view the following web site:  
[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109\\_cong\\_bills&docid=f.s2590enr.txt.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=109_cong_bills&docid=f.s2590enr.txt.pdf).

**Audits:**

No audits are required for this program.

**Records:**

Records must follow the Records Management protocols.

**Account Identification:**

75-0943-0-1-551 - Authorization is: 75-12-0943 Fund No.: 09216020121DBM BACS No.: H008131101.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$5,685,000; and FY 13 est \$0 - Approximately \$4,000,000 in FY2012 funding in cooperative agreements and approximately \$1,685,000 in contracts will be made available. Future year funding is subject to availability of funds.

**Range and Average of Financial Assistance:**

Awards will range from approximately \$50,000 through \$125,000 with an average award of approximately \$80,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 45 Code of Federal Regulations (CFR) Part 74 or Part 92, as appropriate. For competing supplements, Administrative Regulations (ARs) remain in effect as published in the original funding announcement. For more information on the Code of Federal Regulations, see the National Archives and Records Administration at the following Internet address:

<http://www.access.gpo.gov/nara/cfr-table-search.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

richard s. roman 4770 Buford Hwy., N.W., MS-K-45, Chamblee, Georgia 30341 Email: [rsr1@cdc.gov](mailto:rsr1@cdc.gov) Phone: 7704885144

**Website Address:**

<http://www.grants.gov>

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the Office of Surveillance, Epidemiology, and Laboratory Services and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified if the application did not meet submission requirements.

CDC will conduct a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application Review Information within the supplemental funding opportunity announcement. Applicants will be notified if their application did not meet program requirements.

**93.747 ELDER ABUSE PREVENTION INTERVENTIONS PROGRAM**

Elder Abuse Prevention Interventions Projects

**FEDERAL AGENCY:**

Administration for Community Living, Department of Health and Human Services

**AUTHORIZATION:**

Section 2042 of the Patient Protection and Affordable Care Act, Section 411 of the Older Americans Act, and Section 4002 of the Affordable Care Act (PPHF).

**OBJECTIVES:**

To develop, implement, and evaluate successful or promising prevention interventions in elder abuse, neglect, and exploitation. Through this program, AoA hopes to demonstrate how existing research can be used to craft new, useful programs to address elder abuse, neglect, and exploitation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements (Discretionary Grants)

**USES AND USE RESTRICTIONS:**

The use of these funds is to support state and tribal efforts to develop successful prevention interventions using existing research in order to prevent and detect elder abuse, neglect, and exploitation and build on the scientific and programmatic knowledge base by developing and evaluating new interventions. The following activities are not fundable: Construction and/or major rehabilitation of buildings, Basic research (e.g. scientific or medical experiments), Continuation of existing projects without expansion, and Pre-award costs.

**Applicant Eligibility:**

No additional information.

**Beneficiary Eligibility:**

The ultimate beneficiaries of this funding opportunity are older adults who are at risk of experiencing some form of elder maltreatment.

**Credentials/Documentation:**

The application must include a letter of support from the following entities: (1) State APS agencies; (2) university, academic, or research institution; and (3) State Unit on Aging. Applications should also include a strong partnership with the justice system, and provide evidence of these partnerships. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application materials will be published on the Grants.gov website (<http://www.grants.gov>) or the AoA website (<http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx>).

ACL/AoA is requiring applications for all announcements to be submitted electronically through <http://www.grants.gov>.

**Award Procedure:**

Merit review of all applications and issuance of a Notice of Award to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Cooperative agreements will be made for a 3 year period, depending upon funding availability. Grant extensions are available and may be requested from the grantees Project Officer. The method of awarding/ releasing assistance is by letter of credit. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Grantees will be expected to work through AoA project officers to report on data for the purposes of a multi-component evaluation. Grantees are required to complete the federal cash transactions portion of the SF-425 within the Payment Managements System as identified in their award documents for the calendar quarters ending 3/31, 6/30, 9/30, and 12/31 through the life of their award. In addition, the fully completed SF-425 will be required as denoted in the Notice of Award terms and conditions. Semi-annual progress reports will be required. Grantees will also be expected to comply with new reporting requirements related to the Prevention and Public Health Fund. The PPHF requires quarterly reporting on cash expenditures.

Effective March 1, 2011, AoA requires the submission of the SF-425 (Federal Financial Report). The reporting cycle will be reflected in the Notice of Award.

The AoA program progress report is due semi-annually from the start date of the award and is due within 30 days of the reporting period end date. The final progress report and SF-425 reports are due 90 days after the end of the project period. The suggested content and format for these reports will be available to grantees post award administration. Applicants should be sure to identify the duration, frequency, and level of effort for conducting the proposed activities in order to benefit the target audience, as well as the expected outcomes of the proposed activities and the corresponding performance metrics.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that receive financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audit info

**Records:**

Records must be maintained for 3 years after submission of the final financial report.

**Account Identification:**

75-0142-0-1-506.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$5,550,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

States: \$625,000 \$1,020,000

Tribes: \$150,000 -- \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All grantees must comply with all requirements specified for grants funded through the Prevention and Public Health fund. Grantees also must comply with polices outlined in HHS Grants Policy Statement located at <http://www.hhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>

**Regional or Local Office:**

None.

**Headquarters Office:**

Stephanie Whittier-Eliason Administration on Aging  
Administration for Community Living  
1 Massachusetts Ave, NW, Washington, District of Columbia 20201 Email:  
Stephanie.Whittier-Eliason@aoa.hhs.gov Phone: 202-357-3519

**Website Address:**

<http://www.aoa.gov>

**RELATED PROGRAMS:**

93.048 Special Programs for the Aging Title IV and Title II Discretionary Projects

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Cooperative agreements will be awarded on a competitive basis. Specific details for evaluating applications are published as part of the program announcement. Major emphases are: 1) documented need, 2) expected reach, outcomes and impact, 3) organizational capacity, 4) coordination and partnerships, and 5) strong basis in evidence or theory.

**93.748 PPHF-2012 COOPERATIVE AGREEMENTS FOR PRESCRIPTION DRUG MONITORING PROGRAM ELECTRONIC HEALTH RECORD (EHR) INTEGRATION AND INTEROPERABILITY EXPANSION**

PPHF-2012: PDMP EHR Integration and Interoperability (TI-12-011)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

PDMP EHR Integration and Interoperability cooperative agreements are authorized under Section 509 of the Public Health Service Act, as amended, and are financed by 2012 Prevention and Public Health Funds (PPHF-2012). This announcement addresses Healthy People 2020 Substance Abuse Topic Area HP 2020-SA.

**OBJECTIVES:**

The purpose of this program is to: 1) improve real-time access to PDMP data by integrating PDMPs into existing technologies like EHRs, in order to improve the ability of State PDMPs to reduce the nature, scope, and extent of prescription drug abuse; and 2) strengthen State PDMPs that are currently operational by providing resources to make the changes necessary to increase interoperability of State PDMPs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Applicants that have not yet established interoperability or integration of PDMP into EHR systems must propose implementation of both systems to improve the States ability to reduce prescription drug abuse. Applicants must have an

existing PDMP or have an operational PDMP by September 30, 2012, in order to receive an award under this program. An operational PDMP is one that is collecting data and responding to authorized requests for reports. If you do not currently have an operational PDMP, you must submit an assurance in Attachment 2 of your application that you will have one by September 30, 2012. Applicants that do not have an operational PDMP by September 30, 2012, will not be considered for an award. Applicants that have already established interoperability with at least one State or have integrated their PDMP into an EHR system must propose expanding interoperability to multiple State PDMPs and improving real-time access to PDMP data by integrating PDMPs into existing technologies. No more than 10% of the grant award may be used for data collection, performance measurement, and performance assessment expenses.

**Applicant Eligibility:**

Grant funds will enable States to integrate their PDMPs into EHR and other health information technology systems to expand utilization by increasing the production and distribution of unsolicited reports and alerts to prescribers and dispensers of prescription data. Grant funds will also be used by States to allow for modification of their systems to expand interoperability.

**Beneficiary Eligibility:**

Eligible applicants are the immediate office of the Chief Executive (e.g., Governor) in the 49 States and 1 U.S. territory (i.e., Guam) that have enacted legislation or regulations that permit the following: implementation of a State PDMP; imposition of appropriate penalties for the unauthorized use and disclosure of information maintained in the program; and ability to share PDMP data (de-identified or anonymized) with CDC for research purposes. Eligibility is limited to States/Territory with enacted PDMP legislation because only these States/Territory have the capability to collect the required information and make that information available to prescribers, dispensers, and under controls, other States. PDMPs that are not actively collecting information cannot link their systems to EHRs or share information with other State PDMPs. Due to State laws establishing PDMPs, privacy, confidentiality, security, and other limitations on PDMPs, PDMP EHR Integration and Interoperability grants are limited to State and applicable territorial government entities.

**Credentials/Documentation:**

nature of this project: An operational PDMP is one that is collecting data and responding to authorized request for reports. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Applicants must download the SF-424 application forms through <http://www.samhsa.gov/grants/apply.aspx>.

Only the forms package directly attached to a specific Request for Applications (RFA) can be used. If an applicant does not have access to the Internet, or if they have difficulty accessing the forms online, You may request a complete application package from SAMHSA at 1-877-SAMHSA7 [TDD: 1-800-487-4889].

**Award Procedure:**

Applications are awarded based on the outcomes of the SAMHSA peer review and CSAT National Advisory Council review, and approval by the Administrator. Grants are awarded directly by SAMHSA to the applicant organization.

**Deadlines:**

Jun 28, 2012 to Jul 31, 2012: Application are due by July 31, 2012.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. September 30, 2012.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This program will be funded through one-year Prevention and Public Health Funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

All SAMHSA grantees are required to collect and report certain data so that SAMHSA can meet its obligations under the Government Performance and Results Modernization Act of 2010 (GPRA).

The following GPRA measures have been established for this program:

Number of providers registered with the PDMP;  
Number of physicians, pharmacists, and other healthcare providers using the PDMP;

Number of providers from other states requesting PDMP reports;  
Number of unsolicited reports sent to licensure boards and law enforcement (where applicable);

An increase in the number of referrals to substance abuse treatment providers as a result of using the State PDMP;

Percentage of professional partnerships with other healthcare providers that are established (i.e., with substance abuse treatment providers and primary care providers) as a result of using the State PDMP;

Number of unsolicited (proactive) reports sent to practitioners; and  
Number of EHR or other health information technology systems that have incorporated PDMP data. No cash reports are required. Grantees must periodically review the performance data they report to SAMHSA (as required above) and assess their progress and use this information to improve management of their grant projects. The assessment should be designed to help you determine whether you are achieving the goals, objectives and outcomes you intend to achieve and whether adjustments need to be made to your project. You will be required to report on your progress achieved, barriers encountered, and efforts to overcome these barriers in a performance assessment report to be submitted at least annually. At a minimum, your performance assessment should include the required performance measures identified above.

**Outcome Questions:**

What was the effect of intervention on key outcome goals?  
What program/contextual/cultural factors were associated with outcomes?  
What individual factors were associated with outcomes?  
How durable were the effects?

**Process Questions:**

How closely did implementation match the plan?  
What types of changes were made to the originally proposed plan?  
What led to the changes in the original plan?  
What effect did the changes have on the planned intervention and performance assessment?. No expenditure reports are required. Grantees will be required to report on progress achieved, barriers encountered, and efforts to overcome these barriers in a performance assessment report to be submitted at least annually.

**Audits:**

No audits are required for this program.

**Records:**

Records must be retained for at least 3 years; SAMHSA has the right to disallow costs and recover funds on the basis of a later audit or other review; records shall be retained beyond the 3 year period for that reason.

**Account Identification:**

75-1364-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$3,438,716; and FY 13 est \$0

**Range and Average of Financial Assistance:**

up to \$225,000 per year.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. For questions about program issues contact:

Jinhee J. Lee, Pharm.D.

Project Officer

Division of Pharmacologic Therapies

Center for Substance Abuse Treatment

Substance Abuse and Mental Health Services Administration

1 Choke Cherry Road

Room 7 -1028

Rockville, Maryland 20857

(240) 276-0545

jinhee.lee@samhsa.hhs.gov

For questions on grants management and budget issues contact:

Eileen Bermudez

Office of Financial Resources, Division of Grants Management

Substance Abuse and Mental Health Services Administration

1 Choke Cherry Road

Room 7-1079

Rockville, Maryland 20857

(240) 276-1412

eileen.bermudez@samhsa.hhs.gov.

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:****1. EVALUATION CRITERIA**

The Project Narrative describes what you intend to do with your project and includes the Evaluation Criteria in Sections A-E below. Your application will be reviewed and scored according to the quality of your response to the requirements in Sections A-E.

In developing the Project Narrative section of your application, use these instructions, which have been tailored to this program.

The Project Narrative (Sections A-E) together may be no longer than 25 pages.

You must use the five sections/headings listed below in developing your Project Narrative. You must place the required information in the correct section, or it will not be considered. Your application will be scored according to how well you address the requirements for each section of the Project Narrative.

Reviewers will be looking for evidence of cultural competence in each section of the Project Narrative, and will consider how well you address the cultural competence aspects of the evaluation criteria when scoring your application. SAMHSA's guidelines for cultural competence can be found on the SAMHSA Web site at <http://www.samhsa.gov/grants/apply.aspx> at the bottom of the page under Resources for Grant Writing.

The Supporting Documentation you provide in Sections F-I and Attachments 1 and 2 will be considered by reviewers in assessing your response, along with the material in the Project Narrative.

The number of points after each heading is the maximum number of points a review committee may assign to that section of your Project Narrative.

Although scoring weights are not assigned to individual bullets, each bullet is assessed in deriving the overall Section score.

Section A: Statement of Need (10 points)

Indicate if your State has established interoperability or integration of your PDMP into EHR systems.

If it has not, discuss the need to implement either system to improve your States ability to reduce prescription drug use. Explain why interoperability is needed and how use and effectiveness will be improved by linking to EHR systems.

Describe the service gaps, barriers, and other problems related to the need for enhanced interoperability and EHR integration.

**Section B: Proposed Approach (30 points)**

Describe the purpose of the proposed project, including a clear statement of its goals and objectives. These must relate to the performance measures you identify in Section E, Performance Assessment and Data.

Describe how achievement of goals will expand interoperability and enable PDMP integration into EHR.

Describe the proposed project activities, how they meet your PDMP needs, and how they relate to your goals and objectives. These should align with Section I-2, Expectations.

Provide a chart or graph depicting a realistic time line for the entire project period showing key activities, milestones, and responsible staff. [Note: The time line should be part of the Project Narrative. It should not be placed in an attachment.]

Describe any other organizations that will participate and their roles and responsibilities. Demonstrate their commitment to the project. Include letters from these community organizations in Attachment 1 of your application.

Describe the potential barriers to successful conduct of the proposed project and how you will overcome them.

Describe your plan to continue the project after the funding period ends. Also describe how program continuity will be maintained when there is a change in the operational environment (e.g., staff turnover, change in project leadership) to ensure stability over time.

Describe your plan to analyze other similar initiatives and propose how the activities under this grant may complement and not duplicate these other initiatives, including initiatives supported by the Department of Justice and the Office of the National Coordinator for Health Information Technology at HHS. Attest that activities supported by awards received through this funding opportunity will comply with the Database Requirements found in Section I-2.2 and Appendix G.

**Section C: Interoperability and EHR Integration (30 points)**

Describe how you will adopt the NIEM PMP specification as the common specification for exchanging PDMP reports with prescriber and dispenser organizations.

Describe how you will adopt ASAP 4.2 or higher as the electronic format for reporting, sharing, and disclosure of information.

Describe how the use of grant funds will expand interoperability to at least eight other State PDMPs, including two geographically bordering States. Include a description of the manner in which the State PDMP will achieve interoperability with other State PDMPs. If you plan on enhancing your systems to provide real-time access or other system upgrades, please specify in your proposal.

Describe how you will integrate PDMPs into emergency department EHRs, primary care EHRs and pharmacy dispensing systems with appropriate privacy protections.

Describe your plan to meet established criteria for the availability of information and limitation on access to program personnel.

Describe your processes and criteria for granting access to the PDMP, and describe procedures that will ensure information in the database is accurate.

**Section D: Staff, Management, and Relevant Experience (15 points)**

Discuss the capability and experience of the applicant organization and other participating organizations with similar projects and populations.

Provide a complete list of staff positions for the project, including the Project Director and other key personnel, showing the role of each and their level of effort and qualifications.

Discuss how key staff have demonstrated experience and are qualified to carry out grant activities.

Describe the resources available for the proposed project (e.g., facilities, equipment).

**Section E: Performance Assessment and Data (15 points)**

Document your ability to collect and report on the required performance measures as specified in Section I-2.4 of this RFA. Describe your plan for data

collection, management, analysis and reporting. Specify and justify any additional measures you plan to use for your grant project.

Describe how data will be used to manage the project and assure continuous quality improvement. Describe how information related to process and outcomes will be routinely communicated to program staff.

Describe your plan for conducting the performance assessment as specified in Section I-2.5 of this RFA and document your ability to conduct the assessment.

NOTE: Although the budget for the proposed project is not a scored review criterion, the Review Group will be asked to comment on the appropriateness of the budget after the merits of the application have been considered.

#### SUPPORTING DOCUMENTATION

Section F: Literature Citations. This section must contain complete citations, including titles and all authors, for any literature you cite in your application.

Section G: Budget Justification, Existing Resources, Other Support. You must provide a narrative justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project. Be sure to show that no more than 10% of the total grant award will be used for data collection, performance measurement, and performance assessment. Specifically identify the items associated with these costs in your budget. An illustration of a budget and narrative justification is included in Appendix E of this document.

Section H: Biographical Sketches and Job Descriptions.

Include a biographical sketch for the Project Director and other key positions. Each sketch should be 2 pages or less. If the person has not been hired, include a position description and/or a letter of commitment with a current biographical sketch from the individual.

Include job descriptions for key personnel. Job descriptions should be no longer than 1 page each.

Information on what you should include in your biographical sketches and job descriptions can be found in Appendix D of this document.

Section I: Confidentiality and SAMHSA Participant Protection/Human Subjects: You must describe procedures relating to Confidentiality, Participant Protection and the Protection of Human Subjects Regulations in Section I of your application. See Appendix F for guidelines on these requirements.

### **93.749 PPHF 2012 PUBLIC HEALTH LABORATORY INFRASTRUCTURE FINANCED SOLELY BY 2012 PREVENTION AND PUBLIC HEALTH FUND**

#### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 317, 42 U.S.C 247b; Patient Protection and Affordable Care Act, Title IV, Section 4002.

#### **OBJECTIVES:**

Over the course of the cooperative agreement period, the Association of Public Health Laboratories (APHL) will engage in activities to strengthen public health infectious disease laboratory infrastructure by addressing gaps in public health laboratory practice, and assist with development, implementation and ongoing support of laboratory technologies for use in public health.

The specific objectives may include but are not limited to:

1. Assess public health infectious disease laboratory capabilities and capacities by conducting and analyzing formal and informal surveys and other methodologies.
2. Convene Committees/Task Forces/Workgroups to develop or review guidelines and recommendations on PHL laboratory capacity and quality laboratory practice.
3. Provide training and other resources to address knowledge and capacity gaps.
4. Convene forums to exchange knowledge and build communities of practice and promote the role of public health laboratories in infectious disease control, especially in emerging infectious diseases.
5. Sustain and enhance strategic partnerships with governmental and non-governmental agencies and professional organizations including CDC, Centers for Medicare & Medicaid Services (CMS), Federal Drug

Administration (FDA), American Society of Microbiology (ASM), Infectious Disease Society of America (IDSA), American Society for Clinical Pathology (ASCP), ASTHO, CSTE, NACCHO, National Tuberculosis Controllers Association (NTCA), Advisory Council for the Elimination of Tuberculosis (ACET), National Alliance of State and Territorial AIDS Directors (NASTAD), National Coalition of STD Directors (NCSD), and U.S. Department of Defense to contribute to public policy development and reinforce and expand the role of public health laboratories in infectious disease detection and control.

6. Enhance communication and professional linkages regarding infectious diseases between public health laboratories and clinical and academic laboratories.

7. Provide expert consultation regarding infectious diseases to regulatory agencies and standard setting organizations (e.g., United States Department of Agriculture [USDA], FDA, and CMS).

8. Assure and enhance technology transfer from CDC and other agencies to public health laboratories. Assuring knowledge of appropriate quality control by end users when technology is further transferred to community based organizations involved in infectious disease testing.

9. Provide programmatic and technical support to other focus areas, including policy, emergency preparedness, global health, informatics, and professional development.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

Project funds may be used for costs associated with planning, organizing, conducting, and supporting public health laboratory infrastructure programs, and for the implementation of other program elements as described in Section 050 above. CDC's rules on allowable expenses must be followed.

#### **Applicant Eligibility:**

Eligibility is limited to the Association of Public Health Laboratories (APHL), a private nonprofit organization and the current grantee. CDC approved single eligibility of this award. This group is the appropriate and only qualified organization to address the activities described under the program announcement.

#### **Beneficiary Eligibility:**

Students/trainees and any U.S. state, political subdivision and U.S. territories (as described above), and other public entities will benefit.

#### **Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds. Costs will be determined in accordance with 2 CFR 215 (OMB Circular No. A-122). OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity use application Form PHS 5161. Application forms and instructions are available on [www.grants.gov](http://www.grants.gov) and/or the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). If you do not have access to the Internet, or if you have difficulty accessing the forms on-line, you may contact the CDC Procurement and Grants Office Technical Information Management Section (PGO-TIMS) staff at 770-488-2700. Application forms can be mailed to you.

#### **Award Procedure:**

Successful applicants receive a Notice of Award (NoA) from the CDC Procurement and Grants Office. The NoA shall be the only binding, authorizing document between the recipient and CDC. The NoA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application. Unsuccessful applicants receive notification of the results of the application review by mail.



**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals will be based upon the conditions in the funding announcement and are subject to the availability of funds under Section 317 of the Public Health Service Act or under the Patient Protection and Affordable Care Act.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Financial assistance is provided for a 12-month budget period with project periods of up to five years subject to the availability of funds and satisfactory progress of the grantee. Method of awarding/releasing assistance: lump sum.

**Reports:**

Each funded applicant must provide CDC with an interim progress reports via [www.grants.gov](http://www.grants.gov): 1. The first interim progress report is due at mid year and will serve as the non-competing continuation application, and must contain the following elements: a. Standard Form (SF) 424S Form. b. SF-424A Budget Information-Non-Construction Programs. c. Budget Narrative. d. Indirect Cost Rate Agreement. e. Project Narrative. 2. The second report is due no later than 90 days after the end of the budget period. This report should include a detailed description of specific projects and activities conducted, measurable outcomes achieved and public health impact resulting from projects conducted during the reporting period. 3. Annual progress report, due 90 days after the end of the budget period. These reports must be submitted to the attention of the Grants Management Specialist. No cash reports are required. The reporting schedule will be based on the requirements listed in the funding opportunity announcement.

Interim progress report are required no less than 90 days before the end of the budget period. The progress report will serve as your non-competing continuation application, and must contain the following elements: current budget period activities objectives, current budget period financial progress, new budget period program proposed activity objectives, budget, additional requested information, and measures of effectiveness. Financial status report and annual progress report, no more than 90 days after the end of the budget period; and Final financial and performance reports, no more than 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial and personnel records including financial awards, financial status reports, interim reports, and final reports must be maintained for a period of seven years.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$4,000,000; and FY 13 est \$5,000,000 - Future year funding is subject to the availability of funds.

**Range and Average of Financial Assistance:**

Awards will range from approximately \$1 million to \$3 million with an average

of approximately \$2 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 55b.

Guidelines are available for 45 CFR 92 and HHS Grants Policy statement at <http://www.ahrq.gov/fund/hhsolicy.htm>

**Regional or Local Office:**

None.

**Headquarters Office:**

SABRINA M. HARPER 1600 CLIFTON ROAD  
MS E56

CDC, OSELS, ATLANTA, Georgia 30333 Email: SMH0@CDC.GOV Phone: 4044981307

**Website Address:**

<http://www.cdc.gov>

**RELATED PROGRAMS:**

93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications are reviewed for completeness by the Procurement and Grants Office (PGO) staff and for responsiveness jointly by the Office of Surveillance, Epidemiology and Laboratory Services (OSELS) and PGO. Incomplete applications and applications that are non-responsive to the eligibility criteria will not advance through the review process. Applicants will be notified if the application did not meet submission requirements.

CDC conducts a review to evaluate complete and responsive applications according to the criteria listed in Section V. Application Review Information within the individual funding announcement. Applicants will be notified if their application did not meet program requirements.

**93.767 CHILDREN'S HEALTH INSURANCE PROGRAM**

The Children Health Insurance Program (CHIP)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Title XXI of the Social Security Act as amended by the Children's Health Insurance Program Reauthorization Act of 2009 (CHIPRA; Public Law 111-003) and the Affordable Care Act (ACA; Public Law 111-148 taken together with Public Law 111-152).

**OBJECTIVES:**

To provide funds to States to enable them to maintain and expand child health assistance to uninsured, low-income children, and at a state option, low-income pregnant women and legal immigrants, primarily by three methods: (1) obtain health insurance coverage that meets the requirements in Section 2103 relating to the amount, duration, and scope of benefits; (2) expand eligibility for children under the State's Medicaid program; or (3) a combination of the two.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

No State is eligible for payments for child health assistance for coverage provided prior to October 1, 1997. Standards used to determine eligibility may include those related to geographic areas to be served by the plan. Age, income and resources, residency, disability status (as long as the standard does not restrict eligibility), access to or coverage under other health coverage, and duration of eligibility are factors. Standards may not discriminate on the basis

of diagnosis. Eligibility standards must not cover higher-income children without covering lower-income children, and must not deny eligibility based on a child having a pre-existing medical condition. The State must ensure that only targeted low-income children are furnished child health assistance under the plan. Children found through screening to be eligible for Medicaid are to be enrolled in Medicaid. The insurance provided using Federal funds under the State plan does not substitute for coverage under group health plans. Coordination with other public and private programs providing creditable coverage for low-income children should occur. Child Health Assistance (other than Medicaid), must consist of any of the following: Benchmark coverage; benchmark equivalent coverage (which can be FEHBP-equivalent coverage); State employee coverage or coverage offered through the HMO with the largest insured commercial non-Medicaid enrollment in the State; existing comprehensive State-based coverage; or Secretary-approved coverage. A State child health plan must include a description of the amount (if any) of cost-sharing and must be in accordance with a public schedule. Cost-sharing may be varied in a way that does not favor higher-income children over lower-income children. No cost-sharing is permitted for well-baby and well-child care, including age-appropriate immunizations. Cost-sharing for children at 150 percent of poverty must be consistent with Medicaid; Cost-sharing for children at 150 percent of poverty and above must be based on an income-related sliding scale. The aggregate cost sharing for all children in a family cannot exceed 5 percent of the family's income. The State child health plan may not impose pre-existing condition exclusions for covered benefits. States that provide for benefits through a group health plan or group health insurance coverage may permit pre-existing condition exclusions as allowed under the applicable Section of the Employee Retirement Income Security Act (ERISA) and the Health Insurance Portability and Accountability Act (HIPAA). Funds provided to a State under this Title may only be used to carry out the purposes of this Title. Health insurance coverage provided may include coverage of abortion only if necessary to save the life of the mother or if the pregnancy is the result of an act of rape or incest. States may spend up to 10 percent of their total CHIP expenditures (Federal and State) on non-benefit activities, including: outreach conducted to identify and enroll eligible children in CHIP; administration costs; health services initiatives; and other child health assistance. These expenditures are matched at the enhanced CHIP matching rate and counted against both the 10 percent limit and the allotment. Monetary amounts provided by the Federal government or services assisted or subsidized to any extent by the Federal government, may not be included in determining the amount of nonfederal contributions required for State matching purposes.

**Applicant Eligibility:**

All States and Territories may apply.

**Beneficiary Eligibility:**

Targeted low-income children will benefit. These children are defined (for the purposes of Title XXI) as children who have been determined eligible by the State for child health assistance under their State plan; are low-income children; or are children whose family income exceeds the Medicaid applicable income level but does not exceed 50 percentage points above the Medicaid applicable income level; and are not found to be eligible for medical assistance under Title XIX or covered under a group health plan or under health insurance coverage.

**Credentials/Documentation:**

States and Territories must submit and have approved by the Secretary of DHHS, a State Child Health Plan. Individuals must meet State requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Title XXI plans and amendments are submitted by the State Governor, or designee, to the CMS Center for Medicaid and CHIP Services; Children and Adults Health Programs Group (CMCS/CAHPG). The Title XXI plan should be a stand alone

document that fully addresses each relevant Section of the statutory requirements.

**Award Procedure:**

The CMS Administrator exercises delegated authority to approve Title XXI plans and amendments. Letters of approval will be signed by the CMS Administrator.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Section 2106 of the Law, specifies that a State plan is considered approved unless the Secretary notifies the State in writing, within 90 days after receipt of the plan, that the plan is disapproved (and the reasons for disapproval) or that specific additional information is needed. Informal clarification and discussion between the State and the DHHS review team is permitted and encouraged during the review period. This does not stop the "90-day clock." The 90-day review period may be stopped by formal written requests for additional information and clarification. The 90-day review period may be stopped as many times as necessary to obtain completed information necessary to disapprove or approve the plan. The 90-day period will resume when the finalized additional information is received by CMS.

**Appeals:**

If a State wishes to appeal a disapproval, it may petition for a reconsideration of this decision within 60 days after the date of receipt of the disapproval letter, by submitting a written request for reconsideration to the project officer and the regional office. States also have the option to submit a new application following the disapproval, starting a new 90-day review clock.

**Renewals:**

An approved State child health plan shall continue in effect unless the State amends that plan or the Secretary finds substantial noncompliance of the plan in accordance with the requirements of Title XXI.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Section 2105(b), Title XXI, provides for an "enhanced Federal Matching Assistance Percentage (EFMAP)" for child health assistance provided under Title XXI that is equal to the current FMAP for the fiscal year (FY) in the Medicaid Title XIX program, increased by 30 percent of the difference between 100 and the current FMAP for that fiscal year. For fiscal years 2013 and prior, the EFMAP may not exceed 85 percent. As a result of the implementation of the Affordable Care Act (ACA), states shall receive a 23 percentage point increase in their respective EFMAPs for fiscal years 2016-2019 for most CHIP expenditures; however the EFMAP for a state may not exceed 100 percent. In FY 2009, the CHIPRA implemented a limitation on matching rates for states that propose to cover children with effective family income that exceeds 300 percent of the poverty line to FMAP rather than EFMAP, unless a waiver or State Plan Amendment or state law was in place to cover this population before the enactment of CHIPRA.

Section 2104(a) of the Social Security Act as amended by section 10203 of the ACA provide appropriations through through September 30, 2015 for the purpose of providing annual allotments to the states to fund their CHIP programs. Only States with approved State Plans by the end of the fiscal year will be included in the final allotment calculation.

In general, in FY 2010, the states annual allotments were calculated as the sum of the following four amounts, multiplied by the applicable growth factor for the year.

- the FY 2009 CHIP allotments;
  - FY 2006 unspent allotments redistributed to and spent by shortfall states in FY 2009;
  - spending of funds provided to shortfall states in the first half of FY 2009; and
  - spending of Contingency Fund payments in FY 2009, although there were no Contingency Fund payments made in FY 2009.
- Note: States may also qualify to receive an increase in their FY 2010, FY 2012, or FY 2014 allotments if they meet the criteria described in section 2104(m)(6)

and 2107(m)(7) of the Social Security Act (the Act) as previously amended by section 102 of CHIPRA and further amended by sections 2102(a)(1)(B) 10203 of the ACA.

For FY 2011, FY 2013, and FY 2015 the allotments will be rebased on prior year spending. This will be done by multiplying the states growth factor for the year by the new base, which will be the prior years federal CHIP spending (including any contingency fund payments or redistribution amounts). For FY 2012 and FY 2014, the allotment for a state will be calculated as the previous fiscal years allotment amount and any previous fiscal years contingency fund spending, multiplied by the states growth factor for the year. The ACA extended the availability of the Child Enrollment Contingency Fund which may be available for states that meet the criteria provided in section 2104(n) of the Act through FY 2015.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Enrolled children receive medical services as necessary. Federal funds are obligated to the States by issuing Title XXI grant awards. To ensure that all of the appropriated funds are available to States, CMS will issue grant awards to all States with Title XXI State plans approved by the end of the fiscal year equaling the national amount available for allotment to the 50 States, the District of Columbia, and the Commonwealths and Territories for that fiscal year. Grant awards must be issued by the time the CMS/HHS accounting system closes with respect to that fiscal year. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Section 2108 of the Law specifies that States must develop annual reports assessing the operation of their State Plan for each fiscal year, including the progress made in reducing the number of uncovered low-income children and report to the Secretary by January 1, of the following year the results of the assessment. By March 31, 2000, each State with a child health plan must submit to the Secretary an evaluation that includes an assessment of the effectiveness of the State Plan in increasing the number of children with creditable health coverage, in increasing the availability of affordable quality individual and family health insurance for children, and in coordinating recommendations for improving the program under this Title. By December 31, 2001, the Secretary must submit to Congress and make available to the public, a report based on the evaluations submitted by the States recommendations and conclusions. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. A State child health plan under Title XXI must include an assurance that the State will afford the Secretary access to any records or information relating to the plan for the purposes of review or audit.

**Records:**

A State child health plan must include an assurance that the State will collect the data, maintain the records, and furnish the report to the Secretary at the times and in standardized format (as the Secretary requires), in order to enable the Secretary to monitor State program administration and compliance and to evaluate and compare the effectiveness of State Plans under this Title.

**Account Identification:**

75-0515-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$8,479,294,000; FY 12 est \$14,982,000,000; and FY 13 est \$17,406,000,000

**Range and Average of Financial Assistance:**

For FY 2012, the range is from \$899,000 (Northern Mariana Islands) to \$1,314,260,000(California).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations and guidance issued related to the Children's Health Insurance Program may be accessed through the World Wide Web at: [www.medicaid.gov](http://www.medicaid.gov).

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator, Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for addresses and telephone numbers).

**Headquarters Office:**

Center for Medicaid, CHIP, and Survey & Certification, 7500 Security Boulevard, Baltimore, Maryland 21244 Phone: (410) 786-3870.

**Website Address:**

<http://www.cms.gov>

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.768 MEDICAID INFRASTRUCTURE GRANTS TO SUPPORT THE COMPETITIVE EMPLOYMENT OF PEOPLE WITH DISABILITIES**

(Ticket To Work Infrastructure Grants)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Ticket to Work and Work Incentives Improvement Act of 1999, Section 203, Public Law 106-170.

**OBJECTIVES:**

To support State efforts to enhance employment options for people with disabilities by building Medicaid infrastructure. Funding may be used to develop a Medicaid buy-in, increase availability of Personal Assistance Services, or for State-to-State technical assistance. In addition, States may use funding to develop a comprehensive approach to bridge Medicaid services with other key supports and programs used by employed people with disabilities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

While the proposals submitted by the States may vary, States participating in this grant program will use the funds to remove the barriers to employment of persons with disabilities, by creating health systems change through the Medicaid program. The development or enhancement of certain core Medicaid components in each State would enable people with disabilities not only to work, but to sustain adequate health coverage if they find they need to relocate to another State for employment purposes. An adequate personal assistance services benefit and a Medicaid buy-in for employed people with disabilities are significant components of the Ticket to Work and Work Incentives Improvement Act. The infrastructure grants program provides money to the States to develop these core elements. In addition, States may use funding to develop a comprehensive approach to bridge Medicaid services with other key supports and programs used by employed people with disabilities. Funds may not be used for the direct provision of services to people with disabilities except on a one-time, last resort, emergency basis for the purpose of sustaining the individual's competitive employment.

**Applicant Eligibility:**

Either of the following may apply: (a) the single state medicaid agency; or (b) any other agency or instrumentality of a state(as determined under State law) in partnership, agreement and active participation with the single state medicaid agency, the State Legislature, or the office of the Governor.

**Beneficiary Eligibility:**

There are two groups of potentially eligible beneficiaries, as defined by the Ticket to Work and Work Incentives Improvement Act of 1999. The first group consists of persons with disabilities between the ages of 16 and 65 years old, employed, and who meet income, asset, and resource standards established by the State. The second group of potential beneficiaries consists of persons between the ages of 16 and 65 years old, employed, and who cease to be eligible for Medical Assistance because of medical improvements determined at the time of a regularly scheduled disability review, but who also continue to have a severe medically determinable impairment.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency or its partner agencies or instrumentality's. Individuals must meet State requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. Application forms are submitted to the Acquisition and Grants Group, CMS, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

**Award Procedure:**

Official notice of approved applications is made through the issuance of a grant award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range is from 100 to 150 days.

**Appeals:**

There are no formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report that will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

CMS announced the first round of infrastructure grant awards in October 2000. This grant program is authorized for 11 years beginning in fiscal year 2001. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Progress and expenditure reports are required on all projects. Progress and expenditure reports are required on all projects. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by the DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$75,238,502; FY 12 est \$325,426; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$500,000 to \$2,750,000; \$500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Group, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. Grant applications forms are also available on the CMS website at <http://www.cms.hhs.gov/twviiia/424forms.pdf>.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.)

**Headquarters Office:**

Adrienne Delozier, 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: [Adrienne.Delozier@cms.hhs.gov](mailto:Adrienne.Delozier@cms.hhs.gov) Phone: (410) 786-0278.

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include: understanding the barriers that impede competitive employment of people with disabilities; the extent to which the proposed infrastructure development will offer enduring and significant improvement in the ability of the system to provide adequate health coverage for people with disabilities and are competitively employed; providing needed personal assistance and other supports, and/or removing other significant employment barriers; the appropriateness of the methods, work plan, budget, and timetable; the qualifications of key staff; and the State's plan for using its grant experiences to identify different or better ways to improve its buy-in or Medicaid services that support the competitive employment efforts of people with disabilities.

**93.770 MEDICARE\_PRESCRIPTION DRUG COVERAGE**

(Medicare Part D)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Authorized under Part D of Title XVIII of the Social Security Act.

**OBJECTIVES:**

To provide prescription drugs to Medicare beneficiaries through their voluntary participation in prescription drug plans, with an additional subsidy provided to lower-income beneficiaries.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Payments will be made to participating prescription drug plans.

**Applicant Eligibility:**

An entity organized and licensed under State law as a risk-bearing entity eligible to offer health insurance in each State in which it is to offer a plan, meeting the requirements in 42 CFR 423.504 and 42 CFR 423.505. The entity may offer prescription drug coverage in conjunction with a Medicare Advantage plan or as a separate stand alone benefit.

**Beneficiary Eligibility:**

Eligible beneficiaries include individuals who are entitled to Medicare benefits under Part A or enrolled in Part B and who reside in the plan's service area. Individuals in a Medicare Advantage Plan with Part D coverage may not be separately enrolled in a stand alone prescription drug plan.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Potential sponsors apply to CMS to become an approved prescription drug plan. Generally, individuals enroll directly with the prescription drug program sponsor. The sponsor forwards the enrollment and eligibility information to CMS, which verifies eligibility for the drug benefit. Some individuals who are entitled to both Medicare and Medicaid have been enrolled automatically. Low income beneficiaries may complete a subsidy application at any Social Security office or through their State Medicaid office.

**Award Procedure:**

Payment will be made by CMS to the prescription drug plan sponsors.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to six months for plan sponsors.

**Appeals:**

Sponsors whose applications to become a prescription drug plan sponsor are rejected have the right to a reconsideration and appeal process. Beneficiaries have the right to a reconsideration and appeal process for adverse coverage determinations.

**Renewals:**

Contracts with sponsors may be renewed annually. Beneficiaries may enroll and disenroll from plans according to the timeframes established in 42 CFR 423.30-423.46.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Indefinite. See the following for information on how assistance is awarded/released: Monthly payments to Prescription Drug Plan sponsors combined with an annual reconciliation adjustment.

**Reports:**

Plans must provide periodic reports to CMS, enrollees and the general public on cost; utilization; availability, accessibility and acceptability of services; fiscal soundness and other information required by CMS. Plans must provide an annual report of business transactions and combined financial statements. Progress reports are not applicable. Expenditure reports are not applicable.

Performance monitoring is not applicable.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Periodic audits of plans by HHS, the Comptroller General or their designees. Periodic audits by CMS and the HHS Office of Inspector General (OIG) of plan cost reporting. Audit by CMS of financial records of at least one-third of participating plans every year.

**Records:**

None.

**Account Identification:**

75-8308-0-7-571.

**Obligations:**

(Insurance) FY 11 \$65,838,000,000; FY 12 est \$57,789,000,000; and FY 13 est \$73,507,000,000

**Range and Average of Financial Assistance:**

Determined by plan offerings, number of enrollees, and utilization.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are authorized under Part D of Title XVIII of the Social Security Act and are available at 42 CFR 423.

**Regional or Local Office:**

None.

**Headquarters Office:**

Marla Kilbourne, 7500 Security Boulevard, Baltimore, Maine 21244 Email: Marla.Kilbourne@cms.hhs.gov Phone: (410) 786-7622.

**Website Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.773 MEDICARE\_HOSPITAL INSURANCE**

(Medicare Part A)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

American Recovery and Reinvestment Act of 2009, Public Law 111-5, Title XVIII of the Social Security Act; Affordable Care Act (Public Law 111-148).

**OBJECTIVES:**

To provide hospital insurance protection for covered services to persons age 65 or above, to certain disabled persons and to individuals with chronic renal disease.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Hospital insurance benefits are paid to participating hospitals, inpatient rehabilitation facilities, skilled nursing facilities, home health agencies, and hospice agencies. Payments are made in order to cover the prospective payment amount or reasonable cost of medically necessary services furnished to individuals who are entitled under this program. In limited circumstances, Medicare will also pay for certain aspects of receiving care in an inpatient religious non-medical health care setting.

**Applicant Eligibility:**

Persons age 65 or over and certain disabled persons are eligible to receive hospital insurance benefits. Nearly all individuals who had reached the age of 65 before 1968 are eligible for Part A, including people not eligible for cash Social Security benefits. A person reaching the age of 65 from 1968 to the present, and who is not eligible for social security benefits, needs to have accumulated work credits (amount dependent on age) to qualify for hospital insurance benefits.

Hospital insurance (Medicare Part A) is also available to persons aged 65 and over through payment of a monthly premium, which is currently \$451 per month, effective January 1, 2012. A reduced Part A premium of \$248 per month is applied to persons with 30 or more quarters in which they have paid into the social security system. This reduced Part A premium applies to their spouse, surviving spouse or divorced spouse as well.

Federal employees began contributing toward Medicare hospital insurance coverage in 1983. Employees who have worked in the federal government prior to this year are still eligible to receive credit for prior non-contributory quarters of Federal employment. State and local government employees not already in Social Security-covered positions and who were hired on or after April 1, 1986 also contribute toward Medicare hospital insurance coverage. Although states may request agreements to cover individuals employed prior to April 1, 1986, no credit is given toward establishing Medicare entitlement for prior employment. Persons under the age of 65 who have been entitled to Social Security or Railroad Retirement disability benefits for at least 29 months are also eligible to receive hospital insurance benefits, as are any individuals who have been diagnosed with End Stage Renal Disease (ESRD).

**Beneficiary Eligibility:**

Persons age 65 or over and qualified disabled persons.

**Credentials/Documentation:**

Proof of age or disability. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone or visit the local Social Security Office. Individuals entitled to Social Security or railroad retirement are enrolled without application.

**Award Procedure:**

The individual will be notified by mail of enrollment, whether automatic or applied for.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

Telephone or visit the local Social Security Office or Medicare payment organization responsible for the initial determination. The appeal process ranges from reviews of the initial determinations to formal hearings and, in cases meeting certain criteria, reviews by Federal Courts.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
Claims-based payment to providers or monthly capitation payments to Medicare Advantage plans.

**Reports:**

No reports are required.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

20-8005-0-7-571.

**Obligations:**

(Insurance) FY 11 \$261,624,000,000; FY 12 est \$261,577,000,000; and FY 13 est \$275,570,000,000 - These figures represent benefit outlays. (not including QIO).

**Range and Average of Financial Assistance:**

Benefits may be paid based on the prospective payment amount or the reasonable costs of covered inpatient hospital services and based on the reasonable costs of covered post-hospital extended care services which are incurred during a benefit period. For benefit periods beginning in calendar year 2012 the beneficiary is responsible for \$1,156 inpatient hospital deductible, a \$289 per day coinsurance amount for 61 through 90 days of inpatient hospital care, a \$578 per day coinsurance amount for inpatient hospital care during the 60 lifetime reserve days, and a \$144.50 per day coinsurance amount for days 21 through 100 of care in a skilled nursing facility. Home health services are paid in full.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, the number of persons protected is 48,334,000. Fiscal Year 2012: In fiscal year 2012, the number of persons protected is estimated to be 50,347,000. Fiscal Year 2013: No data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 405 and 422; Title 42, Parts 400, 401, 405, 406, 409, 412, 417, and 418. " Medicare and You," SSA-79-10050, and other publications are available from any Social Security Office without charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV of the Catalog for a listing of Regional Offices.

**Headquarters Office:**

Rob Ludwig 7500 Security Boulevard, Baltimore, Maryland 21244 Email: Robert.Ludwig@cms.hhs.gov Phone: (410) 786-5407

**Website Address:**

<http://www.medicare.gov> or <http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers; 93.770 Medicare\_Prescription Drug Coverage; 93.774 Medicare\_Supplementary Medical Insurance; 96.001 Social Security\_Disability Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.774 MEDICARE SUPPLEMENTARY MEDICAL INSURANCE**

(Medicare Part B)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act Title XVIII, Section 1831.

**OBJECTIVES:**

To provide medical insurance protection for covered services to persons age 65 or over, to certain disabled persons and to individuals with end-stage renal disease. Enrollment in Part B is voluntary.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Managed care benefits are paid on the basis of Medicare capitation rates. Fee-for-service benefits are paid on the basis of fee schedules or other approved amounts for services furnished by physicians and other suppliers of medical services to aged or disabled enrollees. Benefits are paid on the basis of prospective payment systems for certain covered services furnished by participating providers such as hospitals and home health agencies.

**Applicant Eligibility:**

All persons who are eligible for premium-free hospital insurance benefits (see 93.773), and persons age 65 and older who reside in the United States and are either citizens or aliens lawfully admitted for permanent residence who have resided in the United States continuously during the five years immediately preceding the month in which the application for enrollment is filed, may voluntarily enroll for Part B supplementary medical insurance (SMI). The beneficiary pays a monthly premium and an annual deductible. Beginning in calendar year 2008, the Part B premiums have been set based upon beneficiary income. The calendar year 2012 premiums range from \$99.90 to \$319.70 per month. The annual deductible is \$140.00. Some States and other third parties may pay the SMI PART B premium on behalf of qualifying individuals.

**Beneficiary Eligibility:**

All persons who qualify for hospital insurance, and those who do not qualify for hospital insurance but meet eligibility requirements and choose to purchase Part "B".

**Credentials/Documentation:**

Proof of age, disability or lawful admission status. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Telephone or visit the local Social Security Office. Most persons entitled to hospital insurance and already receiving benefits from Social Security or the Railroad Retirement Board are enrolled automatically for supplementary medical insurance. Since the program is voluntary, you may decline coverage. Persons not entitled to hospital insurance must file an application.

**Award Procedure:**

After review of the application is completed, the applicant will be notified by mail.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Telephone or visit the local Social Security Office or the Medicare payment organization responsible for the initial determination. The appeal process ranges from reviews, of the initial determinations to formal hearings and, in cases meeting certain criteria, reviews by Federal courts.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released:  
Claims-based payments to providers and suppliers or monthly capitation

payments to MA plans.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Providers, suppliers, and Medicare Advantage plans are subject to audit requirements.

**Records:**

None.

**Account Identification:**

20-8004-0-7-571.

**Obligations:**

(Insurance) FY 11 \$231,760,000,000; FY 12 est \$227,880,000,000; and FY 13 est \$236,075,000,000 - (Insurance) FY 11 \$231,760,000,000; FY 12 est \$227,880,000,000; and FY 13 est \$236,075,000,000 These figures represent benefit payments. The source for these amounts is the FY 2013 Presidents Budget..

**Range and Average of Financial Assistance:**

Generally, with exceptions of certain services, the beneficiary is responsible for meeting the annual \$140 deductible before you may begin. Thereafter, Medicare pays a percent of the approved amount of the covered service. For many services, this percentage is 80 percent. For other covered services, the percentage that Medicare pays will vary from 100 percent to 50 percent depending upon the category of service.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, the number of enrollees totaled 44,560,000. Fiscal Year 2012: In fiscal year 2012, the number of enrollees is estimated to be 46,146,000. The source for the number of Medicare beneficiaries is the FY 2013 MSR. Fiscal Year 2013: In fiscal year 2013, the number of enrollees is estimated to be 47,761,000. The source for the number of Medicare beneficiaries is the FY 2013 MSR.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Code of Federal Regulations, Title 20, Parts 401, 405, and 422; Title 42, Parts 401, 405, 407, 408, 410, 413, 416, and 417. "Your Medicare Handbook," and other publications are available from any Social Security Office without charge.

**Regional or Local Office:**

See Regional Agency Offices. Consult Appendix IV of the Catalog for listing of Regional Offices.

**Headquarters Office:**

Inga Feldmanayte, 7500 Security Boulevard, Baltimore, Maryland 21207  
Email: Inga.Feldmanayte@cms.hhs.gov Phone: (410) 786-5995.

**Website Address:**

<http://www.cms.hhs.gov>.

**RELATED PROGRAMS:**

57.001 Social Insurance for Railroad Workers; 64.012 Veterans Prescription Service; 64.013 Veterans Prosthetic Appliances; 93.770 Medicare\_Prescription Drug Coverage; 93.773 Medicare\_Hospital Insurance; 93.778 Medical Assistance Program; 96.001 Social Security\_Disability Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.775 STATE MEDICAID FRAUD CONTROL UNITS**

(SMFCU's)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act (The Act), as amended, Title XIX, Section 1902(a)(61).

**OBJECTIVES:**

To eliminate fraud and patient abuse in the State Medicaid Programs.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

The statute authorizes 90 percent matching funds for the first 12 quarters, and 75 percent matching funds thereafter for investigation and prosecution of fraud and patient abuse in the State Medicaid Programs. A unit must be separate and distinct from the single State Medicaid agency. A unit must also employ sufficient professional, administrative and support staff to carry out its duties and responsibilities in an effective and efficient manner.

**Applicant Eligibility:**

An established State Medicaid Fraud Control Unit must be a single identifiable entity of the State government which the Secretary certifies (and the Office of Inspector General annually re-certifies) as complying with the requirements of 1903(q) of the Social Security Act (42 CFR 1007) regarding location, function and procedure. Applicants must also comply with section 1902 (a)(61) of the Act as amended by the Omnibus Budget Reconciliation Act of 1993. Tribes (American Indian/Alaskan Native/Native American) are not eligible to apply.

**Beneficiary Eligibility:**

The State governments will benefit from this program.

**Credentials/Documentation:**

Units must submit applications containing proposed organization, administration, agreements, detailed budgets and procedures for certification of eligibility (see 42 CFR 1007). Costs will be determined in accordance with OMB Circular No. A-87 and 45 CFR 92. Governors in States applying for Federal assistance must approve the application pursuant to 42 CFR 1007.15(a). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application forms (SF 424, SF 424A, and SF 424B), as furnished by OIG and required by OMB Circular No. A-102 for State and local governments, must be used for the application. The Inspector General's staff is available to assist with technical development of programs, plans, and budget amendments and revisions.

**Award Procedure:**

States are awarded funds based on a detailed description of estimated expenditures needed to support the program. Award funds are distributed quarterly on a fiscal year basis as follows: October 1, January 1, April 1, and July 1.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The time required to process an application may take up to 90 days.

**Appeals:**

From 60 to 90 days. If the application is not approved, the State may submit an amended application at any time.

**Renewals:**

The application for the annual re-certification must be submitted 60 days prior to the end of each certification period.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: States are awarded, through the issuance of a grant award, for 90 percent of their costs for the first 12 quarters, and 75 percent thereafter, computed against a quarterly maximum allowable of the higher of \$125,000, or one-fourth of 1 percent of the sums expended by the Federal,

State, or local government in carrying out the State plan under Title XIX of the Social Security Act.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant periods are 1 year in length and funds are awarded quarterly based on an approved annual budget and limitations on entitlement. Method of awarding/releasing assistance: quarterly.

**Reports:**

Annual Reports are required and must be submitted 60 days prior to the expiration of the MFCU's certification period. Federal Financial Reports (SF-425) to report cash transactions are required on a quarterly basis to PMS. An Annual Report to report the MFCU's progress is required. Expenditure reports on the SF-425 are required to be submitted to OIG and are due 30 days following each quarter and a final expenditure report is required and is due 90 days after the close of the grant year. Performance monitoring is required through the submission of annual reports by the MFCUs to HHS/OIG and through site visits to the MFCUs that are conducted by the HHS/OIG.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. OIG performs periodic onsite reviews of the State program, as appropriate, as well as an annual re-certification review of each SMFCU.

**Records:**

All records are to be retained for 3 years, in accordance with 45 CFR 92.

**Account Identification:**

75-0512-0-1-551.

**Obligations:**

(Salaries) FY 11 \$215,319,000; FY 12 est \$215,973,000; and FY 13 est \$229,850,000 - These Obligation amounts are for salaries and expenses.

**Range and Average of Financial Assistance:**

FY 2012: Range \$291,136 to \$38,191,424; Average \$3,964,705.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 1007, 45 CFR 92, OMB Circular No. A-87, and Performance Standards originally issued September 1994 and revised in June 2012.

**Regional or Local Office:**

None.

**Headquarters Office:**

Richard B. Stern 330 Independence Ave., S.W., Cohen Building, Washington, District of Columbia 20201 Email: richard.stern@oig.hhs.gov Phone: (202) 619-0480

**Website Address:**

<http://www.oig.hhs.gov>

**RELATED PROGRAMS:**

93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.777 STATE SURVEY AND CERTIFICATION OF HEALTH CARE PROVIDERS AND SUPPLIERS (TITLE XVIII) MEDICARE FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services



**AUTHORIZATION:**

Social Security Act, Sections 1863, 1864, 1865, 1902, 1903, and 1919, Title XVIII.

**OBJECTIVES:**

To provide financial assistance to any State which is able and willing to determine through its State health agency or other appropriate State agency that providers and suppliers of health care services are in compliance with Federal regulatory health and safety standards and conditions of participation.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds are made available to States for the purpose of inspecting providers and suppliers of health care services, to ensure mandatory adherence to Medicare/Medicaid health and safety standards and conditions. Funds made available under these programs are used to support or reimburse State staff for performing survey activities and for State administration of the program.

**Applicant Eligibility:**

Under Title XVIII, States enter into Section 1864 agreements with the Secretary of Health and Human Services whereby the designated agency of the State will be supported or reimbursed for on-site inspection of health care providers and suppliers. The designated State agency is usually that unit performing licensure activities within the State health department.

**Beneficiary Eligibility:**

NA.

**Credentials/Documentation:**

A signed 1864 Agreement for Title XVIII in order to carry out the survey function. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Sign an 1864 Agreement for support of Medicare/Medicaid survey and certification activities.

**Award Procedure:**

States are provided a quarterly award based on an approved annual budget under Title XVIII and quarterly formula grants under Title XIX. States are reimbursed for Title XVIII and Title XIX survey activities under Electronic Funds Transfer System procedures. States draw funds through the Department's Payment Management System (PMS).

**Deadlines:**

Aug 15, 2010 Annual budget proposals for Title XVIII are requested from the appropriate State agency as negotiated with Regional Office.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. This timeline is for initial approval or disapproval.

**Appeals:**

Title XVIII appeals are reviewed by the Armed Services Contracts Appeal Board.

**Renewals:**

Ongoing renewals are awarded to States that are willing and able to conduct required survey activities in compliance with statutory mandate.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are generally funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds.

Method of awarding/releasing assistance: lump sum.

**Reports:**

Program reports are required. Cash reports are required. Progress reports are required. Expenditure reports are required. States operate under 1864 Agreement (Title XVIII). Quarterly expenditure reports are required 30 days after the close of each quarter and monitoring is carried out by the Department of Health and Human Services. Performance monitoring is required. Comprehensive final reports are due no later than 90 days after termination projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. DHHS Office of Inspector General staff or designated representatives make periodic audits of State survey agencies. In addition, under the Single State Audit Act, States may elect to conduct their own nonpartisan audits and certify the results to the Secretary of Health and Human Services.

**Records:**

States must maintain surveyor time records, line item and expenditure documentation, which substantiate the costs relating to survey activities.

**Account Identification:**

75-0511-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$362,000,000; FY 12 est \$375,203,394; and FY 13 est \$387,353,000

**Range and Average of Financial Assistance:**

(State distributed Title XVIII funds) FY10 range is from \$526,987 to \$37,734,359 and an average of \$5,962,506; FY11 range is from \$573,885 to \$39,537,895 and an average of \$6,072,034; FY12 range is from \$583,136 to \$41,822,057 and an average of \$6,464,700.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title XVIII, Social Security Act as amended Sections 1863, 1864 and 1865.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Administrator for Centers for Medicare and Medicaid Services. (See Appendix IV of the Catalog for listing of Regional Offices).

**Headquarters Office:**

Thomas Hamilton, 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: thomas.hamilton@cms.hhs.gov Phone: (410) 786-9493.

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selecting criteria for Federal funding of State certification proposals are available to State survey agencies upon request.

**93.778 MEDICAL ASSISTANCE PROGRAM**

(Medicaid; Title XIX)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XIX, as amended; Public Laws 89-97, 90-248, and 91-56; 42 U.S.C. 1396 et seq., as amended; Public Law 92-223; Public Law 92-603; Public Law 93-66; Public Law 93-233; Public Law 96-499; Public Law 97-35; Public Law 97-248; Public Law 98-369; Public Law 99-272; Public Law 99-509; Public Law 100-93; Public Law 100-202; Public Law 100-203; Public Law 100-360; Public Law 100-436; Public Law 100-485; Public Law 100-647; Public Law 101-166; Public Law 101-234; Public Law 101-239; Public Law 101-508; Public Law 101-517; Public Law 102-234; Public Law 102-170; Public Law 102-394; Public Law 103-66; Public Law 103-112; Public Law 103-333; Public Law 104-91; Public Law 104-191; Public Law 104-193; Public Law 104-208, 104-134; Balanced Budget Act of 1997, Public Law 105-33; Public Law 106-113; Public Law 106-554; Public Law 108-27; Public Law 108-173; Public Law 109-91; Public Law 109-171; Public Law 109-432; Public Law 110-28; Public Law 110-161; Public Law 111-3; Public Law 111-5; Public Law 111-8; Public Law 111-31; Public Law 111-68; Public Law 111-88; Public Law 111-117; Public Law 111-118; Public Law 111-148; Public Law 111-150; Public Law 111-150; Public Law 111-152; Public Law 111-309, Public Law 112-10, Public Law 112-33, Public Law 112-36, Public Law 112-55, Public Law 112-74.

**OBJECTIVES:**

To provide financial assistance to States for payments of medical assistance on behalf of cash assistance recipients, children, pregnant women, and the aged who meet income and resource requirements, and other categorically-eligible groups. In certain States that elect to provide such coverage, medically-needy persons, who, except for income and resources, would be eligible for cash assistance, may be eligible for medical assistance payments under this program. Financial assistance is provided to States to pay for Medicare premiums, copayments and deductibles of qualified Medicare beneficiaries meeting certain income requirements. More limited financial assistance is available for certain Medicare beneficiaries with higher incomes.

**TYPES OF ASSISTANCE:****FORMULA GRANTS****USES AND USE RESTRICTIONS:**

For the categorically needy, States must provide in and out-patient hospital services; rural health clinic services; federally-qualified health center services; other laboratory and x-ray services; nursing facility services, home health services for persons over age 21; family planning services; physicians' services; early and periodic screening, diagnosis, and treatment for individuals under age 21; pediatric or family nurse practitioner services; and services furnished by a nurse-midwife as licensed by the States. For the medically needy, States are required to provide a minimum mix of services for which Federal financial participation is available (see section 1902(a)(10)(C)(iv) of the Social Security Act).

**Applicant Eligibility:**

State and local welfare agencies must operate under an HHS-approved Medicaid State Plan and comply with all Federal regulations governing aid and medical assistance to the needy.

**Beneficiary Eligibility:**

Low-income persons who are over age 65, blind or disabled, members of families with dependent children, low-income children and pregnant women, certain Medicare beneficiaries and, in many States, medically-needy individuals may apply to a State or local welfare agency for medical assistance. Eligibility is determined by the State in accordance with Federal regulations.

**Credentials/Documentation:**

Federal funds must go to a designated State Medicaid Agency. Individuals must meet State requirements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Individuals needing medical assistance should apply directly to the State or local welfare agency. States

should contact the Regional Administrator, CMS for application forms. (See Appendix IV of the Catalog for agency Regional Office addresses.)

**Award Procedure:**

States are awarded funds quarterly based on their estimates of funds needed to provide medical assistance to the needy. Awards are made quarterly on a fiscal year basis as follows: October 1, January 1, April 1, and July 1. Individuals receive medical care from providers of medical care who are participating in the Medicaid program.

**Deadlines:**

Aug 08, 2012 An individual needing medical assistance may apply to the State at any time. States must submit quarterly estimates of funds needed no later than August 8, November 15, February 15, and May 15, in order to receive a timely quarterly grant award for the following quarter.

**Range of Approval/Disapproval Time:**

Up to 60 days. The States usually provide needy individuals with immediate medical assistance.

**Appeals:**

Individuals denied medical assistance by the State or local welfare agency must be given a fair hearing on appeal (see 42 CFR, Subchapter C, Part 431, Subpart E). States have 60 days to resubmit revised applications.

**Renewals:**

Recipients receive assistance as long as they are qualified under State requirements.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Federal funds are available to match State expenditures for medical care. Under the Act, the Federal share for medical services may range from 50 percent to 83 percent. The statistical factors used for fund allocation are: (1) Medical assistance expenditures by State; and (2) per capita income by State based on a 3-year average (source, "Personal Income," Department of Commerce, Bureau of Economic Analysis). Statistical factors for eligibility do not apply to this program. This program has maintenance of effort (MOE) requirements, see funding agency for further details.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The needy receive medical assistance as necessary. States receive funds quarterly. The Electronic Transfer System will be used by States for monthly cash draws on the Federal Reserve Bank. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. States must submit fiscal and statistical reports, as required, to the Centers for Medicare and Medicaid Services, Department of Health and Human Services. A Treasury Report TUS-5401 is required monthly. States must submit certified expenditure reports within 30 days after the end of each quarter. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

States must maintain records which substantiate direct and indirect costs charged to the grant award activity.

**Account Identification:**

75-0512-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$295,836,044,000; FY 12 est \$265,572,864; and FY 13 est \$277,534,096

**Range and Average of Financial Assistance:**

\$17,101,000 TO \$31,239,419,000. Average assistance is \$5,073,654,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR, Subchapter C.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Associate Regional Administrator, Division of Medicaid, Center for Medicaid, CHIP and Survey & Certification. (See Appendix IV of the Catalog for addresses and telephone numbers.)

**Headquarters Office:**

Division of Medicaid, 7500 Security Boulevard, Baltimore, Maryland 21244  
Phone: (410) 786-3870.

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

64.012 Veterans Prescription Service; 64.013 Veterans Prosthetic Appliances; 93.110 Maternal and Child Health Federal Consolidated Programs; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.560 Family Support Payments to States\_Assistance Payments; 93.767 State Children's Insurance Program; 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.775 State Medicaid Fraud Control Units; 93.777 State Survey and Certification of Health Care Providers and Suppliers; 96.006 Supplemental Security Income

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.779 CENTERS FOR MEDICARE AND MEDICAID SERVICES (CMS) RESEARCH, DEMONSTRATIONS AND EVALUATIONS**

(CMS Research)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title XI, Sections 1110 and 1115; 42 U.S.C. 1310 and 1315(a); Title XVIII, Section 1875; 42 U.S.C. 1395 and 42 U.S.C. 1881 (f); Section 402, Public Law 90-248, as amended; Section 222, Public Law 92-603.

**OBJECTIVES:**

The Centers for Medicare & Medicaid Services (CMS) conducts research, demonstrations, and evaluations in support of CMS' key role as a beneficiary-centered purchaser of high-quality health care at a reasonable cost. These grants are awarded in the form of research grants and cooperative agreements; Hispanic health services grants; historically black colleges and university grants. For fiscal years 2010 and 2011, CMS research, demonstrations and evaluations will focus on expanding agency efforts to improve the efficiency of payment, delivery, access and quality of our health care programs that serve millions of beneficiaries.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Under all authorizations, all applications must meet standards of excellence in research or evaluation design. Funds may not be used for construction or renovation of buildings. Funds authorized by Section 1115 of the Social Security Act are limited to State agencies administering the Medicaid program.

The research issues and/or hypotheses identified by a project should be clearly stated and realistic and should reflect the issues of interest to CMS and, where appropriate, HHS, Federal Government, and the broader health services

research community.

The research design should clearly identify the measures that will be collected and analyzed to address the issues and/or hypotheses. These proposed measures should reflect concepts and variables that are consistent with the stated issues and hypotheses.

The research design should also address the reliability of measures i.e., a measurement should not change when the concept being measured remains constant in value. A common reliability concern is the level of inter-rater reliability of an instrument, determined by the extent to which two or more persons measuring the same characteristic would assign the same score.

The research design should address the validity of proposed measures i.e., the extent to which differences in scores on variable or the measuring instrument represent true differences in the characteristic we are trying to measure, rather than constant or random errors or the influence of other factors.

**Applicant Eligibility:**

Grants or cooperative agreements may be made to private, or public agencies or organizations, including State agencies that administer the Medicaid program. Private profit organizations may apply.

**Beneficiary Eligibility:**

All Medicare and Medicaid beneficiaries are eligible.

**Credentials/Documentation:**

Applicants should present written evidence of other agencies' willingness to cooperate when the project involves collaborative efforts or the utilization of non-CMS facilities or services. Costs will be determined in accordance with OMB Circular No. A-102 for State and local governments. The standard forms, as furnished by DHHS and required by OMB Circular No. A-102, must be used. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

CMS research and demonstration projects are solicited by publication in grants.gov as well. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application forms are submitted to the Acquisition and Grants Group, CMS, 2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. A letter of intent to file an application is necessary 30 days prior to the closing date of each solicitation cycle.

**Award Procedure:**

Official notice of approved applications is made through issuance of a Notice of Cooperative Agreement or Grant Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Range from 150 to 180 days.

**Appeals:**

No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. Applicants are free to resubmit applications with attention to the changes suggested by the reasons for disapproval. In the case of solicited proposals, extensions may be allowed to prepare revisions which clarify various aspects of projects.

**Renewals:**

Extensions and continuations of projects are available if formally applied for and approved. If a grant/cooperative agreement application is recommended for approval for 2 or more years, the awardee must annually submit a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Awardees are required to share in

the cost of projects. Normally, the minimum cost-sharing requirement is 5 percent of total project costs. This program has no statutory formula, except in Section 1115 projects, where the statutory formula is the same as that established for the Medicaid Program, both administrative and operational.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants/cooperative agreements are generally funded on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds. Method of awarding/releasing assistance: lump sum.

**Reports:**

Reports of progress and expenditures are required on all projects. Comprehensive final reports are due no later than 90 days after termination of projects. Cash reports are not applicable. Reports of progress are required on all projects. Reports on expenditures are required on all projects. Reports on performance is required on all projects.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0511-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$35,428,800; FY 12 est \$21,160,000; and FY 13 est \$24,567,000

**Range and Average of Financial Assistance:**

Not determined at this time.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 36 contracts/cooperative agreements and 12 grants. Fiscal Year 2012: Estimated 22 contracts/cooperative agreements and 16 grants. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) and application kits may be obtained from the Office of Acquisition and Grants Management, Centers for Medicare and Medicaid Services, Room C2-21-15, Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850.

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See Appendix IV for Regional Offices.).

**Headquarters Office:**

Office of Research, 7500 Security Boulevard, Baltimore, Maryland 21244  
Email: research@cms.hhs.gov Phone: (1-800) 633-4277.

**Website Address:**

<http://www.cms.hhs.gov/contracts/>.

**RELATED PROGRAMS:**

93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The review process for grants/cooperative agreements consists of initially screening applications for completeness and relevancy to CMS priority areas. If the application is not relevant to CMS priority areas, it will be returned to the applicant. If accepted as submitted it will be reviewed and evaluated. The review will be conducted by a panel of not less than three experts. CMS Project Officer will coordinate the panel's review, but will not vote. This individual will also prepare the panel's recommendation to the Director, Office of Research, Development, and Information (ORDI). The panel's recommendations will contain numerical ratings, rankings of applications, and a written assessment of each application. The recommendations will be based on published criteria as stated in the Federal Register. The review process for applications is also stated in the Federal Register Announcement.

**93.780 GRANTS TO STATES FOR OPERATION OF QUALIFIED HIGH-RISK POOLS**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Trade Act of 2002; Public Law 107-210; Deficit Reduction Act of 2005; Public Law 109-171; Public Law 109-172., Executive Order State High Risk Pool Funding Extension Act of 2006, Public Law 109-171.

**OBJECTIVES:**

To assist States in the operation of a qualified high-risk health insurance pool by providing Federal funding (for up to appropriate funding levels) of losses incurred by the pool for a given State fiscal year.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

A State must have a qualified high-risk pool (as defined in section 2744(c)(2) of the Public Health Service Act) that has incurred a loss in order to be eligible for a grant.

**Applicant Eligibility:**

A State must meet all of the following requirements to be eligible for a grant: 1) the State is operating a qualified high-risk pool as defined in section 2744(c)(2) of the Public Health Service Act; 2) the pool restricts premium charged under the pool to no more than 200 percent for applicable standard risk rates for the State; 3) the pool offers a choice of two or more coverage options through the pool; 4) the pool has in effect a mechanism reasonably designed to ensure continued funding of losses incurred by the State; and 5) the FY 2012 amount of \$44 million will be awarded to the 31 federally qualified States currently receiving a HRP Grant award as a supplemental (extension) award to their 2008 Operational Losses.

**Beneficiary Eligibility:**

State Agency.

**Credentials/Documentation:**

Federal funds must go to a designated State Agency or its partner agencies. Individuals must meet State requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. The standard application form SF-424 and related forms, as furnished by CMS, must be used for this program. These forms may be downloaded from the following Web site, [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp). In addition to the standard forms some additional information regarding the history and description of the qualified high-risk pool, accounting of risk pool losses, and contact person information is also required. Please refer to the following Web site for additional information: [www.cms.hhs.gov/HighriskPools](http://www.cms.hhs.gov/HighriskPools). Applicants are required to submit an original and two copies of the application to the

Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. Facsimile (fax) transmissions will not be accepted.

**Award Procedure:**

The Centers for Medicare and Medicaid Services (CMS) will make a decision for each application received. Each applicant will receive written notification of CMS's decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

60 to 120 days.

**Appeals:**

If an application is disapproved, the reasons for disapproval will be fully stated.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Under the original legislation, a total of \$80,000,000 has been made available for the qualified high-risk pool operation grant program. \$40,000,000 was made available for obligation from FY 2003-FY 2004 and another \$40,000,000 was made available for obligation from FY 2004-FY 2005. Under the provisions of section 6202 of the Deficit reduction Act, \$75,000,000 was made available in FY 2006 for this activity. The Consolidated Appropriations Act of 2008 made available \$49,126,500. The Omnibus Appropriations Act of 2009 made available \$75,000,000. The Consolidated Appropriations Act of 2010 made available \$55,000,000. Sections 1119 and 1818 of the Full-Year Continuing Appropriations Act, 2011 authorized \$54,890,000. The Consolidated Appropriations Act of 2012 made available \$44,000,000. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Grant awardees may be required to submit quarterly progress and financial reports to CMS. At a maximum, a grantee would have to complete 8 reports per year if requested. It is anticipated that grantees may only need to file semi-annually, thus 4 reports per year. Refer to 45 CFR part 92. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. All fiscal transactions identifiable to Federal financial assistance are subject to audit by DHHS audit agency.

**Records:**

Proper accounting records, identifiable by project number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

**Account Identification:**

75-0511-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$54,890,000; FY 12 est \$44,000,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants Administration policies (45 CFR 74 and 92) application kits may be obtained from the Acquisition and Grants Group, CMS, Mailstop C2-21-15, 7500 Security Boulevard, Baltimore, MD 21244-1850. The grant application kit may be downloaded from the following web site, [www.cms.hhs.gov/researchers/priorities/grants.asp](http://www.cms.hhs.gov/researchers/priorities/grants.asp).

**Regional or Local Office:**

See Regional Agency Offices. Contact the appropriate CMS Regional Administrator. (See appendix IV for Regional Offices).

**Headquarters Office:**

Kevin Simpson 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Kevin.Simpson@cms.hhs.gov](mailto:Kevin.Simpson@cms.hhs.gov) Phone: (410) 786-0017

**Website Address:**

<http://www.cms.hhs.gov/HighRiskPools/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed to ensure it meets the eligibility criteria (as stated above). If eligible, the State will be awarded the lesser 50 percent of losses incurred by its qualified risk pool for the fiscal year in question or its allotment under the formula for the grants.

**93.784 FEDERAL REIMBURSEMENT OF EMERGENCY HEALTH SERVICES FURNISHED TO UNDOCUMENTED ALIENS**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law 108-73, Section 1011; Medicare Modernization Act (MMA).

**OBJECTIVES:**

To reimburse eligible providers for their otherwise un-reimbursed costs associated with furnishing emergency health services to undocumented and certain other aliens.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Sections 1866(a)(1)(I), 1866 (a)(1)(N), and 1867 of the Social Security Act (the Act) impose specific obligations on Medicare-participating hospitals that offer emergency services. These obligations concern individuals who come to a hospital emergency department and request examination or treatment for medical conditions, and apply to all of these individuals, regardless of whether or not they are beneficiaries of any program under the Act. Section 1867 of the Act sets forth requirements for medical screening examinations of medical conditions, as well as necessary stabilizing treatment or appropriate transfer. In addition, section 1867(h) of the Act specifically prohibits a delay in providing required screening or stabilization services in order to inquire about the individual's payment method or insurance status.

**Applicant Eligibility:**

From the allotments made for a State, the Secretary of Health and Human Services shall pay an amount (subject to the total amount available from such allotments) directly to eligible providers located in the State where emergency services were incurred to the extent that the eligible provider was not otherwise reimbursed. An eligible provider defined under the statute is a hospital, physician, or provider of ambulance services including an Indian Health Service (IHS) facility whether operated by the IHS or by an Indian tribal or tribal organization).

**Beneficiary Eligibility:**

The amounts of money set aside for each State will be paid directly to hospitals, certain physicians, and ambulance providers for the costs of providing emergency health care required under EMTALA and related hospital inpatient, outpatient, and ambulance services (including those operated by the Indian Health Service and Indian tribes and Tribal organizations) furnished to undocumented aliens, aliens paroled into the United States at a United States port of entry for the purposes of receiving such services, and Mexican citizens permitted temporary entry to the United States with a laser visa.

**Credentials/Documentation:**

Final policy guidance was released on May 9, 2005 regarding the implementation of section 1011 of the MMA. This notice establishes the general framework and procedural rules for submitting an enrollment application and payment requests, establishes general statements of policy, and provides CMS' interpretation of section 1011. It is posted in the "downloads" section of the following web address:

[http://www.cms.hhs.gov/UndocAliens/02\\_policy.asp#TopOfPage](http://www.cms.hhs.gov/UndocAliens/02_policy.asp#TopOfPage). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Not applicable

**Award Procedure:**

Not applicable.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

This project is authorized beginning in FY 2005 until all appropriated funds have been exhausted. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. The Centers for Medicare & Medicaid Services (CMS) has designated Highmark Medicare Services as the national contractor for Section 1011 and Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens.

Highmark Medicare Services will enroll eligible providers, assist providers with enrollment and billing questions, calculate provider payment amounts, and serve as the compliance contractor.

Highmark Medicare Services will send CMS periodic reports on the payments and they can also found be on their website at [www.highmarkmedicare.com/section1011/index.html](http://www.highmarkmedicare.com/section1011/index.html). Periodic reports are due to CMS in accordance with the timeframes established by CMS. No performance monitoring is required.

**Audits:**

No audits are required for this program.

**Records:**

Financial records, supporting documents, statistical records, and all other

records pertinent to the project shall be retained for a period consistent with the information contained in the final payment methodology.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$93,456,323; FY 12 est \$21,497,801; and FY 13 est \$17,783,380

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This information can be found in the Final Policy Notice at the following link:

[www.cms.gov/UndocAliens.02\\_policy.asp](http://www.cms.gov/UndocAliens.02_policy.asp)

**Regional or Local Office:**

None.

**Headquarters Office:**

Lorraine Zicha, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Lorraine.Zicha@cms.hhs.gov](mailto:Lorraine.Zicha@cms.hhs.gov) Phone: (410) 786-0048.

**Website Address:**

None.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.789 ALTERNATIVES TO PSYCHIATRIC RESIDENTIAL TREATMENT FACILITIES FOR CHILDREN**

(Demonstration Projects Regarding Home and Community-Based Alternatives to Psychiatric Residential Treatment Facilities for Children)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 6063, Deficit Reduction Act of 2005, Public Law 109-171.

**OBJECTIVES:**

Over the last decade, Psychiatric Residential Treatment Facilities (PRTFs) have become the primary provider for youth with serious emotional disturbances requiring an institutional level of care. However, since they are not recognized as hospitals, nursing facilities or intermediate care facilities for the mentally retarded, many States have been unable to use the 1915(c) waiver authority to provide home and community-based alternatives to care, which would keep the youth in their homes and with their families. Section 6063 of the Deficit Reduction Act of 2005 addresses this issue by providing up to \$218 million to up to 10 States to develop demonstration programs that provide home and community-based services to youth as alternatives to PRTFs. CMS anticipates awarding each successful applicant between \$5 and \$60 million. The PRTF Demonstration is authorized for up to 5 years. Payments may not be made to States after fiscal year 2011. CMS will review and approve each State's Implementation Plan prior to allowing States to access funds for Federal reimbursement of services under this grant. Section 6063 also provides \$1 million for a National Demonstration Evaluation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Budget Neutrality: In conducting these demonstration projects, The Secretary of Health and Human Services shall ensure that the aggregate payments made

by the Secretary under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.) do not exceed the amount which the Secretary estimates would have been paid under the title, if the demonstration projects under Section 6063 had not been implemented. Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant. Indirect Costs: The provisions of the OMB Circular A-87 govern reimbursement of indirect costs under this solicitation. A copy of OMB Circular A-87 is available online at: <http://www.whitehouse.gov/omb/circulars/a087/a087.html>.

**Applicant Eligibility:**

Any single State Medicaid Agency, State Mental Health Agency, or instrumentality of the State may apply for this Demonstration Grant. Only one application can be submitted for a given State. By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments." By "territory or possession" we mean Guam, the U.S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

**Beneficiary Eligibility:**

The level of care for Medicaid eligible individuals for this demonstration at a minimum must be under the age of 21 and require the need for a PRTF as defined in the State's Medicaid State Plan. For the purposes of this demonstration, youth are defined as "any child, adolescent or young adult under the age of 21". States shall ensure that each participant under the demonstration meets this level of care criterion to participate in the demonstration. Further, States may elect to add additional criteria to carve out or target a specific sub-population to receive home and community-based services under this demonstration. As a part of the application process, States shall submit a copy of the level of care assessment used to assess eligibility for participation in this demonstration. PRTFs are defined as any non-hospital facility with a provider agreement with a State Medicaid Agency to provide the inpatient services benefit to Medicaid-eligible individuals under the age of 21 (CFR 42 441.150 - 441.182). The facility must be accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or any other accrediting organization with comparable standards recognized by the State. Additionally PRTFs must comply with Conditions of Participation on the use of restraint and seclusion (CFR 483.350 - 483.376).

**Credentials/Documentation:**

Each application for this Demonstration Grant must include a letter of endorsement from the Director of the Mental Health Authority and the State Medicaid Director, if the applicant is not the single State Medicaid Agency/State Agency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit their applications electronically through <http://www.grants.gov>. Please note when submitting your application electronically, you are required, additionally, to mail a signed SF 424 to Nicole Nicholson, Centers for Medicare & Medicaid Services, Office of Operations Management, Acquisition and Grants Group, C2-21-15 Central Building, 7500 Security Boulevard, Baltimore, MD 21244-1850. The mailed SF 424 form may be received at the Centers for Medicare & Medicaid Services within 2 business days of the application closing date.

**Award Procedure:**

How the Merit of Applications Will Be Determined: CMS will employ a multiphase review process to determine the applications that will be reviewed and the merit of the applications that are reviewed. The multiphase review process includes the following: "Applications will be screened by Federal staff to determine eligibility for further review using the criteria detailed in the

"Eligibility Information" section of the solicitation. Applications that are received late or fail to meet the eligibility requirements as detailed in the "Applicant Eligibility" section of this solicitation will not be reviewed." Applications will be objectively reviewed by a panel of experts, the exact number and composition of which will be determined by CMS at its discretion, but may include private sector subject matter experts, beneficiaries of Medicaid supports, and Federal and Applicant policy staff. The review panels will utilize the objective criteria described in the "Application Review Criteria Information" section of the solicitation to establish an overall numeric score for each application. The results of the objective review of applications will be used to advise the approving CMS official. Additionally, CMS staff will make final recommendations to the approving official after ranking applications using the scores and comments from the review panel and weighing other factors as described below. Factors Other than Merit that May be Used in Selecting Applications for Award: CMS may assure reasonable balance among the grants to be awarded in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of the solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Successful applicants will receive a Financial Assistance Award (FAA) signed and dated by the CMS Grants Management Officer. The FAA is the document authorizing the grant award and will be sent through the U.S. Postal Service to the applicant organization as listed on its SF 424. Any communication between CMS and applicants prior to issuance of the FAA is not an authorization to begin performance of a project.

**Appeals:**

Appeals are governed by Title 45--Public Welfare, SUBTITLE A--DEPARTMENT OF HEALTH AND HUMAN SERVICES PART 16--PROCEDURES OF THE DEPARTMENTAL GRANT APPEALS BOARD.

**Renewals:**

Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant. Funding for years 2008 - 2011 will be awarded on a Continuation Grant to each State based on their approved Financial Neutrality Formula and updated Implementation Plan. Any funding allocated for the Federal match for home and community-based services provided under the demonstration that remains unspent will be carried over to the next year of the Grant.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The demonstration period is five years. Budget Period: The budget period is from FY 2007 through FY 2011. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Financial Status Report, form (SF-269), will be required to be submitted semi-annually. This financial status report will account for all uses of grant monies during each reporting period. During the pre-implementation period, CMS will work with the grantees to determine if additional reporting requirements imposed. At the end of each demonstration grant year, States will be required to produce documentation that they have not exceeded the determined budget ceiling and meet all CMS financial requirements. The format of this financial report will be determined during the IP phase of the Demonstration Semi-Annual Progress Reports: Web-based reports in a pre-determined format will be required to be submitted semi-annually. The

submission of the finalized IP will be due no later than 9 months after receipt of the Notice of Financial Assistance Award. The IP will be considered the First report due under this demonstration. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Required to follow 45 CFR 74.53.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$148,064,895; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Floor: \$21 million; Ceiling \$21 million for FY 07; \$37 million for FY 08.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(CFR 42, 441.150 - 441.182) PRTFs are defined as any non-hospital facility with a provider agreement with a State Medicaid Agency to provide the inpatient services benefit to Medicaid-eligible individuals under the age of 21. The facility must be accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or any other accrediting organization with comparable standards recognized by the State. (CFR 483.350 - 483.376) Conditions of Participation on the use of restraint and seclusion). Under this demonstration States are granted the same waiver provisions provided to States who operate a section 1915 (c) waiver program. The three waiver provisions of Title XIX of the Social Security Act (the Act) are as follows: 1902 (a)(10)(B) (Comparability) The waiver of this provision of the Act permits a State to limit the provision of waiver services to Medicaid beneficiaries who require the level of care in an institutional setting, are in the target group(s) specified in the waiver, and offer services to waiver participants that are not provided to other Medicaid beneficiaries. 1902(a) (1) (State- wideness). The Secretary may grant a waiver of this provision of the Act in order to permit a State to limit the operation of a waiver to specified geographic areas of the State; and 1902(a) (10) (C) (i) (III) (Income and Resources for the Medically Needy). A State may request a waiver of this provision in order to apply institutional income and resources rules for the medically needy to persons in the community who otherwise qualify for waiver services. Additionally, States program design under this demonstration shall comply with existing Medicaid statutory and regulatory requirements governing the administration and operation of a section 1915 (c) waiver program, especially the six statutory assurances that are located in 42 CFR 441.302. HCBS waiver application for more detailed guidance on this subject found at:

[http://www.cms.hhs.gov/HCBS/02\\_QualityToolkit.asp#TopOfPage](http://www.cms.hhs.gov/HCBS/02_QualityToolkit.asp#TopOfPage). By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. By "territory or possession" we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. CMS will reimburse States for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP). (See Attachment 6 in the solicitation materials, for a list of home and community-based service categories). Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. A complete electronic application package, including all required forms, for this demonstration grant is available at [https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html) Standard application forms and related instructions are available online at <http://gsa.gov/forms>. Standard forms

are available as detailed in, Section V.A, Address to Request Application Package. The following standard forms must be completed with an original signature and enclosed as part of the proposal: SF 424: Official Application for Federal Assistance (see Note below\*) SF 424A: Budget Information SF 424B: Assurances Non-Construction Programs SF LLL: Disclosure of Lobbying Activities PHS-5161-1 (7/00) Additional Certifications - can be found at the following website:

[http://apply.grants.gov/forms/sample/SSA\\_additionalassurances\\_VI.0.pdf](http://apply.grants.gov/forms/sample/SSA_additionalassurances_VI.0.pdf)  
Usual Requirements that must be adhered to by law and regulation: A. Specific administrative and policy requirements of grantees as outlined in 45 CFR 74 and 45 CFR 92, apply to this grant opportunity.B. All grantees receiving awards under these grant programs must meet the requirements of: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, The Age Discrimination Act of 1975, Hill-Burton Community Service nondiscrimination provisions, and Title II Subtitle A of the Americans with Disabilities Act of 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ronald Hendler, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Ronald.Hendler1@cms.hhs.gov](mailto:Ronald.Hendler1@cms.hhs.gov) Phone: (410) 786-2267.

**Website Address:**

<http://www.cms.hhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Application submission will include a systems assessment, demonstration design and Financial Neutrality Form, following the application instructions in Section IV of the solicitation. Through a competitive process, 10 applications will receive awards. The 10 States receiving awards will be required to submit an Implementation Plan. States receiving an award under this solicitation will have nine months to complete the Implementation Plan for Centers for Medicare & Medicaid Services (CMS) review and approval. CMS will employ a multiphase review process to determine the applications that will be reviewed and the merit of the applications that are reviewed. The multiphase review process includes the following: Applications will be screened by Federal staff to determine eligibility for further review using the criteria detailed in the Eligibility Information section of this solicitation. Applications that are received late or fail to meet the eligibility requirements as detailed in the Applicant Eligibility section of this solicitation will not be reviewed. Applications will be objectively reviewed by a panel of experts, the exact number and composition of which will be determined by CMS at its discretion, but may include private sector subject matter experts, beneficiaries of Medicaid supports, and Federal and Applicant policy staff. The review panels will utilize the objective criteria described in the Application Review Criteria Information section of this solicitation to establish an overall numeric score for each application. The results of the objective review of applications will be used to advise the approving CMS official. Additionally, CMS staff will make final recommendations to the approving official after ranking applications using the scores and comments from the review panel and weighing other factors as described below. Factors Other than Merit that May be Used in Selecting Applications for Award: CMS may assure reasonable balance among the grants to be awarded in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the Award Information section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

**93.790 ALTERNATE NON-EMERGENCY SERVICE PROVIDERS OR NETWORKS**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human



Services

**AUTHORIZATION:**

Section 6043, Emergency Room Co-payments for Non-Emergency Care, Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006.

**OBJECTIVES:**

To provide Federal payments to States for the establishment of alternate non-emergency service providers, or networks of such providers to provide non-emergency care.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds from this program may be used for the establishment of alternate non-emergency service providers, or networks of such providers to provide non-emergency care. States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

**Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Beneficiary Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Credentials/Documentation:**

Federal funds will be directed to the State Medicaid Agency with the grant award amount identified in the award approval letter. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A State may submit only one application. Applications must be submitted electronically to CMS via E-mail: [Matransgrant@cms.hhs.gov](mailto:Matransgrant@cms.hhs.gov).

**Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS' decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project Period: Under this legislation, a total of \$50,000,000 over 4 years (FY 2006-2009) has been made available for the establishment of alternate non-emergency service providers or networks of such providers to provide non-emergency care. CMS will have two separate competitive grant solicitations as follows: 1st FFY 2006 and 2007; 2nd FFY 2008 and 2009. Budget Period: FY 2006, 2007, 2008, and 2009. Method of awarding/releasing assistance: lump sum.

**Reports:**

States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award. States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award. States will be required to submit quarterly reports to CMS related to program status and financial reports as identified in the terms and conditions post award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents and progress/annual reports and all other records pertinent to this program shall be retained three years.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Grant funds will be allocated based on the number of States that apply and meet grant criteria.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS will provide application guidance in the form of a State Medicaid Director letter. The letter may be located at [www.cms.hhs.gov/GrantsAlternaNonEmergServ/](http://www.cms.hhs.gov/GrantsAlternaNonEmergServ/).

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Dailey, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [Barbara.Dailey@cms.hhs.gov](mailto:Barbara.Dailey@cms.hhs.gov) Phone: (410) 786-9012.

**Website Address:**

[www.cms.hhs.gov/GrantsAlternaNonEmergServ/](http://www.cms.hhs.gov/GrantsAlternaNonEmergServ/).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by a team of CMS staff. The applicant selection criteria will consist of the following but will not be limited to only these factors: the project abstract, project narrative and budget.

**93.791 MONEY FOLLOWS THE PERSON REBALANCING DEMONSTRATION**

(Money Follows the Person Demonstration)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Section 6071, Deficit Reduction Act of 2005, Public Law 109-171; Section 2403, Affordable Care Act, Public Law 111-148.

**OBJECTIVES:**

The Money Follows the Person (MFP) Rebalancing Demonstration, authorized by section 6071 of the Deficit Reduction Act of 2005 (P.L. 109-171), was designed to assist States to balance their long-term care systems and help

Medicaid enrollees transition from institutions to the community. Congress initially authorized up to \$1.75 billion in Federal funds through Fiscal Year (FFY) 2011. With the subsequent passage of the Patient Protection and Affordable Care Act (P.L. 111-148) in 2010, Section 2403 extended the program through September 30, 2016. An additional \$2.25 billion in Federal funds was appropriated through FFY 2016. The MFP Demonstration supports State efforts to rebalance their long-term support system so that individuals have a choice of where they live and receive services. Transition individuals from institutions who want to live in the community. Promote a strategic approach to implement a system that provides person centered services and a quality management strategy that ensures the provision of, and improvement of such services in both home and community-based settings and institutions. The demonstration provides for enhanced Federal Medical Assistance Percentage (FMAP) for 12 months for qualified home and community-based services for each person transitioned from an institution to the community during the demonstration period. Eligibility for transition is dependent upon residence in a qualified institution for more than 90 consecutive days. However, days that an individual was residing in the institution for the sole purpose of receiving short-term rehabilitation services that are reimbursed under Medicare are excluded and will not be counted toward the 90-day requirement. The State must continue to provide community-based services after the 12-month period for as long as the person needs community services and is Medicaid eligible. Demonstration grants will be awarded to States through March 31, 2016. CMS will accept one proposal from each State interested in participating in the demonstration program. The State Medicaid Agency must be the lead applicant. States must propose a demonstration period of no less than two consecutive fiscal years but no greater than five years. The State will indicate in its application the targeted group(s) and number of individuals it intends to transition during the demonstration period. The number of demonstration projects approved by CMS depends largely on the scope (i.e., proposed enrollment and breadth of services) and quality of the proposed projects. Under the demonstration, the State must propose a system of Medicaid home and community-based care that will be sustained after the demonstration period and is deemed qualified by the Secretary. Specifically, the program must be conducted in conjunction with a "qualified HCBS program" which is a program that is in operation (or approved) in the State for such individuals in a manner that assures continuity of Medicaid coverage of services in the qualified HCBS program for eligible individuals. States may also propose to enhance the services they will provide during the demonstration period to achieve greater success with transition. States will be required to participate in a national qualitative and quantitative evaluation conducted by CMS. Data collected on a national level will help evaluate the core objectives of the statute.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Indirect Costs: The provisions of the 2 CFR 225 (formerly OMB Circular A-87) govern reimbursement of indirect costs under this solicitation. A copy of OMB Cost Principles for State, Local, and Indian Tribal Governments is available online at [http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\\_a87.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a87.pdf).

#### **Applicant Eligibility:**

Applicants for this Demonstration Grant must be any single State Medicaid Agency, State Mental Health Agency, or instrumentality of the State. Only one application can be submitted for a given State. By "State" we refer to the definition provided under 45 CFR 74.2 as "any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments." By "territory or possession", we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands.

#### **Beneficiary Eligibility:**

As defined in Section 6071(b)(2) of the DRA and amended by Section 2403 of the Affordable Care Act, the term eligible individual means an individual in the State who, immediately before beginning participation in the MFP demonstration project: (i) resides (and has resided, for a period of not less than 90 consecutive days in an inpatient facility; (ii) is receiving Medicaid benefits

for inpatient services furnished by such inpatient facility; and (iii) with respect to whom a determination has been made that, but for the provision of home and community-based long-term care services, the individual would continue to require the level of care provided in an inpatient facility and, in any case in which the State applies a more stringent level of care standard as a result of implementing the State plan option permitted under section 1915 (i) of the Social Security Act, the individual must continue to require at least the level of care which had resulted in admission to the institution.

#### **Credentials/Documentation:**

Applications can only be submitted by the single State Medicaid agency. A cover letter must accompany the application. The cover letter must be signed by the State Medicaid Director, and must indicate the title of the project, the principal contact person, the amount of funding requested, and the names of the major partners actively collaborating in the project. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must submit their applications electronically through <http://www.grants.gov>.

#### **Award Procedure:**

An independent review of all applications will be conducted by a panel of experts including members of the disability community, advocates, providers and staff from State and Federal agencies including CMS. The review panel will assess each application to determine the merits of the proposal and the extent to which it furthers the purposes of the demonstration program. The panel will evaluate each application for further review by CMS. CMS reserves the right to request that States revise or otherwise modify certain sections of their proposals based on the recommendations of the panel and the budget. A low score in one or two areas, even if offset by high scores in other areas, may result in a rejection of the proposal. Final approval of demonstration projects will be made by the Administrator of CMS after consideration of the comments and recommendations of the review panelists, program office recommendations, and the availability of funds. CMS reserves the right to approve or deny any or all proposals for funding. CMS seeks to achieve reasonable balance among the grants to be awarded in a particular category in terms of key factors such as geographic distribution and broad target group representation. CMS may redistribute grant funds (as detailed in the "Award Information" section of this solicitation) based upon the number and quality of applications received. (e.g., to adjust the minimum or maximum awards permitted or adjust the aggregate amount of Federal funds allotted to a particular category of grants).

#### **Deadlines:**

Nov 01, 2009 January 7, 2011 The deadline for applications is January 7, 2011, (11:59pm Eastern Standard Time).

#### **Range of Approval/Disapproval Time:**

Successful applicants will receive a Financial Assistance Award (FAA) signed and dated by the CMS Grants Management Officer. The FAA is the document authorizing the grant award and will be sent through the U.S. Postal Service to the applicant organization as listed on its SF 424. Any communication between CMS and applicants prior to issuance of the FAA is not an authorization to begin performance of a project. Unsuccessful applicants will be notified by letter, sent through the U.S. Postal Service to the applicant organization as listed on its SF 424.

#### **Appeals:**

Appeals are governed by the Code of Federal Regulations, Title 45--Public

Welfare, Subtitle A Department of Health and Human Services, Part 16 Procedures of the Departmental Grant Appeals Board.

**Renewals:**

Any funding allocated for the Federal match for home and community-based services provided under the demonstration for the first year of this grant that remain unspent will be carried over to the next year of the Grant.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: A State receiving an award under this solicitation will receive reimbursement for home and community-based services provided under the demonstration on a quarterly basis at the following Federal Medical Assistance Percentage (FMAP) rates: The FMAP rate will be adjusted to reflect the increased FMAP available to States through the American Recovery and Reinvestment Act of 2009 each quarter from October 1, 2008 and extended by passage of Education, Jobs and Medicaid Assistance Act (P.L. 111-226) of 2010 through June 30, 2011 (increased rate). The funding for the increased FMAP will be provided from Money Follows the Person grant demonstration appropriations. The enhanced FMAP provided by the DRA of 2005 (Enhanced Rate increased up to 50% of the State Match capped at 90%) will be applied to the Recovery Act increased quarterly FMAP. Service Category Match rate for a 12-month demonstration period for "Qualified HCB program" services and HCB Demonstration services are at the Increased and Enhanced Match Rate. Supplemental Demonstration services will be provided at the Increased Rate only for the Recovery Act period. Administrative costs will be reimbursed according to the requirements of CFR 42, 433.15. At the end of the Recovery Act period, the yearly-published FMAP Rate in the Federal Register will be used to determine the Enhanced Rate and the State match requirements for the prior quarters to the Recovery Act period and subsequent quarters until the end of the demonstration. This program has MOE requirements, see funding agency for further details. Total expenditures under the State Medicaid program for home and community-based long-term care services will not be less for any fiscal year during the MFP demonstration project than for the greater of such expenditures for fiscal year 2005 or any succeeding fiscal year before the first of the year of the MFP demonstration project.

This program has MOE requirements, see funding agency for further details. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

The demonstration period is ten years. The project period is from January 1, 2007 through March 31, 2016. The budget period is from January 1, 2007 through March 31, 2016. Method of awarding / releasing assistance: lump sum. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. No progress reports are required. Financial Status Report, form (SF-425), will be required to be submitted semi-annually. This financial status report will account for all uses of grant monies during each reporting period. During the pre-implementation period, CMS will work with the grantees to determine if additional reporting requirements are required. At the end of each demonstration grant year, States will be required to produce documentation that they have not exceeded the determined budget ceiling and meet all CMS financial requirements. The format of this financial report will be determined during the program development phase of the Demonstration Semi-Annual Progress Reports. The submission of the finalized Operational Protocol (OP) will be due no later than 9 months after receipt of the Notice of Financial Assistance Award. The OP will be considered the First report due under this demonstration. No performance monitoring is required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 26, 2007), "Audits of States, Local Governments, and Non-Profit Organizations" Non-Federal entities that expend

\$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year. Non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to follow 45 CFR 74.53: Code of Federal Regulations, Title 45--Public Welfare, Subtitle A--Department of Health and Human Services, Section--74.53 Retention and access requirements for records.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$299,322,339; FY 12 est \$410,922,371; and FY 13 est \$404,100,000

**Range and Average of Financial Assistance:**

There is not a prescribed or predetermined maximum floor or ceiling grant award. Each State is unique in the number of individuals that will be projected for transition under the demonstration grant. In addition, the costs of individuals transitioning to community settings may vary, by targeted population. Applicants are advised to request a grant award that is sufficient in the amount needed to transition the projected individuals into community settings. CMS reserves the right to reduce the requested grant award, based on the number and size of additional grant awards given under this demonstration, as well as because of concerns contained within a State's application (i.e., concerns with the number of costs of individuals projected for transition by the individual State.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

To promote effective outcomes from the demonstration, the statute provides waiver authority for four provisions of title XIX of the Social Security Act, to the extent necessary to enable a State initiative to meet the requirements and accomplish the purposes of the demonstration. These provisions are: (1) Statewide (Section 1902(a)(1) of the Social Security Act) - in order to permit implementation of a State initiative in a selected area or areas of the State; (2) Comparability (Section 1902(a)(10)(B) - in order to permit a State initiative to assist a selected category or categories of individuals enrolled in the demonstration; (3) Income and Resource Eligibility (Section 1902(a)(10)(C)(i)(III) - in order to permit a State to apply institutional eligibility rules to individuals transitioning to community-based care; and (4) Provider agreement (Section 1902(a)(27)) - in order to permit a State to implement self-direction services in a cost-effective manner for purposes of this demonstration program. By "State" we refer to the definition provided under 45 CFR 74.2 as any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments. By "territory or possession", we mean Guam, the U. S. Virgin Islands, American Samoa, and the Commonwealth of the Northern Mariana Islands. CMS will reimburse States for home and community-based services provided under the demonstration on a quarterly basis at a rate equal to the State's Federal Medical Assistance Percentage (FMAP) or the State's Enhanced FMAP, as specified in the solicitation. Administrative costs will be reimbursed according to the requirements of 42 CFR 433.15. A complete electronic application package, including all required forms, for this demonstration grant is available at [https://apply.grants.gov/forms\\_apps\\_idx.html](https://apply.grants.gov/forms_apps_idx.html) Standard application forms and related instructions are available online at <http://gsa.gov/forms>. Standard forms are available as detailed in, Section V.A, Address to Request Application Package. The following standard forms must be completed with an original signature and enclosed as part of the proposal: SF 424: Official Application for Federal Assistance (see Note below\*) SF 424A: Budget Information SF 424B: Assurances - Non-Construction Programs SF LLL: Disclosure of Lobbying Activities PHS-5161-1 (7/00) Additional Certifications - can be found at the following website: [http://apply.grants.gov/forms/sample/SSA\\_additionalassurances\\_VI.0.pdf](http://apply.grants.gov/forms/sample/SSA_additionalassurances_VI.0.pdf) Usual Requirements that must be adhered to by law and regulation: Specific administrative and policy requirements of grantees as outlined in 45 CFR 74 and 45 CFR 92, apply to this grant opportunity. All grantees receiving awards

under these grant programs must meet the requirements of: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, The Age Discrimination Act of 1975, Hill-Burton Community Service nondiscrimination provisions, and Title II Subtitle A of the Americans with Disabilities Act of 1990.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cathy M. Cope, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: cathy.cope@cms.hhs.gov Phone: (410) 786-8287

**Website Address:**

[https://www.cms.gov/CommunityServices/20\\_MFP.asp](https://www.cms.gov/CommunityServices/20_MFP.asp)

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.793 MEDICAID TRANSFORMATION GRANTS**

(Medicaid Transformation Grants)

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006, Section 6081, Medicaid Transformation Grants.

**OBJECTIVES:**

To provide Federal payments to States for the adoption of innovative methods to improve the effectiveness and efficiency in providing Medical Assistance.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds from the program may be used to fund the following examples of innovative methods to improve the effectiveness and efficiency in providing Medical Assistance and are not limited to: (1) methods for reducing patient error rates through the implementation and use of electronic health record, electronic clinical decision support tool, or e-prescribing programs, (2) methods for improving rates of collection from estates of amounts owed under Medicaid, (3) methods to reduce waste, fraud and abuse under Medicaid, such as reducing improper payment rates as measured by annual error rate measurement (PERM), (4) implementation of medication risk management program as part of a drug use review program under section 1927(g), (5) methods for reducing, in clinically appropriate ways Medicaid expenditures for covered outpatient drugs, particularly in the categories of greatest drug utilization, by increasing the utilization of generic drugs through the use of education programs and other incentives to promote greater use of generic drugs, and (6) methods of improving access to primary and specialty physician care for the uninsured using integrated university-based hospital and clinic systems. RESTRICTIONS -- States may not use funds as the State's share of the Medicaid program costs or as supplemental Disproportionate Share Hospital (DSH) payments.

**Applicant Eligibility:**

Grant applicants are limited to the 51 State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Beneficiary Eligibility:**

State Medicaid Agencies and the Medicaid Agencies in the Federal Territories.

**Credentials/Documentation:**

Federal funds will be directed to the State Medicaid Agency with the grant award amount identified in the award approval letter. Permissible administrative costs will be determined in accordance with Office of Management and Budget (OMB), Circular No. 87, "Cost Principals for States and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. A State may submit only one application. More than one program concept proposal and budget may be included in the application. Applications must be submitted electronically to CMS via E-mail: Matransgrant@cms.hhs.gov.

**Award Procedure:**

CMS will make a decision for each application received. Each applicant will receive written notification of CMS' decision. Applicants approved for a grant award must submit a letter of acceptance to CMS within 30 days of the date of the award, agreeing to the terms and conditions of the award letter.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

There were no new obligations or appropriations for FY10 or FY11 but the program should remain in the system due to continued outlays. Method of awarding/releasing assistance: lump sum.

**Reports:**

States are required to submit an annual report to CMS related to the programs supported by this award and the report shall include at a minimum: (1) the specific uses of the funds (2) an assessment of quality improvements and clinical outcomes under this program and (3) estimates of cost savings resulting from this program. In addition, States are required to submit financial reports as required by CMS. No cash reports are required. Progress Reports: see above. Expenditure Reports: see above. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents and progress/annual reports and all other records pertinent to this program shall be retained 3 years.

**Account Identification:**

75-0516-0-1-551.

**Obligations:**

(Formula Grants (Apportionments)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 -

**Range and Average of Financial Assistance:**

Grant funds were allocated based on the number of States that applied and met the grant criteria.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

CMS provided application guidance in the form of a State Medicaid Director

letter. The letter is located at [www.cms.gov/MedicaidTransGrants/](http://www.cms.gov/MedicaidTransGrants/).

**Regional or Local Office:**

None.

**Headquarters Office:**

Barbara Dailey, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: Barbara.Dailey@cms.hhs.gov Phone: (410) 786-9012.

**Website Address:**

<http://www.cms.hhs.gov/MedicaidTransGrants/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Each application will be reviewed by a team of CMS staff. The applicant selection criteria will consist of the following but will not be limited to only these factors: the project abstract, project narrative and budget.

**93.796 STATE SURVEY CERTIFICATION OF HEALTH CARE PROVIDERS AND SUPPLIERS (TITLE XIX) MEDICAID**

**FEDERAL AGENCY:**

Centers for Medicare and Medicaid Services, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Sections 1863, 1864, 1865, 1902, 1903 and 1919, Title XIX.

**OBJECTIVES:**

To provide (Medicaid) financial assistance to any State which is able and willing to determine through its State health agency or other appropriate State agency that providers and suppliers of health care services are in compliance with Federal regulatory health and safety standards and conditions of participation.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds are made available to States for the purpose of inspecting providers and suppliers of health care services, to ensure mandatory adherence to Medicaid health and safety standards and conditions. Funds made available under this program are used to support or reimburse State Staff for performing survey activities and for State administration of the program.

**Applicant Eligibility:**

The Federal government reimburses States for the Federal Financial Participation share for costs of inspection. Such participation is dependent on an approved State activity plan.

**Beneficiary Eligibility:**

NA.

**Credentials/Documentation:**

State must have an approved State Plan for Title XIX. A signed 1864 Agreement for Title XIX in order to carry out the survey function. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. States submit an acceptable State Plan for support of Medicaid survey and certification activities. Budget proposals and estimated expenditures must

comply with OMB Circular No. A-87 cost principles and regulatory guidelines.

**Award Procedure:**

States are provided a quarterly award based on an approved annual budget. States are reimbursed for survey activities under Electronic Funds Transfer System procedures. States draw funds through Department's Payment Management System.

**Deadlines:**

Oct 01, 2012 to Aug 15, 2013 Annual budget proposals are requested from the appropriate State agency as negotiated with Regional Office.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Appeals are reviewed by the Department Grants Appeal Board.

**Renewals:**

Ongoing renewals are awarded to State agencies that are willing and able to conduct required survey activities in compliance with statutory mandate.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Formula Grants. This program does have a matching requirement (75% Fed/25% State).

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Funding authority is provided for a full year to State agencies performing survey and certification activities pertaining to Medicaid survey activities. Method of awarding/releasing assistance: lump sum.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

State must maintain surveyor time records, line item and expenditure documentation, which substantiate the costs relating to survey activities.

**Account Identification:**

75-0512-0-1-550.

**Obligations:**

(Formula Grants) FY 11 \$215,826,290; FY 12 est \$228,000,000; and FY 13 est \$230,280,000

**Range and Average of Financial Assistance:**

FY10 range is from \$398,202 to \$23,148,410 and an average of \$3,728,729.

FY11 range is from \$456,649 to \$25,052,869 and an average of \$3,870,678.

FY12 information is unavailable at this time.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Title XIX, Social Security Act as amended Sections 1863, 1864 and 1865.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Thomas Hamilton, 7500 Security Boulevard, Baltimore, Maryland 21244 Email: [thomas.hamilton@cms.hhs.gov](mailto:thomas.hamilton@cms.hhs.gov) Phone: (410) 786-9493.

**Website Address:**

<http://www.cms.hhs.gov/contracts>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.822 HEALTH CAREERS OPPORTUNITY PROGRAM**

HCOP

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 739 of the Public Health Service Act (42 USC 293c), (Educational Assistance in the Health Professions Regarding Individuals from Disadvantaged Backgrounds) as amended by Section 5402 of the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

The Health Careers Opportunity Program (HCOP) program strives to develop a more competitive applicant pool to build diversity in the health professions. The program's goal is to provide students from economically and educationally disadvantaged backgrounds an opportunity to develop the skills needed to successfully compete for, enter into and graduate from health professions schools, allied health professions schools, graduate programs in behavioral and mental health, and programs for the training of physician assistants.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Section 739 provides for assisting individuals from disadvantaged backgrounds to undertake education to enter a health or allied health profession. Grant funds may be used for: (1) recruitment; (2) facilitating entry; (3) counseling, mentoring and other services; (4) preliminary education and health research training; (5) financial aid information dissemination; (6) primary care exposure activities; (7) development of a more competitive applicant pool; and (8) stipends.

**Applicant Eligibility:**

Eligible applicants include accredited schools of medicine, osteopathic medicine, public health, dentistry, veterinary medicine, optometry, pharmacy, allied health, chiropractic, podiatric medicine, public and nonprofit private schools that offer graduate programs in behavioral and mental health, programs for the training of physician assistants, and other public or private nonprofit health or educational entities. HCOP grant programs may only operate in the fifty (50) states, the District of Columbia, Commonwealth of Puerto Rico, Commonwealth of Northern Mariana Islands, the U.S. Virgin Islands, Guam, American Samoa, the Republic of Palau, Republic of the Marshall Islands, and the Federated States of Micronesia.

**Beneficiary Eligibility:**

Students who meet the definition of either educationally or economically disadvantaged, and who express an interest in pursuing a health degree program are eligible for participation in an HCOP program during their primary, secondary, pre-professional, and professional education. Students must be U.S. citizens, non-citizen nationals, or foreign nationals who possess a visa permitting permanent residence in the United States. An individual will be determined to be disadvantaged if he or she comes from a background that has inhibited the individual from obtaining the knowledge, skills, and abilities required to enroll in and graduate from a health professions school or program providing education or training in an allied health profession; or comes from a family with an annual income below a level based on low income thresholds according to family size published by the Bureau of the Census, adjusted annually for changes in the Consumer Price Index, and adjusted by the Secretary for use in health professions programs.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission

of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 4 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projects periods are up to 3 years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are required. The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). Cash reports are required. The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$21,234,021; FY 12 est \$13,985,148; and FY 13 est \$0

**Range and Average of Financial Assistance:**

FY 11: \$251,973 to \$1,036,481; Average: \$643,455.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Violet Woo, Chief of the Diversity Branch, Division of Public Health and Interdisciplinary Education, Parklawn Building Room 9C-26, 5600 Fishers Lane, Rockville, Maryland 20857. Phone: 301-443-8032. E-mail: [vwoo@hrsa.gov](mailto:vwoo@hrsa.gov).

Kyle Peplinski, Project Officer, Diversity Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9C-26, 5600 Fishers Lane, Rockville, MD 20857.

**Headquarters Office:**

Violet Woo 5600 Fishers Lane, Room 9C-26, Rockville, Maryland 20857  
Phone: (301) 443-8032

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.416 ARRA - Health Careers Opportunity Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Overview: (1) The applicant's record in developing, training, and strengthening the academic performance of disadvantaged students throughout the educational pipeline, including health professions schools; (2) the needs assessment study; (3) the established relationship between the program's stated needs, objectives, and outcomes; (4) the project's plan for developing and expanding the pool of competitive health professions school applicants; (5) the qualifications and experience of the faculty and staff to implement and manage an HCOP program, as well as the experience of the faculty and staff in working with the proposed target group; (6) evidence that formal linkages have been established in order to create a more comprehensive HCOP program; (7) the project activities and their reasonability given the proposed level of staff effort, length of project period and budget requested, resources available, and linkages established; (8) the proposed methods for evaluating the project (including data collection, analysis and reporting procedures, quality control methods and type of personnel involved; (9) the demonstrated knowledge and expertise the

applicant possess for coordinating activities with school districts and other community based entities, as well as identifying and leveraging resources from private, philanthropic, business and other government entities; and 10) the budget demonstrates effective use of grant funds and is reasonable, based on: (a) a detailed justification for each line item, (b) the level of in-kind support and other sources of funds, both Federal and non-Federal, the applicant proposes to utilize for carrying out the program, and (c) the applicant's proposed plan for continuation of the proposed project beyond the federally-funded project period.

REVIEW CRITERIA. All competitive applications will be reviewed and ranked on the basis of review criteria that is used to review and rank applications.

See specific funding opportunity announcement at [www.grants.gov](http://www.grants.gov) for detailed review criteria.

**93.824 AREA HEALTH EDUCATION CENTERS INFRASTRUCTURE DEVELOPMENT AWARDS**

AHEC-ID

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act (42 U.S.C. 294a), Title VII, Section 751(a) (1), as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148, Section 5403.

**OBJECTIVES:**

The Patient Protection and Affordable Care act, Public Law 111-148, amended the PHS Act, Section 751, Area Health Education Centers. The required program activities in the amended legislation embrace the following goals to: (1) educate and train students to become culturally competent primary care health professionals who will provide healthcare in underserved areas and to health disparity populations; (2) increase the number and variety of primary care health professionals who provide care to underserved populations in Health Professional Shortage Areas (HPSAs) and other medically underserved areas; and (3) recruit into health careers individuals from underrepresented minority populations or from disadvantaged or rural backgrounds. The AHEC Infrastructure Development awards consist of cooperative agreements with accredited schools of medicine and nursing, to assist the schools to improve the distribution, diversity, supply, and quality of health personnel in the health services delivery system, and to attract and retain health personnel in underserved areas. The AHEC awardees link the academic resources of medical schools and participating health profession schools with local educational and clinical sites, and thereby establish a network of primary care oriented community-based training sites to provide educational services to health profession students, faculty-preceptors and health care providers in underserved areas, and ultimately to improve the delivery of health care in an underserved region or in an entire state. Grantees shall allocate not less than 75 percent of the award to area health education centers to coordinate community-based training and interdisciplinary/interprofessional training in underserved areas and for health disparity populations. AHEC health careers recruitment activities shall be coordinated, where practicable, with Department of Labor workforce investment boards, and shall include an emphasis on careers in public health. Interdisciplinary/interprofessional training shall involve physicians, physician assistants, nurse practitioners, nurse midwives, dentists, psychologists, pharmacists, optometrists, community health workers, public health and allied health professionals, as practicable.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds shall be used to recruit individuals from underrepresented, disadvantaged, or rural backgrounds into the health professions; establish and maintain community based placements or preceptorships with an emphasis on primary care; conduct interdisciplinary/interprofessional training involving an

array of health professionals; deliver or facilitate continuing education; propose and implement outcomes measurement and evaluation strategies. Not less than 75 percent of the total amount provided to an AHEC program under subsection 751(a) (1) shall be allocated to the area health education centers participating in the program.

The aggregate amount of awards to schools in the State for the fiscal year under Infrastructure Development AHEC authority shall not be less than \$250,000 per area health education center, including program office funds. If amounts appropriated to carry out Section 751 are not sufficient to comply with the amount stated in the preceding sentence, the Secretary may reduce the per center amount as necessary.

**Applicant Eligibility:**

Eligible applicants for Area Health Education Centers (AHEC) Program cooperative agreements under Section 751(a)(1) include public or private nonprofit accredited schools of medicine and osteopathic medicine and incorporated consortia made up of such schools, or the parent institutions of such schools. Also, in States in which no AHEC program is in operation, an accredited school of nursing is an eligible applicant.

**Beneficiary Eligibility:**

Beneficiaries include a full range of trainees: high school students from underrepresented minority populations or disadvantaged or rural backgrounds, health professions students, faculty and practitioners.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. When making final funding decisions regarding Section 751 awards, consideration will be given to the Sense of the Congress that there be an area health education center program in each state.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months after the review of the application.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

Statutory Formula: Title Section 751(a)(1), Public Law PHS Act.  
Matching Requirements: Percent: 50%. Matching Funds: With respect to the costs of operating a program through a grant under section 751, to be eligible

for assistance under section 751, an entity shall make available (directly or through contributions from State, county or municipal governments or the private sector) recurring nonfederal contributions in cash or in kind toward such costs in an amount that is equal to not less than 50 percent of such costs. At least 25 percent of the total required non-Federal contributions shall be in cash. The Secretary may grant a waiver for up to 75 percent of the amount required in the first 3 years in which an awardee receives funds under this section: Section 751 (a) (1) of the PHS Act, as amended.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Funds are available for expenditure during appropriate budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$9,275,405; FY 12 est \$6,402,368; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 11: \$254,329 to \$1,516,424 ; Average award amount \$843,219.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, 60 AHEC Program grantees and their 253 affiliated AHECs provided health professions training in 48 States, the District of Columbia, and the territories of Guam, Palau, and Puerto Rico. Grantees of the AHEC and the Health Careers Opportunities (HCOP) programs, with legislative mandates to provide high school health career recruitment activities,



have established collaborations to improve efficiencies. In addition, through cooperative efforts between SAMHSA and HRSA/BHPr, the AHEC program established a new initiative to address the post-deployment mental and behavioral health and substance abuse issues of veterans and their families. This initiative involves training 200 AHEC program and center staff to expand the participating AHEC programs and centers capacity to provide training on Post-Traumatic Stress Disorders (PTSD), Traumatic Brain Injury (TBI) and other related areas (i.e., preventing prescription medication misuse, military sexual trauma). The participating AHEC programs and centers will provide or facilitate continuing education programs to 10,000 health care providers in the 10 HRSA regions on PTSD and TBI along with other mental and behavioral health issue topics affecting veterans and their families. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### **Regional or Local Office:**

See Regional Agency Offices. Lou Coccodrilli, M.P.H, Chief, AHEC Branch, Division of Diversity and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Parklawn Building, 5600 Fishers Lane, Room 9C-05, Rockville, MD 20857. Telephone: 301-443-6950. E-mail: [lcoccodrilli@hrsa.gov](mailto:lcoccodrilli@hrsa.gov).

Meseret Bezuneh, Project Officer, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9C-05, 5600 Fishers Lane, Rockville, MD 20857, Phone 301-443-6950, and E-mail at [mbezuneh@hrsa.gov](mailto:mbezuneh@hrsa.gov).

Michelle Menser, Project Officer, Area Health Education Centers Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, Room 9-36, 5600 Fishers Lane, Rockville, MD 20857, Phone 301-443-6950, and E-mail at [mmenser@hrsa.gov](mailto:mmenser@hrsa.gov).

#### **Headquarters Office:**

Louis D. Coccodrilli 5600 Fishers Lane, Room 9C-05, Rockville, Maryland 20857 Phone: (301) 443-6950.

#### **Website Address:**

<http://bhpr.hrsa.gov/grants/areahealtheducationcenters/index.html>

#### **RELATED PROGRAMS:**

93.107 Model State-Supported Area Health Education Centers

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

**NEED-** Involves the extent to which the application describes the problem(s) to be addressed and the target population(s) and geographic area(s) to be served by the AHEC(s).

**RESPONSE-** Involves the degree to which the proposal responds to AHEC legislative and programmatic requirements.

**EVALUATE MEASURES-** The adequacy of the evaluation strategies to monitor and evaluate project results.

**IMPACT-** Involves the extent and effectiveness of meeting the primary care workforce needs of the population and geography/region identified for AHEC services and programs, and potential for replication of project activities. Involves the extent to which the project demonstrates past performance success.

**RESOURCES/CAPABILITIES-** The extent to which personnel are qualified by training and/or experience to implement and carry out the proposal. The capabilities of the applicant organization and quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project will be reviewed.

**SUPPORT REQUESTED-** Involves the reasonableness of the proposed budget and resources in relation to the objectives, scope of the project, complexity of activities, and anticipated results.

See most recent funding opportunity announcement at [www.grants.gov](http://www.grants.gov) for detailed review criteria.

### **93.837 CARDIOVASCULAR DISEASES RESEARCH**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Section 301, 422 and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285, and 42 U.S.C. 288, as amended; Small Business Reauthorization Act of 2000, Public Law 106-554.

#### **OBJECTIVES:**

To foster research and prevention, education, and control activities related to heart and vascular diseases and to develop young scientist investigators in these areas. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Grants may support stipends, research expenses, supplies, travel, and research training tuition as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. Individual Predoctoral and Postdoctoral National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Institutional NRSA awards may be made to eligible institutions to enable them to appoint individuals selected by the institution for research training. Certain service and payback provisions may apply to postdoctoral individuals upon termination of the award or termination of the appointment. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of research initiated in Phase I that is likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. These awards are made to small businesses working in collaboration with academic institutions. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Fast-Track is an option whereby Phase I and Phase II SBIR or STTR projects are submitted and reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II. While the intent of the STIR/STTR

programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research and institutions or companies organized for profit may apply for almost any kind of grant. Only domestic, non-profit, private or public institutions may apply for NRSA Institutional Research Training Grants. An individual may apply for an NRSA or, in some cases, for a research grant if adequate facilities to perform the research are available. SBIR grants can be awarded only to United States small business concerns (entities that are independently owned and operated for profit, or owned by another small business that itself is independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees including affiliates). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the Project in Phase II. STTR grants can be awarded only to United States small business concerns (entities that are independently owned and operated for profit and have no more than 500 employees) that formally collaborate with a university or other non-profit research institution in cooperative research and development. The principle investigator may be employed with the small business concern or collaborating non-profit research institution as long as s/he has a formal appointment with or commitment to the applicant small business concern. At least 40% of the project is to be performed by the small business concern and at least 30% by the non-profit research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

**Credentials/Documentation:**

Individual NRSA awardees and Institutional NRSA trainees must be citizens of the United States or have been admitted for permanent residency. Two levels of training are available: graduate level predoctoral training and postdoctoral training. All potential trainees must possess a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For-profit organization costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with DHHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110

applies to this program. Grant applications are submitted electronically. Visit the following link to obtain application information and instructions (<http://grants1.nih.gov/grants/funding/424/index.htm>)

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff inform applicants of the results of the review. If support is contemplated, staff initiate preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 to 9 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available in the NIH Guide at the following URL <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures are required. Final reports are required within 120 days of termination. Reports are required after termination of NRSAs to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures are required. Final reports are required within 120 days of termination. Reports are required after termination of NRSAs to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000

or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$1,437,439,453; FY 12 est \$1,449,907,464; and FY 13 est \$1,444,375,827 - In fiscal year 2011, 3,119 research grants and National Research Service Awards were made. The estimates of fiscal year 2012 are 2,813 research grants and 306 National Research Service awards. The estimates for fiscal year 2013 are 2,813 research grants and 306 National Research Service Awards. In fiscal year 2011, for new and competing renewal awards: 4,343 grant applications were received, and of these, 682 were awarded; 287 National Research Service Award applications were received, and of these, 77 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2011, 46 Phase I awards, and 14 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$9,163 to \$8,923,478; \$490,276. SBIR Phase I - \$150,000; Phase II - up to \$1,000,000; STTR Phase I - \$100,000, Phase II - \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; "NIH Guide for Grants and Contracts, and Supplements"; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications; Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie L Prenger, PhD 6701 Rockledge Drive, Rm 7214, MSC7924, Bethesda, Maryland 20817 Email: prengerv@nhlbi.nih.gov Phone: (301) 435-0270 Fax: (301) 480-0730

**Website Address:**

<http://www.nhlbi.nih.gov/about/dcvfs/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the importance of the problem the proposed research will address; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation of the proposed research; (5) the potential of the proposed research for commercial application; (6) the appropriateness of the budget requested; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.838 LUNG DISEASES RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422 and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285, and 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To use available knowledge and technology to solve specific disease problems of the lungs; to promote further studies on the structure and function of the lung; and to achieve improvement in the prevention and treatment of lung diseases. Small Business Innovation Research (SBIR) program: to stimulate technological innovation; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training in specified biomedical shortage areas. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. Fast-Track is an option whereby Phase I and Phase II SBIR or STTR projects are submitted and reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II. While the intent of the STIR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research, as well as institutions or companies organized for profit, may apply for grants with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the Project in Phase II. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

**Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. For-profit organizations' costs are

determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications are submitted electronically. Visit the following link to obtain application information and instructions (<http://grants1.nih.gov/grants/funding/424/index.htm> )

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparation of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available in the NIH Guide at the following URL <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

> 180 Days. Renewal applications are reviewed in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants.

In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$553,099,074; FY 12 est \$557,896,526; and FY 13 est \$555,768,058 - In fiscal year 2011, 1,207 research grants and National Research Service Awards were made. The estimates of fiscal year 2012 are 1,107 research grants and 100 National Research Service awards. The estimates for fiscal year 2013 are 1,107 research grants and 100 National Research Service Awards. In fiscal year 2011, for new and competing renewal awards: 1,608 grant applications were received, and of these, 315 were awarded; 104 National Research Service Award applications were received, and of these, 24 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2011, 19 Phase I awards, and 6 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$3,457 to \$7,796,506; \$377,750. SBIR Phase I - \$150,000; Phase II - up to \$1,000,000; STTR Phase I - \$100,000; Phase II \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie L Prenger, PhD 6701 Rockledge Drive, Rm 7214, MSC7924, Bethesda, Maryland 20817 Email: prengerv@nhlbi.nih.gov Phone: (301) 435-0270 Fax: (301) 480-0730

**Website Address:**

<http://www.nhlbi.nih.gov/about/dld/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.839 BLOOD DISEASES AND RESOURCES RESEARCH****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 422, and 487, as amended, Public Laws 78-410 and 99-158, 42 U.S.C. 241, 42 U.S.C. 285 and 42 U.S.C. 288, as amended; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To foster research and research training on the pathophysiology, diagnosis, treatment, and prevention of non-malignant blood diseases, including anemias, sickle cell disease, thalassemia; leukocyte biology, pre-malignant processes such as myelodysplasia and myeloproliferative disorders; hemophilia and other abnormalities of hemostasis and thrombosis; and immune dysfunction. Funding encompasses a broad spectrum of hematologic inquiry, ranging from stem cell biology to medical management of blood diseases and to assuring the adequacy and safety of the nation's blood supply. Programs also support the development of novel cell-based therapies to bring the expertise of transfusion medicine and stem cell technology to the repair and regeneration of human tissues and organs. Small Business Innovation Research (SBIR) program: To stimulate technological innovation; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may support salaries, equipment, supplies, travel, and patient hospitalization as required to perform the research effort. Restrictions or limitations are imposed against the use of funds for entertainment, foreign travel, general-purpose equipment, alterations and renovations, and other items not regularly required for the performance of research. National Research Service Awards (NRSAs) are made directly to individuals for research training. Grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Certain service and payback provisions apply to individuals upon termination of the award. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and

feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. These awards are made to small businesses working in collaboration with academic institutions. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. Fast-Track is an option whereby Phase I and Phase II SBIR or STTR projects are submitted and reviewed concurrently with the aim of reducing or eliminating the funding gap between Phase I and Phase II. While the intent of the SBIR/STTR programs is commercialization (Phase III), no SBIR/STTR funds are allowed for commercialization activities such as patents; market and sales; market research; business development/product development/market plans; legal fees, travel and other costs including labor relating to license agreements and partnerships.

**Applicant Eligibility:**

Any nonprofit organization engaged in biomedical research and institutions (or companies) organized for profit may apply for grants, with the exception of NRSAs. An individual may apply for a NRSA or, in some cases, may qualify for a research grant if adequate facilities in which to perform the research are available. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, or owned by another small business that itself is independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees including affiliates). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. SBIR projects must be performed at least 67% by the applicant small business in Phase I and at least 50% of the project in Phase II. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research. Only domestic for-profit small business firms may apply for SBIR and STTR programs.

**Credentials/Documentation:**

Applicants for individual National Research Service Awards must be citizens of the United States or have been admitted for permanent residency; must hold a doctoral degree (M.D., Ph.D, D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree); and must designate a desire for training in one of the health or health-related areas specified by the National Institutes of Health. Each applicant must be sponsored by an accredited public or private nonprofit institution engaged in such training. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. SBIR and STTR applicants must use the SF424 Research and Related (R&R) application for electronic submission through Grants.gov. Electronic submission of SNAP Progress Reports (eSNAP) apply for non-competing continuations (e.g., second year of Phase II). OMB

Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications are submitted electronically. Visit the following link to obtain application information and instructions (<http://grants1.nih.gov/grants/funding/424/index.htm>).

**Award Procedure:**

All accepted applications are evaluated by an appropriate initial review group (study section). All grant applications receive a final secondary review by the National Heart, Lung, and Blood Advisory Council. Staff informs applicants of the results of the review. If support is contemplated, staff initiates preparations of awards for grants. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. Regular Grants: From 7 to 9 months. SBIR/STTR Grants: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available in the NIH Guide at the following URL <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

> 180 Days. Renewals require application and review in the same manner as new applications.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The National Heart, Lung, and Blood Advisory Council may recommend funding for periods ranging from 1 to 5 years. Funding commitments are made annually. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Award length may vary depending on the recommendation of the scientific review group, the national advisory council, successful annual performance, and availability of funds. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual reports from grantees are required on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. Annual reports from grantees are required on progress and expenditures. Final reports are required within 120 days of termination. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0872-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$339,542,641; FY 12 est \$342,487,754; and FY 13 est \$341,181,106 - In fiscal year 2011, 789 research grants and National Research Service Awards were made. The estimates of fiscal year 2012 are 702 research grants and 87 National Research Service awards. The estimates for fiscal year 2013 are 702 research grants and 87 National Research Service Awards. In fiscal year 2011, for new and competing renewal awards: 1017 grant applications were received, and of these, 197 were awarded; 76 National Research Service Award applications were received, and of these, 20 were awarded. Small Business innovation Research Awards/Small Technology Transfer Research Awards: In fiscal year 2011, 12 Phase I awards and 2 Phase II awards were made.

**Range and Average of Financial Assistance:**

Grants: \$5,000 to \$5,939,962; \$437,749. SBIR Phase I-- \$150,000, Phase II-- \$1,000,000; STTR Phase I- \$100,000, Phase II- \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Valerie L Prenger, PhD 6701 Rockledge Drive, Rm 7214, MSC7924, Bethesda, Maryland 20817 Email: prengerv@nhlbi.nih.gov Phone: (301) 435-0270 Fax: (301) 480-0730

**Website Address:**

<http://www.nhlbi.nih.gov/about/dbdr/>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.846 ARTHRITIS, MUSCULOSKELETAL AND SKIN DISEASES RESEARCH****FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 437, 487, Public Law 78-410, 42 U.S.C 241.

**OBJECTIVES:**

To support research relevant to arthritis, musculoskeletal and skin diseases, the National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS) supports research training and basic and clinical investigations including epidemiology and clinical trials in the areas of skin and rheumatic diseases and musculoskeletal diseases. The Division of Skin and Rheumatic Diseases promotes and supports basic, epidemiological, and clinical studies of skin and rheumatic and related diseases. Studies range from determining the underlying basis and mechanisms of disease (including large genetic studies), to translational and clinical research aimed at the diagnosis, treatment, prediction, and/or prevention of disease. The skin program supports research in normal and diseased skin including keratinocyte biology and wound healing, and disorders such as psoriasis, atopic dermatitis and other chronic inflammatory skin disorders; the vesiculobullous diseases such as pemphigus, bullous pemphigoid, and epidermolysis bullosa; acne, alopecia areata, vitiligo, and skin neoplasia. The rheumatic disease program supports research in the systemic autoimmune diseases and arthritides, including systemic lupus erythematosus (SLE), systemic scleroderma, autoimmune myositis, rheumatoid arthritis, juvenile idiopathic arthritis, spondyloarthropathies, vasculitis, gout, Sjogren's syndrome, and fibromyalgia syndrome. In addition, the Division supports studies on the extracellular matrix, including research on Marfan syndrome, keloid formation, and pseudoxanthoma elasticum. The Division also supports biopsychosocial research related to rheumatic, musculoskeletal, or skin diseases. Topics include behavioral interventions, pain mechanisms, neuroendocrine and neuroimmune mechanisms, behavioral and social research, and epidemiology. The Division of Musculoskeletal Diseases supports studies of the skeleton and associated connective tissues. Broad areas of interest include skeletal development, metabolism, mechanical properties, and responses to injury. Among these diseases and skeletal disorders are osteoporosis; osteogenesis imperfecta; Paget's disease of bone; vitamin D refractory diseases; and rickets and osteochondrodysplasias. Other areas of interest include treatment of acute and chronic injuries, including carpal tunnel syndrome, repetitive stress injury, low back pain and clinical and epidemiological studies of osteoarthritis. The Division supports development of new technologies with the potential to improve treatment of skeletal disorders and facilitate the repair of trauma in the normal skeleton. These include drugs and nutritional interventions, joint replacement, bone and cartilage transplantation, biomarkers and gene therapy. In addition, bioengineering, sports medicine and musculoskeletal fitness are areas of special research emphasis. This Division also encourages and supports research on skeletal muscle, its diseases and disorders, and its central role in human physiology and exercise. Topics include the molecular structure of muscle and the molecular mechanisms that produce force and motion. Muscle biophysics, cell biology, muscle biology, muscle disorders and therapies, musculoskeletal development, tissue reengineering, and regenerative medicine are encompassed in this area as well. The Division also supports research into the biology of cartilage, tendons, ligaments, menisci, and intervertebral discs, including pre-clinical studies on injury and disease conditions affecting these tissues. NIAMS participates in the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs. The SBIR program is intended to increase private sector commercialization of innovations derived from Federal research and

development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The STTR program is intended to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Research Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. Individual National Research Service Awards (NRSAs) are made to individuals for research training in specified biomedical shortage areas. In addition, grants may be made to institutions to enable them to make NRSAs to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. Small Business Innovation Research Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

#### **Applicant Eligibility:**

Research Grants: Individuals and public and private institutions, both nonprofit and for-profit, who propose to establish, expand, and improve research activities in health sciences and related fields. National Research Service Awards: Individuals must be nominated and sponsored by a public or private, for-profit or nonprofit institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). Nonprofit domestic organizations may apply for the Institutional National Research Service grant. Small Business Innovation Research grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

#### **Beneficiary Eligibility:**

Research Grants: Although no degree of education is either specified or required, nearly all successful applicants have doctoral degrees in one of the

sciences or professions. National Research Service Awards: Predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree.

#### **Credentials/Documentation:**

Requirements are specified in the application form. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Research grants: Applications must be prepared either electronically through grants.gov (<http://www.grants.gov>) using the SF 424 (Research and Research-Related) or on paper using the PHS 398 research grant application instructions and forms (Rev. 11/2007). Individual funding opportunity announcements will indicate the appropriate application format to be used. A listing of NIAMS and other funding opportunities can be found through the NIAMS web site ([http://www.niams.nih.gov/Funding/Funding\\_Opportunities/filter.asp](http://www.niams.nih.gov/Funding/Funding_Opportunities/filter.asp)), through the Grants.gov web site (<http://www.grants.gov/>), or on the NIH Guide to Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>). For those few types of applications that require the PHS 398, the most recent version of the form and instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). For assistance contact GrantsInfo, Telephone: (301) 435-0714, Email: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov). National Research Service Awards: Completed application forms should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, Md. 20892-7710 (regular USPS or USPS Express mail) or Bethesda, Md. 20817 (other courier/express mail delivery) Phone: 301-435-0715. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Research Funding Opportunities" web page at <http://grants1.nih.gov/grants/funding/sbir.htm>. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710. Application forms for SBIR and STTR grants may be obtained through the SBIR/STTR funding announcements posted on the Grants.gov sites and the NIH Guide to Grants and Contracts (see URLs listed above). All SBIR and STTR applications must be submitted electronically. Electronic applications are submitted through the Grants.gov website. Completed PHS 398 applications should be submitted to the National Institutes of Health, Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710 or Bethesda, MD 20817 (for express/courier service). This program is subject to the provisions of 45 CFR Part 92 for State and local governments, OMB Circular No. A-110 for nonprofit organizations, cost principles of A-21 for educational institutions, and 42 CFR



Part 42.

**Award Procedure:**

Following review by the appropriate study section and council, the successful applicant is notified by the National Institute of Arthritis and Musculoskeletal and Skin Diseases through a Notice of Grant Award. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. Research grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR applications: About 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page

<http://grants.nih.gov/grants/guide/notice-files/not97-232.html> and at <http://grants.nih.gov/grants/guide/notice-files/not-od-11-064.html>.

**Renewals:**

Research grants: renewals by competitive application and review. Extension by request and administrative action. National Research Service Awards: individual awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research grants: Awards may be recommended for up to 5 years. Awards usually are made for 12-month budget periods. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Grant Award (NoGA) will be provided to the applicant organization.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FFR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FFR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FFR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FFR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0888-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$416,359,000; FY 12 est \$417,875,000; and FY 13 est \$414,174,000 - Research Grants: FY 11 \$416,359,000; FY 12 \$417,875,000; FY 13 \$414,174,000. National Research Service Awards (NRSA): FY 11 \$15,672,000; FY 12 \$15,672,000; FY 13 \$15,671,000.

**Range and Average of Financial Assistance:**

Research Grants: \$1,417 to \$2,087,970; \$306,055. National Research Service Awards: \$5,073 to \$430,218; \$131,215. SBIR: Phase I awards -- approximately \$150,000; Phase II awards --approximately \$1,000,000. STTR: Phase I awards -- approximately \$100,000; Phase II awards --approximately \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Research Grants: In fiscal year 2011, a total of 1,254 noncompeting and competing research grants were funded, including 27 SBIR and STTR awards. National Research Service Awards (NRSA): In fiscal year 2011, 312 trainees were funded. Fiscal Year 2012: Research Grants: The fiscal year 2012 estimate is 1,213 research grant awards, including 27 SBIR and STTR awards. National Research Service Awards (NRSA): The estimate for fiscal year 2012 is 307 trainees. Fiscal Year 2013: Research Grants: The fiscal year 2013 estimate is 1,203 grants, including 27 SBIR and STTR awards. National Research Service Awards (NRSA): In fiscal year 2013, 302 trainees are projected.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Research Grants: 42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Laura K. Moen, 6701 Democracy Boulevard, Ste 800, Bethesda, Maryland

20892 Email: moenl@mail.nih.gov Phone: (301) 451-6515.

**Website Address:**

http://www.hhs.gov .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.847 DIABETES, DIGESTIVE, AND KIDNEY DISEASES  
EXTRAMURAL RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 428, 431, 487, 491, 493, 495, and 498, as amended; Public Laws 78-410, 99- 158, 100-607, 106-554, and 107-360; 42 U.S.C. 241, as amended; 42 U.S.C. 285c-2, 42 U.S.C. 285c-5, 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

(1) To promote extramural basic and clinical biomedical research that improves the understanding of the mechanisms underlying disease and leads to improved preventions, diagnosis, and treatment of diabetes, digestive, and kidney diseases. Programmatic areas within the National Institute of Diabetes and Digestive and Kidney Diseases include diabetes, digestive, endocrine, hematologic, liver, metabolic, nephrologic, nutrition, obesity, and urologic diseases.

Specific programs areas of interest include the following:

(a) For diabetes, endocrine, and metabolic diseases areas: Fundamental and clinical studies including the etiology, pathogenesis, prevention, diagnosis, treatment and cure of diabetes mellitus and its complications; Normal and abnormal function of the pituitary, thyroid, parathyroid, adrenal, and other hormone secreting glands; Hormonal regulation of bone, adipose tissue, and liver; on fundamental aspects of signal transduction, including the action of hormones, coregulators, and chromatin remodeling proteins; Hormone biosynthesis, secretion, metabolism, and binding; and on hormonal regulation

of gene expression and the role(s) of selective receptor modulators as partial agonists or antagonists of hormone action; and Fundamental studies relevant to metabolic disorders including membrane structure, function, and transport phenomena and enzyme biosynthesis; and basic and clinical studies on the etiology, pathogenesis, prevention, and treatment of inherited metabolic disorders (such as cystic fibrosis).

(b) For digestive disease and nutrition areas: Genetics and genomics of the GI tract and its diseases; Genetics and genomics of liver/pancreas and diseases; Genetics and genomics of nutrition; genetics and genomics of obesity; Bariatric surgery; Clinical nutrition research; Clinical obesity research; Complications of chronic liver disease; Fatty liver disease; Genetic liver disease; HIV and liver; Cell injury, repair, fibrosis and inflammation in the liver; Liver cancer; Liver transplantation; Pediatric liver disease; Viral hepatitis and infectious diseases; Gastrointestinal and nutrition effects of AIDS; Gastrointestinal mucosal and immunology; Gastrointestinal motility; Basic neurogastroenterology; Gastrointestinal development; Gastrointestinal epithelial biology; Gastrointestinal inflammation; Digestive diseases epidemiology and data systems; Nutritional epidemiology and data systems; Autoimmune liver disease; Bile, Bilirubin and cholestasis; Bioengineering and biotechnology related to digestive diseases, liver, nutrition and obesity; Cell and molecular biology of the liver; Developmental biology and regeneration; Drug-induced liver disease; Gallbladder disease and biliary diseases; Exocrine pancreas biology and diseases; Gastrointestinal neuroendocrinology; Gastrointestinal transport and absorption; Nutrient metabolism; Pediatric clinical obesity; Clinical trials in digestive diseases; Liver clinical trials; Obesity prevention and treatment; and Obesity and eating disorders.

(c) For kidney, urologic and hematologic diseases areas: Studies of the development, physiology, and cell biology of the kidney; Pathophysiology of the kidney; Genetics of kidney disorders; Immune mechanisms of kidney disease; Kidney disease as a complication of diabetes; Effects of drugs, nephrotoxins and environmental toxins on the kidney; Mechanisms of kidney injury repair; Improved diagnosis, prevention and treatment of chronic kidney disease and end-stage renal disease; Improved approaches to maintenance dialysis therapies; Basic studies of lower urinary tract cell biology, development, physiology, and pathophysiology; Clinical studies of bladder dysfunction, incontinence, pyelonephritis, interstitial cystitis, benign prostatic hyperplasia, urolithiasis, and vesicoureteral reflux; Development of novel diagnostic tools and improved therapies, including tissue engineering strategies, for urologic disorders; Research on hematopoietic cell differentiation; metabolism of iron overload and deficiency; Structure, biosynthesis and genetic regulation of hemoglobin; as well as Research on the etiology, pathogenesis, and therapeutic modalities for the anemia of inflammation and chronic diseases.

(2) To encourage basic and clinical research training and career development of scientists during the early stages of their careers. The Ruth L. Kirschstein National Research Service Award (NRSA) funds basic and clinical research training, support for career development, and the transition from postdoctoral biomedical research training to independent research related to diabetes, digestive, endocrine, hematologic, liver, metabolic, nephrologic, nutrition, obesity, and urologic diseases.

(3) To expand and improve the Small Business Innovation Research (SBIR) program. The SBIR Program aims to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to enhance small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

(4) To utilize the Small Business Technology Transfer (STTR) program. The STTR Program intends to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Project Grants provide funds for salaries, equipment, supplies, travel, and other expenses associated with scientific investigation relevant to program objectives. NRSAs are made directly to individuals for research training in specified biomedical shortage areas, or, to institutions to enable them to make NRSAs to individuals selected by them. Each individual who receives a NRSA is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

Project Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, both non-profit and for-profit, and individuals who propose to establish, expand, and improve research activities in health sciences and related fields. NRSAs: Support is provided for academic and research training only, in health and health-related areas that are periodically specified by the National Institutes of Health. To be eligible, predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Individuals must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All awardees must be citizens or have been admitted to the United States for permanent residence. Nonprofit domestic organizations may apply for the Institutional NRSA. SBIR and STTR grants can be awarded only to domestic small businesses that meet the following criteria: 1) Is independently owned and operated, is not dominant in the field of operation in which it is proposing, has a place of business in the United States and operates primarily within the United States or makes a significant contribution to the US economy, and is organized for profit; 2) Is (a) at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States, or (b) for SBIR only, it must be a for-profit business concern that is at least 51% owned and controlled by another for-profit business concern that is at least 51% owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States. 3) Has, including its affiliates, an average number of employees for the preceding 12 months not exceeding 500, and meets the other regulatory requirements found in 13 C.F.R. Part 121. Business concerns are generally considered to be affiliates of one another when either directly or indirectly, (a) one concern controls or has the power to control the other; or (b) a third-party/parties controls or has the power to control both. STTR grants which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, and researchers, any nonprofit or for-profit organization, company, or institution engaged in biomedical research. Project Grants: Although no degree of education is either specified or required, nearly all successful applicants have doctoral degrees in one of the sciences or professions. NRSAs: Predoctoral awardees must have completed the baccalaureate degree and postdoctoral awardees must have a professional or scientific degree.

**Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment, and supplies are

appropriate to carry out the plan. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Individual NRSA applications for postdoctoral training must include the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training. Institutional Training grant applications for predoctoral and postdoctoral training must show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant form PHS 398 is used to apply for SBIR and STTR Phase I Phase II and Phase I/Phase II Fast Track. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Project Grants: Applications for Federal assistance must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. Applications may not be submitted in paper format. A registration process through Grants.gov is necessary before submission and applicants are highly encouraged to start the process at least four weeks prior to the grant submission date. Two steps are required for on time submission: (1) The application must be successfully received by Grants.gov no later than 5:00 p.m. local time (of the applicant institution/organization) on the submission/receipt date. (2) Applicants must complete a verification step in the eRA Commons within two business days of notification from NIH. Note: Since email can be unreliable, it is the responsibility of the applicant to periodically check on their application status in the Commons. The standard application forms, as furnished by PHS and required by 45 CFR Part 92, must be used for this program by those applicants that are State or local units of government. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms.

**Award Procedure:**

Research Grant and Training Program applications are reviewed initially for scientific merit by an appropriate review panel, composed of scientific authorities, and by the National Diabetes and Digestive and Kidney Diseases Advisory Council composed of leaders in medical science, education, and public affairs. Approved applications will compete on a merit basis for available funds. The successful applicant is sent a Notice of Grant Award. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Project Grants: From 6 to 9 months. National Research Service Awards: From 6

to 9 months. SBIR/STTR applications: About 7-1/2 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Project Grants: Renewals are determined by competitive application and review. Extensions considered upon request. Individual NRSAs: Awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Grants: Awards are usually made for a 12-month period with recommendation of up to 4 years of additional support. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: The Notice of Award (NoA) is the legal document issued to notify the grantee that an award has been made and that funds may be requested from the designated HHS payment system or office. An NoA is issued for the initial budget period. If subsequent budget periods are also approved, the NoA will include a reference to those budgetary commitments. Funding for subsequent budget periods are generally provided in annual increments following the annual assessment of progress. This funding is also contingent on the availability of funds. The NoA includes all applicable terms of award either by reference or specific statements. It provides contact information for the assigned program officer and grants management specialist. The grantee accepts an NIH award and its associated terms and conditions by drawing or requesting funds from the Payment Management System, or upon the endorsement of a check from the US Treasury for foreign awardees.

**Reports:**

Project Grants: Expenditures and other financial records, including documents supporting accounting records and substantive charges to each grant, must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. NRSAs: Documentation of expenditures and other fiscal records must be kept readily available for examination by authorized Government personnel and must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period. Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions. Cash reports are not applicable. Annual and terminal progress reports, annual reports of inventions, and annual certification with respect to research involving human subjects are required. Reports of expenditures are required. NRSAs: Reports are required after termination of NRSAs to ascertain compliance with service and payback provisions. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a

financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0884-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$1,491,769,000; FY 12 est \$1,482,081,000; and FY 13 est \$1,461,024,000 - NRSAs: FY 2011 Actual: \$57,425,000; FY 2012 Estimate: \$57,460,000; FY 2013 Estimate: \$58,364,000  
SBIRs: FY 2011 Actual: \$47,186,000; FY 2012 Estimate: \$49,482,000; FY 2013 Estimate: \$51,317,000.

**Range and Average of Financial Assistance:**

Project Grants: Range of \$1,000 to \$55,997,000; \$420,000 average  
NRSAs: Range of \$9,000 to \$575,000; \$121,000 average  
SBIR: Range of \$19,000 to \$1,855,000; \$472,000 average.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Project Grants: In Fiscal Year 2011, 3,552 awards were made. NRSAs: In Fiscal Year 2011, 475 awards and 1,157 trainees were funded. SBIR Awards: In Fiscal Year 2011, 100 awards were made. Fiscal Year 2012: Project Grants: In FY 2012, 3,541 awards are estimated. NRSA: In FY 2012, 475 awards and 1,170 trainees are estimated. In FY 2012, SBIR Awards: 105 awards are estimated. Fiscal Year 2013: Project Grants: In FY 2013, 3,505 awards are estimated. NRSA: In FY 2013, 482 awards and 1,157 trainees are estimated. SBIR: In FY 2013, 109 awards are estimated.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Project Grants: 42 CFR 52; 42 CFR 66; 42 CFR 74; 45 CFR 74; 45 CFR 92. Administration Policy Directive No. 65 01 (47 Fed. Reg. 52966 et seq. (1982), as amended by Policy Directive No. 65 01.1 (48 Fed. Reg. 38794 et seq. (1983)). Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement, [http://grants.nih.gov/grants/policy/nihgps\\_2003/](http://grants.nih.gov/grants/policy/nihgps_2003/); Omnibus Solicitation of the Public Health Service for SBIR Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for STTR Grant Applications.

**Regional or Local Office:**

None. Project Grants: Dr. Judith Fradkin, Director, Division of Diabetes,

Endocrinology, and Metabolic Diseases, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 689, 6707 Democracy Blvd., Bethesda, MD 20892-2560. Telephone: (301) 496-7349; Dr. Stephen James, Director, Division of Digestive Diseases and Nutrition, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 675, 6707 Democracy Blvd., Telephone: (301) 594-7680; Dr. Robert Star, Director, Division of Kidney, Urologic and Hematologic Diseases, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 625, 6707 Democracy Blvd., Bethesda, MD 20892-2560. Telephone: (301) 594-7717. Small Business Innovation Research Grants Contact: Mrs. Helen Ling, Senior Grants Management Specialist, Grants Management Branch, Division of Extramural Activities, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 732, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-8857. Grants Management Contact: Mr. Robert Pike, Chief Grants Management Officer, Grants Management Branch, Division of Extramural Activities, National Institute of Diabetes and Digestive and Kidney Diseases, National Institutes of Health, 2 Democracy Plaza, Room 731, 6707 Democracy Blvd., Bethesda, MD 20892. Telephone: (301) 594-8854. Use the same numbers for FTS.

**Headquarters Office:**

Christine Salaita DEM II, MSC 5460, Bethesda, Maryland 20892 Email: csalaita@nidk.nih.gov Phone: (301) 443-9908

**Website Address:**

<http://www2.nidk.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: The types of projects funded by NIDDK are available at <http://report.nih.gov/rcdc/categories/default.aspx>. Please enter a research area of interest. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.853 EXTRAMURAL RESEARCH PROGRAMS IN THE NEUROSCIENCES AND NEUROLOGICAL DISORDERS**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Sections 301, 405, 408, 457, 458, 459, and 487, Public Law 78-410, 42 U.S.C 241-285L-2; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

(1) To support extramural research funded by the National Institute of Neurological Disorders and Stroke (NINDS) including: basic research that explores the fundamental structure and function of the brain and the nervous system; research to understand the causes and origins of pathological conditions of the nervous system with the goal of preventing these disorders; research on the natural course of neurological disorders; research on mechanisms associated with stroke and other cerebrovascular disorders, effects of trauma to the nervous system, neuroplasticity and regeneration, and tumors of neural tissues; improved methods of disease prevention; new methods of diagnosis and treatment; clinical trials; drug development; development of neural prostheses for stroke and paraplegia; epidemiological research; and research training in clinical neuroscience. The Institute supports research on topics including but not limited to stroke; traumatic injury to the brain, spinal cord and peripheral nervous system; neurodegenerative disorders; brain tumors; development of artificial prosthetic devices to restore function to the damaged nervous system; convulsive disorders; infectious disorders of the brain and nervous system; immune disorders of the brain and nervous system, including multiple sclerosis; disorders related to sleep; and pain. Programmatic areas also include neurodevelopment, repair and plasticity, channels synapses and circuits, neurogenetics, neurodegeneration, neural environment, and systems and cognitive neuroscience. Extramural research is also supported by the Office of Training, Career Development & Workforce Diversity, the Office of Special Programs and Diversity, the Office of International Activities, the Office of Translational Research, and the Office of Clinical Research. (2) To expand and improve the Small Business Innovation Research (SBIR) program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. (3) To utilize the Small Business Technology Transfer (STTR) program; to stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The NINDS also participates in the Academic Research Enhancement Award (AREA) Program, which is intended to provide research support to institutions currently having little support from the National Institutes of Health (NIH) support.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

PROJECT GRANTS

Uses and Use Restrictions (070):

Research grants may be used to provide salaries, equipment, supplies, travel and other expenses for research. The grantee institution is obliged to expend grant funds prudently for the purposes stated in the application and award document. National Research Service Awards (NRSA) are made directly to individuals for research training in specified biomedical shortage areas, or to institutions, to enable them to make NRSA to individuals selected by them. Each individual who receives a NRSA may be obligated upon termination of the award to comply with service and payback provisions. Career Development Awards such as the Independent Scientist Awards (K02) provide support for newly independent scientists with health related degrees who can demonstrate the need for a period of intensive research focus as a means of enhancing their research careers and facilitating their ability to obtain major NIH research awards. Mentored Clinical Research Scientist Development Awards (K08)

provide support for clinically trained health professionals who need an additional period of sponsored research experience as a way to gain expertise in a research area new to the candidate or in an area that would demonstrably enhance the candidate's scientific career. The Mentored Research Scientist Development Awards (K22 and K01) are used to promote diversity in neuroscience research support, an intensive, supervised research career development experience for underrepresented, disabled or disadvantaged career neuroscientists. The Mentored Patient-Oriented Research Career Development Award (K23) provide support for a period of supervised study and research for clinically trained professionals who have the potential to develop into productive clinical investigators. The Mid-career Investigator Award in Patient-Oriented Research (K24) provides support for clinicians to allow them protected time to devote to patient-oriented research and to act as mentors for beginning clinical investigators. SBIR Phase I grants (of approximately 6-months to 1 year in duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research efforts initiated in Phase I that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1 to 3 years in duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of Phase II application. Grant funds may be expended only for the purpose stated in the application and award document. The NINDS participates in the NIH SBIR/STTR "fast track" initiative.

**Applicant Eligibility:**

Research Grants: Any public, private, nonprofit, or for-profit institution is eligible to apply. For-profit institutions are not eligible for Institutional National Research Service Awards but are eligible for Individual NRSA. All proposals are reviewed for scientific merit, for evaluation of the qualifications of the investigators, for adequacy of the research environment, and for significance of the problem. Approved proposals compete for available funds. All Career Development Program awardees, with the exception of awardees of the Pathway to Independence Award, must be citizens or have been admitted to the United States for permanent residence. Candidates must be nominated for the program by a nonfederal public or private nonprofit institution located in the United States, its possessions or territories. To be eligible, postdoctoral NRSA trainees or fellows must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D. Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the entire research must be performed in the United States. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Health professionals, graduate students, health professional students, scientists, and researchers.

**Credentials/Documentation:**

Research grants are awarded to an institution in the name of an individual investigator. Persons qualified to carry out research related to the extramural programs described above may apply for funds to support their investigations. Mentored Career Program training must be conducted under the direction of a

competent sponsor. National Research Service Awards: Individual NRSA Fellowships for postdoctoral training: the candidate's academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training must be included in the application. Institutional Training Grants for predoctoral and postdoctoral training: The applicant institution must show the objectives, methodology and resources for the research training program; the qualifications and experience of directing staff; the criteria to be used in selecting individuals for stipend support; and a detailed budget and justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR, Part 74 and 92, Subpart Q. For SBIR and STTR grants, the applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Research grant applications that request \$500,000 or more in direct costs in any yearly budget period will not be accepted unless the NINDS has agreed to accept the application prior to submission (see <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-004.html>). Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. NIH has transitioned to the SF424 family of forms and electronic submission through Grants.gov for most research programs and funding mechanisms. All applications must be submitted in response to a specific funding opportunity announcement (FOA). The FOA will specify which forms should be used for submission.

**Award Procedure:**

Research Grant and Training Program applications are reviewed initially by technical panels, composed of scientific authorities, and by the National Advisory Neurological Disorders and Stroke Council composed of 18 leaders in medical science, education, and public affairs. Approved applications will compete on a merit basis for available funds. Formal award notices are transmitted to the grantee or awardee. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Research grants: Approximately 6 to 9 months. Career program: From 7 to 8 months. SBIR/STTR applications: About 7-1/2 months. Institutional Training Grants: From 6 to 12 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute, and subsequently, the P.I. and applicant institution may appeal to the NINDS appeals officer. A description of the NIH Peer Review Appeal procedures is available on the NIH home page <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>.

**Renewals:**

By application and review in same manner as new applications. Research Career Awards may not be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Research grant awards are made for a 12-month period with recommendation of up to 4 years of additional support. Career Program awards provide support for 3 to 5 years. Training Program awards are usually for a 12-month period with recommendation of additional support of up to a total of 5 years for predoctoral training and no more than 3 years for postdoctoral training. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: quarterly. Method of awarding/releasing assistance: quarterly.

**Reports:**

Research Grants: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career Program: Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of NRSA training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A Financial Status Report must be submitted within 90 days after the close of each budget period for which an award has been issued. No cash reports are required. Research Grants: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career Program: Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of NRSA training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A Financial Status Report must be submitted within 90 days after the close of each budget period for which an award has been issued. No expenditure reports are required. No performance monitoring is required. No cash reports are required. Research Grants: Annual and final progress reports, including a description of results, positive and negative, and a list of any publications. Career Program: Awardee submits annual progress report. Termination notice, PHS 416-7, must be submitted upon completion of NRSA training. Reports are required after termination of National Research Service Awards to ascertain compliance with the service and payback provisions. A Financial Status Report must be submitted within 90 days after the close of each budget period for which an award has been issued. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement:

1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or
2. an audit that meets the requirements of OMB Circular No. A-133.

In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the

3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0886-0-1-552 - Extramural Research.

**Obligations:**

(Project Grants) FY 11 \$1,145,031; FY 12 est \$1,128,391; and FY 13 est \$1,129,577. (Project Grants (Contracts)) FY 11 \$90,221; FY 12 est \$85,101; and FY 13 est \$80,712

**Range and Average of Financial Assistance:**

Research grants: \$50,000 to \$10,887,994; \$392,000. National Research Service Awards: Institutional \$15,412 to 459,127; \$53,539. Individual: \$2,006 to \$59,402; \$37,213. SBIR: Phase I approximately \$150,000; Phase II not to exceed \$750,000. STTR: Phase I approximately \$100,000; Phase II not to exceed \$500,000. (The SBIR and STTR dollars are guidelines, not limits). FY11, FY12, FY13 are not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal year 2011, there were 738 competing research applications awards made. Fiscal Year 2012: In fiscal year 2012, there will be 663 competing research applications awards made. Fiscal Year 2013: In fiscal year 2013, there will be 763 (PB) competing research applications awards made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None. National Institute of Neurological Disorders and Stroke (NINDS), Division of Extramural Research (DER), National Institutes of Health, Department of Health and Human Services, Neuroscience Center, 6001 Executive Boulevard, Bethesda, MD 20892. Director DER: Dr. Robert Finkelstein, Suite 3309, Telephone: (301) 496- 9248. The address above (include suite #'s below) should be used for each Program Contact: Dr. Kip Ludwig, Repair and Plasticity, Suite 2208, Telephone: (301) 496-1447; Dr. Francesca Bosetti, Neural Environment, Suite 2118, Telephone: (301) 496-1431; Dr. Roderick Corriveau, Neurodegeneration, Suite 2153, Telephone: (301) 496-5680; Dr. Merrill Mitler, Systems & Cognitive Neuroscience, Suite 2116, telephone: (301) 496-9964; Dr. Shai Silberberg, Channels, Synapses & Circuits, Suite 2131, Telephone: (301) 496-1917; Dr. John Porter, Neurogenetics, Suite 2142, Telephone: (301) 496-5745; Dr. Yuan Liu, Office of International Activities, Suite 2187, Telephone: 301-496-0012; Dr. Deborah Hirtz, Office of Clinical Research, Suite 2212, Telephone: (301) 496-9135; Dr. Rajesh Ranganathan, Office of Translational Research, Suite 2137, Telephone:

(301) 496-1779; Grants Management Branch: Ms. Tijuanna DeCoster, Grants Management Officer, Suite 3258, Telephone: (301) 496-9231; Contracts Management Branch: Mr. Kirk Davis, Contracts Management Officer, Suite 3280, Telephone: (301) 496-1813; Dr. Alfred Gordon, Office of Special Programs in Diversity, Suite 2151, Telephone: (301) 496-3102; Dr. Stephen Korn, Office of Training, Career Development, and Workforce Diversity Officer, Suite 2186, Telephone: (301) 496-4188.

**Headquarters Office:**

Robert F. Finkelstein, 6001 Executive Boulevard, Suite 3309, Rockville, Maryland 20892 Email: finkelsR@nih.gov Phone: (301) 496-9248 Fax: (301) 402-4370.

**Website Address:**

<http://www.ninds.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) the scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) the soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) the degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.855 ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH**

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301; Small Business Research and Development Enhancement Act of 1992, 42 U.S.C 241.

**OBJECTIVES:**

To assist public and private nonprofit institutions and individuals to establish, expand, and improve biomedical research and research training in allergic and immunologic diseases and related areas to assist public, private, and commercial institutions to conduct developmental research; to produce and test research materials; and to provide research services as required by the agency for research progress in allergic and immunologic diseases. NIAID's Allergy, Immunology and Transplantation Research concerns the immune system as it functions in the maintenance of health and as it malfunctions in the production

of diseases. Because of this dual focus, the program encompasses both basic research and clinical research. Small Business Innovation Research (SBIR) program expands and improves private sector participation in biomedical research. The SBIR Program intends to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR) program stimulates and fosters scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Research Career Development Awards support the development of scientists during the formative stages of their careers. Individual National Research Service Awards (NRSAs) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, Institutional National Research Service Awards are made to enable institutions to select and make awards to individuals to receive training under the aegis of their institutional program.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Beginning with fiscal year 1998, the direct costs awarded in the first year to a research project grant resulting from a competing renewal application will be limited to no more than a 20 percent increase over the direct costs awarded in the last non-competing year of that grant. Research grants provide funds for salaries, equipment, supplies, and travel. They also afford the collateral benefits of enriching the training experience of research workers. Grantees are expected to be judicious in using these funds. The application for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. Scientists and institutions are under an obligation to expend grant funds prudently for the purposes stated in the application and award document. For Research Career Development Awards (RCDAs) the scientists must demonstrate an outstanding research potential for independent research in the sciences related to transplantation, immunology, allergies, and immunological diseases. For National Research Service Awards (NRSAs), each individual who receives NRSA support is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

Universities, colleges, hospitals, laboratories, and other public or private nonprofit domestic institutions, including State and local units of government, and individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are also eligible, with the exception of NRSA. Individual NRSA awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRSA awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree, and postdoctoral awardees must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). SBIR grants can be awarded only to domestic small businesses



(entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which researches proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Research grant applicants must define the objectives, methodology, and facilities for the program, and must present the program director's competence and scientific interest. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Applicants for individual NRSAs must include their academic record, research experience, citizenship, institute sponsorship, and the proposed area and plan of training in their applications. The applicant for an institution must specify the objectives, methodology, and resources for the research training program, the qualifications experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Use Form PHS-398 (Rev. May 1995) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892-7910. Telephone: (301) 435-0714. Fax: (301) 480-0525. E-mail: asknih@od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR Part 92, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" homepage at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: telephone: (301) 206-9385; fax: (301) 206-9722; E-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD

20892-7710.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and a national advisory council. If recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant and applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

New Non-AIDS research applications: February 1, June 1 and October 1. For Renewal and Supplemental Non-AIDS research grant applications: March 1, July 1, and November 1. For all AIDS research grant applications: January 2, May 1, September 1. Research Career Development Award programs: February 1, June 1, October 1. Individual NRSAs: April 5, August 5, and December 5. Institutional NRSA: September 10. SBIR/STTR: April 1, August 1 and December 1.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. Final decisions on unresolved appeals are made with the advice of the National Advisory Allergy and Infectious Diseases Council.

**Renewals:**

Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. no matching requirements. This program has MOE requirements, see funding agency for further details. MOE requirements apply with allocations over \$100 million.

**Length and Time Phasing of Assistance:**

Research grant project periods average 4 years; they may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Research grant project periods average 4 years; they may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Program reports are not applicable. require quarterly expenditure reports and yearly or grant period reports of expenditures. At the end of the project we expect final expenditure reports. annual progress reports with information on inventions and expenditures are required. require quarterly expenditure reports and yearly or grant period reports of expenditures. At the end of the project we expect final expenditure reports. yearly and final progress reports are monitored.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative

agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0885-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$614,335,000; FY 12 est \$617,463,000; and FY 13 est \$619,047,000

**Range and Average of Financial Assistance:**

from \$2,500 to \$6,395,901 and the average \$426,165.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 U.S.C. 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Donna C. Perry 6610 Rockledge Drive  
Suite 2100, Bethesda, Maryland 20892 Email: dp94y@nih.gov Phone:  
301-451-3197

**Website Address:**

<http://www.niaid.nih.gov>.

**RELATED PROGRAMS:**

93.856 Microbiology and Infectious Diseases Research

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: (1) The scientific merit and general significance of the proposed study and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue

the project; (4) the adequacy of the available and proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

**93.856 MICROBIOLOGY AND INFECTIOUS DISEASES RESEARCH  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title IV, Section 301; Small Business Research and Development Enhancement Act of 1992, 42 U.S.C 241.

**OBJECTIVES:**

To support research related to Microbiology and Infectious Diseases with the broad aim of improving health by controlling disease caused by infectious or parasitic agents. Projects range from studies of microbial physiology and antigenic structure to collaborative trials of experimental drugs and vaccines. Also supported are studies on the mechanisms of resistance to antibiotics as well as research dealing with epidemiological observations in hospitalized patients or community populations. The objectives of the program are to assist public and private nonprofit institutions and individuals to establish, expand and improve biomedical research and research training in infectious diseases and related areas; to assist public, private and commercial institutions to conduct developmental research; to produce and test research materials; and to provide research services as required by the agency for programs in infectious diseases. Small Business Innovation Research (SBIR) program expands and improves private sector participation in biomedical research. The SBIR Program intends to increase and facilitate private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. The Small Business Technology Transfer (STTR) program stimulates and fosters scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Research Career Development Awards support the development of scientists during the formative stages of their careers. Individual National Research Service Awards (NRSAs) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, Institutional National Research Service Awards are made to enable institutions to select and make awards to individuals to receive training under the aegis of their institutional program.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

Beginning with fiscal year 1998, the direct costs awarded in the first year to a research project grant resulting from a competing renewal application will be limited to no more than a 20 percent increase over the direct costs awarded in the last non-competing year of that grant. Research grants provide funds for salaries, equipment, supplies, and travel. They also afford the collateral benefits of enriching the training experience of research workers. Grantees are expected to be judicious in using these funds. The application for a research grant sets forth specific terms and conditions and requires the signatures of the principal investigator and an official authorized to sign for the institution. Scientists and institutions are under an obligation to expend grant funds prudently for the purposes stated in the application and award document. For Research Career Development Awards (RCDAs) the scientists must demonstrate an outstanding research potential for independent research in the sciences related to transplantation, immunology, allergies, and immunological diseases. For National Research Service Awards (NRSAs), each individual who receives NRSA support is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential of the Phase II application.

**Applicant Eligibility:**

Universities, colleges, hospitals, laboratories and other public or private nonprofit domestic institutions, including State and local units of government. Individuals are eligible to make application for grant support of research by a named principal investigator or a research career development candidate. For-profit organizations are also eligible, with the exception of NRSA. Individual NRSA awardees must be nominated and sponsored by a public or nonprofit private institution having staff and facilities appropriate to the proposed research training program. All NRSA awardees must be citizens or have been admitted to the United States for permanent residence. To be eligible, predoctoral candidates must have completed the baccalaureate degree and postdoctoral candidates must have a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng.), or must have an equivalent domestic or foreign degree. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is being proposed and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which researches proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

Research grant applicants must define the objectives, methodology, and

facilities for the program, and must present the program director's competence and scientific interest. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. Applicants for Individual NRSAs must include their academic record, research experience, citizenship, institutional sponsorship, and the proposed area and plan of training in their applications. The applicant for an Institutional NRSA must specify the objectives, methodology, and resources for the research training program, the qualifications and experience of directing staff, the criteria to be used in selecting individuals for award, and a detailed budget and justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Use Form PHS-398 (Rev. May 1995), (PHS- 5161-1 for State and local government units) to apply for new, renewal, and supplemental research grants. Application forms and information concerning current areas of science being supported are available from the Division of Extramural Outreach and Information Resources, Office of Extramural Research, National Institutes of Health, 6701 Rockledge Drive, Room 6207, MSC 7910, Bethesda, MD 20892. Telephone: (301) 435- 0714. Fax (301) 480-0525. E-mail: asknih@od.nih.gov. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92 for State and local governments, must be used for this program. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: phone: (301) 206-9385; fax: (301) 206-9722; e-mail: a2y@cu.nih.gov. The Solicitations include submission procedures, review considerations, and grant application or contract proposal forms. SBIR and STTR grant applications should be submitted to the Center for Scientific Review, 6701 Rockledge Drive, Room 1040 - MSC 7710, Bethesda, MD 20892-7710.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and a national advisory council. If the application is recommended for approval and a decision to make an award is made, a formal award notice will be sent to the applicant or applicant institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 8 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of

the review of his/her application by communicating with the staff of the Institute. Final decisions on unresolved appeals are made with the advice of the National Advisory Allergy and Infectious Diseases Council.

**Renewals:**

Renewals of research grant support are by competitive application and review. The competitive application may request support for a segmental period of up to 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Research grant project periods average 4 years; these may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. See the following for information on how assistance is awarded/released: Research grant project periods average 4 years; these may not be extended beyond 7 years. (Project periods are generally composed of 1-year budget periods.) SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years.

**Reports:**

Yes annual reports requiring progress reports with information on inventions and expenditures are required. Yes we require quarterly expenditure reports and yearly and/or grant period reports of expenditures. At the end of the project we expect final expenditure reports. Yes annual reports requiring progress reports with information on inventions and expenditures are required. Yes we require quarterly expenditure reports and yearly and/or grant period reports of expenditures. At the end of the project we expect final expenditure reports. Yes all yearly and the final progress report are reviewed and monitored.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0885-0-1-552.

**Obligations:**

(Salaries) FY 11 \$2,012,766,000; FY 12 est \$2,024,091,000; and FY 13 est \$2,030,022,000

**Range and Average of Financial Assistance:**

Low 1,036 to high 45,599,285. Average is 601,743.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Donna C. Perry 6610 Rockledge Drive  
Suite 2100, Bethesda, Maryland 20892 Email: dp94y@nih.gov Phone:  
301-451-3197

**Website Address:**

<http://www.niaid.nih.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See relevant program announcements.

**93.859 BIOMEDICAL RESEARCH AND RESEARCH TRAINING  
FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Section 301 and Title IV of the Public Health Service Act, as amended.

**OBJECTIVES:**

The National Institute of General Medical Sciences supports research that increases understanding of life processes and lays the foundation for advances in disease diagnosis, treatment and prevention. NIGMS-funded researchers seek to answer important scientific questions in fields such as cell biology, biophysics, genetics, developmental biology, pharmacology, physiology, biological chemistry, biomedical technology, bioinformatics, computational biology, selected aspects of the behavioral sciences and specific cross-cutting clinical areas that affect multiple organ systems. To assure the vitality and continued productivity of the research enterprise, NIGMS also provides leadership in training the next generation of scientists as well as in developing and increasing the diversity of the scientific workforce.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

NIGMS is organized into divisions that support research and research training in a range of scientific fields.

Major areas in which these units fund research are listed below their names.

Division of Biomedical Technology, Bioinformatics, and Computational Biology

- Biomedical technology and software development
- Cell and molecular modeling and simulation
- Computational genomics
- Database design and enhancement
- High-throughput data analysis
- Systems biology

Division of Cell Biology and Biophysics

- Analytical and separation techniques
- Biophysical properties of proteins and nucleic acids
- Cell organization, motility and division
- Cellular imaging
- Membrane structure and function
- Molecular biophysics
- Single-molecule biophysics and nanoscience
- Spectroscopic techniques
- Structural biology
- Structural genomics and proteomics

Division of Genetics and Developmental Biology

- Chromosome organization and mechanics
- Developmental biology and genetics
- DNA replication, recombination and repair
- Epigenetics
- Genetic basis of human biology
- Neurogenetics and the genetics of behavior
- Population genetics, evolution and the genetics of complex traits
- Protein synthesis
- Regulation of cell growth, cell division, cell death and differentiation

Regulation of cellular processes by signaling  
RNA transcription and processing  
Stem cell biology

Division of Pharmacology, Physiology, and Biological Chemistry

Anesthesiology  
Biochemistry  
Bioenergetics and mitochondrial physiology  
Biotechnology and metabolic engineering  
Chemical biology and bio-inorganic chemistry  
Drug absorption, distribution, metabolism, excretion and predictive toxicology  
Enzymology  
Glycomics and glycosciences  
Molecular immunobiology  
Pharmacogenomics  
Pharmacology and clinical pharmacology  
Physiology  
Synthetic chemistry  
Sepsis  
Trauma, burn injury and wound healing

Division of Training, Workforce Development, and Diversity

Undergraduate student training and development  
Post-baccalaureate research education  
Predoctoral research training  
Postdoctoral research training, development and transition to independence  
Career development  
Faculty research development  
Research on interventions for workforce development  
Capacity-building research and resources in states that have historically not received significant levels of NIH research funding.

**Applicant Eligibility:**

NIGMS trainees must be U.S. citizens, non-citizen nationals or permanent residents.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company or institution engaged in biomedical research.

**Credentials/Documentation:**

Each applicant for research projects must present a research plan and furnish evidence that scientific competence, facilities, equipment and supplies are appropriate to carry out the plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. NIH announces availability of funds for grant programs by issuing funding opportunity announcements in the NIH Guide for Grants and Contracts (<http://grants.nih.gov/grants/guide/index.html>) and on Grants.gov (<http://www.grants.gov>). Application packages must be downloaded from Grants.gov and the majority must be submitted through Grants.gov. This program is subject to the provisions of 45 CFR, Part 92 for state and local governments and 45 CFR, Part 72 for other organizations, as appropriate.

**Award Procedure:**

All accepted applications are reviewed for scientific merit by an appropriate initial review group and by a national advisory council. National Research Service Award (NRSA) applications for the support of individual fellows and other applications requesting less than \$50,000 direct costs per year are not reviewed by the council. All approved applications compete for available funds on the basis of scientific merit and program emphasis.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Project Grants: about 9 months. NRSA: (institutional) 9-12 months, (individual) 6 months. Small Business Innovation Research (SBIR)/Small Business Technology Transfer Research (STTR): about 7-1/2 months.

**Appeals:**

A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH Web site at <http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

Renewal grants are generally made prior to the expiration of any current award.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Almost all awards are made for at least 1 year, with additional support (up to 4 more years) depending on the recommendation of the scientific review group, the national advisory council, successful annual performance and availability of funds. See the following for information on how assistance is awarded/released: varies by program, always on an annual basis.

**Reports:**

varies by program, always on an annual basis. varies by program, always on an annual basis. varies by program, always on an annual basis. varies by program, always on an annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Audits of profit making organizations are addressed in 45 CFR Part 72 (Subpart C, Section 74.26). In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last financial status report for the report period.

**Account Identification:**

75-0897-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$1,935,737,000; FY 12 est \$2,321,657,000; and FY 13 est \$2,257,855,000

**Range and Average of Financial Assistance:**

\$20,000 to \$10,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 16 Procedures of the Departmental Grant Appeals Board; 45 CFR 74; 45 CFR 92; NIH Extramural Programs brochure; miscellaneous program literature from Headquarters Office. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant

Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Susan J. Athey 45 Center Drive MSC6200, Bethesda, Maryland 20892 Email: [athneys@nigms.nih.gov](mailto:athneys@nigms.nih.gov) Phone: (301) 496-7301 Fax: (301) 402-0224.

**Website Address:**

<http://www.nigms.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

For an overview of NIGMS grant application and review, including funding policy, see

<http://www.nigms.nih.gov/Research/Application/GrantAppRev.html>. For more information about NIGMS, visit <http://www.nigms.nih.gov>.

**93.865 CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH**

NICHHD Eunice Kennedy Shriver National Institute of Child Health and Human Development

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 448 and 487, as amended, Public Laws 78-410 and 99-158, as amended, 42 U.S.C. 241; 42 U.S.C. 285g; 42 U.S.C. 288; Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

**OBJECTIVES:**

To conduct and support laboratory research, clinical trials, and studies with people that explore health processes. NICHD researchers examine growth and development, biologic and reproductive functions, behavior patterns, and population dynamics to protect and maintain the health of all people. To examine the impact of disabilities, diseases, and defects on the lives of individuals. With this information, the NICHD hopes to restore, increase, and maximize the capabilities of people affected by disease and injury. To sponsor training programs for scientists, doctors, and researchers to ensure that NICHD research can continue. By training these professionals in the latest research methods and technologies, the NICHD will be able to conduct its research and make health research progress until all children, adults, families, and populations enjoy good health.

The mission of the NICHD is to ensure that every person is born healthy and wanted, that women suffer no harmful effects from reproductive processes, and that all children have the chance to achieve their full potential for healthy and productive lives, free from disease or disability, and to ensure the health, productivity, independence, and well-being of all people through optimal rehabilitation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grantee agrees to administer the grant in accordance with the regulations and policies governing the research grant programs of the Public Health Service as stated in the terms and conditions on the application for the grant. National Research Service Awards: Awarded to individuals for full-time research training in specified behavioral and biomedical shortage areas. Awardees may utilize some of their time in academic and clinical duties if such work is closely related to their research training. Awards may be made to institutions to enable them to make NRS awards to individuals selected by them. Each individual awardee is obligated upon termination of the award to comply with certain service and payback provisions. SBIR Phase I grants (of approximately

6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and which are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1- year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions, both nonprofit and for-profit, and individuals. National Research Service Award: Support is provided for academic and research training only, in health and health-related areas that are periodically specified by the National Institutes of Health. Individuals with a professional or scientific degree are eligible (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree). Predoctoral research training grants to institutions are also supported. Proposed study must result in biomedical or behavioral research training in a specified shortage area and which may offer opportunity to research health scientists, research clinicians, etc., to broaden their scientific background or to extend their potential for research in health-related areas. Applicants must be citizens of the United States or be admitted to the United States for permanent residency; they also must be nominated and sponsored by a public or private institution having staff and facilities suitable to the proposed research training. Domestic nonprofit organizations may apply for the institutional NRS grant. SBIR: SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical or biobehavioral research.

**Credentials/Documentation:**

Applicants should submit the most recent revision of research grant application form to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892, using either PHS Form 398 or electronic submission via [Grants.gov](http://Grants.gov) as directed in the relevant NIH Funding Opportunity Announcement. NIH is in the process of converting to electronic submission of grant applications through [Grants.gov](http://Grants.gov), using the SF-424 (Research and Related (R&R)) family of forms. Information on the transition plan and on registering for electronic submission is available at <http://grants.nih.gov/grants/gide/notice-files/NOT-OD-05-067.html>. Updates regarding the transition process may be viewed at <http://era.nih.gov/ElectronicReceipt/>. All required forms specified in the application kit are to be completed by the applicant and submitted with the application package. National Research Service Award: Individual Award: The applicant's academic record, research experience, citizenship, and institution sponsorship should be documented in the application. Institutional Award: the applicant organization must show the objectives, methodology, and resources for the research training program, the qualifications and experience of directing

staff, the criteria to be used in selecting individuals for awards, and a detailed budget and justification for the amount of grant funds requested. For-profit organizations' costs are determined in accordance with 48 CFR, Subpart 31.2 of the Federal Acquisition Regulations. For other grantees, costs will be determined by HHS Regulations, 45 CFR, Part 74, Subpart Q. For SBIR and STTR grants, applicant organization (small business concern) must present in a research plan an idea that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Grant forms PHS 6246-1 and PHS 6246-2 are used to apply for SBIR Phase I and Phase II, respectively. Grant forms PHS 6246-3 and PHS 6246-4 are used to apply for STTR Phase I and Phase II, respectively. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The standard application forms, as furnished by PHS and required by 45 CFR, Part 92, must be used for this program. National Research Service Award: Prior to formal application, an individual must arrange for acceptance at a sponsoring institution by a sponsor who will supervise the training. Individuals must be sponsored by a domestic or foreign institution. SBIR/STTR: Same as for grants (above). NRSA applications, may be obtained at <http://www.grants.nih.gov/grants/funding/416/phs416.htm>; e-mail: [grantsinfo@nih.gov](mailto:grantsinfo@nih.gov). Completed applications should be submitted to the Center for Scientific Review, National Institutes of Health, 6701 Rockledge Drive, Bethesda, MD 20892-7710, or electronically via [Grants.gov](http://Grants.gov). The SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home page at [www.nih.gov/grants/funding/sbir.htm](http://www.nih.gov/grants/funding/sbir.htm) on the World Wide Web. A limited number of hard copies of these publications are produced. Subject to availability, they may be obtained by contacting the NIH support services contractor: Telephone: (301) 206-9385; Fax: (301) 206-9722; E-mail: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov). The Solicitation includes application forms, which, upon completion, should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD 20892. Small Business Technology Transfer (STTR) program uses same procedure as SBIR immediately above.

**Award Procedure:**

Each application receives a dual scientific review by non-NIH scientists. Awards are issued by the Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD). National Research Service Awards: Applications are reviewed for scientific merit by an appropriate study section committee or by an institute review committee. If recommended for approval and a decision is made to make an award, a formal award notice will be sent to the applicant and sponsor. Institutional Awards are issued by the Eunice Kenney Shriver National Institute of Child Health and Human Development (NICHD). All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for the available SBIR/STTR set-aside funds on the basis of scientific and technical merit and the commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 6 to 9 months: National Research Service Awards: From 6 to 9 months. SBIR/STTR: approximately 6 months.

**Appeals:**

A principal investigator (P.I.) may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A description of the NIH Peer Review Appeal procedures is available on the NIH web site at

<http://grants.nih.gov/grants/guide/notice-files/not97-232.html>.

**Renewals:**

> 180 Days. Renewal applications are accepted, except for small grants. National Research Service Awards: awards may be made for 1, 2, or 3 years. No individual may receive NIH fellowship support at the postdoctoral level for more than 3 years. Institutional Awards may be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are usually made annually with no project period to exceed 5 years in length. National Research Service Awards: From 1 to 3 years. SBIR: Phase I awards are generally for 6 months; Phase II awards normally may not exceed 2 years. STTR Phase I awards are generally for 1 year; Phase II awards normally may not exceed 2 years. See the following for information on how assistance is awarded/released: Each year, submitted progress reports for awarded grants are reviewed, and if satisfactory progress is demonstrated, a Notice of Grant Award is issued.

**Reports:**

Program reports are not applicable. The grantee institution is required to submit a SF 272 - Federal Cash Transactions Report - on a quarterly basis. The grantee institution is required to submit a progress report on an annual basis for each grant award. A Financial Status Report (FSR) is due either annually or at the end of the project period, depending on the type of grant. The grantee institution is required to submit a progress report on an annual basis for each grant award, which includes monitoring of performance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal officials.

**Records:**

Expenditures and other financial records must be retained for 3 years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0844-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$922,629,000; FY 12 est \$928,981,000; and FY 13 est \$926,756,000 - SBIR/STTR: FY 2011 actual \$30,094,000; FY 2012 estimate \$31,379,000; FY 2013 estimate \$32,513,000.

**Range and Average of Financial Assistance:**

For research project grants, fiscal year 2012, range is \$50,000 to \$5,000,000; average is \$439,098. Individual research fellowship awards: Basic stipend (first year beyond the doctoral degree) of \$41,400. The sponsoring institution will be provided, on application, with an allowance of up to \$8,850 per year to help defray the cost of training. No dependency allowances. SBIR: Average Phase I awards are for approximately \$100,000; Phase II awards may be made for amounts up to \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fiscal year 2011 NICHD awarded for competing and noncompeting research project grants a count of 1,651. Of this number, 82 were SBIR/STTR awards. Also 56 research centers were awarded. 520 other research grants were awarded. Actual number of institutional training awards was 652 and 100 individual training awards were made. Fiscal Year 2012: Fiscal year 2012 competing and noncompeting research project grants estimates are 1,599. Of this number, 86 are expected to be SBIR/STTR awards. Approximately 47 research centers will be awarded. 514 other research grants

are anticipated to be awarded. Projected institutional training awards are 592 in fiscal year 2012. The individual training award are projected for fiscal year 2012 to be 92. Fiscal Year 2013: Fiscal year 2013 competing and noncompeting research project grants estimates are 1,529. Of this number, 80 are expected to be SBIR/STTR awards. Approximately 53 research centers will be awarded. 525 other research grants are anticipated to be awarded. Projected institutional training awards are 623 in fiscal year 2013. The individual training award are projected for fiscal year 2013 to be 95.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92; NIH Grants Policy Statement, (Rev.) March 1, 2001, available on the NIH website at [http://grants.nih.gov/grants/policy/nihgps\\_2001/](http://grants.nih.gov/grants/policy/nihgps_2001/); NIH Guide to Grants and Contracts, available on the NIH website at <http://grants.nih.gov/grants/guide/>. Grants will be available under the authority of and administered in accordance with the NIH Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Eugene G. Hayunga, 6100 Executive Blvd., Room 2C01, Bethesda, Maryland 20892-7510 Email: [chayunga@mail.nih.gov](mailto:chayunga@mail.nih.gov) Phone: (301) 496-6856.

#### **Website Address:**

<http://www.nichd.nih.gov>.

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: FY 2011: The mission of the NICHD is to ensure that every person is born healthy and wanted, that women suffer no harmful effects from reproductive processes, and that all children have the chance to achieve their full potential for healthy and productive lives, free from disease or disability, and to ensure the health, productivity, independence, and well-being of all people through optimal rehabilitation.

The NICHD has made revolutionary progress toward achieving its goals. Since the Institute was founded:

Infant death rates in the United States have dropped more than 70 percent, with much of this decline resulting from NICHD-sponsored research.

Survival rates for respiratory distress syndrome have gone from 5 percent in the 1960s, to 95 percent today, due to advances in respirator technologies and the availability of replacement lung surfactant, resulting from the research efforts of the NICHD and other Institutes.

The rate of sudden infant death syndrome has dropped more than 50 percent since 1994 when the NICHD-led Back to Sleep education campaign now called Safe to Sleep began educating parents and caregivers about ways to reduce the risk of SIDS.

Transmission of HIV from infected mother to fetus and infant has dropped from 25 percent to less than 2 percent, as a result of NICHD's efforts in collaboration with other agencies and organizations.

The incidence of Haemophilus influenzae type B (Hib), once the leading cause of acquired intellectual and developmental disabilities (IDDs), has dropped more than 99 percent, because of development of the Hib vaccine by NICHD scientists, which has nearly eliminated this disease.

Congenital hypothyroidism, once responsible for many cases of IDDs, no longer has an impact on cognitive development because of screening techniques used to detect the condition in all newborns in time to allow treatment to prevent its effects.

Phenylketonuria, a disorder that also caused IDDs in many individuals, has been successfully eliminated as a factor in cognitive development through newborn screening and dietary therapy. Infertility that at one time kept couples from having babies of their own often can be treated and reversed.

Sound scientific information about the safety and effectiveness of different contraceptive methods for women and men is now available.

Many social, physical, and behavioral rehabilitation treatments for people with mental, developmental, and physical disabilities are now available. Fiscal Year 2012: FY 2012: Scientifically, the NICHD supports a broad research portfolio, uniquely focused on understanding human health and development from before birth until adulthood. The NICHD provides a home to targeted research in women's health and reproductive sciences research, pediatric research, the science of early childhood learning, demographic and behavioral research on child and family well-being and medical rehabilitation.

Thus, NICHD research spans from that needed to understand the molecular substrates of early health to research needed to understand the health impacts of economic and demographic changes on families.

In pursuit of our mission, the NICHD conducts and supports laboratory research, clinical trials, and epidemiological studies that explore health processes; examines the impact of disabilities, diseases, and defects on the lives of individuals; and sponsors training programs for scientists, doctors, and researchers to ensure that NICHD research can continue.

NICHD research programs incorporate the following concepts:

Events that happen prior to and throughout pregnancy, as well as during childhood, have a great impact on the health and well-being of children and adults. The Institute supports and conducts research to: advance knowledge of pregnancy, fetal development, and birth for developing strategies that prevent maternal, infant, and childhood mortality and morbidity; identify and promote the prerequisites of optimal physical, mental, and behavioral growth and development through infancy, childhood, and adolescence; and contribute to the prevention and amelioration of mental retardation and developmental disabilities.

Human growth and development is a life-long process that has many phases and functions. Much of the research in this area focuses on cellular, molecular, and developmental biology to build understanding of the mechanisms and interactions that guide a single fertilized egg through its development into a multi-cellular, highly organized adult organism.

Learning about the reproductive health of women and men and educating people about reproductive practices is important to both individuals and societies. Institute-supported basic, clinical, and epidemiological research in the reproductive sciences seeks to develop knowledge that enables women and men to overcome problems of infertility, and to regulate their fertility in ways that are safe, effective, and acceptable for various population groups. Institute-sponsored behavioral and social science research in the population field strives to understand the causes and consequences of reproductive behavior and population change.

Developing medical rehabilitation interventions can improve the health and well-being of people with disabilities. Research in medical rehabilitation seeks to develop improved techniques and technologies, with respect to the rehabilitation of individuals with physical disabilities resulting from diseases, disorders, injuries, or birth defects.

The Institute also supports research training across all its programs, with the intent of adding to the cadre of trained professionals who are available to conduct research in areas of critical public health concern. In addition, an overarching responsibility of the NICHD is to disseminate information that emanates from Institute research programs to researchers, practitioners, other health care professionals, and the public. Fiscal Year 2013: FY 2013: Moving forward, NICHD will continue to focus its activities on the most promising



scientific opportunities of the future. NICHDs scientific visioning process, to identify the most important scientific opportunities of the next decade across the Institutes broad mission, is key to this effort. The process engages hundreds of researchers, clinicians, and policy experts, catalyzing discussions about future directions in the scientific areas embodied by the NICHD mission. The emerging priorities and bold ideas will help drive future initiatives and collaborations.

NICHD priorities complement those of NIH, and are premised on the knowledge that building extraordinary scientific opportunities for the future starts with investments in basic research. Recently, NICHD researchers converted stem cells from the lining of the human uterus into insulin-producing cells, transplanting them into mice to control the animals diabetes, a finding that may lead to more effective diabetes treatments. Other NICHD-supported researchers developed a novel animal model for autism by modifying genes in mice to mimic human mutations associated with autism; the animal model will enable future studies on the causes of autism and the development of new interventions. Another study identified a molecular trigger to create the myelin that insulates nerve fibers and aids neural functioning. That discovery may allow scientists, one day, to speed myelin formation and help repair injured neurons.

Accelerating discovery through technology opens new paths to improve health. NICHD collaborative studies on x-ray and neutron diffraction on membranes exposed to anesthetics refined our understanding of how anesthesia works at the molecular level. These data could help researchers design better anesthetics and increase understanding of the membrane-protein interactions that are crucial to cellular function and survival. Recent advances also showed how gene regulatory networks control the formation of the basic body plan in an invertebrate model organism, the sea urchin. Now, improved genomic sequencing and digital imaging may permit researchers to extend these studies to vertebrates, eventually allowing scientists to map how the networks regulate the development of any cell type, any tissue, at any point in time. Such knowledge may shed new light on ways to prevent or ameliorate birth defects.

NICHDs efforts to advance translational sciences also promise new treatments for major health concerns. Building on previous NICHD-funded research, scientists found that administering progesterone, a naturally occurring hormone, to pregnant women with a short cervix can reduce preterm birth and the infants risk of developing respiratory distress syndrome. Researchers also discovered that a drug already approved to treat HIV/AIDS, tenofovir, when formulated as a vaginal gel, reduces the risk of herpes infections in women by disabling a key DNA enzyme in the herpes virus. Such discoveries, which lead to new uses for previously-approved drugs, have the potential to save many years and dollars in drug testing and approval. NICHD research also holds promise for developing novel, long-acting contraceptives for women, without negative side effects, and for creating innovative models that reveal the genetic and molecular pathways underlying drug toxicity in the developing human. These models will help generate improved therapeutics for pregnant women and children.

Future progress, however, cannot be made without new investigators and new ideas. NICHD has long supported the nations leading scientists. Recently, two NICHD-supported researchers were honored with the National Medal of Science, one for pioneering work in understanding the genetic basis of human biology and disease, the other for work that includes transforming mature cells into stem cells that can then be used to treat disease. For the fourth year in a row, NICHD also supported a researcher who won the Presidential Early Career Award for Scientists and Engineers; this year for work to develop biomarkers to optimize the dosing for certain drugs to treat children with cancer. Most importantly, the NICHD vision reaffirms the need to continue supporting the next generation of scientists, by encouraging the use of creative incentives, new mentoring approaches, social media, and creative transdisciplinary training programs.

In 2013, NICHD will complete its 50th birthday commemoration. This is an occasion not so much to applaud how far we have come, but to celebrate the promise of a healthier future for all women, children, families, and persons with disabilities, in communities at home and around the world.

## **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of the significance of the proposed research; approach; innovation; investigators; and environment. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

## **93.866 AGING RESEARCH**

(Aging)

### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

### **AUTHORIZATION:**

Small Business Research and Development Enhancement Act of 1992, Public Law 102-564; Public Health Service Act, Title IV, Part F, Section 487, Public Law 100-607, 42 U.S.C 288; Public Health Service Act, Title III, Part A, Section 301, Public Law 78-410, 42 U.S.C 241; Public Health Service Act, Title IV, Part C, Section 444,445,445 A-F, Public Law 99-158, 42 U.S.C 285.

### **OBJECTIVES:**

To encourage biomedical, social, and behavioral research and research training directed toward greater understanding of the aging process and the diseases, special problems, and needs of people as they age. The National Institute on Aging has established programs to pursue these goals. The Division of Aging Biology emphasizes understanding the basic biological processes of aging. The Division of Geriatrics and Clinical Gerontology supports research to improve the abilities of health care practitioners to respond to the diseases and other clinical problems of older people. The Division of Behavioral and Social Research supports research that will lead to greater understanding of the social, cultural, economic and psychological factors that affect both the process of growing old and the place of older people in society. The Division of Neuroscience fosters research concerned with the age-related changes in the nervous system as well as the related sensory, perceptual, and cognitive processes associated with aging and has a special emphasis on Alzheimer's disease. Small Business Innovation Research (SBIR) program: To expand and improve the SBIR program; to increase private sector commercialization of innovations derived from Federal research and development; to increase small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Research grants are intended to support the direct costs of a project in accordance with an approved budget, plus an appropriate amount for facilities and administrative costs. Grantees must agree to administer the grant in accordance with the regulations and policies governing the research grants program of the Public Health Service. National Research Service Awards (NRSA) (Individual) are made directly to approved applicants for research training in specified biomedical shortage areas. In addition, National Research Service Awards (Institutional) may be made to institutions to enable them to make NRSA to individuals selected by them. Each individual who receives a postdoctoral NRSA is obligated, upon termination of the award, to comply with certain service and payback provisions. Regulations are published in the Code of Federal Regulations and 42 CFR, Part 66. SBIR Phase I grants (of approximately 6 months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. SBIR Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. STTR Phase I grants (normally of 1- year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application.

**Applicant Eligibility:**

Grants: Universities, colleges, medical, dental and nursing schools, schools of public health, laboratories, hospitals, State and local health departments, other public or private institutions (both for-profit and nonprofit), and individuals. National Research Service Award: Individual NRSA may be made for postdoctoral training to applicants who hold a professional or scientific degree (M.D., Ph.D., D.D.S., D.O., D.V.M., Sc.D., D.Eng., or equivalent domestic or foreign degree) or for predoctoral training to applicants registered for doctoral research training. Institutional NRSA may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have a baccalaureate degree. Applicants must be citizens of the United States or admitted for permanent residency. Individual NRSA awardees must be nominated and sponsored by a public or private nonprofit institution having staff and facilities suitable to the proposed research training. Nonprofit domestic organizations may apply for the Institutional NRSA. SBIR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of award and during the conduct of the proposed project. In both Phase I and Phase II, the research must be performed in the U.S. or its possessions. STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. To be eligible for funding, a grant application other than a fellowship must be assessed for scientific merit by a scientific review group and receive approval from a national advisory council.

**Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

**Credentials/Documentation:**

The grants application submission process is currently in transition from a paper-based to an electronic format. A current transition-to-electronic-submission timeline for all grant mechanisms in the National Institutes of Health (NIH) Extramural Research Program timeline can be obtained from this site: <http://grants1.nih.gov/grants/funding/submissionschedule.htm>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. For grant programs still requiring submission of paper applications, the standard application forms, as furnished by the Public Health Service (PHS) and required by 45 CFR Part 92 for State and local governments, must be used. Consultation from institute staff is available for all grant programs. Applicants are encouraged to visit the Internet Web sites of the 27 institutes and centers at the NIH to obtain contact information for program staff. Applicants for multi-project awards are strongly encouraged to consult program staff before applying. Applicants may obtain forms and instructions for application preparation and submission at the following Internet Web site: <http://grants.nih.gov/grants/forms.htm>. When completed these applications should be submitted to the Center for Scientific Review, National Institutes of Health, Bethesda, MD. Applications are reviewed for scientific merit, evaluation of applicant qualifications, adequacy of the research environment, and significance of the proposed problem to be studied. The application form and instructions for the preparation and submission of applications to the National Research Service Awards Research Training Grants and Fellowships (NRSA) Program, PHS Form 416-1, can be obtained from the following URL (<http://grants.nih.gov/grants/funding/416/phs416.htm>). Prior to making formal application to the NRSA programs, individual NRSA applicants must be nominated and sponsored by a Federal, public or nonprofit institution having staff and facilities appropriate to the proposed research training program. Information concerning current areas of science being supported by those institutes participating in the NRSA Program at the NIH is available on the individual institute Web sites. A complete list of institutes at NIH is available at: <http://www.nih.gov/icd>. In addition, information about each institute's NRSA research topics and information about the NRSA Program can be obtained from the Division of Extramural Outreach and Information Resources, (see address above). The NRSA program is subject to the provisions of 45 CFR Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. The annual NIH Small Business Innovation Research (SBIR)-Small Business Technology Transfer (STTR) Omnibus Solicitation and SBIR-STTR Contract Solicitation may be obtained electronically by accessing the following URL: <http://grants1.nih.gov/grants/funding/sbir.htm>. The solicitations include application preparation and submission guidelines and instructions, information about review considerations, and Internet hyperlinks to the SBIR-STTR application and/or contract proposal forms. Applications to NIH's SBIR-STTR Programs must be submitted electronically through the U.S. Federal Government's Internet Web site, Grants.gov: [www.grants.gov](http://www.grants.gov). Submission of SBIR-STTR applications through Grants.gov requires pre-registration, which typically takes 2-4 weeks to complete. Information about registration to submit applications through Grants.gov can be found at: <http://era.nih.gov/ElectronicReceipt/preparing.htm>. Applicants are encouraged to read and refer to the extensive information on electronic submission of grant applications on the NIH Electronic Submission of Grants Applications Internet Web site at: <http://era.nih.gov/ElectronicReceipt>.

**Award Procedure:**

Grants and Institutional NRSA: Each application receives an initial scientific review by non-NIH scientists and a secondary review by the National Advisory Council on Aging. Individual NRSA do not receive a secondary review by the National Advisory Council on Aging. Awards are issued by the NIA to the grantee institution. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Grants: From 6 to 9 months. National Research Service Awards: From 6 to 9 months. SBIR/STTR: About 7-1/2 months.

**Appeals:**

From 30 to 60 days. A principal investigator may question the substantive or procedural aspects of the review of his/her application by communicating with the staff of the Institute. A formal appeal requires the signature of the appropriate institutional official.

**Renewals:**

> 180 Days. Grants: Renewal applications are accepted for most programs. Most individual NIH postdoctoral fellowship support is for no more than 3 years. Most individual predoctoral support is for no more than five years. Exploratory/developmental grant awards and Small Grant awards may not be renewed.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. None.

This program does not have MOE requirements. None.

**Length and Time Phasing of Assistance:**

Grant Awards are usually made annually and usually with project periods not to exceed 5 years in length. National Research Service Awards: Institutional awards may be made for up to 5 years, and individual awards may be made for as many as 3 years. SBIR: Normally, Phase I awards are for 6 months; normally, Phase II awards are for 2 years. STTR: Normally, Phase I awards are for 1 year; normally, Phase II awards are for 2 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. No cash reports are required. Grants: Annual progress reports and reports of expenditures are required. National Research Service Awards: Institutional awards require that a statement of appointment for each trainee selected by the Program Director be submitted to the NIA for each year of training. Reports are required after termination of the awards to ascertain compliance with the service and payback provisions for each institutionally selected trainee. Individual awards require reports upon award expiration to determine compliance with the service and payback provisions. Grants: Annual progress reports and reports of expenditures are required. National Research Service Awards: Institutional awards require that a statement of appointment for each trainee selected by the Program Director be submitted to the NIA for each year of training. Reports are required after termination of the awards to ascertain compliance with the service and payback provisions for each institutionally selected trainee. Individual awards require reports upon award expiration to determine compliance with the service and payback provisions. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a

period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents.

This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0843-0-1-552.

**Obligations:**

(Salaries) FY 11 \$158,082,000; FY 12 est \$162,780,000; and FY 13 est \$166,795,000 - Amounts shown are actual/estimated amounts available for competing research project grant awards. (Salaries) FY 11 \$852,573,000; FY 12 est \$878,219,000; and FY 13 est \$847,332,000 - Amounts shown are total (non-training) dollars available for competing and noncompeting awards.

**Range and Average of Financial Assistance:**

Awards vary in range depending on the particular activity codes. Individual fellowships range from \$38,000 to \$51,000 and average about \$42,000. Research grants have much larger ranges - from \$75,000 to several million dollars. Average costs of research grants are around \$400,000. All costs are shown on a single year basis. Awards may be for up to five years.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Robin A. Barr, Division of Extramural Activities, National Institute on Aging, 7201 Wisconsin Avenue, Room 2C218, Bethesda, Maryland 20892 Email: rb42h@nih.gov Phone: (301) 496-9322 Fax: (301) 402-2945.

**Website Address:**

<http://www.nia.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Immune function declines with age, resulting in increased susceptibility of aged individuals to infection and impaired responses to vaccines. A key focus of the current proposal is to use a well-characterized mouse model of influenza virus infection to determine mechanisms underlying the decreased ability of aged individuals to respond to and develop memory to new infections and vaccination. These studies are essential in order to develop strategies for overcoming these defects. The ability to generate T cell responses to newly encountered antigens and to respond to vaccination is dependent on the maintenance of a diverse repertoire of T cells. We have previously shown that there is an age-associated reduction in repertoire diversity among CD8 T cells, which has profound consequences for primary and protective immunity to

influenza virus. Because of reduced numbers and diversity of naive T cells in aged individuals, we hypothesize that aging results in a greater contribution of fortuitously cross-reactive memory cells to the response to new infections, and that this will lead to stochastic responses, often of lower avidity, and perhaps detrimental or pathological. In support of this, we have preliminary data showing that fortuitously cross-reactive memory cells from influenza-naive aged mice can respond to influenza virus epitopes, and in Aim 1 we will determine the contribution of cross reactive memory to the response to new infections, and assess the implications for cellular immunity. Two additional well-characterized defects associated with aging are that CD4 T cells are functionally impaired and that poor CD8 T cell memory is generated. However, the contribution of aged CD4 T cells to the development of defective CD8 memory is an understudied area in aging research, and will be examined in Aim 2 of the proposal. Taken together, these studies will address mechanisms underlying the age-associated decline in cellular immunity which is essential for the goal of designing better therapies and vaccines for elderly humans. PUBLIC HEALTH RELEVANCE: The ability to respond to infection or vaccination decreases dramatically with age. Elderly individuals are significantly more susceptible to infections than the young, but, unfortunately, the elderly are also more difficult to vaccinate. Therefore, it is essential that we understand the defects in immunity of the aged so that we can develop vaccine strategies that can overcome these defects. The studies proposed will use a mouse model to determine the mechanisms underlying decreased immunity of the elderly, an essential first step in the design of better vaccines.

Blackman 1 R01 AG039845-01. Fiscal Year 2012: We recently described the directed conversion of human skin fibroblasts from unaffected individuals and Alzheimer's disease (AD) patients to a CNS neuron phenotype, termed human induced neuronal cells (hiN) 1. Herein we propose to further develop hiN cells as tools for AD modeling, and subsequently to validate the approach in a more detailed analysis of cellular mechanisms of AD. The focus of the proposed studies is on familial AD (FAD)-associated disease with defined genetic lesions in presenilin-1 (PSEN1) or presenilin-2 (PSEN2). A clear advantage of such an analysis of FAD with defined mutations is that this facilitates genetic 'rescue' studies, as well as genetic dissection of function. Yet ultimately, perhaps the most exciting aspect of the hiN cell technology is that it may permit a cellular analysis of 'sporadic' disease. The overarching hypotheses to be tested in this work are that cellular aspects of FAD pathophysiology are: (1) Cell-autonomous to neurons and maintained through epigenetic reprogramming, and therefore amenable to hiN cell modeling. (2) Include altered intracellular vesicular trafficking at the soma and the synapse. The proposed deliverables for this proposed work are: (1) Novel human neuronal cell models for dissection of AD mechanisms and drug screening. (2) Directed reprogramming tools that may be broadly applied to the study of neurological disease. PUBLIC HEALTH RELEVANCE: We describe a novel approach to the generation of human neurons by the directed conversion of human skin cells. Such neurons, when derived from patients with familial forms of Alzheimer's, show pathological changes that typify the disease. Here we propose to investigate the mechanism by which human Alzheimer patient neurons develop cellular and molecular deficits.

Abeliovich 1 R01 AG042317. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessments of: the scientific merit and general significance of the proposed study and its objectives; the technical adequacy of the experimental design and approach; the competency of the proposed investigator or group to successfully pursue the project; the adequacy of the available and proposed facilities and resources; the necessity of the budget components requested in relation to the proposed project; and the relevance and importance to announced program objectives. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a)

safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

#### **93.867 VISION RESEARCH**

##### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

##### **AUTHORIZATION:**

Public Health Service Act, as amended, Title III, Part A, Section 301; Health Research Extension Act of 1985, Public Law 99-158, 42 U.S.C. 241; Title IV, Part B, Section 405; 42 U.S.C. 284; Part C, Section 455; 42 U.S.C. 285i; Health Omnibus Programs Extension Act of 1988, Section 487(d); Public Law 100-607, 42 U.S.C. 288(d); Small Business Research and Development Enhancement Act of 1992, Public Law 102-564.

##### **OBJECTIVES:**

To support eye and vision research projects that address the leading causes of blindness and impaired vision in the U.S. These include retinal diseases; corneal diseases; cataract; glaucoma and optic neuropathies; strabismus; amblyopia; and low vision and blindness rehabilitation. To increase understanding of the normal development and function of the visual system in order to better prevent, diagnose, and treat sight-threatening conditions; and, to enhance the rehabilitation, training, and quality of life of individuals who are partially-sighted or blind. To support a broad program of basic vision research through grants and cooperative agreements; to encourage high quality clinical research, including clinical trials, other epidemiological studies, and health services research; to encourage research training and career development in the sciences related to vision; and to sponsor scientific workshops in high priority research areas to encourage exchange of information among scientists. Small Business Innovation Research (SBIR) program: To increase private sector commercialization of innovations derived from Federal research and development; to encourage small business participation in Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation. Small Business Technology Transfer (STTR) program: To stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions; to foster technology transfer between small business concerns and research institutions; to increase private sector commercialization of innovations derived from Federal research and development; and to foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

##### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

##### **USES AND USE RESTRICTIONS:**

Research grants and cooperative agreements provide funds for salaries, consultant costs, equipment, supplies, travel, patient costs, alterations and renovations, other expenses, and consortium/contractual costs. The scientists and institutions are under an obligation to expend grant funds prudently for the purposes as stated in the application and award document. The Conference Cooperative Agreement supports scientific meetings and workshops in high priority research areas to encourage exchange of information among scientists. The Center Core Grant is intended to enhance an institution's environment and capability to conduct vision research, to facilitate collaborative studies of the visual system and its disorders, and to attract scientists of diverse disciplines to research on the visual system. Career development awards include the

Mentored Clinical Scientist Development Award, Mentored Patient-Oriented Research Career Development Award, Institutional Clinical Scientist Development Program, and the NIH Pathway to Independence Award. The Clinical Study Planning Grant is designed to support the development of an applied clinical research plan. NEI Research Grants for Secondary Data Analysis provide limited support for meritorious research projects that involve secondary analysis of research data generated from clinical trials, population research and other applied clinical vision research projects supported by the Institute. Bioengineering Research Grants (BRG) support basic bioengineering research whose outcomes are likely to advance health or health-related vision research. BRGs may propose to apply basic bioengineering design-directed or hypothesis-driven research to an important vision research area. Bioengineering Research Partnership grants support multidisciplinary research teams applying an integrative, systems approach to develop knowledge and/or methods to prevent, detect, diagnose, or treat diseases of the eye and visual system. NEI Translational Research Program on Therapy for Visual Disorders grants provide support to collaborative, multidisciplinary research focused on the development of novel therapies to restore or prevent the loss of function due to visual diseases and disorders. Small Business Innovation Research Phase I grants are awarded to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I that is likely to result in commercial products or processes. Only Phase I awardees are eligible to apply for Phase II support. Small Business Technology Transfer Research, Phase I grants are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. National Research Service Awards (NRSAs), both individual and institutional, support training in vision research. Some individuals who receive an NRSA may be obligated upon termination of the award to comply with certain service and payback provisions. The NIH Extramural Loan Repayment Programs provides payback of a portion of eligible student loan debt of qualified health professionals who agree to conduct clinical research.

#### **Applicant Eligibility:**

Public/State-controlled institutions of higher education, private institutions of higher education, Hispanic-serving institutions, Historically Black Colleges and Universities, tribally-controlled colleges and universities, Alaska Native- and Native Hawaiian-serving Institutions, nonprofits with or without 501(c)(3) IRS status, Small Businesses, for-profit organizations, federal institutions, and State and local units of government are eligible to make application for research grants, cooperative agreements, and career development awards. Foreign institutions may apply for research grants and cooperative agreements only. The grantee institution must agree to administer the grant in accordance with prevailing regulations and policies. Candidates for the Mentored Clinical Scientist Development and Mentored-Patient Oriented Research Career Awards are restricted to those holding health professional degrees in the clinical sciences (M.D., O.D., D.D.S., D.V.M., or equivalent). NRSAs are provided for predoctoral and postdoctoral research training. Individual NRSAs may be made for applicants who hold a professional or scientific degree (M.D., Ph.D., O.D., D.D.S., D.V.M., Sc.D., D.Eng., or equivalent degree). Institutional NRSAs may be made for both predoctoral and postdoctoral research training. Predoctoral awardees must have completed the baccalaureate degree. All awardees must be citizens of the United States, or have been admitted to the U.S. for permanent residence prior to award. Individual NRSA awardees must be nominated and sponsored by a Federal, public or private nonprofit institution having staff and facilities suitable to the proposed research training. Federal and for-profit organizations, and State and local governments may not apply for an institutional NRSA. Refer to the NIH Program Guidelines on NRSAs for further information. The Small Business Innovation grants: SBIRs can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have not more than 500 employees). Primary employment (more than one-half time) of the principal investigator must be with the small business at the time of the award and during the conduct of the proposed project. The research during both Phase I and Phase II must be performed in the U.S. or its possessions. Only Phase I awardees are eligible to receive Phase II support.

STTR grants can be awarded only to domestic small business concerns (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed and have no more than 500 employees) which "partner" with a research institution in cooperative research and development. At least 40 percent of the project is to be performed by the small business concern and at least 30 percent by the research institution. In both Phase I and Phase II, the research must be performed in the U.S. and its possessions. Individuals applying for the NIH Loan Repayment Programs must be engaged in patient oriented research and be trained in a medical subspecialty as defined under Section 206 of Public Law 106-505. These individuals must be U.S. citizens, U.S. citizen nationals, or lawfully admitted for permanent residence in the U.S.; have a student loan debt which equals or exceeds 20 percent of their university compensation; have no Federal judgment lien against their property arising from a Federal debt; and owe no obligation of health professional service to the Federal government, a State, or other entity unless deferrals are granted during the length of their Loan Repayment Program service obligation.

#### **Beneficiary Eligibility:**

Any nonprofit or for-profit organization, company, or institution engaged in biomedical research.

#### **Credentials/Documentation:**

(1) Research grants and cooperative agreements: Applications for research involving the use of human subjects must include documentation that all key personnel have received training in human subject protection. Applicants may provide additional documentation to establish the scientific and technical merit and the programmatic relevance of the application. (2) Individual NRSA applications: The applicant's academic record, research experience, institutional sponsorship, and the proposed area and plan of training must be included. (3) Institutional NRSA application: The applicant institution must discuss the objectives, methodology and resources for the research training program; the qualifications and experience of staff; the criteria to be used in selecting individuals for an appointment; and a budget and justification for the grant funds requested. Costs will be determined in accordance with the appropriate OMB Circular or with HHS Regulations 45 CFR, Part 74, Subpart Q. (4) For SBIR and STTR grants, the small business concern must present a research plan that has potential for commercialization and furnish evidence that scientific competence, experimental methods, facilities, equipment, and funds requested are appropriate to carry out the plan. Loan Repayment Program applicants must provide certification of loan status, loan data verification, and an institutional supporting statement. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Applicants for core grants, clinical study planning grants, cooperative agreements, small research grants for data analyses, and bioengineering research partnerships should seek preapplication coordination through contact with the National Eye Institute staff. All staff may be contacted at (301) 451-2020. Applicants for planning to submit a research project grant application requesting \$500,000 or more in direct costs for any year are required to discuss their eligibility with the NEI staff, at (301) 451-2020. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard application forms, as required by 45 CFR, Part 74 and 92, must be used for this program. Information regarding the application process, access to forms, and information regarding the <http://www.Grants.Gov> site are available on the NEI web site at <http://www.nei.nih.gov>. Prior to making formal application to the NRSA programs, individual NRSA applicants must be nominated and sponsored by a federal, public, or nonprofit institution having staff and facilities appropriate to the proposed research program. NEI specific instructions for preparing applications for Core Grants, Clinical Study Planning Grants, the NEI Translational Program on Therapy for Visual Disorders, and Cooperative Clinical Research Agreements are specified in the Funding Opportunity Announcements, links to which are available at <http://www.nei.nih.gov/>. SBIR and STTR Grant Solicitations and SBIR Contract Solicitation may be obtained electronically through the NIH's "Small Business Funding Opportunities" home

page at <http://www.nih.gov/grants/funding/sbir.htm>.

**Award Procedure:**

Applications are reviewed initially for scientific and technical merit. A second level review of the programmatic relevance of applications is provided by the National Advisory Eye Council. Second level review of NRSA fellowship applications is performed by a committee of senior staff of the National Eye Institute. Final approval is made by the Director, National Eye Institute. Formal award notices are transmitted to the appropriate institutional official.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately six to nine months for Research Grants, Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, cooperative clinical studies or conferences, Core Grants, and NRSA Institutional applications; from six to seven months for NRSA individual applications; and for SBIR, about eight months.

**Appeals:**

A principal investigator may communicate to the staff of the National Eye Institute any concerns regarding the substantive or procedural aspects of the review of an application.

**Renewals:**

Renewals of research grant or cooperative agreement support are by competitive application and review. Mentored Clinical Scientist Development Awards, Clinical Study Planning Grants, NEI Translational Research Program on Therapy for Visual Disorders, and NEI Research Grants for Secondary Data Analysis are non-renewable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Up to five years for research grants and cooperative agreements, Mentored Clinical Scientist Development Awards, Core Grants, and Institutional NRSA's. Up to three years for Academic Research Enhancement Awards and NRSA Individual postdoctoral awards. Clinical Study Planning Grants: one year. Awards to individuals made through an institutional NRSA may total eight years (five years predoctoral and an additional three years postdoctoral). SBIR: Normally, Phase I awards are for six months; normally, Phase II awards are for two years. STTR: Normally, Phase I awards are for one year; normally, Phase II awards are for two years. Loan Repayment Program Awards are for two years with the opportunity for renewal. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Grant Award (NoGA) will be provided to the applicant organization.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditures and other financial records must be retained for three years from the day on which the grantee submits the last expenditure report for the report period.

**Account Identification:**

75-0887-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$562,050,000; FY 12 est \$558,768,122; and FY 13 est \$551,288,960

**Range and Average of Financial Assistance:**

Grants and Cooperative agreements: \$26,298 to \$5,057,448; \$392,655. NRSA (Institutional): \$26,298 to \$560,041; \$217,314. NRSA (Individual): \$14,476 to \$62,002; \$45,355. SBIR Phase I: \$99,231 to \$570,438; \$130,023. SBIR Phase II: \$71,484 to \$953,134; \$431,300. STTR Phase I: \$105,906 to \$310,645; \$188,551. STTR Phase II: \$310,719 to \$408,108; \$346,016.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 11, this program supported 1,411 research grants, including 42 SBIR and STTR awards, and 240 NRSA positions. The program received 961 competing research grant applications in FY11, of 277 were funded giving a success rate of approximately 29%. Fiscal Year 2012: In FY 12, the program anticipates supporting 1,257 research grants, including 44 SBIR and STTR awards, and 271 NRSA positions. Fiscal Year 2013: It is projected that this program will support 1,351 research grants including 45 SBIR and STTR awards, and 241 NRSA positions.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 52; 42 CFR 66; 45 CFR 74; 45 CFR 92. PHS Grants Policy Statement DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994, and Addendum effective February 15, 1995; "NIH Guide for Grants and Contacts and Supplements." National Eye Institute Guidelines are available on the internet at <http://www.nei.nih.gov>. Grants will be available under the authority of and administered in accordance with the PHS Grants Policy Statement and Federal regulations at 42 CFR 52 and 42 USC 241; Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR) Grant and Cooperative Agreement Applications. Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Ellen S. Liberman, Ph.D. National Eye Institute, National Institutes of Health, Department of Health and Human Services, Room 1300, 5635 Fishers Lane, Bethesda, MD 20892-9300. Grants Management Officer Contact: Mr. William W. Darby, Chief, Grants Management Branch, National Eye Institute, National Institutes of Health, Department of Health and Human Services, Room 1300, 5635 Fishers Lane, Bethesda, MD 20892-9300. Telephone: (301) 451-2020. Use the same numbers for FTS. The National Eye Institute encourages applicants to visit its internet site at [www.nei.nih.gov/](http://www.nei.nih.gov/). Among the many recent additions to the site is an expanded "Research Funding" section which contains all National Eye Institute application guidelines and internet links to relevant NIH information., Bethesda, Maryland 20892-9300 Email: [esl@nei.nih.gov](mailto:esl@nei.nih.gov) Phone: (301) 451-2020 Fax: (301) 402-0528.

**Website Address:**

<http://www.nei.nih.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in the initial scientific and technical review of most applications include an assessment of significance, approach, innovation, investigator training and experience, and the scientific environment. In addition to these criteria, in accordance with NIH policy, all applications will also be reviewed with respect to the following: the adequacy of plans to include both genders, minorities, and their subgroups as appropriate for the scientific goals of the research; the reasonableness of the proposed budget and duration in relation to the proposed research; and, the adequacy of the proposed protection for humans, animals or the environment, to the extent they may be adversely affected by the project proposed in the application. A second level review of the programmatic relevance of most applications is provided by the National Advisory Eye Council. The following criteria will be used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the

technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications will be reviewed based upon the following criteria: (1) The degree to which the Phase I objectives were met and feasibility demonstrated; (2) the scientific and technical merit of the proposed approach for achieving the Phase II objectives; (3) the qualifications of the proposed principal investigator, supporting staff, and consultants; (4) the technological innovation, originality, or societal importance of the proposed research; (5) the potential of the proposed research for commercial application; (6) the reasonableness of the budget requested for the work proposed; (7) the adequacy and suitability of the facilities and research environment; and (8) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment.

### **93.879 MEDICAL LIBRARY ASSISTANCE**

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Title IV, Part D, Subpart 2, Section 472-476; Public Health Service Act, Title III, Part A, Section 301.

#### **OBJECTIVES:**

To improve health information services by providing funds to train professional personnel; to conduct research in biomedical informatics, bioinformatics and related computer and information sciences; to facilitate management of electronic health science information; to plan, develop and test feasibility of advanced information tools; to prepare certain kinds of biomedical publications; to advance biocomputing and bioinformatics through participation in Federal initiatives relating to biomedical informatics, bioinformatics and biomedical computing; to stimulate and foster scientific and technological innovation through cooperative research development carried out between small business concerns and research institutions, through Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) grants.

#### **TYPES OF ASSISTANCE:**

##### **PROJECT GRANTS**

#### **USES AND USE RESTRICTIONS:**

**RESEARCH GRANT PROGRAMS:** Research Grants are available for fundamental and applied research in biomedical informatics and bioinformatics. Areas of research interest include: representation, organization and retrieval of biomedical and biological knowledge, data and images; enhancement of human intellectual capacities through virtual reality, dynamic modeling, artificial intelligence, and machine learning; medical decision-making; linguistic analyses for natural language processing and understanding; informatics topics relevant to public health and informatics for disaster management. Research Project Grants (R01) are available for rigorous scientific research studies and experiments. From time to time, NLM issues Requests for Applications for innovative informatics research in special priority areas.

Exploratory/Developmental Grants (R21) support early, conceptual work and feasibility tests. Other research grants include Informatics Conference Grants (R13) and a number of NIH-wide grant programs on high priority topics such as health literacy, behavioral research, health disparity, women's health, climate change, and detection of gene environment interactions for complex human diseases. Further information on research grants is available at <http://www.nlm.nih.gov/ep/Grants.html#research>.

**TRAINING GRANT PROGRAMS:** NLM's University-based Biomedical Informatics Research Training Programs (T15) promote the training of talented individuals who seek research careers in biomedical informatics, bioinformatics, clinical translational informatics, and public health informatics. A competition for these institution-based training grants is announced every five years. The most recent competition was held in 2011. University-based training support may be at the pre- or post-doctoral level. Training sites recruit and choose their trainees, and are expected to have well-established computer facilities, strong informatics research and education programs, experienced

faculty and staff committed to research in the field of biomedical computing and/or biomedical informatics, and available courses or experience in computer science, information science, and cognitive sciences. Institutional training grants provide trainee stipends, tuition and fees, travel, and certain institutional support costs. Further information on training grants is available at <http://www.nlm.nih.gov/ep/Grants.html#training>.

**CAREER DEVELOPMENT GRANT PROGRAMS:** NLM offers an unmentored Independent Career Development award (K22) to help informatics trainees make the transition to a successful independent research career. NIH Pathway to Independence Career Development awards (K99/R00) are reserved for investigators who are making the transition to their first research positions. These grants can last up to five years. They include a mentored period, followed by an unmentored period, and provide both salary and a research fund. Research supplement awards are also offered to promote diversity in health-related informatics research, and to promote re-entry into informatics careers. Diversity and re-entry awards are issued as supplements to existing research grants funded by NLM. Further information on career development grants is available at <http://www.nlm.nih.gov/ep/Grants.html#career>.

**RESOURCE GRANT PROGRAMS:** NLM Applied Informatics Grants (G08) support implementation projects that bring useful, usable health information to those who need it. The specific focus may change from year to year. NLM offers Grants for Scholarly Works (G13) to support preparation of books in the history and philosophy of biomedicine, bioethics, and public policy areas of importance to health professionals and biomedical scientists. Typically, these programs issue one funding opportunity announcement (FOA) per year. The purpose, restrictions, funding periods and award limits vary for these grant programs and are described in the FOAs. Further information on resource grants is available at <http://www.nlm.nih.gov/ep/Grants.html#resource>.

**SMALL BUSINESS RESEARCH & DEVELOPMENT GRANT PROGRAMS:** Small Business Innovation Research (SBIR) and Small Business Technology Transfer Research (STTR) grants are made to U.S. small businesses that seek to undertake informatics research and development leading to commercialization. The STTR program requires a small business applicant organization to formally collaborate with a research institution in Phase I and Phase II. SBIR Phase I grants (of approximately 6-months' duration) are to establish the technical merit and feasibility of a proposed research effort that may lead to a commercial product or process. Phase II grants are for the continuation of the research initiated in Phase I and that are likely to result in commercial products or processes. Only Phase I awardees are eligible to receive Phase II support. STTR Phase I grants (normally of 1-year duration) are to determine the scientific, technical, and commercial merit and feasibility of the proposed cooperative effort that has potential for commercial application. Phase II funding is based on results of research initiated in Phase I and scientific and technical merit and commercial potential on Phase II application. Further information on SBIR/STTR grants is available at <http://www.nlm.nih.gov/ep/Grants.html#small>.

#### **Applicant Eligibility:**

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as the project director/principal investigator (PD/PI) is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for NIH support. See Beneficiary Eligibility below for further details.

#### **Beneficiary Eligibility:**

Research Grants are available to public or private, domestic or foreign, for profit or not-for-profit institutions or organizations with research capabilities in biomedical informatics, bioinformatics, computer sciences, information sciences and related disciplines. Training Grants may be made to nonfederal public and nonprofit private institutions. With the exception of NIH Pathway to Independence awards, trainees must be citizens or non-citizen nationals of the United States or have been lawfully admitted to the United States for permanent residence. Resource grants (Information Resource, Scholarly Works) are open to any U.S. public or private nonprofit institution or organization. SBIR and STTR grants can be awarded only to domestic small businesses (entities that are independently owned and operated for profit, are not dominant in the field in which research is proposed, and have no more than 500 employees). To be eligible for funding, a grant application must be approved for scientific merit and program relevance by a scientific review group and a national advisory

council.

**Credentials/Documentation:**

Cost allowability will be determined in accordance with OMB Circular A-87 for State, Local, and Indian Tribal Governments, OMB Circular A-21 for Educational Institutions and for For-profit organizations, costs will be determined in accordance with 48 CFR Subpart 31.2 Federal Acquisition Regulation (FAR). Nonprofit institutions cost principles are outlined under OMB Circular A-122 and for Hospitals, 45 CFR Part 74, Appendix E. These cost principles are codified under 45 CFR 74.27 and 92.22. Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations are outlined in OMB Circular A-110. Documentation providing NIH grants policy and guidance can be found at <http://grants.nih.gov/grants/policy/policy.htm>. The Division of Extramural Programs, NLM provides program specific grant information at <http://www.nlm.nih.gov/ep>. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Only electronic applications are accepted for all types of Research Grants, SBIR and STTR grants, and Resource Grants. Electronic grant submission of the SF424 (R&R) form is via <http://www.grants.gov>. For instructions on submitting grants electronically, see <http://era.nih.gov/ElectronicReceipt/>. These programs are subject to the provisions of 45 CFR, Part 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations. Updates on NLM application deadlines and links to available forms can also be found at <http://www.nlm.nih.gov/ep/>.

**Award Procedure:**

Research, training, career development and resource applications are evaluated for merit by a committee of scientific experts and for program relevance by the Board of Regents (BOR) of the National Library of Medicine (NLM). If favorably recommended, the application is considered for funding. An award notice is prepared when it is determined that a grant is to be paid. All accepted SBIR/STTR applications are evaluated for scientific and technical merit by an appropriate scientific peer review panel and by a national advisory council or board. All applications receiving a priority score compete for available SBIR/STTR set-aside funds on the basis of scientific and technical merit and commercial potential of the proposed research, program relevance, and program balance among the areas of research.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. From 9-10 months after the application deadline.

**Appeals:**

NIH policy allows a principal investigator (PI) to appeal the outcome of a review if procedural errors or factual errors entered into the review of the application. A description of the NIH Peer Review Appeal procedures is available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-064.html>. However, differences of scientific opinion that often occur between investigators and reviewers may not be contested through these procedures. In addition, communications from investigators consisting of additional information that was not available to the reviewers are not considered to be appeals. The NIH policy on unsuccessful applicant resubmissions of grant proposals can be found at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-080.html>.

**Renewals:**

> 180 Days. Competing renewal applications follow same review procedures and deadlines as new applications; dates for submission are at <http://www.nlm.nih.gov/ep/Deadlines.html>. NIH also permits the resubmission of an application that has been revised following merit review. Deadlines for

resubmissions are listed with other deadlines. Applicants should consult the program announcement to find out if renewals are allowed for that grant program.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The length of a grant award varies by the type of grant. R01 research grants generally last three or four years. Resource grants, Exploratory/Developmental grants, and Career Transition awards have defined maximum periods that are provided in the funding opportunity announcement. See the following for information on how assistance is awarded/released: A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization.

**Reports:**

No program reports are required. No cash reports are required. Annual grant progress reports covering progress by specific aims must be submitted. A mid-year progress report may be requested at the program officers discretion. At the end of a grant, the awardee must file a final progress report and final statement of invention. A Federal Financial Report must be filed when requested. A final Federal Financial Report must be filed at the end of the grant. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In accordance with 45 CFR 74 Subpart C Section 74.26(d) for-profit organizations that expend more than \$500,000 in DHHS awards in a year shall have an audit of the DHHS awards in accordance with the "Government Auditing Standards" (Yellow Book) or an audit that meets the requirements of OMB Circular A-133. Award recipients that do not meet the \$500,000 threshold are exempt from Federal audit requirements for that year, except as noted in Circular A-133. In addition, grants and cooperative agreements are subject to review or audit by appropriate officials of the Federal (funding) agency, pass-through entity and the Government Accountability Office (GAO). Foreign organizations must use the for-profit audit requirements for DHHS supported awards. The NIH/DHHS Loan Repayment Program (LRP) is not subject to Federal auditing requirements. For OMB policy statements on grants, see [http://www.whitehouse.gov/omb/grants/grants\\_docs.html](http://www.whitehouse.gov/omb/grants/grants_docs.html). Government Auditing Standards is available on the GAO Web site at <http://www.gao.gov/govaud/ybk01.htm>.

**Records:**

Financial and programmatic grant records must be retained for 3 years from the day on which the grantee submits the last (annual) Federal Financial Report (FFR). Streamlined Noncompeting Application Process (SNAP) awardees beginning date for record retention purposes is the date of the FFR submission for the entire competitive segment of the grant.

**Account Identification:**

75-0807-0-2-552.

**Obligations:**

(Project Grants) FY 11 \$44,281,000; FY 12 est \$44,281,000; and FY 13 est \$44,281,000

**Range and Average of Financial Assistance:**

\$20,000 to \$750,000 (range)  
\$365,488 average total cost for Basic Research Grant (R01)  
\$112,882 average total cost for Information Resource Grant (G08)  
\$47,635 - average total cost for Scholarly Works Grant (G13).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.



**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Library of Medicine Grant Programs are awarded under the Public Health Service Act and the Medical Library Assistance Act. Grants and funding awards are made available under the authority of the Acts as codified under 45 CFR 74 (Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations; and Certain Grants and Agreements with States, Local Governments, and Indian Tribal Governments and 45 CFR 92 (Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments); the NIH Grants Policy Statement is available to grantees as a single document governing the NIH/DHHS policy requirements and terms and conditions of NIH/DHHS grant awards. Additional regulations and guidelines are provided in the Omnibus Solicitation of the Public Health Service for Small Business Innovation Research (SBIR - R43, R44) Grant and Cooperative Agreement Applications including the Omnibus Solicitation of the National Institutes of Health for Small Business Technology Transfer (STTR - R41, R42) Grant Applications.

**Regional or Local Office:**

None.

**Headquarters Office:**

Extramural Programs National Library of Medicine, National Institutes of Health, Public Health Service, Department of Health and Human Services, Bethesda, MD 20894. Telephone: (301) 496-4621. Program Contacts: Telephone: (301) 594-4882. Grants Management Contact: Grants Management Officer: Telephone: (301) 496-4221. Grant Review Contact: Scientific Review Administrator. Telephone: (301) 496-4253. Use the same numbers for FTS. Website: <http://www.nlm.nih.gov/ep>., Bethesda, Maryland 20892 Phone: (301) 496-4621

**Website Address:**

<http://www.nlm.nih.gov/ep>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Projects funded by NLM can be found by searching: <http://projectreporter.nih.gov/reporter.cfm>. Fiscal Year 2012: Projects funded by NLM can be found by searching: <http://projectreporter.nih.gov/reporter.cfm>. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

The standard NIH review criteria, significance, investigator, innovation, approach, environment are used as the basis of merit review. Considerations for final award decisions include level of innovation, program priority, portfolio balance, and availability of funds. For NLM resource grants, review criteria include considerations as to relevance to program objectives; impact on the management and transmission of biomedical knowledge; institutional readiness and resources available to project; expertise of project director and key personnel; scientific or technical merit of project; sustainability of what is deployed, and appropriateness of budget. For Career awards, review criteria include issues pertaining to the suitability of the candidates and their career development plan, research plan, mentors/consultants/collaborators, as well as the environment and institutional commitment to the candidates. For Training awards, review criteria include evidence of soundness in the areas of: Training Program and Environment, Training Program Principal Investigator(s), Preceptors and Mentors, Trainees, and Training Record. Comparative priorities on the above criteria are based on collective judgment of peer reviewers. The following criteria are used in considering the scientific and technical merit of SBIR/STTR Phase I grant applications: (1) The soundness and technical merit of the proposed approach; (2) the qualifications of the proposed principal investigator, supporting staff, and consultants; (3) the scientific, technical, or technological innovation of the proposed research; (4) the potential of the proposed research for commercial application; (5) the appropriateness of the budget requested; (6) the adequacy and suitability of the facilities and research environment; and (7) where applicable, the adequacy of assurances detailing the proposed means for (a) safeguarding human or animal subjects, and/or (b) protecting against or minimizing any adverse effect on the environment. Phase II grant applications are reviewed based upon the similar criteria, and on the degree to which the Phase I objectives were met and feasibility demonstrated.

**93.884 GRANTS FOR PRIMARY CARE TRAINING AND ENHANCEMENT**

Primary Care Training; PCTE

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Section 747(b), Public Health Service Act, as amended by the Affordable Care Act (P. L. 111-148).

**OBJECTIVES:**

Grants are awarded for the following purposes: (1) Academic Administrative Units in Primary Care-- to establish, maintain, or improve academic administrative units (which may be departments, divisions, or other entities) to provide clinical instruction in family medicine, general internal medicine, general pediatrics, and/or combined internal medicine-pediatrics; (2) Predoctoral Training in Primary Care-- to plan, develop, and operate or participate in programs that teach medical students primary care skills through experiences in family medicine, general internal medicine, general pediatrics, and/or combined internal medicine-pediatrics; (3) Residency Training in Primary Care-- to plan, develop, and operate or participate in approved residency programs in family medicine, general internal medicine, general pediatrics, and/or combine internal medicine-pediatrics; (4) Physician Faculty Development in Primary Care-- to plan, develop, and operate programs (including provision of financial assistance to trainees) that prepare physicians who teach or plan to teach in family medicine, general internal medicine, general pediatrics, and/or combined internal medicine-pediatrics training programs; (5) Physician Assistant Training in Primary Care-- to meet the costs of projects to plan, develop, and operate or maintain programs that teach physician assistant students and that train individuals who will teach physician assistant students; and (6) Interdisciplinary and Interprofessional Graduate Joint Degree -- to plan, develop, and operate joint degree programs to provide interdisciplinary and interprofessional graduate training in public health and other health professions and that teach environmental health, infectious disease control, disease prevention and health promotion, epidemiological studies and/or injury control.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants may not be used for new construction, patient services.

**Applicant Eligibility:**

The applicant organization must meet the eligibility requirements as indicated for each program area: Residency Training in Primary Care, Physician Faculty Development in Primary Care, Interdisciplinary and Interprofessional Joint Graduate Degree, Physician Assistant Training in Primary Care: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, accredited academically affiliated physician assistant education programs, or public or private nonprofit entities are eligible to apply.

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to apply.

**Beneficiary Eligibility:**

For the following programs: Residency Training in Primary Care, Physician Faculty Development in Primary Care, Interdisciplinary and Interprofessional Joint Graduate Degree, Physician Assistant Training in Primary Care: Public or nonprofit private hospitals, accredited schools of medicine or osteopathic medicine, accredited academically affiliated physician assistant education programs, or public or private nonprofit entities are eligible to apply.

Predoctoral Training in Primary Care, Academic Administrative Units in Primary Care: Accredited public or nonprofit private schools of allopathic or osteopathic medicine are eligible to apply. Faith-based and community-based organizations that meet the criteria in the preceding sentence are eligible to

apply.

**Credentials/Documentation:**

Each program has its own HRSA funding opportunity announcement (FOA) issued under this CFDA program that applicants should review to identify any required proof or certifications that must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification of award is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 2 to 3 months after receipt of application.

**Appeals:**

Not Applicable.

**Renewals:**

During the last budget period of the project period, competing continuation applications may be submitted for five (5) years of support.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Project periods are for five years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records three years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the three-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$35,288,558; FY 12 est \$35,820,186; and FY 13 est \$47,000,000

**Range and Average of Financial Assistance:**

The range of awards is \$68,158 to \$467,536; the average is \$200,989.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 111 new awards were made through 5 competitions and are receiving an investment of \$19.3 million, and 63 awards continued for \$16 million, for a total of 174 awards in FY 11. Fiscal Year 2012: 173 new and continuing PCTE grants receiving an investment of \$35,820,186. Two competitions were held and 22 new grants awarded for an investment of \$4,921,997 in FY 12. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Shannon K. Bolon, MD, MPH. Chief of the Primary Care Medical Education Branch, Division of Medicine and Dentistry, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857, Telephone: (301) 443-1467 and E-mail: [SBolon@hrsa.gov](mailto:SBolon@hrsa.gov).

**Headquarters Office:**

Division of Medicine and Dentistry 5600 Fishers Lane, Room 9A-27, Rockville, Maryland 20857 Phone: (301) 443-6190 Fax: (301) 443-8890

**Website Address:**

<http://bhpr.hrsa.gov/grants/medicine.index.html>

**RELATED PROGRAMS:**

93.403 ARRA - Training in Primary Care Medicine and Dentistry

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Procedures for assessing the technical merit of grant applications have been instituted to provide an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. Critical indicators have been developed for each review criterion to assist the applicant in presenting pertinent information related to that criterion and to provide the reviewer with a standard for evaluation. Competing applications are reviewed by nonfederal reviewers for technical merit recommendations. Refer to Grants.gov to obtain a copy of the pertinent funding

opportunity announcement, and section V.1 of any announcement for specific review criteria.

### **93.887 HEALTH CARE AND OTHER FACILITIES**

Renovation or Construction Projects

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Consolidated Appropriations Act, 2010 (P. L. 111-117).

#### **OBJECTIVES:**

To construct, renovate, expand, equip, or modernize health care facilities and other health care related facilities.

#### **TYPES OF ASSISTANCE:**

Project Grants (for specified projects)

#### **USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of the fiscal year.

#### **Applicant Eligibility:**

Eligible applicants include State and local governments, including their universities and colleges, quasi- governmental agencies, private universities and colleges, and private profit and nonprofit organizations. Organizations must be specifically earmarked in the Congressional Appropriation Bill.

#### **Beneficiary Eligibility:**

Public or other entities will benefit.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application materials are provided to organizations that were specifically earmarked in the Appropriation Bill or Conference Report, based upon information in HRSA's annual appropriation.

#### **Award Procedure:**

Only Congressional-directed funded organizations may receive an award.

All applicants are required to apply electronically through Grants.gov.

Awards are made subsequent to proposal evaluations carried out by HRSA staff.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

Awards are usually issued for a 3-year project period. Funds must be expended in 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

At the conclusion of the project, recipients must submit a final report on project costs (424C) and a list of equipment purchased with funds. No cash reports are required. Final Financial Report. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Last award year was fiscal year 2010. No funds authorized for fiscal years 2011 and 2012.

#### **Range and Average of Financial Assistance:**

No Data Available.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Data Available for Fiscal Year 2011. Fiscal Year 2012: No Data Available for Fiscal Year 2012. Fiscal Year 2013: No Data Available.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### **Regional or Local Office:**

None. Program Contact: Mr. David Colwander, Chief, Facilities Services Branch, Division of Poison Control and Healthcare Facilities, Healthcare Systems Bureau, 5600 Fishers Lane, Room 10-105, Rockville, Maryland 20857 Phone: (301) 443-7858.

#### **Headquarters Office:**

David Colwander 5600 Fishers Lane, Room 10-105, Rockville, Maryland 20857 Phone: (301) 443-7858

#### **Website Address:**

<http://www.hrsa.gov/hcofconstruction/>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **93.888 SPECIALLY SELECTED HEALTH PROJECTS**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

The Consolidated Appropriations Act of 2010 (Public Law 111-117).

#### **OBJECTIVES:**

To carry out programs that have been selected by the U.S. Congress as being needed for improved health care.

#### **TYPES OF ASSISTANCE:**

Project Grants (for specified projects)

#### **USES AND USE RESTRICTIONS:**

All funds awarded should be expended solely for carrying out the approved projects in accordance with the provisions of the Consolidated Appropriations Act of 2010 (Public Law 111-117).

#### **Applicant Eligibility:**

State and local governments, including their universities and colleges, quasi-governmental agencies, private universities and colleges, and private profit and nonprofit organizations. Organizations must be specifically identified in the Congressional Appropriation Bill.

#### **Beneficiary Eligibility:**

Public or other entities will benefit.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

Only Congressionally identified organizations may receive an award. All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Awards are usually issued a one-year project period. Grant funds must be expended in 5 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment

system for HHS awards.

#### **Reports:**

No program reports are required. No cash reports are required. At the conclusion of the project, grantees must submit a final Federal Financial Report (FFR), a final report on project costs, and a list of equipment purchased with grant funds. No expenditure reports are required. No performance monitoring is required.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0350-0-1-550.

#### **Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

#### **Range and Average of Financial Assistance:**

No data available.

#### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

#### **Regional or Local Office:**

See Regional Agency Offices. Program Contact: Lilly Smetana, The Office of Rural Health Policy Room 5A-55 , 5600 Fishers Lane, Rockville, MD 2085, (301) 443-0835.

#### **Headquarters Office:**

The Office of Rural Health Policy, 5600 Fishers Lane, Room 5A-55 , Rockville, Maryland 20857 Phone: (301) 443-0835.

#### **Website Address:**

<http://www.rurahealth.hrsa.gov>

#### **RELATED PROGRAMS:**

Not Applicable.

#### **EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

#### **CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

### **93.889 NATIONAL BIOTERRORISM HOSPITAL PREPAREDNESS PROGRAM**

(HPP)

#### **FEDERAL AGENCY:**

Office of the Secretary, Department of Health and Human Services

#### **AUTHORIZATION:**

Section 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417.

**OBJECTIVES:**

To ready hospitals and other healthcare systems, in collaboration with other partners, to deliver coordinated and effective care to victims of terrorism and other public health emergencies.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

The distribution of funds will be to the health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands. The statute specifies appropriate use of funds.

**Applicant Eligibility:**

State health departments of all 50 States, the District of Columbia, the nation's three largest municipalities (New York City, Chicago and Los Angeles County), the Commonwealths of Puerto Rico and the Northern Mariana Islands, the territories of American Samoa, Guam and the United States Virgin Islands, the Federated States of Micronesia, and the Republics of Palau and the Marshall Islands.

**Beneficiary Eligibility:**

All State health departments listed above, hospitals and supporting health care systems.

**Credentials/Documentation:**

Applicants should review the individual ASPR Hospital Preparedness Program Funding Opportunity Announcement documents issued under this CFDA for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. All qualified applications from eligible applicants will be reviewed and final funding award recommendations forwarded to ASPR.

**Award Procedure:**

Notification is made in writing through a Notice of Grant Award issued from the program's Grants Management Office.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Section 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417.

Matching Requirements: Percent: 10.%.  
This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Project periods are limited up to 3 years. Budget periods are limited up to 12 months. See the following for information on how assistance is awarded/released: See the following for information on how assistance is awarded/released: Awardee is issued a Notice of Award, a legal document that informs the awardee that a grant award has been made. Awardee may draw down funds in advance of the incursion of an expenditure (up to three days) from the Payment Management System.

**Reports:**

Program reports are not applicable. Recipients must report cash transaction data via the Payment Management System (PMS) using the cash transaction data elements captured on the Federal Financial Report (FFR), Standard Form (SF) 425. Recipients will utilize the Transactions section of SF425 in lieu of the SF272. The FFR SF425 cash Transaction Report is due 30 days after the end of each calendar quarter. Semi-annual and year end progress reports are required. ASPR requires cumulative financial reporting through consecutive funding periods on the SF269 FSR long form. The FFR SF425 was designed to replace the Financial Status Report SF269 and the Federal Cash Transactions Report SF272 with one comprehensive financial reporting form. Until HHS fully migrates to the SF425 FFR, recipients are still required to submit the SF269 Financial Status Report (FSR) semi-annually within 30 days after the first 6 month period and within 90 days of the budget period end date. Grantees are required to submit final Financial Status Reports (SF-269). Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Awardees are required to maintain grant accounting records for a minimum of 3 years after the end of a grant period. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. More detailed information regarding retention requirements are provided in Title 45, CFR Part 92.

**Account Identification:**

75-0140-0-1-551.

**Obligations:**

(Formula Grants (Cooperative Agreements)) FY 11 \$390,500,000; FY 12 est \$351,644,731; and FY 13 est \$351,644,731

**Range and Average of Financial Assistance:**

\$300,000 to \$35,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Building on the success of program improved foundational hospital-based preparedness elements including Communications and Situational Awareness systems, Exercise and Training programs, and others, grant awards will continue enhancing HPP surge capacity and capability through awardee implementation of the new FY 2012 Hospital Preparedness Program (HPP) capabilities promoted in the ASPR publication Healthcare Preparedness Capabilities: National Guidance for Healthcare System Preparedness. Specifically, current and future grant awards will help state and local governments, healthcare coalitions, and ESF #8 planners identify gaps in preparedness, determine specific priorities, and develop plans for building and sustaining eight national stakeholder-created and vetted healthcare-specific capabilities to build community preparedness and resilient healthcare systems. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education,

hospitals, other nonprofit organizations and commercial organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Robert Scott Dugas , Hospital Preparedness Program, U.S. Department of Health and Human Services, Assistant Secretary for Preparedness and Response, 395 E Street, SW, 10th Floor, Suite 1075, Room 13, Washington, District of Columbia 20024 Email: Robert.Dugas@hhs.gov Phone: (202) 245-0732

**Website Address:**

<http://www.phe.gov>

**RELATED PROGRAMS:**

93.003 Public Health and Social Services Emergency Fund

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

This is a formula grant program. The applicants must submit their application in accordance with fiscal year Funding Opportunity Announcement. The applications are reviewed and approved applications are processed immediately. Applications approved with conditions, require the applicant to resubmit supporting information within a prescribed time frame. Upon review and approval, the revised application can then be submitted to Grants Management for processing and issuing a notice of grant award.

**93.908 NURSING EDUCATION LOAN REPAYMENT PROGRAM**

Nursing Education Loan Repayment Program

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act (42 United States Code 297(n)(a)), Section 846(a), as amended by, Patient Protection and Affordable Care Act of 2010, Public Law 111-148 Sec. 5310(a).

**OBJECTIVES:**

To assist in the recruitment and retention of professional registered nurses (RN) in: 1) approved critical shortage areas to increase access to quality health care by offering loan repayment in return for full-time service at an eligible health care facility with a critical shortage of nurses; and 2) eligible schools of nursing for RNs dedicated to serving as full-time faculty members.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

The program offers Registered Nurses (RN) substantial economic assistance to repay their qualifying educational loans in exchange for full-time service at a health care facility with a critical shortage of nurses. Nursing Education Loan Repayment Program (NELRP) participants enter into a contract agreeing to provide full-time service at an approved Critical Shortage Facility (CSF) for two years. In return, NELRP will pay 30 percent of the participant's total qualifying loan balance each year (total of 60 percent). A participant may be eligible to continue his/her two-year NELRP contract to serve for a third (optional) year at a CSF. If a participant works full-time for a third year in a CSF, the NELRP will pay an additional 25 percent of the participant's original qualifying loan balance, bringing the total to 85 percent of eligible loan balances.

**Applicant Eligibility:**

Individuals who satisfy the following criteria are eligible to apply: (1) have received a baccalaureate or associate degree in nursing (or an equivalent degree), a diploma in nursing or a graduate degree in nursing; (2) have outstanding qualifying educational loans leading to a degree or diploma in nursing; (3) a U.S. citizen, national or a permanent legal resident of the United States; (4) employed full-time (32 hours or more per week) at a critical shortage facility (CSF) or employed as a full-time nurse faculty member at a public or private nonprofit school of nursing; (5) have completed the nursing education

program for which the loan balance applies; (6) have a current unrestricted license in the State in which they intend to practice or be authorized to practice in the State under the Nurse Licensure Compact; and (7) submit a complete application, including a signed contract to work full-time as a registered or advanced practice nurse for 2 years at an eligible health care facility with a critical shortage of nurses.

**Beneficiary Eligibility:**

Beneficiaries include registered nurses who have received a diploma, an associate degree, a baccalaureate degree or a graduate degree in nursing from an accredited school of nursing.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants may apply online at <https://programportal.hrsa.gov>

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

Renewals for the third year of service will be considered based on the availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Loan repayments for 1 year of obligated service will be made no later than the end of the Federal fiscal year in which the individual completes such year of service. See the following for information on how assistance is awarded/released: Direct Deposit into recipients account through PSC.

**Reports:**

NELRP participants must complete and send to the NELRP a semi- annual certification that the participating nurse has engaged in a year of full-time continuous service as a registered nurse working at a critical shortage facility or as a nurse faculty member at a school of nursing. The certification includes an endorsement by an appropriate official of the facility. No cash reports are required. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

No Data Available.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$57,458,892; FY 12 est \$49,822,748; and FY 13 est \$49,881,000

**Range and Average of Financial Assistance:**

New awards range from \$23,000 to \$363,000, with an average new award of \$50,316.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 919 New Awards, 385 Continuations. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see application process for NELRP at <http://www.hrsa.gov/loanscholarships/repayment/nursing/>

Refer to the Nursing Education Loan Repayment Program Guidance.

**Regional or Local Office:**

None. Nursing Education Loan Repayment Program, Division of Nursing and Public Health, Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane, Room 8-37, Rockville, MD 20857. Telephone: (301) 594-4130.

**Headquarters Office:**

Bureau of Clinician Recruitment and Service (BCRS), Health Resources and Services Administration, 5600 Fishers Lane 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857 Phone: (301) 594-4130

**Website Address:**

<http://www.hrsa.gov/loanscholarships/repayment/nursing/>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.303 Nursing Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Awards are made to RNs serving at a Critical Shortage Facility or at an eligible school of nursing. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Funding preference is defined as the funding of a specific category of group of approved applicants ahead of other categories or groups of approved applicants. As provided in section 846(e) of the PHS Act, as amended, a funding preference is given to eligible applicants with the greatest financial need. Awards are made to the highest ranked applicants until funds are expended. Please review the HRSA Preview or BCRS website at [www.hrsa.gov](http://www.hrsa.gov) for important information regarding funding preferences.

**93.910 FAMILY AND COMMUNITY VIOLENCE PREVENTION PROGRAM**

(Family Life Centers)

**FEDERAL AGENCY:**

Office of Minority Health, Department of Health and Human Services

**AUTHORIZATION:**

OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6, Section 1707 of the Public Health Service Act, as amended.

**OBJECTIVES:**

To establish Family Life Centers on the campuses of 24 minority institutions of higher education to: (1) assess local community resources for violence prevention projects; (2) coordinate activities with existing violence prevention projects; (3) design and implement educational interventions addressing interpersonal family violence; and (4) design and implement a project to identify students from dysfunctional families and support them with coping strategies.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds will be used to support a cooperative agreement for a family and community violence program to prevent minority related violence and improve health and human services to minorities. Funds are not to be used for the provision of health care services, construction, augmentation of ongoing Office of Minority Health (OMH) supported demonstrations, or supplantation of ongoing project activities.

**Applicant Eligibility:**

Eligible Applicants: An institute of higher education representing 4-year undergraduate institutions and a 2 year tribal college historically identified as providing education primarily to minority students, or having a majority enrollment of minority students.

**Beneficiary Eligibility:**

Minority families and communities will benefit.

**Credentials/Documentation:**

Proof of nonprofit status is required as part of the application submission. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All open grant opportunities are posted on [www.grants.gov](http://www.grants.gov). Additional information and application kits may be requested by calling 240-453-8822 or writing to: Office of the Assistant Secretary for Health (OASH) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852

**Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel. The Deputy Assistant Secretary for Minority Health makes final decisions to approve, hold, or reject individual grants or contracts. Applicants are notified regarding the final decision on each application and are furnished with a Notice of Grant Award for all projects approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. About 60 days.

**Appeals:**

none.

**Renewals:**

> 180 Days. The cooperative agreement will have a 4-year project period with 12-month budget periods.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The cooperative agreement will have a 3-year project period with 12-month budget periods. Following the initial budget period, continued funding is subject to the availability of funds and satisfactory program performance. Payments will be made either on a monthly cash request basis or under a letter of credit. Necessary instructions regarding payment procedure will be provided at the time the notice of grant award is issued. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 74.53 and 45 CFR Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-551.

**Obligations:**

(Salaries) FY 11 \$2,218,299; FY 12 est \$1,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$100,000 to \$250,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. Program Management Contact:  
Office of Minority Health, Division of Program Operations,  
1101 Wootton Parkway, Suite 600, Rockville, MD 20852. Telephone: (240) 453-8444.

Grants Management Contact:  
Office of Grants Management,  
1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.fcvp.org> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Complete review criteria are published in the Federal Register Notice or can be obtained from the Program contact. Listed below are some criteria used to review applications: (1) consistency of project's goals and objectives with the Office of Minority Health's mission; (2) coherence and feasibility of

methodology and activities selected to address the problem as evidence in the proposed implementation plan; (3) strength of proposed grant organization's management capability; (4) adequacy of qualifications, experience and cultural competence of proposed personnel; and (5) strength of analysis of potential impact or innovation the project proposes to generate.

**93.912 RURAL HEALTH CARE SERVICES OUTREACH, RURAL HEALTH NETWORK DEVELOPMENT AND SMALL HEALTH CARE PROVIDER QUALITY IMPROVEMENT PROGRAM**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Section 330A (f) of the Public Health Service Act, 42 U.S.C. 254(c) (e) (f), as amended by section 201, P.L. 107-251 of the Health Care Safety Net Amendments of 2002.

**OBJECTIVES:**

To expand delivery of health care services in rural areas, for the planning and implementation of integrated health care networks in rural areas, and for planning and implementation of small health care provider quality improvement activities.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (Cooperative Agreements)

**USES AND USE RESTRICTIONS:**

All funds awarded are to be expended solely for carrying out the approved projects.

**Applicant Eligibility:**

Rural Health Care Services Outreach, Rural Health Network Development and Rural Health Network Development Planning Programs: Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area.

Rural Health Workforce Development Program: Rural public or nonprofit private entities that include three or more health care providers and at least one accredited health care workforce training organization that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area

Rural Health Information Technology Workforce Program: Rural public or nonprofit private entities that include three of more health care providers to support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized tribal area.

Rural Health Information Technology Network Development Program: Rural public or nonprofit private entities that include three of more health care providers to support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public health Service Act; or the applicant



is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized tribal area.

**Small Health Care Provider Quality Improvement Program:** This program is available to support rural public, rural non-profit, or other providers of healthcare services, such as a critical access hospital or rural health clinic. (1) The applicant must be located in a rural area, as determined by eligible rural county or census tracts, and all services must be provided in a rural county or census tract. (2) The applicant exists exclusively to provide services to migrant and seasonal farmworkers in rural areas and is supported under Section 330G of the Public Health Service Act. (3) The applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area (documentation of status as a Federally-recognized Native American Tribe must be included).

**Delta States Rural Development Network Grant Program:** rural, nonprofit or public entities that represent a consortium of three or more diverse organizations that deliver health care services in eligible rural Delta counties/parishes.

**Frontier Extended Stay Cooperative Agreement Program:** Rural public or nonprofit private entities that include three or more health care providers that provide or support the delivery of health care services. The administrative headquarters of the organization must be located in a rural county or a rural zip code of an urban county; or an organization is constituted exclusively to provide services to migrant and seasonal farmworkers in rural areas and supported under Section 330G of the Public Health Service Act; or the applicant is a Tribal government whose grant-funded activities will be conducted within their Federally-recognized Tribal area.

To ascertain rural eligibility, please refer to <http://datawarehouse.hrsa.gov/RuralAdvisor/>. This website can be searched by eligibility by county and by address.

**Beneficiary Eligibility:**

Medically underserved populations in rural areas will receive expanded services in rural communities where they did not previously exist.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 6-9 months.

**Appeals:**

Not Applicable.

**Renewals:**

Rural Health Care Services Outreach and Rural Health Network Development awards may be made for up to 3-year project periods. After initial awards, projects may be renewed non-competitively contingent upon approval of an application, availability of appropriated funds, and awardees satisfactory performance.

Rural Health Workforce Development Program awards may be made for up to 3-year project periods. After initial awards, projects may be renewed non-competitively contingent upon approval of application, availability of appropriated funds, and awardees satisfactory performance.

Rural Health Information Technology Workforce Program awards may be made up for 3-year project periods. After initial awards, projects may be renewed non-competitively contingent upon approval of their application, availability of appropriated funds and awardee satisfactory performance.

Rural Health Information Technology Program awards may be made up for 3-year project periods. After initial awards, projects may be renewed non-competitively contingent upon approval of their application, availability of appropriated funds and awardee satisfactory performance.

Rural Health Network Planning Awards are available for one year project periods.

The Small Health Care Provider Quality Improvement awards may be up to three year project periods. After initial awards, projects may be renewed non-competitively contingent upon availability approval of an application, availability of appropriated funds, and awardees satisfactory performance.

The Delta States Rural Development Network awards may be up to three year project periods After initial awards, projects may be renewed non-competitively contingent upon availability approval of an application, availability of appropriated funds, and awardees satisfactory performance. The Frontier Extended Stay Clinic award may be up to four year project period. Subject to availability of funds, after initial awards, may be renewed non-competitively contingent upon submission and availability of appropriated funds.

The Frontier Extended Stay Clinic awards are available for one year project periods. Subject to availability of funds.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. N/A.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are made annually and funds are available to grantees on an as needed basis throughout the budget period. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. An electronic Federal Financial Report (FFR) is due to the PMS within 30 days of the end of each quarter. An FFR is due to HRSA within 90 days after the close of each budget period via Electronic HandBook (EHB) submission. A performance progress report is submitted with each non-competing continuation application. Grantees will be required to submit a Performance Improvement Measurement System (PIMS) report through the EHB once a year throughout their project period. A final Program report must be submitted to HRSA within 90 after the close of the project period. No progress reports are required. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a

year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$56,025,000; FY 12 est \$56,025,000; and FY 13 est \$56,025,000

**Range and Average of Financial Assistance:**

A maximum of \$150,000 for the first year of funding for the Rural Health Care Services Outreach Grant; A maximum of \$180,000 for the first year of funding for the Rural Health Network Development Grant; A maximum of \$85,000 for funding for the Rural Health Network Development Planning Grant; A maximum of \$200,000 for the first year of funding for the Rural Health Workforce Development Grant; A maximum of \$200,000 for the first year of funding for the Rural Health Information Technology Workforce Grant; A maximum of \$300,000 for the first year of funding for the Rural Health Information Technology Grant; A maximum of \$100,000 for the first year of funding for the Small Health Care Provider Quality Improvement Grant; A maximum of \$510,000 for the Delta States Rural Development Network Grant; A maximum of \$1,500,000 for the Frontier Extended Stay Clinic demonstration.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contacts:

Ms. Kathryn Umali, Rural Health Care Services Outreach Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Leticia Manning, Rural Health Network Development Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05 Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-8335.

Ms. Sheila Warren, Rural Health Network Development Planning Grant Program, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05 Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Christina Villalobos, Rural Health Workforce Development Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Ann Ferrero, Small Health Care Provider Quality Improvement Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Ms. Valerie Darden Delta States Rural Development Network Grant Program Coordinator, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0835.

Mr. Aaron Fischbach, Frontier Extended Stay Clinic Demonstration, Office of Rural Health Policy, Health Resources and Services Administration, Room 5A-05, Parklawn Building, 5600 Fishers Lane, Rockville, MD 29857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

<http://www.hrsa.gov/ruralhealth/>

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are based on the need of the project, innovation, realistic and measurable goals and objectives, clearly defined roles of each network member, strength of applicant's management plan, community involvement, level of local commitment, costs, and program evaluation plan. Specific criteria will be included in the guidance for each program.

**93.913 GRANTS TO STATES FOR OPERATION OF OFFICES OF RURAL HEALTH**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 338J; 42 U.S.C. 254r, as amended by sec. 301 P.L. 105-392.

**OBJECTIVES:**

The purpose of the State Offices of Rural Health (SORH) grant program is to assist States in strengthening rural health care delivery systems by maintaining a focal point for rural health within each State. The program provides funding for an institutional framework that links small rural communities with State and Federal resources to help develop long-term solutions to rural health problems.

Cooperative Agreement: The purpose of the State Rural Health Coordination and Development Cooperative Agreement (SRHCD-CA) is to enhance the rural health infrastructure in each State by providing guidance and technical assistance to State Offices of Rural Health (SORHs) as well as their partners and to identify and promote best practices. The goals of the SRHCD-CA are 1) to assist in the coordination of health care delivery through the development of State level rural health leadership; and 2) to facilitate partnerships and collaboration at the national and State levels to improve the exchange of information and engage in collaborative activities for supporting rural health.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

This is a matching grant program with States to support the establishment and ongoing operation of Offices of Rural Health. While a wide range of activities can be conducted to address unique State needs, each State Office of Rural Health must (1) Establish an information clearinghouse for collecting and disseminating information, (2) coordinate State and Federal rural health programs throughout the State for the purpose of avoiding duplication, and (3) provide technical assistance that will improve participation in State and Federal programs.

**Applicant Eligibility:**

Grants: All fifty States may apply. Each State may only submit one application.

Cooperative Agreement: An organization that is national in scope with experience providing coordination and development to enhance the rural health infrastructure in each of the 50 States.

**Beneficiary Eligibility:**

Underserved populations in rural areas; facilities and services in rural areas.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Grantees may request funding beyond an initial project period by submitting a competing continuation application during a regular competing application cycle. All competitive cycles are contingent upon availability of funds for such purposes.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: States must match not less than \$3 for each \$1 of Federal funds provided in the grant. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grant applications should be submitted for up to a 3-year project period. Awards are normally made in a lump sum for an entire 12-month budget period. Payments are made annually either through a letter of credit or cash demand system. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No program reports are required. No cash reports are required. An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. Expenditure reports are not applicable. Grantees are required to submit performance monitoring data within 60 days after the end of the budget period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$500,000; FY 12 est \$500,000; and FY 13 est \$500,000. (Project Grants) FY 11 \$8,900,000; FY 12 est \$8,900,000; and FY 13 est \$8,900,000

**Range and Average of Financial Assistance:**

\$150,000 - \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contacts: Keith Midberry, Program Coordinator, State Office of Rural Health Grant Program, Office of Rural Health Policy, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 5A-05, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2669; E-mail: [kmidberry@hrsa.gov](mailto:kmidberry@hrsa.gov).

**Headquarters Office:**

The Office of Rural Health Policy 5600 Fishers Lane, Room 5A-05, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(Grants) Grant applications will be evaluated on the basis of the following criteria: (1) The extent to which the application is responsive to the requirements and purposes of the program; (2) the extent to which the applicant has developed measurable goals, objectives, and an evaluation plan for the required, and any discretionary, activities; (3) the extent to which the Office is coordinated with, and has the cooperation of, other health entities and activities within the State; (4) the strength of the applicant's plans for administrative and financial management of the Office; (5) the reasonableness of the budget proposed for the Office; and (6) the likelihood that the Office will be continued after Federal grant support is completed.

(Cooperative Agreement) Applications will be reviewed and rated on the applicant's ability to address the following areas: (1) Developing and

disseminating knowledge through the solicitation, review, selection, compilation, and circulation of manuscripts derived from relevant research conducted on rural health issues; (2) organizing, publicizing, and managing meetings to enhance the dissemination of information on rural health care issues, including minority rural health, rural health clinics, and recruitment and retention of health care professionals in rural areas; (3) providing technical and other nonfinancial assistance to State offices of rural health to increase their capability to serve rural residents; (4) developing a network to promote recruitment and retention of health professionals in rural areas; and (5) providing updated information to the public about rural health clinics.

### **93.914 HIV EMERGENCY RELIEF PROJECT GRANTS**

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Title XXVI of the Public Health Service Act, Sections 2601-2610 (42 USC 300ff-11 300ff-20), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 11-87).

#### **OBJECTIVES:**

To provide direct financial assistance to Eligible Metropolitan Areas (EMAs) and Transitional Grant Areas (TGAs) that have been the most severely affected by the Human Immunodeficiency Virus (HIV) epidemic to enhance access to a comprehensive, effective and cost efficient continuum of high quality, community-based care for low-income individuals and families with HIV and to strengthen strategies to reach minority populations. A comprehensive continuum of care includes the 13 core medical services specified in legislation and appropriate support services that assist People Living With HIV/AIDS (PLWH/A) in accessing treatment for HIV/AIDS infection that is consistent with the Department of Health and Human Service (HHS) Treatment Guidelines. Comprehensive HIV/AIDS care beyond these core services may include supportive services that meet the criteria of enabling individuals and families living with HIV/AIDS to access and remain in primary medical care to improve their medical outcomes.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Funds received under a grant are to be used to fund not less than 75 percent core medical services and 25 percent support services. Core medical services include: outpatient and ambulatory health services, AIDS Drug Assistance Program, AIDS pharmaceutical assistance, oral health care, early intervention services, health insurance premium and cost-sharing for low-income individuals, home health care, medical nutritional therapy, hospice services, home and community-based health services as defined under Section 2614 (c), mental health services, substance abuse outpatient care, and medical case management, including treatment adherence services. Support services that are for individuals with HIV/AIDS to achieve medical outcomes (such as respite care for persons caring for individuals with HIV/AIDS, outreach services, medical transportation, linguistic services and referral for health care and support services). A percentage of the grant, determined by the percentage of women, infants, and children in the area with Acquired Immune Deficiency Syndrome, will be used to provide health and support services to infants, children, and women with HIV disease, including treatment measures to prevent the perinatal transmission of HIV. No more than 10 percent of amounts received under a grant may be used to fund the grantees grant administration and monitoring activities, program support activities and all activities associated with grantee contract award procedures. In addition, sub-grantee/provider level administrative expenses may not exceed 10 percent of aggregate expenditures (without regard to whether particular entities expend more than 10 percent for such administrative expenses). Grantees may use up to 5 percent of funds or \$3 million, whichever is less, for clinical quality management activities to assess the extent to which HIV health services provided to patients under the grant are consistent with the most recent Department of Health and Human Services guidelines for the treatment of HIV/AIDS. Funds may not be used to supplant or replace the resources of such institutional providers that are already devoted to the support of personnel

providing HIV-related services. Funds may not be used to purchase or improve land, or to purchase, construct or make permanent improvement to any building except for minor remodeling. Funds may not be used to make payments to recipients of services.

#### **Applicant Eligibility:**

Eligible metropolitan areas (EMA) with a population of 50,000 or more individuals for which the Centers for Disease Control and Prevention has reported a cumulative total of more than 2,000 HIV/AIDS cases for the most recent period of 5 calendar years period. EMAs include: Atlanta, Georgia; Baltimore, Maryland; Boston, Massachusetts; Chicago, Illinois; Dallas, Texas; Detroit, Michigan, Ft. Lauderdale, Florida; Houston, Texas; Los Angeles, California; Miami, Florida; New Haven, Connecticut; New Orleans, Louisiana; New York, New York; Newark, New Jersey; Orlando, Florida; Philadelphia, Pennsylvania; Phoenix, Arizona; San Diego, California; San Francisco, California; San Juan, Puerto Rico; Tampa-St. Petersburg, Florida; Washington, DC; and West Palm Beach, Florida. Transitional Grant areas (TGA) with a population of 50,000 or more individuals for which the Centers for Disease Control and Prevention has reported a cumulative total of at least 1,000, but not more than 1,999 HIV/AIDS cases for the more most recent five year period. TGAs include: Austin, Texas; Baton Rouge, Louisiana; Bergen-Passaic, NJ; Charlotte, North Carolina; Cleveland, Ohio; Denver, Colorado; Fort Worth, Texas; Hartford, Connecticut; Indianapolis, Indiana; Jacksonville, Florida; Jersey City, New Jersey; Kansas City, Missouri; Las Vegas, Nevada; Memphis, Tennessee; Middlesex, New Jersey; Minneapolis, Minnesota; Nassau/Suffolk Counties, New York; Nashville, Tennessee; New Haven, Connecticut; Norfolk, Virginia; Oakland, California; Orange County, California; Ponce, Puerto Rico; Portland, Oregon; Riverside-San Bernardino, California; Sacramento, California; St. Louis, Missouri; San Antonio, Texas; San Jose, California; and Seattle, Washington.

#### **Beneficiary Eligibility:**

Individuals and families with HIV disease will benefit.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

#### **Award Procedure:**

Two-thirds of the funds available are disbursed on a formula basis as required by the legislation, subject to a completeness review of required information specified in the HRSA funding opportunity issued under this CFDA program. The remaining one-third of available funds are disbursed as a competitive, supplemental grant, based on criteria specified by the legislation. All qualified applications will be forwarded to an objective review committee. Based on the recommendations of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. In addition, Minority AIDS Initiative (MAI) funds available under Section 2693 are disbursed on a formula basis together with the Formula and Supplemental awards as required by the legislation.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

About 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Part A grants to EMAs and TGAs include formula and supplemental components as well as Minority AIDS Initiative (MAI) funds, which supports access to services targeting minority populations.

Statutory Formula: The formula portion of the grant is determined by the number of living cases of HIV/AIDS in each eligible area as reported to and confirmed by the Centers for Disease Control and Prevention by December 31 for the most recent calendar year for which data is available. In FY 2013, Formula awards will be based ONLY on name-based data. Name-based reporting is defined as the number of living name-based cases of HIV/AIDS reported to the Centers for Disease Control and Prevention (CDC) as of December 31 of the most recent calendar year for which data is available.

Supplemental grants are awarded competitively on the basis of demonstrated need and other criteria.

MAI formula funds are based on the number of reported and confirmed living minority cases of HIV/AIDS for the most recent calendar year.

Matching requirements are not applicable to this program.

This program has MOE requirements, see funding agency for further details.

The Ryan White HIV/AIDS Program legislation requires Part A grantees to maintain, as a Condition of Award, political subdivision expenditures within the eligible area for HIV-related Core Medical Services and Support Services at a level equal to the 1-year period preceding the fiscal year for which the grantee is applying to receive a Part A grant.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month budget period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are not applicable. Quarterly financial cash transaction reports are required within 30 days of the end of each calendar quarter. Annual progress and annual financial reports are required. Annual reports are to be submitted within 90 days after the end of each budget period. The final performance report and final financial status reports are due 90 days from the end of the project period. Reports documenting services and expenditures are required. Grantees must report expenditures for WICY for the previous budget year within 150 days of the end of the grant year as mandated by the Ryan White HIV/AIDS Program. As a Condition of Award, the grantee is required to meet specific requirements regarding the monitoring of both their grant and their provider/sub-grantees as detailed in the National Monitoring Standards for Ryan White Grantees.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$679,074; FY 12 est \$679,074; and FY 13 est \$751,877,000

**Range and Average of Financial Assistance:**

For 2011: Range =, \$2,025,807 - \$120,936,183; Average = \$12,410,574 (including Formula, Supplemental, and Minority AIDS Initiative funding). For 2012.: Range = \$1,892,647 - \$120,489,151; Average = \$12,259,673.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Steven Young, Director 5600 Fishers Lane, Room 7-A55, Rockville, Maryland 20857 Phone: (301) 443-7136

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.917 HIV Care Formula Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for supplemental funds must meet nine criteria set forth in the enacting legislation: (1) Contain a report concerning the dissemination of emergency relief funds and the plan for utilization of such funds; (2) demonstrate need in such area for supplemental financial assistance to combat the HIV epidemic; (3) demonstrate the existing commitment of local resources of the area, both financial and in-kind, to combat the HIV epidemic; (4) demonstrate the ability of the area to utilize such supplemental financial resources in a manner that is immediately responsive and cost-effective; (5) demonstrate that resources will be allocated in accordance with the local demographic incidence of AIDS including appropriate allocations for services for infants, children, women, and families with HIV disease; (6) demonstrate the inclusiveness of affected communities and individuals with HIV disease; (7) demonstrate the manner in which proposed services are consistent with the local needs assessment and the statewide coordinated statement of need; (8) demonstrate the ability of the applicant to expend funds efficiently by not having had, for the most recent Part A formula grant year for which data is available, more than 5 percent of grant funds unobligated at the end of the year, even if a request for carryover was granted; and (9) demonstrate success in identifying individuals with HIV and AIDS, who are unaware of their HIV/AIDS status, and provides a description of the Strategy, Plan, and Data associated with the early identification of these individuals.

**93.917 HIV CARE FORMULA GRANTS**

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title XXVI of the Public Health Service Act, Sections 2611-23, (42 U.S.C. 300ff-55? Or 21-31(b)), as amended by the, Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87).

**OBJECTIVES:**

To enable States and Territories to improve the quality, availability, and organization of a comprehensive continuum of HIV/AIDS health care and support services for individuals and families living with Human Immunodeficiency Virus (HIV) disease.

**TYPES OF ASSISTANCE:**

**FORMULA GRANTS**

**USES AND USE RESTRICTIONS:**

Funds received under a grant are to be used to fund 75 percent core medical services and 25 percent support services. Core medical services include: outpatient and ambulatory health services, AIDS Drug Assistance Program, AIDS, pharmaceutical assistance, oral health care, health insurance premium, and cost-sharing for low-income individuals, home health care; home and community-based health services, hospice services, early intervention services, medical nutritional therapy, substance abuse outpatient care, mental health services, and medical case management, including treatment and adherence services. Support services that are for individuals with HIV/AIDS to achieve medical outcomes (such as respite care for persons caring for individuals with HIV/AIDS, outreach services, medical transportation, linguistic services and referral for health care and support services). Funds may be used to establish and operate HIV Care Consortia within areas most affected by HIV disease that shall be designed to provide a comprehensive continuum of care to individuals and families with HIV disease; provide home and community-based care services for individuals with HIV disease; provide assistance to assure the continuity of health insurance coverage for individuals with HIV disease; and provide therapeutics to treat HIV disease to individuals with HIV disease. A State shall use a percentage of the grant, determined by the percentage of infants, children, and women with acquired immune deficiency syndrome in the State, to provide health and support services to infants, children, and women with HIV disease, including treatment measures to prevent the perinatal transmission of HIV. Funds may not be used to purchase or improve land, or to purchase, construct or make permanent improvement to any building except for minor remodeling. Funds may not be used to make payments to recipients of services. A State may not use more than 10 percent of amounts received under this grant for administration, planning and evaluation activities. In addition, sub-grantee/provider level administrative expenses may not exceed 10 percent of aggregate expenditures (without regard to whether particular entities expend more than 10 percent for such administrative expenses). Grantees may use up to 5 percent of funds or \$3 million, whichever is less, for clinical quality management activities to assess the extent to which HIV health services provided to patients under the grant are consistent with the most recent Department of Health and Human Services guidelines for the treatment of HIV/AIDS. If a State receives the minimum allotment, it may not use more than the amount required to support one full-time equivalent employee for these activities. Seventy-five (75) percent of grant funds must be obligated within 120 days of the budget period start date.

**Applicant Eligibility:**

All 50 States of the United States, and the District of Columbia and U.S. Territories (and possessions) of the United States, the Commonwealths of Puerto Rico, Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa and the Republic of the Marshall Islands, Federated States of Micronesia, the Republic of Palau.

**Beneficiary Eligibility:**

Individuals and families with HIV disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants

to apply electronically through Grants.gov.

**Award Procedure:**

Part B funding is available through several forms: the formula grant (i.e., Part B base award, MAI and ADAP Earmark award for HIV/AIDS-related medications); the ADAP Supplemental award; and the Emerging Communities award.

Funding is available through several forms: the formula grant funds (Part B Base awards, MAI and AIDS Drug Assistance Program (ADAP) earmark award for HIV/AIDS-related medications), ADAP Supplemental, and Emerging Communities funds are disbursed based on legislatively mandated formulas. Supplemental ADAP grants are awarded to states demonstrating severe need for medications. In addition, Minority AIDS Initiative (MAI) funds available under Section 2693 are disbursed on a formula basis together with the formula grant funds as required by the legislation. In a separate, competitive application process, Part B Supplemental funds are disbursed based on criteria specified by the legislation; and all qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Yes.

**Formula and Matching Requirements:**

Statutory Formula: Part B formula/base, ADAP and Emerging Communities awards are based on the number of reported living cases of HIV/AIDS cases in the State or Territory in the most recent calendar year as confirmed by CDC submitted to HRSA.

Similarly, for grantees applying for MAI formula funds, awards are based on the number of reported and confirmed living minority cases of HIV/AIDS for the most recent calendar year submitted to HRSA. The most recently completed calendar year ended December 31, 2011.

Supplemental ADAP grants are awarded to states demonstrating severe need for medications.

In FY 2013, formula awards will be based ONLY on name-based data. Names-based reporting is defined as the number of living names-based cases of HIV/AIDS reported to CDC as of December 31 of the most recent calendar year for which data is available.

Matching Requirements: Varies.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**

Grants are awarded for a 12-month budget period following issuance of the Notice of Award by HRSA. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program reports are not applicable. No cash reports are required. The grantee must submit the annual Ryan White Services Report due the last Monday in March each year, covering the just-ended Jan. 1 - Dec. 31 calendar year. Grantees must also submit an Expenditures Report due 90 days after the end of the budget period (OMB 0915-0318). Grantees must submit a Federal Financial Report (FFR) or SF 245 within 90 days after the end of the budget period. A final financial report and final performance report must be submitted 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Formula Grants) FY 11 \$1,204,875,008; FY 12 est \$1,212,889,719; and FY 13 est \$12,127,000,000 - FY 10 awards for the Part B program (CFDA 93.917) provided in the above total does not include the ADAP RFI amount of \$24,999,313.

**Range and Average of Financial Assistance:**

For FY 2011, \$50,000 to \$161,769,977 in FY 2011 ; average = \$20,379,488 (including Part B Formula Base, ADAP earmark, Emerging Communities, ADAP Supplemental and Minority AIDS Initiative funding).

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Harold Phillips 5600 Fishers Lane, Room 7A-21, Parklawn Building, Rockville, Maryland 20857 Phone: (301) 443- 6745

**Website Address:**

<http://www.hrsa.gov>.

**RELATED PROGRAMS:**

93.914 HIV Emergency Relief Project Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Grants will be awarded to applicants that submit: (1) An acceptable detailed description of the HIV-related services provided in the State to individuals and families with HIV disease during the year preceding the year for which the grant is requested, and the number of individuals and families receiving such services; (2) a comprehensive plan for the organization and delivery of HIV health care and support services to be funded with assistance received under this part that shall include a description of the purposes for which the State intends to use such assistance; (3) an assurance that the public health agency administering the grant for the State will periodically convene a meeting of individuals with HIV, representatives of grantees receiving both HIV Emergency Relief and HIV CARE Grants, providers, and public agency representatives to develop a statewide coordinated statement of need; and (4) an assurance by the State that: (A) the public health agency that is administering the grant for the State will conduct public hearings concerning the proposed use

and distribution of the assistance to be received; and (B) the State will (a) to the maximum extent practicable, ensure that HIV-related health care and support services delivered pursuant to a program established with assistance provided under this part will be provided without regard to the ability of the individual to pay for such services and without regard to the current or past health condition of the individual with HIV disease; (b) ensure that such services will be provided in a setting that is accessible to low-income individuals with HIV disease; (c) provide outreach to low-income individuals with HIV disease to inform such individuals of the services available; (d) for continuum of health insurance coverage, submit a plan to the Secretary that demonstrates that the State has established a program that assures that (d.1) such amounts will be targeted to individuals who would not otherwise be able to afford health insurance coverage; and (2) income, asset, and medical expense criteria will be established and applied by the State to identify those individuals who qualify for assistance under such program, and information concerning such criteria shall be made available to the public; (e) provide for periodic independent peer review to assess that quality and appropriateness of health and support services provided by entities that receive funds from the State; (f) permit and cooperate with any Federal investigations undertaken regarding programs; (g) maintain HIV-related activities at a level that is equal to not less than the level of such expenditures by the State for the 1-year period preceding the fiscal year for which the State is applying to receive a grant; and (h) ensure that grant funds are not utilized to make payments for any item or service to the extent that payment has been made.

**93.918 GRANTS TO PROVIDE OUTPATIENT EARLY INTERVENTION SERVICES WITH RESPECT TO HIV DISEASE****FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title XXVI of the Public Health Service Act, Sections 2651 and 2693 et seq, (42 USC 300ff -51), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87).

**OBJECTIVES:**

The Early Intervention Services grant is to provide a comprehensive continuum of HIV primary care in the outpatient setting. This includes: 1) HIV counseling, testing and referral; 2) medical evaluation and clinical care; 3) other primary care services; and 4) referrals to other health services. The capacity development grant is used to enhance, or expand access to high quality primary health care services to persons living with HIV or who are at risk of infection in underserved or rural communities. This program is not intended to support long term activities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Applications should be designed to improve the availability, accessibility and organization of ambulatory health services to persons infected with HIV or who are at high risk. Funds may not be used for acquiring property, used for inpatient or residential care, and no more than 10 percent of the Federal funds may be used for administrative costs.

**Applicant Eligibility:**

Eligible applicants are public and private nonprofit entities that are: federally qualified health centers under Section 1905(1)(2)(B) of the Social Security Act; grantees under Section 1001 (regarding family planning ) other than States; comprehensive hemophilia diagnostic and treatment centers; rural health clinics; health facilities operated by or pursuant to a contract with the Indian Health Service; community based organizations, clinics, hospitals and other health facilities that provide early intervention services to those persons infected with HIV/AIDS through intravenous drug use; or nonprofit private entities that provide comprehensive primary care services to populations at-risk of HIV/AIDS, including faith-based and community-based organizations. Capacity development grants require that applicants be public or private non-profit organizations that are or intend to become HIV Primary Care Providers.

**Beneficiary Eligibility:**

Persons infected with HIV or who are at high risk of HIV infection.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. This program has no statutory formula for the amount of the grant. The amount is negotiated based on costs of the proposed grant activities. Grantees are not required to match Federal funds under the grant; however, the level of nonfederal expenditures for early intervention services must be maintained at the level for the year prior to the grant award.

**Length and Time Phasing of Assistance:**

Early Intervention Services grants may be made for up to 3-year project periods. Continued support, beyond the first year, is contingent upon satisfactory performance and the availability of Federal funds. Capacity development grants may be funded at up to \$150,000 for up to 3 years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The grantee must submit the annual Ryan White Services Report due the last Monday in March each year, covering the just-ended Jan. 1 - Dec. 31 calendar year. Grantees must also submit an Allocations Report, 60 days after the start of the budget period, and an Expenditures Report due 90 days after the end of the budget period (OMB 0915-0318). No cash reports are required. Grantees must submit a Federal Financial Report or SF 245 within 90 days after the end of the budget period. Additionally, each funded program must submit a budget period renewal progress report each year prior to the end of the project period. A final financial report and final performance report must be submitted 90 days after the end of the project period. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$534,664; FY 12 est \$1,000,000; and FY 13 est \$1,000,000 - Project Grants - Capacity. (Project Grants) FY 11 \$190,306,208; FY 12 est \$198,637,681; and FY 13 est \$198,637,681 - Project Grants EIS.

**Range and Average of Financial Assistance:**

\$97,500 to \$1,169,001; \$548,821.

Planning grants are limited to \$50,000

Capacity Development grants are limited to \$150,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Margarita Figueroa-Gonzalez 5600 Fishers Lane, Room 9-74, Rockville, Maryland 20857 Phone: (301) 443-0493

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluations will be based on (1) Applicant's assessment of community need for additional preventive and primary care services to those with, and at risk for, HIV infection; (2) applicant's ability to describe its role in addressing unmet needs; (3) appropriateness of the proposed budget; (4) comprehensiveness of existing and proposed services; (5) collaboration with other local city, county, State HIV-prevention and treatment activities; and (6) adequacy and completeness of applicant's program evaluation plan.

**93.919 COOPERATIVE AGREEMENTS FOR STATE-BASED COMPREHENSIVE BREAST AND CERVICAL CANCER EARLY DETECTION PROGRAMS**

National Breast and Cervical Cancer Early Detection Program (NBCCEDP)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human



Services

**AUTHORIZATION:**

Breast and Cervical Cancer Mortality Prevention Act of 1990, Section 301(a), Section 317(k)(3), and Section 1501, Public Law 101-354; 42 U.S.C.241a, 42 U.S.C. 247b(k)(3), and 42 U.S.C. 300K; Public Law 103-183, Public Law 101-354, 42 U.S.C 241,247,300.

**OBJECTIVES:**

To work with official State and territorial health agencies or their designees, and tribal health agencies in developing comprehensive breast and cervical cancer early detection programs. To the extent possible, increase screening and follow-up among all groups of women in the State, tribe or territory, with special to reach those women who are of low income, uninsured, underinsured and minority, and Native Americans.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative agreements funds may be used to assure screening of women for breast and cervical cancer as an early detection preventive measure; assure appropriate referrals for follow-up services for women with abnormal screening tests and routine rescreening; develop and disseminate public education and outreach programs for the early detection and control of breast and cervical cancers; improve the education, training and skills of health professionals (including allied health professionals) in the early detection and control of breast and cervical cancers; establish mechanisms through which the States, tribes and territories can monitor the quality of breast and cervical cancer screening procedures in the State, including the interpretation of such procedures; and evaluate program activities through appropriate surveillance and monitoring. Cooperative agreement funds may not be expended for screening and follow-up services to the extent that payment has been made, or can reasonably be expected to be made, with respect to such items or services: (1) under any State compensation program, under any insurance policy or under any Federal or State health benefits program; or (2) by any entity that provides health services on a prepaid basis. Cooperative agreement funds shall not be used for treatment or treatment services. States, tribes and territories are required to make available nonfederal contributions in cash or in-kind toward such cost in an amount equal to not less than \$1 for each \$3 of Federal funds provided. Such contributions may be made directly or through donations from public or private entities. The payment for treatment services or the donation of treatment service may not be used for nonfederal contributions. States, tribes and territories may include only nonfederal contributions in excess of the average amount of nonfederal contributions made by the State, tribe or territory for the two year period preceding the first fiscal year for which the State, tribe or territory is applying to receive a cooperative agreement for a comprehensive breast and cervical cancer early detection program. In making a determination of the amount of nonfederal contributions for purposes of matching fund requirements, applicants may include any nonfederal amounts expended pursuant to Title XIX of the Social Security Act for the purpose of screening and follow-up for women at-risk for breast and cervical cancers. Can not be used for treatment.

**Applicant Eligibility:**

Eligible applicants are the official State health agencies of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, American Samoa, American Indian and Alaska Native tribes and tribal organizations as defined in Section 4 of the Indian Self-Determination and Education Assistance Act.

**Beneficiary Eligibility:**

Official State and Territorial health agencies, women especially low-income women.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, identify and describe nonfederal contributions, and provide a budget with justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from Ms. Shicann Phillips, Grants Management Specialist, in the Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, Georgia 30341. Telephone: (770) 488-2615. This program is subject to the provisions of 45 CFR 92 for State and local governments. The standard application forms, as furnished by PHS and required by 45 CFR 92 must be used for this program.

**Award Procedure:**

In the competitive year one and after objective review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. For non-competitive continuation years, after review and approval on the Interim Progress Report (IPR), a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 4 months.

**Appeals:**

None.

**Renewals:**

Information on renewals may be obtained from Shicann Phillips, Grants Management Specialist, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, GA 30341; Telephone: (770) 488-2615.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 35.%. Public Law 101-354 requires States, tribes and territories to make available nonfederal contributions (cash or in-kind) toward such costs in an amount equal to not less than \$1 of matching for every \$3 of Federal dollars provided in this cooperative agreement. Such contributions may be made directly or through donations from public or private entities. Payment for treatment services or the donation of treatment services may not be used for nonfederal contributions. States, tribes and territories may include only nonfederal contribution in excess of the average amount of nonfederal contributions made by the State, tribe territory for the two year period preceding the first fiscal year for which the State, tribe or territory is applying to receive a cooperative agreement for a comprehensive Breast and cervical cancer early detection program.

This program has MOE requirements, see funding agency for further details. The average amount of non-Federal contributions toward breast and cervical cancer programs and activities for the two year period proceeding the first Federal fiscal year of funding for NBCCEDP is referred to as Maintenance of Effort (MOE). Only those non-Federal contributions in excess of the MOE amount may be considered matching funds. Supplanting, or replacing, existing program efforts currently paid with Federal or non-Federal sources is not allowable.

**Length and Time Phasing of Assistance:**

From 1 to 5 years. Budget period is 12 months. Assistance is awarded through the Payment Management System (PMS). Method of awarding/releasing assistance: lump sum.

**Reports:**

Interim Progress Reports (IPR) are due on or about January 30 of each year and Annual Progress Report are due 90 days after the end of the budget period.

Grantees must address fiscal progress in the IPR & Annual Reports. Financial status reports (FSRs) are due 90 days after the end of the budget period. Interim Progress Reports (IPR) are due on or about January 30 of each year and Annual Progress Report are due 90 days after the end of the budget period. Final performance and FSRs are due no more than 90 days after the end of the project period. Final performance and FSRs are due no more than 90 days after the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$157,000,000; FY 12 est \$157,807,333; and FY 13 est \$157,807,333

**Range and Average of Financial Assistance:**

\$242,796 to \$8,693,584; \$2,320,696.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In fiscal 2011, the Centers for Disease Control and Prevention (CDC) entered into the 21st year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC supported programs in all 50 states, US territories, the District of Columbia, and Tribes/Tribal Organizations. Fiscal Year 2012: In fiscal 2012, the Centers for Disease Control and Prevention (CDC) will enter into the 22nd year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC plans to continue support of programs in all 50 states, US territories, the District of Columbia, and Tribes/Tribal Organizations. Fiscal Year 2013: In fiscal 2012, the Centers for Disease Control and Prevention (CDC) will enter into the 23rd year of the National Breast and Cervical Cancer early Detection Program (NBCCEDP). This landmark Program brings critical breast and cervical cancer screening services to underserved women, including older women, women with low income, and women of racial and ethnic minority groups. CDC plans to continue support of programs in all 50 states, US territories, the District of Columbia, and Tribes/Tribal Organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are no regulations, but guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, applies to cooperative agreements. Public Law 101-354 (August 10, 1994) places specific requirements on monies from this law which are to be used for funding State-based breast and cervical cancer early detection programs.

**Regional or Local Office:**

None.

**Headquarters Office:**

Faye L Wong, 4770 Buford Highway, Mailstop K57, Atlanta, Georgia 30341  
Email: FWong@cdc.gov Phone: (770) 488-4880 Fax: (770) 488-3230.

**Website Address:**

<http://www.cdc.gov/cancer>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: At this time, it is assumed that grantees will continue to provide screening and follow-up for low income women, State health agencies will incorporate into their health care system: (1) Public Education: (a) population targeted for screening and follow-up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow-up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow-up services (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence registry; (b) tracking and follow-up system; (5) evaluation: (a) implementation of all program components; (b) effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition. Fiscal Year 2013: At this time, it is assumed that grantees will continue to provide screening and follow-up for low income women, State health agencies will incorporate into their health care system: (1) Public Education: (a) population targeted for screening and follow-up services; (b) for women (other than low income) requiring periodic screening and follow up services; (2) Professional Education: (a) practitioners providing screening and follow-up services for targeted low income women; (b) for all practitioners who will provide or refer women (other than low income) for required periodic screening and follow-up services (3) quality assurance: (a) mammography; (b) cervical cytology; (4) surveillance: (a) breast and cervical cancer incidence registry; (b) tracking and follow-up system; (5) evaluation: (a) implementation of all program components; (b) effectiveness of all program components; and (6) breast and cervical cancer control plan and coalition.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Extent of disease burden and need; (2) feasibility and appropriateness of operational plan to meet the purpose of the cooperative agreement; (3) the extent of collaboration and community involvement; (4) the extent to which the applicant appears likely to succeed in implementing proposed objectives; (5) the appropriateness of nonfederal contributions; and (6) the extent to which the budget is reasonable, consistent with the intended use of cooperative agreement funds, and includes evidence of the State's commitment to the program application of financial and/or in-kind contributions from nonfederal sources to activities of the proposed program.

**93.923 DISADVANTAGED HEALTH PROFESSIONS FACULTY LOAN REPAYMENT (FLRP) AND MINORITY FACULTY FELLOWSHIP PROGRAM (MFFP)**

FLRP/MFF

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Section 738(b) of the Public Health Service Act (42 U.S.C. 738 [293b]), as amended by P.L. 105-392.

**OBJECTIVES:**

The purpose of the Minority Faculty Fellowship Program is to assist eligible entities in increasing the number of under-represented minority faculty at health professions schools. The applicant school shall demonstrate its ability to: (1) identify, recruit, and select under-represented minority individuals who have potential for teaching, administration, or conducting research at health professions schools; (2) provide such individuals with the skills necessary to enable them to: (a) secure a tenured faculty position, or its equivalent, according to the policies of the school; (b) learn pedagogical skills and program administration; (c) design and conduct research; (d) write grants; and (e) prepare articles suitable for publication in peer reviewed journals; (3) provide services designed to assist such individuals in their preparation for an academic career, including provision of counselors; and (4) enable the fellow to provide health services to rural and/or medically underserved populations.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Faculty Loan Repayment Program (FLRP) - Funds will be used to repay qualifying health professions educational loans consisting of principal and interest on loans incurred by the applicant while enrolled in a school in return for serving a minimum of least 2 years as a full-time or part-time faculty member at one of the following accredited health profession schools: medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, public health, or a school that offers a graduate program in clinical psychology, and certain allied health programs.

Minority Faculty Fellowship Program (MFFP) - To be able to receive an MFFP grant under section 738 (b) of the Public Health Service Act, an entity should provide an assurance in the application that each fellowship awarded will include: (1) a stipend in an amount not exceeding 50 percent of the regular salary of a faculty member not to exceed 3 years of training; and (2) an allowance for other expenses such as travel to professional meetings and costs related to specialized training.

**Applicant Eligibility:**

FLRP - Individuals who are from disadvantaged backgrounds.

MFFP - Eligible applicants are accredited health professions schools of allopathic and osteopathic medicine, nursing, dentistry, veterinary medicine, optometry, allied health, public health, podiatric medicine, pharmacy, and schools offering graduate programs in behavioral and mental health. To be eligible to receive the grant the applicant shall: (1) provide assurance that such applicant will make available (directly through cash donations) \$1 for every \$1 of Federal funds received under section 738 of the Public Health Service Act; (2) provide an assurance that institutional support will be provided for the individual for the second and third year at a level that is equal to the total amount of institutional funds provided in the year in which the grant or contract was awarded; (3) provide an assurance that the individual that will receive the fellowship will be a member of the faculty of the applicant school; and (4) provide an assurance that the individual that will receive the fellowship will have, at a minimum, appropriate advanced preparation (such as a master's or doctoral degree) and special skills necessary to enable such individuals to teach and practice.

**Beneficiary Eligibility:**

FLRP - Individuals who are from disadvantaged backgrounds.

MFFP - Fellowship recipients must meet the following conditions: (1) must fall under the definition of underrepresented minority individuals' (URM). URM is defined as racial and ethnic populations who are under-represented in the designated health profession discipline relative to the number of individuals who are members of the population involved. This definition would include Black or African American, American Indian or Alaska Native, Native Hawaiian or Other Pacific Islander, Hispanic or Latino, and any Asian other than Chinese, Filipino, Japanese, Korean, Asian Indian or Thai; and (2) must be a U.S. citizen, non-citizen national, or foreign national who possesses a visa permitting permanent residence in the United States, except in the case of programs specifically designed for support of foreign nationals. Individuals on temporary or student visas are not eligible to receive PHS fellowship or training grant support.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

FLRP - FLRP awards are based on a percentage of the eligible applicant's total debt. Payments are made to individuals via electronic direct deposit.  
MFFP - Based upon the availability of funds, Notice of Grant awards are issued to the eligible schools which in turn distribute the awards to the fellow(s).

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Four to six months following receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 50%. Percent: 50% FLRP - The employing institution is required for each year of service to make payments in an amount equal to the amount of principal and interest payments made by the Secretary. These payments must be in addition to the recipients salary the individuals otherwise would receive. However, the Secretary may waive this requirement if it is determined that it would impose an undue financial hardship on the institution involved. A consideration for waiver will be based on required documentation submitted by the institution which must include financial statements to support hardship.

MFFP: Applicants must: (1) provide assurance that such applicant will make available (directly through cash donations) \$1 for every \$1 of Federal funds received under section 738 of the Public Health Service Act; (2) provide an assurance that institutional support will be provided for the individual for the second and third year at a level that is equal to the total amount of institutional funds provided in the year in which the grant or contract was awarded; (3) provide an assurance that the individual who will receive the fellowship will be a member of the faculty of the applicant school; and (4) provide an assurance that the individual who will receive the fellowship will have, at a minimum, appropriate advanced preparation (such as a master's or doctoral degree) and special skills necessary to enable such individuals to teach and practice. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

FLRP - Assistance is available during the time specified in the contract.

MFFP support is limited to a 3-year project period. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

FLRP - Awards are based on a percentage of the eligible applicant's total debt. Payments are made to individuals via electronic direct deposit.

**Reports:**

FLRP recipients are required to annually provide documentation demonstrating that funds were used to repay educational loans. No cash reports are required. Grantees are required to submit a Uniformed Progress Report annually to the Division of Diversity and Interdisciplinary Education, Bureau of Health Professions. No expenditure reports are required. Limited performance monitoring is required. No cash reports are required. FLRP recipients are required to annually provide documentation demonstrating that funds were used to repay educational loans. No cash reports are required. Grantees are required to submit a Uniformed Progress Report annually to the Division of Diversity and Interdisciplinary Education, Bureau of Health Professions. No expenditure

reports are required. Limited performance monitoring is required. No expenditure reports are required. FLRP recipients are required to annually provide documentation demonstrating that funds were used to repay educational loans. No cash reports are required. Grantees are required to submit a Uniformed Progress Report annually to the Division of Diversity and Interdisciplinary Education, Bureau of Health Professions. No expenditure reports are required. Limited performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - FLRP. (Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - MFFP.

**Range and Average of Financial Assistance:**

FLRP - \$5,548 to \$63,400; \$36,281 (average award for FY 06 including funds for award tax liability); \$17,530 to \$55,600; \$49,767.49 (average award for FY 07 including funds for award tax liability); \$49,297.43 (average award for FY08 including funds for award tax liability).

One MFFP award was made in FY 2010 for \$56,825. No awards were made in FY 2011 or FY 2012. It is estimated that there will be no awards in FY 2013.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact for the Faculty Loan Repayment Program: Chrissy Herald, National Health Service Corps Loan Repayment Branch, Division of Applications and Awards, Bureau of Clinician Recruitment and Service, Health Resources and Services Administration, Parklawn Building, Room 8-37, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (800) 221-9393 or (301) 443-4419.

**Headquarters Office:**

Violet Woo, 5600 Fishers Lane, Room 8-37, Rockville, Maryland 20857  
Phone: (301) 443-8032.

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

FLRP - The applicant will be rated on the extent to which the individual meets the intent of the program to expand disadvantaged representation in health professions faculty positions.

**MFFP:**

Overview: The health professions school should provide information that adequately documents the need and data relative to the school's experience and ability to identify, recruit, select and train underrepresented minority faculty. In addition to teaching, acquiring administrative skills and conducting research, the fellow must also provide health care services, especially as a means of meeting community needs for reducing barriers to health care services to rural or underserved populations. The application should also include a discussion of how the development of underrepresented minority faculty, through use of the fellowship program, will enhance the participant's academic career potential and community service abilities.

Review Criteria are used to review and rank applications. The Minority Faculty Fellowship Program has 6 review criteria:

(1) Need: This includes the extent to which the application describes the problem (e.g. lack of Minority Faculty), and associated factors contributing to this problem.

(2) Response: (a) Faculty Recruitment: This includes the extent to which the school demonstrates that it has the commitment and ability to identify, recruit, and select underrepresented minority individuals who have the potential for teaching, administration, and/or conducting research at a health professions institution; and (b) Faculty Development: This includes the extent to which the schools faculty training program will provide the fellow with the preparation, training, and skills needed to secure a tenured faculty position. The Faculty Development Plan should include the provision of counselors and protected time for research and faculty development. Training may include: pedagogical skills, including teaching experience; program administration; grant writing; research methods and design; and preparation of articles suitable for publication in peer reviewed journals.

(3) Impact: Faculty Training in Providing Health Service - This includes the extent to which the Fellow is available to provide health services to rural or medically underserved populations.

(4) Resources/Capabilities: This includes the extent to which project personnel are qualified by training and/or experience to implement and carry out projects. This includes the capabilities of the applicant organization; and the quality and availability of facilities and personnel to fulfill the needs and requirements of the proposed project.

(5) Support Requested: This includes the extent to which the overall budget, including non-trainee expenses, is cost effective, reasonable, and consistent with the stated objectives and proposed activities. Expenditures are well justified and in-kind contributions are documented.

(6) Evaluative Measures: This includes the methodology that will be used to monitor and evaluate the project results. Evaluative measures must be able to assess to what extent the program objectives have been met.

**93.924 RYAN WHITE HIV/AIDS DENTAL REIMBURSEMENT AND COMMUNITY BASED DENTAL PARTNERSHIP GRANTS  
FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title XXVI of the Public Health Service Act, Section 2692(b) (42 U.S.C. 300ff-111) as amended the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87).

**OBJECTIVES:**

Dental Reimbursement Program partially compensates dental schools, postdoctoral dental education programs, and dental hygiene education programs for unreimbursed costs they have incurred in providing oral health services to

persons living with HIV/AIDS. Reimbursement will be made for documenting the number of HIV patients served and the unreimbursed oral health costs incurred by each institution as compared with the total number of patients served and costs incurred by all eligible applicants. The purpose of the Dental Reimbursement program is to reduce the unmet oral health care needs of persons living with HIV and provide clinical training for dental and hygiene students and dental residents.

Community Based Dental Partnership (CBDP) grants aim to increase access to oral health care services for persons living with HIV, while at the same time providing education and clinical training for dental and hygiene students and residents and other dental providers in community-based settings. This is achieved through multi-partner collaborations between dental and dental hygiene education programs and community-based dentist and dental clinics, marked by shared expertise and resources.

**TYPES OF ASSISTANCE:**

Project Grants; Project Grants (with Formula Distribution)

**USES AND USE RESTRICTIONS:**

Reimbursement: Funds are restricted to dental schools, postdoctoral dental education programs, and dental hygiene education programs which submit an application documenting unreimbursed costs of oral health care provided to patients with HIV/AIDS.

CBDP Grants: Limited to dental schools, postdoctoral dental education programs, and dental hygiene education programs.

**Applicant Eligibility:**

Applicants are limited to dental schools and programs, that were described in 777(b)(4)(B) Public Health Service Act as such section was in effect on the day before the date of the enactment of the Health Professions Partnerships Education Act of 1998 (Public Law 105-392) [postdoctoral dental education program means a program sponsored by a school of dentistry, a hospital, or a public or private institution that offers postdoctoral training in the specialties of dentistry, advanced education in general dentistry, or a dental general practice residency]. In addition, dental hygiene programs that are accredited by the Commission on Dental Accreditation are also eligible.

Applicants must be located in the 50 United States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa or the Federated States of Micronesia, the Republic of the Marshall Islands and the Republic of Palau.

**Beneficiary Eligibility:**

Persons living with HIV/AIDS infection.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. Applicants for Dental Reimbursement program and grantees for the Community Based Dental Partnership Program must be accredited by the Commission on Dental Accreditation. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

Dental Reimbursement Program: All qualified applicants will receive funds utilizing a formula based on dividing the unreimbursed costs for each applicant by the total unreimbursed cost across all applications, then multiplying by the amount available for the Dental Reimbursement Program.

Community Based Dental Partnership Program: All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Reimbursement of uncompensated costs incurred in the prior year. Community-Based Dental Partnership grants may be made for up to three-year project periods. Continued support beyond the first year is contingent upon satisfactory performance and the availability of Federal funds. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Community Based Dental Partnership Program: Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$3,158,427; FY 12 est \$3,790,119; and FY 13 est \$3,790,119 - Community Based Dental Partnership Program (Direct Payments for Specified Use). (Project Grants (with Formula Distribution)) FY 11 \$9,641,803; FY 12 est \$9,012,578; and FY 13 est \$9,012,578 - Dental Reimbursement Program (Formula Distribution).

**Range and Average of Financial Assistance:**

Dental Reimbursement: \$288 to \$859,828; \$160,939.  
Community-Based Dental Partnership grants: \$234,747 to \$389,948; \$315,843.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Mahyar Mofidi 5600 Fishers Lane, Room 9-74, Rockville, Maryland 20857  
Phone: (301) 443-2075

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Those dental schools, postdoctoral dental education programs and dental hygiene education programs, that submit applications documenting unreimbursed costs of oral health care provided to patients with HIV/AIDS and show evidence of efforts to establish working relations with HIV care consortia and planning councils, AIDS Education and Training Centers, Parts A, B, C and D, Community-Based Dental Partnership, and Special Projects of National Significance programs authorized under Public Law 109-415. Applicants for the Community Based Dental Partnership are reviewed by an objective review committee based on the following criteria: Need, Response, Evaluative Measures, Impact, Resources/Capabilities, and Support Requested.

**93.925 SCHOLARSHIPS FOR HEALTH PROFESSIONS STUDENTS FROM DISADVANTAGED BACKGROUNDS**

Scholarships for Disadvantaged Students (SDS)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title VII, Section 737 of the Public Health Service Act (42 U.S.C. 293a), as amended by the Patient Protection and Affordable Care Act (P.L. 111-148).

**OBJECTIVES:**

Promotes service in primary care and in medically underserved communities and diversity among health professions students and practitioners by providing grants to eligible health professions and nursing schools for use in awarding scholarships. Eligible health professions and nursing schools apply for funds to provide scholarships to students from disadvantaged and underrepresented racial and ethnic backgrounds who have financial need for scholarships and are enrolled, or accepted for enrollment, as full-time students at the schools. Schools provide student scholarships and disadvantaged student recruitment and retention programs that encourage completion of school and service in primary care and in medically underserved communities. The purpose is to provide entrance into a career as a health professional to help diversify the health workforce and encourage service in primary care and in medically underserved communities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

SDS funds awarded to schools must be used to award full or partial scholarships to eligible students enrolled in health professions programs on a full-time basis. Scholarships may only be expended for tuition expenses, other reasonable educational expenses, and reasonable living expenses incurred while in attendance for the year. Student scholarships must be at least 50% of the students annual tuition cost for tuition \$30,000 or less, but the SDS award must be \$15,000 for students whose tuitions are over \$30,000 per year. No student can be awarded over \$15,000 in SDS funds per year. The Secretary is required to make available at least 16 percent of the funds to schools that will provide scholarships only for nursing students. Schools are required to agree that, in

providing scholarships under this program, preference shall be given to students from disadvantaged backgrounds for whom the costs of attending the school would constitute a severe financial hardship. The Secretary may not make a grant to a school unless the school is carrying out a program for recruiting and retaining students from disadvantaged backgrounds and have met the eligibility criteria of demonstrating the success of outcome measures.

**Applicant Eligibility:**

Accredited public or private nonprofit schools of allopathic medicine, nursing, osteopathic medicine, dentistry, pharmacy, podiatric medicine, optometry, veterinary medicine, chiropractic, allied health, or schools offering graduate programs in public health, behavioral and mental health or physician assistants.

- 1) At least 20 percent of the total enrollment (full-time enrolled) of a program during the specified academic year must be students from disadvantaged backgrounds; and
- 2) At least 20 percent of the total graduates (who were full-time students) of a program during the specified academic year must have been from disadvantaged backgrounds; and.

**Beneficiary Eligibility:**

Students who are citizens, nationals, or lawful permanent residents of the United States or the District of Columbia, the Commonwealths of Puerto Rico or the Mariana Islands, the Virgin Islands, Guam, the American Samoa, the Republic of Palau, the Republic of the Marshall Islands, the Federated States of Micronesia; and enrolled full-time in health professions or nursing schools.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through [Grants.gov](http://Grants.gov).

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Annual applications are required for all schools.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each grant award is made for up to 4 years. Student scholarships are provided in 1-year awards. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The Scholarships for Disadvantaged Students Performance Report (SDSPR) must be submitted 45 days after the end of the budget period through electronic submission. Cash reports are not applicable. Progress reports are not applicable. A financial status report must be submitted 90 days after the end of each budget period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$45,228,069; FY 12 est \$45,200,000; and FY 13 est \$45,200,000

**Range and Average of Financial Assistance:**

\$15,000 to \$650,000 Average \$ 450,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Andrea Stampono, Division of Student Loans and Scholarships, Bureau of Health Professions, Health Resources and Services Administration, Public Health Service, Parklawn Building, Room 9-105, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-1173.

**Headquarters Office:**

Andrea Stampono 5600 Fishers Lane, Room 9-105, Rockville, Maryland 20857  
Phone: (301) 443-1173

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov)

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program; 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students; 93.364 Nursing Student Loans; 93.407 ARRA - Scholarships for Disadvantaged Students

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed for completeness, accuracy, and to determine if applicant schools meet minimum program requirements.

**93.926 HEALTHY START INITIATIVE**

Healthy Start

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title III, Part D, Section 330H of the Public Health Service Act, (42 U.S.C.254c-8).

**OBJECTIVES:**

To eliminate disparities in perinatal infant and maternal health by: enhancing a community's health care infrastructure and service system and a State's infrastructure; and directing resources and interventions to improve access to, utilization of, and full participation in comprehensive perinatal and women's health services, particularly for women and infants at higher risk for poor health outcomes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Every Healthy Start project implements community-driven approaches to address infant mortality rates by reducing maternal behavioral and medical risk factors and promoting healthy outcomes for women and their families. Beginning with prenatal care and continuing through the infant's second year of life, each community awarded funds assures the availability of a core set of services and activities for the perinatal population in their project area. These services include case management, home visiting and links to health care and other needed services for mothers and their infants; direct outreach and peer mentoring by trained community members; screening and referral for perinatal/postpartum depression; and strong coordination with and access to substance abuse, domestic violence, mental health, early intervention, parenting and other critical services for high-risk women and families. In addition, each Healthy Start project is required to have a community-based consortium composed of individuals and organizations and that includes women and families served by their project, to collaborate with their State Title V (MCH) Agency, and to implement a local health system action plan to improve the quality, cultural competence of and access to services and/or to address other problems in the local system of care. Funds may not be used to supplant currently funded activities/services.

**Applicant Eligibility:**

Urban and rural communities with significant disparities in perinatal health, and States with need to build their infrastructure/capacity to address and support those communities trying to achieve the goals of the Healthy Start program. Eligible applicants are any public or private entity, including an Indian Tribe or tribal organization (as those terms are defined at 25 U.S.C. 450b). Community-based organizations, including faith-based organizations are eligible to apply.

**Beneficiary Eligibility:**

Service area residents, particularly women and infants in areas with significant perinatal health disparities.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program

official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Final decisions are made approximately 166 days after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

After initial award, projects may be renewed annually up to the limit of the project period upon the submission and approval of a satisfactory progress report .

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project periods vary depending on specific grant announcement with non-competing continuation awards made on an annual basis for up to 5 years depending on satisfactory progress and subject to the availability of funds. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports. No cash reports are required. Federal Financial Report (FFR). No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0354-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$98,642,789; FY 12 est \$98,353,195; and FY 13 est \$98,353,000

**Range and Average of Financial Assistance:**

Based on FY12: \$750,000--2,350,000; \$750,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Director, Division of Healthy Start and Perinatal Services, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18-12, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-0543.

**Headquarters Office:**

Director, Division of Healthy Start and Perinatal Services 5600 Fishers Lane, Room 18-12, Rockville, Maryland 20857 Phone: (301) 443-0543

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

See the funding opportunity announcement to obtain specific program grant guidance.

**93.928 SPECIAL PROJECTS OF NATIONAL SIGNIFICANCE**

SPNS

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Title XXVI, Public Health Service Act, Section 2691 (42 USC 300ff-101), as amended, by the Ryan White HIV/AIDS Treatment Modernization Act of 2009 (Public Law 111-87).

**OBJECTIVES:**

To quickly respond to emergency needs of individuals receiving assistance under the Ryan White HIV/AIDS program by supporting the development of innovative delivery models of HIV care and services. SPNS evaluates the effectiveness of these models, and promotes the replication of successful models. Areas of evaluation include design, implementation, utilization, costs, and health related outcomes of effective models. The SPNS Program also supports special programs to develop standard electronic client information data systems to enable Ryan White Program grantees to report client level data.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Proposals are expected to adequately define and justify the needs, innovative nature, and evaluation methodology of the proposed model of services. Funds shall be used to create and/or evaluate innovative models of HIV care that would likely not exist nor be evaluated without SPNS Program support, or that would extend the care model to previously underserved or uninsured populations. Funds under the SPNS Program cannot be used for: charges that are billable to third party payers (e.g., private health insurance, prepaid health plans, Medicaid, Medicare); construction of new facilities or capital improvements to existing facilities; to purchase or improve land; cash payments to intended service recipients, as opposed to various incentives to encourage participation in evaluation activities.

**Applicant Eligibility:**

Academic institutions, non-profit organizations including faith-based organizations, and those eligible for funding under Parts A-D authorized by Title XXVI of the Public Health Service (PHS) Act as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Ryan White Program). Additionally, the District of Columbia, the Commonwealth of Puerto Rico, the Territories of the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of Palau, the Federated States of Micronesia, and the Republic of the Marshall Islands are also eligible to apply for these funds.



**Beneficiary Eligibility:**

Adults, women, children and families with HIV disease.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

**Award Procedure:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants will generally be awarded with 60-month project periods and five 12-month budget periods; some grants may have more limited 12, 24 or 36 month project periods. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Program progress reports are required. No cash reports are required. A final progress report is due 90 days after the end of the project period. In addition, a Federal Financial Report (FFR) or SF 245 is due within 90 days after the close of each budget period. A final Federal Financial Report must be submitted 90 days after the end of the project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$25,000,000; FY 12 est \$25,000,000; and FY 13 est \$25,000,000

**Range and Average of Financial Assistance:**

\$80,000 to \$550,000; \$300,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Barbara Aranda-Naranjo 5600 Fishers Lane, Room 7-C07, Rockville, Maryland 20857 Phone: (301) 443-3726

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.917 HIV Care Formula Grants; 93.918 Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: The Special Projects of National Significance program intends to announce the availability of funding for three initiatives: Building a Medical Home for Multiply Diagnosed HIV positive Homeless Populations; Enhancing Access to and Retention in Quality HIV Care for Transgender Women of Color; and Health Information Technology Capacity Building Initiative for Ryan White HIV/AIDS Program Providers. Fiscal Year 2013: HIT Capacity Building Initiative for Ryan White HIV/AIDS Program AIDS Drug Assistance Program (ADAP) Grantee Sites and Culturally Appropriate Interventions of Outreach, Access and Retention among Latino(a) Populations.

**CRITERIA FOR SELECTING PROPOSALS:**

Evaluation criteria vary and are based on the grant initiative. However, evaluation criteria generally include some or all of the following: Factor 1: Adequacy of demonstrated knowledge of the local HIV service delivery system and the adequacy of the justification of need for the proposed model within the community and target population to be served by the project. Factor 2: Extent of the feasibility and clarity of the description, appropriateness, innovative quality, and potential for evaluation, replication, and dissemination of the proposed model. Factor 3: Comprehensiveness of the program plan as described in clearly stated goals, time-limited and measurable objectives for each goal, activities directly related to each objective, and a timeline that shows the schedule of activities and production of materials that corresponds to milestones stated in the objectives and program evaluation. Factor 4: Thoroughness, feasibility and appropriateness of the project's evaluation design from a methodological and statistical perspective. Factor 5: Extent to which the applicant demonstrates past involvement with disseminating information about HIV service delivery by describing dissemination activities to date (e.g., presenting and publishing findings through reports and papers, training, or

technical assistance). Factor 6: Competency of the applicant organization in terms of fiscal, program management, and evaluation.

### **93.932 NATIVE HAWAIIAN HEALTH SYSTEMS**

Native Hawaiian Health Systems

#### **FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

#### **AUTHORIZATION:**

Native Hawaiian Health Care Improvement Act (42 USC 11705 and 11706), Public Law 102-396, as amended by P.L. 111-148, Section 10221.

#### **OBJECTIVES:**

To raise the health status of Native Hawaiians living in Hawaii to the highest possible level through the provision of comprehensive health promotion and disease prevention services, as well as primary health services, and to provide existing Native Hawaiian health care programs with all resources necessary to effectuate this policy.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

The services of this program include outreach, health promotion, disease prevention, and primary health care services. These services will attempt to integrate traditional health concepts with western medicine so that existing barriers to health care can be removed. It is anticipated that the various components will be integrated into one comprehensive system of care and that the existing health resources of the community will be used to the greatest extent possible.

#### **Applicant Eligibility:**

Eligible entities include Papa Ola Lokahi and the "Native Hawaiian Health Care Systems." The term Native Hawaiian health care system is defined as an entity: (1) which is organized under the laws of the State of Hawaii; (2) which provides or arranges for health care services through practitioners licensed by the State of Hawaii, where licensure requirements are applicable; (3) which is a public or nonprofit private entity; (4) in which Native Hawaiian health practitioners significantly participate in the planning, management, monitoring, and evaluation of health care services; and (5) which is recognized by Papa Ola Lokahi (a consortium of Hawaiian and Native Hawaiian organizations) for the purpose of planning, conducting, or administering programs or portions of programs, authorized by this act for the benefit of Native Hawaiians, and is certified by Papa Ola Lokahi as having the qualifications and the capacity to provide the services and meet the requirements of this Act for the benefit of Native Hawaiians.

#### **Beneficiary Eligibility:**

Hawaiian Natives will benefit.

#### **Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Grant applications and required forms for this program can be obtained from Grants.gov. Please visit the Grants.gov Web site at [www.grants.gov](http://www.grants.gov) to both find and apply for all Federal grant opportunities. Applicants are required to apply electronically through Grants.gov.

#### **Award Procedure:**

All qualified applications will be forwarded to an objective review committee.

Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

Notification is made in writing by a Notice of Award.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Same as application procedure.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Grants may not be awarded unless the entity agrees that it will make available, directly or through donations to the entity, nonfederal matching funds in an amount not less than \$1 for every \$5 of Federal funds provided. Nonfederal contributions may be in cash or in kind, fairly evaluated, including plant, equipment, or services. Amounts provided by Federal government or services assisted or subsidized to any significant extent by the Federal Government may not be included in determining the amount of such nonfederal contributions. The match requirements may be waived if the Secretary determines, in consultation with Papa Ola Lokahi, that it is not feasible for the entity to comply with the requirement. Grant funds may not be used to pay for (1) inpatient services; (2) cash payments to intended recipients of health services; or (3) purchasing or improving real property (other than minor remodeling of existing improvements to real property) or to purchase major medical equipment. The entity may not expend more than 10 percent of amounts received under the grant for administering the grant. Other requirements and limitations are set forth in Public Law 102-396. MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Budget periods are for one year. Project periods are for one year. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

#### **Reports:**

For each budget period during which an entity receives or expends funds pursuant to a grant under this program, such entity shall submit to the Secretary and Papa Ola Lokahi a report on: (1) Activities conducted by the entity under the grant; (2) the amounts and purposes for which Federal funds were expended, including a Federal Financial Report; and (3) such other information as the Secretary may request. The records and reports of any entity which concern any grant or contract under this program shall be subject to audit by the Secretary, the Inspector General of Health and Human Services, and to the Comptroller General of the United States. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. Performance monitoring is not applicable.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$12,971,000; FY 12 est \$13,071,000; and FY 13 est \$13,000,000

**Range and Average of Financial Assistance:**

\$1,300,000 to \$3,000,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Southwest Division, Bureau of Primary Health Care, Health Resources and Services Administration, 5600 Fishers Lane, Room 16C-26, Rockville, MD 20857. Telephone: (301) 480-1130.

**Headquarters Office:**

Health Care Systems Branch 5600 Fishers Lane Room 16C-26, Rockville, Maryland 20857 Phone: (301) 480-1130

**Website Address:**

<http://www.hrsa.gov/>

**RELATED PROGRAMS:**

93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

An objective review of applications for grant support considers the adequacy of the following with reference to the provisions of the Native Hawaiian Health Care Improvement Act: assessment of community needs; program of proposed services; management and staffing plan; and evaluation plan. Priority consideration is given to those applications whose health promotion and disease prevention services are provided through Native Hawaiian Health Care Systems.

**93.933 DEMONSTRATION PROJECTS FOR INDIAN HEALTH**

Demonstration Projects for Indian Health

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 103 (B)(1), Public Law 93-638; Public Health Service Act.

**OBJECTIVES:**

To promote improved health care among American Indians and Alaska Natives through research studies and demonstration projects, addressing such issues as, but not limited to Elder Care, Women's Health Care, Children & Youth Initiative, Native American Research Centers for Health (NARCH), National Indian Health Advocacy Program, Tribal Dental Clinical and Preventive Support Centers and Institute for Health Improvement.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Federal assistance is to be used for the following purposes: (1) Research, analysis, and investigation of a broad range of issues affecting the health of American Indians and Alaska Natives; and (2) demonstration projects and

studies that provide American Indians/Alaska Natives with impetus and involvement in their health care and that promote improved health care to Indian people. All IHS Grants Funds are for discretionary grant activities.

**Applicant Eligibility:**

Federally recognized Indian tribes; tribal organizations; nonprofit inter-tribal organizations; nonprofit urban Indian organizations contracting with the Indian Health Service under Title V of the Indian Health Care Improvement Act; public or private nonprofit health and education entities; and State and local government health agencies.

**Beneficiary Eligibility:**

American Indians/Alaska Natives will be the ultimate beneficiaries of the funded projects either directly or indirectly depending upon the nature of the project. For example, those individuals who participate in research studies and receive services will be direct beneficiaries while those impacted by policy changes resulting from analyses of Indian health care issues will be indirect beneficiaries.

**Credentials/Documentation:**

Costs will be determined in accordance with the applicable OMB Circular: OMB Circular No. A-87 (State, local, and Indian tribal governments); OMB Circular No. A-21 (institutions of higher education); and OMB Circular No. A-122 (nonprofit organizations). Depending upon the nature of the project, letters of support or tribal resolutions may be required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. This program is subject to the provisions of either 45 CFR, Part 92 or OMB Circular No. A-110 depending upon the type of applicant organization. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center is open 24 hours a day, 7 days a week, except Federal holidays, or contact the IHS Grants Policy Office on (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to IHS.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

From 30 to 60 days. Grant appeals will follow PHS appeals procedures: 42 CFR, Part 50, Subpart D and DHHS appeals procedures: 45 CFR 16.

**Renewals:**

Initial project period of up to 5 years, usually 3 years, with competitive renewals for periods not to exceed a total project period of 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The project period is limited to 5 years or less. Within the project period, a continuation application must be submitted annually on a noncompetitive basis

for each year of support. Method of awarding/releasing assistance: quarterly.

**Reports:**

No program reports are required. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress Reports are due 90 days after the end of each budget period, or more frequently if stated in the terms and conditions of the IHS grant award. Reports should be sent to the attention of the Grants Management Specialist at the Division of Grants Operations. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. All IHS grant awards are monitored for financial compliance by the Division of Grants Management and for Programmatic Compliance by the IHS Program Staff.

NIHA - other reports as required and specified in the program announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives shall have the right of access to any books, documents, paper, or other records of the grantee, contractor, or subcontractor, which are pertinent to the DHHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR Part 92.42 or 45 CFR Part 74, Subpart D, as applicable, grantees are required to maintain grant records 3 years after they submit their final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the end of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,739,000; FY 12 est \$1,739,000; and FY 13 est \$1,739,000 - Obligations for National Indian Health Outreach and Education Cooperative Agreements. (Project Grants) FY 11 \$188,500; FY 12 est \$180,000; and FY 13 est \$180,000 - Obligations for OCPS-HIV program. (Project Grants) FY 11 \$1,200,000; FY 12 est \$1,200,000; and FY 13 est \$1,200,000 - Obligations for Public Health Nursing. (Project Grants) FY 11 \$6,331,053; FY 12 est \$6,331,053; and FY 13 est \$6,331,053 - Obligations for Native American Research Centers for Health. (Project Grants) FY 11 \$1,500,000; FY 12 est \$1,500,000; and FY 13 est \$1,500,000 - Obligations for Methamphetamine and Suicide Prevention Initiative. (Project Grants) FY 11 \$600,000; FY 12 est \$600,000; and FY 13 est \$600,000 - Obligations for Indian Women's Demonstration project. (Project Grants) FY 11 \$960,000; FY 12 est \$960,000; and FY 13 est \$960,000 - Obligation for Dental Preventive and Clinical Support Centers Program. (Project Grants) FY 11 \$885,856; FY 12 est \$0; and FY 13 est \$0 - Obligations for Children & Youth Initiative. (Project Grants) FY 11 \$916,150; FY 12 est \$0; and FY 13 est \$0 - Obligations for Elder Health Care Initiatives.

**Range and Average of Financial Assistance:**

\$27,000 to \$300,000;.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 92 and 45 CFR 74, Health and Human Services Grants Policy Statement, January 2007.

**Regional or Local Office:**

None. Program Contact: For Methamphetamine and Suicide Prevention Initiative contact: Skye Bass, Public Health Advisor, 801 Thompson Ave, Ste RB 330, Rockville, MD 20852, Telephone: (301) 443-2051.

For Elders Health Program contact: Dr. Bruce Finke, Nashville Area Elder Health Consultant, 45 Vernon Street, Northampton, MA 01060. Telephone: (413) 584-0790.

For Indian Women's Health Demonstration Program Contact: Mr. LeLewis Gipp, Indian Health Service Aberdeen Area Office, 115 4th Ave. SE, Suite 309, Aberdeen, SD 57401. Telephone: (605) 226-7341.

For Children & Youth Initiative Program contact: Ms. Tina Tah, Program Specialist, Office of Clinical and Preventive Services, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-0038.

For Public Health Nursing Program contact: Ms. Tina Tah, Program Specialist, Office of Clinical and Preventive Services, 801 Thompson Avenue, Suite 300, Rockville, MD 20852. Telephone: (301) 443-0038.

For National Indian Health Advocacy Program, contact: Ms. Roselyn Tso, Acting Director, Office of Direct Service and Contracting Tribes, 801 Thompson Avenue, Suite 220, Rockville, MD 20852. Telephone: (301) 443-1794.

For Office of Clinical and Preventive Services, National HIV Program, contact: Lisa C. Neel, MPH; e-mail [lisa.neel@ihs.gov](mailto:lisa.neel@ihs.gov); telephone: (301) 443-4305.

For Clinical and Preventive Dental Support Centers contact: Dr. Patrick Blahut, IHS HQ, 801 Thompson Ave, Rockville, MD 20852. Telephone 301-443-4323.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, TMP, Suite 360 Rockville, MD 20852. Telephone: (301) 443-5204. Use the same numbers for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: [grantspolicy@ihs.gov](mailto:grantspolicy@ihs.gov) Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The selection criteria are: Statement of problem(s) requiring solution; need for assistance; results or benefits expected from the project; approach or soundness of the applicant's plan for conducting the project; key personnel and their capability to carry out the project; and adequacy of management controls. Consideration will be given to the demonstrative aspects of the project and the compatibility of the project with the overall goals and objectives of the Indian Health Service.

**93.936 NATIONAL INSTITUTES OF HEALTH ACQUIRED IMMUNODEFICIENCY SYNDROME RESEARCH LOAN REPAYMENT PROGRAM**

(NIH AIDS Research Loan Repayment Program; AIDS LRP)

**FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VI, Part 68, Section 487A, Public Law 100-607, 288-I U.S.C.

**OBJECTIVES:**

To help assure an adequate supply of trained researchers (physicians, registered

nurses and scientists) with respect to acquired immunodeficiency syndrome (AIDS) at the National Institutes of Health (NIH) by providing for the repayment of educational loans for participants who agree, by written contract, to primarily engage in AIDS research as employees of the NIH.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

This program will provide partial repayment of educational loans incurred by physicians, registered nurses and scientists engaged, as employees of the NIH, in AIDS research. Recipients must agree by written contract to engage in such research, initially, for a minimum of 2 years; individuals who have conflicting service obligations may not participate in this program until those obligations are satisfied or have been deferred during the period of program service. Continuation contracts are available, dependent upon the level of debt and continued involvement in AIDS research, and are issued for one-year periods. Maximum program benefit is \$35,000 per year in loan repayments and \$13,650 per year in Federal tax reimbursements. Recipients must have qualified educational debt in excess of 20 percent of their annual NIH salary, which is referred to as their "debt threshold." An amount equal to half of this "debt threshold" will not be repaid by NIH and must be paid by the Program participants.

**Applicant Eligibility:**

Eligible applicants must: (1) Be a citizen, national, or permanent resident of the United States; (2) possess a M.D., Ph.D., D.O., D.D.S., D.M.D., D.V.M., D.P.M., A.D.N., B.S.N., or equivalent degree, or hold the position of Physician Assistant; (3) have educational debt, which results from governmental or commercial loans obtained to support their undergraduate and/or graduate education in excess of 20 percent of their annual NIH salary (exclusive of special allowances of any kind) on the program eligibility date; (4) be appointed under any temporary or permanent employment mechanism in the Intramural Research Program of the NIH, so long as their employment has the potential to last a minimum of 2 years; (5) not have an existing service obligation to Federal, State, or other entities, unless deferred during period of program service; (6) submit an application to participate in the Loan Repayment Program; and (7) submit to the Secretary for Health and Human Services, at the time of application, a signed contract agreeing to engage in AIDS research at the NIH for a minimum of 2 years.

**Beneficiary Eligibility:**

AIDS researchers who have unpaid educational loans will benefit from this program.

**Credentials/Documentation:**

Applicants must submit documentation of the following, as appropriate: 1) Copies of loan applications and agreements from governmental or commercial educational loans that are being considered for repayment; 2) copies of the standard student budget from schools attended during period when debt was incurred; and 3) other documentation as required by law. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applicants must access and submit the Loan Repayment Program application electronically via the website [www.lrp.nih.gov](http://www.lrp.nih.gov); seek qualified employment with a sponsoring Institute or Center (IC) of the NIH. Once an application has been submitted, the Loan Repayment Committee reviews it at a regularly scheduled review meeting and a determination of loan repayment recipients is made.

**Award Procedure:**

The NIH Loan Repayment Committee (LRC) will review, rank, and approve or disapprove applications recommended for program participation by each IC. Applications approved for program participation by the LRC will be notified by the Program Director. The Secretary, or her/his designee, will sign the service

contract of program participants, provide a copy to the participant, and notice of the amount of approved loan repayment.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. The approximate time for approval/disapproval is three months.

**Appeals:**

From 90 to 120 days. Employees of the NIH who are not approved as a result of this process may ask for reconsideration through the standard appeal procedures available to NIH employees.

**Renewals:**

From 60 to 90 days. At the conclusion of the initial two-year contract, participants may apply and be recommended for subsequent one-year continuation contracts under the application and approval procedures specified above.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a minimum 2-year period. One-year, continuation contracts are available for individuals whose educational debt exceeds that maximum repayable amount for 2-years. Payments are made directly to lenders, following each quarter of the participant's satisfactory service, unless otherwise agreed upon by the participant and Secretary of Health and Human Services. Method of awarding/releasing assistance: quarterly.

**Reports:**

A year-end summary is provided for inclusion in the OITE annual report. Program participants must be certified quarterly as to having satisfactorily performed their research assignments. No cash reports are required. Program participants must be certified quarterly as to having satisfactorily performed their research assignments. No expenditure reports are required. No performance monitoring is required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

The NIH will maintain applicant records for 3 years after rejection and participant records for 6 years after completion of final service obligation. Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the

3-year retention period will be calculated from the date the FSR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FSR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FSR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-6846-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$233,569; FY 12 est \$329,000; and FY 13 est \$300,000

**Range and Average of Financial Assistance:**

For initial 2-year contracts, loan repayment awards may range from \$4,000 to \$70,000; tax reimbursements range from \$1,977 to \$34,598. The average contract cost which includes loan and tax reimbursement is \$53,162. There were no new awards in 2009. There 4 renewal awards.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Fiscal Year 2011, there were six awards. Fiscal Year 2012: During Fiscal Year 2012, there were six awards. Fiscal Year 2013: It is projected that there will be eight awards in Fiscal Year 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Pertinent information is contained in Public Law 100-607, Public Law 103-43, Public Law 105-392; Federal Register, Volume 54, No. 215, November 8, 1989; NIH Guide for Grants and Contracts, Volume 23, No. 24, June 24, 1994; Federal Register, Volume 56, No. 150, August 5, 1991; Section 487A of Public Health Service Act (42 U.S.C. 288-1). Notice of Proposed Rulemaking is pending.

**Regional or Local Office:**

None.

**Headquarters Office:**

Patricia A. Cole, PhD Office of Intramural Training and Education, National Institutes of Health, Department of Health and Human Services Building 2, Room 2E18, 2 Center Drive, Bethesda, Maryland 20892-0230 Email: colep@mail.nih.gov Phone: (301) 402-1283 Fax: (301) 480-4942.

**Website Address:**

<http://www.lrp.nih.gov>

**RELATED PROGRAMS:**

93.162 National Health Service Corps Loan Repayment Program; 93.164 Indian Health Service Educational Loan Repayment; 93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds; 93.232 Loan Repayment Program for General Research; 93.364 Nursing Student Loans

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applicants are approved for participation in the NIH Loan Repayment Program

for AIDS Research after the LRC determines that the applicant will conduct qualified AIDS research. LRC approval, in part, is based upon the appropriateness of the research assignment to qualified AIDS research, the scientific merit of the research, and the credentials of the applicant as they relate to performing qualified AIDS research.

**93.938 COOPERATIVE AGREEMENTS TO SUPPORT COMPREHENSIVE SCHOOL HEALTH PROGRAMS TO PREVENT THE SPREAD OF HIV AND OTHER IMPORTANT HEALTH PROBLEMS**

(SHEPSA)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, 42 U.S.C 241(a) & 243(b).

**OBJECTIVES:**

To improve the health and well-being of youth and prepare them to be healthy adults.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used to support personnel, purchase equipment, supplies, services, and travel directly related to the program activities and consistent with the scope of this program. Cooperative agreement funds are used to help schools prevent sexual risk behaviors that result in HIV infection, especially among youth who are at highest risk. For example, cooperative agreement recipients implement and integrate effective policies and educational strategies to reduce risk behaviors that lead to HIV infection among youth; implement strategies to reduce disparities among sub-populations of youth disproportionately affected by HIV infection and other health problems related to sexual risk behaviors; evaluate the implementation and effectiveness of strategies to reduce risks for HIV infection among youth in schools for the purposes of programmatic improvement and long-range planning. CDC believes that the specific scope and content of HIV education programs in schools should be locally determined and should be consistent with parental and community values. CDC supports local decision-making by providing sound scientific information to grantees who work directly with schools, communities, and parents. Funds may be expended for written materials, pictorials, audiovisuals, questionnaires or survey instruments, and educational group sessions related to HIV education for youth, school, and college populations if approved in accordance with the document "Content of AIDS-Related Written Materials, Pictorials, Audiovisuals, Questionnaires, Survey Instruments, and Educational Sessions in Centers for Disease Control Assistance Programs." Cooperative agreement funds are also used to build state education and state health agency partnership and capacity to implement and coordinate school health programs across agencies and within schools. The expected outcome of this effort is to help schools reduce chronic disease risk factors, including tobacco use, poor nutrition, and physical inactivity. For example, cooperative agreement recipients implement and integrate effective policies, environmental changes, and educational strategies to reduce unhealthy behaviors; leverage resources to avoid duplication at the state and local levels; evaluate school health capacity-building efforts while implementing effective strategies to reduce priority health risks. Funds may not be used to conduct research projects, provide direct delivery of patient care or treatment services, and purchase or disseminate condoms. Although public health may have an assurance role in clinical testing and screening, funds are not to be used to provide clinical testing or screening services. Funds may not be used for purchasing computer equipment, office equipment or furnishing, renting or leasing office space, or to support construction or renovation unless specifically approved.

**Applicant Eligibility:**

Eligible applicants are official States (including the District of Columbia, the Commonwealth of Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, the Republic of Palau, and the U.S. Virgin Islands),

Tribal Governments, large urban school districts (with the highest number of reported AIDS cases, high levels of poverty, and student enrollment greater than 75,000 students), and national non-governmental organizations.

**Beneficiary Eligibility:**

Official State education agencies in states and territories in the United States (including the District of Columbia, the Commonwealth of Puerto Rico, American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, the Republic of the Marshall Islands, the Republic of Palau, and the U.S. Virgin Islands); local education agencies; national private sector organizations and their constituents; universities and colleges; school-age youth, including minority youth, youth in high-risk situations, and youth with special education needs; college-age youth; and school personnel, including teachers, school nurses, paraprofessionals, and school administrators.

**Credentials/Documentation:**

Costs will be determined by 45 CFR Part 74, Subpart Q for nonprofit organizations and in accordance with OMB Circular A-87, "Cost Principles for State and Local Governments.". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR Part 92 and 45 CFR Part 74. The standard application forms, as furnished by PHS and required by 45 CFR Part 92 for State and local governments and 45 CFR Part 74 for nonprofit organizations must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

Not Applicable.

**Renewals:**

Information on renewals may be obtained from Tracey Sims, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 2306, Atlanta, GA 30341.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Project period can be up to 5 years. Budget periods are for 12 months. Payment under this program is made available through HHS Payment Management System (PMS). Method of awarding/releasing assistance: lump sum.

**Reports:**

An annual progress report is due within 90 days after the end of the budget period and a final performance report is due 90 days after the end of the project period. This report describes the extent to which program objectives and activities were carried out, reasons for not achieving objectives or carrying out

activities as planned, and other information relevant to the program. This report also describes data generated and includes reports of evaluations of program activities conducted during the budget period. Cash reports are not applicable. An annual progress report is due within 90 days after the end of the budget period and a final performance report is due 90 days after the end of the project period. This report describes the extent to which program objectives and activities were carried out, reasons for not achieving objectives or carrying out activities as planned, and other information relevant to the program. This report also describes data generated and includes reports of evaluations of program activities conducted during the budget period. An annual financial status report is due within 90 days after the end of the budget period and a final financial status report is due within 90 days after the end of the project period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreements program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$35,593,000; FY 12 est \$24,108,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$1,000 to \$678,000; \$283,600.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health. These agencies apply for and receive funding in one or more of the following areas: asthma management, coordinated school health: physical activity, nutrition, and tobacco (CSH-PANT); HIV, STD, and unintended pregnancy prevention; and Youth Risk Behavior Survey (YRBS). Fiscal Year 2012: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health. These agencies apply for and receive funding in one or more of the following areas: asthma management, coordinated school health: physical activity, nutrition, and tobacco (CSH-PANT); HIV, STD, and unintended pregnancy prevention; Youth Risk Behavior Survey (YRBS); and professional development. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Subject to regulations outlined in 45 CFR Part 74 and 45 CFR Part 92. Program guidelines are available from the Grants Management Contact.

**Regional or Local Office:**

None. Program Contact: John C. Canfield, Program Development and Services Branch, Division of Adolescent and School Health, National Center for Chronic Disease Prevention and Health Promotion, Centers for Disease Control and Prevention, Public Health Service, Department of Health and Human Services, 4770 Buford Highway, Mailstop K-31, Atlanta, GA 30341. Telephone: (770) 488-6141. Grants Management Contact: Tracey Sims, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Atlanta, GA 30341. Telephone: (770) 488-2739.

**Headquarters Office:**

John Canfield, 4770 Buford Highway, NE, MS-K31, Atlanta, Georgia 30341  
Email: qzc6@cdc.gov Phone: (770) 488-6141.

**Website Address:**

<http://www.cdc.gov/healthyyouth> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health. Fiscal Year 2012: CDC's Division of Adolescent and School Health supports state, territorial, and local education and health agencies and tribal governments to help build and strengthen their capacity to improve child and adolescent health. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Continuation awards are made on the basis of the following criteria: (1) the accomplishments of the current budget period show that the applicant is meeting its objectives and carrying out activities as planned; (2) the capacity of the recipient and staff responsible for managing and coordinating activities; (3) current collaboration with HIV prevention programs of State and local health agencies and with other relevant organizations; (4) the objectives for the new budget period are realistic, specific, and measurable; (5) a description of the methods of operation and activities that will be used to accomplish the stated objectives; (6) a plan of evaluation; (7) evidence of support from relevant organizations; (8) plans to share information about the program, including copies of HIV education curricula, program descriptions, progress reports, and educational materials with other agencies interested in HIV education for youth; (9) a budget request that is clearly explained, adequately justified, reasonable, and consistent with the intended use of cooperative agreement funds.

**93.939 HIV PREVENTION ACTIVITIES\_NON-GOVERNMENTAL ORGANIZATION BASED**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a).

**OBJECTIVES:**

To provide assistance to local, regional and, national nonprofit organizations to: (a) develop and implement effective community-based Human Immunodeficiency Virus (HIV) prevention programs related to achieving national goals; (b) promote coordination for primary and secondary HIV prevention efforts among community organizations, HIV education/prevention service agencies, and public organizations including local and State health departments and substance abuse agencies; and (c) evaluate the HIV prevention programs for which support is provided.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used to promote coordination for primary and secondary HIV prevention efforts among community-based organizations, HIV education/prevention service agencies, and nonprofit national and regional organizations.

**Applicant Eligibility:**

Nongovernmental public and nonprofit private entities are eligible, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries..

**Beneficiary Eligibility:**

Public and nonprofit private entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures and provide a budget justification of funds requested. Costs for nonprofit recipients

will be determined in accordance with HHS Regulations, 45 CFR Part 74. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2720. The standard application forms must be used for this program as furnished by the Public Health Service and requirement by OMB Circular No. A-110 for nongovernmental applicants. This program is subject to the provisions of OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

After review and approval of an application, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for 1 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As stated in the Terms and Conditions in the Notice of Award (NoA). Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. See FOA for details. See FOA for details. See FOA for details. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

There is a 3-year record retention requirement; records shall be retained beyond the 3-year period if final audit has not been done or findings resolved. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**



(Salaries) FY 11 \$78,892,563; FY 12 est \$77,273,951; and FY 13 est \$77,273,951

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs; 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention; 93.947 Tuberculosis Demonstration, Research, Public and Professional Education; 93.977 Preventive Health Services\_Sexually Transmitted Diseases Control Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on: (1) Agreements between all agencies providing professional and/or supportive care, either voluntarily or for fees; (2) a description of the approach that will be used to provide prevention case management services; and (3) a description of how services will complement/expand existing agency primary and secondary services and specific criteria published in program guidance.

**93.940 HIV PREVENTION ACTIVITIES\_HEALTH DEPARTMENT BASED**

(HIV Prevention Program)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 317, Public Law 100-436.

**OBJECTIVES:**

To assist States and political subdivisions of States in meeting the cost of establishing and maintaining Human Immunodeficiency Virus (HIV) prevention programs.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Project funds may be used to support, develop, implement and evaluate primary and secondary HIV prevention programs implemented by State and local health departments.

**Applicant Eligibility:**

States, and in consultation with State health authorities, political subdivisions of States including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and U.S. territories and possessions.

**Beneficiary Eligibility:**

States, State health authorities, political subdivisions of States including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and U.S. territories and

possessions.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. OMB Circular No. A-87 (Revised May 10, 2011) applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention. Telephone: (770) 488-2700. The standard application forms, as furnished by CDC, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to six months.

**Appeals:**

Not Applicable.

**Renewals:**

Project periods are for one to five years with 12-month budget periods.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The project period on these grants is one to five years and the budget period is 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. See FOA for details. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$315,672,634; FY 12 est \$372,377,551; and FY 13 est \$372,377,551 - Note: 93.940 includes funds

appropriated by congress for HIV testing. 93.940 - This CFDA category includes CDC-RFA-PS10-10138 - Expanded Human Immunodeficiency Virus (HIV) Testing for Disproportionately Affected Populations - which will be funded for less than 12 months in FY 2011. Testing funds that were not allocated to this announcement in FY 2011 were redistributed to other testing projects with Dr. Frieden's approval. In addition, in FY 2010 this announcement included supplemental Prevention and Public Health Funds (PPHF) and emergency dollars, which were not continued in FY 2011.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94- 50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity; 93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based on (1) satisfactory progress in meeting project objectives; (2) the extent to which the objectives for the new budget period are specific; (3) measurable, time phased, realistic, and consistent with National HIV Prevention Goals; (3) the extent to which proposed changes in methods of operation are appropriate and likely to improve prevention efforts; (4) evaluation plans which enhance the success of the project; (5) the availability of funds.

**93.941 HIV DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION PROJECTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a).

**OBJECTIVES:**

To develop, test, and disseminate improved HIV prevention strategies.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

To assist States, political subdivisions of States, and other public and nonprofit entities with research on the prevention of HIV infection at the community level. Funds may be used to develop, implement and evaluate new intervention, including those targeting people who are infected with HIV. Applicants are encouraged to have research groups participate in the program.

**Applicant Eligibility:**

States, political subdivisions of States, other public including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and nonprofit private entities.

**Beneficiary Eligibility:**

States, political subdivisions of States, other public including American

Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries and nonprofit private entities.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. For nonprofit recipients, costs will be determined in accordance with HHS Regulations 45 CFR 74. OMB Circular No. A-87 (revised May 10, 2004) applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: <http://grants.nih.gov/grants/funding/phs398/phs398.html>. Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days/three to six months.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

Projects are for one to five years with 12-month budget periods. Application forms must be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention: Telephone: (770) 488-2700.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From one to five years. Budget Period: For 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. See FOA for details. See FOA for details. See FOA for details. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$10,678,714; FY 12 est \$7,880,628; and FY 13 est \$7,880,628

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR Part 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94- 50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_ Investigations and Technical Assistance; 93.991 Preventive Health and Health Services Block Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent to which proposed objectives are specific, measurable, time-phased, and consistent with the stated purpose of this program; the extent to which the applicant's proposed plan will identify and reach appropriate hard-to-reach individuals at risk for HIV, and the quality and scope of the applicant's past and current activities to provide education about HIV prevention and AIDS to high risk individuals; the quality of the applicant's proposed interventions and strategies to motivate and reinforce risk reduction behavior change among hard-to-reach individuals; the quality of the applicant's proposed plan to promote changes in community norms regarding HIV prevention and risk reduction behavior, and to generate support, cooperation, and collaboration with community based organizations serving individuals at high risk for HIV; the extent to which the applicant's proposed plan will determine, monitor, and measure changes in the prevalence of specific knowledge, attitudes, beliefs and self-reported behaviors among hard-to-reach individuals; the quality of the applicant's plan, including proposed methods and instruments of measurement to evaluate effectiveness of the strategies used to motivate and reinforce behavior change among groups targeted by the interventions, and the impact of the programmatic efforts on community norms; the extent to which the applicant's proposed plan will enable it to respond to and redirect programmatic efforts based on new information, changes in behavior, and changes in HIV sero prevalence.

**93.942 RESEARCH, PREVENTION, AND EDUCATION PROGRAMS ON LYME DISEASE IN THE UNITED STATES**

(Lyme Disease)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301, 42 U.S.C 241(a).

**OBJECTIVES:**

To develop, implement and evaluate practical and effective measures for the

primary and secondary prevention of Lyme disease in the United States.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

Funding opportunities are made available to develop disease surveillance, conduct ecological and epidemiological studies, develop prevention and control activities, develop better diagnostic tests, and develop and disseminate educational materials and programs. Grants include funds for direct costs, i.e., personnel, travel, equipment, supplies, necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, such as reimbursement of pre-award costs, as well as those for which prior written approval is required, are indicated in the Public Health Service (PHS) Grants Policy Statement (<http://www.hhs.gov/grantsnet.gps/>).

**Applicant Eligibility:**

Public and nonprofit organizations able to provide services to geographical areas where Lyme disease is endemic or found to be newly emerging in the continental United States. Thus, universities, colleges, research institutions, State and local health departments, and private nonprofit organizations are eligible.

**Beneficiary Eligibility:**

States, political subdivisions of states, and other public and nonprofit private entities and the general public who may be exposed to the threat of Lyme disease in certain geographical areas.

**Credentials/Documentation:**

Nonprofit organizations are corporations or associations no part of whose net earnings may lawfully inure to the benefit of any private shareholder or individual. Proof of nonprofit status must be submitted by private nonprofit organizations with the application or, if previously filed with PHS, the applicant must state where and when the proof was submitted. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

This program has no preapplication requirements. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. To apply to published funding opportunity, applications must be submitted electronically through Grants.gov (<http://www.grants.gov>) using the SF424 Research and Related (R&R) forms and the SF424 (R&R) Application Guide. Detailed application instructions are included in the Funding Opportunity Announcements (FOAs) for federal assistance. Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management System, (Add FOA number here), CDC Procurement and Grants Office, U.S. Department of Health and Human Services, 2920 Brandywine Road, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Upon receipt, applications will be evaluated for completeness and responsiveness by the agency program and HHS/CDC Procurement and Grants Office (PGO). HHS/CDC will not review incomplete and non-responsive applications. After review and approval, a notice of grant award (NoA) is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (usually 12 months) and NoA indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 3 to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

Cooperative agreement project periods are for 3 to 4 years. Subject to availability of funds, after initial awards, projects may be renewed non-competitively contingent upon satisfactory progress by the recipient (as documented in required reports) and the determination that continued funding is in the best interest of the Federal government.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from 3 to 4 years. See the following for information on how assistance is awarded/released: After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System.

**Reports:**

Program reports are not applicable. Cash reports are not applicable. An original and two hard-copies of the Non-Competing Grant Progress Report (PHS 2590) are due no less than 120 days prior to the end of each budget period within the project period. Financial status reports are required no later than 90 days after the end of each budget period. Final financial status reports are required no more than 90 days after the end of the project period. Final performance reports are required no more than 90 days after the end of the project period. All reports must be submitted to the Grants Management Specialist indicated in the NoA.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0949-0-1-550.

**Obligations:**

(Cooperative Agreements) FY 11 \$1,696,874; FY 12 est \$1,410,128; and FY 13 est \$908,363 - These obligations exclude federal assistance provided to the States through the Epidemiology and Laboratory Capacity (ELC) and Emerging Infections Program (EIP) cooperative agreements, and contracts. (Project Grants (Contracts)) FY 11 \$307,600; FY 12 est \$495,622; and FY 13 est \$402,665 - These obligations exclude federal assistance, i.e. cooperative agreements and grants, and contracts less than \$100,000; however, these contracts support Epidemiology and Laboratory Capacity (ELC) and Emerging Infections Program (EIP) cooperative agreements.

**Range and Average of Financial Assistance:**

\$250,000 to \$300,000; Average award depends on funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A final year, non-competitive continuation award was made for the evaluation of reservoir-targeted vaccine formulations to prevent enzootic transmission of *Borrelia burgdorferi* (Lyme Borreliosis).

One non-competing continuation research grant award was made for the long-term complications of Lyme disease study, and two non-competing continuation research cooperative agreement awards were made for the improved diagnostics project.

A new funding opportunity announcement in FY 2011 awarded one cooperative agreement for community-based Lyme disease prevention and control programs in the highest endemic areas of the United States to begin to evaluate and implement selected interventions to reduce Lyme disease. A second cooperative agreement award for this FOA was made in FY 2012.

Continuation awards to Lyme endemic states for the Epidemiology and Laboratory Capacity (ELC) and Emerging Infections Program (EIP) cooperative agreements were made, along with a service contract award to conduct the first large field trial of acaricides to prevent Lyme disease in CT, NY, and MD, in support of the national TickNet program. Fiscal Year 2012: The non-competing continuation research grant award for the long-term complications of Lyme disease study, and two non-competing continuation research cooperative agreement awards for the improved diagnostics project were awarded.

The new funding opportunity announcement in FY 2011 for community-based Lyme disease prevention and control programs in the highest endemic areas of the United States to begin to evaluate and implement selected interventions to reduce Lyme disease was awarded in FY 2012 as a non-competitive continuation, and a second, new award under this FOA.

Continuation awards to ELC and EIP cooperative agreements were made, along with a second service contract to conduct a follow-on acaricide treatment intervention trial in support of TickNet.

A small cooperative agreement award was made to update the physician education module for Lyme disease.

A new contract award was made for a small treatment trial to prevent Lyme disease in CT using bait boxes. Fiscal Year 2013: The non-competing continuation research grant award for the long-term complications of Lyme disease study is in its last award year, and the two non-competing continuation research cooperative agreement awards for the improved diagnostics project are ending.

Two non-competitive continuation awards for community-based Lyme disease prevention and control programs in the highest endemic areas of the United States to begin to evaluate and implement selected interventions to reduce Lyme disease are anticipated to be awarded in FY 2013.

Continuation awards to ELC and EIP cooperative agreements are expected to be made with possible expansion, along with service contract(s) in support of the collective Lyme and Other Tickborne Diseases Prevention Study for TickNet.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev.) April 1, 1994. Pertinent information may be obtained by contacting the Headquarters Office.

**Regional or Local Office:**

See Regional Agency Offices. Bacterial Diseases Branch, Division of Vector Borne Diseases, National Center for Emerging and Zoonotic Infectious Diseases, Office of Infectious Diseases, Centers for Disease Control and Prevention, 3156 Rampart Road, Fort Collins, CO 80521. Branch Extramural Activities Contacts: Ms. Diane Hamm - Telephone: (970) 221-6414 and Dr. Charles B. (Ben) Beard - Telephone: (970) 221- 6418. Division Extramural Activities Contacts: Ms. Mary Ellen (Mel) Fernandez - Telephone: (970) 221-6426. Dr. Lyle R. Petersen - Telephone: (970) 221-6428.

**Headquarters Office:**

Trudy Messmer, Centers for Disease Control and Prevention, Extramural Research Programs Office, MS E60, 1600 Clifton Road, N.E., Atlanta, Georgia 30333 Email: TMessmer@cdc.gov Phone: (404) 718-8845.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications for public health research grants and cooperative agreements are evaluated for scientific and technical merit through the HHS/CDC peer review system. Applications are evaluated by a chartered Special Emphasis Panel in accordance with the Federal Advisory Committee Act, and in accordance with CDC peer review policy and manual.

Applications will be evaluated on the review criteria described in the Funding Opportunity Announcements (FOAs). In general, the review and selection process of complete and responsive applications to the FOA consists of determination of the scientific merit by peer review, availability of funds, and relevance of program priorities and the priorities of DHHS. Refer to the FOA for additional review criteria.

**93.943 EPIDEMIOLOGIC RESEARCH STUDIES OF ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) AND HUMAN IMMUNODEFICIENCY VIRUS (HIV) INFECTION IN SELECTED POPULATION GROUPS**

(Epidemiologic Research Studies of AIDS and HIV)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Act, Section 301.

**OBJECTIVES:**

To support research of important HIV-related epidemiologic issues concerning risks of transmission, the natural history and transmission of the disease in certain populations and development and evaluation of behavioral recommendations for reducing AIDS and HIV infection. Of special interest are programs that examine these research issues as they affect minority populations (defined as one of the four federally-recognized groups: African-Americans; Asian/Pacific Islanders; Latinos/Hispanics; and Native Americans).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance is provided to support cooperative agreements that examine important epidemiologic research issues concerning AIDS and HIV infection. The research should contribute to the health services knowledge base from which empirically based information can be derived by policy makers, both immediately and over the coming decades. Grants include funds for direct costs (such as personnel, travel, equipment, or supplies) necessary to carry out an approved project as well as funds for the reimbursement of applicable indirect costs. Unallowable costs, as well as those for which prior written approval is required, are indicated in the PHS Grants Policy Statement.

**Applicant Eligibility:**

Eligible applicants include States, political subdivisions of States or their agents or instrumentalities, private research organizations, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, other public and private nonprofit organizations, and for-profit organizations.

**Beneficiary Eligibility:**

State and local health agencies; private research organizations, public and private nonprofit organizations, for profit organizations; minority groups; including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, and persons physically afflicted with AIDS/HIV infection.

**Credentials/Documentation:**

Costs will be determined by HHS Regulations 45 CFR Part 74, for nonprofit organizations and in accordance with OMB Circular No. A-87, "Cost Principles for State and Local Governments;". OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A signed original and five copies of the application Form 398 must be sent to the Centers for Disease Control and Prevention (CDC). State and local governments may use Form 5161. An original and two copies must be submitted. This program is subject to the provisions of 45 CFR 92 for State and Local Governments and 45 CFR 74 for nonprofit organizations, as appropriate.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public, initial award provides funds for first budget period (usually 12 months) and Notice of Award indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any. However, applicants are encouraged to call CDC for programmatic technical assistance prior to the development and submission of their assistance application.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 3 - 6 months from receipt of application.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

If additional support is desired to continue a research project beyond the approved project period, an application for competing continuation must be submitted for review in the same manner as a new application.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is available for a 12-month budget period within project periods ranging from one to four years. After awards are issued, funds are released in accordance with the payment procedure established by the grantee institution with DHHS, which may be an Electronic Transfer System or a Monthly Cost Request System. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. Cash reports are not applicable. Progress reports are not applicable. Expenditure reports are not applicable. See FOA for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of 3 years after the end of a budget period. If questions still remain, such as those cited as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$207,891,800; FY 12 est \$358,626,600; and FY 13 est \$358,626,600

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed and evaluated based on the evidence submitted which specifically describes the applicant's abilities to meet the following criteria: (1) the plans to develop and implement the study describing how study participants will be identified, enrolled, tested and followed; (2) the ability to enroll and follow an adequate number of eligible study participants to assure proper conduct of the study. This includes both demonstration of the availability of HIV-infected potential study participants and the experience of the investigator in enrolling and following such persons; (3) the applicant's current activities in AIDS and HIV research and how they will be applied to achieving the objectives of the study; letters of support from cooperating organizations that demonstrate that nature and extent of such cooperation should be included; (4) the applicant's understanding of the research study objectives and, their ability, willingness and/or need to collaborate with CDC and researchers from other study sites in study design and analysis, including use of common forms, and sharing of specimens and data; (5) the plan to protect the rights and confidentiality of all participants and ensure adequate participation; (6) the size, qualifications and time allocation of the proposed staff and the availability of facilities to be used during the research study; (7) how the project will be administered to assure the proper management of the daily activities of the program; (8) the proposed schedule for accomplishing the activities of the research; including time frames; and (9) the quality of an evaluation plan which specifies methods and instruments to be used to evaluate the progress made in attaining research objectives.

**93.944 HUMAN IMMUNODEFICIENCY VIRUS (HIV)/ACQUIRED IMMUNODEFICIENCY VIRUS SYNDROME (AIDS) SURVEILLANCE**

(HIV/AIDS Surveillance)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Section 301(a).

**OBJECTIVES:**

To continue and strengthen effective human immunodeficiency virus (HIV) and acquired immunodeficiency syndrome (AIDS) surveillance programs and to affect, maintain, measure and evaluate the extent of HIV/AIDS incidence and prevalence throughout the United States and its territories, providing information for targeting and implementing HIV prevention activities.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may be used for salaries of staff conducting HIV/AIDS surveillance and sero surveillance activities, travel related to carrying out project activities and participating in national planning and implementation meetings, necessary supplies, computer software and hardware, and laboratory, data collection, and analysis costs. Grant funds are to be added to replace existing resources.

**Applicant Eligibility:**

The governments, or their agents or instrumentalities, of any of the States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, territories or possessions of United States, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries, and local governments who are current recipients of HIV/AIDS surveillance cooperative agreements.

**Beneficiary Eligibility:**

Official health agencies will benefit.

**Credentials/Documentation:**

. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Applications are made in the form of an application PHS-5161-1, to the Centers for Disease Control and Prevention. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments must be used for this program. This program is subject to the provisions of 45 CFR Part 92 for State and local governments.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public. Initial award provides funds for first budget period (usually 12 months) and Notice of Award (Form 5152-1) indicates support recommended for the remainder of project period, allocation of Federal funds by budget categories, and special conditions, if any.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. About 120 days after application submission.

**Appeals:**

As stated in the Terms and Conditions.

**Renewals:**

Renewals may be approved for 1 to 5 years.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

From one to five years. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

See FOA for details. No cash reports are required. See FOA for details. No expenditure reports are required. See funding opportunity announcement (FOA) for details.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project must be kept readily available for review by personnel authorized to examine PHS grant accounts. Records must be maintained for a minimum of three years after the end of each budget period. If questions still remain, such as those raised as a result of an audit, records must be retained until completion or resolution of any audit in process or pending resolution. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$83,980,449; FY 12 est \$77,544,168; and FY 13 est \$77,544,168

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994; Administration of Grants, DHHS, 45 CFR 92; Application Instructions and Information and Program Guidance established by CDC for HIV/AIDS cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Official health agencies which are current recipients of funds for HIV/AIDS surveillance activities; (2) need and background; and (3) a willingness to comply with applicable CDC sero surveillance protocols.

**93.945 ASSISTANCE PROGRAMS FOR CHRONIC DISEASE PREVENTION AND CONTROL**

(State Cardiovascular Health Programs (CVH); and Racial and Ethnic Approaches to Community Health (REACH)); State Public Health Approaches to Improving Arthritis Outcomes, State Nutrition, Physical Activity and Obesity Programs

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act., Title 42, Section 301(a) and 317.

**OBJECTIVES:**

To work with State health agencies and other public and private nonprofit

organizations in planning, developing, integrating, coordinating, or evaluating programs to prevent and control chronic diseases; assist in monitoring the major behavioral risks associated with the 10 leading causes of premature death and disability in the United States including cardiovascular diseases; and, establish new chronic disease prevention programs like Racial and Ethnic Approaches to Community Health (REACH), State Nutrition, Physical Activity and Obesity Programs (NPAO).

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Grant funds may be used for costs associated with planning, implementing, and evaluating chronic disease prevention and control programs. Cooperative agreement funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

Eligible applicants are the official State and territorial health agencies of the United States, the District of Columbia, tribal organizations, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa. Other public and private nonprofit community based organizations are also eligible (see REACH).

**Beneficiary Eligibility:**

State health agencies and community based organizations will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, State the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. Costs will be determined in accordance with OMB Circular No. A-21 for Educational Institutions, and OMB Circular No. A-122 for nonprofit organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92 and 74. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for these programs.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to four months.

**Appeals:**

Not Applicable.

**Renewals:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: From 3 three to 5 five years. Budget period: Usually 12 months.  
Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are required on a semi-annual basis. An annual Financial Status Report (FSR) is required. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Cash reports are not applicable. Progress reports are required on a semi-annual basis. An annual Financial Status Report (FSR) is required. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Progress reports are required on a semi-annual basis.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$6,560,000; FY 12 est \$6,520,000; and FY 13 est \$6,520,000 - These numbers reflect program from DNPAO and DCH

FY11- DP09-910- 609,138 (DNPAO)  
FY11- DP09-911- 750,000 (DNPAO)  
FY11-DP080806 - 5,201,054 (DACH) Ended FY12

FY12 funding- 910 - 645,000  
FY12 funding- 911 - 750,000  
FY12 funding-Arthritis CDC-RFA-DP12-1210 2013 5,125,000 million, 12 states funded.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

There are program regulations under 42 CFR 51b, Project Grants for Preventive Health Services. Guidelines are also available from PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to grants and cooperative agreements.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV.

**Headquarters Office:**

Nicholas Farrell 1600 Clifton Rd, Atlanta, Georgia 30333 Phone: (770) 488-5269.

**Website Address:**

<http://www.cdc.gov/nccdphp>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.988 Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Based on the evaluation criteria as published in the program and/or Federal Register Announcement.

**93.946 COOPERATIVE AGREEMENTS TO SUPPORT STATE-BASED SAFE MOTHERHOOD AND INFANT HEALTH INITIATIVE PROGRAMS**

(Infant Health and pre-term delivery Initiative; PRAMS; MCHEP; ART; Maternal Health Research)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 301(a), 317K., Public Law USC-241(a); 241(a);.

**OBJECTIVES:**

To work with official public health agencies of States to: (1) establish and maintain State-specific, population-based surveillance of selected maternal behaviors that occur during pregnancy and the child's early infancy; and (2) generate State-specific data for planning and assessing perinatal health programs. Additionally, work with official public health agencies of States and localities to develop a multidisciplinary team of individuals dedicated to building the recipient's analytic capacity to use epidemiologic and surveillance data to address the health problems that affect its women, infants, and children. Prevention research activities related to women's health related to pregnancy, in vitro fertilization, pre-term delivery, and other reproductive health complications.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

PRAMS: Cooperative Agreement funds may be used to develop a surveillance system that will identify behavioral risk factors during pregnancy and early infancy, and will identify problems in health care delivery. Funds may be used to support the following activities: (1) Obtaining a commitment of participation from the Maternal and Child Health, Vital Statistics, and Data Processing units; (2) assuring that the State PRAMS program will have access to needed vital records information; (3) forming a Steering Committee to promote user involvement; (4) developing a surveillance protocol; (5) preparing a questionnaire, including State-specific questions; (6) obtaining Institutional Review Board review and approval; (7) implementing surveillance operations, such as sampling, data collection, data management, database development, and data analysis; and (8) planning for data dissemination and use. MCHEP: Cooperative agreement funds may be used by grantees to build their analytic capacity to use epidemiologic and surveillance data to address health problems affecting women, infants and children. Grantees in States, D.C., cities, and U.S. territories will develop a multidisciplinary team to identify populations at increased risk of infant mortality and to help direct programs to reduce this risk. Funds may be used to: (1) Establish a risk-oriented approach to the reduction of infant mortality; (2) substantially build State and local surveillance and epidemiologic capabilities; (3) enhance capacity in States to use surveillance and epidemiologic findings in program and policy development, implementation, and evaluation; (4) disseminate such analytic capabilities to other States by providing information, direct technical assistance, and a pool of knowledgeable and experienced individuals for collaboration; (5) coordinate State programs in database development and intervention research; and (6) develop stronger interactive partnerships among State, territorial, and Federal. To carry out other types of surveillance, prevention research, and demonstrations projects as authorized under the Safe Motherhood authorization.

**Applicant Eligibility:**

Official State and Territorial public health agencies. City of New York public



health agency and District of Columbia. Applications may be submitted by public and private nonprofit and for-profit organizations and by governments and their agencies; that is, universities, colleges, research institutions, hospitals, other public and private nonprofit and for-profit organizations, State and local governments or their bona fide agents, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau, federally recognized Indian tribal governments, Indian tribes, or Indian tribal organizations, and small, minority, women-owned businesses.

**Beneficiary Eligibility:**

Official State and Territorial public health agencies. City of New York public health agency and District of Columbia. Applications may be submitted by public and private nonprofit and for-profit organizations and by governments and their agencies; that is, universities, colleges, research institutions, hospitals, other public and private nonprofit and for-profit organizations, State and local governments or their bona fide agents, including the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau, federally recognized Indian tribal governments, Indian tribes, or Indian tribal organizations, and small, minority, women-owned businesses.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by CDC and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From three to four months.

**Appeals:**

Not Applicable.

**Renewals:**

Information on renewals may be obtained from the Grants Management Officer, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by CDC and required by 45 CFR 92 for State and local governments, must be used for this program.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project Period: up to five years. Budget Period: All programs: For 12 months. Assistance is awarded through the SMARTLINK II System. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are required annually. Cash reports are not applicable. Progress reports are required annually. Annual financial reports are required at the end of each budget period. A final financial status report is due 90 days after the project period ends. Progress reports are required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreements program shall be retained for a minimum of three years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$6,489,009; FY 12 est \$6,221,921; and FY 13 est \$6,221,921

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, applies to cooperative agreements.

**Regional or Local Office:**

None.

**Headquarters Office:**

Dee Wetterhall 1600 Clifton Rd , Atlanta, Georgia 30333 Phone: (770) 488-5200.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All programs: (1) The extent to which the application describes and presents appropriate data indicating an understanding of the problem, the program for which assistance is requested, and the purpose of the cooperative agreement; (2) the degree to which the workplan addresses the stated needs, is likely to achieve the purposes of the cooperative agreement, and describes the specific roles and responsibilities of participating personnel; (3) the degree to which the application provides a complete and achievable timetable of appropriate events; (4) the adequacy of the plan to monitor progress toward the stated objectives; (5) the extent to which the budget is reasonable, consistent with the problems identified and the scope of the program proposed to address these problems, and the intended use of cooperative agreement funds, and clearly reflects the applicant's intent to commit nonfederal resources to support the operational costs of these programs. PRAMS only: The degree to which the application describes the process for registering births in the State.

## **93.947 TUBERCULOSIS DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION**

### **FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

### **AUTHORIZATION:**

This program is authorized under Sections 317(k)(2) and 317E of the Public Health Service Act (42 U.S.C. Sections 247b-6), as amended.

### **OBJECTIVES:**

To assist States, political subdivisions of States, and other public and nonprofit private entities in conducting research into prevention and control of tuberculosis nationally and internationally, especially in conducting demonstration projects for the prevention and control of tuberculosis; in providing public information and education programs for prevention and control of tuberculosis; and in developing education, training, and clinical skills improvement activities in the prevention and control of tuberculosis for health professionals, including allied health personnel.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements

### **USES AND USE RESTRICTIONS:**

Requests for direct assistance (i.e., "in lieu of cash") for personnel, equipment, and supplies directly related to project activities, particularly directly observed therapy, patient outreach, and program assessment will be considered. Project funds may not be used to supplant State or local funds available for tuberculosis control or to support construction costs or inpatient care.

### **Applicant Eligibility:**

States, political subdivisions of States, and other public and nonprofit private entities.

### **Beneficiary Eligibility:**

States, political subdivisions of States, other public and nonprofit private entities, serving persons with TB infection and disease.

### **Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. For nonprofit recipients, costs will be determined in accordance with DHHS Regulations 45 CFR Part 74 Subpart Q. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. To apply for this funding opportunity, use application form PHS 398 (OMB number 0925-0001 rev. 5/2001). Forms and instructions are available in an interactive format on the CDC web site, at the following Internet address: [www.cdc.gov/od/pgo/forminfo.htm](http://www.cdc.gov/od/pgo/forminfo.htm). Submit the signed original and five copies of your application by mail or express delivery service to: Technical Information Management, CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, GA 30341. The standard application forms 5161 must be used for the program as furnished by CDC and required by 45 CFR 92 for state and local governments and by 45 CFR 74 for nongovernmental applicants.

### **Award Procedure:**

Applications that are complete and responsive to the announcement will be evaluated for scientific and technical merit by an appropriate peer review group convened by the NCHHSTP in accordance with the review criteria listed above. As part of the initial merit review, all applications may: (1) Undergo a process

in which only those applications deemed to have the highest scientific merit, generally the top half of the applications under review, will be discussed and assigned a priority score; (2) receive a written critique; and (3) receive a second level review by the Science and Program Review Subcommittee (SPRS). Successful applicants will receive a Notice of Grant Award (NGA) from the CDC Procurement and Grants Office. The NGA shall be the only binding, authorizing document between the recipient and CDC. The NGA will be signed by an authorized Grants Management Officer, and mailed to the recipient fiscal officer identified in the application.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 90 to 120 days.

### **Appeals:**

From 120 to 180 days.

### **Renewals:**

From 60 to 90 days. Project periods are for 3 to 5 years with 12-month budget periods. Applications must be obtained from Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This program has no statutory formula or matching requirements. Although there are no statutory requirements, applicants must assume part of the project cost and fiscal information must be provided in the narrative portion of the application pursuant to provisions of Section 317(e). MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

From three to five years. Budget Period: For 12 months. Method of awarding/releasing assistance: lump sum.

### **Reports:**

No program reports are required. No cash reports are required. Either quarterly or semi-annual narrative and statistical progress reports are required. Progress reports are required 90 days after the end of a project period. Report should address the recipients progress of achievement of the stated objectives. Annual financial status reports are required no later than 90 days after the end of each budget period. Final financial status reports are required 90 days after the end of a project period. No performance monitoring is required.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

### **Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the project shall be retained for at least 3 years or until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

### **Account Identification:**

75-0950-0-1-550.

### **Obligations:**

(Cooperative Agreements) FY 11 \$1,614,000; FY 12 est \$639,213; and FY 13 est \$5,887,928

### **Range and Average of Financial Assistance:**

\$20,000 to \$230,000 with an average of \$120,000.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: An award is made during fiscal year 2012 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award was made to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested partners to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award was also made during fiscal year 2012 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. During 2012, funds were also awarded to an organization to travel laboratory staff to a national meeting and also to perform a laboratory survey. It is estimated that up to six awards will be made in fiscal year 2013. Fiscal Year 2012: An award is expected during fiscal year 2012 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award is expected to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested partners to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award is also expected during fiscal year 2012 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. During 2012, an award is also expected to an organization to travel laboratory staff to a national meeting and also to perform a laboratory survey. It is estimated that up to six awards will be made in fiscal year 2012. Fiscal Year 2013: An award is expected during fiscal year 2013 to an international organization to conduct joint conferences, to develop teaching materials and jointly conduct courses in TB epidemiology in developing countries and to conduct demonstration projects of TB control programs in countries of strategic interest to the United States. Another award is expected to an international organization to expand efforts and strategies to prevent and control TB and TB/HIV and to implement activities to assist national governments, regional authorities, non-governmental organizations, private and public health care systems, donors and other interested partners to develop, establish, and coordinate systems and procedures to strengthen TB and TB/HIV treatment and control efforts worldwide. An award is also expected during fiscal year 2013 to a domestic organization to maintain effective communication capacity among the nation's Tuberculosis Control officials (TB Controllers) and TB nursing professionals. During 2013, an award is also expected to an organization to travel laboratory staff to a national meeting and also to perform a laboratory survey. It is estimated that up to six awards will be made in fiscal year 2013.

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations governing this program are published under 42 CFR 51b. Guidelines are available in the application kit. PHS Grants Policy Statement No. 94-50,000 (Revised) April 1, 1994.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Kathryn Koski 1600 Clifton Road, MS E-10, Atlanta, Georgia 30333 Email: kak4@cdc.gov Phone: 404-639-5259 Fax: 404-639-8604

#### **Website Address:**

<http://www.cdc.gov>.

#### **RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.991 Preventive Health and Health Services Block Grant

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Awards will be

made to advance the goals toward TB elimination and a project to conduct conferences to assist in teaching targeted TB control programs about TB epidemiology. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated on the extent of the tuberculosis problem; the establishment of specific and measurable objectives; and the development of a sound operational plan that will ensure the implementation of each program's elements.

#### **93.954 TRIBAL RECRUITMENT AND RETENTION OF HEALTH PROFESSIONALS INTO INDIAN HEALTH PROGRAMS**

Tribal Recruitment and Retention of Health Professionals into Indian Health Programs

#### **FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

#### **AUTHORIZATION:**

Indian Health Care Improvement Act, Section 110, Public Law 94-437.

#### **OBJECTIVES:**

To make financial assistance awards to Indian tribes and tribal and Indian health organizations to enable them to recruit, place, and retain health professionals to fill critical vacancies and to meet the staffing needs of Indian health programs and facilities including those administered by the Indian Health Service (IHS).

#### **TYPES OF ASSISTANCE:**

Training

#### **USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit and retain health professionals into Indian health programs and facilities. All IHS funds are discretionary funds.

#### **Applicant Eligibility:**

Any federally-recognized Indian tribe or tribal or Indian health organization is eligible to apply.

#### **Beneficiary Eligibility:**

Preference is given to those applicants who propose to recruit for health programs and facilities that IHS has designated as high priority for the IHS Loan Repayment Program for physicians, nurses, and other health professions.

#### **Credentials/Documentation:**

Costs for other institutions will be determined by HHS Regulations 45 CFR 74, Subpart Q. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or support@grants.gov. The Contact Center is open 24 hours a day, 7 days a week (except for Federal holidays). If you require additional assistance please contact the Grants Policy Office at (301) 443-5204 at least 15 days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

#### **Award Procedure:**

Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 90 days of IHS deadline.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted via grants.gov annually. Continuation funding is subject to availability of funds, satisfactory performance, and continuing need of the IHS for the program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Payments of grant funds are made through the DHHS Payment Management System or DHHS Electronic Transfer System. Information will be forwarded to new grantees regarding the process of obtaining funds. Method of awarding/releasing assistance: quarterly.

**Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

DHHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Training) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$0.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Indian Health Care Improvement Act, Public Law 94-437, amended by Public Law 100-713, enacted November 23, 1988; HHS Grants Policy Statement dated 1/07.

**Regional or Local Office:**

None. For program information, contact Mr. Raymond Lala, Chief Recruitment, Office of Public Health Support, Indian Health Service, 801 Thompson

Avenue, Suite 450A, Rockville, MD 20852. Telephone: (301) 443-5710.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

http://www.ihs.gov

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Need - Is the need for the project justified? If a project targets urban Indian health programs, is there justification and documentation for conducting activities at that site? Do proposed efforts complement and expand past recruitment efforts? Approach - Are the objectives well stated? Is the applicant's work plan for conducting the project sound and effective? Is the approach innovative? Are the activities proposed cost effective and will they lead to effective recruitment, placement, and retention? Adequacy of Management Controls - Is the applicant capable of successfully conducting the project both from a technical and business standpoint? Is the proposed interaction with IHS staff adequate for an application for recruitment of Federal staff? Is the budget sound in relation to the work plan and does it assure effective utilization of grant funds? Are the facilities and equipment adequate? Key Personnel - Regarding the position descriptions, are the qualifications of key personnel appropriate and adequate to carry out the project? If a resume is provided, are the individual's qualifications and experiences consistent with the position description and conduct of the project?.

**93.958 BLOCK GRANTS FOR COMMUNITY MENTAL HEALTH SERVICES**

(CMHS Block Grant)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

as amended, Public Law 106-310, 42 U.S.C 300X; Public Health Service Act, Title XIX, Part B, Subpart I.

**OBJECTIVES:**

To provide financial assistance to States and Territories to enable them to carry out the State's plan for providing comprehensive community mental health services to adults with a serious mental illness and to children with a serious emotional disturbance; monitor the progress in implementing a comprehensive community based mental health system; provide technical assistance to States and the Mental Health Planning Council that will assist the States in planning and implementing a comprehensive community based mental health system.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the State to achieve the described objectives except for certain requirements. State plans must meet prescribed criteria. Services under the plan will be provided only through appropriate, qualified community programs (which may include community mental health centers, child mental-health programs, psychosocial rehabilitation programs, mental health peer-support programs and mental-health primary consumer-directed programs). Services under the plan will be provided through community mental health centers only if the centers meet prescribed criteria. Up to 5 percent of grant funds may be used for administering the funds. Funds may not be used to provide inpatient services; to make cash payments to intended recipients of health services; to purchase or improve land, purchase,

construct, or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment; to satisfy any requirement for the expenditure of nonfederal funds as a condition for the receipt of Federal funds; or to provide financial assistance to any entity other than a public or nonprofit private entity.

**Applicant Eligibility:**

State and U.S. Territory Governments.

**Beneficiary Eligibility:**

Recipients of State and U.S. Territory Governments.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Chief Executive Officer of the State or Territory must apply annually for an allotment. States are required to submit an application which contains a State Plan that describes comprehensive community mental health services for adults with a serious mental illness and children with a serious emotional disturbance, an Implementation Report that describes State progress in implementing the plan for the preceding year, recommendations from the State Mental Health Planning Council, a report on expenditure of the preceding fiscal year's block grant funds, a maintenance of effort report and agreements signed by the Chief Executive Officer of the State.

**Award Procedure:**

Grant Awards are issued directly by The Center for Mental Health Services, Substance Abuse and Mental Health Services Administration (SAMHSA) to the designated State agency.

**Deadlines:**

Sep 01, 2012 The application is due no later than September 1 of the fiscal year for which MHBG funding is being requested. The Implementation report is due by December 1.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title PHS Act, Title XIX, Part B, Subpart I, Public Law 106-310.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. Under section 1915(b) of the Public Health Service Act, States are required to maintain aggregate State expenditures for authorized activities at a level that is not less than the average level of such expenditures maintained by the State for the 2-year period preceding the fiscal year for which the State is applying for the grant.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year in which it was allotted through the end of the subsequent fiscal year. Method of awarding/releasing assistance: quarterly.

**Reports:**

As part of the application, each State must submit an Implementation Report that describes the State's progress in implementing the State's Comprehensive Community Mental Health Services Plan for the preceding fiscal year and a report of the purposes for which the grant received for the preceding fiscal year were expended, including a description of the activities of the State under the program and the recipients of the funds. No cash reports are required. No

progress reports are required. Final Financial Status/Federal Financial report is due 90 days after the end of the project period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-1363-0-1-551.

**Obligations:**

(Formula Grants) FY 11 \$398,935,530; FY 12 est \$431,558,674; and FY 13 est \$431,558,674

**Range and Average of Financial Assistance:**

\$50,000 to \$57,438,409, \$7,314,554.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 59 awards were made. Fiscal Year 2012: 59 awards were made. Fiscal Year 2013: It is estimated 59 awards will be made in FY2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 96.

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, Rockville, Maryland 20857 Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

<http://www.samhsa.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill statutory and regulatory requirements. For information regarding statutory and regulatory requirements, contact Dr. John Morow, Division of State & Community Systems Development, Center for Mental Health Services, SAMHSA, HHS, 1 Choke Cherry Road, Room 2-1091, Rockville, MD 20850. Telephone: (240) 276-1783.

**93.959 BLOCK GRANTS FOR PREVENTION AND TREATMENT OF SUBSTANCE ABUSE**

(Substance Abuse Prevention and Treatment (SAPT) Block Grant)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

as amended, Public Law 106-310, Public Law 106-310, 42 U.S.C 300x; Public Health Service Act, Title XIX, Part B, Supart II.

**OBJECTIVES:**

To provide financial assistance to States and Territories to support projects for the development and implementation of prevention, treatment and rehabilitation activities directed to the diseases of alcohol and drug abuse.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds may be used at the discretion of the States to achieve the statutory objectives, including the fulfillment of certain requirements. Not less than 20 percent of the funds shall be spent for programs for individuals who do not require treatment for substance abuse, but to educate and counsel such individuals and to provide for activities to reduce the risk of such abuse by the individuals by developing community-based strategies for prevention of such abuse, including the use of alcoholic beverages and tobacco products by individuals to whom it is unlawful to sell or distribute such beverages or products. States shall expend not less than 5 percent of the grant to increase (relative to fiscal year 1994) the availability of treatment services designed for pregnant women and women with dependent children (either by establishing new programs or expanding the capacity of existing programs). In addition, a State that has a rate of acquired immune deficiency syndrome in excess of the rate stipulated at 42 USC 300A-24(b) must expend the portion of its block grant specified by 300A-24(b) for HIV early intervention services as defined by the PHS Act. States must require programs of treatment for intravenous drug abuse to admit individuals into treatment within 14 days after making such a request or 120 days of such a request, if interim services are made available within 48 hours. States will provide, directly or through arrangements with other public or nonprofit entities, tuberculosis services such as counseling, testing, treatment, and early intervention services for substance abusers at risk for the human immunodeficiency virus (HIV) disease. Other statutory requirements also apply.

**Applicant Eligibility:**

State and U.S. Territory Governments; or Tribal Organizations. NOTE: Only the Red Lake Band of Chippewa Indians is eligible for direct award of SAPT Block Grant Funds, per the PHS Act.

**Beneficiary Eligibility:**

Recipients of State and U.S. Territory Governments; or Tribal Organizations. NOTE: Only the Red Lake Band of Chippewa Indians is eligible for direct award of SAPT Block Grant Funds, per the PHS Act.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Chief Executive Officer of the State, Territory, or Tribal Organization (limited to the Red Lake Band of the Chippewa) must apply annually for an allotment.

**Award Procedure:**

Grant awards are issued directly by the Center for Substance Abuse Treatment to the designated State Agency, Territory, or Tribal organization (limited to the Red Lake Band of the Chippewa).

**Deadlines:**

Oct 01, 2012 The application is due no later than October 1 of the fiscal year for which SAPT Block Grant funding is being requested.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. Synar Report is due by December 31, 2012.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title XIX, Part B, Subpart II, Public Law 106-310.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. Under section 1930 Public Health Service Act, States expenditure for authorized activities at a level that is not less than the average level of such expenditures maintained by the State for the 2-year period preceding the fiscal

year for which the State is applying for the grant.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year it was allotted through the end of the subsequent fiscal year for which the State is applying for the grant. Method of awarding/releasing assistance: quarterly.

**Reports:**

Synar report is due on December 31. No cash reports are required. Progress reports are not applicable. Federal Financial Report is due 90 days after the end of the budget period. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-1364-0-1-551.

**Obligations:**

(Formula Grants) FY 11 \$1,693,519,655; FY 12 est \$1,689,876,866; and FY 13 est \$1,689,876,866

**Range and Average of Financial Assistance:**

\$115,607 to \$248,892; \$28,164,614.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 60 awards were made. Fiscal Year 2012: 60 awards were made. Fiscal Year 2013: It is estimated that 60 awards will be made in FY2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 96

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1097, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax:  
240-276-1430

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications must fulfill statutory and Federal regulations and regulatory requirements. For information on statutory and Federal regulations requirements contact John J. Campbell, Division of State and Community Assistance, Center for Substance Abuse Treatment, SAMHSA, 1 Choke Cherry Road, Room 5-1069 Rockville, MD 20857. Telephone: (240-) 276-2891.

**93.964 PREVENTION AND PUBLIC HEALTH FUND (PPHF) PUBLIC HEALTH TRAINEESHIPS**

PPHF - Public Health Traineeships

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 767, as amended by section 5206 of the Patient Protection and Affordable Care Act (Pub. L. 111-148).

**OBJECTIVES:**

To support students pursuing a graduate degree in fields with a severe shortage of health professionals, such as epidemiology, environmental health, toxicology, nutrition, biostatistics, and maternal and child health through the provision of tuition, fees, stipends and allowances.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used only to support students enrolled in grant-eligible graduate programs for severe shortage public health professions. Students pursuing joint degrees such as the MPH/MD, MPH/MSN, MPH/MSA, etc., are eligible for traineeship support for completion of their public health degree only. Funding may not be sought for courses or other expenses related to their non-public health degree curriculum. Funding may not be used to support residency requirements. Traineeship expenditures are limited to payment of stipends, tuition and fees in accordance with the institution's established rates, and a transportation allowance on an individual trainee basis when prior approval has been obtained from the Grants Management Officer. Grantees may not spend grant funds for sectarian instruction or for any religious purpose. Use of traineeship funds for indirect cost (overhead) of the trainee institution is not authorized.

**Applicant Eligibility:**

Eligible applicants are schools of public health accredited by the Council on Education for Public Health (CEPH), and other public or nonprofit private institutions accredited for the provision of graduate or specialized training in public health, by a body recognized by the Secretary of the U.S. Department of Education.

**Beneficiary Eligibility:**

(1) Trainees must be United States Citizens or non-citizen nationals and foreign nationals who possess a visa permitting permanent residence in the United States. (2) Trainees must be pursuing a graduate degree in an accredited school of public health or other eligible institution. (3) For grants awarded on the basis of a formula, all trainees must meet the admission requirements specified in the approved grant application and those of the institution.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA is requiring all applicants applying for funding opportunities to apply electronically through Grants.gov. This is a formula-based award. The Associate Administrator has the authority to make final selections for awards.

**Award Procedure:**

All applications will be reviewed by program staff. Funding will be determined by a formula. The HRSA program official with delegated authority is responsible for final selection and funding decisions. Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 5 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

During the final budget year of the approved project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

Statutory Formula: Available funds are provided to schools of public health and other eligible accredited applicants on the basis of a formula which considers comparative enrollment of trainees documented in the applicant's proposal.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project periods are for up to three years. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0353-0-1-552.

**Obligations:**

(Project Grants) FY 11 \$1,436,405; FY 12 est \$1,436,405; and FY 13 est \$1,607,000

**Range and Average of Financial Assistance:**

Range: \$621 to \$139,319. Average: \$30,563.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 30 grantees funded. Fiscal Year 2012: 46 grantees funded. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. CAPT Norma Hatot, Acting Branch Chief, Public Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9C-05 Rockville, Maryland 20857 Phone: (301) 443-6950 e-mail: [nhatot@hrsa.gov](mailto:nhatot@hrsa.gov).

**Headquarters Office:**

Marian Ladipo 5600 Fishers Lane, Room 9C-05, Rockville, Maryland 20857 Email: [mladipo@hrsa.gov](mailto:mladipo@hrsa.gov) Phone: (301) 443-7756

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.405 ARRA - Public Health Traineeship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

After staff review, funds are awarded on a formula basis among the eligible applicant schools of public health and other accredited public or private nonprofit institutions based on the number of students preparing to enter occupations for which there exist severe shortages.

**93.965 COAL MINERS RESPIRATORY IMPAIRMENT TREATMENT CLINICS AND SERVICES**

Black Lung Clinics

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Federal Mine Safety and Health Act, Section 427(a); Black Lung Benefits Act; Public Law 95-239 as amended.

**OBJECTIVES:**

1) Improve the health status of active and inactive miners. This includes reducing the prevalence of pneumoconiosis among active miners and enhancing the quality of life for those with employment related pulmonary and respiratory diseases; 2) Increase coordination among service providers to enhance access to services for both inactive and active miners and their families; 3) Facilitate the enhanced processing of claims for Federal Black Lung benefits through their provision of well-reasoned medical opinions and timely scheduling/completion of U.S. Department of Labor exams; 4) Strengthen the quality of care among service providers (both within and outside of the program) through the implementation of care standards, accurate benefits counseling, and outreach efforts to miners and their families, as well as service providers; and 5) Ensure the appropriate identification, treatment, and/or referral for secondary conditions identified as a result of screenings and U.S. Department of Labor exams.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

USES: Grants may be used for the cost of providing diagnostic and treatment procedures required in the management of black lung and other respiratory impairments in coal miners and others with occupational related respiratory diseases, and costs of equipment and facilities renovation when these costs are demonstrated to be necessary to enable the implementation of services.

RESTRICTIONS: Support is available only in areas where it can be demonstrated that there are significant numbers of active and/or inactive coal miners.

**Applicant Eligibility:**

Any state or public or private entity that meets the requirements of the legislation to provide analysis, examination, and treatment of respiratory and pulmonary impairments in active and inactive coal miners. is eligible to apply for funding. Preference will be given to a state applicant over an individual entity in the same state. New state applicants must provide assurance that they will continue to provide services to miners and their families served under the previous state grantee whose project period is ending; and funding should not be used to supplant existing services provided by an applicant.

**Beneficiary Eligibility:**

Active and inactive coal miners who have or are at risk for employment-related respiratory and pulmonary impairments as well as their families.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Up to 6 months.

**Appeals:**

Not Applicable.

**Renewals:**

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance will cover operational costs and grantees will generally be expected to begin to deliver services immediately. See the following for information on how assistance is awarded/released: Grantee drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Grantees are required to submit an annual report that describes the utilization



costs of services provided under the grant, and provide such other information as the Secretary determines appropriate. The Black Lung Clinics Program Database report is due annually according to specific instructions from the Program Office. No cash reports are required. An electronic quarterly Federal Financial Report (FFR) is due to the Division of Payment Management within 30 days of the end of each quarter. A final FFR must be submitted to HRSA via the Electronic HandBooks (EHB) within 90 days of the end of each budget period. Final progress reports are due 90 days after the end of a project period. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Project Grants) FY 11 \$7,200,000; FY 12 est \$7,000,000; and FY 13 est \$7,200,000

**Range and Average of Financial Assistance:**

Range of awards is \$149,656 to \$1,504,940. The average award is \$469,779.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Nadia Ibrahim, [nibrahim@hrsa.gov](mailto:nibrahim@hrsa.gov); 301-443-5490, Office of Rural Health Policy, Health Resources and Services Administration, 5600 Fishers Lane Room, 5A-05 Rockville, MD 20857. Telephone: (301) 443-0835.

**Headquarters Office:**

Office of Rural Health Policy 5600 Fishers Lane, Room 5A-55, Rockville, Maryland 20857 Phone: (301) 443-0835

**Website Address:**

<http://www.hrsa.gov/ruralhealth/>

**RELATED PROGRAMS:**

17.307 Coal Mine Workers' Compensation; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.773 Medicare\_Hospital Insurance; 93.774 Medicare\_Supplementary Medical Insurance; 93.778 Medical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Projects will be funded based on the number of miners to be served and their needs as well as the quality and breadth of services to be provided. Projects must: (1) Describe the target population, the need for services, and the services to be provided; (2) Serve a significant number of coal workers with pulmonary impairment without regard for their ability to pay; (3) Provide the following for active and inactive miners: primary care services; patient and family education and counseling, outreach, patient care coordination (including individual patient care plans for all patients), smoking cessation information, and other symptomatic treatments; (4) Provide medical services in consultation a physician with special training or experience in the diagnosis and treatment of respiratory diseases; (5) Meet all criteria for approval and designation by the Department of Labor (under 20 CFR part 725) to perform disability examinations and provide treatment.

**93.969 PPHF-2012 GERIATRIC EDUCATION CENTERS**

GECs financed in part by 2012 Prevention and Public Health Funds (PPHF-2012)

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title VII, Section 753(a), Health Professions Education Partnerships Act of 1998, Public Law 105-392 as amended by the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.

**OBJECTIVES:**

Grants are awarded to establish or operate Geriatric Education Centers. to provide interdisciplinary training of health professions faculty, students, and practitioners in the diagnosis, treatment and prevention of disease, disability, and other health problems of the elderly. Health professionals include allopathic physicians, osteopathic physicians, dentists, optometrists, podiatrists, pharmacists, nurse practitioners, physician assistants, chiropractors, clinical psychologists, social workers, health administrators, and other allied health professionals. Projects supported under these grants must offer training involving four or more health professions, one of which must be allopathic or osteopathic medicine, and must address all of the following statutory purposes: (a) improve the training of health professionals in geriatrics; (b) develop and disseminate curricula relating to the treatment of the health problems of elderly individuals; (c) support training and retraining of faculty to provide instruction in geriatrics; (d) support continuing education of health professionals who provide geriatric care; and (e) provide students with clinical training in geriatrics in nursing homes, chronic and acute disease hospitals, ambulatory care centers, and senior centers.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance can be used to establish and operate a Geriatric Education Center (GEC). Funds may not be used for trainee costs, the constructions of buildings or the acquisition of land.

**Applicant Eligibility:**

Grants may be made to accredited health professions schools as defined by Section 799B(1) of the Public Health Service Act, or programs for the training of physicians assistants as defined by Section 799B(3), or schools of allied health as defined in Section 799B(4), or schools of nursing as defined by Section 801(2).

**Beneficiary Eligibility:**

Accredited health professions schools.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to an objective review committee. Based on the advice of the objective review committee, the HRSA program official with delegated authority is responsible for final selection and funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 4 to 6 months after receipt of applications.

**Appeals:**

Not Applicable.

**Renewals:**

At the end of the project period, competing continuation applications may be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are awarded as cooperative agreements for a project period of up to five (5) years. See the following for information on how assistance is awarded/released: Grantees draw down funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

The awardee will be required to submit yearly performance and progress reports as well as status-federal financial reports (see below for general information on each required report). The awardee must submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System within 30 days of the end of each calendar quarter. A Federal Financial Report (SF-425) is required within 90 days of the end of each budget period. A progress report must be submitted to HRSA on an annual basis. A final report is due within 90 days after the project period ends. If applicable, the awardee must submit a Tangible Personal Property Report (SF-428) and any related forms within 90 days after the project period ends. New awards (Type 1) issued under this funding opportunity announcement are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109282), as amended by section 6202 of Public Law 110252, and implemented by 2 CFR Part 170. Grant and cooperative agreement recipients must report information for each first-tier subaward of \$25,000 or more in federal funds and executive total compensation for the recipients and subrecipients five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available online at <http://www.hrsa.gov/grants/ffata.html>). Competing continuation awardees, etc. may be subject to this requirement and will be so notified in the Notice of Award. Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0353-0-1-552 - PPHF; 75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$2,000,000; and FY 13 est \$4,000,000 - Prevention and Public Health Funding. (Salaries) FY 11 \$17,670,864; FY 12 est \$15,152,090; and FY 13 est \$15,152,090

**Range and Average of Financial Assistance:**

FY 11: Range: \$216,000 - \$432,000. Average Award: \$408,200  
FY 12: Range: \$189,670 - \$379,340. Average Award: \$336,713 regular appropriation.

In addition, each grantee received \$42,222 from the Prevention and Public Health Fund.

FY 13: Range: \$189,670 - \$379,340. Average Award: \$336,713 regular appropriation.

In addition, a range: \$54,000 - \$92,000. Average Award: \$88,888 from the Prevention and Public Health Fund.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In Academic Year 2010-2011 (data reported in 2011), the 45 GEC grantees developed and provided 2,103 education and training offerings to health professions students, faculty, and practitioners related to care of the older adult. Interdisciplinary education and training was provided to 10,703 interdisciplinary teams. The grantees provided education and training to 64,414 health professions students, faculty, and practitioners. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 92 for State, local and tribal governments and 45 CFR Part 74 for institutions of higher education, hospitals, other nonprofit organizations and commercial organizations, as applicable.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

None. Joan Weiss, PhD, RN, CRNP, Geriatrics and Allied Health Branch, Division of Public Health and Interdisciplinary Education, Bureau of Health Professions, Health Resources and Services Administration, Department of Health and Human Services, 5600 Fishers Lane, Room 9-36, Rockville, MD 20857; telephone (301) 443-0430 and E-mail [jweiss@hrsa.gov](mailto:jweiss@hrsa.gov).

**Headquarters Office:**

Joan Weiss, PhD, RN, CRNP 5600 Fishers Lane, Room 9-36, Rockville, Maryland 20857 Email: [jweiss@hrsa.gov](mailto:jweiss@hrsa.gov) Phone: (301) 443-0430

**Website Address:**

<http://www.hrsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All applications will be evaluated by and Objective Review Committee to determine the extent to which the applicant documents the following criteria: (1) Need; (2) Response; (3) Evaluative Measures; (4) Impact; (5) Resources/Capabilities; (6) Support Requested; and Interdisciplinary Collaboration, Education, and Training.

See latest GEC funding opportunity announcement at [www.grants.gov](http://www.grants.gov).

## **93.970 HEALTH PROFESSIONS RECRUITMENT PROGRAM FOR INDIANS**

(Recruitment Program)

### **FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

### **AUTHORIZATION:**

Indian Health Care Improvement Act, Title I, Sections 202, 112, 114, and 122, Public Law 94-437, as amended, Public Laws 96-537, 100-713, and 102-573.

### **OBJECTIVES:**

(1) To identify American Indians and Alaska Natives with a potential for education or training in the health professions, and to encourage and assist them to enroll in health or allied health professional schools; (2) to increase the number of nurses, nurse midwives, nurse practitioners and nurse anesthetists who deliver health care services to American Indians and Alaska Natives; and (3) to place health professional residents for short-term assignments at Indian Health Service (IHS) facilities as a recruitment aid.

### **TYPES OF ASSISTANCE:**

Training

### **USES AND USE RESTRICTIONS:**

Establishing and operating programs designed to recruit American Indians and Alaska Natives into health and allied health professional schools.

### **Applicant Eligibility:**

Public or private nonprofit health or educational entities or Indian tribes or tribal organizations as specifically provided in legislative authority.

### **Beneficiary Eligibility:**

Preference is given to applicants in the following order of priority: (1) Indian tribes; (2) tribal organizations; (3) urban Indian organizations and other Indian health organizations; or (4) other public or nonprofit health or educational entities.

### **Credentials/Documentation:**

Costs for other institutions will be determined by HHS Regulations 45 CFR, Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The preferred method for receipt of applications is electronic submission through Grants.gov. However, should any technical problems arise regarding the submission, please contact Grants.gov Customer Support at (1-800) 518-4726 or [support@grants.gov](mailto:support@grants.gov). The Contact Center is open 24 hours a day, 7 days a week, closed on Federal holidays. If you require additional assistance please contact the Grants Policy Office at (301) 443-5204 at least fifteen days prior to the application deadline. To submit an application electronically, please use the <http://www.Grants.gov> apply site. Download a copy of the application package, on the Grants.gov website, complete it offline and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us. This program is subject to the provisions of 45 CFR, Part 92 for State and local governments.

### **Award Procedure:**

Grants are made directly by the Indian Health Service to applicant agency, based on results of competitive review process.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Within 90 days of IHS deadline.

### **Appeals:**

From 60 to 90 days.

### **Renewals:**

From 30 to 60 days. Continuation applications must be submitted annually. Continued funding is subject to availability of funds and satisfactory performance.

### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Payments of grant funds are made through the DHHS Payment Management System (PMS) or DHHS Electronic Transfer System. Information will be forwarded to new grantees regarding the process of obtaining funds. Method of awarding/releasing assistance: quarterly.

### **Reports:**

Program reports are not applicable. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. Progress reports are required annually, semi-annually or quarterly depending on the time lines set by the IHS program. A final progress report is due 90 days after the end of each budget period and at the end of the final project period. Grantees will be required to submit quarterly Federal Financial Report (SF-425 or FFR) to the Division of Payment Management Branch. IHS grants are monitored by the Division of Grants Management for financial compliance and by the IHS Program Staff for programmatic compliance.

### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. Grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

### **Account Identification:**

75-0390-0-1-551.

### **Obligations:**

(Cooperative Agreements (Discretionary Grants)) FY 11 \$757,386; FY 12 est \$757,386; and FY 13 est \$757,386 - for American Indians into Psychology (InPsych). (Cooperative Agreements (Discretionary Grants)) FY 11 \$1,068,250; FY 12 est \$1,068,250; and FY 13 est \$1,068,250 - for American Indians into Medicine (InMed). (Project Grants) FY 11 \$1,677,840; FY 12 est \$1,677,840; and FY 13 est \$1,677,840 - for Indians into Nursing, section 112.

### **Range and Average of Financial Assistance:**

No Data Available.

### **PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.310 - 36.319. Final rules and regulations, the Indian Health Care Improvement Act, Public Law 94-437, amended by Public Law 100-713, enacted November 23, 1988; and Public Law 102-573, enacted October 29, 1992; HHS Grants Policy Statement revised January, 2007.

**Regional or Local Office:**

None. Indians Into Psychology Contact: Mr. Michael Berryhill, Office of Public Health Support, Division of Health Professions Support, 801 Thompson Avenue, TMP Suite 450A, Rockville, MD 20852. Telephone: (301) 443-2443.

Indians Into Medicine Contact: Ms. Jackie Santiago, Office of Public Health Support, Division of Health Professions Support, 801 Thompson Avenue, TMP Suite 450A, Rockville, MD 20852. Telephone: (301) 443-3396.

Indians into Nursing contact: Ms. Naomi Aspaas, Office of Public Health Support, Division of Health Professions Support, 801 Thompson Avenue, TMP Suite 450A, Rockville, MD 20852. Telephone: (301) 443-2362.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: 301-443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Potential effectiveness of the proposed project in carrying out such purposes, (2) the demonstrated capability of the applicants to successfully conduct this type of project, (3) accessibility of the applicant to the target population, (4) relationship of project objectives and known or anticipated Indian health manpower objectives, (5) soundness of the fiscal plan, (6) cost reasonableness, and (7) completeness of the application.

**93.971 HEALTH PROFESSIONS PREPARATORY SCHOLARSHIP PROGRAM FOR INDIANS****FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437.

**OBJECTIVES:**

To make scholarships to American Indians and Alaska Natives for the purpose of completing compensatory pre-professional education to enable the recipient to qualify for enrollment or re-enrollment in a health professions school or curriculum.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Scholarship awards are limited to persons of American Indian or Alaska Native descent. Awards are limited to a maximum of 2 years of full-time scholarship support under this section of the Indian Health Care Improvement Act.

**Applicant Eligibility:**

Scholarship awards are made to individuals of American Indian or Alaska Native descent, who have successfully completed high school education or high school equivalency and who have been accepted for enrollment in a compensatory, pre-professional general education course or curriculum.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native descent.

**Credentials/Documentation:**

Students must submit proper documentation of Indian eligibility verification from the college advisor that the courses or curriculum to be taken are required to meet the applicant's deficiency and compensatory needs at the professional

level and represent the number of credit hours which the school considers as full-time or at least 6 credit hours per semester for part-time. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions are provided by the Indian Health Service (IHS) Scholarship Program acting through the IHS Area Program Offices. Application forms and required documentation (official transcripts, letter of acceptance by college, curriculum verification, Indian eligibility, tuition verification, faculty evaluations) should be submitted to IHS Headquarters for review and approval/disapproval.

**Award Procedure:**

Tuition payments and fees are made to the college or university, upon receipt of an invoice.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Tuition payments are paid upon receipt of invoices from the universities. See the following for information on how assistance is awarded/released: Tuition payments are paid upon receipt of invoices from the universities.

**Reports:**

No program reports are required. No cash reports are required. Students are required to submit their official transcripts as they are received. In addition, recipients must submit initial progress reports on forms supplied by IHS and notifications of problems/changes. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

Indian Health Service Scholarship Branch, IHS, maintains records on all students. Records are maintained for 4 years after the final award payment has been made.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Training) FY 11 \$131,980; FY 12 est \$158,376; and FY 13 est \$158,376

**Range and Average of Financial Assistance:**

\$4,983 - \$32,002; avg \$14,030.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

42 CFR 36.320 - 36.324. Final Rules and Regulations, the Indian Health Care Improvement Act, Public Law 94-437, published in the Federal Register on

November 18, 1977.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for Indian Health Service Area Offices.

Program Contact: Dr. Dawn Kelly, Scholarship Branch, Division of Health Professions Support, 801 Thompson Avenue, Suite 450A, Rockville, MD 20852. Telephone: (301) 443-6197.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

**Headquarters Office:**

Grants Policy Office, 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applicant must be American Indian or Alaska Native. Other elements considered are: (1) Academic performance; (2) faculty recommendation; (3) stated reasons for asking for the scholarship; (4) goals of the individual; and (5) the relative needs of the IHS and Indian health organizations for persons in specific health professions are taken under consideration.

**93.972 HEALTH PROFESSIONS SCHOLARSHIP PROGRAM**

**FEDERAL AGENCY:**

Indian Health Service, Department of Health and Human Services

**AUTHORIZATION:**

Indian Health Care Improvement Act, Public Law 94-437.

**OBJECTIVES:**

To provide scholarships to American Indians and Alaska Natives at health professions schools in order to obtain health professionals to serve Indians. Upon completion, scholarship recipients are obligated to serve in the Indian Health Service or an Indian health organization for each year of support with a minimum of 2 years.

**TYPES OF ASSISTANCE:**

Training

**USES AND USE RESTRICTIONS:**

Scholarships support students who pursue full-time or part-time courses of study in health professions needed by the Indian Health Service (IHS). Disciplines have included allopathic and osteopathic medicine, dentistry, nursing (baccalaureate and graduate), public health nutrition (graduate), medical social work (graduate), speech pathology/audiology (graduate), optometry, pharmacology and health care administration. Not all disciplines participate each year. Scholarships may not be awarded to students who have conflicting service obligations after graduation or who are not enrolled members of Federally-recognized tribes. Recipients are required to perform 1 year of obligated service for each year of scholarship support, with a minimum obligation of 2 years in the Indian Health Service, or in a program conducted under a contract entered into under the Indian Self-Determination Act; or in an Indian health organization assisted under Title V of the Indian Health Care Improvement Act; or in private practice in a Health Manpower Shortage Area which addresses the health care needs of a substantial number of Indians. Deferment for internship, residency, or other advanced clinical training for medical, osteopathy, and dental students is generally not to exceed 3 years, consistent with the specialty needs of the IHS. Currently, 4-year deferments may be granted for obstetrics- gynecology and psychiatry residencies.

**Applicant Eligibility:**

Individuals of American Indian or Alaska Native who are enrolled members of a Federally-recognized tribe are eligible. Applicants for new awards: (1) must be accepted by an accredited U.S. educational institution for a full-time or part-time course of study leading to a degree in medicine, osteopathy, dentistry, or other participating health profession which is deemed necessary by the Indian Health Service; (2) be eligible for or hold an appointment as a Commissioned Officer in the Regular or Reserve Corps of the Public Health Service; or (3) be eligible for civil service in the Indian Health Service.

**Beneficiary Eligibility:**

Individuals of American Indian or Alaska Native who are enrolled members of Federally-recognized tribe; full-time students of medicine or other health professions; prospective or currently Commissioned Officers in the Regular or Reserve Corps of the Public Health Service; and eligible civilians of the Indian Health Service.

**Credentials/Documentation:**

Students claiming Indian priority must submit proper certification and documentation as specified in the application. All applicants must provide transcripts of their latest academic work. All incoming freshmen are to provide copies of acceptance letters for enrollment in school. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application forms and instructions are provided by the Indian Health Service Scholarship Program, acting through the IHS Area offices.

**Award Procedure:**

Priority will be given to applicants who are prior recipients. Special consideration is given to junior and senior level students whose specialty plans are in primary care fields. Criteria which determine competitive ranking awards may include: (1) work experience, preferably health-related in communities of health care need; (2) personal background from a community of health care need; (3) career goals of primary care practice in service to Indians; and, (4) academic performance. Student financial need does not affect selection.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days.

**Appeals:**

Not Applicable.

**Renewals:**

Continuation applications must be submitted annually. Continued funding subject to availability of funds and satisfactory performance.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Maximum length of funding is a total of 4 years. See the following for information on how assistance is awarded/released: Tuition payments and fees are paid upon receipt of invoices from the universities. Stipend payments are paid monthly for the 12-month academic period. An amount for books and other necessary expenses is provided to the student.

**Reports:**

No program reports are required. Annual reports are required from schools indicating average student educational expense. Students are required to submit their official transcripts as they are received. In addition, recipients must submit initial and mid-term progress reports on forms supplied by IHS. No expenditure reports are required. No performance monitoring is required.

**Audits:**

Not Applicable.

**Records:**

The Indian Health Service Scholarship Program maintains records for 7 years following completion of obligated service or other disposition of the scholarship obligation.

**Account Identification:**

75-0390-0-1-551.

**Obligations:**

(Training) FY 11 \$11,002,393; FY 12 est \$13,202,972; and FY 13 est \$13,202,972

**Range and Average of Financial Assistance:**

\$10,710 - \$106,110; avg \$43,603.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Dr. Dawn Kelly, IHS Scholarship Program, Division of Health Professions Support, Indian Health Service, 801 Thompson Avenue, Suite 450A, Rockville, MD 20852. Telephone: (301) 443-6197.

Grants Management Contact: Ms. Tammy Bagley, Acting Director, Division of Grants Management, Indian Health Service, 801 Thompson Avenue, Suite TMP 360, Rockville, MD 20852. Telephone: (301) 443-5204, Fax (301) 443-9602. Use the same number for FTS.

See Appendix IV of the Catalog for Indian Health Service Area Program Offices.

**Headquarters Office:**

Grants Policy Office, 801 Thompson Avenue, Suite TMP 360, Rockville, Maryland 20852 Email: grantspolicy@ihs.gov Phone: (301) 443-5204

**Website Address:**

<http://www.ihs.gov>

**RELATED PROGRAMS:**

93.288 National Health Service Corps Scholarship Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

(1) Academic performance; (2) faculty recommendations; (3) stated reasons for asking for the scholarship; (4) goals of the individual; and (5) the relative needs of the IHS and Indian health organizations for persons in specific health professions.

**93.974 FAMILY PLANNING\_SERVICE DELIVERY IMPROVEMENT RESEARCH GRANTS**

(SDI)

**FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

**AUTHORIZATION:**

Title X of the Public Health Service Act, as amended, Section 1005, as applicable, 42 CFR 59, Public Law 91-572.

**OBJECTIVES:**

To promote service delivery improvement through research studies and application of knowledge.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grants are awarded to develop research studies for the improvement of family

planning services delivery of projects funded under Title X, Section 1001 of the Public Health Service Act. Funds may not be used in programs where abortion is a method of family planning.

**Applicant Eligibility:**

Any public entity (city, county, local, regional, or State government) or private nonprofit entity located in a State (including the District of Columbia, Puerto Rico, the Commonwealth of the Northern Marianas Islands, Guam, American Samoa, the Virgin Islands, the Federated States of Micronesia, the Republic of Marshall Islands and the Republic of Palau) is eligible to apply for a grant under this subpart.

**Beneficiary Eligibility:**

All levels of government and nonprofit entities responsible for the efficient and effective delivery of family planning services; providers and recipients of family planning services; and the general public.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following cost principles: OMB Circular No. A-21, for educational institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application Form PHS-398 (Rev. May 1995) for research grants should be submitted. The standard application forms, as furnished by PHS and required by 45 CFR, Part 74, (for institutions of higher education, hospitals and other non-profit organizations), and 45 CFR, Part 92 (for state and local governments), must be used for this program. This program is subject to the provisions of 45 CFR, Part 74, and 45 CFR, Part 92, as well as OMB Circular No. A-102 (administrative guidelines and standards for states and local governments), and OMB Circular No. A-110 (administrative guidelines and standards for institutions of higher education, hospitals, and other non-profit organizations).

**Award Procedure:**

The Deputy Assistant Secretary for Population Affairs makes final decisions to approve, hold, or reject individual grants or contracts. Applicants are notified regarding the final decision on each application and are furnished statements of award for all projects approved.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 150 to 180 days.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Projects are renewed, as required, based on submission of an application, including a progress report and evidence of plan compliance.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may be approved for a budget period not to exceed 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis

of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53, and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0350-0-1-550.

**Obligations:**

(Salaries) FY 11 \$2,975,000; FY 12 est \$2,900,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

\$150,000 to \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Grantees obtained data & research-based information to help improve delivery of family planning services; conducted data analysis, research and evaluation. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

None. OASH-Office of Population Affairs, Office of Family Planning Tower Building, 1101 Wootton Pkwy Suite 700 Rockville, MD 20852. Phone 240-453-2828

OASH-Office of Grants Management Tower Building 1101 Wootton Parkway, Suite 550 Rockville, MD 20852. Phone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.opa.gov>

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.260 Family Planning\_Personnel Training

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Scientific merit and significance; competency of project staff; feasibility, reasonableness of proposed budget period relative to proposed research; adequacy of applicant's resources; amount of support required; adequacy of methodology; adequacy of the means for protecting against adverse effects

upon humans, animals, or the environment (when applicable).

**93.975 NATIONAL ALL SCHEDULES PRESCRIPTION ELECTRONIC REPORTING GRANT**

(NASPER)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 3, Part P, Public Law 109-60, 42 U.S.C 280g-3.

**OBJECTIVES:**

To foster the establishment of State-administered controlled substance monitoring programs (PMP) in order to ensure that health care providers have access to the accurate, timely prescription history information that they may use as a tool for the early identification of patients at risk for addiction in order to initiate appropriate medical interventions and avert the tragic personal, family, and community consequences of untreated addiction.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Funds (including direct costs and indirect costs) are to be used for expense clearly related and necessary to carry out the establishment and implementation of a State PMP or to make improvements to an existing State PMP.

**Applicant Eligibility:**

State and District of Columbia.

**Beneficiary Eligibility:**

None.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. All applicants must use application HHS-5161-1. States, including the District of Columbia, must apply annually for an allotment, and are required to submit an application which contains a State response to how it would meet the requirements set forth in the Request for Application (RFA).

**Award Procedure:**

Application for grants recommended for approval by the review group and concurred by the Center Director (CSAT) are awarded directly by CSAT to the applicant organization.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 15 to 30 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligation and expenditure during the fiscal year

it was allotted. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Quarterly report SF272 required by the Division of Payment Management. Quarterly report SF 272 required to be submitted to the Division of Payment Management. Federal Financial Reports are due 90 days after the end of the project period to OPDIV. Performance monitoring will be done through progress reports.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

There is a 3-year records retention requirement. If any litigation, claim, negotiation, audit or other actions involving the records, records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-1364-0-1-551.

**Obligations:**

(Formula Grants) FY 11 Not Separately Identifiable(Exp: No funding for FY2011); FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$52,922 to \$454,587; \$153,846.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR Part 74 and 92

**Regional or Local Office:**

None.

**Headquarters Office:**

Virginia Simmons 1 Choke Cherry Road, 7-1091, Rockville, Maryland 20857  
Email: virginia.simmons@samhsa.hhs.gov Phone: 240-276-1422 Fax: 240-276-1430

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Eligible applicants who submit an application for improving a State PMP must include a budget cost estimate and a plan for ensuring that the State controlled substance monitoring program is in compliance to the following criteria and penalty requirements: criteria for security information handling and for the database maintained by the State; an agreement to adopt interoperability standards, including health vocabulary and messaging standards, set by SAMHSA; criteria for meeting the uniform electronic format set by SAMHSA; criteria for availability of information and limitation on access to program personnel; criteria for access to the database and procedures to ensure that information in the database is accurate; criteria for the use and disclosure of information including the description of the certification process to be applied to requests for information; penalties for the unauthorized use and disclosure of information maintained in the monitoring program in violation of applicable State law or regulation. A plan is also needed to enable the State PMP to achieve interoperability with at least one other State PMP. Assurances of compliance must be made; however, if compliance is not feasible or is contrary to the best interests of public health in that state, a statement describing why must be submitted. In addition to the criteria mentioned above, applications for

establishing and implementing a State PMP must also include information on the relevant State laws, policies, and procedures regarding purging of information from the database; and assurances of compliance with all requirements for this program.

**93.977 PREVENTIVE HEALTH SERVICES SEXUALLY TRANSMITTED DISEASES CONTROL GRANTS**

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Public Law 100-202.

**OBJECTIVES:**

To reduce morbidity and mortality by preventing cases and complications of sexually transmitted diseases (STD). Project grants under Section 318c awarded to State and local health departments emphasize the development and implementation of nationally uniform prevention and control programs which focus on disease intervention activities designed to reduce the incidence of these diseases, with applied research, demonstration, and public and professional education activities supporting these basic program activities authorized under Section 318b of the Public Health Service Act.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Grant funds may be used for: (1) Sexually-transmitted disease (STD) surveillance activities, including reporting, screening, and follow-up of diagnostic tests for, and diagnosed cases of, STD; (2) STD case finding and case follow-up activities, including notification of sex partners to infectious cases of STD and follow-up systems; (3) interstate epidemiological referral and follow-up activities; (4) program-specific professional (including appropriate allied health personnel) STD education, training, and clinical skills improvement activities as authorized under section 318(b) of the PHS Act; (5) program-specific STD education and information activities as authorized under Section 318b of the PHS Act; (6) special studies or demonstrations to evaluate or test STD prevention activities; and (7) control strategies and activities as may be prescribed by the Secretary. Grant funds may not be used for: (1) Supplanting funds supporting existing STD control services provided by a State or locality; or (2) unless specifically approved for that purpose, grant funds shall not be used for performing diagnostic tests (other than gonorrhea screening tests), maintaining central registries, providing diagnostic and treatment facilities and services, or purchasing automated data processing equipment.

**Applicant Eligibility:**

Any State, and, in consultation with the appropriate State Health Authority, any political subdivision of a State, including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Beneficiary Eligibility:**

Any State or authorized subdivision including American Indian/Alaska Native tribal governments or tribal organizations located wholly or in part within their boundaries.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe the evaluation procedures, and provide a budget with justification of funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**



This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, Telephone: (770) 488-2720. This program is subject to the provisions of 45 CFR, 92. The standard application forms, as furnished by PHS and required by 45 CFR, 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a Notice of Grant Award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: From one to five years; budget period: 12 months. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

No program reports are required. No cash reports are required. Bi-Annual and Annual performance reports. Financial status reports no later than 90 days after the end of each specified period. No expenditure reports are required. Bi-Annual and Annual.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the grant program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases records must be retained until resolution of any audit questions. Property records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$103,812,139; FY 12 est \$102,862,035; and FY 13 est \$102,117,966

**Range and Average of Financial Assistance:**

\$43,440 to \$6,717,174; Average- \$1,335,871.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulations for this program are published under 42 CFR 51b. Guidelines are available. PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994, is available.

**Regional or Local Office:**

None.

**Headquarters Office:**

Reginald Carson, 1600 Clifton Road, NE, Mailstop E-07, Atlanta, Georgia 30333 Email: rdc2@cdc.gov Phone: (404) 639-0022.

**Website Address:**

<http://www.cdc.gov/std/>

**RELATED PROGRAMS:**

93.217 Family Planning\_Services; 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers); 93.260 Family Planning\_Personnel Training; 93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance; 93.855 Allergy, Immunology and Transplantation Research; 93.856 Microbiology and Infectious Diseases Research; 93.865 Child Health and Human Development Extramural Research

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be evaluated based upon the magnitude of the problem, the establishment of specific and measurable objectives to address the problem, and the development of a sound operational plan which will ensure the implementation of each program element. A formula may be added for the next funding opportunity announcement (FOA).

**93.982 MENTAL HEALTH DISASTER ASSISTANCE AND EMERGENCY MENTAL HEALTH**

(Mental Health Disaster Assistance)

**FEDERAL AGENCY:**

Substance Abuse and Mental Health Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act., Section 416, Public Law 100-707.

**OBJECTIVES:**

To provide supplemental emergency mental health counseling to individuals affected by major disasters, including the training of workers to provide such counseling.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides funds for staff, travel, consultants and other expenses incident to the provision of mental health counseling to and referral of individuals in a disaster area. Funds may not be used for long-term treatment.

**Applicant Eligibility:**

Applicants may be State or local nonprofit agencies as recommended by the State Governor and accepted by the Secretary.

**Beneficiary Eligibility:**

Individuals who were victims of major disasters.

**Credentials/Documentation:**

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments. For other grantees, costs will be determined in accordance with HHS Regulations 45 CFR Part 74, Subpart Q. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. The standard application forms as Application for Federal Assistance SF-424 required by 45 CFR, Part 92 for State and local governments, must be used for this program. Application form (SF-424) is submitted by the State Coordinating Officer to the Regional Director, Federal Emergency Management Agency, no later than 60 days following declaration of a disaster. This program is subject to the provisions of 45 CFR 92 for State and local governments and OMB Circular No. A-110 for nonprofit organizations.

**Award Procedure:**

Applications are reviewed by an objective review committee and recommended for approval or disapproval. Final determination for an award is made by Federal Emergency Management Agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days. 30 to 60 days.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance may be for 9 months with a possible extension of up to 90 days as approved by FEMA Regional Director. See the following for information on how assistance is awarded/released: SAMHSA Grants Management Office notifies grantees through a Notice of Award (NoA).

**Reports:**

A progress report is due 90 days after the end of the budget period. The SF-425 Federal Financial Report is required by SAMHSA, Grants Management Office 120 days after the end of each 12 month period. No cash reports are required. A final progress report is due 90 days after the end of the budget period. The project officer requires a quarterly budget expenditure report to determine the supplemental funding. The project officers monitors grantee's progress through frequent site visits and request for budget changes, etc.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. In addition, 45 CFR 74.26 requires that for-profit recipients and subrecipients have an audit performed in accordance with Government Auditing Standards or Circular No. A-133.

**Records:**

Records must be retained for at least 3 years; records shall be retained beyond the 3 year period if audit findings have not been resolved.

**Account Identification:**

75-1363-0-1-551.

**Obligations:**

(Project Grants (Special)) FY 11 \$12,947,495; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$694,600 to \$2,134,752; \$1,305,100.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 9 awards were made. Fiscal Year 2012: N/A. Fiscal Year 2013: N/A.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See 44 CFR 205. Guidelines available in application kit. Disaster Assistance and Emergency Mental Health, HHS Publication No. (ADM) 76-327. HHS Grants Policy Statement, HHS Publication No. (OASH) 94-50,000, (Rev.) April 1, 1994.

**Regional or Local Office:**

See Regional Agency Offices. Contact the Regional Director, Federal Emergency Management Agency in the appropriate regional office. (See Appendix IV of the Catalog.).

**Headquarters Office:**

Kathleen K. Sample, 1 Choke Cherry Road, Room 7-1091, Rockville, Maryland 20857 Email: kathleen.sample@samhsa.hhs.gov Phone: (240) 276-1407 Fax: (240) 276-1430.

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Presidential declaration of the disaster area. Justified need for supplementary services.

**93.988 COOPERATIVE AGREEMENTS FOR STATE-BASED DIABETES CONTROL PROGRAMS AND EVALUATION OF SURVEILLANCE SYSTEMS**

(DPCPs)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, Title 42, Section 301(a) 317(k)(3), Public Law USC-95-626.

**OBJECTIVES:**

Diabetes Prevention and Control Programs (DPCPs) are funded by the CDC's Division of Diabetes Translation to address the following national level goals:

- 1) Prevent diabetes.
- 2) Prevent the complications, disabilities, and burden associated with diabetes.
- 3) Eliminate diabetes-related health disparities.
- 4) Maximize organizational capacity to achieve the National Diabetes Program goals.

DPCPs aim to achieve system and population-level change and, ultimately, to improve health outcomes by coordinating and leveraging the efforts of the statewide diabetes community. They are responsible for establishing partnerships with key organizations in support of the national goals stated above, and for implementing and evaluating evidence-based interventions in three main areas: 1. Intervention #1: Improve quality of clinical care for populations with greatest diabetes burden and risk to improve control of A1c, blood pressure, and cholesterol, and to promote tobacco cessation. 2. Intervention #2: Increase access to sustainable self-management education and support services for populations with greatest diabetes burden and risk to improve control of A1c, blood pressure, and cholesterol, and to promote tobacco cessation. 3. Intervention #3: Increase use of lifestyle change programs that have achieved CDC recognition (or pending recognition) to prevent or delay onset of type 2 diabetes among people at high risk.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Cooperative Agreement funds may be used for costs associated with planning, implementing, and evaluating State based diabetes control programs. Cooperative Agreement funds may not be used for direct curative or rehabilitative services.

**Applicant Eligibility:**

Eligible applicants are the official State and territorial health agencies of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, the Republic of Palau, and American Samoa.

**Beneficiary Eligibility:**

State health agencies will benefit.

**Credentials/Documentation:**

Applicants should document the need for assistance, state the objectives of the project, outline the method of operation, describe evaluation procedures, and provide a budget with justification for funds requested. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Information on the submission of applications may be obtained from the Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. This program is subject to the provisions of 45 CFR 92. The standard application forms, as furnished by PHS and required by 45 CFR 92 for State and local governments, must be used for this program.

**Award Procedure:**

After review and approval, a notice of award is prepared and processed, along with appropriate notification to the public.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 3 to 4 months.

**Appeals:**

Not Applicable.

**Renewals:**

Same as Application Procedure.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 25%. Matching funds are required from non-federal sources in the amount of not less than \$1 for each \$4 federal funds awarded to grantees. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Project period: 5 years. Budget period: Approximately 12 months. All funds awarded should be spent by the end of the project period. Method of awarding/releasing assistance: lump sum.

**Reports:**

Progress reports are required annually. A plan of action is required annually. Cash reports are not applicable. Progress reports are required annually. A plan of action is required annually. Financial status reports are required no later than 90 days after the end of each specified funding period. Final financial status and progress reports are required 90 days after the end of a project. Progress reports are required annually. A plan of action is required annually.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that

year, except as noted in Circular No. A-133. In addition, grants and cooperative agreements are subject to inspection and audits by DHHS and other Federal government officials.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to the cooperative agreement program shall be retained for a minimum of 3 years, or until completion and resolution of any audit in process or pending resolution. In all cases, records must be retained in accordance with PHS Grants Policy Statement requirements.

**Account Identification:**

75-0943-0-1-550.

**Obligations:**

(Salaries) FY 11 \$24,626,941; FY 12 est \$27,253,432; and FY 13 est \$27,253,432

**Range and Average of Financial Assistance:**

FY 11 range is \$181,800 to \$939,530.  
FY 12 range is \$202,000 to \$1,042,839.  
FY 13 range (estimate) \$202,000 to \$1,042,839..

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Barbara Park, Program Evaluation Branch, Division of Diabetes Translation, National Center for Chronic Disease Prevention and Health Promotion, Centers of Health and Human Services, 1600 Clifton Road, NE., Atlanta, GA 30333. Telephone: (770) 488-1094. Grants Management Contact: Mildred Garner, Grants Management Officer, Grants Management Branch, Procurement and Grants Office, Centers for Disease Control and Prevention, 2920 Brandywine Road, Room 3000, Atlanta, GA 30341. Telephone: (770) 488- 2745.

**Headquarters Office:**

Barbara Z Park, 2877 Brandywine Road  
Williams Building, Atlanta, Georgia 30341 Email: BPark@cdc.gov Phone: (770) 488-1094 Fax: (770) 488-5966.

**Website Address:**

<http://www.cdc.gov>.

**RELATED PROGRAMS:**

93.283 Centers for Disease Control and Prevention\_Investigations and Technical Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Background and Need - the extent to which the applicant justifies the need for this program, including whether sufficient information is provided to describe the diabetes burden in the state, the state's environment, anticipated barriers to reducing the burden of diabetes, and plans to overcome barriers. Project Work Plan 1) Administration, Management, and Leadership - the extent to which the applicant describes plans to address recipient activities in the following categories that are realistic and feasible given the time and resources allocated: a) Five-year Strategic Plan, b) Leadership and Collaboration/Partnership, c) Training, Technical Assistance, and Consultation, d) Coordination of Efforts among Chronic Disease Prevention and Health Promotion Programs, e) Information Exchange, f) Sustainability, and g) Program Management, including the extent to which the staffing number and qualifications will support the objectives and activities of the program. 2) Surveillance, Analyses, and Evaluation - the extent to which the applicant describes plans to address recipient activities in these three categories that are realistic and feasible given the time and resources allocated. Accomplishments - the extent to which the applicant describes the program accomplishments within the past five and a half years, including the program's contributions to improving the current national objectives. Proven Capacity - the extent to which the applicant's narrative description of

its past performance demonstrates its ability to manage fiscal resources, implement an effective management plan, and maintain and develop adequate leadership and staffing capacity to carry out the program objectives/activities.

### **93.989 INTERNATIONAL RESEARCH AND RESEARCH TRAINING**

Global Health Research and Research Training

#### **FEDERAL AGENCY:**

National Institutes of Health, Department of Health and Human Services

#### **AUTHORIZATION:**

Public Health Service Act, Sections 301 and 405, as amended; 42 U.S.C. 241 and 284.

#### **OBJECTIVES:**

The John E. Fogarty International Center (FIC) supports research and research training to reduce disparities in global health and to foster partnerships between U.S. scientists and their counterparts abroad. FIC supports basic biological, behavioral, and social science research, as well as related research training. The research portfolio is divided into several programs that support a wide variety of funding mechanisms to meet programmatic objectives.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS; TRAINING

#### **USES AND USE RESTRICTIONS:**

Research and Research Training Grants provide funds for salaries, equipment, supplies, travel, tuition, and other expenses associated with research training and scientific investigation concerning global health issues. These grants are awarded to universities; colleges; medical, nursing and dental schools; hospitals; and other non-profit and for-profit institutions. Awards include grants, cooperative agreements, international research training grants, and career development awards.

#### **Applicant Eligibility:**

In general, universities, colleges, hospitals, laboratories, Federal institutions and other public or private non-profit and for-profit domestic and foreign institutions, and State and local units of government are eligible to submit applications for research grants, research training grants, cooperative agreements, and career development awards. The grantee institution must agree to administer the grant in accordance with prevailing regulations and policies. The eligibility requirements may differ amongst FIC programs, based on the eligibility section found in our Requests For Applications (RFAs) and Program Announcements (PAs) at: <http://www.fic.nih.gov/Pages/Default.aspx>.

#### **Beneficiary Eligibility:**

Usually any non-profit or for-profit organization, company or institution engaged in health and biomedical research.

#### **Credentials/Documentation:**

Applications for research grants must present the objectives, methodology, and resources for the specific research project, and must demonstrate the applicant's competence and interest. For training grants, the applicant's academic record, research experience, and the proposed area and plan of training must be included in the application. The applicant institution must present the objectives, training program, and resources for the research-training program, the research qualifications and experience of directing staff in training students (the criteria to be used in selecting individuals for awards), a detailed budget, and justification for the amount of grant funds requested. Costs will be determined in accordance with OMB Circular A-21 - Cost Principles for Educational Institutions, Circular A-110 - Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, OMB Circular A-122 for Nonprofit Organizations, Circular A-102 - Grants and Cooperative Agreements with State and Local Governments, and Circular A-87, Cost Principles for State, Local and Indian Tribal Governments. For-profit organizations' costs are determined in accordance with Subpart 31.2 of the Federal Acquisition Regulations. For other than State and local government grantees, costs will be determined by Health and Human Services (HHS) Regulations 45 CFR, Part 74, Subpart Q. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact

information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Standard application forms, as required by 45 CFR, Part 74 and 92, must be used for this program. Detailed instructions for submitting applications to our programs are provided in our Requests For Applications (RFAs) and Program Announcements (PAs) at: <http://www.fic.nih.gov/Funding/Pages/default.aspx>

#### **Award Procedure:**

Applications are reviewed initially for scientific and technical merit. This is followed by a second level review by the Fogarty International Center's Advisory Board.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Grants: From six to nine months.

#### **Appeals:**

A Principal Investigator (PI) may question the substantive or procedural aspects of the initial scientific review of his or her application by communicating with FIC staff.

#### **Renewals:**

Non-competing renewal applications may be made for all multi-year awards. Applicants must submit their request on form PHS 2590 approximately two months before the end of the last budget period. Competing renewal applications may be submitted only if allowed in the RFA or PA.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Approval of a project includes determination of support for the authorized project period (not to exceed five years). Awards to support the project are usually made on an annual basis. At the time of initial award, the grant provides funds for the conduct of the project during the first budget period (usually 12 months) and the Notice of Award (Form PHS-1533) indicates the support recommended and expected to be made available for the remainder of the project beyond the approved initial project period. Funds are disbursed via the PMS Electronic Transfer System for domestic grantees, and by U.S. Treasury Check or Direct Deposit for foreign grantees. Loan Repayment Program Awards are for two years with the opportunity for renewal. Method of awarding/releasing assistance: quarterly.

#### **Reports:**

For most projects, Federal Financial Reports (FFR), Form SF425, must be filed 90 days after each competitive segment is completed. Reports must be provided to FIC staff in accordance with the CFR Title 42 Part 52 - Grants for Research Projects and the CFR Title 45 Part 74 - Uniform Administrative Requirements for grants and cooperative agreements. Cash reports are not applicable. The grantee is responsible for annual progress reports. These reports are required for program analysis as part of all continuation applications. In addition, a final report must be filed within 90 days of the termination of the grant. The final report includes an account of progress made toward achievement of the originally stated aims; a list of the significant results; and a list of publications resulting from the projects. SNAP grantees guidelines requires a final projects report at the end of the project period. Performance is monitored annually by the NIH/Fogarty Center program staff.

#### **Audits:**

This program is excluded from coverage under OMB Circular No. A-133. In accordance with OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend \$500,000 or more in a year in Federal awards shall have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal

audit requirements for that year, except as noted in Circular No. A-133, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO). In accordance with 45 Code of Federal Regulations, Part 74.26, for-profit (commercial) organizations are subject to audit requirements for a non-Federal audit if, during its fiscal year, it expended \$500,000 or more under HHS awards and at least one award is a HHS grant or subgrant. The regulation incorporates the thresholds and deadlines of OMB Circular No. A-133, but provides for profit organizations with two options for the type of audit that will satisfy the audit requirement: 1. a financial related audit of the HHS awards in accordance with Government Auditing Standards, or 2. an audit that meets the requirements of OMB Circular No. A-133. In accordance with NIH grants policy, Foreign grantees are subject to the same audit requirements as for-profit (commercial) organizations.

**Records:**

Grantees generally must retain financial and programmatic records, supporting documents, statistical records, and all other records that are required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a period of 3 years from the date the annual FSR is submitted. For awards under SNAP (other than those to foreign organizations and Federal institutions), the 3-year retention period will be calculated from the date the FFR for the entire competitive segment is submitted. Those grantees must retain the records pertinent to the entire competitive segment for 3 years from the date the FFR is submitted to NIH. Foreign organizations and Federal institutions must retain records for 3 years from the date of submission of the annual FFR to NIH. See 45 CFR 74.53 and 92.42 for exceptions and qualifications to the 3-year retention requirement (e.g., if any litigation, claim, financial management review, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken). Those sections also specify the retention period for other types of grant-related records, including F&A cost proposals and property records. See 45 CFR 74.48 and 92.36 for record retention and access requirements for contracts under grants. In accordance with 45 Code of Federal Regulations, Part 74.53(e), the HHS Inspector General, the U.S. Comptroller General, or any of their duly authorized representatives have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to awards in order to make audits, examinations, excerpts, transcripts, and copies of such documents. This right also includes timely and reasonable access to a recipients personnel for the purpose of interview and discussion related to such documents. The rights of access are not limited to the required retention period, but shall last as long as records are retained.

**Account Identification:**

75-0819-0-1-552.

**Obligations:**

(Salaries) FY 11 \$70,051,000; FY 12 est \$71,328,000; and FY 13 est \$69,758,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Fogarty International Center's programs provide funding to perform research and to train researcher in a variety of global health topics. Through these extensive programs, Fogarty and its partners throughout the National Institutes of Health (NIH) are working to build sustainable research capacity in low- and middle-income countries.

The following projects that were funded successfully in FY 2011 were supported and approved by the Fogarty International Center's (FIC) Advisory Board. The Board met in October 2010, February 2011, and May 2011:

AIDS International Training and Research Program (AITRP): 4 Awards  
Brain Disorders in the Developing World (BRAIN): 7 awards  
International Research Ethics Education and Curriculum Development Award (BIOETHICS): 8 awards  
Chronic, Non-Communicable Diseases and Disorders across the Lifespan (NCD-LSPAN): 12 awards

Ecology of Infectious Diseases Program (EID): 1 award  
Fogarty International Research Collaboration Award - Basic Biomedical (FIRCA-BB): 21 awards  
Fogarty International Research Collaboration Award - Behavioral and Social Sciences (FIRCA-BSS): 4 awards  
Global Infectious Diseases Program (GID): 3 awards  
Independent Scientist in Global Health Award (ISGHA): 3 awards  
International Research Scientist Development Award (IRSDA): 6 awards  
For a full description of each of the programs please refer to the page link for the program description page for status, eligibility, funding announcements and deadlines, you can visit this for other funding opportunities that FIC provides.

<http://www.fic.nih.gov/Programs/Pages/default.aspx>. Fiscal Year 2012: Fogarty International Center's programs provide funding to perform research and to train researcher in a variety of global health topics. Through these extensive programs, Fogarty and its partners throughout the National Institutes of Health (NIH) are working to build sustainable research capacity in low- and middle-income countries.

The following projects that were funded successfully in FY 2012 were supported and approved by the Fogarty International Center's (FIC) Advisory Board. The Board met in October 2011, February 2012, May 2012 and August 2012. For a current sampling of the awarding of successful awardees and institutions on a large scale program for FY 2012 please refer to the following FIC website:

<http://www.fic.nih.gov/Grants/Search/Pages/default.aspx>. Fiscal Year 2013: Examples of funded projects for FY 2013 will focus on projects which provides important support to the following goals in the Fogarty International Center's Strategic Plan for 2008-2012. " Goal I: Mobilize the scientific community to address the shifting global burden of disease and disability. Goal II: Bridge the training gap in implementation research. Goal III: Develop human capital to meet global health challenges. Goal IV: Foster a sustainable research environment in low- and middle-income countries. and Goal V: Build strategic alliances and partnerships in global health research and training.

FIC is currently revising their Strategic Plan 2008-2012: Pathways to Global Health Research and we hope to have it updated in FY 2013. For the current Strategic Plan and any future updates please refer to this weblink: <http://www.fic.nih.gov/About/Pages/Strategic-Plan.aspx> and <http://www.fic.nih.gov/About/Pages/strategic-plan-update-2012.aspx>.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The grant program legislation and program regulations cited in the Notice of Grant Award, the restrictions on the expenditure of Federal funds in appropriations acts, to the extent those restrictions are pertinent to the award, 45 CFR Part 74 or 45 CFR Part 92, as applicable, the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period, and the terms and conditions on the notice of grant award. Information regarding FIC programs can be found at: <http://www.nih.gov/fic/programs.html>.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kathleen M. Blair, M.A., Fogarty International Center, Division of International Training and Research, 31 Center Drive, MSC 2022, Building 31, Room B2-C39, Bethesda, Maryland 20892-2022 Email: [blairk@nih.gov](mailto:blairk@nih.gov) Phone: (301) 443-9450 Fax: (301) 402-0779.

**Website Address:**

<http://www.fic.nih.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The major elements in evaluating proposals include assessment of: (1) the

scientific merit and general significance of the proposed study or research training program and its objectives; (2) the technical adequacy of the experimental design and approach; (3) the competency of the proposed investigator or group to successfully pursue the project; (4) the adequacy of the available proposed facilities and resources; (5) the necessity of the budget components requested in relation to the proposed project; and (6) the relevance and importance to the announced program objectives. All pertinent evaluation criteria are provided in the RFAs and PAs.

### **93.990 NATIONAL HEALTH PROMOTION**

Health Promotion

#### **FEDERAL AGENCY:**

Office of Disease Prevention and Health Promotion, Department of Health and Human Services

#### **AUTHORIZATION:**

Title III of the U.S. Public Health Service Act: 42 U.S.C. Section 301, also Section 1110 of the Social Security Act (42 U.S.C. 1310), along with funds appropriated under 42 U.S.C. 300U-6, Section 1707 of the Public Health Service Act, as amended., 42 U.S.C 300u-6.

#### **OBJECTIVES:**

To engage national membership organizations from various sectors as a means of expanding and coordinating health promotion efforts. To promote the development, implementation and coordination of programs that promote good health habits and programs that are designed to prevent disease and disability. These objectives are consistent with the General Authorities set forth in Sections 1701(a) and 301 of the Public Health Service Act

Additionally this program includes a cooperative agreement project entitled Disease Prevention and Health Promotion Scholarship Program. This project supports several focus areas of Healthy People 2010 specifically: Access to Quality Health Services; Educational and Community-Based Programs; Health Communication; and Public Health Infrastructure.

#### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

#### **USES AND USE RESTRICTIONS:**

Assistance must be provided to satisfy program needs of the National Health Promotion Program, including but not limited to: (1) identifying or developing materials for health promotion programs for use by schools, medical treatment sites, worksites, and community health promotion programs; (2) adding to the scientific data base, especially to fill gaps identified in the "Healthy People 2010: National Health Promotion and Disease Prevention Objectives"; and (3) identifying the needs of special population groups, such as Blacks, Hispanics, Asian/Pacific Islanders, American Indians/Alaska Natives, those with disabilities or special health care needs, and elderly Americans.

#### **Applicant Eligibility:**

Public or private nonprofit organizations. Faith based organizations are eligible to apply.

#### **Beneficiary Eligibility:**

General public.

#### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. All grant announcements are posted on [www.grants.gov](http://www.grants.gov). Application kits for new opportunities may be requested by calling (240) 453-8822 or writing to:Office of Public Health and Science

(OPHS) Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

#### **Award Procedure:**

Accepted applications will be reviewed by a review panel that will make recommendations on the technical merit based on the published criteria. After considering the recommendations of the panel, the Deputy Assistant Secretary for Health, will make a final decision on funding projects and a notice of grant award will be issued.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

From 60 to 90 days. Approximately 90 days from the application deadline date.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

> 180 Days. Support is recommended for a specified project period (5 years), and is not generally considered for renewal beyond that period.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

#### **Length and Time Phasing of Assistance:**

Varies, but a project period is generally limited to 5 years or less. Within a project period, continuation applications must be submitted annually on a noncompeting basis for each year of support. Method of awarding/releasing assistance: by letter of credit.

#### **Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

#### **Account Identification:**

75-0120-0-1-551.

#### **Obligations:**

(Salaries) FY 11 \$480,000; FY 12 est \$500,000; and FY 13 Estimate Not Available

#### **Range and Average of Financial Assistance:**

\$500,000 to \$900,000.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Project provided disease prevention and health promotion educational and training opportunities for medical and public health students,

preventive medicine and primary care residents and practicing physicians and public health professionals. Fiscal Year 2012: This project will continue to provide disease prevention and health promotion educational and training opportunities for medical and public health students; preventive medicine and primary care residents; and practicing physicians and public health professionals. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

"Healthy People 2010," 2 vols., Government Printing Office, Stock No. 017-001-00547-9 (\$70.00/set); "Healthy People 2010: Understanding and Improving Health," Government Printing Office, Stock No. 017-001-00550-9 (\$10.00); "Tracking Healthy People 2010," Government Printing Office, Stock No. 017-001-00548-7 (\$67.00); "Healthy People 2010 CD-Rom," Government Printing Office, Stock No. 017-001-00549-5 (\$19.00).

**Regional or Local Office:**

None. Program Management Contact:  
Office of Disease Prevention and Health Promotion, 1101 Wootton Parkway, Suite LL 100, Rockville, MD 20852, Telephone (240) 453-8280.

Grants Management Contact:  
Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852, Telephone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building, Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.health.gov/healthypeople> .

**RELATED PROGRAMS:**

93.226 Research on Healthcare Costs, Quality and Outcomes

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals will be assessed according to ability to show: organizational goals consistent with the National Health Promotion Program; access to a nationwide network of local affiliates through which health information and health promotion resources can be decentralized; administrative capability and staff expertise to contribute to satisfaction of program need; detailed proposal including cost proposal in response to program announcement.

**93.991 PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT**

(PHHS Block Grants)

**FEDERAL AGENCY:**

Centers for Disease Control and Prevention, Department of Health and Human Services

**AUTHORIZATION:**

Public Health Service Act, as amended; Omnibus Budget Reconciliation Act of 1981, Title XIX, Section 1905, Public Law 97-35, as amended; Preventive Health Amendments of 1984, Public Law 98-555; Health Omnibus Programs Extension Act of 1988, Public Law 100-607; Preventive Health Amendments of 1992, Public Law 102-531.

**OBJECTIVES:**

To provide States with the resources to improve the health status of the population of each grantee by: (A) conducting activities leading to the accomplishment of the most current Healthy People objectives for the nation; (B) rapidly responding to emerging health threats; (C) providing emergency medical services excluding most equipment purchases; (D) providing services for sex offense victims including prevention activities; and (E) coordinating related administration, education, monitoring and evaluation activities.

**TYPES OF ASSISTANCE:**

Formula Grants

**USES AND USE RESTRICTIONS:**

Except as described below, Block Grant funds may be used for preventive health service programs for: (A) Activities to achieve improvements in the health status of populations through achievement of the most current Healthy People health objectives for the nation; (B) preventive health service programs for the control of rodents and for community and school-based fluoridation programs; (C) feasibility studies and planning for emergency medical services systems and the establishment, expansion, and improvement of such systems; Funds may not be used to operate emergency medical services systems or to purchase more than 50 percent of the cost of communications equipment for such systems.(D) providing services to victims of sex offenses and prevention of sex offenses; (E) the establishment, operation, and coordination of effective and cost-efficient systems to reduce the prevalence of asthma and asthma related illnesses, especially among children; (F) related planning, administration, and educational activities; and (G) monitoring and evaluation activities related to (A) through (F).

**Applicant Eligibility:**

Only State and U.S. Pacific Territorial governments, the District of Columbia, the Kickapoo Tribe of Kansas and the Santee Sioux Tribe of Nebraska are eligible for Preventive Health and Health Services Block Grants.

**Beneficiary Eligibility:**

The general public will benefit from the objectives of this program with special attention to disparately affected populations.

**Credentials/Documentation:**

Applications shall contain certification by the CEO of the State that the State has complied with provisions of and will meet the requirements of PHS Act, Title XIX, Section 1905, and Title XVII, Chapter 2 of the Omnibus Reconciliation Act of 1981. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Each State shall submit an application to the funding agency. Specific format is required, and forms are provided.

**Award Procedure:**

Applications are reviewed for completeness and for compliance with legislative requirements. Award is made to the applicant by the Centers for Disease Control and Prevention.

**Deadlines:**

Oct 01, 2009 Applications will be accepted beginning on October 1 of the eligible fiscal year.

**Range of Approval/Disapproval Time:**

From 15 to 30 days. About 3 weeks.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Each allotment is available for obligations over a 24-month period; payments are made through the Electronic Transfer System. See the following for information on how assistance is awarded/released: Each allotment is available for obligations over a 24-month period; payments are made through the Electronic Transfer System.

**Reports:**

Not Applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Each State must maintain records which are consistent with their State laws and requirements.

**Account Identification:**

75-0943-0-1-551.

**Obligations:**

(Formula Grants) FY 11 \$72,994,506; FY 12 est \$71,167,658; and FY 13 est \$0 - Program recommended for elimination in President's FY 2013 budget.

**Range and Average of Financial Assistance:**

\$21,258 to \$7,026,219; \$1,572,013. (Note: A formula based on fiscal year 1981 allocations to States is used for the annual basic grant allocation.)

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Developed performance measures for the PHHS Block Grant designed to hold grantees more accountable for use of funds. Fiscal Year 2012: Completed performance measures development for the PHHS Block Grant. Fiscal Year 2013: Program recommended for elimination in FY 2013 budget.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 Code of Federal Regulations, Part 96 (Published in the Federal Register on July 6, 1982 and revised in the Federal Register, October 13, 1987).

**Regional or Local Office:**

None.

**Headquarters Office:**

Audrey Williams NCCDPHP, 3005 Chamblee Tucker Road  
Mailstop K45, Chamblee, Georgia 30341 Email: akwilliams@cdc.gov Phone:  
(770) 488-5941 Fax: (770) 488-5974.

**Website Address:**

<http://www.cdc.gov/nccdpHP/blockgrant>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.994 MATERNAL AND CHILD HEALTH SERVICES BLOCK GRANT TO THE STATES**

MCH Block Grants

**FEDERAL AGENCY:**

Health Resources and Services Administration, Department of Health and Human Services

**AUTHORIZATION:**

Social Security Act, Title V, Section 501(a) (1), as amended.

**OBJECTIVES:**

To enable States to maintain and strengthen their leadership in planning, promoting, coordinating and evaluating health care for pregnant women, mothers, infants, and children, children with special health care needs (CSHCN) and families in providing health services for maternal and child health populations who do not have access to adequate health care.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

States may use funds to develop systems of care for the provision of health services and related activities, including planning, administration, education and evaluation consistent with the State's annual application. Funds may not be used for (1) Inpatient services other than those provided to children with special health care needs or to high-risk pregnant women and infants and such other inpatient services as the Secretary may approve; (2) cash payments to intended recipients for health services; (3) purchase and improvement of land, construction or permanent improvement of buildings or purchase of major medical equipment; (4) matching other Federal grants; or (5) providing funds for research or training to any entity other than a public or private nonprofit entity. Beginning in FY 1991, States must use at least 30 percent of their Federal allotment for preventive and primary care services for children, and at least 30 percent for services for children with special health care needs. In addition, each State must establish and maintain a toll-free information number for parents on maternal and child health (MCH) and Medicaid providers. No more than 10 percent of each State's allotment may be used for administration.

**Applicant Eligibility:**

Title V MCH Block Grants are limited to States and insular areas.

**Beneficiary Eligibility:**

Mothers, infants, children, including CSHCN, and their families, particularly those of low-income.

**Credentials/Documentation:**

Applicants should review the individual HRSA funding opportunity announcement issued under this CFDA program for any required proof or certifications which must be submitted prior to or simultaneous with submission of an application package. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The level of preapplication coordination between a State Maternal and Child Health Agency and other State and local entities within the State is at the discretion of the State. States are required to have mechanisms in place for obtaining public input and feedback on the development of their Title V Maternal and Child Health Block Grant applications and Title V supported programs. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. HRSA requires all applicants to apply electronically through Grants.gov.

All qualified applications will be forwarded to a review committee. Based on the advice of the review committee, the HRSA program official with delegated authority is responsible for final funding decisions.

**Award Procedure:**

Notification is made in writing by a Notice of Award.

**Deadlines:**

Jul 16, 2012: Applications are due to HRSA by COB on July 15 of each year. (If the application due date falls on a Saturday or Sunday, the deadline will be extended to the following Monday.)

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Funds will be made available annually to any State submitting an acceptable application.

**Formula and Matching Requirements:**

Statutory Formula: Title V Section 502(c), Public Law Social Security Act. Subject to 45 CFR Part 96.

Matching Requirements: Percent: 75%.

This program has MOE requirements, see funding agency for further details.

**Length and Time Phasing of Assistance:**



Funds are awarded each fiscal year in quarterly installments and remain available for expenditure for the current and subsequent fiscal year. See the following for information on how assistance is awarded/released: Grantees drawdown funds, as necessary, from the Payment Management System (PMS). PMS is the centralized web based payment system for HHS awards.

**Reports:**

Annual Reports which document the States progress towards the achievement of National Performance and Outcome Measures, State Performance Measures, Health Systems Capacity Indicators and Health Status Indicators. In the Annual Report, States submit a breakdown of expenditures by funding source (e.g., Federal, State, and local), by individuals served (e.g., women, infants, children and CSHCN) and by Maternal and Child Health service level (i.e., direct health care services, enabling services, population-based services and infrastructure building services.). Federal Financial Report (FFR). See funding opportunity announcement for additional information. No expenditure reports are required. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantees are required to maintain grant accounting records 3 years after the date they submit the Federal Financial Report (FFR). If any litigation, claim, negotiation, audit or other action involving the award has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0354-0-1-550.

**Obligations:**

(Formula Grants) FY 11 \$546,791,548; FY 12 est \$540,518,516; and FY 13 est \$541,862,330

**Range and Average of Financial Assistance:**

(FY 2012 Awards) \$145,927 - 41,389,219; \$9,160,454.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 59 awards. Fiscal Year 2012: 59 awards. Fiscal Year 2013: 59 awards.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

This program is subject to the provisions of 45 CFR Part 96 as applicable and individual State Regulations.

HRSA awards are subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable based on recipient type and purpose of award. The HHS GPS is available at <http://www.hrsa.gov/grants>.

**Regional or Local Office:**

See Regional Agency Offices. Program Contact: Division of State and Community Health, Maternal and Child Health Bureau, Health Resources and Services Administration, Department of Health and Human Services, Room 18-31, Parklawn Building, 5600 Fishers Lane, Rockville, MD 20857. Telephone: (301) 443-2204.

**Headquarters Office:**

Division of State and Community Health, 5600 Fishers Lane, Room 18-31, Rockville, Maryland 20857 Phone: (301) 443-2204.

**Website Address:**

[www.hrsa.gov](http://www.hrsa.gov).

**RELATED PROGRAMS:**

93.110 Maternal and Child Health Federal Consolidated Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**93.995 ADOLESCENT FAMILY LIFE DEMONSTRATION PROJECTS**

AFL CARE & Prevention

**FEDERAL AGENCY:**

Office of Population Affairs, Department of Health and Human Services

**AUTHORIZATION:**

Executive Order 42 U.S.C. 300z et seq., 42 U.S.C 300z et seq.

**OBJECTIVES:**

To establish innovative, comprehensive, and integrated approaches to the delivery of care services for pregnant and parenting adolescents with primary emphasis on adolescents who are under 17 years of age. To promote abstinence from sexual relations through provision of age-appropriate education on sexuality and decision-making skills as the most effective method of preventing adolescent pregnancy and avoiding sexually transmitted diseases, including HIV/AIDS.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funds for services under this program can only be used to: (1) Provide care services, prevention services, or both care and prevention services to eligible persons; (2) coordinate integrate and provide linkages among providers of care, prevention, and other services for eligible persons; (3) provide supplemental services to eligible persons in the community when existing services are not adequate or not available and are essential to the care of pregnant adolescents and/or to the prevention of adolescent sexual activity and adolescent pregnancy; (4) plan for the administration, evaluation, and coordination of pregnancy prevention services and programs of care for pregnant adolescents and adolescent parents to further the objectives of this legislation; and (5) fulfill assurances required for grant approval. Funded projects may not provide or subcontract for the provision of abortions or abortion counseling or referral (with exceptions).

**Applicant Eligibility:**

Public (including city, county, regional, and State government) organizations; and private nonprofit organizations.

**Beneficiary Eligibility:**

For prevention services: non-pregnant adolescents and their families. For care services: pregnant adolescents, infants, adolescent parents, and their families. Primary emphasis should be given to unmarried adolescents 17 years of age and under.

**Credentials/Documentation:**

A nonprofit private entity must provide evidence of its nonprofit status. Allowability of costs charged to the grant will be determined in accordance with the following Cost Principles: OMB Circular No. A-21 for educational institutions, OMB Circular No. A-87 for State and local governments, and OMB Circular No. A-122 for nonprofit organizations. Faith based organizations are eligible to apply. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application kits may be requested by contacting Office of Assistant Secretary for Health, Office of Grants Management, 1101 Wootton Parkway, Suite 550, Rockville, MD 20852.

**Award Procedure:**

All applications and proposals are read by a panel of independent experts who

make recommendations for action to the Office of Adolescent Pregnancy Programs. After considering the recommendation of this panel, the Deputy Assistant Secretary for Population Affairs makes the final decision on the funding of applications. All applicants are notified in writing of actions taken on their applications. A Notice of Grant Award is issued for those applications that are approved and funded.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days. From 3 to 5 months.

**Appeals:**

Not Applicable.

**Renewals:**

> 180 Days. Renewal awards may be approved pending availability of funding, and evidence of satisfactory progress and compliance.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: 40% match for year 1

50% match for year 2

60% match for year 3

See Notice of Grant Award for more details.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grants may not exceed 5 years (subject to the availability of funds). Payments will be made either on a monthly cash request basis or under the Electronic Transfer System. Necessary instructions for the appropriate type of payment will be issued at the time an award is made. Method of awarding/releasing assistance: by letter of credit.

**Reports:**

Annual Program reports are required. Cash Reports are due on a minimum basis of quarterly. Progress reports are required for each budget period. Financial status reports are due at the end of each budget period. A final performance report is due 90 days following the end of the project period.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

HHS and the Comptroller General of the United States or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records of a grantee, subgrantee, contractor, or subcontractor, which are pertinent to the HHS grant, in order to make audits, examinations, excerpts and transcripts. In accordance with 45 CFR, Part 74.53 and 45 CFR, Part 92, grantees are required to maintain grant accounting records 3 years after the end of a budget period. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records shall be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

**Account Identification:**

75-0120-0-1-550.

**Obligations:**

(Salaries) FY 11 \$8,741,946; FY 12 Estimate Not Available(Exp: program ended); and FY 13 Estimate Not Available - No funding was appropriated for this program in FY 2012.

**Range and Average of Financial Assistance:**

\$400,000.00 to \$600,000.00.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The program was of great benefit to teen parents who participated and it was learned that case management is a key component in working with the large number of participating adolescents. Development of an enhanced tracking system has allowed the opportunity to develop forms for tracking services and referrals. Grantees have found ways to sustain funding past the end of AFL funding. Fiscal Year 2012: No funding was appropriated for this program in 2012. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 74 and 92. Specific program requirements are contained in the Federal Register Notice, the application instructions, and the HHS Grants Policy Statement.

**Regional or Local Office:**

See Regional Agency Offices. OASH-OPA-Office of Adolescent Pregnancy Programs

Tower Building, 1101 Wootton Pkwy Suite 700

Rockville, MD 20852. Phone 240-453-2828

OASH-Office of Grants Management

Tower Building 1101 Wootton Parkway, Suite 550

Rockville, MD 20852. Phone (240) 453-8822.

**Headquarters Office:**

Eric C. West, Tower Building Suite 550, 1101 Wootton Parkway, Rockville, Maryland 20852 Email: eric.west@hhs.gov Phone: (240) 453-8822.

**Website Address:**

<http://www.opa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grantees include non-profit organizations, hospitals, health departments and schools. One grantee, whose mission and purpose is to strengthen families and to enhance the quality of life of the students, provided a school-based holistic approach to teen parents by providing an array of services to them with a core service of case management and collaborations with community agencies to provide resources for the teens. Another program was designed to assist pregnant and parenting teens in acquiring the support necessary to complete high school, improve parenting skills and to become self-sufficient. The program was developed in collaboration with a school district (encompassing 8 high schools and 5 alternative schools) as a means to reduce student attrition following childbirth. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Proposals must contain care and/or prevention services requirements specified in the statute. Priority will be given to applicants who: (1) Serve an area (a) where there is a high incidence of adolescent pregnancy, (b) where the incidence of low-income families is high, and (c) where the availability of programs for adolescents as specified in this act is low; (2) show evidence (a) for care services, of ability to deliver wide range of required services on single-site or network basis, or (b) for prevention services, ability to provide services targeted to population; (3) will utilize to maximum extent possible (a) existing programs and facilities, and (b) other sources of funding; (4) can demonstrate community commitment to the project; (5) have involved community in developing the project; (6) will demonstrate innovative approaches; and (7) demonstrate the reasonableness of the estimated cost considering the anticipated results.

**CORPORATION FOR NATIONAL AND COMMUNITY SERVICE**

**94.002 RETIRED AND SENIOR VOLUNTEER PROGRAM**

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended, Title II, Part A, Section 201, Public Law 93-113, 42 U.S.C. 5001, as amended.

**OBJECTIVES:**

The Retired and Senior Volunteer Program (RSVP) provides grants that support volunteers 55 years and older serving in a diverse range of activities that meet specific community needs and that respond to National Performance Measures.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Volunteers are not to supplant hiring, displace employed workers, or impair existing contracts for service. No agency supervising volunteers may request or receive compensation for services of the volunteers. Volunteers may not be involved in and funds may not be used for religious activities, labor or anti-labor organizations, lobbying, or partisan or non-partisan political activities. Grants may be used for staff salaries and fringe benefits, staff travel, equipment, and related expenses, and for volunteer out-of-pocket expenses, primarily for transportation. In addition, eligible agencies or organizations may, with a Notice of Grant Award from the Corporation for National and Community Service, receive technical assistance and materials to aid in establishing and operating non-Corporation funded RSVP projects using local funds. Refer to the program's Notice of Funding Availability for additional information for uses and restrictions including the prohibited activities. Restrictions on use of funds are described in the program's Notice of Funding Availability. Use of funds must be consistent with funded application, and are subject to the Corporation for National and Community Service's grants administration laws, regulations and policies. All appropriated funds awarded under this program are discretionary.

**Applicant Eligibility:**

See program's Notice of Funding Availability.

**Beneficiary Eligibility:**

Persons age 55 and older who are willing to volunteer on a regular basis by serving in a diverse range of activities that meet specific community needs. See program's Notice of Funding Availability for additional information.

**Credentials/Documentation:**

Various records and forms are required for first time applicants, as well as copy of last audit may be requested. First time applicants must certify financial systems. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See program's Notice of Funding Availability/Opportunity and application instructions for information on other application procedures.

**Award Procedure:**

See program's Notice of Funding Availability/Opportunity and application instructions for information on award procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days. See program's Notice of Funding Availability/Opportunity.

**Appeals:**

No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunity to show cause in cases of denial of refunding. See program's Notice of Funding Availability/Opportunity.

**Renewals:**

From 120 to 180 days. See program's Notice of Funding

Availability/Opportunity.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The RSVP sponsor is responsible for generating needed financial support for the RSVP project from all sources, Federal and non-federal, including grants, cash and in-kind contributions, to meet the budgeted costs of the project. The sponsor will supplement a Corporation for National and Community Service grant with other support to the fullest extent possible. See program's Notice of Funding Availability/Opportunity for additional information on matching. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Assistance is usually awarded for project periods of three or more years; funding must be obligated during the award project period and liquidated by the end of the closeout period. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Cash management reports are required. The Corporation for National and Community Service uses the US HHS Payment Management System for payments and cash management reporting. Progress reporting requirements are described in the awarded grant terms and conditions or provisions. Federal Financial Status Reports are required as specified in the grant award provisions. The Corporation for National and Community Service and its grant recipients are required to practice risk-based monitoring and routine field and desk-based oversight of all grant awards and expenditures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Corporation for National and Community Service grants are subject to audit by Corporation for National and Community Service employees, the CNCS Inspector General, the Government Accountability Office, and auditors contracted by the CNCS.

**Records:**

Grant recipients must maintain all grant financial and program records for a period of three years from date of submission of the final Federal Financial Report for the award. This includes but is not limited to all financial records including receipts, disbursements, and vouchers for Federal and non-federal costs, timecards, copies of all contracts, personnel records, job descriptions, program execution and performance records, criminal history checks, and similar records to reflect all activities and spending performed under the award.

Note that all individuals receiving a salary, living allowance, stipend, National Trust Education Award or similar compensation through a national service program funded by the Corporation for National and Community Service must first clear a National Service Criminal History Check and check records must be maintained within grant records.

**Account Identification:**

95-2728-1-2-000.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$49,274; FY 12 est \$48,531; and FY 13 est \$48,531

**Range and Average of Financial Assistance:**

The range of financial assistance ranges from \$0 to 863,791. The average amount of financial assistance requested is \$72,918.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program's regulations are located in the CFR located at this website <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr;sid=a7f7104482a690292caa297e31d9f774;rgn=div5;view=text;node=45%3A4.1.9.11.35;idno=45;cc=ecfr>

**Regional or Local Office:**

See Regional Agency Offices. The Corporation for National and Community Service maintains state offices in most states. Refer to the CNCS website for address and contact information.

**Headquarters Office:**

Tamika Becton Corporation for National and Community Service  
RSVP  
1201 New York Ave., NW , Washington, District of Columbia 20525 Email:  
tbecton@cns.gov Phone: (202) 606-5000

**Website Address:**

<http://www.seniorcorps.gov>

**RELATED PROGRAMS:**

94.011 Foster Grandparent Program; 94.016 Senior Companion Program;  
94.017 Senior Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria are described in the program Notice of Funding Availability or Opportunity.

**94.007 PROGRAM DEVELOPMENT AND INNOVATION GRANTS**

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

The National and Community Service Act of 1990, Title 42, Part 12653(s), Section section 198(s), as amended by Repealed. Pub.L. 105 354, 2(b), Nov. 3, 1998, 112 Stat. 3244; National and Community Service Act of 1990 as amended, Executive Order Public Law 101-610, Nov 16, 1990, Title 1, 98, as added and amended by Public Law 103 -82, Title 1, 104 (c), Title IV, 405 (p) (2), Sept. 21, 1993, 107 Stat. 840, 922; Public Law 103 304, 3 (a), (b) (6), Aug. 23, 1994, 108 Stat. 1566, 1568; Public Law 105 354, 2 (b), Nov. 3, 1998, 112 Stat. 3244; Public Law 111-13, Title I, 1802, Apr. 21, 2009, 123 Stat. 1552 ( Serve America Act H.R. 1388), Part Subtitle H, Section 198.

**OBJECTIVES:**

Innovation grants support innovative demonstration service programs that build the ethic of service among Americans of all ages and backgrounds. These include the Martin Luther King, Jr., Day of Service grants, and Disability Outreach grants. Additional programs may be added based upon legislation and appropriation.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Varies by program. See programs Notice of Funding Availability/Opportunity. Restrictions on use of funds are described in programs Notice of Funding Availability/Opportunity. Use of funds must be consistent with funded application, and are subject to the Corporation for National and Community Services grants administration laws, regulations and policies. All appropriated funds awarded under this program are discretionary.

**Applicant Eligibility:**

See programs Notice of Funding Availability/Opportunity.

**Beneficiary Eligibility:**

See programs Notice of Funding Availability/Opportunity.

**Credentials/Documentation:**

Various records and forms are required for first time applicants, as well as a copy of last audit may be requested. First time applicants must certify financial systems. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110

applies to this program. See programs Notice of Funding Availability/Opportunity and application instructions for information on other application procedures.

**Award Procedure:**

See programs Notice of Funding Availability/Opportunity and application instructions for information on award procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 60 to 90 days. See programs Notice of Funding Availability/Opportunity.

**Appeals:**

From 60 to 90 days. See programs Notice of Funding Availability/Opportunity.

**Renewals:**

From 60 to 90 days. See programs Notice of Funding Availability/Opportunity.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Matching requirements will vary. Refer to individual program notice of funding opportunity and application instructions.

This program does not have MOE requirements. Corporation programs usually do not have maintenance of effort requirements. Refer to individual notice of funding opportunity and application instructions.

**Length and Time Phasing of Assistance:**

Assistance is usually awarded for project periods of three or more years; funding must be obligated during the award project period and liquidated by the end of the closeout period. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Cash management reports are required. The Corporation for National and Community Service uses the US HHS Payment Management System for payments and cash management reporting. Progress reporting requirements are described in the awarded grant terms and conditions or provisions. Progress reporting requirements are described in the awarded grant terms and conditions or provisions. The Corporation for National and Community Service and its grant recipients are required to practice risk-based monitoring and routine field and desk-based oversight of all grant awards and expenditures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Corporation for National and Community Service grants are subject to audit by Corporation for National and Community Service employees, the CNCS Inspector General, the Government Accountability Office, and auditors contracted by the CNCS.

**Records:**

Grant recipients must maintain all grant financial and program records for a period of three years from date of submission of the final Federal Financial Report for the award. This includes but is not limited to all financial records including receipts, disbursements, and vouchers for Federal and nonfederal costs, timecards, copies of all contracts, personnel records, and job descriptions, program execution and performance records, criminal history checks, and similar records to reflect all activities and spending performed under the award.

Note that all individuals receiving a salary, living allowance, stipend, National Trust Education Award or similar compensation through a national service program funded by the Corporation for National and Community Service must first clear a National Service Criminal History Check and check records must

be maintained within grant records.

**Account Identification:**

95-2728-1-2-000.

**Obligations:**

(Project Grants (Discretionary)) FY 11 Not Available(Exp: CFDA listing covers multiple age); FY 12 Estimate Not Available(Exp: CFDA listing covers multiple age); and FY 13 Estimate Not Available(Exp: CFDA listing covers multiple age) - This CFDA listing addresses multiple programs. Funding varies per year based on available appropriations, active programs, and other events. Refer to agency budget and reports for actual annual obligation amounts.

**Range and Average of Financial Assistance:**

Varies by program.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Multiple programs; see agency web site for accomplishment data. Fiscal Year 2012: Multiple programs; see agency web site for accomplishment data. Fiscal Year 2013: Multiple programs; see agency web site for accomplishment data.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Douglas Godesky 8th Floor, Office of Grants Management  
1201 New York Avenue, NW, Washington, District of Columbia 20525 Email:  
DGodesky@cns.gov Phone: 202-606-6967

**Website Address:**

<http://www.nationalservice.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Varies by program. Specific criteria is published in the Federal Register through a Notice of Funds Availability (NOFA) when appropriate. The Corporation is looking for high quality programs that have the potential to be replicated and which provide meaningful service activities for Americans of all ages, backgrounds and abilities.

**94.011 FOSTER GRANDPARENT PROGRAM**

FGP

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended, Title II, Part B, Section 211, Public Law 93-113, 42 U.S.C. 5011, as amended.

**OBJECTIVES:**

The Foster Grandparent Program provides grants to qualified agencies and organizations for the dual purpose of engaging persons 55 or older, with limited incomes, in volunteer service to meet critical community needs; and to provide a high quality volunteer experience that will enrich the lives of the volunteers. Program funds are used to support Foster Grandparents in providing supportive, person to person service to children with exceptional or special needs or in circumstances identified as limiting their academic, social or emotional development.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The grants may be used for: low-income Foster Grandparent stipends, transportation, physical examinations and meals; staff salaries and fringe benefits, staff travel, equipment, space costs, etc. Foster Grandparents may be assigned to children and youth in residential and non-residential facilities,

including schools and preschools and to children living in their own homes. Volunteers may not supplant hiring or displace employed workers, or impair existing contracts for service. No agency supervising volunteers may request or receive compensation for services of the volunteers. Volunteers may not be involved in and funds may not be used for religious activities, labor or anti-labor organization, lobbying, or partisan or non-partisan political activities. In addition, eligible agencies or organizations may, with a Notice of Grant Award from the Corporation for National and Community Service, receive technical assistance and materials to aid in establishing and operating a non-Corporation funded Foster Grandparent Program project using state, local and/or private funds. Volunteers may not be involved in and funds may not be used for religious activities, labor or anti-labor organization, lobbying, or partisan or non-partisan political activities. Funds must be used as described in the approved application. All appropriated funds awarded under this program are discretionary.

**Applicant Eligibility:**

Funding must be used consistent with approved application.

**Beneficiary Eligibility:**

Foster Grandparents must be: 55 years of age or older, with an income of up to 200 percent of poverty, based on the Department of Health and Human Services Poverty Guidelines, and interested in serving infants, children, and youth with special or exceptional needs. (However, individuals who are not income eligible may serve as non-stipended volunteers under certain conditions.) Foster Grandparents must be physically, mentally, and emotionally capable and willing to serve selected infants, children or youth on a person-to-person basis.

**Credentials/Documentation:**

The applicant must furnish evidence of: availability of income-eligible older persons, eligible volunteer stations, and the ability to provide sufficient matching nonfederal funds. Nonprofit organizations must furnish: proof of nonprofit status, articles of incorporation, and certification of accounting capability. Various records and forms required for first time applicants, as well as copy of last audit may be requested. First time applicants must certify financial systems. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Organizations interested in exploring the possibility of developing a local Foster Grandparent project should contact the Corporation for National and Community Service State Program Office serving their state (list available at <http://www.nationalservice.gov/about/contact/stateoffices.asp>) The OMB-approved Senior Corps application forms furnished by the Corporation for National and Community Service must be used for this Program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted following the Senior Corps Grant Application instructions (OMB Control No. 3045-0035). Applications are submitted via the Corporation's eGrants system. For more information on eGrants, go to <http://www.nationalservice.gov/egrants/index.asp>.

**Award Procedure:**

See program's Notice of Funding Availability/Opportunity and application instructions for information on award procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunity to show cause in

cases of denial of refunding.

**Renewals:**

From 120 to 180 days. See program's Notice of Funding Availability/Opportunity.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. This Program has no statutory formula. Generally, at least 10 percent of the total project costs must be met by the applicant. In exceptional cases, the Corporation for National and Community Service may make grants in excess of 90 percent of total project budget costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is usually awarded for project periods of three or more years; funding must be obligated during the award project period and liquidated by the end of the closeout period. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. Cash management reports are required. The Corporation for National and Community Service uses the US HHS Payment Management System for payments and cash management reporting. Progress reporting requirements are described in the awarded grant terms and conditions or provisions. No expenditure reports are required. The Corporation for National and Community Service and its grant recipients are required to practice risk-based monitoring and routine field and desk-based oversight of all grant awards and expenditures.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Corporation for National and Community Service grants are subject to audit by Corporation for National and Community Service employees, the CNCS Inspector General, the Government Accountability Office, and auditors contracted by CNCS.

**Records:**

Grant recipients must maintain all grant financial and program records for a period of three years from date of submission of the final Federal Financial Report for the award. This includes but is not limited to all financial records including receipts, disbursements, and vouchers for Federal and non-federal costs, timecards, copies of all contracts, personnel records, and job descriptions, program execution and performance records, criminal history checks, and similar records to reflect all activities and spending performed under the award.

Note that all individuals receiving a salary, living allowance, stipend, National Trust Education Award or similar compensation through a national service program funded by the Corporation for National and Community Service must first clear a National Service Criminal History Check and check records must be maintained within grant records.

**Account Identification:**

95-2728-1-2-000.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$109,940; FY 12 est \$109,722; and FY 13 est \$109,840

**Range and Average of Financial Assistance:**

The range of financial assistance is from \$0 to \$1,660,062.

The average of financial assistance is \$320,214.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program's regulations are located in the CFR located at this website <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=f66a87b1d5af326bdaf644011bb19e66&rgn=div5&view=text&node=45:4.1.9.11.34&idno=45#45:4.1.9.11.34.2.16.5>.

**Regional or Local Office:**

See Regional Agency Offices. The Corporation for National and Community Service maintains state offices in most States. Refer to the CNCS website for

address and contact information.

**Headquarters Office:**

Tamika Becton 1201 New York Avenue, NW, Washington, District of Columbia 20525 Email: [tbecton@cns.gov](mailto:tbecton@cns.gov) Phone: 202-606-5000

**Website Address:**

<http://www.seniorcorps.gov>

**RELATED PROGRAMS:**

94.002 Retired and Senior Volunteer Program; 94.016 Senior Companion Program; 94.017 Senior Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria are described in the program Notice of Funding Availability or Opportunity.

**94.013 VOLUNTEERS IN SERVICE TO AMERICA**

(Americorps\*VISTA)

VISTA

Volunteers In Service To America

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended, Public Law 93-113, Title I, Part A, Public Law 93-113, 87 Stat. 394, 42 U.S.C 4951-49600.

**OBJECTIVES:**

To supplement efforts of private, nonprofit organizations and Federal, State, and local government agencies to eliminate poverty and poverty-related problems by enabling persons from all walks of life and all age groups to perform meaningful and constructive service as volunteers.

**TYPES OF ASSISTANCE:**

Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

See program's Notice of Funding Opportunity. Restrictions on use of funds are described in programs Notice of Funding Availability/Opportunity. Use of funds must be consistent with awarded application, and are subject to the Corporation for National and Community Services administration laws, regulations and policies. All appropriated funds awarded under this program are discretionary.

**Applicant Eligibility:**

The proposed project must have a clear anti-poverty focus. See program's Notice of Funding Opportunity.

**Beneficiary Eligibility:**

Persons who are assisted by VISTA project activities must be low-income and VISTA activities must directly benefit the poor by helping communities find permanent solutions to poverty.

**Credentials/Documentation:**

Various records and forms are required for first time applicants, as well as a copy of last audit may be requested. First time applicants must certify financial systems. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. See program's Notice of Funding Opportunity and application instructions for information on other application procedures.

**Award Procedure:**

See program's Notice of Funding Opportunity and application instructions for information on other application procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

No formal appeals for denial of initial project application; however, regulations provide for hearings on terminations and suspensions, and opportunity to show cause in cases of denial of refunding.

**Renewals:**

From 120 to 180 days. Renewal applications are required annually at least 120 days prior to the end of the project period. Renewals are subject to the same review procedures as new projects.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. The VISTA program does not, as a rule, provide assistance through cash grants, and, thus has no matching requirements. In the case of those projects that receive small grants to offset costs, there are no matching requirements. VISTA does operate a voluntary cost share program where sponsoring organizations can pay living allowance costs for one or more VISTA members, allowing the program to maximize its reach. Sponsors also provide equipment, work space and other in-kind support of the VISTA members assigned to ensure overall project success.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

VISTA Volunteers are assigned to a project for a given length of time, generally 3-4 years, as designated in a Memorandum of Agreement between Corporation for National and Community Service (CNCS) and the sponsor. Individual volunteers commit themselves to an one year term of service which may be extended with sponsor and CNCS approval. Note that, with certain small exceptions, the VISTA program does not grant financial resources to organizations, but rather provides the resource through the placement of a VISTA member. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. In the case of VISTA projects that receive cash grants, cash management reports are required. The Corporation for National and Community Service uses the US HHS Payment Management System for payments and cash management reporting. Progress reporting requirements are described in the Memorandum of Agreement and reporting forms. In the case of VISTA projects that receive small cash grants, Federal Financial Reports are required as specified in the grant award provisions. The Corporation for National and Community Service and its VISTA sponsors are required to practice risk-based monitoring and routine field and desk-based oversight of all project/grant awards and expenditures.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Corporation for National and Community Service grants are subject to audit by Corporation for National and Community Service employees, the CNCS Inspector General, the Government Accountability Office, and auditors contracted by the CNCS.

**Records:**

Sponsors are expected to maintain records pertaining to volunteer assignments and training activities for 3 years after the end of the project year.

Grant recipients must maintain all grant financial and program records for a period of three years from date of submission of the final Federal Financial Report for the award. This includes but is not limited to all financial records including receipts, disbursements, and vouchers for Federal and nonfederal costs, timecards, copies of all contracts, personnel records, and job descriptions, program execution and performance records, criminal history checks, and similar records to reflect all activities and spending performed under the award.

Note that all individuals receiving a salary, living allowance, stipend, National Trust Education Award or similar compensation through a national service program funded by the Corporation for National and Community Service must first clear a National Service Criminal History Check and check records must be maintained within project records.

**Account Identification:**

95-2728-1-2-000.

**Obligations:**

(Provision of Specialized Services) FY 11 \$98,661,787; FY 12 est \$94,820,450; and FY 13 est \$95,300,000

**Range and Average of Financial Assistance:**

See programs Notice of Funding Opportunity for information.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 7304 AmeriCorps VISTA members and Summer Associates served. Fiscal Year 2012: We anticipate 7300 AmeriCorps VISTA members and Summer Associates will have served or be in service during the FY 2012. Fiscal Year 2013: We anticipate 7400 AmeriCorps VISTA members and Summer Associates will have served or be in service during the FY 2013.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

45 CFR 1201; VISTA Member Handbook; Publications: Overcoming Poverty, Building Capacity, Is VISTA Right for Your Organization? [http://www.americorps.gov/pdf/12\\_0724\\_vista\\_guide\\_to\\_sponsor.pdf](http://www.americorps.gov/pdf/12_0724_vista_guide_to_sponsor.pdf)

**Regional or Local Office:**

See Regional Agency Offices. The Corporation for National and Community Service maintains regional offices in most States. Refer to the CNCS website for address and contact information.

**Headquarters Office:**

Kelly L. Daly, 1201 New York Avenue NW, Washington, District of Columbia 20525 Email: [kdaly@cns.gov](mailto:kdaly@cns.gov) Phone: (202) 606-6849

**Website Address:**

<http://www.americorps.gov/about/programs/vista.asp>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

All of the following elements must be found in the applicant's proposal for new or renewal projects. The project must: (1) be poverty oriented in scope and comply with the provisions of the Domestic Volunteer Service Act of 1973 applicable to VISTA and all published regulations and Corporation for National Service policies; (2) show that the project goals, objectives and Volunteer tasks are attainable within the time frame during which the Volunteers will be serving on the project and will produce a measurable result; (3) must recruit and involve low-income community residents in the planning, development and implementation of the VISTA project; (4) provide for frequent and effective supervision of the Volunteers; (5) identify resources needed and make them available for Volunteers to perform their tasks; and (6) have the management capability to carry out the project.

**94.016 SENIOR COMPANION PROGRAM**

SCP

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended, Title II, Part C, Section 213, Public Law 93-113, 42 U.S.C. 5011, as amended.

**OBJECTIVES:**

The Senior Companion Program provides grants to qualified agencies and organizations for the dual purpose of engaging persons 55 and older, particularly those with limited incomes, in volunteer service to meet critical community needs; and to provide a high quality experience that will enrich the

lives of the volunteers. Program funds are used to support Senior Companions in providing supportive, individualized services to help adults with special needs maintain their dignity and independence.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The grants may be used for: Senior Companion stipends, transportation, physical examinations, insurance, and meals; staff salaries and fringe benefits, staff travel, equipment, space costs, etc. Assignment of Senior Companions to adults may occur in residential and non-residential facilities and in their own homes. Volunteers do not supplant hiring or displace employed workers, or impair existing contracts for service. No agency supervising volunteers shall request or receive compensation for services of the volunteers. Volunteers are not to be involved in and funds are not to be used for religious activities, labor or anti-labor organizations, lobbying, or partisan or non-partisan political activities. In addition, eligible agencies or organizations may, under a Notice of Grant Award from the Corporation for National and Community Service, receive technical assistance and materials to aid in establishing and operating non-Corporation for National and Community Service funded SCP projects using state, local and private funds.

**Applicant Eligibility:**

Funding must be consistent with approved and funded application.

**Beneficiary Eligibility:**

Senior Companions must be: 55 years of age or older, with an income of up to 200 percent of poverty, based on the Department of Health and Human Services Poverty Guidelines; interested in serving special-needs adults, especially the frail elderly, and must be physically, mentally and emotionally capable, and willing to serve on a person-to-person basis. However, non-income eligible individuals may serve as non-stipended volunteers under certain conditions.

**Credentials/Documentation:**

The applicant must furnish evidence of: availability of income-eligible older persons, eligible volunteer stations, ability to provide sufficient matching nonfederal funds. Non-profit organizations must furnish: proof of nonprofit status, articles of incorporation, and certification of accounting capability. Various records and forms required for first time applicants, as well as copy of last audit may be requested. First time applicants must certify financial systems. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Organizations interested in exploring the possibility of developing a local Senior Companion project should contact the Corporation for National and Community Service State Program Office serving their state (list available at <http://www.nationalservice.gov/about/contact/stateoffices.asp>) The OMB-approved Senior Corps application forms furnished by the Corporation for National and Community Service must be used for this Program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Applications must be submitted following the Senior Corps Grant Application instructions (OMB Control No. 3045-0035). Applications are submitted via the Corporation's eGrants system. For more information on eGrants, go to <http://www.nationalservice.gov/egrants/index.asp>.

**Award Procedure:**

See program's Notice of Funding Availability/Opportunity and application instructions for information on award procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

> 180 Days.

**Appeals:**

No formal appeals for denial of initial grant application, but regulations provide for hearings on terminations and suspensions, and opportunity to show cause in cases of denial of refunding.

**Renewals:**

From 120 to 180 days. See program's Notice of Funding Availability/Opportunity.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Generally, at least 10 percent of the total project costs must be met by the applicant. In exceptional cases, the Corporation for National and Community Service may make grants in excess of 90 percent of total project budget costs.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Assistance is usually awarded for project periods of three or more years; funding must be obligated during the award project period and liquidated by the end of the closeout period. Method of awarding/releasing assistance: lump sum.

**Reports:**

No program reports are required. The Corporation for National and Community Service uses the US HHS Payment Management System for payments and cash management reporting. Progress reporting requirements are described in the awarded grant terms and conditions or provisions. The Corporation for National and Community Service collects Federal Financial Reports (FFR). FFRs are collected electronically by the HHS Payment Management System for the Corporation for National and Community Service. The Corporation for National and Community Service and its grant recipients are required to practice risk-based monitoring and routine field and desk-based oversight of all grant awards and expenditures.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. The Corporation for National and Community Service grants are subject to audit by Corporation for National and Community Service employees, the CNCS Inspector General, the Government Accountability Office, and auditors contracted by CNCS.

**Records:**

Grant recipients must maintain all grant financial and program records for a period of three years from date of submission of the final Federal Financial Report for the award. This includes but is not limited to all financial records including receipts, disbursements, and vouchers for Federal and non-federal costs, timecards, copies of all contracts, personnel records, and job descriptions, program execution and performance records, criminal history checks, and similar records to reflect all activities and spending performed under the award.

Note that all individuals receiving a salary, living allowance, stipend, National Trust Education Award or similar compensation through a national service program funded by the Corporation for National and Community Service must first clear a National Service Criminal History Check and check records must be maintained within grant records.

**Account Identification:**

95-2728-1-2-000.

**Obligations:**

(Project Grants) FY 11 \$46,085; FY 12 est \$46,120; and FY 13 est \$46,120

**Range and Average of Financial Assistance:**

The range of financial assistance is from \$0 to \$622,162.

The average of financial assistance is \$207,631.

**PROGRAM ACCOMPLISHMENTS:**



Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The program's regulations are located in the CFR located at this website <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=f26a87b1d5af326bdaf644011bb19e66&rgn=div5&view=text&node=45:4.1.9.11.33&idno=45#45:4.1.9.11.33.12.16.1>.

**Regional or Local Office:**

See Regional Agency Offices. The Corporation for National and Community Service maintains regional offices in most States. Refer to the CNCS website and address and contact information.

**Headquarters Office:**

Tamika Becton 1201 New York Avenue, NW, Washington, District of Columbia 20525 Email: [tbecton@cns.gov](mailto:tbecton@cns.gov) Phone: 202-606-5000

**Website Address:**

<http://www.seniorcorps.gov>

**RELATED PROGRAMS:**

94.002 Retired and Senior Volunteer Program; 94.011 Foster Grandparent Program; 94.017 Senior Demonstration Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Proposal selection criteria are described in the program Notice of Funding Availability or Opportunity.

**94.017 SENIOR DEMONSTRATION PROGRAM**

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

Domestic Volunteer Service Act of 1973, as amended., 42 U.S.C 5028-5028(a).

**OBJECTIVES:**

To provide grants to qualified agencies for the purpose of conducting innovative activities involving older Americans as volunteers, including both volunteers receiving stipends and volunteers not receiving stipends.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

The following are illustrative activities cited in the authorizing legislation: (1) linking youth groups and older American organizations in volunteer activities; (2) involving older volunteers in programs and activities different from existing programs and activities supported in the community; and (3) testing whether older American volunteer programs may contribute to new objectives or certain national priorities. Volunteers may not supplant hiring or displace employed workers, or impair existing contracts for service. Volunteers may not be involved in and funds may not be used to support religious activities, labor or anti-labor organization, lobbying, or partisan or non-partisan political activities.

**Applicant Eligibility:**

Eligibility information is found in NOFA/NOFO.

**Beneficiary Eligibility:**

Beneficiaries, i.e., the volunteers enrolled in the program, must be age 55 or older.

**Credentials/Documentation:**

Documents required to be submitted are specified in the application instructions. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. OMB Circular No. A-21 and OMB Circular No. A-122 applies to this program. Applications must be submitted following the Senior Corps Grant Application instructions (OMB Control No. 3045-0035). Applications are submitted via the Corporation's eGrants system. For more information on eGrants go to <http://www.nationalservice.gov/egrants/index.asp>.

**Award Procedure:**

Applications are reviewed by the applicable Corporation State Office, which then submits a recommendation for approval or disapproval to the Director of the Senior Corps.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 120 to 180 days.

**Appeals:**

From 90 to 120 days.

**Renewals:**

From 90 to 120 days. Grants entirely funded from non-federal sources may be renewed, subject to satisfactory performance.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. At this time, this program is funded entirely from non-Corporation funds that are either transferred from other federal agencies to the Corporation or from funds raised locally by grantees.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Grants are generally awarded between 1 - 3 years. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual progress reports. Cash management reports are required. The Corporation for National and Community Service uses the US HHS Payment Management System for payments and cash management reporting. Progress reporting requirements are described in the awarded grant terms and conditions or provisions. The Federal Financial Report must be submitted semi-annually for federally funded projects and annually for projects that are funded entirely from non-federal sources. The Corporation will monitor grantee performance in accordance with established policies, through desk reviews and site visits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Corporation for National and Community Service grants are subject to audit by Corporation for National and Community Service employees, the CNCS Inspector General, the Government Accountability Office, and auditors contracted by the CNCS.

**Records:**

Grant recipients must maintain all grant financial and program records for a period of three years from date of submission of the final Federal Financial Report for the award. This includes but is not limited to all financial records including receipts, disbursements, and vouchers for Federal and non-federal costs, timecards, copies of all contracts, personnel records, and job descriptions, program execution and performance records, criminal history checks, and similar records to reflect all activities and spending performed under the award.

**Account Identification:**

95-2728-1-2-000.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Senior Corps Grant Application (OMB Control No. 3045-0035). When federal funds are available for this program, specific guidelines will be developed.

**Regional or Local Office:**

See Regional Agency Offices. The Corporation for National and Community Service maintains state offices in most states. Refer to the CNCS website for address and contact information.

**Headquarters Office:**

Tamika L. Becton Corporation for National and Community Service  
Senior Demonstration Program  
1201 New York Avenue, NW, Washington, District of Columbia 20525 Email: tbecton@cns.gov Phone: 2026065000

**Website Address:**

<http://www.seniorcorps.gov>

**RELATED PROGRAMS:**

94.002 Retired and Senior Volunteer Program; 94.011 Foster Grandparent Program; 94.016 Senior Companion Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Selection criteria for federally funded programs are developed in cooperation with the funding agency, and may vary widely.

**94.019 SOCIAL INNOVATION FUND**

Social Innovation Fund (SIF)

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

National and Community Service Act of 1990, as amended 42 U.S.C. 12653k , 123 Stat. 1565-1571, 42 U.S.C 12653k.

**OBJECTIVES:**

To support a national network of funds, led by community experts, that identify and invest in promising organizations that demonstrate impact in low-income communities.

The Corporation defines social innovation as the development of a potentially transformative practice or approach to meeting critical social needs. By investing in social innovation as a driver of results and accountability, the Federal government will play a central role in accelerating the spread of promising solutions will address our most pressing national and local challenges.

SIF awards are focused on improving measurable outcomes in the following priority areas:

Economic Opportunity Increasing the economic opportunities for economically disadvantaged individuals;  
Youth Development Preparing Americas youth for success in school, active citizenship, productive work, and healthy and safe lives; and  
Healthy Futures Promoting healthy lifestyles, and reducing the risk factors that can lead to illness.

The SIF funds are awarded to existing intermediary organizations, which are either grantmaking institutions or grantmaking partnerships as defined in this Notice. These intermediary organizations will award subgrants to nonprofit community organizations working to address priority issues. To be awarded funding, intermediaries will need to demonstrate: the ability to identify innovative solutions and successfully invest in growth and replication; a track record of using rigorous evidence to select, invest in, and monitor the

growth and progression of their grantees; expertise and demonstrated impact in the proposed issue area(s) of focus; and depth and breadth of relationships with stakeholders in the issue area or region of focus.

The SIF will also attract and leverage private donors to match Federal dollars, bringing new resources to support promising organizations. The statute requires both the SIF intermediaries and their subgrantees to match their grants dollar-for-dollar, in cash, with non-Federal funding.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The SIF funds are awarded to existing intermediary organizations, grantmaking institutions, or grantmaking partnerships. These intermediary organizations will award subgrants to promising nonprofit community organizations working to address priority issues in low-income communities across the country. Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov).

**Applicant Eligibility:**

Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov).

**Beneficiary Eligibility:**

Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov).

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information on the application procedures.

**Award Procedure:**

Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information on the award procedure.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days. Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information on the approval process.

**Appeals:**

Not Applicable.

**Renewals:**

This is a grant and cooperative agreement program with up to 5 year awards.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 100%. Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information on match requirements.

This program does not have MOE requirements. Not Applicable.

**Length and Time Phasing of Assistance:**

The SIF awards are made to intermediaries for up to periods of 5 years, but funded annually. If a grantee is awarded \$5 million in an upcoming competition, then that amount will be awarded for the first year of the overall grant period. Grantees will be eligible for further annual funding contingent on the availability of appropriations, compliance with grant conditions (including having secured cash matching funds), and satisfactory performance. See the following for information on how assistance is awarded/released: Annual

award for a period of up to 5 years.

**Reports:**

Performance Progress Reports and Federal Financial Reports. Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information on program reports. HHS Payment Management System collects quarterly cash transaction reports on behalf of the Corporation for National and Community Service. Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information on the progress reports. Federal Financial Reports are required as specified in the grant award provisions. Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information on performance monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Records must be retained for 3 years after final financial report is accepted by the agency.

**Account Identification:**

95-2728-1-2-000 - Operating Funds.

**Obligations:**

(Direct Payments for Specified Use (Cooperative Agreements)) FY 11 \$49,900,000; FY 12 est \$44,815,000; and FY 13 Estimate Not Available - The Corporation anticipates that up to \$50 million will be available to award new cooperative agreements.

**Range and Average of Financial Assistance:**

Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information related to the range and average of financial assistance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information related to literature.

**Regional or Local Office:**

None. Not Applicable.

**Headquarters Office:**

Marlene Saez Corporation for National and Community and Service, 1201 New York Avenue, Washington, District of Columbia 20005 Email: [msaez@cns.gov](mailto:msaez@cns.gov) Phone: (202) 606-3918

**Website Address:**

<http://www.nationalservice.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Please see <http://www.nationalservice.gov/about/programs/innovation.asp>. Fiscal Year 2012: Please see <http://www.nationalservice.gov/about/programs/innovation.asp>. Fiscal Year 2013: <http://www.nationalservice.gov/about/programs/innovation.asp>.

**CRITERIA FOR SELECTING PROPOSALS:**

Please see the Notice of Funding Availability found at [www.nationalservice.gov](http://www.nationalservice.gov) for additional information related to the selection criteria.

**94.022 NONPROFIT CAPACITY BUILDING**

Nonprofit Capacity Building

**FEDERAL AGENCY:**

Corporation for National and Community Service

**AUTHORIZATION:**

Edward M. Kennedy Serve America Act of 2009, 42 U.S.C 12653.

**OBJECTIVES:**

The Nonprofit Capacity Building Program will make grants to intermediary organizations to support the provision of organizational development assistance including training on best practices, financial planning, grant writing, and compliance with applicable tax laws to small and mid-size nonprofit organizations, particularly those facing resource hardship challenges.

**TYPES OF ASSISTANCE:**

Project Grants (Discretionary)

**USES AND USE RESTRICTIONS:**

Funds must be used to operate organizational development assistance programs for small and mid-size nonprofits. Included in application instructions. Grantee must be an intermediary nonprofit. Beneficiaries must be small and mid-size nonprofits. Organizational development assistance must be limited to training on best practices, financial planning, grant writing, and compliance with applicable tax laws.

**Applicant Eligibility:**

Use of assistance is to providing organization development training.

**Beneficiary Eligibility:**

Nonprofits must be small to midsize nonprofits as defined by CNCS, served by the intermediary nonprofit grantee.

**Credentials/Documentation:**

Refer to application instructions. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

To be eligible to receive a grant under this section, an intermediary nonprofit organization shall submit an application to the Corporation at such time, in such manner, and containing such information as the Corporation may require. The intermediary nonprofit organization shall submit in the application information demonstrating that the organization has secured sufficient resources to meet the funding requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 90 to 120 days.

**Appeals:**

From 30 to 60 days.

**Renewals:**

From 30 to 60 days.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching Requirements: Percent: 50%. The Federal share of the cost shall be 50 percent and the non-Federal share of the cost shall be 50 percent and shall be provided in cash. The intermediary nonprofit grantee shall provide the non-Federal share of the cost through contributions from third parties. The third parties may include charitable grantmaking entities and grantmaking vehicles within existing organizations, entities of corporate philanthropy, corporations, individual donors, and regional, State, or local government agencies, or other non-Federal sources. However, if the intermediary nonprofit grantee is a private foundation (as defined in section 509(a) of the Internal Revenue Code of

1986), a donor advised fund (as defined in section 4966(d)(2) of such Code), an organization which is described in section 4966(d)(4)(A)(i) of such Code, or an organization which is described in section 4966(d)(4)(B) of such Code, the grantee shall provide the non-Federal share from within that grantee's own funds.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are limited to two-year duration. See the following for information on how assistance is awarded/released. Method of awarding/releasing assistance: lump sum.

**Reports:**

See application instructions. HHS Payment Management System collects quarterly cash transaction reports on behalf of the Corporation for National & Community Service. Progress reports are submitted outside the Corporation's eGrants system. Federal Financial Status Reports are required as specified in the grant award provisions. Program officers may conduct site visits and, in some cases, the Inspector General's office may conduct additional visits to grantees.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

All records necessary to perform a proper audit must be retained.

**Account Identification:**

95-2728-0-1-506.

**Obligations:**

(Project Grants (Discretionary)) FY 11 \$998,000; FY 12 est \$0; and FY 13 est \$0 - We do not anticipate making Nonprofit Capacity Building grants in either FY2012 or FY2013.

**Range and Average of Financial Assistance:**

Grants will be no less than \$200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Specific guidelines will be developed when federal funds are available for this program.

**Regional or Local Office:**

See Regional Agency Offices. See Regional Agency Offices. A list has been included in Appendix IV of the Catalog.

**Headquarters Office:**

Bruce H. Cline PO Box 25505, Denver, Colorado 80225 Email: ncb@cns.gov Phone: 303 390-2212

**Website Address:**

<http://www.nationalservice.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Criteria are contained in the application guidelines.

**EXECUTIVE OFFICE OF THE PRESIDENT**

**95.004 ANTI-DOPING ACTIVITIES**

**FEDERAL AGENCY:**

Executive Office of the President

**AUTHORIZATION:**

Public Law 107-67, Section 644.

**OBJECTIVES:**

The grantee must provide continued support of anti-doping efforts to educate athletes on the dangers of drug use and eliminate doping in amateur athletic competitions recognized by the United States Olympic Committee. Specifically, provide support for athlete drug testing programs, research initiatives, educational programs, and efforts to inform athletes of the newly adopted rules governing the use of prohibited substances outlined in the World Anti-Doping Code (the Code). In addition, provide support for legal efforts to enforce compliance with the Code and adjudicate athlete appeals involving doping violations.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The anti-doping efforts must be accomplished by an agency that: (1) Is an independent anti-doping organization for the amateur athletic competitions recognized by the United States Olympic Committee; (2) Ensures that athletes participating in amateur athletic activities recognized by the United States Olympic Committee are prevented from using performance-enhancing drugs, or performance-enhancing genetic modifications accomplished through gene-doping; (3) Implements anti-doping education, research, testing, and adjudication programs to prevent United States Amateur Athletes participating in any activity recognized by the United States Olympic Committee from using performance-enhancing drugs, or performance-enhancing genetic modifications accomplished through gene-doping; (4) Serves as the United States representative responsible for coordination with other anti-doping organizations coordinating amateur athletic competitions recognized by the United States Olympic Committee to ensure the integrity of athletic competition, the health of the athletes and the prevention of use of performance-enhancing drugs, or performance-enhancing genetic modifications accomplished through gene-doping by United States amateur athletes; and (5) permanently includes gene doping among any list of prohibited substances adopted by the Agency.

**Applicant Eligibility:**

Anti-doping activities.

**Beneficiary Eligibility:**

Anti-doping activities.

**Credentials/Documentation:**

P.L. 107-67, SEC. 644 says The Congress of the United States recognizes the United States Anti-Doping Agency (USADA) as the official anti-doping agency for Olympic, Pan American, and Paralympic sport in the United States.. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Upon approval by the Office of National Drug Control Policy, a grant letter and conditions are sent to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 15 to 30 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grant will be available for 12 months, with extensions possible. Method of awarding/releasing assistance: lump sum.

**Reports:**

Annual program reports required. Federal Financial Report required quarterly and final report to be submitted within 90 days. No progress reports are required. Federal Financial Report required quarterly and final report to be submitted within 90 days. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Single Audit requirements.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years.

**Account Identification:**

11-1460-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$8,982,000; FY 12 est \$9,000,000; and FY 13 est \$8,100,000

**Range and Average of Financial Assistance:**

\$8 to \$9 million.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The U.S. Anti-Doping Agency (USADA) continued to build on the foundation of effectiveness established over the past ten years and set forth bold and courageous plans to achieve even more success for clean athletes. They have established four goals: Leadership; Research and Intelligence; Customer Management; and, Education and Outreach. Since January 1st thirty US athletes have received public sanctions for their doping related actions. Currently there are five open cases, which will be resolved over the coming year bearing in mind arbitration hearing and other proceedings that allow athletes their full legal rights. During 2011, USADA completed research and science projects for various anti-doping initiatives which analyze cutting-edge intelligence about performance-enhancing drugs, trends, and practices. Specifically, USADA initiated the development of a Perceived Deterrence Model as well as hosted the USADA Research Symposium covering Detection of Growth Factors. Through 2011, USADAs testing division performed approximately 7,000 domestic tests which included 2,500 In Competition tests and approximately 4,500 Out of Competition tests where no advance notice is given to the athlete that a test may occur. USADAs Outreach Education programming reached out to nearly 23,000 junior level athletes, student-athletes and students, teachers, athlete support, and parents including twenty-two organizations. The Olympic Education program conducted 181 presentations through face-to-face presentations, Dining Hall Chats at the Olympic Training Centers, and webinars. These presentations reached approximately 5,335 participants, which included athletes in the USADA Registered Testing Pool, junior and youth athletes, National Governing Body administrators, parents, coaches, and medical staff. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

P.L. 107-67, P.L. 109-469, WADA Codes

**Regional or Local Office:**

None.

**Headquarters Office:**

Puong DeSear 750 17th Street, NW, Washington, District of Columbia 20503  
Email: phuong\_desear@ondcp.eop.gov Phone: 202-395-6739

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The Congress of the United States recognizes the United States Anti-Doping Agency (USADA) as the official anti-doping agency for Olympic, Pan American, and Paralympic sport in the United States.

**95.005 DRUG COURT TRAINING AND TECHNICAL ASSISTANCE**

Drug Court Training and Technical Assistance

**FEDERAL AGENCY:**

Executive Office of the President

**AUTHORIZATION:**

Consolidated Appropriations Act, 2012  
, Public Law 112-74.

**OBJECTIVES:**

The Administration supports a combined public health and public safety approach to reducing drug use and its consequences. Three facts guide our drug policy: (1) addiction is a disease that can be treated; (2) people can recover; and, (3) we cannot arrest our way out of the drug problem. Innovative new interventions are needed to fairly and effectively address substance abuse and drug-related crime. The National Drug Control Strategy views drug addiction as a disease, and promotes an improved criminal justice system to help break the cycle of drug use, crime, incarceration, and recidivism.

The Office of National drug Control Policy (ONDCP) will award one or more Federal grants to establish training, technical assistance, and other resources to advance the drug court field and to improve the criminal justice systems practices and effectiveness in addressing substance abusing offenders.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

ONDCP is seeking providers for the following issue areas:

1. Evidence-based Interventions and Systemic Implementation
2. Behavioral Management and Science of Addiction
3. Current and Emerging Issues Facing Drug Courts.

**Applicant Eligibility:**

Organizations with expert knowledge of drug courts and extensive experience in brokering and developing training and technical assistance for drug court professionals are eligible. The trainings and technical assistance will require organizations with relevant subject matter expertise and extensive experience in developing and providing training and technical assistance for a variety of disciplines (e.g. judges, prosecutors, public defenders, defense counsel, probation and parole officers, law enforcement officers, law enforcement executives, court administrators, and treatment providers). Applicants can partner with other entities to achieve required expertise.

**Beneficiary Eligibility:**

Not applicable.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102.

OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Upon approval by the Office of National Drug Control Policy, a grant letter and conditions are sent to the grantee.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 30 to 60 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The grant will be available for 12 months, with extensions possible. Method of awarding/releasing assistance: lump sum.

**Reports:**

Program report required every 6 months and final report to be submitted within 90 days. They should include information on the trainings, technical assistance and information developed, conducted and delivered during the reporting period. Including number of trainings provided, what information has been developed, what type of technical assistance was provided, how many participants received training, and how many entities received technical assistance. Program reports should also include information on performance measures outlined below. Federal Financial Report required quarterly and final report to be submitted within 90 days. No progress reports are required. Federal Financial Report required quarterly and final report to be submitted within 90 days. Successful applicants must provide data that measure the results of their work. Report will include measures of adhering to project timelines, meeting deliverables schedules, obtaining input from customers, and seeking feedback from stakeholders. Applicants must describe any baseline data that will be used, the method to store data, and any safeguards put in place to protect personally identifiable information. Reports are due every 6 months.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years.

**Account Identification:**

11-1460-0-1-754.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$1,400,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

\$1.4 million.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Puong DeSear 750 17th Street, NW, Washington, District of Columbia 20503  
Email: phuong\_desear@ondcp.eop.gov Phone: 202-395-6739

**Website Address:**

No Data Available

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications that meet basic minimum requirements will be evaluated, scored and rated based on the following criteria: statement of the problem, program design and implementation, capabilities and competencies, performance measure data collection plan, budget, and budget narrative.

**DEPARTMENT OF HOMELAND SECURITY**

**97.005 STATE AND LOCAL HOMELAND SECURITY NATIONAL TRAINING PROGRAM**

FY 2012 HSNTF and CTG

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Homeland Security Act of 2002, as amended, , Public Law 107-296, 6 U.S.C 101, et seq, as amended by Consolidated Appropriations Act, 2012, Division D, Title III, State and Local Programs , Public Law 112-74.

**OBJECTIVES:**

The Fiscal Year (FY) 2012 Homeland Security National Training Program (HSNTF) provides funds to support nationwide training initiatives and further the mission of FEMA. Based upon their current activities and identified needs, the National Preparedness Directorate (NPD) will invite select organizations to be eligible to apply under this solicitation. Cooperative agreements will be awarded to these eligible applicants to design, develop, and deliver training content and support for Federal, State, local, and tribal jurisdictions in accordance with FEMA doctrine and approved Homeland Security Strategies. Funding for this years solicitation is authorized by The Department of Homeland Security Appropriations Act, 2012 (Public Law No: 112-10).

The FY 2012 Continuing Training Grant (CTG) funds are available to develop and deliver innovative training programs that are national in scope, and meet emerging training needs in our Nations communities. Funding will be provided in the form of cooperative agreements directly to the selected applicants to design, develop, and deliver training content and support for Federal, State, local, and tribal jurisdictions in accordance with FEMA doctrine and approved Homeland Security Strategies. Training provided under these program will address the DHS mission areas defined in the Quadrennial Homeland Security Review (QHSR) which outlines the strategic framework to guide the activities of participants in homeland security toward a common end. At a minimum this training will specifically address the following mission areas and PPD8:

Preventing Terrorism and Enhancing Security  
Safeguarding and Securing Cyberspace  
Ensuring Resilience to Disasters.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Provides funding through cooperative and inter-agency agreements to the National Domestic Preparedness Consortium, Rural Domestic Preparedness Consortium, and Continuing Training Grants program training providers for the purposes of the development and delivery of all-hazards training for Federal, State, local, and tribal emergency responders. Refer to program guidance for specific information on eligibility. These funds must be used to develop and deliver training to State, local and tribal personnel. Other special conditions will apply to the recipients of the award. A portion of these funds will be awarded in specific focus areas identified in the funding opportunity announcement.

**Applicant Eligibility:**

The HSNTF is a closed solicitation, available only to eligible organizations. Non-Federal members that make up the National Domestic Preparedness Consortium (NDPC) which consist of the following institutions: Louisiana State University, Texas A&M, New Mexico Institute of Mining and Technology, and the University of Hawaii, and Continuing Training Grant (CTG) programs will be an open and fair competition to develop and deliver training in selected focus areas.

This year Continuing Training Grants (CTG) identifies important focus areas for applicants to use in the development of their application and concept paper. Applicants may submit only one concept paper per focus area. Concept papers will undergo a review to determine whether all required format guidelines and selection criteria are met. Following the concept paper review, selected applicants will be invited to submit a full proposal, concluding with a rigorous, competitive peer review process used to select programs for award.

**Beneficiary Eligibility:**

State and Local units of government, public non-profits, and Federally recognized tribal entities.

**Credentials/Documentation:**

Applicants must complete the Application for Federal Assistance SF-424. Applicants must also possess a Data Universal Numbering System (DUNS). D-U-N-S, is a system developed and regulated by Dun & Bradstreet (D&B).

(FOA). OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the HSNTF and CTG FOAs.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to HSNTF and CTG FOAs.

**Renewals:**

Potential continuation or extensions of some awards. Refer to HSNTF/CTG FOA.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to FOA. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to FOA.

**Reports:**

Semi-annual progress reports. Quarterly Financial Reports. Semi-Annual Progress Reports. Semi-Annual Progress Reports are required. Grantees are required to submit Quarterly Financial Status Reports (FSR). The FSRs are due 30 days after the end of each calendar quarter on January 30, April 30, July 30,

and October 30. Final FSR report is due 90 days after the expiration or termination of grant award, whichever occurs first. Semi-Annual Progress Reports (SAPR) are required semi-annually and due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Final SAPR report is due 90 days after the expiration or termination of grant award, whichever occurs first.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 11 \$73,688,195; FY 12 est \$70,025,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to FOA.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Instructor Led Courses 8,389, Students Trained 199,007, Web Based Training (WBT) 26,165, All Students Trained 225,172, Total Contact Hours 2,748,191. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to HSNTF and CTG FOA.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA), National Preparedness Directorate (NPD), Grants Program Directorate (GPD) Techworld, Control Desk, 4th Floor, Room 427  
500 C Street SW, Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 927-5646

**Website Address:**

<http://www.fema.gov/government/grant/index.shtml>

**RELATED PROGRAMS:**

97.007 Homeland Security Preparedness Technical Assistance Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: The Fiscal Year (FY) 2011 Homeland Security National Training Program (HSNTF) provides funds to support nationwide training initiatives and further the mission of FEMA. Based upon their current activities and identified needs, the National Preparedness Directorate (NPD) will invite select organizations to be eligible to apply under this solicitation. Fiscal Year 2012: FY 2012 HSNTF must support the FEMA all-hazards mission, and should address several key areas in order to ensure continued federal support. These priority areas include the use of existing training mechanisms, linking training to exercise activities, incorporating National Preparedness System

components including the Whole Community approach, utilizing a national delivery approach, and delivering curriculum via an integrated, collaborative approach. Refer to the FY 2012 HSNTF and CTG FOA. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the FY 2012 HSNTF and CTG FOA.

**97.007 HOMELAND SECURITY PREPAREDNESS TECHNICAL ASSISTANCE PROGRAM**

HSPTAP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Appropriations Act, 2012, Public law 112-74, Division D, Title III, Public Law 112-74.

**OBJECTIVES:**

To provide direct assistance to state, regional, local, and tribal jurisdictions as well as other homeland security organizations, to improve their ability to prevent, protect against, respond to, recover from, and mitigate major events, including threats or acts of terrorism.

**QHSR Linkage:**

Mission 5: Ensuring Resilience to Disasters

Goal 5.2 Enhance Preparedness

Goal 5.3: Ensure Effective Emergency Response

**PPD-8 Linkage:**

This program fully aligns with the National Preparedness Goal, National Preparedness System. In addition, the NHSC will be instrumental in the development of the Prevent, Protect, Respond, Recover, and Mitigate frameworks.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For costs associated with developing and delivering technical assistance services to State and local homeland security personnel to address / support the full spectrum of mission areas, national priorities, and target capabilities as outlined in the National Preparedness Guidelines, National Priorities, and national strategies and doctrine related to homeland security. Refer to program guidance for complete information. There are restrictions regarding usage of funds, compliance with program requirements, copyrights, patents, and other restrictions. Refer to program guidance for complete information. Refer to program guidance.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

State and local units of government.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. The application

submitted through Grants.gov must include the HSPTAP Program Narrative, Budget, and Budget Narrative. Incomplete applications will not be accepted. Refer to program guidance for additional information regarding application procedures and deadlines.

**Award Procedure:**

FEMA will review applications for completeness and soundness of proposed methodologies and pricing. An applicants approach to implementing and completing the projects outlined in the program guidance must be consistent with existing DHS / FEMA policy. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued. Refer to program guidance for additional information regarding award procedures.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Announcement of award approval is made through the electronic Grants Management System (GMS). Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Refer to program guidance for additional information. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**



(Cooperative Agreements) FY 11 \$275,000; FY 12 est \$275,000; and FY 13 est \$275,000

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Regulations at 44 CFR 206.8, 44 CFR 206.141, and DOL Regulations at 20 CFR Part 625.

**Regional or Local Office:**

None. Department of Homeland Security/Techworld  
Control Desk, 4th Floor, Room 427  
(1-800) 368-6498

Centralized Scheduling and Information Desk (CSID) CSID is open from 8:00 am to 7:00 pm., Eastern Standard Time, Monday through Friday.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency  
(FEMA) 500 C Street, SW, Sixth Floor

, Washington, District of Columbia 20472-3100 Email: askcsid@dhs.gov  
Phone: (202) 212-1117

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

97.067 Homeland Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.008 NON-PROFIT SECURITY PROGRAM**

NSGP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Security Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329; Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

The Fiscal Year (FY) 2012 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program (NSGP) provides funding support for target hardening and other physical security enhancements and activities to nonprofit organizations that are at high risk of terrorist attack and located within one of the specific UASI-eligible Urban Areas. The intent of the FY 2012 NSGP is to competitively award grant funding to assist nonprofit organizations in obtaining the resources required to support the National Preparedness Goals (NPGs) associated mission areas and core capabilities. While funding is provided specifically to high-risk nonprofit organizations, the program seeks to integrate nonprofit preparedness activities with broader State and local preparedness efforts. It is also designed to promote coordination and collaboration in emergency preparedness activities among public and private community representatives, as well as State and local government agencies. The FY 2012 NSGP plays an important role in the implementation of the Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities outlined in the NPG. Core capabilities are essential for the execution of each of the five mission areas, however are not exclusive to any single level of government or organization but rather require the combined effort of the whole community. The FY 2012 NSGP supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs. Examples of tangible outcomes from the FY 2012 NSGP include building and sustaining emergency management capabilities through:

Building and Sustaining core capabilities.

Whole Community Approach to Security and Emergency Management.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The FY 2012 NSGP provides funding support for target hardening and other physical security enhancements and activities to nonprofit organizations that are at high risk of terrorist attack and located within one of the specific UASI-eligible Urban Areas. The intent of the FY 2012 NSGP is to competitively award grant funding to assist nonprofit organizations in obtaining the resources required to support the NPG associated mission areas and core capabilities. While funding is provided specifically to high-risk nonprofit organizations, the program seeks to integrate nonprofit preparedness activities with broader State and local preparedness efforts. It is also designed to promote coordination and collaboration in emergency preparedness activities among public and private community representatives, as well as State and local government agencies. NSGP grant recipients and sub-recipients may only use NSGP grant funds for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. In FY 2012, the total amount of funds distributed under this grant program will be \$10,000,000. Each nonprofit organization must apply through their State Administrative Agency (SAA) for up to a \$75,000 grant award. The FY 2012 NSGP funds will be allocated to organizations characterized as Section 501(c)(3) organizations under the Internal Revenue Code of 1986 (26 U.S.C.) and deemed at high risk by the Secretary of the Department of Homeland Security. Such nonprofit organizations must be located within one of the designated FY 2012 UASI-eligible Urban Areas.

**Applicant Eligibility:**

The SAA is the only entity eligible to apply for FY 2012 NSGP funds on behalf of eligible nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986) determined to be at high risk of terrorist attack and are located within one of the designated FY 2012 UASI-eligible Urban Areas. Eligible nonprofit organizations must provide their applications to their respective SAA in order to be considered for FY 2012 NSGP funding. SAAs, in coordination with the Urban Area Working Groups (UAWGs), are encouraged to notify and actively inform eligible nonprofit organizations of the availability of the FY 2012 NSGP especially organizations that have not previously applied for or received NSGP funding. It is important to ensure that ALL eligible nonprofit organizations are afforded an opportunity to seek funding. Criteria for determining eligible applicants that are at high risk of terrorist attack include, but are not limited to:

Identification and substantiation (e.g., police reports or insurance claims) of prior threats or attacks against the nonprofit organization or closely related organizations (within or outside the U.S.) by a terrorist organization, network, or cell.

Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site as possible target of terrorism.

Role of the applicant nonprofit organization in responding to or recovering from terrorist attacks.

Findings from previously conducted risk assessments including threat or vulnerability.

**Beneficiary Eligibility:**

Local governments and private nonprofit institutions/organizations.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select Apply for Grants, then select the CFDA number (97.008) or the FOA number (DHS XX-XXX-XXX-XX-XX) and Download Application Package. Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select Download Application Package, and then follow the prompts to download the application package. To download the instructions, go to Download Application Package and select Instructions Content and Form of Application. Application via Grants.gov. All applicants must file their applications using the Administrations common electronic storefront <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>. The application must be started and submitted using grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

Standard Form 424, Application for Federal Assistance

Applying for FY 2012 NSGP funds requires a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 as soon after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to [www.grants.gov](http://www.grants.gov). The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to grants.gov to complete Step 1 could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is May 4, 2012. The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. Unless otherwise referenced, the ND Grants system includes the following required forms and submissions:

Standard Form 424A, Budget Information (Non-construction)

Standard Form 424B, Standard Assurances (Non-construction)

Standard Form 424C, Budget Information (Construction)

Standard Form 424D, Standard Assurances (Construction)

Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)

Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying

FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (available at

<http://www.fema.gov/library/viewRecord.do?id=2628>)

Investment Justifications from eligible nonprofits (Office of Management and Budget [OMB] Number 1660-0110/FEMA Form 089-25)

SAA Prioritization of Investment Justifications (in rank order) in FEMA-provided template (OMB Number 1660-0110/FEMA Form 089-24) The program title listed in the CFDA is Non-profit Security Grant Program. The CFDA number is 97.008.

Dun and Bradstreet Data Universal Numbering System (DUNS) Number. The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to

obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.

Valid CCR. The application process also involves an updated and current registration by the applicant, which must be confirmed at <http://www.ccr.gov>.

#### **Award Procedure:**

Applications will be reviewed in two phases to leverage local knowledge and understanding of the applicants risk of a terrorist attack, while also ensuring coordination and alignment with Federal, State, and local preparedness efforts.

State Review: Applications must be submitted by the nonprofit organization to the SAA/UAWG (if they are separate entities), no later than 11:59 p.m. EDT, April 4, 2012 to ensure adequate time for a State review of nonprofit applications. The SAA, in coordination with the UAWG, is encouraged to conduct an initial review of all submitted applications from nonprofit organizations to first determine eligibility based on the established criteria. Once eligibility has been determined, the SAA will review and score compliant IJs using the FY 2012 NSGP Scoring Worksheet (see Appendix D- Investment Justification Scoring Worksheet of the FY 2012 NSGP Full FOA) and FY 2012 Prioritization of Investment Justifications Template (Office of Management and Budget Number 1660-0110/FEMA Form 089-24). The SAA should provide the scores from the State Review along with a prioritized list of NSGP projects. Each application should receive a unique rank. Rankings should be developed based on these two factors:

Need The relative need for the nonprofit organization compared to the other applicants.

Impact The potential impact of the nonprofit organization in achieving maximum prevention and/or protection results at minimal cost.

The SAA should ensure that information noted in the Prioritization of Investment Justifications accurately reflects the data noted in each organizations IJ. While completing the Prioritization of Investment Justifications, the SAA should verify the Dun and Bradstreet Data Universal Numbering System (DUNS) Number, Central Contractor Registration (CRR), 501(c)(3) Number, and legal organization name. Tracker information submitted by the SAA pertaining to a nonprofit(s) Organization Type and Total Project Cost will be considered during FEMA's review and scoring process.

Federal Review: The highest-scoring IJs from each submitting Urban Area will be reviewed by a panel of Federal evaluators. In order to determine the number of applications that will advance to the Federal Review, FEMA will multiply the available FY 2012 NSGP funding by 1.5 (150%). Applicants will then be selected from each submitting Urban Area, based on their State scores, using a top-down approach until the cumulative funding amount requested has reached 150 percent (150%).

Final Score: To calculate the final score, the sum of each applicants Federal and State scores will be multiplied by a factor of three (3) for non-profit groups that are at a high risk of terrorist attacks due to their ideology, beliefs and mission, by a factor of two (2) for medical and educational institutions, and by a factor of one (1) for all others. All final application scores will then be sorted in descending order and awardees will be selected for funding from highest to lowest until the available FY 2012 NSGP funding has been exhausted. In the event of a tie during the funding determination process, priority will be given to nonprofit organizations that have not received prior year funding and those ranked highest by their SAA. FEMA will use the final results to make funding recommendations to the Secretary of Homeland Security.

NOTE: Upon award, recipients may only fund Investments that were included within the FY 2012 IJs that were submitted to FEMA and evaluated through the Federal review process.

#### **Deadlines:**

Feb 17, 2012 to May 04, 2012 Application Start Date: 02/17/2012

Application Submission Deadline Date: 05/04/2012 at 11:59:59 PM EDT

Anticipated Funding Selection Date: 06/29/2012

Anticipated Award Date: 09/30/2012

#### **Other Key Dates**

Applying for FY 2012 NSGP funds requires a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 immediately after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form

424 to grants.gov Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step 1 to grants.gov could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is May 4, 2012. For additional details see Section X of the Full FOA.

**Range of Approval/Disapproval Time:**

Applying for FY 2012 NSGP Program funds requires a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 as soon after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to grants.gov Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to grants.gov to complete Step 1 could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is May 4, 2012. The anticipated funding award date will be September 30, 2012.

**Appeals:**

Refer to the FY 2012 NSGP FOA.

**Renewals:**

Refer to the FY 2012 NSGP FOA.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Projected Award Start Date(s): 09/30/2012  
Projected Award End Date(s): 09/30/2014  
Period of Performance: 24 months

The periods of performance outlined above support the effort to expedite the outlay of grant funding and provide economic stimulus. Agencies should request waivers sparingly, and they will be granted only due to compelling legal, policy, or operational challenges. For example, SAAs may request waivers from the deadlines outlined above for discretionary grant funds where adjusting the timeline for spending will constitute a verifiable legal breach of contract by the grantee with vendors or sub-recipients, or where a specific statute or regulation mandates an environmental review that cannot be completed within this timeframe or where other exceptional circumstances warrant a discrete waiver. For more information, refer to the FY 2012 NSGP FOA. See the following for information on how assistance is awarded/released: Based on program need. Grantees must accept their grant awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through official correspondence, e.g., written, electronic signature, signed letter or fax to GPD, and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

**Reports:**

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the system is the award date. Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with

responsibilities under Federal awards.

State Preparedness Report (SPR) Submittal. Section 652(c) of the Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295), 6 U.S.C. 752(c), requires any State that receives Federal preparedness assistance to submit an SPR to FEMA. States submitted the most recent SPR in December 2011 thus satisfying this requirement in order to receive funding under the FY 2012 NSGP.

Biannual Strategy Implementation Reports (BSIR). Grantees are responsible for completing and submitting the BSIR reports, as a complement to the programmatic performance report/SF-PPR. The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives. The first BSIR is not due until at least six months after the award notice has been received by the grantee.

For more information, refer to the FY 2012 NSGP FOA. Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

Grant Close-Out Process. Within 90 days after the end of the period of performance, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

For more information, refer to the FY 2012 NSGP FOA. Performance Progress Report (SF-PPR). Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Approval Number 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Grantees should submit the SF-PPR as an attachment to the ND Grants system. The SF-PPR can be accessed online at [http://www.na.fs.fed.us/fap/SF-PPR\\_Cover%20Sheet.pdf](http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf).

For more information, refer to the FY 2012 NSGP FOA. Grantees are obligated to submit various financial and programmatic reports as a condition of their award acceptance. Please see below for a summary of financial and/or programmatic reports as required. Future awards and funds drawdown may be withheld if these reports are delinquent.

Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund drawdowns may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

Grant Close-Out Process. Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. Monitoring. Grant recipients will be monitored periodically by FEMA staff, both programmatic and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being

met. Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-754.

**Obligations:**

(Formula Grants) FY 11 \$18,962,000; FY 12 est \$10,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 269 NSGP applications were awarded for a total of \$18,962,000. The FY2011 NSGP provided funding support for target hardening activities to nonprofit organizations that are at high risk of terrorist attack and located within one of the specific UASI-eligible Urban Areas. While this funding is provided specifically to high-risk nonprofit organizations under the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10), the program sought to integrate nonprofit preparedness activities with broader State and local preparedness efforts. It was also designed to promote coordination and collaboration in emergency preparedness activities among public and private community representatives, State and local government agencies, and Citizen Corps Councils. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the system is the award date. Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

For more information, refer to the FY 2012 NSGP FOA.

**Regional or Local Office:**

None.

**Headquarters Office:**

Grant Programs Directorate DHS/FEMA  
5071 D Techworld Building  
500 C Street SW  
, Washington, District of Columbia 20472 Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov/government/grant/index.shtm>

**RELATED PROGRAMS:**

97.042 Emergency Management Performance Grants; 97.053 Citizen Corps

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The SAA is the only entity eligible to apply for FY 2012 NSGP funds on behalf of eligible nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986) determined to be at high risk of terrorist attack and are located within one of the designated FY 2012 UASI-eligible Urban Areas. Eligible nonprofit organizations must provide their applications to their respective SAA in order to be considered for FY 2012 NSGP funding. SAAs, in coordination with the UAWGs, are encouraged to notify and actively inform eligible nonprofit organizations of the availability of the FY 2012 NSGP funding. It is important to ensure that ALL eligible nonprofit organizations are afforded an opportunity to seek funding. Criteria for determining eligible applicants that are at high risk of terrorist attack include, but are not limited to:

Identification and substantiation (e.g., police reports or insurance claims) of prior threats or attacks against the nonprofit organization or closely related organizations (within or outside the U.S.) by a terrorist organization, network, or cell.

Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site as possible target of terrorism.

Role of the applicant nonprofit organization in responding to or recovering from terrorist attacks.

Findings from previously conducted risk assessments including threat or vulnerability.

**97.009 CUBAN/HAITIAN ENTRANT PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Economy Act of 1932, 31 U.S.C 1535; Refugee Education Assistance Act of 1980, Executive Order Executive Order 12341, January 21, 1982, Public Law 96-422.

**OBJECTIVES:**

(1) To provide primary resettlement services to Cubans and Haitians, paroled into the United States by the Department of Homeland Security (DHS) for humanitarian reasons and; (2) to provide secondary resettlement assistance to Cuban and Haitian entrants living in south Florida whose initial resettlement did not lead to their achievement of economic self-sufficiency.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance is limited to Cuban and Haitian entrants as defined in the authorizing Act. Federal policy governs further eligibility factors. The scope of services for which funds are available to grantees, or cooperative agreement recipients, are defined in program announcements published in the Federal Register dated March 9, 1981, January 5, 1983, July 5, 1985, April 12, 1988, June 26, 1989, and January 5, 1995. See program announcement published in Federal Register dated March 9, 1981, January 5, 1983, July 5, 1985, April 12, 1988, June 26, 1989, January 5, 1995.

**Applicant Eligibility:**

Public or Private, nonprofit organizations or agencies, and under certain conditions for-profit organizations, agencies, or institutions.

**Beneficiary Eligibility:**

Cuban and Haitian nationals who meet the definition of entrant set forth in Title V, Section 501(e) of Public Law 96-422.

**Credentials/Documentation:**

Persons for whom assistance is authorized through resettlement programs are limited to Cuban and Haitian nationals who possess documentation as described in Title V of the Refugee Education Assistance Act of 1980 (Public Law 96-422). This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

A grant or cooperative agreement may be amended in order to extend the program and budgetary period if funds are available and the proposed amendment does not represent a substantive deviation from previous services or costs. Applications may also be renewed through the competitive process after the end of the program period.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Refer to program guidance document. Cash reports are not applicable. Refer to program guidance document. Refer to program guidance document. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse,

not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0504-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 11 \$7,900,000; FY 12 est \$7,900,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There were 11,139 Cuban and Haitian entrants served. Fiscal Year 2012: It is estimated that over 11,000 Cuban and Haitian entrants will be served. Fiscal Year 2013: It is estimated that over 11,000 Cuban and Haitian entrants will be served.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Several regulations apply to the resettlement grants. Until further notice, these include but are not limited to: 28 CFR Part 42, Sub-parts C,G, H and OMB Circular Nos. A-110, A-122, A-133, and Federal Acquisition Regulation (FAR), Sub-part 32.1.

**Regional or Local Office:**

See Regional Agency Offices. DHS/USCIS/IO/HAB/Miami CHEP Office  
99 SE 5th Street  
Miami, FL 33131.

**Headquarters Office:**

DHS/USCIS/IO/HAB 20 Massachusetts Ave. N.W., 3rd Floor  
Mailstop 2100, Washington, District of Columbia 20529 Phone: (1-800) 375-5283

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals. The applicant provides for effective program structure and accountability as demonstrated by administrative and programmatic controls, as well as program and client records and reports. (10 POINTS) F. The adequacy of the program evaluation plan, including the methodology and criteria for evaluating effective of the program in resettling the clients. (10 POINTS). Programmatic control, predictability and accountability as evidenced by the structure and continuity inherent in the program design. (15 POINTS) 5. The adequacy of the plans for: a. developing and updating individual client service plans; and, b. the proposed system of case management. (10 POINTS) 6. The reasonableness of the proposed budget and budget narrative, in relation to proposed program activities. (10 POINTS) 7. The plan for program evaluation, including the methodology and criteria for evaluation the program. (5 POINTS) 8. The degree to which the application has provided written documented evidence of community support and acceptance of the program. (5 POINTS).

**97.010 CITIZENSHIP EDUCATION AND TRAINING**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Appropriations Act, 2012  
Division DDepartment Of Homeland Security Appropriations Act, 2012, Title V, Section 551, Public Law 112-74.

**OBJECTIVES:**

The goal of the grant program is to expand the availability of quality citizenship preparation services for permanent residents in communities across the nation. Activities that support this goal include making citizenship instruction and naturalization application services accessible to low income and other underserved permanent resident populations; developing, identifying, and sharing promising practices in citizenship preparation; supporting innovative and creative solutions to barriers faced by those seeking naturalization; increasing the use of and access to technology in citizenship preparation programs; and engaging receiving communities in the citizenship and civic integration process.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Contracts)

**USES AND USE RESTRICTIONS:**

DHS grant funds may only be used for the purpose set forth in the agreement, and must be consistent with the statutory authority for the award. Expenses that may be paid for with grant funds include the following:

Resources to support citizenship instruction and naturalization application services, including staff salaries, textbooks/materials, standardized assessments, software, etc.

Restrictions on use of funds will be identified in the announcement/program guidance and award provisions. See program guidance.

**Applicant Eligibility:**

Community- and faith-based organizations, public libraries, as well as adult educators conducting citizenship education classes for aliens, are eligible as described in the section above.

**Beneficiary Eligibility:**

Immigrant Service Providers; Refugee/Alien.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Grantees must reapply for continued funding.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Monetary awards may be subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to file:

1. quarterly performance and financial reports during the performance period, and
2. final performance and financial reports within three months of the close of performance period. Federal Financial Reports, SF-425, are due 30 days after each calendar quarter and within three months of the close of the performance period. Grantees are required to file:
  1. quarterly performance reports during the performance period, and
  2. final performance reports within three months of the close of performance period. Federal Financial Reports, SF-425, are due 30 days after each calendar quarter and within three months of the close of the performance period. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0300-0-1-751.

**Obligations:**

(Project Grants (Contracts)) FY 11 \$9,000,000; FY 12 est \$4,960,000; and FY 13 est \$11,000,000

**Range and Average of Financial Assistance:**

Not applicable for dissemination of technical information projects.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 12,758 citizenship students enrolled  
15,096 screened for naturalization eligibility  
21,533 permanent residents served. Fiscal Year 2012: Grant recipients plan to provide citizenship education and naturalization application preparation services to approximately 15,000 LPRs from nearly 90 countries, including Mexico, China, El Salvador, Haiti, Vietnam, Somalia, Burma, and Bhutan.  
Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

DHS/Grants & Assistance Division/Office of Procurement Operations 245 Murray Lane, S.W., Building 410; Mail Stop 0115, Washington, District of Columbia 20528 Phone: (202) 447-5589

**Website Address:**

<http://www.uscis.gov/grants>

**RELATED PROGRAMS:**

84.002 Adult Education - Basic Grants to States

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.012 BOATING SAFETY FINANCIAL ASSISTANCE****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Sport Fish Restoration and Boating Act of 2005/State Boating Safety Financial Assistance, 46 U.S.C 13101-13109.

**OBJECTIVES:**

To encourage greater State participation and uniformity in boating safety, permit the States to assume the greater share of boating safety education, assistance, and enforcement activities, and to assist the States in developing, carrying out and financing their recreational boating safety programs. Awards are also made available to national nonprofit public service organizations to support national recreational boating safety activities.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

Acquisition, maintenance and operating costs of State boating safety program facilities, equipment, and supplies; personnel salaries and reimbursable expenses; costs of training personnel; public boating safety education; cost of acquiring, constructing and repairing public access sites; costs of administering the program; national boating safety activities of national nonprofit public service organizations; and other expenses which the Secretary considers appropriate. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year. States (includes Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) are eligible applicants.

**Applicant Eligibility:**

States (including Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) having a Coast Guard-approved boating safety program may apply for financial assistance. States may not receive more than one-half of the total costs incurred for their boating safety program. States must have a boating safety program as described in 46 U.S.C. 13102(c) to be eligible for a full share of the funds. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year.

**Beneficiary Eligibility:**

See program guidance.

**Credentials/Documentation:**

Applicant Eligibility: States (including Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas, and the District of Columbia) having a Coast Guard-approved boating safety program may apply for financial assistance. States may not receive more than one-half of the total costs incurred for their boating safety program. States must have a boating safety program as described in 46 U.S.C. 13102 (c) to be eligible for a full share of the funds. National nonprofit public service organizations may apply and receive a combined total of up to 5 percent of the funds available in any 1 year.

Cost of State programs will be determined in accordance with 46 U.S.C. 13107(b) and OMB Circular No. A-87. The Federal cost principles contained in OMB Circular No. A-122 shall be used in determining costs applicable to national nonprofit public service organizations. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the State application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Will be considered.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Sport Fish Restoration and Boating Act of 2005, Chapter 46, Part 13101-13109.

Matching Requirements: Percent: 50.%. One-third of the funds available to the States shall be divided equally among eligible States; one-third shall be divided among eligible States based on the ratio of vessels numbered under approved State numbering systems; the remaining one-third shall be divided among eligible States based on the ratio of State funds spent for State boating safety programs in the previous fiscal year. The Federal share of funds expended on boating safety may not exceed 50 percent of total cost of a State Program. Funds remain available for obligation by the State for 3 years following date of allocation. Not more than 5 percent of the appropriation may be allocated to national nonprofit public service organizations. There is no matching requirement for grants to nonprofit organizations. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: allocation; request and receipt; lump sum.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Refer to program guidance document. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years following grant closeout or final audit, whichever is later. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress

reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8149-0-7-403.

**Obligations:**

(Project Grants) FY 11 \$117,699,203; FY 12 est \$113,199,495; and FY 13 est \$116,221,157

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Coast Guard entered into contractual obligations with 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, Northern Mariana Islands, and 15 national nonprofit public service organizations. Fiscal Year 2012: The Coast Guard will enter into contractual obligations with 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, Northern Mariana Islands, and national nonprofit public service organizations. Fiscal Year 2013: The Coast Guard will enter into contractual obligations with 50 States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, Northern Mariana Islands, and national nonprofit public service organizations.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13 (States) and 49 CFR Part 19 (nonprofit organizations); Office of Management and Budget Circular Nos. A-87; A-102; A-110; A-122; A-133; "Grant Management Manual for the National Nonprofit Organization Recreational Boating Safety Grant Program (COMINST M16755.4);" and the State Recreational Boating Safety Program State Guide (COMDTPUB P16755.3).

**Regional or Local Office:**

None.

**Headquarters Office:**

Pavlo Oborski, Grants Management Branch Chief 2100 Second Street, SW., Stop 7581, Washington, District of Columbia 20593 Phone: (202) 372-1055

**Website Address:**

<http://www.uscgboating.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance document.

**97.016 REIMBURSEMENT FOR FIREFIGHTING ON FEDERAL PROPERTY**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974 as amended, 15 U.S.C 2201 et seq.

**OBJECTIVES:**

To provide that each fire service organization which engages in firefighting operations on Federal property may be reimbursed for their direct expenses and direct losses (those losses and expenses that are not considered normal operating expenses) incurred in firefighting.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Reimbursement is provided only for direct costs and losses over and above normal operating costs.

**Applicant Eligibility:**

Fire Departments, (volunteer and paid) of the States, District of Columbia, Commonwealths, Territories and Possessions of the United States, and Indian lands that the U.S. holds technical legal title to, are eligible to apply.

**Beneficiary Eligibility:**

Fire departments.

**Credentials/Documentation:**

See 44 CFR 151 for requirements. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. See 44 CFR 151 for details.

**Award Procedure:**

None.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 90 days.

**Appeals:**

30 days after receiving an initial notification of decision.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

See Program Guidance. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$2,700; FY 12 est \$5,000; and FY 13 est \$0



**Range and Average of Financial Assistance:**

From a few dollars to \$500,000 (no stated limit).

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Reimbursement made for fire fighting on government property. Fiscal Year 2012: Reimbursement made for fire fighting on government property. Fiscal Year 2013: Reimbursement will be made for fire fighting on government property.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Section 11 of the Federal Fire Prevention and Control Act of 1974; Public Law 93-498; 44 CFR 151.11.

**Regional or Local Office:**

None.

**Headquarters Office:**

Headquarters: Dept of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane, Bldg 410, Washington, District of Columbia 20523 Phone: (1-866) 927-5646

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Fire departments which fight fires on Federal property for which they are not otherwise reimbursed may be reimbursed under this program for direct losses and direct expenses over and above normal operating expenses. The amount of reimbursement is subject to availability of funds (see 44 CFR 151.12). All claims must be accompanied by sufficient supporting data to prove expenses and losses incurred in the amount claimed.

**97.018 NATIONAL FIRE ACADEMY TRAINING ASSISTANCE**

Student Stipend Reimbursement Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002, Public Law 107-296; Federal Emergency Management Agency, Executive Order 12127, 44FR 19367, 3CFR, 1979 Comp P 376; Federal Fire Prevention and Control Act of 1974, Section 21, Public Law 93-498.

**OBJECTIVES:**

To provide travel stipends to students attending Academy courses. National Fire Academy training assists first responders and emergency managers in building and improving capabilities necessary to prepare, prevent, protect against, mitigate the effects of, respond to, and recover from man-made and natural disasters.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

National Fire Academy training assists first responders and emergency managers in building and improving capabilities necessary to prepare, prevent, protect against, mitigate the effects of, respond to, and recover from man-made and natural disasters. Presently, the program covers reimbursement for the cost of a 21-day pre-purchase, nonrefundable ticket for round-trip transportation by common carrier, or privately owned vehicle mileage reimbursement not to exceed the cost of the airline ticket and when appropriate baggage cost for one bag; for National Fire Academy Sponsored on-campus program courses at the National Fire Academy; and a limited stipend for various National Fire Academy Sponsored off-campus delivery courses throughout the nation. For National Fire Academy Sponsored on-campus courses, students are required to pay the cost of meals daily. For National Fire Academy off-campus courses, a limited stipend of up to \$100 for a one-week course and up to \$200 for a two-week course is provided to help offset students' transportation and lodging.

Reimbursements are not made to Federal employees who are attending on behalf of their employer, employees from private industry, or foreign students. See Program Guidance. See Program Guidance.

**Applicant Eligibility:**

Any student who is a member of a fire department or has significant responsibility for fire prevention and control and has been accepted into an eligible course at the National Fire Academy may apply for stipend reimbursement. Federal or private industry employees or foreign students may be accepted into National Fire Academy courses but are not eligible for stipend reimbursement.

**Beneficiary Eligibility:**

Student or sponsoring organization.

**Credentials/Documentation:**

Student Stipend Agreement (FEMA Form 75-3) and Student Stipend Agreement (Amendment) (FEMA Form 75-3a) accompanied by a copy of the required supporting documentation. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application is made to the National Emergency Training Center Admission's Office using the Student Stipend Agreement (FEMA Form 75-3) and Student Stipend Agreement (Amendment) (FEMA Form 75-3a) after acceptance into the course. The Student Stipend Agreement must be accompanied by the required supporting documentation. The completed agreement package will be processed immediately.

**Award Procedure:**

The completed agreement package will be processed immediately. A U.S. Department of the Treasury payment schedule will be prepared and a reimbursement check issued directly to the beneficiary.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the National Fire Academy, or his designee.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse,

not later than 9 months after the end of the grantees fiscal year.

**Records:**

None.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Salaries) FY 11 \$1,432,230; FY 12 est \$1,500,000; and FY 13 est \$1,330,000

**Range and Average of Financial Assistance:**

Refer to Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The National Fire Academy trained over 105,000 fire and emergency services personnel through NFA Sponsored 2/6/10 day on- and off- courses, State sponsored 2/6/day courses, and NFAOnline distance learning courses. Fiscal Year 2012: It is anticipated that the National Fire Academy will train an estimated 100,000 fire and emergency services personnel through NFA Sponsored 2/6/10 day on- and off- courses, State sponsored 2/6 day course, and NFAOnline distance learning courses. Fiscal Year 2013: It is anticipated that the National Fire Academy will train an estimated 10,000 fire and emergency services personnel through NFA Sponsored 2/6/10 day on- and off- courses, State Sponsored 2/6 day courses, and NFAOnline distance learning courses.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

National Fire Academy Course Catalog, course schedules.

**Regional or Local Office:**

None.

**Headquarters Office:**

Homeland Security, Federal Emergency Management Agency, U.S. Fire Administration 500 C Street, S.W., Washington, District of Columbia 20472  
Email: NETC-Admissions@dhs.gov Phone: (1-800) 238-3828

**Website Address:**

<http://www.usfa.fema.gov>

**RELATED PROGRAMS:**

97.043 State Fire Training Systems Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

**97.022 FLOOD INSURANCE**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The National Flood Insurance Act of 1968, 42 U.S.C. 4001 et seq. authorized the National Flood Insurance Program (NFIP), Title 13, Public Law 90-448, 44CFR U.S.C Subchapter B.

**OBJECTIVES:**

To enable personal and business property owners and renters to purchase flood insurance coverage for buildings and/or contents in low-to-moderate flood risk areas, as well as in high-risk flood zones to reduce taxpayer provided federal disaster assistance and to promote wise floodplain management practices in the Nation's high-risk flood zones.

**TYPES OF ASSISTANCE:**

INSURANCE

**USES AND USE RESTRICTIONS:**

The maximum limits of flood insurance coverage for a building and/or personal property, eligible building types, and more detailed additional flood insurance information is contained in the Flood Insurance Manual available online at <http://www.fema.gov/business/nfip/manual.shtm>. In a Regular Program Community the residential building limit is \$250,000 and non-residential building limit is \$500,000. The residential contents limit is \$100,000 and the non-residential contents limit is \$500,000. Lower limits apply to a limited

number of Emergency Program buildings and buildings in Alaska, Guam, Hawaii and U.S. Virgin Islands and are listed in the Flood Insurance Manual. The Flood Disaster Protection Act of 1973, as amended by the Flood Insurance Reform Act of 1994, requires flood insurance purchased as a condition of any form of Federal or federally-related financial assistance, including Federal grants, disaster assistance, SBA low-interest disaster assistance loans, and mortgage loans from federally regulated lending institutions and FHA, Farm Credit Administration, VA or guaranteed mortgages secured by buildings in high-risk flood zones, which are called the Special Flood Hazard Areas (SFHAs). Communities having one or more identified SFHAs must enter into the NFIP within 1 year of the official identification of the SFHAs or be denied Federal financial assistance for acquisition or construction purposes within those areas. Federally regulated conventional sources (i.e., banks, savings and loan associations, or similar lending institutions) are permitted to make conventional loans secured by improved real estate or Manufactured Housing located or to be located in SFHAs of a nonparticipating community which has been formally identified as flood-prone for more than 1 year, but Federal disaster assistance for acquisition or construction purposes will not be available in the event of flood or flood-related property damage. The conventional lender is statutorily required to notify the borrower, before making a loan in such an area, that Federal flood insurance and disaster assistance will not be available to the property. The Coastal Barrier Improvement Act of 1990 amended the Coastal Barrier Resources Act of 1982 by greatly enlarging the acreage included in the designated coastal barrier resources system unit. The 1990 Act also added "otherwise protected areas." "Otherwise protected areas" are defined as an undeveloped coastal barrier within the boundaries of an area established under Federal, State, or local law, or held by a qualified organization, primarily for wildlife refuge, sanctuary, recreational or natural resource conservation purposes. The 1982 Act prohibits the sale of new flood insurance on or after October 1, 1983 for new construction or substantial improvements of structures located on any coastal barrier with the Coastal Barrier Resources System designated by this Act. The 1990 Act prohibits the sale of new flood insurance on or after November 16, 1990 for new construction or substantial improvements of structures located on any new coastal barrier within the Coastal Barrier Resources System designated or modified by this Act. It also prohibits the sale of new flood insurance on or after November 16, 1991 for new construction or substantial improvements of structures located in an otherwise protected area that are not used in a manner consistent with the purpose of the otherwise protected area. Subsequent pieces of legislation have added or deleted areas. Also, the Secretary of the Interior is authorized to make technical revisions and modifications to the boundaries of such units as may be necessary.

**Applicant Eligibility:**

Federal flood insurance can be made available in any community (a State or political subdivision thereof with authority to adopt and enforce floodplain management measures for the areas within its jurisdiction) that adopts and enforces floodplain management measures consistent with the National Flood Insurance Program regulations.

**Beneficiary Eligibility:**

Residential and business property owners, renters and state owned property.

**Credentials/Documentation:**

Same as Applicant Eligibility. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Community officials must submit an NFIP eligibility application form, which is available from the FEMA, together with: copies of adopted floodplain management measures meeting the minimum standards of 44 CFR Section 60.3(a), 60.3(b), 60.3(c), 60.3(d), and/or 60.3(e), as appropriate for the type of flood hazards identified; a list of any incorporated communities within the applicant's boundaries; and estimates of population and, by kind, of buildings

situated in the known flood-prone areas of the community. Such Applications should be submitted to the Mitigation Directorate, FEMA, Washington, DC 20472.

**Award Procedure:**

FEMA reviews the application and if complete, designates the community as participating. The community is informed of its admission, and notice is published in the Federal Register. Residents and property owners may then purchase flood insurance through any property insurance agent or broker.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

For complete applications, a maximum of 10 working days is allowed for review and notification.

Communities with one or more identified special flood hazard areas must enter the program within 1 year after the identification of those areas or else prohibitions against Federally related financial assistance for acquisition or construction purposes in identified special flood hazard areas take force. Once the community does qualify, after the prescribed date, these prohibitions are removed. Adequate floodplain management measures must be in effect within 6 months of the date that the special flood hazard area is identified and within 6 months of the date flood water surface elevations are provided.

**Appeals:**

Communities are allowed to appeal flood-prone identification and are also given an opportunity to appeal proposed flood elevation determinations for new construction and substantial improvement of existing structures in the special flood hazard areas. Notice of the proposed elevations is published in the Federal Register and is sent directly to the local governments. Following notification to the local government, the notice of proposed flood elevation determinations is published twice during a 10-day period in a prominent newspaper. The local community and its individual residents then have 90 days following the second newspaper notice to submit any scientific or technical data that tend to negate or contradict FEMA's findings. If a conflict in data exists and cannot be resolved at the community level, the community consolidates all individual appeals for review by FEMA. FEMA shall resolve the appeals by consultation with officials of the local government, or by submission of conflicting data to an independent scientific body, or by administrative hearings.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Every two years to FEMA on progress of the floodplain management program. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Specific elevation information on proposed new construction or substantial improvements in the area of special flood hazard. Backup data for biennial report.

**Account Identification:**

70-4236-0-4-453.

**Obligations:**

(Insurance) FY 11 \$156,686,898; FY 12 est \$171,000,000; and FY 13 est \$171,000,000

**Range and Average of Financial Assistance:**

Claims paid: \$1 to \$1,900,000; \$21,831.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Implemented a comprehensive national marketing program to increase the number of NFIP policies using means such as television advertising, direct mailing, public relations activities, websites, and marketing and training support for insurance companies and agents who sell flood insurance. Fiscal Year 2012: Establish NFIP Implementation Team (Flood Insurance and Reform Act of 2012, Public Law 112-141) to define and coordinate priorities, integrate implementation across FEMA and FIMA, and de-conflict any cross-cutting issues. Fiscal Year 2013: Implement provisions and policy changes of the Flood Insurance Reform and Modernization Act of 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Regulation 44 CFR 59 et seq. Publication, "Answers to Questions About the National Flood Insurance Program," "Mandatory Purchase of Flood Insurance Guidelines," "Elevated Residential Structures," "Guide To Flood Insurance Rate Maps," "Flood Insurance Manual" (agents manual), "National Flood Insurance Program. Application Forms," "Manufactured Home Installation in Flood Hazard Areas," "Coastal Construction Manual," "Alluvial Fans: Hazards and Management," "Floodplain Management in the United States: An Assessment Report," "Design Guidelines for Flood Damage Reduction" and "Repairing Your Flooded Home," "Technical Bulletin Series (FIA-TB)" "Answers to Questions About Substantially Damaged Buildings," "Reducing Losses in High Risk Flood Hazard Areas," "Design Manual for Retrofitting Flood- Prone Residential Structures" and "Flood Proofing Non-Residential Structures."

**Regional or Local Office:**

See Regional Agency Offices. NFIP Regional Offices are listed online at: [http://www.fema.gov/business/nfip/nfip\\_regions.shtm](http://www.fema.gov/business/nfip/nfip_regions.shtm) Contact the appropriate FEMA regional office, or the State office responsible for coordinating the NFIP activities.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 1800 South Bell Street, Arlington, Virginia 20598-3010 Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov/business/nfip>

**RELATED PROGRAMS:**

10.450 Crop Insurance; 59.008 Disaster Assistance Loans

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.023 COMMUNITY ASSISTANCE PROGRAM STATE SUPPORT SERVICES ELEMENT (CAP-SSSE)**

CAP-SSSE

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

National Flood Insurance Act of 1968, as amended , 42 U.S.C 4001 et seq; Flood Disaster Protection Act of 1973, as amended, 42 U.S.C 4002 et seq.

**OBJECTIVES:**

To provide, through a State grant mechanism, a means to ensure that communities participating in the National Flood Insurance Program (NFIP) are achieving flood loss reduction goals of the NFIP. CAP-SSSE funds are to be used by States to provide technical assistance to NFIP communities, to evaluate

community implementation/performance of NFIP floodplain management activities, and to build State and community floodplain management expertise and capacity.

The CAP-SSSE program supports the Mitigation Mission Area Capabilities and Targets described in the National Preparedness Goal (NPG) under Planning and Risk and Disaster Resilience Assessment.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

CAP-SSSE funds are used for activities that support the NFIP. Such activities include the fostering of effective floodplain management programs in participating communities and assisting non-participating communities in enrolling in the NFIP. Restrictions: CAP-SSSE funds cannot be used for conducting floodplain studies or developing floodplain maps. Further, if a State does not have the necessary expertise and capability to conduct CAP-SSSE activities, the Region and State must develop a remedial plan. If the necessary expertise and capability does not develop in accordance with the remedial plan, the following year's CAP-SSSE funding may be reduced or withheld. For complete information on Uses and Restrictions, refer to program guidance. Applicants must be a qualified State that intends to provide technical assistance to NFIP communities. Refer to program guidance for complete information on applicant eligibility.

**Applicant Eligibility:**

FEMA's ten Regional Offices will provide each State Governor's Office with the grant application package. The Cooperative Agreement is only available to that state or territorial agency so designated by the Governor, as the state or territorial National Flood Insurance Program State Coordinating Agency. The CAP-SSSE is administered through the Mitigation Division of each FEMA Regional Office. FEMA's Regional Offices will contact eligible States to negotiate a mutually acceptable grant agreement. Funding is made available when the grant agreement is negotiated and agreed upon. Continued participation in the CAP-SSSE is dependent upon completing activities described in the grant agreement. The SSSE is designed to utilize the floodplain management capabilities of individual States in a cost effective cooperative agreement with FEMA. A State's participation in the SSSE is voluntary and is contingent upon need and skill level capability.

**Beneficiary Eligibility:**

The direct beneficiary of the CAP-SSSE is the individual State receiving financial assistance. In addition, participating NFIP communities and local governments which receive flood plain management and flood loss reduction assistance provided by the State are also (indirect) beneficiaries as a consequence of the services they receive.

**Credentials/Documentation:**

A State's participation in the CAP-SSSE is voluntary and is contingent upon need and skill level capability as determined by FEMA. In addition, applicant states are required to provide any relevant documentation contained in the grant agreement package provided by FEMA. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

FEMA's ten Regional Offices will provide each State Governor's Office with the grant application package. The Cooperative Agreement is only available to that state or territorial agency so designated by the Governor, as the state or territorial National Flood Insurance Program State Coordinating Agency. The CAP-SSSE is administered through the Mitigation Division of each FEMA Regional Office. FEMA's Regional Offices will contact eligible States to negotiate a mutually acceptable grant agreement. Funding is made available when the grant agreement is negotiated and agreed upon. Continued participation in the CAP-SSSE is dependent upon completing activities described in the grant agreement. The SSSE is designed to utilize the floodplain management capabilities of individual States in a cost effective cooperative agreement with FEMA. A State's participation in the SSSE is voluntary and is contingent upon need and skill level capability. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

Include any other application procedures not found above.

**Award Procedure:**

Applications or plans are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

30-60 days, Refer to Program Guidance.

**Appeals:**

Appeals can be made to the appropriate FEMA Regional Office.

**Renewals:**

Participation in the CAP-SSSE can be renewed each year contingent upon meeting requirements.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Percent: 25%. Funding is provided on a 75 percent maximum Federal, 25 percent minimum State cost-sharing basis. Both cash and in-kind resources may meet the 25 percent cost-share.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Awards are for 12 months with no cost extensions allowed. Refer to program guidance. See the following for information on how assistance is awarded/released: Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

States must report at least semi-annually to the Regions to demonstrate progress in meeting agreed upon performance measures. Some Regions may require quarterly reporting to satisfy Regional grants management requirements. States are expected to cooperate with Regions by submitting documentation or other evidence that demonstrates completion of approved activities. Several key activities are required to be entered digitally into the NFIP Community Information System (CIS) as the tasks are completed. States must provide a final status report on meeting their performance measures to the Region by December 30th of each year in which the state was granted CAP-SSSE funds. For complete reporting requirement information, refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-4-453.

**Obligations:**

(Project Grants) FY 11 \$10,000,000; FY 12 est \$10,000,000; and FY 13 est \$10,000,000

**Range and Average of Financial Assistance:**

\$10,000,000 Total Funding for all 50 states and US Territories.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to Program Guidance.

**Regional or Local Office:**

See Regional Agency Offices. FEMA Regional office information is available on the Internet at <http://www.fema.gov/about/structure>. Information may also be obtained by contacting the State office responsible for coordinating CAP-SSSE activities.

**Headquarters Office:**

DHS/Federal Emergency Management Agency 500 C St., SW, Washington, District of Columbia 20472 Phone: (1-800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.022 Flood Insurance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.024 EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM**

EFSP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title 3, Section 301, Public Law 100-77, 42 U.S.C 11331-11346.

**OBJECTIVES:**

Program funds support the National Preparedness Goal (NPG) by complementing actions undertaken to achieve an all-of-Nation preparedness approach that optimizes the use of available resources. When a disaster strikes, it is often the poor or those with economic vulnerabilities who suffer the most. By providing emergency economic assistance that keeps people off the streets, from being evicted from their homes, or with groceries to prevent hunger, the EFSP prepares a population that could otherwise be even more adversely impacted by a disaster situation and mitigates potential burdens imposed on recovery efforts to assist such people.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Food and related expenses (such as transporting food/food preparation and serving equipment); mass shelter; other shelter (such as hotels and motels); and rent/mortgage and/or utility assistance limited to one month. For a complete listing on eligible and ineligible costs under this program, refer to the current Phase (fiscal year): Responsibilities and Requirements document, issued by the Emergency Food and Shelter Program National Board.

For additional details on the NPG, please refer to <http://www.fema.gov/pdf/prepared/npg.pdf>. Emergency Food and Shelter National Board Program (EFSP) funds cannot be used for: security deposits of any kind, cash payments of any kind, lobbying efforts, salaries (except as administrative allowance and limited to that total allowance of 2 percent of total

award where provided by Local Boards), purchases or improvements of an individual's private property, telephone costs, repairs to government-owned or profit-making facilities and any payments for services not incurred. For a complete listing on eligible and ineligible costs under this program, refer to the Responsibilities and Requirements Manual of the current Phase (fiscal year) issued by the Emergency Food and Shelter Program National Board.

**Applicant Eligibility:**

Since funds are initially distributed to jurisdictions based on either a National Board formula or recommendations from State Set-Aside Committees, there is no application process for jurisdictions. All jurisdictions are considered within the National Board formula and all jurisdictions in an individual State may be considered by the State Set-Aside Committee for either initial or additional (if the jurisdiction had previously been selected by the National Board) funding.

At the local level, following award notification by the National Board to the jurisdiction, a Local Board is formed. The Local Board then advertises the availability of the funds to local nonprofit agencies and governments. The Local Board must conduct a local application process for agencies to apply for funding. The Local Board selects which local nonprofit and governmental organizations are to receive funding and submits their selections via a Local Board Plan to the National Board.

**Beneficiary Eligibility:**

The law directs that the Local Boards, which manage the program at the local level, shall "determine which private nonprofit organizations or public organizations of the local government in the individual locality shall receive grants to act as service providers." The range of participant groups on the Local Boards include the affiliates of the National Board membership which consists of American Red Cross, Catholic Charities USA, The Jewish Federations of North America, National Council of Churches of Christ in the USA, The Salvation Army, and United Way Worldwide, with a local government representative replacing FEMA. Also participating are thousands of independent nonprofits (such as Community Action Agencies and Food Banks and food pantries) which provide food and/or shelter services. Due to the broad category of people in need of such emergency services, the providers can include specialized groups such as domestic violence shelters, Native American organizations, and organizations providing food or shelter to: AIDS patients, handicapped individuals, the elderly, homeless veterans, non-wards of the State teenage runaways, and many other groups with emergency food and shelter needs. As noted earlier, the decisions on selections are made through the consensus of the Local Board as they have assessed their community's most urgent needs. It is important that such agencies use these funds to supplement, not replace, their current efforts. This program is intended to supplement ongoing programs and allow them to extend and expand upon their existing services.

**Credentials/Documentation:**

The program employs a Local Recipient Organization Certification Form. This form certifies an applicant's status (i.e., that it is a nonprofit or government agency capable of delivering eligible services) and that it will abide by the program guidelines (both on eligible spending and reporting requests), and comply with other fiscal and program rules so stipulated. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There is no application process for local jurisdictions since the award notification to local jurisdictions is based on either a National Board formula or recommendations from State Set-Aside Committees. The local jurisdiction (i.e., Local Board) must conduct a local application process for local agencies to apply for funding.

**Award Procedure:**

At the local level, following award notification by the National Board, a Local Board is formed. The Local Board then advertises the availability of the funds

to local nonprofit agencies and governments. The Local Board must conduct a local application process for agencies to apply for funding. The Local Board selects which agencies are to receive funding and submits their selections via a Local Board Plan to the National Board. The National Board confirms all pertinent information has been submitted and disburses funds directly to the awarded local agencies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Refer to the Phase 30 (fiscal year 2012) Responsibilities and Requirements Manual issued by the Emergency Food and Shelter Program National Board for information on the appeal process. Those cases that cannot be handled locally should be referred to the National Board giving details on action that has been taken up to that point. Any allegations regarding fraud or the misuse of funds should be referred directly to the DHS Office of Inspector General.

**Renewals:**

Each phase (fiscal year) is a new program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need. Refer to program guidance.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Local Boards are required to remain in operation until all program and audit requirements of the National Board have been satisfied. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0707-0-1-605.

**Obligations:**

(Project Grants) FY 11 \$119,760,000; FY 12 est \$120,000,000; and FY 13 est \$100,000,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Projections Based on Fiscal Year 2009 Actuals: 35,752,684 Meals Provided; 2,079,931 Nights of Lodging Provided; 50,953 Rent/Mortgage Payments Made; 58,357 Utility Payments Made. Fiscal Year 2012: Projections Based on Fiscal Year 2009 Actuals: 35,645,747 Meals Provided; 2,073,710 Nights of Lodging Provided; 50,800 Rent/Mortgage Payments Made; 58,183 Utility Payments Made. Fiscal Year 2013: Projections Based on Fiscal Year 2009 Actuals: 44,557,184 Meals Provided; 2,592,137 Nights of Lodging Provided; 63,501 Rent/Mortgage Payments Made; 72,729 Utility Payments Made.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Food and Shelter National Board Program, Phase 30 Responsibilities and Requirements Manual.

**Regional or Local Office:**

See Regional Agency Offices. See Regional FEMA Agency Offices.

**Headquarters Office:**

Community Services Branch/Individual Assistance Division/Recovery Directorate 500 C Street, S.W., Room 614, Washington, District of Columbia 20472 Email: poc@dhs.gov Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

10.568 Emergency Food Assistance Program (Administrative Costs)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.025 NATIONAL URBAN SEARCH AND RESCUE (US&R) RESPONSE SYSTEM (US&R)**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, 6 U.S.C 101 et seq; Post-Katrina Emergency Management Reform Act of 2006, Section 634, 6 U.S.C 722; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5144; Homeland Security Act, Title VI, Part B, Section 2, Public Law 112-10.

**OBJECTIVES:**

The purpose of this Readiness Cooperative Agreement is to support the continued development and maintenance of a national urban search and rescue capability among the 28 task forces within the National Urban Search and Rescue Response System.

This program supports Mission Area: Response, Mass Search and Rescue Operations, with the target of conducting search and rescue operations in order to locate and rescue persons in distress, based on the requirements of the state and local authorities.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

State and local emergency management agencies may jointly develop one or more US&R Task Force(s), as defined in the National US&R Response System Operation Manual. Use of cooperative agreement funding is restricted to program management/administration, training, equipment acquisition, and storage and maintenance of equipment, to meet task force position criteria, and conduct and participate in meetings determined to benefit the National US&R Response System. Equipment acquisitions are limited to those included in FEMA's approved equipment cache list, including equipment for management/administration and other items approved by the FEMA US&R Program Office. Training requirements as included in the Operations Manual, current US&R Program Directives, and including Grants Management and Financial Training. Refer to Funding Opportunity Announcement. State and local emergency management agencies may jointly develop one or more US&R

Task Force(s), as defined in the National US&R Response System Operations Manual. Use of cooperative agreement funding is restricted to program management/administration, training, equipment acquisition, and storage and maintenance of equipment, to meet task force position criteria, and conduct and participate in meetings determined to benefit the National US&R Response System. Equipment acquisitions are limited to those included in FEMA's approved equipment cache list, including equipment for management/administration and other items approved by the FEMA US&R Branch. Training requirements as included in the Operations Manual and including Grants Management and Financial Training. See Statement of Work.

**Applicant Eligibility:**

Only the 28 sponsoring jurisdictions currently designated by FEMA as members of the National Urban Search and Rescue Response System are eligible for readiness and response cooperative agreements.

**Beneficiary Eligibility:**

Only the 28 sponsoring jurisdictions currently designated by FEMA as members of the National Urban Search and Rescue Response System are eligible for readiness and response cooperative agreements.

**Credentials/Documentation:**

Only the 28 sponsoring jurisdictions currently designated by FEMA as members of the National Urban Search and Rescue Response System are eligible for readiness and response cooperative agreements. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained within the yearly Funding Opportunity Announcement.

**Award Procedure:**

Applications and budget plans are reviewed by FEMA US&R Branch and the Grant Programs Directorate. Any issues or concerns noted in the application will be negotiated with the applicants prior to issuance of the award.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Approximately 15 - 30 days from time of submission.

**Appeals:**

Refer to guidance posted on Grants.gov site.

**Renewals:**

Not applicable - Annual applications must be submitted.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements. N/A.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to Funding Opportunity Announcement. See the following for information on how assistance is awarded/released: Awards are subject to the Cash Award Improvement Act for payment and/or reimbursement of expenditures. Assistance is released based on Program need.

**Reports:**

The following program reports are required: Semi-Annual Performance Reports, Annual Task Force Self-Evaluations, Annual Personnel and Equipment Database CD. Refer to Funding Opportunity Announcement, Appendix A Statement of Work, Quarterly Financial Reports (SF-425), Semi-Annual Performance Reports, Annual Self-Evaluations. Refer to Funding Opportunity Announcement, Appendix A Statement of Work. Only for those grantees deemed to be High-Risk, as defined in 44 CFR Part 13.12. Refer to Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$31,465,684; FY 12 est \$36,448,524; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY2011: \$1,077,078 - \$1,462,578  
FY2012: \$1,261,108 - \$1,416,608.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Developed, maintained, deployed, coordinated, and supported National Urban Search and Rescue resources on-scene to locate, provide initial medical treatment, and extricate victims of incidents requiring specialized search and rescue operations while simultaneously enhancing the US&R response capabilities of State and local governments. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 208 National Urban Search and Rescue Response System.

**Regional or Local Office:**

None.

**Headquarters Office:**

Wanda L. Casey 500 C Street, SW., Suite 214, Washington, District of Columbia 20472 Phone: (202) 646-4013

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Program Management to ensure day to day operations of US&R Task Forces. Acquisition of tools and equipment identified in the current US&R equipment cache list, office equipment to manage the program, i.e., computers, desks, chairs, file cabinets, etc. Development and delivery of training needs to fulfill task force missions. Grants and financial training necessary for the financial management of the cooperative agreements. Lease of, and/or modification to, existing buildings (not to change the buildings existing footprint). Cache and vehicle storage space. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.026 EMERGENCY MANAGEMENT INSTITUTE\_TRAINING ASSISTANCE**

(Student Stipend Reimbursement Program (SEP))

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

National Security Act of 1947, 50 U.S.C 401 et seq.; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C 7701 et seq; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq; Defense Production Act of 1950, as amended, 50 U.S.C App. 2061.

**OBJECTIVES:**

To defray travel and per diem expenses of State, local and tribal emergency management personnel who attend training courses conducted by the Emergency Management Institute, at the Emmitsburg, Maryland facility; Noble Training Center at the Center for Domestic Preparedness in Anniston, Alabama; and selected off-site locations. Its purpose is to improve emergency management practices among State, local and tribal government managers, in response to emergencies and disasters. Programs embody the Comprehensive Emergency Management System by unifying the elements of management common to all emergencies: planning, preparedness, mitigation, response, and recovery.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

State (includes territories), local, and tribal emergency management officials, who have been accepted for emergency management training by the Emergency Management Institute, Emmitsburg, Maryland. Reimbursement may be made for a portion of student's travel, but attendees are required to pay for meals. Refer to program guidance document or contact administering program office for additional information.

**Applicant Eligibility:**

Individuals who are assigned to an emergency management position in State, local or tribal government are eligible. Some restrictions apply, refer to program guidance document or contact administering program office for additional information.

**Beneficiary Eligibility:**

Specialized Group.

**Credentials/Documentation:**

Individuals must first be accepted/approved by EMI, to attend the training course. Student Stipend Agreement (FEMA 75-3) accompanied by required supporting documentation. This program is excluded from coverage under OMB Circular No. A-87. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Applications for admission to training course, are processed/ coordinated through county, State, tribal, and regional emergency management entities. This program is excluded from coverage under 44 CFR Part 13 and E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Application is made to the Admissions Office, Management Operations and Support Services Division at the National Emergency Training Center using the Student Stipend Agreement after acceptance into the course. The Student Stipend Agreement must be accompanied by the required supporting documentation. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

The completed agreement will be processed immediately. If reimbursement is to be made, a U.S. Department of Treasury payment schedule is prepared and a reimbursement check is issued directly to the beneficiary within 60 days.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the Emergency Management Institute.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Refer to program guidance document or contact administering program office for additional information. Certain match requirements (payment of meals by attendees) apply to all participants. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance document. See the following for information on how assistance is awarded/released: Refer to program guidance document.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not Applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for FEMA Regional Offices.

**Headquarters Office:**

Emergency Management Institute 16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: (301) 447-1286

**Website Address:**

<http://www.training.fema.gov>

**RELATED PROGRAMS:**

97.027 Emergency Management Institute (EMI)\_Independent Study Program;  
97.028 Emergency Management Institute (EMI)\_Resident Educational Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selection.

**97.027 EMERGENCY MANAGEMENT INSTITUTE (EMI)\_INDEPENDENT STUDY PROGRAM**

EMI

**FEDERAL AGENCY:**

Department of Homeland Security



**AUTHORIZATION:**

National Security Act of 1947, 50 U.S.C 401 et seq; Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C 7701 et seq; Defense Production Act of 1950 as amended, 50 U.S.C 2061; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq.

**OBJECTIVES:**

The program currently consists of 84 courses available to participants, with the objective of enhancing public and selected audience knowledge of emergency management practices among officials of Federal, State, local and tribal governments and voluntary organizations in response to emergencies and disasters.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Refer to program guidance.

**Applicant Eligibility:**

State, local, Federally-recognized Tribal Government, U. S. Territory or possession; specialized group and general public. Refer to program guidance document or contact administering program office for course-specific eligibility requirements.

**Beneficiary Eligibility:**

Refer to announcement or application guidance for further information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Course enrollment may be obtained by writing to the FEMA Independent Study Program, Administrative Office, Emergency Management Institute, 16825 South Seton Avenue, Emmitsburg, Maryland 21727 or electronic enrollment may be processed via the internet at <http://www.training.fema.gov/IS>.

**Award Procedure:**

Independent study courses furnished directly to applicants meeting course-specific requirements.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

An annual appropriation is anticipated for this program. See the following for information on how assistance is awarded/released: Refer to program guidance document.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Training) FY 11 \$0; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not Applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog or Independent Study Program Brochure found on the web at <http://www.training.fema.gov/IS/crslist.asp>.

**Regional or Local Office:**

See Regional Agency Offices. See EMI Catalog for listing of FEMA Regional Offices.

**Headquarters Office:**

Emergency Management Institute (EMI) 16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: (301) 447-1200

**Website Address:**

<http://www.training.fema.gov/IS>

**RELATED PROGRAMS:**

97.026 Emergency Management Institute\_Training Assistance; 97.028 Emergency Management Institute (EMI)\_Resident Educational Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.028 EMERGENCY MANAGEMENT INSTITUTE (EMI)\_RESIDENT EDUCATIONAL PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

National Security Act of 1947, 50 U.S.C 401 et seq.; Earthquake Hazards Reduction of 1977, 42 U.S.C 7701 et seq; Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C 5121 et seq; Defense Production Act of 1950, as amended,, 50 U.S.C App 2061 et.

**OBJECTIVES:**

To improve emergency management practices among State, local and tribal government managers, and Federal officials as well, in response to emergencies and disasters. Programs embody the Comprehensive Emergency Management System by unifying the elements of management common to all emergencies: planning, preparedness, mitigation, response, and recovery.

**TYPES OF ASSISTANCE:**

TRAINING

**USES AND USE RESTRICTIONS:**

Courses are not open to the general public. The primary audience is State, local and tribal government officials. Acceptance into specific courses is based on a need to know the information and how it will be used for the benefit of the community. Courses are not open to the general public. Acceptance into specific courses is based on a need to know the information and how it will be

used for the benefit of the community.

**Applicant Eligibility:**

Individuals assigned to an emergency management position in State, local, or tribal government are eligible. Restrictions apply, however; refer to program guidance document or contact administering program office for additional information.

**Beneficiary Eligibility:**

General Public.

**Credentials/Documentation:**

Applicants may be asked to verify their emergency management responsibilities. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to acceptance into the course.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

May be made to the Superintendent of the Emergency Management Institute.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Indefinite. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. There may be an evaluation following completion of most courses to determine the application of the information and the benefit derived by the community.

**Records:**

Not applicable.

**Account Identification:**

70-0711-0-1-999.

**Obligations:**

(Training) FY 11 \$0; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Management Institute Course Catalog.

**Regional or Local Office:**

See Regional Agency Offices. See EMI Catalog for listing of FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA), Emergency Management Institute, 16825 South Seton Avenue, Emmitsburg, Maryland 21727 Phone: (301) 447-1286

**Website Address:**

www.training.fema.gov

**RELATED PROGRAMS:**

97.026 Emergency Management Institute\_Training Assistance; 97.027 Emergency Management Institute (EMI)\_Independent Study Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on selection criteria.

**97.029 FLOOD MITIGATION ASSISTANCE**

FMA

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The FMA program is authorized by Section 1366 of the National Flood Insurance Act of 1968, as amended (NFIA), Public Law 108-264, 42 U.S.C 4104c.

**OBJECTIVES:**

To assist States, Federally - recognized Indian tribal governments, and communities with the goal of reducing or eliminating claims under the National Flood Insurance Program (NFIP). DHS QHSR Goal 5.1, Mitigate Hazards. This program also conforms to the definitions of the term Mitigation as defined in the National Preparedness Goal (NPG), in that this program supports those capabilities that are necessary to reduce loss of life and property by lessening the impact of disasters. Mitigation capabilities include, but are not limited to, community-wide risk reduction projects; efforts to improve the resilience of critical infrastructure and key resource lifelines; risk reduction for specific vulnerabilities from natural hazards; and initiatives to reduce future risks after a disaster has occurred.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States, Territories, local and Federally-recognized Indian tribal governments may apply for FMA funding to reduce or eliminate the long-term risk of flood damage to properties insured under the National Flood Insurance Program (NFIP). Eligible activities under this program include: acquisition-demolition and acquisition-relocation; elevation of existing structures to the Base Flood Elevation (BFE) or an ABFE Advisory Base Flood Elevation (ABFE) or higher; minor localized flood risk reduction projects; plans; and dry-flood proofing (historic properties and non-residential structures). Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements.

**Applicant Eligibility:**

Entities eligible to apply for HMA grants include the emergency management agency or a similar office of the 50 States, the District of Columbia, American Samoa, Guam, the U.S. Virgin Islands, Puerto Rico, the Northern Mariana Islands, and Federally - recognized Indian Tribal governments. Each State, Territory, Commonwealth, or Federally - recognized Indian Tribal government

shall designate one agency to serve as the Applicant for each HMA program. Please see the HMA program guidance for more detailed information.

**Beneficiary Eligibility:**

State agencies, Federally - recognized Indian Tribal governments, and local governments and communities are eligible to apply as subapplicants for assistance under the FMA program. All interested subapplicants must apply to the Applicant. Please see the HMA program guidance for detailed information.

**Credentials/Documentation:**

Please see the HMA Program Guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines .

**Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching Requirements: Refer to HMA program guidance for additional information. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to the HMA program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the

progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0701-0-1-453.

**Obligations:**

(Project Grants) FY 11 \$5,652,264; FY 12 est \$128,816; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Used FMA appropriations to select projects nationally that meet the statutory and regulatory requirements for eligibility. A pilot program was initiated that enhanced state and local communities ability to meet their cost-share responsibility. Implemented cost-effectiveness enhancements for state, Federally-recognized Indian Tribal government, and local communities. Made efforts to better align the programmatic requirements of the FMA program. Continued to clarify programmatic requirements, and align them with system requirements, for project-specific activities that will streamline and simplify the preparation and submission of applications, making it easier for state and local communities to develop eligible applications. Fiscal Year 2012: Used FMA appropriations to select projects nationally that meet the statutory and regulatory requirements for eligibility. Implement pilot to enhance state and local communities ability to meet their cost-share responsibility. Implement cost-effectiveness enhancements for state, Federally - recognized Indian Tribal governments, and local communities. Continue to further align the programmatic requirements and implementation of the FMA program. Clarify programmatic requirements, and align them with system requirements, for project-specific activities that will streamline and simplify the preparation and submission of applications, making it easier for state and local communities to develop eligible applications. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The FMA Program Regulations at 44 CFR Part 79; the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80, and the HMA program guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses of FEMA's Regional Offices.

**Headquarters Office:**

Virginia Franki Coons - DHS/FEMA 1800 South Bell Street, Arlington,  
Virginia 20595-3015 Email: Franki.Coons@dhs.fema.gov Phone: (202)  
646-3079

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

97.039 Hazard Mitigation Grant; 97.047 Pre-Disaster Mitigation; 97.110 Severe  
Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA Program Guidance for information on criteria for selecting  
proposals.

**97.030 COMMUNITY DISASTER LOANS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 417,  
42 U.S.C 5184.

**OBJECTIVES:**

To provide loans subject to Congressional loan authority, to any local  
government that has suffered substantial loss of revenues in an area in which  
the President designates a major disaster exists in order to assist communities  
affected by an incident to recover effectively in accordance with PPD-8. The  
funds can only be used to maintain existing functions of a municipal operating  
character and the local government must demonstrate a need for financial  
assistance.

**TYPES OF ASSISTANCE:**

DIRECT LOANS

**USES AND USE RESTRICTIONS:**

Loans are made only to local governments or other political subdivisions of the  
State, and are based on need. The funds cannot be used to meet the non federal  
share of any Federal program, finance capital improvements, or repair or restore  
public facilities. Applicants must be in a designated major disaster area and  
must demonstrate that they meet the specific conditions of FEMA Disaster  
Assistance Regulations 44 CFR Part 206, Subpart K, Community Disaster  
Loans. To be eligible, the applicant must demonstrate: 1) a substantial loss of  
revenues as a result of a major disaster; 2) a need for financial assistance to  
perform its governmental functions. The amount of the loan is based on the  
demonstrated need. The interest rate is the U.S. Treasury rate for 5-year  
maturities on the date the Promissory Note is executed, adjusted to the nearest  
1/8th. When applicable, if an applicant can demonstrate unusual circumstances  
involving financial hardship, the Assistance Administrator of the Disaster  
Assistance Directorate may approve a rate equal to the 5-year maturity rate plus  
1 per centum, adjusted to the nearest 1/8th, and further reduced by one-half.  
The term of the loan is usually 5 years, but may be extended. Interest accrues  
on the funds as they are disbursed. When applicable, the Assistance  
Administrator of the Disaster Assistance Directorate may cancel repayment of  
all or part of the loan if the revenues of the applicant in the 3 fiscal years  
following the financial year of the disaster are insufficient to meet the operating  
budget because of disaster related revenue losses and un-reimbursed disaster  
related operating expenses.

**Applicant Eligibility:**

Applicants must be in a designated major disaster area and must demonstrate  
that they meet the specific conditions of FEMA Disaster Assistance Regulations  
44 CFR Part 206, Subpart K, Community Disaster Loans. To be eligible the  
applicant must demonstrate: 1) a substantial loss of revenues as a result of a  
major disaster; 2) a need for financial assistance to perform its governmental  
functions.

**Beneficiary Eligibility:**

Local governments in a designated disaster area.

**Credentials/Documentation:**

The loan application is developed from financial information contained in the  
local government's published financial reports and current annual operating  
budget. Loan awards will be determined in accordance with OMB Circulars No.  
A-102 and No. A-87 for State and local governments. Awards made to  
Institutions of Higher Education, Hospitals and Other Non-Profit Organizations  
will be required to follow the requirements of OMB Circulars No. A-110 and  
No. A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of a major  
disaster through the FEMA Regional Director. Environmental impact  
information is not required for this program. This program is eligible for  
coverage under E.O. 12372, "Intergovernmental Review of Federal Programs."  
An applicant should consult the office or official designated as the single point  
of contact in his or her State for more information on the process the State  
requires to be followed in applying for assistance, if the State has selected the  
program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110  
applies to this program. Upon declaration of a major disaster, application for a  
Community Disaster Loan is made through the Governor's Authorized  
Representative to the Regional Director of FEMA in accordance with FEMA  
Disaster Assistance Regulations, 44 CFR 206.364. The Assistant Administrator  
of the Disaster Assistance Directorate approves or disapproves the loan. The  
Designated Loan Officer will execute a Promissory Note with the applicant.  
The promissory note must be co-signed by the State, or if the State cannot  
legally co-sign the note, the local government must pledge collateral security.

**Award Procedure:**

Funds are disbursed to the local government when requested in accordance with  
the Schedule of Loan Increments in the Promissory Note. Funds awarded to  
Institutions of Education, Hospitals and Other Non-Profit Organizations will  
follow requirements of OMB Circulars No. A-110, No. A-21 and No. A-133.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application  
deadlines.

**Range of Approval/Disapproval Time:**

From 1 to 6 months. The loan must be approved in the fiscal year of the disaster  
or the financial year immediately following.

**Appeals:**

If a loan application is disapproved, in whole or in part, a revised application  
may be resubmitted by the local government within 60 days of the date of the  
disapproval.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the loan is generally 5 years, but may be extended. Funds are  
disbursed per the Schedule of Payments in the Promissory Note. See the  
following for information on how assistance is awarded/released: Payment  
based on Project need.

**Reports:**

The applicant must demonstrate a financial need prior to any incremental  
disbursement by submitting a copy of its most recent financial report as well as  
data on anticipated and actual revenues. The applicant annually must submit  
copies of its annual financial reports. Refer to program guidance. Refer to  
program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June  
27, 2003), "Audits of States, Local Governments, and Non-Profit  
Organizations," nonfederal entities that expend financial assistance of \$500,000  
or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Annual Operating Budgets including revenue and expense and balance sheets must be retained for the duration of the loan. Additional record requirements are detailed in the Federal Disaster Assistance Regulations, 44 CFR 206, Subpart K.

**Account Identification:**

70-0703-0-1-453.

**Obligations:**

(Direct Loans) FY 11 \$0; FY 12 est \$5,014,387; and FY 13 est \$18,089,977

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Six local governments from Iowa, Mississippi, Missouri and Pennsylvania have qualified for loans as a result of Major Disaster Declarations. Jurisdictions in four states including Kansas, Iowa, Texas, and Louisiana have loans that are scheduled for cancellation reviews starting in June 2011 and continuing. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR Part 206, Subpart K.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Victor Kurz 500 C Street, SW, Washington, District of Columbia 20742 Email: Victor.Kurz@fema.dhs.gov Phone: (202) 646-7947

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.031 CORA BROWN FUND**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, 42 U.S.C 5121.

**OBJECTIVES:**

To use funds made possible by a bequest of funds from the late Cora C. Brown of Kansas City, Missouri, who left a portion of her estate to the United States for the purpose of helping victims of natural disasters not caused by or attributed to war. This fund supports disaster recovery for those survivors with unmet needs that cannot be addressed through other forms of assistance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

To provide for disaster-related needs that have not been, or will not be met by government agencies or any other organizations which have programs to address such needs; however, the fund is not intended to replace or supersede these programs. The fund may not be used in a way that is inconsistent with other federally mandated disaster assistance or insurance programs. Money

from the fund will not duplicate assistance for which a person is eligible from other sources.

**Applicant Eligibility:**

Individuals, families, and groups in need of (1) Disaster-related home repair and rebuilding; (2) disaster-related unmet needs; and (3) other services which alleviate human suffering and promote the well being of disaster victims.

**Beneficiary Eligibility:**

Individuals, families, and groups in need.

**Credentials/Documentation:**

Recommendation from Regional Director or his/her designee. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. Disaster victims do not apply for assistance from the fund; instead, they are identified and recommended by the Regional Director or his/her representatives, with assistance from other governmental agencies and voluntary disaster agencies.

**Award Procedure:**

The Assistant Administrator will request the Chief Financial Officer to send a check to the intended recipient or provider. The Assistance Administrator shall notify the Regional Administrator, and the Regional Administrator shall notify a representative of the group in writing.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Other - Not Specified.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

None. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

No reports are required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other

documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-8244-0-7-453.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$0; FY 12 est \$0; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.181; DOM Chapter 17; Cora Brown Fund Program.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Emergency Preparedness and Response, Federal Emergency Management Agency (FEMA) 500 C Street SW, Sixth Floor, Washington, District of Columbia 20472-3100 Phone: (202) 212-1000

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.032 CRISIS COUNSELING**

CCP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 416, Public Law 93-288.

**OBJECTIVES:**

The Crisis Counseling Assistance and Training Program (CCP) supports the Recovery core capability and mission area as defined in the National Preparedness Goal. It accomplishes this by assisting individuals and communities in recovering from the challenging effects of natural and human-caused disasters through the provision of community-based outreach and psycho-educational services.

The CCP goals are to:

- o Reach large numbers of people affected by disasters through face-to-face outreach to shelters, homes, and other locations
- o Assess the emotional needs of survivors and make referrals to traditional behavioral health services when necessary
- o Identify tangible needs and link survivors to community resources and disaster relief services
- o Provide emotional support, education, basic crisis counseling, and connection to familial and community support systems
- o Train and educate CCP staff and other community partners about disaster reactions, appropriate interventions, and CCP services
- o Develop partnerships with local disaster and other organizations
- o Work with local stakeholders to promote community resilience and recovery
- o Collect and evaluate data to ensure quality services and justify program efforts
- o Leave behind a permanent legacy of improved coping skills, educational

and resource materials, and enhanced community linkages.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The Crisis Counseling Assistance and Training Program (CCP) provides supplemental funding to States, U.S. Territories and Federally recognized tribes for technical assistance and training as well as short-term crisis counseling services to individuals impacted by a Presidentially-declared major disaster that includes Individual Assistance. CCP services involve the counseling goals of assisting disaster survivors in understanding their current situations and reactions, mitigating additional stress, assisting survivors in reviewing their options, promoting the use or development of coping strategies, providing emotional support and encouraging linkages with other individuals and agencies who may help survivors recover to their pre-disaster level of functioning. The CCP is comprised of the Immediate Services Program (ISP) and the Regular Services Program (RSP). The Immediate Services Program grant provides 60 days of services from the declaration date and enables the State or local agency to respond to the immediate behavioral health needs of people affected by the disaster. The Regular Services Program grant provides up to nine months of crisis counseling, outreach, consultation and education services to people affected by a disaster. Funding for the ISP and RSP programs is considered separate and distinct as these are two different grants.

**Applicant Eligibility:**

States are eligible for grants. If the Governor determines, during an assessment of the need for crisis counseling services, that because of unusual circumstances or serious conditions within the State or local mental health network, the State cannot carry out the crisis counseling program, he/she may identify a public or private mental health agency or organization to carry out the program or request the Department of Homeland Security's Federal Emergency Management Agency (FEMA) Regional Director to identify, with assistance of the Secretary of the Department of Health and Human Services (DHHS), such an agency or organization.

**Beneficiary Eligibility:**

In order to be eligible for services under this program, an individual must be a resident of the designated disaster area or must have been in the designated area at the time the disaster occurred.

**Credentials/Documentation:**

Grant awards will be determined in accordance with OMB Circulars A-102 for State and local governments. States are eligible for grants. If the Governor determines, during an assessment of the need for crisis counseling services, that because of unusual circumstances or serious conditions within the State or local mental health network, the State cannot carry out the crisis counseling program, he/she may identify a public or private mental health agency or organization to carry out the program or request the Department of Homeland Security's Federal Emergency Management Agency (FEMA) Regional Administrator to identify, with assistance of the Secretary of the Department of Health and Human Services (DHHS), such an agency or organization. In order to be eligible for services under this program, an individual must be a resident of the designated disaster area or must have been in the designated area at the time the disaster occurred. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application for Federal assistance for the Immediate Services Program must be submitted by the State to FEMA no later than 14 days after the Presidential declaration. Application for Federal assistance for the Regular Services Program must be submitted by the State to FEMA, along with a copy to SAMHSA CMHS, no later than 60 days after the Presidential declaration.

**Award Procedure:**

Immediate Services Program applications are reviewed by FEMA program staff in consultation with SAMHSA CMHS. Grant award is provided by FEMA to

the State Emergency Management Agency. Regular Services Program applications are reviewed by FEMA with formal recommendation from SAMHSA CMHS. Grant funds are provided by FEMA to SAMHSA CMHS for award to the State's mental health agency.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Immediate Services Program - The State may appeal the Regional Administrator's decision in writing within 60 days of the date of notification of the application decision. The State may further appeal the Regional Administrator's decision to the Assistant Administrator, Recovery, within 60 days of the date of the Regional Administrator's notification of the application decision. Regular Services Program - The State may appeal FEMA's decision in writing within 60 days of the date of notification of the decision.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantee is required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Final financial and program reports are due 90 days after the end of the grants period of performance. Refer to Program Guidance. SF-425 is required on a quarterly basis and 90 days after the project end date. Refer to program guidance. No progress reports are required. The Quarterly Report must include an interim budget expenditure report. A final expenditure report showing expenditure of funds by category and budget line is also required. Refer to program guidance for details. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 11 \$16,861,843; FY 12 est \$7,803,974; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$16,861,843 During FY-2011, the Crisis Counseling Training and Assistance Program implemented and funded 24 new programs. Two annual trainings were provided: Grants Training for State Mental Health Authorities (E354) and Train the Trainer (E352) also for State Mental Health Authorities. Fiscal Year 2012: \$7,803,974 During First quarter of FY-2012, the Crisis Counseling Training and Assistance program implemented and funded 19 new programs across the nation. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.171; Crisis Counseling Assistance and Training and the FEMA Crisis Counseling Assistance and Training Program Guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA), Individual Assistance 500 C Street, SW, Sixth Floor, Washington, District of Columbia 20472-3100 Phone: (202) 212-1117

**Website Address:**

<http://www.samhsa.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.033 DISASTER LEGAL SERVICES**

DLS

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 416, Public Law 93-288, 42 U.S.C 5182.

**OBJECTIVES:**

The Disaster Legal Services Program (DLS) supports the NPG Mission Area of Recovery and the specific capability targets of economic recovery and health and social services. DLS accomplishes this by providing legal assistance to low-income individuals who, prior to or as a result of a Presidentially declared disaster, are unable to secure legal services adequate to meet their disaster-related needs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

The Disaster Legal Services program provides free legal advice for individuals impacted by a Presidentially-declared major disaster that includes Individual Assistance. Legal advice is limited to cases that do not produce a fee. This free legal advice includes assistance with insurance claims; counseling on landlord/tenant problems; assistance with home repair contracts; assistance in consumer protection matters; counseling on mortgage foreclosure problems; replacement of wills and other important legal documents; drafting powers of attorney; estate administration; preparation of guardianships and conservatorships; and referrals to local and State agencies for additional assistance.

**Applicant Eligibility:**

FEMA enters into a contract with the American Bar Association Young Lawyers Division to cover the administrative costs of implementing and managing the Disaster Legal Services program.

**Beneficiary Eligibility:**

Service provision is geared toward low-income individuals who, prior to or because of the disaster, are unable to secure legal services adequate to meet their disaster-related needs.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA makes a formal request to the National Director of the Disaster Legal Services (DLS) program indicating the intent to implement the DLS program.

**Award Procedure:**

Administrative funds are made available through a contractual agreement as outlined in the Memorandum of Agreement between FEMA and the American Bar Association on behalf of its Young Lawyers Division.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

None.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the program is generally tied to the need for services and varies with each disaster. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Volunteer attorneys submit reports on services and/or advice given to clients. Cash reports are not applicable. Volunteer attorneys submit reports on services and/or advice given to clients. Refer to Program guidance. Refer to Program guidance.

**Audits:**

No audits are required for this program.

**Records:**

None.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Provision of Specialized Services) FY 11 \$104,250; FY 12 est \$29,750; and FY 13 Estimate Not Available - FY-2012 -\$29,750.00 first quarter.

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 25 programs were implemented and funded in 2011. Annual training for the newly elected volunteer attorneys was held in June. Fiscal Year 2012: 6 programs were implemented and funded for the first quarter of FY2012. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.164; and Disaster Legal Services Handbook.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA) Disaster Assistance Directorate 500 C Street, SW, Sixth Floor, Washington, District of Columbia 20472-3100 Phone: (202) 212-1117

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.034 DISASTER UNEMPLOYMENT ASSISTANCE**

DUA

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 410, Public Law 93-288.

**OBJECTIVES:**

The Disaster Unemployment Assistance (DUA) Program supports the NPG Mission Area of Recovery and the specific capability target of Economic Recovery. DUA accomplishes this by providing temporary benefits to individuals whose employment or self-employment has been lost or interrupted as a direct result of a major disaster and who are not eligible for regular unemployment insurance (UI).

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

The Disaster Unemployment Assistance (DUA) program provides weekly benefits and re-employment assistance services to individuals unemployed as a direct result of a Presidentially-declared major disaster that includes Individual Assistance. Funds are used for benefit payments to individuals and project administrative costs to States. DUA weekly benefits and re-employment assistance require proof of employment eligibility, proof of employment or self-employment to assist in determining a Weekly Benefit Amount (WBA). Aliens must prove they are "qualified aliens" (as determined by the Immigration and Naturalization Service) in order to be eligible to receive a federal public benefit.

**Applicant Eligibility:**

The State Workforce Agency (SWA) applies for Disaster Unemployment Assistance funds to provide to eligible beneficiaries.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations 44 CFR Part 206.141 and the DOL Regulations at 20 CFR Part 625. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of a major disaster through the appropriate FEMA Regional Administrator having jurisdiction over the State. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206. An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.



**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. An applicant should consult the office or officials designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Award Procedure:**

FEMA provides funding to the Department of Labor, which administers the DUA program on FEMA's behalf. Individual applicants for DUA assistance must apply through their local SWA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

In general, individual applications are approved or denied within 1 to 2 weeks. Generally, applications for DUA must be filed within 30 days after the date of the SWA announcement regarding availability of DUA. When applicants have good cause, they may file claims after the 30-day deadline. However, no initial application will be considered if filed after the 26th week following the declaration date.

**Appeals:**

Appeals must be filed in accordance with DOL Regulation 20 CFR Part 625.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

DUA may be paid from the period beginning with the first week (as defined in State law) following the date the major disaster began, and extending up through, but no longer than, the 26th week following the Presidential major disaster declaration date. See the following for information on how assistance is awarded/released. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

The State Workforce Agency submits reports when requesting additional funding and at the close of the DUA program. Closeout reports must include the ETA 9130 and a narrative. Refer to Department of Labor DUA Handbook. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Record retention in accordance with DOL Regulation 20 CFR Part 625.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$8,281,456; FY 12 est \$9,679,537; and FY 13 Estimate Not Available - Fiscal Year 12 - \$9,679,537 first quarter.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$8,281,456 - During FY-2011, the Disaster Unemployment Assistance (DUA) program implemented and funded 25 programs. Fiscal Year 2012: \$9,679,537 - For the first quarter of 2012, the Disaster Unemployment

Assistance program implemented and funded 22 programs. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Regulations at 44 CFR 206.8, 44 CFR 206.141, and DOL Regulations at 20 CFR Part 625.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, SW, Sixth Floor, Washington, District of Columbia 20472-3100 Phone: (202) 212-1117

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.036 DISASTER GRANTS - PUBLIC ASSISTANCE (PRESIDENTIALLY DECLARED DISASTERS)****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, 42 U.S.C. 5121-5206.

**OBJECTIVES:**

To assist State and local governments in responding to and recovering from the devastating effects of disasters by providing assistance for debris removal, emergency protective measures and the repair, restoration, reconstruction or replacement of public facilities or infrastructure damaged or destroyed.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, or wildfire. Program activates only after issuance of a presidential declaration. Public Assistance is awarded in the form of cost-shared grants to States, local governments, other political subdivisions such as special districts, federally recognized Indian tribal governments and Alaska Native villages or organizations, and certain eligible Private Non-Profit organizations. A State is defined as any State of the United States, the District of Columbia, Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Mariana Islands, the Marshall Islands and Micronesia. Following a Presidential declaration, grants may be made for: removal of wreckage and debris from private and public lands; performance of emergency protective measures; emergency transportation assistance; emergency communications; and permanent restoration of eligible facilities.

**Applicant Eligibility:**

State and local governments, other political subdivisions such as a special districts, federally recognized Indian tribal governments, Alaska Native villages or organizations, but not Alaska Native Corporations, and certain Private Non-Profit organizations in designated emergency or major disaster areas.

**Beneficiary Eligibility:**

Eligible work must be required as a result of the disasters; be located in a designated emergency or major disaster area; and be the legal responsibility of the applicant.

**Credentials/Documentation:**

Cost will be determined in accordance with FEMA Disaster Assistance Regulations, 44 CFR Part 206 and Part 13, and the FEMA Schedule of

Equipment Rates. Grant awards will be determined in accordance with OMB Circulars No. A-102 and No. A-87 for States, local governments and Indian Tribes. Awards made to Institutions of Higher Education, Hospitals and other Non-Profit Organizations will be required to follow the requirements of OMB Circulars No. A-110 and No. A-21. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206.36, except as provided in Part 206.35(d) for emergency declarations involving primarily Federal responsibility. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Presidential Disaster or Emergency Declaration must be issued, which is then followed by an application for Public Assistance through the Governor's Authorized Representative to the Regional Director of FEMA.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. The FEMA Regional Director approves grants from this allocation on the basis of project applications for eligible applicants. States are responsible for distributing funds to applicants. As a condition of receiving assistance under the Stafford Act, applicants are encouraged to take mitigation measures to reduce future losses from natural hazards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 day to 6 weeks. A Request for Assistance must be submitted by the applicant at the Applicants' Briefing or within 30 days of designation of an emergency declaration or major disaster declaration for the Public Assistance Program.

**Appeals:**

Any determination made under the Public Assistance Program may be appealed. All appeals must be made through the State and the appropriate FEMA Regional Office listed in Appendix IV of the Catalog. The appeal deadlines are: 60 days from receipt of notification of the action being appealed.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Robert T. Stafford Disaster Relief and Emergency Assistance Act, Chapter 42, Part 5121-5206, Public Law 93-288.  
Matching Requirements: Percent: 25.%. The Federal share of the grant is not less than 75 percent with the State and local governments responsible for the remainder.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The length of the assistance period varies depending on the type of work or service. Reimbursement for small projects under \$60,900 is made based on the Federal estimate of costs. For projects over the \$63,200, reimbursement of actual eligible costs is made as the costs are incurred. The \$63,200 limit is adjusted annually to reflect the Consumer Price Index. When purchase of insurance is required, the applicant is obliged to maintain the policy for the economic and useful life of the repairs or of the insured property, whichever is the lesser. Also, applicants must comply with Floodplain Management, Hazard Mitigation, Environmental, and Historic Preservation considerations. See the

following for information on how assistance is awarded/released: Payment based on Project need. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Progress status reports are required quarterly. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditure records and related documents must be retained for 3 years from the date the applicant's project application is closed.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 11 \$1,908,831,577; FY 12 est \$3,500,000,000; and FY 13 est \$3,000,000,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the Public Assistance Grant program provided an estimated \$1.9 billion in grant assistance to assist State, Tribal and Local in responding to and recovering from the devastating effects of disasters by providing assistance for debris removal, emergency protective measures and the repair, restoration, reconstruction or replacement of public facilities or infrastructure damaged or destroyed. Fiscal Year 2012: In FY 2012, the Public Assistance Grant program expect to provide an estimated \$3.5 billion in grant assistance to assist State, Tribal and Local in responding to and recovering from the devastating effects of disasters by providing assistance for debris removal, emergency protective measures and the repair, restoration, reconstruction or replacement of public facilities or infrastructure damaged or destroyed. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR Part 205 for disasters and emergencies declared prior to November 23, 1988; Federal Disaster Assistance Regulations, 44 CFR Part 206 for disasters declared on or after November 23, 1988; "Public Assistance Guide," FEMA 322 (formerly FEMA 286); "Public Assistance Policy Digest," FEMA 321; "Public Assistance Applicant Handbook," FEMA 323. See Public Assistance web page at <http://www.fema.gov/government/grant/pa/index.shtm>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

William W. Roche 500 C Street, S.W.  
, Washington, District of Columbia 20472 Phone: (202) 646-4136 or 1-800-621-3363

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

10.054 Emergency Conservation Program; 12.102 Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works; 12.103 Emergency Operations Flood Response and Post Flood Response; 97.034 Disaster Unemployment Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

## **97.039 HAZARD MITIGATION GRANT**

(HMGP)

### **FEDERAL AGENCY:**

Department of Homeland Security

### **AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 404, 42 U.S.C 5170c.

### **OBJECTIVES:**

To provide funding support to states, tribes, territories, communities, and other eligible applicants to implement mitigation planning and hazard mitigation measures that are cost effective and which substantially reduce the risk of future damage, hardship, loss or suffering in any area affected by a major disaster.

This program also conforms to the definitions of the term Mitigation as defined in the National Preparedness Goal (NPG), in that this program supports those capabilities that are necessary to reduce loss of life and property by lessening the impact of disasters. Mitigation capabilities include, but are not limited to, community-wide risk reduction projects; efforts to improve the resilience of critical infrastructure and key resource lifelines; risk reduction for specific vulnerabilities from natural hazards; and initiatives to reduce future risks after a disaster has occurred.

### **TYPES OF ASSISTANCE:**

PROJECT GRANTS

### **USES AND USE RESTRICTIONS:**

Assistance can be used for eligible activities including structural hazard controls or protection projects; construction activities that will result in reduction of hazards; retrofitting of facilities; acquisition of real property, relocation, demolition of structures; elevation of residential structures; minor flood reduction projects; structural retrofitting of existing structures; safe room construction; initial implementation of vegetation management programs; elevation or dry flood-proofing of non-residential structures; initial training of building officials and other professionals to facilitate the implementation of newly adopted State or local mitigation standards and codes, and mitigation planning actions. Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements.

### **Applicant Eligibility:**

Entities eligible to apply for HMGP grants include State and local governments; Private, non-profit organizations that own or operate a private, non-profit public facility; certain qualified conservation organizations may apply for acquisition or relocation for open space projects; Indian tribes or authorized tribal organizations and Alaska Native villages or organizations, but not Alaska native corporations with ownership vested in private individuals. Please see the HMA program guidance for more detailed information. Grantees that meet planning requirements published as a result of the Disaster Mitigation Act of 2000 may receive an increased percentage (20 percent of the value of all other disaster assistance grants) of HMGP funds if, at the time of the declaration of a major disaster they have in effect an approved Enhanced State Mitigation Plan. Grantees that have a current, approved Standard Mitigation Plan are eligible to receive up to 15% of the value of all other disaster assistance grants.

### **Beneficiary Eligibility:**

States and communities.

### **Credentials/Documentation:**

Refer to HMA program guidance document. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Rather than require applicants to submit a separate pre-application in order for FEMA and the State to identify the need for assistance, FEMA will employ the administrative and Mitigation plans in this manner. When States submit plans for review and indicate their intention to apply for assistance to implement one or more projects described in it, FEMA will use the plan to identify a need for funding assistance, and to discourage applications that are unlikely to be funded. An environmental impact statement is required for this program. An

environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Award Procedure:**

Applications or plans are reviewed by DHS/FEMA program, technical and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

### **Appeals:**

An eligible applicant, subgrantee, or State may appeal any determination previously made related to an application for or the provision of Federal assistance according to procedures set forth in 44CFR Section 206.440.

### **Renewals:**

Not Applicable.

### **Formula and Matching Requirements:**

Statutory Formula: 44 CFR Subpart N Hazard Mitigation Grant Program Sections 206.430-206.440.

Matching Requirements: FEMA can fund up to 75 percent of the eligible costs of projects submitted under each declaration. The State or project applicant must provide a 25 percent match. The 25 percent nonfederal share can be a combination of cash, in-kind services, or materials. MOE requirements are not applicable to this program.

### **Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

### **Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due quarterly and a final financial report is due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due

quarterly and a final financial report is due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$79,535,030; FY 12 est \$38,416,058; and FY 13 est \$500,000,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: \$793,951,989 has been slated for implementation of various hazard mitigation projects to include: acquisition and elevation of flood prone structures, retrofitting of infrastructure and buildings to resist earthquake, wind, flood and other natural hazards, hazard mitigation planning activities and post disaster code enforcement projects. Fiscal Year 2012: \$38,416,058 has been slated for implementation of various hazard mitigation projects to include: acquisition and elevation of flood prone structures, retrofitting of infrastructure and buildings to resist earthquake, wind, flood and other natural hazards, hazard mitigation planning activities and post disaster code enforcement projects.

Fiscal Year 2013: Historically the HMGP provides on average \$500,000,000 annually for implementation of various hazard mitigation projects to include: acquisition and elevation of flood prone structures, retrofitting of infrastructure and buildings to resist earthquake, wind, flood and other natural hazards, hazard mitigation planning activities and post disaster code enforcement projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Subpart N Hazard Mitigation Grant Program Sections 206.430-206.440; Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended; Hazard Mitigation Assistance Unified Guidance; Hazard Mitigation Grant Program Desk Reference FEMA 345 October 1999, Hazard Mitigation Grant Program, L-169, February 1996. Property acquisition handbook, FEMA-317.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of FEMA's Regional Offices.

**Headquarters Office:**

Franki Coons - FEMA 1800 South Bell Street, Arlington, Virginia 20598-3015  
Email: Franki.Coons@fema.dhs.gov Phone: (202) 646-3079

**Website Address:**

<http://www.fema.gov/government/mitigation.shtm>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.047 Pre-Disaster Mitigation; 97.092 Repetitive Flood Claims; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures. Fiscal Year 2012: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures. Fiscal Year 2013: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

**97.040 CHEMICAL STOCKPILE EMERGENCY PREPAREDNESS PROGRAM**

(CSEPP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Defense Authorization Act of 1986, Title 14, Part B, Section 1412, Public Law 99-145, 50 U.S.C 1521.

**OBJECTIVES:**

To enhance emergency preparedness capabilities of the States, local, and tribal communities at each of the six chemical agent stockpile storage facilities. The purpose of the program is to assist States and local communities in efforts to improve their capacity to plan for and respond to accidents associated with the storage and ultimate disposal of chemical warfare materials.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Applications are accepted from the States of Colorado and Kentucky. The eligible States house the U.S. Army stockpiles unitary chemical warfare agent as bulk chemicals and munitions. Local governments are eligible to participate as subgrantees under their State's application. In keeping with the intent of the Congressional appropriations, CSEPP funds are to be utilized for effective emergency management capabilities in the two affected States and localities surrounding the two Army stockpile locations. CSEPP funds may not be used as a substitute for other mandated, unfunded programs required for existing needs or by other laws. CSEPP funds may not be used to supplant other forms of emergency management funding. CSEPP funds may not be commingled with other, non-CSEPP funds. In keeping with the intent of the Congressional appropriations, CSEPP funds are to be utilized for effective emergency management capabilities in the seven affected States, local, and tribal communities surrounding the six Army stockpile locations. CSEPP funds may not be used as a substitute for other mandated, unfunded programs required for existing needs or by other laws. CSEPP funds may not be used to supplant other forms of emergency management funding. CSEPP funds may not be commingled with other, non-CSEPP funds.

**Applicant Eligibility:**

Applications are accepted from the States of Colorado, and Kentucky. The eligible States house the U.S. Army stockpiles unitary chemical warfare agent as bulk chemicals and munitions. Local governments are eligible to participate as subgrantees under their State's application.

**Beneficiary Eligibility:**

State, local and tribal governments, and general public.

**Credentials/Documentation:**

The budget worksheets used for CSEPP must be included in the official application package. These worksheets will be used for budget analysis by FEMA. OMB Circular No. A-87 applies to this program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A pre-application meeting between the FEMA Regional Offices and their respective States usually occurs to discuss the application and draft work plan. Technical assistance is available for application preparation from the FEMA Regional Office. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS/FEMA program staff. Any issues or concerns noted in the application will be negotiated with the State prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to CSEPP CA Annual Program Guidance document.

**Appeals:**

Appeals may be submitted in writing by the authorized State official to the FEMA Regional Administrator.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and

program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-999 - also 70 9 11 0715 ;70-10 12 0715.

**Obligations:**

(Project Grants) FY 11 \$64,301,366; FY 12 est \$45,000,000; and FY 13 est \$33,500,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: CSEPP has successfully transitioned from six states in the program down to two over the past year. We have maintained public safety at the two remaining chemical warfare agent stockpiles through planning, training, exercising, and equipping the local and state communities to respond in the unlikely event of a chemical warfare agent accident or incident. CSEPP communities are among the best prepared for emergencies or disasters in the country because of the Program. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR 13 and 14; Chemical Stockpile Emergency Preparedness Program Planning Guidance and CSEPP Policy Papers. All available, relevant guidance is routinely provided to all eligible State participants. State and local organizations desiring information about this program should contact their State Emergency Management Agencies or Departments.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for FEMA Regional Offices. State and local government officials and the public are encouraged to contact their State and Local Emergency Management Agencies or Departments.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency, National Preparedness Directorate, Technological Hazards Division, Chemical Stockpile Emergency Preparedness Program 1800 South Bell Street, Crystal City, Virginia 20598-3025 Phone: (703) 605-1379

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.041 NATIONAL DAM SAFETY PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Dam Safety Act of 2006, Public Law 109-460 Dec. 2006.

**OBJECTIVES:**

To support State governments and the Commonwealth of Puerto Rico in the development and maintenance of dam safety programs. To enable States and the Commonwealth of Puerto Rico to take precautions that ensure the safety of the dams, such as the development of regulatory authority for the design, construction, operation, and maintenance of dams, the undertaking of dam inspections, and development of Emergency Action Plans (EAPs) for dams.

The National Dam Safety Program also supports the Department of Homeland Security and PPD8 objective of mitigation and include but not limited to those capabilities necessary to reduce the loss of lives and property by lessening the impact of the failure of dams, a key resource.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

For costs associated with the Establishment and maintenance of effective State/Commonwealth dam safety programs. Restrictions: Funds may only be used for the purposes set forth in the grant and must be consistent with the statutory authority for the award. Funds may not be used for matching funds for other Federal grants or cooperative agreements. Funds may not be used for lobbying, or intervention in federal regulatory or adjudicatory proceedings. Note that the FY 2010 grant funds may NOT be used to purchase equipment. In addition, funds may not be used to sue the Federal government or any other government entity. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. Federal funds may not be comingled with State/Commonwealth funds. Pre-award costs are allowable only with the written consent of DHS and such costs must be reflected in the award agreement. For complete information on Uses and Restrictions, refer to program guidance. Eligible applicants are 49 States (excludes the State of Alabama) and the Commonwealth of Puerto Rico (PR). The states and PR must be working toward and/or developing a State dam safety program that is 1) authorized and budgeted by State or Commonwealth legislation and 2) includes, at a minimum, the 10 specified criteria and budgeting requirements outlined in the program guidance. For complete information regarding applicant eligibility and the 10 specified criteria and budgeting requirements refer to program guidance. This grant is intended for the use by the State Dam Safety Program.

**Applicant Eligibility:**

All States are eligible for the National Dam Safety Program Assistance for State Dam Safety Programs including the territory of Puerto Rico.

**Beneficiary Eligibility:**

The State Dam Safety Program Office of eligible States.

**Credentials/Documentation:**

The State/Commonwealth must be working toward and/or developing a dam safety program that 1) is authorized and budgeted by State/Commonwealth legislation and 2) includes, at a minimum, the 10 specified criteria and budgeting requirements outlined in the program guidance. For complete information, refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

FEMA makes the award to the State Dam Safety Program Office. Applications or plans are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory Formula: Title Dam Safety Act of 2006, Public Law 109-460. This program has no matching requirements. Refer to program guidance.

This program has MOE requirements, see funding agency for further details. Assistance may not be provided to a State under this subsection for a fiscal year unless the State enters into such agreement with the Director as the Director requires to ensure that the State will maintain the aggregate expenditures of the State from all other sources for programs to ensure dam safety for the protection of human life and property at or above a level equal to the average annual level of such expenditures for the two (2) fiscal years preceding the fiscal year. National Dam Safety Act, Sec. 8(e)(4).

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: The Grantees apply via Grants.gov and utilize Non-Disaster (ND) Grants System for the management of the State Assistance Grants.

**Reports:****Program Specific Narrative and Work Plan**

Reporting requirements must be met throughout the life of the grant (refer to the program guidance and the special conditions found in the award package for a full explanation of these requirements). Any reports or documents prepared as a result of this grant shall be in compliance with Federal plain English policies, directives, etc. Please note that PARS contains edits that will prevent access to funds if reporting requirements are not met on a timely basis.

Federal Financial Report (FFR) required quarterly. Quarterly progress reports are required to monitor progress. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), which replaced the SF-269 and SF-272, which is due within thirty (30) days of the end of each calendar quarter (e.g., for the quarter ending March 31, the FFR is due no later than April 30). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due ninety (90) days after the end date of the performance period.

FFRs must be filed according to the process and schedule below:

FFRs must be filed manually to the GPD or Regional Point of Contact listed in Part VII below:

Reporting periods and due dates:

October 1 December 31; Due January 30  
 January 1 March 31; Due April 30  
 April 1 June 30; Due July 30  
 July 1 September 30; Due October 30

**Progress Reports.**

The Recipient shall submit quarterly performance reports within 30 days after the end of each period. Reports are due on, January 30, April 30 and July 30, October 30.

The report shall consist of a comparison of actual accomplishments to the approved project objectives and performance measures. Copies of Performance Reports must be submitted through the ND Grants system and the Program Officer listed in Part VII of the FY2012 grant guidance language.

**Final Report**

The recipient shall submit two error free color laser copies of a report to the Grants Management Specialist and the Program Officer listed in section VII within thirty (30) days after the expiration of the grant. The final report is due ninety (90) days after the end of the performance period. This report shall document and summarize the results of the entire project. The report shall provide a qualitative assessment of the impact this effort had related to emergency responder roadway operational safety public education and outreach, as well as documentation of met performance measures. The final report must be submitted in both Print and Web Publishing. Refer to program guidance. The Recipient shall submit quarterly performance reports within 30 days after the end of each period. Reports are due on, January 30, April 30 and

July 30, October 30.

The report shall consist of a comparison of actual accomplishments to the approved project objectives and performance measures. Copies of Performance Reports must be submitted through the ND Grants system and the Program Officer listed in Part VII of the FY2012 grant guidance language. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three (3) years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular three (3) year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-453.

**Obligations:**

(Project Grants) FY 11 \$7,340,000; FY 12 est \$7,134,100; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: States provided Performance Measures. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FEMA Performance Office of Partnership Agreement and Cooperative Agreement guidance, Office of Financial Management Modular Instruction, FEMA's National Dam Safety Program Implementation Plan (September 97).

**Regional or Local Office:**

See Regional Agency Offices. The National Dam Safety Program (NDSP) currently has four (4) Pilot Regions (IV, VI, VIII, IX). Also, see Regional Agency Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) Techworld Control Desk 500 C St. SW, 4th Floor, Room 427, Washington, District of Columbia 20472 Phone: (1-800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

97.023 Community Assistance Program State Support Services Element (CAP-SSSE)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.042 EMERGENCY MANAGEMENT PERFORMANCE GRANTS  
EMPG**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Section 662 of the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA) (Public Law 109-295), as amended by section 201 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (hereafter 9/11 Act) (Public Law 110-53); and the Robert T. Stafford Disaster Relief and Emergency Assistance Act, (Public Law 93-288), as amended, 42 U.S.C. 5121-5207, sections 201, 611(j) and 613; 42 U.S.C. 5131, 5196(j), and 5196b, respectively; specifically, the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), and Reorganization Plan No. 3 of 1978 (5 U.S.C. App.).

**OBJECTIVES:**

The EMPG Program provides resources to assist state, local, tribal and territorial governments in preparing for all hazards, as authorized by the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121 et seq.). Title VI of the Stafford Act authorizes FEMA to make grants for the purpose of providing a system of emergency preparedness for the protection of life and property in the United States from hazards and to vest responsibility for emergency preparedness jointly in the federal government and the states and their political subdivisions. The intent of the FY 2012 EMPG is to provide grant funding to assist state emergency management agencies in obtaining the resources required to support the National Preparedness Goals (NPGs) associated mission areas and core capabilities. The federal government, through the EMPG Program, provides necessary direction, coordination, and guidance, and provides necessary assistance, as authorized in this title so that a comprehensive emergency preparedness system exists for all hazards. The FY 2012 EMPG Program plays an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the NPG. The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 EMPG Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs. Examples of tangible outcomes from the EMPG Program include building and sustaining emergency management capabilities through:

- Building and Sustaining core capabilities
- Approved Emergency Plans
- Completion of Threat and Hazard Identification Risk Assessment (THIRA)
- Development and maintenance of multi-year training and exercise plans (TEPs)
- Targeted Training and verification of personnel capability
- Whole Community approach to security and emergency management

For more detailed guidance on the EMPG Program please refer to the FY 2012 Funding Opportunity Announcement (FOA).

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. EMPG Program grantees may only fund projects that were included in the FY 2012 Work Plan that was submitted to and approved by a FEMA Program Analyst. For more information, please see the FY2012 EMPG Program FOA. DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue

the Federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. EMPG Program grantees may only fund projects that were included in the FY 2012 Work Plan that was submitted to and approved by a FEMA Program Analyst. For more information, please see the FY2012 EMPG Program FOA.

**Applicant Eligibility:**

All 56 States and territories, as well as the Republic of the Marshall Islands and the Federated States of Micronesia, are eligible to apply for FY 2012 EMPG Program funds. Either the SAA or the States EMA are eligible to apply directly to FEMA for EMPG Program funds on behalf of State and local emergency management agencies, however only one application will be accepted from each State or territory.

**Beneficiary Eligibility:**

Funding under this program is ultimately used by emergency management organizations and programs of States, the District of Columbia, territories and possessions of the United States, local, and Indian Tribal governments.

**Credentials/Documentation:**

All EMPG Program applicants are encouraged to use the template to submit a required Work Plan that outlines the States emergency management sustainment and enhancement efforts, including new and ongoing projects, proposed for the FY 2012 EMPG Program period of performance. The Work Plan consists of a Program and Budget Narrative, Personnel Data Table, Training Data Table, Exercise Data Table, and Grant Activities Outline. FEMA regional offices will work closely with States to monitor Work Plans during the performance period. In addition, FEMA regional offices must approve final Work Plans before States may draw down EMPG Program funds. Grant funds will be released on a rolling basis upon approval of the States final Work Plan. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the FY2012 EMPG Program FOA. Applying for FY 2012 EMPG Program funds requires a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 immediately after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to grants.gov. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step 1 to grants.gov could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is May 4, 2012.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to award being issued.

**Deadlines:**

Feb 17, 2012 to May 04, 2012 Application Start Date: 02/17/2012  
Application Submission Deadline Date: 05/04/2012 at 11:59:59 PM EDT  
Anticipated Funding Selection Date: 06/29/2012  
Anticipated Award Date: 09/30/2012.

**Range of Approval/Disapproval Time:**

Refer to FY 2012 EMPG Program FOA. Anticipated Funding Selection Date is 06/29/2012.

**Appeals:**

Other - Not Specified.

**Renewals:**

A new application is required for each Federal fiscal year.

**Formula and Matching Requirements:**

Statutory Formula: Title Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.  
Matching Requirements: In FY 2012, the Federal share of the cost of an activity carried out using funds made available under the program shall not exceed 50 percent of the total budget. State cost match (cash or in-kind) requirement, as authorized by the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288), as amended, 42 U.S.C. 5121-5207, specifically, Title VI, sections 611(j) and 613. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds. FEMA administers cost matching requirements in accordance with 44 CFR 13.24 which is located at [http://www.access.gpo.gov/nara/cfr/waisidx\\_07/44cfrv1\\_07.html](http://www.access.gpo.gov/nara/cfr/waisidx_07/44cfrv1_07.html) or 2 CFR 215.23 which is located at [http://www.access.gpo.gov/nara/cfr/waisidx\\_07/2cfrv1\\_07.html](http://www.access.gpo.gov/nara/cfr/waisidx_07/2cfrv1_07.html). To meet matching requirements, the grantee contributions must be reasonable, allowable, allocable, and necessary under the grant program and must comply with all Federal requirements and regulations. In accordance with 48 U.S.C. 1469a, match requirements are waived for the insular areas: the U.S. territories of American Samoa, Guam, the U.S. Virgin Islands, the Trust Territory of the Pacific Island, and the Commonwealth of the Northern Mariana Islands. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Period of Performance is 24 months. For more information, refer to the FY 2012 EMPG Program FOA. Awards are subject to the Cash Management Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Grantees are responsible for completing and submitting the BSIR reports, as a compliment to the Quarterly Progress Report (programmatic performance report/SF-PPR). The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives. The first BSIR is not due until at least six months after the award notice has been received by the grantee. For more information, please see the FY2012 EMPG Program FOA. Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS. Grant Close-Out Process. Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. For more information, please see the FY2012 EMPG Program FOA. EMPG Program Quarterly Performance Progress Reports must be submitted to the EMPG Program Regional Program Analyst located at the FEMA regional office on a quarterly basis through the ND Grants System. The Quarterly Performance Progress Reports must be based on the approved EMPG Program Work Plan. The Quarterly Performance Progress Report should be completed using the SF-Performance Progress Report (SF-PPR), available at <http://www.whitehouse.gov/sites/default/files/omb/assets/omb/grants/approved>



\_forms/sf-ppr.pdf. If other formats are used at least equivalent information to that contained in the SF-Performance Progress Report has to be submitted. See FY 2012 EMPG Program FOA, Appendix B FY 2012 EMPG Program Priorities and Appendix D - FY 2012 EMPG Program Work Plan. Grantees are required to report on progress towards implementing plans described in their application. Additionally, as part of the SF-PPR, grantees are required to report on progress made towards implementing the following performance measures as described in Appendix B FY 2012 EMPG Program Priorities:

- Percentage completion towards CPG 101 v.2 compliance;
- Percent completion of the progressive exercise series to include percent completion of personnel participation;
- Any After Action Reports/Improvements Plans (AAR/IP) that relate to the four quarterly exercises and one full-scale exercise;
- A list of EMPG Program funded personnel along with the training completed together with the Personnel Data Table Template in Appendix D - FY 2012 EMPG Program Work Plan; and
- Percent of the Training and Exercise Plan (TEP) completed that was outlined in the FY 2012 EMPG Program Work Plan together with the Training and Exercise Data Tables Template. For more information, please see the FY2012 EMPG Program FOA. Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS. Grant Close-Out Process. Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. For more information, please see the FY2012 EMPG Program FOA. Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

#### **Account Identification:**

70-0519-0-1-999.

#### **Obligations:**

(Formula Grants) FY 11 \$329,140,440; FY 12 est \$339,500,000; and FY 13 Estimate Not Available

#### **Range and Average of Financial Assistance:**

For more information, refer to the FY2012 EMPG Program FOA.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Program funds were used to develop plans, conduct training and exercises to validate plans, procure equipment, and hire personnel to help in managing and administering the grant funds. The priority for FY2011 was advancing Whole Community Security and Emergency Management. As the country experiences threats of terrorist attacks (foreign and domestic) and natural disasters, communities are challenged to develop collective, local abilities to withstand the potential impacts of these events, respond quickly, and recover in a way that sustains or improves the communitys overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

FY2012 Emergency Management Performance Grants Funding Opportunity Announcement (EMPG Program FOA).

#### **Regional or Local Office:**

See Regional Agency Offices. FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.

#### **Headquarters Office:**

Grant Programs Directorate DHS/FEMA  
5071 D Techworld Building  
500 C Street SW, Washington, District of Columbia 20472 Phone: (1-800) 368-6498

#### **Website Address:**

<http://www.fema.gov/government/grant/index.shtm>

#### **RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.053 Citizen Corps; 97.067 Homeland Security Grant Program

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: FY2012 EMPG Program funding will be used to help develop approved emergency plans, complete Threat and Hazard Identification and Risk Assessments (THIRAs), Develop and maintain Multi-Year Training and Exercise Plans, and target the training and verify the capability of emergency management personnel. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

All Work Plans will require final approval by the corresponding FEMA Region. Grantees who have not submitted their Work Plan as part of their application will not be issued an award until such Work Plan is received, reviewed, and approved by the FEMA Region. Grantees will be notified by their FEMA Regional Program Analyst should any component of the EMPG Program application require additional information. For more information, refer to the FY2012 EMPG Program FOA.

#### **97.043 STATE FIRE TRAINING SYSTEMS GRANTS**

National Fire Academy State Fire Training Grants

#### **FEDERAL AGENCY:**

Department of Homeland Security

#### **AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974, Title 21, Public Law 93-498; Homeland Security Act of 2002, Public Law 107-296; U.S.A. Patriot Act of 2001, Public Law 107-56; Federal Emergency Management Agency, Executive Order 12127.

#### **OBJECTIVES:**

To provide financial assistance to State Fire Training Systems for the delivery of a variety of National Fire Academy (NFA) courses/programs, administrative costs, and electronic student feedback.

**TYPES OF ASSISTANCE:**

**PROJECT GRANTS**

**USES AND USE RESTRICTIONS:**

Uses: Grant funds are to be used within each State to deliver NFA training courses/programs and for marketing, administrative costs, and electronic feedback of student data. Each State Fire Training System (State) will receive a total of \$20,000 with \$15,000 earmarked for delivery of NFA training programs and \$5,000 for marketing, administrative costs, and electronic feedback of student data.

Restrictions: DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants / cooperative agreements, or for lobbying or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. States must use funds for the purpose of delivering NFA- developed courses. Funds unused by a State may be reallocated to other States. Pre-award costs are allowable only with the written consent of DHS and such costs must be reflected in the award agreement. See program guidance for information on eligibility. Applicant eligibility is restricted to the 50 State Fire Training Systems.

**Applicant Eligibility:**

Representatives from the 50 State Fire Training Systems.

**Beneficiary Eligibility:**

Specialized Group; fire and emergency response personnel.

**Credentials/Documentation:**

Credentials: Applicants must provide a work plan that includes a narrative project description along with the proposed costs for the project. (Allowable costs are determined by reference to OMB Circular No. A-87). The work plan will be used as a guide by the program office to approve / disapprove payment requests, therefore, the plan must be specific and must align with the amount of funding requested / received for the project description.

Documentation: All beneficiaries / students must submit the standard FEMA Form 75-5 (long form) to the State or sponsoring host organization prior to the start of the class. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. Only applications made through [www.grants.gov](http://www.grants.gov) will be accepted. The on-line application requires (among other documentation), the Standard Forms 424, Project Narrative, and Budget. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other procedural information, refer to program guidance.

**Award Procedure:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA/NFA Project Officer based on the program criteria identified in the announcement / guidance. Notification of award is made through the electronic Non Disaster Grant System (NDGrants). Once an award has been approved, a notice is sent to the authorized grantee official. Awards are subject to certain administrative, national policy, and cost principle

requirements delineated in both 2 CFR and 44 CFR. For complete information on the award procedure, and CFR (and other) requirements, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Quarterly progress reports. Quarterly Financial Status Reports Audits (112): In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 11 \$1,248,000; FY 12 est \$1,200,000; and FY 13 est \$1,000,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Delivered National Fire Academy 2/6 day off campus courses, State sponsored courses, Endorsement Program courses, and the Chief

Officer training curriculum in State and local areas of the Nation to 30,963 students. Fiscal Year 2012: Anticipated to deliver National Fire Academy 2/6 day off campus courses, State sponsored courses, Endorsement Program courses, and the Chief Officer training curriculum in State and local areas of the Nation to an estimated 43,000 students. Fiscal Year 2013: Anticipated to deliver National Fire Academy 2/6 day off campus courses, State sponsored courses, Endorsement Program courses, and the Chief Officer training curriculum in State and local areas of the Nation to an estimated 43,000 students.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

See Regional Agency Offices. FEMA regional offices.

**Headquarters Office:**

FEMA Emergency Management Agency 500 C Street, SW, Washington, District of Columbia 20472 Phone: (1-800) 621-3362

**Website Address:**

<http://www.usfa.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance.

**97.044 ASSISTANCE TO FIREFIGHTERS GRANT**

(Fire Grants)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C 2229 et seq.

**OBJECTIVES:**

To provide funding directly to fire departments and emergency medical services (EMS) organizations of a State for the purpose of enhancing departments abilities to protect the health and safety of the public, as well as that of firefighting personnel, facing fire and fire-related hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Competitive grants for the AFG program are awarded to support firefighting and EMS operations and safety, vehicle acquisition, regional projects. Specific activities funded include professional training, wellness and fitness programs, equipment, personal protective equipment, modifications to facilities for first responder safety, other equipment and supplies that support firefighting and EMS operations and safety; firefighting vehicles, and emergency vehicles. Grants also are awarded for the Fire Prevention and Safety program are awarded to support activities to protect the public from fire and fire-Related hazards. Specific activities funded include general public education and awareness; code enforcement and awareness; fire and arson investigation; national, state, and regional programs and studies; and firefighter safety and research and development. Grants for the Staffing for Adequate Fire and Emergency Response (SAFER) grant program are awarded to help fire departments and volunteer firefighter interest organizations to increase the number of frontline firefighters in their community and to enhance the capabilities of local fire departments to comply with staffing, response, and operational standards established by the NFPA and OSHA (NFPA 1710 and/or NFPA 1720 and OSHA 1910.134). Yes. Grantees must adhere to the restrictions stated in the guidance and application kit for the program and fiscal year in which they receive the award. Furthermore, as a condition of receiving an award, grantees also must agree to adhere to the award articles of agreement that require grantees to use the funds for the purpose stated in the awarded grant applications, and to meet the special conditions specified in the articles of agreement.

**Applicant Eligibility:**

Eligible applicants for AFG are limited to fire departments and nonaffiliated EMS organizations. Fire departments or nonaffiliated EMS organizations operating in any of the 50 States plus the District of Columbia, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, and Puerto Rico are eligible for funding. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression to a population within a fixed geographical area on a first-due basis. A "nonaffiliated EMS organization" is defined as a public or private nonprofit emergency medical services organization that provides direct emergency medical services, including medical transport, to a specific geographic area on a first-due basis but is not affiliated with a hospital and does not serve a geographic area where emergency medical services are adequately provided by a fire department.

**Beneficiary Eligibility:**

The ultimate beneficiaries of this program are the local or tribal communities serviced by the fire department, including, but not limited to, local businesses, homeowners and property owners. Additionally, children under 16 years of age, senior citizens, and firefighters would be the beneficiaries since these groups are the targeted "risk groups" for the fire prevention program.

**Credentials/Documentation:**

Each applicant must certify: 1) that they are an eligible applicant, i.e., a fire department, as defined above; 2) as to the characteristics of their community, i.e., urban, suburban, or rural; 3) to the population size of the community served; and, 4) to their department type, i.e., volunteer, combination, or career. Eligible applicants for the AFG program are limited to fire departments and nonaffiliated EMS organizations operating in any of the 50 States plus the District of Columbia, the Commonwealth of the Northern Mariana Islands, the Virgin Islands, Guam, American Samoa, and Puerto Rico. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression to a population within a fixed geographical area on a first-due basis. A "nonaffiliated EMS organization" is defined as a public or private nonprofit emergency medical services organization that provides direct emergency medical services, including medical transport, to a specific geographic area on a first-due basis but is not affiliated with a hospital and does not serve a geographic area where emergency medical services are adequately provided by a fire department. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

There is no preapplication form required under this grant program. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. The application deadline and other relevant information are contained in the application and in the program-specific guidance and application kits.

**Award Procedure:**

Submitted applications are reviewed by peer review panelists and then by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the program guidance and application kit document.

**Appeals:**

Applicants whose grant requests are not recommended for funding after the peer review panel evaluation may request a reconsideration of that decision. Such a request may be successful if it is determined that the rating criteria were

not appropriately applied, or there was a flaw in the competitive process that unfairly disadvantaged the applicant, or there was human error in the processing of the grant application. Requests for reconsideration must be submitted in writing within 30 days of the date of the notification of denial.

**Renewals:**

The AFG award period of performance is 1 year. Grantees may request an extension if they are unable to fulfill their grant obligations before the end of the 1-year period. Such requests will be considered and approved based on the written justification.

**Formula and Matching Requirements:**

Statutory Formula: 44 CFR 152.

Matching Requirements: Applicants who protect a population of over 50,000 are required to provide a nonfederal cost-share of not less than 20 percent of the total award. Applicants who protect a population between 20,000 and 50,000 are required to provide a nonfederal cost-share of not less than 10 percent of the total award. Applicants who protect a population of less than 20,000 are required to provide a nonfederal cost-share of not less than 5 percent of the total award. No waivers of this requirement will be granted except for fire departments of Insular Areas as provided for in 48 U.S.C. 1469a.

This program has MOE requirements, see funding agency for further details. This program also has a Maintenance of Effort (MOE) in that grantees are required to maintain operating expenditures during the grants period of performance in the areas funded by a grant at a level equal to or greater than the average of their operating expenditures in the 2 years preceding the year in which the grant is received. This requirement is intended to ensure that the Federal funds are used to supplement, not supplant, existing resources. In addition, this program will allocate more than \$100 million in grants during the current fiscal year.

**Length and Time Phasing of Assistance:**

Grants are available during the period of performance, which is 1 year. Refer to the program guidance and application kit for specific details. See the following for information on how assistance is awarded/released: Electronic funds transfer.

**Reports:**

Grantees are required to submit semiannual financial and performance reports. The "Progress Reports" must include a narrative statement that details the progress of each award. Reports are due 30 days after the end of the sixth month of the performance period. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Grantees are required to maintain and retain backup documentation such as bids, quotes, and cost/price analyses on file for Federal auditors. The required documentation for federally funded purchases should include specifications, solicitations, purchase orders, invoices, cancelled checks, copies of competitive quotes or proposals, and basis for selection.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0561-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$677,058,272; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2229 et seq. In addition, the program guidance and application kit, the FAQs, an applicant tutorial, and other program information can be found on the program's website at [www.fema.gov/firegrants](http://www.fema.gov/firegrants).

**Regional or Local Office:**

See Regional Agency Offices. The Assistance to Firefighters Grants are administered by FEMA. FEMA has 10 regional offices which employ Fire Program Specialists who may be contacted for information on the program.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate, Assistance to Firefighters Grant Program, TechWorld Bldg - South Tower, 5th Floor, 500 C Street, SW , Washington, District of Columbia 20472 Email: [firegrants@dhs.gov](mailto:firegrants@dhs.gov) Phone: (866) 274-0960

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

44 CFR 152. Refer to the current fiscal year AFG guidance and application kit for specific eligibility and award criteria.

**97.045 COOPERATING TECHNICAL PARTNERS**

CTP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Flood Insurance Act of 1968

, 42 U.S.C 4101; Flood Disaster Protection Act of 1973; National Flood Insurance Reform Act of 1994.

**OBJECTIVES:**

To increase local involvement in, and ownership of, the production development and maintenance of Flood Insurance Rate Maps (FIRMS) and risk related products produced for the National Flood Insurance Program (NFIP). To build and maintain partner capabilities, continue to increase local ownership of data and processes, establish sound performance criteria for current Cooperating Technical Partners (CTPs), and to define a career path for potential CTPs to join the program.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

For costs associated with Program Management and Technical Mapping Activities as delineated in the FY 2012 program guidance. Allowable costs are determined by reference to OMB Circulars A-122, A-21, and A-87. Use of funds must be consistent with the statutory authority for the award. Restrictions: The recipient must have in-house staff capabilities in the appropriate technical area for the activity approved in the award. If the work for any portion of a mapping activity is contracted, the recipient of the award must have in-house staff with the technical capability to monitor the contractor(s) and approve the product(s) developed by the contractor(s). Applicants must meet the six (6) eligibility criteria outlined in the FY 2012 program guidance. This criteria includes (but is not limited to) the requirement that potential partners have existing processes and / or systems in place to support mapping or data collection activities that contribute to flood hazard identification and that potential partners have the demonstrated capability and capacity to implement, or contract the activities for which funding is being sought.

**Applicant Eligibility:**

All States and Commonwealths (including the District of Columbia and territories and possessions of the United States), regional agencies, and communities may apply. Applicants must be communities participating and in good standing in the NFIP or service participating NFIP communities in good standing.

**Beneficiary Eligibility:**

State, local, specialized group, small business, general public.

**Credentials/Documentation:**

Potential partners / applicants must meet the criteria outlined in section 2.3.1 of the FY 2009 program guidance and Applicants must be communities participating and in good standing in the NFIP. Documentation: Allowable costs are determined by reference to OMB Circulars A-122, A-21, and A-87. For complete information on credentials and documentation, please refer to program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

All applicants should consult with the FEMA Regional office for application information and technical assistance. Non-profits should consult with FEMA HQ for application information and technical assistance. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. FEMA participates in the Administrations e-government initiative. As part of that initiative, all applicants must file their application using the Federal electronic storefront portal Grants.gov. Eligible applicants must apply through this portal, accessible on the Internet at <http://www.grants.gov>. For complete information on all required forms, attachments, submission instructions / requirements, deadlines, and other procedural information, please refer to program guidance.

**Award Procedure:**

DHS/FEMA staff will review the submitted applications and make determinations about the potential applicant's capability, capacity, and experience with earned value management systems. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Grant dollars will be awarded in the current fiscal and grants are typically 3-5 years in length. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Progress Reports and Financial Status Reports (FSRs) must be submitted quarterly. These reports are due on January 30, April 30, July 30, and October 30. Progress Reports must include the progress of each sub-grant award. Semi-annual reports are required twice within a year and the due dates are established by the FEMA Regional office. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Reports must be submitted to the FEMA Regional CTP Grant Officers. For complete information regarding report submission requirements, refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-5464-0-2-453.

**Obligations:**

(Project Grants) FY 11 \$68,000,000; FY 12 est \$19,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

2011 actual - approximately \$68,000,000  
2012 projected - \$19,500,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Annual program guidance is available to all CTP initiative participants and the general public on through the funding opportunity on [www.grants.gov](http://www.grants.gov)

**Regional or Local Office:**

See Regional Agency Offices. FEMA Regional Offices will manage all Regional program activities under the CTP Program and HQ will manage all HQ activities. See the program guidance for a listing of FEMA Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 245 Murray Lane, Bldg 410, Washington, District of Columbia 20523  
Email: askesid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.046 FIRE MANAGEMENT ASSISTANCE GRANT**

FMAG

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Act, Section 420, Public Law 93-288, 42 U.S.C 5187.

**OBJECTIVES:**

To provide grants to States, Indian tribal governments and local governments for the mitigation, management and control of any fire burning on publicly (nonfederal) or privately owned forest or grassland that threatens such destruction as would constitute a major disaster.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; PROVISION OF SPECIALIZED SERVICES

**USES AND USE RESTRICTIONS:**

Fire Management Assistance Grants are made in the form of cost-sharing grants for the mitigation, management, and control of any fire on publicly (nonfederal) or privately owned forestland or grassland that threatens such destruction as would constitute a major disaster. The Fire Management Assistance Grant Program, authorized by the Stafford Act and amended by the Disaster Mitigation Act of 2000, provides for the mitigation, management and control of fires that threaten such destruction as would constitute a major disaster.

**Applicant Eligibility:**

State governments and Indian tribal governments are eligible for fire management assistance grants. The State or Indian tribal government may be the Grantee. The Grantee is the government to which a grant is awarded, and is accountable for the use of funds provided.

**Beneficiary Eligibility:**

The State Government and/or Indian tribal government, acting as the Grantee, is the government to which the grant is awarded and which is accountable for the use of the funds provided. Other State entities, Indian tribal governments and local governments are eligible to apply for subgrants.

**Credentials/Documentation:**

Costs will be determined in accordance with FEMA Regulations, 44 CFR Part 204. Federal funds will be awarded to subgrantees in accordance with State law and procedure and in compliance with 44 CFR Part 13 and 204. Grant awards will be determined in accordance with OMB Circulars No. A-87 and No. A-102 for State and local governments. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

A FEMA-State Agreement and/or Indian tribal Agreement for the Fire Management Assistance Grant Program (the agreement) is signed by the Governor/Indian tribal government and the Regional Administrator at the beginning of the calendar year or after a State's first fire management assistance grant declaration in a calendar year. The agreement is amended for subsequent approvals of assistance for the remainder of the year. This agreement outlines the level of fire management assistance to be provided for all fires declared during the calendar year, and contains the necessary terms and conditions for requesting and receiving assistance. An environmental impact statement is

required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A State Governor, or Governor's Authorized Representative, may request a fire management assistance declaration through the FEMA Regional Administrator. To expedite the request, the State may submit a telephone request to the Regional Administrator, promptly followed by a confirming message or letter. The FEMA Regional Administrator will render a decision on the State's request and notify the State and FEMA Headquarters of this decision. This decision may be relayed by telephone, to be followed by a written determination.

**Award Procedure:**

Requests for fire management assistance declarations must be submitted while a fire is burning uncontrolled and threatens such destruction as would constitute a major disaster. The State should submit its grant application within nine (9) months of the declaration. Upon receipt of a written request from the State, the Regional Administrator may grant an extension for up to three (3) months.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

From 1 hour to 72 hours.

**Appeals:**

States have the recourse to two types of appeals under the Fire Management Assistance Grant Program. Under the first type of appeal, a Governor, Governor's Authorized Representative, may appeal a denial of its request for a fire management assistance declaration. The State should submit this one-time request for reconsideration in writing, with additional information, to the Deputy Associate Administrator of the Response and Recovery Directorate through the Regional Administrator. The appeal must be submitted within 30 days of the date of the letter denying the State's request. The Deputy Associate Administrator will render the final determination on this type of appeal within 90 days of receipt of the appeal or receipt of the additional information requested. The Deputy Associate Administrator may extend the 30-day period provided that the Governor, or the Governor's Authorized Representative, submits a written request for a time extension within the 30-day period. The Deputy Associate Administrator will evaluate the need for an extension based on the reasons cited in the request and either approve or deny the request for an extension. Under the second type of appeal, an applicant or subgrantee may appeal any determination FEMA makes under an approved fire management assistance declaration through a two level appeal process. Appellants must file appeals within 60 days after receipt of a notice of the action that is being appealed. The Grantee will review and forward appeals from an applicant or subgrantee, with a written recommendation, to the Regional Administrator within 60 days of receipt. The Regional Administrator will render a determination on first appeals for fire management assistance grant-related decisions within 90 days following receipt of the appeal or requested additional information. In the event the Regional Administrator denies the appeal, the applicant may submit a second-level appeal to the Assistant Administrator of the Disaster Assistance Directorate. Within 90 days following receipt of a second appeal, the Assistant Administrator, will notify the grantee in writing of the disposition of the appeal or of the need for additional information. If the decision is to grant the appeal, the Regional Administrator will take appropriate implementing action. The decision of the Assistant Administrator at the second appeal level shall be the final administrative decision of FEMA.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Fire Management Assistance Grants may be available to States on a 75 percent Federal/25 percent nonfederal cost-sharing basis when we determine that the State's application demonstrates either of the following: total eligible costs for the declared fire meet or exceed the individual fire cost threshold or total costs of all declared and non-declared fires in a given

calendar year meet the cumulative fire cost threshold. The individual fire cost threshold for a State for FY 2010 is the greater of \$100,000 or five percent x \$1.29 x state population. The cumulative fire cost threshold for a State FY 2010 is the greater of \$500,000 or three times the five percent x \$1.29 x State population. Both formulas are adjusted annually for inflation using the Consumer Price Index for All Urban Consumers published annually by the Department of Labor.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The time interval during which a declared fire occurs is the incident period. Generally costs must be incurred during the incident period to be considered eligible. Pre-positioning of resources may be approved for Federal funding up to a maximum of 21 days before a declared fire. Mobilization and demobilization also occur outside the incident period and are eligible for Federal funding. Temporary repair work must be completed within 30 days of the close of the incident period for the declared fire. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Within 90 days of the Performance Period expiration date, the State must submit a Financial Status Report (FEMA Form 425 ) which reports all costs incurred within the incident period and all administrative costs incurred within the performance period. The performance period, defined on the SF-424, may be 9 months from the close of the incident period and may be extended for an additional 3 months by the Regional Administrator. During the performance period the Grantee will submit the subgrants, which document eligible costs; FEMA will review the eligibility of costs, and process, obligate, and close- out the grant. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 11 \$21,669,867; FY 12 est \$34,000,000; and FY 13 est \$50,000,000

**Range and Average of Financial Assistance:**

None.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance, Fire Management Assistance Grant Program Regulations, 44 CFR Part 204. See the Fire Management Assistance Grant Program page at: <http://www.fema.gov/government/grant/fmagp/index.shtm>.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of

addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security / FEMA / Public Assistance Division, Control Desk 4th Floor, Room 427, 500 C St. SW, Washington, District of Columbia 20472 Phone: (1-800) 621-FEMA (3363)

**Website Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.047 PRE-DISASTER MITIGATION**

PDM

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 203, 42 U.S.C 5133.

**OBJECTIVES:**

The Presidents budget for FY 2013 recommends no funding for the PDM program. Given this, FEMA does not plan to open an application period for the program unless funds are appropriated in the FY 2013 DHS Appropriation Bill. If funds are appropriated, FEMA will post a notice of funding availability via [grants.gov](http://grants.gov) and open an application period at that time.

The objective of the program is to provide funding support to states, tribes, territories, communities, and public colleges and universities for pre-disaster mitigation planning and projects primarily addressing natural hazards. This program promotes implementation of activities designed to reduce injuries, loss of life, and damage and destruction to property from natural hazards. DHS QHSR Goal 5.1, Mitigate Hazards.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Mitigation Planning: Planning activities that develop state, Indian tribal, local, and university hazard mitigation plans that meet planning criteria outlined in 44 CFR Part 201 are eligible for the PDM program. Hazard mitigation planning activities must primarily focus on natural hazards but may also address hazards caused by manmade events. Either single or multi-jurisdictional hazard mitigation plans may be submitted for funding. Mitigation Projects: Proposed multi-hazard mitigation projects must primarily focus on natural hazards. Funding is restricted to a maximum of \$3 million Federal share per project subapplication. Hazard mitigation is any sustained action taken to reduce or eliminate long-term risk to people and property from natural hazards and their effects. Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements. Please see the HMA program guidance for detailed information.

**Applicant Eligibility:**

Entities eligible to apply for HMA grants include the emergency management agency or a similar office of the 50 States, the District of Columbia, American Samoa, Guam, the U.S. Virgin Islands, Puerto Rico, the Northern Mariana Islands, and federally-recognized Indian Tribal Governments. Each State, Territory, Commonwealth, or Indian Tribal government shall designate one agency to serve as the Applicant for each HMA program. Please see the HMA program guidance for more detailed information.

**Beneficiary Eligibility:**

State agencies, Indian Tribal governments, and local governments and communities are eligible to apply as subapplicants for assistance under the PDM program. All interested subapplicants must apply to the Applicant, which

is either a State, Territory or federally-recognized Indian Tribal Government, who then applies to FEMA. Please see the HMA program guidance for detailed information.

**Credentials/Documentation:**

Please see the HMA program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines.

**Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

**Appeals:**

Refer to HMA program guidance document.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula: Title Robert T. Stafford Disaster Relief and Emergency Assistance Act, Chapter 42, Part 5133, Public Law 100-707.

Matching Requirements: Refer to HMA program guidance for additional information.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to HMA program guidance for information on applicable Periods of Performance and Availability of Funds. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need - Refer to HMA program guidance for additional information.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the

progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0508-0-1-402.

**Obligations:**

(Project Grants) FY 11 \$90,000,000; FY 12 est \$35,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to HMA program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Provided up to \$70 million in grant funds for mitigation activities in 39 States and Territories and five Indian Tribal Nations.

Developed a strategy and procedures from both a nationwide and regional perspective to programmatically and administratively close out projects awarded under HMA programs

The Pre-Disaster Mitigation grant program continues to award millions of dollars annually in project and planning grants that promote implementation of activities designed to reduce injuries, loss of life, and damage and destruction to property from natural hazards. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Awards will be governed by Section 203 of the Stafford Act; the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80; and the Hazard Mitigation Assistance Unified grant program guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for the list of addresses of Federal Emergency Management Agency Regional Offices. A list of FEMA regional offices also is available on the Internet at <http://www.fema.gov/about/contact/regions.shtm>.

**Headquarters Office:**

Franki Coons - FEMA 1800 South Bell Street, Arlington, Virginia 20598-3015  
Email: Franki.Coons@fema.dhs.gov Phone: (202) 646-3079 Fax: (202) 646-2880

**Website Address:**

<http://www.fema.gov/government/grant/pdm/index.shtm>

**RELATED PROGRAMS:**



97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.092 Repetitive Flood Claims; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures. Fiscal Year 2012: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures. Fiscal Year 2013: Grants for mitigation projects vary and include activities such as retrofitting structures to resist flood, wind, and earthquake damage; elevating structures above base flood levels; property acquisition and demolition or relocation for the creation of open space; and, minor flood reduction and drainage measures.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

**97.048 FEDERAL DISASTER ASSISTANCE TO INDIVIDUALS AND HOUSEHOLDS IN PRESIDENTIAL DECLARED DISASTER AREAS IHP**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended , Public Law 106-390.

**OBJECTIVES:**

To provide financial assistance to individuals and households affected as a direct result of a Presidentially declared major disaster or emergency, who have uninsured or under-insured, necessary expenses and serious needs and are unable to meet such expenses or needs through other means. This program supports disaster recovery by providing the financial means to disaster survivors to secure adequate interim and long-term housing in addition to other necessary expenses and serious needs.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use; PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, wildfire, or flood, etc. Program activates only after issuance of a presidential declaration. Housing Assistance, either Financial or Direct, may be provided for the following: (1) Temporary Housing, (2) Home Repair, (3) Home Replacement and (4) Permanent Housing Construction. Assistance not used for the specified purpose will be required to be returned. Other Needs Assistance may be provided for: (1) Medical, (2) Dental, (3) Funeral, (4) Personal Property, (5) Transportation, and (6) Other Miscellaneous Expenses. Assistance not used for the specified purpose will be required to be returned. If the State is providing for other needs under Section 408(f) of the Stafford Act, please refer to CFDA 97.050.

**Applicant Eligibility:**

Individuals and households, in areas declared an emergency or major disaster by the President, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance, are eligible to apply for this program. All needs must be caused by the disaster. The individual or a member of the household must be a citizen of the United States, a non-citizen national, or a qualified alien. Housing Assistance: 1) Temporary Housing Assistance - proof of primary residence; disaster caused displacement, and/or paid receipts for Rent or Lodging Expenses; 2) Repair - primary residence, proof of residency and ownership; disaster related home damage; 3) Replacement - primary residence, proof of residency and ownership; home destroyed by the disaster; 4) Permanent Housing Construction - primary residence, proof of residency and ownership; disaster related home damage, home is located in an insular area outside the continental United States or in other remote locations. Alternative housing resources are unavailable, infeasible, or not cost-effective.

Other Needs Assistance: 1) Medical-disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental-disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral - disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property proof of ownership; disaster related personal property damage; 5) Transportation, proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; 6) Other Necessary Expenses and Serious Needs Identified, the expense or need must be caused by the disaster and approved by FEMA.

**Beneficiary Eligibility:**

Individual/Family; Homeowner (located within an area which has been designated as a disaster area, by Presidential declaration).

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206.110-120. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. Environmental impact information is not required for this program. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. Environmental impact information is not required for this program.

**Award Procedure:**

A Presidential Disaster or Emergency Declaration must be issued, before individuals and households can register an application for assistance with FEMA via a toll-free number or FEMA's Internet Application or by visiting a Disaster Recovery Center. Assistance for real property damages will not be awarded to individuals residing outside of the area declared as a disaster. Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster. Households receive assistance directly from FEMA or through disaster aid programs of other participating federal or state agencies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Varies, in general 7-21 days. Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. Housing - not applicable. Other Needs - FEMA or the State may administer the Other Needs Assistance

Program. State provides 25 percent of the funds for the total number of grants disbursed for the designated disaster. Federal Government provides the remaining 75 percent of the costs for grant awards as well as the regulations, policies, and procedures that govern the program. States may also receive up to 5 percent of the Federal share of the program for administrative costs. The Governor may request a loan of the State's 25 percent share. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, one time grant assistance with a total assistance period not exceeding 18 months. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

No reports are required.

**Audits:**

This program is excluded from coverage under OMB Circular No. A-133. Refer to program guidance.

**Records:**

Internal program audits are conducted.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 11 \$875,540,254; FY 12 est \$266,089,709; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 11: Award Range: \$50 - \$30,200; Average Award: \$4,074  
FY 12: Award Range: \$50 - \$31,400; Average Award: \$2,982  
FY 13: Estimate not available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: FEMA provided financial assistance to 198,849 individuals and households affected by disasters such as hurricanes, tornadoes, wildfires, and flooding. Fiscal Year 2012: FEMA provided financial assistance to 74,710 individuals and households affected by disasters such as hurricanes, tornadoes, wildfires, and flooding. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Emergency Assistance Regulations, 44 CFR 206.110-120.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, SW, Sixth Floor, Washington, District of Columbia 20472-3100 Phone: (202) 212-1000

**Website Address:**

www.FEMA.gov.

**RELATED PROGRAMS:**

97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households; 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.049 PRESIDENTIAL DECLARED DISASTER ASSISTANCE - DISASTER HOUSING OPERATIONS FOR INDIVIDUALS AND HOUSEHOLDS**

DHOPS

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, Section 408, Public Law 106-390.

**OBJECTIVES:**

To address disaster related housing needs of individuals and households suffering hardship within an area which by Presidential declaration has been designated as a disaster area supporting the established PPD8 Recovery goal of providing adequate interim and long-term housing for survivors..

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Provision of Specialized Services

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disaster or emergencies such as an earthquake, hurricane, tornado, floods, or wildfire, etc. Program activates only after issuance of a presidential declaration. Direct assistance under this program is used for temporarily housing disaster victims who lack available housing resources and would be unable to make use of potential financial assistance to rent an alternative place to live. Refer to program guidance.

**Applicant Eligibility:**

Individuals and households, in areas which have received a Presidential emergency or major disaster declaration, whose primary residence has been damaged or destroyed and whose losses are not covered by insurance are eligible to apply for this program. The individual or household member must be a citizen of the United States, a non-citizen national, or a qualified alien. Direct Assistance - proof of residency, displacement must be caused by the disaster; and financial assistance to rent an alternative place to live is determined not to be a feasible option by the Federal Emergency Management Agency (FEMA).

**Beneficiary Eligibility:**

Individual/Family (located within a Presidentially - declared emergency or disaster area).

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The State Governor makes a request for a Presidential declaration of an emergency or a major disaster through the FEMA Regional Director. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. A Presidential disaster or emergency declaration must first be issued. Afterwards, individuals and households within an area which has received a Presidential disaster or emergency declaration, may register an application for assistance with FEMA via a toll-free number, FEMA's online application, or by visiting a Disaster Recovery Center.

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster area. Households receive assistance directly from FEMA or State.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, limited to an assistance period not exceeding 18 months. See the following for information on how assistance is awarded/released: Based on program need.

**Reports:**

Quarterly and final financial reports are required. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$46,200,191; FY 12 est \$150,000,000; and FY 13 est \$100,000,000

**Range and Average of Financial Assistance:**

Not applicable.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: A total of 1,698 units were occupied by displaced disaster survivors during FY2011. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Federal Disaster Assistance Regulations, 44 CFR 206.101.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street SW, Sixth Floor, Washington, District of Columbia 20472-3100 Phone: (202) 212-1000

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas ; 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not applicable.

**97.050 PRESIDENTIAL DECLARED DISASTER ASSISTANCE TO INDIVIDUALS AND HOUSEHOLDS - OTHER NEEDS**

ONA

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended , Section 408, Public Law 106-390.

**OBJECTIVES:**

This program supports disaster recovery by providing financial assistance to disaster survivors affected by a disaster or emergency declared by the President in order to repair or repurchase essential items needed to support adequate interim and long-term housing in addition to other necessary expenses and serious needs which cannot be met through other forms of disaster assistance or through other means such as insurance.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE

**USES AND USE RESTRICTIONS:**

Restricted to Presidential-declared disasters or emergencies, such as an earthquake, hurricane, tornado, wildfire, or flood, etc. The Other Needs Assistance provision of the Individuals and Households Program activates only after issuance of a presidential declaration. "Other Needs Assistance" may be provided for the following: 1) Medical, 2) Dental, 3) Funeral, 4) Personal Property, 5) Transportation, and 6) Other Miscellaneous Expenses. Assistance not used for the specified purpose will be required to be returned. If FEMA is administering the Other Needs Assistance, please refer to CFDA 97.048.

**Applicant Eligibility:**

A Presidential Disaster or Emergency Declaration must first be issued. To receive the grant, the state must make an annual submission of the OMB form 010-1-11 (formerly 90-153).

**Beneficiary Eligibility:**

Applicant Eligibility for individuals and households affected by a Presidential-declared disaster or emergency: 1) Medical disaster caused expenses, and/or paid receipts (bills) for medical treatment; 2) Dental disaster caused expenses, and/or paid receipts (bills) for treatment; 3) Funeral disaster caused expenses, and/or paid receipts (bills) for services; 4) Personal Property proof of ownership; disaster caused personal damage; 5) Transportation proof of ownership; vehicle complies with State laws, disaster caused vehicle damage; and 6) Other Necessary Expenses and Serious Needs Identified the expense or need must be caused by the disaster and approved by FEMA.

**Credentials/Documentation:**

FEMA Disaster Assistance Regulations at 44 CFR Part 206. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Based on damage assessments and an agreement to commit state funds and resources to the long-term recovery, the State Governor makes a request (through the FEMA Regional Director) for a Presidential Declaration for an emergency or major disaster. Requests for assistance must be made by the Governor in accordance with FEMA Disaster Assistance Regulations, 44 CFR 206, except as provided in Part 206.24(d) for emergency declarations involving primarily Federal responsibility. If the State has selected the program for Review, an applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. A Presidential Disaster or Emergency Declaration must first be issued. To receive the grant, the state must make an annual submission of the OMB form 010-1-11 (formerly 90-153).

**Award Procedure:**

Funds are allocated from the President's Disaster Relief Fund for use in a designated emergency or major disaster. Households receive assistance directly from FEMA or through disaster aid programs of other participating federal or state agencies.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

7-21 days. Generally, individual and household applications for disaster assistance must be filed within 60 days of the disaster declaration.

**Appeals:**

Appeals of program decisions must be submitted in writing within 60 days of the date of the notification letter.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory Formula:

Matching Requirements: Percent: 25%. The State provides 25 percent of the funds for the total number of grants disbursed for the designated disaster. The Federal Government provides the remaining 75 percent of the costs for grant awards as well as the regulations, policies, and procedures that govern the provision. States may also receive up to 5 percent of the Federal share of the provision for administrative costs. The Governor may request a loan of the State's 25 percent share.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Generally, a one time assistance payment, with a total assistance period of no longer than 18 months. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Quarterly and final financial reports are required. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. Internal program audits are conducted.

**Records:**

Expenditure records (receipts) and related documents must be retained by the recipient for 3 years from the date of payment.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$9,877,725; FY 12 est \$4,553,843; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 11: Award Range: \$50 - \$30,200; Average Award: \$307

FY 12: Award Range: \$50 - \$31,400; Average Award: \$346.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In coordination with States, FEMA provided Other Needs Assistance to 25,337 individuals and households affected by disasters such as hurricanes, tornadoes, wildfires, and flooding. Fiscal Year 2012: In coordination with States, FEMA provided Other Needs Assistance to 28,408 individuals and households affected by disasters such as hurricanes, tornadoes, wildfires, and flooding. Fiscal Year 2013: No Current Date Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Emergency Assistance Regulations, 44 CFR 206.110-120.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses for FEMA's Regional Offices.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, SW, Sixth Floor, Washington, District of Columbia 20472-3100 Phone: (202) 212-1000

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

97.048 Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas ; 97.049 Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.052 EMERGENCY OPERATIONS CENTER**

(EOC)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The EOC Grant Program is authorized by section 614 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act ( 42 U.S.C. 5196c) as amended by section 202 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53), Public Law 110-53; Funds for the FY 2011 EOC Grant Program are appropriated under the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10)., Public Law 112-10.

**OBJECTIVES:**

The purpose of the Emergency Operations Center (EOC) Grant Program is to improve emergency management and preparedness capabilities by supporting flexible, sustainable, secure, strategically located and fully interoperable EOCs with a focus on addressing identified deficiencies and needs. This program provides funding for construction or renovation of a State, local or Tribal government's principal EOC. Fully capable emergency operations facilities at the State and local levels are an essential element of a comprehensive national emergency management system and are necessary to ensure continuity of operations and continuity of government in major disasters cause by any hazard.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The EOC grant program supports EOC construction and renovation. Funds must be spent in compliance with rules and regulations noted in the EOC Grant Program Guidance and Application Kit.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and in the EOC Grant Program Guidance and Application Kit.

**Beneficiary Eligibility:**

Funding under this program is ultimately to benefit State and local governments.

**Credentials/Documentation:**

Specific Information on applicant eligibility is identified in the funding opportunity announcement and in the EOC Grant Program Guidance and Application Kit . OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is

not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to in the EOC Grant Program Guidance and Application Kit .

**Appeals:**

None.

**Renewals:**

Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justifications why an extension is required.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 25.%. The program will require a 75 percent Federal and 25 percent grantee cost share cash or in-kind match requirement. Unless otherwise authorized by law, Federal funds cannot be matched with other Federal funds.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to the EOC Grant Program Guidance and Application Kit. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly Federal Financial Reports (FFR) (SF-425) and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due within 30 days of the end of each calendar quarter : January 30, April 30, July 30, and October 30. Semi-Annual Assistance Progress Reports (SAPR). Following an award, the awardees will be responsible for providing updated obligation expenditure information on a semi-annual basis. The SAPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31).

Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to in the EOC Grant Program Guidance and Application Kit. Refer to in the EOC Grant Program Guidance and Application Kit. Refer to in the EOC Grant Program Guidance and Application Kit. Refer to in the EOC Grant Program Guidance and Application Kit.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-000.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Program was last funded in FY2010. This program will remain open due to open awards.

**Range and Average of Financial Assistance:**

Refer to in the EOC Grant Program Guidance and Application Kit.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for FEMA regional offices.

**Headquarters Office:**

Department of Homeland Security /FEMA Grant Programs Directorate 500 C street S.W., Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.042 Emergency Management Performance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.053 CITIZENS-COMMUNITY RESILIENCE INNOVATION CHALLENGE**

CRIC

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1974 , Public Law 93-288, 42 U.S.C 5196, 5201(b); Homeland Security Act of 2002 , Public Law 107-296, 6 U.S.C 605.

**OBJECTIVES:**

To bring together government, community leaders, non-profit organizations, and citizens to enhance community resilience for all-hazards emergency events. The Community Resilience Innovation Challenge program seeks to foster a culture of community resilience by identifying needs, mobilizing partners, and creating innovative, motivating, and effective solutions that can be grown, sustained, and replicated. FEMA seeks to spark the dramatic expansion and transformation of current community engagement strategies in the field of emergency management, promoting approaches that take direct steps to put local residents in leadership roles in planning, organizing, and sharing accountability for the success of local disaster management-related projects and programs. FEMA's approach draws inspiration and direction from community policing as a philosophy of how local law enforcement institutions work with residents to identify local priorities, share information and cooperate in

decisions about operational directions. The program will make communities safer, stronger, and better prepared to respond to threats of terrorism, crime, public health issues, and disasters of all kinds.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Assistance through this program can be used to support a broad range of activities that promote organizing resources, partnerships, and leadership activities among small neighborhood groups, civic or faith based organizations, private sector entities, or other institutions in order to be better prepared for emergencies. These activities will leverage all other local efforts to explore innovative approaches to emergency preparedness in communities as a means to support resilience initiatives underway across all sectors and stakeholder groups. Projects must be initiated within 30 days of receiving awarded funds and utilized within 1 year of receipt. Refer to program guidance for any additional restrictions.

**Applicant Eligibility:**

Non-profit organizations with 501(c)(3) status which possess an established expertise in, and an ability to identify and encourage collaborative relationships within and across all major sectors (business, academic, faith-based, tribal, government, non-profit, associations and community stakeholder groups) for the purpose of enhancing community resilience to major disaster events.

**Beneficiary Eligibility:**

The program will benefit non-profit organizations which are engaged in promoting emergency preparedness and community resilience to disasters affecting the citizens of the communities in which they are located.

**Credentials/Documentation:**

The applicant must clearly demonstrate the ability to identify, propose and advance creative solutions that bring together all segments of American society to address complex challenges to improving community resiliency. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications will be assessed for effectiveness and reviewed by DHS/FEMA program and administrative staff. FEMA will verify compliance with all administrative and eligibility criteria identified in the grant announcement/program guidance. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

No renewal of awards are available. Application for assistance under this program, if available, must be submitted annually.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. None.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Notification of award approval will be made by FEMA. Once an award has been approved, a notice is sent to the authorized grantee official. The period of

performance of this grant is twelve (12) months. Any unobligated funds will be de-obligated at the end of the 90 day close-out period. Extensions to the period of performance will be considered only through formal requests to FEMA and will only be granted for specific and compelling reasons. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

For complete information on report submission requirements, refer to program guidance. Refer to program guidance. Obligations and expenditures must be reported on a quarterly basis via the Financial Status Report (FSR). FSRs These reports are due on 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Semi-annual progress report (SAPR) and Bi annual Strategy Implementation Reports (BSIR) are required semi-annually. SAPR. The SAPR is due January 30 and July 30. Final FSR and financial, SAPR and BSIR reports are due 90 days after the expiration or termination of the grant award. Categorical Assistance Progress Reports (CAPR) and Biannual Strategy Implementation Reports (BSIR) are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. Grantees are also required to submit quarterly financial reports. These reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial, CAPR and BSIR reports are due 90 days after the expiration or termination of the grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, no later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999; 70-8244-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$1,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: No Current Data Available. Fiscal Year 2012: FEMA anticipates that one Community Resilience Innovation Challenge award will be made to a non-profit applicant who demonstrates the ability to best achieve the CRIC programs goal to develop innovative strategies that enhance community resilience to disasters. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

All available, relevant guidance is provided to the designated points of contact of all eligible State participants.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA 500 C St SW, Techworld Control Desk

4th Floor, Room 427, Washington, District of Columbia 20472 Phone: (202) 646-3640

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.042 Emergency Management Performance Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.055 INTEROPERABLE EMERGENCY COMMUNICATIONS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53), Public Law 110-53.

**OBJECTIVES:**

To provide governance, planning, training and exercise funding to States, territories, and local and tribal governments to carry out initiatives to improve interoperable emergency communications, including communications in collective response to natural disasters, acts of terrorism, and other man-made disasters. All activities proposed under the program must be integral to interoperable emergency communications and must be aligned with the goals, objectives, and/or initiatives identified in the grantees approved Statewide Communication Interoperability Plan (SCIP). The Program provides the flexibility to purchase interoperable communications equipment.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Refer to program guidance document. Refer to program guidance document.

**Applicant Eligibility:**

Applicant Eligibility - All 56 states and territories.

**Beneficiary Eligibility:**

Beneficiary Eligibility: States, territories, and local and tribal governments.

**Credentials/Documentation:**

Prior to, or along with, an application for assistance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Percent: 25%. Grant awards will require a 25 percent nonfederal cost share on all equipment purchases. The source of the match funds must be identified in the grant application. The match does not need to be a cash match. In-kind contributions are permitted and must be activities in direct support of and eligible under the project. The nonfederal share may not be funded by other federal funds unless permitted by Federal statute.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Quarterly progress reports. Refer to program guidance document. Quarterly Federal Financial Reports (FFR), Semi-Annual Assistance Progress Report (SAPR), and Biannual Strategy Implementation Reports (BSIR). Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

58-0101-0-1-999.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Program not funded for FY2011. This program will remain open due to open awards.

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Refer to program guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog.

**Headquarters Office:**

Department of Homeland Security, Federal Emergency Management Agency (FEMA) 500 C Street, SW, Washington, District of Columbia 20523 Phone: (202) 646-2500 Fax: (202) 646-3061

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.056 PORT SECURITY GRANT PROGRAM**

PSGP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Section 102 of the Maritime Transportation Security Act of 2002, as amended Public Law 107-295.

**OBJECTIVES:**

The FY 2012 PSGP plays an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 PSGP supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs. Grantees under FY 2012 PSGP are encouraged to build and sustain core capabilities through activities such as:

Enhancing Maritime Domain Awareness (MDA)

Enhancing Improvised Explosive Device (IED) and Chemical, Biological, Radiological, Nuclear, Explosive (CBRNE) prevention, protection, response and supporting recovery capabilities

Port Resilience and Recovery Capabilities

Training and Exercises

Transportation Worker Identification Credential (TWIC) Implementation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

The Port Security Grant Program (PSGP) is one of the Department of Homeland Security's (DHS) FY 2012 grant programs which directly support transportation infrastructure security activities. The PSGP is one tool in the comprehensive set of measures authorized by Congress and implemented by the Administration to strengthen the Nation's critical infrastructure against risks associated with potential terrorist attacks. The vast majority of U.S. critical infrastructure is owned and/or operated by State, local, and private sector partners. The PSGP funds available to these entities are intended to support increased port-wide risk management; enhanced domain awareness; training and exercises; expansion of port recovery and resiliency capabilities; and further capabilities to prevent, detect, respond to, and recover from attacks involving improvised explosive devices (IEDs) and other non-conventional weapons; and competitively award grant funding to assist ports in obtaining the resources required to support the NPGs associated mission areas and core capabilities. PSGP grant recipients and sub-recipients may only use PSGP grant funds for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. In FY 2012, the total amount of funds distributed under this grant program will be \$97,500,000. The FY 2012 PSGP funds will be allocated based on the funding priorities outlined in FY 2012 PSGP Funding Opportunity Announcement (FOA).

**Applicant Eligibility:**

Pursuant to the Maritime Transportation Security Act of 2002 (MTSA), the Department of Homeland Security established a risk based grant program to support port and maritime security. Funding is directed towards the implementation of Area Maritime Security Plans (AMSPs) and Facility Security Plans (FSPs) among port authorities, facility operators, and State and local government agencies that are required to provide port security services. In administering the grant program, national, economic, energy, and strategic defense concerns based upon the most current risk assessments available shall be taken into account. By law, the Department of Homeland Security must direct these funds to the Nation's highest risk ports. To comply with this requirement, the PSGP covers a total of 145 ports identified as critical. Based upon USCG recommendations, these ports are aggregated into 90 discrete port funding areas. As described below, All Other Port Areas covered by an AMSP are eligible to apply for grant funds from a PSGP funding pool created for that purpose. Within the PSGP, the following entities are specifically encouraged to apply:

Owners or operators of federally regulated terminals, facilities, U.S. inspected passenger vessels or ferries as defined in the MTSA and Title 33 of the Code of Federal Regulations (CFR) Parts 101, 104, 105, and 106.

Members of an Area Maritime Security Committee, per 33 CFR Part 103, who are recognized as such by the Captain of the Port (COPT) and are required to provide port security services. Specifically, eligible applicants include port authorities, port police, local law enforcement agencies, port and local fire departments, and facility fire brigades that have jurisdictional authority to respond to incidents in the port.

As a condition of eligibility, all PSGP applicants are required to be fully compliant with relevant Maritime Security Regulations (33 CFR Parts 101-106). Any open or outstanding Notice of Violation (NOV), as of the grant application submission deadline date, which has been issued to an applicant, and the applicant has (1) failed to pay within 45 days of receipt; (2) failed to decline the NOV within 45 days of receipt (in which case a finding of default will be entered by the Coast Guard in accordance with 33 CFR 1.07-11(f)(2)); or (3) the applicant has appealed the NOV as provided for in 33 CFR 1.07-70 and is in receipt of a final appeal decision from Commandant, U.S. Coast Guard, as described in 33 CFR 1.07-75, and has failed to come into compliance with the final adjudication within the timelines noted therein, will not be allowed to make application for a Port Security Grant. COTP will verify security compliance eligibility during the field review process.

**Beneficiary Eligibility:**

Critical national seaports and terminals.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Address to Request Application Package

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select Apply for Grants, then select the CFDA number (97.056) or the FOA number (DHS XX-XXX-XXX-XX-XX) and Download Application Package. Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select Download Application Package, and then follow the prompts to download the application package. To download the instructions, go to Download Application Package and select Instructions.

**Content and Form of Application**

Application via Grants.gov. All applicants must file their applications using the Administration's common electronic storefront <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.



The application must be started and submitted using grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

Standard Form 424, Application for Federal Assistance

Applying for FY 2012 PSGP funds requires a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 as soon after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to [www.grants.gov](http://www.grants.gov). The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to grants.gov to complete Step 1 could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the ND Grants system. The submission deadline for the full application package is May 4, 2012. The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. Unless otherwise referenced, the ND Grants system includes the following required forms and submissions:

Standard Form 424A, Budget Information (Non-construction)

Standard Form 424B, Standard Assurances (Non-construction)

Standard Form 424C, Budget Information (Construction)

Standard Form 424D, Standard Assurances (Construction)

Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)

Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying

FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (available at

<http://www.fema.gov/library/viewRecord.do?id=2628>)

Investment Justification (FEMA Form 089-5)

Detailed Budget Worksheet

The program title listed in the CFDA is Port Security Grant Program. The CFDA number is 97.056. Dun and Bradstreet Data Universal Numbering System (DUNS) Number. The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711. Valid CCR. The application process also involves an updated and current registration by the applicant, which must be confirmed at <http://www.ccr.gov>.

#### **Award Procedure:**

Initial Screening. FEMA will conduct an initial review of all FY 2012 PSGP applications to ensure each application is complete. All complete applications will be grouped by port area and provided to the applicable COTP for further review. Field Review. Field-level reviews will be managed by the applicable COTP in coordination with the Director of the U.S. Department of Transportation's Maritime Administrations Gateway Office and appropriate personnel from the AMSC, to include Federal, State, and local agencies, as identified by the COTP. To support coordination of and regionalization of security grant application projects with State and Urban Area homeland security strategies, as well as other State and local security plans, AMSC members representing State and local agencies should coordinate the results with the applicable State administrative agency or agencies and State homeland security advisor(s). Field reviews for all Groups occur immediately following the initial screening. Each specific project is scored for compliance with criteria enumerated in the previous section. The purpose of the COTP Review is to identify a prioritized list of eligible maritime security risk mitigation projects for funding within the area of responsibility (AOR), for all Groups within the AOR. The COTP will use the COTP Field Review Form to review all projects. This form may seek the following information:

A total score for each proposal received with each port being ranked from

highest to lowest in terms of their contributions to regional risk reduction and cost effectiveness;

A specific notation if other entities within the port region have similar capabilities;

A specific notation as to whether there is a need for redundant capability.

After completing field reviews, COTPs will submit the field review project scores and prioritized lists through the appropriate route to FEMA who will begin coordination of the national review process.

#### **Deadlines:**

Feb 17, 2011 to May 04, 2012 Applying for FY 2012 NSGP funds requires a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 immediately after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to grants.gov Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step 1 to grants.gov could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is May 4, 2012.

#### **Range of Approval/Disapproval Time:**

Applying for FY 2012 PSGP funds requires a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 immediately after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to grants.gov Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step 1 to grants.gov could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is May 4, 2012.

#### **Appeals:**

Other - Not Specified.

#### **Renewals:**

Other - Not Specified.

#### **Formula and Matching Requirements:**

This program has no statutory formula.

Matching Requirements: Cash and in-kind matches must consist of eligible costs (i.e. purchase price of allowable contracts, equipment). A cash match includes cash spent for project-related costs while an in-kind match includes the valuation of in-kind services. In-kind matches may not be used to meet matching requirements for any other Federal grant program (e.g. FY 2012 funds are used to purchase a mobile command center from a vendor, the vendor contributes or donates communications equipment associated with the mobile command center, the value of the donated equipment may be considered as an in-kind match for the PSGP award only). Please see 44 CFR 13.24 for further details regarding the cost match requirement. See FEMA Grant Programs Directorate (GPD) Information Bulletin (IB) 376, dated January 4, 2012 for further information on the PSGP cost match waiver process (<http://www.fema.gov/pdf/government/grant/bulletins/info376.pdf>).

The following match requirements apply for the FY 2012 PSGP (including ferry systems):

Public Sector. Public sector applicants must provide a non-Federal match (cash or in-kind) supporting at least 25 percent of the total project cost for each proposed project.

Private Sector. Private sector applicants must provide a non-Federal match (cash or in-kind) supporting at least 50 percent of the total project cost for each proposed project.

Exceptions. There is no matching requirement for grant awards where the total award is \$25,000 or less (with the exception of national and/or regional corporations submitting eleven (11) or more projects throughout their system(s)). If the Secretary of Homeland Security determines that a proposed project merits support and cannot be undertaken without a higher rate of Federal support, the Secretary may approve grants with a matching requirement other than that specified above in accordance with 46 U.S.C. 70107(c)(2)(B).

Cost match requirements must be included in applicants Detailed Budgets. Public and private entities are encouraged to work together to meet the cost match requirements. While applications must demonstrate the cost match, applicants are reminded that the cost match does not have to be provided up-front and that they have up to the full 24 month award period to provide the cost match funding. The non-Federal share can be cash or in-kind, with the exception of construction activities, which must be a cash-match (hard). Cost match waivers may be granted only if the Secretary of DHS determines that (1) a proposed project merits support in light of the overall grant purpose and mission goals; and (2) the Secretary of DHS determines that the meritorious project cannot be undertaken without a higher rate of Federal support. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of performance is 24 months. For more information, refer to the FY2012 PSGP FOA. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Grantees must accept their grant awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through official correspondence, e.g., written, electronic signature, signed letter or fax to GPD, and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

**Reports:**

Exercise Evaluation and Improvement. Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program located at <https://hseep.dhs.gov>. Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

Grant Close-Out Process. Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. Performance Progress Report (SF-PPR). Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Approval Number 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). The SF-PPR can be accessed online at [http://www.na.fs.fed.us/fap/SF-PPR\\_Cover%20Sheet.pdf](http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf). Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

Grant Close-Out Process. Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will

indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Cooperative Agreements) FY 11 \$235,029,000; FY 12 est \$97,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The funding priorities for the FY 2011 PSGP reflected the Departments overall investment strategy, in which two priorities have been paramount: risk-informed funding and regional security cooperation. In addition to these two overarching priorities, the Department has identified the following five priorities as its selection criteria for all FY 2012 PSGP applicants. These priorities also align to the five mission areas and the associated core capabilities of the NPG.

- Enhancing Maritime Domain Awareness (MDA)
  - Enhancing Improvised Explosive Device (IED) and Chemical, Biological, Radiological, Nuclear, Explosive (CBRNE) prevention, protection, response and supporting recovery capabilities
  - Port Resilience and Recovery Capabilities
  - Training and Exercises
  - Equipment Associated with Transportation Worker Identification Credential (TWIC) Implementation.
- Fiscal Year 2012: No Current Data Available  
Fiscal Year 2013: No Current Data Available

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The FY 2012 Port Security Grant Program Funding Opportunity Announcement (PSGP FOA).

**Regional or Local Office:**

None.

**Headquarters Office:**

Grant Programs Directorate DHS/FEMA  
5071 D Techworld Building

500 C Street SW, Washington, District of Columbia 20472-3615 Phone:  
(1-800) 368-6498

**Website Address:**

<http://www.fema.gov/government/grant/index.shtm>

**RELATED PROGRAMS:**

97.075 Rail and Transit Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Following the field review, a National Review Panel (NRP), comprised of subject matter experts drawn from DHS and the Department of Transportation (DOT), will convene and conduct a national level review. The purpose of the National Review is to identify a final, prioritized list of eligible projects for funding. The NRP will conduct an initial review of the prioritized project listings for each port area submitted by the USCGs COTP to ensure that the proposed projects will accomplish intended risk mitigation goals. The NRP will validate and normalize the Field Review COTP Project Priority List and provide a master list of prioritized projects by port area. A risk-based analysis will then be applied to the National Review Panels prioritized list for each port area in all groups. This analysis considers the following factors to produce a comprehensive national priority ranking of port security proposals:

Relationship of the project to one or more of the national port security priorities

Relationship of the project to the local port security priorities  
COTP ranking (based on each COTPs prioritized list of projects)

Risk level of the port area in which the project would be located (based on a comprehensive risk analysis performed by DHS)

The NRP will be asked to evaluate and validate the consolidated and ranked project list and submit their recommendations to FEMA. The NRP may request additional information or clarification from applicants. Applicants receiving requests from the NRP will have 30 days from the date of the request to respond. FEMA will have the final approval authority on all projects.

Funds will not be made available for obligation, expenditure, or drawdown until the applicants budget and budget narrative have been approved by FEMA.

The applicant must provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within ND Grants. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of M&A costs.

**97.057 INTERCITY BUS SECURITY GRANTS**

Intercity Bus Security

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009, Public Law 110-329; 1532 of the Implementing Recommendations of the 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

To create a sustainable program for the protection of intercity bus systems and the traveling public from terrorism. To assist operators of fixed-route intercity and charter bus services in obtaining the resources required to support security measures such as enhanced planning, facility security upgrades, exercises, improved communication capabilities, and vehicle and driver protection.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funds may be used for vehicle security enhancements; emergency communication technology; coordinating with local police and emergency responders; facility security enhancements; training and exercises; improvement of ticket identification and further implementation of passenger and baggage screening enhancements; and driver security enhancements. The program guidance outlines uses and restrictions in detail.

**Applicant Eligibility:**

This program is limited to applicants meeting one or both of the following criteria: (1) own/operate a fixed-route intercity bus service using over-the-road buses and providing services to a defined Urban Area Security Initiative (UASI) jurisdiction; or (2) own/operate a charter bus service using over-the-road buses providing a minimum of 50 trips annually to a defined UASI jurisdiction.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

This program is limited to applicants meeting one or both of the following criteria: (1) own/operate a fixed-route intercity bus service using over-the-road buses and providing services to a defined Urban Area Security Initiative (UASI) jurisdiction; or (2) own/operate a charter bus service using over-the-road buses providing a minimum of 50 trips annually to a defined UASI jurisdiction. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.  
Matching Requirements: Percent: 25%.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit

conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-402.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Starting in FY 2011, the Intercity Bus Security Grant Program at Congressional direction became a component (carve-out) of the Transit Security Grant Program not separately appropriated. This program will remain open due to open awards.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For information on requirements and guidance please refer to the current FY Intercity Bus Security Grants Program Guide and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld, Control Desk TechWorld  
800 K Street NW, Washington, District of Columbia 20472-3615 Email:  
askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

97.056 Port Security Grant Program ; 97.075 Rail and Transit Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.059 TRUCK SECURITY PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Consolidated Security Disaster Assistance, and Continuing Appropriations Act of 2009, Public Law 110-329.

**OBJECTIVES:**

In FY 2009 the focus is on the adoption and implementation of the Transportation Security Administration's (TSA) voluntary security action items for transporting Tier I Security Sensitive materials; development of plans to improve effectiveness of transportation and distribution of supplies and commodities during catastrophic events; and the development of a system for DHS to monitor, collect, and analyze tractor trailer tracking information.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

In FY 2009 to implement security improvement measures and policies deemed valuable by DHS as indicated in the Security Action Items publication of June 26, 2008. These items are primarily focused on the purchase and installation or enhancement of equipment and systems related to tractor and trailer tracking systems. Funding will also be provided to develop a system for DHS to monitor, collect, and analyze tracking information, and to develop plans to improve the effectiveness of transportation and distribution of supplies and commodities during catastrophic events. See the appropriate year's program guidance for a detailed description of allowable uses and restrictions. Refer to program guidance.

**Applicant Eligibility:**

Have a current security plan and transport Tier 1 Commodities as defined by TSA for the Truck Security Action Item Initiative; no restrictions for the Monitoring, Analysis and Planning area..

**Beneficiary Eligibility:**

Interstate, Intrastate, State, and local.

**Credentials/Documentation:**

In FY 2009 eligibility for funding under the Truck Security Action Item Implementation Initiative is limited to applicants meeting the following criteria: Have a current security plan subject to Title 49 CFR 172.800 Transport Tier I commodities as defined by TSA through the issuance of Highway Security-Sensitive Materials (HSSM) Security Action Items. There are no restrictions on who may apply for funding under the Monitoring and Analysis and Planning Priorities. Stakeholder participation must be demonstrated through letter(s) of commitment. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information may be required for this program, depending on the nature and scope of the approved projects. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula. This program has no matching requirements. This program has no statutory formula. This program has matching requirements ranging from 25% to 50% for the Truck Security Action Item Implementation Initiative. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Categorical Assistance Progress Reports (CAPR) are required semi-annually and are due within 30 days after the end of the reporting period (July 30 with a reporting period of January 1 through June 30, and January 30 with a reporting period of July 1 through December 31) for the life of the award. Grantees are also required to submit quarterly Financial Status Reports (FSR). The FSR are due 30 days after the end of each calendar quarter on January 30, April 30, July 30, and October 30. Final CAPR and FSR reports are due 90 days after the expiration or termination of grant award, whichever occurs first. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Program received no appropriations in FY 2010, and FY 2011. Program will remain active in CFDA until all awards are closed.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the program guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security /FEMA Techworld, Control Desk, 4th Floor, Room: 427 500 C St. SW, Washington, District of Columbia 20427 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

www.fema.gov.

**RELATED PROGRAMS:**

97.056 Port Security Grant Program ; 97.057 Intercity Bus Security Grants; 97.075 Rail and Transit Security Grant Program; 97.078 Buffer Zone Protection Program (BZPP)

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.061 CENTERS FOR HOMELAND SECURITY**

(COE)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 1205, Public Law 107-296, 6 U.S.C 188(b).

**OBJECTIVES:**

Sponsored by the DHS Office of University Programs, the Centers of Excellence perform research and development activities to provide critical homeland security tools, technologies, training, and talent. The Centers of Excellence (COE) network is an extended consortium of hundreds of universities generating ground-breaking ideas for new technologies and critical knowledge. All Centers of Excellence work closely with academia, industry, DHS components and first-responders to develop customer-driven research solutions to on the ground challenges as well as provide essential training to the next generation of homeland security experts. The research portfolio is a mix of basic and applied research addressing both short and long-term needs. The COE extended network is also available for rapid response efforts.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Proposals must be submitted by an accredited U.S. institution of higher education that, along with its chosen partners, has the ability and capacity to conduct the required research. An accredited public and private institution of higher education in the United States must be identified as the official lead for proposal submission and subsequent negotiations. COEs may partner with other academic institutions, historically black colleges and universities (HBCUs) and/or other MSIs and institutions in states that are part of the Experimental Program to Stimulate Competitive Research (EPSCoR), public or private sector, and non-profit organizations, including any organizations that meet the definition of nonprofit in OMB Circular A-122, relocated to 2 CFR Part 230. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Partnering entities will generally be funded through subawards from the lead institutions. National laboratories funded by Federal agencies may not apply. Refer to Program Guidance.

**Applicant Eligibility:**

Eligible applicants are accredited U.S. institutions of higher education.

**Beneficiary Eligibility:**

Public and private colleges and universities.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff for eligibility and responsiveness. Applications will undergo merit review by a panel of subject matter experts which may include federal and non-federal reviewers. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or program guidance document.

**Appeals:**

None.

**Renewals:**

Renewals of grant awards are based on performance, program plan, and availability of funds.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to announcement/program guidance or the award document.

**Reports:**

Refer to program guidance. Required to submit a Cash Transaction Report (SF 272) to the Department of Health and Human Services Division of Payment Management with a copy of the SF 272 to the DHS Grants Officer. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 11 \$27,327,487; FY 12 est \$27,230,517; and FY 13 est \$29,000,000

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Awarded continuation applications for 7 COEs (C2I, Borders, Explosives, CHC, MIREES, START, NTSCOE)  
Awarded 3 recompleted COEs (PACER, NCFPD and ZADD)  
Competed 1 COE (CREATE). Note: award made in FY2011. Fiscal Year 2012: Continuation application for 9 COEs in progress. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs (S&T) 245 Murray Lane, Building 410, Mail Stop 0217, Washington, District of Columbia 20523  
Email: universityprograms@dhs.gov Phone: (202) 254-5695

**Website Address:**

<http://www.hsuniversityprograms.org>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.062 SCIENTIFIC LEADERSHIP AWARDS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 1205, Public Law 107-296, 6 U.S.C 188(b).

**OBJECTIVES:**

The objectives of this program are: (1) increase the intellectual capacity, skills and talents, especially those of U.S. citizens in areas of relevance to homeland security; (2) to attract undergraduate and graduate students to obtain advanced degrees in disciplines of importance to homeland security; (3) provide advanced professional and research development opportunities for fellows, scholars and faculty in targeted areas; and (4) to increase the diversity of and highly talented cadre of new and emerging science and technology expertise working in areas of importance and need to homeland security.

**TYPES OF ASSISTANCE:**

DIRECT PAYMENTS FOR A SPECIFIED USE; Project Grants

**USES AND USE RESTRICTIONS:**

Support is provided to Minority Serving Institutions (MSIs) to develop capacity in HS-STEM and provide financial support and career guidance to students. See announcement.

**Applicant Eligibility:**

US accredited MSIs are eligible to apply. Student recipients must be U.S. citizens studying in one of the following areas including: computer science, engineering, life sciences, math, physical sciences, psychology, social sciences. Students must have career and employment goals aligned with the mission and objectives of the U.S. Department of Homeland Security.

**Beneficiary Eligibility:**

Undergraduate Student, Graduate Student, and Minority Serving Institution Faculty.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. .

**Award Procedure:**

Applications are reviewed by subject matter experts (SMEs). Awards are made based on agency priorities and available funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. Refer to program guidance. Yearly progress reports and a final report are required. Refer to program guidance. No performance monitoring is required.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$3,197,700; FY 12 est \$2,850,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 10 MSIs received Scientific Leadership Awards. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS, Office of University Programs 245 Murray Lane, Building 410, Mail Stop 0217, Washington, District of Columbia 20523 Email: universityprograms@dhs.gov Phone: (202) 254-5695

**Website Address:**

<http://www.hsuniversityprograms.org>

**RELATED PROGRAMS:**

97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.065 HOMELAND SECURITY ADVANCED RESEARCH PROJECTS AGENCY**

Plant Pathogen

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Title 3, Section 307, Public Law 107-296.

**OBJECTIVES:**

Iowa State University is developing capabilities to detect and correctly identify the presence of plant pathogens present in other countries and threatening US agriculture through introduction into the US by deliberate or natural events.

**TYPES OF ASSISTANCE:**

Project Grants (Cooperative Agreements or Contracts)

**USES AND USE RESTRICTIONS:**

The grant has been awarded with funds being sent directly to the Iowa State University by the Department of Homeland Security OPO Division.

**Applicant Eligibility:**

DHS Components researching pathogen issues as weapons of mass destruction. Department of Agriculture, Department of Commerce and Department of Homeland Security Components.

**Beneficiary Eligibility:**

DHS Components researching pathogen issues as weapons of mass destruction. Department of Agriculture, Department of Commerce and Department of Homeland Security Components.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

This program is renewed or extended as need per the Statement of Work.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

As required by solicitation. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

See program announcement. See program announcement. See program announcement. See program announcement. Records must be retained at least 3 years beyond the 3 year period if audit findings have not been resolved.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Records must be retained at least 3 years beyond the 3 year period if audit findings have not been resolved.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 11 \$300,000; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: There was a FY 2011 work delay due to an inability to collect necessary satellite and field data. A no-cost extension allows 2011 work to be completed in 2012. All work and delivery aimed for September, 2012. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS, Science and Technology Directorate, Special Projects Office 245 Murray Lane, SW, Building 410, Mail Stop 0202, Washington, District of Columbia 20523 Phone: (202) 254-5309

**Website Address:**

<http://www.dhs.gov>; <http://www.baa.st.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.066 HOMELAND SECURITY INFORMATION TECHNOLOGY RESEARCH, TESTING, EVALUATION AND DEMONSTRATION PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Appropriations Act, 2008, Public Law 110-161.

**OBJECTIVES:**

To foster and identify novel uses of existing "state-of-the-art" information technology that will remove barriers and/or improve information sharing and integration of State and local public safety interoperability.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Allowable costs and any funding restrictions will be identified in the Program Announcement. No construction will be eligible for funding. This funding may only be used to supplement existing funding and not be used to supplant

funding. Refer to program guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, U.S. Territories and local governments.

**Credentials/Documentation:**

The applicant must complete a proposal as outlined in the funding opportunity announcement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the funding opportunity announcement/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Extensions are at the discretion of DHS. Refer to the funding opportunity announcement or application guidance for information concerning renewals.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and



program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No additional funding approved/available.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: UTSA CIAS successfully completed Phase 1 for the following states: North Carolina and Illinois. Both states completed a total of 3 exercises each in addition to VOIP training and basic cyber security training that was offered through UTSA CIAS. UTSA CIAS has met all its obligations in regards to sharing exercise documentation with the NCSA CEP. CEP has been actively engaged with UTSA CIAS exercise events as attendee (Observer/Player) for most exercises. Fiscal Year 2012: UTSA CIAS is currently engaged with the state of Nevada for Phase 1 exercise support. There are two named communities involved and to date, one community has completed exercise one. UTSA CIAS has engaged Delaware for Phase 2, which primarily consists of training and guidance by UTSA CIAS. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Office of Grants and Financial Assistance  
Division 245 Murray Lane, SW Mail Stop Code 0115, Building 410,  
Washington, District of Columbia 20528 Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.067 HOMELAND SECURITY GRANT PROGRAM**

HSGP and THSGP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The Homeland Security Act of 2002, Public Law 107-296; Implementing Recommendations of 9/11 Commission Act of 2007, Public Law 110-53.

**OBJECTIVES:**

FY 2012 HSGP and THSGP provide grant funding to assist state and local governments in obtaining the resources required to support the National Preparedness Goals (NPGs) associated mission areas and core capabilities. FY 2012 THSGP provides funding directly to eligible tribes to help strengthen the nation against risks associated with potential terrorist attacks. The FY 2012 HSGP is comprised of three interconnected grant programs:

State Homeland Security Program (SHSP): SHSP supports the implementation of State Homeland Security Strategies to address the identified planning, organization, equipment, training, and exercise needs to prevent, protect against, mitigate, respond to, and recover from acts of terrorism and other catastrophic events.

Urban Areas Security Initiative (UASI): The UASI program addresses the unique planning, organization, equipment, training, and exercise needs of

high-threat, high-density Urban Areas, and assists them in building an enhanced and sustainable capacity to prevent, protect against, mitigate, respond to, and recover from acts of terrorism.

Operation Stonegarden (OPSG): OPSG supports enhanced cooperation and coordination among local, tribal, territorial, State, and Federal law enforcement agencies in a joint mission to secure the United States borders along routes of ingress from international borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with international water borders.

The FY 2012 HSGP and THSGP play an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the NPG. The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 HSGP supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs. Examples of tangible outcomes from FY 2012 HSGP and THSGP include building and sustaining core capabilities through:

- Planning
- Maintenance and Sustainment
- Maturation and Enhancement of State and Major Urban Area Fusion Centers (HSGP only)
- Building Law Enforcement Terrorism Prevention Capabilities
- Threat and Hazard Identification and Risk Assessment (THIRA)
- Whole Community Approach to Security and Emergency Management
- Typing of Equipment and Training.

**TYPES OF ASSISTANCE:**

FORMULA GRANTS

**USES AND USE RESTRICTIONS:**

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement. Although no longer funded as discrete grant programs, all activities and costs allowed under the FY 2010 Buffer Zone Protection Program (BZPP), FY 2010 Interoperable Emergency Communications Grant Program (IECGP), FY 2011 Citizen Corps Program (CCP), FY 2011 Drivers License Security Grant Program (DLSGP), and FY 2011 Metropolitan Medical Response System (MMRS) grant program are allowable and encouraged activities and costs under the FY 2012 HSGP. For additional information on allowable activities under the aforementioned grant programs, please refer to

<http://www.fema.gov/government/grant/nondisaster.shtm>.

Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. There may be limitations on the use of HSGP and THSGP funds for the following categories of costs:

- Management and Administration
- Planning
- Organization
- Equipment
- Training
- Exercises
- Maintenance and Sustainment
- Critical Emergency Supplies
- Construction and Renovation

For additional details on restrictions on the use of funds, please refer to the FY 2012 HSGP and THSGP Funding Opportunity Announcement.

THSGP grantees may only fund investments that were included in the FY 2012 Investment Justifications (IJs) that were submitted to FEMA and evaluated through the peer review process. SHSP and UASI Pass-Through Requirements: Awards made to the SAA for HSGP carry additional pass-through requirements. Pass-through is defined as an obligation on the part of the States to make funds available to local units of government, combinations of local

units, or other specific groups or organizations. The States pass-through requirement must be met within 45 days of the award date for the HSGP. Four requirements must be met to pass-through grant funds:

There must be some action to establish a firm commitment on the part of the awarding entity.

The action must be unconditional on the part of the awarding entity (i.e., no contingencies for availability of SAA funds).

There must be documentary evidence of the commitment.

The award terms must be communicated to the official grantee.

The SAA must obligate at least 80 percent (80%) of the funds awarded under SHSP and UASI to local units of government within 45 days of receipt of the funds. For Puerto Rico, the SAA must also obligate at least 80 percent (80%) of the funds to local units of government within 45 days of receipt of the funds. No pass-through requirements will be applied to the District of Columbia, Guam, American Samoa, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Any UASI funds retained by the SAA must be used to directly support the designated Urban Areas in the State. Under SHSP, the State may retain more than 20 percent (20%) of SHSP funding for expenditure made by the State on behalf of the local unit of government. This may occur only with the written consent of the local unit of government, with the written consent specifying the amount of funds to be retained and the intended use of funds. If a written consent agreement is already in place from previous fiscal years, FEMA will continue to recognize it for FY 2012. If any modifications to the existing agreement are necessary to reflect new initiatives, States should contact their assigned FEMA Program Analyst. If UASI funds are used by the SAA in support of the Urban Area, the SAA must, as part of the up to 10 Investments, propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area. OPSG Funds: The recipient is prohibited from obligating or expending funds provided through this award until each unique and specific county level or equivalent Operational Order/Fragmentary Operations Order with an embedded estimated operational budget has been reviewed and approved through an official e-mail notice issued by FEMA removing this special programmatic condition. Funds Transfer Restriction: The recipient is prohibited from transferring funds between programs (SHSP, UASI, and OPSG). Grantees are allowed to submit an Investment/project where funds come from multiple funding sources (i.e., SHSP/UASI); however, grantees are not allowed to divert funding from one program to another due to the risk-based funding allocations, which were made at the discretion of DHS. FY 2012 OPSG funds will be allocated based on risk-based prioritization using a U.S. Customs and Border Protection (CBP) Sector-specific border risk methodology to include, but not limited to: threat, vulnerability, miles of border, and other border-specific law enforcement intelligence, as well as feasibility of FY 2012 Operation Orders to designated localities within the United States border States and territories. Eligible sub-recipients under the FY 2012 OPSG are local units of government at the county level and federally-recognized tribal governments in the States bordering Canada (including Alaska), States bordering Mexico, and States and territories with international water borders. The SAA is the only entity eligible to apply to FEMA for FY 2012 OPSG funds on behalf of the county or similar level of government and federally-recognized tribal governments. Eligible States and territories without a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. SAAs in this situation must advise FEMA in writing as to their intent. Note: Not all applicants are guaranteed to receive funding under the FY 2012 OPSG. FY 2012 THSGP funds will be allocated based on two factors: Eligibility, as defined in 9/11 Act and self-certified by applicant, and Effectiveness: the score of the applicants THSGP Investment Justification (as determined through a peer review process). With respect to the effectiveness criteria, THSGP IJs will be evaluated through a peer review process for completeness, adherence to programmatic guidelines and the anticipated effectiveness of the proposed Investment(s). Only the information included in the IJ will be scored in the review process. As part of the FY 2012 THSGP scoring process, applicants who have not received funding in prior years will receive five (5) points in addition to the peer reviewers average score for each Investment submitted as part of their IJ.

#### **Applicant Eligibility:**

All 56 States and territories are eligible to apply for SHSP funds. For those States and territories that are eligible for UASI and/or OPSG funds, the SAA is

the only entity eligible to submit applications to FEMA on behalf of UASI and OPSG applicants. National Incident Management System (NIMS)

#### **Implementation**

In accordance with Homeland Security Presidential Directive (HSPD)-5, Management of Domestic Incidents, the adoption of NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. Prior to allocation of any Federal preparedness awards in FY 2012, grantee must ensure compliance and/or alignment with FY 2011 NIMS implementation plan. The list of objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.htm#item2>. The primary grantee/administrator of FY 2012 HSGP and THSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

#### **Beneficiary Eligibility:**

THSGP: Native American Tribal Government (Federally recognized)  
HSGP: State and local governments

THSGP: In order to be eligible to receive THSGP funding, grantees must be considered directly eligible Tribes. Per the 9/11 Act, the term directly eligible Tribe means

(A) any Indian Tribe

(i) that is located in the continental United States;

(ii) that operates a law enforcement or emergency response agency with the capacity to respond to calls for law enforcement or emergency services;

(iii) a. that is located on or near (50 miles) an international border or a coastline bordering an ocean (including the Gulf of Mexico) or international waters (excluding shoreline border around the Great Lakes);

b. that is located within 10 miles of a system or asset included on the prioritized critical infrastructure list established under section 210E(a)(2) [please refer to section 1001 of the 9/11 Act] or has such a system or asset within its territory;

c. that is located within or contiguous to one of the 50 most populous metropolitan statistical areas in the United States; or

d. the jurisdiction of which includes not less than 1,000 square miles of Indian country, as that term is defined in section 1151 of title 18, United States Code; and

(iv) that certifies to the Secretary that a State has not provided funds under section 2003 [UASI] or 2004 [SHSP] to the Indian Tribe or consortium of Indian Tribes for the purpose for which direct funding is sought; and

(B) a consortium of Indian Tribes, if each Tribe satisfies the requirements of subparagraph (A).

In summary, eligible Tribes must meet the requirements set forth in (A) (i), and (A) (ii), and (A) (iv). Tribes must also meet one of the requirements set forth in (A) (iii); either (A) (iii) (a), or (A) (iii) (b), or (A) (iii) (c), or (A) (iii) (d).

Finally, (B) may also be satisfied, if each Tribe satisfies the requirements of subparagraph (A).

In FY 2012, applicants must self-certify as to whether they meet the eligibility requirements. Self-certification will be provided on the THSGP Eligibility Certification Form as part of Application Investment Justification. Any questions regarding an applicants proximity to a Critical Infrastructure and Key Structures (CI/KR) site, as described in the eligibility criteria, may be directed to the State Administrative Agency (SAA). Any additional questions regarding the overall self-certification of eligibility process may be directed to the Centralized Scheduling and Information Desk (CSID). CSID can be reached by phone at (800) 368-6498 or by e-mail at [askcsid@dhs.gov](mailto:askcsid@dhs.gov), Monday through Friday, 9:00 a.m. 5:30 p.m. EST.

#### **Credentials/Documentation:**

Investment Justification (SHSP and UASI). As part of the FY 2012 HSGP application process for SHSP and UASI funds, applicants must develop a formal IJ that addresses each Investment being proposed for funding. The IJ must demonstrate how proposed projects address gaps and deficiencies in delivering one or more core capabilities outlined in the NPG and must also describe engagement with and/or impacts on the general population, to include children and individuals with disabilities such as those with access and functional needs. The IJ must demonstrate the ability to provide enhancements consistent with the purpose of the program and guidance provided by FEMA. Instructions for SHSP:

Applicants may propose up to 10 Investments within their IJ to describe the

activities they would like to implement with SHSP funds.

Of the up to 10 Investments, applicants are required to propose at least one Investment to provide funding support to the States primary fusion center, as designated by the Governor. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission.

#### Instructions for UASI:

Urban Areas may propose up to 10 Investments within their IJ to describe the activities they would like to implement with UASI funds.

If applicable, of the up to 10 Investments, Urban Areas are required to propose at least one Investment in support of a DHS-recognized fusion center within the Urban Area. Grantees must coordinate with the fusion center when developing a fusion center Investment prior to submission.

If UASI funds are used by the SAA in support of the Urban Area, the SAA must, as part of the up to 10 Investments, propose an Investment describing how UASI funds will be used by the SAA to directly support the Urban Area. For specific instructions on completing and submitting Investments, please refer to the FY 2012 HSGP Funding Opportunity Announcement. Operations Order and Detailed Budget Summary (OPSG). As part of the FY 2012 OPSG application process, each eligible local unit of government at the county level or federally-recognized tribal government must develop their Operations Order in coordination with State and Federal law enforcement agencies, to include, but not limited to CBP/BP. Operations Orders that are developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, and the Operations Order should address this in the Executive Summary. The details should include the names of the agencies, the points of contact, and the individual funding requests. All applications must be coordinated through the CBP sector office and that BP will forward application to the SAA for review. OMB Circular No. A-87 applies to this program.

#### Preapplication Coordination:

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

#### Application Procedures:

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the FY 2012 HSGP and THSGP FOA. Applying for FY 2012 HSGP and THSGP funds require a two-step process. Step One: initial submission to determine eligibility and Step Two: full application. Applicants are encouraged to initiate Step One immediately after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to Grants.gov. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step One to Grants.gov could result in applicants missing the application deadline in Step Two. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step Two which involves submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is May 4, 2012. For additional information and program-specific application requirements, refer to the FY 2012 HSGP and THSGP Funding Opportunity Announcement.

#### Award Procedure:

In FY 2012, the total amount of funds distributed under this grant program will be \$830,976,000. The specific information regarding funding allocations for the three HSGP programs are detailed below:  
SHSP Allocations: FY 2012 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS risk methodology, and anticipated effectiveness based on the strength of the Investment Justification (IJ). Each State and territory will receive a minimum allocation under SHSP using the thresholds established in the 9/11 Act. All 50 States, the District of Columbia, and Puerto Rico will receive 0.35 percent of the total funds allocated for grants under Section 2003 and Section 2004 of the Homeland Security Act of 2002, as amended by the 9/11 Act, for SHSP. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total

funds allocated for grants under Section 2003 and 2004 of the Homeland Security Act of 2002, as amended by the 9/11 Act, for SHSP. UASI Allocations: FY 2012 UASI funds will be allocated based on DHS risk methodology and anticipated effectiveness based on the strength of the IJ. Eligible candidates for the FY 2012 UASI program have been determined through an analysis of relative risk of terrorism faced by the 100 most populous metropolitan statistical areas in the United States, in accordance with the 9/11 Act. LETPA Allocations: Per the Homeland Security Act of 2002 (Public Law 107296), title XX, 2006, as amended by the 9/11 Act, title I, 101, August 3, 2007, 121 Stat. 280, 6 U.S.C. 607, States are required to ensure that at least 25 percent (25%) of the combined HSGP funds allocated under SHSP and UASI are dedicated towards law enforcement terrorism prevention activities linked to one or more core capabilities within the NPG. The LETPA allocation can be from SHSP, UASI or both. OPSG Allocations: FY 2012 OPSG funds will be allocated based on risk-based prioritization using a U.S. Customs and Border Protection (CBP) Sector-specific border risk methodology to include, but not limited to: threat, vulnerability, miles of border, and other border-specific law enforcement intelligence, as well as feasibility of FY 2012 Operation Orders to designated localities within the United States border States and territories. Eligible sub-recipients under the FY 2012 OPSG are local units of government at the county level and federally-recognized tribal governments in the States bordering Canada (including Alaska), States bordering Mexico, and States and territories with international water borders. The SAA is the only entity eligible to apply to FEMA for FY 2012 OPSG funds on behalf of the county or similar level of government and federally-recognized tribal governments. Eligible States and territories without a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. SAAs in this situation must advise FEMA in writing as to their intent. Note: Not all applicants are guaranteed to receive funding under the FY 2012 OPSG.

FY 2012 THSGP funds will be allocated based on two factors: Eligibility, as defined in 9/11 Act and self-certified by applicant, and Effectiveness: the score of the applicants THSGP Investment Justification (as determined through a peer review process). With respect to the effectiveness criteria, THSGP IJs will be evaluated through a peer review process for completeness, adherence to programmatic guidelines and the anticipated effectiveness of the proposed Investment(s). Only the information included in the IJ will be scored in the review process. As part of the FY 2012 THSGP scoring process, applicants who have not received funding in prior years will receive five (5) points in addition to the peer reviewers average score for each Investment submitted as part of their IJ.

The following process will be used to make awards under the THSGP:

Applicants will self-certify as to Tribal eligibility per the 9/11 Act;  
FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of an IJ by the established due dates;

Eligible applications will be reviewed and scored through a peer review process to analyze the anticipated effectiveness of proposed Investments; and

FEMA will use the results of the peer review effectiveness scores to make recommendations for funding to the Secretary of Homeland Security.

#### Deadlines:

Feb 17, 2012 to May 04, 2012 Application Start Date: 02/17/2012  
Application Submission Deadline Date: 05/04/2012 at 11:59:59 PM EDT  
Anticipated Funding Selection Date: 06/29/2012  
Anticipated Award Date: 09/30/2012.

#### Range of Approval/Disapproval Time:

Refer to FY 2012 HSGP and THSGP Funding Opportunity Announcement. Anticipated Funding Selection Date is 06/29/2012. FY 2012 SHSP and UASI are non-competitive programs. Funds for FY 2012 OPSG will be allocated competitively. This includes the use of risk-based prioritization using CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific law enforcement intelligence. Each applicants final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders. The following process will be used to make awards under FY 2012 THSGP:

Applicants will self-certify as to tribal eligibility per the 9/11 Act;  
FEMA will verify compliance with all administrative and eligibility criteria identified in the application kit, to include the required submission of an IJ by

the established due dates;

Eligible applications will be reviewed and scored through a peer review process to analyze the anticipated effectiveness of proposed Investments; and

FEMA will use the results of the peer review effectiveness scores to make recommendations for funding to the Secretary of Homeland Security.

**Appeals:**

Other - Not Specified.

**Renewals:**

Other - Not Specified.

**Formula and Matching Requirements:**

Statutory Formula: FY 2012 SHSP funds will be allocated based on three factors: minimum amounts as legislatively mandated, DHS risk methodology, and anticipated effectiveness based on the strength of the Investment Justification (IJ). Each State and territory will receive a minimum allocation under SHSP using the thresholds established in the 9/11 Act. All 50 States, the District of Columbia, and Puerto Rico will receive 0.35 percent of the total funds allocated for grants under Section 2003 and Section 2004 of the Homeland Security Act of 2002, as amended by the 9/11 Act, for SHSP. Four territories (American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands) will receive a minimum allocation of 0.08 percent of the total funds allocated for grants under Section 2003 and 2004 of the Homeland Security Act of 2002, as amended by the 9/11 Act, for SHSP.

This program has no matching requirements. None.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The Period of Performance is 24 months. For more information, refer to the FY 2012 HSGP and THSGP Funding Opportunity Announcement. Awards are subject to the Cash Management Act for payment and/or reimbursement of expenditures.

The period of performance outlined above support the effort to expedite the outlay of grant funding and provide economic stimulus. Agencies should request waivers sparingly, and they will be granted only due to compelling legal, policy, or operational challenges. For example, tribal grantees may request waivers from the deadlines outlined above for discretionary grant funds where adjusting the timeline for spending will constitute a verifiable legal breach of contract by the grantee with vendors or sub-recipients, or where a specific statute or regulation mandates an environmental review that cannot be completed within this timeframe or where other exceptional circumstances warrant a discrete waiver. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of

<http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>. Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425).

A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

Initial Strategy Implementation Plan (ISIP). Following the award of grant funds, awardees will be responsible for reporting planned expenditures of the newly awarded grant funds to meet the pass-through requirement. The applicable SAAs are responsible for completing and submitting the ISIP online.

The ISIP is due within 45 days of the award date.

Grant Close-Out Process. Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for

returning any funds that have been drawn down but remain as unliquidated on grantee financial records. Performance Progress Report (SF-PPR). Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Approval Number 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Grantees should submit the SF-PPR as an attachment to the Non Disaster (ND) Grants system. The SF-PPR can be accessed online at [http://www.na.fs.fed.us/fap/SF-PPR\\_Cover%20Sheet.pdf](http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf). Grantees will be required to report on progress towards implementing plans described in their application. Additionally, for HSGP, as part of the SF-PPR, grantees will be required to report on progress towards implementing the following performance measures:

All grantees, as part of programmatic monitoring, will be required to describe how expenditures first support maintenance and sustainment of current NPG core capabilities. For additional information on maintenance and sustainment, please see Appendix B FY 2012 HSGP Program Specific Priorities

For SHSP and UASI, grantees that maintain an emergency operations plan (EOP) are required to submit a Plan Analysis Tool annually and are required to include bi-annual updates on percentage of completion of CPG 101 v.2 compliance (for additional information, see <http://www.fema.gov/prepared/plan.shtm>)

For SHSP and UASI, grantees will report the number of people trained in a given capability to support a reported number of defined resource typed teams (e.g., 63 responders were trained in structural collapse to support 23 Type 2 USAR Teams).

For SHSP and UASI, grantees will report the total number of a defined type of resource and capabilities built utilizing the resources of this grant.

For SHSP and UASI, grantees will report what equipment was purchased and what typed capability it supports.

For SHSP and UASI, fusion centers will report on the achievement of capabilities and compliance with measurement requirements within the Maturation and Enhancement of State and Major Urban Area Fusion Centers priority through the annual Fusion Center Assessment Program managed by DHS Office of Intelligence and Analysis (I&A) and reported to FEMA.

For SHSP and UASI, grantees will submit a certification indicating the number of personnel involved in the Nationwide Suspicious Activity Reporting (SAR) Initiative (NSI) as well as the number of personnel who have completed the required training.

For SHSP and UASI, grantees should establish a planning body and demonstrate that the membership and activities reflect the whole community. State Preparedness Report (SPR) Submittal. Section 652(c) of the Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295), 6 U.S.C. 752(c), requires any State that receives Federal preparedness assistance to submit an SPR to FEMA. States submitted the most recent State Preparedness Report in December 2011, which meets this requirement in order to receive funding under the FY 2012 HSGP. Biannual Strategy Implementation Reports (BSIR). Grantees are responsible for completing and submitting the BSIR reports as a complement to the SF-PPR. The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives. The first BSIR is not due until at least six months after the award notice has been received by the grantee. Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

Initial Strategy Implementation Plan (ISIP). Following the award of HSGP grant funds, awardees will be responsible for reporting planned expenditures of the newly awarded grant funds to meet the pass-through requirement. The applicable SAAs are responsible for completing and submitting the ISIP online. The ISIP is due within 45 days of the award date.

Grant Close-Out Process. Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to

close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records.

For more information, please see the FY 2012 HSGP and THSGP Funding Opportunity Announcement. Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed. Exercise Evaluation and Improvement. Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program located at <https://hseep.dhs.gov>.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

#### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

#### **Account Identification:**

70-0560-0-1-999.

#### **Obligations:**

(Formula Grants) FY 11 \$1,299,296,132; FY 12 est \$841,976,000; and FY 13 Estimate Not Available - HSGP:  
FY 2009: 1,714,172,154  
FY 2010: 1,786,359,956  
FY 2011: 1,289,296,132  
FY 2012: 294,000,000 (SHSP), 495,376,000 (UASI), 46,600,000 (OPSG)

#### **THSGP:**

FY 2009: 1,788,000  
FY 2010: 10,000,000  
FY 2011: 10,000,000  
FY 2012: 6,000,000.

#### **Range and Average of Financial Assistance:**

For more information, refer to the FY 2012 HSGP and THSGP Funding Opportunity Announcement.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: HSGP:  
As part of the FY 2011 HSGP, DHS-FEMA identified three overarching priorities for SHSP and UASI:

Advancing Whole Community Security and Emergency Management  
Building Prevention and Protection Capabilities  
Maturation and Enhancement of State and Major Urban Area Fusion Centers

#### **THSGP:**

FY 2011 THSGP is one tool among a comprehensive set of measures authorized by Congress and implemented by the Administration to help strengthen the Nation against risks associated with potential terrorist attacks. DHS and FEMA leadership have identified one priority which grantees are encouraged to consider when developing their FY 2011 Preparedness Grant Program plans. This priority is advancing Whole Community Security and Emergency Management. As the country experiences threats of terrorist attacks (foreign and domestic) and natural disasters, communities are challenged to develop collective, local abilities to withstand the potential impacts of these events, respond quickly, and recover in a way that sustains or improves the community's overall well-being. Achieving this collective capacity calls for innovative approaches across the community, including emergency management to build up existing practices, institutions, and organizations that help make local communities successful, and that can leverage this infrastructure if and when an incident occurs. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

FY 2012 HSGP Funding Opportunity Announcement.

#### **Regional or Local Office:**

See Regional Agency Offices. Additional information (Please include additional information, if applicable)  
FEMA Regions may also provide fiscal support, including pre- and post-award administration and technical assistance, to the grant programs included in this solicitation. For a list of contacts, please go to <http://www.fema.gov/about/contact/regions.shtm>.

#### **Headquarters Office:**

Grant Programs Directorate DHS/FEMA  
5071 D Techworld Building  
500 C Street SW  
, Washington, District of Columbia 20472 Phone: (1-800) 368-6498

#### **Website Address:**

<http://www.fema.gov/government/grant/index.shtm>

#### **RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative ; 97.042 Emergency Management Performance Grants

#### **EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: FY 2012 HSGP plays an important role in the implementation of Presidential Policy Directive 8 (PPD-8) by supporting development and sustainment of core capabilities outlined in the National Preparedness Goal (NPG). Core capabilities are essential for the execution of each of the five mission areas, however, they are not exclusive to any single level of government or organization but rather require the combined effort of the whole community. The FY 2012 HSGP supports efforts to build and sustain core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs. Examples of tangible outcomes from FY 2012 HSGP include building and sustaining core capabilities through:

- Planning
- Maintenance and Sustainment
- Maturation and Enhancement of State and Major Urban Area Fusion Centers
- Building Law Enforcement Terrorism Prevention Capabilities
- Threat and Hazard Identification and Risk Assessment (THIRA)
- Whole Community Approach to Security and Emergency Management
- Typing of Equipment and Training. Fiscal Year 2013: No Current Data Available

#### **CRITERIA FOR SELECTING PROPOSALS:**

FY 2012 SHSP and UASI are non-competitive programs. For additional information on FY 2012 SHSP and UASI allocations, refer to the FY 2012 HSGP Funding Opportunity Announcement. Funds for FY 2012 OPSG will be allocated competitively. This includes the use of risk-based prioritization using

CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific law enforcement intelligence. Each applicants final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders. In order to be eligible to receive THSGP funding, grantees must be considered directly eligible Tribes. Per the 9/11 Act, the term directly eligible Tribe means

(A) any Indian Tribe

(i) that is located in the continental United States;

(ii) that operates a law enforcement or emergency response agency with the capacity to respond to calls for law enforcement or emergency services;

(iii)

a. that is located on or near (50 miles) an international border or a coastline bordering an ocean (including the Gulf of Mexico) or international waters (excluding shoreline border around the Great Lakes);

b. that is located within 10 miles of a system or asset included on the prioritized critical infrastructure list established under section 210E(a)(2) [please refer to section 1001 of the 9/11 Act] or has such a system or asset within its territory;

c. that is located within or contiguous to one of the 50 most populous metropolitan statistical areas in the United States; or

d. the jurisdiction of which includes not less than 1,000 square miles of Indian country, as that term is defined in section 1151 of title 18, United States Code; and

(iv) that certifies to the Secretary that a State has not provided funds under section 2003 [UASI] or 2004 [SHSP] to the Indian Tribe or consortium of Indian Tribes for the purpose for which direct funding is sought; and

(B) a consortium of Indian Tribes, if each Tribe satisfies the requirements of subparagraph (A).

In summary, eligible Tribes must meet the requirements set forth in (A) (i), and (A) (ii), and (A) (iv). Tribes must also meet one of the requirements set forth in (A) (iii); either (A) (iii) (a), or (A) (iii) (b), or (A) (iii) (c), or (A) (iii) (d). Finally, (B) may also be satisfied, if each Tribe satisfies the requirements of subparagraph (A).

In FY 2012, applicants must self-certify as to whether they meet the eligibility requirements. Self-certification will be provided on the THSGP Eligibility Certification Form as part of Application Investment Justification. Any questions regarding an applicants proximity to a Critical Infrastructure and Key Structures (CI/KR) site, as described in the eligibility criteria, may be directed to the State Administrative Agency (SAA). Any additional questions regarding the overall self-certification of eligibility process may be directed to the CSID.

## **97.069 AVIATION RESEARCH GRANTS**

### **FEDERAL AGENCY:**

Department of Homeland Security

### **AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 188(b)(1)(c).

### **OBJECTIVES:**

To encourage and support innovative, advanced, and applied research and development in areas of potential benefit to the long-term growth of civil aviation security.

### **TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants (Contracts); USE OF PROPERTY, FACILITIES, OR EQUIPMENT

### **USES AND USE RESTRICTIONS:**

The grants may be used to support research and development projects at colleges, universities, nonprofit and for profit institutions in the area of System Security Technology. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to program guidance.

### **Applicant Eligibility:**

Public and private nonprofit institutions/organizations, colleges and universities, State, local and Indian Tribal Governments and for-profit organizations are eligible to benefit.

### **Beneficiary Eligibility:**

Public and private nonprofit institutions/organizations (colleges and universities), State, local and Indian Tribal Governments and for-profit organizations are eligible to benefit.

### **Credentials/Documentation:**

May be required by U.S. Statute, regulation or program guidance. OMB Circular No. A-87 applies to this program.

### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

### **Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Refer to program guidance document.

### **Appeals:**

None.

### **Renewals:**

Multi-year grants or cooperative agreements are available; extensions are possible. No-cost extensions available upon request by the recipient and approval by the Grants Office.

### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Payment based on Project need.

### **Reports:**

Refer to program guidance. No cash reports are required. Frequency of interim reporting will be identified in the funding opportunity/program guidance document. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantee fiscal year.

### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - No funding available for FY2011, FY2012, and FY 2012. The Hope College Grant (number 06-G-019) is still active until September 30, 2012.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Hope College (Grant number 06-G-019):

Conducted near-field pressure measurement tests under different ambient pressure conditions in the Differential Pressure Vessel to study the effects of ambient pressure on blast pressure measurement.

Developed and built the Impulse Plug Test System (IPTS) for the measurement of near-field reflected impulse and supported the impulse plug tests. Conducted preliminary impulse plug tests for high explosives.

Presented the paper "Measurement of Blast Reflected Overpressure at Small Charge Standoff with Tourmaline Piezoelectric Transducers" in the 26th International Symposium on Ballistics on September 12 - 16, 2011 in Miami, Florida. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars A-21, Cost Principles for Educational Institutions (relocated to 2 CFR, Part 220); A-87, Cost Principles for State, Local and Indian Tribal Governments (relocated to 2 CFR, Part 225); A-102, Grants and Cooperative Agreements with State and Local Governments; A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations (relocated to 2 CFR, Part 215); A-122, Cost Principles for Nonprofit Organizations (relocated to 2 CFR, Part 230); and A-133, Audits of States, Local Governments and Nonprofit Organizations. In addition to the OMB criteria, program regulations, guidelines, DHS policy and procedures will also apply.

**Regional or Local Office:**

See Regional Agency Offices. US Department of Homeland Security, Science and Technology Directorate  
Transportation Security Laboratory, William J. Hughes Technical Center, Building 315,  
Atlantic City International Airport, NJ 08405.

**Headquarters Office:**

Sue McLaughlin W. J. Hughes Technical Center, Bldg 315, International Airport, Atlantic City, New Jersey 08405 Phone: (1-609) 813-2700 Fax: (1-609) 383-1973

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.075 RAIL AND TRANSIT SECURITY GRANT PROGRAM**

TSGP/IPR

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007, Section 1406, Public Law 110-53.

**OBJECTIVES:**

The FY 2012 TSGP and IPR Program play an important role in the

implementation of Presidential Policy Directive 8 (PPD-8) by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY 2012 TSGP and IPR Program support all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs. Examples of tangible outcomes from the TSGP and IPR Program include building and sustaining emergency management capabilities through operational activities, operational packages (OPacks), Top Transit Asset List (TTAL) remediation; protection of high risk/high consequence underwater and underground rail assets; planning; use of visible, unpredictable deterrence; emergency preparedness drills and exercises; public awareness and preparedness campaigns; and protection of other high risk, high consequences areas or systems that have been identified through system wide risk assessments.

**TYPES OF ASSISTANCE:****PROJECT GRANTS****USES AND USE RESTRICTIONS:**

The TSGP and IPR Program are two of the Department of Homeland Security's FY 2012 grant programs which directly support transportation infrastructure security activities. These grant programs are part of a comprehensive set of measures authorized by Congress and implemented by the Department of Homeland Security to strengthen the Nation's critical infrastructure against risks associated with potential terrorist attacks. TSGP provides funds to the Nation's High-Threat Urban Areas for enhancement of security measures at critical transit infrastructure including bus, ferry, and rail systems. The intent of the FY 2012 TSGP is to competitively award grant funding to assist transit systems in obtaining the resources required to support the NPGs associated mission areas and core capabilities. IPR Program provides funds to Amtrak to develop security enhancements for eligible intercity passenger rail operations. The intent of the FY 2012 IPR is to grant funding to assist the Amtrak rail system in obtaining the resources required to support the NPGs associated mission areas and core capabilities. DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants/cooperative agreements, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS and if they are included in the award agreement. Federal employees are prohibited from serving in any capacity (paid or unpaid) on any proposal submitted under this program. Federal employees may not receive funds under this award. In accordance with Homeland Security Presidential Directive (HSPD)-5, Management of Domestic Incidents, the adoption of NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. Federal FY 2011 NIMS implementation must be considered prior to allocation of any Federal preparedness awards in FY 2012. The list of objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.htm#item2>. The primary grantee/administrator of FY 2012 TSGP award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards. Yes, in TSGP. Refer to the FY2012 TSGP FOA for more information.

**Applicant Eligibility:**

Agencies eligible for FY 2012 TSGP are determined based upon daily unlinked passenger trips (ridership) and transit systems that serve historically eligible Urban Area Security Initiative (UASI) jurisdictions. Certain ferry systems are eligible to participate in the FY 2012 TSGP and receive funds. However, any ferry system electing to participate and receive funds under the FY 2012 TSGP will not be eligible to participate under the FY 2012 Port Security Grant Program (PSGP) and will not be considered for funding under the FY 2012 PSGP. Likewise, any ferry system that participates in the PSGP will not be eligible for funding under the TSGP. The 9/11 Act requires that high risk public transportation agencies, including those that receive grant funding, must

develop a security plan based on a security assessment. Additionally, the legislation directs that grant funds be used to address items in the security assessment or the security plan. In order to be eligible for the FY 2012 TSGP, transit agencies must have developed and/or updated their security plan, which must be based on a security assessment such as the Baseline Assessment and Security Enhancement (BASE) performed by Transportation Security Inspectors-Surface from the Transportation Security Administration (TSA), within the last three years. A copy of the Security Plan and security assessment must be available for DHS review upon request. Entities providing transit security (e.g., city/county police department, transit agency's own police department) for a transit agency must approve the security plan. The signature of a responsible official from the agency's transit security provider serves as this approval. If there is more than one provider in the core service area, all transit security providers must review and concur with the plan. Associated documentation of this approval must be provided to DHS upon request. In addition, the agency's transit security provider is encouraged to review the Investment Justifications (IJ) prior to submission. Each Regional Transit Security Working Group (RTSWG) is required to develop and update at least every three years a Regional Transit Security Strategy (RTSS). As the owners and/or operators of infrastructure that is vital to the well being of the States and Urban Areas they serve, it is imperative that transit systems be incorporated into regional preparedness planning efforts. A copy of the Security Plan or security assessment must be available for DHS review upon request. The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under FY 2012 IPR Program. For more information, refer to the FY2012 TSGP and IPR Program FOAs., National Incident Management System (NIMS) Implementation. In accordance with Homeland Security Presidential Directive (HSPD)-5, Management of Domestic Incidents, the adoption of NIMS is a requirement to receive Federal preparedness assistance, through grants, contracts, and other activities. Prior to allocation of any Federal preparedness awards in FY 2012, grantee must ensure compliance and/or alignment with FY 2011 NIMS implementation plan. The list of objectives against which progress and achievement are assessed and reported can be found at <http://www.fema.gov/emergency/nims/ImplementationGuidanceStakeholders.shtm#item2>. The primary grantee/administrator of FY 2012 TSGP and IPR Program award funds is responsible for determining if sub-awardees have demonstrated sufficient progress in NIMS implementation to disburse awards.

**Beneficiary Eligibility:**

Specialized group; general public.

**Credentials/Documentation:**

In order to be eligible for the FY 2012 TSGP, transit agencies must have developed and/or updated their security plan, which must be based on a security assessment such as the Baseline Assessment and Security Enhancement (BASE) performed by Transportation Security Inspectors-Surface from the Transportation Security Administration (TSA), within the last three years. A copy of the Security Plan and security assessment must be available for DHS review upon request. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Yes for TSGP. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Agencies eligible for FY 2012 TSGP are determined based upon daily unlinked passenger trips (ridership) and transit systems that serve historically eligible Urban Area Security Initiative (UASI) jurisdictions. Certain ferry systems are eligible to participate in the FY 2012 TSGP and receive funds. However, any ferry system electing to participate and receive funds under the FY 2012 TSGP will not be eligible to participate under the FY 2012 Port Security Grant Program (PSGP) and will not be considered for funding under the FY 2012 PSGP. Likewise, any ferry system that participates in the PSGP will not be eligible for funding under the TSGP. The 9/11 Act requires that high risk public transportation agencies, including those that

receive grant funding, must develop a security plan based on a security assessment. Additionally, the legislation directs that grant funds be used to address items in the security assessment or the security plan. In order to be eligible for the FY 2012 TSGP, transit agencies must have developed and/or updated their security plan, which must be based on a security assessment such as the Baseline Assessment and Security Enhancement (BASE) performed by Transportation Security Inspectors-Surface from the Transportation Security Administration (TSA), within the last three years. A copy of the Security Plan and security assessment must be available for DHS review upon request. Entities providing transit security (e.g., city/county police department, transit agency's own police department) for a transit agency must approve the security plan. The signature of a responsible official from the agency's transit security provider serves as this approval. If there is more than one provider in the core service area, all transit security providers must review and concur with the plan. Associated documentation of this approval must be provided to DHS upon request. In addition, the agency's transit security provider is encouraged to review the Investment Justifications (IJ) prior to submission. Each Regional Transit Security Working Group (RTSWG) is required to develop and update at least every three years a Regional Transit Security Strategy (RTSS). As the owners and/or operators of infrastructure that is vital to the well being of the States and Urban Areas they serve, it is imperative that transit systems be incorporated into regional preparedness planning efforts. A copy of the Security Plan or security assessment must be available for DHS review upon request.

The National Passenger Railroad Corporation (Amtrak) is the only entity eligible to apply for funding under FY 2012 IPR Program.

For more information, refer to the FY2012 TSGP and IPR Program FOAs.

**Address to Request Application Package**

FEMA makes all funding opportunities available on the Internet at <http://www.grants.gov>. If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select Apply for Grants, then select the CFDA number (97.075) or the FOA number (DHS XX-XXX-XXX-XX-XX) and Download Application Package. Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select Download Application Package, and then follow the prompts to download the application package. To download the instructions, go to Download Application Package and select Instructions.

**Content and Form of Application**

Application via Grants.gov. All applicants must file their applications using the Administrations common electronic storefront <http://www.grants.gov>. Eligible grantees must apply for funding through this portal, accessible on the Internet at <http://www.grants.gov>.

The application must be started and submitted using grants.gov after Central Contractor Registration (CCR) is confirmed. The on-line application includes the following required form:

Standard Form 424, Application for Federal Assistance

Applying for FY 2012 TSGP and IPR Program funds require a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 as soon after the FOA is published but no later than April 27, 2012. This involves submitting a complete Standard Form 424 to [www.grants.gov](http://www.grants.gov). The Standard Form 424 will be retrieved by ND Grants and the system will automatically populate the relevant data fields in the application. Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions to grants.gov to complete Step 1 could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the ND Grants system. The submission deadline for



the full application package is May 4, 2012.

The application must be completed and final submission made through the ND Grants system located at <https://portal.fema.gov>. If you need assistance registering for the ND Grants system, please contact [ndgrants@fema.gov](mailto:ndgrants@fema.gov) or (800) 865-4076. Applicants are encouraged to begin their ND Grants registration at the time of solicitation to ensure they have adequate time to start and complete their application submission. Unless otherwise referenced, the ND Grants system includes the following required forms and submissions:

Standard Form 424A, Budget Information (Non-construction)  
Standard Form 424B, Standard Assurances (Non-construction)  
Standard Form 424C, Budget Information (Construction)  
Standard Form 424D, Standard Assurances (Construction)  
Standard Form LLL, Disclosure of Lobbying Activities (if the grantee has engaged or intends to engage in lobbying activities)  
Grants.gov (GG) Lobbying Form, Certification Regarding Lobbying  
FEMA Form 20-16C, Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (available at: <http://fema.gov/library/viewRecord.do?id=2628>).  
Investment Justification (OMB 1660-0112/FEMA Form 089-4)  
Budget Detail Worksheet  
RTSS Outline (for TSGP)

The program title listed in the CFDA is Rail and Transit Security Grant Program. The CFDA number is 97.075.

Dun and Bradstreet Data Universal Numbering System (DUNS) Number. The applicant must provide a DUNS number with their application. This number is a required field within <http://www.grants.gov> and for CCR. Organizations should verify that they have a DUNS number, or take the steps necessary to obtain one, as soon as possible. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at (866) 705-5711.

Valid CCR. The application process also involves an updated and current registration by the applicant, which must be confirmed at <http://www.ccr.gov>.

Applicants will obtain FOA Overviews and Full Announcement information from the [grants.gov](http://www.grants.gov) website where the full FOA is posted.

#### **Award Procedure:**

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available on page 6 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the system is the award date. Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

#### **Deadlines:**

Feb 17, 2012 to May 04, 2012 Application Start Date: 02/17/2012  
Application Submission Deadline Date: 05/04/2012 at 11:59:59 PM EDT  
Anticipated Funding Selection Date: 06/29/2012  
Award Date: 09/30/2012.

#### **Range of Approval/Disapproval Time:**

Applying for FY 2012 TSGP and IPR Program funds require a two-step process. Step 1: initial submission to determine eligibility and Step 2: full application. Applicants are encouraged to initiate Step 1 immediately after the FOA is published but no later than April 27, 2012. This involves submitting a

complete Standard Form 424 to [grants.gov](http://grants.gov). Successful completion of this step is necessary for FEMA to determine eligibility of the applicant. Late submissions of Step 1 to [grants.gov](http://grants.gov) could result in applicants missing the application deadline in Step 2. Once FEMA has determined an applicant to be eligible, applicants can proceed to Step 2 which involves submitting the full application package via the Non Disaster (ND) Grants system. The submission deadline for the full application package is May 4, 2012.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching requirements are not applicable to this program.  
This program does not have MOE requirements.

#### **Length and Time Phasing of Assistance:**

The period of performance for TSGP is 48 months. The period of performance for the IPR Program is 24 months. Refer to FY2012 TSGP or IPR Program FOA for more information. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

Projected Award Start Date(s): 09/30/2012

Projected Award End Date(s): 09/30/2014

Period of Performance: 24 months

The periods of performance outlined above support the effort to expedite the outlay of grant funding and provide economic stimulus. The grantee should request waivers sparingly, and they will be granted only due to compelling legal, policy, or operational challenges. For example, the grantee may request waivers from the deadlines outlined above for discretionary grant funds where adjusting the timeline for spending will constitute a verifiable legal breach of contract by the grantee with vendors or sub-recipients, or where a specific statute or regulation mandates an environmental review that cannot be completed within this timeframe or where other exceptional circumstances warrant a discrete waiver. See the following for information on how assistance is awarded/released: Grantees must accept their grant awards no later than 90 days from the award date. The grantee shall notify the awarding agency of its intent to accept and proceed with work under the award, or provide a written notice of intent to decline. Funds will remain on hold until the grantee accepts the award through official correspondence, e.g., written, electronic signature, signed letter or fax to GPD, and all other conditions of award have been satisfied, or the award is otherwise rescinded. Failure to accept the grant award within the 90 day timeframe may result in a loss of funds.

#### **Reports:**

Performance Progress Report (SF-PPR). Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Approval Number 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Grantees should submit the SF-PPR as an attachment to the Non Disaster (ND) Grants system. The SF-PPR can be accessed online at [http://www.na.fs.fed.us/fap/SF-PPR\\_Cover%20Sheet.pdf](http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf).

Exercise Evaluation and Improvement. Exercises implemented with grant funds should evaluate performance of the capabilities required to respond to the exercise scenario. Guidance related to exercise evaluation and the implementation of improvements is defined in the Homeland Security Exercise and Evaluation Program located at <https://hseep.dhs.gov>.

Monitoring. Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.

Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of

the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed. Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

**Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. TSGP and IPR Program awardees are responsible for providing updated performance reports using the SF-PPR (OMB Approval Number 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). The SF-PPR can be accessed online at [http://www.na.fs.fed.us/fap/SF-PPR\\_Cover%20Sheet.pdf](http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf). Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through PARS.

**Grant Close-Out Process.** Within 90 days after the end of the period of performance, or after a Grant Adjustment Notice (GAN) has been issued to close out a grant, whichever comes first, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Monitoring may be accomplished through either a desk-based review or on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

#### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

#### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit,

or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

#### **Account Identification:**

70-0560-0-1-999.

#### **Obligations:**

(Project Grants) FY 11 \$220,039,000; FY 12 est \$97,500,000; and FY 13 Estimate Not Available - FY2011: 200,079,000 (TSGP), 19,960,000 (IPR) FY2012: 87,500,000 (TSGP); 10,000,000 (IPR).

#### **Range and Average of Financial Assistance:**

For more information, refer to the FY2012 TSGP and IPR Program FOAs.

#### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The FY 2011 TSGP focused on operational deterrence activities and the remediation of critical transit infrastructure due to their effectiveness in reducing risk to transit systems. It also considered funding for Multi-User High-Density Key Infrastructure Protection, Single-User High-Density Key Infrastructure Protection, Key Operating Asset Protection, and Other Mitigation Activities.

The TSGP and IPR Program are an important part of the Administrations larger, coordinated effort to strengthen homeland security preparedness, including the security of Americas critical infrastructure. The programs implemented objectives addressed in a series of post-9/11 laws, strategy documents, plans, Executive Orders, and Homeland Security Presidential Directives. Of particular significance is the National Preparedness Guidelines and its associated work products, including the National Infrastructure Protection Plan (NIPP) and its transportation sector-specific plans and Executive Order 13416 (Strengthening Surface Transportation Security). The National Preparedness Guidelines is an all-hazards vision regarding the Nations four core preparedness objectives: to prevent, protect against, respond to, and recover from terrorist attacks and catastrophic natural disasters. Fiscal Year 2012: No Current Data Available Fiscal Year 2013: No Current Data Available

#### **REGULATIONS, GUIDELINES, AND LITERATURE:**

The FY 2012 Transit Security Grant Program Funding Opportunity Announcement (TSGP FOA) and FY 2012 Intercity Passenger Rail Funding Opportunity Announcement (IPR Program FOA).

All successful applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions available within Section 6.1.1 of <http://www.dhs.gov/xlibrary/assets/cfo-financial-management-policy-manual.pdf>.

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the system is the award date. Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

#### **Regional or Local Office:**

None.

#### **Headquarters Office:**

Grant Programs Directorate DHS/FEMA  
5071 D Techworld Building  
500 C Street SW  
, Washington, District of Columbia 20472-3615 Phone: (1-800) 368-6498

#### **Website Address:**

<http://www.fema.gov/government/grant/index.shtm>

**RELATED PROGRAMS:**

97.056 Port Security Grant Program

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: Examples of tangible outcomes from the TSGP program include building and sustaining emergency management capabilities through:

- Building and Sustaining Core Capabilities;
- Training and Exercises;
- Operational activities;
- Operational packages (OPacks);
- Top Transit Asset List (TTAL) Remediation; and
- Other capital security projects

Examples of tangible outcomes from FY 2012 IPR Program include building and sustaining core capabilities through:

- Protection of high risk/high consequence underwater and underground rail assets
- Planning
- Use of visible, unpredictable deterrence. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

TSGP grantees must comply with all administrative requirements described herein including the submission of IJs, budgets, and other application materials as required. Having met all administrative requirements, the application will be scored based on a methodology that will ensure consistent and accurate evaluations of projects and proposals.

The following process will be used to make awards for the program:

DHS will verify compliance with each of the administrative and eligibility criteria identified in the application kit.

The Department will calculate a total score to aid with funding selections. The total score will consist of four individual parts: an agency-based risk score, a score associated with an applications alignment to the funding priority areas, a score based on project risk mitigation, and the degree of regional collaboration.

Eligible applications will be reviewed by a panel to determine the risk mitigation and regional collaboration scores. This panel will consist of Federal officials from multiple government agencies that will review each application and score it based on the following criteria: cost effectiveness, feasibility, timelines, and sustainability without additional Federal funds.

FEMA and TSA will make recommendations for funding to the Secretary of Homeland Security based on the funding priorities and scoring methodology.

For IPR Program, based on previously cited statutory authorities, DHS has elected to enter into a cooperative agreement with Amtrak. The nature of the Federal involvement in the execution of this program may include joint participation in a project. Other examples of prospective substantial Federal involvement include the following:

Collaboration, participation, and/or intervention in any activity covered by the cooperative agreement

Approval from DHS prior to the selection of a new project or commencement of the next phase of an approved project

Authority for DHS to halt an activity if detailed performance specifications are not met

Authority for DHS to direct or redirect the scope of work of a project based on new circumstances

Authority for DHS to create a working group of key Federal and private sector stakeholders to provide guidance and coordination for transit security activities

Funds for both programs will not be made available for obligation, expenditure, or drawdown until the applicants budget and budget narrative have been approved by FEMA. The applicant must provide a detailed budget for the funds requested. The detailed budget must be submitted with the grant application as a file attachment within <http://www.grants.gov>. The budget must be complete,

reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis of computation of all project-related costs, any appropriate narrative, and a detailed justification of Management and Administration (M&A) costs.

**97.076 NATIONAL CENTER FOR MISSING AND EXPLOITED CHILDREN (NCMEC)**

NCMEC

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act, Title IV, Section 441 (4), Public Law 107-296.

**OBJECTIVES:**

To support investigative and forensics support activities related to investigations of exploited children, promote awareness of the child pornography tip line and Project ALERT; and, in conjunction with other Federal law enforcement agencies, support the establishment and maintenance of a national resource center and clearinghouse dedicated to missing and exploited children issues.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The NCMEC award is designated for a private, nonprofit organization (NPO) which meets Congress objectives and programmatic criteria for preventing the abduction, abuse, and sexual exploitation of children; and/or assisting law enforcement agencies in the investigation and recovery of those children. Refer to program guidance.

**Applicant Eligibility:**

Nonprofits having a 501(c)(3), other than institutions of higher education.

**Beneficiary Eligibility:**

General public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Grantees must submit annual and final reports. Cash reports are not applicable. Grantees must submit annual and final reports. Refer to program guidance. See program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three (3) years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0400-0-1-751.

**Obligations:**

(Project Grants) FY 11 \$305,000; FY 12 est \$305,000; and FY 13 est \$0

**Range and Average of Financial Assistance:**

Amount may vary.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: NCMEC has disseminated thousands of publications and provided training to several hundred law enforcement officers and prosecutors regarding online crimes against children and sexual abuse issues. NCMECs CyberTipline has received thousands of reports of child pornography and child sexual exploitation. NCMEC continues to receive hundreds of hits on their web page daily. Fiscal Year 2012: No current data available. Fiscal Year 2013: No current data available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional information on program requirements and guidance, please contact the headquarters office at the address listed below.

**Regional or Local Office:**

None.

**Headquarters Office:**

Margie Jones 11320 Random Hills Rd., Suite 400, Fairfax, Virginia 22030  
Email: Margie.m.jones@ice.dhs.gov Phone: (703) 293-8005

**Website Address:**

www.dhs.gov

**RELATED PROGRAMS:**

16.543 Missing Children's Assistance

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Application is reviewed by the DHS/ICE/HSI Cyber Crimes Center and subject matter experts. Application is evaluated according to the program objectives and goals established by Congress.

**EVALUATION, AND DEMONSTRATION OF TECHNOLOGIES RELATED TO NUCLEAR DETECTION**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 1906, Public Law 107-296, V U.S.C 501(a).

**OBJECTIVES:**

Support basic and applied research to develop new capabilities to combat the threat of nuclear terrorism, develop intellectual capital in fields relevant to nuclear threat detection and advance fundamental knowledge for nuclear detection and related sciences. The ARI is intended to support research at accredited institutions of higher learning across the country, and the Exploratory Research Program supports research within industry and academia.

SETCP is intended for conducting research, testing, evaluation, & demonstration of technologies related to nuclear detection to identify, counter, or respond to terrorist threats.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Financial assistance under the ARI may be used for the execution of research at accredited universities and colleges. Financial assistance under the ER may be used to sponsor research within industry and academia. Supported costs include: salaries, materials and supplies, equipment, travel, publication costs, subcontractor, supporting costs and overhead required for technical and other activities necessary to achieve research objectives. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to announcement, program guidance and award provisions.

**Applicant Eligibility:**

Eligible Applicants: The ARI is limited to State, public or private accredited institutions of higher education. The ER Program supports State, Public nonprofit institution/organizations; Private nonprofit institution/organizations; Small businesses; Profit organizations and Other private institution/organizations.

**Beneficiary Eligibility:**

ARI: State, public or private accredited institutions of higher education; Scientists/Researcher; Graduate Student ; Education (13+) Exploratory Research: Public Nonprofit Institution/Organization; Small Business; Profit Organization; Private Organization; Other Private Institution/organization; Scientists/Researcher; State, public or private accredited institutions of higher education . SETCP: 10: Federal; 14 State; 15 Local; 20 public non-profit; 21 other; 22 Federally recognized Indian Tribal Governments; 31 Individual/Family; 35 profit organization; 36 private non-profit organizations.

**Credentials/Documentation:**

May be required by U.S. Statute, regulation, or as described in the program announcement. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Proposals are submitted in response to announcements. Details of proposal review and selection criteria are contained within these announcements. ARI proposals are reviewed and recommended for award by panels of independent subject matter experts. ER proposals are reviewed and recommended for award by DHS program and administrative staff. Upon source selection, awards are issued by the National Science Foundation (for ARI) or DHS (for ER).

**97.077 HOMELAND SECURITY RESEARCH TESTING,**

SETCP Applications are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

180 to 270 days.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to announcement and program guidance. For ARI, awards are made for annual budget periods, with a non-competing continuation application required for each budget period that comprises the awarded project duration. Funds awarded must be expended within each budget period. For ER, funds are awarded by research phase, with generally 3-5 phases and phase durations appropriate to the effort. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Awards are paid in advance using the U.S. Department of Health and Human Services/Payment Management System (SMARTLINK), provided it maintains or demonstrates the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of the funds from the DHS and expenditure disbursement by the Recipient. When these requirements are not met, the Recipient will be required to be on a reimbursement for costs incurred method.

**Reports:**

For ARI, performance reports are required as specified in the terms and conditions of the award. For ER, reports may include, but are not limited to, the following: monthly performance reports, quarterly review reports, and end of phase reports. Refer to program guidance. For ARI, performance reports are required as specified in the terms and conditions of the award. "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each six months, with performance reports due 90 days after the expiration or termination of grant award. For ER, reports may include, but are not limited to, the following: monthly performance reports, quarterly review reports, and end of phase reports. For SETCP, progress reports are required. Refer to program guidance. For ARI, Federal Financial Reports are required as specified in the terms and conditions of the award. For SETCP, expenditure reports are required. Refer to program guidance. Yes. Performance may be evaluated through on-site reviews of the research activity.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action

and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0860-0-1-999.

**Obligations:**

(Project Grants (Cooperative Agreements or Contracts)) FY 11 \$13,756,908; FY 12 est \$4,270,266; and FY 13 est \$7,536,000 - Amounts are for awarded grants.

**Range and Average of Financial Assistance:**

See announcement and program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The Academic Research Initiative is in its fourth year and has issued a total of 57 grants since inception. The program currently supports 39 grants at 32 universities, and over 150 students across the country. Research has included advanced materials for radiation detection; neutron detection and He-3 replacements technology; novel active and passive radiation detection concepts; modeling and applied mathematics supporting threat interdiction, and studies in advanced nuclear forensics techniques. Several universities are also supported through exploratory research awards in research areas similar to that described above. SETCP Nuclear detection equipment was distributed and is working in all locations. Fiscal Year 2012: The Academic Research Initiative is in its fifth year and has issued a total of 57 grants since inception. The program currently supports 41 grants at 34 universities, and over 150 students across the country. Research has included advanced materials for radiation detection; neutron detection and He-3 replacements technology; novel active and passive radiation detection concepts; modeling and applied mathematics supporting threat interdiction, and studies in advanced nuclear forensics techniques. Several universities are also supported through exploratory research awards in research areas similar to that described above. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures. Additional regulations are indicated in program announcement and award terms and conditions.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS, Domestic Nuclear Detection Office 245 Murray Lane, SW, DNDO Stop 0550, Washington, District of Columbia 20528-0550 Phone: (202) 254-7629

**Website Address:**

<http://www.dhs.gov> .

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: Experimental and Computational Assessment of Unique Trace Elements and Isotope Ratios in Plutonium from Depleted Uranium Irradiated in Fast Reactor Blankets  
Recasting Nuclear Forensics Discovery as a Digital Library Search Problem  
Development of High Rate, Excellent Energy Resolution, Radiation Damage Intensive, Liquid Krypton Gamma Ray Detector for Use in High Radiation Environments  
Very large area, high sensitivity neutron detection system  
Nuclear Data Measurements Using Gamma rays and Radiation Detector Development  
Electron Tracking for Advanced Gamma-Ray Imaging Applications in

Homeland Security  
Development of Improved CMT and CZT Nuclear Detectors for Homeland Security. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to announcement and program guidance. In general, ARI proposals are reviewed for intellectual merit and broader impact. ER proposals are reviewed for transformational impact, technical approach, capability and experience, and management approach.

**97.078 BUFFER ZONE PROTECTION PROGRAM (BZPP)**

(BZPP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act, 2010 (Public Law 111-83) and the Homeland Security Act of 2002 (6 U.S.C. Section 101 et seq.).

**OBJECTIVES:**

The FY 2010 Buffer Zone Protection Program (BZPP), provides funds to increase the preparedness capabilities of jurisdictions responsible for the safety and security of communities surrounding high-priority Critical Infrastructure and Key Resource (CIKR) assets through planning and equipment acquisition.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

BZPP grant awards will be administered by the respective State Administrative Agency (SAA) and may be used for planning, equipment, and management of protective actions relating to the program objectives. The SAA will allocate program funds to the jurisdiction(s) responsible for the safety and security of the communities in which CI/KR sites are located. For additional information concerning BZPP grant award uses and restrictions, please refer to the program solicitation guidance. All BZPP sites have been selected prior to the grant announcement based on the risk of the individual sites themselves. Therefore, FY 2010 BZPP funding allocated to any given state or territory is entirely a function of the number, type and character of pre-identified higher-risk sites within their respective jurisdictions; there are no discretionary sites. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

States, as defined in the Homeland Security Act of 2002, means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." The State's SAA is the only agency eligible to apply for BZPP grant funds and is responsible for obligating BZPP grant awards to the responsible jurisdiction(s) that have authority over the identified CIKR sites. The term "responsible jurisdiction" as used in the BZPP program guidance and application kit, refers to the primary agency (i.e. State, local, or tribal entity or unit of government), that has authority over the DHS identified CIKR facility and its buffer zone surrounding the facility.

**Beneficiary Eligibility:**

State and local governmental jurisdiction(s) responsible for the CI/KR sites.

**Credentials/Documentation:**

States, as defined in the Homeland Security Act of 2002, means "any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

none.

**Renewals:**

Funding is subject to reallocation each year, and may be consolidated with other programs.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements. Based on project need.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Federal Financial Reports (FFR) are required quarterly, which is due within 30 days of the end of each calendar quarter and Semi-Annual Assistance Progress Reports (SAPR) is due on a semi-annual basis. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Program is not funded for FY2011. This program will remain open due to open awards.

**Range and Average of Financial Assistance:**

Depending upon the assessment by DHS of the needs of identified CIKR facility; \$200,000 to \$5,200,000.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For additional information on program requirements and guidance, please refer to the BZPP Program Guidelines and Application Kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, Grant Programs Directorate 500 C Street, SW, Washington, District of Columbia 20472-3625 Email: askcsid@dhs.gov Phone: (800) 368-6498

**Website Address:**

http://www.fema.gov

**RELATED PROGRAMS:**

97.008 Urban Areas Security Initiative

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.080 INFORMATION ANALYSIS INFRASTRUCTURE PROTECTION (IAIP) AND CRITICAL INFRASTRUCTURE MONITORING AND PROTECTION****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Act., Public Law 107-296; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act 2009, Public Law 110-329; FY2008 Consolidated Appropriations Act, Public Law 110-161.

**OBJECTIVES:**

To provide financial or non-financial support to explore the feasibility and viability of commercially available protective measure technology to nonfederal entities, through pilot or demonstration projects, or as directed by Congress, to support monitoring of critical infrastructure, initiatives, programs and projects.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restricted to pilot or demonstration projects of commercially available protective measures technologies, or as directed by Congress, to support infrastructure monitoring. Additional information concerning uses and restrictions is contained in the program guidance document or can be obtained from the administering program office identified in this announcement. Financial and non-financial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See program guidance.

**Applicant Eligibility:**

Funds are restricted to State, local government, private, public, profit or non-profit organization, Indian Tribal government or individuals specified by DHS program or Appropriation Statute, or guidance.

**Beneficiary Eligibility:**

State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS Appropriation Statute.

**Credentials/Documentation:**

Please refer to the pertinent program announcement or solicitation guidance document. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The funding opportunity announcement will identify if the program is subject to

Executive Order 12372. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

Contingent upon future appropriations. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Will vary by project. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Refer to program guidance. Refer to program guidance. Financial and progress reports must be submitted in compliance with OMB Circular A-102 or A110. The frequency of the reports will be identified in the terms and conditions of the award. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal Agency submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999; 70-5609-1-1-000.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - The execution of funds for this grant was delayed due to cooperative agreement

delays, contract delays, NEPA study, and delays from the city's administration concerning the grant submission.

**Range and Average of Financial Assistance:**

As specified in the program announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: The execution of funds for this grant was delayed due to cooperative agreement delays, contract delays, NEPA study, and delays from the city's administration concerning the grant submission. Additionally, there were significant delays in the hiring process for both the PM and systems integration leader. All issues have been resolved. Fiscal Year 2012:

International Airport (PHL)

Completed Video feeds from the Philadelphia International Airport are now visible at Philadelphia Police Headquarters inside of the Real Time Crime Center.

Statement-of-Work Post Phase 1

The statement of work has been agreed upon by Microsoft and the City of Philadelphia. Work is beginning on post phase 1 deliverables.

Police Headquarters

35% complete. Ground and engineering surveys have been completed.

Surveys of infrastructure telecom cabling/wiring completed. Engineering and design documentation completed. National Historic Survey (as required by terms of the grant) completed. PA-SHPO has issued a "no impact" certification from PA - State Historic Preservation. Currently awaiting the fulfillment of necessary parts and supplies to start work. Expected in during late June.

14th & 39th District

15% complete. Engineering and analysis surveys have been completed. Camera control boxes have been designed and a prototype is currently under construction. Build-of-materials list is complete. Installation/integration equipment and supplies are currently in the process of being ordered. PECO Master Pole Agreement has been signed. PCIPP field teams have met with PECO to assess the utility poles we will be hanging cameras and fiber on. PECO field surveys and pole make ready work is in Progress. Anticipated completion early June. Once the make ready work is completed we can begin running fiber across poles.

AMTRAK

15% complete. Ground and engineering surveys have been performed on site at 30th Street Station. Integration equipment is currently being processed for ordering. Currently reviewing engineering design documents from vendor.

Parts and equipment are being ordered from the BOM contained in the engineering design doc that were just delivered.

SEPTA

10% complete. Ground and engineering surveys have been performed on site at Septa's central video storage location and Septa's server rooms. Septa's system is a much more involved system and will require a customized interface be developed, still working on a time-to-completion with our vendor on this effort. Microsoft is still working on the development of the API for the Septa VMS system.

Independence National Historic Park

5% overall completion. Field surveys have been performed at all respective National Park Service sites. Currently reviewing engineering design documents from vendor before proceeding with work. Parts and equipment are being ordered from the BOM contained in the engineering design doc that were just delivered.

Philadelphia City Hall

10% complete. Ground and engineering surveys have been completed. Surveys of infrastructure telecom cabling/wiring completed. Currently reviewing engineering design documents from vendor before proceeding with work. Parts and equipment are being ordered from the BOM contained in the engineering design doc that were just delivered. National Historic Survey (as required by terms of the grant) completed. PA-SHPO has issued a "no impact" certification from PA - State Historic Preservation. Awaiting the arrival of parts.

Philadelphia Regional Port Authority (PRPA)

0% complete. We have had several meetings with the PRPA executives. Met with PRPA along with DHS COTR to assess their involvement in this project. PRPA is still very interested in being involved. We have had followed up

meeting with PRPA executive staff. PRPA is checking with architectural and engineering companies as well as security companies to better assess their needs. Fiscal Year 2013: All sites above will be complete in FY13 pending approval of the extension. All work is being done concurrently.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State, and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS, Office of Procurement Operations, NPPD 245 Murray Lane, S.W., Building 410, Mailstop 0612, Washington, District of Columbia 20525-0612  
Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Earmark or as identified in the program guidance document.

**97.082 EARTHQUAKE CONSORTIUM**

Earthquake Consortium and State Assistance (ECSA)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Earthquake Hazards Reduction Act of 1977, Public Law 95-124; The National Earthquake Hazards Reduction Act of 2004, Public Law 108-360, 42 U.S.C 7701; The Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 101.

**OBJECTIVES:**

The purpose of this funding opportunity is to support the Central U.S. Earthquake Consortium (CUSEC), Northeast States Emergency Consortium (NESEC), Western States Seismic Policy Council (WSSPC), Cascadia Region Earthquake Workgroup (CREW), Earthquake Engineering Research Institute (EERI), Federal Alliance for Safe Homes (FLASH), Southern California Earthquake Center (SCEC), and any eligible State and territories with moderate to high seismic risks as determined by the Program Office in 1) delivering and increasing awareness and education ; 2) developing policies, tools, and products; and 3) implementing programs or projects to support risk reduction and resilience activities from earthquake and other hazards. Below are the Mitigation Mission Area Capability and Preliminary Targets in accordance with the National Preparedness Goals/PPD8:

Planning - Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.

1. Develop approved hazard mitigation plans that address all relevant threats/hazards in accordance with the results of their risk assessment within all states and territories.

Public Information and Warning - Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.



1. Communicate appropriate information, in an accessible manner, on the risks faced within a community after the conduct of a risk assessment.

Operational Coordination - Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.

1. Establish protocols to integrate mitigation data elements in support of operations within all states and territories and in coordination with Federal agencies.

Community Resilience - Lead the integrated effort to recognize, understand, communicate, plan, and address risks so that the community can develop a set of actions to accomplish Mitigation and improve resilience.

1. Maximize the coverage of the U.S. population that has a localized, risk-informed mitigation plan developed through partnerships across the entire community.

Long-term Vulnerability Reduction - Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines so as to reduce their vulnerability to natural, technological, and human-caused incidents by lessening the likelihood, severity, and duration of the adverse consequences related to these incidents.

1. Achieve a measurable decrease in the long-term vulnerability of the Nation against current baselines amid a growing population base and expanding infrastructure base.

Risk and Disaster Resilience Assessment - Assess risk and disaster resilience so that decision makers, responders, and community members can take informed action to reduce their entity's risk and increase their resilience.

1. Ensure that states, territories, and the top 100 Metropolitan Statistical Areas (MSAs) complete a risk assessment that defines localized vulnerabilities and consequences associated with potential natural, technological, and human-caused threats and hazards to their natural, human, physical, cyber, and socioeconomic interests.

Threats and Hazard Identification - Identify the threats and hazards that occur in the geographic area; determine the frequency and magnitude; and incorporate this into analysis and planning processes so as to clearly understand the needs of a community or entity.

1. Identify the threats and hazards within and across the states, territories, and the top 100 MSAs, in collaboration with the whole community, against a national standard based on sound science.

For additional details on the NPG, please refer to <http://www.fema.gov/pdf/prepared/npg.pdf>.

#### **TYPES OF ASSISTANCE:**

Cooperative Agreements

#### **USES AND USE RESTRICTIONS:**

For costs associated with providing guidance, technology transfer, and assistance to States and local communities with earthquake mitigation activities. This program is a cooperative agreement, non-competitive, and restricted to certain specialized/qualified organizations designated by FEMA. Funding may only be used for the purpose set forth in the cooperative agreement and must be consistent with the statutory authority for the award. Cooperative agreement funds may not be used for matching funds for other federal grants / cooperative agreements, or for lobbying or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS/FEMA and such costs must be reflected in the award agreement. All financial and progress reports must be current at the time of application. Refer to program guidance.

#### **Applicant Eligibility:**

The purpose of this funding opportunity is to support CUSEC, NESEC, WSSPC, CREW, EERI, FLASH, and SCEC, and any eligible State and territories with moderate to high seismic risks as determined by the Program Office in 1) delivering and increasing awareness and education ; 2) developing policies, tools, and products; and 3) implementing programs or projects to support risk reduction and resilience activities from earthquake and other hazards.

#### **Beneficiary Eligibility:**

CUSEC, NESEC, WSSPC, CREW, EERI, FLASH, and SCEC, and any eligible State and territories with moderate to high seismic risks as determined by the Program Office.

#### **Credentials/Documentation:**

This cooperative agreement program is restricted only to CUSEC, NESEC, WSSPC, CREW, EERI, FLASH, and SCEC, and any eligible State and territories with moderate to high seismic risks as determined by the Program Office. FEMA grants and cooperative agreements with educational and other non-profit organizations are governed by 2 CFR part 215. The allowability of costs incurred by non-profit organizations is determined in accordance with the provisions of 2 CFR part 230 and the Cost Principles for Non-Profit Organizations (OMB Circular A122. For State assistance, these cooperative agreements are governed by 44 CFR 361 and 44 CFR 13. All required documentations are detailed on this regulations as well as the official Funding Opportunity Announcement released on Grants.gov. OMB Circular No. A-87 applies to this program.

#### **Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

#### **Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Refer to official Funding Opportunity Announcement or Program Guidance on Grants.gov.

#### **Award Procedure:**

Refer to official Funding Opportunity Announcement or Program Guidance on Grants.gov.

#### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

#### **Range of Approval/Disapproval Time:**

Refer to official Funding Opportunity Announcement or Program Guidance on Grants.gov.

#### **Appeals:**

Not Applicable.

#### **Renewals:**

Not Applicable.

#### **Formula and Matching Requirements:**

Statutory Formula: No cost matching requirement for non-profit organizations.

Cost matching is required for State Assistance and varies by year. Refer to 44 CFR 361 or official Funding Opportunity Announcement on Grants.gov.

Matching Requirements: No cost matching requirement for non-profit organizations.

Cost matching is required for State Assistance and varies by year. Refer to 44 CFR 361 or official Funding Opportunity Announcement on Grants.gov.

This program has MOE requirements, see funding agency for further details. Indirect costs are allowable only if the applicant has an approved indirect cost rate with the cognizant Federal agency. A copy of the approved rate (a fully executed, agreement negotiated with the applicants cognizant federal agency) is required at the time of application. Indirect costs will be evaluated as part of the application for Federal funds to determine if allowable and reasonable.

Specifically, grantees should apply the training indirect cost rate (when it is available) or the offsite indirect cost rate (when a training rate is not

available). The full organized research negotiated rate should not be applied to these training awards. Written exceptions will be made in rare cases upon request and with adequate justification. FEMA will work closely with the grantee to determine the appropriateness of indirect costs for the type of activity and location proposed in the application, in accordance with the negotiated indirect cost rates approved by the grantees cognizant federal agency.

**Length and Time Phasing of Assistance:**

Up to 18 Months from Date of Award. Extensions to the period of performance will be considered only through formal requests to FEMA and will only be granted for specific and compelling reasons. All extension requests must be submitted to FEMA at least sixty (60) days prior to the expiration of the grant period of performance. Any unobligated funds will be de-obligated at the end of the 90 day close-out period. For more information, refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov. See the following for information on how assistance is awarded/released: Refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov.

**Reports:**

Refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov. Refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov. Refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov. Refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov. Refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year. For additional information regarding audit requirements, refer to program guidance.

**Records:**

Cooperative Agreement records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0711-0-1-453.

**Obligations:**

(Project Grants (Cooperative Agreements)) FY 11 \$3,433,225; FY 12 est \$3,529,534; and FY 13 Estimate Not Available - Eligible Applicants FY11 Actuals FY12 Projections

FLASH	\$410,000.00	\$450,000.00
SCEC	\$0.00	\$300,000.00
CREW	\$100,000.00	\$100,000.00
CUSEC	\$450,000.00	\$550,000.00
EERI	\$355,000.00	\$565,000.00
STATES	\$1,748,225.00	\$1,114,533.93
NESEC	\$170,000.00	\$200,000.00
WSSPC	\$200,000.00	\$250,000.00
TOTAL	\$3,433,225.00	\$3,529,533.93

**Range and Average of Financial Assistance:**

Refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov by year for actual target allocations by program by eligible applicant.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: See <http://www.fema.gov/hazard/earthquake/index.shtm> for program accomplishment report or contact Program Manager as detailed in official Funding Opportunity Announcement on Grants.gov. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 C.F.R. Part 361, National Earthquake Hazards Reduction Assistance to State and Local Governments, 44 C.F.R. Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 2 C.F.R. Part 215 Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations, and annual memorandum guidance issued by DHS-FEMA FIMA. Also, refer to the official Funding Opportunity Announcement or Program Guidance on Grants.gov for additional policies.

**Regional or Local Office:**

None. Claudette Fetterman  
Senior Program Specialist  
National Earthquake Hazards Reduction Program  
Building Science Branch, Risk Reduction Division  
DHS/FEMA Federal Insurance and Mitigation Administration (FIMA)  
1800 South Bell St. Arlington, VA 20598  
Phone: (202) 646-4344

Wendy Phillips  
Program Specialist  
National Earthquake Hazards Reduction Program  
Building Science Branch, Risk Reduction Division  
DHS/FEMA Federal Insurance and Mitigation Administration (FIMA)  
1800 South Bell St. Arlington, VA 20598  
Phone: (202) 646-2810.

**Headquarters Office:**

Claudette Fetterman 1800 South Bell Street, Arlington, Virginia 20598 Phone: (202) 646-4344

**Website Address:**

[www.FEMA.gov](http://www.FEMA.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.083 STAFFING FOR ADEQUATE FIRE AND EMERGENCY RESPONSE (SAFER)**

(SAFER ACT)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Federal Fire Prevention and Control Act of 1974, 15 U.S.C 2201 et seq.

**OBJECTIVES:**

To increase the number of firefighters in local communities and to help them meet industry minimum standards and attain 24/7 staffing for adequate protection against fire and fire-related hazards, and fulfill related roles associated with fire departments.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Not all fire departments will be eligible to apply. Training, equipment, over-time, and administrative expenses are not eligible. Individuals seeking personal assistance are not eligible. This program is intended to assist fire departments and recognized organizations as identified in the program guidance document and application package; and only those fire departments and

organizations as specified in the program guidance, are eligible. Funds may be used to recruit, hire, and retain firefighters, but cannot supplant (replace) the applicants funds budgeted for that purpose. Recipients of funds for hiring of new firefighters must commit to maintaining their pre-existing (pre-grant) staffing level, and retaining personnel hired with grant funds, for at least one (1) year beyond the end of the four (4)-year grant period. Thus, recipients must maintain pre-existing staffing levels and retain grant funded personnel throughout the five year period of performance. Federal funds provided are limited for each position. From FY 05 through FY 08, the funds were provided on a sliding scale, recipients must initially match 10 percent of the Federal share the first year. Recipient match increases by certain percentages in the second, third, and fourth years, culminating in 100 percent of personnel costs (per position), in the fifth year and beyond. In FY 09 and FY 10, there was no cap on the federal funds provided for each position and there was no matching requirement. Refer to the program guidance for further information. This program is restricted to the jurisdictions/organizations described in the program guidance. For specific information, refer to the program guidance. In summary, for the purpose of this program, "State" is defined as the fifty States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Alaska Village Initiative, a nonprofit organization incorporated in the State of Alaska, shall also be considered eligible for purposes of receiving assistance under this program on behalf of Alaska Native villages. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression on a first-due basis to a population within a fixed geographical area. Fire departments may be comprised of members who are all volunteer, combination volunteer/career, or all career.

**Applicant Eligibility:**

This program is restricted to the jurisdictions/organizations described in the program guidance. For specific information, refer to the program guidance. In summary, for the purpose of this program, "State" is defined as the fifty States, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. The Alaska Village Initiative, a nonprofit organization incorporated in the State of Alaska, shall also be considered eligible for purposes of receiving assistance under this program on behalf of Alaska Native villages. A "fire department" is defined as an agency or organization that has a formally recognized arrangement with a State, territory, local, or tribal authority (city, county, parish, fire district, township, town, or other governing body) to provide fire suppression on a first-due basis to a population within a fixed geographical area. Fire departments may be comprised of members who are all volunteer, combination volunteer/career, or all career.

**Beneficiary Eligibility:**

Local or tribal communities serviced by the fire department including, local businesses, homeowners and property owners.

**Credentials/Documentation:**

Applicant must certify that they are an eligible applicant, i.e., a fire department, as described in the program guidance. Refer to program guidance document for specific information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are peer reviewed and subsequently also reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award

being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Applicants that receive an adverse decision or denial, can request reconsideration of the decision. Request for reconsideration must be submitted in writing, to the address contained on the program's website within 30 days of the notification of denial by the administering program office.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements. Refer to program guidance document.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The hiring grants have a four year performance period. The recruitment and retention grants are made in one-year increments up to a possible four-year period of performance. Refer to program guidance for further details. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Refer to program guidance document. Refer to program guidance document. Quarterly progress reports. Quarterly Financial Status Reports. Refer to program guidance document.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0561-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$794,355,786; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

U.S.C. 2201 et seq.; Fire Prevention and Control Act of 1974.

**Regional or Local Office:**

See Regional Agency Offices. SAFER grants are directed from the FEMA Headquarters Office. There are 10 regional offices in FEMA who provide monitoring and oversight of FEMA grantees.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld, 500 C St., SW, Control Desk, 4th Floor Rm 427, Washington, District of Columbia 20472 Email: firegrants@dhs.gov Phone: (866) 274-0960

**Website Address:**

<http://www.fema.gov/firegrants/index.shtm>.

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.088 DISASTER ASSISTANCE PROJECTS**

(Earmarked Projects or Limited Scope Disaster Projects.

Restricted to entities designated by DHS or congressional statute.)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act, Public Law 107-296; Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288; Public Health Bioterrorism and Public Health Emergencies Act of 2002, Public Law 107-188.

**OBJECTIVES:**

This category is not for unsolicited proposals. Provides funding that has been designated by Congressionally appropriated authorization, generally for a specified project, or to provide unique or limited scope funding for certain disaster assistance Projects identified by congress or a DHS program office.

Program funds support the National Preparedness Goal of enhancing core capabilities in the areas of disaster response and recovery.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Funding is restricted to nonfederal entities invited to apply by DHS or specified in DHS Appropriation Statute.

**Applicant Eligibility:**

Funds are restricted to nonfederal entities, e.g. State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS or U.S. Appropriation Statute.

**Beneficiary Eligibility:**

State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by U.S. Appropriation Statute.

**Credentials/Documentation:**

Credentials or other documentation may be required by the U.S. Appropriation Statute or other statute by project.

Funds are restricted to nonfederal entities, e.g. State, local government, private, public, profit or nonprofit organization, Indian Tribal government or individual specified by DHS or U.S. Appropriation Statute. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

The applicant is notified of funding availability through letter or electronic mail communication. The applicant will be advised on how to apply for the funding through this notification. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An application (SF 424, budget, program or project narrative and assurances) or plan must be submitted that outlines the implementation of the project and expenditure of funds in response to the project identified by the U.S. Appropriation Statute.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval time depends on the type of project to be funded.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: Funding amounts and match requirements are specified in the program guidance document.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Mandated in the appropriation or identified in the application or plan submission. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Financial and progress reports must be submitted in compliance with OMB Circular A-102 or A-110. The frequency of the reports will be identified in the "Terms and Conditions" of the award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation and all other records to validate the performance of the grant or cooperative agreement must be retained for three years from the date the final financial status report is submitted to the DHS.

**Account Identification:**

70-0702-0-1-760.

**Obligations:**

(Project Grants) FY 11 \$41,045,644; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Each "earmark" or project funding is designated by the appropriation statute or identified by the program office.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars, A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with Stat, and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in

addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld, Control Desk, 4th floor Room 427, 500 C St., SW. The Centralized Scheduling and Information Desk (CSID). CSID is open from 8:00am to 7:00pm., Eastern Standard Time, Monday through Friday., Washington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

http://www.fema.gov.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.089 DRIVER'S LICENSE SECURITY GRANT PROGRAM**

Driver's License Security Grant Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Public Law 111-83, Department of Homeland Security Appropriations Act, 2010 (Title III Protection, Preparedness, Response, and Recovery); Public Law 110-53, Implementing Recommendations of the 9/11 Commission Act of 2007; and Public Law 109-13, Real ID Act of 2005.

**OBJECTIVES:**

This program provides funding to prevent terrorism, reduce fraud and improve the reliability and accuracy of personal identification documents that states and territories issue. The program is intended to address a key recommendation of the 9/11 Commission to improve the integrity and security of State-issued drivers licenses (DL) and identification cards (IC).

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to State Drivers License Agencies (DLA), also known as State Departments of Motor Vehicles (DMV) or Motor Vehicle Administrations (MVA) that are responsible for issuing driver's licenses. Other eligible applicants include State Public Safety Agencies or Departments, which may apply on behalf of the State DMV/MVA.

Funds may be used in accordance with uses defined in the program guidance document/application kit. Allowable funding categories include: management and administration, planning, equipment, and maintenance and sustainment.

**Applicant Eligibility:**

The issuing authority for motor vehicle licenses in each State or territory, as identified by the DHS, is the only agency eligible to apply for the Driver's License Security Grant Program.

**Beneficiary Eligibility:**

State, U.S. Territory and local governments, intrastate, interstate, small business, general public, other public institution/organizations.

**Credentials/Documentation:**

If required, will be identified in the program guidance/solicitation. The issuing authority for motor vehicle licenses in each State or territory, as identified by the DHS, is the only agency eligible to apply for the Driver's License Security Grant Program. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O.

12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Unsolicited applications from entities other than those listed in the "Applicant Eligibility" above, will not be accepted. Eligible applicants must apply on-line using Grants.gov. The Driver's License Security Grant Program application process will require: Narrative to include a description of current resource management capabilities to develop, implement, and manage the programmatic requirements associated with the Driver's License Security Grant Program funding; a proposed work plan; a budget and budget narrative addressing the Driver's License Security Grant Program project related costs and expenses. Applications submitted online must contain information and meet the requirements outlined in the Driver's License Security Grant Program solicitation and program guidance.

**Award Procedure:**

Applications are reviewed by DHS policy and grant management staff, concerns negotiated with the applicant, and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The program and administrative office will evaluate applications and award funds within 60 days of receipt of applications.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

The period of performance for DLSGP grants is 36 months. See the following for information on how assistance is awarded/released: Payment based on project need. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Progress Reports are due semi-annually within 30 days after the end of the reporting periods. Reports are due: July 30 and January 30. The Final Progress Report is due 90 days after the expiration date of the award period. These reports should consist of a brief narrative discussing achievements to date, and progress towards annual goals, and any issues which may need to be addressed. Required Financial Status Reports (SF 269A) are due quarterly after the end of the reporting period. Reports are due: April 30, July 30, October 30, and January 30. The Final Financial Report is due 90 days after the expiration date of the award period. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency no later than 9 months after the end of the grantees fiscal year.

**Records:**

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of at least 3 years after

the grant has been closed or until an audit has been conducted that does not show any questionable costs.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Program was last funded in FY2011. This program will remain open due to open awards.

**Range and Average of Financial Assistance:**

Will be identified in the solicitation/program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, FEMA Grant Programs Directorate 800 K Street, NW, Wasington, District of Columbia 20472 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Will be identified in the solicitation/program guidance.

**97.091 HOMELAND SECURITY BIOWATCH PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 308(b)(1)(c).

**OBJECTIVES:**

To provide funding and/or property for the conduct of operations and other related activities intended to identify, counter, or respond to biological and chemical threats.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement, program guidance, and award provisions. See program announcement.

**Applicant Eligibility:**

Generally, State and local governments or as specified by U.S. Appropriation Statute. Specific applicant eligibility will be identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB

Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. An application (SF-424, Budget, program or project narrative and assurances) must be submitted that outlines the implementation of the project and expenditure of funds in response to the project identified through the announcement.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff, concerns negotiated with the applicant, and award processed.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The range of approval depends on the type of project to be funded.

**Appeals:**

Not Applicable.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Specified in the funding opportunity announcement. See the following for information on how assistance is awarded/released: See program announcement.

**Reports:**

Requirements identified in the terms and conditions of the award. Financial reports submission are identified in the Terms and Conditions of the award. Program and progress reports must be submitted and are identified in the Terms and Conditions of the award. Financial reports submission are identified in the Terms and Conditions of the award. Requirements are identified in the Terms and Conditions of the award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Financial records, supporting documentation and all other records to validate the performance of the grant or cooperative agreement must be retained for 3 years from the date the final financial status report is submitted to the DHS.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 11 \$24,200,000; FY 12 est \$27,000,000; and FY 13 est \$27,700,000 - Enhanced diseases has ended Biowatch still in existence.

**Range and Average of Financial Assistance:**

Specified in the announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: During the final year of this award, testing and sampling continued over the course of the study. Ultimately, a statistical model could be designed based on the significant findings.

**Additional Accomplishments:**

Funded 27 Cooperative Agreements to support BioWatch jurisdictions for conducting Field Operations  
BioWatch support to 2011 Major League Baseball All-Star Game  
Completed optimization in 8 jurisdictions. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos., A-21 Cost Principles for Educational Institutions, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

DHS OPO/GFAD 245 Murray Lane, SW, Mail Stop 0115, Washington, District of Columbia 20528 Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Earmark or as identified in the funding opportunity announcement or program guidance.

**97.092 REPETITIVE FLOOD CLAIMS**

RFC

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The RFC program is authorized by Section 1323 of the NFIA , 42 U.S.C 4030.

**OBJECTIVES:**

To assist States, Indian tribal governments, and communities to reduce or eliminate the long-term risk of flood damage to structures insured under the National Flood Insurance Program (NFIP) that have had one or more claims for flood damages through mitigation activities that are in the best interest of the National Flood Insurance Fund (NFIF). This grant program supports the Mitigate component of the Presidential Preparedness Directive 8 (PPD-8) in the following ways: by providing funding to states and communities that promotes Long-Term Vulnerability Reduction by elevating at-risk homes or removing structures from flood hazard areas. Overall, this program also supports Community Resilience by reducing the need for emergency services in flood-prone areas of the community.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States, Indian tribal governments, and communities may apply for RFC project grants for activities that reduce or eliminate the long - term risk of flood damage to structures, insured under the National Flood Insurance Program (NFIP), that have had one or more claims for flood damages. This may include the acquisition of insured structures for the purpose of converting flood-prone land back to open space use; elevation of existing structures; dry floodproofing;

and minor localized flood reduction projects. Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements.

**Applicant Eligibility:**

Entities eligible to apply for HMA grants include the emergency management agency or a similar office of the 50 States, the District of Columbia, American Samoa, Guam, the U.S. Virgin Islands, Puerto Rico, the Northern Mariana Islands, and Indian Tribal governments. Each State, Territory, Commonwealth, or Indian Tribal government shall designate one agency to serve as the Applicant for each HMA program. Please see the HMA program guidance for more detailed information.

**Beneficiary Eligibility:**

State agencies, Indian Tribal governments, and local governments and communities are eligible to apply as subapplicants for assistance under the RFC program. All interested subapplicants must apply to the Applicant. Please see the HMA program guidance for detailed information.

**Credentials/Documentation:**

Please see the HMA Program Guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines

**Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

**Appeals:**

Refer to HMA program guidance document.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Refer to HMA program guidance for additional information.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to HMA program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the

progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-3-453.

**Obligations:**

(Project Grants) FY 11 \$10,500,000; FY 12 est \$10,000,000; and FY 13 est \$5,000,000

**Range and Average of Financial Assistance:**

Refer to HMA program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Identified and implemented program improvements to increase the effectiveness of the RFC program. Provided \$10.5 million in grant funds for mitigation activities affecting 41 properties. Promoted the use of the HMA Portfolio Manager tool to further facilitate information sharing among FEMA, State, and local partners. Fiscal Year 2012: The program office will continue to provide technical assistance to applicants, complete pre-award reviews to award remaining projects identified in prior fiscal years, and monitor and closeout open projects. Fiscal Year 2013: The Biggert-Waters Flood Insurance Reform Act of 2012 merged the Repetitive Flood Claims and Severe Repetitive Loss programs with Flood Mitigation Assistance. The program office will continue to provide technical assistance to applicants, complete pre-award reviews to award remaining projects identified in prior fiscal years, and monitor and closeout open projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Hazard Mitigation Assistance Unified grant program guidance, the DHS FEMA

Real Property Acquisition Regulations at 44 CFR Part 80, which is available to the public on the FEMA internet site.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for a listing of addresses of FEMA's Regional Offices.  
<http://www.fema.gov/government/mitigation.shtm>.

**Headquarters Office:**

Lloyd Hake - FEMA 1800 South Bell Street, Arlington, Virginia 20595-3015  
Email: [Lloyd.Hake@dhs.gov](mailto:Lloyd.Hake@dhs.gov) Phone: (202) 646-3428

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.047 Pre-Disaster Mitigation; 97.110 Severe Loss Repetitive Program

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

**97.101 NATIONAL FALLEN FIREFIGHTERS MEMORIAL**

NFFM

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296.

**OBJECTIVES:**

Build and sustain resilient systems, communities, and critical infrastructure and key resources lifelines so as to reduce their vulnerability to natural, technological, and human-caused incidents by lessening the likelihood, severity, and duration of the adverse consequences related to these incidents.

1. Achieve a measurable decrease in the long-term vulnerability of the Nation against current baselines amid a growing population base and expanding infrastructure base.

This will be accomplished by providing funding for the planning, directing and managing of the activities of the annual National Fallen Firefighters Memorial Program and identify, investigate, and report on all on-duty firefighter fatalities during 2010.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

DHS grant funds may only be used for the purpose set forth in the grant, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other federal grants/cooperative agreements, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity. Pre-award costs are allowable only with the written consent of DHS and included in the award agreement. United States Fire Administration funding appropriation is discretionary.

**Applicant Eligibility:**

Specialized group, National Fallen Firefighter Foundation.

**Beneficiary Eligibility:**

Please refer to program guidance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from



coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Upon approval of an application, the grant will be awarded to the grant recipient. The date that this is done is the award date. Notification of award approval is made through the Non Disaster Grants (NDGrants.gov) system. Once an award has been approved, a notice is sent to the authorized grantee official. The authorized grantee official should carefully read the award and special condition documents. If you do not receive a notification, please contact your Program Analyst for your award number. Once you have the award number, contact the NDGrants Help Desk at NDGrants@dhs.gov or (202) 786-9484.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

14 days.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

12 months from date of award. See the following for information on how assistance is awarded/released: DHS/FEMA uses the Direct Deposit/Electronic Funds Transfer (DD/EFT) method of payment to Recipients. To enroll in the DD/EFT, the Recipient must complete a Standard Form 1199A, Direct Deposit Form.

**Reports:**

Quarterly Performance Reports

- a. The recipient shall submit quarterly performance reports within 30 days after the end of each period. Reports are due on July 30, October 30, January 30 and April 30.
- b. The report shall consist of a comparison of actual accomplishments to the approved project objectives.
- c. Copies of Performance Reports shall be submitted to the Grants Management Specialist and the PO listed under VII. Department of Homeland Security Contacts.
- d. The final performance report should provide a narrative on what the Recipient accomplished with the grant funds and any benefits derived. Recipients of FEMA grants awarded after October 1, 2009 will be required to submit a quarterly Federal Financial Report (FFR) in order to account for obligations and expenditures. The FFR, to be submitted using Standard Form (SF)-425, will be due on a quarterly basis within 30 days of the end of each calendar quarter. A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The SF-425 is intended to provide Federal agencies and grant recipients with a standard format and consistent reporting requirements throughout the government. Please refer to program guidance. No expenditure reports are required. Quarterly Performance Reports
  - a. The recipient shall submit quarterly performance reports within 30 days after the end of each period. Reports are due on July 30, October 30, January 30 and April 30.
  - b. The report shall consist of a comparison of actual accomplishments to the approved project objectives.
  - c. Copies of Performance Reports shall be submitted to the Grants Management Specialist and the PO listed under VII. Department of Homeland Security Contacts.

d. The final performance report should provide a narrative on what the Recipient accomplished with the grant funds and any benefits derived.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Please refer to program guidance.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Direct Payments for Specified Use) FY 11 \$387,000; FY 12 est \$175,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

FY 2011 387,000  
FY 2012 175,000  
FY 2013 est. 0.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: To honor and remember firefighters who died in the line of duty during 2010 and in previous years at the National Fallen Firefighters Memorial Weekend. Fiscal Year 2012: To honor and remember firefighters who died in the line of duty during 2011 and in previous years at the National Fallen Firefighters Memorial Weekend. Fiscal Year 2013: To honor and remember firefighters who died in the line of duty during 2012 and in previous years at the National Fallen Firefighters Memorial Weekend.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

31 CFR 205: Rules and Procedures for Fund Transfers; OMB Circular A-102: Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments; OMB Circular A-87: Cost Principles for State and Local Governments; OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; OMB Circular A-21: Cost Principles for Educational Institutions; OMB Circular A-122: Cost Principles for Nonprofit Organizations.

**Regional or Local Office:**

See Regional Agency Offices. DHS/FEMA/Grant Programs Directorate  
Email: firegrants@dhs.gov  
Phone: 1-866-274-0960  
Address: 500 C Street, SW  
Washington, DC 20472.

**Headquarters Office:**

National Fallen Firefighters Memorial 500 C Street, SW, Washington, District of Columbia 20472 Phone: (1-866) 274-0960

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA and is restricted to the National Fallen Firefighters Foundation (NFFF).

**97.103 DEGREES AT A DISTANCE PROGRAM**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S.A. Patriot Act of 2001, Public Law 107-56; Homeland Security Act of 2002, Public Law 107-296; Executive Order 12127; The Federal Fire Prevention and Control Act of 1974, Section 21, Public Law 93-498.

**OBJECTIVES:**

To support curriculum development, regional meeting support, program marketing, course material printing and publications and initiation of institutional agreements with local two-year college degree programs and colleges/universities, designated by the National Fire Academy, to participate in the Degrees at a Distance Program (DDP). To provide an alternative means for fire service personnel to earn a bachelor's degree or to pursue college-level learning in a fire related course concentration without the requirement of having to attend on-campus classes.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Restricted to colleges/universities designated by the U.S. Fire Administrations National Fire Academy, to support curriculum development, regional meeting support, program marketing, course material printing and publications; and initiation of institutional agreements with local two-year colleges.

**Applicant Eligibility:**

Only colleges/universities designated by U. S. Fire Administrations National Fire Academy are eligible, unsolicited applications will not be accepted. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, local and the general public.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

The application will be reviewed and recommended for funding by the DHS/FEMA/USFA/NFA Project Officer based on the program criteria identified in the announcement / guidance. Notification of award is made through the electronic Non Disaster Grant System (NDGrants). Once an award has been approved, a notice is sent to the authorized grantee official. Awards are subject to certain administrative, national policy, and cost principle requirements delineated in both 2 CFR and 44 CFR. For complete information on the award procedure, and CFR (and other) requirements, refer to program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Requests for extensions must be supported by adequate justification, and can only be authorized in writing by the DHS/FEMA Grants Management Specialist/Grants Management Division with the concurrence of the administering program office.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Quarterly progress reports. Quarterly Financial Status Reports. Refer to program guidance. Quarterly progress reports. Quarterly Financial Status Reports. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0564-0-1-800.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - No funding is available for FY 2012.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Not Applicable.

**Regional or Local Office:**

None.

**Headquarters Office:**

Federal Emergency Management Agency 500 C Street, SW, Washington, District of Columbia 20472 Phone: (800) 621-FEMA

**Website Address:**

<http://www.usfa.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.104 HOMELAND SECURITY-RELATED SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (HS STEM) CAREER DEVELOPMENT PROGRAM**

(HS-STEM Career Development Program)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Section 1205, Public Law 107-296, 6 U.S.C 188(b).

**OBJECTIVES:**

To provide funding to assist with the development of future HS-STEM professionals and practitioners.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Support is provided to colleges and universities who, in turn, provide financial support and career guidance to students interested in HS-STEM careers. Refer to the program guidance document for additional information.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Other Public Institution/Organizations; Other Private Institution/Organizations; (Colleges and Universities).

**Credentials/Documentation:**

Refer to program guidance. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications are reviewed by subject matter experts (SMEs). Award are based on Agency priorities and available funding.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need.

**Reports:**

Grantees are required to submit annual financial and performance reports. Annual Progress Reports must include the progress of each sub-grant award. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Financial Status Reports. Refer to program guidance.

**Audits:**

No audits are required for this program.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Project Grants) FY 11 \$2,500,000; FY 12 est \$1,650,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Nonprofit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization., A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security, University Programs 245 Murray Lane, SW., Building 410, Washington, District of Columbia 20523 Phone: (202) 254-5695

**Website Address:**

<http://www.hsuniversityprograms.org>

**RELATED PROGRAMS:**

97.062 Scholars and Fellows, and Educational Programs

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.106 SECURING THE CITIES**

(STC)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 112-10, 6 U.S.C 591-596.

**OBJECTIVES:**

STC Program seeks to design and implement or enhance existing architectures for coordinated and integrated detection and interdiction of nuclear materials that are out of regulatory control and may be used as a weapon within high-risk metropolitan areas.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; DISSEMINATION OF TECHNICAL INFORMATION; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and non-financial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions, if any, will be identified in the

announcement, program guidance and award provisions. See Program Guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance, or as specified by U.S. Appropriation Statute.

**Beneficiary Eligibility:**

Federal, State, and local governments, Interstate or intrastate governmental organizations, and Indian tribal governments.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

The deadline for submission of application is 90 days following the FOA posting.

**Appeals:**

None.

**Renewals:**

Contingent upon future Congressional funding. Extensions to the Performance Period may be awarded, but are not guaranteed and might not include increased funding. Extension approvals will be based on the availability of funds within the award and acceptable performance and at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. This program has no matching requirements. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See Program Guidance.

**Reports:**

See Program Guidance. See Program Guidance. See Program Guidance. See Program Guidance. See Program Guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the

cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3 year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0862-0-1-999.

**Obligations:**

(Salaries) FY 11 \$16,500,000; FY 12 est \$18,420,000; and FY 13 est \$18,500,000 - FY12 - \$17.42 million for NYC, \$1 million for expansion city FY13 - \$10 million for NYC, \$8.5 million for expansion city.

**Range and Average of Financial Assistance:**

See Program Guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Conducted two jurisdictional full-scale exercises and one HSEEP-compliant regional full-scale exercise.

Completed an external assessment of the STC Program where the program was found to have resulted in a substantial increase in nuclear detection awareness and capability throughout the region.

Transitioned the NYC program into Phase II development where more emphasis is placed upon development of enhanced detection, analysis, communication, and coordination functionality that better integrates State and local capabilities, fulfilling the four goals of the Global Nuclear Detection Architecture Strategic Plan.

Trained approximately 2200 personnel on specific nuclear detection equipment in the NYC region.

Provided funding for nearly 2000 additional pieces of nuclear detection equipment for the region.

Evaluated the effectiveness of the STC construct and incorporated changes into the STC business model prior to expansion to other UASI regions.

Began planning required to expand STC to an additional UASI Tier 1 city in FY 2012. Fiscal Year 2012: Multiple Applications, 1 award. Fiscal Year 2013: Implement FY12 award.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 44 CFR 13. OMB Circular A-87, Cost Principles for State, Local, and Tribal Governments, Relocated to 2 CFR Part 225; OMB Circular A-110, relocated to 2 CFR Part 215. Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations. OMB Circular A-122, relocated to 2 CFR Part 230. Cost Principles for NonProfit Organizations. OMB Circular A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

Christopher Magrino 245 Murray Lane, Mail stop 0550 , Washington, District of Columbia 20528-0550 Email: Christopher.Magrino@dhs.gov Phone: (202) 254-7443

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.107 NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; Department of Homeland Security Appropriations Act of 2007, Public Law 109-295; Homeland Security Presidential Directive HSPD-5.

**OBJECTIVES:**

To support the development, integration, and deployment of incident management systems. This includes operational, technical and programmatic standards in support of nationwide implementation of the NIMS model; establish a unified approach to incident management as well as standard command and management structures.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Funding will support implementation of the National Incident Management System (NIMS) which includes incident management standards, related projects, and program support. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State, local, Public Nonprofit Institution/Organization, Federal Recognized Indian Tribal Government, U.S. Territory/Possession, Private Organization, Other Public Institution/Organization.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed and approved for award by DHS program and administrative staff in accordance with program guidance.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance.

**Renewals:**

Annual.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April 30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. See program guidance. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April 30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 31, April 30, July 31, and Oct. 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 31, April 30, July 31, and October 31. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0700-0-1-999.

**Obligations:**

(Cooperative Agreements) FY 11 \$0; FY 12 Estimate Not Available; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See program guidance.

**Regional or Local Office:**

None.

**Headquarters Office:**

National Integration Center, Federal Emergency Management Agency, C/O 999 E Street, NW, Room 300, Washington, District of Columbia 20472-3300  
Email: FEMA-NIMS@dhs.gov Phone: 202-646-3850

**Website Address:**

<http://www.fema.gov/emergency/nims/index.shtml>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Fiscal Year 2011: No Current Data Available Fiscal Year 2012: The Emergency Management Compact Ready Packages were established and are to be finalized within a year. Fiscal Year 2013: No Current Data Available

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance.

**97.108 HOMELAND SECURITY, RESEARCH, TESTING, EVALUATION, AND DEMONSTRATION OF TECHNOLOGIES**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 308(b)(1)(c); Implementing Recommendation of the 9/11 Commission Act of 2007, Section 1901, Public Law 110-53.

**OBJECTIVES:**

To provide funding and/or property for the purpose of conducting research, testing, evaluation, and demonstration of homeland security technologies intended to identify, counter, or respond to terrorist threats.

**TYPES OF ASSISTANCE:**

DISSEMINATION OF TECHNICAL INFORMATION; PROJECT GRANTS; SALE, EXCHANGE, OR DONATION OF PROPERTY OR GOODS; USE OF PROPERTY, FACILITIES, OR EQUIPMENT

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to program guidance.

**Applicant Eligibility:**

States, local governments, private, public, profit or nonprofit organizations, Indian Tribal governments, or individuals specified by U.S. Appropriation Statute, including U. S. and international institutions of higher education and educational laboratories.

**Beneficiary Eligibility:**

Federal, State, and local governments, private, public, profit or nonprofit organizations, Indian tribal governments, and individuals.

**Credentials/Documentation:**

May be required by the U.S. Statute, regulation, or program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching Requirements: "Earmarked" or one-time funding amounts and any match requirements are specified in the Program or Appropriation Statute, regulation or program guidance, and are identified in the announcement. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than nine months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of three years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0800-0-1-999.

**Obligations:**

(Salaries) FY 11 \$2,385,026; FY 12 est \$1,900,000; and FY 13 est \$1,600,000

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Circulars Nos. A-21, Cost Principles for Educational Institutions, A-87, Cost Principles for State, Local and Indian Tribal Governments, A-102 Grants and Cooperative Agreements with State and Local Governments, A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals and Nonprofit Organizations, and A-133 Audits of States, Local Governments, and Nonprofit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

None.

**Headquarters Office:**

International Cooperative Program Office 245 Murray Lane, S.W., Washington, District of Columbia 20548 Phone: (202) 254-6876 or (202) 447-5594

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.109 DISASTER HOUSING ASSISTANCE GRANT****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Robert T. Stafford Disaster Relief and Emergency Assistance Act (The Stafford Act); Sections 408(b)(1); and 306(a), Title 42, Section 5149, 5189; Homeland Security Act, Title 6, Section 112, Public Law 107-296, 6 U.S.C 102; Economy Act, Title 31, Section 1535.

**OBJECTIVES:**

To provide resources for rental assistance, security and utility deposits, and case management services for families who were displaced by Hurricanes Katrina, Rita, Gustav and Ike. The Disaster Housing Assistance Program ( DHAP) would be implemented in the form of a rental assistance program that would continue providing housing subsidies for families determined to be eligible for the program.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

Housing and Urban Development's (HUD) Public Housing Agencies (PHAs) will use the assistance to provide eligible families who were displaced by Hurricanes Katrina, Rita, Gustav and Ike with monthly rent subsidies. Families are either receiving or are eligible to receive rental assistance administered by FEMA. PHAs will administer the DHAP to families that have been determined eligible by FEMA through HUD's web-based Disaster Information System. The assistance must be used by PHAs to provide rental assistance to families determined eligible by FEMA. In addition to rental assistance, grant funds shall be used to provide case management services to eligible families and to pay for costs associated with PHA administration of the program.

**Applicant Eligibility:**

Individuals and families determined eligible for FEMA housing assistance. Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Individuals and families.

**Credentials/Documentation:**

All Public Housing Agencies with jurisdiction over areas where eligible families reside that administer the Housing Choice Voucher Program are invited to apply provided they have the administrative capacity to assume responsibility for the DHAP.

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the

successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

None.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Both quarterly reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0702-0-1-453.

**Obligations:**

(Project Grants) FY 11 \$45,610,985; FY 12 est \$6,446,134; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: 6,123 Number of households served under DHAP. Fiscal Year 2012: 3,785 Approximate number of households served under DHAP. Fiscal Year 2013: 1,000 Approximate number of households served under DHAP.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

Fair Housing Act, Title VI of the Civil Rights Act of 1964; Section 504 of the

Rehabilitation Act of 1973; Title II of the Americans with Disabilities Act; 24 CFR 982.352; 982.401; 982.555; PIH Notice 2007-26. Full text may be obtained at the following website:  
<http://www.hud.gov/offices/pih/publications/hurricane.cfm>.

**Regional or Local Office:**

See Regional Agency Offices. Federal Emergency Management Agency-Individual Assistance 500 C St S.W., Washington DC 20472.

**Headquarters Office:**

Peggy K. Mitzenmacher 245 Murray Lane, Building 410, Washington, District of Columbia 20472 Phone: (202) 212-1000

**Website Address:**

[www.fema.gov](http://www.fema.gov).

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.110 SEVERE REPETITIVE LOSS PROGRAM**

SRL

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

The SRL program is authorized by Section 1361A of the NFIA , Public Law 108-264, 42 U.S.C 4102a.

**OBJECTIVES:**

To assist States and local governments in supporting actions that reduce or eliminate the long-term risk of flood damage to residential properties insured under the National Flood Insurance Program (NFIP) that meet the definition of severe repetitive loss property, and to reduce losses to the National Flood Insurance Fund (NFIF) by funding projects that result in the greatest savings to the NFIF in the shortest time period. This grant program supports the Mitigate component of the Presidential Preparedness Directive 8 (PPD-8) in the following ways: by providing funding to states and communities that promotes Long-Term Vulnerability Reduction by elevating at-risk homes or removing structures from flood hazard areas. Overall, this program also supports Community Resilience by reducing the need for emergency services in flood-prone areas of the community.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

States, Territories, local and Federally - recognized Indian tribal governments may apply for SRL funding to reduce or eliminate the long-term risk of flood damage to residential properties insured under the NFIP that meet severe repetitive loss property eligibility criteria. Eligible activities under this program include: acquisition and relocation of at-risk structures and the conversion of property to open space; elevation of existing structures to the Base Flood Elevation (BFE) or an ABFE Advisory Base Flood Elevation (ABFE) or higher (for the SRL program Mitigation Reconstruction is only permitted when traditional elevation cannot be implemented); minor physical localized flood control projects; and dry-flood proofing (historic properties only). Projects must meet all eligibility criteria including cost-effectiveness; compliance with environmental and historic preservation laws and regulations and other program requirements.

**Applicant Eligibility:**

Entities eligible to apply for HMA grants include the emergency management agency or a similar office of the 50 States, the District of Columbia, American Samoa, Guam, the U.S. Virgin Islands, Puerto Rico, the Northern Mariana Islands, and Indian Tribal governments. Each State, Territory, Commonwealth, or Indian Tribal government shall designate one agency to serve as the Applicant for each HMA program. Please see the HMA program guidance for

more detailed information.

**Beneficiary Eligibility:**

State agencies, Indian Tribal governments, and local governments and communities are eligible to apply as subapplicants for assistance under the SRL program. All interested subapplicants must apply to the Applicant. Please see the HMA program guidance for detailed information.

**Credentials/Documentation:**

Please see the HMA Program Guidance. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Contact the headquarters or regional office, as appropriate, for application deadlines

**Award Procedure:**

Applications are reviewed by DHS/FEMA program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to HMA program guidance document.

**Appeals:**

Property owners who refuse an SRL mitigation offer may become subject to increases of their NFIP insurance premium rates, and have the right to appeal such rate increases. Refer to HMA program guidance or the administering program office for further information.

**Renewals:**

Refer to HMA program guidance document.

**Formula and Matching Requirements:**

Statutory Formula: 44 CFR Part 79.

Matching Requirements: Refer to HMA program guidance for additional information.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to HMA program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program



guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information. Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Please refer to HMA program guidance for more information.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantee's fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-4236-0-3-453.

**Obligations:**

(Project Grants) FY 11 \$140,200,000; FY 12 est \$50,000,000; and FY 13 est \$30,000,000

**Range and Average of Financial Assistance:**

Refer to HMA program guidance document.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Evaluated the enhanced cost-effectiveness approach based on past insurance losses to determine its value to the SRL program and other flood grant programs.

Continued to refine and apply an enhanced cost-effectiveness approach based on past insurance losses to make it easier for state and local communities to demonstrate the cost-effectiveness requirements of the mitigation grant programs.

Promoted the use of the HMA Portfolio Manager tool to further facilitate information sharing among FEMA, State, and local partners. Fiscal Year 2012: Continue to refine and apply an enhanced cost-effectiveness approach based on past insurance losses to make it easier for state and local communities to demonstrate the cost-effectiveness requirements of the mitigation grant programs.

The program office will continue to provide technical assistance to applicants, complete pre-award reviews to award remaining projects identified in prior fiscal years, and monitor and closeout open projects. Fiscal Year 2013: The Biggert-Waters Flood Insurance Reform Act of 2012 merged the Repetitive Flood Claims and Severe Repetitive Loss programs with Flood Mitigation Assistance. The program office will continue to provide technical assistance to applicants, complete pre-award reviews to award remaining projects identified in prior fiscal years, and monitor and closeout open projects.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The SRL and FMA Program Regulations at 44 CFR Part 79; the DHS FEMA Real Property Acquisition Regulations at 44 CFR Part 80, and the HMA program guidance.

**Regional or Local Office:**

See Regional Agency Offices. See Appendix IV of the Catalog for listing of addresses of the DHS FEMA Regional Offices.

**Headquarters Office:**

Lloyd Hake - FEMA 1800 South Bell Street , Arlington, Virginia 20595-3015  
Email: lloyd.hake@dhs.gov Phone: (202) 646-3428

**Website Address:**

<http://www.fema.gov/government/mitigation.shtm>

**RELATED PROGRAMS:**

97.029 Flood Mitigation Assistance; 97.039 Hazard Mitigation Grant; 97.047 Pre-Disaster Mitigation; 97.092 Repetitive Flood Claims

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the HMA program guidance for information on criteria for selecting proposals.

**97.111 REGIONAL CATASTROPHIC PREPAREDNESS GRANT PROGRAM (RCPGP)**

(RCPGP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

U.S. Troop Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, Public Law 110-28; Consolidated Appropriations Act of 2008, Public Law 110-161; Consolidated Security, Disaster Assistance, and Continuing Appropriations Act, 2009, Public Law 110-329; Department of Defense and Full-Year Continuing Appropriations Act, 2011, Public Law 112-10.

**OBJECTIVES:**

The goal of RCPGP is to support an integrated planning system that provides for regional all-hazard planning for catastrophic events and the development of necessary plans, protocols, and procedures to manage a catastrophic event. Objectives include, creating regional planning processes and planning communities through the establishment of a Regional Catastrophic Planning Team; Identifying and assessing priority areas of concern using both capabilities-based and scenario-based planning models; Developing enhanced regional plans and addressing shortcomings in jurisdiction plans to support both the management of a catastrophic incident and to enable enduring government; and linking planning efforts to resource allocations.

**TYPES OF ASSISTANCE:**

PROJECT GRANTS

**USES AND USE RESTRICTIONS:**

The RCPGP is comprised of funding for fiscal years 2007, 2008, 2009, 2010, and 2011. Funds will be allocated to designated Regional Catastrophic Planning Teams and their associated RCPGP sites.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

State and local governments.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

None.

**Renewals:**

An annual appropriation is anticipated for this program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.  
Matching Requirements: Percent: 25%. The program will require a soft match of non-Federal funds totaling 25 per cent.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Quarterly reports. Quarterly reports. Quarterly reports. Quarterly reports. Grantees are required to submit quarterly financial and performance reports. Quarterly "Progress Reports" must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Salaries) FY 11 \$14,970,000; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - This program is not being funded in FY 2012 and FY 2013.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

For regulations and guidelines, please refer to the solicitation guidance and application kit.

**Regional or Local Office:**

None.

**Headquarters Office:**

FEMA National Preparedness Directorate 500 C Street SW, Washington, District of Columbia 20472 Email: [NPD-Planning@fema.gov](mailto:NPD-Planning@fema.gov) Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov/government/grant/index/shtm>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.113 RAIL AND TRANSIT SECURITY GRANT PROGRAM (ARRA)**

Transit Security Grant Program (American Recovery and Reinvestment Act of 2009)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007, sections 1406 and 1513 (P.L. 110-53; 6 USC 1135 and 1136); P.L. 111-5, American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To create sustainable programs for the protection of critical bus and infrastructure from terrorism, with special emphasis on construction projects which address the most significant risks and can also be completed in a timely fashion.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Programs included under the CFDA number are: the ARRA Transit Security Grant Program (TSGP), Consistent with sections 1406 and 1513 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53; 6 U.S.C. 1135 and 1163, funds may be used for planning, organizational activities, equipment acquisition, training, management and administrative activities, and other costs the Secretary deems appropriate to support the objectives of the program. Priority will be given to operational packages and capital projects which address the most significant risks and can also be completed in a timely fashion.

**Applicant Eligibility:**

Pursuant to PL 110-53, in order for a transit agency to be eligible for the ARRA TSGP, they must have either undergone a security assessment conducted by DHS (such as the Baseline Assessment for Security Enhancement (BASE) program security assessment performed by TSA Transportation Security InspectorsSurface, or developed and/or updated their own security plan within the past three years. A list of eligible transit agencies is included in the ARRA TSGP guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

P.L. 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief

executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. See the following for information on how assistance is awarded/released: Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures.

**Reports:**

(1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including-- (A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Financial Status Reports. Progress Reports. Financial Status Reports

Recovery Act funding reports. Subrecipient monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June

27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0563-0-1-999 - TAFS: 70 0563.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - The ARRA TSGP was only available in FY 2009.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA Techworld Building - 800 K Street, NW, Washington, District of Columbia 20472-3615 Email: askcsid@dhs.gov Phone: 1-800-368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.114 EMERGENCY FOOD AND SHELTER NATIONAL BOARD PROGRAM (ARRA)**

ARRA Emergency Food and Shelter National Board Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Stewart B. McKinney Homeless Assistance Act of 1987, as amended, Title III, Sections 301-316, Public Law 100-77, as amended, 42 U.S.C. 11331-11346; Public Law 111-5 American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To supplement and expand ongoing efforts to provide shelter, food, and supportive services for needy families and individuals. To strengthen efforts to create more effective and innovative local programs by providing supplemental funding for them. To conduct minimum rehabilitation of existing mass shelter

or mass feeding facilities, but only to the extent necessary to make facilities safe, sanitary and bring them into compliance with local building codes.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Food and related expenses (such as transporting food/food preparation and serving equipment); mass shelter; other shelter (such as hotels and motels); and rent/mortgage and/or utility assistance limited to one (1) month; and limited repairs to feeding and sheltering facilities. Emergency Food and Shelter National Board Program funds cannot be used for: rental security, deposits of any kind, cash payments of any kind, lobbying efforts, salaries (except as administrative allowance and limited to that total allowance of 2 percent of total award), purchases or improvements of an individual's private property, telephone costs, repairs to government-owned or profit-making facilities and any payments for services not incurred. For a complete listing on eligible and ineligible costs under this program, refer to the current Phase (fiscal year) manual: Responsibilities and Requirements, issued by the Emergency Food and Shelter National Board.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

The law directs that the Local Boards, which manage the program at the local level, shall "determine which private nonprofit organizations or public organizations of the local government in the individual locality shall receive grants to act as service providers." The range of participant groups on the Local Boards include the affiliates of the National Board membership which consists of American Red Cross, Catholic Charities USA, National Council of Churches of Christ in the U.S.A., The Jewish Federations of North America, The Salvation Army, and United Way Worldwide, with a local government representative replacing FEMA. Also participating are independent nonprofits (such as Community Action Agencies and Food Banks and food pantries) which provide food and/or shelter services. Due to the broad category of people in need of such emergency services, the providers can include specialized groups such as domestic violence shelters, Native American organizations, and organizations providing food or shelter to: AIDS patients, handicapped individuals, the elderly, homeless veterans, non-wards of the State teenage runaways, and many other groups with emergency food and shelter needs. As noted earlier, the decisions on selections are made through the consensus of the Local Board as they have assessed their community's most urgent needs. It is important that such agencies use these funds to supplement, not replace, their current efforts. This program is intended to supplement ongoing programs and allow them to extend and expand upon their existing services.

**Credentials/Documentation:**

The program employs a Local Recipient Organization Certification Form. This form certifies an applicant's status (i.e., that it is a nonprofit or government agency capable of delivering eligible services) that it will abide by the program guidelines (both on eligible spending and reporting requests), and comply with other fiscal and program rules so stipulated. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110. There is no application process for local jurisdictions since the award notifications to local jurisdictions are based on either a National Board formula or recommendations from State Set-Aside Committees.

**Award Procedure:**

Local Board plans are submitted to the National Board and reviewed by the National Board program.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application

deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

Refer to the Emergency Food and Shelter National Board Program, "Phase 27: Responsibilities and Requirements" document for information on the appeal process. Those cases that cannot be handled locally should be referred to the National Board giving details on action that has been taken up to that point. Any allegations regarding fraud or the misuse of funds should be referred directly to the DHS Office of Inspector General.

**Renewals:**

Each phase (fiscal year) is a new program.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on Project need. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

Local Boards are expected to monitor the expenditure of funds in their respective jurisdictions. It is for that reason that requests for second checks (all awards are divided into two payments) must be authorized by the Local Boards. Along with the request for the second payment, the National Board receives an interim report on eligible spending during that phase. A Final Report also must be filed by each LRO with its Local Board. The Local Board then compiles all the Final Reports within its jurisdiction and submits them (along with any requested documentation) to the National Board. Failure of an LRO to file a Final Report will result in its award being held in escrow the succeeding year. Recovery funding reports will be submitted in the prescribed format within 10 days after the end of each calendar quarter, beginning July 10, 2009. These reports will include the following data elements, as prescribed by the Public Law 111-5, Section 1512 and OMB Memorandum M-09-10: (1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity (Not Applicable to Emergency Food and Shelter); and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment (Not Applicable to Emergency Food and Shelter). (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Local Boards are required to remain in operation until all program and audit requirements of the National Board have been satisfied. Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0708-0-1-605 - TAFS: 70 0708.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Funded in FY09 only.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

EFS National Board Program, "Phase 27: Responsibilities and Requirements" manual. OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. See Catalog Appendix IV for list of addresses for FEMA Regional Offices.

**Headquarters Office:**

Federal Emergency Management Agency (FEMA), 500 C Street, SW, Room 619., Washington, District of Columbia 20472 Email: poc@dhs.gov Phone: (800) 621-FEMA (3363)

**Website Address:**

<http://www.fema.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.115 ASSISTANCE TO FIREFIGHTERS GRANT (ARRA)**

ARRA Fire Station Construction

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Public Law 111-5 American Recovery and Reinvestment Act of 2009, Public Law 111-5.

**OBJECTIVES:**

To provide financial assistance directly to fire departments to enhance their capabilities with respect to fire and fire-related hazards. To provide financial assistance in the construction, upgrading or rehabilitation of fire stations.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Fire station construction. (Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511); Eligible Uses: new station construction, existing station upgrading or rehabilitation; up to 5 percent shall be for program administration and no grant shall exceed \$15,000,000. Restrictions: certification as cited below in 083 Credentials/Documentation; funded only under Public Law 111-5.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

Each applicant must certify: (1) that they are an eligible applicant, i.e., a fire department as defined above; (2) as to the characteristics of their community, i.e., Urban, Suburban, or Rural; (3) to the population size of the community served; and (4) to the type of department, i.e., volunteer/combination or career. Public Law 111-5 American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact assessment is required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are peer reviewed, and reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Not Applicable.

**Appeals:**

From 15 to 30 days. Applicants that were denied grants can request a reconsideration of the decision. Such a request may be successful if it is determined that the rating criteria were not appropriately applied, or there was a flaw in the competitive process that unfairly disadvantaged the applicant, or there was human error in the processing of the grant application. Requests for reconsideration must be submitted in writing within 30 days of the date of the notification of denial.

**Renewals:**

> 180 Days. Grant period is 36 months for this program. In the event that the grantees are unable to fulfill their grant obligations within the 36-month grant period, they may request an extension of the performance period. Such requests will be considered and approved based on the written justification.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit Progress Reports which will include a narrative statement that details the progress of each award. Recovery funding reports will be submitted in the prescribed format within 10 days after the end of each calendar quarter, beginning July 10, 2009. These reports will include the following data elements, as prescribed by the Public Law 111-5, Section 1512 and OMB Memorandum M-09-10: (1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including-- (A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. (4) Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0567-0-1-999.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - Funded in FY 09 only.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

The Federal Fire Prevention and Control Act of 1974, 15 U.S.C. 2229 et seq. In addition, the program guidance, the FAQs, an applicant tutorial, and other program information can be found on the programs website at [www.firegrantsupport.com](http://www.firegrantsupport.com). OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

See Regional Agency Offices. The Assistance to Firefighters Grants are administered from the FEMA Headquarters Office. FEMA also has 10 regional offices which house Fire Program Specialists who may be contacted for information on the program.

**Headquarters Office:**

DHS/FEMA/Grant Programs Directorate, Assistance to Firefighters Grant Program, TechWorld Bldg - South Tower 5th Floor, 500 C Street, SW, Washington, District of Columbia 20472 Email: [firegrants@dhs.gov](mailto:firegrants@dhs.gov) Phone: (866) 274-0960

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

15.031 Indian Community Fire Protection; 15.228 National Fire Plan - Wildland Urban Interface Community Fire Assistance; 97.018 National Fire Academy Training Assistance; 97.043 State Fire Training Systems Grants; 97.044 Assistance to Firefighters Grant

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.116 PORT SECURITY GRANT PROGRAM (ARRA)**

ARRA Port Security Grant Program

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Maritime Transportation Security Act (46 U.S.C. Section 70107); Public Law 111-5, American Recovery and Reinvestment Act of 2009.

**OBJECTIVES:**

To create a sustainable program for the protection of regulated ports from terrorism, with one priority on construction projects which address the most significant risks and can also be completed in a timely fashion.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Project Grants

**USES AND USE RESTRICTIONS:**

Funds may be used for costs associated with maritime domain awareness; IED prevention, protection, response, and recovery capabilities; and management and administration. The program guidance outlines uses and restrictions in detail. One of the priorities for the American Recovery and Reinvestment Act (ARRA) Port Security Grant Program (PSGP) is construction projects which address the most significant risks and can also be completed in a timely fashion.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

Public Law 111-5, American Recovery and Reinvestment Act of 2009, Section 1511 Certifications: With respect to covered funds made available to State or local governments for infrastructure investments, the Governor, mayor, or other chief executive, as appropriate, shall certify that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Such certification shall include a description of the investment, the estimated total cost, and the amount of covered funds to be used, and shall be posted on a website and linked to the website established by section 1526 of the American Recovery and Reinvestment Act of 2009. A State or local agency may not receive infrastructure investment funding from funds made available in this Act unless this certification is made and posted. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not required for all participants. Applicants within designated states are required to coordinate with state designated authorities. See guidance documents for details. Environmental Historical Preservation information is required post award for projects funded through this

program. An environmental impact assessment is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to announcement or application guidance for further information.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: No information provided.

**Reports:**

(1) The total amount of recovery funds received from that agency; (2) The amount of recovery funds received that were obligated and expended to projects or activities. This reporting will also include unobligated Allotment balances to facilitate reconciliations. (3) A detailed list of all projects or activities for which recovery funds were obligated and expended, including--(A) The name of the project or activity; (B) A description of the project or activity; (C) An evaluation of the completion status of the project or activity; (D) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and (E) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and name of the person to contact at the agency if there are concerns with the infrastructure investment. Financial Status Reports. Program Progress Reports. Detailed information on any subcontracts or subgrants awarded by the recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), allowing aggregate reporting on awards below \$25,000 or to individuals, as prescribed by the Director of OMB. Subrecipient monitoring.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of

the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0563-0-1-402 - TAFS: 70 0563.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - The ARRA Port Security Grant Program was only available for FY 2009.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

OMB Memorandum M-09-10 Subject: Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009.

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security/FEMA TechWorld 800 K Street NW, Washington, District of Columbia 20472-3615 Email: askcsid@dhs.gov Phone: (1-800) 368-6498

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.120 BORDER INTEROPERABILITY DEMONSTRATION PROJECT  
FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Implementing Recommendations of the 9/11 Commission Act of 2007, Title III, Section 302 (Public Law 110-53), 6 U.S.C. 580, Title III, Section 302, Public Law 110-53, 6 U.S.C 580.

**OBJECTIVES:**

To identify solutions that facilitate emergency communications along and across the border and ensure emergency response providers can communicate during natural disasters, acts of terrorism and other man-made disasters.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Seven communities (four located on the U.S.-Canadian border and three located on the U.S.-Mexican border) were selected for participation in the demonstration project and funded through the State in which each community is located. Refer to program guidance for further information. Competitive grant program.

**Applicant Eligibility:**

Seven communities (four located on the U.S.-Canadian border and three located on the U.S.-Mexican border) were selected for participation in the demonstration project and funded through the State in which each community is located.

**Beneficiary Eligibility:**

Refer to program guidance for further information.

**Credentials/Documentation:**

Refer to program guidance for further information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. An environmental impact statement is required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. This program is excluded from coverage under OMB Circular No. A-110. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application have been negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance for further information.

**Appeals:**

Refer to program guidance for further information.

**Renewals:**

Refer to program guidance for further information.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: January 30, April 30, July 30, and October 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. States are responsible for reporting on the status of the funding distribution to the Department of Homeland Security no later than 90 days after an award is made to a State. In addition, projects selected for funding are required to report on and share lessons learned. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit,

or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues that arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 11 \$25,643,812; FY 12 est \$0; and FY 13 est \$0 - DHS obligated \$25,643,812 for the seven selected BDP communities in June 2011. Recipients will receive incremental award funding for the second budget period from the previously obligated amounts.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 Code of Federal Regulations (CFR) 13 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; OMB Circular A-87, relocated to 2 CFR Part 225. Cost Principles for State, Local, and Tribal Governments; OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

DHS/Grants and Assistance Division/Office of Procurement Operations 425 Murray Lane SW, Washington, District of Columbia 20528 Email: oec@dhs.gov Phone: (202) 447-5589

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to program guidance.

**97.121 RADIOLOGICAL/NUCLEAR DETECTION PILOT EVALUATIONS PROGRAM****FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296; as amended, the SAFE Port Act, Title V, Section 501 (a), Public Law 109-347., Title V, Section 501, Public Law 109-347.

**OBJECTIVES:**

Pilot evaluations of equipment and Concepts of Operations (CONOPs) for use to address the overall risk of illicit radiological/nuclear materials entering our Nation.

**TYPES OF ASSISTANCE:**

Cooperative Agreements; Dissemination of Technical Information; Project Grants (Contracts); Use of Property, Facilities, and Equipment

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to program guidance for further information. Refer to program guidance for



further information.

**Applicant Eligibility:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions.

**Beneficiary Eligibility:**

Refer to program guidance for further information.

**Credentials/Documentation:**

Refer to program guidance for further information. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Refer to program guidance for further information.

**Renewals:**

Contingent upon future Congressional funding. Renewal of an award to increase funding or extend the period of performance is at the sole discretion of the Department of Homeland Security.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program has MOE requirements, see funding agency for further details. See program guidance.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Payment based on project need.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each fiscal quarter, January 30, April 30, July 30 and October 30. See above. See above. See above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse,

not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0860-0-1-999.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Equipment, in the amount of \$1.2M, on loan to the recipient of the initial award under this program will be transferred to the recipient at the end of that award.

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Pilot evaluations of equipment and Concepts of Operations (CONOPs) have taken place. Fiscal Year 2012: Pilot evaluations of equipment and Concepts of Operations (CONOPs) will continue. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

2 CFR 215 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations and OMB Circular No. A-102, Grants and Cooperative Agreements with State and Local Governments; 44 CFR part 13 Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local governments; 2 CFR 225 Cost Principles for State, Local and Indian Tribal Governments; 2 CFR 230 Cost Principles for Non-Profit Organizations; 2 CFR 220 Cost Principles for Institutions of Higher Education; 45 CFR 74 Principles for Determining Costs applicable to Research and Development under Grants and Contracts with Hospitals; and OMB Circular A-133 Audit of States, Local Governments, and Non-Profit Organizations.

**Regional or Local Office:**

None.

**Headquarters Office:**

Radiological/Nuclear Detection Pilot Evaluations Program 245 Murray Lane, SW, Washington, District of Columbia 20528-0550 Phone: (202) 254-7629

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the program guidance for information on criteria for selecting proposals.

**97.122 BIO-PREPAREDNESS COLLABORATORY**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2010, Office of Health Affairs, Title III, Public Law 111-83, 2157 Stat.

**OBJECTIVES:**

This is a demonstration project that would support the development of a comprehensive, statewide system to analyze public health trends and detect incidents that may threaten homeland security.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restricted to a demonstration project that would support the development of a comprehensive, statewide system to analyze public health trends and detect incidents that may threaten homeland security. Additional information concerning uses and restrictions is contained in the program guidance document or can be obtained from the administering program office identified in this announcement. Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See program guidance. Please refer to the program guidance for further information. Refer to the program guidance for further information.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcement and program guidance.

**Beneficiary Eligibility:**

Refer to the program guidance for further information.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application/program guidance.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to program guidance document.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to program guidance. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to program guidance.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0117-0-1-453.

**Obligations:**

(Salaries) FY 11 \$669,790; FY 12 est \$5,000,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to program guidance.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Began in 2010 to create a unified, multi-threat biosurveillance resource to enhance situational awareness and improve health-related event detection and response. The project developed a functioning proof of concept demonstration system for one state. Fiscal Year 2012: The development of a prototype with advanced functionality. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

(Refer to section #140 in CFDA reference manual. OMB Circulars No. A-102, Grants and Cooperative Agreements with State and Local Governments and A-87, Cost Principles for State, Local and Indian Tribal Governments, A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions, A-122, Cost Principles for Non-Profit Organizations, and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Office of Health Affairs 245 Murray Lane, S.W., Mail Stop 0115, Washington, District of Columbia 20528 Phone: (202) 254-6479

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.123 MULTI-STATE INFORMATION SHARING AND ANALYSIS CENTER**

(MS-ISAC)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2010, Title III.

**OBJECTIVES:**

The MS-ISAC is a key resource for significantly enhancing State, local, tribal and territorial governments cyber security posture by providing enhanced expertise and operations. This centralized approach also leverages the economies of scale thereby maximizing the utilization of scarce state resources to protect the critical systems. The MS-ISAC also manages a 24x7x365 operational cyber security center.

**TYPES OF ASSISTANCE:**

Cooperative Agreements

**USES AND USE RESTRICTIONS:**

Restricted to supporting the activities of the Multi-State Information Sharing and Analysis Center (MS-ISAC), involving engagement with State, Tribal and local governments. Additional information concerning uses and restrictions is contained in the Funding Opportunity Announcement document or can be obtained from the administering program office identified in this announcement. Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See Funding Opportunity Announcement. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

This funding opportunity is restricted to the Multi-State Information Sharing and Analysis Center (MS-ISAC). Specific information on applicant eligibility is identified in the funding opportunity announcement.

**Beneficiary Eligibility:**

State Governments, local government, territorial governments, tribal governments.

**Credentials/Documentation:**

Refer to Section 140: Regulations, Guidelines, and Literature. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the application.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to Funding Opportunity Announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to Funding Opportunity Announcement. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Refer to Funding Opportunity Announcement.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Final financial and performance reports are due 90 days after the expiration or termination of grant award. Grantees are required to submit a monthly report of planned, projected and disbursed funds. Grantees are required to submit quarterly performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter: Jan. 30, April 30, July 30, and Oct. 30. Refer to the program guidance. Grantees are required to submit a monthly report of planned, projected and disbursed funds. Grantees are required to submit a monthly report of planned, projected and disbursed funds.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 11 \$8,150,000; FY 12 est \$5,800,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to Funding Opportunity Announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Managed the operation of 24/7 MS-ISAC Cyber Security & Analysis Center

Managed and Monitored Cyber Security Services and Einstein Data Project Participated and guided several State and local Cyber Security Exercises Collaborated with Physical Security Partners to better integrate State and local partners

Coordinated of National Webcast Initiative Developed and Distributed MS-ISAC Cyber Security Products Monthly Cyber Security Tips Newsletter and Daily Tips GETS Cards

MS-ISAC Cyber Alert Level Protocol and Incident Reporting Training Opportunities

Co-chaired National Cyber Security Awareness Month Led the effort to secure all 50 Governors Proclamations

Co-chaired National Cyber Security Awareness Month Led the effort to secure all 50 Governors Proclamations

Created Cyber Security Awareness Toolkit; Webcast; Best of the Web Contest; Poster Contest

Maintained MS-ISAC Secure Portal Compartment & State ISACs Developed & Maintained MS-ISAC Digital Dashboard

Coordinated Multi-Government Joint Procurements

Assisted DHS in leading and participating in National Cyber Security Review

Coordinated MS-ISAC Annual Meeting. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, A-87, Cost Principles for State, Local and Indian Tribal Governments (2 CFR Part 225), A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215), A-21, Cost Principles for Educational Institutions (2 CFR Part 220), A-122, Cost Principles for Non-Profit Organizations (iii. 2 CFR Part 230), and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

None.

**Headquarters Office:**

Kelvin Coleman 245 Murray Lane, SW, Mail Stop 0115, Washington, District of Columbia 20528 Email: Kelvin.Coleman@dhs.gov Phone: (703) 235-5643

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

This funding opportunity is restricted to the Multi-State Information Sharing and Analysis Center (MS-ISAC). Specific information on criteria for selecting proposals is identified in the funding opportunity announcement.

**97.124 INTEROPERABLE COMMUNICATIONS AND TRAINING PROJECT**

(ICAT)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2010, Public Law 111-83, 2156 Stat.

**OBJECTIVES:**

The Interoperable Communications and Training (ICAT) Project will create a pilot training program tailored to the first responder and emergency management community in the primary areas of public safety project management, emergency communications and interoperability, and broadband technology use.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: personnel costs, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. DHS grant funds may only be used for the purpose set forth in the cooperative agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Refer to program guidance document. Refer to program guidance. Refer to program guidance.

**Applicant Eligibility:**

Refer to program guidance.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Not Applicable.

**Range of Approval/Disapproval Time:**

Refer to funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to funding opportunity announcement. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Method of awarding/releasing assistance: quarterly.

**Reports:**

Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance. Refer to program guidance.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Congressionally-directed earmark was only funded in FY 2010. No further appropriations were funded.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: In FY 2011, the single Congressionally-sponsored grantee developed and executed several course offerings for public safety stakeholders focused on interoperable emergency communications. Those offerings included project management success factors, Introduction to Interoperability, Introduction to Public Safety Wireless Broadband, Communications Unit Best Practices, and Executive/Management Project Management. Additionally, the grantee created an advisory group of Statewide Interoperability Coordinators (SWICs) to provide feedback and inputs related to course development and implementation. Fiscal Year 2012: The single Congressionally-sponsored grantee will provide multiple webinars focused on interoperable emergency communications for public safety agencies. Development and implementation of a web-based training of Executive/Management project success factors focused on emergency communications. Fiscal Year 2013: The grantee plans completion of webinars and web-based training. Grant closeout as the single grant is scheduled to expire on December 31, 2012.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, A-87, Cost Principles for State, Local and Indian Tribal Governments (2 CFR Part 225), A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215), A-21, Cost Principles for Educational Institutions (2 CFR Part 220), A-122, Cost Principles for Non-Profit Organizations (iii. 2 CFR Part 230), and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedures.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Mike Dame 245 Murray Lane, SW, Mail Stop # 0614, Washington, District of Columbia 20528 Email: Michael.Dame@dhs.gov Phone: (202) 343-1663

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.126 NATIONAL SPECIAL SECURITY EVENT**

NSSE

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Title VI, Section 1653 of the Department of Defense and Full-Year Continuing Appropriations Act of 2011 (Public Law 112-10), Public Law 112-10, as amended by Presidential Decision Directive 62, May 1998; the Presidential Threat Protection Act of 2000 (Public Law 106-544), amending 18 U.S.C. 3056.

, Public Law 106-544, 18 U.S.C 3056.

**OBJECTIVES:**

The mission of the Federal Emergency Management Agency's (FEMA) National Special Security Event (NSSE) Grant Program is to provide supplemental federal assistance to reimburse State and local governments for certain actual costs associated with providing emergency management, public safety, and security during the preparation and conduct of an NSSE. The Secretary of the U.S. Department of Homeland Security designates events of national significance NSSE based on factors including, but not limited to: anticipated attendance by U.S. officials and foreign dignitaries; the size of the event; and, the significance of the event. By statute, the United States Secret Service (USSS) is designated as the lead federal agency for planning, coordinating, and implementing security operations at NSSE, in accordance with 18 U.S.C. 3056. The FY 2012 NSSE Grant Program was developed by

FEMA in coordination with USSS.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Planning - Planning, training and costs associated with implementing intrastate or interstate mutual aid agreements for prevention, protection, mitigation, response and recovery activities directly related to the NSSE. Personnel - Personnel overtime and backfill costs for security, public safety, emergency management, fire and emergency medical services, including training and exercise directly related to the NSSE Organization. Program management - Activities that facilitate shared situational awareness between the public and private sectors. Operational support, including for select operational expenses associated with increased security measures at critical infrastructure sites under Title 32 or State Active Duty National Guard deployments to protect critical infrastructure sites, including all resources that are part of the standard National Guard deployment package. Management and Administration (M&A) activities

Equipment

Hiring of permanent personnel

Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc.), general-use computers and related equipment (other than for those associated with preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition

Activities unrelated to the completion and implementation of the FY 2012 NSSE Grant

Costs incurred as a result of normal agency activities (e.g. salaries incurred during normal hours for security-related operations that do not require overtime or to backfill a position)

Consumable costs, such as fuel expenses, are not allowed except as part of the standard National Guard deployment package

Other items not in accordance with allowable costs listed above

Construction and renovation.

**Applicant Eligibility:**

All 56 States and territories and local governments that host an NSSE that will occur prior to September 30, 2013, are eligible to apply for NSSE Grant Program funds.

**Beneficiary Eligibility:**

All 56 States and territories and local governments that host an NSSE that will occur prior to September 30, 2013, are eligible to apply for NSSE Grant Program funds.

**Credentials/Documentation:**

No Credentials or documentation are required. OMB Circular No. A-87 applies to this program.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. This program is excluded from coverage under OMB Circular No. A-110.

**Award Procedure:**

Upon approval of an application, the award will be made in the form of a grant. The date the approval of award is entered in the system is the award date. Notification of award approval is made through the ND Grants system through an automatic e-mail to the grantee point of contact listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

FEMA intends to make awards within 90 days of receiving a complete application, and no later than September 30, 2012.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.

This program has no matching requirements.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The NSSE Grant Program is a cost-reimbursement program; requests for reimbursement must be submitted to FEMA no later than 120 days after the NSSE or 30 days before the end of the fiscal year, whichever date occurs first. Period of Performance: The period of performance of this grant is 90 days, defined as the 60 days prior to and the 30 days after the NSSE. See the following for information on how assistance is awarded/released: As part of the FY 2012 NSSE Grant application process, each eligible State and local government scheduled to host an NSSE and applying for NSSE grant funds must develop a Budget Detail Worksheet. Based on FEMA's initial review of the Standard Form 424, FEMA will determine whether an application should proceed further and the applicant will be notified to complete their submission by fulfilling additional application requirements (e.g., budget, Investment Justification, Work Plan, etc.).

**Reports:**

No program reports are required. No cash reports are required. Performance Progress Report (SF-PPR). Awardees are responsible for providing updated performance reports using the SF-PPR (OMB Approval Number 0970-0334) on a semi-annual basis. The SF-PPR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). The SF-PPR can be accessed online at [http://www.na.fs.fed.us/fap/SF-PPR\\_Cover%20Sheet.pdf](http://www.na.fs.fed.us/fap/SF-PPR_Cover%20Sheet.pdf). Grantees will be required to report on progress towards implementing plans described in their application. State Preparedness Report (SPR) Submittal. Section 652(c) of the Post-Katrina Emergency Management Reform Act of 2006 (Public Law 109-295), 6 U.S.C. 752(c), requires any State that receives Federal preparedness assistance to submit an SPR to FEMA. States that submitted the most recent SPR in December 2011, would meet this requirement to receive funding under the FY 2012 NSSE. Biannual Strategy Implementation Reports (BSIR). Grantees are responsible for completing and submitting the BSIR reports, as a complement to the Quarterly Progress Report (programmatic performance report/SF-PPR). The BSIR is due within 30 days after the end of the reporting period (July 30 for the reporting period of January 1 through June 30; and January 30 for the reporting period of July 1 through December 31). Updated obligations and expenditure information must be provided within the BSIR to show progress made toward meeting strategic goals and objectives. The first BSIR is not due until at least six months after the award notice has been received by the grantee. Federal Financial Report (FFR) required quarterly. Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425). A report must be submitted for every quarter of the period of performance, including partial calendar quarters, as well as for periods where no grant activity occurs. Future awards and fund draw downs may be withheld if these reports are delinquent. The final FFR is due 90 days after the end date of the performance period. FFRs must be filed electronically through the Payment and Reporting System (PARS.)

Grant Close-Out Process. Within 90 days after the end of the period of performance, grantees must submit a final FFR and final progress report detailing all accomplishments throughout the period of performance. After these reports have been reviewed and approved by FEMA, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and

address the requirement of maintaining the grant records for three years from the date of the final FFR. The grantee is responsible for returning any funds that have been drawn down but remain as unliquidated on grantee financial records. Monitoring. Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Monitoring may be accomplished through a desk-based review, on-site monitoring visits, or both. Monitoring will involve the review and analysis of the financial, programmatic, performance, compliance and administrative processes, policies, activities, and other attributes of each Federal assistance award and will identify areas where technical assistance, corrective actions and other support may be needed.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

See Funding Opportunity Announcement.

**Account Identification:**

70-0560-0-2-453.

**Obligations:**

(Project Grants) FY 11 \$7,485,000; FY 12 est \$7,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

FY2012 NSSE FOA (anticipated, [grants.gov](http://grants.gov))

**Regional or Local Office:**

None.

**Headquarters Office:**

Department of Homeland Security /FEMA Grant Programs Directorate(GPD)  
500 C Street S.W., Washington, District of Columbia 20472 Email:  
[ASK-GMD@dhs.gov](mailto:ASK-GMD@dhs.gov) Phone: (1-866) 927-5646

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Designation of event by the Secretary of Homeland Security.

**97.127 CYBERSECURITY EDUCATION AND TRAINING ASSISTANCE PROGRAM (CETAP)**

CETAP

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Consolidated Appropriations Act, 2012, Public Law 112-74, III U.S.C D.

**OBJECTIVES:**

This program promotes cybersecurity education at multiple grade levels, and is intended to do so in multiple U.S. States; supports a coordinated effort to engage students early in their academic careers with a cybersecurity research group; provides a mechanism whereby cybersecurity education is available not only in the form of the formal education of students, but in the training of their

teachers; increases the number of U.S. teachers with an interest in, knowledge of, and access to cybersecurity educational materials, increases the number of students affected by cybersecurity knowledge, and develops at an early stage students interest in the cybersecurity career field.

This program aligns with Mission 4 (Safeguarding and Securing Cyberspace) and addresses Goal 4.2 (Promote Cybersecurity Knowledge and Innovation) of the Department of Homeland Security Quadrennial Homeland Security Review.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Restricted to supporting the development and implementation of cybersecurity-related training programs to engage teachers and students by a coordinated effort. Additional information concerning uses and restrictions is contained in the funding opportunity announcement. Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See the funding opportunity announcement for any restrictions.

**Applicant Eligibility:**

Specific information on applicant eligibility is identified in the funding opportunity announcements.

**Beneficiary Eligibility:**

Refer to program guidance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. Application deadline and other information are contained in the funding opportunity announcements.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in an application will be negotiated with the successful applicants prior to an award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program. Matching requirements are not applicable to this program. This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to the funding opportunity announcements. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Method of awarding/releasing assistance: annual.

**Reports:**

Refer to program guidance. Cash reports are not applicable. Quarterly Progress Reports must include the progress of each sub-grant award.

Expenditure reports are not applicable. Performance monitoring is not applicable.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133. These audits are due to the cognizant Federal agency, submitted through the Federal Audit Clearinghouse, not later than 9 months after the end of the grantees fiscal year.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 11 \$400,000; FY 12 est \$2,500,000; and FY 13 Estimate Not Available

**Range and Average of Financial Assistance:**

Refer to the funding opportunity announcements.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Development of a project management plan on the roll out of a cybersecurity education model to multiple U.S. States. Fiscal Year 2012: No Current Data Available. Fiscal Year 2013: No Current Data Available.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215), A-21, Cost Principles for Educational Institutions (2 CFR Part 220), A-122, Cost Principles for Non-Profit Organizations (2 CFR Part 230), and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Daniel Stein 245 Murray Ln., SW, Bldg 410, Stop 0640, Washington, District of Columbia 20528-0640 Email: CETAP-Info@dhs.gov Phone: 703-235-3664

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunity announcements for information on criteria for selecting proposals.

**97.128 NATIONAL CYBER SECURITY AWARENESS**

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 121.

**OBJECTIVES:**

To provide funding for outreach, education, and technical assistance in order to raise public awareness of cybersecurity awareness nationally. To empower and support citizens to use the Internet securely and safely, protecting themselves and the cyber infrastructure. To educate key stakeholder communities about cybersecurity issues as well as provide tools and resources to enhance cybersecurity awareness. Outreach and technical assistance may take several forms, such as: the provision of written information; maintaining a website; development of cybersecurity awareness collateral; establishment and maintenance of metrics to measure effectiveness of awareness efforts; and development of seminars, workshops or training sessions.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. DHS grant funds may only be used for the purpose set forth in the cooperative agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity. Refer to funding opportunity announcement. See above.

**Applicant Eligibility:**

See above.

**Beneficiary Eligibility:**

See above.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

OMB Circular No. A-102 applies to this program. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Refer to the funding opportunity announcement.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
MOE requirements are not applicable to this program.

**Length and Time Phasing of Assistance:**

Refer to the funding opportunity announcement. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: Annual Lump sum (Period of Performance will be two years comprised on 2-12 month budget periods). Applicants will be making draw

downs through the HHS-Payment Management System in accordance with the Cash Management Improvement Act.

**Reports:**

Grantees are required to submit quarterly financial and performance reports. Quarterly Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each quarter. Final financial and performance reports are due 90 days after the expiration or termination of grant award. See above. Expenditure reports are not applicable. See above.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0565-0-1-999.

**Obligations:**

(Salaries) FY 11 \$1,500,000; FY 12 est \$750,000; and FY 13 est \$750,000

**Range and Average of Financial Assistance:**

Refer to the funding opportunity announcement.

**PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Accomplishment of previous funding efforts include: increase in cybersecurity awareness, successful cybersecurity Awareness month events and publicity, development of materials and in-classroom teaching opportunities. Fiscal Year 2012: Improve cybersecurity awareness, high-profile events and engagements during Awareness Month, improved recognition of Stop.Think.Connect. Campaign brand, increase social media presence. Fiscal Year 2013: Improve cybersecurity awareness, high-profile events and engagements during Awareness Month, improved recognition of Stop.Think.Connect. Campaign brand, increase social media presence.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations, A-21, Cost Principles for Educational Institutions and A-122, Cost Principles for Non-Profit Organization.)

**Regional or Local Office:**

None.

**Headquarters Office:**

Kristina Dorville 245 Murray Ln., SW, Stop 0640  
, Arlington, Virginia 20598-0640 Email: kristina.dorville@dhs.gov Phone:  
(703) 235-3666

**Website Address:**

<http://www.dhs.gov>.

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunity announcement for information on criteria for



selecting proposals.

## **97.129 SECURING CRITICAL UNDERGROUND INFRASTRUCTURE PILOT PROGRAM**

### **FEDERAL AGENCY:**

Department of Homeland Security

### **AUTHORIZATION:**

Department of Homeland Security Appropriations Act of 2009 , Public Law 110-329, 122 Stat. 3668.

### **OBJECTIVES:**

This program would support the installation of devices designed to secure critical underground infrastructure in real-world situations, and monitor their effectiveness and drawbacks.

### **TYPES OF ASSISTANCE:**

Project Grants

### **USES AND USE RESTRICTIONS:**

Restricted to the evaluation of the effectiveness and drawbacks of devices or systems designed to protect critical underground infrastructure. Additional information concerning uses and restrictions is contained in the funding opportunity announcement or can be obtained from the administering program office identified in this announcement. Financial and nonfinancial assistance may be provided for the following: salaries, materials and supplies, equipment, travel, publication costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the funding opportunity announcement and award provisions. See the funding opportunity announcement. See program guidance.

### **Applicant Eligibility:**

See program guidance.

### **Beneficiary Eligibility:**

See program guidance.

### **Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

### **Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

### **Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

### **Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in the application will be negotiated with the successful applicant prior to the award being issued.

### **Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

### **Range of Approval/Disapproval Time:**

Other - Not Specified.

### **Appeals:**

Not Applicable.

### **Renewals:**

Subject to future appropriations.

### **Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

### **Length and Time Phasing of Assistance:**

Refer to the funding opportunity announcement. Awards are subject to the Cash

Management Improvement Act for payment and/or reimbursement of expenditures. See the following for information on how assistance is awarded/released: See program guidance.

### **Reports:**

Grantees are required to submit semiannual performance reports. Semiannual Progress Reports must include the progress of each sub-grant award. Reports are due 30 days after the end of each reporting period: Jan. 30, and July 30. Final performance reports are due 90 days after the expiration or termination of grant award. No cash reports are required. Progress reports are not applicable. No expenditure reports are required. Performance monitoring is not applicable.

### **Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

### **Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

### **Account Identification:**

70-0565-0-1-999.

### **Obligations:**

(Project Grants) FY 11 \$0; FY 12 est \$0; and FY 13 est \$0 - Meetings conducted through April 2010 and attended by representatives from OPO, OGC, NPPD Property Management, and OBP, all parties concluded that this contract did not comply with statutory and regulatory restrictions and authorities for transferring property to non-Federal entities. This caused a delay while grant language was formulated, approved, and administered.

### **Range and Average of Financial Assistance:**

Refer to the funding opportunity announcement.

### **PROGRAM ACCOMPLISHMENTS:**

Fiscal Year 2011: Based upon meetings conducted through April 2010 and attended by representatives from OPO, OGC, NPPD Property Management, and OBP, all parties concluded that this contract did not comply with statutory and regulatory restrictions and authorities for transferring property to non-Federal entities. This caused a delay while grant language was formulated, approved, and administered resulting in no accomplishments for FY11. Fiscal Year 2012: Participants have Installed 1077 barriers at the Port of Miami, 457 barriers at New Orleans (Entergy), Installed 442 barriers at Amtrak along the NE corridor, and in the process of installing another 748 within this FY. Fiscal Year 2013: No Current Data Available.

### **REGULATIONS, GUIDELINES, AND LITERATURE:**

44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; A-87, Cost Principles for State, Local and Indian Tribal Governments (2 CFR Part 225); A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215); A-21, Cost Principles for Educational Institutions (2 CFR Part 220); A-122, Cost Principles for Non-Profit Organizations (2 CFR Part 230); and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

### **Regional or Local Office:**

See Regional Agency Offices.

### **Headquarters Office:**

Michael Dailey 245 Murray Lane., SW, Stop 0612, Arlington, Virginia

20598-0612 Phone: (703) 235-9387

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Not Applicable.

**97.130 NATIONAL NUCLEAR FORENSICS EXPERTISE DEVELOPMENT PROGRAM**

(NNFEDP)

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Nuclear Forensics and Attribution Act (P.L. 111-140; Sec. 4(a)(12)), Public Law 111-140, U.S.C 4(a)(12).

**OBJECTIVES:**

The objectives of this program are: (1) to provide a stable foundation from which to develop and maintain the nuclear forensics workforce; (2) to provide a academic pathway from undergraduate to post-doctorate study in disciplines directly relevant to nuclear forensics, including radiochemistry, geochemistry, nuclear physics, nuclear engineering, materials science, and analytical chemistry; and (3) to increase a diverse and highly talented cadre of new and emerging forensics experts who will fill specific expertise gaps in the area of nuclear forensics, an important homeland security mission.

These objectives are aligned with the DHS Quadrennial Homeland Security Review (QHSR) Mission 1: Preventing Terrorism and Enhancing Security. The NNFEDP aims to supply the technical expertise critical to enabling the nuclear forensics mission, which supports the following Goals and Objectives:

Goal 1.1: Prevent Terrorist Attacks

Objective 1.1.2: Deter and Disrupt Operations

Goal 1.2: Prevent the Unauthorized Acquisition or Use of Chemical, Biological, Radiological, and Nuclear (CBRN) Materials and Capabilities

Objective 1.2.1: Anticipate Emerging Threats

Objective 1.2.2: Control Access to CBRN

Objective 1.2.4: Protection against Hostile Use of CBRN

In order to accomplish this mandate, the following goals must be met:

Implement a Nuclear Forensics Undergraduate Scholarship Program to provide outreach to the academic community, facilitate experiential learning in nuclear forensics-related research areas, and feed students into the Nuclear Forensics Graduate Fellowship Program.

Implement a Nuclear Forensics Graduate Fellowship Program to encourage students to pursue advanced degrees in radiochemistry and other nuclear forensics-related disciplines, encourage universities to invest in these types of programs, facilitate experiential learning in nuclear forensics-related research areas, and feed students into post-doctoral/permanent staff positions in nuclear forensics at the national laboratories or federal agencies.

Implement a Nuclear Forensics Education Award Program to support universities interested in developing and maintaining academic programs in nuclear forensics-related disciplines.

Implement a Nuclear Forensics Junior Faculty Award Program to provide universities with an incentive to recruit, promote, and retain highly qualified personnel to teach within nuclear forensics-related degree programs and contribute to associated research projects at universities.

**TYPES OF ASSISTANCE:**

Project Grants

**USES AND USE RESTRICTIONS:**

These funds will be used to select an entity to administer the NNFEDP

program. As the program administrator, the selected recipient will issue funds to eligible students or institutions of higher education for the following: materials, supplies, laboratory equipment/facilities upgrades, travel, publications costs, subcontractor and supporting costs required for technical and other activities necessary to achieve the objective. Restrictions on use of funds will be identified in the announcement, program guidance and award provisions. Refer to program guidance for further information.

**Applicant Eligibility:**

Refer to the program guidance.

**Beneficiary Eligibility:**

Refer to the program guidance.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is not applicable. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program.

**Award Procedure:**

Applications or plans are reviewed by DHS program and administrative staff. Any issues or concerns noted in an application will be negotiated with the successful applicants prior to an award being issued.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Refer to the funding opportunity announcement.

**Appeals:**

Not Applicable.

**Renewals:**

Subject to future appropriations.

**Formula and Matching Requirements:**

Statutory formulas are not applicable to this program.

Matching requirements are not applicable to this program.

This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

Refer to the funding opportunity announcement. Awards are subject to the Cash Management Improvement Act for payment and/or reimbursement of expenditures. Method of awarding/releasing assistance: annual. See the following for information on how assistance is awarded/released: Funds are released in annual increments.

**Reports:**

Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement. Refer to the funding opportunity announcement.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of

the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0860-0-1-999.

**Obligations:**

(Project Grants) FY 11 Not Available; FY 12 est \$1,900,000; and FY 13 est \$2,300,000

**Range and Average of Financial Assistance:**

Refer to the funding opportunity announcements.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations (2 CFR Part 215), A-21, Cost Principles for Educational Institutions (2 CFR Part 220), A-122, Cost Principles for Non-Profit Organizations (2 CFR Part 230), and A-133 Audits of States, Local Governments, and Non-Profit Organizations, in addition to program regulations, guidelines, DHS policy and procedure.

**Regional or Local Office:**

See Regional Agency Offices.

**Headquarters Office:**

Samantha Kentis Connelly DNDO Stop 0550, Department of Homeland Security, 245 Murray Ln., SW , Washington, District of Columbia 20528-0550  
Email: Samantha.kentis@dhs.gov Phone: (202) 254-7709

**Website Address:**

<http://www.dhs.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Refer to the funding opportunity announcement for information on criteria for selecting proposals.

**97.131 EMERGENCY MANAGEMENT BASELINE ASSESSMENTS GRANT (EMBAG)**

EMBAG

**FEDERAL AGENCY:**

Department of Homeland Security

**AUTHORIZATION:**

Homeland Security Act of 2002, as amended, 6 U.S.C. 313(b)(2)(B); 314(a)(10); and 314 (a)(11) , 6 U.S.C 313.

**OBJECTIVES:**

This program is designed to assess the shortfalls in interagency cooperation and continuity of government. The Federal government has found that all state governments may not consistently involve all relevant state agencies in prevention, protection, mitigation, response, and recovery planning and in continuity of government. For example, not all states integrate health departments and transportation departments in planning for emergencies. This program is designed to remedy such shortfalls. In addition, this program can assess for continuity of operations what needs to be done to protect essential facilities, records, equipment, and other assets, as well as achieve a timely and orderly recovery from an emergency in order to resume full service to customers and residents of the community. In planning for continuation of the government in the face of an emergency, several other critical elements will be evaluated by this program such as the effect of a steep reduction in staff levels as staff members assist their own families and how to mitigate or plan for such a reduction. Also, the governments at the state level are evaluated to assure that

orders of succession and delegations of authority have been prepared.

The program should provide peer-validated assessments using nationally recognized emergency management program standards and provide a system for accreditation in meeting those standards. Finally, the program should provide an internet tool allowing states, territories, tribal nations, local jurisdictions, and higher education institutions to use national standards for their own self-assessments.

**National Preparedness Goal (NPG):**

The NPG defines success as A secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.

This program improves emergency management by pairing whole community partners with state governments to assess existing plans and practices against peer-established, nationally recognized standards. Specifically, the program will assess the extent of States consistency in involving relevant organizations and partners in all mission areas: prevention, protection, mitigation, response, and recovery, as well as in continuity of government.

Nationally recognized emergency management program standards strongly emphasize the importance of planning. Planning is one of only three Core Capabilities in the NPG that span all mission areas. The application of nationally recognized emergency management planning standards to assess state emergency management programs will contribute to the overall assessment of national preparedness as reported annually in the National Preparedness Report and will provide valuable feedback to stakeholders that will strengthen state programs.

For additional details on the NPG, please refer to:  
<http://www.fema.gov/pdf/prepared/npd.pdf>.

**TYPES OF ASSISTANCE:**

Direct Payments for Specified Use

**USES AND USE RESTRICTIONS:**

- 1) State/territory baseline assessments documentation;
- 2) Maintenance of joint consensus standards and guidelines;
- 3) Maintenance of a web-based portal for states and territories self-assessments;
- 4) Peer-review and feedback on problem areas identified in the self-assessment;
- 5) Webinars for training on standards;
- 6) Videos which assist in the preparation for an assessment; and
- 7) Access to best practices and model plans. See Funding Opportunity Announcement.

**Applicant Eligibility:**

Any non-profit organization that can sufficiently demonstrate through their application significant experience in providing assessments of state emergency management organizations using peer review and nationally recognized emergency management standards and that can meet the objectives of this program is eligible to apply.

**Beneficiary Eligibility:**

State and territory emergency management programs.

**Credentials/Documentation:**

No Credentials or documentation are required. This program is excluded from coverage under OMB Circular No. A-87.

**Preapplication Coordination:**

Preapplication coordination is required. Environmental impact information is not required for this program. This program is excluded from coverage under E.O. 12372.

**Application Procedures:**

This program is excluded from coverage under OMB Circular No. A-102. OMB Circular No. A-110 applies to this program. The applicant must provide a detailed budget for the funds requested. The detailed budget must be submitted as an attachment to the grant application package in the ND Grants system. The budget must be complete, reasonable, and cost-effective in relation to the

proposed project. The budget should provide the basis of computation of all project-related costs, and appropriate narrative, and a detailed justification of Management and Administrative (M&A) costs.

For indirect costs, applicant is required to provide a copy of the official Negotiated Agreement in effect at the time of application.

**Award Procedure:**

Applications will be reviewed by DHS FEMA National Preparedness Assessment Division Program Office and Grants Program Directorate (GPD), and the award will be made by GPD Assistance Officers. Funds will not be made available for obligation, expenditure, or drawdown until the applicants budget and budget narrative have been approved by FEMA.

**Deadlines:**

Contact the headquarters or regional office, as appropriate, for application deadlines.

**Range of Approval/Disapproval Time:**

Other - Not Specified.

**Appeals:**

Not Applicable.

**Renewals:**

Not Applicable.

**Formula and Matching Requirements:**

This program has no statutory formula.  
This program has no matching requirements.  
This program does not have MOE requirements.

**Length and Time Phasing of Assistance:**

The period of performance is 24 months. A request for extension may be submitted to FEMA at least 60 days prior end of the performance period with specific and compelling justifications as to why an extension is required. See the following for information on how assistance is awarded/released: Upon approval of the application, the award will be made in the form of a grant. The date of approval of award entered into the system is the award date. Notification of award approval is made through the ND Grants system through an automatic email to the grantee point of contact (POC) listed in the initial application. Once an award has been approved and recorded in the system, a notice is sent to the authorized grant official. Follow the directions in the notification to accept your award documents. The authorized grant official should carefully read the award package for instructions on administering the grant and to learn more about the terms and conditions associated with responsibilities under Federal awards. Awarded funds will be loaded into the Payment Management System (PMS) and available for drawdown by the grantee, unless otherwise instructed.

**Reports:**

1. Baseline Assessment Reports, which identify the state or territory assessed, due within 120 days of peer-review onsite assessment.
2. Annual Baseline Assessment Summary Report, which reflect results of baseline assessments conducted during the period, identify trends, and summarize the state of the nations preparedness as determined through the application of nationally recognized emergency management standards. No cash reports are required. Quarterly Progress Reports which reflect progress toward the accomplishment of grant objectives, due within 30 days after the end of each quarter ending December 31st, March 31st, June 30th, and September 30th. 1. The Quarterly Federal Financial Report (FFR) SF-425, due within 30 days after the end of each quarter: January 30th, April 30th, July 30th, October 30th.
2. The Final Federal Financial Report (FFR), SF-425, due within 90 days after the Period of Performance expires.
3. Final Payment/Unexpended Funds: due within 90 days after the Period of Performance expires. Reports are not required; however, Grant recipient will be monitored by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met. Monitoring will be accomplished through a combination of office-based

desk reviews and on-site monitoring visits. Monitoring will involve the review and analysis of the financial, programmatic, performance, and administrative issues relative to the program and will identify areas where technical assistance or other support may be needed.

The recipient is responsible for monitoring award activities to provide reasonable assurance that the Federal award is administered in compliance with requirements. Responsibilities include the accounting of receipts and expenditures, cash management, maintaining adequate financial records, and refunding expenditures disallowed by audits.

**Audits:**

In accordance with the provisions of OMB Circular No. A-133 (Revised, June 27, 2003), "Audits of States, Local Governments, and Non-Profit Organizations," nonfederal entities that expend financial assistance of \$500,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

**Records:**

Grant records shall be retained for a period of 3 years from the day the recipient submits its final expenditure report. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. Grant records include financial and program/progress reports, support documents, statistical records, and other documents that support the activity and/or expenditure of the recipient or sub-recipient under the award.

**Account Identification:**

70-0560-0-1-999.

**Obligations:**

(Salaries) FY 11 Not Available; FY 12 Estimate Not Available; and FY 13 Estimate Not Available - This is a new program. It is estimated that for Fiscal Year 2013 salaries will equal 28% of total funding.

**Range and Average of Financial Assistance:**

No Data Available.

**PROGRAM ACCOMPLISHMENTS:**

Not Applicable.

**REGULATIONS, GUIDELINES, AND LITERATURE:**

See Funding Opportunity Announcement.

**Regional or Local Office:**

None.

**Headquarters Office:**

Cathy Knight, Program Officer 800 K Street, NW, Room 6417  
, Washington, District of Columbia 20472-3630 Email:  
cathy.knight@fema.dhs.gov Phone: 202-786-9670

**Website Address:**

<http://www.fema.gov>

**RELATED PROGRAMS:**

Not Applicable.

**EXAMPLES OF FUNDED PROJECTS:**

Not Applicable.

**CRITERIA FOR SELECTING PROPOSALS:**

Applications will be reviewed by the NPAD Program Office and GPD and a selection will be made based on the program criteria identified in the Funding Opportunity Announcement. The award will be made by GPD Assistance Officers.

# Appendix I: Programs Requiring Executive Order 12372 Review

This appendix lists programs requiring Executive Order 12372 review. Executive Order 12372 "Intergovernmental Review of Federal Programs," structures the Federal government's system of consultation with State and local governments on its decisions involving grants, other forms of financial assistance, and direct development. Under E.O. 12372, States, in consultation with their local governments, design their own review processes and select those Federal financial assistance and direct development activities they wish to review.

Since October 1, 1983 most States have acted to establish a review and comment system in response to E.O. 12372. In such cases, applicants for grants will need to meet the requirements of the intergovernmental consultation process established by a particular State and its local governments before Federal agencies take action on an application.

For more information on the process a particular State requires to be followed, an applicant should contact the office or official designated as the single point of contact in his or her State. Consult the individual program description in the Catalog to determine whether the programs under which he/she plans to apply is subject to E.O. 12372. Consult the Federal agency's application package for instructions on State notification.

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## DEPARTMENT OF AGRICULTURE

10.025 Plant and Animal Disease, Pest Control, and Animal Care (B)  
10.028 Wildlife Services (B)  
10.156 Federal-State Marketing Improvement Program (B)  
10.164 Wholesale Farmers and Alternative Market Development (K,M)  
10.168 Farmers' Market Promotion Program (B)  
10.253 Food Assistance and Nutrition Research Programs (FANRP) (L)  
10.415 Rural Rental Housing Loans (B,E)  
10.420 Rural Self-Help Housing Technical Assistance (B)  
10.427 Rural Rental Assistance Payments (C)  
10.433 Rural Housing Preservation Grants (B)  
10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)  
10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)  
10.553 School Breakfast Program (A)  
10.555 National School Lunch Program (A)  
10.556 Special Milk Program for Children (A)  
10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)  
10.558 Child and Adult Care Food Program (A)  
10.559 Summer Food Service Program for Children (A)  
10.560 State Administrative Expenses for Child Nutrition (A)  
10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)  
10.565 Commodity Supplemental Food Program (A,H)  
10.566 Nutrition Assistance For Puerto Rico (C)  
10.567 Food Distribution Program on Indian Reservations (B,H)  
10.568 Emergency Food Assistance Program (Administrative Costs) (A)  
10.569 Emergency Food Assistance Program (Food Commodities) (A)  
10.664 Cooperative Forestry Assistance (A,B)  
10.676 Forest Legacy Program (B)  
10.678 Forest Stewardship Program (B)  
10.680 Forest Health Protection (A,B)  
10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)  
10.763 Emergency Community Water Assistance Grants (B)  
10.766 Community Facilities Loans and Grants (B,E,F)  
10.767 Intermediary Relending Program (E)  
10.768 Business and Industry Loans (F)  
10.769 Rural Business Enterprise Grants (B)  
10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)  
10.771 Rural Cooperative Development Grants (B)  
10.773 Rural Business Opportunity Grants (B)  
10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)  
10.855 Distance Learning and Telemedicine Loans and Grants (B,E)  
10.865 Biorefinery Assistance (F)

10.901 Resource Conservation and Development (K)  
10.904 Watershed Protection and Flood Prevention (K)  
10.916 Watershed Rehabilitation Program (K)

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## DEPARTMENT OF COMMERCE

11.012 Integrated Ocean Observing System (IOOS) (B)  
11.300 Investments for Public Works and Economic Development Facilities (B)  
11.302 Economic Development\_Support for Planning Organizations (B)  
11.303 Economic Development\_Technical Assistance (B)  
11.312 Research and Evaluation Program (B)  
11.400 Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)  
11.407 Interjurisdictional Fisheries Act of 1986 (A)  
11.419 Coastal Zone Management Administration Awards (A,B)  
11.420 Coastal Zone Management Estuarine Research Reserves (B)  
11.426 Financial Assistance for National Centers for Coastal Ocean Science (B)  
11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)  
11.433 Marine Fisheries Initiative (B)  
11.434 Cooperative Fishery Statistics (B)  
11.435 Southeast Area Monitoring and Assessment Program (B)  
11.436 Columbia River Fisheries Development Program (B)  
11.437 Pacific Fisheries Data Program (B)  
11.438 Pacific Coast Salmon Recovery\_Pacific Salmon Treaty Program (B)  
11.439 Marine Mammal Data Program (B)  
11.452 Unallied Industry Projects (B)  
11.454 Unallied Management Projects (B)  
11.457 Chesapeake Bay Studies (B)  
11.463 Habitat Conservation (B)  
11.467 Meteorologic and Hydrologic Modernization Development (B,D,L,M)  
11.472 Unallied Science Program (B)  
11.473 Coastal Services Center (B)  
11.474 Atlantic Coastal Fisheries Cooperative Management Act (B)  
11.482 Coral Reef Conservation Program (B)  
11.550 Public Telecommunications Facilities Planning and Construction (B)  
11.557 Broadband Technology Opportunities Program (BTOP) (B)  
11.558 State Broadband Data and Development Grant Program (B)

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## DEPARTMENT OF DEFENSE

12.610 Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies (B)  
12.611 Community Economic Adjustment Assistance for Reductions in Defense Industry Employment (B)

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## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

14.123 Mortgage Insurance\_Housing in Older, Declining Areas (F)

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- 14.126 Mortgage Insurance\_Cooperative Projects (F)
- 14.127 Mortgage Insurance\_Manufactured Home Parks (F)
- 14.128 Mortgage Insurance\_Hospitals (F)
- 14.129 Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)
- 14.134 Mortgage Insurance\_Rental Housing (F)
- 14.135 Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)
- 14.138 Mortgage Insurance\_Rental Housing for the Elderly (F)
- 14.139 Mortgage Insurance\_Rental Housing in Urban Renewal Areas (F)
- 14.151 Supplemental Loan Insurance\_Multifamily Rental Housing (F)
- 14.157 Supportive Housing for the Elderly (C)
- 14.181 Supportive Housing for Persons with Disabilities (C)
- 14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)
- 14.188 Housing Finance Agencies (HFA) Risk Sharing (F)
- 14.218 Community Development Block Grants/Entitlement Grants (A)
- 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)
- 14.850 Public and Indian Housing (C)
- 14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)
- 14.872 Public Housing Capital Fund (A)
- 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)
- 14.889 Choice Neighborhoods Implementation Grants (B)
- 14.892 Choice Neighborhoods Planning Grants (B)

## DEPARTMENT OF THE INTERIOR

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- 15.250 Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)
- 15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)
- 15.253 Not-for-Profit AMD Reclamation (B)
- 15.423 Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)
- 15.424 Marine Minerals Activities (B)
- 15.427 Federal Oil and Gas Royalty Management (B)
- 15.506 Water Desalination Research and Development Program (B)
- 15.509 Colorado River Basin Salinity Control Program (B)
- 15.512 Central Valley Project Improvement Act, Title XXXIV (B)
- 15.514 Reclamation States Emergency Drought Relief (B,C,J,K)
- 15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)
- 15.524 Recreation Resources Management (B)
- 15.529 Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)
- 15.530 Water Conservation Field Services Program (WCFSP) (B)
- 15.538 Lower Colorado River Multi-Species Conservation Program. (B)
- 15.548 Reclamation Rural Water Supply Program (B)
- 15.605 Sport Fish Restoration Program (A)
- 15.611 Wildlife Restoration and Basic Hunter Education (A)
- 15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)
- 15.615 Cooperative Endangered Species Conservation Fund (B)
- 15.616 Clean Vessel Act (B)
- 15.622 Sportfishing and Boating Safety Act (B)
- 15.625 Wildlife Conservation and Restoration (A)
- 15.626 Enhanced Hunter Education and Safety Program (A)
- 15.628 Multistate Conservation Grant Program (B)
- 15.633 Landowner Incentive Program (B)
- 15.634 State Wildlife Grants (A,B)
- 15.636 Alaska Subsistence Management (B)

- 15.654 Visitor Facility Enhancements - Refuges and Wildlife (B)
- 15.875 Economic, Social, and Political Development of the Territories (A,B,D)
- 15.904 Historic Preservation Fund Grants-In-Aid (A,B)
- 15.916 Outdoor Recreation\_Acquisition, Development and Planning (B)
- 15.923 National Center for Preservation Technology and Training (B)
- 15.926 American Battlefield Protection (B)
- 15.928 Civil War Battlefield Land Acquisition Grants (B)
- 15.930 Chesapeake Bay Gateways Network (B)
- 15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (C)
- 15.940 New Bedford Whaling National Historic Park Cooperative Management (C)
- 15.941 Mississippi National River and Recreation Area State and Local Assistance (B)
- 15.942 Environmental Education and Conservation - North Cascades Bioregion (C,J)

## DEPARTMENT OF JUSTICE

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- 16.013 Violence Against Women Act Court Training and Improvement Grants (B)
- 16.016 Culturally and Linguistically Specific Services Program (B)
- 16.017 Sexual Assault Services Formula Program (A,B)
- 16.524 Legal Assistance for Victims (B)
- 16.525 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)
- 16.527 Supervised Visitation, Safe Havens for Children (B)
- 16.528 Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)
- 16.529 Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)
- 16.550 State Justice Statistics Program for Statistical Analysis Centers (B)
- 16.554 National Criminal History Improvement Program (NCHIP) (B)
- 16.578 Federal Surplus Property Transfer Program (H)
- 16.589 Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)
- 16.590 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (B)
- 16.593 Residential Substance Abuse Treatment for State Prisoners (A)
- 16.606 State Criminal Alien Assistance Program (C)
- 16.609 Project Safe Neighborhoods (B)
- 16.610 Regional Information Sharing Systems (B)
- 16.611 Closed-Circuit Televising of Child Victims of Abuse (B)
- 16.614 State and Local Anti-Terrorism Training (K,L,M)
- 16.736 Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)
- 16.738 Edward Byrne Memorial Justice Assistance Grant Program (A,B)
- 16.741 DNA Backlog Reduction Program (A,B)
- 16.742 Paul Coverdell Forensic Sciences Improvement Grant Program (A)
- 16.750 Support for Adam Walsh Act Implementation Grant Program (B)
- 16.752 Economic High-Tech and Cyber Crime Prevention (B)
- 16.753 Congressionally Recommended Awards (B)
- 16.888 Consolidated And Technical Assistance Grant Program to Address Children and Youth Experiencing Domestic and Sexual Violence and Engage Men and Boys as Allies (B)

## DEPARTMENT OF LABOR

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- 17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)
- 17.235 Senior Community Service Employment Program (A,B)
- 17.258 WIA Adult Program (A)
- 17.259 WIA Youth Activities (A)

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- 17.260 WIA Dislocated Workers (A,B)
- 17.264 National Farmworker Jobs Program (A)
- 17.271 Work Opportunity Tax Credit Program (WOTC) (A)
- 17.278 WIA Dislocated Worker Formula Grants (A)
- 17.600 Mine Health and Safety Grants (B)
- 17.801 Disabled Veterans' Outreach Program (DVOP) (A)
- 17.802 Veterans' Employment Program (B)
- 17.804 Local Veterans' Employment Representative Program (A)
- 17.807 Transition Assistance Program (B)

## DEPARTMENT OF TRANSPORTATION

- 20.106 Airport Improvement Program (B,K)
- 20.108 Aviation Research Grants (B,I)
- 20.109 Air Transportation Centers of Excellence (B,I,J)
- 20.205 Highway Planning and Construction (A,B)
- 20.219 Recreational Trails Program (A)
- 20.231 Performance and Registration Information Systems Management (B)
- 20.235 Commercial Motor Vehicle Operator Training Grants (B)
- 20.237 Commercial Vehicle Information Systems and Networks (B)
- 20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)
- 20.318 Maglev Project Selection Program - SAFETEA-LU (B)
- 20.500 Federal Transit\_Capital Investment Grants (A,B)
- 20.505 Metropolitan Transportation Planning (A)
- 20.507 Federal Transit\_Formula Grants (A)
- 20.509 Formula Grants for Other Than Urbanized Areas (A)
- 20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)
- 20.514 Public Transportation Research (B,L,M)
- 20.515 State Planning and Research (A)
- 20.516 Job Access\_Reverse Commute (B)
- 20.520 Paul S. Sarbanes Transit in the Parks (B)
- 20.521 New Freedom Program (A)
- 20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)
- 20.600 State and Community Highway Safety (A)
- 20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)
- 20.602 Occupant Protection Incentive Grants (B)
- 20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)
- 20.610 State Traffic Safety Information System Improvement Grants (B)
- 20.611 Incentive Grant Program to Prohibit Racial Profiling (A)
- 20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)
- 20.613 Child Safety and Child Booster Seats Incentive Grants (B)
- 20.616 National Priority Safety Programs (A)
- 20.700 Pipeline Safety Program State Base Grant (A)
- 20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)
- 20.721 PHMSA Pipeline Safety Program One Call Grant (B)
- 20.723 PHMSA Pipeline Safety Research and Development Other Transaction Agreements (B)
- 20.816 Americas Marine Highway Grants (B)
- 20.932 Surface Transportation \_ Discretionary Grants for Capital Investment. (B)
- 20.933 National Infrastructure Investments (B)

## NATIONAL ENDOWMENT FOR THE ARTS

- 45.025 Promotion of the Arts\_Partnership Agreements (B,K)

## NATIONAL SCIENCE FOUNDATION

- 47.041 Engineering Grants (B)
- 47.049 Mathematical and Physical Sciences (B)

- 47.050 Geosciences (B)
- 47.070 Computer and Information Science and Engineering (B)
- 47.074 Biological Sciences (B)
- 47.075 Social, Behavioral, and Economic Sciences (B)
- 47.076 Education and Human Resources (B)
- 47.078 Polar Programs (B)
- 47.079 International Science and Engineering (OISE) (B)
- 47.080 Office of Cyberinfrastructure (B)
- 47.081 Office of Experimental Program to Stimulate Competitive Research (B)

## DEPARTMENT OF VETERANS AFFAIRS

- 64.005 Grants to States for Construction of State Home Facilities (B)

## ENVIRONMENTAL PROTECTION AGENCY

- 66.001 Air Pollution Control Program Support (B)
- 66.032 State Indoor Radon Grants (B)
- 66.033 Ozone Transport Commission (B)
- 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)
- 66.035 Community Action for a Renewed Environment (CARE) Program (B)
- 66.039 National Clean Diesel Emissions Reduction Program (B)
- 66.040 State Clean Diesel Grant Program (A)
- 66.042 Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (B)
- 66.050 Potomac Highlands Implementation Grants (B)
- 66.110 Healthy Communities Grant Program (B)
- 66.113 Region 3 Environmental Priority Projects (B)
- 66.119 West Coast Estuaries Initiative (B)
- 66.124 Coastal Wetlands Planning Protection and Restoration Act (B)
- 66.125 Lake Pontchartrain Basin Restoration Program (PRP) (B)
- 66.126 The San Francisco Bay Water Quality Improvement Fund (B)
- 66.127 Southeastern U.S. Regional Targeted Watershed Initiative (B)
- 66.128 Southeastern Multi-Media and Geographic Priority Projects (B)
- 66.202 Congressionally Mandated Projects (B)
- 66.203 Environmental Finance Center Grants (B)
- 66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)
- 66.309 Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (B)
- 66.313 International Compliance and Enforcement Projects (B)
- 66.418 Construction Grants for Wastewater Treatment Works (B)
- 66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)
- 66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)
- 66.432 State Public Water System Supervision (A)
- 66.433 State Underground Water Source Protection (A)
- 66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)
- 66.437 Long Island Sound Program (B)
- 66.439 Targeted Watersheds Grants (B)
- 66.440 Urban Waters Small Grants (B)
- 66.454 Water Quality Management Planning (A)
- 66.456 National Estuary Program (B)
- 66.458 Capitalization Grants for Clean Water State Revolving Funds (A)
- 66.460 Nonpoint Source Implementation Grants (A)
- 66.461 Regional Wetland Program Development Grants (B)
- 66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)

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66.463 Water Quality Cooperative Agreements (B)  
66.466 Chesapeake Bay Program (B)  
66.467 Wastewater Operator Training Grant Program (B)  
66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)  
66.469 Great Lakes Program (B,I,L)  
66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)  
66.472 Beach Monitoring and Notification Program Implementation Grants (A)  
66.474 Water Protection Grants to the States (A)  
66.475 Gulf of Mexico Program (B)  
66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)  
66.480 Assessment and Watershed Protection Program Grants (B)  
66.481 Lake Champlain Basin Program (B)  
66.509 Science To Achieve Results (STAR) Research Program (B)  
66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)  
66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)  
66.516 P3 Award: National Student Design Competition for Sustainability (B)  
66.517 Regional Applied Research Efforts (RARE) (B)  
66.604 Environmental Justice Small Grant Program (B)  
66.605 Performance Partnership Grants (A,B)  
66.609 Protection of Children from Environmental Health Risks (B)  
66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)  
66.611 Environmental Policy and Innovation Grants (B)  
66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)  
66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)  
66.708 Pollution Prevention Grants Program (B)  
66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)  
66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)  
66.717 Source Reduction Assistance (B)  
66.801 Hazardous Waste Management State Program Support (A)  
66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)  
66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)  
66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)  
66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)  
66.808 Solid Waste Management Assistance Grants (B)  
66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)  
66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)  
66.812 Hazardous Waste Management Grant Program for Tribes (B)  
66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)  
66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)  
66.816 Headquarters and Regional Underground Storage Tanks Program (B)

66.817 State and Tribal Response Program Grants (A)  
66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)  
66.931 International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (B)

## DEPARTMENT OF ENERGY

81.041 State Energy Program (A,B,L)  
81.042 Weatherization Assistance for Low-Income Persons (A,B)  
81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)  
81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)

## DEPARTMENT OF EDUCATION

84.002 Adult Education - Basic Grants to States (A)  
84.004 Civil Rights Training and Advisory Services (B)  
84.011 Migrant Education\_State Grant Program (A)  
84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)  
84.016 Undergraduate International Studies and Foreign Language Programs (B)  
84.027 Special Education\_Grants to States (A)  
84.031 Higher Education\_Institutional Aid (B)  
84.042 TRIO\_Student Support Services (B)  
84.044 TRIO\_Talent Search (B)  
84.047 TRIO\_Upward Bound (B)  
84.048 Career and Technical Education -- Basic Grants to States (A)  
84.060 Indian Education\_Grants to Local Educational Agencies (A)  
84.066 TRIO\_Educational Opportunity Centers (B)  
84.103 TRIO Staff Training Program (B)  
84.116 Fund for the Improvement of Postsecondary Education (B)  
84.120 Minority Science and Engineering Improvement (B)  
84.126 Rehabilitation Services\_Vocational Rehabilitation Grants to States (A)  
84.128 Rehabilitation Services\_Service Projects (B)  
84.129 Rehabilitation Long-Term Training (B)  
84.132 Centers for Independent Living (B)  
84.141 Migrant Education\_High School Equivalency Program (B)  
84.144 Migrant Education\_Coordination Program (B)  
84.145 Federal Real Property Assistance Program (H)  
84.149 Migrant Education\_College Assistance Migrant Program (B)  
84.153 Business and International Education Projects (B)  
84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)  
84.161 Rehabilitation Services\_Client Assistance Program (A)  
84.165 Magnet Schools Assistance (B)  
84.169 Independent Living\_State Grants (A)  
84.173 Special Education\_Preschool Grants (A)  
84.177 Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind (B)  
84.181 Special Education-Grants for Infants and Families (A)  
84.184 Safe and Drug-Free Schools and Communities\_National Programs (B)  
84.187 Supported Employment Services for Individuals with the Most Significant Disabilities (A)  
84.191 Adult Education\_National Leadership Activities (B,C)  
84.196 Education for Homeless Children and Youth (A)  
84.200 Graduate Assistance in Areas of National Need (B)  
84.217 TRIO\_McNair Post-Baccalaureate Achievement (B)  
84.220 Centers for International Business Education (B)  
84.224 Assistive Technology (A)  
84.235 Rehabilitation Services Demonstration and Training Programs (B)



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84.240	Program of Protection and Advocacy of Individual Rights (A)	Services and Senior Centers (A)
84.246	Rehabilitation Short-Term Training (B)	93.045 Special Programs for the Aging_Title III, Part C_Nutrition Services (A)
84.264	Rehabilitation Training_Continuing Education (B)	93.053 Nutrition Services Incentive Program (A)
84.265	Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)	93.060 Competitive Abstinence Education (CAE) (B)
84.269	Institute for International Public Policy (B)	93.062 Biomonitoring Programs for State Public Health Laboratories (B)
84.274	American Overseas Research Centers (B)	93.063 Centers for Genomics and Public Health (B)
84.275	Rehabilitation Training_General Training (B)	93.068 Chronic Diseases: Research, Control, and Prevention (B)
84.287	Twenty-First Century Community Learning Centers (A)	93.069 Public Health Emergency Preparedness (B)
84.293	Foreign Language Assistance (B)	93.070 Environmental Public Health and Emergency Response (B)
84.295	Ready-To-Learn Television (B)	93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)
84.299	Indian Education -- Special Programs for Indian Children (B)	93.087 Enhance Safety of Children Affected by Substance Abuse (B)
84.315	Capacity Building for Traditionally Underserved Populations (B)	93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)
84.323	Special Education - State Personnel Development (B)	93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants (B)
84.324	Research in Special Education (B)	93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)
84.325	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)	93.107 Area Health Education Centers Point of Service Maintenance and Enhancement Awards (B)
84.326	Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)	93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)
84.327	Special Education_Technology and Media Services for Individuals with Disabilities (B)	93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)
84.328	Special Education_Parent Information Centers (B)	93.129 Technical and Non-Financial Assistance to Health Centers (B)
84.329	Special Education_Studies and Evaluations (B)	93.134 Grants to Increase Organ Donations (B)
84.330	Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)	93.137 Community Programs to Improve Minority Health Grant Program (B)
84.334	Gaining Early Awareness and Readiness for Undergraduate Programs (B)	93.145 AIDS Education and Training Centers (B)
84.335	Child Care Access Means Parents in School (B)	93.153 Coordinated Services and Access to Research for Women, Infants, Children, and Youth (B)
84.336	Teacher Quality Partnership Grants (B)	93.155 Rural Health Research Centers (B)
84.343	Assistive Technology_State Grants for Protection and Advocacy (A)	93.161 Health Program for Toxic Substances and Disease Registry (B)
84.350	Transition to Teaching (B)	93.165 Grants to States for Loan Repayment Program (B,C)
84.351	Arts in Education (B)	93.184 Disabilities Prevention (B)
84.354	Credit Enhancement for Charter School Facilities (B)	93.185 Immunization Research, Demonstration, Public Information and Education_Training and Clinical Skills Improvement Projects (B)
84.356	Alaska Native Educational Programs (B)	93.186 National Research Service Award in Primary Care Medicine (B)
84.360	High School Graduation Initiative (B)	93.197 Childhood Lead Poisoning Prevention Projects_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)
84.361	Voluntary Public School Choice (B)	93.204 Surveillance of Hazardous Substance Emergency Events (B)
84.362	Native Hawaiian Education (B)	93.211 Telehealth Programs (B)
84.363	School Leadership (B)	93.217 Family Planning_Services (B)
84.368	Grants for Enhanced Assessment Instruments (B)	93.223 Development and Coordination of Rural Health Services (B)
84.370	DC School Choice Incentive Program (B)	93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)
84.371	Striving Readers (A,B)	93.234 Traumatic Brain Injury State Demonstration Grant Program (B)
84.373	Special Education_Technical Assistance on State Data Collection (B)	93.240 State Capacity Building (B)
84.374	Teacher Incentive Fund (B)	93.243 Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)
84.378	College Access Challenge Grant Program (A)	93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)
84.382	Strengthening Minority-Serving Institutions (B)	93.260 Family Planning_Personnel Training (B)
84.407	Transition Programs for Students with Intellectual Disabilities into Higher Education (B)	93.268 Immunization Cooperative Agreements (B)
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>		93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)
93.003	Public Health and Social Services Emergency Fund (B)	93.270 Adult Viral Hepatitis Prevention and Control (B)
93.007	Public Awareness Campaigns on Embryo Adoption (B)	93.276 Drug-Free Communities Support Program Grants (B)
93.010	Community-Based Abstinence Education (CBAE) (B)	93.283 The Affordable Care Act: Centers for Disease Control and Prevention_Investigations and Technical Assistance (B)
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93.449	Ruminant Feed Ban Support Project (B)	93.671	Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)
93.451	The Linkage to Life Program: Rebuilding Broken Bridges for Minority Families Impacted by HIV/AIDS. (B)	93.702	National Center for Research Resources, Recovery Act Construction Support (B)
93.452	Health Improvement for Re-entering Ex-offenders Initiative (HIRE) HIV/AIDS (B)	93.703	ARRA Grants to Health Center Programs (B)
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93.500	Pregnancy Assistance Fund Program (B)	93.711	ARRA Strengthening Communities Fund (B)
93.505	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (A,B)	93.717	ARRA - Preventing Healthcare-Associated Infections (B)
93.507	PPHF 2012 National Public Health Improvement Initiative (B)	93.731	ARRA - Prevention and Wellness - Leveraging National Organizations (B)
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93.527	Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (B)	93.742	PPHF 2012: Early Childcare and Education Obesity Prevention Program - Obesity Prevention in Young Children - financed solely by 2012 Public Prevention and Health Funds (B)
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93.535	Affordable Care Act (ACA) Childhood Obesity Research Demonstration (B)	93.768	Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)
93.538	Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation (B)	93.796	State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (A)
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(Participating Agreements - Watershed restoration); Exempted Agreements:  
National Forest Roads and Trails Act of October 13, 1964 (16 U.S.C. 532-538,  
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White Pine County Conservation, Recreation and Development Act of 2006; and  
Secure Rural Schools and Community Self-Determination Act of 2000, as  
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authorized by Division F, Title IV, Section 417 of the Consolidated  
Appropriations Act 2008 (Public Law 110-161). (Participating Agreements);  
Interior and Related Appropriations Act of 1992. (Public Law 102-154,  
(Challenge Cost-Share Agreements); National Agricultural Research, Extension,  
and Teaching Policy Act of 1977 (Public Law 95-113), as amended by the Food  
Security Act of 1985 (7 U.S.C. 3318, and 3319, Public Law 99-198) and further  
amended by Public Law 105-198 (Research); Wyden Amendment (Public Law  
105-277, Section 323 as amended by Public Law 109-54, Section 434)  
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2101 (S&PF); Farm Security and Rural Investment Act of 2002, Public Law  
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105-277, Section 323, as amended by Public Law 109-54 and permanently  
authorized by Public Law 111-11, Section 3001, Watershed Restoration and  
Enhancement Act (Wyden Authority) (NFS & S&PF); Public Law 109-58,  
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109-432, Title III, Subtitle G, Eastern Nevada Landscape Restoration Project  
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Americans with Disabilities Act, Title I & V, as amended Public Law 101-336, Public Law 110-325 42, U.S.C. 12101-12117; 12201-12213; Section 501 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 791-794a-- 30.011

An Act to amend title 38, United States Code, to set a termination date for veterans' educational benefits under chapters 34 and 36, to increase vocational rehabilitation subsistence allowances, educational and training assistance allowances, and special allowances paid to eligible veterans and persons under chapters 31, 34, and 35; to extend the basic educational assistance eligibility for veterans and for certain dependents from thirty-six to forty-five months;-- 64.120

Anadromous Fish Conservation Act (16 U.S.C. 757a); Bald Eagle Protection Act (16 U.S.C. 668); Coastal Wetlands Planning, Protection and Restoration Act (16 U.S.C. 3951); Clean Water Act (33 U.S.C. 1254(b)(3)); Comprehensive Environmental Response, Compensation, and Liability Act (42 U.S.C. 103); Emergency Wetlands Resources Act (16 U.S.C. 3901); Endangered Species Act (16 U.S.C. 1561); Fish and Wildlife Act (16 U.S.C. 742a); Fish and Wildlife Conservation Act (16 U.S.C. 2901); Fish and Wildlife Coordination Act (16 U.S.C. 661) Great Lakes Fish and Wildlife Restoration Act (Public Law 109-326); Great Lakes Fishery Act (16 U.S.C. 931) ; Lacey Act (16 U.S.C. 3371-3378); Migratory Bird Treaty Act (16 U.S.C. 703); Non-indigenous Aquatic Nuisance Prevention and Control Act (16 U.S.C. 4701); North American Wetlands Conservation Act (16 U.S.C. 4401); Partners for Fish and Wildlife Act (16 U.S.C. 3771).-- 15.662

And Department of State, Foreign Operations and Related Programs Appropriations Act, 2010 (Div. J, Public Law 110-161), sections 7015(c) and section 7071(b)-- 19.124

Animal Damage Control Act of 1931-- 10.028

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Appalachian Regional Development Act of 1965, Public Law 89-4, as amended, 40 U.S.C. 14101-14704.-- 23.001, 23.002

Appalachian Regional Development Act of 1965, Section 201, Public Law 89-4, as amended, 40 U.S.C. 14501.-- 23.003

Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended, 40 U.S.C. 14321.-- 23.009

Appalachian Regional Development Act of 1965, Section 302, Public Law 89-4, as amended; 40 U.S.C. 14321.-- 23.011

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As Amended-- 21.004

As amended-- 93.090, 93.645, 93.659

As amended, Personal Responsibility and Work Opportunity Reconciliation Act of 1996-- 93.593

As amended, Public Law 106-310-- 93.958, 93.959

As amended.-- 93.599, 93.603, 93.658

Asian Elephant Conservation Act, Public Law 105- 96, 111 Stat. 2150, 16 U.S.C. 4261-4266.-- 15.621

Asian Elephant Conservation Reauthorization Act of 2007-- 15.621

Assets for Independence Act-- 93.602

Assistive Technology Act of 1998, as amended-- 84.224

Atlantic Coastal Fisheries Cooperative Management Act-- 11.474

Atomic Energy Act-- 81.121

Atomic Energy Act of 1954, Section 31(a) and (b), as amended, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title

I, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.-- 81.022

Atomic Energy Act of 1954, Section 31, as amended, Public Law 83-703-- 81.136

Atomic Energy Act of 1954, as amended-- 81.121

Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101.-- 81.112

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189, 103 Stat. 1684, 42 U.S.C. 2051-- 81.113

Atomic Energy Act of 1954, as amended, Section 3157, Public Law 101-189; 103 Stat. 1684, 42 U.S.C. 2051; Energy Reorganization Act of 1974, Title I, Section 107, Public Law 93-438; 88 Stat. 1240, 42 U.S.C. 5817; Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy (DOE) Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101; National Nuclear Security Administration Act, Public Law 106-65, as amended; Consolidated Appropriations Act, 2005, Public Law 108-447; Energy and Water Development Appropriations Act, 2006, Public Law 109-103; Revised Continuing Appropriations Resolution, 2007, Public Law 110-5, as amended; Executive Order 13230, President's Advisory Commission on Educational Excellence for Hispanic Americans, October 12, 2001, as amended; Executive Order 13256, White House Initiative on Historically Black Colleges and Universities, February 12, 2002, as amended; Executive Order 13270, Tribal Colleges and Universities, July 3, 2002, as amended.-- 81.123

Authority for the Tribal Colleges Education Equity Grants (TCEG) program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note) as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). Appropriated funds are to be awarded to the 1994 Land-Grant Institutions (hereinafter referred to as 1994 Institutions) for Education capacity building and funds are to be distributed equally among institutions that meet eligibility requirements.-- 10.221

Authority for this program is contained in section 1417 (b)(4) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA) [7 U.S.C. 3152(b)(4)] (b)(4)-- 10.216

Authorized by 25 U.S.C. 13, Synder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001.-- 93.443

Authorized under Part D of Title XVIII of the Social Security Act.-- 93.770

Aviation Security Improvement Act of 1990, Federal Aviation Administration Authorization Act-- 20.108

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Balanced Budget Act of 1997-- 93.237, 93.442

Balanced Budget Down Payment Act II of 1996, Public Law 104-134.-- 81.041

Balanced Budget Down Payment Act II of 1996; ARRA 2009-- 81.119

Beaches Environmental Assessment and Coastal Health Act of 2000-- 66.472

Black Lung Benefits Act, as amended-- 17.307

Boston Harbor Islands National Recreational Area 16 U.S.C. 460kkk(d); Boston Harbor Islands National Recreation Area to be Administered in Partnership - Boston Harbor islands National Recreation Area was established as a unit of the national park system by the Omnibus Parks and Public Lands Management Act of 1996 (P.L. 104-333), as amended. 16 U.S.C. 460 kkk (e)(2): Federal Operating Committee Established at Boston Harbor Islands - The Omnibus Parks and Public Lands Management Act of 1996 (P.L. 104-333), as amended. 16 U.S.C. 460 kkk (d); Cooperative Management of Lands Within Boston Harbor Islands National Recreation Area - The omnibus Public land Management Act of 2009 (P.L. 111-11) amends 16 U.S.C. 460kkk(d) NPS

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Challenge Cost Share 16 U.S.C. If; NPS Cooperative Agreements, 16 U.S.C. Ig-- 15.947  
Breast and Cervical Cancer Mortality Prevention Act of 1990, Section 301(a), Section 317(k)(3), and Section 1501, Public Law 101-354; 42 U.S.C.241a, 42 U.S.C. 247b(k)(3), and 42 U.S.C. 300K; Public Law 103-183.-- 93.919  
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Central Valley Project Improvement Act (CVPIA), 1992, Public Law 102-575, Title 34, Section 3406(b)(1).-- 15.532  
Central Valley Project Improvement Act, Title 34, Public Law 102-575; Federal Grant and Cooperative Agreement Act, Public Law 97-258, 31 U.S.C. 6301-6308.-- 15.648  
Challenge Cost Share Provision, Public Law 104-333, 16 U.S.C.; Centennial Challenge Provision (2008), FY 2008 Appropriations Act (December 17, 2007)(see H.R. Rep. No. 110-497, Division F, Title I, to accompany H. Res. 878, at 266).-- 15.406  
Chesapeake Bay Initiative Act of 1993, Public Law 105-312, Section 501-2.-- 15.930  
Child Abuse Prevention and Treatment Act (CAPTA), as amended-- 93.669  
Child Abuse Prevention and Treatment Act (CAPTA), as amended by P.L.111-320, enacted on December 20, 2010.-- 93.590  
Child Abuse Prevention and Treatment Act of 1978, Title I, as amended, Public Law 111-320, The CAPTA Reauthorization Act of 2010.-- 93.670  
Child Abuse Prevention and Treatment and Adoption Reform Act of 1978-- 93.652  
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Child Nutrition Act of 1966, as amended, 42 U.S.C. 1776, 1779-- 10.560  
Child Nutrition Act of 1966, as amended, Section 17, 42 U.S.C. 1786. Healthy, Hunger-Free Kids Act of 2010-- 10.557  
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Civil Rights Act of 1964, Title IV, as amended.-- 84.004  
Civil Rights Act of 1964, Title VI, as amended; Rehabilitation Act of 1973,

Sections 504 and 508, as amended; Education Amendments of 1972, Title IX, as amended; Age Discrimination Act of 1975, as amended; Nondiscrimination Provisions of the Public Health Service Act, Titles VI, VII, VIII, and XVI, as amended; Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended; Drug Abuse Offense and Treatment Act of 1972, Section 407; Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, Section 321, as amended; Low-Income Home Energy Assistance Act of 1981, 42 U.S.C. 8625; Community Services Block Grant Act, 42 U.S.C. 398; Family Violence Prevention and Services Act, as amended, Section 307 (a)(1) and (2), Public Law 98-457; Americans with Disabilities Act of 1990, Title II, Subtitle A, Public Law 101-336; Small Business Job Protection Act of 1996, Section 1808, Public Law 104-188; Section 1557 of the Patient Protection and Affordable Care Act; Section 1553 of the Affordable Care Act; Federal Health Care Conscience Protection Statutes, which include the Church Amendments, (42 U.S.C. 300a-7); Health Insurance Portability and Accountability Act of 1996 (HIPAA), 42 U.S.C. 1320d-8, 45 CFR Part 160 and Subparts A, C and E of Part 164--Standards for Privacy of Individually Identifiable Health Information (the "Privacy Rule") and Standards for the Protection of Electronic Protected Health Information (the "Security Rule"); Public Health Service Act, Title IX, 42 U.S.C. 299b-22, as amended by the Patient Safety and Quality Improvement Act of 2005, Public Law 109-41; Part C of title XI of the Social Security Act, 42 U.S.C. 1320d-d-8, as amended by Section 105 of the Genetic Information Nondiscrimination Act of 2008 (GINA), Public Law 110233; Subtitle D of the Health Information Technology for Economic and Clinical Health (HITECH) Act, Public Law 111-5, 123 Stat. 115 (2009), and 45 CFR Subpart D of Part 164 - Breach Notification for Unsecured Protected Health Information (the "Breach Notification Rule").-- 93.001

Civil Rights Act of 1964, Title VII, 42 U.S.C. 2000(e), as amended; Executive Order 11246, September 24, 1965; Reorganization Plan No. 1, 1978. Uniformed Services Employment and Reemployment Rights Act of 1994.-- 16.101

Civil Rights Act of 1964, as amended, Title II and Title III; Civil Rights Act of 1968, as amended, Title VIII, Public Law 90-284, Fair Housing Amendments Act of 1988, Public Law 100-430, 42 U.S.C. 3601; Equal Credit Opportunity Act of 1974, Public Law 93-495; Equal Credit Opportunity Act of 1976, Public Law 94-239; 15 U.S.C. 1691; Religious Land Use and Institutionalized Persons Act of 2000, Public Law 106-274, 42 U.S.C. 2000cc.; Servicemembers Civil Relief Act, 50 U.S.C App. 501.-- 16.103

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Collaboration between Department of Energy (DOE) and Department of Agriculture (USDA) on a Biomass Research and Development Initiative is directed under various statutory authorities, primarily the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246) and the Energy Policy Act of 2005 (EPAct 2005)(Public Law 109-58; Section 941). USDAs authorization appears in Section 9008 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246) which replaced section 9008 of the Farm Security, and Rural Investment Act of 2002 (FSRIA) (Public Law 107-171) [7 U.S.C. 8108]; thereby amending section 307 of the Biomass Research and Development Act of 2000 (BRDA) (7 U.S.C. 7624 note, and 7 U.S.C. 8101 note; Public Law 106224). Pursuant to Executive Order 13134, BRDA can be found at (7 U.S.C .8601 et seq). BRDA authorizes the Biomass Research and Development.-- 10.312

Colorado River Basin Act of September 30, 1968 amended by the Colorado River Basin Project Act, December 20, 1982.-- 15.541

Colorado River Basin Project Act, Public Law 90-537, 82 Stat.885; Colorado Ute Indian Water Rights Settlement Act of 1988, as amended, Public Law 100-585, 102 Stat. 1973; Colorado Ute Settlement Act Amendments of 2000, Public Law 106-554, 114 Stat. 2763A-266; and American Recovery and Reinvestment Act of 2009, Public Law 111-5.-- 15.510

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Communications Act of 1934, Title III, Part IV, 47 U.S.C 390-394, 397-399 (b) as amended, Public Law 87-447, 76 Stat. 64; Science, State, Justice, Commerce, and Related Agency Appropriations Act of 2006; Public Law 109-108.-- 11.550

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Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Public Law 99-499, as amended; 42 U.S.C. 9604(i); Resource Conservation and Recovery Act, as amended; Public Law 98-616, 42 U.S.C. 6939a.-- 93.161

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, Sections 104(i)(1)(E), (4), (6), (7), (9), (14) and (15), as amended; Superfund Amendments and Reauthorization Act of 1986, 42 U.S.C. 9604; Resource Conservation and Recovery Act, Section 3109(b) and (c), as amended; Hazardous and Solid Waste Amendments of 1984, 42 U.S.C. 6939 (b) and (c).-- 93.240

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended-- 66.818

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended; Superfund Amendments and Reauthorization Act of 1986, Sections 104(i)(1)(E), (9), and (15), Public Law 99-499, 42 U.S.C. 9604.-- 93.204

Comprehensive Environmental Response, Compensation, and Liability Act of 1980-- 66.510

Consolidated Appropriation Act of 2010

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Consolidated Appropriations Act-- 14.321

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Consolidated Appropriations Act for Fiscal Year 2008-- 66.119

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Federal Supplemental Compensation Act of 1982 Amendments, Section 2, as amended, Public Law 98-92, 97 Stat. 608; Food Security Act of 1985, as amended, Section 1569, Public Law 99-198, 99 Stat. 1354; Public Law 100-77, 101 Stat. 536; Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330; Public Law 110-246, 122 Stat. 1882-- 10.568  
Federal Unemployment Tax Act-- 17.225  
Federal Water Pollution Control Act-- 15.658, 66.467  
Federal Water Projects Recreation Act of 1965, Pub. L. 89-72 as amended; Reclamation Management Act of 1992, Pub. L. 102-575, Title XXVIII.
- FOR RECOVERY ACT:  
American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5)-- 15.524  
Federal-State Cooperative Act (Talmadge-Aiken)-- 10.475  
Federal-State Extended Unemployment Compensation Act-- 17.225  
Fiscal Year 2000, Department of Defense Supplemental Appropriations Act, Division B, Chapter 3, Title IV, Lewis and Clark Rural Water System, Public Law 106-246; American Recovery and Reinvestment Act of 2009-- 15.520  
Fish and Wildlife Act-- 11.432, 11.472  
Fish and Wildlife Act of 1956-- 11.413, 11.433, 11.434, 11.435, 11.457, 15.656, 15.658  
Fish and Wildlife Act of 1956 and the Fish and Wildlife Coordination Act, for the development and implementation of programs for the benefit of fish and wildlife species and their habitat (16 U.S.C. 661 and 742 et seq.), Fish and Wildlife Improvement Act of 1978, as amended (16 U.S.C. 753). Endangered Species Act of 1973 (16 U.S.C. 1531-1544, 87 Stat. 884)-- 15.649  
Fish and Wildlife Act of 1956, as amended, 16 U.S.C. (742f (a)(4)); Fish and Wildlife Coordination Act, as amended, 16 U.S.C. 661.; Fish and Wildlife Improvement Act of 1978, as amended (16 U.S.C. 753), Land and Water Conservation Fund Act of 1965, as amended (16 U.S.C. 4601-4 through 11), Endangered Species Act of 1973 (16 U.S.C. 1531-1543)-- 15.650  
Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-742j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666; Sikes Act of 1974, as amended, 16 U.S.C. 670(a)-670(o); Alaska National Interest Lands Conservation Act, 16 U.S.C. 3101; Marine Mammal Protection Act of 1972, Public Law 92-522, as amended, 16 U.S.C. 1361-1421; Fish and Wildlife Conservation Act of 1980; Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990, as amended, 16 U.S.C. 4701-4741.-- 15.608  
Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; Migratory Bird Treaty Act, 16 U.S.C. 709a.-- 15.655  
Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); and National Wildlife Refuge System Administration Act, 16 U.S.C. 668dd.-- 15.652  
Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and Migratory Bird Treaty Act, (16U.S.C. 709a)-- 15.637  
Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and Migratory Bird Treaty Act, 16

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- U.S.C. 709a.-- 15.647
- Fish and Wildlife Act of 1956, 16 U.S.C. 742a-c, 747e-742j; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661 667(e)-- 15.630
- Fish and Wildlife Conservation Act of 1934 (16 U.S.C. 2901-2911); Fish and Wildlife Act of 1956 (16 U.S.C. 742(a)-754); Refuge Recreation Act of 1962 (16 U.S.C. 460k-460k(4)); National Wildlife Refuge System Administration Act of 1966 (16 U.S.C. 668dd); Youth Conservation Corps Act of 1972 (16 U.S.C. 1701-1706); Archaeological Resources Protection Act of 1979 (16 U.S.C. 470aa-47011); The National Wildlife Refuge System Act of 1997 (Public Law 105-57); National Wildlife Refuge System Volunteer and Community Partnership Act of 2004 (Public Law 108-327)-- 15.654
- Fish and Wildlife Coordination Act-- 15.661
- Fish and Wildlife Coordination Act of 1934, Public Law 85-624, 16 U.S.C. 661 et seq., as amended, and Section 7(a) of the Fish and Wildlife Coordination Act (FWCA) (70 Stat 1122; 16 U.S.C. 742f(a)); as limited and delegated by the Secretary of the Interior delegation of authority to the Bureau of Reclamation at 255 DM 1.1B:
- 1.1 Delegation. Subject to the exceptions in Section 1.2, the Commissioner of Reclamation (Commissioner) is delegated the authority of the Assistant Secretary Water and Science to:
- B. Take the following actions, either directly or by providing financial assistance to non-Federal parties, pursuant to the Conservation of Wild Life, Fish and Game Act of March 10, 1934 (Public Law 73-121; 48 Stat. 401) as amended by the Fish and Wildlife Coordination Act of August 14, 1946 (Public Law 85-624; 72 Stat. 563; 16 U.S.C. 661-666c); Section 5 of the Endangered Species Act of 1973, December 28, 1973 (Public Law 93-205; 87 Stat. 884; 16 U.S.C. 1534); and Section 7(a) of the Fish and Wildlife Coordination Act of 1956, August 8, 1956 (70 Stat. 1122; 16 U.S.C. 742f(a)), regarding the construction and/or continued operation and maintenance of any Federal reclamation project:
- (1) plan, design, and construct, including acquiring lands or interest therein as needed for:
- (a) fish passage and screening facilities at any non-Federal water diversion or storage project; or
- (b) projects to create or improve instream habitat.
- (2) acquire or lease water or water rights from willing sellers or lessors; or
- (3) monitor and evaluate the effect of Reclamation actions on Endangered Species Act- listed species.
- FOR RECOVERY ACT:
- American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5)-- 15.517
- Fish and Wildlife Coordination Act of 1934, U.S.C. 16 et seq.; Endangered Species Act of 1973, 16 U.S.C. 1531 et. seq., as amended; Public Law 111-11, 123 Stat. 1171. Consolidated Appropriations Act, 2012. Public Law 112-74, House Conference Report 112-331, page 1055.-- 15.666
- Fish and Wildlife Coordination Act of 1956-- 11.432, 11.452, 11.463
- Fish and Wildlife Coordination Act of 1956-- 11.454, 11.472
- Fish and Wildlife Coordination Act of 1958-- 15.656
- Fish and Wildlife Coordination Act-- 11.457
- Flood Disaster Protection Act of 1973-- 97.045
- Flood Disaster Protection Act of 1973, as amended-- 97.023
- Flood Insurance Act of 1968-- 97.045
- Food Conservation and Energy Act of 2008-- 10.053
- Food Security Act of 1985-- 10.001, 10.072, 10.913, 10.914, 10.920, 10.921, 10.924
- Food Security Act of 1985, as amended-- 10.069
- Food and Agriculture Act of 1962-- 10.901
- Food and Nutrition Act of 2008 (Public Law 110-246); Agriculture and Consumer Protection Act of 1973 (Public Law 93-86)-- 10.567
- Food and Nutrition Act of 2008 (Section 17(a)(1))-- 10.584
- Food and Nutrition Act of 2008, as amended, Section 16, Public Law 95-113, 91 Stat. 958, 7 U.S.C. 2025; Public Law 99-198, Public Law 105-33, Public Law 105-185, Public Law 110-246, American Recovery and Reinvestment Act of 2009, Public Law 111-5, Healthy Hunger Free Kids Act, Public Law 111-296-- 10.561
- Food for Progress Act of 1985.-- 10.606
- Food, Agriculture, Conservation and Trade Act of 1990; the Uruguay Round Agreements Act of 1995; and the Federal Agriculture Improvement and Reform Act of 1996.-- 10.602
- Food, Agriculture, Conservation, and Trade Act of 1990-- 10.443
- Food, Agriculture, Conservation, and Trade Act of 1990, Section 1668-- 10.219
- Food, Conservation and Energy Act of 2008-- 10.465, 10.685
- Food, Conservation and Energy Act of 2008, 7 USC 8701-- 10.686
- Food, Conservation and Energy Act of 2008; Food and Nutrition Act of 1977, as amended, Public Law 95- 113, 91 Stat. 958, 7 U.S.C. 2011 et seq.; Public Law 95-348, Public Law 96-58, Public Law 96-249, Public Law 97-35; Public Law 97-98; Public Law 97-253, Public Law 98-204, Public Law 98-369; Public Law 99-198, Public Law 99-425; Public Law 99-498, Public Law 99-603, Public Law 100-77, Public Law 100-175, Public Law 100-232, Public Law 100-387, Public Law 100-435, Public Law 100-503, Public Law 100-707, Public Law 101-202; Public Law 101-392; Public Law 101-508; Public Law 101-624; Public Law 102-237; Public Law 102-265; Public Law 102-325; Public Law 103-31; Public Law 103-66; Public Law 103-225; Public Law 103-286; Public Law 103-296; Public Law 104-66; Public Law 104-127; Public Law 104-193; Public Law 104-208; Public Law 105-18; Public Law 105-33; Public Law 105-185; Public Law 105-379; Public Law 106-171; Public Law 106-387; Public Law 107-171; Public Law 110-161; Public Law 110-246; American Recovery Act and Reinvestment Act of 2009, Public Law 111-5; Healthy Hunger Free Kids Act, Public Law 111-296-- 10.551
- Food, Conservation, and Energy Act of 2008-- 10.051, 10.056, 10.102, 10.612, 10.866
- Food, Conservation, and Energy Act of 2008 (2008 Farm Bill)-- 10.092
- Food, Conservation, and Energy Act of 2008 of the Farm Bill-- 10.870
- Food, Conservation, and Energy Act of 2008, Title IX, Section 9005-- 10.867
- Food, Conservation, and Energy Act of 2008, Title IX, Section 9007 Public Law version 6124 of the Farm Bill.-- 10.868
- Food, Conservation, and Energy Act of 2008, which amends the Cooperative Forestry Assistance Act of 1978 (16 USC 2103d), Title IX, Section 8003, Public Law 110-246, 122 Stat. 1651. The final rule for implementation of the Community Forest and Open Space Conservation Program (36 CFR Part 230) was published in the Federal Register in October 2011.-- 10.689
- Food, Conservation and Energy Act of 2008-- 10.080
- Foreign Assistance Act of 1961-- 19.703, 19.704, 19.705
- Foreign Assistance Act of 1961 as amended-- 19.032
- Foreign Assistance Act of 1961, FREEDOM Support Act, and SEED Act-- 19.900
- Foreign Assistance Act of 1961, as amended-- 19.033
- Forest and Rangeland Renewable Resources Research Act of 1978, Public Law 95-307, 92 Stat. 353, 16 U.S.C. 1643-- 10.652
- Foreign Assistance Act of 1961 as amended-- 19.701
- Fort Peck Reservation Rural Water System Act of 2000, Public Law 106-382; American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5)-- 15.516
- Fulbright Hayes Act, the Mutual and Cultural Exchange Act of 1961 and PL 256, Foreign Assistance Act of 1961 as amended. USC 22, Smith-Mundt Act - US Information and Education Exchange Act of 1948, PL 80-402-- 19.040
- Fulbright-Hays Act, Public Law, as amended.-- 19.450
- Full Year Continuing Appropriations Act, 2011-- 17.283
- Funding is appropriated under Affordable Care Act (PL 111-148), Title IV, Section 4002 (Prevention and Public Health Fund) in Fiscal Year 2011 only. In addition, Under Section 5314, Fellowship Training in Public Health (Part E of title VII of the Public Health Service Act (42 U.S.C.294n et seq., as amended by as amended by section 5206, is further amended by Sec. 778), CDC is authorized to expand existing fellowship training programs in the critical areas of applied

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public health epidemiology, public health laboratory science and public health informatics.-- 93.065

Funds for the FY 2011 EOC Grant Program are appropriated under the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10).-- 97.052

### G

GPE:Title VII, section 755 (b)(1)(J) of the Public Health Service Act (42 USC 755 [294e(b)(1)(J)] as amended by the Health Professions Education Partnership Act of 1998, PL 105-392 and the Patient Protection and Affordable Care Act, PL 111-148.

PN: Section 340A of the Public Health Service Act (42 U.S.C. 256a), as amended by the Patient Protection and Affordable Care Act, Pub. L. 111-148-- 93.191

Garrison Diversion Unit, Missouri River Basin Project, Public Law 89-108, as amended; Energy and Water Development Appropriation Act of 1985, Public Law 98-360; Garrison Diversion Unit Reformulation Act of 1986, Public Law 99-294; Dakota Water Resources Act of 2000, Public Law 106-554, Indian Self-Determination and Education Act, Public Law 930638, as amended; American Recovery and Reinvestment Act of 2009-- 15.518

Great Ape Conservation Act of 2000, Public Law 106-411, 16 U.S.C. 6301.

Tylersville Fish Hatchery Conveyance, Public Law 109-363.-- 15.629

Great Lakes Fish and Wildlife Restoration Act, as amended-- 15.656

### H

H.R. 1964, 2004; 16 U.S.C. 3901-- 15.667

HOPE VI Program Reauthorization and Small Community Mainstreet Rejuvenation and Housing Act of 2003-- 14.878

HPP: 319C-2 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) (P.L. 109-417) (2006), PHEP: 319C-1 of the Public Health Service (PHS) Act, as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) (P.L. 109-417) (2006), and 317(a) and 317(d) of the PHS Act, subject to available funding and other requirements and limitations.-- 93.074

HUD Demonstration Act of 1993-- 14.252

Harmful Algal Bloom and

Hypoxia Research and Control Act of 1998-- 11.478

Hatch Act of 1887, as amended; Public Law 84-352, 7 U.S.C. 361a-361i; Education Amendments of 1972, Section 506, Public Law 92-318; Public Law 93-471; Public Law 95-113; Education Amendments of 1980, Section 1361, Public Law 96-374, 7 U.S.C. 301; Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185.-- 10.203

Hawaiian Homelands Homeownership Act of 2000; Omnibus Appropriations Act 2009-- 14.873

Head Start Act as Amended by Improving Head Start for School Readiness Act-- 93.508

Head Start Act, as amended by the Improving Head Start for School Readiness Act of 2007-- 93.600, 93.708, 93.709

Health Care and Education Reconciliation Act of 2010-- 17.282

Health Professionals Education Partnerships Act-- 93.140

Health Service Act Sections 301(a)[42 U.S.C. 241(a)] American Recovery and Reinvestment Act of 2009-- 93.717

Health and Human Services Act of 1986-- 10.767

Healthy Forest Restoration Act of 2003-- 10.922

Healthy Hunger-Free Kids Act of 2010, Public Law 111-296, 106 Stat. 281; Child Nutrition Act of 1966, as amended, Section 17(m), 42 U.S.C. 1786.-- 10.572

Healthy, Hunger Free Kids Act of 2010, Section 17(h)(10)(A) of the Child Nutrition Act of 1966, as amended. Section 17(h)(10)(B) of the Child Nutrition Act of 1966, as amended.-- 10.578

Healthy, Hunger-Free Kids Act of 2010-- 10.589

Helium Privatization Act of 1996, 50 U.S.C 167, Public Law 104-273.-- 15.240

Help America Vote Act-- 93.617, 93.618

Higher Education Act-- 84.417

Higher Education Act Amendments of 1998, as amended, Title VIII, Part D, 20 USC 1151-- 84.331

Higher Education Act of 1965-- 84.408

Higher Education Act of 1965, as amended-- 84.153

Higher Education Act of 1965, Title IV, Part A, Subpart 1, as amended.-- 84.063

Higher Education Act of 1965, as amended-- 84.015, 84.016, 84.141, 84.149, 84.170, 84.200, 84.220, 84.268, 84.269, 84.336, 84.382

Higher Education Act of 1965, as amended (HEA)-- 84.017

Higher Education Act of 1965, as amended (HEA). Title III, Part A and Part F, HEA, Title V.-- 84.031

Higher Education Act of 1965, as amended, Subpart 2-- 84.047

Higher Education Act of 1965, as amended, Subpart 9-- 84.379

Higher Education Act of 1965, as amended, Title III, Part E, Subpart 1-- 84.120

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1 Section 402E-- 84.217

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402B-- 84.044

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402D-- 84.042

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402F-- 84.066

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 1, Section 402G-- 84.103

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 2, Chapter 2-- 84.334

Higher Education Act of 1965, as amended, Title IV, Part A, Subpart 3, 20

U.S.C. 1070b-1070b-3.-- 84.007

Higher Education Act of 1965, as amended, Title IV, Part C; 42 U.S.C.

2751-2756a.-- 84.033

Higher Education Act of 1965, as amended, Title VII, Part B, 20 U.S.C. 1138.-- 84.116

Higher Education Act of 1965, as amended, Title VII, Part E, Section 781, 20 U.S.C. 1141.-- 84.378

Higher Education Act of 1965, as amended.-- 84.407

Higher Education Act, as amended-- 84.229, 84.274

Higher Education Act, as amended, Title IV, Part A, Subpart 7-- 84.335

Highway Safety Act of 1966, as amended-- 20.600

Highway Safety Act of 1966, as amended, and Public Law 109-59 the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.614

Highway Safety Act of 1998 as amended-- 20.608

Highway Safety Act of 1998, as amended-- 20.607

Historic Sites Act 16 U.S.C.462e & 464; Archeological and Historic

Preservation Act 16 U.S.C.469b1; National Historic Preservation Act 16

U.S.C.470a(b)6, 470w-7(b)2Biv, 470w-5(a), & 470a(d)4; Cooperative

Agreements, 16 U.S.C. 1g; Omnibus Parks and Public Lands Management Act

of 1996, Public Law 104-333; Research and Training 16 U.S.C. 1a-2j; Cost

Sharing, 16 U.S.C. 1f; Omnibus Public Land Management Act of 2009, Public

Law 111-11-- 15.946

Historic Sites Act of 1935, Public Law 74-292, 16 U.S.C. 461 et seq.; National

Historic Preservation Act of 1966, as amended, Public Law 89-665, 16 U.S.C.

470(t); National Historic Preservation Act Amendments of 1980, Public Law

96-515; 16 U.S.C. 470.-- 15.912

Homeland Security Act-- 97.025, 97.088, 97.109

Homeland Security Act of 2002-- 93.676, 97.018, 97.025, 97.043, 97.053,

97.061, 97.062, 97.065, 97.069, 97.077, 97.091, 97.101, 97.103, 97.104, 97.106,

97.108, 97.128

Homeland Security Act of 2002, Public Law 107-296; Department of Homeland Security Appropriations Act of 2007, Public Law 109-295; Homeland Security



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- Presidential Directive HSPD-5-- 97.107
- Homeland Security Act of 2002, Public Law 107-296; as amended, the SAFE Port Act, Title V, Section 501 (a), Public Law 109-347-- 97.121
- Homeland Security Act of 2002, as amended, 6 U.S.C. 313(b)(2)(B); 314(a)(10); and 314 (a)(11)-- 97.131
- Housing Act of 1937, as amended; Omnibus Appropriations Act 2009-- 14.850
- Housing Act of 1937, as amended; Quality Housing and Work Responsibility Act of 1998, Omnibus Appropriations Act 2009-- 14.872
- Housing Act of 1937; Omnibus Appropriations Act 2009-- 14.856
- Housing Act of 1937; Omnibus Appropriations Act of 2009, Consolidated and Further Continuing Appropriations Act of 2012-- 14.871
- Housing Act of 1949-- 10.410
- Housing Act of 1949, Title V, Section 504, as amended, Public Laws 89-117, 89-754, and 92.310, 42 U.S.C. 1474.-- 10.417
- Housing Act of 1949, as amended, Section 515 and 521, Public Law 102-550, 42 U.S.C. 1485, 1490a.-- 10.415
- Housing Act of 1949, as amended, Section 521, Public Laws 90-448 and 93-128, 42 U.S.C. 1490a.-- 10.427
- Housing Act of 1949, as amended, Section 523, Public Laws 89-117 and 89-754, 42 U.S.C. 1490c.-- 10.420
- Housing Act of 1949, as amended, Section 533, Public Law 98-181, 42 U.S.C. 1480.-- 10.433
- Housing Act of 1949, as amended, Section 538, Public Law 106-569, 42 U.S.C. 1490p-2.-- 10.438
- Housing Act of 1949, as amended, Sections 514 and 516, Public Laws 89-117 and 89-754, 42 U.S.C. 1484 and 1486.-- 10.405
- Housing Act of 1949, as amended, Sections 514/516 and 515, and The Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2008 (Public Law 110-161)-- 10.447
- Housing Act of 1954, Public Law 83-560, 12 U.S.C. 1715(b), 1715(k)-- 14.122
- Housing Notice 00-07, dated April 28, 2000 (and subsequent extensions)-- 14.313
- Housing Opportunity Extension Act of 1996, Section 11, as amended.-- 14.247
- Housing and Community Development Act of 1974-- 14.218
- Housing and Community Development Act of 1974-- 14.228, 14.862
- Housing and Community Development Act of 1974, as amended-- 14.225, 14.248
- Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815-- 14.408
- Housing and Community Development Act of 1987, Section 561, Public Law 100-242, as amended; Housing and Community Development Act of 1992, Section 905, Public Law 102-550, 101 Stat. 1815.-- 14.416, 14.417, 14.418, 14.420
- Housing and Community Development Act of 1992-- 14.865
- Housing and Community Development Act of 1992, Section 542(b), Public Law 102-550, 12 U.S.C. 1701; Public Law 106-377. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily insurance program.-- 14.189
- Housing and Community Development Act of 1992, Section 542(c), Public Law 102-550, 12 U.S.C. 1707. HUD's fiscal year 2001 Appropriations Bill amended Section 235 of the Housing and Community Development Act of 1992 to extend the 542 Risk Sharing Program to a permanent multifamily mortgage insurance program.-- 14.188
- Housing and Urban Development Act of 1965, Public Law 89-117, 12 U.S.C. 1701(s)-- 14.149
- Housing and Urban Development Act of 1968 as amended. 12 U.S.C. 1701u-Economic Opportunities for Low-and Very Low-Income Persons; 42 U.S.C. 3535(d). 24 CFR Part 135.-- 14.419
- Housing and Urban Development Act of 1968, as amended.-- 14.169, 14.316
- Humane Slaughter Act-- 10.477
- Hunger Prevention Act of 1988, Public Law 100-435, 102 Stat. 1647; Public Law 101-624, 104 Stat. 3359; Public Law 104-193, 110 Stat. 2105; Public Law 104-127, 110 Stat. 1029; Public Law 107-171, 116 Stat. 330; Public Law 110-246, 122 Stat. 1882; American Recovery Act and Reinvestment Act of 2009, Public Law 111-5.-- 10.569
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- Immigration Act of 1990-- 17.273
- Immigration Reform and Control Act of 1986-- 17.273
- Immigration and Nationality Act of 1952, as amended, Sections 101 (a) (15) H (II), 214 (c) and 212 (a) (5) (A)-- 17.272
- Immigration and Nationality Act of 1952, as amended, Sections 101(a)(15)(H), 212(n), 214(c) and 214(i)-- 17.273
- Implementing Recommendation of the 9/11 Commission Act of 2007-- 97.108
- Implementing Recommendations of 9/11 Commission Act of 2007-- 97.067
- Implementing Recommendations of the 9/11 Commission Act of 2007-- 97.008
- Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53)-- 97.055
- Implementing Recommendations of the 9/11 Commission Act of 2007, Title III, Section 302 (Public Law 110-53), 6 U.S.C. 580-- 97.120
- Implementing Recommendations of the 9/11 Commission Act of 2007, sections 1406 and 1513 (P.L. 110-53; 6 USC 1135 and 1136); P.L. 111-5, American Recovery and Reinvestment Act of 2009-- 97.113
- Implementing Recommendations of the 9/11 Commission Act of 2007-- 97.075
- Improving the Quality and Efficiency of Health Care-- 93.518
- Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.-- 15.043
- Indian Environmental General Assistance Program Act-- 66.110, 66.310
- Indian Environmental General Assistance Program Act of 1992-- 66.926
- Indian Environmental Regulatory Enhancement Act of 1990-- 93.581
- Indian Financing Amendments Act of 2002, Title IX Rocky Boys/North Central Montana Regional Water System Act of 2002, Pub. L. 107-331.
- FOR RECOVERY ACT:
- American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5)-- 15.525
- Indian Health Care Amendments of 1988-- 93.164
- Indian Health Care Improvement Act-- 93.123, 93.193, 93.231, 93.954, 93.971, 93.972
- Indian Health Care Improvement Act, Title I, Sections 202, 112, 114, and 122, Public Law 94-437, as amended, Public Laws 96-537, 100-713, and 102-573.-- 93.970
- Indian Reorganization Act Amendments-- 93.612
- Indian Self-Determination and Education Assistance Act-- 93.441
- Indian Self-Determination and Education Assistance Act (ISDEAA)-- 93.210, 93.444
- Indian Self-Determination and Education Assistance Act, Public Law 93-638, Title I, 25 U.S.C. 450 est. seq., as amended; and statutory authorities that authorize each specific project. Assistance Act; American Recovery and Reinvestment Act of 2009 (ARRA) (P.L. 111-5)-- 15.534
- Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.-- 15.024
- Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq., Public Law 103-413, Title II Tribal Self-Governance Act, Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001; Tribally Controlled Schools Act, Public Law 100-297, and 25 U.S.C. 2501.-- 15.047
- Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.-- 15.042, 15.044, 15.046, 15.151

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Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450 et seq.; Indian Education Amendments of 1978, Public Law 95-561, 25 U.S.C. 2001 et seq.; Tribally Controlled Schools Act, 25 U.S.C. 2501 et seq.; The No Child Left Behind Act of 2001, Public Law 107-110, 20 U.S.C. 7401 et seq.-- 15.149

Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450.-- 15.133

Indian Self-Determination and Education Assistance Act, Title 1, Section 102, Public Law 93-638-- 93.722

Indian Self-Determination and Education Assistance Act, Title IV, Public Law 93-638, as amended, 25 U.S.C. 458 aa et seq.-- 15.022

Indian Self-Determination and Education Assistant Act-- 15.241

Indian Tribal Justice Technical and Legal Assistance Act of 2000-- 16.815

Indian Tribal Justice Technical and Legal Assistance Act of 2000; Statue 2778; Public Law 106-559 Title II Indian Tribal Court, Section 201 (a) (25 USC 3681)-- 16.608

Individuals with Disabilities Education Act-- 84.325

Individuals with Disabilities Education Act (IDEA), as amended-- 84.323, 84.327, 84.329

Individuals with Disabilities Education Act (IDEA), as amended, 20 U.S.C. 1431-1444-- 84.181

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Section 619; 20 U.S.C. 1419.-- 84.173

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Sections 611(c) and 616(i), 20 U.S.C 1411.-- 84.373

Individuals with Disabilities Education Act (IDEA), as amended, Part B, Sections 611-618-- 84.027

Individuals with Disabilities Education Act (IDEA), as amended, Part D, Subpart 2, Section 663-- 84.326

Individuals with Disabilities Education Act (IDEA), as amended.-- 84.328

Indoor Radon Abatement Act-- 66.032

Integrated Coastal and Ocean Observation System Act of 2009-- 11.012

Interjurisdictional Fisheries Act of 1986-- 11.407

Internal Revenue Code-- 21.004

Internal Revenue Code of 1986, as amended, Section 51-- 17.271

Internal Revenue Code, as amended-- 21.008

Internal Revenue Code, as amended, 26 U.S.C. 7801.-- 21.003

International Carriage of Perishable Foodstuff Act of 1982-- 10.167

International Forestry Cooperation Act of 1990, Act of November 4, 1990, Public Law 101-513, Title VI; 104 Stat. 2070; 16 U.S.C 4501 (note), 4501-4503, 4503a-d, 4504-4505.-- 10.684

### J

Jobs Training Bill-- 93.667

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4103A; as amended by Public Law (P.L.) 107-288, P.L. 109-461, and P.L. 111-275.-- 17.801

Jobs for Veterans Act; Title 38, Part III, Chapter 41, Section 4104; as amended by Public Law (P.L.) 107-288, P.L. 109-461, and P.L. 111-275.-- 17.804

Johnson-O'Malley Act of April 16, 1934; as amended, 25 U.S.C. 452; Indian Self Determination and Education and Assistance Act, Public Law 93-638; 25 U.S.C. 455-457.-- 15.130

Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law 103-340, 108 Stat. 3119-3120, 16 U.S.C. 719; Reauthorization of the Junior Duck Stamp Conservation and Design Program Act of 1994, Public Law 106-316, 114 Stat. 1276, 16 U.S.C. 719, Fish and Wildlife Act of 1956.-- 15.644

Juvenile Justice and Delinquency Prevention Act of 1974-- 93.550

### K

Keweenaw NHPs Enabling Legislation

16 U.S.C. 410yy Specifically:

- 410yy-6 Cooperative Agreements: The Secretary, after consultation with the Commission, may enter into cooperative agreements with owners of property

within the park of nationally significant historic or other cultural resources in order to provide for interpretive exhibits or programs.

- 410yy-7(a) Financial and Technical Assistance: The Secretary may provide to any owner of property within the park containing nationally significant historic or cultural resources, in accordance with cooperative agreements or grant agreements, as appropriate, such financial and technical assistance to mark, interpret, and restore non-Federal properties within the park as the Secretary determines

appropriate to carry out the purposes of this subchapter.

- 410yy-8(a)(7) Keweenaw NHP Advisory Commission Establishment and Duties: The Commission shall be authorized to carry out historical, educational, or cultural programs which encourage or enhance appreciation of the historic resources in the park, surrounding areas, and on the Keweenaw Peninsula.-- 15.407

### L

Labor-Management Relations Act of 1947, as amended, Public Law 86-257, 29 U.S.C. 141 et seq.; Public Law 91-375, 39 U.S.C. 1201-1209; Public Law 93-95, 29 U.S.C. 186; Public Law 93-360, 29 U.S.C. 152, 158, 168, 169, 171, 183; Public Law 96-245, 29 U.S.C. 161 (4); Public Law 96-593; Public Law 97-375, 29 U.S.C. 153(c)-- 46.001

Labor-Management Reporting and Disclosure Act of 1959-- 17.309

Lake Pontchartrain Basin Restoration Act of 2000-- 66.125

Lake Tahoe Restoration Act, Public Law 106-506, as amended by Department of the Interior and Related Agencies Appropriations Act for Fiscal Year 2004, Public Law 108-108. New legislation has been introduced in Congress for LTRA reauthorization and revision, but it has not yet been adopted. Adoption of the new updated LTRA would aid in continuation of funding.-- 10.690

Land and Water Conservation Fund Act of 1965-- 15.660

Legislative Authority: Section 1273 of the Public Health Service Act, (42 U.S.C. 300d 73 ), as amended by P. L. 110-377, the Poison Center Support, Enhancement, and Awareness Act of 2008-- 93.253

Legislative authority based on U. S. Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-666; Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a; Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; and/or specific Congressional action, generally through the annual Appropriations Act, i.e., The Department of the Interior, Environment, and Related Agencies Appropriations Act, that cites new or relevant environmental and/or conservation statutes and activities for a defined purpose consistent with the mission, expertise, and goals of the Agency.-- 15.664

Legislative authority for this program is contained in section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152). USDA/NIFA administers this federal assistance grant program to support food and agricultural sciences baccalaureate and Doctor of Veterinary Medicine (D.V.M.) degree training of the next generation of scientists, policy makers, and educators in the Food and Agricultural Sciences. USDA initiated the Higher Education Multicultural Scholars Program in FY 1994. This program, functioning collaboratively with eligible higher education institutions, is developing intellectual capital to secure the preeminence of U.S. food and agricultural systems.-- 10.220

Longshore and Harbor Workers' Compensation Act as extended-- 17.302

Low Income Home Energy Assistance Act of 1981, as amended.-- 93.568

Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2000, Public Law 106-576, as amended; Lower Rio Grande Valley Water Resources Conservation and Improvement Act of 2002, Public Law 107-351.-- 15.521

### M

MLK Legislation Authorization pp: 121-122-- 94.007

Magnuson Fishery Conservation and Management Act-- 11.433, 11.454

Magnuson-Stevens Fishery Conservation and Management Reauthorization Act of 2006-- 11.463

Magnuson-Stevens Fishery Conservation and Management Act,-- 11.437,

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- 11.441  
Maine Turtle Conservation Act of 2004-- 15.645  
Manufactured Housing Construction and Safety Standards Act as amended by the Manufactured Home Improvement Act of 2000-- 14.171  
Marine Debris Research, Prevention, and Reduction Act-- 11.463  
Marine Mammal Act of 1972-- 11.439  
Marine Mammal Protection Act-- 11.463  
Marine Mammal Protection Act of 1972, as amended-- 15.656  
Marine Mammal Rescue Assistance Act of 2000-- 11.439  
Marine Protection, Research and Sanctuaries Act-- 66.203, 66.310, 66.608  
Marine Protection, Research and Sanctuaries Act of 1972-- 66.313, 66.931  
Marine Protection, Research, & Sanctuaries Act-- 66.110  
Marine Protection, Research, and Sanctuaries Act-- 66.035, 66.128, 66.309, 66.510, 66.511, 66.517, 66.604, 66.609, 66.610  
Marine Protection, Research, and Sanctuaries Act of 1972-- 11.426, 11.429  
Maritime Education and Training Act-- 20.806, 20.807  
Maritime Transportation Security Act (46 U.S.C. Section 70107); Public Law 111-5, American Recovery and Reinvestment Act of 2009-- 97.116  
Materials Act of 1947, Public Law 80-291, 30 U.S.C. 601-604, 611, as amended-- 15.214  
Mc Kinney-Vento Homeless Assistance Act (42 U.S.C. 11381-11389, Title IV, Subtitle C, as amended-- 14.267  
McKinney-Vento Homeless Assistance Act of 1987, Title IV, Subtitle C, as amended-- 14.235  
McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended, 42 U.S.C. 11371-78-- 14.231  
McKinney-Vento Homeless Assistance Act of 1987, Title IV, as amended-- 14.249  
McKinney-Vento Homeless Assistance Act, Title VII, Subtitle B-- 84.196  
Medicaid and Medicare Patient and Program Act of 1987; Omnibus Budget Reconciliation Act of 1987-- 93.667  
Medicare & Medicaid Extenders Act of 2010-- 93.237  
Medicare Improvements for Patients and Providers Act of 2008-- 93.237, 93.442  
Medicare Prescription Drug, Improvement, and Modernization Act of 2003-- 93.715  
Medicare Prescription Drug, Improvement, and Modernization Act of 2003, Public Law 108-73, Section 1011; Medicare Modernization Act (MMA)-- 93.784  
Medicare, Medicaid, and SCHIP Extension Act of 2007-- 93.442  
Merchant Marine Act-- 11.415  
Merchant Marine Act of 1936-- 20.803, 20.808, 20.812  
Meteorological Services-- 11.440  
Meteorological Services to Aviation-- 11.462, 11.467, 11.468  
Middle Class Tax Relief and Job Creation Act of 2012-- 57.001  
Mine Improvement and New Emergency Response Act of 2006 (MINER Act)-- 17.603  
Mineral Lands Leasing Act, 30 U.S.C. 191, 275, 286 and 355, Public Law 85-88, as amended; Taylor Grazing Act, 43 U.S.C. 315i and 315m, Section 15; as amended, 48 Stat. 1275; Executive Orders 10322, 10787, 10890, and 10046, Section 15; Taylor Grazing Act, 43 U.S.C. 315i, and 315m, Section 15, 43 U.S.C. 315b, Section 3; 48 Stat. 1270 and 1275; The Department of the Interior and Related Agencies Appropriations Act of 1981, 42 U.S.C. 6508, Public Law 96-514, 94 Stat. 2964; Outer Continental Shelf Lands Act, 43 U.S.C. 1337, 67 Stat. 462, as amended; Lake Tahoe Basin-U.S. Lands-Disposal and Acquisition, Sections 1 and 2, Public Law 96-586, 94 Stat. 3381-3382; Federal Land Policy and Management Act of 1976, Title I, Section 102, Public Law 94- 579, 90 Stat. 2744; Southern Nevada Public Land Management Act of 1998, 31 U.S.C. 6901, Public Law 105-263, 90 Stat. 2343; Lincoln County Land Act of 2000, Public Law 106-298; 30 U.S.C. 230, 62 Stat. 576; 65 Stat. 248; Public Buildings Omnibus Act, 30 U.S.C. 603; Money and Finance, 31 U.S.C. 711 and 717, Public Law 97-258, 96 Stat. 889 and 893; National Reclamation Law, 43 U.S.C. 391, 32 Stat. 388; Chapter 139, 18 Stat. 474; 58 Stat. 745; 65 Stat. 252; Department of the Interior and Related Agencies Appropriations Act of 1993, Title I, Public Law 102-381, 106 Stat. 1378; Federal Land Transaction Facilitation Act, Title II, Public Law 106-248, 106 Stat. 613; Public Law 85-569, 7 U.S.C. 1012, 72 Stat. 348; Federal Land Policy and Management Act of 1976, Title II, Section 213, Public Law 94-579, 90 Stat. 2760, Mineral Revenue Payments Clarification Act of 2000, Title V, Public Law 106-393-- 15.227  
Minerals, Lands and Mines-- 15.819  
Minerals, Lands and Mining-- 15.429, 15.430, 15.436  
Minerals, Lands and Mining, 30 U.S.C. 191(a), 355(b)-- 15.433  
Mississippi National River and Recreation Area, Public Law 100-696; 704(a) 16 USC section 460 zz 5(a) - Grants, Public Law 100-696; 704(a) 16 U.S.C. section 460 zz 5(b) - Cooperative Agreements, and Public Law 100-696; 704(a) 16 U.S.C. section 460 zz (c) - Technical Assistance-- 15.941  
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Mni Wiconi Rural Project Act of 1988, Public Law 100-516, as amended; Yavapai-Prescott Indian Tribe Water Rights Settlement Act of 1994, Title VIII, Mni Wiconi Act Amendments of 1994, Public Law 103-434; American Recovery and Reinvestment Act of 2009-- 15.522  
Motor Carrier Act of 1991-- 20.218  
Motor Carrier Safety Act of 1992-- 20.239  
Motor Carrier Safety Reauthorization Act of 2005-- 20.218  
Moving Ahead for Progress in the 21st Century (P.L. 112-141), Title I- Motor Vehicle and Highway Safety Improvement Act of 2012, Section 31105-- 20.616  
Multinational Species Conservation Act of 2007-- 15.620  
Mutlinational Species Conservation Act of 2007-- 15.619  
Mutual Educational and Cultural Exchange Act of 1961, as amended-- 84.018, 84.021, 84.022
- ### N
- N/A-- 93.065  
NIH Reauthorization Act of 1993, Public Health Service Act, Section 503: Subpart 2, Part C, Title IV, Section 424, 42 U.S.C. 285b et seq-- 93.233  
NIH Revitalization Act of 1993-- 93.313  
NOAA Authorization Act of 1992-- 11.457  
NOTES and related authorization legislation for individual National Heritage Areas, 16 U.S.C 461a-- 15.939  
National Affordable Housing Act 1990-- 14.239  
National Affordable Housing Act, Section 808, Public Law 101-625, as amended; Housing and Community Development Act of 1992, 42 U.S.C. 13632, Public Law 104-104, as amended; American Homeownership and Economic Opportunity Act of 2000, Section 851, Public Law 106-569, approved December 27, 2000-- 14.191  
National Agricultural Research, Extension, and Teaching Act of 1977, as amended, 7 U.S.C. 3318(b), 3319(a), and 3291, Food Security Act of 1985, as amended, Public Law 99-198-- 10.613  
National Agricultural Research, Extension, and Teaching Policy Act-- 10.325  
National Agricultural Research, Extension, and Teaching Policy Act (7 U.S.C. 3319i) as amended by section 7138 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246)-- 10.326  
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National Agricultural Research, Extension, and Teaching Policy Act of 1977

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enacted as Title XIV of the Food and Agriculture Act of 1977, 7 U.S.C. 3319(a), 7 U.S.C. 3318(b), and 3291. Title 7, Agriculture, Chapter 64, Agricultural Research, Extension, and Teaching, Subchapter VIII, International Research, Extension, and Teaching, as amended on February 1, 2010.-- 10.961

National Agricultural Research, Extension, and Teaching Policy Act of 1977, Section 1433, Public Law 95-113, as amended; Section 1429, Public Law 97-98; Public Law 99-198; Public Law 101-624; Public Law 104-127; Public Law 105-185.-- 10.207

National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended; Food and Agriculture Act of 1977.-- 10.960

National Agriculture Research, Extension, and Teaching Policy Act of 1977-- 10.585

National Agriculture Research, Extension, and Teaching Policy Act of 1977, Section 1403(8), 7 U.S.C. 3102-- 10.586

National Apprenticeship Act of 1937 (Fitzgerald Act)-- 17.201

National Climate Program Act-- 11.431, 11.432, 11.440, 11.459

National Defense Authorization Act for Fiscal Year 2010-- 12.801

National Defense Authorization Act of 2010-- 12.579

National Energy Conservation Act-- 81.137

National Energy Conservation Policy Act of 1978, Public Law 95-619 and Public Law 101-440-- 81.041

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National Environmental Policy Act-- 66.035, 66.042, 66.310, 66.313, 66.424, 66.436, 66.440, 66.469, 66.600, 66.608, 66.609, 66.610, 66.611, 66.716, 66.931

National Environmental Policy Act of 1969-- 66.034, 66.037, 66.509, 66.510, 66.511, 66.513, 66.514, 66.516, 66.517

National Fish and Wildlife Foundation Establishment Act (16 U.S.C. 3701-3709, Public Law 98-244, March 26, 1984, 98 Stat. 107, as amended by Public Law 100-240, January 11, 1988, 101 Stat. 1785, Public Law 100-653, November 14, 1988, 102 Stat. 3834; and Public Law 103-232, 108 Stat. 336)-- 15.663

National Fisheries Research and Development Program-- 11.454

National Flood Insurance Act of 1968, as amended-- 97.023

National Flood Insurance Reform Act of 1994-- 97.045

National Forest Foundation Act, Public Law 101-593-Title IV-Nov. 16, 1990, as amended by Public Law 103-106 Oct. 12, 1993. Omnibus Consolidated and Emergency Supplemental Appropriations Act, Public Law 105-277, Title II, Oct. 21, 1998.-- 10.682

National Foundation on the Arts and the Humanities Act of 1965, as amended-- 45.024

National Foundation on the Arts and the Humanities Act of 1965, as amended-- 45.025, 45.130, 45.163, 45.201

National Foundation on the Arts and the Humanities Act of 1965, as amended-- 45.149

National Foundation on the Arts and the Humanities Act of 1965, as amended, Public Law 89-209, 20 U.S.C. 951 et seq.-- 45.129, 45.160, 45.161, 45.162, 45.164, 45.169

National Geologic Mapping Reauthorization Act of 2009, Public Law 111-11.-- 15.810

National Historic Preservation Act Amendments of 1992, Public Law 102-575, Section 405, 16 U.S.C. 470x.-- 15.923

National Historic Preservation Act of 1966 (Public Law 89-665; 16 U.S.C. 470 et seq.). Subsequent amendments to the Act include Public Laws 91-243, 93-54, 94-422, 94-458, 96-199, 96-244, 96-515, 98-483, 99-514, 100-127, 102-575, 103-437, 104-333, 106-113, 106-176, 106-208, 106-355, 109-453.

Archaeological Resources Protection Act of 1979 (Public Law 96-95; 16 U.S.C. 470aa-mm)

Native American Graves Protection And Repatriation Act of 1990 (Public Law 101-601)

Comprehensive Environmental Response, Compensation, and Liability Act (Superfund) of 1980 42 U.S.C. 9601 et seq.

Solid Waste Disposal Act of 1965, (Public Law 102-386; 42 U.S.C 6961), Section 6001

Atomic Energy Act of 1954 as amended, Public law 83-703; Stat. 9191: 42 U.S.C. 2011 et seq; Department of Energy Organization Act, 42 U.S.C. 7101 Public Law 95-91

Emergency Planning and Community Right to Know Act (42 U.S.C. 11001-11050) of 1986 (Title III of Superfund Amendments and Reauthorization Act (PL 99-499)

Energy Policy Act of 1992

Freedom of Information Act and Privacy Act, 5 U.S.C. 552 and 5 U.S.C. 552a-- 81.214

National Historic Preservation Act of 1966, Public Law 89-665, as amended; Archaeological and Historic Preservation Act of 1974, Public Law 93-291 and 16 U.S.C. 469-469c.-- 15.511

National Historic Preservation Act of 1966, as amended, Public Law 89-665, 16 U.S.C. 470, 80 Stat. 915 et seq.; Executive Order 11593, May 13, 1971; Tax Reform Act of 1976, Public Law 94-455; Public Law 94-442; 90 Stat. 1519; Revenue Act of 1978; Public Law 95-600; National Historic Preservation Act Amendments of 1980; Public Law 96-515; Tax Treatment Extension Act of 1980; Public Law 96-541; Economic Recovery Tax Act of 1981, Public Law 97-340; Tax Reform Act of 1984, Public Law 98-369; Tax Reform Act of 1986, Public Law 99-514; National Historic Preservation Act Amendments of 1992, Public Law 102-575; Executive Order 13287, March 3, 2003.-- 15.914

National Housing Act-- 14.119, 14.123, 14.159, 14.172, 14.175, 14.183

National Housing Act, Section 221(d), 12 U.S.C. 1751(d); Section 223(g), 12 U.S.C. 1715 (g)-- 14.184

National Housing Act, Section 223(f), as amended; Housing and Community Development Act of 1974, as amended, Public Law 93-383. 12 U.S.C. 1715n.-- 14.155

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703-- 14.162

National Housing Act, Title I, Section 2, as amended, 12 U.S.C. 1703.-- 14.110, 14.142

National Housing Act, as amended 12 U.S.C. 1710, Sections 203(b), 203(k), 204, 24 CFR 291.-- 14.311

National Housing Act, as amended, Public Law 90-448, as amended, Public Law 91-152, 12 U.S.C. 1715x.-- 14.167

National Housing Act, as amended, Section 203(b) requirements-- 14.133

National Housing Act, as amended, Section 203(b), Public Law 73-479, 12 U.S.C. 1709, 1715(b)-- 14.117

National Housing Act, as amended, Section 203(k)-- 14.108

National Housing Act, as amended, Section 207, Public Law 75-424, 12 U.S.C. 1713.-- 14.134

National Housing Act, as amended, Section 207, Public Law 84-345, 12 U.S.C. 1713.-- 14.127

National Housing Act, as amended, Section 213; Housing Act of 1950, Public Law 81-475; Housing Act of 1956, Public Law 84-1020, 12 U.S.C. 1715(e); Public Law 91-152, 83 Stat. 379, 383; Public Law 84-345, 69 Stat. 635; Public Law 87-70, 75 Stat. 149, 179; Public Law 86-372, 73 Stat. 654, 656; Public Law 89-117, 79 Stat. 451, 469; Public Law 89-754, 80 Stat. 1255-66.-- 14.126

National Housing Act, as amended, Section 220, Public Law 83-560, 12 U.S.C. 1745(k)-- 14.139

National Housing Act, as amended, Section 221, Public Law 86-372, 12 U.S.C. 1715(1)-- 14.135

National Housing Act, as amended, Section 231, Public Law 86-372, 73 U.S.C. 654, 12 U.S.C. 1715(V)-- 14.138

National Housing Act, as amended, Section 232; Housing Act of 1959, as amended, Public Law 86-372; Housing and Urban Development Act of 1969, Public Law 91-152, 73 Stat. 654, 83 Stat. 379; Public Laws 95-128, 95-557, 96-153, and 98-181-- 14.129

National Housing Act, as amended, Section 236, Public Law 90-448, 12 U.S.C. 1715.-- 14.103

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National Marine Sanctuaries Amendments Act of 2000-- 11.429  
National Marine Sanctuaries Preservation Act of 1996-- 11.429  
National Ocean Pollution Planning Act of 1978-- 11.426  
National Park Service Organic Act, 16 U.S.C. 1 to 16 Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271-1287 as amended, Public Law 90-542; National Trails System Act, 16 U.S.C. 1241 as amended, Public Law 90-543; Outdoor Recreation Act of 1963, 16 U.S.C. 4601-3, Public Law 88-29; Federal Power Act, 16 U.S.C. 797-828c.-- 15.921  
National School Lunch Act, as amended, 42 U.S.C. 1769-- 10.582  
National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.-- 47.041  
National Science Foundation Act of 1950, as amended, 42 U.S.C. 1861 et seq.-- 47.075, 47.076  
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National Security Act section 192A(n)(4)-- 12.598  
National Service Life Insurance Act-- 64.031  
National and Community Service Act of 1990 as amended-- 94.007  
National and Community Service Act of 1990, as amended 42 U.S.C. 12653k-- 94.019  
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Nationals Defense Authorization Act, 2010-- 20.817  
Native American Graves Protection and Repatriation Act of 1990 (NAGPRA)-- 15.922  
Native American Housing Assistance and Self-Determination Reauthorization Act (NAHASDA) of 2008-- 14.869  
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Native American Programs Act of 1974 (NAPA)-- 93.612  
Native Hawaiian Health Care Improvement Act (42 USC 11705 and 11706), Public Law 102-396, as amended by P.L. 111-148, Section 10221-- 93.932  
Navigation and Navigable Waters-- 11.008, 11.431, 11.478  
Navigation and Navigable Waters-- 11.432, 11.440, 11.473, 11.478  
Neotropical Migratory Bird Conservation Act of 2000, Public Law 106-247, 16 U.S.C. 6101.-- 15.635  
New Bedford Whaling National Historic Park - U. S.C.; 410ddd(e)(2)-- 15.940  
None-- 10.350, 10.856  
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North American Wetlands Conservation Act, Public Law 101-233, as amended, 16 U.S.C. 4401.-- 15.623  
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Nuclear Forensics and Attribution Act (P.L. 111-140; Sec. 4(a)(12)).-- 97.130

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OMB 7 CFR 1493-- 10.610  
OMH is authorized to conduct this program under 42 U.S.C. Section 300 u-6, Section 1707 of the Public Health Service Act, as amended-- 93.004, 93.006, 93.137, 93.910  
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Older Americans Act of 1965, Title III, Parts A and B, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 89 Stat. 301; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat 713; Public Law 95- 65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Section 705, Public Law 100-628; 42 U.S.C. 3022-3030d; Public Law 106-501.-- 93.044  
Older Americans Act of 1965, Title III, Parts A and F, Public Law 89-73, as amended; Public Law 90-42, 81 Stat. 106; Public Law 91-69, 83 Stat. 108; Public Law 93-29, 87 Stat. 30; Public Law 93-351, 88 Stat. 357; Public Law 94-135, 89 Stat. 713; Public Law 95-65, 91 Stat. 269; Public Law 95-478, 92 Stat. 1513; Public Law 97- 115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100- 175, 101 Stat. 926; Section 705, Public Laws 100-628, 102-375, and 106-501, 42 U.S.C. 3022-3030(M).-- 93.043  
Older Americans Act of 1965, Title IV, Public Law 89-73, 79 Stat. 218, as amended; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Public Law 100-628, 42 U.S.C. 3031-3037b; Public Law 102-375; Public Law 106-501.-- 93.048  
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Older Americans Act of 1965, as amended.-- 93.706  
Older Americans Act of 2006-- 17.235  
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Omnibus Appropriation Act 2009-- 14.866  
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Omnibus Crime Control and Safe Streets Act of 1968, Section 201, as amended; Anti-Drug Abuse Act of 1988, Public Law 100-690.-- 16.560

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Omnibus Public Land Management Act of 200, Public Law 111-11, Title IX, Section 9401-9404.

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Outer Continental Shelf (OCS) Lands Act, 43 U.S.C. 1331, Gas Hydrates Research Act and the Marine Minerals Research Act.-- 15.428

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P.L. 110-161, Consolidated Appropriations Act of 2008: (c) In compliance with applicable Federal and State laws, the Secretary (acting through the Commissioner of Reclamation), in collaboration with the Executive Committee, may enter into any grants, contracts, cooperative agreements, interagency agreements, or other agreements that the Secretary determines to be necessary to comply with the 2003 Biological Opinion described in section 205(b) of the Energy and Water Development Appropriations Act, 2005 (Public Law 108-447; 118 Stat. 2949) as amended by section 121(b) of the Energy and Water Development Appropriations Act, 2006 (Public Law 109-103; 119 Stat. 2256) or in furtherance of the objectives set forth in the collaborative program long-term plan.-- 15.537

PDMP EHR Integration and Interoperability cooperative agreements are authorized under Section 509 of the Public Health Service Act, as amended, and are financed by 2012 Prevention and Public Health Funds (PPHF-2012). This announcement addresses Healthy People 2020 Substance Abuse Topic Area HP 2020-SA.-- 93.748

PIPES Act Section 2(b), which added Section 60134 to the Pipeline Safety Law-- 20.720

Pacific Coast Salmon Treaty Act: Public Law-- 11.438

Pacific Coastal Salmon Recovery-- 11.438

Part D of Title III of the Public Health Service Act as amended, Subpart X, Primary Dental Programs, Section 340 G (42 U.S.C. 256g).-- 93.236

Part E of title I of the Omnibus Crime Control and Safe Streets Act of 1968 as amended Subpart 1 of such part (42 U.S.C. 3751-3759). Consolidated Appropriations Act, 2008, Public Law 110-161. Public Law 109-162, Title XI, Department of Justice Reauthorization, Subtitle B, Improving the Department of Justice's Grant Programs, Chapter 1, Assisting Law Enforcement and Criminal Justice Agencies, Section 1111. Merger of Byrne Grant Program and Local Law Enforcement Block Grant Program.-- 16.738

Partners for Fish and Wildlife Act-- 15.656

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Patient Protection and Affordability Care Act, Section 1101-- 93.529

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Patient Protection and Affordable Care Act of 2010, Title IV, Section 4101, Public Law 111-148.-- 93.501

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Paul Coverdell National Forensic Sciences Improvement Act of 2000, Public Law 106-561; as amended by Public Law 107-273; as amended by the Justice for All Act of 2004, Public Law 108-405.-- 16.742

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Public Law 106-246, as amended by Public Law 106-554, authorizes the reimbursement of county and municipal governments in the States of California, Texas, Arizona, and the New Mexico state government, for specific categories of expenses associated with the handling and processing of federally initiated controlled substances cases along the Southwest Border.-- 16.755  
Public Law 106-541, Water Resources Development Act of 2000, December 11, 2000; as amended, and Energy and Water Appropriations Acts.-- 15.540  
Public Law 107-67-- 95.004  
Public Law 108-137: Energy and Water Development Appropriations Act, 2004, Section 220: Not subject to fiscal year limitation, the Secretary of the Interior is hereafter authorized to implement, and enter into financial assistance or other agreements as may be necessary to undertake such activities identified for implementation (including construction) generally in accordance with section III of, and the Pumping/Dam Removal Plan as defined in, United States District Court Consent Decree United States, et al., v. Grants Pass Irrigation District, Civil No. 983034HO (August 27, 2001). There are authorized to be appropriated such sums as may be necessary to carry out this provision, and activities conducted under this provision shall be nonreimbursable and nonreturnable-- 15.561  
Public Law 108-414, Mentally Ill Offender Treatment and Crime Reduction Act;  
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Public Law 108-7, Sec. 713, 117 Stat. 39-- 10.479  
Public Law 110-161, Organic Act 1879, 43 U.S.C. 31-- 15.815  
Public Law 111-11, Omnibus Public Land Management Act of 2009, Subtitle F, Secure Water, Section 9504(b)(42 USC 10364) and Fish and Wildlife Coordination Act of 1934, Public Law 85-624, 16 U.S.C. 661 et seq., as amended, and Section 7(a) of the Fish and Wildlife Coordination Act (FWCA) (70 Stat 1122; 16 U.S.C. 742f(a)); as limited and delegated by the Secretary of the Interior delegation of authority to the Bureau of Reclamation at 255 DM 1.1B.-- 15.557  
Public Law 111-11, Omnibus Public Land Management Act of 2009, Title X, Subtitle A, Part I, San Joaquin River Restoration Settlement Act (123 Stat. 1349)-- 15.555  
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Public Law 93-320, 59 Stat. 1219, 43 U.S.C. 1571-1573 and U.S.C. 1592(c), as amended; Sec. 2, Public Law 104-20, 43 U.S.C. 1592; Title III, Subtitle D, Chapter 4, Public Law 104-127, 110 Stat. 1006; Public Law 106-459, 114 Stat. 1987; and American Reinvestment Act of 2009, Public Law 111-5.-- 15.509  
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- Richard B. Russell National School Lunch Act, as amended, 42 U.S.C. 1751, 1758, 1759a, 1761, 1765, 1766, 1769, 1772, 1773, 1779; School Breakfast Program (SBP); Child Nutrition Act of 1966, as amended, Public Laws 108-265, 104-193, 100-435, 99-661, 97-35; Special Milk Program (SMP); Child Nutrition Act of 1966, as amended; Child and Adult Care Food Program (CACFP); 89 Stat. 522-525, Summer Food Service Program (SFSP); Public Law 111-5. The 2010 Agriculture Appropriations Act (Public Law 111-80)-- 10.579
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Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3121), designates the U. S. Department of Agriculture (USDA) as the lead Federal Agency for agricultural research, extension, and teaching in the food and agricultural sciences. Authority for this program is contained in the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note), as amended by the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7601 note). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture may award competitive grants, as defined in section 536 of the Equity in Educational Land Grant Status Act of 1994 (7 U.S.C. 301 note), to assist the 1994 Land-Grant Institutions in conducting agricultural research that addresses high priority concerns of tribal, national or multi-state significance.-- 10.227

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S.

Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)).-- 10.226

Section 1405 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, (7 U.S.C. 3121) designates the U.S.

Department of Agriculture (USDA) as the lead Federal agency for agriculture research, extension and teaching in the food and agricultural sciences. Section 7109 of the Food, Conservation, and Energy Act of 2008 (P.L. 110-246) amends the authority for this program contained in section 1417(j) of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (7 U.S.C. 3152(j)). In accordance with the statutory authority, subject to the availability of funds, the Secretary of Agriculture (USDA), who has delegated the authority to the Director of the National Institute of Food and Agriculture (NIFA), will award grants to: (a) promote and strengthen secondary and 2-year postsecondary agriscience and agribusiness education, and Agriculture in the K-12 Classroom, in order to help ensure the existence in the United States of a qualified workforce to serve the food and agricultural sciences system; and (b) promote complementary and synergistic linkages among secondary, 2-year postsecondary, and higher education programs in the food and agricultural

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sciences in order to attain excellence in education and to encourage more young Americans to pursue and complete a baccalaureate or higher degree in the food and agricultural sciences.-- 10.226

Section 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), enacted as Title XIV of Public Law 95113 (The Food and Agriculture Act of 1977) on Sept. 29, 1977 is also known as the Evans-Allen Research Program. This law provides the basis for Federal funding for agricultural research activities at 1890 Land-Grant Institutions under the Act of August 30, 1890 (26 Stat. 417419, as amended; 7 U.S.C. 321326 and 328), including Tuskegee University and West Virginia State University. Amended by Public Law 95-547, Public Law 97-98, Public Law 99-198, Public Law 101-624, Public Law 104-127 and Public Law 105-185.-- 10.205

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Section 229 of the Agricultural Research, Extension and Education Reform Act of 1998 (AREERA) amended Section 1459 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. Section 3292b) to authorize the Secretary of Agriculture to make competitive grants to colleges and universities in order to strengthen United States economic competitiveness and to promote international market development.

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Section 3508 National Defense Authorization Act-- 20.814

Section 399M of the PHS Act, (42 U.S.C. 280g-1), as amended by the Early Hearing Detection and Intervention Act of 2010-- 93.251

Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626), as reauthorized by Section 7306 of the Food, Conservation, and Energy Act of 2008 (FCEA) (Public Law 110-246), authorized the Secretary of Agriculture to establish a competitive grants program that provides funding for integrated, multifunctional agricultural research, extension, and education activities. Subject to the availability of appropriations to carry out this program, the Secretary may award grants to colleges and universities [as defined by section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3103)], as amended, on a competitive basis for projects that address priorities in United

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States agriculture and involve integrated research, education, and extension activities, as determined by the Secretary in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB). Section 7129 of the FCEA amended section 406(b) of AREERA (7 U.S.C. 7626(b)), adding Hispanic-serving agricultural colleges and universities (HSACUs) as eligible entities for competitive funds awarded under this authority (see Part III.B. of RFA for more information).-- 10.303

Section 4128 of the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) Public Law 109-59, 119 Stat. 1144 (2005), as amended.-- 20.234

Section 417C of the Public Health Service Act, 42 U.S.C. 285a-9, as amended by the Radiation Exposure Compensation Act Amendments of 2000 (P. L. 106-245)-- 93.257

Section 439 of the Social Security Act as amended by the Child and Family Services Improvement Act of 2006 (<http://www.acf.hhs.gov/programs/fysb/content/aboutfysb/documents>)-- 93.616

Section 487 of the Public Health Service Act and Division D, Title II, Section 218 of the Consolidated Appropriations Act of 2010, Public Law 111-117-- 93.186

Section 5 of the Assistive Technology Act of 1998, as amended,-- 84.343

Section 5 of the Farmer-to-Consumer Direct Marketing Act of 1976, Public Law 94-463, as amended by Section 10605 of the Farm Security and Rural Investment Act of 2002, Public Law 107-171.-- 10.168

Section 5102 of the Affordable Care Act; and section 4002 of the Patient Protection and Affordable Care Act, Public Law 111-148-- 93.509

Section 514 of the Multifamily Assisted Housing Reform and Affordability Act of 1997 (MAHRA)-- 14.322

Section 515 of the Consolidated Natural Resources Act of 2008 (Public Law 110-229)-- 15.544

Section 522(d) of the Agricultural Risk Protection Act of 2000; 7 U.S.C. 1501 section 522(d)-- 10.456

Section 601 of the Passenger Rail Investment and Improvement Act of 2008-- 20.524

Section 6043, Emergency Room Co-payments for Non-Emergency Care, Deficit Reduction Act of 2005, Public Law 109-171, enacted February 8, 2006.-- 93.790

Section 6063, Deficit Reduction Act of 2005, Public Law 109-171.-- 93.789

Section 6071, Deficit Reduction Act of 2005, Public Law 109-171; Section 2403, Affordable Care Act, Public Law 111-148.-- 93.791

Section 611 of the Prosecutorial Remedies and Other Tools to end the Exploitation of Children Today Act of 2003 (PROTECT Act), Public Law 108-21, 42 U.S.C. 13975, as amended,-- 16.736

Section 632(a) of the Foreign Assistance Act of 1961 (22 U.S.C. 2151)-- 10.324

Section 634 of the Foreign Assistance Act of 1961, as amended-- 19.124

Section 634 of the Foreign Assistance Act of 1961, as amended.-- 19.750

Section 662 of the Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA) (Public Law 109-295), as amended by section 201 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (hereafter 9/11 Act) (Public Law 110-53); and the Robert T. Stafford Disaster Relief and Emergency Assistance Act, (Public Law 93-288), as amended, 42 U.S.C. 5121-5207, sections 201, 611(j) and 613; 42 U.S.C. 5131, 5196(j), and 5196b, respectively; specifically, the National Flood Insurance Act of 1968 (42 U.S.C. 4001 et seq.), the Earthquake Hazards Reduction Act of 1977 (42 U.S.C. 7701 et seq.), and Reorganization Plan No. 3 of 1978 (5 U.S.C. App.)-- 97.042

Section 7106 of the Food, Conservation, and Energy Act (FCEA) of 2008 (Public Law 110-246) amends the legislative authority for this program contained in Section 1417 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA) (99 Stat. 1548; 7 U.S.C. 3152) to include the University of the District of Columbia as an eligible applicant.-- 10.210

Section 712(c) of the American Jobs Creation Act of 2004, P.L. 108-357-- 93.365

Section 7204 of the Food Conservation, and Energy Act of 2008 (FCEA) (Public

Law 110-246) amends section 1672 of the Food, Agriculture, Conservation and Trade Act of 1990 (FACT) (7 U.S.C. 5925) to authorize the Secretary of Agriculture to make competitive grants to support research and extension activities. The Secretary shall make these grants in consultation with the National Agricultural Research, Extension, and Education, and Economics Advisory Board.-- 10.318

Section 7206 of the Food, Conservation, and Energy Act of 2008 (FCEA) amended section 1672B of the Food, Agriculture, Conservation, and Trade (FACT) Act of 1990 (7 U.S.C. 5925b) amending and re-authorizing the Organic Agriculture Research and Extension Initiative (OREI). The FACT Act, as amended, authorizes the Secretary of Agriculture, in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board (NAREEEAB), to make competitive grants to support research and extension activities regarding organically grown and processed agricultural commodities for eight legislatively-defined goals. See RFA Part I.B. for further general information and specific details.-- 10.307

Section 739 of the Public Health Service Act (42 USC 293c), (Educational Assistance in the Health Professions Regarding Individuals from Disadvantaged Backgrounds) as amended by Section 5402 of the Patient Protection and Affordable Care Act (P.L. 111-148)-- 93.822

Section 7405 of the Farm Security and Rural Investment Act of 2002, [7 U.S.C. 3319f].-- 10.311

Section 8 (x) of the United States Housing Act of 1937; Omnibus Appropriations Act 2009-- 14.880

Section 811 of the Cranston-Gonzalez National Affordable Housing Act (P.L. 101-625), as amended by the Frank Melville Supportive Housing Investment Act (P.L. 111-374)-- 14.326

Section 811 of the Public Health Service Act (42 U.S.C. 296j), as amended by the Affordable Care Act, Public Law 111-148.-- 93.513

Section 9006 of the Food, Conservation, and Energy Act of 2008 (Public Law 110-246), amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) to re-establish the Biodiesel Fuel Education Program which requires that the Secretary make competitive grants to eligible entities to educate governmental and private entities that operate vehicle fleets, other interested entities (as determined by the Secretary), and the public about the benefits of biodiesel fuel use. The Secretary delegated this authority to the Chief Economist, who in turn delegated this authority to the Director of the Office of Energy Policy and New Uses (OEPNU). OEPNU has joined with NIFA for assistance in administering Biodiesel Education under the authorities found in the Economy Act (31 U.S.C. 1535) and Section 1472 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3318). Specific Biodiesel Education administrative provisions are found in 7 CFR 2903.-- 10.306

Section 9112, P.L. 111-11-- 15.545

Section 9504(a) of the Omnibus Lands Management Act of 2009, P.L. 111-11 and the Reclamation Projects Authorization and Adjustment Act of 1992, Title XXXIV-Central Valley Project Improvement Act, Pub. L. 102-575-- 15.530

Section 9504(b), Omnibus Public Lands Management Act of 2009, (Public Law 111-11).-- 15.560

Section, 17a(1), Food and Nutrition Act of 2008, 7 U.S.C. 2026(a)(a); Section 17(b)(1), 7 U.S.C. 2026(b)(1); Farm Security and Rural Investment Act of 2002, Public Law 107-171; Public Law 110-246-- 10.580

Sections 1311 and 1323 of Patient Protection and Affordable Care Act (P.L. 111-148)-- 93.525

Sections 301 and 317 of the Public Health Service Act (PHS Act), 42 USC, 241 and 247b as amended; and Funding is appropriated under Affordable Care Act (PL 111-148), Title IV, Section 4002 (Prevention and Public Health Fund)-- 93.521

Sections 301 and 317N of the Public Health Service Act (42 U.S.C. section 241 and 274b-15), as amended-- 93.270

Sections 301 and Title III Sections 330A and 330(l) of the Public Health Service (PHS) Act, as amended; and Section 711(b) of the Social Security Act as amended (42 U.S.C.912(b))-- 93.011

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242I), and the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008 (Public Law 110-293)-- 93.266

Sections 301(a) and 317N of the Public Health Service Act (42 U.S.C. Section 241(a) and 247b-15) as amended-- 93.740

Sections 301(a) and 317N of the Public Health Service Act (42 U.S.C. Section 241(a) and 247b-15) as amended; and Prevention and Public Health Fund (PPHF)-- 93.736

Sections 303 and 311 of the Family Violence Prevention and Services Act as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320-- 93.591

Sections 303, 306, 308 and 309 of the Family Violence Prevention and Services Act, as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320-- 93.671

Sections 303, 310, 312 and 313 of the Family Violence Prevention and Services Act, as amended by Section 201 of the CAPTA Reauthorization Act of 2010, Pub. L. 111-320-- 93.592

Sections 307 and 317(k)(2) of the Public Health Service Act, [42 U.S.C. Section 242I and 247b(k)(2)], as amended-- 93.269

Sections 307 and 317(k)(2), Public Health Service Act, 42 U.S.C. 242I and 247b(k)(2) as amended; United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003, Public Law 110-293, the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, 22 U.S.C 7601-- 93.067

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Secure Rural Schools and Community Self-Determination Act of 2000, Public Law 106-393, Title II, as reauthorized by the Emergency Economic Stabilization Act of 2008, Public Law 110-343-- 15.234

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Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13-- 15.059

Snyder Act of 1921, Public Law 67-85, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended; Public Law 103-413, Title II Tribal Self-Governance Act-- 15.026

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309-- 15.146

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Adult Vocational Training Act of 1956, Public Law 84-959, 70 Stat. 986, as amended; Public Law 88-230, 77 Stat. 471, 25 U.S.C. 309; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended, 25 U.S.C. 450, American Recovery and Reinvestment Act of 2009-- 15.108

Snyder Act of 1921, Public Law 67-85, 42 Stat. 208, 25 U.S.C. 13; Indian Self-Determination and Education Assistance Act, Public Law 93-638, as amended; Public Law 103-413, Title II Tribal Self-Governance Act-- 15.114

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Social Security Act, Title XIX, as amended; Public Laws 89-97, 90-248, and 91-56; 42 U.S.C. 1396 et seq., as amended; Public Law 92-223; Public Law 92-603; Public Law 93-66; Public Law 93-233; Public Law 96-499; Public Law 97-35; Public Law 97-248; Public Law 98-369; Public Law 99-272; Public Law 99-509; Public Law 100-93; Public Law 100-202; Public Law 100-203; Public Law 100-360; Public Law 100-436; Public Law 100-485; Public Law 100-647; Public Law 101-166; Public Law 101-234; Public Law 101-239; Public Law 101-508; Public Law 101-517; Public Law 102-234; Public Law 102-170; Public Law 102-394; Public Law 103-66; Public Law 103-112; Public Law 103-333; Public Law 104-91; Public Law 104-191; Public Law 104-193; Public Law 104-208,104-134; Balanced Budget Act of 1997, Public Law 105-33; Public Law 106-113; Public Law 106-554; Public Law 108-27; Public Law 108-173; Public Law 109-91; Public Law 109-171; Public Law 109-432; Public Law 110-28; Public Law 110-161; Public Law 111-3; Public Law 111-5; Public Law 111-8; Public Law 111-31; Public Law 111-68; Public Law 111-88; Public Law 111-117; Public Law 111-118; Public Law 111-148; Public Law 111-150; Public Law 111-150; Public Law 111-152; Public Law 111-309, Public Law 112-10, Public Law 112-33, Public Law 112-36, Public Law 112-55, Public Law 112-74-- 93.778

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- The Comprehensive Environmental Response, Compensation, and Liability Act-- 66.815
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- The Consolidated Appropriations Act of 2010, Division A, Department of the Interior, Environment and Related Agencies Appropriations Act of 2010, Department-Wide Programs, Wildland Fire Management, Public Law 111-88. This program was first implemented in the Department of the Interior and Related Agencies Appropriations Act of 2001, Title IV, Public Law 106-291.-- 15.242
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- The Department of Defense and Full-Year Continuing Appropriations Act, 2011-- 14.703, 14.893, 14.894
- The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, enacted April 15, 2011) (Appropriations Act), provided a total of \$100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity of communities to modernize land use and zoning plans. Of that total, \$70,000,000 was available for the Sustainable Communities Regional Planning Grant Program, and \$30,000,000 was available for the Challenge Planning Grant Program.-- 14.703
- The Department of Defense and Full-Year Continuing Appropriations Act, 2011 (Public Law 112-10, approved April 15, 2011) (Appropriations Act), provided a total of \$100,000,000 to HUD for a Sustainable Communities Initiative to improve regional planning efforts that integrate housing and transportation decisions, and increase the capacity to improve land use and zoning. Of that total, \$70,000,000 was available for the Sustainable Communities Regional Planning Grant Program, and \$30,000,000 was available for the Community Challenge Planning Grant Program.-- 14.704
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- The Drug Court Program is authorized under Title I, Part EE, of the Omnibus Crime Control and Safe Streets Act of 1968, Public Law 90-351d, Title I, 82 Stat. 197, as amended by the 21st Century Department of Justice Appropriations Authorization Act, Public Law 107-273, Division B, Title II, Subtitle C, 116 Stat. 1758 (2002).-- 16.585
- The EOC Grant Program is authorized by section 614 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5196c) as amended by section 202 of the Implementing Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53)-- 97.052
- The Emerging Markets Program is authorized by the Food, Agriculture, Conservation, and Trade Act of 1990 (FACT Act), as amended by the Federal Agriculture Improvement and Reform Act of 1996 (FAIR Act) Section 1542 (d).-- 10.603
- The Energy Efficiency and Conservation Block Grant Program (EECBG) was authorized in Title V, Subtitle E of the Energy Independence and Security Act (EISA), signed into Public Law 110-140 on December 19, 2007.-- 81.128
- The Energy Policy Act of 2005-- 77.006
- The Energy Policy Act of 2005 as amended (The Diesel Emissions Reduction Act)-- 66.040
- The FMA program is authorized by Section 1366 of the National Flood Insurance Act of 1968, as amended (NFIA)-- 97.029
- The Fair Housing Act 42 U.S.C. 3600 et seq.-- 14.401
- The Fair Housing Act, 42 U.S.C. 3600 et seq.-- 14.400
- The Farm Security and Rural Investment Act of 2002-- 10.055, 10.087
- The Federal Energy Policy Act of 2005, Section 351, Public Law 109-58.-- 15.814
- The Federal Fire Prevention and Control Act of 1974-- 97.044, 97.103
- The Federal Pipeline Safety Statutes-- 20.700
- The Food Conservation and Energy Act of 2008-- 10.089
- The Food Security Act of 1985-- 10.093, 10.912, 10.925, 10.926
- The Food Stamp Act of 2008-- 10.588
- The Food, Conservation and Energy Act, Public Law 110-234 (Farm Bill) amended Section 306(a)(2) of the Consolidated Farm and Rural Development Act (CONACT) (7 U.S.C. 1926 (a)(2)).-- 10.759
- The Food, Conservation, and Energy Act of 2008-- 10.087, 10.090, 10.141, 10.925, 10.926
- The Food, Conservation, and Energy Act of 2008 (2008 Farm Bill)-- 10.095
- The Food, Conservation, and Energy Act of 2008 (The Farm Bill)-- 10.090
- The Food, Conservation, and Energy Act of 2008; Public Law 110-246-- 10.088
- The Foreign Assistance Act of 1961 as amended.-- 19.023
- The Foreign Assistance Act of 1961, as Amended-- 19.301
- The Foreign Assistance Act of 1961, as amended 1983-- 19.030
- The Fulbright-Hays Act of 1961-- 19.400
- The Fulbright-Hays Act of 1961 (Public Law 87-256), as amended.-- 19.015
- The Fulbright-Hays Act of 1961, as amended-- 19.009, 19.010, 19.011
- The Fulbright-Hays Act of 1961, as amended.-- 19.401, 19.402, 19.408, 19.415, 19.421, 19.432
- The Genetic Information Nondiscrimination Act of 2008-- 30.013
- The Guam Organic Act, 64 Stat. 384, 48 U.S.C. 1421 et. seq., Act of February 20, 1929, 48 U.S.C. 1661; Executive Order 10264; Public Law 83-517, 48 U.S.C. et. seq.; Public Law 94-241, Public Law 104-134, Public Law 108-188, and Public Law 99-658.-- 15.875
- The Healthy, Hunger-Free Kids Act of 2010 (HHFKA) amended Section 18 of the Richard B. Russell National School Lunch Act (NSLA) to establish a Farm to School program in order to assist eligible entities, through grants and technical assistance, in implementing farm to school programs that improve access to local foods in eligible schools.-- 10.575
- The Homeland Security Act of 2002-- 97.067, 97.082
- The Homeland Security Act of 2002, as amended.-- 97.005



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- The Housing and Economic Recovery Act of 2008-- 21.011, 64.030
- The Indian Alcohol and Substance Abuse Demonstration Program was created by the FY 2001 Consolidated Appropriations Act (Public Law 106-553)-- 16.616
- The Licensure Portability Grant Program (LPGP) is authorized by Section 330L of Public Health Service Act as amended, (42 USC 254c-18)-- 93.211
- The Lifespan Respite Care Act of 2006-- 93.072
- The Maritime Security Act of 2003-- 20.813
- The Middle Class Tax Relief and Job Creation Act of 2012-- 11.549
- The Mortgage Protection Life Insurance Act of 1971-- 64.030
- The Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act), as amended-- 19.022
- The NICS Improvement Amendments Act of 2007-- 16.813
- The National Cost Share Program is authorized under 7 U.S.C. 6523, as amended by section 10301 of the Food, Conservation and Energy Act of 2008.-- 10.171
- The National Earthquake Hazards Reduction Act of 2004-- 97.082
- The National Flood Insurance Act of 1968, 42 U.S.C. 4001 et seq. authorized the National Flood Insurance Program (NFIP)-- 97.022
- The National Trails System Act, 16 U.S.C 1241-51-- 15.935
- The National and Community Service Act of 1990-- 94.007
- The Native American Programs Act of 1974 (NAPA)-- 93.581
- The Native American Programs Act of 1974, as amended by the Esther Martinez Native American Languages Preservation Act of 2006.-- 93.587
- The Omnibus Appropriations Act, 2009-- 14.893
- The Omnibus Budget Reconciliation Act of 1981-- 93.568
- The Passenger Rail Investment and Improvement Act of 2008 (PRIIA)-- 20.319
- The Patient Protection and Affordable Care Act (Pub. L. 111-148) Section 2701 Adult Health Quality Measures-- 93.609
- The Patient Protection and Affordable Care Act of 2010, Section 10503, P.L. 111-148-- 93.526
- The Patient Protection and Affordable Care Act, Title II Role Of Public Programs, Subtitle L, Maternal and Child Health Services-- 93.092
- The Patient Protection and Affordable Care Act, Public Law 111-148, Section 3021, Innovation Center Authority-- 93.611
- The Public Health Act-- 93.275
- The Public Health Security and Bioterrorism Preparedness and Response Act of 2002-- 66.478
- The Public Health Service Act Section 2793, as amended by Section 1002 of the ACA-- 93.519
- The Public Health Service Act and the Family Smoking Prevention and Tobacco Control Act-- 93.077
- The Quality Samples Program is authorized by Section 5(f) of the Commodity Credit Corporation (CCC) Charter Act, 15 U.S.C. 714c(f)-- 10.605
- The RCDG program is authorized under section 310B (e) of the Consolidated Farm and Rural Development Act (7 U.S.C. 1932 (e)).-- 10.771
- The RFC program is authorized by Section 1323 of the NFIA-- 97.092
- The Runaway and Homeless Youth Act-- 93.550
- The SRL program is authorized by Section 1361A of the NFIA-- 97.110
- The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-- 20.238, 20.318
- The Section 202 Supportive Housing for the Elderly Program is authorized by section 202 of the Housing Act of 1959 (12 U.S.C. 1701q), as amended.-- 14.157
- The Servicemens Indemnity and Insurance Act of 1951-- 64.030
- The Shenandoah Valley Battlefields Foundation's land and easement acquisition efforts concentrate on the battlefields named by Congress in the Shenandoah Valley Battlefields National Historic District and Commission Act of 1996. These battlefields, listed in the table below, include more than 21,000 acres of core battlefield that retain historic integrity, largely because they are still in active farm and forest uses. Less than ten percent of this essential resource is protected from development that would destroy its historic value., Section 606, Public Law 104-333.-- 15.936
- The Small Business Act and the Small Business Investment Act of 1958-- 20.910
- The Small Business Jobs Act of 2010-- 21.014
- The Small Business Liability Relief and Brownfields Revitalization Act of 2002-- 66.818
- The Small Business and Work Opportunity Tax Act of 2007-- 17.271
- The Soil Information Assistance for Community Planning and Resource Development Act of 1966-- 10.903
- The Specialty Crop Research Initiative (SCRI) is authorized by Section 7311 of the Food, Conservation, and Energy Act of 2008, which added section 412 to the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA). Section 412 of AREERA establishes a specialty crop research and extension initiative to address the critical needs of the specialty crop industry by developing and disseminating science-based tools to address needs of specific crops and their regions.-- 10.309
- The Sun Grant Program, was originally established in section 778 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act of 2004 (Public Law 108-199), which amended the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) adding section 9011, entitled the Sun Grant Research Initiative Act of 2003. Section 7526 of the Food, Conservation, and Energy Act of 2008 (7 U.S.C. 8114) establishes the Sun Grant Program, replacing the Sun Grant Research Initiative Act of 2003. Authority for the Sun Grant Program is delegated to the National Institute of Food and Agriculture in title 7 Part 2.66 subpart (a) section (153) of the Code of Federal Regulations.-- 10.320
- The Tax Relief, Unemployment Insurance Reauthorization and Job Creation Act of 2010-- 17.271
- The Tax and Trade Relief Extension Act of 1998, Part of the Omnibus Consolidated and Emergency Supplemental Appropriations Act of 1999-- 17.271
- The Taxpayer Relief Act of 1997-- 17.271
- The Technical Assistance for Specialty Crops Program is reauthorized by Section 3203 of the Food, Conservation, and Energy Act of 2008.-- 10.604
- The Telehealth Network Grant Program (TNGP) Sec. 3301(d)(1) of Public Health Service Act (42 U.S.C. 254c-14(d)(1), as amended.-- 93.211
- The Telehealth Resource Center Grant Program (TRCGP) is authorized by: Sec. 3301(d)(2) of Public Health Service Act (42 U.S.C. 254c-14(d)(2), as amended by the Health Care Safety Net Amendments of 2002 (P.L. 107-251)-- 93.211
- The Trade Act of 1974-- 10.090, 10.091
- The Transportation/HUD Consolidated Appropriations Act, 2010-- 14.893, 14.894
- The Veterans Benefits Act of 1992-- 64.030
- The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title III, Section 304, Public Law 109-162, 42 U.S.C. 14045b.-- 16.525
- The Violence Against Women and Department of Justice Reauthorization Act of 2005, Title VI, Section 602, Public Law 109-162.-- 16.736
- The White Mountain Apache Tribe Rural Water System Loan Authorization Act. Public Law 110-390, as amended by the White Mountain Apache Tribe Water Rights Quantification Act of 2010, Public Law 111-291.-- 15.558
- The Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, Public Law 106-408, as amended; the Dingell-Johnson Sport Fish Restoration Act, 64 Stat. 430 as amended, 16 U.S.C. 777m and the Pittman-Robertson Wildlife Restoration Act, 50 Stat. 917 as amended, 16 U.S.C. 669h-2.-- 15.628
- The legislative authority for the Cochran Fellowship Program is provided in Section 1543 of the Agriculture Development and Trade Act of 1990 (7 U.S.C. 3293) as amended in 1996. National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended, 7 U.S.C. 3318, and 3319(a).-- 10.962
- The statutory authority for awards under this Funding Opportunity

## Appendix II: Authorization Appendix

Announcement is contained in Division D, Title II of the Consolidated Appropriations Act, 2010 (Public Law 111-117) and Section 513(c)(1) of the Social Security Act (to be codified at 42 U.S.C. 713(c)(1).-- 93.297

The statutory authority for cooperative agreements under this program announcement is contained in Division A, Title VIII of the American Recovery and Reinvestment Act (Recovery Act) of 2009 (Public Law 111.5).-- 93.725

These grants will be awarded under authority provided by the Food, Conservation, and Energy Act of 2008, Section 4405, 7 U.S.C. 8701. This section allows the Secretary of Agriculture to award grants to meet the hunger free communities goals described in the H. Con. Res. 302 (102nd Congress)-- 10.583

This agency was chartered and authorized in 2007 in the America COMPETES Act (Public Law 110-69), and re-authorized in the America COMPETES Reauthorization Act of 2010 (Public Law 111-358).-- 81.135

This program is authorized under Section 317 of the Public Health Service Act (42 U.S.C. Sections 247b), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs. This program is funded in part by 2012 Prevention and Public Health Funds (PPHF-2012).-- 93.539, 93.733

This program is authorized under Sections 301, 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended-- 93.523

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs-- 93.540

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs.-- 93.533

This program is authorized under Sections 317, 317(k)(2), 318 and 318B of the Public Health Service Act (42 U.S.C. Sections 247b, 247b(k)(2) and 247c), as amended; and the Patient Protection and Affordable Care Act (PL 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs. This program is funded in part by 2012 Prevention and Public Health Funds (PPHF-2012).-- 93.185

This program is authorized under the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Sections 4002, (Prevention and Public Health Fund) for expanded and sustained national investment in prevention and public health programs.-- 93.523

This program is administered under the provisions of section 1455 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977, as amended (NARETPA)

(7 U.S.C. 3241) pursuant to section 815 of Public Law 104-127 and Public Law 110-246. Section 1455 of NARETPA, as reauthorized by section 7128 of Public Law 110-246, provides the Secretary of Agriculture with the authority to make competitive grants (or grants without regard to any requirement for competition) to Hispanic-Serving Institutions for the purpose of promoting and strengthening the ability of Hispanic-Serving Institutions to carry out education, applied research, and related community development programs.-- 10.223

This program is administered under the provisions of section 759 of Public Law 106-78 (7 U.S.C. 3242) which was amended and redesignated as section 1419B of the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) of 1977 (7 U.S.C. 3155). As legislatively reauthorized in the Public Law 110-246, the purpose of this program continues to promote and strengthen the ability of eligible Alaska Native-Serving Institutions and Native Hawaiian-Serving Institutions to carry out education, applied research, and related community development programs within a broadly defined area of food and agricultural sciences and related disciplines. In FY 2009, the Secretary will

make competitive grant awards to individual eligible institutions or consortia of eligible institutions in Alaska and in Hawaii, with funds awarded equally to each of the states of Alaska and Hawaii.-- 10.228

This program is administered under the provisions of the Farm Security and Rural Investment Act of 2002 (Section 7501 of Public Law 107-171) as reauthorized in Section 7143 of Public Law 110-246, which amended the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3101 et seq.) by providing for a program of resident instruction grants for insular areas (7 U.S.C. 3363). Funds are available for a program of competitive grants, with funds to be awarded to one or more individual, eligible institutions of higher education in Insular Areas (Insular Area Institutions) or consortia of such eligible institutions, to carry out teaching and education programs in the food and agricultural sciences.-- 10.308

This program is authorized by Section 1704 of the Public Health Service Act, 42 U.S.C. Section 300u-3.-- 93.007

This program is authorized by the American Recovery and Reinvestment Act of 2009 (Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2) and 42 U.S.C. 300k-1, 300 sec.1701 of the Public Health Service Act, as amended.-- 93.731

This program is authorized under Section 317 of the Public Health Service Act, (42 U.S.C. Section 247 b), as amended.-- 93.062

This program is authorized under Section 4002 of the ACA, Prevention and Public Health Fund, Section 1706 of the PHS Act, 42 U.S.C. 300u-5, and Section 317(k)(2) of the PHS Act, 42 U.S.C. 247b(k)(2).-- 93.542

This program is authorized under Sections 317(k)(2) and 317E of the Public Health Service Act (42 U.S.C. Sections 247b-6), as amended.-- 93.947

This program is authorized under section 301(a) and 317(k) 2) American Recovery and Reinvestment Act of 2009, Public Health Service Act, 42 U.S.C. 241(a) and 247b (k) 2311.-- 93.724

This program is authorized under section 301(a) and 317(k) Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) and Title IV Section 4002 Prevention and Public Health Fund-- 93.531

This program is authorized under section 301(a) and 317(k) of the Public Health Service Act, 42 U.S.C. 241(a) and 247b.-- 93.544

This program is authorized under section 301(a) and 317(k)(2) Health Care and Education Affordability Reconciliation Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311.-- 93.520

This program is authorized under section 301(a) and 317(k)(2) Patient Protection and Affordable Care Act of 2010, Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2311, sec 4201.-- 93.541

This program is authorized under section 301(a) and 317(k)(2) Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) and Title IV Section 4002 Prevention and Public Health Fund-- 93.743

This program is authorized under section 301(a) and 317(k)(2) Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) and Title IV Section 4002 of the Affordable Care Act (PPHF)-- 93.738

This program is authorized under section 401(a) of the Childrens Health Insurance Program Reauthorization Act of 2009 (CHIPRA, Public Law 111-3), added new section 1139A, to the Social Security Act (the Act). Subsection 1139A(e) of the Social Security Act requires the Secretary of Health and Human Services (HHS) to conduct a Childhood Obesity Demonstration Project ([http://www.ssa.gov/OP\\_Home/ssact/title11/1139A.htm](http://www.ssa.gov/OP_Home/ssact/title11/1139A.htm)). In 2010, the Patient Protection and Affordability Act (ACA) appropriated funding for the Project in section 4306.section 301(a) and 317(k).-- 93.535

This program is authorized under sections 301 and 317 of the Public Health Service Act (PHS Act), 42 U.S.C. 241 and 247b as amended, and the Patient Protection and Affordable Care Act (Public Law 111-148), Title IV, Section 4002 (Prevention and Public Health Fund).-- 93.524

This program is authorized under sections 301(a), 307, 310, 311 and 317(k) (2) American Recovery and Reinvestment Act of 2009 (ARRA) [Public Law 111.5], Public Health Service Act, 42 U.S. Code 241(a) and 247b (k) 2, and the Comprehensive Smoking Education Act of 1984, Comprehensive Smokeless Tobacco Health Education Act of 1986.-- 93.723

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This program is authorized under the American Recovery and Reinvestment Act of 2009 (ARRA), Public Law 111-5; Public Health Service Act, 42 U.S.C. 241(a) and 247b(k)2 and Public Health Service Act, Title 42, Part 330u-5, Section 1706-- 93.730

This program is authorized under the Patient Protection and Affordable Care Act of 2010, 4201 (P.L. 111-148) and title IV Section 4002 of the Affordable Care Act (PPHF)-- 93.739

This program is authorized under the Public Health Service Act, section 301(a), 42 U.S.C. 241(a), as amended and section 317(a), 42 U.S.C. 247b (a), as amended.-- 93.339

This program solicitation is issued pursuant to the Small Business Innovation Development Act of 1982, Public Law 97-219, as amended (15 U.S.C. 638) and Section 630 of the Act making appropriations for Agriculture, Rural Development and Related Agencies programs for fiscal year ending September 30, 1987, and for other purposes, as made applicable by Section 101(a) of Public Law 99-591, 100 Stat. 3341.-- 10.212

This solicitation is being issued under section 1115A of the Social Security Act (added by section 3021 of the Patient Protection and Affordable Care Act (P.L. 111-148)), which authorizes the Innovation Center to test innovative payment and service delivery models to reduce program expenditures under Medicare, Medicaid, and the Childrens Health Insurance Program while preserving or enhancing the quality of care.-- 93.626

Ticket to Work and Work Incentives Improvement Act of 1999, Section 203, Public Law 106-170.-- 93.768

Title II, Division D, Public Law 108-7, Consolidated Appropriations Resolution, Water and Related Resources:

Provided further, That the Bureau of Reclamation is authorized hereafter to negotiate and enter into financial assistance agreements with public and private agencies, organizations, and institutions for activities under the Lake Tahoe Regional Wetlands Development Program: Provided further, That the costs associated with such activities will be nonreimbursable.-- 15.543

Title III of the U.S. Public Health Service Act: 42 U.S.C. Section 301, also Section 1110 of the Social Security Act (42 U.S.C. 1310), along with funds appropriated under 42 U.S.C. 300U-6, Section 1707 of the Public Health Service Act, as amended.-- 93.990

Title III, Part D, Section 330H of the Public Health Service Act, (42 U.S.C.254c-8)-- 93.926

Title III, Part F, Section 371(b)(2)(c)(ii), 371(b)(2)(D)(iii), and 371(b)(2)(D)(iv); Title VIII, Part AA, Section 897-- 84.382

Title III, Section 302(g)(3)-- 84.265

Title III, Section 319I, Public Health Service Act (42 U.S.C. 247d-7b), as amended by the Pandemic and All-Hazards Preparedness Act (PAHPA) of 2006, Public Law 109-417-- 93.089

Title III, Section 338A of the Public Health Service Act (42 USC 2541), as amended Sections 338C-H of the Public Health Service Act (42 USC 254m-q), as amended Section 10503 of the Affordable Care Act (P.L. 111-148)-- 93.288

Title IV Housing Assistance, Subtitle D Rural Housing Stability Assistance Program of the McKinney-Vento Homeless Assistance Act, as amended by the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act)-- 14.268

Title IV, Energy Conservation and Production Act-- 81.042

Title IV, Section 4002 of the Affordable Care Act (Prevention and Public Health Fund)-- 93.734

Title IX of the Farm Security and Rural Investment Act of 2002 (7 U.S.C. 8101 et seq.) is amended by the Food, Conservation, and Energy Act of 2008, Title IX, section 9003, subsection 9003.-- 10.865

Title V of the Rural Development Act of 1972-- 10.303

Title V, Part C of the Improving Americas Schools Act of 1994, Public law 103-382 (October 20, 1994), 7 U.S.C. 301 note, as amended; Public Law 105-185, cited as Equity in Educational Land-Grant Status Act of 1994, (hereafter referred to as the Act) provides that certain tribal colleges, designated as 1994 Land-Grant Institutions, (hereafter referred to as LGIs) receive

various benefits.-- 10.222

Title V, Public Law 95-134-- 84.403

Title V, Section 501(a)(2) Social Security Act (42 U.S.C. 701) and Section 4002 of the Patient Protection and Affordable Care Act (P.L. 111-148)-- 93.522

Title VI, Section 1653 of the Department of Defense and Full-Year Continuing Appropriations Act of 2011 (Public Law 112-10)-- 97.126

Title VII of the Civil Rights Act of 1964 (Public Law 88-352), as amended, 42 U.S.C. section 2000e et seq-- 30.001

Title VII of the Public Health Service Act, Sec. 765, 42 U.S.C. 295, and 768, 42 U.S.C. 295c, as amended by section 5206 of the Patient Protection and Affordable Care Act (Public Law 111-148) and Section 4002 (42 U.S.C. 300 u-11) Prevention and Public Health Fund.-- 93.700

Title VII, Sec. 751 of the Public Health Service Act (42 U.S.C. 294a), as amended by Sec. 5403 of the Patient Protection and Affordable Care Act, Public Law 111-148.-- 93.107

Title VII, Sec. 753(b) of Public Health Service Act (42 U.S.C-294c), as amended by the Health Professions Education Partnerships Act of 1998 (P.L. 105-392) and the Patient Protection and Affordable Care Act (P.L. 111-148)-- 93.156

Title VII, Section 737 of the Public Health Service Act (42 U.S.C. 293a), as amended by the Patient Protection and Affordable Care Act (P.L. 111-148)-- 93.925

Title VII, Section 738(b) of the Public Health Service Act (42 U.S.C. 738 [293b]), as amended by P.L. 105-392-- 93.923

Title VII, Section 747(b), Public Health Service Act, as amended by the Affordable Care Act (P. L. 111-148)-- 93.884

Title VII, Section 747, Public Health Service Act, as amended by the Patient Protection and Affordable Care Act of 2010 (Pub. L. 111-148), and The American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5)-- 93.403

Title VII, Section 753(c) of the Public Health Service Act (42 U.S.C. 294c), as amended by Section 5305(b) of the Patient Protection and Affordable Care Act, Public Law 111-148-- 93.250

Title VII, Section 756 of the Public Health Service (PHS) Act (U.S.C. 294e), as amended by Section 5306 (a) (1) (2) of the Affordable Care Act (Public Law 111-148) and Section 4002 (42 U.S.C. 300 u-11) of the Prevention and Public Health fund. Section 797 of the Public Health Service Act provides provision for trainee support. Section 791 of the PHS Act authorizes a Medically Underserved Community (MUC) funding preference for the program.-- 93.732

Title VII, Sections 765 and 766 of the Public Health Service Act (42 U.S.C. 295a), as amended by P.L. 105-392 Health Professions Education Partnerships Act of 1998 and the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.-- 93.249

Title VII, Sections 765 and 766 of the Public Health Service Act (42 U.S.C. 295a), as amended by Public Law 105-392 Health Professions Education Partnerships Act of 1998 and the Patient Protection and Affordable Care Act of 2010, Public Law 111-148.-- 93.516

Title VIII , Section 811 (a)(1) of the Public Health Service Act, (42 U.S.C. 296j(a)(1)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148-- 93.247

Title VIII , Section 811 (a)(2) of the Public Health Service Act, (42 U.S.C. 296j(a)(2)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148-- 93.358

Title VIII , Section 811(a)(2) of the Public Health Service (PHS) Act, (42 U.S.C. 296j(a)(2)), as amended by Section 5308 of the Patient Protection and Affordable Care Act, Public Law 111-148.-- 93.124

Title VIII of the Public Health Service Act, Section 846A (42 U.S.C. 297n-1), as amended by the Patient Protection and Affordable Care Act, Public Law 111-148, Section 5311-- 93.264

Title VIII, Section 821 of the Public Health Service Act (42 U.S.C. 296m), as amended by Section 5404 of the Patient Protection and Affordable Care Act (P.L. 111-148)-- 93.178

Title VIII, Section 831 and 831A of the Public Health Service Act (42 U.S.C. 296p and 42 U.S.C. 296p-1), as amended by section 5309 of the Patient

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- Protection and Affordable Care Act, P.L. 111-148-- 93.359
- Title VIII, Section 855 of the Public Health Service Act (42 U.S.C. 298), as amended by P.L. 107-205 and the Patient Protection and Affordable Care Act, P.L. 111-148.-- 93.265
- Title X Statute and Regulations: Requirements regarding the provision of family planning services under Title X can be found in the statute (Title X of the Public Health Service Act, 42 U.S.C. 300 et seq.) and in the implementing regulations which govern project grants for family planning services (42 CFR part 59, subpart A.)-- 93.217
- Title X of the PHS Act, 42 U.S.C. 300 et seq-- 93.260
- Title X of the Public Health Service Act, as amended, Section 1005, as applicable, 42 CFR 59-- 93.974
- Title X, Section 10502 of the Patient Protection and Affordable Care Act of 2010 (Public Law 111-148)-- 93.502
- Title XI, Section 1110 of the Social Security Act.-- 93.010
- Title XXI of the Social Security Act as amended by the Children's Health Insurance Program Reauthorization Act of 2009 (CHIPRA; Public Law 111-003) and the Affordable Care Act (ACA; Public Law 111-148 taken together with Public Law 111-152)-- 93.767
- Title XXVI of the Public Health Service Act, Section 2692(b) (42 U.S.C. 300ff-111) as amended the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87)-- 93.924
- Title XXVI of the Public Health Service Act, Sections 2601-2610 (42 USC 300ff-11 300ff-20), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 11-87)-- 93.914
- Title XXVI of the Public Health Service Act, Sections 2611-23, (42 U.S.C. 300ff-55? Or 21-31(b)), as amended by the, Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87)-- 93.917
- Title XXVI of the Public Health Service Act, Sections 2651 and 2693 et seq, (42 USC 300ff -51), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87)-- 93.918
- Title XXVI of the Public Health Service Act, Sections 2671 and 2693 (42 U.S.C. 300ff-71 et seq.), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L. 111-87)-- 93.153
- Title XXVI, Public Health Service Act, Section 2691 (42 USC 300ff-101), as amended, by the Ryan White HIV/AIDS Treatment Modernization Act of 2009 (Public Law 111-87)-- 93.928
- Title XXVI, Sections 2606, 2619, 2654, and 2671, of the Public Health Service Act (42 U.S.C. 300ff-111), as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87)-- 93.145
- To provide vocational training and rehabilitation to certain children born with spina bifida or other covered birth defects who are children of Vietnam veterans and some Korean veterans.-- 64.128
- Torture Victims Relief Act of 1998-- 93.604
- Toxic Substances Control Act-- 66.110, 66.113, 66.128, 66.309, 66.310, 66.313, 66.509, 66.510, 66.511, 66.513, 66.514, 66.516, 66.517, 66.600, 66.604, 66.608, 66.609, 66.610, 66.612, 66.707, 66.715, 66.716, 66.717, 66.718, 66.810, 66.815, 66.931, 66.952
- Toxic Substances Control Act (TSCA)-- 66.701
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16 U.S.C. 1g provides that the National Park Service may enter into cooperative agreements that involve the transfer of National Park Service appropriated funds to State, local and tribal governments, other public entities, educational institutions, and private nonprofit organizations for the public purpose of carrying out National Park Service programs pursuant to 31 U.S.C. 6305 to carry out public purposes of National Park Service programs. The Outdoor Recreation Act, as amended, 16 U.S.C., 4601-1(f), (1988), states that the Secretary is authorized to sponsor, engage in, and assist in research, undertake studies through cooperative agreements, and cooperate with educational institutions in establishing educational programs and activities relating to outdoor recreation. The North Cascades Environmental Learning Center (NCELC) is a residential education facility located on the shore of Diablo Lake in North Cascades National Park. The Learning Center is one of the central elements of the 1995 federal relicensing of Seattle City Light's Skagit River dams. This project and others are designed to mitigate the impact of hydroelectric projects on the Skagit River environment. Seattle City Light, the National Park Service and North Cascades Institute each have unique responsibilities in this partnership:

- Seattle City Light funded the design and the construction of the facility, own the buildings, and are leasing them to North Cascades Institute.
- The National Park Service dedicated land for the Learning Center within the Ross Lake National Recreation Area of North Cascades National Park Service Complex. The National Park Service also provides services such as water, sewer, fire management and educational support.
- North Cascades Institute is a non-profit organization based in Sedro-Woolley, Washington. It operates the Learning Center and provide environmental education programs for all ages and backgrounds.-- 15.942

16 U.S.C. 1g Cooperative Agreements, Title 16 Conservation, Chapter 1 National Parks, Military Parks, Monuments, and Seashores, Subchapter 1 National Park Service, Section 1g Cooperative Agreements-- 15.954

18 U.S.C. 241, 242, 245, 247, 248, 1581, 1583, 1584, 1589, 1590, 1592; 1594; 42 U.S.C. 3631.-- 16.109

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24 CFR 291.500-565, final rule published in Federal Register, October 31, 2006, effective December 1, 2006, following publication in the Federal Register of a proposed rule on September 8, 2005.-- 14.198

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25 U.S.C. 13 Snyder Act, Public Law 83-568, Transfer Act, 42 U.S.C. 2001, Public Law 86-121, Indian Sanitation Facilities Act; and Title III of Public Law 94-437, Indian Health Care Improvement Act, as amended.-- 93.445

30 U.S.C. 1601 et. seq.-- 15.816

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40 U.S.C. 550(b), (e), and (h), Public Law 107-217, originally under the Federal Property and Administrative Services Act of 1949, Section 203(k), 63 Stat. 385 as amended, 40 U.S.C. 484, Public Law 91-485; Federal Lands for Parks and Recreation, 16 U.S.C. 4601-5.-- 15.918

42 U.S.C. 10601(d)(5), 42 U.S.C. 10603b(b), 42 U.S.C. 10603c.-- 16.321

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42 U.S.C. 10603(c)(1)(A); 42 U.S.C. 10603(c)(1)(B); 42 U.S.C. 10603d(a); and

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42 U.S.C. 300z et seq.-- 93.995

42 U.S.C. 3797cc-21-- 16.816

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42 U.S.C. Section 14163; 42 U.S.C. Section 14163a.-- 16.746

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# Appendix III: Budget Functional Code Appendix

## FINANCIAL INFORMATION

Account Identification - This 11-digit budget code identifies the account from which a program is funded as expressed in the Appendix to the Federal Budget. For identification code 75-0350-0-1-551, the first two digits represent the Federal agency code, and the third through sixth digits identify the appropriation (or fund) basic account symbol assigned by the Treasury Department. Where two or more accounts with different Treasury basic account symbols are included in a consolidated program, 99 will be the third and fourth digits, the fifth digit will be the fund type and the sixth digit will reflect the sequence of consolidated programs for that fund type within the agency. The seventh digit identifies the timing of transmittal of budget estimates:

- 0: Regular budget schedules
- 1: Supplemental appropriation
- 2: Legislative proposal, not subject to PAYGO
- 3: Appropriations language to be transmitted later
- 4: Legislative proposal, subject to PAYGO
- 5: Recission proposal
- 6: Adjustments to 1996 continuing resolution levels

The eighth digit identifies the type of government fund involved:

1: General fund - General Fund Appropriation Accounts - Accounts established to record amounts appropriated by law to be expended for the general support of the Government.

General Fund Receipt Accounts - Accounts credited with all receipts that are not earmarked by law for a specific purpose.

2: Special fund - Special Fund Appropriation Accounts - Accounts established to record appropriated amounts of special fund receipts to be expended for special programs in accordance with specific provisions of law. Special Fund Receipt Accounts - Accounts credited with receipts from specific sources that are earmarked by law for a specific purpose.

3: Public Enterprise Fund Accounts - Funds authorized by Congress to be credited with receipts primarily from the public, that are generated by, and earmarked to finance, a continuing cycle of business-type operations.

4: Intragovernmental Revolving or Management Fund Intragovernmental Fund Accounts - Accounts established to facilitate financing transactions within and between Federal agencies. These funds may be classified as intragovernmental revolving funds or management funds. Intragovernmental Revolving Fund Accounts - Funds authorized by law to carry out a cycle of intragovernmental business-type operations. These funds are credited with offsetting collections from other agencies and accounts.

7: Trust Fund (non-revolving) - Trust funds are established to account for the receipt and expenditure of monies by the Government for carrying out specific purposes and programs in accordance with the terms of a statute that designates the fund as a trust fund (such as the Highway Trust Fund) or for carrying out the stipulations of a trust agreement (such as any of several trust funds for gifts and donations for specific purposes). In a trust non-revolving fund, the receipts designated for the trust fund are in a separate account.

8: Trust Fund (revolving) - In a trust revolving fund, the fund is credited with collections earmarked by law to carry out a cycle of business-type operations.

9: For use when account consolidations cross fund types. The last three digits represent the functional classification (code) used in the latest Federal Budget document, unless noted otherwise by the Office of Management and Budget. In cases where a program is split between two or more subfunctions: (a) if all subfunctions are in the same major function, the code is the same as for the major function; or (b) if two or more major functions are involved the digits '999' are used. (Example: 75-1361-0-1-550)

Listed below are major functions and subfunctions as used in the budget document to show allocations of budget authority and outlays according to end purposes without regard to agency jurisdiction. The central nature of each major function is identified and defined. Catalog programs are listed following each applicable subfunction (or major function). Note that some subfunctions are not applicable to Catalog programs.

The alphabet(s) in parentheses following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows:

- A: Formula Grants
- B: Project Grants
- C: Direct Payments for Specified Use
- D: Direct Payments with Unrestricted Use
- E: Direct Loans
- F: Guaranteed/Insured Loans
- G: Insurance
- H: Sale, Exchange, or Donation of Property and Goods
- I: Use of Property, Facilities, and Equipment
- J: Provision of Specialized Services
- K: Advisory Services and Counseling
- L: Dissemination of Technical Information
- M: Training
- N: Investigation of Complaints
- O: Federal Employment

# Appendix III: Budget Functional Code Appendix

## **(050) NATIONAL DEFENSE**

This function includes those programs directly related to the common defense and security of the United States. It includes the raising, equipping, and maintaining of armed forces (including civilian supporting activities), development and utilization of weapons systems (including nuclear weapons), and related programs. National defense includes direct compensation and benefits paid to active military and civilian personnel; contributions to their retirement, health, and life insurance funds; the conduct of defense research, development, testing, and evaluation; and procurement, construction, stockpiling, and other activities undertaken with the direct object of fostering our national security. Excluded from national defense are benefits or compensation to veterans and their dependents (veterans benefits are generally available to personnel who served the country in national emergencies; benefits for career military personnel are generally charged as a cost to the national defense function) and military retired pay, which is included in the income security function. Also excluded from national defense is the peaceful conduct of foreign relations; foreign military, economic, and humanitarian assistance; subsidies to business by civilian agencies (such as maritime subsidies) that may be partially justified as promoting national security; and research and operations of agencies (such as space research) whose program mission is not directly designed to promote national defense but which could result in some significant benefits to our national security.

- 81.123 National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (B)
- 81.137 Minority Economic Impact (B)

## **(051) Department of Defense - Military**

The entire agency is included in this subfunction. Because of the method of funding and accounting in the Defense Department no further subdivisions on a program basis are available in terms of outlays.

- 12.340 Naval Medical Research and Development (B)
- 12.610 Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies (B)
- 12.611 Community Economic Adjustment Assistance for Reductions in Defense Industry Employment (B)
- 12.614 Community Economic Adjustment Assistance for Advance Planning and Economic Diversification (B)

## **(053) Atomic Energy Defense Activities**

Those programs of the Department of Energy devoted to national defense activities, such as naval ship reactors and nuclear weapons.

- 17.310 Energy Employees Occupational Illness Compensation (D)
- 81.112 Stewardship Science Grant Program (B)
- 81.113 Defense Nuclear Nonproliferation Research (B)

## **(054) Defense-Related Activities**

Miscellaneous defense activities such as the expenses connected with selective service and civil defense activities in the Federal Emergency Management Agency.

- 12.369 Marine Corps Systems Command Federal Assistance Program (B)
- 20.813 Maritime Security Fleet Program (C)
- 47.078 Polar Programs (B)

## **(150) INTERNATIONAL AFFAIRS**

This function is concerned with the maintenance of peaceful relations, commerce, and travel between the United States and the remainder of the world, and with the promotion of international security and economic development abroad. It includes the conduct of foreign affairs; cost of membership in international organizations; foreign information and exchange activities; foreign military, economic, and humanitarian assistance programs; and loan programs designed to foster U.S. exports. Excluded from international affairs are outlays from domestic programs that may tangentially affect foreign relations or citizens of other nations.

## **(151) International Development and Humanitarian Assistance**

This includes humanitarian assistance, development assistance, security supporting assistance, grants to and investments in international financial and development institutions, and the costs associated with concessionary agricultural exports.

## **(152) International Security Assistance**

This includes all of international security assistance. It involves the transfer of defense articles and services to foreign governments through grants, credit sales, and training.

## **(153) Conduct of Foreign Affairs**

This includes the diplomatic and consular operations of the Department of State and closely-related activities in other agencies (such as the Arms Control and Disarmament Agency).

## **(154) Foreign Information and Exchange Activities**

This includes student and cultural exchange programs and foreign library, radio, or other media information activities designed to promote mutual understanding between the people of the United States and other Nations.

- 19.009 Academic Exchange Programs - Undergraduate Programs (B)
- 19.010 Academic Exchange Programs - Hubert H. Humphrey Fellowship Program (B)
- 19.011 Academic Exchange Programs - Special Academic Exchange Programs (B)
- 19.015 Cultural, Technical and Educational Centers (B)
- 19.022 Educational and Cultural Exchange Programs Appropriation Overseas Grants (B)
- 19.400 Academic Exchange Programs - Graduate Students (B)
- 19.401 Academic Exchange Programs - Scholars (B)
- 19.402 Professional and Cultural Exchange Programs - International Visitor Leadership Program (B)
- 19.408 Academic Exchange Programs - Teachers (B)
- 19.415 Professional and Cultural Exchange Programs - Citizen Exchanges (B)
- 19.421 Academic Exchange Programs - English Language Programs (B)
- 19.432 Academic Exchange Programs - Educational Advising and Student Services (B)
- 19.450 ECA Individual Grants (B)

## **(155) International Financial Programs**

This includes export credit, the military sales trust fund, international commodity agreements, international monetary programs, and other programs designed to improve the functioning of the international financial system.

## **(250) GENERAL SCIENCE, SPACE AND TECHNOLOGY**

This function shows budget resources allocated to science and research activities of the Federal Government to meet the national need to advance knowledge in this area. In addition, research and technology programs that have diverse goals and cannot readily be classified into one specific function are also placed here to avoid detailed splitting of accounts. Included in this function are general scientific research and civilian space programs that are not an integral part of the programs conducted under any other function. This includes the research conducted by the National Aeronautics and Space Administration, and general science research supported by the Department of Energy. As is noted above, research programs that are an integral part of the achievement of other major functions \_ e.g., health, national defense, energy \_ are excluded from this function. Only if a research program cannot readily be included in other functions is it classified in this function.

- 81.105 National Industrial Competitiveness through Energy, Environment, and Economics (B)
- 81.214 Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis (B)

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## **(251) General Science and Basic Research**

This includes the expenses of conducting the National Science Foundation programs and the general science activities of the Department of Energy.

- 47.041 Engineering Grants (B)
- 47.049 Mathematical and Physical Sciences (B)
- 47.050 Geosciences (B)
- 47.070 Computer and Information Science and Engineering (B)
- 47.074 Biological Sciences (B)
- 47.075 Social, Behavioral, and Economic Sciences (B)
- 47.076 Education and Human Resources (B)
- 47.078 Polar Programs (B)
- 47.079 International Science and Engineering (OISE) (B)
- 47.080 Office of Cyberinfrastructure (B)
- 47.081 Office of Experimental Program to Stimulate Competitive Research (B)

## **(252) Space Flight, Research, and Supporting Activities**

This subfunction is devoted to the development and operation of space transportation systems, basic scientific research connected with outer space, research and demonstrations designed to provide terrestrial applications of technology developed through space research, and development of new space technologies for future missions. Also included are the costs of tracking and data relay support for NASA space science and applications for flight missions.

## **(270) ENERGY**

The energy function includes those programs designed to promote an adequate supply and appropriate use of energy to serve the needs of the economy. It includes most of those programs operated by the Department of Energy and its predecessor agencies except for atomic energy defense activities and for general science research not closely related to energy.

- 81.036 Inventions and Innovations (B,K,L)
- 81.041 State Energy Program (A,B,L)
- 81.042 Weatherization Assistance for Low-Income Persons (A,B)
- 81.064 Office of Scientific and Technical Information (L)
- 81.079 Regional Biomass Energy Programs (B)
- 81.086 Conservation Research and Development (B)
- 81.087 Renewable Energy Research and Development (B)
- 81.117 Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (B)
- 81.119 State Energy Program Special Projects (B)
- 81.129 Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (B)
- 81.135 Advanced Research and Projects Agency Energy Financial Assistance Program (B)
- 81.136 Long-Term Surveillance and Maintenance (B)

## **(271) Energy Supply**

This includes those programs designed to increase the supply of energy through the development of domestic resources and systems capable of using them. Included in energy supply are the costs of research and demonstration of supply systems.

- 10.850 Rural Electrification Loans and Loan Guarantees (E,F)
- 10.851 Rural Telephone Loans and Loan Guarantees (E,F)
- 10.854 Rural Economic Development Loans and Grants (B,E)

## **(272) Energy Conservation**

Programs in this subfunction are designed to encourage the prudent use of energy resources.

- 81.127 Energy Efficient Appliance Rebate Program (EEARP) (A)
- 81.128 Energy Efficiency and Conservation Block Grant Program (EECBG) (A,B)

## **(274) Emergency Energy Preparedness**

This includes the programs associated with developing and maintaining a stockpile of energy resources (currently confined to petroleum) to meet emergency needs and associated contingency planning activities.

## **(276) Energy Information, Policy, and Regulation**

This includes the unallocable overhead activities of the Department of Energy plus the costs of energy information and regulation activities.

- 77.006 U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (B)
- 77.008 U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (B)
- 81.138 State Heating Oil and Propane Program (B)

## **(300) NATURAL RESOURCES AND ENVIRONMENT**

This function includes those programs whose primary purpose is to develop, manage, and maintain the Nation's natural resources and environment. It encompasses development and management of water resources; protection and enhancement of environmental quality; development and maintenance of recreational resources; promotion of the prudent use of forest and mineral resources; the fostering of conservation practices on both public and private lands; marine, earth, and atmospheric -related research, and the management of the public domain. Excluded from this function are the outlays for community water supply programs, basic sewer system, and waste treatment plants, which are part of a community or regional development (rather than an environmental enhancement) program or are part of the cost of operating a Federal facility (such as a military installation).

- 15.532 Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (B)
- 15.549 Integrated Regional Water Plan for the Central Valley of California (B)
- 15.550 Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children (B)
- 90.300 Japan-U.S. Friendship Commission Grants (B)

## **(301) Water Resources**

This includes water protection, conservation, irrigation, and related activities including the total costs of multipurpose water projects where it is not feasible to separate out the transportation (navigation) or energy (power) segments of these projects.

- 10.904 Watershed Protection and Flood Prevention (K)
- 10.916 Watershed Rehabilitation Program (K)
- 10.923 Emergency Watershed Protection Program (B)
- 15.504 Water Reclamation and Reuse Program (A)
- 15.506 Water Desalination Research and Development Program (B)
- 15.507 WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (B)
- 15.508 Providing Water to At-Risk Natural Desert Terminal Lakes (B,C)
- 15.509 Colorado River Basin Salinity Control Program (B)
- 15.510 Colorado Ute Indian Water Rights Settlement Act (B,C)
- 15.511 Cultural Resources Management (B)
- 15.512 Central Valley Project Improvement Act, Title XXXIV (B)
- 15.513 Dutch John Federal Property and Disposition Assistance Act (B)
- 15.514 Reclamation States Emergency Drought Relief (B,C,J,K)
- 15.516 Fort Peck Reservation Rural Water System (B,C)
- 15.517 Fish and Wildlife Coordination Act (B)
- 15.518 Garrison Diversion Unit (B)
- 15.519 Indian Tribal Water Resources Development, Management, and Protection (B,C)
- 15.520 Lewis and Clark Rural Water System (B)
- 15.521 Lower Rio Grande Valley Water Resources Conservation and Improvement (B)
- 15.522 Mni Wiconi Rural Water Supply Project (B)

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15.524	Recreation Resources Management (B)	10.685	Community Wood Energy Program (B)
15.525	Rocky Boy's/North Central Montana Regional Water System (B)	10.686	Forest Biomass for Energy (B)
15.526	San Gabriel Basin Restoration Project (B)	10.687	Recovery Act of 2009: Capital Improvement and Maintenance (B)
15.527	San Luis Unit, Central Valley Project (B)	10.688	Recovery Act of 2009: Wildland Fire Management (B)
15.528	St. Mary Storage Unit Facilities Rehabilitation Project (B,C)	10.689	Community Forest and Open Space Conservation Program (CFP) (B)
15.529	Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (B)	10.690	Lake Tahoe Erosion Control Grant Program (B)
15.530	Water Conservation Field Services Program (WCFSP) (B)	10.691	Good Neighbor Authority (B)
15.531	Yakima River Basin Water Enhancement Project (YRBWEP) (B)	10.693	Watershed Restoration and Enhancement Agreement Authority (B)
15.533	California Water Security and Environmental Enhancement (B)	10.694	Southwest Forest Health and Wildfire Prevention (C)
15.534	Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (B,C)	10.901	Resource Conservation and Development (K)
15.535	Upper Colorado River Basin Fish and Wildlife Mitigation Program (B)	10.902	Soil and Water Conservation (K)
15.537	Middle Rio Grande Endangered Species Collaborative Program (B)	10.903	Soil Survey (L)
15.538	Lower Colorado River Multi-Species Conservation Program. (B)	10.905	Plant Materials for Conservation (J)
15.539	Equus Beds Division Acquirer Storage Recharge Project (B)	10.907	Snow Survey and Water Supply Forecasting (L)
15.540	Lake Mead/Las Vegas Wash Program (B)	10.912	Environmental Quality Incentives Program (C)
15.541	Colorado River Basin Projects Act of 1968 (B)	10.913	Farm and Ranch Lands Protection Program (C)
15.542	Arizona Water Settlement Act of 2004 (B,C)	10.914	Wildlife Habitat Incentive Program (C)
15.543	Lake Tahoe Regional Wetlands Development Program (B)	10.917	Agricultural Management Assistance (C)
15.544	Platte River Recovery Implementation Program (B)	10.920	Grassland Reserve Program (C)
15.545	Bunker Hill Groundwater Basin, Riverside-Corona Feeder Project (B)	10.921	Conservation Security Program (C)
15.546	Youth Conservation Program (B)	10.922	Healthy Forests Reserve Program (HFRP) (C)
15.547	San Jacinto Basin Restoration Fund (B)	10.924	Conservation Stewardship Program (B)
15.548	Reclamation Rural Water Supply Program (B)	10.925	Agricultural Water Enhancement Program (C)
15.551	Madera Water Supply Enhancement Project (B)	10.926	Chesapeake Bay Watershed Program (C)
15.552	NAVAJO-GALLUP WATER SUPPLY PROJECT (B)	11.472	Unallied Science Program (B)
15.553	Eastern New Mexico Rural Water System Project (B)	15.214	Non-Sale Disposals of Mineral Material (H)
15.554	Cooperative Watershed Management Program (B)	15.222	Cooperative Inspection Agreements with States and Tribes (B)
15.555	San Joaquin River Restoration Program (B)	15.224	Cultural Resource Management (B,I,J,K,L,M,N)
15.556	Crow Tribe Water Rights Settlement (C)	15.225	Recreation Resource Management (B,I,J,K,L,M)
15.557	Desert and Southern Rockies Landscape Conservation Cooperatives (B)	15.228	National Fire Plan - Wildland Urban Interface Community Fire Assistance (B,I,J,K,L,M)
15.558	White Mountain Apache Tribe Rural Water System (C)	15.229	Wild Horse and Burro Resource Management (B,I,J,K,L,M)
15.559	New Mexico Rio Grande Basin Pueblos Irrigation Infrastructure Project (B,C)	15.230	Invasive and Noxious Plant Management (B,K,M)
15.560	SECURE Water Act Research Agreements (B)	15.231	Fish, Wildlife and Plant Conservation Resource Management (B,I,J,K,L,M)
15.561	Savage Rapids Pumping Plant Project (B)	15.232	Wildland Fire Research and Studies Program (B)
15.648	Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (B)	15.233	Forests and Woodlands Resource Management (B,K,M)
		15.234	Secure Rural Schools and Community Self-Determination (B)
		15.235	Southern Nevada Public Land Management (B)
		15.236	Environmental Quality and Protection Resource Management (B,K,L,M)
		15.237	Rangeland Resource Management (B,K,M)
		15.238	Challenge Cost Share (B,I,K,M)
		15.239	Management Initiatives (B,I,K,M)
		15.241	Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (B,I,M)
		15.242	National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)
		15.250	Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (B,C)
		15.421	Alaska Coastal Marine Institute (B)
		15.422	Louisiana State University (LSU) Coastal Marine Institute (CMI) (B)
		15.423	Minerals Management Service (MMS) Environmental Studies Program (ESP) (B)
		15.427	Federal Oil and Gas Royalty Management (B)
		15.428	Marine Gas Hydrate Research Activities (B)
		15.608	Fish and Wildlife Management Assistance (B)
		15.615	Cooperative Endangered Species Conservation Fund (B)
		15.619	Rhinoceros and Tiger Conservation Fund (B)
		15.620	African Elephant Conservation Fund (B)

### **(302) Conservation and Land Management**

This includes the costs of operating the public domain (including national forests), payments to encourage private land conservation activities, and surface mining reclamation efforts.

10.069	Conservation Reserve Program (C)
10.072	Wetlands Reserve Program (C)
10.652	Forestry Research (B)
10.664	Cooperative Forestry Assistance (A,B)
10.672	Rural Development, Forestry, and Communities (B)
10.674	Forest Products Lab: Technology Marketing Unit (TMU) (B)
10.675	Urban and Community Forestry Program (B)
10.676	Forest Legacy Program (B)
10.678	Forest Stewardship Program (B)
10.679	Collaborative Forest Restoration (B)
10.680	Forest Health Protection (A,B)
10.681	Wood Education and Resource Center (WERC) (B)
10.682	National Forest Foundation (C)
10.683	National Fish and Wildlife Foundation (C)
10.684	International Forestry Programs (B)

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- 15.621 Asian Elephant Conservation Fund (B)
- 15.623 North American Wetlands Conservation Fund (B)
- 15.629 Great Apes Conservation Fund (B)
- 15.630 Coastal Program (B)
- 15.631 Partners for Fish and Wildlife (B)
- 15.633 Landowner Incentive Program (B)
- 15.634 State Wildlife Grants (A,B)
- 15.635 Neotropical Migratory Bird Conservation (B)
- 15.636 Alaska Subsistence Management (B)
- 15.637 Migratory Bird Joint Ventures (B)
- 15.639 Tribal Wildlife Grants Program (B)
- 15.640 Wildlife Without Borders- Latin America and the Caribbean (B)
- 15.641 Wildlife Without Borders-Mexico (B)
- 15.642 Challenge Cost Share (B)
- 15.643 Alaska Migratory Bird Co-Management Council (B)
- 15.644 Federal Junior Duck Stamp Conservation and Design (B)
- 15.645 Marine Turtle Conservation Fund (B)
- 15.647 Migratory Bird Conservation (B,C)
- 15.649 Service Training and Technical Assistance (Generic Training) (B)
- 15.650 Research Grants (Generic) (B)
- 15.651 Wildlife Without Borders-Africa Program (B)
- 15.652 Undesirable/Noxious Plant Species (B)
- 15.654 Visitor Facility Enhancements - Refuges and Wildlife (B)
- 15.655 Migratory Bird Monitoring, Assessment and Conservation (B,C)
- 15.656 Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (B)
- 15.657 Endangered Species Conservation Recovery Implementation Funds (B)
- 15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)
- 15.660 Endangered Species - Candidate Conservation Action Funds (B)
- 15.661 Lower Snake River Compensation Plan (B)
- 15.662 Great Lakes Restoration (B)
- 15.663 National Fish and Wildlife Foundation (B)
- 15.664 Fish and Wildlife Coordination and Assistance Programs (B)
- 15.665 National Wetlands Inventory (B)
- 15.666 Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention (B)
- 15.948 National Fire Plan-Wildland Urban Interface Community Fire Assistance (B,I,J,K,L)
- 15.949 National Fire Plan - Rural Fire Assistance (B,I,J,K,L,M)
- 15.904 Historic Preservation Fund Grants-In-Aid (A,B)
- 15.912 National Historic Landmark (K)
- 15.914 National Register of Historic Places (K)
- 15.915 Technical Preservation Services (J,K,L)
- 15.916 Outdoor Recreation\_Acquisition, Development and Planning (B)
- 15.918 Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (H)
- 15.921 Rivers, Trails and Conservation Assistance (K)
- 15.922 Native American Graves Protection and Repatriation Act (B)
- 15.923 National Center for Preservation Technology and Training (B)
- 15.926 American Battlefield Protection (B)
- 15.927 Hydropower Recreation Assistance (K)
- 15.928 Civil War Battlefield Land Acquisition Grants (B)
- 15.929 Save America's Treasures (B)
- 15.930 Chesapeake Bay Gateways Network (B)
- 15.931 Conservation Activities by Youth Service Organizations (B)
- 15.932 Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (B)
- 15.933 Preservation of Japanese American Confinement Sites (B)
- 15.934 Abandoned Mine Hazard Mitigation (B,C)
- 15.935 National Trails System Projects (B)
- 15.936 Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (C)
- 15.937 Redwood National Park Cooperative Management with the State of California (B,H,I,K,L,M)
- 15.938 Boston African-American National Historic Site Cooperative Agreement with the Museum of African American History (B,H,I,K,L,M)
- 15.939 National Heritage Area Federal Financial Assistance (C)
- 15.941 Mississippi National River and Recreation Area State and Local Assistance (B)
- 15.942 Environmental Education and Conservation - North Cascades Bioregion (C,J)
- 15.943 Challenge Cost Share (C)
- 15.944 Natural Resource Stewardship (B,C)
- 15.945 Cooperative Research and Training Programs Resources of the National Park System (B,C,I,L,M)
- 15.946 Cultural Resources Management (B,C)
- 15.947 Boston Harbor Islands Partnership (B)
- 15.954 National Park Service Conservation, Protection, Outreach, and Education (B)

### **(303) Recreational Resources**

These are programs involving the acquisition, improvement, and operation of recreational lands and facilities including fish and wildlife and parks. It also includes outlays for the preservation of historic areas.

- 15.406 National Park Service Centennial Challenge. (A)
- 15.407 Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (B,K)
- 15.605 Sport Fish Restoration Program (A)
- 15.611 Wildlife Restoration and Basic Hunter Education (A)
- 15.614 Coastal Wetlands Planning, Protection and Restoration Act (B)
- 15.616 Clean Vessel Act (B)
- 15.622 Sportfishing and Boating Safety Act (B)
- 15.625 Wildlife Conservation and Restoration (A)
- 15.626 Enhanced Hunter Education and Safety Program (A)
- 15.628 Multistate Conservation Grant Program (B)
- 15.653 National Outreach and Communication Program (B)
- 15.658 Natural Resource Damage Assessment, Restoration and Implementation (B)

### **(304) Pollution Control and Abatement**

This includes outlays for controlling and reducing air, water, and land pollution or that are specifically funded as an environmental enhancement program. It excludes water resources programs, water treatment plants, and similar programs that are not funded as part of an environmental enhancement activity.

- 66.001 Air Pollution Control Program Support (B)
- 66.032 State Indoor Radon Grants (B)
- 66.033 Ozone Transport Commission (B)
- 66.034 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (B)
- 66.035 Community Action for a Renewed Environment (CARE) Program (B)
- 66.037 Internships, Training and Workshops for the Office of Air and Radiation (B)
- 66.038 Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (B)
- 66.039 National Clean Diesel Emissions Reduction Program (B)
- 66.040 State Clean Diesel Grant Program (A)

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<p>66.042 Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (B)</p> <p>66.050 Potomac Highlands Implementation Grants (B)</p> <p>66.110 Healthy Communities Grant Program (B)</p> <p>66.113 Region 3 Environmental Priority Projects (B)</p> <p>66.119 West Coast Estuaries Initiative (B)</p> <p>66.120 Puget Sound Watershed Management Assistance (B)</p> <p>66.121 Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (B)</p> <p>66.122 Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (B)</p> <p>66.123 Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (B)</p> <p>66.124 Coastal Wetlands Planning Protection and Restoration Act (B)</p> <p>66.125 Lake Pontchartrain Basin Restoration Program (PRP) (B)</p> <p>66.126 The San Francisco Bay Water Quality Improvement Fund (B)</p> <p>66.127 Southeastern U.S. Regional Targeted Watershed Initiative (B)</p> <p>66.128 Southeastern Multi-Media and Geographic Priority Projects (B)</p> <p>66.202 Congressionally Mandated Projects (B)</p> <p>66.203 Environmental Finance Center Grants (B)</p> <p>66.305 Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (B)</p> <p>66.309 Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (B)</p> <p>66.310 Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (B)</p> <p>66.313 International Compliance and Enforcement Projects (B)</p> <p>66.418 Construction Grants for Wastewater Treatment Works (B)</p> <p>66.419 Water Pollution Control State, Interstate, and Tribal Program Support (A)</p> <p>66.424 Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (B)</p> <p>66.432 State Public Water System Supervision (A)</p> <p>66.433 State Underground Water Source Protection (A)</p> <p>66.436 Surveys, Studies, Investigations, Demonstrations, and Training Grants and Cooperative Agreements - Section 104(b)(3) of the Clean Water Act (B)</p> <p>66.437 Long Island Sound Program (B)</p> <p>66.439 Targeted Watersheds Grants (B)</p> <p>66.440 Urban Waters Small Grants (B)</p> <p>66.454 Water Quality Management Planning (A)</p> <p>66.456 National Estuary Program (B)</p> <p>66.458 Capitalization Grants for Clean Water State Revolving Funds (A)</p> <p>66.460 Nonpoint Source Implementation Grants (A)</p> <p>66.461 Regional Wetland Program Development Grants (B)</p> <p>66.462 National Wetland Program Development Grants and Five-Star Restoration Training Grant (B)</p> <p>66.463 Water Quality Cooperative Agreements (B)</p> <p>66.466 Chesapeake Bay Program (B)</p> <p>66.467 Wastewater Operator Training Grant Program (B)</p> <p>66.468 Capitalization Grants for Drinking Water State Revolving Funds (A)</p> <p>66.469 Great Lakes Program (B,I,L)</p> <p>66.471 State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (A)</p> <p>66.472 Beach Monitoring and Notification Program Implementation Grants (A)</p> <p>66.473 Direct Implementation Tribal Cooperative Agreements (B)</p> <p>66.474 Water Protection Grants to the States (A)</p> <p>66.475 Gulf of Mexico Program (B)</p>	<p>66.478 Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (B)</p> <p>66.479 Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (B)</p> <p>66.480 Assessment and Watershed Protection Program Grants (B)</p> <p>66.481 Lake Champlain Basin Program (B)</p> <p>66.508 Senior Environmental Employment Program (B)</p> <p>66.509 Science To Achieve Results (STAR) Research Program (B)</p> <p>66.510 Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (B)</p> <p>66.511 Office of Research and Development Consolidated Research/Training/Fellowships (B)</p> <p>66.513 Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (B)</p> <p>66.514 Science To Achieve Results (STAR) Fellowship Program (B)</p> <p>66.516 P3 Award: National Student Design Competition for Sustainability (B)</p> <p>66.517 Regional Applied Research Efforts (RARE) (B)</p> <p>66.518 State Senior Environmental Employment Program (B)</p> <p>66.600 Environmental Protection Consolidated Grants for the Insular Areas - Program Support (A)</p> <p>66.604 Environmental Justice Small Grant Program (B)</p> <p>66.605 Performance Partnership Grants (A,B)</p> <p>66.608 Environmental Information Exchange Network Grant Program and Related Assistance (B)</p> <p>66.609 Protection of Children from Environmental Health Risks (B)</p> <p>66.610 Surveys, Studies, Investigations and Special Purpose Grants within the Office of the Administrator (B)</p> <p>66.611 Environmental Policy and Innovation Grants (B)</p> <p>66.612 Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (B)</p> <p>66.700 Consolidated Pesticide Enforcement Cooperative Agreements (B)</p> <p>66.701 Toxic Substances Compliance Monitoring Cooperative Agreements (B)</p> <p>66.707 TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (B)</p> <p>66.708 Pollution Prevention Grants Program (B)</p> <p>66.714 Regional Agricultural IPM Grants (B)</p> <p>66.715 Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (B)</p> <p>66.716 Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (B)</p> <p>66.717 Source Reduction Assistance (B)</p> <p>66.718 National Community-Based Lead Outreach and Training Grant Program (B)</p> <p>66.801 Hazardous Waste Management State Program Support (A)</p> <p>66.802 Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (B)</p> <p>66.804 Underground Storage Tank Prevention, Detection and Compliance Program (A)</p> <p>66.805 Leaking Underground Storage Tank Trust Fund Corrective Action Program (A)</p> <p>66.806 Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (B)</p> <p>66.808 Solid Waste Management Assistance Grants (B)</p> <p>66.809 Superfund State and Indian Tribe Core Program Cooperative Agreements (B)</p> <p>66.810 Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (B)</p> <p>66.812 Hazardous Waste Management Grant Program for Tribes (B)</p>
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- 66.813 Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (B)
- 66.814 Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (B)
- 66.815 Environmental Workforce Development and Job Training Cooperative Agreements (B)
- 66.816 Headquarters and Regional Underground Storage Tanks Program (B)
- 66.817 State and Tribal Response Program Grants (A)
- 66.818 Brownfields Assessment and Cleanup Cooperative Agreements (B)
- 66.926 Indian Environmental General Assistance Program (GAP) (B)
- 66.931 International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (B)
- 66.950 National Environmental Education Training Program (B)
- 66.951 Environmental Education Grants (B)
- 66.952 National Network for Environmental Management Studies Fellowship Program (B)

### **(306) Other Natural Resources**

This includes miscellaneous natural resources programs not classified in other subfunctions, such as marine, earth, and atmosphere-related research, and the cost of geological surveys and mapping.

- 11.008 NOAA Mission-Related Education Awards (B)
- 11.011 Ocean Exploration (B)
- 11.012 Integrated Ocean Observing System (IOOS) (B)
- 11.400 Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (B)
- 11.407 Interjurisdictional Fisheries Act of 1986 (A)
- 11.413 Fishery Products Inspection and Certification (J)
- 11.417 Sea Grant Support (B)
- 11.419 Coastal Zone Management Administration Awards (A,B)
- 11.420 Coastal Zone Management Estuarine Research Reserves (B)
- 11.426 Financial Assistance for National Centers for Coastal Ocean Science (B)
- 11.429 Marine Sanctuary Program (B)
- 11.430 Undersea Research (B)
- 11.431 Climate and Atmospheric Research (B)
- 11.432 National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (B)
- 11.433 Marine Fisheries Initiative (B)
- 11.434 Cooperative Fishery Statistics (B)
- 11.435 Southeast Area Monitoring and Assessment Program (B)
- 11.436 Columbia River Fisheries Development Program (B)
- 11.437 Pacific Fisheries Data Program (B)
- 11.438 Pacific Coast Salmon Recovery\_Pacific Salmon Treaty Program (B)
- 11.439 Marine Mammal Data Program (B)
- 11.440 Environmental Sciences, Applications, Data, and Education (B)
- 11.441 Regional Fishery Management Councils (B)
- 11.452 Unallied Industry Projects (B)
- 11.454 Unallied Management Projects (B)
- 11.457 Chesapeake Bay Studies (B)
- 11.459 Weather and Air Quality Research (B)
- 11.460 Special Oceanic and Atmospheric Projects (B)
- 11.462 Hydrologic Research (B)
- 11.463 Habitat Conservation (B)
- 11.467 Meteorologic and Hydrologic Modernization Development (B,D,L,M)
- 11.468 Applied Meteorological Research (B)
- 11.469 Congressionally Identified Awards and Projects (B)
- 11.472 Unallied Science Program (B)
- 11.473 Coastal Services Center (B)

- 11.474 Atlantic Coastal Fisheries Cooperative Management Act (B)
- 11.478 Center for Sponsored Coastal Ocean Research\_Coastal Ocean Program (B)
- 11.481 Educational Partnership Program (B)
- 11.482 Coral Reef Conservation Program (B)
- 15.240 Helium Resource Management (B)
- 15.424 Marine Minerals Activities (B)
- 15.805 Assistance to State Water Resources Research Institutes (A,B)
- 15.807 Earthquake Hazards Reduction Program (B)
- 15.808 U.S. Geological Survey\_ Research and Data Collection (B)
- 15.809 National Spatial Data Infrastructure Cooperative Agreements Program (B)
- 15.810 National Cooperative Geologic Mapping Program (B)
- 15.811 Gap Analysis Program (B)
- 15.812 Cooperative Research Units Program (B)
- 15.813 Cooperative Research Units Training Program (B)
- 15.814 National Geological and Geophysical Data Preservation Program (B)
- 15.815 National Land Remote Sensing\_Education Outreach and Research (B)
- 15.816 Minerals Resources External Research Program (B)
- 15.817 National Geospatial Program: Building The National Map (B)
- 15.818 Volcano Hazards Program Research and Monitoring. (B)
- 15.819 Energy Cooperatives to Support the National Coal Resources Data System (NCRDS) (B)
- 15.820 National Climate Change and Wildlife Science Center (B)
- 15.978 Upper Mississippi River System Long Term Resource Monitoring Program (B)

### **(350) AGRICULTURE**

This function includes those programs that promote the economic stability of agriculture and the Nation's capability to maintain and increase agricultural production. These objectives are accomplished through farm income stabilization programs, research and educational activities, programs that maintain agricultural markets, regulation of agricultural markets and practices, and maintenance of an adequate stockpile of agricultural commodities. This function does not include programs which, though related to rural development, are not directly related to agriculture, such as rural environmental and conservation programs that are classified in the natural resources function. In addition, it excludes the costs connected with concessionary food export sales or food donations whether overseas or for domestic income support purposes.

- 10.443 Outreach and Assistance for Socially Disadvantaged Farmers and Ranchers (B)
- 10.465 Farmworker Training Grant Program (B)
- 10.609 Trade Adjustment Assistance (D)

### **(351) Farm Income Stabilization**

Loans, subsidies, and other payments for purposes of stabilizing agricultural prices at an equitable level. This includes the cost of acquisition and storage of agricultural commodity stockpiles but does not include the cost of foreign agricultural export losses (which are classified in the international affairs function) or domestic donations of food (which are part of an income support, rather than a farm price support, program).

- 10.051 Commodity Loans and Loan Deficiency Payments (D,E)
- 10.053 Dairy Indemnity Program (D)
- 10.055 Direct and Counter-cyclical Payments Program (C)
- 10.056 Farm Storage Facility Loans (E)
- 10.080 Milk Income Loss Contract Program (D)
- 10.085 Tobacco Transition Payment Program (D)
- 10.087 Biomass Crop Assistance Program (D)
- 10.088 Livestock Indemnity Program (C)
- 10.089 Livestock Forage Disaster Program (C)
- 10.090 Supplemental Revenue Assistance Program (C)

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10.091	Emergency Assistance for Livestock, Honeybees, and Farm-Raised Fish Program (C)	10.228	Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (B)
10.092	Tree Assistance Program (D)	10.250	Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations (B,L)
10.095	Durum Wheat Quality Program (D)	10.253	Food Assistance and Nutrition Research Programs (FANRP) (L)
10.099	Conservation Loans (E,F)	10.254	Program of Research on the Economic of Invasive Species Management (PREISM) (L)
10.141	Dairy Product Price Support Program (D)	10.255	Research Innovation and Development Grants in Economic (RIDGE) (L)
10.404	Emergency Loans (E)	10.256	Consumer Data and Information Program (L)
10.406	Farm Operating Loans (E,F)	10.290	Agricultural Market and Economic Research (B)
10.407	Farm Ownership Loans (E,F)	10.303	Integrated Programs (B)
10.421	Indian Tribes and Tribal Corporation Loans (E)	10.304	Homeland Security_Agricultural (B)
10.435	State Mediation Grants (B)	10.305	International Science and Education Grants (B)
10.437	Interest Assistance Program (F)	10.306	Biodiesel (B)
10.449	Boll Weevil Eradication Loan Program (E)	10.307	Organic Agriculture Research and Extension Initiative (B)
10.450	Crop Insurance (G)	10.308	Resident Instruction Grants for Insular Area Activities (B)
10.451	Noninsured Assistance (D)	10.309	Specialty Crop Research Initiative (B)
10.456	Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (B)	10.310	Agriculture and Food Research Initiative (AFRI) (B)
10.458	Crop Insurance Education in Targeted States (B)	10.311	Beginning Farmer and Rancher Development Program (B)
10.459	Commodity Partnerships for Small Agricultural Risk Management Education Sessions (B)	10.312	Biomass Research and Development Initiative Competitive Grants Program (BRDI) (B)
10.460	Risk Management Education and Outreach Partnerships Program (B)	10.313	Veterinary Medicine Loan Repayment Program (C)
10.610	Export Guarantee Program (F)	10.314	New ERA Rural Technology Competitive Grants Program (B)

### **(352) Agricultural Research and Services**

This includes all other costs of agricultural programs including expenses for programs such as agricultural research and extension services.

10.001	Agricultural Research_Basic and Applied Research (B)	10.315	Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (B)
10.025	Plant and Animal Disease, Pest Control, and Animal Care (B)	10.316	Healthy Urban Food Enterprise Development Center (HUFED) (B)
10.028	Wildlife Services (B)	10.317	Food Aid Nutrition Enhancement Program (B)
10.030	Indemnity Program (D)	10.318	Women and Minorities in Science, Technology, Engineering, and (B)
10.153	Market News (L)	10.319	Farm Business Management and Benchmarking Competitive Grants Program (B)
10.156	Federal-State Marketing Improvement Program (B)	10.320	Sun Grant Program (B)
10.162	Inspection Grading and Standardization (J)	10.322	Distance Education Grants for Institutions of Higher Education in Insular Areas (B)
10.163	Market Protection and Promotion (J,K,M)	10.324	Afghanistan Agricultural Extension Project (AAEP) (B)
10.164	Wholesale Farmers and Alternative Market Development (K,M)	10.325	Peoples Garden Grant Program (B)
10.165	Perishable Agricultural Commodities Act (N)	10.326	Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA) (B)
10.167	Transportation Services (K,M)	10.327	Common Bean Productivity Research for Global Food Security Competitive Program (B)
10.168	Farmers' Market Promotion Program (B)	10.613	Faculty Exchange Program (B,C)
10.170	Specialty Crop Block Grant Program - Farm Bill (B)	10.614	Scientific Cooperation Exchange Program with China (B,C)
10.200	Grants for Agricultural Research, Special Research Grants (B)	10.700	National Agricultural Library (L)
10.202	Cooperative Forestry Research (A)	10.777	Norman E. Borlaug International Agricultural Science and Technology Fellowship (B,C)
10.203	Payments to Agricultural Experiment Stations Under the Hatch Act (A)	10.950	Agricultural Statistics Reports (L)
10.205	Payments to 1890 Land-Grant Colleges and Tuskegee University (A)	10.960	Technical Agricultural Assistance (B,C)
10.206	Grants for Agricultural Research_Competitive Research Grants (B)	10.961	Scientific Cooperation and Research (B,C)
10.207	Animal Health and Disease Research (A)	10.962	Cochran Fellowship Program-International Training-Foreign Participant (B,C)
10.210	Food and Agricultural Sciences National Needs Graduate Fellowship Grants (B)		
10.212	Small Business Innovation Research (B)		
10.215	Sustainable Agriculture Research and Education (B)		
10.216	1890 Institution Capacity Building Grants (B)		
10.217	Higher Education Challenge Grants (B)		
10.219	Biotechnology Risk Assessment Research (B)		
10.220	Higher Education Multicultural Scholars Program (B)		
10.221	Tribal Colleges Education Equity Grants (B)		
10.222	Tribal Colleges Endowment Program (A)		
10.223	Hispanic Serving Institutions Education Grants (B)		
10.226	Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (B)		
10.227	1994 Institutions Research Program (B)		

### **(370) COMMERCE AND HOUSING CREDIT**

This function includes the promotion and regulation of commerce and the housing and thrift insurance industries. Commerce includes the collection and dissemination of social and economic data unless they are an integral part of another function (such as health). This function includes general purpose loans and subsidies to business and to the housing industry. In general, credit and insurance programs are included in this function; however, if such programs are a means of achieving the basic objectives of another function and are an integral part of the programs of that function they are classified in the other function.

19.750	Bureau of Western Hemisphere Affairs (WHA) Grant Programs
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(including Energy and Climate Partnership for the Americas) (B)

### **(371) Mortgage Credit**

Includes homeownership and related loan and insurance programs.

- 10.405 Farm Labor Housing Loans and Grants (B,F)
- 10.410 Very Low to Moderate Income Housing Loans (E,F)
- 10.415 Rural Rental Housing Loans (B,E)
- 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
- 10.446 Rural Community Development Initiative (B)
- 10.447 The Rural Development (RD) Multi-Family Housing Revitalization Demonstration Program (MPR) (B)
- 14.108 Rehabilitation Mortgage Insurance (F)
- 14.110 Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (F)
- 14.117 Mortgage Insurance\_Homes (F)
- 14.119 Mortgage Insurance\_Homes for Disaster Victims (F)
- 14.122 Mortgage Insurance\_Homes in Urban Renewal Areas (F)
- 14.123 Mortgage Insurance\_Housing in Older, Declining Areas (F)
- 14.126 Mortgage Insurance\_Cooperative Projects (F)
- 14.127 Mortgage Insurance\_Manufactured Home Parks (F)
- 14.128 Mortgage Insurance\_Hospitals (F)
- 14.129 Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (F)
- 14.133 Mortgage Insurance\_Purchase of Units in Condominiums (F)
- 14.134 Mortgage Insurance\_Rental Housing (F)
- 14.135 Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (F)
- 14.138 Mortgage Insurance\_Rental Housing for the Elderly (F)
- 14.139 Mortgage Insurance\_Rental Housing in Urban Renewal Areas (F)
- 14.142 Property Improvement Loan Insurance for Improving All Existing Structures and Building of New Nonresidential Structures (F)
- 14.151 Supplemental Loan Insurance\_Multifamily Rental Housing (F)
- 14.155 Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (F)
- 14.157 Supportive Housing for the Elderly (C)
- 14.159 Section 245 Graduated Payment Mortgage Program (F)
- 14.162 Mortgage Insurance\_Combination and Manufactured Home Lot Loans (F)
- 14.163 Mortgage Insurance\_Single Family Cooperative Housing (F)
- 14.167 Mortgage Insurance\_Two Year Operating Loss Loans, Section 223(d) (F)
- 14.172 Mortgage Insurance\_Growing Equity Mortgages (F)
- 14.175 Adjustable Rate Mortgages (F)
- 14.181 Supportive Housing for Persons with Disabilities (C)
- 14.183 Home Equity Conversion Mortgages (F)
- 14.184 Mortgages Insurance for Single Room Occupancy (SRO) Projects (F)
- 14.188 Housing Finance Agencies (HFA) Risk Sharing (F)
- 14.189 Qualified Participating Entities (QPE) Risk Sharing (F)
- 14.198 Good Neighbor Next Door Sales Program (H)
- 14.311 Single Family Property Disposition (H)
- 14.313 Dollar Home Sales (H)
- 14.323 Emergency Homeowners Loan Program (E)
- 14.324 FHA PowerSaver Home Energy Improvement Pilot Program (F)
- 14.326 Project Rental Assistance Demonstration (PRA Demo) Program of Section 811 Supportive Housing for Persons with Disabilities (B)
- 14.865 Public and Indian Housing\_Indian Loan Guarantee Program (F)
- 14.874 Loan Guarantees for Native Hawaiian Housing (F)
- 19.124 East Asia and Pacific Grants Program (B)

### **(372) Postal Service**

Any net outlays of the postal service included in the budget (or off-budget).

### **(373) Deposit Insurance**

Includes insurance programs protecting depository thrift institutions.

### **(376) Other Advancement of Commerce**

This includes loan programs designed to aid specialized forms of business (such as small business) that are not included elsewhere in the functional structure. It also includes the costs of collection and dissemination of economic and demographic statistics (such as census data) and of regulation of business.

- 11.408 Fishermen's Contingency Fund (D)
- 11.415 Fisheries Finance Program (E)
- 11.427 Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program (B)
- 11.549 State and Local Implementation Grant Program (B)
- 11.557 Broadband Technology Opportunities Program (BTOP) (B)
- 11.558 State Broadband Data and Development Grant Program (B)
- 11.559 Low-Power Television and Translator Upgrade Program (B)
- 11.804 MBDA Business Center - American Indian and Alaska Native (B)
- 14.171 Manufactured Home Dispute Resolution (J)
- 59.062 Intermediary Loan Program (E)

### **(400) TRANSPORTATION**

This function includes all programs with the primary aim of providing for the transportation of the general public and/or their property, regardless of whether local or national and regardless of the particular mode of transportation. It includes the construction of facilities; purchase of equipment; research, testing, and evaluation; provision of communications directly related to transportation (for example, air traffic control by the FAA); and operating subsidies for transportation facilities (such as mass transit) and industries (such as railroads). Transportation includes regulatory activities directed toward transportation. Excluded from this function are the costs of moving personnel or equipment as part of the operation of other government services; the provision of foreign economic assistance which may take the course of assisting transportation facilities or programs abroad; the construction of roads, trails, etc., as an integral part of the operation of public lands, parks, forests, or military reservations, unless they are specifically funded as a part of a broader transportation program; the construction of roads or other transportation facilities as an integral part of a broad community facility or regional development program where the clear intent of the program is regional development and the provisions of transportation facilities is only an incidental by-product or means to attain the objective of regional development. Also excluded from transportation are research and technology activities devoted to space research, except for aeronautical technology, even though this research may eventually redound to the advantage of general transportation.

### **(401) Ground Transportation**

Outlays to aid and/or regulate the various modes of ground transportation, such as roads and highways, railroads, and urban mass transit.

- 20.200 Highway Research and Development Program (B)
- 20.205 Highway Planning and Construction (A,B)
- 20.215 Highway Training and Education (B,M)
- 20.218 National Motor Carrier Safety (A)
- 20.219 Recreational Trails Program (A)
- 20.223 Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (E,F)
- 20.231 Performance and Registration Information Systems Management (B)
- 20.232 Commercial Driver's License Program Improvement Grant (B)
- 20.233 Border Enforcement Grants (B)
- 20.234 Safety Data Improvement Program (B)
- 20.235 Commercial Motor Vehicle Operator Training Grants (B)
- 20.237 Commercial Vehicle Information Systems and Networks (B)
- 20.238 Commercial Drivers License Information System (CDLIS)

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Modernization Grant (B)  
20.239 Motor Carrier Research and Technology Programs (B)  
20.240 Fuel Tax Evasion-Intergovernmental Enforcement Effort (B)  
20.301 Railroad Safety (B)  
20.313 Railroad Research and Development (B)  
20.314 Railroad Development (B)  
20.315 National Railroad Passenger Corporation Grants (B)  
20.316 Railroad Rehabilitation and Improvement Financing Program (E,F)  
20.317 Capital Assistance to States - Intercity Passenger Rail Service (B)  
20.318 Maglev Project Selection Program - SAFETEA-LU (B)  
20.319 High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (B)  
20.320 Rail Line Relocation and Improvement (B)  
20.321 RAILROAD SAFETY TECHNOLOGY GRANTS (B)  
20.500 Federal Transit\_Capital Investment Grants (A,B)  
20.505 Metropolitan Transportation Planning (A)  
20.507 Federal Transit\_Formula Grants (A)  
20.509 Formula Grants for Other Than Urbanized Areas (A)  
20.513 Capital Assistance Program for Elderly Persons and Persons with Disabilities (A)  
20.514 Public Transportation Research (B,L,M)  
20.515 State Planning and Research (A)  
20.516 Job Access\_Reverse Commute (B)  
20.518 Capital and Training Assistance Program for Over-the-Road Bus Accessibility (B)  
20.519 Clean Fuels (B)  
20.521 New Freedom Program (A)  
20.522 Alternatives Analysis (B)  
20.523 Capital Assistance Program for Reducing Energy Consumption and Greenhouse Gas Emissions (B)  
20.524 Passenger Rail Investment and Improvement (PRIIA) Projects for Washington Metropolitan Area Transit Authority (WMATA) (B)  
20.600 State and Community Highway Safety (A)  
20.601 Alcohol Impaired Driving Countermeasures Incentive Grants I (B)  
20.602 Occupant Protection Incentive Grants (B)  
20.607 Alcohol Open Container Requirements (B)  
20.608 Minimum Penalties for Repeat Offenders for Driving While Intoxicated (B)  
20.609 Safety Belt Performance Grants (B)  
20.610 State Traffic Safety Information System Improvement Grants (B)  
20.611 Incentive Grant Program to Prohibit Racial Profiling (A)  
20.612 Incentive Grant Program to Increase Motorcyclist Safety (A)  
20.613 Child Safety and Child Booster Seats Incentive Grants (B)  
20.614 National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (B)  
20.616 National Priority Safety Programs (A)  
20.701 University Transportation Centers Program (B)  
20.761 Biobased Transportation Research (B)  
20.762 Research Grants (B)

## **(402) Air Transportation**

Outlays to aid and/or regulate air transportation, including aeronautical research conducted by the National Aeronautics and Space Administration.

20.106 Airport Improvement Program (B,K)  
20.108 Aviation Research Grants (B,I)  
20.109 Air Transportation Centers of Excellence (B,I,J)  
20.901 Payments for Essential Air Services (C)  
20.930 Payments for Small Community Air Service Development (B)  
97.047 Pre-Disaster Mitigation (B)  
97.056 Port Security Grant Program (B)

97.057 Intercity Bus Security Grants (B)  
97.116 Port Security Grant Program (ARRA) (B)

## **(403) Water Transportation**

Outlays to aid and/or regulate maritime commerce. (To the extent that the data can readily be segregated, this should extend to include inland and deep draft navigation facilities of water resources projects.)

20.802 Federal Ship Financing Guarantees (F)  
20.803 Maritime War Risk Insurance (G)  
20.806 State Maritime Schools (C,I)  
20.807 U.S. Merchant Marine Academy (M)  
20.808 Capital Construction Fund (C)  
20.812 Construction Reserve Fund (C)  
20.816 Americas Marine Highway Grants (B)  
20.817 Air Emissions and Energy Initiative (B)  
33.001 Shipping\_Dispute Resolution and Investigation of Complaints (N)  
97.012 Boating Safety Financial Assistance (A)

## **(407) Other Transportation**

Outlays for general transportation programs and overhead not readily allocable into any of the preceding subfunctions.

20.520 Paul S. Sarbanes Transit in the Parks (B)  
20.700 Pipeline Safety Program State Base Grant (A)  
20.703 Interagency Hazardous Materials Public Sector Training and Planning Grants (B)  
20.710 Technical Assistance Grants (B)  
20.720 State Damage Prevention Program Grants (B)  
20.721 PHMSA Pipeline Safety Program One Call Grant (B)  
20.723 PHMSA Pipeline Safety Research and Development Other Transaction Agreements (B)  
20.764 Hydrogen Storage Research and Development (B)  
20.900 Transportation\_Consumer Affairs (N)  
20.905 Disadvantaged Business Enterprises\_Short Term Lending Program (F)  
20.907 Entrepreneurial Training and Technical Assistance Women and Girls Program (B)  
20.910 Assistance to small and disadvantaged businesses (B)  
20.931 Transportation Planning, Research and Education (B)  
20.932 Surface Transportation \_ Discretionary Grants for Capital Investment. (B)  
20.933 National Infrastructure Investments (B)

## **(450) COMMUNITY AND REGIONAL DEVELOPMENT**

This function consists of broad-based community, regional, urban and rural renewal and development programs. It includes grants and loans for water supply and sewer systems (except those specifically funded as environmental protection programs), urban community and economic development programs, regional economic development programs, broad-based public facility construction programs, and relief and rehabilitation of private and public facilities in the event of natural disasters. Aids to businesses such as loans, loan guarantees, and subsidies are not normally included in this function unless such aids are a means of economic development to aid restricted (generally depressed) areas and are not designed to promote particular lines of business for their own sake. Transportation facilities developed as an integral part of a community development (rather than transportation) program are also included in this function. As a normal rule, human development and services programs are excluded from this function (and included in the education, training, employment, and social services function). This function is confined to development of physical facilities or financial infrastructures designed to promote viable community economies.

## **(451) Community Development**

This subfunction includes grants and related programs designed to aid community (largely urban) development. It includes community development

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block grants and predecessor activities such as the urban renewal and model cities programs. Community development programs are generally carried out by the Department of Housing and Urban Development.

- 10.866 Repowering Assistance (C)
- 10.867 BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (D)
- 10.868 Rural Energy for America Program (F)
- 14.008 Transformation Initiative: Choice Neighborhoods Demonstration Small Research Grant Program (B)
- 14.218 Community Development Block Grants/Entitlement Grants (A)
- 14.225 Community Development Block Grants/Special Purpose Grants/Insular Areas (B)
- 14.228 Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (A)
- 14.248 Community Development Block Grants\_Section 108 Loan Guarantees (F)
- 14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)
- 14.259 CPD's Transformation Initiative Technical Assistance (B)
- 14.264 Neighborhood Stabilization Program (B)
- 14.321 FHA Technical Assistance Training Transformation Initiative (M)
- 14.420 Fair Housing Initiatives Program Enforcement Testing Technical Assistance (B)
- 14.523 Transformation Initiative Research Grants: Sustainable Community Research Grant Program (B)
- 14.534 Strong Cities Strong Communities (SC2) National Resource Network (B)
- 14.703 Sustainable Communities Regional Planning Grant Program (B)
- 14.704 Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (B)
- 14.705 Capacity Building for Sustainable Communities (B)
- 14.862 Indian Community Development Block Grant Program (B)
- 21.010 Financial Education and Counseling Pilot Program (B)
- 21.011 Capital Magnet Fund (B)
- 21.012 Native Initiatives (B)
- 21.014 Community Development Financial Institutions Bond Guarantee Program (F)
- 21.020 Community Development Financial Institutions Program (B)
- 21.021 Bank Enterprise Award Program (B)

### **(452) Area and Regional Development**

Grants, loans, subsidies, and related aids to economic development or depressed areas that are generally either primarily for rural areas or else are more regional in nature or purpose than the community development programs. Area and regional development programs are generally carried out by agencies other than the Department of Housing and Urban Development, such as the Departments of Agriculture, Commerce, and Interior.

- 10.350 Technical Assistance to Cooperatives (J,K,L,M)
- 10.352 Value-Added Producer Grants (B)
- 10.760 Water and Waste Disposal Systems for Rural Communities (B,E,F)
- 10.761 Technical Assistance and Training Grants (B)
- 10.762 Solid Waste Management Grants (B)
- 10.763 Emergency Community Water Assistance Grants (B)
- 10.766 Community Facilities Loans and Grants (B,E,F)
- 10.767 Intermediary Relending Program (E)
- 10.768 Business and Industry Loans (F)
- 10.769 Rural Business Enterprise Grants (B)
- 10.770 Water and Waste Disposal Loans and Grants (Section 306C) (B,E)
- 10.771 Rural Cooperative Development Grants (B)
- 10.773 Rural Business Opportunity Grants (B)
- 10.778 Research on the Economic Impact of Cooperatives (C)

- 10.781 Water and Waste Disposal Systems for Rural Communities - ARRA (B,E)
- 10.854 Rural Economic Development Loans and Grants (B,E)
- 10.855 Distance Learning and Telemedicine Loans and Grants (B,E)
- 10.856 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (C)
- 10.857 State Bulk Fuel Revolving Fund Grants (B)
- 10.858 Denali Commission Grants and Loans (B)
- 10.859 Assistance to High Energy Cost Rural Communities (B)
- 10.861 Public Television Station Digital Transition Grant Program (B)
- 10.862 Household Water Well System Grant Program (B)
- 10.863 Community Connect Grant Program (B)
- 10.864 Grant Program to Establish a Fund for Financing Water and Wastewater Projects (B)
- 10.865 Biorefinery Assistance (F)
- 10.874 Delta Health Care Services Grant Program (B)
- 10.886 Rural Broadband Access Loans and Loan Guarantees (E,F)
- 11.300 Investments for Public Works and Economic Development Facilities (B)
- 11.302 Economic Development\_Support for Planning Organizations (B)
- 11.303 Economic Development\_Technical Assistance (B)
- 11.307 Economic Adjustment Assistance (B)
- 11.312 Research and Evaluation Program (B)
- 11.313 Trade Adjustment Assistance for Firms (B)
- 15.022 Tribal Self-Governance (C)
- 15.024 Indian Self-Determination Contract Support (C)
- 15.108 Indian Employment Assistance (C)
- 15.133 Native American Business Development Institute (A)
- 15.146 Ironworker Training Program (B)
- 23.001 Appalachian Regional Development (See individual Appalachian Programs) (B)
- 23.002 Appalachian Area Development (B)
- 23.003 Appalachian Development Highway System (B)
- 23.009 Appalachian Local Development District Assistance (B)
- 23.011 Appalachian Research, Technical Assistance, and Demonstration Projects (B)

### **(453) Disaster Relief and Insurance**

This subfunction includes those Federal programs uniquely devoted to assist communities to recover from natural disasters and assist families on an emergency basis when they are adversely affected by such disasters.

- 10.054 Emergency Conservation Program (C)
- 10.102 Emergency Forest Restoration Program (D)
- 97.022 Flood Insurance (G)
- 97.023 Community Assistance Program State Support Services Element (CAP-SSSE) (B)
- 97.029 Flood Mitigation Assistance (B)
- 97.030 Community Disaster Loans (E)
- 97.031 Cora Brown Fund (C)
- 97.032 Crisis Counseling (B)
- 97.033 Disaster Legal Services (C)
- 97.034 Disaster Unemployment Assistance (B)
- 97.036 Disaster Grants - Public Assistance (Presidentially Declared Disasters) (B)
- 97.041 National Dam Safety Program (B)
- 97.045 Cooperating Technical Partners (B)
- 97.046 Fire Management Assistance Grant (B,J)
- 97.048 Federal Disaster Assistance to Individuals and Households in Presidential Declared Disaster Areas (B,C)
- 97.049 Presidential Declared Disaster Assistance - Disaster Housing

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Operations for Individuals and Households (C,J)

- 97.050 Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (C)
- 97.082 Earthquake Consortium (B)
- 97.092 Repetitive Flood Claims (B)
- 97.109 Disaster Housing Assistance Grant (B)
- 97.110 Severe Repetitive Loss Program (B)
- 97.122 Bio-Preparedness Collaboratory (B)
- 97.126 National Special Security Event (B)

## **(500) EDUCATION, TRAINING, EMPLOYMENT, AND SOCIAL SERVICES**

This function includes those outlays designed to promote the general extension of knowledge and skills, to provide public services to needy individuals, and/or to assist individuals to become self-supporting members of society. It includes the provision of education or training child care services, employment counselling, vocational rehabilitation, and other social services provided to individuals and families. It also includes cash payments (scholarships, loans, or stipends) to persons when such payments are provided to enable a person to participate in education or training programs; it includes programs designed to provide services to the poor (such as community services) that are not an integral part of some other function, and also includes the costs of research directly related to the programs in this function. This function excludes education or training undertaken as an integral part of the achievement of another functional end (such as training of military personnel; veterans education, training, and rehabilitation; or training of health workers in a health program) and also excludes general purpose scientific research. Nutrition or food service programs that are funded separately from social services or education shall be included as income security rather than being included in this function.

- 84.323 Special Education - State Personnel Development (B)
- 84.324 Research in Special Education (B)
- 84.329 Special Education\_Studies and Evaluations (B)

## **(501) Elementary, Secondary, and Vocational Education**

This includes pre-school, elementary, secondary and vocational education programs.

- 15.026 Indian Adult Education (C)
- 15.027 Assistance to Tribally Controlled Community Colleges and Universities (B)
- 15.028 Tribally Controlled Community College Endowments (B)
- 15.042 Indian School Equalization Program (C)
- 15.043 Indian Child and Family Education (B,M)
- 15.044 Indian Schools\_Student Transportation (C)
- 15.046 Administrative Cost Grants for Indian Schools (B)
- 15.047 Indian Education Facilities, Operations, and Maintenance (C)
- 15.058 Indian Post Secondary Schools (M)
- 15.059 Indian Graduate Student Scholarships (B)
- 15.114 Indian Education\_Higher Education Grant Program (B)
- 15.130 Indian Education\_Assistance to Schools (C)
- 15.149 FOCUS on Student Achievement Project (B)
- 15.151 Education Program Enhancements (B)
- 81.022 Laboratory Equipment Donation Program (B)
- 84.002 Adult Education - Basic Grants to States (A)
- 84.004 Civil Rights Training and Advisory Services (B)
- 84.010 Title I Grants to Local Educational Agencies (A)
- 84.011 Migrant Education\_State Grant Program (A)
- 84.013 Title I State Agency Program for Neglected and Delinquent Children and Youth (A)
- 84.027 Special Education\_Grants to States (A)
- 84.040 Impact Aid\_Facilities Maintenance (B)
- 84.041 Impact Aid (A,B)

- 84.048 Career and Technical Education -- Basic Grants to States (A)
- 84.051 Career and Technical Education -- National Programs (B)
- 84.060 Indian Education\_Grants to Local Educational Agencies (A)
- 84.101 Career and Technical Education - Grants to Native Americans and Alaska Natives (B)
- 84.141 Migrant Education\_High School Equivalency Program (B)
- 84.144 Migrant Education\_Coordination Program (B)
- 84.149 Migrant Education\_College Assistance Migrant Program (B)
- 84.165 Magnet Schools Assistance (B)
- 84.173 Special Education\_Preschool Grants (A)
- 84.181 Special Education-Grants for Infants and Families (A)
- 84.184 Safe and Drug-Free Schools and Communities\_National Programs (B)
- 84.191 Adult Education\_National Leadership Activities (B,C)
- 84.196 Education for Homeless Children and Youth (A)
- 84.215 Fund for the Improvement of Education (B)
- 84.245 Tribally Controlled Postsecondary Career and Technical Institutions (B)
- 84.256 Territories and Freely Associated States Education Grant Program (B)
- 84.259 Native Hawaiian Career and Technical Education (B)
- 84.282 Charter Schools (B)
- 84.283 Comprehensive Centers (B)
- 84.287 Twenty-First Century Community Learning Centers (A)
- 84.293 Foreign Language Assistance (B)
- 84.295 Ready-To-Learn Television (B)
- 84.299 Indian Education -- Special Programs for Indian Children (B)
- 84.325 Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (B)
- 84.326 Special Education\_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (B)
- 84.327 Special Education\_Technology and Media Services for Individuals with Disabilities (B)
- 84.328 Special Education\_Parent Information Centers (B)
- 84.330 Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (B)
- 84.331 Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (A)
- 84.336 Teacher Quality Partnership Grants (B)
- 84.350 Transition to Teaching (B)
- 84.351 Arts in Education (B)
- 84.354 Credit Enhancement for Charter School Facilities (B)
- 84.356 Alaska Native Educational Programs (B)
- 84.358 Rural Education (A)
- 84.360 High School Graduation Initiative (B)
- 84.361 Voluntary Public School Choice (B)
- 84.362 Native Hawaiian Education (B)
- 84.363 School Leadership (B)
- 84.365 English Language Acquisition State Grants (A)
- 84.366 Mathematics and Science Partnerships (A)
- 84.367 Improving Teacher Quality State Grants (A)
- 84.368 Grants for Enhanced Assessment Instruments (B)
- 84.369 Grants for State Assessments and Related Activities (A)
- 84.370 DC School Choice Incentive Program (B)
- 84.371 Striving Readers (A,B)
- 84.373 Special Education\_Technical Assistance on State Data Collection (B)
- 84.374 Teacher Incentive Fund (B)
- 84.377 School Improvement Grants (A)
- 84.380 Special Education -- Olympic Education Programs (B)
- 84.403 Consolidated Grant to the Outlying Areas (A)
- 84.411 Investing in Innovation (i3) Fund (B)

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- 84.412 Race to the Top Early Learning Challenge (B)
- 84.413 Race to the Top (B)
- 84.415 State Tribal Education Partnership (STEP) (B)
- 84.416 Race to the Top - District Grants (B)

### **(502) Higher Education**

This includes postsecondary, college level and graduate school education programs.

- 84.007 Federal Supplemental Educational Opportunity Grants (C)
- 84.015 National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (B)
- 84.016 Undergraduate International Studies and Foreign Language Programs (B)
- 84.017 International Research and Studies (B)
- 84.018 Overseas Programs\_Special Bilateral Projects (B)
- 84.021 Overseas Programs - Group Projects Abroad (B)
- 84.022 Overseas Programs - Doctoral Dissertation Research Abroad (B)
- 84.031 Higher Education\_Institutional Aid (B)
- 84.033 Federal Work-Study Program (C)
- 84.042 TRIO\_Student Support Services (B)
- 84.044 TRIO\_Talent Search (B)
- 84.047 TRIO\_Upward Bound (B)
- 84.063 Federal Pell Grant Program (C)
- 84.066 TRIO\_Educational Opportunity Centers (B)
- 84.103 TRIO Staff Training Program (B)
- 84.116 Fund for the Improvement of Postsecondary Education (B)
- 84.120 Minority Science and Engineering Improvement (B)
- 84.153 Business and International Education Projects (B)
- 84.170 Javits Fellowships (B)
- 84.200 Graduate Assistance in Areas of National Need (B)
- 84.217 TRIO\_McNair Post-Baccalaureate Achievement (B)
- 84.220 Centers for International Business Education (B)
- 84.229 Language Resource Centers (B)
- 84.268 Federal Direct Student Loans (E)
- 84.269 Institute for International Public Policy (B)
- 84.274 American Overseas Research Centers (B)
- 84.334 Gaining Early Awareness and Readiness for Undergraduate Programs (B)
- 84.335 Child Care Access Means Parents in School (B)
- 84.336 Teacher Quality Partnership Grants (B)
- 84.378 College Access Challenge Grant Program (A)
- 84.379 Teacher Education Assistance for College and Higher Education Grants (TEACH Grants) (C)
- 84.382 Strengthening Minority-Serving Institutions (B)
- 84.407 Transition Programs for Students with Intellectual Disabilities into Higher Education (B)
- 84.408 Postsecondary Education Scholarships for Veteran's Dependents (C)
- 84.417 Directed Grants and Awards (C)
- 85.102 Christopher Columbus Awards (B)
- 85.104 Life Sciences Awards (D)
- 85.105 Agriscience Awards (D)

### **(503) Research and General Education Aids**

This includes assistance for the arts, the humanities, educational radio and television, public libraries, and museums.

- 11.550 Public Telecommunications Facilities Planning and Construction (B)
- 11.555 Public Safety Interoperable Communications Grant Program (B)
- 45.024 Promotion of the Arts\_Grants to Organizations and Individuals (B)
- 45.025 Promotion of the Arts\_Partnership Agreements (B,K)

- 45.129 Promotion of the Humanities\_Federal/State Partnership (A)
- 45.130 Promotion of the Humanities\_Challenge Grants (B)
- 45.149 Promotion of the Humanities\_Division of Preservation and Access (B)
- 45.160 Promotion of the Humanities\_Fellowships and Stipends (B)
- 45.161 Promotion of the Humanities\_Research (B)
- 45.162 Promotion of the Humanities\_Teaching and Learning Resources and Curriculum Development (B)
- 45.163 Promotion of the Humanities\_Professional Development (B)
- 45.164 Promotion of the Humanities\_Public Programs (B)
- 45.169 Promotion of the Humanities\_Office of Digital Humanities (B)
- 45.201 Arts and Artifacts Indemnity (G)
- 84.145 Federal Real Property Assistance Program (H)
- 84.305 Education Research, Development and Dissemination (B)
- 84.372 Statewide Data Systems (B)
- 84.414 Graduate Research Opportunities for Minority Students (Minorities and Retirement Security Program) (B)

### **(504) Training and Employment**

This includes programs of job or skill training, employment services and placement, and payments to employers to subsidize employment of marginal, unemployed, or low income workers.

- 17.201 Registered Apprenticeship (B,L,M)
- 17.235 Senior Community Service Employment Program (A,B)
- 17.258 WIA Adult Program (A)
- 17.259 WIA Youth Activities (A)
- 17.260 WIA Dislocated Workers (A,B)
- 17.261 WIA Pilots, Demonstrations, and Research Projects (B)
- 17.264 National Farmworker Jobs Program (A)
- 17.265 Native American Employment and Training (A)
- 17.267 Incentive Grants - WIA Section 503 (B)
- 17.268 H-1B Job Training Grants (B)
- 17.270 Reintegration of Ex-Offenders (B)
- 17.274 Youthbuild (B)
- 17.275 Program of Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors (B)
- 17.276 Health Care Tax Credit (HCTC) National Emergency Grants (NEGs) (B)
- 17.277 Workforce Investment Act (WIA) National Emergency Grants (B)
- 17.278 WIA Dislocated Worker Formula Grants (A)
- 17.279 Green Jobs Innovation Fund Grants (B)
- 17.280 Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (B)
- 17.281 Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (B)
- 17.282 Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants (B)
- 17.283 Workforce Innovation Fund (B)
- 17.802 Veterans' Employment Program (B)

### **(505) Other Labor Services**

This includes aids to or regulation of the labor market (including gathering labor statistics and mediation and conciliation services) other than employment and training programs, and other than occupational safety and health programs.

- 17.309 Labor Organization Reports (K,L,N)
- 17.700 Women's Bureau (K)
- 46.001 Labor-Management Relations (J,N)

### **(506) Social Services**

This is composed of two forms of activities: (a) programs involving the provision of a broad range of services to individuals to assist them to improve their vocational capabilities (vocational rehabilitation) or family status, and (b)

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provision of services to the poor and elderly that are not primarily for income support and that are not an integral part of some other function (for example, community action programs).	93.235 Affordable Care Act (ACA) Abstinence Education Program (A)
84.126 Rehabilitation Services_Vocational Rehabilitation Grants to States (A)	93.254 Infant Adoption Awareness Training (B)
84.128 Rehabilitation Services_Service Projects (B)	93.508 Affordable Care Act (ACA) Tribal Maternal, Infant, and Early Childhood Home Visiting Program (B)
84.129 Rehabilitation Long-Term Training (B)	93.517 Affordable Care Act Aging and Disability Resource Center (B)
84.132 Centers for Independent Living (B)	93.518 Affordable Care Act - Medicare Improvements for Patients and Providers (A,B)
84.133 National Institute on Disability and Rehabilitation Research (B)	93.550 Transitional Living for Homeless Youth (B)
84.160 Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (B)	93.551 Abandoned Infants (B)
84.161 Rehabilitation Services_Client Assistance Program (A)	93.556 Promoting Safe and Stable Families (A,B)
84.169 Independent Living_State Grants (A)	93.557 Education and Prevention Grants to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (B)
84.177 Rehabilitation Services_Independent Living Services for Older Individuals Who are Blind (B)	93.569 Community Services Block Grant (A)
84.187 Supported Employment Services for Individuals with the Most Significant Disabilities (A)	93.570 Community Services Block Grant_Discretionary Awards (B)
84.224 Assistive Technology (A)	93.581 Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (B)
84.235 Rehabilitation Services Demonstration and Training Programs (B)	93.586 State Court Improvement Program (A)
84.240 Program of Protection and Advocacy of Individual Rights (A)	93.587 Promote the Survival and Continuing Vitality of Native American Languages (B)
84.246 Rehabilitation Short-Term Training (B)	93.590 Community-Based Child Abuse Prevention Grants (A)
84.250 Rehabilitation Services_American Indians with Disabilities (B)	93.591 Family Violence Prevention and Services/Grants For Battered Women's Shelters_Grants to State Domestic Violence Coalitions (A)
84.264 Rehabilitation Training_Continuing Education (B)	93.592 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (B)
84.265 Rehabilitation Training_State Vocational Rehabilitation Unit In-Service Training (B)	93.593 Job Opportunities for Low-Income Individuals (B)
84.275 Rehabilitation Training_General Training (B)	93.599 Chafee Education and Training Vouchers Program (ETV) (A)
84.315 Capacity Building for Traditionally Underserved Populations (B)	93.600 Head Start (B)
84.343 Assistive Technology_State Grants for Protection and Advocacy (A)	93.602 Assets for Independence Demonstration Program (B)
93.009 Compassion Capital Fund (B)	93.603 Adoption Incentive Payments (A)
93.010 Community-Based Abstinence Education (CBAE) (B)	93.612 Native American Programs (B)
93.041 Special Programs for the Aging_Title VII, Chapter 3_Programs for Prevention of Elder Abuse, Neglect, and Exploitation (A)	93.613 President's Committee for People with Intellectual Disabilities (PCPID) (L)
93.042 Special Programs for the Aging_Title VII, Chapter 2_Long Term Care Ombudsman Services for Older Individuals (A)	93.616 Mentoring Children of Prisoners (B)
93.043 Special Programs for the Aging_Title III, Part D_Disease Prevention and Health Promotion Services (A)	93.617 Voting Access for Individuals with Disabilities_Grants to States (A)
93.044 Special Programs for the Aging_Title III, Part B_Grants for Supportive Services and Senior Centers (A)	93.618 Voting Access for Individuals with Disabilities-Grants for Protection and Advocacy Systems (A)
93.045 Special Programs for the Aging_Title III, Part C_Nutrition Services (A)	93.623 Basic Center Grant (B)
93.047 Special Programs for the Aging_Title VI, Part A, Grants to Indian Tribes_Part B, Grants to Native Hawaiians (B)	93.630 Developmental Disabilities Basic Support and Advocacy Grants (A)
93.048 Special Programs for the Aging_Title IV_and Title II_Discretionary Projects (B)	93.631 Developmental Disabilities Projects of National Significance (B)
93.051 Alzheimer's Disease Demonstration Grants to States (B)	93.632 University Centers for Excellence in Developmental Disabilities Education, Research, and Service (B)
93.052 National Family Caregiver Support, Title III, Part E (A)	93.645 Stephanie Tubbs Jones Child Welfare Services Program (A)
93.053 Nutrition Services Incentive Program (A)	93.647 Social Services Research and Demonstration (B)
93.054 National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (B)	93.648 Child Welfare Research Training or Demonstration (B)
93.060 Competitive Abstinence Education (CAE) (B)	93.652 Adoption Opportunities (B)
93.071 Medicare Enrollment Assistance Program (A,B)	93.667 Social Services Block Grant (A)
93.072 Lifespan Respite Care Program (B)	93.669 Child Abuse and Neglect State Grants (A)
93.075 Systems Interoperability_Health and Human Services (B)	93.670 Child Abuse and Neglect Discretionary Activities (B)
93.076 TANF Program Integrity Innovation Grants (B)	93.671 Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to States and Indian Tribes (A)
93.086 Healthy Marriage Promotion and Responsible Fatherhood Grants (B,L)	93.676 Unaccompanied Alien Children Program (B)
93.087 Enhance Safety of Children Affected by Substance Abuse (B)	93.706 Aging Nutrition Services for Native Americans (B)
93.091 Social Services and Income Maintenance Benefits Enrollment Coordination Grants (B)	93.708 ARRA - Head Start (B)
93.092 Affordable Care Act (ACA) Personal Responsibility Education Program (A,B)	93.709 ARRA - Early Head Start (B)
93.093 Affordable Care Act (ACA) Health Profession Opportunity Grants (B)	93.710 ARRA - Community Services Block Grant (A)
	93.711 ARRA Strengthening Communities Fund (B)
	93.714 ARRA Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program (A)
	93.716 ARRA Temporary Assistance for Needy Families (TANF) Supplemental Grants (A)

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- 93.725 ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (B)
- 93.734 Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs financed by 2012 Prevention and Public Health Funds (PPHF-2012) (B)
- 93.747 Elder Abuse Prevention Interventions Program (B)
- 94.022 Nonprofit Capacity Building (B)

### **(550) HEALTH**

This function includes those programs that have as their basic purpose the promotion of the physical and mental health of the nation's population, including the prevention of illness and accidents. It includes planning, financing, and provision of medical care; research into the causes and cure of disease; the financing of specialized programs for training of health workers and researchers; and promotion of consumer and occupational health and safety. Excluded from the health function are Federal health care costs that are an integral part of another function, such as Medicare and medical care for military personnel and for veterans. General scientific research that has medical applications (such as that conducted by the National Science Foundation) and health programs financed through foreign assistance programs are also excluded from the health function.

- 93.011 National Organizations of State and Local Officials (B)
- 93.055 PPHF 2012-Applied Leadership for Community Health Improvement (B)
- 93.056 Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment (B)
- 93.059 Training in General, Pediatric, and Public Health Dentistry (B)
- 93.061 Innovations in Applied Public Health Research (B)
- 93.062 Biomonitoring Programs for State Public Health Laboratories (B)
- 93.063 Centers for Genomics and Public Health (B)
- 93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)
- 93.065 Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (B)
- 93.066 State Vital Statistics Improvement Program (B)
- 93.067 Global AIDS (B)
- 93.068 Chronic Diseases: Research, Control, and Prevention (B)
- 93.069 Public Health Emergency Preparedness (B)
- 93.070 Environmental Public Health and Emergency Response (B)
- 93.073 Birth Defects and Developmental Disabilities - Prevention and Surveillance (B)
- 93.074 Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements (A)
- 93.088 Advancing System Improvements to Support Targets for Healthy People 2010 (B)
- 93.107 Area Health Education Centers Point of Service Maintenance and Enhancement Awards (B)
- 93.110 Maternal and Child Health Federal Consolidated Programs (B)
- 93.116 Project Grants and Cooperative Agreements for Tuberculosis Control Programs (B)
- 93.118 Acquired Immunodeficiency Syndrome (AIDS) Activity (B)
- 93.121 Oral Diseases and Disorders Research (B)
- 93.124 Nurse Anesthetist Traineeships (A)
- 93.127 Emergency Medical Services for Children (B)
- 93.129 Technical and Non-Financial Assistance to Health Centers (B)
- 93.130 Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (B)
- 93.134 Grants to Increase Organ Donations (B)
- 93.135 Centers for Research and Demonstration for Health Promotion and Disease Prevention (B)
- 93.145 AIDS Education and Training Centers (B)
- 93.153 Coordinated Services and Access to Research for Women, Infants,

- Children, and Youth (B)
- 93.155 Rural Health Research Centers (B)
- 93.156 Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals (B,M)
- 93.157 Centers of Excellence (B)
- 93.162 National Health Service Corps Loan Repayment Program (C)
- 93.165 Grants to States for Loan Repayment Program (B,C)
- 93.178 Nursing Workforce Diversity (B)
- 93.184 Disabilities Prevention (B)
- 93.185 Immunization Research, Demonstration, Public Information and Education\_Training and Clinical Skills Improvement Projects (B)
- 93.186 National Research Service Award in Primary Care Medicine (B)
- 93.191 Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program (B)
- 93.197 Childhood Lead Poisoning Prevention Projects\_State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children (B)
- 93.211 Telehealth Programs (B)
- 93.212 Chiropractic Demonstration Project Grants (B)
- 93.217 Family Planning\_Services (B)
- 93.223 Development and Coordination of Rural Health Services (B)
- 93.224 Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (B)
- 93.234 Traumatic Brain Injury State Demonstration Grant Program (B)
- 93.236 Grants to States to Support Oral Health Workforce Activities (B)
- 93.241 State Rural Hospital Flexibility Program (A,B)
- 93.247 Advanced Nursing Education Grant Program (B)
- 93.250 Geriatric Academic Career Awards (B)
- 93.251 Universal Newborn Hearing Screening (B)
- 93.253 Poison Center Support and Enhancement Grant Program (A,B)
- 93.255 Children's Hospitals Graduate Medical Education Payment (A)
- 93.256 State Health Access Program (B)
- 93.257 Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (B)
- 93.259 Rural Access to Emergency Devices Grant (B)
- 93.260 Family Planning\_Personnel Training (B)
- 93.262 Occupational Safety and Health Program (B,M)
- 93.264 Nurse Faculty Loan Program (NFLP) (A)
- 93.265 Comprehensive Geriatric Education Program(CGEP) (B)
- 93.266 Health Systems Strengthening and HIV/AIDS Prevention, Care and Treatment under the President's Emergency Plan for AIDS Relief (B)
- 93.267 State Grants for Protection and Advocacy Services (A)
- 93.268 Immunization Cooperative Agreements (B)
- 93.269 Complex Humanitarian Emergency and War-Related Injury Public Health Activities (B)
- 93.270 Adult Viral Hepatitis Prevention and Control (B)
- 93.283 The Affordable Care Act: Centers for Disease Control and Prevention\_Investigations and Technical Assistance (B)
- 93.288 National Health Service Corps Scholarship Program (C)
- 93.300 National Center for Health Workforce Analysis (B)
- 93.301 Small Rural Hospital Improvement Grant Program (B)
- 93.303 Nursing Scholarship Program (C)
- 93.338 Foreign Public Health Construction (B)
- 93.339 Public Health Conference Support (B)
- 93.342 Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (B)
- 93.359 Nurse Education, Practice Quality and Retention Grants (B)
- 93.364 Nursing Student Loans (E)
- 93.365 Sickle Cell Treatment Demonstration Program (B)

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93.393	Cancer Cause and Prevention Research (B)		under the Health Center Program (B)
93.394	Cancer Detection and Diagnosis Research (B)	93.528	National Forum for State and Territorial Chief Executives (B)
93.395	Cancer Treatment Research (B)	93.530	Affordable Care Act - Teaching Health Center Graduate Medical Education Payments Program (A)
93.396	Cancer Biology Research (B)	93.531	PPHF 2012: Community Transformation Grants and National Dissemination and Support for Community Transformation Grants - financed solely by 2012 Prevention and Public Health Funds (B)
93.397	Cancer Centers Support Grants (B)	93.535	Affordable Care Act (ACA) Childhood Obesity Research Demonstration (B)
93.398	Cancer Research Manpower (B)	93.541	The Patient Protection and Affordable Care Act of 2010 (ACA) (B)
93.399	Cancer Control (B)	93.544	The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Coordinated Chronic Disease prevention and Health Promotion Program (B)
93.400	National Health Service Corps Scholarship Program (C)	93.547	Affordable Care Act National Health Service Corps (B,C)
93.401	ARRA - National Health Service Corps Loan Repayment (C)	93.549	Affordable Care Act (ACA) The Primary Care Services Resource Coordination and Development Program (B)
93.402	ARRA - State Loan Repayment Program (B,C)	93.606	Affordable Care Act - Preparedness and Emergency Response Learning Centers (B)
93.403	ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (B)	93.607	Affordable Care Act - Preparedness and Emergency Response Research Centers: A Public Health Systems Approach (B)
93.404	ARRA Dental Public Health Residency Training Grants (B)	93.609	The Affordable Care Act Medicaid Adult Quality Grants (B)
93.405	ARRA - Public Health Traineeship Program (A)	93.627	Affordable Care Act: Testing Experience and Functional Assessment Tools (B)
93.406	Nursing Education Loan Repayment Program (NELRP) (C)	93.703	ARRA Grants to Health Center Programs (B)
93.407	ARRA - Scholarships for Disadvantaged Students (B)	93.712	ARRA - Immunization (B)
93.408	ARRA - Nurse Faculty Loan Program (B)	93.717	ARRA - Preventing Healthcare-Associated Infections (B)
93.409	Faculty Loan Repayment Programs (C)	93.723	ARRA - Prevention and Wellness-State, Territories and Pacific Islands (B)
93.410	ARRA Licensure Portability Grant Program (B)	93.724	ARRA - Prevention and Wellness Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (B)
93.411	ARRA Equipment to Enhance Training for Health Professionals (B)	93.737	PPHF 2012: Community Transformation Grants -Small Communities Program financed solely by 2012 Public Prevention and Health Funds (B)
93.412	ARRA - Preventive Medicine Residency Program (B)	93.738	PPHF 2012: Racial and Ethnic Approaches to Community Health Program financed solely by 2012 Public Prevention and Health Funds (B)
93.414	ARRA - State Primary Care Offices (B)	93.739	PPHF2012: Chronic disease Innovation Grants - financed solely by 2012 Public Prevention Health Funds (B)
93.415	ARRA - Centers of Excellence (B)	93.741	Breastfeeding Promotion and Support Improving Maternity Care Practices project financed solely by 2012 Public Prevention and Health Funds (B)
93.416	ARRA - Health Careers Opportunity Program (B)	93.742	PPHF 2012: Early Childcare and Education Obesity Prevention Program - Obesity Prevention in Young Children - financed solely by 2012 Public Prevention and Health Funds (B)
93.417	ARRA - Nursing Workforce Diversity (B)	93.743	Racial and Ethnic Approaches to Community Health: Obesity and Hypertension Demonstration Projects financed solely by 2012 Prevention and Public Health Funds (B)
93.420	ARRA - Community Health Applied Research Network (B,C)	93.744	PPHF 2012: Breast and Cervical Cancer Screening Opportunities for States, Tribes and Territories solely financed by 2012 Prevention and Public Health Funds (B)
93.440	National Project Management of the Healthcare Communities Knowledge Gateway (B)	93.777	State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare (A)
93.502	Affordable Care Act (ACA) Infrastructure to Expand Access to Care (B)	93.779	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (B)
93.503	Affordable Care Act (ACA) Nursing Assistant and Home Health Aide Program (B)	93.796	State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (A)
93.504	Affordable Care Act (ACA) Family to Family Health Information Centers (B)	93.822	Health Careers Opportunity Program (B)
93.505	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (A,B)	93.824	Area Health Education Centers Infrastructure Development Awards (B)
93.506	ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (B)	93.884	Grants for Primary Care Training and Enhancement (B)
93.510	Affordable Care Act (ACA) Primary Care Residency Expansion Program (B)	93.887	Health Care and Other Facilities (B)
93.512	Affordable Care Act (ACA) Personal and Home Care Aide State Training Program (PHCAST) (B)		
93.513	Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative (B)		
93.514	Affordable Care Act (ACA) Expansion of Physician Assistant Training Program (B)		
93.515	Affordable Care Act (ACA) Nurse-Managed Health Clinics (B)		
93.520	Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work (B)		
93.521	The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements;PPHF (B)		
93.522	Affordable Care Act (ACA) Prevention Center for Healthy Weight (B)		
93.523	The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities (B)		
93.526	Affordable Care Act (ACA) Grants for Capital Development in Health Centers (B)		
93.527	Affordable Care Act (ACA) Grants for New and Expanded Services		



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93.888	Specially Selected Health Projects (B)	Minority HIV/AIDS Demonstration Program (B)
93.908	Nursing Education Loan Repayment Program (C)	93.007 Public Awareness Campaigns on Embryo Adoption (B)
93.912	Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program (B)	93.008 Medical Reserve Corps Small Grant Program (B)
93.913	Grants to States for Operation of Offices of Rural Health (B)	93.015 HIV Prevention Programs for Women (B)
93.914	HIV Emergency Relief Project Grants (B)	93.016 Postal Model for Medical Countermeasures Delivery and Distribution (B)
93.917	HIV Care Formula Grants (A)	93.018 Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (B)
93.918	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease (B)	93.064 Laboratory Training, Evaluation, and Quality Assurance Programs (B)
93.919	Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (B)	93.074 Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements (A)
93.923	Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (B,C)	93.078 Strengthening Emergency Care Delivery in the United States Healthcare System through Health Information and Promotion (B)
93.924	Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants (B)	93.089 Emergency System for Advance Registration of Volunteer Health Professionals (B)
93.925	Scholarships for Health Professions Students from Disadvantaged Backgrounds (B)	93.104 Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (B)
93.926	Healthy Start Initiative (B)	93.123 Health Professions Pregraduate Scholarship Program for Indians (M)
93.928	Special Projects of National Significance (B)	93.136 Injury Prevention and Control Research and State and Community Based Programs (B)
93.932	Native Hawaiian Health Systems (B)	93.137 Community Programs to Improve Minority Health Grant Program (B)
93.938	Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (B)	93.138 Protection and Advocacy for Individuals with Mental Illness (A)
93.939	HIV Prevention Activities_Non-Governmental Organization Based (B)	93.150 Projects for Assistance in Transition from Homelessness (PATH) (A)
93.940	HIV Prevention Activities_Health Department Based (B)	93.161 Health Program for Toxic Substances and Disease Registry (B)
93.941	HIV Demonstration, Research, Public and Professional Education Projects (B)	93.164 Indian Health Service Educational Loan Repayment (C)
93.942	Research, Prevention, and Education Programs on Lyme Disease in the United States (B)	93.193 Urban Indian Health Services (B)
93.943	Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (B)	93.204 Surveillance of Hazardous Substance Emergency Events (B)
93.944	Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (B)	93.210 Tribal Self-Governance Program: IHS Compacts/Funding Agreements (C)
93.945	Assistance Programs for Chronic Disease Prevention and Control (B)	93.228 Indian Health Service_Health Management Development Program (B)
93.946	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (B)	93.231 Epidemiology Cooperative Agreements (B)
93.947	Tuberculosis Demonstration, Research, Public and Professional Education (B)	93.237 Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (B)
93.965	Coal Miners Respiratory Impairment Treatment Clinics and Services (B)	93.239 Policy Research and Evaluation Grants (B)
93.969	PPHF-2012 Geriatric Education Centers (B)	93.240 State Capacity Building (B)
93.974	Family Planning_Service Delivery Improvement Research Grants (B)	93.243 Substance Abuse and Mental Health Services_Projects of Regional and National Significance (B)
93.977	Preventive Health Services_Sexually Transmitted Diseases Control Grants (B)	93.275 Substance Abuse and Mental Health Services-Access to Recovery (B)
93.988	Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems (B)	93.276 Drug-Free Communities Support Program Grants (B)
93.994	Maternal and Child Health Services Block Grant to the States (A)	93.284 Injury Prevention Program for American Indians and Alaskan Natives_Cooperative Agreements (B)
93.995	Adolescent Family Life_Demonstration Projects (B)	93.289 President's Council on Fitness, Sports, and Nutrition (K)
		93.290 National Community Centers of Excellence in Women's Health (B)
		93.291 Surplus Property Utilization (H)
		93.296 State Partnership Grant Program to Improve Minority Health (B)
		93.297 Teenage Pregnancy Prevention Program (B)
		93.358 Advanced Education Nursing Traineeships (B)
		93.360 Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development (B)
		93.441 Indian Self-Determination (C)
		93.442 Special Diabetes Program for Indians (SDPI) Competitive Grant Program (B)
		93.443 Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (B)
		93.444 Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (B)
		93.445 Indian Health Service Sanitation Facilities Construction Program (J)
		93.451 The Linkage to Life Program: Rebuilding Broken Bridges for Minority Families Impacted by HIV/AIDS. (B)
		93.452 Health Improvement for Re-entering Ex-offenders Initiative (HIRE)

### **(551) Health Care Services**

This includes the costs of financing the provision of medical services to individuals and families whether such services are provided directly by the Federal Government or financed through grants, contracts, insurance, or reimbursements.

15.252	Abandoned Mine Land Reclamation (AMLR) Program (A,B)
93.003	Public Health and Social Services Emergency Fund (B)
93.004	Cooperative Agreements to Improve the Health Status of Minority Populations (B)
93.006	State and Territorial and Technical Assistance Capacity Development

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HIV/AIDS (B)	93.733	Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by the Prevention and Public Health Fund (PPHF-2012) (B)
93.453		Coalition for a Healthier Community (B)
93.500		Pregnancy Assistance Fund Program (B)
93.507		PPHF 2012 National Public Health Improvement Initiative (B)
93.511		Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review (B)
93.519		Affordable Care Act (ACA) Consumer Assistance Program Grants (B)
93.524		The Affordable Care Act (ACA): Capacity Building Assistance to Strengthen Public Health Infrastructure and Performance (B)
93.525		State Planning and Establishment Grants for the Affordable Care Act (ACA)s Exchanges (B)
93.533		Prevention and Public Health Fund (Affordable Care Act): Enhanced Surveillance for New Vaccine Preventable Disease (B)
93.534		Affordable Care Act Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards (B)
93.536		The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project (B)
93.537		Affordable Care Act Medicaid Emergency Psychiatric Demonstration (C)
93.538		Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation (B)
93.539		PPHF 2012 - Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by 2012 Prevention and Public Health Funds (B)
93.540		Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability; and Prevention and Public Health Fund (B)
93.545		Consumer Operated and Oriented Plan [CO-OP] Program (E)
93.546		Early Retiree Reinsurance Program (C)
93.548		PPHF 2012: Nutrition, Physical Activity and Obesity Program - financed in part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)
93.610		Health Care Innovation Awards (HCIA) (B)
93.611		Strong Start for Mothers and Newborns (B)
93.615		Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Research Programs (B)
93.621		Affordable Care Act Initiative to Reduce Avoidable Hospitalizations among Nursing Facility Residents (B)
93.624		ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance (B)
93.626		Affordable Care Act State Health Insurance Assistance Program (SHIP) and Aging and Disability Resource Center (ADRC) Options Counseling for Medicare-Medicaid Individuals in States with Approved Financial Alignment Models (B)
93.718		Health Information Technology Regional Extension Centers Program (B)
93.719		ARRA - State Grants to Promote Health Information Technology (B)
93.720		ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (B)
93.721		ARRA - Health Information Technology Professionals in Health Care (B)
93.727		ARRA - Health Information Technology - Beacon Communities (B)
93.728		ARRA - Strategic Health IT Advanced Research Projects (SHARP) (B)
93.729		ARRA Health Information Technology and Public Health (B)
93.730		ARRA Prevention Research Centers Comparative Effectiveness Research Program (B)
93.731		ARRA - Prevention and Wellness - Leveraging National Organizations (B)
	93.735	State Public Health Approaches for Ensuring Quitline Capacity Funded in part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)
	93.745	PPHF-2012: Health Care Surveillance/Health Statistics Surveillance Program Announcement: Behavioral Risk Factor Surveillance System Financed in Part by 2012 Prevention and Public Health Funds (PPHF-2012) (B)
	93.748	PPHF-2012 Cooperative Agreements for Prescription Drug Monitoring Program Electronic Health Record (EHR) Integration and Interoperability Expansion (B)
	93.749	PPHF 2012 Public Health Laboratory Infrastructure financed solely by 2012 Prevention and Public Health Fund (B)
	93.767	Children's Health Insurance Program (A)
	93.768	Medicaid Infrastructure Grants To Support the Competitive Employment of People with Disabilities (B)
	93.775	State Medicaid Fraud Control Units (A)
	93.778	Medical Assistance Program (A)
	93.780	Grants to States for Operation of Qualified High-Risk Pools (A)
	93.784	Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (C)
	93.789	Alternatives to Psychiatric Residential Treatment Facilities for Children (B)
	93.790	Alternate Non-Emergency Service Providers or Networks (B)
	93.791	Money Follows the Person Rebalancing Demonstration (B)
	93.793	Medicaid Transformation Grants (B)
	93.889	National Bioterrorism Hospital Preparedness Program (A)
	93.910	Family and Community Violence Prevention Program (B)
	93.933	Demonstration Projects for Indian Health (B)
	93.954	Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (M)
	93.958	Block Grants for Community Mental Health Services (A)
	93.959	Block Grants for Prevention and Treatment of Substance Abuse (A)
	93.970	Health Professions Recruitment Program for Indians (M)
	93.971	Health Professions Preparatory Scholarship Program for Indians (M)
	93.972	Health Professions Scholarship Program (M)
	93.975	National All Schedules Prescription Electronic Reporting Grant (A)
	93.982	Mental Health Disaster Assistance and Emergency Mental Health (B)
	93.990	National Health Promotion (B)
	93.991	Preventive Health and Health Services Block Grant (A)
		<b>(552) Health Research and Training</b>
		This includes the cost of all research programs _ whether basic or applied _ that are financed specifically as health or medical research. It excludes research that is an integral part of other functions (such as biomedical research in the space program). It also includes programs specifically funded as health training programs.
	93.077	Family Smoking Prevention and Tobacco Control Act Regulatory Research (B,M)
	93.113	Environmental Health (B)
	93.117	Preventive Medicine and Public Health Residency Training Program, Integrative Medicine Program, and National Coordinating Center for Integrative Medicine (B)
	93.140	Intramural Research Training Award (B)
	93.142	NIEHS Hazardous Waste Worker Health and Safety Training (B)
	93.143	NIEHS Superfund Hazardous Substances_Basic Research and Education (B)
	93.172	Human Genome Research (B)
	93.173	Research Related to Deafness and Communication Disorders (B)

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93.187 Undergraduate Scholarship Program for Individuals from Disadvantaged Backgrounds (B)  
93.209 Contraception and Infertility Research Loan Repayment Program (C)  
93.213 Research and Training in Complementary and Alternative Medicine (B,M)  
93.220 Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (B)  
93.225 National Research Service Awards\_Health Services Research Training (B)  
93.226 Research on Healthcare Costs, Quality and Outcomes (B)  
93.232 Loan Repayment Program for General Research (B)  
93.233 National Center on Sleep Disorders Research (B)  
93.242 Mental Health Research Grants (B)  
93.249 Public Health Training Centers Program (B)  
93.273 Alcohol Research Programs (B)  
93.279 Drug Abuse and Addiction Research Programs (B,M)  
93.280 National Institutes of Health Loan Repayment Program for Clinical Researchers (C)  
93.281 Mental Health Research Career/Scientist Development Awards (B)  
93.282 Mental Health National Research Service Awards for Research Training (M)  
93.285 National Institutes of Health Pediatric Research Loan Repayment Program (C)  
93.286 Discovery and Applied Research for Technological Innovations to Improve Human Health (B)  
93.307 Minority Health and Health Disparities Research (B)  
93.308 National Institute on Minority Health and Health Disparities (NIMHD) Extramural Loan Repayment Programs (C)  
93.310 Trans-NIH Research Support (B,M)  
93.350 National Center for Advancing Translational Sciences (B)  
93.351 Research Infrastructure Programs (B)  
93.352 Construction Support (B)  
93.361 Nursing Research (B)  
93.389 National Center for Research Resources (B)  
93.516 Affordable Care Act (ACA) Public Health Training Centers Program, Resources Development and Academic Support to the Public Health Training Centers Program and Public Health Infrastructure and Systems Support (B)  
93.701 Trans-NIH Recovery Act Research Support (B)  
93.702 National Center for Research Resources, Recovery Act Construction Support (B)  
93.704 Trans-NIH Recovery Act Loan Repayment Support (C)  
93.732 PPHF-2012 Mental and Behavioral Health Education and Training Grants (B)  
93.837 Cardiovascular Diseases Research (B)  
93.838 Lung Diseases Research (B)  
93.839 Blood Diseases and Resources Research (B)  
93.846 Arthritis, Musculoskeletal and Skin Diseases Research (B)  
93.847 Diabetes, Digestive, and Kidney Diseases Extramural Research (B)  
93.853 Extramural Research Programs in the Neurosciences and Neurological Disorders (B)  
93.855 Allergy, Immunology and Transplantation Research (B)  
93.856 Microbiology and Infectious Diseases Research (B)  
93.859 Biomedical Research and Research Training (B)  
93.865 Child Health and Human Development Extramural Research (B)  
93.866 Aging Research (B)  
93.867 Vision Research (B)  
93.879 Medical Library Assistance (B)  
93.936 National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (B)

93.964 Prevention and Public Health Fund (PPHF) Public Health Traineeships (A)  
93.969 PPHF-2012 Geriatric Education Centers (B)  
93.989 International Research and Research Training (B,M)

### **(554) Consumer and Occupational Health and Safety**

This includes such programs as meat and poultry inspection, food and drug inspection, consumer product safety, and occupational safety.

10.475 Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (B)  
10.477 Meat, Poultry, and Egg Products Inspection (J)  
10.479 Food Safety Cooperative Agreements (B)  
17.502 Occupational Safety and Health\_Susan Harwood Training Grants (B)  
17.503 Occupational Safety and Health\_State Program (B)  
17.504 Consultation Agreements (B)  
17.505 OSHA Data Initiative (B)  
17.600 Mine Health and Safety Grants (B)  
17.601 Mine Health and Safety Counseling and Technical Assistance (K,L)  
17.602 Mine Health and Safety Education and Training (M)  
17.603 Brookwood-Sago Grant (B)  
93.058 Tobacco Regulation Awareness, Communication, and Education Program (B)  
93.103 Food and Drug Administration\_Research (B)  
93.448 Food Safety and Security Monitoring Project (B)  
93.449 Ruminant Feed Ban Support Project (B)

### **(570) MEDICARE**

#### **(571) Medicare**

Medicare is composed of the Federal Hospital Insurance and Federal Supplementary Medical Insurance trust funds. This includes all off-setting collections to these two funds, except for employers share and employee retirement (subfunction\_951) and net interest (interest received by on\_budget trust funds\_902). Also includes trust funds and general funds payments to those funds.

93.770 Medicare\_Prescription Drug Coverage (C)  
93.773 Medicare\_Hospital Insurance (C)  
93.774 Medicare\_Supplementary Medical Insurance (C)

#### **(600) INCOME SECURITY**

This function includes payments for or to persons for which no current service is rendered. It includes military and civilian retirement, disability, unemployment, and welfare payments and the associated administrative costs. Also included in income security are the food stamp, special milk, and child nutrition programs (whether the benefits are in cash or kind); both Federal and trust fund unemployment compensation and workmen's compensation; public assistance cash payments; benefits to coal miners; and low and moderate-income housing aids. Excluded from this function are social security, financial assistance for educational purposes, provision or reimbursement for child care services and stipends, medical care (whether in cash or kind), and subsidies to businesses (such as farm price supports) even though they may end up as income to persons. Also excluded are income security programs restricted to veterans and their dependents.

#### **(601) General Retirement and Disability Insurance (excluding Social Security)**

This includes non-needs-tested retirement and disability programs except for those specifically restricted to Federal employees and social security. Most programs in this subfunction are financed through trust fund mechanisms but it includes some Federal funds programs such as payments to coal miners. The subfunction is composed mainly of the railroad retirement fund and special benefits for coal miners.

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- 17.150 Employee Benefits Security Administration (L)
- 17.302 Longshore and Harbor Workers' Compensation (D)
- 17.307 Coal Mine Workers' Compensation (D)
- 57.001 Social Insurance for Railroad Workers (D)
- 57.005 Economic Recovery Payments (D)

## **(602) Federal Employee Retirement and Disability**

Includes all funded retirement and disability programs restricted to Federal employees. In those cases where there are no retirement funds (such as the Coast Guard retired pay) the case benefits are included in the function where the employees were employed (in this case transportation).

## **(603) Unemployment Compensation**

Benefits for unemployed workers that are not conditioned by needs tests. This subfunction does not include other benefits (such as food stamps) that an unemployed person might be eligible for under any other program.

- 17.225 Unemployment Insurance (A,D)
- 57.001 Social Insurance for Railroad Workers (D)

## **(604) Housing Assistance**

Federal income support and related expenses that are specifically for and limited to financing or providing housing for individuals and families.

- 10.405 Farm Labor Housing Loans and Grants (B,F)
- 10.417 Very Low-Income Housing Repair Loans and Grants (B,E)
- 10.420 Rural Self-Help Housing Technical Assistance (B)
- 10.427 Rural Rental Assistance Payments (C)
- 10.433 Rural Housing Preservation Grants (B)
- 10.438 Section 538 Rural Rental Housing Guaranteed Loans (F)
- 14.103 Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (C,F)
- 14.149 Rent Supplements\_Rental Housing for Lower Income Families (C)
- 14.169 Housing Counseling Assistance Program (B)
- 14.191 Multifamily Housing Service Coordinators (B)
- 14.195 Section 8 Housing Assistance Payments Program (C)
- 14.231 Emergency Solutions Grant Program (A)
- 14.235 Supportive Housing Program (B,C)
- 14.238 Shelter Plus Care (B)
- 14.239 Home Investment Partnerships Program (A)
- 14.241 Housing Opportunities for Persons with AIDS (A)
- 14.247 Self-Help Homeownership Opportunity Program (B)
- 14.249 Section 8 Moderate Rehabilitation Single Room Occupancy (B)
- 14.252 Section 4 Capacity Building for Community Development and Affordable Housing (B)
- 14.260 Veterans Homelessness Prevention Demonstration Program (B)
- 14.261 Homeless Management Information Systems Technical Assistance (B)
- 14.262 Homeless Prevention and Rapid Re-Housing Program Technical Assistance (B)
- 14.265 Rural Capacity Building for Community Development and Affordable Housing Grants (B)
- 14.266 Border Community Capital Initiative (B)
- 14.267 Continuum of Care Program (B,C)
- 14.268 Rural Housing Stability Assistance Program (B,C)
- 14.314 Assisted Living Conversion for Eligible Multifamily Housing Projects (B)
- 14.316 Housing Counseling Training Program (B)
- 14.322 Tenant Resource Network Program (B)
- 14.327 Performance Based Contract Administrator Program (C)
- 14.400 Equal Opportunity in Housing (N)
- 14.850 Public and Indian Housing (C)
- 14.856 Lower Income Housing Assistance Program\_Section 8 Moderate Rehabilitation (C)

- 14.866 Demolition and Revitalization of Severely Distressed Public Housing (B)
- 14.867 Indian Housing Block Grants (A)
- 14.869 Title VI Federal Guarantees for Financing Tribal Housing Activities (F)
- 14.870 Resident Opportunity and Supportive Services - Service Coordinators (B)
- 14.871 Section 8 Housing Choice Vouchers (C)
- 14.872 Public Housing Capital Fund (A)
- 14.873 Native Hawaiian Housing Block Grants (B)
- 14.877 Public Housing Family Self-Sufficiency under Resident Opportunity and Supportive Services (B)
- 14.878 Affordable Housing Development in Main Street Rejuvenation Projects (B)
- 14.879 Mainstream Vouchers (C)
- 14.880 Family Unification Program (FUP) (C)
- 14.881 Moving to Work Demonstration Program (A)
- 14.889 Choice Neighborhoods Implementation Grants (B)
- 14.891 Public and Indian Housing Transformation Initiative (TI) Technical Assistance (TA) (J)
- 14.892 Choice Neighborhoods Planning Grants (B)
- 14.893 Office of Native American Programs Training and Technical Assistance for Indian Housing Block Grant Program (M)
- 14.894 Office of Native American Programs Training and Technical Assistance for Native Hawaiian Housing Block Grant Program (M)

## **(605) Food and Nutrition Assistance**

Federal income support and related expenses that are specifically for and limited to financing or providing food or nutritional assistance to individuals and families.

- 10.155 Marketing Agreements and Orders (J,K)
- 10.225 Community Food Projects (B)
- 10.551 Supplemental Nutrition Assistance Program (C)
- 10.553 School Breakfast Program (A)
- 10.555 National School Lunch Program (A)
- 10.556 Special Milk Program for Children (A)
- 10.557 Special Supplemental Nutrition Program for Women, Infants, and Children (A)
- 10.558 Child and Adult Care Food Program (A)
- 10.559 Summer Food Service Program for Children (A)
- 10.560 State Administrative Expenses for Child Nutrition (A)
- 10.561 State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (A)
- 10.565 Commodity Supplemental Food Program (A,H)
- 10.566 Nutrition Assistance For Puerto Rico (C)
- 10.567 Food Distribution Program on Indian Reservations (B,H)
- 10.568 Emergency Food Assistance Program (Administrative Costs) (A)
- 10.569 Emergency Food Assistance Program (Food Commodities) (A)
- 10.572 WIC Farmers' Market Nutrition Program (FMNP) (A)
- 10.574 Team Nutrition Grants (B)
- 10.575 Farm to School Grant Program (B,L,M)
- 10.576 Senior Farmers Market Nutrition Program (B)
- 10.577 SNAP Partnership Grant (B)
- 10.578 WIC Grants To States (WGS) (B)
- 10.579 Child Nutrition Discretionary Grants Limited Availability (B)
- 10.580 Supplemental Nutrition Assistance Program, Outreach/Participation Program (B)
- 10.582 Fresh Fruit and Vegetable Program (B)
- 10.583 Hunger Free Communities (B)
- 10.584 SNAP Research Grants (B)

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- 10.585 FNS Food Safety Grants (B)
- 10.586 Special Supplemental Nutrition Program for Women, Infants and Children; Nutrition Education Innovations (B)
- 10.587 National Food Service Management Institute Administration and Staffing Grant (B)
- 10.588 Assessment of Alternatives to Face-to-Face Interviews in SNAP (B)
- 10.589 Child Nutrition Direct Certification Performance Awards (C)
- 97.024 Emergency Food and Shelter National Board Program (B)
- 97.114 Emergency Food and Shelter National Board Program (ARRA) (B)

## **(609) Other income security**

Income security programs that are not included in any other subfunction. This is composed primarily of either direct payments or grants-in-aid to finance direct payments that constitute cash income to low-income individuals and families, but it also includes refugee assistance and both administrative expenses and offsetting collections in the income security function that are not part of any other subfunction.

- 93.090 Guardianship Assistance (A)
- 93.558 Temporary Assistance for Needy Families (A)
- 93.560 Family Support Payments to States\_Assistance Payments (A)
- 93.563 Child Support Enforcement (A)
- 93.564 Child Support Enforcement Research (B)
- 93.566 Refugee and Entrant Assistance\_State Administered Programs (A)
- 93.567 Refugee and Entrant Assistance\_Voluntary Agency Programs (B)
- 93.568 Low-Income Home Energy Assistance (A)
- 93.575 Child Care and Development Block Grant (A)
- 93.576 Refugee and Entrant Assistance\_Discretionary Grants (B)
- 93.579 U.S. Repatriation (B)
- 93.583 Refugee and Entrant Assistance\_Wilson/Fish Program (B)
- 93.584 Refugee and Entrant Assistance\_Targeted Assistance Grants (A)
- 93.594 Tribal Work Grants (A)
- 93.595 Welfare Reform Research, Evaluations and National Studies (B)
- 93.596 Child Care Mandatory and Matching Funds of the Child Care and Development Fund (A)
- 93.597 Grants to States for Access and Visitation Programs (A)
- 93.598 Services to Victims of a Severe Form of Trafficking (B)
- 93.601 Child Support Enforcement Demonstrations and Special Projects (B)
- 93.604 Assistance for Torture Victims (B)
- 93.605 Family Connection Grants (B)
- 93.658 Foster Care\_Title IV-E (A,B)
- 93.659 Adoption Assistance (A)
- 93.674 Chafee Foster Care Independence Program (A)
- 93.713 ARRA Child Care and Development Block Grant (A)

## **(650) SOCIAL SECURITY**

Social Security is composed of the Federal Old\_Age and Survivors Insurance and Federal Disability Insurance trust funds and general funds payments to those funds, all offsetting receipts by those trust funds, except those classified in subfunction 903 - interest received by off-budget trust funds.

### **(651) Social Security**

This includes the Old Age and Survivors Insurance (OASI) and Disability Insurance (DI) trust funds and related intergovernmental payments and off\_setting collections.

## **(700) VETERANS BENEFITS AND SERVICES**

This function consists of programs providing benefits and services, the eligibility for which is related to prior military service but the financing of which is not an integral part of the costs of national defense. It includes veterans service-connected compensation; veterans non-service connected pensions; and veterans readjustment benefits, housing, and medical care programs. As a normal rule, the outlays in this function are similar to those in the broader

general purpose functions (such as income security or health) but are restricted to veterans, their dependents, and their survivors. Earned rights of career military personnel that are a cost of the defense budget (such as military retired pay or medical care) are excluded from this function. The subfunctions of this function are so structured that they are readily additive to analogous major functions for the general population.

- 64.035 Veterans Transportation Program (B)

## **(701) Income Security for Veterans**

Includes veterans compensation, pensions, burial benefits and life insurance.

- 64.030 Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (G)
- 64.031 Life Insurance for Veterans - Direct Payments for Insurance (G)
- 64.103 Life Insurance for Veterans (G)
- 64.128 Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida or Other Covered Birth Defects (D)

## **(702) Veterans Education, Training, and Rehabilitation**

Composed primarily of the "GI bill" readjustment benefits.

- 17.801 Disabled Veterans' Outreach Program (DVOP) (A)
- 17.804 Local Veterans' Employment Representative Program (A)
- 17.805 Homeless Veterans Reintegration Project (B)
- 17.807 Transition Assistance Program (B)
- 64.027 Post-9/11 Veterans Educational Assistance (C)
- 64.028 Post-9/11 Veterans Educational Assistance (D)
- 64.032 Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program (D)
- 64.036 Veterans Retraining Assistance Program (VRAP) (C)
- 64.116 Vocational Rehabilitation for Disabled Veterans (D)
- 64.120 Post-Vietnam Era Veterans' Educational Assistance (D)

## **(703) Hospital and Medical Care for Veterans**

Composed of medical care and research financed by the Veterans Administration.

- 64.005 Grants to States for Construction of State Home Facilities (B)
- 64.026 Veterans State Adult Day Health Care (A)

## **(704) Veterans Housing**

Composed of housing loan and guarantee programs for, and restricted to, veterans and dependents.

## **(705) Other Veterans Benefits and Services**

Mainly the administrative expenses of the Veterans Administration.

- 64.033 VA Supportive Services for Veteran Families Program (B)

## **(750) ADMINISTRATION OF JUSTICE**

This function includes those programs designed to provide judicial services, police protection, law enforcement (including civil rights), rehabilitation, and incarceration of criminals, and promotion of the general maintenance of domestic order. It includes the provision of court appointed counsel or other legal services to individuals. This function excludes the costs of the legislative branch, the narrow-purpose police or guard activities providing protection to Federal property, or activities which are an integral part of a broader function (such as postal inspectors, tax collection agents, and Park Service Rangers). The costs of National Guard personnel who are called upon occasionally to provide general public safety protection and military police costs are included under the national defense function rather than in this function.

- 19.701 Global Counterterrorism Programs (B)

## **(751) Federal Law Enforcement Activities**

Includes Customs, the Immigration and Naturalization Service, the Drug Enforcement Administration, and police and crime prevention activities in other programs. This subfunction also includes the readily identifiable enforcement costs of civil rights activities.

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14.400	Equal Opportunity in Housing (N)	16.017	Sexual Assault Services Formula Program (A,B)
14.401	Fair Housing Assistance Program_State and Local (B)	16.203	Promoting Evidence Integration in Sex Offender Management Discretionary Grant Program (B,M)
14.408	Fair Housing Initiatives Program (B)	16.320	Services for Trafficking Victims (B,C)
14.416	Education and Outreach Initiatives (B)	16.321	Antiterrorism Emergency Reserve (B)
14.417	Fair Housing Organization Initiatives (B)	16.524	Legal Assistance for Victims (B)
14.418	Private Enforcement Initiatives (B)	16.525	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (B)
14.419	Section 3 Technical Assistance (B)	16.527	Supervised Visitation, Safe Havens for Children (B)
14.421	Limited English Proficiency Initiative (B)	16.528	Enhanced Training and Services to End Violence and Abuse of Women Later in Life (B)
16.001	Law Enforcement Assistance_Narcotics and Dangerous Drugs_Laboratory Analysis (J)	16.529	Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (B)
16.003	Law Enforcement Assistance_Narcotics and Dangerous Drugs Technical Laboratory Publications (L)	16.550	State Justice Statistics Program for Statistical Analysis Centers (B)
16.004	Law Enforcement Assistance_Narcotics and Dangerous Drugs Training (M)	16.554	National Criminal History Improvement Program (NCHIP) (B)
16.300	Law Enforcement Assistance_FBI Advanced Police Training (M)	16.560	National Institute of Justice Research, Evaluation, and Development Project Grants (B,L)
16.301	Law Enforcement Assistance_FBI Crime Laboratory Support (J,M)	16.562	Criminal Justice Research and Development_Graduate Research Fellowships (B)
16.302	Law Enforcement Assistance_FBI Field Police Training (M)	16.571	Public Safety Officers' Benefits Program (D)
16.303	Law Enforcement Assistance_FBI Fingerprint Identification (J)	16.575	Crime Victim Assistance (A)
16.304	Law Enforcement Assistance_National Crime Information Center (J)	16.578	Federal Surplus Property Transfer Program (H)
16.305	Law Enforcement Assistance_Uniform Crime Reports (L)	16.582	Crime Victim Assistance/Discretionary Grants (B,C)
16.307	Combined DNA Index System (B)	16.583	Children's Justice Act Partnerships for Indian Communities (B,C)
16.308	Indian Country Investigations (M)	16.585	Drug Court Discretionary Grant Program (B)
16.309	Law Enforcement Assistance_National Instant Criminal Background Check System (J)	16.589	Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (B)
30.001	Employment Discrimination_Title VII of the Civil Rights Act of 1964 (K,N,O)	16.590	Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (B)
30.005	Employment Discrimination_Private Bar Program (J)	16.593	Residential Substance Abuse Treatment for State Prisoners (A)
30.008	Employment Discrimination_Age Discrimination in Employment (K,N,O)	16.596	Correctional Grant Program for Indian Tribes (B)
30.010	Employment Discrimination Equal Pay Act (K,N,O)	16.606	State Criminal Alien Assistance Program (C)
30.011	Employment Discrimination_Title I of The Americans with Disabilities Act (K,N,O)	16.607	Bulletproof Vest Partnership Program (C)
30.013	Employment Discrimination-Title II of the Genetic Information Nondiscrimination Act of 2008 (K,N,O)	16.608	Tribal Court Assistance Program (B)
93.001	Civil Rights and Privacy Rule Compliance Activities (K,N)	16.609	Project Safe Neighborhoods (B)
97.010	Citizenship Education and Training (B)	16.610	Regional Information Sharing Systems (B)
97.076	National Center for Missing and Exploited Children (NCMEC) (B)	16.611	Closed-Circuit Televising of Child Victims of Abuse (B)
<b>(752) Federal Litigative and Judicial Activities</b>		16.614	State and Local Anti-Terrorism Training (K,L,M)
Includes the cost of the judiciary, the cost of prosecution and Federal expenses connected with financing legal defense activities.		16.615	Public Safety Officers' Educational Assistance (D)
16.100	Desegregation of Public Education (J)	16.616	Indian Country Alcohol and Drug Prevention (B)
16.101	Equal Employment Opportunity (J)	16.734	Special Data Collections and Statistical Studies (B)
16.103	Fair Housing and Equal Credit Opportunity (J)	16.735	Protecting Inmates and Safeguarding Communities Discretionary Grant Program (B)
16.104	Protection of Voting Rights (J)	16.736	Transitional Housing Assistance for Victims of Domestic Violence, Dating Violence, Stalking, or Sexual Assault (B)
16.105	Civil Rights of Institutionalized Persons (J)	16.737	Gang Resistance Education and Training (B)
16.109	Civil Rights Prosecution (B)	16.738	Edward Byrne Memorial Justice Assistance Grant Program (A,B)
16.200	Community Relations Service (J)	16.740	Statewide Automated Victim Information Notification (SAVIN) Program (B)
16.922	Equitable Sharing Program (C)	16.741	DNA Backlog Reduction Program (A,B)
<b>(753) Federal Correctional Activities</b>		16.742	Paul Coverdell Forensic Sciences Improvement Grant Program (A)
Covers the cost of incarceration, supervision, parole, and rehabilitation of Federal prisoners.		16.745	Criminal and Juvenile Justice and Mental Health Collaboration Program (B)
<b>(754) Criminal Justice Assistance</b>		16.746	Capital Case Litigation (B)
Includes the cost of grants to State and local governments to assist them in operating and improving their law enforcement and justice system.		16.750	Support for Adam Walsh Act Implementation Grant Program (B)
16.013	Violence Against Women Act Court Training and Improvement Grants (B)	16.751	Edward Byrne Memorial Competitive Grant Program (B)
16.015	Missing Alzheimer's Disease Patient Assistance Program (B)	16.752	Economic High-Tech and Cyber Crime Prevention (B)
16.016	Culturally and Linguistically Specific Services Program (B)	16.753	Congressionally Recommended Awards (B)
		16.754	Harold Rogers Prescription Drug Monitoring Program (B)

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- 16.755 Southwest Border Prosecution Initiative Program (D)
- 16.812 Second Chance Act Prisoner Reentry Initiative (B)
- 16.813 NICS Act Record Improvement Program (B)
- 16.814 Northern Border Prosecution Initiative Program (D)
- 16.815 Tribal Civil and Criminal Legal Assistance Grants, Training and Technical Assistance (B)
- 16.816 John R. Justice Prosecutors and Defenders Incentive Act (A)
- 16.817 Byrne Criminal Justice Innovation Program (B)
- 16.818 Children Exposed to Violence (B)
- 16.819 National Forum on Youth Violence Prevention (B)
- 16.820 Postconviction DNA Testing Program (B)
- 16.821 Juvenile Justice Reform and Reinvestment Demonstration Program (B)
- 16.888 Consolidated And Technical Assistance Grant Program to Address Children and Youth Experiencing Domestic and Sexual Violence and Engage Men and Boys as Allies (B)
- 93.643 Children's Justice Grants to States (A)
- 95.004 Anti-Doping Activities (B)
- 95.005 Drug Court Training and Technical Assistance (B)
- 97.008 Non-Profit Security Program (B)

## **(800) GENERAL GOVERNMENT**

This function includes the general overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other major function. As a normal rule, all activities reasonably or closely associated with other functions shall be included in those functions rather than listed as a part of general government.

- 97.018 National Fire Academy Training Assistance (C)
- 97.043 State Fire Training Systems Grants (B)
- 97.101 National Fallen Firefighters Memorial (C)
- 97.103 Degrees at a Distance Program (B)

## **(801) Legislative Functions**

Includes most of the costs of the legislative branch except for the Tax Court, the Library of Congress, and the Government Printing Office revolving fund.

## **(802) Executive Direction and Management**

Includes the Executive Office of the President (unless some major grants or operating programs are included in the EOP); occasionally some closely related spending outside the EOP is also included in this subfunction.

## **(803) Central Fiscal Operations**

Includes the general tax collection and fiscal operations of the Treasury Department.

- 21.003 Taxpayer Service (K)
- 21.004 Exchange of Federal Tax Information With State Tax Agencies (J)
- 21.006 Tax Counseling for the Elderly (B)
- 21.008 Low Income Taxpayer Clinics (B)
- 21.009 Volunteer Income Tax Assistance (VITA) Matching Grant Program (B)

## **(804) General Property and Records Management**

Includes most of the operations of the General Services Administration (net of reimbursements from other agencies for services rendered).

- 39.002 Disposal of Federal Surplus Real Property (H)
- 39.003 Donation of Federal Surplus Personal Property (H)
- 39.007 Sale of Federal Surplus Personal Property (H)

## **(805) Central Personnel Management**

Includes most of the operating costs of the Office of Personnel Management (formerly the Civil Service Commission) and related agencies (net of reimbursements from other agencies for services rendered).

## **(806) General Purpose Fiscal Assistance**

Includes Federal aid to State, local, and territorial governments that is available for general fiscal support. It includes payments in lieu of taxes, grants from Forest Service and Interior Department rents, payments to territories and Puerto Rico, and the Federal payment to the District of Columbia.

- 10.665 Schools and Roads - Grants to States (A)
- 10.666 Schools and Roads - Grants to Counties (A)
- 15.659 National Wildlife Refuge Fund (D)
- 15.667 Highlands Conservation Program (B)
- 15.875 Economic, Social, and Political Development of the Territories (A,B,D)

## **(808) Other General Government**

Includes miscellaneous other costs such as Federal costs of territorial governments.

## **(999) MULTIPLE FUNCTIONS**

This function code is used where two or more accounts with different Treasury basic account symbols are included in a consolidated program.

- 10.600 Foreign Market Development Cooperator Program (C)
- 10.601 Market Access Program (C)
- 10.602 CCC's Dairy Export Incentive Program (C)
- 10.603 Emerging Markets Program (C)
- 10.604 Technical Assistance for Specialty Crops Program (C)
- 10.605 Quality Samples Program (C)
- 10.606 Food for Progress (H)
- 10.612 USDA Local and Regional Food Aid Procurement Pilot Project (B)
- 12.598 Centers for Academic Excellence (B)
- 14.103 Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (C,F)
- 15.227 Distribution of Receipts to State and Local Governments (C,D)
- 15.252 Abandoned Mine Land Reclamation (AMLR) Program (A,B)
- 15.253 Not-for-Profit AMD Reclamation (B)
- 15.254 Summer Intern and Year-Long OSM/VISTA Watershed Support (C)
- 15.255 Science and Technology Projects Related to Coal Mining and Reclamation (B)
- 17.207 Employment Service/Wagner-Peyser Funded Activities (A,B)
- 17.225 Unemployment Insurance (A,D)
- 17.245 Trade Adjustment Assistance (A)
- 17.271 Work Opportunity Tax Credit Program (WOTC) (A)
- 17.272 Permanent Labor Certification for Foreign Workers (J)
- 17.273 Temporary Labor Certification for Foreign Workers (A,J,O)
- 81.122 Electricity Delivery and Energy Reliability, Research, Development and Analysis (B)
- 97.005 State and Local Homeland Security National Training Program (B)
- 97.007 Homeland Security Preparedness Technical Assistance Program (B)
- 97.009 Cuban/Haitian Entrant Program (B)
- 97.016 Reimbursement for Firefighting on Federal Property (C)
- 97.025 National Urban Search and Rescue (US&R) Response System (B)
- 97.026 Emergency Management Institute\_Training Assistance (C)
- 97.027 Emergency Management Institute (EMI)\_Independent Study Program (M)
- 97.028 Emergency Management Institute (EMI)\_Resident Educational Program (M)
- 97.039 Hazard Mitigation Grant (B)
- 97.040 Chemical Stockpile Emergency Preparedness Program (B)
- 97.042 Emergency Management Performance Grants (A)
- 97.044 Assistance to Firefighters Grant (B)
- 97.053 Citizens-Community Resilience Innovation Challenge (B)
- 97.055 Interoperable Emergency Communications (B)
- 97.059 Truck Security Program (B)

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- 97.061 Centers for Homeland Security (B)
- 97.062 Scientific Leadership Awards (B,C)
- 97.065 Homeland Security Advanced Research Projects Agency (B)
- 97.066 Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (B)
- 97.067 Homeland Security Grant Program (A)
- 97.069 Aviation Research Grants (B,I)
- 97.075 Rail and Transit Security Grant Program (B)
- 97.077 Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (B)
- 97.078 Buffer Zone Protection Program (BZPP) (B)
- 97.080 Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (B)
- 97.083 Staffing for Adequate Fire and Emergency Response (SAFER) (B)
- 97.089 Driver's License Security Grant Program (B)
- 97.091 Homeland Security Biowatch Program (B,I)
- 97.104 Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (B)
- 97.106 Securing the Cities (B,I,L)
- 97.107 National Incident Management System (NIMS) (B)
- 97.108 Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (B,H,I,L)
- 97.111 Regional Catastrophic Preparedness Grant Program (RCPGP) (B)
- 97.113 Rail and Transit Security Grant Program (ARRA) (B)
- 97.115 Assistance to Firefighters Grant (ARRA) (B)
- 97.120 Border Interoperability Demonstration Project (B)
- 97.121 Radiological/Nuclear Detection Pilot Evaluations Program (B,I,L)
- 97.123 Multi-State Information Sharing and Analysis Center (B)
- 97.124 Interoperable Communications and Training Project (B)
- 97.127 Cybersecurity Education and Training Assistance Program (CETAP) (B)
- 97.128 National Cyber Security Awareness (B)
- 97.129 Securing Critical Underground Infrastructure Pilot Program (B)
- 97.130 National Nuclear Forensics Expertise Development Program (B)
- 97.131 Emergency Management Baseline Assessments Grant (EMBAG) (C)



# Appendix IV: Agency Regional and Local Office Addresses

## DEPARTMENT OF AGRICULTURE

### AGRICULTURAL MARKETING SERVICE

#### COTTON DIVISION

##### Tennessee

(Grading, Marketing Services including Market News)

Nationwide: Alabama, Arizona, Arkansas, California, Georgia, Kansas, Louisiana, Mississippi, Missouri, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, Virginia)

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3275 Appling Road  
Memphis, TN 38133  
(901) 384-3000

Standardization and Quality Assurance Branch

Don West, Chief  
3275 Appling Road  
Memphis, TN 38133  
(901) 384-3015

#### DAIRY DIVISION

##### Illinois

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Dairy Division  
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Glen Ellyn, IL 60137  
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USDA, AMS, Dairy Division, Marketing Division  
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Madison, WI 53704-6777  
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#### FRUIT AND VEGETABLE DIVISION

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## Appendix IV: Agency Regional and Local Office Addresses

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## Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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### Colorado

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# Appendix IV: Agency Regional and Local Office Addresses

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## POULTRY DIVISION

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## California

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York, North Carolina, Pennsylvania, Puerto Rico,  
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## AGRICULTURAL RESEARCH SERVICE

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Beltsville, MD 20705  
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### Midsouth Area

Area Budget and Fiscal Officer  
Delta States Research Center  
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### Midwest Area

Area Budget and Fiscal Officer  
Northern Regional Research Center  
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### North Atlantic Area

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Eastern Regional Research Center  
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### Northern Plains Area

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5601 Sunnyside Avenue, Room 3-2172C  
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## ANIMAL AND PLANT HEALTH INSPECTION SERVICE

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#### Eastern Region

(Alabama, Arkansas, Connecticut, Delaware,  
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Indiana, Iowa, Louisiana, Kentucky, Maine,  
Maryland, Massachusetts, Minnesota, Michigan,  
Mississippi, Missouri, New Hampshire, New  
Jersey, New York, North Carolina, Ohio,  
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#### Northern Region

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# Appendix IV: Agency Regional and Local Office Addresses

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## **Southeastern Region**

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## **Western Region**

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## Appendix IV: Agency Regional and Local Office Addresses

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Suite 309, Cobian's Plaza  
1607 Ponce DeLeon Avenue  
Santurce, PR 00909-0001  
(809) 729-6872

### **Rhode Island**

Paul E. Brule  
Rhode Island State FSA Office  
60 Quaker Lane  
West Bay Office Complex, Room 40  
Warwick, RI 02886-0111  
(401) 828-8232

### **South Carolina**

Laurie C. Lawson  
South Carolina State FSA Office  
1927 Thurmond Mall, Suite 100  
Columbia, SC 29201-2375  
(803) 806-3830

### **South Dakota**

Michael O'Connor  
South Dakota State FSA Office  
200 Fourth Street, S.W., Room 308  
Federal Building  
Huron, SD 57350-2478  
(605) 352-1160

### **Tennessee**

David McDole  
Tennessee State FSA Office  
579 U.S. Courthouse  
801 Broadway  
Nashville, TN 37203-3816  
(615) 736-5555

### **Texas**

Wayland Shurley, Acting  
Texas State FSA Office  
Commerce National Bank Building, 2nd Floor  
2405 Texas Avenue South, 77840  
For letter mail: P.O. Box 2900  
College Station, TX 77841-0001



# Appendix IV: Agency Regional and Local Office Addresses

(409) 260-9207

## Utah

James L. Humlicek  
Utah State FSA Office  
125 South State Street, Room 4239  
For letter mail: P.O. Box 11350  
Salt Lake City, UT 84147-0350  
(801) 524-5013

## Vermont

Ronald Allbee, Acting  
Vermont State FSA Office  
Executive Square Office Building  
346 Shelburne Street  
Burlington, VT 05401-4995  
(802) 658-2803

## Virginia

Donald Davis  
Virginia State FSA Office  
Culpeper Building, Suite 138  
1606 Santa Rosa Road  
Richmond, VA 23229  
(804) 287-1500

## Washington

Larry R. Albin  
Washington State FSA Office  
Rock Pointe Tower, Suite 568  
316 West Boone Avenue  
Spokane, WA 99201-2350  
(509) 323-3000

## West Virginia

Billy B. Burke  
West Virginia State FSA Office  
New Federal Building  
75 High Street, Room 239  
For letter mail: P. O. Box 1049  
Morgantown, WV 26507-1049  
(304) 291-4351

## Wisconsin

Douglas J. Caruso  
Wisconsin State FSA Office  
6515 Watts Road, Room 100  
Madison, WI 53719-2797  
(608) 276-8732, Ext. 100

## Wyoming

Carl Jensen  
Wyoming State FSA Office  
951 Werner Court, Suite 130  
Casper, WY 82601-1307  
(307) 261-5231

## FOOD AND NUTRITION SERVICE

### REGIONAL OFFICES

#### California

(Western: Alaska, American Samoa, Arizona, California, Commonwealth of the Northern Marianas, Guam, Hawaii, Idaho, Nevada, Oregon, Washington, Freely Associated States of the Pacific)

Dick Montoya  
550 Kearny Street, Room 400  
San Francisco, CA 94108  
(415) 705-1310  
Use the same number for FTS

#### Colorado

(Mountain Plains: Colorado, Iowa, Kansas, Missouri, Montana Nebraska, North Dakota, South Dakota, Utah, Wyoming)  
Craig Forman  
1244 Speer Boulevard, Suite 903  
Denver, CO 80204  
(303) 844-0300  
Use the same number for FTS

#### Georgia

(Southeast: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Jerry Redding  
First Floor, Martin Luther King, Jr. Federal Annex  
77 Forsythe Street, S.W., Suite 112  
Atlanta, GA 30303  
(404) 730-2565  
Use the same number for FTS

#### Illinois

(Midwest: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Lawrence Rudmann  
77 West Jackson Boulevard, 20th Floor  
Chicago, IL 60604-3507  
(312) 353-6664  
Use the same number for FTS

#### Massachusetts

(Northeast: Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont)  
Charles DeJulius  
10 Causeway Street, Room 501  
Boston, MA 02222-1068  
(617) 565-6370  
Use the same number for FTS

#### New Jersey

(Mid-Atlantic: Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania, Puerto Rico, Virgin Islands, Virginia, West Virginia)  
Walt Haake  
Mercer Corporate Park  
Corporate Boulevard  
CN 02150  
Trenton, NJ 08650  
(609) 259-5025  
Use the same number for FTS

#### Texas

(Southwest: Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Judy Snow  
1100 Commerce Street, Room 5-C-30  
Dallas, TX 75242  
(214) 767-0222

Use the same number for FTS

## FOOD SAFETY AND INSPECTION SERVICE

### REGIONAL OFFICES

#### Kansas

(District 30: Kansas, Missouri)  
Dr. Keith Gilmore, District Manager  
4920 Bob Billings Parkway  
Lawrence, KS 66049 United States  
(785) 841-5600

#### Arkansas

(District 35: Arkansas, Louisiana, Oklahoma)  
Mr. Robert Bane, Deputy District Manager  
Country Club Center  
4700 South Thompson Building B, Suite 201  
Springdale, AR 72764 United States  
(479) 751-8412

#### California

(District 05: California)  
Dr. Yudhbir Sharma, District Manager  
620 Central Avenue, Building 2C  
Alameda, CA 94501 United States  
(510) 337-5000

#### Colorado

(District 15: Alaska, American Samoa, Arizona, Colorado, Guam, Hawaii, Idaho, New Mexico, Nevada, Northern Mariana Islands, Oregon, Utah, Washington)  
Dr. Ron Nelson, District Manager  
Denver Federal Center  
P.O. Box 25387, Building 45  
Denver, CO 80225 United States  
(303) 497-5411

#### Georgia

(District 85: Florida, Georgia)  
Dr. Muhammad Mughal, Deputy District Manager  
100 Alabama Street, S.W., Building 1924, Suite 3R90  
Atlanta, GA 30303 United States  
(404) 562-5900

#### Illinois

(District 50: Illinois, Indiana, Ohio)  
Mr. Paul Wolseley, District Manager  
1919 South Highland Avenue, Suite 115C  
Lombard, IL 60148 United States  
(630) 620-7474

#### Iowa

(District 25: Iowa, Nebraska)  
Dr. Dawn Sprouts, District Manager  
Room 985, Federal Building  
210 Walnut Street  
Des Moines, IA 50309 United States  
(515) 727-8960

#### Maryland

(District 75: Delaware, Washington DC, Maryland, Virginia)  
Dr. Mohamed Ibraheim, District Manager

# Appendix IV: Agency Regional and Local Office Addresses

5601 Sunnyside Avenue, Suite 1-2288 B  
Beltsville, MD 20705-5200 United States  
(301) 504-2136

## Minnesota

(District 20: Minnesota, Montana, North Dakota,  
South Dakota, Wyoming)  
Dr. Phyllis Adams, District Manager  
Butler Square West, Suite 989C  
100 N. 6th Street  
Minneapolis, MN 55403 United States  
(612) 659-7056

## Mississippi

(District 90: Alabama, Mississippi, Tennessee)  
Dr. Paul Resweber, District Manager  
713 South Pear Orchard Road, Suite 402  
Ridgeland, MS 39157 United States  
(601) 965-4312

## New York

(District 65: New Jersey, New York)  
Mr. Haroon Mian, District Manager  
230 Washington Avenue  
Albany, NY 12203-6870 United States  
(518) 452-6870

## North Carolina

(District 80: Kentucky, North Carolina, South  
Carolina)  
Dr. Steve Lalicker, District Manager  
6020 Six Forks Road  
Raleigh, NC 27609 United States  
(919) 844-8400

## Pennsylvania

(District 60: Pennsylvania)  
Mr. Jan Behney, District Manager  
Mellon Independence Center  
701 Market Street, Suite 4100A  
Philadelphia, PA 19106 United States  
(215) 430-6301

## Texas

(District 40: Texas)  
Dr. Jennifer McKean, District Manager  
1100 Commerce, Room 516  
Dallas, TX 75242 United States  
(214) 767-9116

## Wisconsin

(District 45: Michigan, Wisconsin)  
Mr. Paul Kiecker, District Manager  
2810 Crossroads Drive, Suite 3500  
Madison, WI 53718-7969 United States  
(608) 240-4080

## WAGE AND HOUR DIVISION

United States  
(614) 833-1045

United States  
(503) 399-5831

United States  
(781) 736-1843

## FOREST SERVICE

### REGIONAL OFFICES

#### Alaska

Alaska Region  
(Region 10: Alaska)  
709 W. 9th Street  
Juneau, AK 99801-1807 United States  
(907) 586-8806

#### Colorado

Rocky Mountain- Region 2  
(Region 2: Colorado, Kansas, Nebraska, South  
Dakota, except Northwestern Corner, Eastern  
two-thirds of Wyoming)

740 Simms Street  
P.O. Box 25127  
Golden, CO 80401-4720 United States  
(303) 275-5741

#### Georgia

Southern Region- Region 8  
(Region 8: Alabama, Arkansas, Florida, Georgia,  
Kentucky, Louisiana, Mississippi, North Carolina,  
Oklahoma, Puerto Rico, South Carolina,  
Tennessee, Texas, Virginia, Virgin Islands)

1720 Peachtree Road, N.W.  
Atlanta, GA 30309 United States  
(404) 347-7486

#### Montana

Northern Region- Region 1  
(Region 1: Montana, Northern Idaho, North  
Dakota, Northwestern corner of South Dakota)

Federal Building  
200 East Broadway  
P.O. Box 7669  
Missoula, MT 59807-7669 United States  
(406) 329-3511

#### New Mexico

Southwestern- Region 3  
(Region 3: Arizona, New Mexico)

333 Broadway Blvd., SE  
Santa Fe, NM 87102-3407 United States  
(505) 842-3292

#### Oregon

Pacific Northwest- Region 6  
(Region 6: Oregon, Washington)

333 S.W. First Street, P.O. Box 3623  
Portland, OR 97208-3623 United States  
(503) 808-2204

#### Pennsylvania

State and Private Forestry  
(Northeastern Area State and Private Forestry:  
Connecticut, Delaware, Illinois, Indiana, Iowa,  
Maine, Maryland, Massachusetts, Michigan,  
Minnesota, Missouri, New Hampshire, New  
Jersey, New York, Ohio, Pennsylvania, Rhode

Island, Vermont, West Virginia, Wisconsin)

11 Campus Blvd., Suite 200  
Newtown Square, PA 19073-3200 United States  
(610) 557-4103

#### Puerto Rico

International Institute of Tropical Forestry  
(International Institute of Tropical Forestry)

Jardin Botanico Sur, 1201 Calle Ceiba  
San Juan, PR 00926-1119 United States  
(787) 766-5335

#### Utah

Intermountain- Region 4  
(Region 4: Southern Idaho, Nevada, Utah, western  
one-third of Wyoming)

Federal Office Building, 324 25th Street  
Ogden, UT 84401-2300 United States  
(801) 625-5239

#### Wisconsin

Eastern- Region 9  
Region 9: (Connecticut, Delaware, Illinois,  
Indiana, Iowa, Maine, Maryland, Massachusetts,  
Michigan, Minnesota, Missouri, New Hampshire,  
New Jersey, New York, Ohio, Pennsylvania,  
Rhode Island, Vermont, West Virginia,  
Wisconsin)

626 East Wisconsin Ave., Suite 800  
Milwaukee, WI 53202-4616 United States  
(414) 297-3600

To locate Forest Supervisor and Ranger District  
Offices, consult your local telephone directory  
under U.S. Department of Agriculture, or the  
regional offices listed above.

## RESEARCH HEADQUARTERS

### California

Pacific Southwest Research Station  
(Pacific Southwest Research Station: California  
and Hawaii)

800 Buchanan Street, West Annex Building  
Albany, CA 94701-0245 United States  
(510) 559-6300

Pacific Southwest- Region 5  
(Region 5: California, Hawaii)

1323 Club Drive  
Vallejo, CA 95492-1110 United States  
(707) 562-8737

### Colorado

Rocky Mountain Research Station  
(Rocky Mountain Research Station: Arizona,  
Colorado, New Mexico, Kansas, Nebraska, North  
Dakota, Panhandle, South Dakota, Western Texas,  
Eastern two-thirds of Wyoming)

2150 Centre Ave, Building A

# Appendix IV: Agency Regional and Local Office Addresses

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Fort Collins, CO 80526-1891 United States  
(303) 275-5350

## North Carolina

Southern Research Station  
(Southern Research Station: Florida, Georgia, North Carolina, South Carolina, Virginia, Alabama, Arkansas, Louisiana, Mississippi, Oklahoma, except Panhandle, Puerto Rico, Tennessee, eastern Texas)

200 W. T. Weaver Boulevard  
Asheville, NC 28804-3454 United States  
(704) 257-4301

## Oregon

Pacific Northwest Research Station  
(Pacific Northwest Research Station: Alaska, Oregon, Washington)

333 SW First Ave  
Portland, OR 97204 United States  
(503) 808-2592

## Pennsylvania

Northern Research Station  
(Northern Research Station: Connecticut, Kentucky, Maine, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Vermont, West Virginia)

11 Campus Blvd., Suite 200  
Newtown Square, PA 19073-3200 United States  
(610) 557-4023

## Utah

(Intermountain: Idaho, Montana, Nevada, Utah, western one-third of Wyoming)  
Denver P. Burns  
324 25th Street  
Ogden, UT 84401  
(801) 625-5421

## Wisconsin

Forest Products Laboratory  
Forest Products Laboratory  
One Gifford Pinchot Drive  
Madison, WI 53726-2398 United States  
(608) 231-9200

## NATIONAL AGRICULTURAL STATISTICS SERVICE

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SERVICE CENTER

### Alabama

Sterling Center, Suite 601  
4121 Carmichael Road  
Montgomery, AL 36106-3683  
(334) 279-3400

### Alaska

800 West Evergreen, Suite 201  
Palmer, AK 99645-6539  
(907) 745-2176

### Arizona

3003 North Central Avenue, Suite 900  
Phoenix, AZ 85012-2906  
(602) 280-8700

## Arkansas

700 W. Capitol Avenue, Room 3416  
For letter mail: P.O. Box 2778  
Little Rock, AR 72201-3225  
(501) 301-3200

## California

430 G Street, Agency 4169  
Davis, CA 95616-4169  
(530) 792-5800

## Colorado

655 Parfet Street, Room E-100  
Lakewood, CO 80215  
(303) 236-2801

## Delaware

(Delaware, Maryland)  
5201 South Dupont Highway  
P.O. Box 400  
Camden, DE 19934-9998  
(302) 697-4300

## Florida

(Florida, Virgin Islands)  
Federal Building  
4440 N.W. 25th Place  
P.O. Box 147010  
Gainesville, FL 32614-7010  
(352) 338-3400

## Georgia

355 East Hancock Avenue  
Stephens Federal Building  
Athens, GA 30601-2768  
(706) 546-2162

## Hawaii

Federal Building, Room 311  
154 Waianuenue Avenue  
Hilo, HI 96720  
(808) 933-3000

## Idaho

9173 West Barnes Drive, Suite A1  
Boise, ID 83709  
(208) 378-5600

## Illinois

Illini Plaza, Suite 103  
1817 South Neil Street  
Champaign, IL 61820  
(217) 398-5235

## Indiana

5975 Lakeside Boulevard  
Indianapolis, IN 46278  
(317) 290-3100

## Iowa

Room 873, Federal Building  
210 Walnut Street

Des Moines, IA 50309  
(515) 284-4663

## Kansas

1200 SW Executive Drive  
P.O. Box 4653  
Topeka, KS 66605  
(785) 271-2700

## Kentucky

771 Corporate Drive, Suite 200  
Lexington, KY 40503  
(606) 224-7300

## Louisiana

3727 Government Street  
Alexandria, LA 71302  
(318) 473-7920

## Maine

444 Stillwater Avenue, Suite 2  
P.O. Box 405  
Bangor, ME 04402-0405  
(207) 990-9106

## Massachusetts

(Connecticut, Massachusetts, Rhode Island)  
451 West Street  
Amherst, MA 01002  
(413) 253-4300

## Michigan

3001 Coolidge Road, Suite 200  
East Lansing, MI 48823  
(517) 337-6635

## Minnesota

410 Agribank Building  
375 Jackson Street  
St. Paul, MN 55101-1853  
(651) 602-7800

## Mississippi

Suite 831, Federal Building  
100 West Capitol Street  
Jackson, MS 39269  
(601) 965-4316

## Missouri

601 Business Loop, 70 West  
Parkade Center, Suite 235  
Columbia, MO 65203  
(573) 876-0976

## Montana

Unit 1, Suite B  
P.O. Box 850  
900 Technology Boulevard  
Bozeman, MT 59715  
(406) 585-2580

## Nebraska

Federal Building, Room 152  
100 Centennial Mall North  
Lincoln, NE 68508  
(402) 437-5551

# Appendix IV: Agency Regional and Local Office Addresses

<b>Nevada</b> 1390 South Curry Street Carson City, NV 89703-9910 (702) 887-1222	(803) 765-5163	STATE EMPLOYMENT SECURITY AGENCIES
<b>New Jersey</b> Tarnsfield Plaza, Suite 22 790 Woodland Road Mt. Holly, NJ 08060 (609) 265-3600	<b>South Dakota</b> Federal Building, Room 210 200 Fourth Street, S.W. Huron, SD 57350 (605) 352-1100	<b>Alabama</b> Vacant State Statistician Sterling Center, Suite 200 4121 Carmichael Road For letter mail: P.O. Box 240578 Montgomery, AL 36124-0578 (334) 279-3555 Use the same number for FTS (800) 832-4181 TOLL F
<b>New Mexico</b> 6200 Jefferson Street, N.E., Room 255 Albuquerque, NM 87109 (505) 761-4950	<b>Tennessee</b> 3322 West End Avenue, Suite 300 Nashville, TN 37203-1084 (615) 783-1300	<b>Alaska</b> State Statistician 809 South Chugach Street, Suite 4 Palmer, AK 99645 For letter mail: P.O. Box 799 Palmer, AK 99645 (907) 745-4272 (800) 478-6079 TOLL FREE
<b>New York</b> The Galleries of Syracuse 441 South Salina Street, Suite 357 Syracuse, NY 13202-2541 (315) 477-6400	<b>Texas</b> Federal Building, Suite 102 101 S. Main Temple, TX 76501 (254) 742-9700	<b>Arizona</b> State Statistician 3003 North Central Avenue, Suite 950 Phoenix, AZ 85012 (602) 280-8850 Use the same number for FTS (800) 645-7286 TOLL F
<b>North Carolina</b> 4405 Bland Road, Suite 260 Raleigh, NC 27609 (919) 873-2000	<b>Utah</b> Wallace F. Bennett Federal Building, Room 4311 125 South State Street P.O. Box 11350 Salt Lake City, UT 84147-0350 (801) 524-4063	<b>Arkansas</b> State Statistician 2301 South University Avenue, Room 103 Little Rock, AR 72204 (501) 296-9926 Use the same number for FTS (800) 327-2970 TOLL F
<b>North Dakota</b> Federal Building, Room 208 220 E. Rosser For Letter mail: P.O. Box 1737 Bismarck, ND 58502-1737 (701) 250-4781	<b>Vermont</b> (New Hampshire, Vermont) City Center, 3rd Floor 89 Main Street Montpelier, VT 05602 (802) 828-6010	<b>California</b> State Statistician 1220 "N" Street, Room 243 For letter mail: P.O. Box 1258 Sacramento, CA 95812 (916) 498-5161 Use the same number for FTS (800) 851-1127 TOLL F
<b>Ohio</b> Federal Building, Room 507 200 North High Street Columbus, OH 43215-2477 (614) 469-5606	<b>Virginia</b> Culpeper Building, Suite 238 1606 Santa Rosa Road Richmond, VA 23229 (804) 287-1550	<b>Colorado</b> State Statistician 645 Parfet Street, Suite W-201 For letter mail: P.O. Box 150969 Lakewood, CO 80215-0969 (303) 236-2300 Use the same number for FTS (800) 392-3202 TOLL F
<b>Oklahoma</b> 100 USDA, Suite 108 Stillwater, OK 74074-2654 (405) 742-1000	<b>Washington</b> 1835 Black Lake Boulevard, S.W., Suite B Olympia, WA 98512-5715 (360) 704-7740	<b>Delaware</b> State Statistician Delaware Department of Agriculture Building 2320 South DuPont Highway Dover, DE 19901 (302) 739-4811 (800) 282-8685 TOLL FREE (Within State Only)
<b>Oregon</b> 101 SW Main Street, Suite 1410 Portland, OR 97204-3222 (503) 414-3300	<b>West Virginia</b> Federal Building 75 High Street, Room 320 Morgantown, WV 26505-7500 (304) 291-4791	<b>Florida</b> Vacant
<b>Pennsylvania</b> One Credit Union Place, Suite 330 Harrisburg, PA 17110-2996 (717) 237-2299	<b>Wisconsin</b> 4949 Kirschling Court Stevens Point, WI 54481 (715) 345-7600	
<b>Puerto Rico</b> New San Juan Office Building, Room 501 159 Carlos E. Chardon Street Hato Rey, PR 00918-5481 (787) 766-5095	<b>Wyoming</b> To locate County Rural Development Officers, consult your telephone directory under U.S. Department of Agriculture, or the State Office of the Rural Development listed above. Federal Building, Room 1005 100 East B Street For letter mail: P.O. Box 820 Casper, WY 82602 (307) 261-6300	
<b>South Carolina</b> Strom Thurmond Federal Building 1835 Assembly Street Room 1007 Columbia, SC 29201		

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State Statistician  
1222 Woodward Street  
For letter mail: P.O. Box 530105  
Orlando, FL 32853-0105  
(407) 648-6013  
Use the same number for FTS  
(800) 344-6277 TOLL F

## Georgia

State Statistician  
Stephens Federal Building, Suite 320  
Athens, GA 30613  
(706) 546-2236  
Use the same number for FTS  
(800) 253-4419 TOLL F

## Hawaii

State Statistician  
State Department of Agriculture Building  
1428 South King Street  
For letter mail: P.O. Box 22159  
Honolulu, HI 96823-2159  
(808) 973-2907  
Use the same number for FTS  
(800) 804-9514 TOLL F

## Idaho

State Statistician  
2224 Old Penitentiary Road  
For letter mail: P.O. Box 1699  
Boise, ID 83701-1699  
(208) 334-1507  
Use the same number for FTS  
(800) 691-9987 TOLL F

## Illinois

State Statistician  
Illinois Department of Agriculture Building  
801 Sangamon Avenue, Room 54  
For letter mail: P.O. Box 19283  
Springfield, IL 62794-9283  
(217) 492-4295  
Use the same number for FTS  
(800) 622-9865 TOLL F

## Indiana

State Statistician  
1148 AGAD Building, Room 223  
Purdue University  
West Lafayette, IN 47907-1148  
(765) 494-8371  
(800) 363-0469 TOLL FREE

## Iowa

State Statistician  
Federal Building  
210 Walnut Street, Room 833  
Des Moines, IA 50309  
(515) 284-4340  
Use the same number for FTS  
(800) 772-0825 TOLL F

## Kansas

State Statistician  
632 S.W. Van Buren, Room 200  
For letter mail: P.O. Box 3534

Topeka, KS 66601-3534  
(785) 233-2230  
Use the same number for FTS  
(800) 258-4564 TOLL F

## Kentucky

Vacant  
State Statistician  
Gene Snyder and Courthouse Building  
601 W. Broadway, Room 645  
For letter mail: P.O. Box 1120  
Louisville, KY 40201-1120  
(502) 582-5293  
Use the same number for FTS  
(800) 928-5277 TOLL F

## Louisiana

State Statistician  
5825 Florida Boulevard  
For letter mail: P.O. Box 65038  
Baton Rouge, LA 70896-5038  
(225) 922-1362  
(800) 256-4485 TOLL FREE

## Maryland

State Statistician  
50 Harry S Truman Parkway, Suite 202  
Annapolis, MD 21401  
(410) 841-5740  
(800) 675-0295 TOLL FREE

## Michigan

Vacant  
State Statistician  
201 Federal Building  
For letter mail: P.O. Box 20008  
Lansing, MI 48901-0008  
(517) 377-1831  
Use the same number for FTS  
(800) 453-7501 TOLL F

## Minnesota

State Statistician  
8 East 4th Street, Suite 500  
For letter Mail: P.O. Box 7068  
St. Paul, MN 55107-7068  
(651) 296-2230  
Use the same number for FTS  
(800) 453-7502 TOLL F

## Mississippi

State Statistician  
121 North Jefferson Street, Suite 230  
For letter mail: P.O. Box 980  
Jackson, MS 39205-0980  
(601) 965-4575  
Use the same number for FTS  
(800) 535-9609 TOLL F

## Missouri

State Statistician  
601 Business Loop West, Suite 240  
For letter mail: P.O. Box L  
Columbia, MO 65205  
(573) 876-0950  
Use the same number for FTS

(800) 551-1014 TOLL F

## Montana

State Statistician  
301 South Park, Federal Building, Room 398  
For Letter Mail: Drawer 10033  
Helena, MT 59626  
(406) 441-1240  
Use the same number for FTS  
(800) 835-2612 TOLL F

## Nebraska

State Statistician  
100 Centennial Mall North, Room 273, Federal Building  
For letter mail: P.O. Box 81069  
Lincoln, NE 68501-1069  
(402) 437-5541  
Use the same number for FTS  
(800) 582-6443 TOLL F

## Nevada

State Statistician  
Max C. Fleischmann Agriculture Building, Room 232  
University of Nevada  
For letter mail: P.O. Box 8880  
Reno, NV 89507-8880  
(702) 784-5584  
(888) 456-7211 TOLL FREE

## New England

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
State Statistician  
22 Bridge Street, 3rd Floor  
For letter mail: P. O. Box 1444  
Concord, NH 03302-1444  
(603) 224-9639  
Use the same number for FTS  
(800) 642-9571 TOLL F

## New Jersey

Vacant  
State Statistician  
Health and Agriculture Building, Room 205  
CN-330, New Warren Street  
Trenton, NJ 08625  
(609) 292-6385  
(800) 328-0179 TOLL FREE

## New Mexico

State Statistician  
2507 North Telshor Boulevard, Suite 4  
For letter mail: P.O. Box 1809  
Las Cruces, NM 88004-1809  
(505) 522-6023  
(800) 530-8810 TOLL FREE

## New York

State Statistician  
Department of Agriculture and Markets  
1 Winner's Circle  
Albany, NY 12235  
(518) 457-5570  
(800) 821-1276 TOLL FREE

# Appendix IV: Agency Regional and Local Office Addresses

## North Carolina

State Statistician  
2 W. Edenton Street  
P.O. Box 27767  
Raleigh, NC 27611-7767  
(919) 856-4394  
Use the same number for FTS  
(800) 437-8451 TOLL F

## North Dakota

State Statistician In Charge  
NDSU, Room 448  
1250 Albrecht Boulevard  
For letter mail: P.O. Box 3166  
Fargo, ND 58108-3166  
(701) 239-5306  
Use the same number for FTS  
(800) 626-3134 TOLL F

## Ohio

State Statistician  
Bromfield Administration Building, Room 103  
8995 East Main Street  
For Letter Mail: P.O. Box 686  
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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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P.O. Box 59  
Louisville, KY 40201  
(502) 582-5601

## Louisiana

Col. Richard V. Gorski  
New Orleans District  
P.O. Box 60267  
New Orleans, LA 70160  
(504) 838-1121

## Maryland

Col. Bernard B. Stalman  
Baltimore District  
P.O. Box 1715  
Baltimore, MD 21203  
(301) 962-4545

## Massachusetts

Col. Daniel M. Wilson  
New England Division  
424 Trapelo Road  
Waltham, MA 02254

(617) 647-8220

## Michigan

Col. John D. Glass  
Detroit District  
P.O. Box 1027  
Detroit, MI 48231  
(313) 226-6762

## Minnesota

Col. Roger L. Baldwin  
St. Paul District  
1135 USPO and Custom House  
St. Paul, MN 55101  
(612) 725-7501

## Mississippi

Col. Frank Skidmore  
Vicksburg District  
P.O. Box 60  
Vicksburg, MS 39180  
(601) 634-5010

BG Arthur E. Williams  
Lower Mississippi Valley Division  
P.O. Box 80  
Vicksburg, MS 39180  
(601) 634-5750

A.J. Breithaupt  
Waterways Experiment Station  
Vicksburg, MS 39180-0631  
(601) 634-2424

## Missouri

Col. John H. Atkinson  
Kansas City District  
700 Federal Building  
Kansas City, MO 64106  
(816) 374-3201

Col. James E. Corbin  
St. Louis District  
210 North Tucker Boulevard  
St. Louis, MO 63101  
(314) 263-5660

## Nebraska

BG Robert H. Ryan  
Missouri River Division  
P. O. Box 103, Downtown Station  
Omaha, NE 68101  
(402) 221-7201

Col. Donald E. Hazen  
Omaha District  
Room 6014, USPO and Courthouse  
Omaha, NE 68102  
(402) 221-3900

## New Hampshire

Charles P. Zdunczyk  
Cold Regions Research and Engineering  
Laboratory  
Hanover, NH 03755-1290  
(603) 646-4390

## New Mexico

LTC Steven M. Dougan  
Albuquerque District  
P.O. Box 1580  
Albuquerque, NM 87103  
(505) 766-2732

## New York

Col. Hugh Boyd  
Buffalo District  
1776 Niagara Street  
Buffalo, NY 14207  
(716) 876-5454, Ext. 2200

Col. Ralph M. Danielson  
New York District  
26 Federal Plaza  
New York, NY 10278  
(212) 264-0100

BG Gerald C. Brown  
North Atlantic Division  
90 Church Street  
New York, NY 10007  
(212) 264-7101

## North Carolina

Lt. Col. Thomas C. Suermann  
Wilmington District  
P.O. Box 1890  
Wilmington, NC 28402  
(919) 343-4501

## Ohio

BG Paul Y. Chinen  
Ohio River Division  
P.O. Box 1159  
Cincinnati, OH 45201  
(513) 221-6000

## Oklahoma

Col. Francis L. Smith  
Tulsa District  
P.O. Box 61  
Tulsa, OK 74121  
(918) 581-7311

## Oregon

Col. Charles E. Cowan  
Portland District  
P.O. Box 2946  
Portland, OR 97208  
(503) 221-6000

BG Pat Stevens IV  
North Pacific Division  
P. O. Box 2870  
Portland, OR 97208  
(503) 221-3700

## Pennsylvania

Col. George M. Miller, Jr.  
Pittsburgh District  
Federal Building  
1000 Liberty Avenue  
Pittsburgh, PA 15222  
(412) 644-6800

LTC George W. Quinby



# Appendix IV: Agency Regional and Local Office Addresses

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Philadelphia District  
U.S. Custom House  
2nd and Chestnut Streets  
Philadelphia, PA 19106  
(215) 597-4848

## Robert Lubbert

CDR, USACA/CEMP-RI  
20 Massachusetts Avenue, NW  
Washington, DC 20314  
(202) 504-4950

## South Carolina

Lt. Col. James T. Scott  
Charleston District  
P. O. Box 919  
Charleston, SC 29402  
(803) 724-4229

## Tennessee

Col. Paul J. King  
Nashville District  
P.O. Box 1070  
Nashville, TN 37202  
(615) 251-5626

Col. Obrene Richardson  
Memphis District  
B-202 Clifford Davis Federal Building  
Memphis, TN 38103  
(901) 521-3221

## Texas

BG Robert C. Lee  
Southwestern Division  
1114 Commerce Street  
Dallas, TX 75242  
(214) 767-2500

Col. Brink P. Miller  
Galveston District  
P.O. Box 1229  
Galveston, TX 77553  
(409) 766-3006

Col. William D. Brown  
Fort Worth District  
P.O. Box 17300  
Fort Worth, TX 76102  
(817) 334-2300

## Virginia

John F. Carpenter  
Humphreys Engineer Center Support Activity  
Ft. Belvoir, VA 22060-5580  
(202) 355-2153

Col. Joseph J. Thomas  
Norfolk District  
803 Front Street  
Norfolk, VA 23510  
(804) 441-3601

Mary Lu Williams  
Topographic Engineering Center  
Ft. Belvoir, VA 22060-5546  
(202) 355-2659

## Washington

Col. Milton Hunter  
Seattle District  
P.O. Box C-3755  
Seattle, WA 98124  
(206) 764-3690

LTC James A. Walter  
Walla Walla District  
Building 602, City-County Airport  
Walla Walla, WA 99362  
(509) 522-6506

## West Virginia

Col. Thomas Farewell  
Huntington District  
502 8th Street  
Huntington, WV 25721  
(304) 529-5395

## DEPARTMENT OF THE NAVY, OFFICE OF THE CHIEF OF NAVAL RESEARCH

875 N. Randolph Street  
Arlington, VA 22203 United States  
703-696-5387

## NATIONAL GUARD BUREAU

ARNG Anti-Terrorism Program  
ARNG-ODP, Mr. Dean Connors  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1302 United States  
(703) 607-9198

ARNG Diistributive Learning Program  
ARNG-ILL, MAJ Leslie Myers  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204 United States  
(703) 601-9869

ANG Natural & Cultural Resources Mgt  
ANG/A7AN, Ms. Melissa Mettz  
3500 Fetchel Ave  
Andrews AFB, MD 20762-5157 United States  
(301) 836-8427

ANG Fire Protection  
ANG/A7CXF Mr. Steve Waldelich  
3500 Fetcher Avenue  
Andrews AFB, MD 20331-5157 United States  
(301) 278-8170

ARNG Reimbursable Maintenance Operations  
ARNG-AVL, MAJ David Cooper  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204 United States  
(703) 607-7721

State Family Program Activities  
NGB-FP, Ms Joyce Wallace  
1411 Jefferson Davis Highway  
Alexandria, VA 22202-3231 United States  
(703) 607-0882

ANG Logistics Facilities  
ANG/A4P, Mr. Robert Sinclair  
3500 Fetchet Ave.

Andrews AFB, MD 20762-5157 United States  
(301) 836-8338

ARNG Aviation Operations  
NGB-AVS-O, CW5 Bob Fleming  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7752

ARNG Full Time Dining Facility Operations  
ARNG-ILL-E CW4 Stanley Jung  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7344

ARNG Electronic Security System  
ARNG-ILI-E, Mr. Mark Brown  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7956

ARNG Real Property  
ARNG-III-F, MAJ Paul Crigler  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7916

ARNG Environmental Resources Management  
ARNG-ILE, MAJ Anthony Bryant  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7340

ANG Services Resources Mgt  
ANG/A7V, Maj Gerald Cullens  
3500 Fetchet Ave.  
Andrews AFB, MD 20762-5157 United States  
(301) 836-8162

ARNG Security Guard Activities  
ARNG-ODP Ms. Deidra Wallace  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7353

ANG Environmental  
ANG/A7AN, Ms. Elaine Magdivec  
3500 Fetcher Avenue  
Andrews AFB, MD 20331-5157 United States  
(301) 836-8904

ARNG Sustainable Range Program  
ARNG-TRS Mr. Nick Long  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7884

ANG Security Guard  
ANG/A7SX, Mr. Kevin Leavy  
3500 Fetcher Avenue  
Andrews AFB, MD 20331-5157 United States  
(301) 836-7809

ANG Facilities O&M

# Appendix IV: Agency Regional and Local Office Addresses

ANG/A7RP, Mr. Tony Latuff  
3500 Fetcher Avenue  
Andrews AFB, MD 20331-5157 United States  
(301) 836-8194

ARNG Admin Services  
ARNG-ZX Ms. Cindy Kadin  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204 United States  
(703) 607-7056

ARNG Telecommunications  
ARNG-IMS , Ms Freida Parks  
ARNG Readiness Center  
111 S. George Mason Drive  
Arlington, VA 22204-1382 United States  
(703) 607-7654

## OFFICE OF THE SECRETARY OF DEFENSE

### OASD (FM&P)

Office of Economic Adjustment  
Western Region  
1325 J Street, Suite 1500  
Sacramento, CA 95814  
(916) 567-7365

## DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

### Alabama

Birmingham Field Office  
950 22nd Street North  
Suite 900  
Birmingham, AL 35203-5302  
(205) 731-2617 (205) 731-2593 FAX

### Alaska

3000 C Street, Suite 401  
Anchorage, AK 99503  
(907) 677-9800(907) 667-9807 FAX

### Alaska

Anchorage Field Office  
3000 C. Street  
Suite 401  
Anchorage, AK 99503  
(907) 677-9800(907) 677-9825 FAX

### Arizona

Tucson Field Office  
160 North Stone Avenue  
Tucson, AZ 85701-1467  
(520) 670-6000(520) 670-6207 FAX

Phoenix Field Office  
One N. Central Avenue  
Suite 600  
Phoenix, AZ 85004  
(602) 379-7100(602) 379-3985 FAX

### Arkansas

Little Rock Field Office  
TCBY Tower  
425 West Capitol Avenue, Suite 900

Little Rock, AR 72201-3488  
(501) 324-5931(501) 324-6142 FAX

### California

Fresno Field Office  
Suite 100  
2135 Fresno Street  
Fresno, CA 93721-1718  
(559) 487-5033, Ext. 232(559) 487-5191 FAX

San Francisco Regional Office  
Phillip Burton Federal Building and U.S.  
Courthouse  
450 Golden Gate Avenue  
San Francisco, CA 94102-3448  
(415) 436-6532(415) 436-6446 FAX

Sacramento Field Office  
925 L Street  
Sacramento, CA 95814-2601  
(916) 498-5220, Ext. 322(916) 498-5262 FAX

Santa Ana Field Office  
World Trade Tower  
1600 North Broadway Suite 101  
Santa Ana, CA 92706-3927  
(714) 796-5577(714) 796-1285 FAX

Los Angeles Field Office  
Suite 800  
AT&T Center  
611 West 6th Street  
Los Angeles, CA 90017-3127  
(213) 894-8007(213) 894-8110 FAX

San Diego Field Office  
Symphony Towers  
750 B Street, Suite 1600  
San Diego, CA 92101-8131  
(619) 557-5310(619) 557-5312 FAX

### Colorado

Denver Regional Office  
1600 Broadway  
Denver, CO 80202  
(303) 672-5440(303) 672-5004 FAX

### Connecticut

Hartford Field Office  
One Corporate Center  
20 Church Street 19th Floor  
Hartford, CT 06103-3220  
(860) 240-8000(860) 240-4850 FAX

### Delaware

Wilmington Field Office  
920 King Street Suite 404  
Wilmington, DE 19801-3016  
(302) 573-6300(302) 573-6259

Wilmington Field Office  
One Rodney Square  
920 King Street, Suite 404  
Wilmington, DE 19801  
(302) 573-6300(302) 573-6259 FAX

### District of Columbia

Washington, D.C. Field Office  
820 First Street, N.E., Suite 300

Washington, DC 20002-4205  
(202) 275-9200 (202) 523-9212 FAX

### Eastern/Woodlands

77 W. Jackson Boulevard, Room 2404  
Chicago , IL 60604-3507  
(800) 735-3239(312) 353-8936 FAX

### Florida

Orlando Field Office  
Langley Building  
3751 Maguire Boulevard, Suite 270  
Orlando, FL 32803-3032  
(407) 648-6441(407) 648-6310 FAX

Jacksonville Field Office  
Southern Bell Tower  
301 West Bay Street, Suite 2200  
Jacksonville, FL 32202-5121  
(904) 232-2627(904) 232-3759 FAX

Tampa Field Office  
Timberlake Federal Building Annex  
500 Zack Street, Suite 402  
Tampa, FL 33602-3945  
(813) 228-2026(813) 228-2431 FAX

Miami Field Office  
Brickell Plaza Building  
909 Southeast First Avenue  
Miami, FL 33131-3028  
(305) 536-4456(305) 536-5765 FAX

### Georgia

Atlanta Regional Office  
Five Points Plaza  
40 Marietta Street  
Atlanta, GA 30303-2806  
(404) 331-4111(404) 730-2392 FAX

### Great Plains Field Offices

(Iowa, Kansas, Missouri, Nebraska)

### Hawaii

Honolulu Field Office  
Three Waterfront Plaza  
500 Ala Moana Boulevard, Suite 3A  
Honolulu, HI 96813-4918  
(808) 522-8175, Ext. 256 or 259(808) 522-8194 FAX

### Idaho

Boise Field Office  
Plaza IV, Suite 220  
800 Park Boulevard  
Boise, ID 83712-7743  
(208) 334-1990, Ext. 3007(208) 334-9648 FAX

### Illinois

Springfield Field Office  
320 West Washington 7th Floor  
Springfield, IL 62701  
(217) 492-4120(217) 492-4154 FAX

Chicago Regional Office  
Ralph H. Metcalfe Federal Building  
77 West Jackson Boulevard  
Chicago, IL 60604-3507

# Appendix IV: Agency Regional and Local Office Addresses

(312) 353-5680(312) 886-2729 FAX

## Indiana

Indianapolis Field Office  
151 North Delaware Street, Suite 1200  
Indianapolis, IN 46204-2526  
(317) 226-6303(317) 226-6317 FAX

## Iowa

Des Moines Field Office  
Federal Building  
210 Walnut Street, Room 239  
Des Moines, IA 50309-2155  
(515) 284-4512(515) 284-4743 FAX

## Kansas

Kansas City Regional Office  
Gateway Tower II  
400 State Avenue, Room 200  
Kansas City, KS 66101-2406  
(913) 551-5462, Ext. 4(913) 551-5469 FAX

## Kentucky

Louisville Field Office  
601 West Broadway  
Post Office Box 1044  
Louisville, KY 40202  
(502) 582-5251(502) 582-6074 FAX

## Louisiana

New Orleans Field Office  
Hale Boggs Federal Building  
501 Magazine Street, 9th Floor  
New Orleans, LA 70130-3099  
(504) 589-7201(504) 589-6619 FAX

Shreveport Field Office  
401 Edwards Street, Suite 1510  
Shreveport, LA 71101-5513  
(318) 676-3440(318) 676-3407 FAX

## Maine

Bangor Field Office  
Margaret Chase Smith Federal Building  
Room 101  
202 Harlow Street  
Bangor, ME 04402-1384  
(207) 945-0467(207) 945-0533 FAX

## Maryland

Baltimore Field Office  
City Crescent Building  
10 South Howard Street, Fifth Floor  
Baltimore, MD 21201-2505  
(410) 962-2520, Ext. 3474(410) 962-1849 FAX

## Massachusetts

Boston Regional Office  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, Room 301  
Boston, MA 02222-1092  
(617) 994-8200(617) 565-5257 FAX

## Michigan

Detroit Field Office  
Patrick V. McNamara Federal Building  
477 Michigan Avenue

Detroit, MI 48226-2592  
(313) 226-7900(313) 226-5611 FAX

Grand Rapids Field Office  
Trade Center Building  
50 Louis Street, N.W.  
Grand Rapids, MI 49503-2633  
(616) 456-2100(616) 456-2114 FAX

Flint Field Office Office  
Municipal Center  
1101 S. Saginaw Street  
Flint, MI 48502-1953  
(810) 766-5112(810) 766-5122 FAX

## Mid Atlantic Field Offices

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)

## Midwest Field Offices

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)

## Minnesota

Minneapolis Field Office  
220 Second Street, South  
Minneapolis, MN 55401-2195  
(612) 370-3000, Ext. 2045(612) 370-3220 FAX

## Mississippi

Jackson Field Office  
Doctor A. H. McCoy Federal Building  
100 West Capitol Street, Room 910  
Jackson, MS 39269-1096  
(601) 965-4757(601) 965-4773 FAX

## Missouri

St. Louis Field Office  
Robert A. Young Federal Building  
1222 Spruce Street, Suite 3207  
St. Louis, MO 63103-2836  
(314) 539-6583(314) 539-6384 FAX

## Montana

Helena Field Office  
Power Block Building  
7 West Sixth Avenue  
Helena, MT 59601  
(406) 449-5050(406) 449-5052 FAX

## Nebraska

Omaha Field Office  
Executive Tower Centre  
10909 Mill Valley Road, Suite 100  
Omaha, NE 68154-3955  
(402) 492-3101(402) 492-3150 FAX

## Nevada

Las Vegas Field Office  
Atrium Building  
333 North Rancho Drive, Suite 700  
Las Vegas, NV 89106-3714  
(702) 388-6500(702) 388-6244 FAX

Reno Field Office  
3702 South Virginia Avenue  
Reno, NV 89502-6581  
(775) 784-5383(775) 784-5005 FAX

## New England Field Offices

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
Connecticut State Office  
One Corporate Center, 19th Floor  
Hartford, CT 06103-3220  
(860) 240-4844  
(860) 240-4850 FAX

## New Hampshire

Manchester Field Office  
Norris Cotton Federal Building  
275 Chestnut Street  
Manchester, NH 03103-2487  
(603) 666-7510(603) 666-7667 FAX

## New Jersey

Camden Field Office  
Hudson Building  
800 Hudson Square, Second Floor  
Camden, NJ 08102-1156  
(856) 757-5081(856) 757-5373 FAX

Newark Field Office  
One Newark Center, 13th Floor  
Newark, NJ 07102-5260  
(973) 622-7900(973) 645-2323 FAX

## New Mexico

Albuquerque Field Office  
625 Silver Avenue S.W., Suite 100  
Albuquerque, NM 87102-3185  
(505) 346-7320, Ext. 7332(505) 346-6704 FAX

## New York

Albany Field Office  
52 Corporate Circle  
Albany, NY 12203-5121  
(518) 464-4200, Ext. 4204(518) 464-4300 FAX

New York Regional Office  
26 Federal Plaza, Suite 3541  
New York, NY 10278-0068  
(212) 264-8000(212) 264-3068 FAX

Syracuse Field Office  
128 Jefferson Street  
Syracuse, NY 13202  
(315) 477-0616(315) 477-0196 FAX

Buffalo Field Office Office  
Lafayette Court  
465 Main Street, Second Floor  
Buffalo, NY 14203-1780  
(716) 551-5755, Ext. 5000(716) 551-5752 FAX

## New York/New Jersey Field Offices

(New York, New Jersey)]

## North Carolina

Greensboro Field Office  
Asheville Building  
1500 Pinecroft Road  
Suite 401  
Greensboro, NC 27407-3838  
(336) 547-4001(336) 547-4138 FAX

## North Dakota

# Appendix IV: Agency Regional and Local Office Addresses

Fargo Field Office  
Federal Building  
657 2nd Avenue North, Room 366  
Fargo, ND 58108-2483  
(701) 239-5136(701) 239-5249 FAX

## Northern Plains

UMB Plaza  
1670 Broadway, 22nd Floor  
Denver, CO 80202-4801  
(303) 672-5465(303) 672-5003 FAX

## Northwest

Seattle Federal Office Building  
909 First Avenue, Suite 300  
Seattle, WA 98104-1000  
(206) 220-5270(206) 220-5234 FAX

## Northwest/Alaska Field Offices

(Idaho, Oregon, Washington, Alaska)

## Ohio

Cincinnati Field Office  
15 East Seventh Street  
Cincinnati, OH 45202-2401  
(513) 684-3451(513) 684-6224 FAX

Columbus Field Office  
200 North High Street  
Columbus, OH 43215-2463  
(614) 469-2540, Ext. 8116(614) 469-2432 FAX

Cleveland Field Office  
Renaissance Building  
1350 Euclid Avenue, Suite 500  
Cleveland, OH 44115-1815  
(216) 522-4058, Ext. 7102(216) 522-4067 FAX

## Oklahoma

Oklahoma City Field Office  
500 West Main Street, Suite 400  
Oklahoma City, OK 73102-2233  
(405) 553-7509(405) 553-7588 FAX

Tulsa Field Office  
1516 South Boston Street, Suite 100  
Tulsa, OK 74119-4030  
(918) 581-7434(918) 581-7440 FAX

## Oregon

Portland Field Office  
400 Southwest Sixth Avenue, Suite 700  
Portland, OR 97204-1632  
(503) 326-2561(503) 326-2568 FAX

## Pacific/Hawaii Field Offices

(Arizona, California, Nevada, Hawaii)

## Pennsylvania

Pittsburgh Field Office  
Sixth Floor  
339 Sixth Avenue  
Pittsburgh, PA 15222-2515  
(412) 644-6436(412) 644-4240 FAX

Philadelphia Regional Office  
The Wanamaker Building  
100 Penn Square East

Philadelphia, PA 19107-3380  
(215) 656-0500(215) 656-3445 FAX

## Puerto Rico

San Juan Field Office  
New San Juan Office Building  
171 Carlos E. Chardon Avenue  
San Juan, PR 00918-0903  
(787) 766-5201(787) 766-5995 FAX

## Rhode Island

Providence Field Office  
Sixth Floor  
10 Weybosset Street  
Providence, RI 02903-2818  
(401) 528-5230(401) 528-5312 FAX

## Rocky Mountains Field Offices

(Colorado, Montana, North Dakota, South Dakota,  
Utah, Wyoming)

## South Carolina

Columbia Field Office  
Strom Thurmond Federal Building 13th Floor  
1835 Assembly Street  
Columbia, SC 29201-2480  
(803) 765-5592(803) 253-3043 FAX

## South Dakota

Sioux Falls Field Office  
2400 West 49th Street, Suite I-201  
Sioux Falls, SD 57105-6558  
(605) 330-4223(605) 330-4428 FAX

## Southeast/Caribbean Field Offices

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee, Caribbean, Panama Canal Zone, Puerto  
Rico, Virgin Islands)

## Southern Plains

301 N.W. 6th Street Suite 200  
Oklahoma City, OK 73102  
(405) 609-8532(405) 609-8403 FAX

## Southwest

One North Central Avenue Suite 600  
Phoenix, AZ 85004-2361  
(602) 379-7200(602) 379-3101 FAX

## Southwest Field Offices

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

## Tennessee

Nashville Field Office  
235 Cumberland Bend Drive, Suite 200  
Nashville, TN 37228-1803  
(615) 736-5213, Ext. 7120(615) 736-7848 FAX

Memphis Field Office  
One Memphis Place  
200 Jefferson Avenue, Suite 1200  
Memphis, TN 38103-2335  
(901) 544-3367(901) 544-3697 FAX

Knoxville Field Office

John J. Duncan Federal Building  
710 Locust Street, Third Floor  
Knoxville, TN 37902-2526  
(865) 545-4384(865) 545-4569 FAX

## Texas

San Antonio Field Office  
One Alamo Center  
106 South St. Mary's Street  
San Antonio, TX 78205  
(210) 475-6806(210) 472-6804 FAX

Lubbock Field Office  
George H. Mahon Federal Building and United  
States Courthouse  
1205 Texas Avenue, Room 511  
Lubbock, TX 79401-4093  
(806) 472-7265, Ext. 3030(806) 472-7275 FAX

Houston Field Office  
1301 Fannin Suite 2200  
Houston, TX 77002  
(713) 718-3199(713) 313-2319 FAX

Fort Worth Regional Office  
801 Cherry Street  
P.O. Box 2905  
Fort Worth, TX 76113-2905  
(817) 978-5965(817) 978-5567 FAX

Dallas Field Office  
525 Griffin Street, Room 860  
Dallas, TX 75202-5007  
(214) 767-8300(214) 767-8973 FAX

## Utah

Salt Lake City Field Office  
125 South State Street Suite 3001  
Salt Lake City, UT 84138  
(801) 524-6070(801) 524-3439 FAX

## Vermont

Burlington Field Office  
159 Bank Street, 2nd Floor  
Burlington, VT 05401-4410  
(802) 951-6290(802) 951-6298 FAX

## Virginia

Richmond Field Office  
The 3600 Centre  
600 East Broad Street, 3rd Floor  
Richmond, VA 23219-4920  
(804) 771-2100(804) 771-2090 FAX

## Washington

Spokane Field Office  
U.S. Courthouse Building  
920 West Riverside, Room 588  
Spokane, WA 99201-1010  
(509) 353-0674(509) 353-0682 FAX

Seattle Regional Office  
Seattle Federal Office Building  
909 1st Avenue, Suite 200  
Seattle, WA 98104-1000  
(206) 220-5101(206) 220-5108 FAX

## West Virginia

# Appendix IV: Agency Regional and Local Office Addresses

Charleston Field Office  
Kanawha Valley Building  
405 Capitol Street, Suite 708  
Charleston, WV 25301-1795  
(304) 347-7000, Ext. 101(304)-347-7050 FAX

## Wisconsin

Milwaukee Field Office  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 1380  
Milwaukee, WI 53203-2289  
(414) 297-3214, Ext. 8001(414) 297-3947 FAX

## Wyoming

Casper Field Office  
Federal Office Building  
100 East B Street, Room 1010  
Casper, WY 82601-1969  
(307) 261-6250(307) 261-6245 FAX

## DEPARTMENT OF THE INTERIOR

### District I

All Indian Reservations in North Dakota, South Dakota, Nebraska, Wisconsin, Michigan and Minnesota  
Office of Law Enforcement  
Bureau of Indian Affairs  
115 4th Avenue, S.E., MC: 302  
Aberdeen, SD 57401

### District II

All Indian Tribes in Eastern Oklahoma, all Indian Reservations in Western Oklahoma, and Kansas  
Office Law Enforcement  
Bureau of Indian Affairs  
101 N. 5th Street  
Muskogee, OK 74401

### District III

All Indian Reservations in Arizona, Nevada, Utah (excluding Navajo) and Indian Reservations in Northern California  
Office of Law Enforcement  
Bureau of Indian Affairs  
N. 5th Street, Bldg 2  
Mailing Address:  
P.O. Box 10  
Phoenix, AZ 85001

### District IV

All Indian Reservations in Southern Colorado, New Mexico, and all Navajo Indian Reservations in Arizona, New Mexico and Utah  
Office of Law Enforcement  
Bureau of Indian Affairs  
P.O. Box 26567  
Albuquerque, NM 87125-6567

### District V

All Indian Reservations in Montana, Wyoming, Oregon, Washington, Idaho, and Alaska  
Office of Law Enforcement  
Bureau of Indian Affairs  
316 North 26th Street

Billings, MT 59101

## Eastern Region

All Indian Reservations in Alabama, Connecticut, Florida, Louisiana, Maine, Mississippi, New York, North Carolina and Rhode Island  
Office of Law Enforcement  
Bureau of Indian Affairs  
1849 C Street, NW., MS 4550 MIB  
Washington, DC 20240-0001

## BUREAU OF INDIAN AFFAIRS

### Deputy Commissioner of Indian Affairs

1849 C Street N.W., MS-4140 MIB  
Washington, DC 20240  
(202) 208-5116

### 101 12th Avenue, Room 16

Metlakatla Field Office  
P.O. Box 450  
Metlakatla, AK 99926  
(907) 886-3791

Fairbanks Agency  
Fairbanks, AK 99701-6270  
(907) 456-0222

## Alaska

Alaska Regional Office  
P.O. Box 25520  
Juneau, AK 99802-5520  
(907) 586-7177

Bethel Field Office  
1675 C Street, Suite 279  
Anchorage, AK 99501-5198  
(907) 271-4086

Anchorage Education Field Office  
1675 C Street  
Anchorage, AK 99501  
(907) 271-4115

Anchorage Field Office  
1675 C Street, Suite 211  
Anchorage, AK 99501-5198  
(907) 271-4088

## Arizona

Western Regional Office  
Two Arizona Center, 12th Floor  
P.O. Box 10, MS-100  
Phoenix, AZ 85001-0010  
(602) 379-6600

Pima Agency-Education  
400 North 5th Street  
PO Box 10  
Phoenix, AZ 85001  
(602) 379-3944

Western Navajo Agency-Education  
Highway 160 and Warrior Drive  
Building 407  
PO Box 746  
Tuba City, AZ 86045  
(520) 283-2218

Western Navajo Agency

P.O. Box 127  
Tuba City, AZ 86045  
(520) 283-2254, 2252

Hopi Agency-Education  
Highway 264  
PO Box 568  
Keams Canyon, AZ 86034  
(520) 738-2262

Colorado River Agency, Route 1, Box 9-C  
Parker, AZ 85344  
(520) 669-7111

Fort Apache Agency  
P.O. Box 560  
Whiteriver, AZ 85941  
(520) 338-5353

Ft. Apache Agency-Education  
Highway 73 and Elm Street  
PO Box 920  
White River, AZ 85941  
(520) 338-5441

Fort Defiance Agency, P.O. Box 619  
Fort Defiance, AZ 86504  
(520) 729-7217, 7218

Chinle Agency  
P.O. Box 7H  
Chinle, AZ 86503  
(520) 674-5100

Papago Agency  
P.O. Box 578  
Sells, AZ 85634  
(520) 383-3286

Papago Agency-Education  
South Building #49  
PO Box 38  
Sells, AZ 85634  
(520) 383-3292

Fort Defiance Agency-Education  
Building 38, Blue Canyon Highway 110  
PO Box 110  
Fort Defiance, AZ 86504-0110  
(520) 729-7251

Pima Agency  
P.O. Box 8  
Sacaton, AZ 85247  
(520) 562-3326

Chinle Agency-Education  
Navjo Route 7  
PO Box 6003  
Chinle, AZ 86503  
(520) 674-5130 Ext. 201

Fort Yuma Field Office  
P.O. Box 11000  
Yuma, AZ 85366-1000  
(760) 572-0248

Truxton Canon Field Office  
P.O. Box 37  
Valentine, AZ 86437  
(520) 769-2286

Sacramento Area Education Office

# Appendix IV: Agency Regional and Local Office Addresses

2800 Cottage Way  
Sacramento, CA 95825  
(916) 979-2560, Ext. 234

San Carlos Agency  
P.O. Box 209  
San Carlos, AZ 85550  
(520) 475-2321

Hopi Agency  
P.O. Box 158  
Keams Canyon, AZ 86034  
(520) 738-2228

Salt River Field Office  
10000 E. McDowell Road  
Scottsdale, AZ 85256  
(602) 640-2168

## California

Southern California Agency  
2038 Iowa Avenue, Suite 101  
Riverside, CA 92507-0001  
(909) 276-6624

Central California Agency  
1824 Tribute Road, Suite J  
Sacramento, CA 95815  
(916) 566-7121

Palm Springs Field Office  
P.O. Box 2245  
650 E. Tahquitz Canyon Way, Suite A  
Palm Springs, CA 92262  
(760) 416-2133

Northern California Field Office  
1900 Churn Creek Road, Suite 300  
Redding, CA 96002  
(530) 246-5141

(See also Arizona (Western))

Pacific Regional Office  
Federal Office Building  
2800 Cottage Way  
Sacramento, CA 95825-1846  
(916) 979-2600

## Colorado

Southern Ute Agency  
P.O. Box 315  
Ignacio, CO 81137  
(970) 563-4511

Ute Mountain Ute Field Office  
P.O. Box KK  
Towaoc, CO 81334  
(970) 565-8473

## Florida

Seminole Agency  
6075 Sterling Road  
Hollywood, FL 33024  
(954) 356-7288

## Idaho

Plummer Subagency  
P.O. Box 408  
850 A Street  
Plummer, ID 83851

(208) 686-1887

Northern Idaho Agency  
P.O. Drawer 277  
Lapwai, ID 83540  
(208) 843-2300

Fort Hall Agency  
P.O. Box 220  
Fort Hall, ID 83203  
(208) 238-2301

## Kansas

Haskell Indian Nations University  
155 Indian Avenue #1305  
Lawrence, KS 66046-4800  
(785) 749-8404

Haskell Indian Nations University  
155 Indian Avenue  
Lawrence, KS 66046  
(785) 749-8404

## Michigan

Michigan Field Office  
2901.5 I-75 Business Spur  
Sault Ste Marie, MI 49783  
(906) 632-6809

Horton Field Office  
P.O. Box 31  
Horton, KS 66439  
(785) 486-2161

## Minnesota

Minneapolis Area Education Office  
331 South Second Avenue  
Minneapolis, MN 55401-2241  
(612) 373-1000, Ext. 1090

Midwest Regional Office  
One Federal Drive, Room 550  
St. Snelling, MN 55111  
(612) 713-4400, Ext. 1020

Red Lake Field Office  
Red Lake, MN 56671  
(218) 679-3361

Minnesota Agency  
Room 418, Federal Building  
522 Minnesota Avenue, NW  
Bemidji, MN 56601-3062  
(218) 751-2011

## Mississippi

Choctaw Field Office  
421 Powell Street  
Philadelphia, MS 39350  
(601) 656-1522

## Montana

Northern Cheyenne Agency  
P.O. Box 40  
Lame Deer, MT 59043  
(406) 477-8242

Billings Area Education Office  
316 North 26th Street  
Billings, MT 59101-1397

(406) 247-7953

Flathead Field Office  
P.O. Box 40  
Pablo, MT 59855-5555  
(406) 675-0242

Rocky Mountain Regional Office  
316 North 26th Street  
Billings, MT 59101-1397  
(406) 247-7943

Crow Agency, MT 59022  
(406) 638-2672

Fort Belknap Agency  
RR 1, Box 980  
Harlem, MT 59526  
(406) 353-2901, Ext. 23

Rocky Boy's Field Office  
RR 1, Box 542  
Box Elder, MT 59521  
(406) 395-4476

Fort Peck Agency  
P.O. Box 637  
Poplar, MT 59255  
(406) 768-5312

Crow Agency  
Box 69

Blackfeet Agency  
P.O. Box 880  
Browning, MT 59417  
(406) 338-7544

## Navajo Regional Office

P.O. Box #1060  
Gallup, NM 87305  
(505) 863-8314

## Nebraska

Winnebago Agency  
P.O. Box 18  
Winnebago, NE 68071  
(402) 878-2502

## Nevada

Western Nevada Agency  
1677 Hot Springs Road  
Carson City, NV 89706  
(775) 887-3500

Eastern Nevada Field Office  
1555 Shoshone Circle  
Elko, NV 89801  
(775) 738-0569

## New Mexico

Northern Pueblos Agency  
P.O. Box 4269  
Fairview Station  
Española, NM 87533  
(505) 753-1400

Shiprock Agency  
P.O. Box 966  
Shiprock, NM 87420  
(505) 368-3300

# Appendix IV: Agency Regional and Local Office Addresses

Shiprock Agency-Education  
Highway 666N  
PO Box 3239  
Shiprock, NM 87420-3239  
(505) 368-4427, Ext. 360  
FTS 8 (700) 479-4370

Zuni Agency  
P.O. Box 369  
Zuni, NM 87327  
(505) 782-5591

Laguna Agency  
P.O. Box 1448  
Laguna, NH 87026  
(505) 552-6001

Ramah-Navajo Agency  
Route 2, Box 14  
Ramah, NM 87321  
(505) 775-3235

Jicarilla Agency  
P.O. Box 167  
Dulce, NM 87528  
(505) 759-3951

Eastern Navajo Agency, P.O. Box 328  
Crownpoint, NM 87313  
(505) 786-6100

Southern Pueblos Agency-Education  
1000 Indian School Road NW  
PO Box 1667  
Albuquerque, NM 87103  
(505) 346-2431

Northern Pueblos Agency-Education  
1 Mile North of Espanola  
Highway 68  
PO Box 4269  
Fairview Station  
Espanola, NM 87533  
(505) 753-1465

Mescalero Agency  
P.O. Box 189  
Mescalero, NM 88340  
(505) 671-4423

Eastern Navajo Agency-Education  
1 Main Street, Building 222  
PO Box 328  
Crownpoint, NM 87313  
(505) 786-6150

(See also Arizona (Navajo)  
Southwest Regional Office  
615 1st Street, N.W.  
P.O. Box 26567  
Albuquerque, NM 87125-6567  
(505) 346-7590

Southern Pueblos Agency  
P.O. Box 1667  
Albuquerque, NM 87103  
(505) 346-2424

## **New York**

(See Virginia, Eastern Regional Office)

New York Field Office  
P.O. Box 7366  
Syracuse, NY 13261-7366  
(315) 448-0620

## **North Carolina**

Cherokee Agency  
Cherokee, NC 28719  
(704) 497-9131

(See Virginia, Eastern Regional Office)

## **North Dakota**

Standing Rock Agency-Education  
Main Street off Highway 106  
Agency Avenue  
PO Box E

Fort Yates, ND 58538  
(701) 854-3497

Fort Berthold Agency  
P.O. Box 370  
New Town, ND 58763  
(701) 627-4707

Southwestern Indian Polytechnic Institute  
9169 Coors Road NW  
P.O. Box 10146-9196  
Albuquerque, NM 87184  
(505) 346-2343

Turtle Mountain Agency  
P.O. Box 60  
Belcourt, ND 58316  
(701) 477-3191

Fort Totten Agency  
P.O. Box 270  
Fort Totten, ND 58335  
(701) 766-4545

Standing Rock Agency  
P.O. Box E  
Fort Yates, ND 58538  
(701) 854-3433

Oklahoma Education Office  
4149 Highline Boulevard, Suite 380  
Oklahoma City, OK 73108  
(605) 945-6051 Ext. 301  
(405) 605-6057

Turtle Mountain Agency-Education  
School Street  
PO Box 30  
Belcourt, ND 58316  
(701) 477-6471 Ext. 211

(See South Dakota)

## **Oklahoma**

Concho Field Office  
P.O. Box 68  
El Reno, OK 73036-0068  
(405) 262-7481

Siletz Field Office  
P.O. Box 569  
Siletz, OR 97380  
(541) 444-2679

Wewoka Agency  
P.O. Box 1060  
Wewoka, OK 74884  
(405) 257-6259

Southern Plains Office  
P.O. Box 368  
Anadarko, OK 73005-0368  
(405) 247-6673, Ext. 257

Pawnee Agency, P.O. Box 440,  
Pawnee, OK 74058-0440  
(918) 762-2585

Miami Field Office  
P.O. Box 391  
Miami, OK 74355  
(918) 542-3396

Chickasaw Agency  
1500 N. Country Club Road  
P.O. Box 2240  
Ada, OK 74821  
(580) 436-0784

Shawnee Field Office  
624 West Independence, Suite 114  
Shawnee, OK 74801  
(405) 273-0317

Okmulgee Field Office  
P.O. Box 370  
Okmulgee, OK 74447  
(918) 756-3950

Anadarko Agency  
P.O. Box 309  
Anadarko, OK 73005  
(405) 247-6677

Talihina Office  
Drawer H  
Talihina, OK 74571  
(918) 567-2207

Eastern Oklahoma Regional Office  
Bureau of Indian Affairs  
101 North 5th Street  
Muskogee, OK 74401-6206  
(918) 687-2295

Osage Agency  
P.O. Box 1539  
Pawhuska, OK 74056  
(918) 287-1032

## **Oregon**

Portland Area Education Office  
911 North East 11 Avenue  
Portland, OR 97232-4169  
(503) 872-2743

Umatilla Agency  
P.O. Box 520  
Pendleton, OR 97801  
(541) 278-3786

Warm Springs Agency  
P.O. Box 1239  
Warm Springs, OR 97761  
(541) 553-2411

## Appendix IV: Agency Regional and Local Office Addresses

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(See also Arizona (Western)  
Northwest Regional Office  
911 N.E. 11th Avenue  
Portland, OR 97232-4169  
(503) 231-6702

### South Dakota

Cheyenne River Agency  
P.O. Box 325  
Eagle Butte, SD 57625  
(605) 964-6611

Lower Brule Agency  
P.O. Box 190  
Lower Brule, SD 57548  
(605) 473-5512

Great Plains Regional Office  
Bureau of Indian Affairs  
115 4th Avenue, SE  
Aberdeen, SD 57401-4382  
(605) 226-7343

Crow Creek Agency  
P.O. Box 139  
Ft. Thompson, SD 57339  
(605) 245-2311

Yankton Agency  
P.O. Box 577  
Wagner, SD 57380  
(605) 384-3651

Pine Ridge Agency  
P.O. Box 1203  
Pine Ridge, SD 57770  
(605) 867-5125

Crow Creek/Lower Brule Agency-Education  
140 Education Avenue  
PO Box 139  
Fort Thompson, SD 57339  
(605) 245-2398

Sisseton Agency  
P.O. Box 688  
Agency Village, SD 57262  
(605) 698-3001

Rosebud Agency-Education  
1001 Avenue D  
PO Box 669  
Mission, SD 57555  
(605) 856-4478 Ext. 261

Rosebud Agency  
P.O. Box 550  
Rosebud, SD 57570  
(605) 747-2224

Cheyenne River Agency-Education  
100 North Main  
PO Box 2020  
Eagle Butte, SD 51625  
(605) 964-8722

Pine Ridge Agency-Education  
101 Main Street  
PO Box 333  
Pine Ridge, SD 57770  
(605) 867-1306

### Utah

Southern Paiute  
Field Office  
P.O. Box 720  
St. George, UT 84771  
(435) 674-9720

(see Arizona (Navajo and Western), and Oregon)

Uintah and Ouray Agency  
P.O. Box 130  
Fort Duchesne, UT 84026  
(435) 722-4300

### Virginia

South and Eastern States Agency-Education  
3701 North Fairfax Drive, Suite 260  
Arlington, VA 22203  
(703) 235-3233

Eastern Regional Office  
3701 North Fairfax Drive  
Suite 260  
Arlington, VA 22203  
(703) 235-3006

### Washington

Yakima Agency  
P.O. Box 151 (Tribal)  
P. O. Box 632 (BIA)  
Toppenish, WA 98948  
(509) 865-5121

(See Oregon)

Colville Agency  
P.O. Box 111  
Nespelem, WA 99155-0111  
(509) 634-2316

Olympic Peninsula Agency  
P.O. Box 48  
Aberdeen, WA 98520  
(360) 533-9100

Spokane Agency  
P.O. Box 389  
Wellpinit, WA 99040  
(509) 258-4561

Puget Field Office  
2707 Colby Avenue, Suite 1101  
Everett, WA 98201  
(425) 258-2651

Makah Field Office  
P.O. Box 115  
Neah Bay, WA 98357  
(360) 645-3232

### Wisconsin

Great Lakes Agency  
615 Main Street, West  
P.O. Box 273  
Ashland, WI 54806-0273  
(715) 682-4527

(See Minnesota)

### Wyoming

(See Montana)

Cross-references denote which area or offices  
provide services to eligible Indians within the  
State.

Wind River Agency  
P.O. Box 158  
Fort Washakie, WY 82514  
(307) 332-7810

## BUREAU OF LAND MANAGEMENT

### RESEARCH HEADQUARTERS

#### Alaska (953 B)

6881 Abbott Loop Road  
Anchorage, AK 99507  
(907) 267-1323

#### Arizona

222 N. Central Avenue I04P.O. Box 16563  
Phoenix, AZ 95004-2203  
(602) 417-9266

#### Branch of Procurement Management

1849 C Streets, N.W., MS: 1075-LS  
(This office handles Bureau-wide inquiries)  
Washington, DC 20240  
(202) 452-5170

#### California

2800 Cottage Way, Suite W-1834  
Sacramento, CA 95825-1886  
(916) 978-4527

#### Colorado

2850 Youngfield Street  
Lakewood, CO 80215-7076  
(303) 239-3677

#### Eastern States Office

7450 Boston Boulevard  
Springfield, VA 22153  
(703) 440-1596

#### Idaho

1387 S. Vinnell Way  
Boise, ID 83709-1657  
(208) 373-3909

#### Montana

5001 Southgate Drive  
P.O. Box 36800  
Billings, MT 59107-6800  
(406) 896-5205

#### Nevada

1340 Financial Boulevard  
P.O. Box 12000  
Reno, NV 89520-0006  
(702) 861-6417

#### New Mexico

435 Montano NE  
Albuquerque, NM 87107  
(505) 761-8994

#### Oregon



# Appendix IV: Agency Regional and Local Office Addresses

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1515 SW 5th Avenue  
P.O. Box 2965  
Portland, OR 97208  
(503) 952-6220

## Utah

324 South State Street, Suite 301  
Salt Lake City, UT 84111-2303  
(801) 539-4172

## Wyoming

5353 Yellowstone Road  
P.O. Box 1828  
Cheyenne, WY 82005  
(307) 775-6058

## BUREAU OF RECLAMATION

---

### Commissioner's Office, Denver, Colorado

P.O. Box 25007  
Denver Federal Center  
Denver, CO 80225-0007  
(303) 445-2692

### Great Plains Regional Office

PO Box 36900  
Billings, MT 59107-6900  
(406) 247-7600

### Lower Colorado Regional Office

PO Box 61470  
Boulder City, NV 89006-1470  
(702) 293-8411

### Mid-Pacific Regional Office

Federal Office Building  
2800 Cottage Way  
Sacramento, CA 95825-1898  
(916) 978-5000

### Pacific Northwest Regional Office

1150 North Curtis Road, Suite 100  
Boise, ID 83706-1234  
(208) 378-5012

### Upper Colorado Regional Office

125 South State Street, Room 6107  
Salt Lake City, UT 84138-1102  
(801) 524-3600

## FISH AND WILDLIFE SERVICE

---

**(Region VI: Colorado, Kansas, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming)**

Ralph O. Morgenweck  
P.O. Box 25486  
Denver Federal Center  
Denver, CO 80025  
Phone (303) 236-7920 Fax (303) 236-8295

**(Region VII: Alaska)**

Rowan Gould  
1011 E. Tudor Road  
Anchorage, AK 99503  
Phone (907) 786-3306, fax (907) 786-3542

## California/Nevada

Judy Frye  
2800 Cottage Way, Suite W2606  
Sacramento, CA 95825  
Phone (916) 414-6486, fax (916) 414-6464

## Georgia

(Region IV: Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands)  
Sam Hamilton  
1875 Century Boulevard  
Atlanta, GA 30345  
Phone (404) 679-4006, fax (404) 679-4000

## Massachusetts

(Region V: Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Washington, District of Columbia)  
Marvin Moriarty  
300 Westgate Center Drive  
Hadley, MA 01035  
Phone (413) 253-8308, Fax (413) 253-8300

## Minnesota

(Region III: Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Ohio, Wisconsin)  
Robyn Thorson  
Federal Building, 1 Federal Drive  
Fort Snelling, MN 55111  
Phone (612) 713-5284, fax (612) 713-5301

## New Mexico

(Region II: Arizona, New Mexico, Oklahoma, Texas)  
Dale Hall  
P.O. Box 1306  
500 Gold Avenue, S.W., Room 3018  
Albuquerque, NM 87103  
Phone (505) 248-6910, fax (505) 248-6282

## Oregon

(Region I: California, Hawaii, Idaho, Nevada, Oregon, Washington)  
Dave Allen  
911 N.E. 11th Avenue  
Portland, OR 97232-4181  
Phone (503) 872-2716, fax (503) 231-6118

## NATIONAL PARK SERVICE

---

### REGIONAL OFFICES

#### Alaska Support Office

National Park Service  
Robert D. Barbee, Regional Director  
2525 Gambell Street  
Anchorage, AK 99503-2892  
(907) 257-2690

#### Intermountain Region

National Park Service  
Karen Wade

Intermountain Region  
12795 West Alameda Parkway  
P.O. Box 25287  
Denver, CO 80225-0287  
(303) 969-2503

#### Midwest Region

Alan M. Hutchings, Associate Regional Director  
Professional Services and Legislation  
National Park Service  
1709 Jackson Street  
Omaha, NE 68102  
(402) 221-3084

#### National Capital Region

National Park Service  
David Linderman, Chief  
Finance Management Officer  
1100 Ohio Drive, SW  
Washington, DC 20242  
(202) 619-7160

#### Northeast Region

Marie Rust, Director  
National Park Service  
U.S. Custom House  
200 Chestnut Street, 3rd Floor  
Philadelphia, PA 19106  
(215) 597-7013

#### Pacific West Region

National Park Service  
Vacant  
Resources, Stewardship and Partnership  
111 Jackson Street, Suite 700  
Oakland, CA 94607  
(415) 427-1321

#### Southeast Region

Jerry Belson, Director  
National Park Service  
Atlanta Federal Center, 1924 Building  
100 Alabama Street, S.W.  
Atlanta, GA 30303  
(404) 562-3100

#### SERVICE CENTER

##### Alabama

Dr. Lee M. Warner, State Historical Preservation Office  
468 South Perry Street  
Montgomery, AL 36130-0900  
(334) 242-3184

##### Alaska

Ms. Judith E. Bittner, Chief, History and Archeology  
Department of Natural Resources  
Division of Parks and Outdoor Recreation  
550 W. 7th Avenue, Suite 1310  
Anchorage, AK 99501-3565  
(907) 269-8908

##### American Samoa

Mr. John Enright, Territorial Historic Preservation Officer

# Appendix IV: Agency Regional and Local Office Addresses

American Samoa Historic Preservation Office  
American Samoa Government  
Pago Pago, AS 96799  
(684) 633-2384

## Arizona

Mr. James Garrison, State Historic Preservation Officer  
Office of Historic Preservation  
Arizona State Parks  
1300 W. Washington  
Phoenix, AZ 85007  
(602) 542-4174

## Arkansas

Vacant  
Arkansas Historic Preservation Program  
1500 Tower Building  
323 Center Street  
Little Rock, AR 72201  
(501) 324-9880

## California

Dr. W. Knox Mellon, Jr., State Historic Preservation Officer  
Office of Historic Preservation  
Department of Parks and Recreation  
P.O. Box 942896  
Sacramento, CA 94296-0001  
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# Appendix IV: Agency Regional and Local Office Addresses

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## Appendix IV: Agency Regional and Local Office Addresses

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---

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Appalachian Regional Coordinating Center  
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## U.S. GEOLOGICAL SURVEY

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(Western Mapping Center)  
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# Appendix IV: Agency Regional and Local Office Addresses

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South Dakota, Texas, Wyoming)  
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Minnesota, Montana, Nebraska, New Mexico,  
North Dakota, Oklahoma, South Dakota, Texas,  
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North Carolina, Puerto Rico, South Carolina,  
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## South Dakota

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Donald T. Lauer  
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Mississippi, New Hampshire, New Jersey, New  
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# Appendix IV: Agency Regional and Local Office Addresses

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### Region I

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### Region IX

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### Region VI

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# Appendix IV: Agency Regional and Local Office Addresses

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75 Spring Street, S.W., Room 740, A53  
Atlanta, GA 30303

#### **Boston Field Division**

JFK Federal Bldg., Room E-400  
15 Sudbury Street  
Boston, MA 02203-0402

#### **Caribbean Division**

Metro Office Park  
Building 17  
Guaynabo, PR 00968

#### **Chicago Field Division**

230 South Dearborn Street, Suite 1200  
Chicago, IL 60604

#### **Dallas Field Division**

10160 Technology Boulevard  
East Dallas, TX 75220-4343

#### **DEA/EPIC**

11339 SSG Sims Street  
El Paso, TX 79908-8098

#### **Denver Field Division**

115 Inverness Drive, East  
Englewood, CO 80112-5116

#### **Detroit Field Division**

431 Howard Street  
Detroit, MI 48226

#### **El Paso Division**

600 South Mesa Hills Drive  
El Paso, TX 79912

#### **Houston Field Division**

1433 West Loop South, Suite 600  
Houston, TX 77027-9506

#### **Los Angeles Field Division**

Edward Royal Federal Building  
225 East Temple Street, 20th Floor  
Los Angeles, CA 90012

#### **Miami Field Division**

8400 N.W. 53rd Street  
Miami, FL 33166

#### **Mid-Atlantic Laboratory**

460 New York Avenue NW  
Washington, DC 20532-0001

#### **New Orleans Field Division**

3838 North Causeway Boulevard  
Three Lakeway Center, Suite 1800  
Metairie, LA 70002

#### **New York Field Division**

99 10th Avenue  
New York, NY 10011

#### **Newark Field Division**

80 Mulberry Street, 2nd Floor  
Newark, NJ 07102-4206

#### **North Central Laboratory**

536 South Clark Street, Room 800  
Chicago, IL 60605

#### **Northeast Laboratory**

99 Tenth Avenue, Room 721  
New York, NY 10011

#### **Office of Training**

Drug Enforcement Administration  
FBI Academy, P.O. Box 1475  
Quantico, VA 22134-1475

#### **Philadelphia Field Division**

600 Arch Street, Room 10224  
Philadelphia, PA 19106

#### **Phoenix Field Division**

Westmount Place  
3010 North 2nd Street, Suite 301  
Phoenix, AZ 85012

#### **San Diego Field Division**

4560 Viewridge Avenue  
San Diego, CA 92123-1672

#### **San Francisco Field Division**

450 Golden Gate Avenue  
San Francisco, CA 94102

#### **Seattle Field Division**

400 Second Avenue, West  
Seattle, WA 98119-4140

#### **South Central Laboratory**

1880 Regal Row  
Dallas, TX 75235

#### **Southeast Laboratory**

5205 N.W. 84th Avenue  
Miami, FL 33166

#### **Southwest Laboratory**

410 West 35th Street  
National City, CA 91950

#### **Special Testing & Research Laboratory**

3650 Concorde Parkway, Suite 200  
Chantilly, VA 20151

#### **St. Louis Field Division**

7911 Forsythe Boulevard, Suite 500  
St. Louis, MO 63105

#### **Washington, DC Field Division**

800 K Street, N.W., Suite 500  
Washington, DC 20001

#### **Western Laboratory**

390 Main Street, Room 700  
San Francisco, CA 94105

## **FEDERAL BUREAU OF**

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## **INVESTIGATION**

### **Region I**

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
1 Center Plaza, Suite 600  
Boston, MA 02108-1801  
(617) 742-5533  
(617) 223-6000

Federal Office Building  
600 State Street  
New Haven, CT 06510-2020  
(203) 503-5000  
(203) 786-7000

### **Region II**

1 Gateway Center, 22nd Floor  
Newark, NJ 07102-9889  
(973) 792-3000  
(973) 792-3000

(New Jersey, New York, Puerto Rico, Virgin Islands)

James T. Foley Building  
200 McCarty Avenue  
Albany, NY 12209-2095  
(518) 465-7551  
(518) 431-7200

Jacob K. Javits, Federal Office Building  
26 Federal Plaza  
New York, NY 10278-0004  
(212) 384-1000  
(212) 384-1000

111 Greencourt Road  
Richmond, VA 23228-4948  
(804) 261-1044  
(700) 923-2000

FBI, Washington Metropolitan Field Office  
601 4th Street N.W.  
Washington, DC 20535-0002  
(202) 278-2000  
Use the same number for FTS

7142 Ambassador Road  
Baltimore, MD 21244-2754  
(410) 265-8080  
(410) 281-0198

U.S. Federal Office Building  
150 Carlos Chardon, Room 526  
Hato Rey, PR 00918-1716  
(787) 754-6000  
(787) 754-3292

William J. Green, Jr.  
Federal Office Building  
600 Arch Street, 8th Floor  
Philadelphia, PA 19106-1675  
(215) 418-4500  
(215) 418-4000

One FBI Plaza  
Buffalo, NY 14202-2698  
(716) 856-7800  
(716) 843-4300

150 Corporate Boulevard

# Appendix IV: Agency Regional and Local Office Addresses

Norfolk, VA 23502-4999  
(757) 455-0100  
(757) 455-0123

United States Post Office  
700 Grant Street, Suite 300  
Pittsburgh, PA 15219-1906  
(412) 471-2000  
(412) 456-9100

## Region IV

St. Louis Centre  
1 St. Louis Street, 3rd Floor  
Mobile, AL 36602-3930  
(334) 438-3674  
(334) 219-3555

16320 N.W. Second Avenue  
North Miami Beach, FL 33169-6508  
(305) 944-9101  
(305) 787-6100

400 South Tyron, Suite 900  
Wachovia Building  
Charlotte, NC 28285-0001  
(704) 377-9200  
(704) 331-4500

John J. Duncan, FOB  
710 Locust Street, Suite 600  
Knoxville, TN 37902-2537  
(865) 544-0751  
(865) 544-3500

2121 8th Avenue North, Room 1400  
8th Avenue North  
Birmingham, AL 35203-2396  
(205) 715-0300-FTS  
(205) 326-6166-FAX

EagleCrest Building  
225 North Humphreys Boulevard, Suite 3000  
Memphis, TN 38120-2107  
(901) 747-4300  
(901) 747-9739

151 West Park Boulevard  
Columbia, SC 29210-3857  
(803) 551-4200  
(803) 551-4209

Federal Office Building  
600 Martin Luther King Place, Suite 500  
Louisville, KY 40202-2231  
(502) 583-3941  
Use the same number for FTS

7820 Arlington Expressway, Suite 200  
Jacksonville, FL 32211-7499  
(904) 721-1211

Federal Office Building, Suite 1553  
100 West Capitol Street  
Jackson, MS 39269-1601  
(601) 948-5000  
(601) 360-7550

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
2635 Century Parkway, NE, Suite 400

Atlanta, GA 30345-3112  
(404) 679-9000  
(404) 679-6100

Federal Office Building  
500 E. Zack Street, Room 610  
Tampa, FL 33602-3917  
(813) 273-4566  
(813) 272-8000

## Region IX

450 Golden Gate Avenue, 13th Floor  
San Francisco, CA 94102-9523  
(415) 553-7400  
(415) 553-2000

Suite 400, 201 East Indianola Avenue  
Midtowne Business Centre II  
Phoenix, AZ 85012-2080  
(602) 279-5511  
(602) 650-3300

(American Samoa, Arizona, California, Guam,  
Hawaii, Nevada)

Kalaniana'ole Federal Office Building  
300 Ala Moana Boulevard, Room 4-230  
Honolulu, HI 96850-0053  
(808) 566-4300  
(808) 566-4300

Federal Office Building  
9797 Aero Drive  
San Diego, CA 92123-1800  
(619) 565-1255  
(619) 514-5500

4500 Orange Grove Avenue  
Sacramento, CA 95841-4205  
(916) 481-9110  
(916) 977-2200

John Lawrence Bailey Building  
700 East Charleston Boulevard  
Las Vegas, NV 89101-1545  
(702) 385-1281  
(700) 545-0110

Federal Office Building  
11000 Wilshire Boulevard, Suite 1700  
Los Angeles, CA 90024-3672  
(858) 565-1255  
(858) 514-5500

## Region V

Federal Office Building  
1240 East 9th Street, Room 3005  
Cleveland, OH 44199-9912  
(216) 522-1400  
(216) 622-6600

575 North Pennsylvania Street, Room 679  
Federal Office Building  
Indianapolis, IN 46204-1585  
(317) 639-3301  
(317) 321-6100

Everett McKinley Dirksen Federal Office Building  
219 S. Dearborn Street, Room 905  
Chicago, IL 60604-1702  
(312) 431-1333

(312) 786-2500

111 Washington Avenue South S-1100  
Minneapolis, MN 55401-2176  
(612) 376-3200  
Use the same number for FTS

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
FOB, 550 Main Street, Room 9000  
Cincinnati, OH 45202-8501  
(513) 421-4310  
(513) 562-5600

Patrick V. McNamara Federal Office Building  
477 Michigan Avenue, 26th Floor  
Detroit, MI 48226-2598  
(313) 965-2323  
(313) 237-4355

400 West Monroe Street, Suite 400  
Springfield, IL 62704-1800  
(217) 522-9675  
(217) 535-4400

330 East Kilbourn Avenue, Suite 600  
Milwaukee, WI 53202-6627  
(414) 276-4684  
(414) 291-4899

## Region VI

U.S. Post Office and Courthouse Building  
615 East Houston Street, Suite 200  
San Antonio, TX 78205-9998  
(210) 225-6741  
(210) 978-5400

2500 East T. C. Jester  
Houston, TX 77008-1300  
(713) 693-5000  
(713) 693-3800

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)  
415 Silver Avenue S.W., Suite 300  
Albuquerque, NM 87102  
(505) 224-2000

Use the same number for FTS

2901 Leon C. Simon Boulevard  
New Orleans, LA 70126-1061  
(504) 816-3000  
(504) 816-3000

Two Financial Centre, Suite 200  
10825 Financial Centre Parkway  
Little Rock, AR 72211-3552  
(501) 221-9100  
(501) 228-8400

1801 North Lamar, Suite 300  
Dallas, TX 75202-1795  
(214) 720-2200  
(214) 922-7475

600 South Mesa Hills Drive, Suite 3000  
El Paso, TX 79912-5533  
(915) 832-5000  
Use the same number for FTS

3301 W. Memorail Road  
Oklahoma City, OK 73134



# Appendix IV: Agency Regional and Local Office Addresses

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(405) 290-7770  
(405) 290-3875

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
2222 Market Street, Room 2704  
St. Louis, MO 63103-2516  
(314) 231-4324  
(314) 589-2500

Federal Office Building  
10755 Burt Street  
Omaha, NE 68114-2000  
(402) 493-8688  
(402) 492-3700

U.S. Courthouse, Room 300  
1300 Summitt  
Kansas City, MO 64105-1362  
(816) 221-6100  
(816) 512-8200

## Region VIII

(Colorado, North Dakota, South Dakota, Utah, Wyoming)  
Federal Office Building  
1961 Stout Street, Suite 1823, 18th Floor  
Denver, CO 80294-1823  
(303) 629-7171  
(303) 628-3000

257 East 200 South, Suite 1200  
257 Towers Building  
Salt Lake City, UT 84111-2048  
(801) 579-1400  
(801) 579-4400

## Region X

Crown Plaza Building  
1500 S.W. 1st Avenue, Suite 400  
Portland, OR 97201-5828  
(503) 224-4181  
(503) 552-5200

Federal Office Building  
915 Second Avenue, Room 710  
Seattle, WA 98101  
(206) 262-2000  
(700) 391-8760

(Alaska, Idaho, Oregon, Washington)  
101 East Sixth Avenue  
Anchorage, AK 99501-2523  
(907) 276-4441  
(907) 258-5322

## IMMIGRATION & NATURALIZATION SERVICE

### NATURALIZATION INFORMATION

#### Alabama

Mobile Port of Entry  
P.O. Box 1526  
Mobile, AL 36601  
(334) 441-5135

Mobile Border Patrol  
P.O. Box 1526  
Mobile, AL 36633

(334) 441-6139

#### Alaska

Eagle Port of Entry  
C/O Postmaster Box 1  
Eagle, AK 99738  
(907) 547-2211

Nome Port of Entry  
P.O. Box 281  
Nome, AK 99762  
(907) 443-2065

Anchorage International Airport P.O. Box 19068  
4601 Sattelite Drive  
Anchorage, AK 99519-0688  
(907) 243-1400

Ketchikan Port of Entry  
111 Main Street  
Ketchikan, AK 99840  
(907) 225-2380

Dutch Harbor Port of Entry  
2315 Airport Beach Road, Room 205  
P.O. Box 750  
Dutch Harbor, AK 99692  
(907) 581-4114

Anchorage District Office  
620 East 10th Avenue, Suite 102  
Anchorage, AK 99501-3701  
(907) 271-3524

Gambell Port of Entry  
P.O. Box 1  
Gambell, AK 99742  
(907) 985-5211

Skagway Port of Entry  
Klondike Highway Border Station  
P.O. Box 475  
Skagway, AK 99840-0475  
(907) 983-3144

Prince Rupert, BC Canada  
Alaska Marine Highway Terminal  
C/O 111 Main Street  
Ketchikan, AK 99840  
(604) 624-3833

Dalton's Cache Port of Entry  
Mile 40 Haines Highway  
P.O. Box 1509  
Haines, AK 99827-1509  
(907) 767-5580

Turner Port of Entry  
P.O. Box 1221  
Tok, AK 99780  
(907) 774-2242

Fairbanks Port of Entry  
6450 Old Airport Way  
Fairbanks, AK 99709  
(907) 474-0307

#### Arizona

Eloy Processing Center  
4465 E. Hanna Road, Suite 343  
Eloy, AZ 85231

(520) 466-2000

San Luis Port of Entry  
Highway 95  
P.O. Box 448  
San Luis, AZ 85349  
(520) 627-3591

Casa Grande Border Patrol  
396 Camino Mercado  
Casa Grande, AZ 85222  
(520) 836-7812

Florence Processing Center  
3250 North Pinal Parkway Avenue  
Florence, AZ 85232  
(520) 868-5862

Wellton Border Patrol  
29820 Frontage Road  
P.O. Box 128  
Wellton, AZ 85356  
(520) 785-9364

Naco Port of Entry  
106 "D" Street  
P.O. Box 277  
Naco, AZ 85620  
(520) 432-3111/2791

Lukeville Port of Entry  
Highway 85  
P.O. Box D  
Lukeville, AZ 85341  
(520) 387-6047

Naco Border Patrol  
2136 Naco Highway  
Bisbee, AZ 85603  
(520) 432-5121

Tucson Border Patrol Sector Headquarters  
1970 West Ajo Way  
Tucson, AZ 85713  
(520) 670-6871/6880

Douglas Border Patrol  
1051 Lawrence Street  
P.O. Box 1175  
Douglas, AZ 85608  
(520)364-3991

Phoenix Border Patrol  
3006 W. Claredon Ave.  
Phoenix, AZ 85017  
(520) 670-6865

Yuma Border Patrol  
12122 S. Avenue A  
P.O. Box 2708  
Yuma, AZ 85366-2708  
(520) 726-8731

Douglas Port of Entry  
Pan American Ave. & First Street  
Douglas, AZ 85607  
(520) 364-5532/6479

Phoenix Sky Harbor Airport  
P.O. Box 63673  
Phoenix, AZ 85082-2673  
(602) 275-7745, 7763, 7785

# Appendix IV: Agency Regional and Local Office Addresses

Tucson Border Patrol  
2010 Ajo Way  
Tucson, AZ 85713  
(520) 670-6865

Willcox Border Patrol  
200 W. Downen St.  
P.O. Box 909  
Willcox, AZ 85644-0909  
(520) 384-2412

Sasabe Port of Entry  
Federal Inspection Building  
P.O. Box 326  
Sasabe, AZ 85633-0326  
(520) 823-4230

Ajo Border Patrol  
850 North Tucson - Ajo Hwy. 86  
P.O. Drawer "J"  
Ajo/Highway, AZ 85321  
(520) 387-7002

Phoenix District Office  
2035 North Central Avenue  
Phoenix, AZ 85004-1548  
(602) 514-7799

Nogales Border Patrol  
1500 W. La Quinta Road  
Nogales, AZ 85621  
(520) 377-6000

Sonoita Border Patrol  
Highway 82 and 83  
P.O. Box 37  
Sonoita, AZ 85637-0037  
(520) 455-5051

Yuma Border Patrol Sector Headquarters  
350 West 1st Street  
P.O. Box 2708  
Yuma, AZ 85366-2708  
(520) 782-9548

**Bahamas**

Freeport Bahamas Sub-Office  
P.O. Box F-2664  
Freeport Grand Bahama, Bahamas  
(809) 352-5586

**California**

Indio Border Patrol  
45-620 Commerce Street  
Indio, CA 92201  
(760) 347-3658

Fresno Border Patrol Station  
4367 North Golden State Boulevard  
Fresno, CA 93722  
(209) 487-5506

Campo Border Patrol  
3 Forest Gate Road  
P.O. Box 68  
Campo, CA 91906  
(619) 557-6144

Long Beach Seaport Unit  
501 W. Ocean Boulevard, Suite 6300

Long Beach, CA 90802  
(310) 980-3400

Tecate Port of Entry  
P.O. Box 219  
Tecate, CA 92080-0219  
(619) 478-5029

Fresno Sub-Office  
865 Fulton Mall  
Fresno, CA 93721-2816  
(209) 487-5126

Calexico Port of Entry  
200 East 1st Street  
P.O. Box 1780  
Calexico, CA 92231  
(619) 357-1189, 7968, 1143

San Francisco International Airport  
P.O. Box 280551  
Central Terminal, Lower Level  
Customs Area  
San Francisco, CA 94128  
(415) 876-2876

Ota Mesa Port of Entry  
2500 Paseo International  
P.O. Box 439018  
San Diego, CA 92143-9018  
(619) 661-3249, 3231

Bakersfield Processing Center  
17635 Industrial Farm Road  
P.O. Box 81143  
Bakersfield, CA 93380  
(805) 861-4465

El Centro Border Patrol Sector Headquarters  
1111 North Imperial Ave.  
El Centro, CA 92243-1795  
(619) 352-3241

Oxnard Border Patrol  
275 Skyway Drive  
P.O. Box 88  
Camarillo, CA 93011  
(805) 482-8997

San Clemente Border Patrol  
I-5 Northbound Traffic Checkpoint  
P.O. Box 3188  
San Clemente, CA 92674  
(619) 557-5272

Boulevard Border Patrol  
39701 Avenue de Robles Verde  
P.O. Box 1320  
Boulevard, CA 92005  
(619) 766-4542

San Marcos Border Patrol  
126 South Pacific  
P.O. Box 5099  
San Marcos, CA 92069  
(619) 557-5589

San Ysidro Port of Entry  
720 San Ysidro Boulevard  
P.O. Box 439108  
San Diego, CA 92143-9018

(619) 662-7314, 7240

Calexico East Port of Entry  
1699 E. Carr Road  
Calexico, CA 92231  
(619) 768-2450

Ontario Airport  
222 E. Airport Drive  
Ontario, CA 91761  
(909) 395-8668, 8673

Oakland International Airport  
International Terminal  
1 Airport Drive  
Oakland, CA 94621  
(510) 273-7390

Riverside Border Patrol  
2060 Chicago Avenue, Suite A2  
Riverside, CA 92507  
(909) 686-4100

Stockton Border Patrol  
P.O. Box 2047  
Stockton, CA 95201  
(209) 946-6211, 6284

Sacramento Sub-Office  
650 Capital Mall  
Sacramento, CA 95814  
(916) 498-6460

San Jose International Airport  
C/O P.O. Box 280551  
Central Terminal, Lower Level  
Customs Area  
San Jose, CA 95110  
(408) 291-7209

Los Angeles District Office  
300 North Los Angeles Street  
Los Angeles, CA 90012  
(213) 894-4627

Blythe Border Patrol  
16870 W. Hobsonway  
P.O. Box 836  
Blythe, CA 92226  
(619) 922-6715

Los Angeles International Airport  
380 Worldway, P.O. Box N-20  
Tom Bradley International Terminal, Lower Level  
Los Angeles, CA 90045  
(310) 215-2104, 2101 - Ext. #107, 103

Imperial Beach Border Patrol  
1802 Saturn Way  
P.O. Box 68  
Imperial Beach, CA 91933-0068  
(619) 662-7149

Andrade Port of Entry  
235 Andrade Road  
Winterhaven, CA 92283  
(619) 572-5350, 5184

Western Form Center  
5600 Rickenbacker Road  
Building 701 Bay A  
Bell, CA 90201

# Appendix IV: Agency Regional and Local Office Addresses

(213) 526-7404

Temecula Border Patrol  
43136 Rancho Way  
P.O. Box 38  
Temecula, CA 92593  
(909) 694-6871

Livermore Border Patrol Station  
6102 Ninth Street  
Dublin, CA 94568  
(925) 828-0371

San Jose Sub-Office  
280 S. First Street, Rm. 1150  
San Jose, CA 95113  
(408) 535-5174

Livermore Border Patrol Sector Headquarters  
6102 Ninth Street  
Dublin, CA 94568  
(925) 828-3770

Brown Field Border Patrol  
7560 Britannia Street  
San Diego, CA 92173  
(619) 661-3154

Salinas Border Patrol  
1636 East Alisal Street  
P.O. Box 218  
Salinas, CA 93902  
(408) 754-0633

Sacramento Border Patrol Station  
7000 Franklin Blvd.  
Bldg. 500, Suite 575  
Sacramento, CA 95823  
(916) 391-9087

Western Operations Region  
24000 Avila Road  
P.O. Box 30080  
Laguna Niguel, CA 92607-0080  
(714) 643-4236

San Pedro Processing Center  
2001 Seaside Avenue  
Terminal Island  
San Pedro, CA 90731  
(310) 732-0777

El Centro Border Patrol Station  
1081 North Imperial Avenue  
El Centro, CA 92243  
(760) 353-0541

Bakersfield Satellite Investigations  
800 Truxton Avenue, Room 317  
Bakersfield, CA 93301  
(805) 861-4478

El Centro Processing Center  
1115 North Imperial Ave.  
El Centro, CA 92243-1739  
(619) 353-2170

San Luis Obispo Border Patrol Station  
1170 Calle Joaquin  
P.O. Box 1486  
San Luis Obispo, CA 93406  
(805) 543-9490

San Francisco District Office  
630 Sansome Street  
San Francisco, CA 94111-2280  
(415) 705-3102

San Diego International Airport  
Lindbergh Field Airport  
3665 N. Harbor Drive  
San Diego, CA 92101  
(619) 298-2612

El Cajon Border Patrol  
225 Kenney Street  
El Cajon, CA 92020  
(619) 557-5072

San Diego District Office  
880 Front Street, Suite 1234  
San Diego, CA 92101-8834  
(619) 557-5645

## Colorado

Pueblo Port of Entry  
P.O. Box 1879  
Pueblo, CO 81002  
(719) 544-9369

Grand Junction Port of Entry  
255 Main Street  
Grand Junction, CO 81501  
(303) 243-5141

Denver District Office  
4730 Paris Street  
Albrook Center  
Denver, CO 80239-2804  
(303) 371-6213

## Connecticut

Hartford Sub-Office  
Ribicoff Federal Building  
450 Main Street  
Hartford, CT 06103-3060  
(203) 240-3052

## Florida

Orlando Border Patrol  
P.O. Box 440  
Winter Park, FL 32790-0440  
(407) 648-6081

Key West Sub-Office  
301 Simonton Street, Room 201  
Mail: P.O. Box 86  
Key West, FL 33041  
(305) 296-2233

Miami District Office  
7880 Biscayne Boulevard  
Miami, FL 33138  
(305) 762-3405

West Palm Beach Sub-Office  
301 N. Broadway  
Riviera Beach, FL 33404  
(561) 841-0498

Miami International Airport  
Concourse E, 3rd Floor  
P.O. Box 997895

Miami, FL 33299-7895  
(305) 526-2612, 2626, 2851, 2930

Tampa Border Patrol  
1821B East Sahlman Drive  
Tampa, FL 33605  
(813) 228-2156 or 2160

Miami Border Patrol Sector Headquarters  
7201 Pembroke Road  
Pembroke Pines, FL 33023  
(954) 963-9807

Key West Port of Entry  
Federal Building  
301 Simonton Street, Room 201  
Key West, FL 33040  
(305) 293-9150

Nassau, Bahamas Sub-Office, U.S. Immigration  
P.O. Box 599009  
Miami, FL 33159-9009  
(242) 377-7125

West Palm Beach Port of Entry  
4 East Port Road, Room 410  
Riviera Beach, FL 33419  
(407) 845-6898

Krome North Service Processing Center  
18201 S.W. 12th Street  
P.O. Box 160327, Snapper Creek Station  
Miami, FL 33194  
(305) 552-1845

Jacksonville Port of Entry  
Federal Building, G-18  
400 W. Bay Street  
Jacksonville, FL 32202  
(904) 232-2164

## Georgia

Atlanta District Office  
77 Forsyth Street S.W.  
Atlanta, GA 30303-0253  
(404) 331-0253

Savannah International Airport 33 Bull Street,  
Suite 505  
Savannah, GA 31401  
(912) 652-4460

Hartsfield International Airport Port of Entry  
P.O. Box 45527  
Atlanta, GA 30320  
(404) 763-7816

## Guam

Guam International Airport  
Sirena Plaza, Suite 100  
108 Hernan Cortez Avenue  
Agana, GU 96910  
(671) 642-7611

## Hawaii

Honolulu District Office  
595 Ala Moana Boulevard  
Honolulu, HI 96813  
(808) 532-3748/3746

Honolulu International Airport

# Appendix IV: Agency Regional and Local Office Addresses

300 Rodgers Boulevard  
Terminal Box 50  
Honolulu, HI 96819  
(808) 861-8401, 8406, 8400, 8409

## Idaho

Eastport Port of Entry  
P.O. Box 8  
Highway 95  
Eastport, ID 83826  
(208) 267-2183, 3745

4620 Overland Road  
Room 108  
Boise, ID 83705  
(208) 334-1822

Porthill Port of Entry  
P.O. Box 40  
Porthill, ID 83853  
(208) 267-5309

## Illinois

Chicago District Office  
10 West Jackson Boulevard, Suite 600  
Chicago, IL 60604  
(312) 385-1900

## Indiana

Indianapolis Sub-Office  
Gateway Plaza, Room 400  
950 North Meridan Street  
Indianapolis, IN 46204  
(317) 226-6181

## Kansas

Garden City Port of Entry  
Box 1239  
1404 E. Fulton  
Garden City, KS 67846  
(316) 275-1054

Wichita Port of Entry  
625 North Winterset  
Wichita, KS 67212  
(316) 945-9741

## Kentucky

Louisville Sub-Office  
Room 604  
Gene Snyder Courthouse  
601 West Broadway  
Louisville, KY 40202  
(502) 582-6526

## Louisiana

New Orleans Border Patrol Sector Headquarters  
3819 Patterson Drive  
P.O. Box 6218  
New Orleans, LA 70174  
(504) 589-6107

New Orleans International Airport  
900 Airline Highway  
Kenner, LA 70062  
(504) 589-3949

New Orleans District Office

Postal Services Building  
701 Loyola Avenue, Room T-8011  
New Orleans, LA 70113  
(504) 589-6521

Oakdale Processing Center  
207 E. 5th Avenue  
P.O. Box 5095  
Oakdale, LA 71463  
(318) 335-0713

Lake Charles Border Patrol  
P.O. Box 868  
Lake Charles, LA 70601  
(318) 477-9245

Baton Rouge Border Patrol  
P.O. Box 338  
9522 Brookline Drive  
Baton Rouge, LA 70821  
(504) 389-0231

## Maine

Houlton Border Patrol Station  
P.O. Box 706  
Houlton, ME 04730  
(207) 532-9061

Fort Fairfield Port of Entry  
RR #1, Box 217  
Fort Fairfield, ME 04742  
(207) 473-7396

Van Buren Port of Entry  
International Bridge  
Bridge Street, P.O. Box 116  
Van Buren, ME 04785  
(207) 868-2202/3900

Madawaska Port of Entry  
2 Bridge Street  
Madawaska, ME 04756-1230  
(207) 728-4565

Van Buren Border Patrol  
P.O. Box 26  
Main Street  
Van Buren, ME 04785  
(207) 868-3900

Bar Harbor Port of Entry  
Marine Atlantic Ferry Terminal  
Eden Street  
Bar Harbor, ME 04609  
(207) 288-4675

Fort Fairfield Border Patrol  
205 Main Street  
P.O. Box 410  
Fort Fairfield, ME 04742  
(207) 472-5041

Bridgewater Port of Entry  
RFD Rt. 1, Box 42  
Boundary Line Road  
Bridgewater, ME 04735  
(207) 425-4502

Calais Port of Entry  
Border Inspection Station  
1 Main Street

P.O. Drawer 421  
Calais, ME 04619  
(207) 454-2546

Hamlin Port of Entry  
H.C. 62, Box 63  
Van Buren, ME 04785  
(207) 868-0966

Lubec Port of Entry  
Federal Building  
U.S. Post Office & Border Station  
Washington Street & Campobello Bridge  
Lubec, ME 04652  
(207) 733-4960

Jackman Port of Entry  
Star Route 76  
Box 629  
Jackman, ME 04945  
(207) 668-3771

Limestone Port Of Entry  
R.F.D. 1, Box 258  
Limestone, ME 04750-9729  
(207) 325-4760

Vanceboro Port of Entry  
U.S. Immigration and Naturalization Service  
P.O. Box C  
Water Street  
Vanceboro, ME 04491  
(207) 788-3813

Fort Kent Port of Entry  
98 West Main Street  
Fort Kent, ME 04743-1016  
(207) 834-3223

Coburn Gore Port of Entry  
Star Route 73  
P.O. Box 35  
Eustis, ME 04936  
(207) 297-2771

Calais Border Patrol  
One Main Street  
P.O. Box 245  
Calais, ME 04619  
(207) 454-3613

Bangor Port of Entry  
267A Godfrey Boulevard  
P.O. Box 677  
Bangor, ME 04402-0677  
(207) 945-0334

Jackman Border Patrol  
P.O. Box 608  
Nickels Road  
24 hours  
Jackman, ME 04945  
(207) 668-3151

Houlton Port of Entry  
P.O. Box 189  
Interstate 95  
Houlton, ME 04730  
(207) 532-2906

Houlton Border Patrol Sector Headquarters

# Appendix IV: Agency Regional and Local Office Addresses

Route 1, Calais Road  
P.O. Box 706  
24 Hours  
Houlton, ME 04730  
(207) 532-6521/6522

## **Maryland**

Baltimore District Office  
Fallen Federal Building  
31 Hopkins Plaza  
Baltimore, MD 21201  
(410) 962-2010

## **Massachusetts**

Boston Service Processing Center  
427 Commercial Street  
Boston, MA 02109  
(617) 223-3090/3089/3088

Boston District Office  
John F. Kennedy Federal Building  
Government Center, Room 1700  
Boston, MA 02203  
(617) 565-4214

## **Michigan**

Port Huron Port of Entry  
2321 Pinegrove Avenue  
Port Huron, MI 48060  
(810) 982-0493

Port Huron Border Patrol  
2112 River Road  
Marysville, MI 48040  
(810) 364-6041

Sault Ste. Marie Port of Entry  
Immigration and Naturalization Service  
International Bridge Plaza  
Sault Ste. Marie, MI 49783  
(906) 632-8822

Algonac Port of Entry  
202 Fruit Street  
Algonac, MI 48001  
(810) 794-3321

Detroit City Airport  
11499 Conner  
Room 138C  
Detroit, MI 48213  
(313) 521-8430

Trenton Border Patrol  
23100 West Road  
P.O. Box 206  
Trenton, MI 48183  
(313) 676-2972

Grand Rapids Border Patrol  
P.O. Box 1678  
100 W. 7th St.  
Holland, MI 49422-1678  
(616) 392-4070

Detroit International Bridge  
3033 Porter  
Detroit, MI 48216  
(313) 963-4408

Detroit Metro Airport  
International Terminal  
Romulus, MI 48242  
(313) 955-6293

Sault Ste. Marie Border Patrol  
P.O. Box 141  
International Bridge Plaza  
Sault Ste. Marie, MI 49783  
(906) 632-3383

District/Canada Tunnel  
150 E. Jefferson Avenue  
Detroit, MI 48226  
(313) 568-6019

## **Minnesota**

Grand Portage Port of Entry  
Highway 61  
Grand Portage, MN 55605  
(218) 475-2494

Warroad Border Patrol  
P.O. Box 24, Highway 11  
Warroad, MN 56763  
(218) 386-1802

Grand Marais Border Patrol  
P.O. Box 685, Highway 61 East  
Grand Marais, MN 55604  
(218) 387-1770

Pine Creek Port of Entry  
Highway 89  
Star Route 5  
Roseau, MN 56751  
(218) 463-1952

International Falls Border Patrol  
Immigration Naturalization Service  
1412 Hwy. 11-71 West  
International Falls, MN 56649  
(218) 283-2461

Ely Port of Entry  
P.O. Box 28  
Ely, MN 55731  
(218) 365-3262

St. Paul District Office  
2901 Metro Drive, Suite 100  
Bloomington, MN 55425  
(612) 335-2211

Noyes Port of Entry  
Immigration and Naturalization Service  
Rural Route 1, Box 110  
Noyes, MN 56740  
(218) 823-6291

Crane Lake Port of Entry  
7544 Gold Coast Road  
Crane Lake, MN 55725  
(218) 993-2321

Warroad Port Of Entry  
H.C. 02 P.O. Box 245  
Warroad, MN 56763  
(218) 386-1676

Duluth Port of Entry

U.S. Courthouse & Custom House  
Federal Building  
515 West First Street  
Duluth, MN 55802  
(218) 720-5207

Roseau Port of Entry  
Route 1, Box 31 - Highway 310 N  
Roseau, MN 56751  
(218) 463-2054

International Falls  
2 Second Avenue  
International Falls, MN 56649-2328  
(218) 283-8611

Pembina Border Patrol  
Rural Route 1  
P.O. Box 106  
Noyes, MN 56740  
(218) 823-6528, 6594

Duluth Border Patrol  
114 Federal Building  
515 West First Street  
Duluth, MN 55802  
(218) 720-5465

Lancaster Port of Entry  
Route 1 Box 138 - Highway 59  
Lancaster, MN 56735  
(218) 762-4100

Baudette Port of Entry  
International Bridge  
P.O. Box 487  
Baudette, MN 56623  
(218) 634-2661

## **Mississippi**

Gulfport Port of Entry  
P.O. Box 1120  
Gulfport, MS 39501  
(601) 864-3029

Gulfport Border Patrol  
P.O. Box 4273  
Gulfport, MS 39502  
(228) 863-3582

## **Missouri**

Kansas City District Office  
9747 North Conant Avenue  
Kansas City, MO 64153  
(816) 891-0864

St. Louis International Airport  
P.O. Box 10406  
Lambert Field  
St. Louis, MO 63145  
(314) 425-7179

St. Louis Sub-Office  
Robert A. Young Federal Building  
1222 Spruce Street, Room 100  
St. Louis, MO 63103-2815  
(314) 539-2516

## **Montana**

Billings Border Patrol

# Appendix IV: Agency Regional and Local Office Addresses

2601 1st Ave. N.  
P.O. Box 2298  
Billings, MT 59103  
(406) 247-7563

Loring Port of Entry  
Port of Morgan  
HC82, Box 9250  
Loring, MT 59537-9600  
(406) 674-5248

Roosville Port of Entry  
Immigration and Naturalization Service  
8395 Highway 93 North  
Eureka, MT 59917-9331  
(406) 889-3737

Sweetgrass Port of Entry  
Immigration and Naturalization Service  
P.O. Box 165 - Interstate 15  
Sweetgrass, MT 59484  
(406) 335-2911

Raymond Port of Entry  
P.O. Box 158  
Raymond, MT 59256  
(406) 895-2620

Eureka Border Patrol  
Highway 93 (JB Shopping Center)  
P.O. Box 909  
Eureka, MT 59917  
(406) 296-2938

Montana Chief Mountain Port of Entry  
P.O. Box 376  
via Babb, MT 59411  
(406) 732-4576

Scobey Port of Entry  
P.O. Box 2300  
Scobey, MT 59263  
(406) 783-5372

Havre Border Patrol Sector Headquarters  
2605 5th Avenue S.E.  
P.O. Box 112  
Havre, MT 59501  
(406) 265-6781

Havre Port of Entry  
Immigration and Naturalization Service  
Simpson Route  
Willow Creek Station  
Havre, MT 59501  
(406) 265-6781

Whitetail Port of Entry  
P.O. Box 38 - US Border Inspection Station  
Whitetail, MT 59276  
(406) 779-3531

Wild Horse Port of Entry  
Immigration and Naturalization Service  
Havre, MT 59501  
(406) 394-2371

Shelby Border Patrol  
P.O. Box 653  
906 Oilfield Ave.  
Shelby, MT 59474

(406) 434-5588  
Scobey Border Patrol  
P.O. Box 820  
Scobey, MT 59263  
(406) 487-2621

Opheim Port of Entry  
P.O. Box 317  
Opheim, MT 59250  
(406) 724-3212

Willow Creek Port of Entry  
Simpson Route  
Havre, MT 59501  
(406) 398-5512

Plentywood Border Patrol  
P.O. Box 434  
Plentywood, MT 59254  
(406) 765-1852

Malta Border Patrol  
P.O. Box 36  
Malta, MT 59538  
(406) 654-2711

Piegan Port of Entry  
Immigration and Naturalization Service  
P.O. Box 109  
Babb, MT 59411  
(406) 732-9297

Del Bonita Port of Entry  
Del Bonita Star Route  
Cut Bank, MT 59427  
(406) 336-2130

## Nebraska

Nebraska Service Center  
850 S. Street  
P.O. Box 82521  
Lincoln, NE 68501-2521  
(402) 437-5464

Omaha District Office  
3736 South 132nd Street  
Omaha, NE 68144  
(402) 697-9152

## Nevada

Las Vegas Mecarren International Airport  
5757 Wayne Newton Boulevard  
Las Vegas, NV 89111  
(702) 388-6024

Boulder City Border Patrol  
P.O. Box 60928  
Boulder City, NV 89006-0928  
(702) 293-8507

Las Vegas Sub-Office  
3373 Pepper Lane  
Las Vegas, NV 89120  
(702) 388-6640

Reno Sub-Office  
1351 Coporate Boulevard  
Reno, NV 89502  
(702) 784-5186

## New Hampshire

Pittsburg Port of Entry  
Route #3  
P.O. Box 277  
Pittsburg, NH 03592  
(819) 656-2261

## New Jersey

Newark District Office  
Federal Building  
970 Broad Street  
Newark, NJ 07102  
(201) 645-2298

Newark International Airport  
Terminal B, SAT 3  
Newark, NJ 07114  
(201) 645-6589

## New Mexico

Truth or Consequences Border Patrol  
P.O. Box 3310  
Truth or Consequences, NM 87901  
(505) 744-5235

Deming Border Patrol  
P.O. Box 230  
Deming, NM 88031  
(505) 546-9036

Alamagordo Border Patrol  
1997 Hwy 54 South  
Alamagordo, NM 88310-7377  
(505) 437-6960

Columbus Port of Entry  
P.O. Box 307, Pershing Road  
Columbus, NM 88029  
(505) 531-2694, 95, 96

Albuquerque Sub-Office  
517 Gold Avenue, S.W.  
Room: 1010  
P.O. Box 567  
Albuquerque, NM 87103  
(505) 248-7357

Las Cruces Border Patrol  
3120 North Main  
Las Cruces, NM 88001  
(505) 527-6895

Lordsburg Border Patrol  
441 Duncan Highway, P.O. Box 459  
Lordsburg, NM 88045  
(505) 542-3221

Las Cruces Patrol Training Office  
2320 Temple Street  
Las Cruces, NM 88001  
(505) 524-4730

## New York

Service Processing Center  
201 Varrick Street, 4th Floor  
New York, NY 10014  
(212) 620-3441

Massena Port of Entry  
P.O. Box 195  
Roosevelt, NY 13683

# Appendix IV: Agency Regional and Local Office Addresses

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(315) 764-0310  
(315) 764-0677  
Moosers Port of Entry  
Border Inspection Station  
State Route 22  
Moosers, NY 12958  
(518) 236-7116  
Rouse Point Port of Entry  
US Route 9B  
Rouse Point, NY 12979  
(518) 297-7521  
Lewiston Port of Entry  
1 Lewiston Queenston Bridge  
Lewistown, NY 14092-1980  
(716) 285-1676  
Fort Covington Port of Entry  
Border Inspection Station  
Water Street  
Fort Covington, NY 12937  
(518) 358-2231  
Chateaugay Port of Entry  
Border Inspection Station  
Star Route 374  
Chateaugay, NY 12920  
(518) 497-6772  
John F. Kennedy International Airport  
International Arrivals Building #50  
Jamaica, NY 11430  
(718) 553-1688  
(718) 553-1689  
New York District Office  
26 Federal Plaza  
New York, NY 10278  
(212) 264-3911  
Champlain Border Patrol  
P.O. Box 1228  
Ridge Road  
Champlain, NY 12919  
(518) 298-2531  
Ogdensburg Border Patrol  
127 North Water Street  
Ogdensburg, NY 13669  
(315) 393-1150/0100  
Office of Inspector General  
JFK Airport Station  
P.O. Box 999  
Jamaica, NY 11430  
(718) 553-7520  
Thousand Island Bridge Port of Entry  
U.S. Immigration and Naturalization Service  
46735 U.S. Interstate Route 81  
Alexandria Bay, NY 13607-9796  
(315) 482-2681/2065  
Watertown Border Patrol  
Post Office Building  
P.O. Box 280  
153 Arsenal Street  
Watertown, NY 13601-0280  
(315) 482-7556  
Albany Sub-Office  
U.S. Post Office & Customhouse  
Room 220  
445 Broadway  
Albany, NY 12207  
(518) 431-0339  
Cape Vincent Port of Entry  
46735 U.S. Int. Route 81  
Alexandria Bay, NY 13607-9796  
(315) 654-2781, Ext. 8  
Buffalo District Office  
130 Delaware Avenue  
Buffalo, NY 14202  
(716) 846-4741, Ext. 8  
Champlain Port of Entry  
Border Inspection Station  
234 West Service Road  
Champlain, NY 12919  
(518) 298-3221, 8433, or 2526  
Burke Border Patrol  
P.O. Box 125  
Burke, NY 12917-0125  
(518) 483-5941  
Niagara Falls Border Patrol  
1708 Lafayette Avenue  
P.O. Box 281  
Niagara Falls, NY 14305-0281  
(716) 285-6444  
Fulton Border Patrol Station  
215 South First Street  
Room 228  
P.O. Box 70  
Fulton, NY 13069-0070  
(315) 598-8510  
Trout River Port of Entry  
Trout River  
State Route 30  
Via Constable, NY 12926  
(518) 483-5021  
Buffalo Border Patrol Sector Headquarters  
U.S. Border Patrol  
231 Grand Island Boulevard  
Tonawanda, NY 14150-6502  
(716) 551-4101  
Niagara Falls Port of Entry  
Rainbow Bridge  
Niagara Falls, NY 14303  
(716) 282-3141  
**North Carolina**  
Raleigh-Durham International Airport Port of Entry  
P.O. Box 80216  
Raleigh, NC 27623  
(919) 840-5577  
Wilmington Port of Entry  
Alton Lennon Federal Building  
Room 105  
2 Princess Street  
Wilmington, NC 28401  
(910) 343-4876  
Charlotte Sub-Office  
6 Woodlawn Green, Room 138  
Charlotte, NC 28217  
(704) 344-6313  
**North Dakota**  
Portal Border Patrol  
P.O. Box 298  
Portal, ND 58772  
(701) 926-4111  
Carbury Port of Entry  
RR #1 Souris, ND  
Carbury, ND 58783  
(701) 228-2540  
Sarles Port of Entry  
Immigration and Naturalization Service  
P.O. Box 67, Route 1  
6 miles from Village of Sarles, ND 58372  
(701) 697-5177  
Antler Port of Entry  
Immigration and Naturalization Service  
RRI - Box 7  
Antler, ND 58711  
(701) 267-3321  
Fortuna Port of Entry  
Immigration and Naturalization Service  
Hwy 85N, P.O. Box #37  
Fortuna, ND 58844  
(701) 834-2493  
Neché Port of Entry  
Hwy 18  
Neché, ND 58265  
(701) 886-7744  
Pembina Port of Entry  
Rural Route 1, P.O. Box 110  
Noyes Pembina, ND 58271  
(701) 825-6722  
Walhalla Port of Entry  
RR2, Box 145  
Walhalla, ND 58282-9459  
(701) 549-3233  
Noonan Port of Entry  
Noonan, ND 58765  
(701) 926-5615  
Ambrose Port of Entry  
Immigration and Naturalization Service  
State Highway 42  
Rt. HC-1 Box 202  
Ambrose, ND 58833  
(701) 982-3211  
Dunseith Port of Entry  
Immigration and Naturalization Service  
R.R. 1, Box 117  
Dunseith, ND 58329  
(701) 263-4513, 4460  
Grand Forks International Airport  
RR #2, Box 72  
2787 Airport Drive  
Highway 2 West

# Appendix IV: Agency Regional and Local Office Addresses

Grand Forks, ND 58203  
(701) 772-3301

Hansboro Port of Entry  
Box 237  
Hansboro, ND 58339  
(701) 266-5633

Maida Port of Entry  
Immigration and Naturalization Service  
Hwy #1  
Maida, ND 58255  
(701) 256-5087

Northgate Port of Entry  
Flaxton, ND 58737  
(701) 596-3805

Hannah Port of Entry  
Hannah, ND 58239  
(701) 283-5271

Bottineau Border Patrol  
P.O. Box 6  
Bottineau, ND 58318  
(701) 228-3179

Sherwood Port of Entry  
Rural Route 2, Box 1D  
Sherwood, ND 58782  
(701) 459-2250

St. John Port of Entry  
Box 15, Rt. 1  
St. John, ND 58369  
(701) 447-3140

Grand Forks Border Patrol Sector Headquarters  
P.O. Box 12669 Zip: 58208-2669  
2320 S. Washington Street  
Grand Forks, ND 58201  
(701) 775-6259

Portal Port of Entry  
P.O. Box 8  
Portal, ND 58772  
(701) 926-4221

## Ohio

Cleveland District Office  
Anthony J. Celebreeze Federal Building  
1240 E. 9th Street, Room 1917  
Cleveland, OH 44199  
(216) 522-4766

Toledo Port of Entry  
Federal Office Building, Room 713  
234 Summit Street  
Toledo, OH 43604-1536  
(419) 259-6474

## Oklahoma

Oklahoma Sub-Office  
4149 Highline Boulevard, Suite 300  
Oklahoma City, OK 73108  
(405) 231-5928

## Oregon

Portland District Office  
511 N.W. Broadway  
Portland, OR 97209

(503) 326-3962

Roseburg Border Patrol  
1036 S.E. Douglas  
P.O. Box 1728  
Roseburg, OR 97470  
(503) 440-4518

Coos Bay Port of Entry  
P.O. Box 209  
Coos Bay, OR 97420  
(503) 242-4785

Astoria Port of Entry  
P.O. Box 236  
Astoria, OR 97103  
(503) 325-3054

Portland International Airport  
P.O. Box 55067  
Portland, OR 97238-5067  
(503) 326-3409

## Pennsylvania

Philadelphia District Office  
1600 Callowhill Street  
Philadelphia, PA 19130  
(215) 656-7150

Pittsburgh Sub-Office  
INS/Department of Justice  
2130 Federal Building  
1000 Liberty Avenue  
Pittsburgh, PA 15222  
(412) 395-4457

## Puerto Rico

San Juan District Office  
U.S. Immigration and Naturalization Service  
P.O. Box 365068  
San Juan, PR 00936  
(787) 766-5514

Deferred Inspections  
U.S. Federal Building  
Room 380  
Chardon Street  
Hato Rey, PR 00918  
(809) 766-5000

Aquadilla Service Processing Center  
P.O. Box 250480  
Aquadilla, PR 00604-0480  
(787) 882-3565/3567/3568

Mayaguez Port of Entry  
U.S. Immigration and Naturalization Service  
P.O. Box 2990, Marina Station  
Mayaguez, PR 00709-2990  
(809) 831-3440

San Juan International Airport  
P.O. Box 37900  
Isle Verde, PR 00937-0900  
(809) 253-4525

Ponce Port of Entry  
Immigration and Naturalization Service  
P.O. Box 173  
Playa Station  
Ponce, PR 00734-3173

(809) 843-3220

District Director's Office  
Immigration and Naturalization Service  
New Federal Building, 3rd Floor  
Carlos Chardon Street  
Hato Rey, PR 00918

## Rhode Island

Providence Sub-Office  
200 Dyer Street  
Providence, RI 02903-3993  
(401) 528-5528, 5323

## South Carolina

Charleston Port of Entry  
Federal Building, Room 110  
334 Meeting Street  
Charleston, SC 29403  
(803) 727-4421

## Tennessee

Memphis Sub-Office  
245 Wagner Place  
Suite 250  
Memphis, TN 38103-3815  
(901) 544-4108

## Texas

Port Isabel Port of Entry  
Alien Processing Center (PIC)  
Route 3, Box 341  
Buena Vista Road  
Los Fresnos, TX 78566  
(210) 233-4431

Progreso Port of Entry  
International Bridge Route 2, Box 600  
Westlaco, TX 78596  
(210) 565-6304

Dallas Border Patrol  
2800 South Pipeline Road  
Eules, TX 76040  
(817) 540-0150

Midland Border Patrol Station  
P.O. Box 60405  
Midland, TX 79711  
(915) 561-8911

Comstock Border Patrol  
P.O. Box 700, Highway 85 East  
Comstock, TX 78837  
(915) 292-4450, 4680

Corpus Christi Border Patrol  
6809 Leopard Street  
P.O. Box 10344  
Corpus Christi, TX 78460-0344  
(512) 289-0552

Marfa Border Patrol Sector Headquarters  
P.O. Box 1  
300 Madrid Street  
Marfa, TX 79843  
(915) 729-4353

Harlingen Border Patrol  
901 Rangerville Road



# Appendix IV: Agency Regional and Local Office Addresses

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P.O. Box 642 Harlingen, TX 78551 (956) 427-8511	(915) 764-2417	P.O. Box 6496 Austin, TX 78704 (512) 482-7901, 7904
Brackettville Border Patrol P.O. Box 216 802 West Spring Street Brackettville, TX 78832 (830) 563-2477	Rocksprings Border Patrol P.O. Box 576 Rocksprings, TX 78880 (830) 683-2255	El Paso Port of Entry Paso Del Norte Bridge El Paso, TX 79901 (915) 534-6767
Hidalgo Port of Entry International Bridge Hidalgo, TX 78557-3019 (210) 843-2201, 2202	Port Isabel Service Processing Center Route 3, Box 341 Los Fresnos, TX 78566 (210) 548-2530	Fort Hancock Port of Entry P.O. Box 235 Fort Hancock, TX 79839 (915) 769-3810
San Antonio International Airport 9800 Airport Boulevard Terminal No. 1 San Antonio, TX 78216 (210) 826-6261	Galveston Port of Entry P.O. Box 388 Galveston, TX 77550 (409) 766-3581	Laredo Administrative Offices, Building #2 700 Zaragoza Street P.O. Box 179 Laredo, TX 78042-0179 (210) 722-3283
Port Arthur Port of Entry 4550 Jimmy Johnson Boulevard, Suite 3 Port Arthur, TX 77642 (409) 727-3375	Dallas Forth Worth Port of Entry P.O. Box 610365 Dallas-Fort Worth, TX 75261 (214) 574-2141	San Angelo Border Patrol P.O. Box 61106 San Angelo, TX 76906 (915) 949-0139
Mercedes Border Patrol P.O. Box 125 623 International Boulevard Mercedes, TX 78570 (956) 968-0602	Falfurrias Border Patrol P.O. Box 479 Falfurrias, TX 78355 (512) 325-5616	Big Bend Park Border Patrol P.O. Box 67 Big Bend, TX 79834 (915) 477-2287
Rio Grande City Port of Entry International Bridge, P.O. Box 278 Roma, TX 78584 (210) 487-2200 or (210) 849-1676	El Paso District Office 1545 Hawkins, Suite 167 El Paso, TX 79925 (915) 540-1700, 1701	McAllen Border Patrol Sector Headquarters Mail: P.O. Box 1179 Zip Code 78502 2301 South Main Street McAllen, TX 78503 (210) 686-5496
Brownsville Border Patrol P.O. Box 5076 Brownsville, TX 78520 (956) 542-3585	Dallas District Office 8101 North Stemmons Freeway Dallas, TX 75247 (214) 655-3011	Falcon Heights Port of Entry International Dam, P.O. Box 278 Roma, TX 78584 (210) 848-5221
Gateway to the American International Bridge #1 100 Convent Street Laredo, TX 78040 (210) 722-2484	Presidio Port of Entry International Bridge, P.O. Box 937 Presidio, TX 79845 (915) 229-3265, 3663	Los Ebanos Port of Entry International Ferry P.O. Box 399 Los Ebanos, TX 78565 (512) 485-2721
McAllen Border Patrol 4201 W. Military Highway McAllen, TX 78503 (956) 618-8163	El Paso Border Patrol Sector Headquarters 8901 Montana Ave., P.O. Box 9578 El Paso, TX 79986 (915) 834-8350	Pharr Port of Entry 9910 S. Cage Boulevard, Suite C Pharr, TX 78557-9723 (956) 783-4739, 4758
Amarillo Border Patrol P.O. Box 2287 Amarillo, TX 79105 (806) 324-2278	Sanderson Border Patrol P.O. Box 628 Sanderson, TX 78268 (915) 345-2972	San Antonio Border Patrol 5000 North Industrial Drive San Antonio, TX 78268 (210) 521-7926
San Antonio District Office 8940 Four Winds Drive San Antonio, TX 78239 (210) 967-7109	Fort Hancock Border Patrol P.O. Box 218 Fort Hancock, TX 79839 (915) 769-3978	Processing Center 8915 Montana Avenue El Paso, TX 79925 (915) 225-1941
Juarez-Lincoln International Bridge #2 700 Zaragoza Street, Building #3 Laredo, TX 78042 (512) 722-5440	Carrizo Springs Border Patrol P.O. Box 194 Highway 85 East Carrizo Springs, TX 78834 (830) 876-3557	Office of Inspector General 3 Butterfield Trail Boulevard Suite 120 El Paso, TX 79906 (915) 534-7370
Fabens Border Patrol 802 East Main P.O. Box 908 Fabens, TX 79838	Houston Intercontinental Airport P.O. Box 60457 Houston, TX 77205 (713) 233-3700	Abilene Border Patrol P.O. Box 3076 555 Walnut Street Abilene, TX 79604-3076

# Appendix IV: Agency Regional and Local Office Addresses

(915) 673-3010 Kingsville Border Patrol Navel Air Station, Building 3731 Kingsville, TX 78363 (512) 592-3284 Hebbronville Border Patrol 802 North Sigrid Street Hebbronville, TX 78361 (512) 527-3256 Intelligence Center 11339 SSG Sims Street El Paso, TX 79908-8098 (915) 760-2031 Lubbock Border Patrol P.O. Box 1632, 1205 Texas Avenue Lubbock, TX 79408 (806) 472-7355 Port Arthur Port of Entry 2875 75th Street, Room 106 Port Arthur, TX 77640 (409) 727-3375 Rio Grand City Border Patrol 2230 East Highway P.O. Box 481 Rio Grand City, TX 78582 (956) 487-2700 Port Isabel Border Patrol Route 3, Box 340 Los Fresnos, TX 78566 (956) 233-9554 Uvalde Border Patrol Industrial Park #30 Uvalde, TX 78801 (830) 278-7133 Fabens Port of Entry P.O. Box 908 Fabens, TX 79838 (915) 764-2419 Van Horn Border Patrol 700 N.W. Access Road P.O. Box 368 Van Horn, TX 79854 (915) 283-2795 Amistad Dam Port of Entry P.O. Box 4060 Del Rio, TX 78841-4060 (210) 775-7213 Laredo Border Patrol Sector Headquarter 207 W. Del Mar Boulevard Laredo, TX 78041 (956) 723-4367 Laredo South Border Patrol Station Rural Route 3, P.O. Box USBP-SLS/L Laredo, TX 78043 (210) 727-0644 Del Rio Border Station P.O. Box 2020, Qualia Drive Del Rio, TX 78841-2020 (830) 703-2100	Alpine Border Patrol P.O. Box 958 Alpine, TX 79831 (915) 837-3550 Freer Border Patrol P.O. Box "W" Freer, TX 78357 (512) 394-7613 Cotulla Border Patrol 692 Main Street Cotulla, TX 78014 (830) 879-3051 Presidio Border Patrol P.O. Box 929 Presidio, TX 79845 (915) 229-3330 Fort Stockton Border Patrol P.O. Box 607 Fort Stockton, TX 79735 (915) 336-2468 Del Rio Border Patrol Sector Headquarters P.O. Box 2020 Del Rio, TX 78841-2020 (210) 703-2100 Zapata Border Patrol Lot C-2015 U.S. Hwy 83 South P.O. Box 685 Zapata, TX 78076-0685 (210) 765-6395 Eagle Pass Port of Entry International Bridge, P.O. Box 4280 Eagle Pass, TX 78852 (210) 773-9205, 9206 Harlingen District Office 2102 Teege Road Harlingen, TX 78550 (210) 427-8691 Llano Border Patrol P.O. Box 134, 211 East Tarrant Llano, TX 78643 (915) 247-4912 Brownsville Port of Entry 1500 East Elizabeth Street, Room 203 Brownsville, TX 78520 (210) 546-1675 <b>Utah</b> 5272 South College Drive, Suite 100 Salt Lake City, UT 84123 (801) 265-8807 <b>Vermont</b> Norton Port of Entry Border Inspection Station State Route 114 P.O. Box 117 Norton, VT 05907 (802) 822-5222 West Berkshire Port of Entry	RFD #1 Box 1110 Enosburg Falls, VT 05450 (802) 933-2301 St. Albans Sub-Office Federal Building P.O. Box 328 St. Albans, VT 05478 (802) 527-3191 Beecher Falls Port of Entry Border Inspection Route 102 Beecher Falls, VT 05902 (802) 266-3320 Beebe Plain Port of Entry Beebe Plain, VT 05823 (802) 873-3151 Highgate Springs Port of Entry Border Inspection Station U.S. Route 7 RFD Swanton, VT 05488 (802) 868-3349 Pinnacle Port of Entry R.D. #1, Box 300 Richford, VT 05476 (802) 848-3319 Derby Line Port of Entry Route 91 P.O. Box 367 Derby Line, VT 05830 (802) 873-3316 Richford Border Patrol Main Street P.O. Box 67 Richford, VT 05476 (802) 848-7713 Alburg Springs Port of Entry Alburg Springs, RR#2 Alburg, VT 05440 (802) 796-3704 Eastern Region Operations 70 Kimball Avenue South Burlington, VT 05403-6813 (802) 660-5000 Eastern Service Center 75 Lower Welden Street St. Albans, VT 05479-0001 (802) 527-3100 Newport Border Patrol P.O. Box 815 Newport, VT 05855 (802) 334-6722 Beecher Falls Border Patrol P.O. Box 215 24 hours Beecher Falls, VT 05902 (802) 266-3035 Administrative Center 70 Kimball Avenue South Burlington, VT 05403-6813
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# Appendix IV: Agency Regional and Local Office Addresses

(802) 660-1111

Richford Port of Entry  
Border Inspection Station  
RFD #1, Box 40  
Richford, VT 05476  
(802) 848-7766

Morses Line Port of Entry  
RFD #1  
Morses Line, VT 05457  
(802)285-2214

North Troy Port Of Entry  
State Route 105  
North Troy, VT 05859  
(802) 988-2633

Swanton Border Patrol Sector Headquarters  
Grand Ave  
P.O. Box 705  
Swanton, VT 05488  
(802) 868-3361

East Richford Port of Entry  
RFD #1  
P.O. Box 1690  
East Richford, VT 05476  
(802) 848-3001

Swanton Border Patrol Station  
Route 78  
P.O. Box 209  
24 Hours  
Swanton, VT 05488  
(802) 868-3229/3320

Alburg Port of Entry  
U.S. Border Station  
State Route 225  
Alburg, VT 05440  
(802)796-3703

Canaan Port of Entry  
Border Inspection Station  
State Route 114  
P.O. Box 129  
Canaan, VT 05903  
(802) 266-8994

Eastern Form Center  
P.O. Box 567  
Williston, VT 05495-0567  
(802) 951-6225

## Virgin Islands

Cruz Bay Port of Entry  
P.O. Box 450  
Cruz Bay  
St. John, VI 00831  
(340) 776-6390

Christiansted St. Croix, Port of Entry  
P.O. Box 1270 Kingshill  
Christiansted St. Croix, VI 00851  
(809) 778-6559/6300

Charlotte Amalie, St. Thomas, VI Sub-Office  
Nisky Center, First Floor, Suite 1A  
Charlotte Amalie St. Thomas, VI 00801  
(809) 774-1390

## Virginia

Norfolk Sub-Office  
5Norfolk Federal Building  
200 Granby Mall, Room 439  
Norfolk, VA 23510-1882  
(804) 441-3095

Washington District Office  
4420 North Fairfax Drive  
Arlington, VA 22203  
(202) 307-1504

## Washington

Nighthawk Port of Entry  
Star Route  
Loomis, WA 98827  
(509) 476-2125

Lynden Border Patrol  
8334 Guide Meridian Road  
P.O. Box 708  
Lynden, WA 98264  
(360) 354-4118

Friday Harbor Port of Entry  
202 Front Street North  
Staff by Customs  
P.O. Box 1907  
Friday Harbor, WA 98250  
(206) 378-2080

Wenatchee Border Patrol  
93 Eastmont, McQuaig Bldg.  
P.O. Box 1825  
Wenatchee, WA 98807  
(509) 884-8893

Spokane Border Patrol  
N. 10710 Newport Highway  
Spokane, WA 99218

Seattle Sea Inspections  
815 Airport Way South  
Seattle, WA 98134  
(206) 553-1246

Laurier Port of Entry  
Immigration and Naturalization Service  
Highway 395  
P.O. Box 40  
Laurier, WA 99146  
(509) 684-2100

Seattle District Office  
815 Airport Way South  
Seattle, WA 98134  
(206) 553-0070

Sumas Port of Entry  
109 Cherry Street  
P.O. Box 99  
Sumas, WA 98295  
(360) 988-4781

Port Townsend Port of Entry  
Staffed by Customs)  
1322 Washington  
P.O. Box 951  
Port Townsend, WA 98368-0004  
(360) 385-3777

Longview Port of Entry  
P.O. Box 1027  
Longview, WA 98632  
(206) 423-5550

Bellingham Port of Entry  
104 W. Magnolia and Cornall Street, Room 207  
P.O. Box 2055  
Bellingham, WA 98227  
(360) 676-8411 (Downtown)  
(360) 734-3520 (Airport)

Vancouver-BC Candada  
P.O. Box 450  
Point Roberts, WA 98281-0450  
(604) 278-3360, 3986, 2520

Boundary Port of Entry  
5338 North Port Juanita Road  
Colville, WA 99114  
(509) 732-4470

Oroville Border Patrol  
1105 Main Street  
P.O. Box 99  
Oroville, WA 98844-9726  
(509) 476-3622

Lynden Port of Entry  
9949 Guide Meridian Road  
Lynden, WA 98264  
(206) 354-6661

Blaine Port of Entry  
Immigration and Naturalization Service  
Peace Arch POE  
100 Peace Portal Drive  
Blaine, WA 98230  
(360) 332-8511

Blaine Border Patrol  
1580 H Street  
P.O. Box 3529  
Blaine, WA 98231  
(360) 332-4205

Oroville Port of Entry  
Route 1, Box 130  
Oroville, WA 98844  
(509) 476-2454, 3132

Spokane Airport  
691 U.S. Courthouse Building  
Spokane, WA 99201  
(509) 353-4699

Ferry Port of Entry  
3559 Toroda Customs Bridge Road  
Curlew, WA 99118-9715  
(509) 779-4655 (Customs)

Bellingham Border Patrol  
2745 McLeod Rd.  
P.O. Box 31428  
Bellingham, WA 98228-3428  
(360) 733-8420

Frontier Port of Entry  
Immigration and Naturalization Service  
4939 Highway 25 North  
Northport, WA 99157

# Appendix IV: Agency Regional and Local Office Addresses

(509) 732-4418

Port Angeles Border Patrol  
138 West First Street  
Port Angeles, WA 98362  
(360) 452-5970

Danville Port of Entry  
19130 North Highway 21  
Danville, WA 99121-9704  
(509) 779-4860

Tacoma Port of Entry  
3600 Port Tacoma Road  
Suite 303  
P.O. Box 1296  
Tacoma, WA 98401  
(206) 922-0848

Yakima Port of Entry  
417 E. Chestnut  
P.O. Box 49  
Yakima, WA 98907  
(509) 575-5944

Blaine Border Patrol Sector Headquarters  
1590 H Street  
P.O. Box 3529  
Blaine, WA 98231  
(360) 332-7707, 7919

Spokane Sub-Office  
619 U.S. Courthouse Building  
Spokane, WA 99201  
(509) 353-2761

Colville Border Patrol  
209 East Juniper Ave.  
P.O. Box 146  
Colville, WA 99114  
(509) 684-6272

Pacific Highway Port of Entry  
9950 Pacific Highway  
Blaine, WA 98230  
(360) 332-6091, 7237

Seattle Tacoma International Airport  
S. 178 and Pacific Highway  
Seattle, WA 98158  
(206) 553-0466, 2299

Metaline Falls Port of Entry  
P.O. Box 631  
Metaline Falls, WA 99153  
(509) 446-2572

## Washington, DC

Dulles International Airport  
P.O. Box 17775  
Washington, DC 20041  
(703) 661-5100

Immigration and Naturalization Service  
Headquarters  
425 I Street, NW  
Washington, DC 20536  
(202) 514-4316

## Wisconsin

Milwaukee Sub-Office

Federal Building, Room 186  
517 East Wisconsin Avenue  
Milwaukee, WI 53202  
(414) 297-3161

## DEPARTMENT OF LABOR

DIVISION OF COAL MINE WORKERS'  
COMPENSATION

### Colorado

(Western United States)  
Kevin Peterson, DD  
1801 California Street, Suite 925  
Denver, CO 80202-2614  
(720) 264-3100

### Kentucky

(Alabama, Florida, Georgia, Mississippi, North  
Carolina, South Carolina, Tennessee)  
Brenda Jamison, SCE  
402 Campbell Way  
Spring Street  
Mt. Sterling, KY 40353  
(1-800-366-4628)

Harry Skidmore, DD  
334 Main Street, 5th Floor  
Pikeville, KY 41501  
(1-800-366-4599)

### Ohio

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
Donald Dopps, Jr., DD  
1160 Dublin Road, Suite 300  
Columbus, OH 43215  
(1-800-347-3771)

### Pennsylvania

(Western Pennsylvania and Maryland)  
Colleen Smalley, DD  
1225 South Main Street  
Wellington Square, Suite 405  
Greensburg, PA 15601  
(1-800-347-3753)

(Central Pennsylvania and Virginia)  
Stuart Glassman, DD  
Penn Traffic Building, 2nd Floor  
319 Washington Street  
Johnstown, PA 15901  
(1-800-347-3754)

(Connecticut, Delaware, District of Columbia,  
Eastern Pennsylvania, Maine, Massachusetts, New  
Hampshire, New Jersey, New York, Rhode Island,  
Vermont)  
Maribeth Girton, DD  
S. Main Towers  
105 North Main Street, Suite 100  
Wilkes-Barre, PA 18701  
(1-800-347-3755)

### West Virginia

(Northern West Virginia)  
Loretta Bird, Supervisory CE  
Federal Building, Suite 3116

425 Juliana Street  
Parkersburg, WV 26101  
(1-800-347-3751)

(Southern West Virginia)  
Robert Hardesty, DD  
Charleston Federal Center  
500 Quarrier Street, Suite 110  
Charleston, WV 25301  
(1-800-347-3749)

DIVISION OF FEDERAL EMPLOYEES  
COMPENSATION

### Region I-Boston

Michael Harvill, DD  
JFK Federal Building, Room E-260  
Boston, MA 02203  
(617) 565-2129

### Region II-New York

Jonathan Lawrence, DD  
201 Varick Street, Room 750  
New York, NY 10014  
(212) 337-2044

### Region III-Philadelphia

William J. Staarman, DD  
Curtis Center, Suite 715 East  
170 South Independence Mall West  
Philadelphia, PA 19106-3308  
(215) 861-5481

### Region IV-Jacksonville

William C. Franson, DD  
214 North Hogan Street, Suite 1006  
Jacksonville, FL 32202  
(904) 357-4725

### Region IX-San Francisco

Sharon Tyler, DD  
71 Stevenson Street, Suite 305  
San Francisco, CA 94105  
(415) 975-4162

### Region V-Chicago

Robert Sullivan, DD  
1240 East Ninth Street, Room 851  
Cleveland, OH 44199  
(216) 522-2092

Johnny Dawkins, DD  
230 Dearborn Street, 8th Floor  
Chicago, IL 60604  
(312) 596-7133

### Region VI-Dallas

Frances Memmolo, DD  
Federal Building  
525 South Griffin Street, Room 100  
Dallas, TX 75202  
(214) 767-2580

### Region VII-Kansas City

Charles O. Ketcham, Jr, DD  
City Center Square Building  
1100 Main Street, Suite 750  
Kansas City, MO 64105

# Appendix IV: Agency Regional and Local Office Addresses

(816) 426-2195

## Region VIII-Denver

Shirley Bridge, DD  
1801 California Street, Suite 915  
Denver, CO 80202  
(720) 264-3007

## Region X - Seattle

Doris Carender, DD  
Federal Office Building  
1111 Third Avenue, Suite 615  
Seattle, WA 98101-3212  
(206) 553-5255

## Washington

## LONGSHORE AND HARBOR WORKERS' COMPENSATION

### California

(District 18: Southern California)  
Eric Richardson, DD  
401 E. Ocean Boulevard, Suite 720  
Long Beach, CA 90802  
(562) 980-3578

(District 13: Arizona, Northern California,  
Nevada)

Philip Williams, DD  
71 Stevenson Street, Room 1705, MA:  
P.O. Box 3770  
San Francisco, CA 94119-3770  
(415) 975-4274

### Florida

(District 6: Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)

Chris Gleasman, DD  
214 N. Hogan Street, Suite 1040  
Jacksonville, FL 32202  
(904) 357-4757

### Hawaii

(District 15: Hawaii, Pacific Area to 60 east  
longitude)

Vacant  
300 Ala Moana Boulevard, Room 5-135  
P.O. Box 50209  
Honolulu, HI 96850  
(808) 541-1983

### Illinois

(District 10: Illinois, Indiana, Michigan,  
Minnesota, Ohio, Wisconsin, Iowa, Missouri,  
Nebraska, Kansas)

Thomas C. Hunter, DD  
230 South Dearborn Street, Room 578  
Chicago, IL 60604  
(312) 596-7153

### Louisiana

(District 7: Arkansas, Louisiana)  
Michael Brewer, DD  
701 Loyola Avenue, Room 13032

New Orleans, LA 70113  
(504) 589-2671

### Maryland

(District 4: District of Columbia, Maryland)  
John McTaggart, Acting DD  
31 Hopkins Plaza, Room 410-B  
Baltimore, MD 21201  
(410) 962-3677

### Massachusetts

(District 1: Connecticut, Maine, Massachusetts,  
New Hampshire, Rhode Island, Vermont)  
Marcia Finn, DD  
JFK Federal Building, Room E-260  
Boston, MA 02203  
(617) 565-2103

### New York

(District 2: New Jersey, New York, Puerto Rico,  
Virgin Islands)  
Richard Robilotti, DD  
201 Varick Street, Room 750  
P.O. Box 249  
New York, NY 10014-0249  
(212) 337-2030

### Pennsylvania

(District 3: Delaware, Pennsylvania, West  
Virginia)  
John McTaggart, DD  
Curtis Center, Suite 790 West  
170 South Independence Mall West  
Philadelphia, PA 19106-3313  
(215) 861-5459

### Region X - Seattle

### Texas

(District 8: Oklahoma, New Mexico, Texas)  
Charles Lee  
8866 Gulf Freeway, Suite 140  
Houston, TX 77017  
(713) 943-1605

### Virginia

(District 5: Virginia)  
Basil Voultsides, DD  
200 Granby Mall  
Room 212  
Norfolk, VA 23510  
(757) 441-3071

### Washington

(District 14: Alaska, Colorado, Idaho, Oregon,  
Montana, North Dakota, South Dakota, Utah,  
Washington, Wyoming)  
Karen Staats, DD  
1111 3rd Avenue, Suite 620  
Seattle, WA 98101-3212  
(206) 553-4471

### Alabama

Linda Henderson

Medical Forum Building  
950 22nd St North, Suite 660  
Birmingham, AL 35203  
(205) 731-0820

### Arizona

Sarah Nelson  
3221 N. 16th St., Suite 303  
Phoenix, AZ 85016  
(602) 640-2960

### Arkansas

Joel Maltbia  
TCBY Tower, Suite 735  
425 West Capitol Avenue  
Little Rock, AR 72201  
(501) 324-5436

### California

Hector Sanchez  
34 Civic Center Plaza, Suite 406  
P.O. Box 12800  
Santa Ana, CA 92712  
(714) 836-2784

Vacant

Federal Building  
11000 Wilshire Boulevard, Suite 8103  
Los Angeles, CA 90024  
(310) 235-6800

Donna Onodera, RD  
U.S. Department of Labor, ESA/OWCP  
71 Stevenson Street, Suite 1705  
San Francisco, CA 94105  
(415) 975-4160

Angel Luevano  
1301 Clay Street, Suite 1080N  
Oakland, CA 94612  
(510) 637-2938

Vacant

5675 Ruffin Road, Suite 320  
San Diego, CA 92123  
(619) 557-6489

Alice Young  
60 South Market Street, Suite 410  
San Jose, CA 95113  
(408) 291-7384

### California/Los Angeles

Billy F. Beaver  
1055 E. Colorado Boulevard  
Suite 200  
Pasadena, CA 91106  
(626) 229-1000 (626) 229-1098 FAX

### Colorado

Robert Mansanares, RD  
U.S. Department of Labor, ESA/OWCP  
1801 California Street, Suite 920  
Denver, CO 80202-2614  
(720) 264-3160

### Connecticut

Jacqueline Currie

# Appendix IV: Agency Regional and Local Office Addresses

135 High Street, Room 311  
Hartford, CT 06103  
(860) 240-4277

## District of Columbia

Betty Sledd-Stewart  
Riddell Building, Suite 422  
1730 K Street, N.W.  
Washington, DC 20006  
(202) 254-2501

## Florida

Celso Peruyera  
Brickell Plaza Federal Building  
909 S.E. 1st Avenue, Suite 722  
Miami, FL 33131  
(305) 536-5670

Ronald Bailey  
1851 Executive Center Drive, Suite 200  
Jacksonville, FL 32207  
(904) 232-3073

Alice Webster  
Commodore Building, Suite 160  
3444 McCrory Place  
Orlando, FL 32803  
(407) 648-6181

Nancy Ricker, RD  
U.S. Department of Labor, ESA/OWCP  
214 North Hogan Street, Suite 1026  
Jacksonville, FL 32202  
(904) 357-4725

## Georgia

Millard Rutherford  
61 Forsyth Street., Room 7B65  
Atlanta, GA 30303  
(404) 562-2444

## Hawaii

Trent Williams  
300 Ala Moana Boulevard, Room 7326  
P.O. Box 50149  
Honolulu, HI 96850  
(808) 541-2933

## Illinois

Nancy Jenson, Acting RD  
U.S. Department of Labor, ESA/OWCP  
230 South Dearborn Street, Room 800  
Chicago, IL 60604  
(312) 596-7131

Patrick Nutter  
230 South Dearborn, Room 434  
Chicago, IL 60604  
(312) 596-7046

## Indiana

Phillip M. Stepteau  
429 N. Pennsylvania St., Room 308  
Indianapolis, IN 46204  
(317) 226-5860

## Kentucky

Carmen Rendon

Mazzoli Federal Building, Room 185  
600 Martin Luther King Place  
Louisville, KY 40202  
(502) 582-6275

## Louisiana

Elizabeth Laiche  
701 Loyola Avenue, Room 13029  
New Orleans, LA 70113  
(504) 589-6575

## Maryland

Victor S. Rodriguez  
Appraisers' Stores Building  
103 South Gay Street, Room 202  
Baltimore, MD 21202  
(410) 962-3572

## Massachusetts

Roger O'Campo  
JFK Federal Building, Room E-235  
Boston, MA 02203  
(617) 565-2055

Dorothy Reed, Deputy Regional Director  
U.S. Department of Labor, ESA/OWCP  
JFK Federal Building, Room E-260  
Boston, MA 02203  
(617) 565-2130

## Michigan

Christopher S. Edwards  
Patrick V. McNamara Federal Building  
211 West Fort St., Room 1320  
Detroit, MI 48226  
(313) 226-3728

Christopher S. Edwards, Acting  
50 Louis Street N.W.  
2nd Floor, NW-c/o, Suite 300-HUD  
Grand Rapids, MI 49503  
(616) 456-2144

## Minnesota

Patricia Simpson  
Bridgeplace Building, Room 102  
220 Second Street South  
Minneapolis, MN 55401  
(612) 370-3177

## Mississippi

Vacant  
Millsaps Building, Suite 700  
201 West Capitol Street  
Jackson, MS 39201  
(601) 965-4668

## Missouri

Charles O. Ketcham, Jr. RD  
U.S. Department of Labor, ESA/OWCP  
City Center Square  
1100 Main Street, Suite 750  
Kansas City, MO 64105  
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## **Wisconsin**

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## **Alabama**

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## **California**

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## **Connecticut**

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## **Hawaii**

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## **Kansas**

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## **New York**

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Brooklyn, NY 11201 United States  
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## **Oklahoma**

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Glynda Smith, District Director,  
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## **Pennsylvania**

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## **Tennessee**

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Sandra Sanders, Assistant District Director,  
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Knoxville, TN 37902 United States  
(865) 545-4619

# Appendix IV: Agency Regional and Local Office Addresses

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## Texas

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(361) 888-3152

Eden Ramirez, District Director,  
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McAllen, TX 78501 United States  
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## Virginia

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200 Granby Street, Mail Drawer 491,  
Norfolk, VA 23510 United States  
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Vacant, Assistant District Director,  
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Arlington, VA 22201 United States  
(703) 235-1182

## Wisconsin

Hector Lopez, Assistant District Director,  
310 W. Wisconsin Avenue, Suite 1170,  
Milwaukee, WI 53203 United States  
(414) 297-1590

## EMPLOYMENT TRAINING ADMINISTRATION

### STATE EMPLOYMENT SECURITY AGENCIES

#### Alabama

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Alabama Department of Industrial Relations  
Industrial Relations Building  
649 Monroe Street  
Montgomery, AL 36131 United States  
(334) 242-8990(334) 242-3960 FAX

#### Alaska

Ms. Dianne Blumer, Commissioner  
AK Department of Labor and Workforce  
Development  
P.O. Box 111149  
Juneau, AK 99811-1149 United States  
(907) 465-2700(907) 465-4537 FAX

#### Arizona

Mr. Clarence H. Carter, Director  
Department of Economic Security  
P.O. Box 6123  
Site 010A  
Phoenix, AZ 85005 United States  
(602) 542-5678 (602) 542-5339 FAX

#### Arkansas

Mr. Artee Williams, Executive Director  
Department of Workforce Services  
P.O. Box 2981, # 2 Capitol Mall  
Little Rock, Arkansas 72203-2981  
Little Rock, AR 72203-2981 United States  
(501) 682-2121(501) 682-2273 FAX

#### California

Ms. Pam Harris, Director,  
Employment Development Department  
800 Capitol Mall, P.O. Box 826880, MIC 83  
Sacramento, CA 94280-0001 United States  
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#### Colorado

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Colorado Department of Labor and Employment  
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Denver, CO 80202-3660 United States  
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#### Connecticut

Ms. Sharon Palmer, Commissioner  
Connecticut Department of Labor  
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Wethersfield, CT 06109-1153 United States  
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#### Delaware

Mr. John McMahan  
Secretary of Labor  
Department of Labor  
4425 N. Market Street  
Wilmington, DE 19802 United States  
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#### District of Columbia

Ms. Lisa Maria Mallory, Director  
Department of Employment Services  
4058 Minnesota Avenue, NW, Suite 5000  
Washington, DC 20019 United States  
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#### Florida

Mr. Hunting F. Deutsch  
Executive Director  
Florida Department of Economic Opportunity  
107 East Madison Street, MSC 100  
Tallahassee, FL 32399-4120 United States  
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#### Georgia

Mr. Mark Butler, Commissioner  
Georgia Department of Labor Sussex Place  
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#### Guam

Mr. George Santos, Administrator  
Department of Labor  
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Tamuning, 2 96931-9970 United States  
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#### Hawaii

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#### Idaho

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Boise, ID 83735 United States  
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#### Illinois

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#### Iowa

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Iowa Workforce Development  
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#### Kansas

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#### Kentucky

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Frankfort, KY 40601 United States  
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#### Louisiana

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Augusta, ME 04333-0054 United States  
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#### Maryland

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# Appendix IV: Agency Regional and Local Office Addresses

## Massachusetts

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## Michigan

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Michigan Department of Labor and Economic  
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## Minnesota

Mr. Mark Phillips, Commissioner  
Department of Employment and Economic  
Development  
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St. Paul, MN 55101 United States  
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## Mississippi

Mr. Mark Henry, Executive Director  
Mississippi Department of Employment Security  
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Jackson, MS 39215 United States  
(601) 321-6003 (601)321-6004 FAX

## Missouri

Mr. Chris Pieper, Acting Director  
Department of Labor and Industrial Relations  
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Jefferson City, MO 65102-1157 United States  
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## Montana

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Montana Department of Labor and Industry  
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1315 E. Lockey Avenue  
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## Nebraska

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Nebraska Workforce Development  
Department of Labor  
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Lincoln, NE 68509-4600 United States  
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## Nevada

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Department of Employment Training and  
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## New Hampshire

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NH Department of Labor and Workforce  
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Concord, NH 03301 United States  
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Ms. Jackie Heuser,  
State Workforce Director, Office of Workforce  
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DRED, 172 Pembroke Road, PO Box 1856,  
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Mr. George N. Copadis, Commissioner  
New Hampshire Department of Employment  
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## New Jersey

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New Jersey Department of Labor and Workforce  
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Trenton, NJ 08625-0110 United States  
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Department of Workforce Solutions, 401  
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Albuquerque, NM 87103 United States  
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## New York

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New York State Department of Labor  
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Albany, NY 12240 United States  
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## North Carolina

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## North Dakota

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Job Service North Dakota  
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## Ohio

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Ohio Department of Job & Family Services  
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## Oklahoma

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## Oregon

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Oregon Employment Department  
875 Union Street, N.E.  
Salem, OR 97311 United States  
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## Pennsylvania

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Department of Labor and Industry  
1700 Labor and Industry Building  
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## Puerto Rico

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## Rhode Island

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## South Carolina

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## South Dakota

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Department of Labor and Regulation  
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## Tennessee

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Nashville, TN 37243-1002 United States  
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# Appendix IV: Agency Regional and Local Office Addresses

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## Texas

Mr. Larry Temple, Executive Director  
Texas Workforce Commission  
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Austin, TX 78778 United States  
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## Utah

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Utah Department of Workforce Services  
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## Vermont

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## Virgin Islands

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## Virginia

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Virginia Employment Commission  
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## Washington

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Olympia, WA 98507-9046 United States  
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## West Virginia

Mr. Russell Fry, Executive Director  
WORKFORCE West Virginia  
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Charleston, WV 25305-0112 United States  
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## Wisconsin

Mr. Reggie Newson, Secretary  
Department of Workforce Development  
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Room A400  
Madison, WI 53707 United States  
(608) 267-1410 (608) 266-1784 FAX

## Wyoming

Ms. Joan K. Evans, Director, Department of  
Workforce Services  
122 W. 25th Street Herchler Bldg 2E .  
Cheyenne, WY 82002 United States  
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**(Alabama, Florida, Georgia, Kentucky,**

## **Mississippi, North Carolina, South Carolina, Tennessee)**

Dr. Helen Parker, Regional Administrator  
Sam Nunn Atlanta Federal Center, Room 6M12  
61 Forsyth Street, S.W.  
Atlanta, GA 30303 United States  
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## **(Alaska, American Samoa, Arizona, California, Guam, Hawaii, Idaho, Nevada, Oregon, Republic of Palau, Federated States of Micronesia, Commonwealth of Northern Mariana Islands, Washington)**

Ms. Virginia Hamilton, Regional Administrator  
90 7th Street, Suite 17-300  
San Francisco, CA 94103-1516 United States  
(415) 625-7910; (415) 625-7903 FAX

## **(Arkansas, Colorado, Louisiana, Montana, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wyoming)**

Mr. Joseph C. Juarez, Regional Administrator  
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Dallas, TX 75202 United States  
(972) 850-4600; (972) 850-4605 FAX

## **(Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, the Virgin Islands, Vermont)**

Ms. Holly C. O'Brien, Regional Administrator  
JFK Federal Building, Room E-350  
Boston, MA 02203 United States  
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## **(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)**

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Philadelphia, PA 19106-3315 United States  
(215) 861-5200; (215) 861-5260 FAX

## **(Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, Ohio, Wisconsin)**

Mr. Byron Zuidema, Regional Administrator  
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Chicago, IL 60604 United States  
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## Oregon

Ms. Camille Preus, Commissioner  
Oregon Department of Community Colleges and  
Workforce Development  
255 Capitol Street, N.E.  
Salem, OR 97310-1341 United States  
(503) 378-8648 ext 357 (503)378-8434 Fax

## **MINE SAFETY AND HEALTH ADMINISTRATION**

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### COAL MINE SAFETY AND HEALTH

#### Alabama

(District 11, Coal Mine Safety and Health:

Florida, Mississippi, Puerto Rico, Virgin Islands,  
and counties of Alabama and Georgia south and  
west of the District 7 boundary indicated above)  
Federal Region IV  
Frank C. Young, Jr.  
135 Gemini Circle, Suite 213  
Birmingham, AL 35209  
(205) 290-7300

#### Colorado

(District No. 9: All States west of the Mississippi  
River, except for Minnesota, Iowa and all counties  
of Missouri south of the Missouri River; including  
Alaska and Hawaii) Federal Region VIII  
John Kuzar  
P.O. Box 25367, DFC  
Denver, CO 80225-0367  
(303) 231-5458

#### Indiana

(District No. 8: Illinois, Indiana, Michigan,  
Minnesota, Wisconsin, Iowa and all counties of  
Missouri north of the Missouri River) Federal  
Region V  
James K. Oakes  
2300 Old Decker RD, Suite 200  
Vincennes, IN 47591  
(812) 882-7617

#### Kentucky

(District No. 6: counties of Kentucky east of and  
including Mason, Robertson, Fleming, Rowan,  
Menifee, Morgan, Magoffin, Floyd, Pike, Letcher)  
Federal Region IV  
Billy Fatch  
159 North Mayo Trail  
Pikeville, KY 41501-3249  
(606) 432-0943, Ext. 116

(District No. 10: counties of Kentucky west of and  
including Gallatin, Owen, Franklin, Anderson,  
Mercer, Boyle, Casey, Russell And Cumberland)  
Federal Region IV  
Carl E. Bome, II  
100 YMCA Drive  
Madisonville, KY 42431-9019  
(270) 821-4180

(District No. 7: Coal Mine Safety and Health:  
North Carolina, South Carolina, Tennessee,  
counties of Alabama north and east of and  
including Jackson, Marshall, Etowah, and  
Cherokee, counties of Georgia north of and  
including Polk, Bartow, Cherokee, Fors  
Joseph W. Pavlovich  
HC 66, Box 1699  
Barbourville, KY 40906  
(606) 546-5123

#### Pennsylvania

(District No. 1: Maine, New Hampshire, Vermont,  
Massachusetts, Rhode Island, Connecticut, New  
York, New Jersey, Delaware, and counties of  
Pennsylvania east of and including Susquehanna,  
Sullivan, Columbia, Montour, Northumberland,  
Dauphin, York) Federal Region III

# Appendix IV: Agency Regional and Local Office Addresses

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Frank Strunk  
The Stegmaier Building, Suite 034  
7 North Wilkes-Barre Boulevard  
Wilkes-Barre, PA 18702  
(570) 826-6321

(District No. 2: counties of Pennsylvania west of and including Bradford, Lycoming, Union, Snyder, Juniata, Perry, Cumberland, Adams)  
Federal Region III  
Cheryl McGill  
RR 1, Box 736  
Hunker, PA 15639  
(412) 925-5150, Ext. 111

## Virginia

(District No. 5: Virginia) Federal Region III  
Ray McKinney  
P.O. Box 560  
Norton, VA 24273  
(540) 679-0230

## West Virginia

(District No. 3: Ohio, Maryland and counties of West Virginia north of and including Jackson, Roane, Calhoun, Braxton, Randolph, Pendleton)  
Federal Region III  
Timothy J. Thompson  
5012 Mountaineer Mall  
Morgantown, WV 26505  
(304) 291-4277

(District No. 4: counties of West Virginia south of and including Mason, Putnam, Kanawha, Clay, Nicholas, Webster, Greenbrier, Pocahontas)  
Federal Region III  
Edwin P. Brady  
100 Bluestone Road  
Mt. Hope, WV 25880  
(304) 877-3900, Ext. 125

## METAL AND NONMETAL MINE SAFETY AND HEALTH

### Alabama

(Southeastern: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee, Virgin Islands)  
Martin Rosta  
135 Gemini Circle, Suite 212  
Birmingham, AL 35209  
(205) 290-7294

### California

(Western: Alaska, California, Hawaii, Idaho, Nevada, Oregon, Washington)  
Lee Ratliff  
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Vacaville, CA 95687-6696  
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### Colorado

(Rocky Mountain: Arizona, Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming, Kansas, Nebraska)  
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Denver, CO 80225-0367  
(303) 231-5465

### Minnesota

(North Central: Illinois, Indiana, Iowa, Michigan, Minnesota, Ohio, Wisconsin)  
Felix Quintana  
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Duluth, MN 55802-1302  
(218) 720-5448

### Pennsylvania

(Northeastern: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Virginia, Vermont, West Virginia)  
James R. Petrie  
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Cranberry Township, PA 16066-6415  
(724) 772-2333

### Texas

(South Central: Arkansas, Louisiana, Missouri, New Mexico, Oklahoma, Texas)  
Doyle D. Fink  
1100 Commerce Street, Room 4C50  
Dallas, TX 75242-0499  
(214) 767-8401

## TECHNICAL SUPPORT

### Pennsylvania

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Safety and Health Technology Center, Pittsburgh  
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### West Virginia

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### West Virginia

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## OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION

---

### Alabama

District Supervisor  
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Area Director  
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### Alaska

Area Director  
301 West Northern Lights Boulevard, Room 407  
Anchorage, AK 99503-7571  
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### Arizona

Area Director  
3221 North 16th Street, Suite 100  
Phoenix, AZ 85016  
(602) 640-2007

### Arkansas

Area Director  
TCBY Building, Suite 450  
425 West Capitol Avenue  
Little Rock, AR 72201  
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### California

Resource Center  
71 Stevenson Street, Suite 420  
San Francisco, CA 94105  
(415) 975-4316

Resource Center  
101 El Camino Boulevard, Suite 105  
Sacramento, CA 95815  
(916) 566-7470

Resource Center  
5675 Ruffin Road, Suite 330  
San Diego, CA 92123  
(619) 557-5904

### Colorado

Area Director  
1391 Speer Boulevard, Suite 210  
Denver, CO 80204-2552  
(303) 844-5285

Area Director  
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Englewood, CO 80111-2714  
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### Connecticut

Area Director  
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450 Main Street, Room 613  
Hartford, CT 06103  
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Area Director  
Clark Building  
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Bridgeport, CT 06604  
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### Delaware

Area Director  
Caleb Boggs Federal Building  
844 King Street, Room 2209  
Wilmington, DE 19801  
(302) 573-6518

### Florida

Area Director  
5807 Breckenridge Parkway, Suite A

# Appendix IV: Agency Regional and Local Office Addresses

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Tampa, FL 33610  
(813) 626-1177

Area Director  
Ribault Building, Suite 227  
1851 Executive Center Drive  
Jacksonville, FL 32207  
(904) 232-2895

Area Director  
Building H100  
8040 Peters Road  
Fort Lauderdale, FL 33324  
(954) 424-0242

## Georgia

Area Director  
450 Mall Boulevard, Suite J.  
Savannah, GA 31406-1418  
(912) 652-4393

Area Director  
Building 7, Suite 110  
2183 N. Lake Parkway  
La Vista Perimeter Office Park  
Tucker, GA 30084-4154  
(770) 493-6644

Area Director  
2400 Herodian Way, Suite 250  
Smyrna, GA 30080-2968  
(770) 984-8700

## Hawaii

Resource Center  
300 Ala Moana Boulevard, Suite 5-146  
Honolulu, HI 96850  
(808) 541-2685

## Idaho

Area Director  
1150 North Curtis Road, Suite 201  
Boise, ID 83703  
(208) 321-2960

## Illinois

Area Director  
1600 167th Street, Suite 12  
Calumet City, IL 60409  
(708) 891-3800

District Supervisor  
11 Executive Drive, Suite 11  
Fairview Heights, IL 62208  
(618) 632-8612

Area Director  
701 Lee Street  
Suite 950  
Des Plaines, IL 60016  
(847) 803-4800

Area Director  
2918 West Willow Knolls Road  
Peoria, IL 61614  
(309) 671-7033

Area Director  
365 Smoke Tree Plaza  
North Aurora, IL 60542

(630) 896-8700

## Indiana

Area Director  
U.S. Post Office and Courthouse  
46 East Ohio Street, Room 423  
Indianapolis, IN 46204  
(317) 226-7290

## Iowa

Area Director  
210 Walnut Street, Room 815  
Des Moines, IA 50309  
(515) 284-4794

## Kansas

Area Director  
8600 Farley, Suite 105  
Overland Park, KS 66212-4677  
(913) 385-7380

Area Director  
271 W. 3rd Street, Room 400  
Wichita, KS 67202  
(316) 269-6644

## Kentucky

Area Director  
U.S. Department of Labor-OSHA  
John C. Watts Federal Building  
330 West Broadway, Room 108  
Frankfort, KY 40601-1922  
(502) 227-7024

## Louisiana

Area Director  
202 Harlow Street, Room 211  
Bangor, ME 04401-4906  
(207) 941-8177

Area Director  
9100 Bluebonnet Centre Boulevard, Suite 201  
Baton Rouge, LA 70809  
(225) 389-0474

## Maine

District Supervisor  
Edmund S. Muskie Federal Bldg.  
40 Western Ave., RM G26  
Augusta, ME 04330  
(207) 626-9160

## Maryland

Area Director  
1099 Winterson Road, Suite 140  
Linthicum, MD 21090  
(410) 865-2055/2056

## Massachusetts

Area Director  
Valley Office Park  
13 Branch Street, First Floor  
Methuen, MA 01844  
(617)565-8110

Area Director  
639 Granite Street, 4th Floor  
Braintree, MA 02184

(617) 565-6924

Area Director  
1441 Main Street, Room 550  
Springfield, MA 01103-1493  
(413) 785-0123

## Michigan

Area Director  
801 South Waverly Road, Suite 306  
Lansing, MI 48917-4200  
(517) 327-0904

## Minnesota

Area Director  
300 S. 4th Street, Suite 1205  
Minneapolis, MN 55415  
(612) 664-5460

## Mississippi

Area Director  
3780 I-55 North, Suite 210  
Jackson, MS 39211-6323  
(601) 965-4606

## Missouri

Area Director  
U.S. Department of Labor-OSHA  
911 Washington Avenue, Room 420  
St. Louis, MO 63101  
(314) 425-4249

Area Director  
6200 Connecticut Avenue, Suite 100  
Kansas City, MO 64120  
(816) 483-9531

## Montana

Area Director  
2900 4th Avenue, North, Suite 303  
Billings, MT 59101  
(406) 247-7494

## Nebraska

Area Director  
Overland-Wolf Building, Room 100  
6910 Pacific Street  
Omaha, NE 68106  
(402) 221-3182

## Nevada

Resource Center  
Federal Building, Room 204  
705 North Plaza  
Carson City, NV 89701  
(775) 885-6963

## New Hampshire

Area Director  
55 Pleasant Street, Room 3901  
Concord, NH 03301  
(603) 225-1629

## New Jersey

Area Director  
Marlton Executive Park  
701 Route 73 South, Building 2, Suite 120



# Appendix IV: Agency Regional and Local Office Addresses

Marlton, NJ 08053  
(856) 757-5181

Area Director  
500 Route 17 South, 2nd Floor  
Hasbrouck Heights, NJ 07604  
(201) 288-1700

Area Director  
Plaza 35, Suite 205  
1030 St. Georges Avenue  
Avenel, NJ 07001  
(732) 750-3270

Area Director  
299 Cherry Hill Road, Suite 304  
Parsippany, NJ 07054  
(973) 263-1003

## New Mexico

Area Director  
Western Bank Building  
505 Marquette Avenue, N.W., Suite 820  
Albuquerque, NM 87102  
(505) 248-5302

## New York

Area Director  
660 White Plains Road, 4th Floor  
Tarrytown, NY 10591-5107  
(914) 524-7510

Area Director  
42-40 Bell Boulevard  
Bayside, NY 11361  
(718) 279-9060

Area Director  
1400 Old Country Road, Suite 208  
Westbury, NY 11590  
(516) 334-3344

Area Director  
3300 Vickery Road  
North Syracuse, NY 13212  
(315) 451-0808

Area Director  
201 Varick Street, Room 905  
New York, NY 10014  
(212) 620-3200

Area Director  
5360 Genesee Street  
Bowmansville, NY 14026  
(716) 684-3891

Area Director  
John Tomich Federal Building  
401 New Karner Road, Suite 300  
Albany, NY 12205-3809  
(518) 464-4338

## North Carolina

Area Director  
Century Station, Federal Building, Room 438  
300 Fayetteville Mall  
Raleigh, NC 27601-9998  
(919) 856-4770

## North Dakota

Area Director  
Federal Office Building  
1640 East Capitol Avenue  
Bismarck, ND 58501  
(701) 250-4521

## Ohio

Area Director  
Federal Office Building, Room 899  
1240 East Ninth Street  
Cleveland, OH 44199  
(216) 522-3818

Area Director  
Federal Office Building, Room 4028  
36 Triangle Park Drive  
Cincinnati, OH 45246  
(513) 841-4132

Area Director  
Ohio Building  
420 Madison Avenue, Suite 600  
Toledo, OH 43604  
(419) 259-7542

Area Director  
Federal Office Building  
200 North High Street, Room 620  
Columbus, OH 43215  
(614) 469-5582

## Oklahoma

Area Director  
55 N. Robinson, Suite 315  
Oklahoma City, OK 73102  
(405) 278-9560

## Oregon

Area Director  
1220 Southwest Third Avenue, Room 640  
Portland, OR 97204  
(503) 326-2251

## Pennsylvania

Area Director  
Federal Building, Room 1428  
1000 Liberty Avenue  
Pittsburgh, PA 15522-4101  
(412) 395-4903

Area Director  
3939 West Ridge Road, Suite B-12  
Erie, PA 16506  
(814) 833-5758

Area Director  
850 North 5th Street  
Allentown, PA 18102  
(610) 776-0592

Area Director  
U.S. Customs House, Room 242  
Second and Chestnut Streets  
Philadelphia, PA 19106  
(215) 597-4955

Area Director  
49 North Progress Avenue  
Progress Plaza

Harrisburg, PA 17109  
(717) 782-3902

Area Director  
7 North Wilkes-Barre Boulevard  
Suite 410  
Wilkes-Barre, PA 18702  
(570) 826-6538

## Puerto Rico

Area Director  
BBV Plaza Building  
1510 F.D. Roosevelt Avenue, Suite 5B  
Guaynabo, PR 00968  
(787) 277-1560

## Region I

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Marthe Kent, Regional Administrator  
Department of Labor, OSHA  
JFK Federal Building, Low Rise Building, Room E-340  
Boston, MA 02114  
(617) 565-9860

## Region II

(New Jersey, New York, Puerto Rico, Virgin Islands)  
Robert Kulick, Regional Administrator  
Department of Labor, OSHA  
201 Varick Street, Room 670  
New York, NY 10014 United States  
(212) 337-2378

## Region III

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
John Hermanson, Regional Administrator  
The Curtis Center - Suite 740 West  
170 Independence Mall West  
Philadelphia, PA 19106-3309 United States  
(215) 861-4900

## Region IV

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Cindy Coe, Regional Administrator  
61 Forsyth Street S.W., Room 6T50  
Atlanta, GA 30303 United States  
(404) 562-2300

## Region IX

(Arizona, California, Commonwealth of Northern Mariana Islands, Guam, Hawaii, and Nevada)  
Ken Atha, Regional Administrator  
Department of Labor, OSHA  
71 Stevenson Street, Room 420  
San Francisco, CA 94105 United States  
(415) 975-4310

## Region V

(Illinois, Indiana, Minnesota, Michigan, Ohio, Wisconsin)  
Michael Connors, Regional Administrator

# Appendix IV: Agency Regional and Local Office Addresses

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Department of Labor, OSHA  
230 South Dearborn Street  
32nd Floor, Room 3244  
Chicago, IL 60604  
(312) 353-2220

## Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Dean McDaniel, Regional Administrator  
Department of Labor, OSHA  
525 Griffin Street, Room 602  
Dallas, TX 75202 United States  
(214) 767-4731

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Charles E. Adkins, Regional Administrator  
Department of Labor, OSHA  
City Center Square  
1100 Main Street, Suite 800  
Kansas City, MO 64105 United States  
(816) 426-5861

## Region VIII

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Greg Baxter, Regional Administrator  
Department of Labor, OSHA  
1999 Broadway Street, Room 1690  
Denver, CO 80202-5716 United States  
(303) 844-1600

## Region X

(Alaska, Idaho, Oregon, Washington)  
Richard Terrill, Regional Administrator  
Department of Labor, OSHA  
1111 Third Avenue, Suite 715  
Seattle, WA 98101-3212  
(206) 553-5930

## Rhode Island

Area Director  
380 Westminister Mall, Room 243  
Providence, RI 02903  
(401) 528-4669

## South Carolina

Area Director  
1835 Assembly Street, Room 1468  
Columbia, SC 29201  
(803) 765-5904

## Tennessee

Area Director  
2002 Richard Jones Road, Suite C-205  
Nashville, TN 37215-2809  
(615) 781-5423

## Texas

Area Director  
17625 El Camino Real, Suite 400  
Houston, TX 77058  
(281) 286-0583

Area Director

Corpus Christi Area Office  
U.S. Department of Labor, OSHA  
Wilson Plaza West  
606 N. Carancahua, Suite 700  
Corpus Christi, TX 78476  
(361) 888-3420

Area Director  
507 North Sam Houston Parkway East, Suite 400  
Houston, TX 77060  
(281) 591-2438

Area Director  
Federal Building, Room 806  
1205 Texas Avenue  
Lubbock, TX 79401  
(806) 472-7681

Area Director  
700 E. San Antonio Street, Room C-408  
EL Paso, TX 79901  
(915) 534-6251

Area Director  
903 San Jacinto Boulevard, Suite 319  
Austin, TX 78701  
(512) 916-5783

Area Director  
8344 East R.L. Thornton Freeway, Suite 420  
Dallas, TX 75228  
(214) 320-2400

Area Director  
North Star II, Suite 302  
8713 Airport Freeway  
Ft. Worth, TX 76180-7610  
(817) 428-2470

## Utah

Area Director  
1781 South 300 West  
P.O. Box 65200  
Salt Lake City, UT 84165-0200  
(801) 487-0521

## Virginia

District Supervisor  
200 Granby Street, Room 614  
Norfolk, VA 23510  
(757) 441-3820

## Washington

Area Director  
505 106th Avenue N.E., Suite 302  
Bellevue, WA 98004  
(206) 553-7520

## West Virginia

Area Director  
405 Capitol Street, Suite 407  
Charleston, WV 25301  
(304) 347-5937

## Wisconsin

Area Director  
Henry S. Reuss Building  
310 Wisconsin Avenue, Suite 1180  
Milwaukee, WI 53203

(414) 297-3315

Area Director  
1648 Tri Park Way  
Appleton, WI 54914  
(920) 734-4521

District Supervisor  
1310 West Clairmont Ave.  
Eau Claire, WI 54701  
(715) 832-9019

Area Director  
4802 E. Broadway  
Madison, WI 53716  
(608) 441-5388

## OFFICE OF LABOR-MANAGEMENT STANDARDS

---

### California

90 7th Street  
Room 18100  
San Francisco, CA 94103-6701 United States  
(415) 625-2661

915 Wilshire Boulevard  
Suite 910  
Los Angeles, CA 90017 United States  
(213) 534-6405

### Colorado

1999 Broadway Street  
Room 2435  
Denver, CO 80202 United States  
(720) 264-3232

### District of Columbia

800 North Capitol Street NW  
Room 120  
Washington, DC 20002-4244 United States  
(202) 513-7300

### Georgia

Atlanta Federal Building  
Room 8B85  
61 Forsyth Street, S.W.  
Atlanta, GA 30303-2219 United States  
(404) 562-2083

### Illinois

Federal Office Building  
Suite 774  
230 S. Dearborn Street  
Chicago, IL 60604-1505 United States  
(312) 596-7160

### Louisiana

600 South Maestri Place  
Room 604  
New Orleans, LA 70130 United States  
(504) 589-6174

### Massachusetts

JFK Federal Building  
Room E-365  
Boston, MA 02203-0002 United States

# Appendix IV: Agency Regional and Local Office Addresses

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(617) 624-6690

## Michigan

211 West Fort Street  
Suite 1313  
Detroit, MI 48226-3237 United States  
(313) 226-6200

## Missouri

1222 Spruce Street  
Suite 9.109E  
St. Louis, MO 63103-2830 United States  
(314) 539-2667

## New York

201 Varick Street  
Suite 878  
New York, NY 10014 United States  
(646) 264-3190

130 South Elmwood Street  
Room 510  
Buffalo, NY 14202-2465 United States  
(716) 842-2900

## Ohio

Federal Office Building  
Suite 831  
1240 East Ninth Street  
Cleveland, OH 44199-2053 United States  
(216) 357-5455

525 Vine Street  
Suite 950  
Cincinnati, OH 45202-3168 United States  
(513) 684-6840

## Pennsylvania

The Curtis Center  
170 S. Independence Mall West  
Room 760W  
Philadelphia, PA 19106-3310 United States  
(215) 861-4818

Federal Office Building  
Room 1411  
1000 Liberty Avenue  
Pittsburgh, PA 15222-4004 United States  
(412) 395-6925

## Tennessee

233 Cumberland Bend Drive  
Suite 110  
Nashville, TN 37228-1809 United States  
(615) 736-5906

## Texas

A. Maceo Smith Federal Building  
Suite 300  
525 Griffin Street  
Dallas, TX 75202-5007 United States  
(972) 850-2500

## Washington

Federal Office Building  
Suite 605  
1111 Third Avenue  
Seattle, WA 98101-3212 United States

(206) 398-8099

## Wisconsin

517 East Wisconsin Avenue  
Suite 118  
Milwaukee, WI 53203-2213 United States  
(414) 297-1501

## OFFICE OF THE SECRETARY, WOMEN'S BUREAU

---

### Region I

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Jacqueline Cooke, Regional Administrator  
JFK Federal Building, Room E-270  
One Congress Street  
Boston, MA 02114  
(617) 565-1988 or 1-800-518-3585  
Use the same number for FTS

### Region II

(New Jersey, New York, Puerto Rico, Virgin Islands)  
Mary C. Murphree, Regional Administrator  
201 Varick Street, Room 601  
New York, NY 10014  
(212) 337-2389  
Use the same number for FTS

### Region III

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
Cornelia Moore, Regional Administrator  
The Curtis Center, Suite 880 West  
170 S. Independence Mall West  
Philadelphia, PA 19104  
(215) 861-4860 or 1-800-379-9042  
Use the same number for FTS

### Region IV

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Delores Crockett, Regional Administrator  
61 Forsyth Street, S.W., Suite 7T95  
Atlanta, GA 30367  
(404) 562-2336 or 1-800-672-8356  
Use the same number for FTS

### Region IX

(Arizona, California, Hawaii, Nevada)  
Jenny Erwin, Regional Administrator  
71 Stevenson Street, Room 927  
San Francisco, CA 94105  
(415) 975-4750  
Use the same number for FTS

### Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Nancy Chen, Regional Administrator  
230 South Dearborn Street, Room 1022  
Chicago, IL 60604  
(312) 353-6985 or 1-800-648-8183  
Use the same number for FTS

### Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Beverly Lyle, Regional Administrator  
Suite 735, Federal Building  
525 Griffin Street, Suite 735  
Dallas, TX 75202  
(214) 767-6985 or 1-888-887-6794  
Use the same number for FTS

### Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Rose A. Kemp, Regional Administrator  
Center City Square Building  
1100 Main Street, Suite 845  
Kansas City, MO 64106  
(816) 426-6108 or 1-800-252-4706  
Use the same number for FTS

### Region VIII

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Frances Jefferson, Regional Administrator  
Federal Office Building  
1801 California Street, Suite 905  
Denver, CO 80202-2614  
(303) 844-1286 or 1-800-299-0886  
Use the same number for FTS

### Region X

(Alaska, Idaho, Oregon, Washington)  
Karen Furia, Regional Administrator  
1111 Third Avenue, Room 925  
Seattle, WA 98101-3211  
(206) 553-1534 or 1-888-296-7011  
Use the same number for FTS

## VETERAN'S EMPLOYMENT AND TRAINING SERVICE

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REGIONAL ADMINISTRATORS AND STATE  
DIRECTORS FOR VETERANS' EMPLOYMENT  
AND TRAINING

### Region I

DVET Richard Gray  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 603  
Post Office Building  
87 State Street, Room 303  
Montpelier, VT 05602  
(802) 828-4441

DVET John Dunn  
Veterans' Employment and Training Service  
Department of Labor  
57 Spruce Street  
Westerly, RI 02891  
(401) 528-5134

DVET Paul L. Desmond  
Veterans' Employment and Training Service  
Department of Labor  
19 Staniford Street  
C.F. Hurley Building, 2nd Floor, ES Operations  
Section

# Appendix IV: Agency Regional and Local Office Addresses

Boston, MA 02114  
(617) 626-6699

DVET William Mason  
Veterans' Employment and Training Service  
Department of Labor  
CT Department of Labor Building  
200 Folly Brook Boulevard  
Wethersfield, CT 06109  
(860) 263-6490

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
RAVET David Houle  
Veterans' Employment and Training Service  
Department of Labor  
JFK Federal Building, Room E-315  
Government Center  
Boston, MA 02203  
(617) 565-2080

DVET Jon Guay  
Veterans' Employment and Training Service  
Department of Labor  
5 Mollison Way  
P.O. Box 3106  
Lewiston, ME 04243  
(207) 753-9090

DVET Richard Ducey  
Veterans' Employment and Training Service  
Department of Labor  
143 North Main Street, Room 208  
Concord, NH 03301  
(603) 225-1424

## Region II

DVET James H. Hartman  
Veterans' Employment and Training Service  
Department of Labor  
Harriman State Campus  
Building 12, Room 518  
Albany, NY 12240-0099  
(518) 457-7465

(New Jersey, New York, Puerto Rico and Virgin Islands)  
Veterans' Employment and Training Service  
Department of Labor  
201 Varick Street, Room 766  
New York, NY 10014  
(212) 337-2211

DVET Alan E. Grohs  
Veterans' Employment and Training Service  
Department of Labor  
Labor Building, 11th Floor, CN058  
Trenton, NJ 08625  
(609) 292-2930

DVET Angel Mojica  
Veterans' Employment and Training Service  
Department of Labor  
Puerto Rico Department of Labor and Human Services  
198 Calle Guayama, 20th Floor  
Hato Rey, PR 00917  
(787) 754-5391

## Region III

DVET Lawrence Babitts  
Veterans' Employment and Training Service  
Department of Labor  
Labor and Industry Building, Room 1108  
Seventh and Forster Streets  
Harrisburg, PA 17121  
(717) 787-5834

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia and West Virginia)  
RAVET Joseph Hortiz, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
The Curtis Center, Suite 770 West  
170 South Independence Mall West  
Philadelphia, PA 19106  
(215) 861-5390

DVET Roberto Pineda  
Veterans' Employment and Training Service  
Department of Labor  
703 E. Main street, Room 118  
Richmond, VA 23219  
(804) 786-7269

DVET Gary Lobdell  
Veterans' Employment and Training Service  
Department of Labor  
1100 North Eutaw Street, Room 210  
Baltimore, MD 21201  
(410) 767-2110

DVET Charles Stores, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
112 California Avenue  
Capitol Complex - Room 204  
Charleston, WV 25305-0112  
(304) 558-4001

DVET Stanley Williams  
Veterans' Employment and Training Service  
Department of Labor  
500 C Street, N.W., Room 108  
Washington, DC 20001  
(202) 724-7005

DVET David White  
Veterans' Employment and Training Service  
Department of Labor  
4425 N. Market Street, Room 420  
Wilmington, DE 19809-0828  
(302) 761-8138

## Region IV

DVET Richard E. Ritchie  
Veterans' Employment and Training Service  
Department of Labor  
915 8th Avenue North  
Nashville, TN 37219-3795  
(615) 736-7680

DVET Thomas Karrh  
Veterans' Employment and Training Service  
Department of Labor  
649 Monroe Street, Room 543  
Montgomery, AL 36131-6300

(334) 223-7677

Derek W. Taylor  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1527  
Tallahassee, FL 32302-1527  
(850) 942-8800

Ed Gresham  
Veterans' Employment and Training Service  
Department of Labor  
Sussex Place, Suite 504  
148 International Boulevard, N.E.  
Atlanta, GA 30303-1751  
(404) 656-3127

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

RAVET William Bolls, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
Sam Nunn Atlanta Federal Center  
61 Forsyth Street, S.W., Room 6-T85  
Atlanta, GA 30303  
(404) 562-2305

DVET Charles R. Netherton  
Veterans' Employment and Training Service  
Department of Labor  
C/O Department for Employment Services  
275 East Main Street  
Frankfort, KY 40621-2339  
(502) 564-7062

DVET Angelo Terrell  
Veterans' Employment and Training Service  
Department of Labor  
1520 West Capitol Street  
P.O. Box 1699  
Jackson, MS 39215-1699  
(601) 965-4204

DVET William C. Plowden, Jr.  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 1755  
Columbia, SC 29202-1755  
(803) 765-5195

DVET Steven W. Guess  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 27625  
Raleigh, NC 27611-7625  
(919) 733-7402, 733-7407

## Region IX

DVET Rosendo A. Cuevas  
Veterans' Employment and Training Service  
Department of Labor  
800 Capitol Mall, Room W-1142  
P.O. Box 826880  
Sacramento, CA 94280-0001  
(916) 654-8178

(Arizona, California, Hawaii, and Nevada)  
RAVET Rex A. Newell

# Appendix IV: Agency Regional and Local Office Addresses

Veterans' Employment and Training Service  
Department of Labor  
71 Stevenson Street, Suite 705  
San Francisco, CA 94105  
(415) 975-4700

DVET Michael Espinosa  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 6123-SC760E  
1400 West Washington Street  
Phoenix, AZ 85005  
(602) 379-4961

DVET Judy A. Carlisle  
Veterans' Employment and Training Service  
Department of Labor  
1923 North Carson Street, Room 205  
Carson City, NV 89702  
(702) 687-4632

DVET Gilbert N. Hough  
Veterans' Employment and Training Service  
Department of Labor  
P.O. Box 3680  
Honolulu, HI 96811  
(808) 522-8216

## Region V

DVET Michael D. Graham  
Veterans' Employment and Training Service  
Department of Labor  
390 Robert Street North, 1st Floor  
St. Paul, MN 55101  
(651) 296-3665

DVET Kim Fulton  
Veterans' Employment and Training Service  
Department of Labor  
7310 Woodward Avenue, Suite 407  
Detroit, MI 48202  
(313) 876-5613

DVET D. Bruce Redman  
Veterans' Employment and Training Service  
Department of Labor Richard A. Mock  
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# Appendix IV: Agency Regional and Local Office Addresses

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## Region X

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Contact any Veterans' Employment and Training  
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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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## DEPARTMENT OF TRANSPORTATION

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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# Appendix IV: Agency Regional and Local Office Addresses

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## FEDERAL RAILROAD ADMINISTRATION (FRA)

### Region I (Northeastern)

(Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Vermont)  
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### Region II (Eastern)

(Delaware, District of Columbia, Pennsylvania, Maryland, Virginia, West Virginia, Ohio)  
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### Region IV (Central)

(Illinois, Indiana, Michigan, Minnesota, Wisconsin)  
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### Region V (Southwestern)

(Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
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### Region VI (Midwestern)

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### Region VIII (Northwestern)

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### Region II

(New Jersey, New York, Virgin Islands)  
Marilyn Shazor, Region II - New York, NY One  
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### Region III

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)  
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### Region IV

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## Region V

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## Region VII

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## Region VIII

Note grant making activity for Arizona and Nevada falls under Region VIII  
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# Appendix IV: Agency Regional and Local Office Addresses

(415) 744-2924 Use the same number for FTS

## Florida

SOUTH ATLANTIC GATEWAY (Miami):  
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Panhandle), Puerto Rico and the U.S. Virgin  
Islands)

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US Department of Transportation  
Maritime Administration  
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## Illinois

GREAT LAKES GATEWAY (Chicago):  
(Indiana; Michigan; Northern Illinois; Northern  
Minnesota north of the North and South Dakota  
Borders; Northern Iowa/Missouri Border; Ohio;  
areas surrounding the St Lawrence Seaway;

Wisconsin)

Floyd Miras  
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Maritime Administration  
Great Lakes Gateway Office  
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EASTERN GULF/LOWER MISSISSIPPI  
GATEWAY (New Orleans): (Alabama; Arkansas;  
Louisiana; Mississippi; Tennessee; Western  
Panhandle of Florida) WESTERN GULF  
GATEWAY (Houston): (Colorado; New Mexico;  
Oklahoma; Texas)

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Maritime Administration  
Eastern Gulf/Lower Mississippi Gateway Office  
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FTS

## Missouri

INLAND WATERWAYS GATEWAY (St Louis):  
(Iowa; Kansas; Kentucky; Missouri; Montana;  
Nebraska; North Dakota; South Dakota;  
Pennsylvania all areas west of Pittsburgh;  
Southern Illinois; Southern Minnesota; Wyoming)

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## Southern California

(SOUTHERN CALIFORNIA GATEWAY (Long  
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ALAN HICKS

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# Appendix IV: Agency Regional and Local Office Addresses

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(816) 329-3800  
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Use same 10-digit number for F

### **Eastern Region**

(Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia)  
William H. Gute  
400 7th Street, S.W., Room 7130  
Washington, DC 20590  
(202) 366-4580  
(202) 366-3274 FAX  
Use same 10-digit number for F

### **Southern Region**

(Alabama, Arkansas, Florida, Georgia, Kentucky, Mississippi, North Carolina, Puerto Rico, South Carolina, Tennessee)  
Frederick A. Joyner  
61 Forsyth Street, Suite 16T15  
Atlanta, GA 30303  
(404) 562-3530  
(404) 562-3569 FAX  
Use same 10-digit number for F

### **Southwest Region**

(Arizona, Louisiana, New Mexico, Oklahoma, Texas)  
Rodrick M. Seeley  
2320 LaBranch, Room 2100  
Houston, TX 77004  
(713) 718-3746  
(713) 718-3724 FAX  
Use same 10-digit number for F

### **Western Region**

(California, Colorado, Idaho, Montana, Nevada, Oregon, Utah, Washington, Wyoming, Alaska, Hawaii)  
Chris Hoidal  
Golden Hills Centre, Suite A-250  
12600 W. Colfax Avenue  
Lakewood, CO 80215  
(303) 231-5701  
(303) 231-5711 FAX

## **APPALACHIAN REGIONAL COMMISSION**

### **Alabama**

Director  
Department of Economic and Community Affairs  
Box 5690, 401 Adams Avenue

Montgomery, AL 36103-5690  
(334) 242-8672

### **Georgia**

Director, Intergovernmental Relations  
Office of the Governor  
State Capital  
Room 131  
Atlanta, GA 30334  
(404) 463-7775

### **Kentucky**

Community Holding Company  
220 Main Street  
PO Box 331  
Inez, KY 41224  
(606) 298-3510

### **Maryland**

Director, Maryland Office of Planning  
301 West Preston Street, Room 1101  
Baltimore, MD 21201  
(410) 767-4510

### **Mississippi**

Community Assistance  
Mississippi Development Authority  
PO Box 849  
Jackson, MS 39205-0849  
(601) 359-6622

### **New York**

Secretary of State  
Department of State  
41 State Street  
Albany, NY 12231  
(518) 486-9844

### **North Carolina**

Director  
North Carolina Washington Office  
444 North Capitol Street, Suite 332  
Washington, DC 20001-1512  
(202) 624-5833

### **Ohio**

Director  
Governor's Office of Appalachia  
77 South High Street, 28th Floor, Box 1001  
Columbus, OH 43266-1001  
(614) 644-9228

### **Pennsylvania**

Deputy Secretary, Community Affairs and Development  
Department of Community and Economic Development  
400 North Street  
4th Floor  
Commonwealth Keystone Bldg.  
Harrisburg, PA 17120  
(717) 787-3003

### **South Carolina**

Policy Advsor to the Governor  
Office of the Governor

PO Box 12267  
Columbia, SC 29211  
(803) 734-5166

### **Tennessee**

Commissioner  
Department of Economic & Community Development  
William R. Snodgrass Tennessee  
312 Eighth Avenue, North  
11th Floor  
Nashville, TN 37243-0405  
(615) 741-1888

### **Virginia**

Virginia Department of Housing and Community Development  
Jackson Center  
501 North 2nd Street  
Richmond, VA 23219  
(804) 371-7002

### **West Virginia**

Director, Community Development Division  
West Virginia Development Office  
Building 6, Room 553  
State Capitol Complex  
Charleston, WV 25305  
(304) 558-4010

## **OFFICE OF PERSONNEL MANAGEMENT**

### **Puerto Rico**

San Juan  
Plaza Laz Americans Tower  
525 Roosevelt Avenue, Room 1100  
Hato Rey, PR 00918  
(809) 766-5620

### **Region II**

Alabama/Tennessee/Mississippi/Arkansas  
Huntsville  
520 Wynn Drive, N.W., 35816-3426  
(205) 837-1271

Washington, Oregon, Idaho  
Seattle  
700 5th Avenue, Suite 5950  
Seattle, WA 98104-5012  
(206) 553-0870

Colorado, Montana, Utah, Wyoming, New Mexico, Arizona  
Denver  
12345 West Alameda Parkway, Room 316  
P.O. Box 25167  
Denver, CO 80225-0001  
(303) 969-6931

Kansas, Missouri, Nebraska, Iowa, Illinois  
Kansas City  
Federal Building, Room 131  
601 East 12th Street

# Appendix IV: Agency Regional and Local Office Addresses

Kansas City, MO 64106-2826  
(816) 426-5706

California, Nevada  
San Francisco  
20 Howard Street, Room 735  
San Francisco, CA 94105-0001  
(415) 281-7074

Minnesota, North Dakota, South Dakota,  
Wisconsin  
Twin Cities  
Bishop Henry Whipple Federal Building, Room  
503  
One Federal Drive  
Ft. Snelling, MN 55111-4007  
(612) 725-3437

Ohio, Indiana, Kentucky, West Virginia  
Dayton  
U.S. Courthouse and Federal Building  
200 West 2nd Street, Room 507  
Dayton, OH 45402-0001  
(513) 225-2576

Pennsylvania, New York, Maryland,  
Massachusetts, New Hampshire, Connecticut,  
Delaware, Maine, New Jersey, Rhode Island,  
Vermont  
Philadelphia  
William J. Green, Jr. Federal Building  
Federal Building, Room 3400  
600 Arch Street  
Philadelphia, PA 19106-1596  
(215) 597-7670

Georgia, Florida  
Atlanta  
Richard B. Russell Federal Building, Suite 956  
75 Spring Street, S.W.  
Atlanta, GA 30303-3109  
(404) 331-4588

Virginia  
Norfolk  
Federal Building, Room 500  
200 Granby Street  
Norfolk, VA 23510-1886  
(804) 441-3373

North Carolina, South Carolina  
Raleigh  
4407 Bland Road, Suite 200, Somerset Park  
Raleigh, NC 27609-6296  
(919) 790-2817

Michigan, Indiana, Kentucky, Northern Ohio  
Detroit  
477 Michigan Avenue, Room 594  
Detroit, MI 48226-2574  
(313) 226-2095

Texas, Arkansas, Louisiana, Oklahoma, Nevada  
San Antonio  
8610 North Broadway, Room 305  
San Antonio, TX 78217-0001  
(210) 805-2423

Illinois  
Chicago

John C. Kluzynski Federal Building-DPN 30-3  
230 South Dearborn Street  
Chicago, IL 60604-1687  
(312) 353-6234

Hawaii, Alaska, Pacific Overseas  
Honolulu (and Island of Oahu)  
Federal Building  
P.O. Box 50028  
300 Ala Moana Boulevard  
Honolulu, HI 96850-0001  
(808) 541-2795

## U.S. COMMISSION ON CIVIL RIGHTS

### Central Regional Office

U.S. Commission on Civil Rights  
Melvin L. Jenkins, Regional Director  
Gateway Tower II  
400 State Avenue, Suite 908  
Kansas City, KS 66101  
(913) 551-1400  
(913) 551-1414 TDD

### Eastern Regional Office

U.S. Commission on Civil Rights  
Ki-Taek Chun, Regional Director  
624 9th Street NW, Suite 500  
Washington, DC 20425  
(202) 376-7533  
(202) 376-8116 TDD

### Midwestern Regional Office

U.S. Commission on Civil Rights  
Constance D. Davis, Regional Director  
55 West Monroe Street, Suite 410  
Chicago, IL 60603  
(312) 353-8311  
(312) 353-8362 TDD

### Rocky Mountain Regional Office

U.S. Commission on Civil Rights  
John F. Dulles, III  
1700 Broadway, Suite 710  
Denver, CO 80290  
(303) 866-1040  
(303) 866-1049 TDD

### Southern Regional Office

U.S. Commission on Civil Rights  
Bobby Doctor, Regional Director  
61 Alabama Street, SW, Suite 1840T  
Atlanta, GA 30303  
(404) 562-7000  
(404) 562-7004 TDD

### Western Regional Office

U.S. Commission on Civil Rights  
Philip Montez, Regional Director  
3660 Wilshire Boulevard, Room 810  
Los Angeles, CA 90010  
(213) 894-3437  
(213) 894-3435 TDD

## EQUAL EMPLOYMENT OPPORTUNITY

## COMMISSION

### Alabama

Delner Franklin-Thomas, Director  
1130 22nd Street, South, Suite 200  
Birmingham, AL 35205 United States  
(205) 7212-2089 Use the same number for FTS

### Arizona

Chester Bailey, Director  
Norwest Tower  
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(602) 640-5011 Use the same number for FTS

### Arkansas

Wanda Milton, Director  
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Little Rock, AR 72201 United States  
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### California

Michelle Nardella, Enforcement Manager  
1301 Clay Street, Suite 1170-N  
Oakland, CA 94612-5217 United States  
(510) 637-3239 Use the same number for FTS

Michael Baldonado, Director  
350 EmbarCadero, Suite 500  
San Francisco, CA 94105-1687 United States  
(415) 625-5611 Use the same number for FTS

Thomas McCammon, Director  
555 West Beech Street, Ste. 504  
San Diego, CA 92101 United States  
(619) 557-7277

Melissa Barrios, Director  
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Fresno, CA 93721 United States  
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(408) 291-7352 Use the same number for FTS

Olophius Perry, Acting Director  
255 E. Temple Avenue, 4th Floor  
Los Angeles, CA 90012 United States  
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### Colorado

Nancy Sienko, Director  
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(303) 866-1369 Use the same number for FTS

### District of Columbia

Mindy weinstein, Acting Director  
131 M Street, N.E.  
Washington, DC 20507 United States  
(202) 419-0770 Use the same number for FTS

### Florida

Manuel Zurita, Director  
501 East Polk Street, Room 1000  
Tampa, FL 33602 United States  
(813) 228-2310 Use the same number for FTS



# Appendix IV: Agency Regional and Local Office Addresses

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2 South Biscayne Boulevard, Suite 2700  
Miami, FL 33131 United States  
(305) 808-1740 Use the same number for FTS

## Georgia

Mason Barrett, Director  
410 Mall Boulevard, Suite G  
Savannah, GA 31406-4821 United States  
(912) 652-4234 Use the same number for FTS

Bernice Williams-Kimbrough, Director  
100 Alabama Street, Suite 4R30  
Atlanta, GA 30303  
(404) 562-6930  
Use the same number for FTS

## Hawaii

Timothy A. Riera, Director  
300 Ala Moana Boulevard, Room 7-127  
P.O. Box 50082  
Honolulu, HI 96850-0051 United States  
(808) 541-3722 Use the same number for FTS

## Illinois

John P. Rowe, Director  
500 West Madison Street, Suite 2800  
Chicago, IL 60661 United States  
(312) 353-8550 Use the same number for FTS

## Indiana

Danny Harter, Director  
Federal Building  
101 West Ohio Street, Suite 1900  
Indianapolis, IN 46204-4203 United States  
(317) 226-6418 Use the same number for FTS

## Kansas

Billie Ashton, Director  
400 State Avenue, Suite 905  
Kansas City, KS 66101 United States  
(913) 551-5655 Use the same number for FTS

## Kentucky

Marcia Hall Craig, Director  
U.S. Post Office and Courthouse  
600 Martin Luther King Jr. Place, Room 268  
Louisville, KY 40202 United States  
(502) 582-6744 Use the same number for FTS

## Louisiana

Keith Hill, Director  
1555 Poydras Street, Ste. 1900  
New Orleans, LA 70112 United States  
(504) 595-2835 Use the same number for FTS

## Maryland

Gerald Kiel, Director  
City Crescent Building  
10 South Howard Street, 3rd Floor  
Baltimore, MD 21201 United States  
(410) 962-5634 use the same number for FTS

## Massachusetts

Robert L. Sanders, Director

John F. Kennedy Federal Building  
1 Congress Street, Room 475  
Boston, MA 02203-0506 United States  
(617) 565-3191 Use the same number for FTS

## Michigan

Gail Cober, Director  
McNamara Federal Building  
477 Michigan Avenue, Suite 865  
Detroit, MI 48226-9704 United States  
(313) 226-3347 Use the same number for FTS

## Minnesota

Julie Schmid, Acting Director  
330 South Second Avenue, Suite 430  
Minneapolis, MN 55401-2224 United States  
(612) 335-4054 Use the same number for FTS

## Mississippi

Wilma Scott, Director  
100 W. Capitol Street, Suite 207  
Jackson, MS 39269 United States  
(601) 948-8400 Use the same number for FTS

## Missouri

Webster Smith, Director  
1222 Spruce Street, Room 8100  
St. Louis, MO 63103 United States  
(314) 539-7833 Use the same number for FTS

## New Jersey

Corrado Gigante, Director  
One Newark Center, 21st Floor  
Newark, NJ 07102-5233 United States  
(973) 645-5978 Use the same number for FTS

## New Mexico

Georgia Marchbanks, Acting Director  
505 Marquette Avenue, N.W., Suite 900  
Albuquerque, NM 87102-2189  
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## New York

Elizabeth Cadle, Director  
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Buffalo, NY 14202 United States  
(716) 551-4443 Use the same number for FTS

Spencer H. Lewis, Jr., Director  
33 Whitehall Street, 5th Floor  
New York, NY 10004-2112 United States  
(212) 336-3660 Use the same number for FTS

## North Carolina

Jose Rosenberg, Director  
2303 West Meadowview Road, Suite 201  
Greensboro, NC 27407 United States  
(336) 547-4080 Use the same number for FTS

Rueben Daniels, Director  
129 West Trade Street, Suite 400  
Charlotte, NC 28202 United States  
(704) 344-6744 Use the same number for FTS

Thomas Colclough, Director  
1309 Annapolis Drive  
Raleigh, NC 27608-2129 United States  
(919) 856-4085 Use the same number for FTS

## Ohio

Wilma L. Javey, Director  
550 Main Street, Suite 10-019  
Cincinnati, OH 45202-5202 United States  
(513) 684-2379 Use the same number for FTS

Daniel Cabot, Director  
Anthony J Celebrezze Federal Bldg.  
1240 E. 9th Street, Ste. 3001  
Cleveland, OH 44199 United States  
(216) 522-2001 Use the same number for FTS

## Oklahoma

Jack Vasquea, Acting Director  
215 Dean A. McGee Avenue, Suite 524  
Oklahoma City, OK 73102-2265 United States  
(405) 231-4356 Use the same number for FTS

## Pennsylvania

Joseph Hardiman, Director  
Federal Building  
1001 Liberty Avenue, Suite 300  
Pittsburgh, PA 15222-4187 United States  
(412) 644-2760 Use the same number for FTS

Marie M. Tomasso, Director  
801 Market Street, 13th Floor  
Philadelphia, PA 19103 United States  
(215) 440-2620 Use the same number for FTS

## Puerto Rico

William Sanchez, Director  
Plaza Las Americas  
525 F.D. Roosevelt Avenue, Suite 1202  
San Juan 00918-8001 United States  
(787) 771-1464 Use the same number for FTS

## South Carolina

Patricia B. Fuller, Director  
301 N. Main Street, Suite 1402  
Greenville, SC 29601 United States  
(864) 241-4410 Use the same number for FTS

## Tennessee

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Nashville, TN 37228 United States  
(615) 736-7481 Use the same number for FTS

Katharine Kores, Director  
1407 Union Avenue, Suite 621  
Memphis, TN 38104 United States  
(901) 544-0091 Use the same number for FTS

## Texas

Pedro Esquivel, Director  
Mockingbird Plaza, Plaza II  
5410 Fredericksburg Road, Suite 200  
San Antonio, TX 78229-3555 United States  
(210) 281-7642 Use the same number for FTS

Roy Ruff, Director  
Mickey Leland Building  
1919 Smith Street, 7th Floor  
Houston, TX 77002 United States  
(713) 209-3379 Use the same number for FTS

Michael Fetzer, Director

# Appendix IV: Agency Regional and Local Office Addresses

207 South Houston Street, 3rd Floor  
Dallas, TX 75202-4726 United States  
(214) 655-3300 Use the same number for FTS

Teresa Anchondo, Director  
300 East Main Street, Suite 500  
El Paso, TX 79901 United States  
(915) 534-6685 Use the same number for FTS

## Virginia

Herbert Brown, Director  
Federal Building  
200 Granby Street, Suite 739  
Norfolk, VA 23510 United States  
(757) 441-3470 Use the same number for FTS

Patricia Glisson, Director  
830 E. Main Street, Suite 600  
Richmond, VA 23219 United States  
(804) 771-2164 Use the same number for FTS

## Washington

Luis Lucero, Director  
Federal Office Building  
909 First Avenue, Suite 400  
Seattle, WA 98104-1061 United States  
(206) 220-6870 Use the same number for FTS

## Wisconsin

Rosemary Fox, Acting Director  
Henry S. Reuss Federal Plaza  
310 West Wisconsin Avenue, Suite 800  
Milwaukee, WI 53203-2292 United States  
(414) 297-4131 Use the same number for FTS

## FEDERAL COMMUNICATIONS COMMISSION

### Beverly Baker, Chief

Field Operations Bureau  
Federal Communications Commission  
1919 M Street, N.W., Room 734  
Washington, DC 20554-0001  
(202) 418-1100  
Use the same number for FTS

### P.O. Box 1588

Gary P. Soulsby, EIC  
Federal Communications Commission  
11410 NE 122nd Way, Suite 312  
Kirkland, WA 98034-6927  
(206) 821-9037

Oliver K. Long, EIC  
Federal Communications Commission  
P.O. Box 632  
Kingsville, TX 78363-0632  
(512) 592-2531

James H. Berrie, Jr., EIC  
Federal Communications Commission  
Grand Islands, NE 68802-1588  
(308) 382-4296 (recorded information at nights)

William C. Berry  
Federal Communications Commission  
U.S. Federal Building, Room 747  
San Juan Field Office

747 Federal Building  
Hato Rey, PR 00918-1731  
(809) 766-5567

### Watch Officer

Signal Analysis Branch  
1919 M Street, N.W., Room 749  
Enforcement Division  
Washington, DC 20554  
(202) 418-1180  
Use the same number for FTS

### William L. Kilpatrick, Chief

Equipment Construction and Installation Branch  
Federal Communications Commission  
3600 Hiram-Lithia Spring Road, S.W.  
P.O. Box 65  
Powder Springs, GA 30073  
(404) 943-6425

Russell D. Monie  
Federal Communications Commission  
Park Ridge Office Center, Room 306  
1550 Northwest Highway  
Park Ridge, IL 60068-1460  
(708) 298-5405  
Use the same number for FTS

David Viglione, EIC  
Federal Communications Commission  
1307 Federal Building  
111 West Huron Street  
Buffalo, NY 14202-2398  
(716) 551-4511 (recorded information)

Vacant  
Federal Communications Commission  
P.O. Box 89  
Allegan, MI 49010-9437  
(616) 673-2063

George M. Moffitt, EIC  
Federal Communications Commission  
Park Ridge Office Center, Room 306  
1550 Northwest Highway  
Park Ridge, IL 60068-1460  
(708) 298-5401/02  
Use the same number for FTS

Charles W. Craig, EIC  
Federal Communications Commission  
1782 Federal Building  
1220 S.W. Third Avenue  
Portland, OR 97204-2898  
(503) 326-4114/5

Vincent Kajunski, EIC  
Federal Communications Commission  
1 Battery March Park  
Quincy, MA 02169-7495  
(617) 770-4023

James A. Bridgewater  
Federal Communications Commission  
24897 Hathaway Street  
Farmington Hills, MI 48335-1552  
(810) 471-5605  
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(810) 471-0052 (for r

Jack Shedletsky, EIC  
Federal Communications Commission  
P.O. Box 1030  
Waipahu, HI 96797-1030  
(808) 677-3318

James R. Zoulek, EIC  
Federal Communications Commission  
18000 Studebaker Road, Room 660  
Cerritos, CA 90701-3684  
(310) 809-2096  
(310) 865-0598

Serge Marti-Volkoff  
Federal Communications Commission  
3777 Depot Road, Room 420  
Hayward, CA 94545-2756  
(510) 732-9046

Dennis P. Carlton  
Federal Communications Commission  
Brywood Office Tower, Room 320  
8800 East 63rd Street  
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James C. Hawkins  
Federal Communications Commission  
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(504) 589-2095

Marlene S. Windel  
Federal Communications Commission  
6721 Raspberry Road  
Anchorage, AK 99502-1896  
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Ralph M. Barlow, EIC  
Federal Communications Commission  
2203 North Lois Avenue, Room 1215  
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(813) 348-1502

Albert S. Jarratt, Jr., EIC  
Federal Communications Commission  
2025 Sloan Place, Suite 31  
Maplewood, MN 55117-2058  
(612) 774-5175

Leo Cirbo, EIC  
Federal Communications Commission  
165 South Union Boulevard, Suite 860  
Lakewood, CO 80228-2213  
(303) 969-6497  
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Jack Shedletsky, EIC  
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# Appendix IV: Agency Regional and Local Office Addresses

Use the same number for FTS

Barry A Bohac, EIC  
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Fred L. Broce, EIC  
Federal Communications Commission  
Koger Center-Gwinnett  
3575 Koger Boulevard, Room 320  
Duluth, GA 30136-4958  
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James A. Dailey, EIC  
Federal Communications Commission  
Brywood Office Tower, Room 320  
8800 East 63rd Street  
Kansas City, MO 64133-4895  
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Use the same number for FTS

William H. Grigsby, EIC  
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Interstate Office Park  
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Alexander J. Zimny, EIC  
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(212) 660-3437, 34

Phil Kane, EIC  
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Miami, FL 33166-4668  
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John Hudak, EIC  
Federal Communications Commission  
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Columbia, MD 21045-9998  
(301) 725-3474

## FEDERAL MEDIATION AND CONCILIATION SERVICE

### Eastern

Cleveland, Ohio Regional Office  
Mr. Robert Ditillo,  
Director of Mediation Services,  
6161 Oak Tree Boulevard,  
Independence, OH 44131 United States  
(216) 520-4811 Fax: (216) 520-4819

### Eastern Region

Pittsburgh, Pennsylvania Field Office  
Mr. John W. Pinto, Director of Mediation  
Services, One Oxford Centre, Suite 2570, 301  
Grant Street,  
Pittsburgh, PA 15219-1408 United States  
(412) 235-7440 Fax: (412) 644-4149

Cleveland, Ohio Field Office  
Mr. John Buettner, Director of Field Operations,  
6161 Oak Tree Boulevard, Suite 120,  
Independence, OH 44131 United States  
(216) 520-4805 Fax: (216) 520-4815

Chicago, Illinois Field Office  
Mr. Thomas Summers, Director of Mediation  
Services, Elm Plaza, Suite 203, 908 North Elm  
Street  
Hindsdale, IL 60521 United States  
(630) 887-4750 Fax: (630) 887-7183

Orlando, Florida Field Office  
Mr. Sergio Delgado, Director of Mediation  
Service, 3452 Lake Lynda Drive, Suite 122,  
Orlando, FL 32817-1472 United States  
(407) 382-6598 Fax: (407) 382-3727

Philadelphia, Pennsylvania Field Office  
Mr. Scott Blake, Director of Mediation Services,  
William J. Green, Jr. Federal Building, Room  
3456, 600 Arch Street,  
Philadelphia, PA 19106 United States  
(215) 717-7500 Fax: (215) 717-7508

Woodbridge, New Jersey Regional Office  
Mr. John Sweeney, Director of Mediation  
Services, Woodbridge Place Building, Suite 3020,  
517 US Highway 1 South,  
Iselin, NJ 08830 United States  
(732) 726-3121 Fax: (732) 726-3124

### Western Region

Los Angeles, California Field Office  
Ms. Linda Gonzalez, Director of Mediation  
Services, Glendale Financial Square, Suite 410,  
225 West Broadway,  
Los Angeles, CA 91204 United States  
(818) 409-1324 Fax: (818) 409-1321

Seattle, Washington Field Office  
Ms. Beth Schindler, Director of Mediation  
Services, Westin Building, Suite 2500, 2001 Sixth  
Avenue,  
Seattle, WA 98121 United States  
(206) 553-5800 Fax: (206) 553-6653

St. Louis, Missouri Field Office  
Mr. Eugene Bralley, Jr., Director of Mediation  
Services, 12140 Woodcrest Executive Drive, Suite  
325,  
St. Louis, MO 63141-5013 United States  
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Mineapolis, Minnesota Field Office  
Mr. Glenn Tarkowski, Director of Mediation  
Services,  
Broadway Place West, Suite 3950  
1300 Godward Street  
Minneapolis, MN 55413 United States  
(612) 331-6667 Fax: (612) 331-5272

## GENERAL SERVICES ADMINISTRATION

### Central Office

General Services Administration  
2200 Crystal Drive, Crystal Plaza 4, Room 706  
Arlington, VA 22202 United States  
(703) 605-5610 (703) 605-9833 FAX

### Great Lakes Region

(Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin)  
230 South Dearborn Street  
MS 34-6, Room 3430  
Chicago, IL 60604-1696  
(312) 886-8996

### Greater Southwest Region

(Arkansas, Louisiana, New Mexico, Oklahoma, and Texas)  
819 Taylor Street, Room 7A07  
Fort Worth, TX 76102-6105  
(817) 978-3794

### Heartland Region

(Iowa, Kansas, Missouri, and Nebraska)  
1500 East Bannister Road, Room 1102  
Kansas City, MO 64131  
(816) 823-3700

### Mid Atlantic (National Capital)

(National Capital Region - DC and Metro MD, VA)  
490 L'Enfant Plaza East SW, Suite 8214  
Washington, DC 20407 United States  
(202) 619-8986 (202) 619-8985 FAX

### Mid Atlantic Region (National Capital)

(District of Columbia and the DC, Metropolitan area: In Maryland, Montgomery and Prince George's Counties. In Virginia: Arlington, Fairfax, Loudon, and Prince Williams)

7th & Dst. SW  
Washington, DC 20407 United States  
(202) 260-6438

### Mid-Atlantic Region

(Delaware, Maryland, Pennsylvania, Virginia and West Virginia (except those areas in the National Capital Area)  
Strawbridge's Building  
20 North 8th St., 10th Floor  
Philadelphia, PA 19107-3191  
(215) 446-5065

### National Capital Region (NCR)

(District of Columbia and the DC, Metropolitan area: In Maryland, Montgomery and Prince George's Counties. In Virginia: Arlington, Fairfax, Loudon, and Prince Williams Counties and the cities of Alexandria, Fairfax, and Falls Church)  
Business Service Center (WCAB)  
7th & D Streets, SW, Room 1050  
Washington, DC 20407  
(202) 708-5804  
(202) 205-2872 FAX

# Appendix IV: Agency Regional and Local Office Addresses

## New England Region

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont)  
Thomas P. O'Neill, Jr. Federal Building  
10 Causeway Street, 3rd Floor, Room 347  
Boston, MA 02222  
(617) 565-7319

## Northeast and Caribbean Region

(New Jersey, New York, Puerto Rico, and U.S. Virgin Islands)  
26 Federal Plaza, Room 20-112  
New York, NY 10278  
(212) 264-3300

## Northwest/Arctic Region

(Alaska, Idaho, Oregon, and Washington)  
400 15th Street, S.W.  
Auburn, WA 98001-6599  
(253) 931-7934

## Pacific Rim Region

(American Samoa, Arizona, California, Commonwealth of the Northern Mariana Islands, Guam, Hawaii, and Nevada)  
450 Golden Gate Avenue  
San Francisco, CA 94102-3434  
(415) 522-3029

## Region 1

(New England Region- Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont) O'Neill Federal Building, 10 Causeway Street, Room 1085  
Boston, MA 02222-1047 United States  
(617) 565-6573 (617) 565-5767 FAX

## Region 10

(Northwest Arctic Region - Alaska, Idaho, Oregon, Washington) 400 15th Street SW  
Auburn, WA 98001-6599 United States  
(253) 931-7021(253) 931-7824 FAX

## Region 2

(Northeast and Caribbean Region - New Jersey, New York, Puerto Rico, U.S. Virgin Islands) 26 Federal Plaza, Room 20-112  
New York, NY 10278 United States  
(212) 264-2626 (212) 264-9806FAX

## Region 3

(Mid-Atlantic Region - Delaware, Maryland and Virginia (except District of Columbia Metropolitan area), Pennsylvania, West Virginia) The Strawbridge Building, 20 North Eighth Street, 10th Floor  
Philadelphia, PA 19107 United States  
(215) 446-5060 (215) 829-2760 FAX

## Region 4

(Southeast Sunbelt Region - Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee) 401 West Peachtree Street, Suite 2600  
Atlanta, GA 30308 United States

(404) 332-3323(404) 331-1877 FAX

## Region 5

(Great Lakes Region - Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
230 South Dearborn Street, MS 34-6, Room 3430  
Chicago, IL 60604-1696 United States  
(312) 886-8194(312) 886-8901 FAX

## Region 6

(Heartland Region - Iowa, Kansas, Missouri, Nebraska)  
1500 East Bannister Road, Building 6, 1st Floor  
Kansas City, MO 64131 United States  
(816) 823-3719 (816) 823-3711FAX

## Region 7

(Greater Southwest Region - Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
819 Taylor Street  
Room 13A05  
Fort Worth, TX 76102 United States  
(817) 850-8353 (817) 574-2366FAX

## Region 8

(Rocky Mountain Region - Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Business Service Center (8AB)  
Denver Federal Center  
Building 41, Room 240  
P.O. Box 25006  
Denver, CO 80225  
(303) 236-7408  
(303) 236-7403 FAX

(Rocky Mountain Region - Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
Denver Federal Center Building 41  
P.O. Box 25506  
Denver, CO 80225-0506 United States  
(303) 236-7700 (303) 236-7544 FAX

## Region 9

(Pacific Rim Region - Arizona, California, Nevada, Hawaii, Guam, American Samoa, Northern Mariana Islands)  
450 Golden Gate Avenue  
San Francisco, CA 94102-3434 United States  
(415) 522-3030 415) 522-3033 FAX

## Region I

(Illinois, Indiana, Michigan, Wisconsin, Ohio, Minnesota, Maine, Vermont, New Hampshire, Rhode Island, Massachusetts, Connecticut, New York, New Jersey, Puerto Rico, and the Virgin Islands)  
10 Causeway Street  
Boston, MA 02222  
(617) 565-5700

## Region IV

(Maryland, Delaware, Virginia, Pennsylvania, West Virginia, North Carolina, Mississippi, South Carolina, Tennessee, Georgia, Alabama, Florida, Kentucky and the District of Columbia)  
401 W. Peachtree Street

Atlanta, GA 30365-2550  
(404) 331-5133

## Region IX

(California, Nevada, Arizona, Hawaii, Guam, American Samoa, the Trust Territory of the Pacific Islands, Alaska, Idaho, Oregon, and Washington)  
450 Golden Gate Avenue, 4th Floor East  
San Francisco, CA 94102-3429  
(415) 522-3429

## Region VII

(Kansas, Missouri, Iowa, Nebraska, Arkansas, Louisiana, New Mexico, Oklahoma, Texas, Colorado, North Dakota, South Dakota, Montana, and Utah)  
819 Taylor Street  
Fort Worth, TX 76102  
(817) 978-2331

## Southeast Sunbelt Region

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee)  
401 West Peachtree Street, Room 2600  
Atlanta, GA 30365  
(404) 331-0040  
Satellite Office  
General Services Administration  
Small Business Center (9ADB-L)

## NATIONAL LABOR RELATIONS BOARD

### Alabama

Information Officer  
Ridge Park Place  
1130 South Street, Suite 3400  
Birmingham, AL 35205-2870 United States  
(205) 933-3018 Use the same number for FTS

### Alaska

Information Officer  
Anchorage Federal Office Building  
605 West 4th Avenue, Suite 210  
Anchorage, AK 99501-3170 United States  
(907) 271-5015 Use the same number for FTS

### Arizona

Information Officer  
2600 North Central Avenue, Suite 1800  
Phoenix, AZ 85004-3099 United States  
(602) 640-2160 Use the same number for FTS

### Arkansas

Information Officer  
Metropolitan Bank Building  
425 West Capitol Avenue, Suite 1615  
Little Rock, AR 72201-3489 United States  
(501) 324-6311 Use the same number for FTS

### California

Information Officer  
Ronald V. Dellums Federal Building and Courthouse

# Appendix IV: Agency Regional and Local Office Addresses

1301 Clay Street, Suite 300N  
Oakland, CA 94612-5224 United States  
(510) 637-3300 Use the same number for FTS

Information Officer  
901 Market Street, Suite 400  
San Francisco, CA 94103-1735 United States  
(415) 356-5130 Use the same number for FTS

Information Officer  
888 Figueroa Street, 9th Floor  
Los Angeles, CA 90017-5499 United States  
(213) 894-5200 Use the same number for FTS

Information Officer  
555 West Beech Street, Suite 418  
San Diego, CA 92101-2939 United States  
(619) 557-6184 Use the same number for FTS

Information Officer  
11150 W. Olympic Boulevard, Suite 700  
Los Angeles, CA 90064-1824 United States  
(310) 235-7351 Use the same number for FTS

## Colorado

Information Officer  
600 17th Street, 7th Floor, North Tower  
Denver, CO 80202-5433  
(303) 844-3551  
Use the same number for FTS

## Connecticut

Information Officer  
A.A. Ribicoff Federal Building  
450 Main Street  
Suite 410  
Hartford, CT 06103-9972 United States  
(860) 240-3522 Use the same number for FTS

## District of Columbia

Information Officer  
1099 14th Street, N.W., Suite 5530  
Washington, DC 20570-0001  
(202) 208-3000  
Use the same number for FTS

## Florida

Information Officer  
550 Water Street, Room 340  
Jacksonville, FL 32202-5177 United States  
(904) 232-3768 Use the same number for FTS

Information Officer  
201 E. Kennedy Boulevard, Suite 530  
Tampa, FL 33602-5824 United States  
(813) 228-2641 Use the same number for FTS

Information Officer  
Federal Building  
51 Southwest 1st Avenue, Room 1320  
Miami, FL 33130-1623 United States  
(305) 536-5391 Use the same number for FTS

## Georgia

Information Officer  
233 Peachtree Street, N.E., Suite 1000  
Atlanta, GA 30303-1531 United States  
(404) 331-2896 Use the same number for FTS

## Hawaii

Information Officer  
300 Ala Moana Boulevard - Room 7-245  
Honolulu, HI 96850-4980 United States  
(808) 541-2814 Use the same number for FTS

## Illinois

Information Officer  
300 Hamilton Boulevard, Suite 200  
Peoria, IL 61602-1246 United States  
(309) 671-7080 Use the same number for FTS

Information Officer  
The Rookery Building  
209 South LaSalle Street, Suite 900  
Chicago, IL 60604-1219 United States  
(312) 353-7570 Use the same number for FTS

## Indiana

Information Officer  
575 North Pennsylvania Street, Room 238  
Indianapolis, IN 46204-1577 United States  
(317) 226-7381 Use the same number for FTS

## Iowa

Information Officer  
210 Walnut Street, Suite 439  
Des Moines, IA 50309-2103  
(515) 284-4391 Use the same number for FTS

## Kansas

Information Officer  
8600 Farley Street, Suite 100  
Overland Park, KS 66212-4677  
(913) 967-3000  
Use the same number for FTS

## Louisiana

Information Officer  
600 South Maestri Place - 7th Floor  
New Orleans, LA 70130-3408 United States  
(504) 589-6361 Use the same number for FTS

## Maryland

Information Officer  
Bank of America Center, Tower II  
100 South Charles Street  
Baltimore, MD 2120-2700 United States  
(410) 962-2822 Use the same number for FTS

## Massachusetts

Information Officer  
10 Causeway Street, 6th Floor  
Boston, MA 02222-1072  
(617) 565-6700  
Use the same number for FTS

## Michigan

Information Officer  
477 Michigan Avenue, Room 300  
Detroit, MI 48226-2569  
(313) 226-3200  
Use the same number for FTS

Information Officer  
Gerald R. Ford Federal Building  
110 Michigan Street NW

Room 299  
Grand Rapids, MI 49503-2363 United States  
(616) 456-2679 Use the same number for FTS

## Minnesota

Information Officer  
330 South Second Avenue, Suite 900  
Minneapolis, MN 55401-2221  
(612) 348-1757 Use the same number for FTS

## Missouri

Information Officer  
1222 Spruce Street, Room 8.302  
St. Louis, MO 63103-2829 United States  
(314) 539-7770 Use the same number for FTS

## Nevada

Information Officer  
600 Las Vegas Boulevard South, Suite 400  
Las Vegas, NV 89101-6637  
(702) 388-6416  
Use the same number for FTS

## New Jersey

Information Officer  
20 Washington Place-5th Floor  
Newark, NJ 07102-3110  
(973) 645-2100 Use the same number for FTS

## New Mexico

Information Officer  
421 Gold Avenue SW, Suite 310  
Albuquerque, NM 87102 United States  
(505) 248-5125 Use the same number for FTS

## New York

Information Officer  
Clinton Avenue at N. Pearl Street, Room 342  
Albany, NY 12207-2350  
(518) 431-4156  
Use the same number for FTS

Information Officer  
26 Federal Plaza, Room 3614  
New York, NY 10278-0104 United States  
(212) 264-0300 Use the same number for FTS

Information Officer  
Niagra Center Building  
130 South Elmwood Avenue, Suite 630  
Buffalo, NY 14202-2465 United States  
(716) 551-4931 Use the same number for FTS

Information Officer  
Two Metro Tech Center  
Suite 5100  
Brooklyn, NY 11201-3838 United States  
(718) 330-7713 Use the same number for FTS

## North Carolina

Information Officer  
4035 University Parkway, Suite 200  
Winston-Salem, NC 27106-3325 United States  
(336) 631-5201 Use the same number for FTS

## Ohio

Information Officer  
550 Main Street, Room 3003

# Appendix IV: Agency Regional and Local Office Addresses

Cincinnati, OH 45202-3271  
(513) 684-3686

Use the same number for FTS

Information Officer  
1240 East 9th Street, Room 1695  
Cleveland, OH 44199-2086 United States  
(216) 522-3715 Use the same number for FTS

## Oklahoma

Information Officer  
224 South Boulder Avenue, Room 318  
Tulsa, OK 74103-3027 United States  
(918) 581-7951 Use the same number for FTS

## Oregon

Information Officer  
601 S.W. Second Avenue, Suite 1910  
Portland, OR 97204-3170 United States  
(503) 326-3085 Use the same number for FTS

## Pennsylvania

Information Officer  
615 Chestnut Street, 7th Floor  
Philadelphia, PA 19016-4404  
(215) 597-7601  
Use the same number for FTS

Information Officer  
William S. Moorehead Federal Building  
1000 Liberty Avenue, Room 904  
Pittsburgh, PA 15222-4111 United States  
(412) 395-4400 Use the same number for FTS

## Puerto Rico

Information Officer  
525 F.D. Roosevelt Avenue, Suite 1002  
San Juan, PR 00918-1002 United States  
(787) 766-5347 Use the same number for FTS

## Tennessee

Information Officer  
810 Broadway, Suite 302  
Nashville, TN 37203-3859 United States  
(615) 736-5921 Use the same number for FTS

Information Officer  
The Brinkley Plaza Building  
80 Monroe Avenue  
Memphis, TN 38103-2416 United States  
(901) 544-0018 Use the same number for FTS

## Texas

Information Officer  
Garacia Federal Building  
615 East Houston Street, Suite 401  
San Antonio, TX 78205-2039 United States  
(210) 472-6140 Use the same number for FTS

Information Officer  
Mickey Leland Federal Building  
1919 Smith Street, Suite 1545  
Houston, TX 77002-2649 United States  
(713) 209-4888 Use the same number for FTS

Information Officer  
P.O. Box 971187  
El Paso, TX 79997-1187 United States

(915) 592-6571 Use the same number for FTS

Information Officer  
819 Taylor Street, Room 8A24  
Fort Worth, TX 76102-6178 United States  
(817) 978-2921 Use the same number for FTS

## Washington

Information Officer  
915 2nd Avenue, Room 2948  
Seattle, WA 98174-1078  
(206) 220-6300  
Use the same number for FTS

## Wisconsin

Information Officer  
310 West Wisconsin Avenue, Suite 700W  
Milwaukee, WI 53203-2211 United States  
(414) 297-3861 Use the same number for FTS

## SMALL BUSINESS ADMINISTRATION

### Disaster Area 1 Office (Covers Regions I and II)

360 Rainbow Boulevard S., 3rd Floor  
Niagara Falls, NY 14303-1192  
(716) 282-4612  
Use the same number for FTS

### Disaster Area 2 Office (Covers Regions III, IV and V)

One Baltimore Place, Suite 300  
Atlanta, GA 30308  
(404) 347-3771  
Use the same number for FTS

### Disaster Area 3 Office (Covers Regions VI and VII)

4400 Amon Carter Boulevard, Suite 102  
Ft. Worth, TX 76155  
(817) 885-7600  
Use the same number for FTS

### Disaster Area 4 Office (Covers Regions VIII, IX and X)

1825 Bell Street, Suite 208  
Sacramento, CA 95825  
(916) 566-7240  
Use the same number for FTS

## Region I

New Hampshire District Office  
143 North Main Street, Suite 202  
Concord, NH 03301-1257  
(603) 225-1400  
Use the same number for FTS

Connecticut District Office  
Federal Building  
330 Main Street, 2nd Floor  
Hartford, CT 06106  
(203) 240-4700  
Use the same number for FTS

Maine District Office  
Federal Building  
40 Western Avenue, Room 512

Augusta, ME 04330  
(207) 622-8378  
Use the same number for FTS

Springfield Branch Office  
1441 Main Street, Suite 410  
Springfield, MA 01103  
(413) 785-0268

(Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)  
10 Causeway Street, Suite 812  
Boston, MA 02222  
(617) 565-8415  
Use the same number for FTS

Massachusetts District Office  
10 Causeway Street, Room 265  
Boston, MA 02222-1093  
(617) 565-5590  
Use the same number for FTS

Vermont District Office  
Federal Building  
87 State Street, Room 205  
Montpelier, VT 05602  
(802) 828-4422  
Use the same number for FTS

Rhode Island District Office  
380 Westminster Mall, 5th Floor  
Providence, RI 02903  
(401) 528-4561  
Use the same number for FTS

## Region II

New Jersey District Office  
Two Gateway Center, 15th Floor  
Newark, NJ 07102  
(973) 645-2434  
Use the same number for FTS

Puerto Rico and USVI District Office  
Federico Degetau Federal Building  
252 Ponce DeLeon Boulevard, Suite 201  
San Juan, PR 00918  
(787) 766-5272  
Use the same number for FTS

Melville Branch Office  
35 Pinelawn Road, Suite 207W  
Melville, NY 11747  
(516) 454-0750

Rochester Branch Office  
100 State Street, Suite 410  
Rochester, NY 14614  
(716) 263-6700

New York District Office  
26 Federal Plaza, Room 31-00  
New York, NY 10278  
(212) 264-2454  
Use the same number for FTS

Buffalo District Office  
Federal Building  
111 West Huron Street, Room 1311  
Buffalo, NY 14202  
(716) 551-4301

# Appendix IV: Agency Regional and Local Office Addresses

Use the same number for FTS

(New Jersey, New York, Puerto Rico, Virgin Islands)

26 Federal Plaza, Suite 3108  
New York, NY 10278  
(212) 264-1450

Use the same number for FTS

Elmira Branch Office  
333 E. Water Street, 4th Floor  
Elmira, NY 14901  
(607) 734-8130

Syracuse District Office  
401 South Salina Street, 5th Floor  
Syracuse, NY 13202  
(315) 471-9393

Use the same number for FTS

## Region III

West Virginia District Office  
West Pike Street, Suite 330  
Clarksburg, WV 26301  
(304) 623-5631

Use the same number for FTS

Wilkes-Barre Branch Office  
7 North Wilkes-Barre Boulevard  
Wilkes-Barre, PA 18702  
(570) 826-6497

Harrisburgh Branch Office  
100 Chestnut Street, Room 108  
Harrisburg, PA 17101  
(717) 782-3840

(Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)

900 Market Street, 5th Floor  
Philadelphia, PA 19107  
(215) 580-2SBA

Use the same number for FTS

Philadelphia District Office  
900 Market Street, 5th Floor  
Philadelphia, PA 19406  
(215) 580-2SBA

Use the same number for FTS

Delaware District Office  
824 N. Market Street, Suite 610  
Wilmington, DE 19801  
(302) 573-6294

Washington District Office  
1110 Vermont Avenue, N.W., Suite 900  
Washington, DC 20005  
(202) 606-4000

Use the same number for FTS

Richmond District Office  
400 North 8th Street, Suite 1150  
Richmond, VA 23240-0126  
(804) 771-2400

Use the same number for FTS

Baltimore District Office  
10 South Howard Street, Suite 6220  
Baltimore, MD 21201-2565  
(410) 962-4392

Use the same number for FTS

Pittsburgh District Office  
1000 Liberty Avenue, Room 1128  
Pittsburgh, PA 15222  
(412) 395-6560

Use the same number for FTS

## Region IV

Georgia District Office  
1720 Peachtree Road, N.W., 6th Floor  
Atlanta, GA 30309  
(404) 347-4147

Use the same number for FTS

North Florida District Office  
7825 Baymeadows Way, Suite 100-B  
Jacksonville, FL 32256-7504  
(904) 443-1900

Use the same number for FTS

South Florida District Office  
100 S. Biscayne Boulevard, 7th Floor  
Miami, FL 33131  
(305) 536-5521

Use the same number for FTS

Gulfport Branch Office  
2909 13th Street, Suite 203  
Gulfport, MS 39501  
(228) 863-4449

North Carolina District Office  
200 North College Street, Suite A2015  
Charlotte, NC 28202-2137  
(704) 344-6563

Use the same number for FTS

Alabama District Office  
2121 8th Avenue North, Suite 200  
Birmingham, AL 35203-2398  
(205) 731-1344

Use the same number for FTS

South Carolina District Office  
1835 Assembly Street, Room 358  
Columbia, SC 29201  
(803) 765-5377

Use the same number for FTS

Kentucky District Office  
Federal Building  
600 Martin Luther King, Jr. Place, Room 188  
Louisville, KY 40202  
(502) 582-5971

Use the same number for FTS

(Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

1720 Peachtree Road, N.W., Suite 496  
Atlanta, GA 30309-2482  
(404) 347-4999

Use the same number for FTS

Tennessee District Office  
50 Vantage Way, Suite 201  
Nashville, TN 37228-1500  
(615) 736-5881

Use the same number for FTS

Mississippi District Office  
101 West Capitol Street, Suite 400  
Jackson, MS 39201  
(601) 965-4378

Use the same number for FTS

## Region IX

Guama Branch Office  
400 Route 8  
Mongmong, GU 96927  
(671) 472-7419

Use the same number for FTS

(Arizona, California, Hawaii, Nevada, Pacific Islands)

455 Market Street, Suite 2200  
San Francisco, CA 94105  
(415) 744-2118

Use the same number for FTS

Sacramento District Office  
660 J Street, Suite 215  
Sacramento, CA 95814  
(916) 498-6410

Use the same number for FTS

San Diego District Office  
550 West "C" Street, Suite 550  
San Diego, CA 92101-3540  
(619) 557-7250

Use the same number for FTS

Santa Ana District Office  
200 West Santa Ana Boulevard, Suite 700  
Santa Ana, CA 92701  
(714) 550-7420

Use the same number for FTS

San Francisco District Office  
455 Market Street, 6th Floor  
San Francisco, CA 94105  
(415) 744-6820

Use the same number for FTS

Arizona District Office  
2828 North Central Avenue, Suite 800  
Phoenix, AZ 85004-1093  
(602) 745-7200

Use the same number for FTS

Nevada District Office  
300 Las Vegas Boulevard South, Suite 1100  
Las Vegas, NV 89101  
(702) 388-6611

Use the same number for FTS

Fresno District Office  
2719 North Air Fresno Drive, Suite 200  
Fresno, CA 93727-1547  
(559) 487-5791

Use the same number for FTS

Hawaii District Office  
300 Ala Moana Boulevard, Room 2-235  
Honolulu, HI 96850-4981  
(808) 541-2990

Use the same number for FTS

Los Angeles District Office  
330 North Brand Boulevard, Suite 200

# Appendix IV: Agency Regional and Local Office Addresses

Glendale, CA 91203-2304  
(818) 552-3210

Use the same number for FTS

## Region V

Minnesota District Office  
100 North 6th Street, Suite 610  
Minneapolis, MN 55403-1563  
(612) 370-2324

Use the same number for FTS

Indiana District Office  
429 North Pennsylvania Street, Suite 100  
Indianapolis, IN 46204-1873  
(317) 226-7272

Use the same number for FTS

Columbus District Office  
2 Nationwide Plaza, Suite 1400  
Columbus, OH 43215-2592  
(614) 469-6860

Use the same number for FTS

Illinois District Office  
500 West Madison Street, Room 1250  
Chicago, IL 60661-2511  
(312) 353-4528

Use the same number for FTS

Cincinnati Branch Office  
525 Vine Street, Suite 870  
Cincinnati, OH 45202  
(513) 684-2814

Wisconsin District-Milwaukee Office  
310 W. Wisconsin Avenue, Suite 400  
Milwaukee, WI 53202  
(414) 297-3941

Marquette Branch Office  
501 South Front Street  
Marquette, MI 49855  
(906) 225-1108

Springfield Branch Office  
511 W. Capitol Avenue, Suite 302  
Springfield, IL 62704  
(217) 492-4416

Michigan District Office  
477 Michigan Avenue, Room 515  
Detroit, MI 48226  
(313) 226-6075

Use the same number for FTS

Cleveland District Office  
1111 Superior Avenue, Suite 630  
Cleveland, OH 44114-2507  
(216) 522-4180

Use the same number for FTS

Wisconsin District-Madison Office  
740 Regent Street, Suite 100  
Madison, WI 53715  
(608) 264-5263

Use the same number for FTS

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
Wisconsin)  
Federal Building  
500 West Madison Street, Suite 1240

Chicago, IL 60661-2511  
(312) 353-0357

Use the same number for FTS

## Region VI

Wichita District Office  
100 East English Street, Suite 510  
Wichita, KS 67202  
(316) 269-6616

Use the same number for FTS

Corpus Christi Branch Office  
606 N. Carancahua, Suite 1200  
Corpus Christi, TX 78476  
(361) 888-3331

Arkansas District Office  
2120 Riverfront Drive, Suite 100  
Little Rock, AR 72202  
(501) 324-5871

Use the same number for FTS

Springfield Branch Office  
620 S. Glenstone Street, Suite 110  
Springfield, MO 65802  
(417) 864-7670

## Region VII

Des Moines District Office  
New Federal Building  
210 Walnut Street, Room 749  
Des Moines, IA 50309  
(515) 284-4422

Use the same number for FTS

San Antonio District Office  
727 East Durango, Room A-527  
San Antonio, TX 78206  
(210) 472-5900

Use the same number for FTS

Cedar Rapids District Office  
215 4th Avenue, S.E., Suite 200  
Cedar Rapids, IA 52401-1806  
(319) 362-6405

Use the same number for FTS

New Mexico District Office  
625 Silver Avenue, S.W., Suite 320  
Albuquerque, NM 87102  
(505) 346-7909

Use the same number for FTS

Houston District Office  
9301 Southwest Freeway, Suite 550  
Houston, TX 77074-1591  
(713) 773-6500

Use the same number for FTS

Louisiana District Office  
365 Canal Street, Suite 2250  
New Orleans, LA 70130  
(504) 589-6685

Use the same number for FTS

El Paso District Office  
10737 Gateway West, Suite 320  
El Paso, TX 79935  
(915) 633-7001

Use the same number for FTS

(Arkansas, Louisiana, New Mexico, Oklahoma,  
Texas)

4300 Amon Carter Boulevard, Suite 108  
Ft. Worth, TX 76155  
(817) 885-6581

Use the same number for FTS

Oklahoma District Office  
210 Park Avenue, Suite 1300  
Oklahoma City, OK 73102  
(405) 231-5521

Use the same number for FTS

Dallas/Fort Worth District Office  
4300 Amon Center Boulevard, Suite 114  
Ft. Worth, TX 76155  
(817) 885-6500

Use the same number for FTS

Lower Rio Grande Valley District Office  
222 East Van Buren Street, Room 500  
Harlingen, TX 78550  
(956) 427-8533

Use the same number for FTS

Nebraska District Office  
11145 Mill Valley Road  
Omaha, NE 68154  
(402) 221-4691

Use the same number for FTS

Kansas City District Office  
323 West 8th Street, Suite 501  
Kansas City, MO 64105  
(816) 374-6708

Use the same number for FTS

Lubbock District Office  
1205 Texas Avenue  
Lubbock, TX 79401-2693  
(806) 472-7462

Use the same number for FTS

St. Louis District Office  
815 Olive Street, Room 242  
St. Louis, MO 63101  
(314) 539-6600

Use the same number for FTS

## Region VII

(Iowa, Kansas, Missouri, Nebraska)  
323 West 8th Street, Suite 307  
Kansas City, MO 64105-1500  
(816) 374-6380

Use the same number for FTS

## Region VIII

Montana District Office  
301 South Park, Room 334  
Helena, MT 59626  
(406) 441-1081

Use the same number for FTS

Utah District Office  
Federal Building  
125 South State Street, Room 2231  
Salt Lake City, UT 84138-1195  
(801) 524-5804

Use the same number for FTS



# Appendix IV: Agency Regional and Local Office Addresses

(Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)

721 19th Street, Suite 400  
Denver, CO 80202-2599

(303) 844-0500

Use the same number for FTS

Wyoming District Office

Federal Building  
100 East B Street, Room 4001  
Casper, WY 82602-2839

(307) 261-6500

Use the same number for FTS

North Dakota District Office

Federal Building  
657 2nd Avenue, North, Room 219  
Fargo, ND 58108-3086

(701) 239-5131

Use the same number for FTS

South Dakota District Office

110 South Phillips Avenue, Suite 200  
Sioux Falls, SD 57104-6727

(605) 330-4243

Use the same number for FTS

Coloradom District Office

721 19th Street, Room 426  
Denver, CO 80202-2599

(303) 844-2607

Use the same number for FTS

## Region X

Boise District Office

1020 Main Street, Suite 290  
Boise, ID 83702-5745

(208) 334-1696

Use the same number for FTS

(Alaska, Idaho, Oregon, Washington)

1200 6th Avenue, Suite 1805  
Seattle, WA 98101-1128

(206) 553-5676

Use the same number for FTS

Spokane District Office

801 West Riverside Avenue, Suite 200  
Spokane, WA 99201-0901

(509) 353-2809

Use the same number for FTS

Alaska District Office

222 West 8th Avenue, Room A36  
Anchorage, AK 99513-7559

(907) 271-4022

Use the same number for FTS

Portland District Office

1515 S.W. Fifth Avenue, Suite 1050  
Portland, OR 97201-5494

(503) 326-2682

Use the same number for FTS

Seattle District Office

1200 6th Avenue, Suite 1700  
Seattle, WA 98101-1128

(206) 553-7310

Use the same number for FTS

## DEPARTMENT OF VETERANS AFFAIRS

### NATIONAL CEMETERY SYSTEM

Robert A. Wilk, Director  
National Cemetery Area Office  
730 Peachtree Street, N.E.  
Atlanta, GA 30365  
(404) 347-2121

Mr. Dan Banz, Supervisor  
Memorail Programs Processing Site  
Fort Leavenworth National Cemetery  
395 Biddle Boulevard  
Ft. Leavenworth, KS 66077-2307

Ms. Gina White, Supervisor  
Memorial Programs Processing Site  
Department of Veterans Affairs (403A2)  
National Cemetery Administration  
810 Vermont Avenue, N.W.  
Washington, DC 20420  
(202) 565-4257

Mr. Don Murphy, Supervisor  
Memorial Programs Processing Site  
Nashville National Cemetery  
1420 Gallatin Road  
Madison, TN 37115-4619  
(615) 736-2840

Patrick J. Gartland, Director  
National Cemetery Area Office  
P.O. Box 11720  
Philadelphia, PA 19101  
(215) 381-3787

Thomas G. Balsanek, Director  
National Cemetery Area Office  
P.O. Box 25126  
Denver, CO 80225  
(303) 914-5700

Mr. Wayne A. Simpson, Chief  
Centralized Contracting Division  
5101 Russell Road  
Quantico, VA 22134-3903  
(703) 441-3088

Mr. James Flanagan, Supervisor  
Memorial Programs Processing Site  
Indiantown Gap National Cemetery  
R.R. #2  
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Annville, PA 17003-9618

### VA HEALTH ADMINISTRATION CENTER

#### VETERANS MEDICAL FACILITIES

##### Alabama

VA Central Alabama Health Care System  
215 Perry Hill Road  
Montgomery, AL 36109-3798  
(334) 272-4670  
(700) 228-4115 FTS

VA Central Alabama Health Care System  
Kenneth Rufe, Acting Director

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Kenneth Ruyle, Director Acting  
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700 South 19th Street  
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VA Medical/Regional Office Center  
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##### California

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Vacant

VA Southern California System of Clinics West  
Los Angeles HCS  
Sepulveda, CA 91343-2099  
(818) 891-7711  
(818) 891-7711 FTS

Vacant

VA Southern California System of Clinics West  
Los Angeles HCS

# Appendix IV: Agency Regional and Local Office Addresses

11301 Wilshire Boulevard  
West Los Angeles, CA 90073-1002  
(310) 478-3711  
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Long Beach, CA 90822-5201  
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(700) 966-2611 FTS

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VA Palo Alto Health Care system  
Livermore Division  
Palo Alto Division  
Livermore, CA 94550  
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(700) 467-6489 FTS

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(415) 221-4810 FTS

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Palo Alto Division  
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San Diego, CA 92161-0001  
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(700) 897-3100 FTS

## Colorado

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Fort Lyon, CO 81038-5000  
(719) 384-3100

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(700) 322-3020 FTS

Kurt Schlegelmich, MD, Director  
Grand Junction, CO 81501-6499  
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(700) 322-0031 FTS

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Paul McCool

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West Haven Division  
West Spring Street  
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Paul McCool  
VA Connecticut Health Care System  
Newington Division  
West Haven Division  
55 Willard Avenue  
Newington, CT 06111  
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(700) 643-1631 FTS

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Dexter Dix, Director  
1601 Kirkwood Highway  
Wilmington, DE 19805  
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Sanford M. Garfunkel  
50 Irving Street, N.W.  
Washington, DC 20422  
(202) 745-8000  
(700) 921-8000 FTS

## Florida

ZEdward H. Seiler  
West Palm Beach, FL 33420-3207  
(561) 882-6700  
(561) 882-6700 FTS

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Bay Pines, FL 33744  
(813) 398-6661  
(700) 826-4011 FTS

VA North Florida and South Georgia HCS  
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Archer Road  
Gainesville, FL 32608-1197  
(325) 376-1611  
(700) 947-6113 FTS

Eldwood Headley, MD  
Lake City, FL 32055-5898  
(904) 755-3016  
(700) 947-2400 FTS

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1201 N.W. 16th Street  
Miami, FL 33125  
(305) 324-4455  
(700) 351-3111 FTS

Richard A. Silver  
Bruce B. Downs Boulevard  
Tampa, FL 33612  
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(700) 822-6011 FTS

## Georgia

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Augusta, GA 30904-6285  
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(700) 251-7000 FTS

James Trusley  
2460 Wrightsboro Road  
Dublin, GA 31021  
(912) 272-1210  
(700) 258-2000

Robert Perrault, Director  
1670 Clairmont Road  
Atlanta, GA 30033  
(404) 321-6111  
FTS (700) 248-6000

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Wayne C. Tippetts  
Fifth and Fort Streets  
Boise, ID 83702-4598  
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(700) 442-1000 FTS

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Indianapolis, IN 46202-2884  
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Vacant  
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Chicago, IL 60611  
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(312) 943-6600 FTS

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Danville, IL 61832-5198  
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(700) 951-4000 FTS

John J. DeNardo, Director  
Hines, IL 60141-5000  
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(700) 381-2500 FTS

VA Chicago Health Care System  
Vacant  
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Chicago, IL 60612  
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(700) 388-2000 FTS

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North Chicago, IL 60064  
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(700) 384-4700 FTS

Michael W. Murphy, Ph.D., Director  
VA Northern Indiana Health Care System  
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Fort Wayne, IN 46805-5100  
(219) 426-5431  
(700) 333-5300 FTS

Earl Falast, Director  
2401 West Main Street  
Marion, IL 62959

# Appendix IV: Agency Regional and Local Office Addresses

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(618) 997-5311  
(700) 276-0000 FTS

## **Kansas**

Kent Hill  
5500 East Kellogg  
Wichita, KS 67218  
(316) 685-2221  
(700) 752-2221 FTS

## **Kentucky**

Helen K. Cornish, Director  
Leestown Road  
Lexington, KY 40511-1093  
(606) 233-4511  
(700) 352-4000 FTS

Larry Sander  
800 Zorn Avenue  
Louisville, KY 40206-1499  
(502) 895-3401  
(700) 548-5000 FTS

## **Louisiana**

Allen S. Goss, Director  
Shreveport Highway  
Alexandria, LA 71301  
(318) 473-0010  
(700) 497-0251 FTS

John D. Church, Jr.  
1601 Perdido Street  
New Orleans, LA 70146  
(504) 568-0811  
(700) 682-5811 FTS

Billy Valentine  
510 East Stoner Avenue  
Shreveport, LA 71101-4295  
(318) 221-8411  
(700) 493-6411 FTS

## **Maine**

John "Jack" Sims, Director  
Route 17 East  
Togus, ME 04330  
(207) 623-8411  
(700) 833-5000 FTS

## **Maryland**

Dennis Smith, Director  
VA Maryland Health Care System  
Baltimore Division, Ft. Howard Division, Perry  
Point, Division  
3900 Lock Raven Boulevard  
Baltimore, MD 21201  
(410) 605-7000  
(700) 580-5261 FTS

## **Massachusetts**

Michael Lawson  
1400 Veterans of Foreign Wars Parkway  
West Roxbury, MA 02401  
(508) 583-4500  
(700) 885-1000 FTS

William Conte, Director  
200 Spring Road

Bedford, MA 01730  
(617) 275-7500  
(700) 687-2000 FTS

Michael Lawson  
150 South Huntington Avenue  
Boston, MA 02130  
(617) 232-9500  
(700) 839-5284 FTS

Bruce A. Gordon, Director  
N. Main Street  
Northampton, MA 01060-1288  
(413) 584-4040  
(700) 839-2990 FTS

Michael Lawson, Director  
940 Belmont Street  
Brockton, MA 02401  
(508) 583-4500  
(700) 885-1000 FTS

## **Michigan**

Thomas Arnold  
Iron Mountain, MI 49801  
(906) 779-3150  
(700) 779-3300 FTS

Carles B. Lott, Jr., Director  
Detroit, MI 48201-1932  
(313) 576-1000

Adam Tyllus, Acting Director  
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Saginaw, MI 48602-5298  
(517) 793-2340  
(700) 552-2340 FTS

James Rosenborough, Director  
2215 Fuller Road  
Ann Arbor, MI 48105-2300  
(313) 769-7100  
(700) 374-5100 FTS

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5500 Armstrong Road  
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(616) 966-5600  
(700) 974-5600 FTS

## **Minnesota**

Charles A. Milbrandt, Director  
54th Street and 48th Avenue, South  
Minneapolis, MN 55417  
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(700) 780-2000 FTS

Barry T. Bahl  
8th Street, North 44th Avenue  
St. Cloud, MN 56303  
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## **Mississippi**

Julie Catellier  
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Biloxi, MS 39531  
(601) 388-5541  
(700) 499-5541 FTS

Richard Miller, Director  
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Jackson, MS 39216  
(601) 362-4471  
(601) 362-4471 FTS

## **Missouri**

Gary Campbell  
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(700) 276-6020 FTS

Nancy Arnold, R.N.  
Highway 67 North  
Poplar Bluff, MO 63901  
(573) 686-4151  
(700) 411-4200 FTS

Linda Kurz, Director  
915 North Grand Boulevard  
St. Louis, MO 63106  
(314) 652-4100  
(700) 278-4100 FTS

Linda Kurz, Director (JB)  
Jefferson Barracks  
St. Louis, MO 63125  
(314) 487-0400  
(700) 280-0400 FTS

Hugh F. Doran  
4801 Linwood Boulevard  
Kansas City, MO 64128  
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(700) 754-1700 FTS

## **Montana**

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(700) 584-2000 FTS

Joseph M. Underkofler, Director  
Wm. Street and Highway 12 West  
Fort Harrison, MT 59636-1500  
(406) 447-7900  
(700) 585-7410 FTS

## **Nebraska**

(VA Greater Nebraska Health Care System)  
David Aspen, Director  
2201 North Broad Well  
Grand Island, NE 68803-2153  
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(700) 864-2660 FTS

600 South 70th Street  
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(700) 865-6011 FTS

John J. Phillips, Director  
4101 Woolworth Avenue  
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# Appendix IV: Agency Regional and Local Office Addresses

<b>Nevada</b>		
Ramon J. Reeve, Director 1703 Charleston Boulevard Las Vegas, NV 89102-2395 (702) 385-3700 (702) 385-3700 FTS	John Donnellan, Jr., Director First Avenue at East 24th Street New York, NY 10010 (212) 951-5959 (700) 686-7500 FTS	(700) 699-7000 FTS
Gary Whitfield, Director 1000 Locust Street Reno, NV 89520-0111 (702) 786-7200 (700) 520-1379 FTS	W. David Smith, Director Ft. Hill Avenue Canandaigua, NY 14424 (716) 394-2000 (700) 952-3000 FTS	<b>North Dakota</b>
<b>New Hampshire - Manchester</b>	Mary A. Dowling Long Island-Middleville Road Northport, NY 11768 (516) 261-4400 (700) 663-2000 FTS	Fargo, ND 58102 (701) 232-3241 (700) 783-3241 FTS
Vacant 718 Smyth Road Manchester, NH 02104 (603) 624-4366 (700) 837-6011 FTS	Michael Sabo, Director VA Hudson Valley Health Care System Castle Point, NY 12511 (914) 831-2000 (700) 882-2000 FTS	Douglas Kenyon, Director 2101 Elm Street
<b>New Jersey</b>	Maryanne Musumeci, Director 130 West Kingsbridge Road Bronx, NY 10468 (718) 584-9000 (700) 884-4000 FTS	<b>Ohio</b>
VA New Jersey Health Care System Valley and Knollcroft Road Lyons, NJ 07939 (201) 647-0180 (700) 348-4180 FTS	William Feeley Western NY Healthcare System Buffalo Division Batavia Division	Gary Nugent, Director 3200 Vine Street Cincinnati, OH 45220 (513) 475-6300 (700) 773-4596 FTS
VA New Jersey Health Care System Kenneth Mizrach, Director Tremont Avenue and South Center East Orange, NJ 07018 (201) 676-1000 (700) 342-1000 FTS	Vacant Medical Center Argonne Avenue Bath, NY 14810 (607) 776-2111 (700) 882-1111 FTS	Steve Cohen, MD., Director Medical Center Nursing Home and Domiciliary 4100 West 3rd Street Dayton, OH 45428 (513) 262-2170 (700) 950-2611 FTS
<b>New Mexico</b>	John J. Donnellan 800 Poly Place Brooklyn, NY 11209 (718) 630-3521 (700) 442-3500 FTS	William Montaque, Director 10701 East Boulevard Cleveland, OH 44106-3800 (216) 791-3800 (700) 290-3800 FTS
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<b>New York</b>	James A. Christian, Director Asheville, NC 28805 (704) 299-7431 (700) 875-5011 FTS	<b>Oklahoma</b>
3495 Bailey Avenue Buffalo, NY 14215 (716) 834-9200 (700) 432-2011 FTS	Vacant 1601 Brenner Avenue Salisbury, NC 28144 (704) 638-9000 (700) 699-2000 FTS	Steve J. Gentling, Director 921 N.E. 13th Street Oklahoma City, OK 73104 (405) 270-0501 (700) 743-3011 FTS
John J. Donnellan, Jr. 113 Holland Avenue Albany, NY 12208 (518) 462-3311 (700) 641-3321 FTS	Micheal Phaup 508 Fulton Street Durham, NC 27705 (919) 286-0411 (700) 671-6011 FTS	Alen Colston, Director 125 South Main Street Muskogee, OK 74401 (918) 683-3261 (700) 745-3011 FTS
Philip Thomas Irving Avenue at University Place Syracuse, NY 13210 (315) 477-7461 (700) 203-2000 FTS	Timothy May 2300 Ramsey Street Fayetteville, NC 28301 (910) 822-7059	<b>Oregon</b>
Redfield Parkway Batavia, NY 14020 (716) 343-7500 (700) 546-7100 FTS		George Maxwell, Director New Garden Valley Boulevard Roseburg, OR 97470-6153 (541) 440-1000 (700) 422-4411 FTS
Old Albany Post Road Montrose, NY 10548 (914) 737-1216 (700) 887-2011 FTS		James Tuchs Schmidt., MD, Director 3710 S.W., U.S. Veterans Hospital Road Portland, OR 97207-1034 (503) 220-8262 (700) 424-7300 FTS
		George H. Andries, Director Domiciliary White City, OR 97503-3207 (541) 826-2111 (700) 434-8000 FTS
		<b>Pennsylvania</b>

# Appendix IV: Agency Regional and Local Office Addresses

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(700) 481-6007 FTS

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(700) 721-4781 FTS

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Thomas A. Cappello, Director  
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(700) 688-6000 FTS

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Erie, PA 16504  
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## **Puerto Rico**

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Rio Piedras, PR 00927-5800  
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(787) 766-5564 FTS

## **Rhode Island**

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380 Westminster Mall  
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## **South Carolina**

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Brian Heckert, Director  
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## **South Dakota**

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(615) 327-4751 FTS

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# Appendix IV: Agency Regional and Local Office Addresses

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VA Office

# Appendix IV: Agency Regional and Local Office Addresses

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Miami, FL 33130

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St. Petersburg, FL 33708

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Jacksonville, FL 32206

VA Office  
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John F. Kennedy Federal Building  
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Boston, MA 02203-0393

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Lincoln, NE 68516-4198

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275 Chestnut Street  
Manchester, NH 03101-2489

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20 Washington Place  
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## New Mexico

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Dennis Chavez Federal Building  
U.S. Courthouse  
500 Gold Avenue, S.W.  
Albuquerque, NM 87102-3118

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Leo W. O'Brien Federal Building  
Clinton Avenue and N. Pearl Street  
Albany, NY 12207

VA Regional Office  
245 West Houston Street  
New York, NY 10014-4805

VA Office  
344 West Genesee Street  
Syracuse, NY 13202

VA Regional Office  
Federal Building  
111 West Huron Street  
Buffalo, NY 14202-2368

VA Office  
Federal Office Building and Courthouse  
100 State Street  
Rochester, NY 14614  
(800) 827-0619

## North Carolina

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Winston-Salem, NC 27155-1000

## North Dakota

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2101 Elm Street  
Fargo, ND 58102-2417

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Anthony J. Celebrezze Federal Building  
1240 East Ninth Street  
Cleveland, OH 44199-2001

VA Office  
Federal Building, Room 309  
200 North High Street  
Columbus, OH 43215

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Cincinnati, OH 45203-2001

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## Appendix IV: Agency Regional and Local Office Addresses

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VA Regional Office  
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VA Regional Office & Outpatient Clinic  
Manila Regional Office  
FPO, AP 96515-1100

### Puerto Rico

VA Regional Office  
U.S. Courthouse and Federal Building  
Carlos E. Chardon Street  
Hato Rey  
GPO Box 364867  
San Juan, PR 00936-4867  
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### Rhode Island

VA Regional Office  
380 Westminster Mall  
Providence, RI 02903-3246

### South Carolina

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Columbia, SC 29201-2495

### South Dakota

VA Medical and Regional Office Center  
P.O. Box 5046  
2501 West 22nd Street  
Sioux Falls, SD 57117-5046

### Tennessee

Regional Office  
U.S. Courthouse Federal Office Building  
110 9th Avenue, South  
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### Texas

VA Regional Office  
6900 Almeda Road  
Houston, TX 77030-4200

VA Office  
4902 34th Street, Suite 10, Room 134  
Lubbock, TX 79410-0001

VA Office  
U.S. Courthouse and Federal Office Building  
1114 Commerce Street  
Dallas, TX 75242

VA Office  
3601 Bluemel Road  
San Antonio, TX 78229-2041

VA Regional Office  
One Veteran Plaza  
701 Clay Avenue  
Waco, TX 76799-0001

### Utah

VA Regional Office  
Federal Building  
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125 South State Street  
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### Vermont

VA Medical and Regional Office Center  
215 N. Main Street  
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### Virginia

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210 Franklin Road, S.W.  
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### Washington

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915 2nd Avenue  
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### West Virginia

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The Veterans Benefits Administration provides toll-free telephone service throughout the 50 States, Washington, DC and Puerto Rico. The toll-free telephone number is (800) 827-1000.

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# Appendix IV: Agency Regional and Local Office Addresses

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Richard D. Green, Acting Director

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### John K. Mason

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## Headquarters Office

Michael H. Trujillo, M.D., M.P.H., Director  
Indian Health Service  
5600 Fishers Lane, Room 6-05  
Rockville, MD 20857  
(301) 443-1083

## Headquarters West Office

Duane L. Jeanotte, (Acting) Director  
Headquarters West Indian Health Service  
5300 Homestead Road, N.E.  
Albuquerque, NM 87110  
(505) 248-4102

## Illinois

Raymond V. Mlecko  
300 South Riverside Plaza, Suite 550 South  
Chicago, IL 60606  
(312) 353-7379

## Kansas

W. Michael Rogers  
11630 West 80th Street  
Lenexa, KS 66285-5905  
(913) 752-2144

## Louisiana

James Gamet  
4298 Elysian Fields Avenue  
New Orleans, LA 70122  
(504) 589-2401, Ext. 124

## Maryland

Elaine K. Cole  
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Baltimore, MD 21201  
(410) 962-4012

## Massachusetts

John R. Marzilli  
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Stoneham, MA 02180  
(617) 279-1675, Ext. 155

## Michigan

Vacant  
1560 East Jefferson Avenue  
Detroit, MI 48207  
(313) 226-6260, Ext. 101

## Minnesota

James Rahto  
240 Hennepin Avenue  
Minneapolis, MN 55401-1912  
(612) 334-4100, Ext. 121

## Nashville Area (Texas, Louisiana, Missouri, Arkansas, Mississippi, Alabama, Illinois, Indiana, Ohio, Kentucky, Tennessee, Georgia, Florida, South Carolina, North Carolina, Virginia, West Virginia, Maryland, Delaware, Pennsylvania, New York, New Jersey, Co

Michael Tiger, Director  
Nashville Area Indian Health Service  
711 Stewarts Ferry Pike  
Nashville, TN 37214-2634  
(615) 736-2400

## Navajo Area (Arizona, New Mexico, Utah, Colorado)

John Hubbard, Director  
Navajo Area Indian Health Service

# Appendix IV: Agency Regional and Local Office Addresses

P.O. Box 9020  
Window Rock, AZ 86515-9020  
(520) 871-5811

## New Jersey

Doug Ellsworth  
Waterview Corporate Center  
10 Waterview Boulevard, 3rd Floor  
Parsippany, NJ 07054  
(973) 331-2901

## New York

Brenda Holman  
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Brooklyn, NY 11232-1593  
(718) 340-7000, Ext. 5301

Vacant  
599 Delaware Avenue  
Buffalo, NY 14202  
(716) 551-4461

## Ohio

Vacant  
1141 Central Parkway  
Cincinnati, OH 45202-1097  
(513) 684-3504

## Oklahoma City Area (Oklahoma, Kansas)

Robert Harry, DDS., Director  
Oklahoma City Area Indian Health Service  
3625 N.W. 56th Street  
5 Corporate Plaza  
Oklahoma City, OK 73112  
(405) 951-3768

## Pennsylvania

Diana Kolaitis  
U.S. Customhouse, Room 900  
2nd and Chestnut Street  
Philadelphia, PA 19106  
(215) 597-4390, Ext. 4200

## Phoenix Area (Nevada, Arizona, Utah)

Don Davis, Director  
Phoenix Area Indian Health Service  
3738 North 16th Street, Suite A  
Phoenix, AZ 85016-5981  
(602) 640-2052

## Portland Area (Oregon, Washington, Idaho)

Joyce Reyes, Acting Director  
Portland Area Indian Health Service  
1220 S.W. Third Avenue, Room 476  
Portland, OR 97204-2892  
(503) 326-2020

## Puerto Rico

Samuel Jones  
466 Fernandez Juncos Avenue  
San Juan, PR 00901-3223  
(787) 729-6842

## Tennessee

Raymond K. Hedblad  
297 Plus Park Boulevard  
Nashville, TN 37217

(615) 781-5392, Ext. 128

## Texas

Joseph R. Baca  
3310 Live Oak Street  
Dallas, TX 75204  
(214) 655-5315, Ext 302

## Tucson Area (Arizona)

Richard Ramirez, Acting Director  
Office of Health Program Research &  
Development Indian Health Service  
7900 South "J" Stock Road  
Tucson, AZ 85746-9352  
(520) 295-2406

## Washington

Roger L. Lowell  
P.O. Box 3012  
Federal Office Building  
22201 - 23rd Drive, S.E.  
Bothell, WA 98041-3012  
(425) 483-4950

## OFFICE OF THE SECRETARY

### RESEARCH HEADQUARTERS

#### Region I

(Connecticut, Maine, Massachusetts, New  
Hampshire, Rhode Island, Vermont)  
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John F. Kennedy Federal Building  
Government Center  
Boston, MA 02203  
(617) 565-1500

#### Region II

(New York, New Jersey, Puerto Rico, Virgin  
Islands)  
Anthony Marra  
26 Federal Plaza, Room 3835  
New York, NY 10278  
(212) 264-4600

#### Region III

(Delaware, District of Columbia, Maryland,  
Pennsylvania, Virginia, West Virginia)  
James Mengel  
3535 Market Street, Room 11480  
Gateway Building  
Philadelphia, PA 19104  
(215) 596-6492

#### Region IV

(Alabama, Florida, Georgia, Kentucky,  
Mississippi, North Carolina, South Carolina,  
Tennessee)  
Jim Brannon  
101 Marietta Tower, Suite 1515  
Atlanta, GA 30323  
(404) 331-2442

#### Region IX

(American Samoa, Arizona, California, Guam,  
Hawaii, Nevada, Northern Mariana Islands, Trust

Territories of the Pacific Islands)  
Emory Lee  
Federal Office Building  
50 United Nations Plaza, Room 431  
San Francisco, CA 94102  
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#### Region V

(Illinois, Indiana, Michigan, Minnesota, Ohio,  
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Suzanne Krohn  
105 West Adams, 23rd Floor  
Chicago, IL 60603  
(312) 353-5160

#### Region VI

(Arkansas, Louisiana, New Mexico, Oklahoma,  
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Don Perkins  
1301 Young Street, Suite 1124  
Dallas, TX 75202  
(214) 767-3301

#### Region VII

(Iowa, Kansas, Missouri, Nebraska)  
Bobbie Mowery  
601 East 12th Street, Room 210  
Kansas City, MO 64106  
(816) 426-2821

#### Region VIII

(Colorado, Montana, North Dakota, South Dakota,  
Utah, Wyoming)  
Paul Denham  
Room 325, Federal Building  
1961 Stout Street  
Denver, CO 80294-3538  
(303) 844-3372

#### Region X

(Alaska, Idaho, Oregon, Washington)  
Elizabeth G. Healy  
2201 Sixth Avenue, Room 1208  
Seattle, WA 98121  
(206) 615-2010

## CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

### Alabama

Nancy Reeder, Director  
Medical Forum  
950 22nd Street, North, Suite 428  
Birmingham, AL 35203  
(205) 731-0027  
(205) 731-0031 FAX

### Alaska

Billy Joe Caldwell, Director  
Jackson Federal Building  
915 Second Avenue, Suite 3190  
Seattle, WA 98174-1103  
(206) 220-7736  
(206) 553-4415 FAX

### Atlantic Cluster



# Appendix IV: Agency Regional and Local Office Addresses

---

## (CT,DE,MA,MD,ME,NH,NJ,NY,PA,PR,RI,VT)

Rocco Gaudio, Director  
801 Arch Street, Suite 103  
Philadelphia, PA 19107-2416  
(215) 597-9972  
(215) 597-4933 FAX

## Arizona

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522 North Central, Room 205A  
Phoenix, AZ 85004-2190  
(602) 379-4825  
(602) 379-4030 FAX

## Arkansas

Opal Sims, Director  
Federal Building, Room 2506  
700 West Capitol Street  
Little Rock, AR 72201  
(501) 324-5234  
(501) 324-6949 FAX

## California

Javies Lafianza, Director  
11150 W. Olympia Boulevard, Suite 170  
Los Angeles, CA 90064  
(310) 235-7421  
(310) 235-7422 FAX

## Colorado

James Byrnes Cacting, Director  
999 18th Street, Suite 1440 South  
Denver, CO 80202  
(303) 312-7950  
(303) 312-7954 FAX

## Connecticut

Romero A. Cherry, Director  
1 Commercial Plaza, 21st Floor  
Hartford, CT 06103-3510  
(860) 240-3237  
(860) 240-3238 FAX

## Delaware (and MD)

Jerry E. Yates, Director  
Fallen Federal Building  
31 Hopkins Plaza, Suite 400B  
Baltimore, MD 21201  
(410) 962-4443  
(410) 962-3201 FAX

## District of Columbia (and VA)

Thomas Harmon, Director  
400 North 8th Street, Suite 446  
P.O. Box 10066  
Richmond, VA 23240-1832  
(804) 771-2197  
(804) 771-2157 FAX

## Florida

Warren Smith, Director  
3165 McCrory Street, Suite 115  
Orlando, FL 32803-3750  
(407) 648-6117  
(407) 648-6116 FAX

## Georgia

Daryl James, Director  
75 Piedmont Avenue, N.E., Suite 982  
Atlanta, GA 30303-2587  
(404) 331-4646  
(404) 331-2898 FAX

## Hawaii/Guam/American Samoa

Lynn Dunn, Director  
Federal Building, Room 6213  
300 Ala Moana Boulevard  
Honolulu, HI 96850-0001  
(808) 541-2832  
(808) 541-3603 FAX

## Idaho

Van Kent Griffiths, Director  
304 North 8th Street, Room 344  
Boise, ID 83702-5835  
(208) 334-1707  
(208) 334-1421 FAX

## Illinois

Timothy Krieger, Director  
77 West Jackson Boulevard, Suite 442  
Chicago, IL 60604-3511  
(312) 353-3622  
(312) 353-5343 FAX

## Indiana

Thomas L. Haskett, Director  
46 East Ohio Street, Room 457  
Indianapolis, IN 46204-1922  
(317) 226-6724  
(317) 226-5437 FAX

## Iowa

Joel Weinstein, Director  
Federal Building, Room 917  
210 Walnut Street  
Des Moines, IA 50309-2195  
(515) 284-4816  
(515) 284-6640 FAX

## Kansas

James M. Byrnes, Director  
444 S.E. Quincy, Room 260  
Topeka, KS 66683-3572  
(785) 295-2540  
(785) 295-2596 FAX

## Kentucky

Betsy Irvin Wells, Director  
Federal Building, Room 372-D  
600 Martin Luther King Place  
Louisville, KY 40202-2230  
(502) 582-6384  
(502) 582-6386 FAX

## Louisiana

Willard L. Labrie, Director  
707 Florida Street, Suite 316  
Baton Rouge, LA 70801-1910  
(504) 389-0473  
(504) 389-0510 FAX

## Maine (NH and VT)

Mal Coles, Director (Acting)  
1 Pillsbury Street, Suite 201  
Concordina, MN 03301-3556  
(603) 225-1450  
(603) 225-1459 FAX

## Maryland (and DE)

Jerry E. Yates, Director  
Fallon Federal Building  
31 Hopkins Plaza, Suite 400B  
Baltimore, MD 21201-3418  
(410) 962-4443  
(410) 962-3201 FAX

## Massachusetts

Mal Coles, Director  
10 Causeway Street, Room 473  
Boston, MA 02222-1038  
(617) 565-7000  
(617) 565-7011 FAX

## Michigan

Mary Pfeiler, Director  
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Detroit, MI 48226-2799  
(313) 226-7848  
(313) 226-2557 FAX

## Minnesota

Robert Jackson, Director  
431 South 7th Street, Room 2480  
Minneapolis, MN 55415-1854  
(612) 334-4083  
(612) 334-4084 FAX

## Mississippi

Roktabija Abdul-Azeez, Director  
100 West Capitol Street, Room 1005A  
Jackson, MS 39269-1092  
(601) 965-5664  
(601) 965-4617 FAX

## Missouri

John J. McDonald, Director  
801 Walnut Street, Suite 504  
Kansas City, MO 64106-2009  
(816) 374-6300  
(816) 374-6305 FAX

## Montana

Junn Allen, Director  
Capitol One Center  
208 North Montana Avenue, Suite 206  
Helena, MT 59601-3837  
(406) 449-5404  
(406) 449-5412 FAX

## Nebraska

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100 Centennial Mall North  
Lincoln, NE 68508-3896  
(402) 437-5493  
(402) 437-5495 FAX

# Appendix IV: Agency Regional and Local Office Addresses

## **Nevada**

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Reno, NV 89502-5033  
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(702) 784-5026 FAX

## **New Hampshire (ME and VT)**

Mal Coles, Acting Director  
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Concord, NH 03301-3556  
(603) 225-1450  
(603) 225-1459 FAX

## **New Jersey**

Stanley Gorland, Director  
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Trenton, NJ 08609-1507  
(609) 989-2243  
(609) 989-2304 FAX

## **New Mexico**

Ernesto Ramos, Director  
120 S. Federal Place, Room 315  
Santa Fe, NM 87501-2026  
(505) 988-6577  
(505) 988-6661 FAX

## **New York**

Donna Smith, Director  
Leo O'Brien Federal Building  
Room 818, Clinton Avenue and Pearl Street  
Albany, NY 12207  
(518) 431-4150  
(518) 431-4154 FAX

## **North Carolina**

Robert L. Winston, Director  
300 Fayetteville Street Mall, Room 131  
Raleigh, NC 27601-1739  
(919) 856-4731  
(919) 856-4738 FAX

## **North Central Cluster**

(IA,IL,IN,MI,MN,NE,ND,OH,SD,WI)  
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77 West Jackson Boulevard, Suite 442  
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(312) 353-7705  
(312) 353-5343 FAX

## **North Dakota (and SD)**

John Pohlman, Director  
225 S. Pierre Street, Room 225  
Pierre, SD 57501-2452  
(605) 224-5996  
(605) 224-9201 FAX

## **Ohio**

Paul Schrader, Director  
51 North High Street, Suite 451  
Columbus, OH 43215  
(614) 469-7441  
(614) 469-2125 FAX

## **Oklahoma**

H. Zeke Rodriguez, Director  
215 Dean A. McGee, Suite 324  
Oklahoma City, OK 73102  
(405) 231-5201  
(405) 231-4329 FAX

## **Oregon**

Robin Sutherland, Director  
2010 Lloyd Center  
Portland, OR 97232  
(503) 231-2103  
(503) 231-2106 FAX

## **Pacific Cluster**

(AK,CA,HI,ID,MT,NV,OR,UT,WA,WY)  
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Presidio of San Francisco, CA 94129-0996  
(415) 561-5960  
(415) 561-5970 FAX

## **Pennsylvania**

Jorina Ahmed, Director  
Robert Nic Nix Federal Building  
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Philadelphia, PA 19107  
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(215) 597-2807 FAX

## **Puerto Rico/Virgin Island**

Loretta de Cordova, Director  
U.S. Federal Building, Suite 662  
150 Carlos Chardon Avenue  
Hato Rey, PR 00918-1737  
(787) 766-5314  
(787) 766-5189 FAX

## **Rhode Island**

Vincent Marzullo, Director  
400 Westminister Street, Room 203  
Providence, RI 02903  
(401) 528-5424  
(401) 528-5220 FAX

## **South Carolina**

Jerome J. Davis, Director  
1835 Assembly Street, Suite 872  
Columbia, SC 29201-2430  
(803) 765-5771  
(803) 765-5777 FAX

## **South Dakota (and ND)**

John Pohlman, Director  
225 S. Pierre Street, Room 225  
Pierre, SD 57501-2452  
(605) 224-5996  
(605) 224-9201 FAX

## **Southern Cluster**

(AL,DC,FL,GA,KY,MS,NC,SC,TN,VA,WV)  
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## **Southeast Cluster**

(AR,AZ,CO,KS,LS,MO,NM,OK,TX)  
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Dallas, TX 75201  
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(214) 880-7074 FAX

## **Tennessee**

Jerry Herman, Director  
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Nashville, TN 37228  
(615) 736-5561  
(615) 736-7937 FAX

## **Texas**

Jerry G. Thompson, Director  
903 San Jacinto, Suite 130  
Austin, TX 78701-3747  
(512) 916-5671  
(512) 916-5806 FAX

## **Utah**

Rick Crawford, Director  
350 South Main Street, Room 504  
Salt Lake City, UT 84101-2198  
(801) 524-5411  
(801) 524-3599 FAX

## **Vermont (ME and NH)**

Mal Coles, Director  
10 Causeway Street, Room 473  
Boston, MA 02222-1038  
(617) 565-7001  
(617) 565-7011 FAX

## **Virginia (and DC)**

Thomas Harmon, Director  
400 North 8th Street, Suite 446  
P.O. Box 10066  
Richmond, VA 23240-1832  
(804) 771-2197  
(804) 771-2157 FAX

## **Washington**

John Miller, Director  
Jackson Federal Building, Suite 3190  
915 Second Avenue  
Seattle, WA 98174-1103  
(206) 220-7745  
(206) 553-4415 FAX

## **West Virginia**

Judith Russell, Director  
10 Hale Street, Suite 203  
Charleston, WV 25301-1409  
(304) 347-5246  
(304) 347-5464 FAX

## **Wisconsin**

Linda Sunde, Director  
Henry Reuss Federal Plaza  
310 W. Wisconsin Avenue, Room 1240  
Milwaukee, WI 53203-2211  
(414) 297-1118

# Appendix IV: Agency Regional and Local Office Addresses

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(414) 297-1863 FAX

## Wyoming

Patrick Gallizzi, Director  
Federal Building, Room 1110  
2120 Capitol Avenue  
Cheyenne, WY 82001-3649  
(307) 772-2385  
(307) 772-2389 FAX

## SOCIAL SECURITY ADMINISTRATION

Social security offices are located throughout cities and towns in the United States. There are approximately 1,296 district and branch offices now open. To find the address of the office near you, consult the telephone directory under Social Security Adm

## DEPARTMENT OF HOMELAND SECURITY

### Region I

(Boston)  
Kenneth L. Horak  
Acting Regional Director  
99 High Street  
6th Floor  
Boston, MA 02110  
(617) 223-9540

### Region II

(New York)  
Joseph Picciano, Acting Regional Director  
26 Federal Plaza, Suite 1307  
New York, NY 10278-0002  
(212) 680-3600

### Region III

(Philadelphia)  
Patricia G. Arcuri,  
Acting Regional Director  
FEMA Region III  
615 Chestnut Street  
Philadelphia, PA 19106  
(215) 931-5608

### Region IV

(Atlanta)  
Kenneth O. Burris, Jr.,  
Regional Director,  
FEMA Region IV  
3003 Chamblee-Tucker Rd.  
Atlanta, GA 30341  
(770) 220-5200

### Region IX

(Oakland)  
Jeff Griffin  
Regional Director,  
FEMA Region IX  
1111 Broadway, Suite 1200  
Oakland, CA 94607  
(510) 627-7100

### Region V

(Chicago)  
Edward G. Buikema,  
Regional Director  
FEMA Region V  
536 S. Clark Street  
Chicago, IL 60605  
(312) 408-5500

### Region VI

(Dallas)  
Ron Castleman  
Regional Director  
Federal Regional Center  
800 North Loop 288  
Denton, TX 76201-3698  
(940) 898-5399

### Region VII

(Kansas City)  
Richard Hainje,  
Regional Director,  
FEMA Region VII  
2323 Grand Boulevard, Suite 900  
Kansas City, MO 64108-2670  
(816) 283-7061

### Region VIII

(Denver)  
David Maurstad,  
Regional Director,  
FEMA Region VIII  
Denver Federal Center, Building 710, Box 25267  
Denver, CO 80225-0267  
(303) 235-4800

### Region X

(Seattle)  
John Pennington,  
Regional Director,  
FEMA Region X  
Federal Regional Center  
130-228th Street, S.W.  
Bothell, WA 98021-9796  
(425) 487-4600



# APPENDIX V: SOURCES OF ADDITIONAL INFORMATION

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Additional information concerning Federal programs and services is available from the sources listed below. The information in this Appendix is in addition to that supplied in Appendix IV (Regional and Local Office Addresses) however; they are not the offices to which an applicant applies for an assistance program. If a potential applicant or information seeker is not certain which agency to contact, there are two types of organizations set up to help: The Federal Information Center Program and the Federal Executive Boards.

## FEDERAL CITIZEN INFORMATION CENTER PROGRAM

The Federal Citizen Information Center Program (FCIC) is a focal point for information about the Federal government. The FCIC assists people who have questions about Federal agencies, services, and programs, but do not know where to turn for an answer. FCIC information specialists either answer an inquirer's question directly, or perform the necessary research to locate and refer the inquirer to the expert best able to help. Telephone users may call the FCIC toll-free on (800) 688-9889 workdays between 9 a.m. and 8 p.m., Eastern Time. TTY users may call toll-free to the FCIC from anywhere in the U.S. by dialing (800) 326-2996.

## FEDERAL EXECUTIVE BOARDS

Federal Executive Boards (FEBs) are composed of heads of Federal field offices in the metropolitan area. The FEBs were established to improve internal Federal management practices, provide a central focus for Federal participation in civic affairs in major metropolitan centers of Federal activity, serve as a means for disseminating information within the Federal government and for promoting discussion of Federal policies and activities of importance to all Federal executives in the field. The FEBs carry out their functions under the supervision of the Office of Personnel Management (OPM). Federal Executive Associations, and Councils, have been locally organized in over 80 other metropolitan areas to perform functions similar to the Federal Executive Boards but on a lesser scale of organization and activity. For further information, contact the Assistant for Field Operations, Office of Personnel Management, Room 5524, 1900 E Street, NW., Washington, DC 20415-0001. Telephone: (202) 6061001.

### Albuquerque-Santa Fe, NM

(505) 262-6113

### Atlanta, GA

(404) 331-4400

### Baltimore, MD

(410) 962-4047

### Boston, MA

(617) 565-6769

### Buffalo, NY

(716) 551-5655

### Chicago, IL

(312) 353-6790

### Cincinnati, OH

(513) 684-2102

### Cleveland, OH

(216) 433-9460

### Dallas-Ft. Worth, TX

(214) 767-0767

### Denver, CO

(303) 676-7009

### Detroit, MI

(313) 226-3534

### Honolulu, HI

(808) 541-2637

### Houston, TX

(713) 209-4524

### Kansas City, MO

(913) 551-7100

### Los Angeles, CA

(562) 980-3445

### Miami, FL

(305) 536-4344

### New Orleans, LA

(504) 862-2066

### New York, NY

(212) 264-1890

### Newark, NJ

(973) 645-6217

### Oklahoma City, OK

(405) 231-4167

### Philadelphia, PA

(215) 597-2766

### Pittsburgh, PA

(412) 395-6607

### Portland, OR

(503) 326-2060

### St. Louis, MO

(314) 539-6312

### San Antonio, TX

(210) 229-4520

### San Francisco, CA

(510) 637-1103

### Seattle, WA

(206) 220-6171

### Twin Cities (Minneapolis-St. Paul), MN

(612) 725-3687

## U.S. GOVERNMENT BOOKSTORES

The Catalog of Federal Domestic Assistance may be purchased at any of the following 24 U.S. Government Bookstores. The price is \$80.00 per domestic subscription. An order for the Catalog must be accompanied by a check or money order made payable to the Superintendent of Documents. Payments may also be made using VISA, MasterCard, and Superintendent of Documents deposit account orders. All stores (except in Kansas City) are open Monday through Friday. The Kansas City location is open 7 days a week. (See Subscription Order Form in the back of the Catalog.) Contact the U.S. Government Bookstore nearest to you for more information.

**ATLANTA, GA**  
First Union Plaza  
999 Peachtree Street, NE  
Suite 120  
Atlanta, GA 30309-3964  
(404) 347-1900  
FAX (404) 347-1897

**BIRMINGHAM, AL**  
O'Neill Building  
2021 Third Avenue North  
Birmingham, AL 35203  
(205) 731-1056  
FAX (205) 731-3444

**BOSTON, MA**  
Thomas P. O'Neill Building  
10 Causeway Street  
Room 169  
Boston, MA 02222  
(617) 720-4180  
FAX (617) 720-5753

**CHICAGO, IL**  
One Congress Center  
401 South State Street  
Suite 124  
Chicago, IL 60605  
(312) 353-5133  
FAX (312) 353-1590

**CLEVELAND, OH**  
1240 E. 9th Street  
Room 1653, Federal Building  
Cleveland, OH 44199  
(216) 522-4922  
FAX (216) 522-4714

**COLUMBUS, OH**  
200 N. High Street  
Room 207, Federal Building  
Columbus, OH 43215  
(614) 469-6956  
FAX (614) 469-5374

**DALLAS, TX**  
1100 Commerce Street  
Room 1C50, Federal Building  
Dallas, TX 75242  
(214) 767-0076  
FAX (214) 767-3239

**DENVER, CO**  
1660 Wynkoop Street  
Suite 130  
Denver, CO 80202  
(303) 844-3964  
FAX (303) 844-4000

**DETROIT, MI**  
477 Michigan Avenue  
Suite 160, Federal Building  
Detroit, MI 48226  
(313) 226-7816  
FAX (313) 226-4698

**HOUSTON, TX**  
Texas Crude Building  
801 Travis Street

Suite 120  
Houston, TX 77002  
(713) 228-1187  
FAX (713) 228-1186

**JACKSONVILLE, FL**  
100 West Bay Street  
Suite 100  
Jacksonville, FL 32202  
(904) 353-0569  
FAX (904) 353-1280

**KANSAS CITY, MO**  
120 Bannister Mall  
5600 E. Bannister Road  
Kansas City, MO 64137  
(816) 765-2256  
FAX (816) 767-8233

**LAUREL, MD**  
Warehouse Sales Outlet  
8660 Cherry Lane  
Laurel, MD 20707  
(301) 953-7974 or (301) 792-0262  
FAX (301) 498-9109

**LOS ANGELES, CA**  
ARCO Plaza, C-Level  
505 S. Flower Street  
Los Angeles, CA 90071  
(213) 239-9844  
FAX (213) 239-9848

**MILWAUKEE, WI**  
310 W. Wisconsin Avenue  
Suite 150, Reuss Federal Building  
Milwaukee, WI 53203  
(414) 297-1304  
FAX (414) 297-1300

**NEW YORK, NY**  
26 Federal Plaza  
Room 1-120, Federal Building  
New York, NY 10278  
(212) 264-3825  
FAX (212) 264-9318

**PHILADELPHIA, PA**  
Robert Morris Building  
100 North 17th Street  
Philadelphia, PA 19103  
(215) 636-1900  
FAX (215) 636-1903

**PITTSBURGH, PA**  
1000 Liberty Avenue  
Room 118, Federal Building  
Pittsburgh, PA 15222  
(412) 395-5021  
FAX (412) 395-4547

**PORTLAND, OR**  
1305 SW First Avenue  
Portland, OR 97201-5801  
(503) 221-6217  
FAX (503) 225-0563

**PUEBLO, CO**  
Norwest Bank Building

201 West 8th Street  
Pueblo, CO 81003  
(719) 544-3142  
FAX (719) 544-6719

#### **SAN FRANCISCO, CA**

303 2nd Street  
Marathon Plaza, Room 141-S  
San Francisco, CA 94107  
(415) 512-2270  
FAX (415) 512-2276

#### **SEATTLE, WA**

915 Second Avenue  
Room 194, Federal Building  
Seattle, WA 98174  
(206) 553-4270  
FAX (206) 553-6717

#### **WASHINGTON, DC**

U.S. Government Printing Office  
710 North Capitol Street, NW  
Washington, DC 20401  
(202) 512-0132  
FAX (202) 512-1355

510 H Street, NW  
Washington, DC 20005  
(202) 653-5075  
FAX (202) 376-5055

#### **REFERENCE SOURCES**

##### **The Budget of the United States Government**

The Budget of the United States Government sets forth the President's comprehensive financial plan and indicates the President's priorities for the Federal government.

Information on programs by function, agency, and account, and detailed budget estimates is located in the Budget. Federal programs listed in the Catalog may be identified by the 11-digit budget account identification code listed in the Budget. These codes also appear in the Financial Information section of each Catalog program. A complete explanation of the identification code is provided in Appendix III of the Catalog (the Budget Functional Code Appendix). The Budget may be purchased from the Government Printing Office in the Washington, DC area and the U.S. Government bookstores listed in this Appendix.

##### **The Code of Federal Regulations**

The Code of Federal Regulations (CFR) is a codification of the general and permanent rules published in the Federal Register by executive departments and agencies of the Federal government. It includes all statutory regulations of Federal agencies, and is divided into 50 titles, which represent broad subject areas of Federal regulations (e.g., Housing and Urban Development, Public Health, Public Welfare, or Transportation). Each title is divided into chapters, which usually bear the name of the issuing agency. Each chapter is further subdivided into parts covering specific regulatory areas. The number preceding the CFR citation is the title or volume number. The CFR is kept up-to-date by the individual issues of the Federal Register; these two publications must be used together to determine the latest version of any given rule. Individual volumes of the CFR are revised at least once each calendar year and issued on a staggered quarterly basis. The CFR thus serves as a convenient reference for the citizen desiring a comprehensive source for general and permanent Federal regulations.

A General index to the entire Code of Federal Regulations, the CFR Index, is revised as of July 1 each year. The numerical Finding Aids, a cumulative list of CFR Sections affected is published monthly and is cumulated for 12 months, keyed to the revision dates of the various CFR volumes.

The Code of Federal Regulations is available in Federal depository libraries and most major libraries or Federal bookstores. Individual copies may be purchased from the Government Printing Office.

##### **The Federal Register**

The Federal Register, published daily, is the medium for making available to the public Federal agency regulations and other legal documents of the Executive Branch. These documents cover a wide range of government activities. Here, government requirements are published which involve environmental protection, consumer product safety, food and drug standards, occupational health and safety, and many more areas of concern to the public.

The Federal Register includes proposed changes in regulated areas. Each proposed change published carries an invitation for any citizen or group to participate in the consideration of the proposed regulation through the submission of written data, views, or arguments, and sometimes by oral presentations. Through the publication of proposed rules and notices of public meetings, citizens are given the opportunity to be informed about and participate in the workings of their government.

The Federal Register is also a vehicle for the announcement of newly authorized and/or funded programs, notifications of funding availability, (NOFAs), program application deadlines, and other important program information. The Federal Register Index is based on a consolidation of entries appearing in the issues of the Federal Register together with broad references. It is published monthly and is cumulative for 12 months. The Federal Register and the Federal Register Index are available in Federal depository libraries and most major libraries or Federal bookstores. Additional Federal Register resources include, the Statistical Abstract of the United States; Weekly Compilation of Presidential Documents; The Federal Register: What It Is and How To Use It. All Federal Register publications may be purchased from: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.

##### **Information Resources for Legislative Research and Inquiry**

Senate Document Room: (202) 224-7701  
House Document Room: (202) 225-3456  
Government Printing Office Order Desk: (202) 512-1800  
Federal Register Inquiry Desk: (202) 523-5215

The following World Wide Web Sites provide valuable additional information:

Senate: <http://www.senate.gov/>  
House of Representatives: <http://www.house.gov/>  
Library of Congress: <http://thomas.loc.gov/>  
Government Printing Office: <http://www.gpo.gov/>  
Office of Management and Budget: <http://www.whitehouse.gov/omb/>

Additional resources available from GPO are: House and Senate Calendars (Monday edition only), How Our Laws Are Made, Digest of Public General Bills and Resolutions, United States Government Manual, Monthly Catalog of United States Government Publications. Stock numbers and prices of these publications can be obtained by calling or writing the GPO. To order or inquire about congressional documents from GPO, call: (202) 512-2465. To order or inquire about any other government publications, call the Order Desk: (202) 512-1800.





# APPENDIX VI: DEVELOPING AND WRITING GRANT PROPOSALS

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## PART ONE: DEVELOPING A GRANT PROPOSAL

### Preparation

A successful grant proposal is one that is well-prepared, thoughtfully planned, and concisely packaged. The potential applicant should become familiar with all of the pertinent program criteria related to the Catalog program from which assistance is sought. Refer to the information contact person listed in the Catalog program description before developing a proposal to obtain information such as whether funding is available, when applicable deadlines occur, and the process used by the grantor agency for accepting applications. Applicants should remember that the basic requirements, application forms, information and procedures vary with the Federal agency making the grant award. Individuals without prior grant proposal writing experience may find it useful to attend a grantsmanship workshop. A workshop can amplify the basic information presented here. Applicants interested in additional readings on grantsmanship and proposal development should consult the references listed at the end of this section and explore other library resources.

### INITIAL PROPOSAL DEVELOPMENT

#### Developing Ideas for the Proposal

When developing an idea for a proposal it is important to determine if the idea has been considered in the applicant's locality or State. A careful check should be made with legislators and area government agencies and related public and private agencies which may currently have grant awards or contracts to do similar work. If a similar program already exists, the applicant may need to reconsider submitting the proposed project, particularly if duplication of effort is perceived. If significant differences or improvements in the proposed project's goals can be clearly established, it may be worthwhile to pursue Federal assistance.

#### Community Support

Community support for most proposals is essential. Once proposal summary is developed, look for individuals or groups representing academic, political, professional, and lay organizations which may be willing to support the proposal in writing. The type and caliber of community support is critical in the initial and subsequent review phases. Numerous letters of support can be persuasive to a grantor agency. Do not overlook support from local government agencies and public officials. Letters of endorsement detailing exact areas of project sanction and commitment are often requested as part of a proposal to a Federal agency. Several months may be required to develop letters of endorsement since something of value (e.g., buildings, staff, services) is sometimes negotiated between the parties involved.

Many agencies require, in writing, affiliation agreements (a mutual agreement to share services between agencies) and building space commitments prior to either grant approval or award. A useful method of generating community support may be to hold meetings with the top decision makers in the community who would be concerned with the subject matter of the proposal. The forum for discussion may include a query into the merits of the proposal, development of a contract of support for the proposal, to generate data in support of the proposal, or development of a strategy to create proposal support from a large number of community groups.

#### Identification of a Funding Resource

A review of the Objectives and Uses and Use Restrictions sections of the Catalog program description can point out which programs might provide funding for an idea. Do not overlook the related programs as potential resources. Both the applicant and the grantor agency should have the same interests, intentions, and needs if a proposal is to be considered an acceptable candidate for funding.

Once a potential grantor agency is identified, call the contact telephone number identified in Information Contacts and ask for a grant application kit. Later, get to know some of the grantor agency personnel. Ask for suggestions, criticisms, and advice about the proposed project. In many cases, the more agency personnel know about the proposal, the better the chance of support and of an eventual favorable decision. Sometimes it is useful to send the proposal summary to a specific agency official in a separate cover letter, and ask for review and comment at the earliest possible convenience. Always check with the Federal agency to determine its preference if this approach is under consideration. If the review is unfavorable and differences cannot be resolved, ask the examining agency (official) to suggest another department or agency which may be interested in the proposal. A personal visit to the agency's regional office or headquarters is also important. A visit not only establishes face-to-face contact, but also may bring out some essential details about the proposal or help secure literature and references from the agency's library.

Federal agencies are required to report funding information as funds are approved, increased or decreased among projects within a given State depending on the type of required reporting. Also, consider reviewing the Federal Budget for the current and budget fiscal years to determine proposed dollar amounts for particular budget functions.

The applicant should carefully study the eligibility requirements for each Federal program under consideration (see the Applicant Eligibility section of the Catalog program description). The applicant may learn that he or she is required to provide services otherwise unintended such as a service to particular client groups, or involvement of specific institutions. It may necessitate the modification of the original concept in order for the project to be eligible for funding. Questions about eligibility should be discussed with the appropriate program officer.

Deadlines for submitting applications are often not negotiable. They are usually associated with strict timetables for agency review. Some programs have more than one application deadline during the fiscal year. Applicants should plan proposal development around the established deadlines.

#### Getting Organized to Write the Proposal

Throughout the proposal writing stage keep a notebook handy to write down ideas. Periodically, try to connect ideas by reviewing the notebook. Never throw away written ideas during the grant writing stage. Maintain a file labeled "Ideas" or by some other convenient title and review the ideas from time to time. The file should be easily accessible. The gathering of documents such as articles of incorporation, tax exemption certificates, and bylaws should be completed, if possible, before the writing begins.

### REVIEW

#### Criticism

At some point, perhaps after the first or second draft is completed, seek out a neutral third party to review the proposal working draft for continuity, clarity and reasoning. Ask for constructive criticism at this point, rather than wait for the Federal grantor agency to volunteer this information during the review cycle. For example, has the writer made unsupported assumptions or used jargon or excessive language in the proposal?

#### Signature

Most proposals are made to institutions rather than individuals. Often signatures of chief administrative officials are required. Check to make sure they are included in the proposal where appropriate.

#### Neatness

Proposals should be typed, collated, copied, and packaged correctly and neatly (according to agency instructions, if any). Each package should be inspected to ensure uniformity from cover to cover. Binding may require either clamps or

hard covers. Check with the Federal agency to determine its preference. A neat, organized, and attractive proposal package can leave a positive impression with the reader about the proposal contents.

### **Mailing**

A cover letter should always accompany a proposal. Standard U.S. Postal Service requirements apply unless otherwise indicated by the Federal agency. Make sure there is enough time for the proposals to reach their destinations. Otherwise, special arrangements may be necessary. Always coordinate such arrangements with the Federal grantor agency project office (the agency which will ultimately have the responsibility for the project), the grant office (the agency which will coordinate the grant review), and the contract office (the agency responsible for disbursement and grant award notices), if necessary.

## **PART TWO: WRITING THE GRANT PROPOSAL**

### **The Basic Components of a Proposal**

There are eight basic components to creating a solid proposal package: (1) the proposal summary; (2) introduction of organization; (3) the problem statement (or needs assessment); (4) project objectives; (5) project methods or design; (6) project evaluation; (7) future funding; and (8) the project budget. The following will provide an overview of these components.

### **The Proposal Summary: Outline of Project Goals**

The proposal summary outlines the proposed project and should appear at the beginning of the proposal. It could be in the form of a cover letter or a separate page, but should definitely be brief --no longer than two or three paragraphs. The summary would be most useful if it were prepared after the proposal has been developed in order to encompass all the key summary points necessary to communicate the objectives of the project. It is this document that becomes the cornerstone of your proposal, and the initial impression it gives will be critical to the success of your venture. In many cases, the summary will be the first part of the proposal package seen by agency officials and very possibly could be the only part of the package that is carefully reviewed before the decision is made to consider the project any further.

The applicant must select a fundable project which can be supported in view of the local need. Alternatives, in the absence of Federal support, should be pointed out. The influence of the project both during and after the project period should be explained. The consequences of the project as a result of funding should be highlighted.

### **Introduction: Presenting a Credible Applicant or Organization**

The applicant should gather data about its organization from all available sources. Most proposals require a description of an applicant's organization to describe its past and present operations. Some features to consider are:

- A brief biography of board members and key staff members.
- The organization's goals, philosophy, track record with other grantors, and any success stories.
- The data should be relevant to the goals of the Federal grantor agency and should establish the applicant's credibility.

### **The Problem Statement: Stating the Purpose at Hand**

The problem statement (or needs assessment) is a key element of a proposal that makes a clear, concise, and well-supported statement of the problem to be addressed. The best way to collect information about the problem is to conduct and document both a formal and informal needs assessment for a program in the target or service area. The information provided should be both factual and directly related to the problem addressed by the proposal. Areas to document are:

- The purpose for developing the proposal.
- The beneficiaries -- who are they and how will they benefit.
- The social and economic costs to be affected.
- The nature of the problem (provide as much hard evidence as possible).

- How the applicant organization came to realize the problem exists, and what is currently being done about the problem.
- The remaining alternatives available when funding has been exhausted. Explain what will happen to the project and the impending implications.
- Most importantly, the specific manner through which problems might be solved. Review the resources needed, considering how they will be used and to what end.

There is a considerable body of literature on the exact assessment techniques to be used. Any local, regional, or State government planning office, or local university offering course work in planning and evaluation techniques should be able to provide excellent background references. Types of data that may be collected include: historical, geographic, quantitative, factual, statistical, and philosophical information, as well as studies completed by colleges, and literature searches from public or university libraries. Local colleges or universities which have a department or section related to the proposal topic may help determine if there is interest in developing a student or faculty project to conduct a needs assessment. It may be helpful to include examples of the findings for highlighting in the proposal.

### **Project Objectives: Goals and Desired Outcome**

Program objectives refer to specific activities in a proposal. It is necessary to identify all objectives related to the goals to be reached, and the methods to be employed to achieve the stated objectives. Consider quantities or things measurable and refer to a problem statement and the outcome of proposed activities when developing a well-stated objective. The figures used should be verifiable. Remember, if the proposal is funded, the stated objectives will probably be used to evaluate program progress, so be realistic. There is literature available to help identify and write program objectives.

### **Program Methods and Program Design: A Plan of Action**

The program design refers to how the project is expected to work and solve the stated problem. Sketch out the following:

- The activities to occur along with the related resources and staff needed to operate the project (inputs).
- A flow chart of the organizational features of the project. Describe how the parts interrelate, where personnel will be needed, and what they are expected to do. Identify the kinds of facilities, transportation, and support services required (throughputs).
- Explain what will be achieved through 1 and 2 above (outputs); i.e., plan for measurable results. Project staff may be required to produce evidence of program performance through an examination of stated objectives during either a site visit by the Federal grantor agency and or grant reviews which may involve peer review committees.
- It may be useful to devise a diagram of the program design. For example, draw a three column block. Each column is headed by one of the parts (inputs, throughputs and outputs), and on the left (next to the first column) specific program features should be identified (i.e., implementation, staffing, procurement, and systems development). In the grid, specify something about the program design, for example, assume the first column is labeled inputs and the first row is labeled staff. On the grid one might specify under inputs five nurses to operate a child care unit. The throughput might be to maintain charts, counsel the children, and set up a daily routine; outputs might be to discharge 25 healthy children per week. This type of procedure will help to conceptualize both the scope and detail of the project.
- Wherever possible, justify in the narrative the course of action taken. The most economical method should be used that does not compromise or sacrifice project quality. The financial expenses associated with performance of the project will later become points of negotiation with the Federal program staff. If everything is not carefully justified in writing in the proposal, after negotiation with the Federal grantor agencies, the approved project may resemble less of the original concept. Carefully consider the pressures of the proposed implementation, that is, the time and money needed to acquire each part of the plan. A Program Evaluation and Review Technique (PERT) chart could be useful and supportive in justifying some proposals.
- Highlight the innovative features of the proposal which could be considered distinct from other proposals under consideration.

- Whenever possible, use appendices to provide details, supplementary data, references, and information requiring in-depth analysis. These types of data, although supportive of the proposal, if included in the body of the design, could detract from its readability. Appendices provide the proposal reader with immediate access to details if and when clarification of an idea, sequence or conclusion is required. Time tables, work plans, schedules, activities, methodologies, legal papers, personal vitae, letters of support, and endorsements are examples of appendices.

#### **Evaluation: Product and Process Analysis**

The evaluation component is two-fold: (1) product evaluation; and (2) process evaluation. Product evaluation addresses results that can be attributed to the project, as well as the extent to which the project has satisfied its desired objectives. Process evaluation addresses how the project was conducted, in terms of consistency with the stated plan of action and the effectiveness of the various activities within the plan.

Most Federal agencies now require some form of program evaluation among grantees. The requirements of the proposed project should be explored carefully. Evaluations may be conducted by an internal staff member, an evaluation firm or both. The applicant should state the amount of time needed to evaluate, how the feedback will be distributed among the proposed staff, and a schedule for review and comment for this type of communication. Evaluation designs may start at the beginning, middle or end of a project, but the applicant should specify a start-up time. It is practical to submit an evaluation design at the start of a project for two reasons:

- Convincing evaluations require the collection of appropriate data before and during program operations; and,
- If the evaluation design cannot be prepared at the outset then a critical review of the program design may be advisable.

Even if the evaluation design has to be revised as the project progresses, it is much easier and cheaper to modify a good design. If the problem is not well defined and carefully analyzed for cause and effect relationships then a good evaluation design may be difficult to achieve. Sometimes a pilot study is needed to begin the identification of facts and relationships. Often a thorough literature search may be sufficient.

Evaluation requires both coordination and agreement among program decision makers (if known). Above all, the Federal grantor agency's requirements should be highlighted in the evaluation design. Also, Federal grantor agencies may require specific evaluation techniques such as designated data formats (an existing information collection system) or they may offer financial inducements for voluntary participation in a national evaluation study. The applicant should ask specifically about these points. Also, consult the Criteria For Selecting Proposals section of the Catalog program description to determine the exact evaluation methods to be required for the program if funded.

#### **Future Funding: Long-Term Project Planning**

Describe a plan for continuation beyond the grant period, and/or the availability of other resources necessary to implement the grant. Discuss maintenance and future program funding if program is for construction activity. Account for other needed expenditures if program includes purchase of equipment.

#### **The Proposal Budget: Planning the Budget**

Funding levels in Federal assistance programs change yearly. It is useful to review the appropriations over the past several years to try to project future funding levels (see Financial Information section of the Catalog program description).

However, it is safer to never anticipate that the income from the grant will be the sole support for the project. This consideration should be given to the overall budget requirements, and in particular, to budget line items most subject to inflationary pressures. Restraint is important in determining inflationary cost projections (avoid padding budget line items), but attempt to anticipate possible future increases.

Some vulnerable budget areas are: utilities, rental of buildings and equipment, salary increases, food, telephones, insurance, and transportation. Budget adjustments are sometimes made after the grant award, but this can be a lengthy process. Be certain that implementation, continuation and phase-down costs can be met. Consider costs associated with leases, evaluation systems, hard/soft match requirements, audits, development, implementation and maintenance of information and accounting systems, and other long-term financial commitments.

A well-prepared budget justifies all expenses and is consistent with the proposal narrative. Some areas in need of an evaluation for consistency are: (1) the salaries in the proposal in relation to those of the applicant organization should be similar; (2) if new staff persons are being hired, additional space and equipment should be considered, as necessary; (3) if the budget calls for an equipment purchase, it should be the type allowed by the grantor agency; (4) if additional space is rented, the increase in insurance should be supported; (5) if an indirect cost rate applies to the proposal, the division between direct and indirect costs should not be in conflict, and the aggregate budget totals should refer directly to the approved formula; and (6) if matching costs are required, the contributions to the matching fund should be taken out of the budget unless otherwise specified in the application instructions.

It is very important to become familiar with Government-wide circular requirements. The Catalog identifies in the program description section (as information is provided from the agencies) the particular circulars applicable to a Federal program, and summarizes coordination of Executive Order 12372, "Intergovernmental Review of Programs" requirements in Appendix I. The applicant should thoroughly review the appropriate circulars since they are essential in determining items such as cost principles and conforming with Government guidelines for Federal domestic assistance.

## **GUIDELINES AND LITERATURE**

United States Government Manual  
Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20402

OMB Circular Nos. A-87, A-102, A-110, and A-133, and Executive Order 12372:  
Publications Office  
Office of Administration  
Room 2200, 725 Seventeenth Street, NW.  
Washington, DC 20503

#### **Government Printing Office (GPO) Resources**

The government documents identified above as available from the GPO can be requested (supply the necessary identifying information) by writing to:

Superintendent of Documents  
Government Printing Office  
Washington, DC 20402

#### **Regional and Federal Depository Libraries**

Regional libraries can arrange for copies of Government documents through an interlibrary loan. All Federal Depository Libraries will receive copies of the Catalog directly. A list of depository and regional libraries is available by writing: Chief, Library Division, Superintendent of Documents, Stop SLL, Washington, DC 20402.



# Appendix VII: Historical Profile of Catalog Programs

The following list shows all programs printed in the Catalog of Federal Domestic Assistance beginning with the 1965 edition and the subsequent action taken related to that program. For the years 1965, 1967, and 1969 the programs did not have numbers. They were identified only by their titles. Therefore, the first part of each agency listing shows programs by their title if they were in existence before 1970. The program numbering system was instituted in 1970. The first line shows the number and title of the program when it was added to the Catalog. The second and subsequent lines show the year the program was added and any additional transactions, e.g., title changes, transfers, deletes, consolidations, agency reorganizations, number changes, etc., that may have followed. The alphabet B or U that follows a given year, indicates the transaction was made either in the basic (B) or the update (U) publication of the Catalog. In some instances, there is also a U1 and U2 behind the year. The U1 and U2 are the first and second updates respectively, published that year.

## **DEPARTMENT OF AGRICULTURE**

Agricultural Stabilization Programs (1965B)  
Agricultural Production Stabilization (1969B)  
Archived (1970B)

Cooperative Agriculture and Forestry Research Program (1965B)  
Cooperative Forestry Research (1969B)  
Archived (1970B)

Cooperative Extension Service (1965B)  
Split into 10.500, 10.501, 10.502, 10.503, 10.504, 10.505, 10.506, 10.507, 10.508, 10.509 (1970B)

Economic Research Service (1965B)  
Archived (1970B)

Farmers Home Administration\_Financial Assistance to Small Towns and Rural Groups (1965B)  
Archived (1969B)

Farmers Home Administration\_Housing for Senior Citizens (1965B)  
Archived (1969B)

Farmers Home Administration\_Loans for Forestry Purposes (1965B)  
Farm Forestry Loans (1969B)  
Archived (1970B)

Farmers Home Administration\_Loans for Recreational Purposes (1965B)  
Archived (1969B)

Farmers Home Administration\_Rural Renewal Loans to Public Agencies (1965B)  
Archived (1969B)

Forestry Research (1965B)  
Archived (1969B)

Land Stabilization, Conservation, and Erosion Control in Appalachia (1965B)  
Archived (1969B)

Timber Development Organizations in Appalachia (1965B)  
Archived (1967B)

Administration and Research in Economic Development Programs in Appalachia (1965B)

Transferred to the Department of Commerce (1967B)

Cropland Adjustment Program (1967B)  
Archived (1969B)

Payments to Counties, National Grasslands, and Land Utilization Projects (1967B)  
Archived (1969B)

Payments to States with National Forests (1967B)  
Archived (1969B)

Appalachian Region Conservation (1969B)  
Archived (1970B)

Agricultural Market Supervision and Regulation (1969B)  
Archived (1970B)

Agricultural Experiment Stations (1969B)  
Archived (1970B)

National Forests\_Shared Revenues (1969B)  
Archived (1970B)

Timber Management (1969B)  
Archived (1970B)

**10.001**  
Agricultural Research Service (1965B)  
Agricultural Research\_Basic and Applied Research (1969B)  
Number changed to 10.875 (1978B)  
Number changed from 10.875 (1981U)

**10.002**  
Plant and Animal Disease and Plant Control (1969B)  
Number changed to 10.025 (1972B)

**10.003**  
Morrill-Nelson Funds for Food and Agricultural Higher Education (1983U)  
Transferred from 84.135 (1983U)  
Transferred to 10.210 (1985U)

**10.025**  
Plant and Animal Disease and Pest Control (1972B)  
Number changed from 10.002 (1972B)  
Plant and Animal Disease, Pest Control, and Animal Care (1990B)

## **10.026**

Assistance to States for Intrastate Meat and Poultry Inspection (1972U)  
Number changed from 10.151 (1972U)  
Number changed to 10.475 (1977U)

## **10.027**

Meat and Poultry Inspection (1972U)  
Number changed from 10.157 (1972U)  
Number changed to 10.477 (1977U)

## **10.028**

Animal Damage Control (1986B)  
Transferred from 15.601 (1986B)  
Wildlife Services (1997U)

## **10.029**

Avian Influenza Indemnity Program (2003B)  
Archived (2010)

## **10.030**

Indemnity Program (2012)

## **10.050**

Agricultural Conservation Program (1965B)  
Agricultural Conservation (1970B)  
Rural Environmental Assistance (1971B)  
Archived (1973B)

## **10.051**

Price-Support Programs for the Agricultural Stabilization and Conservation Service (1965B)  
Agricultural Price-Support (1969B)  
Commodity Loans and Purchases (1970B)  
Commodity Loans and Loan Deficiency Payments (1999B)

## **10.052**

Cotton Production Stabilization (1970B)  
Split from 10.055 (1970B)  
Incorporated into 10.055 (1997B)

## **10.053**

Dairy Farmer Indemnity Payments (1969B)  
Dairy Indemnity Payments (1970B)  
Dairy Indemnity Program (1984B)

## **10.054**

Emergency Conservation Measures (1970B)  
Emergency Conservation Program (1978U)

## Appendix VII: Historical Profile of Catalog Programs

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<b>10.055</b> Feed Grain Direct Payments (1970B) Split into 10.052, 10.055, 10.058 (1970B) Feed Grain Production Stabilization (1971B) Production Flexibility Payments for Contract Commodities (1997B) Incorporated from 10.052, 10.058, 10.065 (1997B) Direct and Counter-cyclical Payments Program (2005) Direct and Counter-cyclical Payments Program (2005) Direct and Counter-cyclical Payments Program (2005)	<b>10.065</b> Rice Production Stabilization (1976U) Incorporated into 10.055 (1997B)	<b>10.079</b> Bill Emerson Humanitarian Trust (2003B) Archived (2010)
<b>10.056</b> Storage Facilities and Equipment Loans (1970B) Archived (1989B) Farm Storage Facility Loans, Reinstated (2001B)	<b>10.066</b> Emergency Hay and Cattle Transportation Assistance and Livestock Feed (1977B) Emergency Feed Program (1978B) Archived (1983B) Emergency Livestock Assistance (1989B) Archived (1997B) Livestock Assistance Program, Reinstated (2000U) Livestock Assistance Program (2006) Archived (2010)	<b>10.080</b> Milk Income Loss Contract Program (2004)
<b>10.057</b> Sugar Program (1969B) Sugar Production Stabilization (1971B) Archived (1975B)	<b>10.067</b> Grain Reserve Program (1978B) Farmer Owned Reserve Program (1994U) Archived (1997B)	<b>10.081</b> Lamb Meat Adjustment Assistance Program (2004) Archived (2009)
<b>10.058</b> Wheat Direct Payments (1970B) Split from 10.055 (1970B) Wheat Production Stabilization (1971B) Incorporated into 10.055 (1997B)	<b>10.068</b> Rural Clean Water Program (1980B) Archived (1995B)	<b>10.082</b> Tree Assistance Program (2004) Archived (2010)
<b>10.059</b> Wool and Mohair Payments (1970B) Shorn Wool and Unshorn Lambs (Pulled Wool) and Mohair Payments (1971B) National Wool Act Payments (1973B) Archived (1997B)	<b>10.069</b> Conservation Reserve Program (1986B)	<b>10.083</b> Tobacco Loss Assistance Program (2004)
<b>10.060</b> Beekeeper Indemnity Payments (1971U) Archived (1982B)	<b>10.070</b> Colorado River Salinity Control (1987B) Colorado River Basin Salinity Control Program (1991B) Archived (2010)	<b>10.084</b> Dairy Market Loss Assistance Program (2008) Archived (2010)
<b>10.061</b> Emergency Livestock Feed Program (1972B) Archived (1977B)	<b>10.071</b> Federal-State Cooperation in Warehouse Examination Agreement (1987U) Archived (2000B)	<b>10.085</b> Tobacco Transition Payment Program (2005)
<b>10.062</b> Water Bank Program (1972B) Archived (1973B) Reinstated (1974B) Deleted (2006)	<b>10.072</b> Wetlands Reserve Program (1992B)	<b>10.086</b> Aquaculture Grants Program (AGP) (2009) Archived (2012)
<b>10.063</b> Rural Environmental Conservation Program (1974B) Agricultural Conservation Program (1975B) Archived (1997B)	<b>10.073</b> Crop Disaster Program (2000U) Archived (2010) Reinstated (2011) Archived (2011)	<b>10.087</b> Biomass Crop Assistance Program (2011)
<b>10.064</b> Forestry Incentives Program (1975B)	<b>10.075</b> Special Apple Program (2001B)	<b>10.088</b> Livestock Indemnity Program (2010)
	<b>10.076</b> Emergency Loan for Seed Producers (2001B)	<b>10.089</b> Livestock Forage Disaster Program (2010)
	<b>10.077</b> Livestock Compensation Program (2003B) Archived (2010)	<b>10.090</b> Supplemental Revenue Assistance Program (2010)
	<b>10.078</b> Bioenergy Program (2003B) Archived (2009)	<b>10.091</b> Emergency Assistance for Livestock, Honeybees, and Farm-Raised Fish Program (2011)

## Appendix VII: Historical Profile of Catalog Programs

Agricultural Futures Markets Supervision (1971B)  
Transferred to 78.001 (1975U)

### 10.102

Emergency Forest Restoration Program (2012)

### 10.103

2009 Aquaculture Grant Program (2011)

Archived (2012)

### 10.104

Poultry Loss Contract Grant Assistance Program (2011)

Archived (2012)

### 10.140

Minority Research and Teaching Grants (1986B)

Minority Research and Teaching Program Grants (1990B)

Minority Research and Teaching Programs Grants (1990U)

Special Emphasis Outreach Programs Grants (1991B)

Archived (1997B)

### 10.141

Dairy Product Price Support Program (2012)

### 10.150

Agricultural Product Grading (1969B)

Consolidated into 10.162 (1982B)

### 10.151

Meat and Poultry Inspection (1969B)

Assistance to States for Intrastate Meat and Poultry Inspection (1970B)

Number changed to 10.026 (1972U)

### 10.152

Export Payments on Agricultural Products (1970B)

Split from 10.157 (1970B)

Archived (1973B)

### 10.153

Market News Service for Agricultural Products (1969B)

Market News (1970B)

### 10.154

Market Supervision (1970B)

Market Supervision and Assistance (1982B)

Market Development and Assistance (1983B)

Incorporated into 10.163 (1984B)

### 10.155

Agricultural Marketing Agreements and Orders (1969B)

Marketing Agreements and Orders (1970B)

### 10.156

Agricultural Marketing Studies and Services (1969B)

Marketing Services Matching\_Fund Grants (1970B)

Federal\_State Marketing Improvement Program (1973B)

### 10.157

Agricultural Futures Market Supervision (1969B)

Meat and Poultry Inspection (1970B)

Number changed to 10.027 (1972U)

### 10.158

Plentiful Foods Program (1969B)

Plentiful Foods (1970B)

Archived (1973U)

### 10.159

Livestock and Poultry Market Supervision (1978B)

Number changed from 10.800 (1978B)

Number changed to 10.800 (1981U)

### 10.160

Voluntary Commodity Inspection and Grading Programs (1981U)

Number changed from 10.478 (1981U)

Archived (1982B)

### 10.161

Egg Products Inspection (1981U)

Number changed from 10.476 (1981U)

Archived (1982B)

### 10.162

Inspection Grading and Standardization (1982B)

### 10.163

Market Protection and Promotion (1982B)

### 10.164

Wholesale Market Development (1982B)

Wholesale Farmers and Alternative Market Development (2005)

Wholesale Farmers and Alternative Market Development (2005)

Wholesale Farmers and Alternative Market Development (2005)

### 10.165

Perishable Agricultural Commodities Act (1982B)

### 10.166

Commodity Purchase Services (1985B)

Archived (1987B)

### 10.167

Transportation Services (1991U)

### 10.168

Farmers' Market Promotion Program (2006)

### 10.169

Specialty Crop Block Grant Program (2006)

Archived (2011)

### 10.170

Specialty Crop Block Grant Program - Farm Bill (2008)

### 10.171

Organic Certification Cost Share Programs (2011)

### 10.200

Scientific Research in Support of Agriculture (1969B)

Contracts and Grants for Scientific Research (1970B)

Grants for Scientific Research (1973B)

Split into 10.200, 10.880 (1978B)

Number changed to 10.876 (1978B)

Number changed from 10.876 (1981U)

Grants for Agricultural Research, Special Research Grants (1981U)

### 10.201

Agricultural Research Facilities (1969B)

Research Facilities (1970B)

Archived (1971B)

### 10.202

Grants for Cooperative Forestry Research (1970U)

Cooperative Forestry Research (1971B)

Number changed to 10.877 (1978B)

Number changed from 10.877 (1981U)

### 10.203

Payments to Agricultural Experiment Stations Under Hatch Act (1970U)

Number changed to 10.878 (1978B)

Number changed from 10.878 (1981U)

Payments to Agricultural Experiment Stations Under the Hatch Act (1997U)

### 10.204

Rural Development Research (1974B)

Number changed to 10.879 (1978B)

Number changed from 10.879 (1981U)

Archived (1982B)

### 10.205

Payments to 1890 Land-Grant Colleges and Tuskegee Institute (1981U)

Number changed from 10.880 (1981U)

Payments to 1890 Land-Grant Colleges and Tuskegee University (1986B)

### 10.206

Grants for Agricultural Research\_Competitive Research\_Grants (1981U)

Number changed from 10.884 (1981U)

Archived (2011)

# Appendix VII: Historical Profile of Catalog Programs

Reinstated (2012)	(1995B)	Species Management (PREISM) (2008)
<b>10.207</b> Animal Health and Disease Research (1981U) Number changed from 10.885 (1981U)	<b>10.221</b> Tribal Colleges Education Equity Grants (1997B)	<b>10.255</b> Research Innovation and Development Grants in Economic (RIDGE) (2008)
<b>10.208</b> Alcohol Fuels Research (1982B) Archived (1985B)	<b>10.222</b> Tribal Colleges Endowment Program (1997B)	<b>10.256</b> Consumer Data Initiative (CDI) (2007) Archived (2010) Reinstated (2010) Consumer Data and Information Program (2010)
<b>10.209</b> 1890 Research Facilities (1983B) Archived (1989B)	<b>10.223</b> Hispanic Serving Institutions Education Grants (1997B)	<b>10.290</b> AGRICULTURAL MARKET AND ECONOMIC RESEARCH (2008) Agricultural Market and Economic Research (2008)
<b>10.210</b> Food and Agricultural Sciences National Needs Graduate Fellowship Grants Transferred from 10.003 (1985U)	<b>10.224</b> Fund for Rural America_Research, Education, and Extension Activities (1997U) Archived (2009)	<b>10.300</b> CCC Export Credit Sales (1970B) Archived (1973B)
<b>10.211</b> Higher Education Strengthening Grants (1985U) Archived (1993B)	<b>10.225</b> Community Food Projects (1997B)	<b>10.301</b> Export Payments (1970B) Archived (1973U)
<b>10.212</b> Small Business Innovation Research (1986B)	<b>10.226</b> Secondary Agriculture Education Grants (1999B) Secondary and Two-Year Postsecondary Agriculture Education Challenge Grants (2003B)	<b>10.302</b> Initiative for Future Agriculture and Food Systems (2000U)
<b>10.213</b> Competitive Research Grants for Forest and Rangeland Renewable Resources Transferred from 15.601 (1986B) Archived (1990B)	<b>10.227</b> 1994 Institutions Research Program (2000U)	<b>10.303</b> Integrated Programs (2000U)
<b>10.214</b> Morrill-Nelson Funds for Food and Agricultural Higher Education Split from 10.210 (1986B) Archived (1996B)	<b>10.228</b> Alaska Native Serving and Native Hawaiian Serving Institutions Education Grants (2001B)	<b>10.304</b> Homeland Security_Agricultural (2004)
<b>10.215</b> Low Input Farming Systems_Research and Education (1988B) Sustainable Agriculture Research and Education (1991B)	<b>10.240</b> Alternative Agricultural Research and Commercialization Program (1993B) Archived (2000B)	<b>10.305</b> International Science and Education Grants (2005)
<b>10.216</b> 1890 Institution Capacity Building Grants (1990B)	<b>10.250</b> Agricultural Economic Research (1969B) Agricultural and Rural Economic Research (1970B) Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations (2012)	<b>10.306</b> BIODIESEL (2005)
<b>10.217</b> Higher Education Challenge Grants (1990B)	<b>10.251</b> Technical Assistance to Cooperatives (1978B) Number changed from 10.350 (1978B) Number changed to 10.350 (1981U)	<b>10.307</b> Organic Agriculture Research and Extension Initiative (2005)
<b>10.218</b> Buildings and Facilities Program (1992B)	<b>10.252</b> Agricultural Statistical Reports (1978B) Number changed from 10.950 (1978B) Agriculture Statistical Reports (1980B) Number changed to 10.950 (1981U)	<b>10.308</b> Resident Instruction Grants for Insular Area Activities (2005)
<b>10.219</b> Biotechnology Risk Assessment Research (1993B)	<b>10.253</b> Food Assistance and Nutrition Research Programs (FANRP) (2008)	<b>10.309</b> Specialty Crop Research Initiative (2008)
<b>10.220</b> Food and Agricultural Sciences-All Americans Undergraduate Scholars Program (1994B) Higher Education Multicultural Scholars Program	<b>10.254</b> Program of Research on the Economic of Invasive	<b>10.310</b> AGRICULTURE AND FOOD RESEARCH INITIATIVE (AFRI) (2009)
		<b>10.311</b> BEGINNING FARMER AND RANCHER DEVELOPMENT PROGRAM (2009)
		<b>10.312</b>



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BIOMASS RESEARCH AND DEVELOPMENT INITIATIVE (2009)

## 10.313

Veterinary Medicine Loan Repayment Program (2010)

## 10.314

NEW ERA RURAL TECHNOLOGY COMPETITIVE GRANTS PROGRAM (2009)

## 10.315

Trade Adjustment Assistance for Farmers Training Coordination Program (TAAF) (2009)

## 10.316

Healthy Urban Food Enterprise Development Center (HUFED) (2009)

## 10.317

Food Aid Nutrition Enhancement Program (2010)

## 10.318

Women and Minorities in Science, Technology, Engineering, and (2010)

## 10.319

Farm Business Management and Benchmarking Competitive Grants Program (2010)

## 10.320

Sun Grant Program (2010)

## 10.322

Distance Education Grants for Institutions of Higher Education in Insular Areas (2010)

## 10.324

Afghanistan Agricultural Extension Project (AAEP) (2011)

## 10.325

Peoples Garden Grant Program (2011)

## 10.326

Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA) (2012)

## 10.327

Common Bean Productivity Research for Global Food Security Competitive Program (2012)

## 10.350

Farmers Cooperative Service (1965B)  
Technical Assistance to Cooperatives (1970B)  
Number changed to 10.251 (1978B)  
Number changed from 10.251 (1981U)

## 10.352

Value-Added Producer Grants (2005)

## 10.353

National Rural Development Partnership (2003B)

## 10.375

Human Nutrition Information Service (1982B)  
Archived (1997B)

## 10.400

Comprehensive Areawide Water and Sewer Planning Grants (1970B)  
Archived (1973B)

## 10.401

Farmers Home Administration\_Loans to Cooperatives (1965B)  
Economic Opportunity Loans to Cooperatives (1969B)  
Economic Opportunity Farm Operating Loans to Cooperatives (1970B)  
Archived (1971B)

## 10.402

Farmers Home Administration\_Loans to Rural Families with Small Incomes (1965B)  
Economic Opportunity Loans to Rural Families with Low Incomes (1969B)  
Economic Opportunity Farm Resource Loans (1970B)  
Archived (1971B)

## 10.403

Economic Opportunity Nonfarm Enterprise Loans (1970B)  
Archived (1971B)

## 10.404

Farmers Home Administration\_Emergency Loans (1965B)  
Farm Emergency Loans (1969B)  
Emergency Loans (1970B)

## 10.405

Farmers Home Administration\_Loans for Farm Labor Housing (1965B)  
Loans and Grants for Farm Labor Housing (1967B)  
Farm Labor Housing (1969B)  
Farm Labor Housing Loans and Grants (1970B)  
Archived (1973B)  
Reinstated (1975B)

## 10.406

Farmers Home Administration\_Operating Loans (1965B)  
Farm Operating Loans (1969B)

## 10.407

Farmers Home Administration\_Ownership Loans (1965B)  
Farm Ownership Loans (1969B)

## 10.408

Grazing Association Loans (1969B)  
Archived (1983B)

## 10.409

Irrigation and Drainage System Loans (1969B)  
Irrigation, Drainage and Other Soil and Water Conservation Loans (1970B)  
Archived (1983B)

## 10.410

Farmers Home Administration\_Rural Housing Loans (1965B)  
Rural Housing Loans (1967B)  
Rural Renewal Loans (1967B)  
Low-to Moderate-Income Housing Loans (1970B)  
Low Income Housing Loans (1983B)  
Very Low and Low Income Housing Loans (1984B)  
Very Low to Moderate Income Housing Loans (1991U)

## 10.411

Rural Self-Help Housing Loans (1969B)  
Mutual and Self-Help Housing Loans (1970B)  
Rural Housing Site Loans (1970U)  
Rural Housing Site Loans and Self\_Help Housing Land Development Loans (1996B)  
Archived (2012)

## 10.412

Rural Recreation Enterprises (1969B)  
Recreation Association Loans (1970B)  
Split into 10.412, 10.413 (1970B)  
Archived (1971B)

## 10.413

Recreation Facility Loans (1970B)  
Split from 10.412 (1970B)  
Archived (1983B)

## 10.414

Soil Conservation Service\_Resource Conservation Development Projects (1965B)  
Resource Conservation Development Projects (1967B)  
Resource Conservation and Development Loans (1970B)  
Split into 10.414, 10.901 (1970B)  
Number changed to 10.764 (1993B)

## 10.415

Rental Housing (1967B)  
Rental and Cooperative Housing for Rural People (1969B)  
Rural Rental Housing Loans (1970B)

## 10.416

Soil and Water Conservation (1969B)  
Soil and Water Loans (1970B)

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Split into 10.416, 10.902 (1970B)  
Archived (1997B)

**10.417**  
Very Low-Income Housing Repair Loans (1970B)  
Split from 10.410 (1970B)  
Very Low-Income Housing Repair Loans and  
Grants (1977B)

**10.418**  
Water and Waste Disposal Systems for Rural  
Communities (1967B)  
Number changed to 10.760 (1993B)

**10.419**  
Multiple-Purpose Watershed Projects (1965B)  
Watershed Development and Flood Prevention  
(1969B)  
Watershed Protection and Flood Prevention Loans  
(1970B)  
Split into 10.419, 10.904 (1970B)  
Number changed to 10.765 (1993B)

**10.420**  
Rural Self-Help Housing Technical Assistance  
(1970U)

**10.421**  
Indian Tribes and Tribal Corporation Loans  
(1971B)

**10.422**  
Business and Industrial Development Loans  
(1974B)  
Business and Industrial Loans (1976B)  
Number changed to 10.768 (1993B)

**10.423**  
Community Facilities Loans (1974B)  
Number changed to 10.766 (1993B)

**10.424**  
Industrial Development Grants (1974B)  
Archived (1982B)  
Reinstated (1988B)  
Rural Development Grants (1992B)  
Number changed to 10.769 (1993B)

**10.425**  
Emergency Livestock Loans (1974U)  
Archived (1979U2)

**10.426**  
Area Development Assistance Planning Grants  
(1978B)  
Archived (1982B)

**10.427**  
Rural Rental Assistance Payments (1978B)

**10.428**  
Economic Emergency Loans (1978U)  
Archived (1983B)  
Reinstated (1984B)  
Archived (1984U)

**10.429**  
Above Moderate Income Housing Loans (1979B)  
Archived (1980U2)  
Guaranteed Rural Housing Loans\_Demonstration  
Program (1989B)  
Archived (1990B)

**10.430**  
Energy Impacted Area Development Assistance  
Program (1979U2)  
Archived (1983B)

**10.431**  
Technical and Supervisory Assistance Grants  
(1979U2)  
Archived (1983B)

**10.432**  
Biomass Energy and Alcohol Fuels Loan and Loan  
Guarantees (1981B)  
Archived (1982B)

**10.433**  
Rural Housing Preservation Grants  
Transferred from 13.664 (1986B)

**10.434**  
Nonprofit National Corporations Loan and Grant  
Program (1987B)  
Archived (1993U)

**10.435**  
Agricultural Loan Mediation Program (1988B)  
Certified Mediation Program (1995B)  
State Mediation Grants (1997U)

**10.436**  
Technical Assistance and Training Grants (1988U)  
Number changed to 10.761 (1993B)

**10.437**  
Interest Rate Reduction Program (1989B)  
Interest Assistance Program (1991U)

**10.438**  
Farm Credit System Farm Land Acquisition  
Program (1989B)  
Archived (1992B)  
Section 538 Rural Rental Housing Guaranteed  
Loans (1997B)

**10.439**  
Intermediary Relending Program (1989B)  
Number changed to 10.767 (1993B)

**10.440**  
Emergency Community Water Assistance Grants  
(1989U)  
Number changed to 10.763 (1993B)

**10.441**  
Technical and Supervisory Assistance Grants  
(1993U)  
Archived (2011)

**10.442**  
Housing Application Packaging Grants (1994B)  
Archived (2011)

**10.443**  
Outreach and Assistance Grants for Socially  
Disadvantaged Farmers and Ranchers (1994B)  
Small Farmer Outreach Training or Technical  
Assistance Program\_ "Outreach and Assistance  
Grants for Socially Disadvantaged Farmers and  
Ranchers" (1995B)  
Small Farmer Outreach Training and Technical  
Assistance Program (1995U)  
Outreach and Assistance for Socially  
Disadvantaged Farmers and Ranchers (2001U)

**10.444**  
Direct Housing\_Natural Disaster Loans and Grants  
(1998B)  
Archived (2012)

**10.445**  
Direct Housing\_Natural Disaster (1998B)  
Archived (2011)

**10.446**  
Rural Community Development Initiative (2001U)

**10.447**  
The Rural Development (RD) Multi-Family  
Housing Preservation and Revitalization  
Restructuring Program (MPR) (2007)

**10.448**  
Rural Development Multi-Family Housing Rural  
Housing Voucher Demonstration Program (2009)

**10.449**  
Boll Weevil Eradication Loan Program (2000U)

**10.450**  
Crop Insurance (1969B)

**10.451**  
Noninsured Crop Disaster Assistance (1997U)  
Noninsured Assistance (2001B)

**10.452**  
Disaster Reserve Assistance (1997U)  
Archived (2009)

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<b>10.453</b> Fund for Rural America_Farm Ownership Loans (1997U) Archived (2000B)	<b>10.479</b> Food Safety Cooperative Agreements (2006)	Improvement (1971B) Incorporated into 10.500 (1972B)
<b>10.454</b> Dairy Options Pilot Program (1998U) Archived (2010)	<b>10.500</b> Extension Programs for Assisting in Community Development (1970B) Extension Programs for Community Development (1971B) Cooperative Extension Service (1972B) Number changed to 10.881 (1978B) Number changed from 10.881 (1981U)	<b>10.550</b> Commodity Distribution Program (1965B) Commodity Distribution (1970B) Food Distribution (1971U) Split into 10.550, 10.565 (1979U1) Deleted (2008)
<b>10.455</b> Community Outreach and Assistance Partnership Program (2004) Archived (2012)	<b>10.501</b> Extension Programs for Forestry Production and Marketing (1970B) Incorporated into 10.500 (1972B) Agricultural Telecommunications Program (1994U) Archived (2000B)	<b>10.551</b> Food Stamp Program (1965B) Food Stamps (1970B) Supplemental Nutrition Assistance Program (2008)
<b>10.456</b> Partnership Agreements to Develop Non-Insurance Risk Management Tools for Producers (Farmers) (2004)	<b>10.502</b> Extension Programs for Improved Family Living (1970B) Incorporated into 10.500 (1972B)	<b>10.552</b> Special Food Service Program for Children (1969B) Nonschool Food Program (1970B) Special Food Service Program for Children (1971B) Split into 10.558, 10.559 (1976B)
<b>10.457</b> Commodity Partnerships for Risk Management Education (2004) Archived (2010)	<b>10.503</b> Extension Programs for Improved Nutrition (1970B) Incorporated into 10.500 (1972B)	<b>10.553</b> Pilot School Breakfast Program (1967B) School Breakfasts (1969B) School Breakfast Program (1972B)
<b>10.458</b> Crop Insurance Education in Targeted States (2004)	<b>10.504</b> Extension Programs for Improving Farm Income (1970B) Incorporated into 10.500 (1972B)	<b>10.554</b> Equipment Program to Initiate or Expand School Food Service (1967B) School Lunch Program_Nonfood Assistance (1970B) Nonfood Assistance for School Food Service Programs (1972B) Equipment Assistance for School Food Service Programs (1978B) Archived (1982B)
<b>10.459</b> Commodity Partnerships for Small Agricultural Risk Management Education Sessions (2005)	<b>10.505</b> Extension Programs for Marketing and Distribution (1970B) Incorporated into 10.500 (1972B)	<b>10.555</b> National School Lunch Program (1965B) School Lunches (1969B) National School Lunch Program (1971B)
<b>10.460</b> Risk Management Education and Outreach Partnerships Program (2012)	<b>10.506</b> Extension Programs for Pesticides Safety and Rural Civil Defense (1970B) Incorporated into 10.500 (1972B)	<b>10.556</b> Special Milk Program for Children (1965B) School Milk (1969B) Special Milk Program (1970B) Special Milk Program for Children (1971B)
<b>10.465</b> Farmworker Training Grant Program (2011)	<b>10.507</b> Extension Programs for Recreation, Wildlife, and Natural Beauty (1970B) Incorporated into 10.500 (1972B)	<b>10.557</b> Special Supplemental Food Program for Women, Infants, and Children (1974B) Special Supplemental Nutrition Program for Women, Infants, and Children (1995U)
<b>10.475</b> Assistance to States for Intrastate Meat and Poultry Inspection (1977U) Number changed from 10.026 (1977U) Cooperative Agreements with States for Intrastate Meat and Poultry Inspection (1980U2)	<b>10.508</b> Extension Programs for Soil and Water Conservation (1970B) Incorporated into 10.500 (1972B)	<b>10.558</b> Child Care Food Program (1976B) Split from 10.552 (1976B) Child and Adult Care Food Program (1990B)
<b>10.476</b> Egg Products Inspection (1977U) Number changed to 10.161 (1981U)	<b>10.509</b> 4-H Youth Development Programs (1970B) Incorporated into 10.500 (1972B)	
<b>10.477</b> Meat and Poultry Inspection (1977U) Number changed from 10.027 (1977U) Meat, Poultry, and Egg Inspection (1995B) Meat, Poultry, and Egg Products Inspection (1995U)	<b>10.510</b> Extension Programs for Environmental	
<b>10.478</b> Voluntary Commodity Inspection and Grading Programs (1977U) Number changed to 10.160 (1981U)		

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Incorporated from 10.573 (2000B)

### 10.559

Summer Food Service Program for Children (1976B)

Split from 10.552 (1976B)

### 10.560

State Administrative Expenses for Child Nutrition (1977U)

### 10.561

State Administrative Matching Grants for Food Stamp Program (1977U)

State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (2008)

### 10.562

Nutritional Training and Education (1977U)

Archived (1979B)

### 10.563

Nutrition Education Experimental or Demonstration Projects (1977U)

Archived (1980B)

### 10.564

Nutrition Education and Training Program (1978U)

Archived (2001U)

### 10.565

Commodity Supplemental Food Program (1979U1)

Split from 10.550 (1979U1)

### 10.566

Nutrition Assistance for Puerto Rico (1983B)

### 10.567

Food Distribution Program Commodities in Lieu of Food Stamps (Indian Reservations) (1983B)

Food Distribution Program Commodities on Indian Reservations (1983U)

Needy Family Program (1985B)

Food Distribution Program on Indian Reservations (1988B)

### 10.568

Temporary Emergency Food Assistance (Administrative Costs) (1984B)

Emergency Food Assistance Program (Administrative Costs) (1993U)

### 10.569

Temporary Emergency Food Assistance (Food Commodities) (1989B)

Emergency Food Assistance Program (Food Commodities) (1993U)

### 10.570

Nutrition Program for the Elderly (Commodities) (1989B)

Nutrition Program for the Elderly (2001U)

Nutrition Services Incentive (2002B)

Deleted (2005)

### 10.571

Food Commodities for Soup Kitchens (1989B)

Archived (1996U)

### 10.572

WIC Farmers' Market Nutrition Program (FMNP) (1993U)

### 10.573

Homeless Children Nutrition Program (1995U)

Incorporated into 10.558 (2000B)

Deleted Program no longer funded. (2000)

### 10.574

Team Nutrition Grants (1997U)

### 10.575

Farm to School Grant Program (2012)

### 10.576

Senior Farmers Market Nutrition Program (2004)

### 10.577

SNAP Partnership Grant (2011)

### 10.578

WIC Grants To States(WGS) (2004)

### 10.579

Child Nutrition Discretionary Grants Limited Availability (2004)

### 10.580

Food Stamp Program Research Grants to Improve Access Through New Technology and Partnerships (2004)

Food Stamp Program , Outreach Grants (2005)

Food Stamp Program Outreach Grants (2005)

Food Stamp Program Outreach/Participation Program (2008)

Special Nutrition Assistance Program

Outreach/Participation Program (2008)

Supplemental Nutrition Assistance Program, Outreach/Participation Program (2009)

### 10.581

WIC Discretionary Grant Funds (2004)

Deleted (2004)

### 10.582

Fresh Fruit and Vegetable Program (2005)

### 10.583

Hunger Free Communities (2010)

### 10.584

SNAP Research Grants (2012)

### 10.585

FNS Food Safety Grants (2010)

### 10.586

Office of Research and Analysis (ORA)

Grants/Cooperative Agreements to Meet Food, Nutrition and Health Needs of Program Eligible Participants (2011)

Special Supplemental Nutrition Program for Women, Infants and Children; Nutrition Education Innovations (2012)

### 10.587

National Food Service Management Institute Administration and Staffing Grant (2012)

### 10.588

Assessment of Alternatives to Face-to-Face Interviews in SNAP (2011)

### 10.589

Child Nutrition Direct Certification Performance Awards (2012)

### 10.600

Export Market Development (1967B)

Agricultural Export Services (1969B)

Foreign Market Development and Promotion (1970B)

Foreign Agricultural Market Development and Promotion (1972B)

Archived (1975B)

Reinstated (1985U)

Foreign Market Development Cooperation Program (1997B)

Foreign Market Development Cooperator Program (1999B)

### 10.601

Targeted Export Assistance (1987B)

Market Promotion Program (1991B)

Market Access Program (1997B)

### 10.602

CCC's Dairy Export Incentive Program (2012)

### 10.603

Emerging Markets Program (2002B)

### 10.604

Technical Assistance for Specialty Crops Program (2004)

### 10.605

Quality Samples Program (2004)

### 10.606

Food for Progress (2003B)

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<b>10.607</b> Section 416(b) (2003B) Archived (2010)	<b>10.656</b> Cooperative Forest Fire Control (1974B) Split from 10.650 (1974B) Consolidated into 10.664 (1978U)	School Funds_Grants to Arizona and New Mexico (1980U2) School Funds_Grants to Arizona (1981B) Archived (1984B)
<b>10.608</b> Food for Education (2003B)	<b>10.657</b> Cooperation in Forest Management and Processing (1974B) Split from 10.650 (1974B) Consolidated into 10.664 (1978U)	<b>10.668</b> Additional Lands_Grants to Minnesota (1980U2) Archived (1995B)
<b>10.609</b> Trade Adjustment Assistance (2004)	<b>10.658</b> Cooperative Forest Insect and Disease Control (1974B) Split from 10.650 (1974B) Cooperative Forest Insect and Disease Management (1976B) Consolidated into 10.664 (1978U)	<b>10.669</b> Accelerated Cooperative Assistance for Forest Programs on Certain Lands Adjacent to the Boundary Waters Canoe Area Archived (1992B)
<b>10.610</b> Export Guarantee Program (2010)	<b>10.659</b> Cooperative Production and Distribution of Forest Tree Planting Stock (1974B) Split from 10.650 (1974B) Consolidated into 10.664 (1978U)	<b>10.670</b> National Forest_Dependent Rural Communities (1993B) Archived (2010)
<b>10.611</b> Regional Centers for the Transfer of Manufacturing Technology (1989B)	<b>10.660</b> General Forestry Assistance (1974B) Split from 10.650 (1974B) Consolidated into 10.664 (1978U)	<b>10.671</b> Southeast Alaska Economic Disaster Fund (1997U) Archived (2010)
<b>10.612</b> USDA Local and Regional Food Aid Procurement Pilot Project (2012)	<b>10.661</b> Youth Conservation Corps_Grants to States (1974B) Archived (1982B)	<b>10.672</b> Rural Development, Forestry and Communities (2000B) Rural Development, Forestry, and Communities (2000U) Archived (2009) Reinstated (2009)
<b>10.613</b> Faculty Exchange Program (2011)	<b>10.662</b> Rural Community Fire Protection (1975U) Consolidated into 10.664 (1978U)	<b>10.673</b> Wood In Transportation Program (2003B)
<b>10.614</b> Scientific Cooperation Exchange Program with China (2011)	<b>10.663</b> Young Adult Conservation Corps (1978B) Young Adult Conservation Corps_Grants to States (1978U) Archived (1983B)	<b>10.674</b> Technology Marketing Unit (2003B) Forest Products Lab: Technology Marketing Unit (TMU) (2005) Forest Products Lab: Technology Marketing Unit (TMU) (2005)
<b>10.650</b> Forest Service Cooperative State and Private Programs (1965B) Forestry Cooperative Programs (1969B) State and Private Forestry Cooperation (1970B) Split into 10.655, 10.656, 10.657, 10.658, 10.659, 10.660 (1974B)	<b>10.664</b> Cooperative Forestry Assistance (1978U) Consolidated from 10.655, 10.656, 10.657, 10.658, 10.659, 10.660, 10.662 (1978U)	<b>10.675</b> Urban and Community Forestry Program (2003B)
<b>10.651</b> Forestry Cooperative Research (1970U) Archived (1978U)	<b>10.665</b> Schools and Roads_Grants to States (1980U2) Secure Payments for States and Counties Containing Federal Land (2008) Schools and Roads - Grants to States (2009)	<b>10.676</b> Forest Legacy Program (2003B)
<b>10.652</b> Forestry Research (1970U)	<b>10.666</b> Schools and Roads_Grants to Counties (1980U2)	<b>10.677</b> Forest Land Enhancement Program (2003B) Archived (2010)
<b>10.653</b> Land Adjustments (1970U) Land Exchange in the National Forests (1971B) Archived (1973B)	<b>10.667</b> Forest Health Protection (2005)	<b>10.678</b> Forest Stewardship Program (2003B)
<b>10.654</b> Forestry Cooperative Law Enforcement (1973U) Cooperative Law Enforcement (1975B) Archived (1977B)		<b>10.679</b> Collaborative Forest Restoration (2005)
<b>10.655</b> Assistance to States for Tree Planting and Reforestation (1974B) Split from 10.650 (1974B) Assistance to States for Tree Improvement (1977B) Consolidated into 10.664 (1978U)		<b>10.680</b> Forest Health Protection (2005)

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<b>10.681</b> WOOD EDUCATION AND RESOURCE CENTER (WERC) (2008) Wood Education and Resource Center (WERC) (2008)	National Agricultural Library (1982B)	<b>10.771</b> Rural Technology Development Grants (1994U) Rural Cooperative Development Grants (1997B)
<b>10.682</b> National Forest Foundation (2009)	<b>10.750</b> Information on Agricultural Activities (1969B) Archived (1978B)	<b>10.772</b> Empowerment Zones Program (1994U) Archived (2010)
<b>10.683</b> National Fish and Wildlife Foundation (2009)	<b>10.759</b> PART 1774 Special Evaluation Assistance for Rural Communities and Households Program (SEARCH) (2009)	<b>10.773</b> Rural Business Opportunity Grants (1999B)
<b>10.684</b> International Forestry Programs (2008)	<b>10.760</b> Water and Waste Disposal Systems for Rural Communities Number changed from 10.418 (1993B)	<b>10.774</b> National Sheep Industry Improvement Center (1998U) Archived (2010)
<b>10.685</b> Community Wood Energy Program (2009) Archived (2010) Reinstated (2011)	<b>10.761</b> Technical Assistance and Training Grants Number changed from 10.436 (1993B)	<b>10.775</b> Renewable Energy Systems and Energy Efficiency Improvements Program (2003B) Archived (2010)
<b>10.686</b> Forest Biomass for Energy (2009) Archived (2010) Reinstated (2012)	<b>10.762</b> Solid Waste Management Grants (1993B)	<b>10.777</b> Norman E. Borlaug International Agricultural Science and Technology Fellowship (2010)
<b>10.687</b> RECOVERY ACT OF 2009: CAPITAL IMPROVEMENT AND MAINTENANCE (2009)	<b>10.763</b> Emergency Community Water Assistance Grants Number changed from 10.440 (1993B)	<b>10.778</b> Research on the Economic Impact of Cooperatives (2006)
<b>10.688</b> Recovery Act of 2009: Wildland Fire Management (2009)	<b>10.764</b> Resource Conservation and Development Loans Number changed from 10.414 (1993B) Archived (1998U)	<b>10.780</b> Community Facilities Loans and Grants (2009) Archived (2012)
<b>10.689</b> Community Forest and Open Space Conservation Program (CFP) (2009)	<b>10.765</b> Watershed Protection and Flood Prevention Loans Number changed from 10.419 (1993B) Archived (1998U)	<b>10.781</b> Water and Waste Disposal Systems for Rural Communities - ARRA (2009)
<b>10.690</b> Lake Tahoe Erosion Control Grant Program (2009)	<b>10.766</b> Community Facilities Loans Number changed from 10.423 (1993B) Community Facilities Loans (1997U) Community Facilities Loans and Grants (1998B)	<b>10.783</b> Rural Business Enterprise Grants - ARRA (2009) Archived (2012)
<b>10.691</b> Good Neighbor Authority (2009)	<b>10.767</b> Intermediary Relending Program Number changed from 10.439 (1993B)	<b>10.787</b> Broadband Initiatives Program (2009) Archived (2012)
<b>10.693</b> Watershed Restoration and Enhancement Agreement Authority (2009)	<b>10.768</b> Business and Industrial Loans Number changed from 10.422 (1993B) Business and Industry Loans (1998B)	<b>10.788</b> Very Low to Moderate Income Housing Loans - Direct (2009) Archived (2012)
<b>10.694</b> Southwest Forest Health and Wildfire Prevention (2010)	<b>10.769</b> Rural Development Grants Number changed from 10.424 (1993B) Rural Business Enterprise Grants (2001B)	<b>10.789</b> Very Low to Moderate Income Housing Loans - Guaranteed (2009) Archived (2012)
<b>10.695</b> EASTERN NEVADA LANDSCAPE RESTORATION PROJECT (ENLRP) (2010) Archived (2011)	<b>10.770</b> Water and Waste Disposal Loans and Grants (Section 306C) (1993B)	<b>10.800</b> Livestock and Poultry Market Supervision (1969B) Number changed to 10.159 (1978B) Number changed from 10.159 (1981U) Livestock, Meat and Poultry Market Supervision

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(1984B) Deleted (2004)	Rural Business Investment Program (2004) Archived (2010)	<b>10.879</b> Rural Development Research (1978B) Number changed from 10.204 (1978B) Number changed to 10.204 (1981U)
<b>10.825</b> Technical Assistance to Rural Areas (1975B) Archived (1977U)	<b>10.861</b> Public Television Station Digital Transition Grant Program (2005)	<b>10.880</b> Payments to 1890 Land-Grant Colleges and Tuskegee Institute (1978B) Split from 10.200 (1978B) Number changed to 10.205 (1981U)
<b>10.850</b> Rural Electrification Program (1965B) Rural Electrification Loans (1970B) Rural Electrification Loans and Loan Guarantees (1977B)	<b>10.862</b> Household Water Well System Grant Program (2004)	<b>10.881</b> Cooperative Extension Service (1978B) Number changed from 10.500 (1978B) Number changed to 10.500 (1981U)
<b>10.851</b> Rural Telephone Service (1969B) Rural Telephone Loans (1970B) Rural Telephone Loans and Loan Guarantees (1977B)	<b>10.863</b> Community Connect Grant Program (2004)	<b>10.882</b> Higher Education_Land-Grant Colleges and Universities (1978B) Transferred from 13.453 (1978B) Number changed to 10.501 (1981U)
<b>10.852</b> Rural Telephone Bank Loans (1972B)	<b>10.864</b> Grant Program to Establish a Fund for Financing Water and Wastewater Projects (2005)	<b>10.883</b> Technical Information Systems (1978B) Number changed from 10.700 (1978B) Number changed to 10.700 (1981U)
<b>10.853</b> Community Antenna Television Loans and Loan Guarantees (1980B) Archived (2007)	<b>10.865</b> Biorefinery Assistance (2009)	<b>10.884</b> Grants for Agricultural Research_Competitive Research_Grants (1978B) Number changed to 10.206 (1981U)
<b>10.854</b> Rural Economic Development Loans and Grants (1988U) Number changed from 10.853 (1989B)	<b>10.866</b> Repowering Assistance (2010)	<b>10.885</b> Animal Health and Disease Research (1980B) Number changed to 10.207 (1981U)
<b>10.855</b> Distant Learning and Medical Link Grants (1992B) Distance Learning and Medical Link Grants (1993B) Distance Learning and Telemedicine Loans and Grants (1997B)	<b>10.867</b> BIOENERGY PROGRAM FOR ADVANCED BIOFUELS (2010)	<b>10.886</b> Rural Broadband Access Loans and Loan Guarantees (2005)
<b>10.856</b> 1890 Land Grant Institutions Rural Entrepreneurial Outreach Program (2004)	<b>10.868</b> Rural Energy for America Program (2009)	<b>10.900</b> Great Plains Conservation (1969B)
<b>10.857</b> State Bulk Fuel Revolving Fund Grants (2001U)	<b>10.870</b> Rural Microentrepreneur Assistance Program (2009)	<b>10.901</b> Resource Conservation and Development (1970B)
<b>10.858</b> RUS Denali Commission Grants and Loans (2002B) Denali Commission Grants and Loans (2007) Denali Commission Grants and Loans (2011)	<b>10.874</b> Delta Health Care Services Grant Program (2011)	<b>10.902</b> Soil and Water Conservation (1970B) Split into 10.902, 10.905, 10.906, 10.907 (1971B) Consolidated from 10.908 (1990B)
<b>10.859</b> Assistance to High Energy Cost Rural_Communities (2001U) Assistance to High Energy Cost_Rural Communities (2002B) Assistance to High Energy Cost Rural Communities (2007)	<b>10.875</b> Agricultural Research_Basic and Applied Research (1978B) Number changed from 10.001 (1978B) Number changed to 10.001 (1981U)	<b>10.903</b> National Cooperative Soil Survey (1969B) Soil Survey (1970B)
<b>10.860</b>	<b>10.876</b> Grants for Agricultural Research, Special Research Grants (1978B) Number changed from 10.200 (1978B) Number changed to 10.200 (1981U)	<b>10.904</b> Watershed Protection and Flood Prevention (1970B) Consolidated into 10.911 (1996B)
	<b>10.877</b> Cooperative Forestry Research (1978B) Number changed from 10.202 (1978B) Number changed to 10.202 (1981U)	
	<b>10.878</b> Payments to Agricultural Experiment Stations Under Hatch Act (1978B) Number changed from 10.203 (1978B) Number changed to 10.203 (1981U)	

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<b>10.905</b> Plant Materials for Conservation (1971B) Split from 10.902 (1971B)	Archived (2010)	Hard White Wheat Incentive Program (2005) Archived (2009)
<b>10.906</b> River Basin Surveys and Investigations (1971B) Split from 10.902 (1971B) Consolidated into 10.911 (1996B) Watershed Surveys and Planning (1997B) Archived (2010)	<b>10.919</b> Klamath Basin _ Environmental Quality Incentives Program (2004) Archived (2010)	<b>10.998</b> Long Term Standing Agreements for Storage, Transportation, and Lease (2011) Archived (2012) Reinstated (2012) Archived (2012)
<b>10.907</b> Snow Survey and Water Supply Forecasting (1971B) Split from 10.902 (1971B)	<b>10.920</b> Grassland Reserve Program (2004)	<b>10.999</b> LONG TERM STANDING AGREEMENTS FOR STORAGE, TRANSPORTATION AND LEASE (2008) Archived (2011) Reinstated (2012)
<b>10.908</b> Land Inventory and Monitoring (1977B) Inventory and Monitoring (1978B) Resources Inventory (1983U) Consolidated into 10.902 (1990B)	<b>10.921</b> Conservation Security Program (2004)	<b>DEPARTMENT OF COMMERCE</b> Development Highways and Access Roads for the Appalachian Region (1965B) Administration and Research in Economic Development Programs in Appalachia (1967B) Archived (1969B)
<b>10.909</b> Resource Appraisal and Program Development (1979B) Archived (1983U)	<b>10.922</b> Healthy Forests Reserve Program (HFRP) (2007)	Community Relations Service (1965B) Archived (1967B)
<b>10.910</b> Rural Abandoned Mine Program (1979U1) Archived (2010)	<b>10.923</b> Emergency Watershed Protection Program (2007)	Development of Ports (1967B) Archived (1969B)
<b>10.911</b> Watershed Surveys and Planning Consolidated from 10.904, 10.906 (1996B) Incorporated into 10.906 (1997B)	<b>10.924</b> Conservation Stewardship Program (2011)	Economic Development Districts (1967B) Consolidated into 11.300 (1969B)
<b>10.912</b> Environmental Quality Incentives Program (1997B)	<b>10.925</b> Agricultural Water Enhancement Program (2011)	Grants and Loans for Public Works and Development Facilities (1967B) Consolidated into 11.300 (1969B)
<b>10.913</b> Farm Land Protection Program (1997B) Farmland Protection Program (1997U)	<b>10.926</b> Chesapeake Bay Watershed Program (2011)	Gross National Product Estimates (1967B) Archived (1969B)
<b>10.914</b> Wildlife Habitat Incentive Program (1997B)	<b>10.950</b> Agricultural Statistical Reports (1969B) Number changed to 10.252 (1978B) Agriculture Statistical Reports (1981U) Agricultural Statistics Reports (1986U)	High Speed Ground Transportation (1965B) Highway Beautification (1965B) Transferred/Split into 20.202, 20.203, 20.204 (1970B)
<b>10.915</b> Fund for Rural America_Small Farmer Outreach Training and Technical Assistance (1998B) Archived (1999B)	<b>10.960</b> Technical Agricultural Assistance (1986B)	Highway Planning and Construction (1965B) Transferred to 20.205 (1970B)
<b>10.916</b> Watershed Rehabilitation Program (2003B)	<b>10.961</b> International Agricultural Research_Collaborative Program (1986B) International Agricultural Research Program (1991U) Scientific Cooperation Program, Incorporated from 10.963 (1999B) Scientific Cooperation and Research (2001B)	Industry and Commodity Information (1965B) Archived (1967B)
<b>10.917</b> Agricultural Management Assistance (2004)	<b>10.962</b> International Training_Foreign Participant (1986B) Cochran Fellowship Program-International Training-Foreign Participant (2006)	Regional Action Planning Commissions (1967B) Consolidated into 11.300 (1969B)
<b>10.918</b> Ground and Surface Water Conservation_ Environmental Quality Incentives Program (2004)	<b>10.963</b> Scientific and Technical Cooperation (1990B) Incorporated into 10.961 (1999B)	State Technical Services Program (1967B) Archived (1970B)
	<b>10.994</b> Peanut Quota Buyout Program (2005) Archived (2009)	Supplements to Federal Grant-in-Aid Programs in Appalachia (1965B) Supplemental Grants-in-Aid for Appalachia
	<b>10.995</b>	



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(1967B) Archived (1969B)	STAT-USA: Key Business, Economic, and International Trade Information (2006)	Number changed to 11.309 (1975U)
<b>11.001</b> Statistical Data for Small Areas (1965B) Census Data (1967B) Census and Statistical Reports (1969B) Census Bureau Data Products (1980U1)	<b>11.027</b> Business Assistance, Services, and Information (1980B) Number changed from 11.104 (1980B) Number changed to 11.050 (1980U2) Productivity and Economic Growth (1982B) Number changed to 11.980 (1989B) Economic Bulletin Board (EBB) (1994B) State of the Nation (2002B) Deleted (2006)	<b>11.106B</b> Antidumping Duties (1980B) Transferred from 21.200 (1980B) Remedies for Unfair Foreign Trade Practices_Antidumping Duty Investigations (1991B) Remedies for Unfair Foreign Trade Practices_Antidumping and Countervailing Duty Investigations (1996U)
<b>11.002</b> Census Data Access and Use Laboratory (1970B) Census Data User Services (1972B) Census Customer Services (1995U)	<b>11.050</b> Business Assistance, Services, and Information (1980U2) Number changed from 11.027 (1980U2) Number changed to 11.110 (1984B)	<b>11.107</b> Countervailing Duty on Imports (1980B) Transferred from 21.201 (1980B) Remedies for Unfair Foreign Trade Practices_Countervailing Duty Investigations (1991B) Archived (1997B)
<b>11.003</b> Census Mapping and Statistical Areas (1969B) Census Geography (1970B)	<b>11.100</b> Export Licensing Service and Information (1969B) Number changed to 11.150 (1988B)	<b>11.108</b> International Trade Promotion (1980B) Consolidated from 11.101, 11.103 (1980B) International Trade (1984B) Export Promotion Services (1985B) Commercial Service (1995B)
<b>11.004</b> Census Intergovernmental Services (1970B)	<b>11.101</b> International Trade Promotion (1967B) Export Trade Promotion (1969B) Consolidated into 11.108 (1980B)	<b>11.109</b> Trade Adjustment Assistance (1980B) Archived (1986B) Reinstated (1988U) Number changed to 11.313 (1991B)
<b>11.005</b> Census Special Tabulations and Services (1969B)	<b>11.102</b> Foreign Investment in the United States (1967B) Foreign Investment Development in the United States (1969B) Archived (1977U)	<b>11.110</b> Business Assistance, Services, and Information (1984B) Number changed from 11.050 (1984B) Trade Development (1985B) Manufacturing and Services (2005) Manufacturing and Services (2005)
<b>11.006</b> Personal Census Age Search (1967B) Personal Census Search (1969B)	<b>11.103</b> Commercial Intelligence Service (1967B) International Commercial Information (1969B) Consolidated into 11.108 (1980B)	<b>11.111</b> Foreign-Trade Zones in the United States (1986U)
<b>11.007</b> Measures and Analyses of U.S. Economy (1972B) Number changed from 11.700 (1972B) Number changed to 11.025 (1976U)	<b>11.104</b> Business Assistance, Services, and Information (1973B) Number changed from 11.200 (1973B) Number changed to 11.027 (1980B)	<b>11.112</b> Export Promotion_Market Development Cooperator (1994B) Export Promotion Market Development Cooperation (2002B) Market Development Cooperator Program (2007)
<b>11.008</b> NOAA Mission-Related Education Awards (2009)	<b>11.105</b> Importation of Duty-Free Educational and Scientific Materials (1973B) Number changed from 11.201 (1973B) Archived (1986B)	<b>11.113</b> ITA Special Projects (1995B)
<b>11.009</b> TV Converter Box Coupon Program Consumer Education and Technical Assistance (2009) Archived (2010)	<b>11.106</b> Remedies for Unfair Foreign Trade Practices_Antidumping and Countervailing Duty Investigations (2004)	<b>11.114</b> Special American Business Internship Training Program (1997B)
<b>11.010</b> Community Trade Adjustment Assistance (2009)	<b>11.106A</b> Trade Adjustment Assistance (1973B) Number changed from 11.202 (1973B)	<b>11.115</b> American Business Center (1998U)
<b>11.011</b> Ocean Exploration (2009)		
<b>11.012</b> Integrated Ocean Observing System (IOOS) (2009)		
<b>11.013</b> Education Quality Award Ambassadorship (2009)		
<b>11.025</b> Measures and Analyses of the U.S. Economy (1976U) Number changed from 11.007 (1976U)		
<b>11.026</b> National Trade Data Bank (NTDB) (1994B)		

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Archived (2001B)

## 11.150

Export Licensing Service and Information (1988B)  
Number changed from 11.100 (1988B)

## 11.200

Information and Services to Industrial Community (1967B)  
Business Assistance, Services and Information (1969B)  
Number changed to 11.104 (1973B)

## 11.201

Importation of Duty-Free Educational and Scientific Materials (1969B)  
Number changed to 11.105 (1973B)

## 11.202

Trade Adjustment Assistance (1971U)  
Number changed to 11.106 (1973B)

## 11.300

Public Works and Economic Development (1965B)  
Economic Development\_Grants and Loans for Public Works and Development Facilities (1969B)  
Split into 11.300, 11.301, 11.302, 11.303 (1969B)  
Archived (1973B)  
Reinstated (1973U)  
Economic Development\_Grants and Loans for Public Works and Development Facilities (1973U)  
Economic Development\_Grants for Public Works and Development Facilities (1981U)  
Economic Development\_Grants for Public Works and Infrastructure Development (1995B)  
Grants for Public Works and Economic Development (1999B)  
Grants for Public Works and Economic Development Facilities (2002B)  
Investments for Public Works and Economic Development Facilities (2007)

## 11.301

Economic Development\_Loans for Businesses and Development Companies (1969B)  
Split from 11.300 (1969B)  
Archived (1973B)  
Reinstated (1973U)  
Economic Development\_Business Development Assistance (1975B)  
Archived (1993U)

## 11.302

Economic Development\_Assistance for Distressed Areas (1969B)  
Split from 11.300 (1969B)  
Economic Development\_Planning Assistance (1970B)  
Archived (1973B)  
Reinstated (1973U)

Economic Development\_Support for Planning Organizations (1975B)

Archived (1999B)

Reinstated/Incorporated from 11.305 (2000B)

## 11.303

Economic Development\_Technical Assistance Research, and Information (1969B)  
Split from 11.300 (1969B)  
Economic Development\_Technical Assistance (1970B)  
Archived (1973B)  
Reinstated (1973U)

## 11.304

Economic Development\_Public Works Impact Projects (1972B)  
Archived (1973B)  
Reinstated (1973U)  
Economic Development\_Public Works Impact Program (1990U)  
Archived (1999B)

## 11.305

Economic Development\_State and Local Economic Development Planning (1975B)  
Incorporated into 11.302 (2000B)

## 11.306

Economic Development\_District Operational Assistance (1975B)  
Archived (1986B)

## 11.307

Economic Development\_Special Economic Development and Adjustment Assistance Program (1975B)  
Special Economic Development and Adjustment Assistance Program\_Long-Term Economic Deterioration (1979B)  
Split into 11.307, 11.311 (1979B)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe or Long-Term Economic Deterioration (1983B)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation or Long-Term Economic Deterioration (1984B)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation and Long-Term Economic Deterioration (1986U)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation (SSED) and Long-Term Economic Deterioration (LTED) (1997B)  
Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation and Long-Term Economic Deterioration (1997U)  
Economic Adjustment Assistance (1999B)

## 11.308

Grants to States for Supplemental and Basic Funding of Titles I, II, and IV Activities (1975U)  
Grants to States for Supplemental and Basic Funding of Titles I, II, III, IV and IX Activities (1977B)  
Archived (1981U)

## 11.309

Trade Adjustment Assistance (1975U)  
Number changed from 11.106 (1975U)  
Archived (1981U)

## 11.310

Redevelopment Area Loan Program (Section 204) (1977U)  
Incorporated into 11.307 (1978B)

## 11.311

Special Economic Development and Adjustment Assistance Program\_Sudden and Severe Economic Dislocation (1979B)  
Split from 11.307 (1979B)  
Archived (1981U)

## 11.312

Research and Evaluation Program (1984B)

## 11.313

Trade Adjustment Assistance  
Number changed from 11.109 (1991B)  
Trade Adjustment Assistance for Firms (2007)

## 11.400

Geodetic Surveys and Services (Geodesy and Applications of the National Geodetic Reference System) (2004)

## 11.400A

6Geodetic Control Surveys and Tideland Studies (1965B)  
Geodesy (1970B)  
Geodetic Control Surveys (1971B)

## 11.400B

6Geodetic Surveys and Services (1974U)  
Archived (1989B)  
Reinstated (1991B)

## 11.401

Nautical Charts and Related Data (1965B)  
Archived (1986B)

## 11.402A

6Weather Bureau River and Flood Forecasting Service (1965B)  
River and Flood Forecasting (1967B)  
River and Flood Forecasts (1969B)  
River and Flood Forecast and Warning Services (1974U)

## Appendix VII: Historical Profile of Catalog Programs

Archived (1977U)

### 11.402B

6Marine Boundary Program (1981B)  
Archived (1986B)

### 11.403

Seismological Investigations (1970B)  
Archived (1973B)

### 11.404

Weather and Climate Guidance (1965B)  
Weather and Marine Forecasts and Climate  
Guidance (1969B)  
Weather Forecasts and Warnings (1970B)  
Weather and River Forecasts and Warnings  
(1977U)  
Archived (1979B)

### 11.405

Anadromous and Great Lakes Fisheries  
Conservation (1971B)  
Transferred from 15.001 (1971B)  
Anadromous Fish Conservation Act Program  
(1991U)  
Archived (2009)

### 11.406

Commercial Fisheries Disaster Assistance (1971B)  
Transferred from 15.002 (1971B)  
Archived (1981B)

### 11.407

Commercial Fisheries Research and Development  
(1971B)  
Transferred from 15.003 (1971B)  
Interjurisdictional Fisheries Act of 1986 (1987U)

### 11.408

Current Economic Analysis of Food Fish, Shellfish,  
and Industrial Fishery Projects (1971B)  
Archived (1973B)  
Reinstated (1980B)  
Fishermen's Contingency Fund (1980B)

### 11.409

Fisheries Loan Fund (1971B)  
Transferred from 15.005 (1971B)  
Incorporated into 11.415 (1974B)  
Reinstated/Split from 11.415 (1980B)  
Fishing Vessel and Gear Damage Compensation  
Fund (1980B)  
Archived (1998B)

### 11.410

Fishermen\_Reimbursement of Losses (1971B)  
Transferred from 15.004 (1971B)  
Fishermen's Guaranty Fund (1981B)  
Number changed to 19.204 (1987B)

### 11.411

Fishery Cooperative Services (1971B)  
Archived (1986B)

### 11.412

Fishery Marketing Assistance (1971B)  
Transferred from 15.006 (1971B)  
Archived (1973B)

### 11.413

Fishery Products Inspection and Certification  
(1971B)  
Transferred from 15.007 (1971B)

### 11.414

Fishing Statistics and Market News (1971B)  
Transferred from 15.008 (1971B)  
Archived (1973B)

### 11.415

Fishing Vessel Mortgage and Loan Insurance  
(1971B)  
Transferred from 15.009 (1971B)  
Fishing Vessel Obligation Guarantees (1973B)  
Federal Ship Financing Fund Liquidating Account  
(1992B)  
Fisheries Obligation Guarantee Program (1994U)  
Fisheries Finance Program (1998B)

### 11.416

Jellyfish Control (1971B)  
Transferred from 15.010 (1971B)  
Archived (1973B)

### 11.417

Sea Grant Institutional Support (1971B)  
Transferred from 47.022 (1971B)  
Sea Grant Support (1972B)

### 11.418

Sea Grant Project Support (1971B)  
Transferred from 47.023 (1971B)  
Incorporated into 11.417 (1972B)  
Coastal Zone Management Program Development  
(1974B)  
Reinstated/Split from 11.417 (1974B)  
Archived (1980B)

### 11.419

Coastal Zone Management Program Administration  
(1974U)  
Coastal Zone Management Program Administration  
Grants (1985B)  
Coastal Zone Management Program  
Implementation and Enhancement Awards (1991B)  
Coastal Zone Management Administration Awards  
(1992B)

### 11.420

Coastal Zone Management Estuarine Sanctuaries

(1975B)

Coastal Zone Management Estuarine Research  
Reserves (1986U)

### 11.421

Coastal Energy Impact Program\_Formula Grants  
(1977U)  
Energy Impact\_Formula Grants (1984B)  
Archived (1986B)

### 11.422

Coastal Energy Impact Program\_Planning Grants  
(1977U)  
Coastal Energy Impact Grants (1985B)  
Archived (1986B)

### 11.423

Coastal Energy Impact Program\_Loans and  
Guarantees (1977U)  
Archived (1985U)

### 11.424

Coastal Energy Impact Program\_Environmental  
Grants (1977U)  
Archived (1983B)

### 11.425

Coastal Energy Impact Program\_Outer Continental  
Shelf State Participation Grants (1980B)  
Archived (1985B)

### 11.426

Ocean Dumping and Monitoring Program (1980B)  
Financial Assistance for Marine Pollution Research  
(1981B)  
Archived (1990B)  
Reinstated (1991B)  
Financial Assistance for National Status and Trends  
Programs (1991B)  
Financial Assistance for Ocean Resources  
Conservation and Assessment Program (1991U)  
Financial Assistance for National Centers for  
Central Coastal Ocean Science (1999B)  
Financial Assistance for National Centers for  
Coastal Ocean Science (1999U)

### 11.427

Fisheries Development and Utilization Research  
and Development Grants and Cooperative  
Agreements Program (1980B)

### 11.428

Intergovernmental Climate\_Demonstration Project  
(1980U1)  
Intergovernmental Climate\_Programs (1983U)  
Intergovernmental Climate\_Program (1995U)  
Intergovernmental Climate\_Program (NESDIS)  
(1999B)  
Deleted (2007)

### 11.429

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Marine Sanctuary Program (1985B)

### 11.430

Undersea Research (1987B)

### 11.431

Climate and Atmospheric Research (1987B)

Climate and Research (1992B)

Split into 11.459 (1992B)

Climate and Atmospheric Research (1992U)

### 11.432

Environmental Research Laboratories Joint Institutes (1990B)

Environmental Research Laboratories Cooperative Institutes (1992B)

Office of Oceanic and Atmospheric Research (OAR) Cooperative Institutes (1999U)

Office of Oceanic and Atmospheric Research (OAR) Joint and Cooperative Institutes (2001B)

National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (2010)

### 11.433

Marine Fisheries Initiative (1990U)

### 11.434

Cooperative Fishery Statistics (1991B)

### 11.435

Southeast Area Monitoring and Assessment Program (1991B)

### 11.436

Columbia River Fisheries Development Program (1991B)

### 11.437

West Coast Fisheries Data Program (1991B)

Pacific Fisheries Data Program (1995B)

### 11.438

Pacific Salmon Treaty Program (1991B)

Pacific Coast Salmon Recovery\_Pacific Salmon Treaty Program (2000B)

### 11.439

Marine Mammal Data Program (1991B)

### 11.440

Research in Remote Sensing of the Earth and Environment (1991B)

Environmental Sciences, Applications, Data, and Education (2002B)

### 11.441

Regional Fishery Management Councils (1991U)

### 11.442

Research in Oceanographic Data Base Management (1991U)

Archived (1999B)

### 11.443

Short-Term Climate Fluctuations (1992U)

Short\_Term Climate Fluctuations (1995B)

Short Term Climate Fluctuations (1995U)

Archived (2012)

### 11.444

Mahimahi Aquaculture (1991U)

Aquaculture Program (1994U)

Direct Housing\_Natural Disaster Loans and Grants (1999B)

Aquaculture Program (1999U)

Hawaii Sustainable Fisheries Development

(Aquaculture Program) (2004)

Archived (2012)

### 11.445

Stock Enhancement of Marine Fish in the State of Hawaii (1991U)

Hawaii Stock Management (2001B)

Hawaii Stock Management Program (2002B)

Archived (2012)

### 11.446

Antarctic Marine Living Resources (1991U)

Archived (1999B)

### 11.448

Federal/State Cooperative Program in Atmospheric Modification Research (1992B)

Federal/State Cooperative Program in Atmospheric Research (1995B)

Archived (1997B)

Reinstated (1998B)

Archived (1998U)

### 11.449

Independent Education and Science Projects and Programs (1992B)

Archived (2012)

### 11.450

Integrated Flood Observing and Warning System (IFLOWS) (1993B)

Archived (2012)

### 11.452

Unallied Industry Projects (1993U)

### 11.454

Unallied Management Projects (1993B)

### 11.455

Cooperative Science and Education Program (1993U)

Archived (2012)

### 11.457

Chesapeake Bay Studies (1992B)

### 11.458

Alaska Salmon Enhancement (1993B)

Deleted (2004)

Consolidated into 11.438 (2004)

### 11.459

Climate and Air Quality Research (1992B)

Split from 11.431 (1992B)

Weather and Air Quality Research (2002B)

### 11.460

Congressionally Identified Program Needs (1992B)

Special Oceanic and Atmospheric Projects (1992U)

### 11.461

Cooperative Institute (1992B)

Archived (1994U)

### 11.462

Hydrologic Research (1994B)

### 11.463

Habitat Conservation (1993B)

### 11.464

Marine Research\_Regional Programs (1993B)

Archived (1997B)

### 11.466

Marine Instrumentation Special Projects (1993B)

Archived (1994B)

### 11.467

Meteorologic and Hydrologic Modernization Development (1993U)

### 11.468

Applied Meteorology Research (1993B)

Collaborative Applied Hydrometeorological Research Activities (1993U)

Cooperative Institute for Applied Meteorological Studies (CIAMS) and Cooperative Institute for Tropical Meteorology (CITM) (1994B)

Applied Meteorological Research (2002B)

### 11.469

Congressionally Identified Construction Projects (1993B)

Congressionally Identified Awards and Projects (2004)

### 11.470

Office of Administration Special Programs (1993U)

Deleted (2004)

Consolidated into 11.481 (2004)

### 11.472

Unallied Science Program (1994U)

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<b>11.473</b> Coastal Ecosystem Health (1995U) Coastal Services Center (1997B)	<b>11.506</b> State Marine Schools (1967B) Number changed to 20.806 (1981U)	NYC 9/11 Digital Television Program (2008) Archived (2012)
<b>11.474</b> Atlantic Coastal Fisheries Cooperative Management Act (1995B)	<b>11.507</b> Maritime Manpower Training (1969B) U.S. Merchant Marine Academy (1970B) Number changed to 20.807 (1981U)	<b>11.554</b> Low-Power Television and Translator Digital-to-Analog Conversion (2007) Archived (2010)
<b>11.477</b> Fisheries Disaster Relief (1999B) Archived (2012)	<b>11.508</b> Capital Construction Fund (1973U) Number changed to 20.808 (1981U)	<b>11.555</b> Public Safety Interoperable Communications Grant Program (2008) Archived (2010) Reinstated (2010)
<b>11.478</b> Coastal Ocean Program (1998B) Center for Sponsored Coastal Ocean Research_Costal Ocean Program (2000B)	<b>11.509</b> Development and Promotion of Domestic Waterborne Transport Systems (1974U) Number changed to 20.809 (1981U)	<b>11.556</b> TV Converter Box Coupon Program (2008) Archived (2010)
<b>11.480</b> National Ocean Service Intern Program (1999B) Archived (2009)	<b>11.510</b> Supplementary Training (1980U2) Number changed to 20.810 (1981U)	<b>11.557</b> Broadband Technology Opportunities Program (BTOP) (2009)
<b>11.481</b> Educational Partnership Program (2001U)	<b>11.511</b> Research and Development Assistance (1981B) Number changed to 20.811 (1981U)	<b>11.558</b> State Broadband Data and Development Grant Program (2009)
<b>11.482</b> Coral Reef Conservation Program (2010)	<b>11.512</b> Construction Reserve Fund (1981B) Number changed to 20.812 (1981U)	<b>11.559</b> Low-Power Television and Translator Upgrade Program (2009)
<b>11.500</b> Construction_Differential Subsidies (1970B) Number changed to 20.800 (1981U)	<b>11.549</b> State and Local Implementation Grant Program (2012)	<b>11.600</b> Building Code (Regulations) Assistance to States (1970B) Archived (1978U)
<b>11.501</b> Marine Development and Promotion Activities (1969B) Development and Promotion of Ports and Intermodal Transport Systems (1970B) Development and Promotion of Ports and Intermodal Transportation (1975B) Number changed to 20.801 (1981U)	<b>11.550</b> Public Telecommunications Facilities (1979B) Transferred from 13.413 (1979B) Public Telecommunications Facilities_Construction and Planning (1986B) Public Telecommunications Facilities_Planning and Construction (1994B) Public Telecommunications Facilities Planning and Construction (2004)	<b>11.601</b> Calibration and Testing Services (1970B) Physical Measurement Services Program (1991U) Calibration Program (1992B)
<b>11.502</b> Aids to Shipping and Shipbuilding (1967B) Shipping and Shipbuilding Assistance (1969B) Federal Ship Mortgage Insurance (1970B) Federal Ship Financing Guarantees (1973B) Number changed to 20.802 (1981U)	<b>11.551</b> Public Telecommunications Services Program (1980U1) Archived (1983B) National Endowment for Children's Educational Television (1993U) Archived (1997B)	<b>11.602</b> Clearinghouse for Scientific and Technical Information (1967B) Clearinghouse for Federal Scientific and Technical Information (1970B) Number changed to 11.650 (1971B)
<b>11.503</b> Maritime War Risk Insurance (1970B) Number changed to 20.803 (1981U)	<b>11.552</b> Telecommunications and Information Infrastructure Assistance Program (1994B) Technology Opportunities (2000B) Technology Opportunities Program (2004) Deleted (2006)	<b>11.603</b> Standard Reference Data (1969B) National Standard Reference Data System (1970B)
<b>11.504</b> Operating_Differential Subsidies (1970B) Number changed to 20.804 (1981U)	<b>11.553</b>	<b>11.604</b> Standard Reference Materials (1969B)
<b>11.505</b> Ship Exchange Program (1967B) Ships Exchange and Sales (1969B) Ship Sales (1972U) Number changed to 20.805 (1981U)		<b>11.605</b> State Invention Program (1970B) Archived (1975U)
		<b>11.606</b> Weights, Measures, and Other Standards (1967B)

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Weights and Measures Service (1969B)

## 11.607

Experimental Technology Incentives Program (1973U)  
Archived (1975B)

## 11.608

Fire Research and Safety Program (1974U)  
Archived (1978B)

## 11.609

Measurement and Engineering Research and Standards (1983B)

## 11.610

National Center for Standards and Certification Information (1986U)

## 11.611

Manufacturing Technology Centers Program (1992U)  
Manufacturing Extension Program (1993B)  
Manufacturing Technology Centers (1993U)  
Manufacturing Extension Partnership (1994B)  
Consolidated from 11.613 (1995B)

## 11.612

Advanced Technology Program (1990B)  
Archived (2009)

## 11.613

State Technology Extension Program (1990B)  
Consolidated into 11.611 (1995B)

## 11.614

Experimental Program to Stimulate Competitive Technology (1999B)  
Archived (2002B)

## 11.616

Technology Innovation Program (TIP) (2008)

## 11.617

Congressionally-Identified Projects (2002U)

## 11.618

National Institute of Standards and Technology Construction Grant Program (2008)

## 11.650

National Technical Information Service (1971B)  
Number changed from 11.602 (1971B)

## 11.651

Commerce Summary Statistical Data (1972B)  
Incorporated into 11.650 (1973B)  
Reinstated/Split from 11.650 (1980U1)  
Science Information Exchange, Inc. (1980U1)  
Archived (1983B)

## 11.700A

6Measures and Analyses of the U.S. Economy (1969B)  
Measures and Analyses of the United States Economy (1971B)  
Number changed to 11.007 (1972B)

## 11.700B

6Academy Planning Assistance (1977B)  
Transferred to 83.001 (1979B)

## 11.701

Importation of Duty-Free Education and Scientific Materials (1969B)  
State Fire Incident Reporting Assistance (1977B)  
Transferred to 83.002 (1979B)

## 11.702

Internship Program for Postsecondary Students (1999B)

## 11.750

Cooperative Generic Technology Program (1980U2)  
Archived (1982B)

## 11.800

Minority Business Enterprise (1970B)  
Minority Business Enterprise\_Coordination and Technical Assistance (1971B)  
Minority Business Development\_Coordination, Management, and Technical Assistance (1973B)  
Minority Business Development\_Management and Technical Assistance (1978U)  
Minority Business Development Centers (1986U)  
Split into 11.801, 11.802, 11.803 (1986U)  
Basic Minority Business Development Centers (2000B)  
Minority Business Development Centers (2001B)  
Minority Business Enterprise Centers (2006)  
Archived (2012)

## 11.801

American Indian Program (1986U)  
Native American Program (1993U)  
Native American Business Development Centers (2004)  
Naataive American Business Enterprise Centers (2006)

## 11.802

Minority Business and Industry Association\_Minority Chambers of Commerce (1986U)  
Minority Business Resource Development (1991U)  
Minority Business Development (1998B)  
Deleted (2004)

## 11.803

Minority Business Development\_State and Local

Government Program (1986U)

Archived (1988B)  
Reinstated (2002B)  
Archived (2012)

## 11.804

MBDA Business Center - American Indian and Alaska Native (2012)

## 11.805

MBDA Business Center (2010)

## 11.806

Minority Business Opportunity Committee Development (2000B)  
Minority Business Opportunity Committee (2002B)  
Archived (2003B)

## 11.900

Patent and Trademark Assistance (1969B)  
Patent and Trademark Technical Information Dissemination (1970B)

## 11.950

Visitor Services (1969B)  
Community Visitor Services (1972B)  
Archived (1972U)

## 11.951

Promotion of Travel from Abroad (1972B)  
Archived (1973U)  
Matching Funds (1974B)  
Reinstated (1974B)  
Matching Funds (1974B)  
Archived (1980U1)

## 11.975

Telecommunications Management and Analysis (1971U)  
Archived (1973B)

## 11.980

Productivity and Economic Growth  
Changed from 11.027 (1989B)  
Archived (1993B)

## DEPARTMENT OF DEFENSE

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Drainage Improvement (1965B)  
Archived (1969B)

Flood, Hurricane or Abnormal Tide Protection (1967B)  
Archived (1969B)

Health Benefits for Uniformed Military Servicemen and Dependents (1967B)  
Archived (1969B)

Hydroelectric Power Development (1965B)  
Archived (1969B)

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Information and Guidance on Flood Hazards (1967B)  
Archived (1969B)

Military Support of Community Projects (1967B)  
Archived (1969B)

Navigation in Rivers and Harbors (1967B)  
Archived (1969B)

Nuclear Disaster Planning and Survival (1967B)  
Archived (1969B)

Recreation Facilities at Federal Water Resources Projects (1967B)  
Archived (1969B)

Water Quality Control (1967B)  
Archived (1969B)

Water Resources Development Program (1965B)  
Archived (1967B)

Water Resources Investigation (1967B)  
Archived (1969B)

Water Supply (1967B)  
Archived (1969B)

**12.000**  
Issue of Department Of Defense excess equipment (2005)

**12.001**  
Machine Tool Loans to Vocational Schools. (1965B)  
Machine Tool Loan to Educational Institutions (1970B)  
Archived (1973B)  
Reinstated (1974B)  
Industrial Equipment Loans to Educational Institutions (1974B)  
Archived (1994B)

**12.002**  
Procurement Technical Assistance for Business Firms (1988B)

**12.100**  
Aquatic Plant Control (1967B)

**12.101**  
Beach Erosion Control (1967B)  
Beach Erosion Control Projects (1971B)

**12.102**  
Flood Control Works and Federally Authorized Coastal Protection Works, Rehabilitation (1984U)  
Emergency Rehabilitation of Flood Control Works and Federally Authorized Coastal Protection Works (1985U)

Emergency Rehabilitation of Flood Control Works or Federally Authorized Coastal Protection Works (1986U)

**12.103**  
Emergency Operations (1965B)  
Emergency Flood and Hurricane Operations (1969B)  
Flood Fighting and Rescue Operations, and Emergency Protection of Coastal Protective Works Federally Authorized (1970B)  
Flood Fighting and Rescue Operations (1986U)  
Emergency Operations Flood Response and Post Flood Response (1987U)

**12.104**  
Flood Control (1965B)  
Flood Plain Management Services (1969B)

**12.105**  
Protection of Essential Highways, Highway Bridge Approaches, and Public Works (1970B)

**12.106**  
Small Flood Control Projects (1970B)  
Flood Control Projects (1971B)

**12.107**  
Limited Water Resources Development Projects (1967B)  
Small Navigation Projects (1969B)  
Navigation Projects (1971B)

**12.108**  
Snagging and Clearing for Flood Control (1970B)

**12.109**  
Snagging and Clearing for Navigation (1970U)  
Protection, Clearing and Straightening Channels (1978B)

**12.110**  
Planning Assistance to States (1975U)

**12.111**  
Flood Prevention (1983U)  
Emergency Advance Measures for Flood Prevention (1985U)

**12.112**  
Payments to States (1986B)  
Payments to States in Lieu of Real Estate Taxes (1987B)

**12.113**  
State Memorandum of Agreement Program for the Reimbursement of Technical Services (1991B)

**12.114**  
Collaborative Research and Development (1994U)

**12.116**  
DEPARTMENT OF DEFENSE  
APPROPRIATION ACT 2003 (2003B)

**12.117**  
ARRA Cooperative Agreements, New Mexico (2010)

**12.118**  
North Dakota Environmental Infrastructure (Section 594) - ARRA (2010)

**12.119**  
Northern Wisconsin Environmental Infrastructure (Section 154) - ARRA (2010)

**12.120**  
Northeastern Minnesota Environmental Infrastructure (Section 569) - ARRA (2010)

**12.121**  
Montana, Nevada, New Mexico, Utah, Idaho, & Wyoming Environmental Infrastructure (Section 595) - ARRA (2010)

**12.122**  
Title VI - Cheyenne River Sioux Tribe, Lower Brule Sioux Tribe, and Terrestrial Wildlife Habitat Restoration, South Dakota - ARRA (2010)

**12.123**  
South Central Pennsylvania Environmental Infrastructure (Section 313) - ARRA (2010)

**12.124**  
Mississippi Environmental Infrastructure (Section 592) - ARRA (2010)

**12.125**  
Southern WV Environmental Infrastructure (Section 340) - ARRA (2010)

**12.126**  
Central WV Environmental Infrastructure (Section 571) - ARRA (2010)

**12.127**  
Southern and Eastern KY Environmental Infrastructure (Section 531) - ARRA (2010)

**12.128**  
Florida Keys Water Quality Improvement Program (Section 109) - ARRA (2010)

**12.129**  
Title VI - Cheyenne River Sioux Tribe, Lower Brule Sioux Tribe, and Terrestrial Wildlife Habitat Restoration, South Dakota (2010)

**12.130**  
Estuary Habitat Restoration Program (2012)

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<b>12.200</b> Memorial Plots in National Cemeteries (1970B) Transferred to 64.200 (1973U)	<b>12.307</b> Civil Defense_Exhibits (1970B) Archived (1975B)	Archived (1974U)
<b>12.201</b> National Cemeteries (1969B) Transferred to 64.201 (1973U)	<b>12.308</b> Civil Defense_Federal Surplus Personal Property Donations (1970B) Archived (1977U)	<b>12.318</b> Civil Defense_Shelter Information (1970B) Archived (1973B)
<b>12.202</b> Procurement of Headstones and Markers (1970B) Transferred to 64.202 (1973U)	<b>12.309</b> Civil Defense_Industrial Participation (1970B) Transferred to 83.205 (1980B)	<b>12.319</b> Civil Defense_Survival Supplies, Equipment and Training (1970B) Civil Defense_System Maintenance Services (1972B) Civil Defense_State and Local Maintenance and Services (1977B) Transferred to 83.201 (1980B)
<b>12.217</b> Electronic Absentee Systems for Elections (2011)	<b>12.310</b> Inspection, Maintenance, and Calibration of Civil Defense Radiological Equipment (1970B) Civil Defense_Radiological Systems Maintenance and Calibration of Civil Defense Radiological Equipment (1974B) Civil Defense_Radiological Systems Maintenance and Training of Radiological Personnel (1976U) Transferred to 83.206 (1980B)	<b>12.320</b> Civil Defense_University Extension (1970B) Consolidated into 12.325 (1974B)
<b>12.234</b> Civil Defense_Architect/Engineer Student Development (1972U)	<b>12.311</b> Civil Defense_Marking and Stocking of Public Shelters (1970B) Archived (1971U)	<b>12.321</b> Civil Defense_State and Local Supporting Systems Equipment (1971B) Civil Defense_State and local Supporting Materials (1977B) Archived (1980B)
<b>12.300</b> Natural Disasters_Warning, Survival and Rehabilitation (1967B) Civil Defense (1969B) Civil Defense_Architect/Engineer Faculty Development (1970B) Archived (1975B)	<b>12.312</b> Civil Defense_National Fallout Shelter Survey (1970B) Civil Defense_National Shelter Survey (1975B) Transferred to 83.207 (1980B)	<b>12.322</b> Civil Defense_Loans of Excess Federal Personal Property (1971B) Civil Defense_Contributions Project Loan Program (1973B) Archived (1980B)
<b>12.301</b> Civil Defense_Architect/Engineer Professional Development (1970B) Archived (1977B) Basic and Applied Scientific Research, Reinstated (1999B) Archived (2002B)	<b>12.313</b> Civil Defense_National Organizations Liaison (1970B) Archived (1973B)	<b>12.323</b> Civil Defense_Education (1971) Consolidated into 12.325 (1974B)
<b>12.302</b> Civil Defense_Community Action (1970B) Civil Defense_Community Preparedness (1974B) Archived (1977B)	<b>12.314</b> Civil Defense_Staff College (1970B) Transferred to 83.400 (1980B)	<b>12.324</b> Civil Defense_Architect/Engineer Student Development (1972U) Transferred to 83.401 (1980B)
<b>12.303</b> Civil Defense_Community Involvement (1970B) Incorporated into 12.302 (1971B)	<b>12.315</b> Civil Defense_Personnel and Administrative Expenses (1970B) Civil Defense_State and Local Management (1977B) Transferred to 83.200 (1980B)	<b>12.325</b> Civil Defense_State and Local Civil Preparedness Instruction Program (1974B) Consolidated from 12.320, 12.323 (1974B) Archived (1977B)
<b>12.304</b> Civil Defense_Community Shelter Planning (1970B) Archived (1973B)	<b>12.316</b> Civil Defense_Radiation Shielding Design and Advisory Services (1970B) Civil Defense_Radiation Shielding Design (1978B) Deleted, Transferred to 83.208 (1980B)	<b>12.330</b> Science, Technology, Engineering & Mathematics (STEM) for K-12 & Institutions of Higher Learning- NAVY (2011)
<b>12.305</b> Civil Defense_Emergency Operating Centers (1970B) Civil Defense_State and Local Emergency Operating Centers (1977B) Archived (1979B)	<b>12.317</b> Civil Defense_Radiological Equipment Donation (1970B) Split from 12.300 (1970B)	<b>12.335</b> Navy Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (2011)
<b>12.306</b> Civil Defense_Emergency Water Supply Equipment (1970B) Archived (1976U)		<b>12.340</b> Naval Medical Research and Development (2011)



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<b>12.350</b> Department of Defense HIV/AIDS Prevention Program (2006)	The Language Flagship Grants to Institutions of Higher Education (2011)	(1965B) Community Economic Adjustment (1969B) Deleted (2007)
<b>12.351</b> Basic Scientific Research - Combating Weapons of Mass Destruction (2007)	<b>12.551</b> National Security Education_Scholarships (1998B) National Security Education Program David L. Boren Scholarships (2006)	<b>12.601</b> Procurement in Labor Surplus Areas (1965B) Military Procurement from Labor Surplus Areas (1967B) Contracting With Labor Surplus Area Concerns Program (1970B) Contracting with Labor Surplus Area Concerns (1971B) Archived (1973U)
<b>12.352</b> Scientific Research - Combating Weapons of Mass Destruction (2007)	<b>12.552</b> National Security Education_Fellowships (1998B) National Security Education Program David L. Boren Fellowships (2006) National Security Education Program David L. Boren Fellowships (2006)	<b>12.602</b> Small Business Prime Contracting (1970B) Archived (1973U)
<b>12.357</b> ROTC Language and Culture Training Grants (2010)	<b>12.553</b> National Flagship Language Program (NFLP) Fellowships (2006) National Flagship Language Program Fellowships (2006) The Language Flagship Fellowships (2011)	<b>12.603</b> Small Business Subcontracting Program (1970B) Small Business Subcontracting (1971B) Archived (1973U)
<b>12.360</b> Research on Chemical and Biological Defense (2007)	<b>12.554</b> English for Heritage Language Speakers Grants to U.S. Institutions of Higher Education (2006)	<b>12.605</b> Small Business Subcontracting (1973B) Archived (1973U)
<b>12.369</b> Marine Corps Systems Command Federal Assistance Program (2011)	<b>12.555</b> English for Heritage Language Speakers Scholarships (2006)	<b>12.606</b> Selected Reserve Educational Assistance Program (1980U1) Archived (1985U)
<b>12.400</b> National Guard Armories (1967B) Construction Program, Army National Guard (1970B) Construction, Army National Guard (1971B) Military Construction, Army National Guard (1974B) Military Construction, National Guard (1994B)	<b>12.556</b> Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools (2009)	<b>12.607</b> Military Base Reuse Studies and Community Planning Assistance (1985B) Community Economic Adjustment Planning Assistance (1994B) COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ESTABLISHMENT, EXPANSION, REALIGNMENT, OR CLOSURE OF A MILITARY INSTALLATION (2007)
<b>12.401</b> National Guard Military Operations and Maintenance (O&M) Projects (1996B)	<b>12.557</b> Invitational Grants for Military-Connected Schools (2009)	<b>12.608</b> Impact Assistance for Areas Affected by the East Coast Trident Program (1985B) Archived (1994B)
<b>12.404</b> National Guard Civilian Youth Opportunities (2001B) National Guard ChalleNGe Program (2010)	<b>12.558</b> Department of Defense Impact Aid (Supplement, CWSD, BRAC) (2009)	<b>12.609</b> Selected Reserve Educational Assistance Program (1985U) Archived (1994B)
<b>12.420</b> Military Medical Research and Development (1991B)	<b>12.560</b> DOD, NDEP, DOTC-STEM Education Outreach Implementation (2010)	<b>12.610</b> Joint Military/Community Comprehensive Land Use Plans (1989B) Joint Land Use Studies (1991U) Community Economic Adjustment Planning Assistance for Joint Land Use Studies (2004) Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies (2012)
<b>12.431</b> Basic Scientific Research (1992U)	<b>12.579</b> Language Training Center (2012)	
<b>12.500</b> U.S. Soldiers Home (1970B) U.S. Soldiers' and Airmen's Home (1972U) U.S. Soldiers' and Airmen's Home (USSAH) and U.S. Naval Home (USNH) (1992B) Archived (1994B)	<b>12.597</b> Task Force for Business & Stability Operations (2011)	
<b>12.550</b> International Education_U.S. Colleges and Universities (1996U) National Flagship Language Program Grants To U.S. Institutions Of Higher Education (2006)	<b>12.598</b> Centers for Academic Excellence (2012)	
	<b>12.599</b> Congressionally Directed Assistance (2010)	
	<b>12.600</b> Community Economic Adjustment Program	

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<b>12.611</b> Community Planning Assistance for Defense Industry Adjustments (1992B) Community Economic Adjustment Planning Assistance Reduction in Defense Industry Employment (1994B) Community Economic Adjustment Assistance for Reductions in Defense Industry Employment (2012)	<b>12.901</b> Mathematical Sciences Grants Program (1992U)	Mortgage Insurance for Armed Services Housing_Civilian Employees (1969B) Archived (1970B)
<b>12.612</b> Community Base Reuse Plans (1994B)	<b>12.902</b> Information Security Grant Program (1995U)	Mortgage Insurance for Armed Services Housing_Impacted Areas (1969B) Archived (1970B)
<b>12.613</b> Growth Management Planning Assistance (1994B)	<b>12.910</b> Research and Technology Development (1992B)	Mortgage Insurance for Servicemen's Housing (1969B) Archived (1970B)
<b>12.614</b> Community Economic Adjustment Assistance for Advance Planning (2005) COMMUNITY ECONOMIC ADJUSTMENT DIVERSIFICATION PLANNING (2007) Community Economic Adjustment Assistance for Advance Planning and Economic Diversification (2012)	<b>12.911</b> Defense Technology Conversion, Reinvestment, and Transition Assistance (1994B) Archived (2002B)	Alaska Housing (1970B) Archived (1970B)
<b>12.615</b> RESEARCH AND TECHNICAL ASSISTANCE (2008)	<b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b> Advance Acquisition of Land (1965B) Archived (1969B)	<b>14.001</b> Flood Insurance (1969B) Transferred to 83.100 (1980B)
<b>12.630</b> Basic, Applied, and Advanced Research in Science and Engineering (1994U)	Advances for Public Works Planning (1965B) Public Works Planning Advances (1969B) Archived (1970B)	<b>14.002</b> Urban Property Protection and Reinsurance Program (1969B) Urban Property Insurance (1975B) Transferred to 83.101 (1980B)
<b>12.631</b> Science, Technology, Engineering and Mathematics (STEM) Educational Program: Science, Mathematics And Research for Transformation (SMART) (2010)	American Indians_Public Housing Program (1965B) Public Housing Program for American Indians (1967B) Archived (1969B)	<b>14.003</b> Crime Insurance (1971U) Transferred to 83.102 (1980B)
<b>12.640</b> Integrated Helicopter Design Tools (1998B)	Homes Association Residential Subdivision (1967B) Archived (1969B)	<b>14.004</b> Land Sales_Undeveloped Plots in Interstate Commerce (1972U) Land Sales_Parcel of Subdivided Land (1976B) Number changed to 14.801 (1980B)
<b>12.700</b> Donations/Loans of DOD Surplus Property (1971B) Donations/Loans of Obsolete DOD Property (1981U)	Low-Rent Public Housing (1965B) Incorporated into 14.146 (1970B)	<b>14.005</b> Choice Neighborhoods Planning Grants (2011) Number changed to 14.892 (2012)
<b>12.750</b> Uniformed Services University Medical Research Projects (2011)	Metropolitan Expeditors to Assist Local Officials (1965B) Archived (1969B)	<b>14.006</b> Project Rental Assistance Demonstration (PRAD) Program of Section 811 Supportive Housing for Persons with Disabilities (2011) Number changed to 14.326 (2012)
<b>12.800</b> Air Force Defense Research Sciences Program (1994B)	Supplementary Grants for Planned Metropolitan Development (1967B) Archived (1969B)	<b>14.007</b> Performance Based Contract Administrator Program (2011) Number changed to 14.327 (2012)
<b>12.801</b> Air Force Academy Athletic Programs (2012)	Urban Information and Technical Assistance Services (1967B) Archived (1969B)	<b>14.008</b> Transformation Initiative: Choice Neighborhoods Demonstration Small Research Grant Program (2012) Number changed from 14.008 (2012)
<b>12.900</b> Language Grant Program (1992U)	Urban Mass Transportation (1965B) Transferred to the Department of Transportation (1969B)	<b>14.100</b> College Housing Program (1965B) College Housing Debt Service (1970B) Split into 14.100, 14.101 (1970B)

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Archived (1973B)

## 14.101

College Housing Direct Loans (1970B)  
Split from 14.100 (1970B)  
Incorporated into 14.100 (1971B)

## 14.102

Housing for Elderly or Handicapped (1964B)  
Housing Loans\_Rental Housing for the Elderly and the Handicapped (1970B)  
Incorporated into 14.103 (1970U)

## 14.103

Interest Supplements on Mortgages for Rental Housing for Lower Income Families (1969B)  
Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (1970B)  
Archived (1994B)  
Reinstated (1999B)  
Interest Reduction Payments\_Rental and Cooperative Housing for Lower Income Families (2005)

## 14.104

Interest Reduction\_Acquisition and Rehabilitation of Homes for Resale to Lower Income Families (1970U)  
Archived (1978U)

## 14.105

Interest Supplements on Mortgages for Home Ownership for Lower Income Families (1969B)  
Interest Subsidy\_Homes for Lower Income Families (1970B)  
Archived (1983U)

## 14.106

Interest Reduction\_Purchase of Rehabilitated Homes by Lower Income Families (1970B)  
Archived (1978U)

## 14.107

Major Home Improvement Loan Insurance\_Homes in Urban Renewal Areas (1970B)  
Archived (1972B)

## 14.108

Major Home Improvement Loan Insurance\_Housing Outside Urban Renewal Areas (1970B)  
Rehabilitation Mortgage Insurance (1980B)  
Rehabilitation Mortgage Insurance (2005)  
Rehabilitation Mortgage Insurance (2005)  
Rehabilitation Mortgage Insurance (2006)

## 14.109

Major Home Improvement Loan Insurance\_Rental Housing in Urban Renewal Areas (1970B)  
Archived (1972B)

## 14.110

Mobile Home Loan Insurance\_Financing Purchase of Mobile Homes as Principal Residence (1970B)  
Mobile Home Loan Insurance\_Financing Purchase of Mobile Homes as Principal Residences of Borrowers (1976B)  
Manufactured (Mobile) Home Insurance\_Financing Purchase of Mobile Homes as Principal Residences of Borrowers (1981B)  
Manufactured (Mobile) Home Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (1984B)  
Manufactured Home Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (1985B)  
Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (2005)  
Manufactured Home Loan Insurance\_Financing Purchase of Manufactured Homes as Principal Residences of Borrowers (2006)

## 14.111

Mortgage Insurance for Purchase and Rehabilitation of Homes for Resale to Low-Income Purchasers (1967B)  
Mortgage Insurance\_Acquisition and Rehabilitation of Homes for Resale to Low Income Families (1970B)  
Incorporated into 14.103 (1971B)

## 14.112

Mortgage Insurance\_Construction or Rehabilitation of Condominium Projects (1970B)  
Mortgage Insurance\_Construction or Substantial Rehabilitation of Condominium Projects (1980B)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (1989U)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (2005)  
Mortgage Insurance for Construction or Substantial Rehabilitation of Condominium Projects (2006)  
Archived (2011)

## 14.113

Mortgage Insurance\_Conversion of Below Market Rate Rental Housing to Condominium Ownership (1970B)  
Archived (1973B)

## 14.114

Mortgage Insurance\_Conversion of Below Market Rate Rental Housing to Cooperative Housing (1970B)  
Archived (1971U)

## 14.115

Mortgage Insurance\_Development of Sales Type Cooperative Projects (1970B)  
Incorporated into 14.126 (1989B)

## 14.116

Mortgage Insurance for Group Practice Facilities (1969B)  
Mortgage Insurance\_Group Practice Facilities (1970B)  
Consolidated into 14.128 (2002B)

## 14.117

Mortgage and Credit Insurance for Residential Rehabilitation and Home Purchase and Improvement (1967B)  
Major Home Improvement (1969B)  
Mortgage Insurance\_Homes (1970B)  
Split into 14.118, 14.119, 14.121 (1970B)  
Mortgage Insurance\_Homes (2005)  
Mortgage Insurance\_Homes (2006)

## 14.118

Mortgage Insurance\_Homes for Certified Veterans (1970B)  
Split from 14.117 (1970B)  
Incorporated into 14.117 (1983U)

## 14.119

Mortgage Insurance for Replacement Housing for Victims of Natural Disasters (1967B)  
Mortgage Insurance\_Homes for Disaster Victims (1970B)  
Split from 14.117 (1970B)  
Mortgage Insurance\_Homes for Disaster Victims (2005)  
Mortgage Insurance\_Homes for Disaster Victims (2006)

## 14.120

Mortgage Insurance for Housing for Families of Low and Moderate Income (1967B)  
Mortgage Insurance for Moderate Income Homes (1969B)  
Mortgage Insurance\_Homes for Low and Moderate Income Families (1970B)  
Archived (2001U)

## 14.121

Mortgage Insurance\_Homes in Outlying Areas (1970B)  
Split from 14.117 (1970B)

## 14.122

Mortgage Insurance\_Homes in Urban Renewal Areas (1970B)  
Mortgage Insurance\_Homes in Urban Renewal Areas (2005)  
Mortgage Insurance\_Homes in Urban Renewal Areas (2006)

## 14.123

Mortgage Insurance in Older, Declining Neighborhoods (1969B)  
Mortgage Insurance\_Housing in Older, Declining Areas (1970B)

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Mortgage Insurance\_Housing in Older, Declining Areas (2005)

Mortgage Insurance\_Housing in Older, Declining Areas (2006)

## 14.124

Mortgage Insurance\_Investor Sponsored Cooperative Housing (1970B)  
Incorporated into 14.126 (1989B)

## 14.125

Mortgage Insurance for Land Development and New Communities (1967B)  
Mortgage Insurance\_Land Development and New Communities (1970B)  
Mortgage Insurance\_Land Development (1983U)  
Archived (1990B)

## 14.126

Mortgage Insurance\_Management Type Cooperative Projects (1970B)  
Mortgage Insurance\_Cooperative Projects (1989B)

## 14.127

Mortgage Insurance\_Mobile Home Courts (1970B)  
Mortgage Insurance\_Manufactured (Mobile) Home Parks (1981B)

## 14.128

Mortgage Insurance\_Nonprofit Hospitals (1965B)  
Mortgage Insurance\_Hospitals (1971B)

## 14.129

FHA Mortgage Insurance for Nursing Homes (1965B)  
Mortgage Insurance\_Nursing Home and Intermediate Care Facilities (1970B)  
Mortgage Insurance Nursing Homes, Intermediate Care Facilities and Board and Care Homes (1985U)  
Mortgage Insurance\_Nursing Homes, Intermediate Care Facilities, Board and Care Homes and Assisted Living Facilities (1995B)

## 14.130

Mortgage Insurance for Purchase of Fee Simple Title (1969B)  
Mortgage Insurance Purchased by Homeowners of Fee Simple Title From Lessors (1970B)  
Consolidated into 14.11 (2002B)

## 14.131

Mortgage Insurance\_Purchase of Rehabilitated Homes by Low Income Families (1970B)  
Archived (1971B)

## 14.132

FHA Mortgage Insurance for Cooperative Housing (1965B)  
Mortgage Insurance\_Purchase of Sales Type Cooperative Housing Units (1970B)  
Mortgage Insurance\_Purchase of Sales-Type

Cooperative Housing Units (1989U)  
Deleted (2008)

## 14.133

FHA Mortgage Insurance for Condominiums (1965B)  
Mortgage Insurance for Condominiums (1967B)  
Mortgage Insurance for Condominium Housing (1969B)  
Mortgage Insurance\_Purchase of Units in Condominiums (1970B)

## 14.134

Mortgage Insurance\_Rental Housing (1970B)

## 14.135

Mortgage Insurance\_Rental Housing for Low and Moderate Income Families (1970B)  
Mortgage Insurance\_Rental Housing for Moderate Income Families (1971B)  
Mortgage Insurance\_Rental Housing for Moderate Income Families and Elderly, Market Interest Rate (1989B)  
Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families and Elderly, Market Interest Rate (1989U)

## 14.136

Mortgage Insurance for Rental Housing for Families of Low or Moderate Income (1967B)  
Mortgage Insurance\_Rental Housing for Low and Moderate Income Families, Below-Market Interest Rate (1970B)  
Archived (1971B)

## 14.137

Mortgage Insurance for Low and Moderate Income Housing\_Market Rate (1969B)  
Mortgage Insurance\_Rental Housing for Low and Moderate Income Families, Market Interest Rate (1970B)  
Mortgage Insurance\_Rental and Cooperative Housing for Low and Moderate Income Families, Market Interest Rate (1979U1)  
Mortgage Insurance\_Rental and Cooperative Housing for Moderate Income Families, Market Interest Rate (1984U)  
Incorporated into 14.126 (1989B)

## 14.138

FHA Mortgage Insurance Rental Housing for the Elderly (1965B)  
Mortgage Insurance for Senior Citizens Housing (1969B)  
Mortgage Insurance\_Rental Housing for the Elderly (1970B)

## 14.139

Mortgage Insurance for Urban Renewal (1965B)  
Mortgage Insurance for Urban Renewal Housing (1969B)

Mortgage Insurance\_Rental Housing in Urban Renewal Areas (1970B)

## 14.140

Mortgage Insurance for Assistance to Special Credit Risk Families (1969B)  
Mortgage Insurance\_Special Credit Risks (1970B)  
Consolidated into 14.11 (2002B)

## 14.141

Low and Moderate Income Housing\_Financial Assistance for Non-Profit Sponsors (1969B)  
Nonprofit Housing Sponsor Loans\_Planning Projects for Low and Moderate Income Families (1970B)  
Nonprofit Sponsor Assistance Program (1980B)  
Section 106(b) Nonprofit Sponsor Assistance Program (1987B)  
Archived (1994B)

## 14.142

Property Improvement Loan Insurance\_All Existing Structures (1970B)  
Property Improvement Loan Insurance for Improving all Existing Structures and Building of New Nonresidential Structures (1976B)

## 14.143

Property Improvement Loan Insurance\_Construction of Nonresidential Farm Structures (1970B)  
Archived (1976B)

## 14.144

Property Improvement Loan Insurance\_Construction of Nonresidential or Nonfarm Structures (1970B)  
Archived (1976B)

## 14.145

Property Improvement Loan Insurance\_Existing Multifamily Dwellings (1970B)  
Archived (1976B)

## 14.146

Public Housing\_Acquisition, Construction, Rehabilitation (1970B)  
Low Income Housing\_Assistance Program (Public Housing) (1977B)  
Public Housing\_Acquisition (Turnkey and Conventional Production Methods) (1980U)  
Public Housing (1983B)  
Number changed to 14.850 (1983U)

## 14.147

Public Housing\_Home Ownership (1970B)  
Low Income Housing\_Homeownership Opportunities for Low Income Families (1980U)  
Number changed to 14.851 (1983U)

## 14.148

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Low-Rent Public Housing\_Leasing (1969B)  
Public Housing\_Leased (1970B)  
Archived (1976B)

## 14.149

Rent Supplements for Disadvantaged Persons (1965B)  
Rent Supplements (1969B)  
Rent Supplements\_Rental Housing for Lower Income Families (1970B)  
Archived (1994B)  
Reinstated (1999B)

## 14.150

Supplemental Loan Insurance\_Management Type Cooperative Projects (1970B)  
Archived (1971B)

## 14.151

FHA Mortgage Insurance for Multifamily Rental Housing (1969B)  
Multifamily Housing Projects Supplemental Loans (1969B)  
Supplemental Loan Insurance\_Multifamily Rental Housing (1970B)

## 14.152

Mortgage Insurance\_Experimental Homes (1972B)  
Number changed to 14.507 (1984B)

## 14.153

Mortgage Insurance\_Experimental Projects Other Than Housing (1972B)  
Number changed to 14.508 (1984B)

## 14.154

Mortgage Insurance\_Experimental Rental Housing (1972B)  
Number changed to 14.509 (1985B)

## 14.155

Mortgage Insurance for the Purchase or Refinancing of Existing Multifamily Housing Projects (1975B)

## 14.156

Lower\_Income Housing Assistance Program (1975B)  
Lower Income Housing Assistance Program\_Section 8 Moderate Rehabilitation (1990U)  
Number changed to 14.856 (1992B)

## 14.157

Housing for the Elderly or Handicapped (1977B)  
Housing for the Elderly or Disabled (1991B)  
Supportive Housing for the Elderly (1992U)

## 14.158

Public Housing\_Modernization of Projects (1977B)

Number changed from 14.607 (1977B)  
Public Housing\_Comprehensive Improvement Assistance Program (1977B)  
Number changed to 14.852 (1983U)

## 14.159

Section 245 Graduated Payment Mortgage Program (1978U)

## 14.161

Single\_Family Home Mortgage Coinsurance (1978U)  
Archived (1990B)

## 14.162

Mortgage Insurance\_Combination and Mobile Home Lot Loans (1979U1)  
Mortgage Insurance\_Combination and Manufactured (Mobile) Home Lot Loans (1984B)  
Mortgage Insurance\_Combination and Manufactured Home Lot Loans (1985B)

## 14.163

Mortgage Insurance\_Cooperative Financing (1979U2)  
Mortgage Insurance\_Single Family Cooperative Housing (1990U)

## 14.164

Operating Assistance for Troubled Multifamily Housing Projects (1980B)  
Archived (2009)

## 14.165

Mortgage Insurance\_Homes\_Military Impacted Areas (1980B)

## 14.166

Mortgage Insurance\_Homes for Members of the Armed Services (1981B)  
Archived (2000B)

## 14.167

Mortgage Insurance\_Two Year Operating Loss Loans, Section 223(d)(f) (1981U)

## 14.168

Land Sales\_Parcels of Subdivided Land (1982B)  
Number changed from 14.801 (1982B)  
Land Sales\_Certain Subdivided Land (1989B)  
Land Sales-Certain Subdivided Land (Interstate Land Sales Registration) and Real Estate Settlement Procedures Act (2009)

## 14.169

Housing Counseling Program (1982B)  
Number changed from 14.802 (1982B)  
Housing Counseling Assistance Program (1983B)

## 14.170

Congregate Housing Services Program (1982B)

Number changed from 14.803 (1982B)  
Archived (1998B)

## 14.171

Manufactured Housing\_Mobile Home Construction (1982B)  
Number changed from 14.804 (1982B)  
Manufactured Housing Construction and Safety Standards (1983B)  
Manufactured Home Construction and Safety Standards (1986U)  
Manufactured Home Dispute Resolution (2011)

## 14.172

Mortgage Insurance\_Growing Equity Mortgages (1983B)

## 14.173

Section 223(f)\_Coinsurance for Private Lenders (1983B)  
Section 223(f)\_Coinsurance for the Purchase or Refinancing of Existing Multifamily Projects (1983U)  
Multifamily Coinsurance (1987U)  
Archived (1993B)

## 14.174

Housing Development Grants (1984B)  
Archived (1994B)

## 14.175

Adjustable Rate Mortgages (1984U)

## 14.176

Section 221(d) Coinsurance for the Construction or Substantial Rehabilitation of Multifamily Housing Projects (1984U)  
Consolidated into 14.173 (1987U)

## 14.177

Housing Voucher Program (1986U)  
Section 8 Housing Voucher Program (1989U)  
Section 8 Rental Voucher Program (1991B)  
Number changed to 14.855 (1992B)

## 14.178

Transitional Housing Demonstration Program (1987B)  
Supportive Housing Demonstration Program (1988B)  
Number changed to 14.235 (1990B)

## 14.179

Nehemiah Housing Opportunity Grant Program (1988U)  
Archived (1997B)

## 14.180

Lower Income Housing Assistance\_Section 8 Existing Housing Certificate Program (1990U)

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Section 8 Rental Certificate Program (1991B)  
Number changed to 14.857 (1992B)

## 14.181

Supportive Housing for Persons with Disabilities (1991B)

## 14.182

Lower Income Housing Assistance  
Program\_Section 8 New Construction/Substantial Rehabilitation (1991B)  
Archived (1997B)

## 14.183

Home Equity Conversion Mortgages (1991U)

## 14.184

Mortgages Insurance for Single Room Occupancy (SRO) Projects (1991U)

## 14.185

Homeownership and Opportunity for People Everywhere (1992B)  
Archived (1997B)

## 14.186

Mortgage Insurance\_Equity Loans (1992U)  
Archived (1997B)

## 14.187

Preservation of Affordable Housing (1993B)  
Consolidated into 14.194 (1998B)

## 14.188

HFA Risk Sharing Pilot Program (1994B)  
Housing Finance Agencies (HFA) Risk Sharing Pilot Program (1994U)  
Housing Finance Agencies (HFA) Risk Sharing (2002B)

## 14.189

Qualified Participating Entities (QPE) Risk Sharing Pilot Program (1994U)  
Qualified Participating Entities (QPE) Risk Sharing (2002B)

## 14.190

Section 8 Community Investment (Pension Fund) Demonstration (1995B)  
Archived (1997U)

## 14.191

Multifamily Housing Service Coordinators (1997U)

## 14.192

Safe Neighborhood Grants (1997U)  
Consolidated into 14.868 (1998B)

## 14.193

Federally Assisted Low-Income Housing Drug Elimination (1997U)

## 14.194

Portfolio Reengineering Demonstration  
Consolidated from 14.187 (1998B)  
Archived (1999B)

## 14.195

Section 8 Housing Assistance Payments  
Program\_Special Allocations (1998B)  
Section 8 Housing Assistance Payments Program (2009)

## 14.196

Secondary Market for Non-Conforming Loans to Low-Wealth Borrowers Demonstration Program (1999B)  
Archived (2000B)

## 14.197

Multifamily Assisted Housing Reform and Affordability Act (1999B)  
Multifamily Assisted Housing Reform and Affordability Act (2005)  
Multifamily Assisted Housing Reform and Affordability Act (2006)  
Archived (2010)

## 14.198

Officer Next Door Sales Program (1999U)  
Good Neighbor Next Door Sales Program (2007)

## 14.199

Multifamily Property Disposition (2000B)  
Multifamily Property Disposition (2005)  
Multifamily Property Disposition (2006)

## 14.200

Grants for Basic Water and Sewer Facilities (1965B)  
Water and Sewer Facilities Grants (1967B)  
Basic Water and Sewer Facilities (1969B)  
Basic Water and Sewer Facilities\_Grants (1970B)  
Archived (1971B)

## 14.201

Fellowships for City Planning and Urban Studies (1967B)  
City Planning and Urban Studies (1969B)  
Archived (1971B)

## 14.202

Community Development Training and Research Grants (1967B)  
Community Development Training (1969B)  
Archived (1973B)

## 14.203

Urban Planning Assistance Program (1965B)  
Comprehensive Planning Assistance (1969B)  
Archived (1981U)

## 14.204

Historic Preservation Grants (1967B)  
Transferred to the Department of Interior (1970U)  
Archived (1971B)

## 14.205

HUD Clearinghouse Service (1970B)

## 14.206

Neighborhood Facilities Program (1965B)  
Neighborhood Facilities Grants (1970B)  
Archived (1971B)

## 14.207

New Communities\_Loan Guarantees (1970B)  
Archived (1983B)

## 14.208

New Communities (1969B)  
New Communities\_Supplementary Grants (1970B)  
Archived (1973B)

## 14.209

Open Space Land Program (1965B)  
Open Space Land Acquisition and Development Grants (1970B)  
Archived (1971B)

## 14.210

Public Facility Loans (1965B)  
Archived (1971B)

## 14.211

Surplus Land for Community Development (1969B)  
Surplus Land for Low and Moderate Income Housing (1980B)  
Archived (1983U)

## 14.212

Urban Beautification Program (1965B)  
Urban Beautification and Improvement Grants (1969B)  
Archived (1971B)

## 14.213

Urban Parks and Open Space Land in Build\_Up Urban Areas (1970B)  
Archived (1970U)

## 14.214

Urban Systems Engineering Demonstration Grants (1970B)  
Archived (1973U)

## 14.215

Workable Program for Community Improvement (1969B)  
Archived (1971B)

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<b>14.216</b> Governmental Management_Technical Assistance and Information Services (1971B) Archived (1976B)	Archived (1981U)	Number changed to 14.520 (2002B)
<b>14.217</b> Urban Studies Fellowships (1972B) Archived (1973B)	<b>14.227</b> Secretary's Discretionary Fund/Community Development Technical (1981U) Consolidated into 14.229 (1982B) Reinstated/Split from 14.229 (1983U) Community Development Block Grants/Secretary's Discretionary Fund/Technical Assistance Program (1983U) Community Development Block Grants/Special Purpose Grants/Insular Area (1990B) Archived (2011) Reinstated (2012)	<b>14.238</b> Shelter Plus Care (1992B)
<b>14.218</b> Community Development Block Grants/Entitlement Grants (1975B)		<b>14.239</b> HOME Investment in Affordable Housing (1992B) HOME Investment Partnerships Program (1993U)
<b>14.219</b> Community Development Block Grants/Discretionary Grants (1975B) Community Development Block Grants/Small Cities Program (1979B) Deleted (2008) Deleted (2008) Deleted (2008)	<b>14.228</b> Community Development Block Grants/State's Program (1981U) Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (2007)	<b>14.240</b> HOPE for Homeownership of Single Family Homes (1992B) Archived (1997B)
<b>14.220</b> Section 312 Rehabilitation Loans (1975B) Number changed from 14.308 (1975B) Archived (1992B)	<b>14.229</b> Community Development Block Grants/Secretary's Discretionary Fund (1982B) Split into 14.223, 14.225, 14.227 (1983U)	<b>14.241</b> Housing Opportunities for Persons with AIDS (1992U)
<b>14.221</b> Urban Development Action Grants (1978B) Archived (1989U)	<b>14.230</b> Rental Housing Rehabilitation (1984B) Archived (1992B)	<b>14.242</b> John Heinz Neighborhood Development Program (1993B) Number changed to 14.510 (1995B)
<b>14.222</b> Urban Homesteading (1978U) Archived (1992B)	<b>14.231</b> Emergency Shelter Grants Program (1987B) Emergency Solutions Grant Program (2012)	<b>14.243</b> Opportunities for Youth_Youthbuild Program (1993U) Number changed to 17.274 (2007)
<b>14.223</b> Indian Community Development Block Grant Program (1979U1) Consolidated into 14.229 (1982B) Reinstated/Split from 14.229 (1983U) Number changed to 14.862 (1994B)	<b>14.232</b> Community Development Block Grant/Secretary's Discretionary Fund/Special Projects (1987U) Archived (1990B)	<b>14.244</b> Empowerment Zones Program (1994B) Renewal Community and Empowerment Zone Programs (2009) Archived (2009)
<b>14.224</b> Secretary's Discretionary Fund/Community Development Disaster Assistance (1980U) Archived (1981U)	<b>14.234</b> Community Development Work-Study Program (1988U) Number changed to 14.512 (1995B)	<b>14.245</b> Innovative Homeless Initiative Demonstration Program (1995U) Archived (1997B)
<b>14.225</b> Secretary's Discretionary Fund/Territories Program (1980U) Consolidated into 14.229 (1982B) Reinstated/Split from 14.229 (1983U) Community Development Block Grants/Secretary's Discretionary Fund/Insular Areas (1983U) Community Development Block Grants/Special Purpose Grants/Insular Area (1990B)	<b>14.235</b> Supportive Housing Demonstration Program (1990B) Number changed from 14.178 (1990B) Supportive Housing Program (1993B) Consolidated from 14.236 (1993U)	<b>14.246</b> Community Development Block Grants/Economic Development Initiative (1996B) Community Development Block Grants/Brownfields Economic Development Initiative (2003B) Archived (2012)
<b>14.226</b> Secretary's Discretionary Fund/Innovative Grants Program (1980U)	<b>14.236</b> Supplemental Assistance for Facilities to Assist the Homeless (1990B) Number changed from 14.510 (1990B) Consolidated into 14.235 (1993U)	<b>14.247</b> Self-Help Homeownership Opportunity Program (1997B)
	<b>14.237</b> Historically Black Colleges and Universities Program (1991B)	<b>14.248</b> Community Development Block Grants_Section 108 Loan Guarantees (1997U)
		<b>14.249</b> Section 8 Moderate Rehabilitation Single Room Occupancy (1998B)
		<b>14.250</b> Rural Housing and Economic Development

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(1999B) Archived (2010)	Technical Assistance (2010)	Archived (1973U)
<b>14.251</b> Economic Development Initiative-Special Project, Neighborhood Initiative and Miscellaneous Grants (2008) Archived (2012)	<b>14.262</b> Homeless Prevention and Rapid Re-Housing Program Technical Assistance (2010)	<b>14.308</b> Housing Rehabilitation Grants (1971U) Number changed to 14.220 (1975B)
<b>14.252</b> Section 4 Capacity Building for Affordable Housing and Community Development Grants (2008) Section 4 Capacity Building for Community Development and Affordable Housing (2009)	<b>14.263</b> Rural Innovation Fund (2010) Archived (2012)	<b>14.309</b> Code Enforcement Grants (1971B) Archived (1973B)
<b>14.253</b> Community Development Block Grant ARRA Entitlement Grants (CDBG-R)(Recovery Act Funded) (2009) Archived (2010)	<b>14.264</b> Neighborhood Stabilization Program (2011)	<b>14.310</b> Teacher Next Door Initiative (2000B)
<b>14.254</b> Community Development Block Grants/Special Purpose Grants/Insular Areas (Recovery Act Funded) (2009) Archived (2010)	<b>14.265</b> Rural Capacity Building for Community Development and Affordable Housing Grants (2012)	<b>14.311</b> Single Family Property Disposition (2000B)
<b>14.255</b> Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii (Recovery Act Funded) (2009) Archived (2010)	<b>14.266</b> Border Community Capital Initiative (2012)	<b>14.312</b> New Approach Anti-Drug Grants Consolidated from 14.868 (2000B)
<b>14.256</b> Neighborhood Stabilization Program (Recovery Act Funded) (2009) Archived (2010)	<b>14.267</b> Continuum of Care Program (2012)	<b>14.313</b> Dollar Home Sales (2000U)
<b>14.257</b> Homelessness Prevention and Rapid Re-Housing Program (Recovery Act Funded) (2009) Archived (2010)	<b>14.268</b> Rural Housing Stability Assistance Program (2012)	<b>14.314</b> Section 202 Assisted Living Conversion Program (2000U) Assisted Living Conversion for Eligible Multifamily Housing Projects (2002B)
<b>14.258</b> Tax Credit Assistance Program (Recovery Act Funded) (2009) Archived (2010)	<b>14.300</b> Model Neighborhoods in Demonstration Cities (1967B) Model Cities Supplementary Grants (1970B) Archived (1973B)	<b>14.315</b> Emergency Capital Repair Grants for Multifamily Housing Projects Designated for Occupancy (2006) Archived (2012)
<b>14.259</b> CPD's Transformation Initiative Technical Assistance (2010)	<b>14.301</b> Basic Water and Sewer Facilities_Grants (1971B) Archived (1973B)	<b>14.316</b> Housing Counseling Training Program (2006)
<b>14.260</b> Veterans Homelessness Prevention Demonstration Program (2010) Archived (2011) Reinstated (2011)	<b>14.302</b> Neighborhood Facilities Grants (1971B) Archived (1973B)	<b>14.317</b> Section 8 Housing Assistance Payments Program Special Allocations (Recovery Act Funded) (2009)
<b>14.261</b> Homeless Management Information Systems	<b>14.303</b> Open Space Land Programs (1971B) Archived (1973B)	<b>14.318</b> Assisted Housing Stability and Energy and Green Retrofit Investments Program (Recovery Act Funded) (2009)
	<b>14.304</b> Public Facility Loans (1971B) Archived (1973B)	<b>14.319</b> Multifamily Energy Innovation Fund (2011)
	<b>14.305</b> Housing Rehabilitation Loans and Grants (1971B) Archived (1973B)	<b>14.321</b> FHA Technical Assistance Training Transformation Initiative (2010)
	<b>14.306</b> Neighborhood Development (1971B) Archived (1973B)	<b>14.322</b> Tenant Resource Network Program (2011)
	<b>14.307</b> Urban Renewal Projects (1971B)	<b>14.323</b> Emergency Homeowners Loan Program (2011)



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Project Rental Assistance Demonstration (PRAD) Program of Section 811 Supportive Housing for Persons with Disabilities (2012)  
Number changed from 14.006 (2012)  
Project Rental Assistance Demonstration (PRA Demo) Program of Section 811 Supportive Housing for Persons with Disabilities (2012)

## 14.327

Performance Based Contract Administrator Program (2012)  
Number changed from 14.007 (2012)

## 14.400

Equal Opportunity in Housing (1969B)

## 14.401

Fair Housing Assistance Program (1980B)  
Fair Housing Assistance Program\_State and Local (1983B)

## 14.402

Non-Discrimination in Federally-Assisted Programs (On the Basis of Age) (1982)  
Archived (2009)

## 14.403

Community Housing Resource Board Program (1982)  
Archived (1992B)

## 14.404

Non-Discrimination in Federally Assisted Programs (On the Basis of Handicap) (1983U)  
Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Handicap) (1988B)  
Non-Discrimination in Federally Assisted and Conducted Programs (On the Basis of Disability) (1993U)  
Archived (2009)

## 14.405

Non-Discrimination in Federally Assisted Programs (On the Basis of Race, Color or National Origin) (1983U)  
Archived (2009)

## 14.406

Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Sex, Handicap or Age) (1983U)  
Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, Sex, Disability or Age) (1993U)  
Non-Discrimination in the Community Development Block Grant Program (On the Basis of Race, Color, National Origin, Religion, or Sex) (1996B)

Archived (2009)

## 14.407

Architectural Barriers Act Enforcement (1988B)  
Archived (2009)

## 14.408

Fair Housing Initiative Program (FHIP) Administrative Enforcement Initiative (1988U)  
Fair Housing Initiatives and Administrative Enforcement Initiative Program (1996B)  
Fair Housing Initiatives Program (2003B)

## 14.409

Fair Housing Initiative Program (FHIP) Education and Outreach Initiative (1988U)

## 14.410

Fair Housing Initiative Program (FHIP) Private Enforcement Initiative (1988U)

## 14.411

Public Housing Affirmative Compliance Actions Program (1990B)  
Archived (1997B)

## 14.412

Employment Opportunities for Lower Income Persons and Businesses (1992U)  
Archived (2009)

## 14.413

Fair Housing Initiatives Program (FHIP) Fair Housing Organization Initiatives (1993B)  
Fair Housing Initiatives Program (FHIP) Fair Housing Organizations Initiative (1994U)  
Fair Housing Initiatives and Fair Housing Organizations Initiative Program (1996B)

## 14.414

Non-Discrimination on the Basis of Disability by Public Entities (1993U)  
Archived (2009)

## 14.415

Non-Discrimination on the Basis of Sex in Education Programs and Activities Receiving Federal Financial Assistance (2001B)  
Archived (2009)

## 14.416

Education and Outreach Initiatives (2009)  
Education and Outreach Initiatives (2011)

## 14.417

Fair Housing Organization Initiatives (2009)  
Fair Housing Organization Initiatives (2011)

## 14.418

Private Enforcement Initiatives (2009)

## 14.419

Section 3 Technical Assistance (2010)

## 14.420

Fair Housing Initiatives Program Enforcement Testing Technical Assistance (2010)

## 14.421

Limited English Proficiency Initiative (2011)

## 14.500

Low Income Housing Demonstration Program (1965B)  
Archived (1970U)

## 14.501

Mortgage Insurance\_Experimental Homes (1970B)  
Archived (1971B)

## 14.502

Mortgage Insurance\_Experimental Projects Other Than Housing (1970B)  
Archived (1971B)

## 14.503

Mortgage Insurance for Experimental Housing (1969B)  
Mortgage Insurance\_Experimental Rental Housing (1970B)  
Archived (1971B)

## 14.504

Urban Planning Research and Demonstration (1970B)  
Archived (1973B)

## 14.505

Urban Renewal Demonstration Grant Program (1965B)  
Archived (1971B)

## 14.506

General Research and Technology Activity (1972B)

## 14.507

Mortgage Insurance\_Experimental Homes (1984B)  
Number changed from 14.152 (1984B)  
Archived (1997B)

## 14.508

Mortgage Insurance\_Experimental Projects Other Than Housing (1984B)  
Number changed from 14.153 (1984B)  
Archived (1997B)

## 14.509

Mortgage Insurance\_Experimental Rental Housing (1985B)  
Number changed from 14.154 (1985B)

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Archived (1997B)

## **14.510**

Supplemental Assistance for Facilities to Assist the Homeless (1988B)

Number changed to 14.236 (1990B)

Joint Community Development Program, Number changed from 14.242 (1995B)

Archived (1997B)

## **14.511**

Community Outreach Partnership Center Program (1995B)

## **14.512**

Community Development Work-Study Program

Number changed from 14.234 (1995B)

Deleted (2007)

## **14.513**

Hispanic-Serving Institutions Work-Study Program (1996U)

Archived (2000U)

## **14.514**

Hispanic-Serving Institutions Assisting Communities (1999B)

Archived (2000B)

Reinstated (2000U)

Archived (2011)

## **14.515**

Alaska Native/Native Hawaiian Institutions Assisting Communities (2000B)

Archived (2011)

## **14.516**

Doctoral Dissertation Research Grants (2001B)

## **14.517**

Early Doctoral Student Research Grants (2001B)

Archived (2010)

## **14.518**

HUD Urban Scholars Fellowship Grants (2001B)

## **14.519**

Tribal Colleges and Universities Program (2001B)

Archived (2011)

## **14.520**

Historically Black Colleges and Universities Program (2002B)

Archived (2011)

## **14.521**

Universities Rebuilding America Program - Community Design (2005)

## **14.523**

Transformation Initiative Research Grants:

Sustainable Community Research Grant Program (2010)

## **14.524**

Transformation Initiative Research Grants: Natural Experiments (2010)

## **14.525**

Transformation Initiative Research Grants:

Demonstration and Related Small Grants (2010)

## **14.529**

Fellowship Placement Pilot Program (2011)

## **14.534**

Strong Cities Strong Communities (SC2) National Resource Network (2012)

## **14.550**

Solar Energy and Energy Conservation Bank (1983U)

Incorporated into 14.126 (1989B)

## **14.600**

Certified Areas Grants (1970B)

Archived (1971B)

## **14.601**

Code Enforcement (1965B)

Code Enforcement Grants (1970B)

Archived (1971B)

## **14.602**

Community Renewal Program (1965B)

Community Renewal Planning Grants (1970B)

Archived (1971B)

## **14.603**

Demolition of Unsound Structures (1967B)

Demolition Grants (1969B)

Archived (1971B)

## **14.604**

Housing Rehabilitation Grants (1969B)

Housing Rehabilitation Loans and Grants (1970B)

Archived (1971B)

## **14.605**

Interim Assistance for Blighted Areas (1969B)

Interim Assistance for Blighted Areas Grants (1970B)

Archived (1971B)

## **14.606**

Neighborhood Development Program (1969B)

Archived (1971B)

## **14.607**

Low-Rent Public Housing\_Modernization of

Projects (1969B)

Public Housing\_Modernization of Projects (1970B)

Number changed to 14.158 (1977B)

## **14.608**

Relocation Assistance and Payments (1969B)

Archived (1971B)

## **14.609**

Urban Renewal Projects (1965B)

Archived (1971B)

## **14.701**

Disaster Assistance (1973U)

Transferred to 83.300 (1980B)

## **14.702**

State Disaster Preparedness Grants (1973U)

Transferred to 83.203 (1980B)

## **14.703**

Sustainable Communities Regional Planning Grant Program (2010)

## **14.704**

Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants (2010)

## **14.705**

Capacity Building for Sustainable Communities (2011)

## **14.800**

Neighborhood Self-Help Development (1980B)

Archived (1981U)

## **14.801**

Land Sales\_Parcel of Subdivided Land (1980B)

Number changed from 14.004 (1980B)

Number changed to 14.168 (1982B)

## **14.802**

Housing Counseling Service (1969B)

Archived (1970B)

Reinstated (1980U)

Housing Counseling Program (1980U)

Number changed to 14.169 (1982B)

## **14.803**

Congregate Housing Services Program (1980U)

Number changed to 14.170 (1982B)

## **14.804**

Manufactured Housing\_Mobile Home Construction (1981U)

Number changed to 14.171 (1982B)

## **14.850**

Public Housing (1983U)

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Number changed from 14.146 (1983U)  
Public and Indian Housing (1984B)

## 14.851

Low Income Housing\_Homeownership  
Opportunities for Low Income Families (1983U)  
Number changed from 14.147 (1983U)  
Consolidated into 14.867 (1998B)

## 14.852

Public Housing\_Comprehensive Improvement  
Assistance Program (1983U)  
Number changed from 14.158 (1983U)  
Public and Indian Housing\_Comprehensive  
Improvement Assistance Program (1984B)  
Public Housing\_Comprehensive Improvement  
Assistance Program (1998B)  
Consolidated into 14.872 (2000B)

## 14.853

Public Housing Resident Management Program  
(1989B)  
Public and Indian Housing Tenant Opportunity  
Program (1995B)  
Public Housing\_Tenant Opportunities Program  
(1998B)  
Consolidated into 14.870 (2001B)

## 14.854

Public Housing Drug Elimination Program (1989U)  
Public and Indian Housing Drug Elimination  
Program (1992B)  
Portion incorporated from 14.863 (1997B)

## 14.855

Section 8 Rental Voucher Program  
Number changed from 14.177 (1992B)  
Consolidated into 14.871 (2000B)

## 14.856

Lower Income Housing Assistance  
Program\_Section 8 Moderate Rehabilitation  
Number changed from 14.156 (1992B)  
Archived (1998B)  
Reinstated (1999B)

## 14.857

Section 8 Rental Certificate Program  
Number changed from 14.180 (1992B)  
Consolidated into 14.871 (2000B)

## 14.858

HOPE for Public and Indian Housing  
Homeownership (1992B)  
Archived (1997B)

## 14.859

Public and Indian Housing\_Comprehensive Grant  
Program (1993U)  
Public Housing\_Comprehensive Grant Program

(1998B)  
Consolidated into 14.872 (2000B)

## 14.860

Public and Indian Housing Early Childhood  
Development (1994U)  
Head Start Public Housing Early  
Childhood/Development Demonstration (1995B)  
Archived (1996U)

## 14.861

Public and Indian Housing Family Investment  
Centers Program (1994B)  
Archived (1996U)

## 14.862

Indian Community Development Block Grant  
Program  
Number changed from 14.223 (1994B)

## 14.863

Public and Indian Housing Youth Sports Program  
(1995B)  
Portion incorporated into 14.854 (1997B)

## 14.864

Economic Development and Supportive Services  
Program (1997B)  
Consolidated into 14.870 (2001B)

## 14.865

Public and Indian Housing\_Indian Loan Guarantee  
Program (1997B)

## 14.866

Revitalization of Severely Distressed Public  
Housing (1997U)  
Demolition and Revitalization of Severely  
Distressed Public Housing (1999U)

## 14.867

Indian Housing Block Grants  
Consolidated from 14.851 (1998B)

## 14.868

New Approach Anti-Drug Grants  
Consolidated from 14.192 (1998B)  
Consolidated into 14.312 (2000B)

## 14.869

Title VI Federal Guarantees for Financing Tribal  
Housing Activities (1999B)

## 14.870

Resident Opportunity and Supportive Services  
(1999B)  
Consolidated from 14.853, 14.864 (2001B)  
Resident Opportunity and Supportive Services  
(2006)  
Resident Opportunity and Supportive Services -  
Homeownership and Family (2006)

Resident Opportunity and Supportive Services -  
Service Coordinators (2008)

## 14.871

Section 8 Housing Choice Vouchers  
Consolidated from 14.855, 14.857 (2000B)

## 14.872

Public Housing Capital Fund  
Consolidated from 14.852, 14.859 (2000B)

## 14.873

Native Hawaiian Housing Block Grants (2003B)

## 14.874

Loan Guarantees for Native Hawaiian Housing  
(2004)

## 14.875

Public Housing Neighborhood Networks Grants  
(2005)  
Archived (2009)

## 14.876

Resident Opportunity and Supportive Services -  
Elderly and Persons with Disabilities (2006)  
Archived (2010)

## 14.877

Public Housing Family Self-Sufficiency under  
Resident Opportunity and Supportive Services  
(2006)

## 14.878

Affordable Housing Development in Main Street  
Rejuvenation Projects (2006)

## 14.879

Mainstream Vouchers (2006)

## 14.880

Family Unification Program (FUP) (2008)

## 14.881

Moving to Work Demonstration Program (2008)

## 14.882

Native American Housing Block Grants (Formula)  
Recovery Act Funded (2009)  
Archived (2011)

## 14.883

Native Hawaiian Housing Block Grants (Recovery  
Act Funded) (2009)  
Archived (2010)

## 14.884

Public Housing Capital Fund Competitive  
(Recovery Act Funded) (2009)  
Archived (2012)

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<b>14.885</b> Public Housing Capital Fund Stimulus (Formula) Recovery Act Funded (2009) Archived (2010)	<b>14.902</b> Lead Technical Studies Grants (2003B) Archived (2009) Reinstated (2010)	Asthma Intervention in Multi-Family Housing Grant Program (2010) Asthma Interventions in Public and Assisted Multifamily Housing (2010)
<b>14.886</b> Indian Community Development Block Grant Program (Recovery Act Funded) (2009) Archived (2012)	<b>14.903</b> Operation Lead Elimination Action Program (2003B) Archived (2009)	<b>DEPARTMENT OF THE INTERIOR</b> Appalachian Region_Sewage Treatment Works Grants (1967B) Archived (1969B)
<b>14.887</b> Native American Housing Block Grants (Competitive) Recovery Act Funded (2009) Archived (2010) Reinstated (2010)	<b>14.904</b> Lead Outreach Grants (2003B) Archived (2009)	Solid Waste Disposal (1967B) Archived (1969B)
<b>14.889</b> Choice Neighborhoods (2010) Choice Neighborhoods Implementation Grants (2011)	<b>14.905</b> Lead Hazard Reduction Demonstration Grant Program (2003B)	Identification of Mentally Retarded American Indian Children (1965B) Archived (1970B)
<b>14.890</b> Capital Fund Education and Training Community Facilities (2010) Archived (2011) Reinstated (2012)	<b>14.906</b> Healthy Homes Technical Studies Grants (2004) Lead and Healthy Homes Technical Studies Grants (2010) Healthy Homes Technical Studies Grants (2010)	Mining Area Restoration in the Appalachian Region (1965B) Appalachian Region_Mining Area Restoration (1967B) Archived (1970B)
<b>14.891</b> Public and Indian Housing Transformation Initiative (TI) Technical Assistance (TA) (2010)	<b>14.907</b> Lead-Based Paint Hazard Control in Privately-Owned Housing (Recovery Act Funded) (2009) Archived (2010)	American Indian Credit and Financing Program (1965B) Archived (1967B)
<b>14.892</b> Choice Neighborhoods Planning Grants (2012) Number changed from 14.005 (2012)	<b>14.908</b> Healthy Homes Demonstration Grants (Recovery Act Funded) (2009) Archived (2010)	American Indian Education Financial Assistance (1965B) Archived (1967B)
<b>14.893</b> Office of Native American Programs Training and Technical Assistance for Indian Housing Block Grant Program (2012)	<b>14.909</b> Lead Hazard Reduction Demonstration Grant Program (Recovery Act Funded) (2009) Archived (2010)	On-Reservation Adult Education Program for American Indians (1965B) Archived (1967B)
<b>14.894</b> Office of Native American Programs Training and Technical Assistance for Native Hawaiian Housing Block Grant Program (2012)	<b>14.910</b> Healthy Homes Technical Studies Grants (Recovery Act Funded) (2009) Archived (2010)	Post High School Training for American Indian Youth (1965B) Archived (1967B)
<b>14.900</b> Lead-Based Paint Hazard Reduction Grant Program (1993U) Lead-Based Paint Hazard Control Program (1994B) Lead-Based Paint Hazard Control in Priority Housing (1996B) Lead-Based Paint Hazard Control in Privately-Owned Housing (1997B)	<b>14.911</b> Green and Healthy Housing Technical Studies Grants (2009) Archived (2010)	Summer Programs for American Indian Students (1965B) Archived (1967B)
<b>14.901</b> Healthy Homes Initiative Grants (2000B) Healthy Homes Demonstration Grants (2003B) Healthy Homes Implementation Grant Program (2010) Healthy Homes Demonstration Grants (2010) Archived (2010)	<b>14.912</b> Lead Hazard Control Capacity Building (2009) Archived (2010)	Programs for American Indians (1969B) Split into "Indian Programs" (1970B)
	<b>14.913</b> Healthy Homes Implementation Grant Program (2010) Healthy Homes Production Grant Program (2010)	<b>15.001</b> Anadromous and Great Lakes Fisheries Conservation (1970B) Transferred to 11.405 (1971B)
	<b>14.914</b>	<b>15.002</b> Commercial Fisheries Disaster Assistance (1970B) Transferred to 11.406 (1971B)
		<b>15.003</b> Commercial Fisheries Research and Development (1969B) Transferred to 11.407 (1971B)
		<b>15.004</b>

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Fishermen\_Reimbursement of Losses (1970B)  
Transferred to 11.410 (1971B)

## 15.005

Fisheries Assistance (1965B)  
Fisheries Loan Fund (1970B)  
Transferred to 11.409 (1971B)

## 15.006

Fishery Marketing Assistance (1970B)  
Transferred to 11.412 (1971B)

## 15.007

Fishery Products Inspection and Certification  
(1970B)  
Transferred to 11.413 (1971B)

## 15.008

Fishing Statistics and Market News (1970B)  
Transferred to 11.414 (1971B)

## 15.009

Fishing Vessel Mortgage and Loan Insurance  
(1970B)  
Transferred to 11.415 (1971B)

## 15.010

Jellyfish Control (1969B)  
Transferred to 11.416 (1971B)

## 15.020

Aid to Tribal Governments (1997B)

## 15.021

Consolidated Tribal Government Program (1997B)  
Archived (1999B)  
Reinstated (2002B)  
Archived (2010)  
Reinstated (2010)

## 15.022

Tribal Self-Governance (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.023

Tribal Self-Governance Grants (1997B)  
Archived (2001B)

## 15.024

Indian Self-Determination Contract Support  
(1997B)  
Archived (2010)  
Reinstated (2010)

## 15.025

Services to Indian Children, Elderly and Families  
(1997B)  
Archived (2010)  
Reinstated (2010)

## 15.026

Indian Adult Education (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.027

Assistance to Tribally Controlled Community  
Colleges and Universities (1997B)  
Archived (2010)  
Reinstated (2010)  
Archived (2010)  
Reinstated (2011)

## 15.028

Tribally Controlled Community College  
Endowments (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.029

Tribal Courts (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.030

Indian Law Enforcement (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.031

Indian Community Fire Protection (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.032

Indian Economic Development (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.033

Road Maintenance\_Indian Roads (1997B)

## 15.034

Agriculture on Indian Lands (1997B)

## 15.035

Forestry on Indian Lands (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.036

Indian Rights Protection (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.037

Water Resources on Indian Lands (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.038

Minerals and Mining on Indian Lands (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.039

Fish, Wildlife, and Parks Programs on Indian Lands  
(1997B)

## 15.040

Real Estate Programs\_Indian Lands (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.041

Environmental Quality Services\_Indian Programs  
(1997B)  
Environmental Management\_Indian Programs,  
Consolidated from 15.056 (1999B)

## 15.042

Indian School Equalization Program (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.043

Indian Child and Family Education (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.044

Indian Schools\_Student Transportation (1997B)

## 15.045

Assistance for Indian Children with Severe  
Disabilities (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.046

Administrative Cost Grants for Indian Schools  
(1997B)

## 15.047

Indian Education Facilities, Operations, and  
Maintenance (1997B)  
Archived (2010)  
Reinstated (2010)

## 15.048

Bureau of Indian Affairs Facilities\_Operations and  
Maintenance (1997B)

## 15.049

Irrigation Operations and Maintenance on Indian  
Lands (1997B)

## 15.050

Unresolved Indian Hunting and Fishing Rights  
(1997B)

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- 15.051**  
Endangered Species on Indian Lands (1997B)  
Archived (2010)  
Reinstated (2010)
- 15.052**  
Litigation Support for Indian Rights (1997B)
- 15.053**  
Attorney Fees\_Indian Rights (1997B)
- 15.054**  
Unresolved Indian Rights Issues (1997B)  
Archived (1999B)
- 15.055**  
Alaskan Indian Allotments and Subsistence Preference\_Alaska National Interest Lands Conservation Act (1997B)  
Archived (2009)
- 15.056**  
Waste Management\_Indian Lands (1997B)  
Consolidated into 15.041 (1999B)
- 15.057**  
Navajo-Hopi Indian Settlement Program (1997B)  
Archived (2010)  
Reinstated (2010)
- 15.058**  
Indian Post Secondary Schools (1997B)  
Archived (2010)  
Reinstated (2010)
- 15.059**  
Indian Graduate Student Scholarships (1997B)
- 15.060**  
Indian Vocational Training\_United Tribes Technical College (1997B)  
Archived (2010)  
Reinstated (2010)
- 15.061**  
Indian Job Placement\_United Sioux Tribes Development Corporation (1997B)  
Archived (2001B)  
Reinstated (2002B)
- 15.062**  
Replacement and Repair of Indian Schools (1997B)
- 15.063**  
Construction and Repair of Indian Detention Facilities (1997B)  
Improvement and Repair of Indian Detention Facilities (1999B)  
Archived (2010)  
Reinstated (2010)
- 15.064**  
Structural Fire Protection\_Bureau of Indian Affairs Facilities (1997B)  
Archived (2010)  
Reinstated (2010)  
Archived (2010)
- 15.065**  
Safety of Dams on Indian Lands (1997B)
- 15.100**  
Adult Vocational Training\_American Indians (1965B)  
Indian\_Adult Education (1970B)  
Indian Education\_Adults (1972B)  
Archived (1978B)
- 15.101**  
Indian\_Agricultural Extension (1970B)  
Indian Agricultural Extension (1972B)  
Archived (1978B)
- 15.102**  
Indian\_Aid to Tribal Governments (1970B)  
Indian Tribal Government Operations (1972B)  
Archived (1978B)
- 15.103**  
Social Services to American Indian Children (1965B)  
Indian\_Child Welfare Assistance (1970B)  
Indian Social Services\_Child Welfare Assistance (1972B)  
Consolidated into 15.113 (1999B)
- 15.104**  
Indian\_Community Development (1970B)  
Indian Community Development (1972B)  
Archived (1974B)
- 15.105**  
Indian\_Contracts with Indian School Boards (1970B)  
Indian Education\_Contracts with Indian School Boards (1972B)  
Indian Education\_Contracts with Indian Tribal Organizations (1976B)  
Archived (1978B)
- 15.106**  
Indian\_Construction, Maintenance, and Operation of Irrigation Projects and Related Power Systems (1970B)  
Indian Lands\_Irrigation Construction, Maintenance, Operation, and Related Power Systems (1972B)  
Archived (1978B)
- 15.107**  
Indian\_Engineering Technical Assistance (1970B)  
Indian Engineering Technical Assistance (1972B)
- Indian Technical Assistance (1973U)  
Indian Action Team Program (1976B)  
Archived (1981U)
- 15.108**  
Direct Employment Assistance\_American Indians (1965B)  
American Indians\_Direct Employment Assistance (1967B)  
Indian\_Employment Assistance (1970B)  
Indian Employment Assistance (1972B)
- 15.109**  
Indian\_Federal School Facilities\_Dormitory Operations (1970B)  
Indian Education\_Dormitory Operations (1972B)  
Archived (1978B)
- 15.110**  
Federal Schools for American Indians (1965B)  
Indian\_Federal Schools (1970B)  
Indian Education\_Federal Schools (1972B)  
Archived (1978B)
- 15.111**  
Indian\_Forest Fire Suppression and Emergency Rehabilitation (1970B)  
Indian Forests\_Fire Suppression and Emergency Rehabilitation (1972B)  
Archived (1978B)
- 15.112**  
Indian\_Forestry Development (1970B)  
Indian\_Forest Management, Protection and Development (1971B)  
Indian Forests\_Management, Protection, and Development (1972B)  
Archived (1978B)
- 15.113**  
General Assistance and Social Services to American Indians (1965B)  
Indian\_General Assistance (1970B)  
Indian Social Services\_General Assistance (1972B)  
Consolidated from 15.103 (1999B)  
Indian Social Services\_Welfare Assistance (2001B)
- 15.114**  
Scholarship Aid for American Indian Students in Higher Education (1965B)  
Indian\_Higher Education (1970B)  
Indian Education\_Colleges and Universities (1972B)  
Indian Education\_Higher Education Grant Program (1982B)
- 15.115**  
Indian\_Housing Development (1970B)  
Indian Housing\_Development (1972B)  
Consolidated into 15.141 (1978B)

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<b>15.116</b> Indian_Housing Improvement (1970B) Indian Housing_Improvement (1972B) Consolidated into 15.141 (1978B)	Indian_Roads Maintenance (1970B) Indian Roads_Maintenance (1972B) Archived (1978B)	<b>15.134</b> Indian Tribal Affairs Management (1972B) Incorporated into 15.102 (1974B)
<b>15.117</b> American Indian Industrial Development Program (1965B) Indian_Industrial and Tourism Development (1970B) Indian_Industrial and Tourism Development and On-the-Job Training (1971B) Indian Industrial and Tourism Development and On-the-Job Training (1972B) Indian Business Enterprise Development (1975B) Archived (1979U1)	<b>15.126</b> Indian_Soil and Moisture Conservation (1970B) Indian Lands_Soil and Moisture Conservation (1972B) Archived (1978B)	<b>15.135</b> Indian Water Rights (1973U) Indian Rights Protection (1974B) Archived (1978B)
<b>15.118</b> Indian_Investment of Tribal Trust Funds and Individual Indian Monies (1970B) Indian Investments_Tribal Trust Funds and Individual Indian Monies (1972B) Archived (1978B)	<b>15.127</b> Indian_Transfer of Federally-Owned Buildings, Improvements, and/or Facilities (1970B) Indian Property Acquisition_Transfer of Federally Owned Buildings, Improvements, and/or Facilities (1972B) Archived (1978B)	<b>15.136</b> Indian Lands_Environmental Quality Services (1975B) Archived (1978B)
<b>15.119</b> Indian_Range Management (1970B) Indian Lands_Range Management (1972B) Archived (1978B)	<b>15.128</b> Indian_Transfer of Indian School Properties (1970B) Indian Property Acquisition_Transfer of Indian School Properties (1972B) Archived (1978B)	<b>15.137</b> Facility School Construction Planning and Equipping (1976B) Archived (1978B)
<b>15.120</b> Indian_Real Estate Appraisal (1970B) Indian Lands_Real Estate Appraisal (1972B) Archived (1978B)	<b>15.129</b> Indian_Tribal Accounting Services (1970B) Indian Accounting Services for Tribes (1972B) Archived (1978B)	<b>15.138</b> Indian Lands_Minerals and Mining (1976B) Archived (1978B)
<b>15.121</b> Indian_Real Property Management (1970B) Indian Lands_Real Estate Services (1972B) Archived (1978B)	<b>15.130</b> Financial Assistance to School Districts for American Indian Education (1965B) American Indians_Financial Assistance to School Districts (1967B) Indians_Assistance to Non-Federal Schools (1970B) Indian Education_Assistance to Non-Federal Schools (1972B) Indian Education_Assistance to Schools (1976B)	<b>15.139</b> Indian Tribal Judicial Services_Contracts with Indian Tribal Organizations (1977B) Split from 15.131 (1977B) Archived (1978B)
<b>15.122</b> American Indians_Construction of Reservation Roads and Bridges (1967B) Indian_Reservation Roads and Bridges (1970B) Indian Roads_Reservation Roads and Bridges (1972B) Archived (1978B)	<b>15.131</b> Indians_Law and Order (1970B) Indian_Judicial, Crime Prevention, and Enforcement Services (1971B) Indian Judicial, Prevention, and Enforcement Services (1972B) Indian Law Enforcement Services (1974B) Split into 15.131, 15.139 (1977B) Archived (1978B)	<b>15.140</b> Indian Lands_Wildlife and Parks (1977B) Archived (1978B)
<b>15.123</b> Indian_Revolving Fund for Expert Assistance Loans (1970B) Indian Loans_Claims Assistance (1972B) Archived (1993B)	<b>15.132</b> Indian Social Services_Counseling (1972B) Archived (1978B)	<b>15.141</b> Indian Housing Assistance (1978B) Consolidated from 15.115, 15.116 (1978B)
<b>15.124</b> Indian_Revolving Fund for Loans (1970B) Indian Loans_Economic and Social Development (1972B) Indian Loans_Economic Development (1975B)	<b>15.133</b> Native American Business Development Institute (2008) Archived (2010) Reinstated (2012)	<b>15.142</b> Self Determination Grants_Indian Tribal Governments (1978B) Archived (1996U)
<b>15.125</b>		<b>15.143</b> Training and Technical Assistance_Indian Tribal Governments (1978B) Archived (1996U)
		<b>15.144</b> Indian Child Welfare Act_Title II Grants (1980B)
		<b>15.145</b> Indian Grants_Economic Development (Indian Grant Program) (1986B) Archived (1997B)
		<b>15.146</b> Ironworker Training Program (1993U)
		<b>15.147</b> Tribal Courts_Trust Reform Initiative (2003B)

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<b>15.148</b> Tribal Energy Development Capacity Grants (2008)	Archived (1979B)	Archived (1994B)
<b>15.149</b> FOCUS on Student Achievement Project (2011)	<b>15.209</b> Sale of Contiguous Public Lands (1971B) Split from 15.204 (1971B) Archived (1972B)	<b>15.222</b> Cooperative Inspection Agreements with States and Tribes (1990B)
<b>15.150</b> Juvenile Detention Education (2011)	<b>15.210</b> Sale of Forest Products (1971B) Archived (1973B)	<b>15.223</b> Recreation and Cultural Resource Management (1992B) Split into 15.224, 15.225 (1994B)
<b>15.151</b> Education Program Enhancements (2011)	<b>15.211</b> Sale of Isolated Public Lands (1971B) Split from 15.204 (1971B) Archived (1977B)	<b>15.224</b> Cultural Resource Management Split from 15.223 (1994B)
<b>15.200</b> Land Lease for Airports (1970B) Archived (1979B)	<b>15.212</b> Sale of Public Lands Thought to be Private (1971B) Archived (1979B)	<b>15.225</b> Recreation Resource Management Split from 15.223 (1994B)
<b>15.201</b> Leases, Permits, and Easements for Public Works (1970B) Archived (1977U)	<b>15.213</b> Special Land Use Permits (1971B) Archived (1977B)	<b>15.226</b> Payments in Lieu of Taxes (1999B)
<b>15.202</b> Real Property for Public Parks, Public Recreational Areas, and Public Purposes (1965B) Public Land for Recreation, Public Purposes, and Historic Monuments (1970B) Archived (1979B)	<b>15.214</b> Non-Sale Disposals of Mineral Material (1972B) Archived (1979B) Reinstated (1981U)	<b>15.227</b> Distribution of Receipts to State and Local Governments (2001B)
<b>15.203</b> Public Land for Rights-of-Way (1970B) Archived (1979B)	<b>15.215</b> Sale of Mineral Material (1972B) Archived (1979B) Reinstated (1981U) Archived (1983B)	<b>15.228</b> Wildland Urban Interface Community and Rural Fire Assistance (2001B) National Fire Plan - Wildland Urban Interface Community Fire Assistance (2005) National Fire Plan - Wildland Urban Interface Community Fire Assistance (2006)
<b>15.204</b> Real Property Sales for Residential, Commercial, Agricultural, Industrial, or Public Uses or Development (1965B) Split into 15.209, 15.211 (1971B)	<b>15.217</b> Cooperative Agreements with Interpretive Associations (1981U) Cooperative Agreements with Cooperating Associations (1983B) Archived (1985B)	<b>15.229</b> Wild Horse and Burro Resource Management (2005)
<b>15.205</b> Exchange of Public Lands (1971B) Archived (1977B)	<b>15.218</b> Special Recreation Permits (1981U) Archived (1985B)	<b>15.230</b> Invasive and Noxious Plant Management (2008)
<b>15.206</b> Grazing Privileges (1971B) Grazing Preference (1977U) Archived (1979B) Reinstated (1981U) Mineral Privileges (1982B) Archived (1983B)	<b>15.219</b> Wildlife Habitat Management Technical Assistance (1981U) Archived (1995B)	<b>15.231</b> Fish, Wildlife and Plant Conservation Resource Management (2005)
<b>15.207</b> Mineral Leasing (1971B) Archived (1979B) Reinstated (1981U) Archived (1983B)	<b>15.220</b> Law Enforcement (1981U) Archived (1983B)	<b>15.232</b> Wildland Fire Research and Studies Program (2008)
<b>15.208</b> Non-Sale Disposals From Public Lands (1971B) Non-Sale Disposals of Material on Public Lands (1973B)	<b>15.221</b> Cooperative Agreements for Research to Public Lands Management (1983U) Cooperative Agreements for Research in Public Lands Management (1985U)	<b>15.233</b> Forests and Woodlands Resource Management (2008)
		<b>15.234</b> Secure Rural Schools and Community Self-Determination (2008)
		<b>15.235</b> Southern Nevada Public Land Management (2008)
		<b>15.236</b>



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Environmental Quality and Protection Resource Management (2008)

## 15.237

Rangeland Resource Management (2008)

## 15.238

Challenge Cost Share (2008)

## 15.239

Management Initiatives (2008)

## 15.240

Helium Resource Management (2008)

## 15.241

Indian Self-Determination Act Contracts, Grants and Cooperative Agreements (2009)

## 15.242

National Fire Plan - Rural Fire Assistance (2005)

## 15.250

Regulation of Surface Mining and Surface Effects of Underground Coal Mining (1978U)

Regulation of Surface Coal Mining and Surface Effects of Underground Coal Mining (1980U1)

## 15.251

Grants for Mining and Mineral Resources, Research Institutes, Mineral Research Projects, Scholarships and Fellowships (1978U)

Grants for Mining and Mineral Resources and Research Institutes, Mineral Research Projects, Scholarships and Fellowships (1980B)

Archived (1981U)

## 15.252

Abandoned Mine Land Reclamation Program (1979U2)

Abandoned Mine Land Reclamation (AMLR) Program (1982B)

## 15.253

Not-for-Profit AMD Reclamation (1999B)

## 15.254

Summer Watershed Intern (2002B)

Summer Intern and Year-Long OSM/VISTA Watershed Support (2011)

## 15.255

Applied Science Program Cooperative Agreements Related to Coal Mining and Reclamation (2007)

Science and Technology Projects Related to Coal Mining and Reclamation (2012)

## 15.300

Coal Mine Health and Safety (1970B)

Coal Mine Health and Safety Grants (1971B)

Number changed to 15.350 (1973U)

## 15.301

Control of Fires in Inactive Coal Deposits (1970B)

Archived (1979B)

## 15.302

Mine Health and Safety Counseling (1970B)

Mine Health and Safety Counseling and Technical Assistance (1971B)

Number changed to 15.351 (1973U)

## 15.303

Mineral Research\_Grants and Contracts (1970B)

Mineral Resources and Environmental Development (1972B)

Mineral and Materials Research and Development (1974U)

Archived (1975U)

## 15.304

Mineral Research and Resource Information (1970B)

Mineral Research and Resource Information and Technical Assistance (1971B)

Archived (1979B)

## 15.305

Mine Health and Safety Education and Training (1971B)

Number changed to 15.352 (1973U)

## 15.306

Mine Health and Safety\_Grants and Contracts (1971B)

Archived (1975U)

## 15.307

Energy Research\_Grants and Contracts (1974U)

Transferred to 24.034 (1975B)

## 15.308

Grants for Mining and Mineral Resources and Research Institutes (1983B)

Archived (1995B)

## 15.350

Coal Mine Health and Safety Grants (1973U)

Number changed from 15.300 (1973U)

Transferred to 17.600 (1978B)

## 15.351

Mine Health and Safety Counseling and Technical Assistance (1973U)

Number changed from 15.302 (1973U)

Transferred to 17.601 (1978B)

## 15.352

Mine Health and Safety Education and Training (1973U)

Number changed from 15.305 (1973U)

Transferred to 17.602 (1978B)

## 15.400

Outdoor Recreation Program (1965B)

Outdoor Recreation\_Financial Assistance (1969B)

Outdoor Recreation\_Acquisition and Development (1971B)

Outdoor Recreation\_Acquisition, Development and Planning (1974B)

Number changed to 15.916 (1981B)

## 15.401

Outdoor Recreation Assistance (1967B)

Outdoor Recreation Financial Assistance (1969B)

Outdoor Recreation Planning\_Financial Assistance (1970B)

Outdoor Recreation State Planning\_Financial Assistance (1971B)

Incorporated into 15.400 (1974B)

## 15.402

Outdoor Recreation Technical Assistance (1967B)

Recreation\_Technical Assistance (1980U1)

Number changed to 15.917 (1981B)

## 15.403

Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (1977B)

Number changed to 15.918 (1981B)

## 15.405

National Registry of Natural Landmarks (1978B)

Number changed from 15.910 (1978B)

National Natural Landmarks Program (1980B)

Number changed to 15.910 (1981B)

## 15.406

National Park Service Centennial Challenge. (2008)

## 15.407

Keweenaw National Historical Park (NHP) and Keweenaw NHP Advisory Commission Partner Enhancement Grants (2008)

## 15.410

Historic American Buildings Survey (1978B)

Number changed from 15.903 (1978B)

National Architectural and Engineering Record (1980U1)

Number changed to 15.909 (1981B)

Historic American Buildings Survey/Historic American Engineering Record (1982B)

## 15.411

Historic Preservation Grants-In-Aid (1978B)

Number changed from 15.904 (1978B)

Number changed to 15.904 (1981B)

## 15.412

Archeological Investigations and Salvage (1978B)

Number changed from 15.908 (1978B)

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Archived (1980B)	(2006)	Distribution System Loans (1984B) Archived (1994U)
<b>15.413</b> Historic American Engineering Record (1978B) Number changed from 15.909 (1978B) Incorporated into 15.410 (1980U)	<b>15.426</b> Coastal Impact Assistance Program (CIAP) (2007)	<b>15.502</b> Irrigation Systems Rehabilitation and Betterment (1970B) Archived (1994U)
<b>15.414</b> National Historic Landmark (1978B) Number changed from 15.912 (1978B) Number changed to 15.912 (1981B)	<b>15.427</b> Federal Oil and Gas Royalty Management (2008)	<b>15.503</b> Reclamation Projects (1965B) Water Resources Investigation and Small Reclamation Projects Loans (1967B) Small Reclamation Project Loans for Water Resource Projects (1969B) Small Reclamation Projects (1970B) Archived (1994U)
<b>15.415</b> Technical Preservation Services (1978B) Number changed from 15.913 (1978B) Number changed to 15.915 (1981B)	<b>15.428</b> Marine Gas Hydrate Research Activities (2008)	<b>15.504</b> Federal Reclamation Projects (1971B) Archived (1979B) Reclamation and Water Reuse Program, Reinstated (1998B) Water Reclamation and Reuse Program (2001B)
<b>15.416</b> National Register of Historic Places (1978B) Number changed from 15.914 (1978B) Number changed to 15.914 (1981B)	<b>15.429</b> State Select (2011)	<b>15.505</b> National Water Research and Development Program (1983B) Number changed from 15.950 (1983B) National Water Research Program (1984B) Archived (1984U)
<b>15.417</b> Urban Park and Recreation Recovery Program (1979U2) Number changed to 15.919 (1981B)	<b>15.430</b> 8(g) State Coastal Zone (2011)	<b>15.506</b> Water Desalination Research and Development Program (1999B)
<b>15.418</b> Park and Recreation Technical Assistance (1980B) Number changed from 15.906 (1980B) Incorporated into 15.402 (1980U1)	<b>15.431</b> Alaska State Select (2011)	<b>15.507</b> Water 2025 (2004) WaterSMART (Sustaining and Manage America's Resources for Tomorrow) (2010)
<b>15.419</b> HCRS/NPRA Park Practice Program (1980B) Number changed from 15.907 (1980B) Incorporated into 15.402 (1980U1)	<b>15.432</b> California Refuge Account (2011)	<b>15.508</b> Providing Water to At-Risk Natural Desert Terminal Lakes (2004)
<b>15.420</b> Training Institute for Park and Recreation Management (1980B) Number changed from 15.911 (1980B) Incorporated into 15.402 (1980U1)	<b>15.433</b> Flood Control Act Lands (2011)	<b>15.509</b> Colorado River Basin Salinity Control Program (2007)
<b>15.421</b> Alaska Coastal Marine Institute (2006)	<b>15.434</b> Geothermal Resources (2011)	<b>15.510</b> Colorado Ute Indian Water Rights Settlement Act (2007)
<b>15.422</b> Louisiana State University (LSU) Coastal Marine Institute (CMI) (2006)	<b>15.435</b> GoMESA (2011)	<b>15.511</b> Cultural Resources Management (2007)
<b>15.423</b> Minerals Management Service (MMS) Environmental Studies Program (ESP) (2006)	<b>15.436</b> Late Disbursement Interest (2011)	<b>15.512</b> Central Valley Project Improvement Act, Title XXXIV (2007)
<b>15.424</b> Marine Minerals Activities (2006)	<b>15.437</b> Minerals Leasing Act (2011)	<b>15.513</b>
<b>15.425</b> Offshore Research Technology Center (OTRC) Texas Engineering Experiment Station (TEES)	<b>15.438</b> National Forest Acquired Lands (2011)	
	<b>15.439</b> National Petroleum Reserve - Alaska (2011)	
	<b>15.440</b> South Half of the Red River (2011)	
	<b>15.441</b> Safety and Environmental Enforcement Research and Data Collection for Offshore Energy and Mineral Activities (2012)	
	<b>15.442</b> Atmospheric Water Resources Research (1970B) Archived (1971B)	
	<b>15.443</b> Irrigation and Drainage Systems Loans (1970B) Irrigation Systems Loans (1970U) Irrigation Distribution System Loans (1971B)	

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Dutch John Federal Property and Disposition Assistance Act (2007)	(WCFSP) (2007)	Youth Conservation Program (2010)
<b>15.514</b> Reclamation States Emergency Drought Relief (2007)	<b>15.531</b> Yakima River Basin Water Enhancement Project (YRBWEP) (2007)	<b>15.547</b> San Jacinto Basin Restoration Fund (2011)
<b>15.515</b> Federal Resource Protection (2008) Archived (2010)	<b>15.532</b> Central Valley Project, Trinity River Division, Trinity River Fish and Wildlife Management (2007)	<b>15.548</b> Reclamation Rural Water Supply Program (2011)
<b>15.516</b> Fort Peck Reservation Rural Water System (2007)	<b>15.533</b> California Water Security and Environmental Enhancement (2007)	<b>15.549</b> Integrated Regional Water Plan for the Central Valley of California (2011)
<b>15.517</b> Fish and Wildlife Coordination Act (2007)	<b>15.534</b> Miscellaneous Public Law 93-638 Contracts, Grants, and Cooperative Agreements (2008)	<b>15.550</b> Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs through Fishing and Boating Events for Physically Challenged and Disadvantaged Children. (2011) Increasing Public Awareness of Recreational Opportunities at Reclamation Reservoirs for Physically Challenged and Disadvantaged Children (2011)
<b>15.518</b> Garrison Diversion Unit (2007)	<b>15.535</b> Upper Colorado River Basin Fish and Wildlife Mitigation Program. (2009)	<b>15.551</b> Madera Water Supply Enhancement Project (2011)
<b>15.519</b> Indian Tribal Water Resources Development, Management, and Protection (2007)	<b>15.536</b> Deschutes River Conservancy (DRC) (2009) Archived (2012)	<b>15.552</b> NAVAJO-GALLUP WATER SUPPLY PROJECT (2012)
<b>15.520</b> Lewis and Clark Rural Water System (2007)	<b>15.537</b> Middle Rio Grande Endangered Species Collaborative Program (2009)	<b>15.553</b> Eastern New Mexico Rural Water System Project (2012)
<b>15.521</b> Lower Rio Grande Valley Water Resources Conservation and Improvement (2007)	<b>15.538</b> Lower Colorado River Multi-Species Conservation Program. (2009)	<b>15.554</b> Cooperative Watershed Management Program (2012)
<b>15.522</b> Mni Wiconi Rural Water Supply Project (2007)	<b>15.539</b> Equus Beds Division Aquifer Storage Recharge Project (2009)	<b>15.555</b> San Joaquin River Restoration Program (2012)
<b>15.523</b> Perkins County Rural Water System (2007) Archived (2012)	<b>15.540</b> Lake Mead/Las Vegas Wash Program (2009)	<b>15.556</b> Crow Tribe Water Rights Settlement (2012)
<b>15.524</b> Recreation Resources Management (2008)	<b>15.541</b> Colorado River Basin Projects Act of 1968 (2009)	<b>15.557</b> Desert and Southern Rockies Landscape Conservation Cooperatives (2012)
<b>15.525</b> Rocky Boy's/North Central Montana Regional Water System (2008)	<b>15.542</b> Arizona Water Settlement Act of 2004 (2010)	<b>15.558</b> White Mountain Apache Tribe Rural Water System (2012)
<b>15.526</b> San Gabriel Basin Restoration Project (2007)	<b>15.543</b> Lake Tahoe Regional Wetlands Development Program (2010)	<b>15.559</b> New Mexico Rio Grande Basin Pueblos Irrigation Infrastructure Project (2012)
<b>15.527</b> San Luis Unit, Central Valley Project (2007)	<b>15.544</b> Platte River Recovery Implementation Program (2010)	<b>15.560</b> SECURE Water Act Research Agreements (2012)
<b>15.528</b> St. Mary Storage Unit Facilities Rehabilitation Project (2007)	<b>15.545</b> Bunker Hill Groundwater Basin, Riverside-Corona Feeder Project (2010)	<b>15.561</b> Savage Rapids Pumping Plant Project (2012)
<b>15.529</b> Upper Colorado and San Juan River Basins Endangered Fish Recovery Programs (2007)		
<b>15.530</b> Water Conservation Field Services Program		

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<b>15.600</b> Anadromous Fish Management (1967B) Anadromous Fish Conservation (1970B) Archived (1996B)	<b>15.611</b> Wildlife Restoration (1970B) Wildlife Restoration and Basic Hunter Education (2011)	<b>15.626</b> Hunter Education and Safety Program (2001B) Firearm and Bow Hunter Education and Safety Program (2009) Enhanced Hunter Education and Safety Program (2011)
<b>15.601</b> Animal Control (1965B) Animal Damage Control (1967B) Transferred to 10.213 (1986B)	<b>15.612</b> Rare and Endangered Species Conservation (1976B) Endangered Species Conservation (1977B) Archived (1995B)	<b>15.628</b> Multi-State Conservation Grants (2001B) Multi-State Conservation Grant Program (2007) Multistate Conservation Grant Program (2008)
<b>15.602</b> Conservation Law Enforcement Training Assistance (1970B) Archived (2009)	<b>15.613</b> Marine Mammal Grant Program (1979B) Archived (1983U)	<b>15.629</b> Great Apes Conservation (2001B) Great Apes Conservation Fund (2005) Great Apes Conservation Fund (2006)
<b>15.603</b> Farm Fish Pond Management (1965B) Archived (1986U)	<b>15.614</b> Coastal Wetlands Planning, Protection and Restoration Act (1992B)	<b>15.630</b> Coastal Program (2002B)
<b>15.604</b> Fish Research (1970B) Fishery Research_Information (1971B) Consolidated into 15.975, 15.976 (1994B)	<b>15.615</b> Cooperative Endangered Species Conservation Fund (1992B)	<b>15.631</b> Partners for Fish and Wildlife (2002B)
<b>15.605</b> Sport Fish Restoration (1970B) Sport Fish Restoration Program (2007)	<b>15.616</b> Clean Vessel Act (1993U)	<b>15.632</b> Conservation Grants Private Stewardship for Imperiled Species (2002B) Archived (2009)
<b>15.606</b> Migratory Bird Banding and Data Analysis (1970B) Consolidated into 15.975, 15.976 (1994B)	<b>15.617</b> Wildlife Conservation and Appreciation (1994B)	<b>15.633</b> Landowner Incentive (2002B) Landowner Incentive Program (2007) Archived (2009) Reinstated (2010) Archived (2010) Reinstated (2011)
<b>15.607</b> Pesticide Appraisal and Monitoring (1970B) Environmental Contaminant Evaluation (1978B) Resource Contaminant Assessment (1983U) Environmental Contaminant (1989B) Environmental Contaminants (1993U) Archived (1995B)	<b>15.618</b> Administrative Grants for Federal Aid in Sport Fish and Wildlife Restoration (1995B) Archived (2001B)	<b>15.634</b> State Wildlife Grants (2002B)
<b>15.608</b> Sport Fish Management (1965B) Sport Fish Technical Assistance (1974U) Fishery Resources Technical Assistance (1984U) Fish and Wildlife Management Assistance (1986U)	<b>15.619</b> Rhinoceros and Tiger Conservation (1996U) Rhinoceros and Tiger Conservation Fund (2005) Rhinoceros and Tiger Conservation Fund (2006)	<b>15.635</b> Neotropical Migratory Bird Conservation (2003B)
<b>15.609</b> Wildlife Management (1967B) Wildlife Enhancement (1970B) Wildlife Technical Assistance (1974U) Archived (1983U)	<b>15.620</b> African Elephant Conservation (1996U) African Elephant Conservation Fund (2005) African Elephant Conservation Fund (2006)	<b>15.636</b> Alaska Subsistence Management (2004)
<b>15.610</b> Wildlife Research (1970B) Wildlife Research Information (1971B) Wildlife Ecology Research Information (1979B) Wildlife Research Information (1983B) Consolidated into 15.975, 15.976 (1994B)	<b>15.621</b> Asian Elephant Conservation (1999B) Asian Elephant Conservation Fund (2005) Asian Elephant Conservation Fund (2006)	<b>15.637</b> Migratory Bird Joint Ventures (2004)
	<b>15.622</b> Sportfishing and Boating Safety Act (1999B)	<b>15.638</b> Tribal Landowner Incentive Program (2004) Archived (2009)
	<b>15.623</b> North American Wetlands Conservation Fund (1999B)	<b>15.639</b> Tribal Wildlife Grants Program (2004)
	<b>15.625</b> Wildlife Conservation and Restoration (2001B) Archived (2009) Reinstated (2011)	<b>15.640</b> Wildlife Without Borders- Latin America and the Caribbean (2004)
		<b>15.641</b>

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Wildlife Without Borders-Mexico (2004)

## 15.642

Challenge Cost Share (2004)

## 15.643

Alaska Migratory Bird Co-Management Council (2004)

## 15.644

Federal Junior Duck Stamp Conservation and Design (2004)

## 15.645

Marine Turtle Conservation Fund (2005)

## 15.647

Migratory Bird Conservation (2005)

## 15.648

Central Valley Project Improvement (CVPI) Anadromous Fish Restoration Program (AFRP) (2006)

## 15.649

Service Training and Technical Assistance (Generic Training) (2007)

## 15.650

Research Grants (Generic) (2007)  
Research Grants (Generic) (2008)

## 15.651

Wildlife Without Borders-Africa Program (2007)

## 15.652

Undesirable/Noxious Plant Species (2008)

## 15.653

National Outreach and Communication Program (2007)

## 15.654

Visitor Facility Enhancements - Vehicle Pullouts, Interpretive Trails, and Kiosks (2007)  
Visitor Facility Enhancements - Refuges and Wildlife (2011)

## 15.655

Migratory Bird Monitoring, Assessment and Conservation (2008)

## 15.656

Recovery Act Funds - Habitat Enhancement, Restoration and Improvement. (2009)

## 15.657

Endangered Species Conservation Recovery Implementation Funds (2009)

## 15.658

Natural Resource Damage Assessment, Restoration and Implementation (2009)

## 15.659

National Wildlife Refuge Fund (2009)

## 15.660

Endangered Species - Candidate Conservation Action Funds (2009)

## 15.661

Lower Snake River Compensation Plan (2009)

## 15.662

Great Lakes Restoration - Restoration, protection, and enhancement of Great Lakes fish, wildlife, and their habitats. (2010)

Great Lakes Restoration (2011)

## 15.663

National Fish and Wildlife Foundation (2010)

## 15.664

Fish and Wildlife Coordination and Assistance Programs (2010)

## 15.665

National Wetlands Inventory (2010)

## 15.666

Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention (2010)

## 15.667

Highlands Conservation Program (2011)

## 15.668

Coastal Impact Assistance Program (2011)

## 15.669

Cooperative Landscape Conservation (2011)

## 15.670

Adaptive Science (2011)

## 15.671

Yukon River Salmon Research and Management Assistance (2011)

## 15.672

Wildlife Without Borders Amphibians in Decline (2011)

## 15.673

Wildlife Without Borders Critically Endangered Animal Conservation Fund (2011)

## 15.674

National Fire Plan-Wildland Urban Interface Community Fire Assistance (2011)

## 15.675

National Fire Plan- Rural Fire Assistance (2011)

## 15.700

Water Pollution Control\_Waste Treatment Works Construction Grants (1967B)

Construction Grants for Wastewater Treatment Works (1970B)

Transferred to 66.400 (1971B)

## 15.701

Water Pollution Control\_Grants for Comprehensive Basin Planning (1967B)

Water Pollution Control\_Comprehensive Basin Planning Grants (1970B)

Transferred to 66.401 (1971B)

## 15.702

Water Pollution Control\_Data Publications Services (1970B)

Transferred to 66.402 (1971B)

## 15.703

Water Pollution Control\_Direct Training (1970B)

Transferred to 66.403 (1971B)

## 15.704

Water Pollution Control\_Interstate Cooperation and Uniform Laws (1970B)

Transferred to 66.404 (1971B)

## 15.705

Water Pollution Control\_Research, Development, and Demonstration Grants and Contracts (1965B)

Water Pollution Control\_Research, Development and Demonstration Program (1970)

Transferred to 66.405 (1971B)

## 15.706

Water Pollution Control\_Training Grants, Contracts, and Research Fellowships (1967B)

Water Pollution Control\_Training Grants and Research Training Fellowships (1970B)

Split into 15.706, 15.710 (1970)

Transferred to 66.406 (1971B)

## 15.707

Water Pollution Control\_State and Interstate Agency Support (1969B)

Water Pollution Control\_State and Interstate Program Grants (1970B)

Transferred to 66.407 (1971B)

## 15.708

Water Pollution Control\_State and Local Manpower Development (1970B)

Transferred to 66.408 (1971B)

## 15.709

Water Pollution Control\_Technical Assistance and Pollution Surveillance (1970B)

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Transferred to 66.409 (1971B)

### 15.710

Water Pollution Control\_Training Grants (1970B)

Split from 15.706 (1970B)

Transferred to 66.410 (1971B)

### 15.711

Water Quality and Pollution Control Data (1970B)

Transferred to 66.411 (1971B)

### 15.712

Water Quality and Pollution Control\_Orientation and Training Seminars (1970B)

Transferred to 66.412 (1971B)

### 15.713

Water Quality Management Technical Planning Assistance (1970B)

Transferred to 66.413 (1971B)

### 15.800

Resources Surveys, Water, Mineral, Fuels, Topographic Maps (1965B)

Geologic, Mineral, Water Resource, and Topographic Surveys, Investigations, and Research (1967B)

Split into 15.800, 15.801, 15.802, 15.803, 15.804 (1970B)

Geologic and Mineral Resource Surveys and Mapping (1970B)

Consolidated into 15.808 (1986B)

### 15.801

Map Information (1970B)

Split from 15.800 (1970B)

Cartographic Information (1974U)

Cartographic Information, Geologic Information, Hydrologic Information (1989B)

Archived (1990B)

### 15.802

Minerals Discovery Loan Program (1970B)

Split from 15.800 (1970B)

Archived (1982B)

### 15.803

Topographic Surveys and Mapping (1970B)

Split from 15.800 (1970B)

National Mapping, Geography and Surveys (1980U1)

Consolidated into 15.808 (1986B)

### 15.804

Water Resources Investigations (1970B)

Split from 15.800 (1970B)

Consolidated into 15.808 (1986B)

### 15.805

Assistance to State Water Resources Research

Institutes (1984B)

Number changed from 15.951 (1984B)

### 15.806

National Water Resources Research Program (1985B)

Archived (1996B)

### 15.807

Earthquake Hazards Reduction Program (1986B)

Consolidated from 15.800 (1986B)

### 15.808

Geological Survey\_Research and Data Acquisition (1986B)

Consolidated from 15.800, 15.803, 15.804 (1986B)

U.S. Geological Survey\_Research and Data Acquisition, Consolidated from 15.977 (1998B)

### 15.809

National Spatial Data Infrastructure Competitive Cooperative Agreements Program (1997B)

National Spatial Data Infrastructure Cooperative Agreements Program (1998U)

### 15.810

National Cooperative Geologic Mapping Program (1998B)

### 15.811

Gap Analysis Program (2003B)

### 15.812

Cooperative Research Units Program (2003B)

### 15.813

COOPERATIVE RESEARCH UNITS TRAINING PROGRAM (2007)

### 15.814

National Geological and Geophysical Data Preservation Program (2008)

### 15.815

National Land Remote Sensing\_Education Outreach and Research (2008)

### 15.816

Minerals Resources External Research Program (2008)

### 15.817

National Geospatial Program: Building The National Map (2009)

### 15.818

Volcano Hazards Program Research and Monitoring. (2009)

### 15.819

Energy Cooperatives to Support the National Coal

Resources Data System (NCRDS) (2009)

### 15.820

National Climate Change and Wildlife Service Center (2009)

National Climate Change and Wildlife Science Center (2010)

### 15.850

Indian Arts and Crafts Development (1970B)

### 15.875

Economic and Political Development of the Territories and the Trust Territory of the Pacific Islands (1982)

Economic, Social, and Political Development of the Territories and the Freely Associated States (1995U)

Economic, Social, and Political Development of the Territories (2005)

Economic, Social, and Political Development of the Territories (2006)

### 15.900

Disposal of Surplus Wildlife (1970B)

Archived (1986B)

### 15.901

Domestic Travel Promotion (1970B)

Transferred/Incorporated into 11.950 (1971B)

### 15.902

Environmental Study Areas (1970B)

National Environmental Study Areas (1970U)

National Environmental Study Areas and National Environmental Education Development Programs (1975U)

National Environmental Study Areas (1980B)

Archived (1981B)

### 15.903

Historic American Buildings Survey (1969B)

Historic American Building Survey\_Historic American Engineering Record (1970U)

Historic American Buildings Survey (1971B)

Split into 15.903, 15.909 (1971B)

Number changed to 15.410 (1978B)

### 15.904

Historic Preservation (1969B)

Number changed to 15.411 (1978B)

Historic Preservation Grants-in-Aid (1978B)

Number changed from 15.411 (1981B)

Historic Preservation Fund Grants-In-Aid (1985U)

### 15.905

National Environmental Education Development (1970B)

Archived (1971B)

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<b>15.906</b> Park Planning_Technical Assistance (1969B) Park and Recreation Technical Assistance (1970B) Park Technical Assistance (1979U1) Number changed to 15.418 (1980B)	<b>15.917</b> Recreation_Technical Assistance (1981B) Number changed from 15.402 (1981B) Archived (1984U)	Conservation Activities by Youth Service Organizations (2007)
<b>15.907</b> Park Practice Program (1970B) Number changed to 15.419 (1980B)	<b>15.918</b> Disposal of Federal Surplus Real Property for Parks, Recreation, and Historic Monuments (1981B) Number changed from 15.403 (1981B)	<b>15.932</b> Preservation of Historic Structures on the Campuses of Historically Black Colleges and Universities (HBCUs). (2009)
<b>15.908</b> Archeological Investigations and Salvage (1971B) Number changed to 15.412 (1978B)	<b>15.919</b> Urban Park and Recreation Recovery Program (1981B) Number changed from 15.417 (1981B) Archived (1989B) Reinstated (1991B) Deleted (2005)	<b>15.933</b> Preservation of Japanese American Confinement Sites (2009)
<b>15.909</b> Historic American Engineering Record (1971B) Split from 15.903 (1971B) Number changed to 15.413 (1978B) Number changed from 15.410 (1981B) Historic American Buildings Survey/Historic American Engineering Record (1982B) Archived (1996B)	<b>15.920</b> Land Acquisition and Development of Comprehensive Management Plan (CMP)_State of New Jersey_Pinelands National Reserve (1984B) Archived (1987B)	<b>15.934</b> Abandoned Mine Hazard Mitigation (2009)
<b>15.910</b> National Registry of Natural Landmarks (1971B) Number changed to 15.405 (1978B) Number changed from 15.405 (1981B) National Natural Landmarks Program (1981B) Deleted (2008)	<b>15.921</b> Rivers, Trails and Conservation Assistance (1994B)	<b>15.935</b> National Trails System Projects (2009)
<b>15.911</b> Training Institute for Park and Recreation Management (1974U) Number changed to 15.420 (1980B)	<b>15.922</b> Native American Graves Protection and Repatriation Act (1997U)	<b>15.936</b> Shenandoah Valley Battlefields National Historic District Battlefield Acquisition and Protection (2009)
<b>15.912</b> National Historic Landmark (1972U) Number changed to 15.414 (1978B) Number changed from 15.414 (1981B)	<b>15.923</b> National Center for Preservation Technology and Training (1997B)	<b>15.937</b> Redwood National Park Cooperative Management with the State of California (2010)
<b>15.913</b> Interagency Historic Architectural Services (1976U) Technical Preservation Services (1977U) Number changed to 15.415 (1978B)	<b>15.924</b> Historically Black Colleges and Universities Preservation Initiative (1997U)	<b>15.938</b> Boston African-American National Historic Site Cooperative Agreement with the Museum of African American History (2010)
<b>15.914</b> National Register of Historic Places (1976U) Number changed to 15.416 (1978B) Number changed from 15.416 (1981B)	<b>15.925</b> National Maritime Heritage Grants (1997U)	<b>15.939</b> National Heritage Area Federal Financial Assistance (2010)
<b>15.915</b> Technical Preservation Services (1981B) Number changed from 15.415 (1981B)	<b>15.926</b> American Battlefield Protection (1997U)	<b>15.940</b> New Bedford Whaling National Historic Park Cooperative Management (2010)
<b>15.916</b> Outdoor Recreation_Acquisition, Development and Planning (1981B) Number changed from 15.400 (1981B)	<b>15.927</b> Hydropower Recreation Assistance (2002B)	<b>15.941</b> Mississippi National River and Recreation Area State and Local Assistance (2010)
	<b>15.928</b> Civil War Battlefield Land Acquisition Grants (2003B)	<b>15.942</b> Environmental Education and Conservation - North Cascades Bioregion (2010)
	<b>15.929</b> Save America's Treasures (2004)	<b>15.943</b> Challenge Cost Share (2010)
	<b>15.930</b> Chesapeake Bay Gateways Network (2007)	<b>15.944</b> Natural Resource Stewardship (2010)
	<b>15.931</b>	<b>15.945</b> Cooperative Research and Training Programs Resources of the National Park System (2011)

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<b>15.947</b> Boston Harbor Islands Partnership (2011)	<b>DEPARTMENT OF JUSTICE</b> Criminal Justice Act of 1964 (1965B) Archived (1969B)	Transferred to 97.005 (2003B)
<b>15.948</b> National Fire Plan- Wildland Urban Interface Community Fire Assistance (2011)	Federal Prisoners Rehabilitation Program (1965B) Archived (1969B)	<b>16.009</b> State and Local Domestic Preparedness Exercise Support (2001B) Transferred to 97.006 (2003B)
<b>15.949</b> National Fire Plan - Rural Fire Assistance (2011)	Law Enforcement Assistance (1965B) Split into all of the Law Enforcement Assistance Programs (1969B)	<b>16.010</b> State and Local Domestic Preparedness Technical Assistance (2001B) Transferred to 97.007 (2003B)
<b>15.950</b> Additional Water Resources Research (1970B) National Water Research and Development Program (1979B) Number changed to 15.505 (1983B)	National Conference on Bail and Criminal Justice and Follow-Up Programs (1965B) Archived (1969B)	<b>16.011</b> Urban Areas Security Initiative (2003B)
<b>15.951</b> Water Resource Research_Assistance to States for Institutes (1970B) Water Resources Research_Assistance to State Institutes (1975U) Water Resources Research and Technology_Assistance to State Institutes (1979B) Water Research Assistance to State Institutes (1983B) Number changed to 15.805 (1984B)	<b>16.001</b> Law Enforcement Assistance_Narcotics and Dangerous Drugs_Laboratory Support (1969B) Law Enforcement Assistance_Narcotics and Dangerous Drugs_Laboratory Analysis (1970B)	<b>16.012</b> Alcohol, Tobacco, and Firearms_Training Assistance (2004) Number changed from 21.052 (2004) Number changed from 21.052 (2004)
<b>15.952</b> Water Resource Research_Matching Grants to State Institutes (1970B) Water Research and Technology_Matching Funds to State Institutes (1979B) Archived (1983B)	<b>16.002</b> Law Enforcement Assistance_Narcotics and Dangerous Drugs_State Legislation (1970B) Archived (1991U)	<b>16.013</b> Violence Against Women Act Court Training and Improvement Grants (2008)
<b>15.953</b> Water Resources Scientific Information Center (1972B) Archived (1983B)	<b>16.003</b> Law Enforcement Assistance_Narcotics and Dangerous Drugs Technical Laboratory Publications (1970B)	<b>16.014</b> Engaging Men and Youth in Preventing Domestic Violence, Dating Violence, Sexual Assault, and Stalking (2008) Archived (2012)
<b>15.954</b> National Park Service Conservation, Protection, Outreach, and Education (2012)	<b>16.004</b> Law Enforcement Assistance_Narcotics and Dangerous Drugs_Training (1969B)	<b>16.015</b> Missing Alzheimer's Disease Patient Assistance Program (2009)
<b>15.975</b> Research Information Consolidated from 15.604, 15.610 (1994B) Incorporated into 15.977 (1996B)	<b>16.005</b> Narcotics and Dangerous Drugs_Public Education (1969B) Public Education on Drug Abuse_Technical Assistance (1970B) Public Education on Drug Abuse_Information (1979B) Deleted (2008)	<b>16.016</b> Culturally and Linguistically Specific Services Program (2008)
<b>15.976</b> Migratory Bird Banding and Data Analysis (1994B)	<b>16.006</b> Municipal Fire and Emergency Services Domestic Preparedness Equipment Support Program (1999B) County and Municipal Agency Domestic Preparedness Equipment Support Program (1999U) Archived (2001B)	<b>16.017</b> Sexual Assault Services Program (2008) Sexual Assault Services Formula Program (2009)
<b>15.977</b> State Partnerships (1995B) Incorporated from 15.975 (1996B) Consolidated into 15.808 (1998B)	<b>16.007</b> State and Local Domestic Preparedness Equipment Support Program (1999B) State Domestic Preparedness Equipment Support Program (1999U) Transferred to 97.004 (2003B)	<b>16.018</b> Services to Advocate for and Respond to Youth (2010) Archived (2012)
<b>15.978</b> Upper Mississippi River System Long Term Resource Monitoring Program (1998B)	<b>16.008</b> State and Local Domestic Preparedness Training Program (2001B)	<b>16.019</b> Tribal Registry (2008)
		<b>16.020</b> Children and Youth Exposed (2010) Archived (2012)
		<b>16.100</b> Desegregation of Public Education_Civil Rights Act of 1964 (1965B) Desegregation of Public Education (1970B)
		<b>16.101</b>



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Equal Employment Opportunity\_Civil Rights Act of 1964 (1965B)

Equal Employment Opportunity (1970B)

## 16.102

Equal Enjoyment of Public Accommodations\_Civil Rights Acts of 1964 (1965B)

Equal Employment of Public Accommodations (1970B)

Incorporated into 16.105 (1979B)

## 16.103

Fair Housing (1970B)

Fair Housing and Equal Credit Opportunity (1977U)

## 16.104

Protection of Voting Rights\_Civil Rights Acts of 1957, 1960, 1964, and 1965 (1965B)

Protection of Voting Rights (1970B)

## 16.105

Desegregation of Public Facilities (1972B)

Civil Rights of Institutionalized Persons (1981B)

## 16.106

Indian Civil Rights (1974B)

Archived (1981B)

## 16.107

Special Civil Rights Litigation (1975U)

Incorporated into 16.105 (1979B)

## 16.108

Americans With Disabilities Act Technical Assistance Program (1991U)

Archived (2010)

## 16.109

Civil Rights Prosecution (1992U)

## 16.110

Education and Enforcement of the Antidiscrimination Provision of the Immigration and Nationality Act (1995U)

Archived (2012)

## 16.123

Community-Based Violence Prevention Program (2010)

## 16.200

Community Relations Service (1967B)

## 16.201

Cuban and Haitian Entrant Resettlement Program (1983U)

Transferred to 97.009 (2003B)

## 16.202

Offender Reentry Program (2001U)

Prisoner Reentry Initiative Demonstration (Offender Reentry) (2006)

Archived (2010)

## 16.203

Sex Offender Management Discretionary Grant (2002B)

Comprehensive Approaches to Sex Offender Management Discretionary Grant (CASOM) (2006)

Promoting Evidence Integration in Sex Offender Management Discretionary Grant Program (2012)

## 16.220

Law Enforcement Assistance\_Narcotics and Dangerous Drugs\_Registration of Manufacturers, Distributors, and Dispensers of Controlled Substances (2004)

## 16.300

Police Training Programs (1967B)

Law Enforcement Assistance\_Advanced Police Training (1969B)

Law Enforcement Assistance\_FBI Advanced Police Training (1970B)

## 16.301

Services of Federal Bureau of Investigation (1965B)

Law Enforcement Assistance\_Crime Laboratory Support (1969B)

Law Enforcement Assistance\_FBI Crime Laboratory Support (1970B)

## 16.302

Law Enforcement Assistance\_Field Police Training (1969B)

Law Enforcement Assistance\_FBI Field Police Training (1970B)

## 16.303

Law Enforcement Assistance\_Fingerprint Identification (1969B)

Law Enforcement Assistance\_FBI Fingerprint Identification (1970B)

## 16.304

Law Enforcement Assistance\_National Crime Information Center (1969B)

## 16.305

Law Enforcement Assistance\_Uniform Crime Reports (1969B)

## 16.306

DRUGFIRE (1996U)

Archived (1998B)

## 16.307

Combined DNA Index System (1996U)

## 16.308

Indian County Investigations (1996U)

Indian Country Investigations (1997B)

## 16.309

Law Enforcement Assistance\_National Instant Criminal Background Check System (2000B)

## 16.320

Services for Trafficking Victims (2004)

## 16.321

Antiterrorism and Emergency Assistance Program (2002U)

Antiterrorism Emergency Reserve (2005)

Antiterrorism Emergency Reserve (2006)

## 16.400

Citizenship Training (1965B)

Citizenship Training and Information (1967B)

Naturalization (1969B)

Citizenship Education and Training (1970B)

Transferred to 97.010 (2003B)

## 16.471

FORENSIC CASEWORK DNA BACKLOG REDUCTION PROGRAM (2005)

## 16.500

Law Enforcement Assistance\_State Planning (1969B)

Law Enforcement Assistance\_Comprehensive Planning (1970B)

Law Enforcement Assistance\_Comprehensive Planning Grants (1971B)

Consolidated into 16.530 (1980B)

## 16.501

Law Enforcement Assistance\_Discretionary Grants (1970B)

Consolidated into 16.531 (1980B)

## 16.502

Law Enforcement Assistance\_Improving and Strengthening Law Enforcement (1969B)

Law Enforcement Assistance\_Improving and Strengthening Law Enforcement and Criminal Justice (1974B)

Split into 16.530, 16.532 (1980B)

## 16.503

Law Enforcement Assistance\_Technical Assistance (1970B)

Consolidated into 16.531 (1980B)

## 16.504

Law Enforcement Assistance\_Students Loans and Tuition Aids (1969B)

Law Enforcement Education Program\_Student Financial Aid (1970B)

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Transferred to the Department of Education (1980B)

## 16.505

Law Enforcement Assistance\_Research Demonstrations and Special Projects (1969B)  
Law Enforcement Research and Development\_Graduate Research Fellowships (1970B)  
Number changed to 16.562 (1980B)

## 16.506

Law Enforcement Research and Development\_Pilot Grants (1970B)  
Incorporated into 16.507 (1972B)

## 16.507

Law Enforcement Research and Development\_Project Grants (1970B)  
Number changed to 16.560 (1980B)

## 16.508

Law Enforcement Research and Development\_Visiting Fellowships (1970B)  
Incorporated into 16.507 (1973B)  
Reinstated/Split from 16.507 (1975U)  
Number changed to 16.561 (1980B)

## 16.509

Law Enforcement Assistance\_Statistics and Information Development\_Project Grants (1971B)  
Law Enforcement Assistance\_Statistics Development (1972B)  
Criminal Justice\_Statistics Development (1973B)  
Number changed to 16.550 (1980B)

## 16.510

Statistics on Crime and Criminal Justice (1971B)  
Number changed to 16.551 (1980B)

## 16.511

Law Enforcement Assistance\_Educational Development (1971U)  
Number changed to 16.533 (1980B)

## 16.512

Law Enforcement Assistance\_Internships (1972B)  
Archived (1980B)

## 16.513

Law Enforcement Assistance\_Training (1972B)  
Number changed to 16.534 (1980B)

## 16.514

Organized Crime Prosecutorial Training (1973U)  
Consolidated into 16.531 (1980B)

## 16.515

Criminal Justice Systems Development (1973U)  
Criminal Justice Systems and Telecommunications

Development (1974B)

Criminal Justice Systems Development (1975B)  
Number changed to 16.552 (1980B)

## 16.516

Law Enforcement Assistance\_Juvenile Justice and Delinquency Prevention\_Allocation to States (1975U)  
Law Enforcement Assistance\_Juvenile Justice and Delinquency Prevention Act Allocation to States (1978U)  
Juvenile Justice and Delinquency Prevention\_Allocation to States (1979B)  
Number changed to 16.540 (1980B)

## 16.517

Law Enforcement Assistance Administration\_JJDP Special Emphasis Prevention and Treatment (1975U)  
Law Enforcement Assistance Administration\_OJJDP Special Emphasis Prevention and Treatment Programs (1977U)  
Juvenile Justice and Delinquency Prevention\_Special Emphasis Prevention and Treatment Programs (1979B)  
Number changed to 16.541 (1980B)

## 16.518

Law Enforcement Assistance Administration\_JJDP National Institute (1975U)  
National Institute for Juvenile Justice and Delinquency Prevention (1979B)  
Number changed to 16.542 (1980B)

## 16.519

Law Enforcement Assistance\_Office of Community Anti-Crime Programs (1978B)  
Number changed to 16.535 (1980B)

## 16.520

Public Safety Officers' Benefits Program (1978B)  
Number changed to 16.538 (1980B)

## 16.521

Crime Prevention\_Mobilization of Public and Non-Public Resources (1978U)  
Number changed to 16.536 (1980B)

## 16.522

Privacy and Security of Criminal Justice Systems (1979B)  
Number changed to 16.553 (1980B)

## 16.523

Juvenile Accountability Incentive Block Grants (1998B)  
Juvenile Accountability Block Grants (2007)

## 16.524

Domestic Violence Victims' Civil Legal Assistance Program (1999B)

Legal Assistance for Victims (2001B)

## 16.525

Grants to Combat Violent Crimes Against Women on Campuses (1999B)  
Grants to Reduce Violent Crimes Against Women on Campus (2001B)  
Grants to Combat Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (2007)  
Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus (2008)

## 16.526

Technical Assistance and Training Initiative (2002B)  
OVW Technical Assistance Initiative (2006)  
Archived (2012)  
Reinstated (2012)

## 16.527

Supervised Visitation, Safe Havens for Children (2002B)

## 16.528

Training Grants to Stop Abuse and Sexual Assault of Older Individuals or Individuals with Disabilities (2002B)  
Enhanced Training and Services to End Violence and Abuse of Women Later in Life (2006)

## 16.529

Education and Training to End Violence Against and Abuse of Women with Disabilities (2002B)  
Education, Training, and Enhanced Services to End Violence Against Women with Disabilities (2007)  
Education, Training, and Enhanced Services to End Violence Against and Abuse of Women with Disabilities (2008)

## 16.530

Criminal Justice\_Part D Formula Grants (1980B)  
Consolidated from 16.500, 16.502 (1980B)  
Archived (1981B)

## 16.531

Part F\_Discretionary Grants (1980B)  
Consolidated from 16.501, 16.503, 16.514 (1980B)  
Archived (1981B)

## 16.532

Part E\_National Priority Program Grants (1980B)  
Split from 16.502 (1980B)  
Archived (1981B)

## 16.533

Law Enforcement Assistance\_Educational Development (1980B)  
Number changed from 16.511 (1980B)  
Archived (1981B)

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<b>16.534</b> Law Enforcement Assistance_Training (1980B) Number changed from 16.513 (1980B) Archived (1981B)	Youth Gang Prevention (2010)	<b>16.557</b> Tribal Domestic Violence and Sexual Assault Coalitions Program (2008) Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (2009) Archived (2012) Reinstated (2012)
<b>16.535</b> Law Enforcement Assistance Administration_Office of Community Anti-Crime Programs (1980B) Number changed from 16.519 (1980B) Archived (1981B)	<b>16.545</b> Judicial Child Abuse Training (1992B) Combined into 16.547 (1994B)	<b>16.560</b> Justice Research and Development Project Grants (1980B) Number changed from 16.507 (1980B) Justice Research, Development, and Evaluation Project Grants (1991U) National Institute of Justice Research, Evaluation, and Development Project Grants (2000B)
<b>16.536</b> Crime Prevention_Mobilization of Public and Non-Public Resources (1980B) Number changed from 16.521 (1980B) Archived (1981B)	<b>16.546</b> Investigation and Prosecution of Child Abuse Through the Criminal Justice System Number changed from 16.584 (1993U) Combined into 16.547 (1994B)	<b>16.561</b> National Institute of Justice Visiting Fellowships (1980B) Number changed from 16.508 (1980B) Deleted (2006)
<b>16.537</b> Urban Crime Prevention (1980B) Archived (1981B)	<b>16.547</b> Victims of Child Abuse (1994B) Archived (2010)	<b>16.562</b> Law Enforcement Research and Development_Graduate Research Fellowships (1980B) Number changed from 16.505 (1980B) Criminal Justice Research and Development_Graduate Research Fellowships (1980U2)
<b>16.538</b> Public Safety Officers' Benefits Program (1980B) Number changed from 16.520 (1980B) Number changed to 26.571 (1982B)	<b>16.548</b> Title V_Delinquency Prevention Program (1994B)	<b>16.563</b> Law Enforcement Family Support (1997B) Corrections and Law Enforcement Family Support (1999B) Deleted (2007)
<b>16.540</b> Juvenile Justice and Delinquency Prevention_Allocation to States (1980B) Number changed from 16.516 (1980B)	<b>16.549</b> Part E_State Challenge Activities (1995B)	<b>16.564</b> National Institute of Justice Forensic DNA Laboratory Improvement Program (1999U) National Institute of Justice Crime Laboratory Improvement Program (2000B) Crime Laboratory Improvement_Combined Offender DNA Index System Backlog Reduction (2001B) Deleted (2006)
<b>16.541</b> Juvenile Justice and Delinquency Prevention_Special Emphasis and Technical Assistance (1980B) Number changed from 16.517 (1980B) Juvenile Justice and Delinquency Prevention_Special Emphasis (1989B) Developing, Testing and Demonstrating Promising New Programs (2004) Part E - Developing, Testing and Demonstrating Promising New Programs (2006)	<b>16.550</b> Criminal Justice Statistics Development (1980B) Number changed from 16.509 (1980B) State Justice Statistics Program for Statistical Analysis Centers (1997B)	<b>16.565</b> National Institute of Justice Domestic Anti-Terrorism Technology Development Program (1999U) National Institute of Justice Domestic Anti-Terrorism Technology Development Program (Counterterrorism Research and Development) (2004) Deleted (2006)
<b>16.542</b> National Institute for Juvenile Justice and Delinquency Prevention (1980B) Number changed from 16.518 (1980B) Part D - Research, Evaluation, Technical Assistance and Training (2004) Deleted (2007)	<b>16.551</b> Statistics on Crime and Criminal Justice (1980B) Number changed from 16.510 (1980B) Archived (1983U)	<b>16.566</b> National Institute of Justice W.E.B. DuBois Post-Doctoral Fellowship Program (1999U)
<b>16.543</b> Missing Children's Assistance (1986B)	<b>16.552</b> Criminal Justice Systems Development (1980B) Number changed from 16.515 (1980B) Archived (1981U)	
<b>16.544</b> Part D_Juvenile Gangs and Drug Abuse and Drug Trafficking (1990B) Gang-Free Schools and Communities_Community-Based Gang Intervention (1996U)	<b>16.553</b> Privacy and Security of Criminal Justice Systems (1980B) Number changed from 16.522 (1980B) Federal Statistics and Information Policy (1981U) Archived (1983U)	
	<b>16.554</b> National Criminal History Improvement Program (NCHIP) (1995B)	
	<b>16.555</b> National Sex Offender Registry Assistance (1998B) Archived (1999B)	
	<b>16.556</b> Grants to State Sexual Assault and Domestic Violence Coalitions (2008) State Domestic Violence and Sexual Assault Coalitions (2009) Archived (2012) Reinstated (2012)	

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National Institute of Justice W.E.B. DuBois Fellowship Program (2000B)

## 16.570

Civil Rights Compliance Activities (1980B)  
Archived (1985U)

## 16.571

Public Safety Officers' Benefits Program (1982B)  
Number changed from 16.538 (1982B)  
Public Safety Officers' Death Benefits Program (1985U)  
Public Safety Officers' Benefit Program (1991U)  
Public Safety Officers' Benefits Program (1995U)

## 16.572

Mariel-Cubans (1984U)  
Archived (1996B)  
State Criminal Alien Assistance Program, Reinstated (1996U)  
Archived (1998B)

## 16.573

Criminal Justice Block Grants (1985B)  
Incorporated into 16.579 (1990B)

## 16.574

Criminal Justice Discretionary Grants (1985B)  
Criminal Justice Discretionary Grant Program (1989B)  
Archived (1996B)

## 16.575

Crime Victim Assistance (1985B)

## 16.576

Crime Victim Compensation (1985B)

## 16.577

Emergency Federal Law Enforcement Assistance (1986B)

## 16.578

Federal Surplus Property Transfer Program (1986B)

## 16.579

State and Local Narcotics Control Assistance Anti-Drug Abuse Act of 1986 (1987B)  
Drug Control and System Improvement\_Formula Grant (1989U)  
Byrne Formula Grant Program (1996U)  
Edward Byrne Memorial Formula Grant Program (2006)  
Archived (2012)

## 16.580

Narcotics Control Discretionary Grant Program (1987U)  
Drug Control and System

Improvement\_Discretionary Grant (1989U)  
Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (1995U)  
Archived (2012)

## 16.581

Drug Law Enforcement Program\_Prison Capacity (1988B)  
Archived (1995U)

## 16.582

Crime Victim Assistance/Discretionary Grants (1988B)

## 16.583

Children's Justice Act Discretionary Grants for Native American Indian Tribes (1989B)  
Children's Justice Act Discretionary Grants for Native Americans (1995U)  
Children's Justice Act Partnerships for Indian Communities (1998B)

## 16.584

Investigation and Prosecution of Child Abuse Through the Federal Criminal Justice System (1992B)  
Investigation and Prosecution of Child Abuse Through the Criminal Justice System (1993B)  
Number changed to 16.546 (1993U)

## 16.585

Drug Court Discretionary Grant Program (1995B)

## 16.586

Violent Offender Incarceration and Truth in Sentencing Incentive Grants (1995B)  
Archived (2010)

## 16.587

Violence Against Women Discretionary Grants for Indian Tribal Governments (1995B)  
Archived (2012)  
Reinstated (2012)

## 16.588

Violence Against Women Formula Grants (1995B)  
Archived (2012)  
Reinstated (2012)

## 16.589

Rural Domestic Violence and Child Victimization Enforcement Grant Program (1996B)  
Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Grant Program (2007)  
Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program (2008)

## 16.590

Grants to Encourage Arrest Policies (1996B)  
Grants to Encourage Arrest Policies and

Enforcement of Protection Orders (2001B)  
The Community-Defined Solutions to Violence Against Women Grant Program (2010)  
Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (2011)

## 16.591

Managing Released Sex Offenders (1996B)  
Archived (1998B)

## 16.592

Local Law Enforcement Block Grants Program (1996U)  
Local Law Enforcement Block Grant Program (2006)  
Deleted (2007)  
Deleted (2007)

## 16.593

Residential Substance Abuse Treatment for State Prisoners (1996U)

## 16.594

Prevention, Diagnosis, and Treatment of Tuberculosis in Correctional Institutions (1996U)  
Archived (1999B)

## 16.595

Executive Office for Weed and Seed  
Number changed from 16.725 (1995B)  
Community Capacity Development Office (2005)  
Community Capacity Development Office (2006)

## 16.596

Correctional Grant Program for Indian Tribes (1996U)

## 16.597

Motor Vehicle Theft Protection Act Program (1997B)  
Archived (2009)

## 16.598

State Identification Systems Grant Program (1997B)

## 16.599

Local Firefighting and Emergency Services Training (1997U)  
Archived (1999B)

## 16.600

Correctional Services\_Technical Assistance (1970U)  
Number changed to 16.603 (1976U)

## 16.601

Corrections\_Training and Staff Development (1976U)

## 16.602

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Corrections\_Research and Evaluation (1976U)  
Corrections\_Research and Evaluation and Policy  
Formulation (1981U)

## 16.603

Corrections\_Technical Assistance (1976U)  
Number changed from 16.600 (1976U)  
Corrections\_Technical Assistance/Clearinghouse  
(1988B)

## 16.604

Corrections\_Policy Formulation (1976U)  
Archived (1981U)

## 16.605

Corrections\_Clearinghouse (1976U)  
Archived (1982B)

## 16.606

State Criminal Alien Assistance Program (1998B)

## 16.607

Bulletproof Vest Partnership Program (1999B)

## 16.608

Tribal Court Assistance Program (1999B)

## 16.609

Planning, Implementing, and Enhancing Strategies  
in Community Prosecution (1999U)  
Planning, Implementing, and Enhancing Strategies  
in Community Prosecution\_Gun Violence  
Prosecution (2001U)  
Community Prosecution and Project Safe  
Neighborhoods (2002B)  
Project Safe Neighborhoods (2010)

## 16.610

Regional Information Sharing Systems (1999U)

## 16.611

Closed-Circuit Televising of Child Victims of  
Abuse (1999U)

## 16.612

National White Collar Crime Center (1999U)  
Archived (2009)

## 16.613

Scams Targeting the Elderly (1999U)

## 16.614

State and Local Anti-Terrorism Training (1999U)

## 16.615

Public Safety Officers' Educational Assistance  
(1999U)

## 16.616

Indian Country Alcohol and Drug Prevention  
(2001U)

## 16.684

Supporting Teens through Education and Protection  
Act of 2005 (STEP Act) (2010)  
Archived (2012)

## 16.700

Antitrust State Enforcement (1978U)  
Archived (1981B)

## 16.710

Public Safety and Community Policing Grants  
(1995B)  
Public Safety Partnership and Community Policing  
Grants (1996B)

## 16.711

Troops to COPS (1995B)  
Deleted (2004)

## 16.712

Police Corps (1996U)

## 16.725

Weed and Seed Program Fund (1993U)  
Number changed to 16.595 (1995B)

## 16.726

Juvenile Mentoring Program (1996B)

## 16.727

Combating Underage Drinking (1998B)  
Enforcing Underage Drinking Laws Program  
(1999U)

## 16.728

Drug Prevention Program (1998B)

## 16.729

Drug-Free Communities Support Program Grants  
(1998B)  
Number changed to 93.276 (2004)

## 16.730

Reduction and Prevention of Children's Exposure to  
Violence (1999B)

## 16.731

Tribal Youth Program (1999B)

## 16.732

National Evaluation of the Safe Schools/Healthy  
Students Initiative (1999U)  
National Evaluation of the Safe Schools\_Healthy  
Students Initiative (2001B)  
Deleted (2007)

## 16.733

National Incident Based Reporting System (2000B)

## 16.734

Special Data Collections and Statistical Studies  
(2003B)

## 16.735

PROTECTING INMATES AND  
SAFEGUARDING COMMUNITIES (2004)

## 16.736

Transitional Housing Assistance for Victims of  
Domestic Violence, Stalking, or Sexual Assault  
(2004)  
Transitional Housing Assistance for Victims of  
Domestic Violence, Dating Violence, Stalking, or  
Sexual Assault (2008)

## 16.737

Gang Resistance Education and Training (2004)  
Number changed from 21.053 (2004)

## 16.738

Edward Byrne Memorial Justice Assistance Grant  
Program (2005)

## 16.739

National Prison Rape Statistics Program (2005)

## 16.740

Statewide Automated Victim Information  
Notification (SAVIN) Program (2005)

## 16.741

FORENSIC DNA CAPACITY ENHANCEMENT  
PROGRAM (2005)  
Forensic DNA Backlog Reduction Program (2008)  
DNA Backlog Reduction Program (2012)

## 16.742

PAUL COVERDELLE FORENSIC SCIENCES  
IMPROVEMENT GRANT PROGRAM (2005)

## 16.743

FORENSIC CASEWORK DNA BACKLOG  
REDUCTION PROGRAM (2005)

## 16.744

Anti-Gang Initiative (2006)  
Archived (2010)

## 16.745

Criminal and Juvenile Justice and Mental Health  
Collaboration Program (2006)

## 16.746

Capital Case Litigation (2006)

## 16.747

Crime Victims' Rights Act (2006)  
Archived (2009)

## 16.748

Convicted Offender and/or Arrestee DNA Backlog

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Reduction Program (In-House Analysis and Data Review) (2007)  
Convicted Offender and/or Arrestee DNA Backlog Reduction Program (2010)  
Archived (2012)

**16.749**  
Radiation Exposure Compensation Program (2007)  
Archived (2012)

**16.750**  
SUPPORT FOR ADAM WALSH ACT  
IMPLEMENTATION GRANT PROGRAM (2008)

**16.751**  
Edward Byrne Memorial Competitive Grant Program (2008)

**16.752**  
Economic High-Tech and Cyber Crime Prevention (2008)

**16.753**  
Congressionally Recommended Awards (2008)

**16.754**  
Harold Rogers Prescription Drug Monitoring Program (2008)

**16.755**  
Southwest Border Prosecution Initiative (2008)

**16.756**  
Court Appointed Special Advocates Program (2009)

**16.757**  
Judicial Training on Child Maltreatment for Court Personnel (2009)

**16.758**  
Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers (2009)

**16.800**  
Recovery Act - Internet Crimes against Children Task Force Program (ICAC) (2009)

**16.801**  
Recovery Act - State Victim Assistance Formula Grant Program (2009)

**16.802**  
Recovery Act - State Victim Compensation Formula Grant Program (2009)

**16.803**  
Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program/ Grants to States and Territories (2009)

**16.804**  
Recovery Act - Edward Byrne Memorial Justice Assistance Grant (JAG) Program / Grants To Units Of Local Government (2009)

**16.805**  
Recovery Act - Transitional Housing (2009)  
Archived (2012)

**16.806**  
Recovery Act - Violence Against Women Discretionary Grants For Indian Tribal Governments (2009)  
Archived (2012)

**16.807**  
Recovery Act - VOCA Crime Victim Assistance Discretionary Grant Program (2009)

**16.808**  
Recovery Act - Edward Byrne Memorial Competitive Grant Program (2009)

**16.809**  
Recovery Act - State and Local Law Enforcement Assistance Program: Combating Criminal Narcotics Activity Stemming from the Southern Border of the United States Competitive Grant Program (2009)

**16.810**  
Recovery Act Assistance to Rural Law Enforcement to Combat Crime and Drugs Competitive Grant Program (2009)

**16.811**  
Recovery Act - Correctional Facilities On Tribal Lands (2009)

**16.812**  
Second Chance Act Prisoner Reentry Initiative (2009)

**16.813**  
NICS Act Record Improvement Program (2009)

**16.814**  
Northern Border Prosecution Initiative Program (2009)

**16.815**  
Tribal Civil and Criminal Legal Assistance Grants, Training and Technical Assistance (2010)

**16.816**  
John R. Justice Prosecutors and Defenders Incentive Act (2010)

**16.817**  
Byrne Criminal Justice Innovation Program (2012)

**16.818**

Children Exposed to Violence (2012)

**16.819**  
National Forum on Youth Violence Prevention (2012)

**16.820**  
Postconviction DNA Testing Program (2012)

**16.821**  
Juvenile Justice Reform and Reinvestment Demonstration Program (2012)

**16.888**  
Consolidated And Technical Assistance Grant Program to Address Children and Youth Experiencing Domestic and Sexual Violence and Engage Men and Boys as Allies (2012)

**16.922**  
Equitable Sharing Program (2012)

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Community Employment Development (1965B)  
Smaller Communities Program\_Rural Areas (1969B)  
Archived (1970B)

Experimental and Demonstration Projects for the Mentally Retarded (1965B)  
Archived (1967B)

Experimental and Demonstration Projects for Rural Persons (1965B)  
Archived (1967B)

Experimental and Demonstration Projects under MDTA (1965B)  
Archived (1967B)

Experimental and Demonstration Projects for Youth and Adults with Limited Ability to Read and Write (1965B)  
Archived (1967B)

Farm Labor Services (1965B)  
Employment Services to Rural Areas (1969B)  
Archived (1970B)

Job Market Information (1965B)  
Archived (1970B)

Job Training for Disadvantaged Persons (1965B)  
Archived (1969B)

New Careers Program (1967B)  
Archived (1969B)

Occupational Training in Development Areas (1965B)  
Archived (1969B)

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Physically and Mentally  
Handicapped\_Employment Service (1965B)  
Archived (1969B)

Special Impact Program (1967B)  
Special Impact (1969B)  
Archived (1970B)

Trade Adjustment Allowances for Workers  
(1965B)  
Archived (1969B)

General Employment Services (1965B)  
U.S. Employment Services (1967B)  
Employment Service (1969B)  
Archived (1970B)

Veterans Employment Priority Service (1967B)  
Archived (1969B)

Youth Opportunity Centers (1965B)  
Archived (1970B)

American Indian Vocational Job Training (1965B)  
Archived (1967B)

Employment Assistance and Training for Inmates  
of Correctional Institutions (1969B)  
Archived (1970B)

Apprenticeship Information Centers (1969B)  
Archived (1970B)

Manpower Recruitment Services (1969B)  
Archived (1970B)

Older Worker Employment Assistance (1969B)  
Archived (1970B)

Selective Service Rejectee Rehabilitation (1969B)  
Archived (1970B)

**17.001**  
Foreign Labor Data (1969B)  
Archived (1972B)

**17.002**  
Manpower and Employment Data (1969B)  
Labor Force Statistics (1977B)

**17.003**  
Price and Cost of Living Data (1969B)

**17.004**  
Productivity, Technology, and Growth Data  
(1969B)  
Productivity and Technology Data (1971B)  
Split into 17.004, 17.006 (1971B)

**17.005**

Wages and Industrial Relations Data (1969B)  
Compensation and Working Conditions Data  
(1988B)  
Compensation and Working Conditions (2000B)

**17.006**  
Economic Growth Data (1971B)  
Split from 17.004 (1971B)  
Economic Research Data (1972B)  
Economic Growth Data (1977B)  
Economic Growth and Employment Projections  
Data (1983B)  
Employment Projections Data (1989U)  
Deleted (2004)  
Incorporated into 17.002 (2004)  
Incorporated into 17.002 (2004)

**17.100**  
Labor-Management Relations Services (1970B)  
Number changed to 17.130 (1984U)

**17.101**  
Labor Organization Reports (1969B)  
Number changed to 17.140 (1984U)

**17.102**  
Reemployment Rights for Veterans (1969B)  
Veterans Reemployment Rights (1970B)  
Number changed to 17.803 (1984B)

**17.103**  
Welfare and Pension Plan Reports (1969B)  
Employee Benefits Security (1975B)  
Pension and Welfare Benefit Programs (1977B)  
Number changed to 17.150 (1984U)

**17.104**  
Office of Construction Industry Services (1979U1)  
Archived (1982B)

**17.130**  
Labor-Management Relations and Cooperative  
Programs (1984U)  
Number changed from 17.100 (1984U)  
Archived (1992U)

**17.140**  
Labor Organization Reports (1984U)  
Number changed from 17.101 (1984U)  
Incorporated into 17.309 (2001U)

**17.150**  
Welfare and Pension Plan Reports (1984U)  
Number changed from 17.103 (1984U)  
Employee Benefits Security Administration  
(2003B)

**17.151**  
Employee Benefits Security Administration  
(EBSA) (2009)

Archived (2012)

**17.200**  
Apprenticeship Outreach (1970B)  
Consolidated into 17.243 (1979B)

**17.201**  
Apprenticeship and Training (1965B)  
Apprenticeship Training (1970B)  
Registered Apprenticeship Training (1997U)  
Registered Apprenticeship and Other Training  
(2000B)  
Registered Apprenticeship (2012)

**17.202**  
Certification for Foreign Workers for Seasonal  
Agricultural Employment (1970B)  
Certification of Foreign Workers for Agricultural  
and Logging Employment (1971B)  
Certification of Foreign Workers for Temporary  
Agricultural and Logging Employment (1980U2)  
Certification of Foreign Workers for Temporary  
Agricultural Employment (1991B)  
Deleted (2006)

**17.203**  
Certification for Immigrant Nonagricultural  
Workers (1970B)  
Certification for Immigrant Workers (1979B)  
Labor Certification for Alien Workers (1983B)  
Deleted (2006)

**17.204**  
Concentrated Employment Program (1969B)  
Consolidated into 17.232 (1973B)

**17.205**  
Cooperative Area Manpower Planning System  
(1969B)  
Consolidated into 17.232 (1973B)

**17.206**  
Bonding Assistance (1969B)  
Employment Bonding Assistance (1970B)  
Archived (1970U)  
Reinstated (1971B)  
Federal Bonding Program (1971B)  
Archived (1972U)

**17.207**  
Employment Service\_Industrial Services (1965B)  
Employment Services\_Grants to States (1970B)  
Employment Service (1972B)  
Employment Service/Wagner-Peyser Funded  
Activities (2006)

**17.208**  
Exemplary Rehabilitation Certificates (1967B)  
Number changed to 17.800 (1982B)

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- 17.209**  
Farm Labor Contractor Registration (1965B)  
Number changed to 17.308 (1972U)
- 17.210**  
Job Bank (1970B)  
Computerized Job Placement (1972B)  
Incorporated into 17.207 (1973B)
- 17.211**  
Job Corps (1970B)  
Transferred from Office of Economic Opportunity (1970B)  
Incorporated into 17.232 (1974B)  
Reinstated/Split from 17.232 (1975B)  
Archived (1981U)
- 17.212**  
Job Opportunities in the Business Sector (1969B)  
Incorporated into 17.232 (1975B)
- 17.213**  
Journeyman Training (1970B)  
Archived (1972U)
- 17.214**  
Labor Mobility-Relocation Assistance Allowances (1965B)  
Labor Mobility Demonstration Projects (1970B)  
Archived (1970U)
- 17.215**  
Manpower Development and Training\_Institutional Training (1970B)  
Incorporated into 17.232 (1973B)
- 17.216**  
Manpower Development and Training (1965B)  
Manpower Development and Training Act\_On-the-Job Training Program (1970B)  
Number changed to 17.227 (1970U)
- 17.217**  
Manpower Experimental and Demonstration Projects (1969B)  
Consolidated into 17.233 (1973U)
- 17.218**  
Manpower Research Programs (1965B)  
Manpower Research\_Doctoral Dissertation Grants (1970B)  
Employment and Training Research\_Doctoral Dissertation Grants (1976B)  
Doctoral Dissertation and Small Grant Research Projects Programs (1977B)  
Doctoral Dissertation Program (1979U1)  
Archived (1980U1)
- 17.219**  
Manpower Research\_Institutional Grants (1970B)
- Manpower Institutional Grants (1974B)  
Employment and Training Institutional Grants (1976B)  
Institutional Grant Program (1978B)  
Archived (1982B)
- 17.220**  
Manpower Research and Evaluation (1970B)  
Manpower Research\_Contracts (1971B)  
Manpower Research\_Projects (1973B)  
Consolidated into 17.233 (1973U)
- 17.221**  
Manpower Research\_Project Grants (1970B)  
Manpower Research\_Small Grant Projects (1973B)  
Manpower Research\_Small Grant Research Projects (1975B)  
Employment and Training Research\_Small Grant Research Projects (1976B)  
Incorporated into 17.218 (1977B)
- 17.222**  
Neighborhood Youth Corps (1965B)  
Consolidated into 17.232 (1973B)
- 17.223**  
Operation Mainstream (1967B)  
National Older Workers Program\_Operation Mainstream (1975B)  
Incorporated into 17.235 (1975U)
- 17.224**  
Public Service Careers (1970B)  
Archived (1973U)
- 17.225**  
Unemployment Insurance\_Grants to States (1965B)  
Unemployment Insurance (1979B)
- 17.226**  
Work Incentives Program (1969B)  
Work Incentive Program\_Training and Allowances (1970B)  
Work Incentives Program\_Training and Allowances (1973B)  
Work Incentives Program and Incentives (1974B)  
Work Incentives Program (1975B)  
Transferred to 13.646 (1978B)
- 17.227**  
Job Opportunities in the Business Sector\_Low Support (1970U)  
Number changed from 17.216 (1970U)  
Job Opportunities in the Business Sector\_Optional Program (1971B)  
Consolidated into 17.232 (1973B)
- 17.228**  
National On-The-Job Training (1971B)  
Consolidated into 17.243 (1979B)
- 17.229**  
Emergency Employment Assistance (1971U)  
Public Employment Program (1972B)  
Archived (1973B)
- 17.230**  
Migrant Workers (1972B)  
Transferred from (1972B)  
Farm Workers (1975B)  
Migrant and Seasonal Farm Workers (1977B)  
Migrant and Seasonal Farmworkers (1981U)  
Number changed to 17.247 (1983U)
- 17.231**  
Technology Mobilization and Reemployment (1972B)  
Archived (1973B)
- 17.232**  
Manpower Revenue Sharing (1973B)  
Consolidated from 17.204, 17.205, 17.222, 17.227 (1973B)  
Comprehensive Manpower Programs (1973U)  
Comprehensive Employment and Training Programs (1974B)  
Archived (1983U)
- 17.233**  
Manpower Research and Development Projects (1973U)  
Consolidated from 17.217, 17.220 (1973U)  
Employment and Training Research and Development Projects (1976B)  
Number changed to 17.248 (1983U)
- 17.234**  
Indian Manpower Programs (1975B)  
Indian Employment and Training Programs (1976B)  
Indian and Native American Employment and Training Programs (1977B)  
Employment and Training\_Indians and Native Americans (1978B)  
Archived (1983U)
- 17.235**  
Senior Community Service Employment Program (1975B)
- 17.236**  
New Initiatives in Apprenticeship (1978B)  
Archived (1979B)
- 17.239**  
Youth Community Conservation Improvement Program (1978B)  
Incorporated into 17.232 (1979U1)
- 17.240**  
Youth Employment and Training (1978B)



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Consolidated into 17.232 (1979U1)

## 17.241

Youth Incentive Entitlement Pilot Projects (1978B)  
Archived (1981B)

## 17.242

Summer Programs for Economically Disadvantaged Youth (1978B)  
Consolidated into 17.232 (1979U1)

## 17.243

Special Programs and Activities for the Disadvantaged (1979B)  
Consolidated from 17.200, 17.228 (1979B)  
Special National Programs and Activities for the Disadvantaged (1980U2)  
Special National Lever Programs (1983B)  
Number changed to 17.249 (1983U)

## 17.244

Disabled Veterans Outreach Program (1981B)  
Number changed to 17.801 (1982B)

## 17.245

Trade Adjustment Assistance\_Workers (1981U)  
Number changed from 17.400 (1981U)  
Trade Adjustment Assistance (2006)

## 17.246

Employment and Training Assistance\_Dislocated Workers (1983B)  
Consolidated into 17.260 (2001B)

## 17.247

Migrant and Seasonal Farmworkers (1983U)  
Number changed from 17.230 (1983U)

## 17.248

Employment and Training Research and Development Projects (1983U)  
Number changed from 17.233 (1983U)  
Employment and Training Evaluation Projects (2000B)  
Consolidated into 17.261 (2001U)

## 17.249

Employment Services and Job Training\_Pilot and Demonstration Programs (1983U)  
Number changed from 17.243 (1983U)  
Employment Services and Job Training Pilots\_Demonstrations and Research (2000B)  
Consolidated into 17.261, 17.263 (2001U)

## 17.250

Job Training Partnership Act (1983U)  
Consolidated into 17.258, 17.259 (2001B)

## 17.251

Native American Employment and Training

Programs (1984U)

Consolidated into 17.26 (2002B)

## 17.252

Attestations by Employers Using Alien Crewmembers for Longshore Activities in U.S. Ports (1993B)

## 17.253

Welfare-to-Work Grants to States and Localities (1998B)

## 17.254

Welfare-to-Work Grants to Federally Recognized Tribes and Alaska Natives (1998U)

## 17.255

Workforce Investment Act (1999B)  
Consolidated into 17.258, 17.259 (2001B)

## 17.257

One-Stop Career Initiative (1999B)  
Deleted (2004)  
Reinstated (2004)  
Deleted (2005)  
Reinstated (2005)  
Deleted (2006)

## 17.258

WIA Adult Program  
Consolidated from 17.250, 17.255 (2001B)

## 17.259

WIA Youth Activities  
Consolidated from 17.250, 17.255 (2001B)

## 17.260

WIA Dislocated Workers  
Consolidated from 17.246 (2001B)  
Archived (2011)  
Reinstated (2011)

## 17.261

Employment and Training Administration Pilots, Demonstrations, and Research Projects  
Consolidated from 17.248, 17.249 (2001B)  
WIA Pilots, Demonstrations, and Research Projects (2006)

## 17.262

Employment and Training Administration Evaluations (2001B)  
Archived (2011)

## 17.263

Youth Opportunity Grants  
Consolidated from 17.249 (2001B)  
Deleted (2006)

## 17.264

Migrant and Seasonal Farmworkers (2002B)  
Consolidated from 17.247 (2002B)  
National Farmworker Jobs Program (2006)

## 17.265

Native American Employment and Training (2002B)  
Consolidated from 17.251 (2002B)

## 17.266

Work Incentives Grant (2002B)  
Work Incentive Grants (2006)  
Archived (2011)

## 17.267

WIA Incentive Grants\_Section 503 Grants to States (2004)  
Incentive Grants - WIA Section 503 (2006)

## 17.268

H-1B High Growth Job Training Grants (2006)  
H-1B Job Training Grants (2007)

## 17.269

Community Based Job Training Grants (2006)  
Archived (2011)

## 17.270

Prisoner Reentry (2006)  
Reintegration of Ex-Offenders (2008)

## 17.271

Work Opportunity Tax Credit Program (WOTC) and Welfare-to-Work Tax Credit (WtWTC) (2006)  
Work Opportunity Tax Credit Program (WOTC) (2007)

## 17.272

Permanent Labor Certification for Foreign Workers (2006)

## 17.273

Temporary Labor Certification for Foreign Workers (2006)

## 17.274

YOUTHBUILD (2007)  
Number changed from 14.243 (2007)

## 17.275

PROGRAM OF COMPETITIVE GRANTS FOR WORKER TRAINING AND PLACEMENT IN HIGH GROWTH AND EMERGING INDUSTRY SECTORS (2009)

## 17.276

Health Coverage Tax Credit (HCTC) (2009)

## 17.277

Workforce Investment Act (WIA) National Emergency Grants (2009)

# Appendix VII: Historical Profile of Catalog Programs

<b>17.278</b> WIA Dislocated Worker Formula Grants (2009)	Number changed to 17.700 (1978B)	Number changed from 17.500 (1995B)
<b>17.279</b> Green Jobs Innovation Fund Grants (2010)	<b>17.306</b> Consumer Credit Protection (1970U)	<b>17.505</b> OSHA Data Initiative (2003B)
<b>17.280</b> Workforce Investment Act (WIA) Dislocated Worker National Reserve Demonstration Grants (2010)	<b>17.307</b> Coal Mine Workers' Compensation (2004)	<b>17.600</b> Mine Health and Safety Grants (1978B) Transferred from 15.350 (1978B)
<b>17.281</b> Workforce Investment Act (WIA) Dislocated Worker National Reserve Technical Assistance and Training (2010)	<b>17.307A</b> 6Occupational Safety and Health (1971B) Number changed from 17.304 (1971B) Number changed to 17.500 (1971U)	<b>17.601</b> Mine Health and Safety Counseling and Technical Assistance (1978B) Transferred from 15.351 (1978B)
<b>17.282</b> Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants (2010)	<b>17.307B</b> 6Coal Mine Workers' Compensation (1973B)	<b>17.602</b> Mine Health and Safety Education and Training (1978B) Transferred from 15.352 (1978B)
<b>17.283</b> Workforce Innovation Fund (2011)	<b>17.308</b> Farm Labor Contractor Registration (1972U) Number changed from 17.209 (1972U)	<b>17.603</b> Brookwood-Sago Grant (2007)
<b>17.300</b> Age Discrimination in Employment (1969B) Transferred to 30.008 (1979U1)	<b>17.309</b> Labor Organization Reports (1999B) Incorporated from 17.140 (2001U)	<b>17.604</b> Safety and Health Grants (2008)
<b>17.301</b> Equal Employment Opportunity by Federal Contractors (1969B) Equal Employment Opportunity by Federal Contractors and Federally Assisted Construction Contractors (1980B) Non-Discrimination and Affirmative Action by Federal Contractors and Federally Assisted Construction Contractors (1983U)	<b>17.310</b> Energy Employees Occupational Illness Compensation (2006)	<b>17.700</b> Women's Special Employment Assistance (1978B) Number changed from 17.305 (1978B) Women's Bureau (2003B)
<b>17.302</b> Workmen's Compensation for Federal Employees and Others (1969B) Longshoremen's and Harbor Workers' Compensation (1970B) Longshore and Harbor Workers' Compensation (1984U)	<b>17.311</b> Federal Transit Employee Protection Certifications: Office of Labor-Management Standards (2009) Archived (2012)	<b>17.720</b> Employment Programs for People with Disabilities (2002B) Transferred from 53.001 (2002B) Disability Employment Policy Development (2005) Disability Employment Policy Development (2005)
<b>17.303</b> Federal Minimum Wage and Hour Standards (1967B) Minimum Wage and Hour Standards (1969B) Split into 17.303, 30.010 (1979U2) Wage and Hour Standards (1996B)	<b>17.400</b> Trade Adjustment Assistance_Workers (1971B) Transferred from 61.003 (1971B) Number changed to 17.245 (1981U)	<b>17.800</b> Exemplary Rehabilitation Certificates (1982B) Number changed from 17.208 (1982B) Archived (1983B)
<b>17.304</b> Labor Standards (1965B) Safety and Labor Standards (1969B) Workers Safety and Labor Standards (1970B) Number changed to 17.307A (1971B)	<b>17.501</b> Employee Assistance Programs_Drug, Alcohol Abuse (1990B) Archived (1991U)	<b>17.801</b> Disabled Veterans Outreach Program (1982B) Number changed from 17.244 (1982B) Disabled Veterans Outreach Program (DVOP) (1992B) Disabled Veterans' Outreach Program (DVOP) (1995B)
<b>17.305</b> Women_Special Programs and Assistance (1967B) Women's Special Employment Assistance (1970B)	<b>17.502</b> Occupational Safety and Health_Training and Education (1991U) Occupational Safety and Health_Susan Harwood Training Grants (1999B)	<b>17.802</b> Veterans Employment Program (1984B) Veterans' Employment Program (1995B)
	<b>17.503</b> Occupational Safety and Health_State Program (1994B)	<b>17.803</b> Reemployment Rights for Veterans (1984B) Number changed from 17.102 (1984B) Veterans' Employment and Reemployment Rights (1995B) Uniformed Services Employment and
	<b>17.504</b> Consultation Agreements	

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Reemployment Rights (1996B)

## 17.804

Local Veterans Employment Representative Program (1984B)

Local Veterans' Employment Representative Program (1995B)

## 17.805

Homeless Veterans Reintegration Project (1991U)

Archived (1996B)

Reinstated (1998B)

## 17.806

Veteran's Preference in Federal Employment (2000B)

## U.S. POSTAL SERVICE

Lease Construction Program (1967B)

Post Office Lease Construction (1969B)

Archived (1970B)

## 18.001

Postal Academy Program (1970B)

Archived (1972U)

## U.S. DEPARTMENT OF STATE

### 19.001

Foreign Currency Loans (1970B)

Transferred to 70.001 (1971B)

### 19.002

Foreign Housing Investment Guaranties (1970B)

Consolidated into 19.008 (1970U)

### 19.003

Foreign Housing Investment Guaranty

Program\_Latin America (1970B)

Consolidated into 19.008 (1970U)

### 19.004

Foreign Investment Guaranties (1970B)

Transferred to 70.002 (1971B)

### 19.005

Foreign Investment Insurance (1970B)

Transferred to 70.003 (1971B)

### 19.006

Institutional Centers to Aid Foreign Development

(1969B)

Archived (1977U)

### 19.007

Technology Applications for Less-Developed

Countries (1969B)

Archived (1978B)

### 19.008

Foreign Housing Investment Guaranty\_Worldwide

(1970U)

Consolidated from 19.002, 19.003 (1970U)

Housing Investment Guaranty\_Worldwide (1971B)

Housing Guaranty\_Worldwide (1973U)

Archived (1978B)

### 19.009

Academic Exchange Programs - Undergraduate

Programs (2009)

### 19.012

Professional and Cultural Exchange Programs -

Special Professional and Cultural Programs (2009)

### 19.013

Thomas R. Pickering Foreign Affairs Fellowship

Program (2009)

### 19.014

One-Time International Exchange Grant Program

(2009)

### 19.015

Cultural, Technical and Educational Centers (2009)

### 19.016

Iraq Assistance Programs (2009)

### 19.017

Environmental and Scientific Partnerships and

Programs (2009)

### 19.018

Overseas Processing Entities (OPEs) for U.S.

Refugee Resettlement (2009)

### 19.019

International Programs to Combat Human

Trafficking (2009)

### 19.020

Charles B. Rangel International Affairs Program

(2010)

### 19.021

Investing in People in The Middle East and North

Africa (2010)

### 19.022

Educational and Cultural Exchange Programs

Appropriation Overseas Grants (2010)

### 19.023

Overseas Schools Program (2011)

### 19.024

Soft Target Program for Overseas Schools (2011)

### 19.025

U.S. Ambassadors Fund for Cultural Preservation

(2010)

### 19.026

Global Peace Operations Initiative (2011)

### 19.030

Antiterrorism Assistance Domestic Training

Programs (2012)

### 19.031

Research and Development - Physical Security

Programs (2012)

### 19.032

Global Engagement (2012)

### 19.033

Global Threat Reduction (2012)

### 19.040

Public Diplomacy Programs (2011)

### 19.087

International Fisheries Commissions (2011)

### 19.100

Cultural Presentations\_Foreign Tours (1969B)

Split into 19.100, 19.102 (1970B)

Archived (1971B)

### 19.101

Exchange of Persons\_Academic Grants (1969B)

Educational Exchange\_Graduate Students (1970B)

Transferred to 82.001 (1978B)

### 19.102

Educational Exchange\_University Lecturers

(Professors) and Research Scholars (1970B)

Split from 19.100 (1970B)

Transferred to 82.002 (1978B)

### 19.123

EUR/ACE Humanitarian Assistance Program

(2011)

### 19.124

U.S. Department of State (2010)

East Asia and Pacific Grants Program (2011)

### 19.200

Claims Against Foreign Governments (1970B)

### 19.201

Protection of Ships from Foreign Seizure (1970B)

### 19.202

Special Domestic Assignments (1981B)

### 19.203

Claims Against Foreign Missions (1984B)

Archived (1990B)

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<b>19.204</b> Fishermen's Guranty Fund Number changed from 11.410 (1987B)	College and University Affiliations Program Number changed from 82.011 (2000B) Educational Partnerships Program (2001U) Consolidated into 19.42 (2002B)	<b>19.416</b> Exchange_English Teaching Fellows Number changed from 82.034 (2000B) Consolidated into 19.421 (2001B)
<b>19.221</b> Near East Regional Democracy (2011)	<b>19.407</b> Teacher Exchange_New Independent States (NIS) Number changed from 82.012 (2000B) Deleted (2005)	<b>19.417</b> Exchange_English as a Foreign Language (EFL) Fellows Number changed from 82.035 (2000B) Consolidated into 19.421 (2001B)
<b>19.300</b> Russian, Eurasian, and East European Research and Training (1992B) Program for Study of Eastern Europe and the Independent States of the Former Soviet Union (1995U)	<b>19.408</b> Educational Exchange_Teachers from Secondary and Postsecondary Levels Number changed from 82.013 (2000B) Educational Exchange_Teachers from Secondary and Postsecondary Levels and School Administrators (2001B) Academic Exchange Programs - Teachers (2009)	<b>19.418</b> Educational Exchange_Fulbright American Studies Institutes Number changed from 82.038 (2000B) Educational Exchange, American Studies Institute (2006) Archived (2009)
<b>19.301</b> The Secretary's Office of the Global Partnership Initiative (S/GPI) Grant Programs (2012)	<b>19.409</b> Creative Arts Grants Number changed from 82.015 (2000B) Arts Exchanges on International Issues (2005) Arts Exchanges on International Issues (2005) Archived (2009)	<b>19.419</b> Professional Development_Teacher Training (2000B) Deleted (2004)
<b>19.345</b> International Programs to Support Democracy, Human Rights and Labor (2009)	<b>19.410</b> Educational Exchange_Congress-Bundestag Youth Exchange Number changed from 82.016 (2000B) Archived (2009)	<b>19.420</b> Cooperative Grants (2000B) Deleted (2004)
<b>19.400</b> Educational Exchange_Graduate Students Number changed from 82.001 (2000B) Academic Exchange Programs - Graduate Students (2009)	<b>19.411</b> Educational Exchange_NIS Secondary School Initiative Number changed from 82.018 (2000B) Deleted (2004)	<b>19.421</b> Exchange_English Language Fellow Program Consolidated from 19.416, 19.417 (2001B) Academic Exchange Programs - English Language Programs (2009)
<b>19.401</b> Educational Exchange_University Lecturers (Professors) and Research Scholars Number changed from 82.002 (2000B) Academic Exchange Programs - Scholars (2009)	<b>19.412</b> Educational Exchange_Postgraduates and Faculty Number changed from 82.026 (2000B) Archived (2002B)	<b>19.422</b> Educational Exchange_Teaching Excellence Awards Program (2001B) Deleted (2004)
<b>19.402</b> International Visitors Program Number changed from 82.004 (2000B) Professional and Cultural Exchange Programs - International Visitor Leadership Program (2009)	<b>19.413</b> Cultural Exchange (Performing Arts) Number changed from 82.030 (2000B) Deleted (2006)	<b>19.423</b> Exchange_English Language Specialist/Speaker Program (2001B) Archived (2009)
<b>19.403</b> American Council of Young Political Leaders Number changed from 82.006 (2000B) Archived (2009)	<b>19.414</b> Cultural Exchange (Visual Arts) Number changed from 82.032 (2000B) Deleted (2005)	<b>19.424</b> Educational Partnerships Program (2002B) Consolidated from 19.406 (2002B) Deleted (2005)
<b>19.404</b> Professional Development_International Educators/Administrators Number changed from 82.009 (2000B) Deleted (2004) Consolidated into 19.424 (2004)	<b>19.415</b> Professional Exchange_Annual Open Grant Number changed from 82.033 (2000B) Professional Exchanges_Annual Open Grant (2001B) Professional and Cultural Exchange Programs - Citizen Exchanges (2009)	<b>19.425</b> Benjamin Gilman International Scholarship (2002B) Archived (2009)
<b>19.405</b> College and University Partnerships Program Number changed from 82.010 (2000B) Educational Partnerships Program (2003B) Deleted (2004) Consolidated into 19.424 (2004)		<b>19.430</b> International Education Training and Research (2008) Archived (2009)
<b>19.406</b>		<b>19.431</b>

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Educational Exchange\_Scholar-in-Residence (U.S. Institutions of Higher Education Host Lecturing Faculty From Abroad) (2005)  
Archived (2009)

### 19.432

Overseas Educational Advising (2005)  
Academic Exchange Programs - Educational Advising and Student Services (2009)

### 19.440

IIP Individual Grants (2011)

### 19.450

ECA Individual Grants (2011)

### 19.500

Middle East Partnership Initiative (MEPI) (2004)

### 19.501

Public Diplomacy Programs for Afghanistan and Pakistan (2009)

### 19.510

U.S. Refugee Admissions Program (2004)

### 19.511

Overseas Refugee Assistance Programs for East Asia (2005)

### 19.515

Contributions to International Organizations for Overseas Assistance (2011)

### 19.517

Overseas Refugee Assistance Programs for Africa (2005)

### 19.518

Overseas Refugee Assistance Programs for Western Hemisphere (2005)

### 19.519

Overseas Refugee Assistance Program for Near East and South Asia (2005)

### 19.520

Overseas Refugee Assistance Programs for Europe (2005)

### 19.522

Overseas Refugee Assistance Programs for Strategic Global Priorities (2005)

### 19.600

Bureau of Near Eastern Affairs (NEA) (2011)

### 19.666

EUR/ACE National Endowment for Democracy Small Grants (2011)

### 19.700

General Department of State Assistance (2010)

### 19.701

Global Counterterrorism Programs (2012)

### 19.703

CRIMINAL JUSTICE SYSTEMS (2011)

### 19.704

COUNTERNARCOTICS (2011)

### 19.705

TRANSNATIONAL CRIME (2011)

### 19.750

Bureau of Western Hemisphere Affairs (WHA) Grant Programs (including Energy and Climate Partnership for the Americas) (2011)

### 19.800

Weapons Removal and Abatement (2011)

### 19.801

Office of Global Women's Issues (2011)

### 19.878

EUR-Other (2011)

### 19.900

AEECA PD Programs (2012)

### 19.901

Export Control and Related Border Security (2011)  
Number changed from 19.999 (2011)

### 19.999

Export Control and Related Border Security (2011)  
Number changed to 19.901 (2011)

## DEPARTMENT OF TRANSPORTATION

Coast Guard Marine, Harbor, and Waterfront Services (1967B)

Marine, Harbor, and Waterfront Services (1969B)  
Archived (1970B)

Development Highways and Access Roads for the Appalachian Region (1967B)  
Archived (1969B)

Urban Mass Transportation Capital Assistance (1969B)  
Incorporated into 20.500, 20.501 (1970B)

### 20.001

Boating Safety (1970B)  
Transferred to 97.011 (2003B)

### 20.002

Coast Guard Cooperative Marine Sciences Program

(1970B)

Archived (1986B)

### 20.003

Student Shipboard Opportunities Program (1970B)  
Incorporated into 20.002 (1971B)

### 20.004

Boating Safety\_Financial Assistance (1972U)  
Archived (1980B)

### 20.005

Boating Safety Financial Assistance (1983U)  
Transferred to 97.012 (2003B)

### 20.006

State Access to the Oil Spill Liability Trust Fund (1993B)  
Transferred to 97.013 (2003B)

### 20.007

Bridge Alteration (1993U)  
Transferred to 97.014 (2003B)

### 20.008

E-911 Grant Program (2009)

### 20.100

Aviation Education (1969B)  
Archived (2009)

### 20.101

Airport Development Program (1965B)  
Airport Development (1969B)  
Federal-Aid Airport Program (1970B)  
Number changed to 20.102 (1970U)

### 20.102

Airport Development Aid Program (1970U)  
Number changed from 20.101 (1970U)  
Archived (1983B)

### 20.103

Airport Planning Grant Program (1971B)  
Archived (1983B)

### 20.104

Aviation War Risk Insurance (1971B)  
Archived (1977U)

### 20.105

Loan Guarantees for Purchase of Aircraft and Spare Parts (1980B)  
Archived (1983U)

### 20.106

Airport Improvement Program (1983B)

### 20.107

Airway Science (1987B)

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<b>20.108</b> Aviation Research Grants (1993B)	<b>20.209</b> Public Lands Highways (1970B) Incorporated into 20.205 (1974B)	Transportation Infrastructure Finance and Innovation Act (TIFIA) Program (2007)
<b>20.109</b> Air Transportation Centers of Excellence (1993B)	<b>20.210</b> State and Community Highway Safety (1970B) Split from 20.207 (1970B) Consolidated into 20.600 (1971B)	<b>20.230</b> Crash Data Improvement Program (2005)
<b>20.200</b> Federal-Aid Highways_Emergency Relief (1970B) Incorporated into 20.205 (1974B)	<b>20.211</b> Traffic Operations Program to Increase Capacity and Safety (1970B) Incorporated into 20.205 (1972B)	<b>20.231</b> Performance and Registration Information Systems Management (2006)
<b>20.201</b> Forest Highways (1970B) Incorporated into 20.205 (1974B)	<b>20.212</b> Economic Growth Centers and Development Highway Demonstration Projects (1971U) Economic Growth Centers Development_Highways (1972B) Archived (1972U)	<b>20.232</b> Commercial Driver License State Programs (2005) Commercial Driver's License Program Improvement Grant (2010)
<b>20.202</b> Highway Beautification (1967B) Highway Beautification_Control of Junkyards (1970B) Transferred from the Department of Commerce (1970B) Split into 20.202, 20.203, 20.204 (1970B) Consolidated into 20.214 (1974B)	<b>20.213</b> Special Bridge Replacement (1971U) Federal-Aid Highways_Special Bridge Replacement (1973B) Incorporated into 20.205 (1974B)	<b>20.233</b> Border Enforcement Grants (2005)
<b>20.203</b> Highway Beautification_Control of Outdoor Advertising (1970B) Split from 20.202 (1970B) Consolidated into 20.214 (1974B)	<b>20.214</b> Highway Beautification_Control of Outdoor Advertising, Control of Junkyards, Landscaping and Scenic Enhancement (1974B) Consolidated from 20.202, 20.203, 20.204 (1974B) Highway Beautification_Control of Outdoor Advertising, and Control of Junkyards (1977B) Archived (1989B)	<b>20.234</b> Safety Data Improvement Program (2006)
<b>20.204</b> Highway Beautification_Landscaping and Scenic Enhancement (1970B) Split from 20.202 (1970B) Consolidated into 20.214 (1974B)	<b>20.215</b> Highway Training and Education (1980B)	<b>20.235</b> Commercial Motor Vehicle Operator Training Grants (2006)
<b>20.205</b> Highway Planning and Construction (1967B) Transferred from the Department of Commerce (1970B) Highway Research, Planning, and Construction (1972B) Highway Planning and Construction (1981U) Revised (1998U)	<b>20.216</b> Highway Educational Grants (1980B) Archived (1985U)	<b>20.236</b> Thermal Imaging Inspection System Demonstration Project (2006) Archived (2009)
<b>20.206</b> Highway Studies (1967B) Highway Planning and Research Studies (1970B) Highway Planning and Research (1971B) Incorporated into 20.205 (1972B)	<b>20.217</b> Motor Carrier Safety (1980B)	<b>20.237</b> Commercial Vehicle Information Systems and Networks (2006) Safety Data Improvement Program (2008) Commercial Vehicle Information Systems and Networks (2009)
<b>20.207</b> National Highway Safety Program (1965B) Split into 20.207, 20.208, 20.210 (1970B) Highway Safety Demonstration Projects (1970B) Consolidated into 20.600 (1971B)	<b>20.218</b> Motor Carrier Safety Assistance Program (1983U) National Motor Carrier Safety (1999B)	<b>20.238</b> Commercial Drivers License Information System (2007) Commercial Drivers License Information System (CDLIS) Modernization Grant (2010)
<b>20.208</b> Highway Safety Research Fellowships (1970B) Split from 20.207 (1970B) Consolidated into 20.600 (1971B)	<b>20.219</b> National Recreational Trails Program (1993U) National Recreational Trails Funding Program (1995B) Recreational Trails Program, Revised (1998U)	<b>20.239</b> Motor Carrier Research and Technology Programs (2009)
	<b>20.222</b> Highways for LIFE (2006)	<b>20.240</b> Fuel Tax Evasion-Intergovernmental Enforcement Effort (2006)
	<b>20.223</b>	<b>20.241</b> Federal Motor Carrier Safety Administration National Training Center (2009) Archived (2011)
		<b>20.242</b> Medical Programs (2010) Archived (2011)
		<b>20.300</b>

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High-Speed Ground Transportation (1967B) Transferred from the Department of Commerce (1967B) High-Speed Ground Transportation Research and Development (1970B) Consolidated into 20.304 (1974U)	<b>20.311</b> Railroad Labor/Management Cooperation Program (1987U) Archived (1988B)	Archived (1981B)
<b>20.301</b> Railroad Safety (1971B)	<b>20.312</b> High Speed Ground Transportation (1995B) High Speed Ground Transportation_Next Generation High Speed Rail Program (1998B) Archived (2009)	<b>20.502</b> Urban Mass Transportation Grants for University Research and Training (1970B) Incorporated into 20.512 (1984B) Federal Transit Grants for University Research and Training (1992B) Archived (2000B) Reinstated (2000U) Deleted (2005)
<b>20.302</b> Railroad Research (1973B) Consolidated into 20.304 (1974U)	<b>20.313</b> Railroad Research and Development (2000U)	<b>20.503</b> Urban Mass Transportation Managerial Training Grants (1969B) Urban Mass Transportation Managerial Training (1970B) Urban Mass Transportation Managerial Training Grants (1971B) Federal Transit Managerial Training Grants (1992B) Archived (2000B) Reinstated (2000U) Deleted (2005)
<b>20.303</b> Grants-in-Aid for Railroad Safety (1974U) Grants-in-Aid for Railroad Safety_State Participation (1975B) Archived (2009)	<b>20.314</b> Railroad Development (2006)	<b>20.504</b> Urban Mass Transportation Research, Development, and Demonstrations (1969B) Urban Mass Transportation Research, Development, and Demonstration Grants (1971B) Mass Transportation Technology (1974U) Split into 20.504, 20.506 (1974U) Consolidated into 20.512 (1984B)
<b>20.304</b> Railroad Research and Development (1974U) Consolidated from 20.300, 20.302 (1974U) Archived (1977U)	<b>20.315</b> National Railroad Passenger Corporation Grants (2006)	<b>20.505</b> Urban Mass Transportation Technical Studies Grants (1969B) Federal Transit Technical Studies Grants (1992B) Federal Transit_Metropolitan Planning Grants (1999B) Metropolitan Transportation Planning (2010)
<b>20.305</b> Local Rail Service Continuation Payments (1976B) Local Rail Service Continuation Payments_Regional Program (1977B) Incorporated into 20.308 (1978B)	<b>20.316</b> Railroad Rehabilitation and Improvement Financing Program (2007)	<b>20.506</b> Urban Mass Transportation Demonstration Grants (1974U) Split from 20.504 (1974U) Consolidated into 20.512 (1984B)
<b>20.306</b> Rail Property Acquisition and Modernization Grant Assistance (1976B) Incorporated into 20.305 (1977B)	<b>20.317</b> Capital Assistance to States - Intercity Passenger Rail Service (2008)	<b>20.507</b> Urban Mass Transportation Capital and Operating Assistance Formula Grants (1975B) Federal Transit Capital and Operating Assistance Formula Grants (1992B) Federal Transit_Formula Grants (1999B)
<b>20.307</b> Transportation Test Center (1975U) Archived (1983B)	<b>20.318</b> Maglev Project Selection Program - SAFETEA-LU (2008)	<b>20.508</b> Urban Mass Transportation Rail Passenger Service Assistance (1977B) Archived (1979B)
<b>20.308</b> Local Rail Service Assistance_National Program (1977B) Local Rail Service Assistance (1978U) Local Rail Freight Assistance (1991U) Archived (2000B)	<b>20.319</b> High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants (2009)	
<b>20.309</b> Railroad Rehabilitation and Improvement_Guarantee of Obligations (1977B) Archived (1987B)	<b>20.320</b> Rail Line Relocation and Improvement (2009)	
<b>20.310</b> Railroad Rehabilitation and Improvement_Redeemable Preference Shares (1977B) Railroad Rehabilitation and Improvement_Redeemable Preference Shares or Notes (1983U) Archived (1986B)	<b>20.321</b> RAILROAD SAFETY TECHNOLOGY GRANTS (2010)	
	<b>20.400</b> Transportation Planning Information_Environment and Urban Systems (1970B) Archived (1971B) Reinstated (1971U) Archived (1972B)	
	<b>20.500</b> Urban Mass Transportation Capital Improvement Grants (1970B) Federal Transit Capital Improvement Grants (1992B) Federal Transit_Capital Investment Grants (1999B)	
	<b>20.501</b> Urban Mass Transportation Capital Improvement Loans (1970B)	

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<b>20.509</b> Public Transportation for Rural and Small Urban Areas (1979U2) Public Transportation for Nonurbanized Areas (1980U1) Formula Grants for Other Than Urbanized Areas (1999B)	<b>20.524</b> Passenger Rail Investment and Improvement (PRIIA) Projects for Washington Metropolitan Area Transit Authority (WMATA) (2012)	Grants (2006)
<b>20.510</b> Urban Mass Transportation Planning Methods Research and Development (1980B) Consolidated into 20.512 (1984B)	<b>20.600</b> State and Community Highway Safety (1971B) Consolidated from 20.207, 20.208, 20.210 (1971B)	<b>20.614</b> National Highway Transportation Safety Administration (NHTSA) Discretionary Safety Grants (2006) National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (2010)
<b>20.511</b> Human Resource Program (1984B)	<b>20.601</b> Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants (1991U) Alcohol Impaired Driving Countermeasures Incentive Grants I (2009)	<b>20.615</b> E-911 Grant Program (2009) Archived (2010)
<b>20.512</b> Urban Mass Transportation Technical Assistance (1984B) Consolidated from 20.504, 20.506, 20.510 (1984B) Federal Transit Technical Assistance (1992B) Deleted (2005)	<b>20.602</b> Motorcycle Helmets and Safety Belt Incentive Grants (1992B) Archived (1995B) Occupant Protection, Reinstated (2000U) Occupant Protection Incentive Grants (2009)	<b>20.616</b> National Priority Safety Programs (2012)
<b>20.513</b> Capital Assistance Program for Elderly and Handicapped Persons (1987U) Capital Assistance Program for Elderly Persons and Persons with Disabilities (1992B)	<b>20.603</b> Federal Highway Safety Data Improvements Incentive Grants (2000U)	<b>20.700</b> Gas Pipeline Safety (1971U) Pipeline Safety (1987B) Pipeline Safety Program Base Grants (2008) Pipeline Safety Program State Base Grant (2012)
<b>20.514</b> Transit Planning and Research (1993B) Public Transportation Research (2006)	<b>20.604</b> Safety Incentive Grants for Use of Seatbelts (2000U)	<b>20.701</b> University Transportation Centers Program (1992B) Number changed from 20.902 (1992B)
<b>20.515</b> State Planning and Research (1994B) Split from 20.514 (1994B)	<b>20.605</b> Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Persons (2000U) Archived (2009)	<b>20.702</b> University Research Institutes Program (1993B) Archived (1999B)
<b>20.516</b> Job Access_Reverse Commute (2000U)	<b>20.607</b> Alcohol Open Container Requirements (2004)	<b>20.703</b> Interagency Hazardous Materials Public Sector Training and Planning Grants (1993B)
<b>20.518</b> Capital and Training Assistance Program for Over-the-Road Bus Accessibility (2000U)	<b>20.608</b> Minimum Penalties for Repeat Offenders for Driving While Intoxicated (2004)	<b>20.704</b> RITA Hydrogen (2006) Archived (2010)
<b>20.519</b> Clean Fuels (2006)	<b>20.609</b> Safety Belt Performance Grants (2006) Archived (2012) Reinstated (2012)	<b>20.710</b> Technical Assistance Grants (2009)
<b>20.520</b> Paul S. Sarbanes Transit in the Parks (2009)	<b>20.610</b> State Traffic Safety Information System Improvement Grants (2008)	<b>20.714</b> National Pipeline Mapping System (2000U)
<b>20.521</b> New Freedom Program (2006)	<b>20.611</b> Incentive Grant Program to Prohibit Racial Profiling (2006)	<b>20.720</b> State Damage Prevention Program Grants (2007)
<b>20.522</b> Alternatives Analysis (2006)	<b>20.612</b> Incentive Grant Program to Increase Motorcyclist Safety (2006)	<b>20.721</b> PHMSA Pipeline Safety Program One Call Grant (2008)
<b>20.523</b> CAPITAL ASSISTANCE PROGRAM FOR REDUCING ENERGY CONSUMPTION AND GREENHOUSE GAS EMISSIONS (2009)	<b>20.613</b> Child Safety and Child Booster Seats Incentive	<b>20.722</b> Technology Development Grant (2009) Archived (2011)
		<b>20.723</b> PHMSA Pipeline Safety Research and Development Other Transaction Agreements (2011)



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<b>20.750</b> Program of University Research (1973U) Archived (1975U)	Transferred from 11.507 (1981U)	(1993B)
<b>20.760</b> University Transportation Centers (2006) Archived (2009)	<b>20.808</b> Capital Construction Fund (1981U) Transferred from 11.508 (1981U)	<b>20.904</b> Disadvantaged Business Enterprises_Bonding Assistance Program (1993U) Bonding Assistance Program (1998U) Deleted (2005)
<b>20.761</b> Biobased Transportation Research (2008)	<b>20.809</b> Development and Promotion of Domestic Waterborne Transport Systems (1981U) Transferred from 11.509 (1981U) Archived (1985B)	<b>20.905</b> Disadvantaged Business Enterprises_Short Term Lending Program (1993U)
<b>20.762</b> Research Grants (2006)	<b>20.810</b> Supplementary Training (1981U) Transferred from 11.510 (1981U) Archived (2009)	<b>20.906</b> Hispanic Serving Institutions_Student Training and Education (1994B) Hispanic Serving Institutions_Entrepreneurial Training and Technical Assistance (1998U) Split into 20.908 (2000U) Deleted (2004) Consolidated into 20.907 (2006)
<b>20.763</b> Research and Innovative Technology (RIT) Hydrogen Alternative Fuel Life Cycle (2008) Archived (2010)	<b>20.811</b> Research and Development Assistance (1981U) Transferred from 11.511 (1981U) Archived (1988B)	<b>20.907</b> Entrepreneurial Training and Technical Assistance Program Consolidated from 20.902 (1995B) Historically Black Colleges and Universities_Entrepreneurial Training and Technical Assistance (1999B) Split into 20.908 (2000U) Deleted (2006) Entrepreneurial Training and Technical Assistance Women and Girls Program (2010)
<b>20.764</b> Hydrogen Storage Research and Development (2007)	<b>20.812</b> Construction Reserve Fund (1981U) Transferred from 11.512 (1981U)	<b>20.908</b> Tribal Colleges_Entrepreneurial Training and Technical Assistance Split from 20.906, 20.907 (2000U) Deleted (2004)
<b>20.800</b> Construction_Differential Subsidies (1981U) Transferred from 11.500 (1981U) Archived (1990B)	<b>20.813</b> Maritime Security Fleet Program (1997B)	<b>20.910</b> Assistance to small and disadvantaged businesses (2007)
<b>20.801</b> Development and Promotion of Ports and Intermodal Transportation (1981U) Transferred from 11.501 (1981U) Deleted (2008)	<b>20.814</b> Assistance to Small Shipyards (2008)	<b>20.920</b> Transportation Statistics Research Grants (2000U)
<b>20.802</b> Federal Ship Financing Guarantees (1981U) Transferred from 11.502 (1981U)	<b>20.815</b> Fireboat Construction (2008) Archived (2009)	<b>20.930</b> Payments for Small community Air Service Development (2004)
<b>20.803</b> Maritime War Risk Insurance (1981U) Transferred from 11.503 (1981U) Archived (1985B)	<b>20.816</b> Americas Marine Highway Grants (2010)	<b>20.931</b> Transportation Planning, Research and Education (2006) Archived (2009) Reinstated (2010)
<b>20.804</b> Operating_Differential Subsidies (1981U) Transferred from 11.504 (1981U) Deleted (2004)	<b>20.817</b> Air Emissions and Energy Initiative (2012)	<b>20.932</b> Surface Transportation _ Discretionary Grants for Capital Investment. (2009) Archived (2010) Reinstated (2011)
<b>20.805</b> Ship Sales (1981U) Transferred from 11.505 (1981U) Deleted (2005)	<b>20.900</b> Air Transportation_Consumer Affairs (1985B) Transferred from 26.002 (1985B) Transportation_Consumer Affairs (1993U)	
<b>20.806</b> State Marine Schools (1981U) Transferred from 11.506 (1981U) State Maritime Schools (2006)	<b>20.901</b> Payments for Essential Air Services (1985B) Transferred from 26.003 (1985B)	
<b>20.807</b> U.S. Merchant Marine Academy (1981U)	<b>20.902</b> University Transportation Centers Program (1987U) Number changed to 20.701 (1992B) Student Training and Education Program (1993B) Consolidated into 20.907 (1995B)	

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## 20.933

Surface Transportation Infrastructure \_  
Discretionary Grants for Capital Investments II  
(2010)  
Surface Transportation Infrastructure \_  
Discretionary Grants for Capital Investments  
(2011)  
National Infrastructure Investments (2011)

## 64.129

Monthly Allowance for Certain Children of  
Vietnam Veterans (2004)

## DEPARTMENT OF THE TREASURY

Narcotics Law Enforcement Training (1967B)  
Archived (1969B)

## 21.001

Alcohol, Tobacco, and Firearms\_Laboratory  
Analysis (1970B)  
Number changed to 21.051 (1972U)

## 21.002

Assistance in Law Enforcement (1967B)  
Law Enforcement Training Assistance (1969B)  
Alcohol, Tobacco, and Firearms\_Training  
Assistance (1970B)  
Number changed to 21.052 (1972U)

## 21.003

Taxpayer Assistance (1969B)  
Tax Information and Training (1970B)  
Tax Information and Education (1972B)  
Taxpayer Service (1981B)

## 21.004

Federal Tax Information for State Tax Officials  
(1972B)  
Incorporated from 21.005 (1987B)  
Exchange of Federal Tax Information With State  
Tax Agencies (1987B)

## 21.005

State Tax Model (1973U)  
Individual Tax Model (1978U)  
Incorporated into 21.004 (1987B)

## 21.006

Tax Counseling for the Elderly (1980U1)

## 21.007

Availability of Tax Information to Certain Welfare  
Agencies (1987B)  
Availability of Tax Information to Certain  
Agencies Administering Needs-Based Programs  
(1991B)  
Archived (1999B)

## 21.008

Low-Income Taxpayer Clinics (1999B)

Low Income Taxpayer Clinics (2009)

## 21.009

Volunteer Income Tax Assistance (VITA)  
Matching Grant Program (2009)

## 21.010

Financial Education and Counseling Pilot Program  
(2009)

## 21.011

Capital Magnet Fund (2010)

## 21.012

Native Initiatives (2010)

## 21.013

Qualifying Therapeutic Discovery Project Credit  
(2010)  
Archived (2012)

## 21.014

Community Development Financial Institutions  
Bond Guarantee Program (2012)

## 21.020

Community Development Financial Institutions  
Program (1998B)

## 21.021

Bank Enterprise Award Program (1998B)

## 21.051

Alcohol, Tobacco, and Firearms\_Laboratory  
Analysis (1972U)  
Number changed from 21.001 (1972U)  
Archived (1990B)

## 21.052

Alcohol, Tobacco, and Firearms\_Training  
Assistance (1972U)  
Number changed from 21.002 (1972U)  
Number changed to 16.012 (2004)

## 21.053

Gang Resistance Education and Training (2000B)  
Number changed to 16.737 (2004)

## 21.100

Secret Service\_Training Activities (1970B)  
Transferred to 97.015 (2003B)

## 21.200

Antidumping\_Countervailing Duties (1971B)  
Antidumping Duties (1975B)  
Split into 21.200, 21.201 (1975B)  
Transferred to 11.106 (1980B)

## 21.201

Countervailing Duty on Imports (1975B)

Split from 21.200 (1975B)  
Transferred to 11.107 (1980B)

## 21.300

State and Local Government Fiscal  
Assistance\_General Revenue Sharing (1980B)  
State and Local Government Fiscal  
Assistance\_Revenue Sharing (1985B)  
Archived (1987B)

## ADVISORY COMMISSION ON INTERGOVERNMENTAL RELATIONS

### 22.001

Intergovernmental Relations Advisory Service  
(1967B)  
Archived (1974B)

## APPALACHIAN REGIONAL COMMISSION

Regional Economic Development Commissions  
(1969B)  
Split into individual Commissions (1970B)

## 17.807

Transition Assistance Program (2004)

## 23.001

Appalachian Regional Development (1969B)  
Split into 23.001, 23.002, 23.003, 23.004, 23.005,  
23.006, 23.007, 23.008, 23.009, 23.010, 23.011,  
23.012 (1970B)

## 23.002

Appalachia\_Supplements to Federal Grant-in-Aid  
(1970B)  
Split from 23.001 (1970B)  
Appalachian Supplements to Federal Grant-in-Aid  
(Community Development) (1978B)  
Appalachian Supplements to Federal Grant-in-Aid  
(Area Development), Consolidated from 23.004,  
23.005, 23.012, 23.013 (1996B)  
Appalachian Area Development (1999B)

## 23.003

Appalachian Development Highway System  
(1970B)  
Split from 23.001 (1970B)

## 23.004

Appalachian Health Demonstrations (1970B)  
Split from 23.001 (1970B)  
Appalachian Health Programs (1976B)  
Consolidated into 23.002 (1996B)

## 23.005

Appalachian Housing Fund (1970B)  
Split from 23.001 (1970B)  
Appalachian Housing Planning Loan (1975B)  
Appalachian Housing Planning Loan Fund (1975U)  
Appalachian Housing Project Planning Loan and

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Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (1977B)  
Appalachian Housing Project Planning Loan, Technical Assistance Grant and Site Development and Off-Site Improvement Grant: State Appalachian Housing Programs (1979B)  
Consolidated into 23.002 (1996B)

## 23.006

Appalachian Housing Technical Assistance (1970B)  
Split from 23.001 (1970B)  
Appalachian State Housing Technical Assistance (1975B)  
Appalachian State Housing Technical Assistance Grants (1976U)  
Incorporated into 23.005 (1979B)

## 23.007

Appalachian Land Stabilization, Conservation, and Erosion Control (1970B)  
Split from 23.001 (1970B)  
Archived (1970U)

## 23.008

Appalachian Local Access Roads (1970B)  
Split from 23.001 (1970B)  
Incorporated into 23.002 (2006)

## 23.009

Appalachian Local Development District Assistance (1970B)  
Split from 23.001 (1970B)

## 23.010

Appalachian Mine Area Restoration (1970B)  
Split from 23.001 (1970B)  
Archived (1996B)

## 23.011

Appalachian State Research, Technical Assistance and Demonstration Projects (1970B)  
Split from 23.001 (1970B)  
Appalachian State Research, Technical Assistance, and Demonstration Projects (1971B)  
Appalachian Research, Technical Assistance, and Demonstration Projects (2005)  
Appalachian Research, Technical Assistance, and Demonstration Projects (2006)

## 23.012

Appalachian Vocational Education Facilities (1970B)  
Split from 23.001 (1970B)  
Appalachian Vocational Education Facilities and Operations (1972B)  
Appalachian Vocational and Other Education Facilities and Operations (1976B)  
Consolidated into 23.002 (1996B)

## 23.013

Appalachian Child Development (1970U)  
Consolidated into 23.002 (1996B)

## 23.014

Appalachian Housing Site Development (1972B)  
Appalachian Housing Site Development and Off Site Improvement Grants (1975B)  
Incorporated into 23.005 (1977B)

## 23.016

Appalachian Vocational and Technical Education Demonstration Grants (1972B)  
Incorporated into 23.012 (1976B)

## 23.017

Appalachian Special Transportation Related Planning, Research and Demonstration Program (1975B)  
Archived (1989B)

## ATOMIC ENERGY COMMISSION

Construction of Nuclear Power Stations (1967B)  
Archived (1970B)

Licensing of Nuclear Power Stations (1967B)  
Archived (1970B)

Nuclear Education and Training (1967B)  
Split into "Nuclear Education, Training" Programs (1970B)

Research Support in the Biological, Medical, and Health Sciences (1967B)  
Archived (1970B)

Research Support in the Physical Sciences (1967B)  
Archived (1970B)

Surveys and Evaluation of Environmental Radiation Hazards (1967B)  
Archived (1970B)

Training of State Personnel in AEC Regulatory Functions (1967B)  
Archived (1970B)

Transferred to Industry of AEC Generated Technology (1967B)

Deleted (1970B)

## 24.001

Access Permits (1970B)  
Transferred to 81.001 (1978B)

## 24.002

Atomic Energy Motion Picture Film Libraries (1970B)  
Nuclear Science and Technology\_Motion Picture Film Libraries (1974B)  
Motion Picture Film Libraries (1975B)

Transferred to 81.002 (1978B)

## 24.003

Granting of Patent Licenses (1970B)  
Transferred to 81.003 (1978B)

## 24.004

Nuclear Education and Training\_Faculty Research Participation (1970B)  
Nuclear Education and Training\_Faculty Research Participation\_Laboratory Cooperative Program (1973U)  
Nuclear Science and Technology\_Faculty and Student Participation\_Laboratory Cooperative Program (1974B)  
Faculty and Student Participation\_Laboratory Cooperative Program (1975B)  
Transferred to 81.004 (1978B)

## 24.005

Nuclear Education and Training\_Faculty-Student Conferences (1970B)  
Archived (1973U)

## 24.006

Nuclear Education and Training\_Faculty-Student Experiments (1970B)  
Consolidated into 24.032 (1973B)

## 24.007

Nuclear Education and Training\_Faculty Training Institutes (1970B)  
Nuclear Science and Technology\_Faculty Training Institutes and Workshops (1974B)  
Faculty Training Institutes, Short Courses, and Workshops on Energy and Environmental Subjects (1975B)  
Transferred to 81.007 (1978B)

## 24.008

Nuclear Education and Training\_Faculty Workshops (1970B)  
Consolidated into 24.032 (1973B)

## 24.009

Nuclear Education and Training\_Honors Program for Senior Science Majors (1970B)  
Incorporated into 24.019 (1973B)

## 24.010

Nuclear Education and Training\_Laboratory Graduate Fellowships (1970B)  
Nuclear Education and Training\_Laboratory Graduate Participants (1971B)  
Nuclear Education and Training\_Laboratory Graduate Participants\_Laboratory Cooperative Program (1973U)  
Incorporated into 24.004 (1974B)

## 24.011

Nuclear Education and Training\_Loan of Material

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to Nonprofit Institutions (1970B)

Nuclear Education and Training\_Material for Nonprofit Institutions (1972B)

Nuclear Science and Technology\_Research Reactor Materials Assistance (1974B)

Research Reactor and Materials Assistance (1975B)

Transferred to 81.011 (1978B)

## 24.012

Nuclear Education and Training\_Medical Radioisotope Course (1970B)

Archived (1973B)

## 24.013

Nuclear Education and Training\_Mobile Radioisotope Laboratory (1970B)

Archived (1974U)

## 24.014

Nuclear Education and Training\_Nuclear Medical Technology Course (1970B)

Archived (1973B)

## 24.015

Nuclear Education and Training\_Radioisotope Techniques Training Courses (1970B)

Archived (1973B)

## 24.016

Nuclear Education and Training\_Reactor Fuel Cycle Assistance (1970B)

Incorporated into 24.011 (1974B)

## 24.017

Nuclear Education and Training\_Special Fellowships in Nuclear Science and Engineering (1970B)

Archived (1973B)

## 24.018

Nuclear Education and Training\_Special Fellowships in Radiation Science and Protection (1970B)

Nuclear Education and Training\_Special Fellowships in Radiation Protection (1971B)

Archived (1973B)

## 24.019

Nuclear Education and Training\_Summer Student Training (1970B)

Nuclear Education and Training\_Student Research Participation (1972B)

Nuclear Education and Training\_Student Research Participation\_Laboratory Cooperative Program (1973U)

Incorporated into 24.004 (1974B)

## 24.020

Nuclear Education and Training\_Traineeships for Graduate Students in Nuclear Engineering (1970B)

Archived (1973B)

Reinstated (1974B)

Nuclear Science and Technology\_Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Engineering (1974B)

Nuclear Science and Technology\_Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Sciences and Engineering (1974U)

Traineeships for Graduate Students in Nuclear Engineering, Radiation Protection, and Environmental Sciences and Engineering (1975B)

Traineeships for Graduate Students in Engineering Studies Related to Energy Conversion, Health and Safety, and Environmental Sciences and Engineering (1976B)

Transferred to 81.020 (1978B)

## 24.021

Nuclear Education and Training\_University Reactor Sharing (1970B)

Incorporated into 24.011 (1974B)

## 24.022

Nuclear Education and Training\_Used Nuclear-Type Equipment Grants (1970B)

Nuclear Science and Technology\_Used Nuclear-Type Equipment Grants (1974B)

Used Nuclear-Type Equipment Grants (1975B)

Transferred to 81.022 (1978B)

## 24.023

Nuclear Science Information (1967B)

Nuclear Science and Technology\_Literature and Information Services (1970B)

Nuclear Science and Technology\_Literature, Exhibits, and Other Information Services (1974B)

Information Services\_Exhibits, Publications, Reference, and Analysis (1975B)

Information Services\_Exhibits, Public Speakers, Publications, Reference, and Analysis (1975U)

Transferred to 81.023 (1978B)

## 24.024

Nuclear Science and Technology\_Research and Development (1969B)

Research and Development in Nuclear, Solar, Geothermal, and Advanced Energy Systems, and Physical, Biomedical, and Environmental Sciences (1975B)

Split into 24.024, 24.035 (1975B)

Transferred/Incorporated into 81.037, 81.046, 81.049 (1978B)

## 24.025

Nuclear Science Lecture Demonstration for Secondary Schools (1970B)

Archived (1973B)

## 24.026

Payments in Lieu of Property Taxes (1970B)

Transferred to 81.026 (1978B)

## 24.027

Radiation Control Training Assistance (1969B)

Radiation Control\_Training Assistance and Advisory Counseling (1970B)

Transferred to 77.001 (1975B)

## 24.028

Radiological Safety Assistance (1967B)

Radiological Emergency Assistance (1971B)

Transferred to 81.028 (1978B)

## 24.029

Uranium Industry Workshops (1970B)

Nuclear Industry Seminars (1972U)

Transferred to 81.029 (1978B)

## 24.030

Work Experience (1970B)

Transferred to 81.030 (1978B)

## 24.031

Nuclear Materials Safeguards Training (1970U)

Incorporated into 24.007 (1973B)

## 24.032

Nuclear Education and Training\_Instructional Activities (1973B)

Consolidated from 24.006, 24.008 (1973B)

Archived (1973U)

## 24.033

Nuclear Science and Technology\_Citizens' Workshops (1974B)

Citizens' Workshops (1975B)

Transferred to 81.033 (1978B)

## 24.034

Research and Development in Fossil Energy (1975B)

Transferred from 15.307 (1975B)

Transferred/Split into 81.037, 81.046 (1978B)

## 24.035

Research and Development in Energy Conservation (1975B)

Split from 24.024 (1975B)

Transferred to 81.035 (1978B)

## 24.036

Energy-Related Inventions (1976B)

Transferred to 81.036 (1978B)

## CABINET COMMITTEE ON OPPORTUNITIES FOR SPANISH-SPEAKING PEOPLE

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### 25.001

Spanish Surnamed Communities Assistance (1969B)

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Spanish Surnamed Americans Assistance (1970B)  
Spanish-Speaking Americans Assistance (1970U)  
Archived (1975B)

## **CIVIL AERONAUTICS BOARD**

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Air Transport\_Community and Consumer Services (1969B)  
Archived (1970B)

**26.001**  
Air Carrier Payments (1970B)  
Archived (1981B)

**26.002**  
Air Transportation\_Consumer Complaints (1970U)  
Air Transportation\_Consumer Affairs (1972B)  
Transferred to 20.900 (1985B)

**26.003**  
Payments for Essential Air Services (1979B)  
Transferred to 20.901 (1985B)

**26.004**  
Public Participation (1979B)  
Archived (1980B)

## **OFFICE OF PERSONNEL MANAGEMENT**

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**27.001**  
Opportunities for Federal Civil Service Employment (1967B)  
Federal Civil Service Employment (1970B)

**27.002**  
Employment Assistance for Veterans (1969B)  
Federal Employment Assistance for Veterans (1970B)

**27.003**  
Stay in School Campaign\_Youth Opportunity (1967B)  
Youth Employment (1969B)  
Federal Employment for Disadvantaged Youth\_Part-Time (1970B)  
Consolidated from 27.004 (1995B)  
Federal Student Temporary Employment Program (1996B)

**27.004**  
Youth Summer Employment (1969B)  
Federal Employment for Disadvantaged Youth\_Summer (1970B)  
Consolidated into 27.003 (1995B)

**27.005**  
Federal Employment for the Handicapped (1970B)

**27.006**  
Federal Summer Employment (1970B)

**27.007**  
Personnel Management Assistance to State and Local Governments (1970B)  
Archived (1971U)

**27.008**  
Recruiting and Staffing Assistance to State and Local Governments (1970B)  
Intergovernmental Cooperation in Recruiting and Examining (1971U)  
Archived (1984U)

**27.009**  
Training Assistance to State and Local Governments (1970B)  
Archived (1996U)

**27.010**  
State Personnel Merit Systems\_Technical Assistance (1971B)  
Transferred from 13.605 (1971B)  
State and Local Personnel Merit Systems and Other Technical Assistance (1978U)  
State and Local Merit Personnel Systems and Other Technical Assistance (1979U2)  
Archived (1981U)

**27.011**  
Intergovernmental Mobility of Federal, State, and Local Employees (1971U)

**27.012**  
Intergovernmental Personnel Grants (1971U)  
Archived (1981U)

**27.013**  
Presidential Management Intern Program (1978B)

## **COASTAL PLAINS REGIONAL COMMISSION**

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**28.001**  
Coastal Plains Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

**28.002**  
Coastal Plains Technical and Planning Assistance (1975B)  
Archived (1981U)

**28.003**  
Coastal Plains Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

**28.004**  
Coastal Plains Regional Transportation (1977U)  
Archived (1981U)

**28.005**  
Coastal Plains Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

**28.007**  
Coastal Plains Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

**28.008**  
Coastal Plains Education Demonstration Projects (1977U)  
Archived (1981U)

## **U.S. COMMISSION ON CIVIL RIGHTS**

---

Job Discrimination\_Reports (1969B)  
Archived (1970B)

**29.001**  
Civil Rights (1967B)  
Civil Rights Compliance and Information (1969B)  
Clearinghouse Services and Civil Rights Complaints (1970B)  
Clearinghouse Services, Civil Rights and Sex Discrimination Complaints (1973B)  
Clearinghouse Services, Civil Rights Discrimination Complaints (1981B)

## **EQUAL EMPLOYMENT OPPORTUNITY COMMISSION**

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Affirmative Action Program\_Equal Employment Opportunity (1967B)  
Archived (1970B)

Equal Employment Opportunity Grants (1967B)  
Archived (1970B)

Job Discrimination\_Reports (1969B)  
Archived (1970B)

**30.001**  
Job Discrimination\_Investigation and Conciliation of Complaints (1969B)  
Employment Discrimination\_Investigation, Conciliation and Litigation of Unlawful Employment Practices (1975B)  
Employment Discrimination\_Settlement, Investigation, Conciliation and Litigation of Unlawful Employment Practices (1978B)  
Employment Discrimination\_Title VII of the Civil Rights Act of 1964 (1986B)

**30.002**  
Job Discrimination\_Special Project Grants (1969B)  
Employment Discrimination\_Special Project Grants and Contracts (1975B)  
Employment Discrimination\_Special Project Contracts (1976B)  
Employment Discrimination\_State and Local

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Anti-Discrimination Agency Contracts (1976U)  
Employment Discrimination\_State and Local Fair  
Employment Practices Agency Contracts (1992B)  
Archived (2010)

## 30.003

Job Discrimination\_Technical Assistance to  
Employers, Unions, and Employment Agencies  
(1969B)

Job Discrimination\_Technical Assistance (1973B)  
Employment Discrimination\_Technical Assistance  
(1975B)  
Archived (1978B)

## 30.004

Employment Discrimination\_Program for the  
Development of the Private Bar (1975U)  
Archived (1977B)

## 30.005

Employment Discrimination\_Project Grants and  
Demonstration Grants (1978B)  
Employment Discrimination\_Private Bar Project  
and Demonstration Contracts (1979U2)  
Employment Discrimination\_Private Bar Program  
(1981U)

## 30.006

Employment Discrimination\_Voluntary  
Compliance by Public Employers (1978U)  
Employment Discrimination\_Voluntary  
Compliance by Non-Federal Public Employers  
(1979U2)  
Employment Discrimination\_Compliance Program  
for Non-Federal Public Employers (1980U1)  
Archived (1982B)

## 30.007

Employment Discrimination Project Grants\_Tribal  
Native Americans (1978U)  
Archived (1979U2)

## 30.008

Employment Discrimination\_Age Discrimination in  
Employment (1979U1)  
Transferred from 17.300 (1979U1)  
Consolidated from 30.012 (1995U)

## 30.009

Employment Discrimination Project  
Contracts\_Indian Tribes (1979U2)  
Archived (2010)

## 30.010

Employment Discrimination\_Equal Pay Act  
(1979U2)  
Transferred/Split from 17.303 (1979U2)  
Consolidated from 30.012 (1995U)  
Women's Bureau (2004)  
Employment Discrimination Equal Pay Act (2005)  
Employment Discrimination Equal Pay Act (2005)

## 30.011

Employment Discrimination\_Title I of The  
Americans with Disabilities Act, Investigations  
(1992B)  
Employment Discrimination\_Title I of The  
Americans with Disabilities Act (1995B)  
Consolidated from 30.012 (1995U)

## 30.012

Employment Discrimination\_Title I of The  
Americans with Disabilities Act, Technical  
Assistance (1992B)  
Consolidated into 30.008, 30.010, 30.011 (1995U)

## 30.013

Employment Discrimination-Title II of the Genetic  
Information Nondiscrimination Act of 2008 (2011)

## EXPORT - IMPORT BANK OF THE UNITED STATES

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### 31.001

Medium-Term Guarantees to Commercial Banks  
(1970B)  
Split into 31.002, 31.004, 31.005 (1971B)

### 31.002

Commercial Bank Export Credit Loans (1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

### 31.003

Export Credit Information Service for U.S.  
Commercial Banks (1971B)  
Archived (1973B)

### 31.004

Export Financing\_Direct Loans and Participation  
Financing (1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

### 31.005

Export Financing\_Guarantees and Insurance  
(1971B)  
Split from 31.001 (1971B)  
Archived (1973B)

### 31.006

Export Financing\_Preliminary Commitments  
(1971B)  
Archived (1973B)

### 31.007

Export - Loan Guarantee/Insured Loans (2009)

## FEDERAL COMMUNICATIONS COMMISSION

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### 32.001

Communications\_Information, Regulation, and  
Investigation of Complaints (1969B)

Communications\_Information and Investigation of  
Complaints (1972B)  
Communications Information and Assistance and  
Investigation of Complaints (1983U)

## FEDERAL MARITIME COMMISSION

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### 33.001

Shipping\_Investigation of Complaints (1969B)  
Shipping Investigation of Complaints (1997B)  
Shipping\_Dispute Resolution and Investigation of  
Complaints (2006)

## FEDERAL MEDIATION AND CONCILIATION SERVICE

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### 34.001

Labor Mediation and Conciliation (1969B)

### 34.002

Labor-Management Cooperation (1982B)  
Archived (1992B)  
Labor Management Cooperation (1993B)  
Deleted Program no longer funded (2008)

## FEDERAL POWER COMMISSION

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Fish Protection (1967B)  
Archived (1969B)

Flood Control (1967B)  
Archived (1969B)

Forestry, Tree Planting (1967B)  
Archived (1969B)

Recreation Resource Development (1967B)  
Archived (1969B)

Water Conservation Assistance (1967B)  
Archived (1969B)

Water Pollution Assistance (1967B)  
Archived (1969B)

### 35.001

Water Resources Development (1967B)  
Archived (1973B)

### 35.002

Beautification of Hydroelectric Projects (1967B)  
Wholesale Electric Power Service (1969B)  
Archived (1973B)

### 35.003

Wholesale Natural Gas Service (1967B)  
Archived (1973B)

## FEDERAL TRADE COMMISSION

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### 36.001

Consumer and Small Business Protection (1967B)  
Consumer and Business Protection (1970B)

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Fair Competition Counseling and Investigation of Complaints (1972B)

## **36.002**

Public Rulemaking Participation (1976B)  
Archived (1981U)

## **FOREIGN CLAIMS SETTLEMENT COMMISSION OF THE UNITED STATES**

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### **37.001**

Claims Against the Government of Bulgaria (1970B)  
Archived (1971B)

### **37.002**

Claims Against the Government of Italy (1970B)  
Archived (1971B)

### **37.003**

Claims Against the Government of Rumania (1970B)  
Archived (1971B)

### **37.004**

Claims of Civilian American Citizens Interned in Southeast Asia (1970U)  
Archived (1972B)

### **37.005**

Claims of Prisoners of War in Vietnam (1970U)  
Archived (1982B)

### **37.006**

Claims of Civilian Internees in Vietnam (1973U)  
Archived (1978B)

### **37.007**

Second Hungarian Claims Program (1975B)  
Archived (1977U)

### **37.008**

German Democratic Republic Claims Program (1977U)  
Archived (1981B)

### **37.009**

Second China Claims Program (1979U1)  
Archived (1981U)

### **37.010**

Vietnam Claims Program (1981B)  
Archived (1986B)

### **37.011**

Second Czechoslovakian Claims Program (1982B)  
Archived (1985B)

### **37.012**

Ethiopian Claims Program (1986U)

Archived (1987U)

## **FOUR CORNERS REGIONAL COMMISSION**

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### **38.001**

Four Corners Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

### **38.002**

Four Corners Technical and Planning Assistance (1975B)  
Archived (1981U)

### **38.003**

Four Corners Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

### **38.004**

Four Corners Regional Transportation (1977U)  
Archived (1981U)

### **38.005**

Four Corners Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### **38.007**

Four Corners Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

## **GENERAL SERVICES ADMINISTRATION**

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Payments to Small Lead and Zinc Mines (1967B)  
Archived (1969B)

### **39.001**

Non-Military Procurement from Labor Surplus and Redevelopment Areas (1967B)  
Counseling on Doing Business with the Government (1969B)  
Business Services (1970B)

### **39.002**

Disposal of Federal Surplus Real Property (1965B)

### **39.003**

Donation of Federal Surplus Personal Property (1965B)

### **39.004**

National Archives Reference Services (1969B)  
Transferred to 89.001 (1985B)

### **39.005**

Audiovisual Support Services (1969B)

National Audiovisual Center (1970B)  
Transferred to 89.002 (1985B)

### **39.006**

National Historical Sources Grants (1969B)  
National Historical Publications Grants (1971B)  
National Historical Publications and Records Grants (1976B)  
Transferred to 89.003 (1985B)

### **39.007**

Sale of Federal Surplus Personal Property (1965B)

### **39.008**

Federal Information Center (1971B)  
Consolidated into 39.009 (2000B)

### **39.009**

Consumer Product Information Index (1972B)  
Consumer Product Information Center (1973B)  
Consumer Information Center (1974B)  
Federal Consumer Information Center, Consolidated from 39.008 (2000B)  
Federal Citizen Information Center (2003B)  
Archived (2010)

### **39.010**

Continuity of Government and Management of Resources in Emergencies (1973U)  
Transferred from 50.001 (1973U)  
Archived (1976B)  
Reinstated (1980B)  
State Participation in Federal Telpaks (1980B)  
Archived (1980U2)

### **39.012**

Public Buildings Service (2008)

## **GOVERNMENT PRINTING OFFICE**

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### **40.001**

Government Publications\_Depository Library Distribution (1969B)  
Depository Libraries for Government Publications (1970B)  
Depository Libraries for Government Publications (2004)

### **40.002**

Government Publications\_Sales to the Public (1969B)  
Government Publications\_Sales and Distribution (1970B)  
Government Publications Sales and Distribution (1992B)  
Government Publications Sales and Distribution (2004)

## **INTERSTATE COMMERCE COMMISSION**

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### **41.001**

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Federal-State Highway Transportation Cooperative Economic Law Enforcement Agreements (1967B)  
Interstate Commerce\_Cooperative Enforcement Agreements with States (1969B)  
Archived (1995B)

## 41.002

Interstate Commerce\_Investigation of Complaints (1969B)  
Archived (1996B)

## **LIBRARY OF CONGRESS**

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### 42.001

Talking Book Services Program (1965B)  
Books and Talking Books for the Blind and the Physically Handicapped (1967B)  
Books for the Blind and Physically Handicapped (1969B)  
Books for the Blind and Physically Handicapped (2005)

### 42.002

Copyright Service (1969B)

### 42.003

Distribution of Library of Congress Catalog Cards (1969B)  
Distribution of Library of Congress Cataloging (1976B)  
Deleted (2005)

### 42.004

Library of Congress Photoduplication Service (1969B)  
Archived (1978U)

### 42.005

Library of Congress Publications (1967B)

### 42.006

Library of Congress Reference and Bibliographic Services (1969B)  
Library of Congress Research and Reader Services (1977B)  
Library of Congress Research Services (1979U2)  
Library of Congress Constituent and Collection Services (1990B)  
Library of Congress\_Library Services (1996B)  
Deleted (2005)

### 42.007

Research and Referral Services in Science and Technology (1969B)  
Reference and Referral Services in Science and Technology (1977B)  
Reference Services in Science and Technology (1981B)  
Reference Services in Science, Technology and Business (2000B)  
Deleted (2005)

### 42.008

Reference and Consultation Services in Preservation, Restoration, and Protection of Library Materials (1971B)  
Archived (1978U)  
Semiconductor Chip Protection Service (1987B)

### 42.009

Vessel Hull Design Protection Service (2004)

## **NATIONAL AERONAUTICS AND SPACE ADMINISTRATION**

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Assistance for University Research and Training Activities (1969B)  
Archived (1970B)

### 43.001

Space and Aeronautics Education and Information Services (1969B)  
Space Science Education Project (1970B)  
Aerospace Education Services Project (1977B)  
Aerospace Education Services Program (1991U)  
Science (2010)

### 43.002

Technology Utilization (1967B)  
Transferred to Private Sector of Aerospace Technology (1969B)  
Technology Utilization (1970B)  
Technology Transfer (1978U)  
Technology Utilization (1984B)  
Technology Transfer (1993U)  
Aeronautics (2010)

### 43.003

Exploration (2010)

### 43.004

Aeronautics, Recovery Act (2009)

### 43.005

Exploration, Recovery Act (2009)

### 43.006

Science, Recovery Act (2009)

### 43.007

Space Operations (2010)

### 43.008

Education (2010)

### 43.009

Cross Agency Support (2010)

### 43.010

Construction & Environmental Compliance & Remediation (2010)

### 43.011

Office of Inspector General (2010)

## **NATIONAL CREDIT UNION ADMINISTRATION**

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### 44.001

Federal Credit Union Charter, Examination, and Supervision (1970B)  
Credit Union Charter, Examination, Supervision, and Insurance (1971B)

### 44.002

Community Development Credit Union Revolving Loan Fund  
Number changed from 13.794 (1987B)  
Community Development Revolving Loan Program for Credit Unions (1988B)  
Community Development Revolving Loan Fund Program for Credit Unions (2005)  
Community Development Revolving Loan Fund Program for Credit Unions (2005)

## **FEDERAL COUNCIL ON THE ARTS AND THE HUMANITIES**

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### 45.201

Arts and Artifacts Idemnity (1976U)

## **INSTITUTE OF MUSEUM AND LIBRARY SERVICES**

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### 45.301

Institute of Museum Services (1982B)  
Transferred from 84.115 (1982B)  
Institute of Museum and Library Services (1997B)  
Split into 45.302, 45.303, 45.304, 45.305, 45.306 (1998B)  
Institute of Museum and Library Services\_General Operating Support (1998B)  
Institute of Museum and Library Services (2000B)  
Museum for America Grants (2004)  
Museums for America (2006)

### 45.302

Museum Assessment Program  
Split from 45.301 (1998B)

### 45.303

Conservation Project Support  
Split from 45.301 (1998B)

### 45.304

Conservation Assessment Program  
Split from 45.301 (1998B)

### 45.305

Professional Services Program  
Split from 45.301 (1998B)  
Consolidated into 45.312 (2001B)

### 45.306

Museum Leadership Initiatives  
Split from 45.301 (1998B)



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Consolidated into 45.312 (2001B)

## 45.307

21st Century Museum Professionals (2005)

## 45.308

Native American/Native Hawaiian Museum Services Program (2005)

## 45.309

Museum Grants for African American History and Culture (2006)

## 45.310

State Library Program (1998B)  
Grants to States (2006)

## 45.311

Native American Library Services (1998B)  
Native American and Native Hawaiian Library Services (2004)

## 45.312

Institute of Museum and Library Services\_National Leadership Grants (1998B)  
National Leadership Grants (2004)

## 45.313

Institute of Museum and Library Services\_Recruiting and Educating Librarians for the 21st Century (2003B)  
Librarians for the 21st Century (2004)  
Librarians for the 21st Century (2004)  
Laura Bush 21st Century Librarian Program (2006)

## NATIONAL ENDOWMENT FOR THE ARTS

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Grants for Progress in the Arts (1967B)  
Split into 45.001 - 45.009 (1970B)

Progress in the Humanities (1969B)  
Split into 45.100 - 45.106 (1970B)

## 45.001

Promotion of the Arts\_Architecture and Design (1970B)  
Promotion of the Arts\_Architecture and Environmental Arts (1971U)  
Promotion of the Arts\_Architecture, Planning, and Design (1978B)  
Promotion of the Arts\_Design Arts (1979U2)  
Consolidated into 45.024 (1996B)

## 45.002

Promotion of the Arts\_Dance (1970B)  
Consolidated into 45.024 (1996B)

## 45.003

Promotion of the Arts\_Education (1970B)  
Promotion of the Arts\_Artists-in-Schools (1979U2)

Promotion of the Arts\_Artists-in-Education (1981B)

Promotion of the Arts\_Arts in Education (1986U)  
Consolidated into 45.024, 45.025 (1996B)

## 45.004

Promotion of the Arts\_Literature (1970B)  
Consolidated into 45.024 (1996B)

## 45.005

Promotion of the Arts\_Music (1970B)  
Split into 45.005, 45.014 (1978U)  
Consolidated into 45.024 (1996B)

## 45.006

Promotion of the Arts\_Public Media (1970B)  
Promotion of the Arts\_Media Arts: Film/Radio/Television (1977B)  
Consolidated into 45.024 (1996B)

## 45.007

Promotion of the Arts\_State and Community Operations (1970B)  
Promotion of the Arts\_Federal-State Partnership (1973B)  
Promotion of the Arts\_State Program/Partnership Coordination (1980B)  
Promotion of the Arts\_State Programs/Partnership Coordination (1982B)  
Promotion of the Arts\_Public Partnership (1983B)  
Promotion of the Arts\_State Programs (1984B)  
Promotion of the Arts\_States Program (1989U)  
Promotion of the Arts\_State and Regional Program (1992B)  
Consolidated into 45.025 (1996B)

## 45.008

Promotion of the Arts\_Theatre (1970B)  
Promotion of the Arts\_Theater (1984B)  
Consolidated into 45.024 (1996B)

## 45.009

Promotion of the Arts\_Visual Arts (1970B)  
Consolidated into 45.024 (1996B)

## 45.010

Promotion of the Arts\_Expansion Arts (1971U)  
Consolidated into 45.024, 45.025 (1996B)

## 45.011

Promotion of the Arts\_Special Projects (1972B)  
Split into 45.011, 45.015 (1978U)  
Promotion of the Arts\_Internship (Special Projects) (1978U)  
Promotion of the Arts\_Special Projects (1979B)  
Split into 45.011, 45.020 (1980B)  
Promotion of the Arts\_Inter-Arts (1980U1)  
Promotion of the Arts\_Presenting and Commissioning (1992B)  
Promotion of the Arts\_Presenting (1995B)

Consolidated into 45.024, 45.025 (1996B)

## 45.012

Promotion of the Arts\_Museums (1972B)  
Consolidated into 45.024 (1996B)

## 45.013

Promotion of the Arts\_Challenge Grants (1977U)  
Split into 45.013, 45.022 (1983B)  
Consolidated into 45.024 (1996B)

## 45.014

Promotion of the Arts\_Opera and Musical Theatre (1978U)  
Split from 45.005 (1978U)  
Number changed to 45.015 (1979U2)  
Promotion of the Arts\_Folk Arts (1980B)  
Promotion of the Arts\_Opera and Musical Theatre (1980U1)  
Promotion of the Arts\_Opera and Musical Theater (1984B)  
Promotion of the Arts\_Opera-Musical Theater (1987B)  
Consolidated into 45.024 (1996B)

## 45.015

Promotion of the Arts\_Folk Arts (1978U)  
Split from 45.011 (1978U)  
Number changed to 45.014 (1979U2)  
Promotion of the Arts\_Opera and Musical Theatre (1980B)  
Promotion of the Arts\_Folk Arts (1980U1)  
Promotion of the Arts\_Folk and Traditional Arts (1995B)  
Consolidated into 45.024, 45.025 (1996B)

## 45.020

Promotion of the Arts\_National Endowment Fellowship Program (1980B)  
Split from 45.011 (1980B)  
Number changed to 45.021 (1980B)

## 45.021

Promotion of the Arts\_Policy, Planning and Research (1983B)  
Number changed from 45.020 (1983B)  
Promotion of the Arts\_Fellowship Program for Arts Management (1984B)  
Promotion of the Arts\_Arts Management Fellowship Program (1985)  
Promotion of the Arts\_Arts Administration Fellows Program (1987U)  
Archived (1996B)

## 45.022

Promotion of the Arts\_Advancement Grants  
Split from 45.013 (1983B)  
Consolidated into 45.024 (1996B)

## 45.023

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Promotion of the Arts\_Test Program of Support for Local Arts Agencies (1983U)

Promotion of the Arts\_Locals Program (1989U)

Promotion of the Arts\_Local Arts Agencies Program (1992U)

Consolidated into 45.024, 45.025 (1996B)

## 45.024

Promotion of the Arts\_Grants to Organizations and Individuals

Consolidated from 45.001 - 45.006, 45.008 - 45.015, 45.022, 45.023 (1996B)

## 45.025

Promotion of the Arts\_Partnership Agreements

Consolidated from 45.003, 45.007, 45.010, 45.011, 45.015, 45.023 (1996B)

## 45.026

Promotion of the Arts\_Leadership Initiatives (1996B)

Deleted (2004)

## 45.027

Promotion of the Arts\_Challenge America Grants (2001B)

Deleted (2003)

## NATIONAL ENDOWMENT FOR THE HUMANITIES

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Consolidated into program 45.024 (2003B)

## 45.100

Promotion of the Humanities\_Afro-American Fellowships (1970B)

Number changed to 45.107 (1970U)

## 45.101

Promotion of the Humanities\_Education (1970B)

Archived (1971U)

## 45.102

Promotion of the Humanities\_Fellowships and Summer Stipends for Younger Humanists (1970B)

Consolidated into 45.118, 45.121 (1974U)

## 45.103

Promotion of the Humanities\_Fellowships\_Faculty Development Grants (1970B)

Incorporated into 45.101 (1971B)

## 45.104

Promotion of the Humanities\_Public Programs (1970B)

Promotion of the Humanities\_Film/TV Grants (1973B)

Promotion of the Humanities\_Media Grants (1974B)

Promotion of the Humanities\_Media Humanities Projects (1980B)

Promotion of the Humanities\_Humanities Projects in Media (1983U)

Consolidated into 45.164 (1996B)

## 45.105

Promotion of the Humanities\_Research and Publication (1970B)

Promotion of the Humanities\_Research Grants (1971U)

Promotion of the Humanities\_Research Grants for Junior College Teachers (1974U)

Promotion of the Humanities\_General Research Program (1976B)

Split into 45.140, 45.141 (1979U1)

## 45.106

Promotion of the Humanities\_Senior Fellowships (1970B)

Consolidated into 45.118 (1974U)

## 45.107

Promotion of the Humanities\_Fellowships for Guided Study in Selected Fields (1970U)

Number changed from 45.100 (1970U)

Promotion of the Humanities\_Fellowships in Selected Fields (1973B)

Consolidated into 45.118, 45.119 (1974U)

## 45.108

Promotion of the Humanities\_Fellowships for Junior College Teachers (1970U)

Promotion of the Humanities\_Fellowships and Summer Stipends for Junior College Teachers (1973B)

Consolidated into 45.118, 45.119, 45.121 (1974U)

## 45.109

Promotion of the Humanities\_Fellowships for the Professions (1971U)

Promotion of the Humanities\_Fellowships and Stipends for the Professions (1976B)

Split into 45.109, 45.134 (1978B)

Promotion of the Humanities\_Fellowships for Journalists (1982B)

Archived (1983B)

## 45.110

Promotion of the Humanities\_Education Planning and Development (1971U)

Promotion of the Humanities\_Education Planning, Program, and Development (1973B)

Promotion of the Humanities\_Education Pilot, Program, and Development (1976B)

Promotion of the Humanities\_Education Pilot and Development Grants (1976U)

Split into 45.138, 45.139 (1979B)

## 45.111

Promotion of the Humanities\_Education Projects (1971U)

Promotion of the Humanities\_Higher Education

Projects (1976U)

Split into 45.111, 45.127 (1976U)

Promotion of the Humanities\_Higher Education/Regional and National Grants (1979U2)

Promotion of the Humanities\_Exemplary Projects, Nontraditional Programs, and Teaching Materials (1983B)

Promotion of the Humanities\_Exemplary Projects in Undergraduate and Graduate Education and Nontraditional Programs and Teaching Materials (1983U)

Promotion of the Humanities\_Exemplary Projects and Humanities Programs for Nontraditional Learners (1984B)

Consolidated into 45.150 (1987U)

## 45.112

Promotion of the Humanities\_Museum Personnel Development (1971U)

Consolidated into 45.125 (1976B)

## 45.113

Promotion of the Humanities\_Regional Projects (1971U)

Promotion of the Humanities\_Special Projects (1973B)

Promotion of the Humanities\_Program Development (1974U)

Promotion of the Humanities\_Public Program Development (1975U)

Promotion of the Humanities\_Program Development (1979B)

Promotion of the Humanities\_Special Projects: Program Development (1983U)

Promotion of the Humanities\_Special Projects: Humanities Programs for Adults (1984B)

Promotion of the Humanities\_Humanities Projects for Adults (1985B)

Promotion of the Humanities\_Public Humanities Projects (1986B)

Promotion of the Humanities\_Special Projects (1994U)

Consolidated into 45.164 (1996B)

## 45.114

Promotion of the Humanities\_Interpretive Museum Exhibitions (1972U)

Promotion of the Humanities\_Interpretive Museum Exhibitions and Community Education Programs (1974B)

Promotion of the Humanities\_Interpretive Exhibitions and Community Education Programs (1974U)

Consolidated into 45.125 (1976B)

## 45.115

Promotion of the Humanities\_Youth Grants in the Humanities (1972U)

Promotion of the Humanities\_Youth Programs (1976U)

Promotion of the Humanities\_Youthgrants (1978B)

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Split into 45.115, 45.135 (1978B)

Promotion of the Humanities\_Youth Grants (1983B)

Promotion of the Humanities\_Special Projects: Younger Scholars (1983U)

Promotion of the Humanities\_Special Projects: Humanities Programs for Youth/Younger Scholars (1984B)

Promotion of the Humanities\_Humanities Projects for Youth/Younger Scholars (1985B)

Promotion of the Humanities\_Younger Scholars (1985U)

Archived (1995B)

## 45.116

Promotion of the Humanities\_Summer Seminars for College Teachers (1973U)

Consolidated into 45.163 (1996B)

## 45.117

Promotion of the Humanities\_Cultural Institutions (1974U)

Incorporated/Split into 45.125, 45.137 (1979B)

Reinstated/Split from 45.125, 45.137 (1979U1)

Incorporated/Split into 45.125, 45.137 (1980B)

## 45.118

Promotion of the Humanities\_Fellowships for Independent Study and Research (1974U)

Consolidated from 45.102, 45.106, 45.107, 45.108 (1974U)

Consolidated into 45.136 (1978U)

## 45.119

Promotion of the Humanities\_Fellowships in Residence for College Teachers (1974U)

Consolidated from 45.107, 45.108 (1974U)

Consolidated into 45.136 (1978U)

## 45.120

Promotion of the Humanities\_National Humanities Institutes (1974U)

Promotion of the Humanities\_Humanities Institutes (1976U)

Incorporated into 45.111 (1979B)

## 45.121

Promotion of the Humanities\_Summer Stipends (1974U)

Consolidated from 45.102, 45.108 (1974U)

Consolidated from 45.152 (1992U)

Consolidated into 45.160 (1996B)

## 45.122

Promotion of the Humanities\_Fellowships at Centers for Advanced Study (1975B)

Promotion of the Humanities\_Regrants/Centers for Advanced Study (1985U)

Promotion of the Humanities\_Centers for Advanced Study (1990B)

Promotion of the Humanities\_Institutional

Programs and Resources (1994U)

Promotion of the Humanities\_Institutional Programs (1995U)

Consolidated into 45.161 (1996B)

## 45.123

Promotion of the Humanities\_National Board of Consultants (1975B)

Promotion of the Humanities\_Consultant Grant Program (1978U)

Consolidated into 45.150 (1983B)

## 45.124

Promotion of the Humanities\_Centers of Research (1976B)

Promotion of the Humanities\_Research Collections: Development, Access and Use (1977B)

Promotion of the Humanities\_Research Collections (1978U)

Promotion of the Humanities\_Research Resources (1979U2)

Promotion of the Humanities\_Research Resource, Organization and Improvement Grants (1980U2)

Promotion of the Humanities\_Research Resources (1981B)

Promotion of the Humanities\_Research Resources\_Organization and Improvement Grants (1982B)

Promotion of the Humanities\_Research Resources/Access Grants (1983U)

Promotion of the Humanities\_Reference Works/Access Grants (1985B)

Promotion of the Humanities\_Reference Materials/Access Grants (1985U)

Promotion of the Humanities\_Reference Materials/Guides (1991U)

Consolidated into 45.145 (1992B)

## 45.125

Promotion of the Humanities\_Interpretive Museum Exhibitions and Interpretive Programs (1976B)

Consolidated from 45.112, 45.114 (1976B)

Promotion of the Humanities\_Museums and Historical Organizations Program (1977B)

Promotion of the Humanities\_Museums and Historical Organizations Humanities Projects (1980B)

Promotion of the Humanities\_Humanities Projects in Museums and Historical Organizations (1981B)

Consolidated into 45.164 (1996B)

## 45.126

Promotion of the Humanities\_Research Materials (1976B)

Split into 45.145, 45.146, 45.147 (1980B)

## 45.127

Promotion of the Humanities\_Elementary and Secondary Education Program (1976U)

Split from 45.111 (1976U)

Promotion of the Humanities\_Instruction in Elementary and Secondary Schools (1983B)

Promotion of the Humanities\_Humanities Instruction in Elementary and Secondary Schools (1984B)

Consolidated from 45.155 (1994U)

Consolidated into 45.162, 45.163 (1996B)

## 45.128

Promotion of the Humanities\_Planning and Analysis (1977B)

Promotion of the Humanities\_Planning and Assessment Studies (1977U)

Split into 45.128, 45.131, 45.133 (1977U)

Promotion of the Humanities\_Planning and Assessment Studies Program (1980B)

Promotion of the Humanities\_Humanities Studies Program (1984U)

Archived (1985U)

## 45.129

Promotion of the Humanities\_State-Based Program (1977B)

Promotion of the Humanities\_State Programs (1977U)

Promotion of the Humanities\_Federal-State Partnership (1995B)

Promotion of the Humanities\_Federal/State Partnership (1997B)

## 45.130

Promotion of the Humanities\_Challenge Grant Program (1977U)

Promotion of the Humanities\_Challenge Grants Program (1980U2)

Promotion of the Humanities\_Challenge Grants (1987B)

## 45.131

Promotion of the Humanities\_Special Projects (1977U)

Split from 45.128 (1977U)

Archived (1981U)

## 45.132

Promotion of the Humanities\_Research Publications (1977U)

Promotion of the Humanities\_Research Materials: Publications (1980B)

Promotion of the Humanities\_Research Resources/Publications (1983U)

Promotion of the Humanities\_Basic Research/Publications (1985B)

Promotion of the Humanities\_Texts/Publication Subvention (1985U)

Promotion of the Humanities\_Publication Subvention (1992B)

Promotion of the Humanities\_Subventions (1992U)

Promotion of the Humanities\_Scholarly Publications (1993U)

Consolidated from 45.146, 45.147 (1993U)

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Consolidated into 45.161 (1996B)

## 45.133

Promotion of the Humanities\_Science, Technology and Human Values (1977U)

Split from 45.128 (1977U)

Promotion of the Humanities\_Humanities, Science, and Technology (1983B)

Promotion of the Humanities\_Basic Research/Humanities, Science and Technology (1984B)

Promotion of the Humanities\_Interpretive Research/Humanities, Science and Technology (1985U)

Promotion of the Humanities\_Interpretive Research/Humanities, Science, and Technology (1992B)

Consolidated into 45.140 (1993U)

## 45.134

Promotion of the Humanities\_Research Development (1978B)

Split from 45.109 (1978B)

Promotion of the Humanities\_Research Conferences (1979B)

Promotion of the Humanities\_Basic Research/Research Conferences (1984B)

Promotion of the Humanities\_Regrants/Research Conferences (1985U)

Promotion of the Humanities\_Regrants Conferences (1986U)

Promotion of the Humanities\_Regrants/Conferences (1987B)

Promotion of the Humanities\_Conferences (1990B)

Consolidated into 45.140 (1993U)

## 45.135

Promotion of the Humanities\_NEH Youth Projects (1978B)

Split from 45.115 (1978B)

Promotion of the Humanities\_Youth Projects (1979U1)

Promotion of the Humanities\_Special Projects: Humanities Programs for Youth/Youth Projects (1984B)

Promotion of the Humanities\_Humanities Projects for Youth/Youth Projects (1985B)

Promotion of the Humanities\_Humanities Projects for Youth (1985U)

Promotion of the Humanities\_Projects for Youth, Incorporated into 45.104, 45.125, 45.133, 45.137 (1986B)

## 45.136

Promotion of the Humanities\_NEH Fellowships, Categories A, B, and C (1978U)

Consolidated from 45.118, 45.119 (1978U)

Promotion of the Humanities\_Category A, B, and C (1979U1)

Split into 45.142, 45.143, 45.144 (1980B)

## 45.137

Promotion of the Humanities\_Public Library Program (1979B)

Split from 45.117 (1979B)

Promotion of the Humanities\_Division of Public Programs, Libraries Humanities Projects (1979U2)

Promotion of the Humanities\_Division of Public Programs, Humanities Projects in Libraries (1982B)

Promotion of the Humanities\_Humanities Projects in Libraries (1983B)

Promotion of the Humanities\_Special Projects: Humanities Projects in Libraries (1984B)

Promotion of the Humanities\_Humanities Projects in Libraries (1985B)

Promotion of the Humanities\_Humanities Projects in Libraries and Archives (1988B)

Consolidated into 45.164 (1996B)

## 45.138

Promotion of the Humanities\_Higher Education Pilot Grants (1979B)

Split from 45.110 (1979B)

Promotion of the Humanities\_Education Pilot Grants (1979U1)

Consolidated into 45.150 (1983B)

## 45.139

Promotion of the Humanities\_Higher Education Development Grants (1979B)

Split from 45.110 (1979B)

Promotion of the Humanities\_Education Development Grants (1979U1)

Promotion of the Humanities\_Education Implementation Grants (1979U2)

Consolidated into 45.150 (1983B)

## 45.140

Promotion of the Humanities\_Basic Research (1979U1)

Split from 45.105 (1979U1)

Split into 45.140, 45.148 (1980U2)

Promotion of the Humanities\_Project Research (1983U)

Promotion of the Humanities\_Basic Research/Project Research (1984B)

Promotion of the Humanities\_Interpretive Research/Projects (1985U)

Promotion of the Humanities\_Interpretive Research/Collaborative Projects (1990U)

Promotion of the Humanities\_Interpretive Research Program (1993B)

Consolidated from 45.133, 45.134 (1993U)

Consolidated into 45.161 (1996B)

## 45.141

Promotion of the Humanities\_Regional and Local History (1979U1)

Split from 45.105 (1979U1)

Promotion of the Humanities\_State, Local, and Regional Studies (1979U2)

Promotion of the Humanities\_Regional Studies (1983B)

Incorporated into 45.140 (1983U)

## 45.142

Promotion of the Humanities\_Fellowships for Independent Study and Research (1980B)

Split from 45.136 (1980B)

Promotion of the Humanities\_Fellowships for University Teachers (1986B)

Consolidated into 45.160 (1996B)

## 45.143

Promotion of the Humanities\_Fellowships for College Teachers (1980B)

Split from 45.136 (1980B)

Promotion of the Humanities\_Fellowships for College Teachers (1985U)

Promotion of the Humanities\_Fellowships for College Teachers and Independent Scholars (1986B)

Consolidated into 45.160 (1996B)

## 45.144

Promotion of the Humanities\_Residential Fellowships for College Teachers (1980B)

Split from 45.136 (1980B)

Archived (1982B)

## 45.145

Promotion of the Humanities\_Research Materials: Tools and Reference Works (1980B)

Split from 45.126 (1980B)

Promotion of the Humanities\_Research Materials/Tools and Reference Works (1980U2)

Promotion of the Humanities\_Reference Works/Tools (1983U)

Promotion of the Humanities\_Reference Materials/Tools (1985U)

Promotion of the Humanities\_Reference Materials (1992B)

Consolidated from 45.124 (1992B)

Consolidated into 45.149 (1996B)

## 45.146

Promotion of the Humanities\_Research Materials: Editions (1980B)

Split from 45.126 (1980B)

Promotion of the Humanities\_Research Materials/Editions (1980U1)

Promotion of the Humanities\_Reference Works/Editions (1983U)

Promotion of the Humanities\_Texts/Editions (1985U)

Promotion of the Humanities\_Editions (1992B)

Consolidated into 45.132 (1993U)

## 45.147

Promotion of the Humanities\_Research Materials: Translations (1980B)

Split from 45.126 (1980B)

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Promotion of the Humanities_Research Materials/Translations (1980U2)	(1990B) Archived (1992B)	Promotion of the Humanities_Teaching and Learning Resources and Curriculum Development (2004)
Promotion of the Humanities_Reference Works/Translations (1983U)	<b>45.154</b>	<b>45.163</b>
Promotion of the Humanities_Texts/Translations (1985U)	NEH/Reader's Digest Teacher-Scholar Program (1988B)	Promotion of the Humanities_Seminars and Institutes
Promotion of the Humanities_Translations (1992B)	NEH Teacher-Scholar Program (1991B)	Consolidated from 45.116, 45.127, 45.150, 45.151 (1996B)
Consolidated into 45.132 (1993U)	Promotion of the Humanities_NEH Teacher-Scholar Program (1991U)	Promotion of the Humanities_Professional Development (2004)
<b>45.148</b>	Promotion of the Humanities_NEH/Reader's Digest Teacher-Scholar Program (1992B)	<b>45.164</b>
Promotion of the Humanities_Intercultural Research (1980U2)	Promotion of the Humanities_NEH/Teacher-Scholar Program (1993U)	Promotion of the Humanities_Public Programs
Split from 45.140 (1980U2)	Archived (1994U)	Consolidated from 45.104, 45.113, 45.125, 45.137 (1996B)
Promotion of the Humanities_Intercultural Research Program (1981U)	<b>45.155</b>	<b>45.166</b>
Promotion of the Humanities_Basic Research/Intercultural Research Program (1984B)	Foreign Language Education (1991B)	Promotion of the Humanities_Extending the Reach Grants to Underserved Areas (2000B)
Promotion of the Humanities_Research in Selected Areas/ Intercultural Research Program (1985B)	Promotion of the Humanities_Foreign Language Education (1991U)	Consolidated into programs 45.164 and 45.149 (2003B)
Promotion of the Humanities_Regrants Program/International Research (1985U)	Consolidated into 45.127, 45.150 (1994U)	Deleted (2003)
Promotion of the Humanities_International Research (1990B)	<b>45.156</b>	<b>45.167</b>
Archived (1994B)	Promotion of the Humanities_Study Grants for College and University Teachers (1992B)	Promotion of the Humanities_Extending the Reach Grants to Presidentially-Designated Minority Institutions (2000B)
<b>45.149</b>	Promotion of the Humanities_Study Grants for College Teachers (1993U)	Deleted (2004)
Promotion of the Humanities_Research Resources Conservation and Preservation Grants (1980U2)	Archived (1995B)	<b>45.168</b>
Promotion of the Humanities_Research Resources/Preservation Grants (1983U)	<b>45.157</b>	Promotion of the Humanities_We the People (2004)
Promotion of the Humanities_Office of Preservation (1985B)	Promotion of the Humanities_Dissertation Grants (1992U)	<b>45.158</b>
Promotion of the Humanities_Division of Preservation and Access (1992B)	Archived (1996B)	Leadership Opportunity in Science and Humanities Education (1993B)
<b>45.150</b>	<b>45.158</b>	Promotion of the Humanities_Leadership Opportunity in Science and Humanities Education (1994U)
Promotion of the Humanities_Central Disciplines in Undergraduate Education (1983B)	Leadership Opportunity in Science and Humanities Education (1993B)	Promotion of the Humanities_Integrating Undergraduate Education (1995B)
Promotion of the Humanities_Higher Education in the Humanities (1987U)	Promotion of the Humanities_Integrating Undergraduate Education (1995U)	Promotion of the Humanities_Integrating Undergraduate Education (1995U)
Consolidated from 45.155 (1994U)	Consolidated into 45.162 (1996B)	Consolidated into 45.162 (1996B)
Consolidated into 45.162, 45.163 (1996B)	<b>45.160</b>	<b>45.160</b>
<b>45.151</b>	Promotion of the Humanities_Fellowships and Stipends	Consolidated from 45.121, 45.142, 45.143 (1996B)
Promotion of the Humanities_Summer Seminars for Secondary School Teachers (1983B)	Consolidated from 45.121, 45.142, 45.143 (1996B)	<b>45.161</b>
Consolidated into 45.163 (1996B)	<b>45.161</b>	Promotion of the Humanities_Collaborative Research
<b>45.152</b>	Promotion of the Humanities_Travel to Collections (1983U)	Consolidated from 45.122, 45.132, 45.140 (1996B)
Promotion of the Humanities_Basic Research/Travel to Collections (1984B)	Consolidated into 45.121 (1992U)	Promotion of the Humanities_Research (1997B)
Promotion of the Humanities_Travel to Collections (1985U)	<b>45.153</b>	<b>45.162</b>
Consolidated into 45.121 (1992U)	Promotion of the Humanities_Regrants Program/Selected Areas (1986B)	Promotion of the Humanities_Education Development and Demonstration
<b>45.153</b>	Promotion of the Humanities_Selected Areas	Consolidated from 45.127, 45.150, 45.158 (1996B)
Promotion of the Humanities_Regrants Program/Selected Areas (1986B)		
Promotion of the Humanities_Selected Areas		

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## NATIONAL LABOR RELATIONS BOARD

### 46.001

Labor-Management Relations (1969B)

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## NATIONAL SCIENCE FOUNDATION

Science Research Support Activities (1969B)  
Archived (1970B)

### 47.001

Antarctic Research (1970B)  
Polar Research (1970U)  
Polar Research Programs (1971B)  
Consolidated into 47.050 (1976B)

### 47.002

Biological Sciences Research Project Support (1970B)  
Consolidated into 47.047 (1975B)

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<b>47.003</b> Computers Activities in Education and Research (1969B) Computers_Research and Educational Activities (1970B) Computing Activities in Education and Research (1971B) Computing Activities (1973B) Computer Research (1974B) Consolidated into 47.047 (1975B)	Archived (1975U)	Sea Grant Program (1969B) Sea Grant Institutional Support (1970B) Split into 47.022, 47.023 (1970B) Transferred to 11.417 (1971B)
<b>47.004</b> Departmental Science Development (1970B) Archived (1971B)	<b>47.013</b> Interdisciplinary Research Relevant to Problems of Our Society (1970B) Archived (1972B)	<b>47.023</b> Sea Grant Project Support (1970B) Split from 47.022 (1970B) Transferred to 11.418 (1971B)
<b>47.005</b> Graduate Education in Science (1967B) Doctoral Dissertation Research in the Social Sciences (1970B) Doctoral Dissertation Research (1971B) Consolidated into 47.047 (1975B)	<b>47.014</b> International Cooperative Science Activities (1969B) Consolidated into 47.053 (1977B)	<b>47.024</b> Science Information Activities_System Development and Improvement (1970B) Science Information Activities_Information Systems; Data Systems (1973B) Science Information Activities_National Information Systems; User Support (1974B) Science Information Activities (1975B) Consolidated into 47.053 (1977B)
<b>47.006</b> Engineering Sciences Research Initiation Grants (1970B) Engineering Research Initiation Grants (1973B) Consolidated into 47.047 (1975B)	<b>47.015</b> International Travel (1970B) Incorporated into 47.014 (1975B)	<b>47.025</b> Science Information Research (1970B) Incorporated into 47.024 (1975B)
<b>47.007</b> Engineering Sciences Research Project Support (1970B) Engineering Research Project Support (1973B) Consolidated into 47.047 (1975B)	<b>47.016</b> Scientific Research Grants (1967B) Science Research Support Activities (1969B) Mathematical and Physical Sciences Research Project Support (1970B) Split into 47.016, 47.017 (1970B) Consolidated into 47.047 (1975B)	<b>47.026</b> Science Information Activities (1969B) Science Information Services and Publications (1970B) Science Information Activities_Publications (1973B) Incorporated into 47.024 (1974B)
<b>47.008</b> Environmental Sciences Research Project Support (1970B) Consolidated into 47.047 (1975B)	<b>47.017</b> National and Special Research Programs (1970B) Split from 47.016 (1970B) Global Atmospheric Research Program (1974B) Consolidated into 47.050 (1976B)	<b>47.027</b> Science Planning and Policy Studies (1969B) University Science Planning and Policy Program (1971B) Science Policy Research (1972B) Incorporated into 47.029 (1973B)
<b>47.009</b> Fellowships and Traineeship Program (1970B) Graduate Fellowship Programs (1973B) Graduate Student Support (1974B) Science Manpower Improvement (1976B) Scientific Personnel Improvement (1978B) Graduate Research Fellowships (1983B) Consolidated into 47.076 (1992B)	<b>47.018</b> Oceanography_Basic Research Grants (1970B) Oceanography_Scientific Research Project Support (1971B) Incorporated into 47.008 (1972B)	<b>47.028</b> Scientific Conference Grants (1970B) Consolidated into 47.047 (1975B)
<b>47.010</b> Graduate Instructional Program Development (1970B) Incorporated into 47.032, 47.033 (1973B)	<b>47.019</b> Pre-College Education in Science (1967B) Pre-College Instructional Personnel Development (1970B) Instructional Improvement Implementation_Pre-College (1973B) Consolidated into 47.048 (1975B)	<b>47.029</b> Social Sciences Research Project Support (1970B) Consolidated into 47.047 (1975B)
<b>47.011</b> Graduate Science Facilities (1970B) Archived (1971B)	<b>47.020</b> Pre-College Instructional Program Development (1970B) Science Education Materials and Methods Development Pre-College (1973B) Science Education Materials and Instruction Development (Pre-College) (1973U) Science Education Materials and Instruction Development_Pre-College (1974B) Consolidated into 47.048 (1975B)	<b>47.030</b> Special Computer Services for Research and Science Education (1970B) Archived (1971B)
<b>47.012</b> Institutional Support in Science (1967B) Institutional Grants for Science (1970B)	<b>47.021</b> Pre-College Student Development (1970B) Archived (1971B)	<b>47.031</b> Specialized Research Facilities and Equipment (1970B) Archived (1972B)
	<b>47.022</b>	<b>47.032</b> Undergraduate Education in Science (1967B) Undergraduate Instructional Personnel

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Development (1970B)

Split into 47.032, 47.033, 47.034 (1970B)

Instructional Improvement Implementation\_Higher Education (1973B)

Consolidated into 47.048 (1975B)

### 47.033

Undergraduate Instructional Program Development (1970B)

Split from 47.032 (1970B)

Science Education Materials and Methods Development\_Higher Education (1973B)

Science Education Materials and Instruction Development (Higher Education) (1973U)

Science Education Materials and Instruction Development\_Higher Education (1974B)

Consolidated into 47.048 (1975B)

### 47.034

Undergraduate Student Development (1970B)

Split from 47.032 (1970B)

Student Oriented Programs (1973B)

Consolidated into 47.048 (1975B)

### 47.035

University Science Development (1970B)

Archived (1971B)

### 47.036

Intergovernmental Science Programs (1970U)

Intergovernmental Science and Research Utilization (1973B)

Intergovernmental Science (1975B)

Intergovernmental Program (1976B)

Intergovernmental Programs (1978B)

Intergovernmental Program (1979B)

Intergovernmental Science and Technology Grants (1981B)

Intergovernmental Science and Technology Program (1981U)

Intergovernmental and Public Service Science and Technology Program (1982B)

Intergovernmental Science and Technology Programs (1983B)

Archived (1985U)

### 47.037

International Decade of Ocean Exploration (1970U)

Consolidated into 47.050 (1976B)

### 47.038

Public Understanding of Science Program (1971B)

Science and Society Program (1976B)

Science Education Communication Grants (1981B)

Consolidated/Split into 47.038, 47.058 (1981B)

Archived (1982B)

### 47.039

Scientific Activities (Special Foreign Currency Program) (1971B)

Archived (1975B)

### 47.040

Materials Research Project Support (1972B)

Consolidated into 47.047 (1975B)

### 47.041

Research Applied to National Needs (1973U)

Applied Science and Research Applications (1978B)

Engineering and Applied Science (1979U2)

Engineering Grants (1981B)

Consolidated/Split into 47.041, 47.058 (1981B)

### 47.042

Experimental Research and Development

Incentives Program (1973U)

Incorporated into 47.041 (1976B)

### 47.043

National Research and Development Assessment Program (1973U)

Number changed to 47.052 (1976B)

### 47.044

Institutional Grants for Research Management Improvement (1973U)

Archived (1975B)

### 47.045

Technological Innovation in Education (1973U)

Consolidated into 47.048 (1975B)

### 47.046

Science Education\_Problem Assessment and Experimental Projects (1974B)

Consolidated into 47.048 (1975B)

### 47.047

Scientific Research Project Support (1975B)

Consolidated from 47.002, 47.003, 47.005, 47.006, 47.007, 47.008, 47.016, 47.028, 47.029, 47.040 (1975B)

Split into 47.049, 47.050, 47.051 (1976B)

### 47.048

Science Education Improvement (1975B)

Consolidated from 47.019, 47.020, 47.032, 47.033, 47.034, 47.045, 47.046 (1975B)

Science Education Research and Development and Resources Improvement (1977B)

Science Education Development and Research and Resources Improvement (1980B)

Archived (1982B)

### 47.049

Mathematical and Physical Sciences and Engineering (1976B)

Split from 47.047 (1976B)

Mathematical and Physical Sciences (1979U2)

### 47.050

Astronomical, Atmospheric, Earth and Ocean Sciences (1976B)

Consolidated/Split from 47.001, 47.017, 47.037, 47.047 (1976B)

### 47.051

Biological, Behavioral, and Social Sciences (1976B)

Split from 47.047 (1976B)

Split into 47.074, 47.075 (1992B)

### 47.052

Science and Technology Policy Research and Analysis (1976B)

Number changed from 47.043 (1976B)

Consolidated into 47.053 (1977B)

### 47.053

Scientific, Technological, and International Affairs (1977B)

Consolidated from 47.014, 47.024, 47.052 (1977B)

Consolidated into 47.075 (1992B)

### 47.054

Industry/University Cooperative Research (1980B)

Incorporated into 47.053 (1981B)

### 47.055

Two-Year and Four-Year College Research Instrumentation (1980B)

Archived (1984B)

### 47.056

Research Initiation in Minority Institutions (1980B)

Research Improvement in Minority Institutions (1981B)

Number changed to 47.060 (1982B)

### 47.057

Minority Research Initiation (1981B)

Archived (1985B)

### 47.058

Public Service Science and Technology (1981B)

Consolidated from 47.038, 47.041 (1981B)

Archived (1982B)

### 47.059

Visiting Professorships for Women in Science and Engineering (1982B)

Visiting Professorships for Women (1983B)

Archived (1985B)

### 47.060

Research Improvement in Minority Institutions (1982B)

Number changed from 47.056 (1982B)

Archived (1985B)

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<b>47.061</b> Precollege Science and Mathematics Teacher Development and Incentives (1983U) Consolidated into 47.063 (1984B)	Engineering Education (1987U) Undergraduate Science, Engineering, and Mathematics Education (1988B) Consolidated into 47.076 (1992B)	<b>48.002</b> New England Technical and Planning Assistance (1975B) Archived (1981U)
<b>47.062</b> Precollege Science and Mathematics Materials Development (1983U) Consolidated into 47.063 (1984B)	<b>47.072</b> Young Scholars (1987U) Consolidated into 47.076 (1992B)	<b>48.003</b> New England Supplements to Federal Grant-in-Aid (1975B) Archived (1981U)
<b>47.063</b> Precollege Science and Mathematics Education (1984B) Consolidated from 47.061, 47.062 (1984B) Archived (1985B)	<b>47.073</b> Science and Technology Centers (1989B) Archived (1996B)	<b>48.004</b> New England Regional Transportation (1977U) Archived (1981U)
<b>47.064</b> College Science Instrumentation Program (1984U) Incorporated into 47.071 (1987U)	<b>47.074</b> Biological Sciences (1992B) Split from 47.051 (1992B)	<b>48.005</b> New England Energy Demonstration Projects and Programs (1977U) Archived (1981U)
<b>47.065</b> Advanced Scientific Computing Resources (1984U) Archived (1986U)	<b>47.075</b> Social, Behavioral, and Economic Sciences (1992B) Consolidated from 47.051, 47.053 (1992B)	<b>COMMUNITY SERVICES ADMINISTRATION</b> <hr/>
<b>47.066</b> Teacher Enhancement and Informal Science Education (1985B) Teacher Preparation and Enhancement (1986B) Consolidated into 47.076 (1992B)	<b>47.076</b> Education and Human Resources (1992B) Consolidated from 47.009, 47.066, 47.067, 47.068, 47.069, 47.071, 47.072 (1992B)	Head Start (1967B) Child Development_Head Start (1970B) Transferred to the Department of Health Education, Welfare (1970B)
<b>47.067</b> Materials Development and Research (1985B) Materials Development, Research, and Informal Science Education (1986B) Materials Development and Informal Science Education (1987B) Materials Development, Research, and Informal Science Education (1988B) Consolidated into 47.076 (1992B)	<b>47.077</b> Academic Research Facilities and Instrumentation (1993B) Academic Research Infrastructure (1997B) Archived (1999B)	Establishment of Job Corps Centers (1965B) Job Corps (1967B) Transferred to the Department of Labor (1970B)
<b>47.068</b> Studies and Program Assessment (1985B) Research, Studies, and Program Assessment (1987B) Studies and Program Assessment (1988B) Studies, Evaluation and Dissemination (1991B) Consolidated into 47.076 (1992B)	<b>47.078</b> Polar Programs (1997B)	Upward Bound (1967B) Transferred to the Department of Health Education, Welfare (1970B)
<b>47.069</b> Research Initiation and Improvement (1985B) Human Resource Development (1991B) Consolidated into 47.076 (1992B)	<b>47.079</b> International Science and Engineering (OISE) (2005)	<b>49.001</b> Alcoholic Counseling and Recovery (1970B) Archived (1971U)
<b>47.070</b> Computer and Information Science and Engineering (2004)	<b>47.080</b> Office of Cyberinfrastructure (2008)	<b>49.002</b> Community Action Program (1965B) Community Action Operations (1970B) Community Action (1971B) Archived (1973B) Reinstated (1975B) Split into 49.002, 49.016, 49.018 (1980U1) Archived (1981U)
<b>47.071</b> Undergraduate Science, Mathematics, and	<b>47.081</b> Office of Experimental Program to Stimulate Competitive Research (2008)	<b>49.003</b> Neighborhood Health Centers (1967B) Comprehensive Health Centers (1969B) Comprehensive Health Services (1970B) Archived (1973B)
	<b>47.082</b> Trans-NSF Recovery Act Reasearch Support (2009)	<b>49.004</b> Drug Rehabilitation (1970B) Archived (1973B)
	<b>NEW ENGLAND REGIONAL COMMISSION</b> <hr/>	<b>49.005</b> Emergency Food and Medical Services (1969B) Archived (1971U)
	<b>48.001</b> New England Regional Economic Development (1970B) Archived (1973B) Reinstated (1973U) Archived (1981U)	



# Appendix VII: Historical Profile of Catalog Programs

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Reinstated (1972B)

Archived (1973B)

Reinstated (1975U)

Community Food and Nutrition (1975U)

Archived (1981U)

## **49.006**

Family Planning (1969B)

Archived (1973B)

## **49.007**

Federal Information Exchange System (1969B)

Archived (1972B)

## **49.008**

Legal Services (1967B)

Archived (1973B)

Reinstated (1975B)

Archived (1976B)

## **49.009**

Community Action Program\_Assistance for Migrant and Seasonal Farm Workers (1965B)

Migrant and Seasonal Farmworkers Assistance (1969B)

Transferred to (1972B)

## **49.010**

Senior Opportunities and Services (1969B)

Older Persons Opportunities and Services (1970B)

Archived (1973B)

Reinstated (1975B)

Archived (1981U)

## **49.011**

Special Impact (1970B)

Community Economic Development (1972U)

Archived (1973B)

Reinstated (1975B)

Archived (1981U)

## **49.012**

Vista\_Volunteers in Service to

America\_Opportunities for Individuals to Assist in the War on Poverty (1965B)

Volunteers in Service to America (1970B)

Archived (1971U)

## **49.013**

Economic Opportunity\_Technical Assistance and Demonstrations (1972U)

Archived (1973B)

Reinstated (1975B)

State Economic Opportunity Offices (1975B)

Archived (1981U)

## **49.014**

Emergency Energy Conservation Services (1975U)

Archived (1981B)

## **49.015**

Summer Youth Recreation Program (1976U)

Summer Youth Recreation (1977B)

Archived (1981B)

## **49.016**

National Youth Sports Program (1980U1)

Split from 49.002 (1980U1)

Archived (1981U)

## **49.017**

Rural Development Loan Fund (1980U1)

Reinstated , previously under the Department of Agriculture (1980U1)

Archived (1981U)

## **49.018**

Housing and Community Development (1980U1)

Split from 49.002 (1980U1)

Archived (1981U)

## **OFFICE OF EMERGENCY PREPAREDNESS**

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Emergency Management of Resources (1967B)

Incorporated into 50.001 (1970B)

## **50.001**

Continuity of Government (1969B)

Continuity of Government and Management of Resources in Emergencies (1970B)

Continuity of Government in Emergencies (1970U)

Continuity of Government and Management of Resources in Emergencies (1971B)

Transferred to 39.010 (1973U)

## **50.002**

Federal Disaster Relief (1967B)

Disaster Relief to States (1970B)

Disaster Assistance (1971B)

Transferred to 14.701 (1973U)

## **50.003**

State Plans for Disaster Assistance to Individuals (1970B)

State Disaster Plans and Programs (1971B)

Transferred to 14.702 (1973U)

## **50.004**

Federal-State Relations (1969B)

Telecommunications Management (1970B)

Archived (1970U)

## **OFFICE OF INTERGOVERNMENTAL RELATIONS**

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### **51.001**

Intergovernmental Relations and Liaison (1970B)

Archived (1973B)

## **OZARKS REGIONAL ACTION**

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## **PLANNING COMMISSION**

### **52.001**

Ozarks Regional Economic Development (1970B)

Archived (1973B)

Reinstated (1973U)

Archived (1981U)

### **52.002**

Ozarks Technical and Planning Assistance (1975B)

Archived (1981U)

### **52.003**

Ozarks Supplements to Federal Grant-in-Aid (1975B)

Archived (1981U)

### **52.004**

Ozarks Regional Transportation (1977U)

Archived (1981U)

### **52.005**

Ozarks Energy Demonstration Projects and Programs (1977U)

Archived (1981U)

### **52.007**

Ozarks Health and Nutrition Demonstration Projects (1977U)

Archived (1981U)

## **PRESIDENT'S COMMITTEE ON CONSUMER INTERESTS**

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### **52.500**

Consumer Affairs (1969B)

Transferred to 69.001 (1971B)

## **PRESIDENT'S COMMITTEE ON EMPLOYMENT OF PEOPLE WITH DISABILITIES**

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### **53.001**

Handicapped Employment Promotion (1969B)

Transferred to 17.72 (2002B)

## **PRESIDENT'S COMMITTEE ON MENTAL RETARDATION**

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### **54.001**

Mental Retardation Evaluation (1970B)

Transferred to 13.613 (1974B)

## **PRESIDENT'S COUNCIL ON PHYSICAL FITNESS AND SPORTS**

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### **55.001**

Governors' Councils on Physical Fitness (1970B)

Transferred to 13.615 (1974B)

### **55.002**

National Summer Youth Sports Program (1970B)

Archived (1972B)

# Appendix VII: Historical Profile of Catalog Programs

## 55.003

Physical Fitness Programs (1967B)  
Physical Fitness and Sports (1969B)  
Physical Fitness and Sports Information (1970B)  
Transferred to 13.616 (1974B)

## 55.004

Physical Fitness Clinics (1970B)  
Transferred to 13.617 (1974B)

## 55.005

Physical Fitness Demonstration Center Schools (1970B)  
Transferred to 13.618 (1974B)

## 55.006

Physical Fitness Program Development (1970B)  
Transferred to 13.619 (1974B)

## 55.007

Presidential Physical Fitness Award (1970B)  
Transferred to 13.620 (1974B)

## 55.008

Health-Exercise Symposia (1971B)  
Transferred to 13.621 (1974B)

## 55.009

Presidential Sports Award (1973U)  
Transferred to 13.622 (1974B)

## PRESIDENT'S COUNCIL ON YOUTH OPPORTUNITY

### 56.001

Youth Opportunity (1969B)  
Transferred/Split into HHS, Labor programs (1971B)

## RAILROAD RETIREMENT BOARD

### 57.001

Social Insurance Program for Railroad Workers (1965B)  
Social Insurance for Railroad Workers (1970B)

### 57.002

Benefits for Milwaukee Railroad Workers (1980U2)  
Archived (1985U)

### 57.003

Benefits for Conrail Employees (1983B)  
Archived (1988B)

### 57.004

Benefits for Rock Island Railroad Employees (1983U)  
Archived (1984U)

### 57.005

Economic Recovery Payments (2009)

## SECURITIES AND EXCHANGE COMMISSION

### 58.001

Investor Protection (1969B)  
Securities\_Investigation of Complaints and SEC Information (1972B)

## SMALL BUSINESS ADMINISTRATION

### 59.001

Displaced Small Business Loans (1969B)  
Displaced Business Loans (1970B)  
Archived (1981U)

### 59.002

Economic Injury Disaster Loans (1970B)  
Reinstated (1984B)  
Consolidated into 59.008 (1989B)  
Reinstated (1989U)  
Deleted (2008)

### 59.003

Economic Opportunity Loans for Small Businesses (1965B)  
Loans for Small Businesses (1983B)  
Archived (1997U)

### 59.004

Lease Guarantees for Small Businesses (1969B)  
Archived (1977B)

### 59.005

Management Assistance to Small Businesses (1970B)  
Business Development Assistance to Small Business (1970B)  
Internet-Based Technical Assistance (2005)  
Internet-Based Technical Assistance (2005)  
Deleted (2008)

### 59.006

Minority Business Development (1970B)  
Minority Business Development\_Procurement Assistance (1971B)  
Minority Business Development (1991B)  
8(a) Business Development (1999B)  
8(a) Business Development Program (2006)

### 59.007

Minority Enterprise\_Technical Assistance (1970B)  
Management and Technical Assistance for Disadvantaged Businessmen\_Research and Demonstration Grants (1971B)  
Management and Technical Assistance for Disadvantaged Businessmen (1973B)  
Management and Technical Assistance for Disadvantaged Businesses (1983B)  
Management and Technical Assistance for Socially and Economically Disadvantaged Businesses (1988B)  
Management and Technical Assistance (2001B)

7(i) Technical Assistance (2004)

7(j) Technical Assistance (2005)

7(j) Technical Assistance (2005)

7(j) Technical Assistance (2005)

### 59.008

Disaster Loans (1967B)  
Physical Disaster Loans (1970B)  
Consolidated from 59.002 (1989B)  
Disaster Assistance Loans (2007)

### 59.009

Management and Technical Assistance (1965B)  
Procurement and Management Assistance to Small Businesses (1967B)  
Procurement Assistance to Small Businesses (1970B)  
Procurement and Technical Assistance to Small Businesses (1976U)  
Procurement Assistance to Small Businesses (1985B)

### 59.010

Product Disaster Loans (1970B)  
Archived (1982B)

### 59.011

Small Business Investment Company Program (1965B)  
Small Business Investment Companies (1970B)

### 59.012

Small Business Financial Assistance Program (1965B)  
Small Business Loans (1970B)  
7(a) Loan Guarantee (2007)  
7(a) Loan Guarantees (2008)

### 59.013

Loans to State and Local Development Companies (1965B)  
State and Local Development Company Loans (1969B)  
Local Development Company Loans (1991B)  
Archived (1998U)

### 59.014

Coal Mine Health and Safety Loans (1971B)  
Mine Safety and Health Loans (1978B)  
Archived (1981U)

### 59.015

Trade Adjustment Loans (1971B)  
Archived (1971U)

### 59.016

Bond Guarantees for Surety Companies (1971U)  
Surety Bond Guarantees (2008)

### 59.017

# Appendix VII: Historical Profile of Catalog Programs

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Meat and Poultry Inspection Loans (1972B)  
Consumer Protection Loans (1978B)  
Archived (1981U)

**59.018**  
Occupational Safety and Health Loans (1972B)  
Archived (1981U)

**59.019**  
Minority Vendors Program (1974B)  
Incorporated into 59.035 (1980U1)

**59.020**  
Base Closing Economic Injury Loans (1975B)  
Archived (1981U)

**59.021**  
Handicapped Assistance Loans (1975B)  
Archived (1997U)

**59.022**  
Emergency Energy Shortage Economic Injury  
Loans (1975B)  
Archived (1981U)

**59.023**  
Strategic Arms Economic Injury Loans (1975B)  
Archived (1981U)

**59.024**  
Water Pollution Control Loans (1975B)  
Archived (1981U)

**59.025**  
Air Pollution Control Loans (1975B)  
Archived (1981U)

**59.026**  
Service Corps of Retired Executives and Active  
Corps of Executives (1976B)  
Transferred from 72.006 (1976B)  
Service Corps of Retired Executives Association  
(1988B)  
Service Corps of Retired Executives (2008)

**59.027**  
Economic Dislocation Loans (1978B)  
Archived (1981U)

**59.028**  
Regulatory Loans (1979B)  
Archived (1981U)

**59.029**  
Disaster Assistance to Nonagricultural Businesses  
(Major Source of Employment) (1979U1)  
Incorporated into 59.008 (1982B)

**59.030**  
Small Business Energy Loans (1979B)

Consolidated from 59.031 (1989B)  
Incorporated into 59.012 (1990B)

**59.031**  
Small Business Pollution Control Financing  
Guarantee (1979B)  
Consolidated into 59.030 (1989B)

**59.032**  
Office of Women's Business Enterprise (1980U1)  
Archived (1968B)  
Office of Women's Business Ownership (1983B)

**59.033**  
Small Business and Capital Ownership  
Development (1980U1)  
Minority Small Business and Capital Ownership  
Development (1981B)  
Incorporated into 59.007 (1987B)

**59.034**  
Small Business Economic Research (1980U1)  
Archived (1983B)

**59.035**  
Procurement Automated Source System (1980U1)  
Incorporated from 59.019 (1980U1)  
Archived (1998B)

**59.036**  
Certified Development Company Loans (1981U)  
Certified Development Company Loans (503  
Loans) (1986U)  
Archived (1989B)

**59.037**  
Small Business Development Center (1981U)  
Small Business Development Centers (2008)

**59.038**  
Veterans Loan Program (1984B)  
Archived (1997U)

**59.039**  
Currency Devaluation Disaster Loans (1984U)  
Currency Fluctuation Economic Injury Loans  
(1985B)  
Archived (1986U)

**59.040**  
Federal Action Disaster Loans (1984U)  
Federal Action Economic Injury Loans (1985B)  
Archived (1986U)

**59.041**  
Certified Development Company Loans (504  
Loans) (1986U)  
504 Certified Development Loans (2008)

**59.042**

Business Loans for 8(a) Program Participants  
(1990B)  
Archived (1997U)

**59.043**  
Women's Business Ownership Assistance (1990B)

**59.044**  
Veterans Entrepreneurial Training Assistance  
(1990B)  
Veterans Entrepreneurial Training and Counseling  
(1991U)  
Veterans Business Development (2008)

**59.045**  
Natural Resource Development (1991B)  
Archived (1995U)

**59.046**  
Microloan Demonstration Program (1992U)  
Microloan Program (2004)

**59.047**  
Pre Disaster Mitigation Loan Program (2004)

**59.048**  
Military Reserve Economic Injury Loan (2004)

**59.049**  
Office of Small Disadvantaged Business  
Certification and Eligibility (2000B)  
Small Disadvantaged Businesses (2007)

**59.050**  
Microenterprise Developments Grant (2001U)  
PRIME Technical Assistance (2007)

**59.051**  
New Markets Venture Capital (2001U)  
NEW MARKETS VENTURE CAPITAL  
PROGRAM, OPERATIONAL ASSISTANCE  
(OA) GRANTS (2005)  
New Markets Venture Capital Program,  
Operational Assistance (OA) Grants (2005)  
New Markets Venture Capital Program,  
Operational Assistance (OA) Grants (2005)  
New Markets Venture Capital Program (2007)

**59.052**  
Native American Economic Development  
Assistance (2005)  
Native American Outreach (2008)

**59.053**  
Small Business and Agriculture Regulatory  
Enforcement Ombudsman and Small Business  
Regulatory Fairness Boards (2005)  
Ombudsman and Regulatory Fairness Boards  
(2007)

**59.054**

# Appendix VII: Historical Profile of Catalog Programs

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7(a) Loans (Export Loans) (2005)  
7(a)Export Loan Guarantees (2008)

**59.055**

HUBZone Program (2008)

**59.056**

Secondary Market Lending Authority (2009)

**59.057**

America's Recovery Capital Loans (2009)

**59.058**

Federal and State Technology Partnership Program (2010)

**59.059**

Congressional Grants (2011)

**59.060**

Small Business Teaming Pilot Program (2011)

**59.061**

State Trade and Export Promotion Pilot Grant Program (2011)

**59.062**

Intermediary Loan Program (2011)

**59.070**

Drug-Free Workplace Program (2008)

**SMITHSONIAN INSTITUTION**

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Smithsonian Institution\_Visiting Research Appointments (1969B)  
Archived (1970B)

**60.001**

Smithsonian Institution Programs in Basic Research and Public Education (1970B)

Smithsonian Institution Programs in Basic Research in Collaboration with Smithsonian Institution Staff (1978B)

Archived (1987B)

**60.002**

Academic Appointments (1970)  
Incorporated into 60.001 (1978B)

**60.003**

Authentication and/or Repair of Oriental Objects and Translation of Related Inscriptions (1970B)  
Incorporated into 60.001 (1972B)

**60.004**

Chesapeake Bay Center for Environmental Studies (1970B)  
Incorporated into 60.001 (1978B)

**60.005**

Smithsonian Institution\_Elementary and Secondary Educational Services (1969B)

Educational Services, Elementary and Secondary Education (1970B)

Archived (1978B)

**60.006**

International Exchange of Scientific and Literary Publications and Governmental Documents (1970B)

Archived (1978B)

**60.007**

Museum Assistance (1969B)  
Museums\_Assistance and Advice (1970B)  
Archived (1986U)

**60.008**

Registral Programs (1970B)  
Incorporated into 60.001 (1972B)

**60.009**

Science Information Exchange (1969B)  
Smithsonian Science Information Exchange, Inc. (1973B)  
Transferred to 11.651 (1980U1)

**60.010**

Smithsonian Associates (1970B)  
Incorporated into 60.001 (1972B)

**60.011**

Smithsonian Center for Short-Lived Phenomena (1970B)  
Center for Short-Lived Phenomena (1973B)  
Archived (1976B)

**60.012**

Smithsonian Institution Libraries (1970B)  
Incorporated into 60.001 (1972B)

**60.013**

Smithsonian Institution Traveling Exhibition Service (1970B)  
Archived (1987B)

**60.014**

Smithsonian Oceanographic Sorting Centers (1970B)  
Archived (1978B)

**60.015**

Smithsonian Publications (1970B)  
Incorporated into 60.001 (1972B)

**60.016**

Museum and Related Research\_Special Foreign Currency Program (1969B)  
Smithsonian Special Foreign Currency Grants for Museum Programs and Related Research (1970B)

Smithsonian Special Foreign Currency Grants for Museum Programs, Scientific and Cultural Research and Related Educational Activities (1976B)

Archived (1986U)

**60.017**

Smithsonian Special Public Affairs (1970B)  
Incorporated into 60.001 (1972B)

**60.018**

Smithsonian Tropical Research Institute (1970B)  
Incorporated into 60.001 (1978B)

**60.019**

Visiting Research Appointments in Astrophysics, Geodesy, Meteoritics, and Space Sciences (1970B)  
Incorporated into 60.001 (1978B)

**60.020**

Woodrow Wilson International Center for Scholars Fellowship and Guest Scholar Programs (1970U)  
Woodrow Wilson International Center for Scholars\_Fellowships and Guest Scholar Programs (1971B)  
Archived (1987B)

**INTERNATIONAL TRADE COMMISSION**

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**61.001**

Tariff Adjustment (Industry) (1970B)  
Import Relief (Industry) (1979B)  
Archived (2000B)

**61.002**

Trade Adjustment Assistance\_Firms (1970B)  
Archived (1971U)

**61.003**

Trade Adjustment Assistance\_Workers (1970B)  
Transferred/Incorporated into 17.400 (1971U)

**TENNESSEE VALLEY AUTHORITY**

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Adjustment to Local Flood Hazard\_Tennessee River Basin (1967B)  
Archived (1969B)

Electricity Supply and Utilization\_Tennessee Valley Region (1967B)  
Archived (1969B)

Forestry, Fish and Wildlife\_Tennessee Valley Region (1967B)  
Archived (1969B)

Industrial Development\_Tennessee Valley Region (1967B)  
Archived (1969B)

Local Planning Assistance\_Tennessee Valley

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Region (1967B)  
Archived (1969B)

Mineral Resources Development\_Tennessee Valley Region (1967B)  
Archived (1969B)

Navigation Development and Waterway Transportation\_Tennessee River Basin (1967B)  
Archived (1969B)

Recreation Development\_Tennessee River Basin (1967B)  
Archived (1969B)

Topographic and Navigation Maps\_Tennessee Valley Region (1967B)  
Archived (1969B)

Tributary Area Development\_Tennessee River Basin (1967B)  
Archived (1969B)

Unified Resource Development\_Tennessee Valley Authority (1967B)  
Archived (1969B)

Water Quality Control\_Tennessee River Basin (1967B)  
Archived (1969B)

**62.001**  
Agricultural and Chemical Development\_TVA (1967B)  
Fertilizer and Munitions Development (1969B)  
Fertilizer Development (1970B)  
National Fertilizer Development (1977U)  
National Fertilizer and Environmental Research Center (1992B)  
TVA Environmental Research Center (1994B)  
TVA Environmental Research and Services (1998B)  
TVA Energy Research and Technology Applications (1999U)  
Archived (2001B)

**62.002**  
Tennessee Valley Region\_General Resources Development (1969B)  
Consolidated into 62.004, 62.005, 62.006 (1980U1)

**62.003**  
Multiple-Purpose Water Resource Development\_Tennessee River Basin (1967B)  
Tennessee Valley Region\_Water Resources Development (1969B)  
Consolidated into 62.005 (1980U1)

**62.004**  
Tennessee Valley Region\_Community Development (1980U1)

Consolidated from 62.002 (1980U1)  
Tennessee Valley Region\_Economic and Community Development (1982B)  
Tennessee Valley Region Economic Development (1985U)  
Tennessee Valley Region\_Rural Development (1992B)  
Tennessee Valley Region\_Economic Development (1994U)  
Archived (1998U)

**62.005**  
Tennessee Valley Region\_Natural Resources Development (1980U1)  
Consolidated from 62.002, 62.003 (1980U1)  
Tennessee Valley Region\_Water and Land Resources (1992B)  
Archived (1994U)

**62.006**  
Tennessee Valley Region\_Valley Agricultural Resources Development (1980U1)  
Consolidated from 62.002 (1980U1)  
Tennessee Valley Region\_Valley Agricultural Institute (1988B)  
Archived (1992B)

## UPPER GREAT LAKES REGIONAL COMMISSION

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**63.001**  
Upper Great Lakes Regional Economic Development (1970B)  
Archived (1973B)  
Reinstated (1973U)  
Archived (1981U)

**63.002**  
Upper Great Lakes Technical and Planning Assistance (1975B)  
Archived (1981U)

**63.003**  
Upper Great Lakes Supplements to Federal Grant-in-Aid (1975B)  
Archived (1981U)

**63.004**  
Upper Great Lakes Regional Transportation (1977U)  
Archived (1981U)

**63.005**  
Upper Great Lakes Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

**63.006**  
Upper Great Lakes Indigenous Arts and Crafts Demonstration Projects (1977U)  
Archived (1981U)

**63.007**  
Upper Great Lakes Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

**63.008**  
Upper Great Lakes Education Demonstration Projects (1977U)  
Archived (1981U)

## DEPARTMENT OF VETERANS AFFAIRS

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Educational Assistance for Veterans' Children (1967B)  
Archived (1969B)

Guardianship Services for Veterans' Beneficiaries (1967B)  
Archived (1969B)

Relocation Housing for Aged or Families Displaced by Urban Renewal (1967B)  
Archived (1969B)

Veterans Restoration Centers (1967B)  
Archived (1969B)

**64.001**  
Biomedical Research (1967B)  
Medical Research Support (1986B)  
Archived (1991U)

**64.002**  
Veterans' Community Nursing Home Care Program (1967B)  
Community Contract Nursing Home Care (1970B)  
Community Nursing Home Care (1971B)  
Veterans Community Nursing Home Care (1979B)  
Archived (1981U)

**64.003**  
Education and Training of Health Service Personnel (1969B)  
Archived (1979B)

**64.004**  
Exchange of Medical Information (1970B)  
Archived (1982B)

**64.005**  
Grant to States for Construction of State Nursing Home Care Facilities (1970B)  
Grants to States for Construction of State Home Facilities (1978B)

**64.006**  
Prosthetics Research (1969B)  
Rehabilitative Engineering Research (Prosthetics) (1977B)  
Rehabilitative Research (Prosthetics) (1977U)

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Rehabilitative Research (1981B)  
Archived (1981U)

## 64.007

Rehabilitation of Blind Veterans (1967B)  
Blind Veterans Rehabilitation Centers (1971B)  
Blind Veterans Rehabilitation Centers and Clinics (1987U)  
Blind Rehabilitation Centers and Clinics (1995U)  
Blind Rehabilitation Centers (1998U)

## 64.008

Veterans' Domiciliary Program (1965B)  
Veterans Domiciliary Care and Restoration (1970B)  
Veterans Domiciliary Care (1973B)

## 64.009

Veterans Hospitalization (1965B)  
Revised  
Veterans Medical Care Benefits (1997U)

## 64.010

Veterans Nursing Home Care Program (1967B)  
Veterans Nursing Home Care (1970B)

## 64.011

Veterans' Outpatient Services (1967B)  
Veterans Outpatient Care (1970B)  
Veterans Dental Care (1999B)

## 64.012

Veterans Prescription Service (1967B)

## 64.013

Veterans Prosthetic Appliances (1967B)

## 64.014

Veterans State Home Program (1970B)  
Veterans State Domiciliary Care (1971B)

## 64.015

Veterans State Nursing Home Care (1970B)

## 64.016

Veterans State Home Hospital Care (1970U)  
Veterans State Hospital Care (1971B)

## 64.017

Grants to States for Remodeling of State Home Hospital/Domiciliary Facilities (1971B)  
Incorporated into 64.005 (1978B)

## 64.018

Sharing Specialized Medical Resources (1971B)  
Sharing Medical Facilities, Equipment, and Information (1975B)  
Sharing Specialized Medical Resources (1978B)

## 64.019

Veterans Rehabilitation\_Alcohol and Drug Dependency (1971U)  
Veterans Rehabilitation\_Alcohol and Drug Dependence (1976B)

## 64.020

Assistance in the Establishment of New State Medical Schools (1974U)  
Archived (1979B)

## 64.021

Grants to Affiliated Medical Schools\_Assistance to Health Manpower Training Institutions (1974U)  
Archived (1979B)

## 64.022

Hospital Based Home Care (1974U)  
Veterans Hospital Based Home Care (1979B)  
Veterans Home Based Primary Care (1997B)

## 64.023

Health Professional Scholarships (1982B)  
Health Professional Scholarships\_Nursing (1984B)  
Archived (1986B)

## 64.024

VA Homeless Providers Grant and Per Diem Program (1995B)

## 64.025

Transitional Housing Loan Program (1995B)  
Archived (2001B)

## 64.026

Veterans State Adult Day Health Care (2008)

## 64.027

Post-9/11 Veterans Educational Assistance (2010)

## 64.028

Post-9/11 Veterans Educational Assistance (2010)

## 64.029

Purchase Care Program (2010)

## 64.030

Life Insurance for Veterans Face Amount of New Life Insurance Policies Issued (2010)

## 64.031

Life Insurance for Veterans - Direct Payments for Insurance (2010)

## 64.032

Montgomery GI Bill Selected Reserve; Reserve Educational Assistance Program (2011)

## 64.033

VA Supportive Services for Veteran Families Program (2011)

## 64.034

VA Assistance to United States Paralympic Integrated Adaptive Sports Program (2011)

## 64.035

Veterans Transportation Program (2012)

## 64.036

Veterans Retraining Assistance Program (VRAP) (2012)

## 64.100

Veterans' Automobile Grants (1967B)  
Automobile Grants for Disabled Veterans (1970B)  
Automobiles and Adaptive Equipment for Certain Disabled Veterans and Members of the Armed Forces (1971B)

## 64.101

Burial Benefits for Veterans (1967B)  
Burial Allowance for Veterans (1969B)  
Burial Expenses Allowance for Veterans (1981U)

## 64.102

Compensation for Service-Connected Deaths for Veterans' Dependents (1969B)

## 64.103

Life Insurance for Veterans and Servicemen (1967B)  
Life Insurance for Veterans (1970B)

## 64.104

Veterans Disability Pension (1965B)  
Pension for Nonservice-Connected Disability for Veterans (1969B)

## 64.105

Veterans' Death Pension (1965B)  
Pension for Veterans Widows and Children (1969B)  
Pension for Veterans Widows or Widowers and Children (1976B)  
Pension to Veterans Surviving Spouses, and Children (1980U1)

## 64.106

Specially Adapted Veterans Housing (1967B)  
Specially Adapted Housing for Disabled Veterans (1970B)

## 64.107

Veterans Assistance Centers (1969B)  
Archived (1977U)

## 64.108

Veterans' Business Loans (1967B)  
Veterans Business Loans\_Guaranteed and Insured Loans (1970B)  
Archived (1975B)

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<b>64.109</b> Veterans' Disability Compensation (1965B) Veterans Compensation for Service-Connected Disability (1970B)	(1977B)	<b>64.203</b> State Cemetery Grants (1979U2)
<b>64.110</b> Veterans' Dependency and Indemnity Compensation (1965B) Dependency, Indemnity, and Death Compensation to Veterans' Dependents (1967B) Veterans Dependency and Indemnity Compensation for Service-Connected Death (1970B)	<b>64.121</b> Emergency Veterans Job Training (1984B) Veterans' Job Training Act (1986B) Archived (1990U)	<b>WATER RESOURCES COUNCIL</b> <hr/> <b>65.001</b> Water Resources Planning (1967B) Archived (1983B)
<b>64.111</b> Educational Assistance for Veterans (1969B) Veterans Educational Assistance (1970B) Archived (1990B)	<b>64.122</b> Vocational Rehabilitation for Service-Disabled Veterans Receiving Unemployability VA Compensation (1985B) Archived (1991U)	<b>ENVIRONMENTAL PROTECTION AGENCY</b> <hr/> <b>66.001</b> Air Pollution Control Program Grants (1971B) Transferred from 13.001 (1971B) Air Pollution Control Program Support (1985U)
<b>64.112</b> Veterans Farm Loans (1969B) Archived (1975B)	<b>64.123</b> Vocational Training for Certain Veterans Receiving VA Pension (1985B)	<b>66.002</b> Air Pollution Fellowships (1971B) Transferred from 13.002 (1971B) Air Pollution Control Fellowships (1976B) Archived (1979B)
<b>64.113</b> Veterans Housing_Direct Loans and Advances (1970B) Archived (1981B)	<b>64.124</b> All-Volunteer Force Educational Assistance (1986B)	<b>66.003</b> Air Pollution Manpower Training Grants (1971B) Transferred from 13.003 (1971B) Air Pollution Control Manpower Training Grants (1976B) Air Pollution Control Manpower Training (1985U) Archived (1999U)
<b>64.114</b> Veterans' Home Loans (1965B) Veterans Housing_Guaranteed and Insured Loans (1970B)	<b>64.125</b> Vocational and Educational Counseling for Servicemembers and Veterans (1992B)	<b>66.004</b> Air Pollution Research Grants (1971B) Transferred from 13.004 (1971B) Air Pollution Control Research Grants (1972B) Number changed to 66.501 (1973B)
<b>64.115</b> Veterans Information and Assistance (1967B)	<b>64.126</b> Native American Veteran Direct Loan Program (1993B)	<b>66.005</b> Air Pollution Survey and Demonstration Grants (1971B) Transferred from 13.005 (1971B) Air Pollution Control Survey and Demonstration Grants (1976B) Archived (1979B)
<b>64.116</b> Vocational Rehabilitation Training for Disabled Veterans (1965B) Vocational Rehabilitation for Disabled Veterans (1970B)	<b>64.127</b> Monthly Allowance Under 38 U.S.C. 1805 for a Child Born with Spina Bifida Who Is a Child of a Vietnam Veteran (1997B) Monthly Allowance for Children of Vietnam Veterans Born with Spina Bifida (1997U)	<b>66.006</b> Air Pollution Control Technical Training (1971U) Air Pollution Control_Technical Training (1973B) Archived (1998B)
<b>64.117</b> War Orphans Education Program (1965B) War Orphans and Widows Educational Assistance (1970B) Dependents Educational Assistance (1974B)	<b>64.128</b> Vocational Training and Rehabilitation for Vietnam Veterans' Children with Spina Bifida (1997U) Vocational Training and Rehabilitation for Vietnam Veteran's Children with Spina Bifida or Other Covered Birth Defects (2002B)	<b>66.007</b> Air Pollution Control National Aerometric Data Information (1971U) Air Pollution Control_National Ambient Air and Source Emission Data (1972U) Archived (1996U)
<b>64.118</b> Veterans Housing_Direct Loans for Disabled Veterans (1971B) Veterans Housing_Direct Loans for Certain Disabled Veterans (1998B)	<b>64.200</b> Memorial Plots in National Cemeteries (1973U) Transferred from 12.200 (1973U) Memorial Plots and Markers in National Cemeteries (1974B) Memorial Plots and Memorial Markers (1979B) Consolidated into 64.201, 64.202 (1990B)	<b>66.008</b> Air Pollution Control Technical Assistance (1971U) Air Pollution Control_Technical Assistance (1973B)
<b>64.119</b> Veterans Housing_Mobile Home Loans (1971B) Veterans Housing_Manufactured Home Loans (1983B)	<b>64.201</b> National Cemeteries (1973U) Transferred from 12.201 (1973U)	
<b>64.120</b> Post-Vietnam Era Veterans' Educational Assistance	<b>64.202</b> Procurement of Headstones and Markers (1973U) Transferred from 12.202 (1973U) Procurement of Headstones and Markers and/or Presidential Memorial Certificates (1991U)	

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Archived (1985B)

## 66.009

Air Pollution Control Technical Information (1971U)

Air Pollution Control\_Technical Information Services (1973B)

Air Pollution\_Technical Information Services (1986B)

Air Information Center (1987U)

Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection (2003)

Protection of Children and Older Adults (Elderly) from Environmental Health Risks (2004)

Deleted (2005)

## 66.010

Air Pollution Control\_Interstate Cooperation and Uniform Laws (1972B)

Archived (1973U)

## 66.011

Solid Waste Technical Assistance, Training, and Information Services (1974B)

Number changed from 66.304 (1974B)

Solid Waste Technical Assistance, and Information Services (1975B)

Solid Waste Disposal Technical Assistance, and Information Services (1976B)

Solid Waste Management Technical Assistance, and Information Services (1976U)

Number changed to 66.450 (1977U)

## 66.012

Water Pollution Control Data Publications Services (1973B)

Number changed from 66.402 (1973B)

Number changed to 66.416 (1974B)

## 66.013

Water Pollution Control\_Direct Training (1973B)

Number changed from 66.403 (1973B)

Number changed to 66.417 (1974B)

## 66.014

Water Pollution Control\_Interstate Cooperation and Uniform Laws (1973B)

Number changed from 66.404 (1973B)

Incorporated into 66.650 (1973U)

## 66.015

Construction Grants for Wastewater Treatment Works (1973B)

Number changed from 66.400 (1973B)

Number changed to 66.418 (1974B)

## 66.017

Water Pollution Control\_State and Interstate Program Grants (1973B)

Number changed from 66.407 (1973B)

Number changed to 66.419 (1974B)

## 66.018

Water Pollution Control\_State and Local Manpower Development (1973B)

Number changed from 66.408 (1973B)

Number changed to 66.420 (1974B)

## 66.019

Water Pollution Control\_Technical Assistance and Criteria Development (1973B)

Number changed from 66.409 (1973B)

Archived (1974B)

## 66.020

Water Pollution Control\_Training Grants (1973B)

Number changed from 66.410 (1973B)

Number changed to 66.421 (1974B)

## 66.021

Water Quality Control\_Monitoring Assistance (1973B)

Number changed from 66.411 (1973B)

Number changed to 66.422 (1974B)

## 66.022

Water Quality Control Information System\_Orientation and Training Seminars (1973B)

Number changed from 66.412 (1973B)

Number changed to 66.423 (1974B)

## 66.023

Water Quality Management Technical Planning Assistance (1973B)

Number changed from 66.413 (1973B)

Archived (1974B)

## 66.025

Drinking Water Supply\_Technical Assistance (1973B)

Number changed from 66.415 (1973B)

Number changed to 66.425 (1974B)

## 66.026

Solid Waste Training Grants (1975B)

Solid Waste Disposal Training Grants (1976B)

Number changed to 66.453 (1977U)

## 66.027

Solid Waste Demonstration and Planning Grants (1975B)

Solid Waste Planning Grants (1975U)

Split into 66.027, 66.028 (1975U)

Solid Waste Disposal Planning Grants (1976B)

Number changed to 66.451 (1977U)

## 66.028

Solid Waste Demonstration Grants (1975U)

Split from 66.027 (1975U)

Solid Waste Disposal Demonstration Grants (1976B)

Number changed to 66.452 (1977U)

## 66.030

Noise Pollution Control\_Technical Assistance (1976B)

Archived (1981U)

## 66.031

Quiet Communities\_State and Local Capacity Building Assistance (1979B)

Archived (1981U)

## 66.032

State Indoor Radon Grants (1989U)

## 66.033

Ozone Transport (1997U)

Ozone Transport Commission (2006)

## 66.034

Surveys, Studies Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2002B)

Surveys Studies, Investigations Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2003B)

Surveys, Studies, Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2005)

Surveys, Studies, Investigations, Demonstrations and Special Purpose Activities Relating to the Clean Air Act (2005)

Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act (2008)

## 66.035

Community Action for a Renewed Environment (CARE) Program (2005)

## 66.036

Clean School Bus USA (2005)

Archived (2011)

## 66.037

Internships, Training, Workshops and Fellowships for the Office of Air and Radiation (2006)

Internships, Training and Workshops for the Office of Air and Radiation (2008)

## 66.038

Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent With the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality (2008)

Archived (2012)

Reinstated (2012)



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<b>66.039</b> National Clean Diesel Funding Assistance Program (2008) National Clean Diesel Emissions Reduction Program (2010)	Archived (2009)	<b>66.203</b> Environmental Finance Center Grants (2008)
<b>66.040</b> State Clean Diesel Grant Program (2008)	<b>66.117</b> Region 9 multi-media and geographic priority projects (2007) Region 9 Multi-Media and Geographic Priority Projects (2009) Archived (2011)	<b>66.300</b> Solid Waste Demonstration and Resource Recovery System Grants (1971B) Transferred from 13.014 (1971B) Archived (1973B)
<b>66.041</b> Climate Showcase Communities Grant Program (2009) Archived (2012)	<b>66.119</b> West Coast Estuaries Initiative (2008)	<b>66.301</b> Solid Waste Planning Grants (1971B) Transferred from 13.015 (1971B) Archived (1973B)
<b>66.042</b> Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program (2010)	<b>66.120</b> Puget Sound Watershed Management Assistance (2009)	<b>66.302</b> Solid Waste Research Grants (1971B) Transferred from 13.016 (1971B) Number changed to 66.504 (1973B)
<b>66.050</b> Potomac Highlands Implementation Grants (2010)	<b>66.121</b> Puget Sound Protection and Restoration: Tribal Implementation Assistance Program (2009)	<b>66.303</b> Solid Waste Training Grants (1971B) Transferred from 13.017 (1971B) Archived (1973B)
<b>66.100</b> Pesticides Research Grants (1971B) Transferred from 13.102 (1971B) Number changed to 66.502 (1973B)	<b>66.122</b> Puget Sound Action Agenda Outreach, Education and Stewardship Support Program (2009)	<b>66.304</b> Solid Waste Technical Assistance, Training, and Information Services (1971U) Number changed to 66.011 (1974B)
<b>66.101</b> Pesticides Science and Technology_Technical Information (1971U) Number changed to 66.427 (1974B)	<b>66.123</b> Puget Sound Action Agenda: Technical Investigations and Implementation Assistance Program (2009)	<b>66.305</b> Compliance Assistance_Support for Services to the Regulated Community and Other Assistance Providers (2002U) 66.476 Security Planning Grants for Large Drinking Water Utilities (2002U) Reinstated - Compliance Assistance_Support for Services to the Regulated Community and Other Assistance Providers (2003) Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (2005) Compliance Assistance Support for Services to the Regulated Community and Other Assistance Providers (2005)
<b>66.110</b> Healthy Communities Grant Program (2005)	<b>66.124</b> Coastal Wetlands Planning Protection and Restoration Act (2010)	<b>66.306</b> Environmental Justice Collaborative Problem-Solving Grants Program (2004) Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (2005) Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program (2005) Archived (2009)
<b>66.111</b> Regional Environmental Priority Projects (2005) Archived (2011)	<b>66.125</b> Lake Pontchartrain Basin Restoration Program (PRP) (2010)	<b>66.307</b> Environmental Justice Training and Fellowship Assistance (2005)
<b>66.112</b> Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for Regional Geographic Initiatives (2008) Archived (2009)	<b>66.126</b> THE SAN FRANCISCO BAY WATER QUALITY IMPROVEMENT FUND (2010)	<b>66.308</b>
<b>66.113</b> Region 3 Environmental Priority Projects (2006)	<b>66.127</b> Southeastern U.S. Regional Targeted Watershed Initiative (2011)	
<b>66.114</b> Environmental Protection Consolidated Grants-Program Support (2006)	<b>66.128</b> Southeastern Multi-Media and Geographic Priority Projects (2012)	
<b>66.115</b> Surveys, Studies, Investigations, Training, Demonstrations, and Special Purpose Grants for EPA Region 10 Regional Geographic Initiative (2006)	<b>66.200</b> Radiation Research Grants (1971B) Split/Transferred from 13.012 (1971B) Number changed to 66.503 (1973B)	
<b>66.116</b> Regional Geographic Initiative/Environmental Priority Projects (2006)	<b>66.201</b> Radiation Training Grants (1971B) Split/Transferred from 13.013 (1971B) Archived (1973U)	
	<b>66.202</b> Congressionally Mandated Projects (2006)	

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Environmental Justice Research Assistance (2005)

## 66.309

Surveys, Studies, Investigations and Special Purpose Activities Relating to Environmental Justice (2005)

Surveys, Studies, Investigations, Training and Special Purpose Activities Relating to Environmental Justice (2011)

## 66.310

Capacity Building Grants and Cooperative Agreements for Compliance Assurance and Enforcement Activities in Indian Country and Other Tribal Areas (2005)

## 66.311

Assistance to Non-Profit Organizations with Activities Relating to Environmental Justice (2006)

## 66.312

State Environmental Justice Cooperative Agreement Program (2008)  
Archived (2011)

## 66.313

International Compliance and Enforcement Projects (2010)

## 66.400

Construction Grants for Wastewater Treatment Works (1971B)  
Transferred from 15.700 (1971B)  
Number changed to 66.015 (1973B)

## 66.401

Water Pollution Control Comprehensive Basin Planning Grants (1971B)  
Transferred from 15.701 (1971B)  
Water Pollution Control\_Comprehensive Basin Planning Grants (1972B)  
Archived (1973B)

## 66.402

Water Pollution Control Data Publications Services (1971B)  
Transferred from 15.702 (1971B)  
Number changed to 66.012 (1973B)

## 66.403

Water Pollution Control\_Direct Training (1971B)  
Transferred from 15.703 (1971B)  
Number changed to 66.013 (1973B)

## 66.404

Water Pollution Control\_Interstate Cooperation and Uniform Laws (1971B)  
Transferred from 15.704 (1971B)  
Number changed to 66.014 (1973B)

## 66.405

Water Pollution Control\_Research, Development, and Demonstration Grants (1971B)  
Transferred from 15.705 (1971B)  
Water Pollution Control\_Research, Development, and Demonstration (1972B)  
Number changed to 66.505 (1973B)

## 66.406

Water Pollution Control Research Fellowships (1971B)  
Transferred from 15.706 (1971B)  
Archived (1973B)

## 66.407

Water Pollution Control\_State and Interstate Program Grants (1971B)  
Transferred from 15.707 (1971B)  
Number changed to 66.017 (1973B)

## 66.408

Water Pollution Control\_State and Local Manpower Development (1971B)  
Transferred from 15.708 (1971B)  
Number changed to 66.018 (1973B)

## 66.409

Water Pollution Control\_Technical Assistance and Pollution Surveillance (1971B)  
Transferred from 15.709 (1971B)  
Number changed to 66.019 (1973B)

## 66.410

Water Pollution Control Training Grants (1971B)  
Transferred from 15.710 (1971B)  
Number changed to 66.020 (1973B)

## 66.411

Water Quality Control Information System (1971B)  
Transferred from 15.711 (1971B)  
Number changed to 66.021 (1973B)

## 66.412

Water Quality and Pollution Control\_Orientation and Training Seminars (1971B)  
Transferred from 15.712 (1971B)  
Number changed to 66.022 (1973B)

## 66.413

Water Quality Management Technical Planning Assistance (1971B)  
Transferred from 15.713 (1971B)  
Number changed to 66.023 (1973B)

## 66.414

Water Hygiene Research Grants (1971B)  
Transferred from 13.018 (1971B)  
Incorporated into 66.405 (1972B)

## 66.415

Drinking Water Supply\_Technical Assistance (1972B)  
Number changed to 66.025 (1973B)

## 66.416

Water Pollution Control\_Data Publications Services (1974B)  
Number changed from 66.012 (1974B)  
Incorporated into 66.423 (1977B)

## 66.417

Water Pollution Control\_Direct Training (1974B)  
Number changed from 66.013 (1974B)  
Archived (1982B)

## 66.418

Construction Grants for Wastewater Treatment Works (1974B)  
Number changed from 66.015 (1974B)  
Archived (1992B)  
Reinstated (2000U)

## 66.419

Water Pollution Control\_State and Interstate Program Grants (1974B)  
Number changed from 66.017 (1974B)  
Water Pollution Control State and Interstate Program Support (1985U)  
Water Pollution Control State and Interstate Program Support (2004)  
Water Pollution Control State and Interstate Program Support (2004)  
Water Pollution Control State, Interstate, and Tribal Program Support (2006)

## 66.420

Water Pollution Control\_State and Local Manpower Development (1974B)  
Number changed from 66.018 (1974B)  
Water Pollution Control\_State and Local Manpower Program Development (1976B)  
Archived (1981U)

## 66.421

Water Pollution Control\_Training Grants (1974B)  
Number changed from 66.020 (1974B)  
Split into 66.428, 66.429 (1974U)

## 66.422

Water Quality Control\_Monitoring Assistance (1974B)  
Number changed from 66.021 (1974B)  
Incorporated into 66.423 (1977B)

## 66.423

Water Quality Control Information System\_Orientation and Training Seminars (1974B)  
Number changed from 66.022 (1974B)  
Water Quality Control Information

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System\_Orientation/Training Seminars, Data and Monitoring Publications (1977B)  
Archived (1997B)

## 66.424

Surveys, Studies, Demonstrations and Special Purpose\_Section 1442 of the Safe Drinking Water Act (2003B)

Surveys, Studies, Demonstrations and Special Purpose Grants - Section 1442 of the Safe Drinking Water Act (2004)

Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act (2008)

## 66.425

Drinking Water Supply\_Technical Assistance (1974B)

Number changed from 66.025 (1974B)

Archived (1983U)

## 66.426

Water Pollution Control\_Area Waste Treatment Management Planning Grants (1974B)

Water Pollution Control\_State and Areawide Waste Treatment Management Planning Grants (1976U)

Water Pollution Control\_State and Areawide Water Quality Management Planning Agency (1977B)

Archived (1983B)

## 66.427

Pesticides Science and Technology\_Technical Information (1974B)

Number changed from 66.101 (1974B)

Archived (1979B)

## 66.428

Water Pollution Control\_Professional Training Grants (1974U)

Split from 66.421 (1974U)

Archived (1982B)

## 66.429

Water Pollution Control\_Technical Training Grants (1974U)

Split from 66.421 (1974U)

Archived (1981B)

## 66.430

Water Pollution Control Fellowships (1974U)

Archived (1981U)

## 66.431

Water Pollution Control Loans (1974U)

Transferred/Incorporated into 59.024 (1979B)

## 66.432

Grants for State Public Water System Supervision Programs (1975U)

Public Water System Supervision\_State Program Grants (1976B)

State Public Water System Supervision Program Grants (1976U)

State Public Water System Supervision (1985U)

## 66.433

Grants for Underground Injection Control Programs (1975U)

Underground Water Source Protection\_State Program Grants (1976B)

State Underground Water Source Protection Program Grants (1976U)

State Underground Water Source Protection\_Program Grants (1981B)

State Underground Water Source Protection (1985U)

## 66.434

Safe Drinking Water\_State and Local Program Development Grants (1976U)

Archived (1979B)

## 66.435

Water Pollution Control\_Lake Restoration Demonstration Grants (1976U)

Water Pollution Control\_Lake Restoration Cooperative Agreements (1980U1)

Archived (1981U)

Reinstated (1987U)

Archived (1998B)

## 66.436

Surveys, Studies, Investigations, Demonstrations and Training Grants and Cooperative Agreements\_Section 1442 of the Clean Water Act (2003B)

Surveys, Studies, Demonstrations and Special Purpose Grants - Section 1442 of the Safe Drinking Water Act (2004)

## 66.437

Long Island Sound Program (2004)

## 66.438

Construction Management Assistance Grants (1978U)

Construction Management Assistance (1985U)

Archived (1998B)

## 66.439

Targeted Watershed Initiative (2003B)

Targeted Watershed Grants (2004)

Targeted Watersheds Grants (2006)

## 66.440

Urban Waters Small Grants (2011)

## 66.450

Solid Waste Management Technical Assistance and Information Services (1977U)

Number changed from 66.011 (1977U)

Archived (1981U)

## 66.451

Solid and Hazardous Waste Management Program Support Grants (1977U)

Number changed from 66.027 (1977U)

Hazardous Waste Management Program Support Grants (1981U)

Hazardous Waste Management Financial Assistance to States (1982B)

Number changed to 66.801 (1983B)

## 66.452

Solid Waste Management Demonstration Grants (1977U)

Number changed from 66.028 (1977U)

Archived (1981B)

## 66.453

Solid Waste Management Training Grants (1977U)

Number changed from 66.026 (1977U)

Archived (1981U)

## 66.454

Water Quality Management Planning (1983B)

## 66.455

Marine Combined Sewer Overflow Special Fund (1984B)

Construction Grants for Wastewater Treatment Works for Combined Sewer Overflows (1985U)  
Archived (1986B)

Construction Grants for Abatement of Combined Sewer Overflow Pollution in Marine Bays and Estuaries, Reinstated (1988U)

Archived (1989U)

## 66.456

Comprehensive Estuarine Management (1985U)  
National Estuary Program (1987U)

## 66.458

Capitalization Grants for State Revolving Funds (1988B)

Capitalization Grants for Clean Water State Revolving Funds (2003B)

## 66.459

Nonpoint Source Reservation (1988B)

Archived (1991B)

## 66.460

Nonpoint Source Implementation (1990B)

Archived (1991B)

Nonpoint Source Implementation Grants (1993B)

## 66.461

Wetlands Protection\_State Development Grants (1989U)

Wetlands Protection\_State and Tribal Development Grants (1995U)

Wetlands Protection\_Development Grants (1997B)

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Wetlands Grants (2000U)

Wetland Program Development Grants (2003B)  
Regional Wetland Program Development Grants (2005)

Regional Wetland Program Development Grants (2005)

### 66.462

National Wetland Program Development Grants (2005)

National Wetland Program Development Grants and Five-Star Restoration Training Grant (2008)

### 66.463

National Pollutant Discharge Elimination System Related State Program Grants (1991U)  
Water Quality Cooperative Agreements (2000U)

### 66.464

Near Coastal Waters (1991U)  
Archived (1994B)

### 66.465

Wellhead Protection Demonstration Projects (1994B)  
Archived (1995B)

### 66.466

Chesapeake Bay Program (1994B)  
Chesapeake Bay Program (2005)  
Chesapeake Bay Program (2005)

### 66.467

Wastewater Operator Training Grant Program (Technical Assistance) (1994U)  
Wastewater Operator Training Grant Program (2009)

### 66.468

Capitalization Grants for Drinking Water State Revolving Fund (1997B)

### 66.469

Great Lakes Program (1997B)

### 66.470

Hardship Grants Program for Rural Communities (1997B)  
Archived (1998B)

### 66.471

State Grants to Reimburse Operators of Small Water Systems for Training and Certification Costs (2001B)

### 66.472

Beach Monitoring and Notification Program Development Grants (2001B)  
Beach Monitoring and Notification Program Implementation Grants (2003B)

### 66.473

Direct Implementation Tribal Cooperative Agreements (2001U)

### 66.474

Water Protection Coordination Grants to States (2002B)  
Water Protection Grants to the States (2003B)

### 66.475

Gulf of Mexico Program (2002B)

### 66.476

Vulnerability Assessments and Related Security Improvements at Large Drinking Water Utilities (2003B)  
Security Planning Grants for Large Drinking Water Utilities (2004)  
Deleted (2005)

### 66.477

Security Grants for Privately-Owned Water Utilities (2002U)

### 66.478

Water Security Training and Technical Assistance Grant Program (2003B)  
Water Security Training and Technical Assistance (2004)  
Water Security Training and Technical Assistance and Water Security Initiative Contamination Warning System Pilots (2007)

### 66.479

Wetland Program Grants - State/Tribal Environmental Outcome Wetland Demonstration Program (2005)

### 66.480

Assessment and Watershed Protection Program Grants (2005)

### 66.481

Lake Champlain Basin Program (2005)

### 66.500

Environmental Protection\_Comprehensive Research Grants (1972U)  
Environmental Protection\_Consolidated Research Grants (1974U)  
Environmental Protection\_Consolidated Research (1985U)  
Consolidated from 66.501, 66.502, 66.504, 66.505, 66.506, 66.507 (1997B)  
Environmental Protection Consolidated Research (2002B)  
Environmental Protection\_Consolidated Research (2003B)  
Deleted (2005)  
Deleted (2005)

### 66.501

Air Pollution Control Research Grants (1973B)  
Number changed from 66.004 (1973B)  
Air Pollution Control Research (1985U)  
Consolidated into 66.500 (1997B)

### 66.502

Pesticides Research Grants (1973B)  
Number changed from 66.100 (1973B)  
Pesticides Control Research Grants (1976B)  
Pesticides Control Research (1985U)  
Consolidated into 66.500 (1997B)

### 66.503

Radiation Research Grants (1973B)  
Number changed from 66.200 (1973B)  
Archived (1977B)

### 66.504

Solid Waste Research Grants (1973B)  
Number changed from 66.302 (1973B)  
Solid Waste Disposal Research Grants (1976B)  
Solid Waste Disposal Research (1985U)  
Consolidated into 66.500 (1997B)

### 66.505

Water Pollution Control\_Research, Development, and Demonstration (1973B)  
Number changed from 66.405 (1973B)  
Water Pollution Control\_Research, Development, and Demonstration Grants (1975B)  
Wastewater Pollution Control\_Research, Development, and Demonstration (1985U)  
Consolidated into 66.500 (1997B)

### 66.506

Water Supply Research Grants (1973B)  
Water Research and Demonstration Grants (1975U)  
Safe Drinking Water Research and Demonstration (1985U)  
Consolidated into 66.500 (1997B)

### 66.507

Toxic Substances Research Grants (1978B)  
Toxic Substances Research (1985U)  
Consolidated into 66.500 (1997B)

### 66.508

Senior Environmental Employment Program (1986B)

### 66.509

Science To Achieve Results (STAR) Program (2002U)  
Science To Achieve Results (STAR) Research Program (2005)  
Science To Achieve Results (STAR) Research Program (2005)

### 66.510

## Appendix VII: Historical Profile of Catalog Programs

Surveys, Studies, Investigations and Special Purpose Grants within the Office of Research and Development (2003B)

### 66.511

Consolidated Research (2002U)

66.511, 66.610 Surveys, Studies, Investigations and Special Purpose Grants (2002U)

Office of Research and Development Consolidated Research (2003)

Office of Research and Development Consolidated Research/Training (2005)

Office of Research and Development Consolidated Research/Training (2005)

Office of Research and Development Consolidated Research/Training/Fellowships (2008)

### 66.512

Regional Environmental Monitoring and Assessment Program (REMAP) Research Projects (2005)

Archived (2011)

### 66.513

Greater Research Opportunities Fellowship Program (2004)

Greater Research Opportunities (GRO) Fellowships For Undergraduate/Graduate Environmental Study (2006)

Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study (2009)

### 66.514

Science To Achieve Results (STAR) Fellowship Program (2004)

### 66.515

Greater Opportunities Research Program (2004)

Greater Opportunities: Research Program (2005)

Greater Research Opportunities (GRO) Research Program (2008)

Archived (2009)

### 66.516

National Student Design Competition for Sustainability (2004)

P3 Award: National Student Design Competition for Sustainability (2004)

### 66.517

Regional Applied Research Efforts (RARE) (2007)

### 66.518

State Senior Environmental Employment Program (2005)

### 66.600

Environmental Protection\_Consolidated Program Grants (1973B)

Environmental Protection\_Consolidated Program Support Grants (1975U)

Environmental Protection Consolidated Grants\_Program Support (1976B)

Environmental Protection Consolidated Grants-Program Support (2004)

Environmental Protection Consolidated Grants for the Insular Areas - Program Support (2008)

### 66.601

Environmental Financing Authority (1974U)

Archived (1975U)

### 66.602

Environmental Protection\_Consolidated Special Purpose Grants (1975U)

Environmental Protection Consolidated Grants\_Special Purpose (1976B)

Incorporated into 66.600 (1982B)

### 66.603

Loan Guarantees for Construction of Treatment Works (1978U)

### 66.604

Environmental Justice Grants to Small Community Groups (1994B)

Environmental Justice Small Grant Program (2005)

Environmental Justice Small Grant Program (2005)

### 66.605

Performance Partnership Grants (1997B)

### 66.606

Surveys, Studies, Investigations and Special Purpose Grants (1997B)

Incorporated into 66.202 (2006)

### 66.607

Training and Fellowships for the Environmental Protection Agency (1997B)

### 66.608

One Stop Reporting (1997U)

State Information Grants (2002B)

Environmental Information Exchange Network Grant Program and Related Assistance (2005)

### 66.609

Protection of Children And The Aging (Or Edlerly Population) (2003B)

Protection of Children and the Aging as a Fundamental Goal of Public Health and Environmental Protection (2003B)

Protection of Children from Environmental Health Risks (2011)

### 66.610

Surveys, Studies, Investigations and Special Purpose Grants within the Office of the

Administrator (2003B)

### 66.611

Environmental Policy and Innovation Grants (2002U)

### 66.612

Surveys, Studies, Investigations, Training Demonstrations and Educational Outreach Related to Environmental Information and the Release of Toxic Chemicals (2007)

### 66.650

Environmental Protection\_Interstate Cooperation and Uniform Laws (1973U)

Number changed from 66.014 (1973U)

Archived (1978U)

### 66.651

Sustainable Development Challenge Grants (1997B)

Innovative Community Partnership (2000B) Archived (2000U)

### 66.700

Pesticides Enforcement Program Grants (1977U)

Pesticides Enforcement Program (1985U)

Consolidated Pesticide Compliance Monitoring and Program Cooperative Agreements (1990B)

Incorporated from 66.704 (1990B)

Consolidated Pesticide Enforcement Cooperative Agreements (1997B)

### 66.701

Toxic Substances Compliance Monitoring Cooperative Agreements (1984U)

Toxic Substances Compliance Monitoring Program (1989U)

Toxic Substances Compliance Monitoring Cooperative Agreements (1995B)

### 66.702

Asbestos Hazard Abatement School Assistance Program (1984U)

Asbestos Hazards Abatement (Schools) Assistance (1985U)

Archived (1994B)

### 66.703

Asbestos Inspection and Management Plan Assistance (1987U)

Archived (1989B)

### 66.704

Pesticides Certification Program (1988U)

Incorporated into 66.700 (1990B)

### 66.705

Toxic Release Inventory Data Quality Assurance Program (1990B)

Toxic Release Inventory Data Quality Capabilities

# Appendix VII: Historical Profile of Catalog Programs

Program (1991B)  
Archived (1992B)

## 66.706

Enhancement Grants for State Asbestos Programs (1991B)  
Archived (1994B)

## 66.707

TSCA Title IV State Lead Grants\_Certification of Lead- Based Paint Professionals (1994B)  
TSCA Title IV State Lead Grants Cerfitication of Lead\_Based Paint Professionals (2003B)  
TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (2005)  
TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals (2005)

## 66.708

Pollution Prevention Grants Program  
Number changed from 66.900 (1994B)  
Revised (1997U)

## 66.709

Capacity Building Grants and Cooperative Agreements for States and Tribes (2001B)  
Multi-Media Capacity Building Grants for States and Tribes (2005)  
Multi-Media Capacity Building Grants for States and Tribes (2005)  
Archived (2012)

## 66.710

Environmental Justice Community/University Partnership Grants Program (1997B)  
Archived (2001B)

## 66.711

Environmental Justice through Pollution Prevention Grants (1999B)  
Archived (2002B)

## 66.713

State and Tribal Environmental Justice (1998B)  
Archived (2001B)

## 66.714

Pesticide Environmental Stewardship\_Regional Grants (1999U)  
Pesticide Environmental Stewardship Regional Grants (2003B)  
Pesticide Environmental Stewardship\_Regional Grants (2004)  
Pesticide Environmental Stewardship Regional Grants (2005)  
Pesticide Environmental Stewardship Regional Grants (2005)  
Regional Agricultural IPM Grants (2011)

## 66.715

Childhood Blood-Lead Screening and Lead

Awareness (Educational) Outreach for Indian Tribes (2001B)  
Tribal Educational Outreach on Lead Poisoning and Baseline Assessment of Tribal Children's Existing and Potential Exposure and Risks Associated With Lead (2006)  
Lead Educational Outreach and Baseline Assessment of Tribal Children's Exposure and Risks Associated With Lead (2008)

## 66.716

Surveys, Studies, Investigations, Training and Demonstrations and Educational Outreach (2003B)  
Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies (2008)

## 66.717

Source Reduction Assistance (2002U)

## 66.718

National Community-Based Lead Outreach and Training Grant Program (2007)

## 66.800

State Toxic Substances Control Projects (1979B)  
Archived (1981B)

## 66.801

Hazardous Waste Management Financial Assistance to States (1983B)  
Number changed from 66.451 (1983B)  
Hazardous Waste Management State Program Support (1985U)

## 66.802

Hazardous Substance Response Trust Fund (1983B)  
Superfund State Site\_Specific Cooperative Agreements (1994U)  
Superfund State, Political Subdivision, and Indian Tribe Site\_Specific Cooperative Agreements (2002B)  
Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements (2009)

## 66.803

Hazardous Waste Management Financial Assistance (1984U)  
Archived (1985B)

## 66.804

State Underground Storage Tanks Program (1985U)  
State and Tribal Underground Storage Tanks Program (2000B)  
Underground Storage Tank Prevention, Detection and Compliance Program (2009)

## 66.805

Underground Storage Tank Trust Fund Program (1987B)

Leaking Underground Storage Tank Trust Fund Program (1995B)

Leaking Underground Storage Tank\_Trust Fund (2002B)

Leaking Underground Storage Tank Trust Fund Program (2003B)

Leaking Underground Storage Tank Trust Fund Corrective Action Program (2009)

## 66.806

Superfund Technical Assistance Grants for Citizen Groups at Priority Sites (1988B)  
Superfund Technical Assistance Grants (Tag) for Citizen Groups at Priority Sites (2002B)  
Superfund Technical Assistance Grants for Citizen Groups at Priority Sites (2003B)  
Superfund Technical Assistance Grants (TAG) for Community Groups at National Priority List (NPL) Sites (2004)

## 66.807

Superfund Innovative Technology Evaluation Program (1988B)  
Deleted (2004)

## 66.808

Solid Waste Management Assistance (1989U)  
Solid Waste Management Assistance Grants (2005)  
Solid Waste Management Assistance Grants (2005)

## 66.809

Core Program Cooperative Agreements (1991B)  
Superfund State Core Program Cooperative Agreements (1994U)  
Sunperfund State and Indian Tribe Core Program\_Cooperative Agreements (2002B)  
Superfund State and Indian Tribe Core Program Cooperative Agreements (2003B)

## 66.810

Emergency Planning and Community Right-to-Know Technical Assistance Grants (1993U)  
Technical Assistance Grants Program (1994U)  
CEPP Technical Assistance Grants Program (1995U)  
Chemical Emergency Preparedness and Prevention (CEPP) Technical Assistance Grants Program (2003B)

## 66.811

Brownfield Pilots Cooperative Agreements (1997B)  
Revised (1998U)

## 66.812

Hazardous Waste Management Grants for Tribes (2002B)  
Tribal Hazardous Waste Grants (2003B)

# Appendix VII: Historical Profile of Catalog Programs

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Hazardous Waste Management Grant Program for Tribes (2005)

Hazardous Waste Management Grant Program for Tribes (2005)

## 66.813

Alternative/Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants (2002U)

## 66.814

Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements (2003B)

## 66.815

Brownfield Job Training Cooperative Agreements (2003B)  
Environmental Workforce Development and Job Training Cooperative Agreements (2011)

## 66.816

Headquarter and Regional Underground Storage Tanks (2002U)  
Headquarters and Regional Underground Storage Tanks Program (2005)  
Headquarters and Regional Underground Storage Tanks Program (2005)  
Headquarters and Regional Underground Storage Tanks Program (2005)

## 66.817

State and Tribal Response Program Grants (2002U)

## 66.818

Brownfield Assessment and Cleanup Cooperative Agreements (2002U)

## 66.900

Pollution Prevention Incentives for States (1989U)  
Pollution Prevention Grants Program (1991U)  
Number changed to 66.708 (1994B)

## 66.925

State/EPA Data Management Financial Assistance Program (1991B)  
Archived (1993U)

## 66.926

Indian Environmental General Assistance Program (1993U)  
Indian Environmental General Assistance Program (GAP) (2003B)

## 66.930

U.S.-Mexico Border Grants Program (1997B)  
Archived (2002B)

## 66.931

International Financial Assistance Projects (2002U)  
Agency Request (2009)

International Financial Assistance Projects Sponsored by the Office of International Affairs (2009)

International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs (2010)

## 66.940

Environmental Policy and State Innovation Grants (2005)  
Environmental Policy and State Sustainability Grants (2010)  
Archived (2012)

## 66.950

Environmental Education and Training Program (1992B)  
Environmental Education Training Program (2009)  
National Environmental Education Training Program (2010)

## 66.951

Environmental Education Grants (1992B)

## 66.952

National Network for Environmental Management Studies Fellowship Program (2005)

## 66.953

Building Capacity to Implement EPA National Guidelines for School Environmental Health Programs (2011)  
Archived (2012)

## NATIONAL COUNCIL ON INDIAN OPPORTUNITY

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### 67.001

Indian Information and Counseling (1971B)  
Indian Advice and Special Services (1973B)  
Archived (1974B)

## NATIONAL GALLERY OF ART

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### 68.001

National Gallery of Art Extension Service (1971B)

## OFFICE OF CONSUMER AFFAIRS

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### 69.001

Consumer Affairs (1971B)  
Transferred from 52.500 (1971B)  
Archived (1973B)

## OVERSEAS PRIVATE INVESTMENT CORPORATION

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### 70.001

Foreign Currency Loans (1971B)  
Transferred from 19.001 (1971B)  
Archived (1979B)

### 70.002

Foreign Investment Guaranties (1971B)

Transferred from 19.004 (1971B)  
Foreign Investment Financing (1994B)

### 70.003

Foreign Investment Insurance (1971B)  
Transferred from 19.005 (1971B)

### 70.004

Pre-Investment Assistance (1971B)  
Archived (1986U)

### 70.005

Direct Investment Loans (1971B)  
Consolidated into 70.002 (1994B)

## FEDERAL HOME LOAN BANK BOARD

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### 71.001

Housing Opportunity Allowance Program (1971B)  
Archived (1972B)

## ACTION

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### 72.001

Foster Grandparents (1971U)  
The Foster Grandparents Program (1973B)  
The Foster Grandparent Program (1977B)  
Foster Grandparent Program (1984B)  
Number changed to 94.011 (1995B)

### 72.002

Retired Senior Volunteers (1971U)  
Retired Senior Volunteer Program (1973B)  
Number changed to 94.002 (1995B)

### 72.003

Volunteers in Service to America (1971U)  
Number changed to 94.013 (1995B)

### 72.004

University Year for ACTION (1973B)  
Archived (1981U)

### 72.005

National Student Volunteer Program (1973B)  
National Center for Service-Learning (1979U1)  
Service-Learning Programs (1983B)  
Student Community Service Program (1989U)  
Archived (1994B)

### 72.006

Service Corps of Retired Executives/Active Corps of Executives (1972U)  
Service Corps of Retired Executives and Active Corps of Executives (1973B)  
Transferred to 59.026 (1976B)

### 72.007

ACTION Cooperative Volunteer Program (1974B)  
Incorporated into 72.003 (1976U)

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## **72.008**

The Senior Companion Program (1974B)  
Senior Companion Program (1984B)  
Number changed to 94.016 (1995B)

## **72.009**

The Youth Challenge Program (1975B)  
Archived (1979B)

## **72.010**

Mini-Grant Program (1976B)  
Archived (1992B)

## **72.011**

State Volunteer Services Coordinator Program (1977B)  
State Office of Voluntary Citizen Participation (1979U1)  
State Office of Voluntarism (1986B)  
Archived (1989U)

## **72.012**

Special Volunteer Programs (1979U1)  
Volunteer Demonstration Program (1981U)  
Archived (1991B)

## **72.013**

Support Services Assistance (1980U1)  
Technical Assistance Program (1981U)  
Archived (1991B)

## **72.014**

Drug Alliance (1989B)  
Archived (1994B)

## **72.015**

Literacy Corps (1989B)  
Number changed to 94.010 (1995B)

## **SPECIAL ACTION OFFICE FOR DRUG ABUSE PREVENTION**

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### **73.001**

Drug Abuse Prevention\_Pharmacological Research (1973U)  
Archived (1975B)

### **73.002**

Drug Abuse Prevention\_Planning and Coordinating Functions (1973U)  
Archived (1975B)

### **73.003**

Drug Abuse Prevention\_Incentives Program (1973U)  
Archived (1975B)

## **AMERICAN REVOLUTION BICENTENNIAL ADMINISTRATION**

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### **74.001**

Bicentennial Administration\_Matching Project

Grants (Non-Appropriated) (1974B)  
Archived (1976B)

### **74.002**

Bicentennial Administration\_Matching Project Grants (Appropriated) (1974B)  
Archived (1976B)

### **74.003**

Bicentennial Administration\_Direct Grants (1974B)  
Archived (1976B)

## **OLD WEST REGIONAL COMMISSION**

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### **75.001**

Old West Regional Economic Development (1975B)  
Archived (1981U)

### **75.002**

Old West Technical and Planning Assistance (1975B)  
Archived (1981U)

### **75.003**

Old West Supplements to Federal Grant-in-Aid (1977B)  
Archived (1981U)

### **75.007**

Old West Health and Nutrition Demonstration Projects (1977U)  
Archived (1981U)

## **PACIFIC NORTHWEST REGIONAL COMMISSION**

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### **76.001**

Pacific Northwest Economic Development (1975B)  
Pacific Northwest Regional Economic Development (1975U)  
Archived (1981U)

### **76.002**

Pacific Northwest Technical and Planning Assistance (1975B)  
Archived (1981U)

### **76.004**

Pacific Northwest Regional Transportation (1977U)  
Archived (1981U)

### **76.005**

Pacific Northwest Energy Demonstration Projects and Programs (1977U)  
Archived (1981U)

### **76.008**

Pacific Northwest Education Demonstration Projects (1977U)  
Archived (1981U)

## **NUCLEAR REGULATORY COMMISSION**

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### **77.001**

Radiation Control\_Training Assistance and Advisory Counseling (1975B)  
Transferred from 24.027 (1975B)  
Deleted (2004)

### **77.002**

Radiological Emergency Response\_Training Assistance (1979B)  
Transferred to 83.402 (1980B)

### **77.003**

Enhance Technology Transfer and Dissemination of Nuclear Energy Process and Safety Information (1980U2)  
Archived (1995U)  
Reinstated (1997B)  
Archived (1998B)

### **77.004**

Enhance Technology Advancement of Nuclear Energy Safety (1980U2)  
Archived (1982B)

### **77.005**

Financial Assistance for NRC Local Public Document Rooms (LPDRs) (1990B)  
Deleted (2004)

### **77.006**

U. S. Nuclear Regulatory Commission Nuclear Education Grant Program (2006)

### **77.007**

U.S. Nuclear Regulatory Commission Minority Serving Institutions Program (MSIP) (2008)

### **77.008**

U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program (2007)

### **77.009**

Office of Research Program (2009)  
U.S. Nuclear Regulatory Commission Office of Research Financial Assistance Program (2009)

## **COMMODITY FUTURES TRADING COMMISSION**

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### **78.001**

Agricultural Futures Markets Supervision (1975U)  
Transferred from 10.100 (1975U)  
Split into 78.002, 78.004 (1977B)

### **78.002**

Commodity Futures Market Reports (1977B)  
Split from 78.001 (1977B)  
Archived (1985U)



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## 78.003

Commodity Futures Consumer Information (1977B)  
Archived (1981B)

## 78.004

Commodity Futures Customer Inquiries, Complaints, and Reparation Claims (1977B)  
Split from 78.001 (1977B)  
Commodity Futures Reparations Claims (1979B)

## SOUTHWEST BORDER REGIONAL COMMISSION

### 79.001

Southwest Border Regional Economic Development (1977U)  
Archived (1981U)

### 79.002

Southwest Border Technical and Planning Assistance (1977U)  
Archived (1981U)

## FEDERAL ENERGY ADMINISTRATION

### 80.001

State Energy Conservation Program (1976U)  
Transferred to 81.041 (1978B)

### 80.002

Weatherization Assistance Program for Low-Income Persons (1977U)  
Transferred to 81.042 (1978B)

### 80.003

Supplemental State Energy Conservation Program (1977U)  
Transferred to 81.043 (1978B)

## DEPARTMENT OF ENERGY

### 81.001

Access Permits (1978B)  
Transferred from 24.001 (1978B)  
Archived (1979U1)

### 81.002

Motion Picture Film Libraries (1978B)  
Transferred from 24.002 (1978B)  
Archived (1983B)

### 81.003

Granting of Patent Licenses (1978B)  
Transferred from 24.003 (1978B)

### 81.004

University-Laboratory Cooperative Program (1978B)  
Transferred from 24.004 (1978B)  
Consolidated from 81.097 (1997B)  
Archived (1998B)

### 81.007

Faculty Training Institutes, Short Courses, and Workshops on Energy and Environmental Subjects (1978B)  
Transferred from 24.007 (1978B)

Faculty Development Projects in Energy (1978U)  
Teacher Development Projects in Energy (1979B)  
Archived (1983U)

### 81.011

Reactor Sharing and Fuel Assistance (1978B)  
Transferred from 24.011 (1978B)  
University Reactor Fuel Assistance (1980B)  
University Reactor Sharing and Fuel Assistance (1980U1)  
Consolidated into 81.049 (1992B)

### 81.020

Traineeships for Graduate Students in Energy Related Fields (1978B)  
Transferred from 24.020 (1978B)  
Archived (1979B)

### 81.022

Energy-Related Laboratory Equipment Grants (1978B)  
Transferred from 24.022 (1978B)  
Used Energy-Related Laboratory Equipment Grants (1981U)  
Laboratory Equipment Donation Program (2011)

### 81.023

Information Services\_Exhibits, Public Speakers, Publications, Reference, and Analysis (1978B)  
Transferred from 24.023 (1978B)  
Information Services\_Exhibits, Public Speakers, and Publications (1979B)  
Archived (1983B)

### 81.026

Payments in Lieu of Property Taxes (1978B)  
Transferred from 24.026 (1978B)  
Archived (1979U1)

### 81.028

Radiological Emergency Assistance (1978B)  
Transferred from 24.028 (1978B)  
Archived (1991B)

### 81.029

Nuclear Industry Seminars (1978B)  
Transferred from 24.029 (1978B)  
Uranium Industry Seminars (1980B)  
Archived (1983U)

### 81.030

Work Experience (1978B)  
Transferred from 24.030 (1978B)  
Archived (1980B)

### 81.003

Citizens' Workshops (1978B)  
Transferred from 24.033 (1978B)  
Archived (1980U1)

### 81.035

Research and Development in Energy Conservation (1978B)  
Transferred from 24.035 (1978B)  
Archived (1980U1)

### 81.036

Energy-Related Inventions (1978B)  
Transferred from 24.036 (1978B)  
Inventions and Innovations (2001U)

### 81.037

Research and Development\_Fission, Fossil, Solar, Geothermal, Electric and Storage Systems, Magnetic Fusion (1978B)  
Transferred/Consolidated from 24.024, 24.034 (1978B)  
Research and Development\_Fission, Fossil, Solar, Geothermal, Electric and Storage Systems (1980B)  
Archived (1980U1)

### 81.038

Energy Information Administration\_Clearinghouse (EIAC) (1978B)  
Energy Information Administration\_Clearinghouse (1980B)  
Archived (1982B)

### 81.039

National Energy Information Center (NEIC) (1978B)  
National Energy Information Center (1980B)  
Deleted (2007)

### 81.040

Grants for Offices of Consumer Services (1978B)  
Archived (1982B)

### 81.041

State Energy Conservation Program (1978B)  
Transferred from 80.001 (1978B)  
State Energy Conservation (1980B)  
Consolidated from 81.052 (1995U)  
State Energy Program (1997B)

### 81.042

Weatherization Assistance Program for Low-Income Persons (1978B)  
Transferred from 80.002 (1978B)  
Weatherization Assistance for Low-Income Persons (1980B)

### 81.043

Supplemental State Energy Conservation Program (1978B)

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Transferred from 80.003 (1978B)

Supplemental State Energy Conservation (1980B)  
Archived (1983B)

## **81.044**

Public Education in Energy (1978B)  
Archived (1980B)

## **81.045**

Special Studies and Projects in Energy Education  
and Training (1978B)  
Archived (1980B)

## **81.046**

Research and Development in Biomedical and  
Environmental Sciences (1978B)  
Transferred/Split from 24.034, 24.034 (1978B)  
Environmental Research and Impact Assessments  
(1978U)  
Archived (1980B)

## **81.047**

PREFACE (Pre-Freshman and Cooperative  
Education for Minorities in Engineering) (1978B)  
PREFACE (Pre-Freshman and Cooperative  
Education for Minorities and Women in  
Engineering) (1978U)  
Pre-Freshman and Cooperative Education for  
Minorities and Women in Engineering (1980B)  
Pre-Freshman Education for Minorities and Women  
in Engineering (1980U1)  
Pre-Freshman Engineering for Minorities and  
Women (1980U2)  
Archived (1981B)  
Reinstated (1983U)  
Pre-Freshman Engineering (1983U)  
Pre-Freshman Enrichment (1990B)  
Consolidated into 81.049 (1992B)

## **81.048**

Materials Allocation (1978B)  
Priorities and Allocations for Energy Programs and  
Projects (1980B)  
Archived (1996B)

## **81.049**

Basic Energy Sciences, High Energy and Nuclear  
Physics, and Advanced Technology and  
Assessment Projects (1978B)  
Transferred/Split from 24.024 (1978B)  
Basic Energy Sciences, High Energy/Nuclear  
Physics, Fusion Energy, and Program Analysis  
(1980B)  
Basic Energy Sciences, High Energy/Nuclear  
Physics, Fusion Energy, Program Analysis and  
Field Operations Management (1980U2)  
Basic Energy Sciences, High Energy/Nuclear  
Physics, Fusion Energy, Health and Environmental  
Research, Program Analysis and Field Operations  
Management (1981B)  
Incorporated into 81.049, 81.073, 81.074 (1981U)

Basic Energy Sciences, High Energy/Nuclear  
Physics, Magnetic Fusion Energy, Health and  
Environmental Research, Program Analysis and  
Field Operations Management (1983U)

Basic Energy Services, High Energy and Nuclear  
Physics, Magnetic Fusion Energy, Health and  
Environmental Research, Program Analysis and  
Field Operations Management (1985B)

Basic Energy Sciences\_University and Science  
Education (1991B)

Consolidated from 81.011, 81.047 (1992B)  
Office of Energy Research Financial Assistance  
Program (1997B)

Office of Science Financial Assistance Program  
(1999B)

## **81.050**

Energy Extension Service (1978B)  
Archived (1994B)

## **81.051**

Appropriate Energy Technology (1979U1)  
Archived (1985U)

## **81.052**

Energy Conservation for Institutional Buildings  
(1979U1)  
Consolidated into 81.041 (1995U)

## **81.053**

Public Utility Regulatory Innovative Rates Support  
(1979U1)  
Archived (1982B)

## **81.054**

Public Utility Regulatory Support (1979U1)  
Archived (1981U)

## **81.055**

Small Hydroelectric Power Project Feasibility  
Studies (1980B)  
Archived (1981U)

## **81.056**

Coal Loan Guarantees (1980B)  
Archived (1987U)

## **81.057**

University Coal Research (1980B)

## **81.058**

Geothermal Loan Guarantees (1980B)  
Archived (1983B)

## **81.059**

Clearinghouse for Community Energy Efficiency  
(1980B)  
Archived (1982B)

## **81.060**

Electric and Hybrid Vehicle Loan Guaranties

(1980B)

Archived (1983B)

## **81.061**

Oil Shale State Grants (1980U1)  
Archived (1981U)

## **81.062**

National Clubs, Organizations and Associations  
Energy Conservation Projects (1980U1)  
National Clubs, Organizations and Associations  
Energy Awareness Projects (1981B)  
Archived (1983B)

## **81.063**

Office of Minority Economic Impact Loans  
(1980U2)  
Archived (1993U)

## **81.064**

DOE Technical Information Center (1980U2)  
Office of Scientific and Technical Information  
(1984B)

## **81.065**

Research and Development Nuclear Energy  
Programs (1980U2)  
Nuclear Waste Disposal Siting (1983B)

## **81.066**

American Indian Energy Production and Efficiency  
(1980U2)  
Archived (1982B)

## **81.067**

Technical Assistance for Local and Tribal  
Governments (1980U2)  
Archived (1982B)

## **81.068**

Biomass Loan Guarantees (1980U2)  
Archived (1982B)

## **81.069**

Gasoline Rationing\_State Preimplementation  
Activities (1980U2)  
Archived (1982B)

## **81.070**

Energy Auditor Training and Certification Grants  
(1980U2)  
Archived (1982B)

## **81.071**

Emergency Energy Conservation Act Plans  
(1980U2)  
Archived (1982B)

## **81.072**

Conservation Retrofit Delivery\_Research and  
Development (1981U)

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Archived (1982B)

### 81.073

Geothermal Technologies Research and Development (1981U)  
Split from 81.049 (1981U)  
Archived (1982B)

### 81.074

Alcohol Fuels Loan Guarantees (1981U)  
Split from 81.049 (1981U)  
Archived (1983B)

### 81.075

Energy Graduate Traineeship Program (1981U)  
Archived (1983U)

### 81.076

Indian Energy Resources (1983B)  
Archived (1986U)

### 81.077

University Research Instrumentation (1983U)  
Archived (1996B)

### 81.078

Industrial Energy Conservation (1983U)  
Consolidated into 81.086 (1992U)

### 81.079

Biomass Energy Technology (1983U)  
Biofuels and Municipal Waste Technology (1985U)  
Regional Biomass Programs (1990U)  
Regional Biomass Energy Programs (1992U)

### 81.080

Energy Policy, Planning and Development (1983U)  
Domestic and International Energy Policy Development (1992B)  
Consolidated from 81.088 (1992B)  
Policy, Planning and Program Development (1993U)  
Office of Policy and Financial Assistance (1995B)  
Office of Policy Financial Assistance (1996B)  
Archived (1998B)

### 81.081

Energy Task Force for the Urban Consortium (1983U)  
Archived (2001B)

### 81.082

Management and Technical Assistance for Minority Business Enterprises (1984B)  
Deleted (2004)

### 81.083

Minority Educational Institution Research Travel Fund (1984B)  
Archived (1995B)

### 81.084

Minority Honors Vocational Training (1984B)  
Minority Honors Training and Industrial Assistance Program (1988B)  
Archived (1994B)

### 81.085

National Energy Information Clearinghouse (1984B)  
National Minority Energy Information Clearinghouse (1985B)  
Minority Energy Information Clearinghouse (1992B)  
Archived (1997B)

### 81.086

Conservation Research and Development (1984U)  
Consolidated from 81.078 (1992U)

### 81.087

Renewable Energy Research and Development (1984U)

### 81.088

International Affairs and Energy Emergencies (1984U)  
Consolidated into 81.080 (1992B)

### 81.089

Fossil Energy Research and Development (1984U)

### 81.090

State Heating Oil Grants (1985B)  
Archived (1988B)

### 81.091

Socioeconomic and Demographic Research, Data and Other Information (1985U)  
Socioeconomic and Demographic Research, Data Analytic Model Development and Information (1993U)  
Archived (1997B)

### 81.092

Remedial Action and Nuclear Waste Technology (1986B)  
Remedial Action and Waste Technology (1987U)  
Environmental Restoration (1990B)  
Archived (1995B)

### 81.093

Nuclear Energy Policy, Planning and Development (1986U)  
Archived (1991B)

### 81.094

Minority Educational Institution Assistance (1986U)  
Archived (1991U)

### 81.095

Nuclear Energy, Reactor Systems, Development, and Technology (1987B)  
Archived (1995B)

### 81.096

Innovative Clean Coal Technology (1988B)  
Clean Coal Technology Program (1990B)  
Archived (1994B)

### 81.097

Science and Engineering Research Semester (1989B)  
Consolidated into 81.004 (1997B)

### 81.098

Minority Undergraduate Training for Energy Related Careers (1991B)  
Archived (1995B)

### 81.099

Minority Math/Science Leadership Development Recognition (1991B)  
Archived (1993B)

### 81.102

Academic Partnerships (1991B)  
Archived (1998B)

### 81.103

Technology Integration (1991B)  
Consolidated into 81.104 (1993U)

### 81.104

Technology Development for Environmental Restoration and Waste Management (1992U)  
Consolidated from 81.103 (1993U)  
Technology Development for Environmental Management (1994B)  
Office of Science and Technology for Environmental Management (2000B)  
Office of Technology Development and Deployment for Environmental Management (2003B)  
81.104 OFFICE OF ENVIRONMENTAL WASTE PROCESSING (2008)  
Office of Environmental Waste Processing (2008)

### 81.105

National Industrial Competitiveness through Energy, Environment, and Economics (1993B)

### 81.106

Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns and Proposed Solutions (1993B)  
Transport of Transuranic Wastes to the Waste Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions, and Environmental Monitoring (1994U)  
Transport of Transuranic Wastes to the Waste

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Isolation Pilot Plant: States and Tribal Concerns, Proposed Solutions (1995B)

States and Tribal Concerns, Proposed Solutions (2003B)

## 81.107

Oil Recovery Demonstration (1993U)  
Archived (1996B)

## 81.108

Epidemiology and Other Health Studies Financial Assistance (1994B)  
Archived (1996B)

Epidemiology and Other Health Studies Financial Assistance Program, Reinstated (1999B)

## 81.109

Financial Assistance Program\_Science Education and Technical Information (1994U)  
Archived (1997B)

## 81.110

National Resource Center for Plutonium (1995B)  
Archived (2003B)

## 81.111

Alternative Fuel Transportation Program (1996B)  
Archived (1997B)

## 81.112

Inertial Fusion Science\_Support of Stockpile Stewardship (1997U)  
Stewardship Science Grant Program (1999B)

## 81.113

Nonproliferation and National Security Research (1998B)  
Defense Nuclear Nonproliferation Research (2000B)

## 81.114

University Nuclear Science and Reactor Support (1998B)  
Archived (2009)

## 81.116

Science and Engineering Training to Support Diversity- Related Programs (1998U)  
Deleted (2004)

## 81.117

Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance (1999B)

## 81.118

Solar Energy Partnership Support and Barrier Elimination (1999B)  
Archived (2001B)

## 81.119

State Energy Program Special Projects (2000B)

## 81.120

Arms Control and Nonproliferations Policy Analysis (2001B)  
Rescinded (2003B)  
Deleted (2003)

## 81.121

Nuclear Energy Research Initiative (2001U)  
Nuclear Energy Research, Development and Demonstration (2003B)

## 81.122

Electricity Delivery and Energy Reliability, Research, Development and Analysis (2005)

## 81.123

National Nuclear Security Administration (NNSA) Historically Black Colleges and Universities (HBCU) Program (2005)  
National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program (2006)

## 81.124

PREDICTIVE SCIENCE ACADEMIC ALLIANCE PROGRAM (PSAAP) (2007)  
Predictive Science Academic Alliance Program (2008)

## 81.126

Federal Loan Guarantees for Innovative Energy Technologies (2006)

## 81.127

Energy Efficient Appliance Rebate Program (EEARP) (2009)

## 81.128

Energy Efficiency and Conservation Block Grant Program (EECBG) (2009)

## 81.129

Energy Efficiency and Renewable Energy Technology Deployment, Demonstration and Commercialization (2009)

## 81.130

Carbon Capture and Storage-FutureGen 2.0 (2010)

## 81.131

Expand and Extend Clean Coal Power Initiative (2009)

## 81.132

Geologic Sequestration Site Characterization (2009)

## 81.133

Geologic Sequestration Training and Research

Grant Program (2009)

## 81.134

Industrial Carbon Capture and Storage (CCS) Application (2009)

## 81.135

Advanced Research and Projects Agency Energy Financial Assistance Program (2009)

## 81.136

Long-Term Surveillance and Maintenance (2009)

## 81.137

Minority Economic Impact (2012)

## 81.138

State Heating Oil and Propane Program (2012)

## 81.214

Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis (2010)

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### 82.001

Educational Exchange\_Graduate Students  
Transferred from 19.101 (1978B)  
Number changed to 19.400 (2000B)

### 82.002

Educational Exchange\_University Lecturers (Professors) and Research Scholars  
Transferred from 19.102 (1978B)  
Number changed to 19.401 (2000B)

### 82.003

Private Sector Programs (1980B)  
Archived (1981B)

### 82.004

International Visitors Program (1998B)  
Number changed to 19.402 (2000B)

### 82.005

Near and Middle East Research and Training Act (NMERTA) (1997U)  
Foreign Language and Area Studies\_U.S. Students and Scholars (1998B)  
Archived (1999B)

### 82.006

American Council of Young Political Leaders (1999B)  
Number changed to 19.403 (2000B)

### 82.009

Professional Development\_International Educators/Administrators (1997U)

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Number changed to 19.404 (2000B)

## 82.010

College and University Partnerships Program (1998U)

Number changed to 19.405 (2000B)

## 82.011

College and University Affiliations Program (1998B)

Number changed to 19.406 (2000B)

## 82.012

Teacher Exchange\_New Independent States (NIS) (1998B)

Number changed to 19.407 (2000B)

## 82.013

Educational Exchange\_Teachers from Secondary and Postsecondary Levels (1997U)

Number changed to 19.408 (2000B)

## 82.015

Creative Arts Grants (1998B)

Number changed to 19.409 (2000B)

## 82.016

Educational Exchange\_Congress-Bundestag Youth Exchange (1998B)

Number changed to 19.410 (2000B)

## 82.018

Educational Exchange\_NIS Secondary School Initiative (1998B)

Number changed to 19.411 (2000B)

## 82.021

Educational Exchange\_Faculty (1997U)

Archived (1998B)

## 82.026

Educational Exchange\_Postgraduates and Faculty (1997U)

Number changed to 19.412 (2000B)

## 82.030

Cultural Exchange (Performing Arts) (1998U)

Number changed to 19.413 (2000B)

## 82.032

Cultural Exchange (1997U)

Cultural Exchange (Visual Arts) (1998U)

Number changed to 19.414 (2000B)

## 82.033

Professional Exchange\_Annual Open Grant (1997U)

Number changed to 19.415 (2000B)

## 82.034

Exchange\_English Teaching Fellows (1997U)

Number changed to 19.416 (2000B)

## 82.035

Exchange\_English as a Foreign Language (EFL) Fellows (1997U)

Number changed to 19.417 (2000B)

## 82.038

Educational Exchange\_American Studies Institutes (1997U)

Number changed to 19.418 (2000B)

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### 83.001

Academy Planning Assistance (1975B)

Transferred from 11.700 (1979B)

Number changed to 83.404 (1982B)

### 83.002

State Fire Incident Reporting Assistance (1977B)

Transferred from 11.701 (1979B)

Number changed to 83.407 (1983B)

### 83.003

Public Education Assistance Program (1979B)

Archived (1983B)

### 83.004

Technical Support Services (1980B)

Number changed to 83.408 (1983B)

### 83.005

Arson Task Force Assistance Program (1980U1)

Archived (1983B)

### 83.006

Student Stipend Program (1980U2)

Number changed to 83.405 (1982B)

### 83.007

Reimbursement for Firefighting on Federal Property (1980U2)

Number changed to 83.409 (1983B)

Number changed from 83.409 (1989B)

Transferred to 97.016 (2003B)

### 83.008

Community-Based Anti-Arson Program (1984U)

Number changed from 83.410 (1989B)

Archived (1996B)

### 83.009

National Fire Academy\_Training Assistance

Number changed from 83.405 (1991B)

National Fire Academy Training Assistance (1993B)

Archived (1996B)

Reinstated (1996U)

Transferred to 97.018 (2003B)

## 83.010

National Fire Academy Educational Program

Number changed from 83.411 (1991B)

Transferred to 97.019 (2003B)

## 83.011

Hazardous Materials Training Program for Implementation of the Superfund Amendment and Reauthorization Act (SARA) of 1986 (1993B)

Transferred/Split into 83.552 (2000B)

Transferred to 97.020 (2003B)

## 83.012

Hazardous Materials Exercise Assistance Program (1993B)

Hazardous Materials Assistance Program (1994B)

Consolidated into 83.534 (1996B)

Reinstated (2000B)

Transferred to 97.021 (2003B)

## 83.013

National Fire Academy Fire Executive Fellowship Program (1994B)

Archived (1995B)

## 83.100

Flood Insurance (1980B)

Transferred from 14.001 (1980B)

Transferred to 97.022 (2003B)

## 83.101

Urban Property Insurance (1980B)

Transferred from 14.002 (1980B)

Archived (1984U)

## 83.102

Crime Insurance (1980B)

Transferred from 14.003 (1980B)

Archived (1984U)

## 83.103

State Assistance Program\_National Flood Insurance Program (1980U1)

Number changed to 83.501 (1982B)

## 83.104

Acquisition of Flood-Damaged Structures (1981B)

Number changed to 83.502 (1982B)

Number changed from 83.502 (1990U)

Archived (1995B)

## 83.105

Community Assistance Program\_State Support Services Element (CAP-SSSE) (1993B)

Transferred to 97.023 (2003B)

## 83.200

Civil Defense\_State and Local Management

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(1980B) Transferred from 12.315 (1980B) Emergency Management Assistance (1980U2) Number changed to 83.503 (1982B)	<b>83.211</b> Civil Defense_State and Local Supporting Materials (1981B) Number changed to 83.513 (1982B)	Training and Fire Programs Educational Program (1983B) National Emergency Training Center_Training Program (1983U) Archived (1986B)
<b>83.201</b> Civil Defense_State and Local Maintenance and Services (1980B) Transferred from 12.319 (1980B) State and Local Maintenance and Services (1980U2) Number changed to 83.504 (1982B)	<b>83.212</b> Nuclear Civil Protection Planning (1981U) Number changed to 83.514 (1982B)	<b>83.407</b> State Fire Incident Reporting Assistance (1977B) Number changed from 83.002 (1983B) Archived (1984U)
<b>83.203</b> State Disaster Preparedness Grants (1980B) Transferred from 14.702 (1980B) Number changed to 83.505 (1982B)	<b>83.300</b> Disaster Assistance (1980B) Transferred from 14.701 (1980B) Number changed to 83.516 (1982B)	<b>83.408</b> Technical Support Services (1980B) Number changed from 83.004 (1983B) Archived (1984B)
<b>83.204</b> Earthquake and Hurricane Loss Study and Contingency Planning Grants (1980B) Number changed to 83.506 (1982B)	<b>83.400</b> Emergency Management Institute_Student Expense Program (1980B) Transferred from 12.314 (1980B) Emergency Management Institute_Training Assistance (1983U) Number changed to 83.527 (1991B)	<b>83.409</b> Reimbursement for Firefighting on Federal Property (1980U2) Number changed from 83.007 (1983B) Number changed to 83.007 (1989B)
<b>83.205</b> Civil Defense_Industrial Preparedness Planning (1980B) Transferred from 12.309 (1980B) Industrial Preparedness Planning (1980U2) Number changed to 83.507 (1982B)	<b>83.401</b> Emergency Management_Architect/Engineer Student Development (1980B) Transferred from 12.324 (1980B) Emergency Management Institute_Architect/Engineer Student Program (1983U) Incorporated into 83.525 (1990B)	<b>83.410</b> Community-Based Anti-Arson Program (1984U) Number changed to 83.008 (1989B)
<b>83.206</b> Civil Defense_Radiological Instrument Maintenance and Calibration (1980B) Transferred from 12.310 (1980B) Radiological Instruments Maintenance and Calibration (1980U2) Radiological Systems Maintenance (1981U) Number changed to 83.508 (1982B)	<b>83.402</b> Radiological Emergency Response_Training Assistance (1980B) Transferred from 77.002 (1980B) Emergency Management Institute Radiological Emergency Response_Training (1983U) Incorporated into 83.400 (1989U)	<b>83.411</b> National Fire Academy Educational Program (1989U) Number changed to 83.010 (1991B)
<b>83.207</b> Civil Defense_National Shelter Survey (1980B) Transferred from 12.312 (1980B) National Shelter Survey (1980U2) Number changed to 83.509 (1982B)	<b>83.403</b> Training and Education Field Deployment (1981B) National Emergency Training Center_Field Training Program (1983U) Emergency Management Institute_Field Studies Program (1984U) Number changed to 83.528 (1991B)	<b>83.412</b> Emergency Management Institute (EMI)_Home Study Program (1989U) Number changed to 83.529 (1991B)
<b>83.208</b> Civil Defense_Radiation Shielding Design (1980B) Transferred from 12.316 (1980B) Radiation Shielding Design (1980U2) Number changed to 83.510 (1982B)	<b>83.404</b> Academy Planning Assistance (1982B) Number changed from 83.001 (1982B) Archived (1983B)	<b>83.413</b> Emergency Management Institute (EMI)_Resident Educational Program (1989U) Number changed to 83.530 (1991B)
<b>83.209</b> State Radiological Defense Officers (1981B) Number changed to 83.511 (1982B)	<b>83.405</b> Student Stipend Program (1982B) Number changed from 83.006 (1982B) National Fire Academy Student Stipend Program (1983U) Number changed to 83.009 (1991B)	<b>83.500</b> General Research, Development, and Demonstration Activity (1981U) Archived (1984U)
<b>83.210</b> State and Local Emergency Operating Centers (1981B) Number changed to 83.512 (1982B)	<b>83.406</b>	<b>83.501</b> State Assistance Program (1982B) Number changed from 83.103 (1982B) Archived (1985U)
		<b>83.502</b> Acquisition of Flood-Damaged Structures (1982B) Number changed to 83.104 (1990U)
		<b>83.503</b> Emergency Management Assistance (1982B) Number changed from 83.200 (1982B) Civil Defense_State and Local Emergency Management Assistance (1987B)

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Consolidated into 83.534 (1996B)

## **83.504**

State and Local Maintenance and Services (1982B)

Number changed from 83.201 (1982B)

Other State and Local Direction, Control and Warning (1984U)

Consolidated into 83.532 (1993B)

## **83.505**

State Disaster Preparedness Grants (1982B)

Number changed from 83.203 (1982B)

Consolidated into 83.552 (2000B)

## **83.506**

Earthquake and Hurricane Loss Study and

Contingency Planning Grants (1982B)

Number changed from 83.204 (1982B)

Earthquake and Hurricane Preparedness Planning Grants (1983B)

Earthquake and Hurricane Preparedness Grants

(1984U)

Archived (1988B)

## **83.507**

Industrial Preparedness Planning (1982B)

Number changed from 83.205 (1982B)

Archived (1983B)

## **83.508**

Radiological Systems Maintenance (1982B)

Number changed from 83.206 (1982B)

Radiological Instrumentation (1984U)

Archived (1988B)

## **83.509**

National Shelter Survey (1982B)

Number changed from 83.207 (1982B)

Facility Survey, Engineering and Development (1984B)

Archived (1993B)

## **83.510**

Radiation Shielding Design (1982B)

Number changed from 83.208 (1982B)

Shelter Development (1983B)

Facility Survey Development (1986B)

Archived (1993B)

## **83.511**

State Radiological Defense Officers (1982B)

Number changed from 83.209 (1982B)

Radiological Protection Program (1985B)

Radiological Protection Planning and Development (1986B)

Radiological Defense Planning and Development (1987U)

Archived (1988B)

## **83.512**

State and local Emergency Operating Centers (1982B)

Number changed from 83.210 (1982B)

Consolidated into 83.532 (1993B)

## **83.513**

State and Local Supporting Materials (1982B)

Number changed from 83.211 (1982B)

State and Local Warning and Communication Systems (1983B)

Consolidated into 83.532 (1993B)

## **83.514**

Nuclear Civil Protection Planning (1982B)

Number changed from 83.212 (1982B)

Population Protection Planning (1983B)

Consolidated into 83.531 (1993B)

## **83.515**

Broadcast Station Protection Program (1982B)

Emergency Broadcast System Guidance and

Assistance (1983B)

Consolidated into 83.532 (1993B)

## **83.516**

Disaster Assistance (1982B)

Number changed from 83.300 (1982B)

Split into 83.537, 83.538, 83.539, 83.540, 83.541, 83.542, 83.543, 83.544, 83.545, 83.548 (1997U)

## **83.517**

Electromagnetic Pulse (EMP) Technical Support (1983B)

Consolidated into 83.532 (1993B)

## **83.518**

Emergency Public Information Competitive

Challenge Grants (1984U)

Archived (1988B)

## **83.519**

Hazard Mitigation Assistance (1985U)

Archived (1995B)

## **83.520**

Hurricane Preparedness Grants (1988B)

Hurricane Program (1994B)

Consolidated into 83.535 (1997U)

## **83.521**

Earthquake Hazards Reduction Grants (1988B)

Consolidated into 83.535 (1997U)

## **83.522**

Radiological Defense (1988B)

Consolidated into 83.531 (1993B)

## **83.523**

Federal Emergency Management Food and Shelter Program (1989B)

Emergency Food and Shelter National Board Program (1996U)

Transferred to 97.024 (2003B)

## **83.524**

Superfund Permanent Relocation Assistance

Program (1989U)

Archived (1992U)

## **83.525**

Shelter Survey Technician Program\_Job

Qualification Training (1990B)

Archived (1993B)

## **83.526**

National Urban Search and Rescue (US&R) Program (1991B)

National Urban Search and Rescue (US&R) Response System (1995B)

Transferred to 97.025 (2003B)

## **83.527**

Emergency Management Institute\_Training Assistance

Number changed from 83.400 (1991B)

Transferred to 97.026 (2003B)

## **83.528**

Emergency Management Institute\_Field Training Program

Number changed from 83.403 (1991B)

Consolidated into 83.534 (1996B)

## **83.529**

Emergency Management Institute (EMI)\_Home Study Program

Number changed from 83.412 (1991B)

Emergency Management Institute (EMI)\_Independent Study Program (1993U)

Transferred to 97.027 (2003B)

## **83.530**

Emergency Management Institute (EMI)\_Resident Educational Program

Number changed from 83.413 (1991B)

Transferred to 97.028 (2003B)

## **83.531**

State and Local Emergency Management Assistance\_Other Assistance

Consolidated from 83.514, 83.522 (1993B)

Consolidated into 83.534 (1996B)

## **83.532**

Facilities and Equipment

Consolidated from 83.504, 83.512, 83.513, 83.515, 83.517 (1993B)

Consolidated into 83.534 (1996B)

## **83.533**

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COOPs for Digitization of Flood Maps (1995B)  
Archived (1996B)

## **83.534**

Emergency Management\_State and Local Assistance  
Consolidated from 83.012, 83.503, 83.528, 83.531, 83.532 (1996B)  
Consolidated into 83.552 (2000B)

## **83.535**

Mitigation Assistance  
Consolidated from 83.520, 83.521 (1997U)  
Consolidated into 83.552 (2000B)

## **83.536**

Flood Mitigation Assistance (1997U)  
Transferred to 97.029 (2003B)

## **83.537**

Community Disaster Loans  
Incorporated from 83.516 (1997U)  
Transferred to 97.030 (2003B)

## **83.538**

Cora Brown Fund  
Incorporated from 83.516 (1997U)  
Transferred to 97.031 (2003B)

## **83.539**

Crisis Counseling  
Incorporated from 83.516 (1997U)  
Transferred to 97.032 (2003B)

## **83.540**

Disaster Legal Services  
Incorporated from 83.516 (1997U)  
Transferred to 97.033 (2003B)

## **83.541**

Disaster Unemployment Assistance  
Incorporated from 83.516 (1997U)  
Transferred to 97.034 (2003B)

## **83.542**

Fire Suppression Assistance  
Incorporated from 83.516 (1997U)  
Transferred to 83.55 (2002B)

## **83.543**

Individual and Family Grants  
Incorporated from 83.516 (1997U)  
Transferred to 97.035 (2003B)

## **83.544**

Public Assistance Grants  
Incorporated from 83.516 (1997U)  
Transferred to 97.036 (2003B)

## **83.545**

Disaster Housing Program  
Incorporated from 83.516 (1997U)  
Transferred to 97.037 (2003B)

## **83.546**

National Arson Prevention Initiative (1997U)  
Archived (1998U)

## **83.547**

First Responder Anti-Terrorism Training Assistance (1997U)  
First Responder Counter-Terrorism Training Assistance (1999B)  
Transferred to 97.038 (2003B)

## **83.548**

Hazard Mitigation Grant  
Incorporated from 83.516 (1997U)  
Transferred to 97.039 (2003B)

## **83.549**

Chemical Stockpile Emergency Preparedness Program (1998U)  
Transferred to 97.040 (2003B)

## **83.550**

National Dam Safety Program (1998U)  
Transferred to 97.041 (2003B)

## **83.551**

Project Impact\_Building Disaster Resistant Communities (1998U)  
Archived (2002B)

## **83.552**

Emergency Management Performance Grants (1999U)  
Consolidated from 83.011, 83.505, 83.534, 83.535 (2000B)  
Transferred to 97.042 (2003B)

## **83.553**

State Fire Training Systems Grants (2001B)  
Transferred to 97.043 (2003B)

## **83.554**

Assistance to Firefighters Grant (2002B)  
Transferred to 97.044 (2003B)

## **83.555**

Cooperating Technical Partners (2002B)  
Transferred to 97.045 (2003B)

## **83.556**

Fire Management Assistance Grant (2002B)  
Transferred to 97.046 (2003B)

## **83.557**

Pre-Disaster Mitigation (2002B)  
Transferred to 97.047 (2003B)

## **83.558**

Federal Assistance to Individuals and Households\_Housing (2002B)  
Transferred to 97.048 (2003B)

## **83.559**

Federal Assistance to Individuals and Households\_Disaster Housing Operations (2002B)  
Transferred to 97.049 (2003B)

## **83.560**

Federal Assistance to Individuals and Households\_Other Needs (2002B)  
Transferred to 97.050 (2003B)

## **83.562**

State and Local All Hazards Emergency Operations Planning (2000B)  
Transferred to 97.051 (2003B)

## **83.563**

Emergency Operations Centers (2000B)  
Transferred to 97.052 (2003B)

## **83.564**

Citizen Corps (2000B)  
Transferred to 97.053 (2003B)

## **83.565**

Community Emergency Response Teams (2000B)  
Transferred to 97.054 (2003B)

## **83.566**

Interoperable Communications Equipment (2000B)  
Transferred to 97.055 (2003B)

## **DEPARTMENT OF EDUCATION**

### **84.001**

Academic Facilities Reconstruction and Renovation for Removal of Architectural Barriers (1980U1)  
Archived (1981U)

### **84.002**

Adult Education\_State-Administered Program (1980U1)  
Transferred from 13.400 (1980U1)  
Adult Education\_State Administered Basic Grant Program (1988U)  
Adult Education\_State Grant Program (1995U)  
Adult Education - Basic Grants to States (2008)

### **84.003**

Bilingual Education (1980U1)  
Transferred from 13.403 (1980U1)  
Archived (1998B)

### **84.004**

Civil Rights Technical Assistance and Training (1980U1)  
Transferred from 13.405 (1980U1)



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Desegregation Assistance, Civil Rights Training, and Advisory Services (1989U)  
Civil Rights Training and Advisory Services (1997B)

## 84.005

College Library Resources (1980U1)  
Transferred from 13.406 (1980U1)  
Archived (1985B)

## 84.006

Teacher Centers (1980U1)  
Transferred from 13.416 (1980U1)  
Archived (1982B)

## 84.007

Supplemental Educational Opportunity Grants (1980U1)  
Transferred from 13.418 (1980U1)  
Federal Supplemental Education Opportunity Grants (1992U)

## 84.008

Alcohol and Drug Abuse Education Program (1980U1)  
Transferred from 13.420 (1980U1)  
Archived (1982B)  
Reinstated (1983U)  
Alcohol and Drug Abuse Education (1983U)  
Archived (1987B)

## 84.009

Program for Education of Handicapped Children in State Operated or Supported Schools (1980U1)  
Transferred from 13.427 (1980U1)  
Education of Handicapped Children in State Operated or Supported Schools (1990U)  
Education of Children with Disabilities in State Operated or Supported Schools (1994B)  
Archived (1995U)

## 84.010

Educationally Deprived Children\_Local Educational Agencies (1980U1)  
Transferred from 13.428 (1980U1)  
Chapter 1 Programs\_Local Educational Agencies (1990U)  
Chapter 1 Grants to Local Educational Agencies (1994U)  
Title I Grants to Local Educational Agencies (1995B)

## 84.011

Educationally Deprived Children\_Migrants (1980U1)  
Transferred from 13.429 (1980U1)  
Migrant Education Program\_State Formula Grant Program (1980U2)  
Migrant Education\_Basic State Formula Grant Program (1981U)

Migrant Education\_Basic State Grant Program (1994U)  
Migrant Education\_State Grant Program (2002B)

## 84.012

Educationally Deprived Children\_State Administration (1980U1)  
Transferred from 13.430 (1980U1)  
Archived (1995U)

## 84.013

Educationally Deprived Children in State Administered Institutions Serving Neglected or Delinquent Children (1980U1)  
Transferred from 13.431 (1980U1)  
Neglected and Delinquent Children (1984B)  
Chapter 1 Program for Neglected and Delinquent Children (1990U)  
Title I Program for Neglected and Delinquent Children (1995B)  
Title I State Agency Program for Neglected and Delinquent Children (2010)  
Title I State Agency Program for Neglected and Delinquent Children and Youth (2011)

## 84.014

Follow Through (1980U1)  
Transferred from 13.433 (1980U1)  
Archived (1995U)

## 84.015

International Studies Centers and Foreign Language Area (1980U1)  
Transferred from 13.434 (1980U1)  
National Resource Centers and Fellowships in International Studies (1981B)  
National Resource Centers and Fellowships Program for Language and Area or Language and International Studies (1983B)  
National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program (2008)

## 84.016

International Studies Programs (1980U1)  
Transferred from 13.435 (1980U1)  
International Studies Program (1981B)  
Undergraduate International Studies and Foreign Language Programs (1981U)

## 84.017

Foreign Language and Area Studies\_Research (1980U1)  
Transferred from 13.436 (1980U1)  
International Research and Studies (1981B)

## 84.018

Teacher Exchange (1980U1)  
Transferred from 13.437 (1980U1)

Summer Seminars Aboard (1984U)  
Fulbright-Hays Training Grants\_Seminars Abroad (1986B)  
Fulbright-Hays Seminar Abroad\_Special Bilateral Projects (1986U)  
Fulbright-Hays Seminars Abroad\_Bilateral Projects (1989U)  
International: Overseas Seminars Abroad\_Bilateral Projects (1994U)  
Overseas Seminars Abroad\_Bilateral Projects (2003B)  
Overseas Programs\_Special Bilateral Projects (2004)

## 84.019

Fulbright-Hays Training Grants\_Faculty Research Abroad (1980U1)  
Transferred from 13.438 (1980U1)  
International: Overseas\_Faculty Research Abroad (1994U)  
Overseas\_Faculty Research Abroad (2003B)  
Overseas Programs - Faculty Research Abroad (2008)  
Archived (2012)

## 84.020

Fulbright-Hays Training Grants\_Foreign Curriculum Consultants (1980U1)  
Transferred from 13.439 (1980U1)  
Archived (1988U)

## 84.021

Fulbright-Hays Training Grants\_Group Projects Abroad (1980U1)  
Transferred from 13.440 (1980U1)  
International: Overseas\_Group Projects Abroad (1994U)  
Overseas\_Group Projects Abroad (2003B)  
Overseas Programs - Group Projects Abroad (2008)

## 84.022

Fulbright-Hays Training Grants\_Doctoral Dissertation Research Abroad (1980U1)  
Transferred from 13.441 (1980U1)  
International: Overseas\_Doctoral Dissertation (1994U)  
Overseas\_Doctoral Dissertation (2003B)  
Overseas Programs - Doctoral Dissertation Research Abroad (2008)

## 84.023

Handicapped\_Research and Demonstration (1980U1)  
Transferred from 13.443 (1980U1)  
Research in the Education of the Handicapped (1981B)  
Handicapped\_Research and Demonstration (1981U)  
Handicapped\_Innovation and Development (1985B)  
Disabled\_Innovation and Development (1991B)

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- Special Education\_Innovation and Development (1993B)  
Archived (1998B)
- 84.024**  
Handicapped Early Childhood Assistance (1980U1)  
Transferred from 13.444 (1980U1)  
Handicapped Early Childhood Education (1985B)  
Early Education for Children with Disabilities (1991B)  
Archived (1998B)
- 84.025**  
Handicapped Innovative Programs\_Deaf-Blind Centers (1980U1)  
Transferred from 13.445 (1980U1)  
Handicapped Innovative Programs\_Deaf-Blind (1984B)  
Deaf-Blind Centers (1985B)  
Handicapped Education\_Deaf-Blind Centers (1987U)  
Services for Deaf-Blind Children and Youth (1991B)  
Services for Children with Deaf-Blindness (1992B)  
Archived (1998B)
- 84.026**  
Handicapped Media Services and Captioned Films (1980U1)  
Transferred from 13.446 (1980U1)  
Media and Captioning for Individuals with Disabilities (1991B)  
Media and Captioning Services for Individuals with Disabilities (1994B)  
Archived (1998B)
- 84.027**  
Handicapped Preschool and School Programs (1980U1)  
Transferred from 13.449 (1980U1)  
Handicapped\_State Grants (1985U)  
Special Education\_State Grants (1991B)  
Special Education\_Grants to States (1994U)
- 84.028**  
Handicapped Regional Resource Centers (1980U1)  
Transferred from 13.450 (1980U1)  
Handicapped Regional Resource and Federal Centers (1987U)  
Disabled\_Regional Resource and Federal Centers (1991B)  
Special Education\_Regional Resource and Federal Centers (1993B)  
Special Education Resource Centers (1994B)  
Special Education\_Regional Resource Centers (1994B)  
Archived (1998B)
- 84.029**  
Handicapped Personnel Preparation (1980U1)
- Transferred from 13.451 (1980U1)  
Training Personnel for the Education of the Handicapped (1983B)  
Special Education Personnel Development (1985B)  
Handicapped Education\_Special Education Personnel Development (1987U)  
Special Education\_Special Education Personnel Development (1991B)  
Special Education\_Special Education Personnel Development and Parent Training (1992B)  
Special Education Personnel Development and Parent Training (1994B)  
Special Education\_Personnel Development and Parent Training (1994B)  
Archived (1998B)
- 84.030**  
Handicapped Teacher Recruitment and Information (1980U1)  
Transferred from 13.452 (1980U1)  
Handicapped Teacher Recruitment and Information Dissemination (1984B)  
Handicapped Teacher Recruitment and Information (1985B)  
Clearinghouses for the Handicapped Program (1987U)  
Clearinghouses for the Disabled (1991B)  
Clearinghouses for Individuals with Disabilities (1992B)  
Archived (1998B)
- 84.031**  
Higher Education\_Strengthening Developing Institutions (1980U1)  
Transferred from 13.454 (1980U1)  
Higher Education\_Institution Aid (1985B)
- 84.032**  
Higher Education Act Insured Loans (1980U1)  
Transferred from 13.460 (1980U1)  
Guaranteed Student Loans (1989B)  
Federal Family Education Loans (1993U)  
Archived (2012)
- 84.033**  
College Work-Study Program (1980U1)  
Transferred from 13.463 (1980U1)  
Federal Work-Study Program (1992U)
- 84.034**  
Public Library Services (1980U1)  
Transferred from 13.464 (1980U1)  
Library Services (1985U)  
Public Library Services (1990U)  
Archived (1997B)
- 84.035**  
Interlibrary Cooperation (1980U1)  
Transferred from 13.465 (1980U1)  
Interlibrary Cooperation and Resource Sharing (1986U)
- Interlibrary Cooperation (1990U)  
Interlibrary Cooperation and Resource Sharing (1991B)  
Archived (1997B)
- 84.036**  
Library Training (1980U1)  
Transferred from 13.468 (1980U1)  
Library Career Training (1981U)  
Library Education and Human Resource Development (1992U)  
Library Education and Training (1993U)  
Archived (1997B)
- 84.037**  
National Defense/Direct Student Loan Cancellations (1980U1)  
Transferred from 13.470 (1980U1)  
National Defense/National Direct/Perkins Loan Cancellations (1988B)  
National Defense/National Direct/Federal Perkins Loan Cancellations (1992U)  
Federal Perkins Loan Cancellations (1994B)  
Loan Cancellations (2001B)  
Perkins Loan Cancellations (2003B)  
Archived (2012)
- 84.038**  
National Defense/Direct Student Loans (1980U1)  
Transferred from 13.471 (1980U1)  
Perkins Loans (1987B)  
Perkins Loan Program (1990B)  
Perkins Loan Program\_Federal Capital Contributions (1990U)  
Federal Perkins Loan Program\_Federal Capital Contributions (1992U)  
Archived (2010)
- 84.039**  
Library Research and Demonstration (1980U1)  
Transferred from 13.475 (1980U1)  
Archived (1997B)
- 84.040**  
School Assistance in Federally Affected Areas\_Construction (1980U1)  
Transferred from 13.477 (1980U1)  
Impact Aid\_Construction (1987U)  
Impact Aid\_Facilities Maintenance (1995U)
- 84.041**  
School Assistance in Federally Affected Areas\_Maintenance and Operation (1980U1)  
Transferred from 13.478 (1980U1)  
Impact Aid\_Maintenance and Operation (1987U)  
Impact Aid\_Maintenance and Operations (1990U)  
Impact Aid (1995U)
- 84.042**

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Special Services for Disadvantaged Students (1980U1)

Transferred from 13.482 (1980U1)

Student Support Services (1987B)

TRIO\_Student Support Services (1995U)

## 84.043

Strengthening State Educational Agency Management (1980U1)

Transferred from 13.486 (1980U1)

Archived (1982B)

## 84.044

Talent Search (1980U1)

Transferred from 13.488 (1980U1)

TRIO\_Talent Search (1995U)

## 84.045

Teacher Corps\_Operations and Training (1980U1)

Transferred from 13.489 (1980U1)

Archived (1982B)

## 84.046

Community Service and Continuing Education\_State Grants (1980U1)

Transferred from 13.491 (1980U1)

Continuing Education Outreach\_State Administered Program (1981B)

Archived (1983B)

## 84.047

Upward Bound (1980U1)

Transferred from 13.492 (1980U1)

TRIO\_Upward Bound (1995U)

## 84.048

Vocational Education\_Basic Grants to States (1980U1)

Transferred from 13.493 (1980U1)

Career and Technical Education -- Basic Grants to States (2008)

## 84.049

Vocational Education\_Consumer and Homemaking Education (1980U1)

Transferred from 13.494 (1980U1)

Vocational Education\_Consumer and Homemaker Education (1985B)

Archived (1996B)

## 84.050

Vocational Education\_Program Improvement and Supportive Service (1980U1)

Transferred from 13.495 (1980U1)

Archived (1985B)

## 84.051

Vocational Education\_Program Improvement Projects (1980U1)

Transferred from 13.498 (1980U1)

National Vocational Education Research (1985B)

Vocational Education\_National Centers for career and Technical Education (2002B)

Vocational Education\_National Programs (2004)

Career and Technical Education -- National Programs (2008)

## 84.052

Vocational Education\_Special Programs for the Disadvantaged (1980U1)

Transferred from 13.499 (1980U1)

Archived (1985B)

## 84.053

Vocational Education\_State Advisory Councils (1980U1)

Transferred from 13.500 (1980U1)

Vocational Education\_State Councils (1985B)

Archived (1997B)

## 84.054

Vocational Education\_Leadership Development Awards Program (1980U1)

Transferred from 13.503 (1980U1)

Archived (1981B)

## 84.055

Higher Education\_Cooperative Education (1980U1)

Transferred from 13.510 (1980U1)

Archived (1997B)

## 84.056

Emergency School Aid Act\_Basic Grants to Local Educational Agencies (1980U1)

Transferred from 13.525 (1980U1)

Archived (1982B)

## 84.057

Emergency School Aid Act\_Grants to Nonprofit Organizations (1980U1)

Transferred from 13.529 (1980U1)

Archived (1982B)

## 84.058

Emergency School Aid Act\_Educational Television and Radio (1980U1)

Transferred from 13.530 (1980U1)

Archived (1982B)

## 84.059

Emergency School Aid Act\_Special Programs and Projects (1980U1)

Transferred from 13.532 (1980U1)

Split/Incorporated into 84.106, 84.107, 84.108, 84.109, 84.110 (1981B)

## 84.060

Development Awards Program\_Indian Education\_Local Educational Agencies and Tribal

Schools (1980U1)

Transferred from 13.534 (1980U1)

Indian Education\_Entitlement Grants to Local Educational Agencies and Tribal Schools (1981U)

Indian Education\_Formula Grants to Local Educational Agencies and Tribal Schools (1984U)

Indian Education\_Formula Grants to Local Educational Agencies (1988U)

Indian Education\_Grants to Local Educational Agencies (1994U)

## 84.061

Indian Education\_Special Programs and Projects (1980U1)

Transferred from 13.535 (1980U1)

Archived (1995U)

## 84.062

Indian Education\_Adult Indian Education (1980U1)

Transferred from 13.536 (1980U1)

Indian Education\_Adult Education (1990U)

Archived (1997B)

## 84.063

Basic Educational Opportunity Grant Program (1980U1)

Transferred from 13.539 (1980U1)

Pell Grant Program (1981B)

Federal Pell Grant Program (1992U)

## 84.064

Higher Education\_Veterans' Cost of Instruction Program (1980U1)

Transferred from 13.540 (1980U1)

Higher Education\_Veterans Education Outreach Program (1987B)

Archived (1994B)

## 84.065

Educational Television and Radio (Programming) (1980U1)

Transferred from 13.541 (1980U1)

Educational Television and Radio Programming (1981B)

Archived (1983B)

## 84.066

Educational Opportunity Centers (1980U1)

Transferred from 13.543 (1980U1)

TRIO\_Educational Opportunity Centers (1995U)

## 84.067

Use of Technology in Basic Skills Instruction (1980U1)

Transferred from 13.544 (1980U1)

Archived (1983B)

## 84.068

Indochina Refugee Children Assistance (1980U1)

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Transferred from 13.545 (1980U1)  
Archived (1982B)

## 84.069

Grants to States for State Student Incentives (1980U1)  
Transferred from 13.548 (1980U1)  
State Student Incentives Grants (1994U)  
Leveraging Educational Assistance Partnership (1999B)  
Archived (2012)

## 84.070

Ethnic Heritage Studies Program (1980U1)  
Transferred from 13.549 (1980U1)  
Archived (1982B)

## 84.071

State Postsecondary Education Commissions Program\_Intrastate Planning (1980U1)  
Transferred from 13.550 (1980U1)  
Incorporated into 84.046 (1981B)

## 84.072

Indian Education\_Grants to Indian-Controlled Schools (1980U1)  
Transferred from 13.551 (1980U1)  
Archived (1996B)

## 84.073

National Diffusion Program (National Diffusion Network) (1980U1)  
Transferred from 13.553 (1980U1)  
National Diffusion Program (1981B)  
National Diffusion Network (1981U)  
Archived (1997B)

## 84.074

Career Education (1980U1)  
Transferred from 13.554 (1980U1)  
Archived (1982B)

## 84.075

Public Service Education\_Institutional Grants and Fellowships (1980U1)  
Transferred from 13.555 (1980U1)  
Incorporated into 84.094 (1981B)

## 84.076

Community Service and Continuing Education\_Special Projects (1980U1)  
Transferred from 13.557 (1980U1)  
Archived (1980U2)

## 84.077

Bilingual Vocational Training (1980U1)  
Transferred from 13.558 (1980U1)  
Archived (1996B)

## 84.078

Regional Education Programs for Deaf and Other Handicapped Persons (1980U1)  
Transferred from 13.560 (1980U1)  
Postsecondary Education Programs for Handicapped Persons (1984B)  
Postsecondary Education Programs for Persons with Disabilities (1991B)  
Special Education\_Postsecondary Education Programs for Persons with Disabilities (1994U)  
Archived (1998B)

## 84.079

Education for the Use of the Metric System of Measurement (1980U1)  
Transferred from 13.561 (1980U1)  
Archived (1982B)

## 84.080

Education for Gifted and Talented Children and Youth (1980U1)  
Transferred from 13.562 (1980U1)  
Archived (1982B)

## 84.081

Community Education (1980U1)  
Transferred from 13.563 (1980U1)  
Archived (1982B)

## 84.082

Consumers' Education (1980U1)  
Transferred from 13.564 (1980U1)  
Archived (1982B)

## 84.083

Women's Educational Equity (1980U1)  
Transferred from 13.565 (1980U1)  
Women's Educational Equity Act Program (1994U)  
Women's Educational Equity Program (2010)  
Archived (2012)

## 84.084

Elementary and Secondary School Education in the Arts (1980U1)  
Transferred from 13.566 (1980U1)  
Archived (1982B)

## 84.085

Domestic Mining and Mineral and Mineral Fuel Conservation Fellow (1980U1)  
Transferred from 13.567 (1980U1)  
Incorporated into 84.094 (1981B)

## 84.086

Innovative Programs for Severely Handicapped Children (1980U1)  
Transferred from 13.568 (1980U1)  
Handicapped Education\_Severely Handicapped Program (1987U)  
Special Education\_Severely Disabled Program (1991B)

Special Education\_Program for Severely Disabled Children (1994U)  
Archived (1998B)

## 84.087

Indian Education\_Fellowships for Indian Students (1980U1)  
Transferred from 13.569 (1980U1)  
Archived (1997B)

## 84.088

Instructional Materials and School Library Resources (1980U1)  
Transferred from 13.570 (1980U1)  
Archived (1982B)

## 84.089

Improvement in Local Educational Practice (1980U1)  
Transferred from 13.571 (1980U1)  
Archived (1982B)

## 84.090

Health Education Assistance Loans (1980U1)  
Transferred from 13.574 (1980U1)  
Transferred to 13.108 (1981B)

## 84.091

Strengthening Research Library Resources (1980U1)  
Transferred from 13.576 (1980U1)  
Improving Access to Research Library Resources (1992U)  
Archived (1996B)

## 84.092

Guidance, Counseling, and Testing in Elementary/Secondary Schools (1980U1)  
Transferred from 13.577 (1980U1)  
Archived (1981B)

## 84.093

Emergency Adult Education Program for Indochina Refugees (1980U1)  
Transferred from 13.579 (1980U1)  
Archived (1982B)

## 84.094

Graduate and Professional Opportunities (1980U1)  
Transferred from 13.580 (1980U1)  
Graduate and Professional Study (1981B)  
Patricia Roberts Harris Fellowships (1987B)  
Harris Fellowships (1993U)  
Archived (1997B)

## 84.095

Citizen Educational for Cultural Understanding Program (1980U1)  
Transferred from 13.581 (1980U1)  
International Understanding Program (1981B)

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Archived (1982B)

## **84.096**

Incentive Grants for State Student Financial Assistance Training (1980U1)

Transferred from 13.582 (1980U1)

Archived (1981U)

## **84.097**

Law School Clinical Experience Program (1980U1)

Transferred from 13.584 (1980U1)

Archived (1997B)

## **84.098**

Educational Information Centers (1980U1)

Transferred from 13.585 (1980U1)

Incorporated into 84.046 (1981B)

## **84.099**

Bilingual Vocational Instructor Training (1980U1)

Transferred from 13.586 (1980U1)

Archived (1996B)

## **84.100**

Bilingual Vocational Instructional Materials, Methods, and Techniques (1980U1)

Transferred from 13.587 (1980U1)

Bilingual Vocational Materials, Methods, and Techniques (1985B)

Archived (1996B)

## **84.101**

Vocational Education\_Program for Indian Tribes and Indian Organizations (1980U1)

Transferred from 13.588 (1980U1)

Vocational Education\_Indian and Hawaiian Natives (1985B)

Vocational Education\_Indians (1992U)

Vocational Education\_Indians Set-aside (1994U)

Career and Technical Education - Indian Set-aside (2008)

Career and Technical Education - Grants to Native Americans and Alaska Natives (2010)

## **84.102**

Emergency School Aid Act\_Magnet Schools, University/Business Cooperation and Neutral Site Planning (1980U1)

Transferred from 13.589 (1980U1)

Archived (1982B)

## **84.103**

Training for Special Programs Staff and Leadership Personnel (1980U1)

Transferred from 13.592 (1980U1)

Training Program for Federal TRIO Programs (1993B)

Higher Education\_TRIO Staff Training Program (1994U)

TRIO Staff Training Program (2005)

TRIO Staff Training Program (2005)

## **84.104**

Career Education State Allotment Program (1980U1)

Transferred from 13.596 (1980U1)

Archived (1982B)

## **84.105**

Basic Skills Improvements (1980U1)

Transferred from 13.599 (1980U1)

Basic Skills Improvement (1981B)

Archived (1982B)

## **84.106**

Emergency School Aid Act\_Planning Grants (1980U1)

Transferred from 13.685 (1980U1)

Archived (1982B)

## **84.107**

Emergency School Aid Act\_Pre-Implementation Assistance Grants (1980U1)

Transferred from 13.686 (1980U1)

Archived (1982B)

## **84.108**

Emergency School Aid Act\_Out-of-Cycle Grants (1980U1)

Transferred from 13.687 (1980U1)

Archived (1982B)

## **84.109**

Emergency School Aid Act\_Special Discretionary Assistance Grants (1980U1)

Transferred from 13.688 (1980U1)

Archived (1982B)

## **84.110**

Emergency School Aid Act\_State Agency Grants (1980U1)

Transferred from 13.689 (1980U1)

Archived (1982B)

## **84.111**

Emergency School Aid Act\_Grants for the Arts (1980U1)

Transferred from 13.690 (1980U1)

Archived (1982B)

## **84.112**

Biomedical Sciences for Talented Disadvantaged Secondary Students (1980U1)

Transferred from 13.691 (1980U1)

Archived (1982B)

## **84.113**

Adult Education Program for Adult Immigrants (1980U1)

Transferred from 13.692 (1980U1)

Archived (1982B)

## **84.114**

Capacity Building for Statistical Activities (1980U1)

Transferred from 13.922 (1980U1)

Capacity-Building Grants for Data Systems in State Agencies (1981U)

Archived (1982B)

## **84.115**

Institute of Museum Services (1980U1)

Transferred from 13.923 (1980U1)

Transferred to 45.301 (1982B)

## **84.116**

Fund for the Improvement of Postsecondary Education (1980U1)

Transferred from 13.925 (1980U1)

## **84.117**

Educational Research and Development (1980U1)

Transferred from 13.950 (1980U1)

Archived (1996B)

## **84.118**

National Adult Education Development and Dissemination Program and Planning Grants (1980U1)

Archived (1981B)

## **84.119**

Pre-College Teacher Development In Science Program (1980U1)

Archived (1982B)

## **84.120**

Minority Institutions Science Improvement Program (1980U1)

Minority Science Improvement (1987B)

Minority Science and Engineering Improvement (1999B)

## **84.121**

Vocational Education\_State Planning and Evaluation (1980U1)

Archived (1985B)

## **84.122**

Secretary's Discretionary Program (1980U1)

Archived (1982B)

Reinstated (1983U)

Secretary's Discretionary (1983U)

Archived (1990B)

## **84.123**

Law-Related Education (1980U1)

Archived (1982B)

Reinstated (1983U)

Instruction in Civics, Government, and Law

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(1995B) Archived (1997B)	(1980U1) Transferred from 13.654 (1980U1) National Institute on Disability and Rehabilitation Research (1987B)	(1980U2) Migrant Education Program_Discretionary Interstate and Intrastate Coordination (1981B) Migrant Education_Interstate and Intrastate Coordination Program (1981U) Migrant Education_Coordination Program (1990B)
<b>84.124</b> Territorial Teacher Training Assistance Program (1980U1) Archived (1995U)	<b>84.134</b> Telecommunications Demonstrations for Health, Education and Other Social Services (1980U1) Transferred from 13.680 (1980U1) Archived (1981U)	<b>84.145</b> Federal Real Property Assistance Program (1980U2)
<b>84.125</b> Office for Handicapped Individuals (1980U1) Transferred from 13.603 (1980U1) Office of Information and Resources for the Handicapped (1980U2) Clearinghouse on the Handicapped (1981U) Clearinghouse on Disability Information (1989B) Archived (1996B)	<b>84.135</b> Aid to Land-Grant Colleges (1980U2) Transferred to 10.003 (1983U)	<b>84.146</b> Transition Program for Refugee Children (1981B) Archived (1991B)
<b>84.126</b> Rehabilitation Services_Basic Support (1980U1) Transferred from 13.624 (1980U1) Rehabilitation Services_Vocational Rehabilitation of State Grants (1994B) Rehabilitation Services_Vocational Rehabilitation Grants to States (1994U)	<b>84.136</b> Legal Training for the Disadvantaged (1980U2) Archived (1997B)	<b>84.148</b> Allen J. Ellender Fellowship Program (1981B) Archived (1988B)
<b>84.127</b> Vocational Rehabilitation Services for Social Security Disability Beneficiaries (1980U1) Transferred from 13.625 (1980U1) Archived (1981B)	<b>84.138</b> Educational Services to Cuban and Haitian Entrant Children (1980U2) Archived (1981U)	<b>84.149</b> Migrant Education Program_Part B_College Assistance Program (1981B) Split from 84.141 (1981B) Migrant Education_College Assistance Migrant Program (1981U)
<b>84.128</b> Rehabilitation Services_Special Projects (1980U1) Transferred from 13.626 (1980U1) Rehabilitation Services_Service Projects (1984B)	<b>84.139</b> Cities in Schools (1980U2) Archived (1982B)	<b>84.151</b> Education Consolidation and Improvement Programs_Chapter 2 (1982B) Improving Schools Programs_State Block Grants (1983B) Federal, State, and Local Partnerships for Educational Improvement (1988U) Chapter 2_State Block Grants (1994U) Archived (1995U)
<b>84.129</b> Rehabilitation Training (1980U1) Transferred from 13.629 (1980U1) Rehabilitation Long-Term Training (1993U)	<b>84.140</b> Push for Excellence (1980U2) Archived (1982B)	<b>84.152</b> Neglected or Delinquent Transition Services (1982B) Archived (1984B)
<b>84.130</b> Rehabilitation Services_Innovation and Expansion (1980U1) Transferred from 13.649 (1980U1) Archived (1981U)	<b>84.141</b> High School Equivalency and College Assistance Migrant Program (1980U2) Split into 84.141, 84.149 (1981B) Migrant Education Program_Part A_High School Equivalency Program (1981B) Migrant Education_High School Equivalency Program (1981U)	<b>84.153</b> Business and International Education (1983B) International Business Education (2000B) Business and International Education Projects (2001B)
<b>84.131</b> Vocational Rehabilitation Services for Supplemental Security Income Beneficiaries (1980U1) Transferred from 13.651 (1980U1) Archived (1981B)	<b>84.142</b> Housing for Educational Institutions (1980U2) Housing and Other Educational Facilities Loans (1987B) College Housing and other Educational Facilities Loans (1989B) College Facilities Loans (1990B) College Housing and Academic Facilities Loans (1991B) Archived (1998B)	<b>84.154</b> Library Services and Construction Act_Construction (1983B) Public Library Construction (1985U) Public Library Construction and Technology Enhancement (1991B) Archived (1997B)
<b>84.132</b> Centers for Independent Living (1980U1) Transferred from 13.653 (1980U1)	<b>84.143</b> Emergency School Aid Act_Evaluation Contracts (1980U2) Archived (1983B)	<b>84.155</b> Removal of Architectural Barriers to the Handicapped (1983U) Archived (1990B)
<b>84.133</b> National Institute of Handicapped Research	<b>84.144</b> Migrant Education_Discretionary Interstate/Intrastate Coordination Program	<b>84.157</b>

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Secretary's Initiative to Improve the Quality of Chapter 1, ECIA Projects (1983U)  
Archived (1984B)

## 84.158

Secondary Education and Transitional Services for Handicapped Youth (1984B)  
Secondary Education and Transitional Services for Youth with Disabilities (1991B)  
Archived (1998B)

## 84.159

Handicapped-Special Studies (1984B)  
Disabled\_Special Studies and Evaluation (1991B)  
Special Studies for Programs with Disabilities (1994B)  
Special Studies for Persons with Disabilities Program (1994B)  
Special Education\_Special Studies for Persons with Disabilities (1994U)  
Archived (1998B)

## 84.160

Training Interpreters for Deaf Individuals (1984B)  
Training Interpreters for Individuals who are Deaf and Individuals who are Deaf-Blind (1993B)

## 84.161

Client Assistance for Handicapped Individuals (1984B)  
Client Assistance for Individuals with Handicaps (1990U)  
Client Assistance for Individuals with Disabilities (1991B)  
Rehabilitation Services\_Client Assistance Program (1991U)

## 84.162

Emergency Immigrant Education Assistance (1984U)  
Emergency Immigrant Education (1987U)  
Immigrant Education (1995B)  
Archived (2002B)

## 84.163

Library Services for Indian Tribes and Hawaiian Natives (1985B)  
Archived (1997B)

## 84.164

State Grants for Strengthening the Skills of Teachers and Instruction in Mathematics, Science, Foreign Languages, and Computer Learning (1985B)  
State Grants for Strengthening the Skills of Teachers and Instruction in Mathematics and Science (1989B)  
Mathematics and Science Education (1990B)  
Eisenhower Mathematics and Science Education\_State Grants (1990U)  
Archived (1995U)

## 84.165

Magnet Schools Assistance (1985B)  
Magnet Schools Assistance in Desegregating Districts (1991B)  
Magnet Schools Assistance (1994U)

## 84.167

Library Literacy (1986B)  
Archived (1996U)

## 84.168

Secretary's Discretionary Program for Mathematics, Science Computer Learning, and Critical Foreign Languages (1985B)  
National Programs for Strengthening, Teaching, and Administration in Mathematics and Science Programs (1989B)  
National Program for Mathematics and Science Education (1989U)  
Eisenhower National Program for Mathematics and Science Education (1991U)  
Dwight D. Eisenhower National Program for Mathematics and Science Education (1992B)  
Eisenhower Mathematics and Science Education\_National Program (1994U)  
Eisenhower Professional Development\_Federal Activities (1995B)  
Eisenhower Professional Development\_National Activities (1995U)  
Eisenhower Professional Development\_Federal Activities (1997U)  
Deleted (2004)

## 84.169

Comprehensive Services for Independent Living (1985B)  
Independent Living Services (1993B)  
Independent Living\_State Grants (1993U)

## 84.170

National Graduate Fellows (1985B)  
Jacob K. Javits Fellowships (1987B)  
Javits Fellowships (1993U)

## 84.171

Excellence in Education (1985B)  
Archived (1988B)

## 84.172

Construction, Reconstruction, and Renovation of Academic Facilities (1985B)  
Archived (1990B)

## 84.173

Handicapped\_Preschool Incentive Grants (1985U)  
Handicapped\_Preschool Grants (1987U)  
Special Education\_Preschool Grants (1991B)

## 84.174

Vocational Education\_Community Based Organizations (1986B)

Archived (1996B)

## 84.175

Rehabilitation Services\_Innovation and Expansion (1986B)  
Archived (1986U)

## 84.176

Carl D. Perkins Scholarships (1986U)  
Paul Douglas Teacher Scholarships (1987U)  
Douglas Teacher Scholarships (1992B)  
Archived (1997B)

## 84.177

Rehabilitation Services\_Independent Living for Older Blind Individuals (1986B)  
Rehabilitation Services\_Independent Living Services for Older Blind Individuals (1987U)  
Rehabilitation Services\_Independent Living Services for Older Individuals Who are Blind (1993B)

## 84.178

Leadership in Educational Administration Development (1986U)  
Archived (1995B)

## 84.180

Technology, Educational Media and Materials for the Handicapped (1987B)  
Technology, Educational Media and Materials for Individuals with Disabilities (1991B)  
Technology Applications for Individuals with Disabilities (1993B)  
Technology, Educational Media and Materials for Individuals with Disabilities (1994B)  
Technology Applications for Individuals with Disabilities (1995U)  
Archived (1998B)

## 84.181

Handicapped Infants and Toddlers (1987B)  
Infants and Toddlers with Disabilities (1991B)  
Grants for Infants and Toddlers with Disabilities (1992U)  
Grants for Infants and Families with Disabilities (1993U)  
Special Education\_Grants for Infants and Families with Disabilities (1994U)  
Special Education-Grants for Infants and Families (2008)

## 84.184

National Program for Drug-Free Schools and Communities (1987B)  
Drug-Free Schools and Communities\_National Programs (1990U)  
Safe and Drug-Free Schools and Communities\_National Programs (1996U)

## 84.185

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Robert C. Byrd Honors Scholarships (1987B)  
Byrd Honors Scholarships (1993U)  
Archived (2012)

## **84.186**

Drug-Free Schools and Communities\_State Grants (1987B)  
Safe and Drug-Free Schools\_State Grants (1995B)  
Safe and Drug-Free Schools and Communities\_State Grants (1996U)  
Archived (2012)

## **84.187**

Supported Employment Services for Individuals with Severe Handicaps (1987B)  
Supported Employment Services for Individuals with Severe Disabilities (1993B)  
Supported Employment Services for Individuals with Significant Disabilities (2008)  
Supported Employment Services for Individuals with the Most Significant Disabilities (2010)

## **84.188**

Drug-Free Schools and Communities\_Regional Centers (1987B)  
Archived (1995U)

## **84.190**

Christa McAuliffe Fellowships (1987B)  
Archived (1997B)

## **84.191**

National Adult Education Discretionary Program (1987U)  
National Adult Education Research (1989B)  
National Adult Education Discretionary Program (1991B)  
Adult Education\_National Programs (1994U)  
Adult Education\_Evaluation and Technical Assistance (1997B)  
Adult Education\_National Leadership Activities (1998U)

## **84.192**

Adult Education for the Homeless (1987U)  
Adult Education\_Literacy Training for Homeless Adults (1994U)  
Archived (1997B)

## **84.193**

Demonstration Centers for the Retraining of Dislocated Workers (1987U)  
Demonstration Centers for the Training of Dislocated Workers (1991B)  
Archived (1994B)

## **84.194**

Bilingual Education Support Services (1987U)  
Archived (2002B)

## **84.195**

Bilingual Education Training Grants (1987U)  
Bilingual Education\_Professional Development (1996B)  
Deleted (2004)

## **84.196**

State Activities\_Education of Homeless Children and Youth (1987U)  
State Activities\_Education for Homeless Children and Youth (1990B)  
Education for Homeless Children and Youth\_Grants for State and Local Activities (1992B)  
Education for Homeless Children and Youth (1994U)

## **84.197**

College Library Technology and Cooperation Grants (1988B)  
College Library Technology (1990U)  
College Library Technology and Cooperation Grants (1992U)  
Archived (1996B)

## **84.198**

Workplace Literacy Partnership (1988B)  
Workplace Literacy (1988U)  
Workplace Literacy Partnerships (1990U)  
National Workplace Literacy Partnerships (1991B)  
National Workplace Literacy Program (1991U)  
National Workplace Literacy Partnerships (1993U)  
Workplace Literacy Partnerships (1994U)  
Archived (1998B)

## **84.199**

Vocational Education\_Cooperative Demonstration (1988B)  
Archived (1996B)

## **84.200**

Graduate Assistance in Areas of National Need (1988B)  
Graduate Assistance in Areas of National Need (2005)  
Graduate Assistance in Areas of National Need (2005)

## **84.201**

School Dropout Demonstration Assistance (1988B)  
Dropout Demonstration Assistance (1994U)  
Dropout Prevention Demonstration Assistance (1995U)  
Archived (1997B)

## **84.202**

Grants to Institutions to Encourage Minority Participation in Graduate Education (1988B)  
Grants to Institutions to Encourage Women and Minority Participation in Graduate Education (1992U)

Women and Minority Participation in Graduate Education (1994B)  
Archived (1996B)

## **84.203**

Star Schools Program (1988B)  
Star Schools (1994U)  
Archived (2009)

## **84.204**

School, College, and University Partnership (1988U)  
School, College, and University Partnerships (1991B)  
Archived (1997B)

## **84.206**

Jacob K. Javits Gifted and Talented Students (1988U)  
Jacob K. Javits Gifted and Talented Students Education Grant Program (1991U)  
Javits Gifted and Talented Students Education Grant Program (1994U)  
Javits Gifted and Talented Students Education (2011)  
Archived (2012)

## **84.207**

Educational Personnel Training (1989B)  
School Personnel Training (1990B)  
Drug-Free Schools and Communities\_School Personnel Training (1990U)  
Archived (1995U)

## **84.208**

Native Hawaiian Model Curriculum Implementation Project (1988U)  
Native Hawaiian Model Curriculum Development (1989U)  
Archived (1995U)

## **84.209**

Native Hawaiian Family Based Education Centers (1988U)  
Deleted (2004)

## **84.210**

Native Hawaiian Gifted and Talented (1988U)  
Deleted (2004)

## **84.211**

FIRST Schools and Teachers (1988U)  
Archived (1995U)

## **84.212**

FIRST Family School Partnerships (1988U)  
FIRST Family School Partnership (1989U)  
Archived (1995U)

## **84.213**



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Even Start\_Local Education (1988U)  
Even Start\_Local Education Agencies (1989B)  
Even Start\_Local Educational Agencies (1990U)  
Even Start\_State Educational Agencies (1991U)  
Archived (2012)

**84.214**  
Even Start\_Migrant Education (1988U)  
Archived (2012)

**84.215**  
Innovation in Education (1988U)  
The Secretary's Fund for Innovation in Education (1989B)  
Fund for the Improvement of Education (1994U)

**84.216**  
Private School\_Capital Expenses (1988U)  
Archived (2003B)

**84.217**  
Ronald E. McNair Post-Baccalaureate Achievement (1989B)  
McNair Post-Baccalaureate Achievement (1993U)  
TRIO\_McNair Post-Baccalaureate Achievement (2002B)

**84.218**  
State Improvement (1989B)  
State Program Improvement Grants (1990B)  
State School Improvement Grants (1996B)  
Archived (1998B)

**84.219**  
Student Literacy Corps (1989B)  
Student Literacy Corps and Student Mentoring Corps Programs (1992U)  
Student Literacy Corps and Student Mentoring Corps (1994B)  
Archived (1995B)

**84.220**  
Center for International Business Education (1989B)

**84.221**  
Native Hawaiian Special Education (1989B)  
Deleted (2004)

**84.222**  
National School Volunteer Program (1989B)  
Archived (1991B)

**84.223**  
State-Administered English Literacy (1989B)  
English Literacy Program (1989U)  
Archived (1995B)

**84.224**  
State Grants for Technology-Related Assistance to

Individuals with Disabilities (1989B)  
State Grants for Assistive Technology (1994U)  
Assistive Technology (1999B)

**84.225**  
Education for Homeless Children and Youth\_Exemplary Grants (1989U)  
Archived (1992B)

**84.226**  
Income Contingent Loan Program (1990B)  
Archived (1994B)

**84.227**  
Secondary Schools\_Basic Skills Demonstration Assistance (1990B)  
Archived (1992B)

**84.228**  
Educational Partnerships (1990B)  
Education Partnerships (1994U)  
Archived (1995B)

**84.229**  
Language Resource Centers (1990B)

**84.230**  
Technology Education Demonstration (1990B)  
Archived (1994B)

**84.231**  
Demonstration and Innovation Projects of National Significance in Technology-Related Assistance for Individuals with Disabilities (1990B)  
Demonstration and Innovation Projects of National Significance in Assistive Technology for Individuals with Disabilities (1994U)  
Archived (1995U)

**84.232**  
Mid-Career Teacher Training (1990B)  
Archived (1993B)

**84.233**  
Emergency Grants (1991B)  
Drug-Free Schools and Communities\_Emergency Grants (1992B)  
Archived (1995U)

**84.234**  
Projects with Industry (1991B)  
Archived (2012)

**84.235**  
Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Handicaps (1991B)  
Special Projects and Demonstrations for Providing Vocational Rehabilitation Services to Individuals with Severe Disabilities (1992B)

Rehabilitation Services Demonstration and Training\_Special Demonstration Programs (1999B)  
Rehabilitation Services Demonstration and Training Programs (2003B)

**84.236**  
Training and Public Awareness Projects in Technology Related Assistance for Individuals with Disabilities (1991B)  
Training and Public Awareness Projects in Assistive Technology for Individuals with Disabilities (1994U)  
Archived (1995U)

**84.237**  
Children and Youth with Serious Emotional Disturbance (1991B)  
Special Education\_Program for Children with Serious Emotional Disturbance (1994U)  
Archived (1998B)

**84.238**  
Training Programs for Educators\_Alcohol Abuse (1991B)  
Archived (1995B)

**84.239**  
Foreign Language Materials Acquisition (1991B)  
Archived (1995B)

**84.240**  
Program of Protection and Advocacy (1991B)  
Program of Protection and Advocacy of Individual Rights (1992B)

**84.241**  
Counselor Training (1991B)  
Drug-Free Schools\_Counselor Training (1994U)  
Archived (1995U)

**84.242**  
National Science Scholars (1991B)  
Archived (1997B)

**84.243**  
Tech-Prep Education (1991B)  
Archived (2012)

**84.244**  
Business and Education Standards (1991B)  
Archived (1997B)

**84.245**  
Tribally Controlled Postsecondary Vocational Institutions (1991B)  
Tribally Controlled Postsecondary Vocational and Technical Institutions (1999B)  
Tribally Controlled Postsecondary Career and Technical Institutions (2007)

**84.246**

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Rehabilitation Short-Term Training (1991B)

**84.247**

Commercial Drivers Education (1991U)  
Archived (1994B)

**84.248**

Demonstration Projects for the Integration of Vocational and Academic Learning (1991U)  
Archived (1997B)

**84.249**

Foreign Languages Assistance (1991U)  
Archived (1995U)

**84.250**

Rehabilitation Services\_American Indians with Disabilities (1991U)

**84.251**

Periodicals Published Outside the United States (1992B)  
Foreign Periodicals (1993U)  
Archived (1996B)

**84.252**

Urban Community Services (1992B)  
Urban Community Service (1994B)  
Archived (2001B)

**84.253**

Supplementary State Grants for Facilities, Equipment, and Other Program Improvement Activities (1992B)  
Archived (1995B)

**84.254**

State Literacy Resource Centers (1992B)  
Archived (1997B)

**84.255**

Literacy for Incarcerated Adults (1992B)  
Literacy Programs for Prisoners (1994U)  
Deleted (2008)

**84.256**

Territories\_Freely Associated States Education Grant Program (1992B)  
Education Grant Program for the Freely Associated States (1994U)  
Freely Associated States\_Education Grant Program (1997U)  
Territories and Freely Associated States Education Grant Program (2010)

**84.257**

National Institute for Literacy (1995B)  
Archived (2010)

**84.258**

Even Start\_Indian Tribes and Tribal Organizations (1992U)

Archived (2012)

**84.259**

Native Hawaiian Vocational Education (1992U)  
Native Hawaiian Career and Technical Education (2007)

**84.260**

National Academy of Science, Space, and Technology (1993B)  
Archived (1995U)

**84.261**

Dwight D. Eisenhower Leadership Development (1993B)  
Eisenhower Leadership (1994B)  
Eisenhower Leadership Program (1994U)  
Archived (1996B)

**84.262**

Minority Teacher Recruitment (1993U)  
Archived (1999B)

**84.263**

Rehabilitation Training\_Experimental and Innovative Training (1993B)  
Archived (2012)

**84.264**

Rehabilitation Training\_Continuing Education (1993B)

**84.265**

Rehabilitation Training\_State Vocational Rehabilitation Unit In-Service Training (1993B)

**84.266**

Training in Early Childhood Education and Violence Counseling (1993B)  
Archived (1996B)

**84.267**

State Postsecondary Review (1993U)  
Archived (1996B)

**84.268**

Federal Direct Student Loan (1994B)  
Federal Direct Loan (1997U)  
Federal Direct Student Loans (2002B)

**84.269**

Institute for International Public Policy (1994B)

**84.270**

Teacher Corps (1994B)  
Archived (1995U)

**84.271**

Faculty Development Fellowship (1994B)  
Archived (1996B)

**84.272**

National Early Intervention Scholarship and Partnership (1994B)  
National Early Intervention Scholarship and Partnership (NEISP) (1994U)  
National Early Intervention Scholarship and Partnership (1995U)  
Archived (1999B)

**84.273**

Demonstration Grants for Critical Language and Area Studies (1994B)  
Archived (1996U)

**84.274**

American Overseas Research Centers (1994B)

**84.275**

Rehabilitation Training\_General Training (1995U)

**84.276**

Goals 2000\_State and Local Education Systemic Improvement Grants (1995B)  
Archived (2002B)

**84.277**

Safe Schools Discretionary Grants to Local Education Agencies (1995B)  
Archived (1995U)

**84.278**

School to Work Opportunities (2001U)  
Archived (2002B)

**84.279**

Goals 2000\_Assessment Development and Evaluation Grants (1995B)  
Archived (1996U)

**84.280**

Goals 2000\_Opportunity-To-Learn Development Grants (1995B)  
Archived (1996U)

**84.281**

Eisenhower Professional Development State Grants (1995B)  
Deleted (2004)

**84.282**

Public Charter Schools (1995B)  
Charter Schools (1997B)

**84.283**

Comprehensive Regional Assistance Centers (1995B)  
Comprehensive Centers (2005)

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Comprehensive Centers (2005)

### 84.284

School Facilities Infrastructure Improvement  
(1995B)  
Archived (1995U)

### 84.285

Family and Community Endeavor Schools Grant  
Program (1995B)  
Archived (1995U)

### 84.286

Telecommunications Demonstration Project for  
Mathematics (1995B)  
Ready to Teach (2003B)  
Ready to Teach (2005)  
Ready to Teach (2005)  
Archived (2012)

### 84.287

21st Century Community Learning Centers  
Program (1995B)  
After School Learning Centers (1997B)  
Twenty-First Century Community Learning  
Centers (1998B)

### 84.288

Bilingual Education\_Program Development and  
Implementation Grants (1995B)  
Archived (2002B)

### 84.289

Bilingual Education\_Program Enhancement Grants  
(1995B)  
Archived (2002B)

### 84.290

Bilingual Education\_Comprehensive School Grants  
(1996U)  
Archived (2002B)

### 84.291

Bilingual Education\_Systemwide Improvement  
Grants (1995B)  
Archived (2002B)

### 84.292

Bilingual Education\_Research Programs (1995B)  
Archived (2002B)

### 84.293

Foreign Languages Assistance (1995B)  
Foreign Language Assistance (1997U)

### 84.294

Foreign Languages Assistance\_Incentive Grants  
(1995B)  
Archived (1998B)  
Foreign Language Incentive Program (2002B)

Reinstated (2002B)

Deleted (2004)

### 84.295

Ready-To-Learn Television (1995B)

### 84.296

Native Hawaiian Community-Based Education  
Learning Centers (1995B)  
Deleted (2004)

### 84.297

Native Hawaiian Curriculum Development,  
Teacher Training and Recruitment (1995B)  
Deleted (2004)

### 84.298

Innovative Education Program Strategies (1995B)  
State Grants for Innovative Programs (2004)  
Archived (2009)

### 84.299

Indian Education\_Special Programs (1995B)  
Archived (1997B)

### 84.300

Alaska and Native Hawaiian Cultural and Arts  
Development (1995B)  
Native Hawaiian and Alaska Native Culture and  
Arts Development (1996U)  
Archived (1997B)

### 84.301

Olympic Scholarships (1995B)  
Archived (1995U)

### 84.302

Technical Support and Professional Development  
Consortia for Technology (1995B)  
Eisenhower Regional Mathematics and Science  
Education Consortia (1996B)  
Regional Technical Support and Professional  
Development Consortia (1996U)  
Regional Technology in Education Consortia  
(2002B)  
Deleted (2005)

### 84.303

Challenge Grants for Technology in Education  
(1995B)  
Local Innovation\_Challenge Grants for Technology  
in Education (1996B)  
Technology Challenge Grants (1997B)  
Technology Innovation Challenge Grants (1997U)  
Archived (2002B)

### 84.304

International Education Exchange (1995B)  
Cooperative Education Exchange Program (2002B)  
Civic Education\_Cooperative Education Exchange

Program (2003B)

Civic Education - Cooperative Education Exchange  
Program (2004)

Civic Education - We the People and the  
Cooperative Education Exchange Program (2010)  
Archived (2012)

### 84.305

National Institute on Student Achievement,  
Curriculum, and Assessment (1995U)  
Education Research, Development and  
Dissemination (2003B)

### 84.306

National Institute on the Education of At-Risk  
Students (1995U)  
Deleted (2004)

### 84.307

National Institute on Early Childhood Development  
and Education (1995U)  
Deleted (2004)

### 84.308

National Institute on Educational Governance,  
Finance, Policymaking, and Management (1995U)  
Deleted (2004)

### 84.309

National Institute on Postsecondary Education,  
Libraries, and Lifelong Learning (1995U)  
Deleted (2004)

### 84.310

Goals 2000: Parental Assistance Program (1995U)  
Goals 2000: Parental Information Resource Centers  
(2000B)  
Goals 2000: Parental Assistance (2001B)  
Parental Assistance Centers (2002B)  
Parental Information and Resource Centers (2008)  
Archived (2012)

### 84.311

Goals 2000: Tribal Divisions of Education School  
Reform Program (1995U)  
Archived (1996U)

### 84.312

Goals 2000: Urban/Rural Local Reform Initiative  
(1995U)  
Archived (1996U)

### 84.313

Even Start\_Family Literacy in Women's Prisons  
Program (1995U)  
Archived (1998B)

### 84.314

Even Start\_Statewide Family Literacy Program  
(1995U)  
Deleted (2004)

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<b>84.315</b> Capacity Building for Traditionally Underserved Populations (1995U)	Disabilities (1998B) Research in Special Education (2005) Research in Special Education (2005)	Gaining Early Awareness and Readiness for Undergraduate Programs (1999B)
<b>84.316</b> Native Hawaiian Higher Education Program (1995U) Deleted (2004)	<b>84.325</b> Special Education_Personnel Preparation to Improve Services and Results for Children with Disabilities (1998B) Special Education - Personnel Development to Improve Services and Results for Children with Disabilities (2006)	<b>84.335</b> Child Care Access Means Parents in School (1999B)
<b>84.318</b> Technology Literacy Challenge Fund Grants (1998B) Education Technology State Grants (2003B) Education Technology State Grants (2005) Education Technology State Grants (2005) Educational Technology State Grants (2010) Archived (2012)	<b>84.326</b> Special Education_Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (1998B)	<b>84.336</b> Teacher Quality Enhancement Grants for States and Partnerships (1999B) Teacher Quality Enhancement Grants (2000B) Teacher Quality Partnership Grants (2009)
<b>84.319</b> Eisenhower Regional Mathematics and Science Education Consortia (1997B) Educational Technology State Grants (2004) Eisenhower Regional Math and Science Consortia (2005) Eisenhower Regional Math and Science Consortia (2005) Eisenhower Regional Math and Science Consortia (2005) Deleted (2006)	<b>84.327</b> Special Education_Technology and Media Services for Individuals with Disabilities (1998B)	<b>84.337</b> Technological Innovation and Cooperation for Foreign Information Access (1999B) International Education_Technological Innovation and Cooperation for Foreign Information Access (2003B) Archived (2012)
<b>84.320</b> Alaska Native Educational Planning, Curriculum Development, Teacher Training, and Recruitment Program (1997B) Deleted (2004)	<b>84.328</b> Special Education_Training and Information for Parents of Children with Disabilities (1998B) Special Education_Parent Information Centers (2000B)	<b>84.338</b> Reading Excellence (1999B) Archived (2003B)
<b>84.321</b> Alaska Native Home Based Education for Preschool Children (1997B) Deleted (2004)	<b>84.329</b> Special Education_Studies and Evaluations (1998B)	<b>84.339</b> Learning Anytime Anywhere Partnerships (1999B) Deleted (2004)
<b>84.322</b> Alaska Native Student Enrichment Program (1997B) Deleted (2004)	<b>84.330</b> Advanced Placement Test Fee Payment Program (1998B) Advanced Placement Incentive Program (1999B) Advanced Placement Program (2002B) Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants) (2008)	<b>84.340</b> Class Size Reduction (1999B) Archived (2003B)
<b>84.323</b> Special Education_State Program Improvement Grants for Children with Disabilities (1998B) Special Education - State Personnel Development (2005) Special Education - State Personnel Development (2005) Special Education - State Personnel Development (2005) Special Education - State Personnel Development (2005)	<b>84.331</b> Grants to States for Incarcerated Youth Offenders (1998B) Grants to States for Workplace and Community Transition Training for Incarcerated Individuals (2009)	<b>84.341</b> Community-Based Technology Centers (1999B) Community Technology Centers (2000B) Deleted (2008)
<b>84.324</b> Special Education_Research and Innovation to Improve Services and Results for Children with	<b>84.332</b> Comprehensive School Reform Demonstration (1999B) Archived (2012)	<b>84.342</b> Preparing Tomorrow's Teachers to Use Technology (1999B)
	<b>84.333</b> Demonstration Projects to Ensure Students with Disabilities Receive a Higher Education (1999B) Demonstration Projects to Support Postsecondary Faculty, Staff, and Administrations in Educating Students with Disabilities (2009) Archived (2012)	<b>84.343</b> Assistive Technology_State Grants for Protection and Advocacy (1999B)
	<b>84.334</b>	<b>84.344</b> TRIO_Dissemination (2000U) TRIO_Dissemination Partnership Grants (2001B) Deleted (2008)
		<b>84.345</b> Underground Railroad Educational and Cultural Program (2000U) Archived (2012)
		<b>84.346</b> Occupational and Employment Information State Grants (2000U) Vocational Education_Occupational and Employment Information State Grants (2003B)

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Deleted (2008)

### **84.347**

Community Scholarship Mobilization (2000U)  
Archived (2002B)

### **84.348**

Title I Accountability Grants (2000U)  
Deleted (2004)

### **84.349**

Early Childhood Educator Professional  
Development (2001U)  
Archived (2009)

### **84.350**

Transition to Teaching (2001U)

### **84.351**

Arts in Education (2001U)

### **84.352**

Grants for School Repair and Renovation (2001U)  
School Renovation Grants (2002B)  
Archived (2003B)

### **84.353**

Tech-Prep Demonstration Grants (2001U)

### **84.354**

Charter Schools Facilities Financing Demonstration  
(2002B)  
Credit Enhancement for Charter School Facilities  
(2005)  
Credit Enhancement for Charter School Facilities  
(2005)

### **84.355**

Child Care Provider Loan Forgiveness  
Demonstration (2002B)

### **84.356**

Alaska Native Educational Programs (2001U)

### **84.357**

Reading First State Grants (2002B)  
Archived (2010)

### **84.358**

Rural Education Achievement Program (2002B)  
Rural Education (2003B)

### **84.359**

Early Reading First (2002B)  
Archived (2012)

### **84.360**

Dropout Prevention Programs (2002B)  
School Dropout Prevention Program (2008)  
High School Graduation Initiative (2010)

### **84.361**

Voluntary Public School Choice (2002B)

### **84.362**

Native Hawaiian Education (2002B)

### **84.363**

School Leadership (2002B)

### **84.364**

Literacy through School Libraries (2002B)  
Improving Literacy Through School Libraries  
(2010)  
Archived (2012)

### **84.365**

English Language Acquisition Grants (2004)  
English Language Acquisition State Grants (2012)

### **84.366**

Mathematics and Science Partnerships (2004)

### **84.367**

Improving Teacher Quality State Grants (2004)

### **84.368**

Grants for Enhanced Assessment Instruments  
(2003B)  
Deleted (2004)  
Grants for Enhanced Assessment Instruments  
(2010)

### **84.369**

Grants for State Assessments and Related Activities  
(2004)

### **84.370**

DC School Choice Incentive Program (2005)

### **84.371**

Striving Readers (2006)

### **84.372**

Statewide Data Systems (2006)

### **84.373**

Special Education\_Technical Assistance on State  
Data Collection (2006)

### **84.374**

Teacher Incentive Fund (2006)

### **84.375**

Academic Competitiveness Grants (2006)  
Archived (2012)

### **84.376**

National Science and Mathematics Access to  
Retain Talent (SMART) Grants (2006)  
Archived (2012)

### **84.377**

School Improvement Grants (2008)

### **84.378**

College Access Challenge Grant Program (2008)

### **84.379**

Teacher Education Assistance for College and  
Higher Education Grants (TEACH Grants) (2008)

### **84.380**

Special Education -- Olympic Education Programs  
(2008)

### **84.381**

Baccalaureate Degrees in Science, Technology,  
Engineering, Mathematics, and Critical Foreign  
Languages and Master's Degrees in Science,  
Technology, Engineering, Mathematics, and  
Critical Foreign Languages (2008)  
Archived (2012)

### **84.382**

Strengthening Minority-Serving Institutions (2008)

### **84.383**

Homeless Education Disaster Assistance Program  
(2009)  
Archived (2012)

### **84.384**

Statewide Data Systems, Recovery Act (2009)  
Archived (2011)

### **84.385**

Teacher Incentive Fund, Recovery Act (2009)  
Archived (2011)

### **84.386**

Education Technology State Grants, Recovery Act  
(2009)  
Archived (2011)

### **84.387**

Education for Homeless Children and Youth,  
Recovery Act (2009)  
Archived (2011)

### **84.388**

School Improvement Grants, Recovery Act (2009)  
Archived (2011)

### **84.389**

Title I Grants to Local Educational Agencies,  
Recovery Act (2009)  
Archived (2011)

### **84.390**

Rehabilitation Services-Vocational Rehabilitation  
Grants to States, Recovery Act (2009)  
Archived (2011)

# Appendix VII: Historical Profile of Catalog Programs

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<b>84.391</b> Special Education Grants to States, Recovery Act (2009) Archived (2011)	Archived (2011)	<b>84.417</b> Directed Grants and Awards (2012)
<b>84.392</b> Special Education - Preschool Grants, Recovery Act (2009) Archived (2011)	<b>84.403</b> Consolidated Grant to the Outlying Areas (2009)	<b>84.938</b> Hurricane Education Recovery (2008) Archived (2009)
<b>84.393</b> Special Education - Grants for Infants and Families, Recovery Act (2009) Archived (2011)	<b>84.404</b> Impact Aid -- School Construction Formula Grants, Recovery Act (2009) Archived (2011)	<b>BARRY GOLDWATER SCHOLARSHIP AND EXCELLENCE IN EDUCATION FOUNDATION</b> <hr/>
<b>84.394</b> State Fiscal Stabilization Fund (SFSF) - Education State Grants, Recovery Act (2009) Archived (2011)	<b>84.405</b> Teacher Quality Partnerships, Recovery Act (2009) Archived (2011)	<b>85.200</b> Barry M. Goldwater Scholarship Program (1997B)
<b>84.395</b> State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act (2009) Archived (2011)	<b>84.406</b> Capacity Building for Traditionally Underserved Populations, Recovery Act. (2009) Archived (2011)	<b>CHRISTOPHER COLUMBUS FELLOWSHIP FOUNDATION</b> <hr/>
<b>84.396</b> State Fiscal Stabilization Fund (SFSF) - What Works and Innovation Fund, Recovery Act (2009) State Fiscal Stabilization Fund (SFSF) - Investing in Innovation (i3) Fund, Recovery Act (2010) Archived (2011)	<b>84.407</b> Transition Programs for Students with Intellectual Disabilities into Higher Education (2010)	<b>85.100</b> Christopher Columbus Fellowship Program (1997B) Archived (2009)
<b>84.397</b> State Fiscal Stabilization Fund (SFSF) - Government Services, Recovery Act (2009) Archived (2011)	<b>84.408</b> Postsecondary Education Scholarships for Veteran's Dependents (2010) Postsecondary Education Scholarships for Veteran's Dependents (2010)	<b>85.101</b> Homeland Security Award (2009)
<b>84.398</b> Independent Living State Grants, Recovery Act (2009) Archived (2011)	<b>84.409</b> Civil Legal Assistance Attorney Student Loan Repayment Program (2010) Archived (2012)	<b>85.102</b> Christopher Columbus Awards (2009)
<b>84.399</b> Independent Living Services for Older Individuals Who are Blind, Recovery Act (2009) Archived (2011)	<b>84.410</b> Education Jobs Fund (2010) Archived (2012)	<b>85.103</b> Freida J. Riley Teacher Award (2009) Archived (2010)
<b>84.400</b> Centers for Independent Living, Recovery Act. (2009) Archived (2011)	<b>84.411</b> State Fiscal Stabilization Fund (SFSF) - Investing in Innovation (i3) Fund (2011) Investing in Innovation (i3) Fund (2011)	<b>85.104</b> Life Sciences Awards (2009)
<b>84.401</b> Impact Aid School Construction, Recovery Act (2009) Archived (2011)	<b>84.412</b> Race to the Top Early Learning Challenge (2011)	<b>85.105</b> Agriscience Awards (2010)
<b>84.402</b> Consolidated Grants to the Outlying Areas, Recovery Act (2009)	<b>84.413</b> Race to the Top (2012)	<b>HARRY S TRUMAN SCHOLARSHIP FOUNDATION</b> <hr/>
	<b>84.414</b> Graduate Research Opportunities for Minority Students (2012) Graduate Research Opportunities for Minority Students (Minorities and Retirement Security Program) (2012)	<b>85.001</b> Harry S Truman Scholarship Program (1980U1)
	<b>84.415</b> State Tribal Education Partnership (STEP) (2012)	<b>JAMES MADISON MEMORIAL FELLOWSHIP FOUNDATION</b> <hr/>
	<b>84.416</b> Race to the Top - District Grants (2012)	<b>85.500</b> James Madison Memorial Fellowship Program (1997B)

# Appendix VII: Historical Profile of Catalog Programs

(MOZMBIQUE) (2009)

## **MORRIS K. UDALL FOUNDATION**

### **85.400**

Morris K. Udall Scholarship Program (1997B)

### **85.401**

Morris K. Udall Fellowship Program (1997B)

### **85.402**

Morris K. Udall Native American Congressional Internship Program (1997B)

## **SMITHSONIAN INSTITUTION**

### **85.601**

Smithsonian Institution Fellowship Program (2008)

## **WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS**

### **85.300**

Woodrow Wilson Center Fellowships in the Humanities and Social Sciences (1997B)

## **PENSION BENEFIT GUARANTY CORPORATION**

### **86.001**

Pension Plan Termination Insurance (1980U2)

## **CONSUMER PRODUCT SAFETY COMMISSION**

### **87.001**

Voluntary Standards Assistance (1980U2)  
Archived (1986U)

## **ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD**

### **88.001**

Architectural and Transportation Barriers Compliance (1984U)

## **NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

### **89.001**

National Archives Reference Services (1985B)  
Transferred from 39.004 (1985B)  
National Archives Reference Services -- Historical Research (1988B)

### **89.002**

National Audiovisual Center (1985B)  
Transferred from 39.005 (1985B)  
Multimedia and Publications Distribution (1993B)  
Archived (1995B)

### **89.003**

National Historical Publications and Records Grants (1985B)  
Transferred from 39.006 (1985B)

### **89.005**

Cooperative Agreements to Support the Programs of the National Archives and Records Administration (NARA) (2006)

## **BROADCASTING BOARD OF GOVERNORS**

### **90.500**

International Broadcasting Independent Grantee Organizations (2008)

## **COMMISSION ON THE BICENTENNIAL OF THE U.S. CONSTITUTION**

### **90.001**

Bicentennial Educational Grant Program (1987U)  
Archived (1991B)

### **90.002**

The U.S. Constitution\_College-Community Forums (1990B)  
Archived (1991B)

## **DELTA REGIONAL AUTHORITY**

### **90.200**

Delta Regional Development (2005)

### **90.201**

Enter new title here!Delta Area Economic Development (2005)

### **90.202**

Enter new title here!Delta Local Development District Assistance (2005)

## **DENALI COMMISSION**

### **90.100**

Denali Commission Program (2000U)

## **JAPAN U.S. FRIENDSHIP COMMISSION**

### **90.300**

Japan-US Friendship Commission Grants (2004)

## **U.S. ELECTION ASSISTANCE COMMISSION**

### **90.400**

Help American Vote College Pollworker Program (2004)  
Help America Vote College Pollworker Program (2006)  
Help America Vote College Program (2008)

### **90.401**

Help America Vote Act Requirements Payments (2005)

### **90.402**

Help America Vote Mock Election Program (2008)

### **90.403**

U.S. Election Assistance Commission Research Grants (2010)

## **UNITED STATES INSTITUTE OF PEACE**

### **91.001**

International Peace and Conflict Management\_Research and Education (1990B)  
Unsolicited Grant Program (2000B)  
Annual Grant Competition (2009)

### **91.002**

International Peace and Conflict Management\_Articles and Manuscripts (1990B)  
Solicited Grant Program (2000B)  
Priority Grant Competition (2009)

### **91.003**

91.003 Annual Senior Fellowship Competition (2010)

## **NATIONAL COUNCIL ON DISABILITY**

### **92.001**

National Council on Disability (1992B)

## **DEPARTMENT OF HEALTH AND HUMAN SERVICES**

### **93.001**

Civil Rights Compliance Activities (1976B)  
Number changed from 13.675 (1990U)  
Civil Rights and Privacy Rule Compliance Activities (2004)

### **93.002**

Consumer Affairs (1976B)  
Number changed from 13.678 (1990U)  
Archived (1999B)

### **93.003**

Public Health and Social Services Emergency Fund (1992U)  
Archived (1994B)  
Public Health and Social Services Emergency Fund -- Reinstated (1995U)

### **93.004**

Cooperative Agreements to Improve the Health Status of Minority Populations (1997U)

### **93.005**

Project Grants for Facilities to Improve the Health Status of Minority Populations (1997U)

### **93.006**

State and Territorial and Technical Assistance Capacity Development Minority HIV/AIDS Demonstration Program (2000B)

### **93.007**

Public Awareness Campaigns on Embryo Adoption

# Appendix VII: Historical Profile of Catalog Programs

(2002B)	Number changed from 13.781 (1990U) Number changed to 93.561 (1992U)	Number changed to 93.570 (1992U)
<b>93.008</b> Medical Reserve Corps Small Grant Program (2004)	<b>93.022</b> Assistance Payments_Research Number changed from 13.782 (1990U) Number changed to 93.562 (1992U)	<b>93.033</b> Community Block Grant Discretionary Awards_Community Food and Nutrition Number changed from 13.795 (1990U) Number changed to 93.571 (1992U)
<b>93.009</b> Compassion Capital Fund (2004)	<b>93.023</b> Child Support Enforcement Number changed from 13.783 (1990U) Number changed to 93.563 (1992U)	<b>93.034</b> Emergency Community Services for the Homeless Number changed from 13.796 (1990U) Number changed to 93.572 (1992U)
<b>93.010</b> Community-Based Abstinence Education (CBAE) (2005)	<b>93.024</b> Child Support Enforcement Research Number changed from 13.784 (1990U) Number changed to 93.564 (1992U)	<b>93.035</b> Community Services Block Grant Discretionary Awards_Demonstration Partnerships Number changed from 13.797 (1990U) Number changed to 93.573 (1992U)
<b>93.011</b> National Organizations of State and Local Officials (2011)	<b>93.025</b> State Legalization Impact Assistance Grants Number changed from 13.786 (1990U) Number changed to 93.565 (1992U)	<b>93.036</b> Child Care for Families At-Risk of Welfare Dependency (1991B) Number changed to 93.574 (1992U)
<b>93.012</b> Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women (2005) Archived (2010)	<b>93.026</b> Refugee and Entrant Assistance_State Administered Programs Number changed from 13.787 (1990U) Number changed to 93.566 (1992U)	<b>93.037</b> Payments to States for Day Care Assistance (1991B) Payments to States for Child Care Assistance (1992B) Number changed to 93.575 (1992U)
<b>93.013</b> Ambassadors for Change Program (2006) Archived (2010)	<b>93.027</b> Refugee Assistance_Voluntary Agency Programs Number changed from 13.788 (1990U) Number changed to 93.567 (1992U)	<b>93.038</b> Refugee and Entrant Assistance_Discretionary Grants (1991U) Number changed to 93.576 (1992U)
<b>93.014</b> Steps to Healthier Girls Program (2006) Archived (2010)	<b>93.028</b> Low-Income Home Energy Assistance Number changed from 13.789 (1990U) Number changed to 93.568 (1992U)	<b>93.039</b> Child Care Improvement Grants (1991B) Archived (1992B)
<b>93.015</b> HIV Prevention Programs for Women (2006)	<b>93.029</b> Work Incentive Program/WIN Demonstration Program Number changed from 13.790 (1990U) Archived (1991B)	<b>93.040</b> Family Support Centers Demonstration Program (1992B) Number changed to 93.578 (1992U)
<b>93.016</b> Postal Model for Medical Countermeasures Delivery and Distribution (2010)	<b>93.030</b> Emergency Services and Shelter AFDC Transitional Housing Demonstration Program Number changed from 13.791 (1990U) Archived (1991B)	<b>93.041</b> Special Programs for the Aging_Title III, Part G_Prevention of Abuse, Neglect, and Exploitation of Older Individuals Number changed from 93.552 (1992U) Special Programs for the Aging_Title VII, Chapter 3, Programs for Prevention of Elder Abuse, Neglect, and Exploitation (1993U)
<b>93.017</b> Strengthening the Management and Services of the Women's and Children's Hospitals in Kabul (2006) Archived (2012)	<b>93.031</b> Community Services Block Grant Number changed from 13.792 (1990U) Number changed to 93.569 (1992U)	<b>93.042</b> Special Programs for the Aging_Title III, Part A_Long- Term Care Ombudsman Services for Older Individuals Number changed from 93.553 (1992U) Special Programs for the Aging_Title VII, Chapter 2_Long Term Care Ombudsman Services for Older
<b>93.018</b> Strengthening Public Health Services at the Outreach Offices of the U.S.-Mexico Border Health Commission (2006)	<b>93.032</b> Community Services Block Grant_Discretionary Awards Number changed from 13.793 (1990U)	
<b>93.019</b> Technical Assistance and Provision for Foreign Hospitals and Health Organizations (2008) Archived (2012)		
<b>93.020</b> Family Support Payments to States_Assistance Payments Number changed from 13.780 (1990U) Number changed to 93.560 (1992U)		
<b>93.021</b> Job Opportunities and Basic Skills Training		



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Individuals (1993U)

## 93.043

Special Programs for the Aging\_ Title III, Part F\_Disease Prevention and Health Promotion Services

Number changed from 93.555 (1992U)

Special Programs for the Aging\_ Title III, Part F\_Disease Prevention and Health Promotion Services (1994B)

Special Programs for the Aging\_ Title III, Part D\_Disease Provention and Health Promotion Services (2002B)

## 93.044

Special Programs for the Aging\_ Title III, Part B\_Grants for Supportive Services and Senior Centers

Number changed from 93.633 (1992U)

Consolidated from 93.046 (2001B)

## 93.045

Special Programs for the Aging\_ Title III, Part C\_Nutrition Services

Number changed from 93.635 (1992U)

## 93.046

Special Programs for the Aging\_ Title III, Part D\_In-Home Services for Frail Older Individuals

Number changed from 93.641 (1992U)

Consolidated into 93.044 (2001B)

## 93.047

Special Programs for the Aging\_ Title VI, Part A, Indian Programs\_Grants to Indian Tribes and Part B, Grants to Native Hawaiians

Number changed from 93.655 (1992U)

Special Programs for the Aging\_ Title VI, Part A, Grants to Idian Tribes\_Part B, Grants to Native Hawaiians (2002B)

## 93.048

Special Programs for the Aging\_ Title IV\_Training, Research and Discretionary Projects and Programs

Number changed from 93.668 (1992U)

Special Programs for the Aging\_ Title IV\_and Title II\_Discretionary Projects (2002B)

## 93.049

Special Programs for the Aging\_ Title VII, Chapter 6\_Allotments for Vulnerable Elder Rights Protection Programs (1994B)

Archived (2000B)

## 93.050

Special Programs for the Aging\_ Title II\_Preconference Programs for the White House Conference on Aging (1994U)

Archived (1995B)

Geosciences (2003)

## 93.051

New Demonstration Grants to States with Respect to Alzheimer's Disease (1999B)

Alzheimer's Disease Demonstration Grants to States (2002B)

## 93.052

Nation Family Caregiver Support Program (2001B)

National Family Caregiver Support (2002B)

National Family Caregiver Support, Title III, Part E (2007)

## 93.053

Nutrition Services Incentive Program (2003B)

## 93.054

National Family Caregiver Support, Title VI, Part C, Grants To Indian Tribes And Native Hawaiians (2007)

## 93.055

Applied Leadership for Community Health Improvement (2011)

PPHF 2012-Applied Leadership for Community Health Improvement (2012)

## 93.056

Initiative to Educate State and Territorial Officials about Maintaining and Strengthening Public Health in a Changing Environment (2011)

## 93.058

Tobacco Regulation Awareness, Communication, and Education Program (2012)

## 93.059

Training in General, Pediatric, and Public Health Dentistry (2011)

## 93.060

Competitive Abstinence Education (CAE) (2012)

## 93.061

Innovations in Applied Public Health Research (2004)

## 93.062

Biomonitoring Programs for State Public Health Laboratories (2008)

## 93.063

Centers for Genomics and Public Health (2004)

## 93.064

Laboratory Training, Evaluation, and Quality Assurance Programs (2004)

## 93.065

Laboratory Leadership, Workforce Training and Management Development, Improving Public Health Laboratory Infrastructure (2005)

## 93.066

Vital Statistics Re-engineering Program (2004)

State Vital Statistics Improvement Program (2007)

## 93.067

Global AIDS (2005)

## 93.068

Chronic Diseases: Research, Control, and Prevention (2005)

Chronic Diseases: Research, Control, and Prevention (2008)

## 93.069

Public Health Emergency Preparedness (2008)

## 93.070

Environmental Public Health and Emergency Response (2008)

## 93.071

Medicare Enrollment Assistance Program (2008)

## 93.072

Lifespan Respite Care Program (2009)

## 93.073

Birth Defects and Developmental Disabilities - Prevention and Surveillance (2010)

## 93.075

Systems Interoperability\_Health and Human Services (2012)

## 93.076

TANF Program Integrity Innovation Grants (2012)

## 93.077

Family Smoking Prevention and Tobacco Control Act Regulatory Research (2012)

## 93.078

Strengthening Emergency Care Delivery in the United States Healthcare System through Health Information and Promotion (2012)

## 93.086

Healthy Marriage Promotion and Responsible Fatherhood Grants (2006)

## 93.087

Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse (2007)

Enhance Safety of Children Affected by Substance Abuse (2012)

## 93.088

Advancing System Improvements to Support Targets for Healthy People 2010 (2008)

## Appendix VII: Historical Profile of Catalog Programs

<b>93.090</b> Guardianship Assistance (2009)	(1993U) Model State-Supported Area Health Education Centers (1999U)	Preventive Medicine Residency Program (2010) Preventive Medicine and Public Health Residency Training Program, Integrative Medicine Program, and National Coordinating Center for Integrative Medicine (2012)
<b>93.091</b> Social Services and Income Maintenance Benefits Enrollment Coordination Grants (2010)	Area Health Education Centers Point of Service Maintenance and Enhancement Awards (2010)	
<b>93.092</b> Personal Responsibility Education Program (2010) Affordable Care Act (ACA) Personal Responsibility Education Program (2011)	<b>93.108</b> Health Education Assistance Loans Number changed from 13.108 (1990U) Deleted (2005)	<b>93.118</b> Acquired Immunodeficiency Syndrome (AIDS) Activity Number changed from 13.118 (1990U) Incorporated from 93.160 (1993B)
<b>93.093</b> Demonstration Projects to Address Health Professions Workforce Needs (2010) Health Profession Opportunity Grants (2011) Affordable Care Act (ACA) Health Profession Opportunity Grants (2011)	<b>93.109</b> Linking Community-Based Primary Care, Substance Abuse, HIV/AIDS, and Mental Health Treatment Services (1993U) Archived (1997B)	<b>93.119</b> Grants for Technical Assistance Activities Related to the Block Grant for Community Mental Health Services_ Technical Assistance Centers for Evaluation (1993U) Archived (1997B)
<b>93.100</b> Field-Initiated Small Grants in Minority Health (1993B) Archived (1995B) Health Disparities Grants in Minority Health, Reinstated (2001B) Health Disparities in Minority Health (2002B) Archived (2010)	<b>93.110</b> Maternal and Child Health Federal Consolidated Programs Number changed from 13.110 (1990U)	<b>93.120</b> Mental Health Services for Cuban Entrants Number changed from 13.120 (1990U) Archived (1996B)
<b>93.101</b> Grants for Residential Treatment Programs for Pregnant and Postpartum Women (1993U) Archived (2002B)	<b>93.111</b> Adolescent Family Life Research Grants Number changed from 13.111 (1990U) Archived (2012)	<b>93.121</b> Disorders of Craniofacial Structure and Function, and Behavioral Aspects of Dentistry Number changed from 13.121 (1990U) Oral Diseases and Disorders Research (1990U)
<b>93.102</b> Demonstration Grants for Residential Treatment for Women and Their Children (1993U) Archived (2001B)	<b>93.112</b> Characterization of Environmental Health Hazards Number changed from 13.112 (1990U) Archived (1991B)	<b>93.122</b> Cooperative Agreements for Substance Abuse Treatment and Recovery Systems for Rural, Remote and Culturally Distinct Populations (1993U) Archived (2000U)
<b>93.103</b> Food and Drug Administration_Research Number changed from 13.103 (1990U)	<b>93.113</b> Biological Response to Environmental Health Hazards Number changed from 13.113 (1990U) Environmental Health (2006)	<b>93.123</b> Health Professions Pregraduate Scholarship Program for Indians Number changed from 13.123 (1990U)
<b>93.104</b> Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) (1993U)	<b>93.114</b> Applied Toxicological Research and Testing Number changed from 13.114 (1990U) Deleted (2006)	<b>93.124</b> Nurse Anesthetist Traineeships Number changed from 13.124 (1990U)
<b>93.105</b> Bilingual/Bicultural Service Demonstration Projects in Minority Health (1993U) Bilingual/Biculture Service Demonstration Grants (2002B) Archived (2012)	<b>93.115</b> Biometry and Risk Estimation_Health Risks from Environmental Exposures Number changed from 13.115 (1990U) Deleted (2006)	<b>93.125</b> Mental Health Planning and Demonstration Projects Number changed from 13.125 (1990U) Archived (2002B)
<b>93.106</b> Minority International Research Training Grant in the Biomedical and Behavioral Sciences (1993U) Consolidated into 93.989 (2006)	<b>93.116</b> Project Grants and Cooperative Agreements for Tuberculosis Control Programs Number changed from 13.116 (1990U)	<b>93.126</b> Small Business Innovation Research Number changed from 13.126 (1990U) Small Business Innovation Research (NIAAAA, NIDA, NIMH) (1992U) Incorporated into 93.242, 93.273, 93.279 (1993B)
<b>93.107</b> Area Health Education Centers_Model Programs	<b>93.117</b> Grants for Preventive Medicine Residency Training Number changed from 13.117 (1990U) Grants for Preventive Medicine and Dental Public Health (1993B) Grants for Preventive Medicine (1998B)	<b>93.127</b> Emergency Medical Services for Children

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Number changed from 13.127 (1990U)

### 93.128

Grants for Technical Assistance Activities Related to the Block Grant for Community Mental Health Services\_Mental Health Statistics Improvement Program (1993U)  
Archived (1999B)

### 93.129

Technical and Non-Financial Assistance to Community Health Centers  
Number changed from 13.129 (1990U)  
Technical and Non-Financial Assistance to Health Centers (1997B)  
Technical and Non-Financial Assistance to Health Centers and National Health Service Corps (NHSC) Delivery Sites (1999U)  
Technical and Non-Financial Assistance to Health Centers (2005)

### 93.130

Primary Care Services Planning and Development Cooperative Agreements  
Number changed from 13.130 (1990U)  
Primary Care Services\_Resource Coordination and Development Primary Care Offices (1995B)  
Primary Care Services\_Resource Coordination and Development\_Primary Care Offices (1999U)  
Primary Care Services\_Resource Coordination and Development (2002B)  
Primary Care Services Resource Coordination and Development (2005)  
Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices (2007)

### 93.131

Cooperative Agreements for Addiction Treatment Training Centers (1993U)  
Consolidated into 93.230 (1999B)

### 93.132

Managed Care Demonstration Models for SSI Beneficiaries Disabled Due to Addiction to Alcohol and Other Drugs (1993U)  
Archived (1997B)

### 93.133

Health Services Delivery to Persons with AIDS\_Demonstration Grants  
Number changed from 13.133 (1990U)  
Archived (1992B)

### 93.134

Assistance for Organ Procurement Organizations  
Number changed from 13.134 (1990U)  
Grants to Increase Organ Donations (1991B)

### 93.135

Centers for Research and Demonstration for Health

Promotion and Disease Prevention  
Number changed from 13.135 (1990U)

### 93.136

Injury Prevention and Control Research Projects, Injury Prevention Research Centers, Applied Methods in Surveillance Projects, and State and Community-Based Injury Control Projects  
Number changed from 13.136 (1990U)  
Injury Prevention and Control Research Projects (1990U)  
Injury Prevention and Control Research and State Grants Projects (1992U)  
Injury Prevention and Control Research and State and Community Based Programs (1996B)

### 93.137

Minority Community Health Coalition Demonstration  
Number changed from 13.137 (1990U)  
Community Programs to Improve Minority Health Grant Program (2001B)

### 93.138

Protection and Advocacy for Mentally Ill Individuals  
Number changed from 13.138 (1990U)  
Protection and Advocacy for Individuals with Mental Illness (1993B)

### 93.139

Financial Assistance for Disadvantaged Health Professions Students (FADHPS)  
Number changed from 13.139 (1990U)  
Financial Assistance for Disadvantaged Health Professions Students (1997B)  
Consolidated into 93.925 (2001B)

### 93.140

Intramural Research Training Award  
Number changed from 13.140 (1990U)

### 93.141

Special State Grant Program for Increasing the Availability of the 9-1-1 Emergency Telephone Number (1993U)  
Special Initiatives Trauma Grant Program (1994U)  
Archived (1997B)

### 93.142

NIEHS Hazardous Waste Worker Health and Safety Training  
Number changed from 13.142 (1990U)

### 93.143

NIEHS Superfund Hazardous Substances\_Basic Research and Education  
Number changed from 13.143 (1990U)

### 93.144

Drug and Alcohol Abuse Prevention\_High-Risk

Youth Demonstration Grants

Number changed from 13.144 (1990U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Youth (1991U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Youth (1992U)  
Demonstration Grants for the Prevention of Alcohol and Other Drug Abuse Among High-Risk Populations (1995B)  
Demonstration Grants for the Prevention of Alcohol and Drug Abuse Among High-Risk Populations (1996B)  
Archived (2002B)

### 93.145

AIDS Education and Training Centers  
Number changed from 13.145 (1990U)  
National AIDS Education and Training Centers (1994U)  
AIDS Education and Training Centers (1998B)

### 93.146

Temporary AIDS Drug Reimbursements  
Number changed from 13.146 (1990U)  
Archived (1992B)

### 93.147

Post-Baccalaureate Faculty Fellowships  
Number changed from 13.147 (1990U)  
Archived (1991B)

### 93.148

Cooperative Agreements for Collaborative Demonstration Program for Homeless Individuals (1993U)  
Archived (1997B)

### 93.149

Grants for Two-Year Programs of Schools of Medicine or Osteopathic Medicine  
Number changed from 13.149 (1990U)  
Archived (1993U)

### 93.150

Mental Health Services for the Homeless Block Grant  
Number changed from 13.150 (1990U)  
Projects for Assistance in Transition from Homelessness (PATH) (1991B)

### 93.151

Project Grants for Health Services to the Homeless  
Number changed from 13.151 (1990U)  
Health Center Grants for Homeless Populations (1997B)  
Consolidated into 93.224 (2006)

### 93.152

Community Demonstration Grant Projects for

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Alcohol and Drug Abuse Treatment of Homeless  
Individuals

Number changed from 13.152 (1990U)

Archived (1994)

### 93.153

Pediatric AIDS Health Care Demonstration  
Program

Number changed from 13.153 (1990U)

Pediatric Family AIDS Health Care Demonstration  
Program (1993U)

HIV Demonstration Program for Children,  
Adolescents, and Women (1994B)

Coordinated HIV Services and Access to Research  
for Children, Youth, Women, and Families (2000B)

Coordinated Services and Access to Research for  
Women, Infants, Children, and You (2002B)

### 93.154

Special International Postdoctoral Research

Program in Acquired Immunodeficiency Syndrome

Number changed from 13.154 (1990U)

Archived (2001B)

### 93.155

Rural Health Research Centers

Number changed from 13.155 (1990U)

### 93.156

Grants for Faculty Training Projects in Geriatric  
Medicine and Dentistry

Number changed from 13.156 (1990U)

Geriatric Training Regarding Physicians and  
Dentists (1999U)

Geriatric Training for Physicians, Dentists, and  
Behavioral/Mental Health Professionals (2002B)

Geriatric Training for Physicians, Dentists and  
Behavioral/Mental Health Professionals (2005)

Geriatric Training for Physicians, Dentists and  
Behavioral/Mental Health Professionals (2006)

### 93.157

Excellence in Minority Health Education and Care

Number changed from 13.157 (1990U)

Programs for Excellence in Health Professions  
Education for Minorities (1991B)

Programs of Excellence in Health Professions  
Education for Minorities (1991U)

Centers of Excellence (1999U)

### 93.158

Adolescent Health Centers for American  
Indians/Alaska Natives (1993U)

Archived (1999B)

### 93.159

Health Care Services in the Home

Number changed from 13.159 (1990U)

Archived (1994B)

### 93.160

Minority AIDS Education/Prevention Grants

Number changed from 13.160 (1990U)

Minority AIDS and Related Risk Factors  
Education/Prevention Grants (1991B)

Incorporated into 93.118 (1993B)

### 93.161

Health Program for Toxic Substances and Disease  
Registry

Number changed from 13.161 (1990U)

Split into 93.200, 93.201, 93.203, 93.204, 93.205,  
93.206, 93.207, 93.208 (1994B)

### 93.162

National Health Service Corps Loan Repayment

Number changed from 13.162 (1990U)

National Health Service Corps Loan Repayment  
Program (1993U)

### 93.163

Health Services in the Pacific Basin

Number changed from 13.163 (1990U)

Archived (1997B)

### 93.164

Indian Health Service Educational Loan Repayment

Number changed from 13.164 (1990U)

### 93.165

Grants for State Loan Repayment

Number changed from 13.165 (1990U)

Grants To States for Loan Repayment Program  
(2005)

### 93.166

Indian Health Service Health Promotion and

Disease Prevention Demonstration Projects

Number changed from 13.166 (1990U)

Archived (1991B)

### 93.167

Research Facilities Improvement

Number changed from 13.167 (1990U)

Archived (1991U)

### 93.168

International Cooperative Biodiversity Groups  
Program (1995U)

Consolidated into 93.989 (2006)

### 93.169

Model Projects for Pregnant and Postpartum  
Women and Their Infants (Substance Abuse)

Number changed from 13.169 (1990U)

Demonstration Grants on Model Projects for  
Pregnant and Postpartum Women and Their Infants  
(Substance Abuse) (1991U)

Archived (2000U)

### 93.170

Community Youth Activity Demonstration Grants

Number changed from 13.170 (1990U)

Archived (1993B)

### 93.171

Community Youth Activity Block Grants

Number changed from 13.171 (1990U)

Archived (1993B)

### 93.172

Human Genome Research

Number changed from 13.172 (1990U)

### 93.173

Biological Research Related to Deafness and  
Communicative Disorders

Number changed from 13.173 (1990U)

Research Related to Deafness and Communication  
Disorders (1990U)

### 93.174

Conference Grant (Substance Abuse)

Number changed from 13.174 (1990U)

Knowledge Dissemination Grants (Substance  
Abuse) (1996B)

Archived (1999B)

### 93.175

Drug Abuse Treatment Waiting List Reduction  
Grants

Number changed from 13.175 (1990U)

Archived (1992B)

### 93.176

ADAMHA Small Instrumentation Program Grants

Number changed from 13.176 (1990U)

NIAAA, NIDA, and NIMH Small Instrumentation  
Program Grants (1992U)

Incorporated into 93.242, 93.273, 93.279 (1993B)

### 93.177

Integrated Community-Based Primary Care and  
Drug Abuse Treatment Services

Number changed from 13.177 (1990U)

Archived (1997B)

### 93.178

Nursing Education Opportunities for Individuals  
from Disadvantaged Backgrounds

Number changed from 13.178 (1990U)

Nursing Workforce Diversity (2000B)

### 93.179

State Data Collection\_Uniform Alcohol and Drug  
Abuse Data

Number changed from 13.179 (1990U)

Archived (1993U)

### 93.180

Medical Treatment Effectiveness Research

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Number changed from 13.180 (1990U)  
Research on Health Care Outcomes and Quality  
(1997U)  
Consolidated into 93.226 (1999B)

## 93.181

Podiatric Primary Care Residency Training  
Number changed from 13.181 (1990U)  
Grants for Podiatric Primary Care Residency  
Training (1993B)  
Podiatric Residency in Primary Care (1999U)  
Podiatric Residency Training in Primary Care  
(2002B)  
Archived (2009)

## 93.182

Scholarships for the Undergraduate Education of  
Professional Nurses  
Number changed from 13.182 (1990U)  
Archived (1993B)

## 93.183

Federal Assistance for Rural Hospitals for the  
Advancement and Improvement of Health Care  
Services and the Enhancement of Quality Care  
Number changed from 13.183 (1990U)  
Archived (1991B)

## 93.184

Disabilities Prevention  
Number changed from 13.184 (1990U)

## 93.185

Immunization Research, Demonstration, Public  
Information and Education\_Education, Training,  
and Clinical Skills Improvement Projects  
Number changed from 13.185 (1990U)  
Immunization Research, Demonstration, Public  
Information and Education\_Training and Clinical  
Skills Improvement Projects (1994U)

## 93.186

National Research Services Awards  
Number changed from 13.186 (1990U)  
National Research Service Award in Primary Care  
Medicine (2005)  
National Research Service Award in Primary Care  
Medicine (2006)

## 93.187

Undergraduate Scholarship Program for Individuals  
from Disadvantaged Backgrounds (1995U)

## 93.188

Special Project Grants to Schools of Public Health  
Number changed from 13.188 (1990U)  
Public Health Training Centers (1999U)  
Archived (2002B)

## 93.189

Health Education and Training Centers  
Number changed from 13.189 (1990U)  
Health Education Training Centers Continuing  
Educational Support for Health Professionals  
Serving in Underserved Communities (2010)  
Archived (2012)

## 93.190

Model Education Projects for Health Professions  
Number changed from 13.190 (1990U)  
Archived (1993B)

## 93.191

Allied Health Project Grants  
Number changed from 13.191 (1990U)  
Allied Health Projects (1999U)  
Allied Health Special Projects (2002B)  
Patient Navigator and Chronic Disease Prevention  
Program (2010)  
Graduate Psychology Education Program and  
Patient Navigator and Chronic Disease Prevention  
Program (2012)

## 93.192

Interdisciplinary Training for Health Care for Rural  
Areas  
Number changed from 13.192 (1990U)  
Quentin N. Burdick Programs for Rural  
Interdisciplinary Training (1999U)  
Quentin N. Burdick Program for Rural  
Interdisciplinary Training (2005)  
Archived (2010)

## 93.193

Urban Indian Alcohol and Substance Abuse  
Prevention, Treatment, Rehabilitation and  
Education  
Number changed from 13.193 (1990U)  
Urban Indian Health Services (1991U)

## 93.194

Community Partnership Demonstration Grant  
Number changed from 13.194 (1990U)  
Community Partnership Study Demonstration  
Grant (1991U)  
Community Partnership Demonstration Grant  
(1993U)  
Community Prevention Coalitions (Partnership)  
Demonstration Grant (1996B)  
Archived (2002B)

## 93.195

Disaster Relief Assistance Grants for Drug Abuse  
Treatment  
Number changed from 13.195 (1990U)  
Archived (1991B)

## 93.196

Cooperative Agreements for Drug Abuse Treatment  
Improvement Projects in Target Cities

Number changed from 13.196 (1990U)  
Archived (2000U)

## 93.197

Childhood Lead Poisoning Prevention  
Projects\_State and Community-Based Childhood  
Lead Poisoning Prevention  
Number changed from 13.197 (1990U)  
Childhood Lead Poisoning Prevention  
Projects\_State and Community-Based Childhood  
Lead Poisoning Prevention Program (1991B)  
Childhood Lead Poisoning Prevention  
Projects\_State and Community-Based Childhood  
Lead Poisoning Prevention and Surveillance of  
Blood Lead Levels in Children (1995B)  
Childhood Lead Poisoning Prevention  
Projects\_State and Local Childhood Lead  
Poisoning Prevention and Surveillance of Blood  
Lead Levels in Children (2000B)

## 93.198

Biological Models and Materials Resources  
Number changed from 13.198 (1990U)  
Biological Models and Materials Research (1991B)  
Consolidated into 93.306 (1996B)

## 93.199

HIV Home and Community-Based Health Services  
Number changed from 13.199 (1990U)  
Archived (1992B)

## 93.200

Educating Health Professionals Regarding  
Environmentally Hazardous Substances  
Split from 93.161 (1994B)  
Environmental Health Education Activities for  
Health Professionals and Communities (1996B)  
Archived (1997B)

## 93.201

Public Health Assessments and Related  
Site-Specific Biological Testing  
Split from 93.161 (1994B)  
Archived (1997B)

## 93.202

Capacity Building Among American Indian Tribes  
(2002B)  
Archived (2012)

## 93.203

Health Activities Recommendation Panel Health  
Activities  
Split from 93.161 (1994B)  
Archived (1997B)

## 93.204

Surveillance of Hazardous Substance Emergency  
Events  
Split from 93.161 (1994B)

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- 93.205**  
Health Outcome Studies to Hazardous Substances and Adverse Health Effects  
Split from 93.161 (1994B)  
Archived (1996B)
- 93.206**  
Health Studies Initiative of Priority Health Conditions  
Split from 93.161 (1994B)  
Human Health Studies\_Applied Research and Development (1997B)  
Archived (2009)  
Reinstated (2010)  
Archived (2012)
- 93.207**  
Surveillance of the Relationship Between Hazardous Substances Exposure and Adverse Health Outcomes  
Split from 93.161 (1994B)  
Archived (1996B)
- 93.208**  
Great Lakes Human Health Effects Research  
Split from 93.161 (1994B)  
Archived (2009)
- 93.209**  
Contraception and Infertility Loan Repayment Program (1995U)  
Contraception and Infertility Research Loan Repayment Program (2000B)
- 93.210**  
Tribal Self-Governance Demonstration Program: Planning and Negotiation Cooperative Agreements and IHS Compacts (1994B)  
Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreements and IHS Compacts/Funding Agreements (2004)  
Tribal Self-Governance Program: IHS Compacts/Funding Agreements (2008)
- 93.211**  
Rural Telemedicine Grants (1994B)  
Telehealth Network Grants (2004)  
Telehealth Programs (2010)
- 93.212**  
Chiropractic Demonstration Projects (1994B)  
Chiropractic Demonstration Project Grants (2002B)
- 93.213**  
Research and Training in Alternative Medicine (1994B)  
Research and Training in Complementary and Alternative Medicine (2001B)
- 93.214**  
Extramural Research Facilities Construction Projects (1994B)  
Consolidated into 93.389 (1996B)
- 93.215**  
Hansen's Disease National Ambulatory Care Program (1995U)
- 93.216**  
HIV/AIDS Mental Health Services Demonstration Program (1994U)  
Archived (2000U)
- 93.217**  
Family Planning\_Services  
Number changed from 13.217 (1990U)
- 93.218**  
Substance Abuse Treatment Conference Grants (1994U)  
Archived (1999B)
- 93.219**  
Matching Grants for Health Professions Scholarships to Indian Tribes (1994U)
- 93.220**  
Loan Repayment Program for Individuals from Disadvantaged Backgrounds (1994U)  
Clinical Research Loan Repayment Program for Individuals from Disadvantaged Backgrounds (1995B)
- 93.221**  
Junior National Health Service Corps/Junior Health Careers Opportunity Program (1994U)  
Split from 93.258, 93.822 (1994U)  
Archived (1997B)
- 93.222**  
Centers for Medical Education Research (1994U)  
Archived (2000B)
- 93.223**  
Development and Coordination of Rural Health Services (1994U)  
Split from 93.913 (1994U)
- 93.224**  
Community Health Centers  
Number changed from 13.224 (1990U)  
Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, Public Housing Primary Care, and School Based Health Centers) (2005)
- 93.225**  
National Research Service Awards\_Health Services Research Training  
Number changed from 13.225 (1990U)
- 93.226**  
Health Services Research and Development Grants  
Number changed from 13.226 (1990U)  
Health Care Systems Cost and Access Research and Development Grants (1998B)  
Consolidated from 93.180 (1999B)  
Research on Healthcare Costs, Quality and Outcomes (2000B)
- 93.227**  
Surveillance of the Complications of Hemophilia (1995U)  
Archived (2001B)
- 93.228**  
Indian Health Services\_Health Management Development Program  
Number changed from 13.228 (1990U)
- 93.229**  
Demonstration Cooperative Agreements for Development and Implementation of Criminal Justice Treatment Networks (1995B)  
Archived (2009)
- 93.230**  
Consolidated Knowledge Development and Application Program (1996B)  
Consolidated from 93.131 (1999B)  
Consolidated Knowledge Development and Application (KD&A) Program (1999U)  
Archived (2009)
- 93.231**  
Epidemiology Cooperative Agreements (1996U)
- 93.232**  
Educational Loan Repayment Program for Research Professionals (1996U)  
Loan Repayment Program for Research (1997B)  
Loan Repayment Program for General Research (1997U)
- 93.233**  
National Center on Sleep Disorders Research (1997B)
- 93.234**  
Traumatic Brain Injury (1997U)  
Traumatic Brain Injury\_State Demonstration Grant Program (2000B)  
Traumatic Brain Injury State Demonstration Grant Program (2005)
- 93.235**  
Abstinence Education (1997U)  
Abstinence Education Program (2005)  
Abstinence Education Program (2006)  
Affordable Care Act (ACA) Abstinence Education Program (2011)

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<b>93.236</b> Grants for Dental Public Health (1998B) Grants for Dental Public Health Residency Training (2000B) Grants to States to Support Oral Health Workforce Activities (2011)	<b>93.247</b> Advanced Education Nursing Grant Program (2000B) Consolidated from 93.298, 93.299, 93.916 (2001B) Advanced Nursing Education Grant Program (2010)	National Health Service Corps Number changed from 13.258 (1990U) Split into 93.221 (1990U) Archived (1997B)
<b>93.237</b> Special Diabetes Program for Indians-Prevention and Treatment Projects (1998B) Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects (2001B)	<b>93.248</b> Residencies in the Practice of Pediatric Dentistry (2000B) Consolidated into 93.884 (2003B) Deleted (2003)	<b>93.259</b> Rural Access to Emergency Devices Grant (2002B)
<b>93.238</b> Cooperative Agreements for State Treatment Outcomes and Performance Pilot Studies Enhancement (1998B) Archived (2009)	<b>93.249</b> Public Health Training Centers Grant Program (2000B) Public Health Training Centers Program (2012)	<b>93.260</b> Family Planning_Personnel Training Number changed from 13.260 (1990U)
<b>93.239</b> Policy Research and Evaluation Grants (1998B)	<b>93.250</b> Geriatric Academic Career Award (2000B) Geriatric Academic Career Awards (2002B)	<b>93.262</b> Occupational Safety and Health Research Grants Number changed from 13.262 (1990U) Occupational Safety and Health Research Projects (2004) Occupational Safety and Health Program (2005)
<b>93.240</b> State Capacity Building (1999B)	<b>93.251</b> Universal Newborn Hearing Screening (2000B)	<b>93.263</b> Occupational Safety and Health_Training Grants Number changed from 13.263 (1990U) Deleted (2005)
<b>93.241</b> State Rural Hospital Flexibility Program (1999B)	<b>93.252</b> Community Access Program (2000B) Healthy Community Access Program (2004) Healthy Communities Access Program (2005) Archived (2010)	<b>93.264</b> Nurse Faculty Loan Program (NFLP) (2003B)
<b>93.242</b> Mental Health Research Grants Number changed from 13.242 (1990U) Incorporated from 93.126, 93.176 (1993B)	<b>93.253</b> National Poison Control Systems Stabilization and Support (2000U) Poison Control Stabilization and Enhancement Grants (2002B) Poison Center Support and Enhancement Grant Program (2010)	<b>93.265</b> Comprehensive Geriatric Education Program (CGEP) (2003B)
<b>93.243</b> Substance Abuse and Mental Health Services_Projects of Regional and National Significance (2002B)	<b>93.254</b> Infant Adoption Awareness Training (2001B)	<b>93.266</b> Rapid Expansion of Antiretroviral Therapy Programs for HIV-Infected Persons in Selected Countries in Africa and the Caribbean Under the President's Emergency Plan for AIDS Relief (2004) Health Systems Strengthening and HIV/AIDS Prevention, Care and Treatment under the President's Emergency Plan for AIDS Relief (2012)
<b>93.244</b> Mental Health Clinical or Service Related Training Grants Number changed from 13.244 (1990U) Mental Health Clinical and AIDS Service-Related Training Grants (1995U) Archived (2009)	<b>93.255</b> Children's Hospitals Graduate Medical Education Payment (2001U)	<b>93.267</b> State Grants for Protection and Advocacy Services (2004)
<b>93.245</b> New Pilot Innovative Food Safety Projects (1999B) Innovative Food Safety Projects (2000B) Deleted (2005)	<b>93.256</b> State Planning Grant_Health Care Access for the Uninsured (2001U) State Planning Grants Health Care Access for the Uninsured (2005) State Planning Grants Health Care Access for the Uninsured (2006) State Health Access Program (2010)	<b>93.268</b> Childhood Immunization Grants Number changed from 13.268 (1990U) Immunization Grants (1997U) Immunization Cooperative Agreements (2012)
<b>93.246</b> Migrant Health Centers Grants Number changed from 13.246 (1990U) Health Centers Grants for Migratory and Seasonal Farmworkers (1997B) Health Centers Grants for Migrant and Seasonal Farmworkers (1999U) Consolidated into 93.224 (2006)	<b>93.257</b> Grants for Education, Prevention, and Early Detection of Radiogenic Cancers and Diseases (2002B)	<b>93.269</b> Complex Humanitarian Emergency and War-Related Injury Public Health Activities (2008)
	<b>93.258</b>	<b>93.270</b> Adult Viral Hepatitis Prevention and Control (2008)
		<b>93.271</b>

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Alcohol Scientist Development Award and Research Scientist Development Award for Clinicians

Number changed from 13.271 (1990U)

Alcohol Research and Development Awards for Scientists and Clinicians (1993B)

Alcohol Research Career Development Awards for Scientists and Clinicians (1993U)

Archived (2010)

## 93.272

Alcohol National Research Service Awards for Research Training

Number changed from 13.272 (1990U)

Archived (2010)

## 93.273

Alcohol Research Programs

Number changed from 13.273 (1990U)

Incorporated from 93.126, 93.176 (1993B)

## 93.274

Alcohol and Drug Abuse Clinical or Service-Related Training

Number changed from 13.274 (1990U)

Clinical Training Grant for Faculty Development in Alcohol and Other Drug Abuses (1994B)

Clinical Training Grant for Faculty Development in Alcohol and Drug Abuses (1996B)

Archived (2002B)

## 93.275

Substance Abuse and Mental Health Services-Access to Recovery (2004)

## 93.276

Drug-Free Communities Support Program Grants (2004)

## 93.277

Drug Abuse Scientist Development Award for Clinicians\_Scientist Development Awards and Research Scientist Awards

Number changed from 13.277 (1990U)

Drug Abuse Scientist Development Awards, Research Scientist Development Awards, and Research Scientist Awards (1994B)

Career Development Awards (2002B)

Consolidated into 93.279 (2003B)

Deleted (2003)

## 93.278

Drug Abuse National Research Service Awards for Research Training

Number changed from 13.278 (1990U)

Consolidated into 93.279 (2003B)

Deleted (2003)

## 93.279

Drug Abuse Research Programs

Number changed from 13.279 (1990U)

Split into 93.949 (1992B)

Incorporated from 93.126, 93.176 (1993B)

Drug Abuse and Addiction Research Programs (2005)

## 93.280

National Institutes of Health Loan Repayment Program for Clinical Researchers (2003B)

## 93.281

Mental Research Scientist Development Award and Research Scientist Development Award for Clinicians

Number changed from 13.281 (1990U)

Scientist Development Award (SDA), Research Scientist Development Award (RSDA), Scientist Development Award for Clinicians (SDAC), and Research Scientist Award (RSA) (1992U)

Mental Health Research Career/Scientist Development Awards (1995U)

## 93.282

Mental Health National Research Service Awards for Research Training

Number changed from 13.282 (1990U)

## 93.283

Centers for Disease Control\_Investigations and Technical Assistance

Number changed from 13.283 (1990U)

Centers for Disease Control and Prevention\_Investigations and Technical Assistance (1993B)

The Affordable Care Act: Centers for Disease Control and Prevention\_Investigations and Technical Assistance (2012)

## 93.284

Injury Prevention Program for American Indians and Alaskan Natives\_Cooperative Agreements (2000B)

## 93.285

National Institutes of Health Pediatric Research Loan Repayment Program (2004)

## 93.286

Biomedical Imaging Research (2002B)

Discovery and Applied Research for Technological Innovations to Improve Human Health (2005)

Discovery and Applied Research for Technological Innovations to Improve Human Health (2006)

## 93.287

Bioengineering Research (2002B)

Deleted (2004)

## 93.288

National Health Service Corps Scholarship Program

Number changed from 13.288 (1990U)

## 93.289

President's Council on Physical Fitness and Sports

Number changed from 13.289 (1990U)

President's Council on Fitness, Sports, and Nutrition (2010)

## 93.290

National Community Centers of Excellence in Women's Health (2000U)

## 93.291

Surplus Property Utilization

Number changed from 13.291 (1990U)

## 93.294

Mentoring Partnership Program - Protege (2006)

Archived (2010)

## 93.295

Intergenerational Approaches to HIV/AIDS Prevention Education with Women across The Lifespan Pilot Program (2006)

Archived (2012)

## 93.296

State Partnership Grant Program to Improve Minority Health (2006)

## 93.297

Teenage Pregnancy Prevention Program (2010)

## 93.298

Nurse Practitioner and Nurse Midwife Education and Traineeships

Number changed from 13.298 (1990U)

Nurse Practitioner and Nurse-Midwifery Education Programs (1993U)

Consolidated into 93.247 (2001B)

## 93.299

Advanced Nurse Education

Number changed from 13.299 (1990U)

Consolidated into 93.247 (2001B)

## 93.300

National Center for Health Workforce Analysis (2002B)

## 93.301

Small Rural Hospital Improvement Grants (2002B)

Small Rural Hospital Improvement Grant Program (2005)

## 93.302

Healthy Schools, Healthy Communities (2004)

Incorporated into 93.224 (2006)



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<b>93.303</b> Nursing Scholarship Program (2007)	<b>93.350</b> National Center for Advancing Translational Sciences (2012)	Number changed from 13.379 (1990U) Consolidated into 93.884 (2001B)
<b>93.306</b> Laboratory Animal Sciences and Primate Research Number changed from 13.306 (1990U) Comparative Medicine Program (1991U) Comparative Medicine, Consolidated from 93.198 (1996B) Consolidated into 93.389 (2003B) Deleted (2003)	<b>93.351</b> Research Infrastructure Programs (2012)	<b>93.385</b> National Institutes of Health Pediatric Research Loan Repayment Program (2003B)
<b>93.307</b> Loan Repayment for Health Disparities Research (2002B)	<b>93.352</b> Construction Support (2012)	<b>93.389</b> Research Centers in Minority Institutions Number changed from 13.389 (1990U) Research Infrastructure (1996B) Consolidated from 93.337, 93.922 (2003)
<b>93.308</b> Extramural Loan Repayment for individuals from Disadvantaged Backgrounds Conducting Clinical Research (2002B) National Institute on Minority Health and Health Disparities (NIMHD) Extramural Loan Repayment Programs (2011)	<b>93.358</b> Professional Nurse Traineeships Number changed from 13.358 (1990U) Advanced Education Nursing Traineeships (2000B) Advanced Nursing Education Traineeships (2010) Advanced Education Nursing Traineeships (2012)	<b>93.390</b> Academic Research Enhancement Award Number changed from 13.390 (1990U) Deleted (2006)
<b>93.309</b> Bioinformatics and Computational Biology Research (2002B) Consolidated into 93.859 (2003B) Deleted (2003)	<b>93.359</b> Nurse Training Improvement_Special Projects Number changed from 13.359 (1990U) Nursing_Special Projects (1998B) Basic Nurse Education and Practice Grants (2000B) Nurse Education, Practice and Retention Grants (2003B) Nurse Education, Practice Quality and Retention Grants (2012)	<b>93.392</b> Cancer Construction (1990U) Archived (2009)
<b>93.310</b> Trans-NIH Research Support (2006)	<b>93.360</b> Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development (2010)	<b>93.393</b> Cancer Cause and Prevention Research Number changed from 13.393 (1990U)
<b>93.313</b> NIH Office of Research on Women's Health (2012)	<b>93.361</b> Nursing Research Number changed from 13.361 (1990U)	<b>93.394</b> Cancer Detection and Diagnosis Research Number changed from 13.394 (1990U)
<b>93.333</b> General Clinical Research Centers Number changed from 13.333 (1990U) Clinical Research (1996B)	<b>93.364</b> Nursing Student Loans Number changed from 13.364 (1990U)	<b>93.395</b> Cancer Treatment Research Number changed from 13.395 (1990U)
<b>93.337</b> Biomedical Research Support Number changed from 13.337 (1990U) Consolidated into 93.371, 93.389 (1996B)	<b>93.365</b> Sickle Cell Treatment Demonstration Program (2006)	<b>93.396</b> Cancer Biology Research Number changed from 13.396 (1990U)
<b>93.338</b> Foreign Public Health Construction (2010)	<b>93.371</b> Biomedical Research Technology Number changed from 13.371 (1990U) Biomedical Technology, Consolidated from 93.337 (1996B) Consolidated into 93.389 (2003B) Deleted (2003)	<b>93.397</b> Cancer Centers Support Number changed from 13.397 (1990U)
<b>93.339</b> Public Health Conference Support (2011)	<b>93.375</b> Minority Biomedical Research Support Number changed from 13.375 (1990U) Consolidated into 93.859 (2003B) Deleted (2003)	<b>93.398</b> Cancer Research Manpower Number changed from 13.398 (1990U)
<b>93.342</b> Health Professions Student Loans Number changed from 13.342 (1990U) Health Professions Student Loans/Loans for Disadvantaged Students (1991B) Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (1993B)	<b>93.379</b> Grants for Graduate Training in Family Medicine	<b>93.399</b> Cancer Control Number changed from 13.399 (1990U)
		<b>93.400</b> National Health Service Corps Scholarship Program (2009)
		<b>93.401</b> ARRA - National Health Service Corps Loan Repayment (2009)
		<b>93.402</b> ARRA - State Loan Repayment Program (2009)

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<b>93.403</b> ARRA - Training in Primary Care Medicine and Dentistry (2009) ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (2010)	Archived (2012)	Expand Access to Care (2010)
<b>93.404</b> ARRA Dental Public Health Residency Training Grants (2009)	<b>93.420</b> ARRA - Community Health Applied Research Network (2009)	<b>93.503</b> Affordable Care Act (ACA) Nursing and Home Health Aides Training Program (2010) Affordable Care Act (ACA) Nursing Assistant and Home Health Aide Program (2012)
<b>93.405</b> ARRA - Public Health Traineeship Program (2009)	<b>93.440</b> National Project Management of the Healthcare Communities Knowledge Gateway (2010)	<b>93.504</b> Affordable Care Act (ACA) Family to Family Health Information Centers (2010)
<b>93.406</b> Nursing Education Loan Repayment Program (NELRP) (2009)	<b>93.441</b> Indian Self-Determination (2000U)	<b>93.505</b> Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program (2010)
<b>93.407</b> ARRA - Scholarships for Disadvantaged Students (2009)	<b>93.442</b> Special Diabetes Program for Indians (SDPI) Competitive Grant Program (2004)	<b>93.506</b> ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers (2010)
<b>93.408</b> ARRA - Nurse Faculty Loan Program (2009)	<b>93.443</b> Health Promotion/Disease Prevention Program for American Indians and Alaska Natives (2008)	<b>93.507</b> Strengthening Public Health Infrastructure for Improved Health Outcomes (2010) PPHF 2012 National Public Health Improvement Initiative (2012)
<b>93.409</b> Faculty Loan Repayment Programs (2009)	<b>93.444</b> Tribal Self-Governance Program: Planning and Negotiation Cooperative Agreement (2008)	<b>93.508</b> Affordable Care Act (ACA) Tribal Maternal, Infant, and Early Childhood Home Visiting Program (2010)
<b>93.410</b> ARRA Licensure Portability Grant Program (2009)	<b>93.445</b> Indian Health Service Sanitation Facilities Construction Program (2010)	<b>93.509</b> Affordable Care Act (ACA) State Health Care Workforce Development Grants (2010)
<b>93.411</b> ARRA Equipment to Enhance Training for Health Professionals (2009)	<b>93.447</b> State Health Fraud Task Force Grants (2004)	<b>93.510</b> Affordable Care Act (ACA) Primary Care Residency Expansion Program (2010)
<b>93.412</b> ARRA - Preventive Medicine Residency Program (2009)	<b>93.448</b> Food Safety and Security Monitoring Project (2005)	<b>93.511</b> Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review (2010)
<b>93.414</b> ARRA - State Primary Care Offices (2009)	<b>93.449</b> Ruminant Feed Ban Support Project (2005)	<b>93.512</b> Affordable Care Act (ACA) Personal and Home Care Aide State Training Program (PHCAST) (2010)
<b>93.415</b> ARRA - Centers of Excellence (2009)	<b>93.451</b> The Linkage to Life Program: Rebuilding Broken Bridges for Minority Families Impacted by HIV/AIDS. (2010)	<b>93.513</b> Affordable Care Act (ACA) Advanced Nursing Education Expansion Initiative (2010)
<b>93.416</b> ARRA - Health Careers Opportunity Program (2009)	<b>93.452</b> Health Improvement for Re-entering Ex-offenders Initiative (HIRE) HIV/AIDS (2010)	<b>93.514</b> Affordable Care Act (ACA) Expansion of Physician Assistant Training Program (2010)
<b>93.417</b> ARRA - Nursing Workforce Diversity (2009)	<b>93.453</b> Coalition for a Healthier Community (2010)	<b>93.515</b> Affordable Care Act (ACA) Nurse-Managed Health Clinics (2010)
<b>93.418</b> ARRA - Emergency Medical Services for Children (2009) Archived (2012)	<b>93.500</b> Pregnancy Assistance Fund Program (2010)	
<b>93.419</b> ARRA - Maternal and Child Health (MCH) Pediatric Research Network Program (2009)	<b>93.501</b> Affordable Care Act (ACA) Grants for School-Based Health Center Capital Expenditures (2010)	
	<b>93.502</b> Affordable Care Act (ACA) Infrastructure to	

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- 93.516**  
Affordable Care Act (ACA) Public Health Training Centers Program (2010)  
Prevention and Public Health Fund (PPHF ACA) Public Health Training Centers Program (2012)  
Affordable Care Act (ACA) Public Health Training Centers Program, Resources Development and Academic Support to the Public Health Training Centers Program and Public Health Infrastructure and Systems Support (2012)
- 93.517**  
Affordable Care Act Aging and Disability Resource Center (2010)
- 93.518**  
93.518 - Affordable Care Act - Medicare Improvements for Patients and Providers (2010)
- 93.519**  
Affordable Care Act (ACA) Consumer Assistance Program Grants (2010)
- 93.520**  
Centers for Disease Control and Prevention Affordable Care Act (ACA) Communities Putting Prevention to Work (2010)
- 93.521**  
The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements (2010)  
The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements; PPHF (2012)
- 93.522**  
Affordable Care Act (ACA) Prevention Center for Healthy Weight (2010)
- 93.523**  
The Affordable Care Act: Human Immunodeficiency Virus (HIV) Prevention and Public Health Fund Activities (2010)
- 93.524**  
The Affordable Care Act (ACA): Capacity Building Assistance to Strengthen Public Health Infrastructure and Performance (2010)
- 93.525**  
State Planning and Establishment Grants for the Affordable Care Act (ACA)s Exchanges (2010)
- 93.526**  
Affordable Care Act (ACA) Grants for Capital Development in Health Centers (2010)
- 93.527**  
Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (2010)
- 93.528**  
National Forum for State and Territorial Chief Executives (2011)
- 93.529**  
Pre-existing Condition Insurance Program (PCIP) (2011)
- 93.530**  
Affordable Care Act - Teaching Health Center Graduate Medical Education Payments Program (2010)
- 93.531**  
The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Community Transformation Grants and National Dissemination and Support for Community Transformation Grants (2011)  
PPHF 2012: Community Transformation Grants and National Dissemination and Support for Community Transformation Grants - financed solely by 2012 Prevention and Public Health Funds (2012)
- 93.533**  
Prevention and Public Health Fund (Affordable Care Act): Enhanced Surveillance for New Vaccine Preventable Disease (2011)
- 93.534**  
Affordable Care Act Program for Early Detection of Certain Medical Conditions Related to Environmental Health Hazards (2010)
- 93.535**  
Affordable Care Act (ACA) Childhood Obesity Research Demonstration (2011)
- 93.536**  
The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project (2011)
- 93.537**  
Affordable Care Act Medicaid Emergency Psychiatric Demonstration (2011)
- 93.538**  
Affordable Care Act - National Environmental Public Health Tracking Program-Network Implementation (2011)
- 93.539**  
Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance (2011)  
PPHF 2012 - Prevention and Public Health Fund (Affordable Care Act) - Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by 2012 Prevention and Public Health Funds (2012)
- 93.540**  
Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability (2011)  
Affordable Care Act Streamlined surveillance for ventilator-associated pneumonia: Reducing burden and demonstrating preventability; and Prevention and Public Health Fund (2012)
- 93.541**  
The Patient Protection and Affordable Care Act of 2010 (ACA) (2011)
- 93.542**  
Health Promotion and Disease Prevention Research Centers: Affordable Care Act (ACA) Special Interest Project Competitive Supplements (SIPS) (2011)  
Health Promotion and Disease Prevention Research Centers: Affordable Care Act Projects (2011)  
Health Promotion and Disease Prevention Research Centers: PPHF 2012 - Affordable Care Act Projects (2012)
- 93.544**  
The Patient Protection and Affordable Care Act of 2010 (Affordable Care Act) authorizes Coordinated Chronic Disease prevention and Health Promotion Program (2011)
- 93.545**  
Consumer Operated and Oriented Plan [CO-OP] Program (2011)
- 93.546**  
Early Retiree Reinsurance Program (2011)
- 93.547**  
Affordable Care Act National Health Service Corps (2011)
- 93.548**  
The Patient Protection and Affordable Care Act of 2010 (2010) Nutrition, Physical Activity and Obesity Program (2011)  
PPHF 2012: Nutrition, Physical Activity and Obesity Program - financed in part by 2012 Prevention and Public Health Funds (PPHF-2012) (2012)
- 93.549**  
Affordable Care Act (ACA) The Primary Care

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Services Resource Coordination and Development Program (2011)

## 93.550

Administration for Children, Youth and Families\_Transitional Living for Runaway and Homeless Youth  
Number changed from 13.550 (1990U)  
Transitional Living for Runaway and Homeless Youth (1991U)  
Transitional Living for Homeless Youth (1992U)

## 93.551

Administration for Children, Youth and Families\_Abandoned Infants  
Number changed from 13.551 (1990U)  
Abandoned Infants (1991U)

## 93.552

Special Programs for the Aging\_Title III, Part G\_Prevention of Abuse, Neglect, and Exploitation of Older Individuals (1991B)  
Number changed to 93.041 (1992U)

## 93.553

Special Programs for the Aging\_Title III, Part A\_Long-Term Care Ombudsman Services for Older Individuals (1991B)  
Number changed to 93.042 (1992U)

## 93.554

Emergency Protection Grants\_Substance Abuse (1991B)  
Archived (1995B)

## 93.555

Special Programs for the Aging\_Title III, Part F\_Preventive Health Services (1992B)  
Number changed to 93.043 (1992U)

## 93.556

Family Preservation and Support Services (1993U)  
Promoting Safe and Stable Families (2000B)

## 93.557

Education and Prevention to Reduce Sexual Abuse of Runaway, Homeless and Street Youth (1999B)

## 93.558

Temporary Assistance for Needy Families (1997B)

## 93.559

Federal Loans for State Welfare Programs (1997B)  
Archived (2000B)

## 93.560

Family Support Payments to States\_Assistance Payments  
Number changed from 93.020 (1992U)

## 93.561

Job Opportunities and Basic Skills Training  
Number changed from 93.021 (1992U)  
Archived (1998B)

## 93.562

Assistance Payments\_Research  
Number changed from 93.022 (1992U)  
Archived (1997B)  
Reinstated (1997U)  
Consolidated into 93.647 (1998B)

## 93.563

Child Support Enforcement  
Number changed from 93.023 (1992U)

## 93.564

Child Support Enforcement Research  
Number changed from 93.024 (1992U)  
Archived (1997B)  
Reinstated (1997U)

## 93.565

State Legalization Impact Assistance Grants  
Number changed from 93.025 (1992U)  
Archived (1997B)

## 93.566

Refugee and Entrant Assistance\_State Administered Programs  
Number changed from 93.026 (1992U)  
Split into 93.584 (1994U)

## 93.567

Refugee Assistance\_Voluntary Agency Programs  
Number changed from 93.027 (1992U)  
Refugee and Entrant Assistance\_Voluntary Agency Programs (2000B)

## 93.568

Low-Income Home Energy Assistance  
Number changed from 93.028 (1992U)

## 93.569

Community Services Block Grant  
Number changed from 93.031 (1992U)

## 93.570

Community Services Block Grant\_Discretionary Awards  
Number changed from 93.032 (1992U)

## 93.571

Community Services Block Grant Discretionary Awards\_Community Food and Nutrition  
Number changed from 93.033 (1992U)  
Community Services Block Grant Formula and Discretionary Awards Community Food and Nutrition Programs (2005)  
Community Services Block Grant Formula and Discretionary Awards Community Food and

Nutrition Programs (2006)  
Deleted (2008)

## 93.572

Emergency Community Services for the Homeless  
Number changed from 93.034 (1992U)  
Archived (1997B)

## 93.573

Community Services Block Grant Discretionary Awards\_Demonstration Partnerships  
Number changed from 93.035 (1992U)  
Archived (1997U)

## 93.574

Child Care for Families At-Risk of Welfare Dependency  
Number changed from 93.036 (1992U)  
Archived (1998B)

## 93.575

Payments to States for Child Care Assistance  
Number changed from 93.037 (1992U)  
Child Care and Development Block Grant (1995B)

## 93.576

Refugee and Entrant Assistance\_Discretionary Grants  
Number changed from 93.038 (1992U)  
Consolidated from 93.987 (1997B)

## 93.577

Early Learning Fund (2001U)

## 93.578

Family Support Centers Demonstration Program  
Number changed from 93.040 (1992U)  
Homeless Families Support Services Demonstration Program (1992U)  
Family Support Center and Gateway Demonstration Program (1993U)  
Archived (1997B)

## 93.579

U.S. Repatriate Program (1992U)  
U.S. Repatriation Program (1999U)

## 93.580

Family Resource and Support Program (1993B)  
Family Resource Centers (1994B)  
Archived (1995B)

## 93.581

Improving the Capability of Indian Tribal Governments to Regulate Environmental Quality (1994U)

## 93.582

Mitigation of Environmental Impacts to Indian Lands Due to Department of Defense Activities

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(1994U)	Job Opportunities for Low-Income Individuals (1995U)	Response Research Centers: A Public Health Systems Approach (2011)
<b>93.583</b> Refugee and Entrant Assistance_Wilson/Fish Program (1994U)	<b>93.594</b> Tribal Work Grants (1997B)	<b>93.608</b> Administration for Children, Youth and Families_Child Welfare Research and Demonstration Number changed from 13.608 (1990U) Child Welfare Research and Demonstration (1991U) Archived (1998B)
<b>93.584</b> Refugee and Entrant Assistance_Targeted Assistance (1994U) Split from 93.566 (1994U) Refugee and Entrant Assistance_Targeted Assistance Grants (2004)	<b>93.595</b> Welfare Reform Research, Evaluations and National Studies (1997B)	<b>93.609</b> The Affordable Care Act Medicaid Adult Quality Grants (2012)
<b>93.585</b> Empowerment Zones Program (1994U) Archived (1998B)	<b>93.596</b> Child Care Mandatory and Matching Funds of the Child Care and Development Fund (1997B)	<b>93.610</b> Health Care Innovation Challenge (2011) Health Care Innovation Awards (HCIA) (2012)
<b>93.586</b> State Court Improvement Program (1994U)	<b>93.597</b> Grants to States for Access and Visitation Programs (1997B)	<b>93.611</b> Strong Start for Mothers and Newborns (2012)
<b>93.587</b> Promote the Survival and Vitality of Native American Languages (1994U) Promote the Survival and Continuing Vitality of Native American Languages (1995B)	<b>93.598</b> Assistance for Victims of Trafficking (2001U) Services to Victims of a Severe Form of Trafficking (2002B)	<b>93.612</b> Native American Programs Number changed from 13.612 (1990U)
<b>93.588</b> Community Schools Program (1995U) Community Schools Youth Services and Supervision Program (1996U) Archived (1999B)	<b>93.599</b> Chafee Education and Training Vouchers Program (ETV) (2003B)	<b>93.613</b> Mental Retardation_President's Committee on Mental Retardation Number changed from 13.613 (1990U)
<b>93.589</b> Refugee Assistance_Naturalization and Citizenship Activities (1995U) Archived (1999B)	<b>93.600</b> Administration for Children, Youth and Families_Head Start Number changed from 13.600 (1990U) Head Start (1991U)	<b>93.614</b> Child Development Associate Scholarships Number changed from 13.614 (1990U) Archived (1997B)
<b>93.590</b> Community-Based Resource Centers (1995U) Community-Based Family Resource and Support Grants (1998B) COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS (2005) Community-Based Child Abuse Prevention Grants (2006)	<b>93.601</b> Child Support Enforcement Demonstration and Special Projects (1999B)	<b>93.615</b> Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Research Programs (2012)
<b>93.591</b> Family Violence Prevention and Services: Grants to State Domestic Violence Coalitions (1995U) Family Violence Prevention and Services/Grants for Battered Women's Shelters_Grants to State Domestic Violence Coalitions (1997U)	<b>93.602</b> New Assets for Independence Demonstration Program (1999B) Assets for Independence Demonstration Program (2005) Assets for Independence Demonstration Program (2006)	<b>93.616</b> Mentoring Children of Prisoners (2003B)
<b>93.592</b> Family Violence Prevention and Services: Discretionary Grants (1995U) Family Violence Prevention and Services/Grants for Battered Women's Shelters_Discretionary Grants (1997U)	<b>93.603</b> Adoption Incentive Payments (1999B)	<b>93.617</b> Voting Access for Individuals with Disabilities_Grants to States and Local Government (2003B) Voting Access for Individuals with Disabilities_Grants to States (2004)
<b>93.593</b>	<b>93.604</b> Assistance to Torture Victims (2000B) Assistance for Torture Victims (2005)	<b>93.618</b> Voting Access for Individuals with Disabilities_Grants for Protection and Advocacy Systems (2003B) Voting Access for Individuals with Disabilities_Grants for Protection and Advocacy Systems (2004)
	<b>93.605</b> Family Connection Grants (2008)	<b>93.621</b>
	<b>93.606</b> Affordable Care Act - Preparedness and Emergency Response Learning Centers (2011)	
	<b>93.607</b> Affordable Care Act - Preparedness and Emergency	

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Affordable Care Act Initiative to Reduce Avoidable Hospitalizations among Nursing Facility Residents (2012)

## 93.622

Affordable Care Act: Coordinating Center for Interprofessional Education and Collaborative Practice (2012)

## 93.623

Administration for Children, Youth and Families\_Runaway and Homeless Youth  
Number changed from 13.623 (1990U)  
Runaway and Homeless Youth (1991U)  
Comprehensive Runaway and Homeless Youth (1995U)  
Runaway and Homeless Youth (1996B)

## 93.624

ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance (2012)

## 93.626

Affordable Care Act State Health Insurance Assistance Program (SHIP) and Aging and Disability Resource Center (ADRC) Options Counseling for Medicare-Medicaid Individuals in States with Approved Financial Alignment Models (2012)

## 93.627

Affordable Care Act: Testing Experience and Functional Assessment Tools (2012)

## 93.630

Administration on Developmental Disabilities\_Basic Support and Advocacy Grants  
Number changed from 13.630 (1990U)  
Developmental Disabilities Basic Support and Advocacy Grants (1991U)

## 93.631

Administration on Developmental Disabilities\_Projects of National Significance  
Number changed from 13.631 (1990U)  
Developmental Disabilities Projects of National Significance (1991U)

## 93.632

Administration on Developmental Disabilities\_University Affiliated Programs  
Number changed from 13.632 (1990U)  
Developmental Disabilities University Affiliated Programs (1991U)  
University Centers for Excellence in Developmental Disabilities Education, Research, and Service (2002B)

## 93.633

Special Programs for the Aging\_Title III, Part

B\_Grants for Supportive Services and Senior Centers

Number changed from 13.633 (1990U)  
Number changed to 93.044 (1992U)

## 93.635

Special Programs for the Aging\_Title III, Part C\_Nutrition Services  
Number changed from 13.635 (1990U)  
Number changed to 93.045 (1992U)

## 93.641

Special Programs for the Aging\_Title III, Part D\_In-Home Services for Frail Older Individuals  
Number changed from 13.641 (1990U)  
Number changed to 93.046 (1992U)

## 93.643

Children's Justice Grants to States  
Number changed from 13.643 (1990U)

## 93.645

Child Welfare Services\_State Grants  
Number changed from 13.645 (1990U)  
Stephanie Tubbs Jones Child Welfare Services Program (2011)

## 93.647

Social Services Research and Demonstration  
Number changed from 13.647 (1990U)  
Consolidated from 93.562 (1998B)

## 93.648

Child Welfare Services Training Grants  
Number changed from 13.648 (1990U)  
Child Welfare Research Training or Demonstration (2009)

## 93.652

Administration for Children, Youth and Families\_Adoption Opportunities  
Number changed from 13.652 (1990U)  
Adoption Opportunities (1991U)

## 93.655

Special Programs for the Aging, Title VI\_Part A, Indian Programs\_Grants to Indian Tribes\_Part B, Grants to Native Hawaiians  
Number changed from 13.655 (1990U)  
Special Programs for the Aging, Title VI\_Part A, Indian Programs\_Grants to Indian Tribes and Part B, Grants to Native Hawaiians (1991B)  
Number changed to 93.047 (1992U)

## 93.656

Temporary Child Care and Crisis Nurseries  
Number changed from 13.656 (1990U)  
Archived (1998B)

## 93.657

Drug Abuse Prevention and Education for Runaway and Homeless Youth  
Number changed from 13.657 (1990U)  
Drug Abuse Prevention Program for Runaway and Homeless Youth (1991B)  
Drug Education and Prevention for Homeless Youth (1993U)  
Archived (1997B)

## 93.658

Foster Care\_Title IV-E  
Number changed from 13.658 (1990U)

## 93.659

Adoption Assistance  
Number changed from 13.659 (1990U)

## 93.660

Drug Abuse Prevention and Education Relating to Youth Gangs  
Number changed from 13.660 (1990U)  
Drug Education and Prevention Programs for Youth Gangs (1993U)  
Youth Initiative/Youth Gangs (1994B)  
Archived (1997B)

## 93.666

Comprehensive Child Development Centers  
Number changed from 13.666 (1990U)  
Archived (1996B)

## 93.667

Social Services Block Grant  
Number changed from 13.667 (1990U)

## 93.668

Special Programs for the Aging\_Title IV\_Training, Research and Discretionary Projects and Programs  
Number changed from 13.668 (1990U)  
Number changed to 93.048 (1992U)

## 93.669

Administration for Children, Youth and Families\_Child Abuse and Neglect State Grants  
Number changed from 13.669 (1990U)  
Child Abuse and Neglect State Grants (1991U)

## 93.670

Administration for Children, Youth and Families\_Child Abuse and Neglect Discretionary Activities  
Number changed from 13.670 (1990U)  
Child Abuse and Neglect Discretionary Activities (1991U)

## 93.671

Family Violence and Prevention Services  
Number changed from 13.671 (1990U)  
Family Violence Prevention and Services\_Grants to States and Indian Tribes (1995B)

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Family Violence Prevention and Services/Grants for Battered Women's Shelters\_Grants to States and Indian Tribes (1997U)

### 93.672

Child Abuse Challenge Grants  
Number changed from 13.672 (1990U)  
Child Abuse and Neglect State Prevention Grants (1992U)  
Community-Based Prevention Program (1993U)  
Archived (1995B)

### 93.673

Grants to States for Planning and Development of Dependent Care Programs  
Number changed from 13.673 (1990U)  
Archived (1997B)

### 93.674

Independent Living  
Number changed from 13.674 (1990U)  
Chafee Foster Care Independent Living (2002B)  
Chafee Foster Care Independence Program (2005)  
Chafee Foster Care Independence Program (2006)

### 93.676

Unaccompanied Alien Children Program (2003B)

### 93.700

IMR and NCCIM Programs (2012)

### 93.701

Trans-NIH Recovery Act Research Support (2009)

### 93.702

National Center for Research Resources, Recovery Act Construction Support (2009)

### 93.703

ARRA Health Center Integrated Services Development Initiative[g1] (2009)  
ARRA Grants to Health Center Programs (2010)

### 93.704

Trans-NIH Recovery Act Loan Repayment Support (2009)

### 93.705

Aging Home-Delivered Nutrition Services for States (2009)  
Archived (2012)

### 93.706

Aging Nutrition Services for Native Americans (2009)

### 93.707

Aging Congregate Nutrition Services for States (2009)

Archived (2012)

### 93.708

ARRA - HEAD START (2009)

### 93.709

ARRA EARLY HEAD START (2009)

### 93.710

ARRA - COMMUNITY SERVICES BLOCK GRANT (2009)

### 93.711

ARRA STRENGTHENING COMMUNITIES FUND (2009)

### 93.712

ARRA - Immunization (2009)

### 93.713

ARRA CHILD CARE AND DEVELOPMENT BLOCK GRANT (2009)

### 93.714

ARRA EMERGENCY CONTINGENCY FUND FOR TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) STATE PROGRAMS (2009)

### 93.715

Recovery Act Comparative Effectiveness Research - AHRQ (2009)

### 93.716

ARRA TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (TANF) SUPPLEMENTAL GRANTS (2009)

### 93.717

ARRA - Preventing Healthcare-Associated Infections (2009)

### 93.718

Health Information Technology Regional Extension Centers Program (2009)

### 93.719

ARRA State Grants to Promote Health Information Technology (2009)

### 93.720

ARRA - Survey and Certification Ambulatory Surgical Center Healthcare-Associated Infection (ASC-HAI) Prevention Initiative (2009)

### 93.721

ARRA - Health Information Technology Professionals in Health Care (2009)

### 93.722

IHS ARRA Tribal Agreements (2009)  
ARRA - IHS Tribal Agreements (2009)

### 93.723

ARRA - Prevention and Wellness-State, Territories and Pacific Islands (2009)

### 93.724

ARRA - Prevention and Wellness -Communities Putting Prevention to Work Funding Opportunities Announcement (FOA) (2009)

### 93.725

ARRA - Communities Putting Prevention to Work: Chronic Disease Self-Management Program (2009)

### 93.726

ARRA Accelerating Adoption of Comparative Effectiveness Research (CER) (2010)

### 93.727

ARRA - Health Information Technology - Beacon Communities (2009)

### 93.728

ARRA - Strategic Health IT Advanced Research Projects (SHARP) (2009)

### 93.729

ARRA Health Information Technology and Public Health (2010)

### 93.730

ARRA Prevention Research Centers Comparative Effectiveness Research Program (2010)

### 93.731

ARRA - Prevention and Wellness - Leveraging National Organizations (2010)

### 93.732

Mental and Behavioral Health Education and Training Grants (2012)  
PPHF-2012 Mental and Behavioral Health Education and Training Grants (2012)

### 93.733

Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by the Prevention and Public Health Fund (PPHF-2012) (2012)

### 93.734

Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs financed by 2012 Prevention and Public Health Funds (PPHF-2012) (2012)

### 93.735

State Public Health Approaches for Ensuring Qitline Capacity Funded in part by 2012 Prevention and Public Health Funds (PPHF-2012) (2012)

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<b>93.736</b> Prevention Public Health Fund 2012: Viral Hepatitis Prevention (2012)	<b>93.749</b> PPHF 2012 Public Health Laboratory Infrastructure financed solely by 2012 Prevention and Public Health Fund (2012)	Number changed from 13.766 (1990U) Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (2002B)
<b>93.737</b> PPHF 2012: Community Transformation Grants -Small Communities Program financed solely by 2012 Public Prevention and Health Funds (2012)	<b>93.760</b> Rural PACE (Program of All-Inclusive Care for the Elderly) Provider Grant Program (2006) Archived (2011)	<b>93.780</b> Grants to States for Operation of Qualified High-Risk Pools (2003B)
<b>93.738</b> PPHF 2012: Racial and Ethnic Approaches to Community Health Program financed solely by 2012 Public Prevention and Health Funds (2012)	<b>93.766</b> Health Care Financing Research, Demonstrations and Evaluations Number changed from 13.779 (1990U)	<b>93.781</b> Seed Grants to States for Qualified High-Risk Pools (2003B) Archived (2009)
<b>93.739</b> PPHF2012: Chronic disease Innovation Grants - financed solely by 2012 Public Prevention Health Funds (2012)	<b>93.767</b> State Children's Insurance Program (1998B) Children's Health Insurance Program (2009)	<b>93.782</b> Medicare Transitional Drug Assistance Program for Territories (2004)
<b>93.740</b> Prevention Public Health Fund 2012: Viral Hepatitis Education (2012)	<b>93.768</b> Medicaid Infrastructure Grants to Support the Competitive Employment of People with Disabilities (2000U)	<b>93.783</b> Medicare Transitional Drug Assistance Program for States (2004) Archived (2009)
<b>93.741</b> Breastfeeding Promotion and Support Improving Maternity Care Practices project financed solely by 2012 Public Prevention and Health Funds (2012)	<b>93.769</b> Demonstration to Maintain Independence and Employment (2000U) Archived (2011)	<b>93.784</b> Federal Reimbursement of Emergency Health Services Furnished to Undocumented Aliens (2004)
<b>93.742</b> PPHF 2012: Early Childcare and Education Obesity Prevention Program - Obesity Prevention in Young Children - financed solely by 2012 Public Prevention and Health Funds (2012)	<b>93.770</b> Medicare_Prescription Drug Coverage (2005)	<b>93.785</b> Pilot Program for National and State Background Checks--Direct Patient Access for Long-Term Care (2004) Archived (2009)
<b>93.743</b> Racial and Ethnic Approaches to Community Health: Obesity and Hypertension Demonstration Projects financed solely by 2012 Prevention and Public Health Funds (2012)	<b>93.773</b> Medicare_Supplementary Medical Insurance Number changed from 13.773 (1990U)	<b>93.786</b> State Pharmaceutical Assistance Programs (2004) Archived (2009)
<b>93.744</b> PPHF 2012: Breast and Cervical Cancer Screening Opportunities for States, Tribes and Territories solely financed by 2012 Prevention and Public Health Funds (2012)	<b>93.774</b> Health Insurance for the Aged_Supplementary Medical Insurance Number changed from 13.774 (1990U)	<b>93.789</b> Alternatives to Psychiatric Residential Treatment Facilities for Children (2006)
<b>93.745</b> PPHF-2012: Health Care Surveillance/Health Statistics Surveillance Program Announcement: Behavioral Risk Factor Surveillance System Financed in Part by 2012 Prevention and Public Health Funds (PPHF-2012) (2012)	<b>93.775</b> State Medicaid Fraud Control Units Number changed from 13.775 (1990U)	<b>93.790</b> Alternate Non-Emergency Service Providers or Networks (2006)
<b>93.747</b> Elder Abuse Prevention Interventions Program (2012)	<b>93.776</b> Hurricane Katrina Relief (2006) Archived (2009)	<b>93.791</b> Money Follows the Person Rebalancing Demonstration (2006)
<b>93.748</b> PPHF-2012 Cooperative Agreements for Prescription Drug Monitoring Program Electronic Health Record (EHR) Integration and Interoperability Expansion (2012)	<b>93.777</b> State Survey and Certification of Health Care Providers and Suppliers Number changed from 13.777 (1990U)	<b>93.793</b> Medicaid Transformation Grants (2006)
	<b>93.778</b> Medical Assistance Program Number changed from 13.714 (1990U)	<b>93.794</b> Reimbursement of State Costs for Provision of Part D Drugs (2006) Archived (2009)
	<b>93.779</b> Health Care Financing Research, Demonstrations and Evaluations	<b>93.796</b> State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid (2010)



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<b>93.802</b> Social Security_Disability Insurance Number changed from 13.802 (1990U) Number changed to 96.001 (1995B)	Area Health Education Centers Infrastructure Development Awards (2010)	Pharmacological Sciences Number changed from 13.859 (1990U) Pharmacology and Biorelated Chemistry (1993U) Incorporated from 93.863 (1995B) Pharmacology, Physiology, and Biorelated Chemistry (1995B) Pharmacology, Physiology, and Biological Chemistry Research (1995U)
<b>93.803</b> Social Security_Retirement Insurance Number changed from 13.803 (1990U) Number changed to 96.002 (1995B)	<b>93.837</b> Heart and Vascular Diseases Research Number changed from 13.837 (1990U) Cardiovascular Diseases Research (2008)	<b>93.862</b> Genetics Research Number changed from 13.862 (1990U) Genetics and Developmental Biology Research (1995B) Genetics and Developmental Biology Research and Research Training (2000B) Consolidated into 93.859 (2003B) Archived (2003)
<b>93.804</b> Social Security_Special Benefits for Persons Aged 72 and Over Number changed from 13.804 (1990U) Number changed to 96.003 (1995B)	<b>93.838</b> Lung Diseases Research Number changed from 13.838 (1990U)	<b>93.863</b> Cellular and Molecular Basis of Disease Research Number changed from 13.863 (1990U) Incorporated into 93.821, 93.859 (1995B)
<b>93.805</b> Social Security_Survivors Insurance Number changed from 13.805 (1990U) Number changed to 96.004 (1995B)	<b>93.839</b> Blood Diseases and Resources Research Number changed from 13.839 (1990U)	<b>93.864</b> Population Research Number changed from 13.864 (1990U) Consolidated into 93.865 (2003B) Deleted (2003)
<b>93.806</b> Special Benefits for Disabled Coal Miners Number changed from 13.806 (1990U) Number changed to 96.005 (1995B)	<b>93.846</b> Arthritis, Musculoskeletal and Skin Diseases Research Number changed from 13.846 (1990U)	<b>93.865</b> Research for Mothers and Children Number changed from 13.865 (1990U) Center for Research for Mothers and Children (1998B) Child Health and Human Development Extramural Research (2004)
<b>93.807</b> Supplemental Security Income Number changed from 13.807 (1990U) Number changed to 96.006 (1995B)	<b>93.847</b> Diabetes, Endocrinology and Metabolism Research Number changed from 13.847 (1990U) Diabetes, Digestive, and Kidney Diseases Extramural Research (2008)	<b>93.866</b> Aging Research Number changed from 13.866 (1990U)
<b>93.812</b> Public Assistance Research Number changed from 13.812 (1990U) Number changed to 96.007 (1995B)	<b>93.848</b> Digestive Diseases and Nutrition Research Number changed from 13.848 (1990U) Deleted (2008)	<b>93.867</b> Retinal and Choroidal Diseases Research Number changed from 13.867 (1990U) Incorporated from 93.868, 93.871 (1993B) Vision Research (1993B)
<b>93.820</b> Scholarships for Students of Exceptional Financial Need Number changed from 13.820 (1990U) Archived (2002B)	<b>93.849</b> Kidney Diseases, Urology and Hematology Research Number changed from 13.849 (1990U) Deleted (2008)	<b>93.868</b> Anterior Segment Diseases Research Number changed from 13.868 (1990U) Incorporated into 93.867 (1993B)
<b>93.821</b> Biophysics and Physiological Sciences Number changed from 13.821 (1990U) Incorporated from 93.863 (1995B) Cell Biology and Biophysics Research (1995B) Consolidated into 93.859 (2003B) Deleted (2003)	<b>93.853</b> Clinical Research Related to Neurological Disorders Number changed from 13.853 (1990U) Consolidated from 93.854 (1999B) Extramural Research Programs in the Neurosciences and Neurological Disorders (2000B)	<b>93.871</b> Strabismus, Amblyopia and Visual Processing Number changed from 13.871 (1990U) Incorporated into 93.867 (1993B)
<b>93.822</b> Health Careers Opportunity Program Number changed from 13.822 (1990U) Split into 93.221 (1994U)	<b>93.854</b> Biological Basis Research in the Neurosciences Number changed from 13.854 (1990U) Consolidated into 93.853 (1999B)	<b>93.879</b> Medical Library Assistance
<b>93.824</b> Area Health Education Centers Number changed from 13.824 (1990U) Basic/Core Area Health Education Centers (1999U)	<b>93.855</b> Allergy, Immunology and Transplantation Research Number changed from 13.855 (1990U)	
	<b>93.856</b> Microbiology and Infectious Diseases Research Number changed from 13.856 (1990U)	
	<b>93.859</b>	

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Number changed from 13.879 (1990U)

## 93.880

Minority Access to Research Careers  
Number changed from 13.880 (1990U)  
Consolidated into 93.859 (2003B)  
Deleted (2003)

## 93.884

Grants for Residency Training in General Internal Medicine and/or General Pediatrics  
Number changed from 13.884 (1990U)  
Consolidated from 93.379 (2001B)  
Grants for Residency Training in Primary Care Medicine and Dentistry (2004)  
Grants for Training in Primary Care Medicine and Dentistry (2005)  
Grants for Training in Primary Care Medicine and Dentistry (2006)  
Grants for Primary Care Training and Enhancement (2012)

## 93.886

Grants for Physician Assistant Training Program  
Number changed from 13.886 (1990U)  
Physician Assistant Training in Primary Care (1999U)  
Consolidated into 93.884 (2003B)  
Deleted (2003)

## 93.887

Project Grants for Non-Acute Care Intermediate and Long-Term Care Facilities for Patients with AIDS  
Number changed from 13.887 (1990U)  
Project Grants for Renovation or Construction of Non-Acute Health Care Facilities (1995U)  
Project Grants for Renovation or Construction of Non-Acute Health Care Facilities and Other Facilities (1999U)  
Health Care and Other Facilities (2002B)

## 93.888

Specially Selected Health Projects (2004)

## 93.889

National Bioterrorism Hospital Preparedness Program (2004)

## 93.890

Healthy Communities Access Program (HCAP) Demonstration Authority (2004)  
Archived (2010)

## 93.891

Alcohol Research Center Grants  
Number changed from 13.891 (1990U)  
Archived (2010)

## 93.894

Resource and Manpower Development in the Environmental Health Services  
Number changed from 13.894 (1990U)  
Deleted (2006)

## 93.895

Grants for Faculty Development in Family Medicine  
Number changed from 13.895 (1990U)  
Consolidated from 93.900 (2001B)  
Consolidated into 93.884 (2003B)  
Deleted (2003)

## 93.896

Grants for Predoctoral Training in Family Medicine  
Number changed from 13.896 (1990U)  
Predoctoral Training in Primary Care (Family Medicine, General Internal Medicine/General Pediatrics) (2000B)  
Consolidated into 93.884 (2003B)  
Deleted (2003)

## 93.897

Residency Training and Advanced Education in the General Practice of Dentistry  
Number changed from 13.897 (1990U)  
Residencies and Advanced Education in the Practice of General Dentistry (1999U)  
Consolidated into 93.884 (2003B)  
Deleted (2003)

## 93.900

Grants for Faculty Development in General Internal Medicine and/or General Pediatrics  
Number changed from 13.900 (1990U)  
Consolidated into 93.895 (2001B)

## 93.901

Communications Programs Aimed Toward the Prevention of Alcohol and Other Drug Problems  
Number changed from 13.901 (1990U)  
Communications Programs Aimed Toward the Prevention of Alcohol, Tobacco, and Other Drug Problems (1992U)  
Communications Programs for Demonstrating the Prevention of Alcohol, Tobacco, and Other Drug Problems (1995B)  
Communications Programs for Demonstrating the Prevention of Alcohol, and Drug Problems (1996B)  
Archived (1999B)

## 93.902

Model Comprehensive Treatment Programs for Critical Populations (1990U)  
Model Comprehensive Drug Abuse Treatment Programs for Critical Populations (1991B)  
Archived (1999B)

## 93.903

Model Criminal Justice Drug Abuse Treatment\_Incarcerated

Populations\_Non-Incarcerated  
Populations\_Treatment Prison (1990U)  
Model Criminal Justice Drug Abuse Treatment\_Incarcerated  
Populations\_Non-Incarcerated  
Populations\_Juvenile Justice Populations (1991B)  
Model Criminal Justice Drug Abuse Treatment for Incarcerated Populations, Non-Incarcerated Populations and Juvenile Justice Populations (1992U)  
Archived (1997B)

## 93.904

Prevention and Primary Health Care Services to Persons with HIV Infection and/or AIDS in Community Health Facilities (1990U)  
Archived (1991U)

## 93.905

Indian Health Service Research (1990U)  
Archived (2001B)

## 93.906

Rural Health Medical Education Demonstration Projects (1990U)  
Archived (2000B)

## 93.907

Grants for Nurse Anesthetist Faculty Fellowships (1990U)  
Archived (2000B)

## 93.908

Nursing Education Loan Repayment Agreements for Registered Nurses Entering Employment at Eligible Health Facilities (1990U)  
Nursing Education Loan Repayment Program for Registered Nurses Entering Employment at Eligible Health Facilities (1993U)  
Nursing Education Loan Repayment Program (2005)

## 93.909

Subacute Care Demonstration Grants (1990U)  
Archived (1992B)

## 93.910

Community Coalition Projects to Support Health and Human Services Needs for Minority Males (1990U)  
Community Coalition Intervention Demonstration Projects to Support Health and Human Services Needs for Minority Males (1991B)  
Community Coalition Demonstration Projects to Support Health and Human Services Needs for Minority Males (1992B)  
Family and Community Violence Prevention Program (1995B)

## 93.911

Cooperative Agreements for Drug Abuse Campus

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Treatment Demonstration Projects (1991B)  
Archived (1995B)

## 93.912

Rural Health Services Outreach (1991B)  
Rural Outreach\_Rural Network Development Program (1997B)  
Rural Health Outreach and Rural Network Development Program (2000B)  
Rural Health Care Services Outreach and Rural Health Network Development Program (2005)  
Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program (2010)

## 93.913

Grants to States for Operation of Offices of Rural Health (1991B)  
Split into 93.223 (1994U)

## 93.914

HIV Emergency Relief Project Grants (1991B)  
Consolidated into 93.915 (1999B)  
Reinstated (2000B)

## 93.915

HIV Emergency Relief Formula Grants (1991B)  
Consolidated from 93.914 (1999B)  
Archived (2000B)

## 93.916

Nurse Anesthetist Education Programs (1991B)  
Consolidated into 93.247 (2001B)

## 93.917

HIV Care Formula Grants (1991B)

## 93.918

Grants to Provide Outpatient Early Prevention Services with Respect to HIV Disease (1991B)

## 93.919

Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Control Programs (1991B)  
Cooperative Agreements for State-Based Comprehensive Breast and Cervical Cancer Early Detection Programs (1993B)

## 93.920

Facilities Construction Projects to Support Centers for Treatment and Research on Substance Abuse (1991B)  
Archived (1992B)

## 93.921

ADAMHA Science Education Partnership Award (1991B)  
NIAAA, NIDA and NIMH Science Education Partnership Awards (1992U)  
Incorporated into 93.922 (1993B)

## 93.922

NIH Science Education Partnership Award (1991B)  
Incorporated from 93.921 (1993B)  
NCRR Science Education Award (1994B)  
Consolidated into 93.389 (1996B)

## 93.923

Disadvantaged Health Professions Faculty Loan Repayments (1991B)  
Disadvantaged Health Professions Faculty Loan Repayment and Fellowship Program (1993B)  
Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (2005)  
Disadvantaged Health Professions Faculty Loan Repayment (FLRP) and Minority Faculty Fellowship Program (MFFP) (2006)

## 93.924

HIV/AIDS Dental Reimbursements (1991B)  
Ryan White HIV/AIDS Dental Reimbursements (1996U)  
Ryan White HIV/AIDS Dental Reimbursements\Community Based Dental Partnership (2005)  
Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants (2012)

## 93.925

Scholarships for Health Professions Students from Disadvantaged Backgrounds (1991B)  
Consolidated from 93.139 (2001B)

## 93.926

Maternal and Child Health-Targeted Infant Mortality Initiative (1991U)  
Healthy Start Initiative (1992B)

## 93.927

Health Services to Residents of Public Housing (1991U)  
Residents of Public Housing Primary Care Program (1992U)  
Health Centers Grants for Residents of Public Housing (1997B)  
Incorporated into 93.224 (2006)

## 93.928

Special Projects of National Significance (1991U)

## 93.929

Center for Medical Rehabilitation Research (1991U)  
Consolidated into 93.865 (2003B)  
Deleted (2003)

## 93.930

Nursing Education Loan Demonstration (1991U)  
Archived (1992B)

## 93.931

Demonstration Grants to States for Community Scholarship (1991U)  
Archived (2000B)

## 93.932

Native Hawaiian Health Centers (1991U)  
Native Hawaiian Health Systems (1993B)

## 93.933

Research and Demonstration Projects for Indian Health (1991U)  
Demonstration Projects for Indian Health (2000B)

## 93.934

Fogarty International Research Collaboration Award (1992B)  
Consolidated into 93.989 (2006)

## 93.935

Project Grants for Renovation or Construction at Tertiary Perinatal Facilities (1992B)  
Archived (1993U)

## 93.936

National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program (1992B)

## 93.937

Comprehensive Residential Drug Prevention and Treatment Projects for Substance-Using Women and Their Children (1992B)  
Archived (1999B)

## 93.938

Cooperative Agreements to Support School Health Education to Prevent the Spread of Acquired Immunodeficiency Syndrome (1992U)  
Split from 93.118 (1992U)  
Cooperative Agreements to Support Comprehensive School Health Programs to Prevent the Spread of HIV and Other Important Health Problems (1994B)

## 93.939

HIV Prevention Activities\_Non-Governmental Organization Based (1992U)  
Split from 93.118 (1992U)

## 93.940

HIV Prevention Activities\_Health Department Based (1992U)  
Split from 93.118 (1992U)

## 93.941

HIV Demonstration, Research, Public and Professional Education Projects (1922U)  
Split from 93.118 (1992U)

## 93.942

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Research, Treatment and Education Programs on Lyme Disease in the United States (1992B)

Research, Prevention, and Education Programs on Lyme Disease in the United States (2012)

## 93.943

Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups (1992U)

Split from 93.118 (1992U)

## 93.944

Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance (1992U)

Split from 93.283 (1992U)

## 93.945

Assistance Program for Chronic Disease Prevention and Control (1992U)

Split from 93.283 (1992U)

Archived (1994U)

Reinstated (2001B)

Assistance Programs for Chronic Disease Prevention and Control (2006)

Archived (2011)

Reinstated (2011)

## 93.946

Cooperative Agreements to Support State-Based Pregnancy Risk Assessment Monitoring System (1992U)

Split from 93.283 (1992U)

Cooperative Agreements to Support State-Based Infant Health Initiative Programs (1993B)

Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs (2002B)

## 93.947

Tuberculosis Demonstration, Research, Public and Professional Education (1992U)

Split from 93.116 (1992U)

## 93.948

Pilot Clinical Pharmacology Training (1992B)

Archived (2003B)

## 93.949

HIV/AIDS and Related Diseases Among Substance Abusers: Community-Based Outreach and Intervention Demonstration Program (1992B)

Split from 93.279 (1992B)

Community-Based Comprehensive HIV/STD/TB Outreach Services for High Risk Substance Abusers Demonstration Program (1996U)

Archived (1999B)

## 93.950

Capacity Expansion Program (1992B)

Archived (1997B)

## 93.951

Demonstration Grants to States with Respect to Alzheimer's Disease (1992U)

Archived (2000B)

## 93.952

Improving EMS/Trauma Care in Rural Areas (1992U)

Archived (1997B)

Reinstated (2001U)

Trauma Care Systems Planning and Development (2005)

Archived (2010)

## 93.953

Modification of Trauma Care Component of State EMS Plan (1992U)

Archived (1997B)

Reinstated (2001U)

Trauma Care Systems Planning and Development (2004)

Consolidated into 93.952 (2005)

## 93.954

Tribal Recruitment and Retention of Health Professionals into Indian Health Programs (1992U)

## 93.955

Health and Safety Programs for Construction Work and Model Construction Safety and Health (1992U)

Split from 93.263, 93.962 (1992U)

Health and Safety Programs for Construction Work (1995B)

Deleted (2005)

## 93.956

Centers for Agricultural Research, Education and Disease and Injury Prevention and Occupational Respiratory Disease and Musculoskeletal Disorders Evaluation and Rehabilitation (1992U)

Split from 93.262, 93.283 (1992U)

Agricultural Health and Safety Programs (1996B)

Deleted (2005)

## 93.957

Occupational Health and Surveillance (1992U)

Split from 93.262, 93.283 (1992U)

Occupational Health and Surveillance\_Fatality

Assessment and Control Evaluation (1996B)

Occupational Health and Surveillance\_Fatality

Assessment and Control Evaluation (1998B)

Occupational Health and Safety Surveillance (2004)

Deleted (2005)

## 93.958

Block Grants for Community Mental Health Services (1993B)

## 93.959

Block Grants for Prevention and Treatment of Substance Abuse (1993B)

## 93.960

Special Minority Initiatives (1993B)

Consolidated into 93.859 (2003B)

## 93.962

Health Administration Graduate Traineeships  
Number changed from 13.962 (1990U)

Health Administration Traineeships and Special Projects Program (1993B)

Health Administration Traineeships Program (2005)

Archived (2010)

## 93.963

Graduate Programs in Health Administration  
Number changed from 13.963 (1990U)

Archived (1993B)

## 93.964

Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs  
Number changed from 13.964 (1990U)

Traineeships for Students in Schools of Public Health (1990U)

Public Health Traineeships (1993B)

Prevention and Public Health Fund (PPHF) Public Health Traineeships (2012)

## 93.965

Coal Miners Respiratory Impairment Treatment Clinics and Services

Number changed from 13.965 (1990U)

## 93.969

Grants for the Training of Health Professions in Geriatrics

Number changed from 13.969 (1990U)

Grants for Geriatric Education Centers (1993B)

Geriatric Education Centers (2002B)

PPHF-2012 Geriatric Education Centers (2012)

## 93.970

Health Professions Recruitment Program for Indians

Number changed from 13.970 (1990U)

## 93.971

Health Professions Preparatory Scholarship Program for Indians

Number changed from 13.971 (1990U)

## 93.972

Health Professions Scholarship Program

Number changed from 13.972 (1990U)

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<b>93.973</b> Special Loans for National Health Service Corps Members to Enter Private Practice Number changed from 13.973 (1990U) Archived (1997B)	Number changed from 13.990 (1990U)	Archived (2012)
<b>93.974</b> Family Planning_Service Delivery Improvement Research Grants Number changed from 13.974 (1990U)	<b>93.991</b> Preventive Health and Health Services Block Grant Number changed from 13.991 (1990U)	<b>94.006</b> AmeriCorps (1995B)
<b>93.975</b> National All Schedules Prescription Electronic Reporting Grant (2009)	<b>93.992</b> Alcohol and Drug Abuse and Mental Health Services Block Grant Number changed from 13.992 (1990U) Archived (1993B)	<b>94.007</b> Planning and Program Development Grants (1995B) Program Development and Innovation Grants (2009)
<b>93.977</b> Preventive Health Services_Sexually Transmitted Diseases Control Grants Number changed from 13.977 (1990U)	<b>93.993</b> Public Health Research Accreditation Project (2004) Archived (2011)	<b>94.009</b> Training and Technical Assistance (1995B)
<b>93.978</b> Preventive Health Services_Sexually Transmitted Diseases Research, Demonstrations and Public Education Grants Number changed from 13.978 (1990U) Archived (2012)	<b>93.994</b> Maternal and Child Health Services Block Grant Number changed from 13.994 (1990U) Maternal and Child Health Services Block Grant to the States (1993B)	<b>94.010</b> Literacy Corps Number changed from 72.015 (1995B) Archived (1997B)
<b>93.982</b> Mental Health Disaster Assistance and Emergency Mental Health Number changed from 13.982 (1990U)	<b>93.995</b> Adolescent Family Life_Demonstration Projects Number changed from 13.995 (1990U)	<b>94.011</b> Foster Grandparent Program Number changed from 72.001 (1995B)
<b>93.984</b> Grants for the Establishment of Departments of Family Medicine Number changed from 13.984 (1990U) Academic Administrative Units in Primary Care (1999U) Consolidated into 93.884 (2003B) Deleted (2003)	<b>93.996</b> Bioterrorism Training and Curriculum Development Program (2003B) Archived (2010)	<b>94.013</b> Volunteers in Service to America Number changed from 72.003 (1995B)
<b>93.987</b> Health Programs for Refugees Number changed from 13.987 (1990U) Consolidated into 93.576 (1997B)	<b>93.999</b> Test for Suppression Effects of Advanced Energy (2005)	<b>94.016</b> Senior Companion Program Number changed from 72.008 (1995B)
<b>93.988</b> Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems Number changed from 13.988 (1990U)	<b>97.074</b> Law Enforcement Terrorism Prevention Program (LETPP) (2004) Archived (2010)	<b>94.017</b> Senior Demonstration Program (2009)
<b>93.989</b> Senior International Fellowships Number changed from 13.989 (1990U) International Research and Research Training (2004)	<b>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</b> <hr/>	<b>94.018</b> Learn and Serve America Innovative Community-Based Service-Learning Programs (2009) Archived (2012)
<b>93.990</b> National Health Promotion	<b>94.002</b> Retired Senior Volunteer Program Number changed from 72.002 (1995B) Retired and Senior Volunteer Program (1996B)	<b>94.019</b> Social Innovation Fund (2010)
	<b>94.003</b> State Commission (1995B) State Commissions (1996B)	<b>94.020</b> CNCS Disaster Response Cooperative Agreement (2009)
	<b>94.004</b> Learn and Serve America_School and Community Based Programs (1995B) Archived (2012)	<b>94.021</b> Volunteer Generation Fund (2010)
	<b>94.005</b> Learn and Serve America_Higher Education (1995B)	<b>94.022</b> Nonprofit Capacity Building (2009)
		<b>EXECUTIVE OFFICE OF THE PRESIDENT</b> <hr/>
		<b>95.001</b> High Intensity Drug Trafficking Program (1993U) Archived (1994B)
		<b>95.002</b>

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Crime Prevention\_Ounce of Prevention Grants (1996B)

Archived (1996U)

## 95.004

Anti-Doping Activities (2012)

## 95.005

Drug Court Training and Technical Assistance (2012)

## **SOCIAL SECURITY ADMINISTRATION**

### 96.001

Social Security\_Disability Insurance  
Number changed from 93.802 (1995B)

### 96.002

Social Security\_Retirement Insurance  
Number changed from 93.803 (1995B)

### 96.003

Social Security\_Special Benefits for Persons Aged 72 and Over  
Number changed from 93.804 (1995B)  
Deleted (2006)

### 96.004

Social Security\_Survivors Insurance  
Number changed from 93.805 (1995B)

### 96.005

Special Benefits for Disabled Coal Miners  
Number changed from 93.806 (1995B)  
Deleted (2004)

### 96.006

Supplemental Security Income  
Number changed from 93.807 (1995B)

### 96.007

Social Security\_Research and Demonstration  
Number changed from 93.812 (1995B)

### 96.008

Social Security\_Benefits Planning, Assistance, and Outreach Program (2000U)  
Social Security - Work Incentives Planning and Assistance Program (2006)

### 96.009

Social Security State Grants for Work Incentives Assistance to Disabled Beneficiaries (2002B)

### 96.020

Special Benefits for Certain World War II Veterans (2000U)

### 96.021

SOCIAL SECURITY Economic Recovery Act Payments (2009)

## **DEPARTMENT OF HOMELAND SECURITY**

### 97.001

Special Projects (2003B)  
Pilot Demonstration or Earmarked Projects (2005)  
Deleted (2008)

### 97.002

Research Projects (2003B)

### 97.003

Agriculture Inspection (2003B)

### 97.004

State Domestic Preparedness Equipment Support Program (2003B)  
Transferred from 16.007 (2003B)  
Homeland Security Grant Program (2004)  
Archived (2010)

### 97.005

State and Local Domestic Preparedness Training Program (2003B)  
Transferred from 16.008 (2003B)  
State and Local Homeland Security Training Program (2004)  
State and Local Homeland Security National Training Program (2010)

### 97.006

State and Local Domestic Preparedness Exercise Support (2003B)  
  
Transferred from 16.009 (2003B)  
State and Local Homeland Security Exercise Support (2004)  
Archived (2009)

### 97.007

State and Local Domestic Preparedness Technical Assistance (2003B)  
Transferred from 16.010 (2003B)  
Homeland Security Preparedness Technical Assistance (2004)  
Homeland Security Preparedness Technical Assistance Program (2006)

### 97.008

Urban Areas Security Initiative (2003B)  
Transferred from 16.011 (2003B)  
Non-Profit Security Program (2010)

### 97.009

Cuban and Haitian Entrant Resettlement Program (2003B)  
Transferred from 16.201 (2003B)  
Cuban/Haitian Entrant Program (2004)

### 97.010

Citizenship Education and Training (2003B)

Transferred from 16.400 (2003B)

### 97.011

Boating Safety (2003B)  
Transferred from 20.001 (2003B)  
Archived (2010)

### 97.012

Boating Safety Financial Assistance (2003B)  
Transferred from 20.005 (2003B)

### 97.013

State Access to the Oil Spill Liability Trust Fund (2003B)  
Transferred from 20.006 (2003B)  
Archived (2012)

### 97.014

Bridge Alteration (2003B)  
Transferred from 20.007 (2003B)  
Archived (2009)

### 97.015

Secret Service\_Training Activities (2003B)  
Transferred from 21.100 (2003B)  
Archived (2010)

### 97.016

Reimbursement for Firefighting on Federal Property (2003B)  
Transferred from 83.007 (2003B)

### 97.017

Pre-Disaster Mitigation (PDM) Competitive Grants (2004)

### 97.018

National Fire Academy Training Assistance (2003B)  
Transferred from 83.009 (2003B)

### 97.019

National Fire Academy Educational Program (2003B)  
Transferred from 83.010 (2003B)  
National Fire Academy Fellowship Program (2010)  
National Fire Academy Fellowship (2011)  
Archived (2012)

### 97.020

Hazardous Materials Training Program (2003B)  
Transferred from 83.011 (2003B)  
Archived (2010)

### 97.021

Hazardous Materials Assistance Program (2003B)  
Transferred from 83.012 (2003B)  
Archived (2010)

### 97.022

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Flood Insurance (2003B)

Transferred from 83.100 (2003B)

## 97.023

Community Assistance Program\_State Support Services Element (CAP-SSSE) (2003B)

Transferred from 83.105 (2003B)

## 97.024

Emergency Food and Shelter National Board Program (2003B)

Transferred from 83.523 (2003B)

## 97.025

National Urban Search and Rescue (US&R) Response System (2003B)

Transferred from 83.526 (2003B)

## 97.026

Emergency Management Institute\_Training Assistance (2003B)

Transferred from 83.527 (2003B)

## 97.027

Emergency Management Institute (EMI)\_Independent Study Program (2003B)

Transferred from 83.529 (2003B)

## 97.028

Emergency Management Institute (EMI)\_Resident Educational Program (2003B)

Transferred from 83.530 (2003B)

## 97.029

Flood Mitigation Assistance (2003B)

Transferred from 83.536 (2003B)

## 97.030

Community Disaster Loans (2003B)

Transferred from 83.537 (2003B)

## 97.031

Cora Brown Fund (2003B)

Transferred from 83.538 (2003B)

## 97.032

Crisis Counseling (2003B)

Transferred from 83.539 (2003B)

## 97.033

Disaster Legal Services (2003B)

Transferred from 83.540 (2003B)

## 97.034

Disaster Unemployment Assistance (2003B)

Transferred from 83.541 (2003B)

## 97.035

Individual and Family Grants (2003B)

Transferred from 83.543 (2003B)

Deleted (2004)

## 97.036

Public Assistance Grants (2003B)

Transferred from 83.544 (2003B)

Disaster Grants - Public Assistance (Presidentially Declared Disasters) (2006)

## 97.037

Disaster Housing Program (2003B)

Transferred from 83.545 (2003B)

Deleted (2004)

## 97.038

First Responder Counter-Terrorism Training Assistance (2003B)

Transferred from 83.547 (2003B)

Deleted (2005)

## 97.039

Hazard Mitigation Grant (2003B)

Transferred from 83.548 (2003B)

## 97.040

Chemical Stockpile Emergency Preparedness Program (2003B)

Transferred from 83.549 (2003B)

## 97.041

National Dam Safety Program (2003B)

Transferred from 83.550 (2003B)

## 97.042

Emergency Management Performance Grants (2003B)

Transferred from 83.552 (2003B)

## 97.043

State Fire Training Systems Grants (2003B)

Transferred from 83.553 (2003B)

## 97.044

Assistance to Firefighters Grant (2003B)

Transferred from 83.554 (2003B)

## 97.045

Cooperating Technical Partners (2003B)

Transferred from 83.555 (2003B)

## 97.046

Fire Management Assistance Grant (2003B)

Transferred from 83.556 (2003B)

## 97.047

Pre-Disaster Mitigation (2003B)

Transferred from 83.557 (2003B)

## 97.048

Federal Assistance to Individuals and Households\_Housing (2003B)

Transferred from 83.558 (2003B)

Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Zones (2006)

Disaster Housing Assistance to Individuals and Households in Presidential Declared Disaster Areas (2007)

Federal Disaster Assistance to Individuals and Households in Presidential Declared Disaster Areas (2010)

## 97.049

Federal Assistance to Individuals and Households\_Disaster Housing Operations (2003B)

Transferred from 83.559 (2003B)

Presidential Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households (2006)

## 97.050

Federal Assistance to Individuals and Households\_Other Needs (2003B)

Transferred from 83.560 (2003B)

Presidential Declared Disaster Assistance to Individuals and Households - Other Needs (2006)

## 97.051

State and Local All Hazards Emergency Operations Planning (2003B)

Transferred from 83.562 (2003B)

Deleted (2005)

## 97.052

Emergency Operations Centers (2003B)

Transferred from 83.563 (2003B)

Emergency Operations Center (2011)

## 97.053

Citizen Corps (2003B)

Transferred from 83.564 (2003B)

Citizens-Community Resilience Innovation Challenge (2012)

## 97.054

Community Emergency Response Teams (2003B)

Incorporated into 97.053 (2006)

Transferred from 83.565 (2003B)

## 97.055

Interoperable Communications Equipment (2003B)

Transferred from 83.566 (2003B)

Interoperable Emergency Communications (2010)

## 97.056

Port Security Grants for Critical National Seaports (2003B)

Port Security Grant Program for Critical National Seaports (2004)

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Port Security Grant Program (2005)

**97.057**

Intercity Bus Security Grants (2003B)

**97.058**

Operation Safe Commerce (OSC) (2003B)  
Operation Safe Commerce (OSC) Cooperative Agreement Program. (2004)  
Archived (2012)

**97.059**

Truck Security Program (2003B)

**97.060**

Port Security Research and Development Grant (2004)  
Archived (2010)

**97.061**

Centers for Homeland Security (2004)

**97.062**

Scholars and Fellows (2004)  
Scholars and Fellows, and Educational Programs (2007)  
Scientific Leadership Awards (2011)

**97.063**

97.063 Pre-Disaster Mitigation Disaster Resistant Universities (2004)

**97.064**

Debris Removal Insurance (2004)  
Archived (2010)

**97.065**

Homeland Security Advanced Research Projects Agency (2004)

**97.066**

Homeland Security Information Technology and Evaluation Program (2004)  
Homeland Security Information Technology Research, Testing, Evaluation and Demonstration Program (2008)

**97.067**

Homeland Security Grant Program (2004)

**97.068**

Competitive Training Grants (2004)  
Competitive Training Grant (2010)  
Competitive Training Grant (2010)  
Archived (2010)

**97.069**

Aviation Research Grants (2004)

**97.070**

Map Modernization Management Support (2004)  
Archived (2011)

**97.071**

Metropolitan Medical Response System (2004)  
Archived (2012)

**97.072**

National Explosives Detection Canine Team Program (2004)  
Archived (2012)

**97.073**

State Homeland Security Program (SHSP) (2004)  
Archived (2012)

**97.075**

RAIL AND TRANSIT SECURITY GRANT PROGRAM (2004)

**97.076**

National Center for Missing and Exploited Children (NCMEC) (2005)

**97.077**

Homeland Security Testing, Evaluation, and Demonstration of Technologies (2005)  
Homeland Security Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (2007)  
Homeland Security Research Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Detection (2008)

**97.078**

Buffer Zone Protection Plan (BZPP) (2005)  
Buffer Zone Protection Program (BZPP) (2007)

**97.079**

Public Alert Radios for Schools (2005)  
Archived (2010)

**97.080**

97.080 Information Analysis Infrastructure Protection (IAIP) Pilot Projects (2005)  
Information Analysis Infrastructure Protection (IAIP) and Critical Infrastructure Monitoring and Protection (2009)

**97.081**

Law Enforcement Training and Technical Assistance (2005)  
Archived (2010)

**97.082**

Earthquake Consortium (2005)

**97.083**

Staffing for Adequate Fire and Emergency Response (SAFER) (2005)

**97.084**

Hurricane Katrina Case Management Initiative Program (2005)  
Archived (2012)

**97.085**

9-11 Heros Stamp Program (2005)  
Archived (2010)

**97.086**

Homeland Security Outreach, Education, and Technical Assistance (2005)  
Archived (2012)

**97.087**

Alternative Housing Pilot Program (2006)  
Archived (2010)

**97.088**

Disaster Assistance Projects (2005)

**97.089**

Real ID Program (2005)  
Driver's License Security Grant Program (2010)

**97.090**

Law Enforcement Officer Reimbursement Agreement Program (2006)  
Archived (2012)

**97.091**

Homeland Security Biowatch Program (2006)

**97.092**

Repetitive Flood Claims (2008)

**97.093**

Fire Service Hazardous Materials Preparedness and Response (2006)  
Archived (2012)

**97.094**

Prevention Advocacy Resources and Data Exchange Program (2006)  
Archived (2012)

**97.095**

Safe Kids Worldwide (2006)  
Archived (2012)

**97.096**

Commercial Equipment Direct Assistance Program (CEDAP) (2006)  
Archived (2010)

**97.097**

Training Resource and Data Exchange (2006)  
Archived (2012)

**97.098**



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Disaster Donations Management Program (2006)  
Archived (2012)

**97.099**  
Residential Fire Safety & Fire Sprinkler Initiatives (2007)  
Archived (2012)

**97.100**  
Airport Checked Baggage Screening Program (2007)  
Archived (2010)

**97.101**  
National Fallen Firefighters Memorial (2011)

**97.103**  
Degrees at a Distance Program (2007)

**97.104**  
Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program (2007)

**97.105**  
Firefighter/Emergency Medical Services (EMS) Outreach, Technology Transfer, Information Dissemination, and Technical Assistance (2007)  
Firefighter Health and Safety (2010)  
Archived (2012)

**97.106**  
Securing the Cities (2007)

**97.107**  
National Incident Management System (NIMS) (2007)

**97.108**  
Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies (2007)

**97.109**  
Disaster Housing Assistance Grant (2007)

**97.110**  
Severe Loss Repetitive Program (2008)

**97.111**  
Regional Catastrophic Preparedness Grant Program (RCPGP) (2008)

**97.112**  
Border Infrastructure Improvement Projects (2008)  
Archived (2012)

**97.113**  
Rail and Transit Security Grant Program (ARRA) (2009)

**97.114**

Emergency Food and Shelter National Board Program (ARRA) (2009)

**97.115**  
Assistance to Firefighters Grant (ARRA) (2009)

**97.116**  
Port Security Grant Program (ARRA) (2009)

**97.117**  
TSA Airport Checked Baggage Inspection System Program (ARRA) (2009)  
Archived (2012)

**97.118**  
Advanced Surveillance Program (ASP) (2009)  
Archived (2012)

**97.119**  
2010 Olympics First Responder Training (2009)  
Archived (2012)

**97.120**  
Border Interoperability Demonstration Project (2010)

**97.121**  
Radiological/Nuclear Detection Pilot Evaluations Program (2010)

**97.122**  
Bio-Preparedness Collaboratory (2010)

**97.123**  
Multi-State Information Sharing and Analysis Center (2010)

**97.124**  
Interoperable Communications and Training Project (2010)

**97.125**  
Virginia Operational Integration Cyber Center of Excellence (2010)  
Archived (2012)

**97.126**  
National Special Security Event (2011)

**97.127**  
Upstate New York Cyber Initiative (2011)  
Cybersecurity Education and Training Assistance Program (CETAP) (2011)

**97.129**  
Securing Critical Underground Infrastructure Pilot Program (2011)

**97.130**  
National Nuclear Forensics Expertise Development Program (2012)

**97.131**  
Emergency Management Baseline Assessments Grant (EMBAG) (2012)

### **AGENCY FOR INTERNATIONAL DEVELOPMENT**

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**98.001**  
USAID Foreign Assistance for Programs Overseas (2004)

**98.002**  
Cooperative Development Program (CDP) (2004)

**98.003**  
Ocean Freight Reimbursement Program (OFR) (2004)

**98.004**  
Non-Governmental Organization Strengthening (NGO) (2004)

**98.005**  
Institutional Support Assistance (ISA) (2004)  
Institutional Capacity Building (ICB) (2005)  
Institutional Capacity Building (ICB) (2005)

**98.006**  
Foreign Assistance to American Schools and Hospitals Abroad (ASHA) (2004)

**98.007**  
Food for Peace Development Assistance Program (DAP) (2004)

**98.008**  
USAID Food for Peace Emergency Program (EP) (2004)

**98.009**  
The John Ogonowski Farmer-to-Farmer Program (2004)

**98.010**  
Denton Program (2004)

**98.011**  
Global Development Alliance (2004)

**98.012**  
USAID Development Partnerships for University Cooperation and Development (2005)